



Concorde Investment Services, LLC

02/27/2018

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COMMISSION STATEMENT**February 28, 2018**MARC, L134 LINSKY
104 B. Centre BlvdBROKER #: L134
BRANCH: E STREET FINANCIAL L

Marlton, NJ 08053

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>CLEARING TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
02/15/2018	CHIECO, DANIEL	AM CENT EQUITY INCOME	1,204.86	60.24	22.00	38.24	90.0	34.42
02/15/2018	BERK, SHERRI	AM FUNDS GROWTH FUND OF AMERICA A	220.04	9.35	22.00	-12.65	90.0	-11.39
02/15/2018	BOND-HILTNER, LINDA	AM FUNDS ICA A	836.76	41.84	22.00	19.84	90.0	17.86
02/15/2018	BOND-HILTNER, LINDA	AM FUNDS WASHINGTON MUTUAL INVESTOR	839.29	41.96	22.00	19.96	90.0	17.96
02/15/2018	PERETTI JR, ANTHONY	HARTFORD CAPITAL APPRECIATION C	423.22	4.23	22.00	-17.77	90.0	-15.99
02/15/2018	MEDIA ENTERPRISES	LORD ABBETT FUNDAMENTAL EQUITY A	1,562.85	50.79	22.00	28.79	90.0	25.91
02/15/2018	MEDIA ENTERPRISES	LORD ABBETT FUNDAMENTAL EQUITY A	1,318.23	42.84	22.00	20.84	90.0	18.76
02/15/2018	MEDIA ENTERPRISES	LORD ABBETT FUNDAMENTAL EQUITY A	462.06	15.02	22.00	-6.98	90.0	-6.28
02/15/2018	MEDIA ENTERPRISES	LORD ABBETT FUNDAMENTAL EQUITY A	502.83	16.34	22.00	-5.66	90.0	-5.09
02/22/2018	ROMERO, MARIA	LORD ABBETT FUNDAMENTAL EQUITY A	995.72	49.79	22.00	27.79	90.0	25.01
02/15/2018	MEDIA ENTERPRISES	LORD ABBETT SHORT DURATION INCOME A	1,552.30	23.28	22.00	1.28	90.0	1.15
02/15/2018	MEDIA ENTERPRISES	LORD ABBETT SHORT DURATION INCOME A	1,307.20	19.61	22.00	-2.39	90.0	-2.15
02/15/2018	MEDIA ENTERPRISES	LORD ABBETT SHORT DURATION INCOME A	460.10	6.90	22.00	-15.10	90.0	-13.59
02/15/2018	MEDIA ENTERPRISES	LORD ABBETT SHORT DURATION INCOME A	503.10	7.55	22.00	-14.45	90.0	-13.01
* MUTUAL FUNDS SUBTOTAL *			\$12,188.56	\$389.74	\$308.00	\$81.74		\$73.57
<u>PRODUCT CATEGORY: STOCKS</u>								
02/16/2018	MORETTI, MARGARET	APPLE INC COM	2,422.69	30.00	22.50	7.50	90.0	6.75
02/14/2018	SIEMANOWSKI, JOHN	BLACKSTONE GROUP L P COM UNIT REPST	16,805.00	30.00	22.75	7.25	90.0	6.53
02/16/2018	MORETTI, MARGARET	GENERAL ELECTRIC CO COM	-2,482.46	30.00	22.50	7.50	90.0	6.75
02/14/2018	SIEMANOWSKI, JOHN	ORBOTECH LTD ORD SHS ISIN#IL0010823	-25,063.25	30.00	22.75	7.25	90.0	6.53
02/14/2018	SIEMANOWSKI, JOHN	ROBERT HALF INTL INC	-22,424.24	30.00	22.60	7.40	90.0	6.66
* STOCKS SUBTOTAL *			\$-30,742.26	\$150.00	\$113.10	\$36.90		\$33.22
*** CLEARING TRANSACTIONS TOTAL ***			\$-18,553.70	\$539.74	\$421.10	\$118.64		\$106.79

NOTES: * - Indicates adjustment is not included in 1099 Earnings

** - Indicates adjustment is not included in Totals or Commissions

^Date - Split Trade - full Investment Amount & Gross Commission displayed

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
02/15/2018	BENFER, ANDREW	AM FUNDS FUNDAMENTAL INVESTORS A	225.00	11.25	0.00	11.25	90.0	10.13
* MUTUAL FUNDS SUBTOTAL *			\$225.00	\$11.25	\$0.00	\$11.25		\$10.13
<u>PRODUCT CATEGORY: VARIABLE ANNUITIES</u>								
02/01/2018	PISANI, CARLA	LINCOLN BENEFIT LIFE	541.00	25.70	0.00	25.70	90.0	23.13
02/01/2018	PISANI, NICHOLAS	LINCOLN BENEFIT LIFE	250.00	10.00	0.00	10.00	90.0	9.00
01/24/2018	GALERMAN, ALAN	TRANSAMERICA LIBERTY	128,577.64	107.15	0.00	107.15	90.0	96.44
* VARIABLE ANNUITIES SUBTOTAL *			\$129,368.64	\$142.85	\$0.00	\$142.85		\$128.57
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
02/08/2016	CENTANNI, RICHARD	ALLIANCEBERNSTEIN SMALL/MID CAP VAL	0.00	0.62	0.00	0.62	90.0	0.56
03/09/2016	CENTANNI, RICHARD	ALLIANCEBERNSTEIN SMALL/MID CAP VAL	0.00	0.57	0.00	0.57	90.0	0.51
04/18/2016	CENTANNI, RICHARD	ALLIANCEBERNSTEIN SMALL/MID CAP VAL	0.00	0.68	0.00	0.68	90.0	0.61
05/11/2016	CENTANNI, RICHARD	ALLIANCEBERNSTEIN SMALL/MID CAP VAL	0.00	0.67	0.00	0.67	90.0	0.60
06/10/2016	CENTANNI, RICHARD	ALLIANCEBERNSTEIN SMALL/MID CAP VAL	0.00	0.69	0.00	0.69	90.0	0.62
07/18/2016	CENTANNI, RICHARD	ALLIANCEBERNSTEIN SMALL/MID CAP VAL	0.00	0.69	0.00	0.69	90.0	0.62
08/08/2016	CENTANNI, RICHARD	ALLIANCEBERNSTEIN SMALL/MID CAP VAL	0.00	0.72	0.00	0.72	90.0	0.65
09/12/2016	CENTANNI, RICHARD	ALLIANCEBERNSTEIN SMALL/MID CAP VAL	0.00	0.74	0.00	0.74	90.0	0.67
10/20/2016	CENTANNI, RICHARD	ALLIANCEBERNSTEIN SMALL/MID CAP VAL	0.00	0.72	0.00	0.72	90.0	0.65
11/11/2016	CENTANNI, RICHARD	ALLIANCEBERNSTEIN SMALL/MID CAP VAL	0.00	0.75	0.00	0.75	90.0	0.68
12/12/2016	CENTANNI, RICHARD	ALLIANCEBERNSTEIN SMALL/MID CAP VAL	0.00	0.76	0.00	0.76	90.0	0.68
02/08/2016	TRICHON, DONNA-LYNN	ALLIANCEBERNSTEIN SMALL/MID-CAP GRW	0.00	8.86	0.00	8.86	90.0	7.97
03/09/2016	TRICHON, DONNA-LYNN	ALLIANCEBERNSTEIN SMALL/MID-CAP GRW	0.00	7.78	0.00	7.78	90.0	7.00
04/18/2016	TRICHON, DONNA-LYNN	ALLIANCEBERNSTEIN SMALL/MID-CAP GRW	0.00	9.02	0.00	9.02	90.0	8.12
05/11/2016	TRICHON, DONNA-LYNN	ALLIANCEBERNSTEIN SMALL/MID-CAP GRW	0.00	9.02	0.00	9.02	90.0	8.12
06/10/2016	TRICHON, DONNA-LYNN	ALLIANCEBERNSTEIN SMALL/MID-CAP GRW	0.00	9.31	0.00	9.31	90.0	8.38
07/18/2016	TRICHON, DONNA-LYNN	ALLIANCEBERNSTEIN SMALL/MID-CAP GRW	0.00	9.19	0.00	9.19	90.0	8.27
08/08/2016	TRICHON, DONNA-LYNN	ALLIANCEBERNSTEIN SMALL/MID-CAP GRW	0.00	9.74	0.00	9.74	90.0	8.77
09/12/2016	TRICHON, DONNA-LYNN	ALLIANCEBERNSTEIN SMALL/MID-CAP GRW	0.00	10.01	0.00	10.01	90.0	9.01
10/20/2016	TRICHON, DONNA-LYNN	ALLIANCEBERNSTEIN SMALL/MID-CAP GRW	0.00	9.65	0.00	9.65	90.0	8.69
11/11/2016	TRICHON, DONNA-LYNN	ALLIANCEBERNSTEIN SMALL/MID-CAP GRW	0.00	9.78	0.00	9.78	90.0	8.80
12/12/2016	TRICHON, DONNA-LYNN	ALLIANCEBERNSTEIN SMALL/MID-CAP GRW	0.00	9.77	0.00	9.77	90.0	8.79
09/19/2016	CHIECO, DANIEL	AM CENT EQUITY INCOME	0.00	0.54	0.00	0.54	90.0	0.49
10/20/2016	CHIECO, DANIEL	AM CENT EQUITY INCOME	0.00	2.68	0.00	2.68	90.0	2.41

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
11/18/2016	CHIECO, DANIEL	AM CENT EQUITY INCOME	0.00	2.79	0.00	2.79	90.0	2.51
12/19/2016	CHIECO, DANIEL	AM CENT EQUITY INCOME	0.00	2.85	0.00	2.85	90.0	2.57
02/16/2016	MEDIA ENTERPRISES	AM FUNDS AMCAP A	0.00	2.86	0.00	2.86	90.0	2.57
03/15/2016	MEDIA ENTERPRISES	AM FUNDS AMCAP A	0.00	2.63	0.00	2.63	90.0	2.37
04/20/2016	MEDIA ENTERPRISES	AM FUNDS AMCAP A	0.00	3.01	0.00	3.01	90.0	2.71
05/16/2016	MEDIA ENTERPRISES	AM FUNDS AMCAP A	0.00	3.00	0.00	3.00	90.0	2.70
06/15/2016	MEDIA ENTERPRISES	AM FUNDS AMCAP A	0.00	3.09	0.00	3.09	90.0	2.78
07/18/2016	MEDIA ENTERPRISES	AM FUNDS AMCAP A	0.00	3.03	0.00	3.03	90.0	2.73
08/15/2016	MEDIA ENTERPRISES	AM FUNDS AMCAP A	0.00	3.18	0.00	3.18	90.0	2.86
09/16/2016	MEDIA ENTERPRISES	AM FUNDS AMCAP A	0.00	3.25	0.00	3.25	90.0	2.93
10/17/2016	MEDIA ENTERPRISES	AM FUNDS AMCAP A	0.00	3.13	0.00	3.13	90.0	2.82
11/18/2016	MEDIA ENTERPRISES	AM FUNDS AMCAP A	0.00	3.24	0.00	3.24	90.0	2.92
12/15/2016	MEDIA ENTERPRISES	AM FUNDS AMCAP A	0.00	3.14	0.00	3.14	90.0	2.83
02/16/2016	GREENWELL, MARION	AM FUNDS AMCAP C	0.00	6.10	0.00	6.10	90.0	5.49
03/15/2016	GREENWELL, MARION	AM FUNDS AMCAP C	0.00	5.61	0.00	5.61	90.0	5.05
04/20/2016	GREENWELL, MARION	AM FUNDS AMCAP C	0.00	6.40	0.00	6.40	90.0	5.76
05/16/2016	GREENWELL, MARION	AM FUNDS AMCAP C	0.00	6.39	0.00	6.39	90.0	5.75
06/15/2016	GREENWELL, MARION	AM FUNDS AMCAP C	0.00	6.56	0.00	6.56	90.0	5.90
07/18/2016	GREENWELL, MARION	AM FUNDS AMCAP C	0.00	6.43	0.00	6.43	90.0	5.79
08/15/2016	GREENWELL, MARION	AM FUNDS AMCAP C	0.00	6.75	0.00	6.75	90.0	6.08
09/16/2016	GREENWELL, MARION	AM FUNDS AMCAP C	0.00	6.90	0.00	6.90	90.0	6.21
10/17/2016	GREENWELL, MARION	AM FUNDS AMCAP C	0.00	6.63	0.00	6.63	90.0	5.97
11/18/2016	GREENWELL, MARION	AM FUNDS AMCAP C	0.00	6.86	0.00	6.86	90.0	6.17
12/15/2016	GREENWELL, MARION	AM FUNDS AMCAP C	0.00	6.64	0.00	6.64	90.0	5.98
02/16/2016	BERK, SHERRI	AM FUNDS AMERICAN BALANCED A	0.00	0.15	0.00	0.15	90.0	0.14
02/16/2016	MELVIN, MARY THOMPSON	AM FUNDS AMERICAN BALANCED A	0.00	1.86	0.00	1.86	90.0	1.67
02/16/2016	NAGLE, JOSEPHINE	AM FUNDS AMERICAN BALANCED A	0.00	0.54	0.00	0.54	90.0	0.49
02/16/2016	NAGLE, JOSEPHINE	AM FUNDS AMERICAN BALANCED A	0.00	0.47	0.00	0.47	90.0	0.42
03/15/2016	BERK, SHERRI	AM FUNDS AMERICAN BALANCED A	0.00	0.14	0.00	0.14	90.0	0.13
03/15/2016	MELVIN, MARY THOMPSON	AM FUNDS AMERICAN BALANCED A	0.00	1.73	0.00	1.73	90.0	1.56
03/15/2016	NAGLE, JOSEPHINE	AM FUNDS AMERICAN BALANCED A	0.00	0.50	0.00	0.50	90.0	0.45
03/15/2016	NAGLE, JOSEPHINE	AM FUNDS AMERICAN BALANCED A	0.00	2.26	0.00	2.26	90.0	2.03
04/20/2016	BERK, SHERRI	AM FUNDS AMERICAN BALANCED A	0.00	0.15	0.00	0.15	90.0	0.14

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
04/20/2016	MELVIN, MARY THOMPSON	AM FUNDS AMERICAN BALANCED A	0.00	1.93	0.00	1.93	90.0	1.74
04/20/2016	NAGLE, JOSEPHINE	AM FUNDS AMERICAN BALANCED A	0.00	0.56	0.00	0.56	90.0	0.50
04/20/2016	NAGLE, JOSEPHINE	AM FUNDS AMERICAN BALANCED A	0.00	2.51	0.00	2.51	90.0	2.26
05/16/2016	BERK, SHERRI	AM FUNDS AMERICAN BALANCED A	0.00	0.15	0.00	0.15	90.0	0.14
05/16/2016	MELVIN, MARY THOMPSON	AM FUNDS AMERICAN BALANCED A	0.00	1.91	0.00	1.91	90.0	1.72
05/16/2016	NAGLE, JOSEPHINE	AM FUNDS AMERICAN BALANCED A	0.00	0.55	0.00	0.55	90.0	0.50
05/16/2016	NAGLE, JOSEPHINE	AM FUNDS AMERICAN BALANCED A	0.00	2.48	0.00	2.48	90.0	2.23
06/15/2016	BERK, SHERRI	AM FUNDS AMERICAN BALANCED A	0.00	0.16	0.00	0.16	90.0	0.14
06/15/2016	MELVIN, MARY THOMPSON	AM FUNDS AMERICAN BALANCED A	0.00	1.97	0.00	1.97	90.0	1.77
06/15/2016	NAGLE, JOSEPHINE	AM FUNDS AMERICAN BALANCED A	0.00	0.57	0.00	0.57	90.0	0.51
06/15/2016	NAGLE, JOSEPHINE	AM FUNDS AMERICAN BALANCED A	0.00	2.57	0.00	2.57	90.0	2.31
06/15/2016	TAYLOR, THOMAS	AM FUNDS AMERICAN BALANCED A	0.00	0.07	0.00	0.07	90.0	0.06
06/15/2016	TAYLOR, DIANE	AM FUNDS AMERICAN BALANCED A	0.00	0.07	0.00	0.07	90.0	0.06
07/18/2016	BERK, SHERRI	AM FUNDS AMERICAN BALANCED A	0.00	0.15	0.00	0.15	90.0	0.14
07/18/2016	MELVIN, MARY THOMPSON	AM FUNDS AMERICAN BALANCED A	0.00	1.77	0.00	1.77	90.0	1.59
07/18/2016	NAGLE, JOSEPHINE	AM FUNDS AMERICAN BALANCED A	0.00	0.56	0.00	0.56	90.0	0.50
07/18/2016	NAGLE, JOSEPHINE	AM FUNDS AMERICAN BALANCED A	0.00	2.51	0.00	2.51	90.0	2.26
07/18/2016	TAYLOR, THOMAS	AM FUNDS AMERICAN BALANCED A	0.00	0.40	0.00	0.40	90.0	0.36
07/18/2016	TAYLOR, DIANE	AM FUNDS AMERICAN BALANCED A	0.00	0.40	0.00	0.40	90.0	0.36
08/15/2016	BERK, SHERRI	AM FUNDS AMERICAN BALANCED A	0.00	0.16	0.00	0.16	90.0	0.14
08/15/2016	MELVIN, MARY THOMPSON	AM FUNDS AMERICAN BALANCED A	0.00	1.80	0.00	1.80	90.0	1.62
08/15/2016	NAGLE, JOSEPHINE	AM FUNDS AMERICAN BALANCED A	0.00	0.59	0.00	0.59	90.0	0.53
08/15/2016	NAGLE, JOSEPHINE	AM FUNDS AMERICAN BALANCED A	0.00	2.65	0.00	2.65	90.0	2.39
08/15/2016	TAYLOR, THOMAS	AM FUNDS AMERICAN BALANCED A	0.00	0.43	0.00	0.43	90.0	0.39
08/15/2016	TAYLOR, DIANE	AM FUNDS AMERICAN BALANCED A	0.00	0.43	0.00	0.43	90.0	0.39
09/16/2016	BERK, SHERRI	AM FUNDS AMERICAN BALANCED A	0.00	0.16	0.00	0.16	90.0	0.14
09/16/2016	MELVIN, MARY THOMPSON	AM FUNDS AMERICAN BALANCED A	0.00	1.81	0.00	1.81	90.0	1.63
09/16/2016	NAGLE, JOSEPHINE	AM FUNDS AMERICAN BALANCED A	0.00	0.59	0.00	0.59	90.0	0.53
09/16/2016	NAGLE, JOSEPHINE	AM FUNDS AMERICAN BALANCED A	0.00	2.67	0.00	2.67	90.0	2.40
09/16/2016	TAYLOR, THOMAS	AM FUNDS AMERICAN BALANCED A	0.00	0.43	0.00	0.43	90.0	0.39
09/16/2016	TAYLOR, DIANE	AM FUNDS AMERICAN BALANCED A	0.00	0.43	0.00	0.43	90.0	0.39
10/17/2016	BERK, SHERRI	AM FUNDS AMERICAN BALANCED A	0.00	0.16	0.00	0.16	90.0	0.14
10/17/2016	MELVIN, MARY THOMPSON	AM FUNDS AMERICAN BALANCED A	0.00	1.74	0.00	1.74	90.0	1.57

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
10/17/2016	NAGLE, JOSEPHINE	AM FUNDS AMERICAN BALANCED A	0.00	0.57	0.00	0.57	90.0	0.51
10/17/2016	NAGLE, JOSEPHINE	AM FUNDS AMERICAN BALANCED A	0.00	2.57	0.00	2.57	90.0	2.31
10/17/2016	TAYLOR, THOMAS	AM FUNDS AMERICAN BALANCED A	0.00	0.41	0.00	0.41	90.0	0.37
10/17/2016	TAYLOR, DIANE	AM FUNDS AMERICAN BALANCED A	0.00	0.41	0.00	0.41	90.0	0.37
11/18/2016	BERK, SHERRI	AM FUNDS AMERICAN BALANCED A	0.00	0.16	0.00	0.16	90.0	0.14
11/18/2016	MELVIN, MARY THOMPSON	AM FUNDS AMERICAN BALANCED A	0.00	1.80	0.00	1.80	90.0	1.62
11/18/2016	NAGLE, JOSEPHINE	AM FUNDS AMERICAN BALANCED A	0.00	0.08	0.00	0.08	90.0	0.07
11/18/2016	BOSCO, EDWARD	AM FUNDS AMERICAN BALANCED A	0.00	0.51	0.00	0.51	90.0	0.46
11/18/2016	GERARD, JO ANNE	AM FUNDS AMERICAN BALANCED A	0.00	0.14	0.00	0.14	90.0	0.13
11/18/2016	NAGLE, JOSEPHINE	AM FUNDS AMERICAN BALANCED A	0.00	1.71	0.00	1.71	90.0	1.54
11/18/2016	TAYLOR, THOMAS	AM FUNDS AMERICAN BALANCED A	0.00	0.43	0.00	0.43	90.0	0.39
11/18/2016	TAYLOR, DIANE	AM FUNDS AMERICAN BALANCED A	0.00	0.43	0.00	0.43	90.0	0.39
11/18/2016	APPLEGATE, PAMAELA	AM FUNDS AMERICAN BALANCED A	0.00	0.37	0.00	0.37	90.0	0.33
12/15/2016	BERK, SHERRI	AM FUNDS AMERICAN BALANCED A	0.00	0.16	0.00	0.16	90.0	0.14
12/15/2016	MELVIN, MARY THOMPSON	AM FUNDS AMERICAN BALANCED A	0.00	1.68	0.00	1.68	90.0	1.51
12/15/2016	BOSCO, EDWARD	AM FUNDS AMERICAN BALANCED A	0.00	0.11	0.00	0.11	90.0	0.10
12/15/2016	TAYLOR, THOMAS	AM FUNDS AMERICAN BALANCED A	0.00	0.41	0.00	0.41	90.0	0.37
12/15/2016	TAYLOR, DIANE	AM FUNDS AMERICAN BALANCED A	0.00	0.41	0.00	0.41	90.0	0.37
12/15/2016	APPLEGATE, PAMAELA	AM FUNDS AMERICAN BALANCED A	0.00	0.85	0.00	0.85	90.0	0.77
02/16/2016	RIZZO, DIANE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.00	0.00	1.00	90.0	0.90
02/16/2016	DADINO JR, LAWRENCE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.10	0.00	0.10	90.0	0.09
02/16/2016	DADINO, CAROLE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.04	0.00	0.04	90.0	0.04
02/16/2016	NAGLE, JOSEPHINE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.43	0.00	0.43	90.0	0.39
02/16/2016	NAGLE, JOSEPHINE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.39	0.00	0.39	90.0	0.35
03/15/2016	RIZZO, DIANE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.94	0.00	0.94	90.0	0.85
03/15/2016	DADINO JR, LAWRENCE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.10	0.00	0.10	90.0	0.09
03/15/2016	NAGLE, JOSEPHINE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.41	0.00	0.41	90.0	0.37
03/15/2016	NAGLE, JOSEPHINE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.89	0.00	1.89	90.0	1.70
04/20/2016	RIZZO, DIANE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.06	0.00	1.06	90.0	0.95
04/20/2016	DADINO JR, LAWRENCE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.11	0.00	0.11	90.0	0.10
04/20/2016	NAGLE, JOSEPHINE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.46	0.00	0.46	90.0	0.41
04/20/2016	NAGLE, JOSEPHINE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	2.11	0.00	2.11	90.0	1.90
05/16/2016	RIZZO, DIANE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.04	0.00	1.04	90.0	0.94

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
05/16/2016	DADINO JR, LAWRENCE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.04	0.00	0.04	90.0	0.04
05/16/2016	NAGLE, JOSEPHINE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.45	0.00	0.45	90.0	0.41
05/16/2016	NAGLE, JOSEPHINE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	2.09	0.00	2.09	90.0	1.88
06/15/2016	RIZZO, DIANE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.93	0.00	0.93	90.0	0.84
06/15/2016	NAGLE, JOSEPHINE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.47	0.00	0.47	90.0	0.42
06/15/2016	NAGLE, JOSEPHINE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	2.16	0.00	2.16	90.0	1.94
07/18/2016	RIZZO, DIANE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.88	0.00	0.88	90.0	0.79
07/18/2016	NAGLE, JOSEPHINE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.46	0.00	0.46	90.0	0.41
07/18/2016	NAGLE, JOSEPHINE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	2.11	0.00	2.11	90.0	1.90
08/15/2016	RIZZO, DIANE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.93	0.00	0.93	90.0	0.84
08/15/2016	NAGLE, JOSEPHINE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.49	0.00	0.49	90.0	0.44
08/15/2016	NAGLE, JOSEPHINE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	2.24	0.00	2.24	90.0	2.02
09/16/2016	RIZZO, DIANE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.93	0.00	0.93	90.0	0.84
09/16/2016	NAGLE, JOSEPHINE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.49	0.00	0.49	90.0	0.44
09/16/2016	NAGLE, JOSEPHINE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	2.25	0.00	2.25	90.0	2.03
10/17/2016	RIZZO, DIANE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.90	0.00	0.90	90.0	0.81
10/17/2016	NAGLE, JOSEPHINE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.47	0.00	0.47	90.0	0.42
10/17/2016	NAGLE, JOSEPHINE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	2.16	0.00	2.16	90.0	1.94
11/18/2016	RIZZO, DIANE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.88	0.00	0.88	90.0	0.79
11/18/2016	NAGLE, JOSEPHINE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.06	0.00	0.06	90.0	0.05
11/18/2016	BOSCO, EDWARD	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.41	0.00	0.41	90.0	0.37
11/18/2016	GERARD, JO ANNE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.12	0.00	0.12	90.0	0.11
11/18/2016	NAGLE, JOSEPHINE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.42	0.00	1.42	90.0	1.28
11/18/2016	APPLEGATE, PAMAEALA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.30	0.00	0.30	90.0	0.27
12/15/2016	RIZZO, DIANE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.84	0.00	0.84	90.0	0.76
12/15/2016	BOSCO, EDWARD	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.09	0.00	0.09	90.0	0.08
12/15/2016	APPLEGATE, PAMAEALA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.69	0.00	0.69	90.0	0.62
02/16/2016	POLLAN, PATRICIA	AM FUNDS CAPITAL INCOME BUILDER F1	0.00	1.24	0.00	1.24	90.0	1.12
02/16/2016	LINSKY, LISA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.66	0.00	2.66	90.0	2.39
02/16/2016	MEDIA ENTERPRISES	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.28	0.00	2.28	90.0	2.05
02/16/2016	RIZZO, DIANE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.08	0.00	1.08	90.0	0.97
02/16/2016	MELVIN, GREG	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.54	0.00	0.54	90.0	0.49
03/15/2016	LINSKY, LISA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.44	0.00	2.44	90.0	2.20

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
03/15/2016	MEDIA ENTERPRISES	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.09	0.00	2.09	90.0	1.88
03/15/2016	RIZZO, DIANE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.99	0.00	0.99	90.0	0.89
03/15/2016	MELVIN, GREG	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.50	0.00	0.50	90.0	0.45
04/20/2016	LINSKY, LISA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.78	0.00	2.78	90.0	2.50
04/20/2016	MEDIA ENTERPRISES	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.38	0.00	2.38	90.0	2.14
04/20/2016	RIZZO, DIANE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.13	0.00	1.13	90.0	1.02
04/20/2016	MELVIN, GREG	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.56	0.00	0.56	90.0	0.50
05/16/2016	LINSKY, LISA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.76	0.00	2.76	90.0	2.48
05/16/2016	MEDIA ENTERPRISES	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.36	0.00	2.36	90.0	2.12
05/16/2016	RIZZO, DIANE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.12	0.00	1.12	90.0	1.01
05/16/2016	MELVIN, GREG	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.56	0.00	0.56	90.0	0.50
06/15/2016	LINSKY, LISA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.83	0.00	2.83	90.0	2.55
06/15/2016	MEDIA ENTERPRISES	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.42	0.00	2.42	90.0	2.18
06/15/2016	RIZZO, DIANE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.15	0.00	1.15	90.0	1.04
06/15/2016	MELVIN, GREG	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.57	0.00	0.57	90.0	0.51
07/18/2016	LINSKY, LISA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.76	0.00	2.76	90.0	2.48
07/18/2016	MEDIA ENTERPRISES	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.36	0.00	2.36	90.0	2.12
07/18/2016	RIZZO, DIANE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.12	0.00	1.12	90.0	1.01
07/18/2016	MELVIN, GREG	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.56	0.00	0.56	90.0	0.50
08/15/2016	LINSKY, LISA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.93	0.00	2.93	90.0	2.64
08/15/2016	MEDIA ENTERPRISES	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.50	0.00	2.50	90.0	2.25
08/15/2016	RIZZO, DIANE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.19	0.00	1.19	90.0	1.07
08/15/2016	MELVIN, GREG	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.59	0.00	0.59	90.0	0.53
09/16/2016	LINSKY, LISA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	3.00	0.00	3.00	90.0	2.70
09/16/2016	MEDIA ENTERPRISES	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.57	0.00	2.57	90.0	2.31
09/16/2016	RIZZO, DIANE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.22	0.00	1.22	90.0	1.10
09/16/2016	MELVIN, GREG	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.61	0.00	0.61	90.0	0.55
10/17/2016	LINSKY, LISA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.90	0.00	2.90	90.0	2.61
10/17/2016	MEDIA ENTERPRISES	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.48	0.00	2.48	90.0	2.23
10/17/2016	RIZZO, DIANE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.18	0.00	1.18	90.0	1.06
10/17/2016	MELVIN, GREG	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.59	0.00	0.59	90.0	0.53
11/18/2016	LINSKY, LISA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.97	0.00	2.97	90.0	2.67
11/18/2016	MEDIA ENTERPRISES	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.54	0.00	2.54	90.0	2.29

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
11/18/2016	RIZZO, DIANE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.20	0.00	1.20	90.0	1.08
11/18/2016	MELVIN, GREG	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.60	0.00	0.60	90.0	0.54
12/15/2016	LINSKY, LISA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.83	0.00	2.83	90.0	2.55
12/15/2016	MEDIA ENTERPRISES	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.43	0.00	2.43	90.0	2.19
12/15/2016	RIZZO, DIANE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.15	0.00	1.15	90.0	1.04
12/15/2016	MELVIN, GREG	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.57	0.00	0.57	90.0	0.51
02/16/2016	POLLAN, PATRICIA	AM FUNDS CAPITAL WORLD GRTH & INC C	0.00	0.99	0.00	0.99	90.0	0.89
02/16/2016	POLLAN, JACLYN	AM FUNDS CAPITAL WORLD GRTH & INC C	0.00	2.08	0.00	2.08	90.0	1.87
03/15/2016	POLLAN, JACLYN	AM FUNDS CAPITAL WORLD GRTH & INC C	0.00	1.91	0.00	1.91	90.0	1.72
04/20/2016	POLLAN, JACLYN	AM FUNDS CAPITAL WORLD GRTH & INC C	0.00	2.17	0.00	2.17	90.0	1.95
05/16/2016	POLLAN, JACLYN	AM FUNDS CAPITAL WORLD GRTH & INC C	0.00	2.16	0.00	2.16	90.0	1.94
06/15/2016	POLLAN, JACLYN	AM FUNDS CAPITAL WORLD GRTH & INC C	0.00	2.22	0.00	2.22	90.0	2.00
07/18/2016	POLLAN, JACLYN	AM FUNDS CAPITAL WORLD GRTH & INC C	0.00	2.16	0.00	2.16	90.0	1.94
08/15/2016	POLLAN, JACLYN	AM FUNDS CAPITAL WORLD GRTH & INC C	0.00	2.29	0.00	2.29	90.0	2.06
09/16/2016	POLLAN, JACLYN	AM FUNDS CAPITAL WORLD GRTH & INC C	0.00	2.35	0.00	2.35	90.0	2.12
10/17/2016	POLLAN, JACLYN	AM FUNDS CAPITAL WORLD GRTH & INC C	0.00	2.27	0.00	2.27	90.0	2.04
11/18/2016	POLLAN, JACLYN	AM FUNDS CAPITAL WORLD GRTH & INC C	0.00	2.33	0.00	2.33	90.0	2.10
12/15/2016	POLLAN, JACLYN	AM FUNDS CAPITAL WORLD GRTH & INC C	0.00	2.22	0.00	2.22	90.0	2.00
02/16/2016	FLEISCH, ROBERT	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	11.23	0.00	11.23	90.0	10.11
03/15/2016	FLEISCH, ROBERT	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	10.13	0.00	10.13	90.0	9.12
04/20/2016	FLEISCH, ROBERT	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	11.53	0.00	11.53	90.0	10.38
05/16/2016	FLEISCH, ROBERT	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	11.43	0.00	11.43	90.0	10.29
06/15/2016	FLEISCH, ROBERT	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	11.68	0.00	11.68	90.0	10.51
07/18/2016	FLEISCH, ROBERT	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	11.32	0.00	11.32	90.0	10.19
08/15/2016	FLEISCH, ROBERT	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	11.96	0.00	11.96	90.0	10.76
09/16/2016	FLEISCH, ROBERT	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	12.12	0.00	12.12	90.0	10.91
10/17/2016	FLEISCH, ROBERT	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	11.78	0.00	11.78	90.0	10.60
11/18/2016	FLEISCH, ROBERT	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	12.03	0.00	12.03	90.0	10.83
12/15/2016	FLEISCH, ROBERT	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	11.24	0.00	11.24	90.0	10.12
02/16/2016	MELVIN, MARY THOMPSON	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.54	0.00	1.54	90.0	1.39
03/15/2016	MELVIN, MARY THOMPSON	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.42	0.00	1.42	90.0	1.28
04/20/2016	MELVIN, MARY THOMPSON	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.62	0.00	1.62	90.0	1.46
05/16/2016	MELVIN, MARY THOMPSON	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.61	0.00	1.61	90.0	1.45

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
06/15/2016	MELVIN, MARY THOMPSON	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.67	0.00	1.67	90.0	1.50
07/18/2016	MELVIN, MARY THOMPSON	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.64	0.00	1.64	90.0	1.48
08/15/2016	MELVIN, MARY THOMPSON	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.73	0.00	1.73	90.0	1.56
09/16/2016	MELVIN, MARY THOMPSON	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.77	0.00	1.77	90.0	1.59
10/17/2016	MELVIN, MARY THOMPSON	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.70	0.00	1.70	90.0	1.53
11/18/2016	MELVIN, MARY THOMPSON	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.76	0.00	1.76	90.0	1.58
12/15/2016	MELVIN, MARY THOMPSON	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.67	0.00	1.67	90.0	1.50
02/16/2016	CHERRY, AYDEN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.64	0.00	0.64	90.0	0.58
02/16/2016	LINSKY, LISA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	3.28	0.00	3.28	90.0	2.95
02/16/2016	RIZZO, DIANE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.18	0.00	1.18	90.0	1.06
02/16/2016	OLIVETI, FRANK	AM FUNDS GROWTH FUND OF AMERICA A	0.00	4.49	0.00	4.49	90.0	4.04
02/16/2016	BERK, SHERRI	AM FUNDS GROWTH FUND OF AMERICA A	0.00	3.40	0.00	3.40	90.0	3.06
02/16/2016	PERETTI, TERESA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.29	0.00	1.29	90.0	1.16
02/16/2016	CENTANNI, BETTY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.35	0.00	0.35	90.0	0.32
02/16/2016	CENTANNI, RICHARD	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.68	0.00	0.68	90.0	0.61
02/16/2016	NATHAN, EDWARD	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.47	0.00	0.47	90.0	0.42
02/16/2016	NATHAN, EDWARD	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.76	0.00	0.76	90.0	0.68
02/16/2016	NATHAN, SUSAN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.46	0.00	0.46	90.0	0.41
03/15/2016	CHERRY, AYDEN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.58	0.00	0.58	90.0	0.52
03/15/2016	LINSKY, LISA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	2.96	0.00	2.96	90.0	2.66
03/15/2016	RIZZO, DIANE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.07	0.00	1.07	90.0	0.96
03/15/2016	OLIVETI, FRANK	AM FUNDS GROWTH FUND OF AMERICA A	0.00	4.06	0.00	4.06	90.0	3.65
03/15/2016	BERK, SHERRI	AM FUNDS GROWTH FUND OF AMERICA A	0.00	3.07	0.00	3.07	90.0	2.76
03/15/2016	PERETTI, TERESA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.16	0.00	1.16	90.0	1.04
03/15/2016	CENTANNI, BETTY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.32	0.00	0.32	90.0	0.29
03/15/2016	CENTANNI, RICHARD	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.62	0.00	0.62	90.0	0.56
03/15/2016	NATHAN, EDWARD	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.42	0.00	0.42	90.0	0.38
03/15/2016	NATHAN, EDWARD	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.69	0.00	0.69	90.0	0.62
03/15/2016	NATHAN, SUSAN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.42	0.00	0.42	90.0	0.38
04/20/2016	CHERRY, AYDEN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.66	0.00	0.66	90.0	0.59
04/20/2016	LINSKY, LISA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	3.38	0.00	3.38	90.0	3.04
04/20/2016	RIZZO, DIANE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.21	0.00	1.21	90.0	1.09
04/20/2016	OLIVETI, FRANK	AM FUNDS GROWTH FUND OF AMERICA A	0.00	4.62	0.00	4.62	90.0	4.16

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
04/20/2016	BERK, SHERRI	AM FUNDS GROWTH FUND OF AMERICA A	0.00	3.50	0.00	3.50	90.0	3.15
04/20/2016	PERETTI, TERESA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.32	0.00	1.32	90.0	1.19
04/20/2016	CENTANNI, BETTY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.36	0.00	0.36	90.0	0.32
04/20/2016	CENTANNI, RICHARD	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.70	0.00	0.70	90.0	0.63
04/20/2016	NATHAN, EDWARD	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.48	0.00	0.48	90.0	0.43
04/20/2016	NATHAN, EDWARD	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.78	0.00	0.78	90.0	0.70
04/20/2016	NATHAN, SUSAN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.48	0.00	0.48	90.0	0.43
05/16/2016	CHERRY, AYDEN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.66	0.00	0.66	90.0	0.59
05/16/2016	LINSKY, LISA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	3.38	0.00	3.38	90.0	3.04
05/16/2016	RIZZO, DIANE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.21	0.00	1.21	90.0	1.09
05/16/2016	OLIVETI, FRANK	AM FUNDS GROWTH FUND OF AMERICA A	0.00	4.62	0.00	4.62	90.0	4.16
05/16/2016	BERK, SHERRI	AM FUNDS GROWTH FUND OF AMERICA A	0.00	3.52	0.00	3.52	90.0	3.17
05/16/2016	PERETTI, TERESA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.32	0.00	1.32	90.0	1.19
05/16/2016	CENTANNI, BETTY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.36	0.00	0.36	90.0	0.32
05/16/2016	CENTANNI, RICHARD	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.70	0.00	0.70	90.0	0.63
05/16/2016	NATHAN, EDWARD	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.48	0.00	0.48	90.0	0.43
05/16/2016	NATHAN, EDWARD	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.78	0.00	0.78	90.0	0.70
05/16/2016	NATHAN, SUSAN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.48	0.00	0.48	90.0	0.43
06/15/2016	CHERRY, AYDEN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.68	0.00	0.68	90.0	0.61
06/15/2016	LINSKY, LISA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	3.49	0.00	3.49	90.0	3.14
06/15/2016	RIZZO, DIANE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.26	0.00	1.26	90.0	1.13
06/15/2016	OLIVETI, FRANK	AM FUNDS GROWTH FUND OF AMERICA A	0.00	4.78	0.00	4.78	90.0	4.30
06/15/2016	BERK, SHERRI	AM FUNDS GROWTH FUND OF AMERICA A	0.00	3.66	0.00	3.66	90.0	3.29
06/15/2016	PERETTI, TERESA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.37	0.00	1.37	90.0	1.23
06/15/2016	CENTANNI, BETTY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.38	0.00	0.38	90.0	0.34
06/15/2016	CENTANNI, RICHARD	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.73	0.00	0.73	90.0	0.66
06/15/2016	NATHAN, EDWARD	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.50	0.00	0.50	90.0	0.45
06/15/2016	NATHAN, EDWARD	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.81	0.00	0.81	90.0	0.73
06/15/2016	NATHAN, SUSAN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.49	0.00	0.49	90.0	0.44
07/18/2016	CHERRY, AYDEN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.67	0.00	0.67	90.0	0.60
07/18/2016	LINSKY, LISA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	3.43	0.00	3.43	90.0	3.09
07/18/2016	RIZZO, DIANE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.23	0.00	1.23	90.0	1.11
07/18/2016	OLIVETI, FRANK	AM FUNDS GROWTH FUND OF AMERICA A	0.00	4.69	0.00	4.69	90.0	4.22

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
07/18/2016	BERK, SHERRI	AM FUNDS GROWTH FUND OF AMERICA A	0.00	3.61	0.00	3.61	90.0	3.25
07/18/2016	PERETTI, TERESA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.34	0.00	1.34	90.0	1.21
07/18/2016	CENTANNI, BETTY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.37	0.00	0.37	90.0	0.33
07/18/2016	CENTANNI, RICHARD	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.71	0.00	0.71	90.0	0.64
07/18/2016	NATHAN, EDWARD	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.49	0.00	0.49	90.0	0.44
07/18/2016	NATHAN, EDWARD	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.79	0.00	0.79	90.0	0.71
07/18/2016	NATHAN, SUSAN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.48	0.00	0.48	90.0	0.43
08/15/2016	CHERRY, AYDEN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.71	0.00	0.71	90.0	0.64
08/15/2016	LINSKY, LISA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	3.63	0.00	3.63	90.0	3.27
08/15/2016	RIZZO, DIANE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.31	0.00	1.31	90.0	1.18
08/15/2016	OLIVETI, FRANK	AM FUNDS GROWTH FUND OF AMERICA A	0.00	4.97	0.00	4.97	90.0	4.47
08/15/2016	BERK, SHERRI	AM FUNDS GROWTH FUND OF AMERICA A	0.00	3.85	0.00	3.85	90.0	3.47
08/15/2016	PERETTI, TERESA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.42	0.00	1.42	90.0	1.28
08/15/2016	CENTANNI, BETTY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.39	0.00	0.39	90.0	0.35
08/15/2016	CENTANNI, RICHARD	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.76	0.00	0.76	90.0	0.68
08/15/2016	NATHAN, EDWARD	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.52	0.00	0.52	90.0	0.47
08/15/2016	NATHAN, EDWARD	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.84	0.00	0.84	90.0	0.76
08/15/2016	NATHAN, SUSAN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.51	0.00	0.51	90.0	0.46
09/16/2016	CHERRY, AYDEN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.73	0.00	0.73	90.0	0.66
09/16/2016	LINSKY, LISA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	3.73	0.00	3.73	90.0	3.36
09/16/2016	RIZZO, DIANE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.34	0.00	1.34	90.0	1.21
09/16/2016	OLIVETI, FRANK	AM FUNDS GROWTH FUND OF AMERICA A	0.00	5.11	0.00	5.11	90.0	4.60
09/16/2016	BERK, SHERRI	AM FUNDS GROWTH FUND OF AMERICA A	0.00	3.74	0.00	3.74	90.0	3.37
09/16/2016	PERETTI, TERESA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.46	0.00	1.46	90.0	1.31
09/16/2016	CENTANNI, BETTY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.40	0.00	0.40	90.0	0.36
09/16/2016	CENTANNI, RICHARD	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.78	0.00	0.78	90.0	0.70
09/16/2016	NATHAN, EDWARD	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.53	0.00	0.53	90.0	0.48
09/16/2016	NATHAN, EDWARD	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.87	0.00	0.87	90.0	0.78
09/16/2016	NATHAN, SUSAN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.53	0.00	0.53	90.0	0.48
10/17/2016	CHERRY, AYDEN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.70	0.00	0.70	90.0	0.63
10/17/2016	LINSKY, LISA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	3.60	0.00	3.60	90.0	3.24
10/17/2016	RIZZO, DIANE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.29	0.00	1.29	90.0	1.16
10/17/2016	OLIVETI, FRANK	AM FUNDS GROWTH FUND OF AMERICA A	0.00	4.92	0.00	4.92	90.0	4.43

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
10/17/2016	BERK, SHERRI	AM FUNDS GROWTH FUND OF AMERICA A	0.00	3.53	0.00	3.53	90.0	3.18
10/17/2016	PERETTI, TERESA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.41	0.00	1.41	90.0	1.27
10/17/2016	CENTANNI, BETTY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.39	0.00	0.39	90.0	0.35
10/17/2016	CENTANNI, RICHARD	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.75	0.00	0.75	90.0	0.68
10/17/2016	NATHAN, EDWARD	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.51	0.00	0.51	90.0	0.46
10/17/2016	NATHAN, EDWARD	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.83	0.00	0.83	90.0	0.75
10/17/2016	NATHAN, SUSAN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.51	0.00	0.51	90.0	0.46
11/18/2016	CHERRY, AYDEN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.73	0.00	0.73	90.0	0.66
11/18/2016	LINSKY, LISA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	3.74	0.00	3.74	90.0	3.37
11/18/2016	RIZZO, DIANE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.34	0.00	1.34	90.0	1.21
11/18/2016	OLIVETI, FRANK	AM FUNDS GROWTH FUND OF AMERICA A	0.00	5.12	0.00	5.12	90.0	4.61
11/18/2016	BERK, SHERRI	AM FUNDS GROWTH FUND OF AMERICA A	0.00	3.67	0.00	3.67	90.0	3.30
11/18/2016	PERETTI, TERESA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.46	0.00	1.46	90.0	1.31
11/18/2016	CENTANNI, BETTY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.40	0.00	0.40	90.0	0.36
11/18/2016	CENTANNI, RICHARD	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.78	0.00	0.78	90.0	0.70
11/18/2016	NATHAN, EDWARD	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.53	0.00	0.53	90.0	0.48
11/18/2016	NATHAN, EDWARD	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.87	0.00	0.87	90.0	0.78
11/18/2016	NATHAN, SUSAN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.53	0.00	0.53	90.0	0.48
12/15/2016	CHERRY, AYDEN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.71	0.00	0.71	90.0	0.64
12/15/2016	LINSKY, LISA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	3.62	0.00	3.62	90.0	3.26
12/15/2016	RIZZO, DIANE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.30	0.00	1.30	90.0	1.17
12/15/2016	OLIVETI, FRANK	AM FUNDS GROWTH FUND OF AMERICA A	0.00	4.96	0.00	4.96	90.0	4.46
12/15/2016	BERK, SHERRI	AM FUNDS GROWTH FUND OF AMERICA A	0.00	3.55	0.00	3.55	90.0	3.20
12/15/2016	PERETTI, TERESA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.42	0.00	1.42	90.0	1.28
12/15/2016	CENTANNI, BETTY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.39	0.00	0.39	90.0	0.35
12/15/2016	CENTANNI, RICHARD	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.75	0.00	0.75	90.0	0.68
12/15/2016	NATHAN, EDWARD	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.51	0.00	0.51	90.0	0.46
12/15/2016	NATHAN, EDWARD	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.84	0.00	0.84	90.0	0.76
12/15/2016	NATHAN, SUSAN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.51	0.00	0.51	90.0	0.46
02/16/2016	SPECTER, LINDSAY	AM FUNDS GROWTH FUND OF AMERICA C	0.00	1.97	0.00	1.97	90.0	1.77
03/15/2016	SPECTER, LINDSAY	AM FUNDS GROWTH FUND OF AMERICA C	0.00	1.78	0.00	1.78	90.0	1.60
04/20/2016	SPECTER, LINDSAY	AM FUNDS GROWTH FUND OF AMERICA C	0.00	2.02	0.00	2.02	90.0	1.82
05/16/2016	SPECTER, LINDSAY	AM FUNDS GROWTH FUND OF AMERICA C	0.00	2.02	0.00	2.02	90.0	1.82

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
06/15/2016	SPECTER, LINDSAY	AM FUNDS GROWTH FUND OF AMERICA C	0.00	2.09	0.00	2.09	90.0	1.88
07/18/2016	SPECTER, LINDSAY	AM FUNDS GROWTH FUND OF AMERICA C	0.00	2.05	0.00	2.05	90.0	1.85
08/15/2016	SPECTER, LINDSAY	AM FUNDS GROWTH FUND OF AMERICA C	0.00	2.17	0.00	2.17	90.0	1.95
09/16/2016	SPECTER, LINDSAY	AM FUNDS GROWTH FUND OF AMERICA C	0.00	2.23	0.00	2.23	90.0	2.01
10/17/2016	SPECTER, LINDSAY	AM FUNDS GROWTH FUND OF AMERICA C	0.00	2.14	0.00	2.14	90.0	1.93
11/18/2016	SPECTER, LINDSAY	AM FUNDS GROWTH FUND OF AMERICA C	0.00	2.23	0.00	2.23	90.0	2.01
12/15/2016	SPECTER, LINDSAY	AM FUNDS GROWTH FUND OF AMERICA C	0.00	2.16	0.00	2.16	90.0	1.94
02/16/2016	SPECTER TRUST, STEPHANIE	AM FUNDS GROWTH FUND OF AMERICA F1	0.00	10.46	0.00	10.46	90.0	9.41
02/16/2016	POLLAN, PATRICIA	AM FUNDS GROWTH FUND OF AMERICA F1	0.00	2.11	0.00	2.11	90.0	1.90
02/16/2016	POLLAN, JACLYN	AM FUNDS GROWTH FUND OF AMERICA F1	0.00	1.90	0.00	1.90	90.0	1.71
02/16/2016	SPECTER, LINDSAY	AM FUNDS GROWTH FUND OF AMERICA F1	0.00	3.90	0.00	3.90	90.0	3.51
02/16/2016	SPECTER, SHELBY	AM FUNDS GROWTH FUND OF AMERICA F1	0.00	3.96	0.00	3.96	90.0	3.56
03/15/2016	SPECTER TRUST, STEPHANIE	AM FUNDS GROWTH FUND OF AMERICA F1	0.00	9.44	0.00	9.44	90.0	8.50
03/15/2016	POLLAN, JACLYN	AM FUNDS GROWTH FUND OF AMERICA F1	0.00	1.72	0.00	1.72	90.0	1.55
03/15/2016	SPECTER, LINDSAY	AM FUNDS GROWTH FUND OF AMERICA F1	0.00	3.52	0.00	3.52	90.0	3.17
03/15/2016	SPECTER, SHELBY	AM FUNDS GROWTH FUND OF AMERICA F1	0.00	3.58	0.00	3.58	90.0	3.22
04/20/2016	SPECTER TRUST, STEPHANIE	AM FUNDS GROWTH FUND OF AMERICA F1	0.00	10.75	0.00	10.75	90.0	9.68
04/20/2016	POLLAN, JACLYN	AM FUNDS GROWTH FUND OF AMERICA F1	0.00	1.96	0.00	1.96	90.0	1.76
04/20/2016	SPECTER, LINDSAY	AM FUNDS GROWTH FUND OF AMERICA F1	0.00	4.01	0.00	4.01	90.0	3.61
04/20/2016	SPECTER, SHELBY	AM FUNDS GROWTH FUND OF AMERICA F1	0.00	4.08	0.00	4.08	90.0	3.67
05/16/2016	SPECTER TRUST, STEPHANIE	AM FUNDS GROWTH FUND OF AMERICA F1	0.00	10.76	0.00	10.76	90.0	9.68
05/16/2016	POLLAN, JACLYN	AM FUNDS GROWTH FUND OF AMERICA F1	0.00	1.96	0.00	1.96	90.0	1.76
05/16/2016	SPECTER, LINDSAY	AM FUNDS GROWTH FUND OF AMERICA F1	0.00	4.01	0.00	4.01	90.0	3.61
05/16/2016	SPECTER, SHELBY	AM FUNDS GROWTH FUND OF AMERICA F1	0.00	4.08	0.00	4.08	90.0	3.67
06/15/2016	SPECTER TRUST, STEPHANIE	AM FUNDS GROWTH FUND OF AMERICA F1	0.00	11.12	0.00	11.12	90.0	10.01
06/15/2016	POLLAN, JACLYN	AM FUNDS GROWTH FUND OF AMERICA F1	0.00	2.02	0.00	2.02	90.0	1.82
06/15/2016	SPECTER, LINDSAY	AM FUNDS GROWTH FUND OF AMERICA F1	0.00	4.15	0.00	4.15	90.0	3.74
06/15/2016	SPECTER, SHELBY	AM FUNDS GROWTH FUND OF AMERICA F1	0.00	4.21	0.00	4.21	90.0	3.79
07/18/2016	SPECTER TRUST, STEPHANIE	AM FUNDS GROWTH FUND OF AMERICA F1	0.00	10.92	0.00	10.92	90.0	9.83
07/18/2016	POLLAN, JACLYN	AM FUNDS GROWTH FUND OF AMERICA F1	0.00	1.99	0.00	1.99	90.0	1.79
07/18/2016	SPECTER, LINDSAY	AM FUNDS GROWTH FUND OF AMERICA F1	0.00	4.07	0.00	4.07	90.0	3.66
07/18/2016	SPECTER, SHELBY	AM FUNDS GROWTH FUND OF AMERICA F1	0.00	4.14	0.00	4.14	90.0	3.73
08/15/2016	SPECTER TRUST, STEPHANIE	AM FUNDS GROWTH FUND OF AMERICA F1	0.00	11.57	0.00	11.57	90.0	10.41

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
08/15/2016	POLLAN, JACLYN	AM FUNDS GROWTH FUND OF AMERICA F1	0.00	2.11	0.00	2.11	90.0	1.90
08/15/2016	SPECTER, LINDSAY	AM FUNDS GROWTH FUND OF AMERICA F1	0.00	4.32	0.00	4.32	90.0	3.89
08/15/2016	SPECTER, SHELBY	AM FUNDS GROWTH FUND OF AMERICA F1	0.00	4.38	0.00	4.38	90.0	3.94
09/16/2016	SPECTER TRUST, STEPHANIE	AM FUNDS GROWTH FUND OF AMERICA F1	0.00	8.04	0.00	8.04	90.0	7.24
09/16/2016	POLLAN, JACLYN	AM FUNDS GROWTH FUND OF AMERICA F1	0.00	2.16	0.00	2.16	90.0	1.94
09/16/2016	SPECTER, LINDSAY	AM FUNDS GROWTH FUND OF AMERICA F1	0.00	4.43	0.00	4.43	90.0	3.99
09/16/2016	SPECTER, SHELBY	AM FUNDS GROWTH FUND OF AMERICA F1	0.00	4.50	0.00	4.50	90.0	4.05
10/17/2016	POLLAN, JACLYN	AM FUNDS GROWTH FUND OF AMERICA F1	0.00	2.09	0.00	2.09	90.0	1.88
10/17/2016	SPECTER, LINDSAY	AM FUNDS GROWTH FUND OF AMERICA F1	0.00	4.28	0.00	4.28	90.0	3.85
10/17/2016	SPECTER, SHELBY	AM FUNDS GROWTH FUND OF AMERICA F1	0.00	4.34	0.00	4.34	90.0	3.91
11/18/2016	POLLAN, JACLYN	AM FUNDS GROWTH FUND OF AMERICA F1	0.00	2.17	0.00	2.17	90.0	1.95
11/18/2016	SPECTER, LINDSAY	AM FUNDS GROWTH FUND OF AMERICA F1	0.00	4.44	0.00	4.44	90.0	4.00
11/18/2016	SPECTER, SHELBY	AM FUNDS GROWTH FUND OF AMERICA F1	0.00	4.51	0.00	4.51	90.0	4.06
12/15/2016	POLLAN, JACLYN	AM FUNDS GROWTH FUND OF AMERICA F1	0.00	2.10	0.00	2.10	90.0	1.89
12/15/2016	SPECTER, LINDSAY	AM FUNDS GROWTH FUND OF AMERICA F1	0.00	4.30	0.00	4.30	90.0	3.87
12/15/2016	SPECTER, SHELBY	AM FUNDS GROWTH FUND OF AMERICA F1	0.00	4.37	0.00	4.37	90.0	3.93
02/16/2016	RIZZO, DIANE	AM FUNDS ICA A	0.00	1.10	0.00	1.10	90.0	0.99
02/16/2016	FLEISCH, ROBERT	AM FUNDS ICA A	0.00	7.11	0.00	7.11	90.0	6.40
02/16/2016	NATHAN, EDWARD	AM FUNDS ICA A	0.00	0.42	0.00	0.42	90.0	0.38
02/16/2016	NATHAN, EDWARD	AM FUNDS ICA A	0.00	0.68	0.00	0.68	90.0	0.61
02/16/2016	NATHAN, SUSAN	AM FUNDS ICA A	0.00	0.41	0.00	0.41	90.0	0.37
02/16/2016	NAGLE, JOSEPHINE	AM FUNDS ICA A	0.00	0.43	0.00	0.43	90.0	0.39
03/15/2016	RIZZO, DIANE	AM FUNDS ICA A	0.00	1.03	0.00	1.03	90.0	0.93
03/15/2016	FLEISCH, ROBERT	AM FUNDS ICA A	0.00	6.66	0.00	6.66	90.0	5.99
03/15/2016	NATHAN, EDWARD	AM FUNDS ICA A	0.00	0.39	0.00	0.39	90.0	0.35
03/15/2016	NATHAN, EDWARD	AM FUNDS ICA A	0.00	0.64	0.00	0.64	90.0	0.58
03/15/2016	NATHAN, SUSAN	AM FUNDS ICA A	0.00	0.39	0.00	0.39	90.0	0.35
03/15/2016	NAGLE, JOSEPHINE	AM FUNDS ICA A	0.00	2.09	0.00	2.09	90.0	1.88
04/20/2016	RIZZO, DIANE	AM FUNDS ICA A	0.00	1.17	0.00	1.17	90.0	1.05
04/20/2016	FLEISCH, ROBERT	AM FUNDS ICA A	0.00	7.60	0.00	7.60	90.0	6.84
04/20/2016	NATHAN, EDWARD	AM FUNDS ICA A	0.00	0.44	0.00	0.44	90.0	0.40
04/20/2016	NATHAN, EDWARD	AM FUNDS ICA A	0.00	0.73	0.00	0.73	90.0	0.66
04/20/2016	NATHAN, SUSAN	AM FUNDS ICA A	0.00	0.44	0.00	0.44	90.0	0.40

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
04/20/2016	NAGLE, JOSEPHINE	AM FUNDS ICA A	0.00	2.38	0.00	2.38	90.0	2.14
05/16/2016	RIZZO, DIANE	AM FUNDS ICA A	0.00	1.17	0.00	1.17	90.0	1.05
05/16/2016	FLEISCH, ROBERT	AM FUNDS ICA A	0.00	7.59	0.00	7.59	90.0	6.83
05/16/2016	NATHAN, EDWARD	AM FUNDS ICA A	0.00	0.44	0.00	0.44	90.0	0.40
05/16/2016	NATHAN, EDWARD	AM FUNDS ICA A	0.00	0.72	0.00	0.72	90.0	0.65
05/16/2016	NATHAN, SUSAN	AM FUNDS ICA A	0.00	0.44	0.00	0.44	90.0	0.40
05/16/2016	NAGLE, JOSEPHINE	AM FUNDS ICA A	0.00	2.38	0.00	2.38	90.0	2.14
06/15/2016	RIZZO, DIANE	AM FUNDS ICA A	0.00	1.21	0.00	1.21	90.0	1.09
06/15/2016	FLEISCH, ROBERT	AM FUNDS ICA A	0.00	7.83	0.00	7.83	90.0	7.05
06/15/2016	NATHAN, EDWARD	AM FUNDS ICA A	0.00	0.46	0.00	0.46	90.0	0.41
06/15/2016	NATHAN, EDWARD	AM FUNDS ICA A	0.00	0.75	0.00	0.75	90.0	0.68
06/15/2016	NATHAN, SUSAN	AM FUNDS ICA A	0.00	0.46	0.00	0.46	90.0	0.41
06/15/2016	NAGLE, JOSEPHINE	AM FUNDS ICA A	0.00	2.46	0.00	2.46	90.0	2.21
06/15/2016	TAYLOR, THOMAS	AM FUNDS ICA A	0.00	0.08	0.00	0.08	90.0	0.07
06/15/2016	TAYLOR, DIANE	AM FUNDS ICA A	0.00	0.08	0.00	0.08	90.0	0.07
07/18/2016	RIZZO, DIANE	AM FUNDS ICA A	0.00	1.19	0.00	1.19	90.0	1.07
07/18/2016	FLEISCH, ROBERT	AM FUNDS ICA A	0.00	7.68	0.00	7.68	90.0	6.91
07/18/2016	NATHAN, EDWARD	AM FUNDS ICA A	0.00	0.45	0.00	0.45	90.0	0.41
07/18/2016	NATHAN, EDWARD	AM FUNDS ICA A	0.00	0.73	0.00	0.73	90.0	0.66
07/18/2016	NATHAN, SUSAN	AM FUNDS ICA A	0.00	0.45	0.00	0.45	90.0	0.41
07/18/2016	NAGLE, JOSEPHINE	AM FUNDS ICA A	0.00	2.41	0.00	2.41	90.0	2.17
07/18/2016	TAYLOR, THOMAS	AM FUNDS ICA A	0.00	0.46	0.00	0.46	90.0	0.41
07/18/2016	TAYLOR, DIANE	AM FUNDS ICA A	0.00	0.46	0.00	0.46	90.0	0.41
08/15/2016	RIZZO, DIANE	AM FUNDS ICA A	0.00	1.27	0.00	1.27	90.0	1.14
08/15/2016	FLEISCH, ROBERT	AM FUNDS ICA A	0.00	8.19	0.00	8.19	90.0	7.37
08/15/2016	NATHAN, EDWARD	AM FUNDS ICA A	0.00	0.48	0.00	0.48	90.0	0.43
08/15/2016	NATHAN, EDWARD	AM FUNDS ICA A	0.00	0.78	0.00	0.78	90.0	0.70
08/15/2016	NATHAN, SUSAN	AM FUNDS ICA A	0.00	0.48	0.00	0.48	90.0	0.43
08/15/2016	NAGLE, JOSEPHINE	AM FUNDS ICA A	0.00	2.57	0.00	2.57	90.0	2.31
08/15/2016	TAYLOR, THOMAS	AM FUNDS ICA A	0.00	0.49	0.00	0.49	90.0	0.44
08/15/2016	TAYLOR, DIANE	AM FUNDS ICA A	0.00	0.49	0.00	0.49	90.0	0.44
09/16/2016	RIZZO, DIANE	AM FUNDS ICA A	0.00	1.29	0.00	1.29	90.0	1.16
09/16/2016	FLEISCH, ROBERT	AM FUNDS ICA A	0.00	7.90	0.00	7.90	90.0	7.11

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
09/16/2016	NATHAN, EDWARD	AM FUNDS ICA A	0.00	0.49	0.00	0.49	90.0	0.44
09/16/2016	NATHAN, EDWARD	AM FUNDS ICA A	0.00	0.79	0.00	0.79	90.0	0.71
09/16/2016	NATHAN, SUSAN	AM FUNDS ICA A	0.00	0.48	0.00	0.48	90.0	0.43
09/16/2016	NAGLE, JOSEPHINE	AM FUNDS ICA A	0.00	2.61	0.00	2.61	90.0	2.35
09/16/2016	TAYLOR, THOMAS	AM FUNDS ICA A	0.00	0.49	0.00	0.49	90.0	0.44
09/16/2016	TAYLOR, DIANE	AM FUNDS ICA A	0.00	0.49	0.00	0.49	90.0	0.44
10/17/2016	RIZZO, DIANE	AM FUNDS ICA A	0.00	1.23	0.00	1.23	90.0	1.11
10/17/2016	FLEISCH, ROBERT	AM FUNDS ICA A	0.00	7.38	0.00	7.38	90.0	6.64
10/17/2016	NATHAN, EDWARD	AM FUNDS ICA A	0.00	0.47	0.00	0.47	90.0	0.42
10/17/2016	NATHAN, EDWARD	AM FUNDS ICA A	0.00	0.76	0.00	0.76	90.0	0.68
10/17/2016	NATHAN, SUSAN	AM FUNDS ICA A	0.00	0.46	0.00	0.46	90.0	0.41
10/17/2016	NAGLE, JOSEPHINE	AM FUNDS ICA A	0.00	2.50	0.00	2.50	90.0	2.25
10/17/2016	TAYLOR, THOMAS	AM FUNDS ICA A	0.00	0.47	0.00	0.47	90.0	0.42
10/17/2016	TAYLOR, DIANE	AM FUNDS ICA A	0.00	0.47	0.00	0.47	90.0	0.42
11/18/2016	RIZZO, DIANE	AM FUNDS ICA A	0.00	1.28	0.00	1.28	90.0	1.15
11/18/2016	FLEISCH, ROBERT	AM FUNDS ICA A	0.00	7.62	0.00	7.62	90.0	6.86
11/18/2016	NATHAN, EDWARD	AM FUNDS ICA A	0.00	0.48	0.00	0.48	90.0	0.43
11/18/2016	NATHAN, EDWARD	AM FUNDS ICA A	0.00	0.79	0.00	0.79	90.0	0.71
11/18/2016	NATHAN, SUSAN	AM FUNDS ICA A	0.00	0.48	0.00	0.48	90.0	0.43
11/18/2016	GERARD, JO ANNE	AM FUNDS ICA A	0.00	0.14	0.00	0.14	90.0	0.13
11/18/2016	NAGLE, JOSEPHINE	AM FUNDS ICA A	0.00	1.67	0.00	1.67	90.0	1.50
11/18/2016	TAYLOR, THOMAS	AM FUNDS ICA A	0.00	0.49	0.00	0.49	90.0	0.44
11/18/2016	TAYLOR, DIANE	AM FUNDS ICA A	0.00	0.49	0.00	0.49	90.0	0.44
11/18/2016	APPLEGATE, PAMAELE	AM FUNDS ICA A	0.00	0.36	0.00	0.36	90.0	0.32
12/15/2016	RIZZO, DIANE	AM FUNDS ICA A	0.00	1.24	0.00	1.24	90.0	1.12
12/15/2016	FLEISCH, ROBERT	AM FUNDS ICA A	0.00	7.43	0.00	7.43	90.0	6.69
12/15/2016	NATHAN, EDWARD	AM FUNDS ICA A	0.00	0.47	0.00	0.47	90.0	0.42
12/15/2016	NATHAN, EDWARD	AM FUNDS ICA A	0.00	0.77	0.00	0.77	90.0	0.69
12/15/2016	NATHAN, SUSAN	AM FUNDS ICA A	0.00	0.47	0.00	0.47	90.0	0.42
12/15/2016	TAYLOR, THOMAS	AM FUNDS ICA A	0.00	0.48	0.00	0.48	90.0	0.43
12/15/2016	TAYLOR, DIANE	AM FUNDS ICA A	0.00	0.48	0.00	0.48	90.0	0.43
12/15/2016	APPLEGATE, PAMAELE	AM FUNDS ICA A	0.00	0.83	0.00	0.83	90.0	0.75
02/16/2016	SPECTER, SHELBY	AM FUNDS ICA C	0.00	4.01	0.00	4.01	90.0	3.61

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
03/15/2016	SPECTER, SHELBY	AM FUNDS ICA C	0.00	3.75	0.00	3.75	90.0	3.38
04/20/2016	SPECTER, SHELBY	AM FUNDS ICA C	0.00	4.27	0.00	4.27	90.0	3.84
05/16/2016	SPECTER, SHELBY	AM FUNDS ICA C	0.00	4.27	0.00	4.27	90.0	3.84
06/15/2016	SPECTER, SHELBY	AM FUNDS ICA C	0.00	4.40	0.00	4.40	90.0	3.96
07/18/2016	SPECTER, SHELBY	AM FUNDS ICA C	0.00	4.31	0.00	4.31	90.0	3.88
08/15/2016	SPECTER, SHELBY	AM FUNDS ICA C	0.00	4.60	0.00	4.60	90.0	4.14
09/16/2016	SPECTER, SHELBY	AM FUNDS ICA C	0.00	4.67	0.00	4.67	90.0	4.20
10/17/2016	SPECTER, SHELBY	AM FUNDS ICA C	0.00	4.47	0.00	4.47	90.0	4.02
11/18/2016	SPECTER, SHELBY	AM FUNDS ICA C	0.00	4.62	0.00	4.62	90.0	4.16
12/15/2016	SPECTER, SHELBY	AM FUNDS ICA C	0.00	4.50	0.00	4.50	90.0	4.05
02/16/2016	SPECTER TRUST, STEPHANIE	AM FUNDS ICA F1	0.00	9.24	0.00	9.24	90.0	8.32
02/16/2016	POLLAN, PATRICIA	AM FUNDS ICA F1	0.00	2.16	0.00	2.16	90.0	1.94
02/16/2016	SPECTER, LINDSAY	AM FUNDS ICA F1	0.00	3.58	0.00	3.58	90.0	3.22
02/16/2016	SPECTER, SHELBY	AM FUNDS ICA F1	0.00	3.43	0.00	3.43	90.0	3.09
03/15/2016	SPECTER TRUST, STEPHANIE	AM FUNDS ICA F1	0.00	8.66	0.00	8.66	90.0	7.79
03/15/2016	SPECTER, LINDSAY	AM FUNDS ICA F1	0.00	3.36	0.00	3.36	90.0	3.02
03/15/2016	SPECTER, SHELBY	AM FUNDS ICA F1	0.00	3.22	0.00	3.22	90.0	2.90
04/20/2016	SPECTER TRUST, STEPHANIE	AM FUNDS ICA F1	0.00	9.87	0.00	9.87	90.0	8.88
04/20/2016	SPECTER, LINDSAY	AM FUNDS ICA F1	0.00	3.83	0.00	3.83	90.0	3.45
04/20/2016	SPECTER, SHELBY	AM FUNDS ICA F1	0.00	3.67	0.00	3.67	90.0	3.30
05/16/2016	SPECTER TRUST, STEPHANIE	AM FUNDS ICA F1	0.00	9.86	0.00	9.86	90.0	8.87
05/16/2016	SPECTER, LINDSAY	AM FUNDS ICA F1	0.00	3.82	0.00	3.82	90.0	3.44
05/16/2016	SPECTER, SHELBY	AM FUNDS ICA F1	0.00	3.66	0.00	3.66	90.0	3.29
06/15/2016	SPECTER TRUST, STEPHANIE	AM FUNDS ICA F1	0.00	10.17	0.00	10.17	90.0	9.15
06/15/2016	SPECTER, LINDSAY	AM FUNDS ICA F1	0.00	3.95	0.00	3.95	90.0	3.56
06/15/2016	SPECTER, SHELBY	AM FUNDS ICA F1	0.00	3.78	0.00	3.78	90.0	3.40
07/18/2016	SPECTER TRUST, STEPHANIE	AM FUNDS ICA F1	0.00	9.98	0.00	9.98	90.0	8.98
07/18/2016	SPECTER, LINDSAY	AM FUNDS ICA F1	0.00	3.87	0.00	3.87	90.0	3.48
07/18/2016	SPECTER, SHELBY	AM FUNDS ICA F1	0.00	3.71	0.00	3.71	90.0	3.34
08/15/2016	SPECTER TRUST, STEPHANIE	AM FUNDS ICA F1	0.00	10.64	0.00	10.64	90.0	9.58
08/15/2016	SPECTER, LINDSAY	AM FUNDS ICA F1	0.00	4.13	0.00	4.13	90.0	3.72
08/15/2016	SPECTER, SHELBY	AM FUNDS ICA F1	0.00	3.96	0.00	3.96	90.0	3.56
09/16/2016	SPECTER TRUST, STEPHANIE	AM FUNDS ICA F1	0.00	10.81	0.00	10.81	90.0	9.73

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
09/16/2016	SPECTER, LINDSAY	AM FUNDS ICA F1	0.00	4.20	0.00	4.20	90.0	3.78
09/16/2016	SPECTER, SHELBY	AM FUNDS ICA F1	0.00	4.02	0.00	4.02	90.0	3.62
10/17/2016	SPECTER TRUST, STEPHANIE	AM FUNDS ICA F1	0.00	10.37	0.00	10.37	90.0	9.33
10/17/2016	SPECTER, LINDSAY	AM FUNDS ICA F1	0.00	4.02	0.00	4.02	90.0	3.62
10/17/2016	SPECTER, SHELBY	AM FUNDS ICA F1	0.00	3.85	0.00	3.85	90.0	3.47
11/18/2016	SPECTER TRUST, STEPHANIE	AM FUNDS ICA F1	0.00	10.70	0.00	10.70	90.0	9.63
11/18/2016	SPECTER, LINDSAY	AM FUNDS ICA F1	0.00	4.15	0.00	4.15	90.0	3.74
11/18/2016	SPECTER, SHELBY	AM FUNDS ICA F1	0.00	3.98	0.00	3.98	90.0	3.58
12/15/2016	SPECTER TRUST, STEPHANIE	AM FUNDS ICA F1	0.00	10.44	0.00	10.44	90.0	9.40
12/15/2016	SPECTER, LINDSAY	AM FUNDS ICA F1	0.00	4.05	0.00	4.05	90.0	3.65
12/15/2016	SPECTER, SHELBY	AM FUNDS ICA F1	0.00	3.88	0.00	3.88	90.0	3.49
02/16/2016	GARAFOLA, MICHAEL	AM FUNDS INCOME FUND OF AMERICA A	0.00	4.38	0.00	4.38	90.0	3.94
02/16/2016	GARAFOLA, GRACE	AM FUNDS INCOME FUND OF AMERICA A	0.00	3.61	0.00	3.61	90.0	3.25
02/16/2016	GARAFOLA, MICHAEL	AM FUNDS INCOME FUND OF AMERICA A	0.00	17.58	0.00	17.58	90.0	15.82
02/16/2016	MEDIA ENTERPRISES	AM FUNDS INCOME FUND OF AMERICA A	0.00	2.48	0.00	2.48	90.0	2.23
02/16/2016	DADINO JR, LAWRENCE	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.06	0.00	0.06	90.0	0.05
02/16/2016	GOLDBERGER, ANNA	AM FUNDS INCOME FUND OF AMERICA A	0.00	4.34	0.00	4.34	90.0	3.91
03/15/2016	GARAFOLA, MICHAEL	AM FUNDS INCOME FUND OF AMERICA A	0.00	4.10	0.00	4.10	90.0	3.69
03/15/2016	GARAFOLA, GRACE	AM FUNDS INCOME FUND OF AMERICA A	0.00	3.38	0.00	3.38	90.0	3.04
03/15/2016	GARAFOLA, MICHAEL	AM FUNDS INCOME FUND OF AMERICA A	0.00	16.48	0.00	16.48	90.0	14.83
03/15/2016	MEDIA ENTERPRISES	AM FUNDS INCOME FUND OF AMERICA A	0.00	2.33	0.00	2.33	90.0	2.10
03/15/2016	DADINO JR, LAWRENCE	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.06	0.00	0.06	90.0	0.05
03/15/2016	GOLDBERGER, ANNA	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.28	0.00	0.28	90.0	0.25
04/20/2016	GARAFOLA, MICHAEL	AM FUNDS INCOME FUND OF AMERICA A	0.00	4.60	0.00	4.60	90.0	4.14
04/20/2016	GARAFOLA, GRACE	AM FUNDS INCOME FUND OF AMERICA A	0.00	3.80	0.00	3.80	90.0	3.42
04/20/2016	GARAFOLA, MICHAEL	AM FUNDS INCOME FUND OF AMERICA A	0.00	18.40	0.00	18.40	90.0	16.56
04/20/2016	MEDIA ENTERPRISES	AM FUNDS INCOME FUND OF AMERICA A	0.00	2.61	0.00	2.61	90.0	2.35
04/20/2016	DADINO JR, LAWRENCE	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.07	0.00	0.07	90.0	0.06
05/16/2016	GARAFOLA, MICHAEL	AM FUNDS INCOME FUND OF AMERICA A	0.00	4.55	0.00	4.55	90.0	4.10
05/16/2016	GARAFOLA, GRACE	AM FUNDS INCOME FUND OF AMERICA A	0.00	3.75	0.00	3.75	90.0	3.38
05/16/2016	GARAFOLA, MICHAEL	AM FUNDS INCOME FUND OF AMERICA A	0.00	18.14	0.00	18.14	90.0	16.33
05/16/2016	MEDIA ENTERPRISES	AM FUNDS INCOME FUND OF AMERICA A	0.00	2.58	0.00	2.58	90.0	2.32
05/16/2016	DADINO JR, LAWRENCE	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.03	0.00	0.03	90.0	0.03

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
06/15/2016	GARAFOLA, MICHAEL	AM FUNDS INCOME FUND OF AMERICA A	0.00	4.71	0.00	4.71	90.0	4.24
06/15/2016	GARAFOLA, GRACE	AM FUNDS INCOME FUND OF AMERICA A	0.00	3.89	0.00	3.89	90.0	3.50
06/15/2016	GARAFOLA, MICHAEL	AM FUNDS INCOME FUND OF AMERICA A	0.00	18.76	0.00	18.76	90.0	16.88
06/15/2016	MEDIA ENTERPRISES	AM FUNDS INCOME FUND OF AMERICA A	0.00	2.67	0.00	2.67	90.0	2.40
07/18/2016	GARAFOLA, MICHAEL	AM FUNDS INCOME FUND OF AMERICA A	0.00	4.60	0.00	4.60	90.0	4.14
07/18/2016	GARAFOLA, GRACE	AM FUNDS INCOME FUND OF AMERICA A	0.00	3.81	0.00	3.81	90.0	3.43
07/18/2016	GARAFOLA, MICHAEL	AM FUNDS INCOME FUND OF AMERICA A	0.00	18.28	0.00	18.28	90.0	16.45
07/18/2016	MEDIA ENTERPRISES	AM FUNDS INCOME FUND OF AMERICA A	0.00	2.61	0.00	2.61	90.0	2.35
08/15/2016	GARAFOLA, MICHAEL	AM FUNDS INCOME FUND OF AMERICA A	0.00	4.91	0.00	4.91	90.0	4.42
08/15/2016	GARAFOLA, GRACE	AM FUNDS INCOME FUND OF AMERICA A	0.00	4.06	0.00	4.06	90.0	3.65
08/15/2016	GARAFOLA, MICHAEL	AM FUNDS INCOME FUND OF AMERICA A	0.00	19.43	0.00	19.43	90.0	17.49
08/15/2016	MEDIA ENTERPRISES	AM FUNDS INCOME FUND OF AMERICA A	0.00	2.79	0.00	2.79	90.0	2.51
09/16/2016	GARAFOLA, MICHAEL	AM FUNDS INCOME FUND OF AMERICA A	0.00	4.94	0.00	4.94	90.0	4.45
09/16/2016	GARAFOLA, GRACE	AM FUNDS INCOME FUND OF AMERICA A	0.00	4.08	0.00	4.08	90.0	3.67
09/16/2016	GARAFOLA, MICHAEL	AM FUNDS INCOME FUND OF AMERICA A	0.00	19.55	0.00	19.55	90.0	17.60
09/16/2016	MEDIA ENTERPRISES	AM FUNDS INCOME FUND OF AMERICA A	0.00	2.80	0.00	2.80	90.0	2.52
10/17/2016	GARAFOLA, MICHAEL	AM FUNDS INCOME FUND OF AMERICA A	0.00	4.72	0.00	4.72	90.0	4.25
10/17/2016	GARAFOLA, GRACE	AM FUNDS INCOME FUND OF AMERICA A	0.00	3.90	0.00	3.90	90.0	3.51
10/17/2016	GARAFOLA, MICHAEL	AM FUNDS INCOME FUND OF AMERICA A	0.00	18.73	0.00	18.73	90.0	16.86
10/17/2016	MEDIA ENTERPRISES	AM FUNDS INCOME FUND OF AMERICA A	0.00	2.70	0.00	2.70	90.0	2.43
11/18/2016	GARAFOLA, MICHAEL	AM FUNDS INCOME FUND OF AMERICA A	0.00	4.65	0.00	4.65	90.0	4.19
11/18/2016	GARAFOLA, GRACE	AM FUNDS INCOME FUND OF AMERICA A	0.00	3.87	0.00	3.87	90.0	3.48
11/18/2016	GARAFOLA, MICHAEL	AM FUNDS INCOME FUND OF AMERICA A	0.00	19.18	0.00	19.18	90.0	17.26
11/18/2016	MEDIA ENTERPRISES	AM FUNDS INCOME FUND OF AMERICA A	0.00	2.77	0.00	2.77	90.0	2.49
12/15/2016	GARAFOLA, MICHAEL	AM FUNDS INCOME FUND OF AMERICA A	0.00	4.49	0.00	4.49	90.0	4.04
12/15/2016	GARAFOLA, GRACE	AM FUNDS INCOME FUND OF AMERICA A	0.00	3.74	0.00	3.74	90.0	3.37
12/15/2016	GARAFOLA, MICHAEL	AM FUNDS INCOME FUND OF AMERICA A	0.00	18.53	0.00	18.53	90.0	16.68
12/15/2016	MEDIA ENTERPRISES	AM FUNDS INCOME FUND OF AMERICA A	0.00	2.68	0.00	2.68	90.0	2.41
02/16/2016	NAGLE, JOSEPHINE	AM FUNDS NEW PERSPECTIVE A	0.00	0.52	0.00	0.52	90.0	0.47
02/16/2016	NAGLE, JOSEPHINE	AM FUNDS NEW PERSPECTIVE A	0.00	0.47	0.00	0.47	90.0	0.42
03/15/2016	NAGLE, JOSEPHINE	AM FUNDS NEW PERSPECTIVE A	0.00	0.47	0.00	0.47	90.0	0.42
03/15/2016	NAGLE, JOSEPHINE	AM FUNDS NEW PERSPECTIVE A	0.00	2.20	0.00	2.20	90.0	1.98
04/20/2016	NAGLE, JOSEPHINE	AM FUNDS NEW PERSPECTIVE A	0.00	0.53	0.00	0.53	90.0	0.48

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
04/20/2016	NAGLE, JOSEPHINE	AM FUNDS NEW PERSPECTIVE A	0.00	2.50	0.00	2.50	90.0	2.25
05/16/2016	NAGLE, JOSEPHINE	AM FUNDS NEW PERSPECTIVE A	0.00	0.53	0.00	0.53	90.0	0.48
05/16/2016	NAGLE, JOSEPHINE	AM FUNDS NEW PERSPECTIVE A	0.00	2.49	0.00	2.49	90.0	2.24
06/15/2016	NAGLE, JOSEPHINE	AM FUNDS NEW PERSPECTIVE A	0.00	0.54	0.00	0.54	90.0	0.49
06/15/2016	NAGLE, JOSEPHINE	AM FUNDS NEW PERSPECTIVE A	0.00	2.55	0.00	2.55	90.0	2.30
06/15/2016	TAYLOR, THOMAS	AM FUNDS NEW PERSPECTIVE A	0.00	0.10	0.00	0.10	90.0	0.09
07/18/2016	NAGLE, JOSEPHINE	AM FUNDS NEW PERSPECTIVE A	0.00	0.52	0.00	0.52	90.0	0.47
07/18/2016	NAGLE, JOSEPHINE	AM FUNDS NEW PERSPECTIVE A	0.00	2.48	0.00	2.48	90.0	2.23
07/18/2016	TAYLOR, THOMAS	AM FUNDS NEW PERSPECTIVE A	0.00	0.57	0.00	0.57	90.0	0.51
07/18/2016	TAYLOR, DIANE	AM FUNDS NEW PERSPECTIVE A	0.00	0.44	0.00	0.44	90.0	0.40
08/15/2016	NAGLE, JOSEPHINE	AM FUNDS NEW PERSPECTIVE A	0.00	0.56	0.00	0.56	90.0	0.50
08/15/2016	NAGLE, JOSEPHINE	AM FUNDS NEW PERSPECTIVE A	0.00	2.63	0.00	2.63	90.0	2.37
08/15/2016	TAYLOR, THOMAS	AM FUNDS NEW PERSPECTIVE A	0.00	0.61	0.00	0.61	90.0	0.55
08/15/2016	TAYLOR, DIANE	AM FUNDS NEW PERSPECTIVE A	0.00	0.61	0.00	0.61	90.0	0.55
09/16/2016	NAGLE, JOSEPHINE	AM FUNDS NEW PERSPECTIVE A	0.00	0.57	0.00	0.57	90.0	0.51
09/16/2016	NAGLE, JOSEPHINE	AM FUNDS NEW PERSPECTIVE A	0.00	2.69	0.00	2.69	90.0	2.42
09/16/2016	TAYLOR, THOMAS	AM FUNDS NEW PERSPECTIVE A	0.00	0.62	0.00	0.62	90.0	0.56
09/16/2016	TAYLOR, DIANE	AM FUNDS NEW PERSPECTIVE A	0.00	0.62	0.00	0.62	90.0	0.56
10/17/2016	NAGLE, JOSEPHINE	AM FUNDS NEW PERSPECTIVE A	0.00	0.55	0.00	0.55	90.0	0.50
10/17/2016	NAGLE, JOSEPHINE	AM FUNDS NEW PERSPECTIVE A	0.00	2.61	0.00	2.61	90.0	2.35
10/17/2016	TAYLOR, THOMAS	AM FUNDS NEW PERSPECTIVE A	0.00	0.60	0.00	0.60	90.0	0.54
10/17/2016	TAYLOR, DIANE	AM FUNDS NEW PERSPECTIVE A	0.00	0.60	0.00	0.60	90.0	0.54
11/18/2016	NAGLE, JOSEPHINE	AM FUNDS NEW PERSPECTIVE A	0.00	0.07	0.00	0.07	90.0	0.06
11/18/2016	BOSCO, EDWARD	AM FUNDS NEW PERSPECTIVE A	0.00	0.49	0.00	0.49	90.0	0.44
11/18/2016	GERARD, JO ANNE	AM FUNDS NEW PERSPECTIVE A	0.00	0.14	0.00	0.14	90.0	0.13
11/18/2016	NAGLE, JOSEPHINE	AM FUNDS NEW PERSPECTIVE A	0.00	1.73	0.00	1.73	90.0	1.56
11/18/2016	TAYLOR, THOMAS	AM FUNDS NEW PERSPECTIVE A	0.00	0.62	0.00	0.62	90.0	0.56
11/18/2016	TAYLOR, DIANE	AM FUNDS NEW PERSPECTIVE A	0.00	0.62	0.00	0.62	90.0	0.56
11/18/2016	APPLEGATE, PAMAEALA	AM FUNDS NEW PERSPECTIVE A	0.00	0.37	0.00	0.37	90.0	0.33
12/15/2016	BOSCO, EDWARD	AM FUNDS NEW PERSPECTIVE A	0.00	0.11	0.00	0.11	90.0	0.10
12/15/2016	TAYLOR, THOMAS	AM FUNDS NEW PERSPECTIVE A	0.00	0.59	0.00	0.59	90.0	0.53
12/15/2016	TAYLOR, DIANE	AM FUNDS NEW PERSPECTIVE A	0.00	0.59	0.00	0.59	90.0	0.53
12/15/2016	APPLEGATE, PAMAEALA	AM FUNDS NEW PERSPECTIVE A	0.00	0.84	0.00	0.84	90.0	0.76

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>DIRECT TRANSACTIONS</u>								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS								
02/16/2016	MELVIN, MARY THOMPSON	AM FUNDS SMALLCAP WORLD A	0.00	1.34	0.00	1.34	90.0	1.21
03/15/2016	MELVIN, MARY THOMPSON	AM FUNDS SMALLCAP WORLD A	0.00	1.20	0.00	1.20	90.0	1.08
04/20/2016	MELVIN, MARY THOMPSON	AM FUNDS SMALLCAP WORLD A	0.00	1.37	0.00	1.37	90.0	1.23
05/16/2016	MELVIN, MARY THOMPSON	AM FUNDS SMALLCAP WORLD A	0.00	1.38	0.00	1.38	90.0	1.24
06/15/2016	MELVIN, MARY THOMPSON	AM FUNDS SMALLCAP WORLD A	0.00	1.42	0.00	1.42	90.0	1.28
07/18/2016	MELVIN, MARY THOMPSON	AM FUNDS SMALLCAP WORLD A	0.00	1.41	0.00	1.41	90.0	1.27
08/15/2016	MELVIN, MARY THOMPSON	AM FUNDS SMALLCAP WORLD A	0.00	1.48	0.00	1.48	90.0	1.33
09/16/2016	MELVIN, MARY THOMPSON	AM FUNDS SMALLCAP WORLD A	0.00	1.54	0.00	1.54	90.0	1.39
10/17/2016	MELVIN, MARY THOMPSON	AM FUNDS SMALLCAP WORLD A	0.00	1.50	0.00	1.50	90.0	1.35
11/18/2016	MELVIN, MARY THOMPSON	AM FUNDS SMALLCAP WORLD A	0.00	1.55	0.00	1.55	90.0	1.40
12/15/2016	MELVIN, MARY THOMPSON	AM FUNDS SMALLCAP WORLD A	0.00	1.47	0.00	1.47	90.0	1.32
02/16/2016	OLIVETI, FRANK	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	4.24	0.00	4.24	90.0	3.82
02/16/2016	PERETTI, TERESA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.07	0.00	1.07	90.0	0.96
02/16/2016	COHEN, PAUL	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	2.42	0.00	2.42	90.0	2.18
02/16/2016	NATHAN, EDWARD	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.42	0.00	0.42	90.0	0.38
02/16/2016	NATHAN, EDWARD	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.68	0.00	0.68	90.0	0.61
02/16/2016	NATHAN, SUSAN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.42	0.00	0.42	90.0	0.38
02/16/2016	SPECTER TRUST, STEPHANIE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	9.37	0.00	9.37	90.0	8.43
03/15/2016	OLIVETI, FRANK	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	3.96	0.00	3.96	90.0	3.56
03/15/2016	PERETTI, TERESA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.00	0.00	1.00	90.0	0.90
03/15/2016	COHEN, PAUL	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	2.26	0.00	2.26	90.0	2.03
03/15/2016	NATHAN, EDWARD	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.39	0.00	0.39	90.0	0.35
03/15/2016	NATHAN, EDWARD	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.64	0.00	0.64	90.0	0.58
03/15/2016	NATHAN, SUSAN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.39	0.00	0.39	90.0	0.35
03/15/2016	SPECTER TRUST, STEPHANIE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	8.75	0.00	8.75	90.0	7.88
04/20/2016	OLIVETI, FRANK	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	4.49	0.00	4.49	90.0	4.04
04/20/2016	PERETTI, TERESA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.13	0.00	1.13	90.0	1.02
04/20/2016	COHEN, PAUL	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	2.56	0.00	2.56	90.0	2.30
04/20/2016	NATHAN, EDWARD	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.44	0.00	0.44	90.0	0.40
04/20/2016	NATHAN, EDWARD	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.72	0.00	0.72	90.0	0.65
04/20/2016	NATHAN, SUSAN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.44	0.00	0.44	90.0	0.40
04/20/2016	SPECTER TRUST, STEPHANIE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	9.92	0.00	9.92	90.0	8.93
05/16/2016	OLIVETI, FRANK	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	4.46	0.00	4.46	90.0	4.01

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
05/16/2016	PERETTI, TERESA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.12	0.00	1.12	90.0	1.01
05/16/2016	COHEN, PAUL	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	2.54	0.00	2.54	90.0	2.29
05/16/2016	NATHAN, EDWARD	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.44	0.00	0.44	90.0	0.40
05/16/2016	NATHAN, EDWARD	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.72	0.00	0.72	90.0	0.65
05/16/2016	NATHAN, SUSAN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.44	0.00	0.44	90.0	0.40
05/16/2016	SPECTER TRUST, STEPHANIE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	9.85	0.00	9.85	90.0	8.87
06/15/2016	OLIVETI, FRANK	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	4.61	0.00	4.61	90.0	4.15
06/15/2016	PERETTI, TERESA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.16	0.00	1.16	90.0	1.04
06/15/2016	COHEN, PAUL	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	2.63	0.00	2.63	90.0	2.37
06/15/2016	NATHAN, EDWARD	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.45	0.00	0.45	90.0	0.41
06/15/2016	NATHAN, EDWARD	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.74	0.00	0.74	90.0	0.67
06/15/2016	NATHAN, SUSAN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.45	0.00	0.45	90.0	0.41
06/15/2016	SPECTER TRUST, STEPHANIE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	10.18	0.00	10.18	90.0	9.16
07/18/2016	OLIVETI, FRANK	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	4.52	0.00	4.52	90.0	4.07
07/18/2016	PERETTI, TERESA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.14	0.00	1.14	90.0	1.03
07/18/2016	COHEN, PAUL	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	2.58	0.00	2.58	90.0	2.32
07/18/2016	NATHAN, EDWARD	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.45	0.00	0.45	90.0	0.41
07/18/2016	NATHAN, EDWARD	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.73	0.00	0.73	90.0	0.66
07/18/2016	NATHAN, SUSAN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.44	0.00	0.44	90.0	0.40
07/18/2016	SPECTER TRUST, STEPHANIE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	9.98	0.00	9.98	90.0	8.98
08/15/2016	OLIVETI, FRANK	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	4.80	0.00	4.80	90.0	4.32
08/15/2016	PERETTI, TERESA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.21	0.00	1.21	90.0	1.09
08/15/2016	COHEN, PAUL	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	2.74	0.00	2.74	90.0	2.47
08/15/2016	NATHAN, EDWARD	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.47	0.00	0.47	90.0	0.42
08/15/2016	NATHAN, EDWARD	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.77	0.00	0.77	90.0	0.69
08/15/2016	NATHAN, SUSAN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.47	0.00	0.47	90.0	0.42
08/15/2016	SPECTER TRUST, STEPHANIE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	10.60	0.00	10.60	90.0	9.54
09/16/2016	OLIVETI, FRANK	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	4.85	0.00	4.85	90.0	4.37
09/16/2016	PERETTI, TERESA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.22	0.00	1.22	90.0	1.10
09/16/2016	COHEN, PAUL	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	2.77	0.00	2.77	90.0	2.49
09/16/2016	NATHAN, EDWARD	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.48	0.00	0.48	90.0	0.43
09/16/2016	NATHAN, EDWARD	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.78	0.00	0.78	90.0	0.70
09/16/2016	NATHAN, SUSAN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.48	0.00	0.48	90.0	0.43

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
09/16/2016	SPECTER TRUST, STEPHANIE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	7.27	0.00	7.27	90.0	6.54
10/17/2016	OLIVETI, FRANK	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	4.64	0.00	4.64	90.0	4.18
10/17/2016	PERETTI, TERESA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.17	0.00	1.17	90.0	1.05
10/17/2016	COHEN, PAUL	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	2.65	0.00	2.65	90.0	2.39
10/17/2016	NATHAN, EDWARD	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.46	0.00	0.46	90.0	0.41
10/17/2016	NATHAN, EDWARD	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.75	0.00	0.75	90.0	0.68
10/17/2016	NATHAN, SUSAN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.45	0.00	0.45	90.0	0.41
11/18/2016	OLIVETI, FRANK	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	4.78	0.00	4.78	90.0	4.30
11/18/2016	PERETTI, TERESA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.20	0.00	1.20	90.0	1.08
11/18/2016	COHEN, PAUL	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	2.72	0.00	2.72	90.0	2.45
11/18/2016	NATHAN, EDWARD	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.47	0.00	0.47	90.0	0.42
11/18/2016	NATHAN, EDWARD	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.77	0.00	0.77	90.0	0.69
11/18/2016	NATHAN, SUSAN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.47	0.00	0.47	90.0	0.42
12/15/2016	OLIVETI, FRANK	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	4.72	0.00	4.72	90.0	4.25
12/15/2016	PERETTI, TERESA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.19	0.00	1.19	90.0	1.07
12/15/2016	COHEN, PAUL	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	2.69	0.00	2.69	90.0	2.42
12/15/2016	NATHAN, EDWARD	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.47	0.00	0.47	90.0	0.42
12/15/2016	NATHAN, EDWARD	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.76	0.00	0.76	90.0	0.68
12/15/2016	NATHAN, SUSAN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.46	0.00	0.46	90.0	0.41
02/22/2016	O'DONNELL, PATRICIA	AMERICAN CENTURY STRATEGIC ALLOC MO	0.00	3.61	0.00	3.61	90.0	3.25
03/16/2016	O'DONNELL, PATRICIA	AMERICAN CENTURY STRATEGIC ALLOC MO	0.00	3.33	0.00	3.33	90.0	3.00
04/21/2016	O'DONNELL, PATRICIA	AMERICAN CENTURY STRATEGIC ALLOC MO	0.00	3.74	0.00	3.74	90.0	3.37
05/24/2016	O'DONNELL, PATRICIA	AMERICAN CENTURY STRATEGIC ALLOC MO	0.00	3.70	0.00	3.70	90.0	3.33
06/10/2016	O'DONNELL, PATRICIA	AMERICAN CENTURY STRATEGIC ALLOC MO	0.00	3.82	0.00	3.82	90.0	3.44
07/14/2016	O'DONNELL, PATRICIA	AMERICAN CENTURY STRATEGIC ALLOC MO	0.00	3.72	0.00	3.72	90.0	3.35
08/19/2016	O'DONNELL, PATRICIA	AMERICAN CENTURY STRATEGIC ALLOC MO	0.00	3.93	0.00	3.93	90.0	3.54
09/19/2016	O'DONNELL, PATRICIA	AMERICAN CENTURY STRATEGIC ALLOC MO	0.00	3.99	0.00	3.99	90.0	3.59
10/20/2016	O'DONNELL, PATRICIA	AMERICAN CENTURY STRATEGIC ALLOC MO	0.00	3.85	0.00	3.85	90.0	3.47
11/18/2016	O'DONNELL, PATRICIA	AMERICAN CENTURY STRATEGIC ALLOC MO	0.00	3.97	0.00	3.97	90.0	3.57
12/19/2016	O'DONNELL, PATRICIA	AMERICAN CENTURY STRATEGIC ALLOC MO	0.00	3.81	0.00	3.81	90.0	3.43
09/16/2016	GARLICK, MILDRED	AMERICAN FUNDS INFLATION LINKED BON	0.00	59.06	0.00	59.06	90.0	53.15
10/17/2016	GARLICK, MILDRED	AMERICAN FUNDS INFLATION LINKED BON	0.00	82.45	0.00	82.45	90.0	74.21
11/18/2016	GARLICK, MILDRED	AMERICAN FUNDS INFLATION LINKED BON	0.00	85.55	0.00	85.55	90.0	77.00

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
12/15/2016	GARLICK, MILDRED	AMERICAN FUNDS INFLATION LINKED BON	0.00	81.60	0.00	81.60	90.0	73.44
02/26/2016	PLEVAK, MICHAEL	BLACKROCK EQUITY DIVIDEND FUND CL C	0.00	23.98	0.00	23.98	90.0	21.58
03/23/2016	PLEVAK, MICHAEL	BLACKROCK EQUITY DIVIDEND FUND CL C	0.00	22.23	0.00	22.23	90.0	20.01
04/27/2016	PLEVAK, MICHAEL	BLACKROCK EQUITY DIVIDEND FUND CL C	0.00	25.18	0.00	25.18	90.0	22.66
05/31/2016	PLEVAK, MICHAEL	BLACKROCK EQUITY DIVIDEND FUND CL C	0.00	24.96	0.00	24.96	90.0	22.46
06/27/2016	PLEVAK, MICHAEL	BLACKROCK EQUITY DIVIDEND FUND CL C	0.00	25.90	0.00	25.90	90.0	23.31
07/29/2016	PLEVAK, MICHAEL	BLACKROCK EQUITY DIVIDEND FUND CL C	0.00	25.26	0.00	25.26	90.0	22.73
08/30/2016	PLEVAK, MICHAEL	BLACKROCK EQUITY DIVIDEND FUND CL C	0.00	26.90	0.00	26.90	90.0	24.21
09/29/2016	PLEVAK, MICHAEL	BLACKROCK EQUITY DIVIDEND FUND CL C	0.00	27.21	0.00	27.21	90.0	24.49
10/27/2016	PLEVAK, MICHAEL	BLACKROCK EQUITY DIVIDEND FUND CL C	0.00	26.06	0.00	26.06	90.0	23.45
11/28/2016	PLEVAK, MICHAEL	BLACKROCK EQUITY DIVIDEND FUND CL C	0.00	26.83	0.00	26.83	90.0	24.15
12/21/2016	PLEVAK, MICHAEL	BLACKROCK EQUITY DIVIDEND FUND CL C	0.00	26.79	0.00	26.79	90.0	24.11
02/29/2016	BOWERS, DORA	BLK HIGH YIELD BOND A	0.00	0.15	0.00	0.15	90.0	0.14
03/23/2016	BOWERS, DORA	BLK HIGH YIELD BOND A	0.00	0.14	0.00	0.14	90.0	0.13
04/27/2016	BOWERS, DORA	BLK HIGH YIELD BOND A	0.00	0.15	0.00	0.15	90.0	0.14
05/31/2016	BOWERS, DORA	BLK HIGH YIELD BOND A	0.00	0.15	0.00	0.15	90.0	0.14
06/27/2016	BOWERS, DORA	BLK HIGH YIELD BOND A	0.00	0.16	0.00	0.16	90.0	0.14
07/29/2016	BOWERS, DORA	BLK HIGH YIELD BOND A	0.00	0.15	0.00	0.15	90.0	0.14
08/30/2016	BOWERS, DORA	BLK HIGH YIELD BOND A	0.00	0.16	0.00	0.16	90.0	0.14
09/29/2016	BOWERS, DORA	BLK HIGH YIELD BOND A	0.00	0.16	0.00	0.16	90.0	0.14
10/27/2016	BOWERS, DORA	BLK HIGH YIELD BOND A	0.00	0.16	0.00	0.16	90.0	0.14
11/28/2016	BOWERS, DORA	BLK HIGH YIELD BOND A	0.00	0.16	0.00	0.16	90.0	0.14
12/21/2016	BOWERS, DORA	BLK HIGH YIELD BOND A	0.00	0.16	0.00	0.16	90.0	0.14
02/26/2016	BOWERS, DORA	BLK INFLATION PROTECTED BOND A	0.00	0.16	0.00	0.16	90.0	0.14
03/23/2016	BOWERS, DORA	BLK INFLATION PROTECTED BOND A	0.00	0.15	0.00	0.15	90.0	0.14
04/27/2016	BOWERS, DORA	BLK INFLATION PROTECTED BOND A	0.00	0.17	0.00	0.17	90.0	0.15
05/31/2016	BOWERS, DORA	BLK INFLATION PROTECTED BOND A	0.00	0.16	0.00	0.16	90.0	0.14
06/27/2016	BOWERS, DORA	BLK INFLATION PROTECTED BOND A	0.00	0.17	0.00	0.17	90.0	0.15
07/29/2016	BOWERS, DORA	BLK INFLATION PROTECTED BOND A	0.00	0.16	0.00	0.16	90.0	0.14
08/30/2016	BOWERS, DORA	BLK INFLATION PROTECTED BOND A	0.00	0.17	0.00	0.17	90.0	0.15
09/29/2016	BOWERS, DORA	BLK INFLATION PROTECTED BOND A	0.00	0.17	0.00	0.17	90.0	0.15
10/27/2016	BOWERS, DORA	BLK INFLATION PROTECTED BOND A	0.00	0.16	0.00	0.16	90.0	0.14
11/28/2016	BOWERS, DORA	BLK INFLATION PROTECTED BOND A	0.00	0.17	0.00	0.17	90.0	0.15

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
12/21/2016	BOWERS, DORA	BLK INFLATION PROTECTED BOND A	0.00	0.16	0.00	0.16	90.0	0.14
02/19/2016	PERETTI, TERESA	CALAMOS GROWTH A	0.00	1.16	0.00	1.16	90.0	1.04
02/19/2016	DUBIN, JON	CALAMOS GROWTH A	0.00	3.64	0.00	3.64	90.0	3.28
03/17/2016	PERETTI, TERESA	CALAMOS GROWTH A	0.00	1.04	0.00	1.04	90.0	0.94
03/17/2016	DUBIN, JON	CALAMOS GROWTH A	0.00	3.26	0.00	3.26	90.0	2.93
04/20/2016	PERETTI, TERESA	CALAMOS GROWTH A	0.00	1.17	0.00	1.17	90.0	1.05
04/20/2016	DUBIN, JON	CALAMOS GROWTH A	0.00	3.67	0.00	3.67	90.0	3.30
05/19/2016	PERETTI, TERESA	CALAMOS GROWTH A	0.00	1.16	0.00	1.16	90.0	1.04
05/19/2016	DUBIN, JON	CALAMOS GROWTH A	0.00	3.65	0.00	3.65	90.0	3.29
06/16/2016	PERETTI, TERESA	CALAMOS GROWTH A	0.00	1.19	0.00	1.19	90.0	1.07
06/16/2016	DUBIN, JON	CALAMOS GROWTH A	0.00	3.73	0.00	3.73	90.0	3.36
07/21/2016	PERETTI, TERESA	CALAMOS GROWTH A	0.00	1.16	0.00	1.16	90.0	1.04
07/21/2016	DUBIN, JON	CALAMOS GROWTH A	0.00	3.63	0.00	3.63	90.0	3.27
08/19/2016	PERETTI, TERESA	CALAMOS GROWTH A	0.00	1.21	0.00	1.21	90.0	1.09
08/19/2016	DUBIN, JON	CALAMOS GROWTH A	0.00	3.81	0.00	3.81	90.0	3.43
09/21/2016	PERETTI, TERESA	CALAMOS GROWTH A	0.00	1.24	0.00	1.24	90.0	1.12
09/21/2016	DUBIN, JON	CALAMOS GROWTH A	0.00	3.89	0.00	3.89	90.0	3.50
10/21/2016	PERETTI, TERESA	CALAMOS GROWTH A	0.00	1.18	0.00	1.18	90.0	1.06
10/21/2016	DUBIN, JON	CALAMOS GROWTH A	0.00	3.71	0.00	3.71	90.0	3.34
11/18/2016	PERETTI, TERESA	CALAMOS GROWTH A	0.00	1.22	0.00	1.22	90.0	1.10
11/18/2016	DUBIN, JON	CALAMOS GROWTH A	0.00	3.83	0.00	3.83	90.0	3.45
12/20/2016	PERETTI, TERESA	CALAMOS GROWTH A	0.00	1.17	0.00	1.17	90.0	1.05
12/20/2016	DUBIN, JON	CALAMOS GROWTH A	0.00	3.67	0.00	3.67	90.0	3.30
02/12/2016	MEDIA ENTERPRISES	COLUMBIA ACORN A	0.00	0.76	0.00	0.76	90.0	0.68
02/12/2016	FLEISCH, ROBERT	COLUMBIA ACORN A	0.00	11.79	0.00	11.79	90.0	10.61
03/14/2016	MEDIA ENTERPRISES	COLUMBIA ACORN A	0.00	0.68	0.00	0.68	90.0	0.61
03/14/2016	FLEISCH, ROBERT	COLUMBIA ACORN A	0.00	10.56	0.00	10.56	90.0	9.50
04/15/2016	MEDIA ENTERPRISES	COLUMBIA ACORN A	0.00	0.78	0.00	0.78	90.0	0.70
04/15/2016	FLEISCH, ROBERT	COLUMBIA ACORN A	0.00	12.14	0.00	12.14	90.0	10.93
05/24/2016	MEDIA ENTERPRISES	COLUMBIA ACORN A	0.00	0.78	0.00	0.78	90.0	0.70
05/24/2016	FLEISCH, ROBERT	COLUMBIA ACORN A	0.00	12.22	0.00	12.22	90.0	11.00
06/14/2016	MEDIA ENTERPRISES	COLUMBIA ACORN A	0.00	0.81	0.00	0.81	90.0	0.73
06/14/2016	FLEISCH, ROBERT	COLUMBIA ACORN A	0.00	12.62	0.00	12.62	90.0	11.36

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<u>DIRECT TRANSACTIONS</u>								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS								
07/20/2016	MEDIA ENTERPRISES	COLUMBIA ACORN A	0.00	0.80	0.00	0.80	90.0	0.72
07/20/2016	FLEISCH, ROBERT	COLUMBIA ACORN A	0.00	12.43	0.00	12.43	90.0	11.19
08/17/2016	MEDIA ENTERPRISES	COLUMBIA ACORN A	0.00	0.84	0.00	0.84	90.0	0.76
08/17/2016	FLEISCH, ROBERT	COLUMBIA ACORN A	0.00	13.16	0.00	13.16	90.0	11.84
09/16/2016	MEDIA ENTERPRISES	COLUMBIA ACORN A	0.00	0.87	0.00	0.87	90.0	0.78
09/16/2016	FLEISCH, ROBERT	COLUMBIA ACORN A	0.00	12.88	0.00	12.88	90.0	11.59
10/14/2016	MEDIA ENTERPRISES	COLUMBIA ACORN A	0.00	0.84	0.00	0.84	90.0	0.76
10/14/2016	FLEISCH, ROBERT	COLUMBIA ACORN A	0.00	12.09	0.00	12.09	90.0	10.88
11/15/2016	MEDIA ENTERPRISES	COLUMBIA ACORN A	0.00	0.86	0.00	0.86	90.0	0.77
11/15/2016	FLEISCH, ROBERT	COLUMBIA ACORN A	0.00	12.35	0.00	12.35	90.0	11.12
12/15/2016	MEDIA ENTERPRISES	COLUMBIA ACORN A	0.00	0.85	0.00	0.85	90.0	0.77
12/15/2016	FLEISCH, ROBERT	COLUMBIA ACORN A	0.00	12.26	0.00	12.26	90.0	11.03
02/12/2016	FLEISCH, ROBERT	COLUMBIA ACORN SELECT A	0.00	6.15	0.00	6.15	90.0	5.54
03/14/2016	FLEISCH, ROBERT	COLUMBIA ACORN SELECT A	0.00	5.61	0.00	5.61	90.0	5.05
04/15/2016	FLEISCH, ROBERT	COLUMBIA ACORN SELECT A	0.00	6.45	0.00	6.45	90.0	5.81
05/24/2016	FLEISCH, ROBERT	COLUMBIA ACORN SELECT A	0.00	6.40	0.00	6.40	90.0	5.76
06/14/2016	FLEISCH, ROBERT	COLUMBIA ACORN SELECT A	0.00	6.59	0.00	6.59	90.0	5.93
07/20/2016	FLEISCH, ROBERT	COLUMBIA ACORN SELECT A	0.00	6.44	0.00	6.44	90.0	5.80
08/17/2016	FLEISCH, ROBERT	COLUMBIA ACORN SELECT A	0.00	6.77	0.00	6.77	90.0	6.09
09/16/2016	FLEISCH, ROBERT	COLUMBIA ACORN SELECT A	0.00	6.59	0.00	6.59	90.0	5.93
10/14/2016	FLEISCH, ROBERT	COLUMBIA ACORN SELECT A	0.00	6.22	0.00	6.22	90.0	5.60
11/15/2016	FLEISCH, ROBERT	COLUMBIA ACORN SELECT A	0.00	6.36	0.00	6.36	90.0	5.72
12/15/2016	FLEISCH, ROBERT	COLUMBIA ACORN SELECT A	0.00	6.34	0.00	6.34	90.0	5.71
02/12/2016	MEDIA ENTERPRISES	COLUMBIA ACORN USA FUND CLASS A	0.00	1.96	0.00	1.96	90.0	1.76
03/14/2016	MEDIA ENTERPRISES	COLUMBIA ACORN USA FUND CLASS A	0.00	1.71	0.00	1.71	90.0	1.54
04/15/2016	MEDIA ENTERPRISES	COLUMBIA ACORN USA FUND CLASS A	0.00	1.96	0.00	1.96	90.0	1.76
05/24/2016	MEDIA ENTERPRISES	COLUMBIA ACORN USA FUND CLASS A	0.00	1.98	0.00	1.98	90.0	1.78
06/14/2016	MEDIA ENTERPRISES	COLUMBIA ACORN USA FUND CLASS A	0.00	2.08	0.00	2.08	90.0	1.87
07/20/2016	MEDIA ENTERPRISES	COLUMBIA ACORN USA FUND CLASS A	0.00	2.08	0.00	2.08	90.0	1.87
08/17/2016	MEDIA ENTERPRISES	COLUMBIA ACORN USA FUND CLASS A	0.00	2.22	0.00	2.22	90.0	2.00
09/16/2016	MEDIA ENTERPRISES	COLUMBIA ACORN USA FUND CLASS A	0.00	2.27	0.00	2.27	90.0	2.04
10/14/2016	MEDIA ENTERPRISES	COLUMBIA ACORN USA FUND CLASS A	0.00	2.19	0.00	2.19	90.0	1.97
11/15/2016	MEDIA ENTERPRISES	COLUMBIA ACORN USA FUND CLASS A	0.00	2.22	0.00	2.22	90.0	2.00

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
12/15/2016	MEDIA ENTERPRISES	COLUMBIA ACORN USA FUND CLASS A	0.00	2.22	0.00	2.22	90.0	2.00
02/12/2016	BOWERS, DORA	COLUMBIA DIVERSIFIED EQUITY INCOME	0.00	0.89	0.00	0.89	90.0	0.80
03/14/2016	BOWERS, DORA	COLUMBIA DIVERSIFIED EQUITY INCOME	0.00	0.82	0.00	0.82	90.0	0.74
04/15/2016	BOWERS, DORA	COLUMBIA DIVERSIFIED EQUITY INCOME	0.00	0.94	0.00	0.94	90.0	0.85
05/24/2016	BOWERS, DORA	COLUMBIA DIVERSIFIED EQUITY INCOME	0.00	0.93	0.00	0.93	90.0	0.84
06/14/2016	BOWERS, DORA	COLUMBIA DIVERSIFIED EQUITY INCOME	0.00	0.97	0.00	0.97	90.0	0.87
07/20/2016	BOWERS, DORA	COLUMBIA DIVERSIFIED EQUITY INCOME	0.00	0.94	0.00	0.94	90.0	0.85
08/17/2016	BOWERS, DORA	COLUMBIA DIVERSIFIED EQUITY INCOME	0.00	1.00	0.00	1.00	90.0	0.90
09/16/2016	BOWERS, DORA	COLUMBIA DIVERSIFIED EQUITY INCOME	0.00	1.01	0.00	1.01	90.0	0.91
10/14/2016	BOWERS, DORA	COLUMBIA DIVERSIFIED EQUITY INCOME	0.00	0.98	0.00	0.98	90.0	0.88
11/15/2016	BOWERS, DORA	COLUMBIA DIVERSIFIED EQUITY INCOME	0.00	1.01	0.00	1.01	90.0	0.91
12/15/2016	BOWERS, DORA	COLUMBIA DIVERSIFIED EQUITY INCOME	0.00	1.00	0.00	1.00	90.0	0.90
02/12/2016	MEDIA ENTERPRISES	COLUMBIA EQUITY VALUE A	0.00	0.22	0.00	0.22	90.0	0.20
03/14/2016	MEDIA ENTERPRISES	COLUMBIA EQUITY VALUE A	0.00	0.20	0.00	0.20	90.0	0.18
04/15/2016	MEDIA ENTERPRISES	COLUMBIA EQUITY VALUE A	0.00	0.23	0.00	0.23	90.0	0.21
04/15/2016	JACKSON, SHIRLEY	COLUMBIA EQUITY VALUE A	0.00	1.61	0.00	1.61	90.0	1.45
05/24/2016	MEDIA ENTERPRISES	COLUMBIA EQUITY VALUE A	0.00	0.23	0.00	0.23	90.0	0.21
05/24/2016	JACKSON, SHIRLEY	COLUMBIA EQUITY VALUE A	0.00	1.60	0.00	1.60	90.0	1.44
06/14/2016	MEDIA ENTERPRISES	COLUMBIA EQUITY VALUE A	0.00	0.24	0.00	0.24	90.0	0.22
06/14/2016	JACKSON, SHIRLEY	COLUMBIA EQUITY VALUE A	0.00	1.65	0.00	1.65	90.0	1.49
07/20/2016	MEDIA ENTERPRISES	COLUMBIA EQUITY VALUE A	0.00	0.23	0.00	0.23	90.0	0.21
07/20/2016	JACKSON, SHIRLEY	COLUMBIA EQUITY VALUE A	0.00	1.59	0.00	1.59	90.0	1.43
08/17/2016	MEDIA ENTERPRISES	COLUMBIA EQUITY VALUE A	0.00	0.24	0.00	0.24	90.0	0.22
08/17/2016	JACKSON, SHIRLEY	COLUMBIA EQUITY VALUE A	0.00	1.66	0.00	1.66	90.0	1.49
09/16/2016	MEDIA ENTERPRISES	COLUMBIA EQUITY VALUE A	0.00	0.24	0.00	0.24	90.0	0.22
09/16/2016	JACKSON, SHIRLEY	COLUMBIA EQUITY VALUE A	0.00	1.69	0.00	1.69	90.0	1.52
10/14/2016	MEDIA ENTERPRISES	COLUMBIA EQUITY VALUE A	0.00	0.24	0.00	0.24	90.0	0.22
10/14/2016	JACKSON, SHIRLEY	COLUMBIA EQUITY VALUE A	0.00	1.63	0.00	1.63	90.0	1.47
11/15/2016	MEDIA ENTERPRISES	COLUMBIA EQUITY VALUE A	0.00	0.24	0.00	0.24	90.0	0.22
11/15/2016	JACKSON, SHIRLEY	COLUMBIA EQUITY VALUE A	0.00	1.69	0.00	1.69	90.0	1.52
12/15/2016	MEDIA ENTERPRISES	COLUMBIA EQUITY VALUE A	0.00	0.24	0.00	0.24	90.0	0.22
12/15/2016	JACKSON, SHIRLEY	COLUMBIA EQUITY VALUE A	0.00	1.65	0.00	1.65	90.0	1.49
02/12/2016	BOWERS, DORA	COLUMBIA INTERMEDIATE BOND FD A	0.00	0.74	0.00	0.74	90.0	0.67

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
03/14/2016	BOWERS, DORA	COLUMBIA INTERMEDIATE BOND FD A	0.00	0.69	0.00	0.69	90.0	0.62
04/15/2016	BOWERS, DORA	COLUMBIA INTERMEDIATE BOND FD A	0.00	0.74	0.00	0.74	90.0	0.67
05/24/2016	BOWERS, DORA	COLUMBIA INTERMEDIATE BOND FD A	0.00	0.73	0.00	0.73	90.0	0.66
06/14/2016	BOWERS, DORA	COLUMBIA INTERMEDIATE BOND FD A	0.00	0.76	0.00	0.76	90.0	0.68
07/20/2016	BOWERS, DORA	COLUMBIA INTERMEDIATE BOND FD A	0.00	0.74	0.00	0.74	90.0	0.67
08/17/2016	BOWERS, DORA	COLUMBIA INTERMEDIATE BOND FD A	0.00	0.77	0.00	0.77	90.0	0.69
09/16/2016	BOWERS, DORA	COLUMBIA INTERMEDIATE BOND FD A	0.00	0.77	0.00	0.77	90.0	0.69
10/14/2016	BOWERS, DORA	COLUMBIA INTERMEDIATE BOND FD A	0.00	0.75	0.00	0.75	90.0	0.68
11/15/2016	BOWERS, DORA	COLUMBIA INTERMEDIATE BOND FD A	0.00	0.77	0.00	0.77	90.0	0.69
12/15/2016	BOWERS, DORA	COLUMBIA INTERMEDIATE BOND FD A	0.00	0.73	0.00	0.73	90.0	0.66
02/12/2016	MEDIA ENTERPRISES	COLUMBIA LARGE CAP GROWTH A	0.00	0.25	0.00	0.25	90.0	0.23
03/14/2016	MEDIA ENTERPRISES	COLUMBIA LARGE CAP GROWTH A	0.00	0.22	0.00	0.22	90.0	0.20
04/15/2016	MEDIA ENTERPRISES	COLUMBIA LARGE CAP GROWTH A	0.00	0.25	0.00	0.25	90.0	0.23
05/24/2016	MEDIA ENTERPRISES	COLUMBIA LARGE CAP GROWTH A	0.00	0.25	0.00	0.25	90.0	0.23
06/14/2016	MEDIA ENTERPRISES	COLUMBIA LARGE CAP GROWTH A	0.00	0.26	0.00	0.26	90.0	0.23
07/20/2016	MEDIA ENTERPRISES	COLUMBIA LARGE CAP GROWTH A	0.00	0.25	0.00	0.25	90.0	0.23
08/17/2016	MEDIA ENTERPRISES	COLUMBIA LARGE CAP GROWTH A	0.00	0.27	0.00	0.27	90.0	0.24
09/16/2016	MEDIA ENTERPRISES	COLUMBIA LARGE CAP GROWTH A	0.00	0.27	0.00	0.27	90.0	0.24
10/14/2016	MEDIA ENTERPRISES	COLUMBIA LARGE CAP GROWTH A	0.00	0.26	0.00	0.26	90.0	0.23
11/15/2016	MEDIA ENTERPRISES	COLUMBIA LARGE CAP GROWTH A	0.00	0.27	0.00	0.27	90.0	0.24
12/15/2016	MEDIA ENTERPRISES	COLUMBIA LARGE CAP GROWTH A	0.00	0.26	0.00	0.26	90.0	0.23
02/12/2016	MELVIN, GREG	COLUMBIA MARSICO 21ST CENTURY FUND	0.00	0.72	0.00	0.72	90.0	0.65
03/14/2016	MELVIN, GREG	COLUMBIA MARSICO 21ST CENTURY FUND	0.00	0.63	0.00	0.63	90.0	0.57
04/15/2016	MELVIN, GREG	COLUMBIA MARSICO 21ST CENTURY FUND	0.00	0.71	0.00	0.71	90.0	0.64
05/24/2016	MELVIN, GREG	COLUMBIA MARSICO 21ST CENTURY FUND	0.00	0.71	0.00	0.71	90.0	0.64
06/14/2016	MELVIN, GREG	COLUMBIA MARSICO 21ST CENTURY FUND	0.00	0.73	0.00	0.73	90.0	0.66
07/20/2016	MELVIN, GREG	COLUMBIA MARSICO 21ST CENTURY FUND	0.00	0.71	0.00	0.71	90.0	0.64
08/17/2016	MELVIN, GREG	COLUMBIA MARSICO 21ST CENTURY FUND	0.00	0.75	0.00	0.75	90.0	0.68
09/16/2016	MELVIN, GREG	COLUMBIA MARSICO 21ST CENTURY FUND	0.00	0.77	0.00	0.77	90.0	0.69
10/14/2016	MELVIN, GREG	COLUMBIA MARSICO 21ST CENTURY FUND	0.00	0.74	0.00	0.74	90.0	0.67
11/15/2016	MELVIN, GREG	COLUMBIA MARSICO 21ST CENTURY FUND	0.00	0.67	0.00	0.67	90.0	0.60
11/15/2016	MELVIN, GREG	COLUMBIA MARSICO FOCUSED EQUITIES F	0.00	0.10	0.00	0.10	90.0	0.09
12/15/2016	MELVIN, GREG	COLUMBIA MARSICO FOCUSED EQUITIES F	0.00	0.73	0.00	0.73	90.0	0.66

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
02/12/2016	MEDIA ENTERPRISES	COLUMBIA MIDCAP VALUE A	0.00	1.84	0.00	1.84	90.0	1.66
03/14/2016	MEDIA ENTERPRISES	COLUMBIA MIDCAP VALUE A	0.00	1.67	0.00	1.67	90.0	1.50
04/15/2016	MEDIA ENTERPRISES	COLUMBIA MIDCAP VALUE A	0.00	1.95	0.00	1.95	90.0	1.76
05/24/2016	MEDIA ENTERPRISES	COLUMBIA MIDCAP VALUE A	0.00	1.95	0.00	1.95	90.0	1.76
06/14/2016	MEDIA ENTERPRISES	COLUMBIA MIDCAP VALUE A	0.00	2.03	0.00	2.03	90.0	1.83
07/20/2016	MEDIA ENTERPRISES	COLUMBIA MIDCAP VALUE A	0.00	1.99	0.00	1.99	90.0	1.79
08/17/2016	MEDIA ENTERPRISES	COLUMBIA MIDCAP VALUE A	0.00	2.10	0.00	2.10	90.0	1.89
09/16/2016	MEDIA ENTERPRISES	COLUMBIA MIDCAP VALUE A	0.00	2.12	0.00	2.12	90.0	1.91
10/14/2016	MEDIA ENTERPRISES	COLUMBIA MIDCAP VALUE A	0.00	2.04	0.00	2.04	90.0	1.84
11/15/2016	MEDIA ENTERPRISES	COLUMBIA MIDCAP VALUE A	0.00	2.09	0.00	2.09	90.0	1.88
12/15/2016	MEDIA ENTERPRISES	COLUMBIA MIDCAP VALUE A	0.00	2.07	0.00	2.07	90.0	1.86
02/12/2016	BOWERS, DORA	COLUMBIA SELECT LARGE CAP GROWTH FU	0.00	1.00	0.00	1.00	90.0	0.90
03/14/2016	BOWERS, DORA	COLUMBIA SELECT LARGE CAP GROWTH FU	0.00	0.84	0.00	0.84	90.0	0.76
04/15/2016	BOWERS, DORA	COLUMBIA SELECT LARGE CAP GROWTH FU	0.00	0.96	0.00	0.96	90.0	0.86
05/24/2016	BOWERS, DORA	COLUMBIA SELECT LARGE CAP GROWTH FU	0.00	0.98	0.00	0.98	90.0	0.88
06/14/2016	BOWERS, DORA	COLUMBIA SELECT LARGE CAP GROWTH FU	0.00	1.02	0.00	1.02	90.0	0.92
07/20/2016	BOWERS, DORA	COLUMBIA SELECT LARGE CAP GROWTH FU	0.00	1.00	0.00	1.00	90.0	0.90
08/17/2016	BOWERS, DORA	COLUMBIA SELECT LARGE CAP GROWTH FU	0.00	1.06	0.00	1.06	90.0	0.95
09/16/2016	BOWERS, DORA	COLUMBIA SELECT LARGE CAP GROWTH FU	0.00	1.10	0.00	1.10	90.0	0.99
10/14/2016	BOWERS, DORA	COLUMBIA SELECT LARGE CAP GROWTH FU	0.00	1.06	0.00	1.06	90.0	0.95
11/15/2016	BOWERS, DORA	COLUMBIA SELECT LARGE CAP GROWTH FU	0.00	1.07	0.00	1.07	90.0	0.96
12/15/2016	BOWERS, DORA	COLUMBIA SELECT LARGE CAP GROWTH FU	0.00	1.00	0.00	1.00	90.0	0.90
02/12/2016	FLEISCH, ROBERT	COLUMBIA SMALL CAP INDEX FUND CLASS	0.00	8.38	0.00	8.38	90.0	7.54
03/14/2016	FLEISCH, ROBERT	COLUMBIA SMALL CAP INDEX FUND CLASS	0.00	7.72	0.00	7.72	90.0	6.95
04/15/2016	FLEISCH, ROBERT	COLUMBIA SMALL CAP INDEX FUND CLASS	0.00	8.97	0.00	8.97	90.0	8.07
05/24/2016	FLEISCH, ROBERT	COLUMBIA SMALL CAP INDEX FUND CLASS	0.00	8.98	0.00	8.98	90.0	8.08
06/14/2016	FLEISCH, ROBERT	COLUMBIA SMALL CAP INDEX FUND CLASS	0.00	9.26	0.00	9.26	90.0	8.33
07/20/2016	FLEISCH, ROBERT	COLUMBIA SMALL CAP INDEX FUND CLASS	0.00	9.20	0.00	9.20	90.0	8.28
08/17/2016	FLEISCH, ROBERT	COLUMBIA SMALL CAP INDEX FUND CLASS	0.00	9.86	0.00	9.86	90.0	8.87
09/16/2016	FLEISCH, ROBERT	COLUMBIA SMALL CAP INDEX FUND CLASS	0.00	9.74	0.00	9.74	90.0	8.77
10/14/2016	FLEISCH, ROBERT	COLUMBIA SMALL CAP INDEX FUND CLASS	0.00	9.30	0.00	9.30	90.0	8.37
11/15/2016	FLEISCH, ROBERT	COLUMBIA SMALL CAP INDEX FUND CLASS	0.00	9.46	0.00	9.46	90.0	8.51
12/15/2016	FLEISCH, ROBERT	COLUMBIA SMALL CAP INDEX FUND CLASS	0.00	9.64	0.00	9.64	90.0	8.68

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
02/12/2016	BOWERS, DORA	COLUMBIA SMALL CAP VALUE FUND II CL	0.00	0.16	0.00	0.16	90.0	0.14
03/14/2016	BOWERS, DORA	COLUMBIA SMALL CAP VALUE FUND II CL	0.00	0.15	0.00	0.15	90.0	0.14
04/15/2016	BOWERS, DORA	COLUMBIA SMALL CAP VALUE FUND II CL	0.00	0.17	0.00	0.17	90.0	0.15
05/24/2016	BOWERS, DORA	COLUMBIA SMALL CAP VALUE FUND II CL	0.00	0.17	0.00	0.17	90.0	0.15
06/14/2016	BOWERS, DORA	COLUMBIA SMALL CAP VALUE FUND II CL	0.00	0.17	0.00	0.17	90.0	0.15
07/20/2016	BOWERS, DORA	COLUMBIA SMALL CAP VALUE FUND II CL	0.00	0.17	0.00	0.17	90.0	0.15
08/17/2016	BOWERS, DORA	COLUMBIA SMALL CAP VALUE FUND II CL	0.00	0.18	0.00	0.18	90.0	0.16
09/16/2016	BOWERS, DORA	COLUMBIA SMALL CAP VALUE FUND II CL	0.00	0.18	0.00	0.18	90.0	0.16
10/14/2016	BOWERS, DORA	COLUMBIA SMALL CAP VALUE FUND II CL	0.00	0.18	0.00	0.18	90.0	0.16
11/15/2016	BOWERS, DORA	COLUMBIA SMALL CAP VALUE FUND II CL	0.00	0.18	0.00	0.18	90.0	0.16
12/15/2016	BOWERS, DORA	COLUMBIA SMALL CAP VALUE FUND II CL	0.00	0.19	0.00	0.19	90.0	0.17
02/12/2016	FLEISCH, ROBERT	COLUMBIA STRATEGIC INCOME A	0.00	2.12	0.00	2.12	90.0	1.91
03/14/2016	FLEISCH, ROBERT	COLUMBIA STRATEGIC INCOME A	0.00	1.96	0.00	1.96	90.0	1.76
04/15/2016	FLEISCH, ROBERT	COLUMBIA STRATEGIC INCOME A	0.00	2.18	0.00	2.18	90.0	1.96
05/24/2016	FLEISCH, ROBERT	COLUMBIA STRATEGIC INCOME A	0.00	2.14	0.00	2.14	90.0	1.93
06/14/2016	FLEISCH, ROBERT	COLUMBIA STRATEGIC INCOME A	0.00	2.23	0.00	2.23	90.0	2.01
07/20/2016	FLEISCH, ROBERT	COLUMBIA STRATEGIC INCOME A	0.00	2.17	0.00	2.17	90.0	1.95
08/17/2016	FLEISCH, ROBERT	COLUMBIA STRATEGIC INCOME A	0.00	2.28	0.00	2.28	90.0	2.05
09/16/2016	FLEISCH, ROBERT	COLUMBIA STRATEGIC INCOME A	0.00	2.30	0.00	2.30	90.0	2.07
10/14/2016	FLEISCH, ROBERT	COLUMBIA STRATEGIC INCOME A	0.00	2.24	0.00	2.24	90.0	2.02
11/15/2016	FLEISCH, ROBERT	COLUMBIA STRATEGIC INCOME A	0.00	2.32	0.00	2.32	90.0	2.09
12/15/2016	FLEISCH, ROBERT	COLUMBIA STRATEGIC INCOME A	0.00	2.23	0.00	2.23	90.0	2.01
04/22/2016	BOWERS, DORA	CREDIT SUISSE COMMODITY RETURN STRA	0.00	0.26	0.00	0.26	90.0	0.23
07/20/2016	BOWERS, DORA	CREDIT SUISSE COMMODITY RETURN STRA	0.00	0.28	0.00	0.28	90.0	0.25
10/18/2016	BOWERS, DORA	CREDIT SUISSE COMMODITY RETURN STRA	0.00	0.29	0.00	0.29	90.0	0.26
02/16/2016	CENTANNI, BETTY	DAVIS NEW YORK VENTURE A	0.00	0.30	0.00	0.30	90.0	0.27
02/16/2016	CENTANNI, RICHARD	DAVIS NEW YORK VENTURE A	0.00	0.54	0.00	0.54	90.0	0.49
03/14/2016	CENTANNI, BETTY	DAVIS NEW YORK VENTURE A	0.00	0.27	0.00	0.27	90.0	0.24
03/14/2016	CENTANNI, RICHARD	DAVIS NEW YORK VENTURE A	0.00	0.49	0.00	0.49	90.0	0.44
04/20/2016	CENTANNI, BETTY	DAVIS NEW YORK VENTURE A	0.00	0.30	0.00	0.30	90.0	0.27
04/20/2016	CENTANNI, RICHARD	DAVIS NEW YORK VENTURE A	0.00	0.56	0.00	0.56	90.0	0.50
05/16/2016	CENTANNI, BETTY	DAVIS NEW YORK VENTURE A	0.00	0.31	0.00	0.31	90.0	0.28
05/16/2016	CENTANNI, RICHARD	DAVIS NEW YORK VENTURE A	0.00	0.56	0.00	0.56	90.0	0.50

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<u>DIRECT TRANSACTIONS</u>								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS								
06/16/2016	CENTANNI, BETTY	DAVIS NEW YORK VENTURE A	0.00	0.32	0.00	0.32	90.0	0.29
06/16/2016	CENTANNI, RICHARD	DAVIS NEW YORK VENTURE A	0.00	0.59	0.00	0.59	90.0	0.53
07/15/2016	CENTANNI, BETTY	DAVIS NEW YORK VENTURE A	0.00	0.31	0.00	0.31	90.0	0.28
07/15/2016	CENTANNI, RICHARD	DAVIS NEW YORK VENTURE A	0.00	0.57	0.00	0.57	90.0	0.51
08/15/2016	CENTANNI, BETTY	DAVIS NEW YORK VENTURE A	0.00	0.33	0.00	0.33	90.0	0.30
08/15/2016	CENTANNI, RICHARD	DAVIS NEW YORK VENTURE A	0.00	0.60	0.00	0.60	90.0	0.54
09/16/2016	CENTANNI, BETTY	DAVIS NEW YORK VENTURE A	0.00	0.34	0.00	0.34	90.0	0.31
09/16/2016	CENTANNI, RICHARD	DAVIS NEW YORK VENTURE A	0.00	0.62	0.00	0.62	90.0	0.56
10/17/2016	CENTANNI, BETTY	DAVIS NEW YORK VENTURE A	0.00	0.33	0.00	0.33	90.0	0.30
10/17/2016	CENTANNI, RICHARD	DAVIS NEW YORK VENTURE A	0.00	0.61	0.00	0.61	90.0	0.55
11/11/2016	CENTANNI, BETTY	DAVIS NEW YORK VENTURE A	0.00	0.34	0.00	0.34	90.0	0.31
11/11/2016	CENTANNI, RICHARD	DAVIS NEW YORK VENTURE A	0.00	0.63	0.00	0.63	90.0	0.57
12/16/2016	CENTANNI, BETTY	DAVIS NEW YORK VENTURE A	0.00	0.34	0.00	0.34	90.0	0.31
12/16/2016	CENTANNI, RICHARD	DAVIS NEW YORK VENTURE A	0.00	0.62	0.00	0.62	90.0	0.56
04/26/2016	BOWERS, DORA	DEUTSCHE GLOBAL RE	0.00	0.82	0.00	0.82	90.0	0.74
07/25/2016	BOWERS, DORA	DEUTSCHE GLOBAL RE	0.00	0.88	0.00	0.88	90.0	0.79
10/27/2016	BOWERS, DORA	DEUTSCHE GLOBAL RE	0.00	0.94	0.00	0.94	90.0	0.85
02/10/2016	GUERRIERI, CHARLES	DREYFUS CORE EQUITY FUND CLASS A	0.00	2.49	0.00	2.49	90.0	2.24
03/10/2016	GUERRIERI, CHARLES	DREYFUS CORE EQUITY FUND CLASS A	0.00	2.32	0.00	2.32	90.0	2.09
04/15/2016	GUERRIERI, CHARLES	DREYFUS CORE EQUITY FUND CLASS A	0.00	2.62	0.00	2.62	90.0	2.36
05/11/2016	GUERRIERI, CHARLES	DREYFUS CORE EQUITY FUND CLASS A	0.00	2.61	0.00	2.61	90.0	2.35
06/10/2016	GUERRIERI, CHARLES	DREYFUS CORE EQUITY FUND CLASS A	0.00	2.68	0.00	2.68	90.0	2.41
07/13/2016	GUERRIERI, CHARLES	DREYFUS CORE EQUITY FUND CLASS A	0.00	2.60	0.00	2.60	90.0	2.34
08/09/2016	GUERRIERI, CHARLES	DREYFUS CORE EQUITY FUND CLASS A	0.00	2.76	0.00	2.76	90.0	2.48
09/12/2016	GUERRIERI, CHARLES	DREYFUS CORE EQUITY FUND CLASS A	0.00	2.79	0.00	2.79	90.0	2.51
10/11/2016	GUERRIERI, CHARLES	DREYFUS CORE EQUITY FUND CLASS A	0.00	2.67	0.00	2.67	90.0	2.40
11/15/2016	GUERRIERI, CHARLES	DREYFUS CORE EQUITY FUND CLASS A	0.00	2.74	0.00	2.74	90.0	2.47
12/13/2016	GUERRIERI, CHARLES	DREYFUS CORE EQUITY FUND CLASS A	0.00	2.63	0.00	2.63	90.0	2.37
02/10/2016	GUERRIERI, CHARLES	DREYFUS HIGH YIELD FUND CLASS C	0.00	0.01	0.00	0.01	90.0	0.01
03/10/2016	GUERRIERI, CHARLES	DREYFUS HIGH YIELD FUND CLASS C	0.00	0.01	0.00	0.01	90.0	0.01
04/15/2016	GUERRIERI, CHARLES	DREYFUS HIGH YIELD FUND CLASS C	0.00	0.01	0.00	0.01	90.0	0.01
05/11/2016	GUERRIERI, CHARLES	DREYFUS HIGH YIELD FUND CLASS C	0.00	0.01	0.00	0.01	90.0	0.01
06/10/2016	GUERRIERI, CHARLES	DREYFUS HIGH YIELD FUND CLASS C	0.00	0.01	0.00	0.01	90.0	0.01

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
07/13/2016	GUERRIERI, CHARLES	DREYFUS HIGH YIELD FUND CLASS C	0.00	0.01	0.00	0.01	90.0	0.01
08/09/2016	GUERRIERI, CHARLES	DREYFUS HIGH YIELD FUND CLASS C	0.00	0.01	0.00	0.01	90.0	0.01
09/12/2016	GUERRIERI, CHARLES	DREYFUS HIGH YIELD FUND CLASS C	0.00	0.01	0.00	0.01	90.0	0.01
10/11/2016	GUERRIERI, CHARLES	DREYFUS HIGH YIELD FUND CLASS C	0.00	0.01	0.00	0.01	90.0	0.01
11/15/2016	GUERRIERI, CHARLES	DREYFUS HIGH YIELD FUND CLASS C	0.00	0.01	0.00	0.01	90.0	0.01
12/13/2016	GUERRIERI, CHARLES	DREYFUS HIGH YIELD FUND CLASS C	0.00	0.01	0.00	0.01	90.0	0.01
02/10/2016	GUERRIERI, BERNICE	DREYFUS INTERMEDIATE TERM INCOME FU	0.00	1.67	0.00	1.67	90.0	1.50
03/10/2016	GUERRIERI, BERNICE	DREYFUS INTERMEDIATE TERM INCOME FU	0.00	1.56	0.00	1.56	90.0	1.40
04/15/2016	GUERRIERI, BERNICE	DREYFUS INTERMEDIATE TERM INCOME FU	0.00	0.76	0.00	0.76	90.0	0.68
02/10/2016	COHEN, HARRIET	DREYFUS NEW JERSEY MUNICIPAL BOND F	0.00	62.01	0.00	62.01	90.0	55.81
03/10/2016	COHEN, HARRIET	DREYFUS NEW JERSEY MUNICIPAL BOND F	0.00	58.35	0.00	58.35	90.0	52.52
04/15/2016	COHEN, HARRIET	DREYFUS NEW JERSEY MUNICIPAL BOND F	0.00	62.22	0.00	62.22	90.0	56.00
05/11/2016	COHEN, HARRIET	DREYFUS NEW JERSEY MUNICIPAL BOND F	0.00	60.99	0.00	60.99	90.0	54.89
06/10/2016	COHEN, HARRIET	DREYFUS NEW JERSEY MUNICIPAL BOND F	0.00	63.47	0.00	63.47	90.0	57.12
07/13/2016	COHEN, HARRIET	DREYFUS NEW JERSEY MUNICIPAL BOND F	0.00	61.93	0.00	61.93	90.0	55.74
08/09/2016	COHEN, HARRIET	DREYFUS NEW JERSEY MUNICIPAL BOND F	0.00	64.32	0.00	64.32	90.0	57.89
09/12/2016	COHEN, HARRIET	DREYFUS NEW JERSEY MUNICIPAL BOND F	0.00	64.37	0.00	64.37	90.0	57.93
10/11/2016	COHEN, HARRIET	DREYFUS NEW JERSEY MUNICIPAL BOND F	0.00	62.01	0.00	62.01	90.0	55.81
11/15/2016	COHEN, HARRIET	DREYFUS NEW JERSEY MUNICIPAL BOND F	0.00	63.45	0.00	63.45	90.0	57.11
12/13/2016	COHEN, HARRIET	DREYFUS NEW JERSEY MUNICIPAL BOND F	0.00	59.95	0.00	59.95	90.0	53.96
04/26/2016	TRICHON, DOROTHY	DWS STRATEGIC GOVERNMENT SECURITIES	0.00	4.94	0.00	4.94	90.0	4.45
07/25/2016	TRICHON, DOROTHY	DWS STRATEGIC GOVERNMENT SECURITIES	0.00	4.94	0.00	4.94	90.0	4.45
10/27/2016	TRICHON, DOROTHY	DWS STRATEGIC GOVERNMENT SECURITIES	0.00	4.40	0.00	4.40	90.0	3.96
02/10/2016	TRICHON, DOROTHY	EATON VANCE GOVT OBLIGATIONS A	0.00	1.66	0.00	1.66	90.0	1.49
03/16/2016	TRICHON, DOROTHY	EATON VANCE GOVT OBLIGATIONS A	0.00	1.56	0.00	1.56	90.0	1.40
04/25/2016	TRICHON, DOROTHY	EATON VANCE GOVT OBLIGATIONS A	0.00	1.66	0.00	1.66	90.0	1.49
05/13/2016	TRICHON, DOROTHY	EATON VANCE GOVT OBLIGATIONS A	0.00	1.60	0.00	1.60	90.0	1.44
06/15/2016	TRICHON, DOROTHY	EATON VANCE GOVT OBLIGATIONS A	0.00	1.65	0.00	1.65	90.0	1.49
07/20/2016	TRICHON, DOROTHY	EATON VANCE GOVT OBLIGATIONS A	0.00	1.60	0.00	1.60	90.0	1.44
08/12/2016	TRICHON, DOROTHY	EATON VANCE GOVT OBLIGATIONS A	0.00	1.64	0.00	1.64	90.0	1.48
09/13/2016	TRICHON, DOROTHY	EATON VANCE GOVT OBLIGATIONS A	0.00	1.64	0.00	1.64	90.0	1.48
10/12/2016	TRICHON, DOROTHY	EATON VANCE GOVT OBLIGATIONS A	0.00	1.51	0.00	1.51	90.0	1.36
11/15/2016	TRICHON, DOROTHY	EATON VANCE GOVT OBLIGATIONS A	0.00	1.42	0.00	1.42	90.0	1.28

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
12/21/2016	TRICHON, DOROTHY	EATON VANCE GOVT OBLIGATIONS A	0.00	1.37	0.00	1.37	90.0	1.23
02/10/2016	BOWERS, DORA	EATON VANCE LARGE-CAP VALUE FUND CL	0.00	0.63	0.00	0.63	90.0	0.57
03/16/2016	BOWERS, DORA	EATON VANCE LARGE-CAP VALUE FUND CL	0.00	0.58	0.00	0.58	90.0	0.52
04/25/2016	BOWERS, DORA	EATON VANCE LARGE-CAP VALUE FUND CL	0.00	0.66	0.00	0.66	90.0	0.59
05/13/2016	BOWERS, DORA	EATON VANCE LARGE-CAP VALUE FUND CL	0.00	0.65	0.00	0.65	90.0	0.59
06/15/2016	BOWERS, DORA	EATON VANCE LARGE-CAP VALUE FUND CL	0.00	0.67	0.00	0.67	90.0	0.60
07/20/2016	BOWERS, DORA	EATON VANCE LARGE-CAP VALUE FUND CL	0.00	0.65	0.00	0.65	90.0	0.59
08/12/2016	BOWERS, DORA	EATON VANCE LARGE-CAP VALUE FUND CL	0.00	0.69	0.00	0.69	90.0	0.62
09/13/2016	BOWERS, DORA	EATON VANCE LARGE-CAP VALUE FUND CL	0.00	0.69	0.00	0.69	90.0	0.62
10/12/2016	BOWERS, DORA	EATON VANCE LARGE-CAP VALUE FUND CL	0.00	0.66	0.00	0.66	90.0	0.59
11/15/2016	BOWERS, DORA	EATON VANCE LARGE-CAP VALUE FUND CL	0.00	0.68	0.00	0.68	90.0	0.61
12/21/2016	BOWERS, DORA	EATON VANCE LARGE-CAP VALUE FUND CL	0.00	0.66	0.00	0.66	90.0	0.59
02/10/2016	TRICHON, DOROTHY	EATON VANCE NATIONAL MUNICIPAL INCO	0.00	2.34	0.00	2.34	90.0	2.11
03/16/2016	TRICHON, DOROTHY	EATON VANCE NATIONAL MUNICIPAL INCO	0.00	2.19	0.00	2.19	90.0	1.97
04/25/2016	TRICHON, DOROTHY	EATON VANCE NATIONAL MUNICIPAL INCO	0.00	2.32	0.00	2.32	90.0	2.09
05/13/2016	TRICHON, DOROTHY	EATON VANCE NATIONAL MUNICIPAL INCO	0.00	2.28	0.00	2.28	90.0	2.05
06/15/2016	TRICHON, DOROTHY	EATON VANCE NATIONAL MUNICIPAL INCO	0.00	2.37	0.00	2.37	90.0	2.13
07/20/2016	TRICHON, DOROTHY	EATON VANCE NATIONAL MUNICIPAL INCO	0.00	2.31	0.00	2.31	90.0	2.08
08/12/2016	TRICHON, DOROTHY	EATON VANCE NATIONAL MUNICIPAL INCO	0.00	2.40	0.00	2.40	90.0	2.16
09/13/2016	TRICHON, DOROTHY	EATON VANCE NATIONAL MUNICIPAL INCO	0.00	2.39	0.00	2.39	90.0	2.15
10/12/2016	TRICHON, DOROTHY	EATON VANCE NATIONAL MUNICIPAL INCO	0.00	2.31	0.00	2.31	90.0	2.08
11/15/2016	TRICHON, DOROTHY	EATON VANCE NATIONAL MUNICIPAL INCO	0.00	2.36	0.00	2.36	90.0	2.12
12/21/2016	TRICHON, DOROTHY	EATON VANCE NATIONAL MUNICIPAL INCO	0.00	2.24	0.00	2.24	90.0	2.02
02/10/2016	TRICHON, DOROTHY	EATON VANCE PENNSYLVANIA MUNI INCOM	0.00	1.82	0.00	1.82	90.0	1.64
03/16/2016	TRICHON, DOROTHY	EATON VANCE PENNSYLVANIA MUNI INCOM	0.00	1.71	0.00	1.71	90.0	1.54
04/25/2016	TRICHON, DOROTHY	EATON VANCE PENNSYLVANIA MUNI INCOM	0.00	1.81	0.00	1.81	90.0	1.63
04/25/2016	JACKSON, SHIRLEY	EATON VANCE PENNSYLVANIA MUNI INCOM	0.00	3.03	0.00	3.03	90.0	2.73
05/13/2016	TRICHON, DOROTHY	EATON VANCE PENNSYLVANIA MUNI INCOM	0.00	1.77	0.00	1.77	90.0	1.59
05/13/2016	JACKSON, SHIRLEY	EATON VANCE PENNSYLVANIA MUNI INCOM	0.00	2.96	0.00	2.96	90.0	2.66
06/15/2016	TRICHON, DOROTHY	EATON VANCE PENNSYLVANIA MUNI INCOM	0.00	1.83	0.00	1.83	90.0	1.65
06/15/2016	JACKSON, SHIRLEY	EATON VANCE PENNSYLVANIA MUNI INCOM	0.00	3.07	0.00	3.07	90.0	2.76
07/20/2016	TRICHON, DOROTHY	EATON VANCE PENNSYLVANIA MUNI INCOM	0.00	1.78	0.00	1.78	90.0	1.60
07/20/2016	JACKSON, SHIRLEY	EATON VANCE PENNSYLVANIA MUNI INCOM	0.00	3.00	0.00	3.00	90.0	2.70

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
08/12/2016	TRICHON, DOROTHY	EATON VANCE PENNSYLVANIA MUNI INCOM	0.00	1.84	0.00	1.84	90.0	1.66
08/12/2016	JACKSON, SHIRLEY	EATON VANCE PENNSYLVANIA MUNI INCOM	0.00	3.12	0.00	3.12	90.0	2.81
09/13/2016	TRICHON, DOROTHY	EATON VANCE PENNSYLVANIA MUNI INCOM	0.00	1.84	0.00	1.84	90.0	1.66
09/13/2016	JACKSON, SHIRLEY	EATON VANCE PENNSYLVANIA MUNI INCOM	0.00	3.12	0.00	3.12	90.0	2.81
10/12/2016	TRICHON, DOROTHY	EATON VANCE PENNSYLVANIA MUNI INCOM	0.00	1.77	0.00	1.77	90.0	1.59
10/12/2016	JACKSON, SHIRLEY	EATON VANCE PENNSYLVANIA MUNI INCOM	0.00	3.01	0.00	3.01	90.0	2.71
11/15/2016	TRICHON, DOROTHY	EATON VANCE PENNSYLVANIA MUNI INCOM	0.00	1.81	0.00	1.81	90.0	1.63
11/15/2016	JACKSON, SHIRLEY	EATON VANCE PENNSYLVANIA MUNI INCOM	0.00	3.09	0.00	3.09	90.0	2.78
12/21/2016	TRICHON, DOROTHY	EATON VANCE PENNSYLVANIA MUNI INCOM	0.00	1.72	0.00	1.72	90.0	1.55
12/21/2016	JACKSON, SHIRLEY	EATON VANCE PENNSYLVANIA MUNI INCOM	0.00	2.94	0.00	2.94	90.0	2.65
12/16/2016	HANKINS, ROBERT	FEDERATED HIGH INCOME BOND FUND INC	0.00	0.95	0.00	0.95	90.0	0.86
02/10/2016	CENTANNI, BETTY	FEDERATED KAUFMANN FUND A	0.00	0.25	0.00	0.25	90.0	0.23
03/15/2016	CENTANNI, BETTY	FEDERATED KAUFMANN FUND A	0.00	0.22	0.00	0.22	90.0	0.20
04/20/2016	CENTANNI, BETTY	FEDERATED KAUFMANN FUND A	0.00	0.25	0.00	0.25	90.0	0.23
05/16/2016	CENTANNI, BETTY	FEDERATED KAUFMANN FUND A	0.00	0.25	0.00	0.25	90.0	0.23
06/15/2016	CENTANNI, BETTY	FEDERATED KAUFMANN FUND A	0.00	0.26	0.00	0.26	90.0	0.23
07/19/2016	CENTANNI, BETTY	FEDERATED KAUFMANN FUND A	0.00	0.26	0.00	0.26	90.0	0.23
08/12/2016	CENTANNI, BETTY	FEDERATED KAUFMANN FUND A	0.00	0.28	0.00	0.28	90.0	0.25
09/16/2016	CENTANNI, BETTY	FEDERATED KAUFMANN FUND A	0.00	0.29	0.00	0.29	90.0	0.26
10/21/2016	CENTANNI, BETTY	FEDERATED KAUFMANN FUND A	0.00	0.28	0.00	0.28	90.0	0.25
11/21/2016	CENTANNI, BETTY	FEDERATED KAUFMANN FUND A	0.00	0.29	0.00	0.29	90.0	0.26
12/16/2016	CENTANNI, BETTY	FEDERATED KAUFMANN FUND A	0.00	0.28	0.00	0.28	90.0	0.25
02/10/2016	BOWERS, DORA	FEDERATED TOTAL RETURN BOND A	0.00	0.67	0.00	0.67	90.0	0.60
03/15/2016	BOWERS, DORA	FEDERATED TOTAL RETURN BOND A	0.00	0.62	0.00	0.62	90.0	0.56
04/20/2016	BOWERS, DORA	FEDERATED TOTAL RETURN BOND A	0.00	0.67	0.00	0.67	90.0	0.60
05/16/2016	BOWERS, DORA	FEDERATED TOTAL RETURN BOND A	0.00	0.66	0.00	0.66	90.0	0.59
06/15/2016	BOWERS, DORA	FEDERATED TOTAL RETURN BOND A	0.00	0.68	0.00	0.68	90.0	0.61
07/19/2016	BOWERS, DORA	FEDERATED TOTAL RETURN BOND A	0.00	0.67	0.00	0.67	90.0	0.60
08/12/2016	BOWERS, DORA	FEDERATED TOTAL RETURN BOND A	0.00	0.70	0.00	0.70	90.0	0.63
09/16/2016	BOWERS, DORA	FEDERATED TOTAL RETURN BOND A	0.00	0.70	0.00	0.70	90.0	0.63
10/21/2016	BOWERS, DORA	FEDERATED TOTAL RETURN BOND A	0.00	0.67	0.00	0.67	90.0	0.60
11/21/2016	BOWERS, DORA	FEDERATED TOTAL RETURN BOND A	0.00	0.69	0.00	0.69	90.0	0.62
12/16/2016	BOWERS, DORA	FEDERATED TOTAL RETURN BOND A	0.00	0.66	0.00	0.66	90.0	0.59

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
02/12/2016	FLEISCH, ROBERT	FIDELITY ADV FLOATING RATE HIGH INC	0.00	7.13	0.00	7.13	90.0	6.42
03/17/2016	FLEISCH, ROBERT	FIDELITY ADV FLOATING RATE HIGH INC	0.00	6.61	0.00	6.61	90.0	5.95
04/19/2016	FLEISCH, ROBERT	FIDELITY ADV FLOATING RATE HIGH INC	0.00	7.21	0.00	7.21	90.0	6.49
05/24/2016	FLEISCH, ROBERT	FIDELITY ADV FLOATING RATE HIGH INC	0.00	7.12	0.00	7.12	90.0	6.41
06/15/2016	FLEISCH, ROBERT	FIDELITY ADV FLOATING RATE HIGH INC	0.00	7.46	0.00	7.46	90.0	6.71
07/19/2016	FLEISCH, ROBERT	FIDELITY ADV FLOATING RATE HIGH INC	0.00	7.25	0.00	7.25	90.0	6.53
08/16/2016	FLEISCH, ROBERT	FIDELITY ADV FLOATING RATE HIGH INC	0.00	7.55	0.00	7.55	90.0	6.80
09/19/2016	FLEISCH, ROBERT	FIDELITY ADV FLOATING RATE HIGH INC	0.00	7.48	0.00	7.48	90.0	6.73
10/19/2016	FLEISCH, ROBERT	FIDELITY ADV FLOATING RATE HIGH INC	0.00	7.24	0.00	7.24	90.0	6.52
11/18/2016	FLEISCH, ROBERT	FIDELITY ADV FLOATING RATE HIGH INC	0.00	7.54	0.00	7.54	90.0	6.79
12/16/2016	FLEISCH, ROBERT	FIDELITY ADV FLOATING RATE HIGH INC	0.00	7.30	0.00	7.30	90.0	6.57
02/12/2016	FLEISCH, ROBERT	FIDELITY ADV STRATEGIC INCOME A	0.00	7.84	0.00	7.84	90.0	7.06
03/17/2016	FLEISCH, ROBERT	FIDELITY ADV STRATEGIC INCOME A	0.00	7.32	0.00	7.32	90.0	6.59
04/19/2016	FLEISCH, ROBERT	FIDELITY ADV STRATEGIC INCOME A	0.00	8.06	0.00	8.06	90.0	7.25
05/24/2016	FLEISCH, ROBERT	FIDELITY ADV STRATEGIC INCOME A	0.00	7.95	0.00	7.95	90.0	7.16
06/15/2016	FLEISCH, ROBERT	FIDELITY ADV STRATEGIC INCOME A	0.00	8.27	0.00	8.27	90.0	7.44
07/19/2016	FLEISCH, ROBERT	FIDELITY ADV STRATEGIC INCOME A	0.00	8.09	0.00	8.09	90.0	7.28
08/16/2016	FLEISCH, ROBERT	FIDELITY ADV STRATEGIC INCOME A	0.00	8.51	0.00	8.51	90.0	7.66
09/19/2016	FLEISCH, ROBERT	FIDELITY ADV STRATEGIC INCOME A	0.00	8.48	0.00	8.48	90.0	7.63
10/19/2016	FLEISCH, ROBERT	FIDELITY ADV STRATEGIC INCOME A	0.00	8.17	0.00	8.17	90.0	7.35
11/18/2016	FLEISCH, ROBERT	FIDELITY ADV STRATEGIC INCOME A	0.00	8.46	0.00	8.46	90.0	7.61
12/16/2016	FLEISCH, ROBERT	FIDELITY ADV STRATEGIC INCOME A	0.00	8.05	0.00	8.05	90.0	7.25
02/12/2016	CENTANNI, BETTY	FIDELITY ADV STRATEGIC INCOME C	0.00	1.39	0.00	1.39	90.0	1.25
02/12/2016	CENTANNI, RICHARD	FIDELITY ADV STRATEGIC INCOME C	0.00	5.29	0.00	5.29	90.0	4.76
03/17/2016	CENTANNI, BETTY	FIDELITY ADV STRATEGIC INCOME C	0.00	1.30	0.00	1.30	90.0	1.17
03/17/2016	CENTANNI, RICHARD	FIDELITY ADV STRATEGIC INCOME C	0.00	4.94	0.00	4.94	90.0	4.45
04/19/2016	CENTANNI, BETTY	FIDELITY ADV STRATEGIC INCOME C	0.00	1.43	0.00	1.43	90.0	1.29
04/19/2016	CENTANNI, RICHARD	FIDELITY ADV STRATEGIC INCOME C	0.00	5.44	0.00	5.44	90.0	4.90
05/24/2016	CENTANNI, BETTY	FIDELITY ADV STRATEGIC INCOME C	0.00	1.40	0.00	1.40	90.0	1.26
05/24/2016	CENTANNI, RICHARD	FIDELITY ADV STRATEGIC INCOME C	0.00	5.35	0.00	5.35	90.0	4.82
06/15/2016	CENTANNI, BETTY	FIDELITY ADV STRATEGIC INCOME C	0.00	1.46	0.00	1.46	90.0	1.31
06/15/2016	CENTANNI, RICHARD	FIDELITY ADV STRATEGIC INCOME C	0.00	5.57	0.00	5.57	90.0	5.01
07/19/2016	CENTANNI, BETTY	FIDELITY ADV STRATEGIC INCOME C	0.00	1.42	0.00	1.42	90.0	1.28

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
07/19/2016	CENTANNI, RICHARD	FIDELITY ADV STRATEGIC INCOME C	0.00	5.44	0.00	5.44	90.0	4.90
08/16/2016	CENTANNI, BETTY	FIDELITY ADV STRATEGIC INCOME C	0.00	1.49	0.00	1.49	90.0	1.34
08/16/2016	CENTANNI, RICHARD	FIDELITY ADV STRATEGIC INCOME C	0.00	5.72	0.00	5.72	90.0	5.15
09/19/2016	CENTANNI, BETTY	FIDELITY ADV STRATEGIC INCOME C	0.00	1.51	0.00	1.51	90.0	1.36
09/19/2016	CENTANNI, RICHARD	FIDELITY ADV STRATEGIC INCOME C	0.00	5.80	0.00	5.80	90.0	5.22
10/19/2016	CENTANNI, BETTY	FIDELITY ADV STRATEGIC INCOME C	0.00	1.46	0.00	1.46	90.0	1.31
10/19/2016	CENTANNI, RICHARD	FIDELITY ADV STRATEGIC INCOME C	0.00	5.63	0.00	5.63	90.0	5.07
11/18/2016	CENTANNI, BETTY	FIDELITY ADV STRATEGIC INCOME C	0.00	1.51	0.00	1.51	90.0	1.36
11/18/2016	CENTANNI, RICHARD	FIDELITY ADV STRATEGIC INCOME C	0.00	5.82	0.00	5.82	90.0	5.24
12/16/2016	CENTANNI, BETTY	FIDELITY ADV STRATEGIC INCOME C	0.00	1.43	0.00	1.43	90.0	1.29
12/16/2016	CENTANNI, RICHARD	FIDELITY ADV STRATEGIC INCOME C	0.00	5.54	0.00	5.54	90.0	4.99
02/12/2016	BOWERS, DORA	FIDELITY ADVISOR MID CAP II FUND CL	0.00	0.22	0.00	0.22	90.0	0.20
03/17/2016	BOWERS, DORA	FIDELITY ADVISOR MID CAP II FUND CL	0.00	0.20	0.00	0.20	90.0	0.18
04/19/2016	BOWERS, DORA	FIDELITY ADVISOR MID CAP II FUND CL	0.00	0.23	0.00	0.23	90.0	0.21
05/24/2016	BOWERS, DORA	FIDELITY ADVISOR MID CAP II FUND CL	0.00	0.23	0.00	0.23	90.0	0.21
06/15/2016	BOWERS, DORA	FIDELITY ADVISOR MID CAP II FUND CL	0.00	0.24	0.00	0.24	90.0	0.22
07/19/2016	BOWERS, DORA	FIDELITY ADVISOR MID CAP II FUND CL	0.00	0.23	0.00	0.23	90.0	0.21
08/16/2016	BOWERS, DORA	FIDELITY ADVISOR MID CAP II FUND CL	0.00	0.25	0.00	0.25	90.0	0.23
09/19/2016	BOWERS, DORA	FIDELITY ADVISOR MID CAP II FUND CL	0.00	0.25	0.00	0.25	90.0	0.23
10/19/2016	BOWERS, DORA	FIDELITY ADVISOR MID CAP II FUND CL	0.00	0.24	0.00	0.24	90.0	0.22
11/18/2016	BOWERS, DORA	FIDELITY ADVISOR MID CAP II FUND CL	0.00	0.25	0.00	0.25	90.0	0.23
12/16/2016	BOWERS, DORA	FIDELITY ADVISOR MID CAP II FUND CL	0.00	0.25	0.00	0.25	90.0	0.23
02/12/2016	BOWERS, DORA	FIDELITY ADVISOR TOTAL BOND FUND CL	0.00	0.49	0.00	0.49	90.0	0.44
03/17/2016	BOWERS, DORA	FIDELITY ADVISOR TOTAL BOND FUND CL	0.00	0.46	0.00	0.46	90.0	0.41
04/19/2016	BOWERS, DORA	FIDELITY ADVISOR TOTAL BOND FUND CL	0.00	0.50	0.00	0.50	90.0	0.45
05/24/2016	BOWERS, DORA	FIDELITY ADVISOR TOTAL BOND FUND CL	0.00	0.49	0.00	0.49	90.0	0.44
06/15/2016	BOWERS, DORA	FIDELITY ADVISOR TOTAL BOND FUND CL	0.00	0.51	0.00	0.51	90.0	0.46
07/19/2016	BOWERS, DORA	FIDELITY ADVISOR TOTAL BOND FUND CL	0.00	0.49	0.00	0.49	90.0	0.44
08/16/2016	BOWERS, DORA	FIDELITY ADVISOR TOTAL BOND FUND CL	0.00	0.52	0.00	0.52	90.0	0.47
09/19/2016	BOWERS, DORA	FIDELITY ADVISOR TOTAL BOND FUND CL	0.00	0.52	0.00	0.52	90.0	0.47
10/19/2016	BOWERS, DORA	FIDELITY ADVISOR TOTAL BOND FUND CL	0.00	0.50	0.00	0.50	90.0	0.45
11/18/2016	BOWERS, DORA	FIDELITY ADVISOR TOTAL BOND FUND CL	0.00	0.52	0.00	0.52	90.0	0.47
12/16/2016	BOWERS, DORA	FIDELITY ADVISOR TOTAL BOND FUND CL	0.00	0.49	0.00	0.49	90.0	0.44

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
02/12/2016	BEYERLE, PATRICIA	FIDELITY MIDCAP II T	0.00	2.82	0.00	2.82	90.0	2.54
03/17/2016	BEYERLE, PATRICIA	FIDELITY MIDCAP II T	0.00	2.57	0.00	2.57	90.0	2.31
04/19/2016	BEYERLE, PATRICIA	FIDELITY MIDCAP II T	0.00	2.97	0.00	2.97	90.0	2.67
05/24/2016	BEYERLE, PATRICIA	FIDELITY MIDCAP II T	0.00	2.97	0.00	2.97	90.0	2.67
06/15/2016	BEYERLE, PATRICIA	FIDELITY MIDCAP II T	0.00	3.07	0.00	3.07	90.0	2.76
07/19/2016	BEYERLE, PATRICIA	FIDELITY MIDCAP II T	0.00	3.00	0.00	3.00	90.0	2.70
08/16/2016	BEYERLE, PATRICIA	FIDELITY MIDCAP II T	0.00	3.17	0.00	3.17	90.0	2.85
09/19/2016	BEYERLE, PATRICIA	FIDELITY MIDCAP II T	0.00	3.23	0.00	3.23	90.0	2.91
10/19/2016	BEYERLE, PATRICIA	FIDELITY MIDCAP II T	0.00	3.11	0.00	3.11	90.0	2.80
11/18/2016	BEYERLE, PATRICIA	FIDELITY MIDCAP II T	0.00	2.83	0.00	2.83	90.0	2.55
12/16/2016	BEYERLE, PATRICIA	FIDELITY MIDCAP II T	0.00	2.36	0.00	2.36	90.0	2.12
02/16/2016	FLEISCH, ROBERT	FRANKLIN DYNATECH A	0.00	10.75	0.00	10.75	90.0	9.68
03/16/2016	FLEISCH, ROBERT	FRANKLIN DYNATECH A	0.00	9.39	0.00	9.39	90.0	8.45
04/15/2016	FLEISCH, ROBERT	FRANKLIN DYNATECH A	0.00	10.65	0.00	10.65	90.0	9.59
05/13/2016	FLEISCH, ROBERT	FRANKLIN DYNATECH A	0.00	10.70	0.00	10.70	90.0	9.63
06/14/2016	FLEISCH, ROBERT	FRANKLIN DYNATECH A	0.00	11.02	0.00	11.02	90.0	9.92
07/14/2016	FLEISCH, ROBERT	FRANKLIN DYNATECH A	0.00	10.84	0.00	10.84	90.0	9.76
08/15/2016	FLEISCH, ROBERT	FRANKLIN DYNATECH A	0.00	11.60	0.00	11.60	90.0	10.44
09/14/2016	FLEISCH, ROBERT	FRANKLIN DYNATECH A	0.00	11.51	0.00	11.51	90.0	10.36
10/18/2016	FLEISCH, ROBERT	FRANKLIN DYNATECH A	0.00	10.95	0.00	10.95	90.0	9.86
11/15/2016	FLEISCH, ROBERT	FRANKLIN DYNATECH A	0.00	11.32	0.00	11.32	90.0	10.19
12/16/2016	FLEISCH, ROBERT	FRANKLIN DYNATECH A	0.00	10.70	0.00	10.70	90.0	9.63
02/16/2016	FLEISCH, ROBERT	FRANKLIN GOLD & PRECIOUS METALS A	0.00	2.02	0.00	2.02	90.0	1.82
03/16/2016	FLEISCH, ROBERT	FRANKLIN GOLD & PRECIOUS METALS A	0.00	2.32	0.00	2.32	90.0	2.09
04/15/2016	FLEISCH, ROBERT	FRANKLIN GOLD & PRECIOUS METALS A	0.00	2.93	0.00	2.93	90.0	2.64
05/13/2016	FLEISCH, ROBERT	FRANKLIN GOLD & PRECIOUS METALS A	0.00	3.17	0.00	3.17	90.0	2.85
06/14/2016	FLEISCH, ROBERT	FRANKLIN GOLD & PRECIOUS METALS A	0.00	3.53	0.00	3.53	90.0	3.18
07/14/2016	FLEISCH, ROBERT	FRANKLIN GOLD & PRECIOUS METALS A	0.00	3.65	0.00	3.65	90.0	3.29
08/15/2016	FLEISCH, ROBERT	FRANKLIN GOLD & PRECIOUS METALS A	0.00	4.34	0.00	4.34	90.0	3.91
09/14/2016	FLEISCH, ROBERT	FRANKLIN GOLD & PRECIOUS METALS A	0.00	4.40	0.00	4.40	90.0	3.96
10/18/2016	FLEISCH, ROBERT	FRANKLIN GOLD & PRECIOUS METALS A	0.00	3.97	0.00	3.97	90.0	3.57
11/15/2016	FLEISCH, ROBERT	FRANKLIN GOLD & PRECIOUS METALS A	0.00	3.74	0.00	3.74	90.0	3.37
12/16/2016	FLEISCH, ROBERT	FRANKLIN GOLD & PRECIOUS METALS A	0.00	3.32	0.00	3.32	90.0	2.99

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>DIRECT TRANSACTIONS</u>								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS								
02/16/2016	HASTINGS TURST, OSCAR	FRANKLIN INCOME A	0.00	0.99	0.00	0.99	90.0	0.89
02/16/2016	FLEISCHMAN, RITA	FRANKLIN INCOME A	0.00	4.62	0.00	4.62	90.0	4.16
02/16/2016	COBB, DOROTHY	FRANKLIN INCOME A	0.00	0.68	0.00	0.68	90.0	0.61
03/16/2016	HASTINGS TURST, OSCAR	FRANKLIN INCOME A	0.00	0.91	0.00	0.91	90.0	0.82
03/16/2016	FLEISCHMAN, RITA	FRANKLIN INCOME A	0.00	4.26	0.00	4.26	90.0	3.83
03/16/2016	COBB, DOROTHY	FRANKLIN INCOME A	0.00	0.63	0.00	0.63	90.0	0.57
04/15/2016	HASTINGS TURST, OSCAR	FRANKLIN INCOME A	0.00	1.03	0.00	1.03	90.0	0.93
04/15/2016	FLEISCHMAN, RITA	FRANKLIN INCOME A	0.00	4.82	0.00	4.82	90.0	4.34
04/15/2016	COBB, DOROTHY	FRANKLIN INCOME A	0.00	0.71	0.00	0.71	90.0	0.64
05/13/2016	HASTINGS TURST, OSCAR	FRANKLIN INCOME A	0.00	1.02	0.00	1.02	90.0	0.92
05/13/2016	FLEISCHMAN, RITA	FRANKLIN INCOME A	0.00	4.76	0.00	4.76	90.0	4.28
05/13/2016	COBB, DOROTHY	FRANKLIN INCOME A	0.00	0.70	0.00	0.70	90.0	0.63
06/14/2016	HASTINGS TURST, OSCAR	FRANKLIN INCOME A	0.00	1.06	0.00	1.06	90.0	0.95
06/14/2016	FLEISCHMAN, RITA	FRANKLIN INCOME A	0.00	4.93	0.00	4.93	90.0	4.44
06/14/2016	COBB, DOROTHY	FRANKLIN INCOME A	0.00	0.73	0.00	0.73	90.0	0.66
07/14/2016	HASTINGS TURST, OSCAR	FRANKLIN INCOME A	0.00	1.03	0.00	1.03	90.0	0.93
07/14/2016	FLEISCHMAN, RITA	FRANKLIN INCOME A	0.00	4.81	0.00	4.81	90.0	4.33
07/14/2016	COBB, DOROTHY	FRANKLIN INCOME A	0.00	0.71	0.00	0.71	90.0	0.64
08/15/2016	HASTINGS TURST, OSCAR	FRANKLIN INCOME A	0.00	1.09	0.00	1.09	90.0	0.98
08/15/2016	FLEISCHMAN, RITA	FRANKLIN INCOME A	0.00	5.11	0.00	5.11	90.0	4.60
08/15/2016	COBB, DOROTHY	FRANKLIN INCOME A	0.00	0.75	0.00	0.75	90.0	0.68
09/14/2016	HASTINGS TURST, OSCAR	FRANKLIN INCOME A	0.00	1.10	0.00	1.10	90.0	0.99
09/14/2016	FLEISCHMAN, RITA	FRANKLIN INCOME A	0.00	5.15	0.00	5.15	90.0	4.64
09/14/2016	COBB, DOROTHY	FRANKLIN INCOME A	0.00	0.76	0.00	0.76	90.0	0.68
10/18/2016	HASTINGS TURST, OSCAR	FRANKLIN INCOME A	0.00	1.06	0.00	1.06	90.0	0.95
10/18/2016	FLEISCHMAN, RITA	FRANKLIN INCOME A	0.00	4.97	0.00	4.97	90.0	4.47
10/18/2016	COBB, DOROTHY	FRANKLIN INCOME A	0.00	0.73	0.00	0.73	90.0	0.66
11/15/2016	HASTINGS TURST, OSCAR	FRANKLIN INCOME A	0.00	1.10	0.00	1.10	90.0	0.99
11/15/2016	FLEISCHMAN, RITA	FRANKLIN INCOME A	0.00	5.16	0.00	5.16	90.0	4.64
11/15/2016	COBB, DOROTHY	FRANKLIN INCOME A	0.00	0.76	0.00	0.76	90.0	0.68
12/16/2016	HASTINGS TURST, OSCAR	FRANKLIN INCOME A	0.00	1.06	0.00	1.06	90.0	0.95
12/16/2016	FLEISCHMAN, RITA	FRANKLIN INCOME A	0.00	4.95	0.00	4.95	90.0	4.46
12/16/2016	COBB, DOROTHY	FRANKLIN INCOME A	0.00	0.73	0.00	0.73	90.0	0.66

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
02/16/2016	CENTANNI, RICHARD	FRANKLIN MUTUAL GLOBAL DISCOVERY A	0.00	0.45	0.00	0.45	90.0	0.41
03/16/2016	CENTANNI, RICHARD	FRANKLIN MUTUAL GLOBAL DISCOVERY A	0.00	0.41	0.00	0.41	90.0	0.37
04/15/2016	CENTANNI, RICHARD	FRANKLIN MUTUAL GLOBAL DISCOVERY A	0.00	0.46	0.00	0.46	90.0	0.41
05/13/2016	CENTANNI, RICHARD	FRANKLIN MUTUAL GLOBAL DISCOVERY A	0.00	0.46	0.00	0.46	90.0	0.41
06/14/2016	CENTANNI, RICHARD	FRANKLIN MUTUAL GLOBAL DISCOVERY A	0.00	0.47	0.00	0.47	90.0	0.42
07/14/2016	CENTANNI, RICHARD	FRANKLIN MUTUAL GLOBAL DISCOVERY A	0.00	0.46	0.00	0.46	90.0	0.41
08/15/2016	CENTANNI, RICHARD	FRANKLIN MUTUAL GLOBAL DISCOVERY A	0.00	0.49	0.00	0.49	90.0	0.44
09/14/2016	CENTANNI, RICHARD	FRANKLIN MUTUAL GLOBAL DISCOVERY A	0.00	0.50	0.00	0.50	90.0	0.45
10/18/2016	CENTANNI, RICHARD	FRANKLIN MUTUAL GLOBAL DISCOVERY A	0.00	0.49	0.00	0.49	90.0	0.44
11/15/2016	CENTANNI, RICHARD	FRANKLIN MUTUAL GLOBAL DISCOVERY A	0.00	0.51	0.00	0.51	90.0	0.46
12/16/2016	CENTANNI, RICHARD	FRANKLIN MUTUAL GLOBAL DISCOVERY A	0.00	0.50	0.00	0.50	90.0	0.45
02/16/2016	GREENWELL, MARION	FRNKLN FLOATING RATE DLY ACCESS FND	0.00	2.50	0.00	2.50	90.0	2.25
03/16/2016	GREENWELL, MARION	FRNKLN FLOATING RATE DLY ACCESS FND	0.00	2.31	0.00	2.31	90.0	2.08
04/15/2016	GREENWELL, MARION	FRNKLN FLOATING RATE DLY ACCESS FND	0.00	2.51	0.00	2.51	90.0	2.26
05/13/2016	GREENWELL, MARION	FRNKLN FLOATING RATE DLY ACCESS FND	0.00	2.49	0.00	2.49	90.0	2.24
06/14/2016	GREENWELL, MARION	FRNKLN FLOATING RATE DLY ACCESS FND	0.00	2.61	0.00	2.61	90.0	2.35
07/14/2016	GREENWELL, MARION	FRNKLN FLOATING RATE DLY ACCESS FND	0.00	2.54	0.00	2.54	90.0	2.29
08/15/2016	GREENWELL, MARION	FRNKLN FLOATING RATE DLY ACCESS FND	0.00	2.65	0.00	2.65	90.0	2.39
09/14/2016	GREENWELL, MARION	FRNKLN FLOATING RATE DLY ACCESS FND	0.00	2.69	0.00	2.69	90.0	2.42
10/18/2016	GREENWELL, MARION	FRNKLN FLOATING RATE DLY ACCESS FND	0.00	2.63	0.00	2.63	90.0	2.37
11/15/2016	GREENWELL, MARION	FRNKLN FLOATING RATE DLY ACCESS FND	0.00	2.75	0.00	2.75	90.0	2.48
12/16/2016	GREENWELL, MARION	FRNKLN FLOATING RATE DLY ACCESS FND	0.00	2.67	0.00	2.67	90.0	2.40
02/16/2016	BOWERS, STEVEN	GOLDMAN SACHS CAPITAL GROWTH FUND C	0.00	18.93	0.00	18.93	90.0	17.04
03/16/2016	BOWERS, STEVEN	GOLDMAN SACHS CAPITAL GROWTH FUND C	0.00	17.05	0.00	17.05	90.0	15.35
04/18/2016	BOWERS, STEVEN	GOLDMAN SACHS CAPITAL GROWTH FUND C	0.00	12.18	0.00	12.18	90.0	10.96
05/12/2016	BOWERS, STEVEN	GOLDMAN SACHS CAPITAL GROWTH FUND C	0.00	12.15	0.00	12.15	90.0	10.94
06/20/2016	BOWERS, STEVEN	GOLDMAN SACHS CAPITAL GROWTH FUND C	0.00	12.41	0.00	12.41	90.0	11.17
07/15/2016	BOWERS, STEVEN	GOLDMAN SACHS CAPITAL GROWTH FUND C	0.00	12.08	0.00	12.08	90.0	10.87
08/17/2016	BOWERS, STEVEN	GOLDMAN SACHS CAPITAL GROWTH FUND C	0.00	12.83	0.00	12.83	90.0	11.55
09/21/2016	BOWERS, STEVEN	GOLDMAN SACHS CAPITAL GROWTH FUND C	0.00	13.08	0.00	13.08	90.0	11.77
10/17/2016	BOWERS, STEVEN	GOLDMAN SACHS CAPITAL GROWTH FUND C	0.00	12.52	0.00	12.52	90.0	11.27
11/21/2016	BOWERS, STEVEN	GOLDMAN SACHS CAPITAL GROWTH FUND C	0.00	12.88	0.00	12.88	90.0	11.59
12/15/2016	BOWERS, STEVEN	GOLDMAN SACHS CAPITAL GROWTH FUND C	0.00	12.33	0.00	12.33	90.0	11.10

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
02/16/2016	CHERRY, ANDREW	GOLDMAN SACHS GROWTH OPPORT FD CLAS	0.00	4.53	0.00	4.53	90.0	4.08
02/16/2016	CHERRY, ANDREW	GOLDMAN SACHS GROWTH OPPORT FD CLAS	0.00	2.32	0.00	2.32	90.0	2.09
03/16/2016	CHERRY, ANDREW	GOLDMAN SACHS GROWTH OPPORT FD CLAS	0.00	4.06	0.00	4.06	90.0	3.65
03/16/2016	CHERRY, ANDREW	GOLDMAN SACHS GROWTH OPPORT FD CLAS	0.00	2.08	0.00	2.08	90.0	1.87
04/18/2016	CHERRY, ANDREW	GOLDMAN SACHS GROWTH OPPORT FD CLAS	0.00	4.70	0.00	4.70	90.0	4.23
04/18/2016	CHERRY, ANDREW	GOLDMAN SACHS GROWTH OPPORT FD CLAS	0.00	2.41	0.00	2.41	90.0	2.17
05/12/2016	CHERRY, ANDREW	GOLDMAN SACHS GROWTH OPPORT FD CLAS	0.00	4.72	0.00	4.72	90.0	4.25
05/12/2016	CHERRY, ANDREW	GOLDMAN SACHS GROWTH OPPORT FD CLAS	0.00	2.42	0.00	2.42	90.0	2.18
06/20/2016	CHERRY, ANDREW	GOLDMAN SACHS GROWTH OPPORT FD CLAS	0.00	4.90	0.00	4.90	90.0	4.41
06/20/2016	CHERRY, ANDREW	GOLDMAN SACHS GROWTH OPPORT FD CLAS	0.00	2.51	0.00	2.51	90.0	2.26
07/15/2016	CHERRY, ANDREW	GOLDMAN SACHS GROWTH OPPORT FD CLAS	0.00	4.79	0.00	4.79	90.0	4.31
07/15/2016	CHERRY, ANDREW	GOLDMAN SACHS GROWTH OPPORT FD CLAS	0.00	2.46	0.00	2.46	90.0	2.21
08/17/2016	CHERRY, ANDREW	GOLDMAN SACHS GROWTH OPPORT FD CLAS	0.00	5.11	0.00	5.11	90.0	4.60
08/17/2016	CHERRY, ANDREW	GOLDMAN SACHS GROWTH OPPORT FD CLAS	0.00	2.62	0.00	2.62	90.0	2.36
09/21/2016	CHERRY, ANDREW	GOLDMAN SACHS GROWTH OPPORT FD CLAS	0.00	5.17	0.00	5.17	90.0	4.65
09/21/2016	CHERRY, ANDREW	GOLDMAN SACHS GROWTH OPPORT FD CLAS	0.00	2.65	0.00	2.65	90.0	2.39
10/17/2016	CHERRY, ANDREW	GOLDMAN SACHS GROWTH OPPORT FD CLAS	0.00	4.92	0.00	4.92	90.0	4.43
10/17/2016	CHERRY, ANDREW	GOLDMAN SACHS GROWTH OPPORT FD CLAS	0.00	2.52	0.00	2.52	90.0	2.27
11/21/2016	CHERRY, ANDREW	GOLDMAN SACHS GROWTH OPPORT FD CLAS	0.00	4.99	0.00	4.99	90.0	4.49
11/21/2016	CHERRY, ANDREW	GOLDMAN SACHS GROWTH OPPORT FD CLAS	0.00	2.56	0.00	2.56	90.0	2.30
12/15/2016	CHERRY, ANDREW	GOLDMAN SACHS GROWTH OPPORT FD CLAS	0.00	4.77	0.00	4.77	90.0	4.29
12/15/2016	CHERRY, ANDREW	GOLDMAN SACHS GROWTH OPPORT FD CLAS	0.00	2.44	0.00	2.44	90.0	2.20
02/16/2016	BOWERS, DORA	GOLDMAN SACHS MID CAP VALUE FD CLAS	0.00	0.20	0.00	0.20	90.0	0.18
03/16/2016	BOWERS, DORA	GOLDMAN SACHS MID CAP VALUE FD CLAS	0.00	0.18	0.00	0.18	90.0	0.16
04/18/2016	BOWERS, DORA	GOLDMAN SACHS MID CAP VALUE FD CLAS	0.00	0.21	0.00	0.21	90.0	0.19
05/12/2016	BOWERS, DORA	GOLDMAN SACHS MID CAP VALUE FD CLAS	0.00	0.21	0.00	0.21	90.0	0.19
06/20/2016	BOWERS, DORA	GOLDMAN SACHS MID CAP VALUE FD CLAS	0.00	0.22	0.00	0.22	90.0	0.20
07/15/2016	BOWERS, DORA	GOLDMAN SACHS MID CAP VALUE FD CLAS	0.00	0.22	0.00	0.22	90.0	0.20
08/17/2016	BOWERS, DORA	GOLDMAN SACHS MID CAP VALUE FD CLAS	0.00	0.23	0.00	0.23	90.0	0.21
09/21/2016	BOWERS, DORA	GOLDMAN SACHS MID CAP VALUE FD CLAS	0.00	0.23	0.00	0.23	90.0	0.21
10/17/2016	BOWERS, DORA	GOLDMAN SACHS MID CAP VALUE FD CLAS	0.00	0.22	0.00	0.22	90.0	0.20
11/21/2016	BOWERS, DORA	GOLDMAN SACHS MID CAP VALUE FD CLAS	0.00	0.23	0.00	0.23	90.0	0.21
12/15/2016	BOWERS, DORA	GOLDMAN SACHS MID CAP VALUE FD CLAS	0.00	0.23	0.00	0.23	90.0	0.21

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
02/16/2016	PARSONS, MICHELLE	GOLDMAN SACHS U.S. EQUITY INSIGHTS	0.00	0.46	0.00	0.46	90.0	0.41
03/16/2016	PARSONS, MICHELLE	GOLDMAN SACHS U.S. EQUITY INSIGHTS	0.00	0.42	0.00	0.42	90.0	0.38
04/18/2016	PARSONS, MICHELLE	GOLDMAN SACHS U.S. EQUITY INSIGHTS	0.00	0.48	0.00	0.48	90.0	0.43
05/12/2016	PARSONS, MICHELLE	GOLDMAN SACHS U.S. EQUITY INSIGHTS	0.00	0.48	0.00	0.48	90.0	0.43
06/20/2016	PARSONS, MICHELLE	GOLDMAN SACHS U.S. EQUITY INSIGHTS	0.00	0.49	0.00	0.49	90.0	0.44
07/15/2016	PARSONS, MICHELLE	GOLDMAN SACHS U.S. EQUITY INSIGHTS	0.00	0.48	0.00	0.48	90.0	0.43
08/17/2016	PARSONS, MICHELLE	GOLDMAN SACHS U.S. EQUITY INSIGHTS	0.00	0.51	0.00	0.51	90.0	0.46
09/21/2016	PARSONS, MICHELLE	GOLDMAN SACHS U.S. EQUITY INSIGHTS	0.00	0.52	0.00	0.52	90.0	0.47
10/17/2016	PARSONS, MICHELLE	GOLDMAN SACHS U.S. EQUITY INSIGHTS	0.00	0.50	0.00	0.50	90.0	0.45
11/21/2016	PARSONS, MICHELLE	GOLDMAN SACHS U.S. EQUITY INSIGHTS	0.00	0.52	0.00	0.52	90.0	0.47
12/15/2016	PARSONS, MICHELLE	GOLDMAN SACHS U.S. EQUITY INSIGHTS	0.00	0.51	0.00	0.51	90.0	0.46
02/11/2016	SPECTER TRUST, STEPHANIE	GUGGENHEIM INVERSE GOVT LONG BOND C	0.00	13.62	0.00	13.62	90.0	12.26
02/11/2016	HALL, GLORIA	GUGGENHEIM INVERSE GOVT LONG BOND C	0.00	6.92	0.00	6.92	90.0	6.23
02/11/2016	LINSKY, MARC	GUGGENHEIM INVERSE GOVT LONG BOND C	0.00	4.63	0.00	4.63	90.0	4.17
03/11/2016	SPECTER TRUST, STEPHANIE	GUGGENHEIM INVERSE GOVT LONG BOND C	0.00	12.04	0.00	12.04	90.0	10.84
03/11/2016	HALL, GLORIA	GUGGENHEIM INVERSE GOVT LONG BOND C	0.00	6.12	0.00	6.12	90.0	5.51
03/11/2016	LINSKY, MARC	GUGGENHEIM INVERSE GOVT LONG BOND C	0.00	4.09	0.00	4.09	90.0	3.68
04/29/2016	SPECTER TRUST, STEPHANIE	GUGGENHEIM INVERSE GOVT LONG BOND C	0.00	12.99	0.00	12.99	90.0	11.69
04/29/2016	HALL, GLORIA	GUGGENHEIM INVERSE GOVT LONG BOND C	0.00	6.60	0.00	6.60	90.0	5.94
04/29/2016	LINSKY, MARC	GUGGENHEIM INVERSE GOVT LONG BOND C	0.00	4.41	0.00	4.41	90.0	3.97
05/10/2016	SPECTER TRUST, STEPHANIE	GUGGENHEIM INVERSE GOVT LONG BOND C	0.00	12.35	0.00	12.35	90.0	11.12
05/10/2016	HALL, GLORIA	GUGGENHEIM INVERSE GOVT LONG BOND C	0.00	6.28	0.00	6.28	90.0	5.65
05/10/2016	LINSKY, MARC	GUGGENHEIM INVERSE GOVT LONG BOND C	0.00	4.20	0.00	4.20	90.0	3.78
06/15/2016	SPECTER TRUST, STEPHANIE	GUGGENHEIM INVERSE GOVT LONG BOND C	0.00	12.73	0.00	12.73	90.0	11.46
06/15/2016	HALL, GLORIA	GUGGENHEIM INVERSE GOVT LONG BOND C	0.00	6.47	0.00	6.47	90.0	5.82
06/15/2016	LINSKY, MARC	GUGGENHEIM INVERSE GOVT LONG BOND C	0.00	4.32	0.00	4.32	90.0	3.89
07/15/2016	SPECTER TRUST, STEPHANIE	GUGGENHEIM INVERSE GOVT LONG BOND C	0.00	11.83	0.00	11.83	90.0	10.65
07/15/2016	HALL, GLORIA	GUGGENHEIM INVERSE GOVT LONG BOND C	0.00	6.01	0.00	6.01	90.0	5.41
07/15/2016	LINSKY, MARC	GUGGENHEIM INVERSE GOVT LONG BOND C	0.00	4.02	0.00	4.02	90.0	3.62
08/10/2016	SPECTER TRUST, STEPHANIE	GUGGENHEIM INVERSE GOVT LONG BOND C	0.00	11.59	0.00	11.59	90.0	10.43
08/10/2016	HALL, GLORIA	GUGGENHEIM INVERSE GOVT LONG BOND C	0.00	5.89	0.00	5.89	90.0	5.30
08/10/2016	LINSKY, MARC	GUGGENHEIM INVERSE GOVT LONG BOND C	0.00	3.94	0.00	3.94	90.0	3.55
09/19/2016	SPECTER TRUST, STEPHANIE	GUGGENHEIM INVERSE GOVT LONG BOND C	0.00	11.65	0.00	11.65	90.0	10.49

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
09/19/2016	HALL, GLORIA	GUGGENHEIM INVERSE GOVT LONG BOND C	0.00	5.92	0.00	5.92	90.0	5.33
09/19/2016	LINSKY, MARC	GUGGENHEIM INVERSE GOVT LONG BOND C	0.00	3.96	0.00	3.96	90.0	3.56
10/18/2016	SPECTER TRUST, STEPHANIE	GUGGENHEIM INVERSE GOVT LONG BOND C	0.00	11.45	0.00	11.45	90.0	10.31
10/18/2016	HALL, GLORIA	GUGGENHEIM INVERSE GOVT LONG BOND C	0.00	5.82	0.00	5.82	90.0	5.24
10/18/2016	LINSKY, MARC	GUGGENHEIM INVERSE GOVT LONG BOND C	0.00	3.89	0.00	3.89	90.0	3.50
11/15/2016	SPECTER TRUST, STEPHANIE	GUGGENHEIM INVERSE GOVT LONG BOND C	0.00	12.17	0.00	12.17	90.0	10.95
11/15/2016	HALL, GLORIA	GUGGENHEIM INVERSE GOVT LONG BOND C	0.00	6.18	0.00	6.18	90.0	5.56
11/15/2016	LINSKY, MARC	GUGGENHEIM INVERSE GOVT LONG BOND C	0.00	4.14	0.00	4.14	90.0	3.73
12/14/2016	SPECTER TRUST, STEPHANIE	GUGGENHEIM INVERSE GOVT LONG BOND C	0.00	12.72	0.00	12.72	90.0	11.45
12/14/2016	HALL, GLORIA	GUGGENHEIM INVERSE GOVT LONG BOND C	0.00	6.47	0.00	6.47	90.0	5.82
12/14/2016	LINSKY, MARC	GUGGENHEIM INVERSE GOVT LONG BOND C	0.00	4.32	0.00	4.32	90.0	3.89
02/19/2016	HASTINGS TURST, OSCAR	HARTFORD BALANCED INCOME A	0.00	1.96	0.00	1.96	90.0	1.76
02/19/2016	FLEISCHMAN, RITA	HARTFORD BALANCED INCOME A	0.00	2.94	0.00	2.94	90.0	2.65
03/22/2016	HASTINGS TURST, OSCAR	HARTFORD BALANCED INCOME A	0.00	1.84	0.00	1.84	90.0	1.66
03/22/2016	FLEISCHMAN, RITA	HARTFORD BALANCED INCOME A	0.00	2.75	0.00	2.75	90.0	2.48
04/18/2016	HASTINGS TURST, OSCAR	HARTFORD BALANCED INCOME A	0.00	2.04	0.00	2.04	90.0	1.84
04/18/2016	FLEISCHMAN, RITA	HARTFORD BALANCED INCOME A	0.00	3.06	0.00	3.06	90.0	2.75
05/24/2016	HASTINGS TURST, OSCAR	HARTFORD BALANCED INCOME A	0.00	2.01	0.00	2.01	90.0	1.81
05/24/2016	FLEISCHMAN, RITA	HARTFORD BALANCED INCOME A	0.00	3.02	0.00	3.02	90.0	2.72
06/21/2016	HASTINGS TURST, OSCAR	HARTFORD BALANCED INCOME A	0.00	2.09	0.00	2.09	90.0	1.88
06/21/2016	FLEISCHMAN, RITA	HARTFORD BALANCED INCOME A	0.00	3.13	0.00	3.13	90.0	2.82
07/18/2016	HASTINGS TURST, OSCAR	HARTFORD BALANCED INCOME A	0.00	2.05	0.00	2.05	90.0	1.85
07/18/2016	FLEISCHMAN, RITA	HARTFORD BALANCED INCOME A	0.00	3.07	0.00	3.07	90.0	2.76
08/16/2016	HASTINGS TURST, OSCAR	HARTFORD BALANCED INCOME A	0.00	2.16	0.00	2.16	90.0	1.94
08/16/2016	FLEISCHMAN, RITA	HARTFORD BALANCED INCOME A	0.00	3.24	0.00	3.24	90.0	2.92
09/19/2016	HASTINGS TURST, OSCAR	HARTFORD BALANCED INCOME A	0.00	2.18	0.00	2.18	90.0	1.96
09/19/2016	FLEISCHMAN, RITA	HARTFORD BALANCED INCOME A	0.00	3.27	0.00	3.27	90.0	2.94
10/17/2016	HASTINGS TURST, OSCAR	HARTFORD BALANCED INCOME A	0.00	2.10	0.00	2.10	90.0	1.89
10/17/2016	FLEISCHMAN, RITA	HARTFORD BALANCED INCOME A	0.00	3.15	0.00	3.15	90.0	2.84
11/16/2016	HASTINGS TURST, OSCAR	HARTFORD BALANCED INCOME A	0.00	2.15	0.00	2.15	90.0	1.94
11/16/2016	FLEISCHMAN, RITA	HARTFORD BALANCED INCOME A	0.00	3.23	0.00	3.23	90.0	2.91
12/19/2016	HASTINGS TURST, OSCAR	HARTFORD BALANCED INCOME A	0.00	2.07	0.00	2.07	90.0	1.86
12/19/2016	FLEISCHMAN, RITA	HARTFORD BALANCED INCOME A	0.00	3.11	0.00	3.11	90.0	2.80

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
02/19/2016	LINSKY, LISA	HARTFORD CAPITAL APPRECIATION A	0.00	2.88	0.00	2.88	90.0	2.59
02/19/2016	NIEMINEN, EUGENE	HARTFORD CAPITAL APPRECIATION A	0.00	0.94	0.00	0.94	90.0	0.85
03/22/2016	LINSKY, LISA	HARTFORD CAPITAL APPRECIATION A	0.00	2.60	0.00	2.60	90.0	2.34
03/22/2016	NIEMINEN, EUGENE	HARTFORD CAPITAL APPRECIATION A	0.00	0.56	0.00	0.56	90.0	0.50
04/18/2016	LINSKY, LISA	HARTFORD CAPITAL APPRECIATION A	0.00	2.98	0.00	2.98	90.0	2.68
04/18/2016	NIEMINEN, EUGENE	HARTFORD CAPITAL APPRECIATION A	0.00	0.19	0.00	0.19	90.0	0.17
05/24/2016	LINSKY, LISA	HARTFORD CAPITAL APPRECIATION A	0.00	2.97	0.00	2.97	90.0	2.67
05/24/2016	NIEMINEN, EUGENE	HARTFORD CAPITAL APPRECIATION A	0.00	0.19	0.00	0.19	90.0	0.17
06/21/2016	LINSKY, LISA	HARTFORD CAPITAL APPRECIATION A	0.00	3.05	0.00	3.05	90.0	2.75
06/21/2016	NIEMINEN, EUGENE	HARTFORD CAPITAL APPRECIATION A	0.00	0.19	0.00	0.19	90.0	0.17
07/18/2016	LINSKY, LISA	HARTFORD CAPITAL APPRECIATION A	0.00	2.96	0.00	2.96	90.0	2.66
07/18/2016	NIEMINEN, EUGENE	HARTFORD CAPITAL APPRECIATION A	0.00	0.18	0.00	0.18	90.0	0.16
08/16/2016	LINSKY, LISA	HARTFORD CAPITAL APPRECIATION A	0.00	3.14	0.00	3.14	90.0	2.83
08/16/2016	NIEMINEN, EUGENE	HARTFORD CAPITAL APPRECIATION A	0.00	0.20	0.00	0.20	90.0	0.18
09/19/2016	LINSKY, LISA	HARTFORD CAPITAL APPRECIATION A	0.00	3.19	0.00	3.19	90.0	2.87
09/19/2016	NIEMINEN, EUGENE	HARTFORD CAPITAL APPRECIATION A	0.00	0.18	0.00	0.18	90.0	0.16
10/17/2016	LINSKY, LISA	HARTFORD CAPITAL APPRECIATION A	0.00	3.07	0.00	3.07	90.0	2.76
11/16/2016	LINSKY, LISA	HARTFORD CAPITAL APPRECIATION A	0.00	3.18	0.00	3.18	90.0	2.86
12/19/2016	LINSKY, LISA	HARTFORD CAPITAL APPRECIATION A	0.00	3.08	0.00	3.08	90.0	2.77
02/19/2016	SPECTER TRUST, STEPHANIE	HARTFORD CAPITAL APPRECIATION C	0.00	66.62	0.00	66.62	90.0	59.96
02/19/2016	MEDIA ENTERPRISES	HARTFORD CAPITAL APPRECIATION C	0.00	32.05	0.00	32.05	90.0	28.85
02/19/2016	PERETTI JR, ANTHONY	HARTFORD CAPITAL APPRECIATION C	0.00	24.76	0.00	24.76	90.0	22.28
02/19/2016	KLEIN, HOWARD	HARTFORD CAPITAL APPRECIATION C	0.00	350.16	0.00	350.16	90.0	315.14
02/19/2016	CAMARDO, DONNA	HARTFORD CAPITAL APPRECIATION C	0.00	8.81	0.00	8.81	90.0	7.93
02/19/2016	GODLBERG, SHARON	HARTFORD CAPITAL APPRECIATION C	0.00	5.74	0.00	5.74	90.0	5.17
02/19/2016	BALZANO, AUGUSTUS	HARTFORD CAPITAL APPRECIATION C	0.00	6.12	0.00	6.12	90.0	5.51
02/19/2016	HARRIS, MORGAN	HARTFORD CAPITAL APPRECIATION C	0.00	8.81	0.00	8.81	90.0	7.93
02/19/2016	SPECTER, LINDSAY	HARTFORD CAPITAL APPRECIATION C	0.00	25.91	0.00	25.91	90.0	23.32
02/19/2016	SPECTER, SHELBY	HARTFORD CAPITAL APPRECIATION C	0.00	24.18	0.00	24.18	90.0	21.76
03/22/2016	SPECTER TRUST, STEPHANIE	HARTFORD CAPITAL APPRECIATION C	0.00	60.04	0.00	60.04	90.0	54.04
03/22/2016	MEDIA ENTERPRISES	HARTFORD CAPITAL APPRECIATION C	0.00	28.88	0.00	28.88	90.0	25.99
03/22/2016	PERETTI JR, ANTHONY	HARTFORD CAPITAL APPRECIATION C	0.00	22.39	0.00	22.39	90.0	20.15
03/22/2016	KLEIN, HOWARD	HARTFORD CAPITAL APPRECIATION C	0.00	315.57	0.00	315.57	90.0	284.01

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
03/22/2016	CAMARDO, DONNA	HARTFORD CAPITAL APPRECIATION C	0.00	7.94	0.00	7.94	90.0	7.15
03/22/2016	GODLBERG, SHARON	HARTFORD CAPITAL APPRECIATION C	0.00	5.17	0.00	5.17	90.0	4.65
03/22/2016	BALZANO, AUGUSTUS	HARTFORD CAPITAL APPRECIATION C	0.00	5.52	0.00	5.52	90.0	4.97
03/22/2016	HARRIS, MORGAN	HARTFORD CAPITAL APPRECIATION C	0.00	7.94	0.00	7.94	90.0	7.15
03/22/2016	SPECTER, LINDSAY	HARTFORD CAPITAL APPRECIATION C	0.00	23.35	0.00	23.35	90.0	21.02
03/22/2016	SPECTER, SHELBY	HARTFORD CAPITAL APPRECIATION C	0.00	21.80	0.00	21.80	90.0	19.62
04/18/2016	SPECTER TRUST, STEPHANIE	HARTFORD CAPITAL APPRECIATION C	0.00	68.77	0.00	68.77	90.0	61.89
04/18/2016	MEDIA ENTERPRISES	HARTFORD CAPITAL APPRECIATION C	0.00	33.08	0.00	33.08	90.0	29.77
04/18/2016	PERETTI JR, ANTHONY	HARTFORD CAPITAL APPRECIATION C	0.00	25.80	0.00	25.80	90.0	23.22
04/18/2016	KLEIN, HOWARD	HARTFORD CAPITAL APPRECIATION C	0.00	361.43	0.00	361.43	90.0	325.29
04/18/2016	CAMARDO, DONNA	HARTFORD CAPITAL APPRECIATION C	0.00	9.09	0.00	9.09	90.0	8.18
04/18/2016	GODLBERG, SHARON	HARTFORD CAPITAL APPRECIATION C	0.00	5.92	0.00	5.92	90.0	5.33
04/18/2016	BALZANO, AUGUSTUS	HARTFORD CAPITAL APPRECIATION C	0.00	6.32	0.00	6.32	90.0	5.69
04/18/2016	HARRIS, MORGAN	HARTFORD CAPITAL APPRECIATION C	0.00	9.10	0.00	9.10	90.0	8.19
04/18/2016	SPECTER, LINDSAY	HARTFORD CAPITAL APPRECIATION C	0.00	26.75	0.00	26.75	90.0	24.08
04/18/2016	SPECTER, SHELBY	HARTFORD CAPITAL APPRECIATION C	0.00	24.96	0.00	24.96	90.0	22.46
05/24/2016	SPECTER TRUST, STEPHANIE	HARTFORD CAPITAL APPRECIATION C	0.00	68.53	0.00	68.53	90.0	61.68
05/24/2016	MEDIA ENTERPRISES	HARTFORD CAPITAL APPRECIATION C	0.00	32.96	0.00	32.96	90.0	29.66
05/24/2016	PERETTI JR, ANTHONY	HARTFORD CAPITAL APPRECIATION C	0.00	25.84	0.00	25.84	90.0	23.26
05/24/2016	KLEIN, HOWARD	HARTFORD CAPITAL APPRECIATION C	0.00	360.20	0.00	360.20	90.0	324.18
05/24/2016	CAMARDO, DONNA	HARTFORD CAPITAL APPRECIATION C	0.00	9.06	0.00	9.06	90.0	8.15
05/24/2016	GODLBERG, SHARON	HARTFORD CAPITAL APPRECIATION C	0.00	5.90	0.00	5.90	90.0	5.31
05/24/2016	BALZANO, AUGUSTUS	HARTFORD CAPITAL APPRECIATION C	0.00	6.30	0.00	6.30	90.0	5.67
05/24/2016	HARRIS, MORGAN	HARTFORD CAPITAL APPRECIATION C	0.00	9.06	0.00	9.06	90.0	8.15
05/24/2016	SPECTER, LINDSAY	HARTFORD CAPITAL APPRECIATION C	0.00	26.65	0.00	26.65	90.0	23.99
05/24/2016	SPECTER, SHELBY	HARTFORD CAPITAL APPRECIATION C	0.00	24.88	0.00	24.88	90.0	22.39
06/21/2016	SPECTER TRUST, STEPHANIE	HARTFORD CAPITAL APPRECIATION C	0.00	70.25	0.00	70.25	90.0	63.23
06/21/2016	MEDIA ENTERPRISES	HARTFORD CAPITAL APPRECIATION C	0.00	33.79	0.00	33.79	90.0	30.41
06/21/2016	PERETTI JR, ANTHONY	HARTFORD CAPITAL APPRECIATION C	0.00	26.63	0.00	26.63	90.0	23.97
06/21/2016	KLEIN, HOWARD	HARTFORD CAPITAL APPRECIATION C	0.00	369.24	0.00	369.24	90.0	332.32
06/21/2016	CAMARDO, DONNA	HARTFORD CAPITAL APPRECIATION C	0.00	9.29	0.00	9.29	90.0	8.36
06/21/2016	GODLBERG, SHARON	HARTFORD CAPITAL APPRECIATION C	0.00	6.05	0.00	6.05	90.0	5.45
06/21/2016	BALZANO, AUGUSTUS	HARTFORD CAPITAL APPRECIATION C	0.00	6.45	0.00	6.45	90.0	5.81

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
06/21/2016	HARRIS, MORGAN	HARTFORD CAPITAL APPRECIATION C	0.00	9.29	0.00	9.29	90.0	8.36
06/21/2016	SPECTER, LINDSAY	HARTFORD CAPITAL APPRECIATION C	0.00	27.32	0.00	27.32	90.0	24.59
06/21/2016	SPECTER, SHELBY	HARTFORD CAPITAL APPRECIATION C	0.00	25.50	0.00	25.50	90.0	22.95
07/18/2016	SPECTER TRUST, STEPHANIE	HARTFORD CAPITAL APPRECIATION C	0.00	68.27	0.00	68.27	90.0	61.44
07/18/2016	MEDIA ENTERPRISES	HARTFORD CAPITAL APPRECIATION C	0.00	32.84	0.00	32.84	90.0	29.56
07/18/2016	PERETTI JR, ANTHONY	HARTFORD CAPITAL APPRECIATION C	0.00	26.00	0.00	26.00	90.0	23.40
07/18/2016	KLEIN, HOWARD	HARTFORD CAPITAL APPRECIATION C	0.00	358.82	0.00	358.82	90.0	322.94
07/18/2016	CAMARDO, DONNA	HARTFORD CAPITAL APPRECIATION C	0.00	9.03	0.00	9.03	90.0	8.13
07/18/2016	GODLBERG, SHARON	HARTFORD CAPITAL APPRECIATION C	0.00	5.88	0.00	5.88	90.0	5.29
07/18/2016	BALZANO, AUGUSTUS	HARTFORD CAPITAL APPRECIATION C	0.00	6.27	0.00	6.27	90.0	5.64
07/18/2016	HARRIS, MORGAN	HARTFORD CAPITAL APPRECIATION C	0.00	9.03	0.00	9.03	90.0	8.13
07/18/2016	SPECTER, LINDSAY	HARTFORD CAPITAL APPRECIATION C	0.00	26.55	0.00	26.55	90.0	23.90
07/18/2016	SPECTER, SHELBY	HARTFORD CAPITAL APPRECIATION C	0.00	24.78	0.00	24.78	90.0	22.30
08/16/2016	SPECTER TRUST, STEPHANIE	HARTFORD CAPITAL APPRECIATION C	0.00	72.37	0.00	72.37	90.0	65.13
08/16/2016	MEDIA ENTERPRISES	HARTFORD CAPITAL APPRECIATION C	0.00	34.81	0.00	34.81	90.0	31.33
08/16/2016	PERETTI JR, ANTHONY	HARTFORD CAPITAL APPRECIATION C	0.00	27.72	0.00	27.72	90.0	24.95
08/16/2016	KLEIN, HOWARD	HARTFORD CAPITAL APPRECIATION C	0.00	380.33	0.00	380.33	90.0	342.30
08/16/2016	CAMARDO, DONNA	HARTFORD CAPITAL APPRECIATION C	0.00	9.57	0.00	9.57	90.0	8.61
08/16/2016	GODLBERG, SHARON	HARTFORD CAPITAL APPRECIATION C	0.00	6.23	0.00	6.23	90.0	5.61
08/16/2016	BALZANO, AUGUSTUS	HARTFORD CAPITAL APPRECIATION C	0.00	6.65	0.00	6.65	90.0	5.99
08/16/2016	HARRIS, MORGAN	HARTFORD CAPITAL APPRECIATION C	0.00	9.57	0.00	9.57	90.0	8.61
08/16/2016	SPECTER, LINDSAY	HARTFORD CAPITAL APPRECIATION C	0.00	28.14	0.00	28.14	90.0	25.33
08/16/2016	SPECTER, SHELBY	HARTFORD CAPITAL APPRECIATION C	0.00	26.27	0.00	26.27	90.0	23.64
09/19/2016	SPECTER TRUST, STEPHANIE	HARTFORD CAPITAL APPRECIATION C	0.00	73.34	0.00	73.34	90.0	66.01
09/19/2016	MEDIA ENTERPRISES	HARTFORD CAPITAL APPRECIATION C	0.00	35.28	0.00	35.28	90.0	31.75
09/19/2016	PERETTI JR, ANTHONY	HARTFORD CAPITAL APPRECIATION C	0.00	28.25	0.00	28.25	90.0	25.43
09/19/2016	KLEIN, HOWARD	HARTFORD CAPITAL APPRECIATION C	0.00	385.47	0.00	385.47	90.0	346.92
09/19/2016	CAMARDO, DONNA	HARTFORD CAPITAL APPRECIATION C	0.00	9.70	0.00	9.70	90.0	8.73
09/19/2016	GODLBERG, SHARON	HARTFORD CAPITAL APPRECIATION C	0.00	6.32	0.00	6.32	90.0	5.69
09/19/2016	BALZANO, AUGUSTUS	HARTFORD CAPITAL APPRECIATION C	0.00	6.74	0.00	6.74	90.0	6.07
09/19/2016	HARRIS, MORGAN	HARTFORD CAPITAL APPRECIATION C	0.00	0.93	0.00	0.93	90.0	0.84
09/19/2016	SPECTER, LINDSAY	HARTFORD CAPITAL APPRECIATION C	0.00	28.52	0.00	28.52	90.0	25.67
09/19/2016	SPECTER, SHELBY	HARTFORD CAPITAL APPRECIATION C	0.00	26.62	0.00	26.62	90.0	23.96

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
09/19/2016	HARRIS, MORGAN	HARTFORD CAPITAL APPRECIATION C	0.00	8.77	0.00	8.77	90.0	7.89
10/17/2016	SPECTER TRUST, STEPHANIE	HARTFORD CAPITAL APPRECIATION C	0.00	70.70	0.00	70.70	90.0	63.63
10/17/2016	MEDIA ENTERPRISES	HARTFORD CAPITAL APPRECIATION C	0.00	34.01	0.00	34.01	90.0	30.61
10/17/2016	PERETTI JR, ANTHONY	HARTFORD CAPITAL APPRECIATION C	0.00	27.28	0.00	27.28	90.0	24.55
10/17/2016	KLEIN, HOWARD	HARTFORD CAPITAL APPRECIATION C	0.00	371.59	0.00	371.59	90.0	334.43
10/17/2016	CAMARDO, DONNA	HARTFORD CAPITAL APPRECIATION C	0.00	9.35	0.00	9.35	90.0	8.42
10/17/2016	GODLBERG, SHARON	HARTFORD CAPITAL APPRECIATION C	0.00	6.09	0.00	6.09	90.0	5.48
10/17/2016	BALZANO, AUGUSTUS	HARTFORD CAPITAL APPRECIATION C	0.00	6.49	0.00	6.49	90.0	5.84
10/17/2016	SPECTER, LINDSAY	HARTFORD CAPITAL APPRECIATION C	0.00	27.50	0.00	27.50	90.0	24.75
10/17/2016	SPECTER, SHELBY	HARTFORD CAPITAL APPRECIATION C	0.00	25.66	0.00	25.66	90.0	23.09
10/17/2016	HARRIS, MORGAN	HARTFORD CAPITAL APPRECIATION C	0.00	9.35	0.00	9.35	90.0	8.42
11/16/2016	SPECTER TRUST, STEPHANIE	HARTFORD CAPITAL APPRECIATION C	0.00	73.00	0.00	73.00	90.0	65.70
11/16/2016	MEDIA ENTERPRISES	HARTFORD CAPITAL APPRECIATION C	0.00	35.11	0.00	35.11	90.0	31.60
11/16/2016	PERETTI JR, ANTHONY	HARTFORD CAPITAL APPRECIATION C	0.00	28.17	0.00	28.17	90.0	25.35
11/16/2016	KLEIN, HOWARD	HARTFORD CAPITAL APPRECIATION C	0.00	383.69	0.00	383.69	90.0	345.32
11/16/2016	CAMARDO, DONNA	HARTFORD CAPITAL APPRECIATION C	0.00	9.65	0.00	9.65	90.0	8.69
11/16/2016	GODLBERG, SHARON	HARTFORD CAPITAL APPRECIATION C	0.00	6.29	0.00	6.29	90.0	5.66
11/16/2016	BALZANO, AUGUSTUS	HARTFORD CAPITAL APPRECIATION C	0.00	6.71	0.00	6.71	90.0	6.04
11/16/2016	SPECTER, LINDSAY	HARTFORD CAPITAL APPRECIATION C	0.00	28.39	0.00	28.39	90.0	25.55
11/16/2016	SPECTER, SHELBY	HARTFORD CAPITAL APPRECIATION C	0.00	26.50	0.00	26.50	90.0	23.85
11/16/2016	HARRIS, MORGAN	HARTFORD CAPITAL APPRECIATION C	0.00	9.66	0.00	9.66	90.0	8.69
12/19/2016	SPECTER TRUST, STEPHANIE	HARTFORD CAPITAL APPRECIATION C	0.00	70.71	0.00	70.71	90.0	63.64
12/19/2016	MEDIA ENTERPRISES	HARTFORD CAPITAL APPRECIATION C	0.00	34.01	0.00	34.01	90.0	30.61
12/19/2016	PERETTI JR, ANTHONY	HARTFORD CAPITAL APPRECIATION C	0.00	27.52	0.00	27.52	90.0	24.77
12/19/2016	KLEIN, HOWARD	HARTFORD CAPITAL APPRECIATION C	0.00	371.62	0.00	371.62	90.0	334.46
12/19/2016	CAMARDO, DONNA	HARTFORD CAPITAL APPRECIATION C	0.00	9.35	0.00	9.35	90.0	8.42
12/19/2016	GODLBERG, SHARON	HARTFORD CAPITAL APPRECIATION C	0.00	6.09	0.00	6.09	90.0	5.48
12/19/2016	BALZANO, AUGUSTUS	HARTFORD CAPITAL APPRECIATION C	0.00	6.49	0.00	6.49	90.0	5.84
12/19/2016	SPECTER, LINDSAY	HARTFORD CAPITAL APPRECIATION C	0.00	27.50	0.00	27.50	90.0	24.75
12/19/2016	SPECTER, SHELBY	HARTFORD CAPITAL APPRECIATION C	0.00	25.67	0.00	25.67	90.0	23.10
12/19/2016	HARRIS, MORGAN	HARTFORD CAPITAL APPRECIATION C	0.00	9.35	0.00	9.35	90.0	8.42
02/19/2016	OLIVETI, ANTHONY	HARTFORD CHECKS AND BALANCES FUND A	0.00	2.25	0.00	2.25	90.0	2.03
02/19/2016	OLIVETI, NICOLE	HARTFORD CHECKS AND BALANCES FUND A	0.00	2.25	0.00	2.25	90.0	2.03

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
02/19/2016	PISANI, NICHOLAS	HARTFORD CHECKS AND BALANCES FUND A	0.00	3.39	0.00	3.39	90.0	3.05
03/22/2016	OLIVETI, ANTHONY	HARTFORD CHECKS AND BALANCES FUND A	0.00	2.08	0.00	2.08	90.0	1.87
03/22/2016	OLIVETI, NICOLE	HARTFORD CHECKS AND BALANCES FUND A	0.00	2.08	0.00	2.08	90.0	1.87
03/22/2016	PISANI, NICHOLAS	HARTFORD CHECKS AND BALANCES FUND A	0.00	3.12	0.00	3.12	90.0	2.81
04/18/2016	OLIVETI, ANTHONY	HARTFORD CHECKS AND BALANCES FUND A	0.00	2.33	0.00	2.33	90.0	2.10
04/18/2016	OLIVETI, NICOLE	HARTFORD CHECKS AND BALANCES FUND A	0.00	2.33	0.00	2.33	90.0	2.10
04/18/2016	PISANI, NICHOLAS	HARTFORD CHECKS AND BALANCES FUND A	0.00	3.50	0.00	3.50	90.0	3.15
05/24/2016	OLIVETI, ANTHONY	HARTFORD CHECKS AND BALANCES FUND A	0.00	2.31	0.00	2.31	90.0	2.08
05/24/2016	OLIVETI, NICOLE	HARTFORD CHECKS AND BALANCES FUND A	0.00	2.31	0.00	2.31	90.0	2.08
05/24/2016	PISANI, NICHOLAS	HARTFORD CHECKS AND BALANCES FUND A	0.00	3.47	0.00	3.47	90.0	3.12
06/21/2016	OLIVETI, ANTHONY	HARTFORD CHECKS AND BALANCES FUND A	0.00	2.38	0.00	2.38	90.0	2.14
06/21/2016	OLIVETI, NICOLE	HARTFORD CHECKS AND BALANCES FUND A	0.00	2.38	0.00	2.38	90.0	2.14
06/21/2016	PISANI, NICHOLAS	HARTFORD CHECKS AND BALANCES FUND A	0.00	3.58	0.00	3.58	90.0	3.22
07/18/2016	OLIVETI, ANTHONY	HARTFORD CHECKS AND BALANCES FUND A	0.00	2.32	0.00	2.32	90.0	2.09
07/18/2016	OLIVETI, NICOLE	HARTFORD CHECKS AND BALANCES FUND A	0.00	2.32	0.00	2.32	90.0	2.09
07/18/2016	PISANI, NICHOLAS	HARTFORD CHECKS AND BALANCES FUND A	0.00	3.49	0.00	3.49	90.0	3.14
08/16/2016	OLIVETI, ANTHONY	HARTFORD CHECKS AND BALANCES FUND A	0.00	2.45	0.00	2.45	90.0	2.21
08/16/2016	OLIVETI, NICOLE	HARTFORD CHECKS AND BALANCES FUND A	0.00	2.45	0.00	2.45	90.0	2.21
08/16/2016	PISANI, NICHOLAS	HARTFORD CHECKS AND BALANCES FUND A	0.00	3.68	0.00	3.68	90.0	3.31
09/19/2016	OLIVETI, ANTHONY	HARTFORD CHECKS AND BALANCES FUND A	0.00	2.48	0.00	2.48	90.0	2.23
09/19/2016	OLIVETI, NICOLE	HARTFORD CHECKS AND BALANCES FUND A	0.00	2.48	0.00	2.48	90.0	2.23
09/19/2016	PISANI, NICHOLAS	HARTFORD CHECKS AND BALANCES FUND A	0.00	3.72	0.00	3.72	90.0	3.35
10/17/2016	OLIVETI, ANTHONY	HARTFORD CHECKS AND BALANCES FUND A	0.00	2.39	0.00	2.39	90.0	2.15
10/17/2016	OLIVETI, NICOLE	HARTFORD CHECKS AND BALANCES FUND A	0.00	2.39	0.00	2.39	90.0	2.15
10/17/2016	PISANI, NICHOLAS	HARTFORD CHECKS AND BALANCES FUND A	0.00	3.59	0.00	3.59	90.0	3.23
11/16/2016	OLIVETI, ANTHONY	HARTFORD CHECKS AND BALANCES FUND A	0.00	2.47	0.00	2.47	90.0	2.22
11/16/2016	OLIVETI, NICOLE	HARTFORD CHECKS AND BALANCES FUND A	0.00	2.47	0.00	2.47	90.0	2.22
11/16/2016	PISANI, NICHOLAS	HARTFORD CHECKS AND BALANCES FUND A	0.00	3.71	0.00	3.71	90.0	3.34
12/19/2016	OLIVETI, ANTHONY	HARTFORD CHECKS AND BALANCES FUND A	0.00	2.40	0.00	2.40	90.0	2.16
12/19/2016	OLIVETI, NICOLE	HARTFORD CHECKS AND BALANCES FUND A	0.00	2.40	0.00	2.40	90.0	2.16
12/19/2016	PISANI, NICHOLAS	HARTFORD CHECKS AND BALANCES FUND A	0.00	3.60	0.00	3.60	90.0	3.24
02/19/2016	SPECTER TRUST, STEPHANIE	HARTFORD DIVIDEND & GROWTH C	0.00	56.15	0.00	56.15	90.0	50.54
02/19/2016	MEDIA ENTERPRISES	HARTFORD DIVIDEND & GROWTH C	0.00	35.02	0.00	35.02	90.0	31.52

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
02/19/2016	CAMARDO, DONNA	HARTFORD DIVIDEND & GROWTH C	0.00	16.11	0.00	16.11	90.0	14.50
02/19/2016	BALZANO, AUGUSTUS	HARTFORD DIVIDEND & GROWTH C	0.00	11.07	0.00	11.07	90.0	9.96
02/19/2016	HARRIS, MORGAN	HARTFORD DIVIDEND & GROWTH C	0.00	16.12	0.00	16.12	90.0	14.51
03/22/2016	SPECTER TRUST, STEPHANIE	HARTFORD DIVIDEND & GROWTH C	0.00	52.20	0.00	52.20	90.0	46.98
03/22/2016	MEDIA ENTERPRISES	HARTFORD DIVIDEND & GROWTH C	0.00	32.56	0.00	32.56	90.0	29.30
03/22/2016	CAMARDO, DONNA	HARTFORD DIVIDEND & GROWTH C	0.00	14.98	0.00	14.98	90.0	13.48
03/22/2016	BALZANO, AUGUSTUS	HARTFORD DIVIDEND & GROWTH C	0.00	10.29	0.00	10.29	90.0	9.26
03/22/2016	HARRIS, MORGAN	HARTFORD DIVIDEND & GROWTH C	0.00	14.98	0.00	14.98	90.0	13.48
04/18/2016	SPECTER TRUST, STEPHANIE	HARTFORD DIVIDEND & GROWTH C	0.00	59.29	0.00	59.29	90.0	53.36
04/18/2016	MEDIA ENTERPRISES	HARTFORD DIVIDEND & GROWTH C	0.00	36.98	0.00	36.98	90.0	33.28
04/18/2016	CAMARDO, DONNA	HARTFORD DIVIDEND & GROWTH C	0.00	17.01	0.00	17.01	90.0	15.31
04/18/2016	BALZANO, AUGUSTUS	HARTFORD DIVIDEND & GROWTH C	0.00	11.69	0.00	11.69	90.0	10.52
04/18/2016	HARRIS, MORGAN	HARTFORD DIVIDEND & GROWTH C	0.00	17.02	0.00	17.02	90.0	15.32
05/24/2016	SPECTER TRUST, STEPHANIE	HARTFORD DIVIDEND & GROWTH C	0.00	58.87	0.00	58.87	90.0	52.98
05/24/2016	MEDIA ENTERPRISES	HARTFORD DIVIDEND & GROWTH C	0.00	36.71	0.00	36.71	90.0	33.04
05/24/2016	CAMARDO, DONNA	HARTFORD DIVIDEND & GROWTH C	0.00	16.89	0.00	16.89	90.0	15.20
05/24/2016	BALZANO, AUGUSTUS	HARTFORD DIVIDEND & GROWTH C	0.00	11.61	0.00	11.61	90.0	10.45
05/24/2016	HARRIS, MORGAN	HARTFORD DIVIDEND & GROWTH C	0.00	16.90	0.00	16.90	90.0	15.21
06/21/2016	SPECTER TRUST, STEPHANIE	HARTFORD DIVIDEND & GROWTH C	0.00	60.77	0.00	60.77	90.0	54.69
06/21/2016	MEDIA ENTERPRISES	HARTFORD DIVIDEND & GROWTH C	0.00	37.90	0.00	37.90	90.0	34.11
06/21/2016	CAMARDO, DONNA	HARTFORD DIVIDEND & GROWTH C	0.00	17.44	0.00	17.44	90.0	15.70
06/21/2016	BALZANO, AUGUSTUS	HARTFORD DIVIDEND & GROWTH C	0.00	11.98	0.00	11.98	90.0	10.78
06/21/2016	HARRIS, MORGAN	HARTFORD DIVIDEND & GROWTH C	0.00	17.44	0.00	17.44	90.0	15.70
07/18/2016	SPECTER TRUST, STEPHANIE	HARTFORD DIVIDEND & GROWTH C	0.00	59.13	0.00	59.13	90.0	53.22
07/18/2016	MEDIA ENTERPRISES	HARTFORD DIVIDEND & GROWTH C	0.00	36.88	0.00	36.88	90.0	33.19
07/18/2016	CAMARDO, DONNA	HARTFORD DIVIDEND & GROWTH C	0.00	16.97	0.00	16.97	90.0	15.27
07/18/2016	BALZANO, AUGUSTUS	HARTFORD DIVIDEND & GROWTH C	0.00	11.66	0.00	11.66	90.0	10.49
07/18/2016	HARRIS, MORGAN	HARTFORD DIVIDEND & GROWTH C	0.00	16.97	0.00	16.97	90.0	15.27
08/16/2016	SPECTER TRUST, STEPHANIE	HARTFORD DIVIDEND & GROWTH C	0.00	62.76	0.00	62.76	90.0	56.48
08/16/2016	MEDIA ENTERPRISES	HARTFORD DIVIDEND & GROWTH C	0.00	39.14	0.00	39.14	90.0	35.23
08/16/2016	CAMARDO, DONNA	HARTFORD DIVIDEND & GROWTH C	0.00	18.01	0.00	18.01	90.0	16.21
08/16/2016	BALZANO, AUGUSTUS	HARTFORD DIVIDEND & GROWTH C	0.00	12.37	0.00	12.37	90.0	11.13
08/16/2016	HARRIS, MORGAN	HARTFORD DIVIDEND & GROWTH C	0.00	18.01	0.00	18.01	90.0	16.21

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<u>DIRECT TRANSACTIONS</u>								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS								
09/19/2016	SPECTER TRUST, STEPHANIE	HARTFORD DIVIDEND & GROWTH C	0.00	63.49	0.00	63.49	90.0	57.14
09/19/2016	MEDIA ENTERPRISES	HARTFORD DIVIDEND & GROWTH C	0.00	39.60	0.00	39.60	90.0	35.64
09/19/2016	CAMARDO, DONNA	HARTFORD DIVIDEND & GROWTH C	0.00	18.22	0.00	18.22	90.0	16.40
09/19/2016	BALZANO, AUGUSTUS	HARTFORD DIVIDEND & GROWTH C	0.00	12.52	0.00	12.52	90.0	11.27
09/19/2016	HARRIS, MORGAN	HARTFORD DIVIDEND & GROWTH C	0.00	1.75	0.00	1.75	90.0	1.58
09/19/2016	HARRIS, MORGAN	HARTFORD DIVIDEND & GROWTH C	0.00	16.48	0.00	16.48	90.0	14.83
10/17/2016	SPECTER TRUST, STEPHANIE	HARTFORD DIVIDEND & GROWTH C	0.00	61.07	0.00	61.07	90.0	54.96
10/17/2016	MEDIA ENTERPRISES	HARTFORD DIVIDEND & GROWTH C	0.00	38.09	0.00	38.09	90.0	34.28
10/17/2016	CAMARDO, DONNA	HARTFORD DIVIDEND & GROWTH C	0.00	17.52	0.00	17.52	90.0	15.77
10/17/2016	BALZANO, AUGUSTUS	HARTFORD DIVIDEND & GROWTH C	0.00	12.04	0.00	12.04	90.0	10.84
10/17/2016	HARRIS, MORGAN	HARTFORD DIVIDEND & GROWTH C	0.00	17.53	0.00	17.53	90.0	15.78
11/16/2016	SPECTER TRUST, STEPHANIE	HARTFORD DIVIDEND & GROWTH C	0.00	63.05	0.00	63.05	90.0	56.75
11/16/2016	MEDIA ENTERPRISES	HARTFORD DIVIDEND & GROWTH C	0.00	39.32	0.00	39.32	90.0	35.39
11/16/2016	CAMARDO, DONNA	HARTFORD DIVIDEND & GROWTH C	0.00	18.09	0.00	18.09	90.0	16.28
11/16/2016	BALZANO, AUGUSTUS	HARTFORD DIVIDEND & GROWTH C	0.00	12.43	0.00	12.43	90.0	11.19
11/16/2016	HARRIS, MORGAN	HARTFORD DIVIDEND & GROWTH C	0.00	18.10	0.00	18.10	90.0	16.29
12/19/2016	SPECTER TRUST, STEPHANIE	HARTFORD DIVIDEND & GROWTH C	0.00	62.35	0.00	62.35	90.0	56.12
12/19/2016	MEDIA ENTERPRISES	HARTFORD DIVIDEND & GROWTH C	0.00	38.89	0.00	38.89	90.0	35.00
12/19/2016	CAMARDO, DONNA	HARTFORD DIVIDEND & GROWTH C	0.00	17.89	0.00	17.89	90.0	16.10
12/19/2016	BALZANO, AUGUSTUS	HARTFORD DIVIDEND & GROWTH C	0.00	12.29	0.00	12.29	90.0	11.06
12/19/2016	HARRIS, MORGAN	HARTFORD DIVIDEND & GROWTH C	0.00	17.90	0.00	17.90	90.0	16.11
02/19/2016	CAMPAGNA, MARIE	HARTFORD FLOATING RATE C	0.00	10.21	0.00	10.21	90.0	9.19
03/22/2016	CAMPAGNA, MARIE	HARTFORD FLOATING RATE C	0.00	9.39	0.00	9.39	90.0	8.45
04/18/2016	CAMPAGNA, MARIE	HARTFORD FLOATING RATE C	0.00	10.24	0.00	10.24	90.0	9.22
05/24/2016	CAMPAGNA, MARIE	HARTFORD FLOATING RATE C	0.00	10.09	0.00	10.09	90.0	9.08
06/21/2016	CAMPAGNA, MARIE	HARTFORD FLOATING RATE C	0.00	10.55	0.00	10.55	90.0	9.50
07/18/2016	CAMPAGNA, MARIE	HARTFORD FLOATING RATE C	0.00	10.22	0.00	10.22	90.0	9.20
08/16/2016	CAMPAGNA, MARIE	HARTFORD FLOATING RATE C	0.00	10.60	0.00	10.60	90.0	9.54
09/19/2016	CAMPAGNA, MARIE	HARTFORD FLOATING RATE C	0.00	10.67	0.00	10.67	90.0	9.60
10/17/2016	CAMPAGNA, MARIE	HARTFORD FLOATING RATE C	0.00	10.40	0.00	10.40	90.0	9.36
11/16/2016	CAMPAGNA, MARIE	HARTFORD FLOATING RATE C	0.00	10.85	0.00	10.85	90.0	9.77
12/19/2016	CAMPAGNA, MARIE	HARTFORD FLOATING RATE C	0.00	10.48	0.00	10.48	90.0	9.43
02/19/2016	GODLBERG, SHARON	HARTFORD TOTAL RETURN BOND FUND C	0.00	4.06	0.00	4.06	90.0	3.65

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
03/22/2016	GODLBERG, SHARON	HARTFORD TOTAL RETURN BOND FUND C	0.00	3.79	0.00	3.79	90.0	3.41
04/18/2016	GODLBERG, SHARON	HARTFORD TOTAL RETURN BOND FUND C	0.00	4.09	0.00	4.09	90.0	3.68
05/24/2016	GODLBERG, SHARON	HARTFORD TOTAL RETURN BOND FUND C	0.00	4.02	0.00	4.02	90.0	3.62
06/21/2016	GODLBERG, SHARON	HARTFORD TOTAL RETURN BOND FUND C	0.00	4.17	0.00	4.17	90.0	3.75
07/18/2016	GODLBERG, SHARON	HARTFORD TOTAL RETURN BOND FUND C	0.00	4.07	0.00	4.07	90.0	3.66
08/16/2016	GODLBERG, SHARON	HARTFORD TOTAL RETURN BOND FUND C	0.00	4.26	0.00	4.26	90.0	3.83
09/19/2016	GODLBERG, SHARON	HARTFORD TOTAL RETURN BOND FUND C	0.00	4.27	0.00	4.27	90.0	3.84
10/17/2016	GODLBERG, SHARON	HARTFORD TOTAL RETURN BOND FUND C	0.00	4.13	0.00	4.13	90.0	3.72
11/16/2016	GODLBERG, SHARON	HARTFORD TOTAL RETURN BOND FUND C	0.00	4.26	0.00	4.26	90.0	3.83
12/19/2016	GODLBERG, SHARON	HARTFORD TOTAL RETURN BOND FUND C	0.00	4.05	0.00	4.05	90.0	3.65
04/22/2016	JACKSON, SHIRLEY	HENDERSON GLOBAL EQUITY INCOME FUND	0.00	58.59	0.00	58.59	90.0	52.73
05/23/2016	JACKSON, SHIRLEY	HENDERSON GLOBAL EQUITY INCOME FUND	0.00	57.38	0.00	57.38	90.0	51.64
06/13/2016	JACKSON, SHIRLEY	HENDERSON GLOBAL EQUITY INCOME FUND	0.00	59.15	0.00	59.15	90.0	53.24
07/15/2016	JACKSON, SHIRLEY	HENDERSON GLOBAL EQUITY INCOME FUND	0.00	56.24	0.00	56.24	90.0	50.62
08/12/2016	JACKSON, SHIRLEY	HENDERSON GLOBAL EQUITY INCOME FUND	0.00	57.51	0.00	57.51	90.0	51.76
09/16/2016	JACKSON, SHIRLEY	HENDERSON GLOBAL EQUITY INCOME FUND	0.00	59.02	0.00	59.02	90.0	53.12
10/17/2016	JACKSON, SHIRLEY	HENDERSON GLOBAL EQUITY INCOME FUND	0.00	56.97	0.00	56.97	90.0	51.27
11/18/2016	JACKSON, SHIRLEY	HENDERSON GLOBAL EQUITY INCOME FUND	0.00	56.86	0.00	56.86	90.0	51.17
12/21/2016	JACKSON, SHIRLEY	HENDERSON GLOBAL EQUITY INCOME FUND	0.00	53.91	0.00	53.91	90.0	48.52
02/24/2016	NAGLE, JOSEPHINE	HIGHLAND FLOATING RATE OPPORTUNITIE	0.00	0.14	0.00	0.14	90.0	0.13
03/31/2016	NAGLE, JOSEPHINE	HIGHLAND FLOATING RATE OPPORTUNITIE	0.00	0.66	0.00	0.66	90.0	0.59
04/20/2016	NAGLE, JOSEPHINE	HIGHLAND FLOATING RATE OPPORTUNITIE	0.00	0.71	0.00	0.71	90.0	0.64
05/26/2016	NAGLE, JOSEPHINE	HIGHLAND FLOATING RATE OPPORTUNITIE	0.00	0.71	0.00	0.71	90.0	0.64
06/22/2016	NAGLE, JOSEPHINE	HIGHLAND FLOATING RATE OPPORTUNITIE	0.00	0.76	0.00	0.76	90.0	0.68
07/20/2016	NAGLE, JOSEPHINE	HIGHLAND FLOATING RATE OPPORTUNITIE	0.00	0.75	0.00	0.75	90.0	0.68
08/17/2016	NAGLE, JOSEPHINE	HIGHLAND FLOATING RATE OPPORTUNITIE	0.00	0.78	0.00	0.78	90.0	0.70
09/14/2016	NAGLE, JOSEPHINE	HIGHLAND FLOATING RATE OPPORTUNITIE	0.00	0.79	0.00	0.79	90.0	0.71
10/19/2016	NAGLE, JOSEPHINE	HIGHLAND FLOATING RATE OPPORTUNITIE	0.00	0.77	0.00	0.77	90.0	0.69
11/16/2016	GERARD, JO ANNE	HIGHLAND FLOATING RATE OPPORTUNITIE	0.00	0.05	0.00	0.05	90.0	0.05
11/16/2016	NAGLE, JOSEPHINE	HIGHLAND FLOATING RATE OPPORTUNITIE	0.00	0.52	0.00	0.52	90.0	0.47
11/16/2016	APPLEGATE, PAMAELA	HIGHLAND FLOATING RATE OPPORTUNITIE	0.00	0.11	0.00	0.11	90.0	0.10
12/23/2016	APPLEGATE, PAMAELA	HIGHLAND FLOATING RATE OPPORTUNITIE	0.00	0.25	0.00	0.25	90.0	0.23
02/29/2016	CHERRY, ANDREW	HOTCHKIS & WILEY SMALL-CAP VALUE FU	0.00	2.93	0.00	2.93	90.0	2.64

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
02/29/2016	CHERRY, ANDREW	HOTCHKIS & WILEY SMALL-CAP VALUE FU	0.00	2.93	0.00	2.93	90.0	2.64
03/31/2016	CHERRY, ANDREW	HOTCHKIS & WILEY SMALL-CAP VALUE FU	0.00	2.63	0.00	2.63	90.0	2.37
03/31/2016	CHERRY, ANDREW	HOTCHKIS & WILEY SMALL-CAP VALUE FU	0.00	2.63	0.00	2.63	90.0	2.37
04/29/2016	CHERRY, ANDREW	HOTCHKIS & WILEY SMALL-CAP VALUE FU	0.00	3.02	0.00	3.02	90.0	2.72
04/29/2016	CHERRY, ANDREW	HOTCHKIS & WILEY SMALL-CAP VALUE FU	0.00	3.02	0.00	3.02	90.0	2.72
05/31/2016	CHERRY, ANDREW	HOTCHKIS & WILEY SMALL-CAP VALUE FU	0.00	3.01	0.00	3.01	90.0	2.71
05/31/2016	CHERRY, ANDREW	HOTCHKIS & WILEY SMALL-CAP VALUE FU	0.00	3.01	0.00	3.01	90.0	2.71
06/30/2016	CHERRY, ANDREW	HOTCHKIS & WILEY SMALL-CAP VALUE FU	0.00	3.06	0.00	3.06	90.0	2.75
06/30/2016	CHERRY, ANDREW	HOTCHKIS & WILEY SMALL-CAP VALUE FU	0.00	3.06	0.00	3.06	90.0	2.75
07/29/2016	CHERRY, ANDREW	HOTCHKIS & WILEY SMALL-CAP VALUE FU	0.00	2.99	0.00	2.99	90.0	2.69
07/29/2016	CHERRY, ANDREW	HOTCHKIS & WILEY SMALL-CAP VALUE FU	0.00	2.99	0.00	2.99	90.0	2.69
08/31/2016	CHERRY, ANDREW	HOTCHKIS & WILEY SMALL-CAP VALUE FU	0.00	3.17	0.00	3.17	90.0	2.85
08/31/2016	CHERRY, ANDREW	HOTCHKIS & WILEY SMALL-CAP VALUE FU	0.00	3.17	0.00	3.17	90.0	2.85
09/29/2016	CHERRY, ANDREW	HOTCHKIS & WILEY SMALL-CAP VALUE FU	0.00	3.27	0.00	3.27	90.0	2.94
09/29/2016	CHERRY, ANDREW	HOTCHKIS & WILEY SMALL-CAP VALUE FU	0.00	3.27	0.00	3.27	90.0	2.94
10/31/2016	CHERRY, ANDREW	HOTCHKIS & WILEY SMALL-CAP VALUE FU	0.00	3.15	0.00	3.15	90.0	2.84
10/31/2016	CHERRY, ANDREW	HOTCHKIS & WILEY SMALL-CAP VALUE FU	0.00	3.15	0.00	3.15	90.0	2.84
11/30/2016	CHERRY, ANDREW	HOTCHKIS & WILEY SMALL-CAP VALUE FU	0.00	3.25	0.00	3.25	90.0	2.93
11/30/2016	CHERRY, ANDREW	HOTCHKIS & WILEY SMALL-CAP VALUE FU	0.00	3.25	0.00	3.25	90.0	2.93
12/30/2016	CHERRY, ANDREW	HOTCHKIS & WILEY SMALL-CAP VALUE FU	0.00	3.37	0.00	3.37	90.0	3.03
12/30/2016	CHERRY, ANDREW	HOTCHKIS & WILEY SMALL-CAP VALUE FU	0.00	3.37	0.00	3.37	90.0	3.03
04/14/2016	SIEMANOWSKI, JOHN	INVESCO AMERICAN FRANCHISE A	0.00	91.16	0.00	91.16	90.0	82.04
04/14/2016	CHERRY, ANDREW	INVESCO AMERICAN FRANCHISE A	0.00	0.05	0.00	0.05	90.0	0.05
04/14/2016	CHERRY, ANDREW	INVESCO AMERICAN FRANCHISE A	0.00	0.03	0.00	0.03	90.0	0.03
04/14/2016	CHERRY, THEO	INVESCO AMERICAN FRANCHISE A	0.00	2.92	0.00	2.92	90.0	2.63
04/14/2016	SIEMANOWSKI, JOHN	INVESCO AMERICAN FRANCHISE A	0.00	191.96	0.00	191.96	90.0	172.76
04/14/2016	FARBMAN, ERIC	INVESCO AMERICAN FRANCHISE A	0.00	6.95	0.00	6.95	90.0	6.26
04/14/2016	WALENCZYK, CHIRSTOPHER	INVESCO AMERICAN FRANCHISE A	0.00	0.36	0.00	0.36	90.0	0.32
04/14/2016	JACKSON, SHIRLEY	INVESCO AMERICAN FRANCHISE A	0.00	42.71	0.00	42.71	90.0	38.44
07/19/2016	SIEMANOWSKI, JOHN	INVESCO AMERICAN FRANCHISE A	0.00	96.14	0.00	96.14	90.0	86.53
07/19/2016	CHERRY, ANDREW	INVESCO AMERICAN FRANCHISE A	0.00	0.05	0.00	0.05	90.0	0.05
07/19/2016	CHERRY, ANDREW	INVESCO AMERICAN FRANCHISE A	0.00	0.04	0.00	0.04	90.0	0.04
07/19/2016	CHERRY, THEO	INVESCO AMERICAN FRANCHISE A	0.00	3.08	0.00	3.08	90.0	2.77

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
07/19/2016	SIEMANOWSKI, JOHN	INVESCO AMERICAN FRANCHISE A	0.00	202.45	0.00	202.45	90.0	182.21
07/19/2016	FARBMAN, ERIC	INVESCO AMERICAN FRANCHISE A	0.00	7.33	0.00	7.33	90.0	6.60
07/19/2016	WALENCZYK, CHIRSTOPHER	INVESCO AMERICAN FRANCHISE A	0.00	0.38	0.00	0.38	90.0	0.34
07/19/2016	JACKSON, SHIRLEY	INVESCO AMERICAN FRANCHISE A	0.00	129.62	0.00	129.62	90.0	116.66
10/17/2016	SIEMANOWSKI, JOHN	INVESCO AMERICAN FRANCHISE A	0.00	102.81	0.00	102.81	90.0	92.53
10/17/2016	CHERRY, ANDREW	INVESCO AMERICAN FRANCHISE A	0.00	0.05	0.00	0.05	90.0	0.05
10/17/2016	CHERRY, ANDREW	INVESCO AMERICAN FRANCHISE A	0.00	0.04	0.00	0.04	90.0	0.04
10/17/2016	CHERRY, THEO	INVESCO AMERICAN FRANCHISE A	0.00	3.29	0.00	3.29	90.0	2.96
10/17/2016	SIEMANOWSKI, JOHN	INVESCO AMERICAN FRANCHISE A	0.00	216.49	0.00	216.49	90.0	194.84
10/17/2016	FARBMAN, ERIC	INVESCO AMERICAN FRANCHISE A	0.00	7.83	0.00	7.83	90.0	7.05
10/17/2016	WALENCZYK, CHIRSTOPHER	INVESCO AMERICAN FRANCHISE A	0.00	0.41	0.00	0.41	90.0	0.37
10/17/2016	JACKSON, SHIRLEY	INVESCO AMERICAN FRANCHISE A	0.00	138.61	0.00	138.61	90.0	124.75
04/14/2016	SIEMANOWSKI, JOHN	INVESCO CHARTER FUND A	0.00	46.20	0.00	46.20	90.0	41.58
07/19/2016	SIEMANOWSKI, JOHN	INVESCO CHARTER FUND A	0.00	49.48	0.00	49.48	90.0	44.53
10/17/2016	SIEMANOWSKI, JOHN	INVESCO CHARTER FUND A	0.00	52.36	0.00	52.36	90.0	47.12
07/19/2016	GUERRIERI, ANTHONY	INVESCO COMSTOCK A	0.00	0.38	0.00	0.38	90.0	0.34
10/17/2016	GUERRIERI, ANTHONY	INVESCO COMSTOCK A	0.00	1.25	0.00	1.25	90.0	1.13
04/14/2016	FARBMAN, ERIC	INVESCO HIGH YIELD FUND A	0.00	11.08	0.00	11.08	90.0	9.97
07/19/2016	FARBMAN, ERIC	INVESCO HIGH YIELD FUND A	0.00	11.72	0.00	11.72	90.0	10.55
10/17/2016	FARBMAN, ERIC	INVESCO HIGH YIELD FUND A	0.00	12.33	0.00	12.33	90.0	11.10
04/14/2016	SIEMANOWSKI, JOHN	INVESCO INTERNATIONAL GROWTH A	0.00	10.46	0.00	10.46	90.0	9.41
04/14/2016	SIEMANOWSKI, JOHN	INVESCO INTERNATIONAL GROWTH A	0.00	32.85	0.00	32.85	90.0	29.57
04/14/2016	JACKSON, SHIRLEY	INVESCO INTERNATIONAL GROWTH A	0.00	2.19	0.00	2.19	90.0	1.97
07/19/2016	SIEMANOWSKI, JOHN	INVESCO INTERNATIONAL GROWTH A	0.00	11.01	0.00	11.01	90.0	9.91
07/19/2016	SIEMANOWSKI, JOHN	INVESCO INTERNATIONAL GROWTH A	0.00	34.56	0.00	34.56	90.0	31.10
07/19/2016	JACKSON, SHIRLEY	INVESCO INTERNATIONAL GROWTH A	0.00	6.50	0.00	6.50	90.0	5.85
10/17/2016	SIEMANOWSKI, JOHN	INVESCO INTERNATIONAL GROWTH A	0.00	11.29	0.00	11.29	90.0	10.16
10/17/2016	SIEMANOWSKI, JOHN	INVESCO INTERNATIONAL GROWTH A	0.00	35.45	0.00	35.45	90.0	31.91
10/17/2016	JACKSON, SHIRLEY	INVESCO INTERNATIONAL GROWTH A	0.00	6.67	0.00	6.67	90.0	6.00
04/14/2016	WALENCZYK, BRENDA	INVESCO MIDCAP CORE EQUITY A	0.00	0.40	0.00	0.40	90.0	0.36
04/14/2016	WALENCZYK, CHIRSTOPHER	INVESCO MIDCAP CORE EQUITY A	0.00	0.81	0.00	0.81	90.0	0.73
07/19/2016	WALENCZYK, BRENDA	INVESCO MIDCAP CORE EQUITY A	0.00	0.43	0.00	0.43	90.0	0.39
07/19/2016	WALENCZYK, CHIRSTOPHER	INVESCO MIDCAP CORE EQUITY A	0.00	0.87	0.00	0.87	90.0	0.78

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
10/17/2016	WALENCZYK, BRENDA	INVESCO MIDCAP CORE EQUITY A	0.00	0.46	0.00	0.46	90.0	0.41
10/17/2016	WALENCZYK, CHIRSTOPHER	INVESCO MIDCAP CORE EQUITY A	0.00	0.92	0.00	0.92	90.0	0.83
04/14/2016	GOLDBERGER, ANNA	INVESCO SENIOR LOAN FUND IB	0.00	8.24	0.00	8.24	90.0	7.42
07/19/2016	GOLDBERGER, ANNA	INVESCO SENIOR LOAN FUND IB	0.00	8.60	0.00	8.60	90.0	7.74
07/19/2016	PERETTI, FRANCES	INVESCO SENIOR LOAN FUND IB	0.00	13.06	0.00	13.06	90.0	11.75
10/17/2016	GOLDBERGER, ANNA	INVESCO SENIOR LOAN FUND IB	0.00	8.96	0.00	8.96	90.0	8.06
10/17/2016	PERETTI, FRANCES	INVESCO SENIOR LOAN FUND IB	0.00	2.95	0.00	2.95	90.0	2.66
04/14/2016	BOWERS, DORA	INVESCO SMALL CAP DISCOVERY A	0.00	0.32	0.00	0.32	90.0	0.29
07/19/2016	BOWERS, DORA	INVESCO SMALL CAP DISCOVERY A	0.00	0.35	0.00	0.35	90.0	0.32
10/17/2016	BOWERS, DORA	INVESCO SMALL CAP DISCOVERY A	0.00	0.37	0.00	0.37	90.0	0.33
04/14/2016	FARBMAN, ERIC	INVESCO STRUCTURED CORE A	0.00	13.05	0.00	13.05	90.0	11.75
07/19/2016	FARBMAN, ERIC	INVESCO STRUCTURED CORE A	0.00	13.96	0.00	13.96	90.0	12.56
10/17/2016	FARBMAN, ERIC	INVESCO STRUCTURED CORE A	0.00	14.67	0.00	14.67	90.0	13.20
04/14/2016	WALENCZYK, BRENDA	INVESCO VALUE OPP A	0.00	0.30	0.00	0.30	90.0	0.27
04/14/2016	WALENCZYK, CHIRSTOPHER	INVESCO VALUE OPP A	0.00	0.58	0.00	0.58	90.0	0.52
07/19/2016	WALENCZYK, BRENDA	INVESCO VALUE OPP A	0.00	0.32	0.00	0.32	90.0	0.29
07/19/2016	WALENCZYK, CHIRSTOPHER	INVESCO VALUE OPP A	0.00	0.63	0.00	0.63	90.0	0.57
10/17/2016	WALENCZYK, BRENDA	INVESCO VALUE OPP A	0.00	0.33	0.00	0.33	90.0	0.30
10/17/2016	WALENCZYK, CHIRSTOPHER	INVESCO VALUE OPP A	0.00	0.64	0.00	0.64	90.0	0.58
02/08/2016	BOWERS, DORA	JANUS FUND CLASS A	0.00	0.92	0.00	0.92	90.0	0.83
03/09/2016	BOWERS, DORA	JANUS FUND CLASS A	0.00	0.83	0.00	0.83	90.0	0.75
04/12/2016	BOWERS, DORA	JANUS FUND CLASS A	0.00	0.94	0.00	0.94	90.0	0.85
05/11/2016	BOWERS, DORA	JANUS FUND CLASS A	0.00	0.93	0.00	0.93	90.0	0.84
06/14/2016	BOWERS, DORA	JANUS FUND CLASS A	0.00	0.96	0.00	0.96	90.0	0.86
07/12/2016	BOWERS, DORA	JANUS FUND CLASS A	0.00	0.93	0.00	0.93	90.0	0.84
08/08/2016	BOWERS, DORA	JANUS FUND CLASS A	0.00	0.99	0.00	0.99	90.0	0.89
09/12/2016	BOWERS, DORA	JANUS FUND CLASS A	0.00	1.01	0.00	1.01	90.0	0.91
10/12/2016	BOWERS, DORA	JANUS FUND CLASS A	0.00	0.97	0.00	0.97	90.0	0.87
11/10/2016	BOWERS, DORA	JANUS FUND CLASS A	0.00	0.99	0.00	0.99	90.0	0.89
12/15/2016	BOWERS, DORA	JANUS FUND CLASS A	0.00	0.95	0.00	0.95	90.0	0.86
02/19/2016	BOWERS, DORA	JH INTERNATIONAL CORE A	0.00	0.15	0.00	0.15	90.0	0.14
03/18/2016	BOWERS, DORA	JH INTERNATIONAL CORE A	0.00	0.14	0.00	0.14	90.0	0.13
04/15/2016	BOWERS, DORA	JH INTERNATIONAL CORE A	0.00	0.15	0.00	0.15	90.0	0.14

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
05/23/2016	BOWERS, DORA	JH INTERNATIONAL CORE A	0.00	0.15	0.00	0.15	90.0	0.14
06/27/2016	BOWERS, DORA	JH INTERNATIONAL CORE A	0.00	0.16	0.00	0.16	90.0	0.14
07/15/2016	BOWERS, DORA	JH INTERNATIONAL CORE A	0.00	0.15	0.00	0.15	90.0	0.14
08/16/2016	BOWERS, DORA	JH INTERNATIONAL CORE A	0.00	0.15	0.00	0.15	90.0	0.14
09/16/2016	BOWERS, DORA	JH INTERNATIONAL CORE A	0.00	0.16	0.00	0.16	90.0	0.14
10/24/2016	BOWERS, DORA	JH INTERNATIONAL CORE A	0.00	0.15	0.00	0.15	90.0	0.14
11/18/2016	BOWERS, DORA	JH INTERNATIONAL CORE A	0.00	0.15	0.00	0.15	90.0	0.14
12/16/2016	BOWERS, DORA	JH INTERNATIONAL CORE A	0.00	0.01	0.00	0.01	90.0	0.01
12/16/2016	BOWERS, DORA	JN DISCIPLINED VALUE INT'L A	0.00	0.13	0.00	0.13	90.0	0.12
02/19/2016	CENTANNI, RICHARD	JP MORGAN MID CAP VALUE FUND CLASS	0.00	0.48	0.00	0.48	90.0	0.43
03/17/2016	CENTANNI, RICHARD	JP MORGAN MID CAP VALUE FUND CLASS	0.00	0.45	0.00	0.45	90.0	0.41
04/25/2016	CENTANNI, RICHARD	JP MORGAN MID CAP VALUE FUND CLASS	0.00	0.52	0.00	0.52	90.0	0.47
05/16/2016	CENTANNI, RICHARD	JP MORGAN MID CAP VALUE FUND CLASS	0.00	0.52	0.00	0.52	90.0	0.47
06/20/2016	CENTANNI, RICHARD	JP MORGAN MID CAP VALUE FUND CLASS	0.00	0.53	0.00	0.53	90.0	0.48
07/25/2016	CENTANNI, RICHARD	JP MORGAN MID CAP VALUE FUND CLASS	0.00	0.52	0.00	0.52	90.0	0.47
08/15/2016	CENTANNI, RICHARD	JP MORGAN MID CAP VALUE FUND CLASS	0.00	0.55	0.00	0.55	90.0	0.50
09/15/2016	CENTANNI, RICHARD	JP MORGAN MID CAP VALUE FUND CLASS	0.00	0.56	0.00	0.56	90.0	0.50
10/14/2016	CENTANNI, RICHARD	JP MORGAN MID CAP VALUE FUND CLASS	0.00	0.54	0.00	0.54	90.0	0.49
11/21/2016	CENTANNI, RICHARD	JP MORGAN MID CAP VALUE FUND CLASS	0.00	0.55	0.00	0.55	90.0	0.50
12/16/2016	CENTANNI, RICHARD	JP MORGAN MID CAP VALUE FUND CLASS	0.00	0.55	0.00	0.55	90.0	0.50
04/21/2016	JACKSON, SHIRLEY	LORD ABBETT AFFILIATED A	0.00	1.73	0.00	1.73	90.0	1.56
05/23/2016	JACKSON, SHIRLEY	LORD ABBETT AFFILIATED A	0.00	1.71	0.00	1.71	90.0	1.54
06/21/2016	JACKSON, SHIRLEY	LORD ABBETT AFFILIATED A	0.00	1.77	0.00	1.77	90.0	1.59
07/21/2016	JACKSON, SHIRLEY	LORD ABBETT AFFILIATED A	0.00	1.73	0.00	1.73	90.0	1.56
08/22/2016	JACKSON, SHIRLEY	LORD ABBETT AFFILIATED A	0.00	1.85	0.00	1.85	90.0	1.67
09/21/2016	JACKSON, SHIRLEY	LORD ABBETT AFFILIATED A	0.00	1.87	0.00	1.87	90.0	1.68
10/20/2016	JACKSON, SHIRLEY	LORD ABBETT AFFILIATED A	0.00	1.80	0.00	1.80	90.0	1.62
11/21/2016	JACKSON, SHIRLEY	LORD ABBETT AFFILIATED A	0.00	1.85	0.00	1.85	90.0	1.67
12/21/2016	JACKSON, SHIRLEY	LORD ABBETT AFFILIATED A	0.00	1.85	0.00	1.85	90.0	1.67
02/22/2016	MEDIA ENTERPRISES	LORD ABBETT BOND DEBENTURE A	0.00	2.48	0.00	2.48	90.0	2.23
02/22/2016	MEDIA ENTERPRISES	LORD ABBETT BOND DEBENTURE A	0.00	1.74	0.00	1.74	90.0	1.57
02/22/2016	LA CORTE, CYNTHIA	LORD ABBETT BOND DEBENTURE A	0.00	1.62	0.00	1.62	90.0	1.46
02/22/2016	DEBRIELLE-HEALEY, ELIZABETH	LORD ABBETT BOND DEBENTURE A	0.00	2.31	0.00	2.31	90.0	2.08

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
02/22/2016	GUERRIERI, BERNICE	LORD ABBETT BOND DEBENTURE A	0.00	0.67	0.00	0.67	90.0	0.60
02/22/2016	LAISO, MICHAEL	LORD ABBETT BOND DEBENTURE A	0.00	7.13	0.00	7.13	90.0	6.42
02/22/2016	STRAUS, KAREN	LORD ABBETT BOND DEBENTURE A	0.00	2.26	0.00	2.26	90.0	2.03
03/22/2016	MEDIA ENTERPRISES	LORD ABBETT BOND DEBENTURE A	0.00	2.28	0.00	2.28	90.0	2.05
03/22/2016	MEDIA ENTERPRISES	LORD ABBETT BOND DEBENTURE A	0.00	1.59	0.00	1.59	90.0	1.43
03/22/2016	LA CORTE, CYNTHIA	LORD ABBETT BOND DEBENTURE A	0.00	1.40	0.00	1.40	90.0	1.26
03/22/2016	DEBRIELLE-HEALEY, ELIZABETH	LORD ABBETT BOND DEBENTURE A	0.00	2.12	0.00	2.12	90.0	1.91
03/22/2016	GUERRIERI, BERNICE	LORD ABBETT BOND DEBENTURE A	0.00	0.61	0.00	0.61	90.0	0.55
03/22/2016	LAISO, MICHAEL	LORD ABBETT BOND DEBENTURE A	0.00	6.52	0.00	6.52	90.0	5.87
03/22/2016	STRAUS, KAREN	LORD ABBETT BOND DEBENTURE A	0.00	2.08	0.00	2.08	90.0	1.87
04/21/2016	MEDIA ENTERPRISES	LORD ABBETT BOND DEBENTURE A	0.00	2.54	0.00	2.54	90.0	2.29
04/21/2016	MEDIA ENTERPRISES	LORD ABBETT BOND DEBENTURE A	0.00	1.78	0.00	1.78	90.0	1.60
04/21/2016	LA CORTE, CYNTHIA	LORD ABBETT BOND DEBENTURE A	0.00	1.48	0.00	1.48	90.0	1.33
04/21/2016	DEBRIELLE-HEALEY, ELIZABETH	LORD ABBETT BOND DEBENTURE A	0.00	2.36	0.00	2.36	90.0	2.12
04/21/2016	GUERRIERI, BERNICE	LORD ABBETT BOND DEBENTURE A	0.00	0.28	0.00	0.28	90.0	0.25
04/21/2016	LAISO, MICHAEL	LORD ABBETT BOND DEBENTURE A	0.00	7.24	0.00	7.24	90.0	6.52
04/21/2016	STRAUS, KAREN	LORD ABBETT BOND DEBENTURE A	0.00	2.32	0.00	2.32	90.0	2.09
05/23/2016	MEDIA ENTERPRISES	LORD ABBETT BOND DEBENTURE A	0.00	2.52	0.00	2.52	90.0	2.27
05/23/2016	MEDIA ENTERPRISES	LORD ABBETT BOND DEBENTURE A	0.00	1.76	0.00	1.76	90.0	1.58
05/23/2016	LA CORTE, CYNTHIA	LORD ABBETT BOND DEBENTURE A	0.00	1.38	0.00	1.38	90.0	1.24
05/23/2016	DEBRIELLE-HEALEY, ELIZABETH	LORD ABBETT BOND DEBENTURE A	0.00	2.34	0.00	2.34	90.0	2.11
05/23/2016	LAISO, MICHAEL	LORD ABBETT BOND DEBENTURE A	0.00	7.15	0.00	7.15	90.0	6.44
05/23/2016	STRAUS, KAREN	LORD ABBETT BOND DEBENTURE A	0.00	2.29	0.00	2.29	90.0	2.06
06/21/2016	MEDIA ENTERPRISES	LORD ABBETT BOND DEBENTURE A	0.00	2.63	0.00	2.63	90.0	2.37
06/21/2016	MEDIA ENTERPRISES	LORD ABBETT BOND DEBENTURE A	0.00	1.84	0.00	1.84	90.0	1.66
06/21/2016	LA CORTE, CYNTHIA	LORD ABBETT BOND DEBENTURE A	0.00	1.36	0.00	1.36	90.0	1.22
06/21/2016	DEBRIELLE-HEALEY, ELIZABETH	LORD ABBETT BOND DEBENTURE A	0.00	2.45	0.00	2.45	90.0	2.21
06/21/2016	LAISO, MICHAEL	LORD ABBETT BOND DEBENTURE A	0.00	7.44	0.00	7.44	90.0	6.70
06/21/2016	STRAUS, KAREN	LORD ABBETT BOND DEBENTURE A	0.00	2.40	0.00	2.40	90.0	2.16
07/21/2016	MEDIA ENTERPRISES	LORD ABBETT BOND DEBENTURE A	0.00	2.58	0.00	2.58	90.0	2.32
07/21/2016	MEDIA ENTERPRISES	LORD ABBETT BOND DEBENTURE A	0.00	1.80	0.00	1.80	90.0	1.62
07/21/2016	LA CORTE, CYNTHIA	LORD ABBETT BOND DEBENTURE A	0.00	1.25	0.00	1.25	90.0	1.13
07/21/2016	DEBRIELLE-HEALEY, ELIZABETH	LORD ABBETT BOND DEBENTURE A	0.00	2.40	0.00	2.40	90.0	2.16

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
07/21/2016	LAISO, MICHAEL	LORD ABBETT BOND DEBENTURE A	0.00	7.26	0.00	7.26	90.0	6.53
07/21/2016	STRAUS, KAREN	LORD ABBETT BOND DEBENTURE A	0.00	2.35	0.00	2.35	90.0	2.12
08/22/2016	MEDIA ENTERPRISES	LORD ABBETT BOND DEBENTURE A	0.00	2.74	0.00	2.74	90.0	2.47
08/22/2016	MEDIA ENTERPRISES	LORD ABBETT BOND DEBENTURE A	0.00	1.91	0.00	1.91	90.0	1.72
08/22/2016	LA CORTE, CYNTHIA	LORD ABBETT BOND DEBENTURE A	0.00	1.24	0.00	1.24	90.0	1.12
08/22/2016	DEBRIELLE-HEALEY, ELIZABETH	LORD ABBETT BOND DEBENTURE A	0.00	2.54	0.00	2.54	90.0	2.29
08/22/2016	LAISO, MICHAEL	LORD ABBETT BOND DEBENTURE A	0.00	7.67	0.00	7.67	90.0	6.90
08/22/2016	STRAUS, KAREN	LORD ABBETT BOND DEBENTURE A	0.00	2.49	0.00	2.49	90.0	2.24
09/21/2016	MEDIA ENTERPRISES	LORD ABBETT BOND DEBENTURE A	0.00	2.78	0.00	2.78	90.0	2.50
09/21/2016	MEDIA ENTERPRISES	LORD ABBETT BOND DEBENTURE A	0.00	1.94	0.00	1.94	90.0	1.75
09/21/2016	LA CORTE, CYNTHIA	LORD ABBETT BOND DEBENTURE A	0.00	1.17	0.00	1.17	90.0	1.05
09/21/2016	DEBRIELLE-HEALEY, ELIZABETH	LORD ABBETT BOND DEBENTURE A	0.00	2.58	0.00	2.58	90.0	2.32
09/21/2016	LAISO, MICHAEL	LORD ABBETT BOND DEBENTURE A	0.00	7.77	0.00	7.77	90.0	6.99
09/21/2016	STRAUS, KAREN	LORD ABBETT BOND DEBENTURE A	0.00	2.53	0.00	2.53	90.0	2.28
10/20/2016	MEDIA ENTERPRISES	LORD ABBETT BOND DEBENTURE A	0.00	2.70	0.00	2.70	90.0	2.43
10/20/2016	MEDIA ENTERPRISES	LORD ABBETT BOND DEBENTURE A	0.00	1.89	0.00	1.89	90.0	1.70
10/20/2016	LA CORTE, CYNTHIA	LORD ABBETT BOND DEBENTURE A	0.00	1.06	0.00	1.06	90.0	0.95
10/20/2016	DEBRIELLE-HEALEY, ELIZABETH	LORD ABBETT BOND DEBENTURE A	0.00	2.51	0.00	2.51	90.0	2.26
10/20/2016	LAISO, MICHAEL	LORD ABBETT BOND DEBENTURE A	0.00	7.52	0.00	7.52	90.0	6.77
10/20/2016	STRAUS, KAREN	LORD ABBETT BOND DEBENTURE A	0.00	2.46	0.00	2.46	90.0	2.21
11/21/2016	MEDIA ENTERPRISES	LORD ABBETT BOND DEBENTURE A	0.00	2.81	0.00	2.81	90.0	2.53
11/21/2016	MEDIA ENTERPRISES	LORD ABBETT BOND DEBENTURE A	0.00	1.97	0.00	1.97	90.0	1.77
11/21/2016	LA CORTE, CYNTHIA	LORD ABBETT BOND DEBENTURE A	0.00	1.03	0.00	1.03	90.0	0.93
11/21/2016	DEBRIELLE-HEALEY, ELIZABETH	LORD ABBETT BOND DEBENTURE A	0.00	2.61	0.00	2.61	90.0	2.35
11/21/2016	LAISO, MICHAEL	LORD ABBETT BOND DEBENTURE A	0.00	7.80	0.00	7.80	90.0	7.02
11/21/2016	STRAUS, KAREN	LORD ABBETT BOND DEBENTURE A	0.00	2.48	0.00	2.48	90.0	2.23
12/21/2016	MEDIA ENTERPRISES	LORD ABBETT BOND DEBENTURE A	0.00	2.70	0.00	2.70	90.0	2.43
12/21/2016	MEDIA ENTERPRISES	LORD ABBETT BOND DEBENTURE A	0.00	1.89	0.00	1.89	90.0	1.70
12/21/2016	LA CORTE, CYNTHIA	LORD ABBETT BOND DEBENTURE A	0.00	0.89	0.00	0.89	90.0	0.80
12/21/2016	DEBRIELLE-HEALEY, ELIZABETH	LORD ABBETT BOND DEBENTURE A	0.00	2.51	0.00	2.51	90.0	2.26
12/21/2016	LAISO, MICHAEL	LORD ABBETT BOND DEBENTURE A	0.00	7.45	0.00	7.45	90.0	6.71
12/21/2016	STRAUS, KAREN	LORD ABBETT BOND DEBENTURE A	0.00	2.38	0.00	2.38	90.0	2.14
02/22/2016	CHERRY, ADAM	LORD ABBETT BOND DEBENTURE C	0.00	96.93	0.00	96.93	90.0	87.24

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
02/22/2016	HUDSON TRUST OF 2000, ROBERT	LORD ABBETT BOND DEBENTURE C	0.00	99.30	0.00	99.30	90.0	89.37
02/22/2016	YANKOWITZ, HARRIETT	LORD ABBETT BOND DEBENTURE C	0.00	23.86	0.00	23.86	90.0	21.47
02/22/2016	TOBIAS, DAVID	LORD ABBETT BOND DEBENTURE C	0.00	17.92	0.00	17.92	90.0	16.13
03/22/2016	CHERRY, ADAM	LORD ABBETT BOND DEBENTURE C	0.00	88.95	0.00	88.95	90.0	80.06
03/22/2016	HUDSON TRUST OF 2000, ROBERT	LORD ABBETT BOND DEBENTURE C	0.00	91.12	0.00	91.12	90.0	82.01
03/22/2016	YANKOWITZ, HARRIETT	LORD ABBETT BOND DEBENTURE C	0.00	21.90	0.00	21.90	90.0	19.71
03/22/2016	TOBIAS, DAVID	LORD ABBETT BOND DEBENTURE C	0.00	16.39	0.00	16.39	90.0	14.75
04/21/2016	CHERRY, ADAM	LORD ABBETT BOND DEBENTURE C	0.00	99.07	0.00	99.07	90.0	89.16
04/21/2016	HUDSON TRUST OF 2000, ROBERT	LORD ABBETT BOND DEBENTURE C	0.00	101.50	0.00	101.50	90.0	91.35
04/21/2016	YANKOWITZ, HARRIETT	LORD ABBETT BOND DEBENTURE C	0.00	24.39	0.00	24.39	90.0	21.95
04/21/2016	TOBIAS, DAVID	LORD ABBETT BOND DEBENTURE C	0.00	18.21	0.00	18.21	90.0	16.39
05/23/2016	CHERRY, ADAM	LORD ABBETT BOND DEBENTURE C	0.00	98.10	0.00	98.10	90.0	88.29
05/23/2016	HUDSON TRUST OF 2000, ROBERT	LORD ABBETT BOND DEBENTURE C	0.00	100.50	0.00	100.50	90.0	90.45
05/23/2016	YANKOWITZ, HARRIETT	LORD ABBETT BOND DEBENTURE C	0.00	24.15	0.00	24.15	90.0	21.74
05/23/2016	TOBIAS, DAVID	LORD ABBETT BOND DEBENTURE C	0.00	17.97	0.00	17.97	90.0	16.17
06/21/2016	CHERRY, ADAM	LORD ABBETT BOND DEBENTURE C	0.00	102.45	0.00	102.45	90.0	92.21
06/21/2016	HUDSON TRUST OF 2000, ROBERT	LORD ABBETT BOND DEBENTURE C	0.00	104.95	0.00	104.95	90.0	94.46
06/21/2016	YANKOWITZ, HARRIETT	LORD ABBETT BOND DEBENTURE C	0.00	25.22	0.00	25.22	90.0	22.70
06/21/2016	TOBIAS, DAVID	LORD ABBETT BOND DEBENTURE C	0.00	18.71	0.00	18.71	90.0	16.84
07/21/2016	CHERRY, ADAM	LORD ABBETT BOND DEBENTURE C	0.00	100.26	0.00	100.26	90.0	90.23
07/21/2016	HUDSON TRUST OF 2000, ROBERT	LORD ABBETT BOND DEBENTURE C	0.00	102.71	0.00	102.71	90.0	92.44
07/21/2016	YANKOWITZ, HARRIETT	LORD ABBETT BOND DEBENTURE C	0.00	24.68	0.00	24.68	90.0	22.21
07/21/2016	TOBIAS, DAVID	LORD ABBETT BOND DEBENTURE C	0.00	18.26	0.00	18.26	90.0	16.43
08/22/2016	CHERRY, ADAM	LORD ABBETT BOND DEBENTURE C	0.00	106.35	0.00	106.35	90.0	95.72
08/22/2016	HUDSON TRUST OF 2000, ROBERT	LORD ABBETT BOND DEBENTURE C	0.00	108.95	0.00	108.95	90.0	98.06
08/22/2016	YANKOWITZ, HARRIETT	LORD ABBETT BOND DEBENTURE C	0.00	26.18	0.00	26.18	90.0	23.56
08/22/2016	TOBIAS, DAVID	LORD ABBETT BOND DEBENTURE C	0.00	19.29	0.00	19.29	90.0	17.36
09/21/2016	CHERRY, ADAM	LORD ABBETT BOND DEBENTURE C	0.00	108.77	0.00	108.77	90.0	97.89
09/21/2016	HUDSON TRUST OF 2000, ROBERT	LORD ABBETT BOND DEBENTURE C	0.00	111.43	0.00	111.43	90.0	100.29
09/21/2016	YANKOWITZ, HARRIETT	LORD ABBETT BOND DEBENTURE C	0.00	26.78	0.00	26.78	90.0	24.10
09/21/2016	TOBIAS, DAVID	LORD ABBETT BOND DEBENTURE C	0.00	19.54	0.00	19.54	90.0	17.59
10/20/2016	CHERRY, ADAM	LORD ABBETT BOND DEBENTURE C	0.00	105.58	0.00	105.58	90.0	95.02
10/20/2016	HUDSON TRUST OF 2000, ROBERT	LORD ABBETT BOND DEBENTURE C	0.00	108.16	0.00	108.16	90.0	97.34

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
10/20/2016	YANKOWITZ, HARRIETT	LORD ABBETT BOND DEBENTURE C	0.00	25.99	0.00	25.99	90.0	23.39
10/20/2016	TOBIAS, DAVID	LORD ABBETT BOND DEBENTURE C	0.00	18.91	0.00	18.91	90.0	17.02
11/21/2016	CHERRY, ADAM	LORD ABBETT BOND DEBENTURE C	0.00	109.81	0.00	109.81	90.0	98.83
11/21/2016	HUDSON TRUST OF 2000, ROBERT	LORD ABBETT BOND DEBENTURE C	0.00	112.50	0.00	112.50	90.0	101.25
11/21/2016	YANKOWITZ, HARRIETT	LORD ABBETT BOND DEBENTURE C	0.00	27.03	0.00	27.03	90.0	24.33
11/21/2016	TOBIAS, DAVID	LORD ABBETT BOND DEBENTURE C	0.00	19.60	0.00	19.60	90.0	17.64
12/21/2016	CHERRY, ADAM	LORD ABBETT BOND DEBENTURE C	0.00	105.30	0.00	105.30	90.0	94.77
12/21/2016	HUDSON TRUST OF 2000, ROBERT	LORD ABBETT BOND DEBENTURE C	0.00	107.88	0.00	107.88	90.0	97.09
12/21/2016	YANKOWITZ, HARRIETT	LORD ABBETT BOND DEBENTURE C	0.00	25.92	0.00	25.92	90.0	23.33
12/21/2016	TOBIAS, DAVID	LORD ABBETT BOND DEBENTURE C	0.00	18.74	0.00	18.74	90.0	16.87
02/22/2016	LINSKY, LISA	LORD ABBETT FUNDAMENTAL EQUITY A	0.00	0.68	0.00	0.68	90.0	0.61
02/22/2016	MEDIA ENTERPRISES	LORD ABBETT FUNDAMENTAL EQUITY A	0.00	4.06	0.00	4.06	90.0	3.65
02/22/2016	MEDIA ENTERPRISES	LORD ABBETT FUNDAMENTAL EQUITY A	0.00	3.15	0.00	3.15	90.0	2.84
02/22/2016	MEDIA ENTERPRISES	LORD ABBETT FUNDAMENTAL EQUITY A	0.00	3.29	0.00	3.29	90.0	2.96
03/22/2016	LINSKY, LISA	LORD ABBETT FUNDAMENTAL EQUITY A	0.00	0.63	0.00	0.63	90.0	0.57
03/22/2016	MEDIA ENTERPRISES	LORD ABBETT FUNDAMENTAL EQUITY A	0.00	3.74	0.00	3.74	90.0	3.37
03/22/2016	MEDIA ENTERPRISES	LORD ABBETT FUNDAMENTAL EQUITY A	0.00	2.91	0.00	2.91	90.0	2.62
03/22/2016	MEDIA ENTERPRISES	LORD ABBETT FUNDAMENTAL EQUITY A	0.00	3.03	0.00	3.03	90.0	2.73
04/21/2016	LINSKY, LISA	LORD ABBETT FUNDAMENTAL EQUITY A	0.00	0.72	0.00	0.72	90.0	0.65
04/21/2016	MEDIA ENTERPRISES	LORD ABBETT FUNDAMENTAL EQUITY A	0.00	4.26	0.00	4.26	90.0	3.83
04/21/2016	MEDIA ENTERPRISES	LORD ABBETT FUNDAMENTAL EQUITY A	0.00	3.30	0.00	3.30	90.0	2.97
04/21/2016	MEDIA ENTERPRISES	LORD ABBETT FUNDAMENTAL EQUITY A	0.00	3.44	0.00	3.44	90.0	3.10
05/23/2016	LINSKY, LISA	LORD ABBETT FUNDAMENTAL EQUITY A	0.00	0.71	0.00	0.71	90.0	0.64
05/23/2016	MEDIA ENTERPRISES	LORD ABBETT FUNDAMENTAL EQUITY A	0.00	4.24	0.00	4.24	90.0	3.82
05/23/2016	MEDIA ENTERPRISES	LORD ABBETT FUNDAMENTAL EQUITY A	0.00	3.29	0.00	3.29	90.0	2.96
05/23/2016	MEDIA ENTERPRISES	LORD ABBETT FUNDAMENTAL EQUITY A	0.00	3.43	0.00	3.43	90.0	3.09
06/21/2016	LINSKY, LISA	LORD ABBETT FUNDAMENTAL EQUITY A	0.00	0.74	0.00	0.74	90.0	0.67
06/21/2016	MEDIA ENTERPRISES	LORD ABBETT FUNDAMENTAL EQUITY A	0.00	4.43	0.00	4.43	90.0	3.99
06/21/2016	MEDIA ENTERPRISES	LORD ABBETT FUNDAMENTAL EQUITY A	0.00	3.44	0.00	3.44	90.0	3.10
06/21/2016	MEDIA ENTERPRISES	LORD ABBETT FUNDAMENTAL EQUITY A	0.00	3.58	0.00	3.58	90.0	3.22
07/21/2016	LINSKY, LISA	LORD ABBETT FUNDAMENTAL EQUITY A	0.00	0.73	0.00	0.73	90.0	0.66
07/21/2016	MEDIA ENTERPRISES	LORD ABBETT FUNDAMENTAL EQUITY A	0.00	4.34	0.00	4.34	90.0	3.91
07/21/2016	MEDIA ENTERPRISES	LORD ABBETT FUNDAMENTAL EQUITY A	0.00	3.36	0.00	3.36	90.0	3.02

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
07/21/2016	MEDIA ENTERPRISES	LORD ABBETT FUNDAMENTAL EQUITY A	0.00	3.51	0.00	3.51	90.0	3.16
08/22/2016	LINSKY, LISA	LORD ABBETT FUNDAMENTAL EQUITY A	0.00	0.77	0.00	0.77	90.0	0.69
08/22/2016	MEDIA ENTERPRISES	LORD ABBETT FUNDAMENTAL EQUITY A	0.00	4.59	0.00	4.59	90.0	4.13
08/22/2016	MEDIA ENTERPRISES	LORD ABBETT FUNDAMENTAL EQUITY A	0.00	3.56	0.00	3.56	90.0	3.20
08/22/2016	MEDIA ENTERPRISES	LORD ABBETT FUNDAMENTAL EQUITY A	0.00	3.23	0.00	3.23	90.0	2.91
09/21/2016	LINSKY, LISA	LORD ABBETT FUNDAMENTAL EQUITY A	0.00	0.78	0.00	0.78	90.0	0.70
09/21/2016	MEDIA ENTERPRISES	LORD ABBETT FUNDAMENTAL EQUITY A	0.00	4.66	0.00	4.66	90.0	4.19
09/21/2016	MEDIA ENTERPRISES	LORD ABBETT FUNDAMENTAL EQUITY A	0.00	3.61	0.00	3.61	90.0	3.25
10/20/2016	LINSKY, LISA	LORD ABBETT FUNDAMENTAL EQUITY A	0.00	0.75	0.00	0.75	90.0	0.68
10/20/2016	MEDIA ENTERPRISES	LORD ABBETT FUNDAMENTAL EQUITY A	0.00	4.48	0.00	4.48	90.0	4.03
10/20/2016	MEDIA ENTERPRISES	LORD ABBETT FUNDAMENTAL EQUITY A	0.00	3.48	0.00	3.48	90.0	3.13
11/21/2016	LINSKY, LISA	LORD ABBETT FUNDAMENTAL EQUITY A	0.00	0.78	0.00	0.78	90.0	0.70
11/21/2016	MEDIA ENTERPRISES	LORD ABBETT FUNDAMENTAL EQUITY A	0.00	4.64	0.00	4.64	90.0	4.18
11/21/2016	MEDIA ENTERPRISES	LORD ABBETT FUNDAMENTAL EQUITY A	0.00	3.60	0.00	3.60	90.0	3.24
12/21/2016	LINSKY, LISA	LORD ABBETT FUNDAMENTAL EQUITY A	0.00	0.77	0.00	0.77	90.0	0.69
12/21/2016	MEDIA ENTERPRISES	LORD ABBETT FUNDAMENTAL EQUITY A	0.00	4.60	0.00	4.60	90.0	4.14
12/21/2016	MEDIA ENTERPRISES	LORD ABBETT FUNDAMENTAL EQUITY A	0.00	3.57	0.00	3.57	90.0	3.21
02/22/2016	MILGRAM, EVE	LORD ABBETT FUNDAMENTAL EQUITY CL C	0.00	7.33	0.00	7.33	90.0	6.60
02/22/2016	TAROFF, DANIELLE	LORD ABBETT FUNDAMENTAL EQUITY CL C	0.00	8.23	0.00	8.23	90.0	7.41
02/22/2016	TAROFF, DANIELLE	LORD ABBETT FUNDAMENTAL EQUITY CL C	0.00	4.47	0.00	4.47	90.0	4.02
02/22/2016	OLIVETI, NICOLE	LORD ABBETT FUNDAMENTAL EQUITY CL C	0.00	4.67	0.00	4.67	90.0	4.20
02/22/2016	YANKOWITZ, HARRIETT	LORD ABBETT FUNDAMENTAL EQUITY CL C	0.00	12.25	0.00	12.25	90.0	11.03
03/22/2016	MILGRAM, EVE	LORD ABBETT FUNDAMENTAL EQUITY CL C	0.00	6.75	0.00	6.75	90.0	6.08
03/22/2016	TAROFF, DANIELLE	LORD ABBETT FUNDAMENTAL EQUITY CL C	0.00	7.58	0.00	7.58	90.0	6.82
03/22/2016	TAROFF, DANIELLE	LORD ABBETT FUNDAMENTAL EQUITY CL C	0.00	4.12	0.00	4.12	90.0	3.71
03/22/2016	OLIVETI, NICOLE	LORD ABBETT FUNDAMENTAL EQUITY CL C	0.00	4.30	0.00	4.30	90.0	3.87
03/22/2016	YANKOWITZ, HARRIETT	LORD ABBETT FUNDAMENTAL EQUITY CL C	0.00	11.29	0.00	11.29	90.0	10.16
04/21/2016	MILGRAM, EVE	LORD ABBETT FUNDAMENTAL EQUITY CL C	0.00	7.67	0.00	7.67	90.0	6.90
04/21/2016	TAROFF, DANIELLE	LORD ABBETT FUNDAMENTAL EQUITY CL C	0.00	8.61	0.00	8.61	90.0	7.75
04/21/2016	TAROFF, DANIELLE	LORD ABBETT FUNDAMENTAL EQUITY CL C	0.00	4.68	0.00	4.68	90.0	4.21
04/21/2016	OLIVETI, NICOLE	LORD ABBETT FUNDAMENTAL EQUITY CL C	0.00	4.89	0.00	4.89	90.0	4.40
04/21/2016	YANKOWITZ, HARRIETT	LORD ABBETT FUNDAMENTAL EQUITY CL C	0.00	12.82	0.00	12.82	90.0	11.54
05/23/2016	MILGRAM, EVE	LORD ABBETT FUNDAMENTAL EQUITY CL C	0.00	7.64	0.00	7.64	90.0	6.88

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
05/23/2016	TAROFF, DANIELLE	LORD ABBETT FUNDAMENTAL EQUITY CL C	0.00	8.58	0.00	8.58	90.0	7.72
05/23/2016	TAROFF, DANIELLE	LORD ABBETT FUNDAMENTAL EQUITY CL C	0.00	4.66	0.00	4.66	90.0	4.19
05/23/2016	OLIVETI, NICOLE	LORD ABBETT FUNDAMENTAL EQUITY CL C	0.00	4.87	0.00	4.87	90.0	4.38
05/23/2016	YANKOWITZ, HARRIETT	LORD ABBETT FUNDAMENTAL EQUITY CL C	0.00	12.78	0.00	12.78	90.0	11.50
06/21/2016	MILGRAM, EVE	LORD ABBETT FUNDAMENTAL EQUITY CL C	0.00	7.97	0.00	7.97	90.0	7.17
06/21/2016	TAROFF, DANIELLE	LORD ABBETT FUNDAMENTAL EQUITY CL C	0.00	8.95	0.00	8.95	90.0	8.06
06/21/2016	TAROFF, DANIELLE	LORD ABBETT FUNDAMENTAL EQUITY CL C	0.00	4.87	0.00	4.87	90.0	4.38
06/21/2016	OLIVETI, NICOLE	LORD ABBETT FUNDAMENTAL EQUITY CL C	0.00	5.08	0.00	5.08	90.0	4.57
06/21/2016	YANKOWITZ, HARRIETT	LORD ABBETT FUNDAMENTAL EQUITY CL C	0.00	13.33	0.00	13.33	90.0	12.00
07/21/2016	MILGRAM, EVE	LORD ABBETT FUNDAMENTAL EQUITY CL C	0.00	7.80	0.00	7.80	90.0	7.02
07/21/2016	TAROFF, DANIELLE	LORD ABBETT FUNDAMENTAL EQUITY CL C	0.00	8.76	0.00	8.76	90.0	7.88
07/21/2016	TAROFF, DANIELLE	LORD ABBETT FUNDAMENTAL EQUITY CL C	0.00	4.76	0.00	4.76	90.0	4.28
07/21/2016	OLIVETI, NICOLE	LORD ABBETT FUNDAMENTAL EQUITY CL C	0.00	4.97	0.00	4.97	90.0	4.47
07/21/2016	YANKOWITZ, HARRIETT	LORD ABBETT FUNDAMENTAL EQUITY CL C	0.00	13.04	0.00	13.04	90.0	11.74
08/22/2016	MILGRAM, EVE	LORD ABBETT FUNDAMENTAL EQUITY CL C	0.00	8.26	0.00	8.26	90.0	7.43
08/22/2016	TAROFF, DANIELLE	LORD ABBETT FUNDAMENTAL EQUITY CL C	0.00	9.27	0.00	9.27	90.0	8.34
08/22/2016	TAROFF, DANIELLE	LORD ABBETT FUNDAMENTAL EQUITY CL C	0.00	5.04	0.00	5.04	90.0	4.54
08/22/2016	OLIVETI, NICOLE	LORD ABBETT FUNDAMENTAL EQUITY CL C	0.00	5.26	0.00	5.26	90.0	4.73
08/22/2016	YANKOWITZ, HARRIETT	LORD ABBETT FUNDAMENTAL EQUITY CL C	0.00	13.81	0.00	13.81	90.0	12.43
09/21/2016	MILGRAM, EVE	LORD ABBETT FUNDAMENTAL EQUITY CL C	0.00	7.28	0.00	7.28	90.0	6.55
09/21/2016	TAROFF, DANIELLE	LORD ABBETT FUNDAMENTAL EQUITY CL C	0.00	9.39	0.00	9.39	90.0	8.45
09/21/2016	TAROFF, DANIELLE	LORD ABBETT FUNDAMENTAL EQUITY CL C	0.00	5.11	0.00	5.11	90.0	4.60
09/21/2016	OLIVETI, NICOLE	LORD ABBETT FUNDAMENTAL EQUITY CL C	0.00	5.33	0.00	5.33	90.0	4.80
09/21/2016	YANKOWITZ, HARRIETT	LORD ABBETT FUNDAMENTAL EQUITY CL C	0.00	13.98	0.00	13.98	90.0	12.58
09/21/2016	MILGRAM, MARC	LORD ABBETT FUNDAMENTAL EQUITY CL C	0.00	0.36	0.00	0.36	90.0	0.32
09/21/2016	LIBERTY, SUSAN	LORD ABBETT FUNDAMENTAL EQUITY CL C	0.00	0.09	0.00	0.09	90.0	0.08
09/21/2016	DIECKERT, DEBRA	LORD ABBETT FUNDAMENTAL EQUITY CL C	0.00	0.27	0.00	0.27	90.0	0.24
10/20/2016	MILGRAM, EVE	LORD ABBETT FUNDAMENTAL EQUITY CL C	0.00	0.01	0.00	0.01	90.0	0.01
10/20/2016	TAROFF, DANIELLE	LORD ABBETT FUNDAMENTAL EQUITY CL C	0.00	9.04	0.00	9.04	90.0	8.14
10/20/2016	TAROFF, DANIELLE	LORD ABBETT FUNDAMENTAL EQUITY CL C	0.00	4.91	0.00	4.91	90.0	4.42
10/20/2016	OLIVETI, NICOLE	LORD ABBETT FUNDAMENTAL EQUITY CL C	0.00	5.13	0.00	5.13	90.0	4.62
10/20/2016	YANKOWITZ, HARRIETT	LORD ABBETT FUNDAMENTAL EQUITY CL C	0.00	13.46	0.00	13.46	90.0	12.11
10/20/2016	DIECKERT, DEBRA	LORD ABBETT FUNDAMENTAL EQUITY CL C	0.00	2.68	0.00	2.68	90.0	2.41

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
11/21/2016	MILGRAM, EVE	LORD ABBETT FUNDAMENTAL EQUITY CL C	0.00	0.01	0.00	0.01	90.0	0.01
11/21/2016	TAROFF, DANIELLE	LORD ABBETT FUNDAMENTAL EQUITY CL C	0.00	9.35	0.00	9.35	90.0	8.42
11/21/2016	TAROFF, DANIELLE	LORD ABBETT FUNDAMENTAL EQUITY CL C	0.00	5.08	0.00	5.08	90.0	4.57
11/21/2016	OLIVETI, NICOLE	LORD ABBETT FUNDAMENTAL EQUITY CL C	0.00	5.30	0.00	5.30	90.0	4.77
11/21/2016	YANKOWITZ, HARRIETT	LORD ABBETT FUNDAMENTAL EQUITY CL C	0.00	13.92	0.00	13.92	90.0	12.53
11/21/2016	DIECKERT, DEBRA	LORD ABBETT FUNDAMENTAL EQUITY CL C	0.00	2.77	0.00	2.77	90.0	2.49
12/21/2016	MILGRAM, EVE	LORD ABBETT FUNDAMENTAL EQUITY CL C	0.00	0.01	0.00	0.01	90.0	0.01
12/21/2016	TAROFF, DANIELLE	LORD ABBETT FUNDAMENTAL EQUITY CL C	0.00	9.39	0.00	9.39	90.0	8.45
12/21/2016	TAROFF, DANIELLE	LORD ABBETT FUNDAMENTAL EQUITY CL C	0.00	5.10	0.00	5.10	90.0	4.59
12/21/2016	OLIVETI, NICOLE	LORD ABBETT FUNDAMENTAL EQUITY CL C	0.00	5.33	0.00	5.33	90.0	4.80
12/21/2016	YANKOWITZ, HARRIETT	LORD ABBETT FUNDAMENTAL EQUITY CL C	0.00	13.23	0.00	13.23	90.0	11.91
12/21/2016	DIECKERT, DEBRA	LORD ABBETT FUNDAMENTAL EQUITY CL C	0.00	2.78	0.00	2.78	90.0	2.50
02/22/2016	MEDIA ENTERPRISES	LORD ABBETT SHORT DURATION INCOME A	0.00	2.58	0.00	2.58	90.0	2.32
02/22/2016	MEDIA ENTERPRISES	LORD ABBETT SHORT DURATION INCOME A	0.00	1.78	0.00	1.78	90.0	1.60
03/22/2016	MEDIA ENTERPRISES	LORD ABBETT SHORT DURATION INCOME A	0.00	2.41	0.00	2.41	90.0	2.17
03/22/2016	MEDIA ENTERPRISES	LORD ABBETT SHORT DURATION INCOME A	0.00	1.66	0.00	1.66	90.0	1.49
04/21/2016	MEDIA ENTERPRISES	LORD ABBETT SHORT DURATION INCOME A	0.00	2.60	0.00	2.60	90.0	2.34
04/21/2016	MEDIA ENTERPRISES	LORD ABBETT SHORT DURATION INCOME A	0.00	1.79	0.00	1.79	90.0	1.61
05/23/2016	MEDIA ENTERPRISES	LORD ABBETT SHORT DURATION INCOME A	0.00	2.54	0.00	2.54	90.0	2.29
05/23/2016	MEDIA ENTERPRISES	LORD ABBETT SHORT DURATION INCOME A	0.00	1.75	0.00	1.75	90.0	1.58
06/21/2016	MEDIA ENTERPRISES	LORD ABBETT SHORT DURATION INCOME A	0.00	2.64	0.00	2.64	90.0	2.38
06/21/2016	MEDIA ENTERPRISES	LORD ABBETT SHORT DURATION INCOME A	0.00	1.82	0.00	1.82	90.0	1.64
07/21/2016	MEDIA ENTERPRISES	LORD ABBETT SHORT DURATION INCOME A	0.00	2.57	0.00	2.57	90.0	2.31
07/21/2016	MEDIA ENTERPRISES	LORD ABBETT SHORT DURATION INCOME A	0.00	1.77	0.00	1.77	90.0	1.59
08/22/2016	MEDIA ENTERPRISES	LORD ABBETT SHORT DURATION INCOME A	0.00	2.67	0.00	2.67	90.0	2.40
08/22/2016	MEDIA ENTERPRISES	LORD ABBETT SHORT DURATION INCOME A	0.00	1.84	0.00	1.84	90.0	1.66
09/21/2016	MEDIA ENTERPRISES	LORD ABBETT SHORT DURATION INCOME A	0.00	2.68	0.00	2.68	90.0	2.41
09/21/2016	MEDIA ENTERPRISES	LORD ABBETT SHORT DURATION INCOME A	0.00	1.84	0.00	1.84	90.0	1.66
10/20/2016	MEDIA ENTERPRISES	LORD ABBETT SHORT DURATION INCOME A	0.00	2.60	0.00	2.60	90.0	2.34
10/20/2016	MEDIA ENTERPRISES	LORD ABBETT SHORT DURATION INCOME A	0.00	1.79	0.00	1.79	90.0	1.61
11/21/2016	MEDIA ENTERPRISES	LORD ABBETT SHORT DURATION INCOME A	0.00	2.69	0.00	2.69	90.0	2.42
11/21/2016	MEDIA ENTERPRISES	LORD ABBETT SHORT DURATION INCOME A	0.00	1.85	0.00	1.85	90.0	1.67
12/21/2016	MEDIA ENTERPRISES	LORD ABBETT SHORT DURATION INCOME A	0.00	2.60	0.00	2.60	90.0	2.34

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
12/21/2016	MEDIA ENTERPRISES	LORD ABBETT SHORT DURATION INCOME A	0.00	1.79	0.00	1.79	90.0	1.61
02/22/2016	CAMPAGNA, MARIE	LORD ABBETT SHORT DURATION INCOME F	0.00	6.19	0.00	6.19	90.0	5.57
02/22/2016	CHERRY, ADAM	LORD ABBETT SHORT DURATION INCOME F	0.00	94.23	0.00	94.23	90.0	84.81
02/22/2016	BOWERS, DORA	LORD ABBETT SHORT DURATION INCOME F	0.00	1.44	0.00	1.44	90.0	1.30
02/22/2016	BOWERS, DORA	LORD ABBETT SHORT DURATION INCOME F	0.00	19.42	0.00	19.42	90.0	17.48
02/22/2016	BOWERS, DORA	LORD ABBETT SHORT DURATION INCOME F	0.00	1.62	0.00	1.62	90.0	1.46
02/22/2016	BOWERS, DORA	LORD ABBETT SHORT DURATION INCOME F	0.00	10.79	0.00	10.79	90.0	9.71
02/22/2016	KRAMER, LESLIE	LORD ABBETT SHORT DURATION INCOME F	0.00	11.52	0.00	11.52	90.0	10.37
02/22/2016	DADINO JR, LAWRENCE	LORD ABBETT SHORT DURATION INCOME F	0.00	7.25	0.00	7.25	90.0	6.53
02/22/2016	DADINO, CAROLE	LORD ABBETT SHORT DURATION INCOME F	0.00	9.20	0.00	9.20	90.0	8.28
02/22/2016	BOWERS, STEVEN	LORD ABBETT SHORT DURATION INCOME F	0.00	2.62	0.00	2.62	90.0	2.36
02/22/2016	BOWERS, STEVEN	LORD ABBETT SHORT DURATION INCOME F	0.00	2.01	0.00	2.01	90.0	1.81
02/22/2016	BROSIUS JR, ARTHUR	LORD ABBETT SHORT DURATION INCOME F	0.00	6.10	0.00	6.10	90.0	5.49
02/22/2016	HARDING, LORETTA	LORD ABBETT SHORT DURATION INCOME F	0.00	12.38	0.00	12.38	90.0	11.14
02/22/2016	MARINO, CHRISTINA	LORD ABBETT SHORT DURATION INCOME F	0.00	4.57	0.00	4.57	90.0	4.11
02/22/2016	TARANTINO, ANN	LORD ABBETT SHORT DURATION INCOME F	0.00	3.41	0.00	3.41	90.0	3.07
03/22/2016	CAMPAGNA, MARIE	LORD ABBETT SHORT DURATION INCOME F	0.00	5.77	0.00	5.77	90.0	5.19
03/22/2016	CHERRY, ADAM	LORD ABBETT SHORT DURATION INCOME F	0.00	87.92	0.00	87.92	90.0	79.13
03/22/2016	BOWERS, DORA	LORD ABBETT SHORT DURATION INCOME F	0.00	1.34	0.00	1.34	90.0	1.21
03/22/2016	BOWERS, DORA	LORD ABBETT SHORT DURATION INCOME F	0.00	18.12	0.00	18.12	90.0	16.31
03/22/2016	BOWERS, DORA	LORD ABBETT SHORT DURATION INCOME F	0.00	1.52	0.00	1.52	90.0	1.37
03/22/2016	BOWERS, DORA	LORD ABBETT SHORT DURATION INCOME F	0.00	10.07	0.00	10.07	90.0	9.06
03/22/2016	KRAMER, LESLIE	LORD ABBETT SHORT DURATION INCOME F	0.00	10.75	0.00	10.75	90.0	9.68
03/22/2016	DADINO JR, LAWRENCE	LORD ABBETT SHORT DURATION INCOME F	0.00	6.25	0.00	6.25	90.0	5.63
03/22/2016	DADINO, CAROLE	LORD ABBETT SHORT DURATION INCOME F	0.00	8.53	0.00	8.53	90.0	7.68
03/22/2016	BOWERS, STEVEN	LORD ABBETT SHORT DURATION INCOME F	0.00	2.45	0.00	2.45	90.0	2.21
03/22/2016	BOWERS, STEVEN	LORD ABBETT SHORT DURATION INCOME F	0.00	1.87	0.00	1.87	90.0	1.68
03/22/2016	BROSIUS JR, ARTHUR	LORD ABBETT SHORT DURATION INCOME F	0.00	5.70	0.00	5.70	90.0	5.13
03/22/2016	HARDING, LORETTA	LORD ABBETT SHORT DURATION INCOME F	0.00	11.55	0.00	11.55	90.0	10.40
03/22/2016	MARINO, CHRISTINA	LORD ABBETT SHORT DURATION INCOME F	0.00	4.27	0.00	4.27	90.0	3.84
03/22/2016	TARANTINO, ANN	LORD ABBETT SHORT DURATION INCOME F	0.00	3.18	0.00	3.18	90.0	2.86
04/21/2016	CAMPAGNA, MARIE	LORD ABBETT SHORT DURATION INCOME F	0.00	6.22	0.00	6.22	90.0	5.60
04/21/2016	CHERRY, ADAM	LORD ABBETT SHORT DURATION INCOME F	0.00	94.75	0.00	94.75	90.0	85.28

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
04/21/2016	BOWERS, DORA	LORD ABBETT SHORT DURATION INCOME F	0.00	1.44	0.00	1.44	90.0	1.30
04/21/2016	BOWERS, DORA	LORD ABBETT SHORT DURATION INCOME F	0.00	19.53	0.00	19.53	90.0	17.58
04/21/2016	BOWERS, DORA	LORD ABBETT SHORT DURATION INCOME F	0.00	1.63	0.00	1.63	90.0	1.47
04/21/2016	KRAMER, LESLIE	LORD ABBETT SHORT DURATION INCOME F	0.00	11.59	0.00	11.59	90.0	10.43
04/21/2016	DADINO JR, LAWRENCE	LORD ABBETT SHORT DURATION INCOME F	0.00	6.39	0.00	6.39	90.0	5.75
04/21/2016	DADINO, CAROLE	LORD ABBETT SHORT DURATION INCOME F	0.00	8.75	0.00	8.75	90.0	7.88
04/21/2016	BOWERS, STEVEN	LORD ABBETT SHORT DURATION INCOME F	0.00	2.64	0.00	2.64	90.0	2.38
04/21/2016	BOWERS, STEVEN	LORD ABBETT SHORT DURATION INCOME F	0.00	2.02	0.00	2.02	90.0	1.82
04/21/2016	BROSIUS JR, ARTHUR	LORD ABBETT SHORT DURATION INCOME F	0.00	6.14	0.00	6.14	90.0	5.53
04/21/2016	HARDING, LORETTA	LORD ABBETT SHORT DURATION INCOME F	0.00	12.45	0.00	12.45	90.0	11.21
04/21/2016	MARINO, CHRISTINA	LORD ABBETT SHORT DURATION INCOME F	0.00	4.60	0.00	4.60	90.0	4.14
04/21/2016	TARANTINO, ANN	LORD ABBETT SHORT DURATION INCOME F	0.00	3.43	0.00	3.43	90.0	3.09
05/23/2016	CAMPAGNA, MARIE	LORD ABBETT SHORT DURATION INCOME F	0.00	6.08	0.00	6.08	90.0	5.47
05/23/2016	CHERRY, ADAM	LORD ABBETT SHORT DURATION INCOME F	0.00	92.53	0.00	92.53	90.0	83.28
05/23/2016	BOWERS, DORA	LORD ABBETT SHORT DURATION INCOME F	0.00	1.41	0.00	1.41	90.0	1.27
05/23/2016	BOWERS, DORA	LORD ABBETT SHORT DURATION INCOME F	0.00	19.07	0.00	19.07	90.0	17.16
05/23/2016	BOWERS, DORA	LORD ABBETT SHORT DURATION INCOME F	0.00	1.60	0.00	1.60	90.0	1.44
05/23/2016	KRAMER, LESLIE	LORD ABBETT SHORT DURATION INCOME F	0.00	11.32	0.00	11.32	90.0	10.19
05/23/2016	DADINO JR, LAWRENCE	LORD ABBETT SHORT DURATION INCOME F	0.00	6.25	0.00	6.25	90.0	5.63
05/23/2016	DADINO, CAROLE	LORD ABBETT SHORT DURATION INCOME F	0.00	8.23	0.00	8.23	90.0	7.41
05/23/2016	BOWERS, STEVEN	LORD ABBETT SHORT DURATION INCOME F	0.00	2.58	0.00	2.58	90.0	2.32
05/23/2016	BOWERS, STEVEN	LORD ABBETT SHORT DURATION INCOME F	0.00	1.97	0.00	1.97	90.0	1.77
05/23/2016	BROSIUS JR, ARTHUR	LORD ABBETT SHORT DURATION INCOME F	0.00	5.99	0.00	5.99	90.0	5.39
05/23/2016	HARDING, LORETTA	LORD ABBETT SHORT DURATION INCOME F	0.00	12.16	0.00	12.16	90.0	10.94
05/23/2016	MARINO, CHRISTINA	LORD ABBETT SHORT DURATION INCOME F	0.00	4.49	0.00	4.49	90.0	4.04
05/23/2016	TARANTINO, ANN	LORD ABBETT SHORT DURATION INCOME F	0.00	1.64	0.00	1.64	90.0	1.48
06/21/2016	CAMPAGNA, MARIE	LORD ABBETT SHORT DURATION INCOME F	0.00	6.31	0.00	6.31	90.0	5.68
06/21/2016	CHERRY, ADAM	LORD ABBETT SHORT DURATION INCOME F	0.00	96.03	0.00	96.03	90.0	86.43
06/21/2016	BOWERS, DORA	LORD ABBETT SHORT DURATION INCOME F	0.00	1.46	0.00	1.46	90.0	1.31
06/21/2016	BOWERS, DORA	LORD ABBETT SHORT DURATION INCOME F	0.00	19.79	0.00	19.79	90.0	17.81
06/21/2016	BOWERS, DORA	LORD ABBETT SHORT DURATION INCOME F	0.00	1.66	0.00	1.66	90.0	1.49
06/21/2016	KRAMER, LESLIE	LORD ABBETT SHORT DURATION INCOME F	0.00	11.75	0.00	11.75	90.0	10.58
06/21/2016	DADINO JR, LAWRENCE	LORD ABBETT SHORT DURATION INCOME F	0.00	6.18	0.00	6.18	90.0	5.56

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
06/21/2016	DADINO, CAROLE	LORD ABBETT SHORT DURATION INCOME F	0.00	8.55	0.00	8.55	90.0	7.70
06/21/2016	BOWERS, STEVEN	LORD ABBETT SHORT DURATION INCOME F	0.00	2.67	0.00	2.67	90.0	2.40
06/21/2016	BOWERS, STEVEN	LORD ABBETT SHORT DURATION INCOME F	0.00	2.04	0.00	2.04	90.0	1.84
06/21/2016	BROSIUS JR, ARTHUR	LORD ABBETT SHORT DURATION INCOME F	0.00	6.22	0.00	6.22	90.0	5.60
06/21/2016	HARDING, LORETTA	LORD ABBETT SHORT DURATION INCOME F	0.00	12.62	0.00	12.62	90.0	11.36
06/21/2016	MARINO, CHRISTINA	LORD ABBETT SHORT DURATION INCOME F	0.00	4.66	0.00	4.66	90.0	4.19
07/21/2016	CAMPAGNA, MARIE	LORD ABBETT SHORT DURATION INCOME F	0.00	6.13	0.00	6.13	90.0	5.52
07/21/2016	CHERRY, ADAM	LORD ABBETT SHORT DURATION INCOME F	0.00	93.31	0.00	93.31	90.0	83.98
07/21/2016	BOWERS, DORA	LORD ABBETT SHORT DURATION INCOME F	0.00	1.42	0.00	1.42	90.0	1.28
07/21/2016	BOWERS, DORA	LORD ABBETT SHORT DURATION INCOME F	0.00	19.23	0.00	19.23	90.0	17.31
07/21/2016	BOWERS, DORA	LORD ABBETT SHORT DURATION INCOME F	0.00	1.61	0.00	1.61	90.0	1.45
07/21/2016	KRAMER, LESLIE	LORD ABBETT SHORT DURATION INCOME F	0.00	11.42	0.00	11.42	90.0	10.28
07/21/2016	DADINO JR, LAWRENCE	LORD ABBETT SHORT DURATION INCOME F	0.00	5.32	0.00	5.32	90.0	4.79
07/21/2016	DADINO, CAROLE	LORD ABBETT SHORT DURATION INCOME F	0.00	8.31	0.00	8.31	90.0	7.48
07/21/2016	BOWERS, STEVEN	LORD ABBETT SHORT DURATION INCOME F	0.00	2.60	0.00	2.60	90.0	2.34
07/21/2016	BOWERS, STEVEN	LORD ABBETT SHORT DURATION INCOME F	0.00	1.99	0.00	1.99	90.0	1.79
07/21/2016	BROSIUS JR, ARTHUR	LORD ABBETT SHORT DURATION INCOME F	0.00	6.04	0.00	6.04	90.0	5.44
07/21/2016	HARDING, LORETTA	LORD ABBETT SHORT DURATION INCOME F	0.00	12.26	0.00	12.26	90.0	11.03
07/21/2016	MARINO, CHRISTINA	LORD ABBETT SHORT DURATION INCOME F	0.00	4.53	0.00	4.53	90.0	4.08
08/22/2016	CAMPAGNA, MARIE	LORD ABBETT SHORT DURATION INCOME F	0.00	6.36	0.00	6.36	90.0	5.72
08/22/2016	CHERRY, ADAM	LORD ABBETT SHORT DURATION INCOME F	0.00	96.92	0.00	96.92	90.0	87.23
08/22/2016	BOWERS, DORA	LORD ABBETT SHORT DURATION INCOME F	0.00	1.48	0.00	1.48	90.0	1.33
08/22/2016	BOWERS, DORA	LORD ABBETT SHORT DURATION INCOME F	0.00	19.97	0.00	19.97	90.0	17.97
08/22/2016	BOWERS, DORA	LORD ABBETT SHORT DURATION INCOME F	0.00	1.67	0.00	1.67	90.0	1.50
08/22/2016	KRAMER, LESLIE	LORD ABBETT SHORT DURATION INCOME F	0.00	11.86	0.00	11.86	90.0	10.67
08/22/2016	DADINO JR, LAWRENCE	LORD ABBETT SHORT DURATION INCOME F	0.00	5.12	0.00	5.12	90.0	4.61
08/22/2016	DADINO, CAROLE	LORD ABBETT SHORT DURATION INCOME F	0.00	8.42	0.00	8.42	90.0	7.58
08/22/2016	BOWERS, STEVEN	LORD ABBETT SHORT DURATION INCOME F	0.00	2.70	0.00	2.70	90.0	2.43
08/22/2016	BOWERS, STEVEN	LORD ABBETT SHORT DURATION INCOME F	0.00	2.06	0.00	2.06	90.0	1.85
08/22/2016	BROSIUS JR, ARTHUR	LORD ABBETT SHORT DURATION INCOME F	0.00	6.28	0.00	6.28	90.0	5.65
08/22/2016	HARDING, LORETTA	LORD ABBETT SHORT DURATION INCOME F	0.00	12.73	0.00	12.73	90.0	11.46
08/22/2016	MARINO, CHRISTINA	LORD ABBETT SHORT DURATION INCOME F	0.00	4.70	0.00	4.70	90.0	4.23
09/21/2016	BOWERS, DORA	LORD ABBETT SHORT DURATION INCOME F	0.00	1.48	0.00	1.48	90.0	1.33

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
09/21/2016	BOWERS, DORA	LORD ABBETT SHORT DURATION INCOME F	0.00	20.02	0.00	20.02	90.0	18.02
09/21/2016	BOWERS, DORA	LORD ABBETT SHORT DURATION INCOME F	0.00	1.68	0.00	1.68	90.0	1.51
09/21/2016	BOWERS, STEVEN	LORD ABBETT SHORT DURATION INCOME F	0.00	2.71	0.00	2.71	90.0	2.44
09/21/2016	CAMPAGNA, MARIE	LORD ABBETT SHORT DURATION INCOME F	0.00	6.38	0.00	6.38	90.0	5.74
09/21/2016	CHERRY, ADAM	LORD ABBETT SHORT DURATION INCOME F	0.00	97.15	0.00	97.15	90.0	87.44
09/21/2016	KRAMER, LESLIE	LORD ABBETT SHORT DURATION INCOME F	0.00	11.89	0.00	11.89	90.0	10.70
09/21/2016	DADINO JR, LAWRENCE	LORD ABBETT SHORT DURATION INCOME F	0.00	4.84	0.00	4.84	90.0	4.36
09/21/2016	DADINO, CAROLE	LORD ABBETT SHORT DURATION INCOME F	0.00	8.27	0.00	8.27	90.0	7.44
09/21/2016	BOWERS, STEVEN	LORD ABBETT SHORT DURATION INCOME F	0.00	2.07	0.00	2.07	90.0	1.86
09/21/2016	BROSIUS JR, ARTHUR	LORD ABBETT SHORT DURATION INCOME F	0.00	6.29	0.00	6.29	90.0	5.66
09/21/2016	HARDING, LORETTA	LORD ABBETT SHORT DURATION INCOME F	0.00	12.76	0.00	12.76	90.0	11.48
09/21/2016	MARINO, CHRISTINA	LORD ABBETT SHORT DURATION INCOME F	0.00	4.72	0.00	4.72	90.0	4.25
10/20/2016	BOWERS, DORA	LORD ABBETT SHORT DURATION INCOME F	0.00	1.43	0.00	1.43	90.0	1.29
10/20/2016	BOWERS, DORA	LORD ABBETT SHORT DURATION INCOME F	0.00	19.41	0.00	19.41	90.0	17.47
10/20/2016	BOWERS, DORA	LORD ABBETT SHORT DURATION INCOME F	0.00	1.62	0.00	1.62	90.0	1.46
10/20/2016	BOWERS, STEVEN	LORD ABBETT SHORT DURATION INCOME F	0.00	2.62	0.00	2.62	90.0	2.36
10/20/2016	BOWERS, STEVEN	LORD ABBETT SHORT DURATION INCOME F	0.00	2.00	0.00	2.00	90.0	1.80
10/20/2016	CAMPAGNA, MARIE	LORD ABBETT SHORT DURATION INCOME F	0.00	6.18	0.00	6.18	90.0	5.56
10/20/2016	CHERRY, ADAM	LORD ABBETT SHORT DURATION INCOME F	0.00	94.18	0.00	94.18	90.0	84.76
10/20/2016	KRAMER, LESLIE	LORD ABBETT SHORT DURATION INCOME F	0.00	11.49	0.00	11.49	90.0	10.34
10/20/2016	DADINO JR, LAWRENCE	LORD ABBETT SHORT DURATION INCOME F	0.00	4.46	0.00	4.46	90.0	4.01
10/20/2016	DADINO, CAROLE	LORD ABBETT SHORT DURATION INCOME F	0.00	7.92	0.00	7.92	90.0	7.13
10/20/2016	BROSIUS JR, ARTHUR	LORD ABBETT SHORT DURATION INCOME F	0.00	6.10	0.00	6.10	90.0	5.49
10/20/2016	HARDING, LORETTA	LORD ABBETT SHORT DURATION INCOME F	0.00	12.37	0.00	12.37	90.0	11.13
10/20/2016	MARINO, CHRISTINA	LORD ABBETT SHORT DURATION INCOME F	0.00	4.57	0.00	4.57	90.0	4.11
11/21/2016	BOWERS, DORA	LORD ABBETT SHORT DURATION INCOME F	0.00	1.49	0.00	1.49	90.0	1.34
11/21/2016	BOWERS, DORA	LORD ABBETT SHORT DURATION INCOME F	0.00	20.09	0.00	20.09	90.0	18.08
11/21/2016	BOWERS, DORA	LORD ABBETT SHORT DURATION INCOME F	0.00	1.68	0.00	1.68	90.0	1.51
11/21/2016	BOWERS, STEVEN	LORD ABBETT SHORT DURATION INCOME F	0.00	2.72	0.00	2.72	90.0	2.45
11/21/2016	BOWERS, STEVEN	LORD ABBETT SHORT DURATION INCOME F	0.00	2.08	0.00	2.08	90.0	1.87
11/21/2016	CAMPAGNA, MARIE	LORD ABBETT SHORT DURATION INCOME F	0.00	6.40	0.00	6.40	90.0	5.76
11/21/2016	CHERRY, ADAM	LORD ABBETT SHORT DURATION INCOME F	0.00	97.50	0.00	97.50	90.0	87.75
11/21/2016	KRAMER, LESLIE	LORD ABBETT SHORT DURATION INCOME F	0.00	11.78	0.00	11.78	90.0	10.60

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
11/21/2016	DADINO JR, LAWRENCE	LORD ABBETT SHORT DURATION INCOME F	0.00	2.39	0.00	2.39	90.0	2.15
11/21/2016	DADINO, CAROLE	LORD ABBETT SHORT DURATION INCOME F	0.00	7.91	0.00	7.91	90.0	7.12
11/21/2016	BROSIUS JR, ARTHUR	LORD ABBETT SHORT DURATION INCOME F	0.00	6.32	0.00	6.32	90.0	5.69
11/21/2016	HARDING, LORETTA	LORD ABBETT SHORT DURATION INCOME F	0.00	12.81	0.00	12.81	90.0	11.53
11/21/2016	MARINO, CHRISTINA	LORD ABBETT SHORT DURATION INCOME F	0.00	4.73	0.00	4.73	90.0	4.26
12/21/2016	BOWERS, DORA	LORD ABBETT SHORT DURATION INCOME F	0.00	1.43	0.00	1.43	90.0	1.29
12/21/2016	BOWERS, DORA	LORD ABBETT SHORT DURATION INCOME F	0.00	19.40	0.00	19.40	90.0	17.46
12/21/2016	BOWERS, DORA	LORD ABBETT SHORT DURATION INCOME F	0.00	1.62	0.00	1.62	90.0	1.46
12/21/2016	BOWERS, STEVEN	LORD ABBETT SHORT DURATION INCOME F	0.00	2.62	0.00	2.62	90.0	2.36
12/21/2016	BOWERS, STEVEN	LORD ABBETT SHORT DURATION INCOME F	0.00	2.00	0.00	2.00	90.0	1.80
12/21/2016	CAMPAGNA, MARIE	LORD ABBETT SHORT DURATION INCOME F	0.00	6.18	0.00	6.18	90.0	5.56
12/21/2016	CHERRY, ADAM	LORD ABBETT SHORT DURATION INCOME F	0.00	94.12	0.00	94.12	90.0	84.71
12/21/2016	KRAMER, LESLIE	LORD ABBETT SHORT DURATION INCOME F	0.00	11.37	0.00	11.37	90.0	10.23
12/21/2016	DADINO, CAROLE	LORD ABBETT SHORT DURATION INCOME F	0.00	7.44	0.00	7.44	90.0	6.70
12/21/2016	BROSIUS JR, ARTHUR	LORD ABBETT SHORT DURATION INCOME F	0.00	6.10	0.00	6.10	90.0	5.49
12/21/2016	HARDING, LORETTA	LORD ABBETT SHORT DURATION INCOME F	0.00	12.37	0.00	12.37	90.0	11.13
12/21/2016	MARINO, CHRISTINA	LORD ABBETT SHORT DURATION INCOME F	0.00	4.57	0.00	4.57	90.0	4.11
02/25/2016	MURRY, YVONNE	MAINSTAY CUSHING MLP PREMIER FUND C	0.00	8.29	0.00	8.29	90.0	7.46
03/08/2016	MURRY, YVONNE	MAINSTAY CUSHING MLP PREMIER FUND C	0.00	7.00	0.00	7.00	90.0	6.30
04/22/2016	MURRY, YVONNE	MAINSTAY CUSHING MLP PREMIER FUND C	0.00	8.40	0.00	8.40	90.0	7.56
05/17/2016	MURRY, YVONNE	MAINSTAY CUSHING MLP PREMIER FUND C	0.00	8.84	0.00	8.84	90.0	7.96
06/15/2016	MURRY, YVONNE	MAINSTAY CUSHING MLP PREMIER FUND C	0.00	10.09	0.00	10.09	90.0	9.08
07/14/2016	MURRY, YVONNE	MAINSTAY CUSHING MLP PREMIER FUND C	0.00	10.26	0.00	10.26	90.0	9.23
08/18/2016	MURRY, YVONNE	MAINSTAY CUSHING MLP PREMIER FUND C	0.00	10.86	0.00	10.86	90.0	9.77
09/15/2016	MURRY, YVONNE	MAINSTAY CUSHING MLP PREMIER FUND C	0.00	10.93	0.00	10.93	90.0	9.84
10/21/2016	MURRY, YVONNE	MAINSTAY CUSHING MLP PREMIER FUND C	0.00	10.57	0.00	10.57	90.0	9.51
11/09/2016	MURRY, YVONNE	MAINSTAY CUSHING MLP PREMIER FUND C	0.00	10.98	0.00	10.98	90.0	9.88
12/16/2016	MURRY, YVONNE	MAINSTAY CUSHING MLP PREMIER FUND C	0.00	10.39	0.00	10.39	90.0	9.35
02/25/2016	FARBMAN, SANDRA	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	1.29	0.00	1.29	90.0	1.16
02/25/2016	FLEISCHMAN, RITA	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	2.30	0.00	2.30	90.0	2.07
03/08/2016	FARBMAN, SANDRA	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	1.14	0.00	1.14	90.0	1.03
03/08/2016	FLEISCHMAN, RITA	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	2.01	0.00	2.01	90.0	1.81
04/22/2016	FARBMAN, SANDRA	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	1.36	0.00	1.36	90.0	1.22

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
04/22/2016	FLEISCHMAN, RITA	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	2.39	0.00	2.39	90.0	2.15
05/17/2016	FARBMAN, SANDRA	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	1.43	0.00	1.43	90.0	1.29
05/17/2016	FLEISCHMAN, RITA	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	2.50	0.00	2.50	90.0	2.25
06/15/2016	FARBMAN, SANDRA	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	1.59	0.00	1.59	90.0	1.43
06/15/2016	FLEISCHMAN, RITA	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	2.74	0.00	2.74	90.0	2.47
07/14/2016	FARBMAN, SANDRA	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	1.60	0.00	1.60	90.0	1.44
07/14/2016	FLEISCHMAN, RITA	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	2.76	0.00	2.76	90.0	2.48
08/18/2016	FARBMAN, SANDRA	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	1.70	0.00	1.70	90.0	1.53
08/18/2016	FLEISCHMAN, RITA	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	2.91	0.00	2.91	90.0	2.62
09/15/2016	FARBMAN, SANDRA	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	1.73	0.00	1.73	90.0	1.56
09/15/2016	FLEISCHMAN, RITA	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	2.90	0.00	2.90	90.0	2.61
10/21/2016	FARBMAN, SANDRA	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	1.68	0.00	1.68	90.0	1.51
10/21/2016	FLEISCHMAN, RITA	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	2.81	0.00	2.81	90.0	2.53
11/09/2016	FARBMAN, SANDRA	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	1.80	0.00	1.80	90.0	1.62
11/09/2016	FLEISCHMAN, RITA	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	2.98	0.00	2.98	90.0	2.68
12/16/2016	FARBMAN, SANDRA	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	1.75	0.00	1.75	90.0	1.58
12/16/2016	FLEISCHMAN, RITA	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	2.84	0.00	2.84	90.0	2.56
02/25/2016	PAGLIA, DIANA	MAINSTAY FLOATING RATE FUND CLASS A	0.00	0.44	0.00	0.44	90.0	0.40
03/08/2016	PAGLIA, DIANA	MAINSTAY FLOATING RATE FUND CLASS A	0.00	0.41	0.00	0.41	90.0	0.37
04/22/2016	PAGLIA, DIANA	MAINSTAY FLOATING RATE FUND CLASS A	0.00	0.45	0.00	0.45	90.0	0.41
05/17/2016	PAGLIA, DIANA	MAINSTAY FLOATING RATE FUND CLASS A	0.00	0.44	0.00	0.44	90.0	0.40
06/15/2016	PAGLIA, DIANA	MAINSTAY FLOATING RATE FUND CLASS A	0.00	0.46	0.00	0.46	90.0	0.41
07/14/2016	PAGLIA, DIANA	MAINSTAY FLOATING RATE FUND CLASS A	0.00	0.45	0.00	0.45	90.0	0.41
08/18/2016	PAGLIA, DIANA	MAINSTAY FLOATING RATE FUND CLASS A	0.00	0.46	0.00	0.46	90.0	0.41
09/15/2016	PAGLIA, DIANA	MAINSTAY FLOATING RATE FUND CLASS A	0.00	0.47	0.00	0.47	90.0	0.42
10/21/2016	PAGLIA, DIANA	MAINSTAY FLOATING RATE FUND CLASS A	0.00	0.46	0.00	0.46	90.0	0.41
11/09/2016	PAGLIA, DIANA	MAINSTAY FLOATING RATE FUND CLASS A	0.00	0.47	0.00	0.47	90.0	0.42
12/16/2016	PAGLIA, DIANA	MAINSTAY FLOATING RATE FUND CLASS A	0.00	0.46	0.00	0.46	90.0	0.41
02/25/2016	PAGLIA, DIANA	MAINSTAY HIGH YIELD CORP BOND A	0.00	0.99	0.00	0.99	90.0	0.89
03/08/2016	PAGLIA, DIANA	MAINSTAY HIGH YIELD CORP BOND A	0.00	0.92	0.00	0.92	90.0	0.83
04/22/2016	PAGLIA, DIANA	MAINSTAY HIGH YIELD CORP BOND A	0.00	1.03	0.00	1.03	90.0	0.93
05/17/2016	PAGLIA, DIANA	MAINSTAY HIGH YIELD CORP BOND A	0.00	1.01	0.00	1.01	90.0	0.91
06/15/2016	PAGLIA, DIANA	MAINSTAY HIGH YIELD CORP BOND A	0.00	1.07	0.00	1.07	90.0	0.96

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
07/14/2016	PAGLIA, DIANA	MAINSTAY HIGH YIELD CORP BOND A	0.00	1.05	0.00	1.05	90.0	0.95
08/18/2016	PAGLIA, DIANA	MAINSTAY HIGH YIELD CORP BOND A	0.00	1.11	0.00	1.11	90.0	1.00
09/15/2016	PAGLIA, DIANA	MAINSTAY HIGH YIELD CORP BOND A	0.00	1.13	0.00	1.13	90.0	1.02
10/21/2016	PAGLIA, DIANA	MAINSTAY HIGH YIELD CORP BOND A	0.00	1.10	0.00	1.10	90.0	0.99
11/09/2016	PAGLIA, DIANA	MAINSTAY HIGH YIELD CORP BOND A	0.00	1.15	0.00	1.15	90.0	1.04
12/16/2016	PAGLIA, DIANA	MAINSTAY HIGH YIELD CORP BOND A	0.00	1.11	0.00	1.11	90.0	1.00
02/25/2016	PAGLIA, DIANA	MAINSTAY LARGE CAP GROWTH FUND A	0.00	0.55	0.00	0.55	90.0	0.50
03/08/2016	PAGLIA, DIANA	MAINSTAY LARGE CAP GROWTH FUND A	0.00	0.48	0.00	0.48	90.0	0.43
04/22/2016	PAGLIA, DIANA	MAINSTAY LARGE CAP GROWTH FUND A	0.00	0.55	0.00	0.55	90.0	0.50
05/17/2016	PAGLIA, DIANA	MAINSTAY LARGE CAP GROWTH FUND A	0.00	0.55	0.00	0.55	90.0	0.50
06/15/2016	PAGLIA, DIANA	MAINSTAY LARGE CAP GROWTH FUND A	0.00	0.56	0.00	0.56	90.0	0.50
07/14/2016	PAGLIA, DIANA	MAINSTAY LARGE CAP GROWTH FUND A	0.00	0.55	0.00	0.55	90.0	0.50
08/18/2016	PAGLIA, DIANA	MAINSTAY LARGE CAP GROWTH FUND A	0.00	0.58	0.00	0.58	90.0	0.52
09/15/2016	PAGLIA, DIANA	MAINSTAY LARGE CAP GROWTH FUND A	0.00	0.60	0.00	0.60	90.0	0.54
10/21/2016	PAGLIA, DIANA	MAINSTAY LARGE CAP GROWTH FUND A	0.00	0.57	0.00	0.57	90.0	0.51
11/09/2016	PAGLIA, DIANA	MAINSTAY LARGE CAP GROWTH FUND A	0.00	0.59	0.00	0.59	90.0	0.53
12/16/2016	PAGLIA, DIANA	MAINSTAY LARGE CAP GROWTH FUND A	0.00	0.56	0.00	0.56	90.0	0.50
02/08/2016	KROSNOWSKI, THOMAS	MFS CORE EQUITY C	0.00	4.79	0.00	4.79	90.0	4.31
03/14/2016	KROSNOWSKI, THOMAS	MFS CORE EQUITY C	0.00	4.39	0.00	4.39	90.0	3.95
04/15/2016	KROSNOWSKI, THOMAS	MFS CORE EQUITY C	0.00	5.00	0.00	5.00	90.0	4.50
05/17/2016	KROSNOWSKI, THOMAS	MFS CORE EQUITY C	0.00	4.97	0.00	4.97	90.0	4.47
06/16/2016	KROSNOWSKI, THOMAS	MFS CORE EQUITY C	0.00	5.12	0.00	5.12	90.0	4.61
07/20/2016	KROSNOWSKI, THOMAS	MFS CORE EQUITY C	0.00	5.03	0.00	5.03	90.0	4.53
08/16/2016	KROSNOWSKI, THOMAS	MFS CORE EQUITY C	0.00	5.36	0.00	5.36	90.0	4.82
09/15/2016	KROSNOWSKI, THOMAS	MFS CORE EQUITY C	0.00	5.46	0.00	5.46	90.0	4.91
10/20/2016	KROSNOWSKI, THOMAS	MFS CORE EQUITY C	0.00	5.24	0.00	5.24	90.0	4.72
11/14/2016	KROSNOWSKI, THOMAS	MFS CORE EQUITY C	0.00	5.38	0.00	5.38	90.0	4.84
12/19/2016	KROSNOWSKI, THOMAS	MFS CORE EQUITY C	0.00	5.26	0.00	5.26	90.0	4.73
02/08/2016	KROSNOWSKI, THOMAS	MFS EMERGINF MARKETS EQUITY FUND C	0.00	10.67	0.00	10.67	90.0	9.60
03/14/2016	KROSNOWSKI, THOMAS	MFS EMERGINF MARKETS EQUITY FUND C	0.00	9.85	0.00	9.85	90.0	8.87
04/15/2016	KROSNOWSKI, THOMAS	MFS EMERGINF MARKETS EQUITY FUND C	0.00	11.42	0.00	11.42	90.0	10.28
05/17/2016	KROSNOWSKI, THOMAS	MFS EMERGINF MARKETS EQUITY FUND C	0.00	11.43	0.00	11.43	90.0	10.29
06/16/2016	KROSNOWSKI, THOMAS	MFS EMERGINF MARKETS EQUITY FUND C	0.00	11.58	0.00	11.58	90.0	10.42

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
07/20/2016	KROSNOWSKI, THOMAS	MFS EMERGINF MARKETS EQUITY FUND C	0.00	11.44	0.00	11.44	90.0	10.30
08/16/2016	KROSNOWSKI, THOMAS	MFS EMERGINF MARKETS EQUITY FUND C	0.00	12.30	0.00	12.30	90.0	11.07
09/15/2016	KROSNOWSKI, THOMAS	MFS EMERGINF MARKETS EQUITY FUND C	0.00	12.78	0.00	12.78	90.0	11.50
10/20/2016	KROSNOWSKI, THOMAS	MFS EMERGINF MARKETS EQUITY FUND C	0.00	12.52	0.00	12.52	90.0	11.27
11/14/2016	KROSNOWSKI, THOMAS	MFS EMERGINF MARKETS EQUITY FUND C	0.00	12.96	0.00	12.96	90.0	11.66
12/19/2016	KROSNOWSKI, THOMAS	MFS EMERGINF MARKETS EQUITY FUND C	0.00	12.06	0.00	12.06	90.0	10.85
02/08/2016	CAMPAGNA, MARIE	MFS EMERGING MKTS DEBT FUND C	0.00	7.39	0.00	7.39	90.0	6.65
03/14/2016	CAMPAGNA, MARIE	MFS EMERGING MKTS DEBT FUND C	0.00	6.92	0.00	6.92	90.0	6.23
04/15/2016	CAMPAGNA, MARIE	MFS EMERGING MKTS DEBT FUND C	0.00	7.62	0.00	7.62	90.0	6.86
05/17/2016	CAMPAGNA, MARIE	MFS EMERGING MKTS DEBT FUND C	0.00	7.51	0.00	7.51	90.0	6.76
06/16/2016	CAMPAGNA, MARIE	MFS EMERGING MKTS DEBT FUND C	0.00	7.80	0.00	7.80	90.0	7.02
07/20/2016	CAMPAGNA, MARIE	MFS EMERGING MKTS DEBT FUND C	0.00	7.62	0.00	7.62	90.0	6.86
08/16/2016	CAMPAGNA, MARIE	MFS EMERGING MKTS DEBT FUND C	0.00	8.09	0.00	8.09	90.0	7.28
09/15/2016	CAMPAGNA, MARIE	MFS EMERGING MKTS DEBT FUND C	0.00	8.18	0.00	8.18	90.0	7.36
10/20/2016	CAMPAGNA, MARIE	MFS EMERGING MKTS DEBT FUND C	0.00	7.91	0.00	7.91	90.0	7.12
11/14/2016	CAMPAGNA, MARIE	MFS EMERGING MKTS DEBT FUND C	0.00	8.14	0.00	8.14	90.0	7.33
12/19/2016	CAMPAGNA, MARIE	MFS EMERGING MKTS DEBT FUND C	0.00	7.60	0.00	7.60	90.0	6.84
02/08/2016	SPECTER TRUST, STEPHANIE	MFS GROWTH C	0.00	11.78	0.00	11.78	90.0	10.60
03/14/2016	SPECTER TRUST, STEPHANIE	MFS GROWTH C	0.00	10.67	0.00	10.67	90.0	9.60
04/15/2016	SPECTER TRUST, STEPHANIE	MFS GROWTH C	0.00	12.00	0.00	12.00	90.0	10.80
05/17/2016	SPECTER TRUST, STEPHANIE	MFS GROWTH C	0.00	11.93	0.00	11.93	90.0	10.74
06/16/2016	SPECTER TRUST, STEPHANIE	MFS GROWTH C	0.00	12.33	0.00	12.33	90.0	11.10
07/20/2016	SPECTER TRUST, STEPHANIE	MFS GROWTH C	0.00	12.01	0.00	12.01	90.0	10.81
08/16/2016	SPECTER TRUST, STEPHANIE	MFS GROWTH C	0.00	12.79	0.00	12.79	90.0	11.51
09/15/2016	SPECTER TRUST, STEPHANIE	MFS GROWTH C	0.00	13.03	0.00	13.03	90.0	11.73
10/20/2016	SPECTER TRUST, STEPHANIE	MFS GROWTH C	0.00	12.42	0.00	12.42	90.0	11.18
11/14/2016	SPECTER TRUST, STEPHANIE	MFS GROWTH C	0.00	12.80	0.00	12.80	90.0	11.52
12/19/2016	SPECTER TRUST, STEPHANIE	MFS GROWTH C	0.00	12.22	0.00	12.22	90.0	11.00
02/08/2016	KROSNOWSKI, THOMAS	MFS INTERNATIONAL VALUE FUND C	0.00	12.03	0.00	12.03	90.0	10.83
03/14/2016	KROSNOWSKI, THOMAS	MFS INTERNATIONAL VALUE FUND C	0.00	11.29	0.00	11.29	90.0	10.16
04/15/2016	KROSNOWSKI, THOMAS	MFS INTERNATIONAL VALUE FUND C	0.00	12.71	0.00	12.71	90.0	11.44
05/17/2016	KROSNOWSKI, THOMAS	MFS INTERNATIONAL VALUE FUND C	0.00	12.61	0.00	12.61	90.0	11.35
06/16/2016	KROSNOWSKI, THOMAS	MFS INTERNATIONAL VALUE FUND C	0.00	13.00	0.00	13.00	90.0	11.70

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
07/20/2016	KROSNOWSKI, THOMAS	MFS INTERNATIONAL VALUE FUND C	0.00	12.62	0.00	12.62	90.0	11.36
08/16/2016	KROSNOWSKI, THOMAS	MFS INTERNATIONAL VALUE FUND C	0.00	13.38	0.00	13.38	90.0	12.04
09/15/2016	KROSNOWSKI, THOMAS	MFS INTERNATIONAL VALUE FUND C	0.00	13.77	0.00	13.77	90.0	12.39
10/20/2016	KROSNOWSKI, THOMAS	MFS INTERNATIONAL VALUE FUND C	0.00	13.32	0.00	13.32	90.0	11.99
11/14/2016	KROSNOWSKI, THOMAS	MFS INTERNATIONAL VALUE FUND C	0.00	13.53	0.00	13.53	90.0	12.18
12/19/2016	KROSNOWSKI, THOMAS	MFS INTERNATIONAL VALUE FUND C	0.00	12.51	0.00	12.51	90.0	11.26
02/08/2016	BOWERS, DORA	MFS INTERNATIONAL VALUE FUND CLASS	0.00	0.54	0.00	0.54	90.0	0.49
03/14/2016	BOWERS, DORA	MFS INTERNATIONAL VALUE FUND CLASS	0.00	0.50	0.00	0.50	90.0	0.45
04/15/2016	BOWERS, DORA	MFS INTERNATIONAL VALUE FUND CLASS	0.00	0.57	0.00	0.57	90.0	0.51
05/17/2016	BOWERS, DORA	MFS INTERNATIONAL VALUE FUND CLASS	0.00	0.56	0.00	0.56	90.0	0.50
06/16/2016	BOWERS, DORA	MFS INTERNATIONAL VALUE FUND CLASS	0.00	0.58	0.00	0.58	90.0	0.52
07/20/2016	BOWERS, DORA	MFS INTERNATIONAL VALUE FUND CLASS	0.00	0.57	0.00	0.57	90.0	0.51
08/16/2016	BOWERS, DORA	MFS INTERNATIONAL VALUE FUND CLASS	0.00	0.60	0.00	0.60	90.0	0.54
09/15/2016	BOWERS, DORA	MFS INTERNATIONAL VALUE FUND CLASS	0.00	0.62	0.00	0.62	90.0	0.56
10/20/2016	BOWERS, DORA	MFS INTERNATIONAL VALUE FUND CLASS	0.00	0.60	0.00	0.60	90.0	0.54
11/14/2016	BOWERS, DORA	MFS INTERNATIONAL VALUE FUND CLASS	0.00	0.61	0.00	0.61	90.0	0.55
12/19/2016	BOWERS, DORA	MFS INTERNATIONAL VALUE FUND CLASS	0.00	0.56	0.00	0.56	90.0	0.50
02/08/2016	SPECTER TRUST, BRADLEY	MFS MID-CAP VALUE FUND CLASS C	0.00	7.20	0.00	7.20	90.0	6.48
02/08/2016	SPECTER TRUST, STEPHANIE	MFS MID-CAP VALUE FUND CLASS C	0.00	17.23	0.00	17.23	90.0	15.51
03/14/2016	SPECTER TRUST, BRADLEY	MFS MID-CAP VALUE FUND CLASS C	0.00	6.66	0.00	6.66	90.0	5.99
03/14/2016	SPECTER TRUST, STEPHANIE	MFS MID-CAP VALUE FUND CLASS C	0.00	15.95	0.00	15.95	90.0	14.36
04/15/2016	SPECTER TRUST, BRADLEY	MFS MID-CAP VALUE FUND CLASS C	0.00	7.75	0.00	7.75	90.0	6.98
04/15/2016	SPECTER TRUST, STEPHANIE	MFS MID-CAP VALUE FUND CLASS C	0.00	18.54	0.00	18.54	90.0	16.69
05/17/2016	SPECTER TRUST, BRADLEY	MFS MID-CAP VALUE FUND CLASS C	0.00	7.75	0.00	7.75	90.0	6.98
05/17/2016	SPECTER TRUST, STEPHANIE	MFS MID-CAP VALUE FUND CLASS C	0.00	18.55	0.00	18.55	90.0	16.70
06/16/2016	SPECTER TRUST, BRADLEY	MFS MID-CAP VALUE FUND CLASS C	0.00	8.05	0.00	8.05	90.0	7.25
06/16/2016	SPECTER TRUST, STEPHANIE	MFS MID-CAP VALUE FUND CLASS C	0.00	19.26	0.00	19.26	90.0	17.33
07/20/2016	SPECTER TRUST, BRADLEY	MFS MID-CAP VALUE FUND CLASS C	0.00	7.84	0.00	7.84	90.0	7.06
07/20/2016	SPECTER TRUST, STEPHANIE	MFS MID-CAP VALUE FUND CLASS C	0.00	18.77	0.00	18.77	90.0	16.89
08/16/2016	SPECTER TRUST, BRADLEY	MFS MID-CAP VALUE FUND CLASS C	0.00	8.27	0.00	8.27	90.0	7.44
08/16/2016	SPECTER TRUST, STEPHANIE	MFS MID-CAP VALUE FUND CLASS C	0.00	19.80	0.00	19.80	90.0	17.82
09/15/2016	SPECTER TRUST, BRADLEY	MFS MID-CAP VALUE FUND CLASS C	0.00	8.41	0.00	8.41	90.0	7.57
09/15/2016	SPECTER TRUST, STEPHANIE	MFS MID-CAP VALUE FUND CLASS C	0.00	20.14	0.00	20.14	90.0	18.13

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>DIRECT TRANSACTIONS</u>								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS								
10/20/2016	SPECTER TRUST, BRADLEY	MFS MID-CAP VALUE FUND CLASS C	0.00	8.10	0.00	8.10	90.0	7.29
10/20/2016	SPECTER TRUST, STEPHANIE	MFS MID-CAP VALUE FUND CLASS C	0.00	19.39	0.00	19.39	90.0	17.45
11/14/2016	SPECTER TRUST, BRADLEY	MFS MID-CAP VALUE FUND CLASS C	0.00	8.31	0.00	8.31	90.0	7.48
11/14/2016	SPECTER TRUST, STEPHANIE	MFS MID-CAP VALUE FUND CLASS C	0.00	19.90	0.00	19.90	90.0	17.91
12/19/2016	SPECTER TRUST, BRADLEY	MFS MID-CAP VALUE FUND CLASS C	0.00	8.17	0.00	8.17	90.0	7.35
12/19/2016	SPECTER TRUST, STEPHANIE	MFS MID-CAP VALUE FUND CLASS C	0.00	19.55	0.00	19.55	90.0	17.60
02/08/2016	SPECTER TRUST, BRADLEY	MFS MIDCAP GROWTH C	0.00	6.23	0.00	6.23	90.0	5.61
02/08/2016	SPECTER TRUST, STEPHANIE	MFS MIDCAP GROWTH C	0.00	14.69	0.00	14.69	90.0	13.22
02/08/2016	KROSNOWSKI, THOMAS	MFS MIDCAP GROWTH C	0.00	4.26	0.00	4.26	90.0	3.83
03/14/2016	SPECTER TRUST, BRADLEY	MFS MIDCAP GROWTH C	0.00	5.63	0.00	5.63	90.0	5.07
03/14/2016	SPECTER TRUST, STEPHANIE	MFS MIDCAP GROWTH C	0.00	13.27	0.00	13.27	90.0	11.94
03/14/2016	KROSNOWSKI, THOMAS	MFS MIDCAP GROWTH C	0.00	3.85	0.00	3.85	90.0	3.47
04/15/2016	SPECTER TRUST, BRADLEY	MFS MIDCAP GROWTH C	0.00	6.40	0.00	6.40	90.0	5.76
04/15/2016	SPECTER TRUST, STEPHANIE	MFS MIDCAP GROWTH C	0.00	15.10	0.00	15.10	90.0	13.59
04/15/2016	KROSNOWSKI, THOMAS	MFS MIDCAP GROWTH C	0.00	4.38	0.00	4.38	90.0	3.94
05/17/2016	SPECTER TRUST, BRADLEY	MFS MIDCAP GROWTH C	0.00	6.40	0.00	6.40	90.0	5.76
05/17/2016	SPECTER TRUST, STEPHANIE	MFS MIDCAP GROWTH C	0.00	15.09	0.00	15.09	90.0	13.58
05/17/2016	KROSNOWSKI, THOMAS	MFS MIDCAP GROWTH C	0.00	4.38	0.00	4.38	90.0	3.94
06/16/2016	SPECTER TRUST, BRADLEY	MFS MIDCAP GROWTH C	0.00	6.63	0.00	6.63	90.0	5.97
06/16/2016	SPECTER TRUST, STEPHANIE	MFS MIDCAP GROWTH C	0.00	15.63	0.00	15.63	90.0	14.07
06/16/2016	KROSNOWSKI, THOMAS	MFS MIDCAP GROWTH C	0.00	4.53	0.00	4.53	90.0	4.08
07/20/2016	SPECTER TRUST, BRADLEY	MFS MIDCAP GROWTH C	0.00	6.47	0.00	6.47	90.0	5.82
07/20/2016	SPECTER TRUST, STEPHANIE	MFS MIDCAP GROWTH C	0.00	15.27	0.00	15.27	90.0	13.74
07/20/2016	KROSNOWSKI, THOMAS	MFS MIDCAP GROWTH C	0.00	4.43	0.00	4.43	90.0	3.99
08/16/2016	SPECTER TRUST, BRADLEY	MFS MIDCAP GROWTH C	0.00	6.90	0.00	6.90	90.0	6.21
08/16/2016	SPECTER TRUST, STEPHANIE	MFS MIDCAP GROWTH C	0.00	16.27	0.00	16.27	90.0	14.64
08/16/2016	KROSNOWSKI, THOMAS	MFS MIDCAP GROWTH C	0.00	4.72	0.00	4.72	90.0	4.25
09/15/2016	SPECTER TRUST, BRADLEY	MFS MIDCAP GROWTH C	0.00	7.02	0.00	7.02	90.0	6.32
09/15/2016	SPECTER TRUST, STEPHANIE	MFS MIDCAP GROWTH C	0.00	16.55	0.00	16.55	90.0	14.90
09/15/2016	KROSNOWSKI, THOMAS	MFS MIDCAP GROWTH C	0.00	4.80	0.00	4.80	90.0	4.32
10/20/2016	SPECTER TRUST, BRADLEY	MFS MIDCAP GROWTH C	0.00	6.72	0.00	6.72	90.0	6.05
10/20/2016	SPECTER TRUST, STEPHANIE	MFS MIDCAP GROWTH C	0.00	15.86	0.00	15.86	90.0	14.27
10/20/2016	KROSNOWSKI, THOMAS	MFS MIDCAP GROWTH C	0.00	4.60	0.00	4.60	90.0	4.14

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>DIRECT TRANSACTIONS</u>								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS								
11/14/2016	SPECTER TRUST, BRADLEY	MFS MIDCAP GROWTH C	0.00	6.84	0.00	6.84	90.0	6.16
11/14/2016	SPECTER TRUST, STEPHANIE	MFS MIDCAP GROWTH C	0.00	16.14	0.00	16.14	90.0	14.53
11/14/2016	KROSNOWSKI, THOMAS	MFS MIDCAP GROWTH C	0.00	4.68	0.00	4.68	90.0	4.21
12/19/2016	SPECTER TRUST, BRADLEY	MFS MIDCAP GROWTH C	0.00	6.59	0.00	6.59	90.0	5.93
12/19/2016	SPECTER TRUST, STEPHANIE	MFS MIDCAP GROWTH C	0.00	15.55	0.00	15.55	90.0	14.00
12/19/2016	KROSNOWSKI, THOMAS	MFS MIDCAP GROWTH C	0.00	4.51	0.00	4.51	90.0	4.06
02/08/2016	KROSNOWSKI, THOMAS	MFS RESEARCH FUND-C	0.00	4.47	0.00	4.47	90.0	4.02
03/14/2016	KROSNOWSKI, THOMAS	MFS RESEARCH FUND-C	0.00	4.11	0.00	4.11	90.0	3.70
04/15/2016	KROSNOWSKI, THOMAS	MFS RESEARCH FUND-C	0.00	4.65	0.00	4.65	90.0	4.19
05/17/2016	KROSNOWSKI, THOMAS	MFS RESEARCH FUND-C	0.00	4.62	0.00	4.62	90.0	4.16
06/16/2016	KROSNOWSKI, THOMAS	MFS RESEARCH FUND-C	0.00	4.79	0.00	4.79	90.0	4.31
07/20/2016	KROSNOWSKI, THOMAS	MFS RESEARCH FUND-C	0.00	4.70	0.00	4.70	90.0	4.23
08/16/2016	KROSNOWSKI, THOMAS	MFS RESEARCH FUND-C	0.00	5.00	0.00	5.00	90.0	4.50
09/15/2016	KROSNOWSKI, THOMAS	MFS RESEARCH FUND-C	0.00	5.09	0.00	5.09	90.0	4.58
10/20/2016	KROSNOWSKI, THOMAS	MFS RESEARCH FUND-C	0.00	4.89	0.00	4.89	90.0	4.40
11/14/2016	KROSNOWSKI, THOMAS	MFS RESEARCH FUND-C	0.00	5.01	0.00	5.01	90.0	4.51
12/19/2016	KROSNOWSKI, THOMAS	MFS RESEARCH FUND-C	0.00	4.84	0.00	4.84	90.0	4.36
02/08/2016	SPECTER TRUST, STEPHANIE	MFS RESEARCH INTL C	0.00	21.49	0.00	21.49	90.0	19.34
03/14/2016	SPECTER TRUST, STEPHANIE	MFS RESEARCH INTL C	0.00	19.44	0.00	19.44	90.0	17.50
04/15/2016	SPECTER TRUST, STEPHANIE	MFS RESEARCH INTL C	0.00	21.95	0.00	21.95	90.0	19.76
05/17/2016	SPECTER TRUST, STEPHANIE	MFS RESEARCH INTL C	0.00	21.68	0.00	21.68	90.0	19.51
06/16/2016	SPECTER TRUST, STEPHANIE	MFS RESEARCH INTL C	0.00	22.39	0.00	22.39	90.0	20.15
07/20/2016	SPECTER TRUST, STEPHANIE	MFS RESEARCH INTL C	0.00	21.59	0.00	21.59	90.0	19.43
08/16/2016	SPECTER TRUST, STEPHANIE	MFS RESEARCH INTL C	0.00	22.53	0.00	22.53	90.0	20.28
09/15/2016	SPECTER TRUST, STEPHANIE	MFS RESEARCH INTL C	0.00	23.28	0.00	23.28	90.0	20.95
10/20/2016	SPECTER TRUST, STEPHANIE	MFS RESEARCH INTL C	0.00	22.58	0.00	22.58	90.0	20.32
11/14/2016	SPECTER TRUST, STEPHANIE	MFS RESEARCH INTL C	0.00	23.04	0.00	23.04	90.0	20.74
12/19/2016	SPECTER TRUST, STEPHANIE	MFS RESEARCH INTL C	0.00	21.65	0.00	21.65	90.0	19.49
02/08/2016	KROSNOWSKI, THOMAS	MFS TECHNOLOGY FUND-C	0.00	7.67	0.00	7.67	90.0	6.90
03/14/2016	KROSNOWSKI, THOMAS	MFS TECHNOLOGY FUND-C	0.00	6.83	0.00	6.83	90.0	6.15
04/15/2016	KROSNOWSKI, THOMAS	MFS TECHNOLOGY FUND-C	0.00	7.85	0.00	7.85	90.0	7.07
05/17/2016	KROSNOWSKI, THOMAS	MFS TECHNOLOGY FUND-C	0.00	7.86	0.00	7.86	90.0	7.07
06/16/2016	KROSNOWSKI, THOMAS	MFS TECHNOLOGY FUND-C	0.00	8.15	0.00	8.15	90.0	7.34

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
07/20/2016	KROSNOWSKI, THOMAS	MFS TECHNOLOGY FUND-C	0.00	8.03	0.00	8.03	90.0	7.23
08/16/2016	KROSNOWSKI, THOMAS	MFS TECHNOLOGY FUND-C	0.00	8.51	0.00	8.51	90.0	7.66
09/15/2016	KROSNOWSKI, THOMAS	MFS TECHNOLOGY FUND-C	0.00	8.87	0.00	8.87	90.0	7.98
10/20/2016	KROSNOWSKI, THOMAS	MFS TECHNOLOGY FUND-C	0.00	8.66	0.00	8.66	90.0	7.79
11/14/2016	KROSNOWSKI, THOMAS	MFS TECHNOLOGY FUND-C	0.00	9.05	0.00	9.05	90.0	8.15
12/19/2016	KROSNOWSKI, THOMAS	MFS TECHNOLOGY FUND-C	0.00	8.60	0.00	8.60	90.0	7.74
02/08/2016	SPECTER TRUST, BRADLEY	MFS VALUE C	0.00	7.12	0.00	7.12	90.0	6.41
02/08/2016	SPECTER TRUST, STEPHANIE	MFS VALUE C	0.00	11.07	0.00	11.07	90.0	9.96
03/14/2016	SPECTER TRUST, BRADLEY	MFS VALUE C	0.00	6.67	0.00	6.67	90.0	6.00
03/14/2016	SPECTER TRUST, STEPHANIE	MFS VALUE C	0.00	10.37	0.00	10.37	90.0	9.33
04/15/2016	SPECTER TRUST, BRADLEY	MFS VALUE C	0.00	7.55	0.00	7.55	90.0	6.80
04/15/2016	SPECTER TRUST, STEPHANIE	MFS VALUE C	0.00	11.75	0.00	11.75	90.0	10.58
05/17/2016	SPECTER TRUST, BRADLEY	MFS VALUE C	0.00	7.52	0.00	7.52	90.0	6.77
05/17/2016	SPECTER TRUST, STEPHANIE	MFS VALUE C	0.00	11.70	0.00	11.70	90.0	10.53
06/16/2016	SPECTER TRUST, BRADLEY	MFS VALUE C	0.00	7.86	0.00	7.86	90.0	7.07
06/16/2016	SPECTER TRUST, STEPHANIE	MFS VALUE C	0.00	12.23	0.00	12.23	90.0	11.01
07/20/2016	SPECTER TRUST, BRADLEY	MFS VALUE C	0.00	7.66	0.00	7.66	90.0	6.89
07/20/2016	SPECTER TRUST, STEPHANIE	MFS VALUE C	0.00	11.92	0.00	11.92	90.0	10.73
08/16/2016	SPECTER TRUST, BRADLEY	MFS VALUE C	0.00	8.14	0.00	8.14	90.0	7.33
08/16/2016	SPECTER TRUST, STEPHANIE	MFS VALUE C	0.00	12.67	0.00	12.67	90.0	11.40
09/15/2016	SPECTER TRUST, BRADLEY	MFS VALUE C	0.00	8.25	0.00	8.25	90.0	7.43
09/15/2016	SPECTER TRUST, STEPHANIE	MFS VALUE C	0.00	12.83	0.00	12.83	90.0	11.55
10/20/2016	SPECTER TRUST, BRADLEY	MFS VALUE C	0.00	7.88	0.00	7.88	90.0	7.09
10/20/2016	SPECTER TRUST, STEPHANIE	MFS VALUE C	0.00	12.26	0.00	12.26	90.0	11.03
11/14/2016	SPECTER TRUST, BRADLEY	MFS VALUE C	0.00	8.05	0.00	8.05	90.0	7.25
11/14/2016	SPECTER TRUST, STEPHANIE	MFS VALUE C	0.00	12.52	0.00	12.52	90.0	11.27
12/19/2016	SPECTER TRUST, BRADLEY	MFS VALUE C	0.00	7.96	0.00	7.96	90.0	7.16
12/19/2016	SPECTER TRUST, STEPHANIE	MFS VALUE C	0.00	12.39	0.00	12.39	90.0	11.15
02/22/2016	DUBIN, JON	OPPENHEIMER COMMODITY STRATEGY TL R	0.00	1.08	0.00	1.08	90.0	0.97
03/17/2016	DUBIN, JON	OPPENHEIMER COMMODITY STRATEGY TL R	0.00	1.01	0.00	1.01	90.0	0.91
04/21/2016	DUBIN, JON	OPPENHEIMER COMMODITY STRATEGY TL R	0.00	1.14	0.00	1.14	90.0	1.03
05/19/2016	DUBIN, JON	OPPENHEIMER COMMODITY STRATEGY TL R	0.00	1.13	0.00	1.13	90.0	1.02
06/30/2016	DUBIN, JON	OPPENHEIMER COMMODITY STRATEGY TL R	0.00	1.21	0.00	1.21	90.0	1.09

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
07/18/2016	DUBIN, JON	OPPENHEIMER COMMODITY STRATEGY TL R	0.00	1.22	0.00	1.22	90.0	1.10
08/24/2016	DUBIN, JON	OPPENHEIMER COMMODITY STRATEGY TL R	0.00	0.56	0.00	0.56	90.0	0.50
02/22/2016	KROSNOWSKI, THOMAS	OPPENHEIMER DISCOVERY A	0.00	0.89	0.00	0.89	90.0	0.80
03/17/2016	KROSNOWSKI, THOMAS	OPPENHEIMER DISCOVERY A	0.00	0.77	0.00	0.77	90.0	0.69
04/21/2016	KROSNOWSKI, THOMAS	OPPENHEIMER DISCOVERY A	0.00	0.88	0.00	0.88	90.0	0.79
05/19/2016	KROSNOWSKI, THOMAS	OPPENHEIMER DISCOVERY A	0.00	0.89	0.00	0.89	90.0	0.80
06/30/2016	KROSNOWSKI, THOMAS	OPPENHEIMER DISCOVERY A	0.00	0.92	0.00	0.92	90.0	0.83
07/18/2016	KROSNOWSKI, THOMAS	OPPENHEIMER DISCOVERY A	0.00	0.92	0.00	0.92	90.0	0.83
08/24/2016	KROSNOWSKI, THOMAS	OPPENHEIMER DISCOVERY A	0.00	0.99	0.00	0.99	90.0	0.89
09/22/2016	KROSNOWSKI, THOMAS	OPPENHEIMER DISCOVERY A	0.00	1.01	0.00	1.01	90.0	0.91
10/21/2016	KROSNOWSKI, THOMAS	OPPENHEIMER DISCOVERY A	0.00	0.98	0.00	0.98	90.0	0.88
11/21/2016	KROSNOWSKI, THOMAS	OPPENHEIMER DISCOVERY A	0.00	0.99	0.00	0.99	90.0	0.89
12/19/2016	KROSNOWSKI, THOMAS	OPPENHEIMER DISCOVERY A	0.00	0.96	0.00	0.96	90.0	0.86
02/22/2016	KROSNOWSKI, THOMAS	OPPENHEIMER GLOBAL OPPORTUNITIES A	0.00	0.64	0.00	0.64	90.0	0.58
03/17/2016	KROSNOWSKI, THOMAS	OPPENHEIMER GLOBAL OPPORTUNITIES A	0.00	0.56	0.00	0.56	90.0	0.50
04/21/2016	KROSNOWSKI, THOMAS	OPPENHEIMER GLOBAL OPPORTUNITIES A	0.00	0.65	0.00	0.65	90.0	0.59
05/19/2016	KROSNOWSKI, THOMAS	OPPENHEIMER GLOBAL OPPORTUNITIES A	0.00	0.68	0.00	0.68	90.0	0.61
06/30/2016	KROSNOWSKI, THOMAS	OPPENHEIMER GLOBAL OPPORTUNITIES A	0.00	0.71	0.00	0.71	90.0	0.64
07/18/2016	KROSNOWSKI, THOMAS	OPPENHEIMER GLOBAL OPPORTUNITIES A	0.00	0.69	0.00	0.69	90.0	0.62
08/24/2016	KROSNOWSKI, THOMAS	OPPENHEIMER GLOBAL OPPORTUNITIES A	0.00	0.73	0.00	0.73	90.0	0.66
09/22/2016	KROSNOWSKI, THOMAS	OPPENHEIMER GLOBAL OPPORTUNITIES A	0.00	0.78	0.00	0.78	90.0	0.70
10/21/2016	KROSNOWSKI, THOMAS	OPPENHEIMER GLOBAL OPPORTUNITIES A	0.00	0.78	0.00	0.78	90.0	0.70
11/21/2016	KROSNOWSKI, THOMAS	OPPENHEIMER GLOBAL OPPORTUNITIES A	0.00	0.78	0.00	0.78	90.0	0.70
12/19/2016	KROSNOWSKI, THOMAS	OPPENHEIMER GLOBAL OPPORTUNITIES A	0.00	0.74	0.00	0.74	90.0	0.67
02/22/2016	CARSON, LINDA	OPPENHEIMER GOLD & SPECIAL MINERALS	0.00	3.18	0.00	3.18	90.0	2.86
02/22/2016	KROSNOWSKI, THOMAS	OPPENHEIMER GOLD & SPECIAL MINERALS	0.00	0.24	0.00	0.24	90.0	0.22
03/17/2016	CARSON, LINDA	OPPENHEIMER GOLD & SPECIAL MINERALS	0.00	3.66	0.00	3.66	90.0	3.29
03/17/2016	KROSNOWSKI, THOMAS	OPPENHEIMER GOLD & SPECIAL MINERALS	0.00	0.28	0.00	0.28	90.0	0.25
04/21/2016	CARSON, LINDA	OPPENHEIMER GOLD & SPECIAL MINERALS	0.00	4.40	0.00	4.40	90.0	3.96
04/21/2016	KROSNOWSKI, THOMAS	OPPENHEIMER GOLD & SPECIAL MINERALS	0.00	0.34	0.00	0.34	90.0	0.31
05/19/2016	CARSON, LINDA	OPPENHEIMER GOLD & SPECIAL MINERALS	0.00	0.43	0.00	0.43	90.0	0.39
05/19/2016	KROSNOWSKI, THOMAS	OPPENHEIMER GOLD & SPECIAL MINERALS	0.00	0.36	0.00	0.36	90.0	0.32
06/30/2016	KROSNOWSKI, THOMAS	OPPENHEIMER GOLD & SPECIAL MINERALS	0.00	0.41	0.00	0.41	90.0	0.37

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
07/18/2016	KROSNOWSKI, THOMAS	OPPENHEIMER GOLD & SPECIAL MINERALS	0.00	0.43	0.00	0.43	90.0	0.39
08/24/2016	KROSNOWSKI, THOMAS	OPPENHEIMER GOLD & SPECIAL MINERALS	0.00	0.51	0.00	0.51	90.0	0.46
09/22/2016	KROSNOWSKI, THOMAS	OPPENHEIMER GOLD & SPECIAL MINERALS	0.00	0.52	0.00	0.52	90.0	0.47
10/21/2016	KROSNOWSKI, THOMAS	OPPENHEIMER GOLD & SPECIAL MINERALS	0.00	0.47	0.00	0.47	90.0	0.42
11/21/2016	KROSNOWSKI, THOMAS	OPPENHEIMER GOLD & SPECIAL MINERALS	0.00	0.44	0.00	0.44	90.0	0.40
12/19/2016	KROSNOWSKI, THOMAS	OPPENHEIMER GOLD & SPECIAL MINERALS	0.00	0.39	0.00	0.39	90.0	0.35
02/22/2016	BOWERS, DORA	OPPENHEIMER INTL GROWTH A	0.00	0.50	0.00	0.50	90.0	0.45
03/17/2016	BOWERS, DORA	OPPENHEIMER INTL GROWTH A	0.00	0.46	0.00	0.46	90.0	0.41
04/21/2016	BOWERS, DORA	OPPENHEIMER INTL GROWTH A	0.00	0.52	0.00	0.52	90.0	0.47
05/19/2016	BOWERS, DORA	OPPENHEIMER INTL GROWTH A	0.00	0.51	0.00	0.51	90.0	0.46
06/30/2016	BOWERS, DORA	OPPENHEIMER INTL GROWTH A	0.00	0.53	0.00	0.53	90.0	0.48
07/18/2016	BOWERS, DORA	OPPENHEIMER INTL GROWTH A	0.00	0.50	0.00	0.50	90.0	0.45
08/24/2016	BOWERS, DORA	OPPENHEIMER INTL GROWTH A	0.00	0.52	0.00	0.52	90.0	0.47
09/22/2016	BOWERS, DORA	OPPENHEIMER INTL GROWTH A	0.00	0.54	0.00	0.54	90.0	0.49
10/21/2016	BOWERS, DORA	OPPENHEIMER INTL GROWTH A	0.00	0.53	0.00	0.53	90.0	0.48
11/21/2016	BOWERS, DORA	OPPENHEIMER INTL GROWTH A	0.00	0.53	0.00	0.53	90.0	0.48
12/19/2016	BOWERS, DORA	OPPENHEIMER INTL GROWTH A	0.00	0.49	0.00	0.49	90.0	0.44
02/22/2016	STERR, ERIN	OPPENHEIMER MAIN STREET A	0.00	1.82	0.00	1.82	90.0	1.64
02/22/2016	KROSNOWSKI, THOMAS	OPPENHEIMER MAIN STREET A	0.00	2.35	0.00	2.35	90.0	2.12
03/17/2016	STERR, ERIN	OPPENHEIMER MAIN STREET A	0.00	1.69	0.00	1.69	90.0	1.52
03/17/2016	KROSNOWSKI, THOMAS	OPPENHEIMER MAIN STREET A	0.00	2.18	0.00	2.18	90.0	1.96
04/21/2016	STERR, ERIN	OPPENHEIMER MAIN STREET A	0.00	1.92	0.00	1.92	90.0	1.73
04/21/2016	KROSNOWSKI, THOMAS	OPPENHEIMER MAIN STREET A	0.00	2.48	0.00	2.48	90.0	2.23
05/19/2016	STERR, ERIN	OPPENHEIMER MAIN STREET A	0.00	1.91	0.00	1.91	90.0	1.72
05/19/2016	KROSNOWSKI, THOMAS	OPPENHEIMER MAIN STREET A	0.00	2.46	0.00	2.46	90.0	2.21
06/30/2016	STERR, ERIN	OPPENHEIMER MAIN STREET A	0.00	1.98	0.00	1.98	90.0	1.78
06/30/2016	KROSNOWSKI, THOMAS	OPPENHEIMER MAIN STREET A	0.00	2.55	0.00	2.55	90.0	2.30
07/18/2016	STERR, ERIN	OPPENHEIMER MAIN STREET A	0.00	1.93	0.00	1.93	90.0	1.74
07/18/2016	KROSNOWSKI, THOMAS	OPPENHEIMER MAIN STREET A	0.00	2.49	0.00	2.49	90.0	2.24
08/24/2016	STERR, ERIN	OPPENHEIMER MAIN STREET A	0.00	2.06	0.00	2.06	90.0	1.85
08/24/2016	KROSNOWSKI, THOMAS	OPPENHEIMER MAIN STREET A	0.00	2.66	0.00	2.66	90.0	2.39
09/22/2016	STERR, ERIN	OPPENHEIMER MAIN STREET A	0.00	2.08	0.00	2.08	90.0	1.87
09/22/2016	KROSNOWSKI, THOMAS	OPPENHEIMER MAIN STREET A	0.00	2.68	0.00	2.68	90.0	2.41

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
10/21/2016	STERR, ERIN	OPPENHEIMER MAIN STREET A	0.00	2.00	0.00	2.00	90.0	1.80
10/21/2016	KROSNOWSKI, THOMAS	OPPENHEIMER MAIN STREET A	0.00	2.57	0.00	2.57	90.0	2.31
11/21/2016	STERR, ERIN	OPPENHEIMER MAIN STREET A	0.00	2.05	0.00	2.05	90.0	1.85
11/21/2016	KROSNOWSKI, THOMAS	OPPENHEIMER MAIN STREET A	0.00	2.64	0.00	2.64	90.0	2.38
12/19/2016	STERR, ERIN	OPPENHEIMER MAIN STREET A	0.00	2.01	0.00	2.01	90.0	1.81
12/19/2016	KROSNOWSKI, THOMAS	OPPENHEIMER MAIN STREET A	0.00	2.59	0.00	2.59	90.0	2.33
10/21/2016	PERETTI, DANIEL	OPPENHEIMER PORTFOLIO SERIES EQ INV	0.00	0.78	0.00	0.78	90.0	0.70
11/21/2016	PERETTI, DANIEL	OPPENHEIMER PORTFOLIO SERIES EQ INV	0.00	0.80	0.00	0.80	90.0	0.72
12/19/2016	PERETTI, DANIEL	OPPENHEIMER PORTFOLIO SERIES EQ INV	0.00	0.76	0.00	0.76	90.0	0.68
10/21/2016	PERETTI, DANIEL	OPPENHEIMER PORTFOLIO SERIRES: MOD	0.00	30.58	0.00	30.58	90.0	27.52
11/21/2016	PERETTI, DANIEL	OPPENHEIMER PORTFOLIO SERIRES: MOD	0.00	34.63	0.00	34.63	90.0	31.17
12/19/2016	PERETTI, DANIEL	OPPENHEIMER PORTFOLIO SERIRES: MOD	0.00	33.14	0.00	33.14	90.0	29.83
02/22/2016	CHERRY, LISA	OPPENHEIMER QUEST OPP VALUE A	0.00	2.58	0.00	2.58	90.0	2.32
02/22/2016	KROSNOWSKI, THOMAS	OPPENHEIMER QUEST OPP VALUE A	0.00	1.75	0.00	1.75	90.0	1.58
03/17/2016	CHERRY, LISA	OPPENHEIMER QUEST OPP VALUE A	0.00	2.41	0.00	2.41	90.0	2.17
03/17/2016	KROSNOWSKI, THOMAS	OPPENHEIMER QUEST OPP VALUE A	0.00	1.63	0.00	1.63	90.0	1.47
04/21/2016	CHERRY, LISA	OPPENHEIMER QUEST OPP VALUE A	0.00	2.56	0.00	2.56	90.0	2.30
04/21/2016	KROSNOWSKI, THOMAS	OPPENHEIMER QUEST OPP VALUE A	0.00	1.73	0.00	1.73	90.0	1.56
05/19/2016	CHERRY, LISA	OPPENHEIMER QUEST OPP VALUE A	0.00	2.49	0.00	2.49	90.0	2.24
05/19/2016	KROSNOWSKI, THOMAS	OPPENHEIMER QUEST OPP VALUE A	0.00	1.68	0.00	1.68	90.0	1.51
06/30/2016	CHERRY, LISA	OPPENHEIMER QUEST OPP VALUE A	0.00	2.59	0.00	2.59	90.0	2.33
06/30/2016	KROSNOWSKI, THOMAS	OPPENHEIMER QUEST OPP VALUE A	0.00	1.75	0.00	1.75	90.0	1.58
07/18/2016	CHERRY, LISA	OPPENHEIMER QUEST OPP VALUE A	0.00	2.53	0.00	2.53	90.0	2.28
07/18/2016	KROSNOWSKI, THOMAS	OPPENHEIMER QUEST OPP VALUE A	0.00	1.71	0.00	1.71	90.0	1.54
08/24/2016	CHERRY, LISA	OPPENHEIMER QUEST OPP VALUE A	0.00	2.62	0.00	2.62	90.0	2.36
08/24/2016	KROSNOWSKI, THOMAS	OPPENHEIMER QUEST OPP VALUE A	0.00	1.77	0.00	1.77	90.0	1.59
09/22/2016	CHERRY, LISA	OPPENHEIMER QUEST OPP VALUE A	0.00	2.61	0.00	2.61	90.0	2.35
09/22/2016	KROSNOWSKI, THOMAS	OPPENHEIMER QUEST OPP VALUE A	0.00	1.77	0.00	1.77	90.0	1.59
10/21/2016	CHERRY, LISA	OPPENHEIMER QUEST OPP VALUE A	0.00	2.52	0.00	2.52	90.0	2.27
10/21/2016	KROSNOWSKI, THOMAS	OPPENHEIMER QUEST OPP VALUE A	0.00	1.70	0.00	1.70	90.0	1.53
11/21/2016	CHERRY, LISA	OPPENHEIMER QUEST OPP VALUE A	0.00	2.60	0.00	2.60	90.0	2.34
11/21/2016	KROSNOWSKI, THOMAS	OPPENHEIMER QUEST OPP VALUE A	0.00	1.76	0.00	1.76	90.0	1.58
12/19/2016	CHERRY, LISA	OPPENHEIMER QUEST OPP VALUE A	0.00	2.52	0.00	2.52	90.0	2.27

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
12/19/2016	KROSNOWSKI, THOMAS	OPPENHEIMER QUEST OPP VALUE A	0.00	1.71	0.00	1.71	90.0	1.54
02/22/2016	CHERRY, ADAM	PAC LIFE FUNDS PRT OPT MOD	0.00	203.80	0.00	203.80	90.0	183.42
03/18/2016	CHERRY, ADAM	PAC LIFE FUNDS PRT OPT MOD	0.00	187.19	0.00	187.19	90.0	168.47
04/20/2016	CHERRY, ADAM	PAC LIFE FUNDS PRT OPT MOD	0.00	210.46	0.00	210.46	90.0	189.41
05/24/2016	CHERRY, ADAM	PAC LIFE FUNDS PRT OPT MOD	0.00	208.12	0.00	208.12	90.0	187.31
06/16/2016	CHERRY, ADAM	PAC LIFE FUNDS PRT OPT MOD	0.00	214.96	0.00	214.96	90.0	193.46
07/19/2016	CHERRY, ADAM	PAC LIFE FUNDS PRT OPT MOD	0.00	209.20	0.00	209.20	90.0	188.28
08/18/2016	CHERRY, ADAM	PAC LIFE FUNDS PRT OPT MOD	0.00	220.59	0.00	220.59	90.0	198.53
09/22/2016	CHERRY, ADAM	PAC LIFE FUNDS PRT OPT MOD	0.00	224.13	0.00	224.13	90.0	201.72
10/20/2016	CHERRY, ADAM	PAC LIFE FUNDS PRT OPT MOD	0.00	216.56	0.00	216.56	90.0	194.90
11/25/2016	CHERRY, ADAM	PAC LIFE FUNDS PRT OPT MOD	0.00	223.23	0.00	223.23	90.0	200.91
12/21/2016	CHERRY, ADAM	PAC LIFE FUNDS PRT OPT MOD	0.00	215.37	0.00	215.37	90.0	193.83
04/21/2016	JACKSON, SHIRLEY	PUTNAM GROWTH & INCOME A	0.00	1.89	0.00	1.89	90.0	1.70
05/26/2016	JACKSON, SHIRLEY	PUTNAM GROWTH & INCOME A	0.00	1.89	0.00	1.89	90.0	1.70
06/23/2016	JACKSON, SHIRLEY	PUTNAM GROWTH & INCOME A	0.00	1.95	0.00	1.95	90.0	1.76
07/26/2016	JACKSON, SHIRLEY	PUTNAM GROWTH & INCOME A	0.00	1.91	0.00	1.91	90.0	1.72
08/19/2016	JACKSON, SHIRLEY	PUTNAM GROWTH & INCOME A	0.00	2.03	0.00	2.03	90.0	1.83
09/20/2016	JACKSON, SHIRLEY	PUTNAM GROWTH & INCOME A	0.00	2.06	0.00	2.06	90.0	1.85
10/25/2016	JACKSON, SHIRLEY	PUTNAM GROWTH & INCOME A	0.00	1.99	0.00	1.99	90.0	1.79
11/23/2016	JACKSON, SHIRLEY	PUTNAM GROWTH & INCOME A	0.00	2.06	0.00	2.06	90.0	1.85
12/23/2016	JACKSON, SHIRLEY	PUTNAM GROWTH & INCOME A	0.00	2.04	0.00	2.04	90.0	1.84
11/23/2016	TRICHON, DONNA-LYNN	PUTNAM GROWTH OPP A	0.00	3.78	0.00	3.78	90.0	3.40
12/23/2016	TRICHON, DONNA-LYNN	PUTNAM GROWTH OPP A	0.00	10.33	0.00	10.33	90.0	9.30
02/22/2016	NIEMINEN, EUGENE	PUTNAM MULTI CAP GROWTH A	0.00	2.13	0.00	2.13	90.0	1.92
03/22/2016	NIEMINEN, EUGENE	PUTNAM MULTI CAP GROWTH A	0.00	1.93	0.00	1.93	90.0	1.74
04/21/2016	NIEMINEN, EUGENE	PUTNAM MULTI CAP GROWTH A	0.00	2.20	0.00	2.20	90.0	1.98
05/26/2016	NIEMINEN, EUGENE	PUTNAM MULTI CAP GROWTH A	0.00	2.19	0.00	2.19	90.0	1.97
06/23/2016	NIEMINEN, EUGENE	PUTNAM MULTI CAP GROWTH A	0.00	2.26	0.00	2.26	90.0	2.03
07/26/2016	NIEMINEN, EUGENE	PUTNAM MULTI CAP GROWTH A	0.00	2.21	0.00	2.21	90.0	1.99
08/19/2016	NIEMINEN, EUGENE	PUTNAM MULTI CAP GROWTH A	0.00	2.35	0.00	2.35	90.0	2.12
09/20/2016	NIEMINEN, EUGENE	PUTNAM MULTI CAP GROWTH A	0.00	2.42	0.00	2.42	90.0	2.18
10/25/2016	NIEMINEN, EUGENE	PUTNAM MULTI CAP GROWTH A	0.00	2.34	0.00	2.34	90.0	2.11
11/23/2016	NIEMINEN, EUGENE	PUTNAM MULTI CAP GROWTH A	0.00	2.41	0.00	2.41	90.0	2.17

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<u>DIRECT TRANSACTIONS</u>								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS								
12/23/2016	NIEMINEN, EUGENE	PUTNAM MULTI CAP GROWTH A	0.00	2.35	0.00	2.35	90.0	2.12
02/22/2016	TRICHON, DONNA-LYNN	PUTNAM VOYAGER A	0.00	9.61	0.00	9.61	90.0	8.65
03/22/2016	TRICHON, DONNA-LYNN	PUTNAM VOYAGER A	0.00	8.62	0.00	8.62	90.0	7.76
04/21/2016	TRICHON, DONNA-LYNN	PUTNAM VOYAGER A	0.00	9.90	0.00	9.90	90.0	8.91
05/26/2016	TRICHON, DONNA-LYNN	PUTNAM VOYAGER A	0.00	9.89	0.00	9.89	90.0	8.90
06/23/2016	TRICHON, DONNA-LYNN	PUTNAM VOYAGER A	0.00	10.07	0.00	10.07	90.0	9.06
07/26/2016	TRICHON, DONNA-LYNN	PUTNAM VOYAGER A	0.00	9.77	0.00	9.77	90.0	8.79
08/19/2016	TRICHON, DONNA-LYNN	PUTNAM VOYAGER A	0.00	10.36	0.00	10.36	90.0	9.32
09/20/2016	TRICHON, DONNA-LYNN	PUTNAM VOYAGER A	0.00	10.70	0.00	10.70	90.0	9.63
10/25/2016	TRICHON, DONNA-LYNN	PUTNAM VOYAGER A	0.00	10.35	0.00	10.35	90.0	9.32
11/23/2016	TRICHON, DONNA-LYNN	PUTNAM VOYAGER A	0.00	6.93	0.00	6.93	90.0	6.24
02/12/2016	SPECTER, BRADLEY	RESOURCE R E DIVERSIFIED INC FUND A	0.00	11.04	0.00	11.04	90.0	9.94
02/12/2016	SPECTER, STEPHANIE	RESOURCE R E DIVERSIFIED INC FUND A	0.00	15.08	0.00	15.08	90.0	13.57
02/12/2016	POLLAN, PATRICIA	RESOURCE R E DIVERSIFIED INC FUND A	0.00	4.33	0.00	4.33	90.0	3.90
02/12/2016	TAROFF, MICHELLE	RESOURCE R E DIVERSIFIED INC FUND A	0.00	4.96	0.00	4.96	90.0	4.46
03/14/2016	SPECTER, BRADLEY	RESOURCE R E DIVERSIFIED INC FUND A	0.00	10.04	0.00	10.04	90.0	9.04
03/14/2016	SPECTER, STEPHANIE	RESOURCE R E DIVERSIFIED INC FUND A	0.00	13.72	0.00	13.72	90.0	12.35
03/14/2016	TAROFF, MICHELLE	RESOURCE R E DIVERSIFIED INC FUND A	0.00	4.51	0.00	4.51	90.0	4.06
04/18/2016	SPECTER, BRADLEY	RESOURCE R E DIVERSIFIED INC FUND A	0.00	11.20	0.00	11.20	90.0	10.08
04/18/2016	SPECTER, STEPHANIE	RESOURCE R E DIVERSIFIED INC FUND A	0.00	15.30	0.00	15.30	90.0	13.77
04/18/2016	TAROFF, MICHELLE	RESOURCE R E DIVERSIFIED INC FUND A	0.00	5.03	0.00	5.03	90.0	4.53
05/16/2016	SPECTER, BRADLEY	RESOURCE R E DIVERSIFIED INC FUND A	0.00	11.12	0.00	11.12	90.0	10.01
05/16/2016	SPECTER, STEPHANIE	RESOURCE R E DIVERSIFIED INC FUND A	0.00	15.19	0.00	15.19	90.0	13.67
05/16/2016	TAROFF, MICHELLE	RESOURCE R E DIVERSIFIED INC FUND A	0.00	5.00	0.00	5.00	90.0	4.50
06/16/2016	SPECTER, BRADLEY	RESOURCE R E DIVERSIFIED INC FUND A	0.00	11.64	0.00	11.64	90.0	10.48
06/16/2016	SPECTER, STEPHANIE	RESOURCE R E DIVERSIFIED INC FUND A	0.00	15.89	0.00	15.89	90.0	14.30
06/16/2016	TAROFF, MICHELLE	RESOURCE R E DIVERSIFIED INC FUND A	0.00	5.23	0.00	5.23	90.0	4.71
07/18/2016	SPECTER, BRADLEY	RESOURCE R E DIVERSIFIED INC FUND A	0.00	11.40	0.00	11.40	90.0	10.26
07/18/2016	SPECTER, STEPHANIE	RESOURCE R E DIVERSIFIED INC FUND A	0.00	15.57	0.00	15.57	90.0	14.01
07/18/2016	TAROFF, MICHELLE	RESOURCE R E DIVERSIFIED INC FUND A	0.00	5.12	0.00	5.12	90.0	4.61
08/15/2016	SPECTER, BRADLEY	RESOURCE R E DIVERSIFIED INC FUND A	0.00	12.27	0.00	12.27	90.0	11.04
08/15/2016	SPECTER, STEPHANIE	RESOURCE R E DIVERSIFIED INC FUND A	0.00	16.75	0.00	16.75	90.0	15.08
08/15/2016	TAROFF, MICHELLE	RESOURCE R E DIVERSIFIED INC FUND A	0.00	5.51	0.00	5.51	90.0	4.96

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
09/15/2016	SPECTER, BRADLEY	RESOURCE R E DIVERSIFIED INC FUND A	0.00	12.54	0.00	12.54	90.0	11.29
09/15/2016	SPECTER, STEPHANIE	RESOURCE R E DIVERSIFIED INC FUND A	0.00	17.12	0.00	17.12	90.0	15.41
09/15/2016	TAROFF, MICHELLE	RESOURCE R E DIVERSIFIED INC FUND A	0.00	5.63	0.00	5.63	90.0	5.07
10/17/2016	SPECTER, BRADLEY	RESOURCE R E DIVERSIFIED INC FUND A	0.00	12.17	0.00	12.17	90.0	10.95
10/17/2016	SPECTER, STEPHANIE	RESOURCE R E DIVERSIFIED INC FUND A	0.00	16.62	0.00	16.62	90.0	14.96
10/17/2016	TAROFF, MICHELLE	RESOURCE R E DIVERSIFIED INC FUND A	0.00	5.47	0.00	5.47	90.0	4.92
11/17/2016	SPECTER, BRADLEY	RESOURCE R E DIVERSIFIED INC FUND A	0.00	12.51	0.00	12.51	90.0	11.26
11/17/2016	SPECTER, STEPHANIE	RESOURCE R E DIVERSIFIED INC FUND A	0.00	17.09	0.00	17.09	90.0	15.38
11/17/2016	TAROFF, MICHELLE	RESOURCE R E DIVERSIFIED INC FUND A	0.00	5.62	0.00	5.62	90.0	5.06
12/14/2016	SPECTER, BRADLEY	RESOURCE R E DIVERSIFIED INC FUND A	0.00	11.96	0.00	11.96	90.0	10.76
12/14/2016	SPECTER, STEPHANIE	RESOURCE R E DIVERSIFIED INC FUND A	0.00	16.33	0.00	16.33	90.0	14.70
12/14/2016	TAROFF, MICHELLE	RESOURCE R E DIVERSIFIED INC FUND A	0.00	5.37	0.00	5.37	90.0	4.83
02/16/2016	FLEISCH, ROBERT	TEMPLETON GLOBAL BOND A	0.00	11.13	0.00	11.13	90.0	10.02
03/16/2016	FLEISCH, ROBERT	TEMPLETON GLOBAL BOND A	0.00	10.20	0.00	10.20	90.0	9.18
04/15/2016	FLEISCH, ROBERT	TEMPLETON GLOBAL BOND A	0.00	11.31	0.00	11.31	90.0	10.18
05/13/2016	FLEISCH, ROBERT	TEMPLETON GLOBAL BOND A	0.00	11.01	0.00	11.01	90.0	9.91
06/14/2016	FLEISCH, ROBERT	TEMPLETON GLOBAL BOND A	0.00	11.27	0.00	11.27	90.0	10.14
07/14/2016	FLEISCH, ROBERT	TEMPLETON GLOBAL BOND A	0.00	10.78	0.00	10.78	90.0	9.70
08/15/2016	FLEISCH, ROBERT	TEMPLETON GLOBAL BOND A	0.00	11.38	0.00	11.38	90.0	10.24
09/14/2016	FLEISCH, ROBERT	TEMPLETON GLOBAL BOND A	0.00	11.05	0.00	11.05	90.0	9.95
10/18/2016	FLEISCH, ROBERT	TEMPLETON GLOBAL BOND A	0.00	10.49	0.00	10.49	90.0	9.44
11/15/2016	FLEISCH, ROBERT	TEMPLETON GLOBAL BOND A	0.00	11.13	0.00	11.13	90.0	10.02
12/16/2016	FLEISCH, ROBERT	TEMPLETON GLOBAL BOND A	0.00	10.73	0.00	10.73	90.0	9.66
04/15/2016	JACKSON, SHIRLEY	TEMPLETON GLOBAL BOND C	0.00	37.57	0.00	37.57	90.0	33.81
05/13/2016	JACKSON, SHIRLEY	TEMPLETON GLOBAL BOND C	0.00	36.47	0.00	36.47	90.0	32.82
06/14/2016	JACKSON, SHIRLEY	TEMPLETON GLOBAL BOND C	0.00	37.28	0.00	37.28	90.0	33.55
07/14/2016	JACKSON, SHIRLEY	TEMPLETON GLOBAL BOND C	0.00	35.57	0.00	35.57	90.0	32.01
08/15/2016	JACKSON, SHIRLEY	TEMPLETON GLOBAL BOND C	0.00	37.49	0.00	37.49	90.0	33.74
09/14/2016	JACKSON, SHIRLEY	TEMPLETON GLOBAL BOND C	0.00	37.28	0.00	37.28	90.0	33.55
10/18/2016	JACKSON, SHIRLEY	TEMPLETON GLOBAL BOND C	0.00	35.77	0.00	35.77	90.0	32.19
11/15/2016	JACKSON, SHIRLEY	TEMPLETON GLOBAL BOND C	0.00	37.88	0.00	37.88	90.0	34.09
12/16/2016	JACKSON, SHIRLEY	TEMPLETON GLOBAL BOND C	0.00	36.44	0.00	36.44	90.0	32.80
02/16/2016	GREENWELL, MARION	TEMPLETON GROWTH A	0.00	1.22	0.00	1.22	90.0	1.10

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
02/16/2016	CENTANNI, RICHARD	TEMPLETON GROWTH A	0.00	0.26	0.00	0.26	90.0	0.23
03/16/2016	GREENWELL, MARION	TEMPLETON GROWTH A	0.00	1.10	0.00	1.10	90.0	0.99
03/16/2016	CENTANNI, RICHARD	TEMPLETON GROWTH A	0.00	0.24	0.00	0.24	90.0	0.22
04/15/2016	GREENWELL, MARION	TEMPLETON GROWTH A	0.00	1.28	0.00	1.28	90.0	1.15
04/15/2016	CENTANNI, RICHARD	TEMPLETON GROWTH A	0.00	0.28	0.00	0.28	90.0	0.25
05/13/2016	GREENWELL, MARION	TEMPLETON GROWTH A	0.00	1.27	0.00	1.27	90.0	1.14
05/13/2016	CENTANNI, RICHARD	TEMPLETON GROWTH A	0.00	0.28	0.00	0.28	90.0	0.25
06/14/2016	GREENWELL, MARION	TEMPLETON GROWTH A	0.00	1.29	0.00	1.29	90.0	1.16
06/14/2016	CENTANNI, RICHARD	TEMPLETON GROWTH A	0.00	0.28	0.00	0.28	90.0	0.25
07/14/2016	GREENWELL, MARION	TEMPLETON GROWTH A	0.00	1.25	0.00	1.25	90.0	1.13
07/14/2016	CENTANNI, RICHARD	TEMPLETON GROWTH A	0.00	0.27	0.00	0.27	90.0	0.24
08/15/2016	GREENWELL, MARION	TEMPLETON GROWTH A	0.00	1.30	0.00	1.30	90.0	1.17
08/15/2016	CENTANNI, RICHARD	TEMPLETON GROWTH A	0.00	0.28	0.00	0.28	90.0	0.25
09/14/2016	GREENWELL, MARION	TEMPLETON GROWTH A	0.00	1.35	0.00	1.35	90.0	1.22
09/14/2016	CENTANNI, RICHARD	TEMPLETON GROWTH A	0.00	0.29	0.00	0.29	90.0	0.26
10/18/2016	GREENWELL, MARION	TEMPLETON GROWTH A	0.00	1.33	0.00	1.33	90.0	1.20
10/18/2016	CENTANNI, RICHARD	TEMPLETON GROWTH A	0.00	0.29	0.00	0.29	90.0	0.26
11/15/2016	GREENWELL, MARION	TEMPLETON GROWTH A	0.00	1.37	0.00	1.37	90.0	1.23
11/15/2016	CENTANNI, RICHARD	TEMPLETON GROWTH A	0.00	0.30	0.00	0.30	90.0	0.27
12/16/2016	GREENWELL, MARION	TEMPLETON GROWTH A	0.00	1.33	0.00	1.33	90.0	1.20
12/16/2016	CENTANNI, RICHARD	TEMPLETON GROWTH A	0.00	0.29	0.00	0.29	90.0	0.26
02/16/2016	FLEISCH, ROBERT	TEMPLETON WORLD A	0.00	9.18	0.00	9.18	90.0	8.26
03/16/2016	FLEISCH, ROBERT	TEMPLETON WORLD A	0.00	8.26	0.00	8.26	90.0	7.43
04/15/2016	FLEISCH, ROBERT	TEMPLETON WORLD A	0.00	9.53	0.00	9.53	90.0	8.58
05/13/2016	FLEISCH, ROBERT	TEMPLETON WORLD A	0.00	9.49	0.00	9.49	90.0	8.54
06/14/2016	FLEISCH, ROBERT	TEMPLETON WORLD A	0.00	9.70	0.00	9.70	90.0	8.73
07/14/2016	FLEISCH, ROBERT	TEMPLETON WORLD A	0.00	9.39	0.00	9.39	90.0	8.45
08/15/2016	FLEISCH, ROBERT	TEMPLETON WORLD A	0.00	9.83	0.00	9.83	90.0	8.85
09/14/2016	FLEISCH, ROBERT	TEMPLETON WORLD A	0.00	9.86	0.00	9.86	90.0	8.87
10/18/2016	FLEISCH, ROBERT	TEMPLETON WORLD A	0.00	9.53	0.00	9.53	90.0	8.58
11/15/2016	FLEISCH, ROBERT	TEMPLETON WORLD A	0.00	10.01	0.00	10.01	90.0	9.01
12/16/2016	FLEISCH, ROBERT	TEMPLETON WORLD A	0.00	9.79	0.00	9.79	90.0	8.81
09/21/2016	PERETTI, DANIEL	TOUCHSTONE GROWTH OPP A	0.00	0.55	0.00	0.55	90.0	0.50

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
10/28/2016	PERETTI, DANIEL	TOUCHSTONE GROWTH OPP A	0.00	1.21	0.00	1.21	90.0	1.09
11/21/2016	PERETTI, DANIEL	TOUCHSTONE GROWTH OPP A	0.00	1.21	0.00	1.21	90.0	1.09
12/30/2016	PERETTI, DANIEL	TOUCHSTONE GROWTH OPP A	0.00	1.22	0.00	1.22	90.0	1.10
03/01/2016	EHRET, WAYNE	VICTORY CAPITAL MANAGEMENT	0.00	0.35	0.00	0.35	90.0	0.32
04/01/2016	EHRET, WAYNE	VICTORY CAPITAL MANAGEMENT	0.00	0.32	0.00	0.32	90.0	0.29
04/25/2016	EHRET, WAYNE	VICTORY CAPITAL MANAGEMENT	0.00	0.36	0.00	0.36	90.0	0.32
06/29/2016	EHRET, WAYNE	VICTORY CAPITAL MANAGEMENT	0.00	0.37	0.00	0.37	90.0	0.33
06/30/2016	EHRET, WAYNE	VICTORY CAPITAL MANAGEMENT	0.00	0.36	0.00	0.36	90.0	0.32
08/01/2016	EHRET, WAYNE	VICTORY CAPITAL MANAGEMENT	0.00	0.36	0.00	0.36	90.0	0.32
08/30/2016	EHRET, WAYNE	VICTORY CAPITAL MANAGEMENT	0.00	0.38	0.00	0.38	90.0	0.34
09/30/2016	EHRET, WAYNE	VICTORY CAPITAL MANAGEMENT	0.00	0.39	0.00	0.39	90.0	0.35
10/25/2016	EHRET, WAYNE	VICTORY CAPITAL MANAGEMENT	0.00	0.37	0.00	0.37	90.0	0.33
11/30/2016	EHRET, WAYNE	VICTORY CAPITAL MANAGEMENT	0.00	0.38	0.00	0.38	90.0	0.34
12/29/2016	EHRET, WAYNE	VICTORY CAPITAL MANAGEMENT	0.00	0.37	0.00	0.37	90.0	0.33
02/18/2016	CHERRY, LISA	VIRTUS SMALL-CAP SUSTAINABLE GROWTH	0.00	3.47	0.00	3.47	90.0	3.12
03/16/2016	CHERRY, LISA	VIRTUS SMALL-CAP SUSTAINABLE GROWTH	0.00	3.23	0.00	3.23	90.0	2.91
04/22/2016	CHERRY, LISA	VIRTUS SMALL-CAP SUSTAINABLE GROWTH	0.00	3.79	0.00	3.79	90.0	3.41
05/13/2016	CHERRY, LISA	VIRTUS SMALL-CAP SUSTAINABLE GROWTH	0.00	3.85	0.00	3.85	90.0	3.47
06/13/2016	CHERRY, LISA	VIRTUS SMALL-CAP SUSTAINABLE GROWTH	0.00	3.92	0.00	3.92	90.0	3.53
07/14/2016	CHERRY, LISA	VIRTUS SMALL-CAP SUSTAINABLE GROWTH	0.00	3.85	0.00	3.85	90.0	3.47
08/19/2016	CHERRY, LISA	VIRTUS SMALL-CAP SUSTAINABLE GROWTH	0.00	4.13	0.00	4.13	90.0	3.72
09/16/2016	CHERRY, LISA	VIRTUS SMALL-CAP SUSTAINABLE GROWTH	0.00	4.27	0.00	4.27	90.0	3.84
10/17/2016	CHERRY, LISA	VIRTUS SMALL-CAP SUSTAINABLE GROWTH	0.00	4.19	0.00	4.19	90.0	3.77
11/29/2016	CHERRY, LISA	VIRTUS SMALL-CAP SUSTAINABLE GROWTH	0.00	4.37	0.00	4.37	90.0	3.93
12/15/2016	CHERRY, LISA	VIRTUS SMALL-CAP SUSTAINABLE GROWTH	0.00	4.25	0.00	4.25	90.0	3.83
02/12/2016	PISANI, NICHOLAS	WELLS FARGO ADVANTAGE OMEGA GROWTH	0.00	6.47	0.00	6.47	90.0	5.82
02/12/2016	PISANI, NICHOLAS	WELLS FARGO ADVANTAGE OMEGA GROWTH	0.00	0.42	0.00	0.42	90.0	0.38
03/16/2016	PISANI, NICHOLAS	WELLS FARGO ADVANTAGE OMEGA GROWTH	0.00	5.77	0.00	5.77	90.0	5.19
03/16/2016	PISANI, NICHOLAS	WELLS FARGO ADVANTAGE OMEGA GROWTH	0.00	0.31	0.00	0.31	90.0	0.28
04/15/2016	PISANI, NICHOLAS	WELLS FARGO ADVANTAGE OMEGA GROWTH	0.00	6.59	0.00	6.59	90.0	5.93
04/15/2016	PISANI, NICHOLAS	WELLS FARGO ADVANTAGE OMEGA GROWTH	0.00	0.28	0.00	0.28	90.0	0.25
05/16/2016	PISANI, NICHOLAS	WELLS FARGO ADVANTAGE OMEGA GROWTH	0.00	6.69	0.00	6.69	90.0	6.02
05/16/2016	PISANI, NICHOLAS	WELLS FARGO ADVANTAGE OMEGA GROWTH	0.00	0.21	0.00	0.21	90.0	0.19

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
06/14/2016	PISANI, NICHOLAS	WELLS FARGO ADVANTAGE OMEGA GROWTH	0.00	7.02	0.00	7.02	90.0	6.32
06/14/2016	PISANI, NICHOLAS	WELLS FARGO ADVANTAGE OMEGA GROWTH	0.00	0.15	0.00	0.15	90.0	0.14
07/18/2016	PISANI, NICHOLAS	WELLS FARGO ADVANTAGE OMEGA GROWTH	0.00	6.91	0.00	6.91	90.0	6.22
07/18/2016	PISANI, NICHOLAS	WELLS FARGO ADVANTAGE OMEGA GROWTH	0.00	0.08	0.00	0.08	90.0	0.07
08/15/2016	PISANI, NICHOLAS	WELLS FARGO ADVANTAGE OMEGA GROWTH	0.00	7.44	0.00	7.44	90.0	6.70
08/15/2016	PISANI, NICHOLAS	WELLS FARGO ADVANTAGE OMEGA GROWTH	0.00	0.01	0.00	0.01	90.0	0.01
09/15/2016	PISANI, NICHOLAS	WELLS FARGO ADVANTAGE OMEGA GROWTH	0.00	7.52	0.00	7.52	90.0	6.77
10/12/2016	PISANI, NICHOLAS	WELLS FARGO ADVANTAGE OMEGA GROWTH	0.00	7.23	0.00	7.23	90.0	6.51
11/16/2016	PISANI, NICHOLAS	WELLS FARGO ADVANTAGE OMEGA GROWTH	0.00	7.43	0.00	7.43	90.0	6.69
12/14/2016	PISANI, NICHOLAS	WELLS FARGO ADVANTAGE OMEGA GROWTH	0.00	7.15	0.00	7.15	90.0	6.44
02/12/2016	CAMPAGNA, MARIE	WELLS FARGO ADVTG DIVERSIFIED INCOM	0.00	18.01	0.00	18.01	90.0	16.21
02/12/2016	CAMPAGNA, MARIE	WELLS FARGO ADVTG DIVERSIFIED INCOM	0.00	9.52	0.00	9.52	90.0	8.57
03/16/2016	CAMPAGNA, MARIE	WELLS FARGO ADVTG DIVERSIFIED INCOM	0.00	16.86	0.00	16.86	90.0	15.17
03/16/2016	CAMPAGNA, MARIE	WELLS FARGO ADVTG DIVERSIFIED INCOM	0.00	8.89	0.00	8.89	90.0	8.00
04/15/2016	CAMPAGNA, MARIE	WELLS FARGO ADVTG DIVERSIFIED INCOM	0.00	18.86	0.00	18.86	90.0	16.97
04/15/2016	CAMPAGNA, MARIE	WELLS FARGO ADVTG DIVERSIFIED INCOM	0.00	9.92	0.00	9.92	90.0	8.93
05/16/2016	CAMPAGNA, MARIE	WELLS FARGO ADVTG DIVERSIFIED INCOM	0.00	18.51	0.00	18.51	90.0	16.66
05/16/2016	CAMPAGNA, MARIE	WELLS FARGO ADVTG DIVERSIFIED INCOM	0.00	9.72	0.00	9.72	90.0	8.75
06/14/2016	CAMPAGNA, MARIE	WELLS FARGO ADVTG DIVERSIFIED INCOM	0.00	19.23	0.00	19.23	90.0	17.31
06/14/2016	CAMPAGNA, MARIE	WELLS FARGO ADVTG DIVERSIFIED INCOM	0.00	10.08	0.00	10.08	90.0	9.07
07/18/2016	CAMPAGNA, MARIE	WELLS FARGO ADVTG DIVERSIFIED INCOM	0.00	18.81	0.00	18.81	90.0	16.93
07/18/2016	CAMPAGNA, MARIE	WELLS FARGO ADVTG DIVERSIFIED INCOM	0.00	9.84	0.00	9.84	90.0	8.86
08/15/2016	CAMPAGNA, MARIE	WELLS FARGO ADVTG DIVERSIFIED INCOM	0.00	19.99	0.00	19.99	90.0	17.99
08/15/2016	CAMPAGNA, MARIE	WELLS FARGO ADVTG DIVERSIFIED INCOM	0.00	10.43	0.00	10.43	90.0	9.39
09/15/2016	CAMPAGNA, MARIE	WELLS FARGO ADVTG DIVERSIFIED INCOM	0.00	20.35	0.00	20.35	90.0	18.32
09/15/2016	CAMPAGNA, MARIE	WELLS FARGO ADVTG DIVERSIFIED INCOM	0.00	10.60	0.00	10.60	90.0	9.54
10/12/2016	CAMPAGNA, MARIE	WELLS FARGO ADVTG DIVERSIFIED INCOM	0.00	19.71	0.00	19.71	90.0	17.74
10/12/2016	CAMPAGNA, MARIE	WELLS FARGO ADVTG DIVERSIFIED INCOM	0.00	10.25	0.00	10.25	90.0	9.23
11/16/2016	CAMPAGNA, MARIE	WELLS FARGO ADVTG DIVERSIFIED INCOM	0.00	20.55	0.00	20.55	90.0	18.50
11/16/2016	CAMPAGNA, MARIE	WELLS FARGO ADVTG DIVERSIFIED INCOM	0.00	10.65	0.00	10.65	90.0	9.59
12/14/2016	CAMPAGNA, MARIE	WELLS FARGO ADVTG DIVERSIFIED INCOM	0.00	19.71	0.00	19.71	90.0	17.74
12/14/2016	CAMPAGNA, MARIE	WELLS FARGO ADVTG DIVERSIFIED INCOM	0.00	10.20	0.00	10.20	90.0	9.18
02/12/2016	BOWERS, DORA	WELLS FARGO ADVTG EMERGING MARKETS	0.00	0.13	0.00	0.13	90.0	0.12

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
03/16/2016	BOWERS, DORA	WELLS FARGO ADVTG EMERGING MARKETS	0.00	0.12	0.00	0.12	90.0	0.11
04/15/2016	BOWERS, DORA	WELLS FARGO ADVTG EMERGING MARKETS	0.00	0.14	0.00	0.14	90.0	0.13
05/16/2016	BOWERS, DORA	WELLS FARGO ADVTG EMERGING MARKETS	0.00	0.14	0.00	0.14	90.0	0.13
06/14/2016	BOWERS, DORA	WELLS FARGO ADVTG EMERGING MARKETS	0.00	0.14	0.00	0.14	90.0	0.13
07/18/2016	BOWERS, DORA	WELLS FARGO ADVTG EMERGING MARKETS	0.00	0.14	0.00	0.14	90.0	0.13
08/15/2016	BOWERS, DORA	WELLS FARGO ADVTG EMERGING MARKETS	0.00	0.16	0.00	0.16	90.0	0.14
09/15/2016	BOWERS, DORA	WELLS FARGO ADVTG EMERGING MARKETS	0.00	0.16	0.00	0.16	90.0	0.14
10/12/2016	BOWERS, DORA	WELLS FARGO ADVTG EMERGING MARKETS	0.00	0.16	0.00	0.16	90.0	0.14
11/16/2016	BOWERS, DORA	WELLS FARGO ADVTG EMERGING MARKETS	0.00	0.17	0.00	0.17	90.0	0.15
12/14/2016	BOWERS, DORA	WELLS FARGO ADVTG EMERGING MARKETS	0.00	0.15	0.00	0.15	90.0	0.14
02/12/2016	TRICHON, DONNA-LYNN	WELLS FARGO DIVERSIFIED CAPITAL BUI	0.00	12.76	0.00	12.76	90.0	11.48
03/16/2016	TRICHON, DONNA-LYNN	WELLS FARGO DIVERSIFIED CAPITAL BUI	0.00	12.02	0.00	12.02	90.0	10.82
04/15/2016	TRICHON, DONNA-LYNN	WELLS FARGO DIVERSIFIED CAPITAL BUI	0.00	13.78	0.00	13.78	90.0	12.40
05/16/2016	TRICHON, DONNA-LYNN	WELLS FARGO DIVERSIFIED CAPITAL BUI	0.00	13.68	0.00	13.68	90.0	12.31
06/14/2016	TRICHON, DONNA-LYNN	WELLS FARGO DIVERSIFIED CAPITAL BUI	0.00	14.20	0.00	14.20	90.0	12.78
07/18/2016	TRICHON, DONNA-LYNN	WELLS FARGO DIVERSIFIED CAPITAL BUI	0.00	14.11	0.00	14.11	90.0	12.70
08/15/2016	TRICHON, DONNA-LYNN	WELLS FARGO DIVERSIFIED CAPITAL BUI	0.00	15.12	0.00	15.12	90.0	13.61
09/15/2016	TRICHON, DONNA-LYNN	WELLS FARGO DIVERSIFIED CAPITAL BUI	0.00	15.48	0.00	15.48	90.0	13.93
10/12/2016	TRICHON, DONNA-LYNN	WELLS FARGO DIVERSIFIED CAPITAL BUI	0.00	14.99	0.00	14.99	90.0	13.49
11/16/2016	TRICHON, DONNA-LYNN	WELLS FARGO DIVERSIFIED CAPITAL BUI	0.00	15.57	0.00	15.57	90.0	14.01
12/14/2016	TRICHON, DONNA-LYNN	WELLS FARGO DIVERSIFIED CAPITAL BUI	0.00	15.17	0.00	15.17	90.0	13.65
02/12/2016	BOWERS, DORA	WELLS FARGO INTL BOND A	0.00	0.14	0.00	0.14	90.0	0.13
03/16/2016	BOWERS, DORA	WELLS FARGO INTL BOND A	0.00	0.14	0.00	0.14	90.0	0.13
04/15/2016	BOWERS, DORA	WELLS FARGO INTL BOND A	0.00	0.15	0.00	0.15	90.0	0.14
05/16/2016	BOWERS, DORA	WELLS FARGO INTL BOND A	0.00	0.15	0.00	0.15	90.0	0.14
06/14/2016	BOWERS, DORA	WELLS FARGO INTL BOND A	0.00	0.15	0.00	0.15	90.0	0.14
07/18/2016	BOWERS, DORA	WELLS FARGO INTL BOND A	0.00	0.15	0.00	0.15	90.0	0.14
08/15/2016	BOWERS, DORA	WELLS FARGO INTL BOND A	0.00	0.16	0.00	0.16	90.0	0.14
09/15/2016	BOWERS, DORA	WELLS FARGO INTL BOND A	0.00	0.16	0.00	0.16	90.0	0.14
10/12/2016	BOWERS, DORA	WELLS FARGO INTL BOND A	0.00	0.16	0.00	0.16	90.0	0.14
11/16/2016	BOWERS, DORA	WELLS FARGO INTL BOND A	0.00	0.16	0.00	0.16	90.0	0.14
12/14/2016	BOWERS, DORA	WELLS FARGO INTL BOND A	0.00	0.14	0.00	0.14	90.0	0.13
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *			\$0.00	\$27,194.78	\$0.00	\$27,194.78		\$24,476.27

NOTES: * - Indicates adjustment is not included in 1099 Earnings

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^Date - Split Trade - full Investment Amount & Gross Commission displayed

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>DIRECT TRANSACTIONS</u>								
PRODUCT CATEGORY: VARIABLE ANNUITY 12B1 TRAILS								
01/29/2018	MEDIA ENTERPRISES	PAC LIFE INNOVATIVE SELECT	0.00	158.43	0.00	158.43	90.0	142.59
02/05/2018	HAMMOND, HAROLD	PAC LIFE INNOVATIVE SELECT	0.00	82.79	0.00	82.79	90.0	74.51
* VARIABLE ANNUITY 12B1 TRAILS SUBTOTAL *			\$0.00	\$241.22	\$0.00	\$241.22		\$217.10
*** DIRECT TRANSACTIONS TOTAL ***			\$129,593.64	\$27,590.10	\$0.00	\$27,590.10		\$24,832.07

SPLIT TRANSACTIONS**BROKER: J30 MARC/MICHAEL LINSKY/FOX #266**

02/16/2016	HORAN, STACEY	AM FUNDS AMERICAN BALANCED A	0.00	0.21	0.00	0.21	90.0	0.19
03/15/2016	HORAN, STACEY	AM FUNDS AMERICAN BALANCED A	0.00	0.20	0.00	0.20	90.0	0.18
04/20/2016	HORAN, STACEY	AM FUNDS AMERICAN BALANCED A	0.00	0.22	0.00	0.22	90.0	0.20
05/16/2016	HORAN, STACEY	AM FUNDS AMERICAN BALANCED A	0.00	0.22	0.00	0.22	90.0	0.20
06/15/2016	HORAN, STACEY	AM FUNDS AMERICAN BALANCED A	0.00	0.22	0.00	0.22	90.0	0.20
07/18/2016	HORAN, STACEY	AM FUNDS AMERICAN BALANCED A	0.00	0.22	0.00	0.22	90.0	0.20
08/15/2016	HORAN, STACEY	AM FUNDS AMERICAN BALANCED A	0.00	0.23	0.00	0.23	90.0	0.21
09/16/2016	HORAN, STACEY	AM FUNDS AMERICAN BALANCED A	0.00	0.23	0.00	0.23	90.0	0.21
10/17/2016	HORAN, STACEY	AM FUNDS AMERICAN BALANCED A	0.00	0.22	0.00	0.22	90.0	0.20
11/18/2016	HORAN, STACEY	AM FUNDS AMERICAN BALANCED A	0.00	0.23	0.00	0.23	90.0	0.21
12/15/2016	HORAN, STACEY	AM FUNDS AMERICAN BALANCED A	0.00	0.22	0.00	0.22	90.0	0.20
02/16/2016	CLARKE, PHYLLIS	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	1.08	0.00	1.08	90.0	0.97
03/15/2016	CLARKE, PHYLLIS	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	0.99	0.00	0.99	90.0	0.89
04/20/2016	CLARKE, PHYLLIS	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	1.11	0.00	1.11	90.0	1.00
05/16/2016	CLARKE, PHYLLIS	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	1.10	0.00	1.10	90.0	0.99
06/15/2016	CLARKE, PHYLLIS	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	1.15	0.00	1.15	90.0	1.04
07/18/2016	CLARKE, PHYLLIS	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	1.12	0.00	1.12	90.0	1.01
08/15/2016	CLARKE, PHYLLIS	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	1.18	0.00	1.18	90.0	1.06
09/16/2016	CLARKE, PHYLLIS	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	1.19	0.00	1.19	90.0	1.07
10/17/2016	CLARKE, PHYLLIS	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	1.16	0.00	1.16	90.0	1.04
11/18/2016	CLARKE, PHYLLIS	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	1.20	0.00	1.20	90.0	1.08
12/15/2016	CLARKE, PHYLLIS	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	1.15	0.00	1.15	90.0	1.04
02/16/2016	HORAN, STACEY	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.69	0.00	0.69	90.0	0.62
03/15/2016	HORAN, STACEY	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.62	0.00	0.62	90.0	0.56
04/20/2016	HORAN, STACEY	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.71	0.00	0.71	90.0	0.64

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>SPLIT TRANSACTIONS</u>								
<u>BROKER: J30 MARC/MICHAEL LINSKY/FOX #266</u>								
05/16/2016	HORAN, STACEY	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.70	0.00	0.70	90.0	0.63
06/15/2016	HORAN, STACEY	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.72	0.00	0.72	90.0	0.65
07/18/2016	HORAN, STACEY	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.69	0.00	0.69	90.0	0.62
08/15/2016	HORAN, STACEY	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.73	0.00	0.73	90.0	0.66
09/16/2016	HORAN, STACEY	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.76	0.00	0.76	90.0	0.68
10/17/2016	HORAN, STACEY	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.75	0.00	0.75	90.0	0.68
11/18/2016	HORAN, STACEY	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.76	0.00	0.76	90.0	0.68
12/15/2016	HORAN, STACEY	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.71	0.00	0.71	90.0	0.64
02/16/2016	CLARKE, PHYLLIS	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.06	0.00	0.06	90.0	0.05
03/15/2016	CLARKE, PHYLLIS	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.05	0.00	0.05	90.0	0.05
04/20/2016	CLARKE, PHYLLIS	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.06	0.00	0.06	90.0	0.05
05/16/2016	CLARKE, PHYLLIS	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.06	0.00	0.06	90.0	0.05
06/15/2016	CLARKE, PHYLLIS	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.06	0.00	0.06	90.0	0.05
07/18/2016	CLARKE, PHYLLIS	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.06	0.00	0.06	90.0	0.05
08/15/2016	CLARKE, PHYLLIS	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.07	0.00	0.07	90.0	0.06
09/16/2016	CLARKE, PHYLLIS	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.07	0.00	0.07	90.0	0.06
10/17/2016	CLARKE, PHYLLIS	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.06	0.00	0.06	90.0	0.05
11/18/2016	CLARKE, PHYLLIS	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.07	0.00	0.07	90.0	0.06
12/15/2016	CLARKE, PHYLLIS	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.06	0.00	0.06	90.0	0.05
02/11/2016	HORAN, STACEY	DELAWARE SELECT GROWTH FUND CLASS A	0.00	1.01	0.00	1.01	90.0	0.91
03/11/2016	HORAN, STACEY	DELAWARE SELECT GROWTH FUND CLASS A	0.00	0.92	0.00	0.92	90.0	0.83
04/14/2016	HORAN, STACEY	DELAWARE SELECT GROWTH FUND CLASS A	0.00	1.03	0.00	1.03	90.0	0.93
05/16/2016	HORAN, STACEY	DELAWARE SELECT GROWTH FUND CLASS A	0.00	0.99	0.00	0.99	90.0	0.89
06/15/2016	HORAN, STACEY	DELAWARE SELECT GROWTH FUND CLASS A	0.00	1.01	0.00	1.01	90.0	0.91
07/18/2016	HORAN, STACEY	DELAWARE SELECT GROWTH FUND CLASS A	0.00	0.99	0.00	0.99	90.0	0.89
08/11/2016	HORAN, STACEY	DELAWARE SELECT GROWTH FUND CLASS A	0.00	1.05	0.00	1.05	90.0	0.95
09/13/2016	HORAN, STACEY	DELAWARE SELECT GROWTH FUND CLASS A	0.00	1.09	0.00	1.09	90.0	0.98
10/19/2016	HORAN, STACEY	DELAWARE SELECT GROWTH FUND CLASS A	0.00	1.06	0.00	1.06	90.0	0.95
11/17/2016	HORAN, STACEY	DELAWARE SELECT GROWTH FUND CLASS A	0.00	1.09	0.00	1.09	90.0	0.98
12/29/2016	HORAN, STACEY	DELAWARE SELECT GROWTH FUND CLASS A	0.00	1.03	0.00	1.03	90.0	0.93
02/10/2016	EASLICK, JONATHON	EATON VANCE FLOATING RATE FUND CLAS	0.00	7.60	0.00	7.60	90.0	6.84
02/10/2016	EASLICK, JONATHON	FEDERATED CAPITAL INCOME FUND CLASS	0.00	4.18	0.00	4.18	90.0	3.76
03/15/2016	EASLICK, JONATHON	FEDERATED CAPITAL INCOME FUND CLASS	0.00	1.19	0.00	1.19	90.0	1.07

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<u>SPLIT TRANSACTIONS</u>								
BROKER: J30 MARC/MICHAEL LINSKY/FOX #266								
04/20/2016	EASLICK, JONATHON	FIRST EAGLE GLOBAL C	0.00	7.37	0.00	7.37	90.0	6.63
02/16/2016	CLARKE, PHYLLIS	FRANKLIN GROWTH OPPORTUNITIES FUND	0.00	0.09	0.00	0.09	90.0	0.08
03/16/2016	CLARKE, PHYLLIS	FRANKLIN GROWTH OPPORTUNITIES FUND	0.00	0.08	0.00	0.08	90.0	0.07
04/15/2016	CLARKE, PHYLLIS	FRANKLIN GROWTH OPPORTUNITIES FUND	0.00	0.09	0.00	0.09	90.0	0.08
05/13/2016	CLARKE, PHYLLIS	FRANKLIN GROWTH OPPORTUNITIES FUND	0.00	0.09	0.00	0.09	90.0	0.08
06/14/2016	CLARKE, PHYLLIS	FRANKLIN GROWTH OPPORTUNITIES FUND	0.00	0.09	0.00	0.09	90.0	0.08
07/14/2016	CLARKE, PHYLLIS	FRANKLIN GROWTH OPPORTUNITIES FUND	0.00	0.09	0.00	0.09	90.0	0.08
08/15/2016	CLARKE, PHYLLIS	FRANKLIN GROWTH OPPORTUNITIES FUND	0.00	0.09	0.00	0.09	90.0	0.08
09/14/2016	CLARKE, PHYLLIS	FRANKLIN GROWTH OPPORTUNITIES FUND	0.00	0.10	0.00	0.10	90.0	0.09
10/18/2016	CLARKE, PHYLLIS	FRANKLIN GROWTH OPPORTUNITIES FUND	0.00	0.09	0.00	0.09	90.0	0.08
11/15/2016	CLARKE, PHYLLIS	FRANKLIN GROWTH OPPORTUNITIES FUND	0.00	0.10	0.00	0.10	90.0	0.09
12/16/2016	CLARKE, PHYLLIS	FRANKLIN GROWTH OPPORTUNITIES FUND	0.00	0.09	0.00	0.09	90.0	0.08
02/16/2016	SPOKANE, LOIS	GOLDMAN SACHS U.S. EQUITY INSIGHTS	0.00	0.46	0.00	0.46	90.0	0.41
03/16/2016	SPOKANE, LOIS	GOLDMAN SACHS U.S. EQUITY INSIGHTS	0.00	0.42	0.00	0.42	90.0	0.38
04/18/2016	SPOKANE, LOIS	GOLDMAN SACHS U.S. EQUITY INSIGHTS	0.00	0.48	0.00	0.48	90.0	0.43
05/12/2016	SPOKANE, LOIS	GOLDMAN SACHS U.S. EQUITY INSIGHTS	0.00	0.48	0.00	0.48	90.0	0.43
06/20/2016	SPOKANE, LOIS	GOLDMAN SACHS U.S. EQUITY INSIGHTS	0.00	0.49	0.00	0.49	90.0	0.44
07/15/2016	SPOKANE, LOIS	GOLDMAN SACHS U.S. EQUITY INSIGHTS	0.00	0.48	0.00	0.48	90.0	0.43
08/17/2016	SPOKANE, LOIS	GOLDMAN SACHS U.S. EQUITY INSIGHTS	0.00	0.51	0.00	0.51	90.0	0.46
09/21/2016	SPOKANE, LOIS	GOLDMAN SACHS U.S. EQUITY INSIGHTS	0.00	0.52	0.00	0.52	90.0	0.47
10/17/2016	SPOKANE, LOIS	GOLDMAN SACHS U.S. EQUITY INSIGHTS	0.00	0.50	0.00	0.50	90.0	0.45
11/21/2016	SPOKANE, LOIS	GOLDMAN SACHS U.S. EQUITY INSIGHTS	0.00	0.52	0.00	0.52	90.0	0.47
12/15/2016	SPOKANE, LOIS	GOLDMAN SACHS U.S. EQUITY INSIGHTS	0.00	0.51	0.00	0.51	90.0	0.46
02/19/2016	CLARKE, PHYLLIS	HARTFORD INFLATION PLUS FUIND C	0.00	3.33	0.00	3.33	90.0	3.00
03/22/2016	CLARKE, PHYLLIS	HARTFORD INFLATION PLUS FUIND C	0.00	3.13	0.00	3.13	90.0	2.82
04/18/2016	CLARKE, PHYLLIS	HARTFORD INFLATION PLUS FUIND C	0.00	3.38	0.00	3.38	90.0	3.04
05/24/2016	CLARKE, PHYLLIS	HARTFORD INFLATION PLUS FUIND C	0.00	3.31	0.00	3.31	90.0	2.98
06/21/2016	CLARKE, PHYLLIS	HARTFORD INFLATION PLUS FUIND C	0.00	3.42	0.00	3.42	90.0	3.08
07/18/2016	CLARKE, PHYLLIS	HARTFORD INFLATION PLUS FUIND C	0.00	3.33	0.00	3.33	90.0	3.00
08/16/2016	CLARKE, PHYLLIS	HARTFORD INFLATION PLUS FUIND C	0.00	3.47	0.00	3.47	90.0	3.12
09/19/2016	CLARKE, PHYLLIS	HARTFORD INFLATION PLUS FUIND C	0.00	3.46	0.00	3.46	90.0	3.11
10/17/2016	CLARKE, PHYLLIS	HARTFORD INFLATION PLUS FUIND C	0.00	3.35	0.00	3.35	90.0	3.02
11/16/2016	CLARKE, PHYLLIS	HARTFORD INFLATION PLUS FUIND C	0.00	3.48	0.00	3.48	90.0	3.13

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<u>SPLIT TRANSACTIONS</u>								
BROKER: J30 MARC/MICHAEL LINSKY/FOX #266								
12/19/2016	CLARKE, PHYLLIS	HARTFORD INFLATION PLUS FUIND C	0.00	3.33	0.00	3.33	90.0	3.00
04/14/2016	EASLICK, JONATHON	INVESCO BALANCED-RISK ALLOCATION-C	0.00	5.45	0.00	5.45	90.0	4.91
04/15/2016	EASLICK, CONNIE	IVY HIGH INCOME FUND CLASS C	0.00	1.32	0.00	1.32	90.0	1.19
04/15/2016	EASLICK, JONATHON	IVY HIGH INCOME FUND CLASS C	0.00	5.45	0.00	5.45	90.0	4.91
04/15/2016	EASLICK, JONATHON	IVY HIGH INCOME FUND CLASS C	0.00	1.47	0.00	1.47	90.0	1.32
02/12/2018	LUCREZIO, VINCENT	LANDMARK 2002	51,538.07	128.85	0.00	128.85	90.0	115.97
02/22/2016	CLARKE, PHYLLIS	LORD ABBETT AFFILIATED A	0.00	0.87	0.00	0.87	90.0	0.78
03/22/2016	CLARKE, PHYLLIS	LORD ABBETT AFFILIATED A	0.00	0.81	0.00	0.81	90.0	0.73
04/21/2016	CLARKE, PHYLLIS	LORD ABBETT AFFILIATED A	0.00	0.93	0.00	0.93	90.0	0.84
05/23/2016	CLARKE, PHYLLIS	LORD ABBETT AFFILIATED A	0.00	0.91	0.00	0.91	90.0	0.82
06/21/2016	CLARKE, PHYLLIS	LORD ABBETT AFFILIATED A	0.00	0.95	0.00	0.95	90.0	0.86
07/21/2016	CLARKE, PHYLLIS	LORD ABBETT AFFILIATED A	0.00	0.93	0.00	0.93	90.0	0.84
08/22/2016	CLARKE, PHYLLIS	LORD ABBETT AFFILIATED A	0.00	0.98	0.00	0.98	90.0	0.88
09/21/2016	CLARKE, PHYLLIS	LORD ABBETT AFFILIATED A	0.00	0.99	0.00	0.99	90.0	0.89
10/20/2016	CLARKE, PHYLLIS	LORD ABBETT AFFILIATED A	0.00	0.96	0.00	0.96	90.0	0.86
11/21/2016	CLARKE, PHYLLIS	LORD ABBETT AFFILIATED A	0.00	0.98	0.00	0.98	90.0	0.88
12/21/2016	CLARKE, PHYLLIS	LORD ABBETT AFFILIATED A	0.00	0.98	0.00	0.98	90.0	0.88
02/22/2016	SPOKANE, LOIS	LORD ABBETT BOND DEBENTURE A	0.00	2.35	0.00	2.35	90.0	2.12
03/22/2016	SPOKANE, LOIS	LORD ABBETT BOND DEBENTURE A	0.00	2.16	0.00	2.16	90.0	1.94
04/21/2016	SPOKANE, LOIS	LORD ABBETT BOND DEBENTURE A	0.00	2.41	0.00	2.41	90.0	2.17
05/23/2016	SPOKANE, LOIS	LORD ABBETT BOND DEBENTURE A	0.00	2.38	0.00	2.38	90.0	2.14
06/21/2016	SPOKANE, LOIS	LORD ABBETT BOND DEBENTURE A	0.00	2.49	0.00	2.49	90.0	2.24
07/21/2016	SPOKANE, LOIS	LORD ABBETT BOND DEBENTURE A	0.00	2.44	0.00	2.44	90.0	2.20
08/22/2016	SPOKANE, LOIS	LORD ABBETT BOND DEBENTURE A	0.00	2.59	0.00	2.59	90.0	2.33
09/21/2016	SPOKANE, LOIS	LORD ABBETT BOND DEBENTURE A	0.00	2.63	0.00	2.63	90.0	2.37
10/20/2016	SPOKANE, LOIS	LORD ABBETT BOND DEBENTURE A	0.00	2.56	0.00	2.56	90.0	2.30
11/21/2016	SPOKANE, LOIS	LORD ABBETT BOND DEBENTURE A	0.00	2.66	0.00	2.66	90.0	2.39
12/21/2016	SPOKANE, LOIS	LORD ABBETT BOND DEBENTURE A	0.00	2.55	0.00	2.55	90.0	2.30
02/22/2016	SPOKANE, LOIS	LORD ABBETT FUNDAMENTAL EQUITY A	0.00	4.09	0.00	4.09	90.0	3.68
03/22/2016	SPOKANE, LOIS	LORD ABBETT FUNDAMENTAL EQUITY A	0.00	3.77	0.00	3.77	90.0	3.39
04/21/2016	SPOKANE, LOIS	LORD ABBETT FUNDAMENTAL EQUITY A	0.00	4.29	0.00	4.29	90.0	3.86
05/23/2016	SPOKANE, LOIS	LORD ABBETT FUNDAMENTAL EQUITY A	0.00	4.28	0.00	4.28	90.0	3.85
06/21/2016	SPOKANE, LOIS	LORD ABBETT FUNDAMENTAL EQUITY A	0.00	4.46	0.00	4.46	90.0	4.01

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<u>SPLIT TRANSACTIONS</u>								
<u>BROKER: J30 MARC/MICHAEL LINSKY/FOX #266</u>								
07/21/2016	SPOKANE, LOIS	LORD ABBETT FUNDAMENTAL EQUITY A	0.00	4.37	0.00	4.37	90.0	3.93
08/22/2016	SPOKANE, LOIS	LORD ABBETT FUNDAMENTAL EQUITY A	0.00	4.63	0.00	4.63	90.0	4.17
09/21/2016	SPOKANE, LOIS	LORD ABBETT FUNDAMENTAL EQUITY A	0.00	4.69	0.00	4.69	90.0	4.22
10/20/2016	SPOKANE, LOIS	LORD ABBETT FUNDAMENTAL EQUITY A	0.00	4.51	0.00	4.51	90.0	4.06
11/21/2016	SPOKANE, LOIS	LORD ABBETT FUNDAMENTAL EQUITY A	0.00	4.38	0.00	4.38	90.0	3.94
12/21/2016	SPOKANE, LOIS	LORD ABBETT FUNDAMENTAL EQUITY A	0.00	4.34	0.00	4.34	90.0	3.91
02/25/2016	EASLICK, CONNIE	MAINSTAY CUSHING MLP PREMIER FUND C	0.00	0.66	0.00	0.66	90.0	0.59
02/25/2016	EASLICK, JONATHON	MAINSTAY CUSHING MLP PREMIER FUND C	0.00	2.94	0.00	2.94	90.0	2.65
02/25/2016	EASLICK, JONATHON	MAINSTAY CUSHING MLP PREMIER FUND C	0.00	0.74	0.00	0.74	90.0	0.67
03/08/2016	EASLICK, CONNIE	MAINSTAY CUSHING MLP PREMIER FUND C	0.00	0.17	0.00	0.17	90.0	0.15
03/08/2016	EASLICK, JONATHON	MAINSTAY CUSHING MLP PREMIER FUND C	0.00	0.76	0.00	0.76	90.0	0.68
03/08/2016	EASLICK, JONATHON	MAINSTAY CUSHING MLP PREMIER FUND C	0.00	0.19	0.00	0.19	90.0	0.17
02/08/2016	EASLICK, JONATHON	MFS UTILITIES C	0.00	4.92	0.00	4.92	90.0	4.43
03/14/2016	EASLICK, JONATHON	MFS UTILITIES C	0.00	1.43	0.00	1.43	90.0	1.29
02/22/2016	CLARKE, PHYLLIS	PIMCO TOTAL RETURN C	0.00	14.05	0.00	14.05	90.0	12.65
03/11/2016	CLARKE, PHYLLIS	PIMCO TOTAL RETURN C	0.00	13.13	0.00	13.13	90.0	11.82
04/20/2016	CLARKE, PHYLLIS	PIMCO TOTAL RETURN C	0.00	14.07	0.00	14.07	90.0	12.66
05/18/2016	CLARKE, PHYLLIS	PIMCO TOTAL RETURN C	0.00	13.75	0.00	13.75	90.0	12.38
06/16/2016	CLARKE, PHYLLIS	PIMCO TOTAL RETURN C	0.00	14.23	0.00	14.23	90.0	12.81
07/15/2016	CLARKE, PHYLLIS	PIMCO TOTAL RETURN C	0.00	13.82	0.00	13.82	90.0	12.44
08/12/2016	CLARKE, PHYLLIS	PIMCO TOTAL RETURN C	0.00	14.46	0.00	14.46	90.0	13.01
09/15/2016	CLARKE, PHYLLIS	PIMCO TOTAL RETURN C	0.00	14.41	0.00	14.41	90.0	12.97
10/21/2016	CLARKE, PHYLLIS	PIMCO TOTAL RETURN C	0.00	13.92	0.00	13.92	90.0	12.53
11/18/2016	CLARKE, PHYLLIS	PIMCO TOTAL RETURN C	0.00	14.35	0.00	14.35	90.0	12.92
12/14/2016	CLARKE, PHYLLIS	PIMCO TOTAL RETURN C	0.00	13.64	0.00	13.64	90.0	12.28
02/22/2016	BELLO, JOSEPH	PUTNAM MULTI CAP GROWTH A	0.00	0.43	0.00	0.43	90.0	0.39
03/22/2016	BELLO, JOSEPH	PUTNAM MULTI CAP GROWTH A	0.00	0.39	0.00	0.39	90.0	0.35
04/21/2016	BELLO, JOSEPH	PUTNAM MULTI CAP GROWTH A	0.00	0.44	0.00	0.44	90.0	0.40
05/26/2016	BELLO, JOSEPH	PUTNAM MULTI CAP GROWTH A	0.00	0.44	0.00	0.44	90.0	0.40
06/23/2016	BELLO, JOSEPH	PUTNAM MULTI CAP GROWTH A	0.00	0.45	0.00	0.45	90.0	0.41
07/26/2016	BELLO, JOSEPH	PUTNAM MULTI CAP GROWTH A	0.00	0.44	0.00	0.44	90.0	0.40
08/19/2016	BELLO, JOSEPH	PUTNAM MULTI CAP GROWTH A	0.00	0.47	0.00	0.47	90.0	0.42
09/20/2016	BELLO, JOSEPH	PUTNAM MULTI CAP GROWTH A	0.00	0.49	0.00	0.49	90.0	0.44

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>SPLIT TRANSACTIONS</u>								
BROKER: J30 MARC/MICHAEL LINSKY/FOX #266								
10/25/2016	BELLO, JOSEPH	PUTNAM MULTI CAP GROWTH A	0.00	0.47	0.00	0.47	90.0	0.42
11/23/2016	BELLO, JOSEPH	PUTNAM MULTI CAP GROWTH A	0.00	0.48	0.00	0.48	90.0	0.43
12/23/2016	BELLO, JOSEPH	PUTNAM MULTI CAP GROWTH A	0.00	0.47	0.00	0.47	90.0	0.42
02/12/2016	LANUTI, CHERYL	RESOURCE R E DIVERSIFIED INC FUND A	0.00	8.53	0.00	8.53	90.0	7.68
03/14/2016	LANUTI, CHERYL	RESOURCE R E DIVERSIFIED INC FUND A	0.00	7.76	0.00	7.76	90.0	6.98
04/18/2016	LANUTI, CHERYL	RESOURCE R E DIVERSIFIED INC FUND A	0.00	8.65	0.00	8.65	90.0	7.79
05/16/2016	LANUTI, CHERYL	RESOURCE R E DIVERSIFIED INC FUND A	0.00	8.46	0.00	8.46	90.0	7.61
06/16/2016	LANUTI, CHERYL	RESOURCE R E DIVERSIFIED INC FUND A	0.00	8.85	0.00	8.85	90.0	7.97
07/18/2016	LANUTI, CHERYL	RESOURCE R E DIVERSIFIED INC FUND A	0.00	8.67	0.00	8.67	90.0	7.80
08/15/2016	LANUTI, CHERYL	RESOURCE R E DIVERSIFIED INC FUND A	0.00	9.19	0.00	9.19	90.0	8.27
09/15/2016	LANUTI, CHERYL	RESOURCE R E DIVERSIFIED INC FUND A	0.00	9.40	0.00	9.40	90.0	8.46
10/17/2016	LANUTI, CHERYL	RESOURCE R E DIVERSIFIED INC FUND A	0.00	9.11	0.00	9.11	90.0	8.20
11/17/2016	LANUTI, CHERYL	RESOURCE R E DIVERSIFIED INC FUND A	0.00	9.24	0.00	9.24	90.0	8.32
12/14/2016	LANUTI, CHERYL	RESOURCE R E DIVERSIFIED INC FUND A	0.00	8.83	0.00	8.83	90.0	7.95
02/09/2016	MAHONEY, MARIA	SENTINEL GOVERNMENT SECURITIES FUND	0.00	5.09	0.00	5.09	90.0	4.58
03/21/2016	MAHONEY, MARIA	SENTINEL GOVERNMENT SECURITIES FUND	0.00	4.80	0.00	4.80	90.0	4.32
04/18/2016	MAHONEY, MARIA	SENTINEL GOVERNMENT SECURITIES FUND	0.00	5.13	0.00	5.13	90.0	4.62
05/18/2016	MAHONEY, MARIA	SENTINEL GOVERNMENT SECURITIES FUND	0.00	4.98	0.00	4.98	90.0	4.48
06/16/2016	MAHONEY, MARIA	SENTINEL GOVERNMENT SECURITIES FUND	0.00	5.15	0.00	5.15	90.0	4.64
07/22/2016	MAHONEY, MARIA	SENTINEL GOVERNMENT SECURITIES FUND	0.00	5.00	0.00	5.00	90.0	4.50
08/19/2016	MAHONEY, MARIA	SENTINEL GOVERNMENT SECURITIES FUND	0.00	5.19	0.00	5.19	90.0	4.67
09/26/2016	MAHONEY, MARIA	SENTINEL GOVERNMENT SECURITIES FUND	0.00	5.19	0.00	5.19	90.0	4.67
10/19/2016	MAHONEY, MARIA	SENTINEL GOVERNMENT SECURITIES FUND	0.00	5.03	0.00	5.03	90.0	4.53
11/11/2016	MAHONEY, MARIA	SENTINEL GOVERNMENT SECURITIES FUND	0.00	5.18	0.00	5.18	90.0	4.66
12/15/2016	MAHONEY, MARIA	SENTINEL GOVERNMENT SECURITIES FUND	0.00	4.96	0.00	4.96	90.0	4.46
02/09/2016	MAHONEY, MARIA	SENTINEL MULTI- ASSET INCOME FUND A	0.00	4.32	0.00	4.32	90.0	3.89
03/21/2016	MAHONEY, MARIA	SENTINEL MULTI- ASSET INCOME FUND A	0.00	4.01	0.00	4.01	90.0	3.61
04/18/2016	MAHONEY, MARIA	SENTINEL MULTI- ASSET INCOME FUND A	0.00	4.45	0.00	4.45	90.0	4.01
05/18/2016	MAHONEY, MARIA	SENTINEL MULTI- ASSET INCOME FUND A	0.00	4.38	0.00	4.38	90.0	3.94
06/16/2016	MAHONEY, MARIA	SENTINEL MULTI- ASSET INCOME FUND A	0.00	4.57	0.00	4.57	90.0	4.11
07/22/2016	MAHONEY, MARIA	SENTINEL MULTI- ASSET INCOME FUND A	0.00	4.47	0.00	4.47	90.0	4.02
08/19/2016	MAHONEY, MARIA	SENTINEL MULTI- ASSET INCOME FUND A	0.00	4.73	0.00	4.73	90.0	4.26
09/26/2016	MAHONEY, MARIA	SENTINEL MULTI- ASSET INCOME FUND A	0.00	4.76	0.00	4.76	90.0	4.28

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<u>SPLIT TRANSACTIONS</u>								
<u>BROKER: J30 MARC/MICHAEL LINSKY/FOX #266</u>								
10/19/2016	MAHONEY, MARIA	SENTINEL MULTI- ASSET INCOME FUND A	0.00	4.61	0.00	4.61	90.0	4.15
11/11/2016	MAHONEY, MARIA	SENTINEL MULTI- ASSET INCOME FUND A	0.00	4.76	0.00	4.76	90.0	4.28
12/15/2016	MAHONEY, MARIA	SENTINEL MULTI- ASSET INCOME FUND A	0.00	4.54	0.00	4.54	90.0	4.09
02/16/2016	EASLICK, JONATHON	TEMPLETON GLOBAL BOND C	0.00	4.43	0.00	4.43	90.0	3.99
03/16/2016	EASLICK, JONATHON	TEMPLETON GLOBAL BOND C	0.00	1.29	0.00	1.29	90.0	1.16
* J30 MARC/MICHAEL LINSKY/FOX SUBTOTAL *			\$51,538.07	\$704.52	\$0.00	\$704.52		\$634.11
<u>BROKER: R134-DAN/JEFF/JON P/ FT-NY RAUPP/KI #272</u>								
08/15/2016	DAMONE, DENNIS	JP MORGAN INVESTOR GROWTH & INCOME	0.00	0.19	0.00	0.19	90.0	0.17
09/15/2016	DAMONE, DENNIS	JP MORGAN INVESTOR GROWTH & INCOME	0.00	0.19	0.00	0.19	90.0	0.17
10/14/2016	DAMONE, DENNIS	JP MORGAN INVESTOR GROWTH & INCOME	0.00	0.19	0.00	0.19	90.0	0.17
11/21/2016	DAMONE, DENNIS	JP MORGAN INVESTOR GROWTH & INCOME	0.00	0.19	0.00	0.19	90.0	0.17
12/16/2016	DAMONE, DENNIS	JP MORGAN INVESTOR GROWTH & INCOME	0.00	0.19	0.00	0.19	90.0	0.17
* R134-DAN/JEFF/JON P/ FT-NY RAUPP/KI SUBTOTAL *			\$0.00	\$0.95	\$0.00	\$0.95		\$0.85
<u>BROKER: C148 DAN/MARC FT-CHARLEY/LINSKY #315</u>								
08/15/2016	ANDERSON, WILLIAM	AM FUNDS BOND FUND OF AMERICA A	0.00	0.28	0.00	0.28	90.0	0.25
09/16/2016	ANDERSON, WILLIAM	AM FUNDS BOND FUND OF AMERICA A	0.00	0.47	0.00	0.47	90.0	0.42
10/17/2016	ANDERSON, WILLIAM	AM FUNDS BOND FUND OF AMERICA A	0.00	0.46	0.00	0.46	90.0	0.41
11/18/2016	ANDERSON, WILLIAM	AM FUNDS BOND FUND OF AMERICA A	0.00	0.47	0.00	0.47	90.0	0.42
12/15/2016	ANDERSON, WILLIAM	AM FUNDS BOND FUND OF AMERICA A	0.00	0.45	0.00	0.45	90.0	0.41
08/19/2016	ANDERSON, WILLIAM	AMERICAN CENTURY CORE PLUS FUND CLA	0.00	1.67	0.00	1.67	90.0	1.50
09/19/2016	ANDERSON, WILLIAM	AMERICAN CENTURY CORE PLUS FUND CLA	0.00	2.87	0.00	2.87	90.0	2.58
10/20/2016	ANDERSON, WILLIAM	AMERICAN CENTURY CORE PLUS FUND CLA	0.00	2.78	0.00	2.78	90.0	2.50
11/18/2016	ANDERSON, WILLIAM	AMERICAN CENTURY CORE PLUS FUND CLA	0.00	2.86	0.00	2.86	90.0	2.57
12/19/2016	ANDERSON, WILLIAM	AMERICAN CENTURY CORE PLUS FUND CLA	0.00	2.72	0.00	2.72	90.0	2.45
10/27/2016	ANDERSON, ELAINE	BLK GLOBAL ALLOCATION C	0.00	0.30	0.00	0.30	90.0	0.27
11/28/2016	ANDERSON, ELAINE	BLK GLOBAL ALLOCATION C	0.00	2.28	0.00	2.28	90.0	2.05
12/21/2016	ANDERSON, ELAINE	BLK GLOBAL ALLOCATION C	0.00	2.19	0.00	2.19	90.0	1.97
10/21/2016	ANDERSON, ELAINE	CALAMOS GROWTH & INCOME A	0.00	0.10	0.00	0.10	90.0	0.09
11/18/2016	ANDERSON, ELAINE	CALAMOS GROWTH & INCOME A	0.00	0.79	0.00	0.79	90.0	0.71
12/20/2016	ANDERSON, ELAINE	CALAMOS GROWTH & INCOME A	0.00	0.76	0.00	0.76	90.0	0.68
10/14/2016	ANDERSON, WILLIAM	COLUMBIA BALANCED FUND CLASS C	0.00	0.41	0.00	0.41	90.0	0.37
11/15/2016	ANDERSON, WILLIAM	COLUMBIA BALANCED FUND CLASS C	0.00	3.14	0.00	3.14	90.0	2.83

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<u>SPLIT TRANSACTIONS</u>								
BROKER: C148 DAN/MARC FT-CHARLEY/LINSKY #315								
12/15/2016	ANDERSON, WILLIAM	COLUMBIA BALANCED FUND CLASS C	0.00	3.02	0.00	3.02	90.0	2.72
04/15/2016	FIAMINGO, FRANK	COLUMBIA SELIGMAN COMM AND INFO A	0.00	0.30	0.00	0.30	90.0	0.27
05/24/2016	FIAMINGO, FRANK	COLUMBIA SELIGMAN COMM AND INFO A	0.00	1.00	0.00	1.00	90.0	0.90
06/14/2016	FIAMINGO, FRANK	COLUMBIA SELIGMAN COMM AND INFO A	0.00	0.99	0.00	0.99	90.0	0.89
07/20/2016	FIAMINGO, FRANK	COLUMBIA SELIGMAN COMM AND INFO A	0.00	0.99	0.00	0.99	90.0	0.89
08/17/2016	FIAMINGO, FRANK	COLUMBIA SELIGMAN COMM AND INFO A	0.00	1.05	0.00	1.05	90.0	0.95
09/16/2016	FIAMINGO, FRANK	COLUMBIA SELIGMAN COMM AND INFO A	0.00	1.11	0.00	1.11	90.0	1.00
10/14/2016	FIAMINGO, FRANK	COLUMBIA SELIGMAN COMM AND INFO A	0.00	1.09	0.00	1.09	90.0	0.98
11/15/2016	FIAMINGO, FRANK	COLUMBIA SELIGMAN COMM AND INFO A	0.00	1.15	0.00	1.15	90.0	1.04
12/15/2016	FIAMINGO, FRANK	COLUMBIA SELIGMAN COMM AND INFO A	0.00	1.12	0.00	1.12	90.0	1.01
04/20/2016	FIAMINGO, FRANK	DAVIS REAL ESTATE A	0.00	0.58	0.00	0.58	90.0	0.52
05/16/2016	FIAMINGO, FRANK	DAVIS REAL ESTATE A	0.00	1.94	0.00	1.94	90.0	1.75
06/16/2016	FIAMINGO, FRANK	DAVIS REAL ESTATE A	0.00	2.04	0.00	2.04	90.0	1.84
07/15/2016	FIAMINGO, FRANK	DAVIS REAL ESTATE A	0.00	2.02	0.00	2.02	90.0	1.82
08/15/2016	FIAMINGO, FRANK	DAVIS REAL ESTATE A	0.00	2.22	0.00	2.22	90.0	2.00
09/16/2016	FIAMINGO, FRANK	DAVIS REAL ESTATE A	0.00	2.20	0.00	2.20	90.0	1.98
10/17/2016	FIAMINGO, FRANK	DAVIS REAL ESTATE A	0.00	2.10	0.00	2.10	90.0	1.89
11/11/2016	FIAMINGO, FRANK	DAVIS REAL ESTATE A	0.00	2.07	0.00	2.07	90.0	1.86
12/16/2016	FIAMINGO, FRANK	DAVIS REAL ESTATE A	0.00	1.94	0.00	1.94	90.0	1.75
08/16/2016	ANDERSON, WILLIAM	EAGLE GROWTH AND INCOME FUND CLASS	0.00	3.19	0.00	3.19	90.0	2.87
09/15/2016	ANDERSON, WILLIAM	EAGLE GROWTH AND INCOME FUND CLASS	0.00	5.49	0.00	5.49	90.0	4.94
10/20/2016	ANDERSON, WILLIAM	EAGLE GROWTH AND INCOME FUND CLASS	0.00	5.24	0.00	5.24	90.0	4.72
11/16/2016	ANDERSON, WILLIAM	EAGLE GROWTH AND INCOME FUND CLASS	0.00	5.35	0.00	5.35	90.0	4.82
12/21/2016	ANDERSON, WILLIAM	EAGLE GROWTH AND INCOME FUND CLASS	0.00	5.21	0.00	5.21	90.0	4.69
10/27/2016	ANDERSON, ELAINE	FIRST EAGLE FUND OF AMERICA CLASS Y	0.00	0.02	0.00	0.02	90.0	0.02
04/20/2016	FIAMINGO, FRANK	FIRST EAGLE GLOBAL FUND CL A	0.00	1.59	0.00	1.59	90.0	1.43
07/22/2016	FIAMINGO, FRANK	FIRST EAGLE GLOBAL FUND CL A	0.00	7.56	0.00	7.56	90.0	6.80
07/29/2016	FIAMINGO, FRANK	FIRST EAGLE GLOBAL FUND CL A	0.00	8.88	0.00	8.88	90.0	7.99
08/10/2016	FIAMINGO, FRANK	FIRST EAGLE GLOBAL FUND CL A	0.00	5.77	0.00	5.77	90.0	5.19
09/16/2016	FIAMINGO, FRANK	FIRST EAGLE GLOBAL FUND CL A	0.00	5.92	0.00	5.92	90.0	5.33
10/21/2016	FIAMINGO, FRANK	FIRST EAGLE GLOBAL FUND CL A	0.00	5.68	0.00	5.68	90.0	5.11
11/30/2016	FIAMINGO, FRANK	FIRST EAGLE GLOBAL FUND CL A	0.00	5.84	0.00	5.84	90.0	5.26
12/21/2016	FIAMINGO, FRANK	FIRST EAGLE GLOBAL FUND CL A	0.00	5.64	0.00	5.64	90.0	5.08

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<u>SPLIT TRANSACTIONS</u>								
<u>BROKER: C148 DAN/MARC FT-CHARLEY/LINSKY #315</u>								
04/20/2016	FIAMINGO, FRANK	FIRST EAGLE OVERSEAS FUND CLASS A	0.00	0.57	0.00	0.57	90.0	0.51
07/22/2016	FIAMINGO, FRANK	FIRST EAGLE OVERSEAS FUND CLASS A	0.00	2.70	0.00	2.70	90.0	2.43
07/29/2016	FIAMINGO, FRANK	FIRST EAGLE OVERSEAS FUND CLASS A	0.00	3.16	0.00	3.16	90.0	2.84
08/10/2016	ANDERSON, WILLIAM	FIRST EAGLE OVERSEAS FUND CLASS A	0.00	0.52	0.00	0.52	90.0	0.47
08/10/2016	FIAMINGO, FRANK	FIRST EAGLE OVERSEAS FUND CLASS A	0.00	2.04	0.00	2.04	90.0	1.84
09/16/2016	ANDERSON, WILLIAM	FIRST EAGLE OVERSEAS FUND CLASS A	0.00	0.92	0.00	0.92	90.0	0.83
09/16/2016	FIAMINGO, FRANK	FIRST EAGLE OVERSEAS FUND CLASS A	0.00	2.09	0.00	2.09	90.0	1.88
10/21/2016	FIAMINGO, FRANK	FIRST EAGLE OVERSEAS FUND CLASS A	0.00	2.02	0.00	2.02	90.0	1.82
10/21/2016	ANDERSON, WILLIAM	FIRST EAGLE OVERSEAS FUND CLASS A	0.00	0.88	0.00	0.88	90.0	0.79
11/30/2016	FIAMINGO, FRANK	FIRST EAGLE OVERSEAS FUND CLASS A	0.00	2.07	0.00	2.07	90.0	1.86
11/30/2016	ANDERSON, WILLIAM	FIRST EAGLE OVERSEAS FUND CLASS A	0.00	0.91	0.00	0.91	90.0	0.82
12/21/2016	FIAMINGO, FRANK	FIRST EAGLE OVERSEAS FUND CLASS A	0.00	1.96	0.00	1.96	90.0	1.76
12/21/2016	ANDERSON, WILLIAM	FIRST EAGLE OVERSEAS FUND CLASS A	0.00	0.86	0.00	0.86	90.0	0.77
04/14/2016	FIAMINGO, FRANK	INVESCO TECHNOLOGY A	0.00	0.18	0.00	0.18	90.0	0.16
07/19/2016	FIAMINGO, FRANK	INVESCO TECHNOLOGY A	0.00	1.87	0.00	1.87	90.0	1.68
10/17/2016	FIAMINGO, FRANK	INVESCO TECHNOLOGY A	0.00	2.03	0.00	2.03	90.0	1.83
10/12/2016	ANDERSON, ELAINE	JANUS BALANCED FUND CLASS C	0.00	0.35	0.00	0.35	90.0	0.32
11/10/2016	ANDERSON, ELAINE	JANUS BALANCED FUND CLASS C	0.00	2.71	0.00	2.71	90.0	2.44
12/15/2016	ANDERSON, ELAINE	JANUS BALANCED FUND CLASS C	0.00	2.65	0.00	2.65	90.0	2.39
10/24/2016	ANDERSON, ELAINE	JH STRATEGIC INCOME A	0.00	0.06	0.00	0.06	90.0	0.05
11/18/2016	ANDERSON, ELAINE	JH STRATEGIC INCOME A	0.00	0.43	0.00	0.43	90.0	0.39
12/16/2016	ANDERSON, ELAINE	JH STRATEGIC INCOME A	0.00	0.41	0.00	0.41	90.0	0.37
04/21/2016	FIAMINGO, FRANK	OPPENHEIMER CAPITAL INCOME A	0.00	0.26	0.00	0.26	90.0	0.23
05/19/2016	FIAMINGO, FRANK	OPPENHEIMER CAPITAL INCOME A	0.00	0.87	0.00	0.87	90.0	0.78
06/30/2016	FIAMINGO, FRANK	OPPENHEIMER CAPITAL INCOME A	0.00	0.91	0.00	0.91	90.0	0.82
07/18/2016	FIAMINGO, FRANK	OPPENHEIMER CAPITAL INCOME A	0.00	0.89	0.00	0.89	90.0	0.80
08/24/2016	FIAMINGO, FRANK	OPPENHEIMER CAPITAL INCOME A	0.00	0.93	0.00	0.93	90.0	0.84
09/22/2016	FIAMINGO, FRANK	OPPENHEIMER CAPITAL INCOME A	0.00	0.94	0.00	0.94	90.0	0.85
10/21/2016	FIAMINGO, FRANK	OPPENHEIMER CAPITAL INCOME A	0.00	0.90	0.00	0.90	90.0	0.81
11/21/2016	FIAMINGO, FRANK	OPPENHEIMER CAPITAL INCOME A	0.00	0.93	0.00	0.93	90.0	0.84
12/19/2016	FIAMINGO, FRANK	OPPENHEIMER CAPITAL INCOME A	0.00	0.90	0.00	0.90	90.0	0.81
10/21/2016	ANDERSON, WILLIAM	PIMCO REAL RETURN C	0.00	0.23	0.00	0.23	90.0	0.21
11/18/2016	ANDERSON, WILLIAM	PIMCO REAL RETURN C	0.00	1.72	0.00	1.72	90.0	1.55

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^Date - Split Trade - full Investment Amount & Gross Commission displayed

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>SPLIT TRANSACTIONS</u>								
BROKER: C148 DAN/MARC FT-CHARLEY/LINSKY #315								
12/14/2016	ANDERSON, WILLIAM	PIMCO REAL RETURN C	0.00	1.64	0.00	1.64	90.0	1.48
04/15/2016	RYNEX, CAROL	WELLS FARGO DOW JONES TARGET 2035 F	0.00	0.31	0.00	0.31	90.0	0.28
04/15/2016	RYNEX, CAROL	WELLS FARGO DOW JONES TARGET 2035 F	0.00	3.12	0.00	3.12	90.0	2.81
05/16/2016	RYNEX, CAROL	WELLS FARGO DOW JONES TARGET 2035 F	0.00	0.84	0.00	0.84	90.0	0.76
05/16/2016	RYNEX, CAROL	WELLS FARGO DOW JONES TARGET 2035 F	0.00	5.88	0.00	5.88	90.0	5.29
06/14/2016	RYNEX, CAROL	WELLS FARGO DOW JONES TARGET 2035 F	0.00	0.87	0.00	0.87	90.0	0.78
07/18/2016	RYNEX, CAROL	WELLS FARGO DOW JONES TARGET 2035 F	0.00	0.85	0.00	0.85	90.0	0.77
08/15/2016	RYNEX, CAROL	WELLS FARGO DOW JONES TARGET 2035 F	0.00	0.90	0.00	0.90	90.0	0.81
09/15/2016	RYNEX, CAROL	WELLS FARGO DOW JONES TARGET 2035 F	0.00	0.92	0.00	0.92	90.0	0.83
10/12/2016	RYNEX, CAROL	WELLS FARGO DOW JONES TARGET 2035 F	0.00	0.88	0.00	0.88	90.0	0.79
11/16/2016	RYNEX, CAROL	WELLS FARGO DOW JONES TARGET 2035 F	0.00	0.91	0.00	0.91	90.0	0.82
12/14/2016	RYNEX, CAROL	WELLS FARGO DOW JONES TARGET 2035 F	0.00	0.87	0.00	0.87	90.0	0.78
05/16/2016	RYNEX, STEPHEN	WELLS FARGO PREMIER LG COMP GRWTH A	0.00	0.34	0.00	0.34	90.0	0.31
05/16/2016	RYNEX, ANDREW	WELLS FARGO PREMIER LG COMP GRWTH A	0.00	0.28	0.00	0.28	90.0	0.25
06/14/2016	RYNEX, STEPHEN	WELLS FARGO PREMIER LG COMP GRWTH A	0.00	0.51	0.00	0.51	90.0	0.46
06/14/2016	RYNEX, ANDREW	WELLS FARGO PREMIER LG COMP GRWTH A	0.00	0.46	0.00	0.46	90.0	0.41
07/18/2016	RYNEX, STEPHEN	WELLS FARGO PREMIER LG COMP GRWTH A	0.00	0.50	0.00	0.50	90.0	0.45
07/18/2016	RYNEX, ANDREW	WELLS FARGO PREMIER LG COMP GRWTH A	0.00	0.44	0.00	0.44	90.0	0.40
08/15/2016	RYNEX, STEPHEN	WELLS FARGO PREMIER LG COMP GRWTH A	0.00	0.53	0.00	0.53	90.0	0.48
08/15/2016	RYNEX, ANDREW	WELLS FARGO PREMIER LG COMP GRWTH A	0.00	0.47	0.00	0.47	90.0	0.42
09/15/2016	RYNEX, STEPHEN	WELLS FARGO PREMIER LG COMP GRWTH A	0.00	0.54	0.00	0.54	90.0	0.49
09/15/2016	RYNEX, ANDREW	WELLS FARGO PREMIER LG COMP GRWTH A	0.00	0.48	0.00	0.48	90.0	0.43
10/12/2016	RYNEX, STEPHEN	WELLS FARGO PREMIER LG COMP GRWTH A	0.00	0.52	0.00	0.52	90.0	0.47
10/12/2016	RYNEX, ANDREW	WELLS FARGO PREMIER LG COMP GRWTH A	0.00	0.46	0.00	0.46	90.0	0.41
11/16/2016	RYNEX, STEPHEN	WELLS FARGO PREMIER LG COMP GRWTH A	0.00	0.49	0.00	0.49	90.0	0.44
11/16/2016	RYNEX, ANDREW	WELLS FARGO PREMIER LG COMP GRWTH A	0.00	0.22	0.00	0.22	90.0	0.20
12/14/2016	RYNEX, STEPHEN	WELLS FARGO PREMIER LG COMP GRWTH A	0.00	0.46	0.00	0.46	90.0	0.41
12/14/2016	RYNEX, ANDREW	WELLS FARGO PREMIER LG COMP GRWTH A	0.00	0.15	0.00	0.15	90.0	0.14
* C148 DAN/MARC FT-CHARLEY/LINSKY SUBTOTAL *			\$0.00	\$191.02	\$0.00	\$191.02		\$171.95
*** SPLIT TRANSACTIONS TOTAL ***			\$51,538.07	\$896.49	\$0.00	\$896.49		\$806.91

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>ADJUSTMENTS</u>								
02/28/2018		*FEDEX: 6765-1252-7 2/14/18	0.00					-55.91
		*** ADJUSTMENTS TOTAL ***	\$0.00	\$0.00	\$0.00	\$0.00		\$-55.91

BROKER COMMISSION TOTALS

Broker Transactions	\$24,938.86
Split Transactions	\$806.91
Override Transactions	\$0.00
Adjustments	\$-55.91
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$0.00
FINRA Assessment	\$0.00
SIPC Assessment	\$0.00

Check Amount	\$25,689.86
Year-to-date Gross	\$124,633.67
Year-to-date Earnings	\$111,535.73

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