



COMMISSION STATEMENT

July 23, 2018

DAVID GRIFFITH
2108 Genesee St.
Utica, NY 13502

BROKER #: A76
BRANCH #01047 - 47 - GRIFFITH

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
07/16/2018	***-**-801I - HAGAN III, ACCOUNT #: 00088485981	AMERICAN GLOBAL BALANCED CL C BUY 5 Units @32.2300	160.00	1.60	0.00	1.60	88.0	1.41
07/03/2018	***-**-11IN - MOYLAN, TIMOTHY ACCOUNT #: 03222207458	CAPITAL APPRECIATION C BUY 0 Units @0.0000	7.34	0.07	0.00	0.07	88.0	0.06
07/02/2018	***-**-8027 - MAXWELL, COLLEEN ACCOUNT #: 07621429626	CASH RESERVES C BUY 0 Units @0.0000	330.25	0.83	0.00	0.83	88.0	0.73
07/19/2018	***-**-361J - ALOISIO, ACCOUNT #: LSR010886	EATON VANCE FLOATING RATE ADVANTAGE SELL 208 Units @10.9200	2,275.41	0.00	0.00	0.00	88.0	0.00
07/03/2018	***-**-11IN - MOYLAN, TIMOTHY ACCOUNT #: 08370450780	EQUITY INCOME FUND, INC. C BUY 0 Units @0.0000	11.00	0.11	0.00	0.11	88.0	0.10
07/16/2018	***-**-5485 - GAETANO, ACCOUNT #: 00082975488	EUROPACIFIC GROWTH FUND-A BUY 1 Units @57.0700	33.00	1.40	0.00	1.40	88.0	1.23
07/09/2018	***-**-788I - ALBARRAN, CARLOS ACCOUNT #: 00085186008	FUNDAMENTAL INVESTORS-C BUY 2 Units @63.7000	100.00	1.00	0.00	1.00	88.0	0.88
07/03/2018	***-**-11IN - MOYLAN, TIMOTHY ACCOUNT #: 02171646359	GLOBAL OPPORTUNITIES FUND C BUY 0 Units @0.0000	7.34	0.07	0.00	0.07	88.0	0.06
07/10/2018	***-**-686I - STRUMPFLER, MARK ACCOUNT #: 00060352385	MFS UTILITIES FUND-B BUY 4 Units @20.5400	75.00	3.00	0.00	3.00	88.0	2.64
07/23/2018	***-**-244I - BURTON, RICHARD ACCOUNT #: 77243486101	NYA JPM 529 EQUITY INCOME PORTF C BUY 0 Units @0.0000	50.00	0.50	0.00	0.50	88.0	0.44
07/03/2018	***-**-11IN - MOYLAN, TIMOTHY ACCOUNT #: 03322653882	OPPENHEIMER GLOBAL CLASS C BUY 0 Units @0.0000	3.67	0.04	0.00	0.04	88.0	0.04
07/03/2018	***-**-11IN - MOYLAN, TIMOTHY ACCOUNT #: 01970849123	OPPENHEIMER INTERNATIONAL DIVERSIFI BUY 0 Units @0.0000	14.67	0.15	0.00	0.15	88.0	0.13
07/03/2018	***-**-11IN - MOYLAN, TIMOTHY ACCOUNT #: 02270899503	OPPENHEIMER RISING DIVIDENDS FUND C BUY 0 Units @0.0000	14.67	0.15	0.00	0.15	88.0	0.13
07/03/2018	***-**-11IN - MOYLAN, TIMOTHY ACCOUNT #: 02560289795	QUEST INTERNATIONAL VALUE FUND, INC BUY 0 Units @0.0000	7.34	0.07	0.00	0.07	88.0	0.06
07/03/2018	***-**-11IN - MOYLAN, TIMOTHY ACCOUNT #: 05920286891	REAL ESTATE FUND C BUY 0 Units @0.0000	7.34	0.07	0.00	0.07	88.0	0.06
07/10/2018	***-**-29IN - THIBAUT, ACCOUNT #: 05920285846	REAL ESTATE FUND C BUY 0 Units @0.0000	100.00	1.00	0.00	1.00	88.0	0.88



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUNDS (continued)								
07/16/2018	***-**-5485 - GAETANO,	SMALLCAP WORLD FUND-A	33.00	1.40	0.00	1.40	88.0	1.23
	ACCOUNT #: 00082975488	BUY 1 Units @62.6900						
07/16/2018	***-**-5485 - GAETANO,	THE GROWTH FUND OF AMERICA-A	34.00	1.45	0.00	1.45	88.0	1.28
	ACCOUNT #: 00082975488	BUY 1 Units @58.4000						
07/20/2018	***-**-469I - HAUCK, JUDITH	THE INCOME FUND OF AMERICA-A	350.00	7.00	0.00	7.00	88.0	6.16
	ACCOUNT #: 00087147439	BUY 15 Units @23.6400						
07/20/2018	***-**-469I - HAUCK, JUDITH	THE INCOME FUND OF AMERICA-A	98.08	1.96	0.00	1.96	88.0	1.72
	ACCOUNT #: 00087147439	BUY 4 Units @23.6400						
* MUTUAL FUNDS SUBTOTAL *			\$3,712.11	\$21.87	\$0.00	\$21.87		\$19.24
PRODUCT CATEGORY: STOCKS								
07/13/2018	***-**-69IN - DAVIS, BRUCE	ROYAL DUTCH SHELL ADR EA REP 2 CL A	6,430.80	97.49	16.84	80.65	88.0	70.97
	ACCOUNT #: LSR011031	SELL 92 Units @69.9000						
* STOCKS SUBTOTAL *			\$6,430.80	\$97.49	\$16.84	\$80.65		\$70.97
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS								
07/23/2018	***-**-91IN - RICHARDSON,	AMCAP FUND-F1	0.00	0.62	0.00	0.62	88.0	0.55
	ACCOUNT #: LSR010900	BUY 1 Units @0.0000						
07/23/2018	***-**-621O - DANIELS, JOHN	AMERICAN BALANCED FUND-A	0.00	0.74	0.00	0.74	88.0	0.65
	ACCOUNT #: LSR012373	BUY 1 Units @0.0000						
07/23/2018	***-**-656I - SMOLA, STANLEY	AMERICAN FUNDS MORTGAGE CL F1	0.00	1.66	0.00	1.66	88.0	1.46
	ACCOUNT #: LSR010868	BUY 1 Units @0.0000						
07/23/2018	***-**-91IN - RICHARDSON,	AMERICAN FUNDS MORTGAGE CL F1	0.00	1.28	0.00	1.28	88.0	1.13
	ACCOUNT #: LSR010900	BUY 1 Units @0.0000						
07/23/2018	***-**-58IN - SCHRECK, RYAN	AMERICAN FUNDS MORTGAGE FD CL C	0.00	5.12	0.00	5.12	88.0	4.51
	ACCOUNT #: LSR010873	BUY 1 Units @0.0000						
07/23/2018	***-**-60IN - SCHRADER, KEVIN	AMERICAN FUNDS MORTGAGE FD CL C	0.00	9.55	0.00	9.55	88.0	8.40
	ACCOUNT #: LSR010897	BUY 1 Units @0.0000						
07/23/2018	***-**-753I - SABANOSH, ALAN	AMERICAN FUNDS MORTGAGE FD CL C	0.00	20.66	0.00	20.66	88.0	18.18
	ACCOUNT #: LSR010909	BUY 1 Units @0.0000						
07/23/2018	***-**-53TR - SABANOSH, ALAN R	AMERICAN FUNDS MORTGAGE FD CL C	0.00	9.95	0.00	9.95	88.0	8.76
	ACCOUNT #: LSR010917	BUY 1 Units @0.0000						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
07/23/2018	***-**-467J - PICKARD, BRIAN	AMERICAN FUNDS MORTGAGE FD CL C	0.00	10.84	0.00	10.84	88.0	9.54
	ACCOUNT #: LSR010943	BUY 1 Units @0.0000						
07/23/2018	***-**-88IN - PICKARD, ELAINE	AMERICAN FUNDS MORTGAGE FD CL C	0.00	9.01	0.00	9.01	88.0	7.93
	ACCOUNT #: LSR010957	BUY 1 Units @0.0000						
07/23/2018	***-**-80TR - SCOTELLARO TTEE,	AMERICAN FUNDS MORTGAGE FD CL C	0.00	24.05	0.00	24.05	88.0	21.16
	ACCOUNT #: LSR010974	BUY 1 Units @0.0000						
07/23/2018	***-**-69IN - HAUCK, JUDITH	AMERICAN FUNDS MORTGAGE FD CL C	0.00	9.11	0.00	9.11	88.0	8.02
	ACCOUNT #: LSR010980	BUY 1 Units @0.0000						
07/23/2018	***-**-973I - CHAMBERS, ROGER	AMERICAN FUNDS MORTGAGE FD CL C	0.00	9.06	0.00	9.06	88.0	7.97
	ACCOUNT #: LSR011018	BUY 1 Units @0.0000						
07/23/2018	***-**-22IN - GRACIE, JULIA	AMERICAN FUNDS MORTGAGE FD CL C	0.00	7.91	0.00	7.91	88.0	6.96
	ACCOUNT #: LSR011019	BUY 1 Units @0.0000						
07/23/2018	***-**-29IO - LORUSSO, VINCENT	AMERICAN FUNDS MORTGAGE FD CL C	0.00	5.20	0.00	5.20	88.0	4.58
	ACCOUNT #: LSR011681	BUY 1 Units @0.0000						
07/23/2018	***-**-762I - STORSBERG,	AMERICAN FUNDS MORTGAGE FD CL C	0.00	24.34	0.00	24.34	88.0	21.42
	ACCOUNT #: LSR011688	BUY 1 Units @0.0000						
07/23/2018	***-**-03IN - BOSHART, PEGGY	AMERICAN FUNDS MORTGAGE FD CL C	0.00	3.96	0.00	3.96	88.0	3.48
	ACCOUNT #: LSR011744	BUY 1 Units @0.0000						
07/23/2018	***-**-753I - SABANOSH, ALAN	AMERICAN GLOBAL BALANCED CL C	0.00	47.87	0.00	47.87	88.0	42.13
	ACCOUNT #: LSR010909	BUY 1 Units @0.0000						
07/23/2018	***-**-88IN - PICKARD, ELAINE	AMERICAN GLOBAL BALANCED CL C	0.00	18.55	0.00	18.55	88.0	16.32
	ACCOUNT #: LSR010957	BUY 1 Units @0.0000						
07/23/2018	***-**-973I - CHAMBERS, ROGER	AMERICAN GLOBAL BALANCED CL C	0.00	14.00	0.00	14.00	88.0	12.32
	ACCOUNT #: LSR011018	BUY 1 Units @0.0000						
07/23/2018	***-**-73IN - SCOTELLARO IV,	AMERICAN GLOBAL BALANCED CL C	0.00	6.54	0.00	6.54	88.0	5.76
	ACCOUNT #: LSR011086	BUY 1 Units @0.0000						
07/23/2018	***-**-05IN - HULL, JEFFERY	AMERICAN GLOBAL BALANCED CL C	0.00	14.70	0.00	14.70	88.0	12.94
	ACCOUNT #: LSR011187	BUY 1 Units @0.0000						
07/23/2018	***-**-90IN - PICKARD, KAREN	AMERICAN GLOBAL BALANCED CL C	0.00	9.44	0.00	9.44	88.0	8.31
	ACCOUNT #: LSR011687	BUY 1 Units @0.0000						
07/23/2018	***-**-03IN - BOSHART, PEGGY	AMERICAN GLOBAL BALANCED CL C	0.00	9.19	0.00	9.19	88.0	8.09
	ACCOUNT #: LSR011744	BUY 1 Units @0.0000						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
07/23/2018	***-**-03IR - BOSHART, PEGGY ACCOUNT #: LSR011749	AMERICAN GLOBAL BALANCED CL C BUY 1 Units @0.0000	0.00	12.38	0.00	12.38	88.0	10.89
07/23/2018	***-**-355I - CRIMMINS, KAREN ACCOUNT #: LSR011077	AMERICAN GLOBAL BALANCED CLASS A BUY 1 Units @0.0000	0.00	3.22	0.00	3.22	88.0	2.83
07/23/2018	***-**-621O - DANIELS, JOHN ACCOUNT #: LSR012373	AMERICAN GLOBAL BALANCED CLASS A BUY 1 Units @0.0000	0.00	5.25	0.00	5.25	88.0	4.62
07/23/2018	***-**-08TR - SCOTELLARO III, ACCOUNT #: LSR010975	AMERICAN HIGH-INCOME TRUST-C BUY 1 Units @0.0000	0.00	26.56	0.00	26.56	88.0	23.37
07/23/2018	***-**-698J - FEISTHAMEL, MR ACCOUNT #: LSR011137	AMERICAN MORTGAGE FUND CL A BUY 1 Units @0.0000	0.00	2.11	0.00	2.11	88.0	1.86
07/23/2018	***-**-621O - DANIELS, JOHN ACCOUNT #: LSR012373	AMERICAN MORTGAGE FUND CL A BUY 1 Units @0.0000	0.00	4.03	0.00	4.03	88.0	3.55
07/23/2018	***-**-25IR - PERRITANO, ACCOUNT #: LSR010923	CAPITAL INCOME BUILDER-A BUY 1 Units @0.0000	0.00	0.15	0.00	0.15	88.0	0.13
07/23/2018	***-**-25IN - PERRITANO, ACCOUNT #: LSR010924	CAPITAL INCOME BUILDER-A BUY 1 Units @0.0000	0.00	0.30	0.00	0.30	88.0	0.26
07/23/2018	***-**-656I - SMOLA, STANLEY ACCOUNT #: LSR010868	CAPITAL INCOME BUILDER-F1 BUY 1 Units @0.0000	0.00	2.48	0.00	2.48	88.0	2.18
07/23/2018	***-**-80IN - GRIFFITH, DAVID ACCOUNT #: LSF000286	CAPITAL WORLD GROWTH AND INCOME FUN BUY 1 Units @0.0000	0.00	0.76	0.00	0.76	88.0	0.67
07/23/2018	***-**-753I - SABANOSH, ALAN ACCOUNT #: LSR010909	CAPITAL WORLD GROWTH AND INCOME FUN BUY 1 Units @0.0000	0.00	1.32	0.00	1.32	88.0	1.16
07/23/2018	***-**-25IR - PERRITANO, ACCOUNT #: LSR010923	CAPITAL WORLD GROWTH AND INCOME FUN BUY 1 Units @0.0000	0.00	1.23	0.00	1.23	88.0	1.08
07/23/2018	***-**-25IN - PERRITANO, ACCOUNT #: LSR010924	CAPITAL WORLD GROWTH AND INCOME FUN BUY 1 Units @0.0000	0.00	0.35	0.00	0.35	88.0	0.31
07/23/2018	***-**-522I - RIEBEN, HENRY ACCOUNT #: LSR010964	CAPITAL WORLD GROWTH AND INCOME FUN BUY 1 Units @0.0000	0.00	0.65	0.00	0.65	88.0	0.57
07/23/2018	***-**-24TR - SCOTELLARO, L ACCOUNT #: LSR010973	CAPITAL WORLD GROWTH AND INCOME FUN BUY 1 Units @0.0000	0.00	3.96	0.00	3.96	88.0	3.48
07/23/2018	***-**-474J - HAGAN JR, ACCOUNT #: LSR010993	CAPITAL WORLD GROWTH AND INCOME FUN BUY 1 Units @0.0000	0.00	1.41	0.00	1.41	88.0	1.24



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
07/23/2018	***-**-22IN - GRACIE, JULIA	CAPITAL WORLD GROWTH AND INCOME FUN	0.00	5.56	0.00	5.56	88.0	4.89
	ACCOUNT #: LSR011019	BUY 1 Units @0.0000						
07/23/2018	***-**-698J - FEISTHAMEL, MR	CAPITAL WORLD GROWTH AND INCOME FUN	0.00	2.48	0.00	2.48	88.0	2.18
	ACCOUNT #: LSR011137	BUY 1 Units @0.0000						
07/23/2018	***-**-469I - HAUCK, JUDITH	CAPITAL WORLD GROWTH AND INCOME FUN	0.00	0.93	0.00	0.93	88.0	0.82
	ACCOUNT #: LSR011739	BUY 1 Units @0.0000						
07/23/2018	***-**-80TR - SCOTELLARO TTEE,	CAPITAL WORLD GROWTH AND INCOME FUN	0.00	11.45	0.00	11.45	88.0	10.08
	ACCOUNT #: LSR010974	BUY 1 Units @0.0000						
07/23/2018	***-**-973I - CHAMBERS, ROGER	CAPITAL WORLD GROWTH AND INCOME FUN	0.00	10.60	0.00	10.60	88.0	9.33
	ACCOUNT #: LSR011018	BUY 1 Units @0.0000						
07/23/2018	***-**-656I - SMOLA, STANLEY	CAPITAL WORLD GROWTH AND INCOME-F1	0.00	2.95	0.00	2.95	88.0	2.60
	ACCOUNT #: LSR010868	BUY 1 Units @0.0000						
07/23/2018	***-**-72IN - THIBAUT, JOHN	CAPITAL WORLD GROWTH AND INCOME-F1	0.00	0.67	0.00	0.67	88.0	0.59
	ACCOUNT #: LSR012086	BUY 1 Units @0.0000						
07/23/2018	***-**-423I - SAVICKI, RICHARD	DAVIS FINANCIAL CLASS C	0.00	32.39	0.00	32.39	88.0	28.50
	ACCOUNT #: LSR010889	BUY 1 Units @0.0000						
07/23/2018	***-**-423I - SAVICKI, RICHARD	DAVIS OPPORTUNITY CLASS C	0.00	49.93	0.00	49.93	88.0	43.94
	ACCOUNT #: LSR010889	BUY 1 Units @0.0000						
07/23/2018	***-**-423I - SAVICKI, RICHARD	EATON VANCE LARGE-CAP VALUE CL C	0.00	20.92	0.00	20.92	88.0	18.41
	ACCOUNT #: LSR010889	BUY 1 Units @0.0000						
07/23/2018	***-**-656I - SMOLA, STANLEY	EUROPACIFIC GROWTH FUND CLASS F	0.00	1.50	0.00	1.50	88.0	1.32
	ACCOUNT #: LSR010868	BUY 1 Units @0.0000						
07/23/2018	***-**-80IN - GRIFFITH, DAVID	EUROPACIFIC GROWTH FUND-A	0.00	4.92	0.00	4.92	88.0	4.33
	ACCOUNT #: LSF000286	BUY 1 Units @0.0000						
07/23/2018	***-**-25IR - PERRITANO,	EUROPACIFIC GROWTH FUND-A	0.00	1.35	0.00	1.35	88.0	1.19
	ACCOUNT #: LSR010923	BUY 1 Units @0.0000						
07/23/2018	***-**-25IN - PERRITANO,	EUROPACIFIC GROWTH FUND-A	0.00	0.31	0.00	0.31	88.0	0.27
	ACCOUNT #: LSR010924	BUY 1 Units @0.0000						
07/23/2018	***-**-661I - GORCZYNSKI,	EUROPACIFIC GROWTH FUND-A	0.00	3.08	0.00	3.08	88.0	2.71
	ACCOUNT #: LSR011221	BUY 1 Units @0.0000						
07/23/2018	***-**-621O - DANIELS, JOHN	EUROPACIFIC GROWTH FUND-A	0.00	1.05	0.00	1.05	88.0	0.92
	ACCOUNT #: LSR012373	BUY 1 Units @0.0000						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
07/23/2018	***-**-656I - SMOLA, STANLEY ACCOUNT #: LSR010868	FUNDAMENTAL INVESTORS FUND CLASS F BUY 1 Units @0.0000	0.00	1.15	0.00	1.15	88.0	1.01
07/23/2018	***-**-54IN - THIBAUT, MS ACCOUNT #: LSR011080	FUNDAMENTAL INVESTORS FUND CLASS F BUY 1 Units @0.0000	0.00	1.76	0.00	1.76	88.0	1.55
07/23/2018	***-**-22IN - GRACIE, JULIA ACCOUNT #: LSR011019	FUNDAMENTAL INVESTORS-A BUY 1 Units @0.0000	0.00	1.58	0.00	1.58	88.0	1.39
07/23/2018	***-**-369J - DAVIS, BRUCE ACCOUNT #: LSR011027	FUNDAMENTAL INVESTORS-A BUY 1 Units @0.0000	0.00	1.04	0.00	1.04	88.0	0.92
07/23/2018	***-**-369I - DAVIS, BRUCE ACCOUNT #: LSR011029	FUNDAMENTAL INVESTORS-A BUY 1 Units @0.0000	0.00	1.80	0.00	1.80	88.0	1.58
07/23/2018	***-**-698J - FEISTHAMEL, MR ACCOUNT #: LSR011137	FUNDAMENTAL INVESTORS-A BUY 1 Units @0.0000	0.00	1.44	0.00	1.44	88.0	1.27
07/23/2018	***-**-621O - DANIELS, JOHN ACCOUNT #: LSR012373	FUNDAMENTAL INVESTORS-A BUY 1 Units @0.0000	0.00	1.96	0.00	1.96	88.0	1.72
07/23/2018	***-**-467J - PICKARD, BRIAN ACCOUNT #: LSR010943	FUNDAMENTAL INVESTORS-C BUY 1 Units @0.0000	0.00	4.88	0.00	4.88	88.0	4.29
07/23/2018	***-**-621I - DANIELS SR, JOHN ACCOUNT #: LSR010950	FUNDAMENTAL INVESTORS-C BUY 1 Units @0.0000	0.00	17.75	0.00	17.75	88.0	15.62
07/23/2018	***-**-73IR - CHAMBERS, ROGER ACCOUNT #: LSR011020	FUNDAMENTAL INVESTORS-C BUY 1 Units @0.0000	0.00	2.27	0.00	2.27	88.0	2.00
07/23/2018	***-**-698J - BAILEY, MR ACCOUNT #: 091124603	GRIFFIN CAPITAL ESS ASSET II TRAILS BUY 0 Units @0.0000	0.00	31.08	0.00	31.08	88.0	27.35
07/23/2018	***-**-41TR - DAMSKY, BARRY ACCOUNT #: 091128030	GRIFFIN CAPITAL ESS ASSET II TRAILS BUY 0 Units @0.0000	0.00	11.96	0.00	11.96	88.0	10.52
07/23/2018	***-**-841I - HULL, ELMINA ACCOUNT #: 00091131720	GRIFFIN CAPITAL ESS ASSET II TRAILS BUY 0 Units @0.0000	0.00	10.39	0.00	10.39	88.0	9.14
07/23/2018	***-**-901O - DRUMM, LOIS ACCOUNT #: 091135944	GRIFFIN CAPITAL ESS ASSET II TRAILS BUY 0 Units @0.0000	0.00	35.87	0.00	35.87	88.0	31.57
07/23/2018	***-**-522J - RIEBEN, HENRY ACCOUNT #: 091135947	GRIFFIN CAPITAL ESS ASSET II TRAILS BUY 0 Units @0.0000	0.00	35.87	0.00	35.87	88.0	31.57
07/23/2018	***-**-425I - PERRITANO, ACCOUNT #: 091137511	GRIFFIN CAPITAL ESS ASSET II TRAILS BUY 0 Units @0.0000	0.00	28.69	0.00	28.69	88.0	25.25



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DAVID GRIFFITH
2108 Genesee St.
Utica, NY 13502

BROKER #: A76
BRANCH #01047 - 47 - GRIFFITH

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
07/23/2018	***-**-4580 - GRIFFITH,	GRIFFIN CAPITAL ESS ASSET II TRAILS BUY 0 Units @0.0000	0.00	15.91	0.00	15.91	88.0	14.00
07/02/2018	***-**-794I - INGERSOLL, JOAN ACCOUNT #: 00000871758	HARTFORD BALANCED INCOME FD CL A BUY 0 Units @0.0000	0.00	0.40	0.00	0.40	88.0	0.35
07/02/2018	***-**-015P - SABANOSH, SHERYL ACCOUNT #: 00000856950	HARTFORD CHECKS AND BALANCED FUND C BUY 0 Units @0.0000	0.00	0.83	0.00	0.83	88.0	0.73
07/02/2018	***-**-794I - INGERSOLL, JOAN ACCOUNT #: 00000871758	HARTFORD CHECKS AND BALANCED FUND C BUY 0 Units @0.0000	0.00	0.45	0.00	0.45	88.0	0.40
07/23/2018	***-**-24TR - SCOTELLARO, L ACCOUNT #: LSR010973	HARTFORD CHECKS AND BALANCED FUND C BUY 1 Units @0.0000	0.00	1.14	0.00	1.14	88.0	1.00
07/23/2018	***-**-369I - DAVIS, BRUCE ACCOUNT #: LSR011029	HARTFORD CHECKS AND BALANCED FUND C BUY 1 Units @0.0000	0.00	2.13	0.00	2.13	88.0	1.87
07/23/2018	***-**-58IN - SCHRECK, RYAN ACCOUNT #: LSR010873	INCOME FUND OF AMERICA CLASS C BUY 1 Units @0.0000	0.00	10.15	0.00	10.15	88.0	8.93
07/23/2018	***-**-467J - PICKARD, BRIAN ACCOUNT #: LSR010943	INCOME FUND OF AMERICA CLASS C BUY 1 Units @0.0000	0.00	11.09	0.00	11.09	88.0	9.76
07/23/2018	***-**-80TR - SCOTELLARO TTEE, ACCOUNT #: LSR010974	INCOME FUND OF AMERICA CLASS C BUY 1 Units @0.0000	0.00	13.27	0.00	13.27	88.0	11.68
07/23/2018	***-**-08TR - SCOTELLARO III, ACCOUNT #: LSR010975	INCOME FUND OF AMERICA CLASS C BUY 1 Units @0.0000	0.00	35.36	0.00	35.36	88.0	31.12
07/23/2018	***-**-973I - CHAMBERS, ROGER ACCOUNT #: LSR011018	INCOME FUND OF AMERICA CLASS C BUY 1 Units @0.0000	0.00	12.96	0.00	12.96	88.0	11.40
07/23/2018	***-**-9010 - DRUMM, LOIS ACCOUNT #: LSR011609	INCOME FUND OF AMERICA CLASS C BUY 1 Units @0.0000	0.00	7.99	0.00	7.99	88.0	7.03
07/17/2018	***-**-05IR - HULL, JEFF ACCOUNT #: LSR011534	MANNING & NAPIER PRO NFS BUY 1 Units @0.0000	0.00	3.94	0.00	3.94	88.0	3.47
07/23/2018	***-**-13IR - E, KAREN ACCOUNT #: LSR011953	MASSACHUSETTS INVESTORS TRUST-A BUY 1 Units @0.0000	0.00	0.71	0.00	0.71	88.0	0.62
07/23/2018	***-**-355I - CRIMMINS, KAREN ACCOUNT #: LSR011077	MFS AGGRESS GROWTH ALLOCATION FD-B BUY 1 Units @0.0000	0.00	0.65	0.00	0.65	88.0	0.57
07/23/2018	***-**-355I - CRIMMINS, KAREN ACCOUNT #: LSR011077	MFS CONSERVATIVE ALLOCATION FUND-B BUY 1 Units @0.0000	0.00	0.72	0.00	0.72	88.0	0.63



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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
07/23/2018	***-**-13IR - E, KAREN	MFS EMERGING MARKETS DEBT FUND-A	0.00	0.05	0.00	0.05	88.0	0.04
	ACCOUNT #: LSR011953	BUY 1 Units @0.0000						
07/23/2018	***-**-13IR - E, KAREN	MFS EMERGING MKT DEBT CL B	0.00	0.26	0.00	0.26	88.0	0.23
	ACCOUNT #: LSR011953	BUY 1 Units @0.0000						
07/23/2018	***-**-355I - CRIMMINS, KAREN	MFS GLOBAL ALTERNATIVE STRAT B	0.00	1.56	0.00	1.56	88.0	1.37
	ACCOUNT #: LSR011077	BUY 1 Units @0.0000						
07/23/2018	***-**-450I - SPAETH, JACK	MFS GLOBAL REAL ESTATE FUND CL B	0.00	1.62	0.00	1.62	88.0	1.43
	ACCOUNT #: LSR011015	BUY 1 Units @0.0000						
07/23/2018	***-**-387I - KINNEY, DOUGLAS	MFS GLOBAL REAL ESTATE FUND CL B	0.00	1.11	0.00	1.11	88.0	0.98
	ACCOUNT #: LSR011322	BUY 1 Units @0.0000						
07/23/2018	***-**-869I - CASEY, JOHN	MFS GLOBAL REAL ESTATE FUND CL B	0.00	1.11	0.00	1.11	88.0	0.98
	ACCOUNT #: LSR011323	BUY 1 Units @0.0000						
07/23/2018	***-**-13IR - E, KAREN	MFS GLOBAL TOTAL RETURN FUND-A	0.00	0.52	0.00	0.52	88.0	0.46
	ACCOUNT #: LSR011953	BUY 1 Units @0.0000						
07/23/2018	***-**-355I - CRIMMINS, KAREN	MFS GLOBAL TOTAL RETURN FUND-B	0.00	2.50	0.00	2.50	88.0	2.20
	ACCOUNT #: LSR011077	BUY 1 Units @0.0000						
07/23/2018	***-**-73IN - SCOTELLARO IV,	MFS GLOBAL TOTAL RETURN FUND-B	0.00	2.42	0.00	2.42	88.0	2.13
	ACCOUNT #: LSR011086	BUY 1 Units @0.0000						
07/23/2018	***-**-94IO - PERRITANO,	MFS GLOBAL TOTAL RETURN FUND-B	0.00	2.36	0.00	2.36	88.0	2.08
	ACCOUNT #: LSR011099	BUY 1 Units @0.0000						
07/23/2018	***-**-187I - WASZKIEWICZ, FBO	MFS GLOBAL TOTAL RETURN FUND-B	0.00	2.07	0.00	2.07	88.0	1.82
	ACCOUNT #: LSR011144	BUY 1 Units @0.0000						
07/23/2018	***-**-40UT - BROWN CUST	MFS GLOBAL TOTAL RETURN FUND-B	0.00	0.22	0.00	0.22	88.0	0.19
	ACCOUNT #: LSR011178	BUY 1 Units @0.0000						
07/23/2018	***-**-387I - KINNEY, DOUGLAS	MFS GLOBAL TOTAL RETURN FUND-B	0.00	1.22	0.00	1.22	88.0	1.07
	ACCOUNT #: LSR011322	BUY 1 Units @0.0000						
07/23/2018	***-**-1300 - MUMIN,	MFS GLOBAL TOTAL RETURN FUND-B	0.00	1.64	0.00	1.64	88.0	1.44
	ACCOUNT #: LSR011333	BUY 1 Units @0.0000						
07/23/2018	***-**-3017 - MUMIN, MESSIAH	MFS GLOBAL TOTAL RETURN FUND-B	0.00	1.64	0.00	1.64	88.0	1.44
	ACCOUNT #: LSR011334	BUY 1 Units @0.0000						
07/23/2018	***-**-0642 - MUMIN, MARY JO	MFS GLOBAL TOTAL RETURN FUND-B	0.00	1.64	0.00	1.64	88.0	1.44
	ACCOUNT #: LSR011335	BUY 1 Units @0.0000						



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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
07/23/2018	***-**-41TR - DAMSKY, BARRY	MFS GLOBAL TOTAL RETURN FUND-B	0.00	2.38	0.00	2.38	88.0	2.09
	ACCOUNT #: LSR011340	BUY 1 Units @0.0000						
07/23/2018	***-**-499X - LARA M TUR, SPS	MFS GLOBAL TOTAL RETURN FUND-B	0.00	1.44	0.00	1.44	88.0	1.27
	ACCOUNT #: LSR011400	BUY 1 Units @0.0000						
07/23/2018	***-**-28IO - CROWE, EMILY	MFS GLOBAL TOTAL RETURN FUND-B	0.00	2.46	0.00	2.46	88.0	2.16
	ACCOUNT #: LSR011427	BUY 1 Units @0.0000						
07/23/2018	***-**-13IR - MURRAY, JOHN	MFS GLOBAL TOTAL RETURN FUND-B	0.00	1.22	0.00	1.22	88.0	1.07
	ACCOUNT #: LSR011459	BUY 1 Units @0.0000						
07/23/2018	***-**-90IO - DRUMM, LOIS	MFS GLOBAL TOTAL RETURN FUND-B	0.00	3.91	0.00	3.91	88.0	3.44
	ACCOUNT #: LSR011609	BUY 1 Units @0.0000						
07/23/2018	***-**-29IO - LORUSSO, VINCENT	MFS GLOBAL TOTAL RETURN FUND-B	0.00	3.92	0.00	3.92	88.0	3.45
	ACCOUNT #: LSR011681	BUY 1 Units @0.0000						
07/23/2018	***-**-13IR - E, KAREN	MFS GLOBAL TOTAL RETURN FUND-B	0.00	1.76	0.00	1.76	88.0	1.55
	ACCOUNT #: LSR011953	BUY 1 Units @0.0000						
07/23/2018	***-**-13IR - E, KAREN	MFS INFLATION ADJUSTED BOND CL B	0.00	0.09	0.00	0.09	88.0	0.08
	ACCOUNT #: LSR011953	BUY 1 Units @0.0000						
07/23/2018	***-**-13IR - E, KAREN	MFS INFLATION ADJUSTED BOND FUND-A	0.00	0.10	0.00	0.10	88.0	0.09
	ACCOUNT #: LSR011953	BUY 1 Units @0.0000						
07/23/2018	***-**-355I - CRIMMINS, KAREN	MFS INTERNATIONAL DIVERSIFICATION F	0.00	0.84	0.00	0.84	88.0	0.74
	ACCOUNT #: LSR011077	BUY 1 Units @0.0000						
07/23/2018	***-**-29IO - LORUSSO, VINCENT	MFS TECHNOLOGY FUND-B	0.00	1.61	0.00	1.61	88.0	1.42
	ACCOUNT #: LSR011681	BUY 1 Units @0.0000						
07/23/2018	***-**-13IR - E, KAREN	MFS TECHNOLOGY FUND-B	0.00	2.03	0.00	2.03	88.0	1.79
	ACCOUNT #: LSR011953	BUY 1 Units @0.0000						
07/23/2018	***-**-13IR - E, KAREN	MFS TOTAL RETURN FUND-A	0.00	0.49	0.00	0.49	88.0	0.43
	ACCOUNT #: LSR011953	BUY 1 Units @0.0000						
07/23/2018	***-**-13IR - E, KAREN	MFS TOTAL RETURN FUND-B	0.00	0.29	0.00	0.29	88.0	0.26
	ACCOUNT #: LSR011953	BUY 1 Units @0.0000						
07/23/2018	***-**-621I - DANIELS SR, JOHN	MFS UTILITIES FUND-A	0.00	1.58	0.00	1.58	88.0	1.39
	ACCOUNT #: LSR010950	BUY 1 Units @0.0000						
07/23/2018	***-**-369I - DAVIS, BRUCE	MFS UTILITIES FUND-A	0.00	0.97	0.00	0.97	88.0	0.85
	ACCOUNT #: LSR011029	BUY 1 Units @0.0000						



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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
07/23/2018	***-**-698J - FEISTHAMEL, MR	MFS UTILITIES FUND-A	0.00	1.80	0.00	1.80	88.0	1.58
	ACCOUNT #: LSR011137	BUY 1 Units @0.0000						
07/23/2018	***-**-13IR - E, KAREN	MFS UTILITIES FUND-A	0.00	0.43	0.00	0.43	88.0	0.38
	ACCOUNT #: LSR011953	BUY 1 Units @0.0000						
07/23/2018	***-**-621I - DANIELS SR, JOHN	MFS UTILITIES FUND-B	0.00	2.04	0.00	2.04	88.0	1.80
	ACCOUNT #: LSR010950	BUY 1 Units @0.0000						
07/23/2018	***-**-614I - MARIOTTI, CINDY	MFS UTILITIES FUND-B	0.00	2.65	0.00	2.65	88.0	2.33
	ACCOUNT #: LSR011535	BUY 1 Units @0.0000						
07/23/2018	***-**-39IR - VELARDI, CHRIS	MFS UTILITIES FUND-B	0.00	0.33	0.00	0.33	88.0	0.29
	ACCOUNT #: LSR011591	BUY 1 Units @0.0000						
07/23/2018	***-**-13IR - E, KAREN	MFS UTILITIES FUND-B	0.00	1.12	0.00	1.12	88.0	0.99
	ACCOUNT #: LSR011953	BUY 1 Units @0.0000						
07/17/2018	***-**-656I - SMOLA, STANLEY	MUTUAL SHRS FND - CL C	0.00	2.09	0.00	2.09	88.0	1.84
	ACCOUNT #: LSR010868	BUY 1 Units @0.0000						
07/23/2018	***-**-661I - GORCZYNSKI,	NEW WORLD FUND-A	0.00	3.55	0.00	3.55	88.0	3.12
	ACCOUNT #: LSR011221	BUY 1 Units @0.0000						
07/23/2018	***-**-05IN - HULL, JEFFERY	PRINCIPAL INVESTORS HIGH YIELD CL	0.00	6.00	0.00	6.00	88.0	5.28
	ACCOUNT #: LSR011187	BUY 1 Units @0.0000						
07/23/2018	***-**-80IN - GRIFFITH, DAVID	SMALLCAP WORLD FUND-A	0.00	5.87	0.00	5.87	88.0	5.17
	ACCOUNT #: LSF000286	BUY 1 Units @0.0000						
07/23/2018	***-**-580I - GRIFFITH, DAVID	SMALLCAP WORLD FUND-A	0.00	1.56	0.00	1.56	88.0	1.37
	ACCOUNT #: LSF000295	BUY 1 Units @0.0000						
07/23/2018	***-**-522I - RIEBEN, HENRY	SMALLCAP WORLD FUND-A	0.00	0.72	0.00	0.72	88.0	0.63
	ACCOUNT #: LSR010964	BUY 1 Units @0.0000						
07/23/2018	***-**-24TR - SCOTELLARO, L	SMALLCAP WORLD FUND-A	0.00	1.61	0.00	1.61	88.0	1.42
	ACCOUNT #: LSR010973	BUY 1 Units @0.0000						
07/23/2018	***-**-803J - TEESDALE,	SMALLCAP WORLD FUND-A	0.00	0.36	0.00	0.36	88.0	0.32
	ACCOUNT #: LSR011017	BUY 1 Units @0.0000						
07/23/2018	***-**-22IN - GRACIE, JULIA	SMALLCAP WORLD FUND-A	0.00	2.05	0.00	2.05	88.0	1.80
	ACCOUNT #: LSR011019	BUY 1 Units @0.0000						
07/23/2018	***-**-661I - GORCZYNSKI,	SMALLCAP WORLD FUND-A	0.00	4.22	0.00	4.22	88.0	3.71
	ACCOUNT #: LSR011221	BUY 1 Units @0.0000						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
07/23/2018	***-**-469I - HAUCK, JUDITH	SMALLCAP WORLD FUND-A	0.00	0.73	0.00	0.73	88.0	0.64
	ACCOUNT #: LSR011739	BUY 1 Units @0.0000						
07/23/2018	***-**-621O - DANIELS, JOHN	SMALLCAP WORLD FUND-A	0.00	1.23	0.00	1.23	88.0	1.08
	ACCOUNT #: LSR012373	BUY 1 Units @0.0000						
07/23/2018	***-**-762I - STORSBERG,	SMALLCAP WORLD FUND-C	0.00	15.22	0.00	15.22	88.0	13.39
	ACCOUNT #: LSR011688	BUY 1 Units @0.0000						
07/23/2018	***-**-656I - SMOLA, STANLEY	SMALLCAP WORLD FUND-F1	0.00	2.05	0.00	2.05	88.0	1.80
	ACCOUNT #: LSR010868	BUY 1 Units @0.0000						
07/23/2018	***-**-25IN - PERRITANO,	TA ASSET ALLOC MODERATE PORT CL A	0.00	1.83	0.00	1.83	88.0	1.61
	ACCOUNT #: LSR010924	BUY 1 Units @0.0000						
07/17/2018	***-**-423I - SAVICKI, RICHARD	TEMPLETON EMERGING MARKETS BALANCED	0.00	7.69	0.00	7.69	88.0	6.77
	ACCOUNT #: LSR010889	BUY 1 Units @0.0000						
07/17/2018	***-**-425I - PERRITANO,	TEMPLETON EMERGING MARKETS BALANCED	0.00	11.86	0.00	11.86	88.0	10.44
	ACCOUNT #: LSR010922	BUY 1 Units @0.0000						
07/17/2018	***-**-319I - HILLEBRAND, JOAN	TEMPLETON EMERGING MARKETS BALANCED	0.00	8.37	0.00	8.37	88.0	7.37
	ACCOUNT #: LSR011002	BUY 1 Units @0.0000						
07/17/2018	***-**-973I - CHAMBERS, ROGER	TEMPLETON GLOBAL BOND FUND - CLASS	0.00	5.73	0.00	5.73	88.0	5.04
	ACCOUNT #: LSR011018	BUY 1 Units @0.0000						
07/17/2018	***-**-05IN - HULL, JEFFERY	TEMPLETON GLOBAL BOND FUND - CLASS	0.00	4.20	0.00	4.20	88.0	3.70
	ACCOUNT #: LSR011187	BUY 1 Units @0.0000						
07/23/2018	***-**-80IN - GRIFFITH, DAVID	THE GROWTH FUND OF AMERICA-A	0.00	1.30	0.00	1.30	88.0	1.14
	ACCOUNT #: LSF000286	BUY 1 Units @0.0000						
07/23/2018	***-**-29IO - LORUSSO, VINCENT	THE GROWTH FUND OF AMERICA-C	0.00	7.54	0.00	7.54	88.0	6.64
	ACCOUNT #: LSR011681	BUY 1 Units @0.0000						
07/02/2018	***-**-794I - INGERSOLL, JOAN	THE HARTFORD EQUITY INCOME FUND - A	0.00	0.58	0.00	0.58	88.0	0.51
	ACCOUNT #: 00000871758	BUY 0 Units @0.0000						
07/02/2018	***-**-015P - SABANOSH, SHERYL	THE HARTFORD FLOATING RATE FUND - A	0.00	0.65	0.00	0.65	88.0	0.57
	ACCOUNT #: 00000856950	BUY 0 Units @0.0000						
07/02/2018	***-**-015P - SABANOSH, SHERYL	THE HARTFORD GLOBAL HEALTH FUND-A	0.00	1.26	0.00	1.26	88.0	1.11
	ACCOUNT #: 00000856950	BUY 0 Units @0.0000						
07/02/2018	***-**-015P - SABANOSH, SHERYL	THE HARTFORD VALUE OPPORTUNITIES FD	0.00	0.95	0.00	0.95	88.0	0.84
	ACCOUNT #: 00000856950	BUY 0 Units @0.0000						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
07/23/2018	***-**-24TR - SCOTELLARO, L	THE INCOME FUND OF AMERICA-A BUY 1 Units @0.0000	0.00	4.55	0.00	4.55	88.0	4.00
	ACCOUNT #: LSR010973							
07/23/2018	***-**-474J - HAGAN JR,	THE INCOME FUND OF AMERICA-A BUY 1 Units @0.0000	0.00	3.15	0.00	3.15	88.0	2.77
	ACCOUNT #: LSR010993							
07/23/2018	***-**-698J - FEISTHAMEL, MR	THE INCOME FUND OF AMERICA-A BUY 1 Units @0.0000	0.00	1.57	0.00	1.57	88.0	1.38
	ACCOUNT #: LSR011137							
07/23/2018	***-**-661I - GORCZYNSKI,	THE INCOME FUND OF AMERICA-A BUY 1 Units @0.0000	0.00	2.19	0.00	2.19	88.0	1.93
	ACCOUNT #: LSR011221							
07/23/2018	***-**-469I - HAUCK, JUDITH	THE INCOME FUND OF AMERICA-A BUY 1 Units @0.0000	0.00	1.74	0.00	1.74	88.0	1.53
	ACCOUNT #: LSR011739							
07/23/2018	***-**-621O - DANIELS, JOHN	THE INCOME FUND OF AMERICA-A BUY 1 Units @0.0000	0.00	3.62	0.00	3.62	88.0	3.19
	ACCOUNT #: LSR012373							
07/23/2018	***-**-656I - SMOLA, STANLEY	THE INCOME FUND OF AMERICA-F1 BUY 1 Units @0.0000	0.00	1.41	0.00	1.41	88.0	1.24
	ACCOUNT #: LSR010868							
07/23/2018	***-**-661I - GORCZYNSKI,	THE NEW ECONOMY FUND-A BUY 1 Units @0.0000	0.00	3.84	0.00	3.84	88.0	3.38
	ACCOUNT #: LSR011221							
07/23/2018	***-**-94UT - MISHLANIE,	TRANSAMERICA BALANCED - A BUY 1 Units @0.0000	0.00	4.44	0.00	4.44	88.0	3.91
	ACCOUNT #: LSR010931							
07/23/2018	***-**-841O - HULL, ELMINA	TRANSAMERICA MULT MAN ALT BUY 1 Units @0.0000	0.00	0.67	0.00	0.67	88.0	0.59
	ACCOUNT #: LSR012377							
07/23/2018	***-**-474J - HAGAN JR,	WASHINGTON MUTUAL INVESTORS FUND-C BUY 1 Units @0.0000	0.00	24.43	0.00	24.43	88.0	21.50
	ACCOUNT #: LSR010993							
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *			\$0.00	\$1,003.02	\$0.00	\$1,003.02		\$882.64
*** BROKER TRANSACTIONS TOTAL ***			\$10,142.91	\$1,122.38	\$16.84	\$1,105.54		\$972.85



COMMISSION STATEMENT

July 23, 2018

DAVID GRIFFITH
2108 Genesee St.
Utica, NY 13502

BROKER #: A76
BRANCH #01047 - 47 - GRIFFITH

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u> OVERRIDE TRANSACTIONS </u>								
<u>BROKER: KURT GRUENEWALD</u>								
07/23/2018	***-**-702I - KOCHER, MICHAEL	AF MODERATE GROWTH AND INCOME-A	0.00	4.07	0.00	4.07	88.0	3.58
	ACCOUNT #: LSR010954	BUY 1 Units @0.0000						
07/23/2018	***-**-366I - GRUENEWALD,	AF MODERATE GROWTH AND INCOME-A	0.00	1.47	0.00	1.47	88.0	1.29
	ACCOUNT #: LSR010989	BUY 1 Units @0.0000						
07/23/2018	***-**-579J - RHYMESTINE,	AF MODERATE GROWTH AND INCOME-A	0.00	0.79	0.00	0.79	88.0	0.70
	ACCOUNT #: LSR011081	BUY 1 Units @0.0000						
07/23/2018	***-**-808J - GORMAN, RANDY	AF MODERATE GROWTH AND INCOME-A	0.00	0.24	0.00	0.24	88.0	0.21
	ACCOUNT #: LSR011087	BUY 1 Units @0.0000						
07/23/2018	***-**-326I - GRANDE, FBO MR	AF MODERATE GROWTH AND INCOME-A	0.00	2.03	0.00	2.03	88.0	1.79
	ACCOUNT #: LSR011091	BUY 1 Units @0.0000						
07/23/2018	***-**-71IO - FAMOLARO, JAMES	AIM GLOBAL VALUE FUND - CLASS A	0.00	0.33	0.00	0.33	88.0	0.29
	ACCOUNT #: LSR011279	BUY 1 Units @0.0000						
07/23/2018	***-**-306X - COBB, CHERYL	AIM GOLD & PRECIOUS METALS FD - A	0.00	0.70	0.00	0.70	88.0	0.62
	ACCOUNT #: LSR011037	BUY 1 Units @0.0000						
07/23/2018	***-**-580X - COBB, JAMES	AIM GOLD & PRECIOUS METALS FD - A	0.00	0.63	0.00	0.63	88.0	0.55
	ACCOUNT #: LSR011040	BUY 1 Units @0.0000						
07/23/2018	***-**-837O - BASEMENT	AIM GOLD & PRECIOUS METALS FD - A	0.00	1.87	0.00	1.87	88.0	1.65
	ACCOUNT #: LSR011046	BUY 1 Units @0.0000						
07/16/2018	***-**-5375 - CARTER, LISA	AMERICAN BALANCED FUND-529C	500.00	5.00	0.00	5.00	88.0	4.40
	ACCOUNT #: 00083996363	BUY 18 Units @27.5100						
07/09/2018	***-**-480J - EVANS, RICHARD	AMERICAN BALANCED FUND-A	125.00	4.69	0.00	4.69	88.0	4.13
	ACCOUNT #: 00073288662	BUY 4 Units @28.8200						
07/23/2018	***-**-680I - HARRELL, DARYL	AMERICAN BALANCED FUND-A	0.00	0.87	0.00	0.87	88.0	0.77
	ACCOUNT #: LSR011321	BUY 1 Units @0.0000						
07/23/2018	***-**-30TR - AND SANDRA	AMERICAN BALANCED FUND-A	0.00	2.84	0.00	2.84	88.0	2.50
	ACCOUNT #: LSR011939	BUY 1 Units @0.0000						
07/23/2018	***-**-761I - EVANS, DOLORES	AMERICAN BALANCED FUND-C	0.00	14.98	0.00	14.98	88.0	13.18
	ACCOUNT #: LSR011024	BUY 1 Units @0.0000						
07/23/2018	***-**-094I - KATRENA L	AMERICAN BALANCED FUND-C	0.00	3.78	0.00	3.78	88.0	3.33
	ACCOUNT #: LSR011188	BUY 1 Units @0.0000						
07/23/2018	***-**-52IO - EUSEPI, SUSAN	AMERICAN BALANCED FUND-C	0.00	5.09	0.00	5.09	88.0	4.48
	ACCOUNT #: LSR011219	BUY 1 Units @0.0000						



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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
 OVERRIDE TRANSACTIONS (continued)								
 <u>BROKER: KURT GRUENEWALD (continued)</u>								
07/23/2018	***-**-80IO - EVANS, RICHARD ACCOUNT #: LSR011276	AMERICAN BALANCED FUND-C BUY 1 Units @0.0000	0.00	15.20	0.00	15.20	88.0	13.38
07/23/2018	***-**-881I - EBERLEY, SUSAN ACCOUNT #: LSR010858	AMERICAN FUNDS BALANCED PORT CL C BUY 1 Units @0.0000	0.00	8.58	0.00	8.58	88.0	7.55
07/23/2018	***-**-382K - SATTERLY, NEIL ACCOUNT #: LSR010875	AMERICAN FUNDS BALANCED PORT CL C BUY 1 Units @0.0000	0.00	4.36	0.00	4.36	88.0	3.84
07/23/2018	***-**-949I - ACEE, JOSPEH ACCOUNT #: LSR010908	AMERICAN FUNDS BALANCED PORT CL C BUY 1 Units @0.0000	0.00	3.58	0.00	3.58	88.0	3.15
07/23/2018	***-**-48IO - CLARK, PATRICK ACCOUNT #: LSR010911	AMERICAN FUNDS BALANCED PORT CL C BUY 1 Units @0.0000	0.00	22.05	0.00	22.05	88.0	19.40
07/23/2018	***-**-31IO - HARTZ, CLAUDIA ACCOUNT #: LSR010915	AMERICAN FUNDS BALANCED PORT CL C BUY 1 Units @0.0000	0.00	6.03	0.00	6.03	88.0	5.31
07/23/2018	***-**-031O - MCVOY, ROBERT ACCOUNT #: LSR010916	AMERICAN FUNDS BALANCED PORT CL C BUY 1 Units @0.0000	0.00	4.59	0.00	4.59	88.0	4.04
07/23/2018	***-**-15IN - PENDRAK, JOHN ACCOUNT #: LSR010948	AMERICAN FUNDS BALANCED PORT CL C BUY 1 Units @0.0000	0.00	11.70	0.00	11.70	88.0	10.30
07/23/2018	***-**-959I - FRANZ, PAUL ACCOUNT #: LSR010959	AMERICAN FUNDS BALANCED PORT CL C BUY 1 Units @0.0000	0.00	10.29	0.00	10.29	88.0	9.06
07/23/2018	***-**-567I - FRANZ, ALICE ACCOUNT #: LSR010960	AMERICAN FUNDS BALANCED PORT CL C BUY 1 Units @0.0000	0.00	6.91	0.00	6.91	88.0	6.08
07/23/2018	***-**-960J - MASTRANGELO, ACCOUNT #: LSR010966	AMERICAN FUNDS BALANCED PORT CL C BUY 1 Units @0.0000	0.00	11.61	0.00	11.61	88.0	10.22
07/23/2018	***-**-73TR - WESTCOTT IRRVOC ACCOUNT #: LSR011001	AMERICAN FUNDS BALANCED PORT CL C BUY 1 Units @0.0000	0.00	8.47	0.00	8.47	88.0	7.45
07/23/2018	***-**-51IO - CAIN, TIMOTHY ACCOUNT #: LSR011007	AMERICAN FUNDS BALANCED PORT CL C BUY 1 Units @0.0000	0.00	11.56	0.00	11.56	88.0	10.17
07/23/2018	***-**-169I - EVANS, PAUL ACCOUNT #: LSR011026	AMERICAN FUNDS BALANCED PORT CL C BUY 1 Units @0.0000	0.00	5.35	0.00	5.35	88.0	4.71
07/23/2018	***-**-73UT - COBB, CHRSTIAN ACCOUNT #: LSR011104	AMERICAN FUNDS BALANCED PORT CL C BUY 1 Units @0.0000	0.00	5.31	0.00	5.31	88.0	4.67
07/23/2018	***-**-67UT - COBB, ACCOUNT #: LSR011105	AMERICAN FUNDS BALANCED PORT CL C BUY 1 Units @0.0000	0.00	5.31	0.00	5.31	88.0	4.67



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 OVERRIDE TRANSACTIONS (continued) 								
 <u>BROKER: KURT GRUENEWALD (continued)</u> 								
07/23/2018	***-**-13IN - RHYMESTINE, ACCOUNT #: LSR011106	AMERICAN FUNDS BALANCED PORT CL C BUY 1 Units @0.0000	0.00	2.54	0.00	2.54	88.0	2.24
07/23/2018	***-**-89IN - LEE, ROGER ACCOUNT #: LSR011166	AMERICAN FUNDS BALANCED PORT CL C BUY 1 Units @0.0000	0.00	7.30	0.00	7.30	88.0	6.42
07/23/2018	***-**-31IO - WILLIAMSON, FBO ACCOUNT #: LSR011172	AMERICAN FUNDS BALANCED PORT CL C BUY 1 Units @0.0000	0.00	15.64	0.00	15.64	88.0	13.76
07/23/2018	***-**-64IO - PFAFF, GEORGE ACCOUNT #: LSR011185	AMERICAN FUNDS BALANCED PORT CL C BUY 1 Units @0.0000	0.00	4.90	0.00	4.90	88.0	4.31
07/23/2018	***-**-900J - LEE, MR. ACCOUNT #: LSR011186	AMERICAN FUNDS BALANCED PORT CL C BUY 1 Units @0.0000	0.00	5.06	0.00	5.06	88.0	4.45
07/23/2018	***-**-62IR - ROBBIANO, FBO ACCOUNT #: LSR011195	AMERICAN FUNDS BALANCED PORT CL C BUY 1 Units @0.0000	0.00	3.57	0.00	3.57	88.0	3.14
07/23/2018	***-**-02IN - BUSHEY, MELISSA ACCOUNT #: LSR011257	AMERICAN FUNDS BALANCED PORT CL C BUY 1 Units @0.0000	0.00	3.59	0.00	3.59	88.0	3.16
07/23/2018	***-**-653I - KOCHER, CLINTON ACCOUNT #: LSR011300	AMERICAN FUNDS BALANCED PORT CL C BUY 1 Units @0.0000	0.00	3.63	0.00	3.63	88.0	3.19
07/23/2018	***-**-851K - LALLIER, JAMES ACCOUNT #: LSR012645	AMERICAN FUNDS BALANCED PORT CL C BUY 1 Units @0.0000	0.00	11.39	0.00	11.39	88.0	10.02
07/23/2018	***-**-62IR - ROBBIANO, FBO ACCOUNT #: LSR011195	AMERICAN FUNDS GLBL GROWTH PORT CL BUY 1 Units @0.0000	0.00	3.37	0.00	3.37	88.0	2.97
07/23/2018	***-**-851K - LALLIER, JAMES ACCOUNT #: LSR012645	AMERICAN FUNDS GLBL GROWTH PORT CL BUY 1 Units @0.0000	0.00	2.02	0.00	2.02	88.0	1.78
07/23/2018	***-**-87IN - HINCKLEY, ACCOUNT #: LSR010834	AMERICAN FUNDS MORTGAGE FD CL C BUY 1 Units @0.0000	0.00	6.28	0.00	6.28	88.0	5.53
07/23/2018	***-**-287J - HINCKLEY, ACCOUNT #: LSR010841	AMERICAN FUNDS MORTGAGE FD CL C BUY 1 Units @0.0000	0.00	7.92	0.00	7.92	88.0	6.97
07/23/2018	***-**-881I - EBERLEY, SUSAN ACCOUNT #: LSR010858	AMERICAN FUNDS MORTGAGE FD CL C BUY 1 Units @0.0000	0.00	7.08	0.00	7.08	88.0	6.23
07/23/2018	***-**-382I - SATTERLY, NEIL ACCOUNT #: LSR010867	AMERICAN FUNDS MORTGAGE FD CL C BUY 1 Units @0.0000	0.00	8.24	0.00	8.24	88.0	7.25
07/23/2018	***-**-980I - ACEE, ELIZABETH ACCOUNT #: LSR010885	AMERICAN FUNDS MORTGAGE FD CL C BUY 1 Units @0.0000	0.00	12.48	0.00	12.48	88.0	10.98



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 OVERRIDE TRANSACTIONS (continued)								
 <u>BROKER: KURT GRUENEWALD (continued)</u>								
07/23/2018	***-**-48IO - CLARK, PATRICK ACCOUNT #: LSR010911	AMERICAN FUNDS MORTGAGE FD CL C BUY 1 Units @0.0000	0.00	12.38	0.00	12.38	88.0	10.89
07/23/2018	***-**-31IO - HARTZ, CLAUDIA ACCOUNT #: LSR010915	AMERICAN FUNDS MORTGAGE FD CL C BUY 1 Units @0.0000	0.00	4.77	0.00	4.77	88.0	4.20
07/23/2018	***-**-72IN - GAVALO, JULIE ACCOUNT #: LSR010921	AMERICAN FUNDS MORTGAGE FD CL C BUY 1 Units @0.0000	0.00	12.44	0.00	12.44	88.0	10.95
07/23/2018	***-**-959I - FRANZ, PAUL ACCOUNT #: LSR010959	AMERICAN FUNDS MORTGAGE FD CL C BUY 1 Units @0.0000	0.00	9.95	0.00	9.95	88.0	8.76
07/23/2018	***-**-065I - LAZIO, THOMAS ACCOUNT #: LSR010979	AMERICAN FUNDS MORTGAGE FD CL C BUY 1 Units @0.0000	0.00	7.44	0.00	7.44	88.0	6.55
07/23/2018	***-**-80IN - COBB, JAMES ACCOUNT #: LSR011042	AMERICAN FUNDS MORTGAGE FD CL C BUY 1 Units @0.0000	0.00	8.22	0.00	8.22	88.0	7.23
07/23/2018	***-**-00IO - LEE, GARY ACCOUNT #: LSR011059	AMERICAN FUNDS MORTGAGE FD CL C BUY 1 Units @0.0000	0.00	8.33	0.00	8.33	88.0	7.33
07/23/2018	***-**-44IO - MAYO, DEBORAH ACCOUNT #: LSR011079	AMERICAN FUNDS MORTGAGE FD CL C BUY 1 Units @0.0000	0.00	28.61	0.00	28.61	88.0	25.18
07/23/2018	***-**-579J - RHYMESTINE, ACCOUNT #: LSR011081	AMERICAN FUNDS MORTGAGE FD CL C BUY 1 Units @0.0000	0.00	8.18	0.00	8.18	88.0	7.20
07/23/2018	***-**-09IO - BATES, FBO MRS ACCOUNT #: LSR011117	AMERICAN FUNDS MORTGAGE FD CL C BUY 1 Units @0.0000	0.00	21.32	0.00	21.32	88.0	18.76
07/23/2018	***-**-48IO - ANACKER, FBO MRS ACCOUNT #: LSR011164	AMERICAN FUNDS MORTGAGE FD CL C BUY 1 Units @0.0000	0.00	6.20	0.00	6.20	88.0	5.46
07/23/2018	***-**-89IN - LEE, ROGER ACCOUNT #: LSR011166	AMERICAN FUNDS MORTGAGE FD CL C BUY 1 Units @0.0000	0.00	13.33	0.00	13.33	88.0	11.73
07/23/2018	***-**-094I - KATRENA L ACCOUNT #: LSR011188	AMERICAN FUNDS MORTGAGE FD CL C BUY 1 Units @0.0000	0.00	2.89	0.00	2.89	88.0	2.54
07/23/2018	***-**-439J - MCCARTHY, JAMES ACCOUNT #: LSR011205	AMERICAN FUNDS MORTGAGE FD CL C BUY 1 Units @0.0000	0.00	2.41	0.00	2.41	88.0	2.12
07/23/2018	***-**-52IO - EUSEPI, SUSAN ACCOUNT #: LSR011219	AMERICAN FUNDS MORTGAGE FD CL C BUY 1 Units @0.0000	0.00	2.86	0.00	2.86	88.0	2.52
07/23/2018	***-**-473J - HUSTON, ACCOUNT #: LSR011228	AMERICAN FUNDS MORTGAGE FD CL C BUY 1 Units @0.0000	0.00	8.29	0.00	8.29	88.0	7.30



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<u> OVERRIDE TRANSACTIONS (continued) </u>								
<u> BROKER: KURT GRUENEWALD (continued) </u>								
07/23/2018	***-**-80IO - EVANS, RICHARD	AMERICAN FUNDS MORTGAGE FD CL C	0.00	6.57	0.00	6.57	88.0	5.78
	ACCOUNT #: LSR011276	BUY 1 Units @0.0000						
07/23/2018	***-**-376I - BERBEN, GAIL	AMERICAN FUNDS MORTGAGE FD CL C	0.00	8.06	0.00	8.06	88.0	7.09
	ACCOUNT #: LSR011380	BUY 1 Units @0.0000						
07/23/2018	***-**-21IO - RADELL, SANDRA	AMERICAN FUNDS MORTGAGE FD CL C	0.00	8.05	0.00	8.05	88.0	7.08
	ACCOUNT #: LSR011392	BUY 1 Units @0.0000						
07/23/2018	***-**-45IO - JOHNSON, GREGORY	AMERICAN FUNDS MORTGAGE FD CL C	0.00	16.09	0.00	16.09	88.0	14.16
	ACCOUNT #: LSR011421	BUY 1 Units @0.0000						
07/23/2018	***-**-420T - DEMETRI, AMELIA	AMERICAN FUNDS PRESERVATION PORT C	0.00	4.08	0.00	4.08	88.0	3.59
	ACCOUNT #: LSR010994	BUY 1 Units @0.0000						
07/23/2018	***-**-881J - EBERLEY, SUSAN	AMERICAN GLOBAL BALANCED CL C	0.00	9.18	0.00	9.18	88.0	8.08
	ACCOUNT #: LSR010856	BUY 1 Units @0.0000						
07/23/2018	***-**-382I - SATTERLY, NEIL	AMERICAN GLOBAL BALANCED CL C	0.00	11.11	0.00	11.11	88.0	9.78
	ACCOUNT #: LSR010867	BUY 1 Units @0.0000						
07/23/2018	***-**-382K - SATTERLY, NEIL	AMERICAN GLOBAL BALANCED CL C	0.00	4.11	0.00	4.11	88.0	3.62
	ACCOUNT #: LSR010875	BUY 1 Units @0.0000						
07/23/2018	***-**-980I - ACEE, ELIZABETH	AMERICAN GLOBAL BALANCED CL C	0.00	13.89	0.00	13.89	88.0	12.22
	ACCOUNT #: LSR010885	BUY 1 Units @0.0000						
07/23/2018	***-**-48IO - CLARK, PATRICK	AMERICAN GLOBAL BALANCED CL C	0.00	10.92	0.00	10.92	88.0	9.61
	ACCOUNT #: LSR010911	BUY 1 Units @0.0000						
07/23/2018	***-**-72IN - GAVALO, JULIE	AMERICAN GLOBAL BALANCED CL C	0.00	10.61	0.00	10.61	88.0	9.34
	ACCOUNT #: LSR010921	BUY 1 Units @0.0000						
07/23/2018	***-**-065I - LAZIO, THOMAS	AMERICAN GLOBAL BALANCED CL C	0.00	9.00	0.00	9.00	88.0	7.92
	ACCOUNT #: LSR010979	BUY 1 Units @0.0000						
07/23/2018	***-**-420T - DEMETRI, AMELIA	AMERICAN GLOBAL BALANCED CL C	0.00	6.41	0.00	6.41	88.0	5.64
	ACCOUNT #: LSR010994	BUY 1 Units @0.0000						
07/23/2018	***-**-73TR - WESTCOTT IRRVOC	AMERICAN GLOBAL BALANCED CL C	0.00	12.66	0.00	12.66	88.0	11.14
	ACCOUNT #: LSR011001	BUY 1 Units @0.0000						
07/23/2018	***-**-73TR - WESTCOTT IRRVOC	AMERICAN GLOBAL BALANCED CL C	0.00	24.12	0.00	24.12	88.0	21.23
	ACCOUNT #: LSR011008	BUY 1 Units @0.0000						
07/23/2018	***-**-80IN - COBB, JAMES	AMERICAN GLOBAL BALANCED CL C	0.00	7.77	0.00	7.77	88.0	6.84
	ACCOUNT #: LSR011042	BUY 1 Units @0.0000						



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 OVERRIDE TRANSACTIONS (continued)								
 BROKER: KURT GRUENEWALD (continued)								
07/23/2018	***-**-00IO - LEE, GARY	AMERICAN GLOBAL BALANCED CL C	0.00	12.94	0.00	12.94	88.0	11.39
	ACCOUNT #: LSR011059	BUY 1 Units @0.0000						
07/23/2018	***-**-44IO - MAYO, DEBORAH	AMERICAN GLOBAL BALANCED CL C	0.00	32.41	0.00	32.41	88.0	28.52
	ACCOUNT #: LSR011079	BUY 1 Units @0.0000						
07/23/2018	***-**-09IO - BATES, FBO MRS	AMERICAN GLOBAL BALANCED CL C	0.00	16.37	0.00	16.37	88.0	14.41
	ACCOUNT #: LSR011117	BUY 1 Units @0.0000						
07/23/2018	***-**-094I - KATRENA L	AMERICAN GLOBAL BALANCED CL C	0.00	7.34	0.00	7.34	88.0	6.46
	ACCOUNT #: LSR011188	BUY 1 Units @0.0000						
07/23/2018	***-**-11IO - LYNN G.	AMERICAN GLOBAL BALANCED CL C	0.00	18.80	0.00	18.80	88.0	16.54
	ACCOUNT #: LSR011239	BUY 1 Units @0.0000						
07/23/2018	***-**-07IO - FAMOLARO, JAMES	AMERICAN GLOBAL BALANCED CL C	0.00	5.56	0.00	5.56	88.0	4.89
	ACCOUNT #: LSR011280	BUY 1 Units @0.0000						
07/23/2018	***-**-376I - BERBEN, GAIL	AMERICAN GLOBAL BALANCED CL C	0.00	17.48	0.00	17.48	88.0	15.38
	ACCOUNT #: LSR011380	BUY 1 Units @0.0000						
07/23/2018	***-**-21IO - RADELL, SANDRA	AMERICAN GLOBAL BALANCED CL C	0.00	5.60	0.00	5.60	88.0	4.93
	ACCOUNT #: LSR011392	BUY 1 Units @0.0000						
07/23/2018	***-**-45IO - JOHNSON, GREGORY	AMERICAN GLOBAL BALANCED CL C	0.00	11.76	0.00	11.76	88.0	10.35
	ACCOUNT #: LSR011421	BUY 1 Units @0.0000						
07/23/2018	***-**-14IO - BUSHEY, MATTHEW	AMERICAN GLOBAL BALANCED CL C	0.00	16.75	0.00	16.75	88.0	14.74
	ACCOUNT #: LSR011498	BUY 1 Units @0.0000						
07/23/2018	***-**-37IO - MCCLUSKY, MARK	AMERICAN GLOBAL BALANCED CL C	0.00	9.15	0.00	9.15	88.0	8.05
	ACCOUNT #: LSR011579	BUY 1 Units @0.0000						
07/23/2018	***-**-86IN - LEE, KEVIN	AMERICAN GLOBAL BALANCED CL C	0.00	8.17	0.00	8.17	88.0	7.19
	ACCOUNT #: LSR011613	BUY 1 Units @0.0000						
07/23/2018	***-**-03IO - MASTRANGELO,	AMERICAN GLOBAL BALANCED CL C	0.00	9.24	0.00	9.24	88.0	8.13
	ACCOUNT #: LSR011679	BUY 1 Units @0.0000						
07/23/2018	***-**-51IO - SCALISE, MARY	AMERICAN GLOBAL BALANCED CL C	0.00	7.45	0.00	7.45	88.0	6.56
	ACCOUNT #: LSR011837	BUY 1 Units @0.0000						
07/23/2018	***-**-702I - KOCHEM, MICHAEL	AMERICAN GLOBAL BALANCED CLASS A	0.00	2.54	0.00	2.54	88.0	2.24
	ACCOUNT #: LSR010954	BUY 1 Units @0.0000						
07/23/2018	***-**-63TR - EVANS, AUDREY J	AMERICAN GLOBAL BALANCED CLASS A	0.00	5.85	0.00	5.85	88.0	5.15
	ACCOUNT #: LSR011036	BUY 1 Units @0.0000						



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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
 OVERRIDE TRANSACTIONS (continued)								
 <u>BROKER: KURT GRUENEWALD (continued)</u>								
07/23/2018	***-**-30TR - AND SANDRA	AMERICAN GLOBAL BALANCED CLASS A	0.00	1.50	0.00	1.50	88.0	1.32
	ACCOUNT #: LSR011939	BUY 1 Units @0.0000						
07/23/2018	***-**-287I - HINCKLEY,	AMERICAN MUTUAL FUND-A	0.00	5.32	0.00	5.32	88.0	4.68
	ACCOUNT #: LSR010843	BUY 1 Units @0.0000						
07/23/2018	***-**-13IN - GRUENEWALD,	AMERICAN WASHINGTON MUTUAL INVESTOR	0.00	0.33	0.00	0.33	88.0	0.29
	ACCOUNT #: LSR011210	BUY 1 Units @0.0000						
07/13/2018	***-**-376I - BERBEN, GAIL	BERKSHIRE HATHAWAY INC DEL CL B NEW	9,490.00	95.90	0.00	95.90	88.0	84.39
	ACCOUNT #: LSR011380	BUY 50 Units @189.8000						
07/23/2018	***-**-48IO - CLARK, PATRICK	BRIGHTHOUSE VA TRAILS	0.00	72.40	0.00	72.40	88.0	63.71
		BUY 1 Units @0.0000						
07/23/2018	***-**-254I - AUGUSTINE, LINDA	CAPITAL INCOME BUILDER CLASS C	0.00	5.59	0.00	5.59	88.0	4.92
	ACCOUNT #: LSR010846	BUY 1 Units @0.0000						
07/23/2018	***-**-881J - EBERLEY, SUSAN	CAPITAL INCOME BUILDER CLASS C	0.00	4.70	0.00	4.70	88.0	4.14
	ACCOUNT #: LSR010856	BUY 1 Units @0.0000						
07/23/2018	***-**-382I - SATTERLY, NEIL	CAPITAL INCOME BUILDER CLASS C	0.00	14.07	0.00	14.07	88.0	12.38
	ACCOUNT #: LSR010867	BUY 1 Units @0.0000						
07/23/2018	***-**-949I - ACEE, JOSPEH	CAPITAL INCOME BUILDER CLASS C	0.00	4.60	0.00	4.60	88.0	4.05
	ACCOUNT #: LSR010908	BUY 1 Units @0.0000						
07/23/2018	***-**-31IO - HARTZ, CLAUDIA	CAPITAL INCOME BUILDER CLASS C	0.00	5.17	0.00	5.17	88.0	4.55
	ACCOUNT #: LSR010915	BUY 1 Units @0.0000						
07/23/2018	***-**-15IN - PENDRAK, JOHN	CAPITAL INCOME BUILDER CLASS C	0.00	8.49	0.00	8.49	88.0	7.47
	ACCOUNT #: LSR010948	BUY 1 Units @0.0000						
07/23/2018	***-**-959I - FRANZ, PAUL	CAPITAL INCOME BUILDER CLASS C	0.00	11.38	0.00	11.38	88.0	10.01
	ACCOUNT #: LSR010959	BUY 1 Units @0.0000						
07/23/2018	***-**-960J - MASTRANGELO,	CAPITAL INCOME BUILDER CLASS C	0.00	9.13	0.00	9.13	88.0	8.03
	ACCOUNT #: LSR010966	BUY 1 Units @0.0000						
07/23/2018	***-**-065I - LAZIO, THOMAS	CAPITAL INCOME BUILDER CLASS C	0.00	6.47	0.00	6.47	88.0	5.69
	ACCOUNT #: LSR010979	BUY 1 Units @0.0000						
07/23/2018	***-**-51IO - CAIN, TIMOTHY	CAPITAL INCOME BUILDER CLASS C	0.00	7.07	0.00	7.07	88.0	6.22
	ACCOUNT #: LSR011007	BUY 1 Units @0.0000						
07/23/2018	***-**-63TR - EVANS, AUDREY J	CAPITAL INCOME BUILDER CLASS C	0.00	5.03	0.00	5.03	88.0	4.43
	ACCOUNT #: LSR011036	BUY 1 Units @0.0000						



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 OVERRIDE TRANSACTIONS (continued)								
 BROKER: KURT GRUENEWALD (continued)								
07/23/2018	***-**-861I - SANGER, LAWRENCE	CAPITAL INCOME BUILDER CLASS C	0.00	1.75	0.00	1.75	88.0	1.54
	ACCOUNT #: LSR011095	BUY 1 Units @0.0000						
07/23/2018	***-**-13IN - RHYMESTINE,	CAPITAL INCOME BUILDER CLASS C	0.00	4.36	0.00	4.36	88.0	3.84
	ACCOUNT #: LSR011106	BUY 1 Units @0.0000						
07/23/2018	***-**-506J - CURRIERE JR, MR	CAPITAL INCOME BUILDER CLASS C	0.00	3.72	0.00	3.72	88.0	3.27
	ACCOUNT #: LSR011121	BUY 1 Units @0.0000						
07/23/2018	***-**-31IO - WILLIAMSON, FBO	CAPITAL INCOME BUILDER CLASS C	0.00	14.05	0.00	14.05	88.0	12.36
	ACCOUNT #: LSR011172	BUY 1 Units @0.0000						
07/23/2018	***-**-62IR - ROBBIANO, FBO	CAPITAL INCOME BUILDER CLASS C	0.00	6.74	0.00	6.74	88.0	5.93
	ACCOUNT #: LSR011195	BUY 1 Units @0.0000						
07/23/2018	***-**-02IN - BUSHEY, MELISSA	CAPITAL INCOME BUILDER CLASS C	0.00	2.76	0.00	2.76	88.0	2.43
	ACCOUNT #: LSR011257	BUY 1 Units @0.0000						
07/23/2018	***-**-851K - LALLIER, JAMES	CAPITAL INCOME BUILDER CLASS C	0.00	10.76	0.00	10.76	88.0	9.47
	ACCOUNT #: LSR012645	BUY 1 Units @0.0000						
07/23/2018	***-**-287I - HINCKLEY,	CAPITAL INCOME BUILDER-A	0.00	3.94	0.00	3.94	88.0	3.47
	ACCOUNT #: LSR010843	BUY 1 Units @0.0000						
07/23/2018	***-**-702I - KOCHER, MICHAEL	CAPITAL INCOME BUILDER-A	0.00	3.55	0.00	3.55	88.0	3.12
	ACCOUNT #: LSR010954	BUY 1 Units @0.0000						
07/23/2018	***-**-366I - GRUENEWALD,	CAPITAL INCOME BUILDER-A	0.00	2.05	0.00	2.05	88.0	1.80
	ACCOUNT #: LSR010989	BUY 1 Units @0.0000						
07/23/2018	***-**-20IO - DEMETRI, AMELIA	CAPITAL INCOME BUILDER-A	0.00	0.96	0.00	0.96	88.0	0.84
	ACCOUNT #: LSR010995	BUY 1 Units @0.0000						
07/23/2018	***-**-579J - RHYMESTINE,	CAPITAL INCOME BUILDER-A	0.00	2.13	0.00	2.13	88.0	1.87
	ACCOUNT #: LSR011081	BUY 1 Units @0.0000						
07/23/2018	***-**-680I - HARRELL, DARYL	CAPITAL INCOME BUILDER-A	0.00	0.30	0.00	0.30	88.0	0.26
	ACCOUNT #: LSR011321	BUY 1 Units @0.0000						
07/23/2018	***-**-30TR - AND SANDRA	CAPITAL INCOME BUILDER-A	0.00	2.09	0.00	2.09	88.0	1.84
	ACCOUNT #: LSR011939	BUY 1 Units @0.0000						
07/16/2018	***-**-0069 - KRECIDLO,	CAPITAL WORLD GROWTH AND INCOME FUN	75.00	0.75	0.00	0.75	88.0	0.66
	ACCOUNT #: 00083510637	BUY 1 Units @50.9600						
07/16/2018	***-**-2855 - KRECIDLO, MARTA	CAPITAL WORLD GROWTH AND INCOME FUN	75.00	0.75	0.00	0.75	88.0	0.66
	ACCOUNT #: 00083510745	BUY 1 Units @50.9600						



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 OVERRIDE TRANSACTIONS (continued)								
 <u>BROKER: KURT GRUENEWALD (continued)</u>								
07/23/2018	***-**-702I - KOCHER, MICHAEL ACCOUNT #: LSR010954	CAPITAL WORLD GROWTH AND INCOME FUN BUY 1 Units @0.0000	0.00	3.69	0.00	3.69	88.0	3.25
07/23/2018	***-**-20IO - DEMETRI, AMELIA ACCOUNT #: LSR010995	CAPITAL WORLD GROWTH AND INCOME FUN BUY 1 Units @0.0000	0.00	1.54	0.00	1.54	88.0	1.36
07/23/2018	***-**-579J - RHYMESTINE, ACCOUNT #: LSR011081	CAPITAL WORLD GROWTH AND INCOME FUN BUY 1 Units @0.0000	0.00	1.79	0.00	1.79	88.0	1.58
07/23/2018	***-**-326J - GRANDE, MR ACCOUNT #: LSR011089	CAPITAL WORLD GROWTH AND INCOME FUN BUY 1 Units @0.0000	0.00	1.42	0.00	1.42	88.0	1.25
07/23/2018	***-**-326I - GRANDE, FBO MR ACCOUNT #: LSR011091	CAPITAL WORLD GROWTH AND INCOME FUN BUY 1 Units @0.0000	0.00	1.54	0.00	1.54	88.0	1.36
07/23/2018	***-**-48IO - ANACKER, FBO MRS ACCOUNT #: LSR011164	CAPITAL WORLD GROWTH AND INCOME FUN BUY 1 Units @0.0000	0.00	1.10	0.00	1.10	88.0	0.97
07/23/2018	***-**-680I - HARRELL, DARYL ACCOUNT #: LSR011321	CAPITAL WORLD GROWTH AND INCOME FUN BUY 1 Units @0.0000	0.00	1.39	0.00	1.39	88.0	1.22
07/23/2018	***-**-128I - BASHANT, THOMAS ACCOUNT #: LSR011387	CAPITAL WORLD GROWTH AND INCOME FUN BUY 1 Units @0.0000	0.00	1.50	0.00	1.50	88.0	1.32
07/23/2018	***-**-30TR - AND SANDRA ACCOUNT #: LSR011939	CAPITAL WORLD GROWTH AND INCOME FUN BUY 1 Units @0.0000	0.00	2.45	0.00	2.45	88.0	2.16
07/23/2018	***-**-44IO - MAYO, DEBORAH ACCOUNT #: LSR011079	CAPITAL WORLD GROWTH AND INCOME FUN BUY 1 Units @0.0000	0.00	12.79	0.00	12.79	88.0	11.26
07/23/2018	***-**-09IO - BATES, FBO MRS ACCOUNT #: LSR011117	CAPITAL WORLD GROWTH AND INCOME FUN BUY 1 Units @0.0000	0.00	10.50	0.00	10.50	88.0	9.24
07/23/2018	***-**-11IO - LYNN G. ACCOUNT #: LSR011239	CAPITAL WORLD GROWTH AND INCOME FUN BUY 1 Units @0.0000	0.00	11.41	0.00	11.41	88.0	10.04
07/23/2018	***-**-45IO - JOHNSON, GREGORY ACCOUNT #: LSR011421	CAPITAL WORLD GROWTH AND INCOME FUN BUY 1 Units @0.0000	0.00	7.86	0.00	7.86	88.0	6.92
07/17/2018	***-**-71IO - FAMOLARO, JAMES ACCOUNT #: LSR011279	CLEARBRIDGE AGGRESSIVE GROWTH A BUY 1 Units @0.0000	0.00	0.50	0.00	0.50	88.0	0.44
07/23/2018	***-**-959I - FRANZ, PAUL ACCOUNT #: LSR010959	COLUMBIA MARSICO FOCUSED EQ CL A BUY 1 Units @0.0000	0.00	0.24	0.00	0.24	88.0	0.21
07/23/2018	***-**-20IO - DEMETRI, AMELIA ACCOUNT #: LSR010995	EUROPACIFIC GROWTH FUND-A BUY 1 Units @0.0000	0.00	1.55	0.00	1.55	88.0	1.36



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<u> OVERRIDE TRANSACTIONS (continued) </u>								
<u>BROKER: KURT GRUENEWALD (continued)</u>								
07/23/2018	***-**-326I - GRANDE, FBO MR ACCOUNT #: LSR011091	EUROPACIFIC GROWTH FUND-A BUY 1 Units @0.0000	0.00	1.29	0.00	1.29	88.0	1.14
07/23/2018	***-**-680I - HARRELL, DARYL ACCOUNT #: LSR011321	EUROPACIFIC GROWTH FUND-A BUY 1 Units @0.0000	0.00	0.62	0.00	0.62	88.0	0.55
07/23/2018	***-**-111J - NESSIA, JAMES ACCOUNT #: LSR011054	FIDELITY ADV EMERGING MRKTS INC CL BUY 1 Units @0.0000	0.00	0.73	0.00	0.73	88.0	0.64
07/23/2018	***-**-62IN - EATON, DAVID ACCOUNT #: LSR011315	FIDELITY ADV EMERGING MRKTS INC CL BUY 1 Units @0.0000	0.00	1.13	0.00	1.13	88.0	0.99
07/23/2018	***-**-930I - SANGER, KEVIN ACCOUNT #: LSR010941	FIDELITY ADV EQUITY INCOME CL A BUY 1 Units @0.0000	0.00	2.09	0.00	2.09	88.0	1.84
07/23/2018	***-**-579I - RHYMESTINE, ACCOUNT #: LSR011082	FIDELITY ADV INDUSTRIALS-CL C BUY 1 Units @0.0000	0.00	14.14	0.00	14.14	88.0	12.44
07/23/2018	***-**-579I - RHYMESTINE, ACCOUNT #: LSR011082	FIDELITY ADV SMALL CAP CL C BUY 1 Units @0.0000	0.00	5.14	0.00	5.14	88.0	4.52
07/23/2018	***-**-579I - RHYMESTINE, ACCOUNT #: LSR011082	FIDELITY ADV STOCK SELECTOR ALL CAP BUY 1 Units @0.0000	0.00	4.95	0.00	4.95	88.0	4.36
07/23/2018	***-**-579I - RHYMESTINE, ACCOUNT #: LSR011082	FIDELITY ADVISOR EQUITY INCOME CL C BUY 1 Units @0.0000	0.00	19.77	0.00	19.77	88.0	17.40
07/23/2018	***-**-579I - RHYMESTINE, ACCOUNT #: LSR011082	FIDELITY ADVISOR INT'L DISCOVERY CL BUY 1 Units @0.0000	0.00	15.61	0.00	15.61	88.0	13.74
07/23/2018	***-**-579I - RHYMESTINE, ACCOUNT #: LSR011082	FIDELITY ADVISOR INTERMEDIATE BOND BUY 1 Units @0.0000	0.00	8.01	0.00	8.01	88.0	7.05
07/23/2018	***-**-15IN - PENDRAK, JOHN ACCOUNT #: LSR010948	FIDELITY ADVISOR MORTGAGE SECS CL A BUY 1 Units @0.0000	0.00	2.04	0.00	2.04	88.0	1.80
07/23/2018	***-**-02IN - BUSHEY, MELISSA ACCOUNT #: LSR011257	FIDELITY ADVISOR MORTGAGE SECS CL A BUY 1 Units @0.0000	0.00	0.24	0.00	0.24	88.0	0.21
07/23/2018	***-**-579I - RHYMESTINE, ACCOUNT #: LSR011082	FIDELITY ADVISOR MORTGAGE SECS CL C BUY 1 Units @0.0000	0.00	5.53	0.00	5.53	88.0	4.87
07/17/2018	***-**-44IO - MAYO, DEBORAH ACCOUNT #: LSR011079	FRANKLIN BIOTECH DISCOVERY FUND CL BUY 1 Units @0.0000	0.00	7.62	0.00	7.62	88.0	6.71
07/17/2018	***-**-382I - SATTERLY, NEIL ACCOUNT #: LSR010867	FRANKLIN CONVERTIBLE SECURITIES CLA BUY 1 Units @0.0000	0.00	9.58	0.00	9.58	88.0	8.43



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 OVERRIDE TRANSACTIONS (continued)								
 <u>BROKER: KURT GRUENEWALD (continued)</u>								
07/17/2018	***-**-86IN - LEE, KEVIN ACCOUNT #: LSR011613	FRANKLIN GROWTH FUND CLASS A BUY 1 Units @0.0000	0.00	2.15	0.00	2.15	88.0	1.89
07/17/2018	***-**-86IN - LEE, KEVIN ACCOUNT #: LSR011613	FRANKLIN INCOME FUND CLASS A BUY 1 Units @0.0000	0.00	1.19	0.00	1.19	88.0	1.05
07/17/2018	***-**-61IN - EVANS, DOLORES ACCOUNT #: LSR011023	FRANKLIN INCOME FUND CLASS C BUY 1 Units @0.0000	0.00	0.68	0.00	0.68	88.0	0.60
07/17/2018	***-**-44IO - MAYO, DEBORAH ACCOUNT #: LSR011079	FRANKLIN INCOME FUND CLASS C BUY 1 Units @0.0000	0.00	5.60	0.00	5.60	88.0	4.93
07/17/2018	***-**-09IO - BATES, FBO MRS ACCOUNT #: LSR011117	FRANKLIN INCOME FUND CLASS C BUY 1 Units @0.0000	0.00	7.17	0.00	7.17	88.0	6.31
07/17/2018	***-**-11IO - LYNN G. ACCOUNT #: LSR011239	FRANKLIN INCOME FUND CLASS C BUY 1 Units @0.0000	0.00	9.54	0.00	9.54	88.0	8.40
07/17/2018	***-**-376I - BERBEN, GAIL ACCOUNT #: LSR011380	FRANKLIN INCOME FUND CLASS C BUY 1 Units @0.0000	0.00	8.76	0.00	8.76	88.0	7.71
07/17/2018	***-**-45IO - JOHNSON, GREGORY ACCOUNT #: LSR011421	FRANKLIN INCOME FUND CLASS C BUY 1 Units @0.0000	0.00	5.21	0.00	5.21	88.0	4.58
07/17/2018	***-**-531J - WILLIAMSON, ACCOUNT #: LSR011716	FRANKLIN INCOME FUND CLASS C BUY 1 Units @0.0000	0.00	2.65	0.00	2.65	88.0	2.33
07/17/2018	***-**-00IN - FRANZ, JEAN ACCOUNT #: LSR011796	FRANKLIN INCOME FUND CLASS C BUY 1 Units @0.0000	0.00	38.35	0.00	38.35	88.0	33.75
07/17/2018	***-**-065I - LAZIO, THOMAS ACCOUNT #: LSR010979	FRK GROWTH OPPORTUNITIES CL C BUY 1 Units @0.0000	0.00	2.25	0.00	2.25	88.0	1.98
07/17/2018	***-**-45IO - JOHNSON, GREGORY ACCOUNT #: LSR011421	FRK GROWTH OPPORTUNITIES CL C BUY 1 Units @0.0000	0.00	3.43	0.00	3.43	88.0	3.02
07/17/2018	***-**-065I - LAZIO, THOMAS ACCOUNT #: LSR010979	FRNKLN BALANCE SHEET INVTMNT FND - BUY 1 Units @0.0000	0.00	8.15	0.00	8.15	88.0	7.17
07/23/2018	***-**-702I - KOCHER, MICHAEL ACCOUNT #: LSR010954	FUNDAMENTAL INVESTORS-A BUY 1 Units @0.0000	0.00	2.19	0.00	2.19	88.0	1.93
07/23/2018	***-**-366I - GRUENEWALD, ACCOUNT #: LSR010989	FUNDAMENTAL INVESTORS-A BUY 1 Units @0.0000	0.00	0.12	0.00	0.12	88.0	0.11
07/23/2018	***-**-366S - GRUENEWALD, ACCOUNT #: LSR010990	FUNDAMENTAL INVESTORS-A BUY 1 Units @0.0000	0.00	1.00	0.00	1.00	88.0	0.88



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 OVERRIDE TRANSACTIONS (continued)								
 <u>BROKER: KURT GRUENEWALD (continued)</u>								
07/23/2018	***-**-579J - RHYMESTINE, ACCOUNT #: LSR011081	FUNDAMENTAL INVESTORS-A BUY 1 Units @0.0000	0.00	1.11	0.00	1.11	88.0	0.98
07/23/2018	***-**-326I - GRANDE, FBO MR ACCOUNT #: LSR011091	FUNDAMENTAL INVESTORS-A BUY 1 Units @0.0000	0.00	1.96	0.00	1.96	88.0	1.72
07/23/2018	***-**-680I - HARRELL, DARYL ACCOUNT #: LSR011321	FUNDAMENTAL INVESTORS-A BUY 1 Units @0.0000	0.00	1.40	0.00	1.40	88.0	1.23
07/23/2018	***-**-128I - BASHANT, THOMAS ACCOUNT #: LSR011387	FUNDAMENTAL INVESTORS-A BUY 1 Units @0.0000	0.00	1.25	0.00	1.25	88.0	1.10
07/23/2018	***-**-30TR - AND SANDRA ACCOUNT #: LSR011939	FUNDAMENTAL INVESTORS-A BUY 1 Units @0.0000	0.00	1.88	0.00	1.88	88.0	1.65
07/23/2018	***-**-881J - EBERLEY, SUSAN ACCOUNT #: LSR010856	FUNDAMENTAL INVESTORS-C BUY 1 Units @0.0000	0.00	3.51	0.00	3.51	88.0	3.09
07/23/2018	***-**-382I - SATTERLY, NEIL ACCOUNT #: LSR010867	FUNDAMENTAL INVESTORS-C BUY 1 Units @0.0000	0.00	11.12	0.00	11.12	88.0	9.79
07/23/2018	***-**-949I - ACEE, JOSPEH ACCOUNT #: LSR010908	FUNDAMENTAL INVESTORS-C BUY 1 Units @0.0000	0.00	3.05	0.00	3.05	88.0	2.68
07/23/2018	***-**-31IO - HARTZ, CLAUDIA ACCOUNT #: LSR010915	FUNDAMENTAL INVESTORS-C BUY 1 Units @0.0000	0.00	2.90	0.00	2.90	88.0	2.55
07/23/2018	***-**-031O - MCVOY, ROBERT ACCOUNT #: LSR010916	FUNDAMENTAL INVESTORS-C BUY 1 Units @0.0000	0.00	5.28	0.00	5.28	88.0	4.65
07/23/2018	***-**-15IN - PENDRAK, JOHN ACCOUNT #: LSR010948	FUNDAMENTAL INVESTORS-C BUY 1 Units @0.0000	0.00	4.85	0.00	4.85	88.0	4.27
07/23/2018	***-**-959I - FRANZ, PAUL ACCOUNT #: LSR010959	FUNDAMENTAL INVESTORS-C BUY 1 Units @0.0000	0.00	11.50	0.00	11.50	88.0	10.12
07/23/2018	***-**-960J - MASTRANGELO, ACCOUNT #: LSR010966	FUNDAMENTAL INVESTORS-C BUY 1 Units @0.0000	0.00	8.09	0.00	8.09	88.0	7.12
07/23/2018	***-**-065I - LAZIO, THOMAS ACCOUNT #: LSR010979	FUNDAMENTAL INVESTORS-C BUY 1 Units @0.0000	0.00	5.71	0.00	5.71	88.0	5.02
07/23/2018	***-**-51IO - CAIN, TIMOTHY ACCOUNT #: LSR011007	FUNDAMENTAL INVESTORS-C BUY 1 Units @0.0000	0.00	5.27	0.00	5.27	88.0	4.64
07/23/2018	***-**-761I - EVANS, DOLORES ACCOUNT #: LSR011024	FUNDAMENTAL INVESTORS-C BUY 1 Units @0.0000	0.00	12.03	0.00	12.03	88.0	10.59



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 OVERRIDE TRANSACTIONS (continued)								
 <u>BROKER: KURT GRUENEWALD (continued)</u>								
07/23/2018	***-**-306X - COBB, CHERYL	FUNDAMENTAL INVESTORS-C	0.00	5.71	0.00	5.71	88.0	5.02
	ACCOUNT #: LSR011037	BUY 1 Units @0.0000						
07/23/2018	***-**-861I - SANGER, LAWRENCE	FUNDAMENTAL INVESTORS-C	0.00	0.21	0.00	0.21	88.0	0.18
	ACCOUNT #: LSR011095	BUY 1 Units @0.0000						
07/23/2018	***-**-13IN - RHYMESTINE,	FUNDAMENTAL INVESTORS-C	0.00	3.52	0.00	3.52	88.0	3.10
	ACCOUNT #: LSR011106	BUY 1 Units @0.0000						
07/23/2018	***-**-09IO - BATES, FBO MRS	FUNDAMENTAL INVESTORS-C	0.00	11.15	0.00	11.15	88.0	9.81
	ACCOUNT #: LSR011117	BUY 1 Units @0.0000						
07/23/2018	***-**-506J - CURRIERE JR, MR	FUNDAMENTAL INVESTORS-C	0.00	4.69	0.00	4.69	88.0	4.13
	ACCOUNT #: LSR011121	BUY 1 Units @0.0000						
07/23/2018	***-**-48IO - ANACKER, FBO MRS	FUNDAMENTAL INVESTORS-C	0.00	5.00	0.00	5.00	88.0	4.40
	ACCOUNT #: LSR011164	BUY 1 Units @0.0000						
07/23/2018	***-**-89IN - LEE, ROGER	FUNDAMENTAL INVESTORS-C	0.00	5.58	0.00	5.58	88.0	4.91
	ACCOUNT #: LSR011166	BUY 1 Units @0.0000						
07/23/2018	***-**-31IO - WILLIAMSON, FBO	FUNDAMENTAL INVESTORS-C	0.00	7.45	0.00	7.45	88.0	6.56
	ACCOUNT #: LSR011172	BUY 1 Units @0.0000						
07/23/2018	***-**-64IO - PFAFF, GEORGE	FUNDAMENTAL INVESTORS-C	0.00	3.64	0.00	3.64	88.0	3.20
	ACCOUNT #: LSR011185	BUY 1 Units @0.0000						
07/23/2018	***-**-62IR - ROBBIANO, FBO	FUNDAMENTAL INVESTORS-C	0.00	3.23	0.00	3.23	88.0	2.84
	ACCOUNT #: LSR011195	BUY 1 Units @0.0000						
07/23/2018	***-**-11IO - LYNN G.	FUNDAMENTAL INVESTORS-C	0.00	12.01	0.00	12.01	88.0	10.57
	ACCOUNT #: LSR011239	BUY 1 Units @0.0000						
07/23/2018	***-**-653I - KOCHEM, CLINTON	FUNDAMENTAL INVESTORS-C	0.00	8.81	0.00	8.81	88.0	7.75
	ACCOUNT #: LSR011300	BUY 1 Units @0.0000						
07/23/2018	***-**-376I - BERBEN, GAIL	FUNDAMENTAL INVESTORS-C	0.00	15.11	0.00	15.11	88.0	13.30
	ACCOUNT #: LSR011380	BUY 1 Units @0.0000						
07/23/2018	***-**-21IO - RADELL, SANDRA	FUNDAMENTAL INVESTORS-C	0.00	4.02	0.00	4.02	88.0	3.54
	ACCOUNT #: LSR011392	BUY 1 Units @0.0000						
07/23/2018	***-**-45IO - JOHNSON, GREGORY	FUNDAMENTAL INVESTORS-C	0.00	9.49	0.00	9.49	88.0	8.35
	ACCOUNT #: LSR011421	BUY 1 Units @0.0000						
07/23/2018	***-**-14IO - BUSHEY, MATTHEW	FUNDAMENTAL INVESTORS-C	0.00	12.49	0.00	12.49	88.0	10.99
	ACCOUNT #: LSR011498	BUY 1 Units @0.0000						



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 OVERRIDE TRANSACTIONS (continued)								
 <u>BROKER: KURT GRUENEWALD (continued)</u>								
07/23/2018	***-**-851K - LALLIER, JAMES	FUNDAMENTAL INVESTORS-C	0.00	18.50	0.00	18.50	88.0	16.28
	ACCOUNT #: LSR012645	BUY 1 Units @0.0000						
07/18/2018	***-**-851I - BLAKE, JAMES	GENESIS HEALTHCARE INC CL A COM ISI	2,040.00	4.99	0.00	4.99	88.0	4.39
	ACCOUNT #: LSR012390	BUY 1500 Units @1.3600						
07/23/2018	***-**-579J - RHYMESTINE,	GLOBAL GROWTH PORTFOLIO-A	0.00	0.88	0.00	0.88	88.0	0.77
	ACCOUNT #: LSR011081	BUY 1 Units @0.0000						
07/23/2018	***-**-89IN - LEE, ROGER	GRIFFIN CAPITAL ESS ASSET II TRAILS	0.00	47.82	0.00	47.82	88.0	42.08
	ACCOUNT #: 091123534	BUY 0 Units @0.0000						
07/23/2018	***-**-09IO - BATES, FBO MRS	GRIFFIN CAPITAL ESS ASSET II TRAILS	0.00	59.78	0.00	59.78	88.0	52.61
	ACCOUNT #: 091125944	BUY 0 Units @0.0000						
07/23/2018	***-**-287X - HINCKLEY,	GRIFFIN CAPITAL ESS ASSET II TRAILS	0.00	21.52	0.00	21.52	88.0	18.94
	ACCOUNT #: 091129238	BUY 0 Units @0.0000						
07/23/2018	***-**-45IO - JOHNSON, GREGORY	GRIFFIN CAPITAL ESS ASSET II TRAILS	0.00	47.82	0.00	47.82	88.0	42.08
	ACCOUNT #: 091129288	BUY 0 Units @0.0000						
07/23/2018	***-**-11IN - MCCARTHY, LYNN	GRIFFIN CAPITAL ESS ASSET II TRAILS	0.00	23.91	0.00	23.91	88.0	21.04
	ACCOUNT #: 091131292	BUY 0 Units @0.0000						
07/23/2018	***-**-376I - BERBEN, GAIL	GRIFFIN CAPITAL ESS ASSET II TRAILS	0.00	11.96	0.00	11.96	88.0	10.52
	ACCOUNT #: 00091131762	BUY 0 Units @0.0000						
07/23/2018	***-**-531J - WILLIAMSON,	GRIFFIN CAPITAL ESS ASSET II TRAILS	0.00	71.73	0.00	71.73	88.0	63.12
	ACCOUNT #: 091140076	BUY 0 Units @0.0000						
07/23/2018	***-**-531J - WILLIAMSON,	GRIFFIN CAPITAL ESS ASSET II TRAILS	0.00	11.96	0.00	11.96	88.0	10.52
	ACCOUNT #: 091140076	BUY 0 Units @0.0000						
07/23/2018	***-**-44IO - DISCHIAVI, FBO	GRIFFIN CAPITAL ESS ASSET II TRAILS	0.00	47.82	0.00	47.82	88.0	42.08
	ACCOUNT #: 091126800	BUY 0 Units @0.0000						
07/23/2018	***-**-930I - SANGER, KEVIN	GRIFFIN CAPITAL ESS ASSET II TRAILS	0.00	12.52	0.00	12.52	88.0	11.02
	ACCOUNT #: 00091130813	BUY 0 Units @0.0000						
07/23/2018	***-**-11IN - MCCARTHY, LYNN	GRIFFIN CAPITAL ESS ASSET II TRAILS	0.00	37.56	0.00	37.56	88.0	33.05
	ACCOUNT #: 091131292	BUY 0 Units @0.0000						
07/23/2018	***-**-376I - BERBEN, GAIL	GRIFFIN CAPITAL ESS ASSET II TRAILS	0.00	12.52	0.00	12.52	88.0	11.02
	ACCOUNT #: 00091131725	BUY 0 Units @0.0000						
07/23/2018	***-**-21IO - RADELL, SANDRA	GRIFFIN CAPITAL ESS ASSET II TRAILS	0.00	25.04	0.00	25.04	88.0	22.04
	ACCOUNT #: 091131984	BUY 0 Units @0.0000						



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 OVERRIDE TRANSACTIONS (continued)								
 <u>BROKER: KURT GRUENEWALD (continued)</u>								
07/23/2018	***-**-49IN - DEPEYSTER, ACCOUNT #: 091132017	GRIFFIN CAPITAL ESS ASSET II TRAILS BUY 0 Units @0.0000	0.00	12.52	0.00	12.52	88.0	11.02
07/23/2018	***-**-14IO - BUSHEY, MATTHEW ACCOUNT #: 00091132551	GRIFFIN CAPITAL ESS ASSET II TRAILS BUY 0 Units @0.0000	0.00	12.52	0.00	12.52	88.0	11.02
07/23/2018	***-**-09IN - BATES, CHRISTINE ACCOUNT #: 00091133853	GRIFFIN CAPITAL ESS ASSET II TRAILS BUY 0 Units @0.0000	0.00	25.04	0.00	25.04	88.0	22.04
07/23/2018	***-**-29IN - MASSOUD, ACCOUNT #: 91134730	GRIFFIN CAPITAL ESS ASSET II TRAILS BUY 0 Units @0.0000	0.00	12.52	0.00	12.52	88.0	11.02
07/23/2018	***-**-579I - RHYMESTINE, ACCOUNT #: 91134731	GRIFFIN CAPITAL ESS ASSET II TRAILS BUY 0 Units @0.0000	0.00	15.03	0.00	15.03	88.0	13.23
07/23/2018	***-**-959I - FRANZ, PAUL ACCOUNT #: 91134733	GRIFFIN CAPITAL ESS ASSET II TRAILS BUY 0 Units @0.0000	0.00	15.03	0.00	15.03	88.0	13.23
07/23/2018	***-**-7231 - WARMUTH, ACCOUNT #: 91134733	GRIFFIN CAPITAL ESS ASSET II TRAILS BUY 0 Units @0.0000	0.00	12.52	0.00	12.52	88.0	11.02
07/23/2018	***-**-15IN - PENDRAK, JOHN ACCOUNT #: 091136021	GRIFFIN CAPITAL ESS ASSET II TRAILS BUY 0 Units @0.0000	0.00	12.52	0.00	12.52	88.0	11.02
07/23/2018	***-**-366I - GRUENEWALD, ACCOUNT #: 91136364	GRIFFIN CAPITAL ESS ASSET II TRAILS BUY 0 Units @0.0000	0.00	12.52	0.00	12.52	88.0	11.02
07/23/2018	***-**-365I - GRUENEWALD, KURT ACCOUNT #: 091137478	GRIFFIN CAPITAL ESS ASSET II TRAILS BUY 0 Units @0.0000	0.00	12.52	0.00	12.52	88.0	11.02
07/23/2018	***-**-365I - GRUENEWALD, KURT ACCOUNT #: 091137478	GRIFFIN CAPITAL ESS ASSET II TRAILS BUY 0 Units @0.0000	0.00	12.52	0.00	12.52	88.0	11.02
07/23/2018	***-**-960J - MASTRANGELO, ACCOUNT #: 091139160	GRIFFIN CAPITAL ESS ASSET II TRAILS BUY 0 Units @0.0000	0.00	75.13	0.00	75.13	88.0	66.11
07/23/2018	***-**-960J - MASTRANGELO, ACCOUNT #: 091139160	GRIFFIN CAPITAL ESS ASSET II TRAILS BUY 0 Units @0.0000	0.00	25.04	0.00	25.04	88.0	22.04
07/23/2018	***-**-44IO - MAYO, DEBORAH ACCOUNT #: LSR011079	GRIFFIN INST ACCESS REAL ESTATE FD BUY 1 Units @0.0000	0.00	9.37	0.00	9.37	88.0	8.25
07/23/2018	***-**-44IO - MAYO, DEBORAH ACCOUNT #: LSR011079	GRIFFIN INST ACCESS REAL ESTATE FD BUY 1 Units @0.0000	0.00	3.12	0.00	3.12	88.0	2.75
07/23/2018	***-**-367J - WAGNER, MRS LANT ACCOUNT #: LSR011134	GROWTH FUND OF AMERICA CLASS F BUY 1 Units @0.0000	0.00	3.38	0.00	3.38	88.0	2.97



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 OVERRIDE TRANSACTIONS (continued)								
 <u>BROKER: KURT GRUENEWALD (continued)</u>								
07/23/2018	***-**-702I - KOCHER, MICHAEL ACCOUNT #: LSR010954	HARTFORD CHECKS AND BALANCED FUND C BUY 1 Units @0.0000	0.00	1.33	0.00	1.33	88.0	1.17
07/23/2018	***-**-366S - GRUENEWALD, ACCOUNT #: LSR010990	HARTFORD CHECKS AND BALANCED FUND C BUY 1 Units @0.0000	0.00	0.46	0.00	0.46	88.0	0.40
07/23/2018	***-**-680I - HARRELL, DARYL ACCOUNT #: LSR011321	HARTFORD CHECKS AND BALANCED FUND C BUY 1 Units @0.0000	0.00	1.28	0.00	1.28	88.0	1.13
07/23/2018	***-**-30TR - AND SANDRA ACCOUNT #: LSR011939	HARTFORD CHECKS AND BALANCED FUND C BUY 1 Units @0.0000	0.00	2.51	0.00	2.51	88.0	2.21
07/23/2018	***-**-366S - GRUENEWALD, ACCOUNT #: LSR010990	HARTFORD INFLATION PLUS FUND CLASS BUY 1 Units @0.0000	0.00	0.66	0.00	0.66	88.0	0.58
07/23/2018	***-**-680I - HARRELL, DARYL ACCOUNT #: LSR011321	HARTFORD INFLATION PLUS FUND CLASS BUY 1 Units @0.0000	0.00	1.71	0.00	1.71	88.0	1.50
07/23/2018	***-**-287I - HINCKLEY, ACCOUNT #: LSR010843	INCOME FUND OF AMERICA CLASS C BUY 1 Units @0.0000	0.00	3.51	0.00	3.51	88.0	3.09
07/23/2018	***-**-980I - ACEE, ELIZABETH ACCOUNT #: LSR010885	INCOME FUND OF AMERICA CLASS C BUY 1 Units @0.0000	0.00	11.79	0.00	11.79	88.0	10.38
07/23/2018	***-**-72IN - GAVALO, JULIE ACCOUNT #: LSR010921	INCOME FUND OF AMERICA CLASS C BUY 1 Units @0.0000	0.00	10.60	0.00	10.60	88.0	9.33
07/23/2018	***-**-73TR - WESTCOTT IRRVOC ACCOUNT #: LSR011001	INCOME FUND OF AMERICA CLASS C BUY 1 Units @0.0000	0.00	1.72	0.00	1.72	88.0	1.51
07/23/2018	***-**-63TR - EVANS, AUDREY J ACCOUNT #: LSR011036	INCOME FUND OF AMERICA CLASS C BUY 1 Units @0.0000	0.00	5.30	0.00	5.30	88.0	4.66
07/23/2018	***-**-44IO - MAYO, DEBORAH ACCOUNT #: LSR011079	INCOME FUND OF AMERICA CLASS C BUY 1 Units @0.0000	0.00	18.78	0.00	18.78	88.0	16.53
07/23/2018	***-**-09IO - BATES, FBO MRS ACCOUNT #: LSR011117	INCOME FUND OF AMERICA CLASS C BUY 1 Units @0.0000	0.00	31.28	0.00	31.28	88.0	27.53
07/23/2018	***-**-11IO - LYNN G. ACCOUNT #: LSR011239	INCOME FUND OF AMERICA CLASS C BUY 1 Units @0.0000	0.00	14.59	0.00	14.59	88.0	12.84
07/23/2018	***-**-376I - BERBEN, GAIL ACCOUNT #: LSR011380	INCOME FUND OF AMERICA CLASS C BUY 1 Units @0.0000	0.00	13.14	0.00	13.14	88.0	11.56
07/23/2018	***-**-21IO - RADELL, SANDRA ACCOUNT #: LSR011392	INCOME FUND OF AMERICA CLASS C BUY 1 Units @0.0000	0.00	4.78	0.00	4.78	88.0	4.21



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 OVERRIDE TRANSACTIONS (continued) 								
 <u>BROKER: KURT GRUENEWALD (continued)</u> 								
07/23/2018	***-**-45IO - JOHNSON, GREGORY	INCOME FUND OF AMERICA CLASS C	0.00	12.72	0.00	12.72	88.0	11.19
	ACCOUNT #: LSR011421	BUY 1 Units @0.0000						
07/23/2018	***-**-14IO - BUSHEY, MATTHEW	INCOME FUND OF AMERICA CLASS C	0.00	11.31	0.00	11.31	88.0	9.95
	ACCOUNT #: LSR011498	BUY 1 Units @0.0000						
07/23/2018	***-**-851K - LALLIER, JAMES	INCOME FUND OF AMERICA CLASS C	0.00	9.03	0.00	9.03	88.0	7.95
	ACCOUNT #: LSR012645	BUY 1 Units @0.0000						
07/23/2018	***-**-702I - KOCHER, MICHAEL	INTERMEDIATE BOND FUND OF AMERICA-A	0.00	0.14	0.00	0.14	88.0	0.12
	ACCOUNT #: LSR010954	BUY 1 Units @0.0000						
07/23/2018	***-**-761I - EVANS, DOLORES	INTERMEDIATE BOND FUND OF AMERICA-C	0.00	5.29	0.00	5.29	88.0	4.66
	ACCOUNT #: LSR011024	BUY 1 Units @0.0000						
07/23/2018	***-**-366S - GRUENEWALD,	INTERNATIONAL GROWTH AND INCOME-A	0.00	0.78	0.00	0.78	88.0	0.69
	ACCOUNT #: LSR010990	BUY 1 Units @0.0000						
07/23/2018	***-**-567I - FRANZ, ALICE	INTERNATIONAL GROWTH AND INCOME-C	0.00	12.79	0.00	12.79	88.0	11.26
	ACCOUNT #: LSR010960	BUY 1 Units @0.0000						
07/23/2018	***-**-851K - LALLIER, JAMES	INTERNATIONAL GROWTH AND INCOME-C	0.00	11.60	0.00	11.60	88.0	10.21
	ACCOUNT #: LSR012645	BUY 1 Units @0.0000						
07/23/2018	***-**-71IO - FAMOLARO, JAMES	INVESCO VAN KAMPEN COMSTOCK CLASS A	0.00	0.45	0.00	0.45	88.0	0.40
	ACCOUNT #: LSR011279	BUY 1 Units @0.0000						
07/23/2018	***-**-71IO - FAMOLARO, JAMES	INVESCO VAN KAMPEN EQUITY AND INCOM	0.00	0.40	0.00	0.40	88.0	0.35
	ACCOUNT #: LSR011279	BUY 1 Units @0.0000						
07/17/2018	***-**-80IN - COBB, JAMES	LOCORR SPECTRUM-NFS	0.00	1.40	0.00	1.40	88.0	1.23
	ACCOUNT #: LSR011042	BUY 1 Units @0.0000						
07/23/2018	***-**-944O - MAYO, DEBORAH	MFS AGGRESSIVE GROWTH ALLOCATION FD	0.00	1.06	0.00	1.06	88.0	0.93
	ACCOUNT #: LSR011035	BUY 1 Units @0.0000						
07/23/2018	***-**-13IN - ROTH, KAREN	MFS BLENDED RESEARCH CORE EQUITY FD	0.00	1.29	0.00	1.29	88.0	1.14
	ACCOUNT #: LSR011954	BUY 1 Units @0.0000						
07/23/2018	***-**-881I - EBERLEY, SUSAN	MFS CONSERVATIVE ALLOCATION CL C	0.00	9.46	0.00	9.46	88.0	8.32
	ACCOUNT #: LSR010858	BUY 1 Units @0.0000						
07/23/2018	***-**-901I - SATTERLY, ANN	MFS CONSERVATIVE ALLOCATION CL C	0.00	9.39	0.00	9.39	88.0	8.26
	ACCOUNT #: LSR010874	BUY 1 Units @0.0000						
07/23/2018	***-**-382K - SATTERLY, NEIL	MFS CONSERVATIVE ALLOCATION CL C	0.00	4.25	0.00	4.25	88.0	3.74
	ACCOUNT #: LSR010875	BUY 1 Units @0.0000						



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 OVERRIDE TRANSACTIONS (continued)								
 BROKER: KURT GRUENEWALD (continued)								
07/23/2018	***-**-48IO - CLARK, PATRICK	MFS CONSERVATIVE ALLOCATION CL C	0.00	17.97	0.00	17.97	88.0	15.81
	ACCOUNT #: LSR010911	BUY 1 Units @0.0000						
07/23/2018	***-**-031O - MCVOY, ROBERT	MFS CONSERVATIVE ALLOCATION CL C	0.00	4.41	0.00	4.41	88.0	3.88
	ACCOUNT #: LSR010916	BUY 1 Units @0.0000						
07/23/2018	***-**-72IN - GAVALO, JULIE	MFS CONSERVATIVE ALLOCATION CL C	0.00	17.08	0.00	17.08	88.0	15.03
	ACCOUNT #: LSR010921	BUY 1 Units @0.0000						
07/23/2018	***-**-959I - FRANZ, PAUL	MFS CONSERVATIVE ALLOCATION CL C	0.00	16.79	0.00	16.79	88.0	14.78
	ACCOUNT #: LSR010959	BUY 1 Units @0.0000						
07/23/2018	***-**-065I - LAZIO, THOMAS	MFS CONSERVATIVE ALLOCATION CL C	0.00	7.74	0.00	7.74	88.0	6.81
	ACCOUNT #: LSR010979	BUY 1 Units @0.0000						
07/23/2018	***-**-420T - DEMETRI, AMELIA	MFS CONSERVATIVE ALLOCATION CL C	0.00	4.25	0.00	4.25	88.0	3.74
	ACCOUNT #: LSR010994	BUY 1 Units @0.0000						
07/23/2018	***-**-73TR - WESTCOTT IRRVOC	MFS CONSERVATIVE ALLOCATION CL C	0.00	8.15	0.00	8.15	88.0	7.17
	ACCOUNT #: LSR011001	BUY 1 Units @0.0000						
07/23/2018	***-**-837O - BASEMENT	MFS CONSERVATIVE ALLOCATION CL C	0.00	4.82	0.00	4.82	88.0	4.24
	ACCOUNT #: LSR011046	BUY 1 Units @0.0000						
07/23/2018	***-**-09IO - BATES, FBO MRS	MFS CONSERVATIVE ALLOCATION CL C	0.00	14.58	0.00	14.58	88.0	12.83
	ACCOUNT #: LSR011117	BUY 1 Units @0.0000						
07/23/2018	***-**-89IN - LEE, ROGER	MFS CONSERVATIVE ALLOCATION CL C	0.00	17.52	0.00	17.52	88.0	15.42
	ACCOUNT #: LSR011166	BUY 1 Units @0.0000						
07/23/2018	***-**-900J - LEE, MR.	MFS CONSERVATIVE ALLOCATION CL C	0.00	4.24	0.00	4.24	88.0	3.73
	ACCOUNT #: LSR011186	BUY 1 Units @0.0000						
07/23/2018	***-**-06IR - CAMPBELL, PAMELA	MFS CONSERVATIVE ALLOCATION CL C	0.00	6.34	0.00	6.34	88.0	5.58
	ACCOUNT #: LSR011222	BUY 1 Units @0.0000						
07/23/2018	***-**-11IO - LYNN G.	MFS CONSERVATIVE ALLOCATION CL C	0.00	13.85	0.00	13.85	88.0	12.19
	ACCOUNT #: LSR011239	BUY 1 Units @0.0000						
07/23/2018	***-**-80IO - EVANS, RICHARD	MFS CONSERVATIVE ALLOCATION CL C	0.00	9.47	0.00	9.47	88.0	8.33
	ACCOUNT #: LSR011276	BUY 1 Units @0.0000						
07/23/2018	***-**-376I - BERBEN, GAIL	MFS CONSERVATIVE ALLOCATION CL C	0.00	13.84	0.00	13.84	88.0	12.18
	ACCOUNT #: LSR011380	BUY 1 Units @0.0000						
07/23/2018	***-**-45IO - JOHNSON, GREGORY	MFS CONSERVATIVE ALLOCATION CL C	0.00	13.56	0.00	13.56	88.0	11.93
	ACCOUNT #: LSR011421	BUY 1 Units @0.0000						



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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
 OVERRIDE TRANSACTIONS (continued)								
 <u>BROKER: KURT GRUENEWALD (continued)</u>								
07/23/2018	***-**-14IO - BUSHEY, MATTHEW	MFS CONSERVATIVE ALLOCATION CL C	0.00	9.19	0.00	9.19	88.0	8.09
	ACCOUNT #: LSR011498	BUY 1 Units @0.0000						
07/23/2018	***-**-37IO - MCCLUSKY, MARK	MFS CONSERVATIVE ALLOCATION CL C	0.00	7.62	0.00	7.62	88.0	6.71
	ACCOUNT #: LSR011579	BUY 1 Units @0.0000						
07/23/2018	***-**-99IN - EDELMAN, TINA	MFS CONSERVATIVE ALLOCATION CL C	0.00	0.08	0.00	0.08	88.0	0.07
	ACCOUNT #: LSR011956	BUY 1 Units @0.0000						
07/23/2018	***-**-28IN - BYWATER, KIM	MFS CONSERVATIVE ALLOCATION CL C	0.00	0.13	0.00	0.13	88.0	0.11
	ACCOUNT #: LSR011995	BUY 1 Units @0.0000						
07/23/2018	***-**-35IN - RUGGIERO, LAURIE	MFS CONSERVATIVE ALLOCATION CL C	0.00	0.01	0.00	0.01	88.0	0.01
	ACCOUNT #: LSR012314	BUY 1 Units @0.0000						
07/23/2018	***-**-31IO - JOSEPH, ANN	MFS CONSERVATIVE ALLOCATION CL C	0.00	0.01	0.00	0.01	88.0	0.01
	ACCOUNT #: LSR012337	BUY 1 Units @0.0000						
07/23/2018	***-**-188I - BRADLEY, WAYNE	MFS CONSERVATIVE ALLOCATION CL C	0.00	0.01	0.00	0.01	88.0	0.01
	ACCOUNT #: LSR012484	BUY 1 Units @0.0000						
07/23/2018	***-**-944O - MAYO, DEBORAH	MFS CONSERVATIVE ALLOCATION FUND-A	0.00	1.13	0.00	1.13	88.0	0.99
	ACCOUNT #: LSR011035	BUY 1 Units @0.0000						
07/23/2018	***-**-254I - AUGUSTINE, LINDA	MFS CONSERVATIVE ALLOCATION FUND-B	0.00	0.79	0.00	0.79	88.0	0.70
	ACCOUNT #: LSR010846	BUY 1 Units @0.0000						
07/23/2018	***-**-15IN - PENDRAK, JOHN	MFS CONSERVATIVE ALLOCATION FUND-B	0.00	2.13	0.00	2.13	88.0	1.87
	ACCOUNT #: LSR010948	BUY 1 Units @0.0000						
07/23/2018	***-**-960J - MASTRANGELO,	MFS CONSERVATIVE ALLOCATION FUND-B	0.00	5.46	0.00	5.46	88.0	4.80
	ACCOUNT #: LSR010966	BUY 1 Units @0.0000						
07/23/2018	***-**-51IO - CAIN, TIMOTHY	MFS CONSERVATIVE ALLOCATION FUND-B	0.00	2.57	0.00	2.57	88.0	2.26
	ACCOUNT #: LSR011007	BUY 1 Units @0.0000						
07/23/2018	***-**-761I - EVANS, DOLORES	MFS CONSERVATIVE ALLOCATION FUND-B	0.00	2.05	0.00	2.05	88.0	1.80
	ACCOUNT #: LSR011024	BUY 1 Units @0.0000						
07/23/2018	***-**-944O - MAYO, DEBORAH	MFS CONSERVATIVE ALLOCATION FUND-B	0.00	0.48	0.00	0.48	88.0	0.42
	ACCOUNT #: LSR011035	BUY 1 Units @0.0000						
07/23/2018	***-**-326J - GRANDE, MR	MFS CONSERVATIVE ALLOCATION FUND-B	0.00	0.56	0.00	0.56	88.0	0.49
	ACCOUNT #: LSR011089	BUY 1 Units @0.0000						
07/23/2018	***-**-13IN - RHYMESTINE,	MFS CONSERVATIVE ALLOCATION FUND-B	0.00	1.01	0.00	1.01	88.0	0.89
	ACCOUNT #: LSR011106	BUY 1 Units @0.0000						



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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
 OVERRIDE TRANSACTIONS (continued)								
 BROKER: KURT GRUENEWALD (continued)								
07/23/2018	***-**-367J - WAGNER, MRS LANT	MFS CONSERVATIVE ALLOCATION FUND-B	0.00	1.12	0.00	1.12	88.0	0.99
	ACCOUNT #: LSR011134	BUY 1 Units @0.0000						
07/23/2018	***-**-992J - CORNACCHIA	MFS CONSERVATIVE ALLOCATION FUND-B	0.00	0.39	0.00	0.39	88.0	0.34
	ACCOUNT #: LSR011157	BUY 1 Units @0.0000						
07/23/2018	***-**-31IO - WILLIAMSON, FBO	MFS CONSERVATIVE ALLOCATION FUND-B	0.00	3.86	0.00	3.86	88.0	3.40
	ACCOUNT #: LSR011172	BUY 1 Units @0.0000						
07/23/2018	***-**-64IO - PFAFF, GEORGE	MFS CONSERVATIVE ALLOCATION FUND-B	0.00	1.13	0.00	1.13	88.0	0.99
	ACCOUNT #: LSR011185	BUY 1 Units @0.0000						
07/23/2018	***-**-448X - ANACKER, SUSAN	MFS CONSERVATIVE ALLOCATION FUND-B	0.00	0.80	0.00	0.80	88.0	0.70
	ACCOUNT #: LSR011578	BUY 1 Units @0.0000						
07/23/2018	***-**-382K - SATTERLY, NEIL	MFS DIVERSIFIED INCOME FD CL C	0.00	4.48	0.00	4.48	88.0	3.94
	ACCOUNT #: LSR010875	BUY 1 Units @0.0000						
07/23/2018	***-**-980I - ACEE, ELIZABETH	MFS DIVERSIFIED INCOME FD CL C	0.00	9.00	0.00	9.00	88.0	7.92
	ACCOUNT #: LSR010885	BUY 1 Units @0.0000						
07/23/2018	***-**-72IN - GAVALO, JULIE	MFS DIVERSIFIED INCOME FD CL C	0.00	16.35	0.00	16.35	88.0	14.39
	ACCOUNT #: LSR010921	BUY 1 Units @0.0000						
07/23/2018	***-**-73TR - WESTCOTT IRRVOC	MFS DIVERSIFIED INCOME FD CL C	0.00	12.72	0.00	12.72	88.0	11.19
	ACCOUNT #: LSR011008	BUY 1 Units @0.0000						
07/23/2018	***-**-132O - EVANS, THOMAS	MFS DIVERSIFIED INCOME FD CL C	0.00	8.02	0.00	8.02	88.0	7.06
	ACCOUNT #: LSR011074	BUY 1 Units @0.0000						
07/23/2018	***-**-44IO - MAYO, DEBORAH	MFS DIVERSIFIED INCOME FD CL C	0.00	20.77	0.00	20.77	88.0	18.28
	ACCOUNT #: LSR011079	BUY 1 Units @0.0000						
07/23/2018	***-**-579J - RHYMESTINE,	MFS DIVERSIFIED INCOME FD CL C	0.00	10.85	0.00	10.85	88.0	9.55
	ACCOUNT #: LSR011081	BUY 1 Units @0.0000						
07/23/2018	***-**-09IO - BATES, FBO MRS	MFS DIVERSIFIED INCOME FD CL C	0.00	13.94	0.00	13.94	88.0	12.27
	ACCOUNT #: LSR011117	BUY 1 Units @0.0000						
07/23/2018	***-**-89IN - LEE, ROGER	MFS DIVERSIFIED INCOME FD CL C	0.00	5.74	0.00	5.74	88.0	5.05
	ACCOUNT #: LSR011166	BUY 1 Units @0.0000						
07/23/2018	***-**-64IO - PFAFF, GEORGE	MFS DIVERSIFIED INCOME FD CL C	0.00	5.77	0.00	5.77	88.0	5.08
	ACCOUNT #: LSR011185	BUY 1 Units @0.0000						
07/23/2018	***-**-439J - MCCARTHY, JAMES	MFS DIVERSIFIED INCOME FD CL C	0.00	3.06	0.00	3.06	88.0	2.69
	ACCOUNT #: LSR011205	BUY 1 Units @0.0000						



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 OVERRIDE TRANSACTIONS (continued) 								
 <u>BROKER: KURT GRUENEWALD (continued)</u> 								
07/23/2018	***-**-52IO - EUSEPI, SUSAN	MFS DIVERSIFIED INCOME FD CL C	0.00	6.07	0.00	6.07	88.0	5.34
	ACCOUNT #: LSR011219	BUY 1 Units @0.0000						
07/23/2018	***-**-81IR - CAMPBELL,	MFS DIVERSIFIED INCOME FD CL C	0.00	5.86	0.00	5.86	88.0	5.16
	ACCOUNT #: LSR011223	BUY 1 Units @0.0000						
07/23/2018	***-**-439I - MCCARTHY, JAMES	MFS DIVERSIFIED INCOME FD CL C	0.00	2.19	0.00	2.19	88.0	1.93
	ACCOUNT #: LSR011244	BUY 1 Units @0.0000						
07/23/2018	***-**-376I - BERBEN, GAIL	MFS DIVERSIFIED INCOME FD CL C	0.00	8.98	0.00	8.98	88.0	7.90
	ACCOUNT #: LSR011380	BUY 1 Units @0.0000						
07/23/2018	***-**-45IO - JOHNSON, GREGORY	MFS DIVERSIFIED INCOME FD CL C	0.00	12.34	0.00	12.34	88.0	10.86
	ACCOUNT #: LSR011421	BUY 1 Units @0.0000						
07/23/2018	***-**-14IO - BUSHEY, MATTHEW	MFS DIVERSIFIED INCOME FD CL C	0.00	13.39	0.00	13.39	88.0	11.78
	ACCOUNT #: LSR011498	BUY 1 Units @0.0000						
07/23/2018	***-**-37IO - MCCLUSKY, MARK	MFS DIVERSIFIED INCOME FD CL C	0.00	4.93	0.00	4.93	88.0	4.34
	ACCOUNT #: LSR011579	BUY 1 Units @0.0000						
07/23/2018	***-**-35IN - RUGGIERO, LAURIE	MFS DIVERSIFIED INCOME FD CL C	0.00	0.06	0.00	0.06	88.0	0.05
	ACCOUNT #: LSR012314	BUY 1 Units @0.0000						
07/23/2018	***-**-31IO - JOSEPH, ANN	MFS DIVERSIFIED INCOME FD CL C	0.00	0.02	0.00	0.02	88.0	0.02
	ACCOUNT #: LSR012337	BUY 1 Units @0.0000						
07/23/2018	***-**-52IN - ROBERTS, LILLIAN	MFS DIVERSIFIED INCOME FD CL C	0.00	0.01	0.00	0.01	88.0	0.01
	ACCOUNT #: LSR012352	BUY 1 Units @0.0000						
07/23/2018	***-**-53IN - EVANS, ANDREW	MFS EMERGING GROWTH FUND-B	0.00	0.80	0.00	0.80	88.0	0.70
	ACCOUNT #: LSR011483	BUY 1 Units @0.0000						
07/23/2018	***-**-24IN - BLISS, RYAN	MFS EMERGING GROWTH FUND-B	0.00	0.30	0.00	0.30	88.0	0.26
	ACCOUNT #: LSR011502	BUY 1 Units @0.0000						
07/23/2018	***-**-881I - EBERLEY, SUSAN	MFS EMERGING MARKETS EQUITY FUND-B	0.00	0.77	0.00	0.77	88.0	0.68
	ACCOUNT #: LSR010858	BUY 1 Units @0.0000						
07/23/2018	***-**-960J - MASTRANGELO,	MFS EMERGING MARKETS EQUITY FUND-B	0.00	1.35	0.00	1.35	88.0	1.19
	ACCOUNT #: LSR010966	BUY 1 Units @0.0000						
07/23/2018	***-**-761I - EVANS, DOLORES	MFS EMERGING MARKETS EQUITY FUND-B	0.00	1.39	0.00	1.39	88.0	1.22
	ACCOUNT #: LSR011024	BUY 1 Units @0.0000						
07/23/2018	***-**-579J - RHYMESTINE,	MFS EMERGING MARKETS EQUITY FUND-B	0.00	0.75	0.00	0.75	88.0	0.66
	ACCOUNT #: LSR011081	BUY 1 Units @0.0000						



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 OVERRIDE TRANSACTIONS (continued)								
 <u>BROKER: KURT GRUENEWALD (continued)</u>								
07/23/2018	***-**-326I - GRANDE, FBO MR	MFS EMERGING MARKETS EQUITY FUND-B	0.00	1.36	0.00	1.36	88.0	1.20
	ACCOUNT #: LSR011091	BUY 1 Units @0.0000						
07/23/2018	***-**-197I - GAMBINO, ANDREW	MFS EMERGING MARKETS EQUITY FUND-B	0.00	0.22	0.00	0.22	88.0	0.19
	ACCOUNT #: LSR011465	BUY 1 Units @0.0000						
07/23/2018	***-**-45IR - WILLIAMSON,	MFS EMERGING MARKETS EQUITY FUND-B	0.00	1.04	0.00	1.04	88.0	0.92
	ACCOUNT #: LSR011764	BUY 1 Units @0.0000						
07/23/2018	***-**-254I - AUGUSTINE, LINDA	MFS EMERGING MKT DEBT CL B	0.00	1.01	0.00	1.01	88.0	0.89
	ACCOUNT #: LSR010846	BUY 1 Units @0.0000						
07/23/2018	***-**-881J - EBERLEY, SUSAN	MFS EMERGING MKT DEBT CL B	0.00	0.77	0.00	0.77	88.0	0.68
	ACCOUNT #: LSR010856	BUY 1 Units @0.0000						
07/23/2018	***-**-949I - ACEE, JOSPEH	MFS EMERGING MKT DEBT CL B	0.00	0.95	0.00	0.95	88.0	0.84
	ACCOUNT #: LSR010908	BUY 1 Units @0.0000						
07/23/2018	***-**-31IO - HARTZ, CLAUDIA	MFS EMERGING MKT DEBT CL B	0.00	1.15	0.00	1.15	88.0	1.01
	ACCOUNT #: LSR010915	BUY 1 Units @0.0000						
07/23/2018	***-**-960J - MASTRANGELO,	MFS EMERGING MKT DEBT CL B	0.00	0.63	0.00	0.63	88.0	0.55
	ACCOUNT #: LSR010966	BUY 1 Units @0.0000						
07/23/2018	***-**-944O - MAYO, DEBORAH	MFS EMERGING MKT DEBT CL B	0.00	1.24	0.00	1.24	88.0	1.09
	ACCOUNT #: LSR011035	BUY 1 Units @0.0000						
07/23/2018	***-**-580X - COBB, JAMES	MFS EMERGING MKT DEBT CL B	0.00	1.10	0.00	1.10	88.0	0.97
	ACCOUNT #: LSR011040	BUY 1 Units @0.0000						
07/23/2018	***-**-506J - CURRIERE JR, MR	MFS EMERGING MKT DEBT CL B	0.00	0.35	0.00	0.35	88.0	0.31
	ACCOUNT #: LSR011121	BUY 1 Units @0.0000						
07/23/2018	***-**-367J - WAGNER, MRS LANT	MFS EMERGING MKT DEBT CL B	0.00	0.85	0.00	0.85	88.0	0.75
	ACCOUNT #: LSR011134	BUY 1 Units @0.0000						
07/23/2018	***-**-31IO - WILLIAMSON, FBO	MFS EMERGING MKT DEBT CL B	0.00	1.22	0.00	1.22	88.0	1.07
	ACCOUNT #: LSR011172	BUY 1 Units @0.0000						
07/23/2018	***-**-64IO - PFAFF, GEORGE	MFS EMERGING MKT DEBT CL B	0.00	1.13	0.00	1.13	88.0	0.99
	ACCOUNT #: LSR011185	BUY 1 Units @0.0000						
07/23/2018	***-**-62IR - ROBBIANO, FBO	MFS EMERGING MKT DEBT CL B	0.00	0.48	0.00	0.48	88.0	0.42
	ACCOUNT #: LSR011195	BUY 1 Units @0.0000						
07/23/2018	***-**-29IO - MASSOUD,	MFS EMERGING MKT DEBT CL B	0.00	0.01	0.00	0.01	88.0	0.01
	ACCOUNT #: LSR011217	BUY 1 Units @0.0000						



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 OVERRIDE TRANSACTIONS (continued)								
 <u>BROKER: KURT GRUENEWALD (continued)</u>								
07/23/2018	***-**-44IO - MAYO, DEBORAH	MFS EMERGING MKTS DEBT CLASS C	0.00	9.81	0.00	9.81	88.0	8.63
	ACCOUNT #: LSR011079	BUY 1 Units @0.0000						
07/23/2018	***-**-960J - MASTRANGELO,	MFS EQUITY OPPORTUNITIES CL B	0.00	1.63	0.00	1.63	88.0	1.43
	ACCOUNT #: LSR010966	BUY 1 Units @0.0000						
07/23/2018	***-**-944O - MAYO, DEBORAH	MFS GLOBAL ALTERNATIVE STRAT A	0.00	0.62	0.00	0.62	88.0	0.55
	ACCOUNT #: LSR011035	BUY 1 Units @0.0000						
07/23/2018	***-**-978I - GUNN, KATHLEEN	MFS GLOBAL ALTERNATIVE STRAT B	0.00	0.42	0.00	0.42	88.0	0.37
	ACCOUNT #: LSR011345	BUY 1 Units @0.0000						
07/23/2018	***-**-382I - SATTERLY, NEIL	MFS GLOBAL ALTERNATIVE STRAT C	0.00	6.28	0.00	6.28	88.0	5.53
	ACCOUNT #: LSR010867	BUY 1 Units @0.0000						
07/23/2018	***-**-48IO - CLARK, PATRICK	MFS GLOBAL ALTERNATIVE STRAT C	0.00	14.12	0.00	14.12	88.0	12.43
	ACCOUNT #: LSR010911	BUY 1 Units @0.0000						
07/23/2018	***-**-72IN - GAVALO, JULIE	MFS GLOBAL ALTERNATIVE STRAT C	0.00	13.60	0.00	13.60	88.0	11.97
	ACCOUNT #: LSR010921	BUY 1 Units @0.0000						
07/23/2018	***-**-80IN - COBB, JAMES	MFS GLOBAL ALTERNATIVE STRAT C	0.00	7.27	0.00	7.27	88.0	6.40
	ACCOUNT #: LSR011042	BUY 1 Units @0.0000						
07/23/2018	***-**-09IO - BATES, FBO MRS	MFS GLOBAL ALTERNATIVE STRAT C	0.00	12.38	0.00	12.38	88.0	10.89
	ACCOUNT #: LSR011117	BUY 1 Units @0.0000						
07/23/2018	***-**-11IO - LYNN G.	MFS GLOBAL ALTERNATIVE STRAT C	0.00	16.84	0.00	16.84	88.0	14.82
	ACCOUNT #: LSR011239	BUY 1 Units @0.0000						
07/23/2018	***-**-80IO - EVANS, RICHARD	MFS GLOBAL ALTERNATIVE STRAT C	0.00	10.35	0.00	10.35	88.0	9.11
	ACCOUNT #: LSR011276	BUY 1 Units @0.0000						
07/23/2018	***-**-45IO - JOHNSON, GREGORY	MFS GLOBAL ALTERNATIVE STRAT C	0.00	12.64	0.00	12.64	88.0	11.12
	ACCOUNT #: LSR011421	BUY 1 Units @0.0000						
07/23/2018	***-**-094I - KATRENA L	MFS GLOBAL BOND FUND CLASS C	0.00	3.32	0.00	3.32	88.0	2.92
	ACCOUNT #: LSR011188	BUY 1 Units @0.0000						
07/23/2018	***-**-978I - GUNN, KATHLEEN	MFS GLOBAL EQUITY FUND-B	0.00	0.68	0.00	0.68	88.0	0.60
	ACCOUNT #: LSR011345	BUY 1 Units @0.0000						
07/23/2018	***-**-53IN - EVANS, ANDREW	MFS GLOBAL EQUITY FUND-B	0.00	0.49	0.00	0.49	88.0	0.43
	ACCOUNT #: LSR011483	BUY 1 Units @0.0000						
07/23/2018	***-**-24IN - BLISS, RYAN	MFS GLOBAL EQUITY FUND-B	0.00	0.31	0.00	0.31	88.0	0.27
	ACCOUNT #: LSR011502	BUY 1 Units @0.0000						



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 OVERRIDE TRANSACTIONS (continued)								
 BROKER: KURT GRUENEWALD (continued)								
07/23/2018	***-**-45IR - WILLIAMSON, ACCOUNT #: LSR011764	MFS GLOBAL EQUITY FUND-B BUY 1 Units @0.0000	0.00	1.15	0.00	1.15	88.0	1.01
07/23/2018	***-**-21IO - RADELL, SANDRA ACCOUNT #: LSR011392	MFS GLOBAL REAL ESTATE FUND CL B BUY 1 Units @0.0000	0.00	1.62	0.00	1.62	88.0	1.43
07/23/2018	***-**-53IN - EVANS, ANDREW ACCOUNT #: LSR011483	MFS GLOBAL REAL ESTATE FUND CL B BUY 1 Units @0.0000	0.00	0.29	0.00	0.29	88.0	0.26
07/23/2018	***-**-24IN - BLISS, RYAN ACCOUNT #: LSR011502	MFS GLOBAL REAL ESTATE FUND CL B BUY 1 Units @0.0000	0.00	0.18	0.00	0.18	88.0	0.16
07/23/2018	***-**-38IO - BROWN, TYLER ACCOUNT #: LSR011602	MFS GLOBAL REAL ESTATE FUND CL B BUY 1 Units @0.0000	0.00	0.79	0.00	0.79	88.0	0.70
07/23/2018	***-**-45IN - WILLIAMSON, ACCOUNT #: LSR011751	MFS GLOBAL REAL ESTATE FUND CL B BUY 1 Units @0.0000	0.00	0.73	0.00	0.73	88.0	0.64
07/23/2018	***-**-628I - SANGER, SANDRA ACCOUNT #: LSR010942	MFS GLOBAL TOTAL RETURN FUND-A BUY 1 Units @0.0000	0.00	0.91	0.00	0.91	88.0	0.80
07/23/2018	***-**-944O - MAYO, DEBORAH ACCOUNT #: LSR011035	MFS GLOBAL TOTAL RETURN FUND-A BUY 1 Units @0.0000	0.00	0.85	0.00	0.85	88.0	0.75
07/23/2018	***-**-96IN - NESSIA, BONNIE ACCOUNT #: LSR011055	MFS GLOBAL TOTAL RETURN FUND-A BUY 1 Units @0.0000	0.00	1.15	0.00	1.15	88.0	1.01
07/23/2018	***-**-861I - SANGER, LAWRENCE ACCOUNT #: LSR011095	MFS GLOBAL TOTAL RETURN FUND-A BUY 1 Units @0.0000	0.00	1.57	0.00	1.57	88.0	1.38
07/23/2018	***-**-02IN - BUSHEY, MELISSA ACCOUNT #: LSR011257	MFS GLOBAL TOTAL RETURN FUND-A BUY 1 Units @0.0000	0.00	0.66	0.00	0.66	88.0	0.58
07/23/2018	***-**-653J - KOCHEM, CLINTON ACCOUNT #: LSR011298	MFS GLOBAL TOTAL RETURN FUND-A BUY 1 Units @0.0000	0.00	0.92	0.00	0.92	88.0	0.81
07/23/2018	***-**-62IN - EATON, DAVID ACCOUNT #: LSR011315	MFS GLOBAL TOTAL RETURN FUND-A BUY 1 Units @0.0000	0.00	0.67	0.00	0.67	88.0	0.59
07/23/2018	***-**-254I - AUGUSTINE, LINDA ACCOUNT #: LSR010846	MFS GLOBAL TOTAL RETURN FUND-B BUY 1 Units @0.0000	0.00	0.83	0.00	0.83	88.0	0.73
07/23/2018	***-**-881J - EBERLEY, SUSAN ACCOUNT #: LSR010856	MFS GLOBAL TOTAL RETURN FUND-B BUY 1 Units @0.0000	0.00	1.27	0.00	1.27	88.0	1.12
07/23/2018	***-**-949I - ACEE, JOSPEH ACCOUNT #: LSR010908	MFS GLOBAL TOTAL RETURN FUND-B BUY 1 Units @0.0000	0.00	1.44	0.00	1.44	88.0	1.27



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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u> OVERRIDE TRANSACTIONS (continued) </u>								
<u> BROKER: KURT GRUENEWALD (continued) </u>								
07/23/2018	***-**-31IO - HARTZ, CLAUDIA	MFS GLOBAL TOTAL RETURN FUND-B	0.00	0.77	0.00	0.77	88.0	0.68
	ACCOUNT #: LSR010915	BUY 1 Units @0.0000						
07/23/2018	***-**-959I - FRANZ, PAUL	MFS GLOBAL TOTAL RETURN FUND-B	0.00	2.75	0.00	2.75	88.0	2.42
	ACCOUNT #: LSR010959	BUY 1 Units @0.0000						
07/23/2018	***-**-960J - MASTRANGELO,	MFS GLOBAL TOTAL RETURN FUND-B	0.00	1.85	0.00	1.85	88.0	1.63
	ACCOUNT #: LSR010966	BUY 1 Units @0.0000						
07/23/2018	***-**-51IO - CAIN, TIMOTHY	MFS GLOBAL TOTAL RETURN FUND-B	0.00	1.57	0.00	1.57	88.0	1.38
	ACCOUNT #: LSR011007	BUY 1 Units @0.0000						
07/23/2018	***-**-60UT - FALCHI, ADALYNN	MFS GLOBAL TOTAL RETURN FUND-B	0.00	0.22	0.00	0.22	88.0	0.19
	ACCOUNT #: LSR011010	BUY 1 Units @0.0000						
07/23/2018	***-**-761I - EVANS, DOLORES	MFS GLOBAL TOTAL RETURN FUND-B	0.00	4.81	0.00	4.81	88.0	4.23
	ACCOUNT #: LSR011024	BUY 1 Units @0.0000						
07/23/2018	***-**-63TR - EVANS, AUDREY J	MFS GLOBAL TOTAL RETURN FUND-B	0.00	2.92	0.00	2.92	88.0	2.57
	ACCOUNT #: LSR011036	BUY 1 Units @0.0000						
07/23/2018	***-**-306X - COBB, CHERRYL	MFS GLOBAL TOTAL RETURN FUND-B	0.00	1.49	0.00	1.49	88.0	1.31
	ACCOUNT #: LSR011037	BUY 1 Units @0.0000						
07/23/2018	***-**-579I - RHYMESTINE,	MFS GLOBAL TOTAL RETURN FUND-B	0.00	2.84	0.00	2.84	88.0	2.50
	ACCOUNT #: LSR011082	BUY 1 Units @0.0000						
07/23/2018	***-**-13IN - RHYMESTINE,	MFS GLOBAL TOTAL RETURN FUND-B	0.00	0.71	0.00	0.71	88.0	0.62
	ACCOUNT #: LSR011106	BUY 1 Units @0.0000						
07/23/2018	***-**-76IO - MCALLISTER, FBO	MFS GLOBAL TOTAL RETURN FUND-B	0.00	0.62	0.00	0.62	88.0	0.55
	ACCOUNT #: LSR011107	BUY 1 Units @0.0000						
07/23/2018	***-**-506J - CURRIERE JR, MR	MFS GLOBAL TOTAL RETURN FUND-B	0.00	0.89	0.00	0.89	88.0	0.78
	ACCOUNT #: LSR011121	BUY 1 Units @0.0000						
07/23/2018	***-**-367J - WAGNER, MRS LANT	MFS GLOBAL TOTAL RETURN FUND-B	0.00	1.60	0.00	1.60	88.0	1.41
	ACCOUNT #: LSR011134	BUY 1 Units @0.0000						
07/23/2018	***-**-31IO - WILLIAMSON, FBO	MFS GLOBAL TOTAL RETURN FUND-B	0.00	2.61	0.00	2.61	88.0	2.30
	ACCOUNT #: LSR011172	BUY 1 Units @0.0000						
07/23/2018	***-**-64IO - PFAFF, GEORGE	MFS GLOBAL TOTAL RETURN FUND-B	0.00	1.21	0.00	1.21	88.0	1.06
	ACCOUNT #: LSR011185	BUY 1 Units @0.0000						
07/23/2018	***-**-62IR - ROBBIANO, FBO	MFS GLOBAL TOTAL RETURN FUND-B	0.00	0.88	0.00	0.88	88.0	0.77
	ACCOUNT #: LSR011195	BUY 1 Units @0.0000						



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 OVERRIDE TRANSACTIONS (continued)								
 <u>BROKER: KURT GRUENEWALD (continued)</u>								
07/23/2018	***-**-52IO - EUSEPI, SUSAN	MFS GLOBAL TOTAL RETURN FUND-B	0.00	2.75	0.00	2.75	88.0	2.42
	ACCOUNT #: LSR011219	BUY 1 Units @0.0000						
07/23/2018	***-**-653I - KOCHER, CLINTON	MFS GLOBAL TOTAL RETURN FUND-B	0.00	2.16	0.00	2.16	88.0	1.90
	ACCOUNT #: LSR011300	BUY 1 Units @0.0000						
07/23/2018	***-**-21IO - RADELL, SANDRA	MFS GLOBAL TOTAL RETURN FUND-B	0.00	1.47	0.00	1.47	88.0	1.29
	ACCOUNT #: LSR011392	BUY 1 Units @0.0000						
07/23/2018	***-**-241I - DINITTO, ALLISYN	MFS GLOBAL TOTAL RETURN FUND-B	0.00	1.22	0.00	1.22	88.0	1.07
	ACCOUNT #: LSR011444	BUY 1 Units @0.0000						
07/23/2018	***-**-51IN - GERACE, JOANNE	MFS GLOBAL TOTAL RETURN FUND-B	0.00	1.55	0.00	1.55	88.0	1.36
	ACCOUNT #: LSR011538	BUY 1 Units @0.0000						
07/23/2018	***-**-09IO - BATES, FBO MRS	MFS GLOBAL TOTAL RETURN FUND-C	0.00	17.89	0.00	17.89	88.0	15.74
	ACCOUNT #: LSR011117	BUY 1 Units @0.0000						
07/23/2018	***-**-11IO - LYNN G.	MFS GLOBAL TOTAL RETURN FUND-C	0.00	13.78	0.00	13.78	88.0	12.13
	ACCOUNT #: LSR011239	BUY 1 Units @0.0000						
07/23/2018	***-**-376I - BERBEN, GAIL	MFS GLOBAL TOTAL RETURN FUND-C	0.00	12.47	0.00	12.47	88.0	10.97
	ACCOUNT #: LSR011380	BUY 1 Units @0.0000						
07/23/2018	***-**-45IO - JOHNSON, GREGORY	MFS GLOBAL TOTAL RETURN FUND-C	0.00	11.20	0.00	11.20	88.0	9.86
	ACCOUNT #: LSR011421	BUY 1 Units @0.0000						
07/23/2018	***-**-13IN - ROTH, KAREN	MFS GOVERNMENT SECURITIES FUND-A	0.00	0.67	0.00	0.67	88.0	0.59
	ACCOUNT #: LSR011954	BUY 1 Units @0.0000						
07/23/2018	***-**-254I - AUGUSTINE, LINDA	MFS GOVERNMENT SECURITIES FUND-B	0.00	1.62	0.00	1.62	88.0	1.43
	ACCOUNT #: LSR010846	BUY 1 Units @0.0000						
07/23/2018	***-**-111J - NESSIA, JAMES	MFS GOVERNMENT SECURITIES FUND-B	0.00	0.53	0.00	0.53	88.0	0.47
	ACCOUNT #: LSR011054	BUY 1 Units @0.0000						
07/23/2018	***-**-13IN - ROTH, KAREN	MFS GOVERNMENT SECURITIES FUND-B	0.00	0.10	0.00	0.10	88.0	0.09
	ACCOUNT #: LSR011954	BUY 1 Units @0.0000						
07/23/2018	***-**-44IO - MAYO, DEBORAH	MFS HIGH INCOME CLASS C	0.00	16.91	0.00	16.91	88.0	14.88
	ACCOUNT #: LSR011079	BUY 1 Units @0.0000						
07/23/2018	***-**-13IN - ROTH, KAREN	MFS HIGH INCOME FUND-A	0.00	0.61	0.00	0.61	88.0	0.54
	ACCOUNT #: LSR011954	BUY 1 Units @0.0000						
07/23/2018	***-**-61IN - EVANS, DOLORES	MFS HIGH INCOME FUND-B	0.00	0.26	0.00	0.26	88.0	0.23
	ACCOUNT #: LSR011023	BUY 1 Units @0.0000						



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 OVERRIDE TRANSACTIONS (continued)								
 BROKER: KURT GRUENEWALD (continued)								
07/23/2018	***-**-13IN - ROTH, KAREN	MFS HIGH INCOME FUND-B	0.00	0.18	0.00	0.18	88.0	0.16
	ACCOUNT #: LSR011954	BUY 1 Units @0.0000						
07/23/2018	***-**-881I - EBERLEY, SUSAN	MFS HIGH YIELD OPPORTUNITIES FUND-B	0.00	0.65	0.00	0.65	88.0	0.57
	ACCOUNT #: LSR010858	BUY 1 Units @0.0000						
07/23/2018	***-**-13IN - ROTH, KAREN	MFS HIGH YIELD OPPORTUNITIES FUND-B	0.00	0.21	0.00	0.21	88.0	0.18
	ACCOUNT #: LSR011954	BUY 1 Units @0.0000						
07/23/2018	***-**-73TR - WESTCOTT IRRVOC	MFS HIGH YIELD OPPORTUNITIES FUND-C	0.00	7.72	0.00	7.72	88.0	6.79
	ACCOUNT #: LSR011001	BUY 1 Units @0.0000						
07/23/2018	***-**-73TR - WESTCOTT IRRVOC	MFS HIGH YIELD OPPORTUNITIES FUND-C	0.00	8.93	0.00	8.93	88.0	7.86
	ACCOUNT #: LSR011008	BUY 1 Units @0.0000						
07/23/2018	***-**-13IN - ROTH, KAREN	MFS HIGH-YIELD OPPORTUNITIES FUND C	0.00	0.61	0.00	0.61	88.0	0.54
	ACCOUNT #: LSR011954	BUY 1 Units @0.0000						
07/23/2018	***-**-881J - EBERLEY, SUSAN	MFS INFLATION ADJUSTED BOND CL B	0.00	0.39	0.00	0.39	88.0	0.34
	ACCOUNT #: LSR010856	BUY 1 Units @0.0000						
07/23/2018	***-**-949I - ACEE, JOSPEH	MFS INFLATION ADJUSTED BOND CL B	0.00	0.47	0.00	0.47	88.0	0.41
	ACCOUNT #: LSR010908	BUY 1 Units @0.0000						
07/23/2018	***-**-31IO - HARTZ, CLAUDIA	MFS INFLATION ADJUSTED BOND CL B	0.00	0.46	0.00	0.46	88.0	0.40
	ACCOUNT #: LSR010915	BUY 1 Units @0.0000						
07/23/2018	***-**-15IN - PENDRAK, JOHN	MFS INFLATION ADJUSTED BOND CL B	0.00	0.82	0.00	0.82	88.0	0.72
	ACCOUNT #: LSR010948	BUY 1 Units @0.0000						
07/23/2018	***-**-960J - MASTRANGELO,	MFS INFLATION ADJUSTED BOND CL B	0.00	0.28	0.00	0.28	88.0	0.25
	ACCOUNT #: LSR010966	BUY 1 Units @0.0000						
07/23/2018	***-**-366I - GRUENEWALD,	MFS INFLATION ADJUSTED BOND CL B	0.00	0.35	0.00	0.35	88.0	0.31
	ACCOUNT #: LSR010989	BUY 1 Units @0.0000						
07/23/2018	***-**-761I - EVANS, DOLORES	MFS INFLATION ADJUSTED BOND CL B	0.00	1.18	0.00	1.18	88.0	1.04
	ACCOUNT #: LSR011024	BUY 1 Units @0.0000						
07/23/2018	***-**-63TR - EVANS, AUDREY J	MFS INFLATION ADJUSTED BOND CL B	0.00	0.31	0.00	0.31	88.0	0.27
	ACCOUNT #: LSR011036	BUY 1 Units @0.0000						
07/23/2018	***-**-580X - COBB, JAMES	MFS INFLATION ADJUSTED BOND CL B	0.00	0.58	0.00	0.58	88.0	0.51
	ACCOUNT #: LSR011040	BUY 1 Units @0.0000						
07/23/2018	***-**-111J - NESSIA, JAMES	MFS INFLATION ADJUSTED BOND CL B	0.00	0.33	0.00	0.33	88.0	0.29
	ACCOUNT #: LSR011054	BUY 1 Units @0.0000						



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 OVERRIDE TRANSACTIONS (continued)								
 <u>BROKER: KURT GRUENEWALD (continued)</u>								
07/23/2018	***-**-326J - GRANDE, MR	MFS INFLATION ADJUSTED BOND CL B	0.00	0.60	0.00	0.60	88.0	0.53
	ACCOUNT #: LSR011089	BUY 1 Units @0.0000						
07/23/2018	***-**-76IO - MCALLISTER, FBO	MFS INFLATION ADJUSTED BOND CL B	0.00	0.34	0.00	0.34	88.0	0.30
	ACCOUNT #: LSR011107	BUY 1 Units @0.0000						
07/23/2018	***-**-506J - CURRIERE JR, MR	MFS INFLATION ADJUSTED BOND CL B	0.00	0.17	0.00	0.17	88.0	0.15
	ACCOUNT #: LSR011121	BUY 1 Units @0.0000						
07/23/2018	***-**-48IO - ANACKER, FBO MRS	MFS INFLATION ADJUSTED BOND CL B	0.00	0.81	0.00	0.81	88.0	0.71
	ACCOUNT #: LSR011164	BUY 1 Units @0.0000						
07/23/2018	***-**-31IO - WILLIAMSON, FBO	MFS INFLATION ADJUSTED BOND CL B	0.00	0.60	0.00	0.60	88.0	0.53
	ACCOUNT #: LSR011172	BUY 1 Units @0.0000						
07/23/2018	***-**-64IO - PFAFF, GEORGE	MFS INFLATION ADJUSTED BOND CL B	0.00	0.48	0.00	0.48	88.0	0.42
	ACCOUNT #: LSR011185	BUY 1 Units @0.0000						
07/23/2018	***-**-62IR - ROBBIANO, FBO	MFS INFLATION ADJUSTED BOND CL B	0.00	0.24	0.00	0.24	88.0	0.21
	ACCOUNT #: LSR011195	BUY 1 Units @0.0000						
07/23/2018	***-**-382I - SATTERLY, NEIL	MFS INFLATION ADJUSTED BOND CL C	0.00	9.50	0.00	9.50	88.0	8.36
	ACCOUNT #: LSR010867	BUY 1 Units @0.0000						
07/23/2018	***-**-031O - MCVOY, ROBERT	MFS INFLATION ADJUSTED BOND CL C	0.00	2.68	0.00	2.68	88.0	2.36
	ACCOUNT #: LSR010916	BUY 1 Units @0.0000						
07/23/2018	***-**-44IO - MAYO, DEBORAH	MFS INFLATION ADJUSTED BOND CL C	0.00	20.69	0.00	20.69	88.0	18.21
	ACCOUNT #: LSR011079	BUY 1 Units @0.0000						
07/23/2018	***-**-531J - WILLIAMSON,	MFS INFLATION ADJUSTED BOND CL C	0.00	6.41	0.00	6.41	88.0	5.64
	ACCOUNT #: LSR011716	BUY 1 Units @0.0000						
07/23/2018	***-**-861I - SANGER, LAWRENCE	MFS INFLATION ADJUSTED BOND FUND-A	0.00	0.66	0.00	0.66	88.0	0.58
	ACCOUNT #: LSR011095	BUY 1 Units @0.0000						
07/23/2018	***-**-065I - LAZIO, THOMAS	MFS INTERNATIONAL NEW DISCOVERY CL	0.00	5.80	0.00	5.80	88.0	5.10
	ACCOUNT #: LSR010979	BUY 1 Units @0.0000						
07/23/2018	***-**-254I - AUGUSTINE, LINDA	MFS INTERNATIONAL NEW DISCOVERY FUN	0.00	1.14	0.00	1.14	88.0	1.00
	ACCOUNT #: LSR010846	BUY 1 Units @0.0000						
07/23/2018	***-**-930I - SANGER, KEVIN	MFS INTERNATIONAL NEW DISCOVERY FUN	0.00	0.49	0.00	0.49	88.0	0.43
	ACCOUNT #: LSR010941	BUY 1 Units @0.0000						
07/23/2018	***-**-959I - FRANZ, PAUL	MFS INTERNATIONAL NEW DISCOVERY FUN	0.00	1.92	0.00	1.92	88.0	1.69
	ACCOUNT #: LSR010959	BUY 1 Units @0.0000						



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 OVERRIDE TRANSACTIONS (continued)								
 <u>BROKER: KURT GRUENEWALD (continued)</u>								
07/23/2018	***-**-960J - MASTRANGELO, ACCOUNT #: LSR010966	MFS INTERNATIONAL NEW DISCOVERY FUN BUY 1 Units @0.0000	0.00	1.36	0.00	1.36	88.0	1.20
07/23/2018	***-**-761I - EVANS, DOLORES ACCOUNT #: LSR011024	MFS INTERNATIONAL NEW DISCOVERY FUN BUY 1 Units @0.0000	0.00	3.35	0.00	3.35	88.0	2.95
07/23/2018	***-**-944O - MAYO, DEBORAH ACCOUNT #: LSR011035	MFS INTERNATIONAL NEW DISCOVERY FUN BUY 1 Units @0.0000	0.00	0.66	0.00	0.66	88.0	0.58
07/23/2018	***-**-13IN - RHYMESTINE, ACCOUNT #: LSR011106	MFS INTERNATIONAL NEW DISCOVERY FUN BUY 1 Units @0.0000	0.00	0.76	0.00	0.76	88.0	0.67
07/23/2018	***-**-31IO - WILLIAMSON, FBO ACCOUNT #: LSR011172	MFS INTERNATIONAL NEW DISCOVERY FUN BUY 1 Units @0.0000	0.00	2.16	0.00	2.16	88.0	1.90
07/23/2018	***-**-03IO - MASTRANGELO, ACCOUNT #: LSR011679	MFS INTERNATIONAL NEW DISCOVERY FUN BUY 1 Units @0.0000	0.00	2.25	0.00	2.25	88.0	1.98
07/23/2018	***-**-930I - SANGER, KEVIN ACCOUNT #: LSR010941	MFS INTERNATIONAL NEW DISCOVERY FUN BUY 1 Units @0.0000	0.00	0.37	0.00	0.37	88.0	0.33
07/23/2018	***-**-861I - SANGER, LAWRENCE ACCOUNT #: LSR011095	MFS INTERNATIONAL NEW DISCOVERY FUN BUY 1 Units @0.0000	0.00	0.82	0.00	0.82	88.0	0.72
07/23/2018	***-**-51IO - CAIN, TIMOTHY ACCOUNT #: LSR011007	MFS INTERNATIONAL VALUE FUND-B BUY 1 Units @0.0000	0.00	0.93	0.00	0.93	88.0	0.82
07/23/2018	***-**-861I - SANGER, LAWRENCE ACCOUNT #: LSR011095	MFS LIFETIME INCOME CLASS A BUY 1 Units @0.0000	0.00	1.12	0.00	1.12	88.0	0.99
07/23/2018	***-**-959J - FRANZ, PAUL ACCOUNT #: LSR010958	MFS MODERATE ALLOCATION CL C BUY 1 Units @0.0000	0.00	14.10	0.00	14.10	88.0	12.41
07/23/2018	***-**-86IN - LEE, KEVIN ACCOUNT #: LSR011613	MFS MODERATE ALLOCATION CL C BUY 1 Units @0.0000	0.00	24.25	0.00	24.25	88.0	21.34
07/23/2018	***-**-960J - MASTRANGELO, ACCOUNT #: LSR010966	MFS NEW DISCOVERY FUND-B BUY 1 Units @0.0000	0.00	2.57	0.00	2.57	88.0	2.26
07/23/2018	***-**-31IO - WILLIAMSON, FBO ACCOUNT #: LSR011172	MFS NEW DISCOVERY FUND-B BUY 1 Units @0.0000	0.00	1.55	0.00	1.55	88.0	1.36
07/23/2018	***-**-978I - GUNN, KATHLEEN ACCOUNT #: LSR011345	MFS NEW DISCOVERY FUND-B BUY 1 Units @0.0000	0.00	0.66	0.00	0.66	88.0	0.58
07/23/2018	***-**-45IO - WILLIAMSON, ACCOUNT #: LSR011756	MFS NEW DISCOVERY FUND-B BUY 1 Units @0.0000	0.00	0.88	0.00	0.88	88.0	0.77



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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u> OVERRIDE TRANSACTIONS (continued) </u>								
<u> BROKER: KURT GRUENEWALD (continued) </u>								
07/23/2018	***-**-197I - GAMBINO, ANDREW	MFS NEW DISCOVERY VALUE FUND CL B	0.00	0.27	0.00	0.27	88.0	0.24
	ACCOUNT #: LSR011465	BUY 1 Units @0.0000						
07/23/2018	***-**-53IN - EVANS, ANDREW	MFS NEW DISCOVERY VALUE FUND CL B	0.00	0.72	0.00	0.72	88.0	0.63
	ACCOUNT #: LSR011483	BUY 1 Units @0.0000						
07/23/2018	***-**-24IN - BLISS, RYAN	MFS NEW DISCOVERY VALUE FUND CL B	0.00	0.34	0.00	0.34	88.0	0.30
	ACCOUNT #: LSR011502	BUY 1 Units @0.0000						
07/23/2018	***-**-38IO - BROWN, TYLER	MFS NEW DISCOVERY VALUE FUND CL B	0.00	0.75	0.00	0.75	88.0	0.66
	ACCOUNT #: LSR011602	BUY 1 Units @0.0000						
07/23/2018	***-**-36IR - SANGER, BETH	MFS NEW DISCOVERY VALUE FUND CL B	0.00	0.25	0.00	0.25	88.0	0.22
	ACCOUNT #: LSR011757	BUY 1 Units @0.0000						
07/23/2018	***-**-382I - SATTERLY, NEIL	MFS NEW DISCOVERY VALUE FUND CL C	0.00	11.33	0.00	11.33	88.0	9.97
	ACCOUNT #: LSR010867	BUY 1 Units @0.0000						
07/23/2018	***-**-44IO - MAYO, DEBORAH	MFS NEW DISCOVERY VALUE FUND CL C	0.00	13.92	0.00	13.92	88.0	12.25
	ACCOUNT #: LSR011079	BUY 1 Units @0.0000						
07/23/2018	***-**-63TR - EVANS, AUDREY J	MFS NEW YORK MUNICIPAL BOND FUND-B	0.00	1.60	0.00	1.60	88.0	1.41
	ACCOUNT #: LSR011036	BUY 1 Units @0.0000						
07/23/2018	***-**-111J - NESSIA, JAMES	MFS NEW YORK MUNICIPAL BOND FUND-B	0.00	0.49	0.00	0.49	88.0	0.43
	ACCOUNT #: LSR011054	BUY 1 Units @0.0000						
07/23/2018	***-**-111J - NESSIA, JAMES	MFS RESEARCH BOND FUND CLASS A	0.00	0.36	0.00	0.36	88.0	0.32
	ACCOUNT #: LSR011054	BUY 1 Units @0.0000						
07/23/2018	***-**-861I - SANGER, LAWRENCE	MFS RESEARCH BOND FUND CLASS A	0.00	0.38	0.00	0.38	88.0	0.33
	ACCOUNT #: LSR011095	BUY 1 Units @0.0000						
07/23/2018	***-**-02IN - BUSHEY, MELISSA	MFS RESEARCH BOND FUND CLASS A	0.00	0.21	0.00	0.21	88.0	0.18
	ACCOUNT #: LSR011257	BUY 1 Units @0.0000						
07/23/2018	***-**-62IN - EATON, DAVID	MFS RESEARCH BOND FUND CLASS A	0.00	0.56	0.00	0.56	88.0	0.49
	ACCOUNT #: LSR011315	BUY 1 Units @0.0000						
07/23/2018	***-**-254I - AUGUSTINE, LINDA	MFS RESEARCH BOND FUND-B	0.00	0.56	0.00	0.56	88.0	0.49
	ACCOUNT #: LSR010846	BUY 1 Units @0.0000						
07/23/2018	***-**-959I - FRANZ, PAUL	MFS RESEARCH BOND FUND-B	0.00	0.81	0.00	0.81	88.0	0.71
	ACCOUNT #: LSR010959	BUY 1 Units @0.0000						
07/23/2018	***-**-51IO - CAIN, TIMOTHY	MFS RESEARCH BOND FUND-B	0.00	1.29	0.00	1.29	88.0	1.14
	ACCOUNT #: LSR011007	BUY 1 Units @0.0000						



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 OVERRIDE TRANSACTIONS (continued)								
 <u>BROKER: KURT GRUENEWALD (continued)</u>								
07/23/2018	***-**-761I - EVANS, DOLORES	MFS RESEARCH BOND FUND-B	0.00	1.29	0.00	1.29	88.0	1.14
	ACCOUNT #: LSR011024	BUY 1 Units @0.0000						
07/23/2018	***-**-76IO - MCALLISTER, FBO	MFS RESEARCH BOND FUND-B	0.00	0.51	0.00	0.51	88.0	0.45
	ACCOUNT #: LSR011107	BUY 1 Units @0.0000						
07/23/2018	***-**-367J - WAGNER, MRS LANT	MFS RESEARCH BOND FUND-B	0.00	0.47	0.00	0.47	88.0	0.41
	ACCOUNT #: LSR011134	BUY 1 Units @0.0000						
07/23/2018	***-**-31IO - WILLIAMSON, FBO	MFS RESEARCH BOND FUND-B	0.00	0.64	0.00	0.64	88.0	0.56
	ACCOUNT #: LSR011172	BUY 1 Units @0.0000						
07/23/2018	***-**-67IR - FRANZ, ALICE	MFS RESEARCH FUND-B	0.00	1.21	0.00	1.21	88.0	1.06
	ACCOUNT #: LSR011872	BUY 1 Units @0.0000						
07/23/2018	***-**-59IR - FRANZ, PAUL	MFS RESEARCH FUND-B	0.00	1.21	0.00	1.21	88.0	1.06
	ACCOUNT #: LSR011873	BUY 1 Units @0.0000						
07/23/2018	***-**-326J - GRANDE, MR	MFS STRATEGIC INCOME FUND-B	0.00	1.09	0.00	1.09	88.0	0.96
	ACCOUNT #: LSR011089	BUY 1 Units @0.0000						
07/23/2018	***-**-382I - SATTERLY, NEIL	MFS TECHNOLOGY CLASS C	0.00	11.30	0.00	11.30	88.0	9.94
	ACCOUNT #: LSR010867	BUY 1 Units @0.0000						
07/23/2018	***-**-48IO - CLARK, PATRICK	MFS TECHNOLOGY CLASS C	0.00	8.17	0.00	8.17	88.0	7.19
	ACCOUNT #: LSR010911	BUY 1 Units @0.0000						
07/23/2018	***-**-031O - MCVOY, ROBERT	MFS TECHNOLOGY CLASS C	0.00	5.31	0.00	5.31	88.0	4.67
	ACCOUNT #: LSR010916	BUY 1 Units @0.0000						
07/23/2018	***-**-930I - SANGER, KEVIN	MFS TECHNOLOGY CLASS C	0.00	10.04	0.00	10.04	88.0	8.84
	ACCOUNT #: LSR010941	BUY 1 Units @0.0000						
07/23/2018	***-**-065I - LAZIO, THOMAS	MFS TECHNOLOGY CLASS C	0.00	6.51	0.00	6.51	88.0	5.73
	ACCOUNT #: LSR010979	BUY 1 Units @0.0000						
07/23/2018	***-**-00IO - LEE, GARY	MFS TECHNOLOGY CLASS C	0.00	12.97	0.00	12.97	88.0	11.41
	ACCOUNT #: LSR011059	BUY 1 Units @0.0000						
07/23/2018	***-**-44IO - MAYO, DEBORAH	MFS TECHNOLOGY CLASS C	0.00	14.56	0.00	14.56	88.0	12.81
	ACCOUNT #: LSR011079	BUY 1 Units @0.0000						
07/23/2018	***-**-09IO - BATES, FBO MRS	MFS TECHNOLOGY CLASS C	0.00	12.80	0.00	12.80	88.0	11.26
	ACCOUNT #: LSR011117	BUY 1 Units @0.0000						
07/23/2018	***-**-89IN - LEE, ROGER	MFS TECHNOLOGY CLASS C	0.00	6.92	0.00	6.92	88.0	6.09
	ACCOUNT #: LSR011166	BUY 1 Units @0.0000						



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 OVERRIDE TRANSACTIONS (continued)								
 <u>BROKER: KURT GRUENEWALD (continued)</u>								
07/23/2018	***-**-094I - KATRENA L	MFS TECHNOLOGY CLASS C	0.00	7.20	0.00	7.20	88.0	6.34
	ACCOUNT #: LSR011188	BUY 1 Units @0.0000						
07/23/2018	***-**-06IR - CAMPBELL, PAMELA	MFS TECHNOLOGY CLASS C	0.00	8.99	0.00	8.99	88.0	7.91
	ACCOUNT #: LSR011222	BUY 1 Units @0.0000						
07/23/2018	***-**-11IO - LYNN G.	MFS TECHNOLOGY CLASS C	0.00	7.43	0.00	7.43	88.0	6.54
	ACCOUNT #: LSR011239	BUY 1 Units @0.0000						
07/23/2018	***-**-45IO - JOHNSON, GREGORY	MFS TECHNOLOGY CLASS C	0.00	8.04	0.00	8.04	88.0	7.08
	ACCOUNT #: LSR011421	BUY 1 Units @0.0000						
07/23/2018	***-**-37IO - MCCLUSKY, MARK	MFS TECHNOLOGY CLASS C	0.00	2.83	0.00	2.83	88.0	2.49
	ACCOUNT #: LSR011579	BUY 1 Units @0.0000						
07/23/2018	***-**-86IN - LEE, KEVIN	MFS TECHNOLOGY CLASS C	0.00	11.25	0.00	11.25	88.0	9.90
	ACCOUNT #: LSR011613	BUY 1 Units @0.0000						
07/23/2018	***-**-99IN - EDELMAN, TINA	MFS TECHNOLOGY CLASS C	0.00	0.11	0.00	0.11	88.0	0.10
	ACCOUNT #: LSR011956	BUY 1 Units @0.0000						
07/23/2018	***-**-28IN - BYWATER, KIM	MFS TECHNOLOGY CLASS C	0.00	0.21	0.00	0.21	88.0	0.18
	ACCOUNT #: LSR011995	BUY 1 Units @0.0000						
07/23/2018	***-**-944O - MAYO, DEBORAH	MFS TECHNOLOGY FUND CLASS A	0.00	1.38	0.00	1.38	88.0	1.21
	ACCOUNT #: LSR011035	BUY 1 Units @0.0000						
07/23/2018	***-**-808J - GORMAN, RANDY	MFS TECHNOLOGY FUND CLASS A	0.00	0.25	0.00	0.25	88.0	0.22
	ACCOUNT #: LSR011087	BUY 1 Units @0.0000						
07/23/2018	***-**-02IN - BUSHEY, MELISSA	MFS TECHNOLOGY FUND CLASS A	0.00	1.10	0.00	1.10	88.0	0.97
	ACCOUNT #: LSR011257	BUY 1 Units @0.0000						
07/23/2018	***-**-31IO - HARTZ, CLAUDIA	MFS TECHNOLOGY FUND-B	0.00	0.98	0.00	0.98	88.0	0.86
	ACCOUNT #: LSR010915	BUY 1 Units @0.0000						
07/23/2018	***-**-15IN - PENDRAK, JOHN	MFS TECHNOLOGY FUND-B	0.00	2.54	0.00	2.54	88.0	2.24
	ACCOUNT #: LSR010948	BUY 1 Units @0.0000						
07/23/2018	***-**-959I - FRANZ, PAUL	MFS TECHNOLOGY FUND-B	0.00	2.11	0.00	2.11	88.0	1.86
	ACCOUNT #: LSR010959	BUY 1 Units @0.0000						
07/23/2018	***-**-169I - EVANS, PAUL	MFS TECHNOLOGY FUND-B	0.00	1.44	0.00	1.44	88.0	1.27
	ACCOUNT #: LSR011026	BUY 1 Units @0.0000						
07/23/2018	***-**-580X - COBB, JAMES	MFS TECHNOLOGY FUND-B	0.00	1.40	0.00	1.40	88.0	1.23
	ACCOUNT #: LSR011040	BUY 1 Units @0.0000						



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 OVERRIDE TRANSACTIONS (continued)								
 <u>BROKER: KURT GRUENEWALD (continued)</u>								
07/23/2018	***-**-579J - RHYMESTINE, ACCOUNT #: LSR011081	MFS TECHNOLOGY FUND-B BUY 1 Units @0.0000	0.00	1.09	0.00	1.09	88.0	0.96
07/23/2018	***-**-579I - RHYMESTINE, ACCOUNT #: LSR011082	MFS TECHNOLOGY FUND-B BUY 1 Units @0.0000	0.00	1.48	0.00	1.48	88.0	1.30
07/23/2018	***-**-326I - GRANDE, FBO MR ACCOUNT #: LSR011091	MFS TECHNOLOGY FUND-B BUY 1 Units @0.0000	0.00	1.85	0.00	1.85	88.0	1.63
07/23/2018	***-**-992J - CORNACCHIA ACCOUNT #: LSR011157	MFS TECHNOLOGY FUND-B BUY 1 Units @0.0000	0.00	0.47	0.00	0.47	88.0	0.41
07/23/2018	***-**-48IO - ANACKER, FBO MRS ACCOUNT #: LSR011164	MFS TECHNOLOGY FUND-B BUY 1 Units @0.0000	0.00	0.97	0.00	0.97	88.0	0.85
07/23/2018	***-**-31IO - WILLIAMSON, FBO ACCOUNT #: LSR011172	MFS TECHNOLOGY FUND-B BUY 1 Units @0.0000	0.00	1.69	0.00	1.69	88.0	1.49
07/23/2018	***-**-664J - PFAFF, GEORGE ACCOUNT #: LSR011184	MFS TECHNOLOGY FUND-B BUY 1 Units @0.0000	0.00	2.04	0.00	2.04	88.0	1.80
07/23/2018	***-**-64IO - PFAFF, GEORGE ACCOUNT #: LSR011185	MFS TECHNOLOGY FUND-B BUY 1 Units @0.0000	0.00	1.11	0.00	1.11	88.0	0.98
07/23/2018	***-**-52IO - EUSEPI, SUSAN ACCOUNT #: LSR011219	MFS TECHNOLOGY FUND-B BUY 1 Units @0.0000	0.00	1.47	0.00	1.47	88.0	1.29
07/23/2018	***-**-37IR - HARTZ, RENEE ACCOUNT #: LSR011259	MFS TECHNOLOGY FUND-B BUY 1 Units @0.0000	0.00	1.65	0.00	1.65	88.0	1.45
07/23/2018	***-**-75IR - EVANS, DIANE ACCOUNT #: LSR011275	MFS TECHNOLOGY FUND-B BUY 1 Units @0.0000	0.00	1.57	0.00	1.57	88.0	1.38
07/23/2018	***-**-653I - KOCHEM, CLINTON ACCOUNT #: LSR011300	MFS TECHNOLOGY FUND-B BUY 1 Units @0.0000	0.00	2.44	0.00	2.44	88.0	2.15
07/23/2018	***-**-680I - HARRELL, DARYL ACCOUNT #: LSR011321	MFS TECHNOLOGY FUND-B BUY 1 Units @0.0000	0.00	1.66	0.00	1.66	88.0	1.46
07/23/2018	***-**-978I - GUNN, KATHLEEN ACCOUNT #: LSR011345	MFS TECHNOLOGY FUND-B BUY 1 Units @0.0000	0.00	0.96	0.00	0.96	88.0	0.84
07/23/2018	***-**-197I - GAMBINO, ANDREW ACCOUNT #: LSR011465	MFS TECHNOLOGY FUND-B BUY 1 Units @0.0000	0.00	0.52	0.00	0.52	88.0	0.46
07/23/2018	***-**-53IN - EVANS, ANDREW ACCOUNT #: LSR011483	MFS TECHNOLOGY FUND-B BUY 1 Units @0.0000	0.00	0.95	0.00	0.95	88.0	0.84



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 OVERRIDE TRANSACTIONS (continued)								
 <u>BROKER: KURT GRUENEWALD (continued)</u>								
07/23/2018	***-**-274X - DOXTADER, ACCOUNT #: LSR011580	MFS TECHNOLOGY FUND-B BUY 1 Units @0.0000	0.00	0.25	0.00	0.25	88.0	0.22
07/23/2018	***-**-38IO - BROWN, TYLER ACCOUNT #: LSR011602	MFS TECHNOLOGY FUND-B BUY 1 Units @0.0000	0.00	1.09	0.00	1.09	88.0	0.96
07/23/2018	***-**-03IO - MASTRANGELO, ACCOUNT #: LSR011679	MFS TECHNOLOGY FUND-B BUY 1 Units @0.0000	0.00	2.03	0.00	2.03	88.0	1.79
07/23/2018	***-**-45IR - WILLIAMSON, ACCOUNT #: LSR011764	MFS TECHNOLOGY FUND-B BUY 1 Units @0.0000	0.00	2.25	0.00	2.25	88.0	1.98
07/23/2018	***-**-51IO - SCALISE, MARY ACCOUNT #: LSR011837	MFS TECHNOLOGY FUND-B BUY 1 Units @0.0000	0.00	2.03	0.00	2.03	88.0	1.79
07/23/2018	***-**-87IO - LASCALA, LAUREN ACCOUNT #: LSR011858	MFS TECHNOLOGY FUND-B BUY 1 Units @0.0000	0.00	0.37	0.00	0.37	88.0	0.33
07/23/2018	***-**-88IJ - EBERLEY, SUSAN ACCOUNT #: LSR010856	MFS TOTAL RETURN FUND-B BUY 1 Units @0.0000	0.00	1.35	0.00	1.35	88.0	1.19
07/23/2018	***-**-949I - ACEE, JOSPEH ACCOUNT #: LSR010908	MFS TOTAL RETURN FUND-B BUY 1 Units @0.0000	0.00	1.81	0.00	1.81	88.0	1.59
07/23/2018	***-**-960J - MASTRANGELO, ACCOUNT #: LSR010966	MFS TOTAL RETURN FUND-B BUY 1 Units @0.0000	0.00	1.84	0.00	1.84	88.0	1.62
07/23/2018	***-**-506J - CURRIERE JR, MR ACCOUNT #: LSR011121	MFS TOTAL RETURN FUND-B BUY 1 Units @0.0000	0.00	0.95	0.00	0.95	88.0	0.84
07/23/2018	***-**-31IO - WILLIAMSON, FBO ACCOUNT #: LSR011172	MFS TOTAL RETURN FUND-B BUY 1 Units @0.0000	0.00	2.13	0.00	2.13	88.0	1.87
07/23/2018	***-**-62IR - ROBBIANO, FBO ACCOUNT #: LSR011195	MFS TOTAL RETURN FUND-B BUY 1 Units @0.0000	0.00	0.85	0.00	0.85	88.0	0.75
07/23/2018	***-**-944O - MAYO, DEBORAH ACCOUNT #: LSR011035	MFS UTILITIES FUND-A BUY 1 Units @0.0000	0.00	0.85	0.00	0.85	88.0	0.75
07/23/2018	***-**-96IN - NESSIA, BONNIE ACCOUNT #: LSR011055	MFS UTILITIES FUND-A BUY 1 Units @0.0000	0.00	0.54	0.00	0.54	88.0	0.48
07/23/2018	***-**-808J - GORMAN, RANDY ACCOUNT #: LSR011087	MFS UTILITIES FUND-A BUY 1 Units @0.0000	0.00	0.56	0.00	0.56	88.0	0.49
07/23/2018	***-**-31IO - HARTZ, CLAUDIA ACCOUNT #: LSR010915	MFS UTILITIES FUND-B BUY 1 Units @0.0000	0.00	1.32	0.00	1.32	88.0	1.16



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<u> OVERRIDE TRANSACTIONS (continued) </u>								
<u> BROKER: KURT GRUENEWALD (continued) </u>								
07/23/2018	***-**-15IN - PENDRAK, JOHN	MFS UTILITIES FUND-B	0.00	1.82	0.00	1.82	88.0	1.60
	ACCOUNT #: LSR010948	BUY 1 Units @0.0000						
07/23/2018	***-**-366S - GRUENEWALD,	MFS UTILITIES FUND-B	0.00	0.71	0.00	0.71	88.0	0.62
	ACCOUNT #: LSR010990	BUY 1 Units @0.0000						
07/23/2018	***-**-61IN - EVANS, DOLORES	MFS UTILITIES FUND-B	0.00	0.28	0.00	0.28	88.0	0.25
	ACCOUNT #: LSR011023	BUY 1 Units @0.0000						
07/23/2018	***-**-63TR - EVANS, AUDREY J	MFS UTILITIES FUND-B	0.00	1.65	0.00	1.65	88.0	1.45
	ACCOUNT #: LSR011036	BUY 1 Units @0.0000						
07/23/2018	***-**-306X - COBB, CHERRYL	MFS UTILITIES FUND-B	0.00	1.93	0.00	1.93	88.0	1.70
	ACCOUNT #: LSR011037	BUY 1 Units @0.0000						
07/23/2018	***-**-579I - RHYMESTINE,	MFS UTILITIES FUND-B	0.00	2.00	0.00	2.00	88.0	1.76
	ACCOUNT #: LSR011082	BUY 1 Units @0.0000						
07/23/2018	***-**-326J - GRANDE, MR	MFS UTILITIES FUND-B	0.00	0.67	0.00	0.67	88.0	0.59
	ACCOUNT #: LSR011089	BUY 1 Units @0.0000						
07/23/2018	***-**-326I - GRANDE, FBO MR	MFS UTILITIES FUND-B	0.00	0.96	0.00	0.96	88.0	0.84
	ACCOUNT #: LSR011091	BUY 1 Units @0.0000						
07/23/2018	***-**-13IN - RHYMESTINE,	MFS UTILITIES FUND-B	0.00	0.85	0.00	0.85	88.0	0.75
	ACCOUNT #: LSR011106	BUY 1 Units @0.0000						
07/23/2018	***-**-76IO - MCALLISTER, FBO	MFS UTILITIES FUND-B	0.00	0.78	0.00	0.78	88.0	0.69
	ACCOUNT #: LSR011107	BUY 1 Units @0.0000						
07/23/2018	***-**-367J - WAGNER, MRS LANT	MFS UTILITIES FUND-B	0.00	1.61	0.00	1.61	88.0	1.42
	ACCOUNT #: LSR011134	BUY 1 Units @0.0000						
07/23/2018	***-**-31IO - WILLIAMSON, FBO	MFS UTILITIES FUND-B	0.00	1.30	0.00	1.30	88.0	1.14
	ACCOUNT #: LSR011172	BUY 1 Units @0.0000						
07/23/2018	***-**-64IO - PFAFF, GEORGE	MFS UTILITIES FUND-B	0.00	1.65	0.00	1.65	88.0	1.45
	ACCOUNT #: LSR011185	BUY 1 Units @0.0000						
07/23/2018	***-**-653I - KOCHEM, CLINTON	MFS UTILITIES FUND-B	0.00	1.38	0.00	1.38	88.0	1.21
	ACCOUNT #: LSR011300	BUY 1 Units @0.0000						
07/23/2018	***-**-62IN - EATON, DAVID	MFS UTILITIES FUND-B	0.00	1.30	0.00	1.30	88.0	1.14
	ACCOUNT #: LSR011315	BUY 1 Units @0.0000						
07/23/2018	***-**-978I - GUNN, KATHLEEN	MFS UTILITIES FUND-B	0.00	0.39	0.00	0.39	88.0	0.34
	ACCOUNT #: LSR011345	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: KURT GRUENEWALD (continued)</u>								
07/23/2018	***-**-21IO - RADELL, SANDRA	MFS UTILITIES FUND-B	0.00	1.59	0.00	1.59	88.0	1.40
	ACCOUNT #: LSR011392	BUY 1 Units @0.0000						
07/23/2018	***-**-41IR - DINITTO, ALLISYN	MFS UTILITIES FUND-B	0.00	0.45	0.00	0.45	88.0	0.40
	ACCOUNT #: LSR011443	BUY 1 Units @0.0000						
07/23/2018	***-**-197I - GAMBINO, ANDREW	MFS UTILITIES FUND-B	0.00	0.12	0.00	0.12	88.0	0.11
	ACCOUNT #: LSR011465	BUY 1 Units @0.0000						
07/23/2018	***-**-53IN - EVANS, ANDREW	MFS UTILITIES FUND-B	0.00	0.55	0.00	0.55	88.0	0.48
	ACCOUNT #: LSR011483	BUY 1 Units @0.0000						
07/23/2018	***-**-24IN - BLISS, RYAN	MFS UTILITIES FUND-B	0.00	0.11	0.00	0.11	88.0	0.10
	ACCOUNT #: LSR011502	BUY 1 Units @0.0000						
07/23/2018	***-**-51IN - GERACE, JOANNE	MFS UTILITIES FUND-B	0.00	1.48	0.00	1.48	88.0	1.30
	ACCOUNT #: LSR011538	BUY 1 Units @0.0000						
07/23/2018	***-**-38IO - BROWN, TYLER	MFS UTILITIES FUND-B	0.00	0.57	0.00	0.57	88.0	0.50
	ACCOUNT #: LSR011602	BUY 1 Units @0.0000						
07/23/2018	***-**-45IO - WILLIAMSON,	MFS UTILITIES FUND-B	0.00	0.55	0.00	0.55	88.0	0.48
	ACCOUNT #: LSR011756	BUY 1 Units @0.0000						
07/23/2018	***-**-235I - AUGUSTINE III,	MFS UTILITIES FUND-C	0.00	8.79	0.00	8.79	88.0	7.74
	ACCOUNT #: LSR010845	BUY 1 Units @0.0000						
07/23/2018	***-**-980I - ACEE, ELIZABETH	MFS UTILITIES FUND-C	0.00	10.48	0.00	10.48	88.0	9.22
	ACCOUNT #: LSR010885	BUY 1 Units @0.0000						
07/23/2018	***-**-48IO - CLARK, PATRICK	MFS UTILITIES FUND-C	0.00	8.86	0.00	8.86	88.0	7.80
	ACCOUNT #: LSR010911	BUY 1 Units @0.0000						
07/23/2018	***-**-031O - MCVOY, ROBERT	MFS UTILITIES FUND-C	0.00	4.47	0.00	4.47	88.0	3.93
	ACCOUNT #: LSR010916	BUY 1 Units @0.0000						
07/23/2018	***-**-065I - LAZIO, THOMAS	MFS UTILITIES FUND-C	0.00	10.43	0.00	10.43	88.0	9.18
	ACCOUNT #: LSR010979	BUY 1 Units @0.0000						
07/23/2018	***-**-00IO - LEE, GARY	MFS UTILITIES FUND-C	0.00	10.40	0.00	10.40	88.0	9.15
	ACCOUNT #: LSR011059	BUY 1 Units @0.0000						
07/23/2018	***-**-09IO - BATES, FBO MRS	MFS UTILITIES FUND-C	0.00	10.93	0.00	10.93	88.0	9.62
	ACCOUNT #: LSR011117	BUY 1 Units @0.0000						
07/23/2018	***-**-89IN - LEE, ROGER	MFS UTILITIES FUND-C	0.00	6.53	0.00	6.53	88.0	5.75
	ACCOUNT #: LSR011166	BUY 1 Units @0.0000						



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 OVERRIDE TRANSACTIONS (continued)								
 <u>BROKER: KURT GRUENEWALD (continued)</u>								
07/23/2018	***-**-81IR - CAMPBELL, ACCOUNT #: LSR011223	MFS UTILITIES FUND-C BUY 1 Units @0.0000	0.00	6.80	0.00	6.80	88.0	5.98
07/23/2018	***-**-11IO - LYNN G. ACCOUNT #: LSR011239	MFS UTILITIES FUND-C BUY 1 Units @0.0000	0.00	9.44	0.00	9.44	88.0	8.31
07/23/2018	***-**-37IR - HARTZ, RENEE ACCOUNT #: LSR011259	MFS UTILITIES FUND-C BUY 1 Units @0.0000	0.00	0.06	0.00	0.06	88.0	0.05
07/23/2018	***-**-80IO - EVANS, RICHARD ACCOUNT #: LSR011276	MFS UTILITIES FUND-C BUY 1 Units @0.0000	0.00	7.25	0.00	7.25	88.0	6.38
07/23/2018	***-**-376I - BERBEN, GAIL ACCOUNT #: LSR011380	MFS UTILITIES FUND-C BUY 1 Units @0.0000	0.00	9.44	0.00	9.44	88.0	8.31
07/23/2018	***-**-45IO - JOHNSON, GREGORY ACCOUNT #: LSR011421	MFS UTILITIES FUND-C BUY 1 Units @0.0000	0.00	8.42	0.00	8.42	88.0	7.41
07/23/2018	***-**-14IO - BUSHEY, MATTHEW ACCOUNT #: LSR011498	MFS UTILITIES FUND-C BUY 1 Units @0.0000	0.00	9.25	0.00	9.25	88.0	8.14
07/23/2018	***-**-22IO - CLINTON, STEPHEN ACCOUNT #: LSR011684	MFS UTILITIES FUND-C BUY 1 Units @0.0000	0.00	0.02	0.00	0.02	88.0	0.02
07/23/2018	***-**-714O - LINES, JUDITH ACCOUNT #: LSR011763	MFS UTILITIES FUND-C BUY 1 Units @0.0000	0.00	0.01	0.00	0.01	88.0	0.01
07/23/2018	***-**-35IN - RUGGIERO, LAURIE ACCOUNT #: LSR012314	MFS UTILITIES FUND-C BUY 1 Units @0.0000	0.00	0.03	0.00	0.03	88.0	0.03
07/23/2018	***-**-31IO - JOSEPH, ANN ACCOUNT #: LSR012337	MFS UTILITIES FUND-C BUY 1 Units @0.0000	0.00	0.01	0.00	0.01	88.0	0.01
07/23/2018	***-**-452I - ROBERTS, LILLIAN ACCOUNT #: LSR012350	MFS UTILITIES FUND-C BUY 1 Units @0.0000	0.00	0.01	0.00	0.01	88.0	0.01
07/23/2018	***-**-851J - BLAKE, JAMES ACCOUNT #: LSR012393	MFS UTILITIES FUND-C BUY 1 Units @0.0000	0.00	0.02	0.00	0.02	88.0	0.02
07/23/2018	***-**-188I - BRADLEY, WAYNE ACCOUNT #: LSR012484	MFS UTILITIES FUND-C BUY 1 Units @0.0000	0.00	0.01	0.00	0.01	88.0	0.01
07/23/2018	***-**-13IN - ROTH, KAREN ACCOUNT #: LSR011954	MFS VALUE FUND-B BUY 1 Units @0.0000	0.00	0.99	0.00	0.99	88.0	0.87
07/17/2018	***-**-20IO - DEMETRI, AMELIA ACCOUNT #: LSR010995	MUTUAL GLOBAL DISCOVERY FUND - CLAS BUY 1 Units @0.0000	0.00	1.51	0.00	1.51	88.0	1.33



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 OVERRIDE TRANSACTIONS (continued)								
 <u>BROKER: KURT GRUENEWALD (continued)</u>								
07/23/2018	***-**-20IO - DEMETRI, AMELIA	NEW PERSPECTIVE FUND-A	0.00	1.85	0.00	1.85	88.0	1.63
	ACCOUNT #: LSR010995	BUY 1 Units @0.0000						
07/23/2018	***-**-702I - KOCHEM, MICHAEL	NEW WORLD FUND-A	0.00	2.68	0.00	2.68	88.0	2.36
	ACCOUNT #: LSR010954	BUY 1 Units @0.0000						
07/23/2018	***-**-326I - GRANDE, FBO MR	NEW WORLD FUND-A	0.00	2.44	0.00	2.44	88.0	2.15
	ACCOUNT #: LSR011091	BUY 1 Units @0.0000						
07/23/2018	***-**-680I - HARRELL, DARYL	NEW WORLD FUND-A	0.00	0.58	0.00	0.58	88.0	0.51
	ACCOUNT #: LSR011321	BUY 1 Units @0.0000						
07/23/2018	***-**-128I - BASHANT, THOMAS	NEW WORLD FUND-A	0.00	0.90	0.00	0.90	88.0	0.79
	ACCOUNT #: LSR011387	BUY 1 Units @0.0000						
07/23/2018	***-**-30TR - AND SANDRA	NEW WORLD FUND-A	0.00	2.01	0.00	2.01	88.0	1.77
	ACCOUNT #: LSR011939	BUY 1 Units @0.0000						
07/23/2018	***-**-614J - BUSHEY, MATTHEW	NYA JPM 529 MOD AGE-BASED A	100.00	4.76	0.00	4.76	88.0	4.19
		BUY 0 Units @0.0000						
07/03/2018	***-**-13IN - BLISS, PATRICK	OPPENHEIMER ACTIVE ALLOCATION FUND	75.00	0.75	0.00	0.75	88.0	0.66
	ACCOUNT #: 05521022681	BUY 0 Units @0.0000						
07/09/2018	***-**-775I - BLISS, APRIL	OPPENHEIMER ACTIVE ALLOCATION FUND	90.98	0.91	0.00	0.91	88.0	0.80
	ACCOUNT #: 05521022692	BUY 0 Units @0.0000						
07/17/2018	***-**-07IO - FAMOLARO, JAMES	PRUDENTIAL JENNISON 20/20 FOCUS CLA	0.00	3.28	0.00	3.28	88.0	2.89
	ACCOUNT #: LSR011280	BUY 1 Units @0.0000						
07/17/2018	***-**-254I - AUGUSTINE, LINDA	PRUDENTIAL JENNISON NATURAL RESOURC	0.00	0.49	0.00	0.49	88.0	0.43
	ACCOUNT #: LSR010846	BUY 1 Units @0.0000						
07/17/2018	***-**-15IN - PENDRAK, JOHN	PRUDENTIAL JENNISON NATURAL RESOURC	0.00	2.55	0.00	2.55	88.0	2.24
	ACCOUNT #: LSR010948	BUY 1 Units @0.0000						
07/17/2018	***-**-366S - GRUENEWALD,	PRUDENTIAL JENNISON NATURAL RESOURC	0.00	0.33	0.00	0.33	88.0	0.29
	ACCOUNT #: LSR010990	BUY 1 Units @0.0000						
07/17/2018	***-**-944O - MAYO, DEBORAH	PRUDENTIAL JENNISON NATURAL RESOURC	0.00	0.43	0.00	0.43	88.0	0.38
	ACCOUNT #: LSR011035	BUY 1 Units @0.0000						
07/17/2018	***-**-861I - SANGER, LAWRENCE	PRUDENTIAL JENNISON NATURAL RESOURC	0.00	0.55	0.00	0.55	88.0	0.48
	ACCOUNT #: LSR011095	BUY 1 Units @0.0000						
07/17/2018	***-**-128I - BASHANT, THOMAS	PRUDENTIAL JENNISON NATURAL RESOURC	0.00	0.34	0.00	0.34	88.0	0.30
	ACCOUNT #: LSR011387	BUY 1 Units @0.0000						



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 OVERRIDE TRANSACTIONS (continued)								
 BROKER: KURT GRUENEWALD (continued)								
07/17/2018	***-**-30TR - AND SANDRA ACCOUNT #: LSR011939	PRUDENTIAL JENNISON NATURAL RESOURC BUY 1 Units @0.0000	0.00	0.54	0.00	0.54	88.0	0.48
07/17/2018	***-**-15IN - PENDRAK, JOHN ACCOUNT #: LSR010948	PRUDENTIAL JENNISON NATURAL RESOURC BUY 1 Units @0.0000	0.00	0.01	0.00	0.01	88.0	0.01
07/13/2018	***-**-376I - BERBEN, GAIL ACCOUNT #: LSR011380	PUTNAM ABSOLUTE RETURN 700 CL C BUY 872 Units @11.4700	10,000.00	100.00	0.00	100.00	88.0	88.00
07/13/2018	***-**-726I - YADDAW, DEBRA ACCOUNT #: LSR012338	PUTNAM ABSOLUTE RETURN 700 CL C BUY 872 Units @11.4700	10,000.00	100.00	0.00	100.00	88.0	88.00
07/13/2018	***-**-513I - RHYMESTINE, ACCOUNT #: LSR012457	PUTNAM ABSOLUTE RETURN 700 CL C BUY 741 Units @11.4700	8,500.00	85.00	0.00	85.00	88.0	74.80
07/23/2018	***-**-680I - HARRELL, DARYL ACCOUNT #: LSR011321	SMALLCAP WORLD FUND-A BUY 1 Units @0.0000	0.00	0.89	0.00	0.89	88.0	0.78
07/23/2018	***-**-382I - SATTERLY, NEIL ACCOUNT #: LSR010867	SMALLCAP WORLD FUND-C BUY 1 Units @0.0000	0.00	8.87	0.00	8.87	88.0	7.81
07/23/2018	***-**-567I - FRANZ, ALICE ACCOUNT #: LSR010960	SMALLCAP WORLD FUND-C BUY 1 Units @0.0000	0.00	7.29	0.00	7.29	88.0	6.42
07/23/2018	***-**-44IO - MAYO, DEBORAH ACCOUNT #: LSR011079	SMALLCAP WORLD FUND-C BUY 1 Units @0.0000	0.00	12.29	0.00	12.29	88.0	10.82
07/23/2018	***-**-09IO - BATES, FBO MRS ACCOUNT #: LSR011117	SMALLCAP WORLD FUND-C BUY 1 Units @0.0000	0.00	11.94	0.00	11.94	88.0	10.51
07/23/2018	***-**-11IO - LYNN G. ACCOUNT #: LSR011239	SMALLCAP WORLD FUND-C BUY 1 Units @0.0000	0.00	12.42	0.00	12.42	88.0	10.93
07/23/2018	***-**-45IO - JOHNSON, GREGORY ACCOUNT #: LSR011421	SMALLCAP WORLD FUND-C BUY 1 Units @0.0000	0.00	8.13	0.00	8.13	88.0	7.15
07/23/2018	***-**-851K - LALLIER, JAMES ACCOUNT #: LSR012645	SMALLCAP WORLD FUND-C BUY 1 Units @0.0000	0.00	4.27	0.00	4.27	88.0	3.76
07/17/2018	***-**-86IN - LEE, KEVIN ACCOUNT #: LSR011613	TEMPLETON GLOBAL BOND FUND - CLASS BUY 1 Units @0.0000	0.00	3.75	0.00	3.75	88.0	3.30
07/20/2018	***-**-755P - SHEPPARD, ACCOUNT #: 00084018452	THE GROWTH FUND OF AMERICA-529C BUY 1 Units @51.3400	50.00	0.50	0.00	0.50	88.0	0.44
07/09/2018	***-**-480J - EVANS, RICHARD ACCOUNT #: 00073288662	THE GROWTH FUND OF AMERICA-A BUY 2 Units @58.0600	125.00	4.69	0.00	4.69	88.0	4.13



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<u> OVERRIDE TRANSACTIONS (continued) </u>								
<u> BROKER: KURT GRUENEWALD (continued) </u>								
07/23/2018	***-**-366I - GRUENEWALD, ACCOUNT #: LSR010989	THE GROWTH FUND OF AMERICA-A BUY 1 Units @0.0000	0.00	1.10	0.00	1.10	88.0	0.97
07/23/2018	***-**-326I - GRANDE, FBO MR ACCOUNT #: LSR011091	THE GROWTH FUND OF AMERICA-A BUY 1 Units @0.0000	0.00	2.23	0.00	2.23	88.0	1.96
07/23/2018	***-**-567I - FRANZ, ALICE ACCOUNT #: LSR010960	THE GROWTH FUND OF AMERICA-C BUY 1 Units @0.0000	0.00	10.70	0.00	10.70	88.0	9.42
07/23/2018	***-**-287I - HINCKLEY, ACCOUNT #: LSR010843	THE INCOME FUND OF AMERICA-A BUY 1 Units @0.0000	0.00	4.40	0.00	4.40	88.0	3.87
07/23/2018	***-**-702I - KOCHEM, MICHAEL ACCOUNT #: LSR010954	THE INCOME FUND OF AMERICA-A BUY 1 Units @0.0000	0.00	3.47	0.00	3.47	88.0	3.05
07/23/2018	***-**-959J - FRANZ, PAUL ACCOUNT #: LSR010958	THE INCOME FUND OF AMERICA-A BUY 1 Units @0.0000	0.00	2.81	0.00	2.81	88.0	2.47
07/23/2018	***-**-366I - GRUENEWALD, ACCOUNT #: LSR010989	THE INCOME FUND OF AMERICA-A BUY 1 Units @0.0000	0.00	1.73	0.00	1.73	88.0	1.52
07/23/2018	***-**-579J - RHYMESTINE, ACCOUNT #: LSR011081	THE INCOME FUND OF AMERICA-A BUY 1 Units @0.0000	0.00	0.98	0.00	0.98	88.0	0.86
07/23/2018	***-**-326I - GRANDE, FBO MR ACCOUNT #: LSR011091	THE INCOME FUND OF AMERICA-A BUY 1 Units @0.0000	0.00	2.27	0.00	2.27	88.0	2.00
07/23/2018	***-**-680I - HARRELL, DARYL ACCOUNT #: LSR011321	THE INCOME FUND OF AMERICA-A BUY 1 Units @0.0000	0.00	1.09	0.00	1.09	88.0	0.96
07/23/2018	***-**-128I - BASHANT, THOMAS ACCOUNT #: LSR011387	THE INCOME FUND OF AMERICA-A BUY 1 Units @0.0000	0.00	0.94	0.00	0.94	88.0	0.83
07/23/2018	***-**-30TR - AND SANDRA ACCOUNT #: LSR011939	THE INCOME FUND OF AMERICA-A BUY 1 Units @0.0000	0.00	2.59	0.00	2.59	88.0	2.28
07/23/2018	***-**-80IO - EVANS, RICHARD ACCOUNT #: LSR011276	THE NEW ECONOMY FUND-C BUY 1 Units @0.0000	0.00	11.90	0.00	11.90	88.0	10.47
07/23/2018	***-**-851K - LALLIER, JAMES ACCOUNT #: LSR012645	THE NEW ECONOMY FUND-C BUY 1 Units @0.0000	0.00	2.56	0.00	2.56	88.0	2.25
07/23/2018	***-**-235I - AUGUSTINE III, ACCOUNT #: LSR010845	TRANSAMERICA MLP & ENERGY INCOME CL BUY 1 Units @0.0000	0.00	6.14	0.00	6.14	88.0	5.40
07/23/2018	***-**-881J - EBERLEY, SUSAN ACCOUNT #: LSR010856	TRANSAMERICA MLP & ENERGY INCOME CL BUY 1 Units @0.0000	0.00	7.25	0.00	7.25	88.0	6.38



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 OVERRIDE TRANSACTIONS (continued)								
 <u>BROKER: KURT GRUENEWALD (continued)</u>								
07/23/2018	***-**-980I - ACEE, ELIZABETH ACCOUNT #: LSR010885	TRANSAMERICA MLP & ENERGY INCOME CL BUY 1 Units @0.0000	0.00	5.29	0.00	5.29	88.0	4.66
07/23/2018	***-**-031O - MCVOY, ROBERT ACCOUNT #: LSR010916	TRANSAMERICA MLP & ENERGY INCOME CL BUY 1 Units @0.0000	0.00	6.81	0.00	6.81	88.0	5.99
07/23/2018	***-**-959I - FRANZ, PAUL ACCOUNT #: LSR010959	TRANSAMERICA MLP & ENERGY INCOME CL BUY 1 Units @0.0000	0.00	12.19	0.00	12.19	88.0	10.73
07/23/2018	***-**-73TR - WESTCOTT IRRVOC ACCOUNT #: LSR011001	TRANSAMERICA MLP & ENERGY INCOME CL BUY 1 Units @0.0000	0.00	5.91	0.00	5.91	88.0	5.20
07/23/2018	***-**-73TR - WESTCOTT IRRVOC ACCOUNT #: LSR011008	TRANSAMERICA MLP & ENERGY INCOME CL BUY 1 Units @0.0000	0.00	5.70	0.00	5.70	88.0	5.02
07/23/2018	***-**-44IO - MAYO, DEBORAH ACCOUNT #: LSR011079	TRANSAMERICA MLP & ENERGY INCOME CL BUY 1 Units @0.0000	0.00	7.02	0.00	7.02	88.0	6.18
07/23/2018	***-**-09IO - BATES, FBO MRS ACCOUNT #: LSR011117	TRANSAMERICA MLP & ENERGY INCOME CL BUY 1 Units @0.0000	0.00	11.28	0.00	11.28	88.0	9.93
07/23/2018	***-**-89IN - LEE, ROGER ACCOUNT #: LSR011166	TRANSAMERICA MLP & ENERGY INCOME CL BUY 1 Units @0.0000	0.00	12.80	0.00	12.80	88.0	11.26
07/23/2018	***-**-11IO - LYNN G. ACCOUNT #: LSR011239	TRANSAMERICA MLP & ENERGY INCOME CL BUY 1 Units @0.0000	0.00	10.86	0.00	10.86	88.0	9.56
07/23/2018	***-**-80IO - EVANS, RICHARD ACCOUNT #: LSR011276	TRANSAMERICA MLP & ENERGY INCOME CL BUY 1 Units @0.0000	0.00	7.30	0.00	7.30	88.0	6.42
07/23/2018	***-**-45IO - JOHNSON, GREGORY ACCOUNT #: LSR011421	TRANSAMERICA MLP & ENERGY INCOME CL BUY 1 Units @0.0000	0.00	9.18	0.00	9.18	88.0	8.08
07/23/2018	***-**-14IO - BUSHEY, MATTHEW ACCOUNT #: LSR011498	TRANSAMERICA MLP & ENERGY INCOME CL BUY 1 Units @0.0000	0.00	10.41	0.00	10.41	88.0	9.16
07/23/2018	***-**-287J - HINCKLEY, ACCOUNT #: LSR010841	TRANSAMERICA SHORT TERM BOND CL C BUY 1 Units @0.0000	0.00	12.81	0.00	12.81	88.0	11.27
07/23/2018	***-**-48IO - CLARK, PATRICK ACCOUNT #: LSR010911	TRANSAMERICA SHORT TERM BOND CL C BUY 1 Units @0.0000	0.00	9.98	0.00	9.98	88.0	8.78
07/23/2018	***-**-11IO - LYNN G. ACCOUNT #: LSR011239	TRANSAMERICA SHORT TERM BOND CL C BUY 1 Units @0.0000	0.00	14.86	0.00	14.86	88.0	13.08
07/23/2018	***-**-959J - FRANZ, PAUL ACCOUNT #: LSR010958	U.S. GOVERNMENT SECURITIES FUND CLA BUY 1 Units @0.0000	0.00	3.51	0.00	3.51	88.0	3.09



COMMISSION STATEMENT

July 23, 2018

DAVID GRIFFITH
2108 Genesee St.
Utica, NY 13502

BROKER #: A76
BRANCH #01047 - 47 - GRIFFITH

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u> OVERRIDE TRANSACTIONS (continued) </u>								
<u>BROKER: KURT GRUENEWALD (continued)</u>								
07/23/2018	***-**-71IO - FAMOLARO, JAMES	VAN KAMPEN9	0.00	0.25	0.00	0.25	88.0	0.22
	ACCOUNT #: LSR011279	BUY 1 Units @0.0000						
07/17/2018	***-**-07IO - FAMOLARO, JAMES	WELLS FARGO ASSET ALLOCATION CL A	0.00	2.96	0.00	2.96	88.0	2.60
	ACCOUNT #: LSR011280	BUY 1 Units @0.0000						
07/17/2018	***-**-07IO - FAMOLARO, JAMES	WELLS FARGO GLOBAL OPPT FD CL A	0.00	1.40	0.00	1.40	88.0	1.23
	ACCOUNT #: LSR011280	BUY 1 Units @0.0000						
07/17/2018	***-**-680I - HARRELL, DARYL	WELLS FARGO SPECIALIZED TECH A	0.00	2.00	0.00	2.00	88.0	1.76
	ACCOUNT #: LSR011321	BUY 1 Units @0.0000						
07/17/2018	***-**-680I - HARRELL, DARYL	WELLS FARGO UTILITY TELECOM CL A	0.00	1.29	0.00	1.29	88.0	1.14
	ACCOUNT #: LSR011321	BUY 1 Units @0.0000						
* KURT GRUENEWALD SUBTOTAL *			\$41,245.98	\$4,263.99	\$0.00	\$4,263.99		\$3,752.39
*** OVERRIDE TRANSACTIONS TOTAL ***			\$41,245.98	\$4,263.99	\$0.00	\$4,263.99		\$3,752.39

BROKER COMMISSION TOTALS

Broker Transactions	\$972.85
Split Transactions	\$0.00
Override Transactions	\$3,752.39
Adjustments	\$0.00
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$0.00
FINRA Assessment	\$0.00
SIPC Assessment	\$0.00

Net Commission Earned	\$4,725.24
Year-to-date Earnings	\$151,443.47