



COMMISSION STATEMENT

January 29, 2018

HOME OFFICE PASCALE

BROKER #: 981A

BRANCH #01001 - LifeMark Home Office

, NY

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u> OVERRIDE TRANSACTIONS </u>								
<u>BROKER: JOHN AMBRUSCO</u>								
01/08/2018	***-**-1704 - CAPPETTA	AMERICAN FUNDS 401K TRAILS	0.00	44.22	0.00	44.22	0.5	0.22
	ACCOUNT #: IRK121845	BUY 0 Units @0.0000						
01/16/2018	***-**-615P - AMBRUSCO, JOHN	FA 529 PORT 2025-CL A	25.00	1.25	0.00	1.25	0.5	0.01
	ACCOUNT #: 00625334479	BUY 1 Units @20.3800						
01/16/2018	***-**-615P - AMBRUSCO, JOHN	FA 529 PORT 2025-CL A	500.00	25.00	0.00	25.00	0.5	0.13
	ACCOUNT #: 00625334479	BUY 25 Units @20.3800						
01/29/2018	***-**-5627 - AMBRUSCO, SUSAN	VICTORY TRAILS	0.00	1.51	0.00	1.51	0.5	0.01
		BUY 0 Units @0.0000						
		* JOHN AMBRUSCO SUBTOTAL *	\$525.00	\$71.98	\$0.00	\$71.98		\$0.37
<u>BROKER: MARC ASHER</u>								
01/29/2018	***-**-79SI - CREEGAN, THOMAS	CALVERT AGGRESSIVE ALLOCATION FUND-	0.00	6.75	0.00	6.75	0.5	0.03
	ACCOUNT #: 00007203830	BUY 0 Units @0.0000						
01/29/2018	***-**-18SI - FRAZIER, STEPHEN	CALVERT AGGRESSIVE ALLOCATION FUND-	0.00	3.60	0.00	3.60	0.5	0.02
	ACCOUNT #: 00007203904	BUY 0 Units @0.0000						
01/29/2018	***-**-46IS - BAINBRIDGE, ERIC	CALVERT AGGRESSIVE ALLOCATION FUND-	0.00	2.36	0.00	2.36	0.5	0.01
		BUY 0 Units @0.0000						
01/29/2018	***-**-67SI - VIRKUS, AMANDA	CALVERT AGGRESSIVE ALLOCATION FUND-	0.00	7.38	0.00	7.38	0.5	0.04
		BUY 0 Units @0.0000						
01/29/2018	***-**-90SI - PULTZ, JOSEPH	CALVERT AGGRESSIVE ALLOCATION FUND-	0.00	7.64	0.00	7.64	0.5	0.04
		BUY 0 Units @0.0000						
01/29/2018	***-**-24SI - RINI, VICTOR	CALVERT AGGRESSIVE ALLOCATION FUND-	0.00	23.40	0.00	23.40	0.5	0.12
	ACCOUNT #: 00007227183	BUY 0 Units @0.0000						
01/29/2018	***-**-462I - SMITH, SUZETTE	CALVERT AGGRESSIVE ALLOCATION FUND-	0.00	6.00	0.00	6.00	0.5	0.03
	ACCOUNT #: 00007252534	BUY 0 Units @0.0000						
01/29/2018	***-**-79SI - CREEGAN, THOMAS	CALVERT AGGRESSIVE ALLOCATION FUND-	0.00	6.75	0.00	6.75	0.5	0.03
	ACCOUNT #: 00007203830	BUY 0 Units @0.0000						
01/29/2018	***-**-32SI - STEWART, VOLKER	CALVERT AGGRESSIVE ALLOCATION FUND-	0.00	1.33	0.00	1.33	0.5	0.01
	ACCOUNT #: 00007203900	BUY 0 Units @0.0000						
01/29/2018	***-**-18SI - FRAZIER, STEPHEN	CALVERT AGGRESSIVE ALLOCATION FUND-	0.00	1.35	0.00	1.35	0.5	0.01
	ACCOUNT #: 00007203904	BUY 0 Units @0.0000						
01/29/2018	***-**-989I - YANOWITZ, BARRY	CALVERT BALANCED PORTFOLIO - A	0.00	6.22	0.00	6.22	0.5	0.03
	ACCOUNT #: 00006121422	BUY 0 Units @0.0000						



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<u> OVERRIDE TRANSACTIONS (continued) </u>								
<u> BROKER: MARC ASHER (continued) </u>								
01/29/2018	***-**-626I - TAYLOR, JAMES	CALVERT BALANCED PORTFOLIO - A	0.00	1.31	0.00	1.31	0.5	0.01
	ACCOUNT #: 00007164449	BUY 0 Units @0.0000						
01/29/2018	***-**-042I - HIRSCHMAN, JOEL	CALVERT BALANCED PORTFOLIO - A	0.00	1.07	0.00	1.07	0.5	0.01
	ACCOUNT #: 00007168599	BUY 0 Units @0.0000						
01/29/2018	***-**-82SI - PERRY, ROBERT	CALVERT BALANCED PORTFOLIO - A	0.00	4.52	0.00	4.52	0.5	0.02
	ACCOUNT #: 00007203908	BUY 0 Units @0.0000						
01/29/2018	***-**-18SI - FRAZIER, STEPHEN	CALVERT CAPITAL ACCUMULATION - A	0.00	1.35	0.00	1.35	0.5	0.01
	ACCOUNT #: 00007203904	BUY 0 Units @0.0000						
01/29/2018	***-**-00IN - BECKER, DONALD	CALVERT CAPITAL ACCUMULATION - A	0.00	3.41	0.00	3.41	0.5	0.02
	ACCOUNT #: 7220068	BUY 0 Units @0.0000						
01/29/2018	***-**-091I - STENTZ, DANIEL	CALVERT CONSERVATIVE ALLOCATION FUN	0.00	1.81	0.00	1.81	0.5	0.01
	ACCOUNT #: 00007164422	BUY 0 Units @0.0000						
01/29/2018	***-**-626I - TAYLOR, JAMES	CALVERT LONG-TERM INCOME FUND	0.00	3.06	0.00	3.06	0.5	0.02
	ACCOUNT #: 00007164449	BUY 0 Units @0.0000						
01/29/2018	***-**-311I - SILVER, RICHARD	CALVERT MODERATE ALLOCATION FUND-A	0.00	2.62	0.00	2.62	0.5	0.01
	ACCOUNT #: 00007164426	BUY 0 Units @0.0000						
01/29/2018	***-**-454I - LYLES, ROBYNE	CALVERT MODERATE ALLOCATION FUND-A	0.00	18.68	0.00	18.68	0.5	0.09
	ACCOUNT #: 00007164434	BUY 0 Units @0.0000						
01/29/2018	***-**-700I - THISTEL, MARK	CALVERT MODERATE ALLOCATION FUND-A	0.00	18.68	0.00	18.68	0.5	0.09
	ACCOUNT #: 00007164445	BUY 0 Units @0.0000						
01/29/2018	***-**-626I - TAYLOR, JAMES	CALVERT MODERATE ALLOCATION FUND-A	0.00	1.31	0.00	1.31	0.5	0.01
	ACCOUNT #: 00007164449	BUY 0 Units @0.0000						
01/29/2018	***-**-32SI - STEWART, VOLKER	CALVERT MODERATE ALLOCATION FUND-A	0.00	10.60	0.00	10.60	0.5	0.05
	ACCOUNT #: 00007203900	BUY 0 Units @0.0000						
01/29/2018	***-**-18SI - FRAZIER, STEPHEN	CALVERT MODERATE ALLOCATION FUND-A	0.00	1.80	0.00	1.80	0.5	0.01
	ACCOUNT #: 00007203904	BUY 0 Units @0.0000						
01/29/2018	***-**-46IS - BAINBRIDGE, ERIC	CALVERT MODERATE ALLOCATION FUND-A	0.00	2.36	0.00	2.36	0.5	0.01
		BUY 0 Units @0.0000						
01/29/2018	***-**-462I - SMITH, SUZETTE	CALVERT MODERATE ALLOCATION FUND-A	0.00	6.00	0.00	6.00	0.5	0.03
	ACCOUNT #: 00007252534	BUY 0 Units @0.0000						
01/29/2018	***-**-977I - BROWN, ERIC	CALVERT MODERATE ALLOCATION FUND-A	0.00	7.48	0.00	7.48	0.5	0.04
	ACCOUNT #: 00006121814	BUY 0 Units @0.0000						



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<u> OVERRIDE TRANSACTIONS (continued) </u>								
<u> BROKER: MARC ASHER (continued) </u>								
01/29/2018	***-**-626I - TAYLOR, JAMES	CALVERT SOCIAL INVESTMENT FUND BOND	0.00	3.06	0.00	3.06	0.5	0.02
	ACCOUNT #: 00007164449	BUY 0 Units @0.0000						
01/29/2017	***-**-897I - KENNEDY, DONALD	SNOW CAP MGMT TRAILS	0.00	19.42	0.00	19.42	0.5	0.10
	ACCOUNT #: 01151000028	BUY 0 Units @0.0000						
01/29/2018	***-**-32SI - STEWART, VOLKER	WORLD VALUES INTERNATIONAL EQUITY -	0.00	1.33	0.00	1.33	0.5	0.01
	ACCOUNT #: 00007203900	BUY 0 Units @0.0000						
01/29/2018	***-**-82SI - PERRY, ROBERT	WORLD VALUES INTERNATIONAL EQUITY -	0.00	1.81	0.00	1.81	0.5	0.01
	ACCOUNT #: 00007203908	BUY 0 Units @0.0000						
* MARC ASHER SUBTOTAL *			\$0.00	\$184.46	\$0.00	\$184.46		\$0.95
<u> BROKER: EDWARD FATLA </u>								
01/16/2018	***-**-322I - MOORE, GRAZINA	DEUTSCHE CROCI US FND A	0.00	8.36	0.00	8.36	0.5	0.04
	ACCOUNT #: 00000655802	BUY 0 Units @0.0000						
01/16/2018	***-**-734I - LICARI, LAURA	DEUTSCHE CROCI US FND A	0.00	1.64	0.00	1.64	0.5	0.01
	ACCOUNT #: 00133231864	BUY 0 Units @0.0000						
01/16/2018	***-**-970I - BOGDA, RONALD	DEUTSCHE GNMA FUND - A	0.00	4.56	0.00	4.56	0.5	0.02
	ACCOUNT #: 00026134508	BUY 0 Units @0.0000						
01/16/2018	***-**-350I - BOGDA, DONNA	DEUTSCHE GNMA FUND - A	0.00	4.45	0.00	4.45	0.5	0.02
	ACCOUNT #: 00026134510	BUY 0 Units @0.0000						
01/16/2018	***-**-424I - NARDI, FRANK	DEUTSCHE GNMA FUND - A	0.00	2.76	0.00	2.76	0.5	0.01
	ACCOUNT #: 00088982496	BUY 0 Units @0.0000						
01/16/2018	***-**-424I - NARDI, FRANK	DEUTSCHE GNMA FUND - A	0.00	4.57	0.00	4.57	0.5	0.02
	ACCOUNT #: 00089552035	BUY 0 Units @0.0000						
01/16/2018	***-**-4616 - LEMMLER, LINDA	DEUTSCHE HIGH INCOME FUND-A	0.00	31.90	0.00	31.90	0.5	0.16
	ACCOUNT #: 00010046855	BUY 0 Units @0.0000						
01/16/2018	***-**-70IN - BOGDA, DONNA	DEUTSCHE HIGH INCOME FUND-A	0.00	11.99	0.00	11.99	0.5	0.06
	ACCOUNT #: 00026138762	BUY 0 Units @0.0000						
01/16/2018	***-**-476I - HIRSCH, EMIL	DEUTSCHE HIGH INCOME FUND-A	0.00	13.50	0.00	13.50	0.5	0.07
	ACCOUNT #: 00089495451	BUY 0 Units @0.0000						
01/16/2018	***-**-4616 - LEMMLER, LINDA	DEUTSCHE HIGH INCOME FUND-A	0.00	39.47	0.00	39.47	0.5	0.20
	ACCOUNT #: 00133129359	BUY 0 Units @0.0000						
01/16/2018	***-**-173I - BRADTKE, SHARON	DEUTSCHE SMALL CAP GROWTH FND -A	0.00	32.58	0.00	32.58	0.5	0.16
	ACCOUNT #: 09334905319	BUY 0 Units @0.0000						



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<u>VERRIDE TRANSACTIONS (continued)</u>								
<u>BROKER: EDWARD FATLA (continued)</u>								
01/16/2018	***-**-091I - BRADTKE, HOWARD	DEUTSCHE SMALL CAP GROWTH FND -A	0.00	29.80	0.00	29.80	0.5	0.15
	ACCOUNT #: 09334905322	BUY 0 Units @0.0000						
01/16/2018	***-**-56IN - LICARI, JANIS	DWS TRAILS 25157M10	0.00	7.82	0.00	7.82	0.5	0.04
	ACCOUNT #: 00026024341	BUY 0 Units @0.0000						
01/16/2018	***-**-021I - FASANO, GREGORY	DWS TRAILS 25157M10	0.00	18.05	0.00	18.05	0.5	0.09
	ACCOUNT #: 00026041519	BUY 0 Units @0.0000						
01/16/2018	***-**-556I - LICARI, JANIS	DWS TRAILS 25157M10	0.00	15.74	0.00	15.74	0.5	0.08
	ACCOUNT #: 00090154636	BUY 0 Units @0.0000						
01/16/2018	***-**-392I - WILSON, PAMELA	DWS TRAILS 25157M10	0.00	68.89	0.00	68.89	0.5	0.34
	ACCOUNT #: 09334939136	BUY 0 Units @0.0000						
01/16/2018	***-**-56IN - LICARI, JANIS	DWS TRAILS 25157M72	0.00	54.79	0.00	54.79	0.5	0.27
	ACCOUNT #: 00026024341	BUY 0 Units @0.0000						
01/16/2018	***-**-021I - FASANO, GREGORY	DWS TRAILS 25157M72	0.00	36.84	0.00	36.84	0.5	0.18
	ACCOUNT #: 00026041519	BUY 0 Units @0.0000						
01/16/2018	***-**-322J - MOORE, MELANIE	DWS TRAILS 25157M72	0.00	6.16	0.00	6.16	0.5	0.03
	ACCOUNT #: 00089179490	BUY 0 Units @0.0000						
01/16/2018	***-**-9556 - LICARI, JANIS	DWS TRAILS 25157M72	0.00	40.83	0.00	40.83	0.5	0.20
	ACCOUNT #: 00090418958	BUY 0 Units @0.0000						
01/16/2018	***-**-1103 - MARTINEZ,	DWS TRAILS 25157M72	0.00	65.94	0.00	65.94	0.5	0.33
	ACCOUNT #: 00133177680	BUY 0 Units @0.0000						
01/16/2018	***-**-7662 - MARTINEZ, DENISE	DWS TRAILS 25157M72	0.00	62.76	0.00	62.76	0.5	0.31
	ACCOUNT #: 00133177685	BUY 0 Units @0.0000						
01/16/2018	***-**-734I - LICARI, LAURA	DWS TRAILS 25157M72	0.00	3.62	0.00	3.62	0.5	0.02
	ACCOUNT #: 00133231864	BUY 0 Units @0.0000						
01/16/2018	***-**-447I - RACILA, LEAH	DWS TRAILS 25157M72	0.00	2.57	0.00	2.57	0.5	0.01
	ACCOUNT #: 00133251456	BUY 0 Units @0.0000						
01/16/2018	***-**-9556 - LICARI, JANIS	DWS TRAILS 25157M72	0.00	9.42	0.00	9.42	0.5	0.05
	ACCOUNT #: 00133275861	BUY 0 Units @0.0000						
01/16/2018	***-**-819I - GERACI, BARBARA	DWS TRAILS 25157M72	0.00	11.09	0.00	11.09	0.5	0.06
	ACCOUNT #: 00133332306	BUY 0 Units @0.0000						
01/16/2018	***-**-56IN - LICARI, JANIS	DWS TRAILS 25159G78	0.00	11.53	0.00	11.53	0.5	0.06
	ACCOUNT #: 00026024341	BUY 0 Units @0.0000						



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<u> OVERRIDE TRANSACTIONS (continued) </u>								
<u>BROKER: EDWARD FATLA (continued)</u>								
01/16/2018	***-**-47UG - RACILA, LEAH	DWS TRAILS 25159K82	0.00	3.44	0.00	3.44	0.5	0.02
	ACCOUNT #: 00089179472	BUY 0 Units @0.0000						
01/16/2018	***-**-70UG - MOORE, MELANIE	DWS TRAILS 25159K82	0.00	3.57	0.00	3.57	0.5	0.02
	ACCOUNT #: 00089179479	BUY 0 Units @0.0000						
01/16/2018	***-**-0602 - GALLAGHER,	DWS TRAILS 25159L50	0.00	20.89	0.00	20.89	0.5	0.10
	ACCOUNT #: 00000823453	BUY 0 Units @0.0000						
01/16/2018	***-**-56IN - LICARI, JANIS	DWS TRAILS 25159L56	0.00	12.04	0.00	12.04	0.5	0.06
	ACCOUNT #: 00026024341	BUY 0 Units @0.0000						
01/16/2018	***-**-021I - FASANO, GREGORY	DWS TRAILS 25159L56	0.00	40.03	0.00	40.03	0.5	0.20
	ACCOUNT #: 00026041519	BUY 0 Units @0.0000						
01/16/2018	***-**-9556 - LICARI, JANIS	DWS TRAILS 25159L62	0.00	13.12	0.00	13.12	0.5	0.07
	ACCOUNT #: 00090418958	BUY 0 Units @0.0000						
* EDWARD FATLA SUBTOTAL *			\$0.00	\$694.72	\$0.00	\$694.72		\$3.46
<u>BROKER: STEVEN JOEL</u>								
01/08/2018	***-**-1540 - HIGHWAY SAFETY	AMERICAN FUNDS 401K TRAILS	0.00	719.66	0.00	719.66	0.5	3.60
	ACCOUNT #: IRK102331	BUY 0 Units @0.0000						
01/08/2018	***-**-1855 - LEWIS PLASTICS	AMERICAN FUNDS 401K TRAILS	0.00	1,845.26	0.00	1,845.26	0.5	9.23
	ACCOUNT #: IRK103778	BUY 0 Units @0.0000						
01/08/2018	***-**-1540 - HIGHWAY SAFETY	AMERICAN FUNDS 401K TRAILS	0.00	1,131.92	0.00	1,131.92	0.5	5.66
	ACCOUNT #: IRK139692	BUY 0 Units @0.0000						
* STEVEN JOEL SUBTOTAL *			\$0.00	\$3,696.84	\$0.00	\$3,696.84		\$18.49
<u>BROKER: ANNE PLATSKY</u>								
01/29/2018	***-**-807I - WALSH III, FBO	CAPITAL GROWTH FUND A	0.00	13.84	0.00	13.84	0.5	0.07
	ACCOUNT #: LSR100781	BUY 1 Units @0.0000						
01/29/2018	***-**-150I - SPRING, HENRY	CAPITAL GROWTH FUND A	0.00	2.30	0.00	2.30	0.5	0.01
	ACCOUNT #: LSR101109	BUY 1 Units @0.0000						
01/29/2018	***-**-415K - SCHORR, FBO NINA	CAPITAL GROWTH FUND A	0.00	16.11	0.00	16.11	0.5	0.08
	ACCOUNT #: LSR101265	BUY 1 Units @0.0000						
01/29/2018	***-**-5380 - LEE, WAI	CAPITAL GROWTH FUND A	0.00	48.42	0.00	48.42	0.5	0.24
	ACCOUNT #: LSR101311	BUY 1 Units @0.0000						



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<u>VERRIDE TRANSACTIONS (continued)</u>								
<u>BROKER: ANNE PLATSKY (continued)</u>								
01/29/2018	***-**-5380 - LEE, WAI	CAPITAL INCOME A	0.00	20.79	0.00	20.79	0.5	0.10
	ACCOUNT #: LSR101311	BUY 1 Units @0.0000						
01/29/2018	***-**-7254 - GREEN, MICHAEL	DELAWARE CASH RESERVE FUND CLASS C	200.00	4.00	0.00	4.00	0.5	0.02
	ACCOUNT #: 5163225106	BUY 0 Units @0.0000						
01/29/2018	***-**-7254 - GREEN, MICHAEL	DELAWARE INV MF TRAILS	0.00	83.60	0.00	83.60	0.5	0.42
	ACCOUNT #: 5163225106	BUY 0 Units @0.0000						
01/29/2018	***-**-119I - LEVIN MD, HENRY	DELAWARE INV MF TRAILS	0.00	5.26	0.00	5.26	0.5	0.03
		BUY 0 Units @0.0000						
01/29/2018	***-**-931S - THE SEP ACCOUNT	DELAWARE INV MF TRAILS	0.00	13.56	0.00	13.56	0.5	0.07
		BUY 0 Units @0.0000						
01/29/2018	***-**-72IN - ZUCKERMAN, MARC	FIDELITY GOVT MMKT DAILY MONEY CLAS	0.00	1.49	0.00	1.49	0.5	0.01
	ACCOUNT #: LSR100820	BUY 1 Units @0.0000						
01/29/2018	***-**-5380 - LEE, WAI	FRANKLIN DYNATECH FUND CLASS A	0.00	27.70	0.00	27.70	0.5	0.14
	ACCOUNT #: LSR101311	BUY 1 Units @0.0000						
01/29/2018	***-**-003J - LEE, MICHELE	FRANKLIN FEDERAL TAX FREE INCOME FU	0.00	2.95	0.00	2.95	0.5	0.01
	ACCOUNT #: LSR101290	BUY 1 Units @0.0000						
01/29/2018	***-**-5380 - LEE, WAI	FRANKLIN GROWTH FUND CLASS A	0.00	26.93	0.00	26.93	0.5	0.13
	ACCOUNT #: LSR101311	BUY 1 Units @0.0000						
01/29/2018	***-**-003J - LEE, MICHELE	FRANKLIN HIGH-YIELD TAX-FREE INCOME	0.00	2.54	0.00	2.54	0.5	0.01
	ACCOUNT #: LSR101290	BUY 1 Units @0.0000						
01/29/2018	***-**-5380 - LEE, WAI	FRANKLIN INCOME FUND CLASS A	0.00	28.00	0.00	28.00	0.5	0.14
	ACCOUNT #: LSR101311	BUY 1 Units @0.0000						
01/29/2018	***-**-8459 - SCLAFANI,	FRANKLIN INCOME FUND CLASS A	0.00	3.92	0.00	3.92	0.5	0.02
	ACCOUNT #: LSR102040	BUY 1 Units @0.0000						
01/29/2018	***-**-150I - SPRING, HENRY	GOLDMAN SACHS ASSET ALLOC GRWTH STR	0.00	7.92	0.00	7.92	0.5	0.04
	ACCOUNT #: LSR101109	BUY 1 Units @0.0000						
01/29/2018	***-**-415K - SCHORR, FBO NINA	GOLDMAN SACHS ASSET ALLOC GRWTH STR	0.00	6.89	0.00	6.89	0.5	0.03
	ACCOUNT #: LSR101265	BUY 1 Units @0.0000						
01/29/2018	***-**-807I - WALSH III, FBO	GOLDMAN SACHS GROWTH AND INCOME CLA	0.00	2.78	0.00	2.78	0.5	0.01
	ACCOUNT #: LSR100781	BUY 1 Units @0.0000						
01/29/2018	***-**-415K - SCHORR, FBO NINA	GOLDMAN SACHS GROWTH AND INCOME CLA	0.00	12.28	0.00	12.28	0.5	0.06
	ACCOUNT #: LSR101265	BUY 1 Units @0.0000						



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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u> OVERRIDE TRANSACTIONS (continued) </u>								
<u> BROKER: ANNE PLATSKY (continued) </u>								
01/29/2018	***-**-807I - WALSH III, FBO ACCOUNT #: LSR100781	GOLDMAN SACHS HIGH YIELD CLASS A BUY 1 Units @0.0000	0.00	3.55	0.00	3.55	0.5	0.02
01/29/2018	***-**-18IN - ZAMECK, RICKI	GRIFFIN-AMERICAN HEALTHCARE REIT IV BUY 0 Units @0.0000	0.00	25.21	0.00	25.21	0.5	0.13
01/29/2018	***-**-72IN - ZUCKERMAN, MARC ACCOUNT #: 00091130985	GRIFFIN-AMERICAN HEALTHCARE REIT IV BUY 0 Units @0.0000	0.00	50.41	0.00	50.41	0.5	0.25
01/29/2018	***-**-5380 - LEE, WAI ACCOUNT #: LSR101311	INTERNATIONAL BOND A BUY 1 Units @0.0000	0.00	22.97	0.00	22.97	0.5	0.11
01/29/2018	***-**-5380 - LEE, WAI ACCOUNT #: LSR101311	OPPENHEIMER STRATEGIC INCOME FD CL BUY 1 Units @0.0000	0.00	24.07	0.00	24.07	0.5	0.12
01/29/2018	***-**-807I - WALSH III, FBO ACCOUNT #: LSR100781	STRUCTURED SMALL CAP VALUE FUND A BUY 1 Units @0.0000	0.00	9.05	0.00	9.05	0.5	0.05
01/29/2018	***-**-150I - SPRING, HENRY ACCOUNT #: LSR101109	STRUCTURED SMALL CAP VALUE FUND A BUY 1 Units @0.0000	0.00	6.88	0.00	6.88	0.5	0.03
01/29/2018	***-**-807I - WALSH III, FBO ACCOUNT #: LSR100781	STRUCTURED U.S. EQUITY CLASS A BUY 1 Units @0.0000	0.00	9.07	0.00	9.07	0.5	0.05
01/29/2018	***-**-8943 - KOULOS, JOHN ACCOUNT #: LSR100811	STRUCTURED U.S. EQUITY CLASS A BUY 1 Units @0.0000	0.00	12.10	0.00	12.10	0.5	0.06
01/04/2018	***-**-4866 - KOVEL, ARTHUR ACCOUNT #: 08324760907	WELLS FGO AVTG DIVERSFD CAPITAL BLD BUY 0 Units @0.0000	0.00	2.96	0.00	2.96	0.5	0.01
 * ANNE PLATSKY SUBTOTAL * 			\$200.00	\$497.55	\$0.00	\$497.55		\$2.47
<u> BROKER: JEFFRY PROUL </u>								
01/08/2018	***-**-8157 - SPIRE ACCOUNT #: BRK110137	AMERICAN FUNDS 401K TRAILS BUY 0 Units @0.0000	0.00	1,598.93	0.00	1,598.93	0.5	7.99
01/08/2018	***-**-118I - PARACORP INC, ACCOUNT #: BRK87957	AMERICAN FUNDS 401K TRAILS BUY 0 Units @0.0000	0.00	3,438.68	0.00	3,438.68	0.5	17.19
01/08/2018	***-**-5505 - OREA, STEPHANIE ACCOUNT #: 03900185962	FIDELITY ADV FREEDOM 2050-CL A BUY 4 Units @13.3100	53.46	2.67	0.00	2.67	0.5	0.01
01/08/2018	***-**-5505 - OREA, STEPHANIE ACCOUNT #: 03900185962	FIDELITY ADV FREEDOM 2050-CL A BUY 4 Units @13.3100	53.46	2.67	0.00	2.67	0.5	0.01
01/08/2018	***-**-8161 - PARALES, NICOLE ACCOUNT #: 03900185999	FIDELITY ADV FREEDOM 2050-CL A BUY 3 Units @13.3100	37.20	1.86	0.00	1.86	0.5	0.01



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<u>VERRIDE TRANSACTIONS (continued)</u>								
<u>BROKER: JEFFRY PROUL (continued)</u>								
01/08/2018	***-**-8161 - PARALES, NICOLE	FIDELITY ADV FREEDOM 2050-CL A	37.20	1.86	0.00	1.86	0.5	0.01
	ACCOUNT #: 03900185999	BUY 3 Units @13.3100						
01/08/2018	***-**-3406 - RODRIGUEZ, MARIA	FIDELITY ADV FREEDOM 2050-CL A	42.00	2.10	0.00	2.10	0.5	0.01
	ACCOUNT #: 03900186010	BUY 3 Units @13.3100						
01/08/2018	***-**-3406 - RODRIGUEZ, MARIA	FIDELITY ADV FREEDOM 2050-CL A	42.00	2.10	0.00	2.10	0.5	0.01
	ACCOUNT #: 03900186010	BUY 3 Units @13.3100						
01/08/2018	***-**-4265 -	FIDELITY ADV FREEDOM 2050-CL A	52.24	2.61	0.00	2.61	0.5	0.01
	ACCOUNT #: 03900186012	BUY 4 Units @13.3100						
01/08/2018	***-**-4265 -	FIDELITY ADV FREEDOM 2050-CL A	150.00	7.50	0.00	7.50	0.5	0.04
	ACCOUNT #: 03900186012	BUY 11 Units @13.3100						
01/08/2018	***-**-0806 - ALEIXO, JEFFREY	FIDELITY ADV FREEDOM 2050-CL A	201.92	10.10	0.00	10.10	0.5	0.05
	ACCOUNT #: 03900186019	BUY 15 Units @13.3100						
01/08/2018	***-**-0806 - ALEIXO, JEFFREY	FIDELITY ADV FREEDOM 2050-CL A	201.92	10.10	0.00	10.10	0.5	0.05
	ACCOUNT #: 03900186019	BUY 15 Units @13.3100						
01/08/2018	***-**-6251 - NAKABA, RANDALL	FIDELITY ADV FREEDOM 2050-CL A	40.38	2.02	0.00	2.02	0.5	0.01
	ACCOUNT #: 03900186024	BUY 3 Units @13.3100						
01/08/2018	***-**-6251 - NAKABA, RANDALL	FIDELITY ADV FREEDOM 2050-CL A	37.50	1.88	0.00	1.88	0.5	0.01
	ACCOUNT #: 03900186024	BUY 3 Units @13.3100						
01/08/2018	***-**-2963 - LAPAGE, STEPHEN	FIDELITY ADV FREEDOM 2050-CL A	36.11	1.81	0.00	1.81	0.5	0.01
	ACCOUNT #: 03900186027	BUY 3 Units @13.3100						
01/08/2018	***-**-2963 - LAPAGE, STEPHEN	FIDELITY ADV FREEDOM 2050-CL A	100.00	5.00	0.00	5.00	0.5	0.03
	ACCOUNT #: 03900186027	BUY 8 Units @13.3100						
01/08/2018	***-**-9826 - NERSESIAN, POLET	FIDELITY ADV FREEDOM 2050-CL A	57.69	2.88	0.00	2.88	0.5	0.01
	ACCOUNT #: 03900186038	BUY 4 Units @13.3100						
01/08/2018	***-**-9826 - NERSESIAN, POLET	FIDELITY ADV FREEDOM 2050-CL A	57.69	2.88	0.00	2.88	0.5	0.01
	ACCOUNT #: 03900186038	BUY 4 Units @13.3100						
01/08/2018	***-**-2535 - ALCAZAR, MARIA	FIDELITY ADV FREEDOM 2050-CL A	41.18	2.06	0.00	2.06	0.5	0.01
	ACCOUNT #: 03900186047	BUY 3 Units @13.3100						
01/08/2018	***-**-2535 - ALCAZAR, MARIA	FIDELITY ADV FREEDOM 2050-CL A	40.00	2.00	0.00	2.00	0.5	0.01
	ACCOUNT #: 03900186047	BUY 3 Units @13.3100						
01/08/2018	***-**-0399 - MOORE, RACHEL	FIDELITY ADV FREEDOM 2050-CL A	115.38	5.77	0.00	5.77	0.5	0.03
	ACCOUNT #: 03900186054	BUY 9 Units @13.3100						



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<u> OVERRIDE TRANSACTIONS (continued) </u>								
<u>BROKER: JEFFRY PROUL (continued)</u>								
01/08/2018	***-**-0399 - MOORE, RACHEL	FIDELITY ADV FREEDOM 2050-CL A	115.38	5.77	0.00	5.77	0.5	0.03
	ACCOUNT #: 03900186054	BUY 9 Units @13.3100						
01/29/2018	***-**-1522 - PROUL, JEFFRY	FIDELITY GOVT MMKT DAILY MONEY CLAS	0.00	2.40	0.00	2.40	0.5	0.01
	ACCOUNT #: LSR101168	BUY 1 Units @0.0000						
		* JEFFRY PROUL SUBTOTAL *	\$1,512.71	\$5,115.65	\$0.00	\$5,115.65		\$25.56
<u>BROKER: RANDOLPH SANDUSKY</u>								
01/22/2018	***-**-55IN - SANDUSKY, EVELYN	PERSPECTIVE II DTCC	174,504.51	8,725.23	0.00	8,725.23	0.5	43.63
	ACCOUNT #: 1020930183	BUY 0 Units @0.0000						
		* RANDOLPH SANDUSKY SUBTOTAL *	\$174,504.51	\$8,725.23	\$0.00	\$8,725.23		\$43.63
<u>BROKER: CRAIG ST. CYR</u>								
01/08/2018	***-**-5404 - MOOERS, KYLE	FIDELITY ADV 01480463049	200.00	2.00	0.00	2.00	0.5	0.01
	ACCOUNT #: 01484248685	BUY 16 Units @12.3600						
01/08/2018	***-**-5404 - MOOERS, KYLE	FIDELITY ADV 01480463049	200.00	2.00	0.00	2.00	0.5	0.01
	ACCOUNT #: 01484248685	BUY 16 Units @12.3600						
01/08/2018	***-**-7701 - RYGIEL, JENNIFER	FIDELITY ADV 01480463049	185.62	1.86	0.00	1.86	0.5	0.01
	ACCOUNT #: 01488858562	BUY 15 Units @12.3600						
01/08/2018	***-**-7701 - RYGIEL, JENNIFER	FIDELITY ADV 01480463049	309.38	3.09	0.00	3.09	0.5	0.02
	ACCOUNT #: 01488858562	BUY 25 Units @12.3600						
01/08/2018	***-**-1140 - MILLER, MARK	FIDELITY ADV 01480463049	226.47	2.26	0.00	2.26	0.5	0.01
	ACCOUNT #: 01488916113	BUY 18 Units @12.3600						
01/08/2018	***-**-1140 - MILLER, MARK	FIDELITY ADV 01480463049	301.97	3.02	0.00	3.02	0.5	0.02
	ACCOUNT #: 01488916113	BUY 24 Units @12.3600						
01/08/2018	***-**-0148 - MINISHINO,	FIDELITY ADV 01480463049	302.84	3.03	0.00	3.03	0.5	0.02
	ACCOUNT #: 01489362622	BUY 25 Units @12.3600						
01/08/2018	***-**-0148 - MINISHINO,	FIDELITY ADV 01480463049	302.84	3.03	0.00	3.03	0.5	0.02
	ACCOUNT #: 01489362622	BUY 25 Units @12.3600						
01/08/2018	***-**-2825 - SALCHUNAS,	FIDELITY ADV 01480463049	116.88	1.17	0.00	1.17	0.5	0.01
	ACCOUNT #: 01489870954	BUY 9 Units @12.3600						
01/08/2018	***-**-2825 - SALCHUNAS,	FIDELITY ADV 01480463049	194.80	1.95	0.00	1.95	0.5	0.01
	ACCOUNT #: 01489870954	BUY 16 Units @12.3600						



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<u> OVERRIDE TRANSACTIONS (continued) </u>								
<u>BROKER: CRAIG ST. CYR (continued)</u>								
01/08/2018	***-**-1536 - PETERS, KRISTEN	FIDELITY ADV 01480463072	254.48	2.54	0.00	2.54	0.5	0.01
	ACCOUNT #: 01480417607	BUY 16 Units @15.8200						
01/08/2018	***-**-1536 - PETERS, KRISTEN	FIDELITY ADV 01480463072	254.48	2.54	0.00	2.54	0.5	0.01
	ACCOUNT #: 01480417607	BUY 16 Units @15.8200						
01/08/2018	***-**-1320 - BARNEA, ANTHONY	FIDELITY ADV 01480463072	244.62	2.45	0.00	2.45	0.5	0.01
	ACCOUNT #: 01484492994	BUY 15 Units @15.8200						
01/08/2018	***-**-1320 - BARNEA, ANTHONY	FIDELITY ADV 01480463072	652.34	6.52	0.00	6.52	0.5	0.03
	ACCOUNT #: 01484492994	BUY 41 Units @15.8200						
01/08/2018	***-**-1574 - KIM, BUNTHOL	FIDELITY ADV 01480463155	187.50	1.88	0.00	1.88	0.5	0.01
	ACCOUNT #: 01480847183	BUY 12 Units @15.1300						
01/08/2018	***-**-1574 - KIM, BUNTHOL	FIDELITY ADV 01480463155	187.50	1.88	0.00	1.88	0.5	0.01
	ACCOUNT #: 01480847183	BUY 12 Units @15.1300						
01/08/2018	***-**-0951 - DAVIS, ALEXANDER	FIDELITY ADV 01480847183	200.00	2.00	0.00	2.00	0.5	0.01
	ACCOUNT #: 01486701756	BUY 15 Units @13.6800						
01/08/2018	***-**-0951 - DAVIS, ALEXANDER	FIDELITY ADV 01480847183	666.66	6.67	0.00	6.67	0.5	0.03
	ACCOUNT #: 01486701756	BUY 49 Units @13.6800						
01/08/2018	***-**-3799 - RUDDY, LAUREN	FIDELITY ADV 01480847183	192.50	1.93	0.00	1.93	0.5	0.01
	ACCOUNT #: 01486935859	BUY 14 Units @13.6800						
01/08/2018	***-**-3799 - RUDDY, LAUREN	FIDELITY ADV 01480847183	385.00	3.85	0.00	3.85	0.5	0.02
	ACCOUNT #: 01486935859	BUY 28 Units @13.6800						
01/08/2018	***-**-9763 - VARGA, KAYLA	FIDELITY ADV 01480847183	255.75	2.56	0.00	2.56	0.5	0.01
	ACCOUNT #: 01488858455	BUY 19 Units @13.6800						
01/08/2018	***-**-9763 - VARGA, KAYLA	FIDELITY ADV 01480847183	255.75	2.56	0.00	2.56	0.5	0.01
	ACCOUNT #: 01488858455	BUY 19 Units @13.6800						
01/08/2018	***-**-8064 - STRAND, HOLLY	FIDELITY ADV 01480847183	112.50	1.13	0.00	1.13	0.5	0.01
	ACCOUNT #: 01488858539	BUY 8 Units @13.6800						
01/08/2018	***-**-8064 - STRAND, HOLLY	FIDELITY ADV 01480847183	112.50	1.13	0.00	1.13	0.5	0.01
	ACCOUNT #: 01488858539	BUY 8 Units @13.6800						
01/08/2018	***-**-5927 - BLAKSLEE,	FIDELITY ADV 01480847183	280.52	2.81	0.00	2.81	0.5	0.01
	ACCOUNT #: 01488903657	BUY 21 Units @13.6800						
01/08/2018	***-**-5927 - BLAKSLEE,	FIDELITY ADV 01480847183	280.52	2.81	0.00	2.81	0.5	0.01
	ACCOUNT #: 01488903657	BUY 21 Units @13.6800						



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<u> OVERRIDE TRANSACTIONS (continued) </u>								
<u>BROKER: CRAIG ST. CYR (continued)</u>								
01/08/2018	***-**-0976 - CALLAHAN, JOHN	FIDELITY ADV 01480847183	290.90	2.91	0.00	2.91	0.5	0.01
	ACCOUNT #: 01488916121	BUY 21 Units @13.6800						
01/08/2018	***-**-0976 - CALLAHAN, JOHN	FIDELITY ADV 01480847183	290.90	2.91	0.00	2.91	0.5	0.01
	ACCOUNT #: 01488916121	BUY 21 Units @13.6800						
01/08/2018	***-**-0790 - BURKE, KRISTEN	FIDELITY ADV 01480863024	125.00	1.25	0.00	1.25	0.5	0.01
	ACCOUNT #: 01480463049	BUY 5 Units @22.7700						
01/08/2018	***-**-0790 - BURKE, KRISTEN	FIDELITY ADV 01480863024	125.00	1.25	0.00	1.25	0.5	0.01
	ACCOUNT #: 01480463049	BUY 5 Units @22.7700						
01/08/2018	***-**-3541 - LAPORTE, DIANE	FIDELITY ADV BALANCED CL C	684.00	6.84	0.00	6.84	0.5	0.03
	ACCOUNT #: 01485938474	BUY 32 Units @21.1200						
01/08/2018	***-**-5392 - FLAVIN, BRENDAN	FIDELITY ADV DIVERSIFIED INTL FD CL	216.76	2.17	0.00	2.17	0.5	0.01
	ACCOUNT #: 01481079893	BUY 9 Units @23.2700						
01/08/2018	***-**-1761 - POTTER, ALLISON	FIDELITY ADV DIVIDEND GROWTH FD CL	263.04	2.63	0.00	2.63	0.5	0.01
	ACCOUNT #: 01480452315	BUY 16 Units @16.8700						
01/08/2018	***-**-5392 - FLAVIN, BRENDAN	FIDELITY ADV DIVIDEND GROWTH FD CL	216.76	2.17	0.00	2.17	0.5	0.01
	ACCOUNT #: 01481079893	BUY 13 Units @16.8700						
01/08/2018	***-**-1761 - POTTER, ALLISON	FIDELITY ADV EMERGING MKTS-CL C	105.21	1.05	0.00	1.05	0.5	0.01
	ACCOUNT #: 01480452315	BUY 4 Units @29.7900						
01/08/2018	***-**-5392 - FLAVIN, BRENDAN	FIDELITY ADV EMERGING MKTS-CL C	144.51	1.45	0.00	1.45	0.5	0.01
	ACCOUNT #: 01481079893	BUY 5 Units @29.7900						
01/08/2018	***-**-5392 - FLAVIN, BRENDAN	FIDELITY ADV EMERGING MRKTS INC-CL	144.50	1.45	0.00	1.45	0.5	0.01
	ACCOUNT #: 01481079893	BUY 10 Units @14.4700						
01/08/2018	***-**-7163 - ADAMS, BENJAMIN	FIDELITY ADV FREEDOM 2035	348.02	3.48	0.00	3.48	0.5	0.02
	ACCOUNT #: 01488903764	BUY 24 Units @14.7400						
01/08/2018	***-**-7163 - ADAMS, BENJAMIN	FIDELITY ADV FREEDOM 2035	348.02	3.48	0.00	3.48	0.5	0.02
	ACCOUNT #: 01488903764	BUY 24 Units @14.7400						
01/08/2018	***-**-0270 - CARELLA, MICHAEL	FIDELITY ADV FREEDOM 2045	375.00	3.75	0.00	3.75	0.5	0.02
	ACCOUNT #: 01486701004	BUY 30 Units @12.3600						
01/08/2018	***-**-0270 - CARELLA, MICHAEL	FIDELITY ADV FREEDOM 2045	500.00	5.00	0.00	5.00	0.5	0.03
	ACCOUNT #: 01486701004	BUY 40 Units @12.3600						
01/08/2018	***-**-5782 - SCHMID, ANDERW	FIDELITY ADV FREEDOM 2060 C	120.94	1.21	0.00	1.21	0.5	0.01
	ACCOUNT #: 01486935966	BUY 10 Units @12.2500						



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<u>VERRIDE TRANSACTIONS (continued)</u>								
<u>BROKER: CRAIG ST. CYR (continued)</u>								
01/08/2018	***-**-5782 - SCHMID, ANDERW	FIDELITY ADV FREEDOM 2060 C	604.68	6.05	0.00	6.05	0.5	0.03
	ACCOUNT #: 01486935966	BUY 49 Units @12.2500						
01/08/2018	***-**-9077 - ST JEAN, ERIC	FIDELITY ADV FREEDOM 2060 C	100.00	1.00	0.00	1.00	0.5	0.01
	ACCOUNT #: 01489870921	BUY 8 Units @12.2500						
01/08/2018	***-**-9077 - ST JEAN, ERIC	FIDELITY ADV FREEDOM 2060 C	200.00	2.00	0.00	2.00	0.5	0.01
	ACCOUNT #: 01489870921	BUY 16 Units @12.2500						
01/08/2018	***-**-7815 - MACDONALD, ELIZA	FIDELITY ADV FREEDOM 2060 C	145.92	1.46	0.00	1.46	0.5	0.01
	ACCOUNT #: 01490718804	BUY 12 Units @12.2500						
01/08/2018	***-**-7815 - MACDONALD, ELIZA	FIDELITY ADV FREEDOM 2060 C	145.92	1.46	0.00	1.46	0.5	0.01
	ACCOUNT #: 01490718804	BUY 12 Units @12.2500						
01/08/2018	***-**-1761 - POTTER, ALLISON	FIDELITY ADV LEVERAGED CO STOCK CL	157.82	1.58	0.00	1.58	0.5	0.01
	ACCOUNT #: 01480452315	BUY 4 Units @39.9400						
01/08/2018	***-**-5392 - FLAVIN, BRENDAN	FIDELITY ADV LEVERAGED CO STOCK CL	216.76	2.17	0.00	2.17	0.5	0.01
	ACCOUNT #: 01481079893	BUY 5 Units @39.9400						
01/08/2018	***-**-3541 - LAPORTE, DIANE	FIDELITY ADV OVERSEAS-CL C	456.00	4.56	0.00	4.56	0.5	0.02
	ACCOUNT #: 01485938474	BUY 19 Units @24.6300						
01/08/2018	***-**-1761 - POTTER, ALLISON	FIDELITY ADV REAL ESTATE-CL C	105.21	1.05	0.00	1.05	0.5	0.01
	ACCOUNT #: 01480452315	BUY 5 Units @20.9400						
01/08/2018	***-**-1761 - POTTER, ALLISON	FIDELITY ADV SMALL CAP CL C	105.21	1.05	0.00	1.05	0.5	0.01
	ACCOUNT #: 01480452315	BUY 5 Units @19.8800						
01/08/2018	***-**-5392 - FLAVIN, BRENDAN	FIDELITY ADV SMALL CAP CL C	144.50	1.45	0.00	1.45	0.5	0.01
	ACCOUNT #: 01481079893	BUY 7 Units @19.8800						
01/08/2018	***-**-5392 - FLAVIN, BRENDAN	FIDELITY ADV STRATEGIC INCOME CL C	144.50	1.45	0.00	1.45	0.5	0.01
	ACCOUNT #: 01481079893	BUY 12 Units @12.3300						
01/08/2018	***-**-5392 - FLAVIN, BRENDAN	FIDELITY ADVISOR FL RATE HIGH INC C	144.50	1.45	0.00	1.45	0.5	0.01
	ACCOUNT #: 01481079893	BUY 15 Units @9.6500						
01/08/2018	***-**-3036 - GRIFFIN,	FIDELITY ADVISOR FREEDOM 2040	642.52	12.85	0.00	12.85	0.5	0.06
	ACCOUNT #: 01481500708	BUY 39 Units @16.5700						
01/08/2018	***-**-3036 - GRIFFIN,	FIDELITY ADVISOR FREEDOM 2040	1,041.52	20.83	0.00	20.83	0.5	0.10
	ACCOUNT #: 01481500708	BUY 63 Units @16.5700						
01/08/2018	***-**-1761 - POTTER, ALLISON	FIDELITY ADVISOR WORLDWIDE	157.82	1.58	0.00	1.58	0.5	0.01
	ACCOUNT #: 01480452315	BUY 6 Units @26.5100						



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<u> OVERRIDE TRANSACTIONS (continued) </u>								
<u>BROKER: CRAIG ST. CYR (continued)</u>								
01/25/2018	***-**-3717 - DOVETAILED	JOHN HANCOCK VA TRAILS	0.00	-784.80	0.00	-784.80	0.5	-3.92
	ACCOUNT #: 23717	BUY 1 Units @0.0000						
		* CRAIG ST. CYR SUBTOTAL *	\$15,674.86	\$-611.14	\$0.00	\$-611.14		\$-3.01
<u>BROKER: SHERIL DAMELIO</u>								
01/08/2018	***-**-1125 - INLAND,	AMERICAN FUNDS 401K TRAILS	0.00	503.74	0.00	503.74	0.5	2.52
	ACCOUNT #: BRK111059	BUY 0 Units @0.0000						
01/08/2018	***-**-3656 - MADONNA, OB/GYN	AMERICAN FUNDS 401K TRAILS	0.00	267.24	0.00	267.24	0.5	1.34
	ACCOUNT #: IRK122879	BUY 0 Units @0.0000						
01/08/2018	***-**-1237 - BVNS, MANAGEMENT	AMERICAN FUNDS 401K TRAILS	0.00	1,774.27	0.00	1,774.27	0.5	8.87
	ACCOUNT #: BRK104861	BUY 0 Units @0.0000						
01/16/2018	***-**-68IN - GOODYEAR, ADAM	LIFESTYLE AGGRESSIVE PORTFOLIO A	0.00	1.42	0.00	1.42	0.5	0.01
	ACCOUNT #: 00001605813	BUY 0 Units @0.0000						
01/16/2018	***-**-798I - BALON, JENNIFER	LIFESTYLE AGGRESSIVE PORTFOLIO A	0.00	21.67	0.00	21.67	0.5	0.11
	ACCOUNT #: 00001673691	BUY 0 Units @0.0000						
01/16/2018	***-**-47IN - MURPHY, JAMES	LIFESTYLE BALANCED PORTFOLIO A	0.00	12.42	0.00	12.42	0.5	0.06
	ACCOUNT #: 00001488868	BUY 0 Units @0.0000						
01/16/2018	***-**-87UG - TRANS TO MIN ACT	LIFESTYLE GROWTH PORTFOLIO A	0.00	1.01	0.00	1.01	0.5	0.01
	ACCOUNT #: 00001851334	BUY 0 Units @0.0000						
01/16/2018	***-**-818I - MURPHY, JUDY	LIFESTYLE MODERATE PORTFOLIO A	0.00	3.10	0.00	3.10	0.5	0.02
	ACCOUNT #: 00001488864	BUY 0 Units @0.0000						
		* SHERIL DAMELIO SUBTOTAL *	\$0.00	\$2,584.87	\$0.00	\$2,584.87		\$12.94
<u>BROKER: BERT GOLDBERG</u>								
01/29/2018	***-**-10TR - SAUDER TRUST	DEUTSCHE COMMUNICATI FUND-A	0.00	24.86	0.00	24.86	0.5	0.12
	ACCOUNT #: LSR010138	BUY 1 Units @0.0000						
01/29/2018	***-**-33IO - AUDY, JAMES	FIDELITY GOVT MMKT DAILY MONEY CLAS	0.00	5.76	0.00	5.76	0.5	0.03
	ACCOUNT #: LSR012379	BUY 1 Units @0.0000						
01/29/2018	***-**-568I - MARSHALL, BRUCE	FIDELITY GOVT MMKT DAILY MONEY CLAS	0.00	1.08	0.00	1.08	0.5	0.01
	ACCOUNT #: LSR105627	BUY 1 Units @0.0000						
01/29/2018	***-**-5712 - RAMSEY, GUSSIE	FIDELITY GOVT MMKT DAILY MONEY CLAS	0.00	2.92	0.00	2.92	0.5	0.01
	ACCOUNT #: LSR105929	BUY 1 Units @0.0000						



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<u>VERRIDE TRANSACTIONS (continued)</u>								
<u>BROKER: BERT GOLDBERG (continued)</u>								
01/29/2018	***-**-10TR - SAUDER TRUST ACCOUNT #: LSR010138	FRANKLIN INCOME FUND CLASS A BUY 1 Units @0.0000	0.00	3.62	0.00	3.62	0.5	0.02
01/29/2018	***-**-0724 - STROMMESEN, ACCOUNT #: LSR105090	FRANKLIN INCOME FUND CLASS A BUY 1 Units @0.0000	0.00	4.53	0.00	4.53	0.5	0.02
01/29/2018	***-**-1788 - STROMMESEN, ACCOUNT #: LSR105104	FRANKLIN INCOME FUND CLASS A BUY 1 Units @0.0000	0.00	2.93	0.00	2.93	0.5	0.01
01/29/2018	***-**-9761 - MCCARTHY, NANCY ACCOUNT #: LSR105490	FRANKLIN INCOME FUND CLASS A BUY 1 Units @0.0000	0.00	2.61	0.00	2.61	0.5	0.01
01/29/2018	***-**-568J - MARSHALL, BRUCE ACCOUNT #: LSR105600	FRANKLIN INCOME FUND CLASS A BUY 1 Units @0.0000	0.00	7.25	0.00	7.25	0.5	0.04
01/29/2018	***-**-5712 - RAMSEY, GUSSIE ACCOUNT #: LSR105929	FRANKLIN INCOME FUND CLASS A BUY 1 Units @0.0000	0.00	13.54	0.00	13.54	0.5	0.07
01/29/2018	***-**-10TR - SAUDER TRUST ACCOUNT #: LSR010138	FRANKLIN RISING DIVIDENDS FD CLASS BUY 1 Units @0.0000	0.00	78.49	0.00	78.49	0.5	0.39
01/29/2018	***-**-92IO - SAUDER ACCOUNT #: LSR105538	FRANKLIN RISING DIVIDENDS FD CLASS BUY 1 Units @0.0000	0.00	44.81	0.00	44.81	0.5	0.22
01/25/2018	***-**-0235 - RKS, PLUMBING & ACCOUNT #: 26983	JOHN HANCOCK VA TRAILS BUY 1 Units @0.0000	0.00	784.80	0.00	784.80	0.5	3.92
01/16/2018	***-**-579I - FREDERICK, ACCOUNT #: 00001676185	LIFESTYLE BALANCED PORTFOLIO A BUY 0 Units @0.0000	0.00	4.65	0.00	4.65	0.5	0.02
01/16/2018	***-**-492I - SELL, MICHAEL ACCOUNT #: 00001722478	LIFESTYLE BALANCED PORTFOLIO A BUY 0 Units @0.0000	0.00	2.02	0.00	2.02	0.5	0.01
01/16/2018	***-**-63IN - SYPHERS, ZACKARY ACCOUNT #: 00001827112	LIFESTYLE BALANCED PORTFOLIO A BUY 0 Units @0.0000	0.00	2.24	0.00	2.24	0.5	0.01
01/16/2018	***-**-280I - CURD, NANCY ACCOUNT #: 00001860711	LIFESTYLE BALANCED PORTFOLIO A BUY 0 Units @0.0000	0.00	1.17	0.00	1.17	0.5	0.01
01/16/2018	***-**-837I - CURTIN, PAUL ACCOUNT #: 00002116172	LIFESTYLE BALANCED PORTFOLIO A BUY 0 Units @0.0000	0.00	2.43	0.00	2.43	0.5	0.01
01/16/2018	***-**-180I - GOODMILLER, ACCOUNT #: 00002330736	LIFESTYLE BALANCED PORTFOLIO A BUY 0 Units @0.0000	0.00	6.19	0.00	6.19	0.5	0.03
01/16/2018	***-**-36IN - PISARIK, MICHAEL ACCOUNT #: 00001840495	LIFESTYLE MODERATE PORTFOLIO A BUY 0 Units @0.0000	0.00	5.07	0.00	5.07	0.5	0.03



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<u> OVERRIDE TRANSACTIONS (continued) </u>								
<u>BROKER: BERT GOLDBERG (continued)</u>								
01/16/2018	***-**-118I - ANDERSSOHN, ACCOUNT #: 00002038061	LIFESTYLE MODERATE PORTFOLIO A BUY 0 Units @0.0000	0.00	1.33	0.00	1.33	0.5	0.01
01/16/2018	***-**-9040 - WATSON, MARY ACCOUNT #: 00002400791	LIFESTYLE MODERATE PORTFOLIO A BUY 0 Units @0.0000	0.00	9.63	0.00	9.63	0.5	0.05
01/16/2018	***-**-4036 - PISARIK, MICHAEL ACCOUNT #: 00002493848	LIFESTYLE MODERATE PORTFOLIO A BUY 0 Units @0.0000	0.00	2.39	0.00	2.39	0.5	0.01
* BERT GOLDBERG SUBTOTAL *			\$0.00	\$1,014.32	\$0.00	\$1,014.32		\$5.06
<u>BROKER: LINDA BLACK</u>								
01/29/2018	***-**-44CL - BLACK, CLIENTS	ADP PROTOTYPE 401K PLAN BUY 0 Units @0.0000	0.00	232.84	0.00	232.84	0.5	1.16
01/20/2018	***-**-16IN - GAVELEK, CYNTHIA ACCOUNT #: P55D1519110	AMERICAN GENERAL CUSIP 001399864-NF BUY 0 Units @0.0000	0.00	91.05	0.00	91.05	0.5	0.46
01/29/2018	***-**-20IN - GAVIN, ANNE ACCOUNT #: LSR011851	BLACKROCK STRATEGIC MUNI OPPORTUNIT BUY 1 Units @0.0000	0.00	3.69	0.00	3.69	0.5	0.02
01/29/2018	***-**-99IR - TARKINGTON, ACCOUNT #: LSR108162	COHEN&STEERS GL BUY 1 Units @0.0000	0.00	4.07	0.00	4.07	0.5	0.02
01/29/2018	***-**-362K - SIKORA, AMY ACCOUNT #: LSR011287	DWS TRAILS 25159G81 BUY 1 Units @0.0000	0.00	2.29	0.00	2.29	0.5	0.01
01/29/2018	***-**-076I - CROWE, DEANNA ACCOUNT #: LSR007811	EQUITY INCOME FUND, INC. A BUY 1 Units @0.0000	0.00	1.31	0.00	1.31	0.5	0.01
01/29/2018	***-**-44TR - RICHARDS TTEE, ACCOUNT #: LSR010414	FIDELITY GOVT MMKT DAILY MONEY CLAS BUY 1 Units @0.0000	0.00	2.32	0.00	2.32	0.5	0.01
01/29/2018	***-**-544I - RICHARDS, FBO ACCOUNT #: LSR010418	FIDELITY GOVT MMKT DAILY MONEY CLAS BUY 1 Units @0.0000	0.00	1.46	0.00	1.46	0.5	0.01
01/29/2018	***-**-544O - RICHARDS, LUCY ACCOUNT #: LSR010419	FIDELITY GOVT MMKT DAILY MONEY CLAS BUY 1 Units @0.0000	0.00	1.05	0.00	1.05	0.5	0.01
01/29/2018	***-**-99IR - TARKINGTON, ACCOUNT #: LSR108162	FIDELITY GOVT MMKT DAILY MONEY CLAS BUY 1 Units @0.0000	0.00	3.33	0.00	3.33	0.5	0.02
01/29/2018	***-**-717X - VIRTIS, PATRICIA ACCOUNT #: LSR010310	FRANKLIN INCOME FUND CLASS A BUY 1 Units @0.0000	0.00	1.28	0.00	1.28	0.5	0.01
01/29/2018	***-**-829X - PRESTIGE, BRENDA ACCOUNT #: LSR010314	FRANKLIN INCOME FUND CLASS A BUY 1 Units @0.0000	0.00	1.44	0.00	1.44	0.5	0.01



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<u> OVERRIDE TRANSACTIONS (continued) </u>								
<u> BROKER: LINDA BLACK (continued) </u>								
01/29/2018	***-**-650J - LONGERBEAM, ACCOUNT #: LSR011736	FRANKLIN INCOME FUND CLASS C BUY 1 Units @0.0000	0.00	5.36	0.00	5.36	0.5	0.03
01/29/2018	***-**-829I - PRESTIDGE, ACCOUNT #: LSR005118	FRANKLIN U.S. GOVERNMENT SECURITIES BUY 1 Units @0.0000	0.00	2.62	0.00	2.62	0.5	0.01
01/29/2018	***-**-31IN - CANTATORE, ACCOUNT #: LSR006831	FRANKLIN VIRGINIA TAX FREE A BUY 1 Units @0.0000	0.00	3.29	0.00	3.29	0.5	0.02
01/29/2018	***-**-116I - GAVELEK, CYNTHIA ACCOUNT #: LSR010199	GOLDMAN SACHS SMALL/ MID CAP GRWTH BUY 1 Units @0.0000	0.00	1.32	0.00	1.32	0.5	0.01
01/29/2018	***-**-116I - GAVELEK, CYNTHIA ACCOUNT #: LSR010199	JANUS GLOBAL LIFE SCIENCES CL A BUY 1 Units @0.0000	0.00	1.43	0.00	1.43	0.5	0.01
01/16/2018	***-**-15IR - STOWERS, SAMUEL ACCOUNT #: 00002101908	JOHN HANCOCK US EQUITY CL A BUY 0 Units @0.0000	0.00	3.49	0.00	3.49	0.5	0.02
01/16/2018	***-**-145I - GODLEWSKI, ACCOUNT #: 00002037541	LIFESTYLE AGGRESSIVE PORTFOLIO A BUY 0 Units @0.0000	0.00	10.12	0.00	10.12	0.5	0.05
01/29/2018	***-**-8362 - SIKORA, AMY ACCOUNT #: 7200026907	LIVEWELL MUTUAL FUND BUY 0 Units @0.0000	0.00	38.76	0.00	38.76	0.5	0.19
01/29/2018	***-**-332I - GALLUCCI, NANCY ACCOUNT #: LSR011409	LORD ABBETT CONVERT FUND CL C BUY 1 Units @0.0000	0.00	6.78	0.00	6.78	0.5	0.03
01/29/2018	***-**-464I - GALLUCCI, ACCOUNT #: LSR011411	LORD ABBETT CONVERT FUND CL C BUY 1 Units @0.0000	0.00	11.75	0.00	11.75	0.5	0.06
01/29/2018	***-**-332I - GALLUCCI, NANCY ACCOUNT #: LSR011409	LORD ABBETT CORE FIXED INCOME CL C BUY 1 Units @0.0000	0.00	3.17	0.00	3.17	0.5	0.02
01/29/2018	***-**-464I - GALLUCCI, ACCOUNT #: LSR011411	LORD ABBETT CORE FIXED INCOME CL C BUY 1 Units @0.0000	0.00	3.20	0.00	3.20	0.5	0.02
01/29/2018	***-**-332I - GALLUCCI, NANCY ACCOUNT #: LSR011409	LORD ABBETT FLOATING RATE FD CL C BUY 1 Units @0.0000	0.00	5.62	0.00	5.62	0.5	0.03
01/29/2018	***-**-464I - GALLUCCI, ACCOUNT #: LSR011411	LORD ABBETT FLOATING RATE FD CL C BUY 1 Units @0.0000	0.00	9.94	0.00	9.94	0.5	0.05
01/29/2018	***-**-20IN - GAVIN, ANNE ACCOUNT #: LSR011851	LORD ABBETT FLOATING RATE FD CL C BUY 1 Units @0.0000	0.00	2.67	0.00	2.67	0.5	0.01
01/29/2018	***-**-332I - GALLUCCI, NANCY ACCOUNT #: LSR011409	LORD ABBETT HIGH YIELD CLASS C BUY 1 Units @0.0000	0.00	2.87	0.00	2.87	0.5	0.01



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<u> OVERRIDE TRANSACTIONS (continued) </u>								
<u> BROKER: LINDA BLACK (continued) </u>								
01/29/2018	***-**-464I - GALLUCCI, ACCOUNT #: LSR011411	LORD ABBETT HIGH YIELD CLASS C BUY 1 Units @0.0000	0.00	3.57	0.00	3.57	0.5	0.02
01/29/2018	***-**-332I - GALLUCCI, NANCY ACCOUNT #: LSR011409	LORD ABBETT SHORT DURATION INCOME C BUY 1 Units @0.0000	0.00	2.55	0.00	2.55	0.5	0.01
01/29/2018	***-**-464I - GALLUCCI, ACCOUNT #: LSR011411	LORD ABBETT SHORT DURATION INCOME C BUY 1 Units @0.0000	0.00	3.19	0.00	3.19	0.5	0.02
01/29/2018	***-**-94SP - LOUDOUN ACCOUNT #: 825176	MASS MUTUAL VA TRAILS BUY 1 Units @0.0000	0.00	4.66	0.00	4.66	0.5	0.02
01/29/2018	***-**-426I - CROWE, MICHAEL ACCOUNT #: LSR007820	MS INST GLO OPP FD A NFS BUY 1 Units @0.0000	0.00	6.69	0.00	6.69	0.5	0.03
01/29/2018	***-**-076I - CROWE, DEANNA ACCOUNT #: LSR007811	OPPENHEIMER INTERNATIONAL DIVERSIFI BUY 1 Units @0.0000	0.00	1.26	0.00	1.26	0.5	0.01
01/29/2018	***-**-076I - CROWE, DEANNA ACCOUNT #: LSR007811	OPPENHEIMER MAIN STREET OPPORTUNITY BUY 1 Units @0.0000	0.00	10.31	0.00	10.31	0.5	0.05
01/29/2018	***-**-426I - CROWE, MICHAEL ACCOUNT #: LSR007820	OPPENHEIMER MAIN STREET OPPORTUNITY BUY 1 Units @0.0000	0.00	3.84	0.00	3.84	0.5	0.02
01/29/2018	***-**-076I - CROWE, DEANNA ACCOUNT #: LSR007811	OPPENHEIMER MAIN STREET SMALL CAP F BUY 1 Units @0.0000	0.00	9.37	0.00	9.37	0.5	0.05
01/29/2018	***-**-426I - CROWE, MICHAEL ACCOUNT #: LSR007820	OPPENHEIMER MAIN STREET SMALL CAP F BUY 1 Units @0.0000	0.00	3.40	0.00	3.40	0.5	0.02
01/29/2018	***-**-499I - BLACKWELL, ACCOUNT #: LSR011765	PIMCO ALL ASSET ALL AUTHORITY A BUY 1 Units @0.0000	0.00	2.21	0.00	2.21	0.5	0.01
01/29/2018	***-**-332I - GALLUCCI, NANCY ACCOUNT #: LSR011409	PIMCO CAP SECURITIES AND FINANCIALS BUY 1 Units @0.0000	0.00	2.04	0.00	2.04	0.5	0.01
01/29/2018	***-**-464I - GALLUCCI, ACCOUNT #: LSR011411	PIMCO CAP SECURITIES AND FINANCIALS BUY 1 Units @0.0000	0.00	3.41	0.00	3.41	0.5	0.02
01/29/2018	***-**-464I - GALLUCCI, ACCOUNT #: LSR011411	PIMCO CAP SECURITIES AND FINANCIALS BUY 1 Units @0.0000	0.00	1.14	0.00	1.14	0.5	0.01
01/29/2018	***-**-499I - BLACKWELL, ACCOUNT #: LSR011765	PIMCO DIDIDEND AND INCOME FND CL A- BUY 1 Units @0.0000	0.00	2.35	0.00	2.35	0.5	0.01
01/29/2018	***-**-499I - BLACKWELL, ACCOUNT #: LSR011765	PIMCO HIGH YIELD CLASS A BUY 1 Units @0.0000	0.00	1.16	0.00	1.16	0.5	0.01



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<u> OVERRIDE TRANSACTIONS (continued) </u>								
<u> BROKER: LINDA BLACK (continued) </u>								
01/29/2018	***-**-499I - BLACKWELL, ACCOUNT #: LSR011765	PIMCO SENIOR FLOATING RATE CL A-NFS BUY 1 Units @0.0000	0.00	2.18	0.00	2.18	0.5	0.01
01/29/2018	***-**-332I - GALLUCCI, NANCY ACCOUNT #: LSR011409	PIMCO SENIOR FLOATING RATE CL C-NFS BUY 1 Units @0.0000	0.00	1.92	0.00	1.92	0.5	0.01
01/29/2018	***-**-464I - GALLUCCI, ACCOUNT #: LSR011411	PIMCO SENIOR FLOATING RATE CL C-NFS BUY 1 Units @0.0000	0.00	3.20	0.00	3.20	0.5	0.02
01/29/2018	***-**-464I - GALLUCCI, ACCOUNT #: LSR011411	PIMCO SENIOR FLOATING RATE CL C-NFS BUY 1 Units @0.0000	0.00	1.07	0.00	1.07	0.5	0.01
01/29/2018	***-**-464I - GALLUCCI, ACCOUNT #: LSR011411	PIMCO SHORT TERM CLASS C BUY 1 Units @0.0000	0.00	1.10	0.00	1.10	0.5	0.01
01/29/2018	***-**-464I - GALLUCCI, ACCOUNT #: LSR011411	PIMCO SHORT TERM CLASS C BUY 1 Units @0.0000	0.00	1.10	0.00	1.10	0.5	0.01
01/29/2018	***-**-332I - GALLUCCI, NANCY ACCOUNT #: LSR011409	PIMCO TOTAL RETURN C BUY 1 Units @0.0000	0.00	2.28	0.00	2.28	0.5	0.01
01/29/2018	***-**-464I - GALLUCCI, ACCOUNT #: LSR011411	PIMCO TOTAL RETURN C BUY 1 Units @0.0000	0.00	2.85	0.00	2.85	0.5	0.01
01/29/2018	***-**-464I - GALLUCCI, ACCOUNT #: LSR011411	PIMCO TOTAL RETURN C BUY 1 Units @0.0000	0.00	1.10	0.00	1.10	0.5	0.01
01/29/2018	***-**-499I - BLACKWELL, ACCOUNT #: LSR011765	PIMCO GLOBAL BOND CL A BUY 1 Units @0.0000	0.00	1.16	0.00	1.16	0.5	0.01
01/29/2018	***-**-33IR - BONNER, RACHEL ACCOUNT #: LSR011356	PUTNAM NEW OPPORTUNITIES FUND CLASS BUY 1 Units @0.0000	0.00	2.41	0.00	2.41	0.5	0.01
01/29/2018	***-**-33IR - BONNER, RACHEL ACCOUNT #: LSR011356	PUTNAM SMALL CAP VALUE FUND-A BUY 1 Units @0.0000	0.00	1.82	0.00	1.82	0.5	0.01
01/29/2018	***-**-9333 - BONNER, RACHEL ACCOUNT #: 7200027587	SAMMONS MF TRAILS BUY 0 Units @0.0000	0.00	53.19	0.00	53.19	0.5	0.27
01/29/2018	***-**-426I - CROWE, MICHAEL ACCOUNT #: LSR007820	TEMPLETON GROWTH FUND CLASS A BUY 1 Units @0.0000	0.00	2.25	0.00	2.25	0.5	0.01
01/29/2018	***-**-362K - SIKORA, AMY ACCOUNT #: LSR011287	TOLLKEEPER A BUY 1 Units @0.0000	0.00	1.71	0.00	1.71	0.5	0.01
* LINDA BLACK SUBTOTAL *			\$0.00	\$599.01	\$0.00	\$599.01		\$3.06



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<u> OVERRIDE TRANSACTIONS (continued) </u>								
<u> BROKER: SARA BERKOWICZ </u>								
01/29/2018	***-**-45IR - BERKOWICZ, ACCOUNT #: LSF000108	FIDELITY GOVT MMKT DAILY MONEY CLAS BUY 1 Units @0.0000	0.00	1.83	0.00	1.83	0.5	0.01
01/29/2018	***-**-85I2 - BERKOWICZ, ACCOUNT #: LSF000132	FIDELITY GOVT MMKT DAILY MONEY CLAS BUY 1 Units @0.0000	0.00	1.57	0.00	1.57	0.5	0.01
01/29/2018	***-**-1040 - STOLBERG, SARA ACCOUNT #: LSF000159	FIDELITY GOVT MMKT DAILY MONEY CLAS BUY 1 Units @0.0000	0.00	1.66	0.00	1.66	0.5	0.01
01/29/2018	***-**-320I - BECKER, SUSAN ACCOUNT #: LSR009482	FIDELITY GOVT MMKT DAILY MONEY CLAS BUY 1 Units @0.0000	0.00	2.16	0.00	2.16	0.5	0.01
01/29/2018	***-**-20TR - BECKER TTEE, ACCOUNT #: LSR010168	FIDELITY GOVT MMKT DAILY MONEY CLAS BUY 1 Units @0.0000	0.00	68.80	0.00	68.80	0.5	0.34
01/29/2018	***-**-00I2 - BEUTLICH, FBO ACCOUNT #: LSR003700	JPMORGAN HIGH YIELD BOND FUND CLASS BUY 1 Units @0.0000	0.00	2.48	0.00	2.48	0.5	0.01
01/29/2018	***-**-1202 - MCCORMACK, JAMI ACCOUNT #: LSR105988	PUTNAM GROWTH OPPORTUNITIES FD CL A BUY 1 Units @0.0000	0.00	15.98	0.00	15.98	0.5	0.08
01/29/2018	***-**-00I2 - BEUTLICH, FBO ACCOUNT #: LSR003700	VICTORY DIVERSIFIED STOCK CLASS A BUY 1 Units @0.0000	0.00	6.81	0.00	6.81	0.5	0.03
 * SARA BERKOWICZ SUBTOTAL * 			\$0.00	\$101.29	\$0.00	\$101.29		\$0.50
<u> BROKER: MICHAEL MINTER </u>								
01/29/2018	***-**-1968 - HIGGINS, MICHAEL ACCOUNT #: 00207170298	JOHN HANCOCK 529 TRAILS BUY 0 Units @0.0000	0.00	12.95	0.00	12.95	0.5	0.06
01/29/2018	***-**-11IN - GRECO, TONY ACCOUNT #: 00207189841	JOHN HANCOCK 529 TRAILS BUY 0 Units @0.0000	0.00	9.86	0.00	9.86	0.5	0.05
01/29/2018	***-**-981I - WARD, WILLIAM ACCOUNT #: 7200023782	LIVEWELL MUTUAL FUND BUY 0 Units @0.0000	0.00	11.32	0.00	11.32	0.5	0.06
01/29/2018	***-**-23IO - SANCHEZ, BARBARA ACCOUNT #: 7200019918	SAMMONS MF TRAILS BUY 0 Units @0.0000	0.00	4.43	0.00	4.43	0.5	0.02
01/29/2018	***-**-256I - FERENGE, RICHARD ACCOUNT #: 7200020258	SAMMONS MF TRAILS BUY 0 Units @0.0000	0.00	17.20	0.00	17.20	0.5	0.09
 * MICHAEL MINTER SUBTOTAL * 			\$0.00	\$55.76	\$0.00	\$55.76		\$0.28



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<u> OVERRIDE TRANSACTIONS (continued) </u>								
<u>BROKER: JOSEPH FERRY</u>								
01/29/2018	***-**-94CL - FERRY, CLIENTS	ADP PROTOTYPE 401K PLAN BUY 0 Units @0.0000	0.00	93.50	0.00	93.50	0.5	0.47
01/29/2018	***-**-862I - CARBONE, WILLIAM ACCOUNT #: LSR010803	CAPITAL APPRECIATION A BUY 1 Units @0.0000	0.00	4.22	0.00	4.22	0.5	0.02
01/29/2018	***-**-862I - CARBONE, WILLIAM ACCOUNT #: LSR010803	EQUITY INCOME FUND, INC. A BUY 1 Units @0.0000	0.00	6.77	0.00	6.77	0.5	0.03
01/29/2018	***-**-943K - MECHANICAL ACCOUNT #: 84336	FIDELITY ADV MF TRAILS BUY 0 Units @0.0000	0.00	6,347.84	0.00	6,347.84	0.5	31.74
01/29/2018	***-**-657Q - EDWARD SEGAL	FIDELITY FMR1310 BUY 0 Units @0.0000	0.00	9.11	0.00	9.11	0.5	0.05
01/08/2018	***-**-01IN - PELLETIER, KELLY ACCOUNT #: 000060177222593	FRANKLIN GROWTH FUND CLASS A BUY 1 Units @100.9600	75.00	2.10	0.00	2.10	0.5	0.01
01/08/2018	***-**-01IN - PELLETIER, KELLY ACCOUNT #: 000090236508494	FRANKLIN INCOME FUND CLASS A BUY 30 Units @2.5000	75.00	2.10	0.00	2.10	0.5	0.01
01/29/2018	***-**-968X - GAW, LELAND ACCOUNT #: LSR010777	FRANKLIN RISING DIVIDENDS FD CLASS BUY 1 Units @0.0000	0.00	6.70	0.00	6.70	0.5	0.03
01/29/2018	***-**-552X - FAMIGLIETTI, ACCOUNT #: LSR010780	FRK STRAT INC FND - CL A BUY 1 Units @0.0000	0.00	1.02	0.00	1.02	0.5	0.01
01/29/2018	***-**-862I - CARBONE, WILLIAM ACCOUNT #: LSR010803	GLOBAL FUND A BUY 1 Units @0.0000	0.00	4.76	0.00	4.76	0.5	0.02
01/29/2018	***-**-862I - CARBONE, WILLIAM ACCOUNT #: LSR010803	INTERNATIONAL BOND A BUY 1 Units @0.0000	0.00	2.85	0.00	2.85	0.5	0.01
01/29/2018	***-**-90SI - MACARON, SHADY ACCOUNT #: 7200000120	LIVEWELL MUTUAL FUND BUY 0 Units @0.0000	0.00	71.60	0.00	71.60	0.5	0.36
01/29/2018	***-**-078I - PELLETIER, ACCOUNT #: 7200000132	LIVEWELL MUTUAL FUND BUY 0 Units @0.0000	0.00	22.85	0.00	22.85	0.5	0.11
01/29/2018	***-**-365I - HENDRICKS, ACCOUNT #: 7200000751	LIVEWELL MUTUAL FUND BUY 0 Units @0.0000	0.00	54.29	0.00	54.29	0.5	0.27
01/29/2018	***-**-230I - ADAMAITIS, JOY ACCOUNT #: 7200005523	LIVEWELL MUTUAL FUND BUY 0 Units @0.0000	0.00	35.50	0.00	35.50	0.5	0.18
01/29/2018	***-**-069I - PIRES, DAVID ACCOUNT #: 7200006689	LIVEWELL MUTUAL FUND BUY 0 Units @0.0000	0.00	17.80	0.00	17.80	0.5	0.09



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<u> OVERRIDE TRANSACTIONS (continued) </u>								
<u> BROKER: JOSEPH FERRY (continued) </u>								
01/29/2018	***-**-124I - YOUNG, SANDRA	LIVEWELL MUTUAL FUND	0.00	21.25	0.00	21.25	0.5	0.11
	ACCOUNT #: 7200017871	BUY 0 Units @0.0000						
01/29/2018	***-**-118I - MORRO, CHARLOTTE	LIVEWELL MUTUAL FUND	0.00	8.20	0.00	8.20	0.5	0.04
	ACCOUNT #: 7200021809	BUY 0 Units @0.0000						
01/29/2018	***-**-078I - PELLETIER,	LIVEWELL MUTUAL FUND	0.00	4.58	0.00	4.58	0.5	0.02
	ACCOUNT #: 7200000132	BUY 0 Units @0.0000						
01/08/2018	***-**-01IN - PELLETIER, KELLY	MUTUAL GLOBAL DISCOVERY FUND - CLAS	75.00	2.10	0.00	2.10	0.5	0.01
	ACCOUNT #: 000000007745197	BUY 2 Units @33.8400						
01/29/2018	***-**-862I - CARBONE, WILLIAM	OPPENHEIMER CORE BOND FUND A	0.00	5.19	0.00	5.19	0.5	0.03
	ACCOUNT #: LSR010803	BUY 1 Units @0.0000						
01/29/2018	***-**-862I - CARBONE, WILLIAM	OPPENHEIMER U.S. GOVT TR CLASS A	0.00	5.04	0.00	5.04	0.5	0.03
	ACCOUNT #: LSR010803	BUY 1 Units @0.0000						
01/29/2018	***-**-187I - HENEERY, KEVIN	SAMMONS MF TRAILS	0.00	32.78	0.00	32.78	0.5	0.16
	ACCOUNT #: 7200000440	BUY 0 Units @0.0000						
01/29/2018	***-**-027I - ADAMAITIS,	SAMMONS MF TRAILS	0.00	9.34	0.00	9.34	0.5	0.05
	ACCOUNT #: 7200011626	BUY 0 Units @0.0000						
01/29/2018	***-**-788I - LIPEIKA, RONALD	SAMMONS MF TRAILS	0.00	45.98	0.00	45.98	0.5	0.23
	ACCOUNT #: 7200016493	BUY 0 Units @0.0000						
01/08/2018	***-**-01IN - PELLETIER, KELLY	TEMP GLOBAL BOND FND - CL A	75.00	2.10	0.00	2.10	0.5	0.01
	ACCOUNT #: 000006984020841	BUY 6 Units @12.5600						
01/29/2018	***-**-552X - FAMIGLIETTI,	TEMP GLOBAL BOND FND - CL A	0.00	1.06	0.00	1.06	0.5	0.01
	ACCOUNT #: LSR010780	BUY 1 Units @0.0000						
 * JOSEPH FERRY SUBTOTAL * 			\$300.00	\$6,820.63	\$0.00	\$6,820.63		\$34.11
<u> BROKER: SANDINO VERRELLI </u>								
01/29/2018	***-**-3580 - BALAGTAS,	FRANKLIN CONNECTICUT TAX FREE INCOM	0.00	1.11	0.00	1.11	0.5	0.01
	ACCOUNT #: LSR007714	BUY 1 Units @0.0000						
01/29/2018	***-**-092K - LENNON, JENNY	SAMMONS MF TRAILS	0.00	4.24	0.00	4.24	0.5	0.02
	ACCOUNT #: 7200007783	BUY 0 Units @0.0000						
 * SANDINO VERRELLI SUBTOTAL * 			\$0.00	\$5.35	\$0.00	\$5.35		\$0.03



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<u> OVERRIDE TRANSACTIONS (continued) </u>								
<u>BROKER: ALEX GEORGIEV</u>								
01/29/2018	***-**-03CL - GEORGIEV,	ADP PROTOTYPE 401K PLAN BUY 0 Units @0.0000	0.00	18.08	0.00	18.08	0.5	0.09
01/29/2018	***-**-0909 - CORAL SPRINGS,	ADP PROTOTYPE 401K PLAN BUY 0 Units @0.0000	0.00	27.19	0.00	27.19	0.5	0.14
01/26/2018	***-**-872I - NEWGAARD, DAVID ACCOUNT #: 74870050402	AGE-BASED AGGRESSIVE 19+ CLASS A BUY 0 Units @0.0000	100.00	3.00	0.00	3.00	0.5	0.02
01/08/2018	***-**-69IN - FOULK, FLOYD ACCOUNT #: 03310275876	ALLIANCEBERNSTEIN GROWTH A BUY 1 Units @79.3700	50.00	2.00	0.00	2.00	0.5	0.01
01/08/2018	***-**-65CL - LIFEMARK, ACCOUNT #: IRK66666	AMERICAN FUNDS 401K TRAILS BUY 0 Units @0.0000	0.00	246.03	0.00	246.03	0.5	1.23
01/22/2018	***-**-322I - RUBIN, HOWARD ACCOUNT #: LSR012144	AMERICAN FUNDS BALANCED PORT CL F2- BUY 3 Units @15.3800	50.00	3.00	0.00	3.00	0.5	0.02
01/22/2018	***-**-30TR - KNIGHT TRUST, ACCOUNT #: LSR012108	AMERICAN FUNDS BLNCD PORTFOLIO CL A BUY 19 Units @15.7500	300.01	6.00	0.00	6.00	0.5	0.03
01/22/2018	***-**-601J - RUBIN, HOWARD ACCOUNT #: LSR012179	AMERICAN FUNDS BLNCD PORTFOLIO CL A BUY 3 Units @16.3000	49.99	2.50	0.00	2.50	0.5	0.01
01/22/2018	***-**-845I - LAMPERT, ELLEN ACCOUNT #: LSR012230	AMERICAN FUNDS BLNCD PORTFOLIO CL A BUY 7 Units @16.0800	105.00	3.93	0.00	3.93	0.5	0.02
01/24/2018	***-**-520J - TOVELLO, THOMAS ACCOUNT #: LSR012091	AMERICAN FUNDS BLNCD PORTFOLIO CL A BUY 12 Units @15.8100	186.26	3.73	0.00	3.73	0.5	0.02
01/24/2018	***-**-520I - TOVELLO, THOMAS ACCOUNT #: LSR012092	AMERICAN FUNDS BLNCD PORTFOLIO CL A BUY 14 Units @15.8100	216.50	4.33	0.00	4.33	0.5	0.02
01/24/2018	***-**-493I - TOVELLO, DONNA ACCOUNT #: LSR012093	AMERICAN FUNDS BLNCD PORTFOLIO CL A BUY 7 Units @15.8100	115.00	2.30	0.00	2.30	0.5	0.01
01/22/2018	***-**-322I - RUBIN, HOWARD ACCOUNT #: LSR012144	AMERICAN FUNDS GRWTH & INC. PORT F BUY 3 Units @15.8500	50.01	3.00	0.00	3.00	0.5	0.02
01/22/2018	***-**-30TR - KNIGHT TRUST, ACCOUNT #: LSR012108	AMERICAN FUNDS GRWTH & INCOME PORT BUY 18 Units @16.2400	300.00	6.00	0.00	6.00	0.5	0.03
01/22/2018	***-**-601J - RUBIN, HOWARD ACCOUNT #: LSR012179	AMERICAN FUNDS GRWTH & INCOME PORT BUY 3 Units @16.8000	50.00	2.50	0.00	2.50	0.5	0.01
01/22/2018	***-**-845I - LAMPERT, ELLEN ACCOUNT #: LSR012230	AMERICAN FUNDS GRWTH & INCOME PORT BUY 6 Units @16.5800	105.00	3.93	0.00	3.93	0.5	0.02



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<u>BROKER: ALEX GEORGIEV (continued)</u>								
01/24/2018	***-**-520J - TOVELLO, THOMAS ACCOUNT #: LSR012091	AMERICAN FUNDS GRWTH & INCOME PORT BUY 11 Units @16.3000	186.24	3.73	0.00	3.73	0.5	0.02
01/24/2018	***-**-520I - TOVELLO, THOMAS ACCOUNT #: LSR012092	AMERICAN FUNDS GRWTH & INCOME PORT BUY 13 Units @16.3000	216.50	4.33	0.00	4.33	0.5	0.02
01/24/2018	***-**-493I - TOVELLO, DONNA ACCOUNT #: LSR012093	AMERICAN FUNDS GRWTH & INCOME PORT BUY 7 Units @16.3000	115.00	2.30	0.00	2.30	0.5	0.01
01/25/2018	***-**-017J - TAZUMA, MIYOKO ACCOUNT #: LSR009466	AMGEN INC SELL 150 Units @190.9480	28,642.20	2.00	0.00	2.00	0.5	0.01
01/29/2018	***-**-95IN - CHAMBERLAIN, BUY 1 Units @0.0000	ASPIRE RIA BUY 1 Units @0.0000	0.00	2.60	0.00	2.60	0.5	0.01
01/16/2018	***-**-148I - SHAFER, TERRY ACCOUNT #: 00777263955	BALANCED A BUY 0 Units @0.0000	0.00	1.47	0.00	1.47	0.5	0.01
01/29/2018	***-**-6508 - WILLIAMS, DANA ACCOUNT #: LSR104264	CALAMOS GROWTH FUND CLASS A BUY 1 Units @0.0000	0.00	3.17	0.00	3.17	0.5	0.02
01/02/2018	***-**-03IN - IADIANO, EDNA ACCOUNT #: 03211107536	CAPITAL APPRECIATION A BUY 0 Units @0.0000	812.10	16.24	0.00	16.24	0.5	0.08
01/02/2018	***-**-03IN - IADIANO, EDNA ACCOUNT #: 03211107536	CAPITAL APPRECIATION A BUY 0 Units @0.0000	326.15	6.52	0.00	6.52	0.5	0.03
01/08/2018	***-**-56IN - SHIELDS-FUSILLI, ACCOUNT #: 02706103493	CAPITAL APPRECIATION A BUY 0 Units @0.0000	400.00	16.00	0.00	16.00	0.5	0.08
01/29/2018	***-**-725I - LYTTLE, DIANE BUY 0 Units @0.0000	DELAWARE INV MF TRAILS BUY 0 Units @0.0000	0.00	8.57	0.00	8.57	0.5	0.04
01/16/2018	***-**-889J - SELDEN, JANICE ACCOUNT #: 00001306559	DEUTSCHE COMMUNICATI FUND-A BUY 0 Units @0.0000	0.00	3.05	0.00	3.05	0.5	0.02
01/16/2018	***-**-906I - KUBACH, GARY ACCOUNT #: 00009380521	DEUTSCHE SMALL CAP GROWTH FND -A BUY 0 Units @0.0000	0.00	2.35	0.00	2.35	0.5	0.01
01/16/2018	***-**-34IN - MARTIN, MICHAEL ACCOUNT #: 09200452632	DEUTSCHE SMALL CAP GROWTH FND -A BUY 0 Units @0.0000	0.00	7.23	0.00	7.23	0.5	0.04
01/16/2018	***-**-28IN - MENOTTI, MARIA ACCOUNT #: 00089037600	DWS TRAILS 25157M10 BUY 0 Units @0.0000	0.00	15.76	0.00	15.76	0.5	0.08
01/16/2018	***-**-02IN - GIANCOLA, LUCY ACCOUNT #: 00133308159	DWS TRAILS 25158T60 BUY 0 Units @0.0000	0.00	30.09	0.00	30.09	0.5	0.15



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<u> BROKER: ALEX GEORGIEV (continued) </u>								
01/16/2018	***-**-111I - MCLAUGHLIN, ACCOUNT #: 00133201243	DWS TRAILS 25159G81 BUY 0 Units @0.0000	0.00	2.12	0.00	2.12	0.5	0.01
01/16/2018	***-**-74IN - GONSKI, MARCY ACCOUNT #: 00089509103	DWS TRAILS 25159L56 BUY 0 Units @0.0000	0.00	5.60	0.00	5.60	0.5	0.03
01/16/2018	***-**-34IN - MARTIN, MICHAEL ACCOUNT #: 09200452632	DWS TRAILS 25159R70 BUY 0 Units @0.0000	0.00	1.01	0.00	1.01	0.5	0.01
01/29/2018	***-**-472O - ADAMS, FAITH ACCOUNT #: LSR003875	FEDERATED EQUITY INCOME FUND BUY 1 Units @0.0000	0.00	1.17	0.00	1.17	0.5	0.01
01/29/2018	***-**-77I2 - ROBINSON, ELLEN ACCOUNT #: LSF000027	FIDELITY GOVT MMKT DAILY MONEY CLAS BUY 1 Units @0.0000	0.00	1.37	0.00	1.37	0.5	0.01
01/29/2018	***-**-472O - ADAMS, FAITH ACCOUNT #: LSR003875	FIDELITY GOVT MMKT DAILY MONEY CLAS BUY 1 Units @0.0000	0.00	1.48	0.00	1.48	0.5	0.01
01/29/2018	***-**-752I - HAIRSTON, DYRLI ACCOUNT #: LSR004227	FIDELITY GOVT MMKT DAILY MONEY CLAS BUY 1 Units @0.0000	0.00	3.19	0.00	3.19	0.5	0.02
01/29/2018	***-**-472I - ADAMS, FAITH ACCOUNT #: LSR004782	FIDELITY GOVT MMKT DAILY MONEY CLAS BUY 1 Units @0.0000	0.00	3.83	0.00	3.83	0.5	0.02
01/29/2018	***-**-16IR - MITCHELL, JAMES ACCOUNT #: LSR005487	FIDELITY GOVT MMKT DAILY MONEY CLAS BUY 1 Units @0.0000	0.00	3.85	0.00	3.85	0.5	0.02
01/29/2018	***-**-85IR - MITCHELL, JANICE ACCOUNT #: LSR005495	FIDELITY GOVT MMKT DAILY MONEY CLAS BUY 1 Units @0.0000	0.00	14.24	0.00	14.24	0.5	0.07
01/29/2018	***-**-416J - MITCHELL, JAMES ACCOUNT #: LSR005509	FIDELITY GOVT MMKT DAILY MONEY CLAS BUY 1 Units @0.0000	0.00	5.44	0.00	5.44	0.5	0.03
01/29/2018	***-**-62IO - NEWSOME, NIKA ACCOUNT #: LSR010474	FIDELITY GOVT MMKT DAILY MONEY CLAS BUY 1 Units @0.0000	0.00	1.13	0.00	1.13	0.5	0.01
01/29/2018	***-**-589I - ROSE, THOMAS ACCOUNT #: LSR101648	FIDELITY GOVT MMKT DAILY MONEY CLAS BUY 1 Units @0.0000	0.00	18.47	0.00	18.47	0.5	0.09
01/29/2018	***-**-89IN - ROSE, THOMAS ACCOUNT #: LSR101664	FIDELITY GOVT MMKT DAILY MONEY CLAS BUY 1 Units @0.0000	0.00	2.67	0.00	2.67	0.5	0.01
01/29/2018	***-**-653O - DIVREI YOSEF INC ACCOUNT #: LSR103675	FIDELITY GOVT MMKT DAILY MONEY CLAS BUY 1 Units @0.0000	0.00	2.32	0.00	2.32	0.5	0.01
01/29/2018	***-**-653O - DIVREI YOSEF INC ACCOUNT #: LSR103683	FIDELITY GOVT MMKT DAILY MONEY CLAS BUY 1 Units @0.0000	0.00	2.17	0.00	2.17	0.5	0.01



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<u>VERRIDE TRANSACTIONS (continued)</u>								
<u>BROKER: ALEX GEORGIEV (continued)</u>								
01/29/2018	***-**-2764 - FREEMAN, ACCOUNT #: LSR104906	FIDELITY GOVT MMKT DAILY MONEY CLAS BUY 1 Units @0.0000	0.00	11.17	0.00	11.17	0.5	0.06
01/29/2018	***-**-3125 - ROSENGARTEN, ACCOUNT #: LSR105147	FIDELITY GOVT MMKT DAILY MONEY CLAS BUY 1 Units @0.0000	0.00	1.52	0.00	1.52	0.5	0.01
01/29/2018	***-**-22SI - PROUL, JEFFRY ACCOUNT #: LSR000175	FIDELITY GOVT MMKT DAILY MONEY CLAS BUY 1 Units @0.0000	0.00	22.58	0.00	22.58	0.5	0.11
01/16/2018	***-**-6167 - MEYERS, LYNN ACCOUNT #: 00777297925	FINANCIAL INDUSTRIES A BUY 0 Units @0.0000	0.00	2.34	0.00	2.34	0.5	0.01
01/29/2018	***-**-0940 - BONNEY LLC, ACCOUNT #: LSR009423	FRANKLIN INCOME FUND CLASS A BUY 1 Units @0.0000	0.00	12.08	0.00	12.08	0.5	0.06
01/29/2018	***-**-8658 - SOLOFF, MIRIAM ACCOUNT #: LSR105201	FRK AGGRESSIVE GRWTH - CL A BUY 1 Units @0.0000	0.00	2.78	0.00	2.78	0.5	0.01
01/29/2018	***-**-24SI - GARRETT, ACCOUNT #: LSR004987	FT MODERATE TARGET FUND - CLASS A BUY 1 Units @0.0000	0.00	8.16	0.00	8.16	0.5	0.04
01/29/2018	***-**-4701 - HAUSMAN, GE ACCOUNT #: 5290189470	FUTURE SCHOLAR TRAILS BUY 0 Units @0.0000	0.00	5.25	0.00	5.25	0.5	0.03
01/29/2018	***-**-285P - SWEATMAN, ACCOUNT #: 05290056869	FUTURE SCHOLAR TRAILS BUY 0 Units @0.0000	0.00	6.95	0.00	6.95	0.5	0.03
01/19/2018	***-**-302I - KELLY, TRICIA ACCOUNT #: LSR012213	GENERAL ELECTRIC CO UNSOLICITED ORD BUY 415 Units @16.3800	6,797.70	26.88	0.00	26.88	0.5	0.13
01/19/2018	***-**-302I - KELLY, TRICIA ACCOUNT #: LSR012213	GENERAL ELECTRIC CO UNSOLICITED ORD BUY 85 Units @16.3800	1,392.30	51.47	0.00	51.47	0.5	0.26
01/22/2018	***-**-121I - STEINBERG, ACCOUNT #: LSR012200	GENERAL ELECTRIC CO UNSOLICITED ORD SELL 151 Units @15.8500	2,393.35	52.17	0.00	52.17	0.5	0.26
01/22/2018	***-**-8359 - SOLIMAN, NERMINE ACCOUNT #: T02776351	GENWORTH 37250G301 BUY 0 Units @0.0000	120.00	1.20	0.00	1.20	0.5	0.01
01/23/2018	***-**-5676 - FARAGALLA, AMAL ACCOUNT #: T02737840	GENWORTH 37250G459 BUY 0 Units @0.0000	40.00	1.20	0.00	1.20	0.5	0.01
01/25/2018	***-**-6191 - WALSH, ACCOUNT #: T02744288	GENWORTH 37250G459 BUY 0 Units @0.0000	41.66	1.25	0.00	1.25	0.5	0.01
01/02/2018	***-**-80CL - MCCUNE, CLIENTS ACCOUNT #: 07500778635	GLOBAL FUND A BUY 0 Units @0.0000	50.00	2.38	0.00	2.38	0.5	0.01



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<u> OVERRIDE TRANSACTIONS (continued) </u>								
<u>BROKER: ALEX GEORGIEV (continued)</u>								
01/02/2018	***-**-80CL - MCCUNE, CLIENTS	GLOBAL OPPORTUNITIES A	50.00	2.00	0.00	2.00	0.5	0.01
	ACCOUNT #: 02150881958	BUY 0 Units @0.0000						
01/29/2018	***-**-468I - FERA, ANGELO	GLOBAL OPPORTUNITIES A	0.00	3.38	0.00	3.38	0.5	0.02
	ACCOUNT #: LSR009598	BUY 1 Units @0.0000						
01/29/2018	***-**-141I - FELICETTI, MARY	GLOBAL OPPORTUNITIES A	0.00	4.22	0.00	4.22	0.5	0.02
	ACCOUNT #: LSR009695	BUY 1 Units @0.0000						
01/29/2018	***-**-989I - MCCUNE, FRANK	GLOBAL OPPORTUNITIES A	0.00	3.77	0.00	3.77	0.5	0.02
	ACCOUNT #: LSR010237	BUY 1 Units @0.0000						
01/08/2018	***-**-62IN - FARMER, BRUCE	GOLD & SPECIAL MINERALS A	125.00	5.00	0.00	5.00	0.5	0.03
	ACCOUNT #: 04104165623	BUY 0 Units @0.0000						
01/29/2018	***-**-16IR - MITCHELL, JAMES	GOLDMAN SACHS ASSET ALLOC GRWTH STR	0.00	7.61	0.00	7.61	0.5	0.04
	ACCOUNT #: LSR005487	BUY 1 Units @0.0000						
01/29/2018	***-**-85IR - MITCHELL, JANICE	GOLDMAN SACHS ASSET ALLOC GRWTH STR	0.00	6.91	0.00	6.91	0.5	0.03
	ACCOUNT #: LSR005495	BUY 1 Units @0.0000						
01/16/2018	***-**-869I - GARDENHOUR,	GOVERNMENT INCOME A	0.00	2.49	0.00	2.49	0.5	0.01
	ACCOUNT #: 00777269306	BUY 0 Units @0.0000						
01/29/2018	***-**-335I - HARWOOD, RICHARD	GRIFFIN-AMERICAN HEALTHCARE REIT IV	0.00	63.01	0.00	63.01	0.5	0.32
	ACCOUNT #: 091149934	BUY 0 Units @0.0000						
01/29/2018	***-**-28IN - BARTZIS, REGINA	GRIFFIN-AMERICAN HEALTHCARE REIT IV	0.00	50.41	0.00	50.41	0.5	0.25
	ACCOUNT #: 00091150013	BUY 0 Units @0.0000						
01/29/2018	***-**-915I - HARWOOD, ARLENE	GRIFFIN-AMERICAN HEALTHCARE REIT IV	0.00	55.45	0.00	55.45	0.5	0.28
	ACCOUNT #: 00091150191	BUY 0 Units @0.0000						
01/29/2018	***-**-520I - TOVELLO, THOMAS	GRIFFIN-AMERICAN HEALTHCARE REIT IV	0.00	37.81	0.00	37.81	0.5	0.19
	ACCOUNT #: 00091150323	BUY 0 Units @0.0000						
01/29/2018	***-**-030I - KNIGHT, EILEEN	GRIFFIN-AMERICAN HEALTHCARE REIT IV	0.00	80.66	0.00	80.66	0.5	0.40
	ACCOUNT #: 00091150351	BUY 0 Units @0.0000						
01/29/2018	***-**-214I - BRENNAN, RICHARD	GRIFFIN-AMERICAN HEALTHCARE REIT IV	0.00	20.16	0.00	20.16	0.5	0.10
	ACCOUNT #: 00091150472	BUY 0 Units @0.0000						
01/29/2018	***-**-869I - MLYNARCZYK,	GRIFFIN-AMERICAN HEALTHCARE REIT IV	0.00	25.21	0.00	25.21	0.5	0.13
	ACCOUNT #: 00091150474	BUY 0 Units @0.0000						
01/29/2018	***-**-78IN - BOIN, ROBERT	GRIFFIN-AMERICAN HEALTHCARE REIT IV	0.00	37.81	0.00	37.81	0.5	0.19
	ACCOUNT #: 00091150485	BUY 0 Units @0.0000						



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<u> OVERRIDE TRANSACTIONS (continued) </u>								
<u>BROKER: ALEX GEORGIEV (continued)</u>								
01/29/2018	***-**-030I - KNIGHT, EILEEN ACCOUNT #: 00091150652	GRIFFIN-AMERICAN HEALTHCARE REIT IV BUY 0 Units @0.0000	0.00	30.25	0.00	30.25	0.5	0.15
01/29/2018	***-**-03IR - CHALKER, KAREN ACCOUNT #: 00091150992	GRIFFIN-AMERICAN HEALTHCARE REIT IV BUY 0 Units @0.0000	0.00	10.84	0.00	10.84	0.5	0.05
01/29/2018	***-**-359I - TOVELLO, PAMELA ACCOUNT #: 091151486	GRIFFIN-AMERICAN HEALTHCARE REIT IV BUY 0 Units @0.0000	0.00	36.16	0.00	36.16	0.5	0.18
01/29/2018	***-**-45IR - LAMPERT, ELLEN ACCOUNT #: 091151636	GRIFFIN-AMERICAN HEALTHCARE REIT IV BUY 0 Units @0.0000	0.00	22.74	0.00	22.74	0.5	0.11
01/21/2018	***-**-918I - RHODERICK, ACCOUNT #: I185795-0X	ING VA 380789883 BUY 0 Units @0.0000	0.00	3.29	0.00	3.29	0.5	0.02
01/02/2018	***-**-03IN - IADIANO, EDNA ACCOUNT #: 08152294380	INTERNATIONAL SMALL COMPANY A BUY 0 Units @0.0000	406.05	8.12	0.00	8.12	0.5	0.04
01/02/2018	***-**-03IN - IADIANO, EDNA ACCOUNT #: 08152294380	INTERNATIONAL SMALL COMPANY A BUY 0 Units @0.0000	163.07	3.26	0.00	3.26	0.5	0.02
01/10/2018	***-**-97IN - ANDERSON, THOMAS ACCOUNT #: 04038905578	INVESCO AMERICAN FRANCHISE FUND -CL BUY 2 Units @21.8200	50.00	2.50	0.00	2.50	0.5	0.01
01/29/2018	***-**-95IN - CHAMBERLAIN, ACCOUNT #: 133673	INVESTMENT ADVISORY (PARTICIPANTS) BUY 0 Units @0.0000	0.00	56.20	0.00	56.20	0.5	0.28
01/29/2018	***-**-95IN - CHAMBERLAIN, ACCOUNT #: 133673	INVESTMENT ADVISORY (PARTICIPANTS) BUY 0 Units @0.0000	0.00	65.46	0.00	65.46	0.5	0.33
01/16/2018	***-**-89IN - CALLAMARI, ACCOUNT #: 00002001660	INVESTMENT GRADE BOND A BUY 0 Units @0.0000	0.00	7.33	0.00	7.33	0.5	0.04
01/16/2018	***-**-45IR - HAHN, SHAUN ACCOUNT #: 03909298923	IVK AMERICAN VALUE FUND - CLASS A BUY 1 Units @41.0100	50.00	2.50	0.00	2.50	0.5	0.01
01/29/2018	***-**-1356 - RASOE, PETER ACCOUNT #: 06000001800	JOHN HANCOCK 529 TRAILS BUY 0 Units @0.0000	0.00	13.88	0.00	13.88	0.5	0.07
01/29/2018	***-**-105P - BROCKWELL, P. ACCOUNT #: 00052666393	JOHN HANCOCK 529 TRAILS BUY 0 Units @0.0000	0.00	1.99	0.00	1.99	0.5	0.01
01/29/2018	***-**-605P - FREIBERG, ALAN ACCOUNT #: 00522558746	JOHN HANCOCK 529 TRAILS BUY 0 Units @0.0000	0.00	4.90	0.00	4.90	0.5	0.02
01/16/2018	***-**-009I - ALBANO, ANITA ACCOUNT #: 00001956236	JOHN HANCOCK TECHNICAL OPPS CL A BUY 0 Units @0.0000	0.00	2.46	0.00	2.46	0.5	0.01



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<u> OVERRIDE TRANSACTIONS (continued) </u>								
<u> BROKER: ALEX GEORGIEV (continued) </u>								
01/16/2018	***-**-612I - BRUNNER, BARBARA	LARGE CAP EQUITY A	0.00	11.42	0.00	11.42	0.5	0.06
	ACCOUNT #: 00777214280	BUY 0 Units @0.0000						
01/29/2018	***-**-468I - FERA, ANGELO	LIMITED TERM GOVERNMENT A	0.00	1.80	0.00	1.80	0.5	0.01
	ACCOUNT #: LSR009598	BUY 1 Units @0.0000						
01/22/2018	***-**-0527 - LAVISADEH,	LINCOLN 008148728	60.00	1.20	0.00	1.20	0.5	0.01
	ACCOUNT #: F1519393	BUY 0 Units @0.0000						
01/22/2018	***-**-1850 - LEDERGERBER,	LINCOLN 008148728	400.00	8.00	0.00	8.00	0.5	0.04
	ACCOUNT #: F1522963	BUY 0 Units @0.0000						
01/22/2018	***-**-3787 - KURTZ, MICHAEL	LINCOLN 008148728	630.00	12.60	0.00	12.60	0.5	0.06
	ACCOUNT #: F1523994	BUY 0 Units @0.0000						
01/22/2018	***-**-5338 - HAEFLIGER,	LINCOLN 008148728	215.00	4.30	0.00	4.30	0.5	0.02
	ACCOUNT #: F1525199	BUY 0 Units @0.0000						
01/22/2018	***-**-6414 - FANOUS, REDA	LINCOLN 008148728	178.00	3.56	0.00	3.56	0.5	0.02
	ACCOUNT #: F1526468	BUY 0 Units @0.0000						
01/22/2018	***-**-6650 - LIRA, MIGUEL	LINCOLN 008148728	200.00	4.00	0.00	4.00	0.5	0.02
	ACCOUNT #: F1526823	BUY 0 Units @0.0000						
01/22/2018	***-**-4575 - POTROS, AZER	LINCOLN 008148728	59.00	1.18	0.00	1.18	0.5	0.01
	ACCOUNT #: F1527735	BUY 0 Units @0.0000						
01/22/2018	***-**-0480 - GOBRIAL, SUZAN	LINCOLN 008148728	60.00	1.20	0.00	1.20	0.5	0.01
	ACCOUNT #: F1527744	BUY 0 Units @0.0000						
01/24/2018	***-**-65CL - LIFEMARK,	LINCOLN 008148728	162.00	3.24	0.00	3.24	0.5	0.02
	ACCOUNT #: F1520154	BUY 0 Units @0.0000						
01/24/2018	***-**-65CL - LIFEMARK,	LINCOLN 008148728	216.00	4.32	0.00	4.32	0.5	0.02
	ACCOUNT #: F1520155	BUY 0 Units @0.0000						
01/24/2018	***-**-1290 - WEISS, KATHRYN	LINCOLN 008148728	58.60	1.17	0.00	1.17	0.5	0.01
	ACCOUNT #: F1521290	BUY 0 Units @0.0000						
01/21/2018	***-**-01IN - WEAVER, TAMIRA	LINCOLN 534222450	0.00	14.10	0.00	14.10	0.5	0.07
	ACCOUNT #: 4822618	BUY 0 Units @0.0000						
01/21/2018	***-**-01IN - WEAVER, TAMIRA	LINCOLN 534222450	0.00	47.00	0.00	47.00	0.5	0.24
	ACCOUNT #: 4822618	BUY 0 Units @0.0000						
01/02/2018	***-**-03IN - IADIANO, EDNA	MAIN STREET FUND A	4,060.50	81.21	0.00	81.21	0.5	0.41
	ACCOUNT #: 07005288902	BUY 0 Units @0.0000						



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<u> OVERRIDE TRANSACTIONS (continued) </u>								
<u>BROKER: ALEX GEORGIEV (continued)</u>								
01/02/2018	***-**-03IN - IADIANO, EDNA	MAIN STREET FUND A	1,630.73	32.61	0.00	32.61	0.5	0.16
	ACCOUNT #: 07005288902	BUY 0 Units @0.0000						
01/08/2018	***-**-56IN - SHIELDS-FUSILLI,	MAIN STREET FUND A	400.00	16.00	0.00	16.00	0.5	0.08
	ACCOUNT #: 07000388435	BUY 0 Units @0.0000						
01/29/2018	***-**-4726 - SOIFER, SEP	MAIN STREET FUND A	0.00	2.81	0.00	2.81	0.5	0.01
	ACCOUNT #: LSR105236	BUY 1 Units @0.0000						
01/29/2018	***-**-935I - MUNSON, WENDY	MAINSTAY TRAILS	0.00	1.05	0.00	1.05	0.5	0.01
	ACCOUNT #: 00010057226	BUY 0 Units @0.0000						
01/29/2018	***-**-1039 - MCGRATH, JUDITH	MAINSTAY TRAILS	0.00	3.59	0.00	3.59	0.5	0.02
	ACCOUNT #: 00011040602	BUY 0 Units @0.0000						
01/29/2018	***-**-935I - MUNSON, WENDY	MAINSTAY TRAILS	0.00	1.19	0.00	1.19	0.5	0.01
	ACCOUNT #: 00010057226	BUY 0 Units @0.0000						
01/29/2018	***-**-90IN - ROMAN-NELSON,	MAINSTAY TRAILS	0.00	13.73	0.00	13.73	0.5	0.07
	ACCOUNT #: 00054910400	BUY 0 Units @0.0000						
01/22/2018	***-**-650I - CHMIELEWSKI,	MASS MUTUAL CUSIP 57629P105-NFS	150.00	8.25	0.00	8.25	0.5	0.04
	ACCOUNT #: ARN5466944EE	BUY 0 Units @0.0000						
01/22/2018	***-**-451I - MCLAUGHLIN,	MASS MUTUAL CUSIP 57629P105-NFS	500.00	27.50	0.00	27.50	0.5	0.14
	ACCOUNT #: ARN5466953EE	BUY 0 Units @0.0000						
01/16/2018	***-**-1789 - TUNZI, UMBERTO	MASSACHUSETTS INVESTORS TRUST-A	200.00	10.00	0.00	10.00	0.5	0.05
	ACCOUNT #: 08184428526	BUY 6 Units @35.5400						
01/29/2018	***-**-60TR - BLANCHARD TRUST,	MS INST GLO OPP FD A NFS	0.00	10.00	0.00	10.00	0.5	0.05
	ACCOUNT #: LSR010327	BUY 1 Units @0.0000						
01/29/2018	***-**-017J - TAZUMA, MIYOKO	MUTUAL SERIES SHARES CLASS A	0.00	2.69	0.00	2.69	0.5	0.01
	ACCOUNT #: LSR009466	BUY 1 Units @0.0000						
01/29/2018	***-**-4310 - YU, SU FAN	NATIONWIDE BOA LIFE PLAN SERIES	156.00	1.56	0.00	1.56	0.5	0.01
	ACCOUNT #: N100504310	BUY 1 Units @156.0000						
01/29/2018	***-**-4320 - YU, BO WEN	NATIONWIDE BOA LIFE PLAN SERIES	238.00	2.38	0.00	2.38	0.5	0.01
	ACCOUNT #: N100504320	BUY 1 Units @238.0000						
01/22/2018	***-**-72IN - EMMERT, EVA	NATIONWIDE CUSIP 638660589-NFS	120.00	6.30	0.00	6.30	0.5	0.03
	ACCOUNT #: 015278558	BUY 0 Units @0.0000						
01/29/2018	***-**-1426 - RICKENBAKER,	NATIONWIDE NEXT GENERATION II	75.00	1.50	0.00	1.50	0.5	0.01
	ACCOUNT #: N100506630	BUY 1 Units @75.0000						



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<u> BROKER: ALEX GEORGIEV (continued) </u>								
01/29/2018	***-**-2750 - TAVERAS, JOSE	NATIONWIDE NEXT GENERATION II	185.00	3.70	0.00	3.70	0.5	0.02
	ACCOUNT #: N101302760	BUY 1 Units @185.0000						
01/29/2018	***-**-1305 - TAVERAS, MARIA	NATIONWIDE NEXT GENERATION II	75.00	1.50	0.00	1.50	0.5	0.01
	ACCOUNT #: N101302770	BUY 1 Units @75.0000						
01/26/2018	***-**-505P - DULLEN, PAUL	OPP AGES 12-14 YEARS A	25.00	1.00	0.00	1.00	0.5	0.01
	ACCOUNT #: 02000022039	BUY 0 Units @0.0000						
01/26/2018	***-**-925P - DANTUONO, LINDA	OPP AGES 12-14 YEARS A	50.00	2.00	0.00	2.00	0.5	0.01
	ACCOUNT #: 02000095991	BUY 0 Units @0.0000						
01/26/2018	***-**-925P - DANTUONO, LINDA	OPP AGES 12-14 YEARS A	50.00	2.00	0.00	2.00	0.5	0.01
	ACCOUNT #: 2000344921	BUY 0 Units @0.0000						
01/26/2018	***-**-375P - JOHNSON, MARK	OPP AGES 12-14 YEARS A	100.00	4.00	0.00	4.00	0.5	0.02
	ACCOUNT #: 02000103700	BUY 0 Units @0.0000						
01/02/2018	***-**-03IN - IADIANO, EDNA	OPPENHEIMER GLBL REAL ESTATE FND A	406.05	8.12	0.00	8.12	0.5	0.04
	ACCOUNT #: 00100037995	BUY 0 Units @0.0000						
01/02/2018	***-**-03IN - IADIANO, EDNA	OPPENHEIMER GLBL REAL ESTATE FND A	163.07	3.26	0.00	3.26	0.5	0.02
	ACCOUNT #: 00100037995	BUY 0 Units @0.0000						
01/02/2018	***-**-03IN - IADIANO, EDNA	OPPENHEIMER INTERNATIONAL DIVERSIFI	406.05	8.12	0.00	8.12	0.5	0.04
	ACCOUNT #: 01953231833	BUY 0 Units @0.0000						
01/02/2018	***-**-03IN - IADIANO, EDNA	OPPENHEIMER INTERNATIONAL DIVERSIFI	163.07	3.26	0.00	3.26	0.5	0.02
	ACCOUNT #: 01953231833	BUY 0 Units @0.0000						
01/02/2018	***-**-03IN - IADIANO, EDNA	OPPENHEIMER MAIN ST SMALL CAP FND A	812.10	16.24	0.00	16.24	0.5	0.08
	ACCOUNT #: 00100087231	BUY 0 Units @0.0000						
01/02/2018	***-**-03IN - IADIANO, EDNA	OPPENHEIMER MAIN ST SMALL CAP FND A	326.15	6.52	0.00	6.52	0.5	0.03
	ACCOUNT #: 00100087231	BUY 0 Units @0.0000						
01/02/2018	***-**-03IN - IADIANO, EDNA	OPPENHEIMER MAIN STREET SMALL CAP F	812.10	16.24	0.00	16.24	0.5	0.08
	ACCOUNT #: 08477490593	BUY 0 Units @0.0000						
01/02/2018	***-**-03IN - IADIANO, EDNA	OPPENHEIMER MAIN STREET SMALL CAP F	326.15	6.52	0.00	6.52	0.5	0.03
	ACCOUNT #: 08477490593	BUY 0 Units @0.0000						
01/29/2018	***-**-371I - MASELLI, PIER	OPPENHEIMER STRATEGIC INCOME FD CL	0.00	3.10	0.00	3.10	0.5	0.02
	ACCOUNT #: LSR009172	BUY 1 Units @0.0000						
01/29/2018	***-**-468I - FERA, ANGELO	OPPENHEIMER STRATEGIC INCOME FD CL	0.00	3.23	0.00	3.23	0.5	0.02
	ACCOUNT #: LSR009598	BUY 1 Units @0.0000						



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<u> OVERRIDE TRANSACTIONS (continued) </u>								
<u> BROKER: ALEX GEORGIEV (continued) </u>								
01/29/2018	***-**-989I - MCCUNE, FRANK ACCOUNT #: LSR010237	OPPENHEIMER STRATEGIC INCOME FD CL BUY 1 Units @0.0000	0.00	1.24	0.00	1.24	0.5	0.01
01/02/2018	***-**-03IN - IADIANO, EDNA ACCOUNT #: 00100886392	OPPENHEIMERSTEELPATH MLP ALPHA A BUY 0 Units @0.0000	406.05	8.12	0.00	8.12	0.5	0.04
01/02/2018	***-**-03IN - IADIANO, EDNA ACCOUNT #: 00100886392	OPPENHEIMERSTEELPATH MLP ALPHA A BUY 0 Units @0.0000	163.07	3.26	0.00	3.26	0.5	0.02
01/26/2018	***-**-049I - MIKKELSEN, ACCOUNT #: VR06032561	PACIFIC LIFE CUSIP 694474628-ANNUCO BUY 0 Units @0.0000	0.00	80.32	0.00	80.32	0.5	0.40
01/25/2018	***-**-74IR - ALESSANDRO, ACCOUNT #: VR01016298	PACIFIC LIFE VALUE BUY 0 Units @0.0000	150.00	8.25	0.00	8.25	0.5	0.04
01/03/2018	***-**-506I - O'REILLY, ANNE ACCOUNT #: 00001520675	PIM 018918334 BUY 0 Units @0.0000	0.00	2.48	0.00	2.48	0.5	0.01
01/03/2018	***-**-506I - O'REILLY, ANNE ACCOUNT #: 00001520675	PIM 018918334 BUY 0 Units @0.0000	0.00	6.81	0.00	6.81	0.5	0.03
01/03/2018	***-**-47IN - BETANCOURT, ACCOUNT #: 00000519603	PIM 018919704 BUY 0 Units @0.0000	0.00	15.81	0.00	15.81	0.5	0.08
01/29/2018	***-**-371I - MASELLI, PIER ACCOUNT #: LSR009172	PIMCO INV GRADE CORP BUY 1 Units @0.0000	0.00	4.79	0.00	4.79	0.5	0.02
01/02/2018	***-**-32IR - SCHALLENBERGER, ACCOUNT #: 05550735108	PORT SERIES: EQUITY INV FD A BUY 0 Units @0.0000	100.00	4.75	0.00	4.75	0.5	0.02
01/24/2018	***-**-29IN - YABLONSKI, DUANE ACCOUNT #: 5091714	PRINCIPAL 74254L291 BUY 0 Units @0.0000	0.00	6.02	0.00	6.02	0.5	0.03
01/29/2017	***-**-00IR - BARTON, MARVELLA ACCOUNT #: 00014203079	PRINCIPAL FUNDS TRAILS BUY 0 Units @0.0000	0.00	1.67	0.00	1.67	0.5	0.01
01/29/2017	***-**-2517 - PARKER, DAVID M ACCOUNT #: 31028076	PRINCIPAL FUNDS TRAILS BUY 0 Units @0.0000	0.00	1.17	0.00	1.17	0.5	0.01
01/29/2017	***-**-987I - PARKHOUSE, ACCOUNT #: 31020172	PRINCIPAL FUNDS TRAILS BUY 0 Units @0.0000	0.00	3.77	0.00	3.77	0.5	0.02
01/29/2017	***-**-6780 - PANGASINAN ASSN ACCOUNT #: 01002018651	PRINCIPAL FUNDS TRAILS BUY 0 Units @0.0000	0.00	9.36	0.00	9.36	0.5	0.05
01/17/2018	***-**-75IR - MCCLURE, MICHAEL ACCOUNT #: 00494928028	PUTNAM GROWTH OPPORTUNITIES FD CL A BUY 2 Units @35.3500	75.00	3.75	0.00	3.75	0.5	0.02



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<u> OVERRIDE TRANSACTIONS (continued) </u>								
<u>BROKER: ALEX GEORGIEV (continued)</u>								
01/16/2018	***-**-74IN - MAROLT, PATRICK	PUTNAM NEW OPPORTUNITIES FUND CLASS	25.00	1.25	0.00	1.25	0.5	0.01
	ACCOUNT #: 00088342598	BUY 0 Units @99.7100						
01/29/2018	***-**-5771 - GOLDBERG, BEN	PUTNAM NEW OPPORTUNITIES FUND CLASS	0.00	1.55	0.00	1.55	0.5	0.01
	ACCOUNT #: LSR108510	BUY 1 Units @0.0000						
01/29/2018	***-**-8658 - SOLOFF, MIRIAM	PUTNAM RESEARCH FUND-A	0.00	2.37	0.00	2.37	0.5	0.01
	ACCOUNT #: LSR105201	BUY 1 Units @0.0000						
01/17/2018	***-**-75IR - MCCLURE, MICHAEL	PUTNAM SMALL CAP GROWTH FUND CLASS	75.00	3.75	0.00	3.75	0.5	0.02
	ACCOUNT #: 00494928028	BUY 2 Units @41.2200						
01/26/2018	***-**-065P - CARNEVALE,	RIA INVSC COLLGBUND TODAY PORT RZ	200.00	8.00	0.00	8.00	0.5	0.04
		BUY 0 Units @0.0000						
01/02/2018	***-**-71IN - MASELLI, PIER	ROCH. LIMITED TERM NEW YORK MUNICI	100.00	1.50	0.00	1.50	0.5	0.01
	ACCOUNT #: 03551245112	BUY 0 Units @0.0000						
01/16/2018	***-**-805I - ALBANO, CARL	STRATEGIC INCOME A	0.00	5.46	0.00	5.46	0.5	0.03
	ACCOUNT #: 00002034825	BUY 0 Units @0.0000						
01/16/2018	***-**-86IN - DESJARDINS,	STRATEGIC INCOME A	0.00	7.72	0.00	7.72	0.5	0.04
	ACCOUNT #: 00002098689	BUY 0 Units @0.0000						
01/29/2018	***-**-57IR - JONES, CAROLYN	SUNAMERICA FOCUSED ALPHA GROWTH CL	30.00	1.50	0.00	1.50	0.5	0.01
	ACCOUNT #: 00009176166	BUY 0 Units @0.0000						
01/29/2018	***-**-371I - MASELLI, PIER	TEMPLETON CHINA WORLD FUND - CLASS	0.00	3.00	0.00	3.00	0.5	0.02
	ACCOUNT #: LSR009172	BUY 1 Units @0.0000						
01/29/2018	***-**-521O - MCCUNE, ELAINE	TEMPLETON CHINA WORLD FUND - CLASS	0.00	2.66	0.00	2.66	0.5	0.01
	ACCOUNT #: LSR009962	BUY 1 Units @0.0000						
01/29/2018	***-**-316I - MCCUNE, MICHAEL	TEMPLETON CHINA WORLD FUND - CLASS	0.00	2.40	0.00	2.40	0.5	0.01
	ACCOUNT #: LSR009995	BUY 1 Units @0.0000						
01/16/2018	***-**-545P - RESH, ANN	US GLOBAL LEADERS GROWTH A	0.00	1.10	0.00	1.10	0.5	0.01
	ACCOUNT #: 00777218188	BUY 0 Units @0.0000						
01/29/2018	***-**-371I - MASELLI, PIER	VICTORY INTEGRITY MICRO CAP EQUITY	0.00	6.76	0.00	6.76	0.5	0.03
	ACCOUNT #: LSR009172	BUY 1 Units @0.0000						
01/29/2018	***-**-468I - FERA, ANGELO	VICTORY INTEGRITY MICRO CAP EQUITY	0.00	2.87	0.00	2.87	0.5	0.01
	ACCOUNT #: LSR009598	BUY 1 Units @0.0000						
01/29/2018	***-**-141I - FELICETTI, MARY	VICTORY INTEGRITY MICRO CAP EQUITY	0.00	3.70	0.00	3.70	0.5	0.02
	ACCOUNT #: LSR009695	BUY 1 Units @0.0000						



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<u> OVERRIDE TRANSACTIONS (continued) </u>								
<u>BROKER: ALEX GEORGIEV (continued)</u>								
01/29/2018	***-**-5210 - MCCUNE, ELAINE ACCOUNT #: LSR009962	VICTORY INTEGRITY MICRO CAP EQUITY BUY 1 Units @0.0000	0.00	2.29	0.00	2.29	0.5	0.01
01/29/2018	***-**-7139 - MAYER AND, JERRY	VICTORY TRAILS BUY 0 Units @0.0000	0.00	13.15	0.00	13.15	0.5	0.07
01/29/2018	***-**-4952 - KRET, JEFFRY	VICTORY TRAILS BUY 0 Units @0.0000	0.00	2.24	0.00	2.24	0.5	0.01
01/29/2018	***-**-5313 - O'NEIL, VIDA	VICTORY TRAILS BUY 0 Units @0.0000	0.00	4.67	0.00	4.67	0.5	0.02
01/29/2018	***-**-86UT - MELEGIRITO,	VICTORY TRAILS BUY 0 Units @0.0000	0.00	3.98	0.00	3.98	0.5	0.02
01/29/2018	***-**-638J - BACKHAUS, LINDA	VICTORY TRAILS BUY 0 Units @0.0000	0.00	7.86	0.00	7.86	0.5	0.04
01/29/2018	***-**-1977 - MOCK, H. DAVID	VICTORY TRAILS BUY 0 Units @0.0000	0.00	14.26	0.00	14.26	0.5	0.07
01/29/2018	***-**-19IN - BURKE, MICHAEL	VICTORY TRAILS BUY 0 Units @0.0000	0.00	1.23	0.00	1.23	0.5	0.01
01/29/2018	***-**-2480 - OPEL, JEFFREY	VICTORY TRAILS BUY 0 Units @0.0000	0.00	10.56	0.00	10.56	0.5	0.05
01/29/2018	***-**-89IN - FRYE, NEVERTA	VICTORY TRAILS BUY 0 Units @0.0000	0.00	30.64	0.00	30.64	0.5	0.15
01/29/2018	***-**-3267 - WOOD, MARGARET ACCOUNT #: 87501463	VICTORY TRAILS BUY 0 Units @0.0000	0.00	19.03	0.00	19.03	0.5	0.10
01/29/2018	***-**-0048 - HARRISON, SARAH ACCOUNT #: LSR101702	VOYA GLOBAL REAL ESTATE CLASS A BUY 1 Units @0.0000	0.00	2.27	0.00	2.27	0.5	0.01
01/04/2018	***-**-22IR - JACOB, MATHAI ACCOUNT #: 01007953779	WELLS FARGO SPECIAL SMALL CAP VALUE BUY 0 Units @0.0000	0.00	1.06	0.00	1.06	0.5	0.01
01/04/2018	***-**-9772 - BUSKARD, MAUREEN ACCOUNT #: 01007294027	WELLS FGO AVTG DIVERSFD CAPITAL BLD BUY 0 Units @0.0000	0.00	8.70	0.00	8.70	0.5	0.04
* ALEX GEORGIEV SUBTOTAL *			\$59,047.78	\$2,189.52	\$0.00	\$2,189.52		\$11.05



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<u> OVERRIDE TRANSACTIONS (continued) </u>								
<u>BROKER: MICHAEL GAROFALO</u>								
01/29/2018	***-**-036I - CROWL, LINDA ACCOUNT #: LSR010466	BLACKROCK BALANCED CAP FD CL C BUY 1 Units @0.0000	0.00	46.99	0.00	46.99	0.5	0.23
01/29/2018	***-**-992I - SMITH, FBO MR ACCOUNT #: LSR010578	BLACKROCK BALANCED CAP FD CL C BUY 1 Units @0.0000	0.00	30.66	0.00	30.66	0.5	0.15
01/29/2018	***-**-036I - CROWL, LINDA ACCOUNT #: LSR010466	BLACKROCK US MORTGAGE PORT CL C BUY 1 Units @0.0000	0.00	17.77	0.00	17.77	0.5	0.09
01/29/2018	***-**-992I - SMITH, FBO MR ACCOUNT #: LSR010578	BLACKROCK US MORTGAGE PORT CL C BUY 1 Units @0.0000	0.00	9.58	0.00	9.58	0.5	0.05
01/29/2018	***-**-566I - DURKIN, FBO MRS ACCOUNT #: LSR010544	CAPITAL APPRECIATION A BUY 1 Units @0.0000	0.00	5.86	0.00	5.86	0.5	0.03
01/29/2018	***-**-228I - BUCHANAN, ACCOUNT #: LSR010538	FEDERATED STRATEGIC VALUE DIVIDEND BUY 1 Units @0.0000	0.00	6.85	0.00	6.85	0.5	0.03
01/29/2018	***-**-4000 - ROMIG, MARK ACCOUNT #: LSR011567	FEDERATED STRATEGIC VALUE DIVIDEND BUY 1 Units @0.0000	0.00	9.89	0.00	9.89	0.5	0.05
01/29/2018	***-**-228I - BUCHANAN, ACCOUNT #: LSR010538	FEDERATED STRATEGIC VALUE DIVIDEND BUY 1 Units @0.0000	0.00	2.28	0.00	2.28	0.5	0.01
01/29/2018	***-**-4000 - ROMIG, MARK ACCOUNT #: LSR011567	FEDERATED STRATEGIC VALUE DIVIDEND BUY 1 Units @0.0000	0.00	3.30	0.00	3.30	0.5	0.02
01/29/2018	***-**-036I - CROWL, LINDA ACCOUNT #: LSR010466	FIDELITY GOVT MMKT DAILY MONEY CLAS BUY 1 Units @0.0000	0.00	1.55	0.00	1.55	0.5	0.01
01/29/2018	***-**-276I - GASSWINT, SUSAN ACCOUNT #: LSR010633	FRANKLIN INCOME FUND CLASS C BUY 1 Units @0.0000	0.00	30.80	0.00	30.80	0.5	0.15
01/29/2018	***-**-566I - DURKIN, FBO MRS ACCOUNT #: LSR010544	GLOBAL FUND A BUY 1 Units @0.0000	0.00	9.75	0.00	9.75	0.5	0.05
01/24/2018	***-**-162I - ANDERSON, THOMAS ACCOUNT #: LSR012358	HARTFORD BALANCED INCOME FD CL C BUY 2703 Units @14.6500	39,600.00	386.00	0.00	386.00	0.5	1.93
01/29/2018	***-**-566I - DURKIN, FBO MRS ACCOUNT #: LSR010544	MAIN STREET FUND A BUY 1 Units @0.0000	0.00	11.72	0.00	11.72	0.5	0.06
01/24/2018	***-**-162I - ANDERSON, THOMAS ACCOUNT #: LSR012358	MFS GROWTH PORT CLASS C BUY 336 Units @78.5300	26,399.98	254.00	0.00	254.00	0.5	1.27
01/24/2018	***-**-162I - ANDERSON, THOMAS ACCOUNT #: LSR012358	MFS GLOBAL TOTAL RETURN FUND-C BUY 1741 Units @18.9500	33,000.00	320.00	0.00	320.00	0.5	1.60



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<u> OVERRIDE TRANSACTIONS (continued) </u>								
<u> BROKER: MICHAEL GAROFALO (continued) </u>								
01/22/2018	***-**-184I - BEAVERSON, ROYCE	PERSPECTIVE II DTCC	90,288.11	1,805.76	0.00	1,805.76	0.5	9.03
	ACCOUNT #: 1020948236	BUY 0 Units @0.0000						
01/24/2018	***-**-162I - ANDERSON, THOMAS	PIMCO DIVERSIFIED INCOME FND CL A-N	33,000.00	1,062.50	0.00	1,062.50	0.5	5.31
	ACCOUNT #: LSR012358	BUY 2910 Units @11.3400						
01/29/2018	***-**-036I - CROWL, LINDA	PIMCO INCOME FUND CL C	0.00	44.56	0.00	44.56	0.5	0.22
	ACCOUNT #: LSR010466	BUY 1 Units @0.0000						
01/29/2018	***-**-831I - REED, JACK	PIMCO INCOME FUND CL C	0.00	9.42	0.00	9.42	0.5	0.05
	ACCOUNT #: LSR010577	BUY 1 Units @0.0000						
01/29/2018	***-**-036I - CROWL, LINDA	PIMCO INCOME FUND CL C	0.00	17.14	0.00	17.14	0.5	0.09
	ACCOUNT #: LSR010466	BUY 1 Units @0.0000						
01/29/2018	***-**-831I - REED, JACK	PIMCO INCOME FUND CL C	0.00	3.62	0.00	3.62	0.5	0.02
	ACCOUNT #: LSR010577	BUY 1 Units @0.0000						
01/29/2018	***-**-992I - SMITH, FBO MR	PUTNAM EQUITY INCOME FUND-C	0.00	25.66	0.00	25.66	0.5	0.13
	ACCOUNT #: LSR010578	BUY 1 Units @0.0000						
01/29/2018	***-**-566I - DURKIN, FBO MRS	QUEST OPPORTUNITY VALUE A	0.00	6.95	0.00	6.95	0.5	0.03
	ACCOUNT #: LSR010544	BUY 1 Units @0.0000						
01/29/2018	***-**-22IR - SHOCKEY, DEBORAH	SAMMONS MF TRAILS	0.00	5.20	0.00	5.20	0.5	0.03
	ACCOUNT #: 7200019359	BUY 0 Units @0.0000						
01/29/2018	***-**-53IR - SHOCKEY, JEFFREY	SAMMONS MF TRAILS	0.00	5.82	0.00	5.82	0.5	0.03
	ACCOUNT #: 7200019367	BUY 0 Units @0.0000						
 * MICHAEL GAROFALO SUBTOTAL * 			\$222,288.09	\$4,133.63	\$0.00	\$4,133.63		\$20.67
<u> BROKER: ARCHIBALD MCMICHAEL </u>								
01/29/2018	***-**-326I - SPASIC, KELLY	FRANKLIN INCOME FUND CLASS A	0.00	9.22	0.00	9.22	0.5	0.05
	ACCOUNT #: LSR008940	BUY 1 Units @0.0000						
01/29/2018	***-**-59IN - FACHET,	FRANKLIN INCOME FUND CLASS A	0.00	7.21	0.00	7.21	0.5	0.04
	ACCOUNT #: LSR009202	BUY 1 Units @0.0000						
01/29/2018	***-**-74IN - MINA, JUDY	FRANKLIN INCOME FUND CLASS A	0.00	3.43	0.00	3.43	0.5	0.02
	ACCOUNT #: LSR010088	BUY 1 Units @0.0000						
01/29/2018	***-**-62IN - ZIMMERMAN,	FRANKLIN INCOME FUND CLASS A	0.00	9.19	0.00	9.19	0.5	0.05
	ACCOUNT #: LSR010153	BUY 1 Units @0.0000						
01/29/2018	***-**-26IN - SPASIC, KELLY	FRK AGGRESSIVE GRWTH - CL A	0.00	6.33	0.00	6.33	0.5	0.03
	ACCOUNT #: LSR010097	BUY 1 Units @0.0000						



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<u>VERRIDE TRANSACTIONS (continued)</u>								
<u>BROKER: ARCHIBALD MCMICHAEL (continued)</u>								
01/29/2018	***-**-52IN - GOODHART, ACCOUNT #: LSR010182	GOLDMAN SACHS DYNAMIC ALLOCATION A BUY 1 Units @0.0000	0.00	3.58	0.00	3.58	0.5	0.02
01/25/2018	***-**-35IN - SPASIC, ALEX ACCOUNT #: 1019791900	JACKSON ELITE ACCESS BUY 0 Units @0.0000	590.00	30.98	0.00	30.98	0.5	0.15
01/29/2018	***-**-978J - OVRUTSKY, VICTOR ACCOUNT #: LSR008869	OPPENHEIMERSTEELPATH MLP SELECT 40 BUY 1 Units @0.0000	0.00	5.20	0.00	5.20	0.5	0.03
01/29/2018	***-**-62IN - ZIMMERMAN, ACCOUNT #: LSR010153	PIMCO STOCKSPLUS CLASS A-NFS BUY 1 Units @0.0000	0.00	10.21	0.00	10.21	0.5	0.05
* ARCHIBALD MCMICHAEL SUBTOTAL *			\$590.00	\$85.35	\$0.00	\$85.35		\$0.44
<u>BROKER: DRAKE AGUILLARD</u>								
01/29/2018	***-**-50IN - AGUILLARD, ACCOUNT #: LSR010185	FIDELITY GOVT MMKT DAILY MONEY CLAS BUY 1 Units @0.0000	0.00	2.02	0.00	2.02	0.5	0.01
01/29/2018	***-**-800I - ORTEGO, RONALD ACCOUNT #: LSR010431	FIDELITY GOVT MMKT DAILY MONEY CLAS BUY 1 Units @0.0000	0.00	2.41	0.00	2.41	0.5	0.01
01/29/2018	***-**-868I - CRAWFORD, KEVIN ACCOUNT #: LSR012289	FRANKLIN BALANCE SHEET FUND CLASS A BUY 1 Units @0.0000	0.00	6.03	0.00	6.03	0.5	0.03
01/29/2018	***-**-868I - CRAWFORD, KEVIN ACCOUNT #: LSR012289	FRANKLIN BIOTECHNOLOGY DISCOVERY FU BUY 1 Units @0.0000	0.00	5.89	0.00	5.89	0.5	0.03
01/29/2018	***-**-868I - CRAWFORD, KEVIN ACCOUNT #: LSR012289	FRANKLIN CONV SEC FUND - CLASS A BUY 1 Units @0.0000	0.00	5.92	0.00	5.92	0.5	0.03
01/29/2018	***-**-800I - ORTEGO, RONALD ACCOUNT #: LSR010431	FRANKLIN CONVERTIBLE SECURITIES CLA BUY 1 Units @0.0000	0.00	46.26	0.00	46.26	0.5	0.23
01/29/2018	***-**-868I - CRAWFORD, KEVIN ACCOUNT #: LSR012289	FRANKLIN DYNATECH FUND CLASS A BUY 1 Units @0.0000	0.00	7.68	0.00	7.68	0.5	0.04
01/29/2018	***-**-68IR - CRAWFORD, KEVIN ACCOUNT #: LSR012287	FRANKLIN GROWTH FUND CLASS A BUY 1 Units @0.0000	0.00	2.00	0.00	2.00	0.5	0.01
01/29/2018	***-**-868I - CRAWFORD, KEVIN ACCOUNT #: LSR012289	FRANKLIN GROWTH FUND CLASS A BUY 1 Units @0.0000	0.00	7.45	0.00	7.45	0.5	0.04
01/29/2018	***-**-68IN - CRAWFORD, KEVIN ACCOUNT #: LSR012288	FRANKLIN INCOME FUND CLASS A BUY 1 Units @0.0000	0.00	1.28	0.00	1.28	0.5	0.01
01/29/2018	***-**-800I - ORTEGO, RONALD ACCOUNT #: LSR010431	FRANKLIN INCOME FUND CLASS C BUY 1 Units @0.0000	0.00	21.22	0.00	21.22	0.5	0.11



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<u> OVERRIDE TRANSACTIONS (continued) </u>								
<u> BROKER: DRAKE AGUILLARD (continued) </u>								
01/29/2018	***-**-516I - BERTHELOT, ACCOUNT #: LSR011181	FRANKLIN INCOME FUND CLASS C BUY 1 Units @0.0000	0.00	1.69	0.00	1.69	0.5	0.01
01/29/2018	***-**-31IN - BERTHELOT, STARR ACCOUNT #: LSR011183	FRANKLIN INCOME FUND CLASS C BUY 1 Units @0.0000	0.00	1.91	0.00	1.91	0.5	0.01
01/29/2018	***-**-868I - CRAWFORD, KEVIN ACCOUNT #: LSR012289	FRANKLIN REAL RETURN FUND - CL A BUY 1 Units @0.0000	0.00	5.80	0.00	5.80	0.5	0.03
01/29/2018	***-**-68IR - CRAWFORD, KEVIN ACCOUNT #: LSR012287	FRANKLIN RISING DIVIDENDS FD CLASS BUY 1 Units @0.0000	0.00	1.92	0.00	1.92	0.5	0.01
01/29/2018	***-**-68IR - CRAWFORD, KEVIN ACCOUNT #: LSR012287	FRANKLIN SMALL-MID CAP GROWTH FUND BUY 1 Units @0.0000	0.00	1.90	0.00	1.90	0.5	0.01
01/29/2018	***-**-800I - ORTEGO, RONALD ACCOUNT #: LSR010431	FRANKLIN SMALL-MID CAP GROWTH FUND BUY 1 Units @0.0000	0.00	39.45	0.00	39.45	0.5	0.20
01/29/2018	***-**-800I - ORTEGO, RONALD ACCOUNT #: LSR010431	FRANKLIN STRATEGIC INCOME C BUY 1 Units @0.0000	0.00	22.20	0.00	22.20	0.5	0.11
01/29/2018	***-**-516I - BERTHELOT, ACCOUNT #: LSR011181	FRANKLIN TOTAL RETURN FUND - CLASS BUY 1 Units @0.0000	0.00	1.46	0.00	1.46	0.5	0.01
01/29/2018	***-**-800I - ORTEGO, RONALD ACCOUNT #: LSR010431	FRANKLIN U.S.GOV'T FD CLASS C BUY 1 Units @0.0000	0.00	15.70	0.00	15.70	0.5	0.08
01/29/2018	***-**-31IN - BERTHELOT, STARR ACCOUNT #: LSR011183	FRANKLIN U.S.GOV'T FD CLASS C BUY 1 Units @0.0000	0.00	2.02	0.00	2.02	0.5	0.01
01/29/2018	***-**-800I - ORTEGO, RONALD ACCOUNT #: LSR010431	FRANKLIN UTILITIES FUND - CLASS C BUY 1 Units @0.0000	0.00	23.94	0.00	23.94	0.5	0.12
01/29/2018	***-**-516I - BERTHELOT, ACCOUNT #: LSR011181	FRK ADJ US GOV'T SEC FUND - CLS C BUY 1 Units @0.0000	0.00	1.91	0.00	1.91	0.5	0.01
01/29/2018	***-**-800I - ORTEGO, RONALD ACCOUNT #: LSR010431	FRK AGE HIGH INC FND - CL C BUY 1 Units @0.0000	0.00	21.42	0.00	21.42	0.5	0.11
01/29/2018	***-**-868I - CRAWFORD, KEVIN ACCOUNT #: LSR012289	FRK EQUITY INC FND - CL A BUY 1 Units @0.0000	0.00	9.02	0.00	9.02	0.5	0.05
01/29/2018	***-**-868I - CRAWFORD, KEVIN ACCOUNT #: LSR012289	FRK GOLD FUND - CLASS A BUY 1 Units @0.0000	0.00	3.39	0.00	3.39	0.5	0.02
01/29/2018	***-**-800I - ORTEGO, RONALD ACCOUNT #: LSR010431	FRK GRWTH FND - CL C BUY 1 Units @0.0000	0.00	10.45	0.00	10.45	0.5	0.05



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<u> OVERRIDE TRANSACTIONS (continued) </u>								
<u>BROKER: DRAKE AGUILLARD (continued)</u>								
01/29/2018	***-**-68IR - CRAWFORD, KEVIN	FRK NATURAL RES FND - CL A	0.00	1.01	0.00	1.01	0.5	0.01
	ACCOUNT #: LSR012287	BUY 1 Units @0.0000						
01/29/2018	***-**-68IR - CRAWFORD, KEVIN	FRK REAL EST SEC FND - CL A	0.00	1.39	0.00	1.39	0.5	0.01
	ACCOUNT #: LSR012287	BUY 1 Units @0.0000						
01/29/2018	***-**-800I - ORTEGO, RONALD	FRK REAL ESTATE SEC CL C	0.00	30.79	0.00	30.79	0.5	0.15
	ACCOUNT #: LSR010431	BUY 1 Units @0.0000						
01/29/2018	***-**-800I - ORTEGO, RONALD	FRK RISING DIV FND - CL C	0.00	40.79	0.00	40.79	0.5	0.20
	ACCOUNT #: LSR010431	BUY 1 Units @0.0000						
01/29/2018	***-**-516I - BERTHELOT,	FRK RISING DIV FND - CL C	0.00	3.00	0.00	3.00	0.5	0.02
	ACCOUNT #: LSR011181	BUY 1 Units @0.0000						
01/29/2018	***-**-31IN - BERTHELOT, STARR	FRK RISING DIV FND - CL C	0.00	3.38	0.00	3.38	0.5	0.02
	ACCOUNT #: LSR011183	BUY 1 Units @0.0000						
01/29/2018	***-**-868I - CRAWFORD, KEVIN	FRK STRAT INC FND - CL A	0.00	10.44	0.00	10.44	0.5	0.05
	ACCOUNT #: LSR012289	BUY 1 Units @0.0000						
01/29/2018	***-**-868I - CRAWFORD, KEVIN	FRK TOTAL RETURN FND - CL A	0.00	5.58	0.00	5.58	0.5	0.03
	ACCOUNT #: LSR012289	BUY 1 Units @0.0000						
01/29/2018	***-**-68IN - CRAWFORD, KEVIN	FRK UTIL FND - CL A	0.00	1.11	0.00	1.11	0.5	0.01
	ACCOUNT #: LSR012288	BUY 1 Units @0.0000						
01/29/2018	***-**-868I - CRAWFORD, KEVIN	FRK VAL FND - CL A	0.00	7.14	0.00	7.14	0.5	0.04
	ACCOUNT #: LSR012289	BUY 1 Units @0.0000						
01/29/2018	***-**-868I - CRAWFORD, KEVIN	FT HARD CURRENCY CL A	0.00	3.15	0.00	3.15	0.5	0.02
	ACCOUNT #: LSR012289	BUY 1 Units @0.0000						
01/29/2018	***-**-800I - ORTEGO, RONALD	MUTUAL DISC FND - CL C	0.00	29.17	0.00	29.17	0.5	0.15
	ACCOUNT #: LSR010431	BUY 1 Units @0.0000						
01/29/2018	***-**-31IN - BERTHELOT, STARR	MUTUAL DISC FND - CL C	0.00	2.96	0.00	2.96	0.5	0.01
	ACCOUNT #: LSR011183	BUY 1 Units @0.0000						
01/29/2018	***-**-868I - CRAWFORD, KEVIN	MUTUAL EURO FND - CL A	0.00	8.41	0.00	8.41	0.5	0.04
	ACCOUNT #: LSR012289	BUY 1 Units @0.0000						
01/29/2018	***-**-868I - CRAWFORD, KEVIN	MUTUAL FINL SRVCS FND - CL A	0.00	6.78	0.00	6.78	0.5	0.03
	ACCOUNT #: LSR012289	BUY 1 Units @0.0000						
01/29/2018	***-**-868I - CRAWFORD, KEVIN	MUTUAL GLOBAL DISCOVERY FUND - CLAS	0.00	9.11	0.00	9.11	0.5	0.05
	ACCOUNT #: LSR012289	BUY 1 Units @0.0000						



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 OVERRIDE TRANSACTIONS (continued) 								
 BROKER: DRAKE AGUILLARD (continued) 								
01/29/2018	***-**-68IR - CRAWFORD, KEVIN	MUTUAL SERIES QUALIFIED CLASS A	0.00	1.58	0.00	1.58	0.5	0.01
	ACCOUNT #: LSR012287	BUY 1 Units @0.0000						
01/29/2018	***-**-68IN - CRAWFORD, KEVIN	MUTUAL SERIES SHARES CLASS A	0.00	1.81	0.00	1.81	0.5	0.01
	ACCOUNT #: LSR012288	BUY 1 Units @0.0000						
01/29/2018	***-**-868I - CRAWFORD, KEVIN	MUTUAL SERIES SHARES CLASS A	0.00	6.05	0.00	6.05	0.5	0.03
	ACCOUNT #: LSR012289	BUY 1 Units @0.0000						
01/29/2018	***-**-68IN - CRAWFORD, KEVIN	TEMP FRGN FND - CL A	0.00	1.61	0.00	1.61	0.5	0.01
	ACCOUNT #: LSR012288	BUY 1 Units @0.0000						
01/29/2018	***-**-868I - CRAWFORD, KEVIN	TEMP FRGN FND - CL A	0.00	7.13	0.00	7.13	0.5	0.04
	ACCOUNT #: LSR012289	BUY 1 Units @0.0000						
01/29/2018	***-**-68IN - CRAWFORD, KEVIN	TEMP GLOBAL BOND FND - CL A	0.00	1.76	0.00	1.76	0.5	0.01
	ACCOUNT #: LSR012288	BUY 1 Units @0.0000						
01/29/2018	***-**-868I - CRAWFORD, KEVIN	TEMP GLOBAL BOND FND - CL A	0.00	9.53	0.00	9.53	0.5	0.05
	ACCOUNT #: LSR012289	BUY 1 Units @0.0000						
01/29/2018	***-**-68IN - CRAWFORD, KEVIN	TEMPLETON CHINA WORLD FUND - CLASS	0.00	1.45	0.00	1.45	0.5	0.01
	ACCOUNT #: LSR012288	BUY 1 Units @0.0000						
01/29/2018	***-**-868I - CRAWFORD, KEVIN	TEMPLETON CHINA WORLD FUND - CLASS	0.00	7.64	0.00	7.64	0.5	0.04
	ACCOUNT #: LSR012289	BUY 1 Units @0.0000						
01/29/2018	***-**-800I - ORTEGO, RONALD	TEMPLETON GLOBAL BOND FUND - CLASS	0.00	22.18	0.00	22.18	0.5	0.11
	ACCOUNT #: LSR010431	BUY 1 Units @0.0000						
01/29/2018	***-**-516I - BERTHELOT,	TEMPLETON GLOBAL BOND FUND - CLASS	0.00	1.53	0.00	1.53	0.5	0.01
	ACCOUNT #: LSR011181	BUY 1 Units @0.0000						
01/29/2018	***-**-31IN - BERTHELOT, STARR	TEMPLETON GLOBAL BOND FUND - CLASS	0.00	1.74	0.00	1.74	0.5	0.01
	ACCOUNT #: LSR011183	BUY 1 Units @0.0000						
01/29/2018	***-**-68IR - CRAWFORD, KEVIN	TEMPLETON GROWTH FUND CLASS A	0.00	1.46	0.00	1.46	0.5	0.01
	ACCOUNT #: LSR012287	BUY 1 Units @0.0000						
	 * DRAKE AGUILLARD SUBTOTAL * 		 \$0.00 	 \$502.02 	 \$0.00 	 \$502.02 		 \$2.58

 BROKER: SAMUEL GALATIOTO

01/29/2018	***-**-4557 - CORNICHE GROUP,	ADP PROTOTYPE 401K PLAN	0.00	652.42	0.00	652.42	0.5	3.26
	ACCOUNT #: 682525	BUY 0 Units @0.0000						
01/22/2018	***-**-49TR - CUZICK TRUST,	AMAZON.COM INC UNSOLICITED ORDER	99,081.00	36.00	0.00	36.00	0.5	0.18
	ACCOUNT #: LSR010064	BUY 75 Units @1321.0800						



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 OVERRIDE TRANSACTIONS (continued) 								
 <u>BROKER: SAMUEL GALATIOTO (continued)</u> 								
01/29/2018	***-**-97IO - WAY, FBO DREW K	BLACKROCK 09251M108	0.00	1.29	0.00	1.29	0.5	0.01
	ACCOUNT #: LSR010105	BUY 1 Units @0.0000						
01/29/2018	***-**-91IO - BROWN, FBO	BLACKROCK HEALTH SCIENCES FUND CLAS	0.00	3.08	0.00	3.08	0.5	0.02
	ACCOUNT #: LSR010370	BUY 1 Units @0.0000						
01/29/2018	***-**-97IO - WAY, FBO DREW K	BLACKROCK MULTI ASSET INCOME PORT A	0.00	2.11	0.00	2.11	0.5	0.01
	ACCOUNT #: LSR010105	BUY 1 Units @0.0000						
01/29/2018	***-**-91IO - BROWN, FBO	BLACKROCK MULTI ASSET INCOME PORT A	0.00	3.35	0.00	3.35	0.5	0.02
	ACCOUNT #: LSR010370	BUY 1 Units @0.0000						
01/22/2018	***-**-31IR - PLATT, ROGER	FEDERATED STRATEGIC VALUE DIVIDEND	500.00	5.00	0.00	5.00	0.5	0.03
	ACCOUNT #: LSR011466	BUY 81 Units @6.1800						
01/29/2018	***-**-31IR - PLATT, ROGER	FEDERATED STRATEGIC VALUE DIVIDEND	0.00	3.72	0.00	3.72	0.5	0.02
	ACCOUNT #: LSR011466	BUY 1 Units @0.0000						
01/29/2018	***-**-31IO - PLATT, ROGER	FEDERATED STRATEGIC VALUE DIVIDEND	0.00	2.42	0.00	2.42	0.5	0.01
	ACCOUNT #: LSR011467	BUY 1 Units @0.0000						
01/29/2018	***-**-31IR - PLATT, ROGER	FEDERATED STRATEGIC VALUE DIVIDEND	0.00	2.49	0.00	2.49	0.5	0.01
	ACCOUNT #: LSR011466	BUY 1 Units @0.0000						
01/29/2018	***-**-74IO - SERNA, DEBRA	FIDELITY GOVT MMKT DAILY MONEY CLAS	0.00	1.43	0.00	1.43	0.5	0.01
	ACCOUNT #: LSR010054	BUY 1 Units @0.0000						
01/29/2018	***-**-92IO - CUZICK, JOANIE	FIDELITY GOVT MMKT DAILY MONEY CLAS	0.00	3.58	0.00	3.58	0.5	0.02
	ACCOUNT #: LSR010065	BUY 1 Units @0.0000						
01/29/2018	***-**-49IO - CUZICK, MICHAEL	FIDELITY GOVT MMKT DAILY MONEY CLAS	0.00	4.88	0.00	4.88	0.5	0.02
	ACCOUNT #: LSR010066	BUY 1 Units @0.0000						
01/29/2018	***-**-71IO - JACOBSON, DEBRA	FIDELITY GOVT MMKT DAILY MONEY CLAS	0.00	9.26	0.00	9.26	0.5	0.05
	ACCOUNT #: LSR010305	BUY 1 Units @0.0000						
01/22/2018	***-**-49TR - CUZICK TRUST,	MERCK & CO INC NEW COM	30,512.50	29.00	0.00	29.00	0.5	0.15
	ACCOUNT #: LSR010064	BUY 500 Units @61.0250						
	* SAMUEL GALATIOTO SUBTOTAL *		\$130,093.50	\$760.03	\$0.00	\$760.03		\$3.82

 BROKER: LARRY SKARSET

01/08/2018	***-**-6127 - STARK, TAMMY	FRANKLIN GROWTH FUND CLASS A	102.00	5.10	0.00	5.10	0.5	0.03
	ACCOUNT #: 000060176563746	BUY 1 Units @103.3700						
01/29/2018	***-**-17TR - KAY TTEE,	FRANKLIN INCOME FUND CLASS C	0.00	5.83	0.00	5.83	0.5	0.03
	ACCOUNT #: LSR010113	BUY 1 Units @0.0000						



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<u> OVERRIDE TRANSACTIONS (continued) </u>								
<u>BROKER: LARRY SKARSET (continued)</u>								
01/08/2018	***-**-6127 - STARK, TAMMY	FRANKLIN RISING DIVIDENDS FD CLASS	108.00	5.40	0.00	5.40	0.5	0.03
	ACCOUNT #: 000015815360427	BUY 2 Units @66.8600						
01/08/2018	***-**-6127 - STARK, TAMMY	FRK AGGRESSIVE GRWTH - CL A	102.00	5.10	0.00	5.10	0.5	0.03
	ACCOUNT #: 000000001147089	BUY 3 Units @40.0300						
01/08/2018	***-**-6127 - STARK, TAMMY	FRK TOTAL RETURN FND - CL A	60.00	2.40	0.00	2.40	0.5	0.01
	ACCOUNT #: 000000000615613	BUY 6 Units @10.2000						
01/08/2018	***-**-6127 - STARK, TAMMY	MUTUAL GLOBAL DISCOVERY FUND - CLAS	90.00	4.50	0.00	4.50	0.5	0.02
	ACCOUNT #: 000000005981410	BUY 3 Units @34.6500						
01/08/2018	***-**-6127 - STARK, TAMMY	TEMP FRGN FND - CL A	102.00	5.10	0.00	5.10	0.5	0.03
	ACCOUNT #: 000004978028124	BUY 12 Units @8.7500						
01/29/2018	***-**-498I - SKARSET, LARRY	TEMPLETON GROWTH FUND CLASS A	0.00	2.49	0.00	2.49	0.5	0.01
	ACCOUNT #: LSF000259	BUY 1 Units @0.0000						
* LARRY SKARSET SUBTOTAL *			\$564.00	\$35.92	\$0.00	\$35.92		\$0.19
<u>BROKER: ROBERT ADAMS</u>								
01/16/2018	***-**-76IN - KELLY, JOHN	FA 529 PORT 2019-CL A	100.00	2.75	0.00	2.75	0.5	0.01
	ACCOUNT #: 01460724956	BUY 5 Units @21.4700						
01/16/2018	***-**-76IN - KELLY, JOHN	FA 529 PORT 2022-CL A	100.00	2.75	0.00	2.75	0.5	0.01
	ACCOUNT #: 01460724972	BUY 4 Units @28.2500						
01/16/2018	***-**-05CL - ADAMS, CLIENTS	FA 529 PORT 2022-CL A	150.00	5.63	0.00	5.63	0.5	0.03
	ACCOUNT #: 01460802760	BUY 5 Units @28.5400						
* ROBERT ADAMS SUBTOTAL *			\$350.00	\$11.13	\$0.00	\$11.13		\$0.05
<u>BROKER: ALPHONSO HOUSTON</u>								
01/29/2018	***-**-53IN - HOUSTON, AL	FRANKLIN INCOME FUND CLASS A	0.00	11.64	0.00	11.64	0.5	0.06
	ACCOUNT #: LSF000264	BUY 1 Units @0.0000						
01/19/2018	***-**-196I - GRANT, NURIA	GNC HLDGS INC COM CL A	468.00	8.34	0.00	8.34	0.5	0.04
	ACCOUNT #: LSR010257	BUY 100 Units @4.6800						
01/19/2018	***-**-196I - GRANT, NURIA	GNC HLDGS INC COM CL A	468.00	8.34	0.00	8.34	0.5	0.04
	ACCOUNT #: LSR010257	BUY 100 Units @4.6800						
01/24/2018	***-**-196I - GRANT, NURIA	JAZZ PHARMACEUTICALS PLC COM USD0.0	3,804.28	14.50	0.00	14.50	0.5	0.07
	ACCOUNT #: LSR010257	SELL 25 Units @152.1710						
* ALPHONSO HOUSTON SUBTOTAL *			\$4,740.28	\$42.82	\$0.00	\$42.82		\$0.21



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<u> OVERRIDE TRANSACTIONS (continued) </u>								
<u> BROKER: JOSEPH STURGES </u>								
01/12/2018	***-**-51IN - CARROLL, ROBERT	FIDELITY A	40.00	1.50	0.00	1.50	0.5	0.01
	ACCOUNT #: 00700567019	BUY 3 Units @14.8900						
01/08/2018	***-**-087C - STURGES, CLIENTS	FIDELITY ADV ENERGY-CL A	1,100.00	55.00	0.00	55.00	0.5	0.28
	ACCOUNT #: 00704335553	BUY 29 Units @38.0100						
01/08/2018	***-**-087C - STURGES, CLIENTS	FIDELITY ADV MID CAP II-CL A	1,100.00	55.00	0.00	55.00	0.5	0.28
	ACCOUNT #: 00704335553	BUY 48 Units @22.9400						
01/08/2018	***-**-087C - STURGES, CLIENTS	FIDELITY ADV STRATEGIC DIV & INCOME	1,100.00	55.00	0.00	55.00	0.5	0.28
	ACCOUNT #: 00704335553	BUY 68 Units @16.2700						
01/08/2018	***-**-087C - STURGES, CLIENTS	FIDELITY ADV VALUE STRATEGIES-CL A	1,100.00	55.00	0.00	55.00	0.5	0.28
	ACCOUNT #: 00704335553	BUY 28 Units @39.1300						
01/09/2018	***-**-087C - STURGES, CLIENTS	FIDELITY ADVISOR ASSET MANAGER 70%	1,100.00	55.00	0.00	55.00	0.5	0.28
	ACCOUNT #: 00704335553	BUY 45 Units @24.2500						
01/22/2018	***-**-087C - STURGES, CLIENTS	ING VA 380789883	0.00	28.73	0.00	28.73	0.5	0.14
	ACCOUNT #: C118548-0X	BUY 0 Units @0.0000						
01/29/2018	***-**-851I - CARROLL, ROBERT	PIMCO TOTAL RETURN FND IV CLASS A-N	0.00	1.90	0.00	1.90	0.5	0.01
	ACCOUNT #: LSR012127	BUY 1 Units @0.0000						
* JOSEPH STURGES SUBTOTAL *			\$5,540.00	\$307.13	\$0.00	\$307.13		\$1.56
<u> BROKER: JON HEDDLESON </u>								
01/29/2018	***-**-48FB - SCHWAN, KIMBERLY	ASPIRE RIA	0.00	47.61	0.00	47.61	0.5	0.24
		BUY 1 Units @0.0000						
01/29/2018	***-**-27IN - DIETERICH, DONNA	BLACK ROCK ALL CAP ENERGY & RESOURC	175.00	1.75	0.00	1.75	0.5	0.01
	ACCOUNT #: 5086087	BUY 0 Units @0.0000						
01/29/2018	***-**-88IN - HAYES, JOSHUA	BLACK ROCK ALL CAP ENERGY & RESOURC	100.00	1.00	0.00	1.00	0.5	0.01
	ACCOUNT #: 50722446	BUY 0 Units @0.0000						
01/10/2018	***-**-83IN - GRIMM, LISA	FRANKLIN INCOME FUND CLASS A	25.00	1.00	0.00	1.00	0.5	0.01
	ACCOUNT #: 000090233211843	BUY 10 Units @2.5200						
01/10/2018	***-**-83IN - GRIMM, LISA	GLOBAL OPPORTUNITIES A	25.00	1.19	0.00	1.19	0.5	0.01
	ACCOUNT #: 02155916636	BUY 0 Units @0.0000						
01/29/2018	***-**-29IN - HIATT, RHONDA	INVESTMENT ADVISORY (PARTICIPANTS)	0.00	3.34	0.00	3.34	0.5	0.02
	ACCOUNT #: 403642	BUY 0 Units @0.0000						
01/29/2018	***-**-00FB - LAMMERS, JULIA	INVESTMENT ADVISORY (PARTICIPANTS)	0.00	4.34	0.00	4.34	0.5	0.02
	ACCOUNT #: 433953	BUY 0 Units @0.0000						



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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>VERRIDE TRANSACTIONS (continued)</u>								
<u>BROKER: JON HEDDLESON (continued)</u>								
01/29/2018	***-**-46IN - SANSON, ANTHONY	INVESTMENT ADVISORY (PARTICIPANTS)	0.00	22.76	0.00	22.76	0.5	0.11
	ACCOUNT #: 216463	BUY 0 Units @0.0000						
01/29/2018	***-**-20IN - LOWE, CHRISTINE	INVESTMENT ADVISORY (PARTICIPANTS)	0.00	52.56	0.00	52.56	0.5	0.26
	ACCOUNT #: 409337	BUY 0 Units @0.0000						
01/29/2018	***-**-29IN - SMOLEY, DENISE	INVESTMENT ADVISORY (PARTICIPANTS)	0.00	6.00	0.00	6.00	0.5	0.03
	ACCOUNT #: 409344	BUY 0 Units @0.0000						
01/29/2018	***-**-00FB - LAMMERS, JULIA	INVESTMENT ADVISORY (PARTICIPANTS)	0.00	4.49	0.00	4.49	0.5	0.02
	ACCOUNT #: 433953	BUY 0 Units @0.0000						
01/29/2018	***-**-08IN - MCADOO, STEVEN	INVESTMENT ADVISORY (PARTICIPANTS)	0.00	5.00	0.00	5.00	0.5	0.03
	ACCOUNT #: 403640	BUY 0 Units @0.0000						
01/29/2018	***-**-64IN - MOORE, DIANA	INVESTMENT ADVISORY (PARTICIPANTS)	0.00	3.51	0.00	3.51	0.5	0.02
	ACCOUNT #: 403639	BUY 0 Units @0.0000						
01/29/2018	***-**-94IN - THEIS, JENNIFER	INVESTMENT ADVISORY (PARTICIPANTS)	0.00	4.19	0.00	4.19	0.5	0.02
	ACCOUNT #: 178729	BUY 0 Units @0.0000						
01/29/2018	***-**-42IN - ZIEMNIK, SARA	INVESTMENT ADVISORY (PARTICIPANTS)	0.00	5.90	0.00	5.90	0.5	0.03
	ACCOUNT #: 199429	BUY 0 Units @0.0000						
01/29/2018	***-**-94IN - THEIS, JENNIFER	INVESTMENT ADVISORY (PARTICIPANTS)	0.00	3.23	0.00	3.23	0.5	0.02
	ACCOUNT #: 178729	BUY 0 Units @0.0000						
01/29/2018	***-**-29IN - HIATT, RHONDA	INVESTMENT ADVISORY (PARTICIPANTS)	0.00	3.45	0.00	3.45	0.5	0.02
	ACCOUNT #: 403642	BUY 0 Units @0.0000						
01/29/2018	***-**-29IN - HIATT, RHONDA	INVESTMENT ADVISORY (PARTICIPANTS)	0.00	2.65	0.00	2.65	0.5	0.01
	ACCOUNT #: 403642	BUY 0 Units @0.0000						
01/29/2018	***-**-00FB - LAMMERS, JULIA	INVESTMENT ADVISORY (PARTICIPANTS)	0.00	3.45	0.00	3.45	0.5	0.02
	ACCOUNT #: 433953	BUY 0 Units @0.0000						
01/29/2018	***-**-08IN - MCADOO, STEVEN	INVESTMENT ADVISORY (PARTICIPANTS)	0.00	3.83	0.00	3.83	0.5	0.02
	ACCOUNT #: 403640	BUY 0 Units @0.0000						
01/29/2018	***-**-64IN - MOORE, DIANA	INVESTMENT ADVISORY (PARTICIPANTS)	0.00	2.69	0.00	2.69	0.5	0.01
	ACCOUNT #: 403639	BUY 0 Units @0.0000						
01/29/2018	***-**-94IN - THEIS, JENNIFER	INVESTMENT ADVISORY (PARTICIPANTS)	0.00	14.64	0.00	14.64	0.5	0.07
	ACCOUNT #: 178729	BUY 0 Units @0.0000						
01/29/2018	***-**-98IN - WHEELER, KATIE	INVESTMENT ADVISORY (PARTICIPANTS)	0.00	1.26	0.00	1.26	0.5	0.01
	ACCOUNT #: 403613	BUY 0 Units @0.0000						



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<u> OVERRIDE TRANSACTIONS (continued) </u>								
<u> BROKER: JON HEDDLESON (continued) </u>								
01/29/2018	***-**-46IN - SANSON, ANTHONY	INVESTMENT ADVISORY (PARTICIPANTS)	0.00	39.73	0.00	39.73	0.5	0.20
	ACCOUNT #: 216463	BUY 0 Units @0.0000						
01/29/2018	***-**-42IN - ZIEMNIK, SARA	INVESTMENT ADVISORY (PARTICIPANTS)	0.00	10.31	0.00	10.31	0.5	0.05
	ACCOUNT #: 199429	BUY 0 Units @0.0000						
01/29/2018	***-**-90FB - GILTS, JANINE	INVESTMENT ADVISORY (PARTICIPANTS)	0.00	2.18	0.00	2.18	0.5	0.01
	ACCOUNT #: 501576	BUY 0 Units @0.0000						
01/29/2018	***-**-58IN - BOES, BRAD	INVESTMENT ADVISORY (PARTICIPANTS)	0.00	3.34	0.00	3.34	0.5	0.02
	ACCOUNT #: 410485	BUY 0 Units @0.0000						
01/29/2018	***-**-29IN - HIATT, RHONDA	INVESTMENT ADVISORY (PARTICIPANTS)	0.00	12.06	0.00	12.06	0.5	0.06
	ACCOUNT #: 403642	BUY 0 Units @0.0000						
01/29/2018	***-**-00FB - LAMMERS, JULIA	INVESTMENT ADVISORY (PARTICIPANTS)	0.00	15.68	0.00	15.68	0.5	0.08
	ACCOUNT #: 433953	BUY 0 Units @0.0000						
01/29/2018	***-**-08IN - MCADOO, STEVEN	INVESTMENT ADVISORY (PARTICIPANTS)	0.00	17.44	0.00	17.44	0.5	0.09
	ACCOUNT #: 403640	BUY 0 Units @0.0000						
01/29/2018	***-**-64IN - MOORE, DIANA	INVESTMENT ADVISORY (PARTICIPANTS)	0.00	12.26	0.00	12.26	0.5	0.06
	ACCOUNT #: 403639	BUY 0 Units @0.0000						
01/29/2018	***-**-00FB - LAMMERS, JULIA	INVESTMENT ADVISORY (PARTICIPANTS)	0.00	8.98	0.00	8.98	0.5	0.04
	ACCOUNT #: 433953	BUY 0 Units @0.0000						
01/29/2018	***-**-08IN - MCADOO, STEVEN	INVESTMENT ADVISORY (PARTICIPANTS)	0.00	9.99	0.00	9.99	0.5	0.05
	ACCOUNT #: 403640	BUY 0 Units @0.0000						
01/29/2018	***-**-64IN - MOORE, DIANA	INVESTMENT ADVISORY (PARTICIPANTS)	0.00	7.02	0.00	7.02	0.5	0.04
	ACCOUNT #: 403639	BUY 0 Units @0.0000						
01/29/2018	***-**-94IN - THEIS, JENNIFER	INVESTMENT ADVISORY (PARTICIPANTS)	0.00	8.39	0.00	8.39	0.5	0.04
	ACCOUNT #: 178729	BUY 0 Units @0.0000						
01/29/2018	***-**-98IN - WHEELER, KATIE	INVESTMENT ADVISORY (PARTICIPANTS)	0.00	1.64	0.00	1.64	0.5	0.01
	ACCOUNT #: 403613	BUY 0 Units @0.0000						
01/29/2018	***-**-06IN - BLAND, SYDNEY	INVESTMENT ADVISORY (PARTICIPANTS)	0.00	1.39	0.00	1.39	0.5	0.01
	ACCOUNT #: 403644	BUY 0 Units @0.0000						
01/29/2018	***-**-20IN - LOWE, CHRISTINE	INVESTMENT ADVISORY (PARTICIPANTS)	0.00	91.74	0.00	91.74	0.5	0.46
	ACCOUNT #: 409337	BUY 0 Units @0.0000						
01/29/2018	***-**-29IN - SMOLEY, DENISE	INVESTMENT ADVISORY (PARTICIPANTS)	0.00	10.47	0.00	10.47	0.5	0.05
	ACCOUNT #: 409344	BUY 0 Units @0.0000						



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<u>VERRIDE TRANSACTIONS (continued)</u>								
<u>BROKER: JON HEDDLESON (continued)</u>								
01/29/2018	***-**-58IN - BOES, BRAD ACCOUNT #: 410485	INVESTMENT ADVISORY (PARTICIPANTS) BUY 0 Units @0.0000	0.00	1.91	0.00	1.91	0.5	0.01
01/29/2018	***-**-29IN - HIATT, RHONDA ACCOUNT #: 403642	INVESTMENT ADVISORY (PARTICIPANTS) BUY 0 Units @0.0000	0.00	6.91	0.00	6.91	0.5	0.03
01/29/2018	***-**-20IN - LOWE, CHRISTINE ACCOUNT #: 409337	INVESTMENT ADVISORY (PARTICIPANTS) BUY 0 Units @0.0000	0.00	26.29	0.00	26.29	0.5	0.13
01/29/2018	***-**-29IN - SMOLEY, DENISE ACCOUNT #: 409344	INVESTMENT ADVISORY (PARTICIPANTS) BUY 0 Units @0.0000	0.00	3.00	0.00	3.00	0.5	0.02
01/29/2018	***-**-46IN - SANSON, ANTHONY ACCOUNT #: 216463	INVESTMENT ADVISORY (PARTICIPANTS) BUY 0 Units @0.0000	0.00	8.74	0.00	8.74	0.5	0.04
01/29/2018	***-**-51IN - WOHLGAMUTH, ACCOUNT #: 209338	INVESTMENT ADVISORY (PARTICIPANTS) BUY 0 Units @0.0000	0.00	24.47	0.00	24.47	0.5	0.12
01/29/2018	***-**-46IN - SANSON, ANTHONY ACCOUNT #: 216463	INVESTMENT ADVISORY (PARTICIPANTS) BUY 0 Units @0.0000	0.00	8.54	0.00	8.54	0.5	0.04
01/29/2018	***-**-42IN - ZIEMNIK, SARA ACCOUNT #: 199429	INVESTMENT ADVISORY (PARTICIPANTS) BUY 0 Units @0.0000	0.00	2.95	0.00	2.95	0.5	0.01
01/29/2018	***-**-94IN - THEIS, JENNIFER ACCOUNT #: 178729	INVESTMENT ADVISORY (PARTICIPANTS) BUY 0 Units @0.0000	0.00	4.47	0.00	4.47	0.5	0.02
01/29/2018	***-**-90FB - GILTS, JANINE ACCOUNT #: 501576	INVESTMENT ADVISORY (PARTICIPANTS) BUY 0 Units @0.0000	0.00	2.17	0.00	2.17	0.5	0.01
01/29/2018	***-**-90FB - GILTS, JANINE ACCOUNT #: 501576	INVESTMENT ADVISORY (PARTICIPANTS) BUY 0 Units @0.0000	0.00	2.13	0.00	2.13	0.5	0.01
01/29/2018	***-**-20IN - LOWE, CHRISTINE ACCOUNT #: 409337	INVESTMENT ADVISORY (PARTICIPANTS) BUY 0 Units @0.0000	0.00	20.18	0.00	20.18	0.5	0.10
01/29/2018	***-**-29IN - SMOLEY, DENISE ACCOUNT #: 409344	INVESTMENT ADVISORY (PARTICIPANTS) BUY 0 Units @0.0000	0.00	2.30	0.00	2.30	0.5	0.01
01/29/2018	***-**-58IN - BOES, BRAD ACCOUNT #: 410485	INVESTMENT ADVISORY (PARTICIPANTS) BUY 0 Units @0.0000	0.00	1.02	0.00	1.02	0.5	0.01
01/29/2018	***-**-29IN - HIATT, RHONDA ACCOUNT #: 403642	INVESTMENT ADVISORY (PARTICIPANTS) BUY 0 Units @0.0000	0.00	3.68	0.00	3.68	0.5	0.02
01/29/2018	***-**-00FB - LAMMERS, JULIA ACCOUNT #: 433953	INVESTMENT ADVISORY (PARTICIPANTS) BUY 0 Units @0.0000	0.00	4.78	0.00	4.78	0.5	0.02



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<u> OVERRIDE TRANSACTIONS (continued) </u>								
<u> BROKER: JON HEDDLESON (continued) </u>								
01/29/2018	***-**-08IN - MCADOO, STEVEN ACCOUNT #: 403640	INVESTMENT ADVISORY (PARTICIPANTS) BUY 0 Units @0.0000	0.00	5.32	0.00	5.32	0.5	0.03
01/29/2018	***-**-64IN - MOORE, DIANA ACCOUNT #: 403639	INVESTMENT ADVISORY (PARTICIPANTS) BUY 0 Units @0.0000	0.00	3.74	0.00	3.74	0.5	0.02
01/29/2018	***-**-29IN - SMOLEY, DENISE ACCOUNT #: 409344	INVESTMENT ADVISORY (PARTICIPANTS) BUY 0 Units @0.0000	0.00	3.19	0.00	3.19	0.5	0.02
01/29/2018	***-**-46IN - SANSON, ANTHONY ACCOUNT #: 216463	INVESTMENT ADVISORY (PARTICIPANTS) BUY 0 Units @0.0000	0.00	6.06	0.00	6.06	0.5	0.03
01/29/2018	***-**-42IN - ZIEMNIK, SARA ACCOUNT #: 199429	INVESTMENT ADVISORY (PARTICIPANTS) BUY 0 Units @0.0000	0.00	3.14	0.00	3.14	0.5	0.02
01/29/2018	***-**-42IN - ZIEMNIK, SARA ACCOUNT #: 199429	INVESTMENT ADVISORY (PARTICIPANTS) BUY 0 Units @0.0000	0.00	2.28	0.00	2.28	0.5	0.01
01/29/2018	***-**-51IN - WOHLGAMUTH, ACCOUNT #: 209338	INVESTMENT ADVISORY (PARTICIPANTS) BUY 0 Units @0.0000	0.00	25.19	0.00	25.19	0.5	0.13
01/29/2018	***-**-00FB - LAMMERS, JULIA ACCOUNT #: 433953	INVESTMENT ADVISORY (PARTICIPANTS) BUY 0 Units @0.0000	0.00	8.53	0.00	8.53	0.5	0.04
01/29/2018	***-**-42IN - ZIEMNIK, SARA ACCOUNT #: 199429	INVESTMENT ADVISORY (PARTICIPANTS) BUY 0 Units @0.0000	0.00	5.60	0.00	5.60	0.5	0.03
01/29/2018	***-**-20IN - LOWE, CHRISTINE ACCOUNT #: 409337	INVESTMENT ADVISORY (PARTICIPANTS) BUY 0 Units @0.0000	0.00	49.90	0.00	49.90	0.5	0.25
01/29/2018	***-**-29IN - SMOLEY, DENISE ACCOUNT #: 409344	INVESTMENT ADVISORY (PARTICIPANTS) BUY 0 Units @0.0000	0.00	5.69	0.00	5.69	0.5	0.03
01/29/2018	***-**-20IN - LOWE, CHRISTINE ACCOUNT #: 409337	INVESTMENT ADVISORY (PARTICIPANTS) BUY 0 Units @0.0000	0.00	27.98	0.00	27.98	0.5	0.14
01/29/2018	***-**-64IN - MOORE, DIANA ACCOUNT #: 403639	INVESTMENT ADVISORY (PARTICIPANTS) BUY 0 Units @0.0000	0.00	6.56	0.00	6.56	0.5	0.03
01/29/2018	***-**-94IN - THEIS, JENNIFER ACCOUNT #: 178729	INVESTMENT ADVISORY (PARTICIPANTS) BUY 0 Units @0.0000	0.00	7.85	0.00	7.85	0.5	0.04
01/29/2018	***-**-51IN - WOHLGAMUTH, ACCOUNT #: 209338	INVESTMENT ADVISORY (PARTICIPANTS) BUY 0 Units @0.0000	0.00	24.37	0.00	24.37	0.5	0.12
01/29/2018	***-**-90FB - GILTS, JANINE ACCOUNT #: 501576	INVESTMENT ADVISORY (PARTICIPANTS) BUY 0 Units @0.0000	0.00	2.17	0.00	2.17	0.5	0.01



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<u> OVERRIDE TRANSACTIONS (continued) </u>								
<u>BROKER: JON HEDDLESON (continued)</u>								
01/29/2018	***-**-58IN - BOES, BRAD ACCOUNT #: 410485	INVESTMENT ADVISORY (PARTICIPANTS) BUY 0 Units @0.0000	0.00	1.81	0.00	1.81	0.5	0.01
01/29/2018	***-**-98IN - WHEELER, KATIE ACCOUNT #: 403613	INVESTMENT ADVISORY (PARTICIPANTS) BUY 0 Units @0.0000	0.00	1.07	0.00	1.07	0.5	0.01
01/29/2018	***-**-46IN - SANSON, ANTHONY ACCOUNT #: 216463	INVESTMENT ADVISORY (PARTICIPANTS) BUY 0 Units @0.0000	0.00	6.83	0.00	6.83	0.5	0.03
01/29/2018	***-**-29IN - HIATT, RHONDA ACCOUNT #: 403642	INVESTMENT ADVISORY (PARTICIPANTS) BUY 0 Units @0.0000	0.00	6.45	0.00	6.45	0.5	0.03
01/29/2018	***-**-08IN - MCADOO, STEVEN ACCOUNT #: 403640	INVESTMENT ADVISORY (PARTICIPANTS) BUY 0 Units @0.0000	0.00	9.33	0.00	9.33	0.5	0.05
01/29/2018	***-**-29IN - HIATT, RHONDA ACCOUNT #: 403642	INVESTMENT ADVISORY (PARTICIPANTS) BUY 0 Units @0.0000	0.00	4.14	0.00	4.14	0.5	0.02
01/29/2018	***-**-00FB - LAMMERS, JULIA ACCOUNT #: 433953	INVESTMENT ADVISORY (PARTICIPANTS) BUY 0 Units @0.0000	0.00	5.39	0.00	5.39	0.5	0.03
01/29/2018	***-**-08IN - MCADOO, STEVEN ACCOUNT #: 403640	INVESTMENT ADVISORY (PARTICIPANTS) BUY 0 Units @0.0000	0.00	5.99	0.00	5.99	0.5	0.03
01/29/2018	***-**-64IN - MOORE, DIANA ACCOUNT #: 403639	INVESTMENT ADVISORY (PARTICIPANTS) BUY 0 Units @0.0000	0.00	4.21	0.00	4.21	0.5	0.02
01/29/2018	***-**-94IN - THEIS, JENNIFER ACCOUNT #: 178729	INVESTMENT ADVISORY (PARTICIPANTS) BUY 0 Units @0.0000	0.00	5.04	0.00	5.04	0.5	0.03
01/29/2018	***-**-20IN - LOWE, CHRISTINE ACCOUNT #: 409337	INVESTMENT ADVISORY (PARTICIPANTS) BUY 0 Units @0.0000	0.00	31.51	0.00	31.51	0.5	0.16
01/29/2018	***-**-29IN - SMOLEY, DENISE ACCOUNT #: 409344	INVESTMENT ADVISORY (PARTICIPANTS) BUY 0 Units @0.0000	0.00	3.59	0.00	3.59	0.5	0.02
01/29/2018	***-**-42IN - ZIEMNIK, SARA ACCOUNT #: 199429	INVESTMENT ADVISORY (PARTICIPANTS) BUY 0 Units @0.0000	0.00	3.54	0.00	3.54	0.5	0.02
01/29/2018	***-**-46IN - SANSON, ANTHONY ACCOUNT #: 216463	INVESTMENT ADVISORY (PARTICIPANTS) BUY 0 Units @0.0000	0.00	10.65	0.00	10.65	0.5	0.05
01/29/2018	***-**-58IN - BOES, BRAD ACCOUNT #: 410485	INVESTMENT ADVISORY (PARTICIPANTS) BUY 0 Units @0.0000	0.00	1.15	0.00	1.15	0.5	0.01
01/29/2018	***-**-69IN - FRONZAGLIA, ACCOUNT #: 232438	INVESTMENT ADVISORY (PARTICIPANTS) BUY 0 Units @0.0000	0.00	2.11	0.00	2.11	0.5	0.01



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<u> OVERRIDE TRANSACTIONS (continued) </u>								
<u> BROKER: JON HEDDLESON (continued) </u>								
01/29/2018	***-**-46IN - SANSON, ANTHONY	INVESTMENT ADVISORY (PARTICIPANTS)	0.00	10.97	0.00	10.97	0.5	0.05
	ACCOUNT #: 216463	BUY 0 Units @0.0000						
01/29/2018	***-**-20IN - LOWE, CHRISTINE	INVESTMENT ADVISORY (PARTICIPANTS)	0.00	25.38	0.00	25.38	0.5	0.13
	ACCOUNT #: 409337	BUY 0 Units @0.0000						
01/29/2018	***-**-29IN - SMOLEY, DENISE	INVESTMENT ADVISORY (PARTICIPANTS)	0.00	2.90	0.00	2.90	0.5	0.01
	ACCOUNT #: 409344	BUY 0 Units @0.0000						
01/29/2018	***-**-51IN - WOHLGAMUTH,	INVESTMENT ADVISORY (PARTICIPANTS)	0.00	23.73	0.00	23.73	0.5	0.12
	ACCOUNT #: 209338	BUY 0 Units @0.0000						
01/29/2018	***-**-08IN - MCADOO, STEVEN	INVESTMENT ADVISORY (PARTICIPANTS)	0.00	4.82	0.00	4.82	0.5	0.02
	ACCOUNT #: 403640	BUY 0 Units @0.0000						
01/29/2018	***-**-64IN - MOORE, DIANA	INVESTMENT ADVISORY (PARTICIPANTS)	0.00	3.39	0.00	3.39	0.5	0.02
	ACCOUNT #: 403639	BUY 0 Units @0.0000						
01/29/2018	***-**-94IN - THEIS, JENNIFER	INVESTMENT ADVISORY (PARTICIPANTS)	0.00	4.06	0.00	4.06	0.5	0.02
	ACCOUNT #: 178729	BUY 0 Units @0.0000						
01/29/2018	***-**-42IN - ZIEMNIK, SARA	INVESTMENT ADVISORY (PARTICIPANTS)	0.00	2.85	0.00	2.85	0.5	0.01
	ACCOUNT #: 199429	BUY 0 Units @0.0000						
01/29/2018	***-**-30IN - HOLLINGSWORTH,	METLIFE INVESTORS USA VA	400.00	1.52	0.00	1.52	0.5	0.01
	ACCOUNT #: 230003394	BUY 1 Units @400.0000						
01/29/2018	***-**-86IN - DOLAN, LINDA	METLIFE INVESTORS USA VA	750.00	2.85	0.00	2.85	0.5	0.01
	ACCOUNT #: 230003178	BUY 1 Units @750.0000						
01/29/2018	***-**-19IN - RIEGLER,	METLIFE VA TRAILS	250.00	2.50	0.00	2.50	0.5	0.01
	ACCOUNT #: 230004789	BUY 1 Units @250.0000						
01/29/2018	***-**-79IN - HARTLEY,	PIMCO ALL ASSET ALL AUTHORITY A	22.00	1.05	0.00	1.05	0.5	0.01
	ACCOUNT #: 04006018289	BUY 0 Units @0.0000						
01/29/2018	***-**-79IN - HARTLEY,	PIMCO TRAILS	0.00	1.78	0.00	1.78	0.5	0.01
	ACCOUNT #: 04006018289	BUY 0 Units @0.0000						
01/29/2018	***-**-79IN - HARTLEY,	PIMCO TRAILS	0.00	1.81	0.00	1.81	0.5	0.01
	ACCOUNT #: 04019028167	BUY 0 Units @0.0000						
* JON HEDDLESON SUBTOTAL *			\$1,747.00	\$955.99	\$0.00	\$955.99		\$4.81



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<u> OVERRIDE TRANSACTIONS (continued) </u>								
<u>BROKER: TIMOTHY STATES</u>								
01/22/2018	***-**-574I - DAVIS, MISCHA	AMBARELLA INC COM USD0.00045	6,498.75	117.50	0.00	117.50	0.5	0.59
	ACCOUNT #: LSR010630	SELL 125 Units @51.9900						
01/23/2018	***-**-837I - LEWIS, FBO V	APPLE INC UNSOLICITED ORDER	8,944.20	117.00	0.00	117.00	0.5	0.59
	ACCOUNT #: LSR010565	SELL 50 Units @178.8840						
01/25/2018	***-**-66IN - STATES, MR	APPLE INC UNSOLICITED ORDER	9,199.21	1.01	0.00	1.01	0.5	0.01
	ACCOUNT #: LSF000281	SELL 53 Units @173.5700						
01/22/2018	***-**-66IR - STATES, FBO MR	CISCO SYSTEMS INC	7,868.85	1.01	0.00	1.01	0.5	0.01
	ACCOUNT #: LSF000280	SELL 190 Units @41.4150						
01/23/2018	***-**-837I - LEWIS, FBO V	CISCO SYSTEMS INC	4,206.30	117.00	0.00	117.00	0.5	0.59
	ACCOUNT #: LSR010565	SELL 100 Units @42.0630						
01/24/2018	***-**-66IN - STATES, MR	CISCO SYSTEMS INC	638.55	1.01	0.00	1.01	0.5	0.01
	ACCOUNT #: LSF000281	BUY 15 Units @42.5700						
01/24/2018	***-**-066I - STATES, FBO MR	CISCO SYSTEMS INC	1,150.90	1.01	0.00	1.01	0.5	0.01
	ACCOUNT #: LSF000282	BUY 27 Units @42.6260						
01/25/2018	***-**-66IN - STATES, MR	CISCO SYSTEMS INC	2,101.25	1.01	0.00	1.01	0.5	0.01
	ACCOUNT #: LSF000281	BUY 50 Units @42.0250						
01/23/2018	***-**-27IN - LYNCH, JAIR	GLOBAL OPPORTUNITIES A	29,999.97	1,407.00	0.00	1,407.00	0.5	7.04
	ACCOUNT #: LSR012262	BUY 375 Units @80.0800						
01/29/2018	***-**-437K - SIGUE, JOCELYN	GLOBAL OPPORTUNITIES A	0.00	2.20	0.00	2.20	0.5	0.01
	ACCOUNT #: LSR012251	BUY 1 Units @0.0000						
01/29/2018	***-**-100I - BRITT, FBO RUTH	GLOBAL OPPORTUNITIES A	0.00	1.45	0.00	1.45	0.5	0.01
	ACCOUNT #: LSR010568	BUY 1 Units @0.0000						
01/29/2018	***-**-826I - CLARK, FBO MS	GLOBAL OPPORTUNITIES A	0.00	8.30	0.00	8.30	0.5	0.04
	ACCOUNT #: LSR010588	BUY 1 Units @0.0000						
01/29/2018	***-**-587I - KEARNEY, FBO MS	GLOBAL OPPORTUNITIES A	0.00	1.67	0.00	1.67	0.5	0.01
	ACCOUNT #: LSR010590	BUY 1 Units @0.0000						
01/29/2018	***-**-537I - EDELIN, FBO MS	GLOBAL OPPORTUNITIES A	0.00	2.30	0.00	2.30	0.5	0.01
	ACCOUNT #: LSR010592	BUY 1 Units @0.0000						
01/29/2018	***-**-58IN - LUTZ, SAMUEL	GLOBAL OPPORTUNITIES A	0.00	7.02	0.00	7.02	0.5	0.04
	ACCOUNT #: LSR010594	BUY 1 Units @0.0000						
01/29/2018	***-**-35IN - ANTOINE, MS	GLOBAL OPPORTUNITIES A	0.00	2.01	0.00	2.01	0.5	0.01
	ACCOUNT #: LSR010597	BUY 1 Units @0.0000						



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 OVERRIDE TRANSACTIONS (continued)								
 <u>BROKER: TIMOTHY STATES (continued)</u>								
01/29/2018	***-**-91IN - RICHARDS, RMR ACCOUNT #: LSR010600	GLOBAL OPPORTUNITIES A BUY 1 Units @0.0000	0.00	1.67	0.00	1.67	0.5	0.01
01/29/2018	***-**-74IN - DAVIS, MISCHA ACCOUNT #: LSR010627	GLOBAL OPPORTUNITIES A BUY 1 Units @0.0000	0.00	3.45	0.00	3.45	0.5	0.02
01/29/2018	***-**-574I - DAVIS, MISCHA ACCOUNT #: LSR010630	GLOBAL OPPORTUNITIES A BUY 1 Units @0.0000	0.00	7.82	0.00	7.82	0.5	0.04
01/29/2018	***-**-820X - HIGHSMITH, ACCOUNT #: LSR010767	GLOBAL OPPORTUNITIES A BUY 1 Units @0.0000	0.00	1.09	0.00	1.09	0.5	0.01
01/29/2018	***-**-736J - HIGHSMITH SR, ACCOUNT #: LSR010785	GLOBAL OPPORTUNITIES A BUY 1 Units @0.0000	0.00	4.51	0.00	4.51	0.5	0.02
01/29/2018	***-**-736X - HIGHSMITH SR, ACCOUNT #: LSR010791	GLOBAL OPPORTUNITIES A BUY 1 Units @0.0000	0.00	3.77	0.00	3.77	0.5	0.02
01/29/2018	***-**-423I - JONES, BRENDA ACCOUNT #: LSR010837	GLOBAL OPPORTUNITIES A BUY 1 Units @0.0000	0.00	2.30	0.00	2.30	0.5	0.01
01/29/2018	***-**-58TR - HOUSING ACCOUNT #: LSR010838	GLOBAL OPPORTUNITIES A BUY 1 Units @0.0000	0.00	1.87	0.00	1.87	0.5	0.01
01/29/2018	***-**-1600 - BRANTLEY, JULIUS ACCOUNT #: LSR011043	MAIN STREET FUND A BUY 1 Units @0.0000	0.00	1.22	0.00	1.22	0.5	0.01
01/22/2018	***-**-574I - DAVIS, MISCHA ACCOUNT #: LSR010630	MCKESSON CORP COM SELL 59 Units @172.8010	10,195.26	118.82	0.00	118.82	0.5	0.59
01/22/2018	***-**-574I - DAVIS, MISCHA ACCOUNT #: LSR010630	NEKTAR THERAPEUTICS BUY 200 Units @78.3000	15,660.00	181.00	0.00	181.00	0.5	0.91
01/22/2018	***-**-27IN - LYNCH, JAIR ACCOUNT #: LSR012262	NEKTAR THERAPEUTICS BUY 100 Units @76.0830	7,608.30	118.00	0.00	118.00	0.5	0.59
01/23/2018	***-**-837I - LEWIS, FBO V ACCOUNT #: LSR010565	NEKTAR THERAPEUTICS BUY 150 Units @75.4340	11,315.10	132.00	0.00	132.00	0.5	0.66
01/23/2018	***-**-826I - CLARK, FBO MS ACCOUNT #: LSR010588	NEKTAR THERAPEUTICS BUY 150 Units @75.1870	11,278.05	132.00	0.00	132.00	0.5	0.66
01/23/2018	***-**-58IN - LUTZ, SAMUEL ACCOUNT #: LSR010594	NEKTAR THERAPEUTICS BUY 50 Units @75.2700	3,763.50	34.00	0.00	34.00	0.5	0.17
01/23/2018	***-**-58IN - LUTZ, SAMUEL ACCOUNT #: LSR010594	NEKTAR THERAPEUTICS BUY 100 Units @75.2500	7,525.00	98.00	0.00	98.00	0.5	0.49



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<u> OVERRIDE TRANSACTIONS (continued) </u>								
<u>BROKER: TIMOTHY STATES (continued)</u>								
01/24/2018	***-**-587I - KEARNEY, FBO MS	NEKTAR THERAPEUTICS	7,749.00	118.00	0.00	118.00	0.5	0.59
	ACCOUNT #: LSR010590	BUY 100 Units @77.4900						
01/29/2018	***-**-826I - CLARK, FBO MS	OPPENHEIMER GLOBAL VALUE FUND CL A	0.00	1.62	0.00	1.62	0.5	0.01
	ACCOUNT #: LSR010588	BUY 1 Units @0.0000						
01/29/2018	***-**-574I - DAVIS, MISCHA	OPPENHEIMER GLOBAL VALUE FUND CL A	0.00	1.63	0.00	1.63	0.5	0.01
	ACCOUNT #: LSR010630	BUY 1 Units @0.0000						
01/24/2018	***-**-587I - KEARNEY, FBO MS	USG CORP COM NEW	7,835.00	116.00	0.00	116.00	0.5	0.58
	ACCOUNT #: LSR010590	SELL 200 Units @39.1750						
01/29/2018	***-**-09IO - BRITT, EDWINA	VICTORY S & P 500 INDEX CL A	0.00	2.01	0.00	2.01	0.5	0.01
	ACCOUNT #: LSR011800	BUY 1 Units @0.0000						
		* TIMOTHY STATES SUBTOTAL *	\$153,537.19	\$2,869.28	\$0.00	\$2,869.28		\$14.41
<u>BROKER: JUAN LEWIS</u>								
01/29/2018	***-**-720I - LAZARUS, JORGE	AMERICAN CENTURY DISCIPLND GROWTH C	0.00	1.36	0.00	1.36	0.5	0.01
	ACCOUNT #: LSR010717	BUY 1 Units @0.0000						
01/29/2018	***-**-720I - LAZARUS, JORGE	PUTNAM GLOBAL HEALTH CARE FD-A	0.00	1.02	0.00	1.02	0.5	0.01
	ACCOUNT #: LSR010717	BUY 1 Units @0.0000						
01/29/2018	***-**-720I - LAZARUS, JORGE	PUTNAM TAX-FREE HIGH YIELD FUND CLA	0.00	2.28	0.00	2.28	0.5	0.01
	ACCOUNT #: LSR010717	BUY 1 Units @0.0000						
		* JUAN LEWIS SUBTOTAL *	\$0.00	\$4.66	\$0.00	\$4.66		\$0.03
<u>BROKER: WILMA SHERIDAN</u>								
01/29/2018	***-**-036I - NAGEL, CLIFFORD	FRANKLIN INCOME FUND CLASS A	0.00	21.91	0.00	21.91	0.5	0.11
	ACCOUNT #: LSR010937	BUY 1 Units @0.0000						
01/29/2018	***-**-887I - LAWSON, BONNIE	FRANKLIN INCOME FUND CLASS A	0.00	2.57	0.00	2.57	0.5	0.01
	ACCOUNT #: LSR010971	BUY 1 Units @0.0000						
01/29/2018	***-**-427I - BELLO, JUANITA	FRANKLIN INCOME FUND CLASS A	0.00	22.97	0.00	22.97	0.5	0.11
	ACCOUNT #: LSR010986	BUY 1 Units @0.0000						
01/29/2018	***-**-673I - BELLO, STANLEY	FRK TOTAL RETURN FND - CL A	0.00	1.18	0.00	1.18	0.5	0.01
	ACCOUNT #: LSR010984	BUY 1 Units @0.0000						
01/29/2018	***-**-673I - BELLO, STANLEY	FRNKLN FLOATING RATE DLY ACCESS FND	0.00	2.45	0.00	2.45	0.5	0.01
	ACCOUNT #: LSR010984	BUY 1 Units @0.0000						



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<u> OVERRIDE TRANSACTIONS (continued) </u>								
<u>BROKER: WILMA SHERIDAN (continued)</u>								
01/29/2018	***-**-887I - LAWSON, BONNIE	MUTUAL SERIES SHARES CLASS A	0.00	4.61	0.00	4.61	0.5	0.02
	ACCOUNT #: LSR010971	BUY 1 Units @0.0000						
01/29/2018	***-**-673I - BELLO, STANLEY	MUTUAL SERIES SHARES CLASS A	0.00	3.99	0.00	3.99	0.5	0.02
	ACCOUNT #: LSR010984	BUY 1 Units @0.0000						
01/29/2018	***-**-887I - LAWSON, BONNIE	TEMP FRGN FND - CL A	0.00	1.96	0.00	1.96	0.5	0.01
	ACCOUNT #: LSR010971	BUY 1 Units @0.0000						
01/29/2018	***-**-673I - BELLO, STANLEY	TEMP FRGN FND - CL A	0.00	3.06	0.00	3.06	0.5	0.02
	ACCOUNT #: LSR010984	BUY 1 Units @0.0000						
* WILMA SHERIDAN SUBTOTAL *			\$0.00	\$64.70	\$0.00	\$64.70		\$0.32
<u>BROKER: DAVID GRIFFITH</u>								
01/08/2018	***-**-6762 - MISHLANIE,	37252M108	115.00	5.75	0.00	5.75	0.5	0.03
	ACCOUNT #: 00551362260	BUY 5 Units @21.5700						
01/22/2018	***-**-361J - ALOISIO,	AMERICAN FUNDS MORTGAGE FD CL C	12,000.00	120.00	0.00	120.00	0.5	0.60
	ACCOUNT #: LSR010864	BUY 1211 Units @9.9100						
01/22/2018	***-**-423I - SAVICKI, RICHARD	AMERICAN FUNDS MORTGAGE FD CL C	15,000.00	150.00	0.00	150.00	0.5	0.75
	ACCOUNT #: LSR010889	BUY 1514 Units @9.9100						
01/29/2018	***-**-656I - SMOLA, STANLEY	CAPITAL APPRECIATION C	0.00	10.00	0.00	10.00	0.5	0.05
	ACCOUNT #: LSR010868	BUY 1 Units @0.0000						
01/22/2018	***-**-361J - ALOISIO,	CREDIT SUISSE GROUP SPON ADR-REP 1	3,856.00	60.99	0.00	60.99	0.5	0.30
	ACCOUNT #: LSR010864	SELL 200 Units @19.2800						
01/22/2018	***-**-361J - ALOISIO,	CREDIT SUISSE GROUP SPON ADR-REP 1	4,817.50	67.49	0.00	67.49	0.5	0.34
	ACCOUNT #: LSR010886	SELL 250 Units @19.2700						
01/22/2018	***-**-53TR - SABANOSH, ALAN R	CREDIT SUISSE GROUP SPON ADR-REP 1	3,856.20	48.49	0.00	48.49	0.5	0.24
	ACCOUNT #: LSR010917	SELL 200 Units @19.2810						
01/23/2018	***-**-423I - SAVICKI, RICHARD	CREDIT SUISSE GROUP SPON ADR-REP 1	3,850.60	58.49	0.00	58.49	0.5	0.29
	ACCOUNT #: LSR010889	SELL 200 Units @19.2530						
01/23/2018	***-**-60IN - SCHRADER, KEVIN	CREDIT SUISSE GROUP SPON ADR-REP 1	1,925.00	21.75	0.00	21.75	0.5	0.11
	ACCOUNT #: LSR010897	SELL 100 Units @19.2500						
01/23/2018	***-**-60IN - SCHRADER, KEVIN	CREDIT SUISSE GROUP SPON ADR-REP 1	1,925.00	36.75	0.00	36.75	0.5	0.18
	ACCOUNT #: LSR010897	SELL 100 Units @19.2500						
01/22/2018	***-**-361J - ALOISIO,	DENBURY RES INC DEL COM USD0.001	2,480.00	22.49	0.00	22.49	0.5	0.11
	ACCOUNT #: LSR010864	SELL 1000 Units @2.4800						



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<u>VERRIDE TRANSACTIONS (continued)</u>								
<u>BROKER: DAVID GRIFFITH (continued)</u>								
01/22/2018	***-**-361J - ALOISIO, ACCOUNT #: LSR010886	DENBURY RES INC DEL COM USD0.001 SELL 1000 Units @2.4600	2,460.00	22.49	0.00	22.49	0.5	0.11
01/29/2018	***-**-077I - GAUTHIER, LOUIS ACCOUNT #: LSR010901	EQUITY INCOME FUND, INC. A BUY 1 Units @0.0000	0.00	1.59	0.00	1.59	0.5	0.01
01/29/2018	***-**-41IN - HULL, ELMINA ACCOUNT #: LSR010999	EQUITY INCOME FUND, INC. A BUY 1 Units @0.0000	0.00	3.85	0.00	3.85	0.5	0.02
01/29/2018	***-**-369I - DAVIS, BRUCE ACCOUNT #: LSR011029	EQUITY INCOME FUND, INC. A BUY 1 Units @0.0000	0.00	2.01	0.00	2.01	0.5	0.01
01/29/2018	***-**-718J - LOWE, GREGORY ACCOUNT #: LSR011914	EQUITY INCOME FUND, INC. A BUY 1 Units @0.0000	0.00	1.22	0.00	1.22	0.5	0.01
01/29/2018	***-**-61IN - GORCZYNSKI, ACCOUNT #: LSR010844	GLOBAL OPPORTUNITIES FUND C BUY 1 Units @0.0000	0.00	50.92	0.00	50.92	0.5	0.25
01/29/2018	***-**-319I - HILLEBRAND, JOAN ACCOUNT #: LSR011002	INTERNATIONAL DIVERSIFIED FUND B BUY 1 Units @0.0000	0.00	4.10	0.00	4.10	0.5	0.02
01/29/2018	***-**-077I - GAUTHIER, LOUIS ACCOUNT #: LSR010901	INTERNATIONAL GROWTH FUND A BUY 1 Units @0.0000	0.00	2.09	0.00	2.09	0.5	0.01
01/29/2018	***-**-656I - SMOLA, STANLEY ACCOUNT #: LSR010868	INTERNATIONAL GROWTH FUND C BUY 1 Units @0.0000	0.00	9.86	0.00	9.86	0.5	0.05
01/29/2018	***-**-0770 - GAUTHIER, LOUIS ACCOUNT #: 828693	MASS MUTUAL VA TRAILS BUY 1 Units @0.0000	0.00	4.13	0.00	4.13	0.5	0.02
01/10/2018	***-**-686I - STRUMPFLER, MARK ACCOUNT #: 00060352385	MFS UTILITIES FUND-B BUY 4 Units @20.0400	75.00	3.00	0.00	3.00	0.5	0.02
01/29/2018	***-**-656I - SMOLA, STANLEY ACCOUNT #: LSR010868	MUTUAL SHRS FND - CL C BUY 1 Units @0.0000	0.00	2.15	0.00	2.15	0.5	0.01
01/22/2018	***-**-423I - SAVICKI, RICHARD ACCOUNT #: LSR010889	NATIONAL GRID SPON ADR EACH REP 5 O BUY 100 Units @57.9900	5,799.00	71.75	0.00	71.75	0.5	0.36
01/22/2018	***-**-423I - SAVICKI, RICHARD ACCOUNT #: LSR010889	NATIONAL GRID SPON ADR EACH REP 5 O BUY 100 Units @57.9700	5,797.00	86.75	0.00	86.75	0.5	0.43
01/24/2018	***-**-57IN - DIPERNA, ROBERT ACCOUNT #: LSR011053	NORDIC AMERICAN TANKERS LIMITE COM BUY 700 Units @2.5400	1,778.00	18.49	0.00	18.49	0.5	0.09
01/29/2018	***-**-077I - GAUTHIER, LOUIS ACCOUNT #: LSR010901	OPP PORT SERIES: ACTIVE ALLOC A BUY 1 Units @0.0000	0.00	2.45	0.00	2.45	0.5	0.01



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<u> OVERRIDE TRANSACTIONS (continued) </u>								
<u> BROKER: DAVID GRIFFITH (continued) </u>								
01/29/2018	***-**-61IN - GORCZYNSKI, ACCOUNT #: LSR010844	OPPENHEIMER GBL REAL ESTATE FUND C BUY 1 Units @0.0000	0.00	13.89	0.00	13.89	0.5	0.07
01/29/2018	***-**-656I - SMOLA, STANLEY ACCOUNT #: LSR010868	OPPENHEIMER GBL REAL ESTATE FUND C BUY 1 Units @0.0000	0.00	3.48	0.00	3.48	0.5	0.02
01/29/2018	***-**-61IN - GORCZYNSKI, ACCOUNT #: LSR010844	OPPENHEIMER INTERNATIONAL DIVERSIFI BUY 1 Units @0.0000	0.00	41.32	0.00	41.32	0.5	0.21
01/29/2018	***-**-621I - DANIELS SR, JOHN ACCOUNT #: LSR010950	OPPENHEIMER SMALL & MID CAP VALUE F BUY 1 Units @0.0000	0.00	4.20	0.00	4.20	0.5	0.02
01/22/2018	***-**-361J - ALOISIO, ACCOUNT #: LSR010864	PETROLEO BRASILEIRO SA PETROBRAS SP SELL 200 Units @11.5000	2,300.00	30.99	0.00	30.99	0.5	0.15
01/22/2018	***-**-361J - ALOISIO, ACCOUNT #: LSR010886	PETROLEO BRASILEIRO SA PETROBRAS SP SELL 250 Units @11.5300	2,882.50	49.99	0.00	49.99	0.5	0.25
01/29/2018	***-**-369J - DAVIS, BRUCE ACCOUNT #: LSR011027	PUTNAM UTILITIES GROWTH AND INCOME BUY 1 Units @0.0000	0.00	2.20	0.00	2.20	0.5	0.01
01/29/2018	***-**-355I - CRIMMINS, KAREN ACCOUNT #: LSR011077	PUTNAM 1 BUY 1 Units @0.0000	0.00	1.76	0.00	1.76	0.5	0.01
01/29/2018	***-**-187I - WASZKIEWICZ, FBO ACCOUNT #: LSR011144	PUTNAM 1 BUY 1 Units @0.0000	0.00	1.61	0.00	1.61	0.5	0.01
01/29/2018	***-**-231J - MISHLANIE JR, ACCOUNT #: LSR010927	PUTNAM CAPITAL SPECTRUM FD CL B BUY 1 Units @0.0000	0.00	2.53	0.00	2.53	0.5	0.01
01/29/2018	***-**-91IR - DAMSKY, MELISSA ACCOUNT #: LSR010928	PUTNAM CAPITAL SPECTRUM FD CL B BUY 1 Units @0.0000	0.00	1.04	0.00	1.04	0.5	0.01
01/29/2018	***-**-869I - CASEY, JOHN ACCOUNT #: LSR011323	PUTNAM CAPITAL SPECTRUM FD CL B BUY 1 Units @0.0000	0.00	1.24	0.00	1.24	0.5	0.01
01/29/2018	***-**-973I - CHAMBERS, ROGER ACCOUNT #: LSR011018	PUTNAM CAPITAL SPECTRUM FUND CL C BUY 1 Units @0.0000	0.00	12.54	0.00	12.54	0.5	0.06
01/29/2018	***-**-21IN - DANIELS, JOHN ACCOUNT #: LSR010967	PUTNAM DIVERSIFIED INCOME-B BUY 1 Units @0.0000	0.00	2.62	0.00	2.62	0.5	0.01
01/29/2018	***-**-41IN - HULL, ELMINA ACCOUNT #: LSR010999	PUTNAM DIVERSIFIED INCOME-B BUY 1 Units @0.0000	0.00	6.05	0.00	6.05	0.5	0.03
01/29/2018	***-**-21IN - DANIELS, JOHN ACCOUNT #: LSR010967	PUTNAM EQUITY INCOME FUND-B BUY 1 Units @0.0000	0.00	4.68	0.00	4.68	0.5	0.02



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<u> OVERRIDE TRANSACTIONS (continued) </u>								
<u> BROKER: DAVID GRIFFITH (continued) </u>								
01/29/2018	***-**-355I - CRIMMINS, KAREN	PUTNAM EQUITY INCOME FUND-B	0.00	1.12	0.00	1.12	0.5	0.01
	ACCOUNT #: LSR011077	BUY 1 Units @0.0000						
01/29/2018	***-**-187I - WASZKIEWICZ, FBO	PUTNAM EQUITY INCOME FUND-B	0.00	2.18	0.00	2.18	0.5	0.01
	ACCOUNT #: LSR011144	BUY 1 Units @0.0000						
01/29/2018	***-**-753I - SABANOSH, ALAN	PUTNAM EUROPE EQUITY CLASS C	0.00	16.68	0.00	16.68	0.5	0.08
	ACCOUNT #: LSR010909	BUY 1 Units @0.0000						
01/29/2018	***-**-53TR - SABANOSH, ALAN R	PUTNAM EUROPE EQUITY CLASS C	0.00	11.59	0.00	11.59	0.5	0.06
	ACCOUNT #: LSR010917	BUY 1 Units @0.0000						
01/29/2018	***-**-467J - PICKARD, BRIAN	PUTNAM EUROPE EQUITY CLASS C	0.00	8.94	0.00	8.94	0.5	0.04
	ACCOUNT #: LSR010943	BUY 1 Units @0.0000						
01/29/2018	***-**-231J - MISHLANIE JR,	PUTNAM EUROPE EQUITY FUND-B	0.00	1.34	0.00	1.34	0.5	0.01
	ACCOUNT #: LSR010927	BUY 1 Units @0.0000						
01/29/2018	***-**-21IN - DANIELS, JOHN	PUTNAM EUROPE EQUITY FUND-B	0.00	1.36	0.00	1.36	0.5	0.01
	ACCOUNT #: LSR010967	BUY 1 Units @0.0000						
01/29/2018	***-**-29IO - LORUSSO, VINCENT	PUTNAM EUROPE EQUITY FUND-B	0.00	1.31	0.00	1.31	0.5	0.01
	ACCOUNT #: LSR011681	BUY 1 Units @0.0000						
01/29/2018	***-**-355I - CRIMMINS, KAREN	PUTNAM FLOATING RATE INCOME CL B	0.00	1.07	0.00	1.07	0.5	0.01
	ACCOUNT #: LSR011077	BUY 1 Units @0.0000						
01/29/2018	***-**-21IN - DANIELS, JOHN	PUTNAM GLOBAL NAT RESOURCES-B	0.00	1.53	0.00	1.53	0.5	0.01
	ACCOUNT #: LSR010967	BUY 1 Units @0.0000						
01/29/2018	***-**-34IN - SHEFFER, EUGENE	PUTNAM GLOBAL NAT RESOURCES-B	0.00	1.62	0.00	1.62	0.5	0.01
	ACCOUNT #: LSR011000	BUY 1 Units @0.0000						
01/29/2018	***-**-187I - WASZKIEWICZ, FBO	PUTNAM GLOBAL NAT RESOURCES-B	0.00	1.13	0.00	1.13	0.5	0.01
	ACCOUNT #: LSR011144	BUY 1 Units @0.0000						
01/29/2018	***-**-41TR - DAMSKY, BARRY	PUTNAM GLOBAL NAT RESOURCES-B	0.00	2.35	0.00	2.35	0.5	0.01
	ACCOUNT #: LSR011340	BUY 1 Units @0.0000						
01/29/2018	***-**-753I - SABANOSH, ALAN	PUTNAM GLOBAL UTILITIES CL C	0.00	5.59	0.00	5.59	0.5	0.03
	ACCOUNT #: LSR010909	BUY 1 Units @0.0000						
01/29/2018	***-**-369I - DAVIS, BRUCE	PUTNAM INTERNATIONAL EQUITY-A	0.00	1.31	0.00	1.31	0.5	0.01
	ACCOUNT #: LSR011029	BUY 1 Units @0.0000						
01/29/2018	***-**-61IN - GORCZYNSKI,	PUTNAM MID-CAP VALUE FUND-C	0.00	50.72	0.00	50.72	0.5	0.25
	ACCOUNT #: LSR010844	BUY 1 Units @0.0000						



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<u> OVERRIDE TRANSACTIONS (continued) </u>								
<u> BROKER: DAVID GRIFFITH (continued) </u>								
01/29/2018	***-**-231J - MISHLANIE JR, ACCOUNT #: LSR010927	PUTNAM UTILITIES GR & INC-B BUY 1 Units @0.0000	0.00	3.53	0.00	3.53	0.5	0.02
01/29/2018	***-**-369I - DAVIS, BRUCE ACCOUNT #: LSR011029	PUTNAM UTILITIES GR & INC-B BUY 1 Units @0.0000	0.00	1.60	0.00	1.60	0.5	0.01
01/29/2018	***-**-29IO - LORUSSO, VINCENT ACCOUNT #: LSR011681	PUTNAM UTILITIES GR & INC-B BUY 1 Units @0.0000	0.00	1.94	0.00	1.94	0.5	0.01
01/29/2018	***-**-76IR - BOSHART-LOWE, ACCOUNT #: LSR011841	PUTNAM UTILITIES GR & INC-B BUY 1 Units @0.0000	0.00	1.25	0.00	1.25	0.5	0.01
01/29/2018	***-**-231J - MISHLANIE JR, ACCOUNT #: LSR010927	QUEST BALANCED B BUY 1 Units @0.0000	0.00	3.30	0.00	3.30	0.5	0.02
01/29/2018	***-**-29IN - THIBAUT, ACCOUNT #: LSR011094	QUEST BALANCED FUND C BUY 1 Units @0.0000	0.00	10.23	0.00	10.23	0.5	0.05
01/29/2018	***-**-24TR - SCOTELLARO, L ACCOUNT #: LSR010973	QUEST INTERNATIONAL VALUE FUND, INC BUY 1 Units @0.0000	0.00	3.91	0.00	3.91	0.5	0.02
01/29/2018	***-**-61IN - GORCZYNSKI, ACCOUNT #: LSR010844	QUEST INTERNATIONAL VALUE FUND, INC BUY 1 Units @0.0000	0.00	41.90	0.00	41.90	0.5	0.21
01/10/2018	***-**-29IN - THIBAUT, ACCOUNT #: 05920285846	REAL ESTATE FUND C BUY 0 Units @0.0000	100.00	1.00	0.00	1.00	0.5	0.01
01/29/2018	***-**-077I - GAUTHIER, LOUIS ACCOUNT #: LSR010901	RISING DIVIDENDS FUND A BUY 1 Units @0.0000	0.00	2.13	0.00	2.13	0.5	0.01
01/29/2018	***-**-474J - HAGAN JR, ACCOUNT #: LSR010993	RISING DIVIDENDS FUND A BUY 1 Units @0.0000	0.00	1.52	0.00	1.52	0.5	0.01
01/29/2018	***-**-01IN - HAGAN III, ACCOUNT #: LSR011014	RISING DIVIDENDS FUND A BUY 1 Units @0.0000	0.00	2.05	0.00	2.05	0.5	0.01
01/29/2018	***-**-369I - DAVIS, BRUCE ACCOUNT #: LSR011029	RISING DIVIDENDS FUND A BUY 1 Units @0.0000	0.00	2.44	0.00	2.44	0.5	0.01
01/29/2018	***-**-05IN - HULL, JEFFERY ACCOUNT #: LSR011187	SENIOR FLOATING RATE FUND C BUY 1 Units @0.0000	0.00	8.52	0.00	8.52	0.5	0.04
01/29/2018	***-**-21IN - DANIELS, JOHN ACCOUNT #: LSR010967	SMALL- & MID-CAP GROWTH FUND A BUY 1 Units @0.0000	0.00	2.42	0.00	2.42	0.5	0.01
01/29/2018	***-**-25IN - PERRITANO, ACCOUNT #: LSR010924	TA ASSET ALLOC MODERATE PORT CL A BUY 1 Units @0.0000	0.00	1.88	0.00	1.88	0.5	0.01



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 OVERRIDE TRANSACTIONS (continued) 								
 <u>BROKER: DAVID GRIFFITH (continued)</u> 								
01/29/2018	***-**-423I - SAVICKI, RICHARD	TEMPLETON EMERGING MARKETS BALANCED	0.00	8.33	0.00	8.33	0.5	0.04
	ACCOUNT #: LSR010889	BUY 1 Units @0.0000						
01/29/2018	***-**-425I - PERRITANO,	TEMPLETON EMERGING MARKETS BALANCED	0.00	12.85	0.00	12.85	0.5	0.06
	ACCOUNT #: LSR010922	BUY 1 Units @0.0000						
01/29/2018	***-**-319I - HILLEBRAND, JOAN	TEMPLETON EMERGING MARKETS BALANCED	0.00	9.27	0.00	9.27	0.5	0.05
	ACCOUNT #: LSR011002	BUY 1 Units @0.0000						
01/29/2018	***-**-973I - CHAMBERS, ROGER	TEMPLETON GLOBAL BOND FUND - CLASS	0.00	6.04	0.00	6.04	0.5	0.03
	ACCOUNT #: LSR011018	BUY 1 Units @0.0000						
01/29/2018	***-**-05IN - HULL, JEFFERY	TEMPLETON GLOBAL BOND FUND - CLASS	0.00	4.42	0.00	4.42	0.5	0.02
	ACCOUNT #: LSR011187	BUY 1 Units @0.0000						
01/29/2018	***-**-94UT - MISHLANIE,	TRANSAMERICA BALANCED - A	0.00	4.62	0.00	4.62	0.5	0.02
	ACCOUNT #: LSR010931	BUY 1 Units @0.0000						
01/29/2018	***-**-41IN - HULL, ELMINA	TRANSAMERICA MLP & ENERGY INCOME CL	0.00	4.29	0.00	4.29	0.5	0.02
	ACCOUNT #: LSR010999	BUY 1 Units @0.0000						
01/29/2018	***-**-41IN - HULL, ELMINA	TRANSAMERICA MULT MAN ALT	0.00	3.48	0.00	3.48	0.5	0.02
	ACCOUNT #: LSR010999	BUY 1 Units @0.0000						
01/29/2018	***-**-08TR - SCOTELLARO III,	TRANSAMERICA SHORT-TERM BOND CL A	0.00	1.33	0.00	1.33	0.5	0.01
	ACCOUNT #: LSR010975	BUY 1 Units @0.0000						
01/29/2018	***-**-656I - SMOLA, STANLEY	VOYA GLOBAL REAL ESTATE CLASS C	0.00	6.01	0.00	6.01	0.5	0.03
	ACCOUNT #: LSR010868	BUY 1 Units @0.0000						
 * DAVID GRIFFITH SUBTOTAL * 			\$71,016.80	\$1,329.29	\$0.00	\$1,329.29		\$6.66
 <u>BROKER: KENT MCNARY</u> 								
01/29/2018	***-**-644I - BERKOWITZ, LINDA	JPMORGAN DIVERSIFIED CLASS C	0.00	12.20	0.00	12.20	0.5	0.06
	ACCOUNT #: LSR011327	BUY 1 Units @0.0000						
01/29/2018	***-**-644I - BERKOWITZ, LINDA	JPMORGAN DIVERSIFIED CLASS C	0.00	4.07	0.00	4.07	0.5	0.02
	ACCOUNT #: LSR011327	BUY 1 Units @0.0000						
01/29/2018	***-**-286I - MCNARY, FBO	MAIN STREET FUND A	0.00	1.67	0.00	1.67	0.5	0.01
	ACCOUNT #: LSR011118	BUY 1 Units @0.0000						
 * KENT MCNARY SUBTOTAL * 			\$0.00	\$17.94	\$0.00	\$17.94		\$0.09



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<u> OVERRIDE TRANSACTIONS (continued) </u>								
<u>BROKER: PAUL AGLIATA</u>								
01/29/2018	***-**-64IO - RUIZ, HENRY ACCOUNT #: LSR011230	COHEN & STEERS REAL ESTATE SEC A BUY 1 Units @0.0000	0.00	5.24	0.00	5.24	0.5	0.03
01/29/2018	***-**-232X - STEVENS, NSPS ACCOUNT #: LSR011243	COHEN & STEERS REAL ESTATE SEC A BUY 1 Units @0.0000	0.00	10.69	0.00	10.69	0.5	0.05
01/29/2018	***-**-802X - SWAIN, TRACEY ACCOUNT #: LSR011245	COHEN & STEERS REAL ESTATE SEC A BUY 1 Units @0.0000	0.00	10.69	0.00	10.69	0.5	0.05
01/29/2018	***-**-02IN - SWAIN, TRACEY ACCOUNT #: LSR011246	COHEN & STEERS REAL ESTATE SEC A BUY 1 Units @0.0000	0.00	4.27	0.00	4.27	0.5	0.02
01/29/2018	***-**-32IR - STEVENS, KEVIN ACCOUNT #: LSR011312	COHEN & STEERS REAL ESTATE SEC A BUY 1 Units @0.0000	0.00	1.63	0.00	1.63	0.5	0.01
01/29/2018	***-**-632J - STEVENS, KEVIN ACCOUNT #: LSR011316	COHEN & STEERS REAL ESTATE SEC A BUY 1 Units @0.0000	0.00	8.22	0.00	8.22	0.5	0.04
01/29/2018	***-**-32IR - STEVENS, ACCOUNT #: LSR011487	COHEN & STEERS REAL ESTATE SEC A BUY 1 Units @0.0000	0.00	1.55	0.00	1.55	0.5	0.01
01/29/2018	***-**-853I - MCGILL, YVONNE ACCOUNT #: LSR011719	COHEN & STEERS REAL ESTATE SEC A BUY 1 Units @0.0000	0.00	1.10	0.00	1.10	0.5	0.01
01/29/2018	***-**-853O - MCGILL, TOD ACCOUNT #: LSR011720	COHEN & STEERS REAL ESTATE SEC A BUY 1 Units @0.0000	0.00	6.16	0.00	6.16	0.5	0.03
01/29/2018	***-**-64IO - RUIZ, HENRY ACCOUNT #: LSR011230	FRANKLIN INCOME FUND CLASS A BUY 1 Units @0.0000	0.00	3.18	0.00	3.18	0.5	0.02
01/29/2018	***-**-232X - STEVENS, NSPS ACCOUNT #: LSR011243	FRANKLIN INCOME FUND CLASS A BUY 1 Units @0.0000	0.00	6.32	0.00	6.32	0.5	0.03
01/29/2018	***-**-802X - SWAIN, TRACEY ACCOUNT #: LSR011245	FRANKLIN INCOME FUND CLASS A BUY 1 Units @0.0000	0.00	6.34	0.00	6.34	0.5	0.03
01/29/2018	***-**-02IN - SWAIN, TRACEY ACCOUNT #: LSR011246	FRANKLIN INCOME FUND CLASS A BUY 1 Units @0.0000	0.00	2.34	0.00	2.34	0.5	0.01
01/29/2018	***-**-397I - KRAMER, MARK ACCOUNT #: LSR011273	FRANKLIN INCOME FUND CLASS A BUY 1 Units @0.0000	0.00	5.65	0.00	5.65	0.5	0.03
01/29/2018	***-**-632J - STEVENS, KEVIN ACCOUNT #: LSR011316	FRANKLIN INCOME FUND CLASS A BUY 1 Units @0.0000	0.00	2.34	0.00	2.34	0.5	0.01
01/29/2018	***-**-835I - BONNET, JUDITH ACCOUNT #: LSR011251	FRANKLIN INCOME FUND CLASS C BUY 1 Units @0.0000	0.00	9.18	0.00	9.18	0.5	0.05



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<u> OVERRIDE TRANSACTIONS (continued) </u>								
<u>BROKER: PAUL AGLIATA (continued)</u>								
01/29/2018	***-**-64IO - RUIZ, HENRY ACCOUNT #: LSR011230	FRANKLIN RISING DIVIDENDS FD CLASS BUY 1 Units @0.0000	0.00	5.78	0.00	5.78	0.5	0.03
01/29/2018	***-**-232X - STEVENS, NSPS ACCOUNT #: LSR011243	FRANKLIN RISING DIVIDENDS FD CLASS BUY 1 Units @0.0000	0.00	10.13	0.00	10.13	0.5	0.05
01/29/2018	***-**-802X - SWAIN, TRACEY ACCOUNT #: LSR011245	FRANKLIN RISING DIVIDENDS FD CLASS BUY 1 Units @0.0000	0.00	10.16	0.00	10.16	0.5	0.05
01/29/2018	***-**-02IN - SWAIN, TRACEY ACCOUNT #: LSR011246	FRANKLIN RISING DIVIDENDS FD CLASS BUY 1 Units @0.0000	0.00	4.53	0.00	4.53	0.5	0.02
01/29/2018	***-**-835I - BONNET, JUDITH ACCOUNT #: LSR011251	FRANKLIN RISING DIVIDENDS FD CLASS BUY 1 Units @0.0000	0.00	2.24	0.00	2.24	0.5	0.01
01/29/2018	***-**-97IN - KRAMER, MARK ACCOUNT #: LSR011272	FRANKLIN RISING DIVIDENDS FD CLASS BUY 1 Units @0.0000	0.00	24.28	0.00	24.28	0.5	0.12
01/29/2018	***-**-397I - KRAMER, MARK ACCOUNT #: LSR011273	FRANKLIN RISING DIVIDENDS FD CLASS BUY 1 Units @0.0000	0.00	10.90	0.00	10.90	0.5	0.05
01/29/2018	***-**-238X - WRIGHT, DEBORAH ACCOUNT #: LSR011278	FRANKLIN RISING DIVIDENDS FD CLASS BUY 1 Units @0.0000	0.00	8.97	0.00	8.97	0.5	0.04
01/29/2018	***-**-32IR - STEVENS, KEVIN ACCOUNT #: LSR011312	FRANKLIN RISING DIVIDENDS FD CLASS BUY 1 Units @0.0000	0.00	1.96	0.00	1.96	0.5	0.01
01/29/2018	***-**-632J - STEVENS, KEVIN ACCOUNT #: LSR011316	FRANKLIN RISING DIVIDENDS FD CLASS BUY 1 Units @0.0000	0.00	4.53	0.00	4.53	0.5	0.02
01/29/2018	***-**-234X - SCHOMP, NSPS ACCOUNT #: LSR011341	FRANKLIN RISING DIVIDENDS FD CLASS BUY 1 Units @0.0000	0.00	7.44	0.00	7.44	0.5	0.04
01/29/2018	***-**-32IR - STEVENS, ACCOUNT #: LSR011487	FRANKLIN RISING DIVIDENDS FD CLASS BUY 1 Units @0.0000	0.00	1.86	0.00	1.86	0.5	0.01
01/29/2018	***-**-853I - MCGILL, YVONNE ACCOUNT #: LSR011719	FRANKLIN RISING DIVIDENDS FD CLASS BUY 1 Units @0.0000	0.00	1.17	0.00	1.17	0.5	0.01
01/29/2018	***-**-853O - MCGILL, TOD ACCOUNT #: LSR011720	FRANKLIN RISING DIVIDENDS FD CLASS BUY 1 Units @0.0000	0.00	8.78	0.00	8.78	0.5	0.04
01/29/2018	***-**-835I - BONNET, JUDITH ACCOUNT #: LSR011251	FRK RISING DIV FND - CL C BUY 1 Units @0.0000	0.00	3.80	0.00	3.80	0.5	0.02
01/29/2018	***-**-802X - SWAIN, TRACEY ACCOUNT #: LSR011245	MORGAN STANLEY GROWTH PORT A-NFS BUY 1 Units @0.0000	0.00	7.49	0.00	7.49	0.5	0.04



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 OVERRIDE TRANSACTIONS (continued) 								
 <u>BROKER: PAUL AGLIATA (continued)</u> 								
01/29/2018	***-**-238X - WRIGHT, DEBORAH ACCOUNT #: LSR011278	MORGAN STANLEY GROWTH PORT A-NFS BUY 1 Units @0.0000	0.00	8.56	0.00	8.56	0.5	0.04
01/29/2018	***-**-8530 - MCGILL, TOD ACCOUNT #: LSR011720	MORGAN STANLEY GROWTH PORT A-NFS BUY 1 Units @0.0000	0.00	8.56	0.00	8.56	0.5	0.04
01/29/2018	***-**-64IO - RUIZ, HENRY ACCOUNT #: LSR011230	MUTUAL GLOBAL DISCOVERY FUND - CLAS BUY 1 Units @0.0000	0.00	5.18	0.00	5.18	0.5	0.03
01/29/2018	***-**-232X - STEVENS, NSPS ACCOUNT #: LSR011243	MUTUAL GLOBAL DISCOVERY FUND - CLAS BUY 1 Units @0.0000	0.00	9.81	0.00	9.81	0.5	0.05
01/29/2018	***-**-397I - KRAMER, MARK ACCOUNT #: LSR011273	MUTUAL GLOBAL DISCOVERY FUND - CLAS BUY 1 Units @0.0000	0.00	9.54	0.00	9.54	0.5	0.05
01/29/2018	***-**-64IO - RUIZ, HENRY ACCOUNT #: LSR011230	MUTUAL SERIES SHARES CLASS A BUY 1 Units @0.0000	0.00	5.24	0.00	5.24	0.5	0.03
01/29/2018	***-**-232X - STEVENS, NSPS ACCOUNT #: LSR011243	MUTUAL SERIES SHARES CLASS A BUY 1 Units @0.0000	0.00	9.97	0.00	9.97	0.5	0.05
01/29/2018	***-**-802X - SWAIN, TRACEY ACCOUNT #: LSR011245	MUTUAL SERIES SHARES CLASS A BUY 1 Units @0.0000	0.00	10.02	0.00	10.02	0.5	0.05
01/29/2018	***-**-02IN - SWAIN, TRACEY ACCOUNT #: LSR011246	MUTUAL SERIES SHARES CLASS A BUY 1 Units @0.0000	0.00	3.96	0.00	3.96	0.5	0.02
01/29/2018	***-**-397I - KRAMER, MARK ACCOUNT #: LSR011273	TEMP GLOBAL BOND FND - CL A BUY 1 Units @0.0000	0.00	8.77	0.00	8.77	0.5	0.04
01/29/2018	***-**-694I - CONNORS, BRIAN ACCOUNT #: LSR011342	TEMP GLOBAL BOND FND - CL A BUY 1 Units @0.0000	0.00	4.53	0.00	4.53	0.5	0.02
01/29/2018	***-**-835I - BONNET, JUDITH ACCOUNT #: LSR011251	TEMPLETON GLOBAL BOND FUND - CLASS BUY 1 Units @0.0000	0.00	2.75	0.00	2.75	0.5	0.01
01/29/2018	***-**-97IN - KRAMER, MARK ACCOUNT #: LSR011272	TEMPLETON GROWTH FUND CLASS A BUY 1 Units @0.0000	0.00	9.93	0.00	9.93	0.5	0.05
01/29/2018	***-**-400I - SASKOWITZ, ACCOUNT #: LSR011353	TEMPLETON GROWTH FUND CLASS A BUY 1 Units @0.0000	0.00	3.45	0.00	3.45	0.5	0.02
01/29/2018	***-**-489I - SASKOWITZ, MARY ACCOUNT #: LSR011357	TEMPLETON GROWTH FUND CLASS A BUY 1 Units @0.0000	0.00	1.03	0.00	1.03	0.5	0.01
01/29/2018	***-**-8530 - MCGILL, TOD ACCOUNT #: LSR011720	TRANSAMERICA CAPITAL GROWTH CL A BUY 1 Units @0.0000	0.00	8.92	0.00	8.92	0.5	0.04
 * PAUL AGLIATA SUBTOTAL * 			 \$0.00 	 \$309.14 	 \$0.00 	 \$309.14 		 \$1.54



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<u> OVERRIDE TRANSACTIONS (continued) </u>								
<u>BROKER: DENNIS CONNOR</u>								
01/03/2018	***-**-7753 - WERNER, ACCOUNT #: 01222976639	ALLIANZ NFJ DIVIDEND VALUE FUND CLA BUY 0 Units @0.0000	0.00	6.81	0.00	6.81	0.5	0.03
01/03/2018	***-**-3590 - HEALY, THOMAS ACCOUNT #: 01221473406	ALLIANZ NFJ INTERNATIONAL FUND CLAS BUY 0 Units @0.0000	0.00	3.43	0.00	3.43	0.5	0.02
01/03/2018	***-**-2635 - HALE, JONATHAN ACCOUNT #: 01221822669	ALLIANZ NFJ LARGE CAP VALUE FUND CL BUY 0 Units @0.0000	0.00	2.72	0.00	2.72	0.5	0.01
01/03/2018	***-**-9220 - ACCOUNT #: 01221974874	ALLIANZ NFJ LARGE CAP VALUE FUND CL BUY 0 Units @0.0000	0.00	1.79	0.00	1.79	0.5	0.01
01/03/2018	***-**-3904 - DENNIS, CONNOR ACCOUNT #: 01226314548	ALLIANZ NFJ LARGE CAP VALUE FUND CL BUY 0 Units @0.0000	0.00	3.04	0.00	3.04	0.5	0.02
01/03/2018	***-**-4572 - MELIN, LUCILLE ACCOUNT #: 01218043212	ALLIANZ NFJ LARGE CAP VALUE FUND CL BUY 0 Units @0.0000	0.00	2.91	0.00	2.91	0.5	0.01
01/03/2018	***-**-3982 - VANNI, JEANETTE ACCOUNT #: 01226790564	ALLIANZ NFJ LARGE CAP VALUE FUND CL BUY 0 Units @0.0000	0.00	4.27	0.00	4.27	0.5	0.02
01/29/2018	***-**-101I - LEMOINE, STEVEN ACCOUNT #: LSR011390	ALLIANZ NFJ LARGE CAP VALUE FUND CL BUY 1 Units @0.0000	0.00	3.89	0.00	3.89	0.5	0.02
01/29/2018	***-**-033I - KATZENBERGER, ACCOUNT #: LSR011507	ALLIANZ NFJ LARGE CAP VALUE FUND CL BUY 1 Units @0.0000	0.00	1.36	0.00	1.36	0.5	0.01
01/03/2018	***-**-6935 - FINK, GEORGE ACCOUNT #: 01215900091	ALLIANZ NFJ SMALL CAP VALUE FUND CL BUY 0 Units @0.0000	0.00	13.72	0.00	13.72	0.5	0.07
01/03/2018	***-**-1832 - WEISMAN, DORIS ACCOUNT #: 01216809861	ALLIANZ OCC RENAISSANCE FUND CLASS BUY 0 Units @0.0000	0.00	3.57	0.00	3.57	0.5	0.02
01/03/2018	***-**-2635 - HALE, JONATHAN ACCOUNT #: 01221822669	ALLIANZ OCC RENAISSANCE FUND CLASS BUY 0 Units @0.0000	0.00	4.14	0.00	4.14	0.5	0.02
01/03/2018	***-**-9220 - ACCOUNT #: 01221974874	ALLIANZ OCC RENAISSANCE FUND CLASS BUY 0 Units @0.0000	0.00	4.09	0.00	4.09	0.5	0.02
01/03/2018	***-**-3904 - DENNIS, CONNOR ACCOUNT #: 01226314548	ALLIANZ OCC RENAISSANCE FUND CLASS BUY 0 Units @0.0000	0.00	4.83	0.00	4.83	0.5	0.02
01/03/2018	***-**-3754 - MAHER, EDWARD ACCOUNT #: 01216556629	ALLIANZ OCC RENAISSANCE FUND CLASS BUY 0 Units @0.0000	0.00	2.59	0.00	2.59	0.5	0.01
01/03/2018	***-**-4572 - MELIN, LUCILLE ACCOUNT #: 01218043212	ALLIANZ OCC RENAISSANCE FUND CLASS BUY 0 Units @0.0000	0.00	4.68	0.00	4.68	0.5	0.02



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<u>VERRIDE TRANSACTIONS (continued)</u>								
<u>BROKER: DENNIS CONNOR (continued)</u>								
01/03/2018	***-**-3982 - VANNI, JEANETTE	ALLIANZ OCC RENAISSANCE FUND CLASS	0.00	2.57	0.00	2.57	0.5	0.01
	ACCOUNT #: 01226790564	BUY 0 Units @0.0000						
01/29/2018	***-**-101I - LEMOINE, STEVEN	ALLIANZ OCC RENAISSANCE FUND CLASS	0.00	5.76	0.00	5.76	0.5	0.03
	ACCOUNT #: LSR011390	BUY 1 Units @0.0000						
01/29/2018	***-**-033I - KATZENBERGER,	ALLIANZ OCC RENAISSANCE FUND CLASS	0.00	2.09	0.00	2.09	0.5	0.01
	ACCOUNT #: LSR011507	BUY 1 Units @0.0000						
01/29/2018	***-**-70IN - CUTILLO, JAMES	ALLIANZ OCC RENAISSANCE FUND CLASS	0.00	1.91	0.00	1.91	0.5	0.01
	ACCOUNT #: LSR011647	BUY 1 Units @0.0000						
01/03/2018	***-**-3590 - HEALY, THOMAS	ALLIANZ RCM GLOBAL SMALL-CAP FUND C	0.00	12.76	0.00	12.76	0.5	0.06
	ACCOUNT #: 01216265361	BUY 0 Units @0.0000						
01/03/2018	***-**-4572 - MELIN, LUCILLE	ALLIANZ RCM GLOBAL SMALL-CAP FUND C	0.00	2.97	0.00	2.97	0.5	0.01
	ACCOUNT #: 01218043212	BUY 0 Units @0.0000						
01/03/2018	***-**-4110 - KAVANAGH,	ALLIANZGI HEALTH SCIENCES A	0.00	10.25	0.00	10.25	0.5	0.05
	ACCOUNT #: 01219780457	BUY 0 Units @0.0000						
01/29/2018	***-**-6710 - EVA JAYNE	ALLIANZGI ULTRA MICRO CAP CL A	0.00	1.28	0.00	1.28	0.5	0.01
	ACCOUNT #: LSR011403	BUY 1 Units @0.0000						
01/29/2018	***-**-1832 - WEISMAN, DORIS	BLACKROCK 09251M108	0.00	6.17	0.00	6.17	0.5	0.03
	ACCOUNT #: LSR011330	BUY 1 Units @0.0000						
01/29/2018	***-**-101I - LEMOINE, STEVEN	BLACKROCK 09251M108	0.00	2.50	0.00	2.50	0.5	0.01
	ACCOUNT #: LSR011390	BUY 1 Units @0.0000						
01/29/2018	***-**-3590 - HEALY, THOMAS	BLACKROCK 09251M108	0.00	1.75	0.00	1.75	0.5	0.01
	ACCOUNT #: LSR011524	BUY 1 Units @0.0000						
01/29/2018	***-**-101I - LEMOINE, STEVEN	BLACKROCK FLOATING RATE INC PORT IN	0.00	1.23	0.00	1.23	0.5	0.01
	ACCOUNT #: LSR011390	BUY 1 Units @0.0000						
01/29/2018	***-**-1832 - WEISMAN, DORIS	BLACKROCK GLBL SCI & TECH OPPORT CL	0.00	5.30	0.00	5.30	0.5	0.03
	ACCOUNT #: LSR011330	BUY 1 Units @0.0000						
01/29/2018	***-**-1832 - WEISMAN, DORIS	BLACKROCK GLOBAL ALLOCATION FUND IN	0.00	3.15	0.00	3.15	0.5	0.02
	ACCOUNT #: LSR011330	BUY 1 Units @0.0000						
01/29/2018	***-**-101I - LEMOINE, STEVEN	BLACKROCK GLOBAL DIVIDEND PORT CL A	0.00	2.14	0.00	2.14	0.5	0.01
	ACCOUNT #: LSR011390	BUY 1 Units @0.0000						
01/29/2018	***-**-101I - LEMOINE, STEVEN	BLACKROCK GLOBAL SMALL CAP FD CL A	0.00	7.19	0.00	7.19	0.5	0.04
	ACCOUNT #: LSR011390	BUY 1 Units @0.0000						



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<u> OVERRIDE TRANSACTIONS (continued) </u>								
<u> BROKER: DENNIS CONNOR (continued) </u>								
01/29/2018	***-**-101I - LEMOINE, STEVEN	BLACKROCK GNMA PORT CLASS A	0.00	1.56	0.00	1.56	0.5	0.01
	ACCOUNT #: LSR011390	BUY 1 Units @0.0000						
01/29/2018	***-**-101I - LEMOINE, STEVEN	BLACKROCK HEALTH SCIENCES FUND CLAS	0.00	11.64	0.00	11.64	0.5	0.06
	ACCOUNT #: LSR011390	BUY 1 Units @0.0000						
01/29/2018	***-**-033I - KATZENBERGER,	BLACKROCK HEALTH SCIENCES FUND CLAS	0.00	2.76	0.00	2.76	0.5	0.01
	ACCOUNT #: LSR011507	BUY 1 Units @0.0000						
01/29/2018	***-**-359O - HEALY, THOMAS	BLACKROCK HEALTH SCIENCES FUND CLAS	0.00	2.13	0.00	2.13	0.5	0.01
	ACCOUNT #: LSR011524	BUY 1 Units @0.0000						
01/29/2018	***-**-70IN - CUTILLO, JAMES	BLACKROCK HEALTH SCIENCES FUND CLAS	0.00	1.17	0.00	1.17	0.5	0.01
	ACCOUNT #: LSR011647	BUY 1 Units @0.0000						
01/29/2018	***-**-101I - LEMOINE, STEVEN	BLACKROCK HIGH YIELD BOND FUND CLAS	0.00	3.21	0.00	3.21	0.5	0.02
	ACCOUNT #: LSR011390	BUY 1 Units @0.0000						
01/29/2018	***-**-359O - HEALY, THOMAS	BLACKROCK HIGH YIELD BOND FUND CLAS	0.00	1.37	0.00	1.37	0.5	0.01
	ACCOUNT #: LSR011524	BUY 1 Units @0.0000						
01/29/2018	***-**-101I - LEMOINE, STEVEN	BLACKROCK INVESTMENT GRADE BOND POR	0.00	1.64	0.00	1.64	0.5	0.01
	ACCOUNT #: LSR011390	BUY 1 Units @0.0000						
01/29/2018	***-**-101I - LEMOINE, STEVEN	BLACKROCK MULTI ASSET INCOME PORT A	0.00	3.15	0.00	3.15	0.5	0.02
	ACCOUNT #: LSR011390	BUY 1 Units @0.0000						
01/29/2018	***-**-101I - LEMOINE, STEVEN	BLACKROCK STRATEGIC INC OPP PORT CL	0.00	1.19	0.00	1.19	0.5	0.01
	ACCOUNT #: LSR011390	BUY 1 Units @0.0000						
01/29/2018	***-**-1832 - WEISMAN, DORIS	BLACKROCK US OPPORT CL A	0.00	7.27	0.00	7.27	0.5	0.04
	ACCOUNT #: LSR011330	BUY 1 Units @0.0000						
01/29/2018	***-**-101I - LEMOINE, STEVEN	CALAMOS GROWTH AND INCOME CLASS A	0.00	7.55	0.00	7.55	0.5	0.04
	ACCOUNT #: LSR011390	BUY 1 Units @0.0000						
01/29/2018	***-**-101I - LEMOINE, STEVEN	CALAMOS GROWTH FUND CLASS A	0.00	8.18	0.00	8.18	0.5	0.04
	ACCOUNT #: LSR011390	BUY 1 Units @0.0000						
01/29/2018	***-**-033I - KATZENBERGER,	CALAMOS GROWTH FUND CLASS A	0.00	4.52	0.00	4.52	0.5	0.02
	ACCOUNT #: LSR011507	BUY 1 Units @0.0000						
01/29/2018	***-**-101I - LEMOINE, STEVEN	CALAMOS HIGH INCOME CLASS A	0.00	4.96	0.00	4.96	0.5	0.02
	ACCOUNT #: LSR011390	BUY 1 Units @0.0000						
01/26/2018	***-**-359O - HEALY, THOMAS	CALAMOS TRAILS	0.00	25.40	0.00	25.40	0.5	0.13
	ACCOUNT #: 06020002347	BUY 0 Units @0.0000						



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<u> OVERRIDE TRANSACTIONS (continued) </u>								
<u>BROKER: DENNIS CONNOR (continued)</u>								
01/26/2018	***-**-3754 - MAHER, EDWARD	CALAMOS TRAILS	0.00	8.22	0.00	8.22	0.5	0.04
	ACCOUNT #: 06020007502	BUY 0 Units @0.0000						
01/26/2018	***-**-6935 - FINK, GEORGE	CALAMOS TRAILS	0.00	22.48	0.00	22.48	0.5	0.11
	ACCOUNT #: 06020010270	BUY 0 Units @0.0000						
01/26/2018	***-**-5276 - JENNERICH,	CALAMOS TRAILS	0.00	4.94	0.00	4.94	0.5	0.02
	ACCOUNT #: 06020015450	BUY 0 Units @0.0000						
01/26/2018	***-**-2671 - LAPHAM, JOHN	CALAMOS TRAILS	0.00	5.81	0.00	5.81	0.5	0.03
	ACCOUNT #: 06020018728	BUY 0 Units @0.0000						
01/26/2018	***-**-7193 - GALE, WALTER	CALAMOS TRAILS	0.00	2.24	0.00	2.24	0.5	0.01
	ACCOUNT #: 06020020185	BUY 0 Units @0.0000						
01/26/2018	***-**-5276 - JENNERICH,	CALAMOS TRAILS	0.00	3.36	0.00	3.36	0.5	0.02
	ACCOUNT #: 06020021674	BUY 0 Units @0.0000						
01/26/2018	***-**-0804 - GALE, MARY	CALAMOS TRAILS	0.00	1.24	0.00	1.24	0.5	0.01
	ACCOUNT #: 06020026130	BUY 0 Units @0.0000						
01/26/2018	***-**-7560 - ELLEN, BEVERLY	CALAMOS TRAILS	0.00	4.72	0.00	4.72	0.5	0.02
	ACCOUNT #: 06020026581	BUY 0 Units @0.0000						
01/26/2018	***-**-4303 - OSBORNE,	CALAMOS TRAILS	0.00	3.62	0.00	3.62	0.5	0.02
	ACCOUNT #: 01460045182	BUY 0 Units @0.0000						
01/26/2018	***-**-3904 - DENNIS, CONNOR	CALAMOS TRAILS	0.00	5.87	0.00	5.87	0.5	0.03
	ACCOUNT #: 01460045226	BUY 0 Units @0.0000						
01/26/2018	***-**-1832 - WEISMAN, DORIS	CALAMOS TRAILS	0.00	3.72	0.00	3.72	0.5	0.02
	ACCOUNT #: 01460046868	BUY 0 Units @0.0000						
01/26/2018	***-**-3740 - KAVANAGH, KELLY	CALAMOS TRAILS	0.00	8.96	0.00	8.96	0.5	0.04
	ACCOUNT #: 01460047144	BUY 0 Units @0.0000						
01/26/2018	***-**-3590 - HEALY, THOMAS	CALAMOS TRAILS	0.00	32.59	0.00	32.59	0.5	0.16
	ACCOUNT #: 06020002347	BUY 0 Units @0.0000						
01/26/2018	***-**-9241 - PITTS, MICHAEL	CALAMOS TRAILS	0.00	9.19	0.00	9.19	0.5	0.05
	ACCOUNT #: 06020004133	BUY 0 Units @0.0000						
01/26/2018	***-**-3754 - MAHER, EDWARD	CALAMOS TRAILS	0.00	11.94	0.00	11.94	0.5	0.06
	ACCOUNT #: 06020007502	BUY 0 Units @0.0000						
01/26/2018	***-**-6935 - FINK, GEORGE	CALAMOS TRAILS	0.00	24.97	0.00	24.97	0.5	0.12
	ACCOUNT #: 06020010270	BUY 0 Units @0.0000						



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<u>VERRIDE TRANSACTIONS (continued)</u>								
<u>BROKER: DENNIS CONNOR (continued)</u>								
01/26/2018	***-**-5276 - JENNERICH, ACCOUNT #: 06020015450	CALAMOS TRAILS BUY 0 Units @0.0000	0.00	8.40	0.00	8.40	0.5	0.04
01/26/2018	***-**-2671 - LAPHAM, JOHN ACCOUNT #: 06020018728	CALAMOS TRAILS BUY 0 Units @0.0000	0.00	9.36	0.00	9.36	0.5	0.05
01/26/2018	***-**-2635 - HALE, JONATHAN ACCOUNT #: 06020019229	CALAMOS TRAILS BUY 0 Units @0.0000	0.00	4.45	0.00	4.45	0.5	0.02
01/26/2018	***-**-7193 - GALE, WALTER ACCOUNT #: 06020020185	CALAMOS TRAILS BUY 0 Units @0.0000	0.00	6.62	0.00	6.62	0.5	0.03
01/26/2018	***-**-5276 - JENNERICH, ACCOUNT #: 06020021674	CALAMOS TRAILS BUY 0 Units @0.0000	0.00	6.12	0.00	6.12	0.5	0.03
01/26/2018	***-**-2773 - DASARO, ANN ACCOUNT #: 6020024982	CALAMOS TRAILS BUY 0 Units @0.0000	0.00	10.24	0.00	10.24	0.5	0.05
01/26/2018	***-**-0804 - GALE, MARY ACCOUNT #: 06020026130	CALAMOS TRAILS BUY 0 Units @0.0000	0.00	3.68	0.00	3.68	0.5	0.02
01/26/2018	***-**-7560 - ELLEN, BEVERLY ACCOUNT #: 06020026581	CALAMOS TRAILS BUY 0 Units @0.0000	0.00	12.34	0.00	12.34	0.5	0.06
01/26/2018	***-**-7560 - ELLEN, BEVERLY ACCOUNT #: 06020026817	CALAMOS TRAILS BUY 0 Units @0.0000	0.00	12.58	0.00	12.58	0.5	0.06
01/26/2018	***-**-3904 - DENNIS, CONNOR ACCOUNT #: 01460045226	CALAMOS TRAILS BUY 0 Units @0.0000	0.00	2.61	0.00	2.61	0.5	0.01
01/26/2018	***-**-3754 - MAHER, EDWARD ACCOUNT #: 06020007502	CALAMOS TRAILS BUY 0 Units @0.0000	0.00	4.46	0.00	4.46	0.5	0.02
01/26/2018	***-**-7193 - GALE, WALTER ACCOUNT #: 06020020185	CALAMOS TRAILS BUY 0 Units @0.0000	0.00	1.86	0.00	1.86	0.5	0.01
01/26/2018	***-**-0804 - GALE, MARY ACCOUNT #: 06020026130	CALAMOS TRAILS BUY 0 Units @0.0000	0.00	1.03	0.00	1.03	0.5	0.01
01/26/2018	***-**-3904 - DENNIS, CONNOR ACCOUNT #: 01460045226	CALAMOS TRAILS BUY 0 Units @0.0000	0.00	1.93	0.00	1.93	0.5	0.01
01/26/2018	***-**-5276 - JENNERICH, ACCOUNT #: 06020021674	CALAMOS TRAILS BUY 0 Units @0.0000	0.00	2.75	0.00	2.75	0.5	0.01
01/26/2018	***-**-6155 - LIPKOWITZ, VICKI ACCOUNT #: 06020028767	CALAMOS TRAILS BUY 0 Units @0.0000	0.00	7.90	0.00	7.90	0.5	0.04



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<u> OVERRIDE TRANSACTIONS (continued) </u>								
<u> BROKER: DENNIS CONNOR (continued) </u>								
01/26/2018	***-**-9241 - PITTS, MICHAEL	CALAMOS TRAILS	0.00	9.27	0.00	9.27	0.5	0.05
	ACCOUNT #: 06020001088	BUY 0 Units @0.0000						
01/26/2018	***-**-6155 - LIPKOWITZ, VICKI	CALAMOS TRAILS	0.00	19.27	0.00	19.27	0.5	0.10
	ACCOUNT #: 06020028767	BUY 0 Units @0.0000						
01/29/2018	***-**-04CL - CONNOR, CLIENTS	DELAWARE INV MF TRAILS	0.00	1.55	0.00	1.55	0.5	0.01
	ACCOUNT #: 6000181415	BUY 0 Units @0.0000						
01/16/2018	***-**-6155 - LIPKOWITZ, VICKI	DWS TRAILS 25157M72	0.00	1.35	0.00	1.35	0.5	0.01
	ACCOUNT #: 00000256552	BUY 0 Units @0.0000						
01/16/2018	***-**-6155 - LIPKOWITZ, VICKI	DWS TRAILS 25159G78	0.00	2.05	0.00	2.05	0.5	0.01
	ACCOUNT #: 00000256552	BUY 0 Units @0.0000						
01/10/2018	***-**-4110 - KAVANAGH,	EQUITY INCOME FUND, INC. A	37.50	1.78	0.00	1.78	0.5	0.01
	ACCOUNT #: 08352452703	BUY 0 Units @0.0000						
01/10/2018	***-**-02IN - MANCHESTER,	EQUITY INCOME FUND, INC. A	75.00	3.00	0.00	3.00	0.5	0.02
	ACCOUNT #: 08352452714	BUY 0 Units @0.0000						
01/29/2018	***-**-101I - LEMOINE, STEVEN	FEDERATED KAUFMANN FUND	0.00	11.81	0.00	11.81	0.5	0.06
	ACCOUNT #: LSR011390	BUY 1 Units @0.0000						
01/29/2018	***-**-70IN - CUTILLO, JAMES	FRK UTIL FND - CL A	0.00	1.08	0.00	1.08	0.5	0.01
	ACCOUNT #: LSR011647	BUY 1 Units @0.0000						
01/08/2018	***-**-52IN - METZLER, JANET	GLOBAL OPPORTUNITIES A	37.50	1.78	0.00	1.78	0.5	0.01
	ACCOUNT #: 02154900346	BUY 0 Units @0.0000						
01/10/2018	***-**-0075 - MEHIT, LAURA	GLOBAL OPPORTUNITIES A	21.25	1.01	0.00	1.01	0.5	0.01
	ACCOUNT #: 02156080382	BUY 0 Units @0.0000						
01/29/2018	***-**-70IN - CUTILLO, JAMES	GLOBAL OPPORTUNITIES A	0.00	2.92	0.00	2.92	0.5	0.01
	ACCOUNT #: LSR011647	BUY 1 Units @0.0000						
01/08/2018	***-**-52IN - METZLER, JANET	INTERNATIONAL GROWTH FUND A	37.50	1.78	0.00	1.78	0.5	0.01
	ACCOUNT #: 08251985687	BUY 0 Units @0.0000						
01/29/2018	***-**-1810 - STEVEN A	INTERNATIONAL GROWTH FUND A	0.00	2.29	0.00	2.29	0.5	0.01
	ACCOUNT #: LSR011388	BUY 1 Units @0.0000						
01/10/2018	***-**-02IN - MANCHESTER,	INTERNATIONAL SMALL COMPANY A	75.00	3.00	0.00	3.00	0.5	0.02
	ACCOUNT #: 08152119953	BUY 0 Units @0.0000						
01/10/2018	***-**-4110 - KAVANAGH,	INTERNATIONAL SMALL COMPANY A	37.50	1.78	0.00	1.78	0.5	0.01
	ACCOUNT #: 08152121988	BUY 0 Units @0.0000						



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<u> BROKER: DENNIS CONNOR (continued) </u>								
01/29/2018	***-**-1810 - STEVEN A ACCOUNT #: LSR011388	INTERNATIONAL SMALL COMPANY A BUY 1 Units @0.0000	0.00	3.03	0.00	3.03	0.5	0.02
01/29/2018	***-**-572I - MELIN, LUCILLE ACCOUNT #: LSR011508	INTERNATIONAL SMALL COMPANY A BUY 1 Units @0.0000	0.00	2.16	0.00	2.16	0.5	0.01
01/29/2018	***-**-101I - LEMOINE, STEVEN ACCOUNT #: LSR011390	JPMORGAN MID CAP VALUE FUND CLASS A BUY 1 Units @0.0000	0.00	13.13	0.00	13.13	0.5	0.07
01/29/2018	***-**-033I - KATZENBERGER, ACCOUNT #: LSR011507	JPMORGAN MID CAP VALUE FUND CLASS A BUY 1 Units @0.0000	0.00	5.43	0.00	5.43	0.5	0.03
01/10/2018	***-**-0075 - MEHIT, LAURA ACCOUNT #: 07005702293	MAIN STREET FUND A BUY 0 Units @0.0000	41.25	1.96	0.00	1.96	0.5	0.01
01/29/2018	***-**-1832 - WEISMAN, DORIS ACCOUNT #: LSR011330	MUTUAL EURO FND - CL A BUY 1 Units @0.0000	0.00	1.97	0.00	1.97	0.5	0.01
01/29/2018	***-**-1832 - WEISMAN, DORIS ACCOUNT #: LSR011330	MUTUAL GLOBAL DISCOVERY FUND - CLAS BUY 1 Units @0.0000	0.00	3.51	0.00	3.51	0.5	0.02
01/10/2018	***-**-0075 - MEHIT, LAURA ACCOUNT #: 07859297629	OPPENHEIMER DEVELOPING MARKETS CLAS BUY 0 Units @0.0000	21.25	1.01	0.00	1.01	0.5	0.01
01/29/2018	***-**-1832 - WEISMAN, DORIS ACCOUNT #: LSR011330	OPPENHEIMER DEVELOPING MARKETS CLAS BUY 1 Units @0.0000	0.00	4.79	0.00	4.79	0.5	0.02
01/29/2018	***-**-255I - GRAHAM, DEBORAH ACCOUNT #: LSR011397	OPPENHEIMER DISCOVERY CLASS A BUY 1 Units @0.0000	0.00	3.21	0.00	3.21	0.5	0.02
01/10/2018	***-**-02IN - MANCHESTER, ACCOUNT #: 08477443689	OPPENHEIMER MAIN STREET SMALL CAP F BUY 0 Units @0.0000	75.00	3.00	0.00	3.00	0.5	0.02
01/29/2018	***-**-4250 - KEKKONEN, ACCOUNT #: LSR011491	OPPENHEIMER ROCHEST NATIONAL MUNI C BUY 1 Units @0.0000	0.00	69.09	0.00	69.09	0.5	0.35
01/10/2018	***-**-4110 - KAVANAGH, ACCOUNT #: 02514874144	OPPENHEIMER SMALL & MID CAP VALUE F BUY 0 Units @0.0000	37.50	1.78	0.00	1.78	0.5	0.01
01/03/2018	***-**-3590 - HEALY, THOMAS ACCOUNT #: 01216265361	PIM 018919704 BUY 0 Units @0.0000	0.00	6.63	0.00	6.63	0.5	0.03
01/03/2018	***-**-3982 - VANNI, JEANETTE ACCOUNT #: 01226790564	PIM 018919704 BUY 0 Units @0.0000	0.00	6.18	0.00	6.18	0.5	0.03
01/03/2018	***-**-2844 - COMERFOND, ACCOUNT #: 01217142320	PIMCO 01880B603 BUY 0 Units @0.0000	0.00	1.07	0.00	1.07	0.5	0.01



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<u> OVERRIDE TRANSACTIONS (continued) </u>								
<u> BROKER: DENNIS CONNOR (continued) </u>								
01/03/2018	***-**-7753 - WERNER, ACCOUNT #: 01222976639	PIMCO 01880B603 BUY 0 Units @0.0000	0.00	3.43	0.00	3.43	0.5	0.02
01/03/2018	***-**-3982 - VANNI, JEANETTE ACCOUNT #: 01226790564	PIMCO 01880B603 BUY 0 Units @0.0000	0.00	2.72	0.00	2.72	0.5	0.01
01/29/2018	***-**-101I - LEMOINE, STEVEN ACCOUNT #: LSR011390	PIMCO EMERG MKTS BOND NFS BUY 1 Units @0.0000	0.00	7.35	0.00	7.35	0.5	0.04
01/29/2018	***-**-033I - KATZENBERGER, ACCOUNT #: LSR011507	PIMCO EMERG MKTS BOND NFS BUY 1 Units @0.0000	0.00	1.93	0.00	1.93	0.5	0.01
01/29/2018	***-**-101I - LEMOINE, STEVEN ACCOUNT #: LSR011390	PIMCO HIGH YIELD CLASS A BUY 1 Units @0.0000	0.00	6.88	0.00	6.88	0.5	0.03
01/29/2018	***-**-101I - LEMOINE, STEVEN ACCOUNT #: LSR011390	PIMCO LONG TERM US GOV'T BUY 1 Units @0.0000	0.00	7.19	0.00	7.19	0.5	0.04
01/29/2018	***-**-70IN - CUTILLO, JAMES ACCOUNT #: LSR011647	PIMCO REAL ESTATE REAL BUY 1 Units @0.0000	0.00	1.98	0.00	1.98	0.5	0.01
01/29/2018	***-**-671O - EVA JAYNE ACCOUNT #: LSR011403	PIMCO STOCKSPLUS SMALL FUND A BUY 1 Units @0.0000	0.00	7.02	0.00	7.02	0.5	0.04
01/29/2018	***-**-359O - HEALY, THOMAS ACCOUNT #: LSR011524	PIMCO STOCKSPLUS SMALL FUND A BUY 1 Units @0.0000	0.00	7.32	0.00	7.32	0.5	0.04
01/29/2018	***-**-6935 - FINK, GEORGE ACCOUNT #: 1215900091	PIMCO TRAILS BUY 0 Units @0.0000	0.00	10.43	0.00	10.43	0.5	0.05
01/29/2018	***-**-359O - HEALY, THOMAS	PIMCO TRAILS BUY 0 Units @0.0000	0.00	4.74	0.00	4.74	0.5	0.02
01/29/2018	***-**-7193 - GALE, WALTER ACCOUNT #: 01216556637	PIMCO TRAILS BUY 0 Units @0.0000	0.00	17.27	0.00	17.27	0.5	0.09
01/29/2018	***-**-6502 - MANCHESTER, ACCOUNT #: 1216790632	PIMCO TRAILS BUY 0 Units @0.0000	0.00	4.40	0.00	4.40	0.5	0.02
01/29/2018	***-**-1832 - WEISMAN, DORIS	PIMCO TRAILS BUY 0 Units @0.0000	0.00	4.52	0.00	4.52	0.5	0.02
01/29/2018	***-**-2844 - COMERFOND, ACCOUNT #: 01217142320	PIMCO TRAILS BUY 0 Units @0.0000	0.00	1.67	0.00	1.67	0.5	0.01
01/29/2018	***-**-4572 - MELIN, LUCILLE ACCOUNT #: 01218043212	PIMCO TRAILS BUY 0 Units @0.0000	0.00	7.54	0.00	7.54	0.5	0.04



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<u> OVERRIDE TRANSACTIONS (continued) </u>								
<u>BROKER: DENNIS CONNOR (continued)</u>								
01/29/2018	***-**-5033 - KATZENBERGER, ACCOUNT #: 01218043220	PIMCO TRAILS BUY 0 Units @0.0000	0.00	2.75	0.00	2.75	0.5	0.01
01/29/2018	***-**-4110 - KAVANAGH,	PIMCO TRAILS BUY 0 Units @0.0000	0.00	7.61	0.00	7.61	0.5	0.04
01/29/2018	***-**-2635 - HALE, JONATHAN ACCOUNT #: 1221822669	PIMCO TRAILS BUY 0 Units @0.0000	0.00	3.86	0.00	3.86	0.5	0.02
01/29/2018	***-**-3982 - VANNI, JEANETTE	PIMCO TRAILS BUY 0 Units @0.0000	0.00	2.66	0.00	2.66	0.5	0.01
01/29/2018	***-**-5276 - JENNERICH,	PIMCO TRAILS BUY 0 Units @0.0000	0.00	3.24	0.00	3.24	0.5	0.02
01/29/2018	***-**-4546 - KENNEDY, ACCOUNT #: 07050084925	PIMCO TRAILS BUY 0 Units @0.0000	0.00	1.07	0.00	1.07	0.5	0.01
01/29/2018	***-**-6935 - FINK, GEORGE ACCOUNT #: 1215900091	PIMCO TRAILS BUY 0 Units @0.0000	0.00	7.09	0.00	7.09	0.5	0.04
01/29/2018	***-**-4110 - KAVANAGH,	PIMCO TRAILS BUY 0 Units @0.0000	0.00	6.78	0.00	6.78	0.5	0.03
01/29/2018	***-**-5276 - JENNERICH,	PIMCO TRAILS BUY 0 Units @0.0000	0.00	2.59	0.00	2.59	0.5	0.01
01/29/2018	***-**-3982 - VANNI, JEANETTE	PIMCO TRAILS BUY 0 Units @0.0000	0.00	1.11	0.00	1.11	0.5	0.01
01/29/2018	***-**-3982 - VANNI, JEANETTE	PIMCO TRAILS BUY 0 Units @0.0000	0.00	7.45	0.00	7.45	0.5	0.04
01/29/2018	***-**-6935 - FINK, GEORGE ACCOUNT #: 1215900091	PIMCO TRAILS BUY 0 Units @0.0000	0.00	5.49	0.00	5.49	0.5	0.03
01/29/2018	***-**-7193 - GALE, WALTER ACCOUNT #: 01216556637	PIMCO TRAILS BUY 0 Units @0.0000	0.00	7.25	0.00	7.25	0.5	0.04
01/29/2018	***-**-4572 - MELIN, LUCILLE ACCOUNT #: 01218043212	PIMCO TRAILS BUY 0 Units @0.0000	0.00	5.13	0.00	5.13	0.5	0.03
01/29/2018	***-**-5033 - KATZENBERGER, ACCOUNT #: 01218043220	PIMCO TRAILS BUY 0 Units @0.0000	0.00	1.88	0.00	1.88	0.5	0.01
01/29/2018	***-**-3982 - VANNI, JEANETTE	PIMCO TRAILS BUY 0 Units @0.0000	0.00	1.88	0.00	1.88	0.5	0.01



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<u> OVERRIDE TRANSACTIONS (continued) </u>								
<u>BROKER: DENNIS CONNOR (continued)</u>								
01/29/2018	***-**-5276 - JENNERICH,	PIMCO TRAILS BUY 0 Units @0.0000	0.00	2.05	0.00	2.05	0.5	0.01
01/29/2018	***-**-3754 - MAHER, EDWARD	PIMCO TRAILS BUY 0 Units @0.0000	0.00	1.35	0.00	1.35	0.5	0.01
01/29/2018	***-**-3904 - DENNIS, CONNOR ACCOUNT #: 01226314548	PIMCO TRAILS BUY 0 Units @0.0000	0.00	4.10	0.00	4.10	0.5	0.02
01/29/2018	***-**-3754 - MAHER, EDWARD	PIMCO TRAILS BUY 0 Units @0.0000	0.00	1.30	0.00	1.30	0.5	0.01
01/29/2018	***-**-3904 - DENNIS, CONNOR ACCOUNT #: 01226314548	PIMCO TRAILS BUY 0 Units @0.0000	0.00	3.50	0.00	3.50	0.5	0.02
01/29/2018	***-**-3754 - MAHER, EDWARD	PIMCO TRAILS BUY 0 Units @0.0000	0.00	1.39	0.00	1.39	0.5	0.01
01/29/2018	***-**-6502 - MANCHESTER, ACCOUNT #: 1216790632	PIMCO TRAILS BUY 0 Units @0.0000	0.00	3.42	0.00	3.42	0.5	0.02
01/29/2018	***-**-4110 - KAVANAGH,	PIMCO TRAILS BUY 0 Units @0.0000	0.00	6.29	0.00	6.29	0.5	0.03
01/29/2018	***-**-7753 - WERNER, ACCOUNT #: 01222976639	PIMCO TRAILS BUY 0 Units @0.0000	0.00	15.41	0.00	15.41	0.5	0.08
01/29/2018	***-**-3904 - DENNIS, CONNOR ACCOUNT #: 01226314548	PIMCO TRAILS BUY 0 Units @0.0000	0.00	4.59	0.00	4.59	0.5	0.02
01/29/2018	***-**-9220 -	PIMCO TRAILS BUY 0 Units @0.0000	0.00	3.67	0.00	3.67	0.5	0.02
01/29/2018	***-**-9220 -	PIMCO TRAILS BUY 0 Units @0.0000	0.00	2.33	0.00	2.33	0.5	0.01
01/29/2018	***-**-572I - MELIN, LUCILLE ACCOUNT #: LSR011508	PUTNAM CAPITAL SPECTRUM FUND CL A BUY 1 Units @0.0000	0.00	1.54	0.00	1.54	0.5	0.01
01/26/2018	***-**-6935 - FINK, GEORGE ACCOUNT #: 0000263228	RMB MF TRAILS BUY 0 Units @0.0000	0.00	21.02	0.00	21.02	0.5	0.11
01/26/2018	***-**-2671 - LAPHAM, JOHN ACCOUNT #: 6000081569	RMB MF TRAILS BUY 0 Units @0.0000	0.00	8.74	0.00	8.74	0.5	0.04
01/29/2018	***-**-2635 - HALE, JONATHAN	SALIENT-FORWARD FUNDS TRAILS BUY 0 Units @0.0000	0.00	1.49	0.00	1.49	0.5	0.01



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<u> OVERRIDE TRANSACTIONS (continued) </u>								
<u>BROKER: DENNIS CONNOR (continued)</u>								
01/08/2018	***-**-52IN - METZLER, JANET	SELECT VALUE FUND A	37.50	1.78	0.00	1.78	0.5	0.01
	ACCOUNT #: 06000341495	BUY 0 Units @0.0000						
01/08/2018	***-**-52IN - METZLER, JANET	SMALL- & MID-CAP GROWTH FUND A	37.50	1.78	0.00	1.78	0.5	0.01
	ACCOUNT #: 07210302126	BUY 0 Units @0.0000						
01/10/2018	***-**-4110 - KAVANAGH,	SMALL- & MID-CAP GROWTH FUND A	37.50	1.78	0.00	1.78	0.5	0.01
	ACCOUNT #: 07210729069	BUY 0 Units @0.0000						
01/10/2018	***-**-02IN - MANCHESTER,	SMALL- & MID-CAP GROWTH FUND A	75.00	3.00	0.00	3.00	0.5	0.02
	ACCOUNT #: 07210729080	BUY 0 Units @0.0000						
01/10/2018	***-**-0075 - MEHIT, LAURA	SMALL- & MID-CAP GROWTH FUND A	21.25	1.01	0.00	1.01	0.5	0.01
	ACCOUNT #: 07210834460	BUY 0 Units @0.0000						
01/29/2018	***-**-1832 - WEISMAN, DORIS	TEMP GLOBAL BOND FND - CL A	0.00	2.72	0.00	2.72	0.5	0.01
	ACCOUNT #: LSR011330	BUY 1 Units @0.0000						
01/29/2018	***-**-3590 - HEALY, THOMAS	VICTORY TRAILS	0.00	14.19	0.00	14.19	0.5	0.07
	ACCOUNT #: 5009484840	BUY 0 Units @0.0000						
01/29/2018	***-**-101I - LEMOINE, STEVEN	VOYA HIGH YIELD BOND CLASS A	0.00	2.23	0.00	2.23	0.5	0.01
	ACCOUNT #: LSR011390	BUY 1 Units @0.0000						
01/29/2018	***-**-101I - LEMOINE, STEVEN	VOYA LARGE CAP GROWTH CLASS A	0.00	3.44	0.00	3.44	0.5	0.02
	ACCOUNT #: LSR011390	BUY 1 Units @0.0000						
01/29/2018	***-**-101I - LEMOINE, STEVEN	VOYA LARGE CAP VALUE CLASS A	0.00	2.81	0.00	2.81	0.5	0.01
	ACCOUNT #: LSR011390	BUY 1 Units @0.0000						
01/29/2018	***-**-3590 - HEALY, THOMAS	VOYA LARGE CAP VALUE CLASS A	0.00	1.34	0.00	1.34	0.5	0.01
	ACCOUNT #: LSR011524	BUY 1 Units @0.0000						
01/29/2018	***-**-101I - LEMOINE, STEVEN	VOYA MIDCAP OPPORTUNITIES CL A	0.00	2.94	0.00	2.94	0.5	0.01
	ACCOUNT #: LSR011390	BUY 1 Units @0.0000						
01/29/2018	***-**-3590 - HEALY, THOMAS	VOYA MIDCAP OPPORTUNITIES CL A	0.00	1.42	0.00	1.42	0.5	0.01
	ACCOUNT #: LSR011524	BUY 1 Units @0.0000						
01/29/2018	***-**-3590 - HEALY, THOMAS	VOYA SMALL CAP OPPORTUNITIES CL A	0.00	1.46	0.00	1.46	0.5	0.01
	ACCOUNT #: LSR011524	BUY 1 Units @0.0000						
01/29/2018	***-**-3590 - HEALY, THOMAS	VOYA SMALL COMPANY CLASS A	0.00	1.45	0.00	1.45	0.5	0.01
	ACCOUNT #: LSR011524	BUY 1 Units @0.0000						
01/29/2018	***-**-70IN - CUTILLO, JAMES	VOYA SMALL COMPANY CLASS A	0.00	2.18	0.00	2.18	0.5	0.01
	ACCOUNT #: LSR011647	BUY 1 Units @0.0000						



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<u> OVERRIDE TRANSACTIONS (continued) </u>								
<u> BROKER: DENNIS CONNOR (continued) </u>								
01/04/2018	***-**-5720 - MELIN, LUCILLE	WELLS FARGO 94984B223	0.00	4.39	0.00	4.39	0.5	0.02
	ACCOUNT #: 01007029270	BUY 0 Units @0.0000						
01/04/2018	***-**-5720 - MELIN, LUCILLE	WELLS FARGO 94984B389	0.00	2.25	0.00	2.25	0.5	0.01
	ACCOUNT #: 01007029270	BUY 0 Units @0.0000						
01/04/2018	***-**-0804 - GALE, MARY	WELLS FARGO 94984B389	0.00	1.94	0.00	1.94	0.5	0.01
	ACCOUNT #: 01007327894	BUY 0 Units @0.0000						
01/04/2018	***-**-7193 - GALE, WALTER	WELLS FARGO 94984B389	0.00	1.11	0.00	1.11	0.5	0.01
	ACCOUNT #: 01007328456	BUY 0 Units @0.0000						
01/04/2018	***-**-5720 - MELIN, LUCILLE	WELLS FARGO GLOBAL OPPT FD CL A	0.00	2.42	0.00	2.42	0.5	0.01
	ACCOUNT #: 01007029270	BUY 0 Units @0.0000						
01/04/2018	***-**-5720 - MELIN, LUCILLE	WELLS FARGO OMEGA GRWTH FD CL A	0.00	3.52	0.00	3.52	0.5	0.02
	ACCOUNT #: 01007029270	BUY 0 Units @0.0000						
01/04/2018	***-**-0330 - KATZENBERGER,	WELLS FARGO OMEGA GRWTH FD CL A	0.00	1.97	0.00	1.97	0.5	0.01
	ACCOUNT #: 01007029314	BUY 0 Units @0.0000						
01/04/2018	***-**-5720 - MELIN, LUCILLE	WELLS FARGO SPECIAL SMALL CAP VALUE	0.00	2.87	0.00	2.87	0.5	0.01
	ACCOUNT #: 01007029270	BUY 0 Units @0.0000						
01/04/2018	***-**-0330 - KATZENBERGER,	WELLS FARGO SPECIAL SMALL CAP VALUE	0.00	1.48	0.00	1.48	0.5	0.01
	ACCOUNT #: 01007029314	BUY 0 Units @0.0000						
01/04/2018	***-**-0804 - GALE, MARY	WELLS FARGO SPECIAL SMALL CAP VALUE	0.00	4.04	0.00	4.04	0.5	0.02
	ACCOUNT #: 01007327894	BUY 0 Units @0.0000						
01/04/2018	***-**-7193 - GALE, WALTER	WELLS FARGO SPECIAL SMALL CAP VALUE	0.00	2.52	0.00	2.52	0.5	0.01
	ACCOUNT #: 01007328456	BUY 0 Units @0.0000						
 * DENNIS CONNOR SUBTOTAL * 			\$705.00	\$988.89	\$0.00	\$988.89		\$5.06
<u> BROKER: WILLIAM FRANCIS </u>								
01/03/2018	***-**-2471 - COLUCCI, ATHENA	ALLIANZ OCC RENAISSANCE FUND CLASS	0.00	14.52	0.00	14.52	0.5	0.07
	ACCOUNT #: 01224249951	BUY 0 Units @0.0000						
01/22/2018	***-**-976J - KILLIAN, JAMES	AMERICAN FUNDS T/E PRESERVATION POR	62.50	1.25	0.00	1.25	0.5	0.01
	ACCOUNT #: LSR011547	BUY 6 Units @9.9800						
01/22/2018	***-**-976J - KILLIAN, JAMES	AMERICAN FUNDS TAX ADVANTGED INC PO	187.50	5.63	0.00	5.63	0.5	0.03
	ACCOUNT #: LSR011547	BUY 13 Units @14.4700						
01/24/2018	***-**-40IO - KOMAR, NANCY	AMERICAN HIGH-INCOME TRUST-A	104,900.00	1,031.00	0.00	1,031.00	0.5	5.16
	ACCOUNT #: LSR012375	BUY 10048 Units @10.4400						



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<u> BROKER: WILLIAM FRANCIS (continued) </u>								
01/24/2018	***-**-40IO - KOMAR, NANCY ACCOUNT #: LSR012375	AMERICAN MUTUAL FUND-A BUY 1053 Units @42.6500	44,900.00	431.00	0.00	431.00	0.5	2.16
01/16/2018	***-**-3281 - DEWITT JR, LEE ACCOUNT #: 02400113961	BALANCED STRATEGY FUND CLASS A BUY 8 Units @12.3900	100.00	2.00	0.00	2.00	0.5	0.01
01/26/2018	***-**-2471 - COLUCCI, ATHENA ACCOUNT #: 6020029186	CALAMOS TRAILS BUY 0 Units @0.0000	0.00	2.92	0.00	2.92	0.5	0.01
01/24/2018	***-**-162K - LANGTON, ACCOUNT #: LSR012318	CALVERT 131582454 BUY 241 Units @28.1600	6,774.99	84.68	0.00	84.68	0.5	0.42
01/24/2018	***-**-162K - LANGTON, ACCOUNT #: LSR012318	CALVERT INTRNTL RESPBL INDEX A-NFS BUY 800 Units @25.4100	20,325.00	236.06	0.00	236.06	0.5	1.18
01/24/2018	***-**-162K - LANGTON, ACCOUNT #: LSR012318	CALVERT LONG-TERM INCOME FUND BUY 781 Units @17.3500	13,550.00	151.37	0.00	151.37	0.5	0.76
01/24/2018	***-**-162K - LANGTON, ACCOUNT #: LSR012318	CALVERT SMALL CAP VALUE FUND BUY 538 Units @25.1700	13,549.99	151.37	0.00	151.37	0.5	0.76
01/24/2018	***-**-162K - LANGTON, ACCOUNT #: LSR012318	CALVERT SOCIAL INDEX A BUY 565 Units @24.0000	13,549.99	151.37	0.00	151.37	0.5	0.76
01/24/2018	***-**-162K - LANGTON, ACCOUNT #: LSR012318	CALVERT SOCIAL INVESTMENT FD EQUITY BUY 728 Units @46.5600	33,875.01	405.43	0.00	405.43	0.5	2.03
01/24/2018	***-**-162K - LANGTON, ACCOUNT #: LSR012318	CALVERT SOCIAL INVESTMENT FUND BOND BUY 2076 Units @16.3200	33,875.00	405.43	0.00	405.43	0.5	2.03
01/24/2018	***-**-40IO - KOMAR, NANCY ACCOUNT #: LSR012375	CAPITAL INCOME BUILDER-A BUY 1621 Units @64.7300	104,900.01	1,031.00	0.00	1,031.00	0.5	5.16
01/29/2018	***-**-637I - BRUSIE, DOROTHY ACCOUNT #: LSR011447	EQUITY INCOME FUND, INC. A BUY 1 Units @0.0000	0.00	2.73	0.00	2.73	0.5	0.01
01/29/2018	***-**-17IO - DEBONIS, BRENDA ACCOUNT #: LSR012240	MAINSTAY CONSERVATIV ALLOCATION CL BUY 1 Units @0.0000	0.00	9.38	0.00	9.38	0.5	0.05
01/29/2018	***-**-17IO - DEBONIS, BRENDA ACCOUNT #: LSR012240	MAINSTAY EPOCH GLOBAL EQUITY YLD A BUY 1 Units @0.0000	0.00	4.00	0.00	4.00	0.5	0.02
01/29/2018	***-**-17IO - DEBONIS, BRENDA ACCOUNT #: LSR012240	MAINSTAY HIGH-YIELD CORPORATE BOND BUY 1 Units @0.0000	0.00	9.16	0.00	9.16	0.5	0.05
01/29/2018	***-**-17IO - DEBONIS, BRENDA ACCOUNT #: LSR012240	MAINSTAY MODERATE ALLOCATION CL A BUY 1 Units @0.0000	0.00	4.35	0.00	4.35	0.5	0.02



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<u> OVERRIDE TRANSACTIONS (continued) </u>								
<u> BROKER: WILLIAM FRANCIS (continued) </u>								
01/29/2018	***-**-17IO - DEBONIS, BRENDA	MAINSTAY SHORT DURATION HIGH YLD A	0.00	4.38	0.00	4.38	0.5	0.02
	ACCOUNT #: LSR012240	BUY 1 Units @0.0000						
01/08/2018	***-**-4642 - COOKE, ROBERT	MAINSTAY TOTAL RETURN BOND FUND CL	1,000.41	10.00	0.00	10.00	0.5	0.05
	ACCOUNT #: 00055761480	BUY 94 Units @10.6200						
01/29/2018	***-**-17IO - DEBONIS, BRENDA	MAINSTAY TOTAL RETURN FUND A	0.00	4.15	0.00	4.15	0.5	0.02
	ACCOUNT #: LSR012240	BUY 1 Units @0.0000						
01/29/2018	***-**-1983 - FARKAS, KAYLEE	MAINSTAY TRAILS	0.00	6.34	0.00	6.34	0.5	0.03
	ACCOUNT #: 55734681	BUY 0 Units @0.0000						
01/29/2018	***-**-0780 - CADMAN, ELONA	MAINSTAY TRAILS	0.00	19.70	0.00	19.70	0.5	0.10
	ACCOUNT #: 11296257	BUY 0 Units @0.0000						
01/29/2018	***-**-0780 - CADMAN, ELONA	MAINSTAY TRAILS	0.00	11.60	0.00	11.60	0.5	0.06
	ACCOUNT #: 11296257	BUY 0 Units @0.0000						
01/29/2018	***-**-5917 - MAOLINARO, E	MAINSTAY TRAILS	0.00	15.60	0.00	15.60	0.5	0.08
	ACCOUNT #: 00055567683	BUY 0 Units @0.0000						
01/29/2018	***-**-5917 - MAOLINARO, E	MAINSTAY TRAILS	0.00	14.14	0.00	14.14	0.5	0.07
	ACCOUNT #: 00055567683	BUY 0 Units @0.0000						
01/29/2018	***-**-0780 - CADMAN, ELONA	MAINSTAY TRAILS	0.00	3.49	0.00	3.49	0.5	0.02
	ACCOUNT #: 11296257	BUY 0 Units @0.0000						
01/29/2018	***-**-0780 - CADMAN, ELONA	MAINSTAY TRAILS	0.00	3.49	0.00	3.49	0.5	0.02
	ACCOUNT #: 11296257	BUY 0 Units @0.0000						
01/29/2018	***-**-5917 - MAOLINARO, E	MAINSTAY TRAILS	0.00	1.12	0.00	1.12	0.5	0.01
	ACCOUNT #: 00055567683	BUY 0 Units @0.0000						
01/29/2018	***-**-58UT - BABBONI, MAXWELL	MAINSTAY TRAILS	0.00	5.71	0.00	5.71	0.5	0.03
	ACCOUNT #: 00055883190	BUY 0 Units @0.0000						
01/29/2018	***-**-5917 - MAOLINARO, E	MAINSTAY TRAILS	0.00	4.25	0.00	4.25	0.5	0.02
	ACCOUNT #: 00055567683	BUY 0 Units @0.0000						
01/29/2018	***-**-5161 - FARKAS,	MAINSTAY TRAILS	0.00	1.48	0.00	1.48	0.5	0.01
	ACCOUNT #: 55513668	BUY 0 Units @0.0000						
01/29/2018	***-**-6593 - FARKAS, JOSEPH	MAINSTAY TRAILS	0.00	1.56	0.00	1.56	0.5	0.01
	ACCOUNT #: 55513669	BUY 0 Units @0.0000						
01/29/2018	***-**-4618 - BROWN, ZACHARY	MAINSTAY TRAILS	0.00	6.14	0.00	6.14	0.5	0.03
	ACCOUNT #: 55720031	BUY 0 Units @0.0000						



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<u> OVERRIDE TRANSACTIONS (continued) </u>								
<u> BROKER: WILLIAM FRANCIS (continued) </u>								
01/29/2018	***-**-0240 - CHAUVIN, LAURA	MAINSTAY TRAILS	0.00	5.76	0.00	5.76	0.5	0.03
	ACCOUNT #: 55749831	BUY 0 Units @0.0000						
01/29/2018	***-**-6717 - DEBONIS, BRENDA	MAINSTAY TRAILS	0.00	4.39	0.00	4.39	0.5	0.02
	ACCOUNT #: 00011265204	BUY 0 Units @0.0000						
01/29/2018	***-**-8034 - DEBONIS, ALBERT	MAINSTAY TRAILS	0.00	59.29	0.00	59.29	0.5	0.30
	ACCOUNT #: 00011265210	BUY 0 Units @0.0000						
01/29/2018	***-**-3569 - ANDERSON,	MAINSTAY TRAILS	0.00	48.35	0.00	48.35	0.5	0.24
	ACCOUNT #: 00011265211	BUY 0 Units @0.0000						
01/29/2018	***-**-6717 - DEBONIS, BRENDA	MAINSTAY TRAILS	0.00	7.63	0.00	7.63	0.5	0.04
	ACCOUNT #: 00011265204	BUY 0 Units @0.0000						
01/29/2018	***-**-8034 - DEBONIS, ALBERT	MAINSTAY TRAILS	0.00	102.48	0.00	102.48	0.5	0.51
	ACCOUNT #: 00011265210	BUY 0 Units @0.0000						
01/29/2018	***-**-0780 - CADMAN, ELONA	MAINSTAY TRAILS	0.00	-3.49	0.00	-3.49	0.5	-0.02
	ACCOUNT #: 11296257	BUY 0 Units @0.0000						
01/29/2018	***-**-548I - MOLONEY, JAMES	MAINSTAY UNCONSTRND BOND OPPORTUNIT	0.00	7.36	0.00	7.36	0.5	0.04
	ACCOUNT #: LSR011545	BUY 1 Units @0.0000						
01/29/2018	***-**-548I - MOLONEY, JAMES	MAINSTAY US EQUITY OPPORTUNITIES CL	0.00	3.72	0.00	3.72	0.5	0.02
	ACCOUNT #: LSR011545	BUY 1 Units @0.0000						
01/29/2018	***-**-5233 - DUTCHESS,	MASS MUTUAL VA TRAILS	0.00	47.38	0.00	47.38	0.5	0.24
	ACCOUNT #: 841406	BUY 1 Units @0.0000						
01/29/2018	***-**-091I - GLASSFORD,	OPP PORT SERIES: MOD INV FD A	0.00	1.91	0.00	1.91	0.5	0.01
	ACCOUNT #: LSR011526	BUY 1 Units @0.0000						
01/29/2018	***-**-637I - BRUSIE, DOROTHY	OPPENHEIMER GLOBAL HIGH YIELD CL A	0.00	2.15	0.00	2.15	0.5	0.01
	ACCOUNT #: LSR011447	BUY 1 Units @0.0000						
01/29/2018	***-**-637I - BRUSIE, DOROTHY	OPPENHEIMER SENIOR FLOATING RATE PL	0.00	2.17	0.00	2.17	0.5	0.01
	ACCOUNT #: LSR011447	BUY 1 Units @0.0000						
01/29/2018	***-**-445J - NORTH, CHARLES	ROCHESTER FUND MUNICIPALS A	0.00	18.00	0.00	18.00	0.5	0.09
	ACCOUNT #: LSR011778	BUY 1 Units @0.0000						
01/24/2018	***-**-40IO - KOMAR, NANCY	THE INCOME FUND OF AMERICA-A	44,900.01	431.00	0.00	431.00	0.5	2.16
	ACCOUNT #: LSR012375	BUY 1858 Units @24.1600						
01/23/2018	***-**-2582 - AGUIAR, DANA	VANGUARD INDEX FDS VANGUARD SMALL C	617.12	24.91	0.00	24.91	0.5	0.12
	ACCOUNT #: LSR012300	SELL 4 Units @154.2800						
 * WILLIAM FRANCIS SUBTOTAL * 			\$437,067.53	\$5,010.81	\$0.00	\$5,010.81		\$25.10



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<u> OVERRIDE TRANSACTIONS (continued) </u>								
<u>BROKER: LOUIS HORWIN</u>								
01/24/2018	***-**-75TR - HORWIN FAMILY ACCOUNT #: LSR011457	EATON VANCE RISK MNGD DIV EQTY COM SELL 75 Units @9.6740	725.55	25.33	0.00	25.33	0.5	0.13
		* LOUIS HORWIN SUBTOTAL *	\$725.55	\$25.33	\$0.00	\$25.33		\$0.13
<u>BROKER: DEVIN BORN</u>								
01/16/2018	***-**-0047 - ENTZMINGER, JO ACCOUNT #: 03810913768	AIM HIGH YIELD FUND - CLASS A BUY 34 Units @4.3900	150.00	6.00	0.00	6.00	0.5	0.03
01/29/2018	***-**-17IO - KILLIAN, FRANCES ACCOUNT #: LSM000170	BLACKROCK HEALTH SCIENCES FUND CLAS BUY 1 Units @0.0000	0.00	6.31	0.00	6.31	0.5	0.03
01/16/2018	***-**-9897 - ZIMMERMAN, PAUL ACCOUNT #: 00002034883	BOND A BUY 0 Units @0.0000	0.00	20.60	0.00	20.60	0.5	0.10
01/29/2018	***-**-87IR - BORN, LAUREN ACCOUNT #: LSM000173	EQUITY INCOME BUY 1 Units @0.0000	0.00	1.56	0.00	1.56	0.5	0.01
01/29/2018	***-**-05IR - BORN, SHAWN ACCOUNT #: LSM000165	EQUITY INCOME FUND, INC. A BUY 1 Units @0.0000	0.00	3.21	0.00	3.21	0.5	0.02
01/10/2018	***-**-03IN - COLLINS, CHRISTY ACCOUNT #: 00700912066	FA 529 PORT 2019-OLD CL A BUY 9 Units @21.4000	200.00	6.00	0.00	6.00	0.5	0.03
01/10/2018	***-**-4593 - TOWER, GERTRUDE ACCOUNT #: 01471499630	FA 529 PORT 2022-CL A BUY 2 Units @28.3900	50.00	1.88	0.00	1.88	0.5	0.01
01/10/2018	***-**-4593 - TOWER, GERTRUDE ACCOUNT #: 01471499655	FA 529 PORT 2022-CL A BUY 2 Units @28.3900	50.00	1.88	0.00	1.88	0.5	0.01
01/29/2018	***-**-87IR - BORN, LAUREN ACCOUNT #: LSM000173	FEDERATED BOND CLASS A-NFS BUY 1 Units @0.0000	0.00	1.84	0.00	1.84	0.5	0.01
01/29/2018	***-**-514J - WESSNER, LINDA ACCOUNT #: LSR011799	FEDERATED BOND CLASS A-NFS BUY 1 Units @0.0000	0.00	1.31	0.00	1.31	0.5	0.01
01/29/2018	***-**-514J - WESSNER, LINDA ACCOUNT #: LSR011799	FEDERATED CAPITAL INCOME FUND BUY 1 Units @0.0000	0.00	4.64	0.00	4.64	0.5	0.02
01/29/2018	***-**-514J - WESSNER, LINDA ACCOUNT #: LSR011799	FEDERATED KAUFMANN FUND BUY 1 Units @0.0000	0.00	3.51	0.00	3.51	0.5	0.02
01/18/2018	***-**-1271 - BREIDENSTEIN, ACCOUNT #: 01483191639	FIDELITY ADV HIGH INCOME ADVANTAGE BUY 414 Units @12.0200	4,979.83	186.74	0.00	186.74	0.5	0.93
01/10/2018	***-**-4593 - TOWER, GERTRUDE ACCOUNT #: 01471499648	FIDELITY ADV MF 040813 BUY 2 Units @21.4600	50.00	1.88	0.00	1.88	0.5	0.01



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<u> OVERRIDE TRANSACTIONS (continued) </u>								
<u> BROKER: DEVIN BORN (continued) </u>								
01/16/2018	***-**-4794 - BARRETT, JAMES	FIDELITY ADV TOTAL BOND-CL A	300.00	11.25	0.00	11.25	0.5	0.06
	ACCOUNT #: 00700238868	BUY 27 Units @11.0500						
01/10/2018	***-**-03IN - COLLINS, CHRISTY	HIGH YIELD A	100.00	3.50	0.00	3.50	0.5	0.02
	ACCOUNT #: 00777296924	BUY 27 Units @3.6700						
01/10/2018	***-**-03IN - COLLINS, CHRISTY	HIGH YIELD A	100.00	3.50	0.00	3.50	0.5	0.02
	ACCOUNT #: 00777296925	BUY 27 Units @3.6700						
01/16/2018	***-**-4330 - FRANTZ, LOIS	HIGH YIELD A	0.00	15.37	0.00	15.37	0.5	0.08
	ACCOUNT #: 00001455848	BUY 0 Units @0.0000						
01/16/2018	***-**-310I - NAUGLE, ANN	HIGH YIELD A	0.00	2.70	0.00	2.70	0.5	0.01
	ACCOUNT #: 00001860223	BUY 0 Units @0.0000						
01/16/2018	***-**-86IN - PATTON, JULIE	HIGH YIELD A	0.00	14.61	0.00	14.61	0.5	0.07
	ACCOUNT #: 00001999970	BUY 0 Units @0.0000						
01/16/2018	***-**-6725 - BARRETT, TRACIE	HIGH YIELD A	0.00	4.60	0.00	4.60	0.5	0.02
	ACCOUNT #: 00002174325	BUY 0 Units @0.0000						
01/16/2018	***-**-94IR - BARRETT, JAMES	HIGH YIELD A	0.00	4.06	0.00	4.06	0.5	0.02
	ACCOUNT #: 00002174327	BUY 0 Units @0.0000						
01/16/2018	***-**-9897 - ZIMMERMAN, PAUL	HIGH YIELD A	0.00	10.43	0.00	10.43	0.5	0.05
	ACCOUNT #: 00002176710	BUY 0 Units @0.0000						
01/16/2018	***-**-068I - SHOLLENBERGER,	HIGH YIELD A	0.00	2.85	0.00	2.85	0.5	0.01
	ACCOUNT #: 00002188879	BUY 0 Units @0.0000						
01/16/2018	***-**-0514 - WESSNER, ARLAN	HIGH YIELD A	0.00	7.27	0.00	7.27	0.5	0.04
	ACCOUNT #: 00002492869	BUY 0 Units @0.0000						
01/16/2018	***-**-68IN - DODDS, JOHN	HIGH YIELD A	0.00	13.26	0.00	13.26	0.5	0.07
	ACCOUNT #: 00777291985	BUY 0 Units @0.0000						
01/16/2018	***-**-03IN - COLLINS, CHRISTY	HIGH YIELD A	0.00	5.30	0.00	5.30	0.5	0.03
	ACCOUNT #: 00777296924	BUY 0 Units @0.0000						
01/16/2018	***-**-03IN - COLLINS, CHRISTY	HIGH YIELD A	0.00	5.37	0.00	5.37	0.5	0.03
	ACCOUNT #: 00777296925	BUY 0 Units @0.0000						
01/16/2018	***-**-4803 - HERTZOG, MICHAEL	HIGH YIELD A	0.00	7.97	0.00	7.97	0.5	0.04
	ACCOUNT #: 00777305368	BUY 0 Units @0.0000						
01/16/2018	***-**-86IN - PATTON, JULIE	HIGH YIELD B	0.00	5.76	0.00	5.76	0.5	0.03
	ACCOUNT #: 00001858344	BUY 0 Units @0.0000						



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<u> OVERRIDE TRANSACTIONS (continued) </u>								
<u> BROKER: DEVIN BORN (continued) </u>								
01/16/2018	***-**-9736 - SINDACO, LINDA	HIGH YIELD B	0.00	2.58	0.00	2.58	0.5	0.01
	ACCOUNT #: 00002001832	BUY 0 Units @0.0000						
01/16/2018	***-**-03IN - COLLINS, CHRISTY	HIGH YIELD B	0.00	2.57	0.00	2.57	0.5	0.01
	ACCOUNT #: 00005979470	BUY 0 Units @0.0000						
01/16/2018	***-**-03IN - COLLINS, CHRISTY	HIGH YIELD B	0.00	2.58	0.00	2.58	0.5	0.01
	ACCOUNT #: 00005979471	BUY 0 Units @0.0000						
01/16/2018	***-**-68IN - DODDS, JOHN	HIGH YIELD B	0.00	4.76	0.00	4.76	0.5	0.02
	ACCOUNT #: 00006280812	BUY 0 Units @0.0000						
01/16/2018	***-**-0047 - ENTZMINGER, JO	INVESCO AMERICAN FRANCHISE FUND -CL	200.00	8.00	0.00	8.00	0.5	0.04
	ACCOUNT #: 03810913768	BUY 9 Units @21.7900						
01/16/2018	***-**-0047 - ENTZMINGER, JO	INVESCO CORE PLUS BOND FUND - CLASS	150.00	6.00	0.00	6.00	0.5	0.03
	ACCOUNT #: 03810913768	BUY 13 Units @11.3700						
01/29/2018	***-**-5773 - SEGNERE, HELEN	JOHN HANCOCK 529 TRAILS	0.00	8.53	0.00	8.53	0.5	0.04
		BUY 0 Units @0.0000						
01/29/2018	***-**-2332 - BACHMAN, TORI	JOHN HANCOCK 529 TRAILS	0.00	9.21	0.00	9.21	0.5	0.05
	ACCOUNT #: 207182029	BUY 0 Units @0.0000						
01/29/2018	***-**-4180 - KOCH, TRACIE	JOHN HANCOCK 529 TRAILS	0.00	13.33	0.00	13.33	0.5	0.07
	ACCOUNT #: 52879442	BUY 0 Units @0.0000						
01/11/2018	***-**-0738 - WESSNER, TODD	JOHN HANCOCK DISCIPLINED VALUE A	41.77	1.19	0.00	1.19	0.5	0.01
	ACCOUNT #: 00002492630	BUY 2 Units @24.2400						
01/11/2018	***-**-0738 - WESSNER, TODD	JOHN HANCOCK DISCIPLINED VALUE A	139.24	3.97	0.00	3.97	0.5	0.02
	ACCOUNT #: 00002492630	BUY 6 Units @24.2400						
01/16/2018	***-**-0738 - WESSNER, TODD	JOHN HANCOCK DISCIPLINED VALUE A	0.00	17.84	0.00	17.84	0.5	0.09
	ACCOUNT #: 00002492630	BUY 0 Units @0.0000						
01/16/2018	***-**-0738 - WESSNER, TODD	JOHN HANCOCK DISCIPLINED VALUE A	110.45	3.15	0.00	3.15	0.5	0.02
	ACCOUNT #: 00002492630	BUY 5 Units @24.4100						
01/16/2018	***-**-514J - GEHRINGER,	JOHN HANCOCK NEW OPPORTUNITIES CL A	0.00	3.30	0.00	3.30	0.5	0.02
	ACCOUNT #: 00777222058	BUY 0 Units @0.0000						
01/16/2018	***-**-514J - GEHRINGER,	JOHN HANCOCK NEW OPPORTUNITIES CL A	0.00	4.89	0.00	4.89	0.5	0.02
	ACCOUNT #: 00777236470	BUY 0 Units @0.0000						
01/16/2018	***-**-2833 - SCHWEMMER, JOHN	JOHN HANCOCK NEW OPPORTUNITIES CL A	0.00	21.95	0.00	21.95	0.5	0.11
	ACCOUNT #: 00777288968	BUY 0 Units @0.0000						



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<u> BROKER: DEVIN BORN (continued) </u>								
01/16/2018	***-**-514J - GEHRINGER, ACCOUNT #: 00777290682	JOHN HANCOCK NEW OPPORTUNITIES CL A BUY 0 Units @0.0000	0.00	1.22	0.00	1.22	0.5	0.01
01/16/2018	***-**-514J - GEHRINGER, ACCOUNT #: 00002049765	LARGE CAP EQUITY A BUY 0 Units @0.0000	0.00	4.39	0.00	4.39	0.5	0.02
01/16/2018	***-**-10IN - YAKAITIS, JOSEPH ACCOUNT #: 00777289121	LARGE CAP EQUITY A BUY 0 Units @0.0000	0.00	1.58	0.00	1.58	0.5	0.01
01/16/2018	***-**-514J - GEHRINGER, ACCOUNT #: 00777290844	LARGE CAP EQUITY A BUY 0 Units @0.0000	0.00	1.39	0.00	1.39	0.5	0.01
01/16/2018	***-**-3295 - KUNKEL, WILLIAM ACCOUNT #: 00002492633	LIFESTYLE AGGRESSIVE PORTFOLIO A BUY 2 Units @17.8000	38.88	1.11	0.00	1.11	0.5	0.01
01/16/2018	***-**-3295 - KUNKEL, WILLIAM ACCOUNT #: 00002492633	LIFESTYLE AGGRESSIVE PORTFOLIO A BUY 2 Units @17.8000	38.88	1.11	0.00	1.11	0.5	0.01
01/16/2018	***-**-3321 - WILLIAMS, EDWARD ACCOUNT #: 00002410404	LIFESTYLE MODERATE PORTFOLIO A BUY 0 Units @0.0000	0.00	1.42	0.00	1.42	0.5	0.01
01/29/2018	***-**-225I - GANGEWERE, MARK ACCOUNT #: LSR011891	OPPENHEIMER SMALL & MID CAP VALUE F BUY 1 Units @0.0000	0.00	2.60	0.00	2.60	0.5	0.01
01/29/2018	***-**-36IO - CEGANICK, ACCOUNT #: LSM000176	PIMCO TOTAL RETURN CLASS A BUY 1 Units @0.0000	0.00	2.28	0.00	2.28	0.5	0.01
01/29/2018	***-**-72IO - BUSHBY, JANET ACCOUNT #: LSR011729	PUTNAM ABSOLUTE RETURN 500 FUND CLA BUY 1 Units @0.0000	0.00	2.69	0.00	2.69	0.5	0.01
01/29/2018	***-**-33IN - SCHWEMMER, JOHN ACCOUNT #: LSR012199	PUTNAM CAPITAL SPECTRUM FD CL B BUY 1 Units @0.0000	0.00	3.69	0.00	3.69	0.5	0.02
01/29/2018	***-**-87IR - BORN, LAUREN ACCOUNT #: LSM000173	PUTNAM GROWTH OPPORTUNITIES FUND CL BUY 1 Units @0.0000	0.00	1.82	0.00	1.82	0.5	0.01
01/29/2018	***-**-33IO - GARGIULO, PAUL ACCOUNT #: LSR011694	PUTNAM GROWTH OPPORTUNITIES FUND CL BUY 1 Units @0.0000	0.00	1.78	0.00	1.78	0.5	0.01
01/29/2018	***-**-4593 - TOWER, GERTRUDE ACCOUNT #: LSM000148	PUTNAM HIGH YIELD ADVANTAGE CLASS B BUY 1 Units @0.0000	0.00	6.85	0.00	6.85	0.5	0.03
01/29/2018	***-**-38IO - SCHWEMMER, MARY ACCOUNT #: LSR011798	PUTNAM HIGH YIELD ADVANTAGE-A BUY 1 Units @0.0000	0.00	5.49	0.00	5.49	0.5	0.03
01/29/2018	***-**-34IO - KAUFFMAN, GARY ACCOUNT #: LSM000145	PUTNAM INCOME FUND B BUY 1 Units @0.0000	0.00	4.15	0.00	4.15	0.5	0.02



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<u> OVERRIDE TRANSACTIONS (continued) </u>								
<u>BROKER: DEVIN BORN (continued)</u>								
01/29/2018	***-**-33IO - GARGIULO, PAUL	PUTNAM INCOME FUND B	0.00	5.27	0.00	5.27	0.5	0.03
	ACCOUNT #: LSR011694	BUY 1 Units @0.0000						
01/16/2018	***-**-4803 - HERTZOG, MICHAEL	RETIREMENT LIVING THROUGH 2040 PORT	0.00	4.41	0.00	4.41	0.5	0.02
	ACCOUNT #: 00001712975	BUY 0 Units @0.0000						
01/16/2018	***-**-514J - GEHRINGER,	STRATEGIC GROWTH A	0.00	2.45	0.00	2.45	0.5	0.01
	ACCOUNT #: 00777224541	BUY 0 Units @0.0000						
01/24/2018	***-**-652J - BUSHBY, WILLIAM	THE BOND FUND OF AMERICA-F1	3,000.01	17.00	0.00	17.00	0.5	0.09
	ACCOUNT #: LSR011728	SELL 235 Units @12.7700						
		* DEVIN BORN SUBTOTAL *	\$9,699.06	\$551.71	\$0.00	\$551.71		\$2.79
<u>BROKER: GRADY GORMAN</u>								
01/29/2018	***-**-463I - MACKEY, LAURA	HCM DIVIDEND SECTOR PLUS FND CL A-N	0.00	2.11	0.00	2.11	0.5	0.01
	ACCOUNT #: LSR011920	BUY 1 Units @0.0000						
01/29/2018	***-**-463I - MACKEY, LAURA	HCM TACTICAL GROWTH FND CL A-NFS	0.00	2.15	0.00	2.15	0.5	0.01
	ACCOUNT #: LSR011920	BUY 1 Units @0.0000						
		* GRADY GORMAN SUBTOTAL *	\$0.00	\$4.26	\$0.00	\$4.26		\$0.02
<u>BROKER: ROBERT PEDERSEN</u>								
01/04/2018	***-**-3998 - UTLER, STEFAN	F/T MODERATE TARGET FD - CLASS C	150.00	1.50	0.00	1.50	0.5	0.01
	ACCOUNT #: 000000000628457	BUY 9 Units @15.8700						
01/08/2018	***-**-8197 - TERHERST,	F/T MODERATE TARGET FD - CLASS C	117.50	1.18	0.00	1.18	0.5	0.01
	ACCOUNT #: 000000000621250	BUY 7 Units @15.9600						
01/29/2018	***-**-903I - DONNELLY, VERNON	FRANKLIN CONSERVATIV ALLOCATION CLA	0.00	11.08	0.00	11.08	0.5	0.06
	ACCOUNT #: LSR011877	BUY 1 Units @0.0000						
01/29/2018	***-**-19IO - ZUKOWSKI, SANDRA	FRANKLIN CONSERVATIV ALLOCATION CLA	0.00	4.45	0.00	4.45	0.5	0.02
	ACCOUNT #: LSR011986	BUY 1 Units @0.0000						
01/04/2018	***-**-3998 - UTLER, STEFAN	FRK CSV ALC FD CL C	150.00	1.50	0.00	1.50	0.5	0.01
	ACCOUNT #: 000000000449621	BUY 10 Units @14.7100						
01/08/2018	***-**-8197 - TERHERST,	FRK CSV ALC FD CL C	117.50	1.18	0.00	1.18	0.5	0.01
	ACCOUNT #: 000000000445128	BUY 8 Units @14.7700						
01/29/2018	***-**-51IO - RIEBS, TERESA	FRK TEMP FOUNDING FUNDS ALLOC FND C	0.00	4.90	0.00	4.90	0.5	0.02
	ACCOUNT #: LSR012118	BUY 1 Units @0.0000						



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<u> OVERRIDE TRANSACTIONS (continued) </u>								
<u> BROKER: ROBERT PEDERSEN (continued) </u>								
01/29/2018	***-**-903I - DONNELLY, VERNON	FRK UTIL FND - CL A	0.00	6.84	0.00	6.84	0.5	0.03
	ACCOUNT #: LSR011877	BUY 1 Units @0.0000						
01/29/2018	***-**-19IO - ZUKOWSKI, SANDRA	FRK UTIL FND - CL A	0.00	2.68	0.00	2.68	0.5	0.01
	ACCOUNT #: LSR011986	BUY 1 Units @0.0000						
01/29/2018	***-**-51IO - RIEBS, TERESA	FRK UTIL FND - CL A	0.00	2.97	0.00	2.97	0.5	0.01
	ACCOUNT #: LSR012118	BUY 1 Units @0.0000						
01/23/2018	***-**-1485 - MORENO,	PRINCIPAL CUSIP	150.00	4.50	0.00	4.50	0.5	0.02
	ACCOUNT #: 5124137	BUY 0 Units @0.0000						
		* ROBERT PEDERSEN SUBTOTAL *	\$685.00	\$42.78	\$0.00	\$42.78		\$0.21
<u> BROKER: JOHN TRUMAN </u>								
01/23/2018	***-**-784X - NIPPER, SHERICIA	AMERICAN BALANCED FUND-A	387.99	1.40	0.00	1.40	0.5	0.01
	ACCOUNT #: LSR012148	BUY 13 Units @29.8500						
01/25/2018	***-**-212X - MOCTEZUMA, ANA	CAPITAL WORLD GROWTH AND INCOME FUN	6,591.97	163.28	0.00	163.28	0.5	0.82
	ACCOUNT #: LSR012361	BUY 117 Units @56.3200						
01/29/2018	***-**-9175 - GARDNER, JAMES	FRANKLIN RISING DIVIDENDS FD CLASS	0.00	6.60	0.00	6.60	0.5	0.03
	ACCOUNT #: LSR012304	BUY 1 Units @0.0000						
01/29/2018	***-**-1710 - BALLARD, SCOTT	FRK CA TF INC FND - CL A	0.00	1.18	0.00	1.18	0.5	0.01
	ACCOUNT #: LSR012284	BUY 1 Units @0.0000						
01/23/2018	***-**-3580 - TRUMAN, RYAN	FRK RISING DIV FND - CL C	8,750.02	69.50	0.00	69.50	0.5	0.35
	ACCOUNT #: LSR012386	BUY 139 Units @62.9000						
01/29/2018	***-**-9175 - GARDNER, JAMES	GROWTH AND INCOME FUND - A	0.00	4.28	0.00	4.28	0.5	0.02
	ACCOUNT #: LSR012304	BUY 1 Units @0.0000						
01/23/2018	***-**-3580 - TRUMAN, RYAN	INCOME FUND OF AMERICA CLASS C	9,999.99	82.00	0.00	82.00	0.5	0.41
	ACCOUNT #: LSR012386	BUY 419 Units @23.8600						
01/29/2018	***-**-9175 - GARDNER, JAMES	JPMORGAN SMALL CAP GROWTH CLASS A	0.00	3.50	0.00	3.50	0.5	0.02
	ACCOUNT #: LSR012304	BUY 1 Units @0.0000						
01/29/2018	***-**-758I - EBERT, KIMBERLY	MUTUAL DISC FND - CL C	0.00	1.61	0.00	1.61	0.5	0.01
	ACCOUNT #: LSR012072	BUY 1 Units @0.0000						
01/29/2018	***-**-9175 - GARDNER, JAMES	PIMCO FLOATING INCOME FD CL A	0.00	4.63	0.00	4.63	0.5	0.02
	ACCOUNT #: LSR012304	BUY 1 Units @0.0000						
01/29/2018	***-**-9175 - GARDNER, JAMES	PIMCO INV GRADE CORP	0.00	5.22	0.00	5.22	0.5	0.03
	ACCOUNT #: LSR012304	BUY 1 Units @0.0000						



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<u> OVERRIDE TRANSACTIONS (continued) </u>								
<u> BROKER: JOHN TRUMAN (continued) </u>								
01/23/2018	***-**-3580 - TRUMAN, RYAN	PIMCO INVESTMENT GRADE CORP	5,000.00	32.00	0.00	32.00	0.5	0.16
	ACCOUNT #: LSR012386	BUY 478 Units @10.4700						
01/29/2018	***-**-9175 - GARDNER, JAMES	TEMP FRGN FND - CL A	0.00	4.27	0.00	4.27	0.5	0.02
	ACCOUNT #: LSR012304	BUY 1 Units @0.0000						
01/29/2018	***-**-051R - WELCH, PAMELA	TRANSAMERICA ASSET ALL CONV PORT CL	0.00	1.85	0.00	1.85	0.5	0.01
	ACCOUNT #: LSR012011	BUY 1 Units @0.0000						
* JOHN TRUMAN SUBTOTAL *			\$30,729.97	\$381.32	\$0.00	\$381.32		\$1.92
<u> BROKER: ALEXANDER HACKLEY </u>								
01/29/2018	***-**-679I - VIGIL, ELLI	BLACKROCK EVENT DRIVEN EQUITY FUND	0.00	5.39	0.00	5.39	0.5	0.03
	ACCOUNT #: LSR011852	BUY 1 Units @0.0000						
01/26/2018	***-**-321R - HIGGINSON,	HCM DIVIDEND SECTOR PLUS FND CL A-N	8,500.00	343.25	0.00	343.25	0.5	1.72
	ACCOUNT #: LSR012041	BUY 561 Units @15.1600						
01/26/2018	***-**-632I - HIGGINSON,	HCM DIVIDEND SECTOR PLUS FND CL A-N	19,200.00	798.00	0.00	798.00	0.5	3.99
	ACCOUNT #: LSR012342	BUY 1266 Units @15.1600						
01/26/2018	***-**-251R - HIGGINSON, GAIL	HCM DIVIDEND SECTOR PLUS FND CL A-N	6,500.00	258.25	0.00	258.25	0.5	1.29
	ACCOUNT #: LSR012345	BUY 429 Units @15.1600						
01/29/2018	***-**-502J - GRANDSTAFF,	HCM DIVIDEND SECTOR PLUS FND CL A-N	0.00	9.13	0.00	9.13	0.5	0.05
	ACCOUNT #: LSR011931	BUY 1 Units @0.0000						
01/22/2018	***-**-626I - STERTZ, DALE	ISHARES TR DOW JONES U S ENERGY SEC	4,236.50	37.00	0.00	37.00	0.5	0.19
	ACCOUNT #: LSR012238	BUY 100 Units @42.3650						
01/22/2018	***-**-626I - STERTZ, DALE	ISHARES TR DOW JONES U S ENERGY SEC	4,236.00	48.31	0.00	48.31	0.5	0.24
	ACCOUNT #: LSR012238	BUY 100 Units @42.3600						
01/29/2018	***-**-471O - DAVIES, ROBERT	LORD ABBETT SHORT DURATION INCOME C	0.00	1.11	0.00	1.11	0.5	0.01
	ACCOUNT #: LSR012157	BUY 1 Units @0.0000						
01/29/2018	***-**-934I - HARVEY, CHERYL	PUTNAM EQUITY INCOME FUND-A	0.00	1.86	0.00	1.86	0.5	0.01
	ACCOUNT #: LSR011885	BUY 1 Units @0.0000						
* ALEXANDER HACKLEY SUBTOTAL *			\$42,672.50	\$1,502.30	\$0.00	\$1,502.30		\$7.53



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<u> OVERRIDE TRANSACTIONS (continued) </u>								
<u>BROKER: SAMUEL BARBER</u>								
01/29/2018	***-**-7340 - RODESCHINI, ACCOUNT #: LSR011934	BLACKROCK EQUITY DIVIDEND FD CL C BUY 1 Units @0.0000	0.00	30.35	0.00	30.35	0.5	0.15
01/29/2018	***-**-6710 - FERNANDEZ, ANA ACCOUNT #: LSR011946	BLACKROCK EQUITY DIVIDEND FD CL C BUY 1 Units @0.0000	0.00	2.23	0.00	2.23	0.5	0.01
01/29/2018	***-**-2440 - RICHTER, DIANA ACCOUNT #: LSR011984	BLACKROCK MULTI - ASSET INCOME FUND BUY 1 Units @0.0000	0.00	27.63	0.00	27.63	0.5	0.14
01/29/2018	***-**-7340 - RODESCHINI, ACCOUNT #: LSR011934	JPMORGAN LARGE CAP GROWTH CLASS C BUY 1 Units @0.0000	0.00	31.37	0.00	31.37	0.5	0.16
01/29/2018	***-**-6710 - FERNANDEZ, ANA ACCOUNT #: LSR011946	JPMORGAN LARGE CAP GROWTH CLASS C BUY 1 Units @0.0000	0.00	1.60	0.00	1.60	0.5	0.01
01/29/2018	***-**-7340 - RODESCHINI, ACCOUNT #: LSR011934	JPMORGAN LARGE CAP GROWTH CLASS C BUY 1 Units @0.0000	0.00	10.46	0.00	10.46	0.5	0.05
01/29/2018	***-**-2440 - RICHTER, DIANA ACCOUNT #: LSR011984	LORD ABBETT SHORT DURATION INCOME C BUY 1 Units @0.0000	0.00	11.67	0.00	11.67	0.5	0.06
01/26/2018	***-**-0853 - BOYER, THOMAS ACCOUNT #: 77467864401	NYA JPM 529 AGGR AGE-BASE A BUY 0 Units @0.0000	50.00	2.38	0.00	2.38	0.5	0.01
01/29/2018	***-**-7340 - RODESCHINI, ACCOUNT #: LSR011934	OPPENHEIMER GLOBAL CLASS C BUY 1 Units @0.0000	0.00	25.08	0.00	25.08	0.5	0.13
01/29/2018	***-**-2440 - RICHTER, DIANA ACCOUNT #: LSR011984	PIMCO H/Y-NFS BUY 1 Units @0.0000	0.00	24.77	0.00	24.77	0.5	0.12
01/29/2018	***-**-2440 - RICHTER, DIANA ACCOUNT #: LSR011984	PIMCO H/Y-NFS BUY 1 Units @0.0000	0.00	9.53	0.00	9.53	0.5	0.05
01/29/2018	***-**-7340 - RODESCHINI, ACCOUNT #: LSR011934	PIMCO LOW DURATION INCOME FUND CL C BUY 1 Units @0.0000	0.00	8.44	0.00	8.44	0.5	0.04
01/29/2018	***-**-7340 - RODESCHINI, ACCOUNT #: LSR011934	PIMCO LOW DURATION INCOME FUND CL C BUY 1 Units @0.0000	0.00	8.44	0.00	8.44	0.5	0.04
01/29/2018	***-**-2440 - RICHTER, DIANA ACCOUNT #: LSR011984	PIMCO TOTAL RETURN C BUY 1 Units @0.0000	0.00	11.16	0.00	11.16	0.5	0.06
01/29/2018	***-**-2440 - RICHTER, DIANA ACCOUNT #: LSR011984	PIMCO TOTAL RETURN C BUY 1 Units @0.0000	0.00	4.29	0.00	4.29	0.5	0.02
01/29/2018	***-**-7340 - RODESCHINI, ACCOUNT #: LSR011934	TEMPLETON GLOBAL BOND FUND - CLASS BUY 1 Units @0.0000	0.00	4.61	0.00	4.61	0.5	0.02



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<u> OVERRIDE TRANSACTIONS (continued) </u>								
<u>BROKER: SAMUEL BARBER (continued)</u>								
01/29/2018	***-**-2440 - RICHTER, DIANA	TEMPLETON GLOBAL BOND FUND - CLASS	0.00	8.75	0.00	8.75	0.5	0.04
	ACCOUNT #: LSR011984	BUY 1 Units @0.0000						
		* SAMUEL BARBER SUBTOTAL *	\$50.00	\$222.76	\$0.00	\$222.76		\$1.11
<u>BROKER: GARRETT MORETZ</u>								
01/29/2018	***-**-972I - GRIFFIN, OTIS	JANUS HENDERSON HIGH YIELD A-NFS	0.00	1.74	0.00	1.74	0.5	0.01
	ACCOUNT #: LSR011960	BUY 1 Units @0.0000						
		* GARRETT MORETZ SUBTOTAL *	\$0.00	\$1.74	\$0.00	\$1.74		\$0.01
<u>BROKER: STANLEY (DARRELL) KEATHLEY</u>								
01/29/2018	***-**-294I - HAWN, SARAH	HCM DIVIDEND SECTOR PLUS FND CL A-N	0.00	4.07	0.00	4.07	0.5	0.02
	ACCOUNT #: LSR012002	BUY 1 Units @0.0000						
01/29/2018	***-**-820J - PFAFF, ROBERT	HCM DIVIDEND SECTOR PLUS FND CL A-N	0.00	5.76	0.00	5.76	0.5	0.03
	ACCOUNT #: LSR012004	BUY 1 Units @0.0000						
01/29/2018	***-**-814I - SELVIDGE, SHELIA	HCM DIVIDEND SECTOR PLUS FND CL A-N	0.00	7.87	0.00	7.87	0.5	0.04
	ACCOUNT #: LSR012009	BUY 1 Units @0.0000						
01/29/2018	***-**-397O - BISHOP, RICHARD	HCM DIVIDEND SECTOR PLUS FND CL A-N	0.00	1.27	0.00	1.27	0.5	0.01
	ACCOUNT #: LSR012040	BUY 1 Units @0.0000						
01/29/2018	***-**-926I - VONSTEMPA, JOYCE	HCM DIVIDEND SECTOR PLUS FND CL A-N	0.00	6.26	0.00	6.26	0.5	0.03
	ACCOUNT #: LSR012180	BUY 1 Units @0.0000						
01/29/2018	***-**-820J - PFAFF, ROBERT	TRANSAMERICA CUSIP 89355J65-NFS	0.00	4.53	0.00	4.53	0.5	0.02
	ACCOUNT #: LSR012004	BUY 1 Units @0.0000						
01/29/2018	***-**-820J - PFAFF, ROBERT	TRANSAMERICA MID CAP VALUE OPPS CL	0.00	2.10	0.00	2.10	0.5	0.01
	ACCOUNT #: LSR012004	BUY 1 Units @0.0000						
01/29/2018	***-**-814I - SELVIDGE, SHELIA	TRANSAMERICA MID CAP VALUE OPPS CL	0.00	1.81	0.00	1.81	0.5	0.01
	ACCOUNT #: LSR012009	BUY 1 Units @0.0000						
01/29/2018	***-**-926I - VONSTEMPA, JOYCE	TRANSAMERICA MID CAP VALUE OPPS CL	0.00	1.58	0.00	1.58	0.5	0.01
	ACCOUNT #: LSR012180	BUY 1 Units @0.0000						
01/29/2018	***-**-445I - BISHOP, BEVERLY	VICTORY CEMP US 500 ENH VOL WTD IND	0.00	10.79	0.00	10.79	0.5	0.05
	ACCOUNT #: LSR012046	BUY 1 Units @0.0000						
01/29/2018	***-**-20IR - PFAFF, SHEILA	VICTORY CEMP US 500 ENH VOL WTD IND	0.00	9.22	0.00	9.22	0.5	0.05
	ACCOUNT #: LSR011999	BUY 1 Units @0.0000						
		* STANLEY (DARRELL) KEATHLEY SUBTOTAL *	\$0.00	\$55.26	\$0.00	\$55.26		\$0.28



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<u>BROKER: ALFREDO BALLESTEROS</u>								
01/10/2018	***-**-5718 - DE LOS SANTOS, ACCOUNT #: 000000006871246	FRK GTH ALC 13-16 YR 529 PORT CL A BUY 4 Units @27.1300	100.00	3.75	0.00	3.75	0.5	0.02
01/29/2018	***-**-6116 - DOWNS-MINETREE, BUY 1 Units @0.0000	JACKSON NATIONAL VA TRAILS BUY 1 Units @0.0000	0.00	81.63	0.00	81.63	0.5	0.41
01/22/2018	***-**-51VL - BALLESTEROS, VL ACCOUNT #: VP60123270	PACIFIC LIFE DTCC RENEWAL BUY 0 Units @0.0000	157.00	1.57	0.00	1.57	0.5	0.01
* ALFREDO BALLESTEROS SUBTOTAL *			\$257.00	\$86.95	\$0.00	\$86.95		\$0.44
<u>BROKER: JOHN BUSEY</u>								
01/29/2018	***-**-005I - KUCK, LAURA ACCOUNT #: LSR012243	FRK TEMP FOUNDING FUNDS ALLOC FND C BUY 1 Units @0.0000	0.00	20.61	0.00	20.61	0.5	0.10
* JOHN BUSEY SUBTOTAL *			\$0.00	\$20.61	\$0.00	\$20.61		\$0.10
<u>BROKER: MICHAEL PINEDA</u>								
01/26/2018	***-**-4660 - DEFFENBACHER, ACCOUNT #: LSR012234	CALL (INTC) INTEL CORP FEB 16 18 \$4 SELL 10 Units @115.0000	1,150.00	23.75	0.00	23.75	0.5	0.12
01/22/2018	***-**-4660 - DEFFENBACHER, ACCOUNT #: LSR012234	MANITOWOC CO INC COM NEW SELL 125 Units @40.5900	5,073.75	50.25	0.00	50.25	0.5	0.25
* MICHAEL PINEDA SUBTOTAL *			\$6,223.75	\$74.00	\$0.00	\$74.00		\$0.37
<u>BROKER: JOSHUA WEAVER</u>								
01/29/2018	***-**-3803 - MACK, LISA ACCOUNT #: 7200044839	LIVEWELL MUTUAL FUND BUY 0 Units @0.0000	100,000.00	1,000.00	0.00	1,000.00	0.5	5.00
01/29/2018	***-**-3803 - MACK, LISA ACCOUNT #: 7200044839	LIVEWELL MUTUAL FUND BUY 0 Units @0.0000	0.00	1.00	0.00	1.00	0.5	0.01
01/29/2018	***-**-2428 - KEARNS, KEVIN ACCOUNT #: 7200046534	LIVEWELL MUTUAL FUND BUY 0 Units @0.0000	0.00	5.00	0.00	5.00	0.5	0.03
01/29/2018	***-**-3189 - LUNDY, SUSAN	LIVEWELL MUTUAL FUND BUY 0 Units @0.0000	0.00	1,019.54	0.00	1,019.54	0.5	5.10
01/29/2018	***-**-3803 - MACK, LISA	MIDLAND LIVEWELL VA BUY 1 Units @-100000.00	-100,000.00	-4,000.00	0.00	-4,000.00	0.5	-20.00
* JOSHUA WEAVER SUBTOTAL *			\$0.00	\$-1,974.46	\$0.00	\$-1,974.46		\$-9.86



COMMISSION STATEMENT

January 29, 2018

HOME OFFICE PASCALE

, NY

BROKER #: 981A

BRANCH #01001 - LifeMark Home Office

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
*** OVERRIDE TRANSACTIONS TOTAL ***			\$1,371,047.08	\$50,169.33	\$0.00	\$50,169.33		\$251.54

BROKER COMMISSION TOTALS

Broker Transactions	\$0.00
Split Transactions	\$0.00
Override Transactions	\$251.54
Adjustments	\$0.00
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$0.00
FINRA Assessment	\$0.00
SIPC Assessment	\$0.00

Net Commission Earned	\$251.54
Year-to-date Earnings	\$1,541.67