

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

DANIEL, R132 RAUPP
 417 E. Main Street
 3rd Floor
 Port Jefferson, NY 11777

BROKER #: R132
 BRANCH: FORTITUDE INVESTMENT

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>CLEARING TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: STOCKS</u>								
02/13/2018	RAUPP, DANIEL	DIREXION SHS ETF TR DIREXION DAILY	-3,491.25	0.00	22.50	-22.50	100.0	-22.50
		* STOCKS SUBTOTAL *	\$-3,491.25	\$0.00	\$22.50	\$-22.50		\$-22.50
		*** CLEARING TRANSACTIONS TOTAL ***	\$-3,491.25	\$0.00	\$22.50	\$-22.50		\$-22.50
<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: VARIABLE ANNUITIES</u>								
01/29/2018	TRAINOR, EDWARD	TRANSAMERICA LIBERTY	58,222.81	48.52	0.00	48.52	100.0	48.52
		* VARIABLE ANNUITIES SUBTOTAL *	\$58,222.81	\$48.52	\$0.00	\$48.52		\$48.52
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
02/12/2016	LACASSE, CHRISTINE	WELLS FARGO ADVANTAGE ABSOLUTE RETU	0.00	1.84	0.00	1.84	100.0	1.84
03/16/2016	LACASSE, CHRISTINE	WELLS FARGO ADVANTAGE ABSOLUTE RETU	0.00	1.69	0.00	1.69	100.0	1.69
04/15/2016	LACASSE, CHRISTINE	WELLS FARGO ADVANTAGE ABSOLUTE RETU	0.00	1.88	0.00	1.88	100.0	1.88
05/16/2016	LACASSE, CHRISTINE	WELLS FARGO ADVANTAGE ABSOLUTE RETU	0.00	1.85	0.00	1.85	100.0	1.85
06/14/2016	LACASSE, CHRISTINE	WELLS FARGO ADVANTAGE ABSOLUTE RETU	0.00	1.90	0.00	1.90	100.0	1.90
07/18/2016	LACASSE, CHRISTINE	WELLS FARGO ADVANTAGE ABSOLUTE RETU	0.00	1.85	0.00	1.85	100.0	1.85
08/15/2016	LACASSE, CHRISTINE	WELLS FARGO ADVANTAGE ABSOLUTE RETU	0.00	1.94	0.00	1.94	100.0	1.94
09/15/2016	LACASSE, CHRISTINE	WELLS FARGO ADVANTAGE ABSOLUTE RETU	0.00	1.97	0.00	1.97	100.0	1.97
10/12/2016	LACASSE, CHRISTINE	WELLS FARGO ADVANTAGE ABSOLUTE RETU	0.00	1.91	0.00	1.91	100.0	1.91
11/16/2016	LACASSE, CHRISTINE	WELLS FARGO ADVANTAGE ABSOLUTE RETU	0.00	1.97	0.00	1.97	100.0	1.97
12/14/2016	LACASSE, CHRISTINE	WELLS FARGO ADVANTAGE ABSOLUTE RETU	0.00	1.88	0.00	1.88	100.0	1.88
		* MUTUAL FUND 12B1 TRAILS SUBTOTAL *	\$0.00	\$20.68	\$0.00	\$20.68		\$20.68
		*** DIRECT TRANSACTIONS TOTAL ***	\$58,222.81	\$69.20	\$0.00	\$69.20		\$69.20

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

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

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

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>SPLIT TRANSACTIONS</u>								
BROKER: 1AF-DAN/JON P/JEFF FT-NY RAUPP/CIRE #251								
07/11/2016	LAROCHE, LAURIE	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	-13.54	0.00	-13.54	100.0	-13.54
07/11/2016	LAROCHE, LAURIE	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	6.98	0.00	6.98	100.0	6.98
09/01/2016	LAROCHE, LAURIE	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	-27.82	0.00	-27.82	100.0	-27.82
09/01/2016	LAROCHE, LAURIE	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	14.33	0.00	14.33	100.0	14.33
09/12/2016	LAROCHE, LAURIE	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	-27.89	0.00	-27.89	100.0	-27.89
09/12/2016	LAROCHE, LAURIE	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	14.36	0.00	14.36	100.0	14.36
10/14/2016	LAROCHE, LAURIE	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	-26.99	0.00	-26.99	100.0	-26.99
10/14/2016	LAROCHE, LAURIE	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	13.90	0.00	13.90	100.0	13.90
11/17/2016	LAROCHE, LAURIE	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	-27.62	0.00	-27.62	100.0	-27.62
11/17/2016	LAROCHE, LAURIE	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	14.23	0.00	14.23	100.0	14.23
12/12/2016	LAROCHE, LAURIE	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	-26.89	0.00	-26.89	100.0	-26.89
12/12/2016	LAROCHE, LAURIE	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	13.86	0.00	13.86	100.0	13.86
04/22/2016	LAROCHE, LAURIE	GRIFFIN INSTITUTIONAL ACCESS REAL E	0.00	-3.41	0.00	-3.41	100.0	-3.41
04/22/2016	LAROCHE, LAURIE	GRIFFIN INSTITUTIONAL ACCESS REAL E	0.00	1.76	0.00	1.76	100.0	1.76
08/01/2016	LAROCHE, LAURIE	GRIFFIN INSTITUTIONAL ACCESS REAL E	0.00	-9.91	0.00	-9.91	100.0	-9.91
08/01/2016	LAROCHE, LAURIE	GRIFFIN INSTITUTIONAL ACCESS REAL E	0.00	5.10	0.00	5.10	100.0	5.10
10/17/2016	LAROCHE, LAURIE	GRIFFIN INSTITUTIONAL ACCESS REAL E	0.00	5.26	0.00	5.26	100.0	5.26
* 1AF-DAN/JON P/JEFF FT-NY RAUPP/CIRE SUBTOTAL *			\$0.00	\$-74.29	\$0.00	\$-74.29		\$-74.29

BROKER: 1JR-DAN/JEFFREY FT-NY RAUPP/KIESNOS #252								
02/06/2018	QUADROZZI, CATHERINE	AXA EQUITABLE 00248C659	50,000.00	1,750.00	0.00	1,750.00	100.0	1,750.00
02/06/2018	QUADROZZI, CATHERINE	AXA EQUITABLE 00248C659	0.00	1,750.00	0.00	1,750.00	100.0	1,750.00
02/12/2016	KLETT, MARTIN	COLUMBIA MARSICO FOCUSED EQUITIES F	0.00	1.26	0.00	1.26	100.0	1.26
03/14/2016	KLETT, MARTIN	COLUMBIA MARSICO FOCUSED EQUITIES F	0.00	1.13	0.00	1.13	100.0	1.13
04/15/2016	KLETT, MARTIN	COLUMBIA MARSICO FOCUSED EQUITIES F	0.00	1.28	0.00	1.28	100.0	1.28
05/24/2016	KLETT, MARTIN	COLUMBIA MARSICO FOCUSED EQUITIES F	0.00	1.28	0.00	1.28	100.0	1.28
06/14/2016	KLETT, MARTIN	COLUMBIA MARSICO FOCUSED EQUITIES F	0.00	1.32	0.00	1.32	100.0	1.32
07/20/2016	KLETT, MARTIN	COLUMBIA MARSICO FOCUSED EQUITIES F	0.00	1.28	0.00	1.28	100.0	1.28
08/17/2016	KLETT, MARTIN	COLUMBIA MARSICO FOCUSED EQUITIES F	0.00	1.36	0.00	1.36	100.0	1.36
09/16/2016	KLETT, MARTIN	COLUMBIA MARSICO FOCUSED EQUITIES F	0.00	1.39	0.00	1.39	100.0	1.39
10/14/2016	KLETT, MARTIN	COLUMBIA MARSICO FOCUSED EQUITIES F	0.00	1.33	0.00	1.33	100.0	1.33
11/15/2016	KLETT, MARTIN	COLUMBIA MARSICO FOCUSED EQUITIES F	0.00	1.59	0.00	1.59	100.0	1.59
12/15/2016	KLETT, MARTIN	COLUMBIA MARSICO FOCUSED EQUITIES F	0.00	2.96	0.00	2.96	100.0	2.96
02/12/2016	KLETT, MARTIN	COLUMBIA MARSICO GROWTH FUND CLASS	0.00	1.57	0.00	1.57	100.0	1.57

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<u>SPLIT TRANSACTIONS</u>								
<u>BROKER: 1JR-DAN/JEFFREY FT-NY RAUPP/KIESNOS #252</u>								
03/14/2016	KLETT, MARTIN	COLUMBIA MARSICO GROWTH FUND CLASS	0.00	1.39	0.00	1.39	100.0	1.39
04/15/2016	KLETT, MARTIN	COLUMBIA MARSICO GROWTH FUND CLASS	0.00	1.58	0.00	1.58	100.0	1.58
05/24/2016	KLETT, MARTIN	COLUMBIA MARSICO GROWTH FUND CLASS	0.00	1.58	0.00	1.58	100.0	1.58
06/14/2016	KLETT, MARTIN	COLUMBIA MARSICO GROWTH FUND CLASS	0.00	1.63	0.00	1.63	100.0	1.63
07/20/2016	KLETT, MARTIN	COLUMBIA MARSICO GROWTH FUND CLASS	0.00	1.58	0.00	1.58	100.0	1.58
08/17/2016	KLETT, MARTIN	COLUMBIA MARSICO GROWTH FUND CLASS	0.00	1.67	0.00	1.67	100.0	1.67
09/16/2016	KLETT, MARTIN	COLUMBIA MARSICO GROWTH FUND CLASS	0.00	1.72	0.00	1.72	100.0	1.72
10/14/2016	KLETT, MARTIN	COLUMBIA MARSICO GROWTH FUND CLASS	0.00	1.64	0.00	1.64	100.0	1.64
11/15/2016	KLETT, MARTIN	COLUMBIA MARSICO GROWTH FUND CLASS	0.00	1.48	0.00	1.48	100.0	1.48
02/10/2016	KLETT, JEAN	FEDERATED HIGH INCOME BOND FUND INC	0.00	1.65	0.00	1.65	100.0	1.65
03/15/2016	KLETT, JEAN	FEDERATED HIGH INCOME BOND FUND INC	0.00	1.52	0.00	1.52	100.0	1.52
04/20/2016	KLETT, JEAN	FEDERATED HIGH INCOME BOND FUND INC	0.00	1.71	0.00	1.71	100.0	1.71
05/16/2016	KLETT, JEAN	FEDERATED HIGH INCOME BOND FUND INC	0.00	1.69	0.00	1.69	100.0	1.69
06/15/2016	KLETT, JEAN	FEDERATED HIGH INCOME BOND FUND INC	0.00	1.77	0.00	1.77	100.0	1.77
07/19/2016	KLETT, JEAN	FEDERATED HIGH INCOME BOND FUND INC	0.00	1.73	0.00	1.73	100.0	1.73
08/12/2016	KLETT, JEAN	FEDERATED HIGH INCOME BOND FUND INC	0.00	1.83	0.00	1.83	100.0	1.83
09/16/2016	KLETT, JEAN	FEDERATED HIGH INCOME BOND FUND INC	0.00	1.86	0.00	1.86	100.0	1.86
10/21/2016	KLETT, JEAN	FEDERATED HIGH INCOME BOND FUND INC	0.00	1.81	0.00	1.81	100.0	1.81
11/21/2016	KLETT, JEAN	FEDERATED HIGH INCOME BOND FUND INC	0.00	1.89	0.00	1.89	100.0	1.89
12/16/2016	KLETT, JEAN	FEDERATED HIGH INCOME BOND FUND INC	0.00	1.81	0.00	1.81	100.0	1.81
04/22/2016	KLETT TRUST, MARTIN	GRIFFIN INSTITUTIONAL ACCESS REAL E	0.00	8.90	0.00	8.90	100.0	8.90
08/01/2016	KLETT TRUST, MARTIN	GRIFFIN INSTITUTIONAL ACCESS REAL E	0.00	9.00	0.00	9.00	100.0	9.00
10/17/2016	KLETT TRUST, MARTIN	GRIFFIN INSTITUTIONAL ACCESS REAL E	0.00	9.17	0.00	9.17	100.0	9.17
09/15/2016	VICTOR, ELLEN	JP MORGAN GROWTH ADV A	0.00	0.54	0.00	0.54	100.0	0.54
10/14/2016	VICTOR, ELLEN	JP MORGAN GROWTH ADV A	0.00	0.95	0.00	0.95	100.0	0.95
11/21/2016	VICTOR, ELLEN	JP MORGAN GROWTH ADV A	0.00	0.98	0.00	0.98	100.0	0.98
12/16/2016	VICTOR, ELLEN	JP MORGAN GROWTH ADV A	0.00	0.95	0.00	0.95	100.0	0.95
02/25/2016	MALEN, BETTY	MAINSTAY CUSHING MLP PREMIER FUND C	0.00	0.34	0.00	0.34	100.0	0.34
02/25/2016	WOLD, ALEXANDRA	MAINSTAY CUSHING MLP PREMIER FUND C	0.00	0.20	0.00	0.20	100.0	0.20
03/08/2016	MALEN, BETTY	MAINSTAY CUSHING MLP PREMIER FUND C	0.00	0.28	0.00	0.28	100.0	0.28
03/08/2016	WOLD, ALEXANDRA	MAINSTAY CUSHING MLP PREMIER FUND C	0.00	0.17	0.00	0.17	100.0	0.17
04/22/2016	MALEN, BETTY	MAINSTAY CUSHING MLP PREMIER FUND C	0.00	0.34	0.00	0.34	100.0	0.34
04/22/2016	WOLD, ALEXANDRA	MAINSTAY CUSHING MLP PREMIER FUND C	0.00	0.20	0.00	0.20	100.0	0.20

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<u>SPLIT TRANSACTIONS</u>								
<u>BROKER: 1JR-DAN/JEFFREY FT-NY RAUPP/KIESNOS #252</u>								
05/17/2016	MALEN, BETTY	MAINSTAY CUSHING MLP PREMIER FUND C	0.00	0.36	0.00	0.36	100.0	0.36
05/17/2016	WOLD, ALEXANDRA	MAINSTAY CUSHING MLP PREMIER FUND C	0.00	0.21	0.00	0.21	100.0	0.21
06/15/2016	MALEN, BETTY	MAINSTAY CUSHING MLP PREMIER FUND C	0.00	0.40	0.00	0.40	100.0	0.40
06/15/2016	WOLD, ALEXANDRA	MAINSTAY CUSHING MLP PREMIER FUND C	0.00	0.24	0.00	0.24	100.0	0.24
07/14/2016	MALEN, BETTY	MAINSTAY CUSHING MLP PREMIER FUND C	0.00	0.37	0.00	0.37	100.0	0.37
07/14/2016	WOLD, ALEXANDRA	MAINSTAY CUSHING MLP PREMIER FUND C	0.00	0.25	0.00	0.25	100.0	0.25
08/18/2016	WOLD, ALEXANDRA	MAINSTAY CUSHING MLP PREMIER FUND C	0.00	0.26	0.00	0.26	100.0	0.26
09/15/2016	WOLD, ALEXANDRA	MAINSTAY CUSHING MLP PREMIER FUND C	0.00	0.26	0.00	0.26	100.0	0.26
10/21/2016	WOLD, ALEXANDRA	MAINSTAY CUSHING MLP PREMIER FUND C	0.00	0.25	0.00	0.25	100.0	0.25
11/09/2016	WOLD, ALEXANDRA	MAINSTAY CUSHING MLP PREMIER FUND C	0.00	0.26	0.00	0.26	100.0	0.26
12/16/2016	KLETT, JEAN	MAINSTAY CUSHING MLP PREMIER FUND C	0.00	1.22	0.00	1.22	100.0	1.22
12/16/2016	WOLD, ALEXANDRA	MAINSTAY CUSHING MLP PREMIER FUND C	0.00	0.25	0.00	0.25	100.0	0.25
02/25/2016	RENEGAR, ROBERT	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	0.15	0.00	0.15	100.0	0.15
02/25/2016	WYFFELS, ALAN	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	0.23	0.00	0.23	100.0	0.23
02/25/2016	LUBIN, GLENN	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	0.22	0.00	0.22	100.0	0.22
03/08/2016	RENEGAR, ROBERT	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	0.13	0.00	0.13	100.0	0.13
03/08/2016	WYFFELS, ALAN	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	0.10	0.00	0.10	100.0	0.10
03/08/2016	WYFFELS, ALAN	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	0.20	0.00	0.20	100.0	0.20
03/08/2016	LUBIN, GLENN	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	0.19	0.00	0.19	100.0	0.19
03/08/2016	WOLD, JOHN	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	0.03	0.00	0.03	100.0	0.03
04/22/2016	RENEGAR, ROBERT	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	0.16	0.00	0.16	100.0	0.16
04/22/2016	WYFFELS, ALAN	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	0.87	0.00	0.87	100.0	0.87
04/22/2016	WYFFELS, ALAN	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	0.24	0.00	0.24	100.0	0.24
04/22/2016	LUBIN, GLENN	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	0.23	0.00	0.23	100.0	0.23
04/22/2016	WOLD, JOHN	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	0.11	0.00	0.11	100.0	0.11
05/17/2016	RENEGAR, ROBERT	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	0.17	0.00	0.17	100.0	0.17
05/17/2016	WYFFELS, ALAN	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	0.91	0.00	0.91	100.0	0.91
05/17/2016	WYFFELS, ALAN	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	0.25	0.00	0.25	100.0	0.25
05/17/2016	LUBIN, GLENN	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	0.24	0.00	0.24	100.0	0.24
05/17/2016	WOLD, JOHN	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	0.11	0.00	0.11	100.0	0.11
06/15/2016	RENEGAR, ROBERT	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	0.18	0.00	0.18	100.0	0.18
06/15/2016	WYFFELS, ALAN	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	1.01	0.00	1.01	100.0	1.01
06/15/2016	WYFFELS, ALAN	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	0.28	0.00	0.28	100.0	0.28

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<u>SPLIT TRANSACTIONS</u>								
<u>BROKER: 1JR-DAN/JEFFREY FT-NY RAUPP/KIESNOS #252</u>								
06/15/2016	LUBIN, GLENN	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	0.26	0.00	0.26	100.0	0.26
06/15/2016	WOLD, JOHN	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	0.13	0.00	0.13	100.0	0.13
07/14/2016	RENEGAR, ROBERT	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	0.18	0.00	0.18	100.0	0.18
07/14/2016	WYFFELS, ALAN	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	1.02	0.00	1.02	100.0	1.02
07/14/2016	WYFFELS, ALAN	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	0.28	0.00	0.28	100.0	0.28
07/14/2016	LUBIN, GLENN	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	0.26	0.00	0.26	100.0	0.26
07/14/2016	WOLD, JOHN	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	0.13	0.00	0.13	100.0	0.13
08/18/2016	RENEGAR, ROBERT	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	0.20	0.00	0.20	100.0	0.20
08/18/2016	WYFFELS, ALAN	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	1.09	0.00	1.09	100.0	1.09
08/18/2016	WYFFELS, ALAN	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	0.29	0.00	0.29	100.0	0.29
08/18/2016	LUBIN, GLENN	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	0.28	0.00	0.28	100.0	0.28
08/18/2016	WOLD, JOHN	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	0.14	0.00	0.14	100.0	0.14
09/15/2016	RENEGAR, ROBERT	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	0.19	0.00	0.19	100.0	0.19
09/15/2016	WYFFELS, ALAN	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	1.10	0.00	1.10	100.0	1.10
09/15/2016	WYFFELS, ALAN	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	0.29	0.00	0.29	100.0	0.29
09/15/2016	LUBIN, GLENN	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	0.28	0.00	0.28	100.0	0.28
09/15/2016	WOLD, JOHN	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	0.14	0.00	0.14	100.0	0.14
10/21/2016	RENEGAR, ROBERT	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	0.19	0.00	0.19	100.0	0.19
10/21/2016	WYFFELS, ALAN	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	1.07	0.00	1.07	100.0	1.07
10/21/2016	WYFFELS, ALAN	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	0.28	0.00	0.28	100.0	0.28
10/21/2016	LUBIN, GLENN	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	0.28	0.00	0.28	100.0	0.28
10/21/2016	WOLD, JOHN	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	0.14	0.00	0.14	100.0	0.14
11/09/2016	RENEGAR, ROBERT	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	0.20	0.00	0.20	100.0	0.20
11/09/2016	WYFFELS, ALAN	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	1.15	0.00	1.15	100.0	1.15
11/09/2016	WYFFELS, ALAN	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	0.30	0.00	0.30	100.0	0.30
11/09/2016	LUBIN, GLENN	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	0.30	0.00	0.30	100.0	0.30
11/09/2016	WOLD, JOHN	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	0.14	0.00	0.14	100.0	0.14
12/16/2016	RENEGAR, ROBERT	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	0.20	0.00	0.20	100.0	0.20
12/16/2016	WYFFELS, ALAN	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	1.12	0.00	1.12	100.0	1.12
12/16/2016	WYFFELS, ALAN	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	0.29	0.00	0.29	100.0	0.29
12/16/2016	LUBIN, GLENN	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	0.29	0.00	0.29	100.0	0.29
12/16/2016	WOLD, JOHN	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	0.14	0.00	0.14	100.0	0.14
09/22/2016	VICTOR, ELLEN	OPPENHEIMER ROCHESTER MUNICIPALS A	0.00	0.33	0.00	0.33	100.0	0.33

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

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

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

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>SPLIT TRANSACTIONS</u>								
<u>BROKER: 1JR-DAN/JEFFREY FT-NY RAUPP/KIESNOS #252</u>								
10/21/2016	VICTOR, ELLEN	OPPENHEIMER ROCHESTER MUNICIPALS A	0.00	0.59	0.00	0.59	100.0	0.59
11/21/2016	VICTOR, ELLEN	OPPENHEIMER ROCHESTER MUNICIPALS A	0.00	0.60	0.00	0.60	100.0	0.60
12/19/2016	VICTOR, ELLEN	OPPENHEIMER ROCHESTER MUNICIPALS A	0.00	0.58	0.00	0.58	100.0	0.58
12/19/2016	WOLD, JOHN	VOYA MID-CAP OPPORTUNITIES FUND CLA	0.00	0.05	0.00	0.05	100.0	0.05
* 1JR-DAN/JEFFREY FT-NY RAUPP/KIESNOS SUBTOTAL *			\$50,000.00	\$3,608.15	\$0.00	\$3,608.15		\$3,608.15
<u>BROKER: BUM-JEFFREY/DAN FT-NY KIESNOSKI/RAU #253</u>								
02/12/2016	FIVE STAR BUS 401K	COLUMBIA INCOME OPPORTUNITIES FUND	0.00	0.45	0.00	0.45	100.0	0.45
02/12/2016	PRECISION INTERIORS	COLUMBIA INCOME OPPORTUNITIES FUND	0.00	1.81	0.00	1.81	100.0	1.81
03/14/2016	FIVE STAR BUS 401K	COLUMBIA INCOME OPPORTUNITIES FUND	0.00	0.42	0.00	0.42	100.0	0.42
03/14/2016	PRECISION INTERIORS	COLUMBIA INCOME OPPORTUNITIES FUND	0.00	1.69	0.00	1.69	100.0	1.69
04/15/2016	FIVE STAR BUS 401K	COLUMBIA INCOME OPPORTUNITIES FUND	0.00	0.47	0.00	0.47	100.0	0.47
04/15/2016	PRECISION INTERIORS	COLUMBIA INCOME OPPORTUNITIES FUND	0.00	1.88	0.00	1.88	100.0	1.88
05/24/2016	FIVE STAR BUS 401K	COLUMBIA INCOME OPPORTUNITIES FUND	0.00	0.46	0.00	0.46	100.0	0.46
05/24/2016	PRECISION INTERIORS	COLUMBIA INCOME OPPORTUNITIES FUND	0.00	1.85	0.00	1.85	100.0	1.85
06/14/2016	FIVE STAR BUS 401K	COLUMBIA INCOME OPPORTUNITIES FUND	0.00	0.48	0.00	0.48	100.0	0.48
06/14/2016	PRECISION INTERIORS	COLUMBIA INCOME OPPORTUNITIES FUND	0.00	1.92	0.00	1.92	100.0	1.92
07/20/2016	FIVE STAR BUS 401K	COLUMBIA INCOME OPPORTUNITIES FUND	0.00	0.47	0.00	0.47	100.0	0.47
07/20/2016	PRECISION INTERIORS	COLUMBIA INCOME OPPORTUNITIES FUND	0.00	1.87	0.00	1.87	100.0	1.87
08/17/2016	FIVE STAR BUS 401K	COLUMBIA INCOME OPPORTUNITIES FUND	0.00	0.49	0.00	0.49	100.0	0.49
08/17/2016	PRECISION INTERIORS	COLUMBIA INCOME OPPORTUNITIES FUND	0.00	1.97	0.00	1.97	100.0	1.97
09/16/2016	FIVE STAR BUS 401K	COLUMBIA INCOME OPPORTUNITIES FUND	0.00	0.50	0.00	0.50	100.0	0.50
09/16/2016	PRECISION INTERIORS	COLUMBIA INCOME OPPORTUNITIES FUND	0.00	2.00	0.00	2.00	100.0	2.00
10/14/2016	FIVE STAR BUS 401K	COLUMBIA INCOME OPPORTUNITIES FUND	0.00	0.49	0.00	0.49	100.0	0.49
10/14/2016	PRECISION INTERIORS	COLUMBIA INCOME OPPORTUNITIES FUND	0.00	1.94	0.00	1.94	100.0	1.94
11/15/2016	FIVE STAR BUS 401K	COLUMBIA INCOME OPPORTUNITIES FUND	0.00	0.51	0.00	0.51	100.0	0.51
11/15/2016	PRECISION INTERIORS	COLUMBIA INCOME OPPORTUNITIES FUND	0.00	2.03	0.00	2.03	100.0	2.03
12/15/2016	FIVE STAR BUS 401K	COLUMBIA INCOME OPPORTUNITIES FUND	0.00	0.48	0.00	0.48	100.0	0.48
12/15/2016	PRECISION INTERIORS	COLUMBIA INCOME OPPORTUNITIES FUND	0.00	1.93	0.00	1.93	100.0	1.93
02/08/2016	FIVE STAR BUS 401K	FORWARD GROWTH ALLOCATION FUND CLAS	0.00	1.16	0.00	1.16	100.0	1.16
03/15/2016	FIVE STAR BUS 401K	FORWARD GROWTH ALLOCATION FUND CLAS	0.00	1.07	0.00	1.07	100.0	1.07
04/12/2016	FIVE STAR BUS 401K	FORWARD GROWTH ALLOCATION FUND CLAS	0.00	1.17	0.00	1.17	100.0	1.17
05/11/2016	FIVE STAR BUS 401K	FORWARD GROWTH ALLOCATION FUND CLAS	0.00	1.14	0.00	1.14	100.0	1.14
06/13/2016	FIVE STAR BUS 401K	FORWARD GROWTH ALLOCATION FUND CLAS	0.00	1.18	0.00	1.18	100.0	1.18

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>SPLIT TRANSACTIONS</u>								
<u>BROKER: BUM-JEFFREY/DAN FT-NY KIESNOSKI/RAU #253</u>								
07/13/2016	FIVE STAR BUS 401K	FORWARD GROWTH ALLOCATION FUND CLAS	0.00	1.17	0.00	1.17	100.0	1.17
08/11/2016	FIVE STAR BUS 401K	FORWARD GROWTH ALLOCATION FUND CLAS	0.00	1.25	0.00	1.25	100.0	1.25
09/13/2016	FIVE STAR BUS 401K	FORWARD GROWTH ALLOCATION FUND CLAS	0.00	1.25	0.00	1.25	100.0	1.25
10/12/2016	FIVE STAR BUS 401K	FORWARD GROWTH ALLOCATION FUND CLAS	0.00	1.20	0.00	1.20	100.0	1.20
11/10/2016	FIVE STAR BUS 401K	FORWARD GROWTH ALLOCATION FUND CLAS	0.00	1.22	0.00	1.22	100.0	1.22
12/12/2016	FIVE STAR BUS 401K	FORWARD GROWTH ALLOCATION FUND CLAS	0.00	1.16	0.00	1.16	100.0	1.16
02/19/2016	CAPOBIANCO, PETER	HARTFORD CAPITAL APPRECIATION A	0.00	0.85	0.00	0.85	100.0	0.85
02/19/2016	DEGREGORIO, JOHN	HARTFORD CAPITAL APPRECIATION A	0.00	0.64	0.00	0.64	100.0	0.64
03/22/2016	CAPOBIANCO, PETER	HARTFORD CAPITAL APPRECIATION A	0.00	0.76	0.00	0.76	100.0	0.76
03/22/2016	DEGREGORIO, JOHN	HARTFORD CAPITAL APPRECIATION A	0.00	0.58	0.00	0.58	100.0	0.58
04/18/2016	CAPOBIANCO, PETER	HARTFORD CAPITAL APPRECIATION A	0.00	0.87	0.00	0.87	100.0	0.87
04/18/2016	DEGREGORIO, JOHN	HARTFORD CAPITAL APPRECIATION A	0.00	0.66	0.00	0.66	100.0	0.66
05/24/2016	CAPOBIANCO, PETER	HARTFORD CAPITAL APPRECIATION A	0.00	0.87	0.00	0.87	100.0	0.87
05/24/2016	DEGREGORIO, JOHN	HARTFORD CAPITAL APPRECIATION A	0.00	0.66	0.00	0.66	100.0	0.66
06/21/2016	CAPOBIANCO, PETER	HARTFORD CAPITAL APPRECIATION A	0.00	0.89	0.00	0.89	100.0	0.89
06/21/2016	DEGREGORIO, JOHN	HARTFORD CAPITAL APPRECIATION A	0.00	0.68	0.00	0.68	100.0	0.68
07/18/2016	CAPOBIANCO, PETER	HARTFORD CAPITAL APPRECIATION A	0.00	0.75	0.00	0.75	100.0	0.75
07/18/2016	DEGREGORIO, JOHN	HARTFORD CAPITAL APPRECIATION A	0.00	0.66	0.00	0.66	100.0	0.66
08/16/2016	CAPOBIANCO, PETER	HARTFORD CAPITAL APPRECIATION A	0.00	0.43	0.00	0.43	100.0	0.43
08/16/2016	DEGREGORIO, JOHN	HARTFORD CAPITAL APPRECIATION A	0.00	0.70	0.00	0.70	100.0	0.70
09/19/2016	CAPOBIANCO, PETER	HARTFORD CAPITAL APPRECIATION A	0.00	0.43	0.00	0.43	100.0	0.43
09/19/2016	DEGREGORIO, JOHN	HARTFORD CAPITAL APPRECIATION A	0.00	0.71	0.00	0.71	100.0	0.71
10/17/2016	CAPOBIANCO, PETER	HARTFORD CAPITAL APPRECIATION A	0.00	0.42	0.00	0.42	100.0	0.42
10/17/2016	DEGREGORIO, JOHN	HARTFORD CAPITAL APPRECIATION A	0.00	0.69	0.00	0.69	100.0	0.69
11/16/2016	CAPOBIANCO, PETER	HARTFORD CAPITAL APPRECIATION A	0.00	0.43	0.00	0.43	100.0	0.43
11/16/2016	DEGREGORIO, JOHN	HARTFORD CAPITAL APPRECIATION A	0.00	0.71	0.00	0.71	100.0	0.71
12/19/2016	CAPOBIANCO, PETER	HARTFORD CAPITAL APPRECIATION A	0.00	0.42	0.00	0.42	100.0	0.42
12/19/2016	DEGREGORIO, JOHN	HARTFORD CAPITAL APPRECIATION A	0.00	0.69	0.00	0.69	100.0	0.69
03/17/2016	BARBER, STEVE	JP MORGAN VALUE ADVANTAGE FUND CLAS	0.00	0.09	0.00	0.09	100.0	0.09
04/25/2016	BARBER, STEVE	JP MORGAN VALUE ADVANTAGE FUND CLAS	0.00	0.27	0.00	0.27	100.0	0.27
05/16/2016	BARBER, STEVE	JP MORGAN VALUE ADVANTAGE FUND CLAS	0.00	0.27	0.00	0.27	100.0	0.27
06/20/2016	BARBER, STEVE	JP MORGAN VALUE ADVANTAGE FUND CLAS	0.00	0.27	0.00	0.27	100.0	0.27
07/25/2016	BARBER, STEVE	JP MORGAN VALUE ADVANTAGE FUND CLAS	0.00	0.27	0.00	0.27	100.0	0.27

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>SPLIT TRANSACTIONS</u>								
<u>BROKER: BUM-JEFFREY/DAN FT-NY KIESNOSKI/RAU #253</u>								
08/15/2016	BARBER, STEVE	JP MORGAN VALUE ADVANTAGE FUND CLAS	0.00	0.28	0.00	0.28	100.0	0.28
09/15/2016	BARBER, STEVE	JP MORGAN VALUE ADVANTAGE FUND CLAS	0.00	0.29	0.00	0.29	100.0	0.29
10/14/2016	BARBER, STEVE	JP MORGAN VALUE ADVANTAGE FUND CLAS	0.00	0.28	0.00	0.28	100.0	0.28
11/21/2016	BARBER, STEVE	JP MORGAN VALUE ADVANTAGE FUND CLAS	0.00	0.29	0.00	0.29	100.0	0.29
12/16/2016	BARBER, STEVE	JP MORGAN VALUE ADVANTAGE FUND CLAS	0.00	0.29	0.00	0.29	100.0	0.29
12/16/2016	BARBER, STEVE	MAINSTAY CUSHING MLP PREMIER FUND C	0.00	0.21	0.00	0.21	100.0	0.21
02/25/2016	AXELROD, ALAN	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	0.04	0.00	0.04	100.0	0.04
02/25/2016	RABETZ, WILLIAM	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	0.41	0.00	0.41	100.0	0.41
02/25/2016	IAQUINTO, JOSEPH	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	0.29	0.00	0.29	100.0	0.29
02/25/2016	FIVE STAR BUS 401K	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	0.16	0.00	0.16	100.0	0.16
02/25/2016	PRECISION INTERIORS	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	0.36	0.00	0.36	100.0	0.36
03/08/2016	KURTZ, MICHAEL	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	0.02	0.00	0.02	100.0	0.02
03/08/2016	AXELROD, ALAN	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	0.06	0.00	0.06	100.0	0.06
03/08/2016	RABETZ, WILLIAM	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	0.36	0.00	0.36	100.0	0.36
03/08/2016	IAQUINTO, JOSEPH	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	0.26	0.00	0.26	100.0	0.26
03/08/2016	FIVE STAR BUS 401K	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	0.14	0.00	0.14	100.0	0.14
03/08/2016	PRECISION INTERIORS	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	0.32	0.00	0.32	100.0	0.32
04/22/2016	KURTZ, MICHAEL	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	0.19	0.00	0.19	100.0	0.19
04/22/2016	CRESPO, ALEJANDRO	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	0.49	0.00	0.49	100.0	0.49
04/22/2016	AXELROD, ALAN	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	0.07	0.00	0.07	100.0	0.07
04/22/2016	RABETZ, WILLIAM	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	0.42	0.00	0.42	100.0	0.42
04/22/2016	IAQUINTO, JOSEPH	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	0.30	0.00	0.30	100.0	0.30
04/22/2016	FIVE STAR BUS 401K	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	0.17	0.00	0.17	100.0	0.17
04/22/2016	PRECISION INTERIORS	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	0.38	0.00	0.38	100.0	0.38
05/17/2016	KURTZ, MICHAEL	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	0.20	0.00	0.20	100.0	0.20
05/17/2016	CRESPO, ALEJANDRO	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	0.55	0.00	0.55	100.0	0.55
05/17/2016	AXELROD, ALAN	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	0.07	0.00	0.07	100.0	0.07
05/17/2016	RABETZ, WILLIAM	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	0.44	0.00	0.44	100.0	0.44
05/17/2016	IAQUINTO, JOSEPH	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	0.32	0.00	0.32	100.0	0.32
05/17/2016	FIVE STAR BUS 401K	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	0.18	0.00	0.18	100.0	0.18
05/17/2016	PRECISION INTERIORS	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	0.39	0.00	0.39	100.0	0.39
06/15/2016	KURTZ, MICHAEL	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	0.22	0.00	0.22	100.0	0.22
06/15/2016	CRESPO, ALEJANDRO	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	0.60	0.00	0.60	100.0	0.60

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>SPLIT TRANSACTIONS</u>								
<u>BROKER: BUM-JEFFREY/DAN FT-NY KIESNOSKI/RAU #253</u>								
06/15/2016	AXELROD, ALAN	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	0.08	0.00	0.08	100.0	0.08
06/15/2016	RABETZ, WILLIAM	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	0.48	0.00	0.48	100.0	0.48
06/15/2016	IAQUINTO, JOSEPH	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	0.35	0.00	0.35	100.0	0.35
06/15/2016	FIVE STAR BUS 401K	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	0.20	0.00	0.20	100.0	0.20
06/15/2016	PRECISION INTERIORS	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	0.43	0.00	0.43	100.0	0.43
07/14/2016	KURTZ, MICHAEL	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	0.22	0.00	0.22	100.0	0.22
07/14/2016	CRESPO, ALEJANDRO	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	0.61	0.00	0.61	100.0	0.61
07/14/2016	AXELROD, ALAN	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	0.08	0.00	0.08	100.0	0.08
07/14/2016	RABETZ, WILLIAM	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	0.49	0.00	0.49	100.0	0.49
07/14/2016	IAQUINTO, JOSEPH	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	0.35	0.00	0.35	100.0	0.35
07/14/2016	FIVE STAR BUS 401K	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	0.20	0.00	0.20	100.0	0.20
07/14/2016	PRECISION INTERIORS	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	0.44	0.00	0.44	100.0	0.44
08/18/2016	KURTZ, MICHAEL	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	0.24	0.00	0.24	100.0	0.24
08/18/2016	CRESPO, ALEJANDRO	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	0.65	0.00	0.65	100.0	0.65
08/18/2016	AXELROD, ALAN	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	0.08	0.00	0.08	100.0	0.08
08/18/2016	RABETZ, WILLIAM	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	0.51	0.00	0.51	100.0	0.51
08/18/2016	IAQUINTO, JOSEPH	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	0.37	0.00	0.37	100.0	0.37
08/18/2016	FIVE STAR BUS 401K	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	0.21	0.00	0.21	100.0	0.21
08/18/2016	PRECISION INTERIORS	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	0.46	0.00	0.46	100.0	0.46
09/15/2016	KURTZ, MICHAEL	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	0.24	0.00	0.24	100.0	0.24
09/15/2016	CRESPO, ALEJANDRO	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	0.66	0.00	0.66	100.0	0.66
09/15/2016	AXELROD, ALAN	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	0.09	0.00	0.09	100.0	0.09
09/15/2016	RABETZ, WILLIAM	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	0.51	0.00	0.51	100.0	0.51
09/15/2016	IAQUINTO, JOSEPH	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	0.37	0.00	0.37	100.0	0.37
09/15/2016	FIVE STAR BUS 401K	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	0.21	0.00	0.21	100.0	0.21
09/15/2016	PRECISION INTERIORS	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	0.46	0.00	0.46	100.0	0.46
10/21/2016	KURTZ, MICHAEL	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	0.23	0.00	0.23	100.0	0.23
10/21/2016	CRESPO, ALEJANDRO	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	0.64	0.00	0.64	100.0	0.64
10/21/2016	AXELROD, ALAN	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	0.08	0.00	0.08	100.0	0.08
10/21/2016	RABETZ, WILLIAM	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	0.50	0.00	0.50	100.0	0.50
10/21/2016	IAQUINTO, JOSEPH	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	0.36	0.00	0.36	100.0	0.36
10/21/2016	FIVE STAR BUS 401K	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	0.20	0.00	0.20	100.0	0.20
10/21/2016	PRECISION INTERIORS	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	0.44	0.00	0.44	100.0	0.44

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

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>SPLIT TRANSACTIONS</u>								
<u>BROKER: BUM-JEFFREY/DAN FT-NY KIESNOSKI/RAU #253</u>								
11/09/2016	KURTZ, MICHAEL	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	0.25	0.00	0.25	100.0	0.25
11/09/2016	CRESPO, ALEJANDRO	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	0.68	0.00	0.68	100.0	0.68
11/09/2016	AXELROD, ALAN	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	0.09	0.00	0.09	100.0	0.09
11/09/2016	RABETZ, WILLIAM	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	0.53	0.00	0.53	100.0	0.53
11/09/2016	IAQUINTO, JOSEPH	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	0.38	0.00	0.38	100.0	0.38
11/09/2016	FIVE STAR BUS 401K	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	0.21	0.00	0.21	100.0	0.21
11/09/2016	PRECISION INTERIORS	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	0.47	0.00	0.47	100.0	0.47
12/16/2016	KURTZ, MICHAEL	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	0.24	0.00	0.24	100.0	0.24
12/16/2016	CRESPO, ALEJANDRO	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	0.66	0.00	0.66	100.0	0.66
12/16/2016	AXELROD, ALAN	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	0.09	0.00	0.09	100.0	0.09
12/16/2016	RABETZ, WILLIAM	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	0.52	0.00	0.52	100.0	0.52
12/16/2016	IAQUINTO, JOSEPH	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	0.36	0.00	0.36	100.0	0.36
12/16/2016	FIVE STAR BUS 401K	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	0.20	0.00	0.20	100.0	0.20
12/16/2016	PRECISION INTERIORS	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	0.45	0.00	0.45	100.0	0.45
02/18/2016	AXELROD, ALAN	TRANSAMERICA SHORT-TERM BOND C	0.00	5.12	0.00	5.12	100.0	5.12
03/14/2016	AXELROD, ALAN	TRANSAMERICA SHORT-TERM BOND C	0.00	4.78	0.00	4.78	100.0	4.78
04/15/2016	AXELROD, ALAN	TRANSAMERICA SHORT-TERM BOND C	0.00	5.14	0.00	5.14	100.0	5.14
05/16/2016	AXELROD, ALAN	TRANSAMERICA SHORT-TERM BOND C	0.00	5.01	0.00	5.01	100.0	5.01
06/16/2016	AXELROD, ALAN	TRANSAMERICA SHORT-TERM BOND C	0.00	5.19	0.00	5.19	100.0	5.19
07/18/2016	AXELROD, ALAN	TRANSAMERICA SHORT-TERM BOND C	0.00	5.04	0.00	5.04	100.0	5.04
08/17/2016	AXELROD, ALAN	TRANSAMERICA SHORT-TERM BOND C	0.00	5.23	0.00	5.23	100.0	5.23
09/15/2016	AXELROD, ALAN	TRANSAMERICA SHORT-TERM BOND C	0.00	5.24	0.00	5.24	100.0	5.24
10/20/2016	AXELROD, ALAN	TRANSAMERICA SHORT-TERM BOND C	0.00	5.07	0.00	5.07	100.0	5.07
11/16/2016	AXELROD, ALAN	TRANSAMERICA SHORT-TERM BOND C	0.00	5.25	0.00	5.25	100.0	5.25
12/16/2016	AXELROD, ALAN	TRANSAMERICA SHORT-TERM BOND C	0.00	5.06	0.00	5.06	100.0	5.06
* BUM-JEFFREY/DAN FT-NY KIESNOSKI/RAU SUBTOTAL *			\$0.00	\$136.50	\$0.00	\$136.50		\$136.50
<u>BROKER: G3G-DAN/ROY/JEFF/JON FT-NY RAUPP/PF #254</u>								
02/20/2018	BRIDGEHAMPTON CHILD	CANTEL MED CORP COM	-28,431.88	0.00	7.86	-7.86	100.0	-7.86
03/17/2016	FENELON, DICKENS	FA 529 PORT 2030 T	0.00	0.03	0.00	0.03	100.0	0.03
04/19/2016	FENELON, DICKENS	FA 529 PORT 2030 T	0.00	0.06	0.00	0.06	100.0	0.06
05/24/2016	FENELON, DICKENS	FA 529 PORT 2030 T	0.00	0.06	0.00	0.06	100.0	0.06
06/15/2016	FENELON, DICKENS	FA 529 PORT 2030 T	0.00	0.06	0.00	0.06	100.0	0.06
07/19/2016	FENELON, DICKENS	FA 529 PORT 2030 T	0.00	0.06	0.00	0.06	100.0	0.06

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>SPLIT TRANSACTIONS</u>								
<u>BROKER: G3G-DAN/ROY/JEFF/JON FT-NY RAUPP/PF #254</u>								
08/16/2016	FENELON, DICKENS	FA 529 PORT 2030 T	0.00	0.07	0.00	0.07	100.0	0.07
09/19/2016	FENELON, DICKENS	FA 529 PORT 2030 T	0.00	0.07	0.00	0.07	100.0	0.07
10/19/2016	FENELON, DICKENS	FA 529 PORT 2030 T	0.00	0.07	0.00	0.07	100.0	0.07
11/18/2016	FENELON, DICKENS	FA 529 PORT 2030 T	0.00	0.07	0.00	0.07	100.0	0.07
12/16/2016	FENELON, DICKENS	FA 529 PORT 2030 T	0.00	0.07	0.00	0.07	100.0	0.07
04/22/2016	MCCLARNON, BRENDAN	GRIFFIN INSTITUTIONAL ACCESS REAL E	0.00	0.62	0.00	0.62	100.0	0.62
04/22/2016	DAVID, RUDOLPH	GRIFFIN INSTITUTIONAL ACCESS REAL E	0.00	1.03	0.00	1.03	100.0	1.03
08/01/2016	MCCLARNON, BRENDAN	GRIFFIN INSTITUTIONAL ACCESS REAL E	0.00	0.63	0.00	0.63	100.0	0.63
08/01/2016	DAVID, RUDOLPH	GRIFFIN INSTITUTIONAL ACCESS REAL E	0.00	1.05	0.00	1.05	100.0	1.05
10/17/2016	MCCLARNON, BRENDAN	GRIFFIN INSTITUTIONAL ACCESS REAL E	0.00	0.64	0.00	0.64	100.0	0.64
10/17/2016	DAVID, RUDOLPH	GRIFFIN INSTITUTIONAL ACCESS REAL E	0.00	1.07	0.00	1.07	100.0	1.07
07/19/2016	NICASTRO, JOSEPH	INVESCO AMERICAN FRANCHISE A	0.00	0.04	0.00	0.04	100.0	0.04
10/17/2016	NICASTRO, JOSEPH	INVESCO AMERICAN FRANCHISE A	0.00	0.02	0.00	0.02	100.0	0.02
07/25/2016	DAVID, RUDOLPH	JP MORGAN EQUITY INCOME FUND CLASS	0.00	0.01	0.00	0.01	100.0	0.01
08/15/2016	DAVID, RUDOLPH	JP MORGAN EQUITY INCOME FUND CLASS	0.00	0.22	0.00	0.22	100.0	0.22
09/15/2016	NICASTRO, JOSEPH	JP MORGAN EQUITY INCOME FUND CLASS	0.00	0.01	0.00	0.01	100.0	0.01
09/15/2016	LALAMA, MARY	JP MORGAN EQUITY INCOME FUND CLASS	0.00	0.15	0.00	0.15	100.0	0.15
09/15/2016	DAVID, RUDOLPH	JP MORGAN EQUITY INCOME FUND CLASS	0.00	0.22	0.00	0.22	100.0	0.22
10/14/2016	NICASTRO, JOSEPH	JP MORGAN EQUITY INCOME FUND CLASS	0.00	0.54	0.00	0.54	100.0	0.54
10/14/2016	LALAMA, MARY	JP MORGAN EQUITY INCOME FUND CLASS	0.00	0.48	0.00	0.48	100.0	0.48
10/14/2016	DAVID, RUDOLPH	JP MORGAN EQUITY INCOME FUND CLASS	0.00	0.22	0.00	0.22	100.0	0.22
11/21/2016	NICASTRO, JOSEPH	JP MORGAN EQUITY INCOME FUND CLASS	0.00	0.54	0.00	0.54	100.0	0.54
11/21/2016	LALAMA, MARY	JP MORGAN EQUITY INCOME FUND CLASS	0.00	0.50	0.00	0.50	100.0	0.50
11/21/2016	DAVID, RUDOLPH	JP MORGAN EQUITY INCOME FUND CLASS	0.00	0.23	0.00	0.23	100.0	0.23
12/16/2016	NICASTRO, JOSEPH	JP MORGAN EQUITY INCOME FUND CLASS	0.00	0.55	0.00	0.55	100.0	0.55
12/16/2016	LALAMA, MARY	JP MORGAN EQUITY INCOME FUND CLASS	0.00	0.50	0.00	0.50	100.0	0.50
12/16/2016	DAVID, RUDOLPH	JP MORGAN EQUITY INCOME FUND CLASS	0.00	0.23	0.00	0.23	100.0	0.23
02/19/2016	DAVID, RUDOLPH	JP MORGAN GROWTH ADV A	0.00	0.24	0.00	0.24	100.0	0.24
02/19/2016	CIMMINO, VICTORIA	JP MORGAN GROWTH ADV A	0.00	0.35	0.00	0.35	100.0	0.35
03/17/2016	DAVID, RUDOLPH	JP MORGAN GROWTH ADV A	0.00	0.23	0.00	0.23	100.0	0.23
03/17/2016	CIMMINO, VICTORIA	JP MORGAN GROWTH ADV A	0.00	0.31	0.00	0.31	100.0	0.31
04/25/2016	DAVID, RUDOLPH	JP MORGAN GROWTH ADV A	0.00	0.25	0.00	0.25	100.0	0.25
04/25/2016	CIMMINO, VICTORIA	JP MORGAN GROWTH ADV A	0.00	0.36	0.00	0.36	100.0	0.36

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<u>SPLIT TRANSACTIONS</u>								
<u>BROKER: G3G-DAN/ROY/JEFF/JON FT-NY RAUPP/PF #254</u>								
05/16/2016	DAVID, RUDOLPH	JP MORGAN GROWTH ADV A	0.00	0.25	0.00	0.25	100.0	0.25
05/16/2016	CIMMINO, VICTORIA	JP MORGAN GROWTH ADV A	0.00	0.37	0.00	0.37	100.0	0.37
06/20/2016	DAVID, RUDOLPH	JP MORGAN GROWTH ADV A	0.00	0.26	0.00	0.26	100.0	0.26
06/20/2016	CIMMINO, VICTORIA	JP MORGAN GROWTH ADV A	0.00	0.36	0.00	0.36	100.0	0.36
07/25/2016	DAVID, RUDOLPH	JP MORGAN GROWTH ADV A	0.00	0.25	0.00	0.25	100.0	0.25
07/25/2016	CIMMINO, VICTORIA	JP MORGAN GROWTH ADV A	0.00	0.37	0.00	0.37	100.0	0.37
08/15/2016	DAVID, RUDOLPH	JP MORGAN GROWTH ADV A	0.00	0.20	0.00	0.20	100.0	0.20
08/15/2016	CIMMINO, VICTORIA	JP MORGAN GROWTH ADV A	0.00	0.38	0.00	0.38	100.0	0.38
09/15/2016	DAVID, RUDOLPH	JP MORGAN GROWTH ADV A	0.00	0.20	0.00	0.20	100.0	0.20
09/15/2016	CIMMINO, VICTORIA	JP MORGAN GROWTH ADV A	0.00	0.38	0.00	0.38	100.0	0.38
10/14/2016	DAVID, RUDOLPH	JP MORGAN GROWTH ADV A	0.00	0.19	0.00	0.19	100.0	0.19
10/14/2016	CIMMINO, VICTORIA	JP MORGAN GROWTH ADV A	0.00	0.37	0.00	0.37	100.0	0.37
11/21/2016	DAVID, RUDOLPH	JP MORGAN GROWTH ADV A	0.00	0.20	0.00	0.20	100.0	0.20
11/21/2016	CIMMINO, VICTORIA	JP MORGAN GROWTH ADV A	0.00	0.37	0.00	0.37	100.0	0.37
12/16/2016	DAVID, RUDOLPH	JP MORGAN GROWTH ADV A	0.00	0.19	0.00	0.19	100.0	0.19
12/16/2016	CIMMINO, VICTORIA	JP MORGAN GROWTH ADV A	0.00	0.38	0.00	0.38	100.0	0.38
12/16/2016	KEYSER, LISA	JP MORGAN INVESTOR GROWTH FUND CLAS	0.00	0.14	0.00	0.14	100.0	0.14
02/19/2016	DAVID, RUDOLPH	JP MORGAN U.S. EQUITY FUND CLASS A	0.00	0.32	0.00	0.32	100.0	0.32
03/17/2016	DAVID, RUDOLPH	JP MORGAN U.S. EQUITY FUND CLASS A	0.00	0.30	0.00	0.30	100.0	0.30
04/25/2016	DAVID, RUDOLPH	JP MORGAN U.S. EQUITY FUND CLASS A	0.00	0.34	0.00	0.34	100.0	0.34
05/16/2016	DAVID, RUDOLPH	JP MORGAN U.S. EQUITY FUND CLASS A	0.00	0.34	0.00	0.34	100.0	0.34
06/20/2016	DAVID, RUDOLPH	JP MORGAN U.S. EQUITY FUND CLASS A	0.00	0.34	0.00	0.34	100.0	0.34
07/25/2016	DAVID, RUDOLPH	JP MORGAN U.S. EQUITY FUND CLASS A	0.00	0.33	0.00	0.33	100.0	0.33
08/15/2016	DAVID, RUDOLPH	JP MORGAN U.S. EQUITY FUND CLASS A	0.00	0.24	0.00	0.24	100.0	0.24
09/15/2016	DAVID, RUDOLPH	JP MORGAN U.S. EQUITY FUND CLASS A	0.00	0.25	0.00	0.25	100.0	0.25
10/14/2016	DAVID, RUDOLPH	JP MORGAN U.S. EQUITY FUND CLASS A	0.00	0.24	0.00	0.24	100.0	0.24
11/21/2016	DAVID, RUDOLPH	JP MORGAN U.S. EQUITY FUND CLASS A	0.00	0.25	0.00	0.25	100.0	0.25
12/16/2016	DAVID, RUDOLPH	JP MORGAN U.S. EQUITY FUND CLASS A	0.00	0.24	0.00	0.24	100.0	0.24
02/19/2016	DAVID, RUDOLPH	JP MORGAN VALUE ADVANTAGE FUND CLAS	0.00	0.22	0.00	0.22	100.0	0.22
02/19/2016	CIMMINO, VICTORIA	JP MORGAN VALUE ADVANTAGE FUND CLAS	0.00	0.16	0.00	0.16	100.0	0.16
03/17/2016	DAVID, RUDOLPH	JP MORGAN VALUE ADVANTAGE FUND CLAS	0.00	0.21	0.00	0.21	100.0	0.21
03/17/2016	CIMMINO, VICTORIA	JP MORGAN VALUE ADVANTAGE FUND CLAS	0.00	0.15	0.00	0.15	100.0	0.15
04/25/2016	DAVID, RUDOLPH	JP MORGAN VALUE ADVANTAGE FUND CLAS	0.00	0.25	0.00	0.25	100.0	0.25

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<u>SPLIT TRANSACTIONS</u>								
<u>BROKER: G3G-DAN/ROY/JEFF/JON FT-NY RAUPP/PF #254</u>								
04/25/2016	CIMMINO, VICTORIA	JP MORGAN VALUE ADVANTAGE FUND CLAS	0.00	0.17	0.00	0.17	100.0	0.17
05/16/2016	DAVID, RUDOLPH	JP MORGAN VALUE ADVANTAGE FUND CLAS	0.00	0.24	0.00	0.24	100.0	0.24
05/16/2016	CIMMINO, VICTORIA	JP MORGAN VALUE ADVANTAGE FUND CLAS	0.00	0.17	0.00	0.17	100.0	0.17
06/20/2016	DAVID, RUDOLPH	JP MORGAN VALUE ADVANTAGE FUND CLAS	0.00	0.23	0.00	0.23	100.0	0.23
06/20/2016	CIMMINO, VICTORIA	JP MORGAN VALUE ADVANTAGE FUND CLAS	0.00	0.16	0.00	0.16	100.0	0.16
07/25/2016	DAVID, RUDOLPH	JP MORGAN VALUE ADVANTAGE FUND CLAS	0.00	0.24	0.00	0.24	100.0	0.24
07/25/2016	CIMMINO, VICTORIA	JP MORGAN VALUE ADVANTAGE FUND CLAS	0.00	0.17	0.00	0.17	100.0	0.17
08/15/2016	DAVID, RUDOLPH	JP MORGAN VALUE ADVANTAGE FUND CLAS	0.00	0.25	0.00	0.25	100.0	0.25
08/15/2016	CIMMINO, VICTORIA	JP MORGAN VALUE ADVANTAGE FUND CLAS	0.00	0.17	0.00	0.17	100.0	0.17
09/15/2016	DAVID, RUDOLPH	JP MORGAN VALUE ADVANTAGE FUND CLAS	0.00	0.26	0.00	0.26	100.0	0.26
09/15/2016	CIMMINO, VICTORIA	JP MORGAN VALUE ADVANTAGE FUND CLAS	0.00	0.18	0.00	0.18	100.0	0.18
10/14/2016	DAVID, RUDOLPH	JP MORGAN VALUE ADVANTAGE FUND CLAS	0.00	0.24	0.00	0.24	100.0	0.24
10/14/2016	CIMMINO, VICTORIA	JP MORGAN VALUE ADVANTAGE FUND CLAS	0.00	0.16	0.00	0.16	100.0	0.16
11/21/2016	DAVID, RUDOLPH	JP MORGAN VALUE ADVANTAGE FUND CLAS	0.00	0.25	0.00	0.25	100.0	0.25
11/21/2016	CIMMINO, VICTORIA	JP MORGAN VALUE ADVANTAGE FUND CLAS	0.00	0.18	0.00	0.18	100.0	0.18
12/16/2016	DAVID, RUDOLPH	JP MORGAN VALUE ADVANTAGE FUND CLAS	0.00	0.26	0.00	0.26	100.0	0.26
12/16/2016	CIMMINO, VICTORIA	JP MORGAN VALUE ADVANTAGE FUND CLAS	0.00	0.18	0.00	0.18	100.0	0.18
02/25/2016	DAVID, RUDOLPH	MAINSTAY CUSHING MLP PREMIER FUND C	0.00	0.13	0.00	0.13	100.0	0.13
03/08/2016	DAVID, RUDOLPH	MAINSTAY CUSHING MLP PREMIER FUND C	0.00	0.11	0.00	0.11	100.0	0.11
04/22/2016	DAVID, RUDOLPH	MAINSTAY CUSHING MLP PREMIER FUND C	0.00	0.13	0.00	0.13	100.0	0.13
05/17/2016	DAVID, RUDOLPH	MAINSTAY CUSHING MLP PREMIER FUND C	0.00	0.15	0.00	0.15	100.0	0.15
06/15/2016	DAVID, RUDOLPH	MAINSTAY CUSHING MLP PREMIER FUND C	0.00	0.16	0.00	0.16	100.0	0.16
07/14/2016	DAVID, RUDOLPH	MAINSTAY CUSHING MLP PREMIER FUND C	0.00	0.17	0.00	0.17	100.0	0.17
08/18/2016	DAVID, RUDOLPH	MAINSTAY CUSHING MLP PREMIER FUND C	0.00	0.16	0.00	0.16	100.0	0.16
09/15/2016	DAVID, RUDOLPH	MAINSTAY CUSHING MLP PREMIER FUND C	0.00	0.16	0.00	0.16	100.0	0.16
10/21/2016	DAVID, RUDOLPH	MAINSTAY CUSHING MLP PREMIER FUND C	0.00	0.18	0.00	0.18	100.0	0.18
11/09/2016	DAVID, RUDOLPH	MAINSTAY CUSHING MLP PREMIER FUND C	0.00	0.16	0.00	0.16	100.0	0.16
12/16/2016	DAVID, RUDOLPH	MAINSTAY CUSHING MLP PREMIER FUND C	0.00	0.17	0.00	0.17	100.0	0.17
02/08/2016	KEYSER, LISA	MILLER CONVERTIBLE BOND FUND CLASS	0.00	1.15	0.00	1.15	100.0	1.15
03/07/2016	KEYSER, LISA	MILLER CONVERTIBLE BOND FUND CLASS	0.00	1.41	0.00	1.41	100.0	1.41
04/11/2016	KEYSER, LISA	MILLER CONVERTIBLE BOND FUND CLASS	0.00	1.46	0.00	1.46	100.0	1.46
05/12/2016	KEYSER, LISA	MILLER CONVERTIBLE BOND FUND CLASS	0.00	1.40	0.00	1.40	100.0	1.40
06/09/2016	KEYSER, LISA	MILLER CONVERTIBLE BOND FUND CLASS	0.00	1.55	0.00	1.55	100.0	1.55

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<u>SPLIT TRANSACTIONS</u>								
<u>BROKER: G3G-DAN/ROY/JEFF/JON FT-NY RAUPP/PF #254</u>								
07/13/2016	KEYSER, LISA	MILLER CONVERTIBLE BOND FUND CLASS	0.00	1.48	0.00	1.48	100.0	1.48
08/11/2016	KEYSER, LISA	MILLER CONVERTIBLE BOND FUND CLASS	0.00	1.55	0.00	1.55	100.0	1.55
09/12/2016	LALAMA, MARY	MILLER CONVERTIBLE BOND FUND CLASS	0.00	0.08	0.00	0.08	100.0	0.08
09/12/2016	KEYSER, LISA	MILLER CONVERTIBLE BOND FUND CLASS	0.00	1.56	0.00	1.56	100.0	1.56
10/11/2016	LALAMA, MARY	MILLER CONVERTIBLE BOND FUND CLASS	0.00	0.32	0.00	0.32	100.0	0.32
10/11/2016	KEYSER, LISA	MILLER CONVERTIBLE BOND FUND CLASS	0.00	1.53	0.00	1.53	100.0	1.53
11/10/2016	LALAMA, MARY	MILLER CONVERTIBLE BOND FUND CLASS	0.00	0.34	0.00	0.34	100.0	0.34
11/10/2016	KEYSER, LISA	MILLER CONVERTIBLE BOND FUND CLASS	0.00	1.57	0.00	1.57	100.0	1.57
12/12/2016	LALAMA, MARY	MILLER CONVERTIBLE BOND FUND CLASS	0.00	0.33	0.00	0.33	100.0	0.33
12/12/2016	KEYSER, LISA	MILLER CONVERTIBLE BOND FUND CLASS	0.00	1.53	0.00	1.53	100.0	1.53
02/23/2016	BARRY, ROBERT	THE GABELLI UTILITIES FUND CLASS A	0.00	0.68	0.00	0.68	100.0	0.68
03/21/2016	BARRY, ROBERT	THE GABELLI UTILITIES FUND CLASS A	0.00	0.66	0.00	0.66	100.0	0.66
04/28/2016	BARRY, ROBERT	THE GABELLI UTILITIES FUND CLASS A	0.00	0.74	0.00	0.74	100.0	0.74
05/24/2016	BARRY, ROBERT	THE GABELLI UTILITIES FUND CLASS A	0.00	0.73	0.00	0.73	100.0	0.73
06/22/2016	BARRY, ROBERT	THE GABELLI UTILITIES FUND CLASS A	0.00	0.75	0.00	0.75	100.0	0.75
07/22/2016	BARRY, ROBERT	THE GABELLI UTILITIES FUND CLASS A	0.00	0.74	0.00	0.74	100.0	0.74
08/19/2016	BARRY, ROBERT	THE GABELLI UTILITIES FUND CLASS A	0.00	0.78	0.00	0.78	100.0	0.78
09/21/2016	BARRY, ROBERT	THE GABELLI UTILITIES FUND CLASS A	0.00	0.76	0.00	0.76	100.0	0.76
10/20/2016	BARRY, ROBERT	THE GABELLI UTILITIES FUND CLASS A	0.00	0.73	0.00	0.73	100.0	0.73
11/22/2016	BARRY, ROBERT	THE GABELLI UTILITIES FUND CLASS A	0.00	0.74	0.00	0.74	100.0	0.74
12/27/2016	BARRY, ROBERT	THE GABELLI UTILITIES FUND CLASS A	0.00	0.70	0.00	0.70	100.0	0.70
* G3G-DAN/ROY/JEFF/JON FT-NY RAUPP/PF SUBTOTAL *			\$-28,431.88	\$51.36	\$7.86	\$43.50		\$43.50
<u>BROKER: J1D-DAN/JON PAUL FT-NY RAUPP/CIRELL #255</u>								
05/31/2016	BENAVENTE, BENJAMIN	BLACKROCK MULTI-ASSET INCOME PORTFO	0.00	3.56	0.00	3.56	100.0	3.56
05/31/2016	BENAVENTE, BENJAMIN	BLACKROCK MULTI-ASSET INCOME PORTFO	0.00	1.56	0.00	1.56	100.0	1.56
05/31/2016	BENAVENTE, CAROLYN	BLACKROCK MULTI-ASSET INCOME PORTFO	0.00	1.56	0.00	1.56	100.0	1.56
06/27/2016	BENAVENTE, BENJAMIN	BLACKROCK MULTI-ASSET INCOME PORTFO	0.00	2.82	0.00	2.82	100.0	2.82
06/27/2016	BENAVENTE, BENJAMIN	BLACKROCK MULTI-ASSET INCOME PORTFO	0.00	2.02	0.00	2.02	100.0	2.02
06/27/2016	BENAVENTE, CAROLYN	BLACKROCK MULTI-ASSET INCOME PORTFO	0.00	1.56	0.00	1.56	100.0	1.56
07/29/2016	BENAVENTE, BENJAMIN	BLACKROCK MULTI-ASSET INCOME PORTFO	0.00	1.96	0.00	1.96	100.0	1.96
08/30/2016	BENAVENTE, BENJAMIN	BLACKROCK MULTI-ASSET INCOME PORTFO	0.00	2.06	0.00	2.06	100.0	2.06
09/29/2016	BENAVENTE, BENJAMIN	BLACKROCK MULTI-ASSET INCOME PORTFO	0.00	2.09	0.00	2.09	100.0	2.09
10/27/2016	BENAVENTE, BENJAMIN	BLACKROCK MULTI-ASSET INCOME PORTFO	0.00	2.02	0.00	2.02	100.0	2.02

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

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

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

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>SPLIT TRANSACTIONS</u>								
BROKER: J1D-DAN/JON PAUL FT-NY RAUPP/CIRELL #255								
11/28/2016	BENAVENTE, BENJAMIN	BLACKROCK MULTI-ASSET INCOME PORTFO	0.00	2.09	0.00	2.09	100.0	2.09
12/21/2016	BENAVENTE, BENJAMIN	BLACKROCK MULTI-ASSET INCOME PORTFO	0.00	2.00	0.00	2.00	100.0	2.00
04/14/2016	KLANSKY, ARTHUR	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	1.54	0.00	1.54	100.0	1.54
05/19/2016	KLANSKY, ARTHUR	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	5.62	0.00	5.62	100.0	5.62
05/19/2016	MALONEY, JOHN	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	2.73	0.00	2.73	100.0	2.73
06/23/2016	KLANSKY, ARTHUR	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	6.25	0.00	6.25	100.0	6.25
06/23/2016	MALONEY, JOHN	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	21.90	0.00	21.90	100.0	21.90
07/11/2016	KLANSKY, ARTHUR	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	5.89	0.00	5.89	100.0	5.89
07/11/2016	MALONEY, JOHN	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	20.63	0.00	20.63	100.0	20.63
08/15/2016	KLANSKY, ARTHUR	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	6.14	0.00	6.14	100.0	6.14
09/01/2016	MALONEY, JOHN	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	21.21	0.00	21.21	100.0	21.21
09/12/2016	KLANSKY, ARTHUR	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	6.15	0.00	6.15	100.0	6.15
09/12/2016	MALONEY, JOHN	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	21.25	0.00	21.25	100.0	21.25
10/14/2016	KLANSKY, ARTHUR	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	5.96	0.00	5.96	100.0	5.96
10/14/2016	MALONEY, JOHN	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	20.57	0.00	20.57	100.0	20.57
11/17/2016	KLANSKY, ARTHUR	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	6.19	0.00	6.19	100.0	6.19
11/17/2016	ASHLAR MECHANICAL	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	2.04	0.00	2.04	100.0	2.04
11/17/2016	MALONEY, JOHN	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	21.06	0.00	21.06	100.0	21.06
12/12/2016	KLANSKY, ARTHUR	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	6.03	0.00	6.03	100.0	6.03
12/12/2016	ASHLAR MECHANICAL	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	20.54	0.00	20.54	100.0	20.54
12/12/2016	MALONEY, JOHN	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	20.52	0.00	20.52	100.0	20.52
04/22/2016	KLANSKY, ARTHUR	GRIFFIN INSTITUTIONAL ACCESS REAL E	0.00	0.58	0.00	0.58	100.0	0.58
08/01/2016	KLANSKY, ARTHUR	GRIFFIN INSTITUTIONAL ACCESS REAL E	0.00	5.94	0.00	5.94	100.0	5.94
10/17/2016	KLANSKY, ARTHUR	GRIFFIN INSTITUTIONAL ACCESS REAL E	0.00	6.13	0.00	6.13	100.0	6.13
02/19/2016	OXFORD INS CO-CL E	JP MORGAN GROWTH ADV A	0.00	1.34	0.00	1.34	100.0	1.34
02/19/2016	OXFORD INS CO-CL G	JP MORGAN GROWTH ADV A	0.00	7.71	0.00	7.71	100.0	7.71
03/17/2016	OXFORD INS CO-CL E	JP MORGAN GROWTH ADV A	0.00	1.19	0.00	1.19	100.0	1.19
03/17/2016	OXFORD INS CO-CL G	JP MORGAN GROWTH ADV A	0.00	6.81	0.00	6.81	100.0	6.81
04/25/2016	OXFORD INS CO-CL E	JP MORGAN GROWTH ADV A	0.00	1.37	0.00	1.37	100.0	1.37
04/25/2016	OXFORD INS CO-CL G	JP MORGAN GROWTH ADV A	0.00	7.88	0.00	7.88	100.0	7.88
05/16/2016	OXFORD INS CO-CL E	JP MORGAN GROWTH ADV A	0.00	1.38	0.00	1.38	100.0	1.38
05/16/2016	OXFORD INS CO-CL G	JP MORGAN GROWTH ADV A	0.00	7.90	0.00	7.90	100.0	7.90
06/20/2016	OXFORD INS CO-CL E	JP MORGAN GROWTH ADV A	0.00	1.41	0.00	1.41	100.0	1.41

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>SPLIT TRANSACTIONS</u>								
<u>BROKER: J1D-DAN/JON PAUL FT-NY RAUPP/CIRELL #255</u>								
06/20/2016	OXFORD INS CO-CL G	JP MORGAN GROWTH ADV A	0.00	8.09	0.00	8.09	100.0	8.09
07/25/2016	OXFORD INS CO-CL E	JP MORGAN GROWTH ADV A	0.00	1.38	0.00	1.38	100.0	1.38
07/25/2016	OXFORD INS CO-CL G	JP MORGAN GROWTH ADV A	0.00	7.90	0.00	7.90	100.0	7.90
08/15/2016	OXFORD INS CO-CL E	JP MORGAN GROWTH ADV A	0.00	1.45	0.00	1.45	100.0	1.45
08/15/2016	OXFORD INS CO-CL G	JP MORGAN GROWTH ADV A	0.00	8.32	0.00	8.32	100.0	8.32
09/15/2016	OXFORD INS CO-CL E	JP MORGAN GROWTH ADV A	0.00	1.49	0.00	1.49	100.0	1.49
09/15/2016	OXFORD INS CO-CL G	JP MORGAN GROWTH ADV A	0.00	8.54	0.00	8.54	100.0	8.54
10/14/2016	OXFORD INS CO-CL E	JP MORGAN GROWTH ADV A	0.00	1.43	0.00	1.43	100.0	1.43
10/14/2016	OXFORD INS CO-CL G	JP MORGAN GROWTH ADV A	0.00	8.20	0.00	8.20	100.0	8.20
11/21/2016	OXFORD INS CO-CL E	JP MORGAN GROWTH ADV A	0.00	1.47	0.00	1.47	100.0	1.47
11/21/2016	OXFORD INS CO-CL G	JP MORGAN GROWTH ADV A	0.00	4.38	0.00	4.38	100.0	4.38
12/16/2016	OXFORD INS CO-CL E	JP MORGAN GROWTH ADV A	0.00	1.43	0.00	1.43	100.0	1.43
02/19/2016	OXFORD INS CO-CL E	JP MORGAN U.S. EQUITY FUND CLASS A	0.00	1.72	0.00	1.72	100.0	1.72
02/19/2016	OXFORD INS CO-CL G	JP MORGAN U.S. EQUITY FUND CLASS A	0.00	7.81	0.00	7.81	100.0	7.81
03/17/2016	OXFORD INS CO-CL E	JP MORGAN U.S. EQUITY FUND CLASS A	0.00	1.57	0.00	1.57	100.0	1.57
03/17/2016	OXFORD INS CO-CL G	JP MORGAN U.S. EQUITY FUND CLASS A	0.00	7.11	0.00	7.11	100.0	7.11
04/25/2016	OXFORD INS CO-CL E	JP MORGAN U.S. EQUITY FUND CLASS A	0.00	1.79	0.00	1.79	100.0	1.79
04/25/2016	OXFORD INS CO-CL G	JP MORGAN U.S. EQUITY FUND CLASS A	0.00	8.13	0.00	8.13	100.0	8.13
05/16/2016	OXFORD INS CO-CL E	JP MORGAN U.S. EQUITY FUND CLASS A	0.00	1.79	0.00	1.79	100.0	1.79
05/16/2016	OXFORD INS CO-CL G	JP MORGAN U.S. EQUITY FUND CLASS A	0.00	8.11	0.00	8.11	100.0	8.11
06/20/2016	OXFORD INS CO-CL E	JP MORGAN U.S. EQUITY FUND CLASS A	0.00	1.84	0.00	1.84	100.0	1.84
06/20/2016	OXFORD INS CO-CL G	JP MORGAN U.S. EQUITY FUND CLASS A	0.00	8.37	0.00	8.37	100.0	8.37
07/25/2016	OXFORD INS CO-CL E	JP MORGAN U.S. EQUITY FUND CLASS A	0.00	1.79	0.00	1.79	100.0	1.79
07/25/2016	OXFORD INS CO-CL G	JP MORGAN U.S. EQUITY FUND CLASS A	0.00	8.15	0.00	8.15	100.0	8.15
08/15/2016	OXFORD INS CO-CL E	JP MORGAN U.S. EQUITY FUND CLASS A	0.00	1.90	0.00	1.90	100.0	1.90
08/15/2016	OXFORD INS CO-CL G	JP MORGAN U.S. EQUITY FUND CLASS A	0.00	8.61	0.00	8.61	100.0	8.61
09/15/2016	OXFORD INS CO-CL E	JP MORGAN U.S. EQUITY FUND CLASS A	0.00	1.94	0.00	1.94	100.0	1.94
09/15/2016	OXFORD INS CO-CL G	JP MORGAN U.S. EQUITY FUND CLASS A	0.00	8.79	0.00	8.79	100.0	8.79
10/14/2016	OXFORD INS CO-CL E	JP MORGAN U.S. EQUITY FUND CLASS A	0.00	1.86	0.00	1.86	100.0	1.86
10/14/2016	OXFORD INS CO-CL G	JP MORGAN U.S. EQUITY FUND CLASS A	0.00	8.45	0.00	8.45	100.0	8.45
11/21/2016	OXFORD INS CO-CL E	JP MORGAN U.S. EQUITY FUND CLASS A	0.00	1.93	0.00	1.93	100.0	1.93
11/21/2016	OXFORD INS CO-CL G	JP MORGAN U.S. EQUITY FUND CLASS A	0.00	4.52	0.00	4.52	100.0	4.52
12/16/2016	OXFORD INS CO-CL E	JP MORGAN U.S. EQUITY FUND CLASS A	0.00	1.90	0.00	1.90	100.0	1.90

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>SPLIT TRANSACTIONS</u>								
BROKER: J1D-DAN/JON PAUL FT-NY RAUPP/CIRELL #255								
02/19/2016	OXFORD INS CO-CL E	JP MORGAN VALUE ADVANTAGE FUND CLAS	0.00	1.23	0.00	1.23	100.0	1.23
02/19/2016	OXFORD INS CO-CL G	JP MORGAN VALUE ADVANTAGE FUND CLAS	0.00	7.39	0.00	7.39	100.0	7.39
03/17/2016	OXFORD INS CO-CL E	JP MORGAN VALUE ADVANTAGE FUND CLAS	0.00	1.14	0.00	1.14	100.0	1.14
03/17/2016	OXFORD INS CO-CL G	JP MORGAN VALUE ADVANTAGE FUND CLAS	0.00	6.81	0.00	6.81	100.0	6.81
04/25/2016	OXFORD INS CO-CL E	JP MORGAN VALUE ADVANTAGE FUND CLAS	0.00	1.31	0.00	1.31	100.0	1.31
04/25/2016	OXFORD INS CO-CL G	JP MORGAN VALUE ADVANTAGE FUND CLAS	0.00	7.83	0.00	7.83	100.0	7.83
05/16/2016	OXFORD INS CO-CL E	JP MORGAN VALUE ADVANTAGE FUND CLAS	0.00	1.29	0.00	1.29	100.0	1.29
05/16/2016	OXFORD INS CO-CL G	JP MORGAN VALUE ADVANTAGE FUND CLAS	0.00	7.72	0.00	7.72	100.0	7.72
06/20/2016	OXFORD INS CO-CL E	JP MORGAN VALUE ADVANTAGE FUND CLAS	0.00	1.34	0.00	1.34	100.0	1.34
06/20/2016	OXFORD INS CO-CL G	JP MORGAN VALUE ADVANTAGE FUND CLAS	0.00	8.00	0.00	8.00	100.0	8.00
07/25/2016	OXFORD INS CO-CL E	JP MORGAN VALUE ADVANTAGE FUND CLAS	0.00	1.30	0.00	1.30	100.0	1.30
07/25/2016	OXFORD INS CO-CL G	JP MORGAN VALUE ADVANTAGE FUND CLAS	0.00	7.78	0.00	7.78	100.0	7.78
08/15/2016	OXFORD INS CO-CL E	JP MORGAN VALUE ADVANTAGE FUND CLAS	0.00	1.38	0.00	1.38	100.0	1.38
08/15/2016	OXFORD INS CO-CL G	JP MORGAN VALUE ADVANTAGE FUND CLAS	0.00	8.26	0.00	8.26	100.0	8.26
09/15/2016	OXFORD INS CO-CL E	JP MORGAN VALUE ADVANTAGE FUND CLAS	0.00	1.40	0.00	1.40	100.0	1.40
09/15/2016	OXFORD INS CO-CL G	JP MORGAN VALUE ADVANTAGE FUND CLAS	0.00	8.40	0.00	8.40	100.0	8.40
10/14/2016	OXFORD INS CO-CL E	JP MORGAN VALUE ADVANTAGE FUND CLAS	0.00	1.36	0.00	1.36	100.0	1.36
10/14/2016	OXFORD INS CO-CL G	JP MORGAN VALUE ADVANTAGE FUND CLAS	0.00	8.11	0.00	8.11	100.0	8.11
11/21/2016	OXFORD INS CO-CL E	JP MORGAN VALUE ADVANTAGE FUND CLAS	0.00	1.40	0.00	1.40	100.0	1.40
11/21/2016	OXFORD INS CO-CL G	JP MORGAN VALUE ADVANTAGE FUND CLAS	0.00	4.33	0.00	4.33	100.0	4.33
12/16/2016	OXFORD INS CO-CL E	JP MORGAN VALUE ADVANTAGE FUND CLAS	0.00	1.41	0.00	1.41	100.0	1.41
02/25/2016	OXFORD INS CO-CL E	MAINSTAY CUSHING MLP PREMIER FUND C	0.00	0.06	0.00	0.06	100.0	0.06
03/08/2016	OXFORD INS CO-CL E	MAINSTAY CUSHING MLP PREMIER FUND C	0.00	0.27	0.00	0.27	100.0	0.27
04/22/2016	OXFORD INS CO-CL E	MAINSTAY CUSHING MLP PREMIER FUND C	0.00	0.33	0.00	0.33	100.0	0.33
05/17/2016	OXFORD INS CO-CL E	MAINSTAY CUSHING MLP PREMIER FUND C	0.00	0.35	0.00	0.35	100.0	0.35
06/15/2016	OXFORD INS CO-CL E	MAINSTAY CUSHING MLP PREMIER FUND C	0.00	0.40	0.00	0.40	100.0	0.40
07/14/2016	OXFORD INS CO-CL E	MAINSTAY CUSHING MLP PREMIER FUND C	0.00	0.40	0.00	0.40	100.0	0.40
08/18/2016	OXFORD INS CO-CL E	MAINSTAY CUSHING MLP PREMIER FUND C	0.00	0.43	0.00	0.43	100.0	0.43
09/15/2016	OXFORD INS CO-CL E	MAINSTAY CUSHING MLP PREMIER FUND C	0.00	0.43	0.00	0.43	100.0	0.43
09/15/2016	MALONEY, JOHN	MAINSTAY CUSHING MLP PREMIER FUND C	0.00	1.88	0.00	1.88	100.0	1.88
10/21/2016	OXFORD INS CO-CL E	MAINSTAY CUSHING MLP PREMIER FUND C	0.00	0.42	0.00	0.42	100.0	0.42
10/21/2016	MALONEY, JOHN	MAINSTAY CUSHING MLP PREMIER FUND C	0.00	3.73	0.00	3.73	100.0	3.73
11/09/2016	OXFORD INS CO-CL E	MAINSTAY CUSHING MLP PREMIER FUND C	0.00	0.43	0.00	0.43	100.0	0.43

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>SPLIT TRANSACTIONS</u>								
BROKER: J1D-DAN/JON PAUL FT-NY RAUPP/CIRELL #255								
11/09/2016	MALONEY, JOHN	MAINSTAY CUSHING MLP PREMIER FUND C	0.00	3.88	0.00	3.88	100.0	3.88
12/16/2016	OXFORD INS CO-CL E	MAINSTAY CUSHING MLP PREMIER FUND C	0.00	0.41	0.00	0.41	100.0	0.41
12/16/2016	MALONEY, JOHN	MAINSTAY CUSHING MLP PREMIER FUND C	0.00	3.68	0.00	3.68	100.0	3.68
02/25/2016	OXFORD INS CO-CL G	MAINSTAY CUSHING RENAISSANCE ADV CL	0.00	3.68	0.00	3.68	100.0	3.68
03/08/2016	OXFORD INS CO-CL G	MAINSTAY CUSHING RENAISSANCE ADV CL	0.00	3.38	0.00	3.38	100.0	3.38
04/22/2016	OXFORD INS CO-CL G	MAINSTAY CUSHING RENAISSANCE ADV CL	0.00	4.09	0.00	4.09	100.0	4.09
05/17/2016	OXFORD INS CO-CL G	MAINSTAY CUSHING RENAISSANCE ADV CL	0.00	4.20	0.00	4.20	100.0	4.20
06/15/2016	OXFORD INS CO-CL G	MAINSTAY CUSHING RENAISSANCE ADV CL	0.00	4.38	0.00	4.38	100.0	4.38
07/14/2016	OXFORD INS CO-CL G	MAINSTAY CUSHING RENAISSANCE ADV CL	0.00	4.28	0.00	4.28	100.0	4.28
08/18/2016	OXFORD INS CO-CL G	MAINSTAY CUSHING RENAISSANCE ADV CL	0.00	4.43	0.00	4.43	100.0	4.43
09/15/2016	OXFORD INS CO-CL G	MAINSTAY CUSHING RENAISSANCE ADV CL	0.00	4.63	0.00	4.63	100.0	4.63
10/21/2016	OXFORD INS CO-CL G	MAINSTAY CUSHING RENAISSANCE ADV CL	0.00	4.53	0.00	4.53	100.0	4.53
11/09/2016	OXFORD INS CO-CL G	MAINSTAY CUSHING RENAISSANCE ADV CL	0.00	2.47	0.00	2.47	100.0	2.47
02/25/2016	OXFORD INS CO-CL E	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	0.07	0.00	0.07	100.0	0.07
03/08/2016	OXFORD INS CO-CL E	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	0.20	0.00	0.20	100.0	0.20
04/22/2016	OXFORD INS CO-CL E	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	0.24	0.00	0.24	100.0	0.24
05/17/2016	OXFORD INS CO-CL E	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	0.25	0.00	0.25	100.0	0.25
06/15/2016	OXFORD INS CO-CL E	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	0.28	0.00	0.28	100.0	0.28
07/14/2016	OXFORD INS CO-CL E	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	0.28	0.00	0.28	100.0	0.28
08/18/2016	OXFORD INS CO-CL E	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	0.30	0.00	0.30	100.0	0.30
09/15/2016	OXFORD INS CO-CL E	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	0.31	0.00	0.31	100.0	0.31
10/21/2016	OXFORD INS CO-CL E	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	0.30	0.00	0.30	100.0	0.30
11/09/2016	OXFORD INS CO-CL E	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	0.32	0.00	0.32	100.0	0.32
12/16/2016	OXFORD INS CO-CL E	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	0.31	0.00	0.31	100.0	0.31
08/11/2016	MALONEY, JOHN	MILLER CONVERTIBLE BOND FUND CLASS	0.00	41.37	0.00	41.37	100.0	41.37
09/12/2016	MALONEY, JOHN	MILLER CONVERTIBLE BOND FUND CLASS	0.00	64.87	0.00	64.87	100.0	64.87
10/11/2016	MALONEY, JOHN	MILLER CONVERTIBLE BOND FUND CLASS	0.00	63.31	0.00	63.31	100.0	63.31
11/10/2016	MALONEY, JOHN	MILLER CONVERTIBLE BOND FUND CLASS	0.00	65.21	0.00	65.21	100.0	65.21
12/12/2016	MALONEY, JOHN	MILLER CONVERTIBLE BOND FUND CLASS	0.00	63.49	0.00	63.49	100.0	63.49
* J1D-DAN/JON PAUL FT-NY RAUPP/CIRELL SUBTOTAL *			\$0.00	\$896.79	\$0.00	\$896.79		\$896.79

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

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

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

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>SPLIT TRANSACTIONS</u>								
BROKER: G0B-DAN/JON P/JEFF FT-NY RAUPP/CIRE #256								
02/16/2016	BENEFORTI, JULIAN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.13	0.00	0.13	100.0	0.13
03/15/2016	BENEFORTI, JULIAN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.11	0.00	0.11	100.0	0.11
04/20/2016	BENEFORTI, JULIAN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.13	0.00	0.13	100.0	0.13
05/16/2016	BENEFORTI, JULIAN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.09	0.00	0.09	100.0	0.09
02/16/2016	BENEFORTI, JULIAN	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.24	0.00	0.24	100.0	0.24
03/15/2016	BENEFORTI, JULIAN	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.22	0.00	0.22	100.0	0.22
04/20/2016	BENEFORTI, JULIAN	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.26	0.00	0.26	100.0	0.26
05/16/2016	BENEFORTI, JULIAN	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.17	0.00	0.17	100.0	0.17
02/16/2016	BENEFORTI, JULIAN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.09	0.00	0.09	100.0	0.09
03/15/2016	BENEFORTI, JULIAN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.07	0.00	0.07	100.0	0.07
04/20/2016	BENEFORTI, JULIAN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.09	0.00	0.09	100.0	0.09
05/16/2016	BENEFORTI, JULIAN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.05	0.00	0.05	100.0	0.05
02/16/2016	BENEFORTI, JULIAN	AM FUNDS ICA A	0.00	0.06	0.00	0.06	100.0	0.06
03/15/2016	BENEFORTI, JULIAN	AM FUNDS ICA A	0.00	0.06	0.00	0.06	100.0	0.06
04/20/2016	BENEFORTI, JULIAN	AM FUNDS ICA A	0.00	0.07	0.00	0.07	100.0	0.07
05/16/2016	BENEFORTI, JULIAN	AM FUNDS ICA A	0.00	0.04	0.00	0.04	100.0	0.04
04/20/2016	PAVIS, NANCY	FIRST EAGLE GLOBAL C	0.00	23.74	0.00	23.74	100.0	23.74
07/22/2016	PAVIS, NANCY	FIRST EAGLE GLOBAL C	0.00	11.68	0.00	11.68	100.0	11.68
07/29/2016	PAVIS, NANCY	FIRST EAGLE GLOBAL C	0.00	13.70	0.00	13.70	100.0	13.70
08/10/2016	PAVIS, NANCY	FIRST EAGLE GLOBAL C	0.00	8.91	0.00	8.91	100.0	8.91
09/16/2016	PAVIS, NANCY	FIRST EAGLE GLOBAL C	0.00	9.12	0.00	9.12	100.0	9.12
10/21/2016	PAVIS, NANCY	FIRST EAGLE GLOBAL C	0.00	5.24	0.00	5.24	100.0	5.24
02/16/2016	PAVIS FAMILY TRUST	FRANKLIN STRATEGIC INCOME C	0.00	6.34	0.00	6.34	100.0	6.34
03/16/2016	PAVIS FAMILY TRUST	FRANKLIN STRATEGIC INCOME C	0.00	5.87	0.00	5.87	100.0	5.87
04/15/2016	PAVIS FAMILY TRUST	FRANKLIN STRATEGIC INCOME C	0.00	6.44	0.00	6.44	100.0	6.44
05/13/2016	PAVIS FAMILY TRUST	FRANKLIN STRATEGIC INCOME C	0.00	6.33	0.00	6.33	100.0	6.33
06/14/2016	PAVIS FAMILY TRUST	FRANKLIN STRATEGIC INCOME C	0.00	6.60	0.00	6.60	100.0	6.60
07/14/2016	PAVIS FAMILY TRUST	FRANKLIN STRATEGIC INCOME C	0.00	6.43	0.00	6.43	100.0	6.43
08/15/2016	PAVIS FAMILY TRUST	FRANKLIN STRATEGIC INCOME C	0.00	6.77	0.00	6.77	100.0	6.77
09/14/2016	PAVIS FAMILY TRUST	FRANKLIN STRATEGIC INCOME C	0.00	6.83	0.00	6.83	100.0	6.83
10/18/2016	PAVIS FAMILY TRUST	FRANKLIN STRATEGIC INCOME C	0.00	6.64	0.00	6.64	100.0	6.64
11/15/2016	PAVIS FAMILY TRUST	FRANKLIN STRATEGIC INCOME C	0.00	6.90	0.00	6.90	100.0	6.90
12/16/2016	PAVIS FAMILY TRUST	FRANKLIN STRATEGIC INCOME C	0.00	6.60	0.00	6.60	100.0	6.60

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>SPLIT TRANSACTIONS</u>								
<u>BROKER: G0B-DAN/JON P/JEFF FT-NY RAUPP/CIRE #256</u>								
10/17/2016	LAROCHE, LAURIE	GRIFFIN INSTITUTIONAL ACCESS REAL E	0.00	-7.75	0.00	-7.75	100.0	-7.75
02/25/2016	CAPUTO, PHILIP	MAINSTAY CUSHING MLP PREMIER FUND C	0.00	4.96	0.00	4.96	100.0	4.96
03/08/2016	CAPUTO, PHILIP	MAINSTAY CUSHING MLP PREMIER FUND C	0.00	4.19	0.00	4.19	100.0	4.19
04/22/2016	CAPUTO, PHILIP	MAINSTAY CUSHING MLP PREMIER FUND C	0.00	5.03	0.00	5.03	100.0	5.03
05/17/2016	CAPUTO, PHILIP	MAINSTAY CUSHING MLP PREMIER FUND C	0.00	5.30	0.00	5.30	100.0	5.30
06/15/2016	CAPUTO, PHILIP	MAINSTAY CUSHING MLP PREMIER FUND C	0.00	6.04	0.00	6.04	100.0	6.04
07/14/2016	CAPUTO, PHILIP	MAINSTAY CUSHING MLP PREMIER FUND C	0.00	6.15	0.00	6.15	100.0	6.15
08/18/2016	CAPUTO, PHILIP	MAINSTAY CUSHING MLP PREMIER FUND C	0.00	6.50	0.00	6.50	100.0	6.50
09/15/2016	CAPUTO, PHILIP	MAINSTAY CUSHING MLP PREMIER FUND C	0.00	6.55	0.00	6.55	100.0	6.55
09/15/2016	SKOLNICK, SHEILA	MAINSTAY CUSHING MLP PREMIER FUND C	0.00	1.68	0.00	1.68	100.0	1.68
10/21/2016	CAPUTO, PHILIP	MAINSTAY CUSHING MLP PREMIER FUND C	0.00	6.33	0.00	6.33	100.0	6.33
10/21/2016	SKOLNICK, SHEILA	MAINSTAY CUSHING MLP PREMIER FUND C	0.00	3.88	0.00	3.88	100.0	3.88
11/09/2016	CAPUTO, PHILIP	MAINSTAY CUSHING MLP PREMIER FUND C	0.00	6.58	0.00	6.58	100.0	6.58
11/09/2016	MARSH, LAURIE	MAINSTAY CUSHING MLP PREMIER FUND C	0.00	0.22	0.00	0.22	100.0	0.22
11/09/2016	JOHNSON, LYNN	MAINSTAY CUSHING MLP PREMIER FUND C	0.00	0.23	0.00	0.23	100.0	0.23
11/09/2016	BENJAMIN, WAYNE	MAINSTAY CUSHING MLP PREMIER FUND C	0.00	0.12	0.00	0.12	100.0	0.12
11/09/2016	SKOLNICK, SHEILA	MAINSTAY CUSHING MLP PREMIER FUND C	0.00	4.05	0.00	4.05	100.0	4.05
12/16/2016	CAPUTO, PHILIP	MAINSTAY CUSHING MLP PREMIER FUND C	0.00	6.22	0.00	6.22	100.0	6.22
12/16/2016	MARSH, LAURIE	MAINSTAY CUSHING MLP PREMIER FUND C	0.00	1.32	0.00	1.32	100.0	1.32
12/16/2016	LOYE, DEDRA	MAINSTAY CUSHING MLP PREMIER FUND C	0.00	3.11	0.00	3.11	100.0	3.11
12/16/2016	JOHNSON, LYNN	MAINSTAY CUSHING MLP PREMIER FUND C	0.00	1.68	0.00	1.68	100.0	1.68
12/16/2016	BENJAMIN, WAYNE	MAINSTAY CUSHING MLP PREMIER FUND C	0.00	0.96	0.00	0.96	100.0	0.96
12/16/2016	SKOLNICK, SHEILA	MAINSTAY CUSHING MLP PREMIER FUND C	0.00	3.83	0.00	3.83	100.0	3.83
02/25/2016	JOHNSON FAMILY TRUST	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	2.96	0.00	2.96	100.0	2.96
03/08/2016	JOHNSON FAMILY TRUST	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	2.63	0.00	2.63	100.0	2.63
04/22/2016	JOHNSON FAMILY TRUST	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	3.12	0.00	3.12	100.0	3.12
05/17/2016	JOHNSON FAMILY TRUST	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	3.28	0.00	3.28	100.0	3.28
06/15/2016	JOHNSON FAMILY TRUST	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	3.67	0.00	3.67	100.0	3.67
07/14/2016	JOHNSON FAMILY TRUST	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	3.69	0.00	3.69	100.0	3.69
08/18/2016	JOHNSON FAMILY TRUST	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	3.92	0.00	3.92	100.0	3.92
09/15/2016	JOHNSON FAMILY TRUST	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	3.98	0.00	3.98	100.0	3.98
10/21/2016	JOHNSON FAMILY TRUST	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	3.86	0.00	3.86	100.0	3.86
11/09/2016	JOHNSON FAMILY TRUST	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	4.14	0.00	4.14	100.0	4.14

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<u>SPLIT TRANSACTIONS</u>								
BROKER: G0B-DAN/JON P/JEFF FT-NY RAUPP/CIRE #256								
12/16/2016	JOHNSON FAMILY TRUST	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	4.03	0.00	4.03	100.0	4.03
02/25/2016	STARK, LINDA	MAINSTAY MAP A	0.00	0.63	0.00	0.63	100.0	0.63
03/08/2016	STARK, LINDA	MAINSTAY MAP A	0.00	0.56	0.00	0.56	100.0	0.56
04/22/2016	STARK, LINDA	MAINSTAY MAP A	0.00	0.64	0.00	0.64	100.0	0.64
05/17/2016	STARK, LINDA	MAINSTAY MAP A	0.00	0.64	0.00	0.64	100.0	0.64
06/15/2016	STARK, LINDA	MAINSTAY MAP A	0.00	0.66	0.00	0.66	100.0	0.66
07/14/2016	STARK, LINDA	MAINSTAY MAP A	0.00	0.65	0.00	0.65	100.0	0.65
08/18/2016	STARK, LINDA	MAINSTAY MAP A	0.00	0.68	0.00	0.68	100.0	0.68
09/15/2016	STARK, LINDA	MAINSTAY MAP A	0.00	0.70	0.00	0.70	100.0	0.70
10/21/2016	STARK, LINDA	MAINSTAY MAP A	0.00	0.66	0.00	0.66	100.0	0.66
11/09/2016	STARK, LINDA	MAINSTAY MAP A	0.00	0.68	0.00	0.68	100.0	0.68
12/16/2016	STARK, LINDA	MAINSTAY MAP A	0.00	0.67	0.00	0.67	100.0	0.67
02/11/2016	BATTAGLIA, HEATHER	PRU FUNDS JENNISON CONSERVATIVE GRW	0.00	0.80	0.00	0.80	100.0	0.80
03/10/2016	BATTAGLIA, HEATHER	PRU FUNDS JENNISON CONSERVATIVE GRW	0.00	0.71	0.00	0.71	100.0	0.71
04/15/2016	BATTAGLIA, HEATHER	PRU FUNDS JENNISON CONSERVATIVE GRW	0.00	0.81	0.00	0.81	100.0	0.81
05/11/2016	BATTAGLIA, HEATHER	PRU FUNDS JENNISON CONSERVATIVE GRW	0.00	0.81	0.00	0.81	100.0	0.81
06/10/2016	BATTAGLIA, HEATHER	PRU FUNDS JENNISON CONSERVATIVE GRW	0.00	0.83	0.00	0.83	100.0	0.83
07/12/2016	BATTAGLIA, HEATHER	PRU FUNDS JENNISON CONSERVATIVE GRW	0.00	0.80	0.00	0.80	100.0	0.80
08/10/2016	BATTAGLIA, HEATHER	PRU FUNDS JENNISON CONSERVATIVE GRW	0.00	0.86	0.00	0.86	100.0	0.86
09/12/2016	BATTAGLIA, HEATHER	PRU FUNDS JENNISON CONSERVATIVE GRW	0.00	0.88	0.00	0.88	100.0	0.88
10/11/2016	BATTAGLIA, HEATHER	PRU FUNDS JENNISON CONSERVATIVE GRW	0.00	0.43	0.00	0.43	100.0	0.43
02/11/2016	BATTAGLIA, HEATHER	PRU MID CAP VALUE	0.00	0.22	0.00	0.22	100.0	0.22
03/10/2016	BATTAGLIA, HEATHER	PRU MID CAP VALUE	0.00	0.20	0.00	0.20	100.0	0.20
04/15/2016	BATTAGLIA, HEATHER	PRU MID CAP VALUE	0.00	0.23	0.00	0.23	100.0	0.23
05/11/2016	BATTAGLIA, HEATHER	PRU MID CAP VALUE	0.00	0.23	0.00	0.23	100.0	0.23
06/10/2016	BATTAGLIA, HEATHER	PRU MID CAP VALUE	0.00	0.24	0.00	0.24	100.0	0.24
07/12/2016	BATTAGLIA, HEATHER	PRU MID CAP VALUE	0.00	0.23	0.00	0.23	100.0	0.23
08/10/2016	BATTAGLIA, HEATHER	PRU MID CAP VALUE	0.00	0.24	0.00	0.24	100.0	0.24
09/12/2016	BATTAGLIA, HEATHER	PRU MID CAP VALUE	0.00	0.25	0.00	0.25	100.0	0.25
10/11/2016	BATTAGLIA, HEATHER	PRU MID CAP VALUE	0.00	0.12	0.00	0.12	100.0	0.12
02/11/2016	BATTAGLIA, HEATHER	PRUDENTIAL TARGET SMALL CAP VALUE P	0.00	0.73	0.00	0.73	100.0	0.73
03/10/2016	BATTAGLIA, HEATHER	PRUDENTIAL TARGET SMALL CAP VALUE P	0.00	0.66	0.00	0.66	100.0	0.66
04/15/2016	BATTAGLIA, HEATHER	PRUDENTIAL TARGET SMALL CAP VALUE P	0.00	0.78	0.00	0.78	100.0	0.78

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>SPLIT TRANSACTIONS</u>								
BROKER: G0B-DAN/JON P/JEFF FT-NY RAUPP/CIRE #256								
05/11/2016	BATTAGLIA, HEATHER	PRUDENTIAL TARGET SMALL CAP VALUE P	0.00	0.78	0.00	0.78	100.0	0.78
06/10/2016	BATTAGLIA, HEATHER	PRUDENTIAL TARGET SMALL CAP VALUE P	0.00	0.83	0.00	0.83	100.0	0.83
07/12/2016	BATTAGLIA, HEATHER	PRUDENTIAL TARGET SMALL CAP VALUE P	0.00	0.80	0.00	0.80	100.0	0.80
08/10/2016	BATTAGLIA, HEATHER	PRUDENTIAL TARGET SMALL CAP VALUE P	0.00	0.86	0.00	0.86	100.0	0.86
09/12/2016	BATTAGLIA, HEATHER	PRUDENTIAL TARGET SMALL CAP VALUE P	0.00	0.89	0.00	0.89	100.0	0.89
10/11/2016	BATTAGLIA, HEATHER	PRUDENTIAL TARGET SMALL CAP VALUE P	0.00	0.42	0.00	0.42	100.0	0.42
02/16/2016	PAVIS FAMILY TRUST	TEMPLETON GLOBAL BOND C	0.00	4.90	0.00	4.90	100.0	4.90
03/16/2016	PAVIS FAMILY TRUST	TEMPLETON GLOBAL BOND C	0.00	4.48	0.00	4.48	100.0	4.48
04/15/2016	PAVIS FAMILY TRUST	TEMPLETON GLOBAL BOND C	0.00	4.97	0.00	4.97	100.0	4.97
05/13/2016	PAVIS FAMILY TRUST	TEMPLETON GLOBAL BOND C	0.00	4.84	0.00	4.84	100.0	4.84
06/14/2016	PAVIS FAMILY TRUST	TEMPLETON GLOBAL BOND C	0.00	4.96	0.00	4.96	100.0	4.96
07/14/2016	PAVIS FAMILY TRUST	TEMPLETON GLOBAL BOND C	0.00	4.74	0.00	4.74	100.0	4.74
08/15/2016	PAVIS FAMILY TRUST	TEMPLETON GLOBAL BOND C	0.00	5.00	0.00	5.00	100.0	5.00
09/14/2016	PAVIS FAMILY TRUST	TEMPLETON GLOBAL BOND C	0.00	4.98	0.00	4.98	100.0	4.98
10/18/2016	PAVIS FAMILY TRUST	TEMPLETON GLOBAL BOND C	0.00	4.79	0.00	4.79	100.0	4.79
11/15/2016	PAVIS FAMILY TRUST	TEMPLETON GLOBAL BOND C	0.00	5.07	0.00	5.07	100.0	5.07
12/16/2016	PAVIS FAMILY TRUST	TEMPLETON GLOBAL BOND C	0.00	4.88	0.00	4.88	100.0	4.88
* G0B-DAN/JON P/JEFF FT-NY RAUPP/CIRE SUBTOTAL *			\$0.00	\$338.90	\$0.00	\$338.90		\$338.90
BROKER: G0C-JEFF/DAN/JON PAU FT-NY KIESNO/R #257								
03/15/2016	FORRAI, MICHAEL	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.04	0.00	0.04	100.0	0.04
04/20/2016	FORRAI, MICHAEL	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.06	0.00	0.06	100.0	0.06
05/16/2016	FORRAI, MICHAEL	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.06	0.00	0.06	100.0	0.06
06/15/2016	FORRAI, MICHAEL	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.06	0.00	0.06	100.0	0.06
07/18/2016	FORRAI, MICHAEL	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.06	0.00	0.06	100.0	0.06
08/15/2016	FORRAI, MICHAEL	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.06	0.00	0.06	100.0	0.06
09/16/2016	FORRAI, MICHAEL	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.06	0.00	0.06	100.0	0.06
10/17/2016	FORRAI, MICHAEL	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.06	0.00	0.06	100.0	0.06
11/18/2016	FORRAI, MICHAEL	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.06	0.00	0.06	100.0	0.06
12/15/2016	FORRAI, MICHAEL	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.06	0.00	0.06	100.0	0.06
02/16/2016	FORRAI, MICHAEL	AM FUNDS CAPITAL WORLD GRTH & INC B	0.00	0.06	0.00	0.06	100.0	0.06
03/15/2016	FORRAI, MICHAEL	AM FUNDS CAPITAL WORLD GRTH & INC B	0.00	0.02	0.00	0.02	100.0	0.02
12/28/2016	GALGANO, ROBERT	ARIEL APPRECIATION FUND	0.00	0.00	0.00	0.00	100.0	0.00
12/07/2016	BRANDT, ROSEMARY	CATALYST/MILLBURN HEDGE STRATEGY FU	0.00	0.10	0.00	0.10	100.0	0.10

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>SPLIT TRANSACTIONS</u>								
<u>BROKER: G0C-JEFF/DAN/JON PAU FT-NY KIESNO/R #257</u>								
04/20/2016	GALGANO, ROBERT	FIRST EAGLE GOLD FUND CLASS C	0.00	1.96	0.00	1.96	100.0	1.96
07/22/2016	GALGANO, ROBERT	FIRST EAGLE GOLD FUND CLASS C	0.00	1.13	0.00	1.13	100.0	1.13
07/29/2016	GALGANO, ROBERT	FIRST EAGLE GOLD FUND CLASS C	0.00	1.41	0.00	1.41	100.0	1.41
08/10/2016	GALGANO, ROBERT	FIRST EAGLE GOLD FUND CLASS C	0.00	1.04	0.00	1.04	100.0	1.04
09/16/2016	GALGANO, ROBERT	FIRST EAGLE GOLD FUND CLASS C	0.00	1.03	0.00	1.03	100.0	1.03
10/21/2016	GALGANO, ROBERT	FIRST EAGLE GOLD FUND CLASS C	0.00	0.93	0.00	0.93	100.0	0.93
11/30/2016	GALGANO, ROBERT	FIRST EAGLE GOLD FUND CLASS C	0.00	0.88	0.00	0.88	100.0	0.88
12/21/2016	GALGANO, ROBERT	FIRST EAGLE GOLD FUND CLASS C	0.00	0.80	0.00	0.80	100.0	0.80
02/19/2016	BRANDT, ROSEMARY	JP MORGAN GROWTH ADV A	0.00	1.50	0.00	1.50	100.0	1.50
03/17/2016	BRANDT, ROSEMARY	JP MORGAN GROWTH ADV A	0.00	1.32	0.00	1.32	100.0	1.32
04/25/2016	BRANDT, ROSEMARY	JP MORGAN GROWTH ADV A	0.00	1.53	0.00	1.53	100.0	1.53
05/16/2016	BRANDT, ROSEMARY	JP MORGAN GROWTH ADV A	0.00	1.53	0.00	1.53	100.0	1.53
06/20/2016	BRANDT, ROSEMARY	JP MORGAN GROWTH ADV A	0.00	1.57	0.00	1.57	100.0	1.57
07/25/2016	BRANDT, ROSEMARY	JP MORGAN GROWTH ADV A	0.00	1.53	0.00	1.53	100.0	1.53
08/15/2016	BRANDT, ROSEMARY	JP MORGAN GROWTH ADV A	0.00	1.62	0.00	1.62	100.0	1.62
09/15/2016	BRANDT, ROSEMARY	JP MORGAN GROWTH ADV A	0.00	1.66	0.00	1.66	100.0	1.66
10/14/2016	BRANDT, ROSEMARY	JP MORGAN GROWTH ADV A	0.00	1.59	0.00	1.59	100.0	1.59
11/21/2016	BRANDT, ROSEMARY	JP MORGAN GROWTH ADV A	0.00	1.64	0.00	1.64	100.0	1.64
12/16/2016	BRANDT, ROSEMARY	JP MORGAN GROWTH ADV A	0.00	1.59	0.00	1.59	100.0	1.59
02/19/2016	BRANDT, ROSEMARY	JP MORGAN INCOME BUILDER FUND CLASS	0.00	2.40	0.00	2.40	100.0	2.40
03/17/2016	BRANDT, ROSEMARY	JP MORGAN INCOME BUILDER FUND CLASS	0.00	2.21	0.00	2.21	100.0	2.21
04/25/2016	BRANDT, ROSEMARY	JP MORGAN INCOME BUILDER FUND CLASS	0.00	2.46	0.00	2.46	100.0	2.46
05/16/2016	BRANDT, ROSEMARY	JP MORGAN INCOME BUILDER FUND CLASS	0.00	2.43	0.00	2.43	100.0	2.43
06/20/2016	BRANDT, ROSEMARY	JP MORGAN INCOME BUILDER FUND CLASS	0.00	2.52	0.00	2.52	100.0	2.52
07/25/2016	BRANDT, ROSEMARY	JP MORGAN INCOME BUILDER FUND CLASS	0.00	2.45	0.00	2.45	100.0	2.45
08/15/2016	BRANDT, ROSEMARY	JP MORGAN INCOME BUILDER FUND CLASS	0.00	2.60	0.00	2.60	100.0	2.60
09/15/2016	BRANDT, ROSEMARY	JP MORGAN INCOME BUILDER FUND CLASS	0.00	2.63	0.00	2.63	100.0	2.63
10/14/2016	BRANDT, ROSEMARY	JP MORGAN INCOME BUILDER FUND CLASS	0.00	2.55	0.00	2.55	100.0	2.55
11/21/2016	BRANDT, ROSEMARY	JP MORGAN INCOME BUILDER FUND CLASS	0.00	2.63	0.00	2.63	100.0	2.63
12/16/2016	BRANDT, ROSEMARY	JP MORGAN INCOME BUILDER FUND CLASS	0.00	2.51	0.00	2.51	100.0	2.51
02/19/2016	BRANDT, ROSEMARY	JP MORGAN U.S. EQUITY FUND CLASS A	0.00	1.42	0.00	1.42	100.0	1.42
03/17/2016	BRANDT, ROSEMARY	JP MORGAN U.S. EQUITY FUND CLASS A	0.00	1.29	0.00	1.29	100.0	1.29
04/25/2016	BRANDT, ROSEMARY	JP MORGAN U.S. EQUITY FUND CLASS A	0.00	1.48	0.00	1.48	100.0	1.48

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>SPLIT TRANSACTIONS</u>								
<u>BROKER: G0C-JEFF/DAN/JON PAU FT-NY KIESNO/R #257</u>								
05/16/2016	BRANDT, ROSEMARY	JP MORGAN U.S. EQUITY FUND CLASS A	0.00	1.47	0.00	1.47	100.0	1.47
06/20/2016	BRANDT, ROSEMARY	JP MORGAN U.S. EQUITY FUND CLASS A	0.00	1.52	0.00	1.52	100.0	1.52
07/25/2016	BRANDT, ROSEMARY	JP MORGAN U.S. EQUITY FUND CLASS A	0.00	1.48	0.00	1.48	100.0	1.48
08/15/2016	BRANDT, ROSEMARY	JP MORGAN U.S. EQUITY FUND CLASS A	0.00	1.56	0.00	1.56	100.0	1.56
09/15/2016	BRANDT, ROSEMARY	JP MORGAN U.S. EQUITY FUND CLASS A	0.00	1.60	0.00	1.60	100.0	1.60
10/14/2016	BRANDT, ROSEMARY	JP MORGAN U.S. EQUITY FUND CLASS A	0.00	1.53	0.00	1.53	100.0	1.53
11/21/2016	BRANDT, ROSEMARY	JP MORGAN U.S. EQUITY FUND CLASS A	0.00	1.59	0.00	1.59	100.0	1.59
12/16/2016	BRANDT, ROSEMARY	JP MORGAN U.S. EQUITY FUND CLASS A	0.00	1.57	0.00	1.57	100.0	1.57
02/19/2016	BRANDT, ROSEMARY	JP MORGAN VALUE ADVANTAGE FUND CLAS	0.00	1.36	0.00	1.36	100.0	1.36
03/17/2016	BRANDT, ROSEMARY	JP MORGAN VALUE ADVANTAGE FUND CLAS	0.00	1.25	0.00	1.25	100.0	1.25
04/25/2016	BRANDT, ROSEMARY	JP MORGAN VALUE ADVANTAGE FUND CLAS	0.00	1.44	0.00	1.44	100.0	1.44
05/16/2016	BRANDT, ROSEMARY	JP MORGAN VALUE ADVANTAGE FUND CLAS	0.00	1.42	0.00	1.42	100.0	1.42
06/20/2016	BRANDT, ROSEMARY	JP MORGAN VALUE ADVANTAGE FUND CLAS	0.00	1.47	0.00	1.47	100.0	1.47
07/25/2016	BRANDT, ROSEMARY	JP MORGAN VALUE ADVANTAGE FUND CLAS	0.00	1.43	0.00	1.43	100.0	1.43
08/15/2016	BRANDT, ROSEMARY	JP MORGAN VALUE ADVANTAGE FUND CLAS	0.00	1.51	0.00	1.51	100.0	1.51
09/15/2016	BRANDT, ROSEMARY	JP MORGAN VALUE ADVANTAGE FUND CLAS	0.00	1.54	0.00	1.54	100.0	1.54
10/14/2016	BRANDT, ROSEMARY	JP MORGAN VALUE ADVANTAGE FUND CLAS	0.00	1.49	0.00	1.49	100.0	1.49
11/21/2016	BRANDT, ROSEMARY	JP MORGAN VALUE ADVANTAGE FUND CLAS	0.00	1.54	0.00	1.54	100.0	1.54
12/16/2016	BRANDT, ROSEMARY	JP MORGAN VALUE ADVANTAGE FUND CLAS	0.00	1.54	0.00	1.54	100.0	1.54
02/11/2016	FORRAI, GERALDINE	KKM U.S. EQUITY ARMOR FUND CLASS A	0.00	1.22	0.00	1.22	100.0	1.22
03/07/2016	FORRAI, GERALDINE	KKM U.S. EQUITY ARMOR FUND CLASS A	0.00	1.28	0.00	1.28	100.0	1.28
04/11/2016	FORRAI, GERALDINE	KKM U.S. EQUITY ARMOR FUND CLASS A	0.00	1.32	0.00	1.32	100.0	1.32
05/12/2016	FORRAI, GERALDINE	KKM U.S. EQUITY ARMOR FUND CLASS A	0.00	1.24	0.00	1.24	100.0	1.24
06/09/2016	FORRAI, GERALDINE	KKM U.S. EQUITY ARMOR FUND CLASS A	0.00	1.36	0.00	1.36	100.0	1.36
07/13/2016	FORRAI, GERALDINE	KKM U.S. EQUITY ARMOR FUND CLASS A	0.00	1.28	0.00	1.28	100.0	1.28
08/11/2016	FORRAI, GERALDINE	KKM U.S. EQUITY ARMOR FUND CLASS A	0.00	1.35	0.00	1.35	100.0	1.35
09/12/2016	FORRAI, GERALDINE	KKM U.S. EQUITY ARMOR FUND CLASS A	0.00	1.35	0.00	1.35	100.0	1.35
10/11/2016	FORRAI, GERALDINE	KKM U.S. EQUITY ARMOR FUND CLASS A	0.00	0.35	0.00	0.35	100.0	0.35
02/25/2016	GALGANO, ROBERT	MAINSTAY CUSHING MLP PREMIER FUND C	0.00	0.72	0.00	0.72	100.0	0.72
03/08/2016	GALGANO, ROBERT	MAINSTAY CUSHING MLP PREMIER FUND C	0.00	0.61	0.00	0.61	100.0	0.61
04/22/2016	GALGANO, ROBERT	MAINSTAY CUSHING MLP PREMIER FUND C	0.00	0.73	0.00	0.73	100.0	0.73
05/17/2016	GALGANO, ROBERT	MAINSTAY CUSHING MLP PREMIER FUND C	0.00	0.77	0.00	0.77	100.0	0.77
06/15/2016	GALGANO, ROBERT	MAINSTAY CUSHING MLP PREMIER FUND C	0.00	0.88	0.00	0.88	100.0	0.88

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<u>SPLIT TRANSACTIONS</u>								
BROKER: G0C-JEFF/DAN/JON PAU FT-NY KIESNO/R #257								
07/14/2016	GALGANO, ROBERT	MAINSTAY CUSHING MLP PREMIER FUND C	0.00	0.90	0.00	0.90	100.0	0.90
08/18/2016	GALGANO, ROBERT	MAINSTAY CUSHING MLP PREMIER FUND C	0.00	0.95	0.00	0.95	100.0	0.95
09/15/2016	GALGANO, ROBERT	MAINSTAY CUSHING MLP PREMIER FUND C	0.00	0.96	0.00	0.96	100.0	0.96
10/21/2016	GALGANO, ROBERT	MAINSTAY CUSHING MLP PREMIER FUND C	0.00	0.92	0.00	0.92	100.0	0.92
11/09/2016	GALGANO, ROBERT	MAINSTAY CUSHING MLP PREMIER FUND C	0.00	0.96	0.00	0.96	100.0	0.96
12/16/2016	GALGANO, ROBERT	MAINSTAY CUSHING MLP PREMIER FUND C	0.00	1.85	0.00	1.85	100.0	1.85
02/25/2016	FORRAI FAMILY TRUST, LESLIE	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	0.59	0.00	0.59	100.0	0.59
02/25/2016	BRANDT, ROSEMARY	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	0.66	0.00	0.66	100.0	0.66
02/25/2016	BERARDI, JAMES	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	0.51	0.00	0.51	100.0	0.51
03/08/2016	FORRAI FAMILY TRUST, LESLIE	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	0.84	0.00	0.84	100.0	0.84
03/08/2016	BRANDT, ROSEMARY	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	0.58	0.00	0.58	100.0	0.58
03/08/2016	BERARDI, JAMES	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	0.45	0.00	0.45	100.0	0.45
04/22/2016	FORRAI FAMILY TRUST, LESLIE	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	1.15	0.00	1.15	100.0	1.15
04/22/2016	BRANDT, ROSEMARY	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	0.69	0.00	0.69	100.0	0.69
04/22/2016	BERARDI, JAMES	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	0.54	0.00	0.54	100.0	0.54
05/17/2016	FORRAI FAMILY TRUST, LESLIE	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	1.20	0.00	1.20	100.0	1.20
05/17/2016	BRANDT, ROSEMARY	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	0.72	0.00	0.72	100.0	0.72
05/17/2016	BERARDI, JAMES	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	0.57	0.00	0.57	100.0	0.57
06/15/2016	FORRAI FAMILY TRUST, LESLIE	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	1.32	0.00	1.32	100.0	1.32
06/15/2016	BRANDT, ROSEMARY	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	0.79	0.00	0.79	100.0	0.79
06/15/2016	BERARDI, JAMES	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	0.63	0.00	0.63	100.0	0.63
07/14/2016	FORRAI FAMILY TRUST, LESLIE	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	1.33	0.00	1.33	100.0	1.33
07/14/2016	BRANDT, ROSEMARY	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	0.79	0.00	0.79	100.0	0.79
08/18/2016	FORRAI FAMILY TRUST, LESLIE	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	1.40	0.00	1.40	100.0	1.40
08/18/2016	BRANDT, ROSEMARY	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	0.85	0.00	0.85	100.0	0.85
09/15/2016	FORRAI FAMILY TRUST, LESLIE	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	1.39	0.00	1.39	100.0	1.39
09/15/2016	BRANDT, ROSEMARY	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	0.86	0.00	0.86	100.0	0.86
10/21/2016	FORRAI FAMILY TRUST, LESLIE	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	1.35	0.00	1.35	100.0	1.35
10/21/2016	BRANDT, ROSEMARY	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	0.83	0.00	0.83	100.0	0.83
11/09/2016	FORRAI FAMILY TRUST, LESLIE	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	1.43	0.00	1.43	100.0	1.43
11/09/2016	BRANDT, ROSEMARY	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	0.89	0.00	0.89	100.0	0.89
12/16/2016	FORRAI FAMILY TRUST, LESLIE	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	1.36	0.00	1.36	100.0	1.36
12/16/2016	BRANDT, ROSEMARY	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	0.87	0.00	0.87	100.0	0.87

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<u>SPLIT TRANSACTIONS</u>								
<u>BROKER: G0C-JEFF/DAN/JON PAU FT-NY KIESNO/R #257</u>								
09/12/2016	BRANDT, ROSEMARY	MILLER CONVERTIBLE BOND FUND CLASS	0.00	0.51	0.00	0.51	100.0	0.51
10/11/2016	BRANDT, ROSEMARY	MILLER CONVERTIBLE BOND FUND CLASS	0.00	2.21	0.00	2.21	100.0	2.21
11/10/2016	BRANDT, ROSEMARY	MILLER CONVERTIBLE BOND FUND CLASS	0.00	2.27	0.00	2.27	100.0	2.27
12/12/2016	BRANDT, ROSEMARY	MILLER CONVERTIBLE BOND FUND CLASS	0.00	2.21	0.00	2.21	100.0	2.21
02/12/2016	GALGANO, ROBERT	WELLS FARGO ADVANTAGE GOVT SECURITI	0.00	0.74	0.00	0.74	100.0	0.74
03/16/2016	GALGANO, ROBERT	WELLS FARGO ADVANTAGE GOVT SECURITI	0.00	0.70	0.00	0.70	100.0	0.70
04/15/2016	GALGANO, ROBERT	WELLS FARGO ADVANTAGE GOVT SECURITI	0.00	0.74	0.00	0.74	100.0	0.74
05/16/2016	GALGANO, ROBERT	WELLS FARGO ADVANTAGE GOVT SECURITI	0.00	0.72	0.00	0.72	100.0	0.72
06/14/2016	GALGANO, ROBERT	WELLS FARGO ADVANTAGE GOVT SECURITI	0.00	0.75	0.00	0.75	100.0	0.75
07/18/2016	GALGANO, ROBERT	WELLS FARGO ADVANTAGE GOVT SECURITI	0.00	0.73	0.00	0.73	100.0	0.73
08/15/2016	GALGANO, ROBERT	WELLS FARGO ADVANTAGE GOVT SECURITI	0.00	0.76	0.00	0.76	100.0	0.76
09/15/2016	GALGANO, ROBERT	WELLS FARGO ADVANTAGE GOVT SECURITI	0.00	0.76	0.00	0.76	100.0	0.76
10/12/2016	GALGANO, ROBERT	WELLS FARGO ADVANTAGE GOVT SECURITI	0.00	0.74	0.00	0.74	100.0	0.74
11/16/2016	GALGANO, ROBERT	WELLS FARGO ADVANTAGE GOVT SECURITI	0.00	0.76	0.00	0.76	100.0	0.76
12/14/2016	GALGANO, ROBERT	WELLS FARGO ADVANTAGE GOVT SECURITI	0.00	0.72	0.00	0.72	100.0	0.72
02/12/2016	GALGANO, ROBERT	WELLS FARGO ADVTG EMERGING MARKETS	0.00	0.48	0.00	0.48	100.0	0.48
03/16/2016	GALGANO, ROBERT	WELLS FARGO ADVTG EMERGING MARKETS	0.00	0.45	0.00	0.45	100.0	0.45
04/15/2016	GALGANO, ROBERT	WELLS FARGO ADVTG EMERGING MARKETS	0.00	0.53	0.00	0.53	100.0	0.53
05/16/2016	GALGANO, ROBERT	WELLS FARGO ADVTG EMERGING MARKETS	0.00	0.53	0.00	0.53	100.0	0.53
06/14/2016	GALGANO, ROBERT	WELLS FARGO ADVTG EMERGING MARKETS	0.00	0.54	0.00	0.54	100.0	0.54
07/18/2016	GALGANO, ROBERT	WELLS FARGO ADVTG EMERGING MARKETS	0.00	0.53	0.00	0.53	100.0	0.53
08/15/2016	GALGANO, ROBERT	WELLS FARGO ADVTG EMERGING MARKETS	0.00	0.58	0.00	0.58	100.0	0.58
09/15/2016	GALGANO, ROBERT	WELLS FARGO ADVTG EMERGING MARKETS	0.00	0.61	0.00	0.61	100.0	0.61
10/12/2016	GALGANO, ROBERT	WELLS FARGO ADVTG EMERGING MARKETS	0.00	0.60	0.00	0.60	100.0	0.60
11/16/2016	GALGANO, ROBERT	WELLS FARGO ADVTG EMERGING MARKETS	0.00	0.62	0.00	0.62	100.0	0.62
12/14/2016	GALGANO, ROBERT	WELLS FARGO ADVTG EMERGING MARKETS	0.00	0.57	0.00	0.57	100.0	0.57
* G0C-JEFF/DAN/JON PAU FT-NY KIESNO/R SUBTOTAL *			\$0.00	\$153.86	\$0.00	\$153.86		\$153.86
<u>BROKER: G0E-DAN/JON P/JEFF FT-NY RAUPP/CIRE #259</u>								
03/08/2016	SEITZ, CRAIG	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	0.28	0.00	0.28	100.0	0.28
04/22/2016	SEITZ, CRAIG	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	0.50	0.00	0.50	100.0	0.50
05/17/2016	SEITZ, CRAIG	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	0.52	0.00	0.52	100.0	0.52
06/15/2016	SEITZ, CRAIG	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	0.59	0.00	0.59	100.0	0.59
07/14/2016	SEITZ, CRAIG	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	0.58	0.00	0.58	100.0	0.58

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<u>SPLIT TRANSACTIONS</u>								
<u>BROKER: G0E-DAN/JON P/JEFF FT-NY RAUPP/CIRE #259</u>								
08/18/2016	SEITZ, CRAIG	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	0.63	0.00	0.63	100.0	0.63
09/15/2016	SEITZ, CRAIG	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	0.64	0.00	0.64	100.0	0.64
10/21/2016	SEITZ, CRAIG	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	0.61	0.00	0.61	100.0	0.61
11/09/2016	SEITZ, CRAIG	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	0.66	0.00	0.66	100.0	0.66
12/16/2016	SEITZ, CRAIG	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	0.65	0.00	0.65	100.0	0.65
* G0E-DAN/JON P/JEFF FT-NY RAUPP/CIRE SUBTOTAL *			\$0.00	\$5.66	\$0.00	\$5.66		\$5.66
<u>BROKER: R134-DAN/JEFF/JON P/ FT-NY RAUPP/KI #272</u>								
08/15/2016	DAMONE, DENNIS	JP MORGAN INVESTOR GROWTH & INCOME	0.00	0.44	0.00	0.44	100.0	0.44
09/15/2016	DAMONE, DENNIS	JP MORGAN INVESTOR GROWTH & INCOME	0.00	0.45	0.00	0.45	100.0	0.45
10/14/2016	DAMONE, DENNIS	JP MORGAN INVESTOR GROWTH & INCOME	0.00	0.43	0.00	0.43	100.0	0.43
11/21/2016	DAMONE, DENNIS	JP MORGAN INVESTOR GROWTH & INCOME	0.00	0.45	0.00	0.45	100.0	0.45
12/16/2016	DAMONE, DENNIS	JP MORGAN INVESTOR GROWTH & INCOME	0.00	0.43	0.00	0.43	100.0	0.43
* R134-DAN/JEFF/JON P/ FT-NY RAUPP/KI SUBTOTAL *			\$0.00	\$2.20	\$0.00	\$2.20		\$2.20
<u>BROKER: P124-JONP/DAN/J FT-FL JUNO CIRE #273</u>								
02/16/2016	MORONEY JR, JOHN	AM FUNDS NEW ECONOMY C	0.00	2.96	0.00	2.96	100.0	2.96
03/15/2016	MORONEY JR, JOHN	AM FUNDS NEW ECONOMY C	0.00	1.54	0.00	1.54	100.0	1.54
02/16/2016	MORONEY JR, JOHN	AM FUNDS NEW WORLD C	0.00	2.86	0.00	2.86	100.0	2.86
03/15/2016	MORONEY JR, JOHN	AM FUNDS NEW WORLD C	0.00	1.52	0.00	1.52	100.0	1.52
02/22/2016	WILKINSKY, KARA-JANE	AMERICAN CENTURY STRATEGIC ALLOC AG	0.00	3.04	0.00	3.04	100.0	3.04
02/22/2016	WILKINSKY, MATTHEW	AMERICAN CENTURY STRATEGIC ALLOC AG	0.00	2.01	0.00	2.01	100.0	2.01
02/22/2016	LEEN, RANDY	AMERICAN CENTURY STRATEGIC ALLOC AG	0.00	1.46	0.00	1.46	100.0	1.46
03/16/2016	WILKINSKY, KARA-JANE	AMERICAN CENTURY STRATEGIC ALLOC AG	0.00	2.79	0.00	2.79	100.0	2.79
03/16/2016	WILKINSKY, MATTHEW	AMERICAN CENTURY STRATEGIC ALLOC AG	0.00	1.84	0.00	1.84	100.0	1.84
03/16/2016	LEEN, RANDY	AMERICAN CENTURY STRATEGIC ALLOC AG	0.00	1.34	0.00	1.34	100.0	1.34
04/21/2016	WILKINSKY, KARA-JANE	AMERICAN CENTURY STRATEGIC ALLOC AG	0.00	3.16	0.00	3.16	100.0	3.16
04/21/2016	WILKINSKY, MATTHEW	AMERICAN CENTURY STRATEGIC ALLOC AG	0.00	2.08	0.00	2.08	100.0	2.08
04/21/2016	LEEN, RANDY	AMERICAN CENTURY STRATEGIC ALLOC AG	0.00	1.51	0.00	1.51	100.0	1.51
05/24/2016	WILKINSKY, KARA-JANE	AMERICAN CENTURY STRATEGIC ALLOC AG	0.00	3.13	0.00	3.13	100.0	3.13
05/24/2016	WILKINSKY, MATTHEW	AMERICAN CENTURY STRATEGIC ALLOC AG	0.00	2.07	0.00	2.07	100.0	2.07
05/24/2016	LEEN, RANDY	AMERICAN CENTURY STRATEGIC ALLOC AG	0.00	1.50	0.00	1.50	100.0	1.50
06/10/2016	WILKINSKY, KARA-JANE	AMERICAN CENTURY STRATEGIC ALLOC AG	0.00	3.23	0.00	3.23	100.0	3.23
06/10/2016	WILKINSKY, MATTHEW	AMERICAN CENTURY STRATEGIC ALLOC AG	0.00	2.13	0.00	2.13	100.0	2.13

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>SPLIT TRANSACTIONS</u>								
<u>BROKER: P124-JONP/DAN/J FT-FL JUNO CIRE #273</u>								
06/10/2016	LEEN, RANDY	AMERICAN CENTURY STRATEGIC ALLOC AG	0.00	1.55	0.00	1.55	100.0	1.55
07/14/2016	WILKINSKY, KARA-JANE	AMERICAN CENTURY STRATEGIC ALLOC AG	0.00	3.15	0.00	3.15	100.0	3.15
07/14/2016	WILKINSKY, MATTHEW	AMERICAN CENTURY STRATEGIC ALLOC AG	0.00	2.08	0.00	2.08	100.0	2.08
07/14/2016	LEEN, RANDY	AMERICAN CENTURY STRATEGIC ALLOC AG	0.00	1.51	0.00	1.51	100.0	1.51
08/19/2016	WILKINSKY, KARA-JANE	AMERICAN CENTURY STRATEGIC ALLOC AG	0.00	3.33	0.00	3.33	100.0	3.33
08/19/2016	WILKINSKY, MATTHEW	AMERICAN CENTURY STRATEGIC ALLOC AG	0.00	2.20	0.00	2.20	100.0	2.20
08/19/2016	LEEN, RANDY	AMERICAN CENTURY STRATEGIC ALLOC AG	0.00	1.59	0.00	1.59	100.0	1.59
09/19/2016	WILKINSKY, KARA-JANE	AMERICAN CENTURY STRATEGIC ALLOC AG	0.00	3.40	0.00	3.40	100.0	3.40
09/19/2016	WILKINSKY, MATTHEW	AMERICAN CENTURY STRATEGIC ALLOC AG	0.00	2.24	0.00	2.24	100.0	2.24
09/19/2016	LEEN, RANDY	AMERICAN CENTURY STRATEGIC ALLOC AG	0.00	1.63	0.00	1.63	100.0	1.63
10/20/2016	WILKINSKY, KARA-JANE	AMERICAN CENTURY STRATEGIC ALLOC AG	0.00	0.34	0.00	0.34	100.0	0.34
10/20/2016	WILKINSKY, KARA-JANE	AMERICAN CENTURY STRATEGIC ALLOC AG	0.00	3.28	0.00	3.28	100.0	3.28
10/20/2016	WILKINSKY, MATTHEW	AMERICAN CENTURY STRATEGIC ALLOC AG	0.00	2.17	0.00	2.17	100.0	2.17
10/20/2016	LEEN, RANDY	AMERICAN CENTURY STRATEGIC ALLOC AG	0.00	1.57	0.00	1.57	100.0	1.57
11/18/2016	WILKINSKY, KARA-JANE	AMERICAN CENTURY STRATEGIC ALLOC AG	0.00	0.55	0.00	0.55	100.0	0.55
11/18/2016	WILKINSKY, KARA-JANE	AMERICAN CENTURY STRATEGIC ALLOC AG	0.00	3.38	0.00	3.38	100.0	3.38
11/18/2016	WILKINSKY, MATTHEW	AMERICAN CENTURY STRATEGIC ALLOC AG	0.00	2.23	0.00	2.23	100.0	2.23
11/18/2016	LEEN, RANDY	AMERICAN CENTURY STRATEGIC ALLOC AG	0.00	1.62	0.00	1.62	100.0	1.62
12/19/2016	WILKINSKY, KARA-JANE	AMERICAN CENTURY STRATEGIC ALLOC AG	0.00	0.58	0.00	0.58	100.0	0.58
12/19/2016	WILKINSKY, KARA-JANE	AMERICAN CENTURY STRATEGIC ALLOC AG	0.00	3.25	0.00	3.25	100.0	3.25
12/19/2016	WILKINSKY, MATTHEW	AMERICAN CENTURY STRATEGIC ALLOC AG	0.00	2.14	0.00	2.14	100.0	2.14
12/19/2016	LEEN, RANDY	AMERICAN CENTURY STRATEGIC ALLOC AG	0.00	1.55	0.00	1.55	100.0	1.55
02/15/2018	WILKINSKY, KARA-JANE	AMERICAN CENTURY STRATEGIC ALLOC AG	2,004.62	17.59	5.94	11.65	100.0	11.65
05/19/2016	ABRAMS, RAFAEL	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	0.15	0.00	0.15	100.0	0.15
06/23/2016	ABRAMS, RAFAEL	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	0.67	0.00	0.67	100.0	0.67
07/11/2016	ABRAMS, RAFAEL	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	0.63	0.00	0.63	100.0	0.63
08/15/2016	ABRAMS, RAFAEL	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	0.66	0.00	0.66	100.0	0.66
09/12/2016	ABRAMS, RAFAEL	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	0.66	0.00	0.66	100.0	0.66
10/14/2016	ABRAMS, RAFAEL	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	0.64	0.00	0.64	100.0	0.64
10/14/2016	JA, WILLIAM	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	1.41	0.00	1.41	100.0	1.41
11/17/2016	ABRAMS, RAFAEL	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	0.66	0.00	0.66	100.0	0.66
12/12/2016	ABRAMS, RAFAEL	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	0.65	0.00	0.65	100.0	0.65
02/12/2016	MORONEY JR, JOHN	COLUMBIA DIVIDEND OPP B	0.00	2.70	0.00	2.70	100.0	2.70

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>SPLIT TRANSACTIONS</u>								
<u>BROKER: P124-JONP/DAN/J FT-FL JUNO CIRE #273</u>								
03/14/2016	MORONEY JR, JOHN	COLUMBIA DIVIDEND OPP B	0.00	1.58	0.00	1.58	100.0	1.58
02/07/2018	MORONEY, PHYLLIS	COTTONWOOD RESIDENTIAL 2016 PREFR'D	100,000.00	1,890.00	0.00	1,890.00	100.0	1,890.00
02/09/2018	WASSERMAN TRUST, NINA	DODGE & COX STOCK FUND	-26,378.91	0.00	5.94	-5.94	100.0	-5.94
02/10/2016	MORONEY JR, JOHN	DREYFUS OPPORTUNISTIC MIDCAP VALUE	0.00	3.02	0.00	3.02	100.0	3.02
03/10/2016	MORONEY JR, JOHN	DREYFUS OPPORTUNISTIC MIDCAP VALUE	0.00	1.69	0.00	1.69	100.0	1.69
02/23/2016	MORONEY JR, JOHN	GABELLI SMALL CAP GROWTH FD CLASS C	0.00	2.11	0.00	2.11	100.0	2.11
03/21/2016	MORONEY JR, JOHN	GABELLI SMALL CAP GROWTH FD CLASS C	0.00	1.13	0.00	1.13	100.0	1.13
02/16/2016	MORONEY, PHYLLIS	GOLDMAN SACHS MLP ENERGY INFRASTRUC	0.00	3.79	0.00	3.79	100.0	3.79
03/16/2016	MORONEY, PHYLLIS	GOLDMAN SACHS MLP ENERGY INFRASTRUC	0.00	1.88	0.00	1.88	100.0	1.88
04/22/2016	WILKINSKY, KARA-JANE	GRIFFIN INSTITUTIONAL ACCESS REAL E	0.00	3.22	0.00	3.22	100.0	3.22
04/22/2016	WILKINSKY, MATTHEW	GRIFFIN INSTITUTIONAL ACCESS REAL E	0.00	2.58	0.00	2.58	100.0	2.58
08/01/2016	ABRAMS, RAFAEL	GRIFFIN INSTITUTIONAL ACCESS REAL E	0.00	1.47	0.00	1.47	100.0	1.47
08/01/2016	WILKINSKY, KARA-JANE	GRIFFIN INSTITUTIONAL ACCESS REAL E	0.00	3.29	0.00	3.29	100.0	3.29
08/01/2016	WILKINSKY, MATTHEW	GRIFFIN INSTITUTIONAL ACCESS REAL E	0.00	2.64	0.00	2.64	100.0	2.64
10/17/2016	ABRAMS, RAFAEL	GRIFFIN INSTITUTIONAL ACCESS REAL E	0.00	1.97	0.00	1.97	100.0	1.97
10/17/2016	WILKINSKY, KARA-JANE	GRIFFIN INSTITUTIONAL ACCESS REAL E	0.00	3.40	0.00	3.40	100.0	3.40
10/17/2016	WILKINSKY, MATTHEW	GRIFFIN INSTITUTIONAL ACCESS REAL E	0.00	2.72	0.00	2.72	100.0	2.72
10/17/2016	JA, WILLIAM	GRIFFIN INSTITUTIONAL ACCESS REAL E	0.00	1.48	0.00	1.48	100.0	1.48
02/12/2016	MORONEY JR, JOHN	HENDERSON EUROPEAN FOCUS FUND CLASS	0.00	3.01	0.00	3.01	100.0	3.01
03/18/2016	MORONEY JR, JOHN	HENDERSON EUROPEAN FOCUS FUND CLASS	0.00	1.54	0.00	1.54	100.0	1.54
02/12/2016	MORONEY, PHYLLIS	HENDERSON INTL OPPORTUNITIES FUND C	0.00	1.61	0.00	1.61	100.0	1.61
03/18/2016	MORONEY, PHYLLIS	HENDERSON INTL OPPORTUNITIES FUND C	0.00	0.84	0.00	0.84	100.0	0.84
02/14/2018	FLAHERTY, STEPHEN	ING PREMIUM PLUS	60,431.27	10.20	0.00	10.20	100.0	10.20
02/14/2018	FLAHERTY, PATRICIA	ING PREMIUM PLUS	30,852.66	5.21	0.00	5.21	100.0	5.21
12/16/2016	BARAG, STANLEY	MAINSTAY EPOCH GLOBAL EQUITY YIELD	0.00	0.11	0.00	0.11	100.0	0.11
12/19/2016	BARAG, STANLEY	MFS UTILITIES A	0.00	0.07	0.00	0.07	100.0	0.07
02/22/2016	MORONEY JR, JOHN	OPPENHEIMER STEELPATH MLP INCOME FU	0.00	2.10	0.00	2.10	100.0	2.10
03/17/2016	MORONEY JR, JOHN	OPPENHEIMER STEELPATH MLP INCOME FU	0.00	1.05	0.00	1.05	100.0	1.05
02/22/2016	MORONEY JR, JOHN	PIMCO INCOME FUND CLASS A	0.00	2.70	0.00	2.70	100.0	2.70
03/11/2016	MORONEY JR, JOHN	PIMCO INCOME FUND CLASS A	0.00	1.41	0.00	1.41	100.0	1.41
02/25/2016	MORONEY JR, JOHN	VOYA CORPORATE LEADERS 100 FUND CLA	0.00	5.15	0.00	5.15	100.0	5.15
03/21/2016	MORONEY JR, JOHN	VOYA CORPORATE LEADERS 100 FUND CLA	0.00	2.93	0.00	2.93	100.0	2.93
* P124-JONP/DAN/J FT-FL JUNO CIRE SUBTOTAL *			\$166,909.64	\$2,077.83	\$11.88	\$2,065.95		\$2,065.95

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>SPLIT TRANSACTIONS</u>								
<u>BROKER: R138 DAN/JON PAUL FT-RAUPP/CIRELLI #350</u>								
02/16/2018	OSTRANDER, JOANNA	INLAND CHICAGOLAND SUPERMARKET DST	1,500,000.00	56,250.00	0.00	56,250.00	100.0	56,250.00
* R138 DAN/JON PAUL FT-RAUPP/CIRELLI SUBTOTAL *			\$1,500,000.00	\$56,250.00	\$0.00	\$56,250.00		\$56,250.00
<u>BROKER: R141-DAN/ROY/JEFF/JP FT-RAU/PFLEG/K #381</u>								
02/12/2018	POWERS LIVING TRUST, JONATHAN	INLAND CHICAGOLAND SUPERMARKET DST	511,401.05	14,063.52	0.00	14,063.52	100.0	14,063.52
02/21/2018	HASON REV TRUST, KENNETH	INLAND CHICAGOLAND SUPERMARKET DST	1,354,104.17	37,237.87	0.00	37,237.87	100.0	37,237.87
02/22/2018	BLUE SEAL REALTY	INLAND CHICAGOLAND SUPERMARKET DST	4,284,011.94	117,810.32	0.00	117,810.32	100.0	117,810.32
02/22/2018	BLACK SEAL REALTY	INLAND CHICAGOLAND SUPERMARKET DST	800,791.07	22,021.76	0.00	22,021.76	100.0	22,021.76
02/12/2018	POWERS LIVING TRUST, JONATHAN	INLAND ZERO COUPON PHARM'Y VIII DST	128,000.00	3,520.00	0.00	3,520.00	100.0	3,520.00
10/21/2016	RASMUSSEN, MELANIE	MAINSTAY MODERATE GROWTH ALLOCATION	0.00	0.51	0.00	0.51	100.0	0.51
11/09/2016	RASMUSSEN, MELANIE	MAINSTAY MODERATE GROWTH ALLOCATION	0.00	0.90	0.00	0.90	100.0	0.90
12/16/2016	RASMUSSEN, MELANIE	MAINSTAY MODERATE GROWTH ALLOCATION	0.00	0.88	0.00	0.88	100.0	0.88
12/12/2016	RASMUSSEN, MELANIE	MILLER CONVERTIBLE BOND FUND CLASS	0.00	4.34	0.00	4.34	100.0	4.34
10/17/2016	RASMUSSEN, MELANIE	PIONEER FUND A	0.00	0.11	0.00	0.11	100.0	0.11
11/18/2016	RASMUSSEN, MELANIE	PIONEER FUND A	0.00	0.19	0.00	0.19	100.0	0.19
12/16/2016	RASMUSSEN, MELANIE	PIONEER FUND A	0.00	0.18	0.00	0.18	100.0	0.18
10/17/2016	RASMUSSEN, MELANIE	PIONEER FUNDAMENTAL GROWTH A	0.00	0.23	0.00	0.23	100.0	0.23
11/18/2016	RASMUSSEN, MELANIE	PIONEER FUNDAMENTAL GROWTH A	0.00	0.41	0.00	0.41	100.0	0.41
12/16/2016	RASMUSSEN, MELANIE	PIONEER FUNDAMENTAL GROWTH A	0.00	0.39	0.00	0.39	100.0	0.39
10/20/2016	RASMUSSEN, MELANIE	THE GABELLI UTILITIES FUND CLASS A	0.00	0.24	0.00	0.24	100.0	0.24
11/22/2016	RASMUSSEN, MELANIE	THE GABELLI UTILITIES FUND CLASS A	0.00	0.43	0.00	0.43	100.0	0.43
12/27/2016	RASMUSSEN, MELANIE	THE GABELLI UTILITIES FUND CLASS A	0.00	0.41	0.00	0.41	100.0	0.41
* R141-DAN/ROY/JEFF/JP FT-RAU/PFLEG/K SUBTOTAL *			\$7,078,308.23	\$194,662.69	\$0.00	\$194,662.69		\$194,662.69
*** SPLIT TRANSACTIONS TOTAL ***			\$8,766,785.99	\$258,109.65	\$19.74	\$258,089.91		\$258,089.91

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<u> OVERRIDE TRANSACTIONS </u>								
<u> BROKER: JEFFREY, K141 KIESNOSKI #243 </u>								
02/15/2018	FROH, PAULA SANDRA	COLONY NORTHSTAR INC CL A COM	-947.05	0.00	22.50	-22.50	94.0	-1.35
02/16/2016	FROH, PAULA SANDRA	FRANKLIN OREGON TAX- FREE INCOME FU	0.00	0.28	0.00	0.28	94.0	0.02
03/16/2016	FROH, PAULA SANDRA	FRANKLIN OREGON TAX- FREE INCOME FU	0.00	0.27	0.00	0.27	94.0	0.02
04/15/2016	FROH, PAULA SANDRA	FRANKLIN OREGON TAX- FREE INCOME FU	0.00	0.28	0.00	0.28	94.0	0.02
05/13/2016	FROH, PAULA SANDRA	FRANKLIN OREGON TAX- FREE INCOME FU	0.00	0.28	0.00	0.28	94.0	0.02
06/14/2016	FROH, PAULA SANDRA	FRANKLIN OREGON TAX- FREE INCOME FU	0.00	0.29	0.00	0.29	94.0	0.02
07/14/2016	FROH, PAULA SANDRA	FRANKLIN OREGON TAX- FREE INCOME FU	0.00	0.28	0.00	0.28	94.0	0.02
08/15/2016	FROH, PAULA SANDRA	FRANKLIN OREGON TAX- FREE INCOME FU	0.00	0.29	0.00	0.29	94.0	0.02
09/14/2016	FROH, PAULA SANDRA	FRANKLIN OREGON TAX- FREE INCOME FU	0.00	0.29	0.00	0.29	94.0	0.02
10/18/2016	FROH, PAULA SANDRA	FRANKLIN OREGON TAX- FREE INCOME FU	0.00	0.28	0.00	0.28	94.0	0.02
11/15/2016	FROH, PAULA SANDRA	FRANKLIN OREGON TAX- FREE INCOME FU	0.00	0.29	0.00	0.29	94.0	0.02
12/16/2016	FROH, PAULA SANDRA	FRANKLIN OREGON TAX- FREE INCOME FU	0.00	0.28	0.00	0.28	94.0	0.02
02/15/2018	FROH, PAULA SANDRA	FS INVT CORP COM	-3,172.16	30.00	22.65	7.35	94.0	0.44
09/15/2016	DEMIAN, CAROLE	JP MORGAN CORE BOND A	0.00	2.56	0.00	2.56	94.0	0.15
10/14/2016	DEMIAN, CAROLE	JP MORGAN CORE BOND A	0.00	2.84	0.00	2.84	94.0	0.17
11/21/2016	DEMIAN, CAROLE	JP MORGAN CORE BOND A	0.00	2.92	0.00	2.92	94.0	0.18
12/16/2016	DEMIAN, CAROLE	JP MORGAN CORE BOND A	0.00	2.77	0.00	2.77	94.0	0.17
02/19/2016	DEMIAN, CAROLE	JP MORGAN INCOME BUILDER FUND CLASS	0.00	2.96	0.00	2.96	94.0	0.18
03/17/2016	DEMIAN, CAROLE	JP MORGAN INCOME BUILDER FUND CLASS	0.00	2.72	0.00	2.72	94.0	0.16
04/25/2016	DEMIAN, CAROLE	JP MORGAN INCOME BUILDER FUND CLASS	0.00	3.03	0.00	3.03	94.0	0.18
05/16/2016	DEMIAN, CAROLE	JP MORGAN INCOME BUILDER FUND CLASS	0.00	2.98	0.00	2.98	94.0	0.18
06/20/2016	DEMIAN, CAROLE	JP MORGAN INCOME BUILDER FUND CLASS	0.00	3.10	0.00	3.10	94.0	0.19
07/25/2016	DEMIAN, CAROLE	JP MORGAN INCOME BUILDER FUND CLASS	0.00	3.02	0.00	3.02	94.0	0.18
08/15/2016	DEMIAN, CAROLE	JP MORGAN INCOME BUILDER FUND CLASS	0.00	3.20	0.00	3.20	94.0	0.19
09/15/2016	DEMIAN, CAROLE	JP MORGAN INCOME BUILDER FUND CLASS	0.00	3.24	0.00	3.24	94.0	0.19
10/14/2016	DEMIAN, CAROLE	JP MORGAN INCOME BUILDER FUND CLASS	0.00	3.13	0.00	3.13	94.0	0.19
11/21/2016	DEMIAN, CAROLE	JP MORGAN INCOME BUILDER FUND CLASS	0.00	3.24	0.00	3.24	94.0	0.19
12/16/2016	DEMIAN, CAROLE	JP MORGAN INCOME BUILDER FUND CLASS	0.00	3.09	0.00	3.09	94.0	0.19
04/25/2016	KIESNOSKI, JEANETTE	JP MORGAN INVESTOR GROWTH FUND CLAS	0.00	4.80	0.00	4.80	94.0	0.29
05/16/2016	KIESNOSKI, JEANETTE	JP MORGAN INVESTOR GROWTH FUND CLAS	0.00	5.26	0.00	5.26	94.0	0.32
06/20/2016	KIESNOSKI, JEANETTE	JP MORGAN INVESTOR GROWTH FUND CLAS	0.00	5.40	0.00	5.40	94.0	0.32
07/25/2016	KIESNOSKI, JEANETTE	JP MORGAN INVESTOR GROWTH FUND CLAS	0.00	5.25	0.00	5.25	94.0	0.32
08/15/2016	KIESNOSKI, JEANETTE	JP MORGAN INVESTOR GROWTH FUND CLAS	0.00	5.54	0.00	5.54	94.0	0.33

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<u> OVERRIDE TRANSACTIONS </u>								
<u> BROKER: JEFFREY, K141 KIESNOSKI #243 </u>								
09/15/2016	KIESNOSKI, JEANETTE	JP MORGAN INVESTOR GROWTH FUND CLAS	0.00	5.66	0.00	5.66	94.0	0.34
10/14/2016	KIESNOSKI, JEANETTE	JP MORGAN INVESTOR GROWTH FUND CLAS	0.00	5.47	0.00	5.47	94.0	0.33
11/21/2016	KIESNOSKI, JEANETTE	JP MORGAN INVESTOR GROWTH FUND CLAS	0.00	5.64	0.00	5.64	94.0	0.34
12/16/2016	KIESNOSKI, JEANETTE	JP MORGAN INVESTOR GROWTH FUND CLAS	0.00	5.52	0.00	5.52	94.0	0.33
02/25/2016	COREY, JEFFREY	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	0.30	0.00	0.30	94.0	0.02
02/25/2016	DEMIAN, CAROLE	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	1.11	0.00	1.11	94.0	0.07
03/08/2016	COREY, JEFFREY	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	0.26	0.00	0.26	94.0	0.02
03/08/2016	DEMIAN, CAROLE	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	0.97	0.00	0.97	94.0	0.06
04/22/2016	COREY, JEFFREY	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	0.31	0.00	0.31	94.0	0.02
04/22/2016	DEMIAN, CAROLE	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	1.15	0.00	1.15	94.0	0.07
05/17/2016	COREY, JEFFREY	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	0.33	0.00	0.33	94.0	0.02
05/17/2016	DEMIAN, CAROLE	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	1.20	0.00	1.20	94.0	0.07
06/15/2016	COREY, JEFFREY	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	0.36	0.00	0.36	94.0	0.02
06/15/2016	DEMIAN, CAROLE	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	1.32	0.00	1.32	94.0	0.08
07/14/2016	COREY, JEFFREY	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	0.36	0.00	0.36	94.0	0.02
07/14/2016	DEMIAN, CAROLE	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	1.33	0.00	1.33	94.0	0.08
08/18/2016	COREY, JEFFREY	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	0.38	0.00	0.38	94.0	0.02
08/18/2016	DEMIAN, CAROLE	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	1.40	0.00	1.40	94.0	0.08
09/15/2016	COREY, JEFFREY	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	0.38	0.00	0.38	94.0	0.02
09/15/2016	DEMIAN, CAROLE	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	1.39	0.00	1.39	94.0	0.08
10/21/2016	COREY, JEFFREY	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	0.37	0.00	0.37	94.0	0.02
10/21/2016	DEMIAN, CAROLE	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	1.36	0.00	1.36	94.0	0.08
11/09/2016	COREY, JEFFREY	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	0.39	0.00	0.39	94.0	0.02
11/09/2016	DEMIAN, CAROLE	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	1.44	0.00	1.44	94.0	0.09
12/16/2016	COREY, JEFFREY	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	0.37	0.00	0.37	94.0	0.02
12/16/2016	DEMIAN, CAROLE	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	0.72	0.00	0.72	94.0	0.04
02/08/2016	FROH, PAULA SANDRA	MFS GLOBAL EQUITY A	0.00	1.71	0.00	1.71	94.0	0.10
03/14/2016	FROH, PAULA SANDRA	MFS GLOBAL EQUITY A	0.00	1.60	0.00	1.60	94.0	0.10
04/15/2016	FROH, PAULA SANDRA	MFS GLOBAL EQUITY A	0.00	1.81	0.00	1.81	94.0	0.11
05/17/2016	FROH, PAULA SANDRA	MFS GLOBAL EQUITY A	0.00	1.80	0.00	1.80	94.0	0.11
06/16/2016	FROH, PAULA SANDRA	MFS GLOBAL EQUITY A	0.00	1.87	0.00	1.87	94.0	0.11
07/20/2016	FROH, PAULA SANDRA	MFS GLOBAL EQUITY A	0.00	1.79	0.00	1.79	94.0	0.11
08/16/2016	FROH, PAULA SANDRA	MFS GLOBAL EQUITY A	0.00	1.89	0.00	1.89	94.0	0.11

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<u> OVERRIDE TRANSACTIONS </u>								
<u> BROKER: JEFFREY, K141 KIESNOSKI #243 </u>								
09/15/2016	FROH, PAULA SANDRA	MFS GLOBAL EQUITY A	0.00	1.95	0.00	1.95	94.0	0.12
10/20/2016	FROH, PAULA SANDRA	MFS GLOBAL EQUITY A	0.00	1.88	0.00	1.88	94.0	0.11
11/14/2016	FROH, PAULA SANDRA	MFS GLOBAL EQUITY A	0.00	1.92	0.00	1.92	94.0	0.12
12/19/2016	FROH, PAULA SANDRA	MFS GLOBAL EQUITY A	0.00	1.83	0.00	1.83	94.0	0.11
02/11/2016	FROH, PAULA SANDRA	PRU JENNISON GROWTH	0.00	0.78	0.00	0.78	94.0	0.05
03/10/2016	FROH, PAULA SANDRA	PRU JENNISON GROWTH	0.00	0.69	0.00	0.69	94.0	0.04
04/15/2016	FROH, PAULA SANDRA	PRU JENNISON GROWTH	0.00	0.78	0.00	0.78	94.0	0.05
05/11/2016	FROH, PAULA SANDRA	PRU JENNISON GROWTH	0.00	0.78	0.00	0.78	94.0	0.05
06/10/2016	FROH, PAULA SANDRA	PRU JENNISON GROWTH	0.00	0.79	0.00	0.79	94.0	0.05
07/12/2016	FROH, PAULA SANDRA	PRU JENNISON GROWTH	0.00	0.77	0.00	0.77	94.0	0.05
08/10/2016	FROH, PAULA SANDRA	PRU JENNISON GROWTH	0.00	0.81	0.00	0.81	94.0	0.05
09/12/2016	FROH, PAULA SANDRA	PRU JENNISON GROWTH	0.00	0.84	0.00	0.84	94.0	0.05
10/11/2016	FROH, PAULA SANDRA	PRU JENNISON GROWTH	0.00	0.81	0.00	0.81	94.0	0.05
11/11/2016	FROH, PAULA SANDRA	PRU JENNISON GROWTH	0.00	0.84	0.00	0.84	94.0	0.05
12/12/2016	FROH, PAULA SANDRA	PRU JENNISON GROWTH	0.00	0.80	0.00	0.80	94.0	0.05
02/22/2016	FROH, PAULA SANDRA	PUTNAM GLOBAL HEALTH CARE A	0.00	0.10	0.00	0.10	94.0	0.01
04/21/2016	FROH, PAULA SANDRA	PUTNAM GLOBAL HEALTH CARE A	0.00	0.09	0.00	0.09	94.0	0.01
05/26/2016	FROH, PAULA SANDRA	PUTNAM GLOBAL HEALTH CARE A	0.00	0.09	0.00	0.09	94.0	0.01
06/23/2016	FROH, PAULA SANDRA	PUTNAM GLOBAL HEALTH CARE A	0.00	0.09	0.00	0.09	94.0	0.01
07/26/2016	FROH, PAULA SANDRA	PUTNAM GLOBAL HEALTH CARE A	0.00	0.09	0.00	0.09	94.0	0.01
08/19/2016	FROH, PAULA SANDRA	PUTNAM GLOBAL HEALTH CARE A	0.00	0.10	0.00	0.10	94.0	0.01
09/20/2016	FROH, PAULA SANDRA	PUTNAM GLOBAL HEALTH CARE A	0.00	0.10	0.00	0.10	94.0	0.01
10/25/2016	FROH, PAULA SANDRA	PUTNAM GLOBAL HEALTH CARE A	0.00	0.09	0.00	0.09	94.0	0.01
11/23/2016	FROH, PAULA SANDRA	PUTNAM GLOBAL HEALTH CARE A	0.00	0.09	0.00	0.09	94.0	0.01
12/23/2016	FROH, PAULA SANDRA	PUTNAM GLOBAL HEALTH CARE A	0.00	0.09	0.00	0.09	94.0	0.01
02/22/2016	FROH, PAULA SANDRA	PUTNAM GROWTH & INCOME A	0.00	0.74	0.00	0.74	94.0	0.04
03/22/2016	FROH, PAULA SANDRA	PUTNAM GROWTH & INCOME A	0.00	0.68	0.00	0.68	94.0	0.04
04/21/2016	FROH, PAULA SANDRA	PUTNAM GROWTH & INCOME A	0.00	0.78	0.00	0.78	94.0	0.05
05/26/2016	FROH, PAULA SANDRA	PUTNAM GROWTH & INCOME A	0.00	0.78	0.00	0.78	94.0	0.05
06/23/2016	FROH, PAULA SANDRA	PUTNAM GROWTH & INCOME A	0.00	0.81	0.00	0.81	94.0	0.05
07/26/2016	FROH, PAULA SANDRA	PUTNAM GROWTH & INCOME A	0.00	0.79	0.00	0.79	94.0	0.05
08/19/2016	FROH, PAULA SANDRA	PUTNAM GROWTH & INCOME A	0.00	0.84	0.00	0.84	94.0	0.05
09/20/2016	FROH, PAULA SANDRA	PUTNAM GROWTH & INCOME A	0.00	0.85	0.00	0.85	94.0	0.05

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<u> OVERRIDE TRANSACTIONS </u>								
<u> BROKER: JEFFREY, K141 KIESNOSKI #243 </u>								
10/25/2016	FROH, PAULA SANDRA	PUTNAM GROWTH & INCOME A	0.00	0.82	0.00	0.82	94.0	0.05
11/23/2016	FROH, PAULA SANDRA	PUTNAM GROWTH & INCOME A	0.00	0.85	0.00	0.85	94.0	0.05
12/23/2016	FROH, PAULA SANDRA	PUTNAM GROWTH & INCOME A	0.00	0.85	0.00	0.85	94.0	0.05
 * JEFFREY, K141 KIESNOSKI SUBTOTAL * 			\$-4,119.21	\$182.11	\$45.15	\$136.96		\$8.32
<u> BROKER: JON PAUL, C141 CIRELLI #246 </u>								
02/16/2016	KISSIL, GEORGE	AM FUNDS CAPITAL INCOME BUILDER C	0.00	0.75	0.00	0.75	95.0	0.04
03/15/2016	KISSIL, GEORGE	AM FUNDS CAPITAL INCOME BUILDER C	0.00	2.18	0.00	2.18	95.0	0.11
04/20/2016	KISSIL, GEORGE	AM FUNDS CAPITAL INCOME BUILDER C	0.00	2.43	0.00	2.43	95.0	0.12
05/16/2016	KISSIL, GEORGE	AM FUNDS CAPITAL INCOME BUILDER C	0.00	2.39	0.00	2.39	95.0	0.12
06/15/2016	KISSIL, GEORGE	AM FUNDS CAPITAL INCOME BUILDER C	0.00	2.47	0.00	2.47	95.0	0.12
07/18/2016	KISSIL, GEORGE	AM FUNDS CAPITAL INCOME BUILDER C	0.00	2.40	0.00	2.40	95.0	0.12
08/15/2016	KISSIL, GEORGE	AM FUNDS CAPITAL INCOME BUILDER C	0.00	2.54	0.00	2.54	95.0	0.13
09/16/2016	KISSIL, GEORGE	AM FUNDS CAPITAL INCOME BUILDER C	0.00	2.55	0.00	2.55	95.0	0.13
10/17/2016	KISSIL, GEORGE	AM FUNDS CAPITAL INCOME BUILDER C	0.00	2.45	0.00	2.45	95.0	0.12
11/18/2016	KISSIL, GEORGE	AM FUNDS CAPITAL INCOME BUILDER C	0.00	2.48	0.00	2.48	95.0	0.12
12/15/2016	KISSIL, GEORGE	AM FUNDS CAPITAL INCOME BUILDER C	0.00	0.47	0.00	0.47	95.0	0.02
04/14/2016	JARDIN, DEAN	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	28.75	0.00	28.75	95.0	1.44
05/19/2016	JARDIN, DEAN	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	39.39	0.00	39.39	95.0	1.97
06/23/2016	JARDIN, DEAN	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	43.75	0.00	43.75	95.0	2.19
07/11/2016	JARDIN, DEAN	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	41.20	0.00	41.20	95.0	2.06
08/15/2016	KISSIL, GEORGE	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	2.58	0.00	2.58	95.0	0.13
09/01/2016	JARDIN, DEAN	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	42.37	0.00	42.37	95.0	2.12
09/12/2016	KISSIL, GEORGE	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	5.00	0.00	5.00	95.0	0.25
09/12/2016	JARDIN, DEAN	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	42.44	0.00	42.44	95.0	2.12
10/14/2016	KISSIL, GEORGE	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	4.84	0.00	4.84	95.0	0.24
10/14/2016	JARDIN, DEAN	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	41.09	0.00	41.09	95.0	2.05
11/17/2016	KISSIL, GEORGE	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	4.96	0.00	4.96	95.0	0.25
11/17/2016	JARDIN, DEAN	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	42.08	0.00	42.08	95.0	2.10
12/12/2016	KISSIL, GEORGE	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	4.84	0.00	4.84	95.0	0.24
12/12/2016	JARDIN, DEAN	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	40.99	0.00	40.99	95.0	2.05
04/22/2016	JARDIN, DEAN	GRIFFIN INSTITUTIONAL ACCESS REAL E	0.00	7.12	0.00	7.12	95.0	0.36
04/22/2016	WAGNER, DENNIS	GRIFFIN INSTITUTIONAL ACCESS REAL E	0.00	14.81	0.00	14.81	95.0	0.74
04/22/2016	KISSIL, GEORGE	GRIFFIN INSTITUTIONAL ACCESS REAL E	0.00	4.61	0.00	4.61	95.0	0.23

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<u> OVERRIDE TRANSACTIONS </u>								
<u> BROKER: JON PAUL, C141 CIRELLI #246 </u>								
08/01/2016	WAGNER, DENNIS	GRIFFIN INSTITUTIONAL ACCESS REAL E	0.00	15.18	0.00	15.18	95.0	0.76
08/01/2016	KISSIL, GEORGE	GRIFFIN INSTITUTIONAL ACCESS REAL E	0.00	4.66	0.00	4.66	95.0	0.23
08/01/2016	JARDIN, DEAN	GRIFFIN INSTITUTIONAL ACCESS REAL E	0.00	29.87	0.00	29.87	95.0	1.49
10/17/2016	WAGNER, DENNIS	GRIFFIN INSTITUTIONAL ACCESS REAL E	0.00	15.67	0.00	15.67	95.0	0.78
10/17/2016	KISSIL, GEORGE	GRIFFIN INSTITUTIONAL ACCESS REAL E	0.00	4.75	0.00	4.75	95.0	0.24
10/17/2016	JARDIN, DEAN	GRIFFIN INSTITUTIONAL ACCESS REAL E	0.00	30.83	0.00	30.83	95.0	1.54
04/22/2016	DODGE, CHERYL	MAINSTAY CUSHING MLP PREMIER FUND C	0.00	1.18	0.00	1.18	95.0	0.06
05/17/2016	DODGE, CHERYL	MAINSTAY CUSHING MLP PREMIER FUND C	0.00	4.84	0.00	4.84	95.0	0.24
06/15/2016	DODGE, CHERYL	MAINSTAY CUSHING MLP PREMIER FUND C	0.00	5.52	0.00	5.52	95.0	0.28
07/14/2016	DODGE, CHERYL	MAINSTAY CUSHING MLP PREMIER FUND C	0.00	5.62	0.00	5.62	95.0	0.28
08/18/2016	DODGE, CHERYL	MAINSTAY CUSHING MLP PREMIER FUND C	0.00	5.94	0.00	5.94	95.0	0.30
09/15/2016	DODGE, CHERYL	MAINSTAY CUSHING MLP PREMIER FUND C	0.00	5.98	0.00	5.98	95.0	0.30
10/21/2016	DODGE, CHERYL	MAINSTAY CUSHING MLP PREMIER FUND C	0.00	5.78	0.00	5.78	95.0	0.29
11/09/2016	DODGE, CHERYL	MAINSTAY CUSHING MLP PREMIER FUND C	0.00	6.01	0.00	6.01	95.0	0.30
12/16/2016	DODGE, CHERYL	MAINSTAY CUSHING MLP PREMIER FUND C	0.00	5.68	0.00	5.68	95.0	0.28
* JON PAUL, C141 CIRELLI SUBTOTAL *			\$0.00	\$581.44	\$0.00	\$581.44		\$29.06
<u> BROKER: ALAN, L133 LICHTENSTEIN #249 </u>								
07/18/2016	RUSSO REV TR, EUGENIE	AM FUNDS CAPITAL WORLD GRTH & INC C	0.00	3.59	0.00	3.59	75.0	0.45
08/15/2016	RUSSO REV TR, EUGENIE	AM FUNDS CAPITAL WORLD GRTH & INC C	0.00	3.81	0.00	3.81	75.0	0.48
09/16/2016	RUSSO REV TR, EUGENIE	AM FUNDS CAPITAL WORLD GRTH & INC C	0.00	3.90	0.00	3.90	75.0	0.49
10/17/2016	RUSSO REV TR, EUGENIE	AM FUNDS CAPITAL WORLD GRTH & INC C	0.00	3.78	0.00	3.78	75.0	0.47
11/18/2016	RUSSO REV TR, EUGENIE	AM FUNDS CAPITAL WORLD GRTH & INC C	0.00	3.87	0.00	3.87	75.0	0.48
12/15/2016	RUSSO REV TR, EUGENIE	AM FUNDS CAPITAL WORLD GRTH & INC C	0.00	3.69	0.00	3.69	75.0	0.46
07/29/2016	RUSSO REV TR, EUGENIE	BLK HIGH YIELD BOND A	0.00	2.75	0.00	2.75	75.0	0.34
08/30/2016	RUSSO REV TR, EUGENIE	BLK HIGH YIELD BOND A	0.00	2.91	0.00	2.91	75.0	0.36
09/29/2016	RUSSO REV TR, EUGENIE	BLK HIGH YIELD BOND A	0.00	2.96	0.00	2.96	75.0	0.37
10/27/2016	RUSSO REV TR, EUGENIE	BLK HIGH YIELD BOND A	0.00	2.88	0.00	2.88	75.0	0.36
11/28/2016	RUSSO REV TR, EUGENIE	BLK HIGH YIELD BOND A	0.00	3.02	0.00	3.02	75.0	0.38
12/21/2016	RUSSO REV TR, EUGENIE	BLK HIGH YIELD BOND A	0.00	2.89	0.00	2.89	75.0	0.36
02/16/2016	WITKIN, CAROL ANN	FRANKLIN INCOME A	0.00	0.78	0.00	0.78	75.0	0.10
03/16/2016	WITKIN, CAROL ANN	FRANKLIN INCOME A	0.00	0.72	0.00	0.72	75.0	0.09
04/15/2016	WITKIN, CAROL ANN	FRANKLIN INCOME A	0.00	0.82	0.00	0.82	75.0	0.10
05/13/2016	WITKIN, CAROL ANN	FRANKLIN INCOME A	0.00	0.81	0.00	0.81	75.0	0.10

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u> OVERRIDE TRANSACTIONS </u>								
<u> BROKER: ALAN, L133 LICHTENSTEIN #249 </u>								
06/14/2016	WITKIN, CAROL ANN	FRANKLIN INCOME A	0.00	0.85	0.00	0.85	75.0	0.11
07/14/2016	WITKIN, CAROL ANN	FRANKLIN INCOME A	0.00	0.83	0.00	0.83	75.0	0.10
08/15/2016	WITKIN, CAROL ANN	FRANKLIN INCOME A	0.00	0.88	0.00	0.88	75.0	0.11
09/14/2016	WITKIN, CAROL ANN	FRANKLIN INCOME A	0.00	0.90	0.00	0.90	75.0	0.11
10/18/2016	WITKIN, CAROL ANN	FRANKLIN INCOME A	0.00	0.87	0.00	0.87	75.0	0.11
11/15/2016	WITKIN, CAROL ANN	FRANKLIN INCOME A	0.00	0.90	0.00	0.90	75.0	0.11
12/16/2016	WITKIN, CAROL ANN	FRANKLIN INCOME A	0.00	0.87	0.00	0.87	75.0	0.11
07/15/2016	RUSSO REV TR, EUGENIE	LOOMIS SAYLES STRATEGIC INCOME FUND	0.00	10.62	0.00	10.62	75.0	1.33
08/10/2016	RUSSO REV TR, EUGENIE	LOOMIS SAYLES STRATEGIC INCOME FUND	0.00	10.86	0.00	10.86	75.0	1.36
09/12/2016	RUSSO REV TR, EUGENIE	LOOMIS SAYLES STRATEGIC INCOME FUND	0.00	10.95	0.00	10.95	75.0	1.37
10/13/2016	RUSSO REV TR, EUGENIE	LOOMIS SAYLES STRATEGIC INCOME FUND	0.00	10.61	0.00	10.61	75.0	1.33
11/10/2016	RUSSO REV TR, EUGENIE	LOOMIS SAYLES STRATEGIC INCOME FUND	0.00	10.95	0.00	10.95	75.0	1.37
12/12/2016	RUSSO REV TR, EUGENIE	LOOMIS SAYLES STRATEGIC INCOME FUND	0.00	10.44	0.00	10.44	75.0	1.31
07/19/2016	RUSSO REV TR, EUGENIE	PRINCIPAL FUNDS GLOBAL DIVERSIFIED	0.00	1.87	0.00	1.87	75.0	0.23
08/17/2016	RUSSO REV TR, EUGENIE	PRINCIPAL FUNDS GLOBAL DIVERSIFIED	0.00	1.98	0.00	1.98	75.0	0.25
09/19/2016	RUSSO REV TR, EUGENIE	PRINCIPAL FUNDS GLOBAL DIVERSIFIED	0.00	2.01	0.00	2.01	75.0	0.25
10/18/2016	RUSSO REV TR, EUGENIE	PRINCIPAL FUNDS GLOBAL DIVERSIFIED	0.00	1.95	0.00	1.95	75.0	0.24
11/18/2016	RUSSO REV TR, EUGENIE	PRINCIPAL FUNDS GLOBAL DIVERSIFIED	0.00	2.02	0.00	2.02	75.0	0.25
12/19/2016	RUSSO REV TR, EUGENIE	PRINCIPAL FUNDS GLOBAL DIVERSIFIED	0.00	1.93	0.00	1.93	75.0	0.24
 * ALAN, L133 LICHTENSTEIN SUBTOTAL * 			\$0.00	\$125.47	\$0.00	\$125.47		\$15.68
<u> BROKER: MARC, L134 LINSKY #263 </u>								
02/08/2016	CENTANNI, RICHARD	ALLIANCEBERNSTEIN SMALL/MID CAP VAL	0.00	0.62	0.00	0.62	90.0	0.01
03/09/2016	CENTANNI, RICHARD	ALLIANCEBERNSTEIN SMALL/MID CAP VAL	0.00	0.57	0.00	0.57	90.0	0.01
04/18/2016	CENTANNI, RICHARD	ALLIANCEBERNSTEIN SMALL/MID CAP VAL	0.00	0.68	0.00	0.68	90.0	0.01
05/11/2016	CENTANNI, RICHARD	ALLIANCEBERNSTEIN SMALL/MID CAP VAL	0.00	0.67	0.00	0.67	90.0	0.01
06/10/2016	CENTANNI, RICHARD	ALLIANCEBERNSTEIN SMALL/MID CAP VAL	0.00	0.69	0.00	0.69	90.0	0.01
07/18/2016	CENTANNI, RICHARD	ALLIANCEBERNSTEIN SMALL/MID CAP VAL	0.00	0.69	0.00	0.69	90.0	0.01
08/08/2016	CENTANNI, RICHARD	ALLIANCEBERNSTEIN SMALL/MID CAP VAL	0.00	0.72	0.00	0.72	90.0	0.01
09/12/2016	CENTANNI, RICHARD	ALLIANCEBERNSTEIN SMALL/MID CAP VAL	0.00	0.74	0.00	0.74	90.0	0.01
10/20/2016	CENTANNI, RICHARD	ALLIANCEBERNSTEIN SMALL/MID CAP VAL	0.00	0.72	0.00	0.72	90.0	0.01
11/11/2016	CENTANNI, RICHARD	ALLIANCEBERNSTEIN SMALL/MID CAP VAL	0.00	0.75	0.00	0.75	90.0	0.01
12/12/2016	CENTANNI, RICHARD	ALLIANCEBERNSTEIN SMALL/MID CAP VAL	0.00	0.76	0.00	0.76	90.0	0.01
02/08/2016	TRICHON, DONNA-LYNN	ALLIANCEBERNSTEIN SMALL/MID-CAP GRW	0.00	8.86	0.00	8.86	90.0	0.15

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u> OVERRIDE TRANSACTIONS </u>								
<u>BROKER: MARC, L134 LINSKY #263</u>								
03/09/2016	TRICHON, DONNA-LYNN	ALLIANCEBERNSTEIN SMALL/MID-CAP GRW	0.00	7.78	0.00	7.78	90.0	0.13
04/18/2016	TRICHON, DONNA-LYNN	ALLIANCEBERNSTEIN SMALL/MID-CAP GRW	0.00	9.02	0.00	9.02	90.0	0.15
05/11/2016	TRICHON, DONNA-LYNN	ALLIANCEBERNSTEIN SMALL/MID-CAP GRW	0.00	9.02	0.00	9.02	90.0	0.15
06/10/2016	TRICHON, DONNA-LYNN	ALLIANCEBERNSTEIN SMALL/MID-CAP GRW	0.00	9.31	0.00	9.31	90.0	0.16
07/18/2016	TRICHON, DONNA-LYNN	ALLIANCEBERNSTEIN SMALL/MID-CAP GRW	0.00	9.19	0.00	9.19	90.0	0.16
08/08/2016	TRICHON, DONNA-LYNN	ALLIANCEBERNSTEIN SMALL/MID-CAP GRW	0.00	9.74	0.00	9.74	90.0	0.17
09/12/2016	TRICHON, DONNA-LYNN	ALLIANCEBERNSTEIN SMALL/MID-CAP GRW	0.00	10.01	0.00	10.01	90.0	0.17
10/20/2016	TRICHON, DONNA-LYNN	ALLIANCEBERNSTEIN SMALL/MID-CAP GRW	0.00	9.65	0.00	9.65	90.0	0.16
11/11/2016	TRICHON, DONNA-LYNN	ALLIANCEBERNSTEIN SMALL/MID-CAP GRW	0.00	9.78	0.00	9.78	90.0	0.17
12/12/2016	TRICHON, DONNA-LYNN	ALLIANCEBERNSTEIN SMALL/MID-CAP GRW	0.00	9.77	0.00	9.77	90.0	0.17
09/19/2016	CHIECO, DANIEL	AM CENT EQUITY INCOME	0.00	0.54	0.00	0.54	90.0	0.01
10/20/2016	CHIECO, DANIEL	AM CENT EQUITY INCOME	0.00	2.68	0.00	2.68	90.0	0.05
11/18/2016	CHIECO, DANIEL	AM CENT EQUITY INCOME	0.00	2.79	0.00	2.79	90.0	0.05
12/19/2016	CHIECO, DANIEL	AM CENT EQUITY INCOME	0.00	2.85	0.00	2.85	90.0	0.05
02/15/2018	CHIECO, DANIEL	AM CENT EQUITY INCOME	1,204.86	60.24	22.00	38.24	90.0	0.65
02/16/2016	MEDIA ENTERPRISES	AM FUNDS AMCAP A	0.00	2.86	0.00	2.86	90.0	0.05
03/15/2016	MEDIA ENTERPRISES	AM FUNDS AMCAP A	0.00	2.63	0.00	2.63	90.0	0.04
04/20/2016	MEDIA ENTERPRISES	AM FUNDS AMCAP A	0.00	3.01	0.00	3.01	90.0	0.05
05/16/2016	MEDIA ENTERPRISES	AM FUNDS AMCAP A	0.00	3.00	0.00	3.00	90.0	0.05
06/15/2016	MEDIA ENTERPRISES	AM FUNDS AMCAP A	0.00	3.09	0.00	3.09	90.0	0.05
07/18/2016	MEDIA ENTERPRISES	AM FUNDS AMCAP A	0.00	3.03	0.00	3.03	90.0	0.05
08/15/2016	MEDIA ENTERPRISES	AM FUNDS AMCAP A	0.00	3.18	0.00	3.18	90.0	0.05
09/16/2016	MEDIA ENTERPRISES	AM FUNDS AMCAP A	0.00	3.25	0.00	3.25	90.0	0.06
10/17/2016	MEDIA ENTERPRISES	AM FUNDS AMCAP A	0.00	3.13	0.00	3.13	90.0	0.05
11/18/2016	MEDIA ENTERPRISES	AM FUNDS AMCAP A	0.00	3.24	0.00	3.24	90.0	0.06
12/15/2016	MEDIA ENTERPRISES	AM FUNDS AMCAP A	0.00	3.14	0.00	3.14	90.0	0.05
02/16/2016	GREENWELL, MARION	AM FUNDS AMCAP C	0.00	6.10	0.00	6.10	90.0	0.10
03/15/2016	GREENWELL, MARION	AM FUNDS AMCAP C	0.00	5.61	0.00	5.61	90.0	0.10
04/20/2016	GREENWELL, MARION	AM FUNDS AMCAP C	0.00	6.40	0.00	6.40	90.0	0.11
05/16/2016	GREENWELL, MARION	AM FUNDS AMCAP C	0.00	6.39	0.00	6.39	90.0	0.11
06/15/2016	GREENWELL, MARION	AM FUNDS AMCAP C	0.00	6.56	0.00	6.56	90.0	0.11
07/18/2016	GREENWELL, MARION	AM FUNDS AMCAP C	0.00	6.43	0.00	6.43	90.0	0.11
08/15/2016	GREENWELL, MARION	AM FUNDS AMCAP C	0.00	6.75	0.00	6.75	90.0	0.11

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<u> OVERRIDE TRANSACTIONS </u>								
<u>BROKER: MARC, L134 LINSKY #263</u>								
09/16/2016	GREENWELL, MARION	AM FUNDS AMCAP C	0.00	6.90	0.00	6.90	90.0	0.12
10/17/2016	GREENWELL, MARION	AM FUNDS AMCAP C	0.00	6.63	0.00	6.63	90.0	0.11
11/18/2016	GREENWELL, MARION	AM FUNDS AMCAP C	0.00	6.86	0.00	6.86	90.0	0.12
12/15/2016	GREENWELL, MARION	AM FUNDS AMCAP C	0.00	6.64	0.00	6.64	90.0	0.11
02/16/2016	MELVIN, MARY THOMPSON	AM FUNDS AMERICAN BALANCED A	0.00	1.86	0.00	1.86	90.0	0.03
02/16/2016	NAGLE, JOSEPHINE	AM FUNDS AMERICAN BALANCED A	0.00	0.54	0.00	0.54	90.0	0.01
02/16/2016	NAGLE, JOSEPHINE	AM FUNDS AMERICAN BALANCED A	0.00	0.47	0.00	0.47	90.0	0.01
03/15/2016	MELVIN, MARY THOMPSON	AM FUNDS AMERICAN BALANCED A	0.00	1.73	0.00	1.73	90.0	0.03
03/15/2016	NAGLE, JOSEPHINE	AM FUNDS AMERICAN BALANCED A	0.00	0.50	0.00	0.50	90.0	0.01
03/15/2016	NAGLE, JOSEPHINE	AM FUNDS AMERICAN BALANCED A	0.00	2.26	0.00	2.26	90.0	0.04
04/20/2016	MELVIN, MARY THOMPSON	AM FUNDS AMERICAN BALANCED A	0.00	1.93	0.00	1.93	90.0	0.03
04/20/2016	NAGLE, JOSEPHINE	AM FUNDS AMERICAN BALANCED A	0.00	0.56	0.00	0.56	90.0	0.01
04/20/2016	NAGLE, JOSEPHINE	AM FUNDS AMERICAN BALANCED A	0.00	2.51	0.00	2.51	90.0	0.04
05/16/2016	MELVIN, MARY THOMPSON	AM FUNDS AMERICAN BALANCED A	0.00	1.91	0.00	1.91	90.0	0.03
05/16/2016	NAGLE, JOSEPHINE	AM FUNDS AMERICAN BALANCED A	0.00	0.55	0.00	0.55	90.0	0.01
05/16/2016	NAGLE, JOSEPHINE	AM FUNDS AMERICAN BALANCED A	0.00	2.48	0.00	2.48	90.0	0.04
06/15/2016	MELVIN, MARY THOMPSON	AM FUNDS AMERICAN BALANCED A	0.00	1.97	0.00	1.97	90.0	0.03
06/15/2016	NAGLE, JOSEPHINE	AM FUNDS AMERICAN BALANCED A	0.00	0.57	0.00	0.57	90.0	0.01
06/15/2016	NAGLE, JOSEPHINE	AM FUNDS AMERICAN BALANCED A	0.00	2.57	0.00	2.57	90.0	0.04
07/18/2016	MELVIN, MARY THOMPSON	AM FUNDS AMERICAN BALANCED A	0.00	1.77	0.00	1.77	90.0	0.03
07/18/2016	NAGLE, JOSEPHINE	AM FUNDS AMERICAN BALANCED A	0.00	0.56	0.00	0.56	90.0	0.01
07/18/2016	NAGLE, JOSEPHINE	AM FUNDS AMERICAN BALANCED A	0.00	2.51	0.00	2.51	90.0	0.04
07/18/2016	TAYLOR, THOMAS	AM FUNDS AMERICAN BALANCED A	0.00	0.40	0.00	0.40	90.0	0.01
07/18/2016	TAYLOR, DIANE	AM FUNDS AMERICAN BALANCED A	0.00	0.40	0.00	0.40	90.0	0.01
08/15/2016	MELVIN, MARY THOMPSON	AM FUNDS AMERICAN BALANCED A	0.00	1.80	0.00	1.80	90.0	0.03
08/15/2016	NAGLE, JOSEPHINE	AM FUNDS AMERICAN BALANCED A	0.00	0.59	0.00	0.59	90.0	0.01
08/15/2016	NAGLE, JOSEPHINE	AM FUNDS AMERICAN BALANCED A	0.00	2.65	0.00	2.65	90.0	0.05
08/15/2016	TAYLOR, THOMAS	AM FUNDS AMERICAN BALANCED A	0.00	0.43	0.00	0.43	90.0	0.01
08/15/2016	TAYLOR, DIANE	AM FUNDS AMERICAN BALANCED A	0.00	0.43	0.00	0.43	90.0	0.01
09/16/2016	MELVIN, MARY THOMPSON	AM FUNDS AMERICAN BALANCED A	0.00	1.81	0.00	1.81	90.0	0.03
09/16/2016	NAGLE, JOSEPHINE	AM FUNDS AMERICAN BALANCED A	0.00	0.59	0.00	0.59	90.0	0.01
09/16/2016	NAGLE, JOSEPHINE	AM FUNDS AMERICAN BALANCED A	0.00	2.67	0.00	2.67	90.0	0.05
09/16/2016	TAYLOR, THOMAS	AM FUNDS AMERICAN BALANCED A	0.00	0.43	0.00	0.43	90.0	0.01

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<u> OVERRIDE TRANSACTIONS </u>								
<u> BROKER: MARC, L134 LINSKY #263 </u>								
09/16/2016	TAYLOR, DIANE	AM FUNDS AMERICAN BALANCED A	0.00	0.43	0.00	0.43	90.0	0.01
10/17/2016	MELVIN, MARY THOMPSON	AM FUNDS AMERICAN BALANCED A	0.00	1.74	0.00	1.74	90.0	0.03
10/17/2016	NAGLE, JOSEPHINE	AM FUNDS AMERICAN BALANCED A	0.00	0.57	0.00	0.57	90.0	0.01
10/17/2016	NAGLE, JOSEPHINE	AM FUNDS AMERICAN BALANCED A	0.00	2.57	0.00	2.57	90.0	0.04
10/17/2016	TAYLOR, THOMAS	AM FUNDS AMERICAN BALANCED A	0.00	0.41	0.00	0.41	90.0	0.01
10/17/2016	TAYLOR, DIANE	AM FUNDS AMERICAN BALANCED A	0.00	0.41	0.00	0.41	90.0	0.01
11/18/2016	MELVIN, MARY THOMPSON	AM FUNDS AMERICAN BALANCED A	0.00	1.80	0.00	1.80	90.0	0.03
11/18/2016	BOSCO, EDWARD	AM FUNDS AMERICAN BALANCED A	0.00	0.51	0.00	0.51	90.0	0.01
11/18/2016	NAGLE, JOSEPHINE	AM FUNDS AMERICAN BALANCED A	0.00	1.71	0.00	1.71	90.0	0.03
11/18/2016	TAYLOR, THOMAS	AM FUNDS AMERICAN BALANCED A	0.00	0.43	0.00	0.43	90.0	0.01
11/18/2016	TAYLOR, DIANE	AM FUNDS AMERICAN BALANCED A	0.00	0.43	0.00	0.43	90.0	0.01
11/18/2016	APPLEGATE, PAMAELA	AM FUNDS AMERICAN BALANCED A	0.00	0.37	0.00	0.37	90.0	0.01
12/15/2016	MELVIN, MARY THOMPSON	AM FUNDS AMERICAN BALANCED A	0.00	1.68	0.00	1.68	90.0	0.03
12/15/2016	TAYLOR, THOMAS	AM FUNDS AMERICAN BALANCED A	0.00	0.41	0.00	0.41	90.0	0.01
12/15/2016	TAYLOR, DIANE	AM FUNDS AMERICAN BALANCED A	0.00	0.41	0.00	0.41	90.0	0.01
12/15/2016	APPLEGATE, PAMAELA	AM FUNDS AMERICAN BALANCED A	0.00	0.85	0.00	0.85	90.0	0.01
02/16/2016	RIZZO, DIANE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.00	0.00	1.00	90.0	0.02
02/16/2016	NAGLE, JOSEPHINE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.43	0.00	0.43	90.0	0.01
02/16/2016	NAGLE, JOSEPHINE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.39	0.00	0.39	90.0	0.01
03/15/2016	RIZZO, DIANE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.94	0.00	0.94	90.0	0.02
03/15/2016	NAGLE, JOSEPHINE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.41	0.00	0.41	90.0	0.01
03/15/2016	NAGLE, JOSEPHINE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.89	0.00	1.89	90.0	0.03
04/20/2016	RIZZO, DIANE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.06	0.00	1.06	90.0	0.02
04/20/2016	NAGLE, JOSEPHINE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.46	0.00	0.46	90.0	0.01
04/20/2016	NAGLE, JOSEPHINE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	2.11	0.00	2.11	90.0	0.04
05/16/2016	RIZZO, DIANE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.04	0.00	1.04	90.0	0.02
05/16/2016	NAGLE, JOSEPHINE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.45	0.00	0.45	90.0	0.01
05/16/2016	NAGLE, JOSEPHINE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	2.09	0.00	2.09	90.0	0.04
06/15/2016	RIZZO, DIANE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.93	0.00	0.93	90.0	0.02
06/15/2016	NAGLE, JOSEPHINE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.47	0.00	0.47	90.0	0.01
06/15/2016	NAGLE, JOSEPHINE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	2.16	0.00	2.16	90.0	0.04
07/18/2016	RIZZO, DIANE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.88	0.00	0.88	90.0	0.01
07/18/2016	NAGLE, JOSEPHINE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.46	0.00	0.46	90.0	0.01

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<u> OVERRIDE TRANSACTIONS </u>								
<u> BROKER: MARC, L134 LINSKY #263 </u>								
07/18/2016	NAGLE, JOSEPHINE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	2.11	0.00	2.11	90.0	0.04
08/15/2016	RIZZO, DIANE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.93	0.00	0.93	90.0	0.02
08/15/2016	NAGLE, JOSEPHINE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.49	0.00	0.49	90.0	0.01
08/15/2016	NAGLE, JOSEPHINE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	2.24	0.00	2.24	90.0	0.04
09/16/2016	RIZZO, DIANE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.93	0.00	0.93	90.0	0.02
09/16/2016	NAGLE, JOSEPHINE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.49	0.00	0.49	90.0	0.01
09/16/2016	NAGLE, JOSEPHINE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	2.25	0.00	2.25	90.0	0.04
10/17/2016	RIZZO, DIANE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.90	0.00	0.90	90.0	0.02
10/17/2016	NAGLE, JOSEPHINE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.47	0.00	0.47	90.0	0.01
10/17/2016	NAGLE, JOSEPHINE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	2.16	0.00	2.16	90.0	0.04
11/18/2016	RIZZO, DIANE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.88	0.00	0.88	90.0	0.01
11/18/2016	BOSCO, EDWARD	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.41	0.00	0.41	90.0	0.01
11/18/2016	NAGLE, JOSEPHINE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.42	0.00	1.42	90.0	0.02
11/18/2016	APPLEGATE, PAMAELA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.30	0.00	0.30	90.0	0.01
12/15/2016	RIZZO, DIANE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.84	0.00	0.84	90.0	0.01
12/15/2016	APPLEGATE, PAMAELA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.69	0.00	0.69	90.0	0.01
02/16/2016	POLLAN, PATRICIA	AM FUNDS CAPITAL INCOME BUILDER F1	0.00	1.24	0.00	1.24	90.0	0.02
02/16/2016	LINSKY, LISA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.66	0.00	2.66	90.0	0.05
02/16/2016	MEDIA ENTERPRISES	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.28	0.00	2.28	90.0	0.04
02/16/2016	RIZZO, DIANE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.08	0.00	1.08	90.0	0.02
02/16/2016	MELVIN, GREG	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.54	0.00	0.54	90.0	0.01
03/15/2016	LINSKY, LISA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.44	0.00	2.44	90.0	0.04
03/15/2016	MEDIA ENTERPRISES	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.09	0.00	2.09	90.0	0.04
03/15/2016	RIZZO, DIANE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.99	0.00	0.99	90.0	0.02
03/15/2016	MELVIN, GREG	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.50	0.00	0.50	90.0	0.01
04/20/2016	LINSKY, LISA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.78	0.00	2.78	90.0	0.05
04/20/2016	MEDIA ENTERPRISES	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.38	0.00	2.38	90.0	0.04
04/20/2016	RIZZO, DIANE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.13	0.00	1.13	90.0	0.02
04/20/2016	MELVIN, GREG	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.56	0.00	0.56	90.0	0.01
05/16/2016	LINSKY, LISA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.76	0.00	2.76	90.0	0.05
05/16/2016	MEDIA ENTERPRISES	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.36	0.00	2.36	90.0	0.04
05/16/2016	RIZZO, DIANE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.12	0.00	1.12	90.0	0.02
05/16/2016	MELVIN, GREG	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.56	0.00	0.56	90.0	0.01

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u> OVERRIDE TRANSACTIONS </u>								
<u> BROKER: MARC, L134 LINSKY #263 </u>								
06/15/2016	LINSKY, LISA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.83	0.00	2.83	90.0	0.05
06/15/2016	MEDIA ENTERPRISES	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.42	0.00	2.42	90.0	0.04
06/15/2016	RIZZO, DIANE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.15	0.00	1.15	90.0	0.02
06/15/2016	MELVIN, GREG	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.57	0.00	0.57	90.0	0.01
07/18/2016	LINSKY, LISA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.76	0.00	2.76	90.0	0.05
07/18/2016	MEDIA ENTERPRISES	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.36	0.00	2.36	90.0	0.04
07/18/2016	RIZZO, DIANE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.12	0.00	1.12	90.0	0.02
07/18/2016	MELVIN, GREG	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.56	0.00	0.56	90.0	0.01
08/15/2016	LINSKY, LISA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.93	0.00	2.93	90.0	0.05
08/15/2016	MEDIA ENTERPRISES	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.50	0.00	2.50	90.0	0.04
08/15/2016	RIZZO, DIANE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.19	0.00	1.19	90.0	0.02
08/15/2016	MELVIN, GREG	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.59	0.00	0.59	90.0	0.01
09/16/2016	LINSKY, LISA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	3.00	0.00	3.00	90.0	0.05
09/16/2016	MEDIA ENTERPRISES	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.57	0.00	2.57	90.0	0.04
09/16/2016	RIZZO, DIANE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.22	0.00	1.22	90.0	0.02
09/16/2016	MELVIN, GREG	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.61	0.00	0.61	90.0	0.01
10/17/2016	LINSKY, LISA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.90	0.00	2.90	90.0	0.05
10/17/2016	MEDIA ENTERPRISES	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.48	0.00	2.48	90.0	0.04
10/17/2016	RIZZO, DIANE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.18	0.00	1.18	90.0	0.02
10/17/2016	MELVIN, GREG	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.59	0.00	0.59	90.0	0.01
11/18/2016	LINSKY, LISA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.97	0.00	2.97	90.0	0.05
11/18/2016	MEDIA ENTERPRISES	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.54	0.00	2.54	90.0	0.04
11/18/2016	RIZZO, DIANE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.20	0.00	1.20	90.0	0.02
11/18/2016	MELVIN, GREG	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.60	0.00	0.60	90.0	0.01
12/15/2016	LINSKY, LISA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.83	0.00	2.83	90.0	0.05
12/15/2016	MEDIA ENTERPRISES	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.43	0.00	2.43	90.0	0.04
12/15/2016	RIZZO, DIANE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.15	0.00	1.15	90.0	0.02
12/15/2016	MELVIN, GREG	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.57	0.00	0.57	90.0	0.01
02/16/2016	POLLAN, PATRICIA	AM FUNDS CAPITAL WORLD GRTH & INC C	0.00	0.99	0.00	0.99	90.0	0.02
02/16/2016	POLLAN, JACLYN	AM FUNDS CAPITAL WORLD GRTH & INC C	0.00	2.08	0.00	2.08	90.0	0.04
03/15/2016	POLLAN, JACLYN	AM FUNDS CAPITAL WORLD GRTH & INC C	0.00	1.91	0.00	1.91	90.0	0.03
04/20/2016	POLLAN, JACLYN	AM FUNDS CAPITAL WORLD GRTH & INC C	0.00	2.17	0.00	2.17	90.0	0.04
05/16/2016	POLLAN, JACLYN	AM FUNDS CAPITAL WORLD GRTH & INC C	0.00	2.16	0.00	2.16	90.0	0.04

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<u> OVERRIDE TRANSACTIONS </u>								
<u> BROKER: MARC, L134 LINSKY #263 </u>								
06/15/2016	POLLAN, JACLYN	AM FUNDS CAPITAL WORLD GRTH & INC C	0.00	2.22	0.00	2.22	90.0	0.04
07/18/2016	POLLAN, JACLYN	AM FUNDS CAPITAL WORLD GRTH & INC C	0.00	2.16	0.00	2.16	90.0	0.04
08/15/2016	POLLAN, JACLYN	AM FUNDS CAPITAL WORLD GRTH & INC C	0.00	2.29	0.00	2.29	90.0	0.04
09/16/2016	POLLAN, JACLYN	AM FUNDS CAPITAL WORLD GRTH & INC C	0.00	2.35	0.00	2.35	90.0	0.04
10/17/2016	POLLAN, JACLYN	AM FUNDS CAPITAL WORLD GRTH & INC C	0.00	2.27	0.00	2.27	90.0	0.04
11/18/2016	POLLAN, JACLYN	AM FUNDS CAPITAL WORLD GRTH & INC C	0.00	2.33	0.00	2.33	90.0	0.04
12/15/2016	POLLAN, JACLYN	AM FUNDS CAPITAL WORLD GRTH & INC C	0.00	2.22	0.00	2.22	90.0	0.04
02/16/2016	FLEISCH, ROBERT	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	11.23	0.00	11.23	90.0	0.19
03/15/2016	FLEISCH, ROBERT	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	10.13	0.00	10.13	90.0	0.17
04/20/2016	FLEISCH, ROBERT	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	11.53	0.00	11.53	90.0	0.20
05/16/2016	FLEISCH, ROBERT	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	11.43	0.00	11.43	90.0	0.19
06/15/2016	FLEISCH, ROBERT	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	11.68	0.00	11.68	90.0	0.20
07/18/2016	FLEISCH, ROBERT	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	11.32	0.00	11.32	90.0	0.19
08/15/2016	FLEISCH, ROBERT	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	11.96	0.00	11.96	90.0	0.20
09/16/2016	FLEISCH, ROBERT	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	12.12	0.00	12.12	90.0	0.21
10/17/2016	FLEISCH, ROBERT	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	11.78	0.00	11.78	90.0	0.20
11/18/2016	FLEISCH, ROBERT	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	12.03	0.00	12.03	90.0	0.20
12/15/2016	FLEISCH, ROBERT	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	11.24	0.00	11.24	90.0	0.19
02/16/2016	MELVIN, MARY THOMPSON	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.54	0.00	1.54	90.0	0.03
03/15/2016	MELVIN, MARY THOMPSON	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.42	0.00	1.42	90.0	0.02
04/20/2016	MELVIN, MARY THOMPSON	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.62	0.00	1.62	90.0	0.03
05/16/2016	MELVIN, MARY THOMPSON	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.61	0.00	1.61	90.0	0.03
06/15/2016	MELVIN, MARY THOMPSON	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.67	0.00	1.67	90.0	0.03
07/18/2016	MELVIN, MARY THOMPSON	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.64	0.00	1.64	90.0	0.03
08/15/2016	MELVIN, MARY THOMPSON	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.73	0.00	1.73	90.0	0.03
09/16/2016	MELVIN, MARY THOMPSON	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.77	0.00	1.77	90.0	0.03
10/17/2016	MELVIN, MARY THOMPSON	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.70	0.00	1.70	90.0	0.03
11/18/2016	MELVIN, MARY THOMPSON	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.76	0.00	1.76	90.0	0.03
12/15/2016	MELVIN, MARY THOMPSON	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.67	0.00	1.67	90.0	0.03
02/15/2018	BENFER, ANDREW	AM FUNDS FUNDAMENTAL INVESTORS A	225.00	11.25	0.00	11.25	90.0	0.19
02/16/2016	CHERRY, AYDEN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.64	0.00	0.64	90.0	0.01
02/16/2016	LINSKY, LISA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	3.28	0.00	3.28	90.0	0.06
02/16/2016	RIZZO, DIANE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.18	0.00	1.18	90.0	0.02

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<u> OVERRIDE TRANSACTIONS </u>								
<u> BROKER: MARC, L134 LINSKY #263 </u>								
02/16/2016	OLIVETI, FRANK	AM FUNDS GROWTH FUND OF AMERICA A	0.00	4.49	0.00	4.49	90.0	0.08
02/16/2016	BERK, SHERRI	AM FUNDS GROWTH FUND OF AMERICA A	0.00	3.40	0.00	3.40	90.0	0.06
02/16/2016	PERETTI, TERESA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.29	0.00	1.29	90.0	0.02
02/16/2016	CENTANNI, BETTY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.35	0.00	0.35	90.0	0.01
02/16/2016	CENTANNI, RICHARD	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.68	0.00	0.68	90.0	0.01
02/16/2016	NATHAN, EDWARD	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.47	0.00	0.47	90.0	0.01
02/16/2016	NATHAN, EDWARD	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.76	0.00	0.76	90.0	0.01
02/16/2016	NATHAN, SUSAN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.46	0.00	0.46	90.0	0.01
03/15/2016	CHERRY, AYDEN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.58	0.00	0.58	90.0	0.01
03/15/2016	LINSKY, LISA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	2.96	0.00	2.96	90.0	0.05
03/15/2016	RIZZO, DIANE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.07	0.00	1.07	90.0	0.02
03/15/2016	OLIVETI, FRANK	AM FUNDS GROWTH FUND OF AMERICA A	0.00	4.06	0.00	4.06	90.0	0.07
03/15/2016	BERK, SHERRI	AM FUNDS GROWTH FUND OF AMERICA A	0.00	3.07	0.00	3.07	90.0	0.05
03/15/2016	PERETTI, TERESA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.16	0.00	1.16	90.0	0.02
03/15/2016	CENTANNI, BETTY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.32	0.00	0.32	90.0	0.01
03/15/2016	CENTANNI, RICHARD	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.62	0.00	0.62	90.0	0.01
03/15/2016	NATHAN, EDWARD	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.42	0.00	0.42	90.0	0.01
03/15/2016	NATHAN, EDWARD	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.69	0.00	0.69	90.0	0.01
03/15/2016	NATHAN, SUSAN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.42	0.00	0.42	90.0	0.01
04/20/2016	CHERRY, AYDEN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.66	0.00	0.66	90.0	0.01
04/20/2016	LINSKY, LISA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	3.38	0.00	3.38	90.0	0.06
04/20/2016	RIZZO, DIANE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.21	0.00	1.21	90.0	0.02
04/20/2016	OLIVETI, FRANK	AM FUNDS GROWTH FUND OF AMERICA A	0.00	4.62	0.00	4.62	90.0	0.08
04/20/2016	BERK, SHERRI	AM FUNDS GROWTH FUND OF AMERICA A	0.00	3.50	0.00	3.50	90.0	0.06
04/20/2016	PERETTI, TERESA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.32	0.00	1.32	90.0	0.02
04/20/2016	CENTANNI, BETTY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.36	0.00	0.36	90.0	0.01
04/20/2016	CENTANNI, RICHARD	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.70	0.00	0.70	90.0	0.01
04/20/2016	NATHAN, EDWARD	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.48	0.00	0.48	90.0	0.01
04/20/2016	NATHAN, EDWARD	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.78	0.00	0.78	90.0	0.01
04/20/2016	NATHAN, SUSAN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.48	0.00	0.48	90.0	0.01
05/16/2016	CHERRY, AYDEN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.66	0.00	0.66	90.0	0.01
05/16/2016	LINSKY, LISA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	3.38	0.00	3.38	90.0	0.06
05/16/2016	RIZZO, DIANE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.21	0.00	1.21	90.0	0.02

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<u> OVERRIDE TRANSACTIONS </u>								
<u> BROKER: MARC, L134 LINSKY #263 </u>								
05/16/2016	OLIVETI, FRANK	AM FUNDS GROWTH FUND OF AMERICA A	0.00	4.62	0.00	4.62	90.0	0.08
05/16/2016	BERK, SHERRI	AM FUNDS GROWTH FUND OF AMERICA A	0.00	3.52	0.00	3.52	90.0	0.06
05/16/2016	PERETTI, TERESA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.32	0.00	1.32	90.0	0.02
05/16/2016	CENTANNI, BETTY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.36	0.00	0.36	90.0	0.01
05/16/2016	CENTANNI, RICHARD	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.70	0.00	0.70	90.0	0.01
05/16/2016	NATHAN, EDWARD	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.48	0.00	0.48	90.0	0.01
05/16/2016	NATHAN, EDWARD	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.78	0.00	0.78	90.0	0.01
05/16/2016	NATHAN, SUSAN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.48	0.00	0.48	90.0	0.01
06/15/2016	CHERRY, AYDEN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.68	0.00	0.68	90.0	0.01
06/15/2016	LINSKY, LISA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	3.49	0.00	3.49	90.0	0.06
06/15/2016	RIZZO, DIANE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.26	0.00	1.26	90.0	0.02
06/15/2016	OLIVETI, FRANK	AM FUNDS GROWTH FUND OF AMERICA A	0.00	4.78	0.00	4.78	90.0	0.08
06/15/2016	BERK, SHERRI	AM FUNDS GROWTH FUND OF AMERICA A	0.00	3.66	0.00	3.66	90.0	0.06
06/15/2016	PERETTI, TERESA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.37	0.00	1.37	90.0	0.02
06/15/2016	CENTANNI, BETTY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.38	0.00	0.38	90.0	0.01
06/15/2016	CENTANNI, RICHARD	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.73	0.00	0.73	90.0	0.01
06/15/2016	NATHAN, EDWARD	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.50	0.00	0.50	90.0	0.01
06/15/2016	NATHAN, EDWARD	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.81	0.00	0.81	90.0	0.01
06/15/2016	NATHAN, SUSAN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.49	0.00	0.49	90.0	0.01
07/18/2016	CHERRY, AYDEN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.67	0.00	0.67	90.0	0.01
07/18/2016	LINSKY, LISA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	3.43	0.00	3.43	90.0	0.06
07/18/2016	RIZZO, DIANE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.23	0.00	1.23	90.0	0.02
07/18/2016	OLIVETI, FRANK	AM FUNDS GROWTH FUND OF AMERICA A	0.00	4.69	0.00	4.69	90.0	0.08
07/18/2016	BERK, SHERRI	AM FUNDS GROWTH FUND OF AMERICA A	0.00	3.61	0.00	3.61	90.0	0.06
07/18/2016	PERETTI, TERESA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.34	0.00	1.34	90.0	0.02
07/18/2016	CENTANNI, BETTY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.37	0.00	0.37	90.0	0.01
07/18/2016	CENTANNI, RICHARD	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.71	0.00	0.71	90.0	0.01
07/18/2016	NATHAN, EDWARD	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.49	0.00	0.49	90.0	0.01
07/18/2016	NATHAN, EDWARD	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.79	0.00	0.79	90.0	0.01
07/18/2016	NATHAN, SUSAN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.48	0.00	0.48	90.0	0.01
08/15/2016	CHERRY, AYDEN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.71	0.00	0.71	90.0	0.01
08/15/2016	LINSKY, LISA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	3.63	0.00	3.63	90.0	0.06
08/15/2016	RIZZO, DIANE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.31	0.00	1.31	90.0	0.02

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u> OVERRIDE TRANSACTIONS </u>								
<u> BROKER: MARC, L134 LINSKY #263 </u>								
08/15/2016	OLIVETI, FRANK	AM FUNDS GROWTH FUND OF AMERICA A	0.00	4.97	0.00	4.97	90.0	0.08
08/15/2016	BERK, SHERRI	AM FUNDS GROWTH FUND OF AMERICA A	0.00	3.85	0.00	3.85	90.0	0.07
08/15/2016	PERETTI, TERESA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.42	0.00	1.42	90.0	0.02
08/15/2016	CENTANNI, BETTY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.39	0.00	0.39	90.0	0.01
08/15/2016	CENTANNI, RICHARD	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.76	0.00	0.76	90.0	0.01
08/15/2016	NATHAN, EDWARD	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.52	0.00	0.52	90.0	0.01
08/15/2016	NATHAN, EDWARD	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.84	0.00	0.84	90.0	0.01
08/15/2016	NATHAN, SUSAN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.51	0.00	0.51	90.0	0.01
09/16/2016	CHERRY, AYDEN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.73	0.00	0.73	90.0	0.01
09/16/2016	LINSKY, LISA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	3.73	0.00	3.73	90.0	0.06
09/16/2016	RIZZO, DIANE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.34	0.00	1.34	90.0	0.02
09/16/2016	OLIVETI, FRANK	AM FUNDS GROWTH FUND OF AMERICA A	0.00	5.11	0.00	5.11	90.0	0.09
09/16/2016	BERK, SHERRI	AM FUNDS GROWTH FUND OF AMERICA A	0.00	3.74	0.00	3.74	90.0	0.06
09/16/2016	PERETTI, TERESA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.46	0.00	1.46	90.0	0.02
09/16/2016	CENTANNI, BETTY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.40	0.00	0.40	90.0	0.01
09/16/2016	CENTANNI, RICHARD	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.78	0.00	0.78	90.0	0.01
09/16/2016	NATHAN, EDWARD	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.53	0.00	0.53	90.0	0.01
09/16/2016	NATHAN, EDWARD	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.87	0.00	0.87	90.0	0.01
09/16/2016	NATHAN, SUSAN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.53	0.00	0.53	90.0	0.01
10/17/2016	CHERRY, AYDEN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.70	0.00	0.70	90.0	0.01
10/17/2016	LINSKY, LISA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	3.60	0.00	3.60	90.0	0.06
10/17/2016	RIZZO, DIANE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.29	0.00	1.29	90.0	0.02
10/17/2016	OLIVETI, FRANK	AM FUNDS GROWTH FUND OF AMERICA A	0.00	4.92	0.00	4.92	90.0	0.08
10/17/2016	BERK, SHERRI	AM FUNDS GROWTH FUND OF AMERICA A	0.00	3.53	0.00	3.53	90.0	0.06
10/17/2016	PERETTI, TERESA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.41	0.00	1.41	90.0	0.02
10/17/2016	CENTANNI, BETTY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.39	0.00	0.39	90.0	0.01
10/17/2016	CENTANNI, RICHARD	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.75	0.00	0.75	90.0	0.01
10/17/2016	NATHAN, EDWARD	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.51	0.00	0.51	90.0	0.01
10/17/2016	NATHAN, EDWARD	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.83	0.00	0.83	90.0	0.01
10/17/2016	NATHAN, SUSAN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.51	0.00	0.51	90.0	0.01
11/18/2016	CHERRY, AYDEN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.73	0.00	0.73	90.0	0.01
11/18/2016	LINSKY, LISA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	3.74	0.00	3.74	90.0	0.06
11/18/2016	RIZZO, DIANE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.34	0.00	1.34	90.0	0.02

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u> OVERRIDE TRANSACTIONS </u>								
<u>BROKER: MARC, L134 LINSKY #263</u>								
11/18/2016	OLIVETI, FRANK	AM FUNDS GROWTH FUND OF AMERICA A	0.00	5.12	0.00	5.12	90.0	0.09
11/18/2016	BERK, SHERRI	AM FUNDS GROWTH FUND OF AMERICA A	0.00	3.67	0.00	3.67	90.0	0.06
11/18/2016	PERETTI, TERESA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.46	0.00	1.46	90.0	0.02
11/18/2016	CENTANNI, BETTY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.40	0.00	0.40	90.0	0.01
11/18/2016	CENTANNI, RICHARD	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.78	0.00	0.78	90.0	0.01
11/18/2016	NATHAN, EDWARD	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.53	0.00	0.53	90.0	0.01
11/18/2016	NATHAN, EDWARD	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.87	0.00	0.87	90.0	0.01
11/18/2016	NATHAN, SUSAN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.53	0.00	0.53	90.0	0.01
12/15/2016	CHERRY, AYDEN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.71	0.00	0.71	90.0	0.01
12/15/2016	LINSKY, LISA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	3.62	0.00	3.62	90.0	0.06
12/15/2016	RIZZO, DIANE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.30	0.00	1.30	90.0	0.02
12/15/2016	OLIVETI, FRANK	AM FUNDS GROWTH FUND OF AMERICA A	0.00	4.96	0.00	4.96	90.0	0.08
12/15/2016	BERK, SHERRI	AM FUNDS GROWTH FUND OF AMERICA A	0.00	3.55	0.00	3.55	90.0	0.06
12/15/2016	PERETTI, TERESA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.42	0.00	1.42	90.0	0.02
12/15/2016	CENTANNI, BETTY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.39	0.00	0.39	90.0	0.01
12/15/2016	CENTANNI, RICHARD	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.75	0.00	0.75	90.0	0.01
12/15/2016	NATHAN, EDWARD	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.51	0.00	0.51	90.0	0.01
12/15/2016	NATHAN, EDWARD	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.84	0.00	0.84	90.0	0.01
12/15/2016	NATHAN, SUSAN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.51	0.00	0.51	90.0	0.01
02/15/2018	BERK, SHERRI	AM FUNDS GROWTH FUND OF AMERICA A	220.04	9.35	22.00	-12.65	90.0	-0.22
02/16/2016	SPECTER, LINDSAY	AM FUNDS GROWTH FUND OF AMERICA C	0.00	1.97	0.00	1.97	90.0	0.03
03/15/2016	SPECTER, LINDSAY	AM FUNDS GROWTH FUND OF AMERICA C	0.00	1.78	0.00	1.78	90.0	0.03
04/20/2016	SPECTER, LINDSAY	AM FUNDS GROWTH FUND OF AMERICA C	0.00	2.02	0.00	2.02	90.0	0.03
05/16/2016	SPECTER, LINDSAY	AM FUNDS GROWTH FUND OF AMERICA C	0.00	2.02	0.00	2.02	90.0	0.03
06/15/2016	SPECTER, LINDSAY	AM FUNDS GROWTH FUND OF AMERICA C	0.00	2.09	0.00	2.09	90.0	0.04
07/18/2016	SPECTER, LINDSAY	AM FUNDS GROWTH FUND OF AMERICA C	0.00	2.05	0.00	2.05	90.0	0.03
08/15/2016	SPECTER, LINDSAY	AM FUNDS GROWTH FUND OF AMERICA C	0.00	2.17	0.00	2.17	90.0	0.04
09/16/2016	SPECTER, LINDSAY	AM FUNDS GROWTH FUND OF AMERICA C	0.00	2.23	0.00	2.23	90.0	0.04
10/17/2016	SPECTER, LINDSAY	AM FUNDS GROWTH FUND OF AMERICA C	0.00	2.14	0.00	2.14	90.0	0.04
11/18/2016	SPECTER, LINDSAY	AM FUNDS GROWTH FUND OF AMERICA C	0.00	2.23	0.00	2.23	90.0	0.04
12/15/2016	SPECTER, LINDSAY	AM FUNDS GROWTH FUND OF AMERICA C	0.00	2.16	0.00	2.16	90.0	0.04
02/16/2016	SPECTER TRUST, STEPHANIE	AM FUNDS GROWTH FUND OF AMERICA F1	0.00	10.46	0.00	10.46	90.0	0.18
02/16/2016	POLLAN, PATRICIA	AM FUNDS GROWTH FUND OF AMERICA F1	0.00	2.11	0.00	2.11	90.0	0.04

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<u> OVERRIDE TRANSACTIONS </u>								
<u>BROKER: MARC, L134 LINSKY #263</u>								
02/16/2016	POLLAN, JACLYN	AM FUNDS GROWTH FUND OF AMERICA F1	0.00	1.90	0.00	1.90	90.0	0.03
02/16/2016	SPECTER, LINDSAY	AM FUNDS GROWTH FUND OF AMERICA F1	0.00	3.90	0.00	3.90	90.0	0.07
02/16/2016	SPECTER, SHELBY	AM FUNDS GROWTH FUND OF AMERICA F1	0.00	3.96	0.00	3.96	90.0	0.07
03/15/2016	SPECTER TRUST, STEPHANIE	AM FUNDS GROWTH FUND OF AMERICA F1	0.00	9.44	0.00	9.44	90.0	0.16
03/15/2016	POLLAN, JACLYN	AM FUNDS GROWTH FUND OF AMERICA F1	0.00	1.72	0.00	1.72	90.0	0.03
03/15/2016	SPECTER, LINDSAY	AM FUNDS GROWTH FUND OF AMERICA F1	0.00	3.52	0.00	3.52	90.0	0.06
03/15/2016	SPECTER, SHELBY	AM FUNDS GROWTH FUND OF AMERICA F1	0.00	3.58	0.00	3.58	90.0	0.06
04/20/2016	SPECTER TRUST, STEPHANIE	AM FUNDS GROWTH FUND OF AMERICA F1	0.00	10.75	0.00	10.75	90.0	0.18
04/20/2016	POLLAN, JACLYN	AM FUNDS GROWTH FUND OF AMERICA F1	0.00	1.96	0.00	1.96	90.0	0.03
04/20/2016	SPECTER, LINDSAY	AM FUNDS GROWTH FUND OF AMERICA F1	0.00	4.01	0.00	4.01	90.0	0.07
04/20/2016	SPECTER, SHELBY	AM FUNDS GROWTH FUND OF AMERICA F1	0.00	4.08	0.00	4.08	90.0	0.07
05/16/2016	SPECTER TRUST, STEPHANIE	AM FUNDS GROWTH FUND OF AMERICA F1	0.00	10.76	0.00	10.76	90.0	0.18
05/16/2016	POLLAN, JACLYN	AM FUNDS GROWTH FUND OF AMERICA F1	0.00	1.96	0.00	1.96	90.0	0.03
05/16/2016	SPECTER, LINDSAY	AM FUNDS GROWTH FUND OF AMERICA F1	0.00	4.01	0.00	4.01	90.0	0.07
05/16/2016	SPECTER, SHELBY	AM FUNDS GROWTH FUND OF AMERICA F1	0.00	4.08	0.00	4.08	90.0	0.07
06/15/2016	SPECTER TRUST, STEPHANIE	AM FUNDS GROWTH FUND OF AMERICA F1	0.00	11.12	0.00	11.12	90.0	0.19
06/15/2016	POLLAN, JACLYN	AM FUNDS GROWTH FUND OF AMERICA F1	0.00	2.02	0.00	2.02	90.0	0.03
06/15/2016	SPECTER, LINDSAY	AM FUNDS GROWTH FUND OF AMERICA F1	0.00	4.15	0.00	4.15	90.0	0.07
06/15/2016	SPECTER, SHELBY	AM FUNDS GROWTH FUND OF AMERICA F1	0.00	4.21	0.00	4.21	90.0	0.07
07/18/2016	SPECTER TRUST, STEPHANIE	AM FUNDS GROWTH FUND OF AMERICA F1	0.00	10.92	0.00	10.92	90.0	0.19
07/18/2016	POLLAN, JACLYN	AM FUNDS GROWTH FUND OF AMERICA F1	0.00	1.99	0.00	1.99	90.0	0.03
07/18/2016	SPECTER, LINDSAY	AM FUNDS GROWTH FUND OF AMERICA F1	0.00	4.07	0.00	4.07	90.0	0.07
07/18/2016	SPECTER, SHELBY	AM FUNDS GROWTH FUND OF AMERICA F1	0.00	4.14	0.00	4.14	90.0	0.07
08/15/2016	SPECTER TRUST, STEPHANIE	AM FUNDS GROWTH FUND OF AMERICA F1	0.00	11.57	0.00	11.57	90.0	0.20
08/15/2016	POLLAN, JACLYN	AM FUNDS GROWTH FUND OF AMERICA F1	0.00	2.11	0.00	2.11	90.0	0.04
08/15/2016	SPECTER, LINDSAY	AM FUNDS GROWTH FUND OF AMERICA F1	0.00	4.32	0.00	4.32	90.0	0.07
08/15/2016	SPECTER, SHELBY	AM FUNDS GROWTH FUND OF AMERICA F1	0.00	4.38	0.00	4.38	90.0	0.07
09/16/2016	SPECTER TRUST, STEPHANIE	AM FUNDS GROWTH FUND OF AMERICA F1	0.00	8.04	0.00	8.04	90.0	0.14
09/16/2016	POLLAN, JACLYN	AM FUNDS GROWTH FUND OF AMERICA F1	0.00	2.16	0.00	2.16	90.0	0.04
09/16/2016	SPECTER, LINDSAY	AM FUNDS GROWTH FUND OF AMERICA F1	0.00	4.43	0.00	4.43	90.0	0.08
09/16/2016	SPECTER, SHELBY	AM FUNDS GROWTH FUND OF AMERICA F1	0.00	4.50	0.00	4.50	90.0	0.08
10/17/2016	POLLAN, JACLYN	AM FUNDS GROWTH FUND OF AMERICA F1	0.00	2.09	0.00	2.09	90.0	0.04
10/17/2016	SPECTER, LINDSAY	AM FUNDS GROWTH FUND OF AMERICA F1	0.00	4.28	0.00	4.28	90.0	0.07

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<u> OVERRIDE TRANSACTIONS </u>								
<u> BROKER: MARC, L134 LINSKY #263 </u>								
10/17/2016	SPECTER, SHELBY	AM FUNDS GROWTH FUND OF AMERICA F1	0.00	4.34	0.00	4.34	90.0	0.07
11/18/2016	POLLAN, JACLYN	AM FUNDS GROWTH FUND OF AMERICA F1	0.00	2.17	0.00	2.17	90.0	0.04
11/18/2016	SPECTER, LINDSAY	AM FUNDS GROWTH FUND OF AMERICA F1	0.00	4.44	0.00	4.44	90.0	0.08
11/18/2016	SPECTER, SHELBY	AM FUNDS GROWTH FUND OF AMERICA F1	0.00	4.51	0.00	4.51	90.0	0.08
12/15/2016	POLLAN, JACLYN	AM FUNDS GROWTH FUND OF AMERICA F1	0.00	2.10	0.00	2.10	90.0	0.04
12/15/2016	SPECTER, LINDSAY	AM FUNDS GROWTH FUND OF AMERICA F1	0.00	4.30	0.00	4.30	90.0	0.07
12/15/2016	SPECTER, SHELBY	AM FUNDS GROWTH FUND OF AMERICA F1	0.00	4.37	0.00	4.37	90.0	0.07
02/16/2016	RIZZO, DIANE	AM FUNDS ICA A	0.00	1.10	0.00	1.10	90.0	0.02
02/16/2016	FLEISCH, ROBERT	AM FUNDS ICA A	0.00	7.11	0.00	7.11	90.0	0.12
02/16/2016	NATHAN, EDWARD	AM FUNDS ICA A	0.00	0.42	0.00	0.42	90.0	0.01
02/16/2016	NATHAN, EDWARD	AM FUNDS ICA A	0.00	0.68	0.00	0.68	90.0	0.01
02/16/2016	NATHAN, SUSAN	AM FUNDS ICA A	0.00	0.41	0.00	0.41	90.0	0.01
02/16/2016	NAGLE, JOSEPHINE	AM FUNDS ICA A	0.00	0.43	0.00	0.43	90.0	0.01
03/15/2016	RIZZO, DIANE	AM FUNDS ICA A	0.00	1.03	0.00	1.03	90.0	0.02
03/15/2016	FLEISCH, ROBERT	AM FUNDS ICA A	0.00	6.66	0.00	6.66	90.0	0.11
03/15/2016	NATHAN, EDWARD	AM FUNDS ICA A	0.00	0.39	0.00	0.39	90.0	0.01
03/15/2016	NATHAN, EDWARD	AM FUNDS ICA A	0.00	0.64	0.00	0.64	90.0	0.01
03/15/2016	NATHAN, SUSAN	AM FUNDS ICA A	0.00	0.39	0.00	0.39	90.0	0.01
03/15/2016	NAGLE, JOSEPHINE	AM FUNDS ICA A	0.00	2.09	0.00	2.09	90.0	0.04
04/20/2016	RIZZO, DIANE	AM FUNDS ICA A	0.00	1.17	0.00	1.17	90.0	0.02
04/20/2016	FLEISCH, ROBERT	AM FUNDS ICA A	0.00	7.60	0.00	7.60	90.0	0.13
04/20/2016	NATHAN, EDWARD	AM FUNDS ICA A	0.00	0.44	0.00	0.44	90.0	0.01
04/20/2016	NATHAN, EDWARD	AM FUNDS ICA A	0.00	0.73	0.00	0.73	90.0	0.01
04/20/2016	NATHAN, SUSAN	AM FUNDS ICA A	0.00	0.44	0.00	0.44	90.0	0.01
04/20/2016	NAGLE, JOSEPHINE	AM FUNDS ICA A	0.00	2.38	0.00	2.38	90.0	0.04
05/16/2016	RIZZO, DIANE	AM FUNDS ICA A	0.00	1.17	0.00	1.17	90.0	0.02
05/16/2016	FLEISCH, ROBERT	AM FUNDS ICA A	0.00	7.59	0.00	7.59	90.0	0.13
05/16/2016	NATHAN, EDWARD	AM FUNDS ICA A	0.00	0.44	0.00	0.44	90.0	0.01
05/16/2016	NATHAN, EDWARD	AM FUNDS ICA A	0.00	0.72	0.00	0.72	90.0	0.01
05/16/2016	NATHAN, SUSAN	AM FUNDS ICA A	0.00	0.44	0.00	0.44	90.0	0.01
05/16/2016	NAGLE, JOSEPHINE	AM FUNDS ICA A	0.00	2.38	0.00	2.38	90.0	0.04
06/15/2016	RIZZO, DIANE	AM FUNDS ICA A	0.00	1.21	0.00	1.21	90.0	0.02
06/15/2016	FLEISCH, ROBERT	AM FUNDS ICA A	0.00	7.83	0.00	7.83	90.0	0.13

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<u> OVERRIDE TRANSACTIONS </u>								
<u> BROKER: MARC, L134 LINSKY #263 </u>								
06/15/2016	NATHAN, EDWARD	AM FUNDS ICA A	0.00	0.46	0.00	0.46	90.0	0.01
06/15/2016	NATHAN, EDWARD	AM FUNDS ICA A	0.00	0.75	0.00	0.75	90.0	0.01
06/15/2016	NATHAN, SUSAN	AM FUNDS ICA A	0.00	0.46	0.00	0.46	90.0	0.01
06/15/2016	NAGLE, JOSEPHINE	AM FUNDS ICA A	0.00	2.46	0.00	2.46	90.0	0.04
07/18/2016	RIZZO, DIANE	AM FUNDS ICA A	0.00	1.19	0.00	1.19	90.0	0.02
07/18/2016	FLEISCH, ROBERT	AM FUNDS ICA A	0.00	7.68	0.00	7.68	90.0	0.13
07/18/2016	NATHAN, EDWARD	AM FUNDS ICA A	0.00	0.45	0.00	0.45	90.0	0.01
07/18/2016	NATHAN, EDWARD	AM FUNDS ICA A	0.00	0.73	0.00	0.73	90.0	0.01
07/18/2016	NATHAN, SUSAN	AM FUNDS ICA A	0.00	0.45	0.00	0.45	90.0	0.01
07/18/2016	NAGLE, JOSEPHINE	AM FUNDS ICA A	0.00	2.41	0.00	2.41	90.0	0.04
07/18/2016	TAYLOR, THOMAS	AM FUNDS ICA A	0.00	0.46	0.00	0.46	90.0	0.01
07/18/2016	TAYLOR, DIANE	AM FUNDS ICA A	0.00	0.46	0.00	0.46	90.0	0.01
08/15/2016	RIZZO, DIANE	AM FUNDS ICA A	0.00	1.27	0.00	1.27	90.0	0.02
08/15/2016	FLEISCH, ROBERT	AM FUNDS ICA A	0.00	8.19	0.00	8.19	90.0	0.14
08/15/2016	NATHAN, EDWARD	AM FUNDS ICA A	0.00	0.48	0.00	0.48	90.0	0.01
08/15/2016	NATHAN, EDWARD	AM FUNDS ICA A	0.00	0.78	0.00	0.78	90.0	0.01
08/15/2016	NATHAN, SUSAN	AM FUNDS ICA A	0.00	0.48	0.00	0.48	90.0	0.01
08/15/2016	NAGLE, JOSEPHINE	AM FUNDS ICA A	0.00	2.57	0.00	2.57	90.0	0.04
08/15/2016	TAYLOR, THOMAS	AM FUNDS ICA A	0.00	0.49	0.00	0.49	90.0	0.01
08/15/2016	TAYLOR, DIANE	AM FUNDS ICA A	0.00	0.49	0.00	0.49	90.0	0.01
09/16/2016	RIZZO, DIANE	AM FUNDS ICA A	0.00	1.29	0.00	1.29	90.0	0.02
09/16/2016	FLEISCH, ROBERT	AM FUNDS ICA A	0.00	7.90	0.00	7.90	90.0	0.13
09/16/2016	NATHAN, EDWARD	AM FUNDS ICA A	0.00	0.49	0.00	0.49	90.0	0.01
09/16/2016	NATHAN, EDWARD	AM FUNDS ICA A	0.00	0.79	0.00	0.79	90.0	0.01
09/16/2016	NATHAN, SUSAN	AM FUNDS ICA A	0.00	0.48	0.00	0.48	90.0	0.01
09/16/2016	NAGLE, JOSEPHINE	AM FUNDS ICA A	0.00	2.61	0.00	2.61	90.0	0.04
09/16/2016	TAYLOR, THOMAS	AM FUNDS ICA A	0.00	0.49	0.00	0.49	90.0	0.01
09/16/2016	TAYLOR, DIANE	AM FUNDS ICA A	0.00	0.49	0.00	0.49	90.0	0.01
10/17/2016	RIZZO, DIANE	AM FUNDS ICA A	0.00	1.23	0.00	1.23	90.0	0.02
10/17/2016	FLEISCH, ROBERT	AM FUNDS ICA A	0.00	7.38	0.00	7.38	90.0	0.13
10/17/2016	NATHAN, EDWARD	AM FUNDS ICA A	0.00	0.47	0.00	0.47	90.0	0.01
10/17/2016	NATHAN, EDWARD	AM FUNDS ICA A	0.00	0.76	0.00	0.76	90.0	0.01
10/17/2016	NATHAN, SUSAN	AM FUNDS ICA A	0.00	0.46	0.00	0.46	90.0	0.01

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u> OVERRIDE TRANSACTIONS </u>								
<u> BROKER: MARC, L134 LINSKY #263 </u>								
10/17/2016	NAGLE, JOSEPHINE	AM FUNDS ICA A	0.00	2.50	0.00	2.50	90.0	0.04
10/17/2016	TAYLOR, THOMAS	AM FUNDS ICA A	0.00	0.47	0.00	0.47	90.0	0.01
10/17/2016	TAYLOR, DIANE	AM FUNDS ICA A	0.00	0.47	0.00	0.47	90.0	0.01
11/18/2016	RIZZO, DIANE	AM FUNDS ICA A	0.00	1.28	0.00	1.28	90.0	0.02
11/18/2016	FLEISCH, ROBERT	AM FUNDS ICA A	0.00	7.62	0.00	7.62	90.0	0.13
11/18/2016	NATHAN, EDWARD	AM FUNDS ICA A	0.00	0.48	0.00	0.48	90.0	0.01
11/18/2016	NATHAN, EDWARD	AM FUNDS ICA A	0.00	0.79	0.00	0.79	90.0	0.01
11/18/2016	NATHAN, SUSAN	AM FUNDS ICA A	0.00	0.48	0.00	0.48	90.0	0.01
11/18/2016	NAGLE, JOSEPHINE	AM FUNDS ICA A	0.00	1.67	0.00	1.67	90.0	0.03
11/18/2016	TAYLOR, THOMAS	AM FUNDS ICA A	0.00	0.49	0.00	0.49	90.0	0.01
11/18/2016	TAYLOR, DIANE	AM FUNDS ICA A	0.00	0.49	0.00	0.49	90.0	0.01
11/18/2016	APPLEGATE, PAMAELA	AM FUNDS ICA A	0.00	0.36	0.00	0.36	90.0	0.01
12/15/2016	RIZZO, DIANE	AM FUNDS ICA A	0.00	1.24	0.00	1.24	90.0	0.02
12/15/2016	FLEISCH, ROBERT	AM FUNDS ICA A	0.00	7.43	0.00	7.43	90.0	0.13
12/15/2016	NATHAN, EDWARD	AM FUNDS ICA A	0.00	0.47	0.00	0.47	90.0	0.01
12/15/2016	NATHAN, EDWARD	AM FUNDS ICA A	0.00	0.77	0.00	0.77	90.0	0.01
12/15/2016	NATHAN, SUSAN	AM FUNDS ICA A	0.00	0.47	0.00	0.47	90.0	0.01
12/15/2016	TAYLOR, THOMAS	AM FUNDS ICA A	0.00	0.48	0.00	0.48	90.0	0.01
12/15/2016	TAYLOR, DIANE	AM FUNDS ICA A	0.00	0.48	0.00	0.48	90.0	0.01
12/15/2016	APPLEGATE, PAMAELA	AM FUNDS ICA A	0.00	0.83	0.00	0.83	90.0	0.01
02/15/2018	BOND-HILTNER, LINDA	AM FUNDS ICA A	836.76	41.84	22.00	19.84	90.0	0.34
02/16/2016	SPECTER, SHELBY	AM FUNDS ICA C	0.00	4.01	0.00	4.01	90.0	0.07
03/15/2016	SPECTER, SHELBY	AM FUNDS ICA C	0.00	3.75	0.00	3.75	90.0	0.06
04/20/2016	SPECTER, SHELBY	AM FUNDS ICA C	0.00	4.27	0.00	4.27	90.0	0.07
05/16/2016	SPECTER, SHELBY	AM FUNDS ICA C	0.00	4.27	0.00	4.27	90.0	0.07
06/15/2016	SPECTER, SHELBY	AM FUNDS ICA C	0.00	4.40	0.00	4.40	90.0	0.07
07/18/2016	SPECTER, SHELBY	AM FUNDS ICA C	0.00	4.31	0.00	4.31	90.0	0.07
08/15/2016	SPECTER, SHELBY	AM FUNDS ICA C	0.00	4.60	0.00	4.60	90.0	0.08
09/16/2016	SPECTER, SHELBY	AM FUNDS ICA C	0.00	4.67	0.00	4.67	90.0	0.08
10/17/2016	SPECTER, SHELBY	AM FUNDS ICA C	0.00	4.47	0.00	4.47	90.0	0.08
11/18/2016	SPECTER, SHELBY	AM FUNDS ICA C	0.00	4.62	0.00	4.62	90.0	0.08
12/15/2016	SPECTER, SHELBY	AM FUNDS ICA C	0.00	4.50	0.00	4.50	90.0	0.08
02/16/2016	SPECTER TRUST, STEPHANIE	AM FUNDS ICA F1	0.00	9.24	0.00	9.24	90.0	0.16

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u> OVERRIDE TRANSACTIONS </u>								
<u> BROKER: MARC, L134 LINSKY #263 </u>								
02/16/2016	POLLAN, PATRICIA	AM FUNDS ICA F1	0.00	2.16	0.00	2.16	90.0	0.04
02/16/2016	SPECTER, LINDSAY	AM FUNDS ICA F1	0.00	3.58	0.00	3.58	90.0	0.06
02/16/2016	SPECTER, SHELBY	AM FUNDS ICA F1	0.00	3.43	0.00	3.43	90.0	0.06
03/15/2016	SPECTER TRUST, STEPHANIE	AM FUNDS ICA F1	0.00	8.66	0.00	8.66	90.0	0.15
03/15/2016	SPECTER, LINDSAY	AM FUNDS ICA F1	0.00	3.36	0.00	3.36	90.0	0.06
03/15/2016	SPECTER, SHELBY	AM FUNDS ICA F1	0.00	3.22	0.00	3.22	90.0	0.05
04/20/2016	SPECTER TRUST, STEPHANIE	AM FUNDS ICA F1	0.00	9.87	0.00	9.87	90.0	0.17
04/20/2016	SPECTER, LINDSAY	AM FUNDS ICA F1	0.00	3.83	0.00	3.83	90.0	0.07
04/20/2016	SPECTER, SHELBY	AM FUNDS ICA F1	0.00	3.67	0.00	3.67	90.0	0.06
05/16/2016	SPECTER TRUST, STEPHANIE	AM FUNDS ICA F1	0.00	9.86	0.00	9.86	90.0	0.17
05/16/2016	SPECTER, LINDSAY	AM FUNDS ICA F1	0.00	3.82	0.00	3.82	90.0	0.06
05/16/2016	SPECTER, SHELBY	AM FUNDS ICA F1	0.00	3.66	0.00	3.66	90.0	0.06
06/15/2016	SPECTER TRUST, STEPHANIE	AM FUNDS ICA F1	0.00	10.17	0.00	10.17	90.0	0.17
06/15/2016	SPECTER, LINDSAY	AM FUNDS ICA F1	0.00	3.95	0.00	3.95	90.0	0.07
06/15/2016	SPECTER, SHELBY	AM FUNDS ICA F1	0.00	3.78	0.00	3.78	90.0	0.06
07/18/2016	SPECTER TRUST, STEPHANIE	AM FUNDS ICA F1	0.00	9.98	0.00	9.98	90.0	0.17
07/18/2016	SPECTER, LINDSAY	AM FUNDS ICA F1	0.00	3.87	0.00	3.87	90.0	0.07
07/18/2016	SPECTER, SHELBY	AM FUNDS ICA F1	0.00	3.71	0.00	3.71	90.0	0.06
08/15/2016	SPECTER TRUST, STEPHANIE	AM FUNDS ICA F1	0.00	10.64	0.00	10.64	90.0	0.18
08/15/2016	SPECTER, LINDSAY	AM FUNDS ICA F1	0.00	4.13	0.00	4.13	90.0	0.07
08/15/2016	SPECTER, SHELBY	AM FUNDS ICA F1	0.00	3.96	0.00	3.96	90.0	0.07
09/16/2016	SPECTER TRUST, STEPHANIE	AM FUNDS ICA F1	0.00	10.81	0.00	10.81	90.0	0.18
09/16/2016	SPECTER, LINDSAY	AM FUNDS ICA F1	0.00	4.20	0.00	4.20	90.0	0.07
09/16/2016	SPECTER, SHELBY	AM FUNDS ICA F1	0.00	4.02	0.00	4.02	90.0	0.07
10/17/2016	SPECTER TRUST, STEPHANIE	AM FUNDS ICA F1	0.00	10.37	0.00	10.37	90.0	0.18
10/17/2016	SPECTER, LINDSAY	AM FUNDS ICA F1	0.00	4.02	0.00	4.02	90.0	0.07
10/17/2016	SPECTER, SHELBY	AM FUNDS ICA F1	0.00	3.85	0.00	3.85	90.0	0.07
11/18/2016	SPECTER TRUST, STEPHANIE	AM FUNDS ICA F1	0.00	10.70	0.00	10.70	90.0	0.18
11/18/2016	SPECTER, LINDSAY	AM FUNDS ICA F1	0.00	4.15	0.00	4.15	90.0	0.07
11/18/2016	SPECTER, SHELBY	AM FUNDS ICA F1	0.00	3.98	0.00	3.98	90.0	0.07
12/15/2016	SPECTER TRUST, STEPHANIE	AM FUNDS ICA F1	0.00	10.44	0.00	10.44	90.0	0.18
12/15/2016	SPECTER, LINDSAY	AM FUNDS ICA F1	0.00	4.05	0.00	4.05	90.0	0.07
12/15/2016	SPECTER, SHELBY	AM FUNDS ICA F1	0.00	3.88	0.00	3.88	90.0	0.07

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<u> OVERRIDE TRANSACTIONS </u>								
<u>BROKER: MARC, L134 LINSKY #263</u>								
02/16/2016	GARAFOLA, MICHAEL	AM FUNDS INCOME FUND OF AMERICA A	0.00	4.38	0.00	4.38	90.0	0.07
02/16/2016	GARAFOLA, GRACE	AM FUNDS INCOME FUND OF AMERICA A	0.00	3.61	0.00	3.61	90.0	0.06
02/16/2016	GARAFOLA, MICHAEL	AM FUNDS INCOME FUND OF AMERICA A	0.00	17.58	0.00	17.58	90.0	0.30
02/16/2016	MEDIA ENTERPRISES	AM FUNDS INCOME FUND OF AMERICA A	0.00	2.48	0.00	2.48	90.0	0.04
02/16/2016	GOLDBERGER, ANNA	AM FUNDS INCOME FUND OF AMERICA A	0.00	4.34	0.00	4.34	90.0	0.07
03/15/2016	GARAFOLA, MICHAEL	AM FUNDS INCOME FUND OF AMERICA A	0.00	4.10	0.00	4.10	90.0	0.07
03/15/2016	GARAFOLA, GRACE	AM FUNDS INCOME FUND OF AMERICA A	0.00	3.38	0.00	3.38	90.0	0.06
03/15/2016	GARAFOLA, MICHAEL	AM FUNDS INCOME FUND OF AMERICA A	0.00	16.48	0.00	16.48	90.0	0.28
03/15/2016	MEDIA ENTERPRISES	AM FUNDS INCOME FUND OF AMERICA A	0.00	2.33	0.00	2.33	90.0	0.04
04/20/2016	GARAFOLA, MICHAEL	AM FUNDS INCOME FUND OF AMERICA A	0.00	4.60	0.00	4.60	90.0	0.08
04/20/2016	GARAFOLA, GRACE	AM FUNDS INCOME FUND OF AMERICA A	0.00	3.80	0.00	3.80	90.0	0.06
04/20/2016	GARAFOLA, MICHAEL	AM FUNDS INCOME FUND OF AMERICA A	0.00	18.40	0.00	18.40	90.0	0.31
04/20/2016	MEDIA ENTERPRISES	AM FUNDS INCOME FUND OF AMERICA A	0.00	2.61	0.00	2.61	90.0	0.04
05/16/2016	GARAFOLA, MICHAEL	AM FUNDS INCOME FUND OF AMERICA A	0.00	4.55	0.00	4.55	90.0	0.08
05/16/2016	GARAFOLA, GRACE	AM FUNDS INCOME FUND OF AMERICA A	0.00	3.75	0.00	3.75	90.0	0.06
05/16/2016	GARAFOLA, MICHAEL	AM FUNDS INCOME FUND OF AMERICA A	0.00	18.14	0.00	18.14	90.0	0.31
05/16/2016	MEDIA ENTERPRISES	AM FUNDS INCOME FUND OF AMERICA A	0.00	2.58	0.00	2.58	90.0	0.04
06/15/2016	GARAFOLA, MICHAEL	AM FUNDS INCOME FUND OF AMERICA A	0.00	4.71	0.00	4.71	90.0	0.08
06/15/2016	GARAFOLA, GRACE	AM FUNDS INCOME FUND OF AMERICA A	0.00	3.89	0.00	3.89	90.0	0.07
06/15/2016	GARAFOLA, MICHAEL	AM FUNDS INCOME FUND OF AMERICA A	0.00	18.76	0.00	18.76	90.0	0.32
06/15/2016	MEDIA ENTERPRISES	AM FUNDS INCOME FUND OF AMERICA A	0.00	2.67	0.00	2.67	90.0	0.05
07/18/2016	GARAFOLA, MICHAEL	AM FUNDS INCOME FUND OF AMERICA A	0.00	4.60	0.00	4.60	90.0	0.08
07/18/2016	GARAFOLA, GRACE	AM FUNDS INCOME FUND OF AMERICA A	0.00	3.81	0.00	3.81	90.0	0.06
07/18/2016	GARAFOLA, MICHAEL	AM FUNDS INCOME FUND OF AMERICA A	0.00	18.28	0.00	18.28	90.0	0.31
07/18/2016	MEDIA ENTERPRISES	AM FUNDS INCOME FUND OF AMERICA A	0.00	2.61	0.00	2.61	90.0	0.04
08/15/2016	GARAFOLA, MICHAEL	AM FUNDS INCOME FUND OF AMERICA A	0.00	4.91	0.00	4.91	90.0	0.08
08/15/2016	GARAFOLA, GRACE	AM FUNDS INCOME FUND OF AMERICA A	0.00	4.06	0.00	4.06	90.0	0.07
08/15/2016	GARAFOLA, MICHAEL	AM FUNDS INCOME FUND OF AMERICA A	0.00	19.43	0.00	19.43	90.0	0.33
08/15/2016	MEDIA ENTERPRISES	AM FUNDS INCOME FUND OF AMERICA A	0.00	2.79	0.00	2.79	90.0	0.05
09/16/2016	GARAFOLA, MICHAEL	AM FUNDS INCOME FUND OF AMERICA A	0.00	4.94	0.00	4.94	90.0	0.08
09/16/2016	GARAFOLA, GRACE	AM FUNDS INCOME FUND OF AMERICA A	0.00	4.08	0.00	4.08	90.0	0.07
09/16/2016	GARAFOLA, MICHAEL	AM FUNDS INCOME FUND OF AMERICA A	0.00	19.55	0.00	19.55	90.0	0.33
09/16/2016	MEDIA ENTERPRISES	AM FUNDS INCOME FUND OF AMERICA A	0.00	2.80	0.00	2.80	90.0	0.05

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<u> OVERRIDE TRANSACTIONS </u>								
<u> BROKER: MARC, L134 LINSKY #263 </u>								
10/17/2016	GARAFOLA, MICHAEL	AM FUNDS INCOME FUND OF AMERICA A	0.00	4.72	0.00	4.72	90.0	0.08
10/17/2016	GARAFOLA, GRACE	AM FUNDS INCOME FUND OF AMERICA A	0.00	3.90	0.00	3.90	90.0	0.07
10/17/2016	GARAFOLA, MICHAEL	AM FUNDS INCOME FUND OF AMERICA A	0.00	18.73	0.00	18.73	90.0	0.32
10/17/2016	MEDIA ENTERPRISES	AM FUNDS INCOME FUND OF AMERICA A	0.00	2.70	0.00	2.70	90.0	0.05
11/18/2016	GARAFOLA, MICHAEL	AM FUNDS INCOME FUND OF AMERICA A	0.00	4.65	0.00	4.65	90.0	0.08
11/18/2016	GARAFOLA, GRACE	AM FUNDS INCOME FUND OF AMERICA A	0.00	3.87	0.00	3.87	90.0	0.07
11/18/2016	GARAFOLA, MICHAEL	AM FUNDS INCOME FUND OF AMERICA A	0.00	19.18	0.00	19.18	90.0	0.33
11/18/2016	MEDIA ENTERPRISES	AM FUNDS INCOME FUND OF AMERICA A	0.00	2.77	0.00	2.77	90.0	0.05
12/15/2016	GARAFOLA, MICHAEL	AM FUNDS INCOME FUND OF AMERICA A	0.00	4.49	0.00	4.49	90.0	0.08
12/15/2016	GARAFOLA, GRACE	AM FUNDS INCOME FUND OF AMERICA A	0.00	3.74	0.00	3.74	90.0	0.06
12/15/2016	GARAFOLA, MICHAEL	AM FUNDS INCOME FUND OF AMERICA A	0.00	18.53	0.00	18.53	90.0	0.32
12/15/2016	MEDIA ENTERPRISES	AM FUNDS INCOME FUND OF AMERICA A	0.00	2.68	0.00	2.68	90.0	0.05
02/16/2016	NAGLE, JOSEPHINE	AM FUNDS NEW PERSPECTIVE A	0.00	0.52	0.00	0.52	90.0	0.01
02/16/2016	NAGLE, JOSEPHINE	AM FUNDS NEW PERSPECTIVE A	0.00	0.47	0.00	0.47	90.0	0.01
03/15/2016	NAGLE, JOSEPHINE	AM FUNDS NEW PERSPECTIVE A	0.00	0.47	0.00	0.47	90.0	0.01
03/15/2016	NAGLE, JOSEPHINE	AM FUNDS NEW PERSPECTIVE A	0.00	2.20	0.00	2.20	90.0	0.04
04/20/2016	NAGLE, JOSEPHINE	AM FUNDS NEW PERSPECTIVE A	0.00	0.53	0.00	0.53	90.0	0.01
04/20/2016	NAGLE, JOSEPHINE	AM FUNDS NEW PERSPECTIVE A	0.00	2.50	0.00	2.50	90.0	0.04
05/16/2016	NAGLE, JOSEPHINE	AM FUNDS NEW PERSPECTIVE A	0.00	0.53	0.00	0.53	90.0	0.01
05/16/2016	NAGLE, JOSEPHINE	AM FUNDS NEW PERSPECTIVE A	0.00	2.49	0.00	2.49	90.0	0.04
06/15/2016	NAGLE, JOSEPHINE	AM FUNDS NEW PERSPECTIVE A	0.00	0.54	0.00	0.54	90.0	0.01
06/15/2016	NAGLE, JOSEPHINE	AM FUNDS NEW PERSPECTIVE A	0.00	2.55	0.00	2.55	90.0	0.04
07/18/2016	NAGLE, JOSEPHINE	AM FUNDS NEW PERSPECTIVE A	0.00	0.52	0.00	0.52	90.0	0.01
07/18/2016	NAGLE, JOSEPHINE	AM FUNDS NEW PERSPECTIVE A	0.00	2.48	0.00	2.48	90.0	0.04
07/18/2016	TAYLOR, THOMAS	AM FUNDS NEW PERSPECTIVE A	0.00	0.57	0.00	0.57	90.0	0.01
07/18/2016	TAYLOR, DIANE	AM FUNDS NEW PERSPECTIVE A	0.00	0.44	0.00	0.44	90.0	0.01
08/15/2016	NAGLE, JOSEPHINE	AM FUNDS NEW PERSPECTIVE A	0.00	0.56	0.00	0.56	90.0	0.01
08/15/2016	NAGLE, JOSEPHINE	AM FUNDS NEW PERSPECTIVE A	0.00	2.63	0.00	2.63	90.0	0.04
08/15/2016	TAYLOR, THOMAS	AM FUNDS NEW PERSPECTIVE A	0.00	0.61	0.00	0.61	90.0	0.01
08/15/2016	TAYLOR, DIANE	AM FUNDS NEW PERSPECTIVE A	0.00	0.61	0.00	0.61	90.0	0.01
09/16/2016	NAGLE, JOSEPHINE	AM FUNDS NEW PERSPECTIVE A	0.00	0.57	0.00	0.57	90.0	0.01
09/16/2016	NAGLE, JOSEPHINE	AM FUNDS NEW PERSPECTIVE A	0.00	2.69	0.00	2.69	90.0	0.05
09/16/2016	TAYLOR, THOMAS	AM FUNDS NEW PERSPECTIVE A	0.00	0.62	0.00	0.62	90.0	0.01

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u> OVERRIDE TRANSACTIONS </u>								
<u> BROKER: MARC, L134 LINSKY #263 </u>								
09/16/2016	TAYLOR, DIANE	AM FUNDS NEW PERSPECTIVE A	0.00	0.62	0.00	0.62	90.0	0.01
10/17/2016	NAGLE, JOSEPHINE	AM FUNDS NEW PERSPECTIVE A	0.00	0.55	0.00	0.55	90.0	0.01
10/17/2016	NAGLE, JOSEPHINE	AM FUNDS NEW PERSPECTIVE A	0.00	2.61	0.00	2.61	90.0	0.04
10/17/2016	TAYLOR, THOMAS	AM FUNDS NEW PERSPECTIVE A	0.00	0.60	0.00	0.60	90.0	0.01
10/17/2016	TAYLOR, DIANE	AM FUNDS NEW PERSPECTIVE A	0.00	0.60	0.00	0.60	90.0	0.01
11/18/2016	BOSCO, EDWARD	AM FUNDS NEW PERSPECTIVE A	0.00	0.49	0.00	0.49	90.0	0.01
11/18/2016	NAGLE, JOSEPHINE	AM FUNDS NEW PERSPECTIVE A	0.00	1.73	0.00	1.73	90.0	0.03
11/18/2016	TAYLOR, THOMAS	AM FUNDS NEW PERSPECTIVE A	0.00	0.62	0.00	0.62	90.0	0.01
11/18/2016	TAYLOR, DIANE	AM FUNDS NEW PERSPECTIVE A	0.00	0.62	0.00	0.62	90.0	0.01
11/18/2016	APPLEGATE, PAMAEALA	AM FUNDS NEW PERSPECTIVE A	0.00	0.37	0.00	0.37	90.0	0.01
12/15/2016	TAYLOR, THOMAS	AM FUNDS NEW PERSPECTIVE A	0.00	0.59	0.00	0.59	90.0	0.01
12/15/2016	TAYLOR, DIANE	AM FUNDS NEW PERSPECTIVE A	0.00	0.59	0.00	0.59	90.0	0.01
12/15/2016	APPLEGATE, PAMAEALA	AM FUNDS NEW PERSPECTIVE A	0.00	0.84	0.00	0.84	90.0	0.01
02/16/2016	MELVIN, MARY THOMPSON	AM FUNDS SMALLCAP WORLD A	0.00	1.34	0.00	1.34	90.0	0.02
03/15/2016	MELVIN, MARY THOMPSON	AM FUNDS SMALLCAP WORLD A	0.00	1.20	0.00	1.20	90.0	0.02
04/20/2016	MELVIN, MARY THOMPSON	AM FUNDS SMALLCAP WORLD A	0.00	1.37	0.00	1.37	90.0	0.02
05/16/2016	MELVIN, MARY THOMPSON	AM FUNDS SMALLCAP WORLD A	0.00	1.38	0.00	1.38	90.0	0.02
06/15/2016	MELVIN, MARY THOMPSON	AM FUNDS SMALLCAP WORLD A	0.00	1.42	0.00	1.42	90.0	0.02
07/18/2016	MELVIN, MARY THOMPSON	AM FUNDS SMALLCAP WORLD A	0.00	1.41	0.00	1.41	90.0	0.02
08/15/2016	MELVIN, MARY THOMPSON	AM FUNDS SMALLCAP WORLD A	0.00	1.48	0.00	1.48	90.0	0.03
09/16/2016	MELVIN, MARY THOMPSON	AM FUNDS SMALLCAP WORLD A	0.00	1.54	0.00	1.54	90.0	0.03
10/17/2016	MELVIN, MARY THOMPSON	AM FUNDS SMALLCAP WORLD A	0.00	1.50	0.00	1.50	90.0	0.03
11/18/2016	MELVIN, MARY THOMPSON	AM FUNDS SMALLCAP WORLD A	0.00	1.55	0.00	1.55	90.0	0.03
12/15/2016	MELVIN, MARY THOMPSON	AM FUNDS SMALLCAP WORLD A	0.00	1.47	0.00	1.47	90.0	0.02
02/16/2016	OLIVETI, FRANK	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	4.24	0.00	4.24	90.0	0.07
02/16/2016	PERETTI, TERESA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.07	0.00	1.07	90.0	0.02
02/16/2016	COHEN, PAUL	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	2.42	0.00	2.42	90.0	0.04
02/16/2016	NATHAN, EDWARD	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.42	0.00	0.42	90.0	0.01
02/16/2016	NATHAN, EDWARD	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.68	0.00	0.68	90.0	0.01
02/16/2016	NATHAN, SUSAN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.42	0.00	0.42	90.0	0.01
02/16/2016	SPECTER TRUST, STEPHANIE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	9.37	0.00	9.37	90.0	0.16
03/15/2016	OLIVETI, FRANK	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	3.96	0.00	3.96	90.0	0.07
03/15/2016	PERETTI, TERESA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.00	0.00	1.00	90.0	0.02

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<u> OVERRIDE TRANSACTIONS </u>								
<u> BROKER: MARC, L134 LINSKY #263 </u>								
03/15/2016	COHEN, PAUL	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	2.26	0.00	2.26	90.0	0.04
03/15/2016	NATHAN, EDWARD	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.39	0.00	0.39	90.0	0.01
03/15/2016	NATHAN, EDWARD	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.64	0.00	0.64	90.0	0.01
03/15/2016	NATHAN, SUSAN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.39	0.00	0.39	90.0	0.01
03/15/2016	SPECTER TRUST, STEPHANIE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	8.75	0.00	8.75	90.0	0.15
04/20/2016	OLIVETI, FRANK	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	4.49	0.00	4.49	90.0	0.08
04/20/2016	PERETTI, TERESA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.13	0.00	1.13	90.0	0.02
04/20/2016	COHEN, PAUL	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	2.56	0.00	2.56	90.0	0.04
04/20/2016	NATHAN, EDWARD	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.44	0.00	0.44	90.0	0.01
04/20/2016	NATHAN, EDWARD	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.72	0.00	0.72	90.0	0.01
04/20/2016	NATHAN, SUSAN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.44	0.00	0.44	90.0	0.01
04/20/2016	SPECTER TRUST, STEPHANIE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	9.92	0.00	9.92	90.0	0.17
05/16/2016	OLIVETI, FRANK	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	4.46	0.00	4.46	90.0	0.08
05/16/2016	PERETTI, TERESA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.12	0.00	1.12	90.0	0.02
05/16/2016	COHEN, PAUL	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	2.54	0.00	2.54	90.0	0.04
05/16/2016	NATHAN, EDWARD	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.44	0.00	0.44	90.0	0.01
05/16/2016	NATHAN, EDWARD	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.72	0.00	0.72	90.0	0.01
05/16/2016	NATHAN, SUSAN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.44	0.00	0.44	90.0	0.01
05/16/2016	SPECTER TRUST, STEPHANIE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	9.85	0.00	9.85	90.0	0.17
06/15/2016	OLIVETI, FRANK	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	4.61	0.00	4.61	90.0	0.08
06/15/2016	PERETTI, TERESA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.16	0.00	1.16	90.0	0.02
06/15/2016	COHEN, PAUL	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	2.63	0.00	2.63	90.0	0.04
06/15/2016	NATHAN, EDWARD	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.45	0.00	0.45	90.0	0.01
06/15/2016	NATHAN, EDWARD	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.74	0.00	0.74	90.0	0.01
06/15/2016	NATHAN, SUSAN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.45	0.00	0.45	90.0	0.01
06/15/2016	SPECTER TRUST, STEPHANIE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	10.18	0.00	10.18	90.0	0.17
07/18/2016	OLIVETI, FRANK	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	4.52	0.00	4.52	90.0	0.08
07/18/2016	PERETTI, TERESA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.14	0.00	1.14	90.0	0.02
07/18/2016	COHEN, PAUL	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	2.58	0.00	2.58	90.0	0.04
07/18/2016	NATHAN, EDWARD	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.45	0.00	0.45	90.0	0.01
07/18/2016	NATHAN, EDWARD	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.73	0.00	0.73	90.0	0.01
07/18/2016	NATHAN, SUSAN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.44	0.00	0.44	90.0	0.01
07/18/2016	SPECTER TRUST, STEPHANIE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	9.98	0.00	9.98	90.0	0.17

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<u> OVERRIDE TRANSACTIONS </u>								
<u> BROKER: MARC, L134 LINSKY #263 </u>								
08/15/2016	OLIVETI, FRANK	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	4.80	0.00	4.80	90.0	0.08
08/15/2016	PERETTI, TERESA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.21	0.00	1.21	90.0	0.02
08/15/2016	COHEN, PAUL	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	2.74	0.00	2.74	90.0	0.05
08/15/2016	NATHAN, EDWARD	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.47	0.00	0.47	90.0	0.01
08/15/2016	NATHAN, EDWARD	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.77	0.00	0.77	90.0	0.01
08/15/2016	NATHAN, SUSAN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.47	0.00	0.47	90.0	0.01
08/15/2016	SPECTER TRUST, STEPHANIE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	10.60	0.00	10.60	90.0	0.18
09/16/2016	OLIVETI, FRANK	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	4.85	0.00	4.85	90.0	0.08
09/16/2016	PERETTI, TERESA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.22	0.00	1.22	90.0	0.02
09/16/2016	COHEN, PAUL	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	2.77	0.00	2.77	90.0	0.05
09/16/2016	NATHAN, EDWARD	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.48	0.00	0.48	90.0	0.01
09/16/2016	NATHAN, EDWARD	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.78	0.00	0.78	90.0	0.01
09/16/2016	NATHAN, SUSAN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.48	0.00	0.48	90.0	0.01
09/16/2016	SPECTER TRUST, STEPHANIE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	7.27	0.00	7.27	90.0	0.12
10/17/2016	OLIVETI, FRANK	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	4.64	0.00	4.64	90.0	0.08
10/17/2016	PERETTI, TERESA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.17	0.00	1.17	90.0	0.02
10/17/2016	COHEN, PAUL	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	2.65	0.00	2.65	90.0	0.05
10/17/2016	NATHAN, EDWARD	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.46	0.00	0.46	90.0	0.01
10/17/2016	NATHAN, EDWARD	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.75	0.00	0.75	90.0	0.01
10/17/2016	NATHAN, SUSAN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.45	0.00	0.45	90.0	0.01
11/18/2016	OLIVETI, FRANK	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	4.78	0.00	4.78	90.0	0.08
11/18/2016	PERETTI, TERESA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.20	0.00	1.20	90.0	0.02
11/18/2016	COHEN, PAUL	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	2.72	0.00	2.72	90.0	0.05
11/18/2016	NATHAN, EDWARD	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.47	0.00	0.47	90.0	0.01
11/18/2016	NATHAN, EDWARD	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.77	0.00	0.77	90.0	0.01
11/18/2016	NATHAN, SUSAN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.47	0.00	0.47	90.0	0.01
12/15/2016	OLIVETI, FRANK	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	4.72	0.00	4.72	90.0	0.08
12/15/2016	PERETTI, TERESA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.19	0.00	1.19	90.0	0.02
12/15/2016	COHEN, PAUL	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	2.69	0.00	2.69	90.0	0.05
12/15/2016	NATHAN, EDWARD	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.47	0.00	0.47	90.0	0.01
12/15/2016	NATHAN, EDWARD	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.76	0.00	0.76	90.0	0.01
12/15/2016	NATHAN, SUSAN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.46	0.00	0.46	90.0	0.01
02/15/2018	BOND-HILTNER, LINDA	AM FUNDS WASHINGTON MUTUAL INVESTOR	839.29	41.96	22.00	19.96	90.0	0.34

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<u> OVERRIDE TRANSACTIONS </u>								
<u> BROKER: MARC, L134 LINSKY #263 </u>								
02/22/2016	O'DONNELL, PATRICIA	AMERICAN CENTURY STRATEGIC ALLOC MO	0.00	3.61	0.00	3.61	90.0	0.06
03/16/2016	O'DONNELL, PATRICIA	AMERICAN CENTURY STRATEGIC ALLOC MO	0.00	3.33	0.00	3.33	90.0	0.06
04/21/2016	O'DONNELL, PATRICIA	AMERICAN CENTURY STRATEGIC ALLOC MO	0.00	3.74	0.00	3.74	90.0	0.06
05/24/2016	O'DONNELL, PATRICIA	AMERICAN CENTURY STRATEGIC ALLOC MO	0.00	3.70	0.00	3.70	90.0	0.06
06/10/2016	O'DONNELL, PATRICIA	AMERICAN CENTURY STRATEGIC ALLOC MO	0.00	3.82	0.00	3.82	90.0	0.06
07/14/2016	O'DONNELL, PATRICIA	AMERICAN CENTURY STRATEGIC ALLOC MO	0.00	3.72	0.00	3.72	90.0	0.06
08/19/2016	O'DONNELL, PATRICIA	AMERICAN CENTURY STRATEGIC ALLOC MO	0.00	3.93	0.00	3.93	90.0	0.07
09/19/2016	O'DONNELL, PATRICIA	AMERICAN CENTURY STRATEGIC ALLOC MO	0.00	3.99	0.00	3.99	90.0	0.07
10/20/2016	O'DONNELL, PATRICIA	AMERICAN CENTURY STRATEGIC ALLOC MO	0.00	3.85	0.00	3.85	90.0	0.07
11/18/2016	O'DONNELL, PATRICIA	AMERICAN CENTURY STRATEGIC ALLOC MO	0.00	3.97	0.00	3.97	90.0	0.07
12/19/2016	O'DONNELL, PATRICIA	AMERICAN CENTURY STRATEGIC ALLOC MO	0.00	3.81	0.00	3.81	90.0	0.06
09/16/2016	GARLICK, MILDRED	AMERICAN FUNDS INFLATION LINKED BON	0.00	59.06	0.00	59.06	90.0	1.00
10/17/2016	GARLICK, MILDRED	AMERICAN FUNDS INFLATION LINKED BON	0.00	82.45	0.00	82.45	90.0	1.40
11/18/2016	GARLICK, MILDRED	AMERICAN FUNDS INFLATION LINKED BON	0.00	85.55	0.00	85.55	90.0	1.45
12/15/2016	GARLICK, MILDRED	AMERICAN FUNDS INFLATION LINKED BON	0.00	81.60	0.00	81.60	90.0	1.39
02/16/2018	MORETTI, MARGARET	APPLE INC COM	2,422.69	30.00	22.50	7.50	90.0	0.13
02/26/2016	PLEVAK, MICHAEL	BLACKROCK EQUITY DIVIDEND FUND CL C	0.00	23.98	0.00	23.98	90.0	0.41
03/23/2016	PLEVAK, MICHAEL	BLACKROCK EQUITY DIVIDEND FUND CL C	0.00	22.23	0.00	22.23	90.0	0.38
04/27/2016	PLEVAK, MICHAEL	BLACKROCK EQUITY DIVIDEND FUND CL C	0.00	25.18	0.00	25.18	90.0	0.43
05/31/2016	PLEVAK, MICHAEL	BLACKROCK EQUITY DIVIDEND FUND CL C	0.00	24.96	0.00	24.96	90.0	0.42
06/27/2016	PLEVAK, MICHAEL	BLACKROCK EQUITY DIVIDEND FUND CL C	0.00	25.90	0.00	25.90	90.0	0.44
07/29/2016	PLEVAK, MICHAEL	BLACKROCK EQUITY DIVIDEND FUND CL C	0.00	25.26	0.00	25.26	90.0	0.43
08/30/2016	PLEVAK, MICHAEL	BLACKROCK EQUITY DIVIDEND FUND CL C	0.00	26.90	0.00	26.90	90.0	0.46
09/29/2016	PLEVAK, MICHAEL	BLACKROCK EQUITY DIVIDEND FUND CL C	0.00	27.21	0.00	27.21	90.0	0.46
10/27/2016	PLEVAK, MICHAEL	BLACKROCK EQUITY DIVIDEND FUND CL C	0.00	26.06	0.00	26.06	90.0	0.44
11/28/2016	PLEVAK, MICHAEL	BLACKROCK EQUITY DIVIDEND FUND CL C	0.00	26.83	0.00	26.83	90.0	0.46
12/21/2016	PLEVAK, MICHAEL	BLACKROCK EQUITY DIVIDEND FUND CL C	0.00	26.79	0.00	26.79	90.0	0.46
02/14/2018	SIEMANOWSKI, JOHN	BLACKSTONE GROUP L P COM UNIT REPST	16,805.00	30.00	22.75	7.25	90.0	0.12
02/19/2016	PERETTI, TERESA	CALAMOS GROWTH A	0.00	1.16	0.00	1.16	90.0	0.02
02/19/2016	DUBIN, JON	CALAMOS GROWTH A	0.00	3.64	0.00	3.64	90.0	0.06
03/17/2016	PERETTI, TERESA	CALAMOS GROWTH A	0.00	1.04	0.00	1.04	90.0	0.02
03/17/2016	DUBIN, JON	CALAMOS GROWTH A	0.00	3.26	0.00	3.26	90.0	0.06
04/20/2016	PERETTI, TERESA	CALAMOS GROWTH A	0.00	1.17	0.00	1.17	90.0	0.02

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<u> OVERRIDE TRANSACTIONS </u>								
<u> BROKER: MARC, L134 LINSKY #263 </u>								
04/20/2016	DUBIN, JON	CALAMOS GROWTH A	0.00	3.67	0.00	3.67	90.0	0.06
05/19/2016	PERETTI, TERESA	CALAMOS GROWTH A	0.00	1.16	0.00	1.16	90.0	0.02
05/19/2016	DUBIN, JON	CALAMOS GROWTH A	0.00	3.65	0.00	3.65	90.0	0.06
06/16/2016	PERETTI, TERESA	CALAMOS GROWTH A	0.00	1.19	0.00	1.19	90.0	0.02
06/16/2016	DUBIN, JON	CALAMOS GROWTH A	0.00	3.73	0.00	3.73	90.0	0.06
07/21/2016	PERETTI, TERESA	CALAMOS GROWTH A	0.00	1.16	0.00	1.16	90.0	0.02
07/21/2016	DUBIN, JON	CALAMOS GROWTH A	0.00	3.63	0.00	3.63	90.0	0.06
08/19/2016	PERETTI, TERESA	CALAMOS GROWTH A	0.00	1.21	0.00	1.21	90.0	0.02
08/19/2016	DUBIN, JON	CALAMOS GROWTH A	0.00	3.81	0.00	3.81	90.0	0.06
09/21/2016	PERETTI, TERESA	CALAMOS GROWTH A	0.00	1.24	0.00	1.24	90.0	0.02
09/21/2016	DUBIN, JON	CALAMOS GROWTH A	0.00	3.89	0.00	3.89	90.0	0.07
10/21/2016	PERETTI, TERESA	CALAMOS GROWTH A	0.00	1.18	0.00	1.18	90.0	0.02
10/21/2016	DUBIN, JON	CALAMOS GROWTH A	0.00	3.71	0.00	3.71	90.0	0.06
11/18/2016	PERETTI, TERESA	CALAMOS GROWTH A	0.00	1.22	0.00	1.22	90.0	0.02
11/18/2016	DUBIN, JON	CALAMOS GROWTH A	0.00	3.83	0.00	3.83	90.0	0.07
12/20/2016	PERETTI, TERESA	CALAMOS GROWTH A	0.00	1.17	0.00	1.17	90.0	0.02
12/20/2016	DUBIN, JON	CALAMOS GROWTH A	0.00	3.67	0.00	3.67	90.0	0.06
02/12/2016	MEDIA ENTERPRISES	COLUMBIA ACORN A	0.00	0.76	0.00	0.76	90.0	0.01
02/12/2016	FLEISCH, ROBERT	COLUMBIA ACORN A	0.00	11.79	0.00	11.79	90.0	0.20
03/14/2016	MEDIA ENTERPRISES	COLUMBIA ACORN A	0.00	0.68	0.00	0.68	90.0	0.01
03/14/2016	FLEISCH, ROBERT	COLUMBIA ACORN A	0.00	10.56	0.00	10.56	90.0	0.18
04/15/2016	MEDIA ENTERPRISES	COLUMBIA ACORN A	0.00	0.78	0.00	0.78	90.0	0.01
04/15/2016	FLEISCH, ROBERT	COLUMBIA ACORN A	0.00	12.14	0.00	12.14	90.0	0.21
05/24/2016	MEDIA ENTERPRISES	COLUMBIA ACORN A	0.00	0.78	0.00	0.78	90.0	0.01
05/24/2016	FLEISCH, ROBERT	COLUMBIA ACORN A	0.00	12.22	0.00	12.22	90.0	0.21
06/14/2016	MEDIA ENTERPRISES	COLUMBIA ACORN A	0.00	0.81	0.00	0.81	90.0	0.01
06/14/2016	FLEISCH, ROBERT	COLUMBIA ACORN A	0.00	12.62	0.00	12.62	90.0	0.21
07/20/2016	MEDIA ENTERPRISES	COLUMBIA ACORN A	0.00	0.80	0.00	0.80	90.0	0.01
07/20/2016	FLEISCH, ROBERT	COLUMBIA ACORN A	0.00	12.43	0.00	12.43	90.0	0.21
08/17/2016	MEDIA ENTERPRISES	COLUMBIA ACORN A	0.00	0.84	0.00	0.84	90.0	0.01
08/17/2016	FLEISCH, ROBERT	COLUMBIA ACORN A	0.00	13.16	0.00	13.16	90.0	0.22
09/16/2016	MEDIA ENTERPRISES	COLUMBIA ACORN A	0.00	0.87	0.00	0.87	90.0	0.01
09/16/2016	FLEISCH, ROBERT	COLUMBIA ACORN A	0.00	12.88	0.00	12.88	90.0	0.22

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u> OVERRIDE TRANSACTIONS </u>								
<u>BROKER: MARC, L134 LINSKY #263</u>								
10/14/2016	MEDIA ENTERPRISES	COLUMBIA ACORN A	0.00	0.84	0.00	0.84	90.0	0.01
10/14/2016	FLEISCH, ROBERT	COLUMBIA ACORN A	0.00	12.09	0.00	12.09	90.0	0.21
11/15/2016	MEDIA ENTERPRISES	COLUMBIA ACORN A	0.00	0.86	0.00	0.86	90.0	0.01
11/15/2016	FLEISCH, ROBERT	COLUMBIA ACORN A	0.00	12.35	0.00	12.35	90.0	0.21
12/15/2016	MEDIA ENTERPRISES	COLUMBIA ACORN A	0.00	0.85	0.00	0.85	90.0	0.01
12/15/2016	FLEISCH, ROBERT	COLUMBIA ACORN A	0.00	12.26	0.00	12.26	90.0	0.21
02/12/2016	FLEISCH, ROBERT	COLUMBIA ACORN SELECT A	0.00	6.15	0.00	6.15	90.0	0.10
03/14/2016	FLEISCH, ROBERT	COLUMBIA ACORN SELECT A	0.00	5.61	0.00	5.61	90.0	0.10
04/15/2016	FLEISCH, ROBERT	COLUMBIA ACORN SELECT A	0.00	6.45	0.00	6.45	90.0	0.11
05/24/2016	FLEISCH, ROBERT	COLUMBIA ACORN SELECT A	0.00	6.40	0.00	6.40	90.0	0.11
06/14/2016	FLEISCH, ROBERT	COLUMBIA ACORN SELECT A	0.00	6.59	0.00	6.59	90.0	0.11
07/20/2016	FLEISCH, ROBERT	COLUMBIA ACORN SELECT A	0.00	6.44	0.00	6.44	90.0	0.11
08/17/2016	FLEISCH, ROBERT	COLUMBIA ACORN SELECT A	0.00	6.77	0.00	6.77	90.0	0.12
09/16/2016	FLEISCH, ROBERT	COLUMBIA ACORN SELECT A	0.00	6.59	0.00	6.59	90.0	0.11
10/14/2016	FLEISCH, ROBERT	COLUMBIA ACORN SELECT A	0.00	6.22	0.00	6.22	90.0	0.11
11/15/2016	FLEISCH, ROBERT	COLUMBIA ACORN SELECT A	0.00	6.36	0.00	6.36	90.0	0.11
12/15/2016	FLEISCH, ROBERT	COLUMBIA ACORN SELECT A	0.00	6.34	0.00	6.34	90.0	0.11
02/12/2016	MEDIA ENTERPRISES	COLUMBIA ACORN USA FUND CLASS A	0.00	1.96	0.00	1.96	90.0	0.03
03/14/2016	MEDIA ENTERPRISES	COLUMBIA ACORN USA FUND CLASS A	0.00	1.71	0.00	1.71	90.0	0.03
04/15/2016	MEDIA ENTERPRISES	COLUMBIA ACORN USA FUND CLASS A	0.00	1.96	0.00	1.96	90.0	0.03
05/24/2016	MEDIA ENTERPRISES	COLUMBIA ACORN USA FUND CLASS A	0.00	1.98	0.00	1.98	90.0	0.03
06/14/2016	MEDIA ENTERPRISES	COLUMBIA ACORN USA FUND CLASS A	0.00	2.08	0.00	2.08	90.0	0.04
07/20/2016	MEDIA ENTERPRISES	COLUMBIA ACORN USA FUND CLASS A	0.00	2.08	0.00	2.08	90.0	0.04
08/17/2016	MEDIA ENTERPRISES	COLUMBIA ACORN USA FUND CLASS A	0.00	2.22	0.00	2.22	90.0	0.04
09/16/2016	MEDIA ENTERPRISES	COLUMBIA ACORN USA FUND CLASS A	0.00	2.27	0.00	2.27	90.0	0.04
10/14/2016	MEDIA ENTERPRISES	COLUMBIA ACORN USA FUND CLASS A	0.00	2.19	0.00	2.19	90.0	0.04
11/15/2016	MEDIA ENTERPRISES	COLUMBIA ACORN USA FUND CLASS A	0.00	2.22	0.00	2.22	90.0	0.04
12/15/2016	MEDIA ENTERPRISES	COLUMBIA ACORN USA FUND CLASS A	0.00	2.22	0.00	2.22	90.0	0.04
02/12/2016	BOWERS, DORA	COLUMBIA DIVERSIFIED EQUITY INCOME	0.00	0.89	0.00	0.89	90.0	0.02
03/14/2016	BOWERS, DORA	COLUMBIA DIVERSIFIED EQUITY INCOME	0.00	0.82	0.00	0.82	90.0	0.01
04/15/2016	BOWERS, DORA	COLUMBIA DIVERSIFIED EQUITY INCOME	0.00	0.94	0.00	0.94	90.0	0.02
05/24/2016	BOWERS, DORA	COLUMBIA DIVERSIFIED EQUITY INCOME	0.00	0.93	0.00	0.93	90.0	0.02
06/14/2016	BOWERS, DORA	COLUMBIA DIVERSIFIED EQUITY INCOME	0.00	0.97	0.00	0.97	90.0	0.02

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<u> OVERRIDE TRANSACTIONS </u>								
<u>BROKER: MARC, L134 LINSKY #263</u>								
07/20/2016	BOWERS, DORA	COLUMBIA DIVERSIFIED EQUITY INCOME	0.00	0.94	0.00	0.94	90.0	0.02
08/17/2016	BOWERS, DORA	COLUMBIA DIVERSIFIED EQUITY INCOME	0.00	1.00	0.00	1.00	90.0	0.02
09/16/2016	BOWERS, DORA	COLUMBIA DIVERSIFIED EQUITY INCOME	0.00	1.01	0.00	1.01	90.0	0.02
10/14/2016	BOWERS, DORA	COLUMBIA DIVERSIFIED EQUITY INCOME	0.00	0.98	0.00	0.98	90.0	0.02
11/15/2016	BOWERS, DORA	COLUMBIA DIVERSIFIED EQUITY INCOME	0.00	1.01	0.00	1.01	90.0	0.02
12/15/2016	BOWERS, DORA	COLUMBIA DIVERSIFIED EQUITY INCOME	0.00	1.00	0.00	1.00	90.0	0.02
04/15/2016	JACKSON, SHIRLEY	COLUMBIA EQUITY VALUE A	0.00	1.61	0.00	1.61	90.0	0.03
05/24/2016	JACKSON, SHIRLEY	COLUMBIA EQUITY VALUE A	0.00	1.60	0.00	1.60	90.0	0.03
06/14/2016	JACKSON, SHIRLEY	COLUMBIA EQUITY VALUE A	0.00	1.65	0.00	1.65	90.0	0.03
07/20/2016	JACKSON, SHIRLEY	COLUMBIA EQUITY VALUE A	0.00	1.59	0.00	1.59	90.0	0.03
08/17/2016	JACKSON, SHIRLEY	COLUMBIA EQUITY VALUE A	0.00	1.66	0.00	1.66	90.0	0.03
09/16/2016	JACKSON, SHIRLEY	COLUMBIA EQUITY VALUE A	0.00	1.69	0.00	1.69	90.0	0.03
10/14/2016	JACKSON, SHIRLEY	COLUMBIA EQUITY VALUE A	0.00	1.63	0.00	1.63	90.0	0.03
11/15/2016	JACKSON, SHIRLEY	COLUMBIA EQUITY VALUE A	0.00	1.69	0.00	1.69	90.0	0.03
12/15/2016	JACKSON, SHIRLEY	COLUMBIA EQUITY VALUE A	0.00	1.65	0.00	1.65	90.0	0.03
02/12/2016	BOWERS, DORA	COLUMBIA INTERMEDIATE BOND FD A	0.00	0.74	0.00	0.74	90.0	0.01
03/14/2016	BOWERS, DORA	COLUMBIA INTERMEDIATE BOND FD A	0.00	0.69	0.00	0.69	90.0	0.01
04/15/2016	BOWERS, DORA	COLUMBIA INTERMEDIATE BOND FD A	0.00	0.74	0.00	0.74	90.0	0.01
05/24/2016	BOWERS, DORA	COLUMBIA INTERMEDIATE BOND FD A	0.00	0.73	0.00	0.73	90.0	0.01
06/14/2016	BOWERS, DORA	COLUMBIA INTERMEDIATE BOND FD A	0.00	0.76	0.00	0.76	90.0	0.01
07/20/2016	BOWERS, DORA	COLUMBIA INTERMEDIATE BOND FD A	0.00	0.74	0.00	0.74	90.0	0.01
08/17/2016	BOWERS, DORA	COLUMBIA INTERMEDIATE BOND FD A	0.00	0.77	0.00	0.77	90.0	0.01
09/16/2016	BOWERS, DORA	COLUMBIA INTERMEDIATE BOND FD A	0.00	0.77	0.00	0.77	90.0	0.01
10/14/2016	BOWERS, DORA	COLUMBIA INTERMEDIATE BOND FD A	0.00	0.75	0.00	0.75	90.0	0.01
11/15/2016	BOWERS, DORA	COLUMBIA INTERMEDIATE BOND FD A	0.00	0.77	0.00	0.77	90.0	0.01
12/15/2016	BOWERS, DORA	COLUMBIA INTERMEDIATE BOND FD A	0.00	0.73	0.00	0.73	90.0	0.01
02/12/2016	MELVIN, GREG	COLUMBIA MARSICO 21ST CENTURY FUND	0.00	0.72	0.00	0.72	90.0	0.01
03/14/2016	MELVIN, GREG	COLUMBIA MARSICO 21ST CENTURY FUND	0.00	0.63	0.00	0.63	90.0	0.01
04/15/2016	MELVIN, GREG	COLUMBIA MARSICO 21ST CENTURY FUND	0.00	0.71	0.00	0.71	90.0	0.01
05/24/2016	MELVIN, GREG	COLUMBIA MARSICO 21ST CENTURY FUND	0.00	0.71	0.00	0.71	90.0	0.01
06/14/2016	MELVIN, GREG	COLUMBIA MARSICO 21ST CENTURY FUND	0.00	0.73	0.00	0.73	90.0	0.01
07/20/2016	MELVIN, GREG	COLUMBIA MARSICO 21ST CENTURY FUND	0.00	0.71	0.00	0.71	90.0	0.01
08/17/2016	MELVIN, GREG	COLUMBIA MARSICO 21ST CENTURY FUND	0.00	0.75	0.00	0.75	90.0	0.01

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<u> OVERRIDE TRANSACTIONS </u>								
<u>BROKER: MARC, L134 LINSKY #263</u>								
09/16/2016	MELVIN, GREG	COLUMBIA MARSICO 21ST CENTURY FUND	0.00	0.77	0.00	0.77	90.0	0.01
10/14/2016	MELVIN, GREG	COLUMBIA MARSICO 21ST CENTURY FUND	0.00	0.74	0.00	0.74	90.0	0.01
11/15/2016	MELVIN, GREG	COLUMBIA MARSICO 21ST CENTURY FUND	0.00	0.67	0.00	0.67	90.0	0.01
12/15/2016	MELVIN, GREG	COLUMBIA MARSICO FOCUSED EQUITIES F	0.00	0.73	0.00	0.73	90.0	0.01
02/12/2016	MEDIA ENTERPRISES	COLUMBIA MIDCAP VALUE A	0.00	1.84	0.00	1.84	90.0	0.03
03/14/2016	MEDIA ENTERPRISES	COLUMBIA MIDCAP VALUE A	0.00	1.67	0.00	1.67	90.0	0.03
04/15/2016	MEDIA ENTERPRISES	COLUMBIA MIDCAP VALUE A	0.00	1.95	0.00	1.95	90.0	0.03
05/24/2016	MEDIA ENTERPRISES	COLUMBIA MIDCAP VALUE A	0.00	1.95	0.00	1.95	90.0	0.03
06/14/2016	MEDIA ENTERPRISES	COLUMBIA MIDCAP VALUE A	0.00	2.03	0.00	2.03	90.0	0.03
07/20/2016	MEDIA ENTERPRISES	COLUMBIA MIDCAP VALUE A	0.00	1.99	0.00	1.99	90.0	0.03
08/17/2016	MEDIA ENTERPRISES	COLUMBIA MIDCAP VALUE A	0.00	2.10	0.00	2.10	90.0	0.04
09/16/2016	MEDIA ENTERPRISES	COLUMBIA MIDCAP VALUE A	0.00	2.12	0.00	2.12	90.0	0.04
10/14/2016	MEDIA ENTERPRISES	COLUMBIA MIDCAP VALUE A	0.00	2.04	0.00	2.04	90.0	0.03
11/15/2016	MEDIA ENTERPRISES	COLUMBIA MIDCAP VALUE A	0.00	2.09	0.00	2.09	90.0	0.04
12/15/2016	MEDIA ENTERPRISES	COLUMBIA MIDCAP VALUE A	0.00	2.07	0.00	2.07	90.0	0.04
02/12/2016	BOWERS, DORA	COLUMBIA SELECT LARGE CAP GROWTH FU	0.00	1.00	0.00	1.00	90.0	0.02
03/14/2016	BOWERS, DORA	COLUMBIA SELECT LARGE CAP GROWTH FU	0.00	0.84	0.00	0.84	90.0	0.01
04/15/2016	BOWERS, DORA	COLUMBIA SELECT LARGE CAP GROWTH FU	0.00	0.96	0.00	0.96	90.0	0.02
05/24/2016	BOWERS, DORA	COLUMBIA SELECT LARGE CAP GROWTH FU	0.00	0.98	0.00	0.98	90.0	0.02
06/14/2016	BOWERS, DORA	COLUMBIA SELECT LARGE CAP GROWTH FU	0.00	1.02	0.00	1.02	90.0	0.02
07/20/2016	BOWERS, DORA	COLUMBIA SELECT LARGE CAP GROWTH FU	0.00	1.00	0.00	1.00	90.0	0.02
08/17/2016	BOWERS, DORA	COLUMBIA SELECT LARGE CAP GROWTH FU	0.00	1.06	0.00	1.06	90.0	0.02
09/16/2016	BOWERS, DORA	COLUMBIA SELECT LARGE CAP GROWTH FU	0.00	1.10	0.00	1.10	90.0	0.02
10/14/2016	BOWERS, DORA	COLUMBIA SELECT LARGE CAP GROWTH FU	0.00	1.06	0.00	1.06	90.0	0.02
11/15/2016	BOWERS, DORA	COLUMBIA SELECT LARGE CAP GROWTH FU	0.00	1.07	0.00	1.07	90.0	0.02
12/15/2016	BOWERS, DORA	COLUMBIA SELECT LARGE CAP GROWTH FU	0.00	1.00	0.00	1.00	90.0	0.02
02/12/2016	FLEISCH, ROBERT	COLUMBIA SMALL CAP INDEX FUND CLASS	0.00	8.38	0.00	8.38	90.0	0.14
03/14/2016	FLEISCH, ROBERT	COLUMBIA SMALL CAP INDEX FUND CLASS	0.00	7.72	0.00	7.72	90.0	0.13
04/15/2016	FLEISCH, ROBERT	COLUMBIA SMALL CAP INDEX FUND CLASS	0.00	8.97	0.00	8.97	90.0	0.15
05/24/2016	FLEISCH, ROBERT	COLUMBIA SMALL CAP INDEX FUND CLASS	0.00	8.98	0.00	8.98	90.0	0.15
06/14/2016	FLEISCH, ROBERT	COLUMBIA SMALL CAP INDEX FUND CLASS	0.00	9.26	0.00	9.26	90.0	0.16
07/20/2016	FLEISCH, ROBERT	COLUMBIA SMALL CAP INDEX FUND CLASS	0.00	9.20	0.00	9.20	90.0	0.16
08/17/2016	FLEISCH, ROBERT	COLUMBIA SMALL CAP INDEX FUND CLASS	0.00	9.86	0.00	9.86	90.0	0.17

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<u> OVERRIDE TRANSACTIONS </u>								
<u>BROKER: MARC, L134 LINSKY #263</u>								
09/16/2016	FLEISCH, ROBERT	COLUMBIA SMALL CAP INDEX FUND CLASS	0.00	9.74	0.00	9.74	90.0	0.17
10/14/2016	FLEISCH, ROBERT	COLUMBIA SMALL CAP INDEX FUND CLASS	0.00	9.30	0.00	9.30	90.0	0.16
11/15/2016	FLEISCH, ROBERT	COLUMBIA SMALL CAP INDEX FUND CLASS	0.00	9.46	0.00	9.46	90.0	0.16
12/15/2016	FLEISCH, ROBERT	COLUMBIA SMALL CAP INDEX FUND CLASS	0.00	9.64	0.00	9.64	90.0	0.16
02/12/2016	FLEISCH, ROBERT	COLUMBIA STRATEGIC INCOME A	0.00	2.12	0.00	2.12	90.0	0.04
03/14/2016	FLEISCH, ROBERT	COLUMBIA STRATEGIC INCOME A	0.00	1.96	0.00	1.96	90.0	0.03
04/15/2016	FLEISCH, ROBERT	COLUMBIA STRATEGIC INCOME A	0.00	2.18	0.00	2.18	90.0	0.04
05/24/2016	FLEISCH, ROBERT	COLUMBIA STRATEGIC INCOME A	0.00	2.14	0.00	2.14	90.0	0.04
06/14/2016	FLEISCH, ROBERT	COLUMBIA STRATEGIC INCOME A	0.00	2.23	0.00	2.23	90.0	0.04
07/20/2016	FLEISCH, ROBERT	COLUMBIA STRATEGIC INCOME A	0.00	2.17	0.00	2.17	90.0	0.04
08/17/2016	FLEISCH, ROBERT	COLUMBIA STRATEGIC INCOME A	0.00	2.28	0.00	2.28	90.0	0.04
09/16/2016	FLEISCH, ROBERT	COLUMBIA STRATEGIC INCOME A	0.00	2.30	0.00	2.30	90.0	0.04
10/14/2016	FLEISCH, ROBERT	COLUMBIA STRATEGIC INCOME A	0.00	2.24	0.00	2.24	90.0	0.04
11/15/2016	FLEISCH, ROBERT	COLUMBIA STRATEGIC INCOME A	0.00	2.32	0.00	2.32	90.0	0.04
12/15/2016	FLEISCH, ROBERT	COLUMBIA STRATEGIC INCOME A	0.00	2.23	0.00	2.23	90.0	0.04
02/16/2016	CENTANNI, BETTY	DAVIS NEW YORK VENTURE A	0.00	0.30	0.00	0.30	90.0	0.01
02/16/2016	CENTANNI, RICHARD	DAVIS NEW YORK VENTURE A	0.00	0.54	0.00	0.54	90.0	0.01
03/14/2016	CENTANNI, RICHARD	DAVIS NEW YORK VENTURE A	0.00	0.49	0.00	0.49	90.0	0.01
04/20/2016	CENTANNI, BETTY	DAVIS NEW YORK VENTURE A	0.00	0.30	0.00	0.30	90.0	0.01
04/20/2016	CENTANNI, RICHARD	DAVIS NEW YORK VENTURE A	0.00	0.56	0.00	0.56	90.0	0.01
05/16/2016	CENTANNI, BETTY	DAVIS NEW YORK VENTURE A	0.00	0.31	0.00	0.31	90.0	0.01
05/16/2016	CENTANNI, RICHARD	DAVIS NEW YORK VENTURE A	0.00	0.56	0.00	0.56	90.0	0.01
06/16/2016	CENTANNI, BETTY	DAVIS NEW YORK VENTURE A	0.00	0.32	0.00	0.32	90.0	0.01
06/16/2016	CENTANNI, RICHARD	DAVIS NEW YORK VENTURE A	0.00	0.59	0.00	0.59	90.0	0.01
07/15/2016	CENTANNI, BETTY	DAVIS NEW YORK VENTURE A	0.00	0.31	0.00	0.31	90.0	0.01
07/15/2016	CENTANNI, RICHARD	DAVIS NEW YORK VENTURE A	0.00	0.57	0.00	0.57	90.0	0.01
08/15/2016	CENTANNI, BETTY	DAVIS NEW YORK VENTURE A	0.00	0.33	0.00	0.33	90.0	0.01
08/15/2016	CENTANNI, RICHARD	DAVIS NEW YORK VENTURE A	0.00	0.60	0.00	0.60	90.0	0.01
09/16/2016	CENTANNI, BETTY	DAVIS NEW YORK VENTURE A	0.00	0.34	0.00	0.34	90.0	0.01
09/16/2016	CENTANNI, RICHARD	DAVIS NEW YORK VENTURE A	0.00	0.62	0.00	0.62	90.0	0.01
10/17/2016	CENTANNI, BETTY	DAVIS NEW YORK VENTURE A	0.00	0.33	0.00	0.33	90.0	0.01
10/17/2016	CENTANNI, RICHARD	DAVIS NEW YORK VENTURE A	0.00	0.61	0.00	0.61	90.0	0.01
11/11/2016	CENTANNI, BETTY	DAVIS NEW YORK VENTURE A	0.00	0.34	0.00	0.34	90.0	0.01

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u> OVERRIDE TRANSACTIONS </u>								
<u>BROKER: MARC, L134 LINSKY #263</u>								
11/11/2016	CENTANNI, RICHARD	DAVIS NEW YORK VENTURE A	0.00	0.63	0.00	0.63	90.0	0.01
12/16/2016	CENTANNI, BETTY	DAVIS NEW YORK VENTURE A	0.00	0.34	0.00	0.34	90.0	0.01
12/16/2016	CENTANNI, RICHARD	DAVIS NEW YORK VENTURE A	0.00	0.62	0.00	0.62	90.0	0.01
04/26/2016	BOWERS, DORA	DEUTSCHE GLOBAL RE	0.00	0.82	0.00	0.82	90.0	0.01
07/25/2016	BOWERS, DORA	DEUTSCHE GLOBAL RE	0.00	0.88	0.00	0.88	90.0	0.01
10/27/2016	BOWERS, DORA	DEUTSCHE GLOBAL RE	0.00	0.94	0.00	0.94	90.0	0.02
02/10/2016	GUERRIERI, CHARLES	DREYFUS CORE EQUITY FUND CLASS A	0.00	2.49	0.00	2.49	90.0	0.04
03/10/2016	GUERRIERI, CHARLES	DREYFUS CORE EQUITY FUND CLASS A	0.00	2.32	0.00	2.32	90.0	0.04
04/15/2016	GUERRIERI, CHARLES	DREYFUS CORE EQUITY FUND CLASS A	0.00	2.62	0.00	2.62	90.0	0.04
05/11/2016	GUERRIERI, CHARLES	DREYFUS CORE EQUITY FUND CLASS A	0.00	2.61	0.00	2.61	90.0	0.04
06/10/2016	GUERRIERI, CHARLES	DREYFUS CORE EQUITY FUND CLASS A	0.00	2.68	0.00	2.68	90.0	0.05
07/13/2016	GUERRIERI, CHARLES	DREYFUS CORE EQUITY FUND CLASS A	0.00	2.60	0.00	2.60	90.0	0.04
08/09/2016	GUERRIERI, CHARLES	DREYFUS CORE EQUITY FUND CLASS A	0.00	2.76	0.00	2.76	90.0	0.05
09/12/2016	GUERRIERI, CHARLES	DREYFUS CORE EQUITY FUND CLASS A	0.00	2.79	0.00	2.79	90.0	0.05
10/11/2016	GUERRIERI, CHARLES	DREYFUS CORE EQUITY FUND CLASS A	0.00	2.67	0.00	2.67	90.0	0.05
11/15/2016	GUERRIERI, CHARLES	DREYFUS CORE EQUITY FUND CLASS A	0.00	2.74	0.00	2.74	90.0	0.05
12/13/2016	GUERRIERI, CHARLES	DREYFUS CORE EQUITY FUND CLASS A	0.00	2.63	0.00	2.63	90.0	0.04
02/10/2016	GUERRIERI, BERNICE	DREYFUS INTERMEDIATE TERM INCOME FU	0.00	1.67	0.00	1.67	90.0	0.03
03/10/2016	GUERRIERI, BERNICE	DREYFUS INTERMEDIATE TERM INCOME FU	0.00	1.56	0.00	1.56	90.0	0.03
04/15/2016	GUERRIERI, BERNICE	DREYFUS INTERMEDIATE TERM INCOME FU	0.00	0.76	0.00	0.76	90.0	0.01
02/10/2016	COHEN, HARRIET	DREYFUS NEW JERSEY MUNICIPAL BOND F	0.00	62.01	0.00	62.01	90.0	1.05
03/10/2016	COHEN, HARRIET	DREYFUS NEW JERSEY MUNICIPAL BOND F	0.00	58.35	0.00	58.35	90.0	0.99
04/15/2016	COHEN, HARRIET	DREYFUS NEW JERSEY MUNICIPAL BOND F	0.00	62.22	0.00	62.22	90.0	1.06
05/11/2016	COHEN, HARRIET	DREYFUS NEW JERSEY MUNICIPAL BOND F	0.00	60.99	0.00	60.99	90.0	1.04
06/10/2016	COHEN, HARRIET	DREYFUS NEW JERSEY MUNICIPAL BOND F	0.00	63.47	0.00	63.47	90.0	1.08
07/13/2016	COHEN, HARRIET	DREYFUS NEW JERSEY MUNICIPAL BOND F	0.00	61.93	0.00	61.93	90.0	1.05
08/09/2016	COHEN, HARRIET	DREYFUS NEW JERSEY MUNICIPAL BOND F	0.00	64.32	0.00	64.32	90.0	1.09
09/12/2016	COHEN, HARRIET	DREYFUS NEW JERSEY MUNICIPAL BOND F	0.00	64.37	0.00	64.37	90.0	1.09
10/11/2016	COHEN, HARRIET	DREYFUS NEW JERSEY MUNICIPAL BOND F	0.00	62.01	0.00	62.01	90.0	1.05
11/15/2016	COHEN, HARRIET	DREYFUS NEW JERSEY MUNICIPAL BOND F	0.00	63.45	0.00	63.45	90.0	1.08
12/13/2016	COHEN, HARRIET	DREYFUS NEW JERSEY MUNICIPAL BOND F	0.00	59.95	0.00	59.95	90.0	1.02
04/26/2016	TRICHON, DOROTHY	DWS STRATEGIC GOVERNMENT SECURITIES	0.00	4.94	0.00	4.94	90.0	0.08
07/25/2016	TRICHON, DOROTHY	DWS STRATEGIC GOVERNMENT SECURITIES	0.00	4.94	0.00	4.94	90.0	0.08

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<u> OVERRIDE TRANSACTIONS </u>								
<u>BROKER: MARC, L134 LINSKY #263</u>								
10/27/2016	TRICHON, DOROTHY	DWS STRATEGIC GOVERNMENT SECURITIES	0.00	4.40	0.00	4.40	90.0	0.07
02/10/2016	TRICHON, DOROTHY	EATON VANCE GOVT OBLIGATIONS A	0.00	1.66	0.00	1.66	90.0	0.03
03/16/2016	TRICHON, DOROTHY	EATON VANCE GOVT OBLIGATIONS A	0.00	1.56	0.00	1.56	90.0	0.03
04/25/2016	TRICHON, DOROTHY	EATON VANCE GOVT OBLIGATIONS A	0.00	1.66	0.00	1.66	90.0	0.03
05/13/2016	TRICHON, DOROTHY	EATON VANCE GOVT OBLIGATIONS A	0.00	1.60	0.00	1.60	90.0	0.03
06/15/2016	TRICHON, DOROTHY	EATON VANCE GOVT OBLIGATIONS A	0.00	1.65	0.00	1.65	90.0	0.03
07/20/2016	TRICHON, DOROTHY	EATON VANCE GOVT OBLIGATIONS A	0.00	1.60	0.00	1.60	90.0	0.03
08/12/2016	TRICHON, DOROTHY	EATON VANCE GOVT OBLIGATIONS A	0.00	1.64	0.00	1.64	90.0	0.03
09/13/2016	TRICHON, DOROTHY	EATON VANCE GOVT OBLIGATIONS A	0.00	1.64	0.00	1.64	90.0	0.03
10/12/2016	TRICHON, DOROTHY	EATON VANCE GOVT OBLIGATIONS A	0.00	1.51	0.00	1.51	90.0	0.03
11/15/2016	TRICHON, DOROTHY	EATON VANCE GOVT OBLIGATIONS A	0.00	1.42	0.00	1.42	90.0	0.02
12/21/2016	TRICHON, DOROTHY	EATON VANCE GOVT OBLIGATIONS A	0.00	1.37	0.00	1.37	90.0	0.02
02/10/2016	BOWERS, DORA	EATON VANCE LARGE-CAP VALUE FUND CL	0.00	0.63	0.00	0.63	90.0	0.01
03/16/2016	BOWERS, DORA	EATON VANCE LARGE-CAP VALUE FUND CL	0.00	0.58	0.00	0.58	90.0	0.01
04/25/2016	BOWERS, DORA	EATON VANCE LARGE-CAP VALUE FUND CL	0.00	0.66	0.00	0.66	90.0	0.01
05/13/2016	BOWERS, DORA	EATON VANCE LARGE-CAP VALUE FUND CL	0.00	0.65	0.00	0.65	90.0	0.01
06/15/2016	BOWERS, DORA	EATON VANCE LARGE-CAP VALUE FUND CL	0.00	0.67	0.00	0.67	90.0	0.01
07/20/2016	BOWERS, DORA	EATON VANCE LARGE-CAP VALUE FUND CL	0.00	0.65	0.00	0.65	90.0	0.01
08/12/2016	BOWERS, DORA	EATON VANCE LARGE-CAP VALUE FUND CL	0.00	0.69	0.00	0.69	90.0	0.01
09/13/2016	BOWERS, DORA	EATON VANCE LARGE-CAP VALUE FUND CL	0.00	0.69	0.00	0.69	90.0	0.01
10/12/2016	BOWERS, DORA	EATON VANCE LARGE-CAP VALUE FUND CL	0.00	0.66	0.00	0.66	90.0	0.01
11/15/2016	BOWERS, DORA	EATON VANCE LARGE-CAP VALUE FUND CL	0.00	0.68	0.00	0.68	90.0	0.01
12/21/2016	BOWERS, DORA	EATON VANCE LARGE-CAP VALUE FUND CL	0.00	0.66	0.00	0.66	90.0	0.01
02/10/2016	TRICHON, DOROTHY	EATON VANCE NATIONAL MUNICIPAL INCO	0.00	2.34	0.00	2.34	90.0	0.04
03/16/2016	TRICHON, DOROTHY	EATON VANCE NATIONAL MUNICIPAL INCO	0.00	2.19	0.00	2.19	90.0	0.04
04/25/2016	TRICHON, DOROTHY	EATON VANCE NATIONAL MUNICIPAL INCO	0.00	2.32	0.00	2.32	90.0	0.04
05/13/2016	TRICHON, DOROTHY	EATON VANCE NATIONAL MUNICIPAL INCO	0.00	2.28	0.00	2.28	90.0	0.04
06/15/2016	TRICHON, DOROTHY	EATON VANCE NATIONAL MUNICIPAL INCO	0.00	2.37	0.00	2.37	90.0	0.04
07/20/2016	TRICHON, DOROTHY	EATON VANCE NATIONAL MUNICIPAL INCO	0.00	2.31	0.00	2.31	90.0	0.04
08/12/2016	TRICHON, DOROTHY	EATON VANCE NATIONAL MUNICIPAL INCO	0.00	2.40	0.00	2.40	90.0	0.04
09/13/2016	TRICHON, DOROTHY	EATON VANCE NATIONAL MUNICIPAL INCO	0.00	2.39	0.00	2.39	90.0	0.04
10/12/2016	TRICHON, DOROTHY	EATON VANCE NATIONAL MUNICIPAL INCO	0.00	2.31	0.00	2.31	90.0	0.04
11/15/2016	TRICHON, DOROTHY	EATON VANCE NATIONAL MUNICIPAL INCO	0.00	2.36	0.00	2.36	90.0	0.04

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<u> OVERRIDE TRANSACTIONS </u>								
<u> BROKER: MARC, L134 LINSKY #263 </u>								
12/21/2016	TRICHON, DOROTHY	EATON VANCE NATIONAL MUNICIPAL INCO	0.00	2.24	0.00	2.24	90.0	0.04
02/10/2016	TRICHON, DOROTHY	EATON VANCE PENNSYLVANIA MUNI INCOM	0.00	1.82	0.00	1.82	90.0	0.03
03/16/2016	TRICHON, DOROTHY	EATON VANCE PENNSYLVANIA MUNI INCOM	0.00	1.71	0.00	1.71	90.0	0.03
04/25/2016	TRICHON, DOROTHY	EATON VANCE PENNSYLVANIA MUNI INCOM	0.00	1.81	0.00	1.81	90.0	0.03
04/25/2016	JACKSON, SHIRLEY	EATON VANCE PENNSYLVANIA MUNI INCOM	0.00	3.03	0.00	3.03	90.0	0.05
05/13/2016	TRICHON, DOROTHY	EATON VANCE PENNSYLVANIA MUNI INCOM	0.00	1.77	0.00	1.77	90.0	0.03
05/13/2016	JACKSON, SHIRLEY	EATON VANCE PENNSYLVANIA MUNI INCOM	0.00	2.96	0.00	2.96	90.0	0.05
06/15/2016	TRICHON, DOROTHY	EATON VANCE PENNSYLVANIA MUNI INCOM	0.00	1.83	0.00	1.83	90.0	0.03
06/15/2016	JACKSON, SHIRLEY	EATON VANCE PENNSYLVANIA MUNI INCOM	0.00	3.07	0.00	3.07	90.0	0.05
07/20/2016	TRICHON, DOROTHY	EATON VANCE PENNSYLVANIA MUNI INCOM	0.00	1.78	0.00	1.78	90.0	0.03
07/20/2016	JACKSON, SHIRLEY	EATON VANCE PENNSYLVANIA MUNI INCOM	0.00	3.00	0.00	3.00	90.0	0.05
08/12/2016	TRICHON, DOROTHY	EATON VANCE PENNSYLVANIA MUNI INCOM	0.00	1.84	0.00	1.84	90.0	0.03
08/12/2016	JACKSON, SHIRLEY	EATON VANCE PENNSYLVANIA MUNI INCOM	0.00	3.12	0.00	3.12	90.0	0.05
09/13/2016	TRICHON, DOROTHY	EATON VANCE PENNSYLVANIA MUNI INCOM	0.00	1.84	0.00	1.84	90.0	0.03
09/13/2016	JACKSON, SHIRLEY	EATON VANCE PENNSYLVANIA MUNI INCOM	0.00	3.12	0.00	3.12	90.0	0.05
10/12/2016	TRICHON, DOROTHY	EATON VANCE PENNSYLVANIA MUNI INCOM	0.00	1.77	0.00	1.77	90.0	0.03
10/12/2016	JACKSON, SHIRLEY	EATON VANCE PENNSYLVANIA MUNI INCOM	0.00	3.01	0.00	3.01	90.0	0.05
11/15/2016	TRICHON, DOROTHY	EATON VANCE PENNSYLVANIA MUNI INCOM	0.00	1.81	0.00	1.81	90.0	0.03
11/15/2016	JACKSON, SHIRLEY	EATON VANCE PENNSYLVANIA MUNI INCOM	0.00	3.09	0.00	3.09	90.0	0.05
12/21/2016	TRICHON, DOROTHY	EATON VANCE PENNSYLVANIA MUNI INCOM	0.00	1.72	0.00	1.72	90.0	0.03
12/21/2016	JACKSON, SHIRLEY	EATON VANCE PENNSYLVANIA MUNI INCOM	0.00	2.94	0.00	2.94	90.0	0.05
12/16/2016	HANKINS, ROBERT	FEDERATED HIGH INCOME BOND FUND INC	0.00	0.95	0.00	0.95	90.0	0.02
02/10/2016	BOWERS, DORA	FEDERATED TOTAL RETURN BOND A	0.00	0.67	0.00	0.67	90.0	0.01
03/15/2016	BOWERS, DORA	FEDERATED TOTAL RETURN BOND A	0.00	0.62	0.00	0.62	90.0	0.01
04/20/2016	BOWERS, DORA	FEDERATED TOTAL RETURN BOND A	0.00	0.67	0.00	0.67	90.0	0.01
05/16/2016	BOWERS, DORA	FEDERATED TOTAL RETURN BOND A	0.00	0.66	0.00	0.66	90.0	0.01
06/15/2016	BOWERS, DORA	FEDERATED TOTAL RETURN BOND A	0.00	0.68	0.00	0.68	90.0	0.01
07/19/2016	BOWERS, DORA	FEDERATED TOTAL RETURN BOND A	0.00	0.67	0.00	0.67	90.0	0.01
08/12/2016	BOWERS, DORA	FEDERATED TOTAL RETURN BOND A	0.00	0.70	0.00	0.70	90.0	0.01
09/16/2016	BOWERS, DORA	FEDERATED TOTAL RETURN BOND A	0.00	0.70	0.00	0.70	90.0	0.01
10/21/2016	BOWERS, DORA	FEDERATED TOTAL RETURN BOND A	0.00	0.67	0.00	0.67	90.0	0.01
11/21/2016	BOWERS, DORA	FEDERATED TOTAL RETURN BOND A	0.00	0.69	0.00	0.69	90.0	0.01
12/16/2016	BOWERS, DORA	FEDERATED TOTAL RETURN BOND A	0.00	0.66	0.00	0.66	90.0	0.01

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<u> OVERRIDE TRANSACTIONS </u>								
<u> BROKER: MARC, L134 LINSKY #263 </u>								
02/12/2016	FLEISCH, ROBERT	FIDELITY ADV FLOATING RATE HIGH INC	0.00	7.13	0.00	7.13	90.0	0.12
03/17/2016	FLEISCH, ROBERT	FIDELITY ADV FLOATING RATE HIGH INC	0.00	6.61	0.00	6.61	90.0	0.11
04/19/2016	FLEISCH, ROBERT	FIDELITY ADV FLOATING RATE HIGH INC	0.00	7.21	0.00	7.21	90.0	0.12
05/24/2016	FLEISCH, ROBERT	FIDELITY ADV FLOATING RATE HIGH INC	0.00	7.12	0.00	7.12	90.0	0.12
06/15/2016	FLEISCH, ROBERT	FIDELITY ADV FLOATING RATE HIGH INC	0.00	7.46	0.00	7.46	90.0	0.13
07/19/2016	FLEISCH, ROBERT	FIDELITY ADV FLOATING RATE HIGH INC	0.00	7.25	0.00	7.25	90.0	0.12
08/16/2016	FLEISCH, ROBERT	FIDELITY ADV FLOATING RATE HIGH INC	0.00	7.55	0.00	7.55	90.0	0.13
09/19/2016	FLEISCH, ROBERT	FIDELITY ADV FLOATING RATE HIGH INC	0.00	7.48	0.00	7.48	90.0	0.13
10/19/2016	FLEISCH, ROBERT	FIDELITY ADV FLOATING RATE HIGH INC	0.00	7.24	0.00	7.24	90.0	0.12
11/18/2016	FLEISCH, ROBERT	FIDELITY ADV FLOATING RATE HIGH INC	0.00	7.54	0.00	7.54	90.0	0.13
12/16/2016	FLEISCH, ROBERT	FIDELITY ADV FLOATING RATE HIGH INC	0.00	7.30	0.00	7.30	90.0	0.12
02/12/2016	FLEISCH, ROBERT	FIDELITY ADV STRATEGIC INCOME A	0.00	7.84	0.00	7.84	90.0	0.13
03/17/2016	FLEISCH, ROBERT	FIDELITY ADV STRATEGIC INCOME A	0.00	7.32	0.00	7.32	90.0	0.12
04/19/2016	FLEISCH, ROBERT	FIDELITY ADV STRATEGIC INCOME A	0.00	8.06	0.00	8.06	90.0	0.14
05/24/2016	FLEISCH, ROBERT	FIDELITY ADV STRATEGIC INCOME A	0.00	7.95	0.00	7.95	90.0	0.14
06/15/2016	FLEISCH, ROBERT	FIDELITY ADV STRATEGIC INCOME A	0.00	8.27	0.00	8.27	90.0	0.14
07/19/2016	FLEISCH, ROBERT	FIDELITY ADV STRATEGIC INCOME A	0.00	8.09	0.00	8.09	90.0	0.14
08/16/2016	FLEISCH, ROBERT	FIDELITY ADV STRATEGIC INCOME A	0.00	8.51	0.00	8.51	90.0	0.14
09/19/2016	FLEISCH, ROBERT	FIDELITY ADV STRATEGIC INCOME A	0.00	8.48	0.00	8.48	90.0	0.14
10/19/2016	FLEISCH, ROBERT	FIDELITY ADV STRATEGIC INCOME A	0.00	8.17	0.00	8.17	90.0	0.14
11/18/2016	FLEISCH, ROBERT	FIDELITY ADV STRATEGIC INCOME A	0.00	8.46	0.00	8.46	90.0	0.14
12/16/2016	FLEISCH, ROBERT	FIDELITY ADV STRATEGIC INCOME A	0.00	8.05	0.00	8.05	90.0	0.14
02/12/2016	CENTANNI, BETTY	FIDELITY ADV STRATEGIC INCOME C	0.00	1.39	0.00	1.39	90.0	0.02
02/12/2016	CENTANNI, RICHARD	FIDELITY ADV STRATEGIC INCOME C	0.00	5.29	0.00	5.29	90.0	0.09
03/17/2016	CENTANNI, BETTY	FIDELITY ADV STRATEGIC INCOME C	0.00	1.30	0.00	1.30	90.0	0.02
03/17/2016	CENTANNI, RICHARD	FIDELITY ADV STRATEGIC INCOME C	0.00	4.94	0.00	4.94	90.0	0.08
04/19/2016	CENTANNI, BETTY	FIDELITY ADV STRATEGIC INCOME C	0.00	1.43	0.00	1.43	90.0	0.02
04/19/2016	CENTANNI, RICHARD	FIDELITY ADV STRATEGIC INCOME C	0.00	5.44	0.00	5.44	90.0	0.09
05/24/2016	CENTANNI, BETTY	FIDELITY ADV STRATEGIC INCOME C	0.00	1.40	0.00	1.40	90.0	0.02
05/24/2016	CENTANNI, RICHARD	FIDELITY ADV STRATEGIC INCOME C	0.00	5.35	0.00	5.35	90.0	0.09
06/15/2016	CENTANNI, BETTY	FIDELITY ADV STRATEGIC INCOME C	0.00	1.46	0.00	1.46	90.0	0.02
06/15/2016	CENTANNI, RICHARD	FIDELITY ADV STRATEGIC INCOME C	0.00	5.57	0.00	5.57	90.0	0.09
07/19/2016	CENTANNI, BETTY	FIDELITY ADV STRATEGIC INCOME C	0.00	1.42	0.00	1.42	90.0	0.02

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u> OVERRIDE TRANSACTIONS </u>								
<u>BROKER: MARC, L134 LINSKY #263</u>								
07/19/2016	CENTANNI, RICHARD	FIDELITY ADV STRATEGIC INCOME C	0.00	5.44	0.00	5.44	90.0	0.09
08/16/2016	CENTANNI, BETTY	FIDELITY ADV STRATEGIC INCOME C	0.00	1.49	0.00	1.49	90.0	0.03
08/16/2016	CENTANNI, RICHARD	FIDELITY ADV STRATEGIC INCOME C	0.00	5.72	0.00	5.72	90.0	0.10
09/19/2016	CENTANNI, BETTY	FIDELITY ADV STRATEGIC INCOME C	0.00	1.51	0.00	1.51	90.0	0.03
09/19/2016	CENTANNI, RICHARD	FIDELITY ADV STRATEGIC INCOME C	0.00	5.80	0.00	5.80	90.0	0.10
10/19/2016	CENTANNI, BETTY	FIDELITY ADV STRATEGIC INCOME C	0.00	1.46	0.00	1.46	90.0	0.02
10/19/2016	CENTANNI, RICHARD	FIDELITY ADV STRATEGIC INCOME C	0.00	5.63	0.00	5.63	90.0	0.10
11/18/2016	CENTANNI, BETTY	FIDELITY ADV STRATEGIC INCOME C	0.00	1.51	0.00	1.51	90.0	0.03
11/18/2016	CENTANNI, RICHARD	FIDELITY ADV STRATEGIC INCOME C	0.00	5.82	0.00	5.82	90.0	0.10
12/16/2016	CENTANNI, BETTY	FIDELITY ADV STRATEGIC INCOME C	0.00	1.43	0.00	1.43	90.0	0.02
12/16/2016	CENTANNI, RICHARD	FIDELITY ADV STRATEGIC INCOME C	0.00	5.54	0.00	5.54	90.0	0.09
02/12/2016	BOWERS, DORA	FIDELITY ADVISOR TOTAL BOND FUND CL	0.00	0.49	0.00	0.49	90.0	0.01
03/17/2016	BOWERS, DORA	FIDELITY ADVISOR TOTAL BOND FUND CL	0.00	0.46	0.00	0.46	90.0	0.01
04/19/2016	BOWERS, DORA	FIDELITY ADVISOR TOTAL BOND FUND CL	0.00	0.50	0.00	0.50	90.0	0.01
05/24/2016	BOWERS, DORA	FIDELITY ADVISOR TOTAL BOND FUND CL	0.00	0.49	0.00	0.49	90.0	0.01
06/15/2016	BOWERS, DORA	FIDELITY ADVISOR TOTAL BOND FUND CL	0.00	0.51	0.00	0.51	90.0	0.01
07/19/2016	BOWERS, DORA	FIDELITY ADVISOR TOTAL BOND FUND CL	0.00	0.49	0.00	0.49	90.0	0.01
08/16/2016	BOWERS, DORA	FIDELITY ADVISOR TOTAL BOND FUND CL	0.00	0.52	0.00	0.52	90.0	0.01
09/19/2016	BOWERS, DORA	FIDELITY ADVISOR TOTAL BOND FUND CL	0.00	0.52	0.00	0.52	90.0	0.01
10/19/2016	BOWERS, DORA	FIDELITY ADVISOR TOTAL BOND FUND CL	0.00	0.50	0.00	0.50	90.0	0.01
11/18/2016	BOWERS, DORA	FIDELITY ADVISOR TOTAL BOND FUND CL	0.00	0.52	0.00	0.52	90.0	0.01
12/16/2016	BOWERS, DORA	FIDELITY ADVISOR TOTAL BOND FUND CL	0.00	0.49	0.00	0.49	90.0	0.01
02/12/2016	BEYERLE, PATRICIA	FIDELITY MIDCAP II T	0.00	2.82	0.00	2.82	90.0	0.05
03/17/2016	BEYERLE, PATRICIA	FIDELITY MIDCAP II T	0.00	2.57	0.00	2.57	90.0	0.04
04/19/2016	BEYERLE, PATRICIA	FIDELITY MIDCAP II T	0.00	2.97	0.00	2.97	90.0	0.05
05/24/2016	BEYERLE, PATRICIA	FIDELITY MIDCAP II T	0.00	2.97	0.00	2.97	90.0	0.05
06/15/2016	BEYERLE, PATRICIA	FIDELITY MIDCAP II T	0.00	3.07	0.00	3.07	90.0	0.05
07/19/2016	BEYERLE, PATRICIA	FIDELITY MIDCAP II T	0.00	3.00	0.00	3.00	90.0	0.05
08/16/2016	BEYERLE, PATRICIA	FIDELITY MIDCAP II T	0.00	3.17	0.00	3.17	90.0	0.05
09/19/2016	BEYERLE, PATRICIA	FIDELITY MIDCAP II T	0.00	3.23	0.00	3.23	90.0	0.05
10/19/2016	BEYERLE, PATRICIA	FIDELITY MIDCAP II T	0.00	3.11	0.00	3.11	90.0	0.05
11/18/2016	BEYERLE, PATRICIA	FIDELITY MIDCAP II T	0.00	2.83	0.00	2.83	90.0	0.05
12/16/2016	BEYERLE, PATRICIA	FIDELITY MIDCAP II T	0.00	2.36	0.00	2.36	90.0	0.04

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u> OVERRIDE TRANSACTIONS </u>								
<u> BROKER: MARC, L134 LINSKY #263 </u>								
02/16/2016	FLEISCH, ROBERT	FRANKLIN DYNATECH A	0.00	10.75	0.00	10.75	90.0	0.18
03/16/2016	FLEISCH, ROBERT	FRANKLIN DYNATECH A	0.00	9.39	0.00	9.39	90.0	0.16
04/15/2016	FLEISCH, ROBERT	FRANKLIN DYNATECH A	0.00	10.65	0.00	10.65	90.0	0.18
05/13/2016	FLEISCH, ROBERT	FRANKLIN DYNATECH A	0.00	10.70	0.00	10.70	90.0	0.18
06/14/2016	FLEISCH, ROBERT	FRANKLIN DYNATECH A	0.00	11.02	0.00	11.02	90.0	0.19
07/14/2016	FLEISCH, ROBERT	FRANKLIN DYNATECH A	0.00	10.84	0.00	10.84	90.0	0.18
08/15/2016	FLEISCH, ROBERT	FRANKLIN DYNATECH A	0.00	11.60	0.00	11.60	90.0	0.20
09/14/2016	FLEISCH, ROBERT	FRANKLIN DYNATECH A	0.00	11.51	0.00	11.51	90.0	0.20
10/18/2016	FLEISCH, ROBERT	FRANKLIN DYNATECH A	0.00	10.95	0.00	10.95	90.0	0.19
11/15/2016	FLEISCH, ROBERT	FRANKLIN DYNATECH A	0.00	11.32	0.00	11.32	90.0	0.19
12/16/2016	FLEISCH, ROBERT	FRANKLIN DYNATECH A	0.00	10.70	0.00	10.70	90.0	0.18
02/16/2016	FLEISCH, ROBERT	FRANKLIN GOLD & PRECIOUS METALS A	0.00	2.02	0.00	2.02	90.0	0.03
03/16/2016	FLEISCH, ROBERT	FRANKLIN GOLD & PRECIOUS METALS A	0.00	2.32	0.00	2.32	90.0	0.04
04/15/2016	FLEISCH, ROBERT	FRANKLIN GOLD & PRECIOUS METALS A	0.00	2.93	0.00	2.93	90.0	0.05
05/13/2016	FLEISCH, ROBERT	FRANKLIN GOLD & PRECIOUS METALS A	0.00	3.17	0.00	3.17	90.0	0.05
06/14/2016	FLEISCH, ROBERT	FRANKLIN GOLD & PRECIOUS METALS A	0.00	3.53	0.00	3.53	90.0	0.06
07/14/2016	FLEISCH, ROBERT	FRANKLIN GOLD & PRECIOUS METALS A	0.00	3.65	0.00	3.65	90.0	0.06
08/15/2016	FLEISCH, ROBERT	FRANKLIN GOLD & PRECIOUS METALS A	0.00	4.34	0.00	4.34	90.0	0.07
09/14/2016	FLEISCH, ROBERT	FRANKLIN GOLD & PRECIOUS METALS A	0.00	4.40	0.00	4.40	90.0	0.07
10/18/2016	FLEISCH, ROBERT	FRANKLIN GOLD & PRECIOUS METALS A	0.00	3.97	0.00	3.97	90.0	0.07
11/15/2016	FLEISCH, ROBERT	FRANKLIN GOLD & PRECIOUS METALS A	0.00	3.74	0.00	3.74	90.0	0.06
12/16/2016	FLEISCH, ROBERT	FRANKLIN GOLD & PRECIOUS METALS A	0.00	3.32	0.00	3.32	90.0	0.06
02/16/2016	HASTINGS TURST, OSCAR	FRANKLIN INCOME A	0.00	0.99	0.00	0.99	90.0	0.02
02/16/2016	FLEISCHMAN, RITA	FRANKLIN INCOME A	0.00	4.62	0.00	4.62	90.0	0.08
02/16/2016	COBB, DOROTHY	FRANKLIN INCOME A	0.00	0.68	0.00	0.68	90.0	0.01
03/16/2016	HASTINGS TURST, OSCAR	FRANKLIN INCOME A	0.00	0.91	0.00	0.91	90.0	0.02
03/16/2016	FLEISCHMAN, RITA	FRANKLIN INCOME A	0.00	4.26	0.00	4.26	90.0	0.07
03/16/2016	COBB, DOROTHY	FRANKLIN INCOME A	0.00	0.63	0.00	0.63	90.0	0.01
04/15/2016	HASTINGS TURST, OSCAR	FRANKLIN INCOME A	0.00	1.03	0.00	1.03	90.0	0.02
04/15/2016	FLEISCHMAN, RITA	FRANKLIN INCOME A	0.00	4.82	0.00	4.82	90.0	0.08
04/15/2016	COBB, DOROTHY	FRANKLIN INCOME A	0.00	0.71	0.00	0.71	90.0	0.01
05/13/2016	HASTINGS TURST, OSCAR	FRANKLIN INCOME A	0.00	1.02	0.00	1.02	90.0	0.02
05/13/2016	FLEISCHMAN, RITA	FRANKLIN INCOME A	0.00	4.76	0.00	4.76	90.0	0.08

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<u> OVERRIDE TRANSACTIONS </u>								
<u> BROKER: MARC, L134 LINSKY #263 </u>								
05/13/2016	COBB, DOROTHY	FRANKLIN INCOME A	0.00	0.70	0.00	0.70	90.0	0.01
06/14/2016	HASTINGS TURST, OSCAR	FRANKLIN INCOME A	0.00	1.06	0.00	1.06	90.0	0.02
06/14/2016	FLEISCHMAN, RITA	FRANKLIN INCOME A	0.00	4.93	0.00	4.93	90.0	0.08
06/14/2016	COBB, DOROTHY	FRANKLIN INCOME A	0.00	0.73	0.00	0.73	90.0	0.01
07/14/2016	HASTINGS TURST, OSCAR	FRANKLIN INCOME A	0.00	1.03	0.00	1.03	90.0	0.02
07/14/2016	FLEISCHMAN, RITA	FRANKLIN INCOME A	0.00	4.81	0.00	4.81	90.0	0.08
07/14/2016	COBB, DOROTHY	FRANKLIN INCOME A	0.00	0.71	0.00	0.71	90.0	0.01
08/15/2016	HASTINGS TURST, OSCAR	FRANKLIN INCOME A	0.00	1.09	0.00	1.09	90.0	0.02
08/15/2016	FLEISCHMAN, RITA	FRANKLIN INCOME A	0.00	5.11	0.00	5.11	90.0	0.09
08/15/2016	COBB, DOROTHY	FRANKLIN INCOME A	0.00	0.75	0.00	0.75	90.0	0.01
09/14/2016	HASTINGS TURST, OSCAR	FRANKLIN INCOME A	0.00	1.10	0.00	1.10	90.0	0.02
09/14/2016	FLEISCHMAN, RITA	FRANKLIN INCOME A	0.00	5.15	0.00	5.15	90.0	0.09
09/14/2016	COBB, DOROTHY	FRANKLIN INCOME A	0.00	0.76	0.00	0.76	90.0	0.01
10/18/2016	HASTINGS TURST, OSCAR	FRANKLIN INCOME A	0.00	1.06	0.00	1.06	90.0	0.02
10/18/2016	FLEISCHMAN, RITA	FRANKLIN INCOME A	0.00	4.97	0.00	4.97	90.0	0.08
10/18/2016	COBB, DOROTHY	FRANKLIN INCOME A	0.00	0.73	0.00	0.73	90.0	0.01
11/15/2016	HASTINGS TURST, OSCAR	FRANKLIN INCOME A	0.00	1.10	0.00	1.10	90.0	0.02
11/15/2016	FLEISCHMAN, RITA	FRANKLIN INCOME A	0.00	5.16	0.00	5.16	90.0	0.09
11/15/2016	COBB, DOROTHY	FRANKLIN INCOME A	0.00	0.76	0.00	0.76	90.0	0.01
12/16/2016	HASTINGS TURST, OSCAR	FRANKLIN INCOME A	0.00	1.06	0.00	1.06	90.0	0.02
12/16/2016	FLEISCHMAN, RITA	FRANKLIN INCOME A	0.00	4.95	0.00	4.95	90.0	0.08
12/16/2016	COBB, DOROTHY	FRANKLIN INCOME A	0.00	0.73	0.00	0.73	90.0	0.01
02/16/2016	CENTANNI, RICHARD	FRANKLIN MUTUAL GLOBAL DISCOVERY A	0.00	0.45	0.00	0.45	90.0	0.01
03/16/2016	CENTANNI, RICHARD	FRANKLIN MUTUAL GLOBAL DISCOVERY A	0.00	0.41	0.00	0.41	90.0	0.01
04/15/2016	CENTANNI, RICHARD	FRANKLIN MUTUAL GLOBAL DISCOVERY A	0.00	0.46	0.00	0.46	90.0	0.01
05/13/2016	CENTANNI, RICHARD	FRANKLIN MUTUAL GLOBAL DISCOVERY A	0.00	0.46	0.00	0.46	90.0	0.01
06/14/2016	CENTANNI, RICHARD	FRANKLIN MUTUAL GLOBAL DISCOVERY A	0.00	0.47	0.00	0.47	90.0	0.01
07/14/2016	CENTANNI, RICHARD	FRANKLIN MUTUAL GLOBAL DISCOVERY A	0.00	0.46	0.00	0.46	90.0	0.01
08/15/2016	CENTANNI, RICHARD	FRANKLIN MUTUAL GLOBAL DISCOVERY A	0.00	0.49	0.00	0.49	90.0	0.01
09/14/2016	CENTANNI, RICHARD	FRANKLIN MUTUAL GLOBAL DISCOVERY A	0.00	0.50	0.00	0.50	90.0	0.01
10/18/2016	CENTANNI, RICHARD	FRANKLIN MUTUAL GLOBAL DISCOVERY A	0.00	0.49	0.00	0.49	90.0	0.01
11/15/2016	CENTANNI, RICHARD	FRANKLIN MUTUAL GLOBAL DISCOVERY A	0.00	0.51	0.00	0.51	90.0	0.01
12/16/2016	CENTANNI, RICHARD	FRANKLIN MUTUAL GLOBAL DISCOVERY A	0.00	0.50	0.00	0.50	90.0	0.01

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<u> OVERRIDE TRANSACTIONS </u>								
<u> BROKER: MARC, L134 LINSKY #263 </u>								
02/16/2016	GREENWELL, MARION	FRNKLN FLOATING RATE DLY ACCESS FND	0.00	2.50	0.00	2.50	90.0	0.04
03/16/2016	GREENWELL, MARION	FRNKLN FLOATING RATE DLY ACCESS FND	0.00	2.31	0.00	2.31	90.0	0.04
04/15/2016	GREENWELL, MARION	FRNKLN FLOATING RATE DLY ACCESS FND	0.00	2.51	0.00	2.51	90.0	0.04
05/13/2016	GREENWELL, MARION	FRNKLN FLOATING RATE DLY ACCESS FND	0.00	2.49	0.00	2.49	90.0	0.04
06/14/2016	GREENWELL, MARION	FRNKLN FLOATING RATE DLY ACCESS FND	0.00	2.61	0.00	2.61	90.0	0.04
07/14/2016	GREENWELL, MARION	FRNKLN FLOATING RATE DLY ACCESS FND	0.00	2.54	0.00	2.54	90.0	0.04
08/15/2016	GREENWELL, MARION	FRNKLN FLOATING RATE DLY ACCESS FND	0.00	2.65	0.00	2.65	90.0	0.05
09/14/2016	GREENWELL, MARION	FRNKLN FLOATING RATE DLY ACCESS FND	0.00	2.69	0.00	2.69	90.0	0.05
10/18/2016	GREENWELL, MARION	FRNKLN FLOATING RATE DLY ACCESS FND	0.00	2.63	0.00	2.63	90.0	0.04
11/15/2016	GREENWELL, MARION	FRNKLN FLOATING RATE DLY ACCESS FND	0.00	2.75	0.00	2.75	90.0	0.05
12/16/2016	GREENWELL, MARION	FRNKLN FLOATING RATE DLY ACCESS FND	0.00	2.67	0.00	2.67	90.0	0.05
02/16/2018	MORETTI, MARGARET	GENERAL ELECTRIC CO COM	-2,482.46	30.00	22.50	7.50	90.0	0.13
02/16/2016	BOWERS, STEVEN	GOLDMAN SACHS CAPITAL GROWTH FUND C	0.00	18.93	0.00	18.93	90.0	0.32
03/16/2016	BOWERS, STEVEN	GOLDMAN SACHS CAPITAL GROWTH FUND C	0.00	17.05	0.00	17.05	90.0	0.29
04/18/2016	BOWERS, STEVEN	GOLDMAN SACHS CAPITAL GROWTH FUND C	0.00	12.18	0.00	12.18	90.0	0.21
05/12/2016	BOWERS, STEVEN	GOLDMAN SACHS CAPITAL GROWTH FUND C	0.00	12.15	0.00	12.15	90.0	0.21
06/20/2016	BOWERS, STEVEN	GOLDMAN SACHS CAPITAL GROWTH FUND C	0.00	12.41	0.00	12.41	90.0	0.21
07/15/2016	BOWERS, STEVEN	GOLDMAN SACHS CAPITAL GROWTH FUND C	0.00	12.08	0.00	12.08	90.0	0.21
08/17/2016	BOWERS, STEVEN	GOLDMAN SACHS CAPITAL GROWTH FUND C	0.00	12.83	0.00	12.83	90.0	0.22
09/21/2016	BOWERS, STEVEN	GOLDMAN SACHS CAPITAL GROWTH FUND C	0.00	13.08	0.00	13.08	90.0	0.22
10/17/2016	BOWERS, STEVEN	GOLDMAN SACHS CAPITAL GROWTH FUND C	0.00	12.52	0.00	12.52	90.0	0.21
11/21/2016	BOWERS, STEVEN	GOLDMAN SACHS CAPITAL GROWTH FUND C	0.00	12.88	0.00	12.88	90.0	0.22
12/15/2016	BOWERS, STEVEN	GOLDMAN SACHS CAPITAL GROWTH FUND C	0.00	12.33	0.00	12.33	90.0	0.21
02/16/2016	CHERRY, ANDREW	GOLDMAN SACHS GROWTH OPPORT FD CLAS	0.00	4.53	0.00	4.53	90.0	0.08
02/16/2016	CHERRY, ANDREW	GOLDMAN SACHS GROWTH OPPORT FD CLAS	0.00	2.32	0.00	2.32	90.0	0.04
03/16/2016	CHERRY, ANDREW	GOLDMAN SACHS GROWTH OPPORT FD CLAS	0.00	4.06	0.00	4.06	90.0	0.07
03/16/2016	CHERRY, ANDREW	GOLDMAN SACHS GROWTH OPPORT FD CLAS	0.00	2.08	0.00	2.08	90.0	0.04
04/18/2016	CHERRY, ANDREW	GOLDMAN SACHS GROWTH OPPORT FD CLAS	0.00	4.70	0.00	4.70	90.0	0.08
04/18/2016	CHERRY, ANDREW	GOLDMAN SACHS GROWTH OPPORT FD CLAS	0.00	2.41	0.00	2.41	90.0	0.04
05/12/2016	CHERRY, ANDREW	GOLDMAN SACHS GROWTH OPPORT FD CLAS	0.00	4.72	0.00	4.72	90.0	0.08
05/12/2016	CHERRY, ANDREW	GOLDMAN SACHS GROWTH OPPORT FD CLAS	0.00	2.42	0.00	2.42	90.0	0.04
06/20/2016	CHERRY, ANDREW	GOLDMAN SACHS GROWTH OPPORT FD CLAS	0.00	4.90	0.00	4.90	90.0	0.08
06/20/2016	CHERRY, ANDREW	GOLDMAN SACHS GROWTH OPPORT FD CLAS	0.00	2.51	0.00	2.51	90.0	0.04

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<u> BROKER: MARC, L134 LINSKY #263 </u>								
07/15/2016	CHERRY, ANDREW	GOLDMAN SACHS GROWTH OPPORT FD CLAS	0.00	4.79	0.00	4.79	90.0	0.08
07/15/2016	CHERRY, ANDREW	GOLDMAN SACHS GROWTH OPPORT FD CLAS	0.00	2.46	0.00	2.46	90.0	0.04
08/17/2016	CHERRY, ANDREW	GOLDMAN SACHS GROWTH OPPORT FD CLAS	0.00	5.11	0.00	5.11	90.0	0.09
08/17/2016	CHERRY, ANDREW	GOLDMAN SACHS GROWTH OPPORT FD CLAS	0.00	2.62	0.00	2.62	90.0	0.04
09/21/2016	CHERRY, ANDREW	GOLDMAN SACHS GROWTH OPPORT FD CLAS	0.00	5.17	0.00	5.17	90.0	0.09
09/21/2016	CHERRY, ANDREW	GOLDMAN SACHS GROWTH OPPORT FD CLAS	0.00	2.65	0.00	2.65	90.0	0.05
10/17/2016	CHERRY, ANDREW	GOLDMAN SACHS GROWTH OPPORT FD CLAS	0.00	4.92	0.00	4.92	90.0	0.08
10/17/2016	CHERRY, ANDREW	GOLDMAN SACHS GROWTH OPPORT FD CLAS	0.00	2.52	0.00	2.52	90.0	0.04
11/21/2016	CHERRY, ANDREW	GOLDMAN SACHS GROWTH OPPORT FD CLAS	0.00	4.99	0.00	4.99	90.0	0.08
11/21/2016	CHERRY, ANDREW	GOLDMAN SACHS GROWTH OPPORT FD CLAS	0.00	2.56	0.00	2.56	90.0	0.04
12/15/2016	CHERRY, ANDREW	GOLDMAN SACHS GROWTH OPPORT FD CLAS	0.00	4.77	0.00	4.77	90.0	0.08
12/15/2016	CHERRY, ANDREW	GOLDMAN SACHS GROWTH OPPORT FD CLAS	0.00	2.44	0.00	2.44	90.0	0.04
02/16/2016	PARSONS, MICHELLE	GOLDMAN SACHS U.S. EQUITY INSIGHTS	0.00	0.46	0.00	0.46	90.0	0.01
03/16/2016	PARSONS, MICHELLE	GOLDMAN SACHS U.S. EQUITY INSIGHTS	0.00	0.42	0.00	0.42	90.0	0.01
04/18/2016	PARSONS, MICHELLE	GOLDMAN SACHS U.S. EQUITY INSIGHTS	0.00	0.48	0.00	0.48	90.0	0.01
05/12/2016	PARSONS, MICHELLE	GOLDMAN SACHS U.S. EQUITY INSIGHTS	0.00	0.48	0.00	0.48	90.0	0.01
06/20/2016	PARSONS, MICHELLE	GOLDMAN SACHS U.S. EQUITY INSIGHTS	0.00	0.49	0.00	0.49	90.0	0.01
07/15/2016	PARSONS, MICHELLE	GOLDMAN SACHS U.S. EQUITY INSIGHTS	0.00	0.48	0.00	0.48	90.0	0.01
08/17/2016	PARSONS, MICHELLE	GOLDMAN SACHS U.S. EQUITY INSIGHTS	0.00	0.51	0.00	0.51	90.0	0.01
09/21/2016	PARSONS, MICHELLE	GOLDMAN SACHS U.S. EQUITY INSIGHTS	0.00	0.52	0.00	0.52	90.0	0.01
10/17/2016	PARSONS, MICHELLE	GOLDMAN SACHS U.S. EQUITY INSIGHTS	0.00	0.50	0.00	0.50	90.0	0.01
11/21/2016	PARSONS, MICHELLE	GOLDMAN SACHS U.S. EQUITY INSIGHTS	0.00	0.52	0.00	0.52	90.0	0.01
12/15/2016	PARSONS, MICHELLE	GOLDMAN SACHS U.S. EQUITY INSIGHTS	0.00	0.51	0.00	0.51	90.0	0.01
02/11/2016	SPECTER TRUST, STEPHANIE	GUGGENHEIM INVERSE GOVT LONG BOND C	0.00	13.62	0.00	13.62	90.0	0.23
02/11/2016	HALL, GLORIA	GUGGENHEIM INVERSE GOVT LONG BOND C	0.00	6.92	0.00	6.92	90.0	0.12
02/11/2016	LINSKY, MARC	GUGGENHEIM INVERSE GOVT LONG BOND C	0.00	4.63	0.00	4.63	90.0	0.08
03/11/2016	SPECTER TRUST, STEPHANIE	GUGGENHEIM INVERSE GOVT LONG BOND C	0.00	12.04	0.00	12.04	90.0	0.20
03/11/2016	HALL, GLORIA	GUGGENHEIM INVERSE GOVT LONG BOND C	0.00	6.12	0.00	6.12	90.0	0.10
03/11/2016	LINSKY, MARC	GUGGENHEIM INVERSE GOVT LONG BOND C	0.00	4.09	0.00	4.09	90.0	0.07
04/29/2016	SPECTER TRUST, STEPHANIE	GUGGENHEIM INVERSE GOVT LONG BOND C	0.00	12.99	0.00	12.99	90.0	0.22
04/29/2016	HALL, GLORIA	GUGGENHEIM INVERSE GOVT LONG BOND C	0.00	6.60	0.00	6.60	90.0	0.11
04/29/2016	LINSKY, MARC	GUGGENHEIM INVERSE GOVT LONG BOND C	0.00	4.41	0.00	4.41	90.0	0.07
05/10/2016	SPECTER TRUST, STEPHANIE	GUGGENHEIM INVERSE GOVT LONG BOND C	0.00	12.35	0.00	12.35	90.0	0.21

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u> OVERRIDE TRANSACTIONS </u>								
<u> BROKER: MARC, L134 LINSKY #263 </u>								
05/10/2016	HALL, GLORIA	GUGGENHEIM INVERSE GOVT LONG BOND C	0.00	6.28	0.00	6.28	90.0	0.11
05/10/2016	LINSKY, MARC	GUGGENHEIM INVERSE GOVT LONG BOND C	0.00	4.20	0.00	4.20	90.0	0.07
06/15/2016	SPECTER TRUST, STEPHANIE	GUGGENHEIM INVERSE GOVT LONG BOND C	0.00	12.73	0.00	12.73	90.0	0.22
06/15/2016	HALL, GLORIA	GUGGENHEIM INVERSE GOVT LONG BOND C	0.00	6.47	0.00	6.47	90.0	0.11
06/15/2016	LINSKY, MARC	GUGGENHEIM INVERSE GOVT LONG BOND C	0.00	4.32	0.00	4.32	90.0	0.07
07/15/2016	SPECTER TRUST, STEPHANIE	GUGGENHEIM INVERSE GOVT LONG BOND C	0.00	11.83	0.00	11.83	90.0	0.20
07/15/2016	HALL, GLORIA	GUGGENHEIM INVERSE GOVT LONG BOND C	0.00	6.01	0.00	6.01	90.0	0.10
07/15/2016	LINSKY, MARC	GUGGENHEIM INVERSE GOVT LONG BOND C	0.00	4.02	0.00	4.02	90.0	0.07
08/10/2016	SPECTER TRUST, STEPHANIE	GUGGENHEIM INVERSE GOVT LONG BOND C	0.00	11.59	0.00	11.59	90.0	0.20
08/10/2016	HALL, GLORIA	GUGGENHEIM INVERSE GOVT LONG BOND C	0.00	5.89	0.00	5.89	90.0	0.10
08/10/2016	LINSKY, MARC	GUGGENHEIM INVERSE GOVT LONG BOND C	0.00	3.94	0.00	3.94	90.0	0.07
09/19/2016	SPECTER TRUST, STEPHANIE	GUGGENHEIM INVERSE GOVT LONG BOND C	0.00	11.65	0.00	11.65	90.0	0.20
09/19/2016	HALL, GLORIA	GUGGENHEIM INVERSE GOVT LONG BOND C	0.00	5.92	0.00	5.92	90.0	0.10
09/19/2016	LINSKY, MARC	GUGGENHEIM INVERSE GOVT LONG BOND C	0.00	3.96	0.00	3.96	90.0	0.07
10/18/2016	SPECTER TRUST, STEPHANIE	GUGGENHEIM INVERSE GOVT LONG BOND C	0.00	11.45	0.00	11.45	90.0	0.19
10/18/2016	HALL, GLORIA	GUGGENHEIM INVERSE GOVT LONG BOND C	0.00	5.82	0.00	5.82	90.0	0.10
10/18/2016	LINSKY, MARC	GUGGENHEIM INVERSE GOVT LONG BOND C	0.00	3.89	0.00	3.89	90.0	0.07
11/15/2016	SPECTER TRUST, STEPHANIE	GUGGENHEIM INVERSE GOVT LONG BOND C	0.00	12.17	0.00	12.17	90.0	0.21
11/15/2016	HALL, GLORIA	GUGGENHEIM INVERSE GOVT LONG BOND C	0.00	6.18	0.00	6.18	90.0	0.11
11/15/2016	LINSKY, MARC	GUGGENHEIM INVERSE GOVT LONG BOND C	0.00	4.14	0.00	4.14	90.0	0.07
12/14/2016	SPECTER TRUST, STEPHANIE	GUGGENHEIM INVERSE GOVT LONG BOND C	0.00	12.72	0.00	12.72	90.0	0.22
12/14/2016	HALL, GLORIA	GUGGENHEIM INVERSE GOVT LONG BOND C	0.00	6.47	0.00	6.47	90.0	0.11
12/14/2016	LINSKY, MARC	GUGGENHEIM INVERSE GOVT LONG BOND C	0.00	4.32	0.00	4.32	90.0	0.07
02/19/2016	HASTINGS TURST, OSCAR	HARTFORD BALANCED INCOME A	0.00	1.96	0.00	1.96	90.0	0.03
02/19/2016	FLEISCHMAN, RITA	HARTFORD BALANCED INCOME A	0.00	2.94	0.00	2.94	90.0	0.05
03/22/2016	HASTINGS TURST, OSCAR	HARTFORD BALANCED INCOME A	0.00	1.84	0.00	1.84	90.0	0.03
03/22/2016	FLEISCHMAN, RITA	HARTFORD BALANCED INCOME A	0.00	2.75	0.00	2.75	90.0	0.05
04/18/2016	HASTINGS TURST, OSCAR	HARTFORD BALANCED INCOME A	0.00	2.04	0.00	2.04	90.0	0.03
04/18/2016	FLEISCHMAN, RITA	HARTFORD BALANCED INCOME A	0.00	3.06	0.00	3.06	90.0	0.05
05/24/2016	HASTINGS TURST, OSCAR	HARTFORD BALANCED INCOME A	0.00	2.01	0.00	2.01	90.0	0.03
05/24/2016	FLEISCHMAN, RITA	HARTFORD BALANCED INCOME A	0.00	3.02	0.00	3.02	90.0	0.05
06/21/2016	HASTINGS TURST, OSCAR	HARTFORD BALANCED INCOME A	0.00	2.09	0.00	2.09	90.0	0.04
06/21/2016	FLEISCHMAN, RITA	HARTFORD BALANCED INCOME A	0.00	3.13	0.00	3.13	90.0	0.05

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<u> OVERRIDE TRANSACTIONS </u>								
<u> BROKER: MARC, L134 LINSKY #263 </u>								
07/18/2016	HASTINGS TURST, OSCAR	HARTFORD BALANCED INCOME A	0.00	2.05	0.00	2.05	90.0	0.03
07/18/2016	FLEISCHMAN, RITA	HARTFORD BALANCED INCOME A	0.00	3.07	0.00	3.07	90.0	0.05
08/16/2016	HASTINGS TURST, OSCAR	HARTFORD BALANCED INCOME A	0.00	2.16	0.00	2.16	90.0	0.04
08/16/2016	FLEISCHMAN, RITA	HARTFORD BALANCED INCOME A	0.00	3.24	0.00	3.24	90.0	0.06
09/19/2016	HASTINGS TURST, OSCAR	HARTFORD BALANCED INCOME A	0.00	2.18	0.00	2.18	90.0	0.04
09/19/2016	FLEISCHMAN, RITA	HARTFORD BALANCED INCOME A	0.00	3.27	0.00	3.27	90.0	0.06
10/17/2016	HASTINGS TURST, OSCAR	HARTFORD BALANCED INCOME A	0.00	2.10	0.00	2.10	90.0	0.04
10/17/2016	FLEISCHMAN, RITA	HARTFORD BALANCED INCOME A	0.00	3.15	0.00	3.15	90.0	0.05
11/16/2016	HASTINGS TURST, OSCAR	HARTFORD BALANCED INCOME A	0.00	2.15	0.00	2.15	90.0	0.04
11/16/2016	FLEISCHMAN, RITA	HARTFORD BALANCED INCOME A	0.00	3.23	0.00	3.23	90.0	0.05
12/19/2016	HASTINGS TURST, OSCAR	HARTFORD BALANCED INCOME A	0.00	2.07	0.00	2.07	90.0	0.04
12/19/2016	FLEISCHMAN, RITA	HARTFORD BALANCED INCOME A	0.00	3.11	0.00	3.11	90.0	0.05
02/19/2016	LINSKY, LISA	HARTFORD CAPITAL APPRECIATION A	0.00	2.88	0.00	2.88	90.0	0.05
02/19/2016	NIEMINEN, EUGENE	HARTFORD CAPITAL APPRECIATION A	0.00	0.94	0.00	0.94	90.0	0.02
03/22/2016	LINSKY, LISA	HARTFORD CAPITAL APPRECIATION A	0.00	2.60	0.00	2.60	90.0	0.04
03/22/2016	NIEMINEN, EUGENE	HARTFORD CAPITAL APPRECIATION A	0.00	0.56	0.00	0.56	90.0	0.01
04/18/2016	LINSKY, LISA	HARTFORD CAPITAL APPRECIATION A	0.00	2.98	0.00	2.98	90.0	0.05
05/24/2016	LINSKY, LISA	HARTFORD CAPITAL APPRECIATION A	0.00	2.97	0.00	2.97	90.0	0.05
06/21/2016	LINSKY, LISA	HARTFORD CAPITAL APPRECIATION A	0.00	3.05	0.00	3.05	90.0	0.05
07/18/2016	LINSKY, LISA	HARTFORD CAPITAL APPRECIATION A	0.00	2.96	0.00	2.96	90.0	0.05
08/16/2016	LINSKY, LISA	HARTFORD CAPITAL APPRECIATION A	0.00	3.14	0.00	3.14	90.0	0.05
09/19/2016	LINSKY, LISA	HARTFORD CAPITAL APPRECIATION A	0.00	3.19	0.00	3.19	90.0	0.05
10/17/2016	LINSKY, LISA	HARTFORD CAPITAL APPRECIATION A	0.00	3.07	0.00	3.07	90.0	0.05
11/16/2016	LINSKY, LISA	HARTFORD CAPITAL APPRECIATION A	0.00	3.18	0.00	3.18	90.0	0.05
12/19/2016	LINSKY, LISA	HARTFORD CAPITAL APPRECIATION A	0.00	3.08	0.00	3.08	90.0	0.05
02/19/2016	SPECTER TRUST, STEPHANIE	HARTFORD CAPITAL APPRECIATION C	0.00	66.62	0.00	66.62	90.0	1.13
02/19/2016	MEDIA ENTERPRISES	HARTFORD CAPITAL APPRECIATION C	0.00	32.05	0.00	32.05	90.0	0.54
02/19/2016	PERETTI JR, ANTHONY	HARTFORD CAPITAL APPRECIATION C	0.00	24.76	0.00	24.76	90.0	0.42
02/19/2016	KLEIN, HOWARD	HARTFORD CAPITAL APPRECIATION C	0.00	350.16	0.00	350.16	90.0	5.95
02/19/2016	CAMARDO, DONNA	HARTFORD CAPITAL APPRECIATION C	0.00	8.81	0.00	8.81	90.0	0.15
02/19/2016	GODLBERG, SHARON	HARTFORD CAPITAL APPRECIATION C	0.00	5.74	0.00	5.74	90.0	0.10
02/19/2016	BALZANO, AUGUSTUS	HARTFORD CAPITAL APPRECIATION C	0.00	6.12	0.00	6.12	90.0	0.10
02/19/2016	HARRIS, MORGAN	HARTFORD CAPITAL APPRECIATION C	0.00	8.81	0.00	8.81	90.0	0.15

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<u> OVERRIDE TRANSACTIONS </u>								
<u> BROKER: MARC, L134 LINSKY #263 </u>								
02/19/2016	SPECTER, LINDSAY	HARTFORD CAPITAL APPRECIATION C	0.00	25.91	0.00	25.91	90.0	0.44
02/19/2016	SPECTER, SHELBY	HARTFORD CAPITAL APPRECIATION C	0.00	24.18	0.00	24.18	90.0	0.41
03/22/2016	SPECTER TRUST, STEPHANIE	HARTFORD CAPITAL APPRECIATION C	0.00	60.04	0.00	60.04	90.0	1.02
03/22/2016	MEDIA ENTERPRISES	HARTFORD CAPITAL APPRECIATION C	0.00	28.88	0.00	28.88	90.0	0.49
03/22/2016	PERETTI JR, ANTHONY	HARTFORD CAPITAL APPRECIATION C	0.00	22.39	0.00	22.39	90.0	0.38
03/22/2016	KLEIN, HOWARD	HARTFORD CAPITAL APPRECIATION C	0.00	315.57	0.00	315.57	90.0	5.36
03/22/2016	CAMARDO, DONNA	HARTFORD CAPITAL APPRECIATION C	0.00	7.94	0.00	7.94	90.0	0.13
03/22/2016	GODLBERG, SHARON	HARTFORD CAPITAL APPRECIATION C	0.00	5.17	0.00	5.17	90.0	0.09
03/22/2016	BALZANO, AUGUSTUS	HARTFORD CAPITAL APPRECIATION C	0.00	5.52	0.00	5.52	90.0	0.09
03/22/2016	HARRIS, MORGAN	HARTFORD CAPITAL APPRECIATION C	0.00	7.94	0.00	7.94	90.0	0.13
03/22/2016	SPECTER, LINDSAY	HARTFORD CAPITAL APPRECIATION C	0.00	23.35	0.00	23.35	90.0	0.40
03/22/2016	SPECTER, SHELBY	HARTFORD CAPITAL APPRECIATION C	0.00	21.80	0.00	21.80	90.0	0.37
04/18/2016	SPECTER TRUST, STEPHANIE	HARTFORD CAPITAL APPRECIATION C	0.00	68.77	0.00	68.77	90.0	1.17
04/18/2016	MEDIA ENTERPRISES	HARTFORD CAPITAL APPRECIATION C	0.00	33.08	0.00	33.08	90.0	0.56
04/18/2016	PERETTI JR, ANTHONY	HARTFORD CAPITAL APPRECIATION C	0.00	25.80	0.00	25.80	90.0	0.44
04/18/2016	KLEIN, HOWARD	HARTFORD CAPITAL APPRECIATION C	0.00	361.43	0.00	361.43	90.0	6.14
04/18/2016	CAMARDO, DONNA	HARTFORD CAPITAL APPRECIATION C	0.00	9.09	0.00	9.09	90.0	0.15
04/18/2016	GODLBERG, SHARON	HARTFORD CAPITAL APPRECIATION C	0.00	5.92	0.00	5.92	90.0	0.10
04/18/2016	BALZANO, AUGUSTUS	HARTFORD CAPITAL APPRECIATION C	0.00	6.32	0.00	6.32	90.0	0.11
04/18/2016	HARRIS, MORGAN	HARTFORD CAPITAL APPRECIATION C	0.00	9.10	0.00	9.10	90.0	0.15
04/18/2016	SPECTER, LINDSAY	HARTFORD CAPITAL APPRECIATION C	0.00	26.75	0.00	26.75	90.0	0.45
04/18/2016	SPECTER, SHELBY	HARTFORD CAPITAL APPRECIATION C	0.00	24.96	0.00	24.96	90.0	0.42
05/24/2016	SPECTER TRUST, STEPHANIE	HARTFORD CAPITAL APPRECIATION C	0.00	68.53	0.00	68.53	90.0	1.17
05/24/2016	MEDIA ENTERPRISES	HARTFORD CAPITAL APPRECIATION C	0.00	32.96	0.00	32.96	90.0	0.56
05/24/2016	PERETTI JR, ANTHONY	HARTFORD CAPITAL APPRECIATION C	0.00	25.84	0.00	25.84	90.0	0.44
05/24/2016	KLEIN, HOWARD	HARTFORD CAPITAL APPRECIATION C	0.00	360.20	0.00	360.20	90.0	6.12
05/24/2016	CAMARDO, DONNA	HARTFORD CAPITAL APPRECIATION C	0.00	9.06	0.00	9.06	90.0	0.15
05/24/2016	GODLBERG, SHARON	HARTFORD CAPITAL APPRECIATION C	0.00	5.90	0.00	5.90	90.0	0.10
05/24/2016	BALZANO, AUGUSTUS	HARTFORD CAPITAL APPRECIATION C	0.00	6.30	0.00	6.30	90.0	0.11
05/24/2016	HARRIS, MORGAN	HARTFORD CAPITAL APPRECIATION C	0.00	9.06	0.00	9.06	90.0	0.15
05/24/2016	SPECTER, LINDSAY	HARTFORD CAPITAL APPRECIATION C	0.00	26.65	0.00	26.65	90.0	0.45
05/24/2016	SPECTER, SHELBY	HARTFORD CAPITAL APPRECIATION C	0.00	24.88	0.00	24.88	90.0	0.42
06/21/2016	SPECTER TRUST, STEPHANIE	HARTFORD CAPITAL APPRECIATION C	0.00	70.25	0.00	70.25	90.0	1.19

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<u> OVERRIDE TRANSACTIONS </u>								
<u> BROKER: MARC, L134 LINSKY #263 </u>								
06/21/2016	MEDIA ENTERPRISES	HARTFORD CAPITAL APPRECIATION C	0.00	33.79	0.00	33.79	90.0	0.57
06/21/2016	PERETTI JR, ANTHONY	HARTFORD CAPITAL APPRECIATION C	0.00	26.63	0.00	26.63	90.0	0.45
06/21/2016	KLEIN, HOWARD	HARTFORD CAPITAL APPRECIATION C	0.00	369.24	0.00	369.24	90.0	6.28
06/21/2016	CAMARDO, DONNA	HARTFORD CAPITAL APPRECIATION C	0.00	9.29	0.00	9.29	90.0	0.16
06/21/2016	GODLBERG, SHARON	HARTFORD CAPITAL APPRECIATION C	0.00	6.05	0.00	6.05	90.0	0.10
06/21/2016	BALZANO, AUGUSTUS	HARTFORD CAPITAL APPRECIATION C	0.00	6.45	0.00	6.45	90.0	0.11
06/21/2016	HARRIS, MORGAN	HARTFORD CAPITAL APPRECIATION C	0.00	9.29	0.00	9.29	90.0	0.16
06/21/2016	SPECTER, LINDSAY	HARTFORD CAPITAL APPRECIATION C	0.00	27.32	0.00	27.32	90.0	0.46
06/21/2016	SPECTER, SHELBY	HARTFORD CAPITAL APPRECIATION C	0.00	25.50	0.00	25.50	90.0	0.43
07/18/2016	SPECTER TRUST, STEPHANIE	HARTFORD CAPITAL APPRECIATION C	0.00	68.27	0.00	68.27	90.0	1.16
07/18/2016	MEDIA ENTERPRISES	HARTFORD CAPITAL APPRECIATION C	0.00	32.84	0.00	32.84	90.0	0.56
07/18/2016	PERETTI JR, ANTHONY	HARTFORD CAPITAL APPRECIATION C	0.00	26.00	0.00	26.00	90.0	0.44
07/18/2016	KLEIN, HOWARD	HARTFORD CAPITAL APPRECIATION C	0.00	358.82	0.00	358.82	90.0	6.10
07/18/2016	CAMARDO, DONNA	HARTFORD CAPITAL APPRECIATION C	0.00	9.03	0.00	9.03	90.0	0.15
07/18/2016	GODLBERG, SHARON	HARTFORD CAPITAL APPRECIATION C	0.00	5.88	0.00	5.88	90.0	0.10
07/18/2016	BALZANO, AUGUSTUS	HARTFORD CAPITAL APPRECIATION C	0.00	6.27	0.00	6.27	90.0	0.11
07/18/2016	HARRIS, MORGAN	HARTFORD CAPITAL APPRECIATION C	0.00	9.03	0.00	9.03	90.0	0.15
07/18/2016	SPECTER, LINDSAY	HARTFORD CAPITAL APPRECIATION C	0.00	26.55	0.00	26.55	90.0	0.45
07/18/2016	SPECTER, SHELBY	HARTFORD CAPITAL APPRECIATION C	0.00	24.78	0.00	24.78	90.0	0.42
08/16/2016	SPECTER TRUST, STEPHANIE	HARTFORD CAPITAL APPRECIATION C	0.00	72.37	0.00	72.37	90.0	1.23
08/16/2016	MEDIA ENTERPRISES	HARTFORD CAPITAL APPRECIATION C	0.00	34.81	0.00	34.81	90.0	0.59
08/16/2016	PERETTI JR, ANTHONY	HARTFORD CAPITAL APPRECIATION C	0.00	27.72	0.00	27.72	90.0	0.47
08/16/2016	KLEIN, HOWARD	HARTFORD CAPITAL APPRECIATION C	0.00	380.33	0.00	380.33	90.0	6.47
08/16/2016	CAMARDO, DONNA	HARTFORD CAPITAL APPRECIATION C	0.00	9.57	0.00	9.57	90.0	0.16
08/16/2016	GODLBERG, SHARON	HARTFORD CAPITAL APPRECIATION C	0.00	6.23	0.00	6.23	90.0	0.11
08/16/2016	BALZANO, AUGUSTUS	HARTFORD CAPITAL APPRECIATION C	0.00	6.65	0.00	6.65	90.0	0.11
08/16/2016	HARRIS, MORGAN	HARTFORD CAPITAL APPRECIATION C	0.00	9.57	0.00	9.57	90.0	0.16
08/16/2016	SPECTER, LINDSAY	HARTFORD CAPITAL APPRECIATION C	0.00	28.14	0.00	28.14	90.0	0.48
08/16/2016	SPECTER, SHELBY	HARTFORD CAPITAL APPRECIATION C	0.00	26.27	0.00	26.27	90.0	0.45
09/19/2016	SPECTER TRUST, STEPHANIE	HARTFORD CAPITAL APPRECIATION C	0.00	73.34	0.00	73.34	90.0	1.25
09/19/2016	MEDIA ENTERPRISES	HARTFORD CAPITAL APPRECIATION C	0.00	35.28	0.00	35.28	90.0	0.60
09/19/2016	PERETTI JR, ANTHONY	HARTFORD CAPITAL APPRECIATION C	0.00	28.25	0.00	28.25	90.0	0.48
09/19/2016	KLEIN, HOWARD	HARTFORD CAPITAL APPRECIATION C	0.00	385.47	0.00	385.47	90.0	6.55

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u> OVERRIDE TRANSACTIONS </u>								
<u> BROKER: MARC, L134 LINSKY #263 </u>								
09/19/2016	CAMARDO, DONNA	HARTFORD CAPITAL APPRECIATION C	0.00	9.70	0.00	9.70	90.0	0.16
09/19/2016	GODLBERG, SHARON	HARTFORD CAPITAL APPRECIATION C	0.00	6.32	0.00	6.32	90.0	0.11
09/19/2016	BALZANO, AUGUSTUS	HARTFORD CAPITAL APPRECIATION C	0.00	6.74	0.00	6.74	90.0	0.11
09/19/2016	HARRIS, MORGAN	HARTFORD CAPITAL APPRECIATION C	0.00	0.93	0.00	0.93	90.0	0.02
09/19/2016	SPECTER, LINDSAY	HARTFORD CAPITAL APPRECIATION C	0.00	28.52	0.00	28.52	90.0	0.48
09/19/2016	SPECTER, SHELBY	HARTFORD CAPITAL APPRECIATION C	0.00	26.62	0.00	26.62	90.0	0.45
09/19/2016	HARRIS, MORGAN	HARTFORD CAPITAL APPRECIATION C	0.00	8.77	0.00	8.77	90.0	0.15
10/17/2016	SPECTER TRUST, STEPHANIE	HARTFORD CAPITAL APPRECIATION C	0.00	70.70	0.00	70.70	90.0	1.20
10/17/2016	MEDIA ENTERPRISES	HARTFORD CAPITAL APPRECIATION C	0.00	34.01	0.00	34.01	90.0	0.58
10/17/2016	PERETTI JR, ANTHONY	HARTFORD CAPITAL APPRECIATION C	0.00	27.28	0.00	27.28	90.0	0.46
10/17/2016	KLEIN, HOWARD	HARTFORD CAPITAL APPRECIATION C	0.00	371.59	0.00	371.59	90.0	6.32
10/17/2016	CAMARDO, DONNA	HARTFORD CAPITAL APPRECIATION C	0.00	9.35	0.00	9.35	90.0	0.16
10/17/2016	GODLBERG, SHARON	HARTFORD CAPITAL APPRECIATION C	0.00	6.09	0.00	6.09	90.0	0.10
10/17/2016	BALZANO, AUGUSTUS	HARTFORD CAPITAL APPRECIATION C	0.00	6.49	0.00	6.49	90.0	0.11
10/17/2016	SPECTER, LINDSAY	HARTFORD CAPITAL APPRECIATION C	0.00	27.50	0.00	27.50	90.0	0.47
10/17/2016	SPECTER, SHELBY	HARTFORD CAPITAL APPRECIATION C	0.00	25.66	0.00	25.66	90.0	0.44
10/17/2016	HARRIS, MORGAN	HARTFORD CAPITAL APPRECIATION C	0.00	9.35	0.00	9.35	90.0	0.16
11/16/2016	SPECTER TRUST, STEPHANIE	HARTFORD CAPITAL APPRECIATION C	0.00	73.00	0.00	73.00	90.0	1.24
11/16/2016	MEDIA ENTERPRISES	HARTFORD CAPITAL APPRECIATION C	0.00	35.11	0.00	35.11	90.0	0.60
11/16/2016	PERETTI JR, ANTHONY	HARTFORD CAPITAL APPRECIATION C	0.00	28.17	0.00	28.17	90.0	0.48
11/16/2016	KLEIN, HOWARD	HARTFORD CAPITAL APPRECIATION C	0.00	383.69	0.00	383.69	90.0	6.52
11/16/2016	CAMARDO, DONNA	HARTFORD CAPITAL APPRECIATION C	0.00	9.65	0.00	9.65	90.0	0.16
11/16/2016	GODLBERG, SHARON	HARTFORD CAPITAL APPRECIATION C	0.00	6.29	0.00	6.29	90.0	0.11
11/16/2016	BALZANO, AUGUSTUS	HARTFORD CAPITAL APPRECIATION C	0.00	6.71	0.00	6.71	90.0	0.11
11/16/2016	SPECTER, LINDSAY	HARTFORD CAPITAL APPRECIATION C	0.00	28.39	0.00	28.39	90.0	0.48
11/16/2016	SPECTER, SHELBY	HARTFORD CAPITAL APPRECIATION C	0.00	26.50	0.00	26.50	90.0	0.45
11/16/2016	HARRIS, MORGAN	HARTFORD CAPITAL APPRECIATION C	0.00	9.66	0.00	9.66	90.0	0.16
12/19/2016	SPECTER TRUST, STEPHANIE	HARTFORD CAPITAL APPRECIATION C	0.00	70.71	0.00	70.71	90.0	1.20
12/19/2016	MEDIA ENTERPRISES	HARTFORD CAPITAL APPRECIATION C	0.00	34.01	0.00	34.01	90.0	0.58
12/19/2016	PERETTI JR, ANTHONY	HARTFORD CAPITAL APPRECIATION C	0.00	27.52	0.00	27.52	90.0	0.47
12/19/2016	KLEIN, HOWARD	HARTFORD CAPITAL APPRECIATION C	0.00	371.62	0.00	371.62	90.0	6.32
12/19/2016	CAMARDO, DONNA	HARTFORD CAPITAL APPRECIATION C	0.00	9.35	0.00	9.35	90.0	0.16
12/19/2016	GODLBERG, SHARON	HARTFORD CAPITAL APPRECIATION C	0.00	6.09	0.00	6.09	90.0	0.10

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<u> OVERRIDE TRANSACTIONS </u>								
<u>BROKER: MARC, L134 LINSKY #263</u>								
12/19/2016	BALZANO, AUGUSTUS	HARTFORD CAPITAL APPRECIATION C	0.00	6.49	0.00	6.49	90.0	0.11
12/19/2016	SPECTER, LINDSAY	HARTFORD CAPITAL APPRECIATION C	0.00	27.50	0.00	27.50	90.0	0.47
12/19/2016	SPECTER, SHELBY	HARTFORD CAPITAL APPRECIATION C	0.00	25.67	0.00	25.67	90.0	0.44
12/19/2016	HARRIS, MORGAN	HARTFORD CAPITAL APPRECIATION C	0.00	9.35	0.00	9.35	90.0	0.16
02/15/2018	PERETTI JR, ANTHONY	HARTFORD CAPITAL APPRECIATION C	423.22	4.23	22.00	-17.77	90.0	-0.30
02/19/2016	OLIVETI, ANTHONY	HARTFORD CHECKS AND BALANCES FUND A	0.00	2.25	0.00	2.25	90.0	0.04
02/19/2016	OLIVETI, NICOLE	HARTFORD CHECKS AND BALANCES FUND A	0.00	2.25	0.00	2.25	90.0	0.04
02/19/2016	PISANI, NICHOLAS	HARTFORD CHECKS AND BALANCES FUND A	0.00	3.39	0.00	3.39	90.0	0.06
03/22/2016	OLIVETI, ANTHONY	HARTFORD CHECKS AND BALANCES FUND A	0.00	2.08	0.00	2.08	90.0	0.04
03/22/2016	OLIVETI, NICOLE	HARTFORD CHECKS AND BALANCES FUND A	0.00	2.08	0.00	2.08	90.0	0.04
03/22/2016	PISANI, NICHOLAS	HARTFORD CHECKS AND BALANCES FUND A	0.00	3.12	0.00	3.12	90.0	0.05
04/18/2016	OLIVETI, ANTHONY	HARTFORD CHECKS AND BALANCES FUND A	0.00	2.33	0.00	2.33	90.0	0.04
04/18/2016	OLIVETI, NICOLE	HARTFORD CHECKS AND BALANCES FUND A	0.00	2.33	0.00	2.33	90.0	0.04
04/18/2016	PISANI, NICHOLAS	HARTFORD CHECKS AND BALANCES FUND A	0.00	3.50	0.00	3.50	90.0	0.06
05/24/2016	OLIVETI, ANTHONY	HARTFORD CHECKS AND BALANCES FUND A	0.00	2.31	0.00	2.31	90.0	0.04
05/24/2016	OLIVETI, NICOLE	HARTFORD CHECKS AND BALANCES FUND A	0.00	2.31	0.00	2.31	90.0	0.04
05/24/2016	PISANI, NICHOLAS	HARTFORD CHECKS AND BALANCES FUND A	0.00	3.47	0.00	3.47	90.0	0.06
06/21/2016	OLIVETI, ANTHONY	HARTFORD CHECKS AND BALANCES FUND A	0.00	2.38	0.00	2.38	90.0	0.04
06/21/2016	OLIVETI, NICOLE	HARTFORD CHECKS AND BALANCES FUND A	0.00	2.38	0.00	2.38	90.0	0.04
06/21/2016	PISANI, NICHOLAS	HARTFORD CHECKS AND BALANCES FUND A	0.00	3.58	0.00	3.58	90.0	0.06
07/18/2016	OLIVETI, ANTHONY	HARTFORD CHECKS AND BALANCES FUND A	0.00	2.32	0.00	2.32	90.0	0.04
07/18/2016	OLIVETI, NICOLE	HARTFORD CHECKS AND BALANCES FUND A	0.00	2.32	0.00	2.32	90.0	0.04
07/18/2016	PISANI, NICHOLAS	HARTFORD CHECKS AND BALANCES FUND A	0.00	3.49	0.00	3.49	90.0	0.06
08/16/2016	OLIVETI, ANTHONY	HARTFORD CHECKS AND BALANCES FUND A	0.00	2.45	0.00	2.45	90.0	0.04
08/16/2016	OLIVETI, NICOLE	HARTFORD CHECKS AND BALANCES FUND A	0.00	2.45	0.00	2.45	90.0	0.04
08/16/2016	PISANI, NICHOLAS	HARTFORD CHECKS AND BALANCES FUND A	0.00	3.68	0.00	3.68	90.0	0.06
09/19/2016	OLIVETI, ANTHONY	HARTFORD CHECKS AND BALANCES FUND A	0.00	2.48	0.00	2.48	90.0	0.04
09/19/2016	OLIVETI, NICOLE	HARTFORD CHECKS AND BALANCES FUND A	0.00	2.48	0.00	2.48	90.0	0.04
09/19/2016	PISANI, NICHOLAS	HARTFORD CHECKS AND BALANCES FUND A	0.00	3.72	0.00	3.72	90.0	0.06
10/17/2016	OLIVETI, ANTHONY	HARTFORD CHECKS AND BALANCES FUND A	0.00	2.39	0.00	2.39	90.0	0.04
10/17/2016	OLIVETI, NICOLE	HARTFORD CHECKS AND BALANCES FUND A	0.00	2.39	0.00	2.39	90.0	0.04
10/17/2016	PISANI, NICHOLAS	HARTFORD CHECKS AND BALANCES FUND A	0.00	3.59	0.00	3.59	90.0	0.06
11/16/2016	OLIVETI, ANTHONY	HARTFORD CHECKS AND BALANCES FUND A	0.00	2.47	0.00	2.47	90.0	0.04

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<u> OVERRIDE TRANSACTIONS </u>								
<u> BROKER: MARC, L134 LINSKY #263 </u>								
11/16/2016	OLIVETI, NICOLE	HARTFORD CHECKS AND BALANCES FUND A	0.00	2.47	0.00	2.47	90.0	0.04
11/16/2016	PISANI, NICHOLAS	HARTFORD CHECKS AND BALANCES FUND A	0.00	3.71	0.00	3.71	90.0	0.06
12/19/2016	OLIVETI, ANTHONY	HARTFORD CHECKS AND BALANCES FUND A	0.00	2.40	0.00	2.40	90.0	0.04
12/19/2016	OLIVETI, NICOLE	HARTFORD CHECKS AND BALANCES FUND A	0.00	2.40	0.00	2.40	90.0	0.04
12/19/2016	PISANI, NICHOLAS	HARTFORD CHECKS AND BALANCES FUND A	0.00	3.60	0.00	3.60	90.0	0.06
02/19/2016	SPECTER TRUST, STEPHANIE	HARTFORD DIVIDEND & GROWTH C	0.00	56.15	0.00	56.15	90.0	0.95
02/19/2016	MEDIA ENTERPRISES	HARTFORD DIVIDEND & GROWTH C	0.00	35.02	0.00	35.02	90.0	0.60
02/19/2016	CAMARDO, DONNA	HARTFORD DIVIDEND & GROWTH C	0.00	16.11	0.00	16.11	90.0	0.27
02/19/2016	BALZANO, AUGUSTUS	HARTFORD DIVIDEND & GROWTH C	0.00	11.07	0.00	11.07	90.0	0.19
02/19/2016	HARRIS, MORGAN	HARTFORD DIVIDEND & GROWTH C	0.00	16.12	0.00	16.12	90.0	0.27
03/22/2016	SPECTER TRUST, STEPHANIE	HARTFORD DIVIDEND & GROWTH C	0.00	52.20	0.00	52.20	90.0	0.89
03/22/2016	MEDIA ENTERPRISES	HARTFORD DIVIDEND & GROWTH C	0.00	32.56	0.00	32.56	90.0	0.55
03/22/2016	CAMARDO, DONNA	HARTFORD DIVIDEND & GROWTH C	0.00	14.98	0.00	14.98	90.0	0.25
03/22/2016	BALZANO, AUGUSTUS	HARTFORD DIVIDEND & GROWTH C	0.00	10.29	0.00	10.29	90.0	0.17
03/22/2016	HARRIS, MORGAN	HARTFORD DIVIDEND & GROWTH C	0.00	14.98	0.00	14.98	90.0	0.25
04/18/2016	SPECTER TRUST, STEPHANIE	HARTFORD DIVIDEND & GROWTH C	0.00	59.29	0.00	59.29	90.0	1.01
04/18/2016	MEDIA ENTERPRISES	HARTFORD DIVIDEND & GROWTH C	0.00	36.98	0.00	36.98	90.0	0.63
04/18/2016	CAMARDO, DONNA	HARTFORD DIVIDEND & GROWTH C	0.00	17.01	0.00	17.01	90.0	0.29
04/18/2016	BALZANO, AUGUSTUS	HARTFORD DIVIDEND & GROWTH C	0.00	11.69	0.00	11.69	90.0	0.20
04/18/2016	HARRIS, MORGAN	HARTFORD DIVIDEND & GROWTH C	0.00	17.02	0.00	17.02	90.0	0.29
05/24/2016	SPECTER TRUST, STEPHANIE	HARTFORD DIVIDEND & GROWTH C	0.00	58.87	0.00	58.87	90.0	1.00
05/24/2016	MEDIA ENTERPRISES	HARTFORD DIVIDEND & GROWTH C	0.00	36.71	0.00	36.71	90.0	0.62
05/24/2016	CAMARDO, DONNA	HARTFORD DIVIDEND & GROWTH C	0.00	16.89	0.00	16.89	90.0	0.29
05/24/2016	BALZANO, AUGUSTUS	HARTFORD DIVIDEND & GROWTH C	0.00	11.61	0.00	11.61	90.0	0.20
05/24/2016	HARRIS, MORGAN	HARTFORD DIVIDEND & GROWTH C	0.00	16.90	0.00	16.90	90.0	0.29
06/21/2016	SPECTER TRUST, STEPHANIE	HARTFORD DIVIDEND & GROWTH C	0.00	60.77	0.00	60.77	90.0	1.03
06/21/2016	MEDIA ENTERPRISES	HARTFORD DIVIDEND & GROWTH C	0.00	37.90	0.00	37.90	90.0	0.64
06/21/2016	CAMARDO, DONNA	HARTFORD DIVIDEND & GROWTH C	0.00	17.44	0.00	17.44	90.0	0.30
06/21/2016	BALZANO, AUGUSTUS	HARTFORD DIVIDEND & GROWTH C	0.00	11.98	0.00	11.98	90.0	0.20
06/21/2016	HARRIS, MORGAN	HARTFORD DIVIDEND & GROWTH C	0.00	17.44	0.00	17.44	90.0	0.30
07/18/2016	SPECTER TRUST, STEPHANIE	HARTFORD DIVIDEND & GROWTH C	0.00	59.13	0.00	59.13	90.0	1.01
07/18/2016	MEDIA ENTERPRISES	HARTFORD DIVIDEND & GROWTH C	0.00	36.88	0.00	36.88	90.0	0.63
07/18/2016	CAMARDO, DONNA	HARTFORD DIVIDEND & GROWTH C	0.00	16.97	0.00	16.97	90.0	0.29

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<u> OVERRIDE TRANSACTIONS </u>								
<u> BROKER: MARC, L134 LINSKY #263 </u>								
07/18/2016	BALZANO, AUGUSTUS	HARTFORD DIVIDEND & GROWTH C	0.00	11.66	0.00	11.66	90.0	0.20
07/18/2016	HARRIS, MORGAN	HARTFORD DIVIDEND & GROWTH C	0.00	16.97	0.00	16.97	90.0	0.29
08/16/2016	SPECTER TRUST, STEPHANIE	HARTFORD DIVIDEND & GROWTH C	0.00	62.76	0.00	62.76	90.0	1.07
08/16/2016	MEDIA ENTERPRISES	HARTFORD DIVIDEND & GROWTH C	0.00	39.14	0.00	39.14	90.0	0.67
08/16/2016	CAMARDO, DONNA	HARTFORD DIVIDEND & GROWTH C	0.00	18.01	0.00	18.01	90.0	0.31
08/16/2016	BALZANO, AUGUSTUS	HARTFORD DIVIDEND & GROWTH C	0.00	12.37	0.00	12.37	90.0	0.21
08/16/2016	HARRIS, MORGAN	HARTFORD DIVIDEND & GROWTH C	0.00	18.01	0.00	18.01	90.0	0.31
09/19/2016	SPECTER TRUST, STEPHANIE	HARTFORD DIVIDEND & GROWTH C	0.00	63.49	0.00	63.49	90.0	1.08
09/19/2016	MEDIA ENTERPRISES	HARTFORD DIVIDEND & GROWTH C	0.00	39.60	0.00	39.60	90.0	0.67
09/19/2016	CAMARDO, DONNA	HARTFORD DIVIDEND & GROWTH C	0.00	18.22	0.00	18.22	90.0	0.31
09/19/2016	BALZANO, AUGUSTUS	HARTFORD DIVIDEND & GROWTH C	0.00	12.52	0.00	12.52	90.0	0.21
09/19/2016	HARRIS, MORGAN	HARTFORD DIVIDEND & GROWTH C	0.00	1.75	0.00	1.75	90.0	0.03
09/19/2016	HARRIS, MORGAN	HARTFORD DIVIDEND & GROWTH C	0.00	16.48	0.00	16.48	90.0	0.28
10/17/2016	SPECTER TRUST, STEPHANIE	HARTFORD DIVIDEND & GROWTH C	0.00	61.07	0.00	61.07	90.0	1.04
10/17/2016	MEDIA ENTERPRISES	HARTFORD DIVIDEND & GROWTH C	0.00	38.09	0.00	38.09	90.0	0.65
10/17/2016	CAMARDO, DONNA	HARTFORD DIVIDEND & GROWTH C	0.00	17.52	0.00	17.52	90.0	0.30
10/17/2016	BALZANO, AUGUSTUS	HARTFORD DIVIDEND & GROWTH C	0.00	12.04	0.00	12.04	90.0	0.20
10/17/2016	HARRIS, MORGAN	HARTFORD DIVIDEND & GROWTH C	0.00	17.53	0.00	17.53	90.0	0.30
11/16/2016	SPECTER TRUST, STEPHANIE	HARTFORD DIVIDEND & GROWTH C	0.00	63.05	0.00	63.05	90.0	1.07
11/16/2016	MEDIA ENTERPRISES	HARTFORD DIVIDEND & GROWTH C	0.00	39.32	0.00	39.32	90.0	0.67
11/16/2016	CAMARDO, DONNA	HARTFORD DIVIDEND & GROWTH C	0.00	18.09	0.00	18.09	90.0	0.31
11/16/2016	BALZANO, AUGUSTUS	HARTFORD DIVIDEND & GROWTH C	0.00	12.43	0.00	12.43	90.0	0.21
11/16/2016	HARRIS, MORGAN	HARTFORD DIVIDEND & GROWTH C	0.00	18.10	0.00	18.10	90.0	0.31
12/19/2016	SPECTER TRUST, STEPHANIE	HARTFORD DIVIDEND & GROWTH C	0.00	62.35	0.00	62.35	90.0	1.06
12/19/2016	MEDIA ENTERPRISES	HARTFORD DIVIDEND & GROWTH C	0.00	38.89	0.00	38.89	90.0	0.66
12/19/2016	CAMARDO, DONNA	HARTFORD DIVIDEND & GROWTH C	0.00	17.89	0.00	17.89	90.0	0.30
12/19/2016	BALZANO, AUGUSTUS	HARTFORD DIVIDEND & GROWTH C	0.00	12.29	0.00	12.29	90.0	0.21
12/19/2016	HARRIS, MORGAN	HARTFORD DIVIDEND & GROWTH C	0.00	17.90	0.00	17.90	90.0	0.30
02/19/2016	CAMPAGNA, MARIE	HARTFORD FLOATING RATE C	0.00	10.21	0.00	10.21	90.0	0.17
03/22/2016	CAMPAGNA, MARIE	HARTFORD FLOATING RATE C	0.00	9.39	0.00	9.39	90.0	0.16
04/18/2016	CAMPAGNA, MARIE	HARTFORD FLOATING RATE C	0.00	10.24	0.00	10.24	90.0	0.17
05/24/2016	CAMPAGNA, MARIE	HARTFORD FLOATING RATE C	0.00	10.09	0.00	10.09	90.0	0.17
06/21/2016	CAMPAGNA, MARIE	HARTFORD FLOATING RATE C	0.00	10.55	0.00	10.55	90.0	0.18

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u> OVERRIDE TRANSACTIONS </u>								
<u> BROKER: MARC, L134 LINSKY #263 </u>								
07/18/2016	CAMPAGNA, MARIE	HARTFORD FLOATING RATE C	0.00	10.22	0.00	10.22	90.0	0.17
08/16/2016	CAMPAGNA, MARIE	HARTFORD FLOATING RATE C	0.00	10.60	0.00	10.60	90.0	0.18
09/19/2016	CAMPAGNA, MARIE	HARTFORD FLOATING RATE C	0.00	10.67	0.00	10.67	90.0	0.18
10/17/2016	CAMPAGNA, MARIE	HARTFORD FLOATING RATE C	0.00	10.40	0.00	10.40	90.0	0.18
11/16/2016	CAMPAGNA, MARIE	HARTFORD FLOATING RATE C	0.00	10.85	0.00	10.85	90.0	0.18
12/19/2016	CAMPAGNA, MARIE	HARTFORD FLOATING RATE C	0.00	10.48	0.00	10.48	90.0	0.18
02/19/2016	GODLBERG, SHARON	HARTFORD TOTAL RETURN BOND FUND C	0.00	4.06	0.00	4.06	90.0	0.07
03/22/2016	GODLBERG, SHARON	HARTFORD TOTAL RETURN BOND FUND C	0.00	3.79	0.00	3.79	90.0	0.06
04/18/2016	GODLBERG, SHARON	HARTFORD TOTAL RETURN BOND FUND C	0.00	4.09	0.00	4.09	90.0	0.07
05/24/2016	GODLBERG, SHARON	HARTFORD TOTAL RETURN BOND FUND C	0.00	4.02	0.00	4.02	90.0	0.07
06/21/2016	GODLBERG, SHARON	HARTFORD TOTAL RETURN BOND FUND C	0.00	4.17	0.00	4.17	90.0	0.07
07/18/2016	GODLBERG, SHARON	HARTFORD TOTAL RETURN BOND FUND C	0.00	4.07	0.00	4.07	90.0	0.07
08/16/2016	GODLBERG, SHARON	HARTFORD TOTAL RETURN BOND FUND C	0.00	4.26	0.00	4.26	90.0	0.07
09/19/2016	GODLBERG, SHARON	HARTFORD TOTAL RETURN BOND FUND C	0.00	4.27	0.00	4.27	90.0	0.07
10/17/2016	GODLBERG, SHARON	HARTFORD TOTAL RETURN BOND FUND C	0.00	4.13	0.00	4.13	90.0	0.07
11/16/2016	GODLBERG, SHARON	HARTFORD TOTAL RETURN BOND FUND C	0.00	4.26	0.00	4.26	90.0	0.07
12/19/2016	GODLBERG, SHARON	HARTFORD TOTAL RETURN BOND FUND C	0.00	4.05	0.00	4.05	90.0	0.07
04/22/2016	JACKSON, SHIRLEY	HENDERSON GLOBAL EQUITY INCOME FUND	0.00	58.59	0.00	58.59	90.0	1.00
05/23/2016	JACKSON, SHIRLEY	HENDERSON GLOBAL EQUITY INCOME FUND	0.00	57.38	0.00	57.38	90.0	0.98
06/13/2016	JACKSON, SHIRLEY	HENDERSON GLOBAL EQUITY INCOME FUND	0.00	59.15	0.00	59.15	90.0	1.01
07/15/2016	JACKSON, SHIRLEY	HENDERSON GLOBAL EQUITY INCOME FUND	0.00	56.24	0.00	56.24	90.0	0.96
08/12/2016	JACKSON, SHIRLEY	HENDERSON GLOBAL EQUITY INCOME FUND	0.00	57.51	0.00	57.51	90.0	0.98
09/16/2016	JACKSON, SHIRLEY	HENDERSON GLOBAL EQUITY INCOME FUND	0.00	59.02	0.00	59.02	90.0	1.00
10/17/2016	JACKSON, SHIRLEY	HENDERSON GLOBAL EQUITY INCOME FUND	0.00	56.97	0.00	56.97	90.0	0.97
11/18/2016	JACKSON, SHIRLEY	HENDERSON GLOBAL EQUITY INCOME FUND	0.00	56.86	0.00	56.86	90.0	0.97
12/21/2016	JACKSON, SHIRLEY	HENDERSON GLOBAL EQUITY INCOME FUND	0.00	53.91	0.00	53.91	90.0	0.92
03/31/2016	NAGLE, JOSEPHINE	HIGHLAND FLOATING RATE OPPORTUNITIE	0.00	0.66	0.00	0.66	90.0	0.01
04/20/2016	NAGLE, JOSEPHINE	HIGHLAND FLOATING RATE OPPORTUNITIE	0.00	0.71	0.00	0.71	90.0	0.01
05/26/2016	NAGLE, JOSEPHINE	HIGHLAND FLOATING RATE OPPORTUNITIE	0.00	0.71	0.00	0.71	90.0	0.01
06/22/2016	NAGLE, JOSEPHINE	HIGHLAND FLOATING RATE OPPORTUNITIE	0.00	0.76	0.00	0.76	90.0	0.01
07/20/2016	NAGLE, JOSEPHINE	HIGHLAND FLOATING RATE OPPORTUNITIE	0.00	0.75	0.00	0.75	90.0	0.01
08/17/2016	NAGLE, JOSEPHINE	HIGHLAND FLOATING RATE OPPORTUNITIE	0.00	0.78	0.00	0.78	90.0	0.01
09/14/2016	NAGLE, JOSEPHINE	HIGHLAND FLOATING RATE OPPORTUNITIE	0.00	0.79	0.00	0.79	90.0	0.01

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<u> OVERRIDE TRANSACTIONS </u>								
<u> BROKER: MARC, L134 LINSKY #263 </u>								
10/19/2016	NAGLE, JOSEPHINE	HIGHLAND FLOATING RATE OPPORTUNITIE	0.00	0.77	0.00	0.77	90.0	0.01
11/16/2016	NAGLE, JOSEPHINE	HIGHLAND FLOATING RATE OPPORTUNITIE	0.00	0.52	0.00	0.52	90.0	0.01
02/29/2016	CHERRY, ANDREW	HOTCHKIS & WILEY SMALL-CAP VALUE FU	0.00	2.93	0.00	2.93	90.0	0.05
02/29/2016	CHERRY, ANDREW	HOTCHKIS & WILEY SMALL-CAP VALUE FU	0.00	2.93	0.00	2.93	90.0	0.05
03/31/2016	CHERRY, ANDREW	HOTCHKIS & WILEY SMALL-CAP VALUE FU	0.00	2.63	0.00	2.63	90.0	0.04
03/31/2016	CHERRY, ANDREW	HOTCHKIS & WILEY SMALL-CAP VALUE FU	0.00	2.63	0.00	2.63	90.0	0.04
04/29/2016	CHERRY, ANDREW	HOTCHKIS & WILEY SMALL-CAP VALUE FU	0.00	3.02	0.00	3.02	90.0	0.05
04/29/2016	CHERRY, ANDREW	HOTCHKIS & WILEY SMALL-CAP VALUE FU	0.00	3.02	0.00	3.02	90.0	0.05
05/31/2016	CHERRY, ANDREW	HOTCHKIS & WILEY SMALL-CAP VALUE FU	0.00	3.01	0.00	3.01	90.0	0.05
05/31/2016	CHERRY, ANDREW	HOTCHKIS & WILEY SMALL-CAP VALUE FU	0.00	3.01	0.00	3.01	90.0	0.05
06/30/2016	CHERRY, ANDREW	HOTCHKIS & WILEY SMALL-CAP VALUE FU	0.00	3.06	0.00	3.06	90.0	0.05
06/30/2016	CHERRY, ANDREW	HOTCHKIS & WILEY SMALL-CAP VALUE FU	0.00	3.06	0.00	3.06	90.0	0.05
07/29/2016	CHERRY, ANDREW	HOTCHKIS & WILEY SMALL-CAP VALUE FU	0.00	2.99	0.00	2.99	90.0	0.05
07/29/2016	CHERRY, ANDREW	HOTCHKIS & WILEY SMALL-CAP VALUE FU	0.00	2.99	0.00	2.99	90.0	0.05
08/31/2016	CHERRY, ANDREW	HOTCHKIS & WILEY SMALL-CAP VALUE FU	0.00	3.17	0.00	3.17	90.0	0.05
08/31/2016	CHERRY, ANDREW	HOTCHKIS & WILEY SMALL-CAP VALUE FU	0.00	3.17	0.00	3.17	90.0	0.05
09/29/2016	CHERRY, ANDREW	HOTCHKIS & WILEY SMALL-CAP VALUE FU	0.00	3.27	0.00	3.27	90.0	0.06
09/29/2016	CHERRY, ANDREW	HOTCHKIS & WILEY SMALL-CAP VALUE FU	0.00	3.27	0.00	3.27	90.0	0.06
10/31/2016	CHERRY, ANDREW	HOTCHKIS & WILEY SMALL-CAP VALUE FU	0.00	3.15	0.00	3.15	90.0	0.05
10/31/2016	CHERRY, ANDREW	HOTCHKIS & WILEY SMALL-CAP VALUE FU	0.00	3.15	0.00	3.15	90.0	0.05
11/30/2016	CHERRY, ANDREW	HOTCHKIS & WILEY SMALL-CAP VALUE FU	0.00	3.25	0.00	3.25	90.0	0.06
11/30/2016	CHERRY, ANDREW	HOTCHKIS & WILEY SMALL-CAP VALUE FU	0.00	3.25	0.00	3.25	90.0	0.06
12/30/2016	CHERRY, ANDREW	HOTCHKIS & WILEY SMALL-CAP VALUE FU	0.00	3.37	0.00	3.37	90.0	0.06
12/30/2016	CHERRY, ANDREW	HOTCHKIS & WILEY SMALL-CAP VALUE FU	0.00	3.37	0.00	3.37	90.0	0.06
04/14/2016	SIEMANOWSKI, JOHN	INVESCO AMERICAN FRANCHISE A	0.00	91.16	0.00	91.16	90.0	1.55
04/14/2016	CHERRY, THEO	INVESCO AMERICAN FRANCHISE A	0.00	2.92	0.00	2.92	90.0	0.05
04/14/2016	SIEMANOWSKI, JOHN	INVESCO AMERICAN FRANCHISE A	0.00	191.96	0.00	191.96	90.0	3.26
04/14/2016	FARBMAN, ERIC	INVESCO AMERICAN FRANCHISE A	0.00	6.95	0.00	6.95	90.0	0.12
04/14/2016	WALENCZYK, CHIRSTOPHER	INVESCO AMERICAN FRANCHISE A	0.00	0.36	0.00	0.36	90.0	0.01
04/14/2016	JACKSON, SHIRLEY	INVESCO AMERICAN FRANCHISE A	0.00	42.71	0.00	42.71	90.0	0.73
07/19/2016	SIEMANOWSKI, JOHN	INVESCO AMERICAN FRANCHISE A	0.00	96.14	0.00	96.14	90.0	1.63
07/19/2016	CHERRY, THEO	INVESCO AMERICAN FRANCHISE A	0.00	3.08	0.00	3.08	90.0	0.05
07/19/2016	SIEMANOWSKI, JOHN	INVESCO AMERICAN FRANCHISE A	0.00	202.45	0.00	202.45	90.0	3.44

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<u> OVERRIDE TRANSACTIONS </u>								
<u> BROKER: MARC, L134 LINSKY #263 </u>								
07/19/2016	FARBMAN, ERIC	INVESCO AMERICAN FRANCHISE A	0.00	7.33	0.00	7.33	90.0	0.12
07/19/2016	WALENCZYK, CHIRSTOPHER	INVESCO AMERICAN FRANCHISE A	0.00	0.38	0.00	0.38	90.0	0.01
07/19/2016	JACKSON, SHIRLEY	INVESCO AMERICAN FRANCHISE A	0.00	129.62	0.00	129.62	90.0	2.20
10/17/2016	SIEMANOWSKI, JOHN	INVESCO AMERICAN FRANCHISE A	0.00	102.81	0.00	102.81	90.0	1.75
10/17/2016	CHERRY, THEO	INVESCO AMERICAN FRANCHISE A	0.00	3.29	0.00	3.29	90.0	0.06
10/17/2016	SIEMANOWSKI, JOHN	INVESCO AMERICAN FRANCHISE A	0.00	216.49	0.00	216.49	90.0	3.68
10/17/2016	FARBMAN, ERIC	INVESCO AMERICAN FRANCHISE A	0.00	7.83	0.00	7.83	90.0	0.13
10/17/2016	WALENCZYK, CHIRSTOPHER	INVESCO AMERICAN FRANCHISE A	0.00	0.41	0.00	0.41	90.0	0.01
10/17/2016	JACKSON, SHIRLEY	INVESCO AMERICAN FRANCHISE A	0.00	138.61	0.00	138.61	90.0	2.36
04/14/2016	SIEMANOWSKI, JOHN	INVESCO CHARTER FUND A	0.00	46.20	0.00	46.20	90.0	0.79
07/19/2016	SIEMANOWSKI, JOHN	INVESCO CHARTER FUND A	0.00	49.48	0.00	49.48	90.0	0.84
10/17/2016	SIEMANOWSKI, JOHN	INVESCO CHARTER FUND A	0.00	52.36	0.00	52.36	90.0	0.89
07/19/2016	GUERRIERI, ANTHONY	INVESCO COMSTOCK A	0.00	0.38	0.00	0.38	90.0	0.01
10/17/2016	GUERRIERI, ANTHONY	INVESCO COMSTOCK A	0.00	1.25	0.00	1.25	90.0	0.02
04/14/2016	FARBMAN, ERIC	INVESCO HIGH YIELD FUND A	0.00	11.08	0.00	11.08	90.0	0.19
07/19/2016	FARBMAN, ERIC	INVESCO HIGH YIELD FUND A	0.00	11.72	0.00	11.72	90.0	0.20
10/17/2016	FARBMAN, ERIC	INVESCO HIGH YIELD FUND A	0.00	12.33	0.00	12.33	90.0	0.21
04/14/2016	SIEMANOWSKI, JOHN	INVESCO INTERNATIONAL GROWTH A	0.00	10.46	0.00	10.46	90.0	0.18
04/14/2016	SIEMANOWSKI, JOHN	INVESCO INTERNATIONAL GROWTH A	0.00	32.85	0.00	32.85	90.0	0.56
04/14/2016	JACKSON, SHIRLEY	INVESCO INTERNATIONAL GROWTH A	0.00	2.19	0.00	2.19	90.0	0.04
07/19/2016	SIEMANOWSKI, JOHN	INVESCO INTERNATIONAL GROWTH A	0.00	11.01	0.00	11.01	90.0	0.19
07/19/2016	SIEMANOWSKI, JOHN	INVESCO INTERNATIONAL GROWTH A	0.00	34.56	0.00	34.56	90.0	0.59
07/19/2016	JACKSON, SHIRLEY	INVESCO INTERNATIONAL GROWTH A	0.00	6.50	0.00	6.50	90.0	0.11
10/17/2016	SIEMANOWSKI, JOHN	INVESCO INTERNATIONAL GROWTH A	0.00	11.29	0.00	11.29	90.0	0.19
10/17/2016	SIEMANOWSKI, JOHN	INVESCO INTERNATIONAL GROWTH A	0.00	35.45	0.00	35.45	90.0	0.60
10/17/2016	JACKSON, SHIRLEY	INVESCO INTERNATIONAL GROWTH A	0.00	6.67	0.00	6.67	90.0	0.11
04/14/2016	WALENCZYK, BRENDA	INVESCO MIDCAP CORE EQUITY A	0.00	0.40	0.00	0.40	90.0	0.01
04/14/2016	WALENCZYK, CHIRSTOPHER	INVESCO MIDCAP CORE EQUITY A	0.00	0.81	0.00	0.81	90.0	0.01
07/19/2016	WALENCZYK, BRENDA	INVESCO MIDCAP CORE EQUITY A	0.00	0.43	0.00	0.43	90.0	0.01
07/19/2016	WALENCZYK, CHIRSTOPHER	INVESCO MIDCAP CORE EQUITY A	0.00	0.87	0.00	0.87	90.0	0.01
10/17/2016	WALENCZYK, BRENDA	INVESCO MIDCAP CORE EQUITY A	0.00	0.46	0.00	0.46	90.0	0.01
10/17/2016	WALENCZYK, CHIRSTOPHER	INVESCO MIDCAP CORE EQUITY A	0.00	0.92	0.00	0.92	90.0	0.02
04/14/2016	GOLDBERGER, ANNA	INVESCO SENIOR LOAN FUND IB	0.00	8.24	0.00	8.24	90.0	0.14

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<u> BROKER: MARC, L134 LINSKY #263 </u>								
07/19/2016	GOLDBERGER, ANNA	INVESCO SENIOR LOAN FUND IB	0.00	8.60	0.00	8.60	90.0	0.15
07/19/2016	PERETTI, FRANCES	INVESCO SENIOR LOAN FUND IB	0.00	13.06	0.00	13.06	90.0	0.22
10/17/2016	GOLDBERGER, ANNA	INVESCO SENIOR LOAN FUND IB	0.00	8.96	0.00	8.96	90.0	0.15
10/17/2016	PERETTI, FRANCES	INVESCO SENIOR LOAN FUND IB	0.00	2.95	0.00	2.95	90.0	0.05
04/14/2016	BOWERS, DORA	INVESCO SMALL CAP DISCOVERY A	0.00	0.32	0.00	0.32	90.0	0.01
07/19/2016	BOWERS, DORA	INVESCO SMALL CAP DISCOVERY A	0.00	0.35	0.00	0.35	90.0	0.01
10/17/2016	BOWERS, DORA	INVESCO SMALL CAP DISCOVERY A	0.00	0.37	0.00	0.37	90.0	0.01
04/14/2016	FARBMAN, ERIC	INVESCO STRUCTURED CORE A	0.00	13.05	0.00	13.05	90.0	0.22
07/19/2016	FARBMAN, ERIC	INVESCO STRUCTURED CORE A	0.00	13.96	0.00	13.96	90.0	0.24
10/17/2016	FARBMAN, ERIC	INVESCO STRUCTURED CORE A	0.00	14.67	0.00	14.67	90.0	0.25
04/14/2016	WALENCZYK, BRENDA	INVESCO VALUE OPP A	0.00	0.30	0.00	0.30	90.0	0.01
04/14/2016	WALENCZYK, CHIRSTOPHER	INVESCO VALUE OPP A	0.00	0.58	0.00	0.58	90.0	0.01
07/19/2016	WALENCZYK, BRENDA	INVESCO VALUE OPP A	0.00	0.32	0.00	0.32	90.0	0.01
07/19/2016	WALENCZYK, CHIRSTOPHER	INVESCO VALUE OPP A	0.00	0.63	0.00	0.63	90.0	0.01
10/17/2016	WALENCZYK, BRENDA	INVESCO VALUE OPP A	0.00	0.33	0.00	0.33	90.0	0.01
10/17/2016	WALENCZYK, CHIRSTOPHER	INVESCO VALUE OPP A	0.00	0.64	0.00	0.64	90.0	0.01
02/08/2016	BOWERS, DORA	JANUS FUND CLASS A	0.00	0.92	0.00	0.92	90.0	0.02
03/09/2016	BOWERS, DORA	JANUS FUND CLASS A	0.00	0.83	0.00	0.83	90.0	0.01
04/12/2016	BOWERS, DORA	JANUS FUND CLASS A	0.00	0.94	0.00	0.94	90.0	0.02
05/11/2016	BOWERS, DORA	JANUS FUND CLASS A	0.00	0.93	0.00	0.93	90.0	0.02
06/14/2016	BOWERS, DORA	JANUS FUND CLASS A	0.00	0.96	0.00	0.96	90.0	0.02
07/12/2016	BOWERS, DORA	JANUS FUND CLASS A	0.00	0.93	0.00	0.93	90.0	0.02
08/08/2016	BOWERS, DORA	JANUS FUND CLASS A	0.00	0.99	0.00	0.99	90.0	0.02
09/12/2016	BOWERS, DORA	JANUS FUND CLASS A	0.00	1.01	0.00	1.01	90.0	0.02
10/12/2016	BOWERS, DORA	JANUS FUND CLASS A	0.00	0.97	0.00	0.97	90.0	0.02
11/10/2016	BOWERS, DORA	JANUS FUND CLASS A	0.00	0.99	0.00	0.99	90.0	0.02
12/15/2016	BOWERS, DORA	JANUS FUND CLASS A	0.00	0.95	0.00	0.95	90.0	0.02
02/19/2016	CENTANNI, RICHARD	JP MORGAN MID CAP VALUE FUND CLASS	0.00	0.48	0.00	0.48	90.0	0.01
03/17/2016	CENTANNI, RICHARD	JP MORGAN MID CAP VALUE FUND CLASS	0.00	0.45	0.00	0.45	90.0	0.01
04/25/2016	CENTANNI, RICHARD	JP MORGAN MID CAP VALUE FUND CLASS	0.00	0.52	0.00	0.52	90.0	0.01
05/16/2016	CENTANNI, RICHARD	JP MORGAN MID CAP VALUE FUND CLASS	0.00	0.52	0.00	0.52	90.0	0.01
06/20/2016	CENTANNI, RICHARD	JP MORGAN MID CAP VALUE FUND CLASS	0.00	0.53	0.00	0.53	90.0	0.01
07/25/2016	CENTANNI, RICHARD	JP MORGAN MID CAP VALUE FUND CLASS	0.00	0.52	0.00	0.52	90.0	0.01

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<u>BROKER: MARC, L134 LINSKY #263</u>								
08/15/2016	CENTANNI, RICHARD	JP MORGAN MID CAP VALUE FUND CLASS	0.00	0.55	0.00	0.55	90.0	0.01
09/15/2016	CENTANNI, RICHARD	JP MORGAN MID CAP VALUE FUND CLASS	0.00	0.56	0.00	0.56	90.0	0.01
10/14/2016	CENTANNI, RICHARD	JP MORGAN MID CAP VALUE FUND CLASS	0.00	0.54	0.00	0.54	90.0	0.01
11/21/2016	CENTANNI, RICHARD	JP MORGAN MID CAP VALUE FUND CLASS	0.00	0.55	0.00	0.55	90.0	0.01
12/16/2016	CENTANNI, RICHARD	JP MORGAN MID CAP VALUE FUND CLASS	0.00	0.55	0.00	0.55	90.0	0.01
02/01/2018	PISANI, CARLA	LINCOLN BENEFIT LIFE	541.00	25.70	0.00	25.70	90.0	0.44
02/01/2018	PISANI, NICHOLAS	LINCOLN BENEFIT LIFE	250.00	10.00	0.00	10.00	90.0	0.17
04/21/2016	JACKSON, SHIRLEY	LORD ABBETT AFFILIATED A	0.00	1.73	0.00	1.73	90.0	0.03
05/23/2016	JACKSON, SHIRLEY	LORD ABBETT AFFILIATED A	0.00	1.71	0.00	1.71	90.0	0.03
06/21/2016	JACKSON, SHIRLEY	LORD ABBETT AFFILIATED A	0.00	1.77	0.00	1.77	90.0	0.03
07/21/2016	JACKSON, SHIRLEY	LORD ABBETT AFFILIATED A	0.00	1.73	0.00	1.73	90.0	0.03
08/22/2016	JACKSON, SHIRLEY	LORD ABBETT AFFILIATED A	0.00	1.85	0.00	1.85	90.0	0.03
09/21/2016	JACKSON, SHIRLEY	LORD ABBETT AFFILIATED A	0.00	1.87	0.00	1.87	90.0	0.03
10/20/2016	JACKSON, SHIRLEY	LORD ABBETT AFFILIATED A	0.00	1.80	0.00	1.80	90.0	0.03
11/21/2016	JACKSON, SHIRLEY	LORD ABBETT AFFILIATED A	0.00	1.85	0.00	1.85	90.0	0.03
12/21/2016	JACKSON, SHIRLEY	LORD ABBETT AFFILIATED A	0.00	1.85	0.00	1.85	90.0	0.03
02/22/2016	MEDIA ENTERPRISES	LORD ABBETT BOND DEBENTURE A	0.00	2.48	0.00	2.48	90.0	0.04
02/22/2016	MEDIA ENTERPRISES	LORD ABBETT BOND DEBENTURE A	0.00	1.74	0.00	1.74	90.0	0.03
02/22/2016	LA CORTE, CYNTHIA	LORD ABBETT BOND DEBENTURE A	0.00	1.62	0.00	1.62	90.0	0.03
02/22/2016	DEBRIELLE-HEALEY, ELIZABETH	LORD ABBETT BOND DEBENTURE A	0.00	2.31	0.00	2.31	90.0	0.04
02/22/2016	GUERRIERI, BERNICE	LORD ABBETT BOND DEBENTURE A	0.00	0.67	0.00	0.67	90.0	0.01
02/22/2016	LAISO, MICHAEL	LORD ABBETT BOND DEBENTURE A	0.00	7.13	0.00	7.13	90.0	0.12
02/22/2016	STRAUS, KAREN	LORD ABBETT BOND DEBENTURE A	0.00	2.26	0.00	2.26	90.0	0.04
03/22/2016	MEDIA ENTERPRISES	LORD ABBETT BOND DEBENTURE A	0.00	2.28	0.00	2.28	90.0	0.04
03/22/2016	MEDIA ENTERPRISES	LORD ABBETT BOND DEBENTURE A	0.00	1.59	0.00	1.59	90.0	0.03
03/22/2016	LA CORTE, CYNTHIA	LORD ABBETT BOND DEBENTURE A	0.00	1.40	0.00	1.40	90.0	0.02
03/22/2016	DEBRIELLE-HEALEY, ELIZABETH	LORD ABBETT BOND DEBENTURE A	0.00	2.12	0.00	2.12	90.0	0.04
03/22/2016	GUERRIERI, BERNICE	LORD ABBETT BOND DEBENTURE A	0.00	0.61	0.00	0.61	90.0	0.01
03/22/2016	LAISO, MICHAEL	LORD ABBETT BOND DEBENTURE A	0.00	6.52	0.00	6.52	90.0	0.11
03/22/2016	STRAUS, KAREN	LORD ABBETT BOND DEBENTURE A	0.00	2.08	0.00	2.08	90.0	0.04
04/21/2016	MEDIA ENTERPRISES	LORD ABBETT BOND DEBENTURE A	0.00	2.54	0.00	2.54	90.0	0.04
04/21/2016	MEDIA ENTERPRISES	LORD ABBETT BOND DEBENTURE A	0.00	1.78	0.00	1.78	90.0	0.03
04/21/2016	LA CORTE, CYNTHIA	LORD ABBETT BOND DEBENTURE A	0.00	1.48	0.00	1.48	90.0	0.03

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u> OVERRIDE TRANSACTIONS </u>								
<u> BROKER: MARC, L134 LINSKY #263 </u>								
04/21/2016	DEBRIELLE-HEALEY, ELIZABETH	LORD ABBETT BOND DEBENTURE A	0.00	2.36	0.00	2.36	90.0	0.04
04/21/2016	LAISO, MICHAEL	LORD ABBETT BOND DEBENTURE A	0.00	7.24	0.00	7.24	90.0	0.12
04/21/2016	STRAUS, KAREN	LORD ABBETT BOND DEBENTURE A	0.00	2.32	0.00	2.32	90.0	0.04
05/23/2016	MEDIA ENTERPRISES	LORD ABBETT BOND DEBENTURE A	0.00	2.52	0.00	2.52	90.0	0.04
05/23/2016	MEDIA ENTERPRISES	LORD ABBETT BOND DEBENTURE A	0.00	1.76	0.00	1.76	90.0	0.03
05/23/2016	LA CORTE, CYNTHIA	LORD ABBETT BOND DEBENTURE A	0.00	1.38	0.00	1.38	90.0	0.02
05/23/2016	DEBRIELLE-HEALEY, ELIZABETH	LORD ABBETT BOND DEBENTURE A	0.00	2.34	0.00	2.34	90.0	0.04
05/23/2016	LAISO, MICHAEL	LORD ABBETT BOND DEBENTURE A	0.00	7.15	0.00	7.15	90.0	0.12
05/23/2016	STRAUS, KAREN	LORD ABBETT BOND DEBENTURE A	0.00	2.29	0.00	2.29	90.0	0.04
06/21/2016	MEDIA ENTERPRISES	LORD ABBETT BOND DEBENTURE A	0.00	2.63	0.00	2.63	90.0	0.04
06/21/2016	MEDIA ENTERPRISES	LORD ABBETT BOND DEBENTURE A	0.00	1.84	0.00	1.84	90.0	0.03
06/21/2016	LA CORTE, CYNTHIA	LORD ABBETT BOND DEBENTURE A	0.00	1.36	0.00	1.36	90.0	0.02
06/21/2016	DEBRIELLE-HEALEY, ELIZABETH	LORD ABBETT BOND DEBENTURE A	0.00	2.45	0.00	2.45	90.0	0.04
06/21/2016	LAISO, MICHAEL	LORD ABBETT BOND DEBENTURE A	0.00	7.44	0.00	7.44	90.0	0.13
06/21/2016	STRAUS, KAREN	LORD ABBETT BOND DEBENTURE A	0.00	2.40	0.00	2.40	90.0	0.04
07/21/2016	MEDIA ENTERPRISES	LORD ABBETT BOND DEBENTURE A	0.00	2.58	0.00	2.58	90.0	0.04
07/21/2016	MEDIA ENTERPRISES	LORD ABBETT BOND DEBENTURE A	0.00	1.80	0.00	1.80	90.0	0.03
07/21/2016	LA CORTE, CYNTHIA	LORD ABBETT BOND DEBENTURE A	0.00	1.25	0.00	1.25	90.0	0.02
07/21/2016	DEBRIELLE-HEALEY, ELIZABETH	LORD ABBETT BOND DEBENTURE A	0.00	2.40	0.00	2.40	90.0	0.04
07/21/2016	LAISO, MICHAEL	LORD ABBETT BOND DEBENTURE A	0.00	7.26	0.00	7.26	90.0	0.12
07/21/2016	STRAUS, KAREN	LORD ABBETT BOND DEBENTURE A	0.00	2.35	0.00	2.35	90.0	0.04
08/22/2016	MEDIA ENTERPRISES	LORD ABBETT BOND DEBENTURE A	0.00	2.74	0.00	2.74	90.0	0.05
08/22/2016	MEDIA ENTERPRISES	LORD ABBETT BOND DEBENTURE A	0.00	1.91	0.00	1.91	90.0	0.03
08/22/2016	LA CORTE, CYNTHIA	LORD ABBETT BOND DEBENTURE A	0.00	1.24	0.00	1.24	90.0	0.02
08/22/2016	DEBRIELLE-HEALEY, ELIZABETH	LORD ABBETT BOND DEBENTURE A	0.00	2.54	0.00	2.54	90.0	0.04
08/22/2016	LAISO, MICHAEL	LORD ABBETT BOND DEBENTURE A	0.00	7.67	0.00	7.67	90.0	0.13
08/22/2016	STRAUS, KAREN	LORD ABBETT BOND DEBENTURE A	0.00	2.49	0.00	2.49	90.0	0.04
09/21/2016	MEDIA ENTERPRISES	LORD ABBETT BOND DEBENTURE A	0.00	2.78	0.00	2.78	90.0	0.05
09/21/2016	MEDIA ENTERPRISES	LORD ABBETT BOND DEBENTURE A	0.00	1.94	0.00	1.94	90.0	0.03
09/21/2016	LA CORTE, CYNTHIA	LORD ABBETT BOND DEBENTURE A	0.00	1.17	0.00	1.17	90.0	0.02
09/21/2016	DEBRIELLE-HEALEY, ELIZABETH	LORD ABBETT BOND DEBENTURE A	0.00	2.58	0.00	2.58	90.0	0.04
09/21/2016	LAISO, MICHAEL	LORD ABBETT BOND DEBENTURE A	0.00	7.77	0.00	7.77	90.0	0.13
09/21/2016	STRAUS, KAREN	LORD ABBETT BOND DEBENTURE A	0.00	2.53	0.00	2.53	90.0	0.04

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<u> OVERRIDE TRANSACTIONS </u>								
<u> BROKER: MARC, L134 LINSKY #263 </u>								
10/20/2016	MEDIA ENTERPRISES	LORD ABBETT BOND DEBENTURE A	0.00	2.70	0.00	2.70	90.0	0.05
10/20/2016	MEDIA ENTERPRISES	LORD ABBETT BOND DEBENTURE A	0.00	1.89	0.00	1.89	90.0	0.03
10/20/2016	LA CORTE, CYNTHIA	LORD ABBETT BOND DEBENTURE A	0.00	1.06	0.00	1.06	90.0	0.02
10/20/2016	DEBRIELLE-HEALEY, ELIZABETH	LORD ABBETT BOND DEBENTURE A	0.00	2.51	0.00	2.51	90.0	0.04
10/20/2016	LAISO, MICHAEL	LORD ABBETT BOND DEBENTURE A	0.00	7.52	0.00	7.52	90.0	0.13
10/20/2016	STRAUS, KAREN	LORD ABBETT BOND DEBENTURE A	0.00	2.46	0.00	2.46	90.0	0.04
11/21/2016	MEDIA ENTERPRISES	LORD ABBETT BOND DEBENTURE A	0.00	2.81	0.00	2.81	90.0	0.05
11/21/2016	MEDIA ENTERPRISES	LORD ABBETT BOND DEBENTURE A	0.00	1.97	0.00	1.97	90.0	0.03
11/21/2016	LA CORTE, CYNTHIA	LORD ABBETT BOND DEBENTURE A	0.00	1.03	0.00	1.03	90.0	0.02
11/21/2016	DEBRIELLE-HEALEY, ELIZABETH	LORD ABBETT BOND DEBENTURE A	0.00	2.61	0.00	2.61	90.0	0.04
11/21/2016	LAISO, MICHAEL	LORD ABBETT BOND DEBENTURE A	0.00	7.80	0.00	7.80	90.0	0.13
11/21/2016	STRAUS, KAREN	LORD ABBETT BOND DEBENTURE A	0.00	2.48	0.00	2.48	90.0	0.04
12/21/2016	MEDIA ENTERPRISES	LORD ABBETT BOND DEBENTURE A	0.00	2.70	0.00	2.70	90.0	0.05
12/21/2016	MEDIA ENTERPRISES	LORD ABBETT BOND DEBENTURE A	0.00	1.89	0.00	1.89	90.0	0.03
12/21/2016	LA CORTE, CYNTHIA	LORD ABBETT BOND DEBENTURE A	0.00	0.89	0.00	0.89	90.0	0.02
12/21/2016	DEBRIELLE-HEALEY, ELIZABETH	LORD ABBETT BOND DEBENTURE A	0.00	2.51	0.00	2.51	90.0	0.04
12/21/2016	LAISO, MICHAEL	LORD ABBETT BOND DEBENTURE A	0.00	7.45	0.00	7.45	90.0	0.13
12/21/2016	STRAUS, KAREN	LORD ABBETT BOND DEBENTURE A	0.00	2.38	0.00	2.38	90.0	0.04
02/22/2016	CHERRY, ADAM	LORD ABBETT BOND DEBENTURE C	0.00	96.93	0.00	96.93	90.0	1.65
02/22/2016	HUDSON TRUST OF 2000, ROBERT	LORD ABBETT BOND DEBENTURE C	0.00	99.30	0.00	99.30	90.0	1.69
02/22/2016	YANKOWITZ, HARRIETT	LORD ABBETT BOND DEBENTURE C	0.00	23.86	0.00	23.86	90.0	0.41
02/22/2016	TOBIAS, DAVID	LORD ABBETT BOND DEBENTURE C	0.00	17.92	0.00	17.92	90.0	0.30
03/22/2016	CHERRY, ADAM	LORD ABBETT BOND DEBENTURE C	0.00	88.95	0.00	88.95	90.0	1.51
03/22/2016	HUDSON TRUST OF 2000, ROBERT	LORD ABBETT BOND DEBENTURE C	0.00	91.12	0.00	91.12	90.0	1.55
03/22/2016	YANKOWITZ, HARRIETT	LORD ABBETT BOND DEBENTURE C	0.00	21.90	0.00	21.90	90.0	0.37
03/22/2016	TOBIAS, DAVID	LORD ABBETT BOND DEBENTURE C	0.00	16.39	0.00	16.39	90.0	0.28
04/21/2016	CHERRY, ADAM	LORD ABBETT BOND DEBENTURE C	0.00	99.07	0.00	99.07	90.0	1.68
04/21/2016	HUDSON TRUST OF 2000, ROBERT	LORD ABBETT BOND DEBENTURE C	0.00	101.50	0.00	101.50	90.0	1.73
04/21/2016	YANKOWITZ, HARRIETT	LORD ABBETT BOND DEBENTURE C	0.00	24.39	0.00	24.39	90.0	0.41
04/21/2016	TOBIAS, DAVID	LORD ABBETT BOND DEBENTURE C	0.00	18.21	0.00	18.21	90.0	0.31
05/23/2016	CHERRY, ADAM	LORD ABBETT BOND DEBENTURE C	0.00	98.10	0.00	98.10	90.0	1.67
05/23/2016	HUDSON TRUST OF 2000, ROBERT	LORD ABBETT BOND DEBENTURE C	0.00	100.50	0.00	100.50	90.0	1.71
05/23/2016	YANKOWITZ, HARRIETT	LORD ABBETT BOND DEBENTURE C	0.00	24.15	0.00	24.15	90.0	0.41

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<u> OVERRIDE TRANSACTIONS </u>								
<u> BROKER: MARC, L134 LINSKY #263 </u>								
05/23/2016	TOBIAS, DAVID	LORD ABBETT BOND DEBENTURE C	0.00	17.97	0.00	17.97	90.0	0.31
06/21/2016	CHERRY, ADAM	LORD ABBETT BOND DEBENTURE C	0.00	102.45	0.00	102.45	90.0	1.74
06/21/2016	HUDSON TRUST OF 2000, ROBERT	LORD ABBETT BOND DEBENTURE C	0.00	104.95	0.00	104.95	90.0	1.78
06/21/2016	YANKOWITZ, HARRIETT	LORD ABBETT BOND DEBENTURE C	0.00	25.22	0.00	25.22	90.0	0.43
06/21/2016	TOBIAS, DAVID	LORD ABBETT BOND DEBENTURE C	0.00	18.71	0.00	18.71	90.0	0.32
07/21/2016	CHERRY, ADAM	LORD ABBETT BOND DEBENTURE C	0.00	100.26	0.00	100.26	90.0	1.70
07/21/2016	HUDSON TRUST OF 2000, ROBERT	LORD ABBETT BOND DEBENTURE C	0.00	102.71	0.00	102.71	90.0	1.75
07/21/2016	YANKOWITZ, HARRIETT	LORD ABBETT BOND DEBENTURE C	0.00	24.68	0.00	24.68	90.0	0.42
07/21/2016	TOBIAS, DAVID	LORD ABBETT BOND DEBENTURE C	0.00	18.26	0.00	18.26	90.0	0.31
08/22/2016	CHERRY, ADAM	LORD ABBETT BOND DEBENTURE C	0.00	106.35	0.00	106.35	90.0	1.81
08/22/2016	HUDSON TRUST OF 2000, ROBERT	LORD ABBETT BOND DEBENTURE C	0.00	108.95	0.00	108.95	90.0	1.85
08/22/2016	YANKOWITZ, HARRIETT	LORD ABBETT BOND DEBENTURE C	0.00	26.18	0.00	26.18	90.0	0.45
08/22/2016	TOBIAS, DAVID	LORD ABBETT BOND DEBENTURE C	0.00	19.29	0.00	19.29	90.0	0.33
09/21/2016	CHERRY, ADAM	LORD ABBETT BOND DEBENTURE C	0.00	108.77	0.00	108.77	90.0	1.85
09/21/2016	HUDSON TRUST OF 2000, ROBERT	LORD ABBETT BOND DEBENTURE C	0.00	111.43	0.00	111.43	90.0	1.89
09/21/2016	YANKOWITZ, HARRIETT	LORD ABBETT BOND DEBENTURE C	0.00	26.78	0.00	26.78	90.0	0.46
09/21/2016	TOBIAS, DAVID	LORD ABBETT BOND DEBENTURE C	0.00	19.54	0.00	19.54	90.0	0.33
10/20/2016	CHERRY, ADAM	LORD ABBETT BOND DEBENTURE C	0.00	105.58	0.00	105.58	90.0	1.79
10/20/2016	HUDSON TRUST OF 2000, ROBERT	LORD ABBETT BOND DEBENTURE C	0.00	108.16	0.00	108.16	90.0	1.84
10/20/2016	YANKOWITZ, HARRIETT	LORD ABBETT BOND DEBENTURE C	0.00	25.99	0.00	25.99	90.0	0.44
10/20/2016	TOBIAS, DAVID	LORD ABBETT BOND DEBENTURE C	0.00	18.91	0.00	18.91	90.0	0.32
11/21/2016	CHERRY, ADAM	LORD ABBETT BOND DEBENTURE C	0.00	109.81	0.00	109.81	90.0	1.87
11/21/2016	HUDSON TRUST OF 2000, ROBERT	LORD ABBETT BOND DEBENTURE C	0.00	112.50	0.00	112.50	90.0	1.91
11/21/2016	YANKOWITZ, HARRIETT	LORD ABBETT BOND DEBENTURE C	0.00	27.03	0.00	27.03	90.0	0.46
11/21/2016	TOBIAS, DAVID	LORD ABBETT BOND DEBENTURE C	0.00	19.60	0.00	19.60	90.0	0.33
12/21/2016	CHERRY, ADAM	LORD ABBETT BOND DEBENTURE C	0.00	105.30	0.00	105.30	90.0	1.79
12/21/2016	HUDSON TRUST OF 2000, ROBERT	LORD ABBETT BOND DEBENTURE C	0.00	107.88	0.00	107.88	90.0	1.83
12/21/2016	YANKOWITZ, HARRIETT	LORD ABBETT BOND DEBENTURE C	0.00	25.92	0.00	25.92	90.0	0.44
12/21/2016	TOBIAS, DAVID	LORD ABBETT BOND DEBENTURE C	0.00	18.74	0.00	18.74	90.0	0.32
02/22/2016	LINSKY, LISA	LORD ABBETT FUNDAMENTAL EQUITY A	0.00	0.68	0.00	0.68	90.0	0.01
02/22/2016	MEDIA ENTERPRISES	LORD ABBETT FUNDAMENTAL EQUITY A	0.00	4.06	0.00	4.06	90.0	0.07
02/22/2016	MEDIA ENTERPRISES	LORD ABBETT FUNDAMENTAL EQUITY A	0.00	3.15	0.00	3.15	90.0	0.05
02/22/2016	MEDIA ENTERPRISES	LORD ABBETT FUNDAMENTAL EQUITY A	0.00	3.29	0.00	3.29	90.0	0.06

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<u> OVERRIDE TRANSACTIONS </u>								
<u> BROKER: MARC, L134 LINSKY #263 </u>								
03/22/2016	LINSKY, LISA	LORD ABBETT FUNDAMENTAL EQUITY A	0.00	0.63	0.00	0.63	90.0	0.01
03/22/2016	MEDIA ENTERPRISES	LORD ABBETT FUNDAMENTAL EQUITY A	0.00	3.74	0.00	3.74	90.0	0.06
03/22/2016	MEDIA ENTERPRISES	LORD ABBETT FUNDAMENTAL EQUITY A	0.00	2.91	0.00	2.91	90.0	0.05
03/22/2016	MEDIA ENTERPRISES	LORD ABBETT FUNDAMENTAL EQUITY A	0.00	3.03	0.00	3.03	90.0	0.05
04/21/2016	LINSKY, LISA	LORD ABBETT FUNDAMENTAL EQUITY A	0.00	0.72	0.00	0.72	90.0	0.01
04/21/2016	MEDIA ENTERPRISES	LORD ABBETT FUNDAMENTAL EQUITY A	0.00	4.26	0.00	4.26	90.0	0.07
04/21/2016	MEDIA ENTERPRISES	LORD ABBETT FUNDAMENTAL EQUITY A	0.00	3.30	0.00	3.30	90.0	0.06
04/21/2016	MEDIA ENTERPRISES	LORD ABBETT FUNDAMENTAL EQUITY A	0.00	3.44	0.00	3.44	90.0	0.06
05/23/2016	LINSKY, LISA	LORD ABBETT FUNDAMENTAL EQUITY A	0.00	0.71	0.00	0.71	90.0	0.01
05/23/2016	MEDIA ENTERPRISES	LORD ABBETT FUNDAMENTAL EQUITY A	0.00	4.24	0.00	4.24	90.0	0.07
05/23/2016	MEDIA ENTERPRISES	LORD ABBETT FUNDAMENTAL EQUITY A	0.00	3.29	0.00	3.29	90.0	0.06
05/23/2016	MEDIA ENTERPRISES	LORD ABBETT FUNDAMENTAL EQUITY A	0.00	3.43	0.00	3.43	90.0	0.06
06/21/2016	LINSKY, LISA	LORD ABBETT FUNDAMENTAL EQUITY A	0.00	0.74	0.00	0.74	90.0	0.01
06/21/2016	MEDIA ENTERPRISES	LORD ABBETT FUNDAMENTAL EQUITY A	0.00	4.43	0.00	4.43	90.0	0.08
06/21/2016	MEDIA ENTERPRISES	LORD ABBETT FUNDAMENTAL EQUITY A	0.00	3.44	0.00	3.44	90.0	0.06
06/21/2016	MEDIA ENTERPRISES	LORD ABBETT FUNDAMENTAL EQUITY A	0.00	3.58	0.00	3.58	90.0	0.06
07/21/2016	LINSKY, LISA	LORD ABBETT FUNDAMENTAL EQUITY A	0.00	0.73	0.00	0.73	90.0	0.01
07/21/2016	MEDIA ENTERPRISES	LORD ABBETT FUNDAMENTAL EQUITY A	0.00	4.34	0.00	4.34	90.0	0.07
07/21/2016	MEDIA ENTERPRISES	LORD ABBETT FUNDAMENTAL EQUITY A	0.00	3.36	0.00	3.36	90.0	0.06
07/21/2016	MEDIA ENTERPRISES	LORD ABBETT FUNDAMENTAL EQUITY A	0.00	3.51	0.00	3.51	90.0	0.06
08/22/2016	LINSKY, LISA	LORD ABBETT FUNDAMENTAL EQUITY A	0.00	0.77	0.00	0.77	90.0	0.01
08/22/2016	MEDIA ENTERPRISES	LORD ABBETT FUNDAMENTAL EQUITY A	0.00	4.59	0.00	4.59	90.0	0.08
08/22/2016	MEDIA ENTERPRISES	LORD ABBETT FUNDAMENTAL EQUITY A	0.00	3.56	0.00	3.56	90.0	0.06
08/22/2016	MEDIA ENTERPRISES	LORD ABBETT FUNDAMENTAL EQUITY A	0.00	3.23	0.00	3.23	90.0	0.05
09/21/2016	LINSKY, LISA	LORD ABBETT FUNDAMENTAL EQUITY A	0.00	0.78	0.00	0.78	90.0	0.01
09/21/2016	MEDIA ENTERPRISES	LORD ABBETT FUNDAMENTAL EQUITY A	0.00	4.66	0.00	4.66	90.0	0.08
09/21/2016	MEDIA ENTERPRISES	LORD ABBETT FUNDAMENTAL EQUITY A	0.00	3.61	0.00	3.61	90.0	0.06
10/20/2016	LINSKY, LISA	LORD ABBETT FUNDAMENTAL EQUITY A	0.00	0.75	0.00	0.75	90.0	0.01
10/20/2016	MEDIA ENTERPRISES	LORD ABBETT FUNDAMENTAL EQUITY A	0.00	4.48	0.00	4.48	90.0	0.08
10/20/2016	MEDIA ENTERPRISES	LORD ABBETT FUNDAMENTAL EQUITY A	0.00	3.48	0.00	3.48	90.0	0.06
11/21/2016	LINSKY, LISA	LORD ABBETT FUNDAMENTAL EQUITY A	0.00	0.78	0.00	0.78	90.0	0.01
11/21/2016	MEDIA ENTERPRISES	LORD ABBETT FUNDAMENTAL EQUITY A	0.00	4.64	0.00	4.64	90.0	0.08
11/21/2016	MEDIA ENTERPRISES	LORD ABBETT FUNDAMENTAL EQUITY A	0.00	3.60	0.00	3.60	90.0	0.06

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u> OVERRIDE TRANSACTIONS </u>								
<u> BROKER: MARC, L134 LINSKY #263 </u>								
12/21/2016	LINSKY, LISA	LORD ABBETT FUNDAMENTAL EQUITY A	0.00	0.77	0.00	0.77	90.0	0.01
12/21/2016	MEDIA ENTERPRISES	LORD ABBETT FUNDAMENTAL EQUITY A	0.00	4.60	0.00	4.60	90.0	0.08
12/21/2016	MEDIA ENTERPRISES	LORD ABBETT FUNDAMENTAL EQUITY A	0.00	3.57	0.00	3.57	90.0	0.06
02/15/2018	MEDIA ENTERPRISES	LORD ABBETT FUNDAMENTAL EQUITY A	1,562.85	50.79	22.00	28.79	90.0	0.49
02/15/2018	MEDIA ENTERPRISES	LORD ABBETT FUNDAMENTAL EQUITY A	1,318.23	42.84	22.00	20.84	90.0	0.35
02/15/2018	MEDIA ENTERPRISES	LORD ABBETT FUNDAMENTAL EQUITY A	462.06	15.02	22.00	-6.98	90.0	-0.12
02/15/2018	MEDIA ENTERPRISES	LORD ABBETT FUNDAMENTAL EQUITY A	502.83	16.34	22.00	-5.66	90.0	-0.10
02/22/2018	ROMERO, MARIA	LORD ABBETT FUNDAMENTAL EQUITY A	995.72	49.79	22.00	27.79	90.0	0.47
02/22/2016	MILGRAM, EVE	LORD ABBETT FUNDAMENTAL EQUITY CL C	0.00	7.33	0.00	7.33	90.0	0.12
02/22/2016	TAROFF, DANIELLE	LORD ABBETT FUNDAMENTAL EQUITY CL C	0.00	8.23	0.00	8.23	90.0	0.14
02/22/2016	TAROFF, DANIELLE	LORD ABBETT FUNDAMENTAL EQUITY CL C	0.00	4.47	0.00	4.47	90.0	0.08
02/22/2016	OLIVETI, NICOLE	LORD ABBETT FUNDAMENTAL EQUITY CL C	0.00	4.67	0.00	4.67	90.0	0.08
02/22/2016	YANKOWITZ, HARRIETT	LORD ABBETT FUNDAMENTAL EQUITY CL C	0.00	12.25	0.00	12.25	90.0	0.21
03/22/2016	MILGRAM, EVE	LORD ABBETT FUNDAMENTAL EQUITY CL C	0.00	6.75	0.00	6.75	90.0	0.11
03/22/2016	TAROFF, DANIELLE	LORD ABBETT FUNDAMENTAL EQUITY CL C	0.00	7.58	0.00	7.58	90.0	0.13
03/22/2016	TAROFF, DANIELLE	LORD ABBETT FUNDAMENTAL EQUITY CL C	0.00	4.12	0.00	4.12	90.0	0.07
03/22/2016	OLIVETI, NICOLE	LORD ABBETT FUNDAMENTAL EQUITY CL C	0.00	4.30	0.00	4.30	90.0	0.07
03/22/2016	YANKOWITZ, HARRIETT	LORD ABBETT FUNDAMENTAL EQUITY CL C	0.00	11.29	0.00	11.29	90.0	0.19
04/21/2016	MILGRAM, EVE	LORD ABBETT FUNDAMENTAL EQUITY CL C	0.00	7.67	0.00	7.67	90.0	0.13
04/21/2016	TAROFF, DANIELLE	LORD ABBETT FUNDAMENTAL EQUITY CL C	0.00	8.61	0.00	8.61	90.0	0.15
04/21/2016	TAROFF, DANIELLE	LORD ABBETT FUNDAMENTAL EQUITY CL C	0.00	4.68	0.00	4.68	90.0	0.08
04/21/2016	OLIVETI, NICOLE	LORD ABBETT FUNDAMENTAL EQUITY CL C	0.00	4.89	0.00	4.89	90.0	0.08
04/21/2016	YANKOWITZ, HARRIETT	LORD ABBETT FUNDAMENTAL EQUITY CL C	0.00	12.82	0.00	12.82	90.0	0.22
05/23/2016	MILGRAM, EVE	LORD ABBETT FUNDAMENTAL EQUITY CL C	0.00	7.64	0.00	7.64	90.0	0.13
05/23/2016	TAROFF, DANIELLE	LORD ABBETT FUNDAMENTAL EQUITY CL C	0.00	8.58	0.00	8.58	90.0	0.15
05/23/2016	TAROFF, DANIELLE	LORD ABBETT FUNDAMENTAL EQUITY CL C	0.00	4.66	0.00	4.66	90.0	0.08
05/23/2016	OLIVETI, NICOLE	LORD ABBETT FUNDAMENTAL EQUITY CL C	0.00	4.87	0.00	4.87	90.0	0.08
05/23/2016	YANKOWITZ, HARRIETT	LORD ABBETT FUNDAMENTAL EQUITY CL C	0.00	12.78	0.00	12.78	90.0	0.22
06/21/2016	MILGRAM, EVE	LORD ABBETT FUNDAMENTAL EQUITY CL C	0.00	7.97	0.00	7.97	90.0	0.14
06/21/2016	TAROFF, DANIELLE	LORD ABBETT FUNDAMENTAL EQUITY CL C	0.00	8.95	0.00	8.95	90.0	0.15
06/21/2016	TAROFF, DANIELLE	LORD ABBETT FUNDAMENTAL EQUITY CL C	0.00	4.87	0.00	4.87	90.0	0.08
06/21/2016	OLIVETI, NICOLE	LORD ABBETT FUNDAMENTAL EQUITY CL C	0.00	5.08	0.00	5.08	90.0	0.09
06/21/2016	YANKOWITZ, HARRIETT	LORD ABBETT FUNDAMENTAL EQUITY CL C	0.00	13.33	0.00	13.33	90.0	0.23

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<u> OVERRIDE TRANSACTIONS </u>								
<u> BROKER: MARC, L134 LINSKY #263 </u>								
07/21/2016	MILGRAM, EVE	LORD ABBETT FUNDAMENTAL EQUITY CL C	0.00	7.80	0.00	7.80	90.0	0.13
07/21/2016	TAROFF, DANIELLE	LORD ABBETT FUNDAMENTAL EQUITY CL C	0.00	8.76	0.00	8.76	90.0	0.15
07/21/2016	TAROFF, DANIELLE	LORD ABBETT FUNDAMENTAL EQUITY CL C	0.00	4.76	0.00	4.76	90.0	0.08
07/21/2016	OLIVETI, NICOLE	LORD ABBETT FUNDAMENTAL EQUITY CL C	0.00	4.97	0.00	4.97	90.0	0.08
07/21/2016	YANKOWITZ, HARRIETT	LORD ABBETT FUNDAMENTAL EQUITY CL C	0.00	13.04	0.00	13.04	90.0	0.22
08/22/2016	MILGRAM, EVE	LORD ABBETT FUNDAMENTAL EQUITY CL C	0.00	8.26	0.00	8.26	90.0	0.14
08/22/2016	TAROFF, DANIELLE	LORD ABBETT FUNDAMENTAL EQUITY CL C	0.00	9.27	0.00	9.27	90.0	0.16
08/22/2016	TAROFF, DANIELLE	LORD ABBETT FUNDAMENTAL EQUITY CL C	0.00	5.04	0.00	5.04	90.0	0.09
08/22/2016	OLIVETI, NICOLE	LORD ABBETT FUNDAMENTAL EQUITY CL C	0.00	5.26	0.00	5.26	90.0	0.09
08/22/2016	YANKOWITZ, HARRIETT	LORD ABBETT FUNDAMENTAL EQUITY CL C	0.00	13.81	0.00	13.81	90.0	0.23
09/21/2016	MILGRAM, EVE	LORD ABBETT FUNDAMENTAL EQUITY CL C	0.00	7.28	0.00	7.28	90.0	0.12
09/21/2016	TAROFF, DANIELLE	LORD ABBETT FUNDAMENTAL EQUITY CL C	0.00	9.39	0.00	9.39	90.0	0.16
09/21/2016	TAROFF, DANIELLE	LORD ABBETT FUNDAMENTAL EQUITY CL C	0.00	5.11	0.00	5.11	90.0	0.09
09/21/2016	OLIVETI, NICOLE	LORD ABBETT FUNDAMENTAL EQUITY CL C	0.00	5.33	0.00	5.33	90.0	0.09
09/21/2016	YANKOWITZ, HARRIETT	LORD ABBETT FUNDAMENTAL EQUITY CL C	0.00	13.98	0.00	13.98	90.0	0.24
09/21/2016	MILGRAM, MARC	LORD ABBETT FUNDAMENTAL EQUITY CL C	0.00	0.36	0.00	0.36	90.0	0.01
10/20/2016	TAROFF, DANIELLE	LORD ABBETT FUNDAMENTAL EQUITY CL C	0.00	9.04	0.00	9.04	90.0	0.15
10/20/2016	TAROFF, DANIELLE	LORD ABBETT FUNDAMENTAL EQUITY CL C	0.00	4.91	0.00	4.91	90.0	0.08
10/20/2016	OLIVETI, NICOLE	LORD ABBETT FUNDAMENTAL EQUITY CL C	0.00	5.13	0.00	5.13	90.0	0.09
10/20/2016	YANKOWITZ, HARRIETT	LORD ABBETT FUNDAMENTAL EQUITY CL C	0.00	13.46	0.00	13.46	90.0	0.23
10/20/2016	DIECKERT, DEBRA	LORD ABBETT FUNDAMENTAL EQUITY CL C	0.00	2.68	0.00	2.68	90.0	0.05
11/21/2016	TAROFF, DANIELLE	LORD ABBETT FUNDAMENTAL EQUITY CL C	0.00	9.35	0.00	9.35	90.0	0.16
11/21/2016	TAROFF, DANIELLE	LORD ABBETT FUNDAMENTAL EQUITY CL C	0.00	5.08	0.00	5.08	90.0	0.09
11/21/2016	OLIVETI, NICOLE	LORD ABBETT FUNDAMENTAL EQUITY CL C	0.00	5.30	0.00	5.30	90.0	0.09
11/21/2016	YANKOWITZ, HARRIETT	LORD ABBETT FUNDAMENTAL EQUITY CL C	0.00	13.92	0.00	13.92	90.0	0.24
11/21/2016	DIECKERT, DEBRA	LORD ABBETT FUNDAMENTAL EQUITY CL C	0.00	2.77	0.00	2.77	90.0	0.05
12/21/2016	TAROFF, DANIELLE	LORD ABBETT FUNDAMENTAL EQUITY CL C	0.00	9.39	0.00	9.39	90.0	0.16
12/21/2016	TAROFF, DANIELLE	LORD ABBETT FUNDAMENTAL EQUITY CL C	0.00	5.10	0.00	5.10	90.0	0.09
12/21/2016	OLIVETI, NICOLE	LORD ABBETT FUNDAMENTAL EQUITY CL C	0.00	5.33	0.00	5.33	90.0	0.09
12/21/2016	YANKOWITZ, HARRIETT	LORD ABBETT FUNDAMENTAL EQUITY CL C	0.00	13.23	0.00	13.23	90.0	0.22
12/21/2016	DIECKERT, DEBRA	LORD ABBETT FUNDAMENTAL EQUITY CL C	0.00	2.78	0.00	2.78	90.0	0.05
02/22/2016	MEDIA ENTERPRISES	LORD ABBETT SHORT DURATION INCOME A	0.00	2.58	0.00	2.58	90.0	0.04
02/22/2016	MEDIA ENTERPRISES	LORD ABBETT SHORT DURATION INCOME A	0.00	1.78	0.00	1.78	90.0	0.03

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<u> OVERRIDE TRANSACTIONS </u>								
<u> BROKER: MARC, L134 LINSKY #263 </u>								
03/22/2016	MEDIA ENTERPRISES	LORD ABBETT SHORT DURATION INCOME A	0.00	2.41	0.00	2.41	90.0	0.04
03/22/2016	MEDIA ENTERPRISES	LORD ABBETT SHORT DURATION INCOME A	0.00	1.66	0.00	1.66	90.0	0.03
04/21/2016	MEDIA ENTERPRISES	LORD ABBETT SHORT DURATION INCOME A	0.00	2.60	0.00	2.60	90.0	0.04
04/21/2016	MEDIA ENTERPRISES	LORD ABBETT SHORT DURATION INCOME A	0.00	1.79	0.00	1.79	90.0	0.03
05/23/2016	MEDIA ENTERPRISES	LORD ABBETT SHORT DURATION INCOME A	0.00	2.54	0.00	2.54	90.0	0.04
05/23/2016	MEDIA ENTERPRISES	LORD ABBETT SHORT DURATION INCOME A	0.00	1.75	0.00	1.75	90.0	0.03
06/21/2016	MEDIA ENTERPRISES	LORD ABBETT SHORT DURATION INCOME A	0.00	2.64	0.00	2.64	90.0	0.04
06/21/2016	MEDIA ENTERPRISES	LORD ABBETT SHORT DURATION INCOME A	0.00	1.82	0.00	1.82	90.0	0.03
07/21/2016	MEDIA ENTERPRISES	LORD ABBETT SHORT DURATION INCOME A	0.00	2.57	0.00	2.57	90.0	0.04
07/21/2016	MEDIA ENTERPRISES	LORD ABBETT SHORT DURATION INCOME A	0.00	1.77	0.00	1.77	90.0	0.03
08/22/2016	MEDIA ENTERPRISES	LORD ABBETT SHORT DURATION INCOME A	0.00	2.67	0.00	2.67	90.0	0.05
08/22/2016	MEDIA ENTERPRISES	LORD ABBETT SHORT DURATION INCOME A	0.00	1.84	0.00	1.84	90.0	0.03
09/21/2016	MEDIA ENTERPRISES	LORD ABBETT SHORT DURATION INCOME A	0.00	2.68	0.00	2.68	90.0	0.05
09/21/2016	MEDIA ENTERPRISES	LORD ABBETT SHORT DURATION INCOME A	0.00	1.84	0.00	1.84	90.0	0.03
10/20/2016	MEDIA ENTERPRISES	LORD ABBETT SHORT DURATION INCOME A	0.00	2.60	0.00	2.60	90.0	0.04
10/20/2016	MEDIA ENTERPRISES	LORD ABBETT SHORT DURATION INCOME A	0.00	1.79	0.00	1.79	90.0	0.03
11/21/2016	MEDIA ENTERPRISES	LORD ABBETT SHORT DURATION INCOME A	0.00	2.69	0.00	2.69	90.0	0.05
11/21/2016	MEDIA ENTERPRISES	LORD ABBETT SHORT DURATION INCOME A	0.00	1.85	0.00	1.85	90.0	0.03
12/21/2016	MEDIA ENTERPRISES	LORD ABBETT SHORT DURATION INCOME A	0.00	2.60	0.00	2.60	90.0	0.04
12/21/2016	MEDIA ENTERPRISES	LORD ABBETT SHORT DURATION INCOME A	0.00	1.79	0.00	1.79	90.0	0.03
02/15/2018	MEDIA ENTERPRISES	LORD ABBETT SHORT DURATION INCOME A	1,552.30	23.28	22.00	1.28	90.0	0.02
02/15/2018	MEDIA ENTERPRISES	LORD ABBETT SHORT DURATION INCOME A	1,307.20	19.61	22.00	-2.39	90.0	-0.04
02/15/2018	MEDIA ENTERPRISES	LORD ABBETT SHORT DURATION INCOME A	460.10	6.90	22.00	-15.10	90.0	-0.26
02/15/2018	MEDIA ENTERPRISES	LORD ABBETT SHORT DURATION INCOME A	503.10	7.55	22.00	-14.45	90.0	-0.25
02/22/2016	CAMPAGNA, MARIE	LORD ABBETT SHORT DURATION INCOME F	0.00	6.19	0.00	6.19	90.0	0.11
02/22/2016	CHERRY, ADAM	LORD ABBETT SHORT DURATION INCOME F	0.00	94.23	0.00	94.23	90.0	1.60
02/22/2016	BOWERS, DORA	LORD ABBETT SHORT DURATION INCOME F	0.00	1.44	0.00	1.44	90.0	0.02
02/22/2016	BOWERS, DORA	LORD ABBETT SHORT DURATION INCOME F	0.00	19.42	0.00	19.42	90.0	0.33
02/22/2016	BOWERS, DORA	LORD ABBETT SHORT DURATION INCOME F	0.00	1.62	0.00	1.62	90.0	0.03
02/22/2016	BOWERS, DORA	LORD ABBETT SHORT DURATION INCOME F	0.00	10.79	0.00	10.79	90.0	0.18
02/22/2016	KRAMER, LESLIE	LORD ABBETT SHORT DURATION INCOME F	0.00	11.52	0.00	11.52	90.0	0.20
02/22/2016	DADINO JR, LAWRENCE	LORD ABBETT SHORT DURATION INCOME F	0.00	7.25	0.00	7.25	90.0	0.12
02/22/2016	DADINO, CAROLE	LORD ABBETT SHORT DURATION INCOME F	0.00	9.20	0.00	9.20	90.0	0.16

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<u> OVERRIDE TRANSACTIONS </u>								
<u>BROKER: MARC, L134 LINSKY #263</u>								
02/22/2016	BOWERS, STEVEN	LORD ABBETT SHORT DURATION INCOME F	0.00	2.62	0.00	2.62	90.0	0.04
02/22/2016	BOWERS, STEVEN	LORD ABBETT SHORT DURATION INCOME F	0.00	2.01	0.00	2.01	90.0	0.03
02/22/2016	BROSIUS JR, ARTHUR	LORD ABBETT SHORT DURATION INCOME F	0.00	6.10	0.00	6.10	90.0	0.10
02/22/2016	HARDING, LORETTA	LORD ABBETT SHORT DURATION INCOME F	0.00	12.38	0.00	12.38	90.0	0.21
02/22/2016	MARINO, CHRISTINA	LORD ABBETT SHORT DURATION INCOME F	0.00	4.57	0.00	4.57	90.0	0.08
02/22/2016	TARANTINO, ANN	LORD ABBETT SHORT DURATION INCOME F	0.00	3.41	0.00	3.41	90.0	0.06
03/22/2016	CAMPAGNA, MARIE	LORD ABBETT SHORT DURATION INCOME F	0.00	5.77	0.00	5.77	90.0	0.10
03/22/2016	CHERRY, ADAM	LORD ABBETT SHORT DURATION INCOME F	0.00	87.92	0.00	87.92	90.0	1.49
03/22/2016	BOWERS, DORA	LORD ABBETT SHORT DURATION INCOME F	0.00	1.34	0.00	1.34	90.0	0.02
03/22/2016	BOWERS, DORA	LORD ABBETT SHORT DURATION INCOME F	0.00	18.12	0.00	18.12	90.0	0.31
03/22/2016	BOWERS, DORA	LORD ABBETT SHORT DURATION INCOME F	0.00	1.52	0.00	1.52	90.0	0.03
03/22/2016	BOWERS, DORA	LORD ABBETT SHORT DURATION INCOME F	0.00	10.07	0.00	10.07	90.0	0.17
03/22/2016	KRAMER, LESLIE	LORD ABBETT SHORT DURATION INCOME F	0.00	10.75	0.00	10.75	90.0	0.18
03/22/2016	DADINO JR, LAWRENCE	LORD ABBETT SHORT DURATION INCOME F	0.00	6.25	0.00	6.25	90.0	0.11
03/22/2016	DADINO, CAROLE	LORD ABBETT SHORT DURATION INCOME F	0.00	8.53	0.00	8.53	90.0	0.15
03/22/2016	BOWERS, STEVEN	LORD ABBETT SHORT DURATION INCOME F	0.00	2.45	0.00	2.45	90.0	0.04
03/22/2016	BOWERS, STEVEN	LORD ABBETT SHORT DURATION INCOME F	0.00	1.87	0.00	1.87	90.0	0.03
03/22/2016	BROSIUS JR, ARTHUR	LORD ABBETT SHORT DURATION INCOME F	0.00	5.70	0.00	5.70	90.0	0.10
03/22/2016	HARDING, LORETTA	LORD ABBETT SHORT DURATION INCOME F	0.00	11.55	0.00	11.55	90.0	0.20
03/22/2016	MARINO, CHRISTINA	LORD ABBETT SHORT DURATION INCOME F	0.00	4.27	0.00	4.27	90.0	0.07
03/22/2016	TARANTINO, ANN	LORD ABBETT SHORT DURATION INCOME F	0.00	3.18	0.00	3.18	90.0	0.05
04/21/2016	CAMPAGNA, MARIE	LORD ABBETT SHORT DURATION INCOME F	0.00	6.22	0.00	6.22	90.0	0.11
04/21/2016	CHERRY, ADAM	LORD ABBETT SHORT DURATION INCOME F	0.00	94.75	0.00	94.75	90.0	1.61
04/21/2016	BOWERS, DORA	LORD ABBETT SHORT DURATION INCOME F	0.00	1.44	0.00	1.44	90.0	0.02
04/21/2016	BOWERS, DORA	LORD ABBETT SHORT DURATION INCOME F	0.00	19.53	0.00	19.53	90.0	0.33
04/21/2016	BOWERS, DORA	LORD ABBETT SHORT DURATION INCOME F	0.00	1.63	0.00	1.63	90.0	0.03
04/21/2016	KRAMER, LESLIE	LORD ABBETT SHORT DURATION INCOME F	0.00	11.59	0.00	11.59	90.0	0.20
04/21/2016	DADINO JR, LAWRENCE	LORD ABBETT SHORT DURATION INCOME F	0.00	6.39	0.00	6.39	90.0	0.11
04/21/2016	DADINO, CAROLE	LORD ABBETT SHORT DURATION INCOME F	0.00	8.75	0.00	8.75	90.0	0.15
04/21/2016	BOWERS, STEVEN	LORD ABBETT SHORT DURATION INCOME F	0.00	2.64	0.00	2.64	90.0	0.04
04/21/2016	BOWERS, STEVEN	LORD ABBETT SHORT DURATION INCOME F	0.00	2.02	0.00	2.02	90.0	0.03
04/21/2016	BROSIUS JR, ARTHUR	LORD ABBETT SHORT DURATION INCOME F	0.00	6.14	0.00	6.14	90.0	0.10
04/21/2016	HARDING, LORETTA	LORD ABBETT SHORT DURATION INCOME F	0.00	12.45	0.00	12.45	90.0	0.21

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u> OVERRIDE TRANSACTIONS </u>								
<u> BROKER: MARC, L134 LINSKY #263 </u>								
04/21/2016	MARINO, CHRISTINA	LORD ABBETT SHORT DURATION INCOME F	0.00	4.60	0.00	4.60	90.0	0.08
04/21/2016	TARANTINO, ANN	LORD ABBETT SHORT DURATION INCOME F	0.00	3.43	0.00	3.43	90.0	0.06
05/23/2016	CAMPAGNA, MARIE	LORD ABBETT SHORT DURATION INCOME F	0.00	6.08	0.00	6.08	90.0	0.10
05/23/2016	CHERRY, ADAM	LORD ABBETT SHORT DURATION INCOME F	0.00	92.53	0.00	92.53	90.0	1.57
05/23/2016	BOWERS, DORA	LORD ABBETT SHORT DURATION INCOME F	0.00	1.41	0.00	1.41	90.0	0.02
05/23/2016	BOWERS, DORA	LORD ABBETT SHORT DURATION INCOME F	0.00	19.07	0.00	19.07	90.0	0.32
05/23/2016	BOWERS, DORA	LORD ABBETT SHORT DURATION INCOME F	0.00	1.60	0.00	1.60	90.0	0.03
05/23/2016	KRAMER, LESLIE	LORD ABBETT SHORT DURATION INCOME F	0.00	11.32	0.00	11.32	90.0	0.19
05/23/2016	DADINO JR, LAWRENCE	LORD ABBETT SHORT DURATION INCOME F	0.00	6.25	0.00	6.25	90.0	0.11
05/23/2016	DADINO, CAROLE	LORD ABBETT SHORT DURATION INCOME F	0.00	8.23	0.00	8.23	90.0	0.14
05/23/2016	BOWERS, STEVEN	LORD ABBETT SHORT DURATION INCOME F	0.00	2.58	0.00	2.58	90.0	0.04
05/23/2016	BOWERS, STEVEN	LORD ABBETT SHORT DURATION INCOME F	0.00	1.97	0.00	1.97	90.0	0.03
05/23/2016	BROSIUS JR, ARTHUR	LORD ABBETT SHORT DURATION INCOME F	0.00	5.99	0.00	5.99	90.0	0.10
05/23/2016	HARDING, LORETTA	LORD ABBETT SHORT DURATION INCOME F	0.00	12.16	0.00	12.16	90.0	0.21
05/23/2016	MARINO, CHRISTINA	LORD ABBETT SHORT DURATION INCOME F	0.00	4.49	0.00	4.49	90.0	0.08
05/23/2016	TARANTINO, ANN	LORD ABBETT SHORT DURATION INCOME F	0.00	1.64	0.00	1.64	90.0	0.03
06/21/2016	CAMPAGNA, MARIE	LORD ABBETT SHORT DURATION INCOME F	0.00	6.31	0.00	6.31	90.0	0.11
06/21/2016	CHERRY, ADAM	LORD ABBETT SHORT DURATION INCOME F	0.00	96.03	0.00	96.03	90.0	1.63
06/21/2016	BOWERS, DORA	LORD ABBETT SHORT DURATION INCOME F	0.00	1.46	0.00	1.46	90.0	0.02
06/21/2016	BOWERS, DORA	LORD ABBETT SHORT DURATION INCOME F	0.00	19.79	0.00	19.79	90.0	0.34
06/21/2016	BOWERS, DORA	LORD ABBETT SHORT DURATION INCOME F	0.00	1.66	0.00	1.66	90.0	0.03
06/21/2016	KRAMER, LESLIE	LORD ABBETT SHORT DURATION INCOME F	0.00	11.75	0.00	11.75	90.0	0.20
06/21/2016	DADINO JR, LAWRENCE	LORD ABBETT SHORT DURATION INCOME F	0.00	6.18	0.00	6.18	90.0	0.11
06/21/2016	DADINO, CAROLE	LORD ABBETT SHORT DURATION INCOME F	0.00	8.55	0.00	8.55	90.0	0.15
06/21/2016	BOWERS, STEVEN	LORD ABBETT SHORT DURATION INCOME F	0.00	2.67	0.00	2.67	90.0	0.05
06/21/2016	BOWERS, STEVEN	LORD ABBETT SHORT DURATION INCOME F	0.00	2.04	0.00	2.04	90.0	0.03
06/21/2016	BROSIUS JR, ARTHUR	LORD ABBETT SHORT DURATION INCOME F	0.00	6.22	0.00	6.22	90.0	0.11
06/21/2016	HARDING, LORETTA	LORD ABBETT SHORT DURATION INCOME F	0.00	12.62	0.00	12.62	90.0	0.21
06/21/2016	MARINO, CHRISTINA	LORD ABBETT SHORT DURATION INCOME F	0.00	4.66	0.00	4.66	90.0	0.08
07/21/2016	CAMPAGNA, MARIE	LORD ABBETT SHORT DURATION INCOME F	0.00	6.13	0.00	6.13	90.0	0.10
07/21/2016	CHERRY, ADAM	LORD ABBETT SHORT DURATION INCOME F	0.00	93.31	0.00	93.31	90.0	1.59
07/21/2016	BOWERS, DORA	LORD ABBETT SHORT DURATION INCOME F	0.00	1.42	0.00	1.42	90.0	0.02
07/21/2016	BOWERS, DORA	LORD ABBETT SHORT DURATION INCOME F	0.00	19.23	0.00	19.23	90.0	0.33

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<u> OVERRIDE TRANSACTIONS </u>								
<u> BROKER: MARC, L134 LINSKY #263 </u>								
07/21/2016	BOWERS, DORA	LORD ABBETT SHORT DURATION INCOME F	0.00	1.61	0.00	1.61	90.0	0.03
07/21/2016	KRAMER, LESLIE	LORD ABBETT SHORT DURATION INCOME F	0.00	11.42	0.00	11.42	90.0	0.19
07/21/2016	DADINO JR, LAWRENCE	LORD ABBETT SHORT DURATION INCOME F	0.00	5.32	0.00	5.32	90.0	0.09
07/21/2016	DADINO, CAROLE	LORD ABBETT SHORT DURATION INCOME F	0.00	8.31	0.00	8.31	90.0	0.14
07/21/2016	BOWERS, STEVEN	LORD ABBETT SHORT DURATION INCOME F	0.00	2.60	0.00	2.60	90.0	0.04
07/21/2016	BOWERS, STEVEN	LORD ABBETT SHORT DURATION INCOME F	0.00	1.99	0.00	1.99	90.0	0.03
07/21/2016	BROSIUS JR, ARTHUR	LORD ABBETT SHORT DURATION INCOME F	0.00	6.04	0.00	6.04	90.0	0.10
07/21/2016	HARDING, LORETTA	LORD ABBETT SHORT DURATION INCOME F	0.00	12.26	0.00	12.26	90.0	0.21
07/21/2016	MARINO, CHRISTINA	LORD ABBETT SHORT DURATION INCOME F	0.00	4.53	0.00	4.53	90.0	0.08
08/22/2016	CAMPAGNA, MARIE	LORD ABBETT SHORT DURATION INCOME F	0.00	6.36	0.00	6.36	90.0	0.11
08/22/2016	CHERRY, ADAM	LORD ABBETT SHORT DURATION INCOME F	0.00	96.92	0.00	96.92	90.0	1.65
08/22/2016	BOWERS, DORA	LORD ABBETT SHORT DURATION INCOME F	0.00	1.48	0.00	1.48	90.0	0.03
08/22/2016	BOWERS, DORA	LORD ABBETT SHORT DURATION INCOME F	0.00	19.97	0.00	19.97	90.0	0.34
08/22/2016	BOWERS, DORA	LORD ABBETT SHORT DURATION INCOME F	0.00	1.67	0.00	1.67	90.0	0.03
08/22/2016	KRAMER, LESLIE	LORD ABBETT SHORT DURATION INCOME F	0.00	11.86	0.00	11.86	90.0	0.20
08/22/2016	DADINO JR, LAWRENCE	LORD ABBETT SHORT DURATION INCOME F	0.00	5.12	0.00	5.12	90.0	0.09
08/22/2016	DADINO, CAROLE	LORD ABBETT SHORT DURATION INCOME F	0.00	8.42	0.00	8.42	90.0	0.14
08/22/2016	BOWERS, STEVEN	LORD ABBETT SHORT DURATION INCOME F	0.00	2.70	0.00	2.70	90.0	0.05
08/22/2016	BOWERS, STEVEN	LORD ABBETT SHORT DURATION INCOME F	0.00	2.06	0.00	2.06	90.0	0.04
08/22/2016	BROSIUS JR, ARTHUR	LORD ABBETT SHORT DURATION INCOME F	0.00	6.28	0.00	6.28	90.0	0.11
08/22/2016	HARDING, LORETTA	LORD ABBETT SHORT DURATION INCOME F	0.00	12.73	0.00	12.73	90.0	0.22
08/22/2016	MARINO, CHRISTINA	LORD ABBETT SHORT DURATION INCOME F	0.00	4.70	0.00	4.70	90.0	0.08
09/21/2016	BOWERS, DORA	LORD ABBETT SHORT DURATION INCOME F	0.00	1.48	0.00	1.48	90.0	0.03
09/21/2016	BOWERS, DORA	LORD ABBETT SHORT DURATION INCOME F	0.00	20.02	0.00	20.02	90.0	0.34
09/21/2016	BOWERS, DORA	LORD ABBETT SHORT DURATION INCOME F	0.00	1.68	0.00	1.68	90.0	0.03
09/21/2016	BOWERS, STEVEN	LORD ABBETT SHORT DURATION INCOME F	0.00	2.71	0.00	2.71	90.0	0.05
09/21/2016	CAMPAGNA, MARIE	LORD ABBETT SHORT DURATION INCOME F	0.00	6.38	0.00	6.38	90.0	0.11
09/21/2016	CHERRY, ADAM	LORD ABBETT SHORT DURATION INCOME F	0.00	97.15	0.00	97.15	90.0	1.65
09/21/2016	KRAMER, LESLIE	LORD ABBETT SHORT DURATION INCOME F	0.00	11.89	0.00	11.89	90.0	0.20
09/21/2016	DADINO JR, LAWRENCE	LORD ABBETT SHORT DURATION INCOME F	0.00	4.84	0.00	4.84	90.0	0.08
09/21/2016	DADINO, CAROLE	LORD ABBETT SHORT DURATION INCOME F	0.00	8.27	0.00	8.27	90.0	0.14
09/21/2016	BOWERS, STEVEN	LORD ABBETT SHORT DURATION INCOME F	0.00	2.07	0.00	2.07	90.0	0.04
09/21/2016	BROSIUS JR, ARTHUR	LORD ABBETT SHORT DURATION INCOME F	0.00	6.29	0.00	6.29	90.0	0.11

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<u> OVERRIDE TRANSACTIONS </u>								
<u> BROKER: MARC, L134 LINSKY #263 </u>								
09/21/2016	HARDING, LORETTA	LORD ABBETT SHORT DURATION INCOME F	0.00	12.76	0.00	12.76	90.0	0.22
09/21/2016	MARINO, CHRISTINA	LORD ABBETT SHORT DURATION INCOME F	0.00	4.72	0.00	4.72	90.0	0.08
10/20/2016	BOWERS, DORA	LORD ABBETT SHORT DURATION INCOME F	0.00	1.43	0.00	1.43	90.0	0.02
10/20/2016	BOWERS, DORA	LORD ABBETT SHORT DURATION INCOME F	0.00	19.41	0.00	19.41	90.0	0.33
10/20/2016	BOWERS, DORA	LORD ABBETT SHORT DURATION INCOME F	0.00	1.62	0.00	1.62	90.0	0.03
10/20/2016	BOWERS, STEVEN	LORD ABBETT SHORT DURATION INCOME F	0.00	2.62	0.00	2.62	90.0	0.04
10/20/2016	BOWERS, STEVEN	LORD ABBETT SHORT DURATION INCOME F	0.00	2.00	0.00	2.00	90.0	0.03
10/20/2016	CAMPAGNA, MARIE	LORD ABBETT SHORT DURATION INCOME F	0.00	6.18	0.00	6.18	90.0	0.11
10/20/2016	CHERRY, ADAM	LORD ABBETT SHORT DURATION INCOME F	0.00	94.18	0.00	94.18	90.0	1.60
10/20/2016	KRAMER, LESLIE	LORD ABBETT SHORT DURATION INCOME F	0.00	11.49	0.00	11.49	90.0	0.20
10/20/2016	DADINO JR, LAWRENCE	LORD ABBETT SHORT DURATION INCOME F	0.00	4.46	0.00	4.46	90.0	0.08
10/20/2016	DADINO, CAROLE	LORD ABBETT SHORT DURATION INCOME F	0.00	7.92	0.00	7.92	90.0	0.13
10/20/2016	BROSIUS JR, ARTHUR	LORD ABBETT SHORT DURATION INCOME F	0.00	6.10	0.00	6.10	90.0	0.10
10/20/2016	HARDING, LORETTA	LORD ABBETT SHORT DURATION INCOME F	0.00	12.37	0.00	12.37	90.0	0.21
10/20/2016	MARINO, CHRISTINA	LORD ABBETT SHORT DURATION INCOME F	0.00	4.57	0.00	4.57	90.0	0.08
11/21/2016	BOWERS, DORA	LORD ABBETT SHORT DURATION INCOME F	0.00	1.49	0.00	1.49	90.0	0.03
11/21/2016	BOWERS, DORA	LORD ABBETT SHORT DURATION INCOME F	0.00	20.09	0.00	20.09	90.0	0.34
11/21/2016	BOWERS, DORA	LORD ABBETT SHORT DURATION INCOME F	0.00	1.68	0.00	1.68	90.0	0.03
11/21/2016	BOWERS, STEVEN	LORD ABBETT SHORT DURATION INCOME F	0.00	2.72	0.00	2.72	90.0	0.05
11/21/2016	BOWERS, STEVEN	LORD ABBETT SHORT DURATION INCOME F	0.00	2.08	0.00	2.08	90.0	0.04
11/21/2016	CAMPAGNA, MARIE	LORD ABBETT SHORT DURATION INCOME F	0.00	6.40	0.00	6.40	90.0	0.11
11/21/2016	CHERRY, ADAM	LORD ABBETT SHORT DURATION INCOME F	0.00	97.50	0.00	97.50	90.0	1.66
11/21/2016	KRAMER, LESLIE	LORD ABBETT SHORT DURATION INCOME F	0.00	11.78	0.00	11.78	90.0	0.20
11/21/2016	DADINO JR, LAWRENCE	LORD ABBETT SHORT DURATION INCOME F	0.00	2.39	0.00	2.39	90.0	0.04
11/21/2016	DADINO, CAROLE	LORD ABBETT SHORT DURATION INCOME F	0.00	7.91	0.00	7.91	90.0	0.13
11/21/2016	BROSIUS JR, ARTHUR	LORD ABBETT SHORT DURATION INCOME F	0.00	6.32	0.00	6.32	90.0	0.11
11/21/2016	HARDING, LORETTA	LORD ABBETT SHORT DURATION INCOME F	0.00	12.81	0.00	12.81	90.0	0.22
11/21/2016	MARINO, CHRISTINA	LORD ABBETT SHORT DURATION INCOME F	0.00	4.73	0.00	4.73	90.0	0.08
12/21/2016	BOWERS, DORA	LORD ABBETT SHORT DURATION INCOME F	0.00	1.43	0.00	1.43	90.0	0.02
12/21/2016	BOWERS, DORA	LORD ABBETT SHORT DURATION INCOME F	0.00	19.40	0.00	19.40	90.0	0.33
12/21/2016	BOWERS, DORA	LORD ABBETT SHORT DURATION INCOME F	0.00	1.62	0.00	1.62	90.0	0.03
12/21/2016	BOWERS, STEVEN	LORD ABBETT SHORT DURATION INCOME F	0.00	2.62	0.00	2.62	90.0	0.04
12/21/2016	BOWERS, STEVEN	LORD ABBETT SHORT DURATION INCOME F	0.00	2.00	0.00	2.00	90.0	0.03

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<u> OVERRIDE TRANSACTIONS </u>								
<u> BROKER: MARC, L134 LINSKY #263 </u>								
12/21/2016	CAMPAGNA, MARIE	LORD ABBETT SHORT DURATION INCOME F	0.00	6.18	0.00	6.18	90.0	0.11
12/21/2016	CHERRY, ADAM	LORD ABBETT SHORT DURATION INCOME F	0.00	94.12	0.00	94.12	90.0	1.60
12/21/2016	KRAMER, LESLIE	LORD ABBETT SHORT DURATION INCOME F	0.00	11.37	0.00	11.37	90.0	0.19
12/21/2016	DADINO, CAROLE	LORD ABBETT SHORT DURATION INCOME F	0.00	7.44	0.00	7.44	90.0	0.13
12/21/2016	BROSIUS JR, ARTHUR	LORD ABBETT SHORT DURATION INCOME F	0.00	6.10	0.00	6.10	90.0	0.10
12/21/2016	HARDING, LORETTA	LORD ABBETT SHORT DURATION INCOME F	0.00	12.37	0.00	12.37	90.0	0.21
12/21/2016	MARINO, CHRISTINA	LORD ABBETT SHORT DURATION INCOME F	0.00	4.57	0.00	4.57	90.0	0.08
02/25/2016	MURRY, YVONNE	MAINSTAY CUSHING MLP PREMIER FUND C	0.00	8.29	0.00	8.29	90.0	0.14
03/08/2016	MURRY, YVONNE	MAINSTAY CUSHING MLP PREMIER FUND C	0.00	7.00	0.00	7.00	90.0	0.12
04/22/2016	MURRY, YVONNE	MAINSTAY CUSHING MLP PREMIER FUND C	0.00	8.40	0.00	8.40	90.0	0.14
05/17/2016	MURRY, YVONNE	MAINSTAY CUSHING MLP PREMIER FUND C	0.00	8.84	0.00	8.84	90.0	0.15
06/15/2016	MURRY, YVONNE	MAINSTAY CUSHING MLP PREMIER FUND C	0.00	10.09	0.00	10.09	90.0	0.17
07/14/2016	MURRY, YVONNE	MAINSTAY CUSHING MLP PREMIER FUND C	0.00	10.26	0.00	10.26	90.0	0.17
08/18/2016	MURRY, YVONNE	MAINSTAY CUSHING MLP PREMIER FUND C	0.00	10.86	0.00	10.86	90.0	0.18
09/15/2016	MURRY, YVONNE	MAINSTAY CUSHING MLP PREMIER FUND C	0.00	10.93	0.00	10.93	90.0	0.19
10/21/2016	MURRY, YVONNE	MAINSTAY CUSHING MLP PREMIER FUND C	0.00	10.57	0.00	10.57	90.0	0.18
11/09/2016	MURRY, YVONNE	MAINSTAY CUSHING MLP PREMIER FUND C	0.00	10.98	0.00	10.98	90.0	0.19
12/16/2016	MURRY, YVONNE	MAINSTAY CUSHING MLP PREMIER FUND C	0.00	10.39	0.00	10.39	90.0	0.18
02/25/2016	FARBMAN, SANDRA	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	1.29	0.00	1.29	90.0	0.02
02/25/2016	FLEISCHMAN, RITA	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	2.30	0.00	2.30	90.0	0.04
03/08/2016	FARBMAN, SANDRA	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	1.14	0.00	1.14	90.0	0.02
03/08/2016	FLEISCHMAN, RITA	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	2.01	0.00	2.01	90.0	0.03
04/22/2016	FARBMAN, SANDRA	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	1.36	0.00	1.36	90.0	0.02
04/22/2016	FLEISCHMAN, RITA	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	2.39	0.00	2.39	90.0	0.04
05/17/2016	FARBMAN, SANDRA	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	1.43	0.00	1.43	90.0	0.02
05/17/2016	FLEISCHMAN, RITA	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	2.50	0.00	2.50	90.0	0.04
06/15/2016	FARBMAN, SANDRA	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	1.59	0.00	1.59	90.0	0.03
06/15/2016	FLEISCHMAN, RITA	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	2.74	0.00	2.74	90.0	0.05
07/14/2016	FARBMAN, SANDRA	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	1.60	0.00	1.60	90.0	0.03
07/14/2016	FLEISCHMAN, RITA	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	2.76	0.00	2.76	90.0	0.05
08/18/2016	FARBMAN, SANDRA	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	1.70	0.00	1.70	90.0	0.03
08/18/2016	FLEISCHMAN, RITA	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	2.91	0.00	2.91	90.0	0.05
09/15/2016	FARBMAN, SANDRA	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	1.73	0.00	1.73	90.0	0.03

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u> OVERRIDE TRANSACTIONS </u>								
<u>BROKER: MARC, L134 LINSKY #263</u>								
09/15/2016	FLEISCHMAN, RITA	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	2.90	0.00	2.90	90.0	0.05
10/21/2016	FARBMAN, SANDRA	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	1.68	0.00	1.68	90.0	0.03
10/21/2016	FLEISCHMAN, RITA	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	2.81	0.00	2.81	90.0	0.05
11/09/2016	FARBMAN, SANDRA	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	1.80	0.00	1.80	90.0	0.03
11/09/2016	FLEISCHMAN, RITA	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	2.98	0.00	2.98	90.0	0.05
12/16/2016	FARBMAN, SANDRA	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	1.75	0.00	1.75	90.0	0.03
12/16/2016	FLEISCHMAN, RITA	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	2.84	0.00	2.84	90.0	0.05
02/25/2016	PAGLIA, DIANA	MAINSTAY FLOATING RATE FUND CLASS A	0.00	0.44	0.00	0.44	90.0	0.01
03/08/2016	PAGLIA, DIANA	MAINSTAY FLOATING RATE FUND CLASS A	0.00	0.41	0.00	0.41	90.0	0.01
04/22/2016	PAGLIA, DIANA	MAINSTAY FLOATING RATE FUND CLASS A	0.00	0.45	0.00	0.45	90.0	0.01
05/17/2016	PAGLIA, DIANA	MAINSTAY FLOATING RATE FUND CLASS A	0.00	0.44	0.00	0.44	90.0	0.01
06/15/2016	PAGLIA, DIANA	MAINSTAY FLOATING RATE FUND CLASS A	0.00	0.46	0.00	0.46	90.0	0.01
07/14/2016	PAGLIA, DIANA	MAINSTAY FLOATING RATE FUND CLASS A	0.00	0.45	0.00	0.45	90.0	0.01
08/18/2016	PAGLIA, DIANA	MAINSTAY FLOATING RATE FUND CLASS A	0.00	0.46	0.00	0.46	90.0	0.01
09/15/2016	PAGLIA, DIANA	MAINSTAY FLOATING RATE FUND CLASS A	0.00	0.47	0.00	0.47	90.0	0.01
10/21/2016	PAGLIA, DIANA	MAINSTAY FLOATING RATE FUND CLASS A	0.00	0.46	0.00	0.46	90.0	0.01
11/09/2016	PAGLIA, DIANA	MAINSTAY FLOATING RATE FUND CLASS A	0.00	0.47	0.00	0.47	90.0	0.01
12/16/2016	PAGLIA, DIANA	MAINSTAY FLOATING RATE FUND CLASS A	0.00	0.46	0.00	0.46	90.0	0.01
02/25/2016	PAGLIA, DIANA	MAINSTAY HIGH YIELD CORP BOND A	0.00	0.99	0.00	0.99	90.0	0.02
03/08/2016	PAGLIA, DIANA	MAINSTAY HIGH YIELD CORP BOND A	0.00	0.92	0.00	0.92	90.0	0.02
04/22/2016	PAGLIA, DIANA	MAINSTAY HIGH YIELD CORP BOND A	0.00	1.03	0.00	1.03	90.0	0.02
05/17/2016	PAGLIA, DIANA	MAINSTAY HIGH YIELD CORP BOND A	0.00	1.01	0.00	1.01	90.0	0.02
06/15/2016	PAGLIA, DIANA	MAINSTAY HIGH YIELD CORP BOND A	0.00	1.07	0.00	1.07	90.0	0.02
07/14/2016	PAGLIA, DIANA	MAINSTAY HIGH YIELD CORP BOND A	0.00	1.05	0.00	1.05	90.0	0.02
08/18/2016	PAGLIA, DIANA	MAINSTAY HIGH YIELD CORP BOND A	0.00	1.11	0.00	1.11	90.0	0.02
09/15/2016	PAGLIA, DIANA	MAINSTAY HIGH YIELD CORP BOND A	0.00	1.13	0.00	1.13	90.0	0.02
10/21/2016	PAGLIA, DIANA	MAINSTAY HIGH YIELD CORP BOND A	0.00	1.10	0.00	1.10	90.0	0.02
11/09/2016	PAGLIA, DIANA	MAINSTAY HIGH YIELD CORP BOND A	0.00	1.15	0.00	1.15	90.0	0.02
12/16/2016	PAGLIA, DIANA	MAINSTAY HIGH YIELD CORP BOND A	0.00	1.11	0.00	1.11	90.0	0.02
02/25/2016	PAGLIA, DIANA	MAINSTAY LARGE CAP GROWTH FUND A	0.00	0.55	0.00	0.55	90.0	0.01
03/08/2016	PAGLIA, DIANA	MAINSTAY LARGE CAP GROWTH FUND A	0.00	0.48	0.00	0.48	90.0	0.01
04/22/2016	PAGLIA, DIANA	MAINSTAY LARGE CAP GROWTH FUND A	0.00	0.55	0.00	0.55	90.0	0.01
05/17/2016	PAGLIA, DIANA	MAINSTAY LARGE CAP GROWTH FUND A	0.00	0.55	0.00	0.55	90.0	0.01

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<u> OVERRIDE TRANSACTIONS </u>								
<u>BROKER: MARC, L134 LINSKY #263</u>								
06/15/2016	PAGLIA, DIANA	MAINSTAY LARGE CAP GROWTH FUND A	0.00	0.56	0.00	0.56	90.0	0.01
07/14/2016	PAGLIA, DIANA	MAINSTAY LARGE CAP GROWTH FUND A	0.00	0.55	0.00	0.55	90.0	0.01
08/18/2016	PAGLIA, DIANA	MAINSTAY LARGE CAP GROWTH FUND A	0.00	0.58	0.00	0.58	90.0	0.01
09/15/2016	PAGLIA, DIANA	MAINSTAY LARGE CAP GROWTH FUND A	0.00	0.60	0.00	0.60	90.0	0.01
10/21/2016	PAGLIA, DIANA	MAINSTAY LARGE CAP GROWTH FUND A	0.00	0.57	0.00	0.57	90.0	0.01
11/09/2016	PAGLIA, DIANA	MAINSTAY LARGE CAP GROWTH FUND A	0.00	0.59	0.00	0.59	90.0	0.01
12/16/2016	PAGLIA, DIANA	MAINSTAY LARGE CAP GROWTH FUND A	0.00	0.56	0.00	0.56	90.0	0.01
02/08/2016	KROSNOWSKI, THOMAS	MFS CORE EQUITY C	0.00	4.79	0.00	4.79	90.0	0.08
03/14/2016	KROSNOWSKI, THOMAS	MFS CORE EQUITY C	0.00	4.39	0.00	4.39	90.0	0.07
04/15/2016	KROSNOWSKI, THOMAS	MFS CORE EQUITY C	0.00	5.00	0.00	5.00	90.0	0.09
05/17/2016	KROSNOWSKI, THOMAS	MFS CORE EQUITY C	0.00	4.97	0.00	4.97	90.0	0.08
06/16/2016	KROSNOWSKI, THOMAS	MFS CORE EQUITY C	0.00	5.12	0.00	5.12	90.0	0.09
07/20/2016	KROSNOWSKI, THOMAS	MFS CORE EQUITY C	0.00	5.03	0.00	5.03	90.0	0.09
08/16/2016	KROSNOWSKI, THOMAS	MFS CORE EQUITY C	0.00	5.36	0.00	5.36	90.0	0.09
09/15/2016	KROSNOWSKI, THOMAS	MFS CORE EQUITY C	0.00	5.46	0.00	5.46	90.0	0.09
10/20/2016	KROSNOWSKI, THOMAS	MFS CORE EQUITY C	0.00	5.24	0.00	5.24	90.0	0.09
11/14/2016	KROSNOWSKI, THOMAS	MFS CORE EQUITY C	0.00	5.38	0.00	5.38	90.0	0.09
12/19/2016	KROSNOWSKI, THOMAS	MFS CORE EQUITY C	0.00	5.26	0.00	5.26	90.0	0.09
02/08/2016	KROSNOWSKI, THOMAS	MFS EMERGINF MARKETS EQUITY FUND C	0.00	10.67	0.00	10.67	90.0	0.18
03/14/2016	KROSNOWSKI, THOMAS	MFS EMERGINF MARKETS EQUITY FUND C	0.00	9.85	0.00	9.85	90.0	0.17
04/15/2016	KROSNOWSKI, THOMAS	MFS EMERGINF MARKETS EQUITY FUND C	0.00	11.42	0.00	11.42	90.0	0.19
05/17/2016	KROSNOWSKI, THOMAS	MFS EMERGINF MARKETS EQUITY FUND C	0.00	11.43	0.00	11.43	90.0	0.19
06/16/2016	KROSNOWSKI, THOMAS	MFS EMERGINF MARKETS EQUITY FUND C	0.00	11.58	0.00	11.58	90.0	0.20
07/20/2016	KROSNOWSKI, THOMAS	MFS EMERGINF MARKETS EQUITY FUND C	0.00	11.44	0.00	11.44	90.0	0.19
08/16/2016	KROSNOWSKI, THOMAS	MFS EMERGINF MARKETS EQUITY FUND C	0.00	12.30	0.00	12.30	90.0	0.21
09/15/2016	KROSNOWSKI, THOMAS	MFS EMERGINF MARKETS EQUITY FUND C	0.00	12.78	0.00	12.78	90.0	0.22
10/20/2016	KROSNOWSKI, THOMAS	MFS EMERGINF MARKETS EQUITY FUND C	0.00	12.52	0.00	12.52	90.0	0.21
11/14/2016	KROSNOWSKI, THOMAS	MFS EMERGINF MARKETS EQUITY FUND C	0.00	12.96	0.00	12.96	90.0	0.22
12/19/2016	KROSNOWSKI, THOMAS	MFS EMERGINF MARKETS EQUITY FUND C	0.00	12.06	0.00	12.06	90.0	0.21
02/08/2016	CAMPAGNA, MARIE	MFS EMERGING MKTS DEBT FUND C	0.00	7.39	0.00	7.39	90.0	0.13
03/14/2016	CAMPAGNA, MARIE	MFS EMERGING MKTS DEBT FUND C	0.00	6.92	0.00	6.92	90.0	0.12
04/15/2016	CAMPAGNA, MARIE	MFS EMERGING MKTS DEBT FUND C	0.00	7.62	0.00	7.62	90.0	0.13
05/17/2016	CAMPAGNA, MARIE	MFS EMERGING MKTS DEBT FUND C	0.00	7.51	0.00	7.51	90.0	0.13

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<u> OVERRIDE TRANSACTIONS </u>								
<u> BROKER: MARC, L134 LINSKY #263 </u>								
06/16/2016	CAMPAGNA, MARIE	MFS EMERGING MKTS DEBT FUND C	0.00	7.80	0.00	7.80	90.0	0.13
07/20/2016	CAMPAGNA, MARIE	MFS EMERGING MKTS DEBT FUND C	0.00	7.62	0.00	7.62	90.0	0.13
08/16/2016	CAMPAGNA, MARIE	MFS EMERGING MKTS DEBT FUND C	0.00	8.09	0.00	8.09	90.0	0.14
09/15/2016	CAMPAGNA, MARIE	MFS EMERGING MKTS DEBT FUND C	0.00	8.18	0.00	8.18	90.0	0.14
10/20/2016	CAMPAGNA, MARIE	MFS EMERGING MKTS DEBT FUND C	0.00	7.91	0.00	7.91	90.0	0.13
11/14/2016	CAMPAGNA, MARIE	MFS EMERGING MKTS DEBT FUND C	0.00	8.14	0.00	8.14	90.0	0.14
12/19/2016	CAMPAGNA, MARIE	MFS EMERGING MKTS DEBT FUND C	0.00	7.60	0.00	7.60	90.0	0.13
02/08/2016	SPECTER TRUST, STEPHANIE	MFS GROWTH C	0.00	11.78	0.00	11.78	90.0	0.20
03/14/2016	SPECTER TRUST, STEPHANIE	MFS GROWTH C	0.00	10.67	0.00	10.67	90.0	0.18
04/15/2016	SPECTER TRUST, STEPHANIE	MFS GROWTH C	0.00	12.00	0.00	12.00	90.0	0.20
05/17/2016	SPECTER TRUST, STEPHANIE	MFS GROWTH C	0.00	11.93	0.00	11.93	90.0	0.20
06/16/2016	SPECTER TRUST, STEPHANIE	MFS GROWTH C	0.00	12.33	0.00	12.33	90.0	0.21
07/20/2016	SPECTER TRUST, STEPHANIE	MFS GROWTH C	0.00	12.01	0.00	12.01	90.0	0.20
08/16/2016	SPECTER TRUST, STEPHANIE	MFS GROWTH C	0.00	12.79	0.00	12.79	90.0	0.22
09/15/2016	SPECTER TRUST, STEPHANIE	MFS GROWTH C	0.00	13.03	0.00	13.03	90.0	0.22
10/20/2016	SPECTER TRUST, STEPHANIE	MFS GROWTH C	0.00	12.42	0.00	12.42	90.0	0.21
11/14/2016	SPECTER TRUST, STEPHANIE	MFS GROWTH C	0.00	12.80	0.00	12.80	90.0	0.22
12/19/2016	SPECTER TRUST, STEPHANIE	MFS GROWTH C	0.00	12.22	0.00	12.22	90.0	0.21
02/08/2016	KROSNOWSKI, THOMAS	MFS INTERNATIONAL VALUE FUND C	0.00	12.03	0.00	12.03	90.0	0.20
03/14/2016	KROSNOWSKI, THOMAS	MFS INTERNATIONAL VALUE FUND C	0.00	11.29	0.00	11.29	90.0	0.19
04/15/2016	KROSNOWSKI, THOMAS	MFS INTERNATIONAL VALUE FUND C	0.00	12.71	0.00	12.71	90.0	0.22
05/17/2016	KROSNOWSKI, THOMAS	MFS INTERNATIONAL VALUE FUND C	0.00	12.61	0.00	12.61	90.0	0.21
06/16/2016	KROSNOWSKI, THOMAS	MFS INTERNATIONAL VALUE FUND C	0.00	13.00	0.00	13.00	90.0	0.22
07/20/2016	KROSNOWSKI, THOMAS	MFS INTERNATIONAL VALUE FUND C	0.00	12.62	0.00	12.62	90.0	0.21
08/16/2016	KROSNOWSKI, THOMAS	MFS INTERNATIONAL VALUE FUND C	0.00	13.38	0.00	13.38	90.0	0.23
09/15/2016	KROSNOWSKI, THOMAS	MFS INTERNATIONAL VALUE FUND C	0.00	13.77	0.00	13.77	90.0	0.23
10/20/2016	KROSNOWSKI, THOMAS	MFS INTERNATIONAL VALUE FUND C	0.00	13.32	0.00	13.32	90.0	0.23
11/14/2016	KROSNOWSKI, THOMAS	MFS INTERNATIONAL VALUE FUND C	0.00	13.53	0.00	13.53	90.0	0.23
12/19/2016	KROSNOWSKI, THOMAS	MFS INTERNATIONAL VALUE FUND C	0.00	12.51	0.00	12.51	90.0	0.21
02/08/2016	BOWERS, DORA	MFS INTERNATIONAL VALUE FUND CLASS	0.00	0.54	0.00	0.54	90.0	0.01
03/14/2016	BOWERS, DORA	MFS INTERNATIONAL VALUE FUND CLASS	0.00	0.50	0.00	0.50	90.0	0.01
04/15/2016	BOWERS, DORA	MFS INTERNATIONAL VALUE FUND CLASS	0.00	0.57	0.00	0.57	90.0	0.01
05/17/2016	BOWERS, DORA	MFS INTERNATIONAL VALUE FUND CLASS	0.00	0.56	0.00	0.56	90.0	0.01

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<u> OVERRIDE TRANSACTIONS </u>								
<u> BROKER: MARC, L134 LINSKY #263 </u>								
06/16/2016	BOWERS, DORA	MFS INTERNATIONAL VALUE FUND CLASS	0.00	0.58	0.00	0.58	90.0	0.01
07/20/2016	BOWERS, DORA	MFS INTERNATIONAL VALUE FUND CLASS	0.00	0.57	0.00	0.57	90.0	0.01
08/16/2016	BOWERS, DORA	MFS INTERNATIONAL VALUE FUND CLASS	0.00	0.60	0.00	0.60	90.0	0.01
09/15/2016	BOWERS, DORA	MFS INTERNATIONAL VALUE FUND CLASS	0.00	0.62	0.00	0.62	90.0	0.01
10/20/2016	BOWERS, DORA	MFS INTERNATIONAL VALUE FUND CLASS	0.00	0.60	0.00	0.60	90.0	0.01
11/14/2016	BOWERS, DORA	MFS INTERNATIONAL VALUE FUND CLASS	0.00	0.61	0.00	0.61	90.0	0.01
12/19/2016	BOWERS, DORA	MFS INTERNATIONAL VALUE FUND CLASS	0.00	0.56	0.00	0.56	90.0	0.01
02/08/2016	SPECTER TRUST, BRADLEY	MFS MID-CAP VALUE FUND CLASS C	0.00	7.20	0.00	7.20	90.0	0.12
02/08/2016	SPECTER TRUST, STEPHANIE	MFS MID-CAP VALUE FUND CLASS C	0.00	17.23	0.00	17.23	90.0	0.29
03/14/2016	SPECTER TRUST, BRADLEY	MFS MID-CAP VALUE FUND CLASS C	0.00	6.66	0.00	6.66	90.0	0.11
03/14/2016	SPECTER TRUST, STEPHANIE	MFS MID-CAP VALUE FUND CLASS C	0.00	15.95	0.00	15.95	90.0	0.27
04/15/2016	SPECTER TRUST, BRADLEY	MFS MID-CAP VALUE FUND CLASS C	0.00	7.75	0.00	7.75	90.0	0.13
04/15/2016	SPECTER TRUST, STEPHANIE	MFS MID-CAP VALUE FUND CLASS C	0.00	18.54	0.00	18.54	90.0	0.32
05/17/2016	SPECTER TRUST, BRADLEY	MFS MID-CAP VALUE FUND CLASS C	0.00	7.75	0.00	7.75	90.0	0.13
05/17/2016	SPECTER TRUST, STEPHANIE	MFS MID-CAP VALUE FUND CLASS C	0.00	18.55	0.00	18.55	90.0	0.32
06/16/2016	SPECTER TRUST, BRADLEY	MFS MID-CAP VALUE FUND CLASS C	0.00	8.05	0.00	8.05	90.0	0.14
06/16/2016	SPECTER TRUST, STEPHANIE	MFS MID-CAP VALUE FUND CLASS C	0.00	19.26	0.00	19.26	90.0	0.33
07/20/2016	SPECTER TRUST, BRADLEY	MFS MID-CAP VALUE FUND CLASS C	0.00	7.84	0.00	7.84	90.0	0.13
07/20/2016	SPECTER TRUST, STEPHANIE	MFS MID-CAP VALUE FUND CLASS C	0.00	18.77	0.00	18.77	90.0	0.32
08/16/2016	SPECTER TRUST, BRADLEY	MFS MID-CAP VALUE FUND CLASS C	0.00	8.27	0.00	8.27	90.0	0.14
08/16/2016	SPECTER TRUST, STEPHANIE	MFS MID-CAP VALUE FUND CLASS C	0.00	19.80	0.00	19.80	90.0	0.34
09/15/2016	SPECTER TRUST, BRADLEY	MFS MID-CAP VALUE FUND CLASS C	0.00	8.41	0.00	8.41	90.0	0.14
09/15/2016	SPECTER TRUST, STEPHANIE	MFS MID-CAP VALUE FUND CLASS C	0.00	20.14	0.00	20.14	90.0	0.34
10/20/2016	SPECTER TRUST, BRADLEY	MFS MID-CAP VALUE FUND CLASS C	0.00	8.10	0.00	8.10	90.0	0.14
10/20/2016	SPECTER TRUST, STEPHANIE	MFS MID-CAP VALUE FUND CLASS C	0.00	19.39	0.00	19.39	90.0	0.33
11/14/2016	SPECTER TRUST, BRADLEY	MFS MID-CAP VALUE FUND CLASS C	0.00	8.31	0.00	8.31	90.0	0.14
11/14/2016	SPECTER TRUST, STEPHANIE	MFS MID-CAP VALUE FUND CLASS C	0.00	19.90	0.00	19.90	90.0	0.34
12/19/2016	SPECTER TRUST, BRADLEY	MFS MID-CAP VALUE FUND CLASS C	0.00	8.17	0.00	8.17	90.0	0.14
12/19/2016	SPECTER TRUST, STEPHANIE	MFS MID-CAP VALUE FUND CLASS C	0.00	19.55	0.00	19.55	90.0	0.33
02/08/2016	SPECTER TRUST, BRADLEY	MFS MIDCAP GROWTH C	0.00	6.23	0.00	6.23	90.0	0.11
02/08/2016	SPECTER TRUST, STEPHANIE	MFS MIDCAP GROWTH C	0.00	14.69	0.00	14.69	90.0	0.25
02/08/2016	KROSNOWSKI, THOMAS	MFS MIDCAP GROWTH C	0.00	4.26	0.00	4.26	90.0	0.07
03/14/2016	SPECTER TRUST, BRADLEY	MFS MIDCAP GROWTH C	0.00	5.63	0.00	5.63	90.0	0.10

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u> OVERRIDE TRANSACTIONS </u>								
<u> BROKER: MARC, L134 LINSKY #263 </u>								
03/14/2016	SPECTER TRUST, STEPHANIE	MFS MIDCAP GROWTH C	0.00	13.27	0.00	13.27	90.0	0.23
03/14/2016	KROSNOWSKI, THOMAS	MFS MIDCAP GROWTH C	0.00	3.85	0.00	3.85	90.0	0.07
04/15/2016	SPECTER TRUST, BRADLEY	MFS MIDCAP GROWTH C	0.00	6.40	0.00	6.40	90.0	0.11
04/15/2016	SPECTER TRUST, STEPHANIE	MFS MIDCAP GROWTH C	0.00	15.10	0.00	15.10	90.0	0.26
04/15/2016	KROSNOWSKI, THOMAS	MFS MIDCAP GROWTH C	0.00	4.38	0.00	4.38	90.0	0.07
05/17/2016	SPECTER TRUST, BRADLEY	MFS MIDCAP GROWTH C	0.00	6.40	0.00	6.40	90.0	0.11
05/17/2016	SPECTER TRUST, STEPHANIE	MFS MIDCAP GROWTH C	0.00	15.09	0.00	15.09	90.0	0.26
05/17/2016	KROSNOWSKI, THOMAS	MFS MIDCAP GROWTH C	0.00	4.38	0.00	4.38	90.0	0.07
06/16/2016	SPECTER TRUST, BRADLEY	MFS MIDCAP GROWTH C	0.00	6.63	0.00	6.63	90.0	0.11
06/16/2016	SPECTER TRUST, STEPHANIE	MFS MIDCAP GROWTH C	0.00	15.63	0.00	15.63	90.0	0.27
06/16/2016	KROSNOWSKI, THOMAS	MFS MIDCAP GROWTH C	0.00	4.53	0.00	4.53	90.0	0.08
07/20/2016	SPECTER TRUST, BRADLEY	MFS MIDCAP GROWTH C	0.00	6.47	0.00	6.47	90.0	0.11
07/20/2016	SPECTER TRUST, STEPHANIE	MFS MIDCAP GROWTH C	0.00	15.27	0.00	15.27	90.0	0.26
07/20/2016	KROSNOWSKI, THOMAS	MFS MIDCAP GROWTH C	0.00	4.43	0.00	4.43	90.0	0.08
08/16/2016	SPECTER TRUST, BRADLEY	MFS MIDCAP GROWTH C	0.00	6.90	0.00	6.90	90.0	0.12
08/16/2016	SPECTER TRUST, STEPHANIE	MFS MIDCAP GROWTH C	0.00	16.27	0.00	16.27	90.0	0.28
08/16/2016	KROSNOWSKI, THOMAS	MFS MIDCAP GROWTH C	0.00	4.72	0.00	4.72	90.0	0.08
09/15/2016	SPECTER TRUST, BRADLEY	MFS MIDCAP GROWTH C	0.00	7.02	0.00	7.02	90.0	0.12
09/15/2016	SPECTER TRUST, STEPHANIE	MFS MIDCAP GROWTH C	0.00	16.55	0.00	16.55	90.0	0.28
09/15/2016	KROSNOWSKI, THOMAS	MFS MIDCAP GROWTH C	0.00	4.80	0.00	4.80	90.0	0.08
10/20/2016	SPECTER TRUST, BRADLEY	MFS MIDCAP GROWTH C	0.00	6.72	0.00	6.72	90.0	0.11
10/20/2016	SPECTER TRUST, STEPHANIE	MFS MIDCAP GROWTH C	0.00	15.86	0.00	15.86	90.0	0.27
10/20/2016	KROSNOWSKI, THOMAS	MFS MIDCAP GROWTH C	0.00	4.60	0.00	4.60	90.0	0.08
11/14/2016	SPECTER TRUST, BRADLEY	MFS MIDCAP GROWTH C	0.00	6.84	0.00	6.84	90.0	0.12
11/14/2016	SPECTER TRUST, STEPHANIE	MFS MIDCAP GROWTH C	0.00	16.14	0.00	16.14	90.0	0.27
11/14/2016	KROSNOWSKI, THOMAS	MFS MIDCAP GROWTH C	0.00	4.68	0.00	4.68	90.0	0.08
12/19/2016	SPECTER TRUST, BRADLEY	MFS MIDCAP GROWTH C	0.00	6.59	0.00	6.59	90.0	0.11
12/19/2016	SPECTER TRUST, STEPHANIE	MFS MIDCAP GROWTH C	0.00	15.55	0.00	15.55	90.0	0.26
12/19/2016	KROSNOWSKI, THOMAS	MFS MIDCAP GROWTH C	0.00	4.51	0.00	4.51	90.0	0.08
02/08/2016	KROSNOWSKI, THOMAS	MFS RESEARCH FUND-C	0.00	4.47	0.00	4.47	90.0	0.08
03/14/2016	KROSNOWSKI, THOMAS	MFS RESEARCH FUND-C	0.00	4.11	0.00	4.11	90.0	0.07
04/15/2016	KROSNOWSKI, THOMAS	MFS RESEARCH FUND-C	0.00	4.65	0.00	4.65	90.0	0.08
05/17/2016	KROSNOWSKI, THOMAS	MFS RESEARCH FUND-C	0.00	4.62	0.00	4.62	90.0	0.08

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u> OVERRIDE TRANSACTIONS </u>								
<u> BROKER: MARC, L134 LINSKY #263 </u>								
06/16/2016	KROSNOWSKI, THOMAS	MFS RESEARCH FUND-C	0.00	4.79	0.00	4.79	90.0	0.08
07/20/2016	KROSNOWSKI, THOMAS	MFS RESEARCH FUND-C	0.00	4.70	0.00	4.70	90.0	0.08
08/16/2016	KROSNOWSKI, THOMAS	MFS RESEARCH FUND-C	0.00	5.00	0.00	5.00	90.0	0.09
09/15/2016	KROSNOWSKI, THOMAS	MFS RESEARCH FUND-C	0.00	5.09	0.00	5.09	90.0	0.09
10/20/2016	KROSNOWSKI, THOMAS	MFS RESEARCH FUND-C	0.00	4.89	0.00	4.89	90.0	0.08
11/14/2016	KROSNOWSKI, THOMAS	MFS RESEARCH FUND-C	0.00	5.01	0.00	5.01	90.0	0.09
12/19/2016	KROSNOWSKI, THOMAS	MFS RESEARCH FUND-C	0.00	4.84	0.00	4.84	90.0	0.08
02/08/2016	SPECTER TRUST, STEPHANIE	MFS RESEARCH INTL C	0.00	21.49	0.00	21.49	90.0	0.37
03/14/2016	SPECTER TRUST, STEPHANIE	MFS RESEARCH INTL C	0.00	19.44	0.00	19.44	90.0	0.33
04/15/2016	SPECTER TRUST, STEPHANIE	MFS RESEARCH INTL C	0.00	21.95	0.00	21.95	90.0	0.37
05/17/2016	SPECTER TRUST, STEPHANIE	MFS RESEARCH INTL C	0.00	21.68	0.00	21.68	90.0	0.37
06/16/2016	SPECTER TRUST, STEPHANIE	MFS RESEARCH INTL C	0.00	22.39	0.00	22.39	90.0	0.38
07/20/2016	SPECTER TRUST, STEPHANIE	MFS RESEARCH INTL C	0.00	21.59	0.00	21.59	90.0	0.37
08/16/2016	SPECTER TRUST, STEPHANIE	MFS RESEARCH INTL C	0.00	22.53	0.00	22.53	90.0	0.38
09/15/2016	SPECTER TRUST, STEPHANIE	MFS RESEARCH INTL C	0.00	23.28	0.00	23.28	90.0	0.40
10/20/2016	SPECTER TRUST, STEPHANIE	MFS RESEARCH INTL C	0.00	22.58	0.00	22.58	90.0	0.38
11/14/2016	SPECTER TRUST, STEPHANIE	MFS RESEARCH INTL C	0.00	23.04	0.00	23.04	90.0	0.39
12/19/2016	SPECTER TRUST, STEPHANIE	MFS RESEARCH INTL C	0.00	21.65	0.00	21.65	90.0	0.37
02/08/2016	KROSNOWSKI, THOMAS	MFS TECHNOLOGY FUND-C	0.00	7.67	0.00	7.67	90.0	0.13
03/14/2016	KROSNOWSKI, THOMAS	MFS TECHNOLOGY FUND-C	0.00	6.83	0.00	6.83	90.0	0.12
04/15/2016	KROSNOWSKI, THOMAS	MFS TECHNOLOGY FUND-C	0.00	7.85	0.00	7.85	90.0	0.13
05/17/2016	KROSNOWSKI, THOMAS	MFS TECHNOLOGY FUND-C	0.00	7.86	0.00	7.86	90.0	0.13
06/16/2016	KROSNOWSKI, THOMAS	MFS TECHNOLOGY FUND-C	0.00	8.15	0.00	8.15	90.0	0.14
07/20/2016	KROSNOWSKI, THOMAS	MFS TECHNOLOGY FUND-C	0.00	8.03	0.00	8.03	90.0	0.14
08/16/2016	KROSNOWSKI, THOMAS	MFS TECHNOLOGY FUND-C	0.00	8.51	0.00	8.51	90.0	0.14
09/15/2016	KROSNOWSKI, THOMAS	MFS TECHNOLOGY FUND-C	0.00	8.87	0.00	8.87	90.0	0.15
10/20/2016	KROSNOWSKI, THOMAS	MFS TECHNOLOGY FUND-C	0.00	8.66	0.00	8.66	90.0	0.15
11/14/2016	KROSNOWSKI, THOMAS	MFS TECHNOLOGY FUND-C	0.00	9.05	0.00	9.05	90.0	0.15
12/19/2016	KROSNOWSKI, THOMAS	MFS TECHNOLOGY FUND-C	0.00	8.60	0.00	8.60	90.0	0.15
02/08/2016	SPECTER TRUST, BRADLEY	MFS VALUE C	0.00	7.12	0.00	7.12	90.0	0.12
02/08/2016	SPECTER TRUST, STEPHANIE	MFS VALUE C	0.00	11.07	0.00	11.07	90.0	0.19
03/14/2016	SPECTER TRUST, BRADLEY	MFS VALUE C	0.00	6.67	0.00	6.67	90.0	0.11
03/14/2016	SPECTER TRUST, STEPHANIE	MFS VALUE C	0.00	10.37	0.00	10.37	90.0	0.18

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<u> OVERRIDE TRANSACTIONS </u>								
<u> BROKER: MARC, L134 LINSKY #263 </u>								
04/15/2016	SPECTER TRUST, BRADLEY	MFS VALUE C	0.00	7.55	0.00	7.55	90.0	0.13
04/15/2016	SPECTER TRUST, STEPHANIE	MFS VALUE C	0.00	11.75	0.00	11.75	90.0	0.20
05/17/2016	SPECTER TRUST, BRADLEY	MFS VALUE C	0.00	7.52	0.00	7.52	90.0	0.13
05/17/2016	SPECTER TRUST, STEPHANIE	MFS VALUE C	0.00	11.70	0.00	11.70	90.0	0.20
06/16/2016	SPECTER TRUST, BRADLEY	MFS VALUE C	0.00	7.86	0.00	7.86	90.0	0.13
06/16/2016	SPECTER TRUST, STEPHANIE	MFS VALUE C	0.00	12.23	0.00	12.23	90.0	0.21
07/20/2016	SPECTER TRUST, BRADLEY	MFS VALUE C	0.00	7.66	0.00	7.66	90.0	0.13
07/20/2016	SPECTER TRUST, STEPHANIE	MFS VALUE C	0.00	11.92	0.00	11.92	90.0	0.20
08/16/2016	SPECTER TRUST, BRADLEY	MFS VALUE C	0.00	8.14	0.00	8.14	90.0	0.14
08/16/2016	SPECTER TRUST, STEPHANIE	MFS VALUE C	0.00	12.67	0.00	12.67	90.0	0.22
09/15/2016	SPECTER TRUST, BRADLEY	MFS VALUE C	0.00	8.25	0.00	8.25	90.0	0.14
09/15/2016	SPECTER TRUST, STEPHANIE	MFS VALUE C	0.00	12.83	0.00	12.83	90.0	0.22
10/20/2016	SPECTER TRUST, BRADLEY	MFS VALUE C	0.00	7.88	0.00	7.88	90.0	0.13
10/20/2016	SPECTER TRUST, STEPHANIE	MFS VALUE C	0.00	12.26	0.00	12.26	90.0	0.21
11/14/2016	SPECTER TRUST, BRADLEY	MFS VALUE C	0.00	8.05	0.00	8.05	90.0	0.14
11/14/2016	SPECTER TRUST, STEPHANIE	MFS VALUE C	0.00	12.52	0.00	12.52	90.0	0.21
12/19/2016	SPECTER TRUST, BRADLEY	MFS VALUE C	0.00	7.96	0.00	7.96	90.0	0.14
12/19/2016	SPECTER TRUST, STEPHANIE	MFS VALUE C	0.00	12.39	0.00	12.39	90.0	0.21
02/22/2016	DUBIN, JON	OPPENHEIMER COMMODITY STRATEGY TL R	0.00	1.08	0.00	1.08	90.0	0.02
03/17/2016	DUBIN, JON	OPPENHEIMER COMMODITY STRATEGY TL R	0.00	1.01	0.00	1.01	90.0	0.02
04/21/2016	DUBIN, JON	OPPENHEIMER COMMODITY STRATEGY TL R	0.00	1.14	0.00	1.14	90.0	0.02
05/19/2016	DUBIN, JON	OPPENHEIMER COMMODITY STRATEGY TL R	0.00	1.13	0.00	1.13	90.0	0.02
06/30/2016	DUBIN, JON	OPPENHEIMER COMMODITY STRATEGY TL R	0.00	1.21	0.00	1.21	90.0	0.02
07/18/2016	DUBIN, JON	OPPENHEIMER COMMODITY STRATEGY TL R	0.00	1.22	0.00	1.22	90.0	0.02
08/24/2016	DUBIN, JON	OPPENHEIMER COMMODITY STRATEGY TL R	0.00	0.56	0.00	0.56	90.0	0.01
02/22/2016	KROSNOWSKI, THOMAS	OPPENHEIMER DISCOVERY A	0.00	0.89	0.00	0.89	90.0	0.02
03/17/2016	KROSNOWSKI, THOMAS	OPPENHEIMER DISCOVERY A	0.00	0.77	0.00	0.77	90.0	0.01
04/21/2016	KROSNOWSKI, THOMAS	OPPENHEIMER DISCOVERY A	0.00	0.88	0.00	0.88	90.0	0.01
05/19/2016	KROSNOWSKI, THOMAS	OPPENHEIMER DISCOVERY A	0.00	0.89	0.00	0.89	90.0	0.02
06/30/2016	KROSNOWSKI, THOMAS	OPPENHEIMER DISCOVERY A	0.00	0.92	0.00	0.92	90.0	0.02
07/18/2016	KROSNOWSKI, THOMAS	OPPENHEIMER DISCOVERY A	0.00	0.92	0.00	0.92	90.0	0.02
08/24/2016	KROSNOWSKI, THOMAS	OPPENHEIMER DISCOVERY A	0.00	0.99	0.00	0.99	90.0	0.02
09/22/2016	KROSNOWSKI, THOMAS	OPPENHEIMER DISCOVERY A	0.00	1.01	0.00	1.01	90.0	0.02

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<u>VERRIDE TRANSACTIONS</u>								
<u>BROKER: MARC, L134 LINSKY #263</u>								
10/21/2016	KROSNOWSKI, THOMAS	OPPENHEIMER DISCOVERY A	0.00	0.98	0.00	0.98	90.0	0.02
11/21/2016	KROSNOWSKI, THOMAS	OPPENHEIMER DISCOVERY A	0.00	0.99	0.00	0.99	90.0	0.02
12/19/2016	KROSNOWSKI, THOMAS	OPPENHEIMER DISCOVERY A	0.00	0.96	0.00	0.96	90.0	0.02
02/22/2016	KROSNOWSKI, THOMAS	OPPENHEIMER GLOBAL OPPORTUNITIES A	0.00	0.64	0.00	0.64	90.0	0.01
03/17/2016	KROSNOWSKI, THOMAS	OPPENHEIMER GLOBAL OPPORTUNITIES A	0.00	0.56	0.00	0.56	90.0	0.01
04/21/2016	KROSNOWSKI, THOMAS	OPPENHEIMER GLOBAL OPPORTUNITIES A	0.00	0.65	0.00	0.65	90.0	0.01
05/19/2016	KROSNOWSKI, THOMAS	OPPENHEIMER GLOBAL OPPORTUNITIES A	0.00	0.68	0.00	0.68	90.0	0.01
06/30/2016	KROSNOWSKI, THOMAS	OPPENHEIMER GLOBAL OPPORTUNITIES A	0.00	0.71	0.00	0.71	90.0	0.01
07/18/2016	KROSNOWSKI, THOMAS	OPPENHEIMER GLOBAL OPPORTUNITIES A	0.00	0.69	0.00	0.69	90.0	0.01
08/24/2016	KROSNOWSKI, THOMAS	OPPENHEIMER GLOBAL OPPORTUNITIES A	0.00	0.73	0.00	0.73	90.0	0.01
09/22/2016	KROSNOWSKI, THOMAS	OPPENHEIMER GLOBAL OPPORTUNITIES A	0.00	0.78	0.00	0.78	90.0	0.01
10/21/2016	KROSNOWSKI, THOMAS	OPPENHEIMER GLOBAL OPPORTUNITIES A	0.00	0.78	0.00	0.78	90.0	0.01
11/21/2016	KROSNOWSKI, THOMAS	OPPENHEIMER GLOBAL OPPORTUNITIES A	0.00	0.78	0.00	0.78	90.0	0.01
12/19/2016	KROSNOWSKI, THOMAS	OPPENHEIMER GLOBAL OPPORTUNITIES A	0.00	0.74	0.00	0.74	90.0	0.01
02/22/2016	CARSON, LINDA	OPPENHEIMER GOLD & SPECIAL MINERALS	0.00	3.18	0.00	3.18	90.0	0.05
03/17/2016	CARSON, LINDA	OPPENHEIMER GOLD & SPECIAL MINERALS	0.00	3.66	0.00	3.66	90.0	0.06
04/21/2016	CARSON, LINDA	OPPENHEIMER GOLD & SPECIAL MINERALS	0.00	4.40	0.00	4.40	90.0	0.07
04/21/2016	KROSNOWSKI, THOMAS	OPPENHEIMER GOLD & SPECIAL MINERALS	0.00	0.34	0.00	0.34	90.0	0.01
05/19/2016	CARSON, LINDA	OPPENHEIMER GOLD & SPECIAL MINERALS	0.00	0.43	0.00	0.43	90.0	0.01
05/19/2016	KROSNOWSKI, THOMAS	OPPENHEIMER GOLD & SPECIAL MINERALS	0.00	0.36	0.00	0.36	90.0	0.01
06/30/2016	KROSNOWSKI, THOMAS	OPPENHEIMER GOLD & SPECIAL MINERALS	0.00	0.41	0.00	0.41	90.0	0.01
07/18/2016	KROSNOWSKI, THOMAS	OPPENHEIMER GOLD & SPECIAL MINERALS	0.00	0.43	0.00	0.43	90.0	0.01
08/24/2016	KROSNOWSKI, THOMAS	OPPENHEIMER GOLD & SPECIAL MINERALS	0.00	0.51	0.00	0.51	90.0	0.01
09/22/2016	KROSNOWSKI, THOMAS	OPPENHEIMER GOLD & SPECIAL MINERALS	0.00	0.52	0.00	0.52	90.0	0.01
10/21/2016	KROSNOWSKI, THOMAS	OPPENHEIMER GOLD & SPECIAL MINERALS	0.00	0.47	0.00	0.47	90.0	0.01
11/21/2016	KROSNOWSKI, THOMAS	OPPENHEIMER GOLD & SPECIAL MINERALS	0.00	0.44	0.00	0.44	90.0	0.01
12/19/2016	KROSNOWSKI, THOMAS	OPPENHEIMER GOLD & SPECIAL MINERALS	0.00	0.39	0.00	0.39	90.0	0.01
02/22/2016	BOWERS, DORA	OPPENHEIMER INTL GROWTH A	0.00	0.50	0.00	0.50	90.0	0.01
03/17/2016	BOWERS, DORA	OPPENHEIMER INTL GROWTH A	0.00	0.46	0.00	0.46	90.0	0.01
04/21/2016	BOWERS, DORA	OPPENHEIMER INTL GROWTH A	0.00	0.52	0.00	0.52	90.0	0.01
05/19/2016	BOWERS, DORA	OPPENHEIMER INTL GROWTH A	0.00	0.51	0.00	0.51	90.0	0.01
06/30/2016	BOWERS, DORA	OPPENHEIMER INTL GROWTH A	0.00	0.53	0.00	0.53	90.0	0.01
07/18/2016	BOWERS, DORA	OPPENHEIMER INTL GROWTH A	0.00	0.50	0.00	0.50	90.0	0.01

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<u>VERRIDE TRANSACTIONS</u>								
<u>BROKER: MARC, L134 LINSKY #263</u>								
08/24/2016	BOWERS, DORA	OPPENHEIMER INTL GROWTH A	0.00	0.52	0.00	0.52	90.0	0.01
09/22/2016	BOWERS, DORA	OPPENHEIMER INTL GROWTH A	0.00	0.54	0.00	0.54	90.0	0.01
10/21/2016	BOWERS, DORA	OPPENHEIMER INTL GROWTH A	0.00	0.53	0.00	0.53	90.0	0.01
11/21/2016	BOWERS, DORA	OPPENHEIMER INTL GROWTH A	0.00	0.53	0.00	0.53	90.0	0.01
12/19/2016	BOWERS, DORA	OPPENHEIMER INTL GROWTH A	0.00	0.49	0.00	0.49	90.0	0.01
02/22/2016	STERR, ERIN	OPPENHEIMER MAIN STREET A	0.00	1.82	0.00	1.82	90.0	0.03
02/22/2016	KROSNOWSKI, THOMAS	OPPENHEIMER MAIN STREET A	0.00	2.35	0.00	2.35	90.0	0.04
03/17/2016	STERR, ERIN	OPPENHEIMER MAIN STREET A	0.00	1.69	0.00	1.69	90.0	0.03
03/17/2016	KROSNOWSKI, THOMAS	OPPENHEIMER MAIN STREET A	0.00	2.18	0.00	2.18	90.0	0.04
04/21/2016	STERR, ERIN	OPPENHEIMER MAIN STREET A	0.00	1.92	0.00	1.92	90.0	0.03
04/21/2016	KROSNOWSKI, THOMAS	OPPENHEIMER MAIN STREET A	0.00	2.48	0.00	2.48	90.0	0.04
05/19/2016	STERR, ERIN	OPPENHEIMER MAIN STREET A	0.00	1.91	0.00	1.91	90.0	0.03
05/19/2016	KROSNOWSKI, THOMAS	OPPENHEIMER MAIN STREET A	0.00	2.46	0.00	2.46	90.0	0.04
06/30/2016	STERR, ERIN	OPPENHEIMER MAIN STREET A	0.00	1.98	0.00	1.98	90.0	0.03
06/30/2016	KROSNOWSKI, THOMAS	OPPENHEIMER MAIN STREET A	0.00	2.55	0.00	2.55	90.0	0.04
07/18/2016	STERR, ERIN	OPPENHEIMER MAIN STREET A	0.00	1.93	0.00	1.93	90.0	0.03
07/18/2016	KROSNOWSKI, THOMAS	OPPENHEIMER MAIN STREET A	0.00	2.49	0.00	2.49	90.0	0.04
08/24/2016	STERR, ERIN	OPPENHEIMER MAIN STREET A	0.00	2.06	0.00	2.06	90.0	0.04
08/24/2016	KROSNOWSKI, THOMAS	OPPENHEIMER MAIN STREET A	0.00	2.66	0.00	2.66	90.0	0.05
09/22/2016	STERR, ERIN	OPPENHEIMER MAIN STREET A	0.00	2.08	0.00	2.08	90.0	0.04
09/22/2016	KROSNOWSKI, THOMAS	OPPENHEIMER MAIN STREET A	0.00	2.68	0.00	2.68	90.0	0.05
10/21/2016	STERR, ERIN	OPPENHEIMER MAIN STREET A	0.00	2.00	0.00	2.00	90.0	0.03
10/21/2016	KROSNOWSKI, THOMAS	OPPENHEIMER MAIN STREET A	0.00	2.57	0.00	2.57	90.0	0.04
11/21/2016	STERR, ERIN	OPPENHEIMER MAIN STREET A	0.00	2.05	0.00	2.05	90.0	0.03
11/21/2016	KROSNOWSKI, THOMAS	OPPENHEIMER MAIN STREET A	0.00	2.64	0.00	2.64	90.0	0.04
12/19/2016	STERR, ERIN	OPPENHEIMER MAIN STREET A	0.00	2.01	0.00	2.01	90.0	0.03
12/19/2016	KROSNOWSKI, THOMAS	OPPENHEIMER MAIN STREET A	0.00	2.59	0.00	2.59	90.0	0.04
10/21/2016	PERETTI, DANIEL	OPPENHEIMER PORTFOLIO SERIES EQ INV	0.00	0.78	0.00	0.78	90.0	0.01
11/21/2016	PERETTI, DANIEL	OPPENHEIMER PORTFOLIO SERIES EQ INV	0.00	0.80	0.00	0.80	90.0	0.01
12/19/2016	PERETTI, DANIEL	OPPENHEIMER PORTFOLIO SERIES EQ INV	0.00	0.76	0.00	0.76	90.0	0.01
10/21/2016	PERETTI, DANIEL	OPPENHEIMER PORTFOLIO SERIRES: MOD	0.00	30.58	0.00	30.58	90.0	0.52
11/21/2016	PERETTI, DANIEL	OPPENHEIMER PORTFOLIO SERIRES: MOD	0.00	34.63	0.00	34.63	90.0	0.59
12/19/2016	PERETTI, DANIEL	OPPENHEIMER PORTFOLIO SERIRES: MOD	0.00	33.14	0.00	33.14	90.0	0.56

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<u> OVERRIDE TRANSACTIONS </u>								
<u>BROKER: MARC, L134 LINSKY #263</u>								
02/22/2016	CHERRY, LISA	OPPENHEIMER QUEST OPP VALUE A	0.00	2.58	0.00	2.58	90.0	0.04
02/22/2016	KROSNOWSKI, THOMAS	OPPENHEIMER QUEST OPP VALUE A	0.00	1.75	0.00	1.75	90.0	0.03
03/17/2016	CHERRY, LISA	OPPENHEIMER QUEST OPP VALUE A	0.00	2.41	0.00	2.41	90.0	0.04
03/17/2016	KROSNOWSKI, THOMAS	OPPENHEIMER QUEST OPP VALUE A	0.00	1.63	0.00	1.63	90.0	0.03
04/21/2016	CHERRY, LISA	OPPENHEIMER QUEST OPP VALUE A	0.00	2.56	0.00	2.56	90.0	0.04
04/21/2016	KROSNOWSKI, THOMAS	OPPENHEIMER QUEST OPP VALUE A	0.00	1.73	0.00	1.73	90.0	0.03
05/19/2016	CHERRY, LISA	OPPENHEIMER QUEST OPP VALUE A	0.00	2.49	0.00	2.49	90.0	0.04
05/19/2016	KROSNOWSKI, THOMAS	OPPENHEIMER QUEST OPP VALUE A	0.00	1.68	0.00	1.68	90.0	0.03
06/30/2016	CHERRY, LISA	OPPENHEIMER QUEST OPP VALUE A	0.00	2.59	0.00	2.59	90.0	0.04
06/30/2016	KROSNOWSKI, THOMAS	OPPENHEIMER QUEST OPP VALUE A	0.00	1.75	0.00	1.75	90.0	0.03
07/18/2016	CHERRY, LISA	OPPENHEIMER QUEST OPP VALUE A	0.00	2.53	0.00	2.53	90.0	0.04
07/18/2016	KROSNOWSKI, THOMAS	OPPENHEIMER QUEST OPP VALUE A	0.00	1.71	0.00	1.71	90.0	0.03
08/24/2016	CHERRY, LISA	OPPENHEIMER QUEST OPP VALUE A	0.00	2.62	0.00	2.62	90.0	0.04
08/24/2016	KROSNOWSKI, THOMAS	OPPENHEIMER QUEST OPP VALUE A	0.00	1.77	0.00	1.77	90.0	0.03
09/22/2016	CHERRY, LISA	OPPENHEIMER QUEST OPP VALUE A	0.00	2.61	0.00	2.61	90.0	0.04
09/22/2016	KROSNOWSKI, THOMAS	OPPENHEIMER QUEST OPP VALUE A	0.00	1.77	0.00	1.77	90.0	0.03
10/21/2016	CHERRY, LISA	OPPENHEIMER QUEST OPP VALUE A	0.00	2.52	0.00	2.52	90.0	0.04
10/21/2016	KROSNOWSKI, THOMAS	OPPENHEIMER QUEST OPP VALUE A	0.00	1.70	0.00	1.70	90.0	0.03
11/21/2016	CHERRY, LISA	OPPENHEIMER QUEST OPP VALUE A	0.00	2.60	0.00	2.60	90.0	0.04
11/21/2016	KROSNOWSKI, THOMAS	OPPENHEIMER QUEST OPP VALUE A	0.00	1.76	0.00	1.76	90.0	0.03
12/19/2016	CHERRY, LISA	OPPENHEIMER QUEST OPP VALUE A	0.00	2.52	0.00	2.52	90.0	0.04
12/19/2016	KROSNOWSKI, THOMAS	OPPENHEIMER QUEST OPP VALUE A	0.00	1.71	0.00	1.71	90.0	0.03
02/14/2018	SIEMANOWSKI, JOHN	ORBOTECH LTD ORD SHS ISIN#IL0010823	-25,063.25	30.00	22.75	7.25	90.0	0.12
02/22/2016	CHERRY, ADAM	PAC LIFE FUNDS PRT OPT MOD	0.00	203.80	0.00	203.80	90.0	3.46
03/18/2016	CHERRY, ADAM	PAC LIFE FUNDS PRT OPT MOD	0.00	187.19	0.00	187.19	90.0	3.18
04/20/2016	CHERRY, ADAM	PAC LIFE FUNDS PRT OPT MOD	0.00	210.46	0.00	210.46	90.0	3.58
05/24/2016	CHERRY, ADAM	PAC LIFE FUNDS PRT OPT MOD	0.00	208.12	0.00	208.12	90.0	3.54
06/16/2016	CHERRY, ADAM	PAC LIFE FUNDS PRT OPT MOD	0.00	214.96	0.00	214.96	90.0	3.65
07/19/2016	CHERRY, ADAM	PAC LIFE FUNDS PRT OPT MOD	0.00	209.20	0.00	209.20	90.0	3.56
08/18/2016	CHERRY, ADAM	PAC LIFE FUNDS PRT OPT MOD	0.00	220.59	0.00	220.59	90.0	3.75
09/22/2016	CHERRY, ADAM	PAC LIFE FUNDS PRT OPT MOD	0.00	224.13	0.00	224.13	90.0	3.81
10/20/2016	CHERRY, ADAM	PAC LIFE FUNDS PRT OPT MOD	0.00	216.56	0.00	216.56	90.0	3.68
11/25/2016	CHERRY, ADAM	PAC LIFE FUNDS PRT OPT MOD	0.00	223.23	0.00	223.23	90.0	3.79

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<u> OVERRIDE TRANSACTIONS </u>								
<u>BROKER: MARC, L134 LINSKY #263</u>								
12/21/2016	CHERRY, ADAM	PAC LIFE FUNDS PRT OPT MOD	0.00	215.37	0.00	215.37	90.0	3.66
01/29/2018	MEDIA ENTERPRISES	PAC LIFE INNOVATIVE SELECT	0.00	158.43	0.00	158.43	90.0	2.69
02/05/2018	HAMMOND, HAROLD	PAC LIFE INNOVATIVE SELECT	0.00	82.79	0.00	82.79	90.0	1.41
04/21/2016	JACKSON, SHIRLEY	PUTNAM GROWTH & INCOME A	0.00	1.89	0.00	1.89	90.0	0.03
05/26/2016	JACKSON, SHIRLEY	PUTNAM GROWTH & INCOME A	0.00	1.89	0.00	1.89	90.0	0.03
06/23/2016	JACKSON, SHIRLEY	PUTNAM GROWTH & INCOME A	0.00	1.95	0.00	1.95	90.0	0.03
07/26/2016	JACKSON, SHIRLEY	PUTNAM GROWTH & INCOME A	0.00	1.91	0.00	1.91	90.0	0.03
08/19/2016	JACKSON, SHIRLEY	PUTNAM GROWTH & INCOME A	0.00	2.03	0.00	2.03	90.0	0.03
09/20/2016	JACKSON, SHIRLEY	PUTNAM GROWTH & INCOME A	0.00	2.06	0.00	2.06	90.0	0.04
10/25/2016	JACKSON, SHIRLEY	PUTNAM GROWTH & INCOME A	0.00	1.99	0.00	1.99	90.0	0.03
11/23/2016	JACKSON, SHIRLEY	PUTNAM GROWTH & INCOME A	0.00	2.06	0.00	2.06	90.0	0.04
12/23/2016	JACKSON, SHIRLEY	PUTNAM GROWTH & INCOME A	0.00	2.04	0.00	2.04	90.0	0.03
11/23/2016	TRICHON, DONNA-LYNN	PUTNAM GROWTH OPP A	0.00	3.78	0.00	3.78	90.0	0.06
12/23/2016	TRICHON, DONNA-LYNN	PUTNAM GROWTH OPP A	0.00	10.33	0.00	10.33	90.0	0.18
02/22/2016	NIEMINEN, EUGENE	PUTNAM MULTI CAP GROWTH A	0.00	2.13	0.00	2.13	90.0	0.04
03/22/2016	NIEMINEN, EUGENE	PUTNAM MULTI CAP GROWTH A	0.00	1.93	0.00	1.93	90.0	0.03
04/21/2016	NIEMINEN, EUGENE	PUTNAM MULTI CAP GROWTH A	0.00	2.20	0.00	2.20	90.0	0.04
05/26/2016	NIEMINEN, EUGENE	PUTNAM MULTI CAP GROWTH A	0.00	2.19	0.00	2.19	90.0	0.04
06/23/2016	NIEMINEN, EUGENE	PUTNAM MULTI CAP GROWTH A	0.00	2.26	0.00	2.26	90.0	0.04
07/26/2016	NIEMINEN, EUGENE	PUTNAM MULTI CAP GROWTH A	0.00	2.21	0.00	2.21	90.0	0.04
08/19/2016	NIEMINEN, EUGENE	PUTNAM MULTI CAP GROWTH A	0.00	2.35	0.00	2.35	90.0	0.04
09/20/2016	NIEMINEN, EUGENE	PUTNAM MULTI CAP GROWTH A	0.00	2.42	0.00	2.42	90.0	0.04
10/25/2016	NIEMINEN, EUGENE	PUTNAM MULTI CAP GROWTH A	0.00	2.34	0.00	2.34	90.0	0.04
11/23/2016	NIEMINEN, EUGENE	PUTNAM MULTI CAP GROWTH A	0.00	2.41	0.00	2.41	90.0	0.04
12/23/2016	NIEMINEN, EUGENE	PUTNAM MULTI CAP GROWTH A	0.00	2.35	0.00	2.35	90.0	0.04
02/22/2016	TRICHON, DONNA-LYNN	PUTNAM VOYAGER A	0.00	9.61	0.00	9.61	90.0	0.16
03/22/2016	TRICHON, DONNA-LYNN	PUTNAM VOYAGER A	0.00	8.62	0.00	8.62	90.0	0.15
04/21/2016	TRICHON, DONNA-LYNN	PUTNAM VOYAGER A	0.00	9.90	0.00	9.90	90.0	0.17
05/26/2016	TRICHON, DONNA-LYNN	PUTNAM VOYAGER A	0.00	9.89	0.00	9.89	90.0	0.17
06/23/2016	TRICHON, DONNA-LYNN	PUTNAM VOYAGER A	0.00	10.07	0.00	10.07	90.0	0.17
07/26/2016	TRICHON, DONNA-LYNN	PUTNAM VOYAGER A	0.00	9.77	0.00	9.77	90.0	0.17
08/19/2016	TRICHON, DONNA-LYNN	PUTNAM VOYAGER A	0.00	10.36	0.00	10.36	90.0	0.18
09/20/2016	TRICHON, DONNA-LYNN	PUTNAM VOYAGER A	0.00	10.70	0.00	10.70	90.0	0.18

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<u> OVERRIDE TRANSACTIONS </u>								
<u>BROKER: MARC, L134 LINSKY #263</u>								
10/25/2016	TRICHON, DONNA-LYNN	PUTNAM VOYAGER A	0.00	10.35	0.00	10.35	90.0	0.18
11/23/2016	TRICHON, DONNA-LYNN	PUTNAM VOYAGER A	0.00	6.93	0.00	6.93	90.0	0.12
02/12/2016	SPECTER, BRADLEY	RESOURCE R E DIVERSIFIED INC FUND A	0.00	11.04	0.00	11.04	90.0	0.19
02/12/2016	SPECTER, STEPHANIE	RESOURCE R E DIVERSIFIED INC FUND A	0.00	15.08	0.00	15.08	90.0	0.26
02/12/2016	POLLAN, PATRICIA	RESOURCE R E DIVERSIFIED INC FUND A	0.00	4.33	0.00	4.33	90.0	0.07
02/12/2016	TAROFF, MICHELLE	RESOURCE R E DIVERSIFIED INC FUND A	0.00	4.96	0.00	4.96	90.0	0.08
03/14/2016	SPECTER, BRADLEY	RESOURCE R E DIVERSIFIED INC FUND A	0.00	10.04	0.00	10.04	90.0	0.17
03/14/2016	SPECTER, STEPHANIE	RESOURCE R E DIVERSIFIED INC FUND A	0.00	13.72	0.00	13.72	90.0	0.23
03/14/2016	TAROFF, MICHELLE	RESOURCE R E DIVERSIFIED INC FUND A	0.00	4.51	0.00	4.51	90.0	0.08
04/18/2016	SPECTER, BRADLEY	RESOURCE R E DIVERSIFIED INC FUND A	0.00	11.20	0.00	11.20	90.0	0.19
04/18/2016	SPECTER, STEPHANIE	RESOURCE R E DIVERSIFIED INC FUND A	0.00	15.30	0.00	15.30	90.0	0.26
04/18/2016	TAROFF, MICHELLE	RESOURCE R E DIVERSIFIED INC FUND A	0.00	5.03	0.00	5.03	90.0	0.09
05/16/2016	SPECTER, BRADLEY	RESOURCE R E DIVERSIFIED INC FUND A	0.00	11.12	0.00	11.12	90.0	0.19
05/16/2016	SPECTER, STEPHANIE	RESOURCE R E DIVERSIFIED INC FUND A	0.00	15.19	0.00	15.19	90.0	0.26
05/16/2016	TAROFF, MICHELLE	RESOURCE R E DIVERSIFIED INC FUND A	0.00	5.00	0.00	5.00	90.0	0.09
06/16/2016	SPECTER, BRADLEY	RESOURCE R E DIVERSIFIED INC FUND A	0.00	11.64	0.00	11.64	90.0	0.20
06/16/2016	SPECTER, STEPHANIE	RESOURCE R E DIVERSIFIED INC FUND A	0.00	15.89	0.00	15.89	90.0	0.27
06/16/2016	TAROFF, MICHELLE	RESOURCE R E DIVERSIFIED INC FUND A	0.00	5.23	0.00	5.23	90.0	0.09
07/18/2016	SPECTER, BRADLEY	RESOURCE R E DIVERSIFIED INC FUND A	0.00	11.40	0.00	11.40	90.0	0.19
07/18/2016	SPECTER, STEPHANIE	RESOURCE R E DIVERSIFIED INC FUND A	0.00	15.57	0.00	15.57	90.0	0.26
07/18/2016	TAROFF, MICHELLE	RESOURCE R E DIVERSIFIED INC FUND A	0.00	5.12	0.00	5.12	90.0	0.09
08/15/2016	SPECTER, BRADLEY	RESOURCE R E DIVERSIFIED INC FUND A	0.00	12.27	0.00	12.27	90.0	0.21
08/15/2016	SPECTER, STEPHANIE	RESOURCE R E DIVERSIFIED INC FUND A	0.00	16.75	0.00	16.75	90.0	0.28
08/15/2016	TAROFF, MICHELLE	RESOURCE R E DIVERSIFIED INC FUND A	0.00	5.51	0.00	5.51	90.0	0.09
09/15/2016	SPECTER, BRADLEY	RESOURCE R E DIVERSIFIED INC FUND A	0.00	12.54	0.00	12.54	90.0	0.21
09/15/2016	SPECTER, STEPHANIE	RESOURCE R E DIVERSIFIED INC FUND A	0.00	17.12	0.00	17.12	90.0	0.29
09/15/2016	TAROFF, MICHELLE	RESOURCE R E DIVERSIFIED INC FUND A	0.00	5.63	0.00	5.63	90.0	0.10
10/17/2016	SPECTER, BRADLEY	RESOURCE R E DIVERSIFIED INC FUND A	0.00	12.17	0.00	12.17	90.0	0.21
10/17/2016	SPECTER, STEPHANIE	RESOURCE R E DIVERSIFIED INC FUND A	0.00	16.62	0.00	16.62	90.0	0.28
10/17/2016	TAROFF, MICHELLE	RESOURCE R E DIVERSIFIED INC FUND A	0.00	5.47	0.00	5.47	90.0	0.09
11/17/2016	SPECTER, BRADLEY	RESOURCE R E DIVERSIFIED INC FUND A	0.00	12.51	0.00	12.51	90.0	0.21
11/17/2016	SPECTER, STEPHANIE	RESOURCE R E DIVERSIFIED INC FUND A	0.00	17.09	0.00	17.09	90.0	0.29
11/17/2016	TAROFF, MICHELLE	RESOURCE R E DIVERSIFIED INC FUND A	0.00	5.62	0.00	5.62	90.0	0.10

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<u> OVERRIDE TRANSACTIONS </u>								
<u>BROKER: MARC, L134 LINSKY #263</u>								
12/14/2016	SPECTER, BRADLEY	RESOURCE R E DIVERSIFIED INC FUND A	0.00	11.96	0.00	11.96	90.0	0.20
12/14/2016	SPECTER, STEPHANIE	RESOURCE R E DIVERSIFIED INC FUND A	0.00	16.33	0.00	16.33	90.0	0.28
12/14/2016	TAROFF, MICHELLE	RESOURCE R E DIVERSIFIED INC FUND A	0.00	5.37	0.00	5.37	90.0	0.09
02/14/2018	SIEMANOWSKI, JOHN	ROBERT HALF INTL INC	-22,424.24	30.00	22.60	7.40	90.0	0.13
02/16/2016	FLEISCH, ROBERT	TEMPLETON GLOBAL BOND A	0.00	11.13	0.00	11.13	90.0	0.19
03/16/2016	FLEISCH, ROBERT	TEMPLETON GLOBAL BOND A	0.00	10.20	0.00	10.20	90.0	0.17
04/15/2016	FLEISCH, ROBERT	TEMPLETON GLOBAL BOND A	0.00	11.31	0.00	11.31	90.0	0.19
05/13/2016	FLEISCH, ROBERT	TEMPLETON GLOBAL BOND A	0.00	11.01	0.00	11.01	90.0	0.19
06/14/2016	FLEISCH, ROBERT	TEMPLETON GLOBAL BOND A	0.00	11.27	0.00	11.27	90.0	0.19
07/14/2016	FLEISCH, ROBERT	TEMPLETON GLOBAL BOND A	0.00	10.78	0.00	10.78	90.0	0.18
08/15/2016	FLEISCH, ROBERT	TEMPLETON GLOBAL BOND A	0.00	11.38	0.00	11.38	90.0	0.19
09/14/2016	FLEISCH, ROBERT	TEMPLETON GLOBAL BOND A	0.00	11.05	0.00	11.05	90.0	0.19
10/18/2016	FLEISCH, ROBERT	TEMPLETON GLOBAL BOND A	0.00	10.49	0.00	10.49	90.0	0.18
11/15/2016	FLEISCH, ROBERT	TEMPLETON GLOBAL BOND A	0.00	11.13	0.00	11.13	90.0	0.19
12/16/2016	FLEISCH, ROBERT	TEMPLETON GLOBAL BOND A	0.00	10.73	0.00	10.73	90.0	0.18
04/15/2016	JACKSON, SHIRLEY	TEMPLETON GLOBAL BOND C	0.00	37.57	0.00	37.57	90.0	0.64
05/13/2016	JACKSON, SHIRLEY	TEMPLETON GLOBAL BOND C	0.00	36.47	0.00	36.47	90.0	0.62
06/14/2016	JACKSON, SHIRLEY	TEMPLETON GLOBAL BOND C	0.00	37.28	0.00	37.28	90.0	0.63
07/14/2016	JACKSON, SHIRLEY	TEMPLETON GLOBAL BOND C	0.00	35.57	0.00	35.57	90.0	0.60
08/15/2016	JACKSON, SHIRLEY	TEMPLETON GLOBAL BOND C	0.00	37.49	0.00	37.49	90.0	0.64
09/14/2016	JACKSON, SHIRLEY	TEMPLETON GLOBAL BOND C	0.00	37.28	0.00	37.28	90.0	0.63
10/18/2016	JACKSON, SHIRLEY	TEMPLETON GLOBAL BOND C	0.00	35.77	0.00	35.77	90.0	0.61
11/15/2016	JACKSON, SHIRLEY	TEMPLETON GLOBAL BOND C	0.00	37.88	0.00	37.88	90.0	0.64
12/16/2016	JACKSON, SHIRLEY	TEMPLETON GLOBAL BOND C	0.00	36.44	0.00	36.44	90.0	0.62
02/16/2016	GREENWELL, MARION	TEMPLETON GROWTH A	0.00	1.22	0.00	1.22	90.0	0.02
03/16/2016	GREENWELL, MARION	TEMPLETON GROWTH A	0.00	1.10	0.00	1.10	90.0	0.02
04/15/2016	GREENWELL, MARION	TEMPLETON GROWTH A	0.00	1.28	0.00	1.28	90.0	0.02
05/13/2016	GREENWELL, MARION	TEMPLETON GROWTH A	0.00	1.27	0.00	1.27	90.0	0.02
06/14/2016	GREENWELL, MARION	TEMPLETON GROWTH A	0.00	1.29	0.00	1.29	90.0	0.02
07/14/2016	GREENWELL, MARION	TEMPLETON GROWTH A	0.00	1.25	0.00	1.25	90.0	0.02
08/15/2016	GREENWELL, MARION	TEMPLETON GROWTH A	0.00	1.30	0.00	1.30	90.0	0.02
09/14/2016	GREENWELL, MARION	TEMPLETON GROWTH A	0.00	1.35	0.00	1.35	90.0	0.02
10/18/2016	GREENWELL, MARION	TEMPLETON GROWTH A	0.00	1.33	0.00	1.33	90.0	0.02

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>VERRIDE TRANSACTIONS</u>								
<u>BROKER: MARC, L134 LINSKY #263</u>								
11/15/2016	GREENWELL, MARION	TEMPLETON GROWTH A	0.00	1.37	0.00	1.37	90.0	0.02
11/15/2016	CENTANNI, RICHARD	TEMPLETON GROWTH A	0.00	0.30	0.00	0.30	90.0	0.01
12/16/2016	GREENWELL, MARION	TEMPLETON GROWTH A	0.00	1.33	0.00	1.33	90.0	0.02
02/16/2016	FLEISCH, ROBERT	TEMPLETON WORLD A	0.00	9.18	0.00	9.18	90.0	0.16
03/16/2016	FLEISCH, ROBERT	TEMPLETON WORLD A	0.00	8.26	0.00	8.26	90.0	0.14
04/15/2016	FLEISCH, ROBERT	TEMPLETON WORLD A	0.00	9.53	0.00	9.53	90.0	0.16
05/13/2016	FLEISCH, ROBERT	TEMPLETON WORLD A	0.00	9.49	0.00	9.49	90.0	0.16
06/14/2016	FLEISCH, ROBERT	TEMPLETON WORLD A	0.00	9.70	0.00	9.70	90.0	0.16
07/14/2016	FLEISCH, ROBERT	TEMPLETON WORLD A	0.00	9.39	0.00	9.39	90.0	0.16
08/15/2016	FLEISCH, ROBERT	TEMPLETON WORLD A	0.00	9.83	0.00	9.83	90.0	0.17
09/14/2016	FLEISCH, ROBERT	TEMPLETON WORLD A	0.00	9.86	0.00	9.86	90.0	0.17
10/18/2016	FLEISCH, ROBERT	TEMPLETON WORLD A	0.00	9.53	0.00	9.53	90.0	0.16
11/15/2016	FLEISCH, ROBERT	TEMPLETON WORLD A	0.00	10.01	0.00	10.01	90.0	0.17
12/16/2016	FLEISCH, ROBERT	TEMPLETON WORLD A	0.00	9.79	0.00	9.79	90.0	0.17
09/21/2016	PERETTI, DANIEL	TOUCHSTONE GROWTH OPP A	0.00	0.55	0.00	0.55	90.0	0.01
10/28/2016	PERETTI, DANIEL	TOUCHSTONE GROWTH OPP A	0.00	1.21	0.00	1.21	90.0	0.02
11/21/2016	PERETTI, DANIEL	TOUCHSTONE GROWTH OPP A	0.00	1.21	0.00	1.21	90.0	0.02
12/30/2016	PERETTI, DANIEL	TOUCHSTONE GROWTH OPP A	0.00	1.22	0.00	1.22	90.0	0.02
01/24/2018	GALERMAN, ALAN	TRANSAMERICA LIBERTY	128,577.64	107.15	0.00	107.15	90.0	1.82
03/01/2016	EHRET, WAYNE	VICTORY CAPITAL MANAGEMENT	0.00	0.35	0.00	0.35	90.0	0.01
04/01/2016	EHRET, WAYNE	VICTORY CAPITAL MANAGEMENT	0.00	0.32	0.00	0.32	90.0	0.01
04/25/2016	EHRET, WAYNE	VICTORY CAPITAL MANAGEMENT	0.00	0.36	0.00	0.36	90.0	0.01
06/29/2016	EHRET, WAYNE	VICTORY CAPITAL MANAGEMENT	0.00	0.37	0.00	0.37	90.0	0.01
06/30/2016	EHRET, WAYNE	VICTORY CAPITAL MANAGEMENT	0.00	0.36	0.00	0.36	90.0	0.01
08/01/2016	EHRET, WAYNE	VICTORY CAPITAL MANAGEMENT	0.00	0.36	0.00	0.36	90.0	0.01
08/30/2016	EHRET, WAYNE	VICTORY CAPITAL MANAGEMENT	0.00	0.38	0.00	0.38	90.0	0.01
09/30/2016	EHRET, WAYNE	VICTORY CAPITAL MANAGEMENT	0.00	0.39	0.00	0.39	90.0	0.01
10/25/2016	EHRET, WAYNE	VICTORY CAPITAL MANAGEMENT	0.00	0.37	0.00	0.37	90.0	0.01
11/30/2016	EHRET, WAYNE	VICTORY CAPITAL MANAGEMENT	0.00	0.38	0.00	0.38	90.0	0.01
12/29/2016	EHRET, WAYNE	VICTORY CAPITAL MANAGEMENT	0.00	0.37	0.00	0.37	90.0	0.01
02/18/2016	CHERRY, LISA	VIRTUS SMALL-CAP SUSTAINABLE GROWTH	0.00	3.47	0.00	3.47	90.0	0.06
03/16/2016	CHERRY, LISA	VIRTUS SMALL-CAP SUSTAINABLE GROWTH	0.00	3.23	0.00	3.23	90.0	0.05
04/22/2016	CHERRY, LISA	VIRTUS SMALL-CAP SUSTAINABLE GROWTH	0.00	3.79	0.00	3.79	90.0	0.06

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>VERRIDE TRANSACTIONS</u>								
<u>BROKER: MARC, L134 LINSKY #263</u>								
05/13/2016	CHERRY, LISA	VIRTUS SMALL-CAP SUSTAINABLE GROWTH	0.00	3.85	0.00	3.85	90.0	0.07
06/13/2016	CHERRY, LISA	VIRTUS SMALL-CAP SUSTAINABLE GROWTH	0.00	3.92	0.00	3.92	90.0	0.07
07/14/2016	CHERRY, LISA	VIRTUS SMALL-CAP SUSTAINABLE GROWTH	0.00	3.85	0.00	3.85	90.0	0.07
08/19/2016	CHERRY, LISA	VIRTUS SMALL-CAP SUSTAINABLE GROWTH	0.00	4.13	0.00	4.13	90.0	0.07
09/16/2016	CHERRY, LISA	VIRTUS SMALL-CAP SUSTAINABLE GROWTH	0.00	4.27	0.00	4.27	90.0	0.07
10/17/2016	CHERRY, LISA	VIRTUS SMALL-CAP SUSTAINABLE GROWTH	0.00	4.19	0.00	4.19	90.0	0.07
11/29/2016	CHERRY, LISA	VIRTUS SMALL-CAP SUSTAINABLE GROWTH	0.00	4.37	0.00	4.37	90.0	0.07
12/15/2016	CHERRY, LISA	VIRTUS SMALL-CAP SUSTAINABLE GROWTH	0.00	4.25	0.00	4.25	90.0	0.07
02/12/2016	PISANI, NICHOLAS	WELLS FARGO ADVANTAGE OMEGA GROWTH	0.00	6.47	0.00	6.47	90.0	0.11
02/12/2016	PISANI, NICHOLAS	WELLS FARGO ADVANTAGE OMEGA GROWTH	0.00	0.42	0.00	0.42	90.0	0.01
03/16/2016	PISANI, NICHOLAS	WELLS FARGO ADVANTAGE OMEGA GROWTH	0.00	5.77	0.00	5.77	90.0	0.10
03/16/2016	PISANI, NICHOLAS	WELLS FARGO ADVANTAGE OMEGA GROWTH	0.00	0.31	0.00	0.31	90.0	0.01
04/15/2016	PISANI, NICHOLAS	WELLS FARGO ADVANTAGE OMEGA GROWTH	0.00	6.59	0.00	6.59	90.0	0.11
05/16/2016	PISANI, NICHOLAS	WELLS FARGO ADVANTAGE OMEGA GROWTH	0.00	6.69	0.00	6.69	90.0	0.11
06/14/2016	PISANI, NICHOLAS	WELLS FARGO ADVANTAGE OMEGA GROWTH	0.00	7.02	0.00	7.02	90.0	0.12
07/18/2016	PISANI, NICHOLAS	WELLS FARGO ADVANTAGE OMEGA GROWTH	0.00	6.91	0.00	6.91	90.0	0.12
08/15/2016	PISANI, NICHOLAS	WELLS FARGO ADVANTAGE OMEGA GROWTH	0.00	7.44	0.00	7.44	90.0	0.13
09/15/2016	PISANI, NICHOLAS	WELLS FARGO ADVANTAGE OMEGA GROWTH	0.00	7.52	0.00	7.52	90.0	0.13
10/12/2016	PISANI, NICHOLAS	WELLS FARGO ADVANTAGE OMEGA GROWTH	0.00	7.23	0.00	7.23	90.0	0.12
11/16/2016	PISANI, NICHOLAS	WELLS FARGO ADVANTAGE OMEGA GROWTH	0.00	7.43	0.00	7.43	90.0	0.13
12/14/2016	PISANI, NICHOLAS	WELLS FARGO ADVANTAGE OMEGA GROWTH	0.00	7.15	0.00	7.15	90.0	0.12
02/12/2016	CAMPAGNA, MARIE	WELLS FARGO ADVTG DIVERSIFIED INCOM	0.00	18.01	0.00	18.01	90.0	0.31
02/12/2016	CAMPAGNA, MARIE	WELLS FARGO ADVTG DIVERSIFIED INCOM	0.00	9.52	0.00	9.52	90.0	0.16
03/16/2016	CAMPAGNA, MARIE	WELLS FARGO ADVTG DIVERSIFIED INCOM	0.00	16.86	0.00	16.86	90.0	0.29
03/16/2016	CAMPAGNA, MARIE	WELLS FARGO ADVTG DIVERSIFIED INCOM	0.00	8.89	0.00	8.89	90.0	0.15
04/15/2016	CAMPAGNA, MARIE	WELLS FARGO ADVTG DIVERSIFIED INCOM	0.00	18.86	0.00	18.86	90.0	0.32
04/15/2016	CAMPAGNA, MARIE	WELLS FARGO ADVTG DIVERSIFIED INCOM	0.00	9.92	0.00	9.92	90.0	0.17
05/16/2016	CAMPAGNA, MARIE	WELLS FARGO ADVTG DIVERSIFIED INCOM	0.00	18.51	0.00	18.51	90.0	0.31
05/16/2016	CAMPAGNA, MARIE	WELLS FARGO ADVTG DIVERSIFIED INCOM	0.00	9.72	0.00	9.72	90.0	0.17
06/14/2016	CAMPAGNA, MARIE	WELLS FARGO ADVTG DIVERSIFIED INCOM	0.00	19.23	0.00	19.23	90.0	0.33
06/14/2016	CAMPAGNA, MARIE	WELLS FARGO ADVTG DIVERSIFIED INCOM	0.00	10.08	0.00	10.08	90.0	0.17
07/18/2016	CAMPAGNA, MARIE	WELLS FARGO ADVTG DIVERSIFIED INCOM	0.00	18.81	0.00	18.81	90.0	0.32
07/18/2016	CAMPAGNA, MARIE	WELLS FARGO ADVTG DIVERSIFIED INCOM	0.00	9.84	0.00	9.84	90.0	0.17

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<u> OVERRIDE TRANSACTIONS </u>								
<u>BROKER: MARC, L134 LINSKY #263</u>								
08/15/2016	CAMPAGNA, MARIE	WELLS FARGO ADVTG DIVERSIFIED INCOM	0.00	19.99	0.00	19.99	90.0	0.34
08/15/2016	CAMPAGNA, MARIE	WELLS FARGO ADVTG DIVERSIFIED INCOM	0.00	10.43	0.00	10.43	90.0	0.18
09/15/2016	CAMPAGNA, MARIE	WELLS FARGO ADVTG DIVERSIFIED INCOM	0.00	20.35	0.00	20.35	90.0	0.35
09/15/2016	CAMPAGNA, MARIE	WELLS FARGO ADVTG DIVERSIFIED INCOM	0.00	10.60	0.00	10.60	90.0	0.18
10/12/2016	CAMPAGNA, MARIE	WELLS FARGO ADVTG DIVERSIFIED INCOM	0.00	19.71	0.00	19.71	90.0	0.34
10/12/2016	CAMPAGNA, MARIE	WELLS FARGO ADVTG DIVERSIFIED INCOM	0.00	10.25	0.00	10.25	90.0	0.17
11/16/2016	CAMPAGNA, MARIE	WELLS FARGO ADVTG DIVERSIFIED INCOM	0.00	20.55	0.00	20.55	90.0	0.35
11/16/2016	CAMPAGNA, MARIE	WELLS FARGO ADVTG DIVERSIFIED INCOM	0.00	10.65	0.00	10.65	90.0	0.18
12/14/2016	CAMPAGNA, MARIE	WELLS FARGO ADVTG DIVERSIFIED INCOM	0.00	19.71	0.00	19.71	90.0	0.34
12/14/2016	CAMPAGNA, MARIE	WELLS FARGO ADVTG DIVERSIFIED INCOM	0.00	10.20	0.00	10.20	90.0	0.17
02/12/2016	TRICHON, DONNA-LYNN	WELLS FARGO DIVERSIFIED CAPITAL BUI	0.00	12.76	0.00	12.76	90.0	0.22
03/16/2016	TRICHON, DONNA-LYNN	WELLS FARGO DIVERSIFIED CAPITAL BUI	0.00	12.02	0.00	12.02	90.0	0.20
04/15/2016	TRICHON, DONNA-LYNN	WELLS FARGO DIVERSIFIED CAPITAL BUI	0.00	13.78	0.00	13.78	90.0	0.23
05/16/2016	TRICHON, DONNA-LYNN	WELLS FARGO DIVERSIFIED CAPITAL BUI	0.00	13.68	0.00	13.68	90.0	0.23
06/14/2016	TRICHON, DONNA-LYNN	WELLS FARGO DIVERSIFIED CAPITAL BUI	0.00	14.20	0.00	14.20	90.0	0.24
07/18/2016	TRICHON, DONNA-LYNN	WELLS FARGO DIVERSIFIED CAPITAL BUI	0.00	14.11	0.00	14.11	90.0	0.24
08/15/2016	TRICHON, DONNA-LYNN	WELLS FARGO DIVERSIFIED CAPITAL BUI	0.00	15.12	0.00	15.12	90.0	0.26
09/15/2016	TRICHON, DONNA-LYNN	WELLS FARGO DIVERSIFIED CAPITAL BUI	0.00	15.48	0.00	15.48	90.0	0.26
10/12/2016	TRICHON, DONNA-LYNN	WELLS FARGO DIVERSIFIED CAPITAL BUI	0.00	14.99	0.00	14.99	90.0	0.25
11/16/2016	TRICHON, DONNA-LYNN	WELLS FARGO DIVERSIFIED CAPITAL BUI	0.00	15.57	0.00	15.57	90.0	0.26
12/14/2016	TRICHON, DONNA-LYNN	WELLS FARGO DIVERSIFIED CAPITAL BUI	0.00	15.17	0.00	15.17	90.0	0.26
* MARC, L134 LINSKY SUBTOTAL *			\$111,039.94	\$28,094.30	\$421.10	\$27,673.20		\$470.56
*** OVERRIDE TRANSACTIONS TOTAL ***			\$106,920.73	\$28,983.32	\$466.25	\$28,517.07		\$523.62

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>ADJUSTMENTS</u>								
02/28/2018		*FEDEX: 6765-1252-7 2/14/18	0.00					-41.18
02/28/2018		*MISC: C FULMER, A LEEDS K141	0.00					540.00
02/28/2018		*MISC: C FULMER, A LEEDS C141	0.00					540.00
02/28/2018		*MISC: CT 6470482	0.00					1,500.00
02/28/2018		*MISC: MISC ROY, AFLAC, 1031DST	0.00					1,326.00
02/28/2018		*MISC: OVERNIGHT FEE 02/15/18	0.00					-20.00
02/28/2018		*MISC: ROY AFLAC 1031DST	0.00					1,126.00
02/28/2018		*PERSHING: PERSHING MARKUP	0.00					30.00
02/28/2018		*PERSHING: PERSHING MARKUP	0.00					10.50
02/28/2018		*PERSHING: PERSHING MARKUP	0.00					16.20
02/28/2018		*SPLIT PAYOUT/OVERRIDE: BRANCH OVER	0.00					515.22
02/28/2018		*SPLIT PAYOUT/OVERRIDE: BRANCH OVER	0.00					688.14
02/28/2018		*SPLIT PAYOUT/OVERRIDE: OVERRIDE PAY	0.00					3,060.33
02/28/2018		*SPLIT PAYOUT/OVERRIDE: OVERRIDES PA	0.00					3,396.73
02/28/2018		*SPLIT PAYOUT/OVERRIDE: OVERRIDES PA	0.00					8,853.76
02/28/2018		*SPLIT PAYOUT/OVERRIDE: OVERRIDES A	0.00					449.72
02/28/2018		*SPLIT PAYOUT/OVERRIDE: OVERRIDES A	0.00					29.58
02/28/2018		*SPLIT PAYOUT/OVERRIDE: OVERRIDES A	0.00					6.29
02/28/2018		*TECHNOLOGY: SEPUP FEE - WEATHERBIE	0.00					-62.50
*** ADJUSTMENTS TOTAL ***			\$0.00	\$0.00	\$0.00	\$0.00		\$21,964.79

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BROKER COMMISSION TOTALS

Broker Transactions	\$46.70
Split Transactions	\$258,089.91
Override Transactions	\$523.62
Adjustments	\$21,964.79
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$0.00
FINRA Assessment	\$0.00
SIPC Assessment	\$0.00

Check Amount	\$280,625.02
Year-to-date Gross	\$349,449.36
Year-to-date Earnings	\$351,978.74