



COMMISSION STATEMENT

March 26, 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>								
03/16/2018	***-**-76IN - BOSHART-LOWE, ACCOUNT #: LSR011840	AMERICAN FUNDS MORTGAGE FD CL C BUY 1019 Units @9.8100	10,000.00	118.00	18.00	100.00	88.0	88.00
03/16/2018	***-**-76IR - BOSHART-LOWE, ACCOUNT #: LSR011841	AMERICAN FUNDS MORTGAGE FD CL C BUY 581 Units @9.8100	5,700.00	75.00	18.00	57.00	88.0	50.16
03/16/2018	***-**-801I - HAGAN III, ACCOUNT #: 00088485981	AMERICAN GLOBAL BALANCED CL C BUY 5 Units @32.8500	160.00	1.60	0.00	1.60	88.0	1.41
03/13/2018	***-**-11IN - MOYLAN, TIMOTHY ACCOUNT #: 03222207458	CAPITAL APPRECIATION C BUY 0 Units @0.0000	6.70	0.07	0.00	0.07	88.0	0.06
03/01/2018	***-**-8027 - MAXWELL, COLLEEN ACCOUNT #: 07621429626	CASH RESERVES C BUY 0 Units @0.0000	330.25	0.83	0.00	0.83	88.0	0.73
03/05/2018	***-**-58IN - CADY, GAIL ACCOUNT #: 08370389048	EQUITY INCOME FUND, INC. C BUY 0 Units @0.0000	24.00	0.24	0.00	0.24	88.0	0.21
03/07/2018	***-**-7473 - SCOTELLARO, ACCOUNT #: 08370720038	EQUITY INCOME FUND, INC. C BUY 0 Units @0.0000	25.00	0.25	0.00	0.25	88.0	0.22
03/13/2018	***-**-0457 - STAGLIANO, GINA ACCOUNT #: 08370450769	EQUITY INCOME FUND, INC. C BUY 0 Units @0.0000	5.44	0.05	0.00	0.05	88.0	0.04
03/13/2018	***-**-11IN - MOYLAN, TIMOTHY ACCOUNT #: 08370450780	EQUITY INCOME FUND, INC. C BUY 0 Units @0.0000	10.07	0.10	0.00	0.10	88.0	0.09
03/15/2018	***-**-5485 - GAETANO, ACCOUNT #: 00082975488	EUROPACIFIC GROWTH FUND-A BUY 1 Units @61.2700	33.00	1.40	0.00	1.40	88.0	1.23
03/05/2018	***-**-58IN - CADY, GAIL ACCOUNT #: 02171604031	GLOBAL OPPORTUNITIES FUND C BUY 0 Units @0.0000	16.00	0.16	0.00	0.16	88.0	0.14
03/13/2018	***-**-0457 - STAGLIANO, GINA ACCOUNT #: 02171646348	GLOBAL OPPORTUNITIES FUND C BUY 0 Units @0.0000	5.42	0.05	0.00	0.05	88.0	0.04
03/13/2018	***-**-11IN - MOYLAN, TIMOTHY ACCOUNT #: 02171646359	GLOBAL OPPORTUNITIES FUND C BUY 0 Units @0.0000	6.70	0.07	0.00	0.07	88.0	0.06
03/21/2018	***-**-361J - ALOISIO, ACCOUNT #: LSR010886	LORD ABBETT SHORT DURATION INCOME C SELL 642 Units @4.2300	2,714.88	0.00	0.00	0.00	88.0	0.00
03/22/2018	***-**-762I - STORSBERG, ACCOUNT #: LSR011688	LORD ABBETT SHORT DURATION INCOME C SELL 1891 Units @4.2300	8,000.00	0.00	6.00	-6.00	100.0	-6.00
03/22/2018	***-**-762I - STORSBERG, ACCOUNT #: LSR011688	LORD ABBETT VALUE OPPORTUNITY FD CL BUY 459 Units @17.4400	8,000.01	19.99	6.00	13.99	88.0	12.31



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUNDS (continued)								
03/20/2018	***-**-686I - STRUMPFLE, MARK	MFS GLOBAL TOTAL RETURN FUND-B	75.00	3.00	0.00	3.00	88.0	2.64
	ACCOUNT #: 00060352385	BUY 4 Units @18.4700						
03/15/2018	***-**-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						
03/05/2018	***-**-91IN - RICHARDSON,	OPPENHEIMER CUSIP 68385X208	35.00	0.35	0.00	0.35	88.0	0.31
	ACCOUNT #: 00100011925	BUY 0 Units @0.0000						
03/05/2018	***-**-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						
03/13/2018	***-**-0457 - STAGLIANO, GINA	OPPENHEIMER DEV MARKETS FD CLASS C	5.42	0.05	0.00	0.05	88.0	0.04
	ACCOUNT #: 07871984301	BUY 0 Units @0.0000						
03/05/2018	***-**-91IN - RICHARDSON,	OPPENHEIMER EMERG MKTS LOCAL DEBT F	35.00	0.35	0.00	0.35	88.0	0.31
	ACCOUNT #: 00100064439	BUY 0 Units @0.0000						
03/05/2018	***-**-91IN - RICHARDSON,	OPPENHEIMER GLBL HIGH YIELD FUND C	35.00	0.35	0.00	0.35	88.0	0.31
	ACCOUNT #: 00100025895	BUY 0 Units @0.0000						
03/07/2018	***-**-7473 - SCOTELLARO,	OPPENHEIMER GLBL REAL ESTATE FUND C	25.00	0.25	0.00	0.25	88.0	0.22
	ACCOUNT #: 00100018140	BUY 0 Units @0.0000						
03/13/2018	***-**-0457 - STAGLIANO, GINA	OPPENHEIMER GLOBAL CLASS C	5.42	0.05	0.00	0.05	88.0	0.04
	ACCOUNT #: 03322653871	BUY 0 Units @0.0000						
03/13/2018	***-**-11IN - MOYLAN, TIMOTHY	OPPENHEIMER GLOBAL CLASS C	3.35	0.03	0.00	0.03	88.0	0.03
	ACCOUNT #: 03322653882	BUY 0 Units @0.0000						
03/05/2018	***-**-91IN - RICHARDSON,	OPPENHEIMER GLOBAL VALUE FUND CL C	35.00	0.35	0.00	0.35	88.0	0.31
	ACCOUNT #: 06890080641	BUY 0 Units @0.0000						
03/05/2018	***-**-58IN - CADY, GAIL	OPPENHEIMER INTERNATIONAL DIVERSIFI	24.00	0.24	0.00	0.24	88.0	0.21
	ACCOUNT #: 01970799227	BUY 0 Units @0.0000						
03/07/2018	***-**-7473 - SCOTELLARO,	OPPENHEIMER INTERNATIONAL DIVERSIFI	25.00	0.25	0.00	0.25	88.0	0.22
	ACCOUNT #: 01971001154	BUY 0 Units @0.0000						
03/13/2018	***-**-0457 - STAGLIANO, GINA	OPPENHEIMER INTERNATIONAL DIVERSIFI	8.14	0.08	0.00	0.08	88.0	0.07
	ACCOUNT #: 01970849112	BUY 0 Units @0.0000						
03/13/2018	***-**-11IN - MOYLAN, TIMOTHY	OPPENHEIMER INTERNATIONAL DIVERSIFI	13.40	0.13	0.00	0.13	88.0	0.11
	ACCOUNT #: 01970849123	BUY 0 Units @0.0000						
03/05/2018	***-**-58IN - CADY, GAIL	OPPENHEIMER RISING DIVIDENDS FUND C	24.00	0.24	0.00	0.24	88.0	0.21
	ACCOUNT #: 02270806520	BUY 0 Units @0.0000						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUNDS (continued)								
03/13/2018	***-**-0457 - STAGLIANO, GINA	OPPENHEIMER RISING DIVIDENDS FUND C	8.14	0.08	0.00	0.08	88.0	0.07
	ACCOUNT #: 02270899492	BUY 0 Units @0.0000						
03/13/2018	***-**-11IN - MOYLAN, TIMOTHY	OPPENHEIMER RISING DIVIDENDS FUND C	13.40	0.13	0.00	0.13	88.0	0.11
	ACCOUNT #: 02270899503	BUY 0 Units @0.0000						
03/21/2018	***-**-244I - BURTON, RICHARD	PL PORTFOLIO OPTIMIZATION MODERATE	9,809.26	19.99	18.00	1.99	88.0	1.75
	ACCOUNT #: LSR011997	SELL 680 Units @14.4200						
03/15/2018	***-**-497I - MARTIN, KATHLEEN	PORT SERIES: CONS INV C	50.00	0.50	0.00	0.50	88.0	0.44
	ACCOUNT #: 05420240427	BUY 0 Units @0.0000						
03/13/2018	***-**-522I - RIEBEN, HENRY	PUTNAM CAPITAL SPECTRUM FUND CL C	10.38	0.10	0.00	0.10	88.0	0.09
	ACCOUNT #: 00551360517	BUY 0 Units @32.5100						
03/13/2018	***-**-522I - RIEBEN, HENRY	PUTNAM EQUITY SPECTRUM FD CL C	10.36	0.10	0.00	0.10	88.0	0.09
	ACCOUNT #: 00551360517	BUY 0 Units @35.1200						
03/13/2018	***-**-522I - RIEBEN, HENRY	PUTNAM GLOBAL UTILITIES CL C	10.38	0.10	0.00	0.10	88.0	0.09
	ACCOUNT #: 00551360517	BUY 1 Units @12.9100						
03/05/2018	***-**-58IN - CADY, GAIL	QUEST BALANCED FUND C	24.00	0.24	0.00	0.24	88.0	0.21
	ACCOUNT #: 02592245914	BUY 0 Units @0.0000						
03/05/2018	***-**-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						
03/13/2018	***-**-11IN - MOYLAN, TIMOTHY	QUEST INTERNATIONAL VALUE FUND, INC	6.70	0.07	0.00	0.07	88.0	0.06
	ACCOUNT #: 02560289795	BUY 0 Units @0.0000						
03/05/2018	***-**-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						
03/12/2018	***-**-29IN - THIBAUT, L	REAL ESTATE FUND C	100.00	1.00	0.00	1.00	88.0	0.88
	ACCOUNT #: 05920285846	BUY 0 Units @0.0000						
03/13/2018	***-**-0457 - STAGLIANO, GINA	REAL ESTATE FUND C	5.42	0.05	0.00	0.05	88.0	0.04
	ACCOUNT #: 05920286880	BUY 0 Units @0.0000						
03/13/2018	***-**-11IN - MOYLAN, TIMOTHY	REAL ESTATE FUND C	6.70	0.07	0.00	0.07	88.0	0.06
	ACCOUNT #: 05920286891	BUY 0 Units @0.0000						
03/20/2018	***-**-01IN - HAGAN III,	RISING DIVIDENDS FUND A	2,250.00	19.99	18.00	1.99	88.0	1.75
	ACCOUNT #: LSR011014	SELL 116 Units @19.4600						
03/13/2018	***-**-0457 - STAGLIANO, GINA	SENIOR FLOATING RATE FUND C	5.42	0.05	0.00	0.05	88.0	0.04
	ACCOUNT #: 02931758372	BUY 0 Units @0.0000						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUNDS (continued)								
03/05/2018	***-**-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						
03/13/2018	***-**-0457 - STAGLIANO, GINA	SMALL- & MID- CAP VALUE FUND C	5.42	0.05	0.00	0.05	88.0	0.04
	ACCOUNT #: 02531164735	BUY 0 Units @0.0000						
03/15/2018	***-**-5485 - GAETANO,	SMALLCAP WORLD FUND-A	33.00	1.40	0.00	1.40	88.0	1.23
	ACCOUNT #: 00082975488	BUY 1 Units @61.0300						
03/07/2018	***-**-7473 - SCOTELLARO,	STRATEGIC INCOME FUND C	25.00	0.25	0.00	0.25	88.0	0.22
	ACCOUNT #: 02322945965	BUY 0 Units @0.0000						
03/15/2018	***-**-5485 - GAETANO,	THE GROWTH FUND OF AMERICA-A	34.00	1.45	0.00	1.45	88.0	1.28
	ACCOUNT #: 00082975488	BUY 1 Units @56.1600						
* MUTUAL FUNDS SUBTOTAL *			\$47,926.78	\$270.48	\$84.00	\$186.48		\$163.35
PRODUCT CATEGORY: STOCKS								
03/16/2018	***-**-753I - SABANOSH, ALAN	APPLE INC UNSOLICITED ORDER	3,572.00	67.49	18.00	49.49	88.0	43.55
	ACCOUNT #: LSR010909	SELL 20 Units @178.6000						
03/20/2018	***-**-01IN - HAGAN III,	CAMECO CORP COM NPV ISIN #CA13321L1	3,129.00	59.99	22.00	37.99	88.0	33.43
	ACCOUNT #: LSR011014	BUY 350 Units @8.9400						
03/21/2018	***-**-034J - NIKODEM, JOSEPH	CREE INC UNSOLICITED ORDER	4,312.00	77.49	18.00	59.49	88.0	52.35
	ACCOUNT #: LSR010887	SELL 100 Units @43.1200						
03/21/2018	***-**-423I - SAVICKI, RICHARD	CREE INC UNSOLICITED ORDER	6,478.35	117.49	18.00	99.49	88.0	87.55
	ACCOUNT #: LSR010889	SELL 150 Units @43.1890						
03/19/2018	***-**-474J - HAGAN JR,	DENBURY RES INC DEL COM USD0.001	5,950.00	117.49	65.00	52.49	88.0	46.19
	ACCOUNT #: LSR010993	SELL 2500 Units @2.3800						
03/20/2018	***-**-57IN - DIPERNA, ROBERT	DENBURY RES INC DEL COM USD0.001	2,450.00	57.49	35.00	22.49	88.0	19.79
	ACCOUNT #: LSR011053	SELL 1000 Units @2.4500						
03/21/2018	***-**-580I - GRIFFITH, DAVID	DENBURY RES INC DEL COM USD0.001	3,990.00	9.00	23.99	-14.99	100.0	-14.99
	ACCOUNT #: LSF000295	SELL 1500 Units @2.6600						
03/21/2018	***-**-580I - GRIFFITH, DAVID	DENBURY RES INC DEL COM USD0.001	2,720.00	9.00	18.99	-9.99	100.0	-9.99
	ACCOUNT #: LSF000295	SELL 1000 Units @2.7200						
03/21/2018	***-**-804I - RIEBEN, ANNE	DENBURY RES INC DEL COM USD0.001	2,660.00	57.49	35.00	22.49	88.0	19.79
	ACCOUNT #: LSR010877	SELL 1000 Units @2.6600						
03/21/2018	***-**-679I - MURSCH JR,	DENBURY RES INC DEL COM USD0.001	2,650.00	52.49	35.00	17.49	88.0	15.39
	ACCOUNT #: LSR010888	SELL 1000 Units @2.6500						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: STOCKS (continued)								
03/21/2018	***-**-60IN - SCHRADER, KEVIN	DENBURY RES INC DEL COM USD0.001	3,975.00	77.49	45.00	32.49	88.0	28.59
	ACCOUNT #: LSR010897	SELL 1500 Units @2.6500						
03/21/2018	***-**-24TR - SCOTELLARO, L	DENBURY RES INC DEL COM USD0.001	3,945.00	77.49	45.00	32.49	88.0	28.59
	ACCOUNT #: LSR010973	SELL 1500 Units @2.6300						
03/21/2018	***-**-22IN - GRACIE, JULIA	DENBURY RES INC DEL COM USD0.001	3,990.00	77.99	45.00	32.99	88.0	29.03
	ACCOUNT #: LSR011019	SELL 1500 Units @2.6600						
03/21/2018	***-**-762I - STORSBERG,	DENBURY RES INC DEL COM USD0.001	2,660.00	57.49	35.00	22.49	88.0	19.79
	ACCOUNT #: LSR011688	SELL 1000 Units @2.6600						
03/21/2018	***-**-762I - STORSBERG,	DENBURY RES INC DEL COM USD0.001	5,340.00	67.49	55.00	12.49	88.0	10.99
	ACCOUNT #: LSR011688	SELL 2000 Units @2.6700						
03/21/2018	***-**-762I - STORSBERG,	INTEL CORP SOLICITED ORDER	5,176.00	67.49	18.00	49.49	88.0	43.55
	ACCOUNT #: LSR011688	SELL 100 Units @51.7600						
03/21/2018	***-**-22IN - GRACIE, JULIA	ISHARES MSCI BRAZIL ETF	4,449.00	77.49	17.00	60.49	88.0	53.23
	ACCOUNT #: LSR011019	SELL 100 Units @44.4900						
03/16/2018	***-**-580I - GRIFFITH, DAVID	NORDIC AMERICAN TANKERS LIMITE COM	3,405.00	9.99	23.99	-14.00	100.0	-14.00
	ACCOUNT #: LSF000295	BUY 1500 Units @2.2700						
03/16/2018	***-**-077I - GAUTHIER, LOUIS	NORDIC AMERICAN TANKERS LIMITE COM	3,178.00	67.49	43.00	24.49	88.0	21.55
	ACCOUNT #: LSR010901	BUY 1400 Units @2.2700						
03/16/2018	***-**-76IN - BOSHART-LOWE,	NORDIC AMERICAN TANKERS LIMITE COM	4,540.00	77.49	55.00	22.49	88.0	19.79
	ACCOUNT #: LSR011840	BUY 2000 Units @2.2700						
03/19/2018	***-**-77TR - MARRONE TTEE	NORDIC AMERICAN TANKERS LIMITE COM	4,972.00	77.49	59.00	18.49	88.0	16.27
	ACCOUNT #: LSR011159	BUY 2200 Units @2.2600						
03/21/2018	***-**-86IO - STRUMPFLER, MARK	NORDIC AMERICAN TANKERS LIMITE COM	6,420.00	137.49	75.00	62.49	88.0	54.99
	ACCOUNT #: LSR012376	BUY 3000 Units @2.1400						
03/19/2018	***-**-77TR - MARRONE TTEE	PETROLEO BRASILEIRO SA PETROBRAS AD	4,131.00	77.49	21.00	56.49	88.0	49.71
	ACCOUNT #: LSR011159	SELL 300 Units @13.7700						
03/21/2018	***-**-369I - DAVIS, BRUCE	PETROLEO BRASILEIRO SA PETROBRAS AD	3,798.96	77.49	20.28	57.21	88.0	50.34
	ACCOUNT #: LSR011029	SELL 264 Units @14.3900						
03/19/2018	***-**-77TR - MARRONE TTEE	PETROLEO BRASILEIRO SA PETROBRAS SP	6,375.00	107.49	25.00	82.49	88.0	72.59
	ACCOUNT #: LSR011159	SELL 500 Units @12.7500						
03/21/2018	***-**-679I - MURSCH JR,	PETROLEO BRASILEIRO SA PETROBRAS SP	1,320.50	28.75	17.00	11.75	88.0	10.34
	ACCOUNT #: LSR010888	SELL 100 Units @13.2050						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: STOCKS (continued)								
03/21/2018	***-**-679I - MURSCH JR, ACCOUNT #: LSR010888	PETROLEO BRASILEIRO SA PETROBRAS SP SELL 100 Units @13.2050	1,320.50	28.75	2.00	26.75	88.0	23.54
03/21/2018	***-**-24TR - SCOTELLARO, L ACCOUNT #: LSR010973	PETROLEO BRASILEIRO SA PETROBRAS SP SELL 400 Units @13.2900	5,316.00	97.49	23.00	74.49	88.0	65.55
03/21/2018	***-**-69IN - HAUCK, JUDITH ACCOUNT #: LSR010980	PETROLEO BRASILEIRO SA PETROBRAS SP SELL 200 Units @13.4050	2,681.00	52.49	19.00	33.49	88.0	29.47
03/16/2018	***-**-753I - SABANOSH, ALAN ACCOUNT #: LSR010909	SKYWORKS SOLUTIONS INC COM UNSOLICI SELL 20 Units @110.8460	2,216.92	54.00	15.40	38.60	88.0	33.97
03/19/2018	***-**-580I - GRIFFITH, DAVID ACCOUNT #: LSF000295	STEIN MART INC COM BUY 7000 Units @1.4300	10,010.00	9.99	8.99	1.00	88.0	0.88
03/19/2018	***-**-467J - PICKARD, BRIAN ACCOUNT #: LSR010943	STEIN MART INC COM BUY 3000 Units @1.4190	4,257.00	57.49	18.00	39.49	88.0	34.75
03/19/2018	***-**-474J - HAGAN JR, ACCOUNT #: LSR010993	STEIN MART INC COM BUY 6000 Units @1.4300	8,580.00	147.49	18.00	129.49	88.0	113.95
03/19/2018	***-**-22IN - GRACIE, JULIA ACCOUNT #: LSR011019	STEIN MART INC COM BUY 4000 Units @1.4300	5,720.00	77.49	18.00	59.49	88.0	52.35
03/19/2018	***-**-77TR - MARRONE TTEE ACCOUNT #: LSR011159	STEIN MART INC COM BUY 4400 Units @1.4300	6,292.00	77.49	18.00	59.49	88.0	52.35
03/19/2018	***-**-762I - STORSBERG, ACCOUNT #: LSR011688	STEIN MART INC COM BUY 3300 Units @1.4100	4,653.00	49.99	18.00	31.99	88.0	28.15
03/20/2018	***-**-59IN - MORGAN, WILLIAM ACCOUNT #: LSR010842	STEIN MART INC COM BUY 2600 Units @1.4800	3,848.00	57.49	18.00	39.49	88.0	34.75
03/20/2018	***-**-57IN - DIPERNA, ROBERT ACCOUNT #: LSR011053	STEIN MART INC COM BUY 2400 Units @1.4800	3,552.00	67.49	18.00	49.49	88.0	43.55
03/21/2018	***-**-580I - GRIFFITH, DAVID ACCOUNT #: LSF000295	STEIN MART INC COM BUY 3000 Units @1.3900	4,170.00	9.00	8.99	0.01	88.0	0.01
03/21/2018	***-**-61IN - GORCZYNSKI, ACCOUNT #: LSR010844	STEIN MART INC COM BUY 12000 Units @1.4300	17,160.00	187.49	18.00	169.49	88.0	149.15
03/21/2018	***-**-361J - ALOISIO, ACCOUNT #: LSR010864	STEIN MART INC COM BUY 4000 Units @1.3900	5,560.00	87.49	18.00	69.49	88.0	61.15
03/21/2018	***-**-361J - ALOISIO, ACCOUNT #: LSR010886	STEIN MART INC COM BUY 7000 Units @1.4000	9,800.00	187.49	18.00	169.49	88.0	149.15



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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: STOCKS (continued)								
03/21/2018	***-**-034J - NIKODEM, JOSEPH	STEIN MART INC COM	8,400.00	157.49	18.00	139.49	88.0	122.75
	ACCOUNT #: LSR010887	BUY 6000 Units @1.4000						
03/21/2018	***-**-679I - MURSCH JR,	STEIN MART INC COM	4,200.00	77.49	18.00	59.49	88.0	52.35
	ACCOUNT #: LSR010888	BUY 3000 Units @1.4000						
03/21/2018	***-**-423I - SAVICKI, RICHARD	STEIN MART INC COM	4,935.00	77.49	18.00	59.49	88.0	52.35
	ACCOUNT #: LSR010889	BUY 3500 Units @1.4100						
03/21/2018	***-**-60IN - SCHRADER, KEVIN	STEIN MART INC COM	5,720.00	117.49	18.00	99.49	88.0	87.55
	ACCOUNT #: LSR010897	BUY 4000 Units @1.4300						
03/21/2018	***-**-25IR - PERRITANO,	STEIN MART INC COM	2,816.00	57.49	18.00	39.49	88.0	34.75
	ACCOUNT #: LSR010923	BUY 2000 Units @1.4080						
03/21/2018	***-**-24TR - SCOTELLARO, L	STEIN MART INC COM	7,100.00	137.49	18.00	119.49	88.0	105.15
	ACCOUNT #: LSR010973	BUY 5000 Units @1.4200						
03/21/2018	***-**-69IN - HAUCK, JUDITH	STEIN MART INC COM	2,679.00	57.49	18.00	39.49	88.0	34.75
	ACCOUNT #: LSR010980	BUY 1900 Units @1.4100						
03/21/2018	***-**-05IN - HULL, JEFFERY	STEIN MART INC COM	7,854.00	117.49	18.00	99.49	88.0	87.55
	ACCOUNT #: LSR011187	BUY 5500 Units @1.4280						
03/21/2018	***-**-510I - PEREZ, STACEY	STEIN MART INC COM	8,400.00	167.49	18.00	149.49	88.0	131.55
	ACCOUNT #: LSR011827	BUY 6000 Units @1.4000						
03/21/2018	***-**-244I - BURTON, RICHARD	STEIN MART INC COM	2,820.00	49.99	18.00	31.99	88.0	28.15
	ACCOUNT #: LSR011997	BUY 2000 Units @1.4100						
03/21/2018	***-**-86IO - STRUMPFLER, MARK	STEIN MART INC COM	2,826.00	57.49	18.00	39.49	88.0	34.75
	ACCOUNT #: LSR012376	BUY 2000 Units @1.4130						
03/20/2018	***-**-57IN - DIPERNA, ROBERT	VALE S.A. SPONS ADR REPR 1 COM NPV	1,265.10	57.49	17.00	40.49	88.0	35.63
	ACCOUNT #: LSR011053	SELL 100 Units @12.6510						
03/21/2018	***-**-423I - SAVICKI, RICHARD	WALMART STORES INC UNSOLICITED ORDE	4,426.05	77.49	16.00	61.49	88.0	54.11
	ACCOUNT #: LSR010889	SELL 50 Units @88.5210						
* STOCKS SUBTOTAL *			\$264,164.38	\$4,248.51	\$1,376.63	\$2,871.88		\$2,522.52



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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								
03/26/2018	***-**-656I - SMOLA, STANLEY	CAPITAL APPRECIATION C	0.00	9.29	0.00	9.29	88.0	8.18
	ACCOUNT #: LSR010868	BUY 1 Units @0.0000						
03/26/2018	***-**-077I - GAUTHIER, LOUIS	EQUITY INCOME FUND, INC. A	0.00	1.43	0.00	1.43	88.0	1.26
	ACCOUNT #: LSR010901	BUY 1 Units @0.0000						
03/26/2018	***-**-474J - HAGAN JR,	EQUITY INCOME FUND, INC. A	0.00	0.80	0.00	0.80	88.0	0.70
	ACCOUNT #: LSR010993	BUY 1 Units @0.0000						
03/26/2018	***-**-41IN - HULL, ELMINA	EQUITY INCOME FUND, INC. A	0.00	3.46	0.00	3.46	88.0	3.04
	ACCOUNT #: LSR010999	BUY 1 Units @0.0000						
03/26/2018	***-**-369I - DAVIS, BRUCE	EQUITY INCOME FUND, INC. A	0.00	1.82	0.00	1.82	88.0	1.60
	ACCOUNT #: LSR011029	BUY 1 Units @0.0000						
03/26/2018	***-**-698J - FEISTHAMEL, MR	EQUITY INCOME FUND, INC. A	0.00	0.38	0.00	0.38	88.0	0.33
	ACCOUNT #: LSR011137	BUY 1 Units @0.0000						
03/26/2018	***-**-718J - LOWE, GREGORY	EQUITY INCOME FUND, INC. A	0.00	1.10	0.00	1.10	88.0	0.97
	ACCOUNT #: LSR011914	BUY 1 Units @0.0000						
03/26/2018	***-**-679I - MURSCH JR,	EQUITY INCOME FUND, INC. B	0.00	0.22	0.00	0.22	88.0	0.19
	ACCOUNT #: LSR010888	BUY 1 Units @0.0000						
03/26/2018	***-**-61IN - GORCZYNSKI,	GLOBAL OPPORTUNITIES FUND C	0.00	49.68	0.00	49.68	88.0	43.72
	ACCOUNT #: LSR010844	BUY 1 Units @0.0000						
03/26/2018	***-**-077I - GAUTHIER, LOUIS	GOLD & SPECIAL MINERALS A	0.00	0.82	0.00	0.82	88.0	0.72
	ACCOUNT #: LSR010901	BUY 1 Units @0.0000						
03/26/2018	***-**-369I - DAVIS, BRUCE	GOLD & SPECIAL MINERALS A	0.00	0.57	0.00	0.57	88.0	0.50
	ACCOUNT #: LSR011029	BUY 1 Units @0.0000						
03/26/2018	***-**-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						
03/26/2018	***-**-24TR - SCOTELLARO, L	HARTFORD CHECKS AND BALANCED FUND C	0.00	1.04	0.00	1.04	88.0	0.92
	ACCOUNT #: LSR010973	BUY 1 Units @0.0000						
03/26/2018	***-**-369I - DAVIS, BRUCE	HARTFORD CHECKS AND BALANCED FUND C	0.00	1.96	0.00	1.96	88.0	1.72
	ACCOUNT #: LSR011029	BUY 1 Units @0.0000						
03/26/2018	***-**-679I - MURSCH JR,	INTERNATIONAL DIVERSIFIED FUND B	0.00	0.16	0.00	0.16	88.0	0.14
	ACCOUNT #: LSR010888	BUY 1 Units @0.0000						
03/26/2018	***-**-319I - HILLEBRAND, JOAN	INTERNATIONAL DIVERSIFIED FUND B	0.00	3.83	0.00	3.83	88.0	3.37
	ACCOUNT #: LSR011002	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)								
03/26/2018	***-**-077I - GAUTHIER, LOUIS	INTERNATIONAL GROWTH FUND A	0.00	1.94	0.00	1.94	88.0	1.71
	ACCOUNT #: LSR010901	BUY 1 Units @0.0000						
03/26/2018	***-**-656I - SMOLA, STANLEY	INTERNATIONAL GROWTH FUND C	0.00	9.13	0.00	9.13	88.0	8.03
	ACCOUNT #: LSR010868	BUY 1 Units @0.0000						
03/26/2018	***-**-656I - SMOLA, STANLEY	MUTUAL SHRS FND - CL C	0.00	1.96	0.00	1.96	88.0	1.72
	ACCOUNT #: LSR010868	BUY 1 Units @0.0000						
03/26/2018	***-**-077I - GAUTHIER, LOUIS	OPP PORT SERIES: ACTIVE ALLOC A	0.00	2.25	0.00	2.25	88.0	1.98
	ACCOUNT #: LSR010901	BUY 1 Units @0.0000						
03/26/2018	***-**-61IN - GORCZYNSKI,	OPPENHEIMER GLBL REAL ESTATE FUND C	0.00	12.19	0.00	12.19	88.0	10.73
	ACCOUNT #: LSR010844	BUY 1 Units @0.0000						
03/26/2018	***-**-656I - SMOLA, STANLEY	OPPENHEIMER GLBL REAL ESTATE FUND C	0.00	3.05	0.00	3.05	88.0	2.68
	ACCOUNT #: LSR010868	BUY 1 Units @0.0000						
03/26/2018	***-**-61IN - GORCZYNSKI,	OPPENHEIMER INTERNATIONAL DIVERSIFI	0.00	38.67	0.00	38.67	88.0	34.03
	ACCOUNT #: LSR010844	BUY 1 Units @0.0000						
03/26/2018	***-**-621I - DANIELS SR, JOHN	OPPENHEIMER SMALL & MID CAP VALUE F	0.00	3.75	0.00	3.75	88.0	3.30
	ACCOUNT #: LSR010950	BUY 1 Units @0.0000						
03/26/2018	***-**-369J - DAVIS, BRUCE	PUTNAM UTILITIES GROWTH AND INCOME	0.00	1.89	0.00	1.89	88.0	1.66
	ACCOUNT #: LSR011027	BUY 1 Units @0.0000						
03/26/2018	***-**-355I - CRIMMINS, KAREN	PUTNAM 1	0.00	1.60	0.00	1.60	88.0	1.41
	ACCOUNT #: LSR011077	BUY 1 Units @0.0000						
03/26/2018	***-**-187I - WASZKIEWICZ, FBO	PUTNAM 1	0.00	1.46	0.00	1.46	88.0	1.28
	ACCOUNT #: LSR011144	BUY 1 Units @0.0000						
03/26/2018	***-**-231J - MISHLANIE JR,	PUTNAM CAPITAL SPECTRUM FD CL B	0.00	2.27	0.00	2.27	88.0	2.00
	ACCOUNT #: LSR010927	BUY 1 Units @0.0000						
03/26/2018	***-**-91IR - DAMSKY, MELISSA	PUTNAM CAPITAL SPECTRUM FD CL B	0.00	0.93	0.00	0.93	88.0	0.82
	ACCOUNT #: LSR010928	BUY 1 Units @0.0000						
03/26/2018	***-**-869I - CASEY, JOHN	PUTNAM CAPITAL SPECTRUM FD CL B	0.00	1.11	0.00	1.11	88.0	0.98
	ACCOUNT #: LSR011323	BUY 1 Units @0.0000						
03/26/2018	***-**-973I - CHAMBERS, ROGER	PUTNAM CAPITAL SPECTRUM FUND CL C	0.00	11.26	0.00	11.26	88.0	9.91
	ACCOUNT #: LSR011018	BUY 1 Units @0.0000						
03/26/2018	***-**-21IN - DANIELS, JOHN	PUTNAM DIVERSIFIED INCOME-B	0.00	2.40	0.00	2.40	88.0	2.11
	ACCOUNT #: LSR010967	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)								
03/26/2018	***-**-41IN - HULL, ELMINA	PUTNAM DIVERSIFIED INCOME-B	0.00	5.48	0.00	5.48	88.0	4.82
	ACCOUNT #: LSR010999	BUY 1 Units @0.0000						
03/26/2018	***-**-21IN - DANIELS, JOHN	PUTNAM EQUITY INCOME FUND-B	0.00	4.29	0.00	4.29	88.0	3.78
	ACCOUNT #: LSR010967	BUY 1 Units @0.0000						
03/26/2018	***-**-355I - CRIMMINS, KAREN	PUTNAM EQUITY INCOME FUND-B	0.00	1.02	0.00	1.02	88.0	0.90
	ACCOUNT #: LSR011077	BUY 1 Units @0.0000						
03/26/2018	***-**-187I - WASZKIEWICZ, FBO	PUTNAM EQUITY INCOME FUND-B	0.00	2.00	0.00	2.00	88.0	1.76
	ACCOUNT #: LSR011144	BUY 1 Units @0.0000						
03/26/2018	***-**-753I - SABANOSH, ALAN	PUTNAM EUROPE EQUITY CLASS C	0.00	15.43	0.00	15.43	88.0	13.58
	ACCOUNT #: LSR010909	BUY 1 Units @0.0000						
03/26/2018	***-**-53TR - SABANOSH, ALAN R	PUTNAM EUROPE EQUITY CLASS C	0.00	10.73	0.00	10.73	88.0	9.44
	ACCOUNT #: LSR010917	BUY 1 Units @0.0000						
03/26/2018	***-**-467J - PICKARD, BRIAN	PUTNAM EUROPE EQUITY CLASS C	0.00	8.27	0.00	8.27	88.0	7.28
	ACCOUNT #: LSR010943	BUY 1 Units @0.0000						
03/26/2018	***-**-231J - MISHLANIE JR,	PUTNAM EUROPE EQUITY FUND-B	0.00	1.24	0.00	1.24	88.0	1.09
	ACCOUNT #: LSR010927	BUY 1 Units @0.0000						
03/26/2018	***-**-21IN - DANIELS, JOHN	PUTNAM EUROPE EQUITY FUND-B	0.00	1.26	0.00	1.26	88.0	1.11
	ACCOUNT #: LSR010967	BUY 1 Units @0.0000						
03/26/2018	***-**-29IO - LORUSSO, VINCENT	PUTNAM EUROPE EQUITY FUND-B	0.00	1.21	0.00	1.21	88.0	1.06
	ACCOUNT #: LSR011681	BUY 1 Units @0.0000						
03/26/2018	***-**-355I - CRIMMINS, KAREN	PUTNAM FLOATING RATE INCOME CL B	0.00	0.98	0.00	0.98	88.0	0.86
	ACCOUNT #: LSR011077	BUY 1 Units @0.0000						
03/26/2018	***-**-21IN - DANIELS, JOHN	PUTNAM GLOBAL NAT RESOURCES-B	0.00	1.39	0.00	1.39	88.0	1.22
	ACCOUNT #: LSR010967	BUY 1 Units @0.0000						
03/26/2018	***-**-34IN - SHEFFER, EUGENE	PUTNAM GLOBAL NAT RESOURCES-B	0.00	1.47	0.00	1.47	88.0	1.29
	ACCOUNT #: LSR011000	BUY 1 Units @0.0000						
03/26/2018	***-**-73IN - SCOTELLARO IV,	PUTNAM GLOBAL NAT RESOURCES-B	0.00	0.61	0.00	0.61	88.0	0.54
	ACCOUNT #: LSR011086	BUY 1 Units @0.0000						
03/26/2018	***-**-187I - WASZKIEWICZ, FBO	PUTNAM GLOBAL NAT RESOURCES-B	0.00	1.03	0.00	1.03	88.0	0.91
	ACCOUNT #: LSR011144	BUY 1 Units @0.0000						
03/26/2018	***-**-41TR - DAMSKY, BARRY	PUTNAM GLOBAL NAT RESOURCES-B	0.00	2.13	0.00	2.13	88.0	1.87
	ACCOUNT #: LSR011340	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)								
03/26/2018	***-**-753I - SABANOSH, ALAN	PUTNAM GLOBAL UTILITIES CL C	0.00	4.71	0.00	4.71	88.0	4.14
	ACCOUNT #: LSR010909	BUY 1 Units @0.0000						
03/26/2018	***-**-369I - DAVIS, BRUCE	PUTNAM INTERNATIONAL EQUITY-A	0.00	1.22	0.00	1.22	88.0	1.07
	ACCOUNT #: LSR011029	BUY 1 Units @0.0000						
03/13/2018	***-**-522I - RIEBEN, HENRY	PUTNAM MF TRAILS 37252M306	10.38	0.10	0.00	0.10	88.0	0.09
	ACCOUNT #: 00551360517	BUY 1 Units @20.1600						
03/26/2018	***-**-61IN - GORCZYNSKI,	PUTNAM MID-CAP VALUE FUND-C	0.00	46.01	0.00	46.01	88.0	40.49
	ACCOUNT #: LSR010844	BUY 1 Units @0.0000						
03/26/2018	***-**-231J - MISHLANIE JR,	PUTNAM UTILITIES GR & INC-B	0.00	2.44	0.00	2.44	88.0	2.15
	ACCOUNT #: LSR010927	BUY 1 Units @0.0000						
03/26/2018	***-**-369I - DAVIS, BRUCE	PUTNAM UTILITIES GR & INC-B	0.00	1.35	0.00	1.35	88.0	1.19
	ACCOUNT #: LSR011029	BUY 1 Units @0.0000						
03/26/2018	***-**-355I - CRIMMINS, KAREN	PUTNAM UTILITIES GR & INC-B	0.00	0.75	0.00	0.75	88.0	0.66
	ACCOUNT #: LSR011077	BUY 1 Units @0.0000						
03/26/2018	***-**-13IR - MURRAY, JOHN	PUTNAM UTILITIES GR & INC-B	0.00	0.80	0.00	0.80	88.0	0.70
	ACCOUNT #: LSR011459	BUY 1 Units @0.0000						
03/26/2018	***-**-29IO - LORUSSO, VINCENT	PUTNAM UTILITIES GR & INC-B	0.00	1.63	0.00	1.63	88.0	1.43
	ACCOUNT #: LSR011681	BUY 1 Units @0.0000						
03/26/2018	***-**-92IR - THIBAUT, MARY	PUTNAM UTILITIES GR & INC-B	0.00	0.43	0.00	0.43	88.0	0.38
	ACCOUNT #: LSR011833	BUY 1 Units @0.0000						
03/26/2018	***-**-76IR - BOSHART-LOWE,	PUTNAM UTILITIES GR & INC-B	0.00	1.05	0.00	1.05	88.0	0.92
	ACCOUNT #: LSR011841	BUY 1 Units @0.0000						
03/26/2018	***-**-679I - MURSCH JR,	QUEST BALANCED B	0.00	0.13	0.00	0.13	88.0	0.11
	ACCOUNT #: LSR010888	BUY 1 Units @0.0000						
03/26/2018	***-**-231J - MISHLANIE JR,	QUEST BALANCED B	0.00	3.00	0.00	3.00	88.0	2.64
	ACCOUNT #: LSR010927	BUY 1 Units @0.0000						
03/26/2018	***-**-29IN - THIBAUT,	QUEST BALANCED FUND C	0.00	9.31	0.00	9.31	88.0	8.19
	ACCOUNT #: LSR011094	BUY 1 Units @0.0000						
03/26/2018	***-**-24TR - SCOTELLARO, L	QUEST INTERNATIONAL VALUE FUND, INC	0.00	2.85	0.00	2.85	88.0	2.51
	ACCOUNT #: LSR010973	BUY 1 Units @0.0000						
03/26/2018	***-**-61IN - GORCZYNSKI,	QUEST INTERNATIONAL VALUE FUND, INC	0.00	38.38	0.00	38.38	88.0	33.77
	ACCOUNT #: LSR010844	BUY 1 Units @0.0000						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
03/26/2018	***-**-077I - GAUTHIER, LOUIS	RISING DIVIDENDS FUND A	0.00	1.94	0.00	1.94	88.0	1.71
	ACCOUNT #: LSR010901	BUY 1 Units @0.0000						
03/26/2018	***-**-474J - HAGAN JR,	RISING DIVIDENDS FUND A	0.00	1.37	0.00	1.37	88.0	1.21
	ACCOUNT #: LSR010993	BUY 1 Units @0.0000						
03/26/2018	***-**-01IN - HAGAN III,	RISING DIVIDENDS FUND A	0.00	1.87	0.00	1.87	88.0	1.65
	ACCOUNT #: LSR011014	BUY 1 Units @0.0000						
03/26/2018	***-**-369I - DAVIS, BRUCE	RISING DIVIDENDS FUND A	0.00	2.22	0.00	2.22	88.0	1.95
	ACCOUNT #: LSR011029	BUY 1 Units @0.0000						
03/26/2018	***-**-679I - MURSCH JR,	RISING DIVIDENDS FUND, INC. B	0.00	0.20	0.00	0.20	88.0	0.18
	ACCOUNT #: LSR010888	BUY 1 Units @0.0000						
03/26/2018	***-**-05IN - HULL, JEFFERY	SENIOR FLOATING RATE FUND C	0.00	7.79	0.00	7.79	88.0	6.86
	ACCOUNT #: LSR011187	BUY 1 Units @0.0000						
03/26/2018	***-**-679I - MURSCH JR,	SMALL- & MID- CAP VALUE B	0.00	0.17	0.00	0.17	88.0	0.15
	ACCOUNT #: LSR010888	BUY 1 Units @0.0000						
03/26/2018	***-**-21IN - DANIELS, JOHN	SMALL- & MID-CAP GROWTH FUND A	0.00	2.25	0.00	2.25	88.0	1.98
	ACCOUNT #: LSR010967	BUY 1 Units @0.0000						
03/26/2018	***-**-25IN - PERRITANO,	TA ASSET ALLOC MODERATE PORT CL A	0.00	1.71	0.00	1.71	88.0	1.50
	ACCOUNT #: LSR010924	BUY 1 Units @0.0000						
03/26/2018	***-**-423I - SAVICKI, RICHARD	TEMPLETON EMERGING MARKETS BALANCED	0.00	7.77	0.00	7.77	88.0	6.84
	ACCOUNT #: LSR010889	BUY 1 Units @0.0000						
03/26/2018	***-**-425I - PERRITANO,	TEMPLETON EMERGING MARKETS BALANCED	0.00	11.99	0.00	11.99	88.0	10.55
	ACCOUNT #: LSR010922	BUY 1 Units @0.0000						
03/26/2018	***-**-319I - HILLEBRAND, JOAN	TEMPLETON EMERGING MARKETS BALANCED	0.00	8.61	0.00	8.61	88.0	7.58
	ACCOUNT #: LSR011002	BUY 1 Units @0.0000						
03/26/2018	***-**-973I - CHAMBERS, ROGER	TEMPLETON GLOBAL BOND FUND - CLASS	0.00	5.44	0.00	5.44	88.0	4.79
	ACCOUNT #: LSR011018	BUY 1 Units @0.0000						
03/26/2018	***-**-05IN - HULL, JEFFERY	TEMPLETON GLOBAL BOND FUND - CLASS	0.00	3.99	0.00	3.99	88.0	3.51
	ACCOUNT #: LSR011187	BUY 1 Units @0.0000						
03/26/2018	***-**-94UT - MISHLANIE,	TRANSAMERICA BALANCED - A	0.00	4.12	0.00	4.12	88.0	3.63
	ACCOUNT #: LSR010931	BUY 1 Units @0.0000						
03/26/2018	***-**-41IN - HULL, ELMINA	TRANSAMERICA MLP & ENERGY INCOME CL	0.00	3.84	0.00	3.84	88.0	3.38
	ACCOUNT #: LSR010999	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)								
03/26/2018	***-**-41IN - HULL, ELMINA	TRANSAMERICA MULT MAN ALT	0.00	3.19	0.00	3.19	88.0	2.81
	ACCOUNT #: LSR010999	BUY 1 Units @0.0000						
03/26/2018	***-**-08TR - SCOTELLARO III,	TRANSAMERICA SHORT-TERM BOND CL A	0.00	0.17	0.00	0.17	88.0	0.15
	ACCOUNT #: LSR010975	BUY 1 Units @0.0000						
03/26/2018	***-**-656I - SMOLA, STANLEY	VOYA GLOBAL REAL ESTATE CLASS C	0.00	4.83	0.00	4.83	88.0	4.25
	ACCOUNT #: LSR010868	BUY 1 Units @0.0000						
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *			\$10.38	\$418.63	\$0.00	\$418.63		\$368.38
*** BROKER TRANSACTIONS TOTAL ***			\$312,101.54	\$4,937.62	\$1,460.63	\$3,476.99		\$3,054.25

OVERRIDE TRANSACTIONS

BROKER: KURT GRUENEWALD

03/26/2018	***-**-702I - KOHEM, MICHAEL	37252M108	0.00	0.91	0.00	0.91	88.0	0.80
	ACCOUNT #: LSR010954	BUY 1 Units @0.0000						
03/26/2018	***-**-680I - HARRELL, DARYL	37252M108	0.00	0.77	0.00	0.77	88.0	0.68
	ACCOUNT #: LSR011321	BUY 1 Units @0.0000						
03/26/2018	***-**-22IO - CLINTON, STEPHEN	37252M108	0.00	1.56	0.00	1.56	88.0	1.37
	ACCOUNT #: LSR011684	BUY 1 Units @0.0000						
03/15/2018	***-**-5375 - CARTER, LISA	AMERICAN BALANCED FUND-529C	300.00	3.00	0.00	3.00	88.0	2.64
	ACCOUNT #: 00083996363	BUY 11 Units @27.1600						
03/16/2018	***-**-851I - BLAKE, JAMES	AMERICAN FUNDS MORTGAGE FD CL C	10,000.00	100.00	0.00	100.00	88.0	88.00
	ACCOUNT #: LSR012390	BUY 1019 Units @9.8100						
03/16/2018	***-**-32IO - WITT, DEBORAH	AMERICAN GLOBAL BALANCED CL C	7,500.02	75.00	0.00	75.00	88.0	66.00
	ACCOUNT #: LSR012285	BUY 228 Units @32.8500						
03/05/2018	***-**-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						
03/15/2018	***-**-0069 - KRECIDLO,	CAPITAL WORLD GROWTH AND INCOME FUN	75.00	0.75	0.00	0.75	88.0	0.66
	ACCOUNT #: 00083510637	BUY 1 Units @52.2000						
03/15/2018	***-**-2855 - KRECIDLO, MARTA	CAPITAL WORLD GROWTH AND INCOME FUN	75.00	0.75	0.00	0.75	88.0	0.66
	ACCOUNT #: 00083510745	BUY 1 Units @52.2000						
03/15/2018	***-**-680I - HARRELL, DARYL	CAPITAL WORLD GROWTH AND INCOME FUN	50.00	0.50	0.00	0.50	88.0	0.44
	ACCOUNT #: 00083996385	BUY 1 Units @52.2000						



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 OVERRIDE TRANSACTIONS (continued)								
 <u>BROKER: KURT GRUENEWALD (continued)</u>								
03/21/2018	***-**-80IN - COBB, JAMES	CREDIT SUISSE GROUP SPON ADR-REP 1	7,076.00	74.49	0.00	74.49	88.0	65.55
	ACCOUNT #: LSR011042	SELL 400 Units @17.6900						
03/21/2018	***-**-930I - SANGER, KEVIN	DENBURY RES INC DEL COM USD0.001	2,640.00	12.49	0.00	12.49	88.0	10.99
	ACCOUNT #: LSR010941	SELL 1000 Units @2.6400						
03/21/2018	***-**-15IN - PENDRAK, JOHN	DENBURY RES INC DEL COM USD0.001	3,960.00	32.49	0.00	32.49	88.0	28.59
	ACCOUNT #: LSR010948	SELL 1500 Units @2.6400						
03/26/2018	***-**-949I - ACEE, JOSPEH	DEVELOPING MARKETS FUND B	0.00	1.21	0.00	1.21	88.0	1.06
	ACCOUNT #: LSR010908	BUY 1 Units @0.0000						
03/26/2018	***-**-506J - CURRIERE JR, MR	DEVELOPING MARKETS FUND B	0.00	0.81	0.00	0.81	88.0	0.71
	ACCOUNT #: LSR011121	BUY 1 Units @0.0000						
03/26/2018	***-**-48IO - ANACKER, FBO MRS	DEVELOPING MARKETS FUND B	0.00	0.74	0.00	0.74	88.0	0.65
	ACCOUNT #: LSR011164	BUY 1 Units @0.0000						
03/26/2018	***-**-64IO - PFAFF, GEORGE	DEVELOPING MARKETS FUND B	0.00	1.43	0.00	1.43	88.0	1.26
	ACCOUNT #: LSR011185	BUY 1 Units @0.0000						
03/26/2018	***-**-62IR - ROBBIANO, FBO	DEVELOPING MARKETS FUND B	0.00	1.10	0.00	1.10	88.0	0.97
	ACCOUNT #: LSR011195	BUY 1 Units @0.0000						
03/26/2018	***-**-653I - KOCHER, CLINTON	DEVELOPING MARKETS FUND B	0.00	2.29	0.00	2.29	88.0	2.02
	ACCOUNT #: LSR011300	BUY 1 Units @0.0000						
03/16/2018	***-**-32IO - WITT, DEBORAH	EATON VANCE FLOATING RATE ADVANTAGE	5,000.00	50.00	0.00	50.00	88.0	44.00
	ACCOUNT #: LSR012285	BUY 457 Units @10.9500						
03/05/2018	***-**-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						
03/26/2018	***-**-287J - HINCKLEY,	EQUITY INCOME FUND, INC. A	0.00	0.55	0.00	0.55	88.0	0.48
	ACCOUNT #: LSR010841	BUY 1 Units @0.0000						
03/26/2018	***-**-254I - AUGUSTINE, LINDA	EQUITY INCOME FUND, INC. A	0.00	2.14	0.00	2.14	88.0	1.88
	ACCOUNT #: LSR010846	BUY 1 Units @0.0000						
03/26/2018	***-**-881J - EBERLEY, SUSAN	EQUITY INCOME FUND, INC. A	0.00	2.06	0.00	2.06	88.0	1.81
	ACCOUNT #: LSR010856	BUY 1 Units @0.0000						
03/26/2018	***-**-15IN - PENDRAK, JOHN	EQUITY INCOME FUND, INC. A	0.00	1.74	0.00	1.74	88.0	1.53
	ACCOUNT #: LSR010948	BUY 1 Units @0.0000						
03/26/2018	***-**-702I - KOCHER, MICHAEL	EQUITY INCOME FUND, INC. A	0.00	1.89	0.00	1.89	88.0	1.66
	ACCOUNT #: LSR010954	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>								
03/26/2018	***-**-959I - FRANZ, PAUL ACCOUNT #: LSR010959	EQUITY INCOME FUND, INC. A BUY 1 Units @0.0000	0.00	2.09	0.00	2.09	88.0	1.84
03/26/2018	***-**-960J - MASTRANGELO, ACCOUNT #: LSR010966	EQUITY INCOME FUND, INC. A BUY 1 Units @0.0000	0.00	2.22	0.00	2.22	88.0	1.95
03/26/2018	***-**-366I - GRUENEWALD, ACCOUNT #: LSR010989	EQUITY INCOME FUND, INC. A BUY 1 Units @0.0000	0.00	1.22	0.00	1.22	88.0	1.07
03/26/2018	***-**-51IO - CAIN, TIMOTHY ACCOUNT #: LSR011007	EQUITY INCOME FUND, INC. A BUY 1 Units @0.0000	0.00	2.36	0.00	2.36	88.0	2.08
03/26/2018	***-**-761I - EVANS, DOLORES ACCOUNT #: LSR011024	EQUITY INCOME FUND, INC. A BUY 1 Units @0.0000	0.00	4.23	0.00	4.23	88.0	3.72
03/26/2018	***-**-944O - MAYO, DEBORAH ACCOUNT #: LSR011035	EQUITY INCOME FUND, INC. A BUY 1 Units @0.0000	0.00	1.03	0.00	1.03	88.0	0.91
03/26/2018	***-**-306X - COBB, CHERRYL ACCOUNT #: LSR011037	EQUITY INCOME FUND, INC. A BUY 1 Units @0.0000	0.00	1.82	0.00	1.82	88.0	1.60
03/26/2018	***-**-579I - RHYMESTINE, ACCOUNT #: LSR011082	EQUITY INCOME FUND, INC. A BUY 1 Units @0.0000	0.00	1.58	0.00	1.58	88.0	1.39
03/26/2018	***-**-861I - SANGER, LAWRENCE ACCOUNT #: LSR011095	EQUITY INCOME FUND, INC. A BUY 1 Units @0.0000	0.00	1.22	0.00	1.22	88.0	1.07
03/26/2018	***-**-680I - HARRELL, DARYL ACCOUNT #: LSR011321	EQUITY INCOME FUND, INC. A BUY 1 Units @0.0000	0.00	0.79	0.00	0.79	88.0	0.70
03/26/2018	***-**-949I - ACEE, JOSPEH ACCOUNT #: LSR010908	EQUITY INCOME FUND, INC. B BUY 1 Units @0.0000	0.00	2.34	0.00	2.34	88.0	2.06
03/26/2018	***-**-567I - FRANZ, ALICE ACCOUNT #: LSR010960	EQUITY INCOME FUND, INC. B BUY 1 Units @0.0000	0.00	5.54	0.00	5.54	88.0	4.88
03/26/2018	***-**-506J - CURRIERE JR, MR ACCOUNT #: LSR011121	EQUITY INCOME FUND, INC. B BUY 1 Units @0.0000	0.00	1.03	0.00	1.03	88.0	0.91
03/26/2018	***-**-48IO - ANACKER, FBO MRS ACCOUNT #: LSR011164	EQUITY INCOME FUND, INC. B BUY 1 Units @0.0000	0.00	1.56	0.00	1.56	88.0	1.37
03/26/2018	***-**-64IO - PFAFF, GEORGE ACCOUNT #: LSR011185	EQUITY INCOME FUND, INC. B BUY 1 Units @0.0000	0.00	1.95	0.00	1.95	88.0	1.72
03/26/2018	***-**-62IR - ROBBIANO, FBO ACCOUNT #: LSR011195	EQUITY INCOME FUND, INC. B BUY 1 Units @0.0000	0.00	1.40	0.00	1.40	88.0	1.23



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 OVERRIDE TRANSACTIONS (continued)								
 <u>BROKER: KURT GRUENEWALD (continued)</u>								
03/26/2018	***-**-653I - KOCHER, CLINTON	EQUITY INCOME FUND, INC. B	0.00	2.89	0.00	2.89	88.0	2.54
	ACCOUNT #: LSR011300	BUY 1 Units @0.0000						
03/13/2018	***-**-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						
03/26/2018	***-**-980I - ACEE, ELIZABETH	EQUITY INCOME FUND, INC. C	0.00	12.82	0.00	12.82	88.0	11.28
	ACCOUNT #: LSR010885	BUY 1 Units @0.0000						
03/26/2018	***-**-031O - MCVOY, ROBERT	EQUITY INCOME FUND, INC. C	0.00	5.78	0.00	5.78	88.0	5.09
	ACCOUNT #: LSR010916	BUY 1 Units @0.0000						
03/26/2018	***-**-001O - LEE, GARY	EQUITY INCOME FUND, INC. C	0.00	12.76	0.00	12.76	88.0	11.23
	ACCOUNT #: LSR011059	BUY 1 Units @0.0000						
03/26/2018	***-**-281N - BYWATER, KIM	EQUITY INCOME FUND, INC. C	0.00	1.50	0.00	1.50	88.0	1.32
	ACCOUNT #: LSR011995	BUY 1 Units @0.0000						
03/26/2018	***-**-441O - MAYO, DEBORAH	FRANKLIN BIOTECH DISCOVERY FUND CL	0.00	3.68	0.00	3.68	88.0	3.24
	ACCOUNT #: LSR011079	BUY 1 Units @0.0000						
03/26/2018	***-**-382I - SATTERLY, NEIL	FRANKLIN CONVERTIBLE SECURITIES CLA	0.00	8.36	0.00	8.36	88.0	7.36
	ACCOUNT #: LSR010867	BUY 1 Units @0.0000						
03/26/2018	***-**-861N - LEE, KEVIN	FRANKLIN GROWTH FUND CLASS A	0.00	1.94	0.00	1.94	88.0	1.71
	ACCOUNT #: LSR011613	BUY 1 Units @0.0000						
03/26/2018	***-**-861N - LEE, KEVIN	FRANKLIN INCOME FUND CLASS A	0.00	1.10	0.00	1.10	88.0	0.97
	ACCOUNT #: LSR011613	BUY 1 Units @0.0000						
03/26/2018	***-**-611N - EVANS, DOLORES	FRANKLIN INCOME FUND CLASS C	0.00	0.63	0.00	0.63	88.0	0.55
	ACCOUNT #: LSR011023	BUY 1 Units @0.0000						
03/26/2018	***-**-441O - MAYO, DEBORAH	FRANKLIN INCOME FUND CLASS C	0.00	2.71	0.00	2.71	88.0	2.38
	ACCOUNT #: LSR011079	BUY 1 Units @0.0000						
03/26/2018	***-**-091O - BATES, FBO MRS	FRANKLIN INCOME FUND CLASS C	0.00	6.64	0.00	6.64	88.0	5.84
	ACCOUNT #: LSR011117	BUY 1 Units @0.0000						
03/26/2018	***-**-111O - LYNN G.	FRANKLIN INCOME FUND CLASS C	0.00	8.84	0.00	8.84	88.0	7.78
	ACCOUNT #: LSR011239	BUY 1 Units @0.0000						
03/26/2018	***-**-376I - BERBEN, GAIL	FRANKLIN INCOME FUND CLASS C	0.00	8.11	0.00	8.11	88.0	7.14
	ACCOUNT #: LSR011380	BUY 1 Units @0.0000						
03/26/2018	***-**-451O - JOHNSON, GREGORY	FRANKLIN INCOME FUND CLASS C	0.00	8.01	0.00	8.01	88.0	7.05
	ACCOUNT #: LSR011421	BUY 1 Units @0.0000						



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 OVERRIDE TRANSACTIONS (continued)								
 <u>BROKER: KURT GRUENEWALD (continued)</u>								
03/26/2018	***-**-00IN - FRANZ, JEAN	FRANKLIN INCOME FUND CLASS C	0.00	36.06	0.00	36.06	88.0	31.73
	ACCOUNT #: LSR011796	BUY 1 Units @0.0000						
03/26/2018	***-**-366O - GRUENEWALD,	FRANKLIN NEW YORK TAX-FREE INCOME F	0.00	0.15	0.00	0.15	88.0	0.13
	ACCOUNT #: LSR010987	BUY 1 Units @0.0000						
03/26/2018	***-**-065I - LAZIO, THOMAS	FRK GROWTH OPPORTUNITIES CL C	0.00	1.94	0.00	1.94	88.0	1.71
	ACCOUNT #: LSR010979	BUY 1 Units @0.0000						
03/26/2018	***-**-45IO - JOHNSON, GREGORY	FRK GROWTH OPPORTUNITIES CL C	0.00	2.97	0.00	2.97	88.0	2.61
	ACCOUNT #: LSR011421	BUY 1 Units @0.0000						
03/26/2018	***-**-065I - LAZIO, THOMAS	FRNKLN BALANCE SHEET INVTMNT FND -	0.00	8.24	0.00	8.24	88.0	7.25
	ACCOUNT #: LSR010979	BUY 1 Units @0.0000						
03/15/2018	***-**-680I - HARRELL, DARYL	FUNDAMENTAL INVESTORS-C	50.00	0.50	0.00	0.50	88.0	0.44
	ACCOUNT #: 00083996385	BUY 1 Units @63.6300						
03/21/2018	***-**-15IN - PENDRAK, JOHN	GENESIS HEALTHCARE INC CL A COM ISI	1,515.00	14.99	0.00	14.99	88.0	13.19
	ACCOUNT #: LSR010948	SELL 1000 Units @1.5150						
03/26/2018	***-**-128I - BASHANT, THOMAS	GLOBAL FUND A	0.00	2.03	0.00	2.03	88.0	1.79
	ACCOUNT #: LSR011387	BUY 1 Units @0.0000						
03/05/2018	***-**-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						
03/26/2018	***-**-094I - KATRENA L	GLOBAL OPPORTUNITIES FUND C	0.00	15.18	0.00	15.18	88.0	13.36
	ACCOUNT #: LSR011188	BUY 1 Units @0.0000						
03/26/2018	***-**-254I - AUGUSTINE, LINDA	GOLD & SPECIAL MINERALS A	0.00	0.28	0.00	0.28	88.0	0.25
	ACCOUNT #: LSR010846	BUY 1 Units @0.0000						
03/26/2018	***-**-881I - EBERLEY, SUSAN	GOLD & SPECIAL MINERALS A	0.00	0.14	0.00	0.14	88.0	0.12
	ACCOUNT #: LSR010858	BUY 1 Units @0.0000						
03/26/2018	***-**-930I - SANGER, KEVIN	GOLD & SPECIAL MINERALS A	0.00	0.30	0.00	0.30	88.0	0.26
	ACCOUNT #: LSR010941	BUY 1 Units @0.0000						
03/26/2018	***-**-15IN - PENDRAK, JOHN	GOLD & SPECIAL MINERALS A	0.00	1.96	0.00	1.96	88.0	1.72
	ACCOUNT #: LSR010948	BUY 1 Units @0.0000						
03/26/2018	***-**-702J - KOCHEM, MICHAEL	GOLD & SPECIAL MINERALS A	0.00	0.21	0.00	0.21	88.0	0.18
	ACCOUNT #: LSR010955	BUY 1 Units @0.0000						
03/26/2018	***-**-959I - FRANZ, PAUL	GOLD & SPECIAL MINERALS A	0.00	0.52	0.00	0.52	88.0	0.46
	ACCOUNT #: LSR010959	BUY 1 Units @0.0000						



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 OVERRIDE TRANSACTIONS (continued)								
 <u>BROKER: KURT GRUENEWALD (continued)</u>								
03/26/2018	***-**-61IN - EVANS, DOLORES ACCOUNT #: LSR011023	GOLD & SPECIAL MINERALS A BUY 1 Units @0.0000	0.00	0.16	0.00	0.16	88.0	0.14
03/26/2018	***-**-944O - MAYO, DEBORAH ACCOUNT #: LSR011035	GOLD & SPECIAL MINERALS A BUY 1 Units @0.0000	0.00	0.49	0.00	0.49	88.0	0.43
03/26/2018	***-**-96IN - NESSIA, BONNIE ACCOUNT #: LSR011055	GOLD & SPECIAL MINERALS A BUY 1 Units @0.0000	0.00	0.27	0.00	0.27	88.0	0.24
03/26/2018	***-**-13IN - RHYMESTINE, ACCOUNT #: LSR011106	GOLD & SPECIAL MINERALS A BUY 1 Units @0.0000	0.00	0.32	0.00	0.32	88.0	0.28
03/26/2018	***-**-76IO - MCALLISTER, FBO ACCOUNT #: LSR011107	GOLD & SPECIAL MINERALS A BUY 1 Units @0.0000	0.00	0.31	0.00	0.31	88.0	0.27
03/26/2018	***-**-367J - WAGNER, MRS LANT ACCOUNT #: LSR011134	GOLD & SPECIAL MINERALS A BUY 1 Units @0.0000	0.00	0.28	0.00	0.28	88.0	0.25
03/26/2018	***-**-31IO - WILLIAMSON, FBO ACCOUNT #: LSR011172	GOLD & SPECIAL MINERALS A BUY 1 Units @0.0000	0.00	1.25	0.00	1.25	88.0	1.10
03/26/2018	***-**-02IN - BUSHEY, MELISSA ACCOUNT #: LSR011257	GOLD & SPECIAL MINERALS A BUY 1 Units @0.0000	0.00	0.11	0.00	0.11	88.0	0.10
03/26/2018	***-**-62IN - EATON, DAVID ACCOUNT #: LSR011315	GOLD & SPECIAL MINERALS A BUY 1 Units @0.0000	0.00	0.36	0.00	0.36	88.0	0.32
03/26/2018	***-**-949I - ACEE, JOSPEH ACCOUNT #: LSR010908	GOLD & SPECIAL MINERALS FUND B BUY 1 Units @0.0000	0.00	0.55	0.00	0.55	88.0	0.48
03/26/2018	***-**-579I - RHYMESTINE, ACCOUNT #: LSR011082	GOLD & SPECIAL MINERALS FUND B BUY 1 Units @0.0000	0.00	0.50	0.00	0.50	88.0	0.44
03/26/2018	***-**-48IO - ANACKER, FBO MRS ACCOUNT #: LSR011164	GOLD & SPECIAL MINERALS FUND B BUY 1 Units @0.0000	0.00	0.65	0.00	0.65	88.0	0.57
03/26/2018	***-**-664J - PFAFF, GEORGE ACCOUNT #: LSR011184	GOLD & SPECIAL MINERALS FUND B BUY 1 Units @0.0000	0.00	0.53	0.00	0.53	88.0	0.47
03/26/2018	***-**-702I - KOCHEM, MICHAEL ACCOUNT #: LSR010954	HARTFORD CHECKS AND BALANCED FUND C BUY 1 Units @0.0000	0.00	1.22	0.00	1.22	88.0	1.07
03/26/2018	***-**-366S - GRUENEWALD, ACCOUNT #: LSR010990	HARTFORD CHECKS AND BALANCED FUND C BUY 1 Units @0.0000	0.00	0.42	0.00	0.42	88.0	0.37
03/26/2018	***-**-680I - HARRELL, DARYL ACCOUNT #: LSR011321	HARTFORD CHECKS AND BALANCED FUND C BUY 1 Units @0.0000	0.00	1.18	0.00	1.18	88.0	1.04



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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>								
03/26/2018	***-**-30TR - AND SANDRA	HARTFORD CHECKS AND BALANCED FUND C	0.00	2.31	0.00	2.31	88.0	2.03
	ACCOUNT #: LSR011939	BUY 1 Units @0.0000						
03/26/2018	***-**-366S - GRUENEWALD,	HARTFORD INFLATION PLUS FUND CLASS	0.00	0.61	0.00	0.61	88.0	0.54
	ACCOUNT #: LSR010990	BUY 1 Units @0.0000						
03/26/2018	***-**-680I - HARRELL, DARYL	HARTFORD INFLATION PLUS FUND CLASS	0.00	1.58	0.00	1.58	88.0	1.39
	ACCOUNT #: LSR011321	BUY 1 Units @0.0000						
03/26/2018	***-**-881I - EBERLEY, SUSAN	INTERNATIONAL BOND A	0.00	0.64	0.00	0.64	88.0	0.56
	ACCOUNT #: LSR010858	BUY 1 Units @0.0000						
03/26/2018	***-**-761I - EVANS, DOLORES	INTERNATIONAL BOND A	0.00	3.21	0.00	3.21	88.0	2.82
	ACCOUNT #: LSR011024	BUY 1 Units @0.0000						
03/26/2018	***-**-15IN - PENDRAK, JOHN	INTERNATIONAL SMALL COMPANY A	0.00	1.36	0.00	1.36	88.0	1.20
	ACCOUNT #: LSR010948	BUY 1 Units @0.0000						
03/26/2018	***-**-959I - FRANZ, PAUL	INTERNATIONAL SMALL COMPANY A	0.00	1.30	0.00	1.30	88.0	1.14
	ACCOUNT #: LSR010959	BUY 1 Units @0.0000						
03/26/2018	***-**-367J - WAGNER, MRS LANT	INTERNATIONAL SMALL COMPANY A	0.00	1.77	0.00	1.77	88.0	1.56
	ACCOUNT #: LSR011134	BUY 1 Units @0.0000						
03/26/2018	***-**-664J - PFAFF, GEORGE	INTERNATIONAL SMALL COMPANY FUND B	0.00	0.88	0.00	0.88	88.0	0.77
	ACCOUNT #: LSR011184	BUY 1 Units @0.0000						
03/26/2018	***-**-44IO - MAYO, DEBORAH	LORD ABBETT SHORT DURATION INCOME C	0.00	14.78	0.00	14.78	88.0	13.01
	ACCOUNT #: LSR011079	BUY 1 Units @0.0000						
03/26/2018	***-**-579J - RHYMESTINE,	LORD ABBETT SHORT DURATION INCOME C	0.00	8.74	0.00	8.74	88.0	7.69
	ACCOUNT #: LSR011081	BUY 1 Units @0.0000						
03/26/2018	***-**-09IO - BATES, FBO MRS	LORD ABBETT SHORT DURATION INCOME C	0.00	11.58	0.00	11.58	88.0	10.19
	ACCOUNT #: LSR011117	BUY 1 Units @0.0000						
03/26/2018	***-**-89IN - LEE, ROGER	LORD ABBETT SHORT DURATION INCOME C	0.00	22.10	0.00	22.10	88.0	19.45
	ACCOUNT #: LSR011166	BUY 1 Units @0.0000						
03/26/2018	***-**-439J - MCCARTHY, JAMES	LORD ABBETT SHORT DURATION INCOME C	0.00	1.71	0.00	1.71	88.0	1.50
	ACCOUNT #: LSR011205	BUY 1 Units @0.0000						
03/26/2018	***-**-45IO - JOHNSON, GREGORY	LORD ABBETT SHORT DURATION INCOME C	0.00	11.54	0.00	11.54	88.0	10.16
	ACCOUNT #: LSR011421	BUY 1 Units @0.0000						
03/26/2018	***-**-14IO - BUSHEY, MATTHEW	LORD ABBETT SHORT DURATION INCOME C	0.00	8.59	0.00	8.59	88.0	7.56
	ACCOUNT #: LSR011498	BUY 1 Units @0.0000						



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 OVERRIDE TRANSACTIONS (continued) 								
 <u>BROKER: KURT GRUENEWALD (continued)</u> 								
03/22/2018	***-**-15IN - PENDRAK, JOHN	LORD ABBETT VALUE OPPORTUNITY FD CL	6,000.01	13.99	0.00	13.99	88.0	12.31
	ACCOUNT #: LSR010948	BUY 344 Units @17.4400						
03/26/2018	***-**-45IO - JOHNSON, GREGORY	MAIN STREET FUND C	0.00	6.96	0.00	6.96	88.0	6.12
	ACCOUNT #: LSR011421	BUY 1 Units @0.0000						
03/20/2018	***-**-188I - BRADLEY, WAYNE	MFS CONSERVATIVE ALLOCATION CL C	12,000.01	120.00	0.00	120.00	88.0	105.60
	ACCOUNT #: LSR012484	BUY 786 Units @15.2700						
03/15/2018	***-**-213I - GRUENEWALD,	MFS GLOBAL NEW DISCOVERY FUND CL B	100.00	4.00	0.00	4.00	88.0	3.52
	ACCOUNT #: 08190131132	BUY 5 Units @19.3100						
03/19/2018	***-**-53RI - FALCHI, VALERIE	MFS GLOBAL TOTAL RETURN FUND-B	50.00	2.00	0.00	2.00	88.0	1.76
	ACCOUNT #: 08191172002	BUY 3 Units @18.5000						
03/20/2018	***-**-617I - ESCHE, BEVERLY	MFS GLOBAL TOTAL RETURN FUND-B	50.00	2.00	0.00	2.00	88.0	1.76
	ACCOUNT #: 08191154979	BUY 3 Units @18.4700						
03/20/2018	***-**-617I - ESCHE, BEVERLY	MFS INTERNATIONAL NEW DISCOVERY FUN	50.00	2.00	0.00	2.00	88.0	1.76
	ACCOUNT #: 08191154979	BUY 1 Units @34.3000						
03/15/2018	***-**-213I - GRUENEWALD,	MFS NEW DISCOVERY FUND-B	100.00	4.00	0.00	4.00	88.0	3.52
	ACCOUNT #: 08190131132	BUY 4 Units @23.5300						
03/16/2018	***-**-32IO - WITT, DEBORAH	MFS TECHNOLOGY CLASS C	5,000.01	50.00	0.00	50.00	88.0	44.00
	ACCOUNT #: LSR012285	BUY 138 Units @36.1900						
03/15/2018	***-**-213I - GRUENEWALD,	MFS TECHNOLOGY FUND-B	100.00	4.00	0.00	4.00	88.0	3.52
	ACCOUNT #: 08190131132	BUY 3 Units @36.3500						
03/20/2018	***-**-06IN - SATTERLY,	MFS TECHNOLOGY FUND-B	50.00	2.00	0.00	2.00	88.0	1.76
	ACCOUNT #: 08191173302	BUY 1 Units @35.8900						
03/15/2018	***-**-094I - CIRILLO, CARL	MFS UTILITIES FUND-B	35.00	1.40	0.00	1.40	88.0	1.23
	ACCOUNT #: 08190127967	BUY 2 Units @19.4900						
03/15/2018	***-**-606I - LEWIS, TAMARA	MFS UTILITIES FUND-B	50.00	2.00	0.00	2.00	88.0	1.76
	ACCOUNT #: 08191352846	BUY 3 Units @19.4900						
03/20/2018	***-**-617I - ESCHE, BEVERLY	MFS UTILITIES FUND-B	50.00	2.00	0.00	2.00	88.0	1.76
	ACCOUNT #: 08191154979	BUY 3 Units @19.3400						
03/20/2018	***-**-188I - BRADLEY, WAYNE	MFS UTILITIES FUND-C	5,000.01	50.00	0.00	50.00	88.0	44.00
	ACCOUNT #: LSR012484	BUY 259 Units @19.3400						
03/26/2018	***-**-20IO - DEMETRI, AMELIA	MUTUAL GLOBAL DISCOVERY FUND - CLAS	0.00	1.41	0.00	1.41	88.0	1.24
	ACCOUNT #: LSR010995	BUY 1 Units @0.0000						



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 OVERRIDE TRANSACTIONS (continued)								
 <u>BROKER: KURT GRUENEWALD (continued)</u>								
03/16/2018	***-**-851I - BLAKE, JAMES ACCOUNT #: LSR012390	NATIONAL GRID SPON ADR EACH REP 5 O BUY 100 Units @54.6800	5,468.00	40.49	0.00	40.49	88.0	35.63
03/16/2018	***-**-51IR - BLAKE, JAMES ACCOUNT #: LSR012391	NATIONAL GRID SPON ADR EACH REP 5 O BUY 100 Units @54.7350	5,473.50	40.49	0.00	40.49	88.0	35.63
03/15/2018	***-**-680I - HARRELL, DARYL ACCOUNT #: 00083996385	NEW WORLD FUND-C BUY 1 Units @67.1300	50.00	0.50	0.00	0.50	88.0	0.44
03/16/2018	***-**-851I - BLAKE, JAMES ACCOUNT #: LSR012390	NORDIC AMERICAN TANKERS LIMITE COM BUY 1700 Units @2.2700	3,859.00	8.49	0.00	8.49	88.0	7.47
03/05/2018	***-**-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
03/26/2018	***-**-15IN - PENDRAK, JOHN ACCOUNT #: LSR010948	OPP PORT SERIES: ACTIVE ALLOC A BUY 1 Units @0.0000	0.00	1.47	0.00	1.47	88.0	1.29
03/05/2018	***-**-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
03/13/2018	***-**-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
03/13/2018	***-**-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
03/26/2018	***-**-80IN - COBB, JAMES ACCOUNT #: LSR011042	OPPENHEIMER ACTIVE ALLOCATION FUND BUY 1 Units @0.0000	0.00	6.94	0.00	6.94	88.0	6.11
03/26/2018	***-**-44IO - MAYO, DEBORAH ACCOUNT #: LSR011079	OPPENHEIMER ACTIVE ALLOCATION FUND BUY 1 Units @0.0000	0.00	13.68	0.00	13.68	88.0	12.04
03/26/2018	***-**-09IO - BATES, FBO MRS ACCOUNT #: LSR011117	OPPENHEIMER ACTIVE ALLOCATION FUND BUY 1 Units @0.0000	0.00	15.30	0.00	15.30	88.0	13.46
03/26/2018	***-**-11IO - LYNN G. ACCOUNT #: LSR011239	OPPENHEIMER ACTIVE ALLOCATION FUND BUY 1 Units @0.0000	0.00	13.32	0.00	13.32	88.0	11.72
03/26/2018	***-**-45IO - JOHNSON, GREGORY ACCOUNT #: LSR011421	OPPENHEIMER ACTIVE ALLOCATION FUND BUY 1 Units @0.0000	0.00	13.74	0.00	13.74	88.0	12.09
03/26/2018	***-**-28IN - BYWATER, KIM ACCOUNT #: LSR011995	OPPENHEIMER DEV MARKETS FD CLASS C BUY 1 Units @0.0000	0.00	1.22	0.00	1.22	88.0	1.07
03/21/2018	***-**-31IO - WILLIAMSON, FBO ACCOUNT #: LSR011172	OPPENHEIMER DEVELOPING MARKETS CLAS SELL 62 Units @45.5800	2,844.28	1.99	0.00	1.99	88.0	1.75



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 OVERRIDE TRANSACTIONS (continued)								
 <u>BROKER: KURT GRUENEWALD (continued)</u>								
03/26/2018	***-**-881J - EBERLEY, SUSAN ACCOUNT #: LSR010856	OPPENHEIMER DEVELOPING MARKETS CLAS BUY 1 Units @0.0000	0.00	1.51	0.00	1.51	88.0	1.33
03/26/2018	***-**-959I - FRANZ, PAUL ACCOUNT #: LSR010959	OPPENHEIMER DEVELOPING MARKETS CLAS BUY 1 Units @0.0000	0.00	0.32	0.00	0.32	88.0	0.28
03/26/2018	***-**-51IO - CAIN, TIMOTHY ACCOUNT #: LSR011007	OPPENHEIMER DEVELOPING MARKETS CLAS BUY 1 Units @0.0000	0.00	2.22	0.00	2.22	88.0	1.95
03/26/2018	***-**-96IN - NESSIA, BONNIE ACCOUNT #: LSR011055	OPPENHEIMER DEVELOPING MARKETS CLAS BUY 1 Units @0.0000	0.00	0.75	0.00	0.75	88.0	0.66
03/26/2018	***-**-31IO - WILLIAMSON, FBO ACCOUNT #: LSR011172	OPPENHEIMER DEVELOPING MARKETS CLAS BUY 1 Units @0.0000	0.00	0.54	0.00	0.54	88.0	0.48
03/26/2018	***-**-680I - HARRELL, DARYL ACCOUNT #: LSR011321	OPPENHEIMER DEVELOPING MARKETS CLAS BUY 1 Units @0.0000	0.00	0.80	0.00	0.80	88.0	0.70
03/13/2018	***-**-48JT - LEE, DARLENE ACCOUNT #: 00100021715	OPPENHEIMER GLBL REAL ESTATE FUND C BUY 0 Units @0.0000	50.00	0.50	0.00	0.50	88.0	0.44
03/26/2018	***-**-094I - KATRENA L ACCOUNT #: LSR011188	OPPENHEIMER GLBL REAL ESTATE FUND C BUY 1 Units @0.0000	0.00	4.72	0.00	4.72	88.0	4.15
03/26/2018	***-**-031O - MCVOY, ROBERT ACCOUNT #: LSR010916	OPPENHEIMER GLOBAL VALUE FUND CL C BUY 1 Units @0.0000	0.00	4.68	0.00	4.68	88.0	4.12
03/26/2018	***-**-382I - SATTERLY, NEIL ACCOUNT #: LSR010867	OPPENHEIMER GOLD & SPECIAL MINERALS BUY 1 Units @0.0000	0.00	3.56	0.00	3.56	88.0	3.13
03/26/2018	***-**-48IO - CLARK, PATRICK ACCOUNT #: LSR010911	OPPENHEIMER GOLD & SPECIAL MINERALS BUY 1 Units @0.0000	0.00	4.66	0.00	4.66	88.0	4.10
03/26/2018	***-**-31IO - HARTZ, CLAUDIA ACCOUNT #: LSR010915	OPPENHEIMER GOLD & SPECIAL MINERALS BUY 1 Units @0.0000	0.00	0.09	0.00	0.09	88.0	0.08
03/26/2018	***-**-72IN - GAVALO, JULIE ACCOUNT #: LSR010921	OPPENHEIMER GOLD & SPECIAL MINERALS BUY 1 Units @0.0000	0.00	2.05	0.00	2.05	88.0	1.80
03/26/2018	***-**-065I - LAZIO, THOMAS ACCOUNT #: LSR010979	OPPENHEIMER GOLD & SPECIAL MINERALS BUY 1 Units @0.0000	0.00	4.96	0.00	4.96	88.0	4.36
03/26/2018	***-**-420T - DEMETRI, AMELIA ACCOUNT #: LSR010994	OPPENHEIMER GOLD & SPECIAL MINERALS BUY 1 Units @0.0000	0.00	2.13	0.00	2.13	88.0	1.87
03/26/2018	***-**-00IO - LEE, GARY ACCOUNT #: LSR011059	OPPENHEIMER GOLD & SPECIAL MINERALS BUY 1 Units @0.0000	0.00	6.57	0.00	6.57	88.0	5.78



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 OVERRIDE TRANSACTIONS (continued) 								
 <u>BROKER: KURT GRUENEWALD (continued)</u> 								
03/26/2018	***-**-09IO - BATES, FBO MRS ACCOUNT #: LSR011117	OPPENHEIMER GOLD & SPECIAL MINERALS BUY 1 Units @0.0000	0.00	2.15	0.00	2.15	88.0	1.89
03/26/2018	***-**-11IO - LYNN G. ACCOUNT #: LSR011239	OPPENHEIMER GOLD & SPECIAL MINERALS BUY 1 Units @0.0000	0.00	6.16	0.00	6.16	88.0	5.42
03/26/2018	***-**-45IO - JOHNSON, GREGORY ACCOUNT #: LSR011421	OPPENHEIMER GOLD & SPECIAL MINERALS BUY 1 Units @0.0000	0.00	5.03	0.00	5.03	88.0	4.43
03/26/2018	***-**-51IN - GERACE, JOANNE ACCOUNT #: LSR011538	OPPENHEIMER GOLD & SPECIAL MINERALS BUY 1 Units @0.0000	0.00	1.36	0.00	1.36	88.0	1.20
03/05/2018	***-**-633J - ACCOUNT #: 01953330426	OPPENHEIMER INTERNATIONAL DIVERSIFI BUY 0 Units @0.0000	175.00	8.31	0.00	8.31	88.0	7.31
03/13/2018	***-**-48JT - LEE, DARLENE ACCOUNT #: 01971019612	OPPENHEIMER INTERNATIONAL DIVERSIFI BUY 0 Units @0.0000	50.00	0.50	0.00	0.50	88.0	0.44
03/26/2018	***-**-28IN - BYWATER, KIM ACCOUNT #: LSR011995	OPPENHEIMER INTERNATIONAL SMALL COM BUY 1 Units @0.0000	0.00	2.23	0.00	2.23	88.0	1.96
03/26/2018	***-**-567I - FRANZ, ALICE ACCOUNT #: LSR010960	OPPENHEIMER INTL BOND CLASS B BUY 1 Units @0.0000	0.00	2.38	0.00	2.38	88.0	2.09
03/26/2018	***-**-664J - PFAFF, GEORGE ACCOUNT #: LSR011184	OPPENHEIMER INTL BOND CLASS B BUY 1 Units @0.0000	0.00	2.99	0.00	2.99	88.0	2.63
03/26/2018	***-**-881I - EBERLEY, SUSAN ACCOUNT #: LSR010858	OPPENHEIMER MAIN STREET SMALL CAP F BUY 1 Units @0.0000	0.00	1.69	0.00	1.69	88.0	1.49
03/26/2018	***-**-382I - SATTERLY, NEIL ACCOUNT #: LSR010867	OPPENHEIMER RISING DIVIDENDS FUND C BUY 1 Units @0.0000	0.00	24.85	0.00	24.85	88.0	21.87
03/26/2018	***-**-031O - MCVOY, ROBERT ACCOUNT #: LSR010916	OPPENHEIMER RISING DIVIDENDS FUND C BUY 1 Units @0.0000	0.00	5.21	0.00	5.21	88.0	4.58
03/26/2018	***-**-065I - LAZIO, THOMAS ACCOUNT #: LSR010979	OPPENHEIMER RISING DIVIDENDS FUND C BUY 1 Units @0.0000	0.00	9.69	0.00	9.69	88.0	8.53
03/26/2018	***-**-51IN - GERACE, JOANNE ACCOUNT #: LSR011538	OPPENHEIMER RISING DIVIDENDS FUND C BUY 1 Units @0.0000	0.00	7.01	0.00	7.01	88.0	6.17
03/26/2018	***-**-37IO - MCCLUSKY, MARK ACCOUNT #: LSR011579	OPPENHEIMER RISING DIVIDENDS FUND C BUY 1 Units @0.0000	0.00	4.62	0.00	4.62	88.0	4.07
03/26/2018	***-**-714O - LINES, JUDITH ACCOUNT #: LSR011763	OPPENHEIMER RISING DIVIDENDS FUND C BUY 1 Units @0.0000	0.00	6.91	0.00	6.91	88.0	6.08



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 OVERRIDE TRANSACTIONS (continued)								
 <u>BROKER: KURT GRUENEWALD (continued)</u>								
03/26/2018	***-**-28IN - BYWATER, KIM ACCOUNT #: LSR011995	OPPENHEIMER RISING DIVIDENDS FUND C BUY 1 Units @0.0000	0.00	1.48	0.00	1.48	88.0	1.30
03/26/2018	***-**-287J - HINCKLEY, ACCOUNT #: LSR010841	OPPENHEIMER ROCHEST AMT-FREE NY MUN BUY 1 Units @0.0000	0.00	6.43	0.00	6.43	88.0	5.66
03/05/2018	***-**-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
03/26/2018	***-**-254I - AUGUSTINE, LINDA ACCOUNT #: LSR010846	OPPENHEIMER SMALL & MID CAP VALUE F BUY 1 Units @0.0000	0.00	1.36	0.00	1.36	88.0	1.20
03/26/2018	***-**-930I - SANGER, KEVIN ACCOUNT #: LSR010941	OPPENHEIMER SMALL & MID CAP VALUE F BUY 1 Units @0.0000	0.00	0.38	0.00	0.38	88.0	0.33
03/26/2018	***-**-15IN - PENDRAK, JOHN ACCOUNT #: LSR010948	OPPENHEIMER SMALL & MID CAP VALUE F BUY 1 Units @0.0000	0.00	0.86	0.00	0.86	88.0	0.76
03/26/2018	***-**-959I - FRANZ, PAUL ACCOUNT #: LSR010959	OPPENHEIMER SMALL & MID CAP VALUE F BUY 1 Units @0.0000	0.00	1.57	0.00	1.57	88.0	1.38
03/26/2018	***-**-944O - MAYO, DEBORAH ACCOUNT #: LSR011035	OPPENHEIMER SMALL & MID CAP VALUE F BUY 1 Units @0.0000	0.00	0.66	0.00	0.66	88.0	0.58
03/26/2018	***-**-580X - COBB, JAMES ACCOUNT #: LSR011040	OPPENHEIMER SMALL & MID CAP VALUE F BUY 1 Units @0.0000	0.00	0.94	0.00	0.94	88.0	0.83
03/26/2018	***-**-111J - NESSIA, JAMES ACCOUNT #: LSR011054	OPPENHEIMER SMALL & MID CAP VALUE F BUY 1 Units @0.0000	0.00	0.92	0.00	0.92	88.0	0.81
03/26/2018	***-**-13IN - RHYMESTINE, ACCOUNT #: LSR011106	OPPENHEIMER SMALL & MID CAP VALUE F BUY 1 Units @0.0000	0.00	0.45	0.00	0.45	88.0	0.40
03/26/2018	***-**-62IN - EATON, DAVID ACCOUNT #: LSR011315	OPPENHEIMER SMALL & MID CAP VALUE F BUY 1 Units @0.0000	0.00	0.63	0.00	0.63	88.0	0.55
03/26/2018	***-**-80IN - COBB, JAMES ACCOUNT #: LSR011042	OPPENHEIMER STEELPATH MLP ALPHA PLU BUY 1 Units @0.0000	0.00	0.98	0.00	0.98	88.0	0.86
03/26/2018	***-**-837O - BASEMENT ACCOUNT #: LSR011046	OPPENHEIMERSTEELPATH MLP INCOME CL BUY 1 Units @0.0000	0.00	2.63	0.00	2.63	88.0	2.31
03/26/2018	***-**-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
03/19/2018	***-**-31IN - EVANS, THOMAS ACCOUNT #: VP71063020	PACIFIC LIFE SE5-NYB DTCC BUY 0 Units @0.0000	387.00	11.61	0.00	11.61	88.0	10.22



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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> 								
03/22/2018	***-**-0653 - EVANS, ANDREW	PACIFIC LIFE SE5-NYB DTCC	0.00	0.71	0.00	0.71	88.0	0.62
	ACCOUNT #: VP71063010	BUY 0 Units @0.0000						
03/22/2018	***-**-31IN - EVANS, THOMAS	PACIFIC LIFE SE5-NYB DTCC	0.00	1.31	0.00	1.31	88.0	1.15
	ACCOUNT #: VP71063020	BUY 0 Units @0.0000						
03/26/2018	***-**-48IO - CLARK, PATRICK	PORT SERIES: CONS INV C	0.00	15.89	0.00	15.89	88.0	13.98
	ACCOUNT #: LSR010911	BUY 1 Units @0.0000						
03/26/2018	***-**-72IN - GAVALO, JULIE	PORT SERIES: CONS INV C	0.00	20.67	0.00	20.67	88.0	18.19
	ACCOUNT #: LSR010921	BUY 1 Units @0.0000						
03/26/2018	***-**-420T - DEMETRI, AMELIA	PORT SERIES: CONS INV C	0.00	5.48	0.00	5.48	88.0	4.82
	ACCOUNT #: LSR010994	BUY 1 Units @0.0000						
03/26/2018	***-**-73UT - COBB, CHRISTIAN	PORT SERIES: CONS INV C	0.00	4.19	0.00	4.19	88.0	3.69
	ACCOUNT #: LSR011104	BUY 1 Units @0.0000						
03/26/2018	***-**-67UT - COBB,	PORT SERIES: CONS INV C	0.00	4.19	0.00	4.19	88.0	3.69
	ACCOUNT #: LSR011105	BUY 1 Units @0.0000						
03/26/2018	***-**-89IN - LEE, ROGER	PORT SERIES: CONS INV C	0.00	9.04	0.00	9.04	88.0	7.96
	ACCOUNT #: LSR011166	BUY 1 Units @0.0000						
03/26/2018	***-**-52IO - EUSEPI, SUSAN	PORT SERIES: CONS INV C	0.00	11.32	0.00	11.32	88.0	9.96
	ACCOUNT #: LSR011219	BUY 1 Units @0.0000						
03/26/2018	***-**-439I - MCCARTHY, JAMES	PORT SERIES: CONS INV C	0.00	3.77	0.00	3.77	88.0	3.32
	ACCOUNT #: LSR011244	BUY 1 Units @0.0000						
03/26/2018	***-**-80IO - EVANS, RICHARD	PORT SERIES: CONS INV C	0.00	12.09	0.00	12.09	88.0	10.64
	ACCOUNT #: LSR011276	BUY 1 Units @0.0000						
03/26/2018	***-**-664J - PFAFF, GEORGE	PORT SERIES: EQUITY INV FD B	0.00	1.00	0.00	1.00	88.0	0.88
	ACCOUNT #: LSR011184	BUY 1 Units @0.0000						
03/26/2018	***-**-254I - AUGUSTINE, LINDA	PORTFOLIO SERIES: CONS INV A	0.00	1.38	0.00	1.38	88.0	1.21
	ACCOUNT #: LSR010846	BUY 1 Units @0.0000						
03/26/2018	***-**-15IN - PENDRAK, JOHN	PORTFOLIO SERIES: CONS INV A	0.00	2.64	0.00	2.64	88.0	2.32
	ACCOUNT #: LSR010948	BUY 1 Units @0.0000						
03/26/2018	***-**-959I - FRANZ, PAUL	PORTFOLIO SERIES: CONS INV A	0.00	1.91	0.00	1.91	88.0	1.68
	ACCOUNT #: LSR010959	BUY 1 Units @0.0000						
03/26/2018	***-**-51IO - CAIN, TIMOTHY	PORTFOLIO SERIES: CONS INV A	0.00	1.88	0.00	1.88	88.0	1.65
	ACCOUNT #: LSR011007	BUY 1 Units @0.0000						



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 OVERRIDE TRANSACTIONS (continued)								
 <u>BROKER: KURT GRUENEWALD (continued)</u>								
03/26/2018	***-**-761I - EVANS, DOLORES	PORTFOLIO SERIES: CONS INV A	0.00	1.07	0.00	1.07	88.0	0.94
	ACCOUNT #: LSR011024	BUY 1 Units @0.0000						
03/26/2018	***-**-944O - MAYO, DEBORAH	PORTFOLIO SERIES: CONS INV A	0.00	1.58	0.00	1.58	88.0	1.39
	ACCOUNT #: LSR011035	BUY 1 Units @0.0000						
03/26/2018	***-**-861I - SANGER, LAWRENCE	PORTFOLIO SERIES: CONS INV A	0.00	0.61	0.00	0.61	88.0	0.54
	ACCOUNT #: LSR011095	BUY 1 Units @0.0000						
03/26/2018	***-**-13IN - RHYMESTINE,	PORTFOLIO SERIES: CONS INV A	0.00	0.74	0.00	0.74	88.0	0.65
	ACCOUNT #: LSR011106	BUY 1 Units @0.0000						
03/26/2018	***-**-02IN - BUSHEY, MELISSA	PORTFOLIO SERIES: CONS INV A	0.00	0.58	0.00	0.58	88.0	0.51
	ACCOUNT #: LSR011257	BUY 1 Units @0.0000						
03/26/2018	***-**-62IN - EATON, DAVID	PORTFOLIO SERIES: CONS INV A	0.00	1.11	0.00	1.11	88.0	0.98
	ACCOUNT #: LSR011315	BUY 1 Units @0.0000						
03/26/2018	***-**-567I - FRANZ, ALICE	PORTFOLIO SERIES: CONSERVATIVE INVE	0.00	2.93	0.00	2.93	88.0	2.58
	ACCOUNT #: LSR010960	BUY 1 Units @0.0000						
03/26/2018	***-**-664J - PFAFF, GEORGE	PORTFOLIO SERIES: CONSERVATIVE INVE	0.00	3.99	0.00	3.99	88.0	3.51
	ACCOUNT #: LSR011184	BUY 1 Units @0.0000						
03/26/2018	***-**-579I - RHYMESTINE,	PUTNAM UTILITIES GROWTH AND INCOME	0.00	1.24	0.00	1.24	88.0	1.09
	ACCOUNT #: LSR011082	BUY 1 Units @0.0000						
03/26/2018	***-**-861I - SANGER, LAWRENCE	PUTNAM UTILITIES GROWTH AND INCOME	0.00	1.25	0.00	1.25	88.0	1.10
	ACCOUNT #: LSR011095	BUY 1 Units @0.0000						
03/26/2018	***-**-02IN - BUSHEY, MELISSA	PUTNAM UTILITIES GROWTH AND INCOME	0.00	0.30	0.00	0.30	88.0	0.26
	ACCOUNT #: LSR011257	BUY 1 Units @0.0000						
03/26/2018	***-**-22IO - CLINTON, STEPHEN	PUTNAM 746792100	0.00	0.61	0.00	0.61	88.0	0.54
	ACCOUNT #: LSR011684	BUY 1 Units @0.0000						
03/26/2018	***-**-15IN - PENDRAK, JOHN	PUTNAM ABSOLUTE RETURN 700 CL B	0.00	2.14	0.00	2.14	88.0	1.88
	ACCOUNT #: LSR010948	BUY 1 Units @0.0000						
03/26/2018	***-**-169I - EVANS, PAUL	PUTNAM ABSOLUTE RETURN 700 CL B	0.00	1.10	0.00	1.10	88.0	0.97
	ACCOUNT #: LSR011026	BUY 1 Units @0.0000						
03/26/2018	***-**-62IR - ROBBIANO, FBO	PUTNAM ABSOLUTE RETURN 700 CL B	0.00	0.65	0.00	0.65	88.0	0.57
	ACCOUNT #: LSR011195	BUY 1 Units @0.0000						
03/26/2018	***-**-52IO - EUSEPI, SUSAN	PUTNAM ABSOLUTE RETURN 700 CL B	0.00	1.02	0.00	1.02	88.0	0.90
	ACCOUNT #: LSR011219	BUY 1 Units @0.0000						



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 OVERRIDE TRANSACTIONS (continued)								
 <u>BROKER: KURT GRUENEWALD (continued)</u>								
03/26/2018	***-**-02IN - BUSHEY, MELISSA	PUTNAM ABSOLUTE RETURN 700 CL B	0.00	0.10	0.00	0.10	88.0	0.09
	ACCOUNT #: LSR011257	BUY 1 Units @0.0000						
03/26/2018	***-**-62IN - EATON, DAVID	PUTNAM ABSOLUTE RETURN 700 CL B	0.00	0.89	0.00	0.89	88.0	0.78
	ACCOUNT #: LSR011315	BUY 1 Units @0.0000						
03/26/2018	***-**-51IN - GERACE, JOANNE	PUTNAM ABSOLUTE RETURN 700 CL B	0.00	1.00	0.00	1.00	88.0	0.88
	ACCOUNT #: LSR011538	BUY 1 Units @0.0000						
03/26/2018	***-**-235I - AUGUSTINE III,	PUTNAM ABSOLUTE RETURN 700 CL C	0.00	3.94	0.00	3.94	88.0	3.47
	ACCOUNT #: LSR010845	BUY 1 Units @0.0000						
03/26/2018	***-**-382I - SATTERLY, NEIL	PUTNAM ABSOLUTE RETURN 700 CL C	0.00	13.29	0.00	13.29	88.0	11.70
	ACCOUNT #: LSR010867	BUY 1 Units @0.0000						
03/26/2018	***-**-48IO - CLARK, PATRICK	PUTNAM ABSOLUTE RETURN 700 CL C	0.00	8.50	0.00	8.50	88.0	7.48
	ACCOUNT #: LSR010911	BUY 1 Units @0.0000						
03/26/2018	***-**-72IN - GAVALO, JULIE	PUTNAM ABSOLUTE RETURN 700 CL C	0.00	8.43	0.00	8.43	88.0	7.42
	ACCOUNT #: LSR010921	BUY 1 Units @0.0000						
03/26/2018	***-**-065I - LAZIO, THOMAS	PUTNAM ABSOLUTE RETURN 700 CL C	0.00	6.59	0.00	6.59	88.0	5.80
	ACCOUNT #: LSR010979	BUY 1 Units @0.0000						
03/26/2018	***-**-09IO - BATES, FBO MRS	PUTNAM ABSOLUTE RETURN 700 CL C	0.00	8.26	0.00	8.26	88.0	7.27
	ACCOUNT #: LSR011117	BUY 1 Units @0.0000						
03/26/2018	***-**-11IO - LYNN G.	PUTNAM ABSOLUTE RETURN 700 CL C	0.00	12.51	0.00	12.51	88.0	11.01
	ACCOUNT #: LSR011239	BUY 1 Units @0.0000						
03/26/2018	***-**-80IO - EVANS, RICHARD	PUTNAM ABSOLUTE RETURN 700 CL C	0.00	7.00	0.00	7.00	88.0	6.16
	ACCOUNT #: LSR011276	BUY 1 Units @0.0000						
03/26/2018	***-**-45IO - JOHNSON, GREGORY	PUTNAM ABSOLUTE RETURN 700 CL C	0.00	8.37	0.00	8.37	88.0	7.37
	ACCOUNT #: LSR011421	BUY 1 Units @0.0000						
03/26/2018	***-**-628I - SANGER, SANDRA	PUTNAM ABSOLUTE RETURN 700-A	0.00	0.69	0.00	0.69	88.0	0.61
	ACCOUNT #: LSR010942	BUY 1 Units @0.0000						
03/26/2018	***-**-944O - MAYO, DEBORAH	PUTNAM ABSOLUTE RETURN 700-A	0.00	1.62	0.00	1.62	88.0	1.43
	ACCOUNT #: LSR011035	BUY 1 Units @0.0000						
03/26/2018	***-**-63TR - EVANS, AUDREY J	PUTNAM ABSOLUTE RETURN 700-A	0.00	2.10	0.00	2.10	88.0	1.85
	ACCOUNT #: LSR011036	BUY 1 Units @0.0000						
03/26/2018	***-**-579I - RHYMESTINE,	PUTNAM ABSOLUTE RETURN 700-A	0.00	0.76	0.00	0.76	88.0	0.67
	ACCOUNT #: LSR011082	BUY 1 Units @0.0000						



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 OVERRIDE TRANSACTIONS (continued) 								
 <u>BROKER: KURT GRUENEWALD (continued)</u> 								
03/26/2018	***-**-861I - SANGER, LAWRENCE	PUTNAM ABSOLUTE RETURN 700-A	0.00	1.22	0.00	1.22	88.0	1.07
	ACCOUNT #: LSR011095	BUY 1 Units @0.0000						
03/26/2018	***-**-02IN - BUSHEY, MELISSA	PUTNAM ABSOLUTE RETURN 700-A	0.00	0.24	0.00	0.24	88.0	0.21
	ACCOUNT #: LSR011257	BUY 1 Units @0.0000						
03/26/2018	***-**-653J - KOCHER, CLINTON	PUTNAM ABSOLUTE RETURN 700-A	0.00	0.70	0.00	0.70	88.0	0.62
	ACCOUNT #: LSR011298	BUY 1 Units @0.0000						
03/26/2018	***-**-22IO - CLINTON, STEPHEN	PUTNAM ABSOLUTE RETURN 700-A	0.00	0.63	0.00	0.63	88.0	0.55
	ACCOUNT #: LSR011684	BUY 1 Units @0.0000						
03/26/2018	***-**-22IO - CLINTON, STEPHEN	PUTNAM AMERICAN GOVERNMENT INCOME F	0.00	0.57	0.00	0.57	88.0	0.50
	ACCOUNT #: LSR011684	BUY 1 Units @0.0000						
03/26/2018	***-**-31IO - HARTZ, CLAUDIA	PUTNAM ASSET ALLOC BALANCED-C	0.00	4.34	0.00	4.34	88.0	3.82
	ACCOUNT #: LSR010915	BUY 1 Units @0.0000						
03/26/2018	***-**-31IO - HARTZ, CLAUDIA	PUTNAM CAPITAL SPECTRUM FD CL B	0.00	0.63	0.00	0.63	88.0	0.55
	ACCOUNT #: LSR010915	BUY 1 Units @0.0000						
03/26/2018	***-**-930I - SANGER, KEVIN	PUTNAM CAPITAL SPECTRUM FD CL B	0.00	0.88	0.00	0.88	88.0	0.77
	ACCOUNT #: LSR010941	BUY 1 Units @0.0000						
03/26/2018	***-**-366S - GRUENEWALD,	PUTNAM CAPITAL SPECTRUM FD CL B	0.00	0.76	0.00	0.76	88.0	0.67
	ACCOUNT #: LSR010990	BUY 1 Units @0.0000						
03/26/2018	***-**-51IO - CAIN, TIMOTHY	PUTNAM CAPITAL SPECTRUM FD CL B	0.00	1.45	0.00	1.45	88.0	1.28
	ACCOUNT #: LSR011007	BUY 1 Units @0.0000						
03/26/2018	***-**-579I - RHYMESTINE,	PUTNAM CAPITAL SPECTRUM FD CL B	0.00	1.32	0.00	1.32	88.0	1.16
	ACCOUNT #: LSR011082	BUY 1 Units @0.0000						
03/26/2018	***-**-73UT - COBB, CHRISTIAN	PUTNAM CAPITAL SPECTRUM FD CL B	0.00	1.44	0.00	1.44	88.0	1.27
	ACCOUNT #: LSR011104	BUY 1 Units @0.0000						
03/26/2018	***-**-67UT - COBB,	PUTNAM CAPITAL SPECTRUM FD CL B	0.00	1.44	0.00	1.44	88.0	1.27
	ACCOUNT #: LSR011105	BUY 1 Units @0.0000						
03/26/2018	***-**-992J - CORNACCHIA	PUTNAM CAPITAL SPECTRUM FD CL B	0.00	0.44	0.00	0.44	88.0	0.39
	ACCOUNT #: LSR011157	BUY 1 Units @0.0000						
03/26/2018	***-**-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						
03/26/2018	***-**-21IO - RADELL, SANDRA	PUTNAM CAPITAL SPECTRUM FD CL B	0.00	1.45	0.00	1.45	88.0	1.28
	ACCOUNT #: LSR011392	BUY 1 Units @0.0000						



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 OVERRIDE TRANSACTIONS (continued)								
 <u>BROKER: KURT GRUENEWALD (continued)</u>								
03/26/2018	***-**-22IO - CLINTON, STEPHEN	PUTNAM CAPITAL SPECTRUM FUND CL A	0.00	0.71	0.00	0.71	88.0	0.62
	ACCOUNT #: LSR011684	BUY 1 Units @0.0000						
03/26/2018	***-**-382I - SATTERLY, NEIL	PUTNAM CAPITAL SPECTRUM FUND CL C	0.00	7.00	0.00	7.00	88.0	6.16
	ACCOUNT #: LSR010867	BUY 1 Units @0.0000						
03/26/2018	***-**-980I - ACEE, ELIZABETH	PUTNAM CAPITAL SPECTRUM FUND CL C	0.00	11.14	0.00	11.14	88.0	9.80
	ACCOUNT #: LSR010885	BUY 1 Units @0.0000						
03/26/2018	***-**-44IO - MAYO, DEBORAH	PUTNAM CAPITAL SPECTRUM FUND CL C	0.00	7.47	0.00	7.47	88.0	6.57
	ACCOUNT #: LSR011079	BUY 1 Units @0.0000						
03/26/2018	***-**-09IO - BATES, FBO MRS	PUTNAM CAPITAL SPECTRUM FUND CL C	0.00	15.95	0.00	15.95	88.0	14.04
	ACCOUNT #: LSR011117	BUY 1 Units @0.0000						
03/26/2018	***-**-094I - KATRENA L	PUTNAM CAPITAL SPECTRUM FUND CL C	0.00	6.26	0.00	6.26	88.0	5.51
	ACCOUNT #: LSR011188	BUY 1 Units @0.0000						
03/26/2018	***-**-11IO - LYNN G.	PUTNAM CAPITAL SPECTRUM FUND CL C	0.00	15.17	0.00	15.17	88.0	13.35
	ACCOUNT #: LSR011239	BUY 1 Units @0.0000						
03/26/2018	***-**-45IO - JOHNSON, GREGORY	PUTNAM CAPITAL SPECTRUM FUND CL C	0.00	11.52	0.00	11.52	88.0	10.14
	ACCOUNT #: LSR011421	BUY 1 Units @0.0000						
03/26/2018	***-**-235I - AUGUSTINE III,	PUTNAM COMP	0.00	5.24	0.00	5.24	88.0	4.61
	ACCOUNT #: LSR010845	BUY 1 Units @0.0000						
03/26/2018	***-**-881I - EBERLEY, SUSAN	PUTNAM COMP	0.00	4.48	0.00	4.48	88.0	3.94
	ACCOUNT #: LSR010858	BUY 1 Units @0.0000						
03/26/2018	***-**-48IO - CLARK, PATRICK	PUTNAM COMP	0.00	7.19	0.00	7.19	88.0	6.33
	ACCOUNT #: LSR010911	BUY 1 Units @0.0000						
03/26/2018	***-**-72IN - GAVALO, JULIE	PUTNAM COMP	0.00	6.20	0.00	6.20	88.0	5.46
	ACCOUNT #: LSR010921	BUY 1 Units @0.0000						
03/26/2018	***-**-959J - FRANZ, PAUL	PUTNAM COMP	0.00	9.34	0.00	9.34	88.0	8.22
	ACCOUNT #: LSR010958	BUY 1 Units @0.0000						
03/26/2018	***-**-065I - LAZIO, THOMAS	PUTNAM COMP	0.00	5.32	0.00	5.32	88.0	4.68
	ACCOUNT #: LSR010979	BUY 1 Units @0.0000						
03/26/2018	***-**-420T - DEMETRI, AMELIA	PUTNAM COMP	0.00	4.75	0.00	4.75	88.0	4.18
	ACCOUNT #: LSR010994	BUY 1 Units @0.0000						
03/26/2018	***-**-169I - EVANS, PAUL	PUTNAM COMP	0.00	3.81	0.00	3.81	88.0	3.35
	ACCOUNT #: LSR011026	BUY 1 Units @0.0000						



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 OVERRIDE TRANSACTIONS (continued)								
 <u>BROKER: KURT GRUENEWALD (continued)</u>								
03/26/2018	***-**-80IN - COBB, JAMES	PUTNAM COMP	0.00	6.88	0.00	6.88	88.0	6.05
	ACCOUNT #: LSR011042	BUY 1 Units @0.0000						
03/26/2018	***-**-00IO - LEE, GARY	PUTNAM COMP	0.00	8.44	0.00	8.44	88.0	7.43
	ACCOUNT #: LSR011059	BUY 1 Units @0.0000						
03/26/2018	***-**-09IO - BATES, FBO MRS	PUTNAM COMP	0.00	8.44	0.00	8.44	88.0	7.43
	ACCOUNT #: LSR011117	BUY 1 Units @0.0000						
03/26/2018	***-**-89IN - LEE, ROGER	PUTNAM COMP	0.00	4.73	0.00	4.73	88.0	4.16
	ACCOUNT #: LSR011166	BUY 1 Units @0.0000						
03/26/2018	***-**-094I - KATRENA L	PUTNAM COMP	0.00	6.62	0.00	6.62	88.0	5.83
	ACCOUNT #: LSR011188	BUY 1 Units @0.0000						
03/26/2018	***-**-11IO - LYNN G.	PUTNAM COMP	0.00	8.74	0.00	8.74	88.0	7.69
	ACCOUNT #: LSR011239	BUY 1 Units @0.0000						
03/26/2018	***-**-80IO - EVANS, RICHARD	PUTNAM COMP	0.00	4.32	0.00	4.32	88.0	3.80
	ACCOUNT #: LSR011276	BUY 1 Units @0.0000						
03/26/2018	***-**-376I - BERBEN, GAIL	PUTNAM COMP	0.00	8.53	0.00	8.53	88.0	7.51
	ACCOUNT #: LSR011380	BUY 1 Units @0.0000						
03/26/2018	***-**-45IO - JOHNSON, GREGORY	PUTNAM COMP	0.00	13.29	0.00	13.29	88.0	11.70
	ACCOUNT #: LSR011421	BUY 1 Units @0.0000						
03/26/2018	***-**-14IO - BUSHEY, MATTHEW	PUTNAM COMP	0.00	8.61	0.00	8.61	88.0	7.58
	ACCOUNT #: LSR011498	BUY 1 Units @0.0000						
03/26/2018	***-**-37IO - MCCLUSKY, MARK	PUTNAM COMP	0.00	6.34	0.00	6.34	88.0	5.58
	ACCOUNT #: LSR011579	BUY 1 Units @0.0000						
03/26/2018	***-**-86IN - LEE, KEVIN	PUTNAM COMP	0.00	7.18	0.00	7.18	88.0	6.32
	ACCOUNT #: LSR011613	BUY 1 Units @0.0000						
03/26/2018	***-**-633J -	PUTNAM COMP	0.00	1.94	0.00	1.94	88.0	1.71
	ACCOUNT #: LSR011732	BUY 1 Units @0.0000						
03/26/2018	***-**-51IO - SCALISE, MARY	PUTNAM COMP	0.00	0.73	0.00	0.73	88.0	0.64
	ACCOUNT #: LSR011837	BUY 1 Units @0.0000						
03/26/2018	***-**-949I - ACEE, JOSPEH	PUTNAM CONV INCOME-GROWTH-B	0.00	2.01	0.00	2.01	88.0	1.77
	ACCOUNT #: LSR010908	BUY 1 Units @0.0000						
03/26/2018	***-**-31IO - HARTZ, CLAUDIA	PUTNAM CONV INCOME-GROWTH-B	0.00	0.59	0.00	0.59	88.0	0.52
	ACCOUNT #: LSR010915	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>								
03/26/2018	***-**-567I - FRANZ, ALICE	PUTNAM CONV INCOME-GROWTH-B	0.00	2.61	0.00	2.61	88.0	2.30
	ACCOUNT #: LSR010960	BUY 1 Units @0.0000						
03/26/2018	***-**-366S - GRUENEWALD,	PUTNAM CONV INCOME-GROWTH-B	0.00	0.71	0.00	0.71	88.0	0.62
	ACCOUNT #: LSR010990	BUY 1 Units @0.0000						
03/26/2018	***-**-580X - COBB, JAMES	PUTNAM CONV INCOME-GROWTH-B	0.00	1.43	0.00	1.43	88.0	1.26
	ACCOUNT #: LSR011040	BUY 1 Units @0.0000						
03/26/2018	***-**-579I - RHYMESTINE,	PUTNAM CONV INCOME-GROWTH-B	0.00	0.99	0.00	0.99	88.0	0.87
	ACCOUNT #: LSR011082	BUY 1 Units @0.0000						
03/26/2018	***-**-506J - CURRIERE JR, MR	PUTNAM CONV INCOME-GROWTH-B	0.00	0.94	0.00	0.94	88.0	0.83
	ACCOUNT #: LSR011121	BUY 1 Units @0.0000						
03/26/2018	***-**-48IO - ANACKER, FBO MRS	PUTNAM CONV INCOME-GROWTH-B	0.00	1.04	0.00	1.04	88.0	0.92
	ACCOUNT #: LSR011164	BUY 1 Units @0.0000						
03/26/2018	***-**-64IO - PFAFF, GEORGE	PUTNAM CONV INCOME-GROWTH-B	0.00	1.23	0.00	1.23	88.0	1.08
	ACCOUNT #: LSR011185	BUY 1 Units @0.0000						
03/26/2018	***-**-62IR - ROBBIANO, FBO	PUTNAM CONV INCOME-GROWTH-B	0.00	0.63	0.00	0.63	88.0	0.55
	ACCOUNT #: LSR011195	BUY 1 Units @0.0000						
03/26/2018	***-**-653I - KOCHER, CLINTON	PUTNAM CONV INCOME-GROWTH-B	0.00	2.22	0.00	2.22	88.0	1.95
	ACCOUNT #: LSR011300	BUY 1 Units @0.0000						
03/26/2018	***-**-00IO - LEE, GARY	PUTNAM CONVERTIBLE SECURITIES CL C	0.00	12.38	0.00	12.38	88.0	10.89
	ACCOUNT #: LSR011059	BUY 1 Units @0.0000						
03/26/2018	***-**-11IO - LYNN G.	PUTNAM CONVERTIBLE SECURITIES CL C	0.00	15.60	0.00	15.60	88.0	13.73
	ACCOUNT #: LSR011239	BUY 1 Units @0.0000						
03/26/2018	***-**-1320 - EVANS, THOMAS	PUTNAM DIVERSIFIED INCOME CLASS C	0.00	6.79	0.00	6.79	88.0	5.98
	ACCOUNT #: LSR011074	BUY 1 Units @0.0000						
03/26/2018	***-**-11IO - LYNN G.	PUTNAM DIVERSIFIED INCOME CLASS C	0.00	13.25	0.00	13.25	88.0	11.66
	ACCOUNT #: LSR011239	BUY 1 Units @0.0000						
03/26/2018	***-**-881J - EBERLEY, SUSAN	PUTNAM DIVERSIFIED INCOME-B	0.00	2.05	0.00	2.05	88.0	1.80
	ACCOUNT #: LSR010856	BUY 1 Units @0.0000						
03/26/2018	***-**-949I - ACEE, JOSPEH	PUTNAM DIVERSIFIED INCOME-B	0.00	0.79	0.00	0.79	88.0	0.70
	ACCOUNT #: LSR010908	BUY 1 Units @0.0000						
03/26/2018	***-**-31IO - HARTZ, CLAUDIA	PUTNAM DIVERSIFIED INCOME-B	0.00	0.60	0.00	0.60	88.0	0.53
	ACCOUNT #: LSR010915	BUY 1 Units @0.0000						



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 OVERRIDE TRANSACTIONS (continued)								
 <u>BROKER: KURT GRUENEWALD (continued)</u>								
03/26/2018	***-**-702I - KOCHEM, MICHAEL	PUTNAM DIVERSIFIED INCOME-B	0.00	1.72	0.00	1.72	88.0	1.51
	ACCOUNT #: LSR010954	BUY 1 Units @0.0000						
03/26/2018	***-**-960J - MASTRANGELO,	PUTNAM DIVERSIFIED INCOME-B	0.00	1.87	0.00	1.87	88.0	1.65
	ACCOUNT #: LSR010966	BUY 1 Units @0.0000						
03/26/2018	***-**-51IO - CAIN, TIMOTHY	PUTNAM DIVERSIFIED INCOME-B	0.00	1.16	0.00	1.16	88.0	1.02
	ACCOUNT #: LSR011007	BUY 1 Units @0.0000						
03/26/2018	***-**-761I - EVANS, DOLORES	PUTNAM DIVERSIFIED INCOME-B	0.00	10.00	0.00	10.00	88.0	8.80
	ACCOUNT #: LSR011024	BUY 1 Units @0.0000						
03/26/2018	***-**-63TR - EVANS, AUDREY J	PUTNAM DIVERSIFIED INCOME-B	0.00	2.32	0.00	2.32	88.0	2.04
	ACCOUNT #: LSR011036	BUY 1 Units @0.0000						
03/26/2018	***-**-579I - RHYMESTINE,	PUTNAM DIVERSIFIED INCOME-B	0.00	1.08	0.00	1.08	88.0	0.95
	ACCOUNT #: LSR011082	BUY 1 Units @0.0000						
03/26/2018	***-**-861I - SANGER, LAWRENCE	PUTNAM DIVERSIFIED INCOME-B	0.00	1.38	0.00	1.38	88.0	1.21
	ACCOUNT #: LSR011095	BUY 1 Units @0.0000						
03/26/2018	***-**-31IO - WILLIAMSON, FBO	PUTNAM DIVERSIFIED INCOME-B	0.00	5.88	0.00	5.88	88.0	5.17
	ACCOUNT #: LSR011172	BUY 1 Units @0.0000						
03/26/2018	***-**-680I - HARRELL, DARYL	PUTNAM DIVERSIFIED INCOME-B	0.00	0.63	0.00	0.63	88.0	0.55
	ACCOUNT #: LSR011321	BUY 1 Units @0.0000						
03/26/2018	***-**-960J - MASTRANGELO,	PUTNAM EQUITY INCOME FUND-B	0.00	2.33	0.00	2.33	88.0	2.05
	ACCOUNT #: LSR010966	BUY 1 Units @0.0000						
03/26/2018	***-**-664J - PFAFF, GEORGE	PUTNAM EQUITY INCOME FUND-B	0.00	2.32	0.00	2.32	88.0	2.04
	ACCOUNT #: LSR011184	BUY 1 Units @0.0000						
03/26/2018	***-**-169I - EVANS, PAUL	PUTNAM EQUITY SPECTRUM FD CL B	0.00	0.90	0.00	0.90	88.0	0.79
	ACCOUNT #: LSR011026	BUY 1 Units @0.0000						
03/26/2018	***-**-881J - EBERLEY, SUSAN	PUTNAM EQUITY SPECTRUM FD CL C	0.00	10.41	0.00	10.41	88.0	9.16
	ACCOUNT #: LSR010856	BUY 1 Units @0.0000						
03/26/2018	***-**-48IO - CLARK, PATRICK	PUTNAM EQUITY SPECTRUM FD CL C	0.00	22.21	0.00	22.21	88.0	19.54
	ACCOUNT #: LSR010911	BUY 1 Units @0.0000						
03/26/2018	***-**-031O - MCVOY, ROBERT	PUTNAM EQUITY SPECTRUM FD CL C	0.00	7.78	0.00	7.78	88.0	6.85
	ACCOUNT #: LSR010916	BUY 1 Units @0.0000						
03/26/2018	***-**-72IN - GAVALO, JULIE	PUTNAM EQUITY SPECTRUM FD CL C	0.00	14.66	0.00	14.66	88.0	12.90
	ACCOUNT #: LSR010921	BUY 1 Units @0.0000						



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 OVERRIDE TRANSACTIONS (continued)								
 <u>BROKER: KURT GRUENEWALD (continued)</u>								
03/26/2018	***-**-959I - FRANZ, PAUL ACCOUNT #: LSR010959	PUTNAM EQUITY SPECTRUM FD CL C BUY 1 Units @0.0000	0.00	9.04	0.00	9.04	88.0	7.96
03/26/2018	***-**-065I - LAZIO, THOMAS ACCOUNT #: LSR010979	PUTNAM EQUITY SPECTRUM FD CL C BUY 1 Units @0.0000	0.00	5.96	0.00	5.96	88.0	5.24
03/26/2018	***-**-73TR - WESTCOTT IRRVOC ACCOUNT #: LSR011001	PUTNAM EQUITY SPECTRUM FD CL C BUY 1 Units @0.0000	0.00	6.31	0.00	6.31	88.0	5.55
03/26/2018	***-**-80IN - COBB, JAMES ACCOUNT #: LSR011042	PUTNAM EQUITY SPECTRUM FD CL C BUY 1 Units @0.0000	0.00	7.33	0.00	7.33	88.0	6.45
03/26/2018	***-**-44IO - MAYO, DEBORAH ACCOUNT #: LSR011079	PUTNAM EQUITY SPECTRUM FD CL C BUY 1 Units @0.0000	0.00	7.47	0.00	7.47	88.0	6.57
03/26/2018	***-**-09IO - BATES, FBO MRS ACCOUNT #: LSR011117	PUTNAM EQUITY SPECTRUM FD CL C BUY 1 Units @0.0000	0.00	7.79	0.00	7.79	88.0	6.86
03/26/2018	***-**-89IN - LEE, ROGER ACCOUNT #: LSR011166	PUTNAM EQUITY SPECTRUM FD CL C BUY 1 Units @0.0000	0.00	11.04	0.00	11.04	88.0	9.72
03/26/2018	***-**-473J - HUSTON, ACCOUNT #: LSR011228	PUTNAM EQUITY SPECTRUM FD CL C BUY 1 Units @0.0000	0.00	8.40	0.00	8.40	88.0	7.39
03/26/2018	***-**-11IO - LYNN G. ACCOUNT #: LSR011239	PUTNAM EQUITY SPECTRUM FD CL C BUY 1 Units @0.0000	0.00	9.51	0.00	9.51	88.0	8.37
03/26/2018	***-**-80IO - EVANS, RICHARD ACCOUNT #: LSR011276	PUTNAM EQUITY SPECTRUM FD CL C BUY 1 Units @0.0000	0.00	8.15	0.00	8.15	88.0	7.17
03/26/2018	***-**-07IO - FAMOLARO, JAMES ACCOUNT #: LSR011280	PUTNAM EQUITY SPECTRUM FD CL C BUY 1 Units @0.0000	0.00	5.05	0.00	5.05	88.0	4.44
03/26/2018	***-**-094I - KATRENA L ACCOUNT #: LSR011188	PUTNAM EUROPE EQUITY CLASS C BUY 1 Units @0.0000	0.00	4.14	0.00	4.14	88.0	3.64
03/26/2018	***-**-808J - GORMAN, RANDY ACCOUNT #: LSR011087	PUTNAM GLOBAL CONSUMER FD A BUY 1 Units @0.0000	0.00	0.27	0.00	0.27	88.0	0.24
03/26/2018	***-**-949I - ACEE, JOSPEH ACCOUNT #: LSR010908	PUTNAM GLOBAL CONSUMER FUND CL B BUY 1 Units @0.0000	0.00	1.86	0.00	1.86	88.0	1.64
03/26/2018	***-**-31IO - HARTZ, CLAUDIA ACCOUNT #: LSR010915	PUTNAM GLOBAL CONSUMER FUND CL B BUY 1 Units @0.0000	0.00	0.45	0.00	0.45	88.0	0.40
03/26/2018	***-**-567I - FRANZ, ALICE ACCOUNT #: LSR010960	PUTNAM GLOBAL CONSUMER FUND CL B BUY 1 Units @0.0000	0.00	3.09	0.00	3.09	88.0	2.72



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 OVERRIDE TRANSACTIONS (continued)								
 <u>BROKER: KURT GRUENEWALD (continued)</u>								
03/26/2018	***-**-366I - GRUENEWALD, ACCOUNT #: LSR010989	PUTNAM GLOBAL CONSUMER FUND CL B BUY 1 Units @0.0000	0.00	1.00	0.00	1.00	88.0	0.88
03/26/2018	***-**-51IO - CAIN, TIMOTHY ACCOUNT #: LSR011007	PUTNAM GLOBAL CONSUMER FUND CL B BUY 1 Units @0.0000	0.00	1.26	0.00	1.26	88.0	1.11
03/26/2018	***-**-761I - EVANS, DOLORES ACCOUNT #: LSR011024	PUTNAM GLOBAL CONSUMER FUND CL B BUY 1 Units @0.0000	0.00	1.84	0.00	1.84	88.0	1.62
03/26/2018	***-**-944O - MAYO, DEBORAH ACCOUNT #: LSR011035	PUTNAM GLOBAL CONSUMER FUND CL B BUY 1 Units @0.0000	0.00	0.99	0.00	0.99	88.0	0.87
03/26/2018	***-**-63TR - EVANS, AUDREY J ACCOUNT #: LSR011036	PUTNAM GLOBAL CONSUMER FUND CL B BUY 1 Units @0.0000	0.00	1.43	0.00	1.43	88.0	1.26
03/26/2018	***-**-306X - COBB, CHERRYL ACCOUNT #: LSR011037	PUTNAM GLOBAL CONSUMER FUND CL B BUY 1 Units @0.0000	0.00	1.15	0.00	1.15	88.0	1.01
03/26/2018	***-**-579J - RHYMESTINE, ACCOUNT #: LSR011081	PUTNAM GLOBAL CONSUMER FUND CL B BUY 1 Units @0.0000	0.00	1.12	0.00	1.12	88.0	0.99
03/26/2018	***-**-326I - GRANDE, FBO MR ACCOUNT #: LSR011091	PUTNAM GLOBAL CONSUMER FUND CL B BUY 1 Units @0.0000	0.00	1.22	0.00	1.22	88.0	1.07
03/26/2018	***-**-506J - CURRIERE JR, MR ACCOUNT #: LSR011121	PUTNAM GLOBAL CONSUMER FUND CL B BUY 1 Units @0.0000	0.00	1.38	0.00	1.38	88.0	1.21
03/26/2018	***-**-367J - WAGNER, MRS LANT ACCOUNT #: LSR011134	PUTNAM GLOBAL CONSUMER FUND CL B BUY 1 Units @0.0000	0.00	2.02	0.00	2.02	88.0	1.78
03/26/2018	***-**-48IO - ANACKER, FBO MRS ACCOUNT #: LSR011164	PUTNAM GLOBAL CONSUMER FUND CL B BUY 1 Units @0.0000	0.00	1.76	0.00	1.76	88.0	1.55
03/26/2018	***-**-64IO - PFAFF, GEORGE ACCOUNT #: LSR011185	PUTNAM GLOBAL CONSUMER FUND CL B BUY 1 Units @0.0000	0.00	1.13	0.00	1.13	88.0	0.99
03/26/2018	***-**-62IR - ROBBIANO, FBO ACCOUNT #: LSR011195	PUTNAM GLOBAL CONSUMER FUND CL B BUY 1 Units @0.0000	0.00	1.13	0.00	1.13	88.0	0.99
03/26/2018	***-**-66IO - RUDD, MICHAEL ACCOUNT #: LSR011268	PUTNAM GLOBAL CONSUMER FUND CL B BUY 1 Units @0.0000	0.00	0.06	0.00	0.06	88.0	0.05
03/26/2018	***-**-653I - KOCHER, CLINTON ACCOUNT #: LSR011300	PUTNAM GLOBAL CONSUMER FUND CL B BUY 1 Units @0.0000	0.00	3.16	0.00	3.16	88.0	2.78
03/26/2018	***-**-680I - HARRELL, DARYL ACCOUNT #: LSR011321	PUTNAM GLOBAL CONSUMER FUND CL B BUY 1 Units @0.0000	0.00	1.49	0.00	1.49	88.0	1.31



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<u> OVERRIDE TRANSACTIONS (continued) </u>								
<u>BROKER: KURT GRUENEWALD (continued)</u>								
03/26/2018	***-**-21IO - RADELL, SANDRA ACCOUNT #: LSR011392	PUTNAM GLOBAL CONSUMER FUND CL B BUY 1 Units @0.0000	0.00	1.38	0.00	1.38	88.0	1.21
03/26/2018	***-**-12IR - GRUENEWALD, ACCOUNT #: LSR011614	PUTNAM GLOBAL CONSUMER FUND CL B BUY 1 Units @0.0000	0.00	0.60	0.00	0.60	88.0	0.53
03/26/2018	***-**-03IO - MASTRANGELO, ACCOUNT #: LSR011679	PUTNAM GLOBAL CONSUMER FUND CL B BUY 1 Units @0.0000	0.00	1.84	0.00	1.84	88.0	1.62
03/26/2018	***-**-45IN - WILLIAMSON, ACCOUNT #: LSR011751	PUTNAM GLOBAL CONSUMER FUND CL B BUY 1 Units @0.0000	0.00	0.75	0.00	0.75	88.0	0.66
03/26/2018	***-**-065I - LAZIO, THOMAS ACCOUNT #: LSR010979	PUTNAM GLOBAL CONSUMER FUND CL C BUY 1 Units @0.0000	0.00	4.73	0.00	4.73	88.0	4.16
03/26/2018	***-**-44IO - MAYO, DEBORAH ACCOUNT #: LSR011079	PUTNAM GLOBAL CONSUMER FUND CL C BUY 1 Units @0.0000	0.00	11.37	0.00	11.37	88.0	10.01
03/26/2018	***-**-89IN - LEE, ROGER ACCOUNT #: LSR011166	PUTNAM GLOBAL CONSUMER FUND CL C BUY 1 Units @0.0000	0.00	6.99	0.00	6.99	88.0	6.15
03/26/2018	***-**-11IO - LYNN G. ACCOUNT #: LSR011239	PUTNAM GLOBAL CONSUMER FUND CL C BUY 1 Units @0.0000	0.00	9.56	0.00	9.56	88.0	8.41
03/26/2018	***-**-37IO - MCCLUSKY, MARK ACCOUNT #: LSR011579	PUTNAM GLOBAL CONSUMER FUND CL C BUY 1 Units @0.0000	0.00	6.76	0.00	6.76	88.0	5.95
03/26/2018	***-**-51IO - SCALISE, MARY ACCOUNT #: LSR011837	PUTNAM GLOBAL CONSUMER FUND CL C BUY 1 Units @0.0000	0.00	0.10	0.00	0.10	88.0	0.09
03/26/2018	***-**-702I - KOCHEM, MICHAEL ACCOUNT #: LSR010954	PUTNAM GLOBAL HEALTH CARE FD-A BUY 1 Units @0.0000	0.00	1.30	0.00	1.30	88.0	1.14
03/26/2018	***-**-22IO - CLINTON, STEPHEN ACCOUNT #: LSR011684	PUTNAM GLOBAL HEALTH CARE FD-A BUY 1 Units @0.0000	0.00	0.90	0.00	0.90	88.0	0.79
03/26/2018	***-**-579I - RHYMESTINE, ACCOUNT #: LSR011082	PUTNAM GLOBAL NAT RESOURCES-A BUY 1 Units @0.0000	0.00	1.08	0.00	1.08	88.0	0.95
03/26/2018	***-**-680I - HARRELL, DARYL ACCOUNT #: LSR011321	PUTNAM GLOBAL NAT RESOURCES-A BUY 1 Units @0.0000	0.00	0.11	0.00	0.11	88.0	0.10
03/26/2018	***-**-31IO - HARTZ, CLAUDIA ACCOUNT #: LSR010915	PUTNAM GLOBAL NAT RESOURCES-B BUY 1 Units @0.0000	0.00	0.83	0.00	0.83	88.0	0.73
03/26/2018	***-**-567I - FRANZ, ALICE ACCOUNT #: LSR010960	PUTNAM GLOBAL NAT RESOURCES-B BUY 1 Units @0.0000	0.00	0.65	0.00	0.65	88.0	0.57



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 OVERRIDE TRANSACTIONS (continued)								
 BROKER: KURT GRUENEWALD (continued)								
03/26/2018	***-**-664J - PFAFF, GEORGE	PUTNAM GLOBAL NAT RESOURCES-B	0.00	0.58	0.00	0.58	88.0	0.51
	ACCOUNT #: LSR011184	BUY 1 Units @0.0000						
03/26/2018	***-**-63TR - EVANS, AUDREY J	PUTNAM GLOBAL SECTOR FUND CL A	0.00	2.45	0.00	2.45	88.0	2.16
	ACCOUNT #: LSR011036	BUY 1 Units @0.0000						
03/26/2018	***-**-567I - FRANZ, ALICE	PUTNAM GLOBAL TECHNOLOGY CL B	0.00	1.95	0.00	1.95	88.0	1.72
	ACCOUNT #: LSR010960	BUY 1 Units @0.0000						
03/26/2018	***-**-944O - MAYO, DEBORAH	PUTNAM GLOBAL TECHNOLOGY CL B	0.00	0.85	0.00	0.85	88.0	0.75
	ACCOUNT #: LSR011035	BUY 1 Units @0.0000						
03/26/2018	***-**-63TR - EVANS, AUDREY J	PUTNAM GLOBAL TELECOMMUNICATIONS B	0.00	2.28	0.00	2.28	88.0	2.01
	ACCOUNT #: LSR011036	BUY 1 Units @0.0000						
03/26/2018	***-**-62IR - ROBBIANO, FBO	PUTNAM GLOBAL TELECOMMUNICATIONS B	0.00	0.56	0.00	0.56	88.0	0.49
	ACCOUNT #: LSR011195	BUY 1 Units @0.0000						
03/15/2018	***-**-63IN - LASCALA, DEBORAH	PUTNAM GLOBAL UTILITIES CL C	100.00	1.00	0.00	1.00	88.0	0.88
	ACCOUNT #: 00426855622	BUY 8 Units @12.9600						
03/26/2018	***-**-382I - SATTERLY, NEIL	PUTNAM GLOBAL UTILITIES CL C	0.00	4.76	0.00	4.76	88.0	4.19
	ACCOUNT #: LSR010867	BUY 1 Units @0.0000						
03/26/2018	***-**-881I - EBERLEY, SUSAN	PUTNAM GROWTH OPPORTUNITIES FUND CL	0.00	8.52	0.00	8.52	88.0	7.50
	ACCOUNT #: LSR010858	BUY 1 Units @0.0000						
03/26/2018	***-**-382I - SATTERLY, NEIL	PUTNAM GROWTH OPPORTUNITIES FUND CL	0.00	9.02	0.00	9.02	88.0	7.94
	ACCOUNT #: LSR010867	BUY 1 Units @0.0000						
03/26/2018	***-**-420T - DEMETRI, AMELIA	PUTNAM GROWTH OPPORTUNITIES FUND CL	0.00	8.87	0.00	8.87	88.0	7.81
	ACCOUNT #: LSR010994	BUY 1 Units @0.0000						
03/26/2018	***-**-169I - EVANS, PAUL	PUTNAM GROWTH OPPORTUNITIES FUND CL	0.00	6.04	0.00	6.04	88.0	5.32
	ACCOUNT #: LSR011026	BUY 1 Units @0.0000						
03/26/2018	***-**-80IN - COBB, JAMES	PUTNAM GROWTH OPPORTUNITIES FUND CL	0.00	7.71	0.00	7.71	88.0	6.78
	ACCOUNT #: LSR011042	BUY 1 Units @0.0000						
03/26/2018	***-**-14IO - BUSHEY, MATTHEW	PUTNAM GROWTH OPPORTUNITIES FUND CL	0.00	10.99	0.00	10.99	88.0	9.67
	ACCOUNT #: LSR011498	BUY 1 Units @0.0000						
03/26/2018	***-**-51IO - CAIN, TIMOTHY	PUTNAM GROWTH OPPORTUNITIES FUND CL	0.00	2.26	0.00	2.26	88.0	1.99
	ACCOUNT #: LSR011007	BUY 1 Units @0.0000						
03/26/2018	***-**-653I - KOCHEM, CLINTON	PUTNAM GROWTH OPPORTUNITIES FUND CL	0.00	2.70	0.00	2.70	88.0	2.38
	ACCOUNT #: LSR011300	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>								
03/26/2018	***-**-13IO - ROTH, KAREN	PUTNAM GROWTH OPPORTUNITIES FUND CL	0.00	1.41	0.00	1.41	88.0	1.24
	ACCOUNT #: LSR011484	BUY 1 Units @0.0000						
03/26/2018	***-**-31IO - HARTZ, CLAUDIA	PUTNAM HEALTH SCIENCES TR-B	0.00	0.82	0.00	0.82	88.0	0.72
	ACCOUNT #: LSR010915	BUY 1 Units @0.0000						
03/26/2018	***-**-930I - SANGER, KEVIN	PUTNAM HEALTH SCIENCES TR-B	0.00	0.64	0.00	0.64	88.0	0.56
	ACCOUNT #: LSR010941	BUY 1 Units @0.0000						
03/26/2018	***-**-567I - FRANZ, ALICE	PUTNAM HEALTH SCIENCES TR-B	0.00	2.30	0.00	2.30	88.0	2.02
	ACCOUNT #: LSR010960	BUY 1 Units @0.0000						
03/26/2018	***-**-960J - MASTRANGELO,	PUTNAM HEALTH SCIENCES TR-B	0.00	1.17	0.00	1.17	88.0	1.03
	ACCOUNT #: LSR010966	BUY 1 Units @0.0000						
03/26/2018	***-**-761I - EVANS, DOLORES	PUTNAM HEALTH SCIENCES TR-B	0.00	1.90	0.00	1.90	88.0	1.67
	ACCOUNT #: LSR011024	BUY 1 Units @0.0000						
03/26/2018	***-**-944O - MAYO, DEBORAH	PUTNAM HEALTH SCIENCES TR-B	0.00	1.58	0.00	1.58	88.0	1.39
	ACCOUNT #: LSR011035	BUY 1 Units @0.0000						
03/26/2018	***-**-579I - RHYMESTINE,	PUTNAM HEALTH SCIENCES TR-B	0.00	2.07	0.00	2.07	88.0	1.82
	ACCOUNT #: LSR011082	BUY 1 Units @0.0000						
03/26/2018	***-**-326I - GRANDE, FBO MR	PUTNAM HEALTH SCIENCES TR-B	0.00	1.26	0.00	1.26	88.0	1.11
	ACCOUNT #: LSR011091	BUY 1 Units @0.0000						
03/26/2018	***-**-48IO - ANACKER, FBO MRS	PUTNAM HEALTH SCIENCES TR-B	0.00	1.96	0.00	1.96	88.0	1.72
	ACCOUNT #: LSR011164	BUY 1 Units @0.0000						
03/26/2018	***-**-664J - PFAFF, GEORGE	PUTNAM HEALTH SCIENCES TR-B	0.00	1.93	0.00	1.93	88.0	1.70
	ACCOUNT #: LSR011184	BUY 1 Units @0.0000						
03/26/2018	***-**-64IO - PFAFF, GEORGE	PUTNAM HEALTH SCIENCES TR-B	0.00	0.76	0.00	0.76	88.0	0.67
	ACCOUNT #: LSR011185	BUY 1 Units @0.0000						
03/26/2018	***-**-62IR - ROBBIANO, FBO	PUTNAM HEALTH SCIENCES TR-B	0.00	0.84	0.00	0.84	88.0	0.74
	ACCOUNT #: LSR011195	BUY 1 Units @0.0000						
03/26/2018	***-**-52IO - EUSEPI, SUSAN	PUTNAM HEALTH SCIENCES TR-B	0.00	1.01	0.00	1.01	88.0	0.89
	ACCOUNT #: LSR011219	BUY 1 Units @0.0000						
03/26/2018	***-**-480J - EVANS, RICHARD	PUTNAM HEALTH SCIENCES TR-B	0.00	0.96	0.00	0.96	88.0	0.84
	ACCOUNT #: LSR011274	BUY 1 Units @0.0000						
03/26/2018	***-**-653I - KOCHEM, CLINTON	PUTNAM HEALTH SCIENCES TR-B	0.00	2.82	0.00	2.82	88.0	2.48
	ACCOUNT #: LSR011300	BUY 1 Units @0.0000						



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 OVERRIDE TRANSACTIONS (continued)								
 <u>BROKER: KURT GRUENEWALD (continued)</u>								
03/26/2018	***-**-21IO - RADELL, SANDRA ACCOUNT #: LSR011392	PUTNAM HEALTH SCIENCES TR-B BUY 1 Units @0.0000	0.00	1.64	0.00	1.64	88.0	1.44
03/26/2018	***-**-197I - GAMBINO, ANDREW ACCOUNT #: LSR011465	PUTNAM HEALTH SCIENCES TR-B BUY 1 Units @0.0000	0.00	0.18	0.00	0.18	88.0	0.16
03/26/2018	***-**-53IN - EVANS, ANDREW ACCOUNT #: LSR011483	PUTNAM HEALTH SCIENCES TR-B BUY 1 Units @0.0000	0.00	0.47	0.00	0.47	88.0	0.41
03/26/2018	***-**-13IO - ROTH, KAREN ACCOUNT #: LSR011484	PUTNAM HEALTH SCIENCES TR-B BUY 1 Units @0.0000	0.00	1.33	0.00	1.33	88.0	1.17
03/26/2018	***-**-38IO - BROWN, TYLER ACCOUNT #: LSR011602	PUTNAM HEALTH SCIENCES TR-B BUY 1 Units @0.0000	0.00	0.74	0.00	0.74	88.0	0.65
03/26/2018	***-**-12IR - GRUENEWALD, ACCOUNT #: LSR011614	PUTNAM HEALTH SCIENCES TR-B BUY 1 Units @0.0000	0.00	0.64	0.00	0.64	88.0	0.56
03/26/2018	***-**-03IO - MASTRANGELO, ACCOUNT #: LSR011679	PUTNAM HEALTH SCIENCES TR-B BUY 1 Units @0.0000	0.00	1.13	0.00	1.13	88.0	0.99
03/26/2018	***-**-45IN - WILLIAMSON, ACCOUNT #: LSR011751	PUTNAM HEALTH SCIENCES TR-B BUY 1 Units @0.0000	0.00	0.64	0.00	0.64	88.0	0.56
03/26/2018	***-**-22IO - CLINTON, STEPHEN ACCOUNT #: LSR011684	PUTNAM INTL GROWTH & INC-A BUY 1 Units @0.0000	0.00	1.03	0.00	1.03	88.0	0.91
03/26/2018	***-**-382K - SATTERLY, NEIL ACCOUNT #: LSR010875	PUTNAM INVESTORS CLASS C BUY 1 Units @0.0000	0.00	4.12	0.00	4.12	88.0	3.63
03/26/2018	***-**-653J - KOCHEM, CLINTON ACCOUNT #: LSR011298	PUTNAM INVESTORS CLASS C BUY 1 Units @0.0000	0.00	4.12	0.00	4.12	88.0	3.63
03/26/2018	***-**-22IO - CLINTON, STEPHEN ACCOUNT #: LSR011684	PUTNAM SMALL CAP VALUE FUND-A BUY 1 Units @0.0000	0.00	1.25	0.00	1.25	88.0	1.10
03/26/2018	***-**-63TR - EVANS, AUDREY J ACCOUNT #: LSR011036	PUTNAM U.S. GOVT INCOME TR-B BUY 1 Units @0.0000	0.00	0.82	0.00	0.82	88.0	0.72
03/21/2018	***-**-31IO - WILLIAMSON, FBO ACCOUNT #: LSR011172	PUTNAM UTILITIES GR & INC-B SELL 62 Units @12.9600	799.99	1.99	0.00	1.99	88.0	1.75
03/26/2018	***-**-254I - AUGUSTINE, LINDA ACCOUNT #: LSR010846	PUTNAM UTILITIES GR & INC-B BUY 1 Units @0.0000	0.00	0.97	0.00	0.97	88.0	0.85
03/26/2018	***-**-881J - EBERLEY, SUSAN ACCOUNT #: LSR010856	PUTNAM UTILITIES GR & INC-B BUY 1 Units @0.0000	0.00	1.37	0.00	1.37	88.0	1.21



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 OVERRIDE TRANSACTIONS (continued)								
 <u>BROKER: KURT GRUENEWALD (continued)</u>								
03/26/2018	***-**-949I - ACEE, JOSPEH ACCOUNT #: LSR010908	PUTNAM UTILITIES GR & INC-B BUY 1 Units @0.0000	0.00	0.61	0.00	0.61	88.0	0.54
03/26/2018	***-**-31IO - HARTZ, CLAUDIA ACCOUNT #: LSR010915	PUTNAM UTILITIES GR & INC-B BUY 1 Units @0.0000	0.00	0.45	0.00	0.45	88.0	0.40
03/26/2018	***-**-930I - SANGER, KEVIN ACCOUNT #: LSR010941	PUTNAM UTILITIES GR & INC-B BUY 1 Units @0.0000	0.00	0.86	0.00	0.86	88.0	0.76
03/26/2018	***-**-15IN - PENDRAK, JOHN ACCOUNT #: LSR010948	PUTNAM UTILITIES GR & INC-B BUY 1 Units @0.0000	0.00	1.89	0.00	1.89	88.0	1.66
03/26/2018	***-**-959I - FRANZ, PAUL ACCOUNT #: LSR010959	PUTNAM UTILITIES GR & INC-B BUY 1 Units @0.0000	0.00	1.51	0.00	1.51	88.0	1.33
03/26/2018	***-**-960J - MASTRANGELO, ACCOUNT #: LSR010966	PUTNAM UTILITIES GR & INC-B BUY 1 Units @0.0000	0.00	1.84	0.00	1.84	88.0	1.62
03/26/2018	***-**-51IO - CAIN, TIMOTHY ACCOUNT #: LSR011007	PUTNAM UTILITIES GR & INC-B BUY 1 Units @0.0000	0.00	1.02	0.00	1.02	88.0	0.90
03/26/2018	***-**-761I - EVANS, DOLORES ACCOUNT #: LSR011024	PUTNAM UTILITIES GR & INC-B BUY 1 Units @0.0000	0.00	1.18	0.00	1.18	88.0	1.04
03/26/2018	***-**-96IN - NESSIA, BONNIE ACCOUNT #: LSR011055	PUTNAM UTILITIES GR & INC-B BUY 1 Units @0.0000	0.00	1.39	0.00	1.39	88.0	1.22
03/26/2018	***-**-31IO - WILLIAMSON, FBO ACCOUNT #: LSR011172	PUTNAM UTILITIES GR & INC-B BUY 1 Units @0.0000	0.00	1.75	0.00	1.75	88.0	1.54
03/26/2018	***-**-02IN - BUSHEY, MELISSA ACCOUNT #: LSR011257	PUTNAM UTILITIES GR & INC-B BUY 1 Units @0.0000	0.00	0.12	0.00	0.12	88.0	0.11
03/26/2018	***-**-680I - HARRELL, DARYL ACCOUNT #: LSR011321	QUEST INTERNATIONAL VALUE FUND, INC BUY 1 Units @0.0000	0.00	0.63	0.00	0.63	88.0	0.55
03/26/2018	***-**-15IN - PENDRAK, JOHN ACCOUNT #: LSR010948	QUEST OPPORTUNITY VALUE A BUY 1 Units @0.0000	0.00	0.75	0.00	0.75	88.0	0.66
03/26/2018	***-**-254I - AUGUSTINE, LINDA ACCOUNT #: LSR010846	REAL ESTATE FUND A BUY 1 Units @0.0000	0.00	0.94	0.00	0.94	88.0	0.83
03/26/2018	***-**-881J - EBERLEY, SUSAN ACCOUNT #: LSR010856	REAL ESTATE FUND A BUY 1 Units @0.0000	0.00	0.89	0.00	0.89	88.0	0.78
03/26/2018	***-**-15IN - PENDRAK, JOHN ACCOUNT #: LSR010948	REAL ESTATE FUND A BUY 1 Units @0.0000	0.00	0.71	0.00	0.71	88.0	0.62



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 OVERRIDE TRANSACTIONS (continued)								
 <u>BROKER: KURT GRUENEWALD (continued)</u>								
03/26/2018	***-***-702I - KOCHER, MICHAEL	REAL ESTATE FUND A	0.00	0.82	0.00	0.82	88.0	0.72
	ACCOUNT #: LSR010954	BUY 1 Units @0.0000						
03/26/2018	***-***-51IO - CAIN, TIMOTHY	REAL ESTATE FUND A	0.00	0.97	0.00	0.97	88.0	0.85
	ACCOUNT #: LSR011007	BUY 1 Units @0.0000						
03/26/2018	***-***-761I - EVANS, DOLORES	REAL ESTATE FUND A	0.00	2.43	0.00	2.43	88.0	2.14
	ACCOUNT #: LSR011024	BUY 1 Units @0.0000						
03/26/2018	***-***-944O - MAYO, DEBORAH	REAL ESTATE FUND A	0.00	0.51	0.00	0.51	88.0	0.45
	ACCOUNT #: LSR011035	BUY 1 Units @0.0000						
03/26/2018	***-***-111J - NESSIA, JAMES	REAL ESTATE FUND A	0.00	0.84	0.00	0.84	88.0	0.74
	ACCOUNT #: LSR011054	BUY 1 Units @0.0000						
03/26/2018	***-***-326I - GRANDE, FBO MR	REAL ESTATE FUND A	0.00	0.92	0.00	0.92	88.0	0.81
	ACCOUNT #: LSR011091	BUY 1 Units @0.0000						
03/26/2018	***-***-861I - SANGER, LAWRENCE	REAL ESTATE FUND A	0.00	1.18	0.00	1.18	88.0	1.04
	ACCOUNT #: LSR011095	BUY 1 Units @0.0000						
03/26/2018	***-***-367J - WAGNER, MRS LANT	REAL ESTATE FUND A	0.00	1.07	0.00	1.07	88.0	0.94
	ACCOUNT #: LSR011134	BUY 1 Units @0.0000						
03/26/2018	***-***-31IO - WILLIAMSON, FBO	REAL ESTATE FUND A	0.00	1.36	0.00	1.36	88.0	1.20
	ACCOUNT #: LSR011172	BUY 1 Units @0.0000						
03/26/2018	***-***-62IN - EATON, DAVID	REAL ESTATE FUND A	0.00	0.51	0.00	0.51	88.0	0.45
	ACCOUNT #: LSR011315	BUY 1 Units @0.0000						
03/26/2018	***-***-949I - ACEE, JOSPEH	REAL ESTATE FUND B	0.00	1.11	0.00	1.11	88.0	0.98
	ACCOUNT #: LSR010908	BUY 1 Units @0.0000						
03/26/2018	***-***-567I - FRANZ, ALICE	REAL ESTATE FUND B	0.00	1.73	0.00	1.73	88.0	1.52
	ACCOUNT #: LSR010960	BUY 1 Units @0.0000						
03/26/2018	***-***-506J - CURRIERE JR, MR	REAL ESTATE FUND B	0.00	0.42	0.00	0.42	88.0	0.37
	ACCOUNT #: LSR011121	BUY 1 Units @0.0000						
03/26/2018	***-***-48IO - ANACKER, FBO MRS	REAL ESTATE FUND B	0.00	1.27	0.00	1.27	88.0	1.12
	ACCOUNT #: LSR011164	BUY 1 Units @0.0000						
03/26/2018	***-***-664J - PFAFF, GEORGE	REAL ESTATE FUND B	0.00	1.21	0.00	1.21	88.0	1.06
	ACCOUNT #: LSR011184	BUY 1 Units @0.0000						
03/26/2018	***-***-64IO - PFAFF, GEORGE	REAL ESTATE FUND B	0.00	1.29	0.00	1.29	88.0	1.14
	ACCOUNT #: LSR011185	BUY 1 Units @0.0000						



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 OVERRIDE TRANSACTIONS (continued)								
 <u>BROKER: KURT GRUENEWALD (continued)</u>								
03/26/2018	***-**-62IR - ROBBIANO, FBO	REAL ESTATE FUND B	0.00	0.37	0.00	0.37	88.0	0.33
	ACCOUNT #: LSR011195	BUY 1 Units @0.0000						
03/26/2018	***-**-653I - KOCHEM, CLINTON	REAL ESTATE FUND B	0.00	1.23	0.00	1.23	88.0	1.08
	ACCOUNT #: LSR011300	BUY 1 Units @0.0000						
03/26/2018	***-**-382I - SATTERLY, NEIL	REAL ESTATE FUND C	0.00	8.57	0.00	8.57	88.0	7.54
	ACCOUNT #: LSR010867	BUY 1 Units @0.0000						
03/26/2018	***-**-48IO - CLARK, PATRICK	REAL ESTATE FUND C	0.00	6.37	0.00	6.37	88.0	5.61
	ACCOUNT #: LSR010911	BUY 1 Units @0.0000						
03/26/2018	***-**-72IN - GAVALO, JULIE	REAL ESTATE FUND C	0.00	6.90	0.00	6.90	88.0	6.07
	ACCOUNT #: LSR010921	BUY 1 Units @0.0000						
03/26/2018	***-**-065I - LAZIO, THOMAS	REAL ESTATE FUND C	0.00	5.10	0.00	5.10	88.0	4.49
	ACCOUNT #: LSR010979	BUY 1 Units @0.0000						
03/26/2018	***-**-73TR - WESTCOTT IRRVOC	REAL ESTATE FUND C	0.00	6.75	0.00	6.75	88.0	5.94
	ACCOUNT #: LSR011001	BUY 1 Units @0.0000						
03/26/2018	***-**-73TR - WESTCOTT IRRVOC	REAL ESTATE FUND C	0.00	1.82	0.00	1.82	88.0	1.60
	ACCOUNT #: LSR011008	BUY 1 Units @0.0000						
03/26/2018	***-**-00IO - LEE, GARY	REAL ESTATE FUND C	0.00	8.23	0.00	8.23	88.0	7.24
	ACCOUNT #: LSR011059	BUY 1 Units @0.0000						
03/26/2018	***-**-52IO - EUSEPI, SUSAN	REAL ESTATE FUND C	0.00	3.92	0.00	3.92	88.0	3.45
	ACCOUNT #: LSR011219	BUY 1 Units @0.0000						
03/26/2018	***-**-11IO - LYNN G.	REAL ESTATE FUND C	0.00	10.71	0.00	10.71	88.0	9.42
	ACCOUNT #: LSR011239	BUY 1 Units @0.0000						
03/26/2018	***-**-80IO - EVANS, RICHARD	REAL ESTATE FUND C	0.00	3.38	0.00	3.38	88.0	2.97
	ACCOUNT #: LSR011276	BUY 1 Units @0.0000						
03/26/2018	***-**-45IO - JOHNSON, GREGORY	REAL ESTATE FUND C	0.00	5.80	0.00	5.80	88.0	5.10
	ACCOUNT #: LSR011421	BUY 1 Units @0.0000						
03/26/2018	***-**-633J -	REAL ESTATE FUND C	0.00	1.82	0.00	1.82	88.0	1.60
	ACCOUNT #: LSR011732	BUY 1 Units @0.0000						
03/26/2018	***-**-287J - HINCKLEY,	RISING DIVIDENDS FUND A	0.00	0.51	0.00	0.51	88.0	0.45
	ACCOUNT #: LSR010841	BUY 1 Units @0.0000						
03/26/2018	***-**-254I - AUGUSTINE, LINDA	RISING DIVIDENDS FUND A	0.00	1.41	0.00	1.41	88.0	1.24
	ACCOUNT #: LSR010846	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
 OVERRIDE TRANSACTIONS (continued)								
 BROKER: KURT GRUENEWALD (continued)								
03/26/2018	***-**-881I - EBERLEY, SUSAN ACCOUNT #: LSR010858	RISING DIVIDENDS FUND A BUY 1 Units @0.0000	0.00	0.83	0.00	0.83	88.0	0.73
03/26/2018	***-**-702I - KOCHER, MICHAEL ACCOUNT #: LSR010954	RISING DIVIDENDS FUND A BUY 1 Units @0.0000	0.00	2.13	0.00	2.13	88.0	1.87
03/26/2018	***-**-959I - FRANZ, PAUL ACCOUNT #: LSR010959	RISING DIVIDENDS FUND A BUY 1 Units @0.0000	0.00	1.01	0.00	1.01	88.0	0.89
03/26/2018	***-**-366I - GRUENEWALD, ACCOUNT #: LSR010989	RISING DIVIDENDS FUND A BUY 1 Units @0.0000	0.00	1.21	0.00	1.21	88.0	1.06
03/26/2018	***-**-761I - EVANS, DOLORES ACCOUNT #: LSR011024	RISING DIVIDENDS FUND A BUY 1 Units @0.0000	0.00	8.00	0.00	8.00	88.0	7.04
03/26/2018	***-**-944O - MAYO, DEBORAH ACCOUNT #: LSR011035	RISING DIVIDENDS FUND A BUY 1 Units @0.0000	0.00	1.03	0.00	1.03	88.0	0.91
03/26/2018	***-**-580X - COBB, JAMES ACCOUNT #: LSR011040	RISING DIVIDENDS FUND A BUY 1 Units @0.0000	0.00	1.91	0.00	1.91	88.0	1.68
03/26/2018	***-**-96IN - NESSIA, BONNIE ACCOUNT #: LSR011055	RISING DIVIDENDS FUND A BUY 1 Units @0.0000	0.00	2.14	0.00	2.14	88.0	1.88
03/26/2018	***-**-326I - GRANDE, FBO MR ACCOUNT #: LSR011091	RISING DIVIDENDS FUND A BUY 1 Units @0.0000	0.00	1.79	0.00	1.79	88.0	1.58
03/26/2018	***-**-861I - SANGER, LAWRENCE ACCOUNT #: LSR011095	RISING DIVIDENDS FUND A BUY 1 Units @0.0000	0.00	1.98	0.00	1.98	88.0	1.74
03/26/2018	***-**-13IN - RHYMESTINE, ACCOUNT #: LSR011106	RISING DIVIDENDS FUND A BUY 1 Units @0.0000	0.00	1.04	0.00	1.04	88.0	0.92
03/26/2018	***-**-664J - PFAFF, GEORGE ACCOUNT #: LSR011184	RISING DIVIDENDS FUND A BUY 1 Units @0.0000	0.00	0.74	0.00	0.74	88.0	0.65
03/26/2018	***-**-02IN - BUSHEY, MELISSA ACCOUNT #: LSR011257	RISING DIVIDENDS FUND A BUY 1 Units @0.0000	0.00	0.83	0.00	0.83	88.0	0.73
03/26/2018	***-**-62IN - EATON, DAVID ACCOUNT #: LSR011315	RISING DIVIDENDS FUND A BUY 1 Units @0.0000	0.00	1.13	0.00	1.13	88.0	0.99
03/26/2018	***-**-680I - HARRELL, DARYL ACCOUNT #: LSR011321	RISING DIVIDENDS FUND A BUY 1 Units @0.0000	0.00	0.98	0.00	0.98	88.0	0.86
03/26/2018	***-**-579I - RHYMESTINE, ACCOUNT #: LSR011082	RISING DIVIDENDS FUND, INC. B BUY 1 Units @0.0000	0.00	2.41	0.00	2.41	88.0	2.12



COMMISSION STATEMENT

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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>								
03/26/2018	***-**-96IN - NESSIA, BONNIE ACCOUNT #: LSR011055	ROCH. LIMITED TERM NEW YORK MUNICI BUY 1 Units @0.0000	0.00	1.12	0.00	1.12	88.0	0.99
03/26/2018	***-**-13IN - RHYMESTINE, ACCOUNT #: LSR011106	ROCH. LIMITED TERM NEW YORK MUNICI BUY 1 Units @0.0000	0.00	0.84	0.00	0.84	88.0	0.74
03/26/2018	***-**-02IN - BUSHEY, MELISSA ACCOUNT #: LSR011257	ROCH. LIMITED TERM NEW YORK MUNICI BUY 1 Units @0.0000	0.00	0.33	0.00	0.33	88.0	0.29
03/26/2018	***-**-80IN - COBB, JAMES ACCOUNT #: LSR011042	ROCHESTER NATIONAL MUNICIPALS A BUY 1 Units @0.0000	0.00	2.32	0.00	2.32	88.0	2.04
03/26/2018	***-**-567I - FRANZ, ALICE ACCOUNT #: LSR010960	SMALL- & MID- CAP VALUE B BUY 1 Units @0.0000	0.00	2.13	0.00	2.13	88.0	1.87
03/26/2018	***-**-579I - RHYMESTINE, ACCOUNT #: LSR011082	SMALL- & MID- CAP VALUE B BUY 1 Units @0.0000	0.00	2.02	0.00	2.02	88.0	1.78
03/26/2018	***-**-664J - PFAFF, GEORGE ACCOUNT #: LSR011184	SMALL- & MID- CAP VALUE B BUY 1 Units @0.0000	0.00	0.65	0.00	0.65	88.0	0.57
03/26/2018	***-**-065I - LAZIO, THOMAS ACCOUNT #: LSR010979	SMALL- & MID- CAP VALUE FUND C BUY 1 Units @0.0000	0.00	4.27	0.00	4.27	88.0	3.76
03/26/2018	***-**-28IN - BYWATER, KIM ACCOUNT #: LSR011995	SMALL- & MID- CAP VALUE FUND C BUY 1 Units @0.0000	0.00	1.65	0.00	1.65	88.0	1.45
03/16/2018	***-**-851I - BLAKE, JAMES ACCOUNT #: LSR012390	STEIN MART INC COM BUY 2000 Units @1.5870	3,174.00	41.99	0.00	41.99	88.0	36.95
03/19/2018	***-**-79IR - RICHARD R. ACCOUNT #: LSR011240	STEIN MART INC COM BUY 3300 Units @1.4090	4,649.70	49.49	0.00	49.49	88.0	43.55
03/21/2018	***-**-930I - SANGER, KEVIN ACCOUNT #: LSR010941	STEIN MART INC COM BUY 4000 Units @1.4400	5,760.00	59.49	0.00	59.49	88.0	52.35
03/21/2018	***-**-15IN - PENDRAK, JOHN ACCOUNT #: LSR010948	STEIN MART INC COM BUY 4000 Units @1.4300	5,720.00	79.49	0.00	79.49	88.0	69.95
03/21/2018	***-**-80IN - COBB, JAMES ACCOUNT #: LSR011042	STEIN MART INC COM BUY 4300 Units @1.4280	6,140.40	49.49	0.00	49.49	88.0	43.55
03/21/2018	***-**-09IO - BATES, FBO MRS ACCOUNT #: LSR011117	STEIN MART INC COM BUY 2000 Units @1.4200	2,840.00	31.99	0.00	31.99	88.0	28.15
03/21/2018	***-**-31IO - WILLIAMSON, FBO ACCOUNT #: LSR011172	STEIN MART INC COM BUY 2500 Units @1.4200	3,550.00	49.49	0.00	49.49	88.0	43.55



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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>								
03/21/2018	***-**-851I - BLAKE, JAMES	STEIN MART INC COM	3,525.00	39.49	0.00	39.49	88.0	34.75
	ACCOUNT #: LSR012390	BUY 2500 Units @1.4100						
03/21/2018	***-**-511R - BLAKE, JAMES	STEIN MART INC COM	4,260.00	39.49	0.00	39.49	88.0	34.75
	ACCOUNT #: LSR012391	BUY 3000 Units @1.4200						
03/26/2018	***-**-861N - LEE, KEVIN	TEMPLETON GLOBAL BOND FUND - CLASS	0.00	3.56	0.00	3.56	88.0	3.13
	ACCOUNT #: LSR011613	BUY 1 Units @0.0000						
03/15/2018	***-**-680I - HARRELL, DARYL	THE GROWTH FUND OF AMERICA-C	50.00	0.50	0.00	0.50	88.0	0.44
	ACCOUNT #: 00083996385	BUY 1 Units @49.4000						
03/26/2018	***-**-235I - AUGUSTINE III,	TRANSAMERICA MLP & ENERGY INCOME CL	0.00	5.64	0.00	5.64	88.0	4.96
	ACCOUNT #: LSR010845	BUY 1 Units @0.0000						
03/26/2018	***-**-881J - EBERLEY, SUSAN	TRANSAMERICA MLP & ENERGY INCOME CL	0.00	6.66	0.00	6.66	88.0	5.86
	ACCOUNT #: LSR010856	BUY 1 Units @0.0000						
03/26/2018	***-**-980I - ACEE, ELIZABETH	TRANSAMERICA MLP & ENERGY INCOME CL	0.00	4.85	0.00	4.85	88.0	4.27
	ACCOUNT #: LSR010885	BUY 1 Units @0.0000						
03/26/2018	***-**-031O - MCVOY, ROBERT	TRANSAMERICA MLP & ENERGY INCOME CL	0.00	6.26	0.00	6.26	88.0	5.51
	ACCOUNT #: LSR010916	BUY 1 Units @0.0000						
03/26/2018	***-**-959I - FRANZ, PAUL	TRANSAMERICA MLP & ENERGY INCOME CL	0.00	11.20	0.00	11.20	88.0	9.86
	ACCOUNT #: LSR010959	BUY 1 Units @0.0000						
03/26/2018	***-**-73TR - WESTCOTT IRRVOC	TRANSAMERICA MLP & ENERGY INCOME CL	0.00	5.43	0.00	5.43	88.0	4.78
	ACCOUNT #: LSR011001	BUY 1 Units @0.0000						
03/26/2018	***-**-73TR - WESTCOTT IRRVOC	TRANSAMERICA MLP & ENERGY INCOME CL	0.00	5.23	0.00	5.23	88.0	4.60
	ACCOUNT #: LSR011008	BUY 1 Units @0.0000						
03/26/2018	***-**-441O - MAYO, DEBORAH	TRANSAMERICA MLP & ENERGY INCOME CL	0.00	6.44	0.00	6.44	88.0	5.67
	ACCOUNT #: LSR011079	BUY 1 Units @0.0000						
03/26/2018	***-**-091O - BATES, FBO MRS	TRANSAMERICA MLP & ENERGY INCOME CL	0.00	10.36	0.00	10.36	88.0	9.12
	ACCOUNT #: LSR011117	BUY 1 Units @0.0000						
03/26/2018	***-**-891N - LEE, ROGER	TRANSAMERICA MLP & ENERGY INCOME CL	0.00	11.75	0.00	11.75	88.0	10.34
	ACCOUNT #: LSR011166	BUY 1 Units @0.0000						
03/26/2018	***-**-111O - LYNN G.	TRANSAMERICA MLP & ENERGY INCOME CL	0.00	9.97	0.00	9.97	88.0	8.77
	ACCOUNT #: LSR011239	BUY 1 Units @0.0000						
03/26/2018	***-**-801O - EVANS, RICHARD	TRANSAMERICA MLP & ENERGY INCOME CL	0.00	6.67	0.00	6.67	88.0	5.87
	ACCOUNT #: LSR011276	BUY 1 Units @0.0000						



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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
 OVERRIDE TRANSACTIONS (continued) 								
 BROKER: KURT GRUENEWALD (continued) 								
03/26/2018	***-**-45IO - JOHNSON, GREGORY	TRANSAMERICA MLP & ENERGY INCOME CL	0.00	8.43	0.00	8.43	88.0	7.42
	ACCOUNT #: LSR011421	BUY 1 Units @0.0000						
03/26/2018	***-**-14IO - BUSHEY, MATTHEW	TRANSAMERICA MLP & ENERGY INCOME CL	0.00	9.56	0.00	9.56	88.0	8.41
	ACCOUNT #: LSR011498	BUY 1 Units @0.0000						
03/26/2018	***-**-287J - HINCKLEY,	TRANSAMERICA SHORT TERM BOND CL C	0.00	11.97	0.00	11.97	88.0	10.53
	ACCOUNT #: LSR010841	BUY 1 Units @0.0000						
03/26/2018	***-**-48IO - CLARK, PATRICK	TRANSAMERICA SHORT TERM BOND CL C	0.00	9.32	0.00	9.32	88.0	8.20
	ACCOUNT #: LSR010911	BUY 1 Units @0.0000						
03/26/2018	***-**-11IO - LYNN G.	TRANSAMERICA SHORT TERM BOND CL C	0.00	13.89	0.00	13.89	88.0	12.22
	ACCOUNT #: LSR011239	BUY 1 Units @0.0000						
03/26/2018	***-**-633J -	TRANSAMERICA SHORT TERM BOND CL C	0.00	2.30	0.00	2.30	88.0	2.02
	ACCOUNT #: LSR011732	BUY 1 Units @0.0000						
03/19/2018	***-**-79IR - RICHARD R.	VALE S.A. SPONS ADR REPR 1 COM NPV	3,705.00	46.49	0.00	46.49	88.0	40.91
	ACCOUNT #: LSR011240	SELL 300 Units @12.3500						
03/26/2018	***-**-680I - HARRELL, DARYL	VOYA GLOBAL EQUITY DIVIDEND CLASS A	0.00	1.70	0.00	1.70	88.0	1.50
	ACCOUNT #: LSR011321	BUY 1 Units @0.0000						
03/26/2018	***-**-702I - KOHEM, MICHAEL	VOYA GLOBAL REAL ESTATE CLASS A	0.00	0.84	0.00	0.84	88.0	0.74
	ACCOUNT #: LSR010954	BUY 1 Units @0.0000						
03/26/2018	***-**-959I - FRANZ, PAUL	VOYA GLOBAL REAL ESTATE CLASS A	0.00	0.08	0.00	0.08	88.0	0.07
	ACCOUNT #: LSR010959	BUY 1 Units @0.0000						
03/26/2018	***-**-30TR - AND SANDRA	VOYA GLOBAL REAL ESTATE CLASS A	0.00	0.72	0.00	0.72	88.0	0.63
	ACCOUNT #: LSR011939	BUY 1 Units @0.0000						
03/26/2018	***-**-13IN - RHYMESTINE,	VOYA REAL ESTATE CLASS C	0.00	4.05	0.00	4.05	88.0	3.56
	ACCOUNT #: LSR011106	BUY 1 Units @0.0000						
* KURT GRUENEWALD SUBTOTAL *			\$130,397.91	\$2,958.34	\$0.00	\$2,958.34		\$2,603.20
*** OVERRIDE TRANSACTIONS TOTAL ***			\$130,397.91	\$2,958.34	\$0.00	\$2,958.34		\$2,603.20



BROKER #: A76
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			INVESTMENT	GROSS	CLEARING	NET	BROKER
DATE	CLIENT		AMOUNT	COMMISSION	CHARGE	COMMISSION	RATE COMMISSION
<div>BROKER COMMISSION TOTALS</div>							
						Broker Transactions	\$3,054.25
						Split Transactions	\$0.00
						Override Transactions	\$2,603.20
						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	\$5,657.45
						Year-to-date Earnings	\$63,029.73