



COMMISSION STATEMENT

May 21, 2018

KURT GRUENEWALD
2108 Genesee St.
Utica, NY 13502

BROKER #: A77
BRANCH #01047 - 47 - GRIFFITH

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
05/07/2018	***-**-480J - EVANS, RICHARD	AMERICAN BALANCED FUND-A	125.00	5.31	0.00	5.31	0.0	0.00
	ACCOUNT #: 00073288662	BUY 4 Units @28.3300						
05/15/2018	***-**-513I - RHYMESTINE,	AMERICAN GLOBAL BALANCED CL C	15,000.00	168.00	18.00	150.00	0.0	0.00
	ACCOUNT #: LSR012457	BUY 461 Units @32.5600						
05/15/2018	***-**-65CL - GRUENEWALD, K,	CAPITAL APPRECIATION C	50.00	0.50	0.00	0.50	0.0	0.00
	ACCOUNT #: 03222414918	BUY 0 Units @0.0000						
05/16/2018	***-**-513I - RHYMESTINE,	EATON VANCE FLOATING RATE ADVANTAGE	8,500.00	103.00	18.00	85.00	0.0	0.00
	ACCOUNT #: LSR012457	BUY 777 Units @10.9400						
05/15/2018	***-**-633J -	EQUITY INCOME FUND, INC. A	175.00	8.31	0.00	8.31	0.0	0.00
	ACCOUNT #: 08353229688	BUY 0 Units @0.0000						
05/08/2018	***-**-48JT - LEE, DARLENE	EQUITY INCOME FUND, INC. C	50.00	0.50	0.00	0.50	0.0	0.00
	ACCOUNT #: 08370750926	BUY 0 Units @0.0000						
05/16/2018	***-**-366O - GRUENEWALD,	FRANKLIN NEW YORK TAX-FREE INCOME F	1,968.18	18.00	18.00	0.00	0.0	0.00
	ACCOUNT #: LSR010987	SELL 182 Units @10.8000						
05/11/2018	***-**-31IO - JOSEPH, ANN	GLOBAL OPPORTUNITIES FUND C	7,500.01	93.00	18.00	75.00	0.0	0.00
	ACCOUNT #: LSR012337	BUY 116 Units @64.8700						
05/15/2018	***-**-65CL - GRUENEWALD, K,	GLOBAL OPPORTUNITIES FUND C	50.00	0.50	0.00	0.50	0.0	0.00
	ACCOUNT #: 02171825219	BUY 0 Units @0.0000						
05/16/2018	***-**-513I - RHYMESTINE,	GLOBAL OPPORTUNITIES FUND C	10,000.02	118.00	18.00	100.00	0.0	0.00
	ACCOUNT #: LSR012457	BUY 153 Units @65.1900						
05/16/2018	***-**-513I - RHYMESTINE,	LORD ABBETT SHORT DURATION INCOME C	8,500.00	103.00	18.00	85.00	0.0	0.00
	ACCOUNT #: LSR012457	BUY 2019 Units @4.2100						
05/15/2018	***-**-213I - GRUENEWALD,	MFS NEW DISCOVERY FUND-B	100.00	4.00	0.00	4.00	0.0	0.00
	ACCOUNT #: 08190131132	BUY 4 Units @24.3500						
05/15/2018	***-**-513I - RHYMESTINE,	MFS TECHNOLOGY CLASS C	10,000.00	118.00	18.00	100.00	0.0	0.00
	ACCOUNT #: LSR012457	BUY 276 Units @36.2000						
05/15/2018	***-**-213I - GRUENEWALD,	MFS TECHNOLOGY FUND-B	100.00	4.00	0.00	4.00	0.0	0.00
	ACCOUNT #: 08190131132	BUY 3 Units @36.2800						
05/11/2018	***-**-617I - ESCHE, BEVERLY	MFS UTILITIES FUND-B	6,500.00	278.00	18.00	260.00	0.0	0.00
	ACCOUNT #: LSR012614	BUY 325 Units @20.0000						
05/15/2018	***-**-094I - CIRILLO, CARL	MFS UTILITIES FUND-B	35.00	1.40	0.00	1.40	0.0	0.00
	ACCOUNT #: 08190127967	BUY 2 Units @19.8900						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUNDS (continued)								
05/15/2018	***-**-606I - LEWIS, TAMARA	MFS UTILITIES FUND-B	50.00	2.00	0.00	2.00	0.0	0.00
	ACCOUNT #: 08191352846	BUY 3 Units @19.8900						
05/11/2018	***-**-31IO - JOSEPH, ANN	MFS UTILITIES FUND-C	7,500.01	93.00	18.00	75.00	0.0	0.00
	ACCOUNT #: LSR012337	BUY 375 Units @19.9900						
05/15/2018	***-**-633J -	OPP PORT SERIES: ACTIVE ALLOC A	175.00	8.31	0.00	8.31	0.0	0.00
	ACCOUNT #: 05502871176	BUY 0 Units @0.0000						
05/08/2018	***-**-13IN - BLISS, PATRICK	OPPENHEIMER ACTIVE ALLOCATION FUND	75.00	0.75	0.00	0.75	0.0	0.00
	ACCOUNT #: 05521022681	BUY 0 Units @0.0000						
05/08/2018	***-**-48JT - LEE, DARLENE	OPPENHEIMER ACTIVE ALLOCATION FUND	50.00	0.50	0.00	0.50	0.0	0.00
	ACCOUNT #: 05521043603	BUY 0 Units @0.0000						
05/15/2018	***-**-775I - BLISS, APRIL	OPPENHEIMER ACTIVE ALLOCATION FUND	90.98	0.91	0.00	0.91	0.0	0.00
	ACCOUNT #: 05521022692	BUY 0 Units @0.0000						
05/08/2018	***-**-48JT - LEE, DARLENE	OPPENHEIMER GLBL REAL ESTATE FUND C	50.00	0.50	0.00	0.50	0.0	0.00
	ACCOUNT #: 00100021715	BUY 0 Units @0.0000						
05/08/2018	***-**-48JT - LEE, DARLENE	OPPENHEIMER INTERNATIONAL DIVERSIFI	50.00	0.50	0.00	0.50	0.0	0.00
	ACCOUNT #: 01971019612	BUY 0 Units @0.0000						
05/15/2018	***-**-633J -	OPPENHEIMER INTERNATIONAL DIVERSIFI	175.00	8.31	0.00	8.31	0.0	0.00
	ACCOUNT #: 01953330426	BUY 0 Units @0.0000						
05/15/2018	***-**-633J -	OPPENHEIMER SMALL & MID CAP VALUE F	175.00	8.31	0.00	8.31	0.0	0.00
	ACCOUNT #: 02514987422	BUY 0 Units @0.0000						
05/11/2018	***-**-31IO - JOSEPH, ANN	PUTNAM GLOBAL CONSUMER FUND CL C	8,500.00	103.00	18.00	85.00	0.0	0.00
	ACCOUNT #: LSR012337	BUY 403 Units @21.1100						
05/17/2018	***-**-513I - RHYMESTINE,	RESOURCE CREDIT INCOME FUND C	10,000.00	118.00	18.00	100.00	0.0	0.00
	ACCOUNT #: LSR012457	BUY 887 Units @11.2800						
05/07/2018	***-**-480J - EVANS, RICHARD	THE GROWTH FUND OF AMERICA-A	125.00	5.31	0.00	5.31	0.0	0.00
	ACCOUNT #: 00073288662	BUY 2 Units @55.1600						
05/15/2018	***-**-513I - RHYMESTINE,	WASHINGTON MUTUAL INVESTORS FUND-C	10,000.01	118.00	18.00	100.00	0.0	0.00
	ACCOUNT #: LSR012457	BUY 219 Units @45.5600						
* MUTUAL FUNDS SUBTOTAL *			\$105,669.21	\$1,490.92	\$216.00	\$1,274.92		\$0.00



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<u>BROKER TRANSACTIONS (continued)</u>								
<u>PRODUCT CATEGORY: STOCKS</u>								
05/16/2018	***-**-513I - RHYMESTINE, ACCOUNT #: LSR012457	AQUA AMERICA INC BUY 200 Units @33.2500	6,650.00	84.50	19.00	65.50	0.0	0.00
05/15/2018	***-**-15IN - PENDRAK, JOHN ACCOUNT #: LSR010948	STEIN MART INC COM SELL 6000 Units @3.4200	20,520.00	197.49	18.00	179.49	0.0	0.00
05/16/2018	***-**-579J - RHYMESTINE, ACCOUNT #: LSR011081	WALMART STORES INC UNSOLICITED ORDE BUY 100 Units @85.7450	8,574.50	97.49	17.00	80.49	0.0	0.00
* STOCKS SUBTOTAL *			\$35,744.50	\$379.48	\$54.00	\$325.48		\$0.00
<u>PRODUCT CATEGORY: UNIT INVESTMENT TRUSTS</u>								
05/16/2018	***-**-513I - RHYMESTINE, ACCOUNT #: LSR012457	IRON MOUNTAIN INC COM NPV UNSOLICIT BUY 100 Units @32.7500	3,275.00	50.75	24.00	26.75	0.0	0.00
* UNIT INVESTMENT TRUSTS SUBTOTAL *			\$3,275.00	\$50.75	\$24.00	\$26.75		\$0.00
<u>PRODUCT CATEGORY: 529 PLAN</u>								
05/21/2018	***-**-944O - MAYO, DEBORAH ACCOUNT #: 77002217602	NYA JPM 529 AGGR PORTI C BUY 0 Units @0.0000	25.00	0.25	0.00	0.25	0.0	0.00
05/21/2018	***-**-944O - MAYO, DEBORAH ACCOUNT #: 77002217606	NYA JPM 529 CONSV AGE-BA A BUY 0 Units @0.0000	0.00	2.03	0.00	2.03	0.0	0.00
05/21/2018	***-**-944O - MAYO, DEBORAH ACCOUNT #: 77002217602	NYA JPM 529 MOD AGE-BASED A BUY 0 Units @0.0000	25.00	1.19	0.00	1.19	0.0	0.00
* 529 PLAN SUBTOTAL *			\$50.00	\$3.47	\$0.00	\$3.47		\$0.00
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
05/21/2018	***-**-702I - KOCHER, MICHAEL ACCOUNT #: LSR010954	37252M108 BUY 1 Units @0.0000	0.00	0.97	0.00	0.97	0.0	0.00
05/21/2018	***-**-680I - HARRELL, DARYL ACCOUNT #: LSR011321	37252M108 BUY 1 Units @0.0000	0.00	0.81	0.00	0.81	0.0	0.00
05/21/2018	***-**-22IO - CLINTON, STEPHEN ACCOUNT #: LSR011684	37252M108 BUY 1 Units @0.0000	0.00	1.65	0.00	1.65	0.0	0.00
05/21/2018	***-**-702I - KOCHER, MICHAEL ACCOUNT #: LSR010954	AF MODERATE GROWTH AND INCOME-A BUY 1 Units @0.0000	0.00	4.03	0.00	4.03	0.0	0.00
05/21/2018	***-**-366I - GRUENEWALD, ACCOUNT #: LSR010989	AF MODERATE GROWTH AND INCOME-A BUY 1 Units @0.0000	0.00	1.64	0.00	1.64	0.0	0.00



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
05/21/2018	***-**-579J - RHYMESTINE, ACCOUNT #: LSR011081	AF MODERATE GROWTH AND INCOME-A BUY 1 Units @0.0000	0.00	0.78	0.00	0.78	0.0	0.00
05/21/2018	***-**-808J - GORMAN, RANDY ACCOUNT #: LSR011087	AF MODERATE GROWTH AND INCOME-A BUY 1 Units @0.0000	0.00	0.24	0.00	0.24	0.0	0.00
05/21/2018	***-**-326I - GRANDE, FBO MR ACCOUNT #: LSR011091	AF MODERATE GROWTH AND INCOME-A BUY 1 Units @0.0000	0.00	2.01	0.00	2.01	0.0	0.00
05/21/2018	***-**-680I - HARRELL, DARYL ACCOUNT #: LSR011321	AMERICAN BALANCED FUND-A BUY 1 Units @0.0000	0.00	0.86	0.00	0.86	0.0	0.00
05/21/2018	***-**-30TR - AND SANDRA ACCOUNT #: LSR011939	AMERICAN BALANCED FUND-A BUY 1 Units @0.0000	0.00	2.78	0.00	2.78	0.0	0.00
05/21/2018	***-**-761I - EVANS, DOLORES ACCOUNT #: LSR011024	AMERICAN BALANCED FUND-C BUY 1 Units @0.0000	0.00	14.70	0.00	14.70	0.0	0.00
05/21/2018	***-**-094I - KATRENA L ACCOUNT #: LSR011188	AMERICAN BALANCED FUND-C BUY 1 Units @0.0000	0.00	3.71	0.00	3.71	0.0	0.00
05/21/2018	***-**-52IO - EUSEPI, SUSAN ACCOUNT #: LSR011219	AMERICAN BALANCED FUND-C BUY 1 Units @0.0000	0.00	5.00	0.00	5.00	0.0	0.00
05/21/2018	***-**-80IO - EVANS, RICHARD ACCOUNT #: LSR011276	AMERICAN BALANCED FUND-C BUY 1 Units @0.0000	0.00	14.92	0.00	14.92	0.0	0.00
05/21/2018	***-**-881I - EBERLEY, SUSAN ACCOUNT #: LSR010858	AMERICAN FUNDS BALANCED PORT CL C BUY 1 Units @0.0000	0.00	8.50	0.00	8.50	0.0	0.00
05/21/2018	***-**-382K - SATTERLY, NEIL ACCOUNT #: LSR010875	AMERICAN FUNDS BALANCED PORT CL C BUY 1 Units @0.0000	0.00	4.32	0.00	4.32	0.0	0.00
05/21/2018	***-**-949I - ACEE, JOSPEH ACCOUNT #: LSR010908	AMERICAN FUNDS BALANCED PORT CL C BUY 1 Units @0.0000	0.00	3.54	0.00	3.54	0.0	0.00
05/21/2018	***-**-48IO - CLARK, PATRICK ACCOUNT #: LSR010911	AMERICAN FUNDS BALANCED PORT CL C BUY 1 Units @0.0000	0.00	21.85	0.00	21.85	0.0	0.00
05/21/2018	***-**-31IO - HARTZ, CLAUDIA ACCOUNT #: LSR010915	AMERICAN FUNDS BALANCED PORT CL C BUY 1 Units @0.0000	0.00	5.97	0.00	5.97	0.0	0.00
05/21/2018	***-**-031O - MCVOY, ROBERT ACCOUNT #: LSR010916	AMERICAN FUNDS BALANCED PORT CL C BUY 1 Units @0.0000	0.00	4.54	0.00	4.54	0.0	0.00
05/21/2018	***-**-15IN - PENDRAK, JOHN ACCOUNT #: LSR010948	AMERICAN FUNDS BALANCED PORT CL C BUY 1 Units @0.0000	0.00	11.59	0.00	11.59	0.0	0.00



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
05/21/2018	***-**-959I - FRANZ, PAUL ACCOUNT #: LSR010959	AMERICAN FUNDS BALANCED PORT CL C BUY 1 Units @0.0000	0.00	10.19	0.00	10.19	0.0	0.00
05/21/2018	***-**-567I - FRANZ, ALICE ACCOUNT #: LSR010960	AMERICAN FUNDS BALANCED PORT CL C BUY 1 Units @0.0000	0.00	6.84	0.00	6.84	0.0	0.00
05/21/2018	***-**-960J - MASTRANGELO, ACCOUNT #: LSR010966	AMERICAN FUNDS BALANCED PORT CL C BUY 1 Units @0.0000	0.00	11.50	0.00	11.50	0.0	0.00
05/21/2018	***-**-73TR - WESTCOTT IRRVOC ACCOUNT #: LSR011001	AMERICAN FUNDS BALANCED PORT CL C BUY 1 Units @0.0000	0.00	8.52	0.00	8.52	0.0	0.00
05/21/2018	***-**-51IO - CAIN, TIMOTHY ACCOUNT #: LSR011007	AMERICAN FUNDS BALANCED PORT CL C BUY 1 Units @0.0000	0.00	11.45	0.00	11.45	0.0	0.00
05/21/2018	***-**-169I - EVANS, PAUL ACCOUNT #: LSR011026	AMERICAN FUNDS BALANCED PORT CL C BUY 1 Units @0.0000	0.00	5.30	0.00	5.30	0.0	0.00
05/21/2018	***-**-73UT - COBB, CHRSTIAN ACCOUNT #: LSR011104	AMERICAN FUNDS BALANCED PORT CL C BUY 1 Units @0.0000	0.00	5.26	0.00	5.26	0.0	0.00
05/21/2018	***-**-67UT - COBB, ACCOUNT #: LSR011105	AMERICAN FUNDS BALANCED PORT CL C BUY 1 Units @0.0000	0.00	5.26	0.00	5.26	0.0	0.00
05/21/2018	***-**-13IN - RHYMESTINE, ACCOUNT #: LSR011106	AMERICAN FUNDS BALANCED PORT CL C BUY 1 Units @0.0000	0.00	2.51	0.00	2.51	0.0	0.00
05/21/2018	***-**-89IN - LEE, ROGER ACCOUNT #: LSR011166	AMERICAN FUNDS BALANCED PORT CL C BUY 1 Units @0.0000	0.00	7.24	0.00	7.24	0.0	0.00
05/21/2018	***-**-31IO - WILLIAMSON, FBO ACCOUNT #: LSR011172	AMERICAN FUNDS BALANCED PORT CL C BUY 1 Units @0.0000	0.00	15.50	0.00	15.50	0.0	0.00
05/21/2018	***-**-64IO - PFAFF, GEORGE ACCOUNT #: LSR011185	AMERICAN FUNDS BALANCED PORT CL C BUY 1 Units @0.0000	0.00	4.86	0.00	4.86	0.0	0.00
05/21/2018	***-**-900J - LEE, MR. ACCOUNT #: LSR011186	AMERICAN FUNDS BALANCED PORT CL C BUY 1 Units @0.0000	0.00	5.01	0.00	5.01	0.0	0.00
05/21/2018	***-**-62IR - ROBBIANO, FBO ACCOUNT #: LSR011195	AMERICAN FUNDS BALANCED PORT CL C BUY 1 Units @0.0000	0.00	3.54	0.00	3.54	0.0	0.00
05/21/2018	***-**-02IN - BUSHEY, MELISSA ACCOUNT #: LSR011257	AMERICAN FUNDS BALANCED PORT CL C BUY 1 Units @0.0000	0.00	3.56	0.00	3.56	0.0	0.00
05/21/2018	***-**-653I - KOCHEM, CLINTON ACCOUNT #: LSR011300	AMERICAN FUNDS BALANCED PORT CL C BUY 1 Units @0.0000	0.00	3.60	0.00	3.60	0.0	0.00



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
05/21/2018	***-**-62IR - ROBBIANO, FBO	AMERICAN FUNDS GLBL GROWTH PORT CL	0.00	3.30	0.00	3.30	0.0	0.00
	ACCOUNT #: LSR011195	BUY 1 Units @0.0000						
05/21/2018	***-**-87IN - HINCKLEY,	AMERICAN FUNDS MORTGAGE FD CL C	0.00	6.29	0.00	6.29	0.0	0.00
	ACCOUNT #: LSR010834	BUY 1 Units @0.0000						
05/21/2018	***-**-287J - HINCKLEY,	AMERICAN FUNDS MORTGAGE FD CL C	0.00	7.92	0.00	7.92	0.0	0.00
	ACCOUNT #: LSR010841	BUY 1 Units @0.0000						
05/21/2018	***-**-881I - EBERLEY, SUSAN	AMERICAN FUNDS MORTGAGE FD CL C	0.00	7.08	0.00	7.08	0.0	0.00
	ACCOUNT #: LSR010858	BUY 1 Units @0.0000						
05/21/2018	***-**-382I - SATTERLY, NEIL	AMERICAN FUNDS MORTGAGE FD CL C	0.00	8.24	0.00	8.24	0.0	0.00
	ACCOUNT #: LSR010867	BUY 1 Units @0.0000						
05/21/2018	***-**-980I - ACEE, ELIZABETH	AMERICAN FUNDS MORTGAGE FD CL C	0.00	12.48	0.00	12.48	0.0	0.00
	ACCOUNT #: LSR010885	BUY 1 Units @0.0000						
05/21/2018	***-**-48IO - CLARK, PATRICK	AMERICAN FUNDS MORTGAGE FD CL C	0.00	12.38	0.00	12.38	0.0	0.00
	ACCOUNT #: LSR010911	BUY 1 Units @0.0000						
05/21/2018	***-**-31IO - HARTZ, CLAUDIA	AMERICAN FUNDS MORTGAGE FD CL C	0.00	4.77	0.00	4.77	0.0	0.00
	ACCOUNT #: LSR010915	BUY 1 Units @0.0000						
05/21/2018	***-**-72IN - GAVALO, JULIE	AMERICAN FUNDS MORTGAGE FD CL C	0.00	12.44	0.00	12.44	0.0	0.00
	ACCOUNT #: LSR010921	BUY 1 Units @0.0000						
05/21/2018	***-**-959I - FRANZ, PAUL	AMERICAN FUNDS MORTGAGE FD CL C	0.00	9.95	0.00	9.95	0.0	0.00
	ACCOUNT #: LSR010959	BUY 1 Units @0.0000						
05/21/2018	***-**-065I - LAZIO, THOMAS	AMERICAN FUNDS MORTGAGE FD CL C	0.00	7.44	0.00	7.44	0.0	0.00
	ACCOUNT #: LSR010979	BUY 1 Units @0.0000						
05/21/2018	***-**-80IN - COBB, JAMES	AMERICAN FUNDS MORTGAGE FD CL C	0.00	8.22	0.00	8.22	0.0	0.00
	ACCOUNT #: LSR011042	BUY 1 Units @0.0000						
05/21/2018	***-**-00IO - LEE, GARY	AMERICAN FUNDS MORTGAGE FD CL C	0.00	8.33	0.00	8.33	0.0	0.00
	ACCOUNT #: LSR011059	BUY 1 Units @0.0000						
05/21/2018	***-**-44IO - MAYO, DEBORAH	AMERICAN FUNDS MORTGAGE FD CL C	0.00	28.61	0.00	28.61	0.0	0.00
	ACCOUNT #: LSR011079	BUY 1 Units @0.0000						
05/21/2018	***-**-579J - RHYMESTINE,	AMERICAN FUNDS MORTGAGE FD CL C	0.00	8.18	0.00	8.18	0.0	0.00
	ACCOUNT #: LSR011081	BUY 1 Units @0.0000						
05/21/2018	***-**-09IO - BATES, FBO MRS	AMERICAN FUNDS MORTGAGE FD CL C	0.00	21.33	0.00	21.33	0.0	0.00
	ACCOUNT #: LSR011117	BUY 1 Units @0.0000						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
05/21/2018	***-**-48IO - ANACKER, FBO MRS	AMERICAN FUNDS MORTGAGE FD CL C	0.00	6.20	0.00	6.20	0.0	0.00
	ACCOUNT #: LSR011164	BUY 1 Units @0.0000						
05/21/2018	***-**-89IN - LEE, ROGER	AMERICAN FUNDS MORTGAGE FD CL C	0.00	13.35	0.00	13.35	0.0	0.00
	ACCOUNT #: LSR011166	BUY 1 Units @0.0000						
05/21/2018	***-**-094I - KATRENA L	AMERICAN FUNDS MORTGAGE FD CL C	0.00	2.89	0.00	2.89	0.0	0.00
	ACCOUNT #: LSR011188	BUY 1 Units @0.0000						
05/21/2018	***-**-439J - MCCARTHY, JAMES	AMERICAN FUNDS MORTGAGE FD CL C	0.00	2.41	0.00	2.41	0.0	0.00
	ACCOUNT #: LSR011205	BUY 1 Units @0.0000						
05/21/2018	***-**-52IO - EUSEPI, SUSAN	AMERICAN FUNDS MORTGAGE FD CL C	0.00	2.86	0.00	2.86	0.0	0.00
	ACCOUNT #: LSR011219	BUY 1 Units @0.0000						
05/21/2018	***-**-473J - HUSTON,	AMERICAN FUNDS MORTGAGE FD CL C	0.00	8.29	0.00	8.29	0.0	0.00
	ACCOUNT #: LSR011228	BUY 1 Units @0.0000						
05/21/2018	***-**-80IO - EVANS, RICHARD	AMERICAN FUNDS MORTGAGE FD CL C	0.00	6.57	0.00	6.57	0.0	0.00
	ACCOUNT #: LSR011276	BUY 1 Units @0.0000						
05/21/2018	***-**-376I - BERBEN, GAIL	AMERICAN FUNDS MORTGAGE FD CL C	0.00	8.06	0.00	8.06	0.0	0.00
	ACCOUNT #: LSR011380	BUY 1 Units @0.0000						
05/21/2018	***-**-21IO - RADELL, SANDRA	AMERICAN FUNDS MORTGAGE FD CL C	0.00	8.05	0.00	8.05	0.0	0.00
	ACCOUNT #: LSR011392	BUY 1 Units @0.0000						
05/21/2018	***-**-45IO - JOHNSON, GREGORY	AMERICAN FUNDS MORTGAGE FD CL C	0.00	16.10	0.00	16.10	0.0	0.00
	ACCOUNT #: LSR011421	BUY 1 Units @0.0000						
05/21/2018	***-**-420T - DEMETRI, AMELIA	AMERICAN FUNDS PRESERVATION PORT C	0.00	4.08	0.00	4.08	0.0	0.00
	ACCOUNT #: LSR010994	BUY 1 Units @0.0000						
05/21/2018	***-**-881J - EBERLEY, SUSAN	AMERICAN GLOBAL BALANCED CL C	0.00	9.25	0.00	9.25	0.0	0.00
	ACCOUNT #: LSR010856	BUY 1 Units @0.0000						
05/21/2018	***-**-382I - SATTERLY, NEIL	AMERICAN GLOBAL BALANCED CL C	0.00	11.19	0.00	11.19	0.0	0.00
	ACCOUNT #: LSR010867	BUY 1 Units @0.0000						
05/21/2018	***-**-382K - SATTERLY, NEIL	AMERICAN GLOBAL BALANCED CL C	0.00	4.14	0.00	4.14	0.0	0.00
	ACCOUNT #: LSR010875	BUY 1 Units @0.0000						
05/21/2018	***-**-980I - ACEE, ELIZABETH	AMERICAN GLOBAL BALANCED CL C	0.00	13.99	0.00	13.99	0.0	0.00
	ACCOUNT #: LSR010885	BUY 1 Units @0.0000						
05/21/2018	***-**-48IO - CLARK, PATRICK	AMERICAN GLOBAL BALANCED CL C	0.00	11.00	0.00	11.00	0.0	0.00
	ACCOUNT #: LSR010911	BUY 1 Units @0.0000						



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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
05/21/2018	***-**-72IN - GAVALO, JULIE	AMERICAN GLOBAL BALANCED CL C	0.00	10.69	0.00	10.69	0.0	0.00
	ACCOUNT #: LSR010921	BUY 1 Units @0.0000						
05/21/2018	***-**-065I - LAZIO, THOMAS	AMERICAN GLOBAL BALANCED CL C	0.00	9.08	0.00	9.08	0.0	0.00
	ACCOUNT #: LSR010979	BUY 1 Units @0.0000						
05/21/2018	***-**-420T - DEMETRI, AMELIA	AMERICAN GLOBAL BALANCED CL C	0.00	6.90	0.00	6.90	0.0	0.00
	ACCOUNT #: LSR010994	BUY 1 Units @0.0000						
05/21/2018	***-**-73TR - WESTCOTT IRRVOC	AMERICAN GLOBAL BALANCED CL C	0.00	13.04	0.00	13.04	0.0	0.00
	ACCOUNT #: LSR011001	BUY 1 Units @0.0000						
05/21/2018	***-**-73TR - WESTCOTT IRRVOC	AMERICAN GLOBAL BALANCED CL C	0.00	24.30	0.00	24.30	0.0	0.00
	ACCOUNT #: LSR011008	BUY 1 Units @0.0000						
05/21/2018	***-**-80IN - COBB, JAMES	AMERICAN GLOBAL BALANCED CL C	0.00	7.83	0.00	7.83	0.0	0.00
	ACCOUNT #: LSR011042	BUY 1 Units @0.0000						
05/21/2018	***-**-00IO - LEE, GARY	AMERICAN GLOBAL BALANCED CL C	0.00	13.04	0.00	13.04	0.0	0.00
	ACCOUNT #: LSR011059	BUY 1 Units @0.0000						
05/21/2018	***-**-44IO - MAYO, DEBORAH	AMERICAN GLOBAL BALANCED CL C	0.00	32.64	0.00	32.64	0.0	0.00
	ACCOUNT #: LSR011079	BUY 1 Units @0.0000						
05/21/2018	***-**-09IO - BATES, FBO MRS	AMERICAN GLOBAL BALANCED CL C	0.00	16.49	0.00	16.49	0.0	0.00
	ACCOUNT #: LSR011117	BUY 1 Units @0.0000						
05/21/2018	***-**-094I - KATRENA L	AMERICAN GLOBAL BALANCED CL C	0.00	7.40	0.00	7.40	0.0	0.00
	ACCOUNT #: LSR011188	BUY 1 Units @0.0000						
05/21/2018	***-**-11IO - LYNN G.	AMERICAN GLOBAL BALANCED CL C	0.00	18.94	0.00	18.94	0.0	0.00
	ACCOUNT #: LSR011239	BUY 1 Units @0.0000						
05/21/2018	***-**-07IO - FAMOLARO, JAMES	AMERICAN GLOBAL BALANCED CL C	0.00	5.60	0.00	5.60	0.0	0.00
	ACCOUNT #: LSR011280	BUY 1 Units @0.0000						
05/21/2018	***-**-376I - BERBEN, GAIL	AMERICAN GLOBAL BALANCED CL C	0.00	17.61	0.00	17.61	0.0	0.00
	ACCOUNT #: LSR011380	BUY 1 Units @0.0000						
05/21/2018	***-**-21IO - RADELL, SANDRA	AMERICAN GLOBAL BALANCED CL C	0.00	5.64	0.00	5.64	0.0	0.00
	ACCOUNT #: LSR011392	BUY 1 Units @0.0000						
05/21/2018	***-**-45IO - JOHNSON, GREGORY	AMERICAN GLOBAL BALANCED CL C	0.00	14.44	0.00	14.44	0.0	0.00
	ACCOUNT #: LSR011421	BUY 1 Units @0.0000						
05/21/2018	***-**-14IO - BUSHEY, MATTHEW	AMERICAN GLOBAL BALANCED CL C	0.00	16.87	0.00	16.87	0.0	0.00
	ACCOUNT #: LSR011498	BUY 1 Units @0.0000						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
05/21/2018	***-**-37IO - MCCLUSKY, MARK	AMERICAN GLOBAL BALANCED CL C	0.00	9.22	0.00	9.22	0.0	0.00
	ACCOUNT #: LSR011579	BUY 1 Units @0.0000						
05/21/2018	***-**-86IN - LEE, KEVIN	AMERICAN GLOBAL BALANCED CL C	0.00	8.23	0.00	8.23	0.0	0.00
	ACCOUNT #: LSR011613	BUY 1 Units @0.0000						
05/21/2018	***-**-03IO - MASTRANGELO,	AMERICAN GLOBAL BALANCED CL C	0.00	9.31	0.00	9.31	0.0	0.00
	ACCOUNT #: LSR011679	BUY 1 Units @0.0000						
05/21/2018	***-**-702I - KOCHER, MICHAEL	AMERICAN GLOBAL BALANCED CLASS A	0.00	2.56	0.00	2.56	0.0	0.00
	ACCOUNT #: LSR010954	BUY 1 Units @0.0000						
05/21/2018	***-**-63TR - EVANS, AUDREY J	AMERICAN GLOBAL BALANCED CLASS A	0.00	5.89	0.00	5.89	0.0	0.00
	ACCOUNT #: LSR011036	BUY 1 Units @0.0000						
05/21/2018	***-**-30TR - AND SANDRA	AMERICAN GLOBAL BALANCED CLASS A	0.00	1.51	0.00	1.51	0.0	0.00
	ACCOUNT #: LSR011939	BUY 1 Units @0.0000						
05/21/2018	***-**-287I - HINCKLEY,	AMERICAN MUTUAL FUND-A	0.00	5.19	0.00	5.19	0.0	0.00
	ACCOUNT #: LSR010843	BUY 1 Units @0.0000						
05/21/2018	***-**-13IN - GRUENEWALD,	AMERICAN WASHINGTON MUTUAL INVESTOR	0.00	0.32	0.00	0.32	0.0	0.00
	ACCOUNT #: LSR011210	BUY 1 Units @0.0000						
05/21/2018	***-**-959I - FRANZ, PAUL	BLACKROCK US OPPORT CL A	0.00	0.38	0.00	0.38	0.0	0.00
	ACCOUNT #: LSR010959	BUY 1 Units @0.0000						
05/21/2018	***-**-254I - AUGUSTINE, LINDA	CAPITAL INCOME BUILDER CLASS C	0.00	6.97	0.00	6.97	0.0	0.00
	ACCOUNT #: LSR010846	BUY 1 Units @0.0000						
05/21/2018	***-**-881J - EBERLEY, SUSAN	CAPITAL INCOME BUILDER CLASS C	0.00	4.71	0.00	4.71	0.0	0.00
	ACCOUNT #: LSR010856	BUY 1 Units @0.0000						
05/21/2018	***-**-382I - SATTERLY, NEIL	CAPITAL INCOME BUILDER CLASS C	0.00	14.11	0.00	14.11	0.0	0.00
	ACCOUNT #: LSR010867	BUY 1 Units @0.0000						
05/21/2018	***-**-949I - ACEE, JOSPEH	CAPITAL INCOME BUILDER CLASS C	0.00	4.62	0.00	4.62	0.0	0.00
	ACCOUNT #: LSR010908	BUY 1 Units @0.0000						
05/21/2018	***-**-31IO - HARTZ, CLAUDIA	CAPITAL INCOME BUILDER CLASS C	0.00	5.18	0.00	5.18	0.0	0.00
	ACCOUNT #: LSR010915	BUY 1 Units @0.0000						
05/21/2018	***-**-15IN - PENDRAK, JOHN	CAPITAL INCOME BUILDER CLASS C	0.00	8.52	0.00	8.52	0.0	0.00
	ACCOUNT #: LSR010948	BUY 1 Units @0.0000						
05/21/2018	***-**-959I - FRANZ, PAUL	CAPITAL INCOME BUILDER CLASS C	0.00	11.42	0.00	11.42	0.0	0.00
	ACCOUNT #: LSR010959	BUY 1 Units @0.0000						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
05/21/2018	***-**-960J - MASTRANGELO, ACCOUNT #: LSR010966	CAPITAL INCOME BUILDER CLASS C BUY 1 Units @0.0000	0.00	9.16	0.00	9.16	0.0	0.00
05/21/2018	***-**-065I - LAZIO, THOMAS ACCOUNT #: LSR010979	CAPITAL INCOME BUILDER CLASS C BUY 1 Units @0.0000	0.00	6.52	0.00	6.52	0.0	0.00
05/21/2018	***-**-51IO - CAIN, TIMOTHY ACCOUNT #: LSR011007	CAPITAL INCOME BUILDER CLASS C BUY 1 Units @0.0000	0.00	7.09	0.00	7.09	0.0	0.00
05/21/2018	***-**-63TR - EVANS, AUDREY J ACCOUNT #: LSR011036	CAPITAL INCOME BUILDER CLASS C BUY 1 Units @0.0000	0.00	5.05	0.00	5.05	0.0	0.00
05/21/2018	***-**-861I - SANGER, LAWRENCE ACCOUNT #: LSR011095	CAPITAL INCOME BUILDER CLASS C BUY 1 Units @0.0000	0.00	1.76	0.00	1.76	0.0	0.00
05/21/2018	***-**-13IN - RHYMESTINE, ACCOUNT #: LSR011106	CAPITAL INCOME BUILDER CLASS C BUY 1 Units @0.0000	0.00	4.37	0.00	4.37	0.0	0.00
05/21/2018	***-**-506J - CURRIERE JR, MR ACCOUNT #: LSR011121	CAPITAL INCOME BUILDER CLASS C BUY 1 Units @0.0000	0.00	3.73	0.00	3.73	0.0	0.00
05/21/2018	***-**-31IO - WILLIAMSON, FBO ACCOUNT #: LSR011172	CAPITAL INCOME BUILDER CLASS C BUY 1 Units @0.0000	0.00	14.10	0.00	14.10	0.0	0.00
05/21/2018	***-**-62IR - ROBBIANO, FBO ACCOUNT #: LSR011195	CAPITAL INCOME BUILDER CLASS C BUY 1 Units @0.0000	0.00	6.76	0.00	6.76	0.0	0.00
05/21/2018	***-**-02IN - BUSHEY, MELISSA ACCOUNT #: LSR011257	CAPITAL INCOME BUILDER CLASS C BUY 1 Units @0.0000	0.00	2.77	0.00	2.77	0.0	0.00
05/21/2018	***-**-287I - HINCKLEY, ACCOUNT #: LSR010843	CAPITAL INCOME BUILDER-A BUY 1 Units @0.0000	0.00	3.97	0.00	3.97	0.0	0.00
05/21/2018	***-**-702I - KOCHEM, MICHAEL ACCOUNT #: LSR010954	CAPITAL INCOME BUILDER-A BUY 1 Units @0.0000	0.00	3.56	0.00	3.56	0.0	0.00
05/21/2018	***-**-366I - GRUENEWALD, ACCOUNT #: LSR010989	CAPITAL INCOME BUILDER-A BUY 1 Units @0.0000	0.00	2.05	0.00	2.05	0.0	0.00
05/21/2018	***-**-20IO - DEMETRI, AMELIA ACCOUNT #: LSR010995	CAPITAL INCOME BUILDER-A BUY 1 Units @0.0000	0.00	0.97	0.00	0.97	0.0	0.00
05/21/2018	***-**-579J - RHYMESTINE, ACCOUNT #: LSR011081	CAPITAL INCOME BUILDER-A BUY 1 Units @0.0000	0.00	2.13	0.00	2.13	0.0	0.00
05/21/2018	***-**-680I - HARRELL, DARYL ACCOUNT #: LSR011321	CAPITAL INCOME BUILDER-A BUY 1 Units @0.0000	0.00	0.30	0.00	0.30	0.0	0.00



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
05/21/2018	***-**-30TR - AND SANDRA	CAPITAL INCOME BUILDER-A	0.00	2.09	0.00	2.09	0.0	0.00
	ACCOUNT #: LSR011939	BUY 1 Units @0.0000						
05/21/2018	***-**-702I - KOCHER, MICHAEL	CAPITAL WORLD GROWTH AND INCOME FUN	0.00	3.66	0.00	3.66	0.0	0.00
	ACCOUNT #: LSR010954	BUY 1 Units @0.0000						
05/21/2018	***-**-20IO - DEMETRI, AMELIA	CAPITAL WORLD GROWTH AND INCOME FUN	0.00	1.52	0.00	1.52	0.0	0.00
	ACCOUNT #: LSR010995	BUY 1 Units @0.0000						
05/21/2018	***-**-579J - RHYMESTINE,	CAPITAL WORLD GROWTH AND INCOME FUN	0.00	1.77	0.00	1.77	0.0	0.00
	ACCOUNT #: LSR011081	BUY 1 Units @0.0000						
05/21/2018	***-**-326J - GRANDE, MR	CAPITAL WORLD GROWTH AND INCOME FUN	0.00	1.40	0.00	1.40	0.0	0.00
	ACCOUNT #: LSR011089	BUY 1 Units @0.0000						
05/21/2018	***-**-326I - GRANDE, FBO MR	CAPITAL WORLD GROWTH AND INCOME FUN	0.00	1.53	0.00	1.53	0.0	0.00
	ACCOUNT #: LSR011091	BUY 1 Units @0.0000						
05/21/2018	***-**-48IO - ANACKER, FBO MRS	CAPITAL WORLD GROWTH AND INCOME FUN	0.00	1.09	0.00	1.09	0.0	0.00
	ACCOUNT #: LSR011164	BUY 1 Units @0.0000						
05/21/2018	***-**-680I - HARRELL, DARYL	CAPITAL WORLD GROWTH AND INCOME FUN	0.00	1.38	0.00	1.38	0.0	0.00
	ACCOUNT #: LSR011321	BUY 1 Units @0.0000						
05/21/2018	***-**-128I - BASHANT, THOMAS	CAPITAL WORLD GROWTH AND INCOME FUN	0.00	1.49	0.00	1.49	0.0	0.00
	ACCOUNT #: LSR011387	BUY 1 Units @0.0000						
05/21/2018	***-**-30TR - AND SANDRA	CAPITAL WORLD GROWTH AND INCOME FUN	0.00	2.44	0.00	2.44	0.0	0.00
	ACCOUNT #: LSR011939	BUY 1 Units @0.0000						
05/21/2018	***-**-44IO - MAYO, DEBORAH	CAPITAL WORLD GROWTH AND INCOME FUN	0.00	12.71	0.00	12.71	0.0	0.00
	ACCOUNT #: LSR011079	BUY 1 Units @0.0000						
05/21/2018	***-**-09IO - BATES, FBO MRS	CAPITAL WORLD GROWTH AND INCOME FUN	0.00	10.43	0.00	10.43	0.0	0.00
	ACCOUNT #: LSR011117	BUY 1 Units @0.0000						
05/21/2018	***-**-11IO - LYNN G.	CAPITAL WORLD GROWTH AND INCOME FUN	0.00	11.34	0.00	11.34	0.0	0.00
	ACCOUNT #: LSR011239	BUY 1 Units @0.0000						
05/21/2018	***-**-45IO - JOHNSON, GREGORY	CAPITAL WORLD GROWTH AND INCOME FUN	0.00	7.81	0.00	7.81	0.0	0.00
	ACCOUNT #: LSR011421	BUY 1 Units @0.0000						
05/21/2018	***-**-71IO - FAMOLARO, JAMES	CLEARBRIDGE AGGRESSIVE GROWTH A	0.00	0.48	0.00	0.48	0.0	0.00
	ACCOUNT #: LSR011279	BUY 1 Units @0.0000						
05/21/2018	***-**-959I - FRANZ, PAUL	COLUMBIA MARSICO FOCUSED EQ CL A	0.00	0.22	0.00	0.22	0.0	0.00
	ACCOUNT #: LSR010959	BUY 1 Units @0.0000						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
05/21/2018	***-**-949I - ACEE, JOSPEH	DEVELOPING MARKETS FUND B	0.00	1.28	0.00	1.28	0.0	0.00
	ACCOUNT #: LSR010908	BUY 1 Units @0.0000						
05/21/2018	***-**-506J - CURRIERE JR, MR	DEVELOPING MARKETS FUND B	0.00	0.03	0.00	0.03	0.0	0.00
	ACCOUNT #: LSR011121	BUY 1 Units @0.0000						
05/21/2018	***-**-48IO - ANACKER, FBO MRS	DEVELOPING MARKETS FUND B	0.00	0.78	0.00	0.78	0.0	0.00
	ACCOUNT #: LSR011164	BUY 1 Units @0.0000						
05/21/2018	***-**-64IO - PFAFF, GEORGE	DEVELOPING MARKETS FUND B	0.00	1.51	0.00	1.51	0.0	0.00
	ACCOUNT #: LSR011185	BUY 1 Units @0.0000						
05/21/2018	***-**-62IR - ROBBIANO, FBO	DEVELOPING MARKETS FUND B	0.00	1.17	0.00	1.17	0.0	0.00
	ACCOUNT #: LSR011195	BUY 1 Units @0.0000						
05/21/2018	***-**-653I - KOCHER, CLINTON	DEVELOPING MARKETS FUND B	0.00	0.08	0.00	0.08	0.0	0.00
	ACCOUNT #: LSR011300	BUY 1 Units @0.0000						
05/21/2018	***-**-287J - HINCKLEY,	EQUITY INCOME FUND, INC. A	0.00	0.57	0.00	0.57	0.0	0.00
	ACCOUNT #: LSR010841	BUY 1 Units @0.0000						
05/21/2018	***-**-254I - AUGUSTINE, LINDA	EQUITY INCOME FUND, INC. A	0.00	2.25	0.00	2.25	0.0	0.00
	ACCOUNT #: LSR010846	BUY 1 Units @0.0000						
05/21/2018	***-**-881J - EBERLEY, SUSAN	EQUITY INCOME FUND, INC. A	0.00	2.17	0.00	2.17	0.0	0.00
	ACCOUNT #: LSR010856	BUY 1 Units @0.0000						
05/21/2018	***-**-15IN - PENDRAK, JOHN	EQUITY INCOME FUND, INC. A	0.00	1.83	0.00	1.83	0.0	0.00
	ACCOUNT #: LSR010948	BUY 1 Units @0.0000						
05/21/2018	***-**-702I - KOCHER, MICHAEL	EQUITY INCOME FUND, INC. A	0.00	1.98	0.00	1.98	0.0	0.00
	ACCOUNT #: LSR010954	BUY 1 Units @0.0000						
05/21/2018	***-**-959I - FRANZ, PAUL	EQUITY INCOME FUND, INC. A	0.00	2.20	0.00	2.20	0.0	0.00
	ACCOUNT #: LSR010959	BUY 1 Units @0.0000						
05/21/2018	***-**-960J - MASTRANGELO,	EQUITY INCOME FUND, INC. A	0.00	2.33	0.00	2.33	0.0	0.00
	ACCOUNT #: LSR010966	BUY 1 Units @0.0000						
05/21/2018	***-**-366I - GRUENEWALD,	EQUITY INCOME FUND, INC. A	0.00	1.28	0.00	1.28	0.0	0.00
	ACCOUNT #: LSR010989	BUY 1 Units @0.0000						
05/21/2018	***-**-51IO - CAIN, TIMOTHY	EQUITY INCOME FUND, INC. A	0.00	2.48	0.00	2.48	0.0	0.00
	ACCOUNT #: LSR011007	BUY 1 Units @0.0000						
05/21/2018	***-**-761I - EVANS, DOLORES	EQUITY INCOME FUND, INC. A	0.00	4.44	0.00	4.44	0.0	0.00
	ACCOUNT #: LSR011024	BUY 1 Units @0.0000						



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KURT GRUENEWALD
2108 Genesee St.
Utica, NY 13502

BROKER #: A77
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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
05/21/2018	***-**-9440 - MAYO, DEBORAH	EQUITY INCOME FUND, INC. A	0.00	1.08	0.00	1.08	0.0	0.00
	ACCOUNT #: LSR011035	BUY 1 Units @0.0000						
05/21/2018	***-**-306X - COBB, CHERRYL	EQUITY INCOME FUND, INC. A	0.00	1.91	0.00	1.91	0.0	0.00
	ACCOUNT #: LSR011037	BUY 1 Units @0.0000						
05/21/2018	***-**-579I - RHYMESTINE,	EQUITY INCOME FUND, INC. A	0.00	1.66	0.00	1.66	0.0	0.00
	ACCOUNT #: LSR011082	BUY 1 Units @0.0000						
05/21/2018	***-**-861I - SANGER, LAWRENCE	EQUITY INCOME FUND, INC. A	0.00	1.12	0.00	1.12	0.0	0.00
	ACCOUNT #: LSR011095	BUY 1 Units @0.0000						
05/21/2018	***-**-506J - CURRIERE JR, MR	EQUITY INCOME FUND, INC. A	0.00	1.05	0.00	1.05	0.0	0.00
	ACCOUNT #: LSR011121	BUY 1 Units @0.0000						
05/21/2018	***-**-653I - KOCHER, CLINTON	EQUITY INCOME FUND, INC. A	0.00	2.93	0.00	2.93	0.0	0.00
	ACCOUNT #: LSR011300	BUY 1 Units @0.0000						
05/21/2018	***-**-680I - HARRELL, DARYL	EQUITY INCOME FUND, INC. A	0.00	0.83	0.00	0.83	0.0	0.00
	ACCOUNT #: LSR011321	BUY 1 Units @0.0000						
05/21/2018	***-**-949I - ACEE, JOSPEH	EQUITY INCOME FUND, INC. B	0.00	2.45	0.00	2.45	0.0	0.00
	ACCOUNT #: LSR010908	BUY 1 Units @0.0000						
05/21/2018	***-**-567I - FRANZ, ALICE	EQUITY INCOME FUND, INC. B	0.00	5.81	0.00	5.81	0.0	0.00
	ACCOUNT #: LSR010960	BUY 1 Units @0.0000						
05/21/2018	***-**-506J - CURRIERE JR, MR	EQUITY INCOME FUND, INC. B	0.00	0.04	0.00	0.04	0.0	0.00
	ACCOUNT #: LSR011121	BUY 1 Units @0.0000						
05/21/2018	***-**-48IO - ANACKER, FBO MRS	EQUITY INCOME FUND, INC. B	0.00	1.63	0.00	1.63	0.0	0.00
	ACCOUNT #: LSR011164	BUY 1 Units @0.0000						
05/21/2018	***-**-64IO - PFAFF, GEORGE	EQUITY INCOME FUND, INC. B	0.00	2.05	0.00	2.05	0.0	0.00
	ACCOUNT #: LSR011185	BUY 1 Units @0.0000						
05/21/2018	***-**-62IR - ROBBIANO, FBO	EQUITY INCOME FUND, INC. B	0.00	1.46	0.00	1.46	0.0	0.00
	ACCOUNT #: LSR011195	BUY 1 Units @0.0000						
05/21/2018	***-**-653I - KOCHER, CLINTON	EQUITY INCOME FUND, INC. B	0.00	0.10	0.00	0.10	0.0	0.00
	ACCOUNT #: LSR011300	BUY 1 Units @0.0000						
05/21/2018	***-**-980I - ACEE, ELIZABETH	EQUITY INCOME FUND, INC. C	0.00	13.44	0.00	13.44	0.0	0.00
	ACCOUNT #: LSR010885	BUY 1 Units @0.0000						
05/21/2018	***-**-031O - MCVOY, ROBERT	EQUITY INCOME FUND, INC. C	0.00	6.07	0.00	6.07	0.0	0.00
	ACCOUNT #: LSR010916	BUY 1 Units @0.0000						



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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
05/21/2018	***-**-00IO - LEE, GARY	EQUITY INCOME FUND, INC. C	0.00	13.38	0.00	13.38	0.0	0.00
	ACCOUNT #: LSR011059	BUY 1 Units @0.0000						
05/21/2018	***-**-714O - LINES, JUDITH	EQUITY INCOME FUND, INC. C	0.00	3.68	0.00	3.68	0.0	0.00
	ACCOUNT #: LSR011763	BUY 1 Units @0.0000						
05/21/2018	***-**-28IN - BYWATER, KIM	EQUITY INCOME FUND, INC. C	0.00	1.57	0.00	1.57	0.0	0.00
	ACCOUNT #: LSR011995	BUY 1 Units @0.0000						
05/21/2018	***-**-20IO - DEMETRI, AMELIA	EUROPACIFIC GROWTH FUND-A	0.00	1.56	0.00	1.56	0.0	0.00
	ACCOUNT #: LSR010995	BUY 1 Units @0.0000						
05/21/2018	***-**-326I - GRANDE, FBO MR	EUROPACIFIC GROWTH FUND-A	0.00	1.31	0.00	1.31	0.0	0.00
	ACCOUNT #: LSR011091	BUY 1 Units @0.0000						
05/21/2018	***-**-680I - HARRELL, DARYL	EUROPACIFIC GROWTH FUND-A	0.00	0.63	0.00	0.63	0.0	0.00
	ACCOUNT #: LSR011321	BUY 1 Units @0.0000						
05/21/2018	***-**-111J - NESSIA, JAMES	FIDELITY ADV EMERGING MRKTS INC CL	0.00	0.76	0.00	0.76	0.0	0.00
	ACCOUNT #: LSR011054	BUY 1 Units @0.0000						
05/21/2018	***-**-62IN - EATON, DAVID	FIDELITY ADV EMERGING MRKTS INC CL	0.00	1.18	0.00	1.18	0.0	0.00
	ACCOUNT #: LSR011315	BUY 1 Units @0.0000						
05/21/2018	***-**-930I - SANGER, KEVIN	FIDELITY ADV EQUITY INCOME CL A	0.00	2.06	0.00	2.06	0.0	0.00
	ACCOUNT #: LSR010941	BUY 1 Units @0.0000						
05/21/2018	***-**-579I - RHYMESTINE,	FIDELITY ADV INDUSTRIALS-CL C	0.00	14.01	0.00	14.01	0.0	0.00
	ACCOUNT #: LSR011082	BUY 1 Units @0.0000						
05/21/2018	***-**-579I - RHYMESTINE,	FIDELITY ADV SMALL CAP CL C	0.00	4.94	0.00	4.94	0.0	0.00
	ACCOUNT #: LSR011082	BUY 1 Units @0.0000						
05/21/2018	***-**-579I - RHYMESTINE,	FIDELITY ADV STOCK SELECTOR ALL CAP	0.00	4.74	0.00	4.74	0.0	0.00
	ACCOUNT #: LSR011082	BUY 1 Units @0.0000						
05/21/2018	***-**-579I - RHYMESTINE,	FIDELITY ADVISOR EQUITY INCOME CL C	0.00	19.53	0.00	19.53	0.0	0.00
	ACCOUNT #: LSR011082	BUY 1 Units @0.0000						
05/21/2018	***-**-579I - RHYMESTINE,	FIDELITY ADVISOR INT'L DISCOVERY CL	0.00	15.72	0.00	15.72	0.0	0.00
	ACCOUNT #: LSR011082	BUY 1 Units @0.0000						
05/21/2018	***-**-579I - RHYMESTINE,	FIDELITY ADVISOR INTERMEDIATE BOND	0.00	8.03	0.00	8.03	0.0	0.00
	ACCOUNT #: LSR011082	BUY 1 Units @0.0000						
05/21/2018	***-**-15IN - PENDRAK, JOHN	FIDELITY ADVISOR MORTGAGE SECS CL A	0.00	2.04	0.00	2.04	0.0	0.00
	ACCOUNT #: LSR010948	BUY 1 Units @0.0000						



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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
05/21/2018	***-**-02IN - BUSHEY, MELISSA	FIDELITY ADVISOR MORTGAGE SECS CL A	0.00	0.24	0.00	0.24	0.0	0.00
	ACCOUNT #: LSR011257	BUY 1 Units @0.0000						
05/21/2018	***-**-579I - RHYMESTINE,	FIDELITY ADVISOR MORTGAGE SECS CL C	0.00	5.55	0.00	5.55	0.0	0.00
	ACCOUNT #: LSR011082	BUY 1 Units @0.0000						
05/21/2018	***-**-702I - KOCHER, MICHAEL	FUNDAMENTAL INVESTORS-A	0.00	2.13	0.00	2.13	0.0	0.00
	ACCOUNT #: LSR010954	BUY 1 Units @0.0000						
05/21/2018	***-**-366I - GRUENEWALD,	FUNDAMENTAL INVESTORS-A	0.00	1.15	0.00	1.15	0.0	0.00
	ACCOUNT #: LSR010989	BUY 1 Units @0.0000						
05/21/2018	***-**-366S - GRUENEWALD,	FUNDAMENTAL INVESTORS-A	0.00	0.97	0.00	0.97	0.0	0.00
	ACCOUNT #: LSR010990	BUY 1 Units @0.0000						
05/21/2018	***-**-579J - RHYMESTINE,	FUNDAMENTAL INVESTORS-A	0.00	1.08	0.00	1.08	0.0	0.00
	ACCOUNT #: LSR011081	BUY 1 Units @0.0000						
05/21/2018	***-**-326I - GRANDE, FBO MR	FUNDAMENTAL INVESTORS-A	0.00	1.90	0.00	1.90	0.0	0.00
	ACCOUNT #: LSR011091	BUY 1 Units @0.0000						
05/21/2018	***-**-680I - HARRELL, DARYL	FUNDAMENTAL INVESTORS-A	0.00	1.36	0.00	1.36	0.0	0.00
	ACCOUNT #: LSR011321	BUY 1 Units @0.0000						
05/21/2018	***-**-128I - BASHANT, THOMAS	FUNDAMENTAL INVESTORS-A	0.00	1.21	0.00	1.21	0.0	0.00
	ACCOUNT #: LSR011387	BUY 1 Units @0.0000						
05/21/2018	***-**-30TR - AND SANDRA	FUNDAMENTAL INVESTORS-A	0.00	1.82	0.00	1.82	0.0	0.00
	ACCOUNT #: LSR011939	BUY 1 Units @0.0000						
05/21/2018	***-**-881J - EBERLEY, SUSAN	FUNDAMENTAL INVESTORS-C	0.00	4.10	0.00	4.10	0.0	0.00
	ACCOUNT #: LSR010856	BUY 1 Units @0.0000						
05/21/2018	***-**-382I - SATTERLY, NEIL	FUNDAMENTAL INVESTORS-C	0.00	10.81	0.00	10.81	0.0	0.00
	ACCOUNT #: LSR010867	BUY 1 Units @0.0000						
05/21/2018	***-**-949I - ACEE, JOSPEH	FUNDAMENTAL INVESTORS-C	0.00	2.97	0.00	2.97	0.0	0.00
	ACCOUNT #: LSR010908	BUY 1 Units @0.0000						
05/21/2018	***-**-31IO - HARTZ, CLAUDIA	FUNDAMENTAL INVESTORS-C	0.00	2.83	0.00	2.83	0.0	0.00
	ACCOUNT #: LSR010915	BUY 1 Units @0.0000						
05/21/2018	***-**-031O - MCVOY, ROBERT	FUNDAMENTAL INVESTORS-C	0.00	5.14	0.00	5.14	0.0	0.00
	ACCOUNT #: LSR010916	BUY 1 Units @0.0000						
05/21/2018	***-**-15IN - PENDRAK, JOHN	FUNDAMENTAL INVESTORS-C	0.00	4.72	0.00	4.72	0.0	0.00
	ACCOUNT #: LSR010948	BUY 1 Units @0.0000						



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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
05/21/2018	***-**-959I - FRANZ, PAUL	FUNDAMENTAL INVESTORS-C	0.00	11.18	0.00	11.18	0.0	0.00
	ACCOUNT #: LSR010959	BUY 1 Units @0.0000						
05/21/2018	***-**-960J - MASTRANGELO,	FUNDAMENTAL INVESTORS-C	0.00	8.55	0.00	8.55	0.0	0.00
	ACCOUNT #: LSR010966	BUY 1 Units @0.0000						
05/21/2018	***-**-065I - LAZIO, THOMAS	FUNDAMENTAL INVESTORS-C	0.00	5.58	0.00	5.58	0.0	0.00
	ACCOUNT #: LSR010979	BUY 1 Units @0.0000						
05/21/2018	***-**-51IO - CAIN, TIMOTHY	FUNDAMENTAL INVESTORS-C	0.00	5.12	0.00	5.12	0.0	0.00
	ACCOUNT #: LSR011007	BUY 1 Units @0.0000						
05/21/2018	***-**-761I - EVANS, DOLORES	FUNDAMENTAL INVESTORS-C	0.00	15.31	0.00	15.31	0.0	0.00
	ACCOUNT #: LSR011024	BUY 1 Units @0.0000						
05/21/2018	***-**-306X - COBB, CHERRYL	FUNDAMENTAL INVESTORS-C	0.00	5.55	0.00	5.55	0.0	0.00
	ACCOUNT #: LSR011037	BUY 1 Units @0.0000						
05/21/2018	***-**-861I - SANGER, LAWRENCE	FUNDAMENTAL INVESTORS-C	0.00	0.20	0.00	0.20	0.0	0.00
	ACCOUNT #: LSR011095	BUY 1 Units @0.0000						
05/21/2018	***-**-13IN - RHYMESTINE,	FUNDAMENTAL INVESTORS-C	0.00	3.42	0.00	3.42	0.0	0.00
	ACCOUNT #: LSR011106	BUY 1 Units @0.0000						
05/21/2018	***-**-09IO - BATES, FBO MRS	FUNDAMENTAL INVESTORS-C	0.00	10.85	0.00	10.85	0.0	0.00
	ACCOUNT #: LSR011117	BUY 1 Units @0.0000						
05/21/2018	***-**-506J - CURRIERE JR, MR	FUNDAMENTAL INVESTORS-C	0.00	4.56	0.00	4.56	0.0	0.00
	ACCOUNT #: LSR011121	BUY 1 Units @0.0000						
05/21/2018	***-**-48IO - ANACKER, FBO MRS	FUNDAMENTAL INVESTORS-C	0.00	4.87	0.00	4.87	0.0	0.00
	ACCOUNT #: LSR011164	BUY 1 Units @0.0000						
05/21/2018	***-**-89IN - LEE, ROGER	FUNDAMENTAL INVESTORS-C	0.00	5.46	0.00	5.46	0.0	0.00
	ACCOUNT #: LSR011166	BUY 1 Units @0.0000						
05/21/2018	***-**-31IO - WILLIAMSON, FBO	FUNDAMENTAL INVESTORS-C	0.00	7.28	0.00	7.28	0.0	0.00
	ACCOUNT #: LSR011172	BUY 1 Units @0.0000						
05/21/2018	***-**-64IO - PFAFF, GEORGE	FUNDAMENTAL INVESTORS-C	0.00	3.55	0.00	3.55	0.0	0.00
	ACCOUNT #: LSR011185	BUY 1 Units @0.0000						
05/21/2018	***-**-62IR - ROBBIANO, FBO	FUNDAMENTAL INVESTORS-C	0.00	3.15	0.00	3.15	0.0	0.00
	ACCOUNT #: LSR011195	BUY 1 Units @0.0000						
05/21/2018	***-**-11IO - LYNN G.	FUNDAMENTAL INVESTORS-C	0.00	11.68	0.00	11.68	0.0	0.00
	ACCOUNT #: LSR011239	BUY 1 Units @0.0000						



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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
05/21/2018	***-**-653I - KOCHER, CLINTON	FUNDAMENTAL INVESTORS-C	0.00	8.82	0.00	8.82	0.0	0.00
	ACCOUNT #: LSR011300	BUY 1 Units @0.0000						
05/21/2018	***-**-376I - BERBEN, GAIL	FUNDAMENTAL INVESTORS-C	0.00	14.70	0.00	14.70	0.0	0.00
	ACCOUNT #: LSR011380	BUY 1 Units @0.0000						
05/21/2018	***-**-21IO - RADELL, SANDRA	FUNDAMENTAL INVESTORS-C	0.00	3.91	0.00	3.91	0.0	0.00
	ACCOUNT #: LSR011392	BUY 1 Units @0.0000						
05/21/2018	***-**-45IO - JOHNSON, GREGORY	FUNDAMENTAL INVESTORS-C	0.00	10.73	0.00	10.73	0.0	0.00
	ACCOUNT #: LSR011421	BUY 1 Units @0.0000						
05/21/2018	***-**-14IO - BUSHEY, MATTHEW	FUNDAMENTAL INVESTORS-C	0.00	12.15	0.00	12.15	0.0	0.00
	ACCOUNT #: LSR011498	BUY 1 Units @0.0000						
05/21/2018	***-**-128I - BASHANT, THOMAS	GLOBAL FUND A	0.00	2.13	0.00	2.13	0.0	0.00
	ACCOUNT #: LSR011387	BUY 1 Units @0.0000						
05/21/2018	***-**-579J - RHYMESTINE,	GLOBAL GROWTH PORTFOLIO-A	0.00	0.86	0.00	0.86	0.0	0.00
	ACCOUNT #: LSR011081	BUY 1 Units @0.0000						
05/21/2018	***-**-094I - KATRENA L	GLOBAL OPPORTUNITIES FUND C	0.00	16.23	0.00	16.23	0.0	0.00
	ACCOUNT #: LSR011188	BUY 1 Units @0.0000						
05/21/2018	***-**-254I - AUGUSTINE, LINDA	GOLD & SPECIAL MINERALS A	0.00	0.30	0.00	0.30	0.0	0.00
	ACCOUNT #: LSR010846	BUY 1 Units @0.0000						
05/21/2018	***-**-881I - EBERLEY, SUSAN	GOLD & SPECIAL MINERALS A	0.00	0.16	0.00	0.16	0.0	0.00
	ACCOUNT #: LSR010858	BUY 1 Units @0.0000						
05/21/2018	***-**-930I - SANGER, KEVIN	GOLD & SPECIAL MINERALS A	0.00	0.32	0.00	0.32	0.0	0.00
	ACCOUNT #: LSR010941	BUY 1 Units @0.0000						
05/21/2018	***-**-15IN - PENDRAK, JOHN	GOLD & SPECIAL MINERALS A	0.00	2.12	0.00	2.12	0.0	0.00
	ACCOUNT #: LSR010948	BUY 1 Units @0.0000						
05/21/2018	***-**-702J - KOCHER, MICHAEL	GOLD & SPECIAL MINERALS A	0.00	0.23	0.00	0.23	0.0	0.00
	ACCOUNT #: LSR010955	BUY 1 Units @0.0000						
05/21/2018	***-**-959I - FRANZ, PAUL	GOLD & SPECIAL MINERALS A	0.00	0.56	0.00	0.56	0.0	0.00
	ACCOUNT #: LSR010959	BUY 1 Units @0.0000						
05/21/2018	***-**-61IN - EVANS, DOLORES	GOLD & SPECIAL MINERALS A	0.00	0.18	0.00	0.18	0.0	0.00
	ACCOUNT #: LSR011023	BUY 1 Units @0.0000						
05/21/2018	***-**-944O - MAYO, DEBORAH	GOLD & SPECIAL MINERALS A	0.00	0.53	0.00	0.53	0.0	0.00
	ACCOUNT #: LSR011035	BUY 1 Units @0.0000						



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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
05/21/2018	***-**-96IN - NESSIA, BONNIE	GOLD & SPECIAL MINERALS A	0.00	0.29	0.00	0.29	0.0	0.00
	ACCOUNT #: LSR011055	BUY 1 Units @0.0000						
05/21/2018	***-**-13IN - RHYMESTINE,	GOLD & SPECIAL MINERALS A	0.00	0.34	0.00	0.34	0.0	0.00
	ACCOUNT #: LSR011106	BUY 1 Units @0.0000						
05/21/2018	***-**-76IO - MCALLISTER, FBO	GOLD & SPECIAL MINERALS A	0.00	0.33	0.00	0.33	0.0	0.00
	ACCOUNT #: LSR011107	BUY 1 Units @0.0000						
05/21/2018	***-**-367J - WAGNER, MRS LANT	GOLD & SPECIAL MINERALS A	0.00	0.30	0.00	0.30	0.0	0.00
	ACCOUNT #: LSR011134	BUY 1 Units @0.0000						
05/21/2018	***-**-31IO - WILLIAMSON, FBO	GOLD & SPECIAL MINERALS A	0.00	1.35	0.00	1.35	0.0	0.00
	ACCOUNT #: LSR011172	BUY 1 Units @0.0000						
05/21/2018	***-**-02IN - BUSHEY, MELISSA	GOLD & SPECIAL MINERALS A	0.00	0.12	0.00	0.12	0.0	0.00
	ACCOUNT #: LSR011257	BUY 1 Units @0.0000						
05/21/2018	***-**-62IN - EATON, DAVID	GOLD & SPECIAL MINERALS A	0.00	0.39	0.00	0.39	0.0	0.00
	ACCOUNT #: LSR011315	BUY 1 Units @0.0000						
05/21/2018	***-**-949I - ACEE, JOSPEH	GOLD & SPECIAL MINERALS FUND B	0.00	0.59	0.00	0.59	0.0	0.00
	ACCOUNT #: LSR010908	BUY 1 Units @0.0000						
05/21/2018	***-**-579I - RHYMESTINE,	GOLD & SPECIAL MINERALS FUND B	0.00	0.53	0.00	0.53	0.0	0.00
	ACCOUNT #: LSR011082	BUY 1 Units @0.0000						
05/21/2018	***-**-48IO - ANACKER, FBO MRS	GOLD & SPECIAL MINERALS FUND B	0.00	0.70	0.00	0.70	0.0	0.00
	ACCOUNT #: LSR011164	BUY 1 Units @0.0000						
05/21/2018	***-**-664J - PFAFF, GEORGE	GOLD & SPECIAL MINERALS FUND B	0.00	0.58	0.00	0.58	0.0	0.00
	ACCOUNT #: LSR011184	BUY 1 Units @0.0000						
05/21/2018	***-**-44IO - MAYO, DEBORAH	GRIFFIN INST ACCESS REAL ESTATE FD	0.00	9.22	0.00	9.22	0.0	0.00
	ACCOUNT #: LSR011079	BUY 1 Units @0.0000						
05/21/2018	***-**-44IO - MAYO, DEBORAH	GRIFFIN INST ACCESS REAL ESTATE FD	0.00	3.07	0.00	3.07	0.0	0.00
	ACCOUNT #: LSR011079	BUY 1 Units @0.0000						
05/21/2018	***-**-367J - WAGNER, MRS LANT	GROWTH FUND OF AMERICA CLASS F	0.00	3.20	0.00	3.20	0.0	0.00
	ACCOUNT #: LSR011134	BUY 1 Units @0.0000						
05/21/2018	***-**-702I - KOCHEM, MICHAEL	HARTFORD CHECKS AND BALANCED FUND C	0.00	1.30	0.00	1.30	0.0	0.00
	ACCOUNT #: LSR010954	BUY 1 Units @0.0000						
05/21/2018	***-**-366S - GRUENEWALD,	HARTFORD CHECKS AND BALANCED FUND C	0.00	0.45	0.00	0.45	0.0	0.00
	ACCOUNT #: LSR010990	BUY 1 Units @0.0000						



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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
05/21/2018	***-**-680I - HARRELL, DARYL ACCOUNT #: LSR011321	HARTFORD CHECKS AND BALANCED FUND C BUY 1 Units @0.0000	0.00	1.25	0.00	1.25	0.0	0.00
05/21/2018	***-**-30TR - AND SANDRA ACCOUNT #: LSR011939	HARTFORD CHECKS AND BALANCED FUND C BUY 1 Units @0.0000	0.00	2.45	0.00	2.45	0.0	0.00
05/21/2018	***-**-366S - GRUENEWALD, ACCOUNT #: LSR010990	HARTFORD INFLATION PLUS FUND CLASS BUY 1 Units @0.0000	0.00	0.65	0.00	0.65	0.0	0.00
05/21/2018	***-**-680I - HARRELL, DARYL ACCOUNT #: LSR011321	HARTFORD INFLATION PLUS FUND CLASS BUY 1 Units @0.0000	0.00	1.70	0.00	1.70	0.0	0.00
05/21/2018	***-**-287I - HINCKLEY, ACCOUNT #: LSR010843	INCOME FUND OF AMERICA CLASS C BUY 1 Units @0.0000	0.00	3.50	0.00	3.50	0.0	0.00
05/21/2018	***-**-980I - ACEE, ELIZABETH ACCOUNT #: LSR010885	INCOME FUND OF AMERICA CLASS C BUY 1 Units @0.0000	0.00	11.71	0.00	11.71	0.0	0.00
05/21/2018	***-**-72IN - GAVALO, JULIE ACCOUNT #: LSR010921	INCOME FUND OF AMERICA CLASS C BUY 1 Units @0.0000	0.00	10.53	0.00	10.53	0.0	0.00
05/21/2018	***-**-73TR - WESTCOTT IRRVOC ACCOUNT #: LSR011001	INCOME FUND OF AMERICA CLASS C BUY 1 Units @0.0000	0.00	1.71	0.00	1.71	0.0	0.00
05/21/2018	***-**-63TR - EVANS, AUDREY J ACCOUNT #: LSR011036	INCOME FUND OF AMERICA CLASS C BUY 1 Units @0.0000	0.00	5.26	0.00	5.26	0.0	0.00
05/21/2018	***-**-44IO - MAYO, DEBORAH ACCOUNT #: LSR011079	INCOME FUND OF AMERICA CLASS C BUY 1 Units @0.0000	0.00	18.66	0.00	18.66	0.0	0.00
05/21/2018	***-**-09IO - BATES, FBO MRS ACCOUNT #: LSR011117	INCOME FUND OF AMERICA CLASS C BUY 1 Units @0.0000	0.00	31.08	0.00	31.08	0.0	0.00
05/21/2018	***-**-11IO - LYNN G. ACCOUNT #: LSR011239	INCOME FUND OF AMERICA CLASS C BUY 1 Units @0.0000	0.00	14.50	0.00	14.50	0.0	0.00
05/21/2018	***-**-376I - BERBEN, GAIL ACCOUNT #: LSR011380	INCOME FUND OF AMERICA CLASS C BUY 1 Units @0.0000	0.00	13.05	0.00	13.05	0.0	0.00
05/21/2018	***-**-21IO - RADELL, SANDRA ACCOUNT #: LSR011392	INCOME FUND OF AMERICA CLASS C BUY 1 Units @0.0000	0.00	4.75	0.00	4.75	0.0	0.00
05/21/2018	***-**-45IO - JOHNSON, GREGORY ACCOUNT #: LSR011421	INCOME FUND OF AMERICA CLASS C BUY 1 Units @0.0000	0.00	15.70	0.00	15.70	0.0	0.00
05/21/2018	***-**-14IO - BUSHEY, MATTHEW ACCOUNT #: LSR011498	INCOME FUND OF AMERICA CLASS C BUY 1 Units @0.0000	0.00	11.23	0.00	11.23	0.0	0.00



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
05/21/2018	***-***-702I - KOCHEM, MICHAEL	INTERMEDIATE BOND FUND OF AMERICA-A	0.00	0.14	0.00	0.14	0.0	0.00
	ACCOUNT #: LSR010954	BUY 1 Units @0.0000						
05/21/2018	***-***-761I - EVANS, DOLORES	INTERMEDIATE BOND FUND OF AMERICA-C	0.00	5.29	0.00	5.29	0.0	0.00
	ACCOUNT #: LSR011024	BUY 1 Units @0.0000						
05/21/2018	***-***-881I - EBERLEY, SUSAN	INTERNATIONAL BOND A	0.00	0.68	0.00	0.68	0.0	0.00
	ACCOUNT #: LSR010858	BUY 1 Units @0.0000						
05/21/2018	***-***-761I - EVANS, DOLORES	INTERNATIONAL BOND A	0.00	3.44	0.00	3.44	0.0	0.00
	ACCOUNT #: LSR011024	BUY 1 Units @0.0000						
05/21/2018	***-***-366S - GRUENEWALD,	INTERNATIONAL GROWTH AND INCOME-A	0.00	0.81	0.00	0.81	0.0	0.00
	ACCOUNT #: LSR010990	BUY 1 Units @0.0000						
05/21/2018	***-***-567I - FRANZ, ALICE	INTERNATIONAL GROWTH AND INCOME-C	0.00	13.18	0.00	13.18	0.0	0.00
	ACCOUNT #: LSR010960	BUY 1 Units @0.0000						
05/21/2018	***-***-15IN - PENDRAK, JOHN	INTERNATIONAL SMALL COMPANY A	0.00	1.47	0.00	1.47	0.0	0.00
	ACCOUNT #: LSR010948	BUY 1 Units @0.0000						
05/21/2018	***-***-959I - FRANZ, PAUL	INTERNATIONAL SMALL COMPANY A	0.00	1.40	0.00	1.40	0.0	0.00
	ACCOUNT #: LSR010959	BUY 1 Units @0.0000						
05/21/2018	***-***-367J - WAGNER, MRS LANT	INTERNATIONAL SMALL COMPANY A	0.00	1.90	0.00	1.90	0.0	0.00
	ACCOUNT #: LSR011134	BUY 1 Units @0.0000						
05/21/2018	***-***-664J - PFAFF, GEORGE	INTERNATIONAL SMALL COMPANY FUND B	0.00	0.94	0.00	0.94	0.0	0.00
	ACCOUNT #: LSR011184	BUY 1 Units @0.0000						
05/21/2018	***-***-45IO - JOHNSON, GREGORY	MAIN STREET FUND C	0.00	7.24	0.00	7.24	0.0	0.00
	ACCOUNT #: LSR011421	BUY 1 Units @0.0000						
05/21/2018	***-***-714O - LINES, JUDITH	MAIN STREET FUND C	0.00	4.77	0.00	4.77	0.0	0.00
	ACCOUNT #: LSR011763	BUY 1 Units @0.0000						
05/15/2018	***-***-213I - GRUENEWALD,	MFS GLOBAL NEW DISCOVERY FUND CL B	100.00	4.00	0.00	4.00	0.0	0.00
	ACCOUNT #: 08190131132	BUY 5 Units @19.4000						
05/21/2018	***-***-20IO - DEMETRI, AMELIA	NEW PERSPECTIVE FUND-A	0.00	1.79	0.00	1.79	0.0	0.00
	ACCOUNT #: LSR010995	BUY 1 Units @0.0000						
05/21/2018	***-***-702I - KOCHEM, MICHAEL	NEW WORLD FUND-A	0.00	2.72	0.00	2.72	0.0	0.00
	ACCOUNT #: LSR010954	BUY 1 Units @0.0000						
05/21/2018	***-***-326I - GRANDE, FBO MR	NEW WORLD FUND-A	0.00	2.47	0.00	2.47	0.0	0.00
	ACCOUNT #: LSR011091	BUY 1 Units @0.0000						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
05/21/2018	***-**-680I - HARRELL, DARYL	NEW WORLD FUND-A	0.00	0.58	0.00	0.58	0.0	0.00
	ACCOUNT #: LSR011321	BUY 1 Units @0.0000						
05/21/2018	***-**-128I - BASHANT, THOMAS	NEW WORLD FUND-A	0.00	0.91	0.00	0.91	0.0	0.00
	ACCOUNT #: LSR011387	BUY 1 Units @0.0000						
05/21/2018	***-**-30TR - AND SANDRA	NEW WORLD FUND-A	0.00	2.04	0.00	2.04	0.0	0.00
	ACCOUNT #: LSR011939	BUY 1 Units @0.0000						
05/21/2018	***-**-15IN - PENDRAK, JOHN	OPP PORT SERIES: ACTIVE ALLOC A	0.00	1.55	0.00	1.55	0.0	0.00
	ACCOUNT #: LSR010948	BUY 1 Units @0.0000						
05/21/2018	***-**-80IN - COBB, JAMES	OPPENHEIMER ACTIVE ALLOCATION FUND	0.00	7.35	0.00	7.35	0.0	0.00
	ACCOUNT #: LSR011042	BUY 1 Units @0.0000						
05/21/2018	***-**-44IO - MAYO, DEBORAH	OPPENHEIMER ACTIVE ALLOCATION FUND	0.00	14.48	0.00	14.48	0.0	0.00
	ACCOUNT #: LSR011079	BUY 1 Units @0.0000						
05/21/2018	***-**-09IO - BATES, FBO MRS	OPPENHEIMER ACTIVE ALLOCATION FUND	0.00	16.19	0.00	16.19	0.0	0.00
	ACCOUNT #: LSR011117	BUY 1 Units @0.0000						
05/21/2018	***-**-11IO - LYNN G.	OPPENHEIMER ACTIVE ALLOCATION FUND	0.00	14.05	0.00	14.05	0.0	0.00
	ACCOUNT #: LSR011239	BUY 1 Units @0.0000						
05/21/2018	***-**-45IO - JOHNSON, GREGORY	OPPENHEIMER ACTIVE ALLOCATION FUND	0.00	10.76	0.00	10.76	0.0	0.00
	ACCOUNT #: LSR011421	BUY 1 Units @0.0000						
05/21/2018	***-**-28IN - BYWATER, KIM	OPPENHEIMER DEV MARKETS FD CLASS C	0.00	1.28	0.00	1.28	0.0	0.00
	ACCOUNT #: LSR011995	BUY 1 Units @0.0000						
05/21/2018	***-**-881J - EBERLEY, SUSAN	OPPENHEIMER DEVELOPING MARKETS CLAS	0.00	1.59	0.00	1.59	0.0	0.00
	ACCOUNT #: LSR010856	BUY 1 Units @0.0000						
05/21/2018	***-**-959I - FRANZ, PAUL	OPPENHEIMER DEVELOPING MARKETS CLAS	0.00	0.34	0.00	0.34	0.0	0.00
	ACCOUNT #: LSR010959	BUY 1 Units @0.0000						
05/21/2018	***-**-51IO - CAIN, TIMOTHY	OPPENHEIMER DEVELOPING MARKETS CLAS	0.00	2.35	0.00	2.35	0.0	0.00
	ACCOUNT #: LSR011007	BUY 1 Units @0.0000						
05/21/2018	***-**-96IN - NESSIA, BONNIE	OPPENHEIMER DEVELOPING MARKETS CLAS	0.00	0.79	0.00	0.79	0.0	0.00
	ACCOUNT #: LSR011055	BUY 1 Units @0.0000						
05/21/2018	***-**-506J - CURRIERE JR, MR	OPPENHEIMER DEVELOPING MARKETS CLAS	0.00	0.83	0.00	0.83	0.0	0.00
	ACCOUNT #: LSR011121	BUY 1 Units @0.0000						
05/21/2018	***-**-653I - KOCHEM, CLINTON	OPPENHEIMER DEVELOPING MARKETS CLAS	0.00	2.06	0.00	2.06	0.0	0.00
	ACCOUNT #: LSR011300	BUY 1 Units @0.0000						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
05/21/2018	***-**-680I - HARRELL, DARYL ACCOUNT #: LSR011321	OPPENHEIMER DEVELOPING MARKETS CLAS BUY 1 Units @0.0000	0.00	0.84	0.00	0.84	0.0	0.00
05/21/2018	***-**-094I - KATRENA L ACCOUNT #: LSR011188	OPPENHEIMER GBL REAL ESTATE FUND C BUY 1 Units @0.0000	0.00	5.14	0.00	5.14	0.0	0.00
05/21/2018	***-**-031O - MCVOY, ROBERT ACCOUNT #: LSR010916	OPPENHEIMER GLOBAL VALUE FUND CL C BUY 1 Units @0.0000	0.00	4.95	0.00	4.95	0.0	0.00
05/21/2018	***-**-714O - LINES, JUDITH ACCOUNT #: LSR011763	OPPENHEIMER GLOBAL VALUE FUND CL C BUY 1 Units @0.0000	0.00	3.61	0.00	3.61	0.0	0.00
05/21/2018	***-**-382I - SATTERLY, NEIL ACCOUNT #: LSR010867	OPPENHEIMER GOLD & SPECIAL MINERALS BUY 1 Units @0.0000	0.00	3.84	0.00	3.84	0.0	0.00
05/21/2018	***-**-48IO - CLARK, PATRICK ACCOUNT #: LSR010911	OPPENHEIMER GOLD & SPECIAL MINERALS BUY 1 Units @0.0000	0.00	5.03	0.00	5.03	0.0	0.00
05/21/2018	***-**-31IO - HARTZ, CLAUDIA ACCOUNT #: LSR010915	OPPENHEIMER GOLD & SPECIAL MINERALS BUY 1 Units @0.0000	0.00	0.10	0.00	0.10	0.0	0.00
05/21/2018	***-**-72IN - GAVALO, JULIE ACCOUNT #: LSR010921	OPPENHEIMER GOLD & SPECIAL MINERALS BUY 1 Units @0.0000	0.00	2.21	0.00	2.21	0.0	0.00
05/21/2018	***-**-065I - LAZIO, THOMAS ACCOUNT #: LSR010979	OPPENHEIMER GOLD & SPECIAL MINERALS BUY 1 Units @0.0000	0.00	5.36	0.00	5.36	0.0	0.00
05/21/2018	***-**-420T - DEMETRI, AMELIA ACCOUNT #: LSR010994	OPPENHEIMER GOLD & SPECIAL MINERALS BUY 1 Units @0.0000	0.00	2.30	0.00	2.30	0.0	0.00
05/21/2018	***-**-00IO - LEE, GARY ACCOUNT #: LSR011059	OPPENHEIMER GOLD & SPECIAL MINERALS BUY 1 Units @0.0000	0.00	7.09	0.00	7.09	0.0	0.00
05/21/2018	***-**-09IO - BATES, FBO MRS ACCOUNT #: LSR011117	OPPENHEIMER GOLD & SPECIAL MINERALS BUY 1 Units @0.0000	0.00	2.32	0.00	2.32	0.0	0.00
05/21/2018	***-**-11IO - LYNN G. ACCOUNT #: LSR011239	OPPENHEIMER GOLD & SPECIAL MINERALS BUY 1 Units @0.0000	0.00	6.65	0.00	6.65	0.0	0.00
05/21/2018	***-**-45IO - JOHNSON, GREGORY ACCOUNT #: LSR011421	OPPENHEIMER GOLD & SPECIAL MINERALS BUY 1 Units @0.0000	0.00	5.43	0.00	5.43	0.0	0.00
05/21/2018	***-**-51IN - GERACE, JOANNE ACCOUNT #: LSR011538	OPPENHEIMER GOLD & SPECIAL MINERALS BUY 1 Units @0.0000	0.00	1.47	0.00	1.47	0.0	0.00
05/21/2018	***-**-714O - LINES, JUDITH ACCOUNT #: LSR011763	OPPENHEIMER INTERNATIONAL DIVERSIFI BUY 1 Units @0.0000	0.00	3.12	0.00	3.12	0.0	0.00



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
05/21/2018	***-**-28IN - BYWATER, KIM	OPPENHEIMER INTERNATIONAL SMALL COM	0.00	2.40	0.00	2.40	0.0	0.00
	ACCOUNT #: LSR011995	BUY 1 Units @0.0000						
05/21/2018	***-**-567I - FRANZ, ALICE	OPPENHEIMER INTL BOND CLASS B	0.00	2.54	0.00	2.54	0.0	0.00
	ACCOUNT #: LSR010960	BUY 1 Units @0.0000						
05/21/2018	***-**-664J - PFAFF, GEORGE	OPPENHEIMER INTL BOND CLASS B	0.00	3.20	0.00	3.20	0.0	0.00
	ACCOUNT #: LSR011184	BUY 1 Units @0.0000						
05/21/2018	***-**-881I - EBERLEY, SUSAN	OPPENHEIMER MAIN STREET SMALL CAP F	0.00	1.81	0.00	1.81	0.0	0.00
	ACCOUNT #: LSR010858	BUY 1 Units @0.0000						
05/21/2018	***-**-382I - SATTERLY, NEIL	OPPENHEIMER RISING DIVIDENDS FUND C	0.00	26.15	0.00	26.15	0.0	0.00
	ACCOUNT #: LSR010867	BUY 1 Units @0.0000						
05/21/2018	***-**-031O - MCVOY, ROBERT	OPPENHEIMER RISING DIVIDENDS FUND C	0.00	5.48	0.00	5.48	0.0	0.00
	ACCOUNT #: LSR010916	BUY 1 Units @0.0000						
05/21/2018	***-**-065I - LAZIO, THOMAS	OPPENHEIMER RISING DIVIDENDS FUND C	0.00	8.47	0.00	8.47	0.0	0.00
	ACCOUNT #: LSR010979	BUY 1 Units @0.0000						
05/21/2018	***-**-51IN - GERACE, JOANNE	OPPENHEIMER RISING DIVIDENDS FUND C	0.00	7.38	0.00	7.38	0.0	0.00
	ACCOUNT #: LSR011538	BUY 1 Units @0.0000						
05/21/2018	***-**-37IO - MCCLUSKY, MARK	OPPENHEIMER RISING DIVIDENDS FUND C	0.00	4.86	0.00	4.86	0.0	0.00
	ACCOUNT #: LSR011579	BUY 1 Units @0.0000						
05/21/2018	***-**-714O - LINES, JUDITH	OPPENHEIMER RISING DIVIDENDS FUND C	0.00	7.27	0.00	7.27	0.0	0.00
	ACCOUNT #: LSR011763	BUY 1 Units @0.0000						
05/21/2018	***-**-28IN - BYWATER, KIM	OPPENHEIMER RISING DIVIDENDS FUND C	0.00	1.56	0.00	1.56	0.0	0.00
	ACCOUNT #: LSR011995	BUY 1 Units @0.0000						
05/21/2018	***-**-287J - HINCKLEY,	OPPENHEIMER ROCHEST AMT-FREE NY MUN	0.00	7.04	0.00	7.04	0.0	0.00
	ACCOUNT #: LSR010841	BUY 1 Units @0.0000						
05/21/2018	***-**-254I - AUGUSTINE, LINDA	OPPENHEIMER SMALL & MID CAP VALUE F	0.00	1.45	0.00	1.45	0.0	0.00
	ACCOUNT #: LSR010846	BUY 1 Units @0.0000						
05/21/2018	***-**-930I - SANGER, KEVIN	OPPENHEIMER SMALL & MID CAP VALUE F	0.00	0.40	0.00	0.40	0.0	0.00
	ACCOUNT #: LSR010941	BUY 1 Units @0.0000						
05/21/2018	***-**-15IN - PENDRAK, JOHN	OPPENHEIMER SMALL & MID CAP VALUE F	0.00	0.92	0.00	0.92	0.0	0.00
	ACCOUNT #: LSR010948	BUY 1 Units @0.0000						
05/21/2018	***-**-959I - FRANZ, PAUL	OPPENHEIMER SMALL & MID CAP VALUE F	0.00	1.67	0.00	1.67	0.0	0.00
	ACCOUNT #: LSR010959	BUY 1 Units @0.0000						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
05/21/2018	***-**-9440 - MAYO, DEBORAH	OPPENHEIMER SMALL & MID CAP VALUE F	0.00	0.70	0.00	0.70	0.0	0.00
	ACCOUNT #: LSR011035	BUY 1 Units @0.0000						
05/21/2018	***-**-580X - COBB, JAMES	OPPENHEIMER SMALL & MID CAP VALUE F	0.00	1.01	0.00	1.01	0.0	0.00
	ACCOUNT #: LSR011040	BUY 1 Units @0.0000						
05/21/2018	***-**-111J - NESSIA, JAMES	OPPENHEIMER SMALL & MID CAP VALUE F	0.00	0.99	0.00	0.99	0.0	0.00
	ACCOUNT #: LSR011054	BUY 1 Units @0.0000						
05/21/2018	***-**-13IN - RHYMESTINE,	OPPENHEIMER SMALL & MID CAP VALUE F	0.00	0.48	0.00	0.48	0.0	0.00
	ACCOUNT #: LSR011106	BUY 1 Units @0.0000						
05/21/2018	***-**-62IN - EATON, DAVID	OPPENHEIMER SMALL & MID CAP VALUE F	0.00	0.67	0.00	0.67	0.0	0.00
	ACCOUNT #: LSR011315	BUY 1 Units @0.0000						
05/21/2018	***-**-80IN - COBB, JAMES	OPPENHEIMER STEELPATH MLP ALPHA PLU	0.00	0.93	0.00	0.93	0.0	0.00
	ACCOUNT #: LSR011042	BUY 1 Units @0.0000						
05/21/2018	***-**-8370 - BASEMENT	OPPENHEIMERSTEELPATH MLP INCOME CL	0.00	2.58	0.00	2.58	0.0	0.00
	ACCOUNT #: LSR011046	BUY 1 Units @0.0000						
05/21/2018	***-**-80IN - COBB, JAMES	OPPENHEIMERSTEELPATH MLP SELECT 40	0.00	0.57	0.00	0.57	0.0	0.00
	ACCOUNT #: LSR011042	BUY 1 Units @0.0000						
05/21/2018	***-**-48IO - CLARK, PATRICK	PORT SERIES: CONS INV C	0.00	16.95	0.00	16.95	0.0	0.00
	ACCOUNT #: LSR010911	BUY 1 Units @0.0000						
05/21/2018	***-**-72IN - GAVALO, JULIE	PORT SERIES: CONS INV C	0.00	22.05	0.00	22.05	0.0	0.00
	ACCOUNT #: LSR010921	BUY 1 Units @0.0000						
05/21/2018	***-**-420T - DEMETRI, AMELIA	PORT SERIES: CONS INV C	0.00	5.84	0.00	5.84	0.0	0.00
	ACCOUNT #: LSR010994	BUY 1 Units @0.0000						
05/21/2018	***-**-73UT - COBB, CHRISTIAN	PORT SERIES: CONS INV C	0.00	4.47	0.00	4.47	0.0	0.00
	ACCOUNT #: LSR011104	BUY 1 Units @0.0000						
05/21/2018	***-**-67UT - COBB,	PORT SERIES: CONS INV C	0.00	4.47	0.00	4.47	0.0	0.00
	ACCOUNT #: LSR011105	BUY 1 Units @0.0000						
05/21/2018	***-**-89IN - LEE, ROGER	PORT SERIES: CONS INV C	0.00	9.65	0.00	9.65	0.0	0.00
	ACCOUNT #: LSR011166	BUY 1 Units @0.0000						
05/21/2018	***-**-52IO - EUSEPI, SUSAN	PORT SERIES: CONS INV C	0.00	12.07	0.00	12.07	0.0	0.00
	ACCOUNT #: LSR011219	BUY 1 Units @0.0000						
05/21/2018	***-**-439I - MCCARTHY, JAMES	PORT SERIES: CONS INV C	0.00	4.03	0.00	4.03	0.0	0.00
	ACCOUNT #: LSR011244	BUY 1 Units @0.0000						



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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
05/21/2018	***-**-80IO - EVANS, RICHARD	PORT SERIES: CONS INV C	0.00	12.89	0.00	12.89	0.0	0.00
	ACCOUNT #: LSR011276	BUY 1 Units @0.0000						
05/21/2018	***-**-664J - PFAFF, GEORGE	PORT SERIES: EQUITY INV FD B	0.00	1.05	0.00	1.05	0.0	0.00
	ACCOUNT #: LSR011184	BUY 1 Units @0.0000						
05/21/2018	***-**-254I - AUGUSTINE, LINDA	PORTFOLIO SERIES: CONS INV A	0.00	1.47	0.00	1.47	0.0	0.00
	ACCOUNT #: LSR010846	BUY 1 Units @0.0000						
05/21/2018	***-**-15IN - PENDRAK, JOHN	PORTFOLIO SERIES: CONS INV A	0.00	2.38	0.00	2.38	0.0	0.00
	ACCOUNT #: LSR010948	BUY 1 Units @0.0000						
05/21/2018	***-**-959I - FRANZ, PAUL	PORTFOLIO SERIES: CONS INV A	0.00	2.03	0.00	2.03	0.0	0.00
	ACCOUNT #: LSR010959	BUY 1 Units @0.0000						
05/21/2018	***-**-51IO - CAIN, TIMOTHY	PORTFOLIO SERIES: CONS INV A	0.00	2.01	0.00	2.01	0.0	0.00
	ACCOUNT #: LSR011007	BUY 1 Units @0.0000						
05/21/2018	***-**-761I - EVANS, DOLORES	PORTFOLIO SERIES: CONS INV A	0.00	1.15	0.00	1.15	0.0	0.00
	ACCOUNT #: LSR011024	BUY 1 Units @0.0000						
05/21/2018	***-**-944O - MAYO, DEBORAH	PORTFOLIO SERIES: CONS INV A	0.00	1.68	0.00	1.68	0.0	0.00
	ACCOUNT #: LSR011035	BUY 1 Units @0.0000						
05/21/2018	***-**-861I - SANGER, LAWRENCE	PORTFOLIO SERIES: CONS INV A	0.00	0.65	0.00	0.65	0.0	0.00
	ACCOUNT #: LSR011095	BUY 1 Units @0.0000						
05/21/2018	***-**-13IN - RHYMESTINE,	PORTFOLIO SERIES: CONS INV A	0.00	0.79	0.00	0.79	0.0	0.00
	ACCOUNT #: LSR011106	BUY 1 Units @0.0000						
05/21/2018	***-**-02IN - BUSHEY, MELISSA	PORTFOLIO SERIES: CONS INV A	0.00	0.61	0.00	0.61	0.0	0.00
	ACCOUNT #: LSR011257	BUY 1 Units @0.0000						
05/21/2018	***-**-62IN - EATON, DAVID	PORTFOLIO SERIES: CONS INV A	0.00	1.19	0.00	1.19	0.0	0.00
	ACCOUNT #: LSR011315	BUY 1 Units @0.0000						
05/21/2018	***-**-567I - FRANZ, ALICE	PORTFOLIO SERIES: CONSERVATIVE INVE	0.00	3.12	0.00	3.12	0.0	0.00
	ACCOUNT #: LSR010960	BUY 1 Units @0.0000						
05/21/2018	***-**-664J - PFAFF, GEORGE	PORTFOLIO SERIES: CONSERVATIVE INVE	0.00	4.25	0.00	4.25	0.0	0.00
	ACCOUNT #: LSR011184	BUY 1 Units @0.0000						
05/21/2018	***-**-96IN - NESSIA, BONNIE	PUTNAM UTILITIES GROWTH AND INCOME	0.00	1.54	0.00	1.54	0.0	0.00
	ACCOUNT #: LSR011055	BUY 1 Units @0.0000						
05/21/2018	***-**-579I - RHYMESTINE,	PUTNAM UTILITIES GROWTH AND INCOME	0.00	1.37	0.00	1.37	0.0	0.00
	ACCOUNT #: LSR011082	BUY 1 Units @0.0000						



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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
05/21/2018	***-**-861I - SANGER, LAWRENCE	PUTNAM UTILITIES GROWTH AND INCOME	0.00	1.39	0.00	1.39	0.0	0.00
	ACCOUNT #: LSR011095	BUY 1 Units @0.0000						
05/21/2018	***-**-02IN - BUSHEY, MELISSA	PUTNAM UTILITIES GROWTH AND INCOME	0.00	0.47	0.00	0.47	0.0	0.00
	ACCOUNT #: LSR011257	BUY 1 Units @0.0000						
05/21/2018	***-**-22IO - CLINTON, STEPHEN	PUTNAM 746792100	0.00	0.66	0.00	0.66	0.0	0.00
	ACCOUNT #: LSR011684	BUY 1 Units @0.0000						
05/21/2018	***-**-15IN - PENDRAK, JOHN	PUTNAM ABSOLUTE RETURN 700 CL B	0.00	2.30	0.00	2.30	0.0	0.00
	ACCOUNT #: LSR010948	BUY 1 Units @0.0000						
05/21/2018	***-**-169I - EVANS, PAUL	PUTNAM ABSOLUTE RETURN 700 CL B	0.00	1.19	0.00	1.19	0.0	0.00
	ACCOUNT #: LSR011026	BUY 1 Units @0.0000						
05/21/2018	***-**-62IR - ROBBIANO, FBO	PUTNAM ABSOLUTE RETURN 700 CL B	0.00	0.70	0.00	0.70	0.0	0.00
	ACCOUNT #: LSR011195	BUY 1 Units @0.0000						
05/21/2018	***-**-52IO - EUSEPI, SUSAN	PUTNAM ABSOLUTE RETURN 700 CL B	0.00	1.09	0.00	1.09	0.0	0.00
	ACCOUNT #: LSR011219	BUY 1 Units @0.0000						
05/21/2018	***-**-62IN - EATON, DAVID	PUTNAM ABSOLUTE RETURN 700 CL B	0.00	0.16	0.00	0.16	0.0	0.00
	ACCOUNT #: LSR011315	BUY 1 Units @0.0000						
05/21/2018	***-**-51IN - GERACE, JOANNE	PUTNAM ABSOLUTE RETURN 700 CL B	0.00	1.08	0.00	1.08	0.0	0.00
	ACCOUNT #: LSR011538	BUY 1 Units @0.0000						
05/21/2018	***-**-235I - AUGUSTINE III,	PUTNAM ABSOLUTE RETURN 700 CL C	0.00	4.24	0.00	4.24	0.0	0.00
	ACCOUNT #: LSR010845	BUY 1 Units @0.0000						
05/21/2018	***-**-382I - SATTERLY, NEIL	PUTNAM ABSOLUTE RETURN 700 CL C	0.00	14.28	0.00	14.28	0.0	0.00
	ACCOUNT #: LSR010867	BUY 1 Units @0.0000						
05/21/2018	***-**-48IO - CLARK, PATRICK	PUTNAM ABSOLUTE RETURN 700 CL C	0.00	9.13	0.00	9.13	0.0	0.00
	ACCOUNT #: LSR010911	BUY 1 Units @0.0000						
05/21/2018	***-**-72IN - GAVALO, JULIE	PUTNAM ABSOLUTE RETURN 700 CL C	0.00	9.06	0.00	9.06	0.0	0.00
	ACCOUNT #: LSR010921	BUY 1 Units @0.0000						
05/21/2018	***-**-065I - LAZIO, THOMAS	PUTNAM ABSOLUTE RETURN 700 CL C	0.00	7.08	0.00	7.08	0.0	0.00
	ACCOUNT #: LSR010979	BUY 1 Units @0.0000						
05/21/2018	***-**-09IO - BATES, FBO MRS	PUTNAM ABSOLUTE RETURN 700 CL C	0.00	8.88	0.00	8.88	0.0	0.00
	ACCOUNT #: LSR011117	BUY 1 Units @0.0000						
05/21/2018	***-**-11IO - LYNN G.	PUTNAM ABSOLUTE RETURN 700 CL C	0.00	13.44	0.00	13.44	0.0	0.00
	ACCOUNT #: LSR011239	BUY 1 Units @0.0000						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
05/21/2018	***-**-80IO - EVANS, RICHARD	PUTNAM ABSOLUTE RETURN 700 CL C	0.00	7.53	0.00	7.53	0.0	0.00
	ACCOUNT #: LSR011276	BUY 1 Units @0.0000						
05/21/2018	***-**-45IO - JOHNSON, GREGORY	PUTNAM ABSOLUTE RETURN 700 CL C	0.00	8.99	0.00	8.99	0.0	0.00
	ACCOUNT #: LSR011421	BUY 1 Units @0.0000						
05/21/2018	***-**-628I - SANGER, SANDRA	PUTNAM ABSOLUTE RETURN 700-A	0.00	0.75	0.00	0.75	0.0	0.00
	ACCOUNT #: LSR010942	BUY 1 Units @0.0000						
05/21/2018	***-**-944O - MAYO, DEBORAH	PUTNAM ABSOLUTE RETURN 700-A	0.00	1.75	0.00	1.75	0.0	0.00
	ACCOUNT #: LSR011035	BUY 1 Units @0.0000						
05/21/2018	***-**-63TR - EVANS, AUDREY J	PUTNAM ABSOLUTE RETURN 700-A	0.00	2.26	0.00	2.26	0.0	0.00
	ACCOUNT #: LSR011036	BUY 1 Units @0.0000						
05/21/2018	***-**-579I - RHYMESTINE,	PUTNAM ABSOLUTE RETURN 700-A	0.00	0.82	0.00	0.82	0.0	0.00
	ACCOUNT #: LSR011082	BUY 1 Units @0.0000						
05/21/2018	***-**-861I - SANGER, LAWRENCE	PUTNAM ABSOLUTE RETURN 700-A	0.00	1.26	0.00	1.26	0.0	0.00
	ACCOUNT #: LSR011095	BUY 1 Units @0.0000						
05/21/2018	***-**-02IN - BUSHEY, MELISSA	PUTNAM ABSOLUTE RETURN 700-A	0.00	0.37	0.00	0.37	0.0	0.00
	ACCOUNT #: LSR011257	BUY 1 Units @0.0000						
05/21/2018	***-**-653J - KOCHER, CLINTON	PUTNAM ABSOLUTE RETURN 700-A	0.00	0.75	0.00	0.75	0.0	0.00
	ACCOUNT #: LSR011298	BUY 1 Units @0.0000						
05/21/2018	***-**-62IN - EATON, DAVID	PUTNAM ABSOLUTE RETURN 700-A	0.00	0.80	0.00	0.80	0.0	0.00
	ACCOUNT #: LSR011315	BUY 1 Units @0.0000						
05/21/2018	***-**-22IO - CLINTON, STEPHEN	PUTNAM ABSOLUTE RETURN 700-A	0.00	0.68	0.00	0.68	0.0	0.00
	ACCOUNT #: LSR011684	BUY 1 Units @0.0000						
05/21/2018	***-**-22IO - CLINTON, STEPHEN	PUTNAM AMERICAN GOVERNMENT INCOME F	0.00	0.39	0.00	0.39	0.0	0.00
	ACCOUNT #: LSR011684	BUY 1 Units @0.0000						
05/21/2018	***-**-31IO - HARTZ, CLAUDIA	PUTNAM ASSET ALLOC BALANCED-C	0.00	4.60	0.00	4.60	0.0	0.00
	ACCOUNT #: LSR010915	BUY 1 Units @0.0000						
05/21/2018	***-**-31IO - HARTZ, CLAUDIA	PUTNAM CAPITAL SPECTRUM FD CL B	0.00	0.66	0.00	0.66	0.0	0.00
	ACCOUNT #: LSR010915	BUY 1 Units @0.0000						
05/21/2018	***-**-930I - SANGER, KEVIN	PUTNAM CAPITAL SPECTRUM FD CL B	0.00	0.91	0.00	0.91	0.0	0.00
	ACCOUNT #: LSR010941	BUY 1 Units @0.0000						
05/21/2018	***-**-366S - GRUENEWALD,	PUTNAM CAPITAL SPECTRUM FD CL B	0.00	0.79	0.00	0.79	0.0	0.00
	ACCOUNT #: LSR010990	BUY 1 Units @0.0000						



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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
05/21/2018	***-**-51IO - CAIN, TIMOTHY	PUTNAM CAPITAL SPECTRUM FD CL B	0.00	1.51	0.00	1.51	0.0	0.00
	ACCOUNT #: LSR011007	BUY 1 Units @0.0000						
05/21/2018	***-**-579I - RHYMESTINE,	PUTNAM CAPITAL SPECTRUM FD CL B	0.00	1.38	0.00	1.38	0.0	0.00
	ACCOUNT #: LSR011082	BUY 1 Units @0.0000						
05/21/2018	***-**-73UT - COBB, CHRSTIAN	PUTNAM CAPITAL SPECTRUM FD CL B	0.00	1.50	0.00	1.50	0.0	0.00
	ACCOUNT #: LSR011104	BUY 1 Units @0.0000						
05/21/2018	***-**-67UT - COBB,	PUTNAM CAPITAL SPECTRUM FD CL B	0.00	1.50	0.00	1.50	0.0	0.00
	ACCOUNT #: LSR011105	BUY 1 Units @0.0000						
05/21/2018	***-**-992J - CORNACCHIA	PUTNAM CAPITAL SPECTRUM FD CL B	0.00	0.46	0.00	0.46	0.0	0.00
	ACCOUNT #: LSR011157	BUY 1 Units @0.0000						
05/21/2018	***-**-66IO - RUDD, MICHAEL	PUTNAM CAPITAL SPECTRUM FD CL B	0.00	0.15	0.00	0.15	0.0	0.00
	ACCOUNT #: LSR011268	BUY 1 Units @0.0000						
05/21/2018	***-**-21IO - RADELL, SANDRA	PUTNAM CAPITAL SPECTRUM FD CL B	0.00	1.50	0.00	1.50	0.0	0.00
	ACCOUNT #: LSR011392	BUY 1 Units @0.0000						
05/21/2018	***-**-22IO - CLINTON, STEPHEN	PUTNAM CAPITAL SPECTRUM FUND CL A	0.00	0.74	0.00	0.74	0.0	0.00
	ACCOUNT #: LSR011684	BUY 1 Units @0.0000						
05/21/2018	***-**-382I - SATTERLY, NEIL	PUTNAM CAPITAL SPECTRUM FUND CL C	0.00	7.27	0.00	7.27	0.0	0.00
	ACCOUNT #: LSR010867	BUY 1 Units @0.0000						
05/21/2018	***-**-980I - ACEE, ELIZABETH	PUTNAM CAPITAL SPECTRUM FUND CL C	0.00	11.57	0.00	11.57	0.0	0.00
	ACCOUNT #: LSR010885	BUY 1 Units @0.0000						
05/21/2018	***-**-44IO - MAYO, DEBORAH	PUTNAM CAPITAL SPECTRUM FUND CL C	0.00	7.76	0.00	7.76	0.0	0.00
	ACCOUNT #: LSR011079	BUY 1 Units @0.0000						
05/21/2018	***-**-09IO - BATES, FBO MRS	PUTNAM CAPITAL SPECTRUM FUND CL C	0.00	16.57	0.00	16.57	0.0	0.00
	ACCOUNT #: LSR011117	BUY 1 Units @0.0000						
05/21/2018	***-**-094I - KATRENA L	PUTNAM CAPITAL SPECTRUM FUND CL C	0.00	6.50	0.00	6.50	0.0	0.00
	ACCOUNT #: LSR011188	BUY 1 Units @0.0000						
05/21/2018	***-**-11IO - LYNN G.	PUTNAM CAPITAL SPECTRUM FUND CL C	0.00	15.76	0.00	15.76	0.0	0.00
	ACCOUNT #: LSR011239	BUY 1 Units @0.0000						
05/21/2018	***-**-45IO - JOHNSON, GREGORY	PUTNAM CAPITAL SPECTRUM FUND CL C	0.00	11.97	0.00	11.97	0.0	0.00
	ACCOUNT #: LSR011421	BUY 1 Units @0.0000						
05/21/2018	***-**-235I - AUGUSTINE III,	PUTNAM COMP	0.00	5.51	0.00	5.51	0.0	0.00
	ACCOUNT #: LSR010845	BUY 1 Units @0.0000						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
05/21/2018	***-**-881I - EBERLEY, SUSAN	PUTNAM COMP	0.00	4.71	0.00	4.71	0.0	0.00
	ACCOUNT #: LSR010858	BUY 1 Units @0.0000						
05/21/2018	***-**-48IO - CLARK, PATRICK	PUTNAM COMP	0.00	7.56	0.00	7.56	0.0	0.00
	ACCOUNT #: LSR010911	BUY 1 Units @0.0000						
05/21/2018	***-**-72IN - GAVALO, JULIE	PUTNAM COMP	0.00	6.52	0.00	6.52	0.0	0.00
	ACCOUNT #: LSR010921	BUY 1 Units @0.0000						
05/21/2018	***-**-959J - FRANZ, PAUL	PUTNAM COMP	0.00	9.82	0.00	9.82	0.0	0.00
	ACCOUNT #: LSR010958	BUY 1 Units @0.0000						
05/21/2018	***-**-065I - LAZIO, THOMAS	PUTNAM COMP	0.00	5.60	0.00	5.60	0.0	0.00
	ACCOUNT #: LSR010979	BUY 1 Units @0.0000						
05/21/2018	***-**-420T - DEMETRI, AMELIA	PUTNAM COMP	0.00	5.00	0.00	5.00	0.0	0.00
	ACCOUNT #: LSR010994	BUY 1 Units @0.0000						
05/21/2018	***-**-169I - EVANS, PAUL	PUTNAM COMP	0.00	4.01	0.00	4.01	0.0	0.00
	ACCOUNT #: LSR011026	BUY 1 Units @0.0000						
05/21/2018	***-**-80IN - COBB, JAMES	PUTNAM COMP	0.00	7.23	0.00	7.23	0.0	0.00
	ACCOUNT #: LSR011042	BUY 1 Units @0.0000						
05/21/2018	***-**-00IO - LEE, GARY	PUTNAM COMP	0.00	8.88	0.00	8.88	0.0	0.00
	ACCOUNT #: LSR011059	BUY 1 Units @0.0000						
05/21/2018	***-**-09IO - BATES, FBO MRS	PUTNAM COMP	0.00	8.88	0.00	8.88	0.0	0.00
	ACCOUNT #: LSR011117	BUY 1 Units @0.0000						
05/21/2018	***-**-89IN - LEE, ROGER	PUTNAM COMP	0.00	4.98	0.00	4.98	0.0	0.00
	ACCOUNT #: LSR011166	BUY 1 Units @0.0000						
05/21/2018	***-**-094I - KATRENA L	PUTNAM COMP	0.00	6.96	0.00	6.96	0.0	0.00
	ACCOUNT #: LSR011188	BUY 1 Units @0.0000						
05/21/2018	***-**-11IO - LYNN G.	PUTNAM COMP	0.00	9.19	0.00	9.19	0.0	0.00
	ACCOUNT #: LSR011239	BUY 1 Units @0.0000						
05/21/2018	***-**-80IO - EVANS, RICHARD	PUTNAM COMP	0.00	4.54	0.00	4.54	0.0	0.00
	ACCOUNT #: LSR011276	BUY 1 Units @0.0000						
05/21/2018	***-**-376I - BERBEN, GAIL	PUTNAM COMP	0.00	8.96	0.00	8.96	0.0	0.00
	ACCOUNT #: LSR011380	BUY 1 Units @0.0000						
05/21/2018	***-**-45IO - JOHNSON, GREGORY	PUTNAM COMP	0.00	13.98	0.00	13.98	0.0	0.00
	ACCOUNT #: LSR011421	BUY 1 Units @0.0000						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
05/21/2018	***-**-14IO - BUSHEY, MATTHEW	PUTNAM COMP	0.00	9.05	0.00	9.05	0.0	0.00
	ACCOUNT #: LSR011498	BUY 1 Units @0.0000						
05/21/2018	***-**-37IO - MCCLUSKY, MARK	PUTNAM COMP	0.00	6.66	0.00	6.66	0.0	0.00
	ACCOUNT #: LSR011579	BUY 1 Units @0.0000						
05/21/2018	***-**-86IN - LEE, KEVIN	PUTNAM COMP	0.00	7.55	0.00	7.55	0.0	0.00
	ACCOUNT #: LSR011613	BUY 1 Units @0.0000						
05/21/2018	***-**-51IO - SCALISE, MARY	PUTNAM COMP	0.00	0.77	0.00	0.77	0.0	0.00
	ACCOUNT #: LSR011837	BUY 1 Units @0.0000						
05/21/2018	***-**-949I - ACEE, JOSPEH	PUTNAM CONV INCOME-GROWTH-B	0.00	2.19	0.00	2.19	0.0	0.00
	ACCOUNT #: LSR010908	BUY 1 Units @0.0000						
05/21/2018	***-**-31IO - HARTZ, CLAUDIA	PUTNAM CONV INCOME-GROWTH-B	0.00	0.65	0.00	0.65	0.0	0.00
	ACCOUNT #: LSR010915	BUY 1 Units @0.0000						
05/21/2018	***-**-567I - FRANZ, ALICE	PUTNAM CONV INCOME-GROWTH-B	0.00	2.84	0.00	2.84	0.0	0.00
	ACCOUNT #: LSR010960	BUY 1 Units @0.0000						
05/21/2018	***-**-366S - GRUENEWALD,	PUTNAM CONV INCOME-GROWTH-B	0.00	0.77	0.00	0.77	0.0	0.00
	ACCOUNT #: LSR010990	BUY 1 Units @0.0000						
05/21/2018	***-**-580X - COBB, JAMES	PUTNAM CONV INCOME-GROWTH-B	0.00	1.56	0.00	1.56	0.0	0.00
	ACCOUNT #: LSR011040	BUY 1 Units @0.0000						
05/21/2018	***-**-579I - RHYMESTINE,	PUTNAM CONV INCOME-GROWTH-B	0.00	1.08	0.00	1.08	0.0	0.00
	ACCOUNT #: LSR011082	BUY 1 Units @0.0000						
05/21/2018	***-**-506J - CURRIERE JR, MR	PUTNAM CONV INCOME-GROWTH-B	0.00	1.02	0.00	1.02	0.0	0.00
	ACCOUNT #: LSR011121	BUY 1 Units @0.0000						
05/21/2018	***-**-48IO - ANACKER, FBO MRS	PUTNAM CONV INCOME-GROWTH-B	0.00	1.14	0.00	1.14	0.0	0.00
	ACCOUNT #: LSR011164	BUY 1 Units @0.0000						
05/21/2018	***-**-64IO - PFAFF, GEORGE	PUTNAM CONV INCOME-GROWTH-B	0.00	1.34	0.00	1.34	0.0	0.00
	ACCOUNT #: LSR011185	BUY 1 Units @0.0000						
05/21/2018	***-**-62IR - ROBBIANO, FBO	PUTNAM CONV INCOME-GROWTH-B	0.00	0.69	0.00	0.69	0.0	0.00
	ACCOUNT #: LSR011195	BUY 1 Units @0.0000						
05/21/2018	***-**-653I - KOCHER, CLINTON	PUTNAM CONV INCOME-GROWTH-B	0.00	2.14	0.00	2.14	0.0	0.00
	ACCOUNT #: LSR011300	BUY 1 Units @0.0000						
05/21/2018	***-**-00IO - LEE, GARY	PUTNAM CONVERTIBLE SECURITIES CL C	0.00	13.48	0.00	13.48	0.0	0.00
	ACCOUNT #: LSR011059	BUY 1 Units @0.0000						



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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
05/21/2018	***-**-11IO - LYNN G. ACCOUNT #: LSR011239	PUTNAM CONVERTIBLE SECURITIES CL C BUY 1 Units @0.0000	0.00	16.93	0.00	16.93	0.0	0.00
05/21/2018	***-**-1320 - EVANS, THOMAS ACCOUNT #: LSR011074	PUTNAM DIVERSIFIED INCOME CLASS C BUY 1 Units @0.0000	0.00	7.29	0.00	7.29	0.0	0.00
05/21/2018	***-**-11IO - LYNN G. ACCOUNT #: LSR011239	PUTNAM DIVERSIFIED INCOME CLASS C BUY 1 Units @0.0000	0.00	14.35	0.00	14.35	0.0	0.00
05/21/2018	***-**-881J - EBERLEY, SUSAN ACCOUNT #: LSR010856	PUTNAM DIVERSIFIED INCOME-B BUY 1 Units @0.0000	0.00	2.22	0.00	2.22	0.0	0.00
05/21/2018	***-**-949I - ACEE, JOSPEH ACCOUNT #: LSR010908	PUTNAM DIVERSIFIED INCOME-B BUY 1 Units @0.0000	0.00	0.86	0.00	0.86	0.0	0.00
05/21/2018	***-**-31IO - HARTZ, CLAUDIA ACCOUNT #: LSR010915	PUTNAM DIVERSIFIED INCOME-B BUY 1 Units @0.0000	0.00	0.65	0.00	0.65	0.0	0.00
05/21/2018	***-**-702I - KOCHEM, MICHAEL ACCOUNT #: LSR010954	PUTNAM DIVERSIFIED INCOME-B BUY 1 Units @0.0000	0.00	1.86	0.00	1.86	0.0	0.00
05/21/2018	***-**-960J - MASTRANGELO, ACCOUNT #: LSR010966	PUTNAM DIVERSIFIED INCOME-B BUY 1 Units @0.0000	0.00	2.02	0.00	2.02	0.0	0.00
05/21/2018	***-**-51IO - CAIN, TIMOTHY ACCOUNT #: LSR011007	PUTNAM DIVERSIFIED INCOME-B BUY 1 Units @0.0000	0.00	1.26	0.00	1.26	0.0	0.00
05/21/2018	***-**-761I - EVANS, DOLORES ACCOUNT #: LSR011024	PUTNAM DIVERSIFIED INCOME-B BUY 1 Units @0.0000	0.00	10.83	0.00	10.83	0.0	0.00
05/21/2018	***-**-63TR - EVANS, AUDREY J ACCOUNT #: LSR011036	PUTNAM DIVERSIFIED INCOME-B BUY 1 Units @0.0000	0.00	2.51	0.00	2.51	0.0	0.00
05/21/2018	***-**-579I - RHYMESTINE, ACCOUNT #: LSR011082	PUTNAM DIVERSIFIED INCOME-B BUY 1 Units @0.0000	0.00	1.17	0.00	1.17	0.0	0.00
05/21/2018	***-**-861I - SANGER, LAWRENCE ACCOUNT #: LSR011095	PUTNAM DIVERSIFIED INCOME-B BUY 1 Units @0.0000	0.00	1.49	0.00	1.49	0.0	0.00
05/21/2018	***-**-31IO - WILLIAMSON, FBO ACCOUNT #: LSR011172	PUTNAM DIVERSIFIED INCOME-B BUY 1 Units @0.0000	0.00	6.31	0.00	6.31	0.0	0.00
05/21/2018	***-**-680I - HARRELL, DARYL ACCOUNT #: LSR011321	PUTNAM DIVERSIFIED INCOME-B BUY 1 Units @0.0000	0.00	0.68	0.00	0.68	0.0	0.00
05/21/2018	***-**-960J - MASTRANGELO, ACCOUNT #: LSR010966	PUTNAM EQUITY INCOME FUND-B BUY 1 Units @0.0000	0.00	2.42	0.00	2.42	0.0	0.00



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
05/21/2018	***-**-664J - PFAFF, GEORGE	PUTNAM EQUITY INCOME FUND-B	0.00	2.44	0.00	2.44	0.0	0.00
	ACCOUNT #: LSR011184	BUY 1 Units @0.0000						
05/21/2018	***-**-169I - EVANS, PAUL	PUTNAM EQUITY SPECTRUM FD CL B	0.00	0.93	0.00	0.93	0.0	0.00
	ACCOUNT #: LSR011026	BUY 1 Units @0.0000						
05/21/2018	***-**-881J - EBERLEY, SUSAN	PUTNAM EQUITY SPECTRUM FD CL C	0.00	10.83	0.00	10.83	0.0	0.00
	ACCOUNT #: LSR010856	BUY 1 Units @0.0000						
05/21/2018	***-**-48IO - CLARK, PATRICK	PUTNAM EQUITY SPECTRUM FD CL C	0.00	23.09	0.00	23.09	0.0	0.00
	ACCOUNT #: LSR010911	BUY 1 Units @0.0000						
05/21/2018	***-**-031O - MCVOY, ROBERT	PUTNAM EQUITY SPECTRUM FD CL C	0.00	8.09	0.00	8.09	0.0	0.00
	ACCOUNT #: LSR010916	BUY 1 Units @0.0000						
05/21/2018	***-**-72IN - GAVALO, JULIE	PUTNAM EQUITY SPECTRUM FD CL C	0.00	15.24	0.00	15.24	0.0	0.00
	ACCOUNT #: LSR010921	BUY 1 Units @0.0000						
05/21/2018	***-**-959I - FRANZ, PAUL	PUTNAM EQUITY SPECTRUM FD CL C	0.00	9.40	0.00	9.40	0.0	0.00
	ACCOUNT #: LSR010959	BUY 1 Units @0.0000						
05/21/2018	***-**-065I - LAZIO, THOMAS	PUTNAM EQUITY SPECTRUM FD CL C	0.00	6.20	0.00	6.20	0.0	0.00
	ACCOUNT #: LSR010979	BUY 1 Units @0.0000						
05/21/2018	***-**-73TR - WESTCOTT IRRVOC	PUTNAM EQUITY SPECTRUM FD CL C	0.00	6.56	0.00	6.56	0.0	0.00
	ACCOUNT #: LSR011001	BUY 1 Units @0.0000						
05/21/2018	***-**-80IN - COBB, JAMES	PUTNAM EQUITY SPECTRUM FD CL C	0.00	7.62	0.00	7.62	0.0	0.00
	ACCOUNT #: LSR011042	BUY 1 Units @0.0000						
05/21/2018	***-**-44IO - MAYO, DEBORAH	PUTNAM EQUITY SPECTRUM FD CL C	0.00	7.77	0.00	7.77	0.0	0.00
	ACCOUNT #: LSR011079	BUY 1 Units @0.0000						
05/21/2018	***-**-09IO - BATES, FBO MRS	PUTNAM EQUITY SPECTRUM FD CL C	0.00	8.10	0.00	8.10	0.0	0.00
	ACCOUNT #: LSR011117	BUY 1 Units @0.0000						
05/21/2018	***-**-89IN - LEE, ROGER	PUTNAM EQUITY SPECTRUM FD CL C	0.00	11.48	0.00	11.48	0.0	0.00
	ACCOUNT #: LSR011166	BUY 1 Units @0.0000						
05/21/2018	***-**-473J - HUSTON,	PUTNAM EQUITY SPECTRUM FD CL C	0.00	8.73	0.00	8.73	0.0	0.00
	ACCOUNT #: LSR011228	BUY 1 Units @0.0000						
05/21/2018	***-**-11IO - LYNN G.	PUTNAM EQUITY SPECTRUM FD CL C	0.00	9.88	0.00	9.88	0.0	0.00
	ACCOUNT #: LSR011239	BUY 1 Units @0.0000						
05/21/2018	***-**-80IO - EVANS, RICHARD	PUTNAM EQUITY SPECTRUM FD CL C	0.00	8.48	0.00	8.48	0.0	0.00
	ACCOUNT #: LSR011276	BUY 1 Units @0.0000						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
05/21/2018	***-**-07IO - FAMOLARO, JAMES	PUTNAM EQUITY SPECTRUM FD CL C	0.00	5.25	0.00	5.25	0.0	0.00
	ACCOUNT #: LSR011280	BUY 1 Units @0.0000						
05/21/2018	***-**-094I - KATRENA L	PUTNAM EUROPE EQUITY CLASS C	0.00	4.40	0.00	4.40	0.0	0.00
	ACCOUNT #: LSR011188	BUY 1 Units @0.0000						
05/21/2018	***-**-808J - GORMAN, RANDY	PUTNAM GLOBAL CONSUMER FD A	0.00	0.29	0.00	0.29	0.0	0.00
	ACCOUNT #: LSR011087	BUY 1 Units @0.0000						
05/21/2018	***-**-949I - ACEE, JOSPEH	PUTNAM GLOBAL CONSUMER FUND CL B	0.00	1.94	0.00	1.94	0.0	0.00
	ACCOUNT #: LSR010908	BUY 1 Units @0.0000						
05/21/2018	***-**-31IO - HARTZ, CLAUDIA	PUTNAM GLOBAL CONSUMER FUND CL B	0.00	0.47	0.00	0.47	0.0	0.00
	ACCOUNT #: LSR010915	BUY 1 Units @0.0000						
05/21/2018	***-**-567I - FRANZ, ALICE	PUTNAM GLOBAL CONSUMER FUND CL B	0.00	3.23	0.00	3.23	0.0	0.00
	ACCOUNT #: LSR010960	BUY 1 Units @0.0000						
05/21/2018	***-**-366I - GRUENEWALD,	PUTNAM GLOBAL CONSUMER FUND CL B	0.00	1.04	0.00	1.04	0.0	0.00
	ACCOUNT #: LSR010989	BUY 1 Units @0.0000						
05/21/2018	***-**-51IO - CAIN, TIMOTHY	PUTNAM GLOBAL CONSUMER FUND CL B	0.00	1.32	0.00	1.32	0.0	0.00
	ACCOUNT #: LSR011007	BUY 1 Units @0.0000						
05/21/2018	***-**-761I - EVANS, DOLORES	PUTNAM GLOBAL CONSUMER FUND CL B	0.00	1.92	0.00	1.92	0.0	0.00
	ACCOUNT #: LSR011024	BUY 1 Units @0.0000						
05/21/2018	***-**-944O - MAYO, DEBORAH	PUTNAM GLOBAL CONSUMER FUND CL B	0.00	1.03	0.00	1.03	0.0	0.00
	ACCOUNT #: LSR011035	BUY 1 Units @0.0000						
05/21/2018	***-**-63TR - EVANS, AUDREY J	PUTNAM GLOBAL CONSUMER FUND CL B	0.00	1.49	0.00	1.49	0.0	0.00
	ACCOUNT #: LSR011036	BUY 1 Units @0.0000						
05/21/2018	***-**-306X - COBB, CHERRYL	PUTNAM GLOBAL CONSUMER FUND CL B	0.00	1.21	0.00	1.21	0.0	0.00
	ACCOUNT #: LSR011037	BUY 1 Units @0.0000						
05/21/2018	***-**-579J - RHYMESTINE,	PUTNAM GLOBAL CONSUMER FUND CL B	0.00	1.18	0.00	1.18	0.0	0.00
	ACCOUNT #: LSR011081	BUY 1 Units @0.0000						
05/21/2018	***-**-326I - GRANDE, FBO MR	PUTNAM GLOBAL CONSUMER FUND CL B	0.00	1.28	0.00	1.28	0.0	0.00
	ACCOUNT #: LSR011091	BUY 1 Units @0.0000						
05/21/2018	***-**-506J - CURRIERE JR, MR	PUTNAM GLOBAL CONSUMER FUND CL B	0.00	1.44	0.00	1.44	0.0	0.00
	ACCOUNT #: LSR011121	BUY 1 Units @0.0000						
05/21/2018	***-**-367J - WAGNER, MRS LANT	PUTNAM GLOBAL CONSUMER FUND CL B	0.00	2.11	0.00	2.11	0.0	0.00
	ACCOUNT #: LSR011134	BUY 1 Units @0.0000						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
05/21/2018	***-**-48IO - ANACKER, FBO MRS	PUTNAM GLOBAL CONSUMER FUND CL B	0.00	1.84	0.00	1.84	0.0	0.00
	ACCOUNT #: LSR011164	BUY 1 Units @0.0000						
05/21/2018	***-**-64IO - PFAFF, GEORGE	PUTNAM GLOBAL CONSUMER FUND CL B	0.00	1.18	0.00	1.18	0.0	0.00
	ACCOUNT #: LSR011185	BUY 1 Units @0.0000						
05/21/2018	***-**-62IR - ROBBIANO, FBO	PUTNAM GLOBAL CONSUMER FUND CL B	0.00	1.18	0.00	1.18	0.0	0.00
	ACCOUNT #: LSR011195	BUY 1 Units @0.0000						
05/21/2018	***-**-66IO - RUDD, MICHAEL	PUTNAM GLOBAL CONSUMER FUND CL B	0.00	0.06	0.00	0.06	0.0	0.00
	ACCOUNT #: LSR011268	BUY 1 Units @0.0000						
05/21/2018	***-**-653I - KOCHER, CLINTON	PUTNAM GLOBAL CONSUMER FUND CL B	0.00	2.66	0.00	2.66	0.0	0.00
	ACCOUNT #: LSR011300	BUY 1 Units @0.0000						
05/21/2018	***-**-680I - HARRELL, DARYL	PUTNAM GLOBAL CONSUMER FUND CL B	0.00	1.56	0.00	1.56	0.0	0.00
	ACCOUNT #: LSR011321	BUY 1 Units @0.0000						
05/21/2018	***-**-21IO - RADELL, SANDRA	PUTNAM GLOBAL CONSUMER FUND CL B	0.00	1.21	0.00	1.21	0.0	0.00
	ACCOUNT #: LSR011392	BUY 1 Units @0.0000						
05/21/2018	***-**-12IR - GRUENEWALD,	PUTNAM GLOBAL CONSUMER FUND CL B	0.00	0.62	0.00	0.62	0.0	0.00
	ACCOUNT #: LSR011614	BUY 1 Units @0.0000						
05/21/2018	***-**-03IO - MASTRANGELO,	PUTNAM GLOBAL CONSUMER FUND CL B	0.00	1.92	0.00	1.92	0.0	0.00
	ACCOUNT #: LSR011679	BUY 1 Units @0.0000						
05/21/2018	***-**-45IN - WILLIAMSON,	PUTNAM GLOBAL CONSUMER FUND CL B	0.00	0.78	0.00	0.78	0.0	0.00
	ACCOUNT #: LSR011751	BUY 1 Units @0.0000						
05/21/2018	***-**-065I - LAZIO, THOMAS	PUTNAM GLOBAL CONSUMER FUND CL C	0.00	4.95	0.00	4.95	0.0	0.00
	ACCOUNT #: LSR010979	BUY 1 Units @0.0000						
05/21/2018	***-**-44IO - MAYO, DEBORAH	PUTNAM GLOBAL CONSUMER FUND CL C	0.00	11.89	0.00	11.89	0.0	0.00
	ACCOUNT #: LSR011079	BUY 1 Units @0.0000						
05/21/2018	***-**-89IN - LEE, ROGER	PUTNAM GLOBAL CONSUMER FUND CL C	0.00	7.32	0.00	7.32	0.0	0.00
	ACCOUNT #: LSR011166	BUY 1 Units @0.0000						
05/21/2018	***-**-11IO - LYNN G.	PUTNAM GLOBAL CONSUMER FUND CL C	0.00	9.97	0.00	9.97	0.0	0.00
	ACCOUNT #: LSR011239	BUY 1 Units @0.0000						
05/21/2018	***-**-37IO - MCCLUSKY, MARK	PUTNAM GLOBAL CONSUMER FUND CL C	0.00	7.07	0.00	7.07	0.0	0.00
	ACCOUNT #: LSR011579	BUY 1 Units @0.0000						
05/21/2018	***-**-51IO - SCALISE, MARY	PUTNAM GLOBAL CONSUMER FUND CL C	0.00	0.10	0.00	0.10	0.0	0.00
	ACCOUNT #: LSR011837	BUY 1 Units @0.0000						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
05/21/2018	***-**-702I - KOCHEM, MICHAEL	PUTNAM GLOBAL HEALTH CARE FD-A	0.00	1.37	0.00	1.37	0.0	0.00
	ACCOUNT #: LSR010954	BUY 1 Units @0.0000						
05/21/2018	***-**-22IO - CLINTON, STEPHEN	PUTNAM GLOBAL HEALTH CARE FD-A	0.00	0.95	0.00	0.95	0.0	0.00
	ACCOUNT #: LSR011684	BUY 1 Units @0.0000						
05/21/2018	***-**-579I - RHYMESTINE,	PUTNAM GLOBAL NAT RESOURCES-A	0.00	1.15	0.00	1.15	0.0	0.00
	ACCOUNT #: LSR011082	BUY 1 Units @0.0000						
05/21/2018	***-**-680I - HARRELL, DARYL	PUTNAM GLOBAL NAT RESOURCES-A	0.00	0.12	0.00	0.12	0.0	0.00
	ACCOUNT #: LSR011321	BUY 1 Units @0.0000						
05/21/2018	***-**-31IO - HARTZ, CLAUDIA	PUTNAM GLOBAL NAT RESOURCES-B	0.00	0.88	0.00	0.88	0.0	0.00
	ACCOUNT #: LSR010915	BUY 1 Units @0.0000						
05/21/2018	***-**-567I - FRANZ, ALICE	PUTNAM GLOBAL NAT RESOURCES-B	0.00	0.69	0.00	0.69	0.0	0.00
	ACCOUNT #: LSR010960	BUY 1 Units @0.0000						
05/21/2018	***-**-664J - PFAFF, GEORGE	PUTNAM GLOBAL NAT RESOURCES-B	0.00	0.62	0.00	0.62	0.0	0.00
	ACCOUNT #: LSR011184	BUY 1 Units @0.0000						
05/21/2018	***-**-63TR - EVANS, AUDREY J	PUTNAM GLOBAL SECTOR FUND CL A	0.00	2.60	0.00	2.60	0.0	0.00
	ACCOUNT #: LSR011036	BUY 1 Units @0.0000						
05/21/2018	***-**-567I - FRANZ, ALICE	PUTNAM GLOBAL TECHNOLOGY CL B	0.00	2.13	0.00	2.13	0.0	0.00
	ACCOUNT #: LSR010960	BUY 1 Units @0.0000						
05/21/2018	***-**-944O - MAYO, DEBORAH	PUTNAM GLOBAL TECHNOLOGY CL B	0.00	0.93	0.00	0.93	0.0	0.00
	ACCOUNT #: LSR011035	BUY 1 Units @0.0000						
05/21/2018	***-**-63TR - EVANS, AUDREY J	PUTNAM GLOBAL TELECOMMUNICATIONS B	0.00	2.41	0.00	2.41	0.0	0.00
	ACCOUNT #: LSR011036	BUY 1 Units @0.0000						
05/21/2018	***-**-62IR - ROBBIANO, FBO	PUTNAM GLOBAL TELECOMMUNICATIONS B	0.00	0.59	0.00	0.59	0.0	0.00
	ACCOUNT #: LSR011195	BUY 1 Units @0.0000						
05/21/2018	***-**-382I - SATTERLY, NEIL	PUTNAM GLOBAL UTILITIES CL C	0.00	5.27	0.00	5.27	0.0	0.00
	ACCOUNT #: LSR010867	BUY 1 Units @0.0000						
05/21/2018	***-**-881I - EBERLEY, SUSAN	PUTNAM GROWTH OPPORTUNITIES FUND CL	0.00	9.00	0.00	9.00	0.0	0.00
	ACCOUNT #: LSR010858	BUY 1 Units @0.0000						
05/21/2018	***-**-382I - SATTERLY, NEIL	PUTNAM GROWTH OPPORTUNITIES FUND CL	0.00	9.52	0.00	9.52	0.0	0.00
	ACCOUNT #: LSR010867	BUY 1 Units @0.0000						
05/21/2018	***-**-420T - DEMETRI, AMELIA	PUTNAM GROWTH OPPORTUNITIES FUND CL	0.00	9.36	0.00	9.36	0.0	0.00
	ACCOUNT #: LSR010994	BUY 1 Units @0.0000						



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KURT GRUENEWALD
2108 Genesee St.
Utica, NY 13502

BROKER #: A77
BRANCH #01047 - 47 - GRIFFITH

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
05/21/2018	***-**-169I - EVANS, PAUL	PUTNAM GROWTH OPPORTUNITIES FUND CL	0.00	6.38	0.00	6.38	0.0	0.00
	ACCOUNT #: LSR011026	BUY 1 Units @0.0000						
05/21/2018	***-**-80IN - COBB, JAMES	PUTNAM GROWTH OPPORTUNITIES FUND CL	0.00	8.14	0.00	8.14	0.0	0.00
	ACCOUNT #: LSR011042	BUY 1 Units @0.0000						
05/21/2018	***-**-14IO - BUSHEY, MATTHEW	PUTNAM GROWTH OPPORTUNITIES FUND CL	0.00	8.81	0.00	8.81	0.0	0.00
	ACCOUNT #: LSR011498	BUY 1 Units @0.0000						
05/21/2018	***-**-51IO - CAIN, TIMOTHY	PUTNAM GROWTH OPPORTUNITIES FUND CL	0.00	2.39	0.00	2.39	0.0	0.00
	ACCOUNT #: LSR011007	BUY 1 Units @0.0000						
05/21/2018	***-**-653I - KOCHER, CLINTON	PUTNAM GROWTH OPPORTUNITIES FUND CL	0.00	2.85	0.00	2.85	0.0	0.00
	ACCOUNT #: LSR011300	BUY 1 Units @0.0000						
05/21/2018	***-**-13IO - ROTH, KAREN	PUTNAM GROWTH OPPORTUNITIES FUND CL	0.00	1.49	0.00	1.49	0.0	0.00
	ACCOUNT #: LSR011484	BUY 1 Units @0.0000						
05/21/2018	***-**-31IO - HARTZ, CLAUDIA	PUTNAM HEALTH SCIENCES TR-B	0.00	0.86	0.00	0.86	0.0	0.00
	ACCOUNT #: LSR010915	BUY 1 Units @0.0000						
05/21/2018	***-**-930I - SANGER, KEVIN	PUTNAM HEALTH SCIENCES TR-B	0.00	0.67	0.00	0.67	0.0	0.00
	ACCOUNT #: LSR010941	BUY 1 Units @0.0000						
05/21/2018	***-**-567I - FRANZ, ALICE	PUTNAM HEALTH SCIENCES TR-B	0.00	2.41	0.00	2.41	0.0	0.00
	ACCOUNT #: LSR010960	BUY 1 Units @0.0000						
05/21/2018	***-**-960J - MASTRANGELO,	PUTNAM HEALTH SCIENCES TR-B	0.00	1.23	0.00	1.23	0.0	0.00
	ACCOUNT #: LSR010966	BUY 1 Units @0.0000						
05/21/2018	***-**-761I - EVANS, DOLORES	PUTNAM HEALTH SCIENCES TR-B	0.00	1.99	0.00	1.99	0.0	0.00
	ACCOUNT #: LSR011024	BUY 1 Units @0.0000						
05/21/2018	***-**-944O - MAYO, DEBORAH	PUTNAM HEALTH SCIENCES TR-B	0.00	1.66	0.00	1.66	0.0	0.00
	ACCOUNT #: LSR011035	BUY 1 Units @0.0000						
05/21/2018	***-**-579I - RHYMESTINE,	PUTNAM HEALTH SCIENCES TR-B	0.00	2.17	0.00	2.17	0.0	0.00
	ACCOUNT #: LSR011082	BUY 1 Units @0.0000						
05/21/2018	***-**-326I - GRANDE, FBO MR	PUTNAM HEALTH SCIENCES TR-B	0.00	1.32	0.00	1.32	0.0	0.00
	ACCOUNT #: LSR011091	BUY 1 Units @0.0000						
05/21/2018	***-**-48IO - ANACKER, FBO MRS	PUTNAM HEALTH SCIENCES TR-B	0.00	2.06	0.00	2.06	0.0	0.00
	ACCOUNT #: LSR011164	BUY 1 Units @0.0000						
05/21/2018	***-**-664J - PFAFF, GEORGE	PUTNAM HEALTH SCIENCES TR-B	0.00	2.03	0.00	2.03	0.0	0.00
	ACCOUNT #: LSR011184	BUY 1 Units @0.0000						



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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
05/21/2018	***-**-64IO - PFAFF, GEORGE	PUTNAM HEALTH SCIENCES TR-B	0.00	0.80	0.00	0.80	0.0	0.00
	ACCOUNT #: LSR011185	BUY 1 Units @0.0000						
05/21/2018	***-**-62IR - ROBBIANO, FBO	PUTNAM HEALTH SCIENCES TR-B	0.00	0.88	0.00	0.88	0.0	0.00
	ACCOUNT #: LSR011195	BUY 1 Units @0.0000						
05/21/2018	***-**-52IO - EUSEPI, SUSAN	PUTNAM HEALTH SCIENCES TR-B	0.00	1.06	0.00	1.06	0.0	0.00
	ACCOUNT #: LSR011219	BUY 1 Units @0.0000						
05/21/2018	***-**-480J - EVANS, RICHARD	PUTNAM HEALTH SCIENCES TR-B	0.00	1.01	0.00	1.01	0.0	0.00
	ACCOUNT #: LSR011274	BUY 1 Units @0.0000						
05/21/2018	***-**-653I - KOCHER, CLINTON	PUTNAM HEALTH SCIENCES TR-B	0.00	2.97	0.00	2.97	0.0	0.00
	ACCOUNT #: LSR011300	BUY 1 Units @0.0000						
05/21/2018	***-**-21IO - RADELL, SANDRA	PUTNAM HEALTH SCIENCES TR-B	0.00	1.73	0.00	1.73	0.0	0.00
	ACCOUNT #: LSR011392	BUY 1 Units @0.0000						
05/21/2018	***-**-197I - GAMBINO, ANDREW	PUTNAM HEALTH SCIENCES TR-B	0.00	0.19	0.00	0.19	0.0	0.00
	ACCOUNT #: LSR011465	BUY 1 Units @0.0000						
05/21/2018	***-**-53IN - EVANS, ANDREW	PUTNAM HEALTH SCIENCES TR-B	0.00	0.50	0.00	0.50	0.0	0.00
	ACCOUNT #: LSR011483	BUY 1 Units @0.0000						
05/21/2018	***-**-13IO - ROTH, KAREN	PUTNAM HEALTH SCIENCES TR-B	0.00	1.39	0.00	1.39	0.0	0.00
	ACCOUNT #: LSR011484	BUY 1 Units @0.0000						
05/21/2018	***-**-38IO - BROWN, TYLER	PUTNAM HEALTH SCIENCES TR-B	0.00	0.78	0.00	0.78	0.0	0.00
	ACCOUNT #: LSR011602	BUY 1 Units @0.0000						
05/21/2018	***-**-12IR - GRUENEWALD,	PUTNAM HEALTH SCIENCES TR-B	0.00	0.67	0.00	0.67	0.0	0.00
	ACCOUNT #: LSR011614	BUY 1 Units @0.0000						
05/21/2018	***-**-03IO - MASTRANGELO,	PUTNAM HEALTH SCIENCES TR-B	0.00	1.19	0.00	1.19	0.0	0.00
	ACCOUNT #: LSR011679	BUY 1 Units @0.0000						
05/21/2018	***-**-45IN - WILLIAMSON,	PUTNAM HEALTH SCIENCES TR-B	0.00	0.67	0.00	0.67	0.0	0.00
	ACCOUNT #: LSR011751	BUY 1 Units @0.0000						
05/21/2018	***-**-22IO - CLINTON, STEPHEN	PUTNAM INTL GROWTH & INC-A	0.00	1.10	0.00	1.10	0.0	0.00
	ACCOUNT #: LSR011684	BUY 1 Units @0.0000						
05/21/2018	***-**-382K - SATTERLY, NEIL	PUTNAM INVESTORS CLASS C	0.00	4.31	0.00	4.31	0.0	0.00
	ACCOUNT #: LSR010875	BUY 1 Units @0.0000						
05/21/2018	***-**-653J - KOCHER, CLINTON	PUTNAM INVESTORS CLASS C	0.00	4.31	0.00	4.31	0.0	0.00
	ACCOUNT #: LSR011298	BUY 1 Units @0.0000						



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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
05/21/2018	***-**-22IO - CLINTON, STEPHEN	PUTNAM SMALL CAP VALUE FUND-A	0.00	1.33	0.00	1.33	0.0	0.00
	ACCOUNT #: LSR011684	BUY 1 Units @0.0000						
05/21/2018	***-**-22IO - CLINTON, STEPHEN	PUTNAM U.S. GOVT INCOME TR-A	0.00	0.23	0.00	0.23	0.0	0.00
	ACCOUNT #: LSR011684	BUY 1 Units @0.0000						
05/21/2018	***-**-63TR - EVANS, AUDREY J	PUTNAM U.S. GOVT INCOME TR-B	0.00	0.88	0.00	0.88	0.0	0.00
	ACCOUNT #: LSR011036	BUY 1 Units @0.0000						
05/21/2018	***-**-254I - AUGUSTINE, LINDA	PUTNAM UTILITIES GR & INC-B	0.00	1.07	0.00	1.07	0.0	0.00
	ACCOUNT #: LSR010846	BUY 1 Units @0.0000						
05/21/2018	***-**-881J - EBERLEY, SUSAN	PUTNAM UTILITIES GR & INC-B	0.00	1.49	0.00	1.49	0.0	0.00
	ACCOUNT #: LSR010856	BUY 1 Units @0.0000						
05/21/2018	***-**-949I - ACEE, JOSPEH	PUTNAM UTILITIES GR & INC-B	0.00	0.68	0.00	0.68	0.0	0.00
	ACCOUNT #: LSR010908	BUY 1 Units @0.0000						
05/21/2018	***-**-31IO - HARTZ, CLAUDIA	PUTNAM UTILITIES GR & INC-B	0.00	0.50	0.00	0.50	0.0	0.00
	ACCOUNT #: LSR010915	BUY 1 Units @0.0000						
05/21/2018	***-**-930I - SANGER, KEVIN	PUTNAM UTILITIES GR & INC-B	0.00	0.95	0.00	0.95	0.0	0.00
	ACCOUNT #: LSR010941	BUY 1 Units @0.0000						
05/21/2018	***-**-15IN - PENDRAK, JOHN	PUTNAM UTILITIES GR & INC-B	0.00	2.09	0.00	2.09	0.0	0.00
	ACCOUNT #: LSR010948	BUY 1 Units @0.0000						
05/21/2018	***-**-959I - FRANZ, PAUL	PUTNAM UTILITIES GR & INC-B	0.00	1.67	0.00	1.67	0.0	0.00
	ACCOUNT #: LSR010959	BUY 1 Units @0.0000						
05/21/2018	***-**-960J - MASTRANGELO,	PUTNAM UTILITIES GR & INC-B	0.00	2.04	0.00	2.04	0.0	0.00
	ACCOUNT #: LSR010966	BUY 1 Units @0.0000						
05/21/2018	***-**-51IO - CAIN, TIMOTHY	PUTNAM UTILITIES GR & INC-B	0.00	1.13	0.00	1.13	0.0	0.00
	ACCOUNT #: LSR011007	BUY 1 Units @0.0000						
05/21/2018	***-**-761I - EVANS, DOLORES	PUTNAM UTILITIES GR & INC-B	0.00	1.30	0.00	1.30	0.0	0.00
	ACCOUNT #: LSR011024	BUY 1 Units @0.0000						
05/21/2018	***-**-31IO - WILLIAMSON, FBO	PUTNAM UTILITIES GR & INC-B	0.00	1.76	0.00	1.76	0.0	0.00
	ACCOUNT #: LSR011172	BUY 1 Units @0.0000						
05/21/2018	***-**-714O - LINES, JUDITH	QUEST BALANCED FUND C	0.00	1.65	0.00	1.65	0.0	0.00
	ACCOUNT #: LSR011763	BUY 1 Units @0.0000						
05/21/2018	***-**-680I - HARRELL, DARYL	QUEST INTERNATIONAL VALUE FUND, INC	0.00	0.67	0.00	0.67	0.0	0.00
	ACCOUNT #: LSR011321	BUY 1 Units @0.0000						



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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
05/21/2018	***-**-15IN - PENDRAK, JOHN	QUEST OPPORTUNITY VALUE A	0.00	0.68	0.00	0.68	0.0	0.00
	ACCOUNT #: LSR010948	BUY 1 Units @0.0000						
05/21/2018	***-**-254I - AUGUSTINE, LINDA	REAL ESTATE FUND A	0.00	1.02	0.00	1.02	0.0	0.00
	ACCOUNT #: LSR010846	BUY 1 Units @0.0000						
05/21/2018	***-**-881J - EBERLEY, SUSAN	REAL ESTATE FUND A	0.00	0.97	0.00	0.97	0.0	0.00
	ACCOUNT #: LSR010856	BUY 1 Units @0.0000						
05/21/2018	***-**-15IN - PENDRAK, JOHN	REAL ESTATE FUND A	0.00	0.77	0.00	0.77	0.0	0.00
	ACCOUNT #: LSR010948	BUY 1 Units @0.0000						
05/21/2018	***-**-702I - KOCHER, MICHAEL	REAL ESTATE FUND A	0.00	0.90	0.00	0.90	0.0	0.00
	ACCOUNT #: LSR010954	BUY 1 Units @0.0000						
05/21/2018	***-**-51IO - CAIN, TIMOTHY	REAL ESTATE FUND A	0.00	1.06	0.00	1.06	0.0	0.00
	ACCOUNT #: LSR011007	BUY 1 Units @0.0000						
05/21/2018	***-**-761I - EVANS, DOLORES	REAL ESTATE FUND A	0.00	2.65	0.00	2.65	0.0	0.00
	ACCOUNT #: LSR011024	BUY 1 Units @0.0000						
05/21/2018	***-**-944O - MAYO, DEBORAH	REAL ESTATE FUND A	0.00	0.56	0.00	0.56	0.0	0.00
	ACCOUNT #: LSR011035	BUY 1 Units @0.0000						
05/21/2018	***-**-111J - NESSIA, JAMES	REAL ESTATE FUND A	0.00	0.92	0.00	0.92	0.0	0.00
	ACCOUNT #: LSR011054	BUY 1 Units @0.0000						
05/21/2018	***-**-326I - GRANDE, FBO MR	REAL ESTATE FUND A	0.00	1.01	0.00	1.01	0.0	0.00
	ACCOUNT #: LSR011091	BUY 1 Units @0.0000						
05/21/2018	***-**-861I - SANGER, LAWRENCE	REAL ESTATE FUND A	0.00	1.29	0.00	1.29	0.0	0.00
	ACCOUNT #: LSR011095	BUY 1 Units @0.0000						
05/21/2018	***-**-506J - CURRIERE JR, MR	REAL ESTATE FUND A	0.00	0.45	0.00	0.45	0.0	0.00
	ACCOUNT #: LSR011121	BUY 1 Units @0.0000						
05/21/2018	***-**-367J - WAGNER, MRS LANT	REAL ESTATE FUND A	0.00	1.17	0.00	1.17	0.0	0.00
	ACCOUNT #: LSR011134	BUY 1 Units @0.0000						
05/21/2018	***-**-31IO - WILLIAMSON, FBO	REAL ESTATE FUND A	0.00	1.49	0.00	1.49	0.0	0.00
	ACCOUNT #: LSR011172	BUY 1 Units @0.0000						
05/21/2018	***-**-653I - KOCHER, CLINTON	REAL ESTATE FUND A	0.00	1.30	0.00	1.30	0.0	0.00
	ACCOUNT #: LSR011300	BUY 1 Units @0.0000						
05/21/2018	***-**-62IN - EATON, DAVID	REAL ESTATE FUND A	0.00	0.56	0.00	0.56	0.0	0.00
	ACCOUNT #: LSR011315	BUY 1 Units @0.0000						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
05/21/2018	***-**-949I - ACEE, JOSPEH	REAL ESTATE FUND B	0.00	1.21	0.00	1.21	0.0	0.00
	ACCOUNT #: LSR010908	BUY 1 Units @0.0000						
05/21/2018	***-**-567I - FRANZ, ALICE	REAL ESTATE FUND B	0.00	1.89	0.00	1.89	0.0	0.00
	ACCOUNT #: LSR010960	BUY 1 Units @0.0000						
05/21/2018	***-**-506J - CURRIERE JR, MR	REAL ESTATE FUND B	0.00	0.02	0.00	0.02	0.0	0.00
	ACCOUNT #: LSR011121	BUY 1 Units @0.0000						
05/21/2018	***-**-48IO - ANACKER, FBO MRS	REAL ESTATE FUND B	0.00	1.39	0.00	1.39	0.0	0.00
	ACCOUNT #: LSR011164	BUY 1 Units @0.0000						
05/21/2018	***-**-664J - PFAFF, GEORGE	REAL ESTATE FUND B	0.00	1.32	0.00	1.32	0.0	0.00
	ACCOUNT #: LSR011184	BUY 1 Units @0.0000						
05/21/2018	***-**-64IO - PFAFF, GEORGE	REAL ESTATE FUND B	0.00	1.41	0.00	1.41	0.0	0.00
	ACCOUNT #: LSR011185	BUY 1 Units @0.0000						
05/21/2018	***-**-62IR - ROBBIANO, FBO	REAL ESTATE FUND B	0.00	0.41	0.00	0.41	0.0	0.00
	ACCOUNT #: LSR011195	BUY 1 Units @0.0000						
05/21/2018	***-**-653I - KOCHER, CLINTON	REAL ESTATE FUND B	0.00	0.04	0.00	0.04	0.0	0.00
	ACCOUNT #: LSR011300	BUY 1 Units @0.0000						
05/21/2018	***-**-382I - SATTERLY, NEIL	REAL ESTATE FUND C	0.00	9.36	0.00	9.36	0.0	0.00
	ACCOUNT #: LSR010867	BUY 1 Units @0.0000						
05/21/2018	***-**-48IO - CLARK, PATRICK	REAL ESTATE FUND C	0.00	6.96	0.00	6.96	0.0	0.00
	ACCOUNT #: LSR010911	BUY 1 Units @0.0000						
05/21/2018	***-**-72IN - GAVALO, JULIE	REAL ESTATE FUND C	0.00	7.53	0.00	7.53	0.0	0.00
	ACCOUNT #: LSR010921	BUY 1 Units @0.0000						
05/21/2018	***-**-065I - LAZIO, THOMAS	REAL ESTATE FUND C	0.00	5.57	0.00	5.57	0.0	0.00
	ACCOUNT #: LSR010979	BUY 1 Units @0.0000						
05/21/2018	***-**-73TR - WESTCOTT IRRVOC	REAL ESTATE FUND C	0.00	7.37	0.00	7.37	0.0	0.00
	ACCOUNT #: LSR011001	BUY 1 Units @0.0000						
05/21/2018	***-**-73TR - WESTCOTT IRRVOC	REAL ESTATE FUND C	0.00	1.98	0.00	1.98	0.0	0.00
	ACCOUNT #: LSR011008	BUY 1 Units @0.0000						
05/21/2018	***-**-00IO - LEE, GARY	REAL ESTATE FUND C	0.00	8.99	0.00	8.99	0.0	0.00
	ACCOUNT #: LSR011059	BUY 1 Units @0.0000						
05/21/2018	***-**-52IO - EUSEPI, SUSAN	REAL ESTATE FUND C	0.00	4.27	0.00	4.27	0.0	0.00
	ACCOUNT #: LSR011219	BUY 1 Units @0.0000						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
05/21/2018	***-**-11IO - LYNN G. ACCOUNT #: LSR011239	REAL ESTATE FUND C BUY 1 Units @0.0000	0.00	11.69	0.00	11.69	0.0	0.00
05/21/2018	***-**-80IO - EVANS, RICHARD ACCOUNT #: LSR011276	REAL ESTATE FUND C BUY 1 Units @0.0000	0.00	3.69	0.00	3.69	0.0	0.00
05/21/2018	***-**-45IO - JOHNSON, GREGORY ACCOUNT #: LSR011421	REAL ESTATE FUND C BUY 1 Units @0.0000	0.00	6.33	0.00	6.33	0.0	0.00
05/21/2018	***-**-714O - LINES, JUDITH ACCOUNT #: LSR011763	REAL ESTATE FUND C BUY 1 Units @0.0000	0.00	2.17	0.00	2.17	0.0	0.00
05/21/2018	***-**-671I - EBERLEY, REID ACCOUNT #: 20021572	RESOURCE REAL ESTATE TRAILS BUY 0 Units @0.0000	0.00	12.84	0.00	12.84	0.0	0.00
05/21/2018	***-**-44IO - MAYO, DEBORAH ACCOUNT #: 020026000	RESOURCE REAL ESTATE TRAILS BUY 0 Units @0.0000	0.00	8.73	0.00	8.73	0.0	0.00
05/21/2018	***-**-524I - SCALISE, JOSEPH	RESOURCE REAL ESTATE TRAILS BUY 0 Units @0.0000	0.00	0.51	0.00	0.51	0.0	0.00
05/21/2018	***-**-15IN - PENDRAK, JOHN	RESOURCE REAL ESTATE TRAILS BUY 0 Units @0.0000	0.00	1.62	0.00	1.62	0.0	0.00
05/21/2018	***-**-960J - MASTRANGELO, ACCOUNT #: 20002467	RESOURCE REAL ESTATE TRAILS BUY 0 Units @0.0000	0.00	10.84	0.00	10.84	0.0	0.00
05/21/2018	***-**-44IO - MAYO, DEBORAH ACCOUNT #: 020026000	RESOURCE REAL ESTATE TRAILS BUY 0 Units @0.0000	0.00	4.87	0.00	4.87	0.0	0.00
05/21/2018	***-**-31IN - WARMUTH,	RESOURCE REAL ESTATE TRAILS BUY 0 Units @0.0000	0.00	4.13	0.00	4.13	0.0	0.00
05/21/2018	***-**-531J - WILLIAMSON, ACCOUNT #: 20033096	RESOURCE REAL ESTATE TRAILS BUY 0 Units @0.0000	0.00	8.13	0.00	8.13	0.0	0.00
05/21/2018	***-**-65IN - LAZIO, THOMAS ACCOUNT #: 20010459	RESOURCE REAL ESTATE TRAILS BUY 0 Units @0.0000	0.00	16.92	0.00	16.92	0.0	0.00
05/21/2018	***-**-31IO - HARTZ, CLAUDIA ACCOUNT #: LSR010915	RESOURCE REAL ESTATE-NFS BUY 1 Units @0.0000	0.00	5.56	0.00	5.56	0.0	0.00
05/21/2018	***-**-72IN - GAVALO, JULIE ACCOUNT #: LSR010921	RESOURCE REAL ESTATE-NFS BUY 1 Units @0.0000	0.00	3.69	0.00	3.69	0.0	0.00
05/21/2018	***-**-930I - SANGER, KEVIN ACCOUNT #: LSR010941	RESOURCE REAL ESTATE-NFS BUY 1 Units @0.0000	0.00	12.27	0.00	12.27	0.0	0.00



COMMISSION STATEMENT

May 21, 2018

KURT GRUENEWALD
2108 Genesee St.
Utica, NY 13502

BROKER #: A77
BRANCH #01047 - 47 - GRIFFITH

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
05/21/2018	***-**-628I - SANGER, SANDRA	RESOURCE REAL ESTATE-NFS	0.00	5.24	0.00	5.24	0.0	0.00
	ACCOUNT #: LSR010942	BUY 1 Units @0.0000						
05/21/2018	***-**-567I - FRANZ, ALICE	RESOURCE REAL ESTATE-NFS	0.00	6.12	0.00	6.12	0.0	0.00
	ACCOUNT #: LSR010960	BUY 1 Units @0.0000						
05/21/2018	***-**-761I - EVANS, DOLORES	RESOURCE REAL ESTATE-NFS	0.00	6.43	0.00	6.43	0.0	0.00
	ACCOUNT #: LSR011024	BUY 1 Units @0.0000						
05/21/2018	***-**-63TR - EVANS, AUDREY J	RESOURCE REAL ESTATE-NFS	0.00	11.04	0.00	11.04	0.0	0.00
	ACCOUNT #: LSR011036	BUY 1 Units @0.0000						
05/21/2018	***-**-44IO - MAYO, DEBORAH	RESOURCE REAL ESTATE-NFS	0.00	23.99	0.00	23.99	0.0	0.00
	ACCOUNT #: LSR011079	BUY 1 Units @0.0000						
05/21/2018	***-**-861I - SANGER, LAWRENCE	RESOURCE REAL ESTATE-NFS	0.00	7.35	0.00	7.35	0.0	0.00
	ACCOUNT #: LSR011095	BUY 1 Units @0.0000						
05/21/2018	***-**-89IN - LEE, ROGER	RESOURCE REAL ESTATE-NFS	0.00	13.77	0.00	13.77	0.0	0.00
	ACCOUNT #: LSR011166	BUY 1 Units @0.0000						
05/21/2018	***-**-29IO - MASSOUD,	RESOURCE REAL ESTATE-NFS	0.00	6.11	0.00	6.11	0.0	0.00
	ACCOUNT #: LSR011217	BUY 1 Units @0.0000						
05/21/2018	***-**-473J - HUSTON,	RESOURCE REAL ESTATE-NFS	0.00	6.13	0.00	6.13	0.0	0.00
	ACCOUNT #: LSR011228	BUY 1 Units @0.0000						
05/21/2018	***-**-653I - KOCHER, CLINTON	RESOURCE REAL ESTATE-NFS	0.00	6.11	0.00	6.11	0.0	0.00
	ACCOUNT #: LSR011300	BUY 1 Units @0.0000						
05/21/2018	***-**-37IO - MCCLUSKY, MARK	RESOURCE REAL ESTATE-NFS	0.00	3.08	0.00	3.08	0.0	0.00
	ACCOUNT #: LSR011579	BUY 1 Units @0.0000						
05/21/2018	***-**-86IN - LEE, KEVIN	RESOURCE REAL ESTATE-NFS	0.00	6.08	0.00	6.08	0.0	0.00
	ACCOUNT #: LSR011613	BUY 1 Units @0.0000						
05/21/2018	***-**-531J - WILLIAMSON,	RESOURCE REAL ESTATE-NFS	0.00	12.08	0.00	12.08	0.0	0.00
	ACCOUNT #: LSR011716	BUY 1 Units @0.0000						
05/21/2018	***-**-633J -	RESOURCE REAL ESTATE-NFS	0.00	1.02	0.00	1.02	0.0	0.00
	ACCOUNT #: LSR011732	BUY 1 Units @0.0000						
05/21/2018	***-**-714O - LINES, JUDITH	RESOURCE REAL ESTATE-NFS	0.00	4.84	0.00	4.84	0.0	0.00
	ACCOUNT #: LSR011763	BUY 1 Units @0.0000						
05/21/2018	***-**-31IO - HARTZ, CLAUDIA	RESOURCE REAL ESTATE-NFS	0.00	1.85	0.00	1.85	0.0	0.00
	ACCOUNT #: LSR010915	BUY 1 Units @0.0000						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
05/21/2018	***-**-72IN - GAVALO, JULIE	RESOURCE REAL ESTATE-NFS	0.00	1.23	0.00	1.23	0.0	0.00
	ACCOUNT #: LSR010921	BUY 1 Units @0.0000						
05/21/2018	***-**-930I - SANGER, KEVIN	RESOURCE REAL ESTATE-NFS	0.00	4.09	0.00	4.09	0.0	0.00
	ACCOUNT #: LSR010941	BUY 1 Units @0.0000						
05/21/2018	***-**-628I - SANGER, SANDRA	RESOURCE REAL ESTATE-NFS	0.00	1.75	0.00	1.75	0.0	0.00
	ACCOUNT #: LSR010942	BUY 1 Units @0.0000						
05/21/2018	***-**-567I - FRANZ, ALICE	RESOURCE REAL ESTATE-NFS	0.00	2.04	0.00	2.04	0.0	0.00
	ACCOUNT #: LSR010960	BUY 1 Units @0.0000						
05/21/2018	***-**-761I - EVANS, DOLORES	RESOURCE REAL ESTATE-NFS	0.00	2.14	0.00	2.14	0.0	0.00
	ACCOUNT #: LSR011024	BUY 1 Units @0.0000						
05/21/2018	***-**-63TR - EVANS, AUDREY J	RESOURCE REAL ESTATE-NFS	0.00	3.68	0.00	3.68	0.0	0.00
	ACCOUNT #: LSR011036	BUY 1 Units @0.0000						
05/21/2018	***-**-44IO - MAYO, DEBORAH	RESOURCE REAL ESTATE-NFS	0.00	8.00	0.00	8.00	0.0	0.00
	ACCOUNT #: LSR011079	BUY 1 Units @0.0000						
05/21/2018	***-**-861I - SANGER, LAWRENCE	RESOURCE REAL ESTATE-NFS	0.00	2.45	0.00	2.45	0.0	0.00
	ACCOUNT #: LSR011095	BUY 1 Units @0.0000						
05/21/2018	***-**-89IN - LEE, ROGER	RESOURCE REAL ESTATE-NFS	0.00	4.59	0.00	4.59	0.0	0.00
	ACCOUNT #: LSR011166	BUY 1 Units @0.0000						
05/21/2018	***-**-29IO - MASSOUD,	RESOURCE REAL ESTATE-NFS	0.00	2.04	0.00	2.04	0.0	0.00
	ACCOUNT #: LSR011217	BUY 1 Units @0.0000						
05/21/2018	***-**-473J - HUSTON,	RESOURCE REAL ESTATE-NFS	0.00	2.04	0.00	2.04	0.0	0.00
	ACCOUNT #: LSR011228	BUY 1 Units @0.0000						
05/21/2018	***-**-653I - KOCHER, CLINTON	RESOURCE REAL ESTATE-NFS	0.00	2.04	0.00	2.04	0.0	0.00
	ACCOUNT #: LSR011300	BUY 1 Units @0.0000						
05/21/2018	***-**-37IO - MCCLUSKY, MARK	RESOURCE REAL ESTATE-NFS	0.00	1.03	0.00	1.03	0.0	0.00
	ACCOUNT #: LSR011579	BUY 1 Units @0.0000						
05/21/2018	***-**-86IN - LEE, KEVIN	RESOURCE REAL ESTATE-NFS	0.00	2.03	0.00	2.03	0.0	0.00
	ACCOUNT #: LSR011613	BUY 1 Units @0.0000						
05/21/2018	***-**-531J - WILLIAMSON,	RESOURCE REAL ESTATE-NFS	0.00	4.03	0.00	4.03	0.0	0.00
	ACCOUNT #: LSR011716	BUY 1 Units @0.0000						
05/21/2018	***-**-633J -	RESOURCE REAL ESTATE-NFS	0.00	0.34	0.00	0.34	0.0	0.00
	ACCOUNT #: LSR011732	BUY 1 Units @0.0000						



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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
05/21/2018	***-**-7140 - LINES, JUDITH	RESOURCE REAL ESTATE-NFS	0.00	1.61	0.00	1.61	0.0	0.00
	ACCOUNT #: LSR011763	BUY 1 Units @0.0000						
05/21/2018	***-**-287J - HINCKLEY,	RISING DIVIDENDS FUND A	0.00	0.53	0.00	0.53	0.0	0.00
	ACCOUNT #: LSR010841	BUY 1 Units @0.0000						
05/21/2018	***-**-254I - AUGUSTINE, LINDA	RISING DIVIDENDS FUND A	0.00	1.49	0.00	1.49	0.0	0.00
	ACCOUNT #: LSR010846	BUY 1 Units @0.0000						
05/21/2018	***-**-881I - EBERLEY, SUSAN	RISING DIVIDENDS FUND A	0.00	0.87	0.00	0.87	0.0	0.00
	ACCOUNT #: LSR010858	BUY 1 Units @0.0000						
05/21/2018	***-**-702I - KOCHER, MICHAEL	RISING DIVIDENDS FUND A	0.00	2.24	0.00	2.24	0.0	0.00
	ACCOUNT #: LSR010954	BUY 1 Units @0.0000						
05/21/2018	***-**-959I - FRANZ, PAUL	RISING DIVIDENDS FUND A	0.00	1.06	0.00	1.06	0.0	0.00
	ACCOUNT #: LSR010959	BUY 1 Units @0.0000						
05/21/2018	***-**-366I - GRUENEWALD,	RISING DIVIDENDS FUND A	0.00	1.28	0.00	1.28	0.0	0.00
	ACCOUNT #: LSR010989	BUY 1 Units @0.0000						
05/21/2018	***-**-761I - EVANS, DOLORES	RISING DIVIDENDS FUND A	0.00	8.43	0.00	8.43	0.0	0.00
	ACCOUNT #: LSR011024	BUY 1 Units @0.0000						
05/21/2018	***-**-9440 - MAYO, DEBORAH	RISING DIVIDENDS FUND A	0.00	1.08	0.00	1.08	0.0	0.00
	ACCOUNT #: LSR011035	BUY 1 Units @0.0000						
05/21/2018	***-**-580X - COBB, JAMES	RISING DIVIDENDS FUND A	0.00	2.01	0.00	2.01	0.0	0.00
	ACCOUNT #: LSR011040	BUY 1 Units @0.0000						
05/21/2018	***-**-96IN - NESSIA, BONNIE	RISING DIVIDENDS FUND A	0.00	2.26	0.00	2.26	0.0	0.00
	ACCOUNT #: LSR011055	BUY 1 Units @0.0000						
05/21/2018	***-**-326I - GRANDE, FBO MR	RISING DIVIDENDS FUND A	0.00	1.89	0.00	1.89	0.0	0.00
	ACCOUNT #: LSR011091	BUY 1 Units @0.0000						
05/21/2018	***-**-861I - SANGER, LAWRENCE	RISING DIVIDENDS FUND A	0.00	1.92	0.00	1.92	0.0	0.00
	ACCOUNT #: LSR011095	BUY 1 Units @0.0000						
05/21/2018	***-**-13IN - RHYMESTINE,	RISING DIVIDENDS FUND A	0.00	1.09	0.00	1.09	0.0	0.00
	ACCOUNT #: LSR011106	BUY 1 Units @0.0000						
05/21/2018	***-**-664J - PFAFF, GEORGE	RISING DIVIDENDS FUND A	0.00	0.78	0.00	0.78	0.0	0.00
	ACCOUNT #: LSR011184	BUY 1 Units @0.0000						
05/21/2018	***-**-02IN - BUSHEY, MELISSA	RISING DIVIDENDS FUND A	0.00	0.88	0.00	0.88	0.0	0.00
	ACCOUNT #: LSR011257	BUY 1 Units @0.0000						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
05/21/2018	***-**-62IN - EATON, DAVID	RISING DIVIDENDS FUND A	0.00	1.19	0.00	1.19	0.0	0.00
	ACCOUNT #: LSR011315	BUY 1 Units @0.0000						
05/21/2018	***-**-680I - HARRELL, DARYL	RISING DIVIDENDS FUND A	0.00	1.03	0.00	1.03	0.0	0.00
	ACCOUNT #: LSR011321	BUY 1 Units @0.0000						
05/21/2018	***-**-579I - RHYMESTINE,	RISING DIVIDENDS FUND, INC. B	0.00	2.53	0.00	2.53	0.0	0.00
	ACCOUNT #: LSR011082	BUY 1 Units @0.0000						
05/21/2018	***-**-96IN - NESSIA, BONNIE	ROCH. LIMITED TERM NEW YORK MUNICI	0.00	1.23	0.00	1.23	0.0	0.00
	ACCOUNT #: LSR011055	BUY 1 Units @0.0000						
05/21/2018	***-**-13IN - RHYMESTINE,	ROCH. LIMITED TERM NEW YORK MUNICI	0.00	0.93	0.00	0.93	0.0	0.00
	ACCOUNT #: LSR011106	BUY 1 Units @0.0000						
05/21/2018	***-**-02IN - BUSHEY, MELISSA	ROCH. LIMITED TERM NEW YORK MUNICI	0.00	0.37	0.00	0.37	0.0	0.00
	ACCOUNT #: LSR011257	BUY 1 Units @0.0000						
05/21/2018	***-**-714O - LINES, JUDITH	ROCH. LIMITED TERM NEW YORK MUNICI	0.00	1.99	0.00	1.99	0.0	0.00
	ACCOUNT #: LSR011763	BUY 1 Units @0.0000						
05/21/2018	***-**-80IN - COBB, JAMES	ROCHESTER NATIONAL MUNICIPALS A	0.00	2.57	0.00	2.57	0.0	0.00
	ACCOUNT #: LSR011042	BUY 1 Units @0.0000						
05/21/2018	***-**-714O - LINES, JUDITH	SENIOR FLOATING RATE FUND C	0.00	3.35	0.00	3.35	0.0	0.00
	ACCOUNT #: LSR011763	BUY 1 Units @0.0000						
05/21/2018	***-**-567I - FRANZ, ALICE	SMALL- & MID- CAP VALUE B	0.00	2.27	0.00	2.27	0.0	0.00
	ACCOUNT #: LSR010960	BUY 1 Units @0.0000						
05/21/2018	***-**-579I - RHYMESTINE,	SMALL- & MID- CAP VALUE B	0.00	2.15	0.00	2.15	0.0	0.00
	ACCOUNT #: LSR011082	BUY 1 Units @0.0000						
05/21/2018	***-**-664J - PFAFF, GEORGE	SMALL- & MID- CAP VALUE B	0.00	0.70	0.00	0.70	0.0	0.00
	ACCOUNT #: LSR011184	BUY 1 Units @0.0000						
05/21/2018	***-**-065I - LAZIO, THOMAS	SMALL- & MID- CAP VALUE FUND C	0.00	4.55	0.00	4.55	0.0	0.00
	ACCOUNT #: LSR010979	BUY 1 Units @0.0000						
05/21/2018	***-**-28IN - BYWATER, KIM	SMALL- & MID- CAP VALUE FUND C	0.00	1.76	0.00	1.76	0.0	0.00
	ACCOUNT #: LSR011995	BUY 1 Units @0.0000						
05/21/2018	***-**-680I - HARRELL, DARYL	SMALLCAP WORLD FUND-A	0.00	0.85	0.00	0.85	0.0	0.00
	ACCOUNT #: LSR011321	BUY 1 Units @0.0000						
05/21/2018	***-**-382I - SATTERLY, NEIL	SMALLCAP WORLD FUND-C	0.00	8.49	0.00	8.49	0.0	0.00
	ACCOUNT #: LSR010867	BUY 1 Units @0.0000						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
05/21/2018	***-**-567I - FRANZ, ALICE	SMALLCAP WORLD FUND-C	0.00	6.97	0.00	6.97	0.0	0.00
	ACCOUNT #: LSR010960	BUY 1 Units @0.0000						
05/21/2018	***-**-44IO - MAYO, DEBORAH	SMALLCAP WORLD FUND-C	0.00	11.75	0.00	11.75	0.0	0.00
	ACCOUNT #: LSR011079	BUY 1 Units @0.0000						
05/21/2018	***-**-09IO - BATES, FBO MRS	SMALLCAP WORLD FUND-C	0.00	11.42	0.00	11.42	0.0	0.00
	ACCOUNT #: LSR011117	BUY 1 Units @0.0000						
05/21/2018	***-**-11IO - LYNN G.	SMALLCAP WORLD FUND-C	0.00	11.88	0.00	11.88	0.0	0.00
	ACCOUNT #: LSR011239	BUY 1 Units @0.0000						
05/21/2018	***-**-45IO - JOHNSON, GREGORY	SMALLCAP WORLD FUND-C	0.00	7.77	0.00	7.77	0.0	0.00
	ACCOUNT #: LSR011421	BUY 1 Units @0.0000						
05/21/2018	***-**-714O - LINES, JUDITH	STRATEGIC INCOME FUND C	0.00	1.33	0.00	1.33	0.0	0.00
	ACCOUNT #: LSR011763	BUY 1 Units @0.0000						
05/21/2018	***-**-366I - GRUENEWALD,	THE GROWTH FUND OF AMERICA-A	0.00	1.39	0.00	1.39	0.0	0.00
	ACCOUNT #: LSR010989	BUY 1 Units @0.0000						
05/21/2018	***-**-326I - GRANDE, FBO MR	THE GROWTH FUND OF AMERICA-A	0.00	2.11	0.00	2.11	0.0	0.00
	ACCOUNT #: LSR011091	BUY 1 Units @0.0000						
05/21/2018	***-**-567I - FRANZ, ALICE	THE GROWTH FUND OF AMERICA-C	0.00	10.12	0.00	10.12	0.0	0.00
	ACCOUNT #: LSR010960	BUY 1 Units @0.0000						
05/21/2018	***-**-287I - HINCKLEY,	THE INCOME FUND OF AMERICA-A	0.00	4.38	0.00	4.38	0.0	0.00
	ACCOUNT #: LSR010843	BUY 1 Units @0.0000						
05/21/2018	***-**-702I - KOCHER, MICHAEL	THE INCOME FUND OF AMERICA-A	0.00	3.44	0.00	3.44	0.0	0.00
	ACCOUNT #: LSR010954	BUY 1 Units @0.0000						
05/21/2018	***-**-959J - FRANZ, PAUL	THE INCOME FUND OF AMERICA-A	0.00	2.79	0.00	2.79	0.0	0.00
	ACCOUNT #: LSR010958	BUY 1 Units @0.0000						
05/21/2018	***-**-366I - GRUENEWALD,	THE INCOME FUND OF AMERICA-A	0.00	1.72	0.00	1.72	0.0	0.00
	ACCOUNT #: LSR010989	BUY 1 Units @0.0000						
05/21/2018	***-**-579J - RHYMESTINE,	THE INCOME FUND OF AMERICA-A	0.00	0.97	0.00	0.97	0.0	0.00
	ACCOUNT #: LSR011081	BUY 1 Units @0.0000						
05/21/2018	***-**-326I - GRANDE, FBO MR	THE INCOME FUND OF AMERICA-A	0.00	2.25	0.00	2.25	0.0	0.00
	ACCOUNT #: LSR011091	BUY 1 Units @0.0000						
05/21/2018	***-**-680I - HARRELL, DARYL	THE INCOME FUND OF AMERICA-A	0.00	1.08	0.00	1.08	0.0	0.00
	ACCOUNT #: LSR011321	BUY 1 Units @0.0000						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
05/21/2018	***-**-128I - BASHANT, THOMAS	THE INCOME FUND OF AMERICA-A	0.00	0.93	0.00	0.93	0.0	0.00
	ACCOUNT #: LSR011387	BUY 1 Units @0.0000						
05/21/2018	***-**-30TR - AND SANDRA	THE INCOME FUND OF AMERICA-A	0.00	2.57	0.00	2.57	0.0	0.00
	ACCOUNT #: LSR011939	BUY 1 Units @0.0000						
05/21/2018	***-**-80IO - EVANS, RICHARD	THE NEW ECONOMY FUND-C	0.00	11.33	0.00	11.33	0.0	0.00
	ACCOUNT #: LSR011276	BUY 1 Units @0.0000						
05/21/2018	***-**-235I - AUGUSTINE III,	TRANSAMERICA MLP & ENERGY INCOME CL	0.00	5.72	0.00	5.72	0.0	0.00
	ACCOUNT #: LSR010845	BUY 1 Units @0.0000						
05/21/2018	***-**-881J - EBERLEY, SUSAN	TRANSAMERICA MLP & ENERGY INCOME CL	0.00	6.75	0.00	6.75	0.0	0.00
	ACCOUNT #: LSR010856	BUY 1 Units @0.0000						
05/21/2018	***-**-980I - ACEE, ELIZABETH	TRANSAMERICA MLP & ENERGY INCOME CL	0.00	4.92	0.00	4.92	0.0	0.00
	ACCOUNT #: LSR010885	BUY 1 Units @0.0000						
05/21/2018	***-**-031O - MCVOY, ROBERT	TRANSAMERICA MLP & ENERGY INCOME CL	0.00	6.34	0.00	6.34	0.0	0.00
	ACCOUNT #: LSR010916	BUY 1 Units @0.0000						
05/21/2018	***-**-959I - FRANZ, PAUL	TRANSAMERICA MLP & ENERGY INCOME CL	0.00	11.35	0.00	11.35	0.0	0.00
	ACCOUNT #: LSR010959	BUY 1 Units @0.0000						
05/21/2018	***-**-73TR - WESTCOTT IRRVOC	TRANSAMERICA MLP & ENERGY INCOME CL	0.00	5.50	0.00	5.50	0.0	0.00
	ACCOUNT #: LSR011001	BUY 1 Units @0.0000						
05/21/2018	***-**-73TR - WESTCOTT IRRVOC	TRANSAMERICA MLP & ENERGY INCOME CL	0.00	5.30	0.00	5.30	0.0	0.00
	ACCOUNT #: LSR011008	BUY 1 Units @0.0000						
05/21/2018	***-**-44IO - MAYO, DEBORAH	TRANSAMERICA MLP & ENERGY INCOME CL	0.00	6.53	0.00	6.53	0.0	0.00
	ACCOUNT #: LSR011079	BUY 1 Units @0.0000						
05/21/2018	***-**-09IO - BATES, FBO MRS	TRANSAMERICA MLP & ENERGY INCOME CL	0.00	10.50	0.00	10.50	0.0	0.00
	ACCOUNT #: LSR011117	BUY 1 Units @0.0000						
05/21/2018	***-**-89IN - LEE, ROGER	TRANSAMERICA MLP & ENERGY INCOME CL	0.00	11.91	0.00	11.91	0.0	0.00
	ACCOUNT #: LSR011166	BUY 1 Units @0.0000						
05/21/2018	***-**-11IO - LYNN G.	TRANSAMERICA MLP & ENERGY INCOME CL	0.00	10.11	0.00	10.11	0.0	0.00
	ACCOUNT #: LSR011239	BUY 1 Units @0.0000						
05/21/2018	***-**-80IO - EVANS, RICHARD	TRANSAMERICA MLP & ENERGY INCOME CL	0.00	6.79	0.00	6.79	0.0	0.00
	ACCOUNT #: LSR011276	BUY 1 Units @0.0000						
05/21/2018	***-**-45IO - JOHNSON, GREGORY	TRANSAMERICA MLP & ENERGY INCOME CL	0.00	8.55	0.00	8.55	0.0	0.00
	ACCOUNT #: LSR011421	BUY 1 Units @0.0000						



COMMISSION STATEMENT

May 21, 2018

KURT GRUENEWALD
2108 Genesee St.
Utica, NY 13502

BROKER #: A77
BRANCH #01047 - 47 - GRIFFITH

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
05/21/2018	***-**-14IO - BUSHEY, MATTHEW	TRANSAMERICA MLP & ENERGY INCOME CL	0.00	9.69	0.00	9.69	0.0	0.00
	ACCOUNT #: LSR011498	BUY 1 Units @0.0000						
05/21/2018	***-**-287J - HINCKLEY,	TRANSAMERICA SHORT TERM BOND CL C	0.00	12.80	0.00	12.80	0.0	0.00
	ACCOUNT #: LSR010841	BUY 1 Units @0.0000						
05/21/2018	***-**-48IO - CLARK, PATRICK	TRANSAMERICA SHORT TERM BOND CL C	0.00	9.97	0.00	9.97	0.0	0.00
	ACCOUNT #: LSR010911	BUY 1 Units @0.0000						
05/21/2018	***-**-11IO - LYNN G.	TRANSAMERICA SHORT TERM BOND CL C	0.00	14.86	0.00	14.86	0.0	0.00
	ACCOUNT #: LSR011239	BUY 1 Units @0.0000						
05/21/2018	***-**-959J - FRANZ, PAUL	U.S. GOVERNMENT SECURITIES FUND CLA	0.00	3.51	0.00	3.51	0.0	0.00
	ACCOUNT #: LSR010958	BUY 1 Units @0.0000						
05/21/2018	***-**-07IO - FAMOLARO, JAMES	WELLS FARGO ASSET ALLOCATION CL A	0.00	2.99	0.00	2.99	0.0	0.00
	ACCOUNT #: LSR011280	BUY 1 Units @0.0000						
05/21/2018	***-**-07IO - FAMOLARO, JAMES	WELLS FARGO GLOBAL OPPT FD CL A	0.00	1.37	0.00	1.37	0.0	0.00
	ACCOUNT #: LSR011280	BUY 1 Units @0.0000						
05/21/2018	***-**-680I - HARRELL, DARYL	WELLS FARGO SPECIALIZED TECH A	0.00	1.83	0.00	1.83	0.0	0.00
	ACCOUNT #: LSR011321	BUY 1 Units @0.0000						
05/21/2018	***-**-680I - HARRELL, DARYL	WELLS FARGO UTILITY TELECOM CL A	0.00	1.30	0.00	1.30	0.0	0.00
	ACCOUNT #: LSR011321	BUY 1 Units @0.0000						
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *			\$100.00	\$3,419.14	\$0.00	\$3,419.14		\$0.00
*** BROKER TRANSACTIONS TOTAL ***			\$144,838.71	\$5,343.76	\$294.00	\$5,049.76		\$0.00



BROKER #: A77
BRANCH #01047 - 47 - GRIFFITH

				GROSS	CLEARING	NET	BROKER	
DATE	CLIENT	INVESTMENT	AMOUNT	COMMISSION	CHARGE	COMMISSION	RATE	COMMISSION
						<u>BROKER COMMISSION TOTALS</u>		
						Broker Transactions		\$0.00
						Split Transactions		\$0.00
						Override Transactions		\$0.00
						Adjustments		\$0.00
						Payroll Draw		\$0.00
						Base Salary		\$0.00
						Prior Period Balance		\$-268.19
						FINRA Assessment		\$0.00
						SIPC Assessment		\$0.00
Please Retain for Your Records THERE WILL BE NO PAYMENT THIS PERIOD								
						Balance Forward		\$-268.19
						Year-to-date Earnings		\$0.00