



COMMISSION STATEMENT

May 21, 2018

DAVID GRIFFITH
2108 Genesee St.
Utica, NY 13502

BROKER #: A76
BRANCH #01047 - 47 - GRIFFITH

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
05/07/2018	***-**-953I - DINITTO, NICOLE	AMERICAN GLOBAL BALANCED CL C	175.00	1.75	0.00	1.75	88.0	1.54
	ACCOUNT #: 00088593891	BUY 5 Units @32.4000						
05/08/2018	***-**-11IN - MOYLAN, TIMOTHY	CAPITAL APPRECIATION C	6.15	0.06	0.00	0.06	88.0	0.05
	ACCOUNT #: 03222207458	BUY 0 Units @0.0000						
04/05/2018	***-**-953I - DINITTO, NICOLE	CAPITAL WORLD GROWTH AND INCOME FUN	-100.00	-1.00	0.00	-1.00	88.0	-0.88
	ACCOUNT #: 00088593891	BUY 2 Units @50.7600						
04/05/2018	***-**-953I - DINITTO, NICOLE	CAPITAL WORLD GROWTH AND INCOME FUN	25.00	0.25	0.00	0.25	88.0	0.22
	ACCOUNT #: 00088593891	BUY 0 Units @50.7600						
04/05/2018	***-**-953I - DINITTO, NICOLE	CAPITAL WORLD GROWTH AND INCOME FUN	75.00	0.75	0.00	0.75	88.0	0.66
	ACCOUNT #: 00088593891	BUY 1 Units @50.7600						
05/07/2018	***-**-953I - DINITTO, NICOLE	CAPITAL WORLD GROWTH AND INCOME FUN	175.00	1.75	0.00	1.75	88.0	1.54
	ACCOUNT #: 00088593891	BUY 3 Units @51.2600						
05/01/2018	***-**-8027 - MAXWELL, COLLEEN	CASH RESERVES C	330.25	0.83	0.00	0.83	88.0	0.73
	ACCOUNT #: 07621429626	BUY 0 Units @0.0000						
05/03/2018	***-**-7473 - SCOTELLARO,	EQUITY INCOME FUND, INC. C	25.00	0.25	0.00	0.25	88.0	0.22
	ACCOUNT #: 08370720038	BUY 0 Units @0.0000						
05/08/2018	***-**-11IN - MOYLAN, TIMOTHY	EQUITY INCOME FUND, INC. C	9.24	0.09	0.00	0.09	88.0	0.08
	ACCOUNT #: 08370450780	BUY 0 Units @0.0000						
05/15/2018	***-**-58IN - CADY, GAIL	EQUITY INCOME FUND, INC. C	24.00	0.24	0.00	0.24	88.0	0.21
	ACCOUNT #: 08370389048	BUY 0 Units @0.0000						
05/08/2018	***-**-11IN - MOYLAN, TIMOTHY	GLOBAL OPPORTUNITIES FUND C	6.15	0.06	0.00	0.06	88.0	0.05
	ACCOUNT #: 02171646359	BUY 0 Units @0.0000						
05/15/2018	***-**-58IN - CADY, GAIL	GLOBAL OPPORTUNITIES FUND C	16.00	0.16	0.00	0.16	88.0	0.14
	ACCOUNT #: 02171604031	BUY 0 Units @0.0000						
05/10/2018	***-**-686I - STRUMPFLER, MARK	MFS UTILITIES FUND-B	75.00	3.00	0.00	3.00	88.0	2.64
	ACCOUNT #: 00060352385	BUY 4 Units @19.9600						
05/15/2018	***-**-497I - MARTIN, KATHLEEN	OPPENHEIMER ACTIVE ALLOCATION FUND	50.00	0.50	0.00	0.50	88.0	0.44
	ACCOUNT #: 05520998470	BUY 0 Units @0.0000						
05/15/2018	***-**-91IN - RICHARDSON,	OPPENHEIMER CUSIP 68385X208	35.00	0.35	0.00	0.35	88.0	0.31
	ACCOUNT #: 00100011925	BUY 0 Units @0.0000						
05/15/2018	***-**-91IN - RICHARDSON,	OPPENHEIMER DEV MARKETS FD CLASS C	35.00	0.35	0.00	0.35	88.0	0.31
	ACCOUNT #: 07872241470	BUY 0 Units @0.0000						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUNDS (continued)								
05/15/2018	***-**-91IN - RICHARDSON, ACCOUNT #: 00100064439	OPPENHEIMER EMERG MKTS LOCAL DEBT F BUY 0 Units @0.0000	35.00	0.35	0.00	0.35	88.0	0.31
05/15/2018	***-**-91IN - RICHARDSON, ACCOUNT #: 00100025895	OPPENHEIMER GBL HIGH YIELD FUND C BUY 0 Units @0.0000	35.00	0.35	0.00	0.35	88.0	0.31
05/03/2018	***-**-7473 - SCOTELLARO, ACCOUNT #: 00100018140	OPPENHEIMER GBL REAL ESTATE FUND C BUY 0 Units @0.0000	25.00	0.25	0.00	0.25	88.0	0.22
05/08/2018	***-**-11IN - MOYLAN, TIMOTHY ACCOUNT #: 03322653882	OPPENHEIMER GLOBAL CLASS C BUY 0 Units @0.0000	3.08	0.03	0.00	0.03	88.0	0.03
05/15/2018	***-**-91IN - RICHARDSON, ACCOUNT #: 06890080641	OPPENHEIMER GLOBAL VALUE FUND CL C BUY 0 Units @0.0000	35.00	0.35	0.00	0.35	88.0	0.31
05/03/2018	***-**-7473 - SCOTELLARO, ACCOUNT #: 01971001154	OPPENHEIMER INTERNATIONAL DIVERSIFI BUY 0 Units @0.0000	25.00	0.25	0.00	0.25	88.0	0.22
05/08/2018	***-**-11IN - MOYLAN, TIMOTHY ACCOUNT #: 01970849123	OPPENHEIMER INTERNATIONAL DIVERSIFI BUY 0 Units @0.0000	12.31	0.12	0.00	0.12	88.0	0.11
05/15/2018	***-**-58IN - CADY, GAIL ACCOUNT #: 01970799227	OPPENHEIMER INTERNATIONAL DIVERSIFI BUY 0 Units @0.0000	24.00	0.24	0.00	0.24	88.0	0.21
05/08/2018	***-**-11IN - MOYLAN, TIMOTHY ACCOUNT #: 02270899503	OPPENHEIMER RISING DIVIDENDS FUND C BUY 0 Units @0.0000	12.31	0.12	0.00	0.12	88.0	0.11
05/15/2018	***-**-58IN - CADY, GAIL ACCOUNT #: 02270806520	OPPENHEIMER RISING DIVIDENDS FUND C BUY 0 Units @0.0000	24.00	0.24	0.00	0.24	88.0	0.21
05/15/2018	***-**-497I - MARTIN, KATHLEEN ACCOUNT #: 05420240427	PORT SERIES: CONS INV C BUY 0 Units @0.0000	50.00	0.50	0.00	0.50	88.0	0.44
05/08/2018	***-**-522I - RIEBEN, HENRY ACCOUNT #: 00551360517	PUTNAM CAPITAL SPECTRUM FUND CL C BUY 0 Units @29.6500	8.93	0.09	0.00	0.09	88.0	0.08
05/08/2018	***-**-522I - RIEBEN, HENRY ACCOUNT #: 00551360517	PUTNAM EQUITY SPECTRUM FD CL C BUY 0 Units @33.9500	8.94	0.09	0.00	0.09	88.0	0.08
05/08/2018	***-**-522I - RIEBEN, HENRY ACCOUNT #: 00551360517	PUTNAM GLOBAL UTILITIES CL C BUY 1 Units @13.2500	8.93	0.09	0.00	0.09	88.0	0.08
05/15/2018	***-**-58IN - CADY, GAIL ACCOUNT #: 02592245914	QUEST BALANCED FUND C BUY 0 Units @0.0000	24.00	0.24	0.00	0.24	88.0	0.21
05/08/2018	***-**-11IN - MOYLAN, TIMOTHY ACCOUNT #: 02560289795	QUEST INTERNATIONAL VALUE FUND, INC BUY 0 Units @0.0000	6.15	0.06	0.00	0.06	88.0	0.05



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUNDS (continued)								
05/15/2018	***-**-58IN - CADY, GAIL	QUEST INTERNATIONAL VALUE FUND, INC	16.00	0.16	0.00	0.16	88.0	0.14
	ACCOUNT #: 02560282953	BUY 0 Units @0.0000						
05/08/2018	***-**-11IN - MOYLAN, TIMOTHY	REAL ESTATE FUND C	6.15	0.06	0.00	0.06	88.0	0.05
	ACCOUNT #: 05920286891	BUY 0 Units @0.0000						
05/10/2018	***-**-29IN - THIBAUT, GAIL	REAL ESTATE FUND C	100.00	1.00	0.00	1.00	88.0	0.88
	ACCOUNT #: 05920285846	BUY 0 Units @0.0000						
05/15/2018	***-**-58IN - CADY, GAIL	REAL ESTATE FUND C	16.00	0.16	0.00	0.16	88.0	0.14
	ACCOUNT #: 05920265584	BUY 0 Units @0.0000						
05/15/2018	***-**-58IN - CADY, GAIL	SMALL- & MID- CAP VALUE FUND C	16.00	0.16	0.00	0.16	88.0	0.14
	ACCOUNT #: 02531131966	BUY 0 Units @0.0000						
05/03/2018	***-**-7473 - SCOTELLARO, JUDITH	STRATEGIC INCOME FUND C	25.00	0.25	0.00	0.25	88.0	0.22
	ACCOUNT #: 02322945965	BUY 0 Units @0.0000						
05/08/2018	***-**-469I - HAUCK, JUDITH	THE INCOME FUND OF AMERICA-A	98.08	1.96	0.00	1.96	88.0	1.72
	ACCOUNT #: 00087147439	BUY 4 Units @23.3200						
05/08/2018	***-**-469I - HAUCK, JUDITH	THE INCOME FUND OF AMERICA-A	98.08	1.96	0.00	1.96	88.0	1.72
	ACCOUNT #: 00087147439	BUY 4 Units @23.3200						
05/08/2018	***-**-469I - HAUCK, JUDITH	THE INCOME FUND OF AMERICA-A	350.00	7.00	0.00	7.00	88.0	6.16
	ACCOUNT #: 00087147439	BUY 15 Units @23.3200						
05/08/2018	***-**-469I - HAUCK, JUDITH	THE INCOME FUND OF AMERICA-A	350.00	7.00	0.00	7.00	88.0	6.16
	ACCOUNT #: 00087147439	BUY 15 Units @23.3200						
* MUTUAL FUNDS SUBTOTAL *			\$2,374.75	\$32.47	\$0.00	\$32.47		\$28.57
PRODUCT CATEGORY: STOCKS								
05/11/2018	***-**-77TR - MARRONE TTEE	NORDIC AMERICAN TANKERS LIMITE COM	2,030.00	49.99	35.00	14.99	88.0	13.19
	ACCOUNT #: LSR011159	BUY 1000 Units @2.0300						
05/14/2018	***-**-05IN - HULL, JEFFERY	STEIN MART INC COM	23,840.00	477.49	18.00	459.49	88.0	404.35
	ACCOUNT #: LSR011187	SELL 8000 Units @2.9800						
05/15/2018	***-**-60IN - SCHRADER, KEVIN	STEIN MART INC COM	28,320.00	477.49	18.00	459.49	88.0	404.35
	ACCOUNT #: LSR010897	SELL 8000 Units @3.5400						
05/16/2018	***-**-679I - MURSCH JR,	STEIN MART INC COM	27,930.00	449.99	18.00	431.99	88.0	380.15
	ACCOUNT #: LSR010888	SELL 7000 Units @3.9900						
05/16/2018	***-**-60IN - SCHRADER, KEVIN	STEIN MART INC COM	17,450.00	97.49	18.00	79.49	88.0	69.95
	ACCOUNT #: LSR010897	BUY 5000 Units @3.4900						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: STOCKS (continued)								
05/16/2018	***-**-510I - PEREZ, STACEY	STEIN MART INC COM	39,600.00	767.49	18.00	749.49	88.0	659.55
	ACCOUNT #: LSR011827	SELL 10000 Units @3.9600						
		* STOCKS SUBTOTAL *	\$139,170.00	\$2,319.94	\$125.00	\$2,194.94		\$1,931.54
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS								
05/21/2018	***-**-91IN - RICHARDSON,	AMCAP FUND-F1	0.00	0.60	0.00	0.60	88.0	0.53
	ACCOUNT #: LSR010900	BUY 1 Units @0.0000						
05/21/2018	***-**-621O - DANIELS, JOHN	AMERICAN BALANCED FUND-A	0.00	0.73	0.00	0.73	88.0	0.64
	ACCOUNT #: LSR012373	BUY 1 Units @0.0000						
05/21/2018	***-**-656I - SMOLA, STANLEY	AMERICAN FUNDS MORTGAGE CL F1	0.00	1.66	0.00	1.66	88.0	1.46
	ACCOUNT #: LSR010868	BUY 1 Units @0.0000						
05/21/2018	***-**-91IN - RICHARDSON,	AMERICAN FUNDS MORTGAGE CL F1	0.00	1.28	0.00	1.28	88.0	1.13
	ACCOUNT #: LSR010900	BUY 1 Units @0.0000						
05/21/2018	***-**-58IN - SCHRECK, RYAN	AMERICAN FUNDS MORTGAGE FD CL C	0.00	5.13	0.00	5.13	88.0	4.51
	ACCOUNT #: LSR010873	BUY 1 Units @0.0000						
05/21/2018	***-**-60IN - SCHRADER, KEVIN	AMERICAN FUNDS MORTGAGE FD CL C	0.00	9.57	0.00	9.57	88.0	8.42
	ACCOUNT #: LSR010897	BUY 1 Units @0.0000						
05/21/2018	***-**-753I - SABANOSH, ALAN	AMERICAN FUNDS MORTGAGE FD CL C	0.00	20.70	0.00	20.70	88.0	18.22
	ACCOUNT #: LSR010909	BUY 1 Units @0.0000						
05/21/2018	***-**-53TR - SABANOSH, ALAN R	AMERICAN FUNDS MORTGAGE FD CL C	0.00	9.95	0.00	9.95	88.0	8.76
	ACCOUNT #: LSR010917	BUY 1 Units @0.0000						
05/21/2018	***-**-467J - PICKARD, BRIAN	AMERICAN FUNDS MORTGAGE FD CL C	0.00	10.84	0.00	10.84	88.0	9.54
	ACCOUNT #: LSR010943	BUY 1 Units @0.0000						
05/21/2018	***-**-88IN - PICKARD, ELAINE	AMERICAN FUNDS MORTGAGE FD CL C	0.00	9.01	0.00	9.01	88.0	7.93
	ACCOUNT #: LSR010957	BUY 1 Units @0.0000						
05/21/2018	***-**-80TR - SCOTELLARO TTEE,	AMERICAN FUNDS MORTGAGE FD CL C	0.00	24.09	0.00	24.09	88.0	21.20
	ACCOUNT #: LSR010974	BUY 1 Units @0.0000						
05/21/2018	***-**-69IN - HAUCK, JUDITH	AMERICAN FUNDS MORTGAGE FD CL C	0.00	9.11	0.00	9.11	88.0	8.02
	ACCOUNT #: LSR010980	BUY 1 Units @0.0000						
05/21/2018	***-**-973I - CHAMBERS, ROGER	AMERICAN FUNDS MORTGAGE FD CL C	0.00	9.07	0.00	9.07	88.0	7.98
	ACCOUNT #: LSR011018	BUY 1 Units @0.0000						
05/21/2018	***-**-22IN - GRACIE, JULIA	AMERICAN FUNDS MORTGAGE FD CL C	0.00	7.93	0.00	7.93	88.0	6.98
	ACCOUNT #: LSR011019	BUY 1 Units @0.0000						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
05/21/2018	***-**-29IO - LORUSSO, VINCENT	AMERICAN FUNDS MORTGAGE FD CL C	0.00	5.20	0.00	5.20	88.0	4.58
	ACCOUNT #: LSR011681	BUY 1 Units @0.0000						
05/21/2018	***-**-762I - STORSBERG,	AMERICAN FUNDS MORTGAGE FD CL C	0.00	24.34	0.00	24.34	88.0	21.42
	ACCOUNT #: LSR011688	BUY 1 Units @0.0000						
05/21/2018	***-**-03IN - BOSHART, PEGGY	AMERICAN FUNDS MORTGAGE FD CL C	0.00	3.97	0.00	3.97	88.0	3.49
	ACCOUNT #: LSR011744	BUY 1 Units @0.0000						
05/21/2018	***-**-753I - SABANOSH, ALAN	AMERICAN GLOBAL BALANCED CL C	0.00	48.22	0.00	48.22	88.0	42.43
	ACCOUNT #: LSR010909	BUY 1 Units @0.0000						
05/21/2018	***-**-88IN - PICKARD, ELAINE	AMERICAN GLOBAL BALANCED CL C	0.00	18.68	0.00	18.68	88.0	16.44
	ACCOUNT #: LSR010957	BUY 1 Units @0.0000						
05/21/2018	***-**-973I - CHAMBERS, ROGER	AMERICAN GLOBAL BALANCED CL C	0.00	14.10	0.00	14.10	88.0	12.41
	ACCOUNT #: LSR011018	BUY 1 Units @0.0000						
05/21/2018	***-**-73IN - SCOTELLARO IV,	AMERICAN GLOBAL BALANCED CL C	0.00	6.59	0.00	6.59	88.0	5.80
	ACCOUNT #: LSR011086	BUY 1 Units @0.0000						
05/21/2018	***-**-05IN - HULL, JEFFERY	AMERICAN GLOBAL BALANCED CL C	0.00	14.81	0.00	14.81	88.0	13.03
	ACCOUNT #: LSR011187	BUY 1 Units @0.0000						
05/21/2018	***-**-90IN - PICKARD, KAREN	AMERICAN GLOBAL BALANCED CL C	0.00	9.51	0.00	9.51	88.0	8.37
	ACCOUNT #: LSR011687	BUY 1 Units @0.0000						
05/21/2018	***-**-03IN - BOSHART, PEGGY	AMERICAN GLOBAL BALANCED CL C	0.00	9.27	0.00	9.27	88.0	8.16
	ACCOUNT #: LSR011744	BUY 1 Units @0.0000						
05/21/2018	***-**-03IR - BOSHART, PEGGY	AMERICAN GLOBAL BALANCED CL C	0.00	12.47	0.00	12.47	88.0	10.97
	ACCOUNT #: LSR011749	BUY 1 Units @0.0000						
05/21/2018	***-**-355I - CRIMMINS, KAREN	AMERICAN GLOBAL BALANCED CLASS A	0.00	3.24	0.00	3.24	88.0	2.85
	ACCOUNT #: LSR011077	BUY 1 Units @0.0000						
05/21/2018	***-**-621O - DANIELS, JOHN	AMERICAN GLOBAL BALANCED CLASS A	0.00	5.30	0.00	5.30	88.0	4.66
	ACCOUNT #: LSR012373	BUY 1 Units @0.0000						
05/21/2018	***-**-08TR - SCOTELLARO III,	AMERICAN HIGH-INCOME TRUST-C	0.00	26.45	0.00	26.45	88.0	23.28
	ACCOUNT #: LSR010975	BUY 1 Units @0.0000						
05/21/2018	***-**-698J - FEISTHAMEL, MR	AMERICAN MORTGAGE FUND CL A	0.00	2.11	0.00	2.11	88.0	1.86
	ACCOUNT #: LSR011137	BUY 1 Units @0.0000						
05/21/2018	***-**-621O - DANIELS, JOHN	AMERICAN MORTGAGE FUND CL A	0.00	4.04	0.00	4.04	88.0	3.56
	ACCOUNT #: LSR012373	BUY 1 Units @0.0000						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
05/21/2018	***-**-656I - SMOLA, STANLEY	CAPITAL APPRECIATION C	0.00	9.62	0.00	9.62	88.0	8.47
	ACCOUNT #: LSR010868	BUY 1 Units @0.0000						
05/21/2018	***-**-25IR - PERRITANO,	CAPITAL INCOME BUILDER-A	0.00	0.15	0.00	0.15	88.0	0.13
	ACCOUNT #: LSR010923	BUY 1 Units @0.0000						
05/21/2018	***-**-25IN - PERRITANO,	CAPITAL INCOME BUILDER-A	0.00	0.30	0.00	0.30	88.0	0.26
	ACCOUNT #: LSR010924	BUY 1 Units @0.0000						
05/21/2018	***-**-656I - SMOLA, STANLEY	CAPITAL INCOME BUILDER-F1	0.00	2.48	0.00	2.48	88.0	2.18
	ACCOUNT #: LSR010868	BUY 1 Units @0.0000						
05/21/2018	***-**-80IN - GRIFFITH, DAVID	CAPITAL WORLD GROWTH AND INCOME FUN	0.00	0.76	0.00	0.76	88.0	0.67
	ACCOUNT #: LSF000286	BUY 1 Units @0.0000						
05/21/2018	***-**-753I - SABANOSH, ALAN	CAPITAL WORLD GROWTH AND INCOME FUN	0.00	1.31	0.00	1.31	88.0	1.15
	ACCOUNT #: LSR010909	BUY 1 Units @0.0000						
05/21/2018	***-**-25IR - PERRITANO,	CAPITAL WORLD GROWTH AND INCOME FUN	0.00	1.22	0.00	1.22	88.0	1.07
	ACCOUNT #: LSR010923	BUY 1 Units @0.0000						
05/21/2018	***-**-25IN - PERRITANO,	CAPITAL WORLD GROWTH AND INCOME FUN	0.00	0.35	0.00	0.35	88.0	0.31
	ACCOUNT #: LSR010924	BUY 1 Units @0.0000						
05/21/2018	***-**-522I - RIEBEN, HENRY	CAPITAL WORLD GROWTH AND INCOME FUN	0.00	0.64	0.00	0.64	88.0	0.56
	ACCOUNT #: LSR010964	BUY 1 Units @0.0000						
05/21/2018	***-**-24TR - SCOTELLARO, L	CAPITAL WORLD GROWTH AND INCOME FUN	0.00	3.93	0.00	3.93	88.0	3.46
	ACCOUNT #: LSR010973	BUY 1 Units @0.0000						
05/21/2018	***-**-474J - HAGAN JR,	CAPITAL WORLD GROWTH AND INCOME FUN	0.00	1.41	0.00	1.41	88.0	1.24
	ACCOUNT #: LSR010993	BUY 1 Units @0.0000						
05/21/2018	***-**-22IN - GRACIE, JULIA	CAPITAL WORLD GROWTH AND INCOME FUN	0.00	5.54	0.00	5.54	88.0	4.88
	ACCOUNT #: LSR011019	BUY 1 Units @0.0000						
05/21/2018	***-**-698J - FEISTHAMEL, MR	CAPITAL WORLD GROWTH AND INCOME FUN	0.00	2.46	0.00	2.46	88.0	2.16
	ACCOUNT #: LSR011137	BUY 1 Units @0.0000						
05/21/2018	***-**-469I - HAUCK, JUDITH	CAPITAL WORLD GROWTH AND INCOME FUN	0.00	0.93	0.00	0.93	88.0	0.82
	ACCOUNT #: LSR011739	BUY 1 Units @0.0000						
05/21/2018	***-**-80TR - SCOTELLARO TTEE,	CAPITAL WORLD GROWTH AND INCOME FUN	0.00	11.40	0.00	11.40	88.0	10.03
	ACCOUNT #: LSR010974	BUY 1 Units @0.0000						
05/21/2018	***-**-973I - CHAMBERS, ROGER	CAPITAL WORLD GROWTH AND INCOME FUN	0.00	10.53	0.00	10.53	88.0	9.27
	ACCOUNT #: LSR011018	BUY 1 Units @0.0000						



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DAVID GRIFFITH
2108 Genesee St.
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BROKER #: A76
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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
05/21/2018	***-**-656I - SMOLA, STANLEY	CAPITAL WORLD GROWTH AND INCOME-F1	0.00	2.93	0.00	2.93	88.0	2.58
	ACCOUNT #: LSR010868	BUY 1 Units @0.0000						
05/21/2018	***-**-72IN - THIBAUT, JOHN	CAPITAL WORLD GROWTH AND INCOME-F1	0.00	0.67	0.00	0.67	88.0	0.59
	ACCOUNT #: LSR012086	BUY 1 Units @0.0000						
05/21/2018	***-**-423I - SAVICKI, RICHARD	EATON VANCE LARGE-CAP VALUE CL C	0.00	20.51	0.00	20.51	88.0	18.05
	ACCOUNT #: LSR010889	BUY 1 Units @0.0000						
05/21/2018	***-**-077I - GAUTHIER, LOUIS	EQUITY INCOME FUND, INC. A	0.00	1.50	0.00	1.50	88.0	1.32
	ACCOUNT #: LSR010901	BUY 1 Units @0.0000						
05/21/2018	***-**-474J - HAGAN JR,	EQUITY INCOME FUND, INC. A	0.00	0.84	0.00	0.84	88.0	0.74
	ACCOUNT #: LSR010993	BUY 1 Units @0.0000						
05/21/2018	***-**-41IN - HULL, ELMINA	EQUITY INCOME FUND, INC. A	0.00	2.17	0.00	2.17	88.0	1.91
	ACCOUNT #: LSR010999	BUY 1 Units @0.0000						
05/21/2018	***-**-369I - DAVIS, BRUCE	EQUITY INCOME FUND, INC. A	0.00	1.91	0.00	1.91	88.0	1.68
	ACCOUNT #: LSR011029	BUY 1 Units @0.0000						
05/21/2018	***-**-698J - FEISTHAMEL, MR	EQUITY INCOME FUND, INC. A	0.00	0.40	0.00	0.40	88.0	0.35
	ACCOUNT #: LSR011137	BUY 1 Units @0.0000						
05/21/2018	***-**-718J - LOWE, GREGORY	EQUITY INCOME FUND, INC. A	0.00	1.15	0.00	1.15	88.0	1.01
	ACCOUNT #: LSR011914	BUY 1 Units @0.0000						
05/21/2018	***-**-841O - HULL, ELMINA	EQUITY INCOME FUND, INC. A	0.00	1.46	0.00	1.46	88.0	1.28
	ACCOUNT #: LSR012377	BUY 1 Units @0.0000						
05/21/2018	***-**-679I - MURSCH JR,	EQUITY INCOME FUND, INC. B	0.00	0.23	0.00	0.23	88.0	0.20
	ACCOUNT #: LSR010888	BUY 1 Units @0.0000						
05/21/2018	***-**-656I - SMOLA, STANLEY	EUROPACIFIC GROWTH FUND CLASS F	0.00	1.52	0.00	1.52	88.0	1.34
	ACCOUNT #: LSR010868	BUY 1 Units @0.0000						
05/21/2018	***-**-80IN - GRIFFITH, DAVID	EUROPACIFIC GROWTH FUND-A	0.00	5.05	0.00	5.05	88.0	4.44
	ACCOUNT #: LSF000286	BUY 1 Units @0.0000						
05/21/2018	***-**-25IR - PERRITANO,	EUROPACIFIC GROWTH FUND-A	0.00	1.36	0.00	1.36	88.0	1.20
	ACCOUNT #: LSR010923	BUY 1 Units @0.0000						
05/21/2018	***-**-25IN - PERRITANO,	EUROPACIFIC GROWTH FUND-A	0.00	0.31	0.00	0.31	88.0	0.27
	ACCOUNT #: LSR010924	BUY 1 Units @0.0000						
05/21/2018	***-**-661I - GORCZYNSKI,	EUROPACIFIC GROWTH FUND-A	0.00	3.12	0.00	3.12	88.0	2.75
	ACCOUNT #: LSR011221	BUY 1 Units @0.0000						



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DAVID GRIFFITH
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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
05/21/2018	***-**-6210 - DANIELS, JOHN	EUROPACIFIC GROWTH FUND-A	0.00	1.08	0.00	1.08	88.0	0.95
	ACCOUNT #: LSR012373	BUY 1 Units @0.0000						
05/21/2018	***-**-656I - SMOLA, STANLEY	FUNDAMENTAL INVESTORS FUND CLASS F	0.00	1.11	0.00	1.11	88.0	0.98
	ACCOUNT #: LSR010868	BUY 1 Units @0.0000						
05/21/2018	***-**-54IN - THIBAUT, MS	FUNDAMENTAL INVESTORS FUND CLASS F	0.00	1.72	0.00	1.72	88.0	1.51
	ACCOUNT #: LSR011080	BUY 1 Units @0.0000						
05/21/2018	***-**-22IN - GRACIE, JULIA	FUNDAMENTAL INVESTORS-A	0.00	1.54	0.00	1.54	88.0	1.36
	ACCOUNT #: LSR011019	BUY 1 Units @0.0000						
05/21/2018	***-**-369J - DAVIS, BRUCE	FUNDAMENTAL INVESTORS-A	0.00	1.01	0.00	1.01	88.0	0.89
	ACCOUNT #: LSR011027	BUY 1 Units @0.0000						
05/21/2018	***-**-369I - DAVIS, BRUCE	FUNDAMENTAL INVESTORS-A	0.00	1.75	0.00	1.75	88.0	1.54
	ACCOUNT #: LSR011029	BUY 1 Units @0.0000						
05/21/2018	***-**-698J - FEISTHAMEL, MR	FUNDAMENTAL INVESTORS-A	0.00	1.40	0.00	1.40	88.0	1.23
	ACCOUNT #: LSR011137	BUY 1 Units @0.0000						
05/21/2018	***-**-6210 - DANIELS, JOHN	FUNDAMENTAL INVESTORS-A	0.00	1.92	0.00	1.92	88.0	1.69
	ACCOUNT #: LSR012373	BUY 1 Units @0.0000						
05/21/2018	***-**-467J - PICKARD, BRIAN	FUNDAMENTAL INVESTORS-C	0.00	4.75	0.00	4.75	88.0	4.18
	ACCOUNT #: LSR010943	BUY 1 Units @0.0000						
05/21/2018	***-**-621I - DANIELS SR, JOHN	FUNDAMENTAL INVESTORS-C	0.00	17.27	0.00	17.27	88.0	15.20
	ACCOUNT #: LSR010950	BUY 1 Units @0.0000						
05/21/2018	***-**-73IR - CHAMBERS, ROGER	FUNDAMENTAL INVESTORS-C	0.00	2.20	0.00	2.20	88.0	1.94
	ACCOUNT #: LSR011020	BUY 1 Units @0.0000						
05/21/2018	***-**-61IN - GORCZYNSKI,	GLOBAL OPPORTUNITIES FUND C	0.00	53.13	0.00	53.13	88.0	46.75
	ACCOUNT #: LSR010844	BUY 1 Units @0.0000						
05/21/2018	***-**-077I - GAUTHIER, LOUIS	GOLD & SPECIAL MINERALS A	0.00	0.89	0.00	0.89	88.0	0.78
	ACCOUNT #: LSR010901	BUY 1 Units @0.0000						
05/21/2018	***-**-369I - DAVIS, BRUCE	GOLD & SPECIAL MINERALS A	0.00	0.61	0.00	0.61	88.0	0.54
	ACCOUNT #: LSR011029	BUY 1 Units @0.0000						
05/21/2018	***-**-679I - MURSCH JR,	GOLD & SPECIAL MINERALS FUND B	0.00	0.04	0.00	0.04	88.0	0.04
	ACCOUNT #: LSR010888	BUY 1 Units @0.0000						
05/21/2018	***-**-24TR - SCOTELLARO, L	HARTFORD CHECKS AND BALANCED FUND C	0.00	1.11	0.00	1.11	88.0	0.98
	ACCOUNT #: LSR010973	BUY 1 Units @0.0000						



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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
05/21/2018	***-**-369I - DAVIS, BRUCE	HARTFORD CHECKS AND BALANCED FUND C	0.00	2.08	0.00	2.08	88.0	1.83
	ACCOUNT #: LSR011029	BUY 1 Units @0.0000						
05/21/2018	***-**-58IN - SCHRECK, RYAN	INCOME FUND OF AMERICA CLASS C	0.00	10.11	0.00	10.11	88.0	8.90
	ACCOUNT #: LSR010873	BUY 1 Units @0.0000						
05/21/2018	***-**-467J - PICKARD, BRIAN	INCOME FUND OF AMERICA CLASS C	0.00	11.02	0.00	11.02	88.0	9.70
	ACCOUNT #: LSR010943	BUY 1 Units @0.0000						
05/21/2018	***-**-80TR - SCOTELLARO TTEE,	INCOME FUND OF AMERICA CLASS C	0.00	13.23	0.00	13.23	88.0	11.64
	ACCOUNT #: LSR010974	BUY 1 Units @0.0000						
05/21/2018	***-**-08TR - SCOTELLARO III,	INCOME FUND OF AMERICA CLASS C	0.00	35.14	0.00	35.14	88.0	30.92
	ACCOUNT #: LSR010975	BUY 1 Units @0.0000						
05/21/2018	***-**-973I - CHAMBERS, ROGER	INCOME FUND OF AMERICA CLASS C	0.00	12.87	0.00	12.87	88.0	11.33
	ACCOUNT #: LSR011018	BUY 1 Units @0.0000						
05/21/2018	***-**-901O - DRUMM, LOIS	INCOME FUND OF AMERICA CLASS C	0.00	7.94	0.00	7.94	88.0	6.99
	ACCOUNT #: LSR011609	BUY 1 Units @0.0000						
05/21/2018	***-**-679I - MURSCH JR,	INTERNATIONAL DIVERSIFIED FUND B	0.00	0.17	0.00	0.17	88.0	0.15
	ACCOUNT #: LSR010888	BUY 1 Units @0.0000						
05/21/2018	***-**-319I - HILLEBRAND, JOAN	INTERNATIONAL DIVERSIFIED FUND B	0.00	4.06	0.00	4.06	88.0	3.57
	ACCOUNT #: LSR011002	BUY 1 Units @0.0000						
05/21/2018	***-**-077I - GAUTHIER, LOUIS	INTERNATIONAL GROWTH FUND A	0.00	2.06	0.00	2.06	88.0	1.81
	ACCOUNT #: LSR010901	BUY 1 Units @0.0000						
05/21/2018	***-**-656I - SMOLA, STANLEY	INTERNATIONAL GROWTH FUND C	0.00	9.68	0.00	9.68	88.0	8.52
	ACCOUNT #: LSR010868	BUY 1 Units @0.0000						
05/21/2018	***-**-661I - GORCZYNSKI,	NEW WORLD FUND-A	0.00	3.60	0.00	3.60	88.0	3.17
	ACCOUNT #: LSR011221	BUY 1 Units @0.0000						
05/21/2018	***-**-077I - GAUTHIER, LOUIS	OPP PORT SERIES: ACTIVE ALLOC A	0.00	2.39	0.00	2.39	88.0	2.10
	ACCOUNT #: LSR010901	BUY 1 Units @0.0000						
05/21/2018	***-**-61IN - GORCZYNSKI,	OPPENHEIMER GLBL REAL ESTATE FUND C	0.00	13.28	0.00	13.28	88.0	11.69
	ACCOUNT #: LSR010844	BUY 1 Units @0.0000						
05/21/2018	***-**-656I - SMOLA, STANLEY	OPPENHEIMER GLBL REAL ESTATE FUND C	0.00	3.33	0.00	3.33	88.0	2.93
	ACCOUNT #: LSR010868	BUY 1 Units @0.0000						
05/21/2018	***-**-61IN - GORCZYNSKI,	OPPENHEIMER INTERNATIONAL DIVERSIFI	0.00	41.00	0.00	41.00	88.0	36.08
	ACCOUNT #: LSR010844	BUY 1 Units @0.0000						



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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
05/21/2018	***-**-621I - DANIELS SR, JOHN OPPENHEIMER SMALL & MID CAP VALUE F	BUY 1 Units @0.0000	0.00	4.00	0.00	4.00	88.0	3.52
	ACCOUNT #: LSR010950							
05/21/2018	***-**-05IN - HULL, JEFFERY	PRINCIPAL INVESTORS HIGH YIELD CL	0.00	5.98	0.00	5.98	88.0	5.26
	ACCOUNT #: LSR011187	BUY 1 Units @0.0000						
05/21/2018	***-**-355I - CRIMMINS, KAREN	PUTNAM 1	0.00	1.69	0.00	1.69	88.0	1.49
	ACCOUNT #: LSR011077	BUY 1 Units @0.0000						
05/21/2018	***-**-187I - WASZKIEWICZ, FBO	PUTNAM 1	0.00	1.55	0.00	1.55	88.0	1.36
	ACCOUNT #: LSR011144	BUY 1 Units @0.0000						
05/21/2018	***-**-231J - MISHLANIE JR,	PUTNAM CAPITAL SPECTRUM FD CL B	0.00	2.36	0.00	2.36	88.0	2.08
	ACCOUNT #: LSR010927	BUY 1 Units @0.0000						
05/21/2018	***-**-91IR - DAMSKY, MELISSA	PUTNAM CAPITAL SPECTRUM FD CL B	0.00	0.97	0.00	0.97	88.0	0.85
	ACCOUNT #: LSR010928	BUY 1 Units @0.0000						
05/21/2018	***-**-869I - CASEY, JOHN	PUTNAM CAPITAL SPECTRUM FD CL B	0.00	1.15	0.00	1.15	88.0	1.01
	ACCOUNT #: LSR011323	BUY 1 Units @0.0000						
05/21/2018	***-**-973I - CHAMBERS, ROGER	PUTNAM CAPITAL SPECTRUM FUND CL C	0.00	11.70	0.00	11.70	88.0	10.30
	ACCOUNT #: LSR011018	BUY 1 Units @0.0000						
05/21/2018	***-**-41IN - HULL, ELMINA	PUTNAM DIVERSIFIED INCOME-B	0.00	3.54	0.00	3.54	88.0	3.12
	ACCOUNT #: LSR010999	BUY 1 Units @0.0000						
05/21/2018	***-**-621O - DANIELS, JOHN	PUTNAM DIVERSIFIED INCOME-B	0.00	2.58	0.00	2.58	88.0	2.27
	ACCOUNT #: LSR012373	BUY 1 Units @0.0000						
05/21/2018	***-**-841O - HULL, ELMINA	PUTNAM DIVERSIFIED INCOME-B	0.00	2.36	0.00	2.36	88.0	2.08
	ACCOUNT #: LSR012377	BUY 1 Units @0.0000						
05/21/2018	***-**-355I - CRIMMINS, KAREN	PUTNAM EQUITY INCOME FUND-B	0.00	1.08	0.00	1.08	88.0	0.95
	ACCOUNT #: LSR011077	BUY 1 Units @0.0000						
05/21/2018	***-**-187I - WASZKIEWICZ, FBO	PUTNAM EQUITY INCOME FUND-B	0.00	2.10	0.00	2.10	88.0	1.85
	ACCOUNT #: LSR011144	BUY 1 Units @0.0000						
05/21/2018	***-**-621O - DANIELS, JOHN	PUTNAM EQUITY INCOME FUND-B	0.00	4.51	0.00	4.51	88.0	3.97
	ACCOUNT #: LSR012373	BUY 1 Units @0.0000						
05/21/2018	***-**-753I - SABANOSH, ALAN	PUTNAM EUROPE EQUITY CLASS C	0.00	16.40	0.00	16.40	88.0	14.43
	ACCOUNT #: LSR010909	BUY 1 Units @0.0000						
05/21/2018	***-**-53TR - SABANOSH, ALAN R	PUTNAM EUROPE EQUITY CLASS C	0.00	11.40	0.00	11.40	88.0	10.03
	ACCOUNT #: LSR010917	BUY 1 Units @0.0000						



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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
05/21/2018	***-**-467J - PICKARD, BRIAN	PUTNAM EUROPE EQUITY CLASS C	0.00	8.79	0.00	8.79	88.0	7.74
	ACCOUNT #: LSR010943	BUY 1 Units @0.0000						
05/21/2018	***-**-231J - MISHLANIE JR,	PUTNAM EUROPE EQUITY FUND-B	0.00	1.32	0.00	1.32	88.0	1.16
	ACCOUNT #: LSR010927	BUY 1 Units @0.0000						
05/21/2018	***-**-29IO - LORUSSO, VINCENT	PUTNAM EUROPE EQUITY FUND-B	0.00	1.29	0.00	1.29	88.0	1.14
	ACCOUNT #: LSR011681	BUY 1 Units @0.0000						
05/21/2018	***-**-621O - DANIELS, JOHN	PUTNAM EUROPE EQUITY FUND-B	0.00	1.34	0.00	1.34	88.0	1.18
	ACCOUNT #: LSR012373	BUY 1 Units @0.0000						
05/21/2018	***-**-355I - CRIMMINS, KAREN	PUTNAM FLOATING RATE INCOME CL B	0.00	1.06	0.00	1.06	88.0	0.93
	ACCOUNT #: LSR011077	BUY 1 Units @0.0000						
05/21/2018	***-**-34IN - SHEFFER, EUGENE	PUTNAM GLOBAL NAT RESOURCES-B	0.00	1.57	0.00	1.57	88.0	1.38
	ACCOUNT #: LSR011000	BUY 1 Units @0.0000						
05/21/2018	***-**-73IN - SCOTELLARO IV,	PUTNAM GLOBAL NAT RESOURCES-B	0.00	0.65	0.00	0.65	88.0	0.57
	ACCOUNT #: LSR011086	BUY 1 Units @0.0000						
05/21/2018	***-**-187I - WASZKIEWICZ, FBO	PUTNAM GLOBAL NAT RESOURCES-B	0.00	1.10	0.00	1.10	88.0	0.97
	ACCOUNT #: LSR011144	BUY 1 Units @0.0000						
05/21/2018	***-**-41TR - DAMSKY, BARRY	PUTNAM GLOBAL NAT RESOURCES-B	0.00	2.28	0.00	2.28	88.0	2.01
	ACCOUNT #: LSR011340	BUY 1 Units @0.0000						
05/21/2018	***-**-621O - DANIELS, JOHN	PUTNAM GLOBAL NAT RESOURCES-B	0.00	1.49	0.00	1.49	88.0	1.31
	ACCOUNT #: LSR012373	BUY 1 Units @0.0000						
05/21/2018	***-**-753I - SABANOSH, ALAN	PUTNAM GLOBAL UTILITIES CL C	0.00	5.21	0.00	5.21	88.0	4.58
	ACCOUNT #: LSR010909	BUY 1 Units @0.0000						
05/21/2018	***-**-369I - DAVIS, BRUCE	PUTNAM INTERNATIONAL EQUITY-A	0.00	1.30	0.00	1.30	88.0	1.14
	ACCOUNT #: LSR011029	BUY 1 Units @0.0000						
05/08/2018	***-**-522I - RIEBEN, HENRY	PUTNAM MF TRAILS 37252M306	8.93	0.09	0.00	0.09	88.0	0.08
	ACCOUNT #: 00551360517	BUY 0 Units @19.6900						
05/21/2018	***-**-61IN - GORCZYNSKI,	PUTNAM MID-CAP VALUE FUND-C	0.00	48.27	0.00	48.27	88.0	42.48
	ACCOUNT #: LSR010844	BUY 1 Units @0.0000						
05/21/2018	***-**-231J - MISHLANIE JR,	PUTNAM UTILITIES GR & INC-B	0.00	2.70	0.00	2.70	88.0	2.38
	ACCOUNT #: LSR010927	BUY 1 Units @0.0000						
05/21/2018	***-**-369I - DAVIS, BRUCE	PUTNAM UTILITIES GR & INC-B	0.00	1.50	0.00	1.50	88.0	1.32
	ACCOUNT #: LSR011029	BUY 1 Units @0.0000						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
05/21/2018	***-**-355I - CRIMMINS, KAREN	PUTNAM UTILITIES GR & INC-B	0.00	0.83	0.00	0.83	88.0	0.73
	ACCOUNT #: LSR011077	BUY 1 Units @0.0000						
05/21/2018	***-**-13IR - MURRAY, JOHN	PUTNAM UTILITIES GR & INC-B	0.00	0.89	0.00	0.89	88.0	0.78
	ACCOUNT #: LSR011459	BUY 1 Units @0.0000						
05/21/2018	***-**-29IO - LORUSSO, VINCENT	PUTNAM UTILITIES GR & INC-B	0.00	1.81	0.00	1.81	88.0	1.59
	ACCOUNT #: LSR011681	BUY 1 Units @0.0000						
05/21/2018	***-**-92IR - THIBAUT, MARY	PUTNAM UTILITIES GR & INC-B	0.00	0.48	0.00	0.48	88.0	0.42
	ACCOUNT #: LSR011833	BUY 1 Units @0.0000						
05/21/2018	***-**-76IR - BOSHART-LOWE,	PUTNAM UTILITIES GR & INC-B	0.00	1.17	0.00	1.17	88.0	1.03
	ACCOUNT #: LSR011841	BUY 1 Units @0.0000						
05/21/2018	***-**-679I - MURSCH JR,	QUEST BALANCED B	0.00	0.14	0.00	0.14	88.0	0.12
	ACCOUNT #: LSR010888	BUY 1 Units @0.0000						
05/21/2018	***-**-231J - MISHLANIE JR,	QUEST BALANCED B	0.00	3.17	0.00	3.17	88.0	2.79
	ACCOUNT #: LSR010927	BUY 1 Units @0.0000						
05/21/2018	***-**-29IN - THIBAUT,	QUEST BALANCED FUND C	0.00	9.83	0.00	9.83	88.0	8.65
	ACCOUNT #: LSR011094	BUY 1 Units @0.0000						
05/21/2018	***-**-24TR - SCOTELLARO, L	QUEST INTERNATIONAL VALUE FUND, INC	0.00	3.00	0.00	3.00	88.0	2.64
	ACCOUNT #: LSR010973	BUY 1 Units @0.0000						
05/21/2018	***-**-61IN - GORCZYNSKI,	QUEST INTERNATIONAL VALUE FUND, INC	0.00	40.30	0.00	40.30	88.0	35.46
	ACCOUNT #: LSR010844	BUY 1 Units @0.0000						
05/21/2018	***-**-753I - SABANOSH, ALAN	RESOURCE REAL ESTATE TRAILS	0.00	17.13	0.00	17.13	88.0	15.07
	ACCOUNT #: 20022581	BUY 0 Units @0.0000						
05/21/2018	***-**-61IN - FILEY, JOHN	RESOURCE REAL ESTATE TRAILS	0.00	18.71	0.00	18.71	88.0	16.46
		BUY 0 Units @0.0000						
05/21/2018	***-**-762I - STORSBERG,	RESOURCE REAL ESTATE TRAILS	0.00	73.89	0.00	73.89	88.0	65.02
		BUY 0 Units @0.0000						
05/21/2018	***-**-42IN - JENKINS, DAVID	RESOURCE REAL ESTATE TRAILS	0.00	8.48	0.00	8.48	88.0	7.46
		BUY 0 Units @0.0000						
05/21/2018	***-**-76IN - BOSHART-LOWE,	RESOURCE REAL ESTATE TRAILS	0.00	12.20	0.00	12.20	88.0	10.74
	ACCOUNT #: 20033053	BUY 0 Units @0.0000						
05/21/2018	***-**-60IN - SCHRADER, KEVIN	RESOURCE REAL ESTATE TRAILS	0.00	13.08	0.00	13.08	88.0	11.51
	ACCOUNT #: 20021808	BUY 0 Units @0.0000						



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DAVID GRIFFITH
2108 Genesee St.
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BROKER #: A76
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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
05/21/2018	***-**-11IN - MOYLAN, TIMOTHY	RESOURCE REAL ESTATE TRAILS	0.00	9.81	0.00	9.81	88.0	8.63
	ACCOUNT #: 20022106	BUY 0 Units @0.0000						
05/21/2018	***-**-621I - DANIELS SR, JOHN	RESOURCE REAL ESTATE TRAILS	0.00	16.92	0.00	16.92	88.0	14.89
	ACCOUNT #: 20022107	BUY 0 Units @0.0000						
05/21/2018	***-**-034J - NIKODEM, JOSEPH	RESOURCE REAL ESTATE TRAILS	0.00	21.40	0.00	21.40	88.0	18.83
		BUY 0 Units @0.0000						
05/21/2018	***-**-621I - DANIELS SR, JOHN	RESOURCE REAL ESTATE TRAILS	0.00	16.92	0.00	16.92	88.0	14.89
	ACCOUNT #: 20022107	BUY 0 Units @0.0000						
05/21/2018	***-**-804I - RIEBEN, ANNE	RESOURCE REAL ESTATE-NFS	0.00	6.68	0.00	6.68	88.0	5.88
	ACCOUNT #: LSR010877	BUY 1 Units @0.0000						
05/21/2018	***-**-423I - SAVICKI, RICHARD	RESOURCE REAL ESTATE-NFS	0.00	6.49	0.00	6.49	88.0	5.71
	ACCOUNT #: LSR010889	BUY 1 Units @0.0000						
05/21/2018	***-**-423J - SAVICKI, RICHARD	RESOURCE REAL ESTATE-NFS	0.00	7.19	0.00	7.19	88.0	6.33
	ACCOUNT #: LSR010893	BUY 1 Units @0.0000						
05/21/2018	***-**-077O - GAUTHIER, LOUIS	RESOURCE REAL ESTATE-NFS	0.00	6.12	0.00	6.12	88.0	5.39
	ACCOUNT #: LSR010905	BUY 1 Units @0.0000						
05/21/2018	***-**-924J - FISH, ROY	RESOURCE REAL ESTATE-NFS	0.00	8.54	0.00	8.54	88.0	7.52
	ACCOUNT #: LSR010906	BUY 1 Units @0.0000						
05/21/2018	***-**-753I - SABANOSH, ALAN	RESOURCE REAL ESTATE-NFS	0.00	9.23	0.00	9.23	88.0	8.12
	ACCOUNT #: LSR010909	BUY 1 Units @0.0000						
05/21/2018	***-**-53TR - SABANOSH, ALAN R	RESOURCE REAL ESTATE-NFS	0.00	9.23	0.00	9.23	88.0	8.12
	ACCOUNT #: LSR010917	BUY 1 Units @0.0000						
05/21/2018	***-**-425I - PERRITANO,	RESOURCE REAL ESTATE-NFS	0.00	11.87	0.00	11.87	88.0	10.45
	ACCOUNT #: LSR010922	BUY 1 Units @0.0000						
05/21/2018	***-**-231J - MISHLANIE JR,	RESOURCE REAL ESTATE-NFS	0.00	4.35	0.00	4.35	88.0	3.83
	ACCOUNT #: LSR010927	BUY 1 Units @0.0000						
05/21/2018	***-**-522J - RIEBEN, HENRY	RESOURCE REAL ESTATE-NFS	0.00	16.01	0.00	16.01	88.0	14.09
	ACCOUNT #: LSR010938	BUY 1 Units @0.0000						
05/21/2018	***-**-467I - PICKARD, BRIAN	RESOURCE REAL ESTATE-NFS	0.00	6.12	0.00	6.12	88.0	5.39
	ACCOUNT #: LSR010944	BUY 1 Units @0.0000						
05/21/2018	***-**-290I - PICKARD, KAREN	RESOURCE REAL ESTATE-NFS	0.00	5.67	0.00	5.67	88.0	4.99
	ACCOUNT #: LSR010946	BUY 1 Units @0.0000						



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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
05/21/2018	***-**-24TR - SCOTELLARO, L	RESOURCE REAL ESTATE-NFS	0.00	10.71	0.00	10.71	88.0	9.42
	ACCOUNT #: LSR010973	BUY 1 Units @0.0000						
05/21/2018	***-**-08TR - SCOTELLARO III,	RESOURCE REAL ESTATE-NFS	0.00	6.15	0.00	6.15	88.0	5.41
	ACCOUNT #: LSR010975	BUY 1 Units @0.0000						
05/21/2018	***-**-474J - HAGAN JR,	RESOURCE REAL ESTATE-NFS	0.00	9.18	0.00	9.18	88.0	8.08
	ACCOUNT #: LSR010993	BUY 1 Units @0.0000						
05/21/2018	***-**-319I - HILLEBRAND, JOAN	RESOURCE REAL ESTATE-NFS	0.00	6.77	0.00	6.77	88.0	5.96
	ACCOUNT #: LSR011002	BUY 1 Units @0.0000						
05/21/2018	***-**-555I - SPAETH, CARLA	RESOURCE REAL ESTATE-NFS	0.00	9.05	0.00	9.05	88.0	7.96
	ACCOUNT #: LSR011016	BUY 1 Units @0.0000						
05/21/2018	***-**-609J - CADY, PATRICK	RESOURCE REAL ESTATE-NFS	0.00	1.97	0.00	1.97	88.0	1.73
	ACCOUNT #: LSR011123	BUY 1 Units @0.0000						
05/21/2018	***-**-698J - FEISTHAMEL, MR	RESOURCE REAL ESTATE-NFS	0.00	7.94	0.00	7.94	88.0	6.99
	ACCOUNT #: LSR011137	BUY 1 Units @0.0000						
05/21/2018	***-**-05IN - HULL, JEFFERY	RESOURCE REAL ESTATE-NFS	0.00	7.69	0.00	7.69	88.0	6.77
	ACCOUNT #: LSR011187	BUY 1 Units @0.0000						
05/21/2018	***-**-41TR - DAMSKY, BARRY	RESOURCE REAL ESTATE-NFS	0.00	4.31	0.00	4.31	88.0	3.79
	ACCOUNT #: LSR011340	BUY 1 Units @0.0000						
05/21/2018	***-**-05IR - HULL, JEFF	RESOURCE REAL ESTATE-NFS	0.00	4.96	0.00	4.96	88.0	4.36
	ACCOUNT #: LSR011534	BUY 1 Units @0.0000						
05/21/2018	***-**-901O - DRUMM, LOIS	RESOURCE REAL ESTATE-NFS	0.00	6.73	0.00	6.73	88.0	5.92
	ACCOUNT #: LSR011609	BUY 1 Units @0.0000						
05/21/2018	***-**-49IN - SCOTELLARO III,	RESOURCE REAL ESTATE-NFS	0.00	3.69	0.00	3.69	88.0	3.25
	ACCOUNT #: LSR011680	BUY 1 Units @0.0000						
05/21/2018	***-**-90IN - PICKARD, KAREN	RESOURCE REAL ESTATE-NFS	0.00	7.45	0.00	7.45	88.0	6.56
	ACCOUNT #: LSR011687	BUY 1 Units @0.0000						
05/21/2018	***-**-762I - STORSBERG,	RESOURCE REAL ESTATE-NFS	0.00	42.55	0.00	42.55	88.0	37.44
	ACCOUNT #: LSR011688	BUY 1 Units @0.0000						
05/21/2018	***-**-61IN - FILEY, JOHN	RESOURCE REAL ESTATE-NFS	0.00	12.89	0.00	12.89	88.0	11.34
	ACCOUNT #: LSR011723	BUY 1 Units @0.0000						
05/21/2018	***-**-469I - HAUCK, JUDITH	RESOURCE REAL ESTATE-NFS	0.00	6.61	0.00	6.61	88.0	5.82
	ACCOUNT #: LSR011739	BUY 1 Units @0.0000						



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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
05/21/2018	***-**-03TR - BOSHART, PEGGY	RESOURCE REAL ESTATE-NFS	0.00	8.97	0.00	8.97	88.0	7.89
	ACCOUNT #: LSR011743	BUY 1 Units @0.0000						
05/21/2018	***-**-03IN - BOSHART, PEGGY	RESOURCE REAL ESTATE-NFS	0.00	8.33	0.00	8.33	88.0	7.33
	ACCOUNT #: LSR011744	BUY 1 Units @0.0000						
05/21/2018	***-**-03IR - BOSHART, PEGGY	RESOURCE REAL ESTATE-NFS	0.00	6.06	0.00	6.06	88.0	5.33
	ACCOUNT #: LSR011749	BUY 1 Units @0.0000						
05/21/2018	***-**-42IN - JENKINS, DAVID	RESOURCE REAL ESTATE-NFS	0.00	6.02	0.00	6.02	88.0	5.30
	ACCOUNT #: LSR011776	BUY 1 Units @0.0000						
05/21/2018	***-**-718J - LOWE, GREGORY	RESOURCE REAL ESTATE-NFS	0.00	4.66	0.00	4.66	88.0	4.10
	ACCOUNT #: LSR011914	BUY 1 Units @0.0000						
05/21/2018	***-**-14TR - THE KALAMAS,	RESOURCE REAL ESTATE-NFS	0.00	3.69	0.00	3.69	88.0	3.25
	ACCOUNT #: LSR012226	BUY 1 Units @0.0000						
05/21/2018	***-**-804I - RIEBEN, ANNE	RESOURCE REAL ESTATE-NFS	0.00	2.23	0.00	2.23	88.0	1.96
	ACCOUNT #: LSR010877	BUY 1 Units @0.0000						
05/21/2018	***-**-423I - SAVICKI, RICHARD	RESOURCE REAL ESTATE-NFS	0.00	2.16	0.00	2.16	88.0	1.90
	ACCOUNT #: LSR010889	BUY 1 Units @0.0000						
05/21/2018	***-**-423J - SAVICKI, RICHARD	RESOURCE REAL ESTATE-NFS	0.00	2.40	0.00	2.40	88.0	2.11
	ACCOUNT #: LSR010893	BUY 1 Units @0.0000						
05/21/2018	***-**-077O - GAUTHIER, LOUIS	RESOURCE REAL ESTATE-NFS	0.00	2.04	0.00	2.04	88.0	1.80
	ACCOUNT #: LSR010905	BUY 1 Units @0.0000						
05/21/2018	***-**-924J - FISH, ROY	RESOURCE REAL ESTATE-NFS	0.00	2.85	0.00	2.85	88.0	2.51
	ACCOUNT #: LSR010906	BUY 1 Units @0.0000						
05/21/2018	***-**-753I - SABANOSH, ALAN	RESOURCE REAL ESTATE-NFS	0.00	3.08	0.00	3.08	88.0	2.71
	ACCOUNT #: LSR010909	BUY 1 Units @0.0000						
05/21/2018	***-**-53TR - SABANOSH, ALAN R	RESOURCE REAL ESTATE-NFS	0.00	3.08	0.00	3.08	88.0	2.71
	ACCOUNT #: LSR010917	BUY 1 Units @0.0000						
05/21/2018	***-**-425I - PERRITANO,	RESOURCE REAL ESTATE-NFS	0.00	3.96	0.00	3.96	88.0	3.48
	ACCOUNT #: LSR010922	BUY 1 Units @0.0000						
05/21/2018	***-**-231J - MISHLANIE JR,	RESOURCE REAL ESTATE-NFS	0.00	1.45	0.00	1.45	88.0	1.28
	ACCOUNT #: LSR010927	BUY 1 Units @0.0000						
05/21/2018	***-**-522J - RIEBEN, HENRY	RESOURCE REAL ESTATE-NFS	0.00	5.34	0.00	5.34	88.0	4.70
	ACCOUNT #: LSR010938	BUY 1 Units @0.0000						



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BROKER #: A76
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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
05/21/2018	***-**-467I - PICKARD, BRIAN	RESOURCE REAL ESTATE-NFS	0.00	2.04	0.00	2.04	88.0	1.80
	ACCOUNT #: LSR010944	BUY 1 Units @0.0000						
05/21/2018	***-**-290I - PICKARD, KAREN	RESOURCE REAL ESTATE-NFS	0.00	1.89	0.00	1.89	88.0	1.66
	ACCOUNT #: LSR010946	BUY 1 Units @0.0000						
05/21/2018	***-**-24TR - SCOTELLARO, L	RESOURCE REAL ESTATE-NFS	0.00	3.57	0.00	3.57	88.0	3.14
	ACCOUNT #: LSR010973	BUY 1 Units @0.0000						
05/21/2018	***-**-08TR - SCOTELLARO III,	RESOURCE REAL ESTATE-NFS	0.00	2.05	0.00	2.05	88.0	1.80
	ACCOUNT #: LSR010975	BUY 1 Units @0.0000						
05/21/2018	***-**-474J - HAGAN JR,	RESOURCE REAL ESTATE-NFS	0.00	3.06	0.00	3.06	88.0	2.69
	ACCOUNT #: LSR010993	BUY 1 Units @0.0000						
05/21/2018	***-**-319I - HILLEBRAND, JOAN	RESOURCE REAL ESTATE-NFS	0.00	2.26	0.00	2.26	88.0	1.99
	ACCOUNT #: LSR011002	BUY 1 Units @0.0000						
05/21/2018	***-**-555I - SPAETH, CARLA	RESOURCE REAL ESTATE-NFS	0.00	3.02	0.00	3.02	88.0	2.66
	ACCOUNT #: LSR011016	BUY 1 Units @0.0000						
05/21/2018	***-**-609J - CADY, PATRICK	RESOURCE REAL ESTATE-NFS	0.00	0.66	0.00	0.66	88.0	0.58
	ACCOUNT #: LSR011123	BUY 1 Units @0.0000						
05/21/2018	***-**-698J - FEISTHAMEL, MR	RESOURCE REAL ESTATE-NFS	0.00	2.65	0.00	2.65	88.0	2.33
	ACCOUNT #: LSR011137	BUY 1 Units @0.0000						
05/21/2018	***-**-05IN - HULL, JEFFERY	RESOURCE REAL ESTATE-NFS	0.00	2.56	0.00	2.56	88.0	2.25
	ACCOUNT #: LSR011187	BUY 1 Units @0.0000						
05/21/2018	***-**-41TR - DAMSKY, BARRY	RESOURCE REAL ESTATE-NFS	0.00	1.44	0.00	1.44	88.0	1.27
	ACCOUNT #: LSR011340	BUY 1 Units @0.0000						
05/21/2018	***-**-05IR - HULL, JEFF	RESOURCE REAL ESTATE-NFS	0.00	1.65	0.00	1.65	88.0	1.45
	ACCOUNT #: LSR011534	BUY 1 Units @0.0000						
05/21/2018	***-**-901O - DRUMM, LOIS	RESOURCE REAL ESTATE-NFS	0.00	2.24	0.00	2.24	88.0	1.97
	ACCOUNT #: LSR011609	BUY 1 Units @0.0000						
05/21/2018	***-**-49IN - SCOTELLARO III,	RESOURCE REAL ESTATE-NFS	0.00	1.23	0.00	1.23	88.0	1.08
	ACCOUNT #: LSR011680	BUY 1 Units @0.0000						
05/21/2018	***-**-90IN - PICKARD, KAREN	RESOURCE REAL ESTATE-NFS	0.00	2.48	0.00	2.48	88.0	2.18
	ACCOUNT #: LSR011687	BUY 1 Units @0.0000						
05/21/2018	***-**-762I - STORSBERG,	RESOURCE REAL ESTATE-NFS	0.00	14.18	0.00	14.18	88.0	12.48
	ACCOUNT #: LSR011688	BUY 1 Units @0.0000						



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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
05/21/2018	***-**-61IN - FILEY, JOHN	RESOURCE REAL ESTATE-NFS	0.00	4.30	0.00	4.30	88.0	3.78
	ACCOUNT #: LSR011723	BUY 1 Units @0.0000						
05/21/2018	***-**-469I - HAUCK, JUDITH	RESOURCE REAL ESTATE-NFS	0.00	2.20	0.00	2.20	88.0	1.94
	ACCOUNT #: LSR011739	BUY 1 Units @0.0000						
05/21/2018	***-**-03TR - BOSHART, PEGGY	RESOURCE REAL ESTATE-NFS	0.00	2.99	0.00	2.99	88.0	2.63
	ACCOUNT #: LSR011743	BUY 1 Units @0.0000						
05/21/2018	***-**-03IN - BOSHART, PEGGY	RESOURCE REAL ESTATE-NFS	0.00	2.78	0.00	2.78	88.0	2.45
	ACCOUNT #: LSR011744	BUY 1 Units @0.0000						
05/21/2018	***-**-03IR - BOSHART, PEGGY	RESOURCE REAL ESTATE-NFS	0.00	2.02	0.00	2.02	88.0	1.78
	ACCOUNT #: LSR011749	BUY 1 Units @0.0000						
05/21/2018	***-**-42IN - JENKINS, DAVID	RESOURCE REAL ESTATE-NFS	0.00	2.01	0.00	2.01	88.0	1.77
	ACCOUNT #: LSR011776	BUY 1 Units @0.0000						
05/21/2018	***-**-718J - LOWE, GREGORY	RESOURCE REAL ESTATE-NFS	0.00	1.55	0.00	1.55	88.0	1.36
	ACCOUNT #: LSR011914	BUY 1 Units @0.0000						
05/21/2018	***-**-14TR - THE KALAMAS,	RESOURCE REAL ESTATE-NFS	0.00	1.23	0.00	1.23	88.0	1.08
	ACCOUNT #: LSR012226	BUY 1 Units @0.0000						
05/21/2018	***-**-22IN - GRACIE, JULIA	RESOURCE REAL ESTATES-NFS	0.00	2.66	0.00	2.66	88.0	2.34
	ACCOUNT #: LSR011019	BUY 1 Units @0.0000						
05/21/2018	***-**-077I - GAUTHIER, LOUIS	RIISING DIVIDENDS FUND A	0.00	2.05	0.00	2.05	88.0	1.80
	ACCOUNT #: LSR010901	BUY 1 Units @0.0000						
05/21/2018	***-**-474J - HAGAN JR,	RIISING DIVIDENDS FUND A	0.00	1.44	0.00	1.44	88.0	1.27
	ACCOUNT #: LSR010993	BUY 1 Units @0.0000						
05/21/2018	***-**-01IN - HAGAN III,	RIISING DIVIDENDS FUND A	0.00	1.51	0.00	1.51	88.0	1.33
	ACCOUNT #: LSR011014	BUY 1 Units @0.0000						
05/21/2018	***-**-369I - DAVIS, BRUCE	RIISING DIVIDENDS FUND A	0.00	2.34	0.00	2.34	88.0	2.06
	ACCOUNT #: LSR011029	BUY 1 Units @0.0000						
05/21/2018	***-**-679I - MURSCH JR,	RIISING DIVIDENDS FUND, INC. B	0.00	0.21	0.00	0.21	88.0	0.18
	ACCOUNT #: LSR010888	BUY 1 Units @0.0000						
05/21/2018	***-**-05IN - HULL, JEFFERY	SENIOR FLOATING RATE FUND C	0.00	8.38	0.00	8.38	88.0	7.37
	ACCOUNT #: LSR011187	BUY 1 Units @0.0000						
05/21/2018	***-**-679I - MURSCH JR,	SMALL- & MID- CAP VALUE B	0.00	0.18	0.00	0.18	88.0	0.16
	ACCOUNT #: LSR010888	BUY 1 Units @0.0000						



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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
05/21/2018	***-**-6210 - DANIELS, JOHN	SMALL- & MID-CAP GROWTH FUND A	0.00	2.41	0.00	2.41	88.0	2.12
	ACCOUNT #: LSR012373	BUY 1 Units @0.0000						
05/21/2018	***-**-80IN - GRIFFITH, DAVID	SMALLCAP WORLD FUND-A	0.00	5.61	0.00	5.61	88.0	4.94
	ACCOUNT #: LSF000286	BUY 1 Units @0.0000						
05/21/2018	***-**-580I - GRIFFITH, DAVID	SMALLCAP WORLD FUND-A	0.00	1.49	0.00	1.49	88.0	1.31
	ACCOUNT #: LSF000295	BUY 1 Units @0.0000						
05/21/2018	***-**-522I - RIEBEN, HENRY	SMALLCAP WORLD FUND-A	0.00	0.68	0.00	0.68	88.0	0.60
	ACCOUNT #: LSR010964	BUY 1 Units @0.0000						
05/21/2018	***-**-24TR - SCOTELLARO, L	SMALLCAP WORLD FUND-A	0.00	1.54	0.00	1.54	88.0	1.36
	ACCOUNT #: LSR010973	BUY 1 Units @0.0000						
05/21/2018	***-**-803J - TEESDALE,	SMALLCAP WORLD FUND-A	0.00	0.35	0.00	0.35	88.0	0.31
	ACCOUNT #: LSR011017	BUY 1 Units @0.0000						
05/21/2018	***-**-22IN - GRACIE, JULIA	SMALLCAP WORLD FUND-A	0.00	1.96	0.00	1.96	88.0	1.72
	ACCOUNT #: LSR011019	BUY 1 Units @0.0000						
05/21/2018	***-**-661I - GORCZYNSKI,	SMALLCAP WORLD FUND-A	0.00	4.03	0.00	4.03	88.0	3.55
	ACCOUNT #: LSR011221	BUY 1 Units @0.0000						
05/21/2018	***-**-469I - HAUCK, JUDITH	SMALLCAP WORLD FUND-A	0.00	0.70	0.00	0.70	88.0	0.62
	ACCOUNT #: LSR011739	BUY 1 Units @0.0000						
05/21/2018	***-**-6210 - DANIELS, JOHN	SMALLCAP WORLD FUND-A	0.00	1.17	0.00	1.17	88.0	1.03
	ACCOUNT #: LSR012373	BUY 1 Units @0.0000						
05/21/2018	***-**-762I - STORSBERG,	SMALLCAP WORLD FUND-C	0.00	14.55	0.00	14.55	88.0	12.80
	ACCOUNT #: LSR011688	BUY 1 Units @0.0000						
05/21/2018	***-**-656I - SMOLA, STANLEY	SMALLCAP WORLD FUND-F1	0.00	1.96	0.00	1.96	88.0	1.72
	ACCOUNT #: LSR010868	BUY 1 Units @0.0000						
05/21/2018	***-**-25IN - PERRITANO,	TA ASSET ALLOC MODERATE PORT CL A	0.00	1.82	0.00	1.82	88.0	1.60
	ACCOUNT #: LSR010924	BUY 1 Units @0.0000						
05/21/2018	***-**-80IN - GRIFFITH, DAVID	THE GROWTH FUND OF AMERICA-A	0.00	1.23	0.00	1.23	88.0	1.08
	ACCOUNT #: LSF000286	BUY 1 Units @0.0000						
05/21/2018	***-**-29IO - LORUSSO, VINCENT	THE GROWTH FUND OF AMERICA-C	0.00	7.13	0.00	7.13	88.0	6.27
	ACCOUNT #: LSR011681	BUY 1 Units @0.0000						
05/21/2018	***-**-24TR - SCOTELLARO, L	THE INCOME FUND OF AMERICA-A	0.00	4.51	0.00	4.51	88.0	3.97
	ACCOUNT #: LSR010973	BUY 1 Units @0.0000						



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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
05/21/2018	***-**-474J - HAGAN JR, ACCOUNT #: LSR010993	THE INCOME FUND OF AMERICA-A BUY 1 Units @0.0000	0.00	3.14	0.00	3.14	88.0	2.76
05/21/2018	***-**-698J - FEISTHAMEL, MR ACCOUNT #: LSR011137	THE INCOME FUND OF AMERICA-A BUY 1 Units @0.0000	0.00	1.55	0.00	1.55	88.0	1.36
05/21/2018	***-**-661I - GORCZYNSKI, ACCOUNT #: LSR011221	THE INCOME FUND OF AMERICA-A BUY 1 Units @0.0000	0.00	2.17	0.00	2.17	88.0	1.91
05/21/2018	***-**-469I - HAUCK, JUDITH ACCOUNT #: LSR011739	THE INCOME FUND OF AMERICA-A BUY 1 Units @0.0000	0.00	1.73	0.00	1.73	88.0	1.52
05/21/2018	***-**-621O - DANIELS, JOHN ACCOUNT #: LSR012373	THE INCOME FUND OF AMERICA-A BUY 1 Units @0.0000	0.00	3.61	0.00	3.61	88.0	3.18
05/21/2018	***-**-656I - SMOLA, STANLEY ACCOUNT #: LSR010868	THE INCOME FUND OF AMERICA-F1 BUY 1 Units @0.0000	0.00	1.40	0.00	1.40	88.0	1.23
05/21/2018	***-**-661I - GORCZYNSKI, ACCOUNT #: LSR011221	THE NEW ECONOMY FUND-A BUY 1 Units @0.0000	0.00	3.65	0.00	3.65	88.0	3.21
05/21/2018	***-**-94UT - MISHLANIE, ACCOUNT #: LSR010931	TRANSAMERICA BALANCED - A BUY 1 Units @0.0000	0.00	4.34	0.00	4.34	88.0	3.82
05/21/2018	***-**-41IN - HULL, ELMINA ACCOUNT #: LSR010999	TRANSAMERICA MLP & ENERGY INCOME CL BUY 1 Units @0.0000	0.00	2.30	0.00	2.30	88.0	2.02
05/21/2018	***-**-841O - HULL, ELMINA ACCOUNT #: LSR012377	TRANSAMERICA MLP & ENERGY INCOME CL BUY 1 Units @0.0000	0.00	1.59	0.00	1.59	88.0	1.40
05/21/2018	***-**-41IN - HULL, ELMINA ACCOUNT #: LSR010999	TRANSAMERICA MULT MAN ALT BUY 1 Units @0.0000	0.00	2.04	0.00	2.04	88.0	1.80
05/21/2018	***-**-841O - HULL, ELMINA ACCOUNT #: LSR012377	TRANSAMERICA MULT MAN ALT BUY 1 Units @0.0000	0.00	1.36	0.00	1.36	88.0	1.20
05/21/2018	***-**-474J - HAGAN JR, ACCOUNT #: LSR010993	WASHINGTON MUTUAL INVESTORS FUND-C BUY 1 Units @0.0000	0.00	24.19	0.00	24.19	88.0	21.29
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *			\$8.93	\$1,614.62	\$0.00	\$1,614.62		\$1,420.85
*** BROKER TRANSACTIONS TOTAL ***			\$141,553.68	\$3,967.03	\$125.00	\$3,842.03		\$3,380.96



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<u> OVERRIDE TRANSACTIONS </u>								
<u>BROKER: KURT GRUENEWALD</u>								
05/21/2018	***-**-702I - KOCHER, MICHAEL	37252M108	0.00	0.97	0.00	0.97	88.0	0.85
	ACCOUNT #: LSR010954	BUY 1 Units @0.0000						
05/21/2018	***-**-680I - HARRELL, DARYL	37252M108	0.00	0.81	0.00	0.81	88.0	0.71
	ACCOUNT #: LSR011321	BUY 1 Units @0.0000						
05/21/2018	***-**-22IO - CLINTON, STEPHEN	37252M108	0.00	1.65	0.00	1.65	88.0	1.45
	ACCOUNT #: LSR011684	BUY 1 Units @0.0000						
05/21/2018	***-**-702I - KOCHER, MICHAEL	AF MODERATE GROWTH AND INCOME-A	0.00	4.03	0.00	4.03	88.0	3.55
	ACCOUNT #: LSR010954	BUY 1 Units @0.0000						
05/21/2018	***-**-366I - GRUENEWALD,	AF MODERATE GROWTH AND INCOME-A	0.00	1.64	0.00	1.64	88.0	1.44
	ACCOUNT #: LSR010989	BUY 1 Units @0.0000						
05/21/2018	***-**-579J - RHYMESTINE,	AF MODERATE GROWTH AND INCOME-A	0.00	0.78	0.00	0.78	88.0	0.69
	ACCOUNT #: LSR011081	BUY 1 Units @0.0000						
05/21/2018	***-**-808J - GORMAN, RANDY	AF MODERATE GROWTH AND INCOME-A	0.00	0.24	0.00	0.24	88.0	0.21
	ACCOUNT #: LSR011087	BUY 1 Units @0.0000						
05/21/2018	***-**-326I - GRANDE, FBO MR	AF MODERATE GROWTH AND INCOME-A	0.00	2.01	0.00	2.01	88.0	1.77
	ACCOUNT #: LSR011091	BUY 1 Units @0.0000						
05/07/2018	***-**-480J - EVANS, RICHARD	AMERICAN BALANCED FUND-A	125.00	5.31	0.00	5.31	88.0	4.67
	ACCOUNT #: 00073288662	BUY 4 Units @28.3300						
05/21/2018	***-**-680I - HARRELL, DARYL	AMERICAN BALANCED FUND-A	0.00	0.86	0.00	0.86	88.0	0.76
	ACCOUNT #: LSR011321	BUY 1 Units @0.0000						
05/21/2018	***-**-30TR - AND SANDRA	AMERICAN BALANCED FUND-A	0.00	2.78	0.00	2.78	88.0	2.45
	ACCOUNT #: LSR011939	BUY 1 Units @0.0000						
05/21/2018	***-**-761I - EVANS, DOLORES	AMERICAN BALANCED FUND-C	0.00	14.70	0.00	14.70	88.0	12.94
	ACCOUNT #: LSR011024	BUY 1 Units @0.0000						
05/21/2018	***-**-094I - KATRENA L	AMERICAN BALANCED FUND-C	0.00	3.71	0.00	3.71	88.0	3.26
	ACCOUNT #: LSR011188	BUY 1 Units @0.0000						
05/21/2018	***-**-52IO - EUSEPI, SUSAN	AMERICAN BALANCED FUND-C	0.00	5.00	0.00	5.00	88.0	4.40
	ACCOUNT #: LSR011219	BUY 1 Units @0.0000						
05/21/2018	***-**-80IO - EVANS, RICHARD	AMERICAN BALANCED FUND-C	0.00	14.92	0.00	14.92	88.0	13.13
	ACCOUNT #: LSR011276	BUY 1 Units @0.0000						
05/21/2018	***-**-881I - EBERLEY, SUSAN	AMERICAN FUNDS BALANCED PORT CL C	0.00	8.50	0.00	8.50	88.0	7.48
	ACCOUNT #: LSR010858	BUY 1 Units @0.0000						



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 OVERRIDE TRANSACTIONS (continued)								
 <u>BROKER: KURT GRUENEWALD (continued)</u>								
05/21/2018	***-**-382K - SATTERLY, NEIL ACCOUNT #: LSR010875	AMERICAN FUNDS BALANCED PORT CL C BUY 1 Units @0.0000	0.00	4.32	0.00	4.32	88.0	3.80
05/21/2018	***-**-949I - ACEE, JOSPEH ACCOUNT #: LSR010908	AMERICAN FUNDS BALANCED PORT CL C BUY 1 Units @0.0000	0.00	3.54	0.00	3.54	88.0	3.12
05/21/2018	***-**-48IO - CLARK, PATRICK ACCOUNT #: LSR010911	AMERICAN FUNDS BALANCED PORT CL C BUY 1 Units @0.0000	0.00	21.85	0.00	21.85	88.0	19.23
05/21/2018	***-**-31IO - HARTZ, CLAUDIA ACCOUNT #: LSR010915	AMERICAN FUNDS BALANCED PORT CL C BUY 1 Units @0.0000	0.00	5.97	0.00	5.97	88.0	5.25
05/21/2018	***-**-031O - MCVOY, ROBERT ACCOUNT #: LSR010916	AMERICAN FUNDS BALANCED PORT CL C BUY 1 Units @0.0000	0.00	4.54	0.00	4.54	88.0	4.00
05/21/2018	***-**-15IN - PENDRAK, JOHN ACCOUNT #: LSR010948	AMERICAN FUNDS BALANCED PORT CL C BUY 1 Units @0.0000	0.00	11.59	0.00	11.59	88.0	10.20
05/21/2018	***-**-959I - FRANZ, PAUL ACCOUNT #: LSR010959	AMERICAN FUNDS BALANCED PORT CL C BUY 1 Units @0.0000	0.00	10.19	0.00	10.19	88.0	8.97
05/21/2018	***-**-567I - FRANZ, ALICE ACCOUNT #: LSR010960	AMERICAN FUNDS BALANCED PORT CL C BUY 1 Units @0.0000	0.00	6.84	0.00	6.84	88.0	6.02
05/21/2018	***-**-960J - MASTRANGELO, ACCOUNT #: LSR010966	AMERICAN FUNDS BALANCED PORT CL C BUY 1 Units @0.0000	0.00	11.50	0.00	11.50	88.0	10.12
05/21/2018	***-**-73TR - WESTCOTT IRRVOC ACCOUNT #: LSR011001	AMERICAN FUNDS BALANCED PORT CL C BUY 1 Units @0.0000	0.00	8.52	0.00	8.52	88.0	7.50
05/21/2018	***-**-51IO - CAIN, TIMOTHY ACCOUNT #: LSR011007	AMERICAN FUNDS BALANCED PORT CL C BUY 1 Units @0.0000	0.00	11.45	0.00	11.45	88.0	10.08
05/21/2018	***-**-169I - EVANS, PAUL ACCOUNT #: LSR011026	AMERICAN FUNDS BALANCED PORT CL C BUY 1 Units @0.0000	0.00	5.30	0.00	5.30	88.0	4.66
05/21/2018	***-**-73UT - COBB, CHRISTIAN ACCOUNT #: LSR011104	AMERICAN FUNDS BALANCED PORT CL C BUY 1 Units @0.0000	0.00	5.26	0.00	5.26	88.0	4.63
05/21/2018	***-**-67UT - COBB, ACCOUNT #: LSR011105	AMERICAN FUNDS BALANCED PORT CL C BUY 1 Units @0.0000	0.00	5.26	0.00	5.26	88.0	4.63
05/21/2018	***-**-13IN - RHYMESTINE, ACCOUNT #: LSR011106	AMERICAN FUNDS BALANCED PORT CL C BUY 1 Units @0.0000	0.00	2.51	0.00	2.51	88.0	2.21
05/21/2018	***-**-89IN - LEE, ROGER ACCOUNT #: LSR011166	AMERICAN FUNDS BALANCED PORT CL C BUY 1 Units @0.0000	0.00	7.24	0.00	7.24	88.0	6.37



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 OVERRIDE TRANSACTIONS (continued)								
 <u>BROKER: KURT GRUENEWALD (continued)</u>								
05/21/2018	***-**-31IO - WILLIAMSON, FBO ACCOUNT #: LSR011172	AMERICAN FUNDS BALANCED PORT CL C BUY 1 Units @0.0000	0.00	15.50	0.00	15.50	88.0	13.64
05/21/2018	***-**-64IO - PFAFF, GEORGE ACCOUNT #: LSR011185	AMERICAN FUNDS BALANCED PORT CL C BUY 1 Units @0.0000	0.00	4.86	0.00	4.86	88.0	4.28
05/21/2018	***-**-900J - LEE, MR. ACCOUNT #: LSR011186	AMERICAN FUNDS BALANCED PORT CL C BUY 1 Units @0.0000	0.00	5.01	0.00	5.01	88.0	4.41
05/21/2018	***-**-62IR - ROBBIANO, FBO ACCOUNT #: LSR011195	AMERICAN FUNDS BALANCED PORT CL C BUY 1 Units @0.0000	0.00	3.54	0.00	3.54	88.0	3.12
05/21/2018	***-**-02IN - BUSHEY, MELISSA ACCOUNT #: LSR011257	AMERICAN FUNDS BALANCED PORT CL C BUY 1 Units @0.0000	0.00	3.56	0.00	3.56	88.0	3.13
05/21/2018	***-**-653I - KOCHER, CLINTON ACCOUNT #: LSR011300	AMERICAN FUNDS BALANCED PORT CL C BUY 1 Units @0.0000	0.00	3.60	0.00	3.60	88.0	3.17
05/21/2018	***-**-62IR - ROBBIANO, FBO ACCOUNT #: LSR011195	AMERICAN FUNDS GLBL GROWTH PORT CL BUY 1 Units @0.0000	0.00	3.30	0.00	3.30	88.0	2.90
05/21/2018	***-**-87IN - HINCKLEY, ACCOUNT #: LSR010834	AMERICAN FUNDS MORTGAGE FD CL C BUY 1 Units @0.0000	0.00	6.29	0.00	6.29	88.0	5.54
05/21/2018	***-**-287J - HINCKLEY, ACCOUNT #: LSR010841	AMERICAN FUNDS MORTGAGE FD CL C BUY 1 Units @0.0000	0.00	7.92	0.00	7.92	88.0	6.97
05/21/2018	***-**-881I - EBERLEY, SUSAN ACCOUNT #: LSR010858	AMERICAN FUNDS MORTGAGE FD CL C BUY 1 Units @0.0000	0.00	7.08	0.00	7.08	88.0	6.23
05/21/2018	***-**-382I - SATTERLY, NEIL ACCOUNT #: LSR010867	AMERICAN FUNDS MORTGAGE FD CL C BUY 1 Units @0.0000	0.00	8.24	0.00	8.24	88.0	7.25
05/21/2018	***-**-980I - ACEE, ELIZABETH ACCOUNT #: LSR010885	AMERICAN FUNDS MORTGAGE FD CL C BUY 1 Units @0.0000	0.00	12.48	0.00	12.48	88.0	10.98
05/21/2018	***-**-48IO - CLARK, PATRICK ACCOUNT #: LSR010911	AMERICAN FUNDS MORTGAGE FD CL C BUY 1 Units @0.0000	0.00	12.38	0.00	12.38	88.0	10.89
05/21/2018	***-**-31IO - HARTZ, CLAUDIA ACCOUNT #: LSR010915	AMERICAN FUNDS MORTGAGE FD CL C BUY 1 Units @0.0000	0.00	4.77	0.00	4.77	88.0	4.20
05/21/2018	***-**-72IN - GAVALO, JULIE ACCOUNT #: LSR010921	AMERICAN FUNDS MORTGAGE FD CL C BUY 1 Units @0.0000	0.00	12.44	0.00	12.44	88.0	10.95
05/21/2018	***-**-959I - FRANZ, PAUL ACCOUNT #: LSR010959	AMERICAN FUNDS MORTGAGE FD CL C BUY 1 Units @0.0000	0.00	9.95	0.00	9.95	88.0	8.76



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 OVERRIDE TRANSACTIONS (continued)								
 <u>BROKER: KURT GRUENEWALD (continued)</u>								
05/21/2018	***-**-065I - LAZIO, THOMAS	AMERICAN FUNDS MORTGAGE FD CL C	0.00	7.44	0.00	7.44	88.0	6.55
	ACCOUNT #: LSR010979	BUY 1 Units @0.0000						
05/21/2018	***-**-80IN - COBB, JAMES	AMERICAN FUNDS MORTGAGE FD CL C	0.00	8.22	0.00	8.22	88.0	7.23
	ACCOUNT #: LSR011042	BUY 1 Units @0.0000						
05/21/2018	***-**-00IO - LEE, GARY	AMERICAN FUNDS MORTGAGE FD CL C	0.00	8.33	0.00	8.33	88.0	7.33
	ACCOUNT #: LSR011059	BUY 1 Units @0.0000						
05/21/2018	***-**-44IO - MAYO, DEBORAH	AMERICAN FUNDS MORTGAGE FD CL C	0.00	28.61	0.00	28.61	88.0	25.18
	ACCOUNT #: LSR011079	BUY 1 Units @0.0000						
05/21/2018	***-**-579J - RHYMESTINE,	AMERICAN FUNDS MORTGAGE FD CL C	0.00	8.18	0.00	8.18	88.0	7.20
	ACCOUNT #: LSR011081	BUY 1 Units @0.0000						
05/21/2018	***-**-09IO - BATES, FBO MRS	AMERICAN FUNDS MORTGAGE FD CL C	0.00	21.33	0.00	21.33	88.0	18.77
	ACCOUNT #: LSR011117	BUY 1 Units @0.0000						
05/21/2018	***-**-48IO - ANACKER, FBO MRS	AMERICAN FUNDS MORTGAGE FD CL C	0.00	6.20	0.00	6.20	88.0	5.46
	ACCOUNT #: LSR011164	BUY 1 Units @0.0000						
05/21/2018	***-**-89IN - LEE, ROGER	AMERICAN FUNDS MORTGAGE FD CL C	0.00	13.35	0.00	13.35	88.0	11.75
	ACCOUNT #: LSR011166	BUY 1 Units @0.0000						
05/21/2018	***-**-094I - KATRENA L	AMERICAN FUNDS MORTGAGE FD CL C	0.00	2.89	0.00	2.89	88.0	2.54
	ACCOUNT #: LSR011188	BUY 1 Units @0.0000						
05/21/2018	***-**-439J - MCCARTHY, JAMES	AMERICAN FUNDS MORTGAGE FD CL C	0.00	2.41	0.00	2.41	88.0	2.12
	ACCOUNT #: LSR011205	BUY 1 Units @0.0000						
05/21/2018	***-**-52IO - EUSEPI, SUSAN	AMERICAN FUNDS MORTGAGE FD CL C	0.00	2.86	0.00	2.86	88.0	2.52
	ACCOUNT #: LSR011219	BUY 1 Units @0.0000						
05/21/2018	***-**-473J - HUSTON,	AMERICAN FUNDS MORTGAGE FD CL C	0.00	8.29	0.00	8.29	88.0	7.30
	ACCOUNT #: LSR011228	BUY 1 Units @0.0000						
05/21/2018	***-**-80IO - EVANS, RICHARD	AMERICAN FUNDS MORTGAGE FD CL C	0.00	6.57	0.00	6.57	88.0	5.78
	ACCOUNT #: LSR011276	BUY 1 Units @0.0000						
05/21/2018	***-**-376I - BERBEN, GAIL	AMERICAN FUNDS MORTGAGE FD CL C	0.00	8.06	0.00	8.06	88.0	7.09
	ACCOUNT #: LSR011380	BUY 1 Units @0.0000						
05/21/2018	***-**-21IO - RADELL, SANDRA	AMERICAN FUNDS MORTGAGE FD CL C	0.00	8.05	0.00	8.05	88.0	7.08
	ACCOUNT #: LSR011392	BUY 1 Units @0.0000						
05/21/2018	***-**-45IO - JOHNSON, GREGORY	AMERICAN FUNDS MORTGAGE FD CL C	0.00	16.10	0.00	16.10	88.0	14.17
	ACCOUNT #: LSR011421	BUY 1 Units @0.0000						



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 OVERRIDE TRANSACTIONS (continued)								
 <u>BROKER: KURT GRUENEWALD (continued)</u>								
05/21/2018	***-**-420T - DEMETRI, AMELIA ACCOUNT #: LSR010994	AMERICAN FUNDS PRESERVATION PORT C BUY 1 Units @0.0000	0.00	4.08	0.00	4.08	88.0	3.59
05/15/2018	***-**-513I - RHYMESTINE, ACCOUNT #: LSR012457	AMERICAN GLOBAL BALANCED CL C BUY 461 Units @32.5600	15,000.00	150.00	0.00	150.00	88.0	132.00
05/21/2018	***-**-881J - EBERLEY, SUSAN ACCOUNT #: LSR010856	AMERICAN GLOBAL BALANCED CL C BUY 1 Units @0.0000	0.00	9.25	0.00	9.25	88.0	8.14
05/21/2018	***-**-382I - SATTERLY, NEIL ACCOUNT #: LSR010867	AMERICAN GLOBAL BALANCED CL C BUY 1 Units @0.0000	0.00	11.19	0.00	11.19	88.0	9.85
05/21/2018	***-**-382K - SATTERLY, NEIL ACCOUNT #: LSR010875	AMERICAN GLOBAL BALANCED CL C BUY 1 Units @0.0000	0.00	4.14	0.00	4.14	88.0	3.64
05/21/2018	***-**-980I - ACEE, ELIZABETH ACCOUNT #: LSR010885	AMERICAN GLOBAL BALANCED CL C BUY 1 Units @0.0000	0.00	13.99	0.00	13.99	88.0	12.31
05/21/2018	***-**-48IO - CLARK, PATRICK ACCOUNT #: LSR010911	AMERICAN GLOBAL BALANCED CL C BUY 1 Units @0.0000	0.00	11.00	0.00	11.00	88.0	9.68
05/21/2018	***-**-72IN - GAVALO, JULIE ACCOUNT #: LSR010921	AMERICAN GLOBAL BALANCED CL C BUY 1 Units @0.0000	0.00	10.69	0.00	10.69	88.0	9.41
05/21/2018	***-**-065I - LAZIO, THOMAS ACCOUNT #: LSR010979	AMERICAN GLOBAL BALANCED CL C BUY 1 Units @0.0000	0.00	9.08	0.00	9.08	88.0	7.99
05/21/2018	***-**-420T - DEMETRI, AMELIA ACCOUNT #: LSR010994	AMERICAN GLOBAL BALANCED CL C BUY 1 Units @0.0000	0.00	6.90	0.00	6.90	88.0	6.07
05/21/2018	***-**-73TR - WESTCOTT IRRVOC ACCOUNT #: LSR011001	AMERICAN GLOBAL BALANCED CL C BUY 1 Units @0.0000	0.00	13.04	0.00	13.04	88.0	11.48
05/21/2018	***-**-73TR - WESTCOTT IRRVOC ACCOUNT #: LSR011008	AMERICAN GLOBAL BALANCED CL C BUY 1 Units @0.0000	0.00	24.30	0.00	24.30	88.0	21.38
05/21/2018	***-**-80IN - COBB, JAMES ACCOUNT #: LSR011042	AMERICAN GLOBAL BALANCED CL C BUY 1 Units @0.0000	0.00	7.83	0.00	7.83	88.0	6.89
05/21/2018	***-**-00IO - LEE, GARY ACCOUNT #: LSR011059	AMERICAN GLOBAL BALANCED CL C BUY 1 Units @0.0000	0.00	13.04	0.00	13.04	88.0	11.48
05/21/2018	***-**-44IO - MAYO, DEBORAH ACCOUNT #: LSR011079	AMERICAN GLOBAL BALANCED CL C BUY 1 Units @0.0000	0.00	32.64	0.00	32.64	88.0	28.72
05/21/2018	***-**-09IO - BATES, FBO MRS ACCOUNT #: LSR011117	AMERICAN GLOBAL BALANCED CL C BUY 1 Units @0.0000	0.00	16.49	0.00	16.49	88.0	14.51



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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
 OVERRIDE TRANSACTIONS (continued)								
 <u>BROKER: KURT GRUENEWALD (continued)</u>								
05/21/2018	***-**-094I - KATRENA L	AMERICAN GLOBAL BALANCED CL C	0.00	7.40	0.00	7.40	88.0	6.51
	ACCOUNT #: LSR011188	BUY 1 Units @0.0000						
05/21/2018	***-**-11IO - LYNN G.	AMERICAN GLOBAL BALANCED CL C	0.00	18.94	0.00	18.94	88.0	16.67
	ACCOUNT #: LSR011239	BUY 1 Units @0.0000						
05/21/2018	***-**-07IO - FAMOLARO, JAMES	AMERICAN GLOBAL BALANCED CL C	0.00	5.60	0.00	5.60	88.0	4.93
	ACCOUNT #: LSR011280	BUY 1 Units @0.0000						
05/21/2018	***-**-376I - BERBEN, GAIL	AMERICAN GLOBAL BALANCED CL C	0.00	17.61	0.00	17.61	88.0	15.50
	ACCOUNT #: LSR011380	BUY 1 Units @0.0000						
05/21/2018	***-**-21IO - RADELL, SANDRA	AMERICAN GLOBAL BALANCED CL C	0.00	5.64	0.00	5.64	88.0	4.96
	ACCOUNT #: LSR011392	BUY 1 Units @0.0000						
05/21/2018	***-**-45IO - JOHNSON, GREGORY	AMERICAN GLOBAL BALANCED CL C	0.00	14.44	0.00	14.44	88.0	12.71
	ACCOUNT #: LSR011421	BUY 1 Units @0.0000						
05/21/2018	***-**-14IO - BUSHEY, MATTHEW	AMERICAN GLOBAL BALANCED CL C	0.00	16.87	0.00	16.87	88.0	14.85
	ACCOUNT #: LSR011498	BUY 1 Units @0.0000						
05/21/2018	***-**-37IO - MCCLUSKY, MARK	AMERICAN GLOBAL BALANCED CL C	0.00	9.22	0.00	9.22	88.0	8.11
	ACCOUNT #: LSR011579	BUY 1 Units @0.0000						
05/21/2018	***-**-86IN - LEE, KEVIN	AMERICAN GLOBAL BALANCED CL C	0.00	8.23	0.00	8.23	88.0	7.24
	ACCOUNT #: LSR011613	BUY 1 Units @0.0000						
05/21/2018	***-**-03IO - MASTRANGELO,	AMERICAN GLOBAL BALANCED CL C	0.00	9.31	0.00	9.31	88.0	8.19
	ACCOUNT #: LSR011679	BUY 1 Units @0.0000						
05/21/2018	***-**-702I - KOCHEM, MICHAEL	AMERICAN GLOBAL BALANCED CLASS A	0.00	2.56	0.00	2.56	88.0	2.25
	ACCOUNT #: LSR010954	BUY 1 Units @0.0000						
05/21/2018	***-**-63TR - EVANS, AUDREY J	AMERICAN GLOBAL BALANCED CLASS A	0.00	5.89	0.00	5.89	88.0	5.18
	ACCOUNT #: LSR011036	BUY 1 Units @0.0000						
05/21/2018	***-**-30TR - AND SANDRA	AMERICAN GLOBAL BALANCED CLASS A	0.00	1.51	0.00	1.51	88.0	1.33
	ACCOUNT #: LSR011939	BUY 1 Units @0.0000						
05/21/2018	***-**-287I - HINCKLEY,	AMERICAN MUTUAL FUND-A	0.00	5.19	0.00	5.19	88.0	4.57
	ACCOUNT #: LSR010843	BUY 1 Units @0.0000						
05/21/2018	***-**-13IN - GRUENEWALD,	AMERICAN WASHINGTON MUTUAL INVESTOR	0.00	0.32	0.00	0.32	88.0	0.28
	ACCOUNT #: LSR011210	BUY 1 Units @0.0000						
05/16/2018	***-**-513I - RHYMESTINE,	AQUA AMERICA INC	6,650.00	65.50	0.00	65.50	88.0	57.64
	ACCOUNT #: LSR012457	BUY 200 Units @33.2500						



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 OVERRIDE TRANSACTIONS (continued)								
 <u>BROKER: KURT GRUENEWALD (continued)</u>								
05/21/2018	***-**-959I - FRANZ, PAUL	BLACKROCK US OPPORT CL A	0.00	0.38	0.00	0.38	88.0	0.33
	ACCOUNT #: LSR010959	BUY 1 Units @0.0000						
05/15/2018	***-**-65CL - GRUENEWALD, K,	CAPITAL APPRECIATION C	50.00	0.50	0.00	0.50	88.0	0.44
	ACCOUNT #: 03222414918	BUY 0 Units @0.0000						
05/21/2018	***-**-254I - AUGUSTINE, LINDA	CAPITAL INCOME BUILDER CLASS C	0.00	6.97	0.00	6.97	88.0	6.13
	ACCOUNT #: LSR010846	BUY 1 Units @0.0000						
05/21/2018	***-**-881J - EBERLEY, SUSAN	CAPITAL INCOME BUILDER CLASS C	0.00	4.71	0.00	4.71	88.0	4.14
	ACCOUNT #: LSR010856	BUY 1 Units @0.0000						
05/21/2018	***-**-382I - SATTERLY, NEIL	CAPITAL INCOME BUILDER CLASS C	0.00	14.11	0.00	14.11	88.0	12.42
	ACCOUNT #: LSR010867	BUY 1 Units @0.0000						
05/21/2018	***-**-949I - ACEE, JOSPEH	CAPITAL INCOME BUILDER CLASS C	0.00	4.62	0.00	4.62	88.0	4.07
	ACCOUNT #: LSR010908	BUY 1 Units @0.0000						
05/21/2018	***-**-31IO - HARTZ, CLAUDIA	CAPITAL INCOME BUILDER CLASS C	0.00	5.18	0.00	5.18	88.0	4.56
	ACCOUNT #: LSR010915	BUY 1 Units @0.0000						
05/21/2018	***-**-15IN - PENDRAK, JOHN	CAPITAL INCOME BUILDER CLASS C	0.00	8.52	0.00	8.52	88.0	7.50
	ACCOUNT #: LSR010948	BUY 1 Units @0.0000						
05/21/2018	***-**-959I - FRANZ, PAUL	CAPITAL INCOME BUILDER CLASS C	0.00	11.42	0.00	11.42	88.0	10.05
	ACCOUNT #: LSR010959	BUY 1 Units @0.0000						
05/21/2018	***-**-960J - MASTRANGELO,	CAPITAL INCOME BUILDER CLASS C	0.00	9.16	0.00	9.16	88.0	8.06
	ACCOUNT #: LSR010966	BUY 1 Units @0.0000						
05/21/2018	***-**-065I - LAZIO, THOMAS	CAPITAL INCOME BUILDER CLASS C	0.00	6.52	0.00	6.52	88.0	5.74
	ACCOUNT #: LSR010979	BUY 1 Units @0.0000						
05/21/2018	***-**-51IO - CAIN, TIMOTHY	CAPITAL INCOME BUILDER CLASS C	0.00	7.09	0.00	7.09	88.0	6.24
	ACCOUNT #: LSR011007	BUY 1 Units @0.0000						
05/21/2018	***-**-63TR - EVANS, AUDREY J	CAPITAL INCOME BUILDER CLASS C	0.00	5.05	0.00	5.05	88.0	4.44
	ACCOUNT #: LSR011036	BUY 1 Units @0.0000						
05/21/2018	***-**-861I - SANGER, LAWRENCE	CAPITAL INCOME BUILDER CLASS C	0.00	1.76	0.00	1.76	88.0	1.55
	ACCOUNT #: LSR011095	BUY 1 Units @0.0000						
05/21/2018	***-**-13IN - RHYMESTINE,	CAPITAL INCOME BUILDER CLASS C	0.00	4.37	0.00	4.37	88.0	3.85
	ACCOUNT #: LSR011106	BUY 1 Units @0.0000						
05/21/2018	***-**-506J - CURRIERE JR, MR	CAPITAL INCOME BUILDER CLASS C	0.00	3.73	0.00	3.73	88.0	3.28
	ACCOUNT #: LSR011121	BUY 1 Units @0.0000						



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 OVERRIDE TRANSACTIONS (continued)								
 <u>BROKER: KURT GRUENEWALD (continued)</u>								
05/21/2018	***-**-31IO - WILLIAMSON, FBO	CAPITAL INCOME BUILDER CLASS C	0.00	14.10	0.00	14.10	88.0	12.41
	ACCOUNT #: LSR011172	BUY 1 Units @0.0000						
05/21/2018	***-**-62IR - ROBBIANO, FBO	CAPITAL INCOME BUILDER CLASS C	0.00	6.76	0.00	6.76	88.0	5.95
	ACCOUNT #: LSR011195	BUY 1 Units @0.0000						
05/21/2018	***-**-02IN - BUSHEY, MELISSA	CAPITAL INCOME BUILDER CLASS C	0.00	2.77	0.00	2.77	88.0	2.44
	ACCOUNT #: LSR011257	BUY 1 Units @0.0000						
05/21/2018	***-**-287I - HINCKLEY,	CAPITAL INCOME BUILDER-A	0.00	3.97	0.00	3.97	88.0	3.49
	ACCOUNT #: LSR010843	BUY 1 Units @0.0000						
05/21/2018	***-**-702I - KOCHER, MICHAEL	CAPITAL INCOME BUILDER-A	0.00	3.56	0.00	3.56	88.0	3.13
	ACCOUNT #: LSR010954	BUY 1 Units @0.0000						
05/21/2018	***-**-366I - GRUENEWALD,	CAPITAL INCOME BUILDER-A	0.00	2.05	0.00	2.05	88.0	1.80
	ACCOUNT #: LSR010989	BUY 1 Units @0.0000						
05/21/2018	***-**-20IO - DEMETRI, AMELIA	CAPITAL INCOME BUILDER-A	0.00	0.97	0.00	0.97	88.0	0.85
	ACCOUNT #: LSR010995	BUY 1 Units @0.0000						
05/21/2018	***-**-579J - RHYMESTINE,	CAPITAL INCOME BUILDER-A	0.00	2.13	0.00	2.13	88.0	1.87
	ACCOUNT #: LSR011081	BUY 1 Units @0.0000						
05/21/2018	***-**-680I - HARRELL, DARYL	CAPITAL INCOME BUILDER-A	0.00	0.30	0.00	0.30	88.0	0.26
	ACCOUNT #: LSR011321	BUY 1 Units @0.0000						
05/21/2018	***-**-30TR - AND SANDRA	CAPITAL INCOME BUILDER-A	0.00	2.09	0.00	2.09	88.0	1.84
	ACCOUNT #: LSR011939	BUY 1 Units @0.0000						
05/21/2018	***-**-702I - KOCHER, MICHAEL	CAPITAL WORLD GROWTH AND INCOME FUN	0.00	3.66	0.00	3.66	88.0	3.22
	ACCOUNT #: LSR010954	BUY 1 Units @0.0000						
05/21/2018	***-**-20IO - DEMETRI, AMELIA	CAPITAL WORLD GROWTH AND INCOME FUN	0.00	1.52	0.00	1.52	88.0	1.34
	ACCOUNT #: LSR010995	BUY 1 Units @0.0000						
05/21/2018	***-**-579J - RHYMESTINE,	CAPITAL WORLD GROWTH AND INCOME FUN	0.00	1.77	0.00	1.77	88.0	1.56
	ACCOUNT #: LSR011081	BUY 1 Units @0.0000						
05/21/2018	***-**-326J - GRANDE, MR	CAPITAL WORLD GROWTH AND INCOME FUN	0.00	1.40	0.00	1.40	88.0	1.23
	ACCOUNT #: LSR011089	BUY 1 Units @0.0000						
05/21/2018	***-**-326I - GRANDE, FBO MR	CAPITAL WORLD GROWTH AND INCOME FUN	0.00	1.53	0.00	1.53	88.0	1.35
	ACCOUNT #: LSR011091	BUY 1 Units @0.0000						
05/21/2018	***-**-48IO - ANACKER, FBO MRS	CAPITAL WORLD GROWTH AND INCOME FUN	0.00	1.09	0.00	1.09	88.0	0.96
	ACCOUNT #: LSR011164	BUY 1 Units @0.0000						



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 OVERRIDE TRANSACTIONS (continued)								
 <u>BROKER: KURT GRUENEWALD (continued)</u>								
05/21/2018	***-**-680I - HARRELL, DARYL ACCOUNT #: LSR011321	CAPITAL WORLD GROWTH AND INCOME FUN BUY 1 Units @0.0000	0.00	1.38	0.00	1.38	88.0	1.21
05/21/2018	***-**-128I - BASHANT, THOMAS ACCOUNT #: LSR011387	CAPITAL WORLD GROWTH AND INCOME FUN BUY 1 Units @0.0000	0.00	1.49	0.00	1.49	88.0	1.31
05/21/2018	***-**-30TR - AND SANDRA ACCOUNT #: LSR011939	CAPITAL WORLD GROWTH AND INCOME FUN BUY 1 Units @0.0000	0.00	2.44	0.00	2.44	88.0	2.15
05/21/2018	***-**-44IO - MAYO, DEBORAH ACCOUNT #: LSR011079	CAPITAL WORLD GROWTH AND INCOME FUN BUY 1 Units @0.0000	0.00	12.71	0.00	12.71	88.0	11.18
05/21/2018	***-**-09IO - BATES, FBO MRS ACCOUNT #: LSR011117	CAPITAL WORLD GROWTH AND INCOME FUN BUY 1 Units @0.0000	0.00	10.43	0.00	10.43	88.0	9.18
05/21/2018	***-**-11IO - LYNN G. ACCOUNT #: LSR011239	CAPITAL WORLD GROWTH AND INCOME FUN BUY 1 Units @0.0000	0.00	11.34	0.00	11.34	88.0	9.98
05/21/2018	***-**-45IO - JOHNSON, GREGORY ACCOUNT #: LSR011421	CAPITAL WORLD GROWTH AND INCOME FUN BUY 1 Units @0.0000	0.00	7.81	0.00	7.81	88.0	6.87
05/21/2018	***-**-71IO - FAMOLARO, JAMES ACCOUNT #: LSR011279	CLEARBRIDGE AGGRESSIVE GROWTH A BUY 1 Units @0.0000	0.00	0.48	0.00	0.48	88.0	0.42
05/21/2018	***-**-959I - FRANZ, PAUL ACCOUNT #: LSR010959	COLUMBIA MARSICO FOCUSED EQ CL A BUY 1 Units @0.0000	0.00	0.22	0.00	0.22	88.0	0.19
05/21/2018	***-**-949I - ACEE, JOSPEH ACCOUNT #: LSR010908	DEVELOPING MARKETS FUND B BUY 1 Units @0.0000	0.00	1.28	0.00	1.28	88.0	1.13
05/21/2018	***-**-506J - CURRIERE JR, MR ACCOUNT #: LSR011121	DEVELOPING MARKETS FUND B BUY 1 Units @0.0000	0.00	0.03	0.00	0.03	88.0	0.03
05/21/2018	***-**-48IO - ANACKER, FBO MRS ACCOUNT #: LSR011164	DEVELOPING MARKETS FUND B BUY 1 Units @0.0000	0.00	0.78	0.00	0.78	88.0	0.69
05/21/2018	***-**-64IO - PFAFF, GEORGE ACCOUNT #: LSR011185	DEVELOPING MARKETS FUND B BUY 1 Units @0.0000	0.00	1.51	0.00	1.51	88.0	1.33
05/21/2018	***-**-62IR - ROBBIANO, FBO ACCOUNT #: LSR011195	DEVELOPING MARKETS FUND B BUY 1 Units @0.0000	0.00	1.17	0.00	1.17	88.0	1.03
05/21/2018	***-**-653I - KOCHER, CLINTON ACCOUNT #: LSR011300	DEVELOPING MARKETS FUND B BUY 1 Units @0.0000	0.00	0.08	0.00	0.08	88.0	0.07
05/16/2018	***-**-513I - RHYMESTINE, ACCOUNT #: LSR012457	EATON VANCE FLOATING RATE ADVANTAGE BUY 777 Units @10.9400	8,500.00	85.00	0.00	85.00	88.0	74.80



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 OVERRIDE TRANSACTIONS (continued)								
 <u>BROKER: KURT GRUENEWALD (continued)</u>								
05/15/2018	***-**-633J -	EQUITY INCOME FUND, INC. A	175.00	8.31	0.00	8.31	88.0	7.31
	ACCOUNT #: 08353229688	BUY 0 Units @0.0000						
05/21/2018	***-**-287J - HINCKLEY,	EQUITY INCOME FUND, INC. A	0.00	0.57	0.00	0.57	88.0	0.50
	ACCOUNT #: LSR010841	BUY 1 Units @0.0000						
05/21/2018	***-**-254I - AUGUSTINE, LINDA	EQUITY INCOME FUND, INC. A	0.00	2.25	0.00	2.25	88.0	1.98
	ACCOUNT #: LSR010846	BUY 1 Units @0.0000						
05/21/2018	***-**-881J - EBERLEY, SUSAN	EQUITY INCOME FUND, INC. A	0.00	2.17	0.00	2.17	88.0	1.91
	ACCOUNT #: LSR010856	BUY 1 Units @0.0000						
05/21/2018	***-**-15IN - PENDRAK, JOHN	EQUITY INCOME FUND, INC. A	0.00	1.83	0.00	1.83	88.0	1.61
	ACCOUNT #: LSR010948	BUY 1 Units @0.0000						
05/21/2018	***-**-702I - KOCHER, MICHAEL	EQUITY INCOME FUND, INC. A	0.00	1.98	0.00	1.98	88.0	1.74
	ACCOUNT #: LSR010954	BUY 1 Units @0.0000						
05/21/2018	***-**-959I - FRANZ, PAUL	EQUITY INCOME FUND, INC. A	0.00	2.20	0.00	2.20	88.0	1.94
	ACCOUNT #: LSR010959	BUY 1 Units @0.0000						
05/21/2018	***-**-960J - MASTRANGELO,	EQUITY INCOME FUND, INC. A	0.00	2.33	0.00	2.33	88.0	2.05
	ACCOUNT #: LSR010966	BUY 1 Units @0.0000						
05/21/2018	***-**-366I - GRUENEWALD,	EQUITY INCOME FUND, INC. A	0.00	1.28	0.00	1.28	88.0	1.13
	ACCOUNT #: LSR010989	BUY 1 Units @0.0000						
05/21/2018	***-**-51IO - CAIN, TIMOTHY	EQUITY INCOME FUND, INC. A	0.00	2.48	0.00	2.48	88.0	2.18
	ACCOUNT #: LSR011007	BUY 1 Units @0.0000						
05/21/2018	***-**-761I - EVANS, DOLORES	EQUITY INCOME FUND, INC. A	0.00	4.44	0.00	4.44	88.0	3.91
	ACCOUNT #: LSR011024	BUY 1 Units @0.0000						
05/21/2018	***-**-944O - MAYO, DEBORAH	EQUITY INCOME FUND, INC. A	0.00	1.08	0.00	1.08	88.0	0.95
	ACCOUNT #: LSR011035	BUY 1 Units @0.0000						
05/21/2018	***-**-306X - COBB, CHERRYL	EQUITY INCOME FUND, INC. A	0.00	1.91	0.00	1.91	88.0	1.68
	ACCOUNT #: LSR011037	BUY 1 Units @0.0000						
05/21/2018	***-**-579I - RHYMESTINE,	EQUITY INCOME FUND, INC. A	0.00	1.66	0.00	1.66	88.0	1.46
	ACCOUNT #: LSR011082	BUY 1 Units @0.0000						
05/21/2018	***-**-861I - SANGER, LAWRENCE	EQUITY INCOME FUND, INC. A	0.00	1.12	0.00	1.12	88.0	0.99
	ACCOUNT #: LSR011095	BUY 1 Units @0.0000						
05/21/2018	***-**-506J - CURRIERE JR, MR	EQUITY INCOME FUND, INC. A	0.00	1.05	0.00	1.05	88.0	0.92
	ACCOUNT #: LSR011121	BUY 1 Units @0.0000						



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 OVERRIDE TRANSACTIONS (continued)								
 <u>BROKER: KURT GRUENEWALD (continued)</u>								
05/21/2018	***-**-653I - KOCHER, CLINTON	EQUITY INCOME FUND, INC. A	0.00	2.93	0.00	2.93	88.0	2.58
	ACCOUNT #: LSR011300	BUY 1 Units @0.0000						
05/21/2018	***-**-680I - HARRELL, DARYL	EQUITY INCOME FUND, INC. A	0.00	0.83	0.00	0.83	88.0	0.73
	ACCOUNT #: LSR011321	BUY 1 Units @0.0000						
05/21/2018	***-**-949I - ACEE, JOSPEH	EQUITY INCOME FUND, INC. B	0.00	2.45	0.00	2.45	88.0	2.16
	ACCOUNT #: LSR010908	BUY 1 Units @0.0000						
05/21/2018	***-**-567I - FRANZ, ALICE	EQUITY INCOME FUND, INC. B	0.00	5.81	0.00	5.81	88.0	5.11
	ACCOUNT #: LSR010960	BUY 1 Units @0.0000						
05/21/2018	***-**-506J - CURRIERE JR, MR	EQUITY INCOME FUND, INC. B	0.00	0.04	0.00	0.04	88.0	0.04
	ACCOUNT #: LSR011121	BUY 1 Units @0.0000						
05/21/2018	***-**-48IO - ANACKER, FBO MRS	EQUITY INCOME FUND, INC. B	0.00	1.63	0.00	1.63	88.0	1.43
	ACCOUNT #: LSR011164	BUY 1 Units @0.0000						
05/21/2018	***-**-64IO - PFAFF, GEORGE	EQUITY INCOME FUND, INC. B	0.00	2.05	0.00	2.05	88.0	1.80
	ACCOUNT #: LSR011185	BUY 1 Units @0.0000						
05/21/2018	***-**-62IR - ROBBIANO, FBO	EQUITY INCOME FUND, INC. B	0.00	1.46	0.00	1.46	88.0	1.28
	ACCOUNT #: LSR011195	BUY 1 Units @0.0000						
05/21/2018	***-**-653I - KOCHER, CLINTON	EQUITY INCOME FUND, INC. B	0.00	0.10	0.00	0.10	88.0	0.09
	ACCOUNT #: LSR011300	BUY 1 Units @0.0000						
05/08/2018	***-**-48JT - LEE, DARLENE	EQUITY INCOME FUND, INC. C	50.00	0.50	0.00	0.50	88.0	0.44
	ACCOUNT #: 08370750926	BUY 0 Units @0.0000						
05/21/2018	***-**-980I - ACEE, ELIZABETH	EQUITY INCOME FUND, INC. C	0.00	13.44	0.00	13.44	88.0	11.83
	ACCOUNT #: LSR010885	BUY 1 Units @0.0000						
05/21/2018	***-**-031O - MCVOY, ROBERT	EQUITY INCOME FUND, INC. C	0.00	6.07	0.00	6.07	88.0	5.34
	ACCOUNT #: LSR010916	BUY 1 Units @0.0000						
05/21/2018	***-**-00IO - LEE, GARY	EQUITY INCOME FUND, INC. C	0.00	13.38	0.00	13.38	88.0	11.77
	ACCOUNT #: LSR011059	BUY 1 Units @0.0000						
05/21/2018	***-**-714O - LINES, JUDITH	EQUITY INCOME FUND, INC. C	0.00	3.68	0.00	3.68	88.0	3.24
	ACCOUNT #: LSR011763	BUY 1 Units @0.0000						
05/21/2018	***-**-28IN - BYWATER, KIM	EQUITY INCOME FUND, INC. C	0.00	1.57	0.00	1.57	88.0	1.38
	ACCOUNT #: LSR011995	BUY 1 Units @0.0000						
05/21/2018	***-**-20IO - DEMETRI, AMELIA	EUROPACIFIC GROWTH FUND-A	0.00	1.56	0.00	1.56	88.0	1.37
	ACCOUNT #: LSR010995	BUY 1 Units @0.0000						



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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
 OVERRIDE TRANSACTIONS (continued)								
 <u>BROKER: KURT GRUENEWALD (continued)</u>								
05/21/2018	***-**-326I - GRANDE, FBO MR ACCOUNT #: LSR011091	EUROPACIFIC GROWTH FUND-A BUY 1 Units @0.0000	0.00	1.31	0.00	1.31	88.0	1.15
05/21/2018	***-**-680I - HARRELL, DARYL ACCOUNT #: LSR011321	EUROPACIFIC GROWTH FUND-A BUY 1 Units @0.0000	0.00	0.63	0.00	0.63	88.0	0.55
05/21/2018	***-**-111J - NESSIA, JAMES ACCOUNT #: LSR011054	FIDELITY ADV EMERGING MRKTS INC CL BUY 1 Units @0.0000	0.00	0.76	0.00	0.76	88.0	0.67
05/21/2018	***-**-62IN - EATON, DAVID ACCOUNT #: LSR011315	FIDELITY ADV EMERGING MRKTS INC CL BUY 1 Units @0.0000	0.00	1.18	0.00	1.18	88.0	1.04
05/21/2018	***-**-930I - SANGER, KEVIN ACCOUNT #: LSR010941	FIDELITY ADV EQUITY INCOME CL A BUY 1 Units @0.0000	0.00	2.06	0.00	2.06	88.0	1.81
05/21/2018	***-**-579I - RHYMESTINE, ACCOUNT #: LSR011082	FIDELITY ADV INDUSTRIALS-CL C BUY 1 Units @0.0000	0.00	14.01	0.00	14.01	88.0	12.33
05/21/2018	***-**-579I - RHYMESTINE, ACCOUNT #: LSR011082	FIDELITY ADV SMALL CAP CL C BUY 1 Units @0.0000	0.00	4.94	0.00	4.94	88.0	4.35
05/21/2018	***-**-579I - RHYMESTINE, ACCOUNT #: LSR011082	FIDELITY ADV STOCK SELECTOR ALL CAP BUY 1 Units @0.0000	0.00	4.74	0.00	4.74	88.0	4.17
05/21/2018	***-**-579I - RHYMESTINE, ACCOUNT #: LSR011082	FIDELITY ADVISOR EQUITY INCOME CL C BUY 1 Units @0.0000	0.00	19.53	0.00	19.53	88.0	17.19
05/21/2018	***-**-579I - RHYMESTINE, ACCOUNT #: LSR011082	FIDELITY ADVISOR INT'L DISCOVERY CL BUY 1 Units @0.0000	0.00	15.72	0.00	15.72	88.0	13.83
05/21/2018	***-**-579I - RHYMESTINE, ACCOUNT #: LSR011082	FIDELITY ADVISOR INTERMEDIATE BOND BUY 1 Units @0.0000	0.00	8.03	0.00	8.03	88.0	7.07
05/21/2018	***-**-15IN - PENDRAK, JOHN ACCOUNT #: LSR010948	FIDELITY ADVISOR MORTGAGE SECS CL A BUY 1 Units @0.0000	0.00	2.04	0.00	2.04	88.0	1.80
05/21/2018	***-**-02IN - BUSHEY, MELISSA ACCOUNT #: LSR011257	FIDELITY ADVISOR MORTGAGE SECS CL A BUY 1 Units @0.0000	0.00	0.24	0.00	0.24	88.0	0.21
05/21/2018	***-**-579I - RHYMESTINE, ACCOUNT #: LSR011082	FIDELITY ADVISOR MORTGAGE SECS CL C BUY 1 Units @0.0000	0.00	5.55	0.00	5.55	88.0	4.88
05/21/2018	***-**-702I - KOCHEM, MICHAEL ACCOUNT #: LSR010954	FUNDAMENTAL INVESTORS-A BUY 1 Units @0.0000	0.00	2.13	0.00	2.13	88.0	1.87
05/21/2018	***-**-366I - GRUENEWALD, ACCOUNT #: LSR010989	FUNDAMENTAL INVESTORS-A BUY 1 Units @0.0000	0.00	1.15	0.00	1.15	88.0	1.01



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 OVERRIDE TRANSACTIONS (continued)								
 <u>BROKER: KURT GRUENEWALD (continued)</u>								
05/21/2018	***-**-366S - GRUENEWALD, ACCOUNT #: LSR010990	FUNDAMENTAL INVESTORS-A BUY 1 Units @0.0000	0.00	0.97	0.00	0.97	88.0	0.85
05/21/2018	***-**-579J - RHYMESTINE, ACCOUNT #: LSR011081	FUNDAMENTAL INVESTORS-A BUY 1 Units @0.0000	0.00	1.08	0.00	1.08	88.0	0.95
05/21/2018	***-**-326I - GRANDE, FBO MR ACCOUNT #: LSR011091	FUNDAMENTAL INVESTORS-A BUY 1 Units @0.0000	0.00	1.90	0.00	1.90	88.0	1.67
05/21/2018	***-**-680I - HARRELL, DARYL ACCOUNT #: LSR011321	FUNDAMENTAL INVESTORS-A BUY 1 Units @0.0000	0.00	1.36	0.00	1.36	88.0	1.20
05/21/2018	***-**-128I - BASHANT, THOMAS ACCOUNT #: LSR011387	FUNDAMENTAL INVESTORS-A BUY 1 Units @0.0000	0.00	1.21	0.00	1.21	88.0	1.06
05/21/2018	***-**-30TR - AND SANDRA ACCOUNT #: LSR011939	FUNDAMENTAL INVESTORS-A BUY 1 Units @0.0000	0.00	1.82	0.00	1.82	88.0	1.60
05/21/2018	***-**-881J - EBERLEY, SUSAN ACCOUNT #: LSR010856	FUNDAMENTAL INVESTORS-C BUY 1 Units @0.0000	0.00	4.10	0.00	4.10	88.0	3.61
05/21/2018	***-**-382I - SATTERLY, NEIL ACCOUNT #: LSR010867	FUNDAMENTAL INVESTORS-C BUY 1 Units @0.0000	0.00	10.81	0.00	10.81	88.0	9.51
05/21/2018	***-**-949I - ACEE, JOSPEH ACCOUNT #: LSR010908	FUNDAMENTAL INVESTORS-C BUY 1 Units @0.0000	0.00	2.97	0.00	2.97	88.0	2.61
05/21/2018	***-**-31IO - HARTZ, CLAUDIA ACCOUNT #: LSR010915	FUNDAMENTAL INVESTORS-C BUY 1 Units @0.0000	0.00	2.83	0.00	2.83	88.0	2.49
05/21/2018	***-**-031O - MCVOY, ROBERT ACCOUNT #: LSR010916	FUNDAMENTAL INVESTORS-C BUY 1 Units @0.0000	0.00	5.14	0.00	5.14	88.0	4.52
05/21/2018	***-**-15IN - PENDRAK, JOHN ACCOUNT #: LSR010948	FUNDAMENTAL INVESTORS-C BUY 1 Units @0.0000	0.00	4.72	0.00	4.72	88.0	4.15
05/21/2018	***-**-959I - FRANZ, PAUL ACCOUNT #: LSR010959	FUNDAMENTAL INVESTORS-C BUY 1 Units @0.0000	0.00	11.18	0.00	11.18	88.0	9.84
05/21/2018	***-**-960J - MASTRANGELO, ACCOUNT #: LSR010966	FUNDAMENTAL INVESTORS-C BUY 1 Units @0.0000	0.00	8.55	0.00	8.55	88.0	7.52
05/21/2018	***-**-065I - LAZIO, THOMAS ACCOUNT #: LSR010979	FUNDAMENTAL INVESTORS-C BUY 1 Units @0.0000	0.00	5.58	0.00	5.58	88.0	4.91
05/21/2018	***-**-51IO - CAIN, TIMOTHY ACCOUNT #: LSR011007	FUNDAMENTAL INVESTORS-C BUY 1 Units @0.0000	0.00	5.12	0.00	5.12	88.0	4.51



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 OVERRIDE TRANSACTIONS (continued) 								
 <u>BROKER: KURT GRUENEWALD (continued)</u> 								
05/21/2018	***-**-761I - EVANS, DOLORES	FUNDAMENTAL INVESTORS-C	0.00	15.31	0.00	15.31	88.0	13.47
	ACCOUNT #: LSR011024	BUY 1 Units @0.0000						
05/21/2018	***-**-306X - COBB, CHERRYL	FUNDAMENTAL INVESTORS-C	0.00	5.55	0.00	5.55	88.0	4.88
	ACCOUNT #: LSR011037	BUY 1 Units @0.0000						
05/21/2018	***-**-861I - SANGER, LAWRENCE	FUNDAMENTAL INVESTORS-C	0.00	0.20	0.00	0.20	88.0	0.18
	ACCOUNT #: LSR011095	BUY 1 Units @0.0000						
05/21/2018	***-**-13IN - RHYMESTINE,	FUNDAMENTAL INVESTORS-C	0.00	3.42	0.00	3.42	88.0	3.01
	ACCOUNT #: LSR011106	BUY 1 Units @0.0000						
05/21/2018	***-**-09IO - BATES, FBO MRS	FUNDAMENTAL INVESTORS-C	0.00	10.85	0.00	10.85	88.0	9.55
	ACCOUNT #: LSR011117	BUY 1 Units @0.0000						
05/21/2018	***-**-506J - CURRIERE JR, MR	FUNDAMENTAL INVESTORS-C	0.00	4.56	0.00	4.56	88.0	4.01
	ACCOUNT #: LSR011121	BUY 1 Units @0.0000						
05/21/2018	***-**-48IO - ANACKER, FBO MRS	FUNDAMENTAL INVESTORS-C	0.00	4.87	0.00	4.87	88.0	4.29
	ACCOUNT #: LSR011164	BUY 1 Units @0.0000						
05/21/2018	***-**-89IN - LEE, ROGER	FUNDAMENTAL INVESTORS-C	0.00	5.46	0.00	5.46	88.0	4.80
	ACCOUNT #: LSR011166	BUY 1 Units @0.0000						
05/21/2018	***-**-31IO - WILLIAMSON, FBO	FUNDAMENTAL INVESTORS-C	0.00	7.28	0.00	7.28	88.0	6.41
	ACCOUNT #: LSR011172	BUY 1 Units @0.0000						
05/21/2018	***-**-64IO - PFAFF, GEORGE	FUNDAMENTAL INVESTORS-C	0.00	3.55	0.00	3.55	88.0	3.12
	ACCOUNT #: LSR011185	BUY 1 Units @0.0000						
05/21/2018	***-**-62IR - ROBBIANO, FBO	FUNDAMENTAL INVESTORS-C	0.00	3.15	0.00	3.15	88.0	2.77
	ACCOUNT #: LSR011195	BUY 1 Units @0.0000						
05/21/2018	***-**-11IO - LYNN G.	FUNDAMENTAL INVESTORS-C	0.00	11.68	0.00	11.68	88.0	10.28
	ACCOUNT #: LSR011239	BUY 1 Units @0.0000						
05/21/2018	***-**-653I - KOCHER, CLINTON	FUNDAMENTAL INVESTORS-C	0.00	8.82	0.00	8.82	88.0	7.76
	ACCOUNT #: LSR011300	BUY 1 Units @0.0000						
05/21/2018	***-**-376I - BERBEN, GAIL	FUNDAMENTAL INVESTORS-C	0.00	14.70	0.00	14.70	88.0	12.94
	ACCOUNT #: LSR011380	BUY 1 Units @0.0000						
05/21/2018	***-**-21IO - RADELL, SANDRA	FUNDAMENTAL INVESTORS-C	0.00	3.91	0.00	3.91	88.0	3.44
	ACCOUNT #: LSR011392	BUY 1 Units @0.0000						
05/21/2018	***-**-45IO - JOHNSON, GREGORY	FUNDAMENTAL INVESTORS-C	0.00	10.73	0.00	10.73	88.0	9.44
	ACCOUNT #: LSR011421	BUY 1 Units @0.0000						



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 OVERRIDE TRANSACTIONS (continued)								
 <u>BROKER: KURT GRUENEWALD (continued)</u>								
05/21/2018	***-**-14IO - BUSHEY, MATTHEW	FUNDAMENTAL INVESTORS-C	0.00	12.15	0.00	12.15	88.0	10.69
	ACCOUNT #: LSR011498	BUY 1 Units @0.0000						
05/21/2018	***-**-128I - BASHANT, THOMAS	GLOBAL FUND A	0.00	2.13	0.00	2.13	88.0	1.87
	ACCOUNT #: LSR011387	BUY 1 Units @0.0000						
05/21/2018	***-**-579J - RHYMESTINE,	GLOBAL GROWTH PORTFOLIO-A	0.00	0.86	0.00	0.86	88.0	0.76
	ACCOUNT #: LSR011081	BUY 1 Units @0.0000						
05/11/2018	***-**-31IO - JOSEPH, ANN	GLOBAL OPPORTUNITIES FUND C	7,500.01	75.00	0.00	75.00	88.0	66.00
	ACCOUNT #: LSR012337	BUY 116 Units @64.8700						
05/15/2018	***-**-65CL - GRUENEWALD, K,	GLOBAL OPPORTUNITIES FUND C	50.00	0.50	0.00	0.50	88.0	0.44
	ACCOUNT #: 02171825219	BUY 0 Units @0.0000						
05/16/2018	***-**-513I - RHYMESTINE,	GLOBAL OPPORTUNITIES FUND C	10,000.02	100.00	0.00	100.00	88.0	88.00
	ACCOUNT #: LSR012457	BUY 153 Units @65.1900						
05/21/2018	***-**-094I - KATRENA L	GLOBAL OPPORTUNITIES FUND C	0.00	16.23	0.00	16.23	88.0	14.28
	ACCOUNT #: LSR011188	BUY 1 Units @0.0000						
05/21/2018	***-**-254I - AUGUSTINE, LINDA	GOLD & SPECIAL MINERALS A	0.00	0.30	0.00	0.30	88.0	0.26
	ACCOUNT #: LSR010846	BUY 1 Units @0.0000						
05/21/2018	***-**-881I - EBERLEY, SUSAN	GOLD & SPECIAL MINERALS A	0.00	0.16	0.00	0.16	88.0	0.14
	ACCOUNT #: LSR010858	BUY 1 Units @0.0000						
05/21/2018	***-**-930I - SANGER, KEVIN	GOLD & SPECIAL MINERALS A	0.00	0.32	0.00	0.32	88.0	0.28
	ACCOUNT #: LSR010941	BUY 1 Units @0.0000						
05/21/2018	***-**-15IN - PENDRAK, JOHN	GOLD & SPECIAL MINERALS A	0.00	2.12	0.00	2.12	88.0	1.87
	ACCOUNT #: LSR010948	BUY 1 Units @0.0000						
05/21/2018	***-**-702J - KOCHEM, MICHAEL	GOLD & SPECIAL MINERALS A	0.00	0.23	0.00	0.23	88.0	0.20
	ACCOUNT #: LSR010955	BUY 1 Units @0.0000						
05/21/2018	***-**-959I - FRANZ, PAUL	GOLD & SPECIAL MINERALS A	0.00	0.56	0.00	0.56	88.0	0.49
	ACCOUNT #: LSR010959	BUY 1 Units @0.0000						
05/21/2018	***-**-61IN - EVANS, DOLORES	GOLD & SPECIAL MINERALS A	0.00	0.18	0.00	0.18	88.0	0.16
	ACCOUNT #: LSR011023	BUY 1 Units @0.0000						
05/21/2018	***-**-944O - MAYO, DEBORAH	GOLD & SPECIAL MINERALS A	0.00	0.53	0.00	0.53	88.0	0.47
	ACCOUNT #: LSR011035	BUY 1 Units @0.0000						
05/21/2018	***-**-96IN - NESSIA, BONNIE	GOLD & SPECIAL MINERALS A	0.00	0.29	0.00	0.29	88.0	0.26
	ACCOUNT #: LSR011055	BUY 1 Units @0.0000						



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 OVERRIDE TRANSACTIONS (continued)								
 <u>BROKER: KURT GRUENEWALD (continued)</u>								
05/21/2018	***-**-13IN - RHYMESTINE, ACCOUNT #: LSR011106	GOLD & SPECIAL MINERALS A BUY 1 Units @0.0000	0.00	0.34	0.00	0.34	88.0	0.30
05/21/2018	***-**-76IO - MCALLISTER, FBO ACCOUNT #: LSR011107	GOLD & SPECIAL MINERALS A BUY 1 Units @0.0000	0.00	0.33	0.00	0.33	88.0	0.29
05/21/2018	***-**-367J - WAGNER, MRS LANT ACCOUNT #: LSR011134	GOLD & SPECIAL MINERALS A BUY 1 Units @0.0000	0.00	0.30	0.00	0.30	88.0	0.26
05/21/2018	***-**-31IO - WILLIAMSON, FBO ACCOUNT #: LSR011172	GOLD & SPECIAL MINERALS A BUY 1 Units @0.0000	0.00	1.35	0.00	1.35	88.0	1.19
05/21/2018	***-**-02IN - BUSHEY, MELISSA ACCOUNT #: LSR011257	GOLD & SPECIAL MINERALS A BUY 1 Units @0.0000	0.00	0.12	0.00	0.12	88.0	0.11
05/21/2018	***-**-62IN - EATON, DAVID ACCOUNT #: LSR011315	GOLD & SPECIAL MINERALS A BUY 1 Units @0.0000	0.00	0.39	0.00	0.39	88.0	0.34
05/21/2018	***-**-949I - ACEE, JOSPEH ACCOUNT #: LSR010908	GOLD & SPECIAL MINERALS FUND B BUY 1 Units @0.0000	0.00	0.59	0.00	0.59	88.0	0.52
05/21/2018	***-**-579I - RHYMESTINE, ACCOUNT #: LSR011082	GOLD & SPECIAL MINERALS FUND B BUY 1 Units @0.0000	0.00	0.53	0.00	0.53	88.0	0.47
05/21/2018	***-**-48IO - ANACKER, FBO MRS ACCOUNT #: LSR011164	GOLD & SPECIAL MINERALS FUND B BUY 1 Units @0.0000	0.00	0.70	0.00	0.70	88.0	0.62
05/21/2018	***-**-664J - PFAFF, GEORGE ACCOUNT #: LSR011184	GOLD & SPECIAL MINERALS FUND B BUY 1 Units @0.0000	0.00	0.58	0.00	0.58	88.0	0.51
05/21/2018	***-**-44IO - MAYO, DEBORAH ACCOUNT #: LSR011079	GRIFFIN INST ACCESS REAL ESTATE FD BUY 1 Units @0.0000	0.00	9.22	0.00	9.22	88.0	8.11
05/21/2018	***-**-44IO - MAYO, DEBORAH ACCOUNT #: LSR011079	GRIFFIN INST ACCESS REAL ESTATE FD BUY 1 Units @0.0000	0.00	3.07	0.00	3.07	88.0	2.70
05/21/2018	***-**-367J - WAGNER, MRS LANT ACCOUNT #: LSR011134	GROWTH FUND OF AMERICA CLASS F BUY 1 Units @0.0000	0.00	3.20	0.00	3.20	88.0	2.82
05/21/2018	***-**-702I - KOCHEM, MICHAEL ACCOUNT #: LSR010954	HARTFORD CHECKS AND BALANCED FUND C BUY 1 Units @0.0000	0.00	1.30	0.00	1.30	88.0	1.14
05/21/2018	***-**-366S - GRUENEWALD, ACCOUNT #: LSR010990	HARTFORD CHECKS AND BALANCED FUND C BUY 1 Units @0.0000	0.00	0.45	0.00	0.45	88.0	0.40
05/21/2018	***-**-680I - HARRELL, DARYL ACCOUNT #: LSR011321	HARTFORD CHECKS AND BALANCED FUND C BUY 1 Units @0.0000	0.00	1.25	0.00	1.25	88.0	1.10



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<u> OVERRIDE TRANSACTIONS (continued) </u>								
<u> BROKER: KURT GRUENEWALD (continued) </u>								
05/21/2018	***-**-30TR - AND SANDRA ACCOUNT #: LSR011939	HARTFORD CHECKS AND BALANCED FUND C BUY 1 Units @0.0000	0.00	2.45	0.00	2.45	88.0	2.16
05/21/2018	***-**-366S - GRUENEWALD, ACCOUNT #: LSR010990	HARTFORD INFLATION PLUS FUND CLASS BUY 1 Units @0.0000	0.00	0.65	0.00	0.65	88.0	0.57
05/21/2018	***-**-680I - HARRELL, DARYL ACCOUNT #: LSR011321	HARTFORD INFLATION PLUS FUND CLASS BUY 1 Units @0.0000	0.00	1.70	0.00	1.70	88.0	1.50
05/21/2018	***-**-287I - HINCKLEY, ACCOUNT #: LSR010843	INCOME FUND OF AMERICA CLASS C BUY 1 Units @0.0000	0.00	3.50	0.00	3.50	88.0	3.08
05/21/2018	***-**-980I - ACEE, ELIZABETH ACCOUNT #: LSR010885	INCOME FUND OF AMERICA CLASS C BUY 1 Units @0.0000	0.00	11.71	0.00	11.71	88.0	10.30
05/21/2018	***-**-72IN - GAVALO, JULIE ACCOUNT #: LSR010921	INCOME FUND OF AMERICA CLASS C BUY 1 Units @0.0000	0.00	10.53	0.00	10.53	88.0	9.27
05/21/2018	***-**-73TR - WESTCOTT IRRVOC ACCOUNT #: LSR011001	INCOME FUND OF AMERICA CLASS C BUY 1 Units @0.0000	0.00	1.71	0.00	1.71	88.0	1.50
05/21/2018	***-**-63TR - EVANS, AUDREY J ACCOUNT #: LSR011036	INCOME FUND OF AMERICA CLASS C BUY 1 Units @0.0000	0.00	5.26	0.00	5.26	88.0	4.63
05/21/2018	***-**-44IO - MAYO, DEBORAH ACCOUNT #: LSR011079	INCOME FUND OF AMERICA CLASS C BUY 1 Units @0.0000	0.00	18.66	0.00	18.66	88.0	16.42
05/21/2018	***-**-09IO - BATES, FBO MRS ACCOUNT #: LSR011117	INCOME FUND OF AMERICA CLASS C BUY 1 Units @0.0000	0.00	31.08	0.00	31.08	88.0	27.35
05/21/2018	***-**-11IO - LYNN G. ACCOUNT #: LSR011239	INCOME FUND OF AMERICA CLASS C BUY 1 Units @0.0000	0.00	14.50	0.00	14.50	88.0	12.76
05/21/2018	***-**-376I - BERBEN, GAIL ACCOUNT #: LSR011380	INCOME FUND OF AMERICA CLASS C BUY 1 Units @0.0000	0.00	13.05	0.00	13.05	88.0	11.48
05/21/2018	***-**-21IO - RADELL, SANDRA ACCOUNT #: LSR011392	INCOME FUND OF AMERICA CLASS C BUY 1 Units @0.0000	0.00	4.75	0.00	4.75	88.0	4.18
05/21/2018	***-**-45IO - JOHNSON, GREGORY ACCOUNT #: LSR011421	INCOME FUND OF AMERICA CLASS C BUY 1 Units @0.0000	0.00	15.70	0.00	15.70	88.0	13.82
05/21/2018	***-**-14IO - BUSHEY, MATTHEW ACCOUNT #: LSR011498	INCOME FUND OF AMERICA CLASS C BUY 1 Units @0.0000	0.00	11.23	0.00	11.23	88.0	9.88
05/21/2018	***-**-702I - KOCHEM, MICHAEL ACCOUNT #: LSR010954	INTERMEDIATE BOND FUND OF AMERICA-A BUY 1 Units @0.0000	0.00	0.14	0.00	0.14	88.0	0.12



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DAVID GRIFFITH
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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
 OVERRIDE TRANSACTIONS (continued)								
 <u>BROKER: KURT GRUENEWALD (continued)</u>								
05/21/2018	***-**-761I - EVANS, DOLORES ACCOUNT #: LSR011024	INTERMEDIATE BOND FUND OF AMERICA-C BUY 1 Units @0.0000	0.00	5.29	0.00	5.29	88.0	4.66
05/21/2018	***-**-881I - EBERLEY, SUSAN ACCOUNT #: LSR010858	INTERNATIONAL BOND A BUY 1 Units @0.0000	0.00	0.68	0.00	0.68	88.0	0.60
05/21/2018	***-**-761I - EVANS, DOLORES ACCOUNT #: LSR011024	INTERNATIONAL BOND A BUY 1 Units @0.0000	0.00	3.44	0.00	3.44	88.0	3.03
05/21/2018	***-**-366S - GRUENEWALD, ACCOUNT #: LSR010990	INTERNATIONAL GROWTH AND INCOME-A BUY 1 Units @0.0000	0.00	0.81	0.00	0.81	88.0	0.71
05/21/2018	***-**-567I - FRANZ, ALICE ACCOUNT #: LSR010960	INTERNATIONAL GROWTH AND INCOME-C BUY 1 Units @0.0000	0.00	13.18	0.00	13.18	88.0	11.60
05/21/2018	***-**-15IN - PENDRAK, JOHN ACCOUNT #: LSR010948	INTERNATIONAL SMALL COMPANY A BUY 1 Units @0.0000	0.00	1.47	0.00	1.47	88.0	1.29
05/21/2018	***-**-959I - FRANZ, PAUL ACCOUNT #: LSR010959	INTERNATIONAL SMALL COMPANY A BUY 1 Units @0.0000	0.00	1.40	0.00	1.40	88.0	1.23
05/21/2018	***-**-367J - WAGNER, MRS LANT ACCOUNT #: LSR011134	INTERNATIONAL SMALL COMPANY A BUY 1 Units @0.0000	0.00	1.90	0.00	1.90	88.0	1.67
05/21/2018	***-**-664J - PFAFF, GEORGE ACCOUNT #: LSR011184	INTERNATIONAL SMALL COMPANY FUND B BUY 1 Units @0.0000	0.00	0.94	0.00	0.94	88.0	0.83
05/16/2018	***-**-513I - RHYMESTINE, ACCOUNT #: LSR012457	IRON MOUNTAIN INC COM NPV UNSOLICIT BUY 100 Units @32.7500	3,275.00	26.75	0.00	26.75	88.0	23.54
05/16/2018	***-**-513I - RHYMESTINE, ACCOUNT #: LSR012457	LORD ABBETT SHORT DURATION INCOME C BUY 2019 Units @4.2100	8,500.00	85.00	0.00	85.00	88.0	74.80
05/21/2018	***-**-45IO - JOHNSON, GREGORY ACCOUNT #: LSR011421	MAIN STREET FUND C BUY 1 Units @0.0000	0.00	7.24	0.00	7.24	88.0	6.37
05/21/2018	***-**-714O - LINES, JUDITH ACCOUNT #: LSR011763	MAIN STREET FUND C BUY 1 Units @0.0000	0.00	4.77	0.00	4.77	88.0	4.20
05/15/2018	***-**-213I - GRUENEWALD, ACCOUNT #: 08190131132	MFS GLOBAL NEW DISCOVERY FUND CL B BUY 5 Units @19.4000	100.00	4.00	0.00	4.00	88.0	3.52
05/15/2018	***-**-213I - GRUENEWALD, ACCOUNT #: 08190131132	MFS NEW DISCOVERY FUND-B BUY 4 Units @24.3500	100.00	4.00	0.00	4.00	88.0	3.52
05/15/2018	***-**-513I - RHYMESTINE, ACCOUNT #: LSR012457	MFS TECHNOLOGY CLASS C BUY 276 Units @36.2000	10,000.00	100.00	0.00	100.00	88.0	88.00



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 OVERRIDE TRANSACTIONS (continued)								
 <u>BROKER: KURT GRUENEWALD (continued)</u>								
05/15/2018	***-**-213I - GRUENEWALD, ACCOUNT #: 08190131132	MFS TECHNOLOGY FUND-B BUY 3 Units @36.2800	100.00	4.00	0.00	4.00	88.0	3.52
05/11/2018	***-**-617I - ESCHE, BEVERLY ACCOUNT #: LSR012614	MFS UTILITIES FUND-B BUY 325 Units @20.0000	6,500.00	260.00	0.00	260.00	88.0	228.80
05/15/2018	***-**-094I - CIRILLO, CARL ACCOUNT #: 08190127967	MFS UTILITIES FUND-B BUY 2 Units @19.8900	35.00	1.40	0.00	1.40	88.0	1.23
05/15/2018	***-**-606I - LEWIS, TAMARA ACCOUNT #: 08191352846	MFS UTILITIES FUND-B BUY 3 Units @19.8900	50.00	2.00	0.00	2.00	88.0	1.76
05/11/2018	***-**-31IO - JOSEPH, ANN ACCOUNT #: LSR012337	MFS UTILITIES FUND-C BUY 375 Units @19.9900	7,500.01	75.00	0.00	75.00	88.0	66.00
05/21/2018	***-**-20IO - DEMETRI, AMELIA ACCOUNT #: LSR010995	NEW PERSPECTIVE FUND-A BUY 1 Units @0.0000	0.00	1.79	0.00	1.79	88.0	1.58
05/21/2018	***-**-702I - KOCHER, MICHAEL ACCOUNT #: LSR010954	NEW WORLD FUND-A BUY 1 Units @0.0000	0.00	2.72	0.00	2.72	88.0	2.39
05/21/2018	***-**-326I - GRANDE, FBO MR ACCOUNT #: LSR011091	NEW WORLD FUND-A BUY 1 Units @0.0000	0.00	2.47	0.00	2.47	88.0	2.17
05/21/2018	***-**-680I - HARRELL, DARYL ACCOUNT #: LSR011321	NEW WORLD FUND-A BUY 1 Units @0.0000	0.00	0.58	0.00	0.58	88.0	0.51
05/21/2018	***-**-128I - BASHANT, THOMAS ACCOUNT #: LSR011387	NEW WORLD FUND-A BUY 1 Units @0.0000	0.00	0.91	0.00	0.91	88.0	0.80
05/21/2018	***-**-30TR - AND SANDRA ACCOUNT #: LSR011939	NEW WORLD FUND-A BUY 1 Units @0.0000	0.00	2.04	0.00	2.04	88.0	1.80
05/21/2018	***-**-944O - MAYO, DEBORAH ACCOUNT #: 77002217602	NYA JPM 529 AGGR PORTI C BUY 0 Units @0.0000	25.00	0.25	0.00	0.25	88.0	0.22
05/21/2018	***-**-944O - MAYO, DEBORAH ACCOUNT #: 77002217606	NYA JPM 529 CONSV AGE-BA A BUY 0 Units @0.0000	0.00	2.03	0.00	2.03	88.0	1.79
05/21/2018	***-**-944O - MAYO, DEBORAH ACCOUNT #: 77002217602	NYA JPM 529 MOD AGE-BASED A BUY 0 Units @0.0000	25.00	1.19	0.00	1.19	88.0	1.05
05/15/2018	***-**-633J - ACCOUNT #: 05502871176	OPP PORT SERIES: ACTIVE ALLOC A BUY 0 Units @0.0000	175.00	8.31	0.00	8.31	88.0	7.31
05/21/2018	***-**-15IN - PENDRAK, JOHN ACCOUNT #: LSR010948	OPP PORT SERIES: ACTIVE ALLOC A BUY 1 Units @0.0000	0.00	1.55	0.00	1.55	88.0	1.36



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<u> OVERRIDE TRANSACTIONS (continued) </u>								
<u> BROKER: KURT GRUENEWALD (continued) </u>								
05/08/2018	***-**-13IN - BLISS, PATRICK ACCOUNT #: 05521022681	OPPENHEIMER ACTIVE ALLOCATION FUND BUY 0 Units @0.0000	75.00	0.75	0.00	0.75	88.0	0.66
05/08/2018	***-**-48JT - LEE, DARLENE ACCOUNT #: 05521043603	OPPENHEIMER ACTIVE ALLOCATION FUND BUY 0 Units @0.0000	50.00	0.50	0.00	0.50	88.0	0.44
05/15/2018	***-**-775I - BLISS, APRIL ACCOUNT #: 05521022692	OPPENHEIMER ACTIVE ALLOCATION FUND BUY 0 Units @0.0000	90.98	0.91	0.00	0.91	88.0	0.80
05/21/2018	***-**-80IN - COBB, JAMES ACCOUNT #: LSR011042	OPPENHEIMER ACTIVE ALLOCATION FUND BUY 1 Units @0.0000	0.00	7.35	0.00	7.35	88.0	6.47
05/21/2018	***-**-44IO - MAYO, DEBORAH ACCOUNT #: LSR011079	OPPENHEIMER ACTIVE ALLOCATION FUND BUY 1 Units @0.0000	0.00	14.48	0.00	14.48	88.0	12.74
05/21/2018	***-**-09IO - BATES, FBO MRS ACCOUNT #: LSR011117	OPPENHEIMER ACTIVE ALLOCATION FUND BUY 1 Units @0.0000	0.00	16.19	0.00	16.19	88.0	14.25
05/21/2018	***-**-11IO - LYNN G. ACCOUNT #: LSR011239	OPPENHEIMER ACTIVE ALLOCATION FUND BUY 1 Units @0.0000	0.00	14.05	0.00	14.05	88.0	12.36
05/21/2018	***-**-45IO - JOHNSON, GREGORY ACCOUNT #: LSR011421	OPPENHEIMER ACTIVE ALLOCATION FUND BUY 1 Units @0.0000	0.00	10.76	0.00	10.76	88.0	9.47
05/21/2018	***-**-28IN - BYWATER, KIM ACCOUNT #: LSR011995	OPPENHEIMER DEV MARKETS FD CLASS C BUY 1 Units @0.0000	0.00	1.28	0.00	1.28	88.0	1.13
05/21/2018	***-**-881J - EBERLEY, SUSAN ACCOUNT #: LSR010856	OPPENHEIMER DEVELOPING MARKETS CLAS BUY 1 Units @0.0000	0.00	1.59	0.00	1.59	88.0	1.40
05/21/2018	***-**-959I - FRANZ, PAUL ACCOUNT #: LSR010959	OPPENHEIMER DEVELOPING MARKETS CLAS BUY 1 Units @0.0000	0.00	0.34	0.00	0.34	88.0	0.30
05/21/2018	***-**-51IO - CAIN, TIMOTHY ACCOUNT #: LSR011007	OPPENHEIMER DEVELOPING MARKETS CLAS BUY 1 Units @0.0000	0.00	2.35	0.00	2.35	88.0	2.07
05/21/2018	***-**-96IN - NESSIA, BONNIE ACCOUNT #: LSR011055	OPPENHEIMER DEVELOPING MARKETS CLAS BUY 1 Units @0.0000	0.00	0.79	0.00	0.79	88.0	0.70
05/21/2018	***-**-506J - CURRIERE JR, MR ACCOUNT #: LSR011121	OPPENHEIMER DEVELOPING MARKETS CLAS BUY 1 Units @0.0000	0.00	0.83	0.00	0.83	88.0	0.73
05/21/2018	***-**-653I - KOCHEM, CLINTON ACCOUNT #: LSR011300	OPPENHEIMER DEVELOPING MARKETS CLAS BUY 1 Units @0.0000	0.00	2.06	0.00	2.06	88.0	1.81
05/21/2018	***-**-680I - HARRELL, DARYL ACCOUNT #: LSR011321	OPPENHEIMER DEVELOPING MARKETS CLAS BUY 1 Units @0.0000	0.00	0.84	0.00	0.84	88.0	0.74



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 OVERRIDE TRANSACTIONS (continued)								
 <u>BROKER: KURT GRUENEWALD (continued)</u>								
05/08/2018	***-**-48JT - LEE, DARLENE	OPPENHEIMER GBL REAL ESTATE FUND C	50.00	0.50	0.00	0.50	88.0	0.44
	ACCOUNT #: 00100021715	BUY 0 Units @0.0000						
05/21/2018	***-**-094I - KATRENA L	OPPENHEIMER GBL REAL ESTATE FUND C	0.00	5.14	0.00	5.14	88.0	4.52
	ACCOUNT #: LSR011188	BUY 1 Units @0.0000						
05/21/2018	***-**-031O - MCVOY, ROBERT	OPPENHEIMER GLOBAL VALUE FUND CL C	0.00	4.95	0.00	4.95	88.0	4.36
	ACCOUNT #: LSR010916	BUY 1 Units @0.0000						
05/21/2018	***-**-714O - LINES, JUDITH	OPPENHEIMER GLOBAL VALUE FUND CL C	0.00	3.61	0.00	3.61	88.0	3.18
	ACCOUNT #: LSR011763	BUY 1 Units @0.0000						
05/21/2018	***-**-382I - SATTERLY, NEIL	OPPENHEIMER GOLD & SPECIAL MINERALS	0.00	3.84	0.00	3.84	88.0	3.38
	ACCOUNT #: LSR010867	BUY 1 Units @0.0000						
05/21/2018	***-**-48IO - CLARK, PATRICK	OPPENHEIMER GOLD & SPECIAL MINERALS	0.00	5.03	0.00	5.03	88.0	4.43
	ACCOUNT #: LSR010911	BUY 1 Units @0.0000						
05/21/2018	***-**-31IO - HARTZ, CLAUDIA	OPPENHEIMER GOLD & SPECIAL MINERALS	0.00	0.10	0.00	0.10	88.0	0.09
	ACCOUNT #: LSR010915	BUY 1 Units @0.0000						
05/21/2018	***-**-72IN - GAVALO, JULIE	OPPENHEIMER GOLD & SPECIAL MINERALS	0.00	2.21	0.00	2.21	88.0	1.94
	ACCOUNT #: LSR010921	BUY 1 Units @0.0000						
05/21/2018	***-**-065I - LAZIO, THOMAS	OPPENHEIMER GOLD & SPECIAL MINERALS	0.00	5.36	0.00	5.36	88.0	4.72
	ACCOUNT #: LSR010979	BUY 1 Units @0.0000						
05/21/2018	***-**-420T - DEMETRI, AMELIA	OPPENHEIMER GOLD & SPECIAL MINERALS	0.00	2.30	0.00	2.30	88.0	2.02
	ACCOUNT #: LSR010994	BUY 1 Units @0.0000						
05/21/2018	***-**-00IO - LEE, GARY	OPPENHEIMER GOLD & SPECIAL MINERALS	0.00	7.09	0.00	7.09	88.0	6.24
	ACCOUNT #: LSR011059	BUY 1 Units @0.0000						
05/21/2018	***-**-09IO - BATES, FBO MRS	OPPENHEIMER GOLD & SPECIAL MINERALS	0.00	2.32	0.00	2.32	88.0	2.04
	ACCOUNT #: LSR011117	BUY 1 Units @0.0000						
05/21/2018	***-**-11IO - LYNN G.	OPPENHEIMER GOLD & SPECIAL MINERALS	0.00	6.65	0.00	6.65	88.0	5.85
	ACCOUNT #: LSR011239	BUY 1 Units @0.0000						
05/21/2018	***-**-45IO - JOHNSON, GREGORY	OPPENHEIMER GOLD & SPECIAL MINERALS	0.00	5.43	0.00	5.43	88.0	4.78
	ACCOUNT #: LSR011421	BUY 1 Units @0.0000						
05/21/2018	***-**-51IN - GERACE, JOANNE	OPPENHEIMER GOLD & SPECIAL MINERALS	0.00	1.47	0.00	1.47	88.0	1.29
	ACCOUNT #: LSR011538	BUY 1 Units @0.0000						
05/08/2018	***-**-48JT - LEE, DARLENE	OPPENHEIMER INTERNATIONAL DIVERSIFI	50.00	0.50	0.00	0.50	88.0	0.44
	ACCOUNT #: 01971019612	BUY 0 Units @0.0000						



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 OVERRIDE TRANSACTIONS (continued)								
 BROKER: KURT GRUENEWALD (continued)								
05/15/2018	***-**-633J - ACCOUNT #: 01953330426	OPPENHEIMER INTERNATIONAL DIVERSIFI BUY 0 Units @0.0000	175.00	8.31	0.00	8.31	88.0	7.31
05/21/2018	***-**-7140 - LINES, JUDITH ACCOUNT #: LSR011763	OPPENHEIMER INTERNATIONAL DIVERSIFI BUY 1 Units @0.0000	0.00	3.12	0.00	3.12	88.0	2.75
05/21/2018	***-**-28IN - BYWATER, KIM ACCOUNT #: LSR011995	OPPENHEIMER INTERNATIONAL SMALL COM BUY 1 Units @0.0000	0.00	2.40	0.00	2.40	88.0	2.11
05/21/2018	***-**-567I - FRANZ, ALICE ACCOUNT #: LSR010960	OPPENHEIMER INTL BOND CLASS B BUY 1 Units @0.0000	0.00	2.54	0.00	2.54	88.0	2.24
05/21/2018	***-**-664J - PFAFF, GEORGE ACCOUNT #: LSR011184	OPPENHEIMER INTL BOND CLASS B BUY 1 Units @0.0000	0.00	3.20	0.00	3.20	88.0	2.82
05/21/2018	***-**-881I - EBERLEY, SUSAN ACCOUNT #: LSR010858	OPPENHEIMER MAIN STREET SMALL CAP F BUY 1 Units @0.0000	0.00	1.81	0.00	1.81	88.0	1.59
05/21/2018	***-**-382I - SATTERLY, NEIL ACCOUNT #: LSR010867	OPPENHEIMER RISING DIVIDENDS FUND C BUY 1 Units @0.0000	0.00	26.15	0.00	26.15	88.0	23.01
05/21/2018	***-**-031O - MCVOY, ROBERT ACCOUNT #: LSR010916	OPPENHEIMER RISING DIVIDENDS FUND C BUY 1 Units @0.0000	0.00	5.48	0.00	5.48	88.0	4.82
05/21/2018	***-**-065I - LAZIO, THOMAS ACCOUNT #: LSR010979	OPPENHEIMER RISING DIVIDENDS FUND C BUY 1 Units @0.0000	0.00	8.47	0.00	8.47	88.0	7.45
05/21/2018	***-**-51IN - GERACE, JOANNE ACCOUNT #: LSR011538	OPPENHEIMER RISING DIVIDENDS FUND C BUY 1 Units @0.0000	0.00	7.38	0.00	7.38	88.0	6.49
05/21/2018	***-**-37IO - MCCLUSKY, MARK ACCOUNT #: LSR011579	OPPENHEIMER RISING DIVIDENDS FUND C BUY 1 Units @0.0000	0.00	4.86	0.00	4.86	88.0	4.28
05/21/2018	***-**-7140 - LINES, JUDITH ACCOUNT #: LSR011763	OPPENHEIMER RISING DIVIDENDS FUND C BUY 1 Units @0.0000	0.00	7.27	0.00	7.27	88.0	6.40
05/21/2018	***-**-28IN - BYWATER, KIM ACCOUNT #: LSR011995	OPPENHEIMER RISING DIVIDENDS FUND C BUY 1 Units @0.0000	0.00	1.56	0.00	1.56	88.0	1.37
05/21/2018	***-**-287J - HINCKLEY, ACCOUNT #: LSR010841	OPPENHEIMER ROCHEST AMT-FREE NY MUN BUY 1 Units @0.0000	0.00	7.04	0.00	7.04	88.0	6.20
05/15/2018	***-**-633J - ACCOUNT #: 02514987422	OPPENHEIMER SMALL & MID CAP VALUE F BUY 0 Units @0.0000	175.00	8.31	0.00	8.31	88.0	7.31
05/21/2018	***-**-254I - AUGUSTINE, LINDA ACCOUNT #: LSR010846	OPPENHEIMER SMALL & MID CAP VALUE F BUY 1 Units @0.0000	0.00	1.45	0.00	1.45	88.0	1.28



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 OVERRIDE TRANSACTIONS (continued)								
 BROKER: KURT GRUENEWALD (continued)								
05/21/2018	***-**-930I - SANGER, KEVIN ACCOUNT #: LSR010941	OPPENHEIMER SMALL & MID CAP VALUE F BUY 1 Units @0.0000	0.00	0.40	0.00	0.40	88.0	0.35
05/21/2018	***-**-15IN - PENDRAK, JOHN ACCOUNT #: LSR010948	OPPENHEIMER SMALL & MID CAP VALUE F BUY 1 Units @0.0000	0.00	0.92	0.00	0.92	88.0	0.81
05/21/2018	***-**-959I - FRANZ, PAUL ACCOUNT #: LSR010959	OPPENHEIMER SMALL & MID CAP VALUE F BUY 1 Units @0.0000	0.00	1.67	0.00	1.67	88.0	1.47
05/21/2018	***-**-944O - MAYO, DEBORAH ACCOUNT #: LSR011035	OPPENHEIMER SMALL & MID CAP VALUE F BUY 1 Units @0.0000	0.00	0.70	0.00	0.70	88.0	0.62
05/21/2018	***-**-580X - COBB, JAMES ACCOUNT #: LSR011040	OPPENHEIMER SMALL & MID CAP VALUE F BUY 1 Units @0.0000	0.00	1.01	0.00	1.01	88.0	0.89
05/21/2018	***-**-111J - NESSIA, JAMES ACCOUNT #: LSR011054	OPPENHEIMER SMALL & MID CAP VALUE F BUY 1 Units @0.0000	0.00	0.99	0.00	0.99	88.0	0.87
05/21/2018	***-**-13IN - RHYMESTINE, ACCOUNT #: LSR011106	OPPENHEIMER SMALL & MID CAP VALUE F BUY 1 Units @0.0000	0.00	0.48	0.00	0.48	88.0	0.42
05/21/2018	***-**-62IN - EATON, DAVID ACCOUNT #: LSR011315	OPPENHEIMER SMALL & MID CAP VALUE F BUY 1 Units @0.0000	0.00	0.67	0.00	0.67	88.0	0.59
05/21/2018	***-**-80IN - COBB, JAMES ACCOUNT #: LSR011042	OPPENHEIMER STEELPATH MLP ALPHA PLU BUY 1 Units @0.0000	0.00	0.93	0.00	0.93	88.0	0.82
05/21/2018	***-**-837O - BASEMENT ACCOUNT #: LSR011046	OPPENHEIMERSTEELPATH MLP INCOME CL BUY 1 Units @0.0000	0.00	2.58	0.00	2.58	88.0	2.27
05/21/2018	***-**-80IN - COBB, JAMES ACCOUNT #: LSR011042	OPPENHEIMERSTEELPATH MLP SELECT 40 BUY 1 Units @0.0000	0.00	0.57	0.00	0.57	88.0	0.50
05/21/2018	***-**-48IO - CLARK, PATRICK ACCOUNT #: LSR010911	PORT SERIES: CONS INV C BUY 1 Units @0.0000	0.00	16.95	0.00	16.95	88.0	14.92
05/21/2018	***-**-72IN - GAVALO, JULIE ACCOUNT #: LSR010921	PORT SERIES: CONS INV C BUY 1 Units @0.0000	0.00	22.05	0.00	22.05	88.0	19.40
05/21/2018	***-**-420T - DEMETRI, AMELIA ACCOUNT #: LSR010994	PORT SERIES: CONS INV C BUY 1 Units @0.0000	0.00	5.84	0.00	5.84	88.0	5.14
05/21/2018	***-**-73UT - COBB, CHRSTIAN ACCOUNT #: LSR011104	PORT SERIES: CONS INV C BUY 1 Units @0.0000	0.00	4.47	0.00	4.47	88.0	3.93
05/21/2018	***-**-67UT - COBB, ACCOUNT #: LSR011105	PORT SERIES: CONS INV C BUY 1 Units @0.0000	0.00	4.47	0.00	4.47	88.0	3.93



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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u> OVERRIDE TRANSACTIONS (continued) </u>								
<u>BROKER: KURT GRUENEWALD (continued)</u>								
05/21/2018	***-**-89IN - LEE, ROGER	PORT SERIES: CONS INV C	0.00	9.65	0.00	9.65	88.0	8.49
	ACCOUNT #: LSR011166	BUY 1 Units @0.0000						
05/21/2018	***-**-52IO - EUSEPI, SUSAN	PORT SERIES: CONS INV C	0.00	12.07	0.00	12.07	88.0	10.62
	ACCOUNT #: LSR011219	BUY 1 Units @0.0000						
05/21/2018	***-**-439I - MCCARTHY, JAMES	PORT SERIES: CONS INV C	0.00	4.03	0.00	4.03	88.0	3.55
	ACCOUNT #: LSR011244	BUY 1 Units @0.0000						
05/21/2018	***-**-80IO - EVANS, RICHARD	PORT SERIES: CONS INV C	0.00	12.89	0.00	12.89	88.0	11.34
	ACCOUNT #: LSR011276	BUY 1 Units @0.0000						
05/21/2018	***-**-664J - PFAFF, GEORGE	PORT SERIES: EQUITY INV FD B	0.00	1.05	0.00	1.05	88.0	0.92
	ACCOUNT #: LSR011184	BUY 1 Units @0.0000						
05/21/2018	***-**-254I - AUGUSTINE, LINDA	PORTFOLIO SERIES: CONS INV A	0.00	1.47	0.00	1.47	88.0	1.29
	ACCOUNT #: LSR010846	BUY 1 Units @0.0000						
05/21/2018	***-**-15IN - PENDRAK, JOHN	PORTFOLIO SERIES: CONS INV A	0.00	2.38	0.00	2.38	88.0	2.09
	ACCOUNT #: LSR010948	BUY 1 Units @0.0000						
05/21/2018	***-**-959I - FRANZ, PAUL	PORTFOLIO SERIES: CONS INV A	0.00	2.03	0.00	2.03	88.0	1.79
	ACCOUNT #: LSR010959	BUY 1 Units @0.0000						
05/21/2018	***-**-51IO - CAIN, TIMOTHY	PORTFOLIO SERIES: CONS INV A	0.00	2.01	0.00	2.01	88.0	1.77
	ACCOUNT #: LSR011007	BUY 1 Units @0.0000						
05/21/2018	***-**-761I - EVANS, DOLORES	PORTFOLIO SERIES: CONS INV A	0.00	1.15	0.00	1.15	88.0	1.01
	ACCOUNT #: LSR011024	BUY 1 Units @0.0000						
05/21/2018	***-**-944O - MAYO, DEBORAH	PORTFOLIO SERIES: CONS INV A	0.00	1.68	0.00	1.68	88.0	1.48
	ACCOUNT #: LSR011035	BUY 1 Units @0.0000						
05/21/2018	***-**-861I - SANGER, LAWRENCE	PORTFOLIO SERIES: CONS INV A	0.00	0.65	0.00	0.65	88.0	0.57
	ACCOUNT #: LSR011095	BUY 1 Units @0.0000						
05/21/2018	***-**-13IN - RHYMESTINE,	PORTFOLIO SERIES: CONS INV A	0.00	0.79	0.00	0.79	88.0	0.70
	ACCOUNT #: LSR011106	BUY 1 Units @0.0000						
05/21/2018	***-**-02IN - BUSHEY, MELISSA	PORTFOLIO SERIES: CONS INV A	0.00	0.61	0.00	0.61	88.0	0.54
	ACCOUNT #: LSR011257	BUY 1 Units @0.0000						
05/21/2018	***-**-62IN - EATON, DAVID	PORTFOLIO SERIES: CONS INV A	0.00	1.19	0.00	1.19	88.0	1.05
	ACCOUNT #: LSR011315	BUY 1 Units @0.0000						
05/21/2018	***-**-567I - FRANZ, ALICE	PORTFOLIO SERIES: CONSERVATIVE INVE	0.00	3.12	0.00	3.12	88.0	2.75
	ACCOUNT #: LSR010960	BUY 1 Units @0.0000						



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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
 OVERRIDE TRANSACTIONS (continued) 								
 <u>BROKER: KURT GRUENEWALD (continued)</u> 								
05/21/2018	***-**-664J - PFAFF, GEORGE	PORTFOLIO SERIES: CONSERVATIVE INVE	0.00	4.25	0.00	4.25	88.0	3.74
	ACCOUNT #: LSR011184	BUY 1 Units @0.0000						
05/21/2018	***-**-96IN - NESSIA, BONNIE	PUTNAM UTILITIES GROWTH AND INCOME	0.00	1.54	0.00	1.54	88.0	1.36
	ACCOUNT #: LSR011055	BUY 1 Units @0.0000						
05/21/2018	***-**-579I - RHYMESTINE,	PUTNAM UTILITIES GROWTH AND INCOME	0.00	1.37	0.00	1.37	88.0	1.21
	ACCOUNT #: LSR011082	BUY 1 Units @0.0000						
05/21/2018	***-**-861I - SANGER, LAWRENCE	PUTNAM UTILITIES GROWTH AND INCOME	0.00	1.39	0.00	1.39	88.0	1.22
	ACCOUNT #: LSR011095	BUY 1 Units @0.0000						
05/21/2018	***-**-02IN - BUSHEY, MELISSA	PUTNAM UTILITIES GROWTH AND INCOME	0.00	0.47	0.00	0.47	88.0	0.41
	ACCOUNT #: LSR011257	BUY 1 Units @0.0000						
05/21/2018	***-**-22IO - CLINTON, STEPHEN	PUTNAM 746792100	0.00	0.66	0.00	0.66	88.0	0.58
	ACCOUNT #: LSR011684	BUY 1 Units @0.0000						
05/21/2018	***-**-15IN - PENDRAK, JOHN	PUTNAM ABSOLUTE RETURN 700 CL B	0.00	2.30	0.00	2.30	88.0	2.02
	ACCOUNT #: LSR010948	BUY 1 Units @0.0000						
05/21/2018	***-**-169I - EVANS, PAUL	PUTNAM ABSOLUTE RETURN 700 CL B	0.00	1.19	0.00	1.19	88.0	1.05
	ACCOUNT #: LSR011026	BUY 1 Units @0.0000						
05/21/2018	***-**-62IR - ROBBIANO, FBO	PUTNAM ABSOLUTE RETURN 700 CL B	0.00	0.70	0.00	0.70	88.0	0.62
	ACCOUNT #: LSR011195	BUY 1 Units @0.0000						
05/21/2018	***-**-52IO - EUSEPI, SUSAN	PUTNAM ABSOLUTE RETURN 700 CL B	0.00	1.09	0.00	1.09	88.0	0.96
	ACCOUNT #: LSR011219	BUY 1 Units @0.0000						
05/21/2018	***-**-62IN - EATON, DAVID	PUTNAM ABSOLUTE RETURN 700 CL B	0.00	0.16	0.00	0.16	88.0	0.14
	ACCOUNT #: LSR011315	BUY 1 Units @0.0000						
05/21/2018	***-**-51IN - GERACE, JOANNE	PUTNAM ABSOLUTE RETURN 700 CL B	0.00	1.08	0.00	1.08	88.0	0.95
	ACCOUNT #: LSR011538	BUY 1 Units @0.0000						
05/21/2018	***-**-235I - AUGUSTINE III,	PUTNAM ABSOLUTE RETURN 700 CL C	0.00	4.24	0.00	4.24	88.0	3.73
	ACCOUNT #: LSR010845	BUY 1 Units @0.0000						
05/21/2018	***-**-382I - SATTERLY, NEIL	PUTNAM ABSOLUTE RETURN 700 CL C	0.00	14.28	0.00	14.28	88.0	12.57
	ACCOUNT #: LSR010867	BUY 1 Units @0.0000						
05/21/2018	***-**-48IO - CLARK, PATRICK	PUTNAM ABSOLUTE RETURN 700 CL C	0.00	9.13	0.00	9.13	88.0	8.03
	ACCOUNT #: LSR010911	BUY 1 Units @0.0000						
05/21/2018	***-**-72IN - GAVALO, JULIE	PUTNAM ABSOLUTE RETURN 700 CL C	0.00	9.06	0.00	9.06	88.0	7.97
	ACCOUNT #: LSR010921	BUY 1 Units @0.0000						



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 OVERRIDE TRANSACTIONS (continued)								
 <u>BROKER: KURT GRUENEWALD (continued)</u>								
05/21/2018	***-**-065I - LAZIO, THOMAS	PUTNAM ABSOLUTE RETURN 700 CL C	0.00	7.08	0.00	7.08	88.0	6.23
	ACCOUNT #: LSR010979	BUY 1 Units @0.0000						
05/21/2018	***-**-09IO - BATES, FBO MRS	PUTNAM ABSOLUTE RETURN 700 CL C	0.00	8.88	0.00	8.88	88.0	7.81
	ACCOUNT #: LSR011117	BUY 1 Units @0.0000						
05/21/2018	***-**-11IO - LYNN G.	PUTNAM ABSOLUTE RETURN 700 CL C	0.00	13.44	0.00	13.44	88.0	11.83
	ACCOUNT #: LSR011239	BUY 1 Units @0.0000						
05/21/2018	***-**-80IO - EVANS, RICHARD	PUTNAM ABSOLUTE RETURN 700 CL C	0.00	7.53	0.00	7.53	88.0	6.63
	ACCOUNT #: LSR011276	BUY 1 Units @0.0000						
05/21/2018	***-**-45IO - JOHNSON, GREGORY	PUTNAM ABSOLUTE RETURN 700 CL C	0.00	8.99	0.00	8.99	88.0	7.91
	ACCOUNT #: LSR011421	BUY 1 Units @0.0000						
05/21/2018	***-**-628I - SANGER, SANDRA	PUTNAM ABSOLUTE RETURN 700-A	0.00	0.75	0.00	0.75	88.0	0.66
	ACCOUNT #: LSR010942	BUY 1 Units @0.0000						
05/21/2018	***-**-944O - MAYO, DEBORAH	PUTNAM ABSOLUTE RETURN 700-A	0.00	1.75	0.00	1.75	88.0	1.54
	ACCOUNT #: LSR011035	BUY 1 Units @0.0000						
05/21/2018	***-**-63TR - EVANS, AUDREY J	PUTNAM ABSOLUTE RETURN 700-A	0.00	2.26	0.00	2.26	88.0	1.99
	ACCOUNT #: LSR011036	BUY 1 Units @0.0000						
05/21/2018	***-**-579I - RHYMESTINE,	PUTNAM ABSOLUTE RETURN 700-A	0.00	0.82	0.00	0.82	88.0	0.72
	ACCOUNT #: LSR011082	BUY 1 Units @0.0000						
05/21/2018	***-**-861I - SANGER, LAWRENCE	PUTNAM ABSOLUTE RETURN 700-A	0.00	1.26	0.00	1.26	88.0	1.11
	ACCOUNT #: LSR011095	BUY 1 Units @0.0000						
05/21/2018	***-**-02IN - BUSHEY, MELISSA	PUTNAM ABSOLUTE RETURN 700-A	0.00	0.37	0.00	0.37	88.0	0.33
	ACCOUNT #: LSR011257	BUY 1 Units @0.0000						
05/21/2018	***-**-653J - KOCHEM, CLINTON	PUTNAM ABSOLUTE RETURN 700-A	0.00	0.75	0.00	0.75	88.0	0.66
	ACCOUNT #: LSR011298	BUY 1 Units @0.0000						
05/21/2018	***-**-62IN - EATON, DAVID	PUTNAM ABSOLUTE RETURN 700-A	0.00	0.80	0.00	0.80	88.0	0.70
	ACCOUNT #: LSR011315	BUY 1 Units @0.0000						
05/21/2018	***-**-22IO - CLINTON, STEPHEN	PUTNAM ABSOLUTE RETURN 700-A	0.00	0.68	0.00	0.68	88.0	0.60
	ACCOUNT #: LSR011684	BUY 1 Units @0.0000						
05/21/2018	***-**-22IO - CLINTON, STEPHEN	PUTNAM AMERICAN GOVERNMENT INCOME F	0.00	0.39	0.00	0.39	88.0	0.34
	ACCOUNT #: LSR011684	BUY 1 Units @0.0000						
05/21/2018	***-**-31IO - HARTZ, CLAUDIA	PUTNAM ASSET ALLOC BALANCED-C	0.00	4.60	0.00	4.60	88.0	4.05
	ACCOUNT #: LSR010915	BUY 1 Units @0.0000						



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 OVERRIDE TRANSACTIONS (continued)								
 <u>BROKER: KURT GRUENEWALD (continued)</u>								
05/21/2018	***-**-31IO - HARTZ, CLAUDIA	PUTNAM CAPITAL SPECTRUM FD CL B	0.00	0.66	0.00	0.66	88.0	0.58
	ACCOUNT #: LSR010915	BUY 1 Units @0.0000						
05/21/2018	***-**-930I - SANGER, KEVIN	PUTNAM CAPITAL SPECTRUM FD CL B	0.00	0.91	0.00	0.91	88.0	0.80
	ACCOUNT #: LSR010941	BUY 1 Units @0.0000						
05/21/2018	***-**-366S - GRUENEWALD,	PUTNAM CAPITAL SPECTRUM FD CL B	0.00	0.79	0.00	0.79	88.0	0.70
	ACCOUNT #: LSR010990	BUY 1 Units @0.0000						
05/21/2018	***-**-51IO - CAIN, TIMOTHY	PUTNAM CAPITAL SPECTRUM FD CL B	0.00	1.51	0.00	1.51	88.0	1.33
	ACCOUNT #: LSR011007	BUY 1 Units @0.0000						
05/21/2018	***-**-579I - RHYMESTINE,	PUTNAM CAPITAL SPECTRUM FD CL B	0.00	1.38	0.00	1.38	88.0	1.21
	ACCOUNT #: LSR011082	BUY 1 Units @0.0000						
05/21/2018	***-**-73UT - COBB, CHRSTIAN	PUTNAM CAPITAL SPECTRUM FD CL B	0.00	1.50	0.00	1.50	88.0	1.32
	ACCOUNT #: LSR011104	BUY 1 Units @0.0000						
05/21/2018	***-**-67UT - COBB,	PUTNAM CAPITAL SPECTRUM FD CL B	0.00	1.50	0.00	1.50	88.0	1.32
	ACCOUNT #: LSR011105	BUY 1 Units @0.0000						
05/21/2018	***-**-992J - CORNACCHIA	PUTNAM CAPITAL SPECTRUM FD CL B	0.00	0.46	0.00	0.46	88.0	0.40
	ACCOUNT #: LSR011157	BUY 1 Units @0.0000						
05/21/2018	***-**-66IO - RUDD, MICHAEL	PUTNAM CAPITAL SPECTRUM FD CL B	0.00	0.15	0.00	0.15	88.0	0.13
	ACCOUNT #: LSR011268	BUY 1 Units @0.0000						
05/21/2018	***-**-21IO - RADELL, SANDRA	PUTNAM CAPITAL SPECTRUM FD CL B	0.00	1.50	0.00	1.50	88.0	1.32
	ACCOUNT #: LSR011392	BUY 1 Units @0.0000						
05/21/2018	***-**-22IO - CLINTON, STEPHEN	PUTNAM CAPITAL SPECTRUM FUND CL A	0.00	0.74	0.00	0.74	88.0	0.65
	ACCOUNT #: LSR011684	BUY 1 Units @0.0000						
05/21/2018	***-**-382I - SATTERLY, NEIL	PUTNAM CAPITAL SPECTRUM FUND CL C	0.00	7.27	0.00	7.27	88.0	6.40
	ACCOUNT #: LSR010867	BUY 1 Units @0.0000						
05/21/2018	***-**-980I - ACEE, ELIZABETH	PUTNAM CAPITAL SPECTRUM FUND CL C	0.00	11.57	0.00	11.57	88.0	10.18
	ACCOUNT #: LSR010885	BUY 1 Units @0.0000						
05/21/2018	***-**-44IO - MAYO, DEBORAH	PUTNAM CAPITAL SPECTRUM FUND CL C	0.00	7.76	0.00	7.76	88.0	6.83
	ACCOUNT #: LSR011079	BUY 1 Units @0.0000						
05/21/2018	***-**-09IO - BATES, FBO MRS	PUTNAM CAPITAL SPECTRUM FUND CL C	0.00	16.57	0.00	16.57	88.0	14.58
	ACCOUNT #: LSR011117	BUY 1 Units @0.0000						
05/21/2018	***-**-094I - KATRENA L	PUTNAM CAPITAL SPECTRUM FUND CL C	0.00	6.50	0.00	6.50	88.0	5.72
	ACCOUNT #: LSR011188	BUY 1 Units @0.0000						



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 OVERRIDE TRANSACTIONS (continued)								
 <u>BROKER: KURT GRUENEWALD (continued)</u>								
05/21/2018	***-**-11IO - LYNN G.	PUTNAM CAPITAL SPECTRUM FUND CL C	0.00	15.76	0.00	15.76	88.0	13.87
	ACCOUNT #: LSR011239	BUY 1 Units @0.0000						
05/21/2018	***-**-45IO - JOHNSON, GREGORY	PUTNAM CAPITAL SPECTRUM FUND CL C	0.00	11.97	0.00	11.97	88.0	10.53
	ACCOUNT #: LSR011421	BUY 1 Units @0.0000						
05/21/2018	***-**-235I - AUGUSTINE III,	PUTNAM COMP	0.00	5.51	0.00	5.51	88.0	4.85
	ACCOUNT #: LSR010845	BUY 1 Units @0.0000						
05/21/2018	***-**-881I - EBERLEY, SUSAN	PUTNAM COMP	0.00	4.71	0.00	4.71	88.0	4.14
	ACCOUNT #: LSR010858	BUY 1 Units @0.0000						
05/21/2018	***-**-48IO - CLARK, PATRICK	PUTNAM COMP	0.00	7.56	0.00	7.56	88.0	6.65
	ACCOUNT #: LSR010911	BUY 1 Units @0.0000						
05/21/2018	***-**-72IN - GAVALO, JULIE	PUTNAM COMP	0.00	6.52	0.00	6.52	88.0	5.74
	ACCOUNT #: LSR010921	BUY 1 Units @0.0000						
05/21/2018	***-**-959J - FRANZ, PAUL	PUTNAM COMP	0.00	9.82	0.00	9.82	88.0	8.64
	ACCOUNT #: LSR010958	BUY 1 Units @0.0000						
05/21/2018	***-**-065I - LAZIO, THOMAS	PUTNAM COMP	0.00	5.60	0.00	5.60	88.0	4.93
	ACCOUNT #: LSR010979	BUY 1 Units @0.0000						
05/21/2018	***-**-420T - DEMETRI, AMELIA	PUTNAM COMP	0.00	5.00	0.00	5.00	88.0	4.40
	ACCOUNT #: LSR010994	BUY 1 Units @0.0000						
05/21/2018	***-**-169I - EVANS, PAUL	PUTNAM COMP	0.00	4.01	0.00	4.01	88.0	3.53
	ACCOUNT #: LSR011026	BUY 1 Units @0.0000						
05/21/2018	***-**-80IN - COBB, JAMES	PUTNAM COMP	0.00	7.23	0.00	7.23	88.0	6.36
	ACCOUNT #: LSR011042	BUY 1 Units @0.0000						
05/21/2018	***-**-00IO - LEE, GARY	PUTNAM COMP	0.00	8.88	0.00	8.88	88.0	7.81
	ACCOUNT #: LSR011059	BUY 1 Units @0.0000						
05/21/2018	***-**-09IO - BATES, FBO MRS	PUTNAM COMP	0.00	8.88	0.00	8.88	88.0	7.81
	ACCOUNT #: LSR011117	BUY 1 Units @0.0000						
05/21/2018	***-**-89IN - LEE, ROGER	PUTNAM COMP	0.00	4.98	0.00	4.98	88.0	4.38
	ACCOUNT #: LSR011166	BUY 1 Units @0.0000						
05/21/2018	***-**-094I - KATRENA L	PUTNAM COMP	0.00	6.96	0.00	6.96	88.0	6.12
	ACCOUNT #: LSR011188	BUY 1 Units @0.0000						
05/21/2018	***-**-11IO - LYNN G.	PUTNAM COMP	0.00	9.19	0.00	9.19	88.0	8.09
	ACCOUNT #: LSR011239	BUY 1 Units @0.0000						



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DAVID GRIFFITH
2108 Genesee St.
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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
 OVERRIDE TRANSACTIONS (continued)								
 <u>BROKER: KURT GRUENEWALD (continued)</u>								
05/21/2018	***-**-80IO - EVANS, RICHARD	PUTNAM COMP	0.00	4.54	0.00	4.54	88.0	4.00
	ACCOUNT #: LSR011276	BUY 1 Units @0.0000						
05/21/2018	***-**-376I - BERBEN, GAIL	PUTNAM COMP	0.00	8.96	0.00	8.96	88.0	7.88
	ACCOUNT #: LSR011380	BUY 1 Units @0.0000						
05/21/2018	***-**-45IO - JOHNSON, GREGORY	PUTNAM COMP	0.00	13.98	0.00	13.98	88.0	12.30
	ACCOUNT #: LSR011421	BUY 1 Units @0.0000						
05/21/2018	***-**-14IO - BUSHEY, MATTHEW	PUTNAM COMP	0.00	9.05	0.00	9.05	88.0	7.96
	ACCOUNT #: LSR011498	BUY 1 Units @0.0000						
05/21/2018	***-**-37IO - MCCLUSKY, MARK	PUTNAM COMP	0.00	6.66	0.00	6.66	88.0	5.86
	ACCOUNT #: LSR011579	BUY 1 Units @0.0000						
05/21/2018	***-**-86IN - LEE, KEVIN	PUTNAM COMP	0.00	7.55	0.00	7.55	88.0	6.64
	ACCOUNT #: LSR011613	BUY 1 Units @0.0000						
05/21/2018	***-**-51IO - SCALISE, MARY	PUTNAM COMP	0.00	0.77	0.00	0.77	88.0	0.68
	ACCOUNT #: LSR011837	BUY 1 Units @0.0000						
05/21/2018	***-**-949I - ACEE, JOSPEH	PUTNAM CONV INCOME-GROWTH-B	0.00	2.19	0.00	2.19	88.0	1.93
	ACCOUNT #: LSR010908	BUY 1 Units @0.0000						
05/21/2018	***-**-31IO - HARTZ, CLAUDIA	PUTNAM CONV INCOME-GROWTH-B	0.00	0.65	0.00	0.65	88.0	0.57
	ACCOUNT #: LSR010915	BUY 1 Units @0.0000						
05/21/2018	***-**-567I - FRANZ, ALICE	PUTNAM CONV INCOME-GROWTH-B	0.00	2.84	0.00	2.84	88.0	2.50
	ACCOUNT #: LSR010960	BUY 1 Units @0.0000						
05/21/2018	***-**-366S - GRUENEWALD,	PUTNAM CONV INCOME-GROWTH-B	0.00	0.77	0.00	0.77	88.0	0.68
	ACCOUNT #: LSR010990	BUY 1 Units @0.0000						
05/21/2018	***-**-580X - COBB, JAMES	PUTNAM CONV INCOME-GROWTH-B	0.00	1.56	0.00	1.56	88.0	1.37
	ACCOUNT #: LSR011040	BUY 1 Units @0.0000						
05/21/2018	***-**-579I - RHYMESTINE,	PUTNAM CONV INCOME-GROWTH-B	0.00	1.08	0.00	1.08	88.0	0.95
	ACCOUNT #: LSR011082	BUY 1 Units @0.0000						
05/21/2018	***-**-506J - CURRIERE JR, MR	PUTNAM CONV INCOME-GROWTH-B	0.00	1.02	0.00	1.02	88.0	0.90
	ACCOUNT #: LSR011121	BUY 1 Units @0.0000						
05/21/2018	***-**-48IO - ANACKER, FBO MRS	PUTNAM CONV INCOME-GROWTH-B	0.00	1.14	0.00	1.14	88.0	1.00
	ACCOUNT #: LSR011164	BUY 1 Units @0.0000						
05/21/2018	***-**-64IO - PFAFF, GEORGE	PUTNAM CONV INCOME-GROWTH-B	0.00	1.34	0.00	1.34	88.0	1.18
	ACCOUNT #: LSR011185	BUY 1 Units @0.0000						



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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
 OVERRIDE TRANSACTIONS (continued) 								
 <u>BROKER: KURT GRUENEWALD (continued)</u> 								
05/21/2018	***-**-62IR - ROBBIANO, FBO	PUTNAM CONV INCOME-GROWTH-B	0.00	0.69	0.00	0.69	88.0	0.61
	ACCOUNT #: LSR011195	BUY 1 Units @0.0000						
05/21/2018	***-**-653I - KOCHEM, CLINTON	PUTNAM CONV INCOME-GROWTH-B	0.00	2.14	0.00	2.14	88.0	1.88
	ACCOUNT #: LSR011300	BUY 1 Units @0.0000						
05/21/2018	***-**-00IO - LEE, GARY	PUTNAM CONVERTIBLE SECURITIES CL C	0.00	13.48	0.00	13.48	88.0	11.86
	ACCOUNT #: LSR011059	BUY 1 Units @0.0000						
05/21/2018	***-**-11IO - LYNN G.	PUTNAM CONVERTIBLE SECURITIES CL C	0.00	16.93	0.00	16.93	88.0	14.90
	ACCOUNT #: LSR011239	BUY 1 Units @0.0000						
05/21/2018	***-**-132O - EVANS, THOMAS	PUTNAM DIVERSIFIED INCOME CLASS C	0.00	7.29	0.00	7.29	88.0	6.42
	ACCOUNT #: LSR011074	BUY 1 Units @0.0000						
05/21/2018	***-**-11IO - LYNN G.	PUTNAM DIVERSIFIED INCOME CLASS C	0.00	14.35	0.00	14.35	88.0	12.63
	ACCOUNT #: LSR011239	BUY 1 Units @0.0000						
05/21/2018	***-**-881J - EBERLEY, SUSAN	PUTNAM DIVERSIFIED INCOME-B	0.00	2.22	0.00	2.22	88.0	1.95
	ACCOUNT #: LSR010856	BUY 1 Units @0.0000						
05/21/2018	***-**-949I - ACEE, JOSPEH	PUTNAM DIVERSIFIED INCOME-B	0.00	0.86	0.00	0.86	88.0	0.76
	ACCOUNT #: LSR010908	BUY 1 Units @0.0000						
05/21/2018	***-**-31IO - HARTZ, CLAUDIA	PUTNAM DIVERSIFIED INCOME-B	0.00	0.65	0.00	0.65	88.0	0.57
	ACCOUNT #: LSR010915	BUY 1 Units @0.0000						
05/21/2018	***-**-702I - KOCHEM, MICHAEL	PUTNAM DIVERSIFIED INCOME-B	0.00	1.86	0.00	1.86	88.0	1.64
	ACCOUNT #: LSR010954	BUY 1 Units @0.0000						
05/21/2018	***-**-960J - MASTRANGELO,	PUTNAM DIVERSIFIED INCOME-B	0.00	2.02	0.00	2.02	88.0	1.78
	ACCOUNT #: LSR010966	BUY 1 Units @0.0000						
05/21/2018	***-**-51IO - CAIN, TIMOTHY	PUTNAM DIVERSIFIED INCOME-B	0.00	1.26	0.00	1.26	88.0	1.11
	ACCOUNT #: LSR011007	BUY 1 Units @0.0000						
05/21/2018	***-**-761I - EVANS, DOLORES	PUTNAM DIVERSIFIED INCOME-B	0.00	10.83	0.00	10.83	88.0	9.53
	ACCOUNT #: LSR011024	BUY 1 Units @0.0000						
05/21/2018	***-**-63TR - EVANS, AUDREY J	PUTNAM DIVERSIFIED INCOME-B	0.00	2.51	0.00	2.51	88.0	2.21
	ACCOUNT #: LSR011036	BUY 1 Units @0.0000						
05/21/2018	***-**-579I - RHYMESTINE,	PUTNAM DIVERSIFIED INCOME-B	0.00	1.17	0.00	1.17	88.0	1.03
	ACCOUNT #: LSR011082	BUY 1 Units @0.0000						
05/21/2018	***-**-861I - SANGER, LAWRENCE	PUTNAM DIVERSIFIED INCOME-B	0.00	1.49	0.00	1.49	88.0	1.31
	ACCOUNT #: LSR011095	BUY 1 Units @0.0000						



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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
 OVERRIDE TRANSACTIONS (continued)								
 <u>BROKER: KURT GRUENEWALD (continued)</u>								
05/21/2018	***-**-31IO - WILLIAMSON, FBO ACCOUNT #: LSR011172	PUTNAM DIVERSIFIED INCOME-B BUY 1 Units @0.0000	0.00	6.31	0.00	6.31	88.0	5.55
05/21/2018	***-**-680I - HARRELL, DARYL ACCOUNT #: LSR011321	PUTNAM DIVERSIFIED INCOME-B BUY 1 Units @0.0000	0.00	0.68	0.00	0.68	88.0	0.60
05/21/2018	***-**-960J - MASTRANGELO, ACCOUNT #: LSR010966	PUTNAM EQUITY INCOME FUND-B BUY 1 Units @0.0000	0.00	2.42	0.00	2.42	88.0	2.13
05/21/2018	***-**-664J - PFAFF, GEORGE ACCOUNT #: LSR011184	PUTNAM EQUITY INCOME FUND-B BUY 1 Units @0.0000	0.00	2.44	0.00	2.44	88.0	2.15
05/21/2018	***-**-169I - EVANS, PAUL ACCOUNT #: LSR011026	PUTNAM EQUITY SPECTRUM FD CL B BUY 1 Units @0.0000	0.00	0.93	0.00	0.93	88.0	0.82
05/21/2018	***-**-881J - EBERLEY, SUSAN ACCOUNT #: LSR010856	PUTNAM EQUITY SPECTRUM FD CL C BUY 1 Units @0.0000	0.00	10.83	0.00	10.83	88.0	9.53
05/21/2018	***-**-48IO - CLARK, PATRICK ACCOUNT #: LSR010911	PUTNAM EQUITY SPECTRUM FD CL C BUY 1 Units @0.0000	0.00	23.09	0.00	23.09	88.0	20.32
05/21/2018	***-**-031O - MCVOY, ROBERT ACCOUNT #: LSR010916	PUTNAM EQUITY SPECTRUM FD CL C BUY 1 Units @0.0000	0.00	8.09	0.00	8.09	88.0	7.12
05/21/2018	***-**-72IN - GAVALO, JULIE ACCOUNT #: LSR010921	PUTNAM EQUITY SPECTRUM FD CL C BUY 1 Units @0.0000	0.00	15.24	0.00	15.24	88.0	13.41
05/21/2018	***-**-959I - FRANZ, PAUL ACCOUNT #: LSR010959	PUTNAM EQUITY SPECTRUM FD CL C BUY 1 Units @0.0000	0.00	9.40	0.00	9.40	88.0	8.27
05/21/2018	***-**-065I - LAZIO, THOMAS ACCOUNT #: LSR010979	PUTNAM EQUITY SPECTRUM FD CL C BUY 1 Units @0.0000	0.00	6.20	0.00	6.20	88.0	5.46
05/21/2018	***-**-73TR - WESTCOTT IRRVOC ACCOUNT #: LSR011001	PUTNAM EQUITY SPECTRUM FD CL C BUY 1 Units @0.0000	0.00	6.56	0.00	6.56	88.0	5.77
05/21/2018	***-**-80IN - COBB, JAMES ACCOUNT #: LSR011042	PUTNAM EQUITY SPECTRUM FD CL C BUY 1 Units @0.0000	0.00	7.62	0.00	7.62	88.0	6.71
05/21/2018	***-**-44IO - MAYO, DEBORAH ACCOUNT #: LSR011079	PUTNAM EQUITY SPECTRUM FD CL C BUY 1 Units @0.0000	0.00	7.77	0.00	7.77	88.0	6.84
05/21/2018	***-**-09IO - BATES, FBO MRS ACCOUNT #: LSR011117	PUTNAM EQUITY SPECTRUM FD CL C BUY 1 Units @0.0000	0.00	8.10	0.00	8.10	88.0	7.13
05/21/2018	***-**-89IN - LEE, ROGER ACCOUNT #: LSR011166	PUTNAM EQUITY SPECTRUM FD CL C BUY 1 Units @0.0000	0.00	11.48	0.00	11.48	88.0	10.10



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 OVERRIDE TRANSACTIONS (continued)								
 <u>BROKER: KURT GRUENEWALD (continued)</u>								
05/21/2018	***-**-473J - HUSTON, ACCOUNT #: LSR011228	PUTNAM EQUITY SPECTRUM FD CL C BUY 1 Units @0.0000	0.00	8.73	0.00	8.73	88.0	7.68
05/21/2018	***-**-11IO - LYNN G. ACCOUNT #: LSR011239	PUTNAM EQUITY SPECTRUM FD CL C BUY 1 Units @0.0000	0.00	9.88	0.00	9.88	88.0	8.69
05/21/2018	***-**-80IO - EVANS, RICHARD ACCOUNT #: LSR011276	PUTNAM EQUITY SPECTRUM FD CL C BUY 1 Units @0.0000	0.00	8.48	0.00	8.48	88.0	7.46
05/21/2018	***-**-07IO - FAMOLARO, JAMES ACCOUNT #: LSR011280	PUTNAM EQUITY SPECTRUM FD CL C BUY 1 Units @0.0000	0.00	5.25	0.00	5.25	88.0	4.62
05/21/2018	***-**-094I - KATRENA L ACCOUNT #: LSR011188	PUTNAM EUROPE EQUITY CLASS C BUY 1 Units @0.0000	0.00	4.40	0.00	4.40	88.0	3.87
05/21/2018	***-**-808J - GORMAN, RANDY ACCOUNT #: LSR011087	PUTNAM GLOBAL CONSUMER FD A BUY 1 Units @0.0000	0.00	0.29	0.00	0.29	88.0	0.26
05/21/2018	***-**-949I - ACEE, JOSPEH ACCOUNT #: LSR010908	PUTNAM GLOBAL CONSUMER FUND CL B BUY 1 Units @0.0000	0.00	1.94	0.00	1.94	88.0	1.71
05/21/2018	***-**-31IO - HARTZ, CLAUDIA ACCOUNT #: LSR010915	PUTNAM GLOBAL CONSUMER FUND CL B BUY 1 Units @0.0000	0.00	0.47	0.00	0.47	88.0	0.41
05/21/2018	***-**-567I - FRANZ, ALICE ACCOUNT #: LSR010960	PUTNAM GLOBAL CONSUMER FUND CL B BUY 1 Units @0.0000	0.00	3.23	0.00	3.23	88.0	2.84
05/21/2018	***-**-366I - GRUENEWALD, ACCOUNT #: LSR010989	PUTNAM GLOBAL CONSUMER FUND CL B BUY 1 Units @0.0000	0.00	1.04	0.00	1.04	88.0	0.92
05/21/2018	***-**-51IO - CAIN, TIMOTHY ACCOUNT #: LSR011007	PUTNAM GLOBAL CONSUMER FUND CL B BUY 1 Units @0.0000	0.00	1.32	0.00	1.32	88.0	1.16
05/21/2018	***-**-761I - EVANS, DOLORES ACCOUNT #: LSR011024	PUTNAM GLOBAL CONSUMER FUND CL B BUY 1 Units @0.0000	0.00	1.92	0.00	1.92	88.0	1.69
05/21/2018	***-**-944O - MAYO, DEBORAH ACCOUNT #: LSR011035	PUTNAM GLOBAL CONSUMER FUND CL B BUY 1 Units @0.0000	0.00	1.03	0.00	1.03	88.0	0.91
05/21/2018	***-**-63TR - EVANS, AUDREY J ACCOUNT #: LSR011036	PUTNAM GLOBAL CONSUMER FUND CL B BUY 1 Units @0.0000	0.00	1.49	0.00	1.49	88.0	1.31
05/21/2018	***-**-306X - COBB, CHERRY L ACCOUNT #: LSR011037	PUTNAM GLOBAL CONSUMER FUND CL B BUY 1 Units @0.0000	0.00	1.21	0.00	1.21	88.0	1.06
05/21/2018	***-**-579J - RHYMESTINE, ACCOUNT #: LSR011081	PUTNAM GLOBAL CONSUMER FUND CL B BUY 1 Units @0.0000	0.00	1.18	0.00	1.18	88.0	1.04



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 OVERRIDE TRANSACTIONS (continued)								
 <u>BROKER: KURT GRUENEWALD (continued)</u>								
05/21/2018	***-**-326I - GRANDE, FBO MR	PUTNAM GLOBAL CONSUMER FUND CL B	0.00	1.28	0.00	1.28	88.0	1.13
	ACCOUNT #: LSR011091	BUY 1 Units @0.0000						
05/21/2018	***-**-506J - CURRIERE JR, MR	PUTNAM GLOBAL CONSUMER FUND CL B	0.00	1.44	0.00	1.44	88.0	1.27
	ACCOUNT #: LSR011121	BUY 1 Units @0.0000						
05/21/2018	***-**-367J - WAGNER, MRS LANT	PUTNAM GLOBAL CONSUMER FUND CL B	0.00	2.11	0.00	2.11	88.0	1.86
	ACCOUNT #: LSR011134	BUY 1 Units @0.0000						
05/21/2018	***-**-48IO - ANACKER, FBO MRS	PUTNAM GLOBAL CONSUMER FUND CL B	0.00	1.84	0.00	1.84	88.0	1.62
	ACCOUNT #: LSR011164	BUY 1 Units @0.0000						
05/21/2018	***-**-64IO - PFAFF, GEORGE	PUTNAM GLOBAL CONSUMER FUND CL B	0.00	1.18	0.00	1.18	88.0	1.04
	ACCOUNT #: LSR011185	BUY 1 Units @0.0000						
05/21/2018	***-**-62IR - ROBBIANO, FBO	PUTNAM GLOBAL CONSUMER FUND CL B	0.00	1.18	0.00	1.18	88.0	1.04
	ACCOUNT #: LSR011195	BUY 1 Units @0.0000						
05/21/2018	***-**-66IO - RUDD, MICHAEL	PUTNAM GLOBAL CONSUMER FUND CL B	0.00	0.06	0.00	0.06	88.0	0.05
	ACCOUNT #: LSR011268	BUY 1 Units @0.0000						
05/21/2018	***-**-653I - KOCHER, CLINTON	PUTNAM GLOBAL CONSUMER FUND CL B	0.00	2.66	0.00	2.66	88.0	2.34
	ACCOUNT #: LSR011300	BUY 1 Units @0.0000						
05/21/2018	***-**-680I - HARRELL, DARYL	PUTNAM GLOBAL CONSUMER FUND CL B	0.00	1.56	0.00	1.56	88.0	1.37
	ACCOUNT #: LSR011321	BUY 1 Units @0.0000						
05/21/2018	***-**-21IO - RADELL, SANDRA	PUTNAM GLOBAL CONSUMER FUND CL B	0.00	1.21	0.00	1.21	88.0	1.06
	ACCOUNT #: LSR011392	BUY 1 Units @0.0000						
05/21/2018	***-**-12IR - GRUENEWALD,	PUTNAM GLOBAL CONSUMER FUND CL B	0.00	0.62	0.00	0.62	88.0	0.55
	ACCOUNT #: LSR011614	BUY 1 Units @0.0000						
05/21/2018	***-**-03IO - MASTRANGELO,	PUTNAM GLOBAL CONSUMER FUND CL B	0.00	1.92	0.00	1.92	88.0	1.69
	ACCOUNT #: LSR011679	BUY 1 Units @0.0000						
05/21/2018	***-**-45IN - WILLIAMSON,	PUTNAM GLOBAL CONSUMER FUND CL B	0.00	0.78	0.00	0.78	88.0	0.69
	ACCOUNT #: LSR011751	BUY 1 Units @0.0000						
05/11/2018	***-**-31IO - JOSEPH, ANN	PUTNAM GLOBAL CONSUMER FUND CL C	8,500.00	85.00	0.00	85.00	88.0	74.80
	ACCOUNT #: LSR012337	BUY 403 Units @21.1100						
05/21/2018	***-**-065I - LAZIO, THOMAS	PUTNAM GLOBAL CONSUMER FUND CL C	0.00	4.95	0.00	4.95	88.0	4.36
	ACCOUNT #: LSR010979	BUY 1 Units @0.0000						
05/21/2018	***-**-44IO - MAYO, DEBORAH	PUTNAM GLOBAL CONSUMER FUND CL C	0.00	11.89	0.00	11.89	88.0	10.46
	ACCOUNT #: LSR011079	BUY 1 Units @0.0000						



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 OVERRIDE TRANSACTIONS (continued)								
 <u>BROKER: KURT GRUENEWALD (continued)</u>								
05/21/2018	***-**-89IN - LEE, ROGER	PUTNAM GLOBAL CONSUMER FUND CL C	0.00	7.32	0.00	7.32	88.0	6.44
	ACCOUNT #: LSR011166	BUY 1 Units @0.0000						
05/21/2018	***-**-11IO - LYNN G.	PUTNAM GLOBAL CONSUMER FUND CL C	0.00	9.97	0.00	9.97	88.0	8.77
	ACCOUNT #: LSR011239	BUY 1 Units @0.0000						
05/21/2018	***-**-37IO - MCCLUSKY, MARK	PUTNAM GLOBAL CONSUMER FUND CL C	0.00	7.07	0.00	7.07	88.0	6.22
	ACCOUNT #: LSR011579	BUY 1 Units @0.0000						
05/21/2018	***-**-51IO - SCALISE, MARY	PUTNAM GLOBAL CONSUMER FUND CL C	0.00	0.10	0.00	0.10	88.0	0.09
	ACCOUNT #: LSR011837	BUY 1 Units @0.0000						
05/21/2018	***-**-702I - KOCHER, MICHAEL	PUTNAM GLOBAL HEALTH CARE FD-A	0.00	1.37	0.00	1.37	88.0	1.21
	ACCOUNT #: LSR010954	BUY 1 Units @0.0000						
05/21/2018	***-**-22IO - CLINTON, STEPHEN	PUTNAM GLOBAL HEALTH CARE FD-A	0.00	0.95	0.00	0.95	88.0	0.84
	ACCOUNT #: LSR011684	BUY 1 Units @0.0000						
05/21/2018	***-**-579I - RHYMESTINE,	PUTNAM GLOBAL NAT RESOURCES-A	0.00	1.15	0.00	1.15	88.0	1.01
	ACCOUNT #: LSR011082	BUY 1 Units @0.0000						
05/21/2018	***-**-680I - HARRELL, DARYL	PUTNAM GLOBAL NAT RESOURCES-A	0.00	0.12	0.00	0.12	88.0	0.11
	ACCOUNT #: LSR011321	BUY 1 Units @0.0000						
05/21/2018	***-**-31IO - HARTZ, CLAUDIA	PUTNAM GLOBAL NAT RESOURCES-B	0.00	0.88	0.00	0.88	88.0	0.77
	ACCOUNT #: LSR010915	BUY 1 Units @0.0000						
05/21/2018	***-**-567I - FRANZ, ALICE	PUTNAM GLOBAL NAT RESOURCES-B	0.00	0.69	0.00	0.69	88.0	0.61
	ACCOUNT #: LSR010960	BUY 1 Units @0.0000						
05/21/2018	***-**-664J - PFAFF, GEORGE	PUTNAM GLOBAL NAT RESOURCES-B	0.00	0.62	0.00	0.62	88.0	0.55
	ACCOUNT #: LSR011184	BUY 1 Units @0.0000						
05/21/2018	***-**-63TR - EVANS, AUDREY J	PUTNAM GLOBAL SECTOR FUND CL A	0.00	2.60	0.00	2.60	88.0	2.29
	ACCOUNT #: LSR011036	BUY 1 Units @0.0000						
05/21/2018	***-**-567I - FRANZ, ALICE	PUTNAM GLOBAL TECHNOLOGY CL B	0.00	2.13	0.00	2.13	88.0	1.87
	ACCOUNT #: LSR010960	BUY 1 Units @0.0000						
05/21/2018	***-**-944O - MAYO, DEBORAH	PUTNAM GLOBAL TECHNOLOGY CL B	0.00	0.93	0.00	0.93	88.0	0.82
	ACCOUNT #: LSR011035	BUY 1 Units @0.0000						
05/21/2018	***-**-63TR - EVANS, AUDREY J	PUTNAM GLOBAL TELECOMMUNICATIONS B	0.00	2.41	0.00	2.41	88.0	2.12
	ACCOUNT #: LSR011036	BUY 1 Units @0.0000						
05/21/2018	***-**-62IR - ROBBIANO, FBO	PUTNAM GLOBAL TELECOMMUNICATIONS B	0.00	0.59	0.00	0.59	88.0	0.52
	ACCOUNT #: LSR011195	BUY 1 Units @0.0000						



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DAVID GRIFFITH
2108 Genesee St.
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BROKER #: A76
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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
 OVERRIDE TRANSACTIONS (continued)								
 <u>BROKER: KURT GRUENEWALD (continued)</u>								
05/21/2018	***-**-382I - SATTERLY, NEIL	PUTNAM GLOBAL UTILITIES CL C	0.00	5.27	0.00	5.27	88.0	4.64
	ACCOUNT #: LSR010867	BUY 1 Units @0.0000						
05/21/2018	***-**-881I - EBERLEY, SUSAN	PUTNAM GROWTH OPPORTUNITIES FUND CL	0.00	9.00	0.00	9.00	88.0	7.92
	ACCOUNT #: LSR010858	BUY 1 Units @0.0000						
05/21/2018	***-**-382I - SATTERLY, NEIL	PUTNAM GROWTH OPPORTUNITIES FUND CL	0.00	9.52	0.00	9.52	88.0	8.38
	ACCOUNT #: LSR010867	BUY 1 Units @0.0000						
05/21/2018	***-**-420T - DEMETRI, AMELIA	PUTNAM GROWTH OPPORTUNITIES FUND CL	0.00	9.36	0.00	9.36	88.0	8.24
	ACCOUNT #: LSR010994	BUY 1 Units @0.0000						
05/21/2018	***-**-169I - EVANS, PAUL	PUTNAM GROWTH OPPORTUNITIES FUND CL	0.00	6.38	0.00	6.38	88.0	5.61
	ACCOUNT #: LSR011026	BUY 1 Units @0.0000						
05/21/2018	***-**-80IN - COBB, JAMES	PUTNAM GROWTH OPPORTUNITIES FUND CL	0.00	8.14	0.00	8.14	88.0	7.16
	ACCOUNT #: LSR011042	BUY 1 Units @0.0000						
05/21/2018	***-**-14IO - BUSHEY, MATTHEW	PUTNAM GROWTH OPPORTUNITIES FUND CL	0.00	8.81	0.00	8.81	88.0	7.75
	ACCOUNT #: LSR011498	BUY 1 Units @0.0000						
05/21/2018	***-**-51IO - CAIN, TIMOTHY	PUTNAM GROWTH OPPORTUNITIES FUND CL	0.00	2.39	0.00	2.39	88.0	2.10
	ACCOUNT #: LSR011007	BUY 1 Units @0.0000						
05/21/2018	***-**-653I - KOCHER, CLINTON	PUTNAM GROWTH OPPORTUNITIES FUND CL	0.00	2.85	0.00	2.85	88.0	2.51
	ACCOUNT #: LSR011300	BUY 1 Units @0.0000						
05/21/2018	***-**-13IO - ROTH, KAREN	PUTNAM GROWTH OPPORTUNITIES FUND CL	0.00	1.49	0.00	1.49	88.0	1.31
	ACCOUNT #: LSR011484	BUY 1 Units @0.0000						
05/21/2018	***-**-31IO - HARTZ, CLAUDIA	PUTNAM HEALTH SCIENCES TR-B	0.00	0.86	0.00	0.86	88.0	0.76
	ACCOUNT #: LSR010915	BUY 1 Units @0.0000						
05/21/2018	***-**-930I - SANGER, KEVIN	PUTNAM HEALTH SCIENCES TR-B	0.00	0.67	0.00	0.67	88.0	0.59
	ACCOUNT #: LSR010941	BUY 1 Units @0.0000						
05/21/2018	***-**-567I - FRANZ, ALICE	PUTNAM HEALTH SCIENCES TR-B	0.00	2.41	0.00	2.41	88.0	2.12
	ACCOUNT #: LSR010960	BUY 1 Units @0.0000						
05/21/2018	***-**-960J - MASTRANGELO,	PUTNAM HEALTH SCIENCES TR-B	0.00	1.23	0.00	1.23	88.0	1.08
	ACCOUNT #: LSR010966	BUY 1 Units @0.0000						
05/21/2018	***-**-761I - EVANS, DOLORES	PUTNAM HEALTH SCIENCES TR-B	0.00	1.99	0.00	1.99	88.0	1.75
	ACCOUNT #: LSR011024	BUY 1 Units @0.0000						
05/21/2018	***-**-944O - MAYO, DEBORAH	PUTNAM HEALTH SCIENCES TR-B	0.00	1.66	0.00	1.66	88.0	1.46
	ACCOUNT #: LSR011035	BUY 1 Units @0.0000						



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 OVERRIDE TRANSACTIONS (continued)								
 <u>BROKER: KURT GRUENEWALD (continued)</u>								
05/21/2018	***-**-579I - RHYMESTINE, ACCOUNT #: LSR011082	PUTNAM HEALTH SCIENCES TR-B BUY 1 Units @0.0000	0.00	2.17	0.00	2.17	88.0	1.91
05/21/2018	***-**-326I - GRANDE, FBO MR ACCOUNT #: LSR011091	PUTNAM HEALTH SCIENCES TR-B BUY 1 Units @0.0000	0.00	1.32	0.00	1.32	88.0	1.16
05/21/2018	***-**-48IO - ANACKER, FBO MRS ACCOUNT #: LSR011164	PUTNAM HEALTH SCIENCES TR-B BUY 1 Units @0.0000	0.00	2.06	0.00	2.06	88.0	1.81
05/21/2018	***-**-664J - PFAFF, GEORGE ACCOUNT #: LSR011184	PUTNAM HEALTH SCIENCES TR-B BUY 1 Units @0.0000	0.00	2.03	0.00	2.03	88.0	1.79
05/21/2018	***-**-64IO - PFAFF, GEORGE ACCOUNT #: LSR011185	PUTNAM HEALTH SCIENCES TR-B BUY 1 Units @0.0000	0.00	0.80	0.00	0.80	88.0	0.70
05/21/2018	***-**-62IR - ROBBIANO, FBO ACCOUNT #: LSR011195	PUTNAM HEALTH SCIENCES TR-B BUY 1 Units @0.0000	0.00	0.88	0.00	0.88	88.0	0.77
05/21/2018	***-**-52IO - EUSEPI, SUSAN ACCOUNT #: LSR011219	PUTNAM HEALTH SCIENCES TR-B BUY 1 Units @0.0000	0.00	1.06	0.00	1.06	88.0	0.93
05/21/2018	***-**-480J - EVANS, RICHARD ACCOUNT #: LSR011274	PUTNAM HEALTH SCIENCES TR-B BUY 1 Units @0.0000	0.00	1.01	0.00	1.01	88.0	0.89
05/21/2018	***-**-653I - KOHEM, CLINTON ACCOUNT #: LSR011300	PUTNAM HEALTH SCIENCES TR-B BUY 1 Units @0.0000	0.00	2.97	0.00	2.97	88.0	2.61
05/21/2018	***-**-21IO - RADELL, SANDRA ACCOUNT #: LSR011392	PUTNAM HEALTH SCIENCES TR-B BUY 1 Units @0.0000	0.00	1.73	0.00	1.73	88.0	1.52
05/21/2018	***-**-197I - GAMBINO, ANDREW ACCOUNT #: LSR011465	PUTNAM HEALTH SCIENCES TR-B BUY 1 Units @0.0000	0.00	0.19	0.00	0.19	88.0	0.17
05/21/2018	***-**-53IN - EVANS, ANDREW ACCOUNT #: LSR011483	PUTNAM HEALTH SCIENCES TR-B BUY 1 Units @0.0000	0.00	0.50	0.00	0.50	88.0	0.44
05/21/2018	***-**-13IO - ROTH, KAREN ACCOUNT #: LSR011484	PUTNAM HEALTH SCIENCES TR-B BUY 1 Units @0.0000	0.00	1.39	0.00	1.39	88.0	1.22
05/21/2018	***-**-38IO - BROWN, TYLER ACCOUNT #: LSR011602	PUTNAM HEALTH SCIENCES TR-B BUY 1 Units @0.0000	0.00	0.78	0.00	0.78	88.0	0.69
05/21/2018	***-**-12IR - GRUENEWALD, ACCOUNT #: LSR011614	PUTNAM HEALTH SCIENCES TR-B BUY 1 Units @0.0000	0.00	0.67	0.00	0.67	88.0	0.59
05/21/2018	***-**-03IO - MASTRANGELO, ACCOUNT #: LSR011679	PUTNAM HEALTH SCIENCES TR-B BUY 1 Units @0.0000	0.00	1.19	0.00	1.19	88.0	1.05



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 OVERRIDE TRANSACTIONS (continued)								
 <u>BROKER: KURT GRUENEWALD (continued)</u>								
05/21/2018	***-**-45IN - WILLIAMSON, ACCOUNT #: LSR011751	PUTNAM HEALTH SCIENCES TR-B BUY 1 Units @0.0000	0.00	0.67	0.00	0.67	88.0	0.59
05/21/2018	***-**-22IO - CLINTON, STEPHEN ACCOUNT #: LSR011684	PUTNAM INTL GROWTH & INC-A BUY 1 Units @0.0000	0.00	1.10	0.00	1.10	88.0	0.97
05/21/2018	***-**-382K - SATTERLY, NEIL ACCOUNT #: LSR010875	PUTNAM INVESTORS CLASS C BUY 1 Units @0.0000	0.00	4.31	0.00	4.31	88.0	3.79
05/21/2018	***-**-653J - KOCHER, CLINTON ACCOUNT #: LSR011298	PUTNAM INVESTORS CLASS C BUY 1 Units @0.0000	0.00	4.31	0.00	4.31	88.0	3.79
05/21/2018	***-**-22IO - CLINTON, STEPHEN ACCOUNT #: LSR011684	PUTNAM SMALL CAP VALUE FUND-A BUY 1 Units @0.0000	0.00	1.33	0.00	1.33	88.0	1.17
05/21/2018	***-**-22IO - CLINTON, STEPHEN ACCOUNT #: LSR011684	PUTNAM U.S. GOVT INCOME TR-A BUY 1 Units @0.0000	0.00	0.23	0.00	0.23	88.0	0.20
05/21/2018	***-**-63TR - EVANS, AUDREY J ACCOUNT #: LSR011036	PUTNAM U.S. GOVT INCOME TR-B BUY 1 Units @0.0000	0.00	0.88	0.00	0.88	88.0	0.77
05/21/2018	***-**-254I - AUGUSTINE, LINDA ACCOUNT #: LSR010846	PUTNAM UTILITIES GR & INC-B BUY 1 Units @0.0000	0.00	1.07	0.00	1.07	88.0	0.94
05/21/2018	***-**-881J - EBERLEY, SUSAN ACCOUNT #: LSR010856	PUTNAM UTILITIES GR & INC-B BUY 1 Units @0.0000	0.00	1.49	0.00	1.49	88.0	1.31
05/21/2018	***-**-949I - ACEE, JOSPEH ACCOUNT #: LSR010908	PUTNAM UTILITIES GR & INC-B BUY 1 Units @0.0000	0.00	0.68	0.00	0.68	88.0	0.60
05/21/2018	***-**-31IO - HARTZ, CLAUDIA ACCOUNT #: LSR010915	PUTNAM UTILITIES GR & INC-B BUY 1 Units @0.0000	0.00	0.50	0.00	0.50	88.0	0.44
05/21/2018	***-**-930I - SANGER, KEVIN ACCOUNT #: LSR010941	PUTNAM UTILITIES GR & INC-B BUY 1 Units @0.0000	0.00	0.95	0.00	0.95	88.0	0.84
05/21/2018	***-**-15IN - PENDRAK, JOHN ACCOUNT #: LSR010948	PUTNAM UTILITIES GR & INC-B BUY 1 Units @0.0000	0.00	2.09	0.00	2.09	88.0	1.84
05/21/2018	***-**-959I - FRANZ, PAUL ACCOUNT #: LSR010959	PUTNAM UTILITIES GR & INC-B BUY 1 Units @0.0000	0.00	1.67	0.00	1.67	88.0	1.47
05/21/2018	***-**-960J - MASTRANGELO, ACCOUNT #: LSR010966	PUTNAM UTILITIES GR & INC-B BUY 1 Units @0.0000	0.00	2.04	0.00	2.04	88.0	1.80
05/21/2018	***-**-51IO - CAIN, TIMOTHY ACCOUNT #: LSR011007	PUTNAM UTILITIES GR & INC-B BUY 1 Units @0.0000	0.00	1.13	0.00	1.13	88.0	0.99



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 OVERRIDE TRANSACTIONS (continued)								
 <u>BROKER: KURT GRUENEWALD (continued)</u>								
05/21/2018	***-**-761I - EVANS, DOLORES	PUTNAM UTILITIES GR & INC-B	0.00	1.30	0.00	1.30	88.0	1.14
	ACCOUNT #: LSR011024	BUY 1 Units @0.0000						
05/21/2018	***-**-31IO - WILLIAMSON, FBO	PUTNAM UTILITIES GR & INC-B	0.00	1.76	0.00	1.76	88.0	1.55
	ACCOUNT #: LSR011172	BUY 1 Units @0.0000						
05/21/2018	***-**-714O - LINES, JUDITH	QUEST BALANCED FUND C	0.00	1.65	0.00	1.65	88.0	1.45
	ACCOUNT #: LSR011763	BUY 1 Units @0.0000						
05/21/2018	***-**-680I - HARRELL, DARYL	QUEST INTERNATIONAL VALUE FUND, INC	0.00	0.67	0.00	0.67	88.0	0.59
	ACCOUNT #: LSR011321	BUY 1 Units @0.0000						
05/21/2018	***-**-15IN - PENDRAK, JOHN	QUEST OPPORTUNITY VALUE A	0.00	0.68	0.00	0.68	88.0	0.60
	ACCOUNT #: LSR010948	BUY 1 Units @0.0000						
05/21/2018	***-**-254I - AUGUSTINE, LINDA	REAL ESTATE FUND A	0.00	1.02	0.00	1.02	88.0	0.90
	ACCOUNT #: LSR010846	BUY 1 Units @0.0000						
05/21/2018	***-**-881J - EBERLEY, SUSAN	REAL ESTATE FUND A	0.00	0.97	0.00	0.97	88.0	0.85
	ACCOUNT #: LSR010856	BUY 1 Units @0.0000						
05/21/2018	***-**-15IN - PENDRAK, JOHN	REAL ESTATE FUND A	0.00	0.77	0.00	0.77	88.0	0.68
	ACCOUNT #: LSR010948	BUY 1 Units @0.0000						
05/21/2018	***-**-702I - KOCHER, MICHAEL	REAL ESTATE FUND A	0.00	0.90	0.00	0.90	88.0	0.79
	ACCOUNT #: LSR010954	BUY 1 Units @0.0000						
05/21/2018	***-**-51IO - CAIN, TIMOTHY	REAL ESTATE FUND A	0.00	1.06	0.00	1.06	88.0	0.93
	ACCOUNT #: LSR011007	BUY 1 Units @0.0000						
05/21/2018	***-**-761I - EVANS, DOLORES	REAL ESTATE FUND A	0.00	2.65	0.00	2.65	88.0	2.33
	ACCOUNT #: LSR011024	BUY 1 Units @0.0000						
05/21/2018	***-**-944O - MAYO, DEBORAH	REAL ESTATE FUND A	0.00	0.56	0.00	0.56	88.0	0.49
	ACCOUNT #: LSR011035	BUY 1 Units @0.0000						
05/21/2018	***-**-111J - NESSIA, JAMES	REAL ESTATE FUND A	0.00	0.92	0.00	0.92	88.0	0.81
	ACCOUNT #: LSR011054	BUY 1 Units @0.0000						
05/21/2018	***-**-326I - GRANDE, FBO MR	REAL ESTATE FUND A	0.00	1.01	0.00	1.01	88.0	0.89
	ACCOUNT #: LSR011091	BUY 1 Units @0.0000						
05/21/2018	***-**-861I - SANGER, LAWRENCE	REAL ESTATE FUND A	0.00	1.29	0.00	1.29	88.0	1.14
	ACCOUNT #: LSR011095	BUY 1 Units @0.0000						
05/21/2018	***-**-506J - CURRIERE JR, MR	REAL ESTATE FUND A	0.00	0.45	0.00	0.45	88.0	0.40
	ACCOUNT #: LSR011121	BUY 1 Units @0.0000						



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 OVERRIDE TRANSACTIONS (continued)								
 <u>BROKER: KURT GRUENEWALD (continued)</u>								
05/21/2018	***-**-367J - WAGNER, MRS LANT	REAL ESTATE FUND A	0.00	1.17	0.00	1.17	88.0	1.03
	ACCOUNT #: LSR011134	BUY 1 Units @0.0000						
05/21/2018	***-**-31IO - WILLIAMSON, FBO	REAL ESTATE FUND A	0.00	1.49	0.00	1.49	88.0	1.31
	ACCOUNT #: LSR011172	BUY 1 Units @0.0000						
05/21/2018	***-**-653I - KOCHER, CLINTON	REAL ESTATE FUND A	0.00	1.30	0.00	1.30	88.0	1.14
	ACCOUNT #: LSR011300	BUY 1 Units @0.0000						
05/21/2018	***-**-62IN - EATON, DAVID	REAL ESTATE FUND A	0.00	0.56	0.00	0.56	88.0	0.49
	ACCOUNT #: LSR011315	BUY 1 Units @0.0000						
05/21/2018	***-**-949I - ACEE, JOSPEH	REAL ESTATE FUND B	0.00	1.21	0.00	1.21	88.0	1.06
	ACCOUNT #: LSR010908	BUY 1 Units @0.0000						
05/21/2018	***-**-567I - FRANZ, ALICE	REAL ESTATE FUND B	0.00	1.89	0.00	1.89	88.0	1.66
	ACCOUNT #: LSR010960	BUY 1 Units @0.0000						
05/21/2018	***-**-506J - CURRIERE JR, MR	REAL ESTATE FUND B	0.00	0.02	0.00	0.02	88.0	0.02
	ACCOUNT #: LSR011121	BUY 1 Units @0.0000						
05/21/2018	***-**-48IO - ANACKER, FBO MRS	REAL ESTATE FUND B	0.00	1.39	0.00	1.39	88.0	1.22
	ACCOUNT #: LSR011164	BUY 1 Units @0.0000						
05/21/2018	***-**-664J - PFAFF, GEORGE	REAL ESTATE FUND B	0.00	1.32	0.00	1.32	88.0	1.16
	ACCOUNT #: LSR011184	BUY 1 Units @0.0000						
05/21/2018	***-**-64IO - PFAFF, GEORGE	REAL ESTATE FUND B	0.00	1.41	0.00	1.41	88.0	1.24
	ACCOUNT #: LSR011185	BUY 1 Units @0.0000						
05/21/2018	***-**-62IR - ROBBIANO, FBO	REAL ESTATE FUND B	0.00	0.41	0.00	0.41	88.0	0.36
	ACCOUNT #: LSR011195	BUY 1 Units @0.0000						
05/21/2018	***-**-653I - KOCHER, CLINTON	REAL ESTATE FUND B	0.00	0.04	0.00	0.04	88.0	0.04
	ACCOUNT #: LSR011300	BUY 1 Units @0.0000						
05/21/2018	***-**-382I - SATTERLY, NEIL	REAL ESTATE FUND C	0.00	9.36	0.00	9.36	88.0	8.24
	ACCOUNT #: LSR010867	BUY 1 Units @0.0000						
05/21/2018	***-**-48IO - CLARK, PATRICK	REAL ESTATE FUND C	0.00	6.96	0.00	6.96	88.0	6.12
	ACCOUNT #: LSR010911	BUY 1 Units @0.0000						
05/21/2018	***-**-72IN - GAVALO, JULIE	REAL ESTATE FUND C	0.00	7.53	0.00	7.53	88.0	6.63
	ACCOUNT #: LSR010921	BUY 1 Units @0.0000						
05/21/2018	***-**-065I - LAZIO, THOMAS	REAL ESTATE FUND C	0.00	5.57	0.00	5.57	88.0	4.90
	ACCOUNT #: LSR010979	BUY 1 Units @0.0000						



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 OVERRIDE TRANSACTIONS (continued)								
 <u>BROKER: KURT GRUENEWALD (continued)</u>								
05/21/2018	***-**-73TR - WESTCOTT IRRVOC	REAL ESTATE FUND C	0.00	7.37	0.00	7.37	88.0	6.49
	ACCOUNT #: LSR011001	BUY 1 Units @0.0000						
05/21/2018	***-**-73TR - WESTCOTT IRRVOC	REAL ESTATE FUND C	0.00	1.98	0.00	1.98	88.0	1.74
	ACCOUNT #: LSR011008	BUY 1 Units @0.0000						
05/21/2018	***-**-00IO - LEE, GARY	REAL ESTATE FUND C	0.00	8.99	0.00	8.99	88.0	7.91
	ACCOUNT #: LSR011059	BUY 1 Units @0.0000						
05/21/2018	***-**-52IO - EUSEPI, SUSAN	REAL ESTATE FUND C	0.00	4.27	0.00	4.27	88.0	3.76
	ACCOUNT #: LSR011219	BUY 1 Units @0.0000						
05/21/2018	***-**-11IO - LYNN G.	REAL ESTATE FUND C	0.00	11.69	0.00	11.69	88.0	10.29
	ACCOUNT #: LSR011239	BUY 1 Units @0.0000						
05/21/2018	***-**-80IO - EVANS, RICHARD	REAL ESTATE FUND C	0.00	3.69	0.00	3.69	88.0	3.25
	ACCOUNT #: LSR011276	BUY 1 Units @0.0000						
05/21/2018	***-**-45IO - JOHNSON, GREGORY	REAL ESTATE FUND C	0.00	6.33	0.00	6.33	88.0	5.57
	ACCOUNT #: LSR011421	BUY 1 Units @0.0000						
05/21/2018	***-**-714O - LINES, JUDITH	REAL ESTATE FUND C	0.00	2.17	0.00	2.17	88.0	1.91
	ACCOUNT #: LSR011763	BUY 1 Units @0.0000						
05/17/2018	***-**-513I - RHYMESTINE,	RESOURCE CREDIT INCOME FUND C	10,000.00	100.00	0.00	100.00	88.0	88.00
	ACCOUNT #: LSR012457	BUY 887 Units @11.2800						
05/21/2018	***-**-671I - EBERLEY, REID	RESOURCE REAL ESTATE TRAILS	0.00	12.84	0.00	12.84	88.0	11.30
	ACCOUNT #: 20021572	BUY 0 Units @0.0000						
05/21/2018	***-**-44IO - MAYO, DEBORAH	RESOURCE REAL ESTATE TRAILS	0.00	8.73	0.00	8.73	88.0	7.68
	ACCOUNT #: 020026000	BUY 0 Units @0.0000						
05/21/2018	***-**-524I - SCALISE, JOSEPH	RESOURCE REAL ESTATE TRAILS	0.00	0.51	0.00	0.51	88.0	0.45
		BUY 0 Units @0.0000						
05/21/2018	***-**-15IN - PENDRAK, JOHN	RESOURCE REAL ESTATE TRAILS	0.00	1.62	0.00	1.62	88.0	1.43
		BUY 0 Units @0.0000						
05/21/2018	***-**-960J - MASTRANGELO,	RESOURCE REAL ESTATE TRAILS	0.00	10.84	0.00	10.84	88.0	9.54
	ACCOUNT #: 20002467	BUY 0 Units @0.0000						
05/21/2018	***-**-44IO - MAYO, DEBORAH	RESOURCE REAL ESTATE TRAILS	0.00	4.87	0.00	4.87	88.0	4.29
	ACCOUNT #: 020026000	BUY 0 Units @0.0000						
05/21/2018	***-**-31IN - WARMUTH,	RESOURCE REAL ESTATE TRAILS	0.00	4.13	0.00	4.13	88.0	3.63
		BUY 0 Units @0.0000						



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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
 OVERRIDE TRANSACTIONS (continued)								
 <u>BROKER: KURT GRUENEWALD (continued)</u>								
05/21/2018	***-**-531J - WILLIAMSON, ACCOUNT #: 20033096	RESOURCE REAL ESTATE TRAILS BUY 0 Units @0.0000	0.00	8.13	0.00	8.13	88.0	7.15
05/21/2018	***-**-65IN - LAZIO, THOMAS ACCOUNT #: 20010459	RESOURCE REAL ESTATE TRAILS BUY 0 Units @0.0000	0.00	16.92	0.00	16.92	88.0	14.89
05/21/2018	***-**-31IO - HARTZ, CLAUDIA ACCOUNT #: LSR010915	RESOURCE REAL ESTATE-NFS BUY 1 Units @0.0000	0.00	5.56	0.00	5.56	88.0	4.89
05/21/2018	***-**-72IN - GAVALO, JULIE ACCOUNT #: LSR010921	RESOURCE REAL ESTATE-NFS BUY 1 Units @0.0000	0.00	3.69	0.00	3.69	88.0	3.25
05/21/2018	***-**-930I - SANGER, KEVIN ACCOUNT #: LSR010941	RESOURCE REAL ESTATE-NFS BUY 1 Units @0.0000	0.00	12.27	0.00	12.27	88.0	10.80
05/21/2018	***-**-628I - SANGER, SANDRA ACCOUNT #: LSR010942	RESOURCE REAL ESTATE-NFS BUY 1 Units @0.0000	0.00	5.24	0.00	5.24	88.0	4.61
05/21/2018	***-**-567I - FRANZ, ALICE ACCOUNT #: LSR010960	RESOURCE REAL ESTATE-NFS BUY 1 Units @0.0000	0.00	6.12	0.00	6.12	88.0	5.39
05/21/2018	***-**-761I - EVANS, DOLORES ACCOUNT #: LSR011024	RESOURCE REAL ESTATE-NFS BUY 1 Units @0.0000	0.00	6.43	0.00	6.43	88.0	5.66
05/21/2018	***-**-63TR - EVANS, AUDREY J ACCOUNT #: LSR011036	RESOURCE REAL ESTATE-NFS BUY 1 Units @0.0000	0.00	11.04	0.00	11.04	88.0	9.72
05/21/2018	***-**-44IO - MAYO, DEBORAH ACCOUNT #: LSR011079	RESOURCE REAL ESTATE-NFS BUY 1 Units @0.0000	0.00	23.99	0.00	23.99	88.0	21.11
05/21/2018	***-**-861I - SANGER, LAWRENCE ACCOUNT #: LSR011095	RESOURCE REAL ESTATE-NFS BUY 1 Units @0.0000	0.00	7.35	0.00	7.35	88.0	6.47
05/21/2018	***-**-89IN - LEE, ROGER ACCOUNT #: LSR011166	RESOURCE REAL ESTATE-NFS BUY 1 Units @0.0000	0.00	13.77	0.00	13.77	88.0	12.12
05/21/2018	***-**-29IO - MASSOUD, ACCOUNT #: LSR011217	RESOURCE REAL ESTATE-NFS BUY 1 Units @0.0000	0.00	6.11	0.00	6.11	88.0	5.38
05/21/2018	***-**-473J - HUSTON, ACCOUNT #: LSR011228	RESOURCE REAL ESTATE-NFS BUY 1 Units @0.0000	0.00	6.13	0.00	6.13	88.0	5.39
05/21/2018	***-**-653I - KOCHER, CLINTON ACCOUNT #: LSR011300	RESOURCE REAL ESTATE-NFS BUY 1 Units @0.0000	0.00	6.11	0.00	6.11	88.0	5.38
05/21/2018	***-**-37IO - MCCLUSKY, MARK ACCOUNT #: LSR011579	RESOURCE REAL ESTATE-NFS BUY 1 Units @0.0000	0.00	3.08	0.00	3.08	88.0	2.71



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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
 OVERRIDE TRANSACTIONS (continued)								
 <u>BROKER: KURT GRUENEWALD (continued)</u>								
05/21/2018	***-**-86IN - LEE, KEVIN	RESOURCE REAL ESTATE-NFS	0.00	6.08	0.00	6.08	88.0	5.35
	ACCOUNT #: LSR011613	BUY 1 Units @0.0000						
05/21/2018	***-**-531J - WILLIAMSON,	RESOURCE REAL ESTATE-NFS	0.00	12.08	0.00	12.08	88.0	10.63
	ACCOUNT #: LSR011716	BUY 1 Units @0.0000						
05/21/2018	***-**-633J -	RESOURCE REAL ESTATE-NFS	0.00	1.02	0.00	1.02	88.0	0.90
	ACCOUNT #: LSR011732	BUY 1 Units @0.0000						
05/21/2018	***-**-714O - LINES, JUDITH	RESOURCE REAL ESTATE-NFS	0.00	4.84	0.00	4.84	88.0	4.26
	ACCOUNT #: LSR011763	BUY 1 Units @0.0000						
05/21/2018	***-**-311O - HARTZ, CLAUDIA	RESOURCE REAL ESTATE-NFS	0.00	1.85	0.00	1.85	88.0	1.63
	ACCOUNT #: LSR010915	BUY 1 Units @0.0000						
05/21/2018	***-**-72IN - GAVALO, JULIE	RESOURCE REAL ESTATE-NFS	0.00	1.23	0.00	1.23	88.0	1.08
	ACCOUNT #: LSR010921	BUY 1 Units @0.0000						
05/21/2018	***-**-930I - SANGER, KEVIN	RESOURCE REAL ESTATE-NFS	0.00	4.09	0.00	4.09	88.0	3.60
	ACCOUNT #: LSR010941	BUY 1 Units @0.0000						
05/21/2018	***-**-628I - SANGER, SANDRA	RESOURCE REAL ESTATE-NFS	0.00	1.75	0.00	1.75	88.0	1.54
	ACCOUNT #: LSR010942	BUY 1 Units @0.0000						
05/21/2018	***-**-567I - FRANZ, ALICE	RESOURCE REAL ESTATE-NFS	0.00	2.04	0.00	2.04	88.0	1.80
	ACCOUNT #: LSR010960	BUY 1 Units @0.0000						
05/21/2018	***-**-761I - EVANS, DOLORES	RESOURCE REAL ESTATE-NFS	0.00	2.14	0.00	2.14	88.0	1.88
	ACCOUNT #: LSR011024	BUY 1 Units @0.0000						
05/21/2018	***-**-63TR - EVANS, AUDREY J	RESOURCE REAL ESTATE-NFS	0.00	3.68	0.00	3.68	88.0	3.24
	ACCOUNT #: LSR011036	BUY 1 Units @0.0000						
05/21/2018	***-**-441O - MAYO, DEBORAH	RESOURCE REAL ESTATE-NFS	0.00	8.00	0.00	8.00	88.0	7.04
	ACCOUNT #: LSR011079	BUY 1 Units @0.0000						
05/21/2018	***-**-861I - SANGER, LAWRENCE	RESOURCE REAL ESTATE-NFS	0.00	2.45	0.00	2.45	88.0	2.16
	ACCOUNT #: LSR011095	BUY 1 Units @0.0000						
05/21/2018	***-**-89IN - LEE, ROGER	RESOURCE REAL ESTATE-NFS	0.00	4.59	0.00	4.59	88.0	4.04
	ACCOUNT #: LSR011166	BUY 1 Units @0.0000						
05/21/2018	***-**-291O - MASSOUD,	RESOURCE REAL ESTATE-NFS	0.00	2.04	0.00	2.04	88.0	1.80
	ACCOUNT #: LSR011217	BUY 1 Units @0.0000						
05/21/2018	***-**-473J - HUSTON,	RESOURCE REAL ESTATE-NFS	0.00	2.04	0.00	2.04	88.0	1.80
	ACCOUNT #: LSR011228	BUY 1 Units @0.0000						



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 OVERRIDE TRANSACTIONS (continued)								
 <u>BROKER: KURT GRUENEWALD (continued)</u>								
05/21/2018	***-**-653I - KOCHER, CLINTON	RESOURCE REAL ESTATE-NFS	0.00	2.04	0.00	2.04	88.0	1.80
	ACCOUNT #: LSR011300	BUY 1 Units @0.0000						
05/21/2018	***-**-37IO - MCCLUSKY, MARK	RESOURCE REAL ESTATE-NFS	0.00	1.03	0.00	1.03	88.0	0.91
	ACCOUNT #: LSR011579	BUY 1 Units @0.0000						
05/21/2018	***-**-86IN - LEE, KEVIN	RESOURCE REAL ESTATE-NFS	0.00	2.03	0.00	2.03	88.0	1.79
	ACCOUNT #: LSR011613	BUY 1 Units @0.0000						
05/21/2018	***-**-531J - WILLIAMSON,	RESOURCE REAL ESTATE-NFS	0.00	4.03	0.00	4.03	88.0	3.55
	ACCOUNT #: LSR011716	BUY 1 Units @0.0000						
05/21/2018	***-**-633J -	RESOURCE REAL ESTATE-NFS	0.00	0.34	0.00	0.34	88.0	0.30
	ACCOUNT #: LSR011732	BUY 1 Units @0.0000						
05/21/2018	***-**-714O - LINES, JUDITH	RESOURCE REAL ESTATE-NFS	0.00	1.61	0.00	1.61	88.0	1.42
	ACCOUNT #: LSR011763	BUY 1 Units @0.0000						
05/21/2018	***-**-287J - HINCKLEY,	RISING DIVIDENDS FUND A	0.00	0.53	0.00	0.53	88.0	0.47
	ACCOUNT #: LSR010841	BUY 1 Units @0.0000						
05/21/2018	***-**-254I - AUGUSTINE, LINDA	RISING DIVIDENDS FUND A	0.00	1.49	0.00	1.49	88.0	1.31
	ACCOUNT #: LSR010846	BUY 1 Units @0.0000						
05/21/2018	***-**-881I - EBERLEY, SUSAN	RISING DIVIDENDS FUND A	0.00	0.87	0.00	0.87	88.0	0.77
	ACCOUNT #: LSR010858	BUY 1 Units @0.0000						
05/21/2018	***-**-702I - KOCHER, MICHAEL	RISING DIVIDENDS FUND A	0.00	2.24	0.00	2.24	88.0	1.97
	ACCOUNT #: LSR010954	BUY 1 Units @0.0000						
05/21/2018	***-**-959I - FRANZ, PAUL	RISING DIVIDENDS FUND A	0.00	1.06	0.00	1.06	88.0	0.93
	ACCOUNT #: LSR010959	BUY 1 Units @0.0000						
05/21/2018	***-**-366I - GRUENEWALD,	RISING DIVIDENDS FUND A	0.00	1.28	0.00	1.28	88.0	1.13
	ACCOUNT #: LSR010989	BUY 1 Units @0.0000						
05/21/2018	***-**-761I - EVANS, DOLORES	RISING DIVIDENDS FUND A	0.00	8.43	0.00	8.43	88.0	7.42
	ACCOUNT #: LSR011024	BUY 1 Units @0.0000						
05/21/2018	***-**-944O - MAYO, DEBORAH	RISING DIVIDENDS FUND A	0.00	1.08	0.00	1.08	88.0	0.95
	ACCOUNT #: LSR011035	BUY 1 Units @0.0000						
05/21/2018	***-**-580X - COBB, JAMES	RISING DIVIDENDS FUND A	0.00	2.01	0.00	2.01	88.0	1.77
	ACCOUNT #: LSR011040	BUY 1 Units @0.0000						
05/21/2018	***-**-96IN - NESSIA, BONNIE	RISING DIVIDENDS FUND A	0.00	2.26	0.00	2.26	88.0	1.99
	ACCOUNT #: LSR011055	BUY 1 Units @0.0000						



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 OVERRIDE TRANSACTIONS (continued)								
 <u>BROKER: KURT GRUENEWALD (continued)</u>								
05/21/2018	***-**-326I - GRANDE, FBO MR	RISING DIVIDENDS FUND A	0.00	1.89	0.00	1.89	88.0	1.66
	ACCOUNT #: LSR011091	BUY 1 Units @0.0000						
05/21/2018	***-**-861I - SANGER, LAWRENCE	RISING DIVIDENDS FUND A	0.00	1.92	0.00	1.92	88.0	1.69
	ACCOUNT #: LSR011095	BUY 1 Units @0.0000						
05/21/2018	***-**-13IN - RHYMESTINE,	RISING DIVIDENDS FUND A	0.00	1.09	0.00	1.09	88.0	0.96
	ACCOUNT #: LSR011106	BUY 1 Units @0.0000						
05/21/2018	***-**-664J - PFAFF, GEORGE	RISING DIVIDENDS FUND A	0.00	0.78	0.00	0.78	88.0	0.69
	ACCOUNT #: LSR011184	BUY 1 Units @0.0000						
05/21/2018	***-**-02IN - BUSHEY, MELISSA	RISING DIVIDENDS FUND A	0.00	0.88	0.00	0.88	88.0	0.77
	ACCOUNT #: LSR011257	BUY 1 Units @0.0000						
05/21/2018	***-**-62IN - EATON, DAVID	RISING DIVIDENDS FUND A	0.00	1.19	0.00	1.19	88.0	1.05
	ACCOUNT #: LSR011315	BUY 1 Units @0.0000						
05/21/2018	***-**-680I - HARRELL, DARYL	RISING DIVIDENDS FUND A	0.00	1.03	0.00	1.03	88.0	0.91
	ACCOUNT #: LSR011321	BUY 1 Units @0.0000						
05/21/2018	***-**-579I - RHYMESTINE,	RISING DIVIDENDS FUND, INC. B	0.00	2.53	0.00	2.53	88.0	2.23
	ACCOUNT #: LSR011082	BUY 1 Units @0.0000						
05/21/2018	***-**-96IN - NESSIA, BONNIE	ROCH. LIMITED TERM NEW YORK MUNICIP	0.00	1.23	0.00	1.23	88.0	1.08
	ACCOUNT #: LSR011055	BUY 1 Units @0.0000						
05/21/2018	***-**-13IN - RHYMESTINE,	ROCH. LIMITED TERM NEW YORK MUNICIP	0.00	0.93	0.00	0.93	88.0	0.82
	ACCOUNT #: LSR011106	BUY 1 Units @0.0000						
05/21/2018	***-**-02IN - BUSHEY, MELISSA	ROCH. LIMITED TERM NEW YORK MUNICIP	0.00	0.37	0.00	0.37	88.0	0.33
	ACCOUNT #: LSR011257	BUY 1 Units @0.0000						
05/21/2018	***-**-7140 - LINES, JUDITH	ROCH. LIMITED TERM NEW YORK MUNICIP	0.00	1.99	0.00	1.99	88.0	1.75
	ACCOUNT #: LSR011763	BUY 1 Units @0.0000						
05/21/2018	***-**-80IN - COBB, JAMES	ROCHESTER NATIONAL MUNICIPALS A	0.00	2.57	0.00	2.57	88.0	2.26
	ACCOUNT #: LSR011042	BUY 1 Units @0.0000						
05/21/2018	***-**-7140 - LINES, JUDITH	SENIOR FLOATING RATE FUND C	0.00	3.35	0.00	3.35	88.0	2.95
	ACCOUNT #: LSR011763	BUY 1 Units @0.0000						
05/21/2018	***-**-567I - FRANZ, ALICE	SMALL- & MID- CAP VALUE B	0.00	2.27	0.00	2.27	88.0	2.00
	ACCOUNT #: LSR010960	BUY 1 Units @0.0000						
05/21/2018	***-**-579I - RHYMESTINE,	SMALL- & MID- CAP VALUE B	0.00	2.15	0.00	2.15	88.0	1.89
	ACCOUNT #: LSR011082	BUY 1 Units @0.0000						



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 OVERRIDE TRANSACTIONS (continued)								
 <u>BROKER: KURT GRUENEWALD (continued)</u>								
05/21/2018	***-**-664J - PFAFF, GEORGE	SMALL- & MID- CAP VALUE B	0.00	0.70	0.00	0.70	88.0	0.62
	ACCOUNT #: LSR011184	BUY 1 Units @0.0000						
05/21/2018	***-**-065I - LAZIO, THOMAS	SMALL- & MID- CAP VALUE FUND C	0.00	4.55	0.00	4.55	88.0	4.00
	ACCOUNT #: LSR010979	BUY 1 Units @0.0000						
05/21/2018	***-**-28IN - BYWATER, KIM	SMALL- & MID- CAP VALUE FUND C	0.00	1.76	0.00	1.76	88.0	1.55
	ACCOUNT #: LSR011995	BUY 1 Units @0.0000						
05/21/2018	***-**-680I - HARRELL, DARYL	SMALLCAP WORLD FUND-A	0.00	0.85	0.00	0.85	88.0	0.75
	ACCOUNT #: LSR011321	BUY 1 Units @0.0000						
05/21/2018	***-**-382I - SATTERLY, NEIL	SMALLCAP WORLD FUND-C	0.00	8.49	0.00	8.49	88.0	7.47
	ACCOUNT #: LSR010867	BUY 1 Units @0.0000						
05/21/2018	***-**-567I - FRANZ, ALICE	SMALLCAP WORLD FUND-C	0.00	6.97	0.00	6.97	88.0	6.13
	ACCOUNT #: LSR010960	BUY 1 Units @0.0000						
05/21/2018	***-**-44IO - MAYO, DEBORAH	SMALLCAP WORLD FUND-C	0.00	11.75	0.00	11.75	88.0	10.34
	ACCOUNT #: LSR011079	BUY 1 Units @0.0000						
05/21/2018	***-**-09IO - BATES, FBO MRS	SMALLCAP WORLD FUND-C	0.00	11.42	0.00	11.42	88.0	10.05
	ACCOUNT #: LSR011117	BUY 1 Units @0.0000						
05/21/2018	***-**-11IO - LYNN G.	SMALLCAP WORLD FUND-C	0.00	11.88	0.00	11.88	88.0	10.45
	ACCOUNT #: LSR011239	BUY 1 Units @0.0000						
05/21/2018	***-**-45IO - JOHNSON, GREGORY	SMALLCAP WORLD FUND-C	0.00	7.77	0.00	7.77	88.0	6.84
	ACCOUNT #: LSR011421	BUY 1 Units @0.0000						
05/15/2018	***-**-15IN - PENDRAK, JOHN	STEIN MART INC COM	20,520.00	179.49	0.00	179.49	88.0	157.95
	ACCOUNT #: LSR010948	SELL 6000 Units @3.4200						
05/21/2018	***-**-714O - LINES, JUDITH	STRATEGIC INCOME FUND C	0.00	1.33	0.00	1.33	88.0	1.17
	ACCOUNT #: LSR011763	BUY 1 Units @0.0000						
05/07/2018	***-**-480J - EVANS, RICHARD	THE GROWTH FUND OF AMERICA-A	125.00	5.31	0.00	5.31	88.0	4.67
	ACCOUNT #: 00073288662	BUY 2 Units @55.1600						
05/21/2018	***-**-366I - GRUENEWALD,	THE GROWTH FUND OF AMERICA-A	0.00	1.39	0.00	1.39	88.0	1.22
	ACCOUNT #: LSR010989	BUY 1 Units @0.0000						
05/21/2018	***-**-326I - GRANDE, FBO MR	THE GROWTH FUND OF AMERICA-A	0.00	2.11	0.00	2.11	88.0	1.86
	ACCOUNT #: LSR011091	BUY 1 Units @0.0000						
05/21/2018	***-**-567I - FRANZ, ALICE	THE GROWTH FUND OF AMERICA-C	0.00	10.12	0.00	10.12	88.0	8.91
	ACCOUNT #: LSR010960	BUY 1 Units @0.0000						



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<u> OVERRIDE TRANSACTIONS (continued) </u>								
<u> BROKER: KURT GRUENEWALD (continued) </u>								
05/21/2018	***-**-287I - HINCKLEY, ACCOUNT #: LSR010843	THE INCOME FUND OF AMERICA-A BUY 1 Units @0.0000	0.00	4.38	0.00	4.38	88.0	3.85
05/21/2018	***-**-702I - KOCHEM, MICHAEL ACCOUNT #: LSR010954	THE INCOME FUND OF AMERICA-A BUY 1 Units @0.0000	0.00	3.44	0.00	3.44	88.0	3.03
05/21/2018	***-**-959J - FRANZ, PAUL ACCOUNT #: LSR010958	THE INCOME FUND OF AMERICA-A BUY 1 Units @0.0000	0.00	2.79	0.00	2.79	88.0	2.46
05/21/2018	***-**-366I - GRUENEWALD, ACCOUNT #: LSR010989	THE INCOME FUND OF AMERICA-A BUY 1 Units @0.0000	0.00	1.72	0.00	1.72	88.0	1.51
05/21/2018	***-**-579J - RHYMESTINE, ACCOUNT #: LSR011081	THE INCOME FUND OF AMERICA-A BUY 1 Units @0.0000	0.00	0.97	0.00	0.97	88.0	0.85
05/21/2018	***-**-326I - GRANDE, FBO MR ACCOUNT #: LSR011091	THE INCOME FUND OF AMERICA-A BUY 1 Units @0.0000	0.00	2.25	0.00	2.25	88.0	1.98
05/21/2018	***-**-680I - HARRELL, DARYL ACCOUNT #: LSR011321	THE INCOME FUND OF AMERICA-A BUY 1 Units @0.0000	0.00	1.08	0.00	1.08	88.0	0.95
05/21/2018	***-**-128I - BASHANT, THOMAS ACCOUNT #: LSR011387	THE INCOME FUND OF AMERICA-A BUY 1 Units @0.0000	0.00	0.93	0.00	0.93	88.0	0.82
05/21/2018	***-**-30TR - AND SANDRA ACCOUNT #: LSR011939	THE INCOME FUND OF AMERICA-A BUY 1 Units @0.0000	0.00	2.57	0.00	2.57	88.0	2.26
05/21/2018	***-**-80IO - EVANS, RICHARD ACCOUNT #: LSR011276	THE NEW ECONOMY FUND-C BUY 1 Units @0.0000	0.00	11.33	0.00	11.33	88.0	9.97
05/21/2018	***-**-235I - AUGUSTINE III, ACCOUNT #: LSR010845	TRANSAMERICA MLP & ENERGY INCOME CL BUY 1 Units @0.0000	0.00	5.72	0.00	5.72	88.0	5.03
05/21/2018	***-**-881J - EBERLEY, SUSAN ACCOUNT #: LSR010856	TRANSAMERICA MLP & ENERGY INCOME CL BUY 1 Units @0.0000	0.00	6.75	0.00	6.75	88.0	5.94
05/21/2018	***-**-980I - ACEE, ELIZABETH ACCOUNT #: LSR010885	TRANSAMERICA MLP & ENERGY INCOME CL BUY 1 Units @0.0000	0.00	4.92	0.00	4.92	88.0	4.33
05/21/2018	***-**-031O - MCVOY, ROBERT ACCOUNT #: LSR010916	TRANSAMERICA MLP & ENERGY INCOME CL BUY 1 Units @0.0000	0.00	6.34	0.00	6.34	88.0	5.58
05/21/2018	***-**-959I - FRANZ, PAUL ACCOUNT #: LSR010959	TRANSAMERICA MLP & ENERGY INCOME CL BUY 1 Units @0.0000	0.00	11.35	0.00	11.35	88.0	9.99
05/21/2018	***-**-73TR - WESTCOTT IRRVOC ACCOUNT #: LSR011001	TRANSAMERICA MLP & ENERGY INCOME CL BUY 1 Units @0.0000	0.00	5.50	0.00	5.50	88.0	4.84



COMMISSION STATEMENT

May 21, 2018

DAVID GRIFFITH
2108 Genesee St.
Utica, NY 13502

BROKER #: A76
BRANCH #01047 - 47 - GRIFFITH

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
 OVERRIDE TRANSACTIONS (continued)								
 <u>BROKER: KURT GRUENEWALD (continued)</u>								
05/21/2018	***-**-73TR - WESTCOTT IRRVOC ACCOUNT #: LSR011008	TRANSAMERICA MLP & ENERGY INCOME CL BUY 1 Units @0.0000	0.00	5.30	0.00	5.30	88.0	4.66
05/21/2018	***-**-44IO - MAYO, DEBORAH ACCOUNT #: LSR011079	TRANSAMERICA MLP & ENERGY INCOME CL BUY 1 Units @0.0000	0.00	6.53	0.00	6.53	88.0	5.75
05/21/2018	***-**-09IO - BATES, FBO MRS ACCOUNT #: LSR011117	TRANSAMERICA MLP & ENERGY INCOME CL BUY 1 Units @0.0000	0.00	10.50	0.00	10.50	88.0	9.24
05/21/2018	***-**-89IN - LEE, ROGER ACCOUNT #: LSR011166	TRANSAMERICA MLP & ENERGY INCOME CL BUY 1 Units @0.0000	0.00	11.91	0.00	11.91	88.0	10.48
05/21/2018	***-**-11IO - LYNN G. ACCOUNT #: LSR011239	TRANSAMERICA MLP & ENERGY INCOME CL BUY 1 Units @0.0000	0.00	10.11	0.00	10.11	88.0	8.90
05/21/2018	***-**-80IO - EVANS, RICHARD ACCOUNT #: LSR011276	TRANSAMERICA MLP & ENERGY INCOME CL BUY 1 Units @0.0000	0.00	6.79	0.00	6.79	88.0	5.98
05/21/2018	***-**-45IO - JOHNSON, GREGORY ACCOUNT #: LSR011421	TRANSAMERICA MLP & ENERGY INCOME CL BUY 1 Units @0.0000	0.00	8.55	0.00	8.55	88.0	7.52
05/21/2018	***-**-14IO - BUSHEY, MATTHEW ACCOUNT #: LSR011498	TRANSAMERICA MLP & ENERGY INCOME CL BUY 1 Units @0.0000	0.00	9.69	0.00	9.69	88.0	8.53
05/21/2018	***-**-287J - HINCKLEY, ACCOUNT #: LSR010841	TRANSAMERICA SHORT TERM BOND CL C BUY 1 Units @0.0000	0.00	12.80	0.00	12.80	88.0	11.26
05/21/2018	***-**-48IO - CLARK, PATRICK ACCOUNT #: LSR010911	TRANSAMERICA SHORT TERM BOND CL C BUY 1 Units @0.0000	0.00	9.97	0.00	9.97	88.0	8.77
05/21/2018	***-**-11IO - LYNN G. ACCOUNT #: LSR011239	TRANSAMERICA SHORT TERM BOND CL C BUY 1 Units @0.0000	0.00	14.86	0.00	14.86	88.0	13.08
05/21/2018	***-**-959J - FRANZ, PAUL ACCOUNT #: LSR010958	U.S. GOVERNMENT SECURITIES FUND CLA BUY 1 Units @0.0000	0.00	3.51	0.00	3.51	88.0	3.09
05/16/2018	***-**-579J - RHYMESTINE, ACCOUNT #: LSR011081	WALMART STORES INC UNSOLICITED ORDE BUY 100 Units @85.7450	8,574.50	80.49	0.00	80.49	88.0	70.83
05/15/2018	***-**-513I - RHYMESTINE, ACCOUNT #: LSR012457	WASHINGTON MUTUAL INVESTORS FUND-C BUY 219 Units @45.5600	10,000.01	100.00	0.00	100.00	88.0	88.00
05/21/2018	***-**-07IO - FAMOLARO, JAMES ACCOUNT #: LSR011280	WELLS FARGO ASSET ALLOCATION CL A BUY 1 Units @0.0000	0.00	2.99	0.00	2.99	88.0	2.63
05/21/2018	***-**-07IO - FAMOLARO, JAMES ACCOUNT #: LSR011280	WELLS FARGO GLOBAL OPPT FD CL A BUY 1 Units @0.0000	0.00	1.37	0.00	1.37	88.0	1.21



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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u> OVERRIDE TRANSACTIONS (continued) </u>								
<u>BROKER: KURT GRUENEWALD (continued)</u>								
05/21/2018	***-**-680I - HARRELL, DARYL	WELLS FARGO SPECIALIZED TECH A	0.00	1.83	0.00	1.83	88.0	1.61
	ACCOUNT #: LSR011321	BUY 1 Units @0.0000						
05/21/2018	***-**-680I - HARRELL, DARYL	WELLS FARGO UTILITY TELECOM CL A	0.00	1.30	0.00	1.30	88.0	1.14
	ACCOUNT #: LSR011321	BUY 1 Units @0.0000						
* KURT GRUENEWALD SUBTOTAL *			<u>\$142,870.53</u>	<u>\$5,049.76</u>	<u>\$0.00</u>	<u>\$5,049.76</u>		<u>\$4,443.81</u>
*** OVERRIDE TRANSACTIONS TOTAL ***			<u>\$142,870.53</u>	<u>\$5,049.76</u>	<u>\$0.00</u>	<u>\$5,049.76</u>		<u>\$4,443.81</u>

BROKER COMMISSION TOTALS

Broker Transactions	\$3,380.96
Split Transactions	\$0.00
Override Transactions	\$4,443.81
Adjustments	\$0.00
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$0.00
FINRA Assessment	\$0.00
SIPC Assessment	\$0.00

Net Commission Earned	\$7,824.77
Year-to-date Earnings	\$113,869.93