

**COMMISSION STATEMENT****February 28, 2018**

JEFFREY, K141 KIESNOSKI
 417 East Main Street
 3rd Floor
 Port Jefferson, NY 11777

BROKER #: K141
 BRANCH: FORTITUDE INVESTMENT

| DATE | CLIENT | INVESTMENT | INVESTMENT AMOUNT | GROSS COMMISSION | CLEARING CHARGE | NET COMMISSION | RATE | BROKER COMMISSION |
|--|--------------------|-------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u>CLEARING TRANSACTIONS</u> | | | | | | | | |
| <u>PRODUCT CATEGORY: STOCKS</u> | | | | | | | | |
| 02/15/2018 | FROH, PAULA SANDRA | COLONY NORTHSTAR INC CL A COM | -947.05 | 0.00 | 22.50 | -22.50 | 94.0 | -21.15 |
| 02/15/2018 | FROH, PAULA SANDRA | FS INVT CORP COM | -3,172.16 | 30.00 | 22.65 | 7.35 | 94.0 | 6.91 |
| * STOCKS SUBTOTAL * | | | \$-4,119.21 | \$30.00 | \$45.15 | \$-15.15 | | \$-14.24 |
| *** CLEARING TRANSACTIONS TOTAL *** | | | \$-4,119.21 | \$30.00 | \$45.15 | \$-15.15 | | \$-14.24 |

DIRECT TRANSACTIONS

| | | | | | | | | |
|---|--------------------|-------------------------------------|------|------|------|------|------|------|
| <u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u> | | | | | | | | |
| 02/16/2016 | FROH, PAULA SANDRA | FRANKLIN OREGON TAX- FREE INCOME FU | 0.00 | 0.28 | 0.00 | 0.28 | 94.0 | 0.26 |
| 03/16/2016 | FROH, PAULA SANDRA | FRANKLIN OREGON TAX- FREE INCOME FU | 0.00 | 0.27 | 0.00 | 0.27 | 94.0 | 0.25 |
| 04/15/2016 | FROH, PAULA SANDRA | FRANKLIN OREGON TAX- FREE INCOME FU | 0.00 | 0.28 | 0.00 | 0.28 | 94.0 | 0.26 |
| 05/13/2016 | FROH, PAULA SANDRA | FRANKLIN OREGON TAX- FREE INCOME FU | 0.00 | 0.28 | 0.00 | 0.28 | 94.0 | 0.26 |
| 06/14/2016 | FROH, PAULA SANDRA | FRANKLIN OREGON TAX- FREE INCOME FU | 0.00 | 0.29 | 0.00 | 0.29 | 94.0 | 0.27 |
| 07/14/2016 | FROH, PAULA SANDRA | FRANKLIN OREGON TAX- FREE INCOME FU | 0.00 | 0.28 | 0.00 | 0.28 | 94.0 | 0.26 |
| 08/15/2016 | FROH, PAULA SANDRA | FRANKLIN OREGON TAX- FREE INCOME FU | 0.00 | 0.29 | 0.00 | 0.29 | 94.0 | 0.27 |
| 09/14/2016 | FROH, PAULA SANDRA | FRANKLIN OREGON TAX- FREE INCOME FU | 0.00 | 0.29 | 0.00 | 0.29 | 94.0 | 0.27 |
| 10/18/2016 | FROH, PAULA SANDRA | FRANKLIN OREGON TAX- FREE INCOME FU | 0.00 | 0.28 | 0.00 | 0.28 | 94.0 | 0.26 |
| 11/15/2016 | FROH, PAULA SANDRA | FRANKLIN OREGON TAX- FREE INCOME FU | 0.00 | 0.29 | 0.00 | 0.29 | 94.0 | 0.27 |
| 12/16/2016 | FROH, PAULA SANDRA | FRANKLIN OREGON TAX- FREE INCOME FU | 0.00 | 0.28 | 0.00 | 0.28 | 94.0 | 0.26 |
| 09/15/2016 | DEMIAN, CAROLE | JP MORGAN CORE BOND A | 0.00 | 2.56 | 0.00 | 2.56 | 94.0 | 2.41 |
| 10/14/2016 | DEMIAN, CAROLE | JP MORGAN CORE BOND A | 0.00 | 2.84 | 0.00 | 2.84 | 94.0 | 2.67 |
| 11/21/2016 | DEMIAN, CAROLE | JP MORGAN CORE BOND A | 0.00 | 2.92 | 0.00 | 2.92 | 94.0 | 2.74 |
| 12/16/2016 | DEMIAN, CAROLE | JP MORGAN CORE BOND A | 0.00 | 2.77 | 0.00 | 2.77 | 94.0 | 2.60 |
| 02/19/2016 | DEMIAN, CAROLE | JP MORGAN INCOME BUILDER FUND CLASS | 0.00 | 2.96 | 0.00 | 2.96 | 94.0 | 2.78 |
| 03/17/2016 | DEMIAN, CAROLE | JP MORGAN INCOME BUILDER FUND CLASS | 0.00 | 2.72 | 0.00 | 2.72 | 94.0 | 2.56 |
| 04/25/2016 | DEMIAN, CAROLE | JP MORGAN INCOME BUILDER FUND CLASS | 0.00 | 3.03 | 0.00 | 3.03 | 94.0 | 2.85 |

NOTES: * - Indicates adjustment is not included in 1099 Earnings
 ** - Indicates adjustment is not included in Totals or Commissions
 ^Date - Split Trade - full Investment Amount & Gross Commission displayed

| DATE | CLIENT | INVESTMENT | INVESTMENT AMOUNT | GROSS COMMISSION | CLEARING CHARGE | NET COMMISSION | RATE | BROKER COMMISSION |
|---|---------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u>DIRECT TRANSACTIONS</u> | | | | | | | | |
| <u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u> | | | | | | | | |
| 05/16/2016 | DEMIAN, CAROLE | JP MORGAN INCOME BUILDER FUND CLASS | 0.00 | 2.98 | 0.00 | 2.98 | 94.0 | 2.80 |
| 06/20/2016 | DEMIAN, CAROLE | JP MORGAN INCOME BUILDER FUND CLASS | 0.00 | 3.10 | 0.00 | 3.10 | 94.0 | 2.91 |
| 07/25/2016 | DEMIAN, CAROLE | JP MORGAN INCOME BUILDER FUND CLASS | 0.00 | 3.02 | 0.00 | 3.02 | 94.0 | 2.84 |
| 08/15/2016 | DEMIAN, CAROLE | JP MORGAN INCOME BUILDER FUND CLASS | 0.00 | 3.20 | 0.00 | 3.20 | 94.0 | 3.01 |
| 09/15/2016 | DEMIAN, CAROLE | JP MORGAN INCOME BUILDER FUND CLASS | 0.00 | 3.24 | 0.00 | 3.24 | 94.0 | 3.05 |
| 10/14/2016 | DEMIAN, CAROLE | JP MORGAN INCOME BUILDER FUND CLASS | 0.00 | 3.13 | 0.00 | 3.13 | 94.0 | 2.94 |
| 11/21/2016 | DEMIAN, CAROLE | JP MORGAN INCOME BUILDER FUND CLASS | 0.00 | 3.24 | 0.00 | 3.24 | 94.0 | 3.05 |
| 12/16/2016 | DEMIAN, CAROLE | JP MORGAN INCOME BUILDER FUND CLASS | 0.00 | 3.09 | 0.00 | 3.09 | 94.0 | 2.90 |
| 04/25/2016 | KIESNOSKI, JEANETTE | JP MORGAN INVESTOR GROWTH FUND CLAS | 0.00 | 4.80 | 0.00 | 4.80 | 94.0 | 4.51 |
| 05/16/2016 | KIESNOSKI, JEANETTE | JP MORGAN INVESTOR GROWTH FUND CLAS | 0.00 | 5.26 | 0.00 | 5.26 | 94.0 | 4.94 |
| 06/20/2016 | KIESNOSKI, JEANETTE | JP MORGAN INVESTOR GROWTH FUND CLAS | 0.00 | 5.40 | 0.00 | 5.40 | 94.0 | 5.08 |
| 07/25/2016 | KIESNOSKI, JEANETTE | JP MORGAN INVESTOR GROWTH FUND CLAS | 0.00 | 5.25 | 0.00 | 5.25 | 94.0 | 4.94 |
| 08/15/2016 | KIESNOSKI, JEANETTE | JP MORGAN INVESTOR GROWTH FUND CLAS | 0.00 | 5.54 | 0.00 | 5.54 | 94.0 | 5.21 |
| 09/15/2016 | KIESNOSKI, JEANETTE | JP MORGAN INVESTOR GROWTH FUND CLAS | 0.00 | 5.66 | 0.00 | 5.66 | 94.0 | 5.32 |
| 10/14/2016 | KIESNOSKI, JEANETTE | JP MORGAN INVESTOR GROWTH FUND CLAS | 0.00 | 5.47 | 0.00 | 5.47 | 94.0 | 5.14 |
| 11/21/2016 | KIESNOSKI, JEANETTE | JP MORGAN INVESTOR GROWTH FUND CLAS | 0.00 | 5.64 | 0.00 | 5.64 | 94.0 | 5.30 |
| 12/16/2016 | KIESNOSKI, JEANETTE | JP MORGAN INVESTOR GROWTH FUND CLAS | 0.00 | 5.52 | 0.00 | 5.52 | 94.0 | 5.19 |
| 02/25/2016 | COREY, JEFFREY | MAINSTAY CUSHING ROYALTY ENERGY INC | 0.00 | 0.30 | 0.00 | 0.30 | 94.0 | 0.28 |
| 02/25/2016 | DEMIAN, CAROLE | MAINSTAY CUSHING ROYALTY ENERGY INC | 0.00 | 1.11 | 0.00 | 1.11 | 94.0 | 1.04 |
| 03/08/2016 | COREY, JEFFREY | MAINSTAY CUSHING ROYALTY ENERGY INC | 0.00 | 0.26 | 0.00 | 0.26 | 94.0 | 0.24 |
| 03/08/2016 | DEMIAN, CAROLE | MAINSTAY CUSHING ROYALTY ENERGY INC | 0.00 | 0.97 | 0.00 | 0.97 | 94.0 | 0.91 |
| 04/22/2016 | COREY, JEFFREY | MAINSTAY CUSHING ROYALTY ENERGY INC | 0.00 | 0.31 | 0.00 | 0.31 | 94.0 | 0.29 |
| 04/22/2016 | DEMIAN, CAROLE | MAINSTAY CUSHING ROYALTY ENERGY INC | 0.00 | 1.15 | 0.00 | 1.15 | 94.0 | 1.08 |
| 05/17/2016 | COREY, JEFFREY | MAINSTAY CUSHING ROYALTY ENERGY INC | 0.00 | 0.33 | 0.00 | 0.33 | 94.0 | 0.31 |
| 05/17/2016 | DEMIAN, CAROLE | MAINSTAY CUSHING ROYALTY ENERGY INC | 0.00 | 1.20 | 0.00 | 1.20 | 94.0 | 1.13 |
| 06/15/2016 | COREY, JEFFREY | MAINSTAY CUSHING ROYALTY ENERGY INC | 0.00 | 0.36 | 0.00 | 0.36 | 94.0 | 0.34 |
| 06/15/2016 | DEMIAN, CAROLE | MAINSTAY CUSHING ROYALTY ENERGY INC | 0.00 | 1.32 | 0.00 | 1.32 | 94.0 | 1.24 |
| 07/14/2016 | COREY, JEFFREY | MAINSTAY CUSHING ROYALTY ENERGY INC | 0.00 | 0.36 | 0.00 | 0.36 | 94.0 | 0.34 |
| 07/14/2016 | DEMIAN, CAROLE | MAINSTAY CUSHING ROYALTY ENERGY INC | 0.00 | 1.33 | 0.00 | 1.33 | 94.0 | 1.25 |
| 08/18/2016 | COREY, JEFFREY | MAINSTAY CUSHING ROYALTY ENERGY INC | 0.00 | 0.38 | 0.00 | 0.38 | 94.0 | 0.36 |
| 08/18/2016 | DEMIAN, CAROLE | MAINSTAY CUSHING ROYALTY ENERGY INC | 0.00 | 1.40 | 0.00 | 1.40 | 94.0 | 1.32 |
| 09/15/2016 | COREY, JEFFREY | MAINSTAY CUSHING ROYALTY ENERGY INC | 0.00 | 0.38 | 0.00 | 0.38 | 94.0 | 0.36 |
| 09/15/2016 | DEMIAN, CAROLE | MAINSTAY CUSHING ROYALTY ENERGY INC | 0.00 | 1.39 | 0.00 | 1.39 | 94.0 | 1.31 |

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

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

| DATE | CLIENT | INVESTMENT | INVESTMENT AMOUNT | GROSS COMMISSION | CLEARING CHARGE | NET COMMISSION | RATE | BROKER COMMISSION |
|---|--------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u>DIRECT TRANSACTIONS</u> | | | | | | | | |
| <u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u> | | | | | | | | |
| 10/21/2016 | COREY, JEFFREY | MAINSTAY CUSHING ROYALTY ENERGY INC | 0.00 | 0.37 | 0.00 | 0.37 | 94.0 | 0.35 |
| 10/21/2016 | DEMIAN, CAROLE | MAINSTAY CUSHING ROYALTY ENERGY INC | 0.00 | 1.36 | 0.00 | 1.36 | 94.0 | 1.28 |
| 11/09/2016 | COREY, JEFFREY | MAINSTAY CUSHING ROYALTY ENERGY INC | 0.00 | 0.39 | 0.00 | 0.39 | 94.0 | 0.37 |
| 11/09/2016 | DEMIAN, CAROLE | MAINSTAY CUSHING ROYALTY ENERGY INC | 0.00 | 1.44 | 0.00 | 1.44 | 94.0 | 1.35 |
| 12/16/2016 | COREY, JEFFREY | MAINSTAY CUSHING ROYALTY ENERGY INC | 0.00 | 0.37 | 0.00 | 0.37 | 94.0 | 0.35 |
| 12/16/2016 | DEMIAN, CAROLE | MAINSTAY CUSHING ROYALTY ENERGY INC | 0.00 | 0.72 | 0.00 | 0.72 | 94.0 | 0.68 |
| 02/08/2016 | FROH, PAULA SANDRA | MFS GLOBAL EQUITY A | 0.00 | 1.71 | 0.00 | 1.71 | 94.0 | 1.61 |
| 03/14/2016 | FROH, PAULA SANDRA | MFS GLOBAL EQUITY A | 0.00 | 1.60 | 0.00 | 1.60 | 94.0 | 1.50 |
| 04/15/2016 | FROH, PAULA SANDRA | MFS GLOBAL EQUITY A | 0.00 | 1.81 | 0.00 | 1.81 | 94.0 | 1.70 |
| 05/17/2016 | FROH, PAULA SANDRA | MFS GLOBAL EQUITY A | 0.00 | 1.80 | 0.00 | 1.80 | 94.0 | 1.69 |
| 06/16/2016 | FROH, PAULA SANDRA | MFS GLOBAL EQUITY A | 0.00 | 1.87 | 0.00 | 1.87 | 94.0 | 1.76 |
| 07/20/2016 | FROH, PAULA SANDRA | MFS GLOBAL EQUITY A | 0.00 | 1.79 | 0.00 | 1.79 | 94.0 | 1.68 |
| 08/16/2016 | FROH, PAULA SANDRA | MFS GLOBAL EQUITY A | 0.00 | 1.89 | 0.00 | 1.89 | 94.0 | 1.78 |
| 09/15/2016 | FROH, PAULA SANDRA | MFS GLOBAL EQUITY A | 0.00 | 1.95 | 0.00 | 1.95 | 94.0 | 1.83 |
| 10/20/2016 | FROH, PAULA SANDRA | MFS GLOBAL EQUITY A | 0.00 | 1.88 | 0.00 | 1.88 | 94.0 | 1.77 |
| 11/14/2016 | FROH, PAULA SANDRA | MFS GLOBAL EQUITY A | 0.00 | 1.92 | 0.00 | 1.92 | 94.0 | 1.80 |
| 12/19/2016 | FROH, PAULA SANDRA | MFS GLOBAL EQUITY A | 0.00 | 1.83 | 0.00 | 1.83 | 94.0 | 1.72 |
| 02/11/2016 | FROH, PAULA SANDRA | PRU JENNISON GROWTH | 0.00 | 0.78 | 0.00 | 0.78 | 94.0 | 0.73 |
| 03/10/2016 | FROH, PAULA SANDRA | PRU JENNISON GROWTH | 0.00 | 0.69 | 0.00 | 0.69 | 94.0 | 0.65 |
| 04/15/2016 | FROH, PAULA SANDRA | PRU JENNISON GROWTH | 0.00 | 0.78 | 0.00 | 0.78 | 94.0 | 0.73 |
| 05/11/2016 | FROH, PAULA SANDRA | PRU JENNISON GROWTH | 0.00 | 0.78 | 0.00 | 0.78 | 94.0 | 0.73 |
| 06/10/2016 | FROH, PAULA SANDRA | PRU JENNISON GROWTH | 0.00 | 0.79 | 0.00 | 0.79 | 94.0 | 0.74 |
| 07/12/2016 | FROH, PAULA SANDRA | PRU JENNISON GROWTH | 0.00 | 0.77 | 0.00 | 0.77 | 94.0 | 0.72 |
| 08/10/2016 | FROH, PAULA SANDRA | PRU JENNISON GROWTH | 0.00 | 0.81 | 0.00 | 0.81 | 94.0 | 0.76 |
| 09/12/2016 | FROH, PAULA SANDRA | PRU JENNISON GROWTH | 0.00 | 0.84 | 0.00 | 0.84 | 94.0 | 0.79 |
| 10/11/2016 | FROH, PAULA SANDRA | PRU JENNISON GROWTH | 0.00 | 0.81 | 0.00 | 0.81 | 94.0 | 0.76 |
| 11/11/2016 | FROH, PAULA SANDRA | PRU JENNISON GROWTH | 0.00 | 0.84 | 0.00 | 0.84 | 94.0 | 0.79 |
| 12/12/2016 | FROH, PAULA SANDRA | PRU JENNISON GROWTH | 0.00 | 0.80 | 0.00 | 0.80 | 94.0 | 0.75 |
| 02/22/2016 | FROH, PAULA SANDRA | PUTNAM GLOBAL HEALTH CARE A | 0.00 | 0.10 | 0.00 | 0.10 | 94.0 | 0.09 |
| 03/22/2016 | FROH, PAULA SANDRA | PUTNAM GLOBAL HEALTH CARE A | 0.00 | 0.08 | 0.00 | 0.08 | 94.0 | 0.08 |
| 04/21/2016 | FROH, PAULA SANDRA | PUTNAM GLOBAL HEALTH CARE A | 0.00 | 0.09 | 0.00 | 0.09 | 94.0 | 0.08 |
| 05/26/2016 | FROH, PAULA SANDRA | PUTNAM GLOBAL HEALTH CARE A | 0.00 | 0.09 | 0.00 | 0.09 | 94.0 | 0.08 |
| 06/23/2016 | FROH, PAULA SANDRA | PUTNAM GLOBAL HEALTH CARE A | 0.00 | 0.09 | 0.00 | 0.09 | 94.0 | 0.08 |

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| DATE | CLIENT | INVESTMENT | INVESTMENT AMOUNT | GROSS COMMISSION | CLEARING CHARGE | NET COMMISSION | RATE | BROKER COMMISSION |
|---|--------------------|-----------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u>DIRECT TRANSACTIONS</u> | | | | | | | | |
| <u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u> | | | | | | | | |
| 07/26/2016 | FROH, PAULA SANDRA | PUTNAM GLOBAL HEALTH CARE A | 0.00 | 0.09 | 0.00 | 0.09 | 94.0 | 0.08 |
| 08/19/2016 | FROH, PAULA SANDRA | PUTNAM GLOBAL HEALTH CARE A | 0.00 | 0.10 | 0.00 | 0.10 | 94.0 | 0.09 |
| 09/20/2016 | FROH, PAULA SANDRA | PUTNAM GLOBAL HEALTH CARE A | 0.00 | 0.10 | 0.00 | 0.10 | 94.0 | 0.09 |
| 10/25/2016 | FROH, PAULA SANDRA | PUTNAM GLOBAL HEALTH CARE A | 0.00 | 0.09 | 0.00 | 0.09 | 94.0 | 0.08 |
| 11/23/2016 | FROH, PAULA SANDRA | PUTNAM GLOBAL HEALTH CARE A | 0.00 | 0.09 | 0.00 | 0.09 | 94.0 | 0.08 |
| 12/23/2016 | FROH, PAULA SANDRA | PUTNAM GLOBAL HEALTH CARE A | 0.00 | 0.09 | 0.00 | 0.09 | 94.0 | 0.08 |
| 02/22/2016 | FROH, PAULA SANDRA | PUTNAM GROWTH & INCOME A | 0.00 | 0.74 | 0.00 | 0.74 | 94.0 | 0.70 |
| 03/22/2016 | FROH, PAULA SANDRA | PUTNAM GROWTH & INCOME A | 0.00 | 0.68 | 0.00 | 0.68 | 94.0 | 0.64 |
| 04/21/2016 | FROH, PAULA SANDRA | PUTNAM GROWTH & INCOME A | 0.00 | 0.78 | 0.00 | 0.78 | 94.0 | 0.73 |
| 05/26/2016 | FROH, PAULA SANDRA | PUTNAM GROWTH & INCOME A | 0.00 | 0.78 | 0.00 | 0.78 | 94.0 | 0.73 |
| 06/23/2016 | FROH, PAULA SANDRA | PUTNAM GROWTH & INCOME A | 0.00 | 0.81 | 0.00 | 0.81 | 94.0 | 0.76 |
| 07/26/2016 | FROH, PAULA SANDRA | PUTNAM GROWTH & INCOME A | 0.00 | 0.79 | 0.00 | 0.79 | 94.0 | 0.74 |
| 08/19/2016 | FROH, PAULA SANDRA | PUTNAM GROWTH & INCOME A | 0.00 | 0.84 | 0.00 | 0.84 | 94.0 | 0.79 |
| 09/20/2016 | FROH, PAULA SANDRA | PUTNAM GROWTH & INCOME A | 0.00 | 0.85 | 0.00 | 0.85 | 94.0 | 0.80 |
| 10/25/2016 | FROH, PAULA SANDRA | PUTNAM GROWTH & INCOME A | 0.00 | 0.82 | 0.00 | 0.82 | 94.0 | 0.77 |
| 11/23/2016 | FROH, PAULA SANDRA | PUTNAM GROWTH & INCOME A | 0.00 | 0.85 | 0.00 | 0.85 | 94.0 | 0.80 |
| 12/23/2016 | FROH, PAULA SANDRA | PUTNAM GROWTH & INCOME A | 0.00 | 0.85 | 0.00 | 0.85 | 94.0 | 0.80 |
| * MUTUAL FUND 12B1 TRAILS SUBTOTAL * | | | \$0.00 | \$152.19 | \$0.00 | \$152.19 | | \$142.97 |
| *** DIRECT TRANSACTIONS TOTAL *** | | | \$0.00 | \$152.19 | \$0.00 | \$152.19 | | \$142.97 |

SPLIT TRANSACTIONS**BROKER: 1AF-DAN/JON P/JEFF FT-NY RAUPP/CIRE #251**

| | | | | | | | | |
|------------|-----------------|-------------------------------------|------|-------|------|-------|------|-------|
| 07/11/2016 | LAROCHE, LAURIE | BLUEROCK TOTAL INC & REAL ESTATE FU | 0.00 | 6.77 | 0.00 | 6.77 | 94.0 | 6.36 |
| 07/11/2016 | LAROCHE, LAURIE | BLUEROCK TOTAL INC & REAL ESTATE FU | 0.00 | 6.77 | 0.00 | 6.77 | 94.0 | 6.36 |
| 09/01/2016 | LAROCHE, LAURIE | BLUEROCK TOTAL INC & REAL ESTATE FU | 0.00 | 13.91 | 0.00 | 13.91 | 94.0 | 13.08 |
| 09/01/2016 | LAROCHE, LAURIE | BLUEROCK TOTAL INC & REAL ESTATE FU | 0.00 | 13.91 | 0.00 | 13.91 | 94.0 | 13.08 |
| 09/12/2016 | LAROCHE, LAURIE | BLUEROCK TOTAL INC & REAL ESTATE FU | 0.00 | 13.94 | 0.00 | 13.94 | 94.0 | 13.10 |
| 09/12/2016 | LAROCHE, LAURIE | BLUEROCK TOTAL INC & REAL ESTATE FU | 0.00 | 13.94 | 0.00 | 13.94 | 94.0 | 13.10 |
| 10/14/2016 | LAROCHE, LAURIE | BLUEROCK TOTAL INC & REAL ESTATE FU | 0.00 | 13.49 | 0.00 | 13.49 | 94.0 | 12.68 |
| 10/14/2016 | LAROCHE, LAURIE | BLUEROCK TOTAL INC & REAL ESTATE FU | 0.00 | 13.49 | 0.00 | 13.49 | 94.0 | 12.68 |
| 11/17/2016 | LAROCHE, LAURIE | BLUEROCK TOTAL INC & REAL ESTATE FU | 0.00 | 13.81 | 0.00 | 13.81 | 94.0 | 12.98 |
| 11/17/2016 | LAROCHE, LAURIE | BLUEROCK TOTAL INC & REAL ESTATE FU | 0.00 | 13.81 | 0.00 | 13.81 | 94.0 | 12.98 |

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|--|-----------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u>SPLIT TRANSACTIONS</u> | | | | | | | | |
| <u>BROKER: 1AF-DAN/JON P/JEFF FT-NY RAUPP/CIRE #251</u> | | | | | | | | |
| 12/12/2016 | LAROCHE, LAURIE | BLUEROCK TOTAL INC & REAL ESTATE FU | 0.00 | 13.45 | 0.00 | 13.45 | 94.0 | 12.64 |
| 12/12/2016 | LAROCHE, LAURIE | BLUEROCK TOTAL INC & REAL ESTATE FU | 0.00 | 13.45 | 0.00 | 13.45 | 94.0 | 12.64 |
| 04/22/2016 | LAROCHE, LAURIE | GRIFFIN INSTITUTIONAL ACCESS REAL E | 0.00 | 1.71 | 0.00 | 1.71 | 94.0 | 1.61 |
| 04/22/2016 | LAROCHE, LAURIE | GRIFFIN INSTITUTIONAL ACCESS REAL E | 0.00 | 1.71 | 0.00 | 1.71 | 94.0 | 1.61 |
| 08/01/2016 | LAROCHE, LAURIE | GRIFFIN INSTITUTIONAL ACCESS REAL E | 0.00 | 4.95 | 0.00 | 4.95 | 94.0 | 4.65 |
| 08/01/2016 | LAROCHE, LAURIE | GRIFFIN INSTITUTIONAL ACCESS REAL E | 0.00 | 4.95 | 0.00 | 4.95 | 94.0 | 4.65 |
| 10/17/2016 | LAROCHE, LAURIE | GRIFFIN INSTITUTIONAL ACCESS REAL E | 0.00 | 5.11 | 0.00 | 5.11 | 94.0 | 4.80 |
| * 1AF-DAN/JON P/JEFF FT-NY RAUPP/CIRE SUBTOTAL * | | | \$0.00 | \$169.17 | \$0.00 | \$169.17 | | \$159.00 |

| | | | | | | | | |
|--|----------------------|-------------------------------------|-----------|----------|------|----------|------|----------|
| <u>BROKER: 1JR-DAN/JEFFREY FT-NY RAUPP/KIESNOS #252</u> | | | | | | | | |
| 02/06/2018 | QUADROZZI, CATHERINE | AXA EQUITABLE 00248C659 | 50,000.00 | 1,750.00 | 0.00 | 1,750.00 | 94.0 | 1,645.00 |
| 02/06/2018 | QUADROZZI, CATHERINE | AXA EQUITABLE 00248C659 | 0.00 | 1,750.00 | 0.00 | 1,750.00 | 94.0 | 1,645.00 |
| 02/12/2016 | KLETT, MARTIN | COLUMBIA MARSICO FOCUSED EQUITIES F | 0.00 | 1.27 | 0.00 | 1.27 | 94.0 | 1.19 |
| 03/14/2016 | KLETT, MARTIN | COLUMBIA MARSICO FOCUSED EQUITIES F | 0.00 | 1.13 | 0.00 | 1.13 | 94.0 | 1.06 |
| 04/15/2016 | KLETT, MARTIN | COLUMBIA MARSICO FOCUSED EQUITIES F | 0.00 | 1.29 | 0.00 | 1.29 | 94.0 | 1.21 |
| 05/24/2016 | KLETT, MARTIN | COLUMBIA MARSICO FOCUSED EQUITIES F | 0.00 | 1.29 | 0.00 | 1.29 | 94.0 | 1.21 |
| 06/14/2016 | KLETT, MARTIN | COLUMBIA MARSICO FOCUSED EQUITIES F | 0.00 | 1.33 | 0.00 | 1.33 | 94.0 | 1.25 |
| 07/20/2016 | KLETT, MARTIN | COLUMBIA MARSICO FOCUSED EQUITIES F | 0.00 | 1.29 | 0.00 | 1.29 | 94.0 | 1.21 |
| 08/17/2016 | KLETT, MARTIN | COLUMBIA MARSICO FOCUSED EQUITIES F | 0.00 | 1.36 | 0.00 | 1.36 | 94.0 | 1.28 |
| 09/16/2016 | KLETT, MARTIN | COLUMBIA MARSICO FOCUSED EQUITIES F | 0.00 | 1.40 | 0.00 | 1.40 | 94.0 | 1.32 |
| 10/14/2016 | KLETT, MARTIN | COLUMBIA MARSICO FOCUSED EQUITIES F | 0.00 | 1.34 | 0.00 | 1.34 | 94.0 | 1.26 |
| 11/15/2016 | KLETT, MARTIN | COLUMBIA MARSICO FOCUSED EQUITIES F | 0.00 | 1.60 | 0.00 | 1.60 | 94.0 | 1.50 |
| 12/15/2016 | KLETT, MARTIN | COLUMBIA MARSICO FOCUSED EQUITIES F | 0.00 | 2.96 | 0.00 | 2.96 | 94.0 | 2.78 |
| 02/12/2016 | KLETT, MARTIN | COLUMBIA MARSICO GROWTH FUND CLASS | 0.00 | 1.57 | 0.00 | 1.57 | 94.0 | 1.48 |
| 03/14/2016 | KLETT, MARTIN | COLUMBIA MARSICO GROWTH FUND CLASS | 0.00 | 1.40 | 0.00 | 1.40 | 94.0 | 1.32 |
| 04/15/2016 | KLETT, MARTIN | COLUMBIA MARSICO GROWTH FUND CLASS | 0.00 | 1.59 | 0.00 | 1.59 | 94.0 | 1.49 |
| 05/24/2016 | KLETT, MARTIN | COLUMBIA MARSICO GROWTH FUND CLASS | 0.00 | 1.58 | 0.00 | 1.58 | 94.0 | 1.49 |
| 06/14/2016 | KLETT, MARTIN | COLUMBIA MARSICO GROWTH FUND CLASS | 0.00 | 1.63 | 0.00 | 1.63 | 94.0 | 1.53 |
| 07/20/2016 | KLETT, MARTIN | COLUMBIA MARSICO GROWTH FUND CLASS | 0.00 | 1.58 | 0.00 | 1.58 | 94.0 | 1.49 |
| 08/17/2016 | KLETT, MARTIN | COLUMBIA MARSICO GROWTH FUND CLASS | 0.00 | 1.68 | 0.00 | 1.68 | 94.0 | 1.58 |
| 09/16/2016 | KLETT, MARTIN | COLUMBIA MARSICO GROWTH FUND CLASS | 0.00 | 1.72 | 0.00 | 1.72 | 94.0 | 1.62 |
| 10/14/2016 | KLETT, MARTIN | COLUMBIA MARSICO GROWTH FUND CLASS | 0.00 | 1.65 | 0.00 | 1.65 | 94.0 | 1.55 |
| 11/15/2016 | KLETT, MARTIN | COLUMBIA MARSICO GROWTH FUND CLASS | 0.00 | 1.49 | 0.00 | 1.49 | 94.0 | 1.40 |
| 02/10/2016 | KLETT, JEAN | FEDERATED HIGH INCOME BOND FUND INC | 0.00 | 1.65 | 0.00 | 1.65 | 94.0 | 1.55 |

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

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

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

| DATE | CLIENT | INVESTMENT | INVESTMENT AMOUNT | GROSS COMMISSION | CLEARING CHARGE | NET COMMISSION | RATE | BROKER COMMISSION |
|--|---------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u>SPLIT TRANSACTIONS</u> | | | | | | | | |
| <u>BROKER: 1JR-DAN/JEFFREY FT-NY RAUPP/KIESNOS #252</u> | | | | | | | | |
| 03/15/2016 | KLETT, JEAN | FEDERATED HIGH INCOME BOND FUND INC | 0.00 | 1.53 | 0.00 | 1.53 | 94.0 | 1.44 |
| 04/20/2016 | KLETT, JEAN | FEDERATED HIGH INCOME BOND FUND INC | 0.00 | 1.72 | 0.00 | 1.72 | 94.0 | 1.62 |
| 05/16/2016 | KLETT, JEAN | FEDERATED HIGH INCOME BOND FUND INC | 0.00 | 1.70 | 0.00 | 1.70 | 94.0 | 1.60 |
| 06/15/2016 | KLETT, JEAN | FEDERATED HIGH INCOME BOND FUND INC | 0.00 | 1.78 | 0.00 | 1.78 | 94.0 | 1.67 |
| 07/19/2016 | KLETT, JEAN | FEDERATED HIGH INCOME BOND FUND INC | 0.00 | 1.74 | 0.00 | 1.74 | 94.0 | 1.64 |
| 08/12/2016 | KLETT, JEAN | FEDERATED HIGH INCOME BOND FUND INC | 0.00 | 1.84 | 0.00 | 1.84 | 94.0 | 1.73 |
| 09/16/2016 | KLETT, JEAN | FEDERATED HIGH INCOME BOND FUND INC | 0.00 | 1.87 | 0.00 | 1.87 | 94.0 | 1.76 |
| 10/21/2016 | KLETT, JEAN | FEDERATED HIGH INCOME BOND FUND INC | 0.00 | 1.82 | 0.00 | 1.82 | 94.0 | 1.71 |
| 11/21/2016 | KLETT, JEAN | FEDERATED HIGH INCOME BOND FUND INC | 0.00 | 1.90 | 0.00 | 1.90 | 94.0 | 1.79 |
| 12/16/2016 | KLETT, JEAN | FEDERATED HIGH INCOME BOND FUND INC | 0.00 | 1.81 | 0.00 | 1.81 | 94.0 | 1.70 |
| 04/22/2016 | KLETT TRUST, MARTIN | GRIFFIN INSTITUTIONAL ACCESS REAL E | 0.00 | 8.91 | 0.00 | 8.91 | 94.0 | 8.38 |
| 08/01/2016 | KLETT TRUST, MARTIN | GRIFFIN INSTITUTIONAL ACCESS REAL E | 0.00 | 9.01 | 0.00 | 9.01 | 94.0 | 8.47 |
| 10/17/2016 | KLETT TRUST, MARTIN | GRIFFIN INSTITUTIONAL ACCESS REAL E | 0.00 | 9.18 | 0.00 | 9.18 | 94.0 | 8.63 |
| 09/15/2016 | VICTOR, ELLEN | JP MORGAN GROWTH ADV A | 0.00 | 0.55 | 0.00 | 0.55 | 94.0 | 0.52 |
| 10/14/2016 | VICTOR, ELLEN | JP MORGAN GROWTH ADV A | 0.00 | 0.96 | 0.00 | 0.96 | 94.0 | 0.90 |
| 11/21/2016 | VICTOR, ELLEN | JP MORGAN GROWTH ADV A | 0.00 | 0.99 | 0.00 | 0.99 | 94.0 | 0.93 |
| 12/16/2016 | VICTOR, ELLEN | JP MORGAN GROWTH ADV A | 0.00 | 0.96 | 0.00 | 0.96 | 94.0 | 0.90 |
| 02/25/2016 | MALEN, BETTY | MAINSTAY CUSHING MLP PREMIER FUND C | 0.00 | 0.34 | 0.00 | 0.34 | 94.0 | 0.32 |
| 02/25/2016 | WOLD, ALEXANDRA | MAINSTAY CUSHING MLP PREMIER FUND C | 0.00 | 0.20 | 0.00 | 0.20 | 94.0 | 0.19 |
| 03/08/2016 | MALEN, BETTY | MAINSTAY CUSHING MLP PREMIER FUND C | 0.00 | 0.29 | 0.00 | 0.29 | 94.0 | 0.27 |
| 03/08/2016 | WOLD, ALEXANDRA | MAINSTAY CUSHING MLP PREMIER FUND C | 0.00 | 0.17 | 0.00 | 0.17 | 94.0 | 0.16 |
| 04/22/2016 | MALEN, BETTY | MAINSTAY CUSHING MLP PREMIER FUND C | 0.00 | 0.34 | 0.00 | 0.34 | 94.0 | 0.32 |
| 04/22/2016 | WOLD, ALEXANDRA | MAINSTAY CUSHING MLP PREMIER FUND C | 0.00 | 0.21 | 0.00 | 0.21 | 94.0 | 0.20 |
| 05/17/2016 | MALEN, BETTY | MAINSTAY CUSHING MLP PREMIER FUND C | 0.00 | 0.36 | 0.00 | 0.36 | 94.0 | 0.34 |
| 05/17/2016 | WOLD, ALEXANDRA | MAINSTAY CUSHING MLP PREMIER FUND C | 0.00 | 0.22 | 0.00 | 0.22 | 94.0 | 0.21 |
| 06/15/2016 | MALEN, BETTY | MAINSTAY CUSHING MLP PREMIER FUND C | 0.00 | 0.41 | 0.00 | 0.41 | 94.0 | 0.39 |
| 06/15/2016 | WOLD, ALEXANDRA | MAINSTAY CUSHING MLP PREMIER FUND C | 0.00 | 0.25 | 0.00 | 0.25 | 94.0 | 0.24 |
| 07/14/2016 | MALEN, BETTY | MAINSTAY CUSHING MLP PREMIER FUND C | 0.00 | 0.37 | 0.00 | 0.37 | 94.0 | 0.35 |
| 07/14/2016 | WOLD, ALEXANDRA | MAINSTAY CUSHING MLP PREMIER FUND C | 0.00 | 0.25 | 0.00 | 0.25 | 94.0 | 0.24 |
| 08/18/2016 | WOLD, ALEXANDRA | MAINSTAY CUSHING MLP PREMIER FUND C | 0.00 | 0.27 | 0.00 | 0.27 | 94.0 | 0.25 |
| 09/15/2016 | WOLD, ALEXANDRA | MAINSTAY CUSHING MLP PREMIER FUND C | 0.00 | 0.27 | 0.00 | 0.27 | 94.0 | 0.25 |
| 10/21/2016 | WOLD, ALEXANDRA | MAINSTAY CUSHING MLP PREMIER FUND C | 0.00 | 0.26 | 0.00 | 0.26 | 94.0 | 0.24 |
| 11/09/2016 | WOLD, ALEXANDRA | MAINSTAY CUSHING MLP PREMIER FUND C | 0.00 | 0.27 | 0.00 | 0.27 | 94.0 | 0.25 |

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

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

| DATE | CLIENT | INVESTMENT | INVESTMENT AMOUNT | GROSS COMMISSION | CLEARING CHARGE | NET COMMISSION | RATE | BROKER COMMISSION |
|--|-----------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u>SPLIT TRANSACTIONS</u> | | | | | | | | |
| <u>BROKER: 1JR-DAN/JEFFREY FT-NY RAUPP/KIESNOS #252</u> | | | | | | | | |
| 12/16/2016 | KLETT, JEAN | MAINSTAY CUSHING MLP PREMIER FUND C | 0.00 | 1.22 | 0.00 | 1.22 | 94.0 | 1.15 |
| 12/16/2016 | WOLD, ALEXANDRA | MAINSTAY CUSHING MLP PREMIER FUND C | 0.00 | 0.26 | 0.00 | 0.26 | 94.0 | 0.24 |
| 02/25/2016 | RENEGAR, ROBERT | MAINSTAY CUSHING ROYALTY ENERGY INC | 0.00 | 0.16 | 0.00 | 0.16 | 94.0 | 0.15 |
| 02/25/2016 | WYFFELS, ALAN | MAINSTAY CUSHING ROYALTY ENERGY INC | 0.00 | 0.24 | 0.00 | 0.24 | 94.0 | 0.23 |
| 02/25/2016 | LUBIN, GLENN | MAINSTAY CUSHING ROYALTY ENERGY INC | 0.00 | 0.22 | 0.00 | 0.22 | 94.0 | 0.21 |
| 03/08/2016 | RENEGAR, ROBERT | MAINSTAY CUSHING ROYALTY ENERGY INC | 0.00 | 0.14 | 0.00 | 0.14 | 94.0 | 0.13 |
| 03/08/2016 | WYFFELS, ALAN | MAINSTAY CUSHING ROYALTY ENERGY INC | 0.00 | 0.11 | 0.00 | 0.11 | 94.0 | 0.10 |
| 03/08/2016 | WYFFELS, ALAN | MAINSTAY CUSHING ROYALTY ENERGY INC | 0.00 | 0.21 | 0.00 | 0.21 | 94.0 | 0.20 |
| 03/08/2016 | LUBIN, GLENN | MAINSTAY CUSHING ROYALTY ENERGY INC | 0.00 | 0.20 | 0.00 | 0.20 | 94.0 | 0.19 |
| 03/08/2016 | WOLD, JOHN | MAINSTAY CUSHING ROYALTY ENERGY INC | 0.00 | 0.04 | 0.00 | 0.04 | 94.0 | 0.04 |
| 04/22/2016 | RENEGAR, ROBERT | MAINSTAY CUSHING ROYALTY ENERGY INC | 0.00 | 0.16 | 0.00 | 0.16 | 94.0 | 0.15 |
| 04/22/2016 | WYFFELS, ALAN | MAINSTAY CUSHING ROYALTY ENERGY INC | 0.00 | 0.87 | 0.00 | 0.87 | 94.0 | 0.82 |
| 04/22/2016 | WYFFELS, ALAN | MAINSTAY CUSHING ROYALTY ENERGY INC | 0.00 | 0.25 | 0.00 | 0.25 | 94.0 | 0.24 |
| 04/22/2016 | LUBIN, GLENN | MAINSTAY CUSHING ROYALTY ENERGY INC | 0.00 | 0.23 | 0.00 | 0.23 | 94.0 | 0.22 |
| 04/22/2016 | WOLD, JOHN | MAINSTAY CUSHING ROYALTY ENERGY INC | 0.00 | 0.11 | 0.00 | 0.11 | 94.0 | 0.10 |
| 05/17/2016 | RENEGAR, ROBERT | MAINSTAY CUSHING ROYALTY ENERGY INC | 0.00 | 0.17 | 0.00 | 0.17 | 94.0 | 0.16 |
| 05/17/2016 | WYFFELS, ALAN | MAINSTAY CUSHING ROYALTY ENERGY INC | 0.00 | 0.92 | 0.00 | 0.92 | 94.0 | 0.86 |
| 05/17/2016 | WYFFELS, ALAN | MAINSTAY CUSHING ROYALTY ENERGY INC | 0.00 | 0.26 | 0.00 | 0.26 | 94.0 | 0.24 |
| 05/17/2016 | LUBIN, GLENN | MAINSTAY CUSHING ROYALTY ENERGY INC | 0.00 | 0.24 | 0.00 | 0.24 | 94.0 | 0.23 |
| 05/17/2016 | WOLD, JOHN | MAINSTAY CUSHING ROYALTY ENERGY INC | 0.00 | 0.12 | 0.00 | 0.12 | 94.0 | 0.11 |
| 06/15/2016 | RENEGAR, ROBERT | MAINSTAY CUSHING ROYALTY ENERGY INC | 0.00 | 0.19 | 0.00 | 0.19 | 94.0 | 0.18 |
| 06/15/2016 | WYFFELS, ALAN | MAINSTAY CUSHING ROYALTY ENERGY INC | 0.00 | 1.02 | 0.00 | 1.02 | 94.0 | 0.96 |
| 06/15/2016 | WYFFELS, ALAN | MAINSTAY CUSHING ROYALTY ENERGY INC | 0.00 | 0.28 | 0.00 | 0.28 | 94.0 | 0.26 |
| 06/15/2016 | LUBIN, GLENN | MAINSTAY CUSHING ROYALTY ENERGY INC | 0.00 | 0.27 | 0.00 | 0.27 | 94.0 | 0.25 |
| 06/15/2016 | WOLD, JOHN | MAINSTAY CUSHING ROYALTY ENERGY INC | 0.00 | 0.13 | 0.00 | 0.13 | 94.0 | 0.12 |
| 07/14/2016 | RENEGAR, ROBERT | MAINSTAY CUSHING ROYALTY ENERGY INC | 0.00 | 0.19 | 0.00 | 0.19 | 94.0 | 0.18 |
| 07/14/2016 | WYFFELS, ALAN | MAINSTAY CUSHING ROYALTY ENERGY INC | 0.00 | 1.03 | 0.00 | 1.03 | 94.0 | 0.97 |
| 07/14/2016 | WYFFELS, ALAN | MAINSTAY CUSHING ROYALTY ENERGY INC | 0.00 | 0.28 | 0.00 | 0.28 | 94.0 | 0.26 |
| 07/14/2016 | LUBIN, GLENN | MAINSTAY CUSHING ROYALTY ENERGY INC | 0.00 | 0.27 | 0.00 | 0.27 | 94.0 | 0.25 |
| 07/14/2016 | WOLD, JOHN | MAINSTAY CUSHING ROYALTY ENERGY INC | 0.00 | 0.13 | 0.00 | 0.13 | 94.0 | 0.12 |
| 08/18/2016 | RENEGAR, ROBERT | MAINSTAY CUSHING ROYALTY ENERGY INC | 0.00 | 0.20 | 0.00 | 0.20 | 94.0 | 0.19 |
| 08/18/2016 | WYFFELS, ALAN | MAINSTAY CUSHING ROYALTY ENERGY INC | 0.00 | 1.09 | 0.00 | 1.09 | 94.0 | 1.02 |
| 08/18/2016 | WYFFELS, ALAN | MAINSTAY CUSHING ROYALTY ENERGY INC | 0.00 | 0.30 | 0.00 | 0.30 | 94.0 | 0.28 |

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| DATE | CLIENT | INVESTMENT | INVESTMENT AMOUNT | GROSS COMMISSION | CLEARING CHARGE | NET COMMISSION | RATE | BROKER COMMISSION |
|--|---------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u>SPLIT TRANSACTIONS</u> | | | | | | | | |
| <u>BROKER: 1JR-DAN/JEFFREY FT-NY RAUPP/KIESNOS #252</u> | | | | | | | | |
| 08/18/2016 | LUBIN, GLENN | MAINSTAY CUSHING ROYALTY ENERGY INC | 0.00 | 0.29 | 0.00 | 0.29 | 94.0 | 0.27 |
| 08/18/2016 | WOLD, JOHN | MAINSTAY CUSHING ROYALTY ENERGY INC | 0.00 | 0.14 | 0.00 | 0.14 | 94.0 | 0.13 |
| 09/15/2016 | RENEGAR, ROBERT | MAINSTAY CUSHING ROYALTY ENERGY INC | 0.00 | 0.20 | 0.00 | 0.20 | 94.0 | 0.19 |
| 09/15/2016 | WYFFELS, ALAN | MAINSTAY CUSHING ROYALTY ENERGY INC | 0.00 | 1.11 | 0.00 | 1.11 | 94.0 | 1.04 |
| 09/15/2016 | WYFFELS, ALAN | MAINSTAY CUSHING ROYALTY ENERGY INC | 0.00 | 0.30 | 0.00 | 0.30 | 94.0 | 0.28 |
| 09/15/2016 | LUBIN, GLENN | MAINSTAY CUSHING ROYALTY ENERGY INC | 0.00 | 0.29 | 0.00 | 0.29 | 94.0 | 0.27 |
| 09/15/2016 | WOLD, JOHN | MAINSTAY CUSHING ROYALTY ENERGY INC | 0.00 | 0.14 | 0.00 | 0.14 | 94.0 | 0.13 |
| 10/21/2016 | RENEGAR, ROBERT | MAINSTAY CUSHING ROYALTY ENERGY INC | 0.00 | 0.19 | 0.00 | 0.19 | 94.0 | 0.18 |
| 10/21/2016 | WYFFELS, ALAN | MAINSTAY CUSHING ROYALTY ENERGY INC | 0.00 | 1.08 | 0.00 | 1.08 | 94.0 | 1.02 |
| 10/21/2016 | WYFFELS, ALAN | MAINSTAY CUSHING ROYALTY ENERGY INC | 0.00 | 0.29 | 0.00 | 0.29 | 94.0 | 0.27 |
| 10/21/2016 | LUBIN, GLENN | MAINSTAY CUSHING ROYALTY ENERGY INC | 0.00 | 0.28 | 0.00 | 0.28 | 94.0 | 0.26 |
| 10/21/2016 | WOLD, JOHN | MAINSTAY CUSHING ROYALTY ENERGY INC | 0.00 | 0.14 | 0.00 | 0.14 | 94.0 | 0.13 |
| 11/09/2016 | RENEGAR, ROBERT | MAINSTAY CUSHING ROYALTY ENERGY INC | 0.00 | 0.21 | 0.00 | 0.21 | 94.0 | 0.20 |
| 11/09/2016 | WYFFELS, ALAN | MAINSTAY CUSHING ROYALTY ENERGY INC | 0.00 | 1.15 | 0.00 | 1.15 | 94.0 | 1.08 |
| 11/09/2016 | WYFFELS, ALAN | MAINSTAY CUSHING ROYALTY ENERGY INC | 0.00 | 0.30 | 0.00 | 0.30 | 94.0 | 0.28 |
| 11/09/2016 | LUBIN, GLENN | MAINSTAY CUSHING ROYALTY ENERGY INC | 0.00 | 0.30 | 0.00 | 0.30 | 94.0 | 0.28 |
| 11/09/2016 | WOLD, JOHN | MAINSTAY CUSHING ROYALTY ENERGY INC | 0.00 | 0.15 | 0.00 | 0.15 | 94.0 | 0.14 |
| 12/16/2016 | RENEGAR, ROBERT | MAINSTAY CUSHING ROYALTY ENERGY INC | 0.00 | 0.20 | 0.00 | 0.20 | 94.0 | 0.19 |
| 12/16/2016 | WYFFELS, ALAN | MAINSTAY CUSHING ROYALTY ENERGY INC | 0.00 | 1.12 | 0.00 | 1.12 | 94.0 | 1.05 |
| 12/16/2016 | WYFFELS, ALAN | MAINSTAY CUSHING ROYALTY ENERGY INC | 0.00 | 0.29 | 0.00 | 0.29 | 94.0 | 0.27 |
| 12/16/2016 | LUBIN, GLENN | MAINSTAY CUSHING ROYALTY ENERGY INC | 0.00 | 0.29 | 0.00 | 0.29 | 94.0 | 0.27 |
| 12/16/2016 | WOLD, JOHN | MAINSTAY CUSHING ROYALTY ENERGY INC | 0.00 | 0.15 | 0.00 | 0.15 | 94.0 | 0.14 |
| 09/22/2016 | VICTOR, ELLEN | OPPENHEIMER ROCHESTER MUNICIPALS A | 0.00 | 0.33 | 0.00 | 0.33 | 94.0 | 0.31 |
| 10/21/2016 | VICTOR, ELLEN | OPPENHEIMER ROCHESTER MUNICIPALS A | 0.00 | 0.59 | 0.00 | 0.59 | 94.0 | 0.55 |
| 11/21/2016 | VICTOR, ELLEN | OPPENHEIMER ROCHESTER MUNICIPALS A | 0.00 | 0.61 | 0.00 | 0.61 | 94.0 | 0.57 |
| 12/19/2016 | VICTOR, ELLEN | OPPENHEIMER ROCHESTER MUNICIPALS A | 0.00 | 0.58 | 0.00 | 0.58 | 94.0 | 0.55 |
| 12/19/2016 | WOLD, JOHN | VOYA MID-CAP OPPORTUNITIES FUND CLA | 0.00 | 0.05 | 0.00 | 0.05 | 94.0 | 0.05 |
| * 1JR-DAN/JEFFREY FT-NY RAUPP/KIESNOS SUBTOTAL * | | | \$50,000.00 | \$3,608.83 | \$0.00 | \$3,608.83 | | \$3,392.29 |
| <u>BROKER: BUM-JEFFREY/DAN FT-NY KIESNOSKI/RAU #253</u> | | | | | | | | |
| 02/12/2016 | FIVE STAR BUS 401K | COLUMBIA INCOME OPPORTUNITIES FUND | 0.00 | 1.36 | 0.00 | 1.36 | 94.0 | 1.28 |
| 02/12/2016 | PRECISION INTERIORS | COLUMBIA INCOME OPPORTUNITIES FUND | 0.00 | 5.44 | 0.00 | 5.44 | 94.0 | 5.11 |
| 03/14/2016 | FIVE STAR BUS 401K | COLUMBIA INCOME OPPORTUNITIES FUND | 0.00 | 1.26 | 0.00 | 1.26 | 94.0 | 1.18 |
| 03/14/2016 | PRECISION INTERIORS | COLUMBIA INCOME OPPORTUNITIES FUND | 0.00 | 5.05 | 0.00 | 5.05 | 94.0 | 4.75 |

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| DATE | CLIENT | INVESTMENT | INVESTMENT AMOUNT | GROSS COMMISSION | CLEARING CHARGE | NET COMMISSION | RATE | BROKER COMMISSION |
|--|---------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u>SPLIT TRANSACTIONS</u> | | | | | | | | |
| <u>BROKER: BUM-JEFFREY/DAN FT-NY KIESNOSKI/RAU #253</u> | | | | | | | | |
| 04/15/2016 | FIVE STAR BUS 401K | COLUMBIA INCOME OPPORTUNITIES FUND | 0.00 | 1.41 | 0.00 | 1.41 | 94.0 | 1.33 |
| 04/15/2016 | PRECISION INTERIORS | COLUMBIA INCOME OPPORTUNITIES FUND | 0.00 | 5.64 | 0.00 | 5.64 | 94.0 | 5.30 |
| 05/24/2016 | FIVE STAR BUS 401K | COLUMBIA INCOME OPPORTUNITIES FUND | 0.00 | 1.39 | 0.00 | 1.39 | 94.0 | 1.31 |
| 05/24/2016 | PRECISION INTERIORS | COLUMBIA INCOME OPPORTUNITIES FUND | 0.00 | 5.54 | 0.00 | 5.54 | 94.0 | 5.21 |
| 06/14/2016 | FIVE STAR BUS 401K | COLUMBIA INCOME OPPORTUNITIES FUND | 0.00 | 1.44 | 0.00 | 1.44 | 94.0 | 1.35 |
| 06/14/2016 | PRECISION INTERIORS | COLUMBIA INCOME OPPORTUNITIES FUND | 0.00 | 5.77 | 0.00 | 5.77 | 94.0 | 5.42 |
| 07/20/2016 | FIVE STAR BUS 401K | COLUMBIA INCOME OPPORTUNITIES FUND | 0.00 | 1.40 | 0.00 | 1.40 | 94.0 | 1.32 |
| 07/20/2016 | PRECISION INTERIORS | COLUMBIA INCOME OPPORTUNITIES FUND | 0.00 | 5.59 | 0.00 | 5.59 | 94.0 | 5.25 |
| 08/17/2016 | FIVE STAR BUS 401K | COLUMBIA INCOME OPPORTUNITIES FUND | 0.00 | 1.48 | 0.00 | 1.48 | 94.0 | 1.39 |
| 08/17/2016 | PRECISION INTERIORS | COLUMBIA INCOME OPPORTUNITIES FUND | 0.00 | 5.92 | 0.00 | 5.92 | 94.0 | 5.56 |
| 09/16/2016 | FIVE STAR BUS 401K | COLUMBIA INCOME OPPORTUNITIES FUND | 0.00 | 1.50 | 0.00 | 1.50 | 94.0 | 1.41 |
| 09/16/2016 | PRECISION INTERIORS | COLUMBIA INCOME OPPORTUNITIES FUND | 0.00 | 6.00 | 0.00 | 6.00 | 94.0 | 5.64 |
| 10/14/2016 | FIVE STAR BUS 401K | COLUMBIA INCOME OPPORTUNITIES FUND | 0.00 | 1.45 | 0.00 | 1.45 | 94.0 | 1.36 |
| 10/14/2016 | PRECISION INTERIORS | COLUMBIA INCOME OPPORTUNITIES FUND | 0.00 | 5.83 | 0.00 | 5.83 | 94.0 | 5.48 |
| 11/15/2016 | FIVE STAR BUS 401K | COLUMBIA INCOME OPPORTUNITIES FUND | 0.00 | 1.52 | 0.00 | 1.52 | 94.0 | 1.43 |
| 11/15/2016 | PRECISION INTERIORS | COLUMBIA INCOME OPPORTUNITIES FUND | 0.00 | 6.07 | 0.00 | 6.07 | 94.0 | 5.71 |
| 12/15/2016 | FIVE STAR BUS 401K | COLUMBIA INCOME OPPORTUNITIES FUND | 0.00 | 1.45 | 0.00 | 1.45 | 94.0 | 1.36 |
| 12/15/2016 | PRECISION INTERIORS | COLUMBIA INCOME OPPORTUNITIES FUND | 0.00 | 5.78 | 0.00 | 5.78 | 94.0 | 5.43 |
| 02/08/2016 | FIVE STAR BUS 401K | FORWARD GROWTH ALLOCATION FUND CLAS | 0.00 | 3.46 | 0.00 | 3.46 | 94.0 | 3.25 |
| 03/15/2016 | FIVE STAR BUS 401K | FORWARD GROWTH ALLOCATION FUND CLAS | 0.00 | 3.20 | 0.00 | 3.20 | 94.0 | 3.01 |
| 04/12/2016 | FIVE STAR BUS 401K | FORWARD GROWTH ALLOCATION FUND CLAS | 0.00 | 3.52 | 0.00 | 3.52 | 94.0 | 3.31 |
| 05/11/2016 | FIVE STAR BUS 401K | FORWARD GROWTH ALLOCATION FUND CLAS | 0.00 | 3.43 | 0.00 | 3.43 | 94.0 | 3.22 |
| 06/13/2016 | FIVE STAR BUS 401K | FORWARD GROWTH ALLOCATION FUND CLAS | 0.00 | 3.55 | 0.00 | 3.55 | 94.0 | 3.34 |
| 07/13/2016 | FIVE STAR BUS 401K | FORWARD GROWTH ALLOCATION FUND CLAS | 0.00 | 3.52 | 0.00 | 3.52 | 94.0 | 3.31 |
| 08/11/2016 | FIVE STAR BUS 401K | FORWARD GROWTH ALLOCATION FUND CLAS | 0.00 | 3.74 | 0.00 | 3.74 | 94.0 | 3.52 |
| 09/13/2016 | FIVE STAR BUS 401K | FORWARD GROWTH ALLOCATION FUND CLAS | 0.00 | 3.75 | 0.00 | 3.75 | 94.0 | 3.53 |
| 10/12/2016 | FIVE STAR BUS 401K | FORWARD GROWTH ALLOCATION FUND CLAS | 0.00 | 3.60 | 0.00 | 3.60 | 94.0 | 3.38 |
| 11/10/2016 | FIVE STAR BUS 401K | FORWARD GROWTH ALLOCATION FUND CLAS | 0.00 | 3.67 | 0.00 | 3.67 | 94.0 | 3.45 |
| 12/12/2016 | FIVE STAR BUS 401K | FORWARD GROWTH ALLOCATION FUND CLAS | 0.00 | 3.46 | 0.00 | 3.46 | 94.0 | 3.25 |
| 02/19/2016 | CAPOBIANCO, PETER | HARTFORD CAPITAL APPRECIATION A | 0.00 | 2.53 | 0.00 | 2.53 | 94.0 | 2.38 |
| 02/19/2016 | DEGREGORIO, JOHN | HARTFORD CAPITAL APPRECIATION A | 0.00 | 1.93 | 0.00 | 1.93 | 94.0 | 1.81 |
| 03/22/2016 | CAPOBIANCO, PETER | HARTFORD CAPITAL APPRECIATION A | 0.00 | 2.28 | 0.00 | 2.28 | 94.0 | 2.14 |
| 03/22/2016 | DEGREGORIO, JOHN | HARTFORD CAPITAL APPRECIATION A | 0.00 | 1.73 | 0.00 | 1.73 | 94.0 | 1.63 |

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

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

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

| DATE | CLIENT | INVESTMENT | INVESTMENT AMOUNT | GROSS COMMISSION | CLEARING CHARGE | NET COMMISSION | RATE | BROKER COMMISSION |
|--|--------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u>SPLIT TRANSACTIONS</u> | | | | | | | | |
| <u>BROKER: BUM-JEFFREY/DAN FT-NY KIESNOSKI/RAU #253</u> | | | | | | | | |
| 04/18/2016 | CAPOBIANCO, PETER | HARTFORD CAPITAL APPRECIATION A | 0.00 | 2.62 | 0.00 | 2.62 | 94.0 | 2.46 |
| 04/18/2016 | DEGREGORIO, JOHN | HARTFORD CAPITAL APPRECIATION A | 0.00 | 1.99 | 0.00 | 1.99 | 94.0 | 1.87 |
| 05/24/2016 | CAPOBIANCO, PETER | HARTFORD CAPITAL APPRECIATION A | 0.00 | 2.61 | 0.00 | 2.61 | 94.0 | 2.45 |
| 05/24/2016 | DEGREGORIO, JOHN | HARTFORD CAPITAL APPRECIATION A | 0.00 | 1.99 | 0.00 | 1.99 | 94.0 | 1.87 |
| 06/21/2016 | CAPOBIANCO, PETER | HARTFORD CAPITAL APPRECIATION A | 0.00 | 2.68 | 0.00 | 2.68 | 94.0 | 2.52 |
| 06/21/2016 | DEGREGORIO, JOHN | HARTFORD CAPITAL APPRECIATION A | 0.00 | 2.03 | 0.00 | 2.03 | 94.0 | 1.91 |
| 07/18/2016 | CAPOBIANCO, PETER | HARTFORD CAPITAL APPRECIATION A | 0.00 | 2.23 | 0.00 | 2.23 | 94.0 | 2.10 |
| 07/18/2016 | DEGREGORIO, JOHN | HARTFORD CAPITAL APPRECIATION A | 0.00 | 1.98 | 0.00 | 1.98 | 94.0 | 1.86 |
| 08/16/2016 | CAPOBIANCO, PETER | HARTFORD CAPITAL APPRECIATION A | 0.00 | 1.27 | 0.00 | 1.27 | 94.0 | 1.19 |
| 08/16/2016 | DEGREGORIO, JOHN | HARTFORD CAPITAL APPRECIATION A | 0.00 | 2.10 | 0.00 | 2.10 | 94.0 | 1.97 |
| 09/19/2016 | CAPOBIANCO, PETER | HARTFORD CAPITAL APPRECIATION A | 0.00 | 1.29 | 0.00 | 1.29 | 94.0 | 1.21 |
| 09/19/2016 | DEGREGORIO, JOHN | HARTFORD CAPITAL APPRECIATION A | 0.00 | 2.13 | 0.00 | 2.13 | 94.0 | 2.00 |
| 10/17/2016 | CAPOBIANCO, PETER | HARTFORD CAPITAL APPRECIATION A | 0.00 | 1.24 | 0.00 | 1.24 | 94.0 | 1.17 |
| 10/17/2016 | DEGREGORIO, JOHN | HARTFORD CAPITAL APPRECIATION A | 0.00 | 2.05 | 0.00 | 2.05 | 94.0 | 1.93 |
| 11/16/2016 | CAPOBIANCO, PETER | HARTFORD CAPITAL APPRECIATION A | 0.00 | 1.29 | 0.00 | 1.29 | 94.0 | 1.21 |
| 11/16/2016 | DEGREGORIO, JOHN | HARTFORD CAPITAL APPRECIATION A | 0.00 | 2.12 | 0.00 | 2.12 | 94.0 | 1.99 |
| 12/19/2016 | CAPOBIANCO, PETER | HARTFORD CAPITAL APPRECIATION A | 0.00 | 1.24 | 0.00 | 1.24 | 94.0 | 1.17 |
| 12/19/2016 | DEGREGORIO, JOHN | HARTFORD CAPITAL APPRECIATION A | 0.00 | 2.05 | 0.00 | 2.05 | 94.0 | 1.93 |
| 03/17/2016 | BARBER, STEVE | JP MORGAN VALUE ADVANTAGE FUND CLAS | 0.00 | 0.27 | 0.00 | 0.27 | 94.0 | 0.25 |
| 04/25/2016 | BARBER, STEVE | JP MORGAN VALUE ADVANTAGE FUND CLAS | 0.00 | 0.80 | 0.00 | 0.80 | 94.0 | 0.75 |
| 05/16/2016 | BARBER, STEVE | JP MORGAN VALUE ADVANTAGE FUND CLAS | 0.00 | 0.79 | 0.00 | 0.79 | 94.0 | 0.74 |
| 06/20/2016 | BARBER, STEVE | JP MORGAN VALUE ADVANTAGE FUND CLAS | 0.00 | 0.82 | 0.00 | 0.82 | 94.0 | 0.77 |
| 07/25/2016 | BARBER, STEVE | JP MORGAN VALUE ADVANTAGE FUND CLAS | 0.00 | 0.80 | 0.00 | 0.80 | 94.0 | 0.75 |
| 08/15/2016 | BARBER, STEVE | JP MORGAN VALUE ADVANTAGE FUND CLAS | 0.00 | 0.85 | 0.00 | 0.85 | 94.0 | 0.80 |
| 09/15/2016 | BARBER, STEVE | JP MORGAN VALUE ADVANTAGE FUND CLAS | 0.00 | 0.86 | 0.00 | 0.86 | 94.0 | 0.81 |
| 10/14/2016 | BARBER, STEVE | JP MORGAN VALUE ADVANTAGE FUND CLAS | 0.00 | 0.83 | 0.00 | 0.83 | 94.0 | 0.78 |
| 11/21/2016 | BARBER, STEVE | JP MORGAN VALUE ADVANTAGE FUND CLAS | 0.00 | 0.86 | 0.00 | 0.86 | 94.0 | 0.81 |
| 12/16/2016 | BARBER, STEVE | JP MORGAN VALUE ADVANTAGE FUND CLAS | 0.00 | 0.86 | 0.00 | 0.86 | 94.0 | 0.81 |
| 12/16/2016 | BARBER, STEVE | MAINSTAY CUSHING MLP PREMIER FUND C | 0.00 | 0.64 | 0.00 | 0.64 | 94.0 | 0.60 |
| 02/25/2016 | AXELROD, ALAN | MAINSTAY CUSHING ROYALTY ENERGY INC | 0.00 | 0.10 | 0.00 | 0.10 | 94.0 | 0.09 |
| 02/25/2016 | RABETZ, WILLIAM | MAINSTAY CUSHING ROYALTY ENERGY INC | 0.00 | 1.21 | 0.00 | 1.21 | 94.0 | 1.14 |
| 02/25/2016 | IAQUINTO, JOSEPH | MAINSTAY CUSHING ROYALTY ENERGY INC | 0.00 | 0.87 | 0.00 | 0.87 | 94.0 | 0.82 |
| 02/25/2016 | FIVE STAR BUS 401K | MAINSTAY CUSHING ROYALTY ENERGY INC | 0.00 | 0.49 | 0.00 | 0.49 | 94.0 | 0.46 |

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|--|---------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u>SPLIT TRANSACTIONS</u> | | | | | | | | |
| <u>BROKER: BUM-JEFFREY/DAN FT-NY KIESNOSKI/RAU #253</u> | | | | | | | | |
| 02/25/2016 | PRECISION INTERIORS | MAINSTAY CUSHING ROYALTY ENERGY INC | 0.00 | 1.09 | 0.00 | 1.09 | 94.0 | 1.02 |
| 03/08/2016 | KURTZ, MICHAEL | MAINSTAY CUSHING ROYALTY ENERGY INC | 0.00 | 0.07 | 0.00 | 0.07 | 94.0 | 0.07 |
| 03/08/2016 | AXELROD, ALAN | MAINSTAY CUSHING ROYALTY ENERGY INC | 0.00 | 0.17 | 0.00 | 0.17 | 94.0 | 0.16 |
| 03/08/2016 | RABETZ, WILLIAM | MAINSTAY CUSHING ROYALTY ENERGY INC | 0.00 | 1.06 | 0.00 | 1.06 | 94.0 | 1.00 |
| 03/08/2016 | IAQUINTO, JOSEPH | MAINSTAY CUSHING ROYALTY ENERGY INC | 0.00 | 0.76 | 0.00 | 0.76 | 94.0 | 0.71 |
| 03/08/2016 | FIVE STAR BUS 401K | MAINSTAY CUSHING ROYALTY ENERGY INC | 0.00 | 0.43 | 0.00 | 0.43 | 94.0 | 0.40 |
| 03/08/2016 | PRECISION INTERIORS | MAINSTAY CUSHING ROYALTY ENERGY INC | 0.00 | 0.95 | 0.00 | 0.95 | 94.0 | 0.89 |
| 04/22/2016 | KURTZ, MICHAEL | MAINSTAY CUSHING ROYALTY ENERGY INC | 0.00 | 0.56 | 0.00 | 0.56 | 94.0 | 0.53 |
| 04/22/2016 | CRESPO, ALEJANDRO | MAINSTAY CUSHING ROYALTY ENERGY INC | 0.00 | 1.48 | 0.00 | 1.48 | 94.0 | 1.39 |
| 04/22/2016 | AXELROD, ALAN | MAINSTAY CUSHING ROYALTY ENERGY INC | 0.00 | 0.20 | 0.00 | 0.20 | 94.0 | 0.19 |
| 04/22/2016 | RABETZ, WILLIAM | MAINSTAY CUSHING ROYALTY ENERGY INC | 0.00 | 1.27 | 0.00 | 1.27 | 94.0 | 1.19 |
| 04/22/2016 | IAQUINTO, JOSEPH | MAINSTAY CUSHING ROYALTY ENERGY INC | 0.00 | 0.91 | 0.00 | 0.91 | 94.0 | 0.86 |
| 04/22/2016 | FIVE STAR BUS 401K | MAINSTAY CUSHING ROYALTY ENERGY INC | 0.00 | 0.51 | 0.00 | 0.51 | 94.0 | 0.48 |
| 04/22/2016 | PRECISION INTERIORS | MAINSTAY CUSHING ROYALTY ENERGY INC | 0.00 | 1.13 | 0.00 | 1.13 | 94.0 | 1.06 |
| 05/17/2016 | KURTZ, MICHAEL | MAINSTAY CUSHING ROYALTY ENERGY INC | 0.00 | 0.59 | 0.00 | 0.59 | 94.0 | 0.55 |
| 05/17/2016 | CRESPO, ALEJANDRO | MAINSTAY CUSHING ROYALTY ENERGY INC | 0.00 | 1.64 | 0.00 | 1.64 | 94.0 | 1.54 |
| 05/17/2016 | AXELROD, ALAN | MAINSTAY CUSHING ROYALTY ENERGY INC | 0.00 | 0.21 | 0.00 | 0.21 | 94.0 | 0.20 |
| 05/17/2016 | RABETZ, WILLIAM | MAINSTAY CUSHING ROYALTY ENERGY INC | 0.00 | 1.32 | 0.00 | 1.32 | 94.0 | 1.24 |
| 05/17/2016 | IAQUINTO, JOSEPH | MAINSTAY CUSHING ROYALTY ENERGY INC | 0.00 | 0.95 | 0.00 | 0.95 | 94.0 | 0.89 |
| 05/17/2016 | FIVE STAR BUS 401K | MAINSTAY CUSHING ROYALTY ENERGY INC | 0.00 | 0.53 | 0.00 | 0.53 | 94.0 | 0.50 |
| 05/17/2016 | PRECISION INTERIORS | MAINSTAY CUSHING ROYALTY ENERGY INC | 0.00 | 1.18 | 0.00 | 1.18 | 94.0 | 1.11 |
| 06/15/2016 | KURTZ, MICHAEL | MAINSTAY CUSHING ROYALTY ENERGY INC | 0.00 | 0.66 | 0.00 | 0.66 | 94.0 | 0.62 |
| 06/15/2016 | CRESPO, ALEJANDRO | MAINSTAY CUSHING ROYALTY ENERGY INC | 0.00 | 1.81 | 0.00 | 1.81 | 94.0 | 1.70 |
| 06/15/2016 | AXELROD, ALAN | MAINSTAY CUSHING ROYALTY ENERGY INC | 0.00 | 0.23 | 0.00 | 0.23 | 94.0 | 0.22 |
| 06/15/2016 | RABETZ, WILLIAM | MAINSTAY CUSHING ROYALTY ENERGY INC | 0.00 | 1.45 | 0.00 | 1.45 | 94.0 | 1.36 |
| 06/15/2016 | IAQUINTO, JOSEPH | MAINSTAY CUSHING ROYALTY ENERGY INC | 0.00 | 1.04 | 0.00 | 1.04 | 94.0 | 0.98 |
| 06/15/2016 | FIVE STAR BUS 401K | MAINSTAY CUSHING ROYALTY ENERGY INC | 0.00 | 0.58 | 0.00 | 0.58 | 94.0 | 0.55 |
| 06/15/2016 | PRECISION INTERIORS | MAINSTAY CUSHING ROYALTY ENERGY INC | 0.00 | 1.30 | 0.00 | 1.30 | 94.0 | 1.22 |
| 07/14/2016 | KURTZ, MICHAEL | MAINSTAY CUSHING ROYALTY ENERGY INC | 0.00 | 0.67 | 0.00 | 0.67 | 94.0 | 0.63 |
| 07/14/2016 | CRESPO, ALEJANDRO | MAINSTAY CUSHING ROYALTY ENERGY INC | 0.00 | 1.81 | 0.00 | 1.81 | 94.0 | 1.70 |
| 07/14/2016 | AXELROD, ALAN | MAINSTAY CUSHING ROYALTY ENERGY INC | 0.00 | 0.23 | 0.00 | 0.23 | 94.0 | 0.22 |
| 07/14/2016 | RABETZ, WILLIAM | MAINSTAY CUSHING ROYALTY ENERGY INC | 0.00 | 1.45 | 0.00 | 1.45 | 94.0 | 1.36 |
| 07/14/2016 | IAQUINTO, JOSEPH | MAINSTAY CUSHING ROYALTY ENERGY INC | 0.00 | 1.05 | 0.00 | 1.05 | 94.0 | 0.99 |

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|--|---------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u>SPLIT TRANSACTIONS</u> | | | | | | | | |
| <u>BROKER: BUM-JEFFREY/DAN FT-NY KIESNOSKI/RAU #253</u> | | | | | | | | |
| 07/14/2016 | FIVE STAR BUS 401K | MAINSTAY CUSHING ROYALTY ENERGY INC | 0.00 | 0.58 | 0.00 | 0.58 | 94.0 | 0.55 |
| 07/14/2016 | PRECISION INTERIORS | MAINSTAY CUSHING ROYALTY ENERGY INC | 0.00 | 1.30 | 0.00 | 1.30 | 94.0 | 1.22 |
| 08/18/2016 | KURTZ, MICHAEL | MAINSTAY CUSHING ROYALTY ENERGY INC | 0.00 | 0.70 | 0.00 | 0.70 | 94.0 | 0.66 |
| 08/18/2016 | CRESPO, ALEJANDRO | MAINSTAY CUSHING ROYALTY ENERGY INC | 0.00 | 1.93 | 0.00 | 1.93 | 94.0 | 1.81 |
| 08/18/2016 | AXELROD, ALAN | MAINSTAY CUSHING ROYALTY ENERGY INC | 0.00 | 0.25 | 0.00 | 0.25 | 94.0 | 0.24 |
| 08/18/2016 | RABETZ, WILLIAM | MAINSTAY CUSHING ROYALTY ENERGY INC | 0.00 | 1.54 | 0.00 | 1.54 | 94.0 | 1.45 |
| 08/18/2016 | IAQUINTO, JOSEPH | MAINSTAY CUSHING ROYALTY ENERGY INC | 0.00 | 1.11 | 0.00 | 1.11 | 94.0 | 1.04 |
| 08/18/2016 | FIVE STAR BUS 401K | MAINSTAY CUSHING ROYALTY ENERGY INC | 0.00 | 0.61 | 0.00 | 0.61 | 94.0 | 0.57 |
| 08/18/2016 | PRECISION INTERIORS | MAINSTAY CUSHING ROYALTY ENERGY INC | 0.00 | 1.37 | 0.00 | 1.37 | 94.0 | 1.29 |
| 09/15/2016 | KURTZ, MICHAEL | MAINSTAY CUSHING ROYALTY ENERGY INC | 0.00 | 0.72 | 0.00 | 0.72 | 94.0 | 0.68 |
| 09/15/2016 | CRESPO, ALEJANDRO | MAINSTAY CUSHING ROYALTY ENERGY INC | 0.00 | 1.96 | 0.00 | 1.96 | 94.0 | 1.84 |
| 09/15/2016 | AXELROD, ALAN | MAINSTAY CUSHING ROYALTY ENERGY INC | 0.00 | 0.25 | 0.00 | 0.25 | 94.0 | 0.24 |
| 09/15/2016 | RABETZ, WILLIAM | MAINSTAY CUSHING ROYALTY ENERGY INC | 0.00 | 1.53 | 0.00 | 1.53 | 94.0 | 1.44 |
| 09/15/2016 | IAQUINTO, JOSEPH | MAINSTAY CUSHING ROYALTY ENERGY INC | 0.00 | 1.10 | 0.00 | 1.10 | 94.0 | 1.03 |
| 09/15/2016 | FIVE STAR BUS 401K | MAINSTAY CUSHING ROYALTY ENERGY INC | 0.00 | 0.61 | 0.00 | 0.61 | 94.0 | 0.57 |
| 09/15/2016 | PRECISION INTERIORS | MAINSTAY CUSHING ROYALTY ENERGY INC | 0.00 | 1.36 | 0.00 | 1.36 | 94.0 | 1.28 |
| 10/21/2016 | KURTZ, MICHAEL | MAINSTAY CUSHING ROYALTY ENERGY INC | 0.00 | 0.70 | 0.00 | 0.70 | 94.0 | 0.66 |
| 10/21/2016 | CRESPO, ALEJANDRO | MAINSTAY CUSHING ROYALTY ENERGY INC | 0.00 | 1.90 | 0.00 | 1.90 | 94.0 | 1.79 |
| 10/21/2016 | AXELROD, ALAN | MAINSTAY CUSHING ROYALTY ENERGY INC | 0.00 | 0.25 | 0.00 | 0.25 | 94.0 | 0.24 |
| 10/21/2016 | RABETZ, WILLIAM | MAINSTAY CUSHING ROYALTY ENERGY INC | 0.00 | 1.48 | 0.00 | 1.48 | 94.0 | 1.39 |
| 10/21/2016 | IAQUINTO, JOSEPH | MAINSTAY CUSHING ROYALTY ENERGY INC | 0.00 | 1.07 | 0.00 | 1.07 | 94.0 | 1.01 |
| 10/21/2016 | FIVE STAR BUS 401K | MAINSTAY CUSHING ROYALTY ENERGY INC | 0.00 | 0.60 | 0.00 | 0.60 | 94.0 | 0.56 |
| 10/21/2016 | PRECISION INTERIORS | MAINSTAY CUSHING ROYALTY ENERGY INC | 0.00 | 1.33 | 0.00 | 1.33 | 94.0 | 1.25 |
| 11/09/2016 | KURTZ, MICHAEL | MAINSTAY CUSHING ROYALTY ENERGY INC | 0.00 | 0.75 | 0.00 | 0.75 | 94.0 | 0.71 |
| 11/09/2016 | CRESPO, ALEJANDRO | MAINSTAY CUSHING ROYALTY ENERGY INC | 0.00 | 2.05 | 0.00 | 2.05 | 94.0 | 1.93 |
| 11/09/2016 | AXELROD, ALAN | MAINSTAY CUSHING ROYALTY ENERGY INC | 0.00 | 0.26 | 0.00 | 0.26 | 94.0 | 0.24 |
| 11/09/2016 | RABETZ, WILLIAM | MAINSTAY CUSHING ROYALTY ENERGY INC | 0.00 | 1.60 | 0.00 | 1.60 | 94.0 | 1.50 |
| 11/09/2016 | IAQUINTO, JOSEPH | MAINSTAY CUSHING ROYALTY ENERGY INC | 0.00 | 1.13 | 0.00 | 1.13 | 94.0 | 1.06 |
| 11/09/2016 | FIVE STAR BUS 401K | MAINSTAY CUSHING ROYALTY ENERGY INC | 0.00 | 0.63 | 0.00 | 0.63 | 94.0 | 0.59 |
| 11/09/2016 | PRECISION INTERIORS | MAINSTAY CUSHING ROYALTY ENERGY INC | 0.00 | 1.41 | 0.00 | 1.41 | 94.0 | 1.33 |
| 12/16/2016 | KURTZ, MICHAEL | MAINSTAY CUSHING ROYALTY ENERGY INC | 0.00 | 0.73 | 0.00 | 0.73 | 94.0 | 0.69 |
| 12/16/2016 | CRESPO, ALEJANDRO | MAINSTAY CUSHING ROYALTY ENERGY INC | 0.00 | 1.99 | 0.00 | 1.99 | 94.0 | 1.87 |
| 12/16/2016 | AXELROD, ALAN | MAINSTAY CUSHING ROYALTY ENERGY INC | 0.00 | 0.25 | 0.00 | 0.25 | 94.0 | 0.24 |

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| DATE | CLIENT | INVESTMENT | INVESTMENT AMOUNT | GROSS COMMISSION | CLEARING CHARGE | NET COMMISSION | RATE | BROKER COMMISSION |
|--|---------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u>SPLIT TRANSACTIONS</u> | | | | | | | | |
| <u>BROKER: BUM-JEFFREY/DAN FT-NY KIESNOSKI/RAU #253</u> | | | | | | | | |
| 12/16/2016 | RABETZ, WILLIAM | MAINSTAY CUSHING ROYALTY ENERGY INC | 0.00 | 1.55 | 0.00 | 1.55 | 94.0 | 1.46 |
| 12/16/2016 | IAQUINTO, JOSEPH | MAINSTAY CUSHING ROYALTY ENERGY INC | 0.00 | 1.08 | 0.00 | 1.08 | 94.0 | 1.02 |
| 12/16/2016 | FIVE STAR BUS 401K | MAINSTAY CUSHING ROYALTY ENERGY INC | 0.00 | 0.60 | 0.00 | 0.60 | 94.0 | 0.56 |
| 12/16/2016 | PRECISION INTERIORS | MAINSTAY CUSHING ROYALTY ENERGY INC | 0.00 | 1.34 | 0.00 | 1.34 | 94.0 | 1.26 |
| 02/18/2016 | AXELROD, ALAN | TRANSAMERICA SHORT-TERM BOND C | 0.00 | 15.37 | 0.00 | 15.37 | 94.0 | 14.45 |
| 03/14/2016 | AXELROD, ALAN | TRANSAMERICA SHORT-TERM BOND C | 0.00 | 14.33 | 0.00 | 14.33 | 94.0 | 13.47 |
| 04/15/2016 | AXELROD, ALAN | TRANSAMERICA SHORT-TERM BOND C | 0.00 | 15.41 | 0.00 | 15.41 | 94.0 | 14.49 |
| 05/16/2016 | AXELROD, ALAN | TRANSAMERICA SHORT-TERM BOND C | 0.00 | 15.01 | 0.00 | 15.01 | 94.0 | 14.11 |
| 06/16/2016 | AXELROD, ALAN | TRANSAMERICA SHORT-TERM BOND C | 0.00 | 15.58 | 0.00 | 15.58 | 94.0 | 14.65 |
| 07/18/2016 | AXELROD, ALAN | TRANSAMERICA SHORT-TERM BOND C | 0.00 | 15.13 | 0.00 | 15.13 | 94.0 | 14.22 |
| 08/17/2016 | AXELROD, ALAN | TRANSAMERICA SHORT-TERM BOND C | 0.00 | 15.67 | 0.00 | 15.67 | 94.0 | 14.73 |
| 09/15/2016 | AXELROD, ALAN | TRANSAMERICA SHORT-TERM BOND C | 0.00 | 15.71 | 0.00 | 15.71 | 94.0 | 14.77 |
| 10/20/2016 | AXELROD, ALAN | TRANSAMERICA SHORT-TERM BOND C | 0.00 | 15.22 | 0.00 | 15.22 | 94.0 | 14.31 |
| 11/16/2016 | AXELROD, ALAN | TRANSAMERICA SHORT-TERM BOND C | 0.00 | 15.73 | 0.00 | 15.73 | 94.0 | 14.79 |
| 12/16/2016 | AXELROD, ALAN | TRANSAMERICA SHORT-TERM BOND C | 0.00 | 15.19 | 0.00 | 15.19 | 94.0 | 14.28 |
| * BUM-JEFFREY/DAN FT-NY KIESNOSKI/RAU SUBTOTAL * | | | \$0.00 | \$408.88 | \$0.00 | \$408.88 | | \$384.37 |
| <u>BROKER: G3G-DAN/ROY/JEFF/JON FT-NY RAUPP/PF #254</u> | | | | | | | | |
| 02/20/2018 | BRIDGEHAMPTON CHILD | CANTEL MED CORP COM | -28,431.88 | 0.00 | 3.38 | -3.38 | 94.0 | -3.18 |
| 03/17/2016 | FENELON, DICKENS | FA 529 PORT 2030 T | 0.00 | 0.02 | 0.00 | 0.02 | 94.0 | 0.02 |
| 04/19/2016 | FENELON, DICKENS | FA 529 PORT 2030 T | 0.00 | 0.03 | 0.00 | 0.03 | 94.0 | 0.03 |
| 05/24/2016 | FENELON, DICKENS | FA 529 PORT 2030 T | 0.00 | 0.03 | 0.00 | 0.03 | 94.0 | 0.03 |
| 06/15/2016 | FENELON, DICKENS | FA 529 PORT 2030 T | 0.00 | 0.03 | 0.00 | 0.03 | 94.0 | 0.03 |
| 07/19/2016 | FENELON, DICKENS | FA 529 PORT 2030 T | 0.00 | 0.03 | 0.00 | 0.03 | 94.0 | 0.03 |
| 08/16/2016 | FENELON, DICKENS | FA 529 PORT 2030 T | 0.00 | 0.03 | 0.00 | 0.03 | 94.0 | 0.03 |
| 09/19/2016 | FENELON, DICKENS | FA 529 PORT 2030 T | 0.00 | 0.03 | 0.00 | 0.03 | 94.0 | 0.03 |
| 10/19/2016 | FENELON, DICKENS | FA 529 PORT 2030 T | 0.00 | 0.03 | 0.00 | 0.03 | 94.0 | 0.03 |
| 11/18/2016 | FENELON, DICKENS | FA 529 PORT 2030 T | 0.00 | 0.03 | 0.00 | 0.03 | 94.0 | 0.03 |
| 12/16/2016 | FENELON, DICKENS | FA 529 PORT 2030 T | 0.00 | 0.03 | 0.00 | 0.03 | 94.0 | 0.03 |
| 04/22/2016 | MCCLARNON, BRENDAN | GRIFFIN INSTITUTIONAL ACCESS REAL E | 0.00 | 0.27 | 0.00 | 0.27 | 94.0 | 0.25 |
| 04/22/2016 | DAVID, RUDOLPH | GRIFFIN INSTITUTIONAL ACCESS REAL E | 0.00 | 0.45 | 0.00 | 0.45 | 94.0 | 0.42 |
| 08/01/2016 | MCCLARNON, BRENDAN | GRIFFIN INSTITUTIONAL ACCESS REAL E | 0.00 | 0.27 | 0.00 | 0.27 | 94.0 | 0.25 |
| 08/01/2016 | DAVID, RUDOLPH | GRIFFIN INSTITUTIONAL ACCESS REAL E | 0.00 | 0.45 | 0.00 | 0.45 | 94.0 | 0.42 |
| 10/17/2016 | MCCLARNON, BRENDAN | GRIFFIN INSTITUTIONAL ACCESS REAL E | 0.00 | 0.28 | 0.00 | 0.28 | 94.0 | 0.26 |

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

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

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

| DATE | CLIENT | INVESTMENT | INVESTMENT AMOUNT | GROSS COMMISSION | CLEARING CHARGE | NET COMMISSION | RATE | BROKER COMMISSION |
|--|-------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u>SPLIT TRANSACTIONS</u> | | | | | | | | |
| <u>BROKER: G3G-DAN/ROY/JEFF/JON FT-NY RAUPP/PF #254</u> | | | | | | | | |
| 10/17/2016 | DAVID, RUDOLPH | GRIFFIN INSTITUTIONAL ACCESS REAL E | 0.00 | 0.46 | 0.00 | 0.46 | 94.0 | 0.43 |
| 07/19/2016 | NICASTRO, JOSEPH | INVESCO AMERICAN FRANCHISE A | 0.00 | 0.01 | 0.00 | 0.01 | 94.0 | 0.01 |
| 10/17/2016 | NICASTRO, JOSEPH | INVESCO AMERICAN FRANCHISE A | 0.00 | 0.01 | 0.00 | 0.01 | 94.0 | 0.01 |
| 07/25/2016 | DAVID, RUDOLPH | JP MORGAN EQUITY INCOME FUND CLASS | 0.00 | 0.00 | 0.00 | 0.00 | 94.0 | 0.00 |
| 08/15/2016 | DAVID, RUDOLPH | JP MORGAN EQUITY INCOME FUND CLASS | 0.00 | 0.10 | 0.00 | 0.10 | 94.0 | 0.09 |
| 09/15/2016 | NICASTRO, JOSEPH | JP MORGAN EQUITY INCOME FUND CLASS | 0.00 | 0.01 | 0.00 | 0.01 | 94.0 | 0.01 |
| 09/15/2016 | LALAMA, MARY | JP MORGAN EQUITY INCOME FUND CLASS | 0.00 | 0.06 | 0.00 | 0.06 | 94.0 | 0.06 |
| 09/15/2016 | DAVID, RUDOLPH | JP MORGAN EQUITY INCOME FUND CLASS | 0.00 | 0.10 | 0.00 | 0.10 | 94.0 | 0.09 |
| 10/14/2016 | NICASTRO, JOSEPH | JP MORGAN EQUITY INCOME FUND CLASS | 0.00 | 0.23 | 0.00 | 0.23 | 94.0 | 0.22 |
| 10/14/2016 | LALAMA, MARY | JP MORGAN EQUITY INCOME FUND CLASS | 0.00 | 0.21 | 0.00 | 0.21 | 94.0 | 0.20 |
| 10/14/2016 | DAVID, RUDOLPH | JP MORGAN EQUITY INCOME FUND CLASS | 0.00 | 0.09 | 0.00 | 0.09 | 94.0 | 0.08 |
| 11/21/2016 | NICASTRO, JOSEPH | JP MORGAN EQUITY INCOME FUND CLASS | 0.00 | 0.24 | 0.00 | 0.24 | 94.0 | 0.23 |
| 11/21/2016 | LALAMA, MARY | JP MORGAN EQUITY INCOME FUND CLASS | 0.00 | 0.21 | 0.00 | 0.21 | 94.0 | 0.20 |
| 11/21/2016 | DAVID, RUDOLPH | JP MORGAN EQUITY INCOME FUND CLASS | 0.00 | 0.09 | 0.00 | 0.09 | 94.0 | 0.08 |
| 12/16/2016 | NICASTRO, JOSEPH | JP MORGAN EQUITY INCOME FUND CLASS | 0.00 | 0.23 | 0.00 | 0.23 | 94.0 | 0.22 |
| 12/16/2016 | LALAMA, MARY | JP MORGAN EQUITY INCOME FUND CLASS | 0.00 | 0.21 | 0.00 | 0.21 | 94.0 | 0.20 |
| 12/16/2016 | DAVID, RUDOLPH | JP MORGAN EQUITY INCOME FUND CLASS | 0.00 | 0.09 | 0.00 | 0.09 | 94.0 | 0.08 |
| 02/19/2016 | DAVID, RUDOLPH | JP MORGAN GROWTH ADV A | 0.00 | 0.11 | 0.00 | 0.11 | 94.0 | 0.10 |
| 02/19/2016 | CIMMINO, VICTORIA | JP MORGAN GROWTH ADV A | 0.00 | 0.15 | 0.00 | 0.15 | 94.0 | 0.14 |
| 03/17/2016 | DAVID, RUDOLPH | JP MORGAN GROWTH ADV A | 0.00 | 0.09 | 0.00 | 0.09 | 94.0 | 0.08 |
| 03/17/2016 | CIMMINO, VICTORIA | JP MORGAN GROWTH ADV A | 0.00 | 0.13 | 0.00 | 0.13 | 94.0 | 0.12 |
| 04/25/2016 | DAVID, RUDOLPH | JP MORGAN GROWTH ADV A | 0.00 | 0.11 | 0.00 | 0.11 | 94.0 | 0.10 |
| 04/25/2016 | CIMMINO, VICTORIA | JP MORGAN GROWTH ADV A | 0.00 | 0.15 | 0.00 | 0.15 | 94.0 | 0.14 |
| 05/16/2016 | DAVID, RUDOLPH | JP MORGAN GROWTH ADV A | 0.00 | 0.11 | 0.00 | 0.11 | 94.0 | 0.10 |
| 05/16/2016 | CIMMINO, VICTORIA | JP MORGAN GROWTH ADV A | 0.00 | 0.15 | 0.00 | 0.15 | 94.0 | 0.14 |
| 06/20/2016 | DAVID, RUDOLPH | JP MORGAN GROWTH ADV A | 0.00 | 0.11 | 0.00 | 0.11 | 94.0 | 0.10 |
| 06/20/2016 | CIMMINO, VICTORIA | JP MORGAN GROWTH ADV A | 0.00 | 0.16 | 0.00 | 0.16 | 94.0 | 0.15 |
| 07/25/2016 | DAVID, RUDOLPH | JP MORGAN GROWTH ADV A | 0.00 | 0.11 | 0.00 | 0.11 | 94.0 | 0.10 |
| 07/25/2016 | CIMMINO, VICTORIA | JP MORGAN GROWTH ADV A | 0.00 | 0.15 | 0.00 | 0.15 | 94.0 | 0.14 |
| 08/15/2016 | DAVID, RUDOLPH | JP MORGAN GROWTH ADV A | 0.00 | 0.08 | 0.00 | 0.08 | 94.0 | 0.08 |
| 08/15/2016 | CIMMINO, VICTORIA | JP MORGAN GROWTH ADV A | 0.00 | 0.16 | 0.00 | 0.16 | 94.0 | 0.15 |
| 09/15/2016 | DAVID, RUDOLPH | JP MORGAN GROWTH ADV A | 0.00 | 0.08 | 0.00 | 0.08 | 94.0 | 0.08 |
| 09/15/2016 | CIMMINO, VICTORIA | JP MORGAN GROWTH ADV A | 0.00 | 0.17 | 0.00 | 0.17 | 94.0 | 0.16 |

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

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

| DATE | CLIENT | INVESTMENT | INVESTMENT AMOUNT | GROSS COMMISSION | CLEARING CHARGE | NET COMMISSION | RATE | BROKER COMMISSION |
|--|-------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u>SPLIT TRANSACTIONS</u> | | | | | | | | |
| <u>BROKER: G3G-DAN/ROY/JEFF/JON FT-NY RAUPP/PF #254</u> | | | | | | | | |
| 10/14/2016 | DAVID, RUDOLPH | JP MORGAN GROWTH ADV A | 0.00 | 0.08 | 0.00 | 0.08 | 94.0 | 0.08 |
| 10/14/2016 | CIMMINO, VICTORIA | JP MORGAN GROWTH ADV A | 0.00 | 0.16 | 0.00 | 0.16 | 94.0 | 0.15 |
| 11/21/2016 | DAVID, RUDOLPH | JP MORGAN GROWTH ADV A | 0.00 | 0.08 | 0.00 | 0.08 | 94.0 | 0.08 |
| 11/21/2016 | CIMMINO, VICTORIA | JP MORGAN GROWTH ADV A | 0.00 | 0.17 | 0.00 | 0.17 | 94.0 | 0.16 |
| 12/16/2016 | DAVID, RUDOLPH | JP MORGAN GROWTH ADV A | 0.00 | 0.08 | 0.00 | 0.08 | 94.0 | 0.08 |
| 12/16/2016 | CIMMINO, VICTORIA | JP MORGAN GROWTH ADV A | 0.00 | 0.16 | 0.00 | 0.16 | 94.0 | 0.15 |
| 12/16/2016 | KEYSER, LISA | JP MORGAN INVESTOR GROWTH FUND CLAS | 0.00 | 0.06 | 0.00 | 0.06 | 94.0 | 0.06 |
| 02/19/2016 | DAVID, RUDOLPH | JP MORGAN U.S. EQUITY FUND CLASS A | 0.00 | 0.14 | 0.00 | 0.14 | 94.0 | 0.13 |
| 03/17/2016 | DAVID, RUDOLPH | JP MORGAN U.S. EQUITY FUND CLASS A | 0.00 | 0.12 | 0.00 | 0.12 | 94.0 | 0.11 |
| 04/25/2016 | DAVID, RUDOLPH | JP MORGAN U.S. EQUITY FUND CLASS A | 0.00 | 0.14 | 0.00 | 0.14 | 94.0 | 0.13 |
| 05/16/2016 | DAVID, RUDOLPH | JP MORGAN U.S. EQUITY FUND CLASS A | 0.00 | 0.14 | 0.00 | 0.14 | 94.0 | 0.13 |
| 06/20/2016 | DAVID, RUDOLPH | JP MORGAN U.S. EQUITY FUND CLASS A | 0.00 | 0.15 | 0.00 | 0.15 | 94.0 | 0.14 |
| 07/25/2016 | DAVID, RUDOLPH | JP MORGAN U.S. EQUITY FUND CLASS A | 0.00 | 0.14 | 0.00 | 0.14 | 94.0 | 0.13 |
| 08/15/2016 | DAVID, RUDOLPH | JP MORGAN U.S. EQUITY FUND CLASS A | 0.00 | 0.10 | 0.00 | 0.10 | 94.0 | 0.09 |
| 09/15/2016 | DAVID, RUDOLPH | JP MORGAN U.S. EQUITY FUND CLASS A | 0.00 | 0.10 | 0.00 | 0.10 | 94.0 | 0.09 |
| 10/14/2016 | DAVID, RUDOLPH | JP MORGAN U.S. EQUITY FUND CLASS A | 0.00 | 0.10 | 0.00 | 0.10 | 94.0 | 0.09 |
| 11/21/2016 | DAVID, RUDOLPH | JP MORGAN U.S. EQUITY FUND CLASS A | 0.00 | 0.10 | 0.00 | 0.10 | 94.0 | 0.09 |
| 12/16/2016 | DAVID, RUDOLPH | JP MORGAN U.S. EQUITY FUND CLASS A | 0.00 | 0.10 | 0.00 | 0.10 | 94.0 | 0.09 |
| 02/19/2016 | DAVID, RUDOLPH | JP MORGAN VALUE ADVANTAGE FUND CLAS | 0.00 | 0.10 | 0.00 | 0.10 | 94.0 | 0.09 |
| 02/19/2016 | CIMMINO, VICTORIA | JP MORGAN VALUE ADVANTAGE FUND CLAS | 0.00 | 0.07 | 0.00 | 0.07 | 94.0 | 0.07 |
| 03/17/2016 | DAVID, RUDOLPH | JP MORGAN VALUE ADVANTAGE FUND CLAS | 0.00 | 0.09 | 0.00 | 0.09 | 94.0 | 0.08 |
| 03/17/2016 | CIMMINO, VICTORIA | JP MORGAN VALUE ADVANTAGE FUND CLAS | 0.00 | 0.06 | 0.00 | 0.06 | 94.0 | 0.06 |
| 04/25/2016 | DAVID, RUDOLPH | JP MORGAN VALUE ADVANTAGE FUND CLAS | 0.00 | 0.10 | 0.00 | 0.10 | 94.0 | 0.09 |
| 04/25/2016 | CIMMINO, VICTORIA | JP MORGAN VALUE ADVANTAGE FUND CLAS | 0.00 | 0.07 | 0.00 | 0.07 | 94.0 | 0.07 |
| 05/16/2016 | DAVID, RUDOLPH | JP MORGAN VALUE ADVANTAGE FUND CLAS | 0.00 | 0.10 | 0.00 | 0.10 | 94.0 | 0.09 |
| 05/16/2016 | CIMMINO, VICTORIA | JP MORGAN VALUE ADVANTAGE FUND CLAS | 0.00 | 0.07 | 0.00 | 0.07 | 94.0 | 0.07 |
| 06/20/2016 | DAVID, RUDOLPH | JP MORGAN VALUE ADVANTAGE FUND CLAS | 0.00 | 0.11 | 0.00 | 0.11 | 94.0 | 0.10 |
| 06/20/2016 | CIMMINO, VICTORIA | JP MORGAN VALUE ADVANTAGE FUND CLAS | 0.00 | 0.08 | 0.00 | 0.08 | 94.0 | 0.08 |
| 07/25/2016 | DAVID, RUDOLPH | JP MORGAN VALUE ADVANTAGE FUND CLAS | 0.00 | 0.10 | 0.00 | 0.10 | 94.0 | 0.09 |
| 07/25/2016 | CIMMINO, VICTORIA | JP MORGAN VALUE ADVANTAGE FUND CLAS | 0.00 | 0.07 | 0.00 | 0.07 | 94.0 | 0.07 |
| 08/15/2016 | DAVID, RUDOLPH | JP MORGAN VALUE ADVANTAGE FUND CLAS | 0.00 | 0.11 | 0.00 | 0.11 | 94.0 | 0.10 |
| 08/15/2016 | CIMMINO, VICTORIA | JP MORGAN VALUE ADVANTAGE FUND CLAS | 0.00 | 0.08 | 0.00 | 0.08 | 94.0 | 0.08 |
| 09/15/2016 | DAVID, RUDOLPH | JP MORGAN VALUE ADVANTAGE FUND CLAS | 0.00 | 0.11 | 0.00 | 0.11 | 94.0 | 0.10 |

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

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

| DATE | CLIENT | INVESTMENT | INVESTMENT AMOUNT | GROSS COMMISSION | CLEARING CHARGE | NET COMMISSION | RATE | BROKER COMMISSION |
|--|-------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u>SPLIT TRANSACTIONS</u> | | | | | | | | |
| <u>BROKER: G3G-DAN/ROY/JEFF/JON FT-NY RAUPP/PF #254</u> | | | | | | | | |
| 09/15/2016 | CIMMINO, VICTORIA | JP MORGAN VALUE ADVANTAGE FUND CLAS | 0.00 | 0.08 | 0.00 | 0.08 | 94.0 | 0.08 |
| 10/14/2016 | DAVID, RUDOLPH | JP MORGAN VALUE ADVANTAGE FUND CLAS | 0.00 | 0.11 | 0.00 | 0.11 | 94.0 | 0.10 |
| 10/14/2016 | CIMMINO, VICTORIA | JP MORGAN VALUE ADVANTAGE FUND CLAS | 0.00 | 0.08 | 0.00 | 0.08 | 94.0 | 0.08 |
| 11/21/2016 | DAVID, RUDOLPH | JP MORGAN VALUE ADVANTAGE FUND CLAS | 0.00 | 0.11 | 0.00 | 0.11 | 94.0 | 0.10 |
| 11/21/2016 | CIMMINO, VICTORIA | JP MORGAN VALUE ADVANTAGE FUND CLAS | 0.00 | 0.08 | 0.00 | 0.08 | 94.0 | 0.08 |
| 12/16/2016 | DAVID, RUDOLPH | JP MORGAN VALUE ADVANTAGE FUND CLAS | 0.00 | 0.11 | 0.00 | 0.11 | 94.0 | 0.10 |
| 12/16/2016 | CIMMINO, VICTORIA | JP MORGAN VALUE ADVANTAGE FUND CLAS | 0.00 | 0.08 | 0.00 | 0.08 | 94.0 | 0.08 |
| 02/25/2016 | DAVID, RUDOLPH | MAINSTAY CUSHING MLP PREMIER FUND C | 0.00 | 0.06 | 0.00 | 0.06 | 94.0 | 0.06 |
| 03/08/2016 | DAVID, RUDOLPH | MAINSTAY CUSHING MLP PREMIER FUND C | 0.00 | 0.05 | 0.00 | 0.05 | 94.0 | 0.05 |
| 04/22/2016 | DAVID, RUDOLPH | MAINSTAY CUSHING MLP PREMIER FUND C | 0.00 | 0.06 | 0.00 | 0.06 | 94.0 | 0.06 |
| 05/17/2016 | DAVID, RUDOLPH | MAINSTAY CUSHING MLP PREMIER FUND C | 0.00 | 0.06 | 0.00 | 0.06 | 94.0 | 0.06 |
| 06/15/2016 | DAVID, RUDOLPH | MAINSTAY CUSHING MLP PREMIER FUND C | 0.00 | 0.07 | 0.00 | 0.07 | 94.0 | 0.07 |
| 07/14/2016 | DAVID, RUDOLPH | MAINSTAY CUSHING MLP PREMIER FUND C | 0.00 | 0.07 | 0.00 | 0.07 | 94.0 | 0.07 |
| 08/18/2016 | DAVID, RUDOLPH | MAINSTAY CUSHING MLP PREMIER FUND C | 0.00 | 0.08 | 0.00 | 0.08 | 94.0 | 0.08 |
| 09/15/2016 | DAVID, RUDOLPH | MAINSTAY CUSHING MLP PREMIER FUND C | 0.00 | 0.08 | 0.00 | 0.08 | 94.0 | 0.08 |
| 10/21/2016 | DAVID, RUDOLPH | MAINSTAY CUSHING MLP PREMIER FUND C | 0.00 | 0.07 | 0.00 | 0.07 | 94.0 | 0.07 |
| 11/09/2016 | DAVID, RUDOLPH | MAINSTAY CUSHING MLP PREMIER FUND C | 0.00 | 0.08 | 0.00 | 0.08 | 94.0 | 0.08 |
| 12/16/2016 | DAVID, RUDOLPH | MAINSTAY CUSHING MLP PREMIER FUND C | 0.00 | 0.07 | 0.00 | 0.07 | 94.0 | 0.07 |
| 02/08/2016 | KEYSER, LISA | MILLER CONVERTIBLE BOND FUND CLASS | 0.00 | 0.50 | 0.00 | 0.50 | 94.0 | 0.47 |
| 03/07/2016 | KEYSER, LISA | MILLER CONVERTIBLE BOND FUND CLASS | 0.00 | 0.60 | 0.00 | 0.60 | 94.0 | 0.56 |
| 04/11/2016 | KEYSER, LISA | MILLER CONVERTIBLE BOND FUND CLASS | 0.00 | 0.62 | 0.00 | 0.62 | 94.0 | 0.58 |
| 05/12/2016 | KEYSER, LISA | MILLER CONVERTIBLE BOND FUND CLASS | 0.00 | 0.60 | 0.00 | 0.60 | 94.0 | 0.56 |
| 06/09/2016 | KEYSER, LISA | MILLER CONVERTIBLE BOND FUND CLASS | 0.00 | 0.67 | 0.00 | 0.67 | 94.0 | 0.63 |
| 07/13/2016 | KEYSER, LISA | MILLER CONVERTIBLE BOND FUND CLASS | 0.00 | 0.63 | 0.00 | 0.63 | 94.0 | 0.59 |
| 08/11/2016 | KEYSER, LISA | MILLER CONVERTIBLE BOND FUND CLASS | 0.00 | 0.66 | 0.00 | 0.66 | 94.0 | 0.62 |
| 09/12/2016 | LALAMA, MARY | MILLER CONVERTIBLE BOND FUND CLASS | 0.00 | 0.04 | 0.00 | 0.04 | 94.0 | 0.04 |
| 09/12/2016 | KEYSER, LISA | MILLER CONVERTIBLE BOND FUND CLASS | 0.00 | 0.68 | 0.00 | 0.68 | 94.0 | 0.64 |
| 10/11/2016 | LALAMA, MARY | MILLER CONVERTIBLE BOND FUND CLASS | 0.00 | 0.14 | 0.00 | 0.14 | 94.0 | 0.13 |
| 10/11/2016 | KEYSER, LISA | MILLER CONVERTIBLE BOND FUND CLASS | 0.00 | 0.66 | 0.00 | 0.66 | 94.0 | 0.62 |
| 11/10/2016 | LALAMA, MARY | MILLER CONVERTIBLE BOND FUND CLASS | 0.00 | 0.14 | 0.00 | 0.14 | 94.0 | 0.13 |
| 11/10/2016 | KEYSER, LISA | MILLER CONVERTIBLE BOND FUND CLASS | 0.00 | 0.68 | 0.00 | 0.68 | 94.0 | 0.64 |
| 12/12/2016 | LALAMA, MARY | MILLER CONVERTIBLE BOND FUND CLASS | 0.00 | 0.14 | 0.00 | 0.14 | 94.0 | 0.13 |
| 12/12/2016 | KEYSER, LISA | MILLER CONVERTIBLE BOND FUND CLASS | 0.00 | 0.66 | 0.00 | 0.66 | 94.0 | 0.62 |

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

| DATE | CLIENT | INVESTMENT | INVESTMENT AMOUNT | GROSS COMMISSION | CLEARING CHARGE | NET COMMISSION | RATE | BROKER COMMISSION |
|--|-------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u>SPLIT TRANSACTIONS</u> | | | | | | | | |
| <u>BROKER: G3G-DAN/ROY/JEFF/JON FT-NY RAUPP/PF #254</u> | | | | | | | | |
| 02/23/2016 | BARRY, ROBERT | THE GABELLI UTILITIES FUND CLASS A | 0.00 | 0.29 | 0.00 | 0.29 | 94.0 | 0.27 |
| 03/21/2016 | BARRY, ROBERT | THE GABELLI UTILITIES FUND CLASS A | 0.00 | 0.28 | 0.00 | 0.28 | 94.0 | 0.26 |
| 04/28/2016 | BARRY, ROBERT | THE GABELLI UTILITIES FUND CLASS A | 0.00 | 0.32 | 0.00 | 0.32 | 94.0 | 0.30 |
| 05/24/2016 | BARRY, ROBERT | THE GABELLI UTILITIES FUND CLASS A | 0.00 | 0.31 | 0.00 | 0.31 | 94.0 | 0.29 |
| 06/22/2016 | BARRY, ROBERT | THE GABELLI UTILITIES FUND CLASS A | 0.00 | 0.32 | 0.00 | 0.32 | 94.0 | 0.30 |
| 07/22/2016 | BARRY, ROBERT | THE GABELLI UTILITIES FUND CLASS A | 0.00 | 0.32 | 0.00 | 0.32 | 94.0 | 0.30 |
| 08/19/2016 | BARRY, ROBERT | THE GABELLI UTILITIES FUND CLASS A | 0.00 | 0.34 | 0.00 | 0.34 | 94.0 | 0.32 |
| 09/21/2016 | BARRY, ROBERT | THE GABELLI UTILITIES FUND CLASS A | 0.00 | 0.33 | 0.00 | 0.33 | 94.0 | 0.31 |
| 10/20/2016 | BARRY, ROBERT | THE GABELLI UTILITIES FUND CLASS A | 0.00 | 0.31 | 0.00 | 0.31 | 94.0 | 0.29 |
| 11/22/2016 | BARRY, ROBERT | THE GABELLI UTILITIES FUND CLASS A | 0.00 | 0.31 | 0.00 | 0.31 | 94.0 | 0.29 |
| 12/27/2016 | BARRY, ROBERT | THE GABELLI UTILITIES FUND CLASS A | 0.00 | 0.30 | 0.00 | 0.30 | 94.0 | 0.28 |
| * G3G-DAN/ROY/JEFF/JON FT-NY RAUPP/PF SUBTOTAL * | | | \$-28,431.88 | \$22.07 | \$3.38 | \$18.69 | | \$17.56 |
| <u>BROKER: G0B-DAN/JON P/JEFF FT-NY RAUPP/CIRE #256</u> | | | | | | | | |
| 02/16/2016 | BENEFORTI, JULIAN | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 0.06 | 0.00 | 0.06 | 94.0 | 0.06 |
| 03/15/2016 | BENEFORTI, JULIAN | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 0.06 | 0.00 | 0.06 | 94.0 | 0.06 |
| 04/20/2016 | BENEFORTI, JULIAN | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 0.07 | 0.00 | 0.07 | 94.0 | 0.07 |
| 05/16/2016 | BENEFORTI, JULIAN | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 0.04 | 0.00 | 0.04 | 94.0 | 0.04 |
| 02/16/2016 | BENEFORTI, JULIAN | AM FUNDS FUNDAMENTAL INVESTORS A | 0.00 | 0.13 | 0.00 | 0.13 | 94.0 | 0.12 |
| 03/15/2016 | BENEFORTI, JULIAN | AM FUNDS FUNDAMENTAL INVESTORS A | 0.00 | 0.12 | 0.00 | 0.12 | 94.0 | 0.11 |
| 04/20/2016 | BENEFORTI, JULIAN | AM FUNDS FUNDAMENTAL INVESTORS A | 0.00 | 0.13 | 0.00 | 0.13 | 94.0 | 0.12 |
| 05/16/2016 | BENEFORTI, JULIAN | AM FUNDS FUNDAMENTAL INVESTORS A | 0.00 | 0.08 | 0.00 | 0.08 | 94.0 | 0.08 |
| 02/16/2016 | BENEFORTI, JULIAN | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 0.04 | 0.00 | 0.04 | 94.0 | 0.04 |
| 03/15/2016 | BENEFORTI, JULIAN | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 0.04 | 0.00 | 0.04 | 94.0 | 0.04 |
| 04/20/2016 | BENEFORTI, JULIAN | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 0.04 | 0.00 | 0.04 | 94.0 | 0.04 |
| 05/16/2016 | BENEFORTI, JULIAN | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 0.03 | 0.00 | 0.03 | 94.0 | 0.03 |
| 02/16/2016 | BENEFORTI, JULIAN | AM FUNDS ICA A | 0.00 | 0.04 | 0.00 | 0.04 | 94.0 | 0.04 |
| 03/15/2016 | BENEFORTI, JULIAN | AM FUNDS ICA A | 0.00 | 0.04 | 0.00 | 0.04 | 94.0 | 0.04 |
| 04/20/2016 | BENEFORTI, JULIAN | AM FUNDS ICA A | 0.00 | 0.04 | 0.00 | 0.04 | 94.0 | 0.04 |
| 05/16/2016 | BENEFORTI, JULIAN | AM FUNDS ICA A | 0.00 | 0.03 | 0.00 | 0.03 | 94.0 | 0.03 |
| 04/20/2016 | PAVIS, NANCY | FIRST EAGLE GLOBAL C | 0.00 | 11.87 | 0.00 | 11.87 | 94.0 | 11.16 |
| 07/22/2016 | PAVIS, NANCY | FIRST EAGLE GLOBAL C | 0.00 | 5.85 | 0.00 | 5.85 | 94.0 | 5.50 |
| 07/29/2016 | PAVIS, NANCY | FIRST EAGLE GLOBAL C | 0.00 | 6.86 | 0.00 | 6.86 | 94.0 | 6.45 |
| 08/10/2016 | PAVIS, NANCY | FIRST EAGLE GLOBAL C | 0.00 | 4.45 | 0.00 | 4.45 | 94.0 | 4.18 |

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

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

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

| DATE | CLIENT | INVESTMENT | INVESTMENT AMOUNT | GROSS COMMISSION | CLEARING CHARGE | NET COMMISSION | RATE | BROKER COMMISSION |
|--|--------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u>SPLIT TRANSACTIONS</u> | | | | | | | | |
| <u>BROKER: G0B-DAN/JON P/JEFF FT-NY RAUPP/CIRE #256</u> | | | | | | | | |
| 09/16/2016 | PAVIS, NANCY | FIRST EAGLE GLOBAL C | 0.00 | 4.56 | 0.00 | 4.56 | 94.0 | 4.29 |
| 10/21/2016 | PAVIS, NANCY | FIRST EAGLE GLOBAL C | 0.00 | 2.63 | 0.00 | 2.63 | 94.0 | 2.47 |
| 02/16/2016 | PAVIS FAMILY TRUST | FRANKLIN STRATEGIC INCOME C | 0.00 | 3.18 | 0.00 | 3.18 | 94.0 | 2.99 |
| 03/16/2016 | PAVIS FAMILY TRUST | FRANKLIN STRATEGIC INCOME C | 0.00 | 2.94 | 0.00 | 2.94 | 94.0 | 2.76 |
| 04/15/2016 | PAVIS FAMILY TRUST | FRANKLIN STRATEGIC INCOME C | 0.00 | 3.23 | 0.00 | 3.23 | 94.0 | 3.04 |
| 05/13/2016 | PAVIS FAMILY TRUST | FRANKLIN STRATEGIC INCOME C | 0.00 | 3.17 | 0.00 | 3.17 | 94.0 | 2.98 |
| 06/14/2016 | PAVIS FAMILY TRUST | FRANKLIN STRATEGIC INCOME C | 0.00 | 3.30 | 0.00 | 3.30 | 94.0 | 3.10 |
| 07/14/2016 | PAVIS FAMILY TRUST | FRANKLIN STRATEGIC INCOME C | 0.00 | 3.22 | 0.00 | 3.22 | 94.0 | 3.03 |
| 08/15/2016 | PAVIS FAMILY TRUST | FRANKLIN STRATEGIC INCOME C | 0.00 | 3.39 | 0.00 | 3.39 | 94.0 | 3.19 |
| 09/14/2016 | PAVIS FAMILY TRUST | FRANKLIN STRATEGIC INCOME C | 0.00 | 3.42 | 0.00 | 3.42 | 94.0 | 3.21 |
| 10/18/2016 | PAVIS FAMILY TRUST | FRANKLIN STRATEGIC INCOME C | 0.00 | 3.32 | 0.00 | 3.32 | 94.0 | 3.12 |
| 11/15/2016 | PAVIS FAMILY TRUST | FRANKLIN STRATEGIC INCOME C | 0.00 | 3.46 | 0.00 | 3.46 | 94.0 | 3.25 |
| 12/16/2016 | PAVIS FAMILY TRUST | FRANKLIN STRATEGIC INCOME C | 0.00 | 3.31 | 0.00 | 3.31 | 94.0 | 3.11 |
| 10/17/2016 | LAROCHE, LAURIE | GRIFFIN INSTITUTIONAL ACCESS REAL E | 0.00 | 3.87 | 0.00 | 3.87 | 94.0 | 3.64 |
| 02/25/2016 | CAPUTO, PHILIP | MAINSTAY CUSHING MLP PREMIER FUND C | 0.00 | 2.49 | 0.00 | 2.49 | 94.0 | 2.34 |
| 03/08/2016 | CAPUTO, PHILIP | MAINSTAY CUSHING MLP PREMIER FUND C | 0.00 | 2.10 | 0.00 | 2.10 | 94.0 | 1.97 |
| 04/22/2016 | CAPUTO, PHILIP | MAINSTAY CUSHING MLP PREMIER FUND C | 0.00 | 2.52 | 0.00 | 2.52 | 94.0 | 2.37 |
| 05/17/2016 | CAPUTO, PHILIP | MAINSTAY CUSHING MLP PREMIER FUND C | 0.00 | 2.65 | 0.00 | 2.65 | 94.0 | 2.49 |
| 06/15/2016 | CAPUTO, PHILIP | MAINSTAY CUSHING MLP PREMIER FUND C | 0.00 | 3.03 | 0.00 | 3.03 | 94.0 | 2.85 |
| 07/14/2016 | CAPUTO, PHILIP | MAINSTAY CUSHING MLP PREMIER FUND C | 0.00 | 3.08 | 0.00 | 3.08 | 94.0 | 2.90 |
| 08/18/2016 | CAPUTO, PHILIP | MAINSTAY CUSHING MLP PREMIER FUND C | 0.00 | 3.26 | 0.00 | 3.26 | 94.0 | 3.06 |
| 09/15/2016 | CAPUTO, PHILIP | MAINSTAY CUSHING MLP PREMIER FUND C | 0.00 | 3.28 | 0.00 | 3.28 | 94.0 | 3.08 |
| 09/15/2016 | SKOLNICK, SHEILA | MAINSTAY CUSHING MLP PREMIER FUND C | 0.00 | 0.85 | 0.00 | 0.85 | 94.0 | 0.80 |
| 10/21/2016 | CAPUTO, PHILIP | MAINSTAY CUSHING MLP PREMIER FUND C | 0.00 | 3.17 | 0.00 | 3.17 | 94.0 | 2.98 |
| 10/21/2016 | SKOLNICK, SHEILA | MAINSTAY CUSHING MLP PREMIER FUND C | 0.00 | 1.95 | 0.00 | 1.95 | 94.0 | 1.83 |
| 11/09/2016 | CAPUTO, PHILIP | MAINSTAY CUSHING MLP PREMIER FUND C | 0.00 | 3.29 | 0.00 | 3.29 | 94.0 | 3.09 |
| 11/09/2016 | MARSH, LAURIE | MAINSTAY CUSHING MLP PREMIER FUND C | 0.00 | 0.11 | 0.00 | 0.11 | 94.0 | 0.10 |
| 11/09/2016 | JOHNSON, LYNN | MAINSTAY CUSHING MLP PREMIER FUND C | 0.00 | 0.11 | 0.00 | 0.11 | 94.0 | 0.10 |
| 11/09/2016 | BENJAMIN, WAYNE | MAINSTAY CUSHING MLP PREMIER FUND C | 0.00 | 0.07 | 0.00 | 0.07 | 94.0 | 0.07 |
| 11/09/2016 | SKOLNICK, SHEILA | MAINSTAY CUSHING MLP PREMIER FUND C | 0.00 | 2.02 | 0.00 | 2.02 | 94.0 | 1.90 |
| 12/16/2016 | CAPUTO, PHILIP | MAINSTAY CUSHING MLP PREMIER FUND C | 0.00 | 3.12 | 0.00 | 3.12 | 94.0 | 2.93 |
| 12/16/2016 | MARSH, LAURIE | MAINSTAY CUSHING MLP PREMIER FUND C | 0.00 | 0.67 | 0.00 | 0.67 | 94.0 | 0.63 |
| 12/16/2016 | LOYE, DEDRA | MAINSTAY CUSHING MLP PREMIER FUND C | 0.00 | 1.56 | 0.00 | 1.56 | 94.0 | 1.47 |

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| DATE | CLIENT | INVESTMENT | INVESTMENT AMOUNT | GROSS COMMISSION | CLEARING CHARGE | NET COMMISSION | RATE | BROKER COMMISSION |
|--|----------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u>SPLIT TRANSACTIONS</u> | | | | | | | | |
| <u>BROKER: G0B-DAN/JON P/JEFF FT-NY RAUPP/CIRE #256</u> | | | | | | | | |
| 12/16/2016 | JOHNSON, LYNN | MAINSTAY CUSHING MLP PREMIER FUND C | 0.00 | 0.84 | 0.00 | 0.84 | 94.0 | 0.79 |
| 12/16/2016 | BENJAMIN, WAYNE | MAINSTAY CUSHING MLP PREMIER FUND C | 0.00 | 0.49 | 0.00 | 0.49 | 94.0 | 0.46 |
| 12/16/2016 | SKOLNICK, SHEILA | MAINSTAY CUSHING MLP PREMIER FUND C | 0.00 | 1.92 | 0.00 | 1.92 | 94.0 | 1.80 |
| 02/25/2016 | JOHNSON FAMILY TRUST | MAINSTAY CUSHING ROYALTY ENERGY INC | 0.00 | 1.48 | 0.00 | 1.48 | 94.0 | 1.39 |
| 03/08/2016 | JOHNSON FAMILY TRUST | MAINSTAY CUSHING ROYALTY ENERGY INC | 0.00 | 1.32 | 0.00 | 1.32 | 94.0 | 1.24 |
| 04/22/2016 | JOHNSON FAMILY TRUST | MAINSTAY CUSHING ROYALTY ENERGY INC | 0.00 | 1.57 | 0.00 | 1.57 | 94.0 | 1.48 |
| 05/17/2016 | JOHNSON FAMILY TRUST | MAINSTAY CUSHING ROYALTY ENERGY INC | 0.00 | 1.65 | 0.00 | 1.65 | 94.0 | 1.55 |
| 06/15/2016 | JOHNSON FAMILY TRUST | MAINSTAY CUSHING ROYALTY ENERGY INC | 0.00 | 1.83 | 0.00 | 1.83 | 94.0 | 1.72 |
| 07/14/2016 | JOHNSON FAMILY TRUST | MAINSTAY CUSHING ROYALTY ENERGY INC | 0.00 | 1.84 | 0.00 | 1.84 | 94.0 | 1.73 |
| 08/18/2016 | JOHNSON FAMILY TRUST | MAINSTAY CUSHING ROYALTY ENERGY INC | 0.00 | 1.96 | 0.00 | 1.96 | 94.0 | 1.84 |
| 09/15/2016 | JOHNSON FAMILY TRUST | MAINSTAY CUSHING ROYALTY ENERGY INC | 0.00 | 1.99 | 0.00 | 1.99 | 94.0 | 1.87 |
| 10/21/2016 | JOHNSON FAMILY TRUST | MAINSTAY CUSHING ROYALTY ENERGY INC | 0.00 | 1.94 | 0.00 | 1.94 | 94.0 | 1.82 |
| 11/09/2016 | JOHNSON FAMILY TRUST | MAINSTAY CUSHING ROYALTY ENERGY INC | 0.00 | 2.08 | 0.00 | 2.08 | 94.0 | 1.96 |
| 12/16/2016 | JOHNSON FAMILY TRUST | MAINSTAY CUSHING ROYALTY ENERGY INC | 0.00 | 2.02 | 0.00 | 2.02 | 94.0 | 1.90 |
| 02/25/2016 | STARK, LINDA | MAINSTAY MAP A | 0.00 | 0.31 | 0.00 | 0.31 | 94.0 | 0.29 |
| 03/08/2016 | STARK, LINDA | MAINSTAY MAP A | 0.00 | 0.29 | 0.00 | 0.29 | 94.0 | 0.27 |
| 04/22/2016 | STARK, LINDA | MAINSTAY MAP A | 0.00 | 0.33 | 0.00 | 0.33 | 94.0 | 0.31 |
| 05/17/2016 | STARK, LINDA | MAINSTAY MAP A | 0.00 | 0.32 | 0.00 | 0.32 | 94.0 | 0.30 |
| 06/15/2016 | STARK, LINDA | MAINSTAY MAP A | 0.00 | 0.33 | 0.00 | 0.33 | 94.0 | 0.31 |
| 07/14/2016 | STARK, LINDA | MAINSTAY MAP A | 0.00 | 0.32 | 0.00 | 0.32 | 94.0 | 0.30 |
| 08/18/2016 | STARK, LINDA | MAINSTAY MAP A | 0.00 | 0.34 | 0.00 | 0.34 | 94.0 | 0.32 |
| 09/15/2016 | STARK, LINDA | MAINSTAY MAP A | 0.00 | 0.35 | 0.00 | 0.35 | 94.0 | 0.33 |
| 10/21/2016 | STARK, LINDA | MAINSTAY MAP A | 0.00 | 0.34 | 0.00 | 0.34 | 94.0 | 0.32 |
| 11/09/2016 | STARK, LINDA | MAINSTAY MAP A | 0.00 | 0.35 | 0.00 | 0.35 | 94.0 | 0.33 |
| 12/16/2016 | STARK, LINDA | MAINSTAY MAP A | 0.00 | 0.34 | 0.00 | 0.34 | 94.0 | 0.32 |
| 02/11/2016 | BATTAGLIA, HEATHER | PRU FUNDS JENNISON CONSERVATIVE GRW | 0.00 | 0.40 | 0.00 | 0.40 | 94.0 | 0.38 |
| 03/10/2016 | BATTAGLIA, HEATHER | PRU FUNDS JENNISON CONSERVATIVE GRW | 0.00 | 0.36 | 0.00 | 0.36 | 94.0 | 0.34 |
| 04/15/2016 | BATTAGLIA, HEATHER | PRU FUNDS JENNISON CONSERVATIVE GRW | 0.00 | 0.41 | 0.00 | 0.41 | 94.0 | 0.39 |
| 05/11/2016 | BATTAGLIA, HEATHER | PRU FUNDS JENNISON CONSERVATIVE GRW | 0.00 | 0.41 | 0.00 | 0.41 | 94.0 | 0.39 |
| 06/10/2016 | BATTAGLIA, HEATHER | PRU FUNDS JENNISON CONSERVATIVE GRW | 0.00 | 0.42 | 0.00 | 0.42 | 94.0 | 0.39 |
| 07/12/2016 | BATTAGLIA, HEATHER | PRU FUNDS JENNISON CONSERVATIVE GRW | 0.00 | 0.41 | 0.00 | 0.41 | 94.0 | 0.39 |
| 08/10/2016 | BATTAGLIA, HEATHER | PRU FUNDS JENNISON CONSERVATIVE GRW | 0.00 | 0.43 | 0.00 | 0.43 | 94.0 | 0.40 |
| 09/12/2016 | BATTAGLIA, HEATHER | PRU FUNDS JENNISON CONSERVATIVE GRW | 0.00 | 0.44 | 0.00 | 0.44 | 94.0 | 0.41 |

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| DATE | CLIENT | INVESTMENT | INVESTMENT AMOUNT | GROSS COMMISSION | CLEARING CHARGE | NET COMMISSION | RATE | BROKER COMMISSION |
|---|--------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u>SPLIT TRANSACTIONS</u> | | | | | | | | |
| BROKER: G0B-DAN/JON P/JEFF FT-NY RAUPP/CIRE #256 | | | | | | | | |
| 10/11/2016 | BATTAGLIA, HEATHER | PRU FUNDS JENNISON CONSERVATIVE GRW | 0.00 | 0.21 | 0.00 | 0.21 | 94.0 | 0.20 |
| 02/11/2016 | BATTAGLIA, HEATHER | PRU MID CAP VALUE | 0.00 | 0.11 | 0.00 | 0.11 | 94.0 | 0.10 |
| 03/10/2016 | BATTAGLIA, HEATHER | PRU MID CAP VALUE | 0.00 | 0.10 | 0.00 | 0.10 | 94.0 | 0.09 |
| 04/15/2016 | BATTAGLIA, HEATHER | PRU MID CAP VALUE | 0.00 | 0.12 | 0.00 | 0.12 | 94.0 | 0.11 |
| 05/11/2016 | BATTAGLIA, HEATHER | PRU MID CAP VALUE | 0.00 | 0.12 | 0.00 | 0.12 | 94.0 | 0.11 |
| 06/10/2016 | BATTAGLIA, HEATHER | PRU MID CAP VALUE | 0.00 | 0.12 | 0.00 | 0.12 | 94.0 | 0.11 |
| 07/12/2016 | BATTAGLIA, HEATHER | PRU MID CAP VALUE | 0.00 | 0.12 | 0.00 | 0.12 | 94.0 | 0.11 |
| 08/10/2016 | BATTAGLIA, HEATHER | PRU MID CAP VALUE | 0.00 | 0.13 | 0.00 | 0.13 | 94.0 | 0.12 |
| 09/12/2016 | BATTAGLIA, HEATHER | PRU MID CAP VALUE | 0.00 | 0.13 | 0.00 | 0.13 | 94.0 | 0.12 |
| 10/11/2016 | BATTAGLIA, HEATHER | PRU MID CAP VALUE | 0.00 | 0.06 | 0.00 | 0.06 | 94.0 | 0.06 |
| 02/11/2016 | BATTAGLIA, HEATHER | PRUDENTIAL TARGET SMALL CAP VALUE P | 0.00 | 0.36 | 0.00 | 0.36 | 94.0 | 0.34 |
| 03/10/2016 | BATTAGLIA, HEATHER | PRUDENTIAL TARGET SMALL CAP VALUE P | 0.00 | 0.34 | 0.00 | 0.34 | 94.0 | 0.32 |
| 04/15/2016 | BATTAGLIA, HEATHER | PRUDENTIAL TARGET SMALL CAP VALUE P | 0.00 | 0.40 | 0.00 | 0.40 | 94.0 | 0.38 |
| 05/11/2016 | BATTAGLIA, HEATHER | PRUDENTIAL TARGET SMALL CAP VALUE P | 0.00 | 0.40 | 0.00 | 0.40 | 94.0 | 0.38 |
| 06/10/2016 | BATTAGLIA, HEATHER | PRUDENTIAL TARGET SMALL CAP VALUE P | 0.00 | 0.41 | 0.00 | 0.41 | 94.0 | 0.39 |
| 07/12/2016 | BATTAGLIA, HEATHER | PRUDENTIAL TARGET SMALL CAP VALUE P | 0.00 | 0.41 | 0.00 | 0.41 | 94.0 | 0.39 |
| 08/10/2016 | BATTAGLIA, HEATHER | PRUDENTIAL TARGET SMALL CAP VALUE P | 0.00 | 0.43 | 0.00 | 0.43 | 94.0 | 0.40 |
| 09/12/2016 | BATTAGLIA, HEATHER | PRUDENTIAL TARGET SMALL CAP VALUE P | 0.00 | 0.44 | 0.00 | 0.44 | 94.0 | 0.41 |
| 10/11/2016 | BATTAGLIA, HEATHER | PRUDENTIAL TARGET SMALL CAP VALUE P | 0.00 | 0.22 | 0.00 | 0.22 | 94.0 | 0.21 |
| 02/16/2016 | PAVIS FAMILY TRUST | TEMPLETON GLOBAL BOND C | 0.00 | 2.45 | 0.00 | 2.45 | 94.0 | 2.30 |
| 03/16/2016 | PAVIS FAMILY TRUST | TEMPLETON GLOBAL BOND C | 0.00 | 2.25 | 0.00 | 2.25 | 94.0 | 2.12 |
| 04/15/2016 | PAVIS FAMILY TRUST | TEMPLETON GLOBAL BOND C | 0.00 | 2.49 | 0.00 | 2.49 | 94.0 | 2.34 |
| 05/13/2016 | PAVIS FAMILY TRUST | TEMPLETON GLOBAL BOND C | 0.00 | 2.42 | 0.00 | 2.42 | 94.0 | 2.27 |
| 06/14/2016 | PAVIS FAMILY TRUST | TEMPLETON GLOBAL BOND C | 0.00 | 2.48 | 0.00 | 2.48 | 94.0 | 2.33 |
| 07/14/2016 | PAVIS FAMILY TRUST | TEMPLETON GLOBAL BOND C | 0.00 | 2.37 | 0.00 | 2.37 | 94.0 | 2.23 |
| 08/15/2016 | PAVIS FAMILY TRUST | TEMPLETON GLOBAL BOND C | 0.00 | 2.50 | 0.00 | 2.50 | 94.0 | 2.35 |
| 09/14/2016 | PAVIS FAMILY TRUST | TEMPLETON GLOBAL BOND C | 0.00 | 2.49 | 0.00 | 2.49 | 94.0 | 2.34 |
| 10/18/2016 | PAVIS FAMILY TRUST | TEMPLETON GLOBAL BOND C | 0.00 | 2.39 | 0.00 | 2.39 | 94.0 | 2.25 |
| 11/15/2016 | PAVIS FAMILY TRUST | TEMPLETON GLOBAL BOND C | 0.00 | 2.54 | 0.00 | 2.54 | 94.0 | 2.39 |
| 12/16/2016 | PAVIS FAMILY TRUST | TEMPLETON GLOBAL BOND C | 0.00 | 2.45 | 0.00 | 2.45 | 94.0 | 2.30 |
| * G0B-DAN/JON P/JEFF FT-NY RAUPP/CIRE SUBTOTAL * | | | \$0.00 | \$177.64 | \$0.00 | \$177.64 | | \$167.00 |

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

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| DATE | CLIENT | INVESTMENT | INVESTMENT AMOUNT | GROSS COMMISSION | CLEARING CHARGE | NET COMMISSION | RATE | BROKER COMMISSION |
|---|------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u>SPLIT TRANSACTIONS</u> | | | | | | | | |
| BROKER: G0C-JEFF/DAN/JON PAU FT-NY KIESNO/R #257 | | | | | | | | |
| 03/15/2016 | FORRAI, MICHAEL | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 0.06 | 0.00 | 0.06 | 94.0 | 0.06 |
| 04/20/2016 | FORRAI, MICHAEL | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 0.12 | 0.00 | 0.12 | 94.0 | 0.11 |
| 05/16/2016 | FORRAI, MICHAEL | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 0.11 | 0.00 | 0.11 | 94.0 | 0.10 |
| 06/15/2016 | FORRAI, MICHAEL | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 0.12 | 0.00 | 0.12 | 94.0 | 0.11 |
| 07/18/2016 | FORRAI, MICHAEL | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 0.11 | 0.00 | 0.11 | 94.0 | 0.10 |
| 08/15/2016 | FORRAI, MICHAEL | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 0.13 | 0.00 | 0.13 | 94.0 | 0.12 |
| 09/16/2016 | FORRAI, MICHAEL | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 0.13 | 0.00 | 0.13 | 94.0 | 0.12 |
| 10/17/2016 | FORRAI, MICHAEL | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 0.13 | 0.00 | 0.13 | 94.0 | 0.12 |
| 11/18/2016 | FORRAI, MICHAEL | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 0.13 | 0.00 | 0.13 | 94.0 | 0.12 |
| 12/15/2016 | FORRAI, MICHAEL | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 0.12 | 0.00 | 0.12 | 94.0 | 0.11 |
| 02/16/2016 | FORRAI, MICHAEL | AM FUNDS CAPITAL WORLD GRTH & INC B | 0.00 | 0.11 | 0.00 | 0.11 | 94.0 | 0.10 |
| 03/15/2016 | FORRAI, MICHAEL | AM FUNDS CAPITAL WORLD GRTH & INC B | 0.00 | 0.02 | 0.00 | 0.02 | 94.0 | 0.02 |
| 12/28/2016 | GALGANO, ROBERT | ARIEL APPRECIATION FUND | 0.00 | 0.01 | 0.00 | 0.01 | 94.0 | 0.01 |
| 12/07/2016 | BRANDT, ROSEMARY | CATALYST/MILLBURN HEDGE STRATEGY FU | 0.00 | 0.19 | 0.00 | 0.19 | 94.0 | 0.18 |
| 04/20/2016 | GALGANO, ROBERT | FIRST EAGLE GOLD FUND CLASS C | 0.00 | 3.92 | 0.00 | 3.92 | 94.0 | 3.68 |
| 07/22/2016 | GALGANO, ROBERT | FIRST EAGLE GOLD FUND CLASS C | 0.00 | 2.25 | 0.00 | 2.25 | 94.0 | 2.12 |
| 07/29/2016 | GALGANO, ROBERT | FIRST EAGLE GOLD FUND CLASS C | 0.00 | 2.80 | 0.00 | 2.80 | 94.0 | 2.63 |
| 08/10/2016 | GALGANO, ROBERT | FIRST EAGLE GOLD FUND CLASS C | 0.00 | 2.06 | 0.00 | 2.06 | 94.0 | 1.94 |
| 09/16/2016 | GALGANO, ROBERT | FIRST EAGLE GOLD FUND CLASS C | 0.00 | 2.07 | 0.00 | 2.07 | 94.0 | 1.95 |
| 10/21/2016 | GALGANO, ROBERT | FIRST EAGLE GOLD FUND CLASS C | 0.00 | 1.86 | 0.00 | 1.86 | 94.0 | 1.75 |
| 11/30/2016 | GALGANO, ROBERT | FIRST EAGLE GOLD FUND CLASS C | 0.00 | 1.76 | 0.00 | 1.76 | 94.0 | 1.65 |
| 12/21/2016 | GALGANO, ROBERT | FIRST EAGLE GOLD FUND CLASS C | 0.00 | 1.61 | 0.00 | 1.61 | 94.0 | 1.51 |
| 02/19/2016 | BRANDT, ROSEMARY | JP MORGAN GROWTH ADV A | 0.00 | 2.98 | 0.00 | 2.98 | 94.0 | 2.80 |
| 03/17/2016 | BRANDT, ROSEMARY | JP MORGAN GROWTH ADV A | 0.00 | 2.64 | 0.00 | 2.64 | 94.0 | 2.48 |
| 04/25/2016 | BRANDT, ROSEMARY | JP MORGAN GROWTH ADV A | 0.00 | 3.05 | 0.00 | 3.05 | 94.0 | 2.87 |
| 05/16/2016 | BRANDT, ROSEMARY | JP MORGAN GROWTH ADV A | 0.00 | 3.07 | 0.00 | 3.07 | 94.0 | 2.89 |
| 06/20/2016 | BRANDT, ROSEMARY | JP MORGAN GROWTH ADV A | 0.00 | 3.14 | 0.00 | 3.14 | 94.0 | 2.95 |
| 07/25/2016 | BRANDT, ROSEMARY | JP MORGAN GROWTH ADV A | 0.00 | 3.07 | 0.00 | 3.07 | 94.0 | 2.89 |
| 08/15/2016 | BRANDT, ROSEMARY | JP MORGAN GROWTH ADV A | 0.00 | 3.22 | 0.00 | 3.22 | 94.0 | 3.03 |
| 09/15/2016 | BRANDT, ROSEMARY | JP MORGAN GROWTH ADV A | 0.00 | 3.31 | 0.00 | 3.31 | 94.0 | 3.11 |
| 10/14/2016 | BRANDT, ROSEMARY | JP MORGAN GROWTH ADV A | 0.00 | 3.18 | 0.00 | 3.18 | 94.0 | 2.99 |
| 11/21/2016 | BRANDT, ROSEMARY | JP MORGAN GROWTH ADV A | 0.00 | 3.27 | 0.00 | 3.27 | 94.0 | 3.07 |
| 12/16/2016 | BRANDT, ROSEMARY | JP MORGAN GROWTH ADV A | 0.00 | 3.19 | 0.00 | 3.19 | 94.0 | 3.00 |

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

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

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

| DATE | CLIENT | INVESTMENT | INVESTMENT AMOUNT | GROSS COMMISSION | CLEARING CHARGE | NET COMMISSION | RATE | BROKER COMMISSION |
|--|------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u>SPLIT TRANSACTIONS</u> | | | | | | | | |
| <u>BROKER: G0C-JEFF/DAN/JON PAU FT-NY KIESNO/R #257</u> | | | | | | | | |
| 02/19/2016 | BRANDT, ROSEMARY | JP MORGAN INCOME BUILDER FUND CLASS | 0.00 | 4.81 | 0.00 | 4.81 | 94.0 | 4.52 |
| 03/17/2016 | BRANDT, ROSEMARY | JP MORGAN INCOME BUILDER FUND CLASS | 0.00 | 4.43 | 0.00 | 4.43 | 94.0 | 4.16 |
| 04/25/2016 | BRANDT, ROSEMARY | JP MORGAN INCOME BUILDER FUND CLASS | 0.00 | 4.93 | 0.00 | 4.93 | 94.0 | 4.63 |
| 05/16/2016 | BRANDT, ROSEMARY | JP MORGAN INCOME BUILDER FUND CLASS | 0.00 | 4.85 | 0.00 | 4.85 | 94.0 | 4.56 |
| 06/20/2016 | BRANDT, ROSEMARY | JP MORGAN INCOME BUILDER FUND CLASS | 0.00 | 5.05 | 0.00 | 5.05 | 94.0 | 4.75 |
| 07/25/2016 | BRANDT, ROSEMARY | JP MORGAN INCOME BUILDER FUND CLASS | 0.00 | 4.91 | 0.00 | 4.91 | 94.0 | 4.62 |
| 08/15/2016 | BRANDT, ROSEMARY | JP MORGAN INCOME BUILDER FUND CLASS | 0.00 | 5.19 | 0.00 | 5.19 | 94.0 | 4.88 |
| 09/15/2016 | BRANDT, ROSEMARY | JP MORGAN INCOME BUILDER FUND CLASS | 0.00 | 5.27 | 0.00 | 5.27 | 94.0 | 4.95 |
| 10/14/2016 | BRANDT, ROSEMARY | JP MORGAN INCOME BUILDER FUND CLASS | 0.00 | 5.09 | 0.00 | 5.09 | 94.0 | 4.78 |
| 11/21/2016 | BRANDT, ROSEMARY | JP MORGAN INCOME BUILDER FUND CLASS | 0.00 | 5.27 | 0.00 | 5.27 | 94.0 | 4.95 |
| 12/16/2016 | BRANDT, ROSEMARY | JP MORGAN INCOME BUILDER FUND CLASS | 0.00 | 5.01 | 0.00 | 5.01 | 94.0 | 4.71 |
| 02/19/2016 | BRANDT, ROSEMARY | JP MORGAN U.S. EQUITY FUND CLASS A | 0.00 | 2.83 | 0.00 | 2.83 | 94.0 | 2.66 |
| 03/17/2016 | BRANDT, ROSEMARY | JP MORGAN U.S. EQUITY FUND CLASS A | 0.00 | 2.58 | 0.00 | 2.58 | 94.0 | 2.43 |
| 04/25/2016 | BRANDT, ROSEMARY | JP MORGAN U.S. EQUITY FUND CLASS A | 0.00 | 2.94 | 0.00 | 2.94 | 94.0 | 2.76 |
| 05/16/2016 | BRANDT, ROSEMARY | JP MORGAN U.S. EQUITY FUND CLASS A | 0.00 | 2.94 | 0.00 | 2.94 | 94.0 | 2.76 |
| 06/20/2016 | BRANDT, ROSEMARY | JP MORGAN U.S. EQUITY FUND CLASS A | 0.00 | 3.04 | 0.00 | 3.04 | 94.0 | 2.86 |
| 07/25/2016 | BRANDT, ROSEMARY | JP MORGAN U.S. EQUITY FUND CLASS A | 0.00 | 2.95 | 0.00 | 2.95 | 94.0 | 2.77 |
| 08/15/2016 | BRANDT, ROSEMARY | JP MORGAN U.S. EQUITY FUND CLASS A | 0.00 | 3.13 | 0.00 | 3.13 | 94.0 | 2.94 |
| 09/15/2016 | BRANDT, ROSEMARY | JP MORGAN U.S. EQUITY FUND CLASS A | 0.00 | 3.18 | 0.00 | 3.18 | 94.0 | 2.99 |
| 10/14/2016 | BRANDT, ROSEMARY | JP MORGAN U.S. EQUITY FUND CLASS A | 0.00 | 3.07 | 0.00 | 3.07 | 94.0 | 2.89 |
| 11/21/2016 | BRANDT, ROSEMARY | JP MORGAN U.S. EQUITY FUND CLASS A | 0.00 | 3.18 | 0.00 | 3.18 | 94.0 | 2.99 |
| 12/16/2016 | BRANDT, ROSEMARY | JP MORGAN U.S. EQUITY FUND CLASS A | 0.00 | 3.13 | 0.00 | 3.13 | 94.0 | 2.94 |
| 02/19/2016 | BRANDT, ROSEMARY | JP MORGAN VALUE ADVANTAGE FUND CLAS | 0.00 | 2.70 | 0.00 | 2.70 | 94.0 | 2.54 |
| 03/17/2016 | BRANDT, ROSEMARY | JP MORGAN VALUE ADVANTAGE FUND CLAS | 0.00 | 2.49 | 0.00 | 2.49 | 94.0 | 2.34 |
| 04/25/2016 | BRANDT, ROSEMARY | JP MORGAN VALUE ADVANTAGE FUND CLAS | 0.00 | 2.86 | 0.00 | 2.86 | 94.0 | 2.69 |
| 05/16/2016 | BRANDT, ROSEMARY | JP MORGAN VALUE ADVANTAGE FUND CLAS | 0.00 | 2.82 | 0.00 | 2.82 | 94.0 | 2.65 |
| 06/20/2016 | BRANDT, ROSEMARY | JP MORGAN VALUE ADVANTAGE FUND CLAS | 0.00 | 2.92 | 0.00 | 2.92 | 94.0 | 2.74 |
| 07/25/2016 | BRANDT, ROSEMARY | JP MORGAN VALUE ADVANTAGE FUND CLAS | 0.00 | 2.85 | 0.00 | 2.85 | 94.0 | 2.68 |
| 08/15/2016 | BRANDT, ROSEMARY | JP MORGAN VALUE ADVANTAGE FUND CLAS | 0.00 | 3.03 | 0.00 | 3.03 | 94.0 | 2.85 |
| 09/15/2016 | BRANDT, ROSEMARY | JP MORGAN VALUE ADVANTAGE FUND CLAS | 0.00 | 3.08 | 0.00 | 3.08 | 94.0 | 2.90 |
| 10/14/2016 | BRANDT, ROSEMARY | JP MORGAN VALUE ADVANTAGE FUND CLAS | 0.00 | 2.97 | 0.00 | 2.97 | 94.0 | 2.79 |
| 11/21/2016 | BRANDT, ROSEMARY | JP MORGAN VALUE ADVANTAGE FUND CLAS | 0.00 | 3.07 | 0.00 | 3.07 | 94.0 | 2.89 |
| 12/16/2016 | BRANDT, ROSEMARY | JP MORGAN VALUE ADVANTAGE FUND CLAS | 0.00 | 3.09 | 0.00 | 3.09 | 94.0 | 2.90 |

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| DATE | CLIENT | INVESTMENT | INVESTMENT AMOUNT | GROSS COMMISSION | CLEARING CHARGE | NET COMMISSION | RATE | BROKER COMMISSION |
|---|-----------------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u>SPLIT TRANSACTIONS</u> | | | | | | | | |
| BROKER: G0C-JEFF/DAN/JON PAU FT-NY KIESNO/R #257 | | | | | | | | |
| 02/11/2016 | FORRAI, GERALDINE | KKM U.S. EQUITY ARMOR FUND CLASS A | 0.00 | 2.45 | 0.00 | 2.45 | 94.0 | 2.30 |
| 03/07/2016 | FORRAI, GERALDINE | KKM U.S. EQUITY ARMOR FUND CLASS A | 0.00 | 2.55 | 0.00 | 2.55 | 94.0 | 2.40 |
| 04/11/2016 | FORRAI, GERALDINE | KKM U.S. EQUITY ARMOR FUND CLASS A | 0.00 | 2.62 | 0.00 | 2.62 | 94.0 | 2.46 |
| 05/12/2016 | FORRAI, GERALDINE | KKM U.S. EQUITY ARMOR FUND CLASS A | 0.00 | 2.48 | 0.00 | 2.48 | 94.0 | 2.33 |
| 06/09/2016 | FORRAI, GERALDINE | KKM U.S. EQUITY ARMOR FUND CLASS A | 0.00 | 2.71 | 0.00 | 2.71 | 94.0 | 2.55 |
| 07/13/2016 | FORRAI, GERALDINE | KKM U.S. EQUITY ARMOR FUND CLASS A | 0.00 | 2.55 | 0.00 | 2.55 | 94.0 | 2.40 |
| 08/11/2016 | FORRAI, GERALDINE | KKM U.S. EQUITY ARMOR FUND CLASS A | 0.00 | 2.70 | 0.00 | 2.70 | 94.0 | 2.54 |
| 09/12/2016 | FORRAI, GERALDINE | KKM U.S. EQUITY ARMOR FUND CLASS A | 0.00 | 2.71 | 0.00 | 2.71 | 94.0 | 2.55 |
| 10/11/2016 | FORRAI, GERALDINE | KKM U.S. EQUITY ARMOR FUND CLASS A | 0.00 | 0.69 | 0.00 | 0.69 | 94.0 | 0.65 |
| 02/25/2016 | GALGANO, ROBERT | MAINSTAY CUSHING MLP PREMIER FUND C | 0.00 | 1.44 | 0.00 | 1.44 | 94.0 | 1.35 |
| 03/08/2016 | GALGANO, ROBERT | MAINSTAY CUSHING MLP PREMIER FUND C | 0.00 | 1.21 | 0.00 | 1.21 | 94.0 | 1.14 |
| 04/22/2016 | GALGANO, ROBERT | MAINSTAY CUSHING MLP PREMIER FUND C | 0.00 | 1.46 | 0.00 | 1.46 | 94.0 | 1.37 |
| 05/17/2016 | GALGANO, ROBERT | MAINSTAY CUSHING MLP PREMIER FUND C | 0.00 | 1.53 | 0.00 | 1.53 | 94.0 | 1.44 |
| 06/15/2016 | GALGANO, ROBERT | MAINSTAY CUSHING MLP PREMIER FUND C | 0.00 | 1.76 | 0.00 | 1.76 | 94.0 | 1.65 |
| 07/14/2016 | GALGANO, ROBERT | MAINSTAY CUSHING MLP PREMIER FUND C | 0.00 | 1.78 | 0.00 | 1.78 | 94.0 | 1.67 |
| 08/18/2016 | GALGANO, ROBERT | MAINSTAY CUSHING MLP PREMIER FUND C | 0.00 | 1.89 | 0.00 | 1.89 | 94.0 | 1.78 |
| 09/15/2016 | GALGANO, ROBERT | MAINSTAY CUSHING MLP PREMIER FUND C | 0.00 | 1.90 | 0.00 | 1.90 | 94.0 | 1.79 |
| 10/21/2016 | GALGANO, ROBERT | MAINSTAY CUSHING MLP PREMIER FUND C | 0.00 | 1.85 | 0.00 | 1.85 | 94.0 | 1.74 |
| 11/09/2016 | GALGANO, ROBERT | MAINSTAY CUSHING MLP PREMIER FUND C | 0.00 | 1.92 | 0.00 | 1.92 | 94.0 | 1.80 |
| 12/16/2016 | GALGANO, ROBERT | MAINSTAY CUSHING MLP PREMIER FUND C | 0.00 | 3.69 | 0.00 | 3.69 | 94.0 | 3.47 |
| 02/25/2016 | FORRAI FAMILY TRUST, LESLIE | MAINSTAY CUSHING ROYALTY ENERGY INC | 0.00 | 1.16 | 0.00 | 1.16 | 94.0 | 1.09 |
| 02/25/2016 | BRANDT, ROSEMARY | MAINSTAY CUSHING ROYALTY ENERGY INC | 0.00 | 1.32 | 0.00 | 1.32 | 94.0 | 1.24 |
| 02/25/2016 | BERARDI, JAMES | MAINSTAY CUSHING ROYALTY ENERGY INC | 0.00 | 1.02 | 0.00 | 1.02 | 94.0 | 0.96 |
| 03/08/2016 | FORRAI FAMILY TRUST, LESLIE | MAINSTAY CUSHING ROYALTY ENERGY INC | 0.00 | 1.67 | 0.00 | 1.67 | 94.0 | 1.57 |
| 03/08/2016 | BRANDT, ROSEMARY | MAINSTAY CUSHING ROYALTY ENERGY INC | 0.00 | 1.16 | 0.00 | 1.16 | 94.0 | 1.09 |
| 03/08/2016 | BERARDI, JAMES | MAINSTAY CUSHING ROYALTY ENERGY INC | 0.00 | 0.91 | 0.00 | 0.91 | 94.0 | 0.86 |
| 04/22/2016 | FORRAI FAMILY TRUST, LESLIE | MAINSTAY CUSHING ROYALTY ENERGY INC | 0.00 | 2.30 | 0.00 | 2.30 | 94.0 | 2.16 |
| 04/22/2016 | BRANDT, ROSEMARY | MAINSTAY CUSHING ROYALTY ENERGY INC | 0.00 | 1.37 | 0.00 | 1.37 | 94.0 | 1.29 |
| 04/22/2016 | BERARDI, JAMES | MAINSTAY CUSHING ROYALTY ENERGY INC | 0.00 | 1.07 | 0.00 | 1.07 | 94.0 | 1.01 |
| 05/17/2016 | FORRAI FAMILY TRUST, LESLIE | MAINSTAY CUSHING ROYALTY ENERGY INC | 0.00 | 2.39 | 0.00 | 2.39 | 94.0 | 2.25 |
| 05/17/2016 | BRANDT, ROSEMARY | MAINSTAY CUSHING ROYALTY ENERGY INC | 0.00 | 1.43 | 0.00 | 1.43 | 94.0 | 1.34 |
| 05/17/2016 | BERARDI, JAMES | MAINSTAY CUSHING ROYALTY ENERGY INC | 0.00 | 1.12 | 0.00 | 1.12 | 94.0 | 1.05 |
| 06/15/2016 | FORRAI FAMILY TRUST, LESLIE | MAINSTAY CUSHING ROYALTY ENERGY INC | 0.00 | 2.63 | 0.00 | 2.63 | 94.0 | 2.47 |

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|--|-----------------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u>SPLIT TRANSACTIONS</u> | | | | | | | | |
| <u>BROKER: G0C-JEFF/DAN/JON PAU FT-NY KIESNO/R #257</u> | | | | | | | | |
| 06/15/2016 | BRANDT, ROSEMARY | MAINSTAY CUSHING ROYALTY ENERGY INC | 0.00 | 1.57 | 0.00 | 1.57 | 94.0 | 1.48 |
| 06/15/2016 | BERARDI, JAMES | MAINSTAY CUSHING ROYALTY ENERGY INC | 0.00 | 1.26 | 0.00 | 1.26 | 94.0 | 1.18 |
| 07/14/2016 | FORRAI FAMILY TRUST, LESLIE | MAINSTAY CUSHING ROYALTY ENERGY INC | 0.00 | 2.64 | 0.00 | 2.64 | 94.0 | 2.48 |
| 07/14/2016 | BRANDT, ROSEMARY | MAINSTAY CUSHING ROYALTY ENERGY INC | 0.00 | 1.59 | 0.00 | 1.59 | 94.0 | 1.49 |
| 08/18/2016 | FORRAI FAMILY TRUST, LESLIE | MAINSTAY CUSHING ROYALTY ENERGY INC | 0.00 | 2.79 | 0.00 | 2.79 | 94.0 | 2.62 |
| 08/18/2016 | BRANDT, ROSEMARY | MAINSTAY CUSHING ROYALTY ENERGY INC | 0.00 | 1.68 | 0.00 | 1.68 | 94.0 | 1.58 |
| 09/15/2016 | FORRAI FAMILY TRUST, LESLIE | MAINSTAY CUSHING ROYALTY ENERGY INC | 0.00 | 2.78 | 0.00 | 2.78 | 94.0 | 2.61 |
| 09/15/2016 | BRANDT, ROSEMARY | MAINSTAY CUSHING ROYALTY ENERGY INC | 0.00 | 1.71 | 0.00 | 1.71 | 94.0 | 1.61 |
| 10/21/2016 | FORRAI FAMILY TRUST, LESLIE | MAINSTAY CUSHING ROYALTY ENERGY INC | 0.00 | 2.71 | 0.00 | 2.71 | 94.0 | 2.55 |
| 10/21/2016 | BRANDT, ROSEMARY | MAINSTAY CUSHING ROYALTY ENERGY INC | 0.00 | 1.67 | 0.00 | 1.67 | 94.0 | 1.57 |
| 11/09/2016 | FORRAI FAMILY TRUST, LESLIE | MAINSTAY CUSHING ROYALTY ENERGY INC | 0.00 | 2.87 | 0.00 | 2.87 | 94.0 | 2.70 |
| 11/09/2016 | BRANDT, ROSEMARY | MAINSTAY CUSHING ROYALTY ENERGY INC | 0.00 | 1.79 | 0.00 | 1.79 | 94.0 | 1.68 |
| 12/16/2016 | FORRAI FAMILY TRUST, LESLIE | MAINSTAY CUSHING ROYALTY ENERGY INC | 0.00 | 2.73 | 0.00 | 2.73 | 94.0 | 2.57 |
| 12/16/2016 | BRANDT, ROSEMARY | MAINSTAY CUSHING ROYALTY ENERGY INC | 0.00 | 1.73 | 0.00 | 1.73 | 94.0 | 1.63 |
| 09/12/2016 | BRANDT, ROSEMARY | MILLER CONVERTIBLE BOND FUND CLASS | 0.00 | 1.02 | 0.00 | 1.02 | 94.0 | 0.96 |
| 10/11/2016 | BRANDT, ROSEMARY | MILLER CONVERTIBLE BOND FUND CLASS | 0.00 | 4.40 | 0.00 | 4.40 | 94.0 | 4.14 |
| 11/10/2016 | BRANDT, ROSEMARY | MILLER CONVERTIBLE BOND FUND CLASS | 0.00 | 4.55 | 0.00 | 4.55 | 94.0 | 4.28 |
| 12/12/2016 | BRANDT, ROSEMARY | MILLER CONVERTIBLE BOND FUND CLASS | 0.00 | 4.43 | 0.00 | 4.43 | 94.0 | 4.16 |
| 02/12/2016 | GALGANO, ROBERT | WELLS FARGO ADVANTAGE GOVT SECURITI | 0.00 | 1.46 | 0.00 | 1.46 | 94.0 | 1.37 |
| 03/16/2016 | GALGANO, ROBERT | WELLS FARGO ADVANTAGE GOVT SECURITI | 0.00 | 1.38 | 0.00 | 1.38 | 94.0 | 1.30 |
| 04/15/2016 | GALGANO, ROBERT | WELLS FARGO ADVANTAGE GOVT SECURITI | 0.00 | 1.49 | 0.00 | 1.49 | 94.0 | 1.40 |
| 05/16/2016 | GALGANO, ROBERT | WELLS FARGO ADVANTAGE GOVT SECURITI | 0.00 | 1.45 | 0.00 | 1.45 | 94.0 | 1.36 |
| 06/14/2016 | GALGANO, ROBERT | WELLS FARGO ADVANTAGE GOVT SECURITI | 0.00 | 1.49 | 0.00 | 1.49 | 94.0 | 1.40 |
| 07/18/2016 | GALGANO, ROBERT | WELLS FARGO ADVANTAGE GOVT SECURITI | 0.00 | 1.46 | 0.00 | 1.46 | 94.0 | 1.37 |
| 08/15/2016 | GALGANO, ROBERT | WELLS FARGO ADVANTAGE GOVT SECURITI | 0.00 | 1.52 | 0.00 | 1.52 | 94.0 | 1.43 |
| 09/15/2016 | GALGANO, ROBERT | WELLS FARGO ADVANTAGE GOVT SECURITI | 0.00 | 1.52 | 0.00 | 1.52 | 94.0 | 1.43 |
| 10/12/2016 | GALGANO, ROBERT | WELLS FARGO ADVANTAGE GOVT SECURITI | 0.00 | 1.46 | 0.00 | 1.46 | 94.0 | 1.37 |
| 11/16/2016 | GALGANO, ROBERT | WELLS FARGO ADVANTAGE GOVT SECURITI | 0.00 | 1.50 | 0.00 | 1.50 | 94.0 | 1.41 |
| 12/14/2016 | GALGANO, ROBERT | WELLS FARGO ADVANTAGE GOVT SECURITI | 0.00 | 1.44 | 0.00 | 1.44 | 94.0 | 1.35 |
| 02/12/2016 | GALGANO, ROBERT | WELLS FARGO ADVTG EMERGING MARKETS | 0.00 | 0.95 | 0.00 | 0.95 | 94.0 | 0.89 |
| 03/16/2016 | GALGANO, ROBERT | WELLS FARGO ADVTG EMERGING MARKETS | 0.00 | 0.89 | 0.00 | 0.89 | 94.0 | 0.84 |
| 04/15/2016 | GALGANO, ROBERT | WELLS FARGO ADVTG EMERGING MARKETS | 0.00 | 1.04 | 0.00 | 1.04 | 94.0 | 0.98 |
| 05/16/2016 | GALGANO, ROBERT | WELLS FARGO ADVTG EMERGING MARKETS | 0.00 | 1.06 | 0.00 | 1.06 | 94.0 | 1.00 |

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

| DATE | CLIENT | INVESTMENT | INVESTMENT AMOUNT | GROSS COMMISSION | CLEARING CHARGE | NET COMMISSION | RATE | BROKER COMMISSION |
|--|------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u>SPLIT TRANSACTIONS</u> | | | | | | | | |
| <u>BROKER: G0C-JEFF/DAN/JON PAU FT-NY KIESNO/R #257</u> | | | | | | | | |
| 06/14/2016 | GALGANO, ROBERT | WELLS FARGO ADVTG EMERGING MARKETS | 0.00 | 1.07 | 0.00 | 1.07 | 94.0 | 1.01 |
| 07/18/2016 | GALGANO, ROBERT | WELLS FARGO ADVTG EMERGING MARKETS | 0.00 | 1.07 | 0.00 | 1.07 | 94.0 | 1.01 |
| 08/15/2016 | GALGANO, ROBERT | WELLS FARGO ADVTG EMERGING MARKETS | 0.00 | 1.17 | 0.00 | 1.17 | 94.0 | 1.10 |
| 09/15/2016 | GALGANO, ROBERT | WELLS FARGO ADVTG EMERGING MARKETS | 0.00 | 1.23 | 0.00 | 1.23 | 94.0 | 1.16 |
| 10/12/2016 | GALGANO, ROBERT | WELLS FARGO ADVTG EMERGING MARKETS | 0.00 | 1.18 | 0.00 | 1.18 | 94.0 | 1.11 |
| 11/16/2016 | GALGANO, ROBERT | WELLS FARGO ADVTG EMERGING MARKETS | 0.00 | 1.25 | 0.00 | 1.25 | 94.0 | 1.18 |
| 12/14/2016 | GALGANO, ROBERT | WELLS FARGO ADVTG EMERGING MARKETS | 0.00 | 1.14 | 0.00 | 1.14 | 94.0 | 1.07 |
| * G0C-JEFF/DAN/JON PAU FT-NY KIESNO/R SUBTOTAL * | | | \$0.00 | \$307.18 | \$0.00 | \$307.18 | | \$288.75 |
| <u>BROKER: G0E-DAN/JON P/JEFF FT-NY RAUPP/CIRE #259</u> | | | | | | | | |
| 03/08/2016 | SEITZ, CRAIG | MAINSTAY CUSHING ROYALTY ENERGY INC | 0.00 | 0.28 | 0.00 | 0.28 | 94.0 | 0.26 |
| 04/22/2016 | SEITZ, CRAIG | MAINSTAY CUSHING ROYALTY ENERGY INC | 0.00 | 0.48 | 0.00 | 0.48 | 94.0 | 0.45 |
| 05/17/2016 | SEITZ, CRAIG | MAINSTAY CUSHING ROYALTY ENERGY INC | 0.00 | 0.51 | 0.00 | 0.51 | 94.0 | 0.48 |
| 06/15/2016 | SEITZ, CRAIG | MAINSTAY CUSHING ROYALTY ENERGY INC | 0.00 | 0.56 | 0.00 | 0.56 | 94.0 | 0.53 |
| 07/14/2016 | SEITZ, CRAIG | MAINSTAY CUSHING ROYALTY ENERGY INC | 0.00 | 0.57 | 0.00 | 0.57 | 94.0 | 0.54 |
| 08/18/2016 | SEITZ, CRAIG | MAINSTAY CUSHING ROYALTY ENERGY INC | 0.00 | 0.60 | 0.00 | 0.60 | 94.0 | 0.56 |
| 09/15/2016 | SEITZ, CRAIG | MAINSTAY CUSHING ROYALTY ENERGY INC | 0.00 | 0.61 | 0.00 | 0.61 | 94.0 | 0.57 |
| 10/21/2016 | SEITZ, CRAIG | MAINSTAY CUSHING ROYALTY ENERGY INC | 0.00 | 0.60 | 0.00 | 0.60 | 94.0 | 0.56 |
| 11/09/2016 | SEITZ, CRAIG | MAINSTAY CUSHING ROYALTY ENERGY INC | 0.00 | 0.64 | 0.00 | 0.64 | 94.0 | 0.60 |
| 12/16/2016 | SEITZ, CRAIG | MAINSTAY CUSHING ROYALTY ENERGY INC | 0.00 | 0.62 | 0.00 | 0.62 | 94.0 | 0.58 |
| * G0E-DAN/JON P/JEFF FT-NY RAUPP/CIRE SUBTOTAL * | | | \$0.00 | \$5.47 | \$0.00 | \$5.47 | | \$5.13 |
| <u>BROKER: R134-DAN/JEFF/JON P/ FT-NY RAUPP/KI #272</u> | | | | | | | | |
| 08/15/2016 | DAMONE, DENNIS | JP MORGAN INVESTOR GROWTH & INCOME | 0.00 | 0.44 | 0.00 | 0.44 | 94.0 | 0.41 |
| 09/15/2016 | DAMONE, DENNIS | JP MORGAN INVESTOR GROWTH & INCOME | 0.00 | 0.45 | 0.00 | 0.45 | 94.0 | 0.42 |
| 10/14/2016 | DAMONE, DENNIS | JP MORGAN INVESTOR GROWTH & INCOME | 0.00 | 0.43 | 0.00 | 0.43 | 94.0 | 0.40 |
| 11/21/2016 | DAMONE, DENNIS | JP MORGAN INVESTOR GROWTH & INCOME | 0.00 | 0.45 | 0.00 | 0.45 | 94.0 | 0.42 |
| 12/16/2016 | DAMONE, DENNIS | JP MORGAN INVESTOR GROWTH & INCOME | 0.00 | 0.44 | 0.00 | 0.44 | 94.0 | 0.41 |
| * R134-DAN/JEFF/JON P/ FT-NY RAUPP/KI SUBTOTAL * | | | \$0.00 | \$2.21 | \$0.00 | \$2.21 | | \$2.06 |
| <u>BROKER: P124-JONP/DAN/J FT-FL JUNO CIRE #273</u> | | | | | | | | |
| 02/16/2016 | MORONEY JR, JOHN | AM FUNDS NEW ECONOMY C | 0.00 | 2.96 | 0.00 | 2.96 | 94.0 | 2.78 |
| 03/15/2016 | MORONEY JR, JOHN | AM FUNDS NEW ECONOMY C | 0.00 | 1.54 | 0.00 | 1.54 | 94.0 | 1.45 |
| 02/16/2016 | MORONEY JR, JOHN | AM FUNDS NEW WORLD C | 0.00 | 2.86 | 0.00 | 2.86 | 94.0 | 2.69 |
| 03/15/2016 | MORONEY JR, JOHN | AM FUNDS NEW WORLD C | 0.00 | 1.52 | 0.00 | 1.52 | 94.0 | 1.43 |

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

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

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

| DATE | CLIENT | INVESTMENT | INVESTMENT AMOUNT | GROSS COMMISSION | CLEARING CHARGE | NET COMMISSION | RATE | BROKER COMMISSION |
|---|----------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u>SPLIT TRANSACTIONS</u> | | | | | | | | |
| BROKER: P124-JONP/DAN/J FT-FL JUNO CIRE #273 | | | | | | | | |
| 02/22/2016 | WILKINSKY, KARA-JANE | AMERICAN CENTURY STRATEGIC ALLOC AG | 0.00 | 3.04 | 0.00 | 3.04 | 94.0 | 2.86 |
| 02/22/2016 | WILKINSKY, MATTHEW | AMERICAN CENTURY STRATEGIC ALLOC AG | 0.00 | 2.01 | 0.00 | 2.01 | 94.0 | 1.89 |
| 02/22/2016 | LEEN, RANDY | AMERICAN CENTURY STRATEGIC ALLOC AG | 0.00 | 1.46 | 0.00 | 1.46 | 94.0 | 1.37 |
| 03/16/2016 | WILKINSKY, KARA-JANE | AMERICAN CENTURY STRATEGIC ALLOC AG | 0.00 | 2.79 | 0.00 | 2.79 | 94.0 | 2.62 |
| 03/16/2016 | WILKINSKY, MATTHEW | AMERICAN CENTURY STRATEGIC ALLOC AG | 0.00 | 1.84 | 0.00 | 1.84 | 94.0 | 1.73 |
| 03/16/2016 | LEEN, RANDY | AMERICAN CENTURY STRATEGIC ALLOC AG | 0.00 | 1.34 | 0.00 | 1.34 | 94.0 | 1.26 |
| 04/21/2016 | WILKINSKY, KARA-JANE | AMERICAN CENTURY STRATEGIC ALLOC AG | 0.00 | 3.16 | 0.00 | 3.16 | 94.0 | 2.97 |
| 04/21/2016 | WILKINSKY, MATTHEW | AMERICAN CENTURY STRATEGIC ALLOC AG | 0.00 | 2.08 | 0.00 | 2.08 | 94.0 | 1.96 |
| 04/21/2016 | LEEN, RANDY | AMERICAN CENTURY STRATEGIC ALLOC AG | 0.00 | 1.51 | 0.00 | 1.51 | 94.0 | 1.42 |
| 05/24/2016 | WILKINSKY, KARA-JANE | AMERICAN CENTURY STRATEGIC ALLOC AG | 0.00 | 3.13 | 0.00 | 3.13 | 94.0 | 2.94 |
| 05/24/2016 | WILKINSKY, MATTHEW | AMERICAN CENTURY STRATEGIC ALLOC AG | 0.00 | 2.07 | 0.00 | 2.07 | 94.0 | 1.95 |
| 05/24/2016 | LEEN, RANDY | AMERICAN CENTURY STRATEGIC ALLOC AG | 0.00 | 1.50 | 0.00 | 1.50 | 94.0 | 1.41 |
| 06/10/2016 | WILKINSKY, KARA-JANE | AMERICAN CENTURY STRATEGIC ALLOC AG | 0.00 | 3.23 | 0.00 | 3.23 | 94.0 | 3.04 |
| 06/10/2016 | WILKINSKY, MATTHEW | AMERICAN CENTURY STRATEGIC ALLOC AG | 0.00 | 2.13 | 0.00 | 2.13 | 94.0 | 2.00 |
| 06/10/2016 | LEEN, RANDY | AMERICAN CENTURY STRATEGIC ALLOC AG | 0.00 | 1.55 | 0.00 | 1.55 | 94.0 | 1.46 |
| 07/14/2016 | WILKINSKY, KARA-JANE | AMERICAN CENTURY STRATEGIC ALLOC AG | 0.00 | 3.15 | 0.00 | 3.15 | 94.0 | 2.96 |
| 07/14/2016 | WILKINSKY, MATTHEW | AMERICAN CENTURY STRATEGIC ALLOC AG | 0.00 | 2.08 | 0.00 | 2.08 | 94.0 | 1.96 |
| 07/14/2016 | LEEN, RANDY | AMERICAN CENTURY STRATEGIC ALLOC AG | 0.00 | 1.51 | 0.00 | 1.51 | 94.0 | 1.42 |
| 08/19/2016 | WILKINSKY, KARA-JANE | AMERICAN CENTURY STRATEGIC ALLOC AG | 0.00 | 3.33 | 0.00 | 3.33 | 94.0 | 3.13 |
| 08/19/2016 | WILKINSKY, MATTHEW | AMERICAN CENTURY STRATEGIC ALLOC AG | 0.00 | 2.20 | 0.00 | 2.20 | 94.0 | 2.07 |
| 08/19/2016 | LEEN, RANDY | AMERICAN CENTURY STRATEGIC ALLOC AG | 0.00 | 1.59 | 0.00 | 1.59 | 94.0 | 1.49 |
| 09/19/2016 | WILKINSKY, KARA-JANE | AMERICAN CENTURY STRATEGIC ALLOC AG | 0.00 | 3.40 | 0.00 | 3.40 | 94.0 | 3.20 |
| 09/19/2016 | WILKINSKY, MATTHEW | AMERICAN CENTURY STRATEGIC ALLOC AG | 0.00 | 2.24 | 0.00 | 2.24 | 94.0 | 2.11 |
| 09/19/2016 | LEEN, RANDY | AMERICAN CENTURY STRATEGIC ALLOC AG | 0.00 | 1.63 | 0.00 | 1.63 | 94.0 | 1.53 |
| 10/20/2016 | WILKINSKY, KARA-JANE | AMERICAN CENTURY STRATEGIC ALLOC AG | 0.00 | 0.34 | 0.00 | 0.34 | 94.0 | 0.32 |
| 10/20/2016 | WILKINSKY, KARA-JANE | AMERICAN CENTURY STRATEGIC ALLOC AG | 0.00 | 3.28 | 0.00 | 3.28 | 94.0 | 3.08 |
| 10/20/2016 | WILKINSKY, MATTHEW | AMERICAN CENTURY STRATEGIC ALLOC AG | 0.00 | 2.17 | 0.00 | 2.17 | 94.0 | 2.04 |
| 10/20/2016 | LEEN, RANDY | AMERICAN CENTURY STRATEGIC ALLOC AG | 0.00 | 1.57 | 0.00 | 1.57 | 94.0 | 1.48 |
| 11/18/2016 | WILKINSKY, KARA-JANE | AMERICAN CENTURY STRATEGIC ALLOC AG | 0.00 | 0.55 | 0.00 | 0.55 | 94.0 | 0.52 |
| 11/18/2016 | WILKINSKY, KARA-JANE | AMERICAN CENTURY STRATEGIC ALLOC AG | 0.00 | 3.38 | 0.00 | 3.38 | 94.0 | 3.18 |
| 11/18/2016 | WILKINSKY, MATTHEW | AMERICAN CENTURY STRATEGIC ALLOC AG | 0.00 | 2.23 | 0.00 | 2.23 | 94.0 | 2.10 |
| 11/18/2016 | LEEN, RANDY | AMERICAN CENTURY STRATEGIC ALLOC AG | 0.00 | 1.62 | 0.00 | 1.62 | 94.0 | 1.52 |
| 12/19/2016 | WILKINSKY, KARA-JANE | AMERICAN CENTURY STRATEGIC ALLOC AG | 0.00 | 0.58 | 0.00 | 0.58 | 94.0 | 0.55 |

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| DATE | CLIENT | INVESTMENT | INVESTMENT AMOUNT | GROSS COMMISSION | CLEARING CHARGE | NET COMMISSION | RATE | BROKER COMMISSION |
|---|-----------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u>SPLIT TRANSACTIONS</u> | | | | | | | | |
| BROKER: P124-JONP/DAN/J FT-FL JUNO CIRE #273 | | | | | | | | |
| 12/19/2016 | WILKINSKY, KARA-JANE | AMERICAN CENTURY STRATEGIC ALLOC AG | 0.00 | 3.25 | 0.00 | 3.25 | 94.0 | 3.06 |
| 12/19/2016 | WILKINSKY, MATTHEW | AMERICAN CENTURY STRATEGIC ALLOC AG | 0.00 | 2.14 | 0.00 | 2.14 | 94.0 | 2.01 |
| 12/19/2016 | LEEN, RANDY | AMERICAN CENTURY STRATEGIC ALLOC AG | 0.00 | 1.55 | 0.00 | 1.55 | 94.0 | 1.46 |
| 02/15/2018 | WILKINSKY, KARA-JANE | AMERICAN CENTURY STRATEGIC ALLOC AG | 2,004.62 | 17.59 | 5.94 | 11.65 | 94.0 | 10.95 |
| 05/19/2016 | ABRAMS, RAFAEL | BLUEROCK TOTAL INC & REAL ESTATE FU | 0.00 | 0.15 | 0.00 | 0.15 | 94.0 | 0.14 |
| 06/23/2016 | ABRAMS, RAFAEL | BLUEROCK TOTAL INC & REAL ESTATE FU | 0.00 | 0.67 | 0.00 | 0.67 | 94.0 | 0.63 |
| 07/11/2016 | ABRAMS, RAFAEL | BLUEROCK TOTAL INC & REAL ESTATE FU | 0.00 | 0.63 | 0.00 | 0.63 | 94.0 | 0.59 |
| 08/15/2016 | ABRAMS, RAFAEL | BLUEROCK TOTAL INC & REAL ESTATE FU | 0.00 | 0.66 | 0.00 | 0.66 | 94.0 | 0.62 |
| 09/12/2016 | ABRAMS, RAFAEL | BLUEROCK TOTAL INC & REAL ESTATE FU | 0.00 | 0.66 | 0.00 | 0.66 | 94.0 | 0.62 |
| 10/14/2016 | ABRAMS, RAFAEL | BLUEROCK TOTAL INC & REAL ESTATE FU | 0.00 | 0.64 | 0.00 | 0.64 | 94.0 | 0.60 |
| 10/14/2016 | JA, WILLIAM | BLUEROCK TOTAL INC & REAL ESTATE FU | 0.00 | 1.41 | 0.00 | 1.41 | 94.0 | 1.33 |
| 11/17/2016 | ABRAMS, RAFAEL | BLUEROCK TOTAL INC & REAL ESTATE FU | 0.00 | 0.66 | 0.00 | 0.66 | 94.0 | 0.62 |
| 12/12/2016 | ABRAMS, RAFAEL | BLUEROCK TOTAL INC & REAL ESTATE FU | 0.00 | 0.65 | 0.00 | 0.65 | 94.0 | 0.61 |
| 02/12/2016 | MORONEY JR, JOHN | COLUMBIA DIVIDEND OPP B | 0.00 | 2.70 | 0.00 | 2.70 | 94.0 | 2.54 |
| 03/14/2016 | MORONEY JR, JOHN | COLUMBIA DIVIDEND OPP B | 0.00 | 1.58 | 0.00 | 1.58 | 94.0 | 1.49 |
| 02/07/2018 | MORONEY, PHYLLIS | COTTONWOOD RESIDENTIAL 2016 PREFR'D | 100,000.00 | 1,890.00 | 0.00 | 1,890.00 | 94.0 | 1,776.60 |
| 02/09/2018 | WASSERMAN TRUST, NINA | DODGE & COX STOCK FUND | -26,378.91 | 0.00 | 5.94 | -5.94 | 94.0 | -5.58 |
| 02/10/2016 | MORONEY JR, JOHN | DREYFUS OPPORTUNISTIC MIDCAP VALUE | 0.00 | 3.02 | 0.00 | 3.02 | 94.0 | 2.84 |
| 03/10/2016 | MORONEY JR, JOHN | DREYFUS OPPORTUNISTIC MIDCAP VALUE | 0.00 | 1.69 | 0.00 | 1.69 | 94.0 | 1.59 |
| 02/23/2016 | MORONEY JR, JOHN | GABELLI SMALL CAP GROWTH FD CLASS C | 0.00 | 2.11 | 0.00 | 2.11 | 94.0 | 1.98 |
| 03/21/2016 | MORONEY JR, JOHN | GABELLI SMALL CAP GROWTH FD CLASS C | 0.00 | 1.13 | 0.00 | 1.13 | 94.0 | 1.06 |
| 02/16/2016 | MORONEY, PHYLLIS | GOLDMAN SACHS MLP ENERGY INFRASTRUC | 0.00 | 3.79 | 0.00 | 3.79 | 94.0 | 3.56 |
| 03/16/2016 | MORONEY, PHYLLIS | GOLDMAN SACHS MLP ENERGY INFRASTRUC | 0.00 | 1.88 | 0.00 | 1.88 | 94.0 | 1.77 |
| 04/22/2016 | WILKINSKY, KARA-JANE | GRIFFIN INSTITUTIONAL ACCESS REAL E | 0.00 | 3.22 | 0.00 | 3.22 | 94.0 | 3.03 |
| 04/22/2016 | WILKINSKY, MATTHEW | GRIFFIN INSTITUTIONAL ACCESS REAL E | 0.00 | 2.58 | 0.00 | 2.58 | 94.0 | 2.43 |
| 08/01/2016 | ABRAMS, RAFAEL | GRIFFIN INSTITUTIONAL ACCESS REAL E | 0.00 | 1.47 | 0.00 | 1.47 | 94.0 | 1.38 |
| 08/01/2016 | WILKINSKY, KARA-JANE | GRIFFIN INSTITUTIONAL ACCESS REAL E | 0.00 | 3.29 | 0.00 | 3.29 | 94.0 | 3.09 |
| 08/01/2016 | WILKINSKY, MATTHEW | GRIFFIN INSTITUTIONAL ACCESS REAL E | 0.00 | 2.64 | 0.00 | 2.64 | 94.0 | 2.48 |
| 10/17/2016 | ABRAMS, RAFAEL | GRIFFIN INSTITUTIONAL ACCESS REAL E | 0.00 | 1.97 | 0.00 | 1.97 | 94.0 | 1.85 |
| 10/17/2016 | WILKINSKY, KARA-JANE | GRIFFIN INSTITUTIONAL ACCESS REAL E | 0.00 | 3.40 | 0.00 | 3.40 | 94.0 | 3.20 |
| 10/17/2016 | WILKINSKY, MATTHEW | GRIFFIN INSTITUTIONAL ACCESS REAL E | 0.00 | 2.72 | 0.00 | 2.72 | 94.0 | 2.56 |
| 10/17/2016 | JA, WILLIAM | GRIFFIN INSTITUTIONAL ACCESS REAL E | 0.00 | 1.48 | 0.00 | 1.48 | 94.0 | 1.39 |
| 02/12/2016 | MORONEY JR, JOHN | HENDERSON EUROPEAN FOCUS FUND CLASS | 0.00 | 3.01 | 0.00 | 3.01 | 94.0 | 2.83 |

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|--|-------------------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u>SPLIT TRANSACTIONS</u> | | | | | | | | |
| <u>BROKER: P124-JONP/DAN/J FT-FL JUNO CIRE #273</u> | | | | | | | | |
| 03/18/2016 | MORONEY JR, JOHN | HENDERSON EUROPEAN FOCUS FUND CLASS | 0.00 | 1.54 | 0.00 | 1.54 | 94.0 | 1.45 |
| 02/12/2016 | MORONEY, PHYLLIS | HENDERSON INTL OPPORTUNITIES FUND C | 0.00 | 1.61 | 0.00 | 1.61 | 94.0 | 1.51 |
| 03/18/2016 | MORONEY, PHYLLIS | HENDERSON INTL OPPORTUNITIES FUND C | 0.00 | 0.84 | 0.00 | 0.84 | 94.0 | 0.79 |
| 02/14/2018 | FLAHERTY, STEPHEN | ING PREMIUM PLUS | 60,431.27 | 10.20 | 0.00 | 10.20 | 94.0 | 9.59 |
| 02/14/2018 | FLAHERTY, PATRICIA | ING PREMIUM PLUS | 30,852.66 | 5.21 | 0.00 | 5.21 | 94.0 | 4.90 |
| 12/16/2016 | BARAG, STANLEY | MAINSTAY EPOCH GLOBAL EQUITY YIELD | 0.00 | 0.11 | 0.00 | 0.11 | 94.0 | 0.10 |
| 12/19/2016 | BARAG, STANLEY | MFS UTILITIES A | 0.00 | 0.07 | 0.00 | 0.07 | 94.0 | 0.07 |
| 02/22/2016 | MORONEY JR, JOHN | OPPENHEIMER STEELPATH MLP INCOME FU | 0.00 | 2.10 | 0.00 | 2.10 | 94.0 | 1.97 |
| 03/17/2016 | MORONEY JR, JOHN | OPPENHEIMER STEELPATH MLP INCOME FU | 0.00 | 1.05 | 0.00 | 1.05 | 94.0 | 0.99 |
| 02/22/2016 | MORONEY JR, JOHN | PIMCO INCOME FUND CLASS A | 0.00 | 2.70 | 0.00 | 2.70 | 94.0 | 2.54 |
| 03/11/2016 | MORONEY JR, JOHN | PIMCO INCOME FUND CLASS A | 0.00 | 1.41 | 0.00 | 1.41 | 94.0 | 1.33 |
| 02/25/2016 | MORONEY JR, JOHN | VOYA CORPORATE LEADERS 100 FUND CLA | 0.00 | 5.15 | 0.00 | 5.15 | 94.0 | 4.84 |
| 03/21/2016 | MORONEY JR, JOHN | VOYA CORPORATE LEADERS 100 FUND CLA | 0.00 | 2.93 | 0.00 | 2.93 | 94.0 | 2.75 |
| * P124-JONP/DAN/J FT-FL JUNO CIRE SUBTOTAL * | | | \$166,909.64 | \$2,077.83 | \$11.88 | \$2,065.95 | | \$1,942.05 |
| <u>BROKER: R141-DAN/ROY/JEFF/JP FT-RAU/PFLEG/K #381</u> | | | | | | | | |
| 02/12/2018 | POWERS LIVING TRUST, JONATHAN | INLAND CHICAGOLAND SUPERMARKET DST | 511,401.05 | 3,196.26 | 0.00 | 3,196.26 | 94.0 | 3,004.48 |
| 02/21/2018 | HASON REV TRUST, KENNETH | INLAND CHICAGOLAND SUPERMARKET DST | 1,354,104.17 | 8,463.15 | 0.00 | 8,463.15 | 94.0 | 7,955.36 |
| 02/22/2018 | BLUE SEAL REALTY | INLAND CHICAGOLAND SUPERMARKET DST | 4,284,011.94 | 26,775.08 | 0.00 | 26,775.08 | 94.0 | 25,168.58 |
| 02/22/2018 | BLACK SEAL REALTY | INLAND CHICAGOLAND SUPERMARKET DST | 800,791.07 | 5,004.94 | 0.00 | 5,004.94 | 94.0 | 4,704.64 |
| 02/12/2018 | POWERS LIVING TRUST, JONATHAN | INLAND ZERO COUPON PHARM'Y VIII DST | 128,000.00 | 800.00 | 0.00 | 800.00 | 94.0 | 752.00 |
| 10/21/2016 | RASMUSSEN, MELANIE | MAINSTAY MODERATE GROWTH ALLOCATION | 0.00 | 0.11 | 0.00 | 0.11 | 94.0 | 0.10 |
| 11/09/2016 | RASMUSSEN, MELANIE | MAINSTAY MODERATE GROWTH ALLOCATION | 0.00 | 0.21 | 0.00 | 0.21 | 94.0 | 0.20 |
| 12/16/2016 | RASMUSSEN, MELANIE | MAINSTAY MODERATE GROWTH ALLOCATION | 0.00 | 0.20 | 0.00 | 0.20 | 94.0 | 0.19 |
| 12/12/2016 | RASMUSSEN, MELANIE | MILLER CONVERTIBLE BOND FUND CLASS | 0.00 | 0.99 | 0.00 | 0.99 | 94.0 | 0.93 |
| 10/17/2016 | RASMUSSEN, MELANIE | PIONEER FUND A | 0.00 | 0.02 | 0.00 | 0.02 | 94.0 | 0.02 |
| 11/18/2016 | RASMUSSEN, MELANIE | PIONEER FUND A | 0.00 | 0.04 | 0.00 | 0.04 | 94.0 | 0.04 |
| 12/16/2016 | RASMUSSEN, MELANIE | PIONEER FUND A | 0.00 | 0.04 | 0.00 | 0.04 | 94.0 | 0.04 |
| 10/17/2016 | RASMUSSEN, MELANIE | PIONEER FUNDAMENTAL GROWTH A | 0.00 | 0.05 | 0.00 | 0.05 | 94.0 | 0.05 |
| 11/18/2016 | RASMUSSEN, MELANIE | PIONEER FUNDAMENTAL GROWTH A | 0.00 | 0.09 | 0.00 | 0.09 | 94.0 | 0.08 |
| 12/16/2016 | RASMUSSEN, MELANIE | PIONEER FUNDAMENTAL GROWTH A | 0.00 | 0.09 | 0.00 | 0.09 | 94.0 | 0.08 |
| 10/20/2016 | RASMUSSEN, MELANIE | THE GABELLI UTILITIES FUND CLASS A | 0.00 | 0.06 | 0.00 | 0.06 | 94.0 | 0.06 |
| 11/22/2016 | RASMUSSEN, MELANIE | THE GABELLI UTILITIES FUND CLASS A | 0.00 | 0.10 | 0.00 | 0.10 | 94.0 | 0.09 |
| 12/27/2016 | RASMUSSEN, MELANIE | THE GABELLI UTILITIES FUND CLASS A | 0.00 | 0.10 | 0.00 | 0.10 | 94.0 | 0.09 |

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| DATE | CLIENT | INVESTMENT | INVESTMENT AMOUNT | GROSS COMMISSION | CLEARING CHARGE | NET COMMISSION | RATE | BROKER COMMISSION |
|--|--------|------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u> OVERRIDE TRANSACTIONS </u> | | | | | | | | |
| <u> BROKER: ALAN, L133 LICHTENSTEIN #249 </u> | | | | | | | | |
| * R141-DAN/ROY/JEFF/JP FT-RAU/PFLEG/K SUBTOTAL * | | | \$7,078,308.23 | \$44,241.53 | \$0.00 | \$44,241.53 | | \$41,587.03 |
| *** SPLIT TRANSACTIONS TOTAL *** | | | \$7,266,785.99 | \$51,020.81 | \$15.26 | \$51,005.55 | | \$47,945.24 |

| | | | | | | | | |
|--|-----------------------|-------------------------------------|------|-------|------|-------|------|------|
| <u> OVERRIDE TRANSACTIONS </u> | | | | | | | | |
| <u> BROKER: ALAN, L133 LICHTENSTEIN #249 </u> | | | | | | | | |
| 07/18/2016 | RUSSO REV TR, EUGENIE | AM FUNDS CAPITAL WORLD GRTH & INC C | 0.00 | 3.59 | 0.00 | 3.59 | 75.0 | 0.45 |
| 08/15/2016 | RUSSO REV TR, EUGENIE | AM FUNDS CAPITAL WORLD GRTH & INC C | 0.00 | 3.81 | 0.00 | 3.81 | 75.0 | 0.48 |
| 09/16/2016 | RUSSO REV TR, EUGENIE | AM FUNDS CAPITAL WORLD GRTH & INC C | 0.00 | 3.90 | 0.00 | 3.90 | 75.0 | 0.49 |
| 10/17/2016 | RUSSO REV TR, EUGENIE | AM FUNDS CAPITAL WORLD GRTH & INC C | 0.00 | 3.78 | 0.00 | 3.78 | 75.0 | 0.47 |
| 11/18/2016 | RUSSO REV TR, EUGENIE | AM FUNDS CAPITAL WORLD GRTH & INC C | 0.00 | 3.87 | 0.00 | 3.87 | 75.0 | 0.48 |
| 12/15/2016 | RUSSO REV TR, EUGENIE | AM FUNDS CAPITAL WORLD GRTH & INC C | 0.00 | 3.69 | 0.00 | 3.69 | 75.0 | 0.46 |
| 07/29/2016 | RUSSO REV TR, EUGENIE | BLK HIGH YIELD BOND A | 0.00 | 2.75 | 0.00 | 2.75 | 75.0 | 0.34 |
| 08/30/2016 | RUSSO REV TR, EUGENIE | BLK HIGH YIELD BOND A | 0.00 | 2.91 | 0.00 | 2.91 | 75.0 | 0.36 |
| 09/29/2016 | RUSSO REV TR, EUGENIE | BLK HIGH YIELD BOND A | 0.00 | 2.96 | 0.00 | 2.96 | 75.0 | 0.37 |
| 10/27/2016 | RUSSO REV TR, EUGENIE | BLK HIGH YIELD BOND A | 0.00 | 2.88 | 0.00 | 2.88 | 75.0 | 0.36 |
| 11/28/2016 | RUSSO REV TR, EUGENIE | BLK HIGH YIELD BOND A | 0.00 | 3.02 | 0.00 | 3.02 | 75.0 | 0.38 |
| 12/21/2016 | RUSSO REV TR, EUGENIE | BLK HIGH YIELD BOND A | 0.00 | 2.89 | 0.00 | 2.89 | 75.0 | 0.36 |
| 02/16/2016 | WITKIN, CAROL ANN | FRANKLIN INCOME A | 0.00 | 0.78 | 0.00 | 0.78 | 75.0 | 0.10 |
| 03/16/2016 | WITKIN, CAROL ANN | FRANKLIN INCOME A | 0.00 | 0.72 | 0.00 | 0.72 | 75.0 | 0.09 |
| 04/15/2016 | WITKIN, CAROL ANN | FRANKLIN INCOME A | 0.00 | 0.82 | 0.00 | 0.82 | 75.0 | 0.10 |
| 05/13/2016 | WITKIN, CAROL ANN | FRANKLIN INCOME A | 0.00 | 0.81 | 0.00 | 0.81 | 75.0 | 0.10 |
| 06/14/2016 | WITKIN, CAROL ANN | FRANKLIN INCOME A | 0.00 | 0.85 | 0.00 | 0.85 | 75.0 | 0.11 |
| 07/14/2016 | WITKIN, CAROL ANN | FRANKLIN INCOME A | 0.00 | 0.83 | 0.00 | 0.83 | 75.0 | 0.10 |
| 08/15/2016 | WITKIN, CAROL ANN | FRANKLIN INCOME A | 0.00 | 0.88 | 0.00 | 0.88 | 75.0 | 0.11 |
| 09/14/2016 | WITKIN, CAROL ANN | FRANKLIN INCOME A | 0.00 | 0.90 | 0.00 | 0.90 | 75.0 | 0.11 |
| 10/18/2016 | WITKIN, CAROL ANN | FRANKLIN INCOME A | 0.00 | 0.87 | 0.00 | 0.87 | 75.0 | 0.11 |
| 11/15/2016 | WITKIN, CAROL ANN | FRANKLIN INCOME A | 0.00 | 0.90 | 0.00 | 0.90 | 75.0 | 0.11 |
| 12/16/2016 | WITKIN, CAROL ANN | FRANKLIN INCOME A | 0.00 | 0.87 | 0.00 | 0.87 | 75.0 | 0.11 |
| 07/15/2016 | RUSSO REV TR, EUGENIE | LOOMIS SAYLES STRATEGIC INCOME FUND | 0.00 | 10.62 | 0.00 | 10.62 | 75.0 | 1.33 |
| 08/10/2016 | RUSSO REV TR, EUGENIE | LOOMIS SAYLES STRATEGIC INCOME FUND | 0.00 | 10.86 | 0.00 | 10.86 | 75.0 | 1.36 |
| 09/12/2016 | RUSSO REV TR, EUGENIE | LOOMIS SAYLES STRATEGIC INCOME FUND | 0.00 | 10.95 | 0.00 | 10.95 | 75.0 | 1.37 |
| 10/13/2016 | RUSSO REV TR, EUGENIE | LOOMIS SAYLES STRATEGIC INCOME FUND | 0.00 | 10.61 | 0.00 | 10.61 | 75.0 | 1.33 |

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

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

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

| DATE | CLIENT | INVESTMENT | INVESTMENT AMOUNT | GROSS COMMISSION | CLEARING CHARGE | NET COMMISSION | RATE | BROKER COMMISSION |
|--|-----------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u> OVERRIDE TRANSACTIONS </u> | | | | | | | | |
| <u> BROKER: ALAN, L133 LICHTENSTEIN #249 </u> | | | | | | | | |
| 11/10/2016 | RUSSO REV TR, EUGENIE | LOOMIS SAYLES STRATEGIC INCOME FUND | 0.00 | 10.95 | 0.00 | 10.95 | 75.0 | 1.37 |
| 12/12/2016 | RUSSO REV TR, EUGENIE | LOOMIS SAYLES STRATEGIC INCOME FUND | 0.00 | 10.44 | 0.00 | 10.44 | 75.0 | 1.31 |
| 07/19/2016 | RUSSO REV TR, EUGENIE | PRINCIPAL FUNDS GLOBAL DIVERSIFIED | 0.00 | 1.87 | 0.00 | 1.87 | 75.0 | 0.23 |
| 08/17/2016 | RUSSO REV TR, EUGENIE | PRINCIPAL FUNDS GLOBAL DIVERSIFIED | 0.00 | 1.98 | 0.00 | 1.98 | 75.0 | 0.25 |
| 09/19/2016 | RUSSO REV TR, EUGENIE | PRINCIPAL FUNDS GLOBAL DIVERSIFIED | 0.00 | 2.01 | 0.00 | 2.01 | 75.0 | 0.25 |
| 10/18/2016 | RUSSO REV TR, EUGENIE | PRINCIPAL FUNDS GLOBAL DIVERSIFIED | 0.00 | 1.95 | 0.00 | 1.95 | 75.0 | 0.24 |
| 11/18/2016 | RUSSO REV TR, EUGENIE | PRINCIPAL FUNDS GLOBAL DIVERSIFIED | 0.00 | 2.02 | 0.00 | 2.02 | 75.0 | 0.25 |
| 12/19/2016 | RUSSO REV TR, EUGENIE | PRINCIPAL FUNDS GLOBAL DIVERSIFIED | 0.00 | 1.93 | 0.00 | 1.93 | 75.0 | 0.24 |
| * ALAN, L133 LICHTENSTEIN SUBTOTAL * | | | \$0.00 | \$125.47 | \$0.00 | \$125.47 | | \$15.68 |
| <u> BROKER: MARC, L134 LINSKY #263 </u> | | | | | | | | |
| 02/08/2016 | CENTANNI, RICHARD | ALLIANCEBERNSTEIN SMALL/MID CAP VAL | 0.00 | 0.62 | 0.00 | 0.62 | 90.0 | 0.01 |
| 03/09/2016 | CENTANNI, RICHARD | ALLIANCEBERNSTEIN SMALL/MID CAP VAL | 0.00 | 0.57 | 0.00 | 0.57 | 90.0 | 0.01 |
| 04/18/2016 | CENTANNI, RICHARD | ALLIANCEBERNSTEIN SMALL/MID CAP VAL | 0.00 | 0.68 | 0.00 | 0.68 | 90.0 | 0.01 |
| 05/11/2016 | CENTANNI, RICHARD | ALLIANCEBERNSTEIN SMALL/MID CAP VAL | 0.00 | 0.67 | 0.00 | 0.67 | 90.0 | 0.01 |
| 06/10/2016 | CENTANNI, RICHARD | ALLIANCEBERNSTEIN SMALL/MID CAP VAL | 0.00 | 0.69 | 0.00 | 0.69 | 90.0 | 0.01 |
| 07/18/2016 | CENTANNI, RICHARD | ALLIANCEBERNSTEIN SMALL/MID CAP VAL | 0.00 | 0.69 | 0.00 | 0.69 | 90.0 | 0.01 |
| 08/08/2016 | CENTANNI, RICHARD | ALLIANCEBERNSTEIN SMALL/MID CAP VAL | 0.00 | 0.72 | 0.00 | 0.72 | 90.0 | 0.01 |
| 09/12/2016 | CENTANNI, RICHARD | ALLIANCEBERNSTEIN SMALL/MID CAP VAL | 0.00 | 0.74 | 0.00 | 0.74 | 90.0 | 0.01 |
| 10/20/2016 | CENTANNI, RICHARD | ALLIANCEBERNSTEIN SMALL/MID CAP VAL | 0.00 | 0.72 | 0.00 | 0.72 | 90.0 | 0.01 |
| 11/11/2016 | CENTANNI, RICHARD | ALLIANCEBERNSTEIN SMALL/MID CAP VAL | 0.00 | 0.75 | 0.00 | 0.75 | 90.0 | 0.01 |
| 12/12/2016 | CENTANNI, RICHARD | ALLIANCEBERNSTEIN SMALL/MID CAP VAL | 0.00 | 0.76 | 0.00 | 0.76 | 90.0 | 0.01 |
| 02/08/2016 | TRICHON, DONNA-LYNN | ALLIANCEBERNSTEIN SMALL/MID-CAP GRW | 0.00 | 8.86 | 0.00 | 8.86 | 90.0 | 0.15 |
| 03/09/2016 | TRICHON, DONNA-LYNN | ALLIANCEBERNSTEIN SMALL/MID-CAP GRW | 0.00 | 7.78 | 0.00 | 7.78 | 90.0 | 0.13 |
| 04/18/2016 | TRICHON, DONNA-LYNN | ALLIANCEBERNSTEIN SMALL/MID-CAP GRW | 0.00 | 9.02 | 0.00 | 9.02 | 90.0 | 0.15 |
| 05/11/2016 | TRICHON, DONNA-LYNN | ALLIANCEBERNSTEIN SMALL/MID-CAP GRW | 0.00 | 9.02 | 0.00 | 9.02 | 90.0 | 0.15 |
| 06/10/2016 | TRICHON, DONNA-LYNN | ALLIANCEBERNSTEIN SMALL/MID-CAP GRW | 0.00 | 9.31 | 0.00 | 9.31 | 90.0 | 0.16 |
| 07/18/2016 | TRICHON, DONNA-LYNN | ALLIANCEBERNSTEIN SMALL/MID-CAP GRW | 0.00 | 9.19 | 0.00 | 9.19 | 90.0 | 0.16 |
| 08/08/2016 | TRICHON, DONNA-LYNN | ALLIANCEBERNSTEIN SMALL/MID-CAP GRW | 0.00 | 9.74 | 0.00 | 9.74 | 90.0 | 0.17 |
| 09/12/2016 | TRICHON, DONNA-LYNN | ALLIANCEBERNSTEIN SMALL/MID-CAP GRW | 0.00 | 10.01 | 0.00 | 10.01 | 90.0 | 0.17 |
| 10/20/2016 | TRICHON, DONNA-LYNN | ALLIANCEBERNSTEIN SMALL/MID-CAP GRW | 0.00 | 9.65 | 0.00 | 9.65 | 90.0 | 0.16 |
| 11/11/2016 | TRICHON, DONNA-LYNN | ALLIANCEBERNSTEIN SMALL/MID-CAP GRW | 0.00 | 9.78 | 0.00 | 9.78 | 90.0 | 0.17 |
| 12/12/2016 | TRICHON, DONNA-LYNN | ALLIANCEBERNSTEIN SMALL/MID-CAP GRW | 0.00 | 9.77 | 0.00 | 9.77 | 90.0 | 0.17 |
| 09/19/2016 | CHIECO, DANIEL | AM CENT EQUITY INCOME | 0.00 | 0.54 | 0.00 | 0.54 | 90.0 | 0.01 |

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|--|-----------------------|------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u> OVERRIDE TRANSACTIONS </u> | | | | | | | | |
| <u> BROKER: MARC, L134 LINSKY #263 </u> | | | | | | | | |
| 10/20/2016 | CHIECO, DANIEL | AM CENT EQUITY INCOME | 0.00 | 2.68 | 0.00 | 2.68 | 90.0 | 0.05 |
| 11/18/2016 | CHIECO, DANIEL | AM CENT EQUITY INCOME | 0.00 | 2.79 | 0.00 | 2.79 | 90.0 | 0.05 |
| 12/19/2016 | CHIECO, DANIEL | AM CENT EQUITY INCOME | 0.00 | 2.85 | 0.00 | 2.85 | 90.0 | 0.05 |
| 02/15/2018 | CHIECO, DANIEL | AM CENT EQUITY INCOME | 1,204.86 | 60.24 | 22.00 | 38.24 | 90.0 | 0.65 |
| 02/16/2016 | MEDIA ENTERPRISES | AM FUNDS AMCAP A | 0.00 | 2.86 | 0.00 | 2.86 | 90.0 | 0.05 |
| 03/15/2016 | MEDIA ENTERPRISES | AM FUNDS AMCAP A | 0.00 | 2.63 | 0.00 | 2.63 | 90.0 | 0.04 |
| 04/20/2016 | MEDIA ENTERPRISES | AM FUNDS AMCAP A | 0.00 | 3.01 | 0.00 | 3.01 | 90.0 | 0.05 |
| 05/16/2016 | MEDIA ENTERPRISES | AM FUNDS AMCAP A | 0.00 | 3.00 | 0.00 | 3.00 | 90.0 | 0.05 |
| 06/15/2016 | MEDIA ENTERPRISES | AM FUNDS AMCAP A | 0.00 | 3.09 | 0.00 | 3.09 | 90.0 | 0.05 |
| 07/18/2016 | MEDIA ENTERPRISES | AM FUNDS AMCAP A | 0.00 | 3.03 | 0.00 | 3.03 | 90.0 | 0.05 |
| 08/15/2016 | MEDIA ENTERPRISES | AM FUNDS AMCAP A | 0.00 | 3.18 | 0.00 | 3.18 | 90.0 | 0.05 |
| 09/16/2016 | MEDIA ENTERPRISES | AM FUNDS AMCAP A | 0.00 | 3.25 | 0.00 | 3.25 | 90.0 | 0.06 |
| 10/17/2016 | MEDIA ENTERPRISES | AM FUNDS AMCAP A | 0.00 | 3.13 | 0.00 | 3.13 | 90.0 | 0.05 |
| 11/18/2016 | MEDIA ENTERPRISES | AM FUNDS AMCAP A | 0.00 | 3.24 | 0.00 | 3.24 | 90.0 | 0.06 |
| 12/15/2016 | MEDIA ENTERPRISES | AM FUNDS AMCAP A | 0.00 | 3.14 | 0.00 | 3.14 | 90.0 | 0.05 |
| 02/16/2016 | GREENWELL, MARION | AM FUNDS AMCAP C | 0.00 | 6.10 | 0.00 | 6.10 | 90.0 | 0.10 |
| 03/15/2016 | GREENWELL, MARION | AM FUNDS AMCAP C | 0.00 | 5.61 | 0.00 | 5.61 | 90.0 | 0.10 |
| 04/20/2016 | GREENWELL, MARION | AM FUNDS AMCAP C | 0.00 | 6.40 | 0.00 | 6.40 | 90.0 | 0.11 |
| 05/16/2016 | GREENWELL, MARION | AM FUNDS AMCAP C | 0.00 | 6.39 | 0.00 | 6.39 | 90.0 | 0.11 |
| 06/15/2016 | GREENWELL, MARION | AM FUNDS AMCAP C | 0.00 | 6.56 | 0.00 | 6.56 | 90.0 | 0.11 |
| 07/18/2016 | GREENWELL, MARION | AM FUNDS AMCAP C | 0.00 | 6.43 | 0.00 | 6.43 | 90.0 | 0.11 |
| 08/15/2016 | GREENWELL, MARION | AM FUNDS AMCAP C | 0.00 | 6.75 | 0.00 | 6.75 | 90.0 | 0.11 |
| 09/16/2016 | GREENWELL, MARION | AM FUNDS AMCAP C | 0.00 | 6.90 | 0.00 | 6.90 | 90.0 | 0.12 |
| 10/17/2016 | GREENWELL, MARION | AM FUNDS AMCAP C | 0.00 | 6.63 | 0.00 | 6.63 | 90.0 | 0.11 |
| 11/18/2016 | GREENWELL, MARION | AM FUNDS AMCAP C | 0.00 | 6.86 | 0.00 | 6.86 | 90.0 | 0.12 |
| 12/15/2016 | GREENWELL, MARION | AM FUNDS AMCAP C | 0.00 | 6.64 | 0.00 | 6.64 | 90.0 | 0.11 |
| 02/16/2016 | MELVIN, MARY THOMPSON | AM FUNDS AMERICAN BALANCED A | 0.00 | 1.86 | 0.00 | 1.86 | 90.0 | 0.03 |
| 02/16/2016 | NAGLE, JOSEPHINE | AM FUNDS AMERICAN BALANCED A | 0.00 | 0.54 | 0.00 | 0.54 | 90.0 | 0.01 |
| 02/16/2016 | NAGLE, JOSEPHINE | AM FUNDS AMERICAN BALANCED A | 0.00 | 0.47 | 0.00 | 0.47 | 90.0 | 0.01 |
| 03/15/2016 | MELVIN, MARY THOMPSON | AM FUNDS AMERICAN BALANCED A | 0.00 | 1.73 | 0.00 | 1.73 | 90.0 | 0.03 |
| 03/15/2016 | NAGLE, JOSEPHINE | AM FUNDS AMERICAN BALANCED A | 0.00 | 0.50 | 0.00 | 0.50 | 90.0 | 0.01 |
| 03/15/2016 | NAGLE, JOSEPHINE | AM FUNDS AMERICAN BALANCED A | 0.00 | 2.26 | 0.00 | 2.26 | 90.0 | 0.04 |
| 04/20/2016 | MELVIN, MARY THOMPSON | AM FUNDS AMERICAN BALANCED A | 0.00 | 1.93 | 0.00 | 1.93 | 90.0 | 0.03 |

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|--|-----------------------|------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u> OVERRIDE TRANSACTIONS </u> | | | | | | | | |
| <u>BROKER: MARC, L134 LINSKY #263</u> | | | | | | | | |
| 04/20/2016 | NAGLE, JOSEPHINE | AM FUNDS AMERICAN BALANCED A | 0.00 | 0.56 | 0.00 | 0.56 | 90.0 | 0.01 |
| 04/20/2016 | NAGLE, JOSEPHINE | AM FUNDS AMERICAN BALANCED A | 0.00 | 2.51 | 0.00 | 2.51 | 90.0 | 0.04 |
| 05/16/2016 | MELVIN, MARY THOMPSON | AM FUNDS AMERICAN BALANCED A | 0.00 | 1.91 | 0.00 | 1.91 | 90.0 | 0.03 |
| 05/16/2016 | NAGLE, JOSEPHINE | AM FUNDS AMERICAN BALANCED A | 0.00 | 0.55 | 0.00 | 0.55 | 90.0 | 0.01 |
| 05/16/2016 | NAGLE, JOSEPHINE | AM FUNDS AMERICAN BALANCED A | 0.00 | 2.48 | 0.00 | 2.48 | 90.0 | 0.04 |
| 06/15/2016 | MELVIN, MARY THOMPSON | AM FUNDS AMERICAN BALANCED A | 0.00 | 1.97 | 0.00 | 1.97 | 90.0 | 0.03 |
| 06/15/2016 | NAGLE, JOSEPHINE | AM FUNDS AMERICAN BALANCED A | 0.00 | 0.57 | 0.00 | 0.57 | 90.0 | 0.01 |
| 06/15/2016 | NAGLE, JOSEPHINE | AM FUNDS AMERICAN BALANCED A | 0.00 | 2.57 | 0.00 | 2.57 | 90.0 | 0.04 |
| 07/18/2016 | MELVIN, MARY THOMPSON | AM FUNDS AMERICAN BALANCED A | 0.00 | 1.77 | 0.00 | 1.77 | 90.0 | 0.03 |
| 07/18/2016 | NAGLE, JOSEPHINE | AM FUNDS AMERICAN BALANCED A | 0.00 | 0.56 | 0.00 | 0.56 | 90.0 | 0.01 |
| 07/18/2016 | NAGLE, JOSEPHINE | AM FUNDS AMERICAN BALANCED A | 0.00 | 2.51 | 0.00 | 2.51 | 90.0 | 0.04 |
| 07/18/2016 | TAYLOR, THOMAS | AM FUNDS AMERICAN BALANCED A | 0.00 | 0.40 | 0.00 | 0.40 | 90.0 | 0.01 |
| 07/18/2016 | TAYLOR, DIANE | AM FUNDS AMERICAN BALANCED A | 0.00 | 0.40 | 0.00 | 0.40 | 90.0 | 0.01 |
| 08/15/2016 | MELVIN, MARY THOMPSON | AM FUNDS AMERICAN BALANCED A | 0.00 | 1.80 | 0.00 | 1.80 | 90.0 | 0.03 |
| 08/15/2016 | NAGLE, JOSEPHINE | AM FUNDS AMERICAN BALANCED A | 0.00 | 0.59 | 0.00 | 0.59 | 90.0 | 0.01 |
| 08/15/2016 | NAGLE, JOSEPHINE | AM FUNDS AMERICAN BALANCED A | 0.00 | 2.65 | 0.00 | 2.65 | 90.0 | 0.05 |
| 08/15/2016 | TAYLOR, THOMAS | AM FUNDS AMERICAN BALANCED A | 0.00 | 0.43 | 0.00 | 0.43 | 90.0 | 0.01 |
| 08/15/2016 | TAYLOR, DIANE | AM FUNDS AMERICAN BALANCED A | 0.00 | 0.43 | 0.00 | 0.43 | 90.0 | 0.01 |
| 09/16/2016 | MELVIN, MARY THOMPSON | AM FUNDS AMERICAN BALANCED A | 0.00 | 1.81 | 0.00 | 1.81 | 90.0 | 0.03 |
| 09/16/2016 | NAGLE, JOSEPHINE | AM FUNDS AMERICAN BALANCED A | 0.00 | 0.59 | 0.00 | 0.59 | 90.0 | 0.01 |
| 09/16/2016 | NAGLE, JOSEPHINE | AM FUNDS AMERICAN BALANCED A | 0.00 | 2.67 | 0.00 | 2.67 | 90.0 | 0.05 |
| 09/16/2016 | TAYLOR, THOMAS | AM FUNDS AMERICAN BALANCED A | 0.00 | 0.43 | 0.00 | 0.43 | 90.0 | 0.01 |
| 09/16/2016 | TAYLOR, DIANE | AM FUNDS AMERICAN BALANCED A | 0.00 | 0.43 | 0.00 | 0.43 | 90.0 | 0.01 |
| 10/17/2016 | MELVIN, MARY THOMPSON | AM FUNDS AMERICAN BALANCED A | 0.00 | 1.74 | 0.00 | 1.74 | 90.0 | 0.03 |
| 10/17/2016 | NAGLE, JOSEPHINE | AM FUNDS AMERICAN BALANCED A | 0.00 | 0.57 | 0.00 | 0.57 | 90.0 | 0.01 |
| 10/17/2016 | NAGLE, JOSEPHINE | AM FUNDS AMERICAN BALANCED A | 0.00 | 2.57 | 0.00 | 2.57 | 90.0 | 0.04 |
| 10/17/2016 | TAYLOR, THOMAS | AM FUNDS AMERICAN BALANCED A | 0.00 | 0.41 | 0.00 | 0.41 | 90.0 | 0.01 |
| 10/17/2016 | TAYLOR, DIANE | AM FUNDS AMERICAN BALANCED A | 0.00 | 0.41 | 0.00 | 0.41 | 90.0 | 0.01 |
| 11/18/2016 | MELVIN, MARY THOMPSON | AM FUNDS AMERICAN BALANCED A | 0.00 | 1.80 | 0.00 | 1.80 | 90.0 | 0.03 |
| 11/18/2016 | BOSCO, EDWARD | AM FUNDS AMERICAN BALANCED A | 0.00 | 0.51 | 0.00 | 0.51 | 90.0 | 0.01 |
| 11/18/2016 | NAGLE, JOSEPHINE | AM FUNDS AMERICAN BALANCED A | 0.00 | 1.71 | 0.00 | 1.71 | 90.0 | 0.03 |
| 11/18/2016 | TAYLOR, THOMAS | AM FUNDS AMERICAN BALANCED A | 0.00 | 0.43 | 0.00 | 0.43 | 90.0 | 0.01 |
| 11/18/2016 | TAYLOR, DIANE | AM FUNDS AMERICAN BALANCED A | 0.00 | 0.43 | 0.00 | 0.43 | 90.0 | 0.01 |

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|--|-----------------------|-----------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u>VERRIDE TRANSACTIONS</u> | | | | | | | | |
| <u>BROKER: MARC, L134 LINSKY #263</u> | | | | | | | | |
| 11/18/2016 | APPLEGATE, PAMAEALA | AM FUNDS AMERICAN BALANCED A | 0.00 | 0.37 | 0.00 | 0.37 | 90.0 | 0.01 |
| 12/15/2016 | MELVIN, MARY THOMPSON | AM FUNDS AMERICAN BALANCED A | 0.00 | 1.68 | 0.00 | 1.68 | 90.0 | 0.03 |
| 12/15/2016 | TAYLOR, THOMAS | AM FUNDS AMERICAN BALANCED A | 0.00 | 0.41 | 0.00 | 0.41 | 90.0 | 0.01 |
| 12/15/2016 | TAYLOR, DIANE | AM FUNDS AMERICAN BALANCED A | 0.00 | 0.41 | 0.00 | 0.41 | 90.0 | 0.01 |
| 12/15/2016 | APPLEGATE, PAMAEALA | AM FUNDS AMERICAN BALANCED A | 0.00 | 0.85 | 0.00 | 0.85 | 90.0 | 0.01 |
| 02/16/2016 | RIZZO, DIANE | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 1.00 | 0.00 | 1.00 | 90.0 | 0.02 |
| 02/16/2016 | NAGLE, JOSEPHINE | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 0.43 | 0.00 | 0.43 | 90.0 | 0.01 |
| 02/16/2016 | NAGLE, JOSEPHINE | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 0.39 | 0.00 | 0.39 | 90.0 | 0.01 |
| 03/15/2016 | RIZZO, DIANE | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 0.94 | 0.00 | 0.94 | 90.0 | 0.02 |
| 03/15/2016 | NAGLE, JOSEPHINE | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 0.41 | 0.00 | 0.41 | 90.0 | 0.01 |
| 03/15/2016 | NAGLE, JOSEPHINE | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 1.89 | 0.00 | 1.89 | 90.0 | 0.03 |
| 04/20/2016 | RIZZO, DIANE | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 1.06 | 0.00 | 1.06 | 90.0 | 0.02 |
| 04/20/2016 | NAGLE, JOSEPHINE | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 0.46 | 0.00 | 0.46 | 90.0 | 0.01 |
| 04/20/2016 | NAGLE, JOSEPHINE | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 2.11 | 0.00 | 2.11 | 90.0 | 0.04 |
| 05/16/2016 | RIZZO, DIANE | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 1.04 | 0.00 | 1.04 | 90.0 | 0.02 |
| 05/16/2016 | NAGLE, JOSEPHINE | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 0.45 | 0.00 | 0.45 | 90.0 | 0.01 |
| 05/16/2016 | NAGLE, JOSEPHINE | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 2.09 | 0.00 | 2.09 | 90.0 | 0.04 |
| 06/15/2016 | RIZZO, DIANE | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 0.93 | 0.00 | 0.93 | 90.0 | 0.02 |
| 06/15/2016 | NAGLE, JOSEPHINE | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 0.47 | 0.00 | 0.47 | 90.0 | 0.01 |
| 06/15/2016 | NAGLE, JOSEPHINE | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 2.16 | 0.00 | 2.16 | 90.0 | 0.04 |
| 07/18/2016 | RIZZO, DIANE | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 0.88 | 0.00 | 0.88 | 90.0 | 0.01 |
| 07/18/2016 | NAGLE, JOSEPHINE | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 0.46 | 0.00 | 0.46 | 90.0 | 0.01 |
| 07/18/2016 | NAGLE, JOSEPHINE | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 2.11 | 0.00 | 2.11 | 90.0 | 0.04 |
| 08/15/2016 | RIZZO, DIANE | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 0.93 | 0.00 | 0.93 | 90.0 | 0.02 |
| 08/15/2016 | NAGLE, JOSEPHINE | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 0.49 | 0.00 | 0.49 | 90.0 | 0.01 |
| 08/15/2016 | NAGLE, JOSEPHINE | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 2.24 | 0.00 | 2.24 | 90.0 | 0.04 |
| 09/16/2016 | RIZZO, DIANE | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 0.93 | 0.00 | 0.93 | 90.0 | 0.02 |
| 09/16/2016 | NAGLE, JOSEPHINE | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 0.49 | 0.00 | 0.49 | 90.0 | 0.01 |
| 09/16/2016 | NAGLE, JOSEPHINE | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 2.25 | 0.00 | 2.25 | 90.0 | 0.04 |
| 10/17/2016 | RIZZO, DIANE | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 0.90 | 0.00 | 0.90 | 90.0 | 0.02 |
| 10/17/2016 | NAGLE, JOSEPHINE | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 0.47 | 0.00 | 0.47 | 90.0 | 0.01 |
| 10/17/2016 | NAGLE, JOSEPHINE | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 2.16 | 0.00 | 2.16 | 90.0 | 0.04 |
| 11/18/2016 | RIZZO, DIANE | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 0.88 | 0.00 | 0.88 | 90.0 | 0.01 |

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

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

| DATE | CLIENT | INVESTMENT | INVESTMENT AMOUNT | GROSS COMMISSION | CLEARING CHARGE | NET COMMISSION | RATE | BROKER COMMISSION |
|--|---------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u> OVERRIDE TRANSACTIONS </u> | | | | | | | | |
| <u> BROKER: MARC, L134 LINSKY #263 </u> | | | | | | | | |
| 11/18/2016 | BOSCO, EDWARD | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 0.41 | 0.00 | 0.41 | 90.0 | 0.01 |
| 11/18/2016 | NAGLE, JOSEPHINE | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 1.42 | 0.00 | 1.42 | 90.0 | 0.02 |
| 11/18/2016 | APPLEGATE, PAMAEALA | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 0.30 | 0.00 | 0.30 | 90.0 | 0.01 |
| 12/15/2016 | RIZZO, DIANE | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 0.84 | 0.00 | 0.84 | 90.0 | 0.01 |
| 12/15/2016 | APPLEGATE, PAMAEALA | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 0.69 | 0.00 | 0.69 | 90.0 | 0.01 |
| 02/16/2016 | POLLAN, PATRICIA | AM FUNDS CAPITAL INCOME BUILDER F1 | 0.00 | 1.24 | 0.00 | 1.24 | 90.0 | 0.02 |
| 02/16/2016 | LINSKY, LISA | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 2.66 | 0.00 | 2.66 | 90.0 | 0.05 |
| 02/16/2016 | MEDIA ENTERPRISES | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 2.28 | 0.00 | 2.28 | 90.0 | 0.04 |
| 02/16/2016 | RIZZO, DIANE | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 1.08 | 0.00 | 1.08 | 90.0 | 0.02 |
| 02/16/2016 | MELVIN, GREG | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 0.54 | 0.00 | 0.54 | 90.0 | 0.01 |
| 03/15/2016 | LINSKY, LISA | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 2.44 | 0.00 | 2.44 | 90.0 | 0.04 |
| 03/15/2016 | MEDIA ENTERPRISES | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 2.09 | 0.00 | 2.09 | 90.0 | 0.04 |
| 03/15/2016 | RIZZO, DIANE | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 0.99 | 0.00 | 0.99 | 90.0 | 0.02 |
| 03/15/2016 | MELVIN, GREG | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 0.50 | 0.00 | 0.50 | 90.0 | 0.01 |
| 04/20/2016 | LINSKY, LISA | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 2.78 | 0.00 | 2.78 | 90.0 | 0.05 |
| 04/20/2016 | MEDIA ENTERPRISES | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 2.38 | 0.00 | 2.38 | 90.0 | 0.04 |
| 04/20/2016 | RIZZO, DIANE | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 1.13 | 0.00 | 1.13 | 90.0 | 0.02 |
| 04/20/2016 | MELVIN, GREG | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 0.56 | 0.00 | 0.56 | 90.0 | 0.01 |
| 05/16/2016 | LINSKY, LISA | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 2.76 | 0.00 | 2.76 | 90.0 | 0.05 |
| 05/16/2016 | MEDIA ENTERPRISES | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 2.36 | 0.00 | 2.36 | 90.0 | 0.04 |
| 05/16/2016 | RIZZO, DIANE | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 1.12 | 0.00 | 1.12 | 90.0 | 0.02 |
| 05/16/2016 | MELVIN, GREG | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 0.56 | 0.00 | 0.56 | 90.0 | 0.01 |
| 06/15/2016 | LINSKY, LISA | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 2.83 | 0.00 | 2.83 | 90.0 | 0.05 |
| 06/15/2016 | MEDIA ENTERPRISES | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 2.42 | 0.00 | 2.42 | 90.0 | 0.04 |
| 06/15/2016 | RIZZO, DIANE | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 1.15 | 0.00 | 1.15 | 90.0 | 0.02 |
| 06/15/2016 | MELVIN, GREG | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 0.57 | 0.00 | 0.57 | 90.0 | 0.01 |
| 07/18/2016 | LINSKY, LISA | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 2.76 | 0.00 | 2.76 | 90.0 | 0.05 |
| 07/18/2016 | MEDIA ENTERPRISES | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 2.36 | 0.00 | 2.36 | 90.0 | 0.04 |
| 07/18/2016 | RIZZO, DIANE | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 1.12 | 0.00 | 1.12 | 90.0 | 0.02 |
| 07/18/2016 | MELVIN, GREG | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 0.56 | 0.00 | 0.56 | 90.0 | 0.01 |
| 08/15/2016 | LINSKY, LISA | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 2.93 | 0.00 | 2.93 | 90.0 | 0.05 |
| 08/15/2016 | MEDIA ENTERPRISES | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 2.50 | 0.00 | 2.50 | 90.0 | 0.04 |
| 08/15/2016 | RIZZO, DIANE | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 1.19 | 0.00 | 1.19 | 90.0 | 0.02 |

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| DATE | CLIENT | INVESTMENT | INVESTMENT AMOUNT | GROSS COMMISSION | CLEARING CHARGE | NET COMMISSION | RATE | BROKER COMMISSION |
|--|-------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u> OVERRIDE TRANSACTIONS </u> | | | | | | | | |
| <u>BROKER: MARC, L134 LINSKY #263</u> | | | | | | | | |
| 08/15/2016 | MELVIN, GREG | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 0.59 | 0.00 | 0.59 | 90.0 | 0.01 |
| 09/16/2016 | LINSKY, LISA | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 3.00 | 0.00 | 3.00 | 90.0 | 0.05 |
| 09/16/2016 | MEDIA ENTERPRISES | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 2.57 | 0.00 | 2.57 | 90.0 | 0.04 |
| 09/16/2016 | RIZZO, DIANE | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 1.22 | 0.00 | 1.22 | 90.0 | 0.02 |
| 09/16/2016 | MELVIN, GREG | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 0.61 | 0.00 | 0.61 | 90.0 | 0.01 |
| 10/17/2016 | LINSKY, LISA | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 2.90 | 0.00 | 2.90 | 90.0 | 0.05 |
| 10/17/2016 | MEDIA ENTERPRISES | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 2.48 | 0.00 | 2.48 | 90.0 | 0.04 |
| 10/17/2016 | RIZZO, DIANE | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 1.18 | 0.00 | 1.18 | 90.0 | 0.02 |
| 10/17/2016 | MELVIN, GREG | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 0.59 | 0.00 | 0.59 | 90.0 | 0.01 |
| 11/18/2016 | LINSKY, LISA | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 2.97 | 0.00 | 2.97 | 90.0 | 0.05 |
| 11/18/2016 | MEDIA ENTERPRISES | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 2.54 | 0.00 | 2.54 | 90.0 | 0.04 |
| 11/18/2016 | RIZZO, DIANE | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 1.20 | 0.00 | 1.20 | 90.0 | 0.02 |
| 11/18/2016 | MELVIN, GREG | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 0.60 | 0.00 | 0.60 | 90.0 | 0.01 |
| 12/15/2016 | LINSKY, LISA | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 2.83 | 0.00 | 2.83 | 90.0 | 0.05 |
| 12/15/2016 | MEDIA ENTERPRISES | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 2.43 | 0.00 | 2.43 | 90.0 | 0.04 |
| 12/15/2016 | RIZZO, DIANE | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 1.15 | 0.00 | 1.15 | 90.0 | 0.02 |
| 12/15/2016 | MELVIN, GREG | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00 | 0.57 | 0.00 | 0.57 | 90.0 | 0.01 |
| 02/16/2016 | POLLAN, PATRICIA | AM FUNDS CAPITAL WORLD GRTH & INC C | 0.00 | 0.99 | 0.00 | 0.99 | 90.0 | 0.02 |
| 02/16/2016 | POLLAN, JACLYN | AM FUNDS CAPITAL WORLD GRTH & INC C | 0.00 | 2.08 | 0.00 | 2.08 | 90.0 | 0.04 |
| 03/15/2016 | POLLAN, JACLYN | AM FUNDS CAPITAL WORLD GRTH & INC C | 0.00 | 1.91 | 0.00 | 1.91 | 90.0 | 0.03 |
| 04/20/2016 | POLLAN, JACLYN | AM FUNDS CAPITAL WORLD GRTH & INC C | 0.00 | 2.17 | 0.00 | 2.17 | 90.0 | 0.04 |
| 05/16/2016 | POLLAN, JACLYN | AM FUNDS CAPITAL WORLD GRTH & INC C | 0.00 | 2.16 | 0.00 | 2.16 | 90.0 | 0.04 |
| 06/15/2016 | POLLAN, JACLYN | AM FUNDS CAPITAL WORLD GRTH & INC C | 0.00 | 2.22 | 0.00 | 2.22 | 90.0 | 0.04 |
| 07/18/2016 | POLLAN, JACLYN | AM FUNDS CAPITAL WORLD GRTH & INC C | 0.00 | 2.16 | 0.00 | 2.16 | 90.0 | 0.04 |
| 08/15/2016 | POLLAN, JACLYN | AM FUNDS CAPITAL WORLD GRTH & INC C | 0.00 | 2.29 | 0.00 | 2.29 | 90.0 | 0.04 |
| 09/16/2016 | POLLAN, JACLYN | AM FUNDS CAPITAL WORLD GRTH & INC C | 0.00 | 2.35 | 0.00 | 2.35 | 90.0 | 0.04 |
| 10/17/2016 | POLLAN, JACLYN | AM FUNDS CAPITAL WORLD GRTH & INC C | 0.00 | 2.27 | 0.00 | 2.27 | 90.0 | 0.04 |
| 11/18/2016 | POLLAN, JACLYN | AM FUNDS CAPITAL WORLD GRTH & INC C | 0.00 | 2.33 | 0.00 | 2.33 | 90.0 | 0.04 |
| 12/15/2016 | POLLAN, JACLYN | AM FUNDS CAPITAL WORLD GRTH & INC C | 0.00 | 2.22 | 0.00 | 2.22 | 90.0 | 0.04 |
| 02/16/2016 | FLEISCH, ROBERT | AM FUNDS EUROPACIFIC GROWTH FUND A | 0.00 | 11.23 | 0.00 | 11.23 | 90.0 | 0.19 |
| 03/15/2016 | FLEISCH, ROBERT | AM FUNDS EUROPACIFIC GROWTH FUND A | 0.00 | 10.13 | 0.00 | 10.13 | 90.0 | 0.17 |
| 04/20/2016 | FLEISCH, ROBERT | AM FUNDS EUROPACIFIC GROWTH FUND A | 0.00 | 11.53 | 0.00 | 11.53 | 90.0 | 0.20 |
| 05/16/2016 | FLEISCH, ROBERT | AM FUNDS EUROPACIFIC GROWTH FUND A | 0.00 | 11.43 | 0.00 | 11.43 | 90.0 | 0.19 |

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|--|-----------------------|------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u> OVERRIDE TRANSACTIONS </u> | | | | | | | | |
| <u> BROKER: MARC, L134 LINSKY #263 </u> | | | | | | | | |
| 06/15/2016 | FLEISCH, ROBERT | AM FUNDS EUROPACIFIC GROWTH FUND A | 0.00 | 11.68 | 0.00 | 11.68 | 90.0 | 0.20 |
| 07/18/2016 | FLEISCH, ROBERT | AM FUNDS EUROPACIFIC GROWTH FUND A | 0.00 | 11.32 | 0.00 | 11.32 | 90.0 | 0.19 |
| 08/15/2016 | FLEISCH, ROBERT | AM FUNDS EUROPACIFIC GROWTH FUND A | 0.00 | 11.96 | 0.00 | 11.96 | 90.0 | 0.20 |
| 09/16/2016 | FLEISCH, ROBERT | AM FUNDS EUROPACIFIC GROWTH FUND A | 0.00 | 12.12 | 0.00 | 12.12 | 90.0 | 0.21 |
| 10/17/2016 | FLEISCH, ROBERT | AM FUNDS EUROPACIFIC GROWTH FUND A | 0.00 | 11.78 | 0.00 | 11.78 | 90.0 | 0.20 |
| 11/18/2016 | FLEISCH, ROBERT | AM FUNDS EUROPACIFIC GROWTH FUND A | 0.00 | 12.03 | 0.00 | 12.03 | 90.0 | 0.20 |
| 12/15/2016 | FLEISCH, ROBERT | AM FUNDS EUROPACIFIC GROWTH FUND A | 0.00 | 11.24 | 0.00 | 11.24 | 90.0 | 0.19 |
| 02/16/2016 | MELVIN, MARY THOMPSON | AM FUNDS FUNDAMENTAL INVESTORS A | 0.00 | 1.54 | 0.00 | 1.54 | 90.0 | 0.03 |
| 03/15/2016 | MELVIN, MARY THOMPSON | AM FUNDS FUNDAMENTAL INVESTORS A | 0.00 | 1.42 | 0.00 | 1.42 | 90.0 | 0.02 |
| 04/20/2016 | MELVIN, MARY THOMPSON | AM FUNDS FUNDAMENTAL INVESTORS A | 0.00 | 1.62 | 0.00 | 1.62 | 90.0 | 0.03 |
| 05/16/2016 | MELVIN, MARY THOMPSON | AM FUNDS FUNDAMENTAL INVESTORS A | 0.00 | 1.61 | 0.00 | 1.61 | 90.0 | 0.03 |
| 06/15/2016 | MELVIN, MARY THOMPSON | AM FUNDS FUNDAMENTAL INVESTORS A | 0.00 | 1.67 | 0.00 | 1.67 | 90.0 | 0.03 |
| 07/18/2016 | MELVIN, MARY THOMPSON | AM FUNDS FUNDAMENTAL INVESTORS A | 0.00 | 1.64 | 0.00 | 1.64 | 90.0 | 0.03 |
| 08/15/2016 | MELVIN, MARY THOMPSON | AM FUNDS FUNDAMENTAL INVESTORS A | 0.00 | 1.73 | 0.00 | 1.73 | 90.0 | 0.03 |
| 09/16/2016 | MELVIN, MARY THOMPSON | AM FUNDS FUNDAMENTAL INVESTORS A | 0.00 | 1.77 | 0.00 | 1.77 | 90.0 | 0.03 |
| 10/17/2016 | MELVIN, MARY THOMPSON | AM FUNDS FUNDAMENTAL INVESTORS A | 0.00 | 1.70 | 0.00 | 1.70 | 90.0 | 0.03 |
| 11/18/2016 | MELVIN, MARY THOMPSON | AM FUNDS FUNDAMENTAL INVESTORS A | 0.00 | 1.76 | 0.00 | 1.76 | 90.0 | 0.03 |
| 12/15/2016 | MELVIN, MARY THOMPSON | AM FUNDS FUNDAMENTAL INVESTORS A | 0.00 | 1.67 | 0.00 | 1.67 | 90.0 | 0.03 |
| 02/15/2018 | BENFER, ANDREW | AM FUNDS FUNDAMENTAL INVESTORS A | 225.00 | 11.25 | 0.00 | 11.25 | 90.0 | 0.19 |
| 02/16/2016 | CHERRY, AYDEN | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 0.64 | 0.00 | 0.64 | 90.0 | 0.01 |
| 02/16/2016 | LINSKY, LISA | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 3.28 | 0.00 | 3.28 | 90.0 | 0.06 |
| 02/16/2016 | RIZZO, DIANE | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 1.18 | 0.00 | 1.18 | 90.0 | 0.02 |
| 02/16/2016 | OLIVETI, FRANK | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 4.49 | 0.00 | 4.49 | 90.0 | 0.08 |
| 02/16/2016 | BERK, SHERRI | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 3.40 | 0.00 | 3.40 | 90.0 | 0.06 |
| 02/16/2016 | PERETTI, TERESA | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 1.29 | 0.00 | 1.29 | 90.0 | 0.02 |
| 02/16/2016 | CENTANNI, BETTY | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 0.35 | 0.00 | 0.35 | 90.0 | 0.01 |
| 02/16/2016 | CENTANNI, RICHARD | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 0.68 | 0.00 | 0.68 | 90.0 | 0.01 |
| 02/16/2016 | NATHAN, EDWARD | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 0.47 | 0.00 | 0.47 | 90.0 | 0.01 |
| 02/16/2016 | NATHAN, EDWARD | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 0.76 | 0.00 | 0.76 | 90.0 | 0.01 |
| 02/16/2016 | NATHAN, SUSAN | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 0.46 | 0.00 | 0.46 | 90.0 | 0.01 |
| 03/15/2016 | CHERRY, AYDEN | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 0.58 | 0.00 | 0.58 | 90.0 | 0.01 |
| 03/15/2016 | LINSKY, LISA | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 2.96 | 0.00 | 2.96 | 90.0 | 0.05 |
| 03/15/2016 | RIZZO, DIANE | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 1.07 | 0.00 | 1.07 | 90.0 | 0.02 |

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|--|-------------------|-----------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u> OVERRIDE TRANSACTIONS </u> | | | | | | | | |
| <u>BROKER: MARC, L134 LINSKY #263</u> | | | | | | | | |
| 03/15/2016 | OLIVETI, FRANK | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 4.06 | 0.00 | 4.06 | 90.0 | 0.07 |
| 03/15/2016 | BERK, SHERRI | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 3.07 | 0.00 | 3.07 | 90.0 | 0.05 |
| 03/15/2016 | PERETTI, TERESA | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 1.16 | 0.00 | 1.16 | 90.0 | 0.02 |
| 03/15/2016 | CENTANNI, BETTY | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 0.32 | 0.00 | 0.32 | 90.0 | 0.01 |
| 03/15/2016 | CENTANNI, RICHARD | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 0.62 | 0.00 | 0.62 | 90.0 | 0.01 |
| 03/15/2016 | NATHAN, EDWARD | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 0.42 | 0.00 | 0.42 | 90.0 | 0.01 |
| 03/15/2016 | NATHAN, EDWARD | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 0.69 | 0.00 | 0.69 | 90.0 | 0.01 |
| 03/15/2016 | NATHAN, SUSAN | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 0.42 | 0.00 | 0.42 | 90.0 | 0.01 |
| 04/20/2016 | CHERRY, AYDEN | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 0.66 | 0.00 | 0.66 | 90.0 | 0.01 |
| 04/20/2016 | LINSKY, LISA | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 3.38 | 0.00 | 3.38 | 90.0 | 0.06 |
| 04/20/2016 | RIZZO, DIANE | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 1.21 | 0.00 | 1.21 | 90.0 | 0.02 |
| 04/20/2016 | OLIVETI, FRANK | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 4.62 | 0.00 | 4.62 | 90.0 | 0.08 |
| 04/20/2016 | BERK, SHERRI | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 3.50 | 0.00 | 3.50 | 90.0 | 0.06 |
| 04/20/2016 | PERETTI, TERESA | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 1.32 | 0.00 | 1.32 | 90.0 | 0.02 |
| 04/20/2016 | CENTANNI, BETTY | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 0.36 | 0.00 | 0.36 | 90.0 | 0.01 |
| 04/20/2016 | CENTANNI, RICHARD | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 0.70 | 0.00 | 0.70 | 90.0 | 0.01 |
| 04/20/2016 | NATHAN, EDWARD | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 0.48 | 0.00 | 0.48 | 90.0 | 0.01 |
| 04/20/2016 | NATHAN, EDWARD | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 0.78 | 0.00 | 0.78 | 90.0 | 0.01 |
| 04/20/2016 | NATHAN, SUSAN | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 0.48 | 0.00 | 0.48 | 90.0 | 0.01 |
| 05/16/2016 | CHERRY, AYDEN | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 0.66 | 0.00 | 0.66 | 90.0 | 0.01 |
| 05/16/2016 | LINSKY, LISA | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 3.38 | 0.00 | 3.38 | 90.0 | 0.06 |
| 05/16/2016 | RIZZO, DIANE | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 1.21 | 0.00 | 1.21 | 90.0 | 0.02 |
| 05/16/2016 | OLIVETI, FRANK | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 4.62 | 0.00 | 4.62 | 90.0 | 0.08 |
| 05/16/2016 | BERK, SHERRI | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 3.52 | 0.00 | 3.52 | 90.0 | 0.06 |
| 05/16/2016 | PERETTI, TERESA | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 1.32 | 0.00 | 1.32 | 90.0 | 0.02 |
| 05/16/2016 | CENTANNI, BETTY | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 0.36 | 0.00 | 0.36 | 90.0 | 0.01 |
| 05/16/2016 | CENTANNI, RICHARD | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 0.70 | 0.00 | 0.70 | 90.0 | 0.01 |
| 05/16/2016 | NATHAN, EDWARD | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 0.48 | 0.00 | 0.48 | 90.0 | 0.01 |
| 05/16/2016 | NATHAN, EDWARD | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 0.78 | 0.00 | 0.78 | 90.0 | 0.01 |
| 05/16/2016 | NATHAN, SUSAN | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 0.48 | 0.00 | 0.48 | 90.0 | 0.01 |
| 06/15/2016 | CHERRY, AYDEN | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 0.68 | 0.00 | 0.68 | 90.0 | 0.01 |
| 06/15/2016 | LINSKY, LISA | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 3.49 | 0.00 | 3.49 | 90.0 | 0.06 |
| 06/15/2016 | RIZZO, DIANE | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 1.26 | 0.00 | 1.26 | 90.0 | 0.02 |

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

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

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

| DATE | CLIENT | INVESTMENT | INVESTMENT AMOUNT | GROSS COMMISSION | CLEARING CHARGE | NET COMMISSION | RATE | BROKER COMMISSION |
|--|-------------------|-----------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u> OVERRIDE TRANSACTIONS </u> | | | | | | | | |
| <u> BROKER: MARC, L134 LINSKY #263 </u> | | | | | | | | |
| 06/15/2016 | OLIVETI, FRANK | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 4.78 | 0.00 | 4.78 | 90.0 | 0.08 |
| 06/15/2016 | BERK, SHERRI | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 3.66 | 0.00 | 3.66 | 90.0 | 0.06 |
| 06/15/2016 | PERETTI, TERESA | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 1.37 | 0.00 | 1.37 | 90.0 | 0.02 |
| 06/15/2016 | CENTANNI, BETTY | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 0.38 | 0.00 | 0.38 | 90.0 | 0.01 |
| 06/15/2016 | CENTANNI, RICHARD | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 0.73 | 0.00 | 0.73 | 90.0 | 0.01 |
| 06/15/2016 | NATHAN, EDWARD | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 0.50 | 0.00 | 0.50 | 90.0 | 0.01 |
| 06/15/2016 | NATHAN, EDWARD | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 0.81 | 0.00 | 0.81 | 90.0 | 0.01 |
| 06/15/2016 | NATHAN, SUSAN | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 0.49 | 0.00 | 0.49 | 90.0 | 0.01 |
| 07/18/2016 | CHERRY, AYDEN | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 0.67 | 0.00 | 0.67 | 90.0 | 0.01 |
| 07/18/2016 | LINSKY, LISA | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 3.43 | 0.00 | 3.43 | 90.0 | 0.06 |
| 07/18/2016 | RIZZO, DIANE | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 1.23 | 0.00 | 1.23 | 90.0 | 0.02 |
| 07/18/2016 | OLIVETI, FRANK | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 4.69 | 0.00 | 4.69 | 90.0 | 0.08 |
| 07/18/2016 | BERK, SHERRI | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 3.61 | 0.00 | 3.61 | 90.0 | 0.06 |
| 07/18/2016 | PERETTI, TERESA | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 1.34 | 0.00 | 1.34 | 90.0 | 0.02 |
| 07/18/2016 | CENTANNI, BETTY | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 0.37 | 0.00 | 0.37 | 90.0 | 0.01 |
| 07/18/2016 | CENTANNI, RICHARD | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 0.71 | 0.00 | 0.71 | 90.0 | 0.01 |
| 07/18/2016 | NATHAN, EDWARD | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 0.49 | 0.00 | 0.49 | 90.0 | 0.01 |
| 07/18/2016 | NATHAN, EDWARD | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 0.79 | 0.00 | 0.79 | 90.0 | 0.01 |
| 07/18/2016 | NATHAN, SUSAN | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 0.48 | 0.00 | 0.48 | 90.0 | 0.01 |
| 08/15/2016 | CHERRY, AYDEN | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 0.71 | 0.00 | 0.71 | 90.0 | 0.01 |
| 08/15/2016 | LINSKY, LISA | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 3.63 | 0.00 | 3.63 | 90.0 | 0.06 |
| 08/15/2016 | RIZZO, DIANE | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 1.31 | 0.00 | 1.31 | 90.0 | 0.02 |
| 08/15/2016 | OLIVETI, FRANK | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 4.97 | 0.00 | 4.97 | 90.0 | 0.08 |
| 08/15/2016 | BERK, SHERRI | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 3.85 | 0.00 | 3.85 | 90.0 | 0.07 |
| 08/15/2016 | PERETTI, TERESA | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 1.42 | 0.00 | 1.42 | 90.0 | 0.02 |
| 08/15/2016 | CENTANNI, BETTY | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 0.39 | 0.00 | 0.39 | 90.0 | 0.01 |
| 08/15/2016 | CENTANNI, RICHARD | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 0.76 | 0.00 | 0.76 | 90.0 | 0.01 |
| 08/15/2016 | NATHAN, EDWARD | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 0.52 | 0.00 | 0.52 | 90.0 | 0.01 |
| 08/15/2016 | NATHAN, EDWARD | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 0.84 | 0.00 | 0.84 | 90.0 | 0.01 |
| 08/15/2016 | NATHAN, SUSAN | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 0.51 | 0.00 | 0.51 | 90.0 | 0.01 |
| 09/16/2016 | CHERRY, AYDEN | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 0.73 | 0.00 | 0.73 | 90.0 | 0.01 |
| 09/16/2016 | LINSKY, LISA | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 3.73 | 0.00 | 3.73 | 90.0 | 0.06 |
| 09/16/2016 | RIZZO, DIANE | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 1.34 | 0.00 | 1.34 | 90.0 | 0.02 |

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

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

| DATE | CLIENT | INVESTMENT | INVESTMENT AMOUNT | GROSS COMMISSION | CLEARING CHARGE | NET COMMISSION | RATE | BROKER COMMISSION |
|--|-------------------|-----------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u> OVERRIDE TRANSACTIONS </u> | | | | | | | | |
| <u> BROKER: MARC, L134 LINSKY #263 </u> | | | | | | | | |
| 09/16/2016 | OLIVETI, FRANK | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 5.11 | 0.00 | 5.11 | 90.0 | 0.09 |
| 09/16/2016 | BERK, SHERRI | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 3.74 | 0.00 | 3.74 | 90.0 | 0.06 |
| 09/16/2016 | PERETTI, TERESA | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 1.46 | 0.00 | 1.46 | 90.0 | 0.02 |
| 09/16/2016 | CENTANNI, BETTY | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 0.40 | 0.00 | 0.40 | 90.0 | 0.01 |
| 09/16/2016 | CENTANNI, RICHARD | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 0.78 | 0.00 | 0.78 | 90.0 | 0.01 |
| 09/16/2016 | NATHAN, EDWARD | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 0.53 | 0.00 | 0.53 | 90.0 | 0.01 |
| 09/16/2016 | NATHAN, EDWARD | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 0.87 | 0.00 | 0.87 | 90.0 | 0.01 |
| 09/16/2016 | NATHAN, SUSAN | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 0.53 | 0.00 | 0.53 | 90.0 | 0.01 |
| 10/17/2016 | CHERRY, AYDEN | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 0.70 | 0.00 | 0.70 | 90.0 | 0.01 |
| 10/17/2016 | LINSKY, LISA | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 3.60 | 0.00 | 3.60 | 90.0 | 0.06 |
| 10/17/2016 | RIZZO, DIANE | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 1.29 | 0.00 | 1.29 | 90.0 | 0.02 |
| 10/17/2016 | OLIVETI, FRANK | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 4.92 | 0.00 | 4.92 | 90.0 | 0.08 |
| 10/17/2016 | BERK, SHERRI | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 3.53 | 0.00 | 3.53 | 90.0 | 0.06 |
| 10/17/2016 | PERETTI, TERESA | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 1.41 | 0.00 | 1.41 | 90.0 | 0.02 |
| 10/17/2016 | CENTANNI, BETTY | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 0.39 | 0.00 | 0.39 | 90.0 | 0.01 |
| 10/17/2016 | CENTANNI, RICHARD | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 0.75 | 0.00 | 0.75 | 90.0 | 0.01 |
| 10/17/2016 | NATHAN, EDWARD | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 0.51 | 0.00 | 0.51 | 90.0 | 0.01 |
| 10/17/2016 | NATHAN, EDWARD | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 0.83 | 0.00 | 0.83 | 90.0 | 0.01 |
| 10/17/2016 | NATHAN, SUSAN | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 0.51 | 0.00 | 0.51 | 90.0 | 0.01 |
| 11/18/2016 | CHERRY, AYDEN | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 0.73 | 0.00 | 0.73 | 90.0 | 0.01 |
| 11/18/2016 | LINSKY, LISA | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 3.74 | 0.00 | 3.74 | 90.0 | 0.06 |
| 11/18/2016 | RIZZO, DIANE | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 1.34 | 0.00 | 1.34 | 90.0 | 0.02 |
| 11/18/2016 | OLIVETI, FRANK | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 5.12 | 0.00 | 5.12 | 90.0 | 0.09 |
| 11/18/2016 | BERK, SHERRI | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 3.67 | 0.00 | 3.67 | 90.0 | 0.06 |
| 11/18/2016 | PERETTI, TERESA | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 1.46 | 0.00 | 1.46 | 90.0 | 0.02 |
| 11/18/2016 | CENTANNI, BETTY | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 0.40 | 0.00 | 0.40 | 90.0 | 0.01 |
| 11/18/2016 | CENTANNI, RICHARD | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 0.78 | 0.00 | 0.78 | 90.0 | 0.01 |
| 11/18/2016 | NATHAN, EDWARD | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 0.53 | 0.00 | 0.53 | 90.0 | 0.01 |
| 11/18/2016 | NATHAN, EDWARD | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 0.87 | 0.00 | 0.87 | 90.0 | 0.01 |
| 11/18/2016 | NATHAN, SUSAN | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 0.53 | 0.00 | 0.53 | 90.0 | 0.01 |
| 12/15/2016 | CHERRY, AYDEN | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 0.71 | 0.00 | 0.71 | 90.0 | 0.01 |
| 12/15/2016 | LINSKY, LISA | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 3.62 | 0.00 | 3.62 | 90.0 | 0.06 |
| 12/15/2016 | RIZZO, DIANE | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 1.30 | 0.00 | 1.30 | 90.0 | 0.02 |

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| DATE | CLIENT | INVESTMENT | INVESTMENT AMOUNT | GROSS COMMISSION | CLEARING CHARGE | NET COMMISSION | RATE | BROKER COMMISSION |
|--|--------------------------|------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u> OVERRIDE TRANSACTIONS </u> | | | | | | | | |
| <u> BROKER: MARC, L134 LINSKY #263 </u> | | | | | | | | |
| 12/15/2016 | OLIVETI, FRANK | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 4.96 | 0.00 | 4.96 | 90.0 | 0.08 |
| 12/15/2016 | BERK, SHERRI | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 3.55 | 0.00 | 3.55 | 90.0 | 0.06 |
| 12/15/2016 | PERETTI, TERESA | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 1.42 | 0.00 | 1.42 | 90.0 | 0.02 |
| 12/15/2016 | CENTANNI, BETTY | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 0.39 | 0.00 | 0.39 | 90.0 | 0.01 |
| 12/15/2016 | CENTANNI, RICHARD | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 0.75 | 0.00 | 0.75 | 90.0 | 0.01 |
| 12/15/2016 | NATHAN, EDWARD | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 0.51 | 0.00 | 0.51 | 90.0 | 0.01 |
| 12/15/2016 | NATHAN, EDWARD | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 0.84 | 0.00 | 0.84 | 90.0 | 0.01 |
| 12/15/2016 | NATHAN, SUSAN | AM FUNDS GROWTH FUND OF AMERICA A | 0.00 | 0.51 | 0.00 | 0.51 | 90.0 | 0.01 |
| 02/15/2018 | BERK, SHERRI | AM FUNDS GROWTH FUND OF AMERICA A | 220.04 | 9.35 | 22.00 | -12.65 | 90.0 | -0.22 |
| 02/16/2016 | SPECTER, LINDSAY | AM FUNDS GROWTH FUND OF AMERICA C | 0.00 | 1.97 | 0.00 | 1.97 | 90.0 | 0.03 |
| 03/15/2016 | SPECTER, LINDSAY | AM FUNDS GROWTH FUND OF AMERICA C | 0.00 | 1.78 | 0.00 | 1.78 | 90.0 | 0.03 |
| 04/20/2016 | SPECTER, LINDSAY | AM FUNDS GROWTH FUND OF AMERICA C | 0.00 | 2.02 | 0.00 | 2.02 | 90.0 | 0.03 |
| 05/16/2016 | SPECTER, LINDSAY | AM FUNDS GROWTH FUND OF AMERICA C | 0.00 | 2.02 | 0.00 | 2.02 | 90.0 | 0.03 |
| 06/15/2016 | SPECTER, LINDSAY | AM FUNDS GROWTH FUND OF AMERICA C | 0.00 | 2.09 | 0.00 | 2.09 | 90.0 | 0.04 |
| 07/18/2016 | SPECTER, LINDSAY | AM FUNDS GROWTH FUND OF AMERICA C | 0.00 | 2.05 | 0.00 | 2.05 | 90.0 | 0.03 |
| 08/15/2016 | SPECTER, LINDSAY | AM FUNDS GROWTH FUND OF AMERICA C | 0.00 | 2.17 | 0.00 | 2.17 | 90.0 | 0.04 |
| 09/16/2016 | SPECTER, LINDSAY | AM FUNDS GROWTH FUND OF AMERICA C | 0.00 | 2.23 | 0.00 | 2.23 | 90.0 | 0.04 |
| 10/17/2016 | SPECTER, LINDSAY | AM FUNDS GROWTH FUND OF AMERICA C | 0.00 | 2.14 | 0.00 | 2.14 | 90.0 | 0.04 |
| 11/18/2016 | SPECTER, LINDSAY | AM FUNDS GROWTH FUND OF AMERICA C | 0.00 | 2.23 | 0.00 | 2.23 | 90.0 | 0.04 |
| 12/15/2016 | SPECTER, LINDSAY | AM FUNDS GROWTH FUND OF AMERICA C | 0.00 | 2.16 | 0.00 | 2.16 | 90.0 | 0.04 |
| 02/16/2016 | SPECTER TRUST, STEPHANIE | AM FUNDS GROWTH FUND OF AMERICA F1 | 0.00 | 10.46 | 0.00 | 10.46 | 90.0 | 0.18 |
| 02/16/2016 | POLLAN, PATRICIA | AM FUNDS GROWTH FUND OF AMERICA F1 | 0.00 | 2.11 | 0.00 | 2.11 | 90.0 | 0.04 |
| 02/16/2016 | POLLAN, JACLYN | AM FUNDS GROWTH FUND OF AMERICA F1 | 0.00 | 1.90 | 0.00 | 1.90 | 90.0 | 0.03 |
| 02/16/2016 | SPECTER, LINDSAY | AM FUNDS GROWTH FUND OF AMERICA F1 | 0.00 | 3.90 | 0.00 | 3.90 | 90.0 | 0.07 |
| 02/16/2016 | SPECTER, SHELBY | AM FUNDS GROWTH FUND OF AMERICA F1 | 0.00 | 3.96 | 0.00 | 3.96 | 90.0 | 0.07 |
| 03/15/2016 | SPECTER TRUST, STEPHANIE | AM FUNDS GROWTH FUND OF AMERICA F1 | 0.00 | 9.44 | 0.00 | 9.44 | 90.0 | 0.16 |
| 03/15/2016 | POLLAN, JACLYN | AM FUNDS GROWTH FUND OF AMERICA F1 | 0.00 | 1.72 | 0.00 | 1.72 | 90.0 | 0.03 |
| 03/15/2016 | SPECTER, LINDSAY | AM FUNDS GROWTH FUND OF AMERICA F1 | 0.00 | 3.52 | 0.00 | 3.52 | 90.0 | 0.06 |
| 03/15/2016 | SPECTER, SHELBY | AM FUNDS GROWTH FUND OF AMERICA F1 | 0.00 | 3.58 | 0.00 | 3.58 | 90.0 | 0.06 |
| 04/20/2016 | SPECTER TRUST, STEPHANIE | AM FUNDS GROWTH FUND OF AMERICA F1 | 0.00 | 10.75 | 0.00 | 10.75 | 90.0 | 0.18 |
| 04/20/2016 | POLLAN, JACLYN | AM FUNDS GROWTH FUND OF AMERICA F1 | 0.00 | 1.96 | 0.00 | 1.96 | 90.0 | 0.03 |
| 04/20/2016 | SPECTER, LINDSAY | AM FUNDS GROWTH FUND OF AMERICA F1 | 0.00 | 4.01 | 0.00 | 4.01 | 90.0 | 0.07 |
| 04/20/2016 | SPECTER, SHELBY | AM FUNDS GROWTH FUND OF AMERICA F1 | 0.00 | 4.08 | 0.00 | 4.08 | 90.0 | 0.07 |

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|--|--------------------------|------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u> OVERRIDE TRANSACTIONS </u> | | | | | | | | |
| <u> BROKER: MARC, L134 LINSKY #263 </u> | | | | | | | | |
| 05/16/2016 | SPECTER TRUST, STEPHANIE | AM FUNDS GROWTH FUND OF AMERICA F1 | 0.00 | 10.76 | 0.00 | 10.76 | 90.0 | 0.18 |
| 05/16/2016 | POLLAN, JACLYN | AM FUNDS GROWTH FUND OF AMERICA F1 | 0.00 | 1.96 | 0.00 | 1.96 | 90.0 | 0.03 |
| 05/16/2016 | SPECTER, LINDSAY | AM FUNDS GROWTH FUND OF AMERICA F1 | 0.00 | 4.01 | 0.00 | 4.01 | 90.0 | 0.07 |
| 05/16/2016 | SPECTER, SHELBY | AM FUNDS GROWTH FUND OF AMERICA F1 | 0.00 | 4.08 | 0.00 | 4.08 | 90.0 | 0.07 |
| 06/15/2016 | SPECTER TRUST, STEPHANIE | AM FUNDS GROWTH FUND OF AMERICA F1 | 0.00 | 11.12 | 0.00 | 11.12 | 90.0 | 0.19 |
| 06/15/2016 | POLLAN, JACLYN | AM FUNDS GROWTH FUND OF AMERICA F1 | 0.00 | 2.02 | 0.00 | 2.02 | 90.0 | 0.03 |
| 06/15/2016 | SPECTER, LINDSAY | AM FUNDS GROWTH FUND OF AMERICA F1 | 0.00 | 4.15 | 0.00 | 4.15 | 90.0 | 0.07 |
| 06/15/2016 | SPECTER, SHELBY | AM FUNDS GROWTH FUND OF AMERICA F1 | 0.00 | 4.21 | 0.00 | 4.21 | 90.0 | 0.07 |
| 07/18/2016 | SPECTER TRUST, STEPHANIE | AM FUNDS GROWTH FUND OF AMERICA F1 | 0.00 | 10.92 | 0.00 | 10.92 | 90.0 | 0.19 |
| 07/18/2016 | POLLAN, JACLYN | AM FUNDS GROWTH FUND OF AMERICA F1 | 0.00 | 1.99 | 0.00 | 1.99 | 90.0 | 0.03 |
| 07/18/2016 | SPECTER, LINDSAY | AM FUNDS GROWTH FUND OF AMERICA F1 | 0.00 | 4.07 | 0.00 | 4.07 | 90.0 | 0.07 |
| 07/18/2016 | SPECTER, SHELBY | AM FUNDS GROWTH FUND OF AMERICA F1 | 0.00 | 4.14 | 0.00 | 4.14 | 90.0 | 0.07 |
| 08/15/2016 | SPECTER TRUST, STEPHANIE | AM FUNDS GROWTH FUND OF AMERICA F1 | 0.00 | 11.57 | 0.00 | 11.57 | 90.0 | 0.20 |
| 08/15/2016 | POLLAN, JACLYN | AM FUNDS GROWTH FUND OF AMERICA F1 | 0.00 | 2.11 | 0.00 | 2.11 | 90.0 | 0.04 |
| 08/15/2016 | SPECTER, LINDSAY | AM FUNDS GROWTH FUND OF AMERICA F1 | 0.00 | 4.32 | 0.00 | 4.32 | 90.0 | 0.07 |
| 08/15/2016 | SPECTER, SHELBY | AM FUNDS GROWTH FUND OF AMERICA F1 | 0.00 | 4.38 | 0.00 | 4.38 | 90.0 | 0.07 |
| 09/16/2016 | SPECTER TRUST, STEPHANIE | AM FUNDS GROWTH FUND OF AMERICA F1 | 0.00 | 8.04 | 0.00 | 8.04 | 90.0 | 0.14 |
| 09/16/2016 | POLLAN, JACLYN | AM FUNDS GROWTH FUND OF AMERICA F1 | 0.00 | 2.16 | 0.00 | 2.16 | 90.0 | 0.04 |
| 09/16/2016 | SPECTER, LINDSAY | AM FUNDS GROWTH FUND OF AMERICA F1 | 0.00 | 4.43 | 0.00 | 4.43 | 90.0 | 0.08 |
| 09/16/2016 | SPECTER, SHELBY | AM FUNDS GROWTH FUND OF AMERICA F1 | 0.00 | 4.50 | 0.00 | 4.50 | 90.0 | 0.08 |
| 10/17/2016 | POLLAN, JACLYN | AM FUNDS GROWTH FUND OF AMERICA F1 | 0.00 | 2.09 | 0.00 | 2.09 | 90.0 | 0.04 |
| 10/17/2016 | SPECTER, LINDSAY | AM FUNDS GROWTH FUND OF AMERICA F1 | 0.00 | 4.28 | 0.00 | 4.28 | 90.0 | 0.07 |
| 10/17/2016 | SPECTER, SHELBY | AM FUNDS GROWTH FUND OF AMERICA F1 | 0.00 | 4.34 | 0.00 | 4.34 | 90.0 | 0.07 |
| 11/18/2016 | POLLAN, JACLYN | AM FUNDS GROWTH FUND OF AMERICA F1 | 0.00 | 2.17 | 0.00 | 2.17 | 90.0 | 0.04 |
| 11/18/2016 | SPECTER, LINDSAY | AM FUNDS GROWTH FUND OF AMERICA F1 | 0.00 | 4.44 | 0.00 | 4.44 | 90.0 | 0.08 |
| 11/18/2016 | SPECTER, SHELBY | AM FUNDS GROWTH FUND OF AMERICA F1 | 0.00 | 4.51 | 0.00 | 4.51 | 90.0 | 0.08 |
| 12/15/2016 | POLLAN, JACLYN | AM FUNDS GROWTH FUND OF AMERICA F1 | 0.00 | 2.10 | 0.00 | 2.10 | 90.0 | 0.04 |
| 12/15/2016 | SPECTER, LINDSAY | AM FUNDS GROWTH FUND OF AMERICA F1 | 0.00 | 4.30 | 0.00 | 4.30 | 90.0 | 0.07 |
| 12/15/2016 | SPECTER, SHELBY | AM FUNDS GROWTH FUND OF AMERICA F1 | 0.00 | 4.37 | 0.00 | 4.37 | 90.0 | 0.07 |
| 02/16/2016 | RIZZO, DIANE | AM FUNDS ICA A | 0.00 | 1.10 | 0.00 | 1.10 | 90.0 | 0.02 |
| 02/16/2016 | FLEISCH, ROBERT | AM FUNDS ICA A | 0.00 | 7.11 | 0.00 | 7.11 | 90.0 | 0.12 |
| 02/16/2016 | NATHAN, EDWARD | AM FUNDS ICA A | 0.00 | 0.42 | 0.00 | 0.42 | 90.0 | 0.01 |
| 02/16/2016 | NATHAN, EDWARD | AM FUNDS ICA A | 0.00 | 0.68 | 0.00 | 0.68 | 90.0 | 0.01 |

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|--|------------------|----------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u> OVERRIDE TRANSACTIONS </u> | | | | | | | | |
| <u> BROKER: MARC, L134 LINSKY #263 </u> | | | | | | | | |
| 02/16/2016 | NATHAN, SUSAN | AM FUNDS ICA A | 0.00 | 0.41 | 0.00 | 0.41 | 90.0 | 0.01 |
| 02/16/2016 | NAGLE, JOSEPHINE | AM FUNDS ICA A | 0.00 | 0.43 | 0.00 | 0.43 | 90.0 | 0.01 |
| 03/15/2016 | RIZZO, DIANE | AM FUNDS ICA A | 0.00 | 1.03 | 0.00 | 1.03 | 90.0 | 0.02 |
| 03/15/2016 | FLEISCH, ROBERT | AM FUNDS ICA A | 0.00 | 6.66 | 0.00 | 6.66 | 90.0 | 0.11 |
| 03/15/2016 | NATHAN, EDWARD | AM FUNDS ICA A | 0.00 | 0.39 | 0.00 | 0.39 | 90.0 | 0.01 |
| 03/15/2016 | NATHAN, EDWARD | AM FUNDS ICA A | 0.00 | 0.64 | 0.00 | 0.64 | 90.0 | 0.01 |
| 03/15/2016 | NATHAN, SUSAN | AM FUNDS ICA A | 0.00 | 0.39 | 0.00 | 0.39 | 90.0 | 0.01 |
| 03/15/2016 | NAGLE, JOSEPHINE | AM FUNDS ICA A | 0.00 | 2.09 | 0.00 | 2.09 | 90.0 | 0.04 |
| 04/20/2016 | RIZZO, DIANE | AM FUNDS ICA A | 0.00 | 1.17 | 0.00 | 1.17 | 90.0 | 0.02 |
| 04/20/2016 | FLEISCH, ROBERT | AM FUNDS ICA A | 0.00 | 7.60 | 0.00 | 7.60 | 90.0 | 0.13 |
| 04/20/2016 | NATHAN, EDWARD | AM FUNDS ICA A | 0.00 | 0.44 | 0.00 | 0.44 | 90.0 | 0.01 |
| 04/20/2016 | NATHAN, EDWARD | AM FUNDS ICA A | 0.00 | 0.73 | 0.00 | 0.73 | 90.0 | 0.01 |
| 04/20/2016 | NATHAN, SUSAN | AM FUNDS ICA A | 0.00 | 0.44 | 0.00 | 0.44 | 90.0 | 0.01 |
| 04/20/2016 | NAGLE, JOSEPHINE | AM FUNDS ICA A | 0.00 | 2.38 | 0.00 | 2.38 | 90.0 | 0.04 |
| 05/16/2016 | RIZZO, DIANE | AM FUNDS ICA A | 0.00 | 1.17 | 0.00 | 1.17 | 90.0 | 0.02 |
| 05/16/2016 | FLEISCH, ROBERT | AM FUNDS ICA A | 0.00 | 7.59 | 0.00 | 7.59 | 90.0 | 0.13 |
| 05/16/2016 | NATHAN, EDWARD | AM FUNDS ICA A | 0.00 | 0.44 | 0.00 | 0.44 | 90.0 | 0.01 |
| 05/16/2016 | NATHAN, EDWARD | AM FUNDS ICA A | 0.00 | 0.72 | 0.00 | 0.72 | 90.0 | 0.01 |
| 05/16/2016 | NATHAN, SUSAN | AM FUNDS ICA A | 0.00 | 0.44 | 0.00 | 0.44 | 90.0 | 0.01 |
| 05/16/2016 | NAGLE, JOSEPHINE | AM FUNDS ICA A | 0.00 | 2.38 | 0.00 | 2.38 | 90.0 | 0.04 |
| 06/15/2016 | RIZZO, DIANE | AM FUNDS ICA A | 0.00 | 1.21 | 0.00 | 1.21 | 90.0 | 0.02 |
| 06/15/2016 | FLEISCH, ROBERT | AM FUNDS ICA A | 0.00 | 7.83 | 0.00 | 7.83 | 90.0 | 0.13 |
| 06/15/2016 | NATHAN, EDWARD | AM FUNDS ICA A | 0.00 | 0.46 | 0.00 | 0.46 | 90.0 | 0.01 |
| 06/15/2016 | NATHAN, EDWARD | AM FUNDS ICA A | 0.00 | 0.75 | 0.00 | 0.75 | 90.0 | 0.01 |
| 06/15/2016 | NATHAN, SUSAN | AM FUNDS ICA A | 0.00 | 0.46 | 0.00 | 0.46 | 90.0 | 0.01 |
| 06/15/2016 | NAGLE, JOSEPHINE | AM FUNDS ICA A | 0.00 | 2.46 | 0.00 | 2.46 | 90.0 | 0.04 |
| 07/18/2016 | RIZZO, DIANE | AM FUNDS ICA A | 0.00 | 1.19 | 0.00 | 1.19 | 90.0 | 0.02 |
| 07/18/2016 | FLEISCH, ROBERT | AM FUNDS ICA A | 0.00 | 7.68 | 0.00 | 7.68 | 90.0 | 0.13 |
| 07/18/2016 | NATHAN, EDWARD | AM FUNDS ICA A | 0.00 | 0.45 | 0.00 | 0.45 | 90.0 | 0.01 |
| 07/18/2016 | NATHAN, EDWARD | AM FUNDS ICA A | 0.00 | 0.73 | 0.00 | 0.73 | 90.0 | 0.01 |
| 07/18/2016 | NATHAN, SUSAN | AM FUNDS ICA A | 0.00 | 0.45 | 0.00 | 0.45 | 90.0 | 0.01 |
| 07/18/2016 | NAGLE, JOSEPHINE | AM FUNDS ICA A | 0.00 | 2.41 | 0.00 | 2.41 | 90.0 | 0.04 |
| 07/18/2016 | TAYLOR, THOMAS | AM FUNDS ICA A | 0.00 | 0.46 | 0.00 | 0.46 | 90.0 | 0.01 |

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| DATE | CLIENT | INVESTMENT | INVESTMENT AMOUNT | GROSS COMMISSION | CLEARING CHARGE | NET COMMISSION | RATE | BROKER COMMISSION |
|--|------------------|----------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u> OVERRIDE TRANSACTIONS </u> | | | | | | | | |
| <u> BROKER: MARC, L134 LINSKY #263 </u> | | | | | | | | |
| 07/18/2016 | TAYLOR, DIANE | AM FUNDS ICA A | 0.00 | 0.46 | 0.00 | 0.46 | 90.0 | 0.01 |
| 08/15/2016 | RIZZO, DIANE | AM FUNDS ICA A | 0.00 | 1.27 | 0.00 | 1.27 | 90.0 | 0.02 |
| 08/15/2016 | FLEISCH, ROBERT | AM FUNDS ICA A | 0.00 | 8.19 | 0.00 | 8.19 | 90.0 | 0.14 |
| 08/15/2016 | NATHAN, EDWARD | AM FUNDS ICA A | 0.00 | 0.48 | 0.00 | 0.48 | 90.0 | 0.01 |
| 08/15/2016 | NATHAN, EDWARD | AM FUNDS ICA A | 0.00 | 0.78 | 0.00 | 0.78 | 90.0 | 0.01 |
| 08/15/2016 | NATHAN, SUSAN | AM FUNDS ICA A | 0.00 | 0.48 | 0.00 | 0.48 | 90.0 | 0.01 |
| 08/15/2016 | NAGLE, JOSEPHINE | AM FUNDS ICA A | 0.00 | 2.57 | 0.00 | 2.57 | 90.0 | 0.04 |
| 08/15/2016 | TAYLOR, THOMAS | AM FUNDS ICA A | 0.00 | 0.49 | 0.00 | 0.49 | 90.0 | 0.01 |
| 08/15/2016 | TAYLOR, DIANE | AM FUNDS ICA A | 0.00 | 0.49 | 0.00 | 0.49 | 90.0 | 0.01 |
| 09/16/2016 | RIZZO, DIANE | AM FUNDS ICA A | 0.00 | 1.29 | 0.00 | 1.29 | 90.0 | 0.02 |
| 09/16/2016 | FLEISCH, ROBERT | AM FUNDS ICA A | 0.00 | 7.90 | 0.00 | 7.90 | 90.0 | 0.13 |
| 09/16/2016 | NATHAN, EDWARD | AM FUNDS ICA A | 0.00 | 0.49 | 0.00 | 0.49 | 90.0 | 0.01 |
| 09/16/2016 | NATHAN, EDWARD | AM FUNDS ICA A | 0.00 | 0.79 | 0.00 | 0.79 | 90.0 | 0.01 |
| 09/16/2016 | NATHAN, SUSAN | AM FUNDS ICA A | 0.00 | 0.48 | 0.00 | 0.48 | 90.0 | 0.01 |
| 09/16/2016 | NAGLE, JOSEPHINE | AM FUNDS ICA A | 0.00 | 2.61 | 0.00 | 2.61 | 90.0 | 0.04 |
| 09/16/2016 | TAYLOR, THOMAS | AM FUNDS ICA A | 0.00 | 0.49 | 0.00 | 0.49 | 90.0 | 0.01 |
| 09/16/2016 | TAYLOR, DIANE | AM FUNDS ICA A | 0.00 | 0.49 | 0.00 | 0.49 | 90.0 | 0.01 |
| 10/17/2016 | RIZZO, DIANE | AM FUNDS ICA A | 0.00 | 1.23 | 0.00 | 1.23 | 90.0 | 0.02 |
| 10/17/2016 | FLEISCH, ROBERT | AM FUNDS ICA A | 0.00 | 7.38 | 0.00 | 7.38 | 90.0 | 0.13 |
| 10/17/2016 | NATHAN, EDWARD | AM FUNDS ICA A | 0.00 | 0.47 | 0.00 | 0.47 | 90.0 | 0.01 |
| 10/17/2016 | NATHAN, EDWARD | AM FUNDS ICA A | 0.00 | 0.76 | 0.00 | 0.76 | 90.0 | 0.01 |
| 10/17/2016 | NATHAN, SUSAN | AM FUNDS ICA A | 0.00 | 0.46 | 0.00 | 0.46 | 90.0 | 0.01 |
| 10/17/2016 | NAGLE, JOSEPHINE | AM FUNDS ICA A | 0.00 | 2.50 | 0.00 | 2.50 | 90.0 | 0.04 |
| 10/17/2016 | TAYLOR, THOMAS | AM FUNDS ICA A | 0.00 | 0.47 | 0.00 | 0.47 | 90.0 | 0.01 |
| 10/17/2016 | TAYLOR, DIANE | AM FUNDS ICA A | 0.00 | 0.47 | 0.00 | 0.47 | 90.0 | 0.01 |
| 11/18/2016 | RIZZO, DIANE | AM FUNDS ICA A | 0.00 | 1.28 | 0.00 | 1.28 | 90.0 | 0.02 |
| 11/18/2016 | FLEISCH, ROBERT | AM FUNDS ICA A | 0.00 | 7.62 | 0.00 | 7.62 | 90.0 | 0.13 |
| 11/18/2016 | NATHAN, EDWARD | AM FUNDS ICA A | 0.00 | 0.48 | 0.00 | 0.48 | 90.0 | 0.01 |
| 11/18/2016 | NATHAN, EDWARD | AM FUNDS ICA A | 0.00 | 0.79 | 0.00 | 0.79 | 90.0 | 0.01 |
| 11/18/2016 | NATHAN, SUSAN | AM FUNDS ICA A | 0.00 | 0.48 | 0.00 | 0.48 | 90.0 | 0.01 |
| 11/18/2016 | NAGLE, JOSEPHINE | AM FUNDS ICA A | 0.00 | 1.67 | 0.00 | 1.67 | 90.0 | 0.03 |
| 11/18/2016 | TAYLOR, THOMAS | AM FUNDS ICA A | 0.00 | 0.49 | 0.00 | 0.49 | 90.0 | 0.01 |
| 11/18/2016 | TAYLOR, DIANE | AM FUNDS ICA A | 0.00 | 0.49 | 0.00 | 0.49 | 90.0 | 0.01 |

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|--|--------------------------|-----------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u> OVERRIDE TRANSACTIONS </u> | | | | | | | | |
| <u> BROKER: MARC, L134 LINSKY #263 </u> | | | | | | | | |
| 11/18/2016 | APPLEGATE, PAMAELA | AM FUNDS ICA A | 0.00 | 0.36 | 0.00 | 0.36 | 90.0 | 0.01 |
| 12/15/2016 | RIZZO, DIANE | AM FUNDS ICA A | 0.00 | 1.24 | 0.00 | 1.24 | 90.0 | 0.02 |
| 12/15/2016 | FLEISCH, ROBERT | AM FUNDS ICA A | 0.00 | 7.43 | 0.00 | 7.43 | 90.0 | 0.13 |
| 12/15/2016 | NATHAN, EDWARD | AM FUNDS ICA A | 0.00 | 0.47 | 0.00 | 0.47 | 90.0 | 0.01 |
| 12/15/2016 | NATHAN, EDWARD | AM FUNDS ICA A | 0.00 | 0.77 | 0.00 | 0.77 | 90.0 | 0.01 |
| 12/15/2016 | NATHAN, SUSAN | AM FUNDS ICA A | 0.00 | 0.47 | 0.00 | 0.47 | 90.0 | 0.01 |
| 12/15/2016 | TAYLOR, THOMAS | AM FUNDS ICA A | 0.00 | 0.48 | 0.00 | 0.48 | 90.0 | 0.01 |
| 12/15/2016 | TAYLOR, DIANE | AM FUNDS ICA A | 0.00 | 0.48 | 0.00 | 0.48 | 90.0 | 0.01 |
| 12/15/2016 | APPLEGATE, PAMAELA | AM FUNDS ICA A | 0.00 | 0.83 | 0.00 | 0.83 | 90.0 | 0.01 |
| 02/15/2018 | BOND-HILTNER, LINDA | AM FUNDS ICA A | 836.76 | 41.84 | 22.00 | 19.84 | 90.0 | 0.34 |
| 02/16/2016 | SPECTER, SHELBY | AM FUNDS ICA C | 0.00 | 4.01 | 0.00 | 4.01 | 90.0 | 0.07 |
| 03/15/2016 | SPECTER, SHELBY | AM FUNDS ICA C | 0.00 | 3.75 | 0.00 | 3.75 | 90.0 | 0.06 |
| 04/20/2016 | SPECTER, SHELBY | AM FUNDS ICA C | 0.00 | 4.27 | 0.00 | 4.27 | 90.0 | 0.07 |
| 05/16/2016 | SPECTER, SHELBY | AM FUNDS ICA C | 0.00 | 4.27 | 0.00 | 4.27 | 90.0 | 0.07 |
| 06/15/2016 | SPECTER, SHELBY | AM FUNDS ICA C | 0.00 | 4.40 | 0.00 | 4.40 | 90.0 | 0.07 |
| 07/18/2016 | SPECTER, SHELBY | AM FUNDS ICA C | 0.00 | 4.31 | 0.00 | 4.31 | 90.0 | 0.07 |
| 08/15/2016 | SPECTER, SHELBY | AM FUNDS ICA C | 0.00 | 4.60 | 0.00 | 4.60 | 90.0 | 0.08 |
| 09/16/2016 | SPECTER, SHELBY | AM FUNDS ICA C | 0.00 | 4.67 | 0.00 | 4.67 | 90.0 | 0.08 |
| 10/17/2016 | SPECTER, SHELBY | AM FUNDS ICA C | 0.00 | 4.47 | 0.00 | 4.47 | 90.0 | 0.08 |
| 11/18/2016 | SPECTER, SHELBY | AM FUNDS ICA C | 0.00 | 4.62 | 0.00 | 4.62 | 90.0 | 0.08 |
| 12/15/2016 | SPECTER, SHELBY | AM FUNDS ICA C | 0.00 | 4.50 | 0.00 | 4.50 | 90.0 | 0.08 |
| 02/16/2016 | SPECTER TRUST, STEPHANIE | AM FUNDS ICA F1 | 0.00 | 9.24 | 0.00 | 9.24 | 90.0 | 0.16 |
| 02/16/2016 | POLLAN, PATRICIA | AM FUNDS ICA F1 | 0.00 | 2.16 | 0.00 | 2.16 | 90.0 | 0.04 |
| 02/16/2016 | SPECTER, LINDSAY | AM FUNDS ICA F1 | 0.00 | 3.58 | 0.00 | 3.58 | 90.0 | 0.06 |
| 02/16/2016 | SPECTER, SHELBY | AM FUNDS ICA F1 | 0.00 | 3.43 | 0.00 | 3.43 | 90.0 | 0.06 |
| 03/15/2016 | SPECTER TRUST, STEPHANIE | AM FUNDS ICA F1 | 0.00 | 8.66 | 0.00 | 8.66 | 90.0 | 0.15 |
| 03/15/2016 | SPECTER, LINDSAY | AM FUNDS ICA F1 | 0.00 | 3.36 | 0.00 | 3.36 | 90.0 | 0.06 |
| 03/15/2016 | SPECTER, SHELBY | AM FUNDS ICA F1 | 0.00 | 3.22 | 0.00 | 3.22 | 90.0 | 0.05 |
| 04/20/2016 | SPECTER TRUST, STEPHANIE | AM FUNDS ICA F1 | 0.00 | 9.87 | 0.00 | 9.87 | 90.0 | 0.17 |
| 04/20/2016 | SPECTER, LINDSAY | AM FUNDS ICA F1 | 0.00 | 3.83 | 0.00 | 3.83 | 90.0 | 0.07 |
| 04/20/2016 | SPECTER, SHELBY | AM FUNDS ICA F1 | 0.00 | 3.67 | 0.00 | 3.67 | 90.0 | 0.06 |
| 05/16/2016 | SPECTER TRUST, STEPHANIE | AM FUNDS ICA F1 | 0.00 | 9.86 | 0.00 | 9.86 | 90.0 | 0.17 |
| 05/16/2016 | SPECTER, LINDSAY | AM FUNDS ICA F1 | 0.00 | 3.82 | 0.00 | 3.82 | 90.0 | 0.06 |

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|--|--------------------------|-----------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u> OVERRIDE TRANSACTIONS </u> | | | | | | | | |
| <u> BROKER: MARC, L134 LINSKY #263 </u> | | | | | | | | |
| 05/16/2016 | SPECTER, SHELBY | AM FUNDS ICA F1 | 0.00 | 3.66 | 0.00 | 3.66 | 90.0 | 0.06 |
| 06/15/2016 | SPECTER TRUST, STEPHANIE | AM FUNDS ICA F1 | 0.00 | 10.17 | 0.00 | 10.17 | 90.0 | 0.17 |
| 06/15/2016 | SPECTER, LINDSAY | AM FUNDS ICA F1 | 0.00 | 3.95 | 0.00 | 3.95 | 90.0 | 0.07 |
| 06/15/2016 | SPECTER, SHELBY | AM FUNDS ICA F1 | 0.00 | 3.78 | 0.00 | 3.78 | 90.0 | 0.06 |
| 07/18/2016 | SPECTER TRUST, STEPHANIE | AM FUNDS ICA F1 | 0.00 | 9.98 | 0.00 | 9.98 | 90.0 | 0.17 |
| 07/18/2016 | SPECTER, LINDSAY | AM FUNDS ICA F1 | 0.00 | 3.87 | 0.00 | 3.87 | 90.0 | 0.07 |
| 07/18/2016 | SPECTER, SHELBY | AM FUNDS ICA F1 | 0.00 | 3.71 | 0.00 | 3.71 | 90.0 | 0.06 |
| 08/15/2016 | SPECTER TRUST, STEPHANIE | AM FUNDS ICA F1 | 0.00 | 10.64 | 0.00 | 10.64 | 90.0 | 0.18 |
| 08/15/2016 | SPECTER, LINDSAY | AM FUNDS ICA F1 | 0.00 | 4.13 | 0.00 | 4.13 | 90.0 | 0.07 |
| 08/15/2016 | SPECTER, SHELBY | AM FUNDS ICA F1 | 0.00 | 3.96 | 0.00 | 3.96 | 90.0 | 0.07 |
| 09/16/2016 | SPECTER TRUST, STEPHANIE | AM FUNDS ICA F1 | 0.00 | 10.81 | 0.00 | 10.81 | 90.0 | 0.18 |
| 09/16/2016 | SPECTER, LINDSAY | AM FUNDS ICA F1 | 0.00 | 4.20 | 0.00 | 4.20 | 90.0 | 0.07 |
| 09/16/2016 | SPECTER, SHELBY | AM FUNDS ICA F1 | 0.00 | 4.02 | 0.00 | 4.02 | 90.0 | 0.07 |
| 10/17/2016 | SPECTER TRUST, STEPHANIE | AM FUNDS ICA F1 | 0.00 | 10.37 | 0.00 | 10.37 | 90.0 | 0.18 |
| 10/17/2016 | SPECTER, LINDSAY | AM FUNDS ICA F1 | 0.00 | 4.02 | 0.00 | 4.02 | 90.0 | 0.07 |
| 10/17/2016 | SPECTER, SHELBY | AM FUNDS ICA F1 | 0.00 | 3.85 | 0.00 | 3.85 | 90.0 | 0.07 |
| 11/18/2016 | SPECTER TRUST, STEPHANIE | AM FUNDS ICA F1 | 0.00 | 10.70 | 0.00 | 10.70 | 90.0 | 0.18 |
| 11/18/2016 | SPECTER, LINDSAY | AM FUNDS ICA F1 | 0.00 | 4.15 | 0.00 | 4.15 | 90.0 | 0.07 |
| 11/18/2016 | SPECTER, SHELBY | AM FUNDS ICA F1 | 0.00 | 3.98 | 0.00 | 3.98 | 90.0 | 0.07 |
| 12/15/2016 | SPECTER TRUST, STEPHANIE | AM FUNDS ICA F1 | 0.00 | 10.44 | 0.00 | 10.44 | 90.0 | 0.18 |
| 12/15/2016 | SPECTER, LINDSAY | AM FUNDS ICA F1 | 0.00 | 4.05 | 0.00 | 4.05 | 90.0 | 0.07 |
| 12/15/2016 | SPECTER, SHELBY | AM FUNDS ICA F1 | 0.00 | 3.88 | 0.00 | 3.88 | 90.0 | 0.07 |
| 02/16/2016 | GARAFOLA, MICHAEL | AM FUNDS INCOME FUND OF AMERICA A | 0.00 | 4.38 | 0.00 | 4.38 | 90.0 | 0.07 |
| 02/16/2016 | GARAFOLA, GRACE | AM FUNDS INCOME FUND OF AMERICA A | 0.00 | 3.61 | 0.00 | 3.61 | 90.0 | 0.06 |
| 02/16/2016 | GARAFOLA, MICHAEL | AM FUNDS INCOME FUND OF AMERICA A | 0.00 | 17.58 | 0.00 | 17.58 | 90.0 | 0.30 |
| 02/16/2016 | MEDIA ENTERPRISES | AM FUNDS INCOME FUND OF AMERICA A | 0.00 | 2.48 | 0.00 | 2.48 | 90.0 | 0.04 |
| 02/16/2016 | GOLDBERGER, ANNA | AM FUNDS INCOME FUND OF AMERICA A | 0.00 | 4.34 | 0.00 | 4.34 | 90.0 | 0.07 |
| 03/15/2016 | GARAFOLA, MICHAEL | AM FUNDS INCOME FUND OF AMERICA A | 0.00 | 4.10 | 0.00 | 4.10 | 90.0 | 0.07 |
| 03/15/2016 | GARAFOLA, GRACE | AM FUNDS INCOME FUND OF AMERICA A | 0.00 | 3.38 | 0.00 | 3.38 | 90.0 | 0.06 |
| 03/15/2016 | GARAFOLA, MICHAEL | AM FUNDS INCOME FUND OF AMERICA A | 0.00 | 16.48 | 0.00 | 16.48 | 90.0 | 0.28 |
| 03/15/2016 | MEDIA ENTERPRISES | AM FUNDS INCOME FUND OF AMERICA A | 0.00 | 2.33 | 0.00 | 2.33 | 90.0 | 0.04 |
| 04/20/2016 | GARAFOLA, MICHAEL | AM FUNDS INCOME FUND OF AMERICA A | 0.00 | 4.60 | 0.00 | 4.60 | 90.0 | 0.08 |
| 04/20/2016 | GARAFOLA, GRACE | AM FUNDS INCOME FUND OF AMERICA A | 0.00 | 3.80 | 0.00 | 3.80 | 90.0 | 0.06 |

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|--|-------------------|-----------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u> OVERRIDE TRANSACTIONS </u> | | | | | | | | |
| <u>BROKER: MARC, L134 LINSKY #263</u> | | | | | | | | |
| 04/20/2016 | GARAFOLA, MICHAEL | AM FUNDS INCOME FUND OF AMERICA A | 0.00 | 18.40 | 0.00 | 18.40 | 90.0 | 0.31 |
| 04/20/2016 | MEDIA ENTERPRISES | AM FUNDS INCOME FUND OF AMERICA A | 0.00 | 2.61 | 0.00 | 2.61 | 90.0 | 0.04 |
| 05/16/2016 | GARAFOLA, MICHAEL | AM FUNDS INCOME FUND OF AMERICA A | 0.00 | 4.55 | 0.00 | 4.55 | 90.0 | 0.08 |
| 05/16/2016 | GARAFOLA, GRACE | AM FUNDS INCOME FUND OF AMERICA A | 0.00 | 3.75 | 0.00 | 3.75 | 90.0 | 0.06 |
| 05/16/2016 | GARAFOLA, MICHAEL | AM FUNDS INCOME FUND OF AMERICA A | 0.00 | 18.14 | 0.00 | 18.14 | 90.0 | 0.31 |
| 05/16/2016 | MEDIA ENTERPRISES | AM FUNDS INCOME FUND OF AMERICA A | 0.00 | 2.58 | 0.00 | 2.58 | 90.0 | 0.04 |
| 06/15/2016 | GARAFOLA, MICHAEL | AM FUNDS INCOME FUND OF AMERICA A | 0.00 | 4.71 | 0.00 | 4.71 | 90.0 | 0.08 |
| 06/15/2016 | GARAFOLA, GRACE | AM FUNDS INCOME FUND OF AMERICA A | 0.00 | 3.89 | 0.00 | 3.89 | 90.0 | 0.07 |
| 06/15/2016 | GARAFOLA, MICHAEL | AM FUNDS INCOME FUND OF AMERICA A | 0.00 | 18.76 | 0.00 | 18.76 | 90.0 | 0.32 |
| 06/15/2016 | MEDIA ENTERPRISES | AM FUNDS INCOME FUND OF AMERICA A | 0.00 | 2.67 | 0.00 | 2.67 | 90.0 | 0.05 |
| 07/18/2016 | GARAFOLA, MICHAEL | AM FUNDS INCOME FUND OF AMERICA A | 0.00 | 4.60 | 0.00 | 4.60 | 90.0 | 0.08 |
| 07/18/2016 | GARAFOLA, GRACE | AM FUNDS INCOME FUND OF AMERICA A | 0.00 | 3.81 | 0.00 | 3.81 | 90.0 | 0.06 |
| 07/18/2016 | GARAFOLA, MICHAEL | AM FUNDS INCOME FUND OF AMERICA A | 0.00 | 18.28 | 0.00 | 18.28 | 90.0 | 0.31 |
| 07/18/2016 | MEDIA ENTERPRISES | AM FUNDS INCOME FUND OF AMERICA A | 0.00 | 2.61 | 0.00 | 2.61 | 90.0 | 0.04 |
| 08/15/2016 | GARAFOLA, MICHAEL | AM FUNDS INCOME FUND OF AMERICA A | 0.00 | 4.91 | 0.00 | 4.91 | 90.0 | 0.08 |
| 08/15/2016 | GARAFOLA, GRACE | AM FUNDS INCOME FUND OF AMERICA A | 0.00 | 4.06 | 0.00 | 4.06 | 90.0 | 0.07 |
| 08/15/2016 | GARAFOLA, MICHAEL | AM FUNDS INCOME FUND OF AMERICA A | 0.00 | 19.43 | 0.00 | 19.43 | 90.0 | 0.33 |
| 08/15/2016 | MEDIA ENTERPRISES | AM FUNDS INCOME FUND OF AMERICA A | 0.00 | 2.79 | 0.00 | 2.79 | 90.0 | 0.05 |
| 09/16/2016 | GARAFOLA, MICHAEL | AM FUNDS INCOME FUND OF AMERICA A | 0.00 | 4.94 | 0.00 | 4.94 | 90.0 | 0.08 |
| 09/16/2016 | GARAFOLA, GRACE | AM FUNDS INCOME FUND OF AMERICA A | 0.00 | 4.08 | 0.00 | 4.08 | 90.0 | 0.07 |
| 09/16/2016 | GARAFOLA, MICHAEL | AM FUNDS INCOME FUND OF AMERICA A | 0.00 | 19.55 | 0.00 | 19.55 | 90.0 | 0.33 |
| 09/16/2016 | MEDIA ENTERPRISES | AM FUNDS INCOME FUND OF AMERICA A | 0.00 | 2.80 | 0.00 | 2.80 | 90.0 | 0.05 |
| 10/17/2016 | GARAFOLA, MICHAEL | AM FUNDS INCOME FUND OF AMERICA A | 0.00 | 4.72 | 0.00 | 4.72 | 90.0 | 0.08 |
| 10/17/2016 | GARAFOLA, GRACE | AM FUNDS INCOME FUND OF AMERICA A | 0.00 | 3.90 | 0.00 | 3.90 | 90.0 | 0.07 |
| 10/17/2016 | GARAFOLA, MICHAEL | AM FUNDS INCOME FUND OF AMERICA A | 0.00 | 18.73 | 0.00 | 18.73 | 90.0 | 0.32 |
| 10/17/2016 | MEDIA ENTERPRISES | AM FUNDS INCOME FUND OF AMERICA A | 0.00 | 2.70 | 0.00 | 2.70 | 90.0 | 0.05 |
| 11/18/2016 | GARAFOLA, MICHAEL | AM FUNDS INCOME FUND OF AMERICA A | 0.00 | 4.65 | 0.00 | 4.65 | 90.0 | 0.08 |
| 11/18/2016 | GARAFOLA, GRACE | AM FUNDS INCOME FUND OF AMERICA A | 0.00 | 3.87 | 0.00 | 3.87 | 90.0 | 0.07 |
| 11/18/2016 | GARAFOLA, MICHAEL | AM FUNDS INCOME FUND OF AMERICA A | 0.00 | 19.18 | 0.00 | 19.18 | 90.0 | 0.33 |
| 11/18/2016 | MEDIA ENTERPRISES | AM FUNDS INCOME FUND OF AMERICA A | 0.00 | 2.77 | 0.00 | 2.77 | 90.0 | 0.05 |
| 12/15/2016 | GARAFOLA, MICHAEL | AM FUNDS INCOME FUND OF AMERICA A | 0.00 | 4.49 | 0.00 | 4.49 | 90.0 | 0.08 |
| 12/15/2016 | GARAFOLA, GRACE | AM FUNDS INCOME FUND OF AMERICA A | 0.00 | 3.74 | 0.00 | 3.74 | 90.0 | 0.06 |
| 12/15/2016 | GARAFOLA, MICHAEL | AM FUNDS INCOME FUND OF AMERICA A | 0.00 | 18.53 | 0.00 | 18.53 | 90.0 | 0.32 |

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

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

| DATE | CLIENT | INVESTMENT | INVESTMENT AMOUNT | GROSS COMMISSION | CLEARING CHARGE | NET COMMISSION | RATE | BROKER COMMISSION |
|--|---------------------|-----------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u> OVERRIDE TRANSACTIONS </u> | | | | | | | | |
| <u> BROKER: MARC, L134 LINSKY #263 </u> | | | | | | | | |
| 12/15/2016 | MEDIA ENTERPRISES | AM FUNDS INCOME FUND OF AMERICA A | 0.00 | 2.68 | 0.00 | 2.68 | 90.0 | 0.05 |
| 02/16/2016 | NAGLE, JOSEPHINE | AM FUNDS NEW PERSPECTIVE A | 0.00 | 0.52 | 0.00 | 0.52 | 90.0 | 0.01 |
| 02/16/2016 | NAGLE, JOSEPHINE | AM FUNDS NEW PERSPECTIVE A | 0.00 | 0.47 | 0.00 | 0.47 | 90.0 | 0.01 |
| 03/15/2016 | NAGLE, JOSEPHINE | AM FUNDS NEW PERSPECTIVE A | 0.00 | 0.47 | 0.00 | 0.47 | 90.0 | 0.01 |
| 03/15/2016 | NAGLE, JOSEPHINE | AM FUNDS NEW PERSPECTIVE A | 0.00 | 2.20 | 0.00 | 2.20 | 90.0 | 0.04 |
| 04/20/2016 | NAGLE, JOSEPHINE | AM FUNDS NEW PERSPECTIVE A | 0.00 | 0.53 | 0.00 | 0.53 | 90.0 | 0.01 |
| 04/20/2016 | NAGLE, JOSEPHINE | AM FUNDS NEW PERSPECTIVE A | 0.00 | 2.50 | 0.00 | 2.50 | 90.0 | 0.04 |
| 05/16/2016 | NAGLE, JOSEPHINE | AM FUNDS NEW PERSPECTIVE A | 0.00 | 0.53 | 0.00 | 0.53 | 90.0 | 0.01 |
| 05/16/2016 | NAGLE, JOSEPHINE | AM FUNDS NEW PERSPECTIVE A | 0.00 | 2.49 | 0.00 | 2.49 | 90.0 | 0.04 |
| 06/15/2016 | NAGLE, JOSEPHINE | AM FUNDS NEW PERSPECTIVE A | 0.00 | 0.54 | 0.00 | 0.54 | 90.0 | 0.01 |
| 06/15/2016 | NAGLE, JOSEPHINE | AM FUNDS NEW PERSPECTIVE A | 0.00 | 2.55 | 0.00 | 2.55 | 90.0 | 0.04 |
| 07/18/2016 | NAGLE, JOSEPHINE | AM FUNDS NEW PERSPECTIVE A | 0.00 | 0.52 | 0.00 | 0.52 | 90.0 | 0.01 |
| 07/18/2016 | NAGLE, JOSEPHINE | AM FUNDS NEW PERSPECTIVE A | 0.00 | 2.48 | 0.00 | 2.48 | 90.0 | 0.04 |
| 07/18/2016 | TAYLOR, THOMAS | AM FUNDS NEW PERSPECTIVE A | 0.00 | 0.57 | 0.00 | 0.57 | 90.0 | 0.01 |
| 07/18/2016 | TAYLOR, DIANE | AM FUNDS NEW PERSPECTIVE A | 0.00 | 0.44 | 0.00 | 0.44 | 90.0 | 0.01 |
| 08/15/2016 | NAGLE, JOSEPHINE | AM FUNDS NEW PERSPECTIVE A | 0.00 | 0.56 | 0.00 | 0.56 | 90.0 | 0.01 |
| 08/15/2016 | NAGLE, JOSEPHINE | AM FUNDS NEW PERSPECTIVE A | 0.00 | 2.63 | 0.00 | 2.63 | 90.0 | 0.04 |
| 08/15/2016 | TAYLOR, THOMAS | AM FUNDS NEW PERSPECTIVE A | 0.00 | 0.61 | 0.00 | 0.61 | 90.0 | 0.01 |
| 08/15/2016 | TAYLOR, DIANE | AM FUNDS NEW PERSPECTIVE A | 0.00 | 0.61 | 0.00 | 0.61 | 90.0 | 0.01 |
| 09/16/2016 | NAGLE, JOSEPHINE | AM FUNDS NEW PERSPECTIVE A | 0.00 | 0.57 | 0.00 | 0.57 | 90.0 | 0.01 |
| 09/16/2016 | NAGLE, JOSEPHINE | AM FUNDS NEW PERSPECTIVE A | 0.00 | 2.69 | 0.00 | 2.69 | 90.0 | 0.05 |
| 09/16/2016 | TAYLOR, THOMAS | AM FUNDS NEW PERSPECTIVE A | 0.00 | 0.62 | 0.00 | 0.62 | 90.0 | 0.01 |
| 09/16/2016 | TAYLOR, DIANE | AM FUNDS NEW PERSPECTIVE A | 0.00 | 0.62 | 0.00 | 0.62 | 90.0 | 0.01 |
| 10/17/2016 | NAGLE, JOSEPHINE | AM FUNDS NEW PERSPECTIVE A | 0.00 | 0.55 | 0.00 | 0.55 | 90.0 | 0.01 |
| 10/17/2016 | NAGLE, JOSEPHINE | AM FUNDS NEW PERSPECTIVE A | 0.00 | 2.61 | 0.00 | 2.61 | 90.0 | 0.04 |
| 10/17/2016 | TAYLOR, THOMAS | AM FUNDS NEW PERSPECTIVE A | 0.00 | 0.60 | 0.00 | 0.60 | 90.0 | 0.01 |
| 10/17/2016 | TAYLOR, DIANE | AM FUNDS NEW PERSPECTIVE A | 0.00 | 0.60 | 0.00 | 0.60 | 90.0 | 0.01 |
| 11/18/2016 | BOSCO, EDWARD | AM FUNDS NEW PERSPECTIVE A | 0.00 | 0.49 | 0.00 | 0.49 | 90.0 | 0.01 |
| 11/18/2016 | NAGLE, JOSEPHINE | AM FUNDS NEW PERSPECTIVE A | 0.00 | 1.73 | 0.00 | 1.73 | 90.0 | 0.03 |
| 11/18/2016 | TAYLOR, THOMAS | AM FUNDS NEW PERSPECTIVE A | 0.00 | 0.62 | 0.00 | 0.62 | 90.0 | 0.01 |
| 11/18/2016 | TAYLOR, DIANE | AM FUNDS NEW PERSPECTIVE A | 0.00 | 0.62 | 0.00 | 0.62 | 90.0 | 0.01 |
| 11/18/2016 | APPLEGATE, PAMAEALA | AM FUNDS NEW PERSPECTIVE A | 0.00 | 0.37 | 0.00 | 0.37 | 90.0 | 0.01 |
| 12/15/2016 | TAYLOR, THOMAS | AM FUNDS NEW PERSPECTIVE A | 0.00 | 0.59 | 0.00 | 0.59 | 90.0 | 0.01 |

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|--|--------------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u> OVERRIDE TRANSACTIONS </u> | | | | | | | | |
| <u> BROKER: MARC, L134 LINSKY #263 </u> | | | | | | | | |
| 12/15/2016 | TAYLOR, DIANE | AM FUNDS NEW PERSPECTIVE A | 0.00 | 0.59 | 0.00 | 0.59 | 90.0 | 0.01 |
| 12/15/2016 | APPLEGATE, PAMAELE | AM FUNDS NEW PERSPECTIVE A | 0.00 | 0.84 | 0.00 | 0.84 | 90.0 | 0.01 |
| 02/16/2016 | MELVIN, MARY THOMPSON | AM FUNDS SMALLCAP WORLD A | 0.00 | 1.34 | 0.00 | 1.34 | 90.0 | 0.02 |
| 03/15/2016 | MELVIN, MARY THOMPSON | AM FUNDS SMALLCAP WORLD A | 0.00 | 1.20 | 0.00 | 1.20 | 90.0 | 0.02 |
| 04/20/2016 | MELVIN, MARY THOMPSON | AM FUNDS SMALLCAP WORLD A | 0.00 | 1.37 | 0.00 | 1.37 | 90.0 | 0.02 |
| 05/16/2016 | MELVIN, MARY THOMPSON | AM FUNDS SMALLCAP WORLD A | 0.00 | 1.38 | 0.00 | 1.38 | 90.0 | 0.02 |
| 06/15/2016 | MELVIN, MARY THOMPSON | AM FUNDS SMALLCAP WORLD A | 0.00 | 1.42 | 0.00 | 1.42 | 90.0 | 0.02 |
| 07/18/2016 | MELVIN, MARY THOMPSON | AM FUNDS SMALLCAP WORLD A | 0.00 | 1.41 | 0.00 | 1.41 | 90.0 | 0.02 |
| 08/15/2016 | MELVIN, MARY THOMPSON | AM FUNDS SMALLCAP WORLD A | 0.00 | 1.48 | 0.00 | 1.48 | 90.0 | 0.03 |
| 09/16/2016 | MELVIN, MARY THOMPSON | AM FUNDS SMALLCAP WORLD A | 0.00 | 1.54 | 0.00 | 1.54 | 90.0 | 0.03 |
| 10/17/2016 | MELVIN, MARY THOMPSON | AM FUNDS SMALLCAP WORLD A | 0.00 | 1.50 | 0.00 | 1.50 | 90.0 | 0.03 |
| 11/18/2016 | MELVIN, MARY THOMPSON | AM FUNDS SMALLCAP WORLD A | 0.00 | 1.55 | 0.00 | 1.55 | 90.0 | 0.03 |
| 12/15/2016 | MELVIN, MARY THOMPSON | AM FUNDS SMALLCAP WORLD A | 0.00 | 1.47 | 0.00 | 1.47 | 90.0 | 0.02 |
| 02/16/2016 | OLIVETI, FRANK | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 4.24 | 0.00 | 4.24 | 90.0 | 0.07 |
| 02/16/2016 | PERETTI, TERESA | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 1.07 | 0.00 | 1.07 | 90.0 | 0.02 |
| 02/16/2016 | COHEN, PAUL | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 2.42 | 0.00 | 2.42 | 90.0 | 0.04 |
| 02/16/2016 | NATHAN, EDWARD | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 0.42 | 0.00 | 0.42 | 90.0 | 0.01 |
| 02/16/2016 | NATHAN, EDWARD | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 0.68 | 0.00 | 0.68 | 90.0 | 0.01 |
| 02/16/2016 | NATHAN, SUSAN | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 0.42 | 0.00 | 0.42 | 90.0 | 0.01 |
| 02/16/2016 | SPECTER TRUST, STEPHANIE | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 9.37 | 0.00 | 9.37 | 90.0 | 0.16 |
| 03/15/2016 | OLIVETI, FRANK | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 3.96 | 0.00 | 3.96 | 90.0 | 0.07 |
| 03/15/2016 | PERETTI, TERESA | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 1.00 | 0.00 | 1.00 | 90.0 | 0.02 |
| 03/15/2016 | COHEN, PAUL | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 2.26 | 0.00 | 2.26 | 90.0 | 0.04 |
| 03/15/2016 | NATHAN, EDWARD | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 0.39 | 0.00 | 0.39 | 90.0 | 0.01 |
| 03/15/2016 | NATHAN, EDWARD | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 0.64 | 0.00 | 0.64 | 90.0 | 0.01 |
| 03/15/2016 | NATHAN, SUSAN | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 0.39 | 0.00 | 0.39 | 90.0 | 0.01 |
| 03/15/2016 | SPECTER TRUST, STEPHANIE | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 8.75 | 0.00 | 8.75 | 90.0 | 0.15 |
| 04/20/2016 | OLIVETI, FRANK | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 4.49 | 0.00 | 4.49 | 90.0 | 0.08 |
| 04/20/2016 | PERETTI, TERESA | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 1.13 | 0.00 | 1.13 | 90.0 | 0.02 |
| 04/20/2016 | COHEN, PAUL | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 2.56 | 0.00 | 2.56 | 90.0 | 0.04 |
| 04/20/2016 | NATHAN, EDWARD | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 0.44 | 0.00 | 0.44 | 90.0 | 0.01 |
| 04/20/2016 | NATHAN, EDWARD | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 0.72 | 0.00 | 0.72 | 90.0 | 0.01 |
| 04/20/2016 | NATHAN, SUSAN | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 0.44 | 0.00 | 0.44 | 90.0 | 0.01 |

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|--|--------------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u> OVERRIDE TRANSACTIONS </u> | | | | | | | | |
| <u> BROKER: MARC, L134 LINSKY #263 </u> | | | | | | | | |
| 04/20/2016 | SPECTER TRUST, STEPHANIE | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 9.92 | 0.00 | 9.92 | 90.0 | 0.17 |
| 05/16/2016 | OLIVETI, FRANK | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 4.46 | 0.00 | 4.46 | 90.0 | 0.08 |
| 05/16/2016 | PERETTI, TERESA | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 1.12 | 0.00 | 1.12 | 90.0 | 0.02 |
| 05/16/2016 | COHEN, PAUL | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 2.54 | 0.00 | 2.54 | 90.0 | 0.04 |
| 05/16/2016 | NATHAN, EDWARD | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 0.44 | 0.00 | 0.44 | 90.0 | 0.01 |
| 05/16/2016 | NATHAN, EDWARD | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 0.72 | 0.00 | 0.72 | 90.0 | 0.01 |
| 05/16/2016 | NATHAN, SUSAN | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 0.44 | 0.00 | 0.44 | 90.0 | 0.01 |
| 05/16/2016 | SPECTER TRUST, STEPHANIE | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 9.85 | 0.00 | 9.85 | 90.0 | 0.17 |
| 06/15/2016 | OLIVETI, FRANK | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 4.61 | 0.00 | 4.61 | 90.0 | 0.08 |
| 06/15/2016 | PERETTI, TERESA | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 1.16 | 0.00 | 1.16 | 90.0 | 0.02 |
| 06/15/2016 | COHEN, PAUL | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 2.63 | 0.00 | 2.63 | 90.0 | 0.04 |
| 06/15/2016 | NATHAN, EDWARD | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 0.45 | 0.00 | 0.45 | 90.0 | 0.01 |
| 06/15/2016 | NATHAN, EDWARD | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 0.74 | 0.00 | 0.74 | 90.0 | 0.01 |
| 06/15/2016 | NATHAN, SUSAN | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 0.45 | 0.00 | 0.45 | 90.0 | 0.01 |
| 06/15/2016 | SPECTER TRUST, STEPHANIE | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 10.18 | 0.00 | 10.18 | 90.0 | 0.17 |
| 07/18/2016 | OLIVETI, FRANK | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 4.52 | 0.00 | 4.52 | 90.0 | 0.08 |
| 07/18/2016 | PERETTI, TERESA | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 1.14 | 0.00 | 1.14 | 90.0 | 0.02 |
| 07/18/2016 | COHEN, PAUL | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 2.58 | 0.00 | 2.58 | 90.0 | 0.04 |
| 07/18/2016 | NATHAN, EDWARD | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 0.45 | 0.00 | 0.45 | 90.0 | 0.01 |
| 07/18/2016 | NATHAN, EDWARD | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 0.73 | 0.00 | 0.73 | 90.0 | 0.01 |
| 07/18/2016 | NATHAN, SUSAN | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 0.44 | 0.00 | 0.44 | 90.0 | 0.01 |
| 07/18/2016 | SPECTER TRUST, STEPHANIE | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 9.98 | 0.00 | 9.98 | 90.0 | 0.17 |
| 08/15/2016 | OLIVETI, FRANK | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 4.80 | 0.00 | 4.80 | 90.0 | 0.08 |
| 08/15/2016 | PERETTI, TERESA | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 1.21 | 0.00 | 1.21 | 90.0 | 0.02 |
| 08/15/2016 | COHEN, PAUL | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 2.74 | 0.00 | 2.74 | 90.0 | 0.05 |
| 08/15/2016 | NATHAN, EDWARD | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 0.47 | 0.00 | 0.47 | 90.0 | 0.01 |
| 08/15/2016 | NATHAN, EDWARD | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 0.77 | 0.00 | 0.77 | 90.0 | 0.01 |
| 08/15/2016 | NATHAN, SUSAN | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 0.47 | 0.00 | 0.47 | 90.0 | 0.01 |
| 08/15/2016 | SPECTER TRUST, STEPHANIE | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 10.60 | 0.00 | 10.60 | 90.0 | 0.18 |
| 09/16/2016 | OLIVETI, FRANK | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 4.85 | 0.00 | 4.85 | 90.0 | 0.08 |
| 09/16/2016 | PERETTI, TERESA | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 1.22 | 0.00 | 1.22 | 90.0 | 0.02 |
| 09/16/2016 | COHEN, PAUL | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 2.77 | 0.00 | 2.77 | 90.0 | 0.05 |
| 09/16/2016 | NATHAN, EDWARD | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 0.48 | 0.00 | 0.48 | 90.0 | 0.01 |

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|--|--------------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u> OVERRIDE TRANSACTIONS </u> | | | | | | | | |
| <u> BROKER: MARC, L134 LINSKY #263 </u> | | | | | | | | |
| 09/16/2016 | NATHAN, EDWARD | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 0.78 | 0.00 | 0.78 | 90.0 | 0.01 |
| 09/16/2016 | NATHAN, SUSAN | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 0.48 | 0.00 | 0.48 | 90.0 | 0.01 |
| 09/16/2016 | SPECTER TRUST, STEPHANIE | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 7.27 | 0.00 | 7.27 | 90.0 | 0.12 |
| 10/17/2016 | OLIVETI, FRANK | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 4.64 | 0.00 | 4.64 | 90.0 | 0.08 |
| 10/17/2016 | PERETTI, TERESA | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 1.17 | 0.00 | 1.17 | 90.0 | 0.02 |
| 10/17/2016 | COHEN, PAUL | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 2.65 | 0.00 | 2.65 | 90.0 | 0.05 |
| 10/17/2016 | NATHAN, EDWARD | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 0.46 | 0.00 | 0.46 | 90.0 | 0.01 |
| 10/17/2016 | NATHAN, EDWARD | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 0.75 | 0.00 | 0.75 | 90.0 | 0.01 |
| 10/17/2016 | NATHAN, SUSAN | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 0.45 | 0.00 | 0.45 | 90.0 | 0.01 |
| 11/18/2016 | OLIVETI, FRANK | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 4.78 | 0.00 | 4.78 | 90.0 | 0.08 |
| 11/18/2016 | PERETTI, TERESA | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 1.20 | 0.00 | 1.20 | 90.0 | 0.02 |
| 11/18/2016 | COHEN, PAUL | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 2.72 | 0.00 | 2.72 | 90.0 | 0.05 |
| 11/18/2016 | NATHAN, EDWARD | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 0.47 | 0.00 | 0.47 | 90.0 | 0.01 |
| 11/18/2016 | NATHAN, EDWARD | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 0.77 | 0.00 | 0.77 | 90.0 | 0.01 |
| 11/18/2016 | NATHAN, SUSAN | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 0.47 | 0.00 | 0.47 | 90.0 | 0.01 |
| 12/15/2016 | OLIVETI, FRANK | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 4.72 | 0.00 | 4.72 | 90.0 | 0.08 |
| 12/15/2016 | PERETTI, TERESA | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 1.19 | 0.00 | 1.19 | 90.0 | 0.02 |
| 12/15/2016 | COHEN, PAUL | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 2.69 | 0.00 | 2.69 | 90.0 | 0.05 |
| 12/15/2016 | NATHAN, EDWARD | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 0.47 | 0.00 | 0.47 | 90.0 | 0.01 |
| 12/15/2016 | NATHAN, EDWARD | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 0.76 | 0.00 | 0.76 | 90.0 | 0.01 |
| 12/15/2016 | NATHAN, SUSAN | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 0.46 | 0.00 | 0.46 | 90.0 | 0.01 |
| 02/15/2018 | BOND-HILTNER, LINDA | AM FUNDS WASHINGTON MUTUAL INVESTOR | 839.29 | 41.96 | 22.00 | 19.96 | 90.0 | 0.34 |
| 02/22/2016 | O'DONNELL, PATRICIA | AMERICAN CENTURY STRATEGIC ALLOC MO | 0.00 | 3.61 | 0.00 | 3.61 | 90.0 | 0.06 |
| 03/16/2016 | O'DONNELL, PATRICIA | AMERICAN CENTURY STRATEGIC ALLOC MO | 0.00 | 3.33 | 0.00 | 3.33 | 90.0 | 0.06 |
| 04/21/2016 | O'DONNELL, PATRICIA | AMERICAN CENTURY STRATEGIC ALLOC MO | 0.00 | 3.74 | 0.00 | 3.74 | 90.0 | 0.06 |
| 05/24/2016 | O'DONNELL, PATRICIA | AMERICAN CENTURY STRATEGIC ALLOC MO | 0.00 | 3.70 | 0.00 | 3.70 | 90.0 | 0.06 |
| 06/10/2016 | O'DONNELL, PATRICIA | AMERICAN CENTURY STRATEGIC ALLOC MO | 0.00 | 3.82 | 0.00 | 3.82 | 90.0 | 0.06 |
| 07/14/2016 | O'DONNELL, PATRICIA | AMERICAN CENTURY STRATEGIC ALLOC MO | 0.00 | 3.72 | 0.00 | 3.72 | 90.0 | 0.06 |
| 08/19/2016 | O'DONNELL, PATRICIA | AMERICAN CENTURY STRATEGIC ALLOC MO | 0.00 | 3.93 | 0.00 | 3.93 | 90.0 | 0.07 |
| 09/19/2016 | O'DONNELL, PATRICIA | AMERICAN CENTURY STRATEGIC ALLOC MO | 0.00 | 3.99 | 0.00 | 3.99 | 90.0 | 0.07 |
| 10/20/2016 | O'DONNELL, PATRICIA | AMERICAN CENTURY STRATEGIC ALLOC MO | 0.00 | 3.85 | 0.00 | 3.85 | 90.0 | 0.07 |
| 11/18/2016 | O'DONNELL, PATRICIA | AMERICAN CENTURY STRATEGIC ALLOC MO | 0.00 | 3.97 | 0.00 | 3.97 | 90.0 | 0.07 |
| 12/19/2016 | O'DONNELL, PATRICIA | AMERICAN CENTURY STRATEGIC ALLOC MO | 0.00 | 3.81 | 0.00 | 3.81 | 90.0 | 0.06 |

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

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

| DATE | CLIENT | INVESTMENT | INVESTMENT AMOUNT | GROSS COMMISSION | CLEARING CHARGE | NET COMMISSION | RATE | BROKER COMMISSION |
|--|-------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u> OVERRIDE TRANSACTIONS </u> | | | | | | | | |
| <u> BROKER: MARC, L134 LINSKY #263 </u> | | | | | | | | |
| 09/16/2016 | GARLICK, MILDRED | AMERICAN FUNDS INFLATION LINKED BON | 0.00 | 59.06 | 0.00 | 59.06 | 90.0 | 1.00 |
| 10/17/2016 | GARLICK, MILDRED | AMERICAN FUNDS INFLATION LINKED BON | 0.00 | 82.45 | 0.00 | 82.45 | 90.0 | 1.40 |
| 11/18/2016 | GARLICK, MILDRED | AMERICAN FUNDS INFLATION LINKED BON | 0.00 | 85.55 | 0.00 | 85.55 | 90.0 | 1.45 |
| 12/15/2016 | GARLICK, MILDRED | AMERICAN FUNDS INFLATION LINKED BON | 0.00 | 81.60 | 0.00 | 81.60 | 90.0 | 1.39 |
| 02/16/2018 | MORETTI, MARGARET | APPLE INC COM | 2,422.69 | 30.00 | 22.50 | 7.50 | 90.0 | 0.13 |
| 02/26/2016 | PLEVAK, MICHAEL | BLACKROCK EQUITY DIVIDEND FUND CL C | 0.00 | 23.98 | 0.00 | 23.98 | 90.0 | 0.41 |
| 03/23/2016 | PLEVAK, MICHAEL | BLACKROCK EQUITY DIVIDEND FUND CL C | 0.00 | 22.23 | 0.00 | 22.23 | 90.0 | 0.38 |
| 04/27/2016 | PLEVAK, MICHAEL | BLACKROCK EQUITY DIVIDEND FUND CL C | 0.00 | 25.18 | 0.00 | 25.18 | 90.0 | 0.43 |
| 05/31/2016 | PLEVAK, MICHAEL | BLACKROCK EQUITY DIVIDEND FUND CL C | 0.00 | 24.96 | 0.00 | 24.96 | 90.0 | 0.42 |
| 06/27/2016 | PLEVAK, MICHAEL | BLACKROCK EQUITY DIVIDEND FUND CL C | 0.00 | 25.90 | 0.00 | 25.90 | 90.0 | 0.44 |
| 07/29/2016 | PLEVAK, MICHAEL | BLACKROCK EQUITY DIVIDEND FUND CL C | 0.00 | 25.26 | 0.00 | 25.26 | 90.0 | 0.43 |
| 08/30/2016 | PLEVAK, MICHAEL | BLACKROCK EQUITY DIVIDEND FUND CL C | 0.00 | 26.90 | 0.00 | 26.90 | 90.0 | 0.46 |
| 09/29/2016 | PLEVAK, MICHAEL | BLACKROCK EQUITY DIVIDEND FUND CL C | 0.00 | 27.21 | 0.00 | 27.21 | 90.0 | 0.46 |
| 10/27/2016 | PLEVAK, MICHAEL | BLACKROCK EQUITY DIVIDEND FUND CL C | 0.00 | 26.06 | 0.00 | 26.06 | 90.0 | 0.44 |
| 11/28/2016 | PLEVAK, MICHAEL | BLACKROCK EQUITY DIVIDEND FUND CL C | 0.00 | 26.83 | 0.00 | 26.83 | 90.0 | 0.46 |
| 12/21/2016 | PLEVAK, MICHAEL | BLACKROCK EQUITY DIVIDEND FUND CL C | 0.00 | 26.79 | 0.00 | 26.79 | 90.0 | 0.46 |
| 02/14/2018 | SIEMANOWSKI, JOHN | BLACKSTONE GROUP L P COM UNIT REPST | 16,805.00 | 30.00 | 22.75 | 7.25 | 90.0 | 0.12 |
| 02/19/2016 | PERETTI, TERESA | CALAMOS GROWTH A | 0.00 | 1.16 | 0.00 | 1.16 | 90.0 | 0.02 |
| 02/19/2016 | DUBIN, JON | CALAMOS GROWTH A | 0.00 | 3.64 | 0.00 | 3.64 | 90.0 | 0.06 |
| 03/17/2016 | PERETTI, TERESA | CALAMOS GROWTH A | 0.00 | 1.04 | 0.00 | 1.04 | 90.0 | 0.02 |
| 03/17/2016 | DUBIN, JON | CALAMOS GROWTH A | 0.00 | 3.26 | 0.00 | 3.26 | 90.0 | 0.06 |
| 04/20/2016 | PERETTI, TERESA | CALAMOS GROWTH A | 0.00 | 1.17 | 0.00 | 1.17 | 90.0 | 0.02 |
| 04/20/2016 | DUBIN, JON | CALAMOS GROWTH A | 0.00 | 3.67 | 0.00 | 3.67 | 90.0 | 0.06 |
| 05/19/2016 | PERETTI, TERESA | CALAMOS GROWTH A | 0.00 | 1.16 | 0.00 | 1.16 | 90.0 | 0.02 |
| 05/19/2016 | DUBIN, JON | CALAMOS GROWTH A | 0.00 | 3.65 | 0.00 | 3.65 | 90.0 | 0.06 |
| 06/16/2016 | PERETTI, TERESA | CALAMOS GROWTH A | 0.00 | 1.19 | 0.00 | 1.19 | 90.0 | 0.02 |
| 06/16/2016 | DUBIN, JON | CALAMOS GROWTH A | 0.00 | 3.73 | 0.00 | 3.73 | 90.0 | 0.06 |
| 07/21/2016 | PERETTI, TERESA | CALAMOS GROWTH A | 0.00 | 1.16 | 0.00 | 1.16 | 90.0 | 0.02 |
| 07/21/2016 | DUBIN, JON | CALAMOS GROWTH A | 0.00 | 3.63 | 0.00 | 3.63 | 90.0 | 0.06 |
| 08/19/2016 | PERETTI, TERESA | CALAMOS GROWTH A | 0.00 | 1.21 | 0.00 | 1.21 | 90.0 | 0.02 |
| 08/19/2016 | DUBIN, JON | CALAMOS GROWTH A | 0.00 | 3.81 | 0.00 | 3.81 | 90.0 | 0.06 |
| 09/21/2016 | PERETTI, TERESA | CALAMOS GROWTH A | 0.00 | 1.24 | 0.00 | 1.24 | 90.0 | 0.02 |
| 09/21/2016 | DUBIN, JON | CALAMOS GROWTH A | 0.00 | 3.89 | 0.00 | 3.89 | 90.0 | 0.07 |

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|--|-------------------|-------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u> OVERRIDE TRANSACTIONS </u> | | | | | | | | |
| <u> BROKER: MARC, L134 LINSKY #263 </u> | | | | | | | | |
| 10/21/2016 | PERETTI, TERESA | CALAMOS GROWTH A | 0.00 | 1.18 | 0.00 | 1.18 | 90.0 | 0.02 |
| 10/21/2016 | DUBIN, JON | CALAMOS GROWTH A | 0.00 | 3.71 | 0.00 | 3.71 | 90.0 | 0.06 |
| 11/18/2016 | PERETTI, TERESA | CALAMOS GROWTH A | 0.00 | 1.22 | 0.00 | 1.22 | 90.0 | 0.02 |
| 11/18/2016 | DUBIN, JON | CALAMOS GROWTH A | 0.00 | 3.83 | 0.00 | 3.83 | 90.0 | 0.07 |
| 12/20/2016 | PERETTI, TERESA | CALAMOS GROWTH A | 0.00 | 1.17 | 0.00 | 1.17 | 90.0 | 0.02 |
| 12/20/2016 | DUBIN, JON | CALAMOS GROWTH A | 0.00 | 3.67 | 0.00 | 3.67 | 90.0 | 0.06 |
| 02/12/2016 | MEDIA ENTERPRISES | COLUMBIA ACORN A | 0.00 | 0.76 | 0.00 | 0.76 | 90.0 | 0.01 |
| 02/12/2016 | FLEISCH, ROBERT | COLUMBIA ACORN A | 0.00 | 11.79 | 0.00 | 11.79 | 90.0 | 0.20 |
| 03/14/2016 | MEDIA ENTERPRISES | COLUMBIA ACORN A | 0.00 | 0.68 | 0.00 | 0.68 | 90.0 | 0.01 |
| 03/14/2016 | FLEISCH, ROBERT | COLUMBIA ACORN A | 0.00 | 10.56 | 0.00 | 10.56 | 90.0 | 0.18 |
| 04/15/2016 | MEDIA ENTERPRISES | COLUMBIA ACORN A | 0.00 | 0.78 | 0.00 | 0.78 | 90.0 | 0.01 |
| 04/15/2016 | FLEISCH, ROBERT | COLUMBIA ACORN A | 0.00 | 12.14 | 0.00 | 12.14 | 90.0 | 0.21 |
| 05/24/2016 | MEDIA ENTERPRISES | COLUMBIA ACORN A | 0.00 | 0.78 | 0.00 | 0.78 | 90.0 | 0.01 |
| 05/24/2016 | FLEISCH, ROBERT | COLUMBIA ACORN A | 0.00 | 12.22 | 0.00 | 12.22 | 90.0 | 0.21 |
| 06/14/2016 | MEDIA ENTERPRISES | COLUMBIA ACORN A | 0.00 | 0.81 | 0.00 | 0.81 | 90.0 | 0.01 |
| 06/14/2016 | FLEISCH, ROBERT | COLUMBIA ACORN A | 0.00 | 12.62 | 0.00 | 12.62 | 90.0 | 0.21 |
| 07/20/2016 | MEDIA ENTERPRISES | COLUMBIA ACORN A | 0.00 | 0.80 | 0.00 | 0.80 | 90.0 | 0.01 |
| 07/20/2016 | FLEISCH, ROBERT | COLUMBIA ACORN A | 0.00 | 12.43 | 0.00 | 12.43 | 90.0 | 0.21 |
| 08/17/2016 | MEDIA ENTERPRISES | COLUMBIA ACORN A | 0.00 | 0.84 | 0.00 | 0.84 | 90.0 | 0.01 |
| 08/17/2016 | FLEISCH, ROBERT | COLUMBIA ACORN A | 0.00 | 13.16 | 0.00 | 13.16 | 90.0 | 0.22 |
| 09/16/2016 | MEDIA ENTERPRISES | COLUMBIA ACORN A | 0.00 | 0.87 | 0.00 | 0.87 | 90.0 | 0.01 |
| 09/16/2016 | FLEISCH, ROBERT | COLUMBIA ACORN A | 0.00 | 12.88 | 0.00 | 12.88 | 90.0 | 0.22 |
| 10/14/2016 | MEDIA ENTERPRISES | COLUMBIA ACORN A | 0.00 | 0.84 | 0.00 | 0.84 | 90.0 | 0.01 |
| 10/14/2016 | FLEISCH, ROBERT | COLUMBIA ACORN A | 0.00 | 12.09 | 0.00 | 12.09 | 90.0 | 0.21 |
| 11/15/2016 | MEDIA ENTERPRISES | COLUMBIA ACORN A | 0.00 | 0.86 | 0.00 | 0.86 | 90.0 | 0.01 |
| 11/15/2016 | FLEISCH, ROBERT | COLUMBIA ACORN A | 0.00 | 12.35 | 0.00 | 12.35 | 90.0 | 0.21 |
| 12/15/2016 | MEDIA ENTERPRISES | COLUMBIA ACORN A | 0.00 | 0.85 | 0.00 | 0.85 | 90.0 | 0.01 |
| 12/15/2016 | FLEISCH, ROBERT | COLUMBIA ACORN A | 0.00 | 12.26 | 0.00 | 12.26 | 90.0 | 0.21 |
| 02/12/2016 | FLEISCH, ROBERT | COLUMBIA ACORN SELECT A | 0.00 | 6.15 | 0.00 | 6.15 | 90.0 | 0.10 |
| 03/14/2016 | FLEISCH, ROBERT | COLUMBIA ACORN SELECT A | 0.00 | 5.61 | 0.00 | 5.61 | 90.0 | 0.10 |
| 04/15/2016 | FLEISCH, ROBERT | COLUMBIA ACORN SELECT A | 0.00 | 6.45 | 0.00 | 6.45 | 90.0 | 0.11 |
| 05/24/2016 | FLEISCH, ROBERT | COLUMBIA ACORN SELECT A | 0.00 | 6.40 | 0.00 | 6.40 | 90.0 | 0.11 |
| 06/14/2016 | FLEISCH, ROBERT | COLUMBIA ACORN SELECT A | 0.00 | 6.59 | 0.00 | 6.59 | 90.0 | 0.11 |

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|--|-------------------|------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u> OVERRIDE TRANSACTIONS </u> | | | | | | | | |
| <u> BROKER: MARC, L134 LINSKY #263 </u> | | | | | | | | |
| 07/20/2016 | FLEISCH, ROBERT | COLUMBIA ACORN SELECT A | 0.00 | 6.44 | 0.00 | 6.44 | 90.0 | 0.11 |
| 08/17/2016 | FLEISCH, ROBERT | COLUMBIA ACORN SELECT A | 0.00 | 6.77 | 0.00 | 6.77 | 90.0 | 0.12 |
| 09/16/2016 | FLEISCH, ROBERT | COLUMBIA ACORN SELECT A | 0.00 | 6.59 | 0.00 | 6.59 | 90.0 | 0.11 |
| 10/14/2016 | FLEISCH, ROBERT | COLUMBIA ACORN SELECT A | 0.00 | 6.22 | 0.00 | 6.22 | 90.0 | 0.11 |
| 11/15/2016 | FLEISCH, ROBERT | COLUMBIA ACORN SELECT A | 0.00 | 6.36 | 0.00 | 6.36 | 90.0 | 0.11 |
| 12/15/2016 | FLEISCH, ROBERT | COLUMBIA ACORN SELECT A | 0.00 | 6.34 | 0.00 | 6.34 | 90.0 | 0.11 |
| 02/12/2016 | MEDIA ENTERPRISES | COLUMBIA ACORN USA FUND CLASS A | 0.00 | 1.96 | 0.00 | 1.96 | 90.0 | 0.03 |
| 03/14/2016 | MEDIA ENTERPRISES | COLUMBIA ACORN USA FUND CLASS A | 0.00 | 1.71 | 0.00 | 1.71 | 90.0 | 0.03 |
| 04/15/2016 | MEDIA ENTERPRISES | COLUMBIA ACORN USA FUND CLASS A | 0.00 | 1.96 | 0.00 | 1.96 | 90.0 | 0.03 |
| 05/24/2016 | MEDIA ENTERPRISES | COLUMBIA ACORN USA FUND CLASS A | 0.00 | 1.98 | 0.00 | 1.98 | 90.0 | 0.03 |
| 06/14/2016 | MEDIA ENTERPRISES | COLUMBIA ACORN USA FUND CLASS A | 0.00 | 2.08 | 0.00 | 2.08 | 90.0 | 0.04 |
| 07/20/2016 | MEDIA ENTERPRISES | COLUMBIA ACORN USA FUND CLASS A | 0.00 | 2.08 | 0.00 | 2.08 | 90.0 | 0.04 |
| 08/17/2016 | MEDIA ENTERPRISES | COLUMBIA ACORN USA FUND CLASS A | 0.00 | 2.22 | 0.00 | 2.22 | 90.0 | 0.04 |
| 09/16/2016 | MEDIA ENTERPRISES | COLUMBIA ACORN USA FUND CLASS A | 0.00 | 2.27 | 0.00 | 2.27 | 90.0 | 0.04 |
| 10/14/2016 | MEDIA ENTERPRISES | COLUMBIA ACORN USA FUND CLASS A | 0.00 | 2.19 | 0.00 | 2.19 | 90.0 | 0.04 |
| 11/15/2016 | MEDIA ENTERPRISES | COLUMBIA ACORN USA FUND CLASS A | 0.00 | 2.22 | 0.00 | 2.22 | 90.0 | 0.04 |
| 12/15/2016 | MEDIA ENTERPRISES | COLUMBIA ACORN USA FUND CLASS A | 0.00 | 2.22 | 0.00 | 2.22 | 90.0 | 0.04 |
| 02/12/2016 | BOWERS, DORA | COLUMBIA DIVERSIFIED EQUITY INCOME | 0.00 | 0.89 | 0.00 | 0.89 | 90.0 | 0.02 |
| 03/14/2016 | BOWERS, DORA | COLUMBIA DIVERSIFIED EQUITY INCOME | 0.00 | 0.82 | 0.00 | 0.82 | 90.0 | 0.01 |
| 04/15/2016 | BOWERS, DORA | COLUMBIA DIVERSIFIED EQUITY INCOME | 0.00 | 0.94 | 0.00 | 0.94 | 90.0 | 0.02 |
| 05/24/2016 | BOWERS, DORA | COLUMBIA DIVERSIFIED EQUITY INCOME | 0.00 | 0.93 | 0.00 | 0.93 | 90.0 | 0.02 |
| 06/14/2016 | BOWERS, DORA | COLUMBIA DIVERSIFIED EQUITY INCOME | 0.00 | 0.97 | 0.00 | 0.97 | 90.0 | 0.02 |
| 07/20/2016 | BOWERS, DORA | COLUMBIA DIVERSIFIED EQUITY INCOME | 0.00 | 0.94 | 0.00 | 0.94 | 90.0 | 0.02 |
| 08/17/2016 | BOWERS, DORA | COLUMBIA DIVERSIFIED EQUITY INCOME | 0.00 | 1.00 | 0.00 | 1.00 | 90.0 | 0.02 |
| 09/16/2016 | BOWERS, DORA | COLUMBIA DIVERSIFIED EQUITY INCOME | 0.00 | 1.01 | 0.00 | 1.01 | 90.0 | 0.02 |
| 10/14/2016 | BOWERS, DORA | COLUMBIA DIVERSIFIED EQUITY INCOME | 0.00 | 0.98 | 0.00 | 0.98 | 90.0 | 0.02 |
| 11/15/2016 | BOWERS, DORA | COLUMBIA DIVERSIFIED EQUITY INCOME | 0.00 | 1.01 | 0.00 | 1.01 | 90.0 | 0.02 |
| 12/15/2016 | BOWERS, DORA | COLUMBIA DIVERSIFIED EQUITY INCOME | 0.00 | 1.00 | 0.00 | 1.00 | 90.0 | 0.02 |
| 04/15/2016 | JACKSON, SHIRLEY | COLUMBIA EQUITY VALUE A | 0.00 | 1.61 | 0.00 | 1.61 | 90.0 | 0.03 |
| 05/24/2016 | JACKSON, SHIRLEY | COLUMBIA EQUITY VALUE A | 0.00 | 1.60 | 0.00 | 1.60 | 90.0 | 0.03 |
| 06/14/2016 | JACKSON, SHIRLEY | COLUMBIA EQUITY VALUE A | 0.00 | 1.65 | 0.00 | 1.65 | 90.0 | 0.03 |
| 07/20/2016 | JACKSON, SHIRLEY | COLUMBIA EQUITY VALUE A | 0.00 | 1.59 | 0.00 | 1.59 | 90.0 | 0.03 |
| 08/17/2016 | JACKSON, SHIRLEY | COLUMBIA EQUITY VALUE A | 0.00 | 1.66 | 0.00 | 1.66 | 90.0 | 0.03 |

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| <u> OVERRIDE TRANSACTIONS </u> | | | | | | | | |
| <u>BROKER: MARC, L134 LINSKY #263</u> | | | | | | | | |
| 09/16/2016 | JACKSON, SHIRLEY | COLUMBIA EQUITY VALUE A | 0.00 | 1.69 | 0.00 | 1.69 | 90.0 | 0.03 |
| 10/14/2016 | JACKSON, SHIRLEY | COLUMBIA EQUITY VALUE A | 0.00 | 1.63 | 0.00 | 1.63 | 90.0 | 0.03 |
| 11/15/2016 | JACKSON, SHIRLEY | COLUMBIA EQUITY VALUE A | 0.00 | 1.69 | 0.00 | 1.69 | 90.0 | 0.03 |
| 12/15/2016 | JACKSON, SHIRLEY | COLUMBIA EQUITY VALUE A | 0.00 | 1.65 | 0.00 | 1.65 | 90.0 | 0.03 |
| 02/12/2016 | BOWERS, DORA | COLUMBIA INTERMEDIATE BOND FD A | 0.00 | 0.74 | 0.00 | 0.74 | 90.0 | 0.01 |
| 03/14/2016 | BOWERS, DORA | COLUMBIA INTERMEDIATE BOND FD A | 0.00 | 0.69 | 0.00 | 0.69 | 90.0 | 0.01 |
| 04/15/2016 | BOWERS, DORA | COLUMBIA INTERMEDIATE BOND FD A | 0.00 | 0.74 | 0.00 | 0.74 | 90.0 | 0.01 |
| 05/24/2016 | BOWERS, DORA | COLUMBIA INTERMEDIATE BOND FD A | 0.00 | 0.73 | 0.00 | 0.73 | 90.0 | 0.01 |
| 06/14/2016 | BOWERS, DORA | COLUMBIA INTERMEDIATE BOND FD A | 0.00 | 0.76 | 0.00 | 0.76 | 90.0 | 0.01 |
| 07/20/2016 | BOWERS, DORA | COLUMBIA INTERMEDIATE BOND FD A | 0.00 | 0.74 | 0.00 | 0.74 | 90.0 | 0.01 |
| 08/17/2016 | BOWERS, DORA | COLUMBIA INTERMEDIATE BOND FD A | 0.00 | 0.77 | 0.00 | 0.77 | 90.0 | 0.01 |
| 09/16/2016 | BOWERS, DORA | COLUMBIA INTERMEDIATE BOND FD A | 0.00 | 0.77 | 0.00 | 0.77 | 90.0 | 0.01 |
| 10/14/2016 | BOWERS, DORA | COLUMBIA INTERMEDIATE BOND FD A | 0.00 | 0.75 | 0.00 | 0.75 | 90.0 | 0.01 |
| 11/15/2016 | BOWERS, DORA | COLUMBIA INTERMEDIATE BOND FD A | 0.00 | 0.77 | 0.00 | 0.77 | 90.0 | 0.01 |
| 12/15/2016 | BOWERS, DORA | COLUMBIA INTERMEDIATE BOND FD A | 0.00 | 0.73 | 0.00 | 0.73 | 90.0 | 0.01 |
| 02/12/2016 | MELVIN, GREG | COLUMBIA MARSICO 21ST CENTURY FUND | 0.00 | 0.72 | 0.00 | 0.72 | 90.0 | 0.01 |
| 03/14/2016 | MELVIN, GREG | COLUMBIA MARSICO 21ST CENTURY FUND | 0.00 | 0.63 | 0.00 | 0.63 | 90.0 | 0.01 |
| 04/15/2016 | MELVIN, GREG | COLUMBIA MARSICO 21ST CENTURY FUND | 0.00 | 0.71 | 0.00 | 0.71 | 90.0 | 0.01 |
| 05/24/2016 | MELVIN, GREG | COLUMBIA MARSICO 21ST CENTURY FUND | 0.00 | 0.71 | 0.00 | 0.71 | 90.0 | 0.01 |
| 06/14/2016 | MELVIN, GREG | COLUMBIA MARSICO 21ST CENTURY FUND | 0.00 | 0.73 | 0.00 | 0.73 | 90.0 | 0.01 |
| 07/20/2016 | MELVIN, GREG | COLUMBIA MARSICO 21ST CENTURY FUND | 0.00 | 0.71 | 0.00 | 0.71 | 90.0 | 0.01 |
| 08/17/2016 | MELVIN, GREG | COLUMBIA MARSICO 21ST CENTURY FUND | 0.00 | 0.75 | 0.00 | 0.75 | 90.0 | 0.01 |
| 09/16/2016 | MELVIN, GREG | COLUMBIA MARSICO 21ST CENTURY FUND | 0.00 | 0.77 | 0.00 | 0.77 | 90.0 | 0.01 |
| 10/14/2016 | MELVIN, GREG | COLUMBIA MARSICO 21ST CENTURY FUND | 0.00 | 0.74 | 0.00 | 0.74 | 90.0 | 0.01 |
| 11/15/2016 | MELVIN, GREG | COLUMBIA MARSICO 21ST CENTURY FUND | 0.00 | 0.67 | 0.00 | 0.67 | 90.0 | 0.01 |
| 12/15/2016 | MELVIN, GREG | COLUMBIA MARSICO FOCUSED EQUITIES F | 0.00 | 0.73 | 0.00 | 0.73 | 90.0 | 0.01 |
| 02/12/2016 | MEDIA ENTERPRISES | COLUMBIA MIDCAP VALUE A | 0.00 | 1.84 | 0.00 | 1.84 | 90.0 | 0.03 |
| 03/14/2016 | MEDIA ENTERPRISES | COLUMBIA MIDCAP VALUE A | 0.00 | 1.67 | 0.00 | 1.67 | 90.0 | 0.03 |
| 04/15/2016 | MEDIA ENTERPRISES | COLUMBIA MIDCAP VALUE A | 0.00 | 1.95 | 0.00 | 1.95 | 90.0 | 0.03 |
| 05/24/2016 | MEDIA ENTERPRISES | COLUMBIA MIDCAP VALUE A | 0.00 | 1.95 | 0.00 | 1.95 | 90.0 | 0.03 |
| 06/14/2016 | MEDIA ENTERPRISES | COLUMBIA MIDCAP VALUE A | 0.00 | 2.03 | 0.00 | 2.03 | 90.0 | 0.03 |
| 07/20/2016 | MEDIA ENTERPRISES | COLUMBIA MIDCAP VALUE A | 0.00 | 1.99 | 0.00 | 1.99 | 90.0 | 0.03 |
| 08/17/2016 | MEDIA ENTERPRISES | COLUMBIA MIDCAP VALUE A | 0.00 | 2.10 | 0.00 | 2.10 | 90.0 | 0.04 |

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

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

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

| DATE | CLIENT | INVESTMENT | INVESTMENT AMOUNT | GROSS COMMISSION | CLEARING CHARGE | NET COMMISSION | RATE | BROKER COMMISSION |
|--|-------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u> OVERRIDE TRANSACTIONS </u> | | | | | | | | |
| <u> BROKER: MARC, L134 LINSKY #263 </u> | | | | | | | | |
| 09/16/2016 | MEDIA ENTERPRISES | COLUMBIA MIDCAP VALUE A | 0.00 | 2.12 | 0.00 | 2.12 | 90.0 | 0.04 |
| 10/14/2016 | MEDIA ENTERPRISES | COLUMBIA MIDCAP VALUE A | 0.00 | 2.04 | 0.00 | 2.04 | 90.0 | 0.03 |
| 11/15/2016 | MEDIA ENTERPRISES | COLUMBIA MIDCAP VALUE A | 0.00 | 2.09 | 0.00 | 2.09 | 90.0 | 0.04 |
| 12/15/2016 | MEDIA ENTERPRISES | COLUMBIA MIDCAP VALUE A | 0.00 | 2.07 | 0.00 | 2.07 | 90.0 | 0.04 |
| 02/12/2016 | BOWERS, DORA | COLUMBIA SELECT LARGE CAP GROWTH FU | 0.00 | 1.00 | 0.00 | 1.00 | 90.0 | 0.02 |
| 03/14/2016 | BOWERS, DORA | COLUMBIA SELECT LARGE CAP GROWTH FU | 0.00 | 0.84 | 0.00 | 0.84 | 90.0 | 0.01 |
| 04/15/2016 | BOWERS, DORA | COLUMBIA SELECT LARGE CAP GROWTH FU | 0.00 | 0.96 | 0.00 | 0.96 | 90.0 | 0.02 |
| 05/24/2016 | BOWERS, DORA | COLUMBIA SELECT LARGE CAP GROWTH FU | 0.00 | 0.98 | 0.00 | 0.98 | 90.0 | 0.02 |
| 06/14/2016 | BOWERS, DORA | COLUMBIA SELECT LARGE CAP GROWTH FU | 0.00 | 1.02 | 0.00 | 1.02 | 90.0 | 0.02 |
| 07/20/2016 | BOWERS, DORA | COLUMBIA SELECT LARGE CAP GROWTH FU | 0.00 | 1.00 | 0.00 | 1.00 | 90.0 | 0.02 |
| 08/17/2016 | BOWERS, DORA | COLUMBIA SELECT LARGE CAP GROWTH FU | 0.00 | 1.06 | 0.00 | 1.06 | 90.0 | 0.02 |
| 09/16/2016 | BOWERS, DORA | COLUMBIA SELECT LARGE CAP GROWTH FU | 0.00 | 1.10 | 0.00 | 1.10 | 90.0 | 0.02 |
| 10/14/2016 | BOWERS, DORA | COLUMBIA SELECT LARGE CAP GROWTH FU | 0.00 | 1.06 | 0.00 | 1.06 | 90.0 | 0.02 |
| 11/15/2016 | BOWERS, DORA | COLUMBIA SELECT LARGE CAP GROWTH FU | 0.00 | 1.07 | 0.00 | 1.07 | 90.0 | 0.02 |
| 12/15/2016 | BOWERS, DORA | COLUMBIA SELECT LARGE CAP GROWTH FU | 0.00 | 1.00 | 0.00 | 1.00 | 90.0 | 0.02 |
| 02/12/2016 | FLEISCH, ROBERT | COLUMBIA SMALL CAP INDEX FUND CLASS | 0.00 | 8.38 | 0.00 | 8.38 | 90.0 | 0.14 |
| 03/14/2016 | FLEISCH, ROBERT | COLUMBIA SMALL CAP INDEX FUND CLASS | 0.00 | 7.72 | 0.00 | 7.72 | 90.0 | 0.13 |
| 04/15/2016 | FLEISCH, ROBERT | COLUMBIA SMALL CAP INDEX FUND CLASS | 0.00 | 8.97 | 0.00 | 8.97 | 90.0 | 0.15 |
| 05/24/2016 | FLEISCH, ROBERT | COLUMBIA SMALL CAP INDEX FUND CLASS | 0.00 | 8.98 | 0.00 | 8.98 | 90.0 | 0.15 |
| 06/14/2016 | FLEISCH, ROBERT | COLUMBIA SMALL CAP INDEX FUND CLASS | 0.00 | 9.26 | 0.00 | 9.26 | 90.0 | 0.16 |
| 07/20/2016 | FLEISCH, ROBERT | COLUMBIA SMALL CAP INDEX FUND CLASS | 0.00 | 9.20 | 0.00 | 9.20 | 90.0 | 0.16 |
| 08/17/2016 | FLEISCH, ROBERT | COLUMBIA SMALL CAP INDEX FUND CLASS | 0.00 | 9.86 | 0.00 | 9.86 | 90.0 | 0.17 |
| 09/16/2016 | FLEISCH, ROBERT | COLUMBIA SMALL CAP INDEX FUND CLASS | 0.00 | 9.74 | 0.00 | 9.74 | 90.0 | 0.17 |
| 10/14/2016 | FLEISCH, ROBERT | COLUMBIA SMALL CAP INDEX FUND CLASS | 0.00 | 9.30 | 0.00 | 9.30 | 90.0 | 0.16 |
| 11/15/2016 | FLEISCH, ROBERT | COLUMBIA SMALL CAP INDEX FUND CLASS | 0.00 | 9.46 | 0.00 | 9.46 | 90.0 | 0.16 |
| 12/15/2016 | FLEISCH, ROBERT | COLUMBIA SMALL CAP INDEX FUND CLASS | 0.00 | 9.64 | 0.00 | 9.64 | 90.0 | 0.16 |
| 02/12/2016 | FLEISCH, ROBERT | COLUMBIA STRATEGIC INCOME A | 0.00 | 2.12 | 0.00 | 2.12 | 90.0 | 0.04 |
| 03/14/2016 | FLEISCH, ROBERT | COLUMBIA STRATEGIC INCOME A | 0.00 | 1.96 | 0.00 | 1.96 | 90.0 | 0.03 |
| 04/15/2016 | FLEISCH, ROBERT | COLUMBIA STRATEGIC INCOME A | 0.00 | 2.18 | 0.00 | 2.18 | 90.0 | 0.04 |
| 05/24/2016 | FLEISCH, ROBERT | COLUMBIA STRATEGIC INCOME A | 0.00 | 2.14 | 0.00 | 2.14 | 90.0 | 0.04 |
| 06/14/2016 | FLEISCH, ROBERT | COLUMBIA STRATEGIC INCOME A | 0.00 | 2.23 | 0.00 | 2.23 | 90.0 | 0.04 |
| 07/20/2016 | FLEISCH, ROBERT | COLUMBIA STRATEGIC INCOME A | 0.00 | 2.17 | 0.00 | 2.17 | 90.0 | 0.04 |
| 08/17/2016 | FLEISCH, ROBERT | COLUMBIA STRATEGIC INCOME A | 0.00 | 2.28 | 0.00 | 2.28 | 90.0 | 0.04 |

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| DATE | CLIENT | INVESTMENT | INVESTMENT AMOUNT | GROSS COMMISSION | CLEARING CHARGE | NET COMMISSION | RATE | BROKER COMMISSION |
|--|--------------------|----------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u> OVERRIDE TRANSACTIONS </u> | | | | | | | | |
| <u> BROKER: MARC, L134 LINSKY #263 </u> | | | | | | | | |
| 09/16/2016 | FLEISCH, ROBERT | COLUMBIA STRATEGIC INCOME A | 0.00 | 2.30 | 0.00 | 2.30 | 90.0 | 0.04 |
| 10/14/2016 | FLEISCH, ROBERT | COLUMBIA STRATEGIC INCOME A | 0.00 | 2.24 | 0.00 | 2.24 | 90.0 | 0.04 |
| 11/15/2016 | FLEISCH, ROBERT | COLUMBIA STRATEGIC INCOME A | 0.00 | 2.32 | 0.00 | 2.32 | 90.0 | 0.04 |
| 12/15/2016 | FLEISCH, ROBERT | COLUMBIA STRATEGIC INCOME A | 0.00 | 2.23 | 0.00 | 2.23 | 90.0 | 0.04 |
| 02/16/2016 | CENTANNI, BETTY | DAVIS NEW YORK VENTURE A | 0.00 | 0.30 | 0.00 | 0.30 | 90.0 | 0.01 |
| 02/16/2016 | CENTANNI, RICHARD | DAVIS NEW YORK VENTURE A | 0.00 | 0.54 | 0.00 | 0.54 | 90.0 | 0.01 |
| 03/14/2016 | CENTANNI, RICHARD | DAVIS NEW YORK VENTURE A | 0.00 | 0.49 | 0.00 | 0.49 | 90.0 | 0.01 |
| 04/20/2016 | CENTANNI, BETTY | DAVIS NEW YORK VENTURE A | 0.00 | 0.30 | 0.00 | 0.30 | 90.0 | 0.01 |
| 04/20/2016 | CENTANNI, RICHARD | DAVIS NEW YORK VENTURE A | 0.00 | 0.56 | 0.00 | 0.56 | 90.0 | 0.01 |
| 05/16/2016 | CENTANNI, BETTY | DAVIS NEW YORK VENTURE A | 0.00 | 0.31 | 0.00 | 0.31 | 90.0 | 0.01 |
| 05/16/2016 | CENTANNI, RICHARD | DAVIS NEW YORK VENTURE A | 0.00 | 0.56 | 0.00 | 0.56 | 90.0 | 0.01 |
| 06/16/2016 | CENTANNI, BETTY | DAVIS NEW YORK VENTURE A | 0.00 | 0.32 | 0.00 | 0.32 | 90.0 | 0.01 |
| 06/16/2016 | CENTANNI, RICHARD | DAVIS NEW YORK VENTURE A | 0.00 | 0.59 | 0.00 | 0.59 | 90.0 | 0.01 |
| 07/15/2016 | CENTANNI, BETTY | DAVIS NEW YORK VENTURE A | 0.00 | 0.31 | 0.00 | 0.31 | 90.0 | 0.01 |
| 07/15/2016 | CENTANNI, RICHARD | DAVIS NEW YORK VENTURE A | 0.00 | 0.57 | 0.00 | 0.57 | 90.0 | 0.01 |
| 08/15/2016 | CENTANNI, BETTY | DAVIS NEW YORK VENTURE A | 0.00 | 0.33 | 0.00 | 0.33 | 90.0 | 0.01 |
| 08/15/2016 | CENTANNI, RICHARD | DAVIS NEW YORK VENTURE A | 0.00 | 0.60 | 0.00 | 0.60 | 90.0 | 0.01 |
| 09/16/2016 | CENTANNI, BETTY | DAVIS NEW YORK VENTURE A | 0.00 | 0.34 | 0.00 | 0.34 | 90.0 | 0.01 |
| 09/16/2016 | CENTANNI, RICHARD | DAVIS NEW YORK VENTURE A | 0.00 | 0.62 | 0.00 | 0.62 | 90.0 | 0.01 |
| 10/17/2016 | CENTANNI, BETTY | DAVIS NEW YORK VENTURE A | 0.00 | 0.33 | 0.00 | 0.33 | 90.0 | 0.01 |
| 10/17/2016 | CENTANNI, RICHARD | DAVIS NEW YORK VENTURE A | 0.00 | 0.61 | 0.00 | 0.61 | 90.0 | 0.01 |
| 11/11/2016 | CENTANNI, BETTY | DAVIS NEW YORK VENTURE A | 0.00 | 0.34 | 0.00 | 0.34 | 90.0 | 0.01 |
| 11/11/2016 | CENTANNI, RICHARD | DAVIS NEW YORK VENTURE A | 0.00 | 0.63 | 0.00 | 0.63 | 90.0 | 0.01 |
| 12/16/2016 | CENTANNI, BETTY | DAVIS NEW YORK VENTURE A | 0.00 | 0.34 | 0.00 | 0.34 | 90.0 | 0.01 |
| 12/16/2016 | CENTANNI, RICHARD | DAVIS NEW YORK VENTURE A | 0.00 | 0.62 | 0.00 | 0.62 | 90.0 | 0.01 |
| 04/26/2016 | BOWERS, DORA | DEUTSCHE GLOBAL RE | 0.00 | 0.82 | 0.00 | 0.82 | 90.0 | 0.01 |
| 07/25/2016 | BOWERS, DORA | DEUTSCHE GLOBAL RE | 0.00 | 0.88 | 0.00 | 0.88 | 90.0 | 0.01 |
| 10/27/2016 | BOWERS, DORA | DEUTSCHE GLOBAL RE | 0.00 | 0.94 | 0.00 | 0.94 | 90.0 | 0.02 |
| 02/10/2016 | GUERRIERI, CHARLES | DREYFUS CORE EQUITY FUND CLASS A | 0.00 | 2.49 | 0.00 | 2.49 | 90.0 | 0.04 |
| 03/10/2016 | GUERRIERI, CHARLES | DREYFUS CORE EQUITY FUND CLASS A | 0.00 | 2.32 | 0.00 | 2.32 | 90.0 | 0.04 |
| 04/15/2016 | GUERRIERI, CHARLES | DREYFUS CORE EQUITY FUND CLASS A | 0.00 | 2.62 | 0.00 | 2.62 | 90.0 | 0.04 |
| 05/11/2016 | GUERRIERI, CHARLES | DREYFUS CORE EQUITY FUND CLASS A | 0.00 | 2.61 | 0.00 | 2.61 | 90.0 | 0.04 |
| 06/10/2016 | GUERRIERI, CHARLES | DREYFUS CORE EQUITY FUND CLASS A | 0.00 | 2.68 | 0.00 | 2.68 | 90.0 | 0.05 |

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|--|--------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u>VERRIDE TRANSACTIONS</u> | | | | | | | | |
| <u>BROKER: MARC, L134 LINSKY #263</u> | | | | | | | | |
| 07/13/2016 | GUERRIERI, CHARLES | DREYFUS CORE EQUITY FUND CLASS A | 0.00 | 2.60 | 0.00 | 2.60 | 90.0 | 0.04 |
| 08/09/2016 | GUERRIERI, CHARLES | DREYFUS CORE EQUITY FUND CLASS A | 0.00 | 2.76 | 0.00 | 2.76 | 90.0 | 0.05 |
| 09/12/2016 | GUERRIERI, CHARLES | DREYFUS CORE EQUITY FUND CLASS A | 0.00 | 2.79 | 0.00 | 2.79 | 90.0 | 0.05 |
| 10/11/2016 | GUERRIERI, CHARLES | DREYFUS CORE EQUITY FUND CLASS A | 0.00 | 2.67 | 0.00 | 2.67 | 90.0 | 0.05 |
| 11/15/2016 | GUERRIERI, CHARLES | DREYFUS CORE EQUITY FUND CLASS A | 0.00 | 2.74 | 0.00 | 2.74 | 90.0 | 0.05 |
| 12/13/2016 | GUERRIERI, CHARLES | DREYFUS CORE EQUITY FUND CLASS A | 0.00 | 2.63 | 0.00 | 2.63 | 90.0 | 0.04 |
| 02/10/2016 | GUERRIERI, BERNICE | DREYFUS INTERMEDIATE TERM INCOME FU | 0.00 | 1.67 | 0.00 | 1.67 | 90.0 | 0.03 |
| 03/10/2016 | GUERRIERI, BERNICE | DREYFUS INTERMEDIATE TERM INCOME FU | 0.00 | 1.56 | 0.00 | 1.56 | 90.0 | 0.03 |
| 04/15/2016 | GUERRIERI, BERNICE | DREYFUS INTERMEDIATE TERM INCOME FU | 0.00 | 0.76 | 0.00 | 0.76 | 90.0 | 0.01 |
| 02/10/2016 | COHEN, HARRIET | DREYFUS NEW JERSEY MUNICIPAL BOND F | 0.00 | 62.01 | 0.00 | 62.01 | 90.0 | 1.05 |
| 03/10/2016 | COHEN, HARRIET | DREYFUS NEW JERSEY MUNICIPAL BOND F | 0.00 | 58.35 | 0.00 | 58.35 | 90.0 | 0.99 |
| 04/15/2016 | COHEN, HARRIET | DREYFUS NEW JERSEY MUNICIPAL BOND F | 0.00 | 62.22 | 0.00 | 62.22 | 90.0 | 1.06 |
| 05/11/2016 | COHEN, HARRIET | DREYFUS NEW JERSEY MUNICIPAL BOND F | 0.00 | 60.99 | 0.00 | 60.99 | 90.0 | 1.04 |
| 06/10/2016 | COHEN, HARRIET | DREYFUS NEW JERSEY MUNICIPAL BOND F | 0.00 | 63.47 | 0.00 | 63.47 | 90.0 | 1.08 |
| 07/13/2016 | COHEN, HARRIET | DREYFUS NEW JERSEY MUNICIPAL BOND F | 0.00 | 61.93 | 0.00 | 61.93 | 90.0 | 1.05 |
| 08/09/2016 | COHEN, HARRIET | DREYFUS NEW JERSEY MUNICIPAL BOND F | 0.00 | 64.32 | 0.00 | 64.32 | 90.0 | 1.09 |
| 09/12/2016 | COHEN, HARRIET | DREYFUS NEW JERSEY MUNICIPAL BOND F | 0.00 | 64.37 | 0.00 | 64.37 | 90.0 | 1.09 |
| 10/11/2016 | COHEN, HARRIET | DREYFUS NEW JERSEY MUNICIPAL BOND F | 0.00 | 62.01 | 0.00 | 62.01 | 90.0 | 1.05 |
| 11/15/2016 | COHEN, HARRIET | DREYFUS NEW JERSEY MUNICIPAL BOND F | 0.00 | 63.45 | 0.00 | 63.45 | 90.0 | 1.08 |
| 12/13/2016 | COHEN, HARRIET | DREYFUS NEW JERSEY MUNICIPAL BOND F | 0.00 | 59.95 | 0.00 | 59.95 | 90.0 | 1.02 |
| 04/26/2016 | TRICHON, DOROTHY | DWS STRATEGIC GOVERNMENT SECURITIES | 0.00 | 4.94 | 0.00 | 4.94 | 90.0 | 0.08 |
| 07/25/2016 | TRICHON, DOROTHY | DWS STRATEGIC GOVERNMENT SECURITIES | 0.00 | 4.94 | 0.00 | 4.94 | 90.0 | 0.08 |
| 10/27/2016 | TRICHON, DOROTHY | DWS STRATEGIC GOVERNMENT SECURITIES | 0.00 | 4.40 | 0.00 | 4.40 | 90.0 | 0.07 |
| 02/10/2016 | TRICHON, DOROTHY | EATON VANCE GOVT OBLIGATIONS A | 0.00 | 1.66 | 0.00 | 1.66 | 90.0 | 0.03 |
| 03/16/2016 | TRICHON, DOROTHY | EATON VANCE GOVT OBLIGATIONS A | 0.00 | 1.56 | 0.00 | 1.56 | 90.0 | 0.03 |
| 04/25/2016 | TRICHON, DOROTHY | EATON VANCE GOVT OBLIGATIONS A | 0.00 | 1.66 | 0.00 | 1.66 | 90.0 | 0.03 |
| 05/13/2016 | TRICHON, DOROTHY | EATON VANCE GOVT OBLIGATIONS A | 0.00 | 1.60 | 0.00 | 1.60 | 90.0 | 0.03 |
| 06/15/2016 | TRICHON, DOROTHY | EATON VANCE GOVT OBLIGATIONS A | 0.00 | 1.65 | 0.00 | 1.65 | 90.0 | 0.03 |
| 07/20/2016 | TRICHON, DOROTHY | EATON VANCE GOVT OBLIGATIONS A | 0.00 | 1.60 | 0.00 | 1.60 | 90.0 | 0.03 |
| 08/12/2016 | TRICHON, DOROTHY | EATON VANCE GOVT OBLIGATIONS A | 0.00 | 1.64 | 0.00 | 1.64 | 90.0 | 0.03 |
| 09/13/2016 | TRICHON, DOROTHY | EATON VANCE GOVT OBLIGATIONS A | 0.00 | 1.64 | 0.00 | 1.64 | 90.0 | 0.03 |
| 10/12/2016 | TRICHON, DOROTHY | EATON VANCE GOVT OBLIGATIONS A | 0.00 | 1.51 | 0.00 | 1.51 | 90.0 | 0.03 |
| 11/15/2016 | TRICHON, DOROTHY | EATON VANCE GOVT OBLIGATIONS A | 0.00 | 1.42 | 0.00 | 1.42 | 90.0 | 0.02 |

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|--|------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u> OVERRIDE TRANSACTIONS </u> | | | | | | | | |
| <u> BROKER: MARC, L134 LINSKY #263 </u> | | | | | | | | |
| 12/21/2016 | TRICHON, DOROTHY | EATON VANCE GOVT OBLIGATIONS A | 0.00 | 1.37 | 0.00 | 1.37 | 90.0 | 0.02 |
| 02/10/2016 | BOWERS, DORA | EATON VANCE LARGE-CAP VALUE FUND CL | 0.00 | 0.63 | 0.00 | 0.63 | 90.0 | 0.01 |
| 03/16/2016 | BOWERS, DORA | EATON VANCE LARGE-CAP VALUE FUND CL | 0.00 | 0.58 | 0.00 | 0.58 | 90.0 | 0.01 |
| 04/25/2016 | BOWERS, DORA | EATON VANCE LARGE-CAP VALUE FUND CL | 0.00 | 0.66 | 0.00 | 0.66 | 90.0 | 0.01 |
| 05/13/2016 | BOWERS, DORA | EATON VANCE LARGE-CAP VALUE FUND CL | 0.00 | 0.65 | 0.00 | 0.65 | 90.0 | 0.01 |
| 06/15/2016 | BOWERS, DORA | EATON VANCE LARGE-CAP VALUE FUND CL | 0.00 | 0.67 | 0.00 | 0.67 | 90.0 | 0.01 |
| 07/20/2016 | BOWERS, DORA | EATON VANCE LARGE-CAP VALUE FUND CL | 0.00 | 0.65 | 0.00 | 0.65 | 90.0 | 0.01 |
| 08/12/2016 | BOWERS, DORA | EATON VANCE LARGE-CAP VALUE FUND CL | 0.00 | 0.69 | 0.00 | 0.69 | 90.0 | 0.01 |
| 09/13/2016 | BOWERS, DORA | EATON VANCE LARGE-CAP VALUE FUND CL | 0.00 | 0.69 | 0.00 | 0.69 | 90.0 | 0.01 |
| 10/12/2016 | BOWERS, DORA | EATON VANCE LARGE-CAP VALUE FUND CL | 0.00 | 0.66 | 0.00 | 0.66 | 90.0 | 0.01 |
| 11/15/2016 | BOWERS, DORA | EATON VANCE LARGE-CAP VALUE FUND CL | 0.00 | 0.68 | 0.00 | 0.68 | 90.0 | 0.01 |
| 12/21/2016 | BOWERS, DORA | EATON VANCE LARGE-CAP VALUE FUND CL | 0.00 | 0.66 | 0.00 | 0.66 | 90.0 | 0.01 |
| 02/10/2016 | TRICHON, DOROTHY | EATON VANCE NATIONAL MUNICIPAL INCO | 0.00 | 2.34 | 0.00 | 2.34 | 90.0 | 0.04 |
| 03/16/2016 | TRICHON, DOROTHY | EATON VANCE NATIONAL MUNICIPAL INCO | 0.00 | 2.19 | 0.00 | 2.19 | 90.0 | 0.04 |
| 04/25/2016 | TRICHON, DOROTHY | EATON VANCE NATIONAL MUNICIPAL INCO | 0.00 | 2.32 | 0.00 | 2.32 | 90.0 | 0.04 |
| 05/13/2016 | TRICHON, DOROTHY | EATON VANCE NATIONAL MUNICIPAL INCO | 0.00 | 2.28 | 0.00 | 2.28 | 90.0 | 0.04 |
| 06/15/2016 | TRICHON, DOROTHY | EATON VANCE NATIONAL MUNICIPAL INCO | 0.00 | 2.37 | 0.00 | 2.37 | 90.0 | 0.04 |
| 07/20/2016 | TRICHON, DOROTHY | EATON VANCE NATIONAL MUNICIPAL INCO | 0.00 | 2.31 | 0.00 | 2.31 | 90.0 | 0.04 |
| 08/12/2016 | TRICHON, DOROTHY | EATON VANCE NATIONAL MUNICIPAL INCO | 0.00 | 2.40 | 0.00 | 2.40 | 90.0 | 0.04 |
| 09/13/2016 | TRICHON, DOROTHY | EATON VANCE NATIONAL MUNICIPAL INCO | 0.00 | 2.39 | 0.00 | 2.39 | 90.0 | 0.04 |
| 10/12/2016 | TRICHON, DOROTHY | EATON VANCE NATIONAL MUNICIPAL INCO | 0.00 | 2.31 | 0.00 | 2.31 | 90.0 | 0.04 |
| 11/15/2016 | TRICHON, DOROTHY | EATON VANCE NATIONAL MUNICIPAL INCO | 0.00 | 2.36 | 0.00 | 2.36 | 90.0 | 0.04 |
| 12/21/2016 | TRICHON, DOROTHY | EATON VANCE NATIONAL MUNICIPAL INCO | 0.00 | 2.24 | 0.00 | 2.24 | 90.0 | 0.04 |
| 02/10/2016 | TRICHON, DOROTHY | EATON VANCE PENNSYLVANIA MUNI INCOM | 0.00 | 1.82 | 0.00 | 1.82 | 90.0 | 0.03 |
| 03/16/2016 | TRICHON, DOROTHY | EATON VANCE PENNSYLVANIA MUNI INCOM | 0.00 | 1.71 | 0.00 | 1.71 | 90.0 | 0.03 |
| 04/25/2016 | TRICHON, DOROTHY | EATON VANCE PENNSYLVANIA MUNI INCOM | 0.00 | 1.81 | 0.00 | 1.81 | 90.0 | 0.03 |
| 04/25/2016 | JACKSON, SHIRLEY | EATON VANCE PENNSYLVANIA MUNI INCOM | 0.00 | 3.03 | 0.00 | 3.03 | 90.0 | 0.05 |
| 05/13/2016 | TRICHON, DOROTHY | EATON VANCE PENNSYLVANIA MUNI INCOM | 0.00 | 1.77 | 0.00 | 1.77 | 90.0 | 0.03 |
| 05/13/2016 | JACKSON, SHIRLEY | EATON VANCE PENNSYLVANIA MUNI INCOM | 0.00 | 2.96 | 0.00 | 2.96 | 90.0 | 0.05 |
| 06/15/2016 | TRICHON, DOROTHY | EATON VANCE PENNSYLVANIA MUNI INCOM | 0.00 | 1.83 | 0.00 | 1.83 | 90.0 | 0.03 |
| 06/15/2016 | JACKSON, SHIRLEY | EATON VANCE PENNSYLVANIA MUNI INCOM | 0.00 | 3.07 | 0.00 | 3.07 | 90.0 | 0.05 |
| 07/20/2016 | TRICHON, DOROTHY | EATON VANCE PENNSYLVANIA MUNI INCOM | 0.00 | 1.78 | 0.00 | 1.78 | 90.0 | 0.03 |
| 07/20/2016 | JACKSON, SHIRLEY | EATON VANCE PENNSYLVANIA MUNI INCOM | 0.00 | 3.00 | 0.00 | 3.00 | 90.0 | 0.05 |

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

| DATE | CLIENT | INVESTMENT | INVESTMENT AMOUNT | GROSS COMMISSION | CLEARING CHARGE | NET COMMISSION | RATE | BROKER COMMISSION |
|--|------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u> OVERRIDE TRANSACTIONS </u> | | | | | | | | |
| <u> BROKER: MARC, L134 LINSKY #263 </u> | | | | | | | | |
| 08/12/2016 | TRICHON, DOROTHY | EATON VANCE PENNSYLVANIA MUNI INCOM | 0.00 | 1.84 | 0.00 | 1.84 | 90.0 | 0.03 |
| 08/12/2016 | JACKSON, SHIRLEY | EATON VANCE PENNSYLVANIA MUNI INCOM | 0.00 | 3.12 | 0.00 | 3.12 | 90.0 | 0.05 |
| 09/13/2016 | TRICHON, DOROTHY | EATON VANCE PENNSYLVANIA MUNI INCOM | 0.00 | 1.84 | 0.00 | 1.84 | 90.0 | 0.03 |
| 09/13/2016 | JACKSON, SHIRLEY | EATON VANCE PENNSYLVANIA MUNI INCOM | 0.00 | 3.12 | 0.00 | 3.12 | 90.0 | 0.05 |
| 10/12/2016 | TRICHON, DOROTHY | EATON VANCE PENNSYLVANIA MUNI INCOM | 0.00 | 1.77 | 0.00 | 1.77 | 90.0 | 0.03 |
| 10/12/2016 | JACKSON, SHIRLEY | EATON VANCE PENNSYLVANIA MUNI INCOM | 0.00 | 3.01 | 0.00 | 3.01 | 90.0 | 0.05 |
| 11/15/2016 | TRICHON, DOROTHY | EATON VANCE PENNSYLVANIA MUNI INCOM | 0.00 | 1.81 | 0.00 | 1.81 | 90.0 | 0.03 |
| 11/15/2016 | JACKSON, SHIRLEY | EATON VANCE PENNSYLVANIA MUNI INCOM | 0.00 | 3.09 | 0.00 | 3.09 | 90.0 | 0.05 |
| 12/21/2016 | TRICHON, DOROTHY | EATON VANCE PENNSYLVANIA MUNI INCOM | 0.00 | 1.72 | 0.00 | 1.72 | 90.0 | 0.03 |
| 12/21/2016 | JACKSON, SHIRLEY | EATON VANCE PENNSYLVANIA MUNI INCOM | 0.00 | 2.94 | 0.00 | 2.94 | 90.0 | 0.05 |
| 12/16/2016 | HANKINS, ROBERT | FEDERATED HIGH INCOME BOND FUND INC | 0.00 | 0.95 | 0.00 | 0.95 | 90.0 | 0.02 |
| 02/10/2016 | BOWERS, DORA | FEDERATED TOTAL RETURN BOND A | 0.00 | 0.67 | 0.00 | 0.67 | 90.0 | 0.01 |
| 03/15/2016 | BOWERS, DORA | FEDERATED TOTAL RETURN BOND A | 0.00 | 0.62 | 0.00 | 0.62 | 90.0 | 0.01 |
| 04/20/2016 | BOWERS, DORA | FEDERATED TOTAL RETURN BOND A | 0.00 | 0.67 | 0.00 | 0.67 | 90.0 | 0.01 |
| 05/16/2016 | BOWERS, DORA | FEDERATED TOTAL RETURN BOND A | 0.00 | 0.66 | 0.00 | 0.66 | 90.0 | 0.01 |
| 06/15/2016 | BOWERS, DORA | FEDERATED TOTAL RETURN BOND A | 0.00 | 0.68 | 0.00 | 0.68 | 90.0 | 0.01 |
| 07/19/2016 | BOWERS, DORA | FEDERATED TOTAL RETURN BOND A | 0.00 | 0.67 | 0.00 | 0.67 | 90.0 | 0.01 |
| 08/12/2016 | BOWERS, DORA | FEDERATED TOTAL RETURN BOND A | 0.00 | 0.70 | 0.00 | 0.70 | 90.0 | 0.01 |
| 09/16/2016 | BOWERS, DORA | FEDERATED TOTAL RETURN BOND A | 0.00 | 0.70 | 0.00 | 0.70 | 90.0 | 0.01 |
| 10/21/2016 | BOWERS, DORA | FEDERATED TOTAL RETURN BOND A | 0.00 | 0.67 | 0.00 | 0.67 | 90.0 | 0.01 |
| 11/21/2016 | BOWERS, DORA | FEDERATED TOTAL RETURN BOND A | 0.00 | 0.69 | 0.00 | 0.69 | 90.0 | 0.01 |
| 12/16/2016 | BOWERS, DORA | FEDERATED TOTAL RETURN BOND A | 0.00 | 0.66 | 0.00 | 0.66 | 90.0 | 0.01 |
| 02/12/2016 | FLEISCH, ROBERT | FIDELITY ADV FLOATING RATE HIGH INC | 0.00 | 7.13 | 0.00 | 7.13 | 90.0 | 0.12 |
| 03/17/2016 | FLEISCH, ROBERT | FIDELITY ADV FLOATING RATE HIGH INC | 0.00 | 6.61 | 0.00 | 6.61 | 90.0 | 0.11 |
| 04/19/2016 | FLEISCH, ROBERT | FIDELITY ADV FLOATING RATE HIGH INC | 0.00 | 7.21 | 0.00 | 7.21 | 90.0 | 0.12 |
| 05/24/2016 | FLEISCH, ROBERT | FIDELITY ADV FLOATING RATE HIGH INC | 0.00 | 7.12 | 0.00 | 7.12 | 90.0 | 0.12 |
| 06/15/2016 | FLEISCH, ROBERT | FIDELITY ADV FLOATING RATE HIGH INC | 0.00 | 7.46 | 0.00 | 7.46 | 90.0 | 0.13 |
| 07/19/2016 | FLEISCH, ROBERT | FIDELITY ADV FLOATING RATE HIGH INC | 0.00 | 7.25 | 0.00 | 7.25 | 90.0 | 0.12 |
| 08/16/2016 | FLEISCH, ROBERT | FIDELITY ADV FLOATING RATE HIGH INC | 0.00 | 7.55 | 0.00 | 7.55 | 90.0 | 0.13 |
| 09/19/2016 | FLEISCH, ROBERT | FIDELITY ADV FLOATING RATE HIGH INC | 0.00 | 7.48 | 0.00 | 7.48 | 90.0 | 0.13 |
| 10/19/2016 | FLEISCH, ROBERT | FIDELITY ADV FLOATING RATE HIGH INC | 0.00 | 7.24 | 0.00 | 7.24 | 90.0 | 0.12 |
| 11/18/2016 | FLEISCH, ROBERT | FIDELITY ADV FLOATING RATE HIGH INC | 0.00 | 7.54 | 0.00 | 7.54 | 90.0 | 0.13 |
| 12/16/2016 | FLEISCH, ROBERT | FIDELITY ADV FLOATING RATE HIGH INC | 0.00 | 7.30 | 0.00 | 7.30 | 90.0 | 0.12 |

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| DATE | CLIENT | INVESTMENT | INVESTMENT AMOUNT | GROSS COMMISSION | CLEARING CHARGE | NET COMMISSION | RATE | BROKER COMMISSION |
|--|-------------------|---------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u> OVERRIDE TRANSACTIONS </u> | | | | | | | | |
| <u>BROKER: MARC, L134 LINSKY #263</u> | | | | | | | | |
| 02/12/2016 | FLEISCH, ROBERT | FIDELITY ADV STRATEGIC INCOME A | 0.00 | 7.84 | 0.00 | 7.84 | 90.0 | 0.13 |
| 03/17/2016 | FLEISCH, ROBERT | FIDELITY ADV STRATEGIC INCOME A | 0.00 | 7.32 | 0.00 | 7.32 | 90.0 | 0.12 |
| 04/19/2016 | FLEISCH, ROBERT | FIDELITY ADV STRATEGIC INCOME A | 0.00 | 8.06 | 0.00 | 8.06 | 90.0 | 0.14 |
| 05/24/2016 | FLEISCH, ROBERT | FIDELITY ADV STRATEGIC INCOME A | 0.00 | 7.95 | 0.00 | 7.95 | 90.0 | 0.14 |
| 06/15/2016 | FLEISCH, ROBERT | FIDELITY ADV STRATEGIC INCOME A | 0.00 | 8.27 | 0.00 | 8.27 | 90.0 | 0.14 |
| 07/19/2016 | FLEISCH, ROBERT | FIDELITY ADV STRATEGIC INCOME A | 0.00 | 8.09 | 0.00 | 8.09 | 90.0 | 0.14 |
| 08/16/2016 | FLEISCH, ROBERT | FIDELITY ADV STRATEGIC INCOME A | 0.00 | 8.51 | 0.00 | 8.51 | 90.0 | 0.14 |
| 09/19/2016 | FLEISCH, ROBERT | FIDELITY ADV STRATEGIC INCOME A | 0.00 | 8.48 | 0.00 | 8.48 | 90.0 | 0.14 |
| 10/19/2016 | FLEISCH, ROBERT | FIDELITY ADV STRATEGIC INCOME A | 0.00 | 8.17 | 0.00 | 8.17 | 90.0 | 0.14 |
| 11/18/2016 | FLEISCH, ROBERT | FIDELITY ADV STRATEGIC INCOME A | 0.00 | 8.46 | 0.00 | 8.46 | 90.0 | 0.14 |
| 12/16/2016 | FLEISCH, ROBERT | FIDELITY ADV STRATEGIC INCOME A | 0.00 | 8.05 | 0.00 | 8.05 | 90.0 | 0.14 |
| 02/12/2016 | CENTANNI, BETTY | FIDELITY ADV STRATEGIC INCOME C | 0.00 | 1.39 | 0.00 | 1.39 | 90.0 | 0.02 |
| 02/12/2016 | CENTANNI, RICHARD | FIDELITY ADV STRATEGIC INCOME C | 0.00 | 5.29 | 0.00 | 5.29 | 90.0 | 0.09 |
| 03/17/2016 | CENTANNI, BETTY | FIDELITY ADV STRATEGIC INCOME C | 0.00 | 1.30 | 0.00 | 1.30 | 90.0 | 0.02 |
| 03/17/2016 | CENTANNI, RICHARD | FIDELITY ADV STRATEGIC INCOME C | 0.00 | 4.94 | 0.00 | 4.94 | 90.0 | 0.08 |
| 04/19/2016 | CENTANNI, BETTY | FIDELITY ADV STRATEGIC INCOME C | 0.00 | 1.43 | 0.00 | 1.43 | 90.0 | 0.02 |
| 04/19/2016 | CENTANNI, RICHARD | FIDELITY ADV STRATEGIC INCOME C | 0.00 | 5.44 | 0.00 | 5.44 | 90.0 | 0.09 |
| 05/24/2016 | CENTANNI, BETTY | FIDELITY ADV STRATEGIC INCOME C | 0.00 | 1.40 | 0.00 | 1.40 | 90.0 | 0.02 |
| 05/24/2016 | CENTANNI, RICHARD | FIDELITY ADV STRATEGIC INCOME C | 0.00 | 5.35 | 0.00 | 5.35 | 90.0 | 0.09 |
| 06/15/2016 | CENTANNI, BETTY | FIDELITY ADV STRATEGIC INCOME C | 0.00 | 1.46 | 0.00 | 1.46 | 90.0 | 0.02 |
| 06/15/2016 | CENTANNI, RICHARD | FIDELITY ADV STRATEGIC INCOME C | 0.00 | 5.57 | 0.00 | 5.57 | 90.0 | 0.09 |
| 07/19/2016 | CENTANNI, BETTY | FIDELITY ADV STRATEGIC INCOME C | 0.00 | 1.42 | 0.00 | 1.42 | 90.0 | 0.02 |
| 07/19/2016 | CENTANNI, RICHARD | FIDELITY ADV STRATEGIC INCOME C | 0.00 | 5.44 | 0.00 | 5.44 | 90.0 | 0.09 |
| 08/16/2016 | CENTANNI, BETTY | FIDELITY ADV STRATEGIC INCOME C | 0.00 | 1.49 | 0.00 | 1.49 | 90.0 | 0.03 |
| 08/16/2016 | CENTANNI, RICHARD | FIDELITY ADV STRATEGIC INCOME C | 0.00 | 5.72 | 0.00 | 5.72 | 90.0 | 0.10 |
| 09/19/2016 | CENTANNI, BETTY | FIDELITY ADV STRATEGIC INCOME C | 0.00 | 1.51 | 0.00 | 1.51 | 90.0 | 0.03 |
| 09/19/2016 | CENTANNI, RICHARD | FIDELITY ADV STRATEGIC INCOME C | 0.00 | 5.80 | 0.00 | 5.80 | 90.0 | 0.10 |
| 10/19/2016 | CENTANNI, BETTY | FIDELITY ADV STRATEGIC INCOME C | 0.00 | 1.46 | 0.00 | 1.46 | 90.0 | 0.02 |
| 10/19/2016 | CENTANNI, RICHARD | FIDELITY ADV STRATEGIC INCOME C | 0.00 | 5.63 | 0.00 | 5.63 | 90.0 | 0.10 |
| 11/18/2016 | CENTANNI, BETTY | FIDELITY ADV STRATEGIC INCOME C | 0.00 | 1.51 | 0.00 | 1.51 | 90.0 | 0.03 |
| 11/18/2016 | CENTANNI, RICHARD | FIDELITY ADV STRATEGIC INCOME C | 0.00 | 5.82 | 0.00 | 5.82 | 90.0 | 0.10 |
| 12/16/2016 | CENTANNI, BETTY | FIDELITY ADV STRATEGIC INCOME C | 0.00 | 1.43 | 0.00 | 1.43 | 90.0 | 0.02 |
| 12/16/2016 | CENTANNI, RICHARD | FIDELITY ADV STRATEGIC INCOME C | 0.00 | 5.54 | 0.00 | 5.54 | 90.0 | 0.09 |

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| DATE | CLIENT | INVESTMENT | INVESTMENT AMOUNT | GROSS COMMISSION | CLEARING CHARGE | NET COMMISSION | RATE | BROKER COMMISSION |
|--|-------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u> OVERRIDE TRANSACTIONS </u> | | | | | | | | |
| <u>BROKER: MARC, L134 LINSKY #263</u> | | | | | | | | |
| 02/12/2016 | BOWERS, DORA | FIDELITY ADVISOR TOTAL BOND FUND CL | 0.00 | 0.49 | 0.00 | 0.49 | 90.0 | 0.01 |
| 03/17/2016 | BOWERS, DORA | FIDELITY ADVISOR TOTAL BOND FUND CL | 0.00 | 0.46 | 0.00 | 0.46 | 90.0 | 0.01 |
| 04/19/2016 | BOWERS, DORA | FIDELITY ADVISOR TOTAL BOND FUND CL | 0.00 | 0.50 | 0.00 | 0.50 | 90.0 | 0.01 |
| 05/24/2016 | BOWERS, DORA | FIDELITY ADVISOR TOTAL BOND FUND CL | 0.00 | 0.49 | 0.00 | 0.49 | 90.0 | 0.01 |
| 06/15/2016 | BOWERS, DORA | FIDELITY ADVISOR TOTAL BOND FUND CL | 0.00 | 0.51 | 0.00 | 0.51 | 90.0 | 0.01 |
| 07/19/2016 | BOWERS, DORA | FIDELITY ADVISOR TOTAL BOND FUND CL | 0.00 | 0.49 | 0.00 | 0.49 | 90.0 | 0.01 |
| 08/16/2016 | BOWERS, DORA | FIDELITY ADVISOR TOTAL BOND FUND CL | 0.00 | 0.52 | 0.00 | 0.52 | 90.0 | 0.01 |
| 09/19/2016 | BOWERS, DORA | FIDELITY ADVISOR TOTAL BOND FUND CL | 0.00 | 0.52 | 0.00 | 0.52 | 90.0 | 0.01 |
| 10/19/2016 | BOWERS, DORA | FIDELITY ADVISOR TOTAL BOND FUND CL | 0.00 | 0.50 | 0.00 | 0.50 | 90.0 | 0.01 |
| 11/18/2016 | BOWERS, DORA | FIDELITY ADVISOR TOTAL BOND FUND CL | 0.00 | 0.52 | 0.00 | 0.52 | 90.0 | 0.01 |
| 12/16/2016 | BOWERS, DORA | FIDELITY ADVISOR TOTAL BOND FUND CL | 0.00 | 0.49 | 0.00 | 0.49 | 90.0 | 0.01 |
| 02/12/2016 | BEYERLE, PATRICIA | FIDELITY MIDCAP II T | 0.00 | 2.82 | 0.00 | 2.82 | 90.0 | 0.05 |
| 03/17/2016 | BEYERLE, PATRICIA | FIDELITY MIDCAP II T | 0.00 | 2.57 | 0.00 | 2.57 | 90.0 | 0.04 |
| 04/19/2016 | BEYERLE, PATRICIA | FIDELITY MIDCAP II T | 0.00 | 2.97 | 0.00 | 2.97 | 90.0 | 0.05 |
| 05/24/2016 | BEYERLE, PATRICIA | FIDELITY MIDCAP II T | 0.00 | 2.97 | 0.00 | 2.97 | 90.0 | 0.05 |
| 06/15/2016 | BEYERLE, PATRICIA | FIDELITY MIDCAP II T | 0.00 | 3.07 | 0.00 | 3.07 | 90.0 | 0.05 |
| 07/19/2016 | BEYERLE, PATRICIA | FIDELITY MIDCAP II T | 0.00 | 3.00 | 0.00 | 3.00 | 90.0 | 0.05 |
| 08/16/2016 | BEYERLE, PATRICIA | FIDELITY MIDCAP II T | 0.00 | 3.17 | 0.00 | 3.17 | 90.0 | 0.05 |
| 09/19/2016 | BEYERLE, PATRICIA | FIDELITY MIDCAP II T | 0.00 | 3.23 | 0.00 | 3.23 | 90.0 | 0.05 |
| 10/19/2016 | BEYERLE, PATRICIA | FIDELITY MIDCAP II T | 0.00 | 3.11 | 0.00 | 3.11 | 90.0 | 0.05 |
| 11/18/2016 | BEYERLE, PATRICIA | FIDELITY MIDCAP II T | 0.00 | 2.83 | 0.00 | 2.83 | 90.0 | 0.05 |
| 12/16/2016 | BEYERLE, PATRICIA | FIDELITY MIDCAP II T | 0.00 | 2.36 | 0.00 | 2.36 | 90.0 | 0.04 |
| 02/16/2016 | FLEISCH, ROBERT | FRANKLIN DYNATECH A | 0.00 | 10.75 | 0.00 | 10.75 | 90.0 | 0.18 |
| 03/16/2016 | FLEISCH, ROBERT | FRANKLIN DYNATECH A | 0.00 | 9.39 | 0.00 | 9.39 | 90.0 | 0.16 |
| 04/15/2016 | FLEISCH, ROBERT | FRANKLIN DYNATECH A | 0.00 | 10.65 | 0.00 | 10.65 | 90.0 | 0.18 |
| 05/13/2016 | FLEISCH, ROBERT | FRANKLIN DYNATECH A | 0.00 | 10.70 | 0.00 | 10.70 | 90.0 | 0.18 |
| 06/14/2016 | FLEISCH, ROBERT | FRANKLIN DYNATECH A | 0.00 | 11.02 | 0.00 | 11.02 | 90.0 | 0.19 |
| 07/14/2016 | FLEISCH, ROBERT | FRANKLIN DYNATECH A | 0.00 | 10.84 | 0.00 | 10.84 | 90.0 | 0.18 |
| 08/15/2016 | FLEISCH, ROBERT | FRANKLIN DYNATECH A | 0.00 | 11.60 | 0.00 | 11.60 | 90.0 | 0.20 |
| 09/14/2016 | FLEISCH, ROBERT | FRANKLIN DYNATECH A | 0.00 | 11.51 | 0.00 | 11.51 | 90.0 | 0.20 |
| 10/18/2016 | FLEISCH, ROBERT | FRANKLIN DYNATECH A | 0.00 | 10.95 | 0.00 | 10.95 | 90.0 | 0.19 |
| 11/15/2016 | FLEISCH, ROBERT | FRANKLIN DYNATECH A | 0.00 | 11.32 | 0.00 | 11.32 | 90.0 | 0.19 |
| 12/16/2016 | FLEISCH, ROBERT | FRANKLIN DYNATECH A | 0.00 | 10.70 | 0.00 | 10.70 | 90.0 | 0.18 |

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|--|-----------------------|-----------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u> OVERRIDE TRANSACTIONS </u> | | | | | | | | |
| <u> BROKER: MARC, L134 LINSKY #263 </u> | | | | | | | | |
| 02/16/2016 | FLEISCH, ROBERT | FRANKLIN GOLD & PRECIOUS METALS A | 0.00 | 2.02 | 0.00 | 2.02 | 90.0 | 0.03 |
| 03/16/2016 | FLEISCH, ROBERT | FRANKLIN GOLD & PRECIOUS METALS A | 0.00 | 2.32 | 0.00 | 2.32 | 90.0 | 0.04 |
| 04/15/2016 | FLEISCH, ROBERT | FRANKLIN GOLD & PRECIOUS METALS A | 0.00 | 2.93 | 0.00 | 2.93 | 90.0 | 0.05 |
| 05/13/2016 | FLEISCH, ROBERT | FRANKLIN GOLD & PRECIOUS METALS A | 0.00 | 3.17 | 0.00 | 3.17 | 90.0 | 0.05 |
| 06/14/2016 | FLEISCH, ROBERT | FRANKLIN GOLD & PRECIOUS METALS A | 0.00 | 3.53 | 0.00 | 3.53 | 90.0 | 0.06 |
| 07/14/2016 | FLEISCH, ROBERT | FRANKLIN GOLD & PRECIOUS METALS A | 0.00 | 3.65 | 0.00 | 3.65 | 90.0 | 0.06 |
| 08/15/2016 | FLEISCH, ROBERT | FRANKLIN GOLD & PRECIOUS METALS A | 0.00 | 4.34 | 0.00 | 4.34 | 90.0 | 0.07 |
| 09/14/2016 | FLEISCH, ROBERT | FRANKLIN GOLD & PRECIOUS METALS A | 0.00 | 4.40 | 0.00 | 4.40 | 90.0 | 0.07 |
| 10/18/2016 | FLEISCH, ROBERT | FRANKLIN GOLD & PRECIOUS METALS A | 0.00 | 3.97 | 0.00 | 3.97 | 90.0 | 0.07 |
| 11/15/2016 | FLEISCH, ROBERT | FRANKLIN GOLD & PRECIOUS METALS A | 0.00 | 3.74 | 0.00 | 3.74 | 90.0 | 0.06 |
| 12/16/2016 | FLEISCH, ROBERT | FRANKLIN GOLD & PRECIOUS METALS A | 0.00 | 3.32 | 0.00 | 3.32 | 90.0 | 0.06 |
| 02/16/2016 | HASTINGS TURST, OSCAR | FRANKLIN INCOME A | 0.00 | 0.99 | 0.00 | 0.99 | 90.0 | 0.02 |
| 02/16/2016 | FLEISCHMAN, RITA | FRANKLIN INCOME A | 0.00 | 4.62 | 0.00 | 4.62 | 90.0 | 0.08 |
| 02/16/2016 | COBB, DOROTHY | FRANKLIN INCOME A | 0.00 | 0.68 | 0.00 | 0.68 | 90.0 | 0.01 |
| 03/16/2016 | HASTINGS TURST, OSCAR | FRANKLIN INCOME A | 0.00 | 0.91 | 0.00 | 0.91 | 90.0 | 0.02 |
| 03/16/2016 | FLEISCHMAN, RITA | FRANKLIN INCOME A | 0.00 | 4.26 | 0.00 | 4.26 | 90.0 | 0.07 |
| 03/16/2016 | COBB, DOROTHY | FRANKLIN INCOME A | 0.00 | 0.63 | 0.00 | 0.63 | 90.0 | 0.01 |
| 04/15/2016 | HASTINGS TURST, OSCAR | FRANKLIN INCOME A | 0.00 | 1.03 | 0.00 | 1.03 | 90.0 | 0.02 |
| 04/15/2016 | FLEISCHMAN, RITA | FRANKLIN INCOME A | 0.00 | 4.82 | 0.00 | 4.82 | 90.0 | 0.08 |
| 04/15/2016 | COBB, DOROTHY | FRANKLIN INCOME A | 0.00 | 0.71 | 0.00 | 0.71 | 90.0 | 0.01 |
| 05/13/2016 | HASTINGS TURST, OSCAR | FRANKLIN INCOME A | 0.00 | 1.02 | 0.00 | 1.02 | 90.0 | 0.02 |
| 05/13/2016 | FLEISCHMAN, RITA | FRANKLIN INCOME A | 0.00 | 4.76 | 0.00 | 4.76 | 90.0 | 0.08 |
| 05/13/2016 | COBB, DOROTHY | FRANKLIN INCOME A | 0.00 | 0.70 | 0.00 | 0.70 | 90.0 | 0.01 |
| 06/14/2016 | HASTINGS TURST, OSCAR | FRANKLIN INCOME A | 0.00 | 1.06 | 0.00 | 1.06 | 90.0 | 0.02 |
| 06/14/2016 | FLEISCHMAN, RITA | FRANKLIN INCOME A | 0.00 | 4.93 | 0.00 | 4.93 | 90.0 | 0.08 |
| 06/14/2016 | COBB, DOROTHY | FRANKLIN INCOME A | 0.00 | 0.73 | 0.00 | 0.73 | 90.0 | 0.01 |
| 07/14/2016 | HASTINGS TURST, OSCAR | FRANKLIN INCOME A | 0.00 | 1.03 | 0.00 | 1.03 | 90.0 | 0.02 |
| 07/14/2016 | FLEISCHMAN, RITA | FRANKLIN INCOME A | 0.00 | 4.81 | 0.00 | 4.81 | 90.0 | 0.08 |
| 07/14/2016 | COBB, DOROTHY | FRANKLIN INCOME A | 0.00 | 0.71 | 0.00 | 0.71 | 90.0 | 0.01 |
| 08/15/2016 | HASTINGS TURST, OSCAR | FRANKLIN INCOME A | 0.00 | 1.09 | 0.00 | 1.09 | 90.0 | 0.02 |
| 08/15/2016 | FLEISCHMAN, RITA | FRANKLIN INCOME A | 0.00 | 5.11 | 0.00 | 5.11 | 90.0 | 0.09 |
| 08/15/2016 | COBB, DOROTHY | FRANKLIN INCOME A | 0.00 | 0.75 | 0.00 | 0.75 | 90.0 | 0.01 |
| 09/14/2016 | HASTINGS TURST, OSCAR | FRANKLIN INCOME A | 0.00 | 1.10 | 0.00 | 1.10 | 90.0 | 0.02 |

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| DATE | CLIENT | INVESTMENT | INVESTMENT AMOUNT | GROSS COMMISSION | CLEARING CHARGE | NET COMMISSION | RATE | BROKER COMMISSION |
|--|-----------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u>VERRIDE TRANSACTIONS</u> | | | | | | | | |
| <u>BROKER: MARC, L134 LINSKY #263</u> | | | | | | | | |
| 09/14/2016 | FLEISCHMAN, RITA | FRANKLIN INCOME A | 0.00 | 5.15 | 0.00 | 5.15 | 90.0 | 0.09 |
| 09/14/2016 | COBB, DOROTHY | FRANKLIN INCOME A | 0.00 | 0.76 | 0.00 | 0.76 | 90.0 | 0.01 |
| 10/18/2016 | HASTINGS TURST, OSCAR | FRANKLIN INCOME A | 0.00 | 1.06 | 0.00 | 1.06 | 90.0 | 0.02 |
| 10/18/2016 | FLEISCHMAN, RITA | FRANKLIN INCOME A | 0.00 | 4.97 | 0.00 | 4.97 | 90.0 | 0.08 |
| 10/18/2016 | COBB, DOROTHY | FRANKLIN INCOME A | 0.00 | 0.73 | 0.00 | 0.73 | 90.0 | 0.01 |
| 11/15/2016 | HASTINGS TURST, OSCAR | FRANKLIN INCOME A | 0.00 | 1.10 | 0.00 | 1.10 | 90.0 | 0.02 |
| 11/15/2016 | FLEISCHMAN, RITA | FRANKLIN INCOME A | 0.00 | 5.16 | 0.00 | 5.16 | 90.0 | 0.09 |
| 11/15/2016 | COBB, DOROTHY | FRANKLIN INCOME A | 0.00 | 0.76 | 0.00 | 0.76 | 90.0 | 0.01 |
| 12/16/2016 | HASTINGS TURST, OSCAR | FRANKLIN INCOME A | 0.00 | 1.06 | 0.00 | 1.06 | 90.0 | 0.02 |
| 12/16/2016 | FLEISCHMAN, RITA | FRANKLIN INCOME A | 0.00 | 4.95 | 0.00 | 4.95 | 90.0 | 0.08 |
| 12/16/2016 | COBB, DOROTHY | FRANKLIN INCOME A | 0.00 | 0.73 | 0.00 | 0.73 | 90.0 | 0.01 |
| 02/16/2016 | CENTANNI, RICHARD | FRANKLIN MUTUAL GLOBAL DISCOVERY A | 0.00 | 0.45 | 0.00 | 0.45 | 90.0 | 0.01 |
| 03/16/2016 | CENTANNI, RICHARD | FRANKLIN MUTUAL GLOBAL DISCOVERY A | 0.00 | 0.41 | 0.00 | 0.41 | 90.0 | 0.01 |
| 04/15/2016 | CENTANNI, RICHARD | FRANKLIN MUTUAL GLOBAL DISCOVERY A | 0.00 | 0.46 | 0.00 | 0.46 | 90.0 | 0.01 |
| 05/13/2016 | CENTANNI, RICHARD | FRANKLIN MUTUAL GLOBAL DISCOVERY A | 0.00 | 0.46 | 0.00 | 0.46 | 90.0 | 0.01 |
| 06/14/2016 | CENTANNI, RICHARD | FRANKLIN MUTUAL GLOBAL DISCOVERY A | 0.00 | 0.47 | 0.00 | 0.47 | 90.0 | 0.01 |
| 07/14/2016 | CENTANNI, RICHARD | FRANKLIN MUTUAL GLOBAL DISCOVERY A | 0.00 | 0.46 | 0.00 | 0.46 | 90.0 | 0.01 |
| 08/15/2016 | CENTANNI, RICHARD | FRANKLIN MUTUAL GLOBAL DISCOVERY A | 0.00 | 0.49 | 0.00 | 0.49 | 90.0 | 0.01 |
| 09/14/2016 | CENTANNI, RICHARD | FRANKLIN MUTUAL GLOBAL DISCOVERY A | 0.00 | 0.50 | 0.00 | 0.50 | 90.0 | 0.01 |
| 10/18/2016 | CENTANNI, RICHARD | FRANKLIN MUTUAL GLOBAL DISCOVERY A | 0.00 | 0.49 | 0.00 | 0.49 | 90.0 | 0.01 |
| 11/15/2016 | CENTANNI, RICHARD | FRANKLIN MUTUAL GLOBAL DISCOVERY A | 0.00 | 0.51 | 0.00 | 0.51 | 90.0 | 0.01 |
| 12/16/2016 | CENTANNI, RICHARD | FRANKLIN MUTUAL GLOBAL DISCOVERY A | 0.00 | 0.50 | 0.00 | 0.50 | 90.0 | 0.01 |
| 02/16/2016 | GREENWELL, MARION | FRNKLN FLOATING RATE DLY ACCESS FND | 0.00 | 2.50 | 0.00 | 2.50 | 90.0 | 0.04 |
| 03/16/2016 | GREENWELL, MARION | FRNKLN FLOATING RATE DLY ACCESS FND | 0.00 | 2.31 | 0.00 | 2.31 | 90.0 | 0.04 |
| 04/15/2016 | GREENWELL, MARION | FRNKLN FLOATING RATE DLY ACCESS FND | 0.00 | 2.51 | 0.00 | 2.51 | 90.0 | 0.04 |
| 05/13/2016 | GREENWELL, MARION | FRNKLN FLOATING RATE DLY ACCESS FND | 0.00 | 2.49 | 0.00 | 2.49 | 90.0 | 0.04 |
| 06/14/2016 | GREENWELL, MARION | FRNKLN FLOATING RATE DLY ACCESS FND | 0.00 | 2.61 | 0.00 | 2.61 | 90.0 | 0.04 |
| 07/14/2016 | GREENWELL, MARION | FRNKLN FLOATING RATE DLY ACCESS FND | 0.00 | 2.54 | 0.00 | 2.54 | 90.0 | 0.04 |
| 08/15/2016 | GREENWELL, MARION | FRNKLN FLOATING RATE DLY ACCESS FND | 0.00 | 2.65 | 0.00 | 2.65 | 90.0 | 0.05 |
| 09/14/2016 | GREENWELL, MARION | FRNKLN FLOATING RATE DLY ACCESS FND | 0.00 | 2.69 | 0.00 | 2.69 | 90.0 | 0.05 |
| 10/18/2016 | GREENWELL, MARION | FRNKLN FLOATING RATE DLY ACCESS FND | 0.00 | 2.63 | 0.00 | 2.63 | 90.0 | 0.04 |
| 11/15/2016 | GREENWELL, MARION | FRNKLN FLOATING RATE DLY ACCESS FND | 0.00 | 2.75 | 0.00 | 2.75 | 90.0 | 0.05 |
| 12/16/2016 | GREENWELL, MARION | FRNKLN FLOATING RATE DLY ACCESS FND | 0.00 | 2.67 | 0.00 | 2.67 | 90.0 | 0.05 |

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

| DATE | CLIENT | INVESTMENT | INVESTMENT AMOUNT | GROSS COMMISSION | CLEARING CHARGE | NET COMMISSION | RATE | BROKER COMMISSION |
|--|-------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u> OVERRIDE TRANSACTIONS </u> | | | | | | | | |
| <u> BROKER: MARC, L134 LINSKY #263 </u> | | | | | | | | |
| 02/16/2018 | MORETTI, MARGARET | GENERAL ELECTRIC CO COM | -2,482.46 | 30.00 | 22.50 | 7.50 | 90.0 | 0.13 |
| 02/16/2016 | BOWERS, STEVEN | GOLDMAN SACHS CAPITAL GROWTH FUND C | 0.00 | 18.93 | 0.00 | 18.93 | 90.0 | 0.32 |
| 03/16/2016 | BOWERS, STEVEN | GOLDMAN SACHS CAPITAL GROWTH FUND C | 0.00 | 17.05 | 0.00 | 17.05 | 90.0 | 0.29 |
| 04/18/2016 | BOWERS, STEVEN | GOLDMAN SACHS CAPITAL GROWTH FUND C | 0.00 | 12.18 | 0.00 | 12.18 | 90.0 | 0.21 |
| 05/12/2016 | BOWERS, STEVEN | GOLDMAN SACHS CAPITAL GROWTH FUND C | 0.00 | 12.15 | 0.00 | 12.15 | 90.0 | 0.21 |
| 06/20/2016 | BOWERS, STEVEN | GOLDMAN SACHS CAPITAL GROWTH FUND C | 0.00 | 12.41 | 0.00 | 12.41 | 90.0 | 0.21 |
| 07/15/2016 | BOWERS, STEVEN | GOLDMAN SACHS CAPITAL GROWTH FUND C | 0.00 | 12.08 | 0.00 | 12.08 | 90.0 | 0.21 |
| 08/17/2016 | BOWERS, STEVEN | GOLDMAN SACHS CAPITAL GROWTH FUND C | 0.00 | 12.83 | 0.00 | 12.83 | 90.0 | 0.22 |
| 09/21/2016 | BOWERS, STEVEN | GOLDMAN SACHS CAPITAL GROWTH FUND C | 0.00 | 13.08 | 0.00 | 13.08 | 90.0 | 0.22 |
| 10/17/2016 | BOWERS, STEVEN | GOLDMAN SACHS CAPITAL GROWTH FUND C | 0.00 | 12.52 | 0.00 | 12.52 | 90.0 | 0.21 |
| 11/21/2016 | BOWERS, STEVEN | GOLDMAN SACHS CAPITAL GROWTH FUND C | 0.00 | 12.88 | 0.00 | 12.88 | 90.0 | 0.22 |
| 12/15/2016 | BOWERS, STEVEN | GOLDMAN SACHS CAPITAL GROWTH FUND C | 0.00 | 12.33 | 0.00 | 12.33 | 90.0 | 0.21 |
| 02/16/2016 | CHERRY, ANDREW | GOLDMAN SACHS GROWTH OPPORT FD CLAS | 0.00 | 4.53 | 0.00 | 4.53 | 90.0 | 0.08 |
| 02/16/2016 | CHERRY, ANDREW | GOLDMAN SACHS GROWTH OPPORT FD CLAS | 0.00 | 2.32 | 0.00 | 2.32 | 90.0 | 0.04 |
| 03/16/2016 | CHERRY, ANDREW | GOLDMAN SACHS GROWTH OPPORT FD CLAS | 0.00 | 4.06 | 0.00 | 4.06 | 90.0 | 0.07 |
| 03/16/2016 | CHERRY, ANDREW | GOLDMAN SACHS GROWTH OPPORT FD CLAS | 0.00 | 2.08 | 0.00 | 2.08 | 90.0 | 0.04 |
| 04/18/2016 | CHERRY, ANDREW | GOLDMAN SACHS GROWTH OPPORT FD CLAS | 0.00 | 4.70 | 0.00 | 4.70 | 90.0 | 0.08 |
| 04/18/2016 | CHERRY, ANDREW | GOLDMAN SACHS GROWTH OPPORT FD CLAS | 0.00 | 2.41 | 0.00 | 2.41 | 90.0 | 0.04 |
| 05/12/2016 | CHERRY, ANDREW | GOLDMAN SACHS GROWTH OPPORT FD CLAS | 0.00 | 4.72 | 0.00 | 4.72 | 90.0 | 0.08 |
| 05/12/2016 | CHERRY, ANDREW | GOLDMAN SACHS GROWTH OPPORT FD CLAS | 0.00 | 2.42 | 0.00 | 2.42 | 90.0 | 0.04 |
| 06/20/2016 | CHERRY, ANDREW | GOLDMAN SACHS GROWTH OPPORT FD CLAS | 0.00 | 4.90 | 0.00 | 4.90 | 90.0 | 0.08 |
| 06/20/2016 | CHERRY, ANDREW | GOLDMAN SACHS GROWTH OPPORT FD CLAS | 0.00 | 2.51 | 0.00 | 2.51 | 90.0 | 0.04 |
| 07/15/2016 | CHERRY, ANDREW | GOLDMAN SACHS GROWTH OPPORT FD CLAS | 0.00 | 4.79 | 0.00 | 4.79 | 90.0 | 0.08 |
| 07/15/2016 | CHERRY, ANDREW | GOLDMAN SACHS GROWTH OPPORT FD CLAS | 0.00 | 2.46 | 0.00 | 2.46 | 90.0 | 0.04 |
| 08/17/2016 | CHERRY, ANDREW | GOLDMAN SACHS GROWTH OPPORT FD CLAS | 0.00 | 5.11 | 0.00 | 5.11 | 90.0 | 0.09 |
| 08/17/2016 | CHERRY, ANDREW | GOLDMAN SACHS GROWTH OPPORT FD CLAS | 0.00 | 2.62 | 0.00 | 2.62 | 90.0 | 0.04 |
| 09/21/2016 | CHERRY, ANDREW | GOLDMAN SACHS GROWTH OPPORT FD CLAS | 0.00 | 5.17 | 0.00 | 5.17 | 90.0 | 0.09 |
| 09/21/2016 | CHERRY, ANDREW | GOLDMAN SACHS GROWTH OPPORT FD CLAS | 0.00 | 2.65 | 0.00 | 2.65 | 90.0 | 0.05 |
| 10/17/2016 | CHERRY, ANDREW | GOLDMAN SACHS GROWTH OPPORT FD CLAS | 0.00 | 4.92 | 0.00 | 4.92 | 90.0 | 0.08 |
| 10/17/2016 | CHERRY, ANDREW | GOLDMAN SACHS GROWTH OPPORT FD CLAS | 0.00 | 2.52 | 0.00 | 2.52 | 90.0 | 0.04 |
| 11/21/2016 | CHERRY, ANDREW | GOLDMAN SACHS GROWTH OPPORT FD CLAS | 0.00 | 4.99 | 0.00 | 4.99 | 90.0 | 0.08 |
| 11/21/2016 | CHERRY, ANDREW | GOLDMAN SACHS GROWTH OPPORT FD CLAS | 0.00 | 2.56 | 0.00 | 2.56 | 90.0 | 0.04 |
| 12/15/2016 | CHERRY, ANDREW | GOLDMAN SACHS GROWTH OPPORT FD CLAS | 0.00 | 4.77 | 0.00 | 4.77 | 90.0 | 0.08 |

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| DATE | CLIENT | INVESTMENT | INVESTMENT AMOUNT | GROSS COMMISSION | CLEARING CHARGE | NET COMMISSION | RATE | BROKER COMMISSION |
|--|--------------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u>VERRIDE TRANSACTIONS</u> | | | | | | | | |
| <u>BROKER: MARC, L134 LINSKY #263</u> | | | | | | | | |
| 12/15/2016 | CHERRY, ANDREW | GOLDMAN SACHS GROWTH OPPORT FD CLAS | 0.00 | 2.44 | 0.00 | 2.44 | 90.0 | 0.04 |
| 02/16/2016 | PARSONS, MICHELLE | GOLDMAN SACHS U.S. EQUITY INSIGHTS | 0.00 | 0.46 | 0.00 | 0.46 | 90.0 | 0.01 |
| 03/16/2016 | PARSONS, MICHELLE | GOLDMAN SACHS U.S. EQUITY INSIGHTS | 0.00 | 0.42 | 0.00 | 0.42 | 90.0 | 0.01 |
| 04/18/2016 | PARSONS, MICHELLE | GOLDMAN SACHS U.S. EQUITY INSIGHTS | 0.00 | 0.48 | 0.00 | 0.48 | 90.0 | 0.01 |
| 05/12/2016 | PARSONS, MICHELLE | GOLDMAN SACHS U.S. EQUITY INSIGHTS | 0.00 | 0.48 | 0.00 | 0.48 | 90.0 | 0.01 |
| 06/20/2016 | PARSONS, MICHELLE | GOLDMAN SACHS U.S. EQUITY INSIGHTS | 0.00 | 0.49 | 0.00 | 0.49 | 90.0 | 0.01 |
| 07/15/2016 | PARSONS, MICHELLE | GOLDMAN SACHS U.S. EQUITY INSIGHTS | 0.00 | 0.48 | 0.00 | 0.48 | 90.0 | 0.01 |
| 08/17/2016 | PARSONS, MICHELLE | GOLDMAN SACHS U.S. EQUITY INSIGHTS | 0.00 | 0.51 | 0.00 | 0.51 | 90.0 | 0.01 |
| 09/21/2016 | PARSONS, MICHELLE | GOLDMAN SACHS U.S. EQUITY INSIGHTS | 0.00 | 0.52 | 0.00 | 0.52 | 90.0 | 0.01 |
| 10/17/2016 | PARSONS, MICHELLE | GOLDMAN SACHS U.S. EQUITY INSIGHTS | 0.00 | 0.50 | 0.00 | 0.50 | 90.0 | 0.01 |
| 11/21/2016 | PARSONS, MICHELLE | GOLDMAN SACHS U.S. EQUITY INSIGHTS | 0.00 | 0.52 | 0.00 | 0.52 | 90.0 | 0.01 |
| 12/15/2016 | PARSONS, MICHELLE | GOLDMAN SACHS U.S. EQUITY INSIGHTS | 0.00 | 0.51 | 0.00 | 0.51 | 90.0 | 0.01 |
| 02/11/2016 | SPECTER TRUST, STEPHANIE | GUGGENHEIM INVERSE GOVT LONG BOND C | 0.00 | 13.62 | 0.00 | 13.62 | 90.0 | 0.23 |
| 02/11/2016 | HALL, GLORIA | GUGGENHEIM INVERSE GOVT LONG BOND C | 0.00 | 6.92 | 0.00 | 6.92 | 90.0 | 0.12 |
| 02/11/2016 | LINSKY, MARC | GUGGENHEIM INVERSE GOVT LONG BOND C | 0.00 | 4.63 | 0.00 | 4.63 | 90.0 | 0.08 |
| 03/11/2016 | SPECTER TRUST, STEPHANIE | GUGGENHEIM INVERSE GOVT LONG BOND C | 0.00 | 12.04 | 0.00 | 12.04 | 90.0 | 0.20 |
| 03/11/2016 | HALL, GLORIA | GUGGENHEIM INVERSE GOVT LONG BOND C | 0.00 | 6.12 | 0.00 | 6.12 | 90.0 | 0.10 |
| 03/11/2016 | LINSKY, MARC | GUGGENHEIM INVERSE GOVT LONG BOND C | 0.00 | 4.09 | 0.00 | 4.09 | 90.0 | 0.07 |
| 04/29/2016 | SPECTER TRUST, STEPHANIE | GUGGENHEIM INVERSE GOVT LONG BOND C | 0.00 | 12.99 | 0.00 | 12.99 | 90.0 | 0.22 |
| 04/29/2016 | HALL, GLORIA | GUGGENHEIM INVERSE GOVT LONG BOND C | 0.00 | 6.60 | 0.00 | 6.60 | 90.0 | 0.11 |
| 04/29/2016 | LINSKY, MARC | GUGGENHEIM INVERSE GOVT LONG BOND C | 0.00 | 4.41 | 0.00 | 4.41 | 90.0 | 0.07 |
| 05/10/2016 | SPECTER TRUST, STEPHANIE | GUGGENHEIM INVERSE GOVT LONG BOND C | 0.00 | 12.35 | 0.00 | 12.35 | 90.0 | 0.21 |
| 05/10/2016 | HALL, GLORIA | GUGGENHEIM INVERSE GOVT LONG BOND C | 0.00 | 6.28 | 0.00 | 6.28 | 90.0 | 0.11 |
| 05/10/2016 | LINSKY, MARC | GUGGENHEIM INVERSE GOVT LONG BOND C | 0.00 | 4.20 | 0.00 | 4.20 | 90.0 | 0.07 |
| 06/15/2016 | SPECTER TRUST, STEPHANIE | GUGGENHEIM INVERSE GOVT LONG BOND C | 0.00 | 12.73 | 0.00 | 12.73 | 90.0 | 0.22 |
| 06/15/2016 | HALL, GLORIA | GUGGENHEIM INVERSE GOVT LONG BOND C | 0.00 | 6.47 | 0.00 | 6.47 | 90.0 | 0.11 |
| 06/15/2016 | LINSKY, MARC | GUGGENHEIM INVERSE GOVT LONG BOND C | 0.00 | 4.32 | 0.00 | 4.32 | 90.0 | 0.07 |
| 07/15/2016 | SPECTER TRUST, STEPHANIE | GUGGENHEIM INVERSE GOVT LONG BOND C | 0.00 | 11.83 | 0.00 | 11.83 | 90.0 | 0.20 |
| 07/15/2016 | HALL, GLORIA | GUGGENHEIM INVERSE GOVT LONG BOND C | 0.00 | 6.01 | 0.00 | 6.01 | 90.0 | 0.10 |
| 07/15/2016 | LINSKY, MARC | GUGGENHEIM INVERSE GOVT LONG BOND C | 0.00 | 4.02 | 0.00 | 4.02 | 90.0 | 0.07 |
| 08/10/2016 | SPECTER TRUST, STEPHANIE | GUGGENHEIM INVERSE GOVT LONG BOND C | 0.00 | 11.59 | 0.00 | 11.59 | 90.0 | 0.20 |
| 08/10/2016 | HALL, GLORIA | GUGGENHEIM INVERSE GOVT LONG BOND C | 0.00 | 5.89 | 0.00 | 5.89 | 90.0 | 0.10 |
| 08/10/2016 | LINSKY, MARC | GUGGENHEIM INVERSE GOVT LONG BOND C | 0.00 | 3.94 | 0.00 | 3.94 | 90.0 | 0.07 |

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|--|--------------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u> OVERRIDE TRANSACTIONS </u> | | | | | | | | |
| <u> BROKER: MARC, L134 LINSKY #263 </u> | | | | | | | | |
| 09/19/2016 | SPECTER TRUST, STEPHANIE | GUGGENHEIM INVERSE GOVT LONG BOND C | 0.00 | 11.65 | 0.00 | 11.65 | 90.0 | 0.20 |
| 09/19/2016 | HALL, GLORIA | GUGGENHEIM INVERSE GOVT LONG BOND C | 0.00 | 5.92 | 0.00 | 5.92 | 90.0 | 0.10 |
| 09/19/2016 | LINSKY, MARC | GUGGENHEIM INVERSE GOVT LONG BOND C | 0.00 | 3.96 | 0.00 | 3.96 | 90.0 | 0.07 |
| 10/18/2016 | SPECTER TRUST, STEPHANIE | GUGGENHEIM INVERSE GOVT LONG BOND C | 0.00 | 11.45 | 0.00 | 11.45 | 90.0 | 0.19 |
| 10/18/2016 | HALL, GLORIA | GUGGENHEIM INVERSE GOVT LONG BOND C | 0.00 | 5.82 | 0.00 | 5.82 | 90.0 | 0.10 |
| 10/18/2016 | LINSKY, MARC | GUGGENHEIM INVERSE GOVT LONG BOND C | 0.00 | 3.89 | 0.00 | 3.89 | 90.0 | 0.07 |
| 11/15/2016 | SPECTER TRUST, STEPHANIE | GUGGENHEIM INVERSE GOVT LONG BOND C | 0.00 | 12.17 | 0.00 | 12.17 | 90.0 | 0.21 |
| 11/15/2016 | HALL, GLORIA | GUGGENHEIM INVERSE GOVT LONG BOND C | 0.00 | 6.18 | 0.00 | 6.18 | 90.0 | 0.11 |
| 11/15/2016 | LINSKY, MARC | GUGGENHEIM INVERSE GOVT LONG BOND C | 0.00 | 4.14 | 0.00 | 4.14 | 90.0 | 0.07 |
| 12/14/2016 | SPECTER TRUST, STEPHANIE | GUGGENHEIM INVERSE GOVT LONG BOND C | 0.00 | 12.72 | 0.00 | 12.72 | 90.0 | 0.22 |
| 12/14/2016 | HALL, GLORIA | GUGGENHEIM INVERSE GOVT LONG BOND C | 0.00 | 6.47 | 0.00 | 6.47 | 90.0 | 0.11 |
| 12/14/2016 | LINSKY, MARC | GUGGENHEIM INVERSE GOVT LONG BOND C | 0.00 | 4.32 | 0.00 | 4.32 | 90.0 | 0.07 |
| 02/19/2016 | HASTINGS TURST, OSCAR | HARTFORD BALANCED INCOME A | 0.00 | 1.96 | 0.00 | 1.96 | 90.0 | 0.03 |
| 02/19/2016 | FLEISCHMAN, RITA | HARTFORD BALANCED INCOME A | 0.00 | 2.94 | 0.00 | 2.94 | 90.0 | 0.05 |
| 03/22/2016 | HASTINGS TURST, OSCAR | HARTFORD BALANCED INCOME A | 0.00 | 1.84 | 0.00 | 1.84 | 90.0 | 0.03 |
| 03/22/2016 | FLEISCHMAN, RITA | HARTFORD BALANCED INCOME A | 0.00 | 2.75 | 0.00 | 2.75 | 90.0 | 0.05 |
| 04/18/2016 | HASTINGS TURST, OSCAR | HARTFORD BALANCED INCOME A | 0.00 | 2.04 | 0.00 | 2.04 | 90.0 | 0.03 |
| 04/18/2016 | FLEISCHMAN, RITA | HARTFORD BALANCED INCOME A | 0.00 | 3.06 | 0.00 | 3.06 | 90.0 | 0.05 |
| 05/24/2016 | HASTINGS TURST, OSCAR | HARTFORD BALANCED INCOME A | 0.00 | 2.01 | 0.00 | 2.01 | 90.0 | 0.03 |
| 05/24/2016 | FLEISCHMAN, RITA | HARTFORD BALANCED INCOME A | 0.00 | 3.02 | 0.00 | 3.02 | 90.0 | 0.05 |
| 06/21/2016 | HASTINGS TURST, OSCAR | HARTFORD BALANCED INCOME A | 0.00 | 2.09 | 0.00 | 2.09 | 90.0 | 0.04 |
| 06/21/2016 | FLEISCHMAN, RITA | HARTFORD BALANCED INCOME A | 0.00 | 3.13 | 0.00 | 3.13 | 90.0 | 0.05 |
| 07/18/2016 | HASTINGS TURST, OSCAR | HARTFORD BALANCED INCOME A | 0.00 | 2.05 | 0.00 | 2.05 | 90.0 | 0.03 |
| 07/18/2016 | FLEISCHMAN, RITA | HARTFORD BALANCED INCOME A | 0.00 | 3.07 | 0.00 | 3.07 | 90.0 | 0.05 |
| 08/16/2016 | HASTINGS TURST, OSCAR | HARTFORD BALANCED INCOME A | 0.00 | 2.16 | 0.00 | 2.16 | 90.0 | 0.04 |
| 08/16/2016 | FLEISCHMAN, RITA | HARTFORD BALANCED INCOME A | 0.00 | 3.24 | 0.00 | 3.24 | 90.0 | 0.06 |
| 09/19/2016 | HASTINGS TURST, OSCAR | HARTFORD BALANCED INCOME A | 0.00 | 2.18 | 0.00 | 2.18 | 90.0 | 0.04 |
| 09/19/2016 | FLEISCHMAN, RITA | HARTFORD BALANCED INCOME A | 0.00 | 3.27 | 0.00 | 3.27 | 90.0 | 0.06 |
| 10/17/2016 | HASTINGS TURST, OSCAR | HARTFORD BALANCED INCOME A | 0.00 | 2.10 | 0.00 | 2.10 | 90.0 | 0.04 |
| 10/17/2016 | FLEISCHMAN, RITA | HARTFORD BALANCED INCOME A | 0.00 | 3.15 | 0.00 | 3.15 | 90.0 | 0.05 |
| 11/16/2016 | HASTINGS TURST, OSCAR | HARTFORD BALANCED INCOME A | 0.00 | 2.15 | 0.00 | 2.15 | 90.0 | 0.04 |
| 11/16/2016 | FLEISCHMAN, RITA | HARTFORD BALANCED INCOME A | 0.00 | 3.23 | 0.00 | 3.23 | 90.0 | 0.05 |
| 12/19/2016 | HASTINGS TURST, OSCAR | HARTFORD BALANCED INCOME A | 0.00 | 2.07 | 0.00 | 2.07 | 90.0 | 0.04 |

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|--|--------------------------|---------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u> OVERRIDE TRANSACTIONS </u> | | | | | | | | |
| <u> BROKER: MARC, L134 LINSKY #263 </u> | | | | | | | | |
| 12/19/2016 | FLEISCHMAN, RITA | HARTFORD BALANCED INCOME A | 0.00 | 3.11 | 0.00 | 3.11 | 90.0 | 0.05 |
| 02/19/2016 | LINSKY, LISA | HARTFORD CAPITAL APPRECIATION A | 0.00 | 2.88 | 0.00 | 2.88 | 90.0 | 0.05 |
| 02/19/2016 | NIEMINEN, EUGENE | HARTFORD CAPITAL APPRECIATION A | 0.00 | 0.94 | 0.00 | 0.94 | 90.0 | 0.02 |
| 03/22/2016 | LINSKY, LISA | HARTFORD CAPITAL APPRECIATION A | 0.00 | 2.60 | 0.00 | 2.60 | 90.0 | 0.04 |
| 03/22/2016 | NIEMINEN, EUGENE | HARTFORD CAPITAL APPRECIATION A | 0.00 | 0.56 | 0.00 | 0.56 | 90.0 | 0.01 |
| 04/18/2016 | LINSKY, LISA | HARTFORD CAPITAL APPRECIATION A | 0.00 | 2.98 | 0.00 | 2.98 | 90.0 | 0.05 |
| 05/24/2016 | LINSKY, LISA | HARTFORD CAPITAL APPRECIATION A | 0.00 | 2.97 | 0.00 | 2.97 | 90.0 | 0.05 |
| 06/21/2016 | LINSKY, LISA | HARTFORD CAPITAL APPRECIATION A | 0.00 | 3.05 | 0.00 | 3.05 | 90.0 | 0.05 |
| 07/18/2016 | LINSKY, LISA | HARTFORD CAPITAL APPRECIATION A | 0.00 | 2.96 | 0.00 | 2.96 | 90.0 | 0.05 |
| 08/16/2016 | LINSKY, LISA | HARTFORD CAPITAL APPRECIATION A | 0.00 | 3.14 | 0.00 | 3.14 | 90.0 | 0.05 |
| 09/19/2016 | LINSKY, LISA | HARTFORD CAPITAL APPRECIATION A | 0.00 | 3.19 | 0.00 | 3.19 | 90.0 | 0.05 |
| 10/17/2016 | LINSKY, LISA | HARTFORD CAPITAL APPRECIATION A | 0.00 | 3.07 | 0.00 | 3.07 | 90.0 | 0.05 |
| 11/16/2016 | LINSKY, LISA | HARTFORD CAPITAL APPRECIATION A | 0.00 | 3.18 | 0.00 | 3.18 | 90.0 | 0.05 |
| 12/19/2016 | LINSKY, LISA | HARTFORD CAPITAL APPRECIATION A | 0.00 | 3.08 | 0.00 | 3.08 | 90.0 | 0.05 |
| 02/19/2016 | SPECTER TRUST, STEPHANIE | HARTFORD CAPITAL APPRECIATION C | 0.00 | 66.62 | 0.00 | 66.62 | 90.0 | 1.13 |
| 02/19/2016 | MEDIA ENTERPRISES | HARTFORD CAPITAL APPRECIATION C | 0.00 | 32.05 | 0.00 | 32.05 | 90.0 | 0.54 |
| 02/19/2016 | PERETTI JR, ANTHONY | HARTFORD CAPITAL APPRECIATION C | 0.00 | 24.76 | 0.00 | 24.76 | 90.0 | 0.42 |
| 02/19/2016 | KLEIN, HOWARD | HARTFORD CAPITAL APPRECIATION C | 0.00 | 350.16 | 0.00 | 350.16 | 90.0 | 5.95 |
| 02/19/2016 | CAMARDO, DONNA | HARTFORD CAPITAL APPRECIATION C | 0.00 | 8.81 | 0.00 | 8.81 | 90.0 | 0.15 |
| 02/19/2016 | GODLBERG, SHARON | HARTFORD CAPITAL APPRECIATION C | 0.00 | 5.74 | 0.00 | 5.74 | 90.0 | 0.10 |
| 02/19/2016 | BALZANO, AUGUSTUS | HARTFORD CAPITAL APPRECIATION C | 0.00 | 6.12 | 0.00 | 6.12 | 90.0 | 0.10 |
| 02/19/2016 | HARRIS, MORGAN | HARTFORD CAPITAL APPRECIATION C | 0.00 | 8.81 | 0.00 | 8.81 | 90.0 | 0.15 |
| 02/19/2016 | SPECTER, LINDSAY | HARTFORD CAPITAL APPRECIATION C | 0.00 | 25.91 | 0.00 | 25.91 | 90.0 | 0.44 |
| 02/19/2016 | SPECTER, SHELBY | HARTFORD CAPITAL APPRECIATION C | 0.00 | 24.18 | 0.00 | 24.18 | 90.0 | 0.41 |
| 03/22/2016 | SPECTER TRUST, STEPHANIE | HARTFORD CAPITAL APPRECIATION C | 0.00 | 60.04 | 0.00 | 60.04 | 90.0 | 1.02 |
| 03/22/2016 | MEDIA ENTERPRISES | HARTFORD CAPITAL APPRECIATION C | 0.00 | 28.88 | 0.00 | 28.88 | 90.0 | 0.49 |
| 03/22/2016 | PERETTI JR, ANTHONY | HARTFORD CAPITAL APPRECIATION C | 0.00 | 22.39 | 0.00 | 22.39 | 90.0 | 0.38 |
| 03/22/2016 | KLEIN, HOWARD | HARTFORD CAPITAL APPRECIATION C | 0.00 | 315.57 | 0.00 | 315.57 | 90.0 | 5.36 |
| 03/22/2016 | CAMARDO, DONNA | HARTFORD CAPITAL APPRECIATION C | 0.00 | 7.94 | 0.00 | 7.94 | 90.0 | 0.13 |
| 03/22/2016 | GODLBERG, SHARON | HARTFORD CAPITAL APPRECIATION C | 0.00 | 5.17 | 0.00 | 5.17 | 90.0 | 0.09 |
| 03/22/2016 | BALZANO, AUGUSTUS | HARTFORD CAPITAL APPRECIATION C | 0.00 | 5.52 | 0.00 | 5.52 | 90.0 | 0.09 |
| 03/22/2016 | HARRIS, MORGAN | HARTFORD CAPITAL APPRECIATION C | 0.00 | 7.94 | 0.00 | 7.94 | 90.0 | 0.13 |
| 03/22/2016 | SPECTER, LINDSAY | HARTFORD CAPITAL APPRECIATION C | 0.00 | 23.35 | 0.00 | 23.35 | 90.0 | 0.40 |

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

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

| DATE | CLIENT | INVESTMENT | INVESTMENT AMOUNT | GROSS COMMISSION | CLEARING CHARGE | NET COMMISSION | RATE | BROKER COMMISSION |
|--|--------------------------|---------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u> OVERRIDE TRANSACTIONS </u> | | | | | | | | |
| <u> BROKER: MARC, L134 LINSKY #263 </u> | | | | | | | | |
| 03/22/2016 | SPECTER, SHELBY | HARTFORD CAPITAL APPRECIATION C | 0.00 | 21.80 | 0.00 | 21.80 | 90.0 | 0.37 |
| 04/18/2016 | SPECTER TRUST, STEPHANIE | HARTFORD CAPITAL APPRECIATION C | 0.00 | 68.77 | 0.00 | 68.77 | 90.0 | 1.17 |
| 04/18/2016 | MEDIA ENTERPRISES | HARTFORD CAPITAL APPRECIATION C | 0.00 | 33.08 | 0.00 | 33.08 | 90.0 | 0.56 |
| 04/18/2016 | PERETTI JR, ANTHONY | HARTFORD CAPITAL APPRECIATION C | 0.00 | 25.80 | 0.00 | 25.80 | 90.0 | 0.44 |
| 04/18/2016 | KLEIN, HOWARD | HARTFORD CAPITAL APPRECIATION C | 0.00 | 361.43 | 0.00 | 361.43 | 90.0 | 6.14 |
| 04/18/2016 | CAMARDO, DONNA | HARTFORD CAPITAL APPRECIATION C | 0.00 | 9.09 | 0.00 | 9.09 | 90.0 | 0.15 |
| 04/18/2016 | GODLBERG, SHARON | HARTFORD CAPITAL APPRECIATION C | 0.00 | 5.92 | 0.00 | 5.92 | 90.0 | 0.10 |
| 04/18/2016 | BALZANO, AUGUSTUS | HARTFORD CAPITAL APPRECIATION C | 0.00 | 6.32 | 0.00 | 6.32 | 90.0 | 0.11 |
| 04/18/2016 | HARRIS, MORGAN | HARTFORD CAPITAL APPRECIATION C | 0.00 | 9.10 | 0.00 | 9.10 | 90.0 | 0.15 |
| 04/18/2016 | SPECTER, LINDSAY | HARTFORD CAPITAL APPRECIATION C | 0.00 | 26.75 | 0.00 | 26.75 | 90.0 | 0.45 |
| 04/18/2016 | SPECTER, SHELBY | HARTFORD CAPITAL APPRECIATION C | 0.00 | 24.96 | 0.00 | 24.96 | 90.0 | 0.42 |
| 05/24/2016 | SPECTER TRUST, STEPHANIE | HARTFORD CAPITAL APPRECIATION C | 0.00 | 68.53 | 0.00 | 68.53 | 90.0 | 1.17 |
| 05/24/2016 | MEDIA ENTERPRISES | HARTFORD CAPITAL APPRECIATION C | 0.00 | 32.96 | 0.00 | 32.96 | 90.0 | 0.56 |
| 05/24/2016 | PERETTI JR, ANTHONY | HARTFORD CAPITAL APPRECIATION C | 0.00 | 25.84 | 0.00 | 25.84 | 90.0 | 0.44 |
| 05/24/2016 | KLEIN, HOWARD | HARTFORD CAPITAL APPRECIATION C | 0.00 | 360.20 | 0.00 | 360.20 | 90.0 | 6.12 |
| 05/24/2016 | CAMARDO, DONNA | HARTFORD CAPITAL APPRECIATION C | 0.00 | 9.06 | 0.00 | 9.06 | 90.0 | 0.15 |
| 05/24/2016 | GODLBERG, SHARON | HARTFORD CAPITAL APPRECIATION C | 0.00 | 5.90 | 0.00 | 5.90 | 90.0 | 0.10 |
| 05/24/2016 | BALZANO, AUGUSTUS | HARTFORD CAPITAL APPRECIATION C | 0.00 | 6.30 | 0.00 | 6.30 | 90.0 | 0.11 |
| 05/24/2016 | HARRIS, MORGAN | HARTFORD CAPITAL APPRECIATION C | 0.00 | 9.06 | 0.00 | 9.06 | 90.0 | 0.15 |
| 05/24/2016 | SPECTER, LINDSAY | HARTFORD CAPITAL APPRECIATION C | 0.00 | 26.65 | 0.00 | 26.65 | 90.0 | 0.45 |
| 05/24/2016 | SPECTER, SHELBY | HARTFORD CAPITAL APPRECIATION C | 0.00 | 24.88 | 0.00 | 24.88 | 90.0 | 0.42 |
| 06/21/2016 | SPECTER TRUST, STEPHANIE | HARTFORD CAPITAL APPRECIATION C | 0.00 | 70.25 | 0.00 | 70.25 | 90.0 | 1.19 |
| 06/21/2016 | MEDIA ENTERPRISES | HARTFORD CAPITAL APPRECIATION C | 0.00 | 33.79 | 0.00 | 33.79 | 90.0 | 0.57 |
| 06/21/2016 | PERETTI JR, ANTHONY | HARTFORD CAPITAL APPRECIATION C | 0.00 | 26.63 | 0.00 | 26.63 | 90.0 | 0.45 |
| 06/21/2016 | KLEIN, HOWARD | HARTFORD CAPITAL APPRECIATION C | 0.00 | 369.24 | 0.00 | 369.24 | 90.0 | 6.28 |
| 06/21/2016 | CAMARDO, DONNA | HARTFORD CAPITAL APPRECIATION C | 0.00 | 9.29 | 0.00 | 9.29 | 90.0 | 0.16 |
| 06/21/2016 | GODLBERG, SHARON | HARTFORD CAPITAL APPRECIATION C | 0.00 | 6.05 | 0.00 | 6.05 | 90.0 | 0.10 |
| 06/21/2016 | BALZANO, AUGUSTUS | HARTFORD CAPITAL APPRECIATION C | 0.00 | 6.45 | 0.00 | 6.45 | 90.0 | 0.11 |
| 06/21/2016 | HARRIS, MORGAN | HARTFORD CAPITAL APPRECIATION C | 0.00 | 9.29 | 0.00 | 9.29 | 90.0 | 0.16 |
| 06/21/2016 | SPECTER, LINDSAY | HARTFORD CAPITAL APPRECIATION C | 0.00 | 27.32 | 0.00 | 27.32 | 90.0 | 0.46 |
| 06/21/2016 | SPECTER, SHELBY | HARTFORD CAPITAL APPRECIATION C | 0.00 | 25.50 | 0.00 | 25.50 | 90.0 | 0.43 |
| 07/18/2016 | SPECTER TRUST, STEPHANIE | HARTFORD CAPITAL APPRECIATION C | 0.00 | 68.27 | 0.00 | 68.27 | 90.0 | 1.16 |
| 07/18/2016 | MEDIA ENTERPRISES | HARTFORD CAPITAL APPRECIATION C | 0.00 | 32.84 | 0.00 | 32.84 | 90.0 | 0.56 |

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| DATE | CLIENT | INVESTMENT | INVESTMENT AMOUNT | GROSS COMMISSION | CLEARING CHARGE | NET COMMISSION | RATE | BROKER COMMISSION |
|--|--------------------------|---------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u> OVERRIDE TRANSACTIONS </u> | | | | | | | | |
| <u> BROKER: MARC, L134 LINSKY #263 </u> | | | | | | | | |
| 07/18/2016 | PERETTI JR, ANTHONY | HARTFORD CAPITAL APPRECIATION C | 0.00 | 26.00 | 0.00 | 26.00 | 90.0 | 0.44 |
| 07/18/2016 | KLEIN, HOWARD | HARTFORD CAPITAL APPRECIATION C | 0.00 | 358.82 | 0.00 | 358.82 | 90.0 | 6.10 |
| 07/18/2016 | CAMARDO, DONNA | HARTFORD CAPITAL APPRECIATION C | 0.00 | 9.03 | 0.00 | 9.03 | 90.0 | 0.15 |
| 07/18/2016 | GODLBERG, SHARON | HARTFORD CAPITAL APPRECIATION C | 0.00 | 5.88 | 0.00 | 5.88 | 90.0 | 0.10 |
| 07/18/2016 | BALZANO, AUGUSTUS | HARTFORD CAPITAL APPRECIATION C | 0.00 | 6.27 | 0.00 | 6.27 | 90.0 | 0.11 |
| 07/18/2016 | HARRIS, MORGAN | HARTFORD CAPITAL APPRECIATION C | 0.00 | 9.03 | 0.00 | 9.03 | 90.0 | 0.15 |
| 07/18/2016 | SPECTER, LINDSAY | HARTFORD CAPITAL APPRECIATION C | 0.00 | 26.55 | 0.00 | 26.55 | 90.0 | 0.45 |
| 07/18/2016 | SPECTER, SHELBY | HARTFORD CAPITAL APPRECIATION C | 0.00 | 24.78 | 0.00 | 24.78 | 90.0 | 0.42 |
| 08/16/2016 | SPECTER TRUST, STEPHANIE | HARTFORD CAPITAL APPRECIATION C | 0.00 | 72.37 | 0.00 | 72.37 | 90.0 | 1.23 |
| 08/16/2016 | MEDIA ENTERPRISES | HARTFORD CAPITAL APPRECIATION C | 0.00 | 34.81 | 0.00 | 34.81 | 90.0 | 0.59 |
| 08/16/2016 | PERETTI JR, ANTHONY | HARTFORD CAPITAL APPRECIATION C | 0.00 | 27.72 | 0.00 | 27.72 | 90.0 | 0.47 |
| 08/16/2016 | KLEIN, HOWARD | HARTFORD CAPITAL APPRECIATION C | 0.00 | 380.33 | 0.00 | 380.33 | 90.0 | 6.47 |
| 08/16/2016 | CAMARDO, DONNA | HARTFORD CAPITAL APPRECIATION C | 0.00 | 9.57 | 0.00 | 9.57 | 90.0 | 0.16 |
| 08/16/2016 | GODLBERG, SHARON | HARTFORD CAPITAL APPRECIATION C | 0.00 | 6.23 | 0.00 | 6.23 | 90.0 | 0.11 |
| 08/16/2016 | BALZANO, AUGUSTUS | HARTFORD CAPITAL APPRECIATION C | 0.00 | 6.65 | 0.00 | 6.65 | 90.0 | 0.11 |
| 08/16/2016 | HARRIS, MORGAN | HARTFORD CAPITAL APPRECIATION C | 0.00 | 9.57 | 0.00 | 9.57 | 90.0 | 0.16 |
| 08/16/2016 | SPECTER, LINDSAY | HARTFORD CAPITAL APPRECIATION C | 0.00 | 28.14 | 0.00 | 28.14 | 90.0 | 0.48 |
| 08/16/2016 | SPECTER, SHELBY | HARTFORD CAPITAL APPRECIATION C | 0.00 | 26.27 | 0.00 | 26.27 | 90.0 | 0.45 |
| 09/19/2016 | SPECTER TRUST, STEPHANIE | HARTFORD CAPITAL APPRECIATION C | 0.00 | 73.34 | 0.00 | 73.34 | 90.0 | 1.25 |
| 09/19/2016 | MEDIA ENTERPRISES | HARTFORD CAPITAL APPRECIATION C | 0.00 | 35.28 | 0.00 | 35.28 | 90.0 | 0.60 |
| 09/19/2016 | PERETTI JR, ANTHONY | HARTFORD CAPITAL APPRECIATION C | 0.00 | 28.25 | 0.00 | 28.25 | 90.0 | 0.48 |
| 09/19/2016 | KLEIN, HOWARD | HARTFORD CAPITAL APPRECIATION C | 0.00 | 385.47 | 0.00 | 385.47 | 90.0 | 6.55 |
| 09/19/2016 | CAMARDO, DONNA | HARTFORD CAPITAL APPRECIATION C | 0.00 | 9.70 | 0.00 | 9.70 | 90.0 | 0.16 |
| 09/19/2016 | GODLBERG, SHARON | HARTFORD CAPITAL APPRECIATION C | 0.00 | 6.32 | 0.00 | 6.32 | 90.0 | 0.11 |
| 09/19/2016 | BALZANO, AUGUSTUS | HARTFORD CAPITAL APPRECIATION C | 0.00 | 6.74 | 0.00 | 6.74 | 90.0 | 0.11 |
| 09/19/2016 | HARRIS, MORGAN | HARTFORD CAPITAL APPRECIATION C | 0.00 | 0.93 | 0.00 | 0.93 | 90.0 | 0.02 |
| 09/19/2016 | SPECTER, LINDSAY | HARTFORD CAPITAL APPRECIATION C | 0.00 | 28.52 | 0.00 | 28.52 | 90.0 | 0.48 |
| 09/19/2016 | SPECTER, SHELBY | HARTFORD CAPITAL APPRECIATION C | 0.00 | 26.62 | 0.00 | 26.62 | 90.0 | 0.45 |
| 09/19/2016 | HARRIS, MORGAN | HARTFORD CAPITAL APPRECIATION C | 0.00 | 8.77 | 0.00 | 8.77 | 90.0 | 0.15 |
| 10/17/2016 | SPECTER TRUST, STEPHANIE | HARTFORD CAPITAL APPRECIATION C | 0.00 | 70.70 | 0.00 | 70.70 | 90.0 | 1.20 |
| 10/17/2016 | MEDIA ENTERPRISES | HARTFORD CAPITAL APPRECIATION C | 0.00 | 34.01 | 0.00 | 34.01 | 90.0 | 0.58 |
| 10/17/2016 | PERETTI JR, ANTHONY | HARTFORD CAPITAL APPRECIATION C | 0.00 | 27.28 | 0.00 | 27.28 | 90.0 | 0.46 |
| 10/17/2016 | KLEIN, HOWARD | HARTFORD CAPITAL APPRECIATION C | 0.00 | 371.59 | 0.00 | 371.59 | 90.0 | 6.32 |

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|--|--------------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u> OVERRIDE TRANSACTIONS </u> | | | | | | | | |
| <u> BROKER: MARC, L134 LINSKY #263 </u> | | | | | | | | |
| 10/17/2016 | CAMARDO, DONNA | HARTFORD CAPITAL APPRECIATION C | 0.00 | 9.35 | 0.00 | 9.35 | 90.0 | 0.16 |
| 10/17/2016 | GODLBERG, SHARON | HARTFORD CAPITAL APPRECIATION C | 0.00 | 6.09 | 0.00 | 6.09 | 90.0 | 0.10 |
| 10/17/2016 | BALZANO, AUGUSTUS | HARTFORD CAPITAL APPRECIATION C | 0.00 | 6.49 | 0.00 | 6.49 | 90.0 | 0.11 |
| 10/17/2016 | SPECTER, LINDSAY | HARTFORD CAPITAL APPRECIATION C | 0.00 | 27.50 | 0.00 | 27.50 | 90.0 | 0.47 |
| 10/17/2016 | SPECTER, SHELBY | HARTFORD CAPITAL APPRECIATION C | 0.00 | 25.66 | 0.00 | 25.66 | 90.0 | 0.44 |
| 10/17/2016 | HARRIS, MORGAN | HARTFORD CAPITAL APPRECIATION C | 0.00 | 9.35 | 0.00 | 9.35 | 90.0 | 0.16 |
| 11/16/2016 | SPECTER TRUST, STEPHANIE | HARTFORD CAPITAL APPRECIATION C | 0.00 | 73.00 | 0.00 | 73.00 | 90.0 | 1.24 |
| 11/16/2016 | MEDIA ENTERPRISES | HARTFORD CAPITAL APPRECIATION C | 0.00 | 35.11 | 0.00 | 35.11 | 90.0 | 0.60 |
| 11/16/2016 | PERETTI JR, ANTHONY | HARTFORD CAPITAL APPRECIATION C | 0.00 | 28.17 | 0.00 | 28.17 | 90.0 | 0.48 |
| 11/16/2016 | KLEIN, HOWARD | HARTFORD CAPITAL APPRECIATION C | 0.00 | 383.69 | 0.00 | 383.69 | 90.0 | 6.52 |
| 11/16/2016 | CAMARDO, DONNA | HARTFORD CAPITAL APPRECIATION C | 0.00 | 9.65 | 0.00 | 9.65 | 90.0 | 0.16 |
| 11/16/2016 | GODLBERG, SHARON | HARTFORD CAPITAL APPRECIATION C | 0.00 | 6.29 | 0.00 | 6.29 | 90.0 | 0.11 |
| 11/16/2016 | BALZANO, AUGUSTUS | HARTFORD CAPITAL APPRECIATION C | 0.00 | 6.71 | 0.00 | 6.71 | 90.0 | 0.11 |
| 11/16/2016 | SPECTER, LINDSAY | HARTFORD CAPITAL APPRECIATION C | 0.00 | 28.39 | 0.00 | 28.39 | 90.0 | 0.48 |
| 11/16/2016 | SPECTER, SHELBY | HARTFORD CAPITAL APPRECIATION C | 0.00 | 26.50 | 0.00 | 26.50 | 90.0 | 0.45 |
| 11/16/2016 | HARRIS, MORGAN | HARTFORD CAPITAL APPRECIATION C | 0.00 | 9.66 | 0.00 | 9.66 | 90.0 | 0.16 |
| 12/19/2016 | SPECTER TRUST, STEPHANIE | HARTFORD CAPITAL APPRECIATION C | 0.00 | 70.71 | 0.00 | 70.71 | 90.0 | 1.20 |
| 12/19/2016 | MEDIA ENTERPRISES | HARTFORD CAPITAL APPRECIATION C | 0.00 | 34.01 | 0.00 | 34.01 | 90.0 | 0.58 |
| 12/19/2016 | PERETTI JR, ANTHONY | HARTFORD CAPITAL APPRECIATION C | 0.00 | 27.52 | 0.00 | 27.52 | 90.0 | 0.47 |
| 12/19/2016 | KLEIN, HOWARD | HARTFORD CAPITAL APPRECIATION C | 0.00 | 371.62 | 0.00 | 371.62 | 90.0 | 6.32 |
| 12/19/2016 | CAMARDO, DONNA | HARTFORD CAPITAL APPRECIATION C | 0.00 | 9.35 | 0.00 | 9.35 | 90.0 | 0.16 |
| 12/19/2016 | GODLBERG, SHARON | HARTFORD CAPITAL APPRECIATION C | 0.00 | 6.09 | 0.00 | 6.09 | 90.0 | 0.10 |
| 12/19/2016 | BALZANO, AUGUSTUS | HARTFORD CAPITAL APPRECIATION C | 0.00 | 6.49 | 0.00 | 6.49 | 90.0 | 0.11 |
| 12/19/2016 | SPECTER, LINDSAY | HARTFORD CAPITAL APPRECIATION C | 0.00 | 27.50 | 0.00 | 27.50 | 90.0 | 0.47 |
| 12/19/2016 | SPECTER, SHELBY | HARTFORD CAPITAL APPRECIATION C | 0.00 | 25.67 | 0.00 | 25.67 | 90.0 | 0.44 |
| 12/19/2016 | HARRIS, MORGAN | HARTFORD CAPITAL APPRECIATION C | 0.00 | 9.35 | 0.00 | 9.35 | 90.0 | 0.16 |
| 02/15/2018 | PERETTI JR, ANTHONY | HARTFORD CAPITAL APPRECIATION C | 423.22 | 4.23 | 22.00 | -17.77 | 90.0 | -0.30 |
| 02/19/2016 | OLIVETI, ANTHONY | HARTFORD CHECKS AND BALANCES FUND A | 0.00 | 2.25 | 0.00 | 2.25 | 90.0 | 0.04 |
| 02/19/2016 | OLIVETI, NICOLE | HARTFORD CHECKS AND BALANCES FUND A | 0.00 | 2.25 | 0.00 | 2.25 | 90.0 | 0.04 |
| 02/19/2016 | PISANI, NICHOLAS | HARTFORD CHECKS AND BALANCES FUND A | 0.00 | 3.39 | 0.00 | 3.39 | 90.0 | 0.06 |
| 03/22/2016 | OLIVETI, ANTHONY | HARTFORD CHECKS AND BALANCES FUND A | 0.00 | 2.08 | 0.00 | 2.08 | 90.0 | 0.04 |
| 03/22/2016 | OLIVETI, NICOLE | HARTFORD CHECKS AND BALANCES FUND A | 0.00 | 2.08 | 0.00 | 2.08 | 90.0 | 0.04 |
| 03/22/2016 | PISANI, NICHOLAS | HARTFORD CHECKS AND BALANCES FUND A | 0.00 | 3.12 | 0.00 | 3.12 | 90.0 | 0.05 |

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|--|--------------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u> OVERRIDE TRANSACTIONS </u> | | | | | | | | |
| <u> BROKER: MARC, L134 LINSKY #263 </u> | | | | | | | | |
| 04/18/2016 | OLIVETI, ANTHONY | HARTFORD CHECKS AND BALANCES FUND A | 0.00 | 2.33 | 0.00 | 2.33 | 90.0 | 0.04 |
| 04/18/2016 | OLIVETI, NICOLE | HARTFORD CHECKS AND BALANCES FUND A | 0.00 | 2.33 | 0.00 | 2.33 | 90.0 | 0.04 |
| 04/18/2016 | PISANI, NICHOLAS | HARTFORD CHECKS AND BALANCES FUND A | 0.00 | 3.50 | 0.00 | 3.50 | 90.0 | 0.06 |
| 05/24/2016 | OLIVETI, ANTHONY | HARTFORD CHECKS AND BALANCES FUND A | 0.00 | 2.31 | 0.00 | 2.31 | 90.0 | 0.04 |
| 05/24/2016 | OLIVETI, NICOLE | HARTFORD CHECKS AND BALANCES FUND A | 0.00 | 2.31 | 0.00 | 2.31 | 90.0 | 0.04 |
| 05/24/2016 | PISANI, NICHOLAS | HARTFORD CHECKS AND BALANCES FUND A | 0.00 | 3.47 | 0.00 | 3.47 | 90.0 | 0.06 |
| 06/21/2016 | OLIVETI, ANTHONY | HARTFORD CHECKS AND BALANCES FUND A | 0.00 | 2.38 | 0.00 | 2.38 | 90.0 | 0.04 |
| 06/21/2016 | OLIVETI, NICOLE | HARTFORD CHECKS AND BALANCES FUND A | 0.00 | 2.38 | 0.00 | 2.38 | 90.0 | 0.04 |
| 06/21/2016 | PISANI, NICHOLAS | HARTFORD CHECKS AND BALANCES FUND A | 0.00 | 3.58 | 0.00 | 3.58 | 90.0 | 0.06 |
| 07/18/2016 | OLIVETI, ANTHONY | HARTFORD CHECKS AND BALANCES FUND A | 0.00 | 2.32 | 0.00 | 2.32 | 90.0 | 0.04 |
| 07/18/2016 | OLIVETI, NICOLE | HARTFORD CHECKS AND BALANCES FUND A | 0.00 | 2.32 | 0.00 | 2.32 | 90.0 | 0.04 |
| 07/18/2016 | PISANI, NICHOLAS | HARTFORD CHECKS AND BALANCES FUND A | 0.00 | 3.49 | 0.00 | 3.49 | 90.0 | 0.06 |
| 08/16/2016 | OLIVETI, ANTHONY | HARTFORD CHECKS AND BALANCES FUND A | 0.00 | 2.45 | 0.00 | 2.45 | 90.0 | 0.04 |
| 08/16/2016 | OLIVETI, NICOLE | HARTFORD CHECKS AND BALANCES FUND A | 0.00 | 2.45 | 0.00 | 2.45 | 90.0 | 0.04 |
| 08/16/2016 | PISANI, NICHOLAS | HARTFORD CHECKS AND BALANCES FUND A | 0.00 | 3.68 | 0.00 | 3.68 | 90.0 | 0.06 |
| 09/19/2016 | OLIVETI, ANTHONY | HARTFORD CHECKS AND BALANCES FUND A | 0.00 | 2.48 | 0.00 | 2.48 | 90.0 | 0.04 |
| 09/19/2016 | OLIVETI, NICOLE | HARTFORD CHECKS AND BALANCES FUND A | 0.00 | 2.48 | 0.00 | 2.48 | 90.0 | 0.04 |
| 09/19/2016 | PISANI, NICHOLAS | HARTFORD CHECKS AND BALANCES FUND A | 0.00 | 3.72 | 0.00 | 3.72 | 90.0 | 0.06 |
| 10/17/2016 | OLIVETI, ANTHONY | HARTFORD CHECKS AND BALANCES FUND A | 0.00 | 2.39 | 0.00 | 2.39 | 90.0 | 0.04 |
| 10/17/2016 | OLIVETI, NICOLE | HARTFORD CHECKS AND BALANCES FUND A | 0.00 | 2.39 | 0.00 | 2.39 | 90.0 | 0.04 |
| 10/17/2016 | PISANI, NICHOLAS | HARTFORD CHECKS AND BALANCES FUND A | 0.00 | 3.59 | 0.00 | 3.59 | 90.0 | 0.06 |
| 11/16/2016 | OLIVETI, ANTHONY | HARTFORD CHECKS AND BALANCES FUND A | 0.00 | 2.47 | 0.00 | 2.47 | 90.0 | 0.04 |
| 11/16/2016 | OLIVETI, NICOLE | HARTFORD CHECKS AND BALANCES FUND A | 0.00 | 2.47 | 0.00 | 2.47 | 90.0 | 0.04 |
| 11/16/2016 | PISANI, NICHOLAS | HARTFORD CHECKS AND BALANCES FUND A | 0.00 | 3.71 | 0.00 | 3.71 | 90.0 | 0.06 |
| 12/19/2016 | OLIVETI, ANTHONY | HARTFORD CHECKS AND BALANCES FUND A | 0.00 | 2.40 | 0.00 | 2.40 | 90.0 | 0.04 |
| 12/19/2016 | OLIVETI, NICOLE | HARTFORD CHECKS AND BALANCES FUND A | 0.00 | 2.40 | 0.00 | 2.40 | 90.0 | 0.04 |
| 12/19/2016 | PISANI, NICHOLAS | HARTFORD CHECKS AND BALANCES FUND A | 0.00 | 3.60 | 0.00 | 3.60 | 90.0 | 0.06 |
| 02/19/2016 | SPECTER TRUST, STEPHANIE | HARTFORD DIVIDEND & GROWTH C | 0.00 | 56.15 | 0.00 | 56.15 | 90.0 | 0.95 |
| 02/19/2016 | MEDIA ENTERPRISES | HARTFORD DIVIDEND & GROWTH C | 0.00 | 35.02 | 0.00 | 35.02 | 90.0 | 0.60 |
| 02/19/2016 | CAMARDO, DONNA | HARTFORD DIVIDEND & GROWTH C | 0.00 | 16.11 | 0.00 | 16.11 | 90.0 | 0.27 |
| 02/19/2016 | BALZANO, AUGUSTUS | HARTFORD DIVIDEND & GROWTH C | 0.00 | 11.07 | 0.00 | 11.07 | 90.0 | 0.19 |
| 02/19/2016 | HARRIS, MORGAN | HARTFORD DIVIDEND & GROWTH C | 0.00 | 16.12 | 0.00 | 16.12 | 90.0 | 0.27 |
| 03/22/2016 | SPECTER TRUST, STEPHANIE | HARTFORD DIVIDEND & GROWTH C | 0.00 | 52.20 | 0.00 | 52.20 | 90.0 | 0.89 |

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

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

| DATE | CLIENT | INVESTMENT | INVESTMENT AMOUNT | GROSS COMMISSION | CLEARING CHARGE | NET COMMISSION | RATE | BROKER COMMISSION |
|--|--------------------------|------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u> OVERRIDE TRANSACTIONS </u> | | | | | | | | |
| <u> BROKER: MARC, L134 LINSKY #263 </u> | | | | | | | | |
| 03/22/2016 | MEDIA ENTERPRISES | HARTFORD DIVIDEND & GROWTH C | 0.00 | 32.56 | 0.00 | 32.56 | 90.0 | 0.55 |
| 03/22/2016 | CAMARDO, DONNA | HARTFORD DIVIDEND & GROWTH C | 0.00 | 14.98 | 0.00 | 14.98 | 90.0 | 0.25 |
| 03/22/2016 | BALZANO, AUGUSTUS | HARTFORD DIVIDEND & GROWTH C | 0.00 | 10.29 | 0.00 | 10.29 | 90.0 | 0.17 |
| 03/22/2016 | HARRIS, MORGAN | HARTFORD DIVIDEND & GROWTH C | 0.00 | 14.98 | 0.00 | 14.98 | 90.0 | 0.25 |
| 04/18/2016 | SPECTER TRUST, STEPHANIE | HARTFORD DIVIDEND & GROWTH C | 0.00 | 59.29 | 0.00 | 59.29 | 90.0 | 1.01 |
| 04/18/2016 | MEDIA ENTERPRISES | HARTFORD DIVIDEND & GROWTH C | 0.00 | 36.98 | 0.00 | 36.98 | 90.0 | 0.63 |
| 04/18/2016 | CAMARDO, DONNA | HARTFORD DIVIDEND & GROWTH C | 0.00 | 17.01 | 0.00 | 17.01 | 90.0 | 0.29 |
| 04/18/2016 | BALZANO, AUGUSTUS | HARTFORD DIVIDEND & GROWTH C | 0.00 | 11.69 | 0.00 | 11.69 | 90.0 | 0.20 |
| 04/18/2016 | HARRIS, MORGAN | HARTFORD DIVIDEND & GROWTH C | 0.00 | 17.02 | 0.00 | 17.02 | 90.0 | 0.29 |
| 05/24/2016 | SPECTER TRUST, STEPHANIE | HARTFORD DIVIDEND & GROWTH C | 0.00 | 58.87 | 0.00 | 58.87 | 90.0 | 1.00 |
| 05/24/2016 | MEDIA ENTERPRISES | HARTFORD DIVIDEND & GROWTH C | 0.00 | 36.71 | 0.00 | 36.71 | 90.0 | 0.62 |
| 05/24/2016 | CAMARDO, DONNA | HARTFORD DIVIDEND & GROWTH C | 0.00 | 16.89 | 0.00 | 16.89 | 90.0 | 0.29 |
| 05/24/2016 | BALZANO, AUGUSTUS | HARTFORD DIVIDEND & GROWTH C | 0.00 | 11.61 | 0.00 | 11.61 | 90.0 | 0.20 |
| 05/24/2016 | HARRIS, MORGAN | HARTFORD DIVIDEND & GROWTH C | 0.00 | 16.90 | 0.00 | 16.90 | 90.0 | 0.29 |
| 06/21/2016 | SPECTER TRUST, STEPHANIE | HARTFORD DIVIDEND & GROWTH C | 0.00 | 60.77 | 0.00 | 60.77 | 90.0 | 1.03 |
| 06/21/2016 | MEDIA ENTERPRISES | HARTFORD DIVIDEND & GROWTH C | 0.00 | 37.90 | 0.00 | 37.90 | 90.0 | 0.64 |
| 06/21/2016 | CAMARDO, DONNA | HARTFORD DIVIDEND & GROWTH C | 0.00 | 17.44 | 0.00 | 17.44 | 90.0 | 0.30 |
| 06/21/2016 | BALZANO, AUGUSTUS | HARTFORD DIVIDEND & GROWTH C | 0.00 | 11.98 | 0.00 | 11.98 | 90.0 | 0.20 |
| 06/21/2016 | HARRIS, MORGAN | HARTFORD DIVIDEND & GROWTH C | 0.00 | 17.44 | 0.00 | 17.44 | 90.0 | 0.30 |
| 07/18/2016 | SPECTER TRUST, STEPHANIE | HARTFORD DIVIDEND & GROWTH C | 0.00 | 59.13 | 0.00 | 59.13 | 90.0 | 1.01 |
| 07/18/2016 | MEDIA ENTERPRISES | HARTFORD DIVIDEND & GROWTH C | 0.00 | 36.88 | 0.00 | 36.88 | 90.0 | 0.63 |
| 07/18/2016 | CAMARDO, DONNA | HARTFORD DIVIDEND & GROWTH C | 0.00 | 16.97 | 0.00 | 16.97 | 90.0 | 0.29 |
| 07/18/2016 | BALZANO, AUGUSTUS | HARTFORD DIVIDEND & GROWTH C | 0.00 | 11.66 | 0.00 | 11.66 | 90.0 | 0.20 |
| 07/18/2016 | HARRIS, MORGAN | HARTFORD DIVIDEND & GROWTH C | 0.00 | 16.97 | 0.00 | 16.97 | 90.0 | 0.29 |
| 08/16/2016 | SPECTER TRUST, STEPHANIE | HARTFORD DIVIDEND & GROWTH C | 0.00 | 62.76 | 0.00 | 62.76 | 90.0 | 1.07 |
| 08/16/2016 | MEDIA ENTERPRISES | HARTFORD DIVIDEND & GROWTH C | 0.00 | 39.14 | 0.00 | 39.14 | 90.0 | 0.67 |
| 08/16/2016 | CAMARDO, DONNA | HARTFORD DIVIDEND & GROWTH C | 0.00 | 18.01 | 0.00 | 18.01 | 90.0 | 0.31 |
| 08/16/2016 | BALZANO, AUGUSTUS | HARTFORD DIVIDEND & GROWTH C | 0.00 | 12.37 | 0.00 | 12.37 | 90.0 | 0.21 |
| 08/16/2016 | HARRIS, MORGAN | HARTFORD DIVIDEND & GROWTH C | 0.00 | 18.01 | 0.00 | 18.01 | 90.0 | 0.31 |
| 09/19/2016 | SPECTER TRUST, STEPHANIE | HARTFORD DIVIDEND & GROWTH C | 0.00 | 63.49 | 0.00 | 63.49 | 90.0 | 1.08 |
| 09/19/2016 | MEDIA ENTERPRISES | HARTFORD DIVIDEND & GROWTH C | 0.00 | 39.60 | 0.00 | 39.60 | 90.0 | 0.67 |
| 09/19/2016 | CAMARDO, DONNA | HARTFORD DIVIDEND & GROWTH C | 0.00 | 18.22 | 0.00 | 18.22 | 90.0 | 0.31 |
| 09/19/2016 | BALZANO, AUGUSTUS | HARTFORD DIVIDEND & GROWTH C | 0.00 | 12.52 | 0.00 | 12.52 | 90.0 | 0.21 |

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|--|--------------------------|-----------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u> OVERRIDE TRANSACTIONS </u> | | | | | | | | |
| <u>BROKER: MARC, L134 LINSKY #263</u> | | | | | | | | |
| 09/19/2016 | HARRIS, MORGAN | HARTFORD DIVIDEND & GROWTH C | 0.00 | 1.75 | 0.00 | 1.75 | 90.0 | 0.03 |
| 09/19/2016 | HARRIS, MORGAN | HARTFORD DIVIDEND & GROWTH C | 0.00 | 16.48 | 0.00 | 16.48 | 90.0 | 0.28 |
| 10/17/2016 | SPECTER TRUST, STEPHANIE | HARTFORD DIVIDEND & GROWTH C | 0.00 | 61.07 | 0.00 | 61.07 | 90.0 | 1.04 |
| 10/17/2016 | MEDIA ENTERPRISES | HARTFORD DIVIDEND & GROWTH C | 0.00 | 38.09 | 0.00 | 38.09 | 90.0 | 0.65 |
| 10/17/2016 | CAMARDO, DONNA | HARTFORD DIVIDEND & GROWTH C | 0.00 | 17.52 | 0.00 | 17.52 | 90.0 | 0.30 |
| 10/17/2016 | BALZANO, AUGUSTUS | HARTFORD DIVIDEND & GROWTH C | 0.00 | 12.04 | 0.00 | 12.04 | 90.0 | 0.20 |
| 10/17/2016 | HARRIS, MORGAN | HARTFORD DIVIDEND & GROWTH C | 0.00 | 17.53 | 0.00 | 17.53 | 90.0 | 0.30 |
| 11/16/2016 | SPECTER TRUST, STEPHANIE | HARTFORD DIVIDEND & GROWTH C | 0.00 | 63.05 | 0.00 | 63.05 | 90.0 | 1.07 |
| 11/16/2016 | MEDIA ENTERPRISES | HARTFORD DIVIDEND & GROWTH C | 0.00 | 39.32 | 0.00 | 39.32 | 90.0 | 0.67 |
| 11/16/2016 | CAMARDO, DONNA | HARTFORD DIVIDEND & GROWTH C | 0.00 | 18.09 | 0.00 | 18.09 | 90.0 | 0.31 |
| 11/16/2016 | BALZANO, AUGUSTUS | HARTFORD DIVIDEND & GROWTH C | 0.00 | 12.43 | 0.00 | 12.43 | 90.0 | 0.21 |
| 11/16/2016 | HARRIS, MORGAN | HARTFORD DIVIDEND & GROWTH C | 0.00 | 18.10 | 0.00 | 18.10 | 90.0 | 0.31 |
| 12/19/2016 | SPECTER TRUST, STEPHANIE | HARTFORD DIVIDEND & GROWTH C | 0.00 | 62.35 | 0.00 | 62.35 | 90.0 | 1.06 |
| 12/19/2016 | MEDIA ENTERPRISES | HARTFORD DIVIDEND & GROWTH C | 0.00 | 38.89 | 0.00 | 38.89 | 90.0 | 0.66 |
| 12/19/2016 | CAMARDO, DONNA | HARTFORD DIVIDEND & GROWTH C | 0.00 | 17.89 | 0.00 | 17.89 | 90.0 | 0.30 |
| 12/19/2016 | BALZANO, AUGUSTUS | HARTFORD DIVIDEND & GROWTH C | 0.00 | 12.29 | 0.00 | 12.29 | 90.0 | 0.21 |
| 12/19/2016 | HARRIS, MORGAN | HARTFORD DIVIDEND & GROWTH C | 0.00 | 17.90 | 0.00 | 17.90 | 90.0 | 0.30 |
| 02/19/2016 | CAMPAGNA, MARIE | HARTFORD FLOATING RATE C | 0.00 | 10.21 | 0.00 | 10.21 | 90.0 | 0.17 |
| 03/22/2016 | CAMPAGNA, MARIE | HARTFORD FLOATING RATE C | 0.00 | 9.39 | 0.00 | 9.39 | 90.0 | 0.16 |
| 04/18/2016 | CAMPAGNA, MARIE | HARTFORD FLOATING RATE C | 0.00 | 10.24 | 0.00 | 10.24 | 90.0 | 0.17 |
| 05/24/2016 | CAMPAGNA, MARIE | HARTFORD FLOATING RATE C | 0.00 | 10.09 | 0.00 | 10.09 | 90.0 | 0.17 |
| 06/21/2016 | CAMPAGNA, MARIE | HARTFORD FLOATING RATE C | 0.00 | 10.55 | 0.00 | 10.55 | 90.0 | 0.18 |
| 07/18/2016 | CAMPAGNA, MARIE | HARTFORD FLOATING RATE C | 0.00 | 10.22 | 0.00 | 10.22 | 90.0 | 0.17 |
| 08/16/2016 | CAMPAGNA, MARIE | HARTFORD FLOATING RATE C | 0.00 | 10.60 | 0.00 | 10.60 | 90.0 | 0.18 |
| 09/19/2016 | CAMPAGNA, MARIE | HARTFORD FLOATING RATE C | 0.00 | 10.67 | 0.00 | 10.67 | 90.0 | 0.18 |
| 10/17/2016 | CAMPAGNA, MARIE | HARTFORD FLOATING RATE C | 0.00 | 10.40 | 0.00 | 10.40 | 90.0 | 0.18 |
| 11/16/2016 | CAMPAGNA, MARIE | HARTFORD FLOATING RATE C | 0.00 | 10.85 | 0.00 | 10.85 | 90.0 | 0.18 |
| 12/19/2016 | CAMPAGNA, MARIE | HARTFORD FLOATING RATE C | 0.00 | 10.48 | 0.00 | 10.48 | 90.0 | 0.18 |
| 02/19/2016 | GODLBERG, SHARON | HARTFORD TOTAL RETURN BOND FUND C | 0.00 | 4.06 | 0.00 | 4.06 | 90.0 | 0.07 |
| 03/22/2016 | GODLBERG, SHARON | HARTFORD TOTAL RETURN BOND FUND C | 0.00 | 3.79 | 0.00 | 3.79 | 90.0 | 0.06 |
| 04/18/2016 | GODLBERG, SHARON | HARTFORD TOTAL RETURN BOND FUND C | 0.00 | 4.09 | 0.00 | 4.09 | 90.0 | 0.07 |
| 05/24/2016 | GODLBERG, SHARON | HARTFORD TOTAL RETURN BOND FUND C | 0.00 | 4.02 | 0.00 | 4.02 | 90.0 | 0.07 |
| 06/21/2016 | GODLBERG, SHARON | HARTFORD TOTAL RETURN BOND FUND C | 0.00 | 4.17 | 0.00 | 4.17 | 90.0 | 0.07 |

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|--|------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u> OVERRIDE TRANSACTIONS </u> | | | | | | | | |
| <u> BROKER: MARC, L134 LINSKY #263 </u> | | | | | | | | |
| 07/18/2016 | GODLBERG, SHARON | HARTFORD TOTAL RETURN BOND FUND C | 0.00 | 4.07 | 0.00 | 4.07 | 90.0 | 0.07 |
| 08/16/2016 | GODLBERG, SHARON | HARTFORD TOTAL RETURN BOND FUND C | 0.00 | 4.26 | 0.00 | 4.26 | 90.0 | 0.07 |
| 09/19/2016 | GODLBERG, SHARON | HARTFORD TOTAL RETURN BOND FUND C | 0.00 | 4.27 | 0.00 | 4.27 | 90.0 | 0.07 |
| 10/17/2016 | GODLBERG, SHARON | HARTFORD TOTAL RETURN BOND FUND C | 0.00 | 4.13 | 0.00 | 4.13 | 90.0 | 0.07 |
| 11/16/2016 | GODLBERG, SHARON | HARTFORD TOTAL RETURN BOND FUND C | 0.00 | 4.26 | 0.00 | 4.26 | 90.0 | 0.07 |
| 12/19/2016 | GODLBERG, SHARON | HARTFORD TOTAL RETURN BOND FUND C | 0.00 | 4.05 | 0.00 | 4.05 | 90.0 | 0.07 |
| 04/22/2016 | JACKSON, SHIRLEY | HENDERSON GLOBAL EQUITY INCOME FUND | 0.00 | 58.59 | 0.00 | 58.59 | 90.0 | 1.00 |
| 05/23/2016 | JACKSON, SHIRLEY | HENDERSON GLOBAL EQUITY INCOME FUND | 0.00 | 57.38 | 0.00 | 57.38 | 90.0 | 0.98 |
| 06/13/2016 | JACKSON, SHIRLEY | HENDERSON GLOBAL EQUITY INCOME FUND | 0.00 | 59.15 | 0.00 | 59.15 | 90.0 | 1.01 |
| 07/15/2016 | JACKSON, SHIRLEY | HENDERSON GLOBAL EQUITY INCOME FUND | 0.00 | 56.24 | 0.00 | 56.24 | 90.0 | 0.96 |
| 08/12/2016 | JACKSON, SHIRLEY | HENDERSON GLOBAL EQUITY INCOME FUND | 0.00 | 57.51 | 0.00 | 57.51 | 90.0 | 0.98 |
| 09/16/2016 | JACKSON, SHIRLEY | HENDERSON GLOBAL EQUITY INCOME FUND | 0.00 | 59.02 | 0.00 | 59.02 | 90.0 | 1.00 |
| 10/17/2016 | JACKSON, SHIRLEY | HENDERSON GLOBAL EQUITY INCOME FUND | 0.00 | 56.97 | 0.00 | 56.97 | 90.0 | 0.97 |
| 11/18/2016 | JACKSON, SHIRLEY | HENDERSON GLOBAL EQUITY INCOME FUND | 0.00 | 56.86 | 0.00 | 56.86 | 90.0 | 0.97 |
| 12/21/2016 | JACKSON, SHIRLEY | HENDERSON GLOBAL EQUITY INCOME FUND | 0.00 | 53.91 | 0.00 | 53.91 | 90.0 | 0.92 |
| 03/31/2016 | NAGLE, JOSEPHINE | HIGHLAND FLOATING RATE OPPORTUNITIE | 0.00 | 0.66 | 0.00 | 0.66 | 90.0 | 0.01 |
| 04/20/2016 | NAGLE, JOSEPHINE | HIGHLAND FLOATING RATE OPPORTUNITIE | 0.00 | 0.71 | 0.00 | 0.71 | 90.0 | 0.01 |
| 05/26/2016 | NAGLE, JOSEPHINE | HIGHLAND FLOATING RATE OPPORTUNITIE | 0.00 | 0.71 | 0.00 | 0.71 | 90.0 | 0.01 |
| 06/22/2016 | NAGLE, JOSEPHINE | HIGHLAND FLOATING RATE OPPORTUNITIE | 0.00 | 0.76 | 0.00 | 0.76 | 90.0 | 0.01 |
| 07/20/2016 | NAGLE, JOSEPHINE | HIGHLAND FLOATING RATE OPPORTUNITIE | 0.00 | 0.75 | 0.00 | 0.75 | 90.0 | 0.01 |
| 08/17/2016 | NAGLE, JOSEPHINE | HIGHLAND FLOATING RATE OPPORTUNITIE | 0.00 | 0.78 | 0.00 | 0.78 | 90.0 | 0.01 |
| 09/14/2016 | NAGLE, JOSEPHINE | HIGHLAND FLOATING RATE OPPORTUNITIE | 0.00 | 0.79 | 0.00 | 0.79 | 90.0 | 0.01 |
| 10/19/2016 | NAGLE, JOSEPHINE | HIGHLAND FLOATING RATE OPPORTUNITIE | 0.00 | 0.77 | 0.00 | 0.77 | 90.0 | 0.01 |
| 11/16/2016 | NAGLE, JOSEPHINE | HIGHLAND FLOATING RATE OPPORTUNITIE | 0.00 | 0.52 | 0.00 | 0.52 | 90.0 | 0.01 |
| 02/29/2016 | CHERRY, ANDREW | HOTCHKIS & WILEY SMALL-CAP VALUE FU | 0.00 | 2.93 | 0.00 | 2.93 | 90.0 | 0.05 |
| 02/29/2016 | CHERRY, ANDREW | HOTCHKIS & WILEY SMALL-CAP VALUE FU | 0.00 | 2.93 | 0.00 | 2.93 | 90.0 | 0.05 |
| 03/31/2016 | CHERRY, ANDREW | HOTCHKIS & WILEY SMALL-CAP VALUE FU | 0.00 | 2.63 | 0.00 | 2.63 | 90.0 | 0.04 |
| 03/31/2016 | CHERRY, ANDREW | HOTCHKIS & WILEY SMALL-CAP VALUE FU | 0.00 | 2.63 | 0.00 | 2.63 | 90.0 | 0.04 |
| 04/29/2016 | CHERRY, ANDREW | HOTCHKIS & WILEY SMALL-CAP VALUE FU | 0.00 | 3.02 | 0.00 | 3.02 | 90.0 | 0.05 |
| 04/29/2016 | CHERRY, ANDREW | HOTCHKIS & WILEY SMALL-CAP VALUE FU | 0.00 | 3.02 | 0.00 | 3.02 | 90.0 | 0.05 |
| 05/31/2016 | CHERRY, ANDREW | HOTCHKIS & WILEY SMALL-CAP VALUE FU | 0.00 | 3.01 | 0.00 | 3.01 | 90.0 | 0.05 |
| 05/31/2016 | CHERRY, ANDREW | HOTCHKIS & WILEY SMALL-CAP VALUE FU | 0.00 | 3.01 | 0.00 | 3.01 | 90.0 | 0.05 |
| 06/30/2016 | CHERRY, ANDREW | HOTCHKIS & WILEY SMALL-CAP VALUE FU | 0.00 | 3.06 | 0.00 | 3.06 | 90.0 | 0.05 |

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|--|------------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u> OVERRIDE TRANSACTIONS </u> | | | | | | | | |
| <u>BROKER: MARC, L134 LINSKY #263</u> | | | | | | | | |
| 06/30/2016 | CHERRY, ANDREW | HOTCHKIS & WILEY SMALL-CAP VALUE FU | 0.00 | 3.06 | 0.00 | 3.06 | 90.0 | 0.05 |
| 07/29/2016 | CHERRY, ANDREW | HOTCHKIS & WILEY SMALL-CAP VALUE FU | 0.00 | 2.99 | 0.00 | 2.99 | 90.0 | 0.05 |
| 07/29/2016 | CHERRY, ANDREW | HOTCHKIS & WILEY SMALL-CAP VALUE FU | 0.00 | 2.99 | 0.00 | 2.99 | 90.0 | 0.05 |
| 08/31/2016 | CHERRY, ANDREW | HOTCHKIS & WILEY SMALL-CAP VALUE FU | 0.00 | 3.17 | 0.00 | 3.17 | 90.0 | 0.05 |
| 08/31/2016 | CHERRY, ANDREW | HOTCHKIS & WILEY SMALL-CAP VALUE FU | 0.00 | 3.17 | 0.00 | 3.17 | 90.0 | 0.05 |
| 09/29/2016 | CHERRY, ANDREW | HOTCHKIS & WILEY SMALL-CAP VALUE FU | 0.00 | 3.27 | 0.00 | 3.27 | 90.0 | 0.06 |
| 09/29/2016 | CHERRY, ANDREW | HOTCHKIS & WILEY SMALL-CAP VALUE FU | 0.00 | 3.27 | 0.00 | 3.27 | 90.0 | 0.06 |
| 10/31/2016 | CHERRY, ANDREW | HOTCHKIS & WILEY SMALL-CAP VALUE FU | 0.00 | 3.15 | 0.00 | 3.15 | 90.0 | 0.05 |
| 10/31/2016 | CHERRY, ANDREW | HOTCHKIS & WILEY SMALL-CAP VALUE FU | 0.00 | 3.15 | 0.00 | 3.15 | 90.0 | 0.05 |
| 11/30/2016 | CHERRY, ANDREW | HOTCHKIS & WILEY SMALL-CAP VALUE FU | 0.00 | 3.25 | 0.00 | 3.25 | 90.0 | 0.06 |
| 11/30/2016 | CHERRY, ANDREW | HOTCHKIS & WILEY SMALL-CAP VALUE FU | 0.00 | 3.25 | 0.00 | 3.25 | 90.0 | 0.06 |
| 12/30/2016 | CHERRY, ANDREW | HOTCHKIS & WILEY SMALL-CAP VALUE FU | 0.00 | 3.37 | 0.00 | 3.37 | 90.0 | 0.06 |
| 12/30/2016 | CHERRY, ANDREW | HOTCHKIS & WILEY SMALL-CAP VALUE FU | 0.00 | 3.37 | 0.00 | 3.37 | 90.0 | 0.06 |
| 04/14/2016 | SIEMANOWSKI, JOHN | INVESCO AMERICAN FRANCHISE A | 0.00 | 91.16 | 0.00 | 91.16 | 90.0 | 1.55 |
| 04/14/2016 | CHERRY, THEO | INVESCO AMERICAN FRANCHISE A | 0.00 | 2.92 | 0.00 | 2.92 | 90.0 | 0.05 |
| 04/14/2016 | SIEMANOWSKI, JOHN | INVESCO AMERICAN FRANCHISE A | 0.00 | 191.96 | 0.00 | 191.96 | 90.0 | 3.26 |
| 04/14/2016 | FARBMAN, ERIC | INVESCO AMERICAN FRANCHISE A | 0.00 | 6.95 | 0.00 | 6.95 | 90.0 | 0.12 |
| 04/14/2016 | WALENCZYK, CHIRSTOPHER | INVESCO AMERICAN FRANCHISE A | 0.00 | 0.36 | 0.00 | 0.36 | 90.0 | 0.01 |
| 04/14/2016 | JACKSON, SHIRLEY | INVESCO AMERICAN FRANCHISE A | 0.00 | 42.71 | 0.00 | 42.71 | 90.0 | 0.73 |
| 07/19/2016 | SIEMANOWSKI, JOHN | INVESCO AMERICAN FRANCHISE A | 0.00 | 96.14 | 0.00 | 96.14 | 90.0 | 1.63 |
| 07/19/2016 | CHERRY, THEO | INVESCO AMERICAN FRANCHISE A | 0.00 | 3.08 | 0.00 | 3.08 | 90.0 | 0.05 |
| 07/19/2016 | SIEMANOWSKI, JOHN | INVESCO AMERICAN FRANCHISE A | 0.00 | 202.45 | 0.00 | 202.45 | 90.0 | 3.44 |
| 07/19/2016 | FARBMAN, ERIC | INVESCO AMERICAN FRANCHISE A | 0.00 | 7.33 | 0.00 | 7.33 | 90.0 | 0.12 |
| 07/19/2016 | WALENCZYK, CHIRSTOPHER | INVESCO AMERICAN FRANCHISE A | 0.00 | 0.38 | 0.00 | 0.38 | 90.0 | 0.01 |
| 07/19/2016 | JACKSON, SHIRLEY | INVESCO AMERICAN FRANCHISE A | 0.00 | 129.62 | 0.00 | 129.62 | 90.0 | 2.20 |
| 10/17/2016 | SIEMANOWSKI, JOHN | INVESCO AMERICAN FRANCHISE A | 0.00 | 102.81 | 0.00 | 102.81 | 90.0 | 1.75 |
| 10/17/2016 | CHERRY, THEO | INVESCO AMERICAN FRANCHISE A | 0.00 | 3.29 | 0.00 | 3.29 | 90.0 | 0.06 |
| 10/17/2016 | SIEMANOWSKI, JOHN | INVESCO AMERICAN FRANCHISE A | 0.00 | 216.49 | 0.00 | 216.49 | 90.0 | 3.68 |
| 10/17/2016 | FARBMAN, ERIC | INVESCO AMERICAN FRANCHISE A | 0.00 | 7.83 | 0.00 | 7.83 | 90.0 | 0.13 |
| 10/17/2016 | WALENCZYK, CHIRSTOPHER | INVESCO AMERICAN FRANCHISE A | 0.00 | 0.41 | 0.00 | 0.41 | 90.0 | 0.01 |
| 10/17/2016 | JACKSON, SHIRLEY | INVESCO AMERICAN FRANCHISE A | 0.00 | 138.61 | 0.00 | 138.61 | 90.0 | 2.36 |
| 04/14/2016 | SIEMANOWSKI, JOHN | INVESCO CHARTER FUND A | 0.00 | 46.20 | 0.00 | 46.20 | 90.0 | 0.79 |
| 07/19/2016 | SIEMANOWSKI, JOHN | INVESCO CHARTER FUND A | 0.00 | 49.48 | 0.00 | 49.48 | 90.0 | 0.84 |

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

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| DATE | CLIENT | INVESTMENT | INVESTMENT AMOUNT | GROSS COMMISSION | CLEARING CHARGE | NET COMMISSION | RATE | BROKER COMMISSION |
|--|------------------------|--------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u> OVERRIDE TRANSACTIONS </u> | | | | | | | | |
| <u> BROKER: MARC, L134 LINSKY #263 </u> | | | | | | | | |
| 10/17/2016 | SIEMANOWSKI, JOHN | INVESCO CHARTER FUND A | 0.00 | 52.36 | 0.00 | 52.36 | 90.0 | 0.89 |
| 07/19/2016 | GUERRIERI, ANTHONY | INVESCO COMSTOCK A | 0.00 | 0.38 | 0.00 | 0.38 | 90.0 | 0.01 |
| 10/17/2016 | GUERRIERI, ANTHONY | INVESCO COMSTOCK A | 0.00 | 1.25 | 0.00 | 1.25 | 90.0 | 0.02 |
| 04/14/2016 | FARBMAN, ERIC | INVESCO HIGH YIELD FUND A | 0.00 | 11.08 | 0.00 | 11.08 | 90.0 | 0.19 |
| 07/19/2016 | FARBMAN, ERIC | INVESCO HIGH YIELD FUND A | 0.00 | 11.72 | 0.00 | 11.72 | 90.0 | 0.20 |
| 10/17/2016 | FARBMAN, ERIC | INVESCO HIGH YIELD FUND A | 0.00 | 12.33 | 0.00 | 12.33 | 90.0 | 0.21 |
| 04/14/2016 | SIEMANOWSKI, JOHN | INVESCO INTERNATIONAL GROWTH A | 0.00 | 10.46 | 0.00 | 10.46 | 90.0 | 0.18 |
| 04/14/2016 | SIEMANOWSKI, JOHN | INVESCO INTERNATIONAL GROWTH A | 0.00 | 32.85 | 0.00 | 32.85 | 90.0 | 0.56 |
| 04/14/2016 | JACKSON, SHIRLEY | INVESCO INTERNATIONAL GROWTH A | 0.00 | 2.19 | 0.00 | 2.19 | 90.0 | 0.04 |
| 07/19/2016 | SIEMANOWSKI, JOHN | INVESCO INTERNATIONAL GROWTH A | 0.00 | 11.01 | 0.00 | 11.01 | 90.0 | 0.19 |
| 07/19/2016 | SIEMANOWSKI, JOHN | INVESCO INTERNATIONAL GROWTH A | 0.00 | 34.56 | 0.00 | 34.56 | 90.0 | 0.59 |
| 07/19/2016 | JACKSON, SHIRLEY | INVESCO INTERNATIONAL GROWTH A | 0.00 | 6.50 | 0.00 | 6.50 | 90.0 | 0.11 |
| 10/17/2016 | SIEMANOWSKI, JOHN | INVESCO INTERNATIONAL GROWTH A | 0.00 | 11.29 | 0.00 | 11.29 | 90.0 | 0.19 |
| 10/17/2016 | SIEMANOWSKI, JOHN | INVESCO INTERNATIONAL GROWTH A | 0.00 | 35.45 | 0.00 | 35.45 | 90.0 | 0.60 |
| 10/17/2016 | JACKSON, SHIRLEY | INVESCO INTERNATIONAL GROWTH A | 0.00 | 6.67 | 0.00 | 6.67 | 90.0 | 0.11 |
| 04/14/2016 | WALENCZYK, BRENDA | INVESCO MIDCAP CORE EQUITY A | 0.00 | 0.40 | 0.00 | 0.40 | 90.0 | 0.01 |
| 04/14/2016 | WALENCZYK, CHIRSTOPHER | INVESCO MIDCAP CORE EQUITY A | 0.00 | 0.81 | 0.00 | 0.81 | 90.0 | 0.01 |
| 07/19/2016 | WALENCZYK, BRENDA | INVESCO MIDCAP CORE EQUITY A | 0.00 | 0.43 | 0.00 | 0.43 | 90.0 | 0.01 |
| 07/19/2016 | WALENCZYK, CHIRSTOPHER | INVESCO MIDCAP CORE EQUITY A | 0.00 | 0.87 | 0.00 | 0.87 | 90.0 | 0.01 |
| 10/17/2016 | WALENCZYK, BRENDA | INVESCO MIDCAP CORE EQUITY A | 0.00 | 0.46 | 0.00 | 0.46 | 90.0 | 0.01 |
| 10/17/2016 | WALENCZYK, CHIRSTOPHER | INVESCO MIDCAP CORE EQUITY A | 0.00 | 0.92 | 0.00 | 0.92 | 90.0 | 0.02 |
| 04/14/2016 | GOLDBERGER, ANNA | INVESCO SENIOR LOAN FUND IB | 0.00 | 8.24 | 0.00 | 8.24 | 90.0 | 0.14 |
| 07/19/2016 | GOLDBERGER, ANNA | INVESCO SENIOR LOAN FUND IB | 0.00 | 8.60 | 0.00 | 8.60 | 90.0 | 0.15 |
| 07/19/2016 | PERETTI, FRANCES | INVESCO SENIOR LOAN FUND IB | 0.00 | 13.06 | 0.00 | 13.06 | 90.0 | 0.22 |
| 10/17/2016 | GOLDBERGER, ANNA | INVESCO SENIOR LOAN FUND IB | 0.00 | 8.96 | 0.00 | 8.96 | 90.0 | 0.15 |
| 10/17/2016 | PERETTI, FRANCES | INVESCO SENIOR LOAN FUND IB | 0.00 | 2.95 | 0.00 | 2.95 | 90.0 | 0.05 |
| 04/14/2016 | BOWERS, DORA | INVESCO SMALL CAP DISCOVERY A | 0.00 | 0.32 | 0.00 | 0.32 | 90.0 | 0.01 |
| 07/19/2016 | BOWERS, DORA | INVESCO SMALL CAP DISCOVERY A | 0.00 | 0.35 | 0.00 | 0.35 | 90.0 | 0.01 |
| 10/17/2016 | BOWERS, DORA | INVESCO SMALL CAP DISCOVERY A | 0.00 | 0.37 | 0.00 | 0.37 | 90.0 | 0.01 |
| 04/14/2016 | FARBMAN, ERIC | INVESCO STRUCTURED CORE A | 0.00 | 13.05 | 0.00 | 13.05 | 90.0 | 0.22 |
| 07/19/2016 | FARBMAN, ERIC | INVESCO STRUCTURED CORE A | 0.00 | 13.96 | 0.00 | 13.96 | 90.0 | 0.24 |
| 10/17/2016 | FARBMAN, ERIC | INVESCO STRUCTURED CORE A | 0.00 | 14.67 | 0.00 | 14.67 | 90.0 | 0.25 |
| 04/14/2016 | WALENCZYK, BRENDA | INVESCO VALUE OPP A | 0.00 | 0.30 | 0.00 | 0.30 | 90.0 | 0.01 |

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| <u> OVERRIDE TRANSACTIONS </u> | | | | | | | | |
| <u> BROKER: MARC, L134 LINSKY #263 </u> | | | | | | | | |
| 04/14/2016 | WALENCZYK, CHIRSTOPHER | INVESCO VALUE OPP A | 0.00 | 0.58 | 0.00 | 0.58 | 90.0 | 0.01 |
| 07/19/2016 | WALENCZYK, BRENDA | INVESCO VALUE OPP A | 0.00 | 0.32 | 0.00 | 0.32 | 90.0 | 0.01 |
| 07/19/2016 | WALENCZYK, CHIRSTOPHER | INVESCO VALUE OPP A | 0.00 | 0.63 | 0.00 | 0.63 | 90.0 | 0.01 |
| 10/17/2016 | WALENCZYK, BRENDA | INVESCO VALUE OPP A | 0.00 | 0.33 | 0.00 | 0.33 | 90.0 | 0.01 |
| 10/17/2016 | WALENCZYK, CHIRSTOPHER | INVESCO VALUE OPP A | 0.00 | 0.64 | 0.00 | 0.64 | 90.0 | 0.01 |
| 02/08/2016 | BOWERS, DORA | JANUS FUND CLASS A | 0.00 | 0.92 | 0.00 | 0.92 | 90.0 | 0.02 |
| 03/09/2016 | BOWERS, DORA | JANUS FUND CLASS A | 0.00 | 0.83 | 0.00 | 0.83 | 90.0 | 0.01 |
| 04/12/2016 | BOWERS, DORA | JANUS FUND CLASS A | 0.00 | 0.94 | 0.00 | 0.94 | 90.0 | 0.02 |
| 05/11/2016 | BOWERS, DORA | JANUS FUND CLASS A | 0.00 | 0.93 | 0.00 | 0.93 | 90.0 | 0.02 |
| 06/14/2016 | BOWERS, DORA | JANUS FUND CLASS A | 0.00 | 0.96 | 0.00 | 0.96 | 90.0 | 0.02 |
| 07/12/2016 | BOWERS, DORA | JANUS FUND CLASS A | 0.00 | 0.93 | 0.00 | 0.93 | 90.0 | 0.02 |
| 08/08/2016 | BOWERS, DORA | JANUS FUND CLASS A | 0.00 | 0.99 | 0.00 | 0.99 | 90.0 | 0.02 |
| 09/12/2016 | BOWERS, DORA | JANUS FUND CLASS A | 0.00 | 1.01 | 0.00 | 1.01 | 90.0 | 0.02 |
| 10/12/2016 | BOWERS, DORA | JANUS FUND CLASS A | 0.00 | 0.97 | 0.00 | 0.97 | 90.0 | 0.02 |
| 11/10/2016 | BOWERS, DORA | JANUS FUND CLASS A | 0.00 | 0.99 | 0.00 | 0.99 | 90.0 | 0.02 |
| 12/15/2016 | BOWERS, DORA | JANUS FUND CLASS A | 0.00 | 0.95 | 0.00 | 0.95 | 90.0 | 0.02 |
| 02/19/2016 | CENTANNI, RICHARD | JP MORGAN MID CAP VALUE FUND CLASS | 0.00 | 0.48 | 0.00 | 0.48 | 90.0 | 0.01 |
| 03/17/2016 | CENTANNI, RICHARD | JP MORGAN MID CAP VALUE FUND CLASS | 0.00 | 0.45 | 0.00 | 0.45 | 90.0 | 0.01 |
| 04/25/2016 | CENTANNI, RICHARD | JP MORGAN MID CAP VALUE FUND CLASS | 0.00 | 0.52 | 0.00 | 0.52 | 90.0 | 0.01 |
| 05/16/2016 | CENTANNI, RICHARD | JP MORGAN MID CAP VALUE FUND CLASS | 0.00 | 0.52 | 0.00 | 0.52 | 90.0 | 0.01 |
| 06/20/2016 | CENTANNI, RICHARD | JP MORGAN MID CAP VALUE FUND CLASS | 0.00 | 0.53 | 0.00 | 0.53 | 90.0 | 0.01 |
| 07/25/2016 | CENTANNI, RICHARD | JP MORGAN MID CAP VALUE FUND CLASS | 0.00 | 0.52 | 0.00 | 0.52 | 90.0 | 0.01 |
| 08/15/2016 | CENTANNI, RICHARD | JP MORGAN MID CAP VALUE FUND CLASS | 0.00 | 0.55 | 0.00 | 0.55 | 90.0 | 0.01 |
| 09/15/2016 | CENTANNI, RICHARD | JP MORGAN MID CAP VALUE FUND CLASS | 0.00 | 0.56 | 0.00 | 0.56 | 90.0 | 0.01 |
| 10/14/2016 | CENTANNI, RICHARD | JP MORGAN MID CAP VALUE FUND CLASS | 0.00 | 0.54 | 0.00 | 0.54 | 90.0 | 0.01 |
| 11/21/2016 | CENTANNI, RICHARD | JP MORGAN MID CAP VALUE FUND CLASS | 0.00 | 0.55 | 0.00 | 0.55 | 90.0 | 0.01 |
| 12/16/2016 | CENTANNI, RICHARD | JP MORGAN MID CAP VALUE FUND CLASS | 0.00 | 0.55 | 0.00 | 0.55 | 90.0 | 0.01 |
| 02/01/2018 | PISANI, CARLA | LINCOLN BENEFIT LIFE | 541.00 | 25.70 | 0.00 | 25.70 | 90.0 | 0.44 |
| 02/01/2018 | PISANI, NICHOLAS | LINCOLN BENEFIT LIFE | 250.00 | 10.00 | 0.00 | 10.00 | 90.0 | 0.17 |
| 04/21/2016 | JACKSON, SHIRLEY | LORD ABBETT AFFILIATED A | 0.00 | 1.73 | 0.00 | 1.73 | 90.0 | 0.03 |
| 05/23/2016 | JACKSON, SHIRLEY | LORD ABBETT AFFILIATED A | 0.00 | 1.71 | 0.00 | 1.71 | 90.0 | 0.03 |
| 06/21/2016 | JACKSON, SHIRLEY | LORD ABBETT AFFILIATED A | 0.00 | 1.77 | 0.00 | 1.77 | 90.0 | 0.03 |
| 07/21/2016 | JACKSON, SHIRLEY | LORD ABBETT AFFILIATED A | 0.00 | 1.73 | 0.00 | 1.73 | 90.0 | 0.03 |

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| <u> OVERRIDE TRANSACTIONS </u> | | | | | | | | |
| <u> BROKER: MARC, L134 LINSKY #263 </u> | | | | | | | | |
| 08/22/2016 | JACKSON, SHIRLEY | LORD ABBETT AFFILIATED A | 0.00 | 1.85 | 0.00 | 1.85 | 90.0 | 0.03 |
| 09/21/2016 | JACKSON, SHIRLEY | LORD ABBETT AFFILIATED A | 0.00 | 1.87 | 0.00 | 1.87 | 90.0 | 0.03 |
| 10/20/2016 | JACKSON, SHIRLEY | LORD ABBETT AFFILIATED A | 0.00 | 1.80 | 0.00 | 1.80 | 90.0 | 0.03 |
| 11/21/2016 | JACKSON, SHIRLEY | LORD ABBETT AFFILIATED A | 0.00 | 1.85 | 0.00 | 1.85 | 90.0 | 0.03 |
| 12/21/2016 | JACKSON, SHIRLEY | LORD ABBETT AFFILIATED A | 0.00 | 1.85 | 0.00 | 1.85 | 90.0 | 0.03 |
| 02/22/2016 | MEDIA ENTERPRISES | LORD ABBETT BOND DEBENTURE A | 0.00 | 2.48 | 0.00 | 2.48 | 90.0 | 0.04 |
| 02/22/2016 | MEDIA ENTERPRISES | LORD ABBETT BOND DEBENTURE A | 0.00 | 1.74 | 0.00 | 1.74 | 90.0 | 0.03 |
| 02/22/2016 | LA CORTE, CYNTHIA | LORD ABBETT BOND DEBENTURE A | 0.00 | 1.62 | 0.00 | 1.62 | 90.0 | 0.03 |
| 02/22/2016 | DEBRIELLE-HEALEY, ELIZABETH | LORD ABBETT BOND DEBENTURE A | 0.00 | 2.31 | 0.00 | 2.31 | 90.0 | 0.04 |
| 02/22/2016 | GUERRIERI, BERNICE | LORD ABBETT BOND DEBENTURE A | 0.00 | 0.67 | 0.00 | 0.67 | 90.0 | 0.01 |
| 02/22/2016 | LAISO, MICHAEL | LORD ABBETT BOND DEBENTURE A | 0.00 | 7.13 | 0.00 | 7.13 | 90.0 | 0.12 |
| 02/22/2016 | STRAUS, KAREN | LORD ABBETT BOND DEBENTURE A | 0.00 | 2.26 | 0.00 | 2.26 | 90.0 | 0.04 |
| 03/22/2016 | MEDIA ENTERPRISES | LORD ABBETT BOND DEBENTURE A | 0.00 | 2.28 | 0.00 | 2.28 | 90.0 | 0.04 |
| 03/22/2016 | MEDIA ENTERPRISES | LORD ABBETT BOND DEBENTURE A | 0.00 | 1.59 | 0.00 | 1.59 | 90.0 | 0.03 |
| 03/22/2016 | LA CORTE, CYNTHIA | LORD ABBETT BOND DEBENTURE A | 0.00 | 1.40 | 0.00 | 1.40 | 90.0 | 0.02 |
| 03/22/2016 | DEBRIELLE-HEALEY, ELIZABETH | LORD ABBETT BOND DEBENTURE A | 0.00 | 2.12 | 0.00 | 2.12 | 90.0 | 0.04 |
| 03/22/2016 | GUERRIERI, BERNICE | LORD ABBETT BOND DEBENTURE A | 0.00 | 0.61 | 0.00 | 0.61 | 90.0 | 0.01 |
| 03/22/2016 | LAISO, MICHAEL | LORD ABBETT BOND DEBENTURE A | 0.00 | 6.52 | 0.00 | 6.52 | 90.0 | 0.11 |
| 03/22/2016 | STRAUS, KAREN | LORD ABBETT BOND DEBENTURE A | 0.00 | 2.08 | 0.00 | 2.08 | 90.0 | 0.04 |
| 04/21/2016 | MEDIA ENTERPRISES | LORD ABBETT BOND DEBENTURE A | 0.00 | 2.54 | 0.00 | 2.54 | 90.0 | 0.04 |
| 04/21/2016 | MEDIA ENTERPRISES | LORD ABBETT BOND DEBENTURE A | 0.00 | 1.78 | 0.00 | 1.78 | 90.0 | 0.03 |
| 04/21/2016 | LA CORTE, CYNTHIA | LORD ABBETT BOND DEBENTURE A | 0.00 | 1.48 | 0.00 | 1.48 | 90.0 | 0.03 |
| 04/21/2016 | DEBRIELLE-HEALEY, ELIZABETH | LORD ABBETT BOND DEBENTURE A | 0.00 | 2.36 | 0.00 | 2.36 | 90.0 | 0.04 |
| 04/21/2016 | LAISO, MICHAEL | LORD ABBETT BOND DEBENTURE A | 0.00 | 7.24 | 0.00 | 7.24 | 90.0 | 0.12 |
| 04/21/2016 | STRAUS, KAREN | LORD ABBETT BOND DEBENTURE A | 0.00 | 2.32 | 0.00 | 2.32 | 90.0 | 0.04 |
| 05/23/2016 | MEDIA ENTERPRISES | LORD ABBETT BOND DEBENTURE A | 0.00 | 2.52 | 0.00 | 2.52 | 90.0 | 0.04 |
| 05/23/2016 | MEDIA ENTERPRISES | LORD ABBETT BOND DEBENTURE A | 0.00 | 1.76 | 0.00 | 1.76 | 90.0 | 0.03 |
| 05/23/2016 | LA CORTE, CYNTHIA | LORD ABBETT BOND DEBENTURE A | 0.00 | 1.38 | 0.00 | 1.38 | 90.0 | 0.02 |
| 05/23/2016 | DEBRIELLE-HEALEY, ELIZABETH | LORD ABBETT BOND DEBENTURE A | 0.00 | 2.34 | 0.00 | 2.34 | 90.0 | 0.04 |
| 05/23/2016 | LAISO, MICHAEL | LORD ABBETT BOND DEBENTURE A | 0.00 | 7.15 | 0.00 | 7.15 | 90.0 | 0.12 |
| 05/23/2016 | STRAUS, KAREN | LORD ABBETT BOND DEBENTURE A | 0.00 | 2.29 | 0.00 | 2.29 | 90.0 | 0.04 |
| 06/21/2016 | MEDIA ENTERPRISES | LORD ABBETT BOND DEBENTURE A | 0.00 | 2.63 | 0.00 | 2.63 | 90.0 | 0.04 |
| 06/21/2016 | MEDIA ENTERPRISES | LORD ABBETT BOND DEBENTURE A | 0.00 | 1.84 | 0.00 | 1.84 | 90.0 | 0.03 |

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| <u> OVERRIDE TRANSACTIONS </u> | | | | | | | | |
| <u> BROKER: MARC, L134 LINSKY #263 </u> | | | | | | | | |
| 06/21/2016 | LA CORTE, CYNTHIA | LORD ABBETT BOND DEBENTURE A | 0.00 | 1.36 | 0.00 | 1.36 | 90.0 | 0.02 |
| 06/21/2016 | DEBRIELLE-HEALEY, ELIZABETH | LORD ABBETT BOND DEBENTURE A | 0.00 | 2.45 | 0.00 | 2.45 | 90.0 | 0.04 |
| 06/21/2016 | LAISO, MICHAEL | LORD ABBETT BOND DEBENTURE A | 0.00 | 7.44 | 0.00 | 7.44 | 90.0 | 0.13 |
| 06/21/2016 | STRAUS, KAREN | LORD ABBETT BOND DEBENTURE A | 0.00 | 2.40 | 0.00 | 2.40 | 90.0 | 0.04 |
| 07/21/2016 | MEDIA ENTERPRISES | LORD ABBETT BOND DEBENTURE A | 0.00 | 2.58 | 0.00 | 2.58 | 90.0 | 0.04 |
| 07/21/2016 | MEDIA ENTERPRISES | LORD ABBETT BOND DEBENTURE A | 0.00 | 1.80 | 0.00 | 1.80 | 90.0 | 0.03 |
| 07/21/2016 | LA CORTE, CYNTHIA | LORD ABBETT BOND DEBENTURE A | 0.00 | 1.25 | 0.00 | 1.25 | 90.0 | 0.02 |
| 07/21/2016 | DEBRIELLE-HEALEY, ELIZABETH | LORD ABBETT BOND DEBENTURE A | 0.00 | 2.40 | 0.00 | 2.40 | 90.0 | 0.04 |
| 07/21/2016 | LAISO, MICHAEL | LORD ABBETT BOND DEBENTURE A | 0.00 | 7.26 | 0.00 | 7.26 | 90.0 | 0.12 |
| 07/21/2016 | STRAUS, KAREN | LORD ABBETT BOND DEBENTURE A | 0.00 | 2.35 | 0.00 | 2.35 | 90.0 | 0.04 |
| 08/22/2016 | MEDIA ENTERPRISES | LORD ABBETT BOND DEBENTURE A | 0.00 | 2.74 | 0.00 | 2.74 | 90.0 | 0.05 |
| 08/22/2016 | MEDIA ENTERPRISES | LORD ABBETT BOND DEBENTURE A | 0.00 | 1.91 | 0.00 | 1.91 | 90.0 | 0.03 |
| 08/22/2016 | LA CORTE, CYNTHIA | LORD ABBETT BOND DEBENTURE A | 0.00 | 1.24 | 0.00 | 1.24 | 90.0 | 0.02 |
| 08/22/2016 | DEBRIELLE-HEALEY, ELIZABETH | LORD ABBETT BOND DEBENTURE A | 0.00 | 2.54 | 0.00 | 2.54 | 90.0 | 0.04 |
| 08/22/2016 | LAISO, MICHAEL | LORD ABBETT BOND DEBENTURE A | 0.00 | 7.67 | 0.00 | 7.67 | 90.0 | 0.13 |
| 08/22/2016 | STRAUS, KAREN | LORD ABBETT BOND DEBENTURE A | 0.00 | 2.49 | 0.00 | 2.49 | 90.0 | 0.04 |
| 09/21/2016 | MEDIA ENTERPRISES | LORD ABBETT BOND DEBENTURE A | 0.00 | 2.78 | 0.00 | 2.78 | 90.0 | 0.05 |
| 09/21/2016 | MEDIA ENTERPRISES | LORD ABBETT BOND DEBENTURE A | 0.00 | 1.94 | 0.00 | 1.94 | 90.0 | 0.03 |
| 09/21/2016 | LA CORTE, CYNTHIA | LORD ABBETT BOND DEBENTURE A | 0.00 | 1.17 | 0.00 | 1.17 | 90.0 | 0.02 |
| 09/21/2016 | DEBRIELLE-HEALEY, ELIZABETH | LORD ABBETT BOND DEBENTURE A | 0.00 | 2.58 | 0.00 | 2.58 | 90.0 | 0.04 |
| 09/21/2016 | LAISO, MICHAEL | LORD ABBETT BOND DEBENTURE A | 0.00 | 7.77 | 0.00 | 7.77 | 90.0 | 0.13 |
| 09/21/2016 | STRAUS, KAREN | LORD ABBETT BOND DEBENTURE A | 0.00 | 2.53 | 0.00 | 2.53 | 90.0 | 0.04 |
| 10/20/2016 | MEDIA ENTERPRISES | LORD ABBETT BOND DEBENTURE A | 0.00 | 2.70 | 0.00 | 2.70 | 90.0 | 0.05 |
| 10/20/2016 | MEDIA ENTERPRISES | LORD ABBETT BOND DEBENTURE A | 0.00 | 1.89 | 0.00 | 1.89 | 90.0 | 0.03 |
| 10/20/2016 | LA CORTE, CYNTHIA | LORD ABBETT BOND DEBENTURE A | 0.00 | 1.06 | 0.00 | 1.06 | 90.0 | 0.02 |
| 10/20/2016 | DEBRIELLE-HEALEY, ELIZABETH | LORD ABBETT BOND DEBENTURE A | 0.00 | 2.51 | 0.00 | 2.51 | 90.0 | 0.04 |
| 10/20/2016 | LAISO, MICHAEL | LORD ABBETT BOND DEBENTURE A | 0.00 | 7.52 | 0.00 | 7.52 | 90.0 | 0.13 |
| 10/20/2016 | STRAUS, KAREN | LORD ABBETT BOND DEBENTURE A | 0.00 | 2.46 | 0.00 | 2.46 | 90.0 | 0.04 |
| 11/21/2016 | MEDIA ENTERPRISES | LORD ABBETT BOND DEBENTURE A | 0.00 | 2.81 | 0.00 | 2.81 | 90.0 | 0.05 |
| 11/21/2016 | MEDIA ENTERPRISES | LORD ABBETT BOND DEBENTURE A | 0.00 | 1.97 | 0.00 | 1.97 | 90.0 | 0.03 |
| 11/21/2016 | LA CORTE, CYNTHIA | LORD ABBETT BOND DEBENTURE A | 0.00 | 1.03 | 0.00 | 1.03 | 90.0 | 0.02 |
| 11/21/2016 | DEBRIELLE-HEALEY, ELIZABETH | LORD ABBETT BOND DEBENTURE A | 0.00 | 2.61 | 0.00 | 2.61 | 90.0 | 0.04 |
| 11/21/2016 | LAISO, MICHAEL | LORD ABBETT BOND DEBENTURE A | 0.00 | 7.80 | 0.00 | 7.80 | 90.0 | 0.13 |

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|--|------------------------------|------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u> OVERRIDE TRANSACTIONS </u> | | | | | | | | |
| <u> BROKER: MARC, L134 LINSKY #263 </u> | | | | | | | | |
| 11/21/2016 | STRAUS, KAREN | LORD ABBETT BOND DEBENTURE A | 0.00 | 2.48 | 0.00 | 2.48 | 90.0 | 0.04 |
| 12/21/2016 | MEDIA ENTERPRISES | LORD ABBETT BOND DEBENTURE A | 0.00 | 2.70 | 0.00 | 2.70 | 90.0 | 0.05 |
| 12/21/2016 | MEDIA ENTERPRISES | LORD ABBETT BOND DEBENTURE A | 0.00 | 1.89 | 0.00 | 1.89 | 90.0 | 0.03 |
| 12/21/2016 | LA CORTE, CYNTHIA | LORD ABBETT BOND DEBENTURE A | 0.00 | 0.89 | 0.00 | 0.89 | 90.0 | 0.02 |
| 12/21/2016 | DEBRIELLE-HEALEY, ELIZABETH | LORD ABBETT BOND DEBENTURE A | 0.00 | 2.51 | 0.00 | 2.51 | 90.0 | 0.04 |
| 12/21/2016 | LAISO, MICHAEL | LORD ABBETT BOND DEBENTURE A | 0.00 | 7.45 | 0.00 | 7.45 | 90.0 | 0.13 |
| 12/21/2016 | STRAUS, KAREN | LORD ABBETT BOND DEBENTURE A | 0.00 | 2.38 | 0.00 | 2.38 | 90.0 | 0.04 |
| 02/22/2016 | CHERRY, ADAM | LORD ABBETT BOND DEBENTURE C | 0.00 | 96.93 | 0.00 | 96.93 | 90.0 | 1.65 |
| 02/22/2016 | HUDSON TRUST OF 2000, ROBERT | LORD ABBETT BOND DEBENTURE C | 0.00 | 99.30 | 0.00 | 99.30 | 90.0 | 1.69 |
| 02/22/2016 | YANKOWITZ, HARRIETT | LORD ABBETT BOND DEBENTURE C | 0.00 | 23.86 | 0.00 | 23.86 | 90.0 | 0.41 |
| 02/22/2016 | TOBIAS, DAVID | LORD ABBETT BOND DEBENTURE C | 0.00 | 17.92 | 0.00 | 17.92 | 90.0 | 0.30 |
| 03/22/2016 | CHERRY, ADAM | LORD ABBETT BOND DEBENTURE C | 0.00 | 88.95 | 0.00 | 88.95 | 90.0 | 1.51 |
| 03/22/2016 | HUDSON TRUST OF 2000, ROBERT | LORD ABBETT BOND DEBENTURE C | 0.00 | 91.12 | 0.00 | 91.12 | 90.0 | 1.55 |
| 03/22/2016 | YANKOWITZ, HARRIETT | LORD ABBETT BOND DEBENTURE C | 0.00 | 21.90 | 0.00 | 21.90 | 90.0 | 0.37 |
| 03/22/2016 | TOBIAS, DAVID | LORD ABBETT BOND DEBENTURE C | 0.00 | 16.39 | 0.00 | 16.39 | 90.0 | 0.28 |
| 04/21/2016 | CHERRY, ADAM | LORD ABBETT BOND DEBENTURE C | 0.00 | 99.07 | 0.00 | 99.07 | 90.0 | 1.68 |
| 04/21/2016 | HUDSON TRUST OF 2000, ROBERT | LORD ABBETT BOND DEBENTURE C | 0.00 | 101.50 | 0.00 | 101.50 | 90.0 | 1.73 |
| 04/21/2016 | YANKOWITZ, HARRIETT | LORD ABBETT BOND DEBENTURE C | 0.00 | 24.39 | 0.00 | 24.39 | 90.0 | 0.41 |
| 04/21/2016 | TOBIAS, DAVID | LORD ABBETT BOND DEBENTURE C | 0.00 | 18.21 | 0.00 | 18.21 | 90.0 | 0.31 |
| 05/23/2016 | CHERRY, ADAM | LORD ABBETT BOND DEBENTURE C | 0.00 | 98.10 | 0.00 | 98.10 | 90.0 | 1.67 |
| 05/23/2016 | HUDSON TRUST OF 2000, ROBERT | LORD ABBETT BOND DEBENTURE C | 0.00 | 100.50 | 0.00 | 100.50 | 90.0 | 1.71 |
| 05/23/2016 | YANKOWITZ, HARRIETT | LORD ABBETT BOND DEBENTURE C | 0.00 | 24.15 | 0.00 | 24.15 | 90.0 | 0.41 |
| 05/23/2016 | TOBIAS, DAVID | LORD ABBETT BOND DEBENTURE C | 0.00 | 17.97 | 0.00 | 17.97 | 90.0 | 0.31 |
| 06/21/2016 | CHERRY, ADAM | LORD ABBETT BOND DEBENTURE C | 0.00 | 102.45 | 0.00 | 102.45 | 90.0 | 1.74 |
| 06/21/2016 | HUDSON TRUST OF 2000, ROBERT | LORD ABBETT BOND DEBENTURE C | 0.00 | 104.95 | 0.00 | 104.95 | 90.0 | 1.78 |
| 06/21/2016 | YANKOWITZ, HARRIETT | LORD ABBETT BOND DEBENTURE C | 0.00 | 25.22 | 0.00 | 25.22 | 90.0 | 0.43 |
| 06/21/2016 | TOBIAS, DAVID | LORD ABBETT BOND DEBENTURE C | 0.00 | 18.71 | 0.00 | 18.71 | 90.0 | 0.32 |
| 07/21/2016 | CHERRY, ADAM | LORD ABBETT BOND DEBENTURE C | 0.00 | 100.26 | 0.00 | 100.26 | 90.0 | 1.70 |
| 07/21/2016 | HUDSON TRUST OF 2000, ROBERT | LORD ABBETT BOND DEBENTURE C | 0.00 | 102.71 | 0.00 | 102.71 | 90.0 | 1.75 |
| 07/21/2016 | YANKOWITZ, HARRIETT | LORD ABBETT BOND DEBENTURE C | 0.00 | 24.68 | 0.00 | 24.68 | 90.0 | 0.42 |
| 07/21/2016 | TOBIAS, DAVID | LORD ABBETT BOND DEBENTURE C | 0.00 | 18.26 | 0.00 | 18.26 | 90.0 | 0.31 |
| 08/22/2016 | CHERRY, ADAM | LORD ABBETT BOND DEBENTURE C | 0.00 | 106.35 | 0.00 | 106.35 | 90.0 | 1.81 |
| 08/22/2016 | HUDSON TRUST OF 2000, ROBERT | LORD ABBETT BOND DEBENTURE C | 0.00 | 108.95 | 0.00 | 108.95 | 90.0 | 1.85 |

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|--|------------------------------|----------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u> OVERRIDE TRANSACTIONS </u> | | | | | | | | |
| <u> BROKER: MARC, L134 LINSKY #263 </u> | | | | | | | | |
| 08/22/2016 | YANKOWITZ, HARRIETT | LORD ABBETT BOND DEBENTURE C | 0.00 | 26.18 | 0.00 | 26.18 | 90.0 | 0.45 |
| 08/22/2016 | TOBIAS, DAVID | LORD ABBETT BOND DEBENTURE C | 0.00 | 19.29 | 0.00 | 19.29 | 90.0 | 0.33 |
| 09/21/2016 | CHERRY, ADAM | LORD ABBETT BOND DEBENTURE C | 0.00 | 108.77 | 0.00 | 108.77 | 90.0 | 1.85 |
| 09/21/2016 | HUDSON TRUST OF 2000, ROBERT | LORD ABBETT BOND DEBENTURE C | 0.00 | 111.43 | 0.00 | 111.43 | 90.0 | 1.89 |
| 09/21/2016 | YANKOWITZ, HARRIETT | LORD ABBETT BOND DEBENTURE C | 0.00 | 26.78 | 0.00 | 26.78 | 90.0 | 0.46 |
| 09/21/2016 | TOBIAS, DAVID | LORD ABBETT BOND DEBENTURE C | 0.00 | 19.54 | 0.00 | 19.54 | 90.0 | 0.33 |
| 10/20/2016 | CHERRY, ADAM | LORD ABBETT BOND DEBENTURE C | 0.00 | 105.58 | 0.00 | 105.58 | 90.0 | 1.79 |
| 10/20/2016 | HUDSON TRUST OF 2000, ROBERT | LORD ABBETT BOND DEBENTURE C | 0.00 | 108.16 | 0.00 | 108.16 | 90.0 | 1.84 |
| 10/20/2016 | YANKOWITZ, HARRIETT | LORD ABBETT BOND DEBENTURE C | 0.00 | 25.99 | 0.00 | 25.99 | 90.0 | 0.44 |
| 10/20/2016 | TOBIAS, DAVID | LORD ABBETT BOND DEBENTURE C | 0.00 | 18.91 | 0.00 | 18.91 | 90.0 | 0.32 |
| 11/21/2016 | CHERRY, ADAM | LORD ABBETT BOND DEBENTURE C | 0.00 | 109.81 | 0.00 | 109.81 | 90.0 | 1.87 |
| 11/21/2016 | HUDSON TRUST OF 2000, ROBERT | LORD ABBETT BOND DEBENTURE C | 0.00 | 112.50 | 0.00 | 112.50 | 90.0 | 1.91 |
| 11/21/2016 | YANKOWITZ, HARRIETT | LORD ABBETT BOND DEBENTURE C | 0.00 | 27.03 | 0.00 | 27.03 | 90.0 | 0.46 |
| 11/21/2016 | TOBIAS, DAVID | LORD ABBETT BOND DEBENTURE C | 0.00 | 19.60 | 0.00 | 19.60 | 90.0 | 0.33 |
| 12/21/2016 | CHERRY, ADAM | LORD ABBETT BOND DEBENTURE C | 0.00 | 105.30 | 0.00 | 105.30 | 90.0 | 1.79 |
| 12/21/2016 | HUDSON TRUST OF 2000, ROBERT | LORD ABBETT BOND DEBENTURE C | 0.00 | 107.88 | 0.00 | 107.88 | 90.0 | 1.83 |
| 12/21/2016 | YANKOWITZ, HARRIETT | LORD ABBETT BOND DEBENTURE C | 0.00 | 25.92 | 0.00 | 25.92 | 90.0 | 0.44 |
| 12/21/2016 | TOBIAS, DAVID | LORD ABBETT BOND DEBENTURE C | 0.00 | 18.74 | 0.00 | 18.74 | 90.0 | 0.32 |
| 02/22/2016 | LINSKY, LISA | LORD ABBETT FUNDAMENTAL EQUITY A | 0.00 | 0.68 | 0.00 | 0.68 | 90.0 | 0.01 |
| 02/22/2016 | MEDIA ENTERPRISES | LORD ABBETT FUNDAMENTAL EQUITY A | 0.00 | 4.06 | 0.00 | 4.06 | 90.0 | 0.07 |
| 02/22/2016 | MEDIA ENTERPRISES | LORD ABBETT FUNDAMENTAL EQUITY A | 0.00 | 3.15 | 0.00 | 3.15 | 90.0 | 0.05 |
| 02/22/2016 | MEDIA ENTERPRISES | LORD ABBETT FUNDAMENTAL EQUITY A | 0.00 | 3.29 | 0.00 | 3.29 | 90.0 | 0.06 |
| 03/22/2016 | LINSKY, LISA | LORD ABBETT FUNDAMENTAL EQUITY A | 0.00 | 0.63 | 0.00 | 0.63 | 90.0 | 0.01 |
| 03/22/2016 | MEDIA ENTERPRISES | LORD ABBETT FUNDAMENTAL EQUITY A | 0.00 | 3.74 | 0.00 | 3.74 | 90.0 | 0.06 |
| 03/22/2016 | MEDIA ENTERPRISES | LORD ABBETT FUNDAMENTAL EQUITY A | 0.00 | 2.91 | 0.00 | 2.91 | 90.0 | 0.05 |
| 03/22/2016 | MEDIA ENTERPRISES | LORD ABBETT FUNDAMENTAL EQUITY A | 0.00 | 3.03 | 0.00 | 3.03 | 90.0 | 0.05 |
| 04/21/2016 | LINSKY, LISA | LORD ABBETT FUNDAMENTAL EQUITY A | 0.00 | 0.72 | 0.00 | 0.72 | 90.0 | 0.01 |
| 04/21/2016 | MEDIA ENTERPRISES | LORD ABBETT FUNDAMENTAL EQUITY A | 0.00 | 4.26 | 0.00 | 4.26 | 90.0 | 0.07 |
| 04/21/2016 | MEDIA ENTERPRISES | LORD ABBETT FUNDAMENTAL EQUITY A | 0.00 | 3.30 | 0.00 | 3.30 | 90.0 | 0.06 |
| 04/21/2016 | MEDIA ENTERPRISES | LORD ABBETT FUNDAMENTAL EQUITY A | 0.00 | 3.44 | 0.00 | 3.44 | 90.0 | 0.06 |
| 05/23/2016 | LINSKY, LISA | LORD ABBETT FUNDAMENTAL EQUITY A | 0.00 | 0.71 | 0.00 | 0.71 | 90.0 | 0.01 |
| 05/23/2016 | MEDIA ENTERPRISES | LORD ABBETT FUNDAMENTAL EQUITY A | 0.00 | 4.24 | 0.00 | 4.24 | 90.0 | 0.07 |
| 05/23/2016 | MEDIA ENTERPRISES | LORD ABBETT FUNDAMENTAL EQUITY A | 0.00 | 3.29 | 0.00 | 3.29 | 90.0 | 0.06 |

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|---------------------------------------|-------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u>VERRIDE TRANSACTIONS</u> | | | | | | | | |
| BROKER: MARC, L134 LINSKY #263 | | | | | | | | |
| 05/23/2016 | MEDIA ENTERPRISES | LORD ABBETT FUNDAMENTAL EQUITY A | 0.00 | 3.43 | 0.00 | 3.43 | 90.0 | 0.06 |
| 06/21/2016 | LINSKY, LISA | LORD ABBETT FUNDAMENTAL EQUITY A | 0.00 | 0.74 | 0.00 | 0.74 | 90.0 | 0.01 |
| 06/21/2016 | MEDIA ENTERPRISES | LORD ABBETT FUNDAMENTAL EQUITY A | 0.00 | 4.43 | 0.00 | 4.43 | 90.0 | 0.08 |
| 06/21/2016 | MEDIA ENTERPRISES | LORD ABBETT FUNDAMENTAL EQUITY A | 0.00 | 3.44 | 0.00 | 3.44 | 90.0 | 0.06 |
| 06/21/2016 | MEDIA ENTERPRISES | LORD ABBETT FUNDAMENTAL EQUITY A | 0.00 | 3.58 | 0.00 | 3.58 | 90.0 | 0.06 |
| 07/21/2016 | LINSKY, LISA | LORD ABBETT FUNDAMENTAL EQUITY A | 0.00 | 0.73 | 0.00 | 0.73 | 90.0 | 0.01 |
| 07/21/2016 | MEDIA ENTERPRISES | LORD ABBETT FUNDAMENTAL EQUITY A | 0.00 | 4.34 | 0.00 | 4.34 | 90.0 | 0.07 |
| 07/21/2016 | MEDIA ENTERPRISES | LORD ABBETT FUNDAMENTAL EQUITY A | 0.00 | 3.36 | 0.00 | 3.36 | 90.0 | 0.06 |
| 07/21/2016 | MEDIA ENTERPRISES | LORD ABBETT FUNDAMENTAL EQUITY A | 0.00 | 3.51 | 0.00 | 3.51 | 90.0 | 0.06 |
| 08/22/2016 | LINSKY, LISA | LORD ABBETT FUNDAMENTAL EQUITY A | 0.00 | 0.77 | 0.00 | 0.77 | 90.0 | 0.01 |
| 08/22/2016 | MEDIA ENTERPRISES | LORD ABBETT FUNDAMENTAL EQUITY A | 0.00 | 4.59 | 0.00 | 4.59 | 90.0 | 0.08 |
| 08/22/2016 | MEDIA ENTERPRISES | LORD ABBETT FUNDAMENTAL EQUITY A | 0.00 | 3.56 | 0.00 | 3.56 | 90.0 | 0.06 |
| 08/22/2016 | MEDIA ENTERPRISES | LORD ABBETT FUNDAMENTAL EQUITY A | 0.00 | 3.23 | 0.00 | 3.23 | 90.0 | 0.05 |
| 09/21/2016 | LINSKY, LISA | LORD ABBETT FUNDAMENTAL EQUITY A | 0.00 | 0.78 | 0.00 | 0.78 | 90.0 | 0.01 |
| 09/21/2016 | MEDIA ENTERPRISES | LORD ABBETT FUNDAMENTAL EQUITY A | 0.00 | 4.66 | 0.00 | 4.66 | 90.0 | 0.08 |
| 09/21/2016 | MEDIA ENTERPRISES | LORD ABBETT FUNDAMENTAL EQUITY A | 0.00 | 3.61 | 0.00 | 3.61 | 90.0 | 0.06 |
| 10/20/2016 | LINSKY, LISA | LORD ABBETT FUNDAMENTAL EQUITY A | 0.00 | 0.75 | 0.00 | 0.75 | 90.0 | 0.01 |
| 10/20/2016 | MEDIA ENTERPRISES | LORD ABBETT FUNDAMENTAL EQUITY A | 0.00 | 4.48 | 0.00 | 4.48 | 90.0 | 0.08 |
| 10/20/2016 | MEDIA ENTERPRISES | LORD ABBETT FUNDAMENTAL EQUITY A | 0.00 | 3.48 | 0.00 | 3.48 | 90.0 | 0.06 |
| 11/21/2016 | LINSKY, LISA | LORD ABBETT FUNDAMENTAL EQUITY A | 0.00 | 0.78 | 0.00 | 0.78 | 90.0 | 0.01 |
| 11/21/2016 | MEDIA ENTERPRISES | LORD ABBETT FUNDAMENTAL EQUITY A | 0.00 | 4.64 | 0.00 | 4.64 | 90.0 | 0.08 |
| 11/21/2016 | MEDIA ENTERPRISES | LORD ABBETT FUNDAMENTAL EQUITY A | 0.00 | 3.60 | 0.00 | 3.60 | 90.0 | 0.06 |
| 12/21/2016 | LINSKY, LISA | LORD ABBETT FUNDAMENTAL EQUITY A | 0.00 | 0.77 | 0.00 | 0.77 | 90.0 | 0.01 |
| 12/21/2016 | MEDIA ENTERPRISES | LORD ABBETT FUNDAMENTAL EQUITY A | 0.00 | 4.60 | 0.00 | 4.60 | 90.0 | 0.08 |
| 12/21/2016 | MEDIA ENTERPRISES | LORD ABBETT FUNDAMENTAL EQUITY A | 0.00 | 3.57 | 0.00 | 3.57 | 90.0 | 0.06 |
| 02/15/2018 | MEDIA ENTERPRISES | LORD ABBETT FUNDAMENTAL EQUITY A | 1,562.85 | 50.79 | 22.00 | 28.79 | 90.0 | 0.49 |
| 02/15/2018 | MEDIA ENTERPRISES | LORD ABBETT FUNDAMENTAL EQUITY A | 1,318.23 | 42.84 | 22.00 | 20.84 | 90.0 | 0.35 |
| 02/15/2018 | MEDIA ENTERPRISES | LORD ABBETT FUNDAMENTAL EQUITY A | 462.06 | 15.02 | 22.00 | -6.98 | 90.0 | -0.12 |
| 02/15/2018 | MEDIA ENTERPRISES | LORD ABBETT FUNDAMENTAL EQUITY A | 502.83 | 16.34 | 22.00 | -5.66 | 90.0 | -0.10 |
| 02/22/2018 | ROMERO, MARIA | LORD ABBETT FUNDAMENTAL EQUITY A | 995.72 | 49.79 | 22.00 | 27.79 | 90.0 | 0.47 |
| 02/22/2016 | MILGRAM, EVE | LORD ABBETT FUNDAMENTAL EQUITY CL C | 0.00 | 7.33 | 0.00 | 7.33 | 90.0 | 0.12 |
| 02/22/2016 | TAROFF, DANIELLE | LORD ABBETT FUNDAMENTAL EQUITY CL C | 0.00 | 8.23 | 0.00 | 8.23 | 90.0 | 0.14 |
| 02/22/2016 | TAROFF, DANIELLE | LORD ABBETT FUNDAMENTAL EQUITY CL C | 0.00 | 4.47 | 0.00 | 4.47 | 90.0 | 0.08 |

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|--|---------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u> OVERRIDE TRANSACTIONS </u> | | | | | | | | |
| <u> BROKER: MARC, L134 LINSKY #263 </u> | | | | | | | | |
| 02/22/2016 | OLIVETI, NICOLE | LORD ABBETT FUNDAMENTAL EQUITY CL C | 0.00 | 4.67 | 0.00 | 4.67 | 90.0 | 0.08 |
| 02/22/2016 | YANKOWITZ, HARRIETT | LORD ABBETT FUNDAMENTAL EQUITY CL C | 0.00 | 12.25 | 0.00 | 12.25 | 90.0 | 0.21 |
| 03/22/2016 | MILGRAM, EVE | LORD ABBETT FUNDAMENTAL EQUITY CL C | 0.00 | 6.75 | 0.00 | 6.75 | 90.0 | 0.11 |
| 03/22/2016 | TAROFF, DANIELLE | LORD ABBETT FUNDAMENTAL EQUITY CL C | 0.00 | 7.58 | 0.00 | 7.58 | 90.0 | 0.13 |
| 03/22/2016 | TAROFF, DANIELLE | LORD ABBETT FUNDAMENTAL EQUITY CL C | 0.00 | 4.12 | 0.00 | 4.12 | 90.0 | 0.07 |
| 03/22/2016 | OLIVETI, NICOLE | LORD ABBETT FUNDAMENTAL EQUITY CL C | 0.00 | 4.30 | 0.00 | 4.30 | 90.0 | 0.07 |
| 03/22/2016 | YANKOWITZ, HARRIETT | LORD ABBETT FUNDAMENTAL EQUITY CL C | 0.00 | 11.29 | 0.00 | 11.29 | 90.0 | 0.19 |
| 04/21/2016 | MILGRAM, EVE | LORD ABBETT FUNDAMENTAL EQUITY CL C | 0.00 | 7.67 | 0.00 | 7.67 | 90.0 | 0.13 |
| 04/21/2016 | TAROFF, DANIELLE | LORD ABBETT FUNDAMENTAL EQUITY CL C | 0.00 | 8.61 | 0.00 | 8.61 | 90.0 | 0.15 |
| 04/21/2016 | TAROFF, DANIELLE | LORD ABBETT FUNDAMENTAL EQUITY CL C | 0.00 | 4.68 | 0.00 | 4.68 | 90.0 | 0.08 |
| 04/21/2016 | OLIVETI, NICOLE | LORD ABBETT FUNDAMENTAL EQUITY CL C | 0.00 | 4.89 | 0.00 | 4.89 | 90.0 | 0.08 |
| 04/21/2016 | YANKOWITZ, HARRIETT | LORD ABBETT FUNDAMENTAL EQUITY CL C | 0.00 | 12.82 | 0.00 | 12.82 | 90.0 | 0.22 |
| 05/23/2016 | MILGRAM, EVE | LORD ABBETT FUNDAMENTAL EQUITY CL C | 0.00 | 7.64 | 0.00 | 7.64 | 90.0 | 0.13 |
| 05/23/2016 | TAROFF, DANIELLE | LORD ABBETT FUNDAMENTAL EQUITY CL C | 0.00 | 8.58 | 0.00 | 8.58 | 90.0 | 0.15 |
| 05/23/2016 | TAROFF, DANIELLE | LORD ABBETT FUNDAMENTAL EQUITY CL C | 0.00 | 4.66 | 0.00 | 4.66 | 90.0 | 0.08 |
| 05/23/2016 | OLIVETI, NICOLE | LORD ABBETT FUNDAMENTAL EQUITY CL C | 0.00 | 4.87 | 0.00 | 4.87 | 90.0 | 0.08 |
| 05/23/2016 | YANKOWITZ, HARRIETT | LORD ABBETT FUNDAMENTAL EQUITY CL C | 0.00 | 12.78 | 0.00 | 12.78 | 90.0 | 0.22 |
| 06/21/2016 | MILGRAM, EVE | LORD ABBETT FUNDAMENTAL EQUITY CL C | 0.00 | 7.97 | 0.00 | 7.97 | 90.0 | 0.14 |
| 06/21/2016 | TAROFF, DANIELLE | LORD ABBETT FUNDAMENTAL EQUITY CL C | 0.00 | 8.95 | 0.00 | 8.95 | 90.0 | 0.15 |
| 06/21/2016 | TAROFF, DANIELLE | LORD ABBETT FUNDAMENTAL EQUITY CL C | 0.00 | 4.87 | 0.00 | 4.87 | 90.0 | 0.08 |
| 06/21/2016 | OLIVETI, NICOLE | LORD ABBETT FUNDAMENTAL EQUITY CL C | 0.00 | 5.08 | 0.00 | 5.08 | 90.0 | 0.09 |
| 06/21/2016 | YANKOWITZ, HARRIETT | LORD ABBETT FUNDAMENTAL EQUITY CL C | 0.00 | 13.33 | 0.00 | 13.33 | 90.0 | 0.23 |
| 07/21/2016 | MILGRAM, EVE | LORD ABBETT FUNDAMENTAL EQUITY CL C | 0.00 | 7.80 | 0.00 | 7.80 | 90.0 | 0.13 |
| 07/21/2016 | TAROFF, DANIELLE | LORD ABBETT FUNDAMENTAL EQUITY CL C | 0.00 | 8.76 | 0.00 | 8.76 | 90.0 | 0.15 |
| 07/21/2016 | TAROFF, DANIELLE | LORD ABBETT FUNDAMENTAL EQUITY CL C | 0.00 | 4.76 | 0.00 | 4.76 | 90.0 | 0.08 |
| 07/21/2016 | OLIVETI, NICOLE | LORD ABBETT FUNDAMENTAL EQUITY CL C | 0.00 | 4.97 | 0.00 | 4.97 | 90.0 | 0.08 |
| 07/21/2016 | YANKOWITZ, HARRIETT | LORD ABBETT FUNDAMENTAL EQUITY CL C | 0.00 | 13.04 | 0.00 | 13.04 | 90.0 | 0.22 |
| 08/22/2016 | MILGRAM, EVE | LORD ABBETT FUNDAMENTAL EQUITY CL C | 0.00 | 8.26 | 0.00 | 8.26 | 90.0 | 0.14 |
| 08/22/2016 | TAROFF, DANIELLE | LORD ABBETT FUNDAMENTAL EQUITY CL C | 0.00 | 9.27 | 0.00 | 9.27 | 90.0 | 0.16 |
| 08/22/2016 | TAROFF, DANIELLE | LORD ABBETT FUNDAMENTAL EQUITY CL C | 0.00 | 5.04 | 0.00 | 5.04 | 90.0 | 0.09 |
| 08/22/2016 | OLIVETI, NICOLE | LORD ABBETT FUNDAMENTAL EQUITY CL C | 0.00 | 5.26 | 0.00 | 5.26 | 90.0 | 0.09 |
| 08/22/2016 | YANKOWITZ, HARRIETT | LORD ABBETT FUNDAMENTAL EQUITY CL C | 0.00 | 13.81 | 0.00 | 13.81 | 90.0 | 0.23 |
| 09/21/2016 | MILGRAM, EVE | LORD ABBETT FUNDAMENTAL EQUITY CL C | 0.00 | 7.28 | 0.00 | 7.28 | 90.0 | 0.12 |

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

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| DATE | CLIENT | INVESTMENT | INVESTMENT AMOUNT | GROSS COMMISSION | CLEARING CHARGE | NET COMMISSION | RATE | BROKER COMMISSION |
|--|---------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u> OVERRIDE TRANSACTIONS </u> | | | | | | | | |
| <u> BROKER: MARC, L134 LINSKY #263 </u> | | | | | | | | |
| 09/21/2016 | TAROFF, DANIELLE | LORD ABBETT FUNDAMENTAL EQUITY CL C | 0.00 | 9.39 | 0.00 | 9.39 | 90.0 | 0.16 |
| 09/21/2016 | TAROFF, DANIELLE | LORD ABBETT FUNDAMENTAL EQUITY CL C | 0.00 | 5.11 | 0.00 | 5.11 | 90.0 | 0.09 |
| 09/21/2016 | OLIVETI, NICOLE | LORD ABBETT FUNDAMENTAL EQUITY CL C | 0.00 | 5.33 | 0.00 | 5.33 | 90.0 | 0.09 |
| 09/21/2016 | YANKOWITZ, HARRIETT | LORD ABBETT FUNDAMENTAL EQUITY CL C | 0.00 | 13.98 | 0.00 | 13.98 | 90.0 | 0.24 |
| 09/21/2016 | MILGRAM, MARC | LORD ABBETT FUNDAMENTAL EQUITY CL C | 0.00 | 0.36 | 0.00 | 0.36 | 90.0 | 0.01 |
| 10/20/2016 | TAROFF, DANIELLE | LORD ABBETT FUNDAMENTAL EQUITY CL C | 0.00 | 9.04 | 0.00 | 9.04 | 90.0 | 0.15 |
| 10/20/2016 | TAROFF, DANIELLE | LORD ABBETT FUNDAMENTAL EQUITY CL C | 0.00 | 4.91 | 0.00 | 4.91 | 90.0 | 0.08 |
| 10/20/2016 | OLIVETI, NICOLE | LORD ABBETT FUNDAMENTAL EQUITY CL C | 0.00 | 5.13 | 0.00 | 5.13 | 90.0 | 0.09 |
| 10/20/2016 | YANKOWITZ, HARRIETT | LORD ABBETT FUNDAMENTAL EQUITY CL C | 0.00 | 13.46 | 0.00 | 13.46 | 90.0 | 0.23 |
| 10/20/2016 | DIECKERT, DEBRA | LORD ABBETT FUNDAMENTAL EQUITY CL C | 0.00 | 2.68 | 0.00 | 2.68 | 90.0 | 0.05 |
| 11/21/2016 | TAROFF, DANIELLE | LORD ABBETT FUNDAMENTAL EQUITY CL C | 0.00 | 9.35 | 0.00 | 9.35 | 90.0 | 0.16 |
| 11/21/2016 | TAROFF, DANIELLE | LORD ABBETT FUNDAMENTAL EQUITY CL C | 0.00 | 5.08 | 0.00 | 5.08 | 90.0 | 0.09 |
| 11/21/2016 | OLIVETI, NICOLE | LORD ABBETT FUNDAMENTAL EQUITY CL C | 0.00 | 5.30 | 0.00 | 5.30 | 90.0 | 0.09 |
| 11/21/2016 | YANKOWITZ, HARRIETT | LORD ABBETT FUNDAMENTAL EQUITY CL C | 0.00 | 13.92 | 0.00 | 13.92 | 90.0 | 0.24 |
| 11/21/2016 | DIECKERT, DEBRA | LORD ABBETT FUNDAMENTAL EQUITY CL C | 0.00 | 2.77 | 0.00 | 2.77 | 90.0 | 0.05 |
| 12/21/2016 | TAROFF, DANIELLE | LORD ABBETT FUNDAMENTAL EQUITY CL C | 0.00 | 9.39 | 0.00 | 9.39 | 90.0 | 0.16 |
| 12/21/2016 | TAROFF, DANIELLE | LORD ABBETT FUNDAMENTAL EQUITY CL C | 0.00 | 5.10 | 0.00 | 5.10 | 90.0 | 0.09 |
| 12/21/2016 | OLIVETI, NICOLE | LORD ABBETT FUNDAMENTAL EQUITY CL C | 0.00 | 5.33 | 0.00 | 5.33 | 90.0 | 0.09 |
| 12/21/2016 | YANKOWITZ, HARRIETT | LORD ABBETT FUNDAMENTAL EQUITY CL C | 0.00 | 13.23 | 0.00 | 13.23 | 90.0 | 0.22 |
| 12/21/2016 | DIECKERT, DEBRA | LORD ABBETT FUNDAMENTAL EQUITY CL C | 0.00 | 2.78 | 0.00 | 2.78 | 90.0 | 0.05 |
| 02/22/2016 | MEDIA ENTERPRISES | LORD ABBETT SHORT DURATION INCOME A | 0.00 | 2.58 | 0.00 | 2.58 | 90.0 | 0.04 |
| 02/22/2016 | MEDIA ENTERPRISES | LORD ABBETT SHORT DURATION INCOME A | 0.00 | 1.78 | 0.00 | 1.78 | 90.0 | 0.03 |
| 03/22/2016 | MEDIA ENTERPRISES | LORD ABBETT SHORT DURATION INCOME A | 0.00 | 2.41 | 0.00 | 2.41 | 90.0 | 0.04 |
| 03/22/2016 | MEDIA ENTERPRISES | LORD ABBETT SHORT DURATION INCOME A | 0.00 | 1.66 | 0.00 | 1.66 | 90.0 | 0.03 |
| 04/21/2016 | MEDIA ENTERPRISES | LORD ABBETT SHORT DURATION INCOME A | 0.00 | 2.60 | 0.00 | 2.60 | 90.0 | 0.04 |
| 04/21/2016 | MEDIA ENTERPRISES | LORD ABBETT SHORT DURATION INCOME A | 0.00 | 1.79 | 0.00 | 1.79 | 90.0 | 0.03 |
| 05/23/2016 | MEDIA ENTERPRISES | LORD ABBETT SHORT DURATION INCOME A | 0.00 | 2.54 | 0.00 | 2.54 | 90.0 | 0.04 |
| 05/23/2016 | MEDIA ENTERPRISES | LORD ABBETT SHORT DURATION INCOME A | 0.00 | 1.75 | 0.00 | 1.75 | 90.0 | 0.03 |
| 06/21/2016 | MEDIA ENTERPRISES | LORD ABBETT SHORT DURATION INCOME A | 0.00 | 2.64 | 0.00 | 2.64 | 90.0 | 0.04 |
| 06/21/2016 | MEDIA ENTERPRISES | LORD ABBETT SHORT DURATION INCOME A | 0.00 | 1.82 | 0.00 | 1.82 | 90.0 | 0.03 |
| 07/21/2016 | MEDIA ENTERPRISES | LORD ABBETT SHORT DURATION INCOME A | 0.00 | 2.57 | 0.00 | 2.57 | 90.0 | 0.04 |
| 07/21/2016 | MEDIA ENTERPRISES | LORD ABBETT SHORT DURATION INCOME A | 0.00 | 1.77 | 0.00 | 1.77 | 90.0 | 0.03 |
| 08/22/2016 | MEDIA ENTERPRISES | LORD ABBETT SHORT DURATION INCOME A | 0.00 | 2.67 | 0.00 | 2.67 | 90.0 | 0.05 |

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|--|---------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u> OVERRIDE TRANSACTIONS </u> | | | | | | | | |
| <u> BROKER: MARC, L134 LINSKY #263 </u> | | | | | | | | |
| 08/22/2016 | MEDIA ENTERPRISES | LORD ABBETT SHORT DURATION INCOME A | 0.00 | 1.84 | 0.00 | 1.84 | 90.0 | 0.03 |
| 09/21/2016 | MEDIA ENTERPRISES | LORD ABBETT SHORT DURATION INCOME A | 0.00 | 2.68 | 0.00 | 2.68 | 90.0 | 0.05 |
| 09/21/2016 | MEDIA ENTERPRISES | LORD ABBETT SHORT DURATION INCOME A | 0.00 | 1.84 | 0.00 | 1.84 | 90.0 | 0.03 |
| 10/20/2016 | MEDIA ENTERPRISES | LORD ABBETT SHORT DURATION INCOME A | 0.00 | 2.60 | 0.00 | 2.60 | 90.0 | 0.04 |
| 10/20/2016 | MEDIA ENTERPRISES | LORD ABBETT SHORT DURATION INCOME A | 0.00 | 1.79 | 0.00 | 1.79 | 90.0 | 0.03 |
| 11/21/2016 | MEDIA ENTERPRISES | LORD ABBETT SHORT DURATION INCOME A | 0.00 | 2.69 | 0.00 | 2.69 | 90.0 | 0.05 |
| 11/21/2016 | MEDIA ENTERPRISES | LORD ABBETT SHORT DURATION INCOME A | 0.00 | 1.85 | 0.00 | 1.85 | 90.0 | 0.03 |
| 12/21/2016 | MEDIA ENTERPRISES | LORD ABBETT SHORT DURATION INCOME A | 0.00 | 2.60 | 0.00 | 2.60 | 90.0 | 0.04 |
| 12/21/2016 | MEDIA ENTERPRISES | LORD ABBETT SHORT DURATION INCOME A | 0.00 | 1.79 | 0.00 | 1.79 | 90.0 | 0.03 |
| 02/15/2018 | MEDIA ENTERPRISES | LORD ABBETT SHORT DURATION INCOME A | 1,552.30 | 23.28 | 22.00 | 1.28 | 90.0 | 0.02 |
| 02/15/2018 | MEDIA ENTERPRISES | LORD ABBETT SHORT DURATION INCOME A | 1,307.20 | 19.61 | 22.00 | -2.39 | 90.0 | -0.04 |
| 02/15/2018 | MEDIA ENTERPRISES | LORD ABBETT SHORT DURATION INCOME A | 460.10 | 6.90 | 22.00 | -15.10 | 90.0 | -0.26 |
| 02/15/2018 | MEDIA ENTERPRISES | LORD ABBETT SHORT DURATION INCOME A | 503.10 | 7.55 | 22.00 | -14.45 | 90.0 | -0.25 |
| 02/22/2016 | CAMPAGNA, MARIE | LORD ABBETT SHORT DURATION INCOME F | 0.00 | 6.19 | 0.00 | 6.19 | 90.0 | 0.11 |
| 02/22/2016 | CHERRY, ADAM | LORD ABBETT SHORT DURATION INCOME F | 0.00 | 94.23 | 0.00 | 94.23 | 90.0 | 1.60 |
| 02/22/2016 | BOWERS, DORA | LORD ABBETT SHORT DURATION INCOME F | 0.00 | 1.44 | 0.00 | 1.44 | 90.0 | 0.02 |
| 02/22/2016 | BOWERS, DORA | LORD ABBETT SHORT DURATION INCOME F | 0.00 | 19.42 | 0.00 | 19.42 | 90.0 | 0.33 |
| 02/22/2016 | BOWERS, DORA | LORD ABBETT SHORT DURATION INCOME F | 0.00 | 1.62 | 0.00 | 1.62 | 90.0 | 0.03 |
| 02/22/2016 | BOWERS, DORA | LORD ABBETT SHORT DURATION INCOME F | 0.00 | 10.79 | 0.00 | 10.79 | 90.0 | 0.18 |
| 02/22/2016 | KRAMER, LESLIE | LORD ABBETT SHORT DURATION INCOME F | 0.00 | 11.52 | 0.00 | 11.52 | 90.0 | 0.20 |
| 02/22/2016 | DADINO JR, LAWRENCE | LORD ABBETT SHORT DURATION INCOME F | 0.00 | 7.25 | 0.00 | 7.25 | 90.0 | 0.12 |
| 02/22/2016 | DADINO, CAROLE | LORD ABBETT SHORT DURATION INCOME F | 0.00 | 9.20 | 0.00 | 9.20 | 90.0 | 0.16 |
| 02/22/2016 | BOWERS, STEVEN | LORD ABBETT SHORT DURATION INCOME F | 0.00 | 2.62 | 0.00 | 2.62 | 90.0 | 0.04 |
| 02/22/2016 | BOWERS, STEVEN | LORD ABBETT SHORT DURATION INCOME F | 0.00 | 2.01 | 0.00 | 2.01 | 90.0 | 0.03 |
| 02/22/2016 | BROSIUS JR, ARTHUR | LORD ABBETT SHORT DURATION INCOME F | 0.00 | 6.10 | 0.00 | 6.10 | 90.0 | 0.10 |
| 02/22/2016 | HARDING, LORETTA | LORD ABBETT SHORT DURATION INCOME F | 0.00 | 12.38 | 0.00 | 12.38 | 90.0 | 0.21 |
| 02/22/2016 | MARINO, CHRISTINA | LORD ABBETT SHORT DURATION INCOME F | 0.00 | 4.57 | 0.00 | 4.57 | 90.0 | 0.08 |
| 02/22/2016 | TARANTINO, ANN | LORD ABBETT SHORT DURATION INCOME F | 0.00 | 3.41 | 0.00 | 3.41 | 90.0 | 0.06 |
| 03/22/2016 | CAMPAGNA, MARIE | LORD ABBETT SHORT DURATION INCOME F | 0.00 | 5.77 | 0.00 | 5.77 | 90.0 | 0.10 |
| 03/22/2016 | CHERRY, ADAM | LORD ABBETT SHORT DURATION INCOME F | 0.00 | 87.92 | 0.00 | 87.92 | 90.0 | 1.49 |
| 03/22/2016 | BOWERS, DORA | LORD ABBETT SHORT DURATION INCOME F | 0.00 | 1.34 | 0.00 | 1.34 | 90.0 | 0.02 |
| 03/22/2016 | BOWERS, DORA | LORD ABBETT SHORT DURATION INCOME F | 0.00 | 18.12 | 0.00 | 18.12 | 90.0 | 0.31 |
| 03/22/2016 | BOWERS, DORA | LORD ABBETT SHORT DURATION INCOME F | 0.00 | 1.52 | 0.00 | 1.52 | 90.0 | 0.03 |

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|--|---------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u> OVERRIDE TRANSACTIONS </u> | | | | | | | | |
| <u> BROKER: MARC, L134 LINSKY #263 </u> | | | | | | | | |
| 03/22/2016 | BOWERS, DORA | LORD ABBETT SHORT DURATION INCOME F | 0.00 | 10.07 | 0.00 | 10.07 | 90.0 | 0.17 |
| 03/22/2016 | KRAMER, LESLIE | LORD ABBETT SHORT DURATION INCOME F | 0.00 | 10.75 | 0.00 | 10.75 | 90.0 | 0.18 |
| 03/22/2016 | DADINO JR, LAWRENCE | LORD ABBETT SHORT DURATION INCOME F | 0.00 | 6.25 | 0.00 | 6.25 | 90.0 | 0.11 |
| 03/22/2016 | DADINO, CAROLE | LORD ABBETT SHORT DURATION INCOME F | 0.00 | 8.53 | 0.00 | 8.53 | 90.0 | 0.15 |
| 03/22/2016 | BOWERS, STEVEN | LORD ABBETT SHORT DURATION INCOME F | 0.00 | 2.45 | 0.00 | 2.45 | 90.0 | 0.04 |
| 03/22/2016 | BOWERS, STEVEN | LORD ABBETT SHORT DURATION INCOME F | 0.00 | 1.87 | 0.00 | 1.87 | 90.0 | 0.03 |
| 03/22/2016 | BROSIUS JR, ARTHUR | LORD ABBETT SHORT DURATION INCOME F | 0.00 | 5.70 | 0.00 | 5.70 | 90.0 | 0.10 |
| 03/22/2016 | HARDING, LORETTA | LORD ABBETT SHORT DURATION INCOME F | 0.00 | 11.55 | 0.00 | 11.55 | 90.0 | 0.20 |
| 03/22/2016 | MARINO, CHRISTINA | LORD ABBETT SHORT DURATION INCOME F | 0.00 | 4.27 | 0.00 | 4.27 | 90.0 | 0.07 |
| 03/22/2016 | TARANTINO, ANN | LORD ABBETT SHORT DURATION INCOME F | 0.00 | 3.18 | 0.00 | 3.18 | 90.0 | 0.05 |
| 04/21/2016 | CAMPAGNA, MARIE | LORD ABBETT SHORT DURATION INCOME F | 0.00 | 6.22 | 0.00 | 6.22 | 90.0 | 0.11 |
| 04/21/2016 | CHERRY, ADAM | LORD ABBETT SHORT DURATION INCOME F | 0.00 | 94.75 | 0.00 | 94.75 | 90.0 | 1.61 |
| 04/21/2016 | BOWERS, DORA | LORD ABBETT SHORT DURATION INCOME F | 0.00 | 1.44 | 0.00 | 1.44 | 90.0 | 0.02 |
| 04/21/2016 | BOWERS, DORA | LORD ABBETT SHORT DURATION INCOME F | 0.00 | 19.53 | 0.00 | 19.53 | 90.0 | 0.33 |
| 04/21/2016 | BOWERS, DORA | LORD ABBETT SHORT DURATION INCOME F | 0.00 | 1.63 | 0.00 | 1.63 | 90.0 | 0.03 |
| 04/21/2016 | KRAMER, LESLIE | LORD ABBETT SHORT DURATION INCOME F | 0.00 | 11.59 | 0.00 | 11.59 | 90.0 | 0.20 |
| 04/21/2016 | DADINO JR, LAWRENCE | LORD ABBETT SHORT DURATION INCOME F | 0.00 | 6.39 | 0.00 | 6.39 | 90.0 | 0.11 |
| 04/21/2016 | DADINO, CAROLE | LORD ABBETT SHORT DURATION INCOME F | 0.00 | 8.75 | 0.00 | 8.75 | 90.0 | 0.15 |
| 04/21/2016 | BOWERS, STEVEN | LORD ABBETT SHORT DURATION INCOME F | 0.00 | 2.64 | 0.00 | 2.64 | 90.0 | 0.04 |
| 04/21/2016 | BOWERS, STEVEN | LORD ABBETT SHORT DURATION INCOME F | 0.00 | 2.02 | 0.00 | 2.02 | 90.0 | 0.03 |
| 04/21/2016 | BROSIUS JR, ARTHUR | LORD ABBETT SHORT DURATION INCOME F | 0.00 | 6.14 | 0.00 | 6.14 | 90.0 | 0.10 |
| 04/21/2016 | HARDING, LORETTA | LORD ABBETT SHORT DURATION INCOME F | 0.00 | 12.45 | 0.00 | 12.45 | 90.0 | 0.21 |
| 04/21/2016 | MARINO, CHRISTINA | LORD ABBETT SHORT DURATION INCOME F | 0.00 | 4.60 | 0.00 | 4.60 | 90.0 | 0.08 |
| 04/21/2016 | TARANTINO, ANN | LORD ABBETT SHORT DURATION INCOME F | 0.00 | 3.43 | 0.00 | 3.43 | 90.0 | 0.06 |
| 05/23/2016 | CAMPAGNA, MARIE | LORD ABBETT SHORT DURATION INCOME F | 0.00 | 6.08 | 0.00 | 6.08 | 90.0 | 0.10 |
| 05/23/2016 | CHERRY, ADAM | LORD ABBETT SHORT DURATION INCOME F | 0.00 | 92.53 | 0.00 | 92.53 | 90.0 | 1.57 |
| 05/23/2016 | BOWERS, DORA | LORD ABBETT SHORT DURATION INCOME F | 0.00 | 1.41 | 0.00 | 1.41 | 90.0 | 0.02 |
| 05/23/2016 | BOWERS, DORA | LORD ABBETT SHORT DURATION INCOME F | 0.00 | 19.07 | 0.00 | 19.07 | 90.0 | 0.32 |
| 05/23/2016 | BOWERS, DORA | LORD ABBETT SHORT DURATION INCOME F | 0.00 | 1.60 | 0.00 | 1.60 | 90.0 | 0.03 |
| 05/23/2016 | KRAMER, LESLIE | LORD ABBETT SHORT DURATION INCOME F | 0.00 | 11.32 | 0.00 | 11.32 | 90.0 | 0.19 |
| 05/23/2016 | DADINO JR, LAWRENCE | LORD ABBETT SHORT DURATION INCOME F | 0.00 | 6.25 | 0.00 | 6.25 | 90.0 | 0.11 |
| 05/23/2016 | DADINO, CAROLE | LORD ABBETT SHORT DURATION INCOME F | 0.00 | 8.23 | 0.00 | 8.23 | 90.0 | 0.14 |
| 05/23/2016 | BOWERS, STEVEN | LORD ABBETT SHORT DURATION INCOME F | 0.00 | 2.58 | 0.00 | 2.58 | 90.0 | 0.04 |

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|--|---------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u> OVERRIDE TRANSACTIONS </u> | | | | | | | | |
| <u> BROKER: MARC, L134 LINSKY #263 </u> | | | | | | | | |
| 05/23/2016 | BOWERS, STEVEN | LORD ABBETT SHORT DURATION INCOME F | 0.00 | 1.97 | 0.00 | 1.97 | 90.0 | 0.03 |
| 05/23/2016 | BROSIUS JR, ARTHUR | LORD ABBETT SHORT DURATION INCOME F | 0.00 | 5.99 | 0.00 | 5.99 | 90.0 | 0.10 |
| 05/23/2016 | HARDING, LORETTA | LORD ABBETT SHORT DURATION INCOME F | 0.00 | 12.16 | 0.00 | 12.16 | 90.0 | 0.21 |
| 05/23/2016 | MARINO, CHRISTINA | LORD ABBETT SHORT DURATION INCOME F | 0.00 | 4.49 | 0.00 | 4.49 | 90.0 | 0.08 |
| 05/23/2016 | TARANTINO, ANN | LORD ABBETT SHORT DURATION INCOME F | 0.00 | 1.64 | 0.00 | 1.64 | 90.0 | 0.03 |
| 06/21/2016 | CAMPAGNA, MARIE | LORD ABBETT SHORT DURATION INCOME F | 0.00 | 6.31 | 0.00 | 6.31 | 90.0 | 0.11 |
| 06/21/2016 | CHERRY, ADAM | LORD ABBETT SHORT DURATION INCOME F | 0.00 | 96.03 | 0.00 | 96.03 | 90.0 | 1.63 |
| 06/21/2016 | BOWERS, DORA | LORD ABBETT SHORT DURATION INCOME F | 0.00 | 1.46 | 0.00 | 1.46 | 90.0 | 0.02 |
| 06/21/2016 | BOWERS, DORA | LORD ABBETT SHORT DURATION INCOME F | 0.00 | 19.79 | 0.00 | 19.79 | 90.0 | 0.34 |
| 06/21/2016 | BOWERS, DORA | LORD ABBETT SHORT DURATION INCOME F | 0.00 | 1.66 | 0.00 | 1.66 | 90.0 | 0.03 |
| 06/21/2016 | KRAMER, LESLIE | LORD ABBETT SHORT DURATION INCOME F | 0.00 | 11.75 | 0.00 | 11.75 | 90.0 | 0.20 |
| 06/21/2016 | DADINO JR, LAWRENCE | LORD ABBETT SHORT DURATION INCOME F | 0.00 | 6.18 | 0.00 | 6.18 | 90.0 | 0.11 |
| 06/21/2016 | DADINO, CAROLE | LORD ABBETT SHORT DURATION INCOME F | 0.00 | 8.55 | 0.00 | 8.55 | 90.0 | 0.15 |
| 06/21/2016 | BOWERS, STEVEN | LORD ABBETT SHORT DURATION INCOME F | 0.00 | 2.67 | 0.00 | 2.67 | 90.0 | 0.05 |
| 06/21/2016 | BOWERS, STEVEN | LORD ABBETT SHORT DURATION INCOME F | 0.00 | 2.04 | 0.00 | 2.04 | 90.0 | 0.03 |
| 06/21/2016 | BROSIUS JR, ARTHUR | LORD ABBETT SHORT DURATION INCOME F | 0.00 | 6.22 | 0.00 | 6.22 | 90.0 | 0.11 |
| 06/21/2016 | HARDING, LORETTA | LORD ABBETT SHORT DURATION INCOME F | 0.00 | 12.62 | 0.00 | 12.62 | 90.0 | 0.21 |
| 06/21/2016 | MARINO, CHRISTINA | LORD ABBETT SHORT DURATION INCOME F | 0.00 | 4.66 | 0.00 | 4.66 | 90.0 | 0.08 |
| 07/21/2016 | CAMPAGNA, MARIE | LORD ABBETT SHORT DURATION INCOME F | 0.00 | 6.13 | 0.00 | 6.13 | 90.0 | 0.10 |
| 07/21/2016 | CHERRY, ADAM | LORD ABBETT SHORT DURATION INCOME F | 0.00 | 93.31 | 0.00 | 93.31 | 90.0 | 1.59 |
| 07/21/2016 | BOWERS, DORA | LORD ABBETT SHORT DURATION INCOME F | 0.00 | 1.42 | 0.00 | 1.42 | 90.0 | 0.02 |
| 07/21/2016 | BOWERS, DORA | LORD ABBETT SHORT DURATION INCOME F | 0.00 | 19.23 | 0.00 | 19.23 | 90.0 | 0.33 |
| 07/21/2016 | BOWERS, DORA | LORD ABBETT SHORT DURATION INCOME F | 0.00 | 1.61 | 0.00 | 1.61 | 90.0 | 0.03 |
| 07/21/2016 | KRAMER, LESLIE | LORD ABBETT SHORT DURATION INCOME F | 0.00 | 11.42 | 0.00 | 11.42 | 90.0 | 0.19 |
| 07/21/2016 | DADINO JR, LAWRENCE | LORD ABBETT SHORT DURATION INCOME F | 0.00 | 5.32 | 0.00 | 5.32 | 90.0 | 0.09 |
| 07/21/2016 | DADINO, CAROLE | LORD ABBETT SHORT DURATION INCOME F | 0.00 | 8.31 | 0.00 | 8.31 | 90.0 | 0.14 |
| 07/21/2016 | BOWERS, STEVEN | LORD ABBETT SHORT DURATION INCOME F | 0.00 | 2.60 | 0.00 | 2.60 | 90.0 | 0.04 |
| 07/21/2016 | BOWERS, STEVEN | LORD ABBETT SHORT DURATION INCOME F | 0.00 | 1.99 | 0.00 | 1.99 | 90.0 | 0.03 |
| 07/21/2016 | BROSIUS JR, ARTHUR | LORD ABBETT SHORT DURATION INCOME F | 0.00 | 6.04 | 0.00 | 6.04 | 90.0 | 0.10 |
| 07/21/2016 | HARDING, LORETTA | LORD ABBETT SHORT DURATION INCOME F | 0.00 | 12.26 | 0.00 | 12.26 | 90.0 | 0.21 |
| 07/21/2016 | MARINO, CHRISTINA | LORD ABBETT SHORT DURATION INCOME F | 0.00 | 4.53 | 0.00 | 4.53 | 90.0 | 0.08 |
| 08/22/2016 | CAMPAGNA, MARIE | LORD ABBETT SHORT DURATION INCOME F | 0.00 | 6.36 | 0.00 | 6.36 | 90.0 | 0.11 |
| 08/22/2016 | CHERRY, ADAM | LORD ABBETT SHORT DURATION INCOME F | 0.00 | 96.92 | 0.00 | 96.92 | 90.0 | 1.65 |

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

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| DATE | CLIENT | INVESTMENT | INVESTMENT AMOUNT | GROSS COMMISSION | CLEARING CHARGE | NET COMMISSION | RATE | BROKER COMMISSION |
|--|---------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u> OVERRIDE TRANSACTIONS </u> | | | | | | | | |
| <u> BROKER: MARC, L134 LINSKY #263 </u> | | | | | | | | |
| 08/22/2016 | BOWERS, DORA | LORD ABBETT SHORT DURATION INCOME F | 0.00 | 1.48 | 0.00 | 1.48 | 90.0 | 0.03 |
| 08/22/2016 | BOWERS, DORA | LORD ABBETT SHORT DURATION INCOME F | 0.00 | 19.97 | 0.00 | 19.97 | 90.0 | 0.34 |
| 08/22/2016 | BOWERS, DORA | LORD ABBETT SHORT DURATION INCOME F | 0.00 | 1.67 | 0.00 | 1.67 | 90.0 | 0.03 |
| 08/22/2016 | KRAMER, LESLIE | LORD ABBETT SHORT DURATION INCOME F | 0.00 | 11.86 | 0.00 | 11.86 | 90.0 | 0.20 |
| 08/22/2016 | DADINO JR, LAWRENCE | LORD ABBETT SHORT DURATION INCOME F | 0.00 | 5.12 | 0.00 | 5.12 | 90.0 | 0.09 |
| 08/22/2016 | DADINO, CAROLE | LORD ABBETT SHORT DURATION INCOME F | 0.00 | 8.42 | 0.00 | 8.42 | 90.0 | 0.14 |
| 08/22/2016 | BOWERS, STEVEN | LORD ABBETT SHORT DURATION INCOME F | 0.00 | 2.70 | 0.00 | 2.70 | 90.0 | 0.05 |
| 08/22/2016 | BOWERS, STEVEN | LORD ABBETT SHORT DURATION INCOME F | 0.00 | 2.06 | 0.00 | 2.06 | 90.0 | 0.04 |
| 08/22/2016 | BROSIUS JR, ARTHUR | LORD ABBETT SHORT DURATION INCOME F | 0.00 | 6.28 | 0.00 | 6.28 | 90.0 | 0.11 |
| 08/22/2016 | HARDING, LORETTA | LORD ABBETT SHORT DURATION INCOME F | 0.00 | 12.73 | 0.00 | 12.73 | 90.0 | 0.22 |
| 08/22/2016 | MARINO, CHRISTINA | LORD ABBETT SHORT DURATION INCOME F | 0.00 | 4.70 | 0.00 | 4.70 | 90.0 | 0.08 |
| 09/21/2016 | BOWERS, DORA | LORD ABBETT SHORT DURATION INCOME F | 0.00 | 1.48 | 0.00 | 1.48 | 90.0 | 0.03 |
| 09/21/2016 | BOWERS, DORA | LORD ABBETT SHORT DURATION INCOME F | 0.00 | 20.02 | 0.00 | 20.02 | 90.0 | 0.34 |
| 09/21/2016 | BOWERS, DORA | LORD ABBETT SHORT DURATION INCOME F | 0.00 | 1.68 | 0.00 | 1.68 | 90.0 | 0.03 |
| 09/21/2016 | BOWERS, STEVEN | LORD ABBETT SHORT DURATION INCOME F | 0.00 | 2.71 | 0.00 | 2.71 | 90.0 | 0.05 |
| 09/21/2016 | CAMPAGNA, MARIE | LORD ABBETT SHORT DURATION INCOME F | 0.00 | 6.38 | 0.00 | 6.38 | 90.0 | 0.11 |
| 09/21/2016 | CHERRY, ADAM | LORD ABBETT SHORT DURATION INCOME F | 0.00 | 97.15 | 0.00 | 97.15 | 90.0 | 1.65 |
| 09/21/2016 | KRAMER, LESLIE | LORD ABBETT SHORT DURATION INCOME F | 0.00 | 11.89 | 0.00 | 11.89 | 90.0 | 0.20 |
| 09/21/2016 | DADINO JR, LAWRENCE | LORD ABBETT SHORT DURATION INCOME F | 0.00 | 4.84 | 0.00 | 4.84 | 90.0 | 0.08 |
| 09/21/2016 | DADINO, CAROLE | LORD ABBETT SHORT DURATION INCOME F | 0.00 | 8.27 | 0.00 | 8.27 | 90.0 | 0.14 |
| 09/21/2016 | BOWERS, STEVEN | LORD ABBETT SHORT DURATION INCOME F | 0.00 | 2.07 | 0.00 | 2.07 | 90.0 | 0.04 |
| 09/21/2016 | BROSIUS JR, ARTHUR | LORD ABBETT SHORT DURATION INCOME F | 0.00 | 6.29 | 0.00 | 6.29 | 90.0 | 0.11 |
| 09/21/2016 | HARDING, LORETTA | LORD ABBETT SHORT DURATION INCOME F | 0.00 | 12.76 | 0.00 | 12.76 | 90.0 | 0.22 |
| 09/21/2016 | MARINO, CHRISTINA | LORD ABBETT SHORT DURATION INCOME F | 0.00 | 4.72 | 0.00 | 4.72 | 90.0 | 0.08 |
| 10/20/2016 | BOWERS, DORA | LORD ABBETT SHORT DURATION INCOME F | 0.00 | 1.43 | 0.00 | 1.43 | 90.0 | 0.02 |
| 10/20/2016 | BOWERS, DORA | LORD ABBETT SHORT DURATION INCOME F | 0.00 | 19.41 | 0.00 | 19.41 | 90.0 | 0.33 |
| 10/20/2016 | BOWERS, DORA | LORD ABBETT SHORT DURATION INCOME F | 0.00 | 1.62 | 0.00 | 1.62 | 90.0 | 0.03 |
| 10/20/2016 | BOWERS, STEVEN | LORD ABBETT SHORT DURATION INCOME F | 0.00 | 2.62 | 0.00 | 2.62 | 90.0 | 0.04 |
| 10/20/2016 | BOWERS, STEVEN | LORD ABBETT SHORT DURATION INCOME F | 0.00 | 2.00 | 0.00 | 2.00 | 90.0 | 0.03 |
| 10/20/2016 | CAMPAGNA, MARIE | LORD ABBETT SHORT DURATION INCOME F | 0.00 | 6.18 | 0.00 | 6.18 | 90.0 | 0.11 |
| 10/20/2016 | CHERRY, ADAM | LORD ABBETT SHORT DURATION INCOME F | 0.00 | 94.18 | 0.00 | 94.18 | 90.0 | 1.60 |
| 10/20/2016 | KRAMER, LESLIE | LORD ABBETT SHORT DURATION INCOME F | 0.00 | 11.49 | 0.00 | 11.49 | 90.0 | 0.20 |
| 10/20/2016 | DADINO JR, LAWRENCE | LORD ABBETT SHORT DURATION INCOME F | 0.00 | 4.46 | 0.00 | 4.46 | 90.0 | 0.08 |

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|--|---------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u> OVERRIDE TRANSACTIONS </u> | | | | | | | | |
| <u> BROKER: MARC, L134 LINSKY #263 </u> | | | | | | | | |
| 10/20/2016 | DADINO, CAROLE | LORD ABBETT SHORT DURATION INCOME F | 0.00 | 7.92 | 0.00 | 7.92 | 90.0 | 0.13 |
| 10/20/2016 | BROSIUS JR, ARTHUR | LORD ABBETT SHORT DURATION INCOME F | 0.00 | 6.10 | 0.00 | 6.10 | 90.0 | 0.10 |
| 10/20/2016 | HARDING, LORETTA | LORD ABBETT SHORT DURATION INCOME F | 0.00 | 12.37 | 0.00 | 12.37 | 90.0 | 0.21 |
| 10/20/2016 | MARINO, CHRISTINA | LORD ABBETT SHORT DURATION INCOME F | 0.00 | 4.57 | 0.00 | 4.57 | 90.0 | 0.08 |
| 11/21/2016 | BOWERS, DORA | LORD ABBETT SHORT DURATION INCOME F | 0.00 | 1.49 | 0.00 | 1.49 | 90.0 | 0.03 |
| 11/21/2016 | BOWERS, DORA | LORD ABBETT SHORT DURATION INCOME F | 0.00 | 20.09 | 0.00 | 20.09 | 90.0 | 0.34 |
| 11/21/2016 | BOWERS, DORA | LORD ABBETT SHORT DURATION INCOME F | 0.00 | 1.68 | 0.00 | 1.68 | 90.0 | 0.03 |
| 11/21/2016 | BOWERS, STEVEN | LORD ABBETT SHORT DURATION INCOME F | 0.00 | 2.72 | 0.00 | 2.72 | 90.0 | 0.05 |
| 11/21/2016 | BOWERS, STEVEN | LORD ABBETT SHORT DURATION INCOME F | 0.00 | 2.08 | 0.00 | 2.08 | 90.0 | 0.04 |
| 11/21/2016 | CAMPAGNA, MARIE | LORD ABBETT SHORT DURATION INCOME F | 0.00 | 6.40 | 0.00 | 6.40 | 90.0 | 0.11 |
| 11/21/2016 | CHERRY, ADAM | LORD ABBETT SHORT DURATION INCOME F | 0.00 | 97.50 | 0.00 | 97.50 | 90.0 | 1.66 |
| 11/21/2016 | KRAMER, LESLIE | LORD ABBETT SHORT DURATION INCOME F | 0.00 | 11.78 | 0.00 | 11.78 | 90.0 | 0.20 |
| 11/21/2016 | DADINO JR, LAWRENCE | LORD ABBETT SHORT DURATION INCOME F | 0.00 | 2.39 | 0.00 | 2.39 | 90.0 | 0.04 |
| 11/21/2016 | DADINO, CAROLE | LORD ABBETT SHORT DURATION INCOME F | 0.00 | 7.91 | 0.00 | 7.91 | 90.0 | 0.13 |
| 11/21/2016 | BROSIUS JR, ARTHUR | LORD ABBETT SHORT DURATION INCOME F | 0.00 | 6.32 | 0.00 | 6.32 | 90.0 | 0.11 |
| 11/21/2016 | HARDING, LORETTA | LORD ABBETT SHORT DURATION INCOME F | 0.00 | 12.81 | 0.00 | 12.81 | 90.0 | 0.22 |
| 11/21/2016 | MARINO, CHRISTINA | LORD ABBETT SHORT DURATION INCOME F | 0.00 | 4.73 | 0.00 | 4.73 | 90.0 | 0.08 |
| 12/21/2016 | BOWERS, DORA | LORD ABBETT SHORT DURATION INCOME F | 0.00 | 1.43 | 0.00 | 1.43 | 90.0 | 0.02 |
| 12/21/2016 | BOWERS, DORA | LORD ABBETT SHORT DURATION INCOME F | 0.00 | 19.40 | 0.00 | 19.40 | 90.0 | 0.33 |
| 12/21/2016 | BOWERS, DORA | LORD ABBETT SHORT DURATION INCOME F | 0.00 | 1.62 | 0.00 | 1.62 | 90.0 | 0.03 |
| 12/21/2016 | BOWERS, STEVEN | LORD ABBETT SHORT DURATION INCOME F | 0.00 | 2.62 | 0.00 | 2.62 | 90.0 | 0.04 |
| 12/21/2016 | BOWERS, STEVEN | LORD ABBETT SHORT DURATION INCOME F | 0.00 | 2.00 | 0.00 | 2.00 | 90.0 | 0.03 |
| 12/21/2016 | CAMPAGNA, MARIE | LORD ABBETT SHORT DURATION INCOME F | 0.00 | 6.18 | 0.00 | 6.18 | 90.0 | 0.11 |
| 12/21/2016 | CHERRY, ADAM | LORD ABBETT SHORT DURATION INCOME F | 0.00 | 94.12 | 0.00 | 94.12 | 90.0 | 1.60 |
| 12/21/2016 | KRAMER, LESLIE | LORD ABBETT SHORT DURATION INCOME F | 0.00 | 11.37 | 0.00 | 11.37 | 90.0 | 0.19 |
| 12/21/2016 | DADINO, CAROLE | LORD ABBETT SHORT DURATION INCOME F | 0.00 | 7.44 | 0.00 | 7.44 | 90.0 | 0.13 |
| 12/21/2016 | BROSIUS JR, ARTHUR | LORD ABBETT SHORT DURATION INCOME F | 0.00 | 6.10 | 0.00 | 6.10 | 90.0 | 0.10 |
| 12/21/2016 | HARDING, LORETTA | LORD ABBETT SHORT DURATION INCOME F | 0.00 | 12.37 | 0.00 | 12.37 | 90.0 | 0.21 |
| 12/21/2016 | MARINO, CHRISTINA | LORD ABBETT SHORT DURATION INCOME F | 0.00 | 4.57 | 0.00 | 4.57 | 90.0 | 0.08 |
| 02/25/2016 | MURRY, YVONNE | MAINSTAY CUSHING MLP PREMIER FUND C | 0.00 | 8.29 | 0.00 | 8.29 | 90.0 | 0.14 |
| 03/08/2016 | MURRY, YVONNE | MAINSTAY CUSHING MLP PREMIER FUND C | 0.00 | 7.00 | 0.00 | 7.00 | 90.0 | 0.12 |
| 04/22/2016 | MURRY, YVONNE | MAINSTAY CUSHING MLP PREMIER FUND C | 0.00 | 8.40 | 0.00 | 8.40 | 90.0 | 0.14 |
| 05/17/2016 | MURRY, YVONNE | MAINSTAY CUSHING MLP PREMIER FUND C | 0.00 | 8.84 | 0.00 | 8.84 | 90.0 | 0.15 |

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|--|------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u> OVERRIDE TRANSACTIONS </u> | | | | | | | | |
| <u>BROKER: MARC, L134 LINSKY #263</u> | | | | | | | | |
| 06/15/2016 | MURRY, YVONNE | MAINSTAY CUSHING MLP PREMIER FUND C | 0.00 | 10.09 | 0.00 | 10.09 | 90.0 | 0.17 |
| 07/14/2016 | MURRY, YVONNE | MAINSTAY CUSHING MLP PREMIER FUND C | 0.00 | 10.26 | 0.00 | 10.26 | 90.0 | 0.17 |
| 08/18/2016 | MURRY, YVONNE | MAINSTAY CUSHING MLP PREMIER FUND C | 0.00 | 10.86 | 0.00 | 10.86 | 90.0 | 0.18 |
| 09/15/2016 | MURRY, YVONNE | MAINSTAY CUSHING MLP PREMIER FUND C | 0.00 | 10.93 | 0.00 | 10.93 | 90.0 | 0.19 |
| 10/21/2016 | MURRY, YVONNE | MAINSTAY CUSHING MLP PREMIER FUND C | 0.00 | 10.57 | 0.00 | 10.57 | 90.0 | 0.18 |
| 11/09/2016 | MURRY, YVONNE | MAINSTAY CUSHING MLP PREMIER FUND C | 0.00 | 10.98 | 0.00 | 10.98 | 90.0 | 0.19 |
| 12/16/2016 | MURRY, YVONNE | MAINSTAY CUSHING MLP PREMIER FUND C | 0.00 | 10.39 | 0.00 | 10.39 | 90.0 | 0.18 |
| 02/25/2016 | FARBMAN, SANDRA | MAINSTAY CUSHING ROYALTY ENERGY INC | 0.00 | 1.29 | 0.00 | 1.29 | 90.0 | 0.02 |
| 02/25/2016 | FLEISCHMAN, RITA | MAINSTAY CUSHING ROYALTY ENERGY INC | 0.00 | 2.30 | 0.00 | 2.30 | 90.0 | 0.04 |
| 03/08/2016 | FARBMAN, SANDRA | MAINSTAY CUSHING ROYALTY ENERGY INC | 0.00 | 1.14 | 0.00 | 1.14 | 90.0 | 0.02 |
| 03/08/2016 | FLEISCHMAN, RITA | MAINSTAY CUSHING ROYALTY ENERGY INC | 0.00 | 2.01 | 0.00 | 2.01 | 90.0 | 0.03 |
| 04/22/2016 | FARBMAN, SANDRA | MAINSTAY CUSHING ROYALTY ENERGY INC | 0.00 | 1.36 | 0.00 | 1.36 | 90.0 | 0.02 |
| 04/22/2016 | FLEISCHMAN, RITA | MAINSTAY CUSHING ROYALTY ENERGY INC | 0.00 | 2.39 | 0.00 | 2.39 | 90.0 | 0.04 |
| 05/17/2016 | FARBMAN, SANDRA | MAINSTAY CUSHING ROYALTY ENERGY INC | 0.00 | 1.43 | 0.00 | 1.43 | 90.0 | 0.02 |
| 05/17/2016 | FLEISCHMAN, RITA | MAINSTAY CUSHING ROYALTY ENERGY INC | 0.00 | 2.50 | 0.00 | 2.50 | 90.0 | 0.04 |
| 06/15/2016 | FARBMAN, SANDRA | MAINSTAY CUSHING ROYALTY ENERGY INC | 0.00 | 1.59 | 0.00 | 1.59 | 90.0 | 0.03 |
| 06/15/2016 | FLEISCHMAN, RITA | MAINSTAY CUSHING ROYALTY ENERGY INC | 0.00 | 2.74 | 0.00 | 2.74 | 90.0 | 0.05 |
| 07/14/2016 | FARBMAN, SANDRA | MAINSTAY CUSHING ROYALTY ENERGY INC | 0.00 | 1.60 | 0.00 | 1.60 | 90.0 | 0.03 |
| 07/14/2016 | FLEISCHMAN, RITA | MAINSTAY CUSHING ROYALTY ENERGY INC | 0.00 | 2.76 | 0.00 | 2.76 | 90.0 | 0.05 |
| 08/18/2016 | FARBMAN, SANDRA | MAINSTAY CUSHING ROYALTY ENERGY INC | 0.00 | 1.70 | 0.00 | 1.70 | 90.0 | 0.03 |
| 08/18/2016 | FLEISCHMAN, RITA | MAINSTAY CUSHING ROYALTY ENERGY INC | 0.00 | 2.91 | 0.00 | 2.91 | 90.0 | 0.05 |
| 09/15/2016 | FARBMAN, SANDRA | MAINSTAY CUSHING ROYALTY ENERGY INC | 0.00 | 1.73 | 0.00 | 1.73 | 90.0 | 0.03 |
| 09/15/2016 | FLEISCHMAN, RITA | MAINSTAY CUSHING ROYALTY ENERGY INC | 0.00 | 2.90 | 0.00 | 2.90 | 90.0 | 0.05 |
| 10/21/2016 | FARBMAN, SANDRA | MAINSTAY CUSHING ROYALTY ENERGY INC | 0.00 | 1.68 | 0.00 | 1.68 | 90.0 | 0.03 |
| 10/21/2016 | FLEISCHMAN, RITA | MAINSTAY CUSHING ROYALTY ENERGY INC | 0.00 | 2.81 | 0.00 | 2.81 | 90.0 | 0.05 |
| 11/09/2016 | FARBMAN, SANDRA | MAINSTAY CUSHING ROYALTY ENERGY INC | 0.00 | 1.80 | 0.00 | 1.80 | 90.0 | 0.03 |
| 11/09/2016 | FLEISCHMAN, RITA | MAINSTAY CUSHING ROYALTY ENERGY INC | 0.00 | 2.98 | 0.00 | 2.98 | 90.0 | 0.05 |
| 12/16/2016 | FARBMAN, SANDRA | MAINSTAY CUSHING ROYALTY ENERGY INC | 0.00 | 1.75 | 0.00 | 1.75 | 90.0 | 0.03 |
| 12/16/2016 | FLEISCHMAN, RITA | MAINSTAY CUSHING ROYALTY ENERGY INC | 0.00 | 2.84 | 0.00 | 2.84 | 90.0 | 0.05 |
| 02/25/2016 | PAGLIA, DIANA | MAINSTAY FLOATING RATE FUND CLASS A | 0.00 | 0.44 | 0.00 | 0.44 | 90.0 | 0.01 |
| 03/08/2016 | PAGLIA, DIANA | MAINSTAY FLOATING RATE FUND CLASS A | 0.00 | 0.41 | 0.00 | 0.41 | 90.0 | 0.01 |
| 04/22/2016 | PAGLIA, DIANA | MAINSTAY FLOATING RATE FUND CLASS A | 0.00 | 0.45 | 0.00 | 0.45 | 90.0 | 0.01 |
| 05/17/2016 | PAGLIA, DIANA | MAINSTAY FLOATING RATE FUND CLASS A | 0.00 | 0.44 | 0.00 | 0.44 | 90.0 | 0.01 |

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|--|--------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u> OVERRIDE TRANSACTIONS </u> | | | | | | | | |
| <u> BROKER: MARC, L134 LINSKY #263 </u> | | | | | | | | |
| 06/15/2016 | PAGLIA, DIANA | MAINSTAY FLOATING RATE FUND CLASS A | 0.00 | 0.46 | 0.00 | 0.46 | 90.0 | 0.01 |
| 07/14/2016 | PAGLIA, DIANA | MAINSTAY FLOATING RATE FUND CLASS A | 0.00 | 0.45 | 0.00 | 0.45 | 90.0 | 0.01 |
| 08/18/2016 | PAGLIA, DIANA | MAINSTAY FLOATING RATE FUND CLASS A | 0.00 | 0.46 | 0.00 | 0.46 | 90.0 | 0.01 |
| 09/15/2016 | PAGLIA, DIANA | MAINSTAY FLOATING RATE FUND CLASS A | 0.00 | 0.47 | 0.00 | 0.47 | 90.0 | 0.01 |
| 10/21/2016 | PAGLIA, DIANA | MAINSTAY FLOATING RATE FUND CLASS A | 0.00 | 0.46 | 0.00 | 0.46 | 90.0 | 0.01 |
| 11/09/2016 | PAGLIA, DIANA | MAINSTAY FLOATING RATE FUND CLASS A | 0.00 | 0.47 | 0.00 | 0.47 | 90.0 | 0.01 |
| 12/16/2016 | PAGLIA, DIANA | MAINSTAY FLOATING RATE FUND CLASS A | 0.00 | 0.46 | 0.00 | 0.46 | 90.0 | 0.01 |
| 02/25/2016 | PAGLIA, DIANA | MAINSTAY HIGH YIELD CORP BOND A | 0.00 | 0.99 | 0.00 | 0.99 | 90.0 | 0.02 |
| 03/08/2016 | PAGLIA, DIANA | MAINSTAY HIGH YIELD CORP BOND A | 0.00 | 0.92 | 0.00 | 0.92 | 90.0 | 0.02 |
| 04/22/2016 | PAGLIA, DIANA | MAINSTAY HIGH YIELD CORP BOND A | 0.00 | 1.03 | 0.00 | 1.03 | 90.0 | 0.02 |
| 05/17/2016 | PAGLIA, DIANA | MAINSTAY HIGH YIELD CORP BOND A | 0.00 | 1.01 | 0.00 | 1.01 | 90.0 | 0.02 |
| 06/15/2016 | PAGLIA, DIANA | MAINSTAY HIGH YIELD CORP BOND A | 0.00 | 1.07 | 0.00 | 1.07 | 90.0 | 0.02 |
| 07/14/2016 | PAGLIA, DIANA | MAINSTAY HIGH YIELD CORP BOND A | 0.00 | 1.05 | 0.00 | 1.05 | 90.0 | 0.02 |
| 08/18/2016 | PAGLIA, DIANA | MAINSTAY HIGH YIELD CORP BOND A | 0.00 | 1.11 | 0.00 | 1.11 | 90.0 | 0.02 |
| 09/15/2016 | PAGLIA, DIANA | MAINSTAY HIGH YIELD CORP BOND A | 0.00 | 1.13 | 0.00 | 1.13 | 90.0 | 0.02 |
| 10/21/2016 | PAGLIA, DIANA | MAINSTAY HIGH YIELD CORP BOND A | 0.00 | 1.10 | 0.00 | 1.10 | 90.0 | 0.02 |
| 11/09/2016 | PAGLIA, DIANA | MAINSTAY HIGH YIELD CORP BOND A | 0.00 | 1.15 | 0.00 | 1.15 | 90.0 | 0.02 |
| 12/16/2016 | PAGLIA, DIANA | MAINSTAY HIGH YIELD CORP BOND A | 0.00 | 1.11 | 0.00 | 1.11 | 90.0 | 0.02 |
| 02/25/2016 | PAGLIA, DIANA | MAINSTAY LARGE CAP GROWTH FUND A | 0.00 | 0.55 | 0.00 | 0.55 | 90.0 | 0.01 |
| 03/08/2016 | PAGLIA, DIANA | MAINSTAY LARGE CAP GROWTH FUND A | 0.00 | 0.48 | 0.00 | 0.48 | 90.0 | 0.01 |
| 04/22/2016 | PAGLIA, DIANA | MAINSTAY LARGE CAP GROWTH FUND A | 0.00 | 0.55 | 0.00 | 0.55 | 90.0 | 0.01 |
| 05/17/2016 | PAGLIA, DIANA | MAINSTAY LARGE CAP GROWTH FUND A | 0.00 | 0.55 | 0.00 | 0.55 | 90.0 | 0.01 |
| 06/15/2016 | PAGLIA, DIANA | MAINSTAY LARGE CAP GROWTH FUND A | 0.00 | 0.56 | 0.00 | 0.56 | 90.0 | 0.01 |
| 07/14/2016 | PAGLIA, DIANA | MAINSTAY LARGE CAP GROWTH FUND A | 0.00 | 0.55 | 0.00 | 0.55 | 90.0 | 0.01 |
| 08/18/2016 | PAGLIA, DIANA | MAINSTAY LARGE CAP GROWTH FUND A | 0.00 | 0.58 | 0.00 | 0.58 | 90.0 | 0.01 |
| 09/15/2016 | PAGLIA, DIANA | MAINSTAY LARGE CAP GROWTH FUND A | 0.00 | 0.60 | 0.00 | 0.60 | 90.0 | 0.01 |
| 10/21/2016 | PAGLIA, DIANA | MAINSTAY LARGE CAP GROWTH FUND A | 0.00 | 0.57 | 0.00 | 0.57 | 90.0 | 0.01 |
| 11/09/2016 | PAGLIA, DIANA | MAINSTAY LARGE CAP GROWTH FUND A | 0.00 | 0.59 | 0.00 | 0.59 | 90.0 | 0.01 |
| 12/16/2016 | PAGLIA, DIANA | MAINSTAY LARGE CAP GROWTH FUND A | 0.00 | 0.56 | 0.00 | 0.56 | 90.0 | 0.01 |
| 02/08/2016 | KROSNOWSKI, THOMAS | MFS CORE EQUITY C | 0.00 | 4.79 | 0.00 | 4.79 | 90.0 | 0.08 |
| 03/14/2016 | KROSNOWSKI, THOMAS | MFS CORE EQUITY C | 0.00 | 4.39 | 0.00 | 4.39 | 90.0 | 0.07 |
| 04/15/2016 | KROSNOWSKI, THOMAS | MFS CORE EQUITY C | 0.00 | 5.00 | 0.00 | 5.00 | 90.0 | 0.09 |
| 05/17/2016 | KROSNOWSKI, THOMAS | MFS CORE EQUITY C | 0.00 | 4.97 | 0.00 | 4.97 | 90.0 | 0.08 |

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

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

| DATE | CLIENT | INVESTMENT | INVESTMENT AMOUNT | GROSS COMMISSION | CLEARING CHARGE | NET COMMISSION | RATE | BROKER COMMISSION |
|--|--------------------------|------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u> OVERRIDE TRANSACTIONS </u> | | | | | | | | |
| <u> BROKER: MARC, L134 LINSKY #263 </u> | | | | | | | | |
| 06/16/2016 | KROSNOWSKI, THOMAS | MFS CORE EQUITY C | 0.00 | 5.12 | 0.00 | 5.12 | 90.0 | 0.09 |
| 07/20/2016 | KROSNOWSKI, THOMAS | MFS CORE EQUITY C | 0.00 | 5.03 | 0.00 | 5.03 | 90.0 | 0.09 |
| 08/16/2016 | KROSNOWSKI, THOMAS | MFS CORE EQUITY C | 0.00 | 5.36 | 0.00 | 5.36 | 90.0 | 0.09 |
| 09/15/2016 | KROSNOWSKI, THOMAS | MFS CORE EQUITY C | 0.00 | 5.46 | 0.00 | 5.46 | 90.0 | 0.09 |
| 10/20/2016 | KROSNOWSKI, THOMAS | MFS CORE EQUITY C | 0.00 | 5.24 | 0.00 | 5.24 | 90.0 | 0.09 |
| 11/14/2016 | KROSNOWSKI, THOMAS | MFS CORE EQUITY C | 0.00 | 5.38 | 0.00 | 5.38 | 90.0 | 0.09 |
| 12/19/2016 | KROSNOWSKI, THOMAS | MFS CORE EQUITY C | 0.00 | 5.26 | 0.00 | 5.26 | 90.0 | 0.09 |
| 02/08/2016 | KROSNOWSKI, THOMAS | MFS EMERGINF MARKETS EQUITY FUND C | 0.00 | 10.67 | 0.00 | 10.67 | 90.0 | 0.18 |
| 03/14/2016 | KROSNOWSKI, THOMAS | MFS EMERGINF MARKETS EQUITY FUND C | 0.00 | 9.85 | 0.00 | 9.85 | 90.0 | 0.17 |
| 04/15/2016 | KROSNOWSKI, THOMAS | MFS EMERGINF MARKETS EQUITY FUND C | 0.00 | 11.42 | 0.00 | 11.42 | 90.0 | 0.19 |
| 05/17/2016 | KROSNOWSKI, THOMAS | MFS EMERGINF MARKETS EQUITY FUND C | 0.00 | 11.43 | 0.00 | 11.43 | 90.0 | 0.19 |
| 06/16/2016 | KROSNOWSKI, THOMAS | MFS EMERGINF MARKETS EQUITY FUND C | 0.00 | 11.58 | 0.00 | 11.58 | 90.0 | 0.20 |
| 07/20/2016 | KROSNOWSKI, THOMAS | MFS EMERGINF MARKETS EQUITY FUND C | 0.00 | 11.44 | 0.00 | 11.44 | 90.0 | 0.19 |
| 08/16/2016 | KROSNOWSKI, THOMAS | MFS EMERGINF MARKETS EQUITY FUND C | 0.00 | 12.30 | 0.00 | 12.30 | 90.0 | 0.21 |
| 09/15/2016 | KROSNOWSKI, THOMAS | MFS EMERGINF MARKETS EQUITY FUND C | 0.00 | 12.78 | 0.00 | 12.78 | 90.0 | 0.22 |
| 10/20/2016 | KROSNOWSKI, THOMAS | MFS EMERGINF MARKETS EQUITY FUND C | 0.00 | 12.52 | 0.00 | 12.52 | 90.0 | 0.21 |
| 11/14/2016 | KROSNOWSKI, THOMAS | MFS EMERGINF MARKETS EQUITY FUND C | 0.00 | 12.96 | 0.00 | 12.96 | 90.0 | 0.22 |
| 12/19/2016 | KROSNOWSKI, THOMAS | MFS EMERGINF MARKETS EQUITY FUND C | 0.00 | 12.06 | 0.00 | 12.06 | 90.0 | 0.21 |
| 02/08/2016 | CAMPAGNA, MARIE | MFS EMERGING MKTS DEBT FUND C | 0.00 | 7.39 | 0.00 | 7.39 | 90.0 | 0.13 |
| 03/14/2016 | CAMPAGNA, MARIE | MFS EMERGING MKTS DEBT FUND C | 0.00 | 6.92 | 0.00 | 6.92 | 90.0 | 0.12 |
| 04/15/2016 | CAMPAGNA, MARIE | MFS EMERGING MKTS DEBT FUND C | 0.00 | 7.62 | 0.00 | 7.62 | 90.0 | 0.13 |
| 05/17/2016 | CAMPAGNA, MARIE | MFS EMERGING MKTS DEBT FUND C | 0.00 | 7.51 | 0.00 | 7.51 | 90.0 | 0.13 |
| 06/16/2016 | CAMPAGNA, MARIE | MFS EMERGING MKTS DEBT FUND C | 0.00 | 7.80 | 0.00 | 7.80 | 90.0 | 0.13 |
| 07/20/2016 | CAMPAGNA, MARIE | MFS EMERGING MKTS DEBT FUND C | 0.00 | 7.62 | 0.00 | 7.62 | 90.0 | 0.13 |
| 08/16/2016 | CAMPAGNA, MARIE | MFS EMERGING MKTS DEBT FUND C | 0.00 | 8.09 | 0.00 | 8.09 | 90.0 | 0.14 |
| 09/15/2016 | CAMPAGNA, MARIE | MFS EMERGING MKTS DEBT FUND C | 0.00 | 8.18 | 0.00 | 8.18 | 90.0 | 0.14 |
| 10/20/2016 | CAMPAGNA, MARIE | MFS EMERGING MKTS DEBT FUND C | 0.00 | 7.91 | 0.00 | 7.91 | 90.0 | 0.13 |
| 11/14/2016 | CAMPAGNA, MARIE | MFS EMERGING MKTS DEBT FUND C | 0.00 | 8.14 | 0.00 | 8.14 | 90.0 | 0.14 |
| 12/19/2016 | CAMPAGNA, MARIE | MFS EMERGING MKTS DEBT FUND C | 0.00 | 7.60 | 0.00 | 7.60 | 90.0 | 0.13 |
| 02/08/2016 | SPECTER TRUST, STEPHANIE | MFS GROWTH C | 0.00 | 11.78 | 0.00 | 11.78 | 90.0 | 0.20 |
| 03/14/2016 | SPECTER TRUST, STEPHANIE | MFS GROWTH C | 0.00 | 10.67 | 0.00 | 10.67 | 90.0 | 0.18 |
| 04/15/2016 | SPECTER TRUST, STEPHANIE | MFS GROWTH C | 0.00 | 12.00 | 0.00 | 12.00 | 90.0 | 0.20 |
| 05/17/2016 | SPECTER TRUST, STEPHANIE | MFS GROWTH C | 0.00 | 11.93 | 0.00 | 11.93 | 90.0 | 0.20 |

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|---------------------------------------|--------------------------|------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u> OVERRIDE TRANSACTIONS </u> | | | | | | | | |
| BROKER: MARC, L134 LINSKY #263 | | | | | | | | |
| 06/16/2016 | SPECTER TRUST, STEPHANIE | MFS GROWTH C | 0.00 | 12.33 | 0.00 | 12.33 | 90.0 | 0.21 |
| 07/20/2016 | SPECTER TRUST, STEPHANIE | MFS GROWTH C | 0.00 | 12.01 | 0.00 | 12.01 | 90.0 | 0.20 |
| 08/16/2016 | SPECTER TRUST, STEPHANIE | MFS GROWTH C | 0.00 | 12.79 | 0.00 | 12.79 | 90.0 | 0.22 |
| 09/15/2016 | SPECTER TRUST, STEPHANIE | MFS GROWTH C | 0.00 | 13.03 | 0.00 | 13.03 | 90.0 | 0.22 |
| 10/20/2016 | SPECTER TRUST, STEPHANIE | MFS GROWTH C | 0.00 | 12.42 | 0.00 | 12.42 | 90.0 | 0.21 |
| 11/14/2016 | SPECTER TRUST, STEPHANIE | MFS GROWTH C | 0.00 | 12.80 | 0.00 | 12.80 | 90.0 | 0.22 |
| 12/19/2016 | SPECTER TRUST, STEPHANIE | MFS GROWTH C | 0.00 | 12.22 | 0.00 | 12.22 | 90.0 | 0.21 |
| 02/08/2016 | KROSNOWSKI, THOMAS | MFS INTERNATIONAL VALUE FUND C | 0.00 | 12.03 | 0.00 | 12.03 | 90.0 | 0.20 |
| 03/14/2016 | KROSNOWSKI, THOMAS | MFS INTERNATIONAL VALUE FUND C | 0.00 | 11.29 | 0.00 | 11.29 | 90.0 | 0.19 |
| 04/15/2016 | KROSNOWSKI, THOMAS | MFS INTERNATIONAL VALUE FUND C | 0.00 | 12.71 | 0.00 | 12.71 | 90.0 | 0.22 |
| 05/17/2016 | KROSNOWSKI, THOMAS | MFS INTERNATIONAL VALUE FUND C | 0.00 | 12.61 | 0.00 | 12.61 | 90.0 | 0.21 |
| 06/16/2016 | KROSNOWSKI, THOMAS | MFS INTERNATIONAL VALUE FUND C | 0.00 | 13.00 | 0.00 | 13.00 | 90.0 | 0.22 |
| 07/20/2016 | KROSNOWSKI, THOMAS | MFS INTERNATIONAL VALUE FUND C | 0.00 | 12.62 | 0.00 | 12.62 | 90.0 | 0.21 |
| 08/16/2016 | KROSNOWSKI, THOMAS | MFS INTERNATIONAL VALUE FUND C | 0.00 | 13.38 | 0.00 | 13.38 | 90.0 | 0.23 |
| 09/15/2016 | KROSNOWSKI, THOMAS | MFS INTERNATIONAL VALUE FUND C | 0.00 | 13.77 | 0.00 | 13.77 | 90.0 | 0.23 |
| 10/20/2016 | KROSNOWSKI, THOMAS | MFS INTERNATIONAL VALUE FUND C | 0.00 | 13.32 | 0.00 | 13.32 | 90.0 | 0.23 |
| 11/14/2016 | KROSNOWSKI, THOMAS | MFS INTERNATIONAL VALUE FUND C | 0.00 | 13.53 | 0.00 | 13.53 | 90.0 | 0.23 |
| 12/19/2016 | KROSNOWSKI, THOMAS | MFS INTERNATIONAL VALUE FUND C | 0.00 | 12.51 | 0.00 | 12.51 | 90.0 | 0.21 |
| 02/08/2016 | BOWERS, DORA | MFS INTERNATIONAL VALUE FUND CLASS | 0.00 | 0.54 | 0.00 | 0.54 | 90.0 | 0.01 |
| 03/14/2016 | BOWERS, DORA | MFS INTERNATIONAL VALUE FUND CLASS | 0.00 | 0.50 | 0.00 | 0.50 | 90.0 | 0.01 |
| 04/15/2016 | BOWERS, DORA | MFS INTERNATIONAL VALUE FUND CLASS | 0.00 | 0.57 | 0.00 | 0.57 | 90.0 | 0.01 |
| 05/17/2016 | BOWERS, DORA | MFS INTERNATIONAL VALUE FUND CLASS | 0.00 | 0.56 | 0.00 | 0.56 | 90.0 | 0.01 |
| 06/16/2016 | BOWERS, DORA | MFS INTERNATIONAL VALUE FUND CLASS | 0.00 | 0.58 | 0.00 | 0.58 | 90.0 | 0.01 |
| 07/20/2016 | BOWERS, DORA | MFS INTERNATIONAL VALUE FUND CLASS | 0.00 | 0.57 | 0.00 | 0.57 | 90.0 | 0.01 |
| 08/16/2016 | BOWERS, DORA | MFS INTERNATIONAL VALUE FUND CLASS | 0.00 | 0.60 | 0.00 | 0.60 | 90.0 | 0.01 |
| 09/15/2016 | BOWERS, DORA | MFS INTERNATIONAL VALUE FUND CLASS | 0.00 | 0.62 | 0.00 | 0.62 | 90.0 | 0.01 |
| 10/20/2016 | BOWERS, DORA | MFS INTERNATIONAL VALUE FUND CLASS | 0.00 | 0.60 | 0.00 | 0.60 | 90.0 | 0.01 |
| 11/14/2016 | BOWERS, DORA | MFS INTERNATIONAL VALUE FUND CLASS | 0.00 | 0.61 | 0.00 | 0.61 | 90.0 | 0.01 |
| 12/19/2016 | BOWERS, DORA | MFS INTERNATIONAL VALUE FUND CLASS | 0.00 | 0.56 | 0.00 | 0.56 | 90.0 | 0.01 |
| 02/08/2016 | SPECTER TRUST, BRADLEY | MFS MID-CAP VALUE FUND CLASS C | 0.00 | 7.20 | 0.00 | 7.20 | 90.0 | 0.12 |
| 02/08/2016 | SPECTER TRUST, STEPHANIE | MFS MID-CAP VALUE FUND CLASS C | 0.00 | 17.23 | 0.00 | 17.23 | 90.0 | 0.29 |
| 03/14/2016 | SPECTER TRUST, BRADLEY | MFS MID-CAP VALUE FUND CLASS C | 0.00 | 6.66 | 0.00 | 6.66 | 90.0 | 0.11 |
| 03/14/2016 | SPECTER TRUST, STEPHANIE | MFS MID-CAP VALUE FUND CLASS C | 0.00 | 15.95 | 0.00 | 15.95 | 90.0 | 0.27 |

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|--|--------------------------|--------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u> OVERRIDE TRANSACTIONS </u> | | | | | | | | |
| <u> BROKER: MARC, L134 LINSKY #263 </u> | | | | | | | | |
| 04/15/2016 | SPECTER TRUST, BRADLEY | MFS MID-CAP VALUE FUND CLASS C | 0.00 | 7.75 | 0.00 | 7.75 | 90.0 | 0.13 |
| 04/15/2016 | SPECTER TRUST, STEPHANIE | MFS MID-CAP VALUE FUND CLASS C | 0.00 | 18.54 | 0.00 | 18.54 | 90.0 | 0.32 |
| 05/17/2016 | SPECTER TRUST, BRADLEY | MFS MID-CAP VALUE FUND CLASS C | 0.00 | 7.75 | 0.00 | 7.75 | 90.0 | 0.13 |
| 05/17/2016 | SPECTER TRUST, STEPHANIE | MFS MID-CAP VALUE FUND CLASS C | 0.00 | 18.55 | 0.00 | 18.55 | 90.0 | 0.32 |
| 06/16/2016 | SPECTER TRUST, BRADLEY | MFS MID-CAP VALUE FUND CLASS C | 0.00 | 8.05 | 0.00 | 8.05 | 90.0 | 0.14 |
| 06/16/2016 | SPECTER TRUST, STEPHANIE | MFS MID-CAP VALUE FUND CLASS C | 0.00 | 19.26 | 0.00 | 19.26 | 90.0 | 0.33 |
| 07/20/2016 | SPECTER TRUST, BRADLEY | MFS MID-CAP VALUE FUND CLASS C | 0.00 | 7.84 | 0.00 | 7.84 | 90.0 | 0.13 |
| 07/20/2016 | SPECTER TRUST, STEPHANIE | MFS MID-CAP VALUE FUND CLASS C | 0.00 | 18.77 | 0.00 | 18.77 | 90.0 | 0.32 |
| 08/16/2016 | SPECTER TRUST, BRADLEY | MFS MID-CAP VALUE FUND CLASS C | 0.00 | 8.27 | 0.00 | 8.27 | 90.0 | 0.14 |
| 08/16/2016 | SPECTER TRUST, STEPHANIE | MFS MID-CAP VALUE FUND CLASS C | 0.00 | 19.80 | 0.00 | 19.80 | 90.0 | 0.34 |
| 09/15/2016 | SPECTER TRUST, BRADLEY | MFS MID-CAP VALUE FUND CLASS C | 0.00 | 8.41 | 0.00 | 8.41 | 90.0 | 0.14 |
| 09/15/2016 | SPECTER TRUST, STEPHANIE | MFS MID-CAP VALUE FUND CLASS C | 0.00 | 20.14 | 0.00 | 20.14 | 90.0 | 0.34 |
| 10/20/2016 | SPECTER TRUST, BRADLEY | MFS MID-CAP VALUE FUND CLASS C | 0.00 | 8.10 | 0.00 | 8.10 | 90.0 | 0.14 |
| 10/20/2016 | SPECTER TRUST, STEPHANIE | MFS MID-CAP VALUE FUND CLASS C | 0.00 | 19.39 | 0.00 | 19.39 | 90.0 | 0.33 |
| 11/14/2016 | SPECTER TRUST, BRADLEY | MFS MID-CAP VALUE FUND CLASS C | 0.00 | 8.31 | 0.00 | 8.31 | 90.0 | 0.14 |
| 11/14/2016 | SPECTER TRUST, STEPHANIE | MFS MID-CAP VALUE FUND CLASS C | 0.00 | 19.90 | 0.00 | 19.90 | 90.0 | 0.34 |
| 12/19/2016 | SPECTER TRUST, BRADLEY | MFS MID-CAP VALUE FUND CLASS C | 0.00 | 8.17 | 0.00 | 8.17 | 90.0 | 0.14 |
| 12/19/2016 | SPECTER TRUST, STEPHANIE | MFS MID-CAP VALUE FUND CLASS C | 0.00 | 19.55 | 0.00 | 19.55 | 90.0 | 0.33 |
| 02/08/2016 | SPECTER TRUST, BRADLEY | MFS MIDCAP GROWTH C | 0.00 | 6.23 | 0.00 | 6.23 | 90.0 | 0.11 |
| 02/08/2016 | SPECTER TRUST, STEPHANIE | MFS MIDCAP GROWTH C | 0.00 | 14.69 | 0.00 | 14.69 | 90.0 | 0.25 |
| 02/08/2016 | KROSNOWSKI, THOMAS | MFS MIDCAP GROWTH C | 0.00 | 4.26 | 0.00 | 4.26 | 90.0 | 0.07 |
| 03/14/2016 | SPECTER TRUST, BRADLEY | MFS MIDCAP GROWTH C | 0.00 | 5.63 | 0.00 | 5.63 | 90.0 | 0.10 |
| 03/14/2016 | SPECTER TRUST, STEPHANIE | MFS MIDCAP GROWTH C | 0.00 | 13.27 | 0.00 | 13.27 | 90.0 | 0.23 |
| 03/14/2016 | KROSNOWSKI, THOMAS | MFS MIDCAP GROWTH C | 0.00 | 3.85 | 0.00 | 3.85 | 90.0 | 0.07 |
| 04/15/2016 | SPECTER TRUST, BRADLEY | MFS MIDCAP GROWTH C | 0.00 | 6.40 | 0.00 | 6.40 | 90.0 | 0.11 |
| 04/15/2016 | SPECTER TRUST, STEPHANIE | MFS MIDCAP GROWTH C | 0.00 | 15.10 | 0.00 | 15.10 | 90.0 | 0.26 |
| 04/15/2016 | KROSNOWSKI, THOMAS | MFS MIDCAP GROWTH C | 0.00 | 4.38 | 0.00 | 4.38 | 90.0 | 0.07 |
| 05/17/2016 | SPECTER TRUST, BRADLEY | MFS MIDCAP GROWTH C | 0.00 | 6.40 | 0.00 | 6.40 | 90.0 | 0.11 |
| 05/17/2016 | SPECTER TRUST, STEPHANIE | MFS MIDCAP GROWTH C | 0.00 | 15.09 | 0.00 | 15.09 | 90.0 | 0.26 |
| 05/17/2016 | KROSNOWSKI, THOMAS | MFS MIDCAP GROWTH C | 0.00 | 4.38 | 0.00 | 4.38 | 90.0 | 0.07 |
| 06/16/2016 | SPECTER TRUST, BRADLEY | MFS MIDCAP GROWTH C | 0.00 | 6.63 | 0.00 | 6.63 | 90.0 | 0.11 |
| 06/16/2016 | SPECTER TRUST, STEPHANIE | MFS MIDCAP GROWTH C | 0.00 | 15.63 | 0.00 | 15.63 | 90.0 | 0.27 |
| 06/16/2016 | KROSNOWSKI, THOMAS | MFS MIDCAP GROWTH C | 0.00 | 4.53 | 0.00 | 4.53 | 90.0 | 0.08 |

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|--|--------------------------|---------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u> OVERRIDE TRANSACTIONS </u> | | | | | | | | |
| <u> BROKER: MARC, L134 LINSKY #263 </u> | | | | | | | | |
| 07/20/2016 | SPECTER TRUST, BRADLEY | MFS MIDCAP GROWTH C | 0.00 | 6.47 | 0.00 | 6.47 | 90.0 | 0.11 |
| 07/20/2016 | SPECTER TRUST, STEPHANIE | MFS MIDCAP GROWTH C | 0.00 | 15.27 | 0.00 | 15.27 | 90.0 | 0.26 |
| 07/20/2016 | KROSNOWSKI, THOMAS | MFS MIDCAP GROWTH C | 0.00 | 4.43 | 0.00 | 4.43 | 90.0 | 0.08 |
| 08/16/2016 | SPECTER TRUST, BRADLEY | MFS MIDCAP GROWTH C | 0.00 | 6.90 | 0.00 | 6.90 | 90.0 | 0.12 |
| 08/16/2016 | SPECTER TRUST, STEPHANIE | MFS MIDCAP GROWTH C | 0.00 | 16.27 | 0.00 | 16.27 | 90.0 | 0.28 |
| 08/16/2016 | KROSNOWSKI, THOMAS | MFS MIDCAP GROWTH C | 0.00 | 4.72 | 0.00 | 4.72 | 90.0 | 0.08 |
| 09/15/2016 | SPECTER TRUST, BRADLEY | MFS MIDCAP GROWTH C | 0.00 | 7.02 | 0.00 | 7.02 | 90.0 | 0.12 |
| 09/15/2016 | SPECTER TRUST, STEPHANIE | MFS MIDCAP GROWTH C | 0.00 | 16.55 | 0.00 | 16.55 | 90.0 | 0.28 |
| 09/15/2016 | KROSNOWSKI, THOMAS | MFS MIDCAP GROWTH C | 0.00 | 4.80 | 0.00 | 4.80 | 90.0 | 0.08 |
| 10/20/2016 | SPECTER TRUST, BRADLEY | MFS MIDCAP GROWTH C | 0.00 | 6.72 | 0.00 | 6.72 | 90.0 | 0.11 |
| 10/20/2016 | SPECTER TRUST, STEPHANIE | MFS MIDCAP GROWTH C | 0.00 | 15.86 | 0.00 | 15.86 | 90.0 | 0.27 |
| 10/20/2016 | KROSNOWSKI, THOMAS | MFS MIDCAP GROWTH C | 0.00 | 4.60 | 0.00 | 4.60 | 90.0 | 0.08 |
| 11/14/2016 | SPECTER TRUST, BRADLEY | MFS MIDCAP GROWTH C | 0.00 | 6.84 | 0.00 | 6.84 | 90.0 | 0.12 |
| 11/14/2016 | SPECTER TRUST, STEPHANIE | MFS MIDCAP GROWTH C | 0.00 | 16.14 | 0.00 | 16.14 | 90.0 | 0.27 |
| 11/14/2016 | KROSNOWSKI, THOMAS | MFS MIDCAP GROWTH C | 0.00 | 4.68 | 0.00 | 4.68 | 90.0 | 0.08 |
| 12/19/2016 | SPECTER TRUST, BRADLEY | MFS MIDCAP GROWTH C | 0.00 | 6.59 | 0.00 | 6.59 | 90.0 | 0.11 |
| 12/19/2016 | SPECTER TRUST, STEPHANIE | MFS MIDCAP GROWTH C | 0.00 | 15.55 | 0.00 | 15.55 | 90.0 | 0.26 |
| 12/19/2016 | KROSNOWSKI, THOMAS | MFS MIDCAP GROWTH C | 0.00 | 4.51 | 0.00 | 4.51 | 90.0 | 0.08 |
| 02/08/2016 | KROSNOWSKI, THOMAS | MFS RESEARCH FUND-C | 0.00 | 4.47 | 0.00 | 4.47 | 90.0 | 0.08 |
| 03/14/2016 | KROSNOWSKI, THOMAS | MFS RESEARCH FUND-C | 0.00 | 4.11 | 0.00 | 4.11 | 90.0 | 0.07 |
| 04/15/2016 | KROSNOWSKI, THOMAS | MFS RESEARCH FUND-C | 0.00 | 4.65 | 0.00 | 4.65 | 90.0 | 0.08 |
| 05/17/2016 | KROSNOWSKI, THOMAS | MFS RESEARCH FUND-C | 0.00 | 4.62 | 0.00 | 4.62 | 90.0 | 0.08 |
| 06/16/2016 | KROSNOWSKI, THOMAS | MFS RESEARCH FUND-C | 0.00 | 4.79 | 0.00 | 4.79 | 90.0 | 0.08 |
| 07/20/2016 | KROSNOWSKI, THOMAS | MFS RESEARCH FUND-C | 0.00 | 4.70 | 0.00 | 4.70 | 90.0 | 0.08 |
| 08/16/2016 | KROSNOWSKI, THOMAS | MFS RESEARCH FUND-C | 0.00 | 5.00 | 0.00 | 5.00 | 90.0 | 0.09 |
| 09/15/2016 | KROSNOWSKI, THOMAS | MFS RESEARCH FUND-C | 0.00 | 5.09 | 0.00 | 5.09 | 90.0 | 0.09 |
| 10/20/2016 | KROSNOWSKI, THOMAS | MFS RESEARCH FUND-C | 0.00 | 4.89 | 0.00 | 4.89 | 90.0 | 0.08 |
| 11/14/2016 | KROSNOWSKI, THOMAS | MFS RESEARCH FUND-C | 0.00 | 5.01 | 0.00 | 5.01 | 90.0 | 0.09 |
| 12/19/2016 | KROSNOWSKI, THOMAS | MFS RESEARCH FUND-C | 0.00 | 4.84 | 0.00 | 4.84 | 90.0 | 0.08 |
| 02/08/2016 | SPECTER TRUST, STEPHANIE | MFS RESEARCH INTL C | 0.00 | 21.49 | 0.00 | 21.49 | 90.0 | 0.37 |
| 03/14/2016 | SPECTER TRUST, STEPHANIE | MFS RESEARCH INTL C | 0.00 | 19.44 | 0.00 | 19.44 | 90.0 | 0.33 |
| 04/15/2016 | SPECTER TRUST, STEPHANIE | MFS RESEARCH INTL C | 0.00 | 21.95 | 0.00 | 21.95 | 90.0 | 0.37 |
| 05/17/2016 | SPECTER TRUST, STEPHANIE | MFS RESEARCH INTL C | 0.00 | 21.68 | 0.00 | 21.68 | 90.0 | 0.37 |

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

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

| DATE | CLIENT | INVESTMENT | INVESTMENT AMOUNT | GROSS COMMISSION | CLEARING CHARGE | NET COMMISSION | RATE | BROKER COMMISSION |
|--|--------------------------|-----------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u> OVERRIDE TRANSACTIONS </u> | | | | | | | | |
| <u> BROKER: MARC, L134 LINSKY #263 </u> | | | | | | | | |
| 06/16/2016 | SPECTER TRUST, STEPHANIE | MFS RESEARCH INTL C | 0.00 | 22.39 | 0.00 | 22.39 | 90.0 | 0.38 |
| 07/20/2016 | SPECTER TRUST, STEPHANIE | MFS RESEARCH INTL C | 0.00 | 21.59 | 0.00 | 21.59 | 90.0 | 0.37 |
| 08/16/2016 | SPECTER TRUST, STEPHANIE | MFS RESEARCH INTL C | 0.00 | 22.53 | 0.00 | 22.53 | 90.0 | 0.38 |
| 09/15/2016 | SPECTER TRUST, STEPHANIE | MFS RESEARCH INTL C | 0.00 | 23.28 | 0.00 | 23.28 | 90.0 | 0.40 |
| 10/20/2016 | SPECTER TRUST, STEPHANIE | MFS RESEARCH INTL C | 0.00 | 22.58 | 0.00 | 22.58 | 90.0 | 0.38 |
| 11/14/2016 | SPECTER TRUST, STEPHANIE | MFS RESEARCH INTL C | 0.00 | 23.04 | 0.00 | 23.04 | 90.0 | 0.39 |
| 12/19/2016 | SPECTER TRUST, STEPHANIE | MFS RESEARCH INTL C | 0.00 | 21.65 | 0.00 | 21.65 | 90.0 | 0.37 |
| 02/08/2016 | KROSNOWSKI, THOMAS | MFS TECHNOLOGY FUND-C | 0.00 | 7.67 | 0.00 | 7.67 | 90.0 | 0.13 |
| 03/14/2016 | KROSNOWSKI, THOMAS | MFS TECHNOLOGY FUND-C | 0.00 | 6.83 | 0.00 | 6.83 | 90.0 | 0.12 |
| 04/15/2016 | KROSNOWSKI, THOMAS | MFS TECHNOLOGY FUND-C | 0.00 | 7.85 | 0.00 | 7.85 | 90.0 | 0.13 |
| 05/17/2016 | KROSNOWSKI, THOMAS | MFS TECHNOLOGY FUND-C | 0.00 | 7.86 | 0.00 | 7.86 | 90.0 | 0.13 |
| 06/16/2016 | KROSNOWSKI, THOMAS | MFS TECHNOLOGY FUND-C | 0.00 | 8.15 | 0.00 | 8.15 | 90.0 | 0.14 |
| 07/20/2016 | KROSNOWSKI, THOMAS | MFS TECHNOLOGY FUND-C | 0.00 | 8.03 | 0.00 | 8.03 | 90.0 | 0.14 |
| 08/16/2016 | KROSNOWSKI, THOMAS | MFS TECHNOLOGY FUND-C | 0.00 | 8.51 | 0.00 | 8.51 | 90.0 | 0.14 |
| 09/15/2016 | KROSNOWSKI, THOMAS | MFS TECHNOLOGY FUND-C | 0.00 | 8.87 | 0.00 | 8.87 | 90.0 | 0.15 |
| 10/20/2016 | KROSNOWSKI, THOMAS | MFS TECHNOLOGY FUND-C | 0.00 | 8.66 | 0.00 | 8.66 | 90.0 | 0.15 |
| 11/14/2016 | KROSNOWSKI, THOMAS | MFS TECHNOLOGY FUND-C | 0.00 | 9.05 | 0.00 | 9.05 | 90.0 | 0.15 |
| 12/19/2016 | KROSNOWSKI, THOMAS | MFS TECHNOLOGY FUND-C | 0.00 | 8.60 | 0.00 | 8.60 | 90.0 | 0.15 |
| 02/08/2016 | SPECTER TRUST, BRADLEY | MFS VALUE C | 0.00 | 7.12 | 0.00 | 7.12 | 90.0 | 0.12 |
| 02/08/2016 | SPECTER TRUST, STEPHANIE | MFS VALUE C | 0.00 | 11.07 | 0.00 | 11.07 | 90.0 | 0.19 |
| 03/14/2016 | SPECTER TRUST, BRADLEY | MFS VALUE C | 0.00 | 6.67 | 0.00 | 6.67 | 90.0 | 0.11 |
| 03/14/2016 | SPECTER TRUST, STEPHANIE | MFS VALUE C | 0.00 | 10.37 | 0.00 | 10.37 | 90.0 | 0.18 |
| 04/15/2016 | SPECTER TRUST, BRADLEY | MFS VALUE C | 0.00 | 7.55 | 0.00 | 7.55 | 90.0 | 0.13 |
| 04/15/2016 | SPECTER TRUST, STEPHANIE | MFS VALUE C | 0.00 | 11.75 | 0.00 | 11.75 | 90.0 | 0.20 |
| 05/17/2016 | SPECTER TRUST, BRADLEY | MFS VALUE C | 0.00 | 7.52 | 0.00 | 7.52 | 90.0 | 0.13 |
| 05/17/2016 | SPECTER TRUST, STEPHANIE | MFS VALUE C | 0.00 | 11.70 | 0.00 | 11.70 | 90.0 | 0.20 |
| 06/16/2016 | SPECTER TRUST, BRADLEY | MFS VALUE C | 0.00 | 7.86 | 0.00 | 7.86 | 90.0 | 0.13 |
| 06/16/2016 | SPECTER TRUST, STEPHANIE | MFS VALUE C | 0.00 | 12.23 | 0.00 | 12.23 | 90.0 | 0.21 |
| 07/20/2016 | SPECTER TRUST, BRADLEY | MFS VALUE C | 0.00 | 7.66 | 0.00 | 7.66 | 90.0 | 0.13 |
| 07/20/2016 | SPECTER TRUST, STEPHANIE | MFS VALUE C | 0.00 | 11.92 | 0.00 | 11.92 | 90.0 | 0.20 |
| 08/16/2016 | SPECTER TRUST, BRADLEY | MFS VALUE C | 0.00 | 8.14 | 0.00 | 8.14 | 90.0 | 0.14 |
| 08/16/2016 | SPECTER TRUST, STEPHANIE | MFS VALUE C | 0.00 | 12.67 | 0.00 | 12.67 | 90.0 | 0.22 |
| 09/15/2016 | SPECTER TRUST, BRADLEY | MFS VALUE C | 0.00 | 8.25 | 0.00 | 8.25 | 90.0 | 0.14 |

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| DATE | CLIENT | INVESTMENT | INVESTMENT AMOUNT | GROSS COMMISSION | CLEARING CHARGE | NET COMMISSION | RATE | BROKER COMMISSION |
|--|--------------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u> OVERRIDE TRANSACTIONS </u> | | | | | | | | |
| <u> BROKER: MARC, L134 LINSKY #263 </u> | | | | | | | | |
| 09/15/2016 | SPECTER TRUST, STEPHANIE | MFS VALUE C | 0.00 | 12.83 | 0.00 | 12.83 | 90.0 | 0.22 |
| 10/20/2016 | SPECTER TRUST, BRADLEY | MFS VALUE C | 0.00 | 7.88 | 0.00 | 7.88 | 90.0 | 0.13 |
| 10/20/2016 | SPECTER TRUST, STEPHANIE | MFS VALUE C | 0.00 | 12.26 | 0.00 | 12.26 | 90.0 | 0.21 |
| 11/14/2016 | SPECTER TRUST, BRADLEY | MFS VALUE C | 0.00 | 8.05 | 0.00 | 8.05 | 90.0 | 0.14 |
| 11/14/2016 | SPECTER TRUST, STEPHANIE | MFS VALUE C | 0.00 | 12.52 | 0.00 | 12.52 | 90.0 | 0.21 |
| 12/19/2016 | SPECTER TRUST, BRADLEY | MFS VALUE C | 0.00 | 7.96 | 0.00 | 7.96 | 90.0 | 0.14 |
| 12/19/2016 | SPECTER TRUST, STEPHANIE | MFS VALUE C | 0.00 | 12.39 | 0.00 | 12.39 | 90.0 | 0.21 |
| 02/22/2016 | DUBIN, JON | OPPENHEIMER COMMODITY STRATEGY TL R | 0.00 | 1.08 | 0.00 | 1.08 | 90.0 | 0.02 |
| 03/17/2016 | DUBIN, JON | OPPENHEIMER COMMODITY STRATEGY TL R | 0.00 | 1.01 | 0.00 | 1.01 | 90.0 | 0.02 |
| 04/21/2016 | DUBIN, JON | OPPENHEIMER COMMODITY STRATEGY TL R | 0.00 | 1.14 | 0.00 | 1.14 | 90.0 | 0.02 |
| 05/19/2016 | DUBIN, JON | OPPENHEIMER COMMODITY STRATEGY TL R | 0.00 | 1.13 | 0.00 | 1.13 | 90.0 | 0.02 |
| 06/30/2016 | DUBIN, JON | OPPENHEIMER COMMODITY STRATEGY TL R | 0.00 | 1.21 | 0.00 | 1.21 | 90.0 | 0.02 |
| 07/18/2016 | DUBIN, JON | OPPENHEIMER COMMODITY STRATEGY TL R | 0.00 | 1.22 | 0.00 | 1.22 | 90.0 | 0.02 |
| 08/24/2016 | DUBIN, JON | OPPENHEIMER COMMODITY STRATEGY TL R | 0.00 | 0.56 | 0.00 | 0.56 | 90.0 | 0.01 |
| 02/22/2016 | KROSNOWSKI, THOMAS | OPPENHEIMER DISCOVERY A | 0.00 | 0.89 | 0.00 | 0.89 | 90.0 | 0.02 |
| 03/17/2016 | KROSNOWSKI, THOMAS | OPPENHEIMER DISCOVERY A | 0.00 | 0.77 | 0.00 | 0.77 | 90.0 | 0.01 |
| 04/21/2016 | KROSNOWSKI, THOMAS | OPPENHEIMER DISCOVERY A | 0.00 | 0.88 | 0.00 | 0.88 | 90.0 | 0.01 |
| 05/19/2016 | KROSNOWSKI, THOMAS | OPPENHEIMER DISCOVERY A | 0.00 | 0.89 | 0.00 | 0.89 | 90.0 | 0.02 |
| 06/30/2016 | KROSNOWSKI, THOMAS | OPPENHEIMER DISCOVERY A | 0.00 | 0.92 | 0.00 | 0.92 | 90.0 | 0.02 |
| 07/18/2016 | KROSNOWSKI, THOMAS | OPPENHEIMER DISCOVERY A | 0.00 | 0.92 | 0.00 | 0.92 | 90.0 | 0.02 |
| 08/24/2016 | KROSNOWSKI, THOMAS | OPPENHEIMER DISCOVERY A | 0.00 | 0.99 | 0.00 | 0.99 | 90.0 | 0.02 |
| 09/22/2016 | KROSNOWSKI, THOMAS | OPPENHEIMER DISCOVERY A | 0.00 | 1.01 | 0.00 | 1.01 | 90.0 | 0.02 |
| 10/21/2016 | KROSNOWSKI, THOMAS | OPPENHEIMER DISCOVERY A | 0.00 | 0.98 | 0.00 | 0.98 | 90.0 | 0.02 |
| 11/21/2016 | KROSNOWSKI, THOMAS | OPPENHEIMER DISCOVERY A | 0.00 | 0.99 | 0.00 | 0.99 | 90.0 | 0.02 |
| 12/19/2016 | KROSNOWSKI, THOMAS | OPPENHEIMER DISCOVERY A | 0.00 | 0.96 | 0.00 | 0.96 | 90.0 | 0.02 |
| 02/22/2016 | KROSNOWSKI, THOMAS | OPPENHEIMER GLOBAL OPPORTUNITIES A | 0.00 | 0.64 | 0.00 | 0.64 | 90.0 | 0.01 |
| 03/17/2016 | KROSNOWSKI, THOMAS | OPPENHEIMER GLOBAL OPPORTUNITIES A | 0.00 | 0.56 | 0.00 | 0.56 | 90.0 | 0.01 |
| 04/21/2016 | KROSNOWSKI, THOMAS | OPPENHEIMER GLOBAL OPPORTUNITIES A | 0.00 | 0.65 | 0.00 | 0.65 | 90.0 | 0.01 |
| 05/19/2016 | KROSNOWSKI, THOMAS | OPPENHEIMER GLOBAL OPPORTUNITIES A | 0.00 | 0.68 | 0.00 | 0.68 | 90.0 | 0.01 |
| 06/30/2016 | KROSNOWSKI, THOMAS | OPPENHEIMER GLOBAL OPPORTUNITIES A | 0.00 | 0.71 | 0.00 | 0.71 | 90.0 | 0.01 |
| 07/18/2016 | KROSNOWSKI, THOMAS | OPPENHEIMER GLOBAL OPPORTUNITIES A | 0.00 | 0.69 | 0.00 | 0.69 | 90.0 | 0.01 |
| 08/24/2016 | KROSNOWSKI, THOMAS | OPPENHEIMER GLOBAL OPPORTUNITIES A | 0.00 | 0.73 | 0.00 | 0.73 | 90.0 | 0.01 |
| 09/22/2016 | KROSNOWSKI, THOMAS | OPPENHEIMER GLOBAL OPPORTUNITIES A | 0.00 | 0.78 | 0.00 | 0.78 | 90.0 | 0.01 |

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|--|--------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u> OVERRIDE TRANSACTIONS </u> | | | | | | | | |
| <u> BROKER: MARC, L134 LINSKY #263 </u> | | | | | | | | |
| 10/21/2016 | KROSNOWSKI, THOMAS | OPPENHEIMER GLOBAL OPPORTUNITIES A | 0.00 | 0.78 | 0.00 | 0.78 | 90.0 | 0.01 |
| 11/21/2016 | KROSNOWSKI, THOMAS | OPPENHEIMER GLOBAL OPPORTUNITIES A | 0.00 | 0.78 | 0.00 | 0.78 | 90.0 | 0.01 |
| 12/19/2016 | KROSNOWSKI, THOMAS | OPPENHEIMER GLOBAL OPPORTUNITIES A | 0.00 | 0.74 | 0.00 | 0.74 | 90.0 | 0.01 |
| 02/22/2016 | CARSON, LINDA | OPPENHEIMER GOLD & SPECIAL MINERALS | 0.00 | 3.18 | 0.00 | 3.18 | 90.0 | 0.05 |
| 03/17/2016 | CARSON, LINDA | OPPENHEIMER GOLD & SPECIAL MINERALS | 0.00 | 3.66 | 0.00 | 3.66 | 90.0 | 0.06 |
| 04/21/2016 | CARSON, LINDA | OPPENHEIMER GOLD & SPECIAL MINERALS | 0.00 | 4.40 | 0.00 | 4.40 | 90.0 | 0.07 |
| 04/21/2016 | KROSNOWSKI, THOMAS | OPPENHEIMER GOLD & SPECIAL MINERALS | 0.00 | 0.34 | 0.00 | 0.34 | 90.0 | 0.01 |
| 05/19/2016 | CARSON, LINDA | OPPENHEIMER GOLD & SPECIAL MINERALS | 0.00 | 0.43 | 0.00 | 0.43 | 90.0 | 0.01 |
| 05/19/2016 | KROSNOWSKI, THOMAS | OPPENHEIMER GOLD & SPECIAL MINERALS | 0.00 | 0.36 | 0.00 | 0.36 | 90.0 | 0.01 |
| 06/30/2016 | KROSNOWSKI, THOMAS | OPPENHEIMER GOLD & SPECIAL MINERALS | 0.00 | 0.41 | 0.00 | 0.41 | 90.0 | 0.01 |
| 07/18/2016 | KROSNOWSKI, THOMAS | OPPENHEIMER GOLD & SPECIAL MINERALS | 0.00 | 0.43 | 0.00 | 0.43 | 90.0 | 0.01 |
| 08/24/2016 | KROSNOWSKI, THOMAS | OPPENHEIMER GOLD & SPECIAL MINERALS | 0.00 | 0.51 | 0.00 | 0.51 | 90.0 | 0.01 |
| 09/22/2016 | KROSNOWSKI, THOMAS | OPPENHEIMER GOLD & SPECIAL MINERALS | 0.00 | 0.52 | 0.00 | 0.52 | 90.0 | 0.01 |
| 10/21/2016 | KROSNOWSKI, THOMAS | OPPENHEIMER GOLD & SPECIAL MINERALS | 0.00 | 0.47 | 0.00 | 0.47 | 90.0 | 0.01 |
| 11/21/2016 | KROSNOWSKI, THOMAS | OPPENHEIMER GOLD & SPECIAL MINERALS | 0.00 | 0.44 | 0.00 | 0.44 | 90.0 | 0.01 |
| 12/19/2016 | KROSNOWSKI, THOMAS | OPPENHEIMER GOLD & SPECIAL MINERALS | 0.00 | 0.39 | 0.00 | 0.39 | 90.0 | 0.01 |
| 02/22/2016 | BOWERS, DORA | OPPENHEIMER INTL GROWTH A | 0.00 | 0.50 | 0.00 | 0.50 | 90.0 | 0.01 |
| 03/17/2016 | BOWERS, DORA | OPPENHEIMER INTL GROWTH A | 0.00 | 0.46 | 0.00 | 0.46 | 90.0 | 0.01 |
| 04/21/2016 | BOWERS, DORA | OPPENHEIMER INTL GROWTH A | 0.00 | 0.52 | 0.00 | 0.52 | 90.0 | 0.01 |
| 05/19/2016 | BOWERS, DORA | OPPENHEIMER INTL GROWTH A | 0.00 | 0.51 | 0.00 | 0.51 | 90.0 | 0.01 |
| 06/30/2016 | BOWERS, DORA | OPPENHEIMER INTL GROWTH A | 0.00 | 0.53 | 0.00 | 0.53 | 90.0 | 0.01 |
| 07/18/2016 | BOWERS, DORA | OPPENHEIMER INTL GROWTH A | 0.00 | 0.50 | 0.00 | 0.50 | 90.0 | 0.01 |
| 08/24/2016 | BOWERS, DORA | OPPENHEIMER INTL GROWTH A | 0.00 | 0.52 | 0.00 | 0.52 | 90.0 | 0.01 |
| 09/22/2016 | BOWERS, DORA | OPPENHEIMER INTL GROWTH A | 0.00 | 0.54 | 0.00 | 0.54 | 90.0 | 0.01 |
| 10/21/2016 | BOWERS, DORA | OPPENHEIMER INTL GROWTH A | 0.00 | 0.53 | 0.00 | 0.53 | 90.0 | 0.01 |
| 11/21/2016 | BOWERS, DORA | OPPENHEIMER INTL GROWTH A | 0.00 | 0.53 | 0.00 | 0.53 | 90.0 | 0.01 |
| 12/19/2016 | BOWERS, DORA | OPPENHEIMER INTL GROWTH A | 0.00 | 0.49 | 0.00 | 0.49 | 90.0 | 0.01 |
| 02/22/2016 | STERR, ERIN | OPPENHEIMER MAIN STREET A | 0.00 | 1.82 | 0.00 | 1.82 | 90.0 | 0.03 |
| 02/22/2016 | KROSNOWSKI, THOMAS | OPPENHEIMER MAIN STREET A | 0.00 | 2.35 | 0.00 | 2.35 | 90.0 | 0.04 |
| 03/17/2016 | STERR, ERIN | OPPENHEIMER MAIN STREET A | 0.00 | 1.69 | 0.00 | 1.69 | 90.0 | 0.03 |
| 03/17/2016 | KROSNOWSKI, THOMAS | OPPENHEIMER MAIN STREET A | 0.00 | 2.18 | 0.00 | 2.18 | 90.0 | 0.04 |
| 04/21/2016 | STERR, ERIN | OPPENHEIMER MAIN STREET A | 0.00 | 1.92 | 0.00 | 1.92 | 90.0 | 0.03 |
| 04/21/2016 | KROSNOWSKI, THOMAS | OPPENHEIMER MAIN STREET A | 0.00 | 2.48 | 0.00 | 2.48 | 90.0 | 0.04 |

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|--|--------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u>VERRIDE TRANSACTIONS</u> | | | | | | | | |
| <u>BROKER: MARC, L134 LINSKY #263</u> | | | | | | | | |
| 05/19/2016 | STERR, ERIN | OPPENHEIMER MAIN STREET A | 0.00 | 1.91 | 0.00 | 1.91 | 90.0 | 0.03 |
| 05/19/2016 | KROSNOWSKI, THOMAS | OPPENHEIMER MAIN STREET A | 0.00 | 2.46 | 0.00 | 2.46 | 90.0 | 0.04 |
| 06/30/2016 | STERR, ERIN | OPPENHEIMER MAIN STREET A | 0.00 | 1.98 | 0.00 | 1.98 | 90.0 | 0.03 |
| 06/30/2016 | KROSNOWSKI, THOMAS | OPPENHEIMER MAIN STREET A | 0.00 | 2.55 | 0.00 | 2.55 | 90.0 | 0.04 |
| 07/18/2016 | STERR, ERIN | OPPENHEIMER MAIN STREET A | 0.00 | 1.93 | 0.00 | 1.93 | 90.0 | 0.03 |
| 07/18/2016 | KROSNOWSKI, THOMAS | OPPENHEIMER MAIN STREET A | 0.00 | 2.49 | 0.00 | 2.49 | 90.0 | 0.04 |
| 08/24/2016 | STERR, ERIN | OPPENHEIMER MAIN STREET A | 0.00 | 2.06 | 0.00 | 2.06 | 90.0 | 0.04 |
| 08/24/2016 | KROSNOWSKI, THOMAS | OPPENHEIMER MAIN STREET A | 0.00 | 2.66 | 0.00 | 2.66 | 90.0 | 0.05 |
| 09/22/2016 | STERR, ERIN | OPPENHEIMER MAIN STREET A | 0.00 | 2.08 | 0.00 | 2.08 | 90.0 | 0.04 |
| 09/22/2016 | KROSNOWSKI, THOMAS | OPPENHEIMER MAIN STREET A | 0.00 | 2.68 | 0.00 | 2.68 | 90.0 | 0.05 |
| 10/21/2016 | STERR, ERIN | OPPENHEIMER MAIN STREET A | 0.00 | 2.00 | 0.00 | 2.00 | 90.0 | 0.03 |
| 10/21/2016 | KROSNOWSKI, THOMAS | OPPENHEIMER MAIN STREET A | 0.00 | 2.57 | 0.00 | 2.57 | 90.0 | 0.04 |
| 11/21/2016 | STERR, ERIN | OPPENHEIMER MAIN STREET A | 0.00 | 2.05 | 0.00 | 2.05 | 90.0 | 0.03 |
| 11/21/2016 | KROSNOWSKI, THOMAS | OPPENHEIMER MAIN STREET A | 0.00 | 2.64 | 0.00 | 2.64 | 90.0 | 0.04 |
| 12/19/2016 | STERR, ERIN | OPPENHEIMER MAIN STREET A | 0.00 | 2.01 | 0.00 | 2.01 | 90.0 | 0.03 |
| 12/19/2016 | KROSNOWSKI, THOMAS | OPPENHEIMER MAIN STREET A | 0.00 | 2.59 | 0.00 | 2.59 | 90.0 | 0.04 |
| 10/21/2016 | PERETTI, DANIEL | OPPENHEIMER PORTFOLIO SERIES EQ INV | 0.00 | 0.78 | 0.00 | 0.78 | 90.0 | 0.01 |
| 11/21/2016 | PERETTI, DANIEL | OPPENHEIMER PORTFOLIO SERIES EQ INV | 0.00 | 0.80 | 0.00 | 0.80 | 90.0 | 0.01 |
| 12/19/2016 | PERETTI, DANIEL | OPPENHEIMER PORTFOLIO SERIES EQ INV | 0.00 | 0.76 | 0.00 | 0.76 | 90.0 | 0.01 |
| 10/21/2016 | PERETTI, DANIEL | OPPENHEIMER PORTFOLIO SERIRES: MOD | 0.00 | 30.58 | 0.00 | 30.58 | 90.0 | 0.52 |
| 11/21/2016 | PERETTI, DANIEL | OPPENHEIMER PORTFOLIO SERIRES: MOD | 0.00 | 34.63 | 0.00 | 34.63 | 90.0 | 0.59 |
| 12/19/2016 | PERETTI, DANIEL | OPPENHEIMER PORTFOLIO SERIRES: MOD | 0.00 | 33.14 | 0.00 | 33.14 | 90.0 | 0.56 |
| 02/22/2016 | CHERRY, LISA | OPPENHEIMER QUEST OPP VALUE A | 0.00 | 2.58 | 0.00 | 2.58 | 90.0 | 0.04 |
| 02/22/2016 | KROSNOWSKI, THOMAS | OPPENHEIMER QUEST OPP VALUE A | 0.00 | 1.75 | 0.00 | 1.75 | 90.0 | 0.03 |
| 03/17/2016 | CHERRY, LISA | OPPENHEIMER QUEST OPP VALUE A | 0.00 | 2.41 | 0.00 | 2.41 | 90.0 | 0.04 |
| 03/17/2016 | KROSNOWSKI, THOMAS | OPPENHEIMER QUEST OPP VALUE A | 0.00 | 1.63 | 0.00 | 1.63 | 90.0 | 0.03 |
| 04/21/2016 | CHERRY, LISA | OPPENHEIMER QUEST OPP VALUE A | 0.00 | 2.56 | 0.00 | 2.56 | 90.0 | 0.04 |
| 04/21/2016 | KROSNOWSKI, THOMAS | OPPENHEIMER QUEST OPP VALUE A | 0.00 | 1.73 | 0.00 | 1.73 | 90.0 | 0.03 |
| 05/19/2016 | CHERRY, LISA | OPPENHEIMER QUEST OPP VALUE A | 0.00 | 2.49 | 0.00 | 2.49 | 90.0 | 0.04 |
| 05/19/2016 | KROSNOWSKI, THOMAS | OPPENHEIMER QUEST OPP VALUE A | 0.00 | 1.68 | 0.00 | 1.68 | 90.0 | 0.03 |
| 06/30/2016 | CHERRY, LISA | OPPENHEIMER QUEST OPP VALUE A | 0.00 | 2.59 | 0.00 | 2.59 | 90.0 | 0.04 |
| 06/30/2016 | KROSNOWSKI, THOMAS | OPPENHEIMER QUEST OPP VALUE A | 0.00 | 1.75 | 0.00 | 1.75 | 90.0 | 0.03 |
| 07/18/2016 | CHERRY, LISA | OPPENHEIMER QUEST OPP VALUE A | 0.00 | 2.53 | 0.00 | 2.53 | 90.0 | 0.04 |

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

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

| DATE | CLIENT | INVESTMENT | INVESTMENT AMOUNT | GROSS COMMISSION | CLEARING CHARGE | NET COMMISSION | RATE | BROKER COMMISSION |
|--|--------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u>VERRIDE TRANSACTIONS</u> | | | | | | | | |
| <u>BROKER: MARC, L134 LINSKY #263</u> | | | | | | | | |
| 07/18/2016 | KROSNOWSKI, THOMAS | OPPENHEIMER QUEST OPP VALUE A | 0.00 | 1.71 | 0.00 | 1.71 | 90.0 | 0.03 |
| 08/24/2016 | CHERRY, LISA | OPPENHEIMER QUEST OPP VALUE A | 0.00 | 2.62 | 0.00 | 2.62 | 90.0 | 0.04 |
| 08/24/2016 | KROSNOWSKI, THOMAS | OPPENHEIMER QUEST OPP VALUE A | 0.00 | 1.77 | 0.00 | 1.77 | 90.0 | 0.03 |
| 09/22/2016 | CHERRY, LISA | OPPENHEIMER QUEST OPP VALUE A | 0.00 | 2.61 | 0.00 | 2.61 | 90.0 | 0.04 |
| 09/22/2016 | KROSNOWSKI, THOMAS | OPPENHEIMER QUEST OPP VALUE A | 0.00 | 1.77 | 0.00 | 1.77 | 90.0 | 0.03 |
| 10/21/2016 | CHERRY, LISA | OPPENHEIMER QUEST OPP VALUE A | 0.00 | 2.52 | 0.00 | 2.52 | 90.0 | 0.04 |
| 10/21/2016 | KROSNOWSKI, THOMAS | OPPENHEIMER QUEST OPP VALUE A | 0.00 | 1.70 | 0.00 | 1.70 | 90.0 | 0.03 |
| 11/21/2016 | CHERRY, LISA | OPPENHEIMER QUEST OPP VALUE A | 0.00 | 2.60 | 0.00 | 2.60 | 90.0 | 0.04 |
| 11/21/2016 | KROSNOWSKI, THOMAS | OPPENHEIMER QUEST OPP VALUE A | 0.00 | 1.76 | 0.00 | 1.76 | 90.0 | 0.03 |
| 12/19/2016 | CHERRY, LISA | OPPENHEIMER QUEST OPP VALUE A | 0.00 | 2.52 | 0.00 | 2.52 | 90.0 | 0.04 |
| 12/19/2016 | KROSNOWSKI, THOMAS | OPPENHEIMER QUEST OPP VALUE A | 0.00 | 1.71 | 0.00 | 1.71 | 90.0 | 0.03 |
| 02/14/2018 | SIEMANOWSKI, JOHN | ORBOTECH LTD ORD SHS ISIN#IL0010823 | -25,063.25 | 30.00 | 22.75 | 7.25 | 90.0 | 0.12 |
| 02/22/2016 | CHERRY, ADAM | PAC LIFE FUNDS PRT OPT MOD | 0.00 | 203.80 | 0.00 | 203.80 | 90.0 | 3.46 |
| 03/18/2016 | CHERRY, ADAM | PAC LIFE FUNDS PRT OPT MOD | 0.00 | 187.19 | 0.00 | 187.19 | 90.0 | 3.18 |
| 04/20/2016 | CHERRY, ADAM | PAC LIFE FUNDS PRT OPT MOD | 0.00 | 210.46 | 0.00 | 210.46 | 90.0 | 3.58 |
| 05/24/2016 | CHERRY, ADAM | PAC LIFE FUNDS PRT OPT MOD | 0.00 | 208.12 | 0.00 | 208.12 | 90.0 | 3.54 |
| 06/16/2016 | CHERRY, ADAM | PAC LIFE FUNDS PRT OPT MOD | 0.00 | 214.96 | 0.00 | 214.96 | 90.0 | 3.65 |
| 07/19/2016 | CHERRY, ADAM | PAC LIFE FUNDS PRT OPT MOD | 0.00 | 209.20 | 0.00 | 209.20 | 90.0 | 3.56 |
| 08/18/2016 | CHERRY, ADAM | PAC LIFE FUNDS PRT OPT MOD | 0.00 | 220.59 | 0.00 | 220.59 | 90.0 | 3.75 |
| 09/22/2016 | CHERRY, ADAM | PAC LIFE FUNDS PRT OPT MOD | 0.00 | 224.13 | 0.00 | 224.13 | 90.0 | 3.81 |
| 10/20/2016 | CHERRY, ADAM | PAC LIFE FUNDS PRT OPT MOD | 0.00 | 216.56 | 0.00 | 216.56 | 90.0 | 3.68 |
| 11/25/2016 | CHERRY, ADAM | PAC LIFE FUNDS PRT OPT MOD | 0.00 | 223.23 | 0.00 | 223.23 | 90.0 | 3.79 |
| 12/21/2016 | CHERRY, ADAM | PAC LIFE FUNDS PRT OPT MOD | 0.00 | 215.37 | 0.00 | 215.37 | 90.0 | 3.66 |
| 01/29/2018 | MEDIA ENTERPRISES | PAC LIFE INNOVATIVE SELECT | 0.00 | 158.43 | 0.00 | 158.43 | 90.0 | 2.69 |
| 02/05/2018 | HAMMOND, HAROLD | PAC LIFE INNOVATIVE SELECT | 0.00 | 82.79 | 0.00 | 82.79 | 90.0 | 1.41 |
| 04/21/2016 | JACKSON, SHIRLEY | PUTNAM GROWTH & INCOME A | 0.00 | 1.89 | 0.00 | 1.89 | 90.0 | 0.03 |
| 05/26/2016 | JACKSON, SHIRLEY | PUTNAM GROWTH & INCOME A | 0.00 | 1.89 | 0.00 | 1.89 | 90.0 | 0.03 |
| 06/23/2016 | JACKSON, SHIRLEY | PUTNAM GROWTH & INCOME A | 0.00 | 1.95 | 0.00 | 1.95 | 90.0 | 0.03 |
| 07/26/2016 | JACKSON, SHIRLEY | PUTNAM GROWTH & INCOME A | 0.00 | 1.91 | 0.00 | 1.91 | 90.0 | 0.03 |
| 08/19/2016 | JACKSON, SHIRLEY | PUTNAM GROWTH & INCOME A | 0.00 | 2.03 | 0.00 | 2.03 | 90.0 | 0.03 |
| 09/20/2016 | JACKSON, SHIRLEY | PUTNAM GROWTH & INCOME A | 0.00 | 2.06 | 0.00 | 2.06 | 90.0 | 0.04 |
| 10/25/2016 | JACKSON, SHIRLEY | PUTNAM GROWTH & INCOME A | 0.00 | 1.99 | 0.00 | 1.99 | 90.0 | 0.03 |
| 11/23/2016 | JACKSON, SHIRLEY | PUTNAM GROWTH & INCOME A | 0.00 | 2.06 | 0.00 | 2.06 | 90.0 | 0.04 |

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| DATE | CLIENT | INVESTMENT | INVESTMENT AMOUNT | GROSS COMMISSION | CLEARING CHARGE | NET COMMISSION | RATE | BROKER COMMISSION |
|--|---------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u> OVERRIDE TRANSACTIONS </u> | | | | | | | | |
| <u> BROKER: MARC, L134 LINSKY #263 </u> | | | | | | | | |
| 12/23/2016 | JACKSON, SHIRLEY | PUTNAM GROWTH & INCOME A | 0.00 | 2.04 | 0.00 | 2.04 | 90.0 | 0.03 |
| 11/23/2016 | TRICHON, DONNA-LYNN | PUTNAM GROWTH OPP A | 0.00 | 3.78 | 0.00 | 3.78 | 90.0 | 0.06 |
| 12/23/2016 | TRICHON, DONNA-LYNN | PUTNAM GROWTH OPP A | 0.00 | 10.33 | 0.00 | 10.33 | 90.0 | 0.18 |
| 02/22/2016 | NIEMINEN, EUGENE | PUTNAM MULTI CAP GROWTH A | 0.00 | 2.13 | 0.00 | 2.13 | 90.0 | 0.04 |
| 03/22/2016 | NIEMINEN, EUGENE | PUTNAM MULTI CAP GROWTH A | 0.00 | 1.93 | 0.00 | 1.93 | 90.0 | 0.03 |
| 04/21/2016 | NIEMINEN, EUGENE | PUTNAM MULTI CAP GROWTH A | 0.00 | 2.20 | 0.00 | 2.20 | 90.0 | 0.04 |
| 05/26/2016 | NIEMINEN, EUGENE | PUTNAM MULTI CAP GROWTH A | 0.00 | 2.19 | 0.00 | 2.19 | 90.0 | 0.04 |
| 06/23/2016 | NIEMINEN, EUGENE | PUTNAM MULTI CAP GROWTH A | 0.00 | 2.26 | 0.00 | 2.26 | 90.0 | 0.04 |
| 07/26/2016 | NIEMINEN, EUGENE | PUTNAM MULTI CAP GROWTH A | 0.00 | 2.21 | 0.00 | 2.21 | 90.0 | 0.04 |
| 08/19/2016 | NIEMINEN, EUGENE | PUTNAM MULTI CAP GROWTH A | 0.00 | 2.35 | 0.00 | 2.35 | 90.0 | 0.04 |
| 09/20/2016 | NIEMINEN, EUGENE | PUTNAM MULTI CAP GROWTH A | 0.00 | 2.42 | 0.00 | 2.42 | 90.0 | 0.04 |
| 10/25/2016 | NIEMINEN, EUGENE | PUTNAM MULTI CAP GROWTH A | 0.00 | 2.34 | 0.00 | 2.34 | 90.0 | 0.04 |
| 11/23/2016 | NIEMINEN, EUGENE | PUTNAM MULTI CAP GROWTH A | 0.00 | 2.41 | 0.00 | 2.41 | 90.0 | 0.04 |
| 12/23/2016 | NIEMINEN, EUGENE | PUTNAM MULTI CAP GROWTH A | 0.00 | 2.35 | 0.00 | 2.35 | 90.0 | 0.04 |
| 02/22/2016 | TRICHON, DONNA-LYNN | PUTNAM VOYAGER A | 0.00 | 9.61 | 0.00 | 9.61 | 90.0 | 0.16 |
| 03/22/2016 | TRICHON, DONNA-LYNN | PUTNAM VOYAGER A | 0.00 | 8.62 | 0.00 | 8.62 | 90.0 | 0.15 |
| 04/21/2016 | TRICHON, DONNA-LYNN | PUTNAM VOYAGER A | 0.00 | 9.90 | 0.00 | 9.90 | 90.0 | 0.17 |
| 05/26/2016 | TRICHON, DONNA-LYNN | PUTNAM VOYAGER A | 0.00 | 9.89 | 0.00 | 9.89 | 90.0 | 0.17 |
| 06/23/2016 | TRICHON, DONNA-LYNN | PUTNAM VOYAGER A | 0.00 | 10.07 | 0.00 | 10.07 | 90.0 | 0.17 |
| 07/26/2016 | TRICHON, DONNA-LYNN | PUTNAM VOYAGER A | 0.00 | 9.77 | 0.00 | 9.77 | 90.0 | 0.17 |
| 08/19/2016 | TRICHON, DONNA-LYNN | PUTNAM VOYAGER A | 0.00 | 10.36 | 0.00 | 10.36 | 90.0 | 0.18 |
| 09/20/2016 | TRICHON, DONNA-LYNN | PUTNAM VOYAGER A | 0.00 | 10.70 | 0.00 | 10.70 | 90.0 | 0.18 |
| 10/25/2016 | TRICHON, DONNA-LYNN | PUTNAM VOYAGER A | 0.00 | 10.35 | 0.00 | 10.35 | 90.0 | 0.18 |
| 11/23/2016 | TRICHON, DONNA-LYNN | PUTNAM VOYAGER A | 0.00 | 6.93 | 0.00 | 6.93 | 90.0 | 0.12 |
| 02/12/2016 | SPECTER, BRADLEY | RESOURCE R E DIVERSIFIED INC FUND A | 0.00 | 11.04 | 0.00 | 11.04 | 90.0 | 0.19 |
| 02/12/2016 | SPECTER, STEPHANIE | RESOURCE R E DIVERSIFIED INC FUND A | 0.00 | 15.08 | 0.00 | 15.08 | 90.0 | 0.26 |
| 02/12/2016 | POLLAN, PATRICIA | RESOURCE R E DIVERSIFIED INC FUND A | 0.00 | 4.33 | 0.00 | 4.33 | 90.0 | 0.07 |
| 02/12/2016 | TAROFF, MICHELLE | RESOURCE R E DIVERSIFIED INC FUND A | 0.00 | 4.96 | 0.00 | 4.96 | 90.0 | 0.08 |
| 03/14/2016 | SPECTER, BRADLEY | RESOURCE R E DIVERSIFIED INC FUND A | 0.00 | 10.04 | 0.00 | 10.04 | 90.0 | 0.17 |
| 03/14/2016 | SPECTER, STEPHANIE | RESOURCE R E DIVERSIFIED INC FUND A | 0.00 | 13.72 | 0.00 | 13.72 | 90.0 | 0.23 |
| 03/14/2016 | TAROFF, MICHELLE | RESOURCE R E DIVERSIFIED INC FUND A | 0.00 | 4.51 | 0.00 | 4.51 | 90.0 | 0.08 |
| 04/18/2016 | SPECTER, BRADLEY | RESOURCE R E DIVERSIFIED INC FUND A | 0.00 | 11.20 | 0.00 | 11.20 | 90.0 | 0.19 |
| 04/18/2016 | SPECTER, STEPHANIE | RESOURCE R E DIVERSIFIED INC FUND A | 0.00 | 15.30 | 0.00 | 15.30 | 90.0 | 0.26 |

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|--|--------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u> OVERRIDE TRANSACTIONS </u> | | | | | | | | |
| <u>BROKER: MARC, L134 LINSKY #263</u> | | | | | | | | |
| 04/18/2016 | TAROFF, MICHELLE | RESOURCE R E DIVERSIFIED INC FUND A | 0.00 | 5.03 | 0.00 | 5.03 | 90.0 | 0.09 |
| 05/16/2016 | SPECTER, BRADLEY | RESOURCE R E DIVERSIFIED INC FUND A | 0.00 | 11.12 | 0.00 | 11.12 | 90.0 | 0.19 |
| 05/16/2016 | SPECTER, STEPHANIE | RESOURCE R E DIVERSIFIED INC FUND A | 0.00 | 15.19 | 0.00 | 15.19 | 90.0 | 0.26 |
| 05/16/2016 | TAROFF, MICHELLE | RESOURCE R E DIVERSIFIED INC FUND A | 0.00 | 5.00 | 0.00 | 5.00 | 90.0 | 0.09 |
| 06/16/2016 | SPECTER, BRADLEY | RESOURCE R E DIVERSIFIED INC FUND A | 0.00 | 11.64 | 0.00 | 11.64 | 90.0 | 0.20 |
| 06/16/2016 | SPECTER, STEPHANIE | RESOURCE R E DIVERSIFIED INC FUND A | 0.00 | 15.89 | 0.00 | 15.89 | 90.0 | 0.27 |
| 06/16/2016 | TAROFF, MICHELLE | RESOURCE R E DIVERSIFIED INC FUND A | 0.00 | 5.23 | 0.00 | 5.23 | 90.0 | 0.09 |
| 07/18/2016 | SPECTER, BRADLEY | RESOURCE R E DIVERSIFIED INC FUND A | 0.00 | 11.40 | 0.00 | 11.40 | 90.0 | 0.19 |
| 07/18/2016 | SPECTER, STEPHANIE | RESOURCE R E DIVERSIFIED INC FUND A | 0.00 | 15.57 | 0.00 | 15.57 | 90.0 | 0.26 |
| 07/18/2016 | TAROFF, MICHELLE | RESOURCE R E DIVERSIFIED INC FUND A | 0.00 | 5.12 | 0.00 | 5.12 | 90.0 | 0.09 |
| 08/15/2016 | SPECTER, BRADLEY | RESOURCE R E DIVERSIFIED INC FUND A | 0.00 | 12.27 | 0.00 | 12.27 | 90.0 | 0.21 |
| 08/15/2016 | SPECTER, STEPHANIE | RESOURCE R E DIVERSIFIED INC FUND A | 0.00 | 16.75 | 0.00 | 16.75 | 90.0 | 0.28 |
| 08/15/2016 | TAROFF, MICHELLE | RESOURCE R E DIVERSIFIED INC FUND A | 0.00 | 5.51 | 0.00 | 5.51 | 90.0 | 0.09 |
| 09/15/2016 | SPECTER, BRADLEY | RESOURCE R E DIVERSIFIED INC FUND A | 0.00 | 12.54 | 0.00 | 12.54 | 90.0 | 0.21 |
| 09/15/2016 | SPECTER, STEPHANIE | RESOURCE R E DIVERSIFIED INC FUND A | 0.00 | 17.12 | 0.00 | 17.12 | 90.0 | 0.29 |
| 09/15/2016 | TAROFF, MICHELLE | RESOURCE R E DIVERSIFIED INC FUND A | 0.00 | 5.63 | 0.00 | 5.63 | 90.0 | 0.10 |
| 10/17/2016 | SPECTER, BRADLEY | RESOURCE R E DIVERSIFIED INC FUND A | 0.00 | 12.17 | 0.00 | 12.17 | 90.0 | 0.21 |
| 10/17/2016 | SPECTER, STEPHANIE | RESOURCE R E DIVERSIFIED INC FUND A | 0.00 | 16.62 | 0.00 | 16.62 | 90.0 | 0.28 |
| 10/17/2016 | TAROFF, MICHELLE | RESOURCE R E DIVERSIFIED INC FUND A | 0.00 | 5.47 | 0.00 | 5.47 | 90.0 | 0.09 |
| 11/17/2016 | SPECTER, BRADLEY | RESOURCE R E DIVERSIFIED INC FUND A | 0.00 | 12.51 | 0.00 | 12.51 | 90.0 | 0.21 |
| 11/17/2016 | SPECTER, STEPHANIE | RESOURCE R E DIVERSIFIED INC FUND A | 0.00 | 17.09 | 0.00 | 17.09 | 90.0 | 0.29 |
| 11/17/2016 | TAROFF, MICHELLE | RESOURCE R E DIVERSIFIED INC FUND A | 0.00 | 5.62 | 0.00 | 5.62 | 90.0 | 0.10 |
| 12/14/2016 | SPECTER, BRADLEY | RESOURCE R E DIVERSIFIED INC FUND A | 0.00 | 11.96 | 0.00 | 11.96 | 90.0 | 0.20 |
| 12/14/2016 | SPECTER, STEPHANIE | RESOURCE R E DIVERSIFIED INC FUND A | 0.00 | 16.33 | 0.00 | 16.33 | 90.0 | 0.28 |
| 12/14/2016 | TAROFF, MICHELLE | RESOURCE R E DIVERSIFIED INC FUND A | 0.00 | 5.37 | 0.00 | 5.37 | 90.0 | 0.09 |
| 02/14/2018 | SIEMANOWSKI, JOHN | ROBERT HALF INTL INC | -22,424.24 | 30.00 | 22.60 | 7.40 | 90.0 | 0.13 |
| 02/16/2016 | FLEISCH, ROBERT | TEMPLETON GLOBAL BOND A | 0.00 | 11.13 | 0.00 | 11.13 | 90.0 | 0.19 |
| 03/16/2016 | FLEISCH, ROBERT | TEMPLETON GLOBAL BOND A | 0.00 | 10.20 | 0.00 | 10.20 | 90.0 | 0.17 |
| 04/15/2016 | FLEISCH, ROBERT | TEMPLETON GLOBAL BOND A | 0.00 | 11.31 | 0.00 | 11.31 | 90.0 | 0.19 |
| 05/13/2016 | FLEISCH, ROBERT | TEMPLETON GLOBAL BOND A | 0.00 | 11.01 | 0.00 | 11.01 | 90.0 | 0.19 |
| 06/14/2016 | FLEISCH, ROBERT | TEMPLETON GLOBAL BOND A | 0.00 | 11.27 | 0.00 | 11.27 | 90.0 | 0.19 |
| 07/14/2016 | FLEISCH, ROBERT | TEMPLETON GLOBAL BOND A | 0.00 | 10.78 | 0.00 | 10.78 | 90.0 | 0.18 |
| 08/15/2016 | FLEISCH, ROBERT | TEMPLETON GLOBAL BOND A | 0.00 | 11.38 | 0.00 | 11.38 | 90.0 | 0.19 |

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|--|-------------------|-------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u> OVERRIDE TRANSACTIONS </u> | | | | | | | | |
| <u> BROKER: MARC, L134 LINSKY #263 </u> | | | | | | | | |
| 09/14/2016 | FLEISCH, ROBERT | TEMPLETON GLOBAL BOND A | 0.00 | 11.05 | 0.00 | 11.05 | 90.0 | 0.19 |
| 10/18/2016 | FLEISCH, ROBERT | TEMPLETON GLOBAL BOND A | 0.00 | 10.49 | 0.00 | 10.49 | 90.0 | 0.18 |
| 11/15/2016 | FLEISCH, ROBERT | TEMPLETON GLOBAL BOND A | 0.00 | 11.13 | 0.00 | 11.13 | 90.0 | 0.19 |
| 12/16/2016 | FLEISCH, ROBERT | TEMPLETON GLOBAL BOND A | 0.00 | 10.73 | 0.00 | 10.73 | 90.0 | 0.18 |
| 04/15/2016 | JACKSON, SHIRLEY | TEMPLETON GLOBAL BOND C | 0.00 | 37.57 | 0.00 | 37.57 | 90.0 | 0.64 |
| 05/13/2016 | JACKSON, SHIRLEY | TEMPLETON GLOBAL BOND C | 0.00 | 36.47 | 0.00 | 36.47 | 90.0 | 0.62 |
| 06/14/2016 | JACKSON, SHIRLEY | TEMPLETON GLOBAL BOND C | 0.00 | 37.28 | 0.00 | 37.28 | 90.0 | 0.63 |
| 07/14/2016 | JACKSON, SHIRLEY | TEMPLETON GLOBAL BOND C | 0.00 | 35.57 | 0.00 | 35.57 | 90.0 | 0.60 |
| 08/15/2016 | JACKSON, SHIRLEY | TEMPLETON GLOBAL BOND C | 0.00 | 37.49 | 0.00 | 37.49 | 90.0 | 0.64 |
| 09/14/2016 | JACKSON, SHIRLEY | TEMPLETON GLOBAL BOND C | 0.00 | 37.28 | 0.00 | 37.28 | 90.0 | 0.63 |
| 10/18/2016 | JACKSON, SHIRLEY | TEMPLETON GLOBAL BOND C | 0.00 | 35.77 | 0.00 | 35.77 | 90.0 | 0.61 |
| 11/15/2016 | JACKSON, SHIRLEY | TEMPLETON GLOBAL BOND C | 0.00 | 37.88 | 0.00 | 37.88 | 90.0 | 0.64 |
| 12/16/2016 | JACKSON, SHIRLEY | TEMPLETON GLOBAL BOND C | 0.00 | 36.44 | 0.00 | 36.44 | 90.0 | 0.62 |
| 02/16/2016 | GREENWELL, MARION | TEMPLETON GROWTH A | 0.00 | 1.22 | 0.00 | 1.22 | 90.0 | 0.02 |
| 03/16/2016 | GREENWELL, MARION | TEMPLETON GROWTH A | 0.00 | 1.10 | 0.00 | 1.10 | 90.0 | 0.02 |
| 04/15/2016 | GREENWELL, MARION | TEMPLETON GROWTH A | 0.00 | 1.28 | 0.00 | 1.28 | 90.0 | 0.02 |
| 05/13/2016 | GREENWELL, MARION | TEMPLETON GROWTH A | 0.00 | 1.27 | 0.00 | 1.27 | 90.0 | 0.02 |
| 06/14/2016 | GREENWELL, MARION | TEMPLETON GROWTH A | 0.00 | 1.29 | 0.00 | 1.29 | 90.0 | 0.02 |
| 07/14/2016 | GREENWELL, MARION | TEMPLETON GROWTH A | 0.00 | 1.25 | 0.00 | 1.25 | 90.0 | 0.02 |
| 08/15/2016 | GREENWELL, MARION | TEMPLETON GROWTH A | 0.00 | 1.30 | 0.00 | 1.30 | 90.0 | 0.02 |
| 09/14/2016 | GREENWELL, MARION | TEMPLETON GROWTH A | 0.00 | 1.35 | 0.00 | 1.35 | 90.0 | 0.02 |
| 10/18/2016 | GREENWELL, MARION | TEMPLETON GROWTH A | 0.00 | 1.33 | 0.00 | 1.33 | 90.0 | 0.02 |
| 11/15/2016 | GREENWELL, MARION | TEMPLETON GROWTH A | 0.00 | 1.37 | 0.00 | 1.37 | 90.0 | 0.02 |
| 11/15/2016 | CENTANNI, RICHARD | TEMPLETON GROWTH A | 0.00 | 0.30 | 0.00 | 0.30 | 90.0 | 0.01 |
| 12/16/2016 | GREENWELL, MARION | TEMPLETON GROWTH A | 0.00 | 1.33 | 0.00 | 1.33 | 90.0 | 0.02 |
| 02/16/2016 | FLEISCH, ROBERT | TEMPLETON WORLD A | 0.00 | 9.18 | 0.00 | 9.18 | 90.0 | 0.16 |
| 03/16/2016 | FLEISCH, ROBERT | TEMPLETON WORLD A | 0.00 | 8.26 | 0.00 | 8.26 | 90.0 | 0.14 |
| 04/15/2016 | FLEISCH, ROBERT | TEMPLETON WORLD A | 0.00 | 9.53 | 0.00 | 9.53 | 90.0 | 0.16 |
| 05/13/2016 | FLEISCH, ROBERT | TEMPLETON WORLD A | 0.00 | 9.49 | 0.00 | 9.49 | 90.0 | 0.16 |
| 06/14/2016 | FLEISCH, ROBERT | TEMPLETON WORLD A | 0.00 | 9.70 | 0.00 | 9.70 | 90.0 | 0.16 |
| 07/14/2016 | FLEISCH, ROBERT | TEMPLETON WORLD A | 0.00 | 9.39 | 0.00 | 9.39 | 90.0 | 0.16 |
| 08/15/2016 | FLEISCH, ROBERT | TEMPLETON WORLD A | 0.00 | 9.83 | 0.00 | 9.83 | 90.0 | 0.17 |
| 09/14/2016 | FLEISCH, ROBERT | TEMPLETON WORLD A | 0.00 | 9.86 | 0.00 | 9.86 | 90.0 | 0.17 |

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

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

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

| DATE | CLIENT | INVESTMENT | INVESTMENT AMOUNT | GROSS COMMISSION | CLEARING CHARGE | NET COMMISSION | RATE | BROKER COMMISSION |
|--|------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u> OVERRIDE TRANSACTIONS </u> | | | | | | | | |
| <u> BROKER: MARC, L134 LINSKY #263 </u> | | | | | | | | |
| 10/18/2016 | FLEISCH, ROBERT | TEMPLETON WORLD A | 0.00 | 9.53 | 0.00 | 9.53 | 90.0 | 0.16 |
| 11/15/2016 | FLEISCH, ROBERT | TEMPLETON WORLD A | 0.00 | 10.01 | 0.00 | 10.01 | 90.0 | 0.17 |
| 12/16/2016 | FLEISCH, ROBERT | TEMPLETON WORLD A | 0.00 | 9.79 | 0.00 | 9.79 | 90.0 | 0.17 |
| 09/21/2016 | PERETTI, DANIEL | TOUCHSTONE GROWTH OPP A | 0.00 | 0.55 | 0.00 | 0.55 | 90.0 | 0.01 |
| 10/28/2016 | PERETTI, DANIEL | TOUCHSTONE GROWTH OPP A | 0.00 | 1.21 | 0.00 | 1.21 | 90.0 | 0.02 |
| 11/21/2016 | PERETTI, DANIEL | TOUCHSTONE GROWTH OPP A | 0.00 | 1.21 | 0.00 | 1.21 | 90.0 | 0.02 |
| 12/30/2016 | PERETTI, DANIEL | TOUCHSTONE GROWTH OPP A | 0.00 | 1.22 | 0.00 | 1.22 | 90.0 | 0.02 |
| 01/24/2018 | GALERMAN, ALAN | TRANSAMERICA LIBERTY | 128,577.64 | 107.15 | 0.00 | 107.15 | 90.0 | 1.82 |
| 03/01/2016 | EHRET, WAYNE | VICTORY CAPITAL MANAGEMENT | 0.00 | 0.35 | 0.00 | 0.35 | 90.0 | 0.01 |
| 04/01/2016 | EHRET, WAYNE | VICTORY CAPITAL MANAGEMENT | 0.00 | 0.32 | 0.00 | 0.32 | 90.0 | 0.01 |
| 04/25/2016 | EHRET, WAYNE | VICTORY CAPITAL MANAGEMENT | 0.00 | 0.36 | 0.00 | 0.36 | 90.0 | 0.01 |
| 06/29/2016 | EHRET, WAYNE | VICTORY CAPITAL MANAGEMENT | 0.00 | 0.37 | 0.00 | 0.37 | 90.0 | 0.01 |
| 06/30/2016 | EHRET, WAYNE | VICTORY CAPITAL MANAGEMENT | 0.00 | 0.36 | 0.00 | 0.36 | 90.0 | 0.01 |
| 08/01/2016 | EHRET, WAYNE | VICTORY CAPITAL MANAGEMENT | 0.00 | 0.36 | 0.00 | 0.36 | 90.0 | 0.01 |
| 08/30/2016 | EHRET, WAYNE | VICTORY CAPITAL MANAGEMENT | 0.00 | 0.38 | 0.00 | 0.38 | 90.0 | 0.01 |
| 09/30/2016 | EHRET, WAYNE | VICTORY CAPITAL MANAGEMENT | 0.00 | 0.39 | 0.00 | 0.39 | 90.0 | 0.01 |
| 10/25/2016 | EHRET, WAYNE | VICTORY CAPITAL MANAGEMENT | 0.00 | 0.37 | 0.00 | 0.37 | 90.0 | 0.01 |
| 11/30/2016 | EHRET, WAYNE | VICTORY CAPITAL MANAGEMENT | 0.00 | 0.38 | 0.00 | 0.38 | 90.0 | 0.01 |
| 12/29/2016 | EHRET, WAYNE | VICTORY CAPITAL MANAGEMENT | 0.00 | 0.37 | 0.00 | 0.37 | 90.0 | 0.01 |
| 02/18/2016 | CHERRY, LISA | VIRTUS SMALL-CAP SUSTAINABLE GROWTH | 0.00 | 3.47 | 0.00 | 3.47 | 90.0 | 0.06 |
| 03/16/2016 | CHERRY, LISA | VIRTUS SMALL-CAP SUSTAINABLE GROWTH | 0.00 | 3.23 | 0.00 | 3.23 | 90.0 | 0.05 |
| 04/22/2016 | CHERRY, LISA | VIRTUS SMALL-CAP SUSTAINABLE GROWTH | 0.00 | 3.79 | 0.00 | 3.79 | 90.0 | 0.06 |
| 05/13/2016 | CHERRY, LISA | VIRTUS SMALL-CAP SUSTAINABLE GROWTH | 0.00 | 3.85 | 0.00 | 3.85 | 90.0 | 0.07 |
| 06/13/2016 | CHERRY, LISA | VIRTUS SMALL-CAP SUSTAINABLE GROWTH | 0.00 | 3.92 | 0.00 | 3.92 | 90.0 | 0.07 |
| 07/14/2016 | CHERRY, LISA | VIRTUS SMALL-CAP SUSTAINABLE GROWTH | 0.00 | 3.85 | 0.00 | 3.85 | 90.0 | 0.07 |
| 08/19/2016 | CHERRY, LISA | VIRTUS SMALL-CAP SUSTAINABLE GROWTH | 0.00 | 4.13 | 0.00 | 4.13 | 90.0 | 0.07 |
| 09/16/2016 | CHERRY, LISA | VIRTUS SMALL-CAP SUSTAINABLE GROWTH | 0.00 | 4.27 | 0.00 | 4.27 | 90.0 | 0.07 |
| 10/17/2016 | CHERRY, LISA | VIRTUS SMALL-CAP SUSTAINABLE GROWTH | 0.00 | 4.19 | 0.00 | 4.19 | 90.0 | 0.07 |
| 11/29/2016 | CHERRY, LISA | VIRTUS SMALL-CAP SUSTAINABLE GROWTH | 0.00 | 4.37 | 0.00 | 4.37 | 90.0 | 0.07 |
| 12/15/2016 | CHERRY, LISA | VIRTUS SMALL-CAP SUSTAINABLE GROWTH | 0.00 | 4.25 | 0.00 | 4.25 | 90.0 | 0.07 |
| 02/12/2016 | PISANI, NICHOLAS | WELLS FARGO ADVANTAGE OMEGA GROWTH | 0.00 | 6.47 | 0.00 | 6.47 | 90.0 | 0.11 |
| 02/12/2016 | PISANI, NICHOLAS | WELLS FARGO ADVANTAGE OMEGA GROWTH | 0.00 | 0.42 | 0.00 | 0.42 | 90.0 | 0.01 |
| 03/16/2016 | PISANI, NICHOLAS | WELLS FARGO ADVANTAGE OMEGA GROWTH | 0.00 | 5.77 | 0.00 | 5.77 | 90.0 | 0.10 |

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

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| DATE | CLIENT | INVESTMENT | INVESTMENT AMOUNT | GROSS COMMISSION | CLEARING CHARGE | NET COMMISSION | RATE | BROKER COMMISSION |
|--|---------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u> OVERRIDE TRANSACTIONS </u> | | | | | | | | |
| <u>BROKER: MARC, L134 LINSKY #263</u> | | | | | | | | |
| 03/16/2016 | PISANI, NICHOLAS | WELLS FARGO ADVANTAGE OMEGA GROWTH | 0.00 | 0.31 | 0.00 | 0.31 | 90.0 | 0.01 |
| 04/15/2016 | PISANI, NICHOLAS | WELLS FARGO ADVANTAGE OMEGA GROWTH | 0.00 | 6.59 | 0.00 | 6.59 | 90.0 | 0.11 |
| 05/16/2016 | PISANI, NICHOLAS | WELLS FARGO ADVANTAGE OMEGA GROWTH | 0.00 | 6.69 | 0.00 | 6.69 | 90.0 | 0.11 |
| 06/14/2016 | PISANI, NICHOLAS | WELLS FARGO ADVANTAGE OMEGA GROWTH | 0.00 | 7.02 | 0.00 | 7.02 | 90.0 | 0.12 |
| 07/18/2016 | PISANI, NICHOLAS | WELLS FARGO ADVANTAGE OMEGA GROWTH | 0.00 | 6.91 | 0.00 | 6.91 | 90.0 | 0.12 |
| 08/15/2016 | PISANI, NICHOLAS | WELLS FARGO ADVANTAGE OMEGA GROWTH | 0.00 | 7.44 | 0.00 | 7.44 | 90.0 | 0.13 |
| 09/15/2016 | PISANI, NICHOLAS | WELLS FARGO ADVANTAGE OMEGA GROWTH | 0.00 | 7.52 | 0.00 | 7.52 | 90.0 | 0.13 |
| 10/12/2016 | PISANI, NICHOLAS | WELLS FARGO ADVANTAGE OMEGA GROWTH | 0.00 | 7.23 | 0.00 | 7.23 | 90.0 | 0.12 |
| 11/16/2016 | PISANI, NICHOLAS | WELLS FARGO ADVANTAGE OMEGA GROWTH | 0.00 | 7.43 | 0.00 | 7.43 | 90.0 | 0.13 |
| 12/14/2016 | PISANI, NICHOLAS | WELLS FARGO ADVANTAGE OMEGA GROWTH | 0.00 | 7.15 | 0.00 | 7.15 | 90.0 | 0.12 |
| 02/12/2016 | CAMPAGNA, MARIE | WELLS FARGO ADVTG DIVERSIFIED INCOM | 0.00 | 18.01 | 0.00 | 18.01 | 90.0 | 0.31 |
| 02/12/2016 | CAMPAGNA, MARIE | WELLS FARGO ADVTG DIVERSIFIED INCOM | 0.00 | 9.52 | 0.00 | 9.52 | 90.0 | 0.16 |
| 03/16/2016 | CAMPAGNA, MARIE | WELLS FARGO ADVTG DIVERSIFIED INCOM | 0.00 | 16.86 | 0.00 | 16.86 | 90.0 | 0.29 |
| 03/16/2016 | CAMPAGNA, MARIE | WELLS FARGO ADVTG DIVERSIFIED INCOM | 0.00 | 8.89 | 0.00 | 8.89 | 90.0 | 0.15 |
| 04/15/2016 | CAMPAGNA, MARIE | WELLS FARGO ADVTG DIVERSIFIED INCOM | 0.00 | 18.86 | 0.00 | 18.86 | 90.0 | 0.32 |
| 04/15/2016 | CAMPAGNA, MARIE | WELLS FARGO ADVTG DIVERSIFIED INCOM | 0.00 | 9.92 | 0.00 | 9.92 | 90.0 | 0.17 |
| 05/16/2016 | CAMPAGNA, MARIE | WELLS FARGO ADVTG DIVERSIFIED INCOM | 0.00 | 18.51 | 0.00 | 18.51 | 90.0 | 0.31 |
| 05/16/2016 | CAMPAGNA, MARIE | WELLS FARGO ADVTG DIVERSIFIED INCOM | 0.00 | 9.72 | 0.00 | 9.72 | 90.0 | 0.17 |
| 06/14/2016 | CAMPAGNA, MARIE | WELLS FARGO ADVTG DIVERSIFIED INCOM | 0.00 | 19.23 | 0.00 | 19.23 | 90.0 | 0.33 |
| 06/14/2016 | CAMPAGNA, MARIE | WELLS FARGO ADVTG DIVERSIFIED INCOM | 0.00 | 10.08 | 0.00 | 10.08 | 90.0 | 0.17 |
| 07/18/2016 | CAMPAGNA, MARIE | WELLS FARGO ADVTG DIVERSIFIED INCOM | 0.00 | 18.81 | 0.00 | 18.81 | 90.0 | 0.32 |
| 07/18/2016 | CAMPAGNA, MARIE | WELLS FARGO ADVTG DIVERSIFIED INCOM | 0.00 | 9.84 | 0.00 | 9.84 | 90.0 | 0.17 |
| 08/15/2016 | CAMPAGNA, MARIE | WELLS FARGO ADVTG DIVERSIFIED INCOM | 0.00 | 19.99 | 0.00 | 19.99 | 90.0 | 0.34 |
| 08/15/2016 | CAMPAGNA, MARIE | WELLS FARGO ADVTG DIVERSIFIED INCOM | 0.00 | 10.43 | 0.00 | 10.43 | 90.0 | 0.18 |
| 09/15/2016 | CAMPAGNA, MARIE | WELLS FARGO ADVTG DIVERSIFIED INCOM | 0.00 | 20.35 | 0.00 | 20.35 | 90.0 | 0.35 |
| 09/15/2016 | CAMPAGNA, MARIE | WELLS FARGO ADVTG DIVERSIFIED INCOM | 0.00 | 10.60 | 0.00 | 10.60 | 90.0 | 0.18 |
| 10/12/2016 | CAMPAGNA, MARIE | WELLS FARGO ADVTG DIVERSIFIED INCOM | 0.00 | 19.71 | 0.00 | 19.71 | 90.0 | 0.34 |
| 10/12/2016 | CAMPAGNA, MARIE | WELLS FARGO ADVTG DIVERSIFIED INCOM | 0.00 | 10.25 | 0.00 | 10.25 | 90.0 | 0.17 |
| 11/16/2016 | CAMPAGNA, MARIE | WELLS FARGO ADVTG DIVERSIFIED INCOM | 0.00 | 20.55 | 0.00 | 20.55 | 90.0 | 0.35 |
| 11/16/2016 | CAMPAGNA, MARIE | WELLS FARGO ADVTG DIVERSIFIED INCOM | 0.00 | 10.65 | 0.00 | 10.65 | 90.0 | 0.18 |
| 12/14/2016 | CAMPAGNA, MARIE | WELLS FARGO ADVTG DIVERSIFIED INCOM | 0.00 | 19.71 | 0.00 | 19.71 | 90.0 | 0.34 |
| 12/14/2016 | CAMPAGNA, MARIE | WELLS FARGO ADVTG DIVERSIFIED INCOM | 0.00 | 10.20 | 0.00 | 10.20 | 90.0 | 0.17 |
| 02/12/2016 | TRICHON, DONNA-LYNN | WELLS FARGO DIVERSIFIED CAPITAL BUI | 0.00 | 12.76 | 0.00 | 12.76 | 90.0 | 0.22 |

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| DATE | CLIENT | INVESTMENT | INVESTMENT AMOUNT | GROSS COMMISSION | CLEARING CHARGE | NET COMMISSION | RATE | BROKER COMMISSION |
|--|---------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u> OVERRIDE TRANSACTIONS </u> | | | | | | | | |
| <u>BROKER: MARC, L134 LINSKY #263</u> | | | | | | | | |
| 03/16/2016 | TRICHON, DONNA-LYNN | WELLS FARGO DIVERSIFIED CAPITAL BUI | 0.00 | 12.02 | 0.00 | 12.02 | 90.0 | 0.20 |
| 04/15/2016 | TRICHON, DONNA-LYNN | WELLS FARGO DIVERSIFIED CAPITAL BUI | 0.00 | 13.78 | 0.00 | 13.78 | 90.0 | 0.23 |
| 05/16/2016 | TRICHON, DONNA-LYNN | WELLS FARGO DIVERSIFIED CAPITAL BUI | 0.00 | 13.68 | 0.00 | 13.68 | 90.0 | 0.23 |
| 06/14/2016 | TRICHON, DONNA-LYNN | WELLS FARGO DIVERSIFIED CAPITAL BUI | 0.00 | 14.20 | 0.00 | 14.20 | 90.0 | 0.24 |
| 07/18/2016 | TRICHON, DONNA-LYNN | WELLS FARGO DIVERSIFIED CAPITAL BUI | 0.00 | 14.11 | 0.00 | 14.11 | 90.0 | 0.24 |
| 08/15/2016 | TRICHON, DONNA-LYNN | WELLS FARGO DIVERSIFIED CAPITAL BUI | 0.00 | 15.12 | 0.00 | 15.12 | 90.0 | 0.26 |
| 09/15/2016 | TRICHON, DONNA-LYNN | WELLS FARGO DIVERSIFIED CAPITAL BUI | 0.00 | 15.48 | 0.00 | 15.48 | 90.0 | 0.26 |
| 10/12/2016 | TRICHON, DONNA-LYNN | WELLS FARGO DIVERSIFIED CAPITAL BUI | 0.00 | 14.99 | 0.00 | 14.99 | 90.0 | 0.25 |
| 11/16/2016 | TRICHON, DONNA-LYNN | WELLS FARGO DIVERSIFIED CAPITAL BUI | 0.00 | 15.57 | 0.00 | 15.57 | 90.0 | 0.26 |
| 12/14/2016 | TRICHON, DONNA-LYNN | WELLS FARGO DIVERSIFIED CAPITAL BUI | 0.00 | 15.17 | 0.00 | 15.17 | 90.0 | 0.26 |
| * MARC, L134 LINSKY SUBTOTAL * | | | \$111,039.94 | \$28,094.30 | \$421.10 | \$27,673.20 | | \$470.56 |
| *** OVERRIDE TRANSACTIONS TOTAL *** | | | \$111,039.94 | \$28,219.77 | \$421.10 | \$27,798.67 | | \$486.24 |

ADJUSTMENTS

| | | | | | | | | |
|---------------------------|--------------------------------------|------|--------|--------|--------|--------|--|------------|
| 02/28/2018 | *FEDEX: 6765-1252-7 2/14/18 | 0.00 | | | | | | -15.72 |
| 02/28/2018 | *MISC: C FULMER, A LEEDS | 0.00 | | | | | | -540.00 |
| 02/28/2018 | *MISC: MISC ROY, AFLAC, 1031DST | 0.00 | | | | | | -1,326.00 |
| 02/28/2018 | *MISC: OVERNIGHT FEE 02/15/18 | 0.00 | | | | | | -20.00 |
| 02/28/2018 | *PERSHING: PERSHING MARKUP | 0.00 | | | | | | 60.00 |
| 02/28/2018 | *PERSHING: PERSHING MARKUP | 0.00 | | | | | | 4.50 |
| 02/28/2018 | *PERSHING: PERSHING MARKUP | 0.00 | | | | | | 16.20 |
| 02/28/2018 | *SPLIT PAYOUT/OVERRIDE: BRANCH OVER | 0.00 | | | | | | -515.22 |
| 02/28/2018 | *SPLIT PAYOUT/OVERRIDE: OVERRIDE PAY | 0.00 | | | | | | 8,853.76 |
| 02/28/2018 | *SPLIT PAYOUT/OVERRIDE: OVERRIDES A | 0.00 | | | | | | 449.72 |
| 02/28/2018 | *SPLIT PAYOUT/OVERRIDE: OVERRIDES A | 0.00 | | | | | | 29.58 |
| 02/28/2018 | *SPLIT PAYOUT/OVERRIDE: OVERRIDES A | 0.00 | | | | | | 6.29 |
| 02/28/2018 | *TECHNOLOGY: SEPUP FEE - WEATHERBIE | 0.00 | | | | | | -62.50 |
| *** ADJUSTMENTS TOTAL *** | | | \$0.00 | \$0.00 | \$0.00 | \$0.00 | | \$6,940.61 |

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

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

BROKER COMMISSION TOTALS

| | |
|-----------------------|-------------|
| Broker Transactions | \$128.73 |
| Split Transactions | \$47,945.24 |
| Override Transactions | \$486.24 |
| Adjustments | \$6,940.61 |
| Payroll Draw | \$0.00 |
| Base Salary | \$0.00 |
| Prior Period Balance | \$0.00 |
| FINRA Assessment | \$0.00 |
| SIPC Assessment | \$0.00 |

| | |
|-----------------------|--------------|
| Check Amount | \$55,500.82 |
| Year-to-date Gross | \$105,290.04 |
| Year-to-date Earnings | \$100,988.32 |