

**COMMISSION STATEMENT****November 15, 2017****DANIEL 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
<b><u>CLEARING TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: MUTUAL FUNDS</u></b>								
11/10/2017	RAUPP, CHARLSEY	MAINSTAY CUSHING MLP PREMIER FUND C	6,000.00	0.00	22.00	-22.00	100.0	-22.00
		* MUTUAL FUNDS SUBTOTAL *	\$6,000.00	\$0.00	\$22.00	\$-22.00		\$-22.00
		*** CLEARING TRANSACTIONS TOTAL ***	\$6,000.00	\$0.00	\$22.00	\$-22.00		\$-22.00
<b><u>DIRECT TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: VARIABLE ANNUITIES</u></b>								
11/02/2017	K BELL ASSOC PENSION	GWL GRP ANNUITY 401K	653,551.58	555.07	0.00	555.07	100.0	555.07
10/31/2017	TRAINOR, EDWARD	JNL PERSPECTIVE L	65,701.64	54.75	0.00	54.75	100.0	54.75
		* VARIABLE ANNUITIES SUBTOTAL *	\$719,253.22	\$609.82	\$0.00	\$609.82		\$609.82
<b><u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u></b>								
10/31/2017	RAUPP, DANIEL	ASCENSUS 529 TRAILS	0.00	2.66	0.00	2.66	100.0	2.66
10/11/2017	DOLCE, JENNIFER	CATALYST/MILLBURN HEDGE STRATEGY FU	0.00	111.90	0.00	111.90	100.0	111.90
10/24/2017	RAUPP, DANIEL	MAINSTAY CUSHING MLP PREMIER FUND C	0.00	2.78	0.00	2.78	100.0	2.78
10/24/2017	LACASSE, RAYMOND	MAINSTAY CUSHING MLP PREMIER FUND C	0.00	4.49	0.00	4.49	100.0	4.49
10/12/2017	LACASSE, CHRISTINE	WELLS FARGO ADVANTAGE ABSOLUTE RETU	0.00	2.09	0.00	2.09	100.0	2.09
		* MUTUAL FUND 12B1 TRAILS SUBTOTAL *	\$0.00	\$123.92	\$0.00	\$123.92		\$123.92
		*** DIRECT TRANSACTIONS TOTAL ***	\$719,253.22	\$733.74	\$0.00	\$733.74		\$733.74

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

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

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

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b><u>SPLIT TRANSACTIONS</u></b>								
<b><u>BROKER: 1AF-DAN/JON P/JEFF FT-NY RAUPP/CIRE #251</u></b>								
10/11/2017	MARKLEW, IAN	CATALYST/MILLBURN HEDGE STRATEGY FU	0.00	2.63	0.00	2.63	100.0	2.63
* 1AF-DAN/JON P/JEFF FT-NY RAUPP/CIRE SUBTOTAL *			<b>\$0.00</b>	<b>\$2.63</b>	<b>\$0.00</b>	<b>\$2.63</b>		<b>\$2.63</b>
<b><u>BROKER: 1JR-DAN/JEFFREY FT-NY RAUPP/KIESNOS #252</u></b>								
10/31/2017	BELL	ASCENSUS 529 TRAILS	0.00	25.30	0.00	25.30	100.0	25.30
10/31/2017	BELL	ASCENSUS 529 TRAILS	0.00	26.89	0.00	26.89	100.0	26.89
10/11/2017	PARILLO, DOMINICK	CATALYST/MILLBURN HEDGE STRATEGY FU	0.00	1.28	0.00	1.28	100.0	1.28
10/11/2017	RENEGAR, ROBERT	CATALYST/MILLBURN HEDGE STRATEGY FU	0.00	3.04	0.00	3.04	100.0	3.04
10/11/2017	WYFFELS, ALAN	CATALYST/MILLBURN HEDGE STRATEGY FU	0.00	3.68	0.00	3.68	100.0	3.68
10/11/2017	PARILLO, RALPH	CATALYST/MILLBURN HEDGE STRATEGY FU	0.00	1.28	0.00	1.28	100.0	1.28
11/03/2017	PIZZANO, GERALD	GPB AUTOMOTIVE PORTFOLIO LP	35,000.00	0.00	0.00	0.00	100.0	0.00
11/10/2017	PIZZANO, GERALD	GPB AUTOMOTIVE PORTFOLIO LP	35,000.00	1,225.00	0.00	1,225.00	100.0	1,225.00
11/10/2017	PIZZANO, GERALD	GPB WASTE MANAGEMENT LP	35,000.00	1,225.00	0.00	1,225.00	100.0	1,225.00
11/03/2017	PIZZANO, GERALD	GPB WASTE MANAGEMENT LP CLASS A	35,000.00	0.00	0.00	0.00	100.0	0.00
10/24/2017	LAGALA, JASON	MAINSTAY CUSHING MLP PREMIER FUND C	0.00	1.26	0.00	1.26	100.0	1.26
10/24/2017	WOLD, ALEXANDRA	MAINSTAY CUSHING MLP PREMIER FUND C	0.00	0.25	0.00	0.25	100.0	0.25
10/24/2017	RENEGAR, ROBERT	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	0.20	0.00	0.20	100.0	0.20
10/24/2017	WYFFELS, ALAN	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	1.16	0.00	1.16	100.0	1.16
10/24/2017	WYFFELS, ALAN	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	0.27	0.00	0.27	100.0	0.27
10/24/2017	LUBIN, GLENN	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	0.30	0.00	0.30	100.0	0.30
10/24/2017	WOLD, JOHN	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	0.15	0.00	0.15	100.0	0.15
10/16/2017	WOLD, JOHN	VOYA MID-CAP OPPORTUNITIES FUND CLA	0.00	0.11	0.00	0.11	100.0	0.11
* 1JR-DAN/JEFFREY FT-NY RAUPP/KIESNOS SUBTOTAL *			<b>\$140,000.00</b>	<b>\$2,515.17</b>	<b>\$0.00</b>	<b>\$2,515.17</b>		<b>\$2,515.17</b>
<b><u>BROKER: BUM-JEFFREY/DAN FT-NY KIESNOSKI/RAU #253</u></b>								
10/11/2017	CRESPO, ALEJANDRO	CATALYST/MILLBURN HEDGE STRATEGY FU	0.00	0.92	0.00	0.92	100.0	0.92
10/11/2017	BARBER, STEVE	CATALYST/MILLBURN HEDGE STRATEGY FU	0.00	0.40	0.00	0.40	100.0	0.40
10/11/2017	CHEW, ROLAND	CATALYST/MILLBURN HEDGE STRATEGY FU	0.00	0.99	0.00	0.99	100.0	0.99
10/17/2017	FIVE STAR BUS 401K	COLUMBIA INCOME OPPORTUNITIES FUND	0.00	0.52	0.00	0.52	100.0	0.52
10/17/2017	PRECISION INTERIORS	COLUMBIA INCOME OPPORTUNITIES FUND	0.00	2.08	0.00	2.08	100.0	2.08
10/12/2017	FIVE STAR BUS 401K	FORWARD GROWTH ALLOCATION FUND CLAS	0.00	1.24	0.00	1.24	100.0	1.24
10/17/2017	CAPOBIANCO, PETER	HARTFORD CAPITAL APPRECIATION A	0.00	0.49	0.00	0.49	100.0	0.49
10/17/2017	DEGREGORIO, JOHN	HARTFORD CAPITAL APPRECIATION A	0.00	0.81	0.00	0.81	100.0	0.81
10/26/2017	BARBER, STEVE	JP MORGAN VALUE ADVANTAGE FUND CLAS	0.00	0.32	0.00	0.32	100.0	0.32

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b><u>SPLIT TRANSACTIONS</u></b>								
<b><u>BROKER: BUM-JEFFREY/DAN FT-NY KIESNOSKI/RAU #253</u></b>								
10/24/2017	BARBER, STEVE	MAINSTAY CUSHING MLP PREMIER FUND C	0.00	0.44	0.00	0.44	100.0	0.44
10/24/2017	CHEW, ROLAND	MAINSTAY CUSHING MLP PREMIER FUND C	0.00	0.33	0.00	0.33	100.0	0.33
10/24/2017	KURTZ, MICHAEL	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	0.25	0.00	0.25	100.0	0.25
10/24/2017	CRESPO, ALEJANDRO	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	0.69	0.00	0.69	100.0	0.69
10/24/2017	AXELROD, ALAN	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	0.09	0.00	0.09	100.0	0.09
10/24/2017	RABETZ, WILLIAM	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	0.54	0.00	0.54	100.0	0.54
10/24/2017	IAQUINTO, JOSEPH	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	0.34	0.00	0.34	100.0	0.34
10/24/2017	FIVE STAR BUS 401K	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	0.19	0.00	0.19	100.0	0.19
10/24/2017	PRECISION INTERIORS	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	0.43	0.00	0.43	100.0	0.43
10/16/2017	AXELROD, ALAN	TRANSAMERICA SHORT-TERM BOND C	0.00	5.16	0.00	5.16	100.0	5.16
<b>* BUM-JEFFREY/DAN FT-NY KIESNOSKI/RAU SUBTOTAL *</b>			<b>\$0.00</b>	<b>\$16.23</b>	<b>\$0.00</b>	<b>\$16.23</b>		<b>\$16.23</b>
<b><u>BROKER: G3G-DAN/ROY/JEFF/JON FT-NY RAUPP/PF #254</u></b>								
10/20/2017	FENELON, DICKENS	FA 529 PORT 2030 T	0.00	0.09	0.00	0.09	100.0	0.09
11/06/2017	DAVID, RUDOLPH	GLOBAL NET LEASE INC COM	-2,185.00	0.00	7.86	-7.86	100.0	-7.86
10/18/2017	MCCLARNON, BRENDAN	GRIFFIN INSTITUTIONAL ACCESS REAL E	0.00	0.21	0.00	0.21	100.0	0.21
10/18/2017	DAVID, RUDOLPH	GRIFFIN INSTITUTIONAL ACCESS REAL E	0.00	0.35	0.00	0.35	100.0	0.35
10/26/2017	NICASTRO, JOSEPH	JP MORGAN EQUITY INCOME FUND CLASS	0.00	0.62	0.00	0.62	100.0	0.62
10/26/2017	LALAMA, MARY	JP MORGAN EQUITY INCOME FUND CLASS	0.00	0.55	0.00	0.55	100.0	0.55
10/26/2017	DAVID, RUDOLPH	JP MORGAN EQUITY INCOME FUND CLASS	0.00	0.25	0.00	0.25	100.0	0.25
10/30/2017	NICASTRO, JOSEPH	JP MORGAN EQUITY INCOME FUND CLASS	-3,828.20	7.70	7.70	0.00	100.0	0.00
11/10/2017	DAVID, RUDOLPH	JP MORGAN EQUITY INCOME FUND CLASS	2,500.00	0.00	0.00	0.00	100.0	0.00
10/26/2017	DAVID, RUDOLPH	JP MORGAN GROWTH ADV A	0.00	0.24	0.00	0.24	100.0	0.24
10/26/2017	CIMMINO, VICTORIA	JP MORGAN GROWTH ADV A	0.00	0.47	0.00	0.47	100.0	0.47
10/26/2017	KEYSER, LISA	JP MORGAN INVESTOR GROWTH FUND CLAS	0.00	2.95	0.00	2.95	100.0	2.95
10/26/2017	PLUME, KRISTA	JP MORGAN INVESTOR GROWTH FUND CLAS	0.00	2.63	0.00	2.63	100.0	2.63
10/26/2017	DAVID, RUDOLPH	JP MORGAN U.S. EQUITY FUND CLASS A	0.00	0.27	0.00	0.27	100.0	0.27
11/10/2017	DAVID, RUDOLPH	JP MORGAN U.S. EQUITY FUND CLASS A	2,500.00	0.00	0.00	0.00	100.0	0.00
10/26/2017	DAVID, RUDOLPH	JP MORGAN VALUE ADVANTAGE FUND CLAS	0.00	0.29	0.00	0.29	100.0	0.29
10/26/2017	CIMMINO, VICTORIA	JP MORGAN VALUE ADVANTAGE FUND CLAS	0.00	0.19	0.00	0.19	100.0	0.19
10/24/2017	DAVID, RUDOLPH	MAINSTAY CUSHING MLP PREMIER FUND C	0.00	0.15	0.00	0.15	100.0	0.15
11/06/2017	DAVID, RUDOLPH	MAINSTAY CUSHING MLP PREMIER FUND C	-2,382.58	0.00	0.00	0.00	100.0	0.00
10/13/2017	LALAMA, MARY	MILLER CONVERTIBLE BOND FUND CLASS	0.00	0.34	0.00	0.34	100.0	0.34
10/13/2017	KEYSER, LISA	MILLER CONVERTIBLE BOND FUND CLASS	0.00	1.58	0.00	1.58	100.0	1.58

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<b><u>SPLIT TRANSACTIONS</u></b>								
<b><u>BROKER: G3G-DAN/ROY/JEFF/JON FT-NY RAUPP/PF #254</u></b>								
10/25/2017	BARRY, ROBERT	THE GABELLI UTILITIES FUND CLASS A	0.00	0.73	0.00	0.73	100.0	0.73
* G3G-DAN/ROY/JEFF/JON FT-NY RAUPP/PF SUBTOTAL *			\$-3,395.78	\$19.61	\$15.56	\$4.05		\$4.05
<b><u>BROKER: J1D-DAN/JON PAUL FT-NY RAUPP/CIRELL #255</u></b>								
09/30/2017	PICCIRILLO, ALEXANDER	ASCENSUS 529 TRAILS	0.00	2.59	0.00	2.59	100.0	2.59
09/30/2017	PALM BEACH	ADP TRAILS	0.00	319.52	0.00	319.52	100.0	319.52
09/30/2017	ENDOCRINOLOGY & DIABE	ADP TRAILS	0.00	6.45	0.00	6.45	100.0	6.45
09/30/2017	MORONEY'S RELIGIOUS	ADP TRAILS	0.00	227.75	0.00	227.75	100.0	227.75
10/27/2017	BENAVENTE, BENJAMIN	BLACKROCK MULTI-ASSET INCOME PORTFO	0.00	2.16	0.00	2.16	100.0	2.16
10/13/2017	KLANSKY, ARTHUR	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	6.39	0.00	6.39	100.0	6.39
10/13/2017	KLANSKY, ARTHUR	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	5.40	0.00	5.40	100.0	5.40
10/13/2017	KLANSKY, ARTHUR	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	16.20	0.00	16.20	100.0	16.20
10/13/2017	MALONEY, JOHN	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	5.18	0.00	5.18	100.0	5.18
10/13/2017	MALONEY, JOHN	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	15.55	0.00	15.55	100.0	15.55
11/06/2017	DMP SECURITIES LLC	GPB AUTOMOTIVE PORTFOLIO LP	500,000.00	17,500.00	0.00	17,500.00	100.0	17,500.00
11/10/2017	MALONEY, JOHN	GPB WASTE MANAGEMENT LP	100,000.00	3,500.00	0.00	3,500.00	100.0	3,500.00
11/02/2017	MALONEY, JOHN	GPB WASTE MANAGEMENT LP CLASS A	100,000.00	0.00	0.00	0.00	100.0	0.00
10/18/2017	BENAVENTE, CAROLYN	GRIFFIN INST'L ACCESS R E FUND C	0.00	1.85	0.00	1.85	100.0	1.85
10/18/2017	BENAVENTE, CAROLYN	GRIFFIN INST'L ACCESS R E FUND C	0.00	5.55	0.00	5.55	100.0	5.55
10/18/2017	MALONEY, JOHN	GRIFFIN INST'L ACCESS R E FUND C	0.00	5.14	0.00	5.14	100.0	5.14
10/18/2017	MALONEY, JOHN	GRIFFIN INST'L ACCESS R E FUND C	0.00	15.41	0.00	15.41	100.0	15.41
10/18/2017	KLANSKY, ARTHUR	GRIFFIN INSTITUTIONAL ACCESS REAL E	0.00	2.11	0.00	2.11	100.0	2.11
10/26/2017	OXFORD INS CO-CL E	JP MORGAN GROWTH ADV A	0.00	1.80	0.00	1.80	100.0	1.80
10/26/2017	OXFORD INS CO-CL E	JP MORGAN U.S. EQUITY FUND CLASS A	0.00	2.21	0.00	2.21	100.0	2.21
10/26/2017	OXFORD INS CO-CL E	JP MORGAN VALUE ADVANTAGE FUND CLAS	0.00	1.56	0.00	1.56	100.0	1.56
10/24/2017	OXFORD INS CO-CL E	MAINSTAY CUSHING MLP PREMIER FUND C	0.00	0.40	0.00	0.40	100.0	0.40
10/24/2017	MALONEY, JOHN	MAINSTAY CUSHING MLP PREMIER FUND C	0.00	8.64	0.00	8.64	100.0	8.64
10/24/2017	OXFORD INS CO-CL E	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	0.32	0.00	0.32	100.0	0.32
10/13/2017	MALONEY, JOHN	MILLER CONVERTIBLE BOND FUND CLASS	0.00	66.36	0.00	66.36	100.0	66.36
11/02/2017	REISS, RICHARD	NUVEEN NEW YORK MUNICIPAL BOND CLAS	28,750.00	531.87	11.00	520.87	100.0	520.87
11/10/2017	MALONEY, JOHN	PREFERRED APT CMNTYS INC COM	-101,292.96	482.50	13.50	469.00	100.0	469.00
11/02/2017	MALONEY, JOHN	TEI DIVERSIFIED INCOME AND OPPORTUN	100,000.00	0.00	0.00	0.00	100.0	0.00
* J1D-DAN/JON PAUL FT-NY RAUPP/CIRELL SUBTOTAL *			\$727,457.04	\$22,732.91	\$24.50	\$22,708.41		\$22,708.41

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<b><u>SPLIT TRANSACTIONS</u></b>								
<b><u>BROKER: G0B-DAN/JON P/JEFF FT-NY RAUPP/CIRE #256</u></b>								
10/13/2017	LOYE, DEDRA	CARTER VALIDUS MC REIT II CLASS T	0.00	8.70	0.00	8.70	100.0	8.70
10/11/2017	DOLCE, CHARLES	CATALYST/MILLBURN HEDGE STRATEGY FU	0.00	27.77	0.00	27.77	100.0	27.77
10/11/2017	MAKRIDES, MARIE	CATALYST/MILLBURN HEDGE STRATEGY FU	0.00	2.68	0.00	2.68	100.0	2.68
10/23/2017	RASMUSSEN, MELANIE	COTTONWOOD MULTIFAMILY REIT II	12,000.00	360.00	0.00	360.00	100.0	360.00
10/18/2017	JOHNSON, JAMES	GRIFFIN INSTITUTIONAL ACCESS REAL E	0.00	0.98	0.00	0.98	100.0	0.98
10/30/2017	MARSH, LAURIE	JNL PERSPECTIVE II 04/14	99,209.74	992.09	0.00	992.09	100.0	992.09
10/24/2017	CAPUTO, PHILIP	MAINSTAY CUSHING MLP PREMIER FUND C	0.00	6.09	0.00	6.09	100.0	6.09
10/24/2017	DIDOMENICO, JOHN	MAINSTAY CUSHING MLP PREMIER FUND C	0.00	2.48	0.00	2.48	100.0	2.48
10/24/2017	MARSH, LAURIE	MAINSTAY CUSHING MLP PREMIER FUND C	0.00	1.30	0.00	1.30	100.0	1.30
10/24/2017	LOYE, DEDRA	MAINSTAY CUSHING MLP PREMIER FUND C	0.00	4.18	0.00	4.18	100.0	4.18
10/24/2017	MAZZATTI, LEONARD	MAINSTAY CUSHING MLP PREMIER FUND C	0.00	1.11	0.00	1.11	100.0	1.11
10/24/2017	PAVIS FAMILY TRUST	MAINSTAY CUSHING MLP PREMIER FUND C	0.00	5.02	0.00	5.02	100.0	5.02
10/24/2017	JOHNSON, LYNN	MAINSTAY CUSHING MLP PREMIER FUND C	0.00	1.53	0.00	1.53	100.0	1.53
10/24/2017	SKOLNICK, SHEILA	MAINSTAY CUSHING MLP PREMIER FUND C	0.00	7.27	0.00	7.27	100.0	7.27
10/24/2017	JOHNSON TRUST, GLORIA	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	4.16	0.00	4.16	100.0	4.16
10/24/2017	STARK, LINDA	MAINSTAY MAP A	0.00	0.94	0.00	0.94	100.0	0.94
10/24/2017	RASMUSSEN, MELANIE	MAINSTAY MODERATE GROWTH ALLOCATION	0.00	0.55	0.00	0.55	100.0	0.55
10/13/2017	RASMUSSEN, MELANIE	MILLER CONVERTIBLE BOND FUND CLASS	0.00	4.12	0.00	4.12	100.0	4.12
10/19/2017	JOHNSON, JAMES	OPPENHEIMER ROCHESTER MUNICIPALS A	0.00	5.02	0.00	5.02	100.0	5.02
10/12/2017	RASMUSSEN, MELANIE	PIONEER FUND A	0.00	0.11	0.00	0.11	100.0	0.11
10/12/2017	RASMUSSEN, MELANIE	PIONEER FUNDAMENTAL GROWTH A	0.00	0.27	0.00	0.27	100.0	0.27
10/25/2017	RASMUSSEN, MELANIE	THE GABELLI UTILITIES FUND CLASS A	0.00	0.25	0.00	0.25	100.0	0.25
<b>* G0B-DAN/JON P/JEFF FT-NY RAUPP/CIRE SUBTOTAL *</b>			<b>\$111,209.74</b>	<b>\$1,436.62</b>	<b>\$0.00</b>	<b>\$1,436.62</b>		<b>\$1,436.62</b>
<b><u>BROKER: G0C-JEFF/DAN/JON PAU FT-NY KIESNO/R #257</u></b>								
10/19/2017	FORRAI, MICHAEL	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.07	0.00	0.07	100.0	0.07
10/11/2017	FORRAI, GERALDINE	CATALYST/MILLBURN HEDGE STRATEGY FU	0.00	2.19	0.00	2.19	100.0	2.19
10/11/2017	FORRAI FAMILY TRUST, LESLIE	CATALYST/MILLBURN HEDGE STRATEGY FU	0.00	0.35	0.00	0.35	100.0	0.35
10/11/2017	GALGANO, ROBERT	CATALYST/MILLBURN HEDGE STRATEGY FU	0.00	1.17	0.00	1.17	100.0	1.17
10/11/2017	BRANDT, ROSEMARY	CATALYST/MILLBURN HEDGE STRATEGY FU	0.00	1.62	0.00	1.62	100.0	1.62
10/23/2017	GALGANO, ROBERT	FIRST EAGLE GOLD FUND CLASS C	0.00	0.85	0.00	0.85	100.0	0.85
10/24/2017	FORRAI FAMILY TRUST, LESLIE	MAINSTAY CUSHING MLP PREMIER FUND C	0.00	0.99	0.00	0.99	100.0	0.99
10/24/2017	GALGANO, ROBERT	MAINSTAY CUSHING MLP PREMIER FUND C	0.00	2.20	0.00	2.20	100.0	2.20
10/24/2017	FORRAI, MICHAEL	MAINSTAY CUSHING MLP PREMIER FUND C	0.00	0.12	0.00	0.12	100.0	0.12

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b><u>SPLIT TRANSACTIONS</u></b>								
<b><u>BROKER: G0C-JEFF/DAN/JON PAU FT-NY KIESNO/R #257</u></b>								
10/24/2017	FORRAI FAMILY TRUST, LESLIE	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	1.30	0.00	1.30	100.0	1.30
10/24/2017	BRANDT, ROSEMARY	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	0.90	0.00	0.90	100.0	0.90
10/13/2017	BRANDT, ROSEMARY	MILLER CONVERTIBLE BOND FUND CLASS	0.00	2.32	0.00	2.32	100.0	2.32
10/12/2017	GALGANO, ROBERT	WELLS FARGO ADVANTAGE GOVT SECURITI	0.00	0.73	0.00	0.73	100.0	0.73
10/12/2017	GALGANO, ROBERT	WELLS FARGO ADVTG EMERGING MARKETS	0.00	0.73	0.00	0.73	100.0	0.73
<b>* G0C-JEFF/DAN/JON PAU FT-NY KIESNO/R SUBTOTAL *</b>			<b>\$0.00</b>	<b>\$15.54</b>	<b>\$0.00</b>	<b>\$15.54</b>		<b>\$15.54</b>
<b><u>BROKER: G0E-DAN/JON P/JEFF FT-NY RAUPP/CIRE #259</u></b>								
10/11/2017	SEITZ, CRAIG	CATALYST/MILLBURN HEDGE STRATEGY FU	0.00	3.56	0.00	3.56	100.0	3.56
10/24/2017	SEITZ, CRAIG	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	0.67	0.00	0.67	100.0	0.67
<b>* G0E-DAN/JON P/JEFF FT-NY RAUPP/CIRE SUBTOTAL *</b>			<b>\$0.00</b>	<b>\$4.23</b>	<b>\$0.00</b>	<b>\$4.23</b>		<b>\$4.23</b>
<b><u>BROKER: R134-DAN/JEFF/JON P/ FT-NY RAUPP/KI #272</u></b>								
10/26/2017	DAMONE, DENNIS	JP MORGAN INVESTOR GROWTH & INCOME	0.00	0.50	0.00	0.50	100.0	0.50
<b>* R134-DAN/JEFF/JON P/ FT-NY RAUPP/KI SUBTOTAL *</b>			<b>\$0.00</b>	<b>\$0.50</b>	<b>\$0.00</b>	<b>\$0.50</b>		<b>\$0.50</b>
<b><u>BROKER: P124-JONP/MARC/DAN/J FT-FL JUNO CIR #273</u></b>								
10/19/2017	FLAHERTY, STEPHEN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.03	0.00	0.03	100.0	0.03
10/13/2017	WILKINSKY, KARA-JANE	AMERICAN CENTURY STRATEGIC ALLOC AG	0.00	0.69	0.00	0.69	100.0	0.69
10/13/2017	WILKINSKY, KARA-JANE	AMERICAN CENTURY STRATEGIC ALLOC AG	0.00	2.08	0.00	2.08	100.0	2.08
10/13/2017	WILKINSKY, MATTHEW	AMERICAN CENTURY STRATEGIC ALLOC AG	0.00	1.37	0.00	1.37	100.0	1.37
10/13/2017	LEEN, RANDY	AMERICAN CENTURY STRATEGIC ALLOC AG	0.00	1.00	0.00	1.00	100.0	1.00
10/27/2017	WILKINSKY, MATTHEW	AMERICAN CENTURY STRATEGIC ALLOC AG	2,708.42	20.31	3.30	17.01	100.0	17.01
10/27/2017	WILKINSKY, KARA-JANE	AMERICAN CENTURY STRATEGIC ALLOC AG	2,701.44	16.21	3.30	12.91	100.0	12.91
10/13/2017	ROMAN, ROSA	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	0.15	0.00	0.15	100.0	0.15
10/13/2017	ABRAMS, RAFAEL	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	0.38	0.00	0.38	100.0	0.38
10/13/2017	JA, WILLIAM	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	0.86	0.00	0.86	100.0	0.86
10/13/2017	JA, WILLIAM	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	2.57	0.00	2.57	100.0	2.57
10/18/2017	MORONEY, PHYLLIS	GRIFFIN INST'L ACCESS R E FUND C	0.00	0.38	0.00	0.38	100.0	0.38
10/18/2017	MORONEY, PHYLLIS	GRIFFIN INST'L ACCESS R E FUND C	0.00	1.15	0.00	1.15	100.0	1.15
10/18/2017	MORONEY, PHYLLIS	GRIFFIN INST'L ACCESS R E FUND C	0.00	0.48	0.00	0.48	100.0	0.48
10/18/2017	MORONEY, PHYLLIS	GRIFFIN INST'L ACCESS R E FUND C	0.00	1.44	0.00	1.44	100.0	1.44
10/18/2017	MORONEY JR, JOHN	GRIFFIN INST'L ACCESS R E FUND C	0.00	0.32	0.00	0.32	100.0	0.32
10/18/2017	MORONEY JR, JOHN	GRIFFIN INST'L ACCESS R E FUND C	0.00	0.96	0.00	0.96	100.0	0.96
10/18/2017	MORONEY JR, JOHN	GRIFFIN INST'L ACCESS R E FUND C	0.00	0.38	0.00	0.38	100.0	0.38

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<b><u>SPLIT TRANSACTIONS</u></b>								
<b><u>BROKER: P124-JONP/MARC/DAN/J FT-FL JUNO CIR #273</u></b>								
10/18/2017	MORONEY JR, JOHN	GRIFFIN INST'L ACCESS R E FUND C	0.00	1.15	0.00	1.15	100.0	1.15
10/18/2017	JA, WILLIAM	GRIFFIN INST'L ACCESS R E FUND C	0.00	0.87	0.00	0.87	100.0	0.87
10/18/2017	JA, WILLIAM	GRIFFIN INST'L ACCESS R E FUND C	0.00	2.60	0.00	2.60	100.0	2.60
10/18/2017	ROMAN, ROSA	GRIFFIN INSTITUTIONAL ACCESS REAL E	0.00	0.24	0.00	0.24	100.0	0.24
10/18/2017	ABRAMS, RAFAEL	GRIFFIN INSTITUTIONAL ACCESS REAL E	0.00	0.38	0.00	0.38	100.0	0.38
10/18/2017	WILKINSKY, KARA-JANE	GRIFFIN INSTITUTIONAL ACCESS REAL E	0.00	0.65	0.00	0.65	100.0	0.65
10/18/2017	WILKINSKY, MATTHEW	GRIFFIN INSTITUTIONAL ACCESS REAL E	0.00	0.52	0.00	0.52	100.0	0.52
10/18/2017	FLAHERTY, CAITLIN	GRIFFIN INSTITUTIONAL ACCESS REAL E	0.00	0.44	0.00	0.44	100.0	0.44
10/18/2017	KELLY, GORDON	GRIFFIN INSTITUTIONAL ACCESS REAL E	0.00	0.62	0.00	0.62	100.0	0.62
10/18/2017	SCHENONE, LORI	GRIFFIN INSTITUTIONAL ACCESS REAL E	0.00	1.89	0.00	1.89	100.0	1.89
10/30/2017	GRISALES, CARMEN	INVESCO EQUALLY WEIGHTED S&P 500 A	0.00	0.30	0.00	0.30	100.0	0.30
10/30/2017	GRISALES, CARMEN	INVESCO EQUITY AND INCOME A	0.00	0.29	0.00	0.29	100.0	0.29
10/30/2017	CAMPBELL, VICTORIA	INVESCO HIGH YIELD FUND A	0.00	0.08	0.00	0.08	100.0	0.08
10/30/2017	CAMPBELL, CHARLES	INVESCO HIGH YIELD FUND A	0.00	0.01	0.00	0.01	100.0	0.01
10/27/2017	WILKINSKY, MATTHEW	LORD ABBETT SHORT DURATION INCOME A	2,700.66	8.10	3.30	4.80	100.0	4.80
10/27/2017	WILKINSKY, KARA-JANE	LORD ABBETT SHORT DURATION INCOME A	2,700.66	8.10	3.30	4.80	100.0	4.80
10/18/2017	CAMPBELL, CHARLES	NEUBERGER BERMAN HIGH INCOME BOND F	0.00	0.01	0.00	0.01	100.0	0.01
10/30/2017	CAMPBELL, VICTORIA	PIMCO HIGH YIELD SPECTRUM FUND CLAS	0.00	0.01	0.00	0.01	100.0	0.01
10/30/2017	CAMPBELL, CHARLES	PIMCO HIGH YIELD SPECTRUM FUND CLAS	0.00	0.00	0.00	0.00	100.0	0.00
10/17/2017	CAMPBELL, VICTORIA	PRINCIPAL FUNDS HIGH YIELD II A	0.00	0.08	0.00	0.08	100.0	0.08
10/17/2017	CAMPBELL, CHARLES	PRINCIPAL FUNDS HIGH YIELD II A	0.00	0.01	0.00	0.01	100.0	0.01
11/06/2017	ROULHAC, JAMES	SACRAMENTO CNTY CALIF ARPT SYS REV	-51,149.00	4.20	4.05	0.15	100.0	0.15
<b>* P124-JONP/MARC/DAN/J FT-FL JUNO CIR SUBTOTAL *</b>			<b>\$-40,337.82</b>	<b>\$81.31</b>	<b>\$17.25</b>	<b>\$64.06</b>		<b>\$64.06</b>
<b><u>BROKER: M136-JAY/JONP/JEFF/D FT-FL MCPH/CIR #277</u></b>								
10/13/2017	LAROCHE, LAURIE	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	1.29	0.00	1.29	100.0	1.29
10/13/2017	LAROCHE, LAURIE	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	3.86	0.00	3.86	100.0	3.86
<b>* M136-JAY/JONP/JEFF/D FT-FL MCPH/CIR SUBTOTAL *</b>			<b>\$0.00</b>	<b>\$5.15</b>	<b>\$0.00</b>	<b>\$5.15</b>		<b>\$5.15</b>
<b><u>BROKER: C157-DA/MAR/JP/DA/JE FT-CHA/LIN/CIR #400</u></b>								
11/06/2017	ROULHAC, DEBRA	ALABAMA ST UNIV REV TAXABLE-GEN TUI	-58,237.85	2.52	2.43	0.09	100.0	0.09
10/19/2017	ROULHAC, DEBRA	AM FUNDS AMERICAN BALANCED A	0.00	0.30	0.00	0.30	100.0	0.30
11/06/2017	ROULHAC, DEBRA	AM FUNDS AMERICAN BALANCED A	-27,253.89	1.98	1.98	0.00	100.0	0.00
10/19/2017	ROULHAC, DEBRA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.10	0.00	0.10	100.0	0.10

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<b><u>SPLIT TRANSACTIONS</u></b>								
<b><u>BROKER: C157-DA/MAR/JP/DA/JE FT-CHA/LIN/CIR #400</u></b>								
11/06/2017	ROULHAC, DEBRA	AM FUNDS CAPITAL WORLD GRTH & INC A	-9,686.58	1.98	1.98	0.00	100.0	0.00
11/06/2017	ROULHAC, JAMES	AMERICAN FUNDS BALANCED FUND F2	-5,671.51	0.00	0.00	0.00	100.0	0.00
11/06/2017	ROULHAC, JAMES	BLACKROCK MULTI-ASSET INCOME PORTFO	-7,114.35	0.00	0.00	0.00	100.0	0.00
10/23/2017	ROULHAC, DEBRA	CENTER COAST MLP FOCUS FUND CLASS A	0.00	0.05	0.00	0.05	100.0	0.05
11/06/2017	ROULHAC, DEBRA	CENTER COAST MLP FOCUS FUND CLASS A	-4,685.75	0.00	0.00	0.00	100.0	0.00
11/06/2017	ROULHAC, JAMES	CENTER COAST MLP FOCUS FUND CLASS I	-6,037.96	0.00	1.98	-1.98	100.0	-1.98
11/06/2017	ROULHAC, JAMES	FIDELITY ADVISOR LATIN AMERICA FUND	-2,055.73	0.00	1.98	-1.98	100.0	-1.98
10/18/2017	CARROLLTON, DONNA	GRIFFIN INSTITUTIONAL ACCESS REAL E	0.00	0.44	0.00	0.44	100.0	0.44
10/18/2017	CARROLLTON, STEVE	GRIFFIN INSTITUTIONAL ACCESS REAL E	0.00	0.32	0.00	0.32	100.0	0.32
11/06/2017	ROULHAC, DEBRA	LAKE CNTY ILL CMNTY UNIT SCH DIST N	-63,425.40	2.52	2.43	0.09	100.0	0.09
11/06/2017	ROULHAC, DEBRA	LORD ABBETT BOND DEBENTURE A	-8.30	0.00	0.00	0.00	100.0	0.00
11/06/2017	ROULHAC, DEBRA	NORTHERN ILL UNIV REVS TAXABLE-AUXI	-49,488.75	2.52	2.43	0.09	100.0	0.09
11/06/2017	ROULHAC, DEBRA	WOONSOCKET R I PENSION 6.290% 07/15	-45,474.00	2.52	2.43	0.09	100.0	0.09
<b>* C157-DA/MAR/JP/DA/JE FT-CHA/LIN/CIR SUBTOTAL *</b>			<b>\$-279,140.07</b>	<b>\$15.25</b>	<b>\$17.64</b>	<b>\$-2.39</b>		<b>\$-2.39</b>
<b>*** SPLIT TRANSACTIONS TOTAL ***</b>			<b>\$655,793.11</b>	<b>\$26,845.15</b>	<b>\$74.95</b>	<b>\$26,770.20</b>		<b>\$26,770.20</b>

<b><u> OVERRIDE TRANSACTIONS </u></b>								
<b><u>BROKER: JEFFREY KIESNOSKI #243</u></b>								
10/11/2017	DEMIAN, CAROLE	CATALYST/MILLBURN HEDGE STRATEGY FU	0.00	2.95	0.00	2.95	94.0	0.18
10/23/2017	FROH, PAULA SANDRA	FRANKLIN OREGON TAX- FREE INCOME FU	0.00	0.29	0.00	0.29	94.0	0.02
10/26/2017	DEMIAN, CAROLE	JP MORGAN CORE BOND A	0.00	2.78	0.00	2.78	94.0	0.17
10/26/2017	DEMIAN, CAROLE	JP MORGAN INCOME BUILDER FUND CLASS	0.00	0.70	0.00	0.70	94.0	0.04
10/24/2017	COREY, JEFFREY	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	0.35	0.00	0.35	94.0	0.02
10/16/2017	FROH, PAULA SANDRA	MFS GLOBAL EQUITY A	0.00	2.21	0.00	2.21	94.0	0.13
10/12/2017	FROH, PAULA SANDRA	PRU JENNISON GROWTH	0.00	1.02	0.00	1.02	94.0	0.06
10/18/2017	FROH, PAULA SANDRA	PUTNAM EQUITY INCOME A	0.00	0.98	0.00	0.98	94.0	0.06
10/18/2017	FROH, PAULA SANDRA	PUTNAM GLOBAL HEALTH CARE A	0.00	0.10	0.00	0.10	94.0	0.01
<b>* JEFFREY KIESNOSKI SUBTOTAL *</b>			<b>\$0.00</b>	<b>\$11.38</b>	<b>\$0.00</b>	<b>\$11.38</b>		<b>\$0.69</b>
<b><u>BROKER: ROY PFLEGER II #244</u></b>								
10/18/2017	ABRAHAM, BLESSY	GRIFFIN INSTITUTIONAL ACCESS REAL E	0.00	1.36	0.00	1.36	75.0	0.17
<b>* ROY PFLEGER II SUBTOTAL *</b>			<b>\$0.00</b>	<b>\$1.36</b>	<b>\$0.00</b>	<b>\$1.36</b>		<b>\$0.17</b>

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<b><u> OVERRIDE TRANSACTIONS </u></b>								
<b><u>BROKER: JON PAUL CIRELLI #246</u></b>								
09/30/2017	BARREDO DMD PLAN, GLORIA	ADP TRAILS	0.00	26.74	0.00	26.74	95.0	1.34
09/30/2017	KURITZKY ARCHITECTUR, PASQUALE	ADP TRAILS	0.00	648.14	0.00	648.14	95.0	32.41
10/13/2017	KISSIL, GEORGE	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	4.92	0.00	4.92	95.0	0.25
10/13/2017	JARDIN, DEAN	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	10.77	0.00	10.77	95.0	0.54
10/13/2017	JARDIN, DEAN	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	32.31	0.00	32.31	95.0	1.62
10/13/2017	KISSIL, GEORGE	CARTER VALIDUS MC REIT II CLASS T	0.00	20.71	0.00	20.71	95.0	1.04
10/18/2017	WAGNER, DENNIS	GRIFFIN INSTITUTIONAL ACCESS REAL E	0.00	5.41	0.00	5.41	95.0	0.27
10/18/2017	JARDIN, DEAN	GRIFFIN INSTITUTIONAL ACCESS REAL E	0.00	10.19	0.00	10.19	95.0	0.51
10/24/2017	DODGE, CHERYL	MAINSTAY CUSHING MLP PREMIER FUND C	0.00	5.55	0.00	5.55	95.0	0.28
* JON PAUL CIRELLI SUBTOTAL *			\$0.00	\$764.74	\$0.00	\$764.74		\$38.26
<b><u>BROKER: ALAN LICHTENSTEIN #249</u></b>								
10/27/2017	RUSSO REV TR, EUGENIE	BLK HIGH YIELD BOND A	0.00	3.16	0.00	3.16	75.0	0.40
10/17/2017	RUSSO REV TR, EUGENIE	PRINCIPAL FUNDS GLOBAL DIVERSIFIED	0.00	2.12	0.00	2.12	75.0	0.27
* ALAN LICHTENSTEIN SUBTOTAL *			\$0.00	\$5.28	\$0.00	\$5.28		\$0.67
<b><u>BROKER: JOHN KLETT #250</u></b>								
10/17/2017	KLETT, MARTIN	COLUMBIA MARSICO FOCUSED EQUITIES F	0.00	7.29	0.00	7.29	75.0	0.91
10/17/2017	KLETT, JEAN	FEDERATED HIGH INCOME BOND FUND INC	0.00	3.93	0.00	3.93	75.0	0.49
10/18/2017	KLETT TRUST, MARTIN	GRIFFIN INSTITUTIONAL ACCESS REAL E	0.00	5.99	0.00	5.99	75.0	0.75
10/24/2017	KLETT, JEAN	MAINSTAY CUSHING MLP PREMIER FUND C	0.00	5.03	0.00	5.03	75.0	0.63
* JOHN KLETT SUBTOTAL *			\$0.00	\$22.24	\$0.00	\$22.24		\$2.78
<b><u>BROKER: MARC LINSKY #263</u></b>								
09/30/2017	CAMARDO, DONNA	ASCENSUS 529 TRAILS	0.00	17.01	0.00	17.01	90.0	0.29
11/01/2017	PISANI, CARLA	LFG TRAILS	0.00	25.70	0.00	25.70	90.0	0.44
11/01/2017	PISANI, NICHOLAS	LFG TRAILS	0.00	10.00	0.00	10.00	90.0	0.17
11/02/2017	LINSKY, VARIOUS	TRANSAMERICA	0.00	3.68	0.00	3.68	90.0	0.06
10/19/2017	CENTANNI, RICHARD	ALLIANCEBERNSTEIN SMALL/MID CAP VAL	0.00	0.83	0.00	0.83	90.0	0.01
10/19/2017	TRICHON, DONNA-LYNN	ALLIANCEBERNSTEIN SMALL/MID-CAP GRW	0.00	11.71	0.00	11.71	90.0	0.20
10/13/2017	CHIECO, DANIEL	AM CENT EQUITY INCOME	0.00	3.94	0.00	3.94	90.0	0.07
10/19/2017	MEDIA ENTERPRISES	AM FUNDS AMCAP A	0.00	3.66	0.00	3.66	90.0	0.06
10/19/2017	GREENWELL, MARION	AM FUNDS AMCAP C	0.00	6.10	0.00	6.10	90.0	0.10
10/19/2017	GREENWELL, MARION	AM FUNDS AMCAP F1	0.00	0.40	0.00	0.40	90.0	0.01
11/01/2017	CHERRY, ADAM	AM FUNDS AMERICAN BALANCED 529C	1,000.00	10.00	0.00	10.00	90.0	0.17

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<b><u> OVERRIDE TRANSACTIONS </u></b>								
<b><u> BROKER: MARC LINSKY #263 </u></b>								
10/19/2017	MELVIN, MARY THOMPSON	AM FUNDS AMERICAN BALANCED A	0.00	1.73	0.00	1.73	90.0	0.03
10/19/2017	TAYLOR, THOMAS	AM FUNDS AMERICAN BALANCED A	0.00	0.46	0.00	0.46	90.0	0.01
10/19/2017	TAYLOR, DIANE	AM FUNDS AMERICAN BALANCED A	0.00	0.46	0.00	0.46	90.0	0.01
10/19/2017	APPLEGATE, PAMAEALA	AM FUNDS AMERICAN BALANCED A	0.00	0.95	0.00	0.95	90.0	0.02
10/19/2017	RIZZO, DIANE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.96	0.00	0.96	90.0	0.02
10/19/2017	APPLEGATE, PAMAEALA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.79	0.00	0.79	90.0	0.01
11/01/2017	WALENCZYK, BRENDA	AM FUNDS CAPITAL WORLD GRTH & INC 5	400.00	15.00	0.00	15.00	90.0	0.26
10/19/2017	LINSKY, LISA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	3.68	0.00	3.68	90.0	0.06
10/19/2017	MEDIA ENTERPRISES	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.93	0.00	2.93	90.0	0.05
10/19/2017	RIZZO, DIANE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.39	0.00	1.39	90.0	0.02
10/19/2017	MELVIN, GREG	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.69	0.00	0.69	90.0	0.01
10/19/2017	POLLAN, JACLYN	AM FUNDS CAPITAL WORLD GRTH & INC C	0.00	2.68	0.00	2.68	90.0	0.05
10/19/2017	FLEISCH, ROBERT	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	14.14	0.00	14.14	90.0	0.24
10/19/2017	MELVIN, MARY THOMPSON	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.47	0.00	1.47	90.0	0.02
11/01/2017	BENFER, ANDREW	AM FUNDS FUNDAMENTAL INVESTORS A	225.00	11.25	0.00	11.25	90.0	0.19
10/19/2017	CHERRY, AYDEN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.85	0.00	0.85	90.0	0.01
10/19/2017	LINSKY, LISA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	4.34	0.00	4.34	90.0	0.07
10/19/2017	RIZZO, DIANE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.56	0.00	1.56	90.0	0.03
10/19/2017	OLIVETI, FRANK	AM FUNDS GROWTH FUND OF AMERICA A	0.00	5.94	0.00	5.94	90.0	0.10
10/19/2017	BERK, SHERRI	AM FUNDS GROWTH FUND OF AMERICA A	0.00	4.31	0.00	4.31	90.0	0.07
10/19/2017	PERETTI, TERESA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.70	0.00	1.70	90.0	0.03
10/19/2017	CENTANNI, BETTY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.36	0.00	0.36	90.0	0.01
10/19/2017	CENTANNI, RICHARD	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.90	0.00	0.90	90.0	0.02
10/19/2017	AYES, NICOLE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.33	0.00	1.33	90.0	0.02
10/19/2017	NATHAN, EDWARD	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.62	0.00	0.62	90.0	0.01
10/19/2017	NATHAN, EDWARD	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.01	0.00	1.01	90.0	0.02
10/19/2017	NATHAN, SUSAN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.61	0.00	0.61	90.0	0.01
10/19/2017	SPECTER, LINDSAY	AM FUNDS GROWTH FUND OF AMERICA C	0.00	2.57	0.00	2.57	90.0	0.04
10/19/2017	POLLAN, JACLYN	AM FUNDS GROWTH FUND OF AMERICA F1	0.00	2.52	0.00	2.52	90.0	0.04
10/19/2017	SPECTER, LINDSAY	AM FUNDS GROWTH FUND OF AMERICA F1	0.00	5.16	0.00	5.16	90.0	0.09
10/19/2017	SPECTER, SHELBY	AM FUNDS GROWTH FUND OF AMERICA F1	0.00	5.24	0.00	5.24	90.0	0.09
10/19/2017	RIZZO, DIANE	AM FUNDS ICA A	0.00	1.43	0.00	1.43	90.0	0.02
10/19/2017	FLEISCH, ROBERT	AM FUNDS ICA A	0.00	8.56	0.00	8.56	90.0	0.15

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<b><u> OVERRIDE TRANSACTIONS </u></b>								
<b><u>BROKER: MARC LINSKY #263</u></b>								
10/19/2017	LINSKY, MARC	AM FUNDS ICA A	0.00	0.40	0.00	0.40	90.0	0.01
10/19/2017	NATHAN, EDWARD	AM FUNDS ICA A	0.00	0.54	0.00	0.54	90.0	0.01
10/19/2017	NATHAN, EDWARD	AM FUNDS ICA A	0.00	0.88	0.00	0.88	90.0	0.01
10/19/2017	NATHAN, SUSAN	AM FUNDS ICA A	0.00	0.54	0.00	0.54	90.0	0.01
10/19/2017	TAYLOR, THOMAS	AM FUNDS ICA A	0.00	0.55	0.00	0.55	90.0	0.01
10/19/2017	TAYLOR, DIANE	AM FUNDS ICA A	0.00	0.55	0.00	0.55	90.0	0.01
10/19/2017	APPLEGATE, PAMAELA	AM FUNDS ICA A	0.00	0.96	0.00	0.96	90.0	0.02
10/19/2017	SPECTER, SHELBY	AM FUNDS ICA C	0.00	5.15	0.00	5.15	90.0	0.09
10/19/2017	SPECTER TRUST, STEPHANIE	AM FUNDS ICA F1	0.00	12.02	0.00	12.02	90.0	0.20
10/19/2017	SPECTER, LINDSAY	AM FUNDS ICA F1	0.00	4.66	0.00	4.66	90.0	0.08
10/19/2017	SPECTER, SHELBY	AM FUNDS ICA F1	0.00	4.47	0.00	4.47	90.0	0.08
10/19/2017	GARAFOLA, MICHAEL	AM FUNDS INCOME FUND OF AMERICA A	0.00	4.99	0.00	4.99	90.0	0.08
10/19/2017	GARAFOLA, GRACE	AM FUNDS INCOME FUND OF AMERICA A	0.00	4.20	0.00	4.20	90.0	0.07
10/19/2017	GARAFOLA, MICHAEL	AM FUNDS INCOME FUND OF AMERICA A	0.00	20.26	0.00	20.26	90.0	0.34
10/19/2017	MEDIA ENTERPRISES	AM FUNDS INCOME FUND OF AMERICA A	0.00	3.00	0.00	3.00	90.0	0.05
10/19/2017	TAYLOR, THOMAS	AM FUNDS NEW PERSPECTIVE A	0.00	0.73	0.00	0.73	90.0	0.01
10/19/2017	TAYLOR, DIANE	AM FUNDS NEW PERSPECTIVE A	0.00	0.73	0.00	0.73	90.0	0.01
10/19/2017	APPLEGATE, PAMAELA	AM FUNDS NEW PERSPECTIVE A	0.00	1.04	0.00	1.04	90.0	0.02
10/19/2017	MELVIN, MARY THOMPSON	AM FUNDS SMALLCAP WORLD A	0.00	1.49	0.00	1.49	90.0	0.03
10/19/2017	OLIVETI, FRANK	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	5.48	0.00	5.48	90.0	0.09
10/19/2017	PERETTI, TERESA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.38	0.00	1.38	90.0	0.02
10/19/2017	COHEN, PAUL	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	3.12	0.00	3.12	90.0	0.05
10/19/2017	LINSKY, MARC	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.40	0.00	0.40	90.0	0.01
10/19/2017	NATHAN, EDWARD	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.54	0.00	0.54	90.0	0.01
10/19/2017	NATHAN, EDWARD	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.88	0.00	0.88	90.0	0.01
10/19/2017	NATHAN, SUSAN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.54	0.00	0.54	90.0	0.01
11/01/2017	WALENCZYK, BRENDA	AM FUNDS WASHINGTON MUTUAL INVESTOR	400.00	15.00	0.00	15.00	90.0	0.26
10/13/2017	O'DONNELL, PATRICIA	AMERICAN CENTURY STRATEGIC ALLOC MO	0.00	3.63	0.00	3.63	90.0	0.06
/ /	GOLDBERG, SCOTT	ASCENSUS WVA AGE-BASED PF 12-13 A	0.00	7.26	0.00	7.26	90.0	0.12
10/30/2017	GOLDBERG, SCOTT	ASCENSUS WVA AGE-BASED PF 12-13 A	400.00	10.00	0.00	10.00	90.0	0.17
10/27/2017	PLEVAK, MICHAEL	BLACKROCK EQUITY DIVIDEND FUND CL C	0.00	17.31	0.00	17.31	90.0	0.29
10/20/2017	PERETTI, TERESA	CALAMOS GROWTH A	0.00	1.38	0.00	1.38	90.0	0.02
10/20/2017	DUBIN, JON	CALAMOS GROWTH A	0.00	4.35	0.00	4.35	90.0	0.07

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<b><u> OVERRIDE TRANSACTIONS </u></b>								
<b>BROKER: MARC LINSKY #263</b>								
10/17/2017	MEDIA ENTERPRISES	COLUMBIA ACORN A	0.00	1.01	0.00	1.01	90.0	0.02
10/17/2017	FLEISCH, ROBERT	COLUMBIA ACORN A	0.00	14.50	0.00	14.50	90.0	0.25
10/17/2017	FLEISCH, ROBERT	COLUMBIA ACORN SELECT A	0.00	7.49	0.00	7.49	90.0	0.13
10/17/2017	MEDIA ENTERPRISES	COLUMBIA ACORN USA FUND CLASS A	0.00	2.63	0.00	2.63	90.0	0.04
10/17/2017	BOWERS, DORA	COLUMBIA DIVERSIFIED EQUITY INCOME	0.00	1.11	0.00	1.11	90.0	0.02
10/17/2017	MEDIA ENTERPRISES	COLUMBIA LARGE CAP GROWTH A	0.00	0.32	0.00	0.32	90.0	0.01
10/17/2017	MELVIN, GREG	COLUMBIA MARSICO FOCUSED EQUITIES F	0.00	0.90	0.00	0.90	90.0	0.02
10/17/2017	MEDIA ENTERPRISES	COLUMBIA MIDCAP VALUE A	0.00	2.30	0.00	2.30	90.0	0.04
10/17/2017	BOWERS, DORA	COLUMBIA SELECT LARGE CAP GROWTH FU	0.00	1.06	0.00	1.06	90.0	0.02
10/17/2017	FLEISCH, ROBERT	COLUMBIA SMALL CAP INDEX FUND CLASS	0.00	10.81	0.00	10.81	90.0	0.18
10/17/2017	FLEISCH, ROBERT	COLUMBIA STRATEGIC INCOME A	0.00	2.36	0.00	2.36	90.0	0.04
10/16/2017	CENTANNI, BETTY	DAVIS NEW YORK VENTURE A	0.00	0.39	0.00	0.39	90.0	0.01
10/16/2017	CENTANNI, RICHARD	DAVIS NEW YORK VENTURE A	0.00	0.68	0.00	0.68	90.0	0.01
10/13/2017	BOWERS, DORA	DEUTSCHE GLOBAL RE	0.00	0.89	0.00	0.89	90.0	0.02
10/16/2017	GUERRIERI, CHARLES	DREYFUS CORE EQUITY FUND CLASS A	0.00	3.16	0.00	3.16	90.0	0.05
10/16/2017	COHEN, HARRIET	DREYFUS NEW JERSEY MUNICIPAL BOND F	0.00	61.86	0.00	61.86	90.0	1.05
10/16/2017	BOWERS, DORA	EATON VANCE LARGE-CAP VALUE FUND CL	0.00	0.73	0.00	0.73	90.0	0.01
10/17/2017	HANKINS, ROBERT	FEDERATED HIGH INCOME BOND FUND INC	0.00	1.10	0.00	1.10	90.0	0.02
10/17/2017	CENTANNI, BETTY	FEDERATED KAUFMANN FUND A	0.00	0.33	0.00	0.33	90.0	0.01
10/20/2017	FLEISCH, ROBERT	FIDELITY ADV FLOATING RATE HIGH INC	0.00	7.59	0.00	7.59	90.0	0.13
10/20/2017	FLEISCH, ROBERT	FIDELITY ADV STRATEGIC INCOME A	0.00	8.70	0.00	8.70	90.0	0.15
10/20/2017	CENTANNI, BETTY	FIDELITY ADV STRATEGIC INCOME C	0.00	1.51	0.00	1.51	90.0	0.03
10/20/2017	CENTANNI, RICHARD	FIDELITY ADV STRATEGIC INCOME C	0.00	5.94	0.00	5.94	90.0	0.10
10/20/2017	BEYERLE, PATRICIA	FIDELITY MIDCAP II T	0.00	2.71	0.00	2.71	90.0	0.05
10/23/2017	FLEISCH, ROBERT	FRANKLIN DYNATECH A	0.00	13.94	0.00	13.94	90.0	0.24
10/23/2017	FLEISCH, ROBERT	FRANKLIN GOLD & PRECIOUS METALS A	0.00	3.24	0.00	3.24	90.0	0.06
10/23/2017	HASTINGS TURST, OSCAR	FRANKLIN INCOME A	0.00	1.13	0.00	1.13	90.0	0.02
10/23/2017	FLEISCHMAN, RITA	FRANKLIN INCOME A	0.00	5.29	0.00	5.29	90.0	0.09
10/23/2017	COBB, DOROTHY	FRANKLIN INCOME A	0.00	0.78	0.00	0.78	90.0	0.01
10/23/2017	CENTANNI, RICHARD	FRANKLIN MUTUAL GLOBAL DISCOVERY A	0.00	0.56	0.00	0.56	90.0	0.01
10/23/2017	GREENWELL, MARION	FRNKLN FLOATING RATE DLY ACCESS FND	0.00	2.74	0.00	2.74	90.0	0.05
10/18/2017	BOWERS, STEVEN	GOLDMAN SACHS CAPITAL GROWTH FUND C	0.00	15.30	0.00	15.30	90.0	0.26
10/18/2017	CHERRY, ANDREW	GOLDMAN SACHS GROWTH OPPORT FD CLAS	0.00	3.40	0.00	3.40	90.0	0.06

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<b><u>BROKER: MARC LINSKY #263</u></b>								
10/18/2017	CHERRY, ANDREW	GOLDMAN SACHS GROWTH OPPORT FD CLAS	0.00	1.74	0.00	1.74	90.0	0.03
10/18/2017	PARSONS, MICHELLE	GOLDMAN SACHS U.S. EQUITY INSIGHTS	0.00	0.61	0.00	0.61	90.0	0.01
10/18/2017	CHERRY, ADAM	GRIFFIN INST'L ACCESS R E FUND C	0.00	0.47	0.00	0.47	90.0	0.01
10/18/2017	CHERRY, ADAM	GRIFFIN INST'L ACCESS R E FUND C	0.00	1.40	0.00	1.40	90.0	0.02
10/18/2017	KLEIN, HOWARD	GRIFFIN INST'L ACCESS R E FUND C	0.00	43.23	0.00	43.23	90.0	0.73
10/18/2017	KLEIN, HOWARD	GRIFFIN INST'L ACCESS R E FUND C	0.00	129.70	0.00	129.70	90.0	2.20
10/18/2017	ROESKE, CHARLES	GRIFFIN INSTITUTIONAL ACCESS REAL E	0.00	4.19	0.00	4.19	90.0	0.07
10/18/2017	ROESKE, CHARLES	GRIFFIN INSTITUTIONAL ACCESS REAL E	0.00	5.93	0.00	5.93	90.0	0.10
10/18/2017	LEVY, RONI	GRIFFIN INSTITUTIONAL ACCESS REAL E	0.00	4.98	0.00	4.98	90.0	0.08
10/24/2017	SPECTER TRUST, STEPHANIE	GUGGENHEIM INVERSE GOVT LONG BOND C	0.00	12.05	0.00	12.05	90.0	0.20
10/24/2017	LINSKY, MARC	GUGGENHEIM INVERSE GOVT LONG BOND C	0.00	4.09	0.00	4.09	90.0	0.07
10/17/2017	LINSKY, LISA	HARTFORD CAPITAL APPRECIATION A	0.00	3.62	0.00	3.62	90.0	0.06
10/17/2017	SPECTER TRUST, STEPHANIE	HARTFORD CAPITAL APPRECIATION C	0.00	82.76	0.00	82.76	90.0	1.41
10/17/2017	MEDIA ENTERPRISES	HARTFORD CAPITAL APPRECIATION C	0.00	39.81	0.00	39.81	90.0	0.68
10/17/2017	PERETTI JR, ANTHONY	HARTFORD CAPITAL APPRECIATION C	0.00	34.65	0.00	34.65	90.0	0.59
10/17/2017	KLEIN, HOWARD	HARTFORD CAPITAL APPRECIATION C	0.00	434.98	0.00	434.98	90.0	7.39
10/17/2017	CAMARDO, DONNA	HARTFORD CAPITAL APPRECIATION C	0.00	10.94	0.00	10.94	90.0	0.19
10/17/2017	GODLBERG, SHARON	HARTFORD CAPITAL APPRECIATION C	0.00	7.13	0.00	7.13	90.0	0.12
10/17/2017	BALZANO, AUGUSTUS	HARTFORD CAPITAL APPRECIATION C	0.00	7.60	0.00	7.60	90.0	0.13
10/17/2017	SPECTER, LINDSAY	HARTFORD CAPITAL APPRECIATION C	0.00	32.19	0.00	32.19	90.0	0.55
10/17/2017	SPECTER, SHELBY	HARTFORD CAPITAL APPRECIATION C	0.00	30.04	0.00	30.04	90.0	0.51
10/17/2017	HARRIS, MORGAN	HARTFORD CAPITAL APPRECIATION C	0.00	10.95	0.00	10.95	90.0	0.19
10/17/2017	BUSLER, SCOTT	HARTFORD CAPITAL APPRECIATION C	0.00	23.02	0.00	23.02	90.0	0.39
10/17/2017	BUSLER, MARIANNE	HARTFORD CAPITAL APPRECIATION C	0.00	10.30	0.00	10.30	90.0	0.18
10/17/2017	OLIVETI, ANTHONY	HARTFORD CHECKS AND BALANCES FUND A	0.00	2.69	0.00	2.69	90.0	0.05
10/17/2017	OLIVETI, NICOLE	HARTFORD CHECKS AND BALANCES FUND A	0.00	2.69	0.00	2.69	90.0	0.05
10/17/2017	PISANI, NICHOLAS	HARTFORD CHECKS AND BALANCES FUND A	0.00	4.04	0.00	4.04	90.0	0.07
10/17/2017	SPECTER TRUST, STEPHANIE	HARTFORD DIVIDEND & GROWTH C	0.00	71.31	0.00	71.31	90.0	1.21
10/17/2017	MEDIA ENTERPRISES	HARTFORD DIVIDEND & GROWTH C	0.00	44.47	0.00	44.47	90.0	0.76
10/17/2017	CAMARDO, DONNA	HARTFORD DIVIDEND & GROWTH C	0.00	20.46	0.00	20.46	90.0	0.35
10/17/2017	BALZANO, AUGUSTUS	HARTFORD DIVIDEND & GROWTH C	0.00	14.06	0.00	14.06	90.0	0.24
10/17/2017	HARRIS, MORGAN	HARTFORD DIVIDEND & GROWTH C	0.00	20.47	0.00	20.47	90.0	0.35
10/17/2017	BUSLER, SCOTT	HARTFORD DIVIDEND & GROWTH C	0.00	42.18	0.00	42.18	90.0	0.72

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<b><u>VERRIDE TRANSACTIONS</u></b>								
<b>BROKER: MARC LINSKY #263</b>								
10/17/2017	BUSLER, MARIANNE	HARTFORD DIVIDEND & GROWTH C	0.00	18.88	0.00	18.88	90.0	0.32
10/17/2017	CAMPAGNA, MARIE	HARTFORD FLOATING RATE C	0.00	10.69	0.00	10.69	90.0	0.18
10/17/2017	GODLBERG, SHARON	HARTFORD TOTAL RETURN BOND FUND C	0.00	4.20	0.00	4.20	90.0	0.07
10/31/2017	CHERRY, ANDREW	HOTCHKIS & WILEY SMALL-CAP VALUE FU	0.00	2.26	0.00	2.26	90.0	0.04
10/31/2017	CHERRY, ANDREW	HOTCHKIS & WILEY SMALL-CAP VALUE FU	0.00	2.26	0.00	2.26	90.0	0.04
10/30/2017	SIEMANOWSKI, JOHN	INVESCO AMERICAN FRANCHISE A	0.00	126.54	0.00	126.54	90.0	2.15
10/30/2017	CHERRY, THEO	INVESCO AMERICAN FRANCHISE A	0.00	4.05	0.00	4.05	90.0	0.07
10/30/2017	SIEMANOWSKI, JOHN	INVESCO AMERICAN FRANCHISE A	0.00	266.46	0.00	266.46	90.0	4.53
10/30/2017	FARBMAN, ERIC	INVESCO AMERICAN FRANCHISE A	0.00	9.64	0.00	9.64	90.0	0.16
10/30/2017	WALENCZYK, CHIRSTOPHER	INVESCO AMERICAN FRANCHISE A	0.00	0.50	0.00	0.50	90.0	0.01
10/30/2017	SIEMANOWSKI, JOHN	INVESCO CHARTER FUND A	0.00	58.11	0.00	58.11	90.0	0.99
10/30/2017	GUERRIERI, ANTHONY	INVESCO COMSTOCK A	0.00	1.48	0.00	1.48	90.0	0.03
10/30/2017	FARBMAN, ERIC	INVESCO HIGH YIELD FUND A	0.00	13.24	0.00	13.24	90.0	0.23
10/30/2017	SIEMANOWSKI, JOHN	INVESCO INTERNATIONAL GROWTH A	0.00	12.79	0.00	12.79	90.0	0.22
10/30/2017	SIEMANOWSKI, JOHN	INVESCO INTERNATIONAL GROWTH A	0.00	40.14	0.00	40.14	90.0	0.68
10/30/2017	WALENCZYK, BRENDA	INVESCO MIDCAP CORE EQUITY A	0.00	0.51	0.00	0.51	90.0	0.01
10/30/2017	WALENCZYK, CHIRSTOPHER	INVESCO MIDCAP CORE EQUITY A	0.00	1.03	0.00	1.03	90.0	0.02
10/30/2017	GOLDBERGER, ANNA	INVESCO SENIOR LOAN FUND IB	0.00	9.38	0.00	9.38	90.0	0.16
10/30/2017	BOWERS, DORA	INVESCO SMALL CAP DISCOVERY A	0.00	0.43	0.00	0.43	90.0	0.01
10/30/2017	FARBMAN, ERIC	INVESCO STRUCTURED CORE A	0.00	16.21	0.00	16.21	90.0	0.28
10/30/2017	WALENCZYK, BRENDA	INVESCO VALUE OPP A	0.00	0.41	0.00	0.41	90.0	0.01
10/30/2017	WALENCZYK, CHIRSTOPHER	INVESCO VALUE OPP A	0.00	0.80	0.00	0.80	90.0	0.01
10/12/2017	BOWERS, DORA	JANUS RESEARCH FUND CLASS A	0.00	1.04	0.00	1.04	90.0	0.02
11/06/2017	CHEESEMAN, DIANE	JNL PERSPECTIVE II 04/14	300.00	21.00	0.00	21.00	90.0	0.36
10/31/2017	BONESKI, MARGUERITE	JNL PERSPECTIVE II 05/05	268,353.82	223.63	0.00	223.63	90.0	3.80
10/31/2017	TROMBINO, CONSTANCE	JNL PERSPECTIVE L	279,881.78	233.23	0.00	233.23	90.0	3.96
10/31/2017	NANI, JOSEPH	JNL PERSPECTIVE L	411,371.43	342.81	0.00	342.81	90.0	5.83
10/31/2017	FELDNER, BARBARA	JNL PERSPECTIVE L	503,831.15	419.86	0.00	419.86	90.0	7.14
10/31/2017	STERR, CHRISTOPHER	JNL PERSPECTIVE L	109,587.81	91.32	0.00	91.32	90.0	1.55
10/31/2017	OTT, CAROL	JOHN HANCOCK VENTURE	14,019.45	2.92	0.00	2.92	90.0	0.05
10/31/2017	CAMPBELL, BARBARA	JOHN HANCOCK VENTURE III	213,428.97	177.86	0.00	177.86	90.0	3.02
10/26/2017	CENTANNI, RICHARD	JP MORGAN MID CAP VALUE FUND CLASS	0.00	0.61	0.00	0.61	90.0	0.01
10/21/2017	MCFADDEN, JOAN	LANDMARK 2002	0.00	212.09	0.00	212.09	90.0	3.61

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b><u> OVERRIDE TRANSACTIONS </u></b>								
<b>BROKER: MARC LINSKY #263</b>								
10/20/2017	MEDIA ENTERPRISES	LORD ABBETT BOND DEBENTURE A	0.00	2.95	0.00	2.95	90.0	0.05
10/20/2017	MEDIA ENTERPRISES	LORD ABBETT BOND DEBENTURE A	0.00	2.06	0.00	2.06	90.0	0.04
10/20/2017	DEBRIELLE-HEALEY, ELIZABETH	LORD ABBETT BOND DEBENTURE A	0.00	2.74	0.00	2.74	90.0	0.05
10/20/2017	LAISO, MICHAEL	LORD ABBETT BOND DEBENTURE A	0.00	7.85	0.00	7.85	90.0	0.13
10/20/2017	STRAUS, KAREN	LORD ABBETT BOND DEBENTURE A	0.00	2.60	0.00	2.60	90.0	0.04
10/20/2017	CHERRY, ADAM	LORD ABBETT BOND DEBENTURE C	0.00	114.86	0.00	114.86	90.0	1.95
10/20/2017	HUDSON TRUST OF 2000, ROBERT	LORD ABBETT BOND DEBENTURE C	0.00	117.67	0.00	117.67	90.0	2.00
10/20/2017	YANKOWITZ, HARRIETT	LORD ABBETT BOND DEBENTURE C	0.00	28.27	0.00	28.27	90.0	0.48
10/20/2017	TOBIAS, DAVID	LORD ABBETT BOND DEBENTURE C	0.00	19.75	0.00	19.75	90.0	0.34
10/20/2017	LINSKY, LISA	LORD ABBETT FUNDAMENTAL EQUITY A	0.00	0.86	0.00	0.86	90.0	0.01
10/20/2017	MEDIA ENTERPRISES	LORD ABBETT FUNDAMENTAL EQUITY A	0.00	5.35	0.00	5.35	90.0	0.09
10/20/2017	MEDIA ENTERPRISES	LORD ABBETT FUNDAMENTAL EQUITY A	0.00	7.17	0.00	7.17	90.0	0.12
10/20/2017	MEDIA ENTERPRISES	LORD ABBETT FUNDAMENTAL EQUITY A	0.00	1.13	0.00	1.13	90.0	0.02
10/20/2017	MEDIA ENTERPRISES	LORD ABBETT FUNDAMENTAL EQUITY A	0.00	0.75	0.00	0.75	90.0	0.01
10/20/2017	TAROFF, DANIELLE	LORD ABBETT FUNDAMENTAL EQUITY CL C	0.00	10.80	0.00	10.80	90.0	0.18
10/20/2017	TAROFF, DANIELLE	LORD ABBETT FUNDAMENTAL EQUITY CL C	0.00	5.87	0.00	5.87	90.0	0.10
10/20/2017	OLIVETI, NICOLE	LORD ABBETT FUNDAMENTAL EQUITY CL C	0.00	6.13	0.00	6.13	90.0	0.10
10/20/2017	YANKOWITZ, HARRIETT	LORD ABBETT FUNDAMENTAL EQUITY CL C	0.00	15.11	0.00	15.11	90.0	0.26
10/20/2017	DIECKERT, DEBRA	LORD ABBETT FUNDAMENTAL EQUITY CL C	0.00	3.04	0.00	3.04	90.0	0.05
10/20/2017	MEDIA ENTERPRISES	LORD ABBETT SHORT DURATION INCOME A	0.00	2.81	0.00	2.81	90.0	0.05
10/20/2017	MEDIA ENTERPRISES	LORD ABBETT SHORT DURATION INCOME A	0.00	3.64	0.00	3.64	90.0	0.06
10/20/2017	MEDIA ENTERPRISES	LORD ABBETT SHORT DURATION INCOME A	0.00	0.45	0.00	0.45	90.0	0.01
10/20/2017	BOWERS, DORA	LORD ABBETT SHORT DURATION INCOME F	0.00	1.47	0.00	1.47	90.0	0.02
10/20/2017	BOWERS, DORA	LORD ABBETT SHORT DURATION INCOME F	0.00	19.84	0.00	19.84	90.0	0.34
10/20/2017	BOWERS, DORA	LORD ABBETT SHORT DURATION INCOME F	0.00	1.66	0.00	1.66	90.0	0.03
10/20/2017	BOWERS, STEVEN	LORD ABBETT SHORT DURATION INCOME F	0.00	2.68	0.00	2.68	90.0	0.05
10/20/2017	BOWERS, STEVEN	LORD ABBETT SHORT DURATION INCOME F	0.00	2.05	0.00	2.05	90.0	0.03
10/20/2017	CAMPAGNA, MARIE	LORD ABBETT SHORT DURATION INCOME F	0.00	11.01	0.00	11.01	90.0	0.19
10/20/2017	CHERRY, ADAM	LORD ABBETT SHORT DURATION INCOME F	0.00	96.24	0.00	96.24	90.0	1.64
10/20/2017	KRAMER, LESLIE	LORD ABBETT SHORT DURATION INCOME F	0.00	11.28	0.00	11.28	90.0	0.19
10/20/2017	DADINO, CAROLE	LORD ABBETT SHORT DURATION INCOME F	0.00	5.55	0.00	5.55	90.0	0.09
10/20/2017	BROSIUS JR, ARTHUR	LORD ABBETT SHORT DURATION INCOME F	0.00	6.24	0.00	6.24	90.0	0.11
10/20/2017	HARDING, LORETTA	LORD ABBETT SHORT DURATION INCOME F	0.00	12.65	0.00	12.65	90.0	0.22

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<b><u> OVERRIDE TRANSACTIONS </u></b>								
<b><u>BROKER: MARC LINSKY #263</u></b>								
10/20/2017	BUSLER, SCOTT	LORD ABBETT SHORT DURATION INCOME F	0.00	8.94	0.00	8.94	90.0	0.15
10/20/2017	BUSLER, SCOTT	LORD ABBETT SHORT DURATION INCOME F	0.00	4.54	0.00	4.54	90.0	0.08
10/24/2017	MURRY, YVONNE	MAINSTAY CUSHING MLP PREMIER FUND C	0.00	10.15	0.00	10.15	90.0	0.17
10/24/2017	FLEISCHMAN, RITA	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	2.70	0.00	2.70	90.0	0.05
10/24/2017	FARBMAN TRUST, DANIEL & SANDRA	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	1.81	0.00	1.81	90.0	0.03
10/24/2017	PAGLIA, DIANA	MAINSTAY FLOATING RATE FUND CLASS A	0.00	0.48	0.00	0.48	90.0	0.01
10/24/2017	PAGLIA, DIANA	MAINSTAY HIGH YIELD CORP BOND A	0.00	1.19	0.00	1.19	90.0	0.02
10/24/2017	PAGLIA, DIANA	MAINSTAY LARGE CAP GROWTH FUND A	0.00	0.70	0.00	0.70	90.0	0.01
10/16/2017	KROSNOWSKI, THOMAS	MFS CORE EQUITY C	0.00	6.26	0.00	6.26	90.0	0.11
10/16/2017	KROSNOWSKI, THOMAS	MFS EMERGINF MARKETS EQUITY FUND C	0.00	15.62	0.00	15.62	90.0	0.27
10/16/2017	CAMPAGNA, MARIE	MFS EMERGING MKTS DEBT FUND C	0.00	7.98	0.00	7.98	90.0	0.14
10/16/2017	SPECTER TRUST, STEPHANIE	MFS GROWTH C	0.00	14.92	0.00	14.92	90.0	0.25
10/16/2017	KROSNOWSKI, THOMAS	MFS INTERNATIONAL VALUE FUND C	0.00	15.01	0.00	15.01	90.0	0.26
10/16/2017	BOWERS, DORA	MFS INTERNATIONAL VALUE FUND CLASS	0.00	0.67	0.00	0.67	90.0	0.01
10/16/2017	SPECTER TRUST, BRADLEY	MFS MID-CAP VALUE FUND CLASS C	0.00	9.03	0.00	9.03	90.0	0.15
10/16/2017	SPECTER TRUST, STEPHANIE	MFS MID-CAP VALUE FUND CLASS C	0.00	21.61	0.00	21.61	90.0	0.37
10/16/2017	SPECTER TRUST, BRADLEY	MFS MIDCAP GROWTH C	0.00	7.88	0.00	7.88	90.0	0.13
10/16/2017	SPECTER TRUST, STEPHANIE	MFS MIDCAP GROWTH C	0.00	18.57	0.00	18.57	90.0	0.32
10/16/2017	KROSNOWSKI, THOMAS	MFS MIDCAP GROWTH C	0.00	5.39	0.00	5.39	90.0	0.09
10/16/2017	KROSNOWSKI, THOMAS	MFS RESEARCH FUND-C	0.00	5.68	0.00	5.68	90.0	0.10
10/16/2017	SPECTER TRUST, STEPHANIE	MFS RESEARCH INTL C	0.00	26.36	0.00	26.36	90.0	0.45
10/16/2017	KROSNOWSKI, THOMAS	MFS TECHNOLOGY FUND-C	0.00	10.99	0.00	10.99	90.0	0.19
10/16/2017	SPECTER TRUST, BRADLEY	MFS VALUE C	0.00	9.04	0.00	9.04	90.0	0.15
10/16/2017	SPECTER TRUST, STEPHANIE	MFS VALUE C	0.00	14.06	0.00	14.06	90.0	0.24
10/19/2017	KROSNOWSKI, THOMAS	OPPENHEIMER DISCOVERY A	0.00	1.14	0.00	1.14	90.0	0.02
10/19/2017	KROSNOWSKI, THOMAS	OPPENHEIMER GLOBAL OPPORTUNITIES A	0.00	1.00	0.00	1.00	90.0	0.02
10/19/2017	KROSNOWSKI, THOMAS	OPPENHEIMER GOLD & SPECIAL MINERALS	0.00	0.43	0.00	0.43	90.0	0.01
10/19/2017	BOWERS, DORA	OPPENHEIMER INTL GROWTH A	0.00	0.60	0.00	0.60	90.0	0.01
10/19/2017	STERR, ERIN	OPPENHEIMER MAIN STREET A	0.00	2.36	0.00	2.36	90.0	0.04
10/19/2017	KROSNOWSKI, THOMAS	OPPENHEIMER MAIN STREET A	0.00	3.04	0.00	3.04	90.0	0.05
10/19/2017	PERETTI, DANIEL	OPPENHEIMER PORTFOLIO SERIES EQ INV	0.00	0.92	0.00	0.92	90.0	0.02
10/19/2017	PERETTI, DANIEL	OPPENHEIMER PORTFOLIO SERIRES: MOD	0.00	38.05	0.00	38.05	90.0	0.65
10/19/2017	CHERRY, LISA	OPPENHEIMER QUEST OPP VALUE A	0.00	2.59	0.00	2.59	90.0	0.04

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<b><u> OVERRIDE TRANSACTIONS </u></b>								
<b><u>BROKER: MARC LINSKY #263</u></b>								
10/19/2017	KROSNOWSKI, THOMAS	OPPENHEIMER QUEST OPP VALUE A	0.00	1.75	0.00	1.75	90.0	0.03
10/23/2017	CHERRY, ADAM	PAC LIFE FUNDS PRT OPT MOD	0.00	242.14	0.00	242.14	90.0	4.12
10/27/2017	MEDIA ENTERPRISES	PAC LIFE INNOVATIVE SELECT	0.00	151.25	0.00	151.25	90.0	2.57
11/03/2017	HAMMOND, HAROLD	PAC LIFE INNOVATIVE SELECT	0.00	82.18	0.00	82.18	90.0	1.40
10/18/2017	TRICHON, DONNA-LYNN	PUTNAM GROWTH OPP A	0.00	12.79	0.00	12.79	90.0	0.22
10/18/2017	NIEMINEN, EUGENE	PUTNAM MULTI CAP GROWTH A	0.00	2.88	0.00	2.88	90.0	0.05
10/16/2017	SPECTER, BRADLEY	RESOURCE R E DIVERSIFIED INC FUND A	0.00	12.77	0.00	12.77	90.0	0.22
10/16/2017	SPECTER, STEPHANIE	RESOURCE R E DIVERSIFIED INC FUND A	0.00	17.44	0.00	17.44	90.0	0.30
10/16/2017	TAROFF, MICHELLE	RESOURCE R E DIVERSIFIED INC FUND A	0.00	5.74	0.00	5.74	90.0	0.10
10/16/2017	KLEIN, HOWARD	RESOURCE REAL ESTATE DIVERSIFIED IN	0.00	43.42	0.00	43.42	90.0	0.74
10/16/2017	KLEIN, HOWARD	RESOURCE REAL ESTATE DIVERSIFIED IN	0.00	130.26	0.00	130.26	90.0	2.21
10/23/2017	FLEISCH, ROBERT	TEMPLETON GLOBAL BOND A	0.00	11.75	0.00	11.75	90.0	0.20
10/23/2017	GREENWELL, MARION	TEMPLETON GROWTH A	0.00	1.57	0.00	1.57	90.0	0.03
10/23/2017	CENTANNI, RICHARD	TEMPLETON GROWTH A	0.00	0.34	0.00	0.34	90.0	0.01
10/23/2017	FLEISCH, ROBERT	TEMPLETON WORLD A	0.00	11.21	0.00	11.21	90.0	0.19
10/05/2017	PERETTI, DANIEL	TOUCHSTONE GROWTH OPP A	0.00	1.44	0.00	1.44	90.0	0.02
10/25/2017	PERETTI, DANIEL	TOUCHSTONE GROWTH OPP A	0.00	1.48	0.00	1.48	90.0	0.03
10/24/2017	EHRET, WAYNE	VICTORY CAPITAL MANAGEMENT	0.00	0.44	0.00	0.44	90.0	0.01
10/18/2017	CHERRY, LISA	VIRTUS SMALL-CAP SUSTAINABLE GROWTH	0.00	5.55	0.00	5.55	90.0	0.09
10/12/2017	PISANI, NICHOLAS	WELLS FARGO ADVANTAGE OMEGA GROWTH	0.00	8.88	0.00	8.88	90.0	0.15
10/12/2017	CAMPAGNA, MARIE	WELLS FARGO ADVTG DIVERSIFIED INCOM	0.00	22.21	0.00	22.21	90.0	0.38
10/12/2017	CAMPAGNA, MARIE	WELLS FARGO ADVTG DIVERSIFIED INCOM	0.00	10.82	0.00	10.82	90.0	0.18
10/12/2017	TRICHON, DONNA-LYNN	WELLS FARGO DIVERSIFIED CAPITAL BUI	0.00	17.22	0.00	17.22	90.0	0.29
/ /	GOLDBERG, SCOTT	WVA AGE-BASED PORTFOLIO 18+ A	0.00	4.80	0.00	4.80	90.0	0.08
/ /	GOLDBERG, SCOTT	WVA AGE-BASED PORTFOLIO 18+ A	0.00	0.51	0.00	0.51	90.0	0.01
10/30/2017	GOLDBERG, SCOTT	WVA AGE-BASED PORTFOLIO 18+ A	300.00	7.50	0.00	7.50	90.0	0.13
10/30/2017	GOLDBERG, SCOTT	WVA AGE-BASED PORTFOLIO 18+ A	150.00	3.75	0.00	3.75	90.0	0.06
<b>* MARC LINSKY SUBTOTAL *</b>			<b>\$1,803,649.41</b>	<b>\$5,624.97</b>	<b>\$0.00</b>	<b>\$5,624.97</b>		<b>\$95.71</b>
<b><u>BROKER: DANIEL CHARLEY #338</u></b>								
10/31/2017	PREMIER IMMEDIATE ME	VOYA RETIREMENT & ANNUITY	0.00	5.13	0.00	5.13	90.0	0.09
<b>* DANIEL CHARLEY SUBTOTAL *</b>			<b>\$0.00</b>	<b>\$5.13</b>	<b>\$0.00</b>	<b>\$5.13</b>		<b>\$0.09</b>
<b>*** OVERRIDE TRANSACTIONS TOTAL ***</b>			<b>\$1,803,649.41</b>	<b>\$6,435.10</b>	<b>\$0.00</b>	<b>\$6,435.10</b>		<b>\$138.37</b>

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<u>ADJUSTMENTS</u>								
11/15/2017		*AI INSIGHT: AI INSIGHT - PECHA	0.00					-1.40
11/15/2017		*AI INSIGHT: AI INSIGHT - T THOMPSON	0.00					-1.05
11/15/2017		*EO INS: CURRENT MONTH	0.00					-300.00
11/15/2017		*EO INS: CURRENT MONTH	0.00					-150.00
11/15/2017		*EO INS: CURRENT MONTH INS	0.00					-60.00
11/15/2017		*EO INS: CURRENT MONTH INS	0.00					-45.00
11/15/2017		*EO INS: CURRENT MONTH-T THOMPSON	0.00					-45.00
11/15/2017		*FEDERAL EXPRESS: 5-973-09991 10/25	0.00					-31.32
11/15/2017		*FEDERAL EXPRESS: 5-980-12441 11/01	0.00					-58.91
11/15/2017		*LASER APP: LASER APP - PECHA	0.00					-3.60
11/15/2017		*MARKETING LIBRARY: MARKETING LIBRA	0.00					-45.00
11/15/2017		*MISC: C FULMER, A LEEDS K141	0.00					540.00
11/15/2017		*MISC: C FULMER, A LEEDS C141	0.00					540.00
11/15/2017		*MISC: OVERNIGHT FEE 10/15/17	0.00					-13.34
11/15/2017		*MISC: OVERNIGHT FEE 10/31/17	0.00					-13.34
11/15/2017		*MISC: ROY AFLAC 1031DST	0.00					1,126.00
11/15/2017		*MISC: ROY, AFLAC, 1031DST	0.00					1,326.00
11/15/2017		*PERSHING: BOOKS AND RECORDS	0.00					-0.75
11/15/2017		*PERSHING: MANDITORY REORGANIZATION	0.00					-1.25
11/15/2017		*PERSHING: MARK UPS	0.00					30.00
11/15/2017		*PERSHING: MARK UPS	0.00					21.00
11/15/2017		*PERSHING: MARK UPS	0.00					30.00
11/15/2017		*PERSHING: MARK UPS	0.00					22.50
11/15/2017		*PERSHING: STREAMING QUOTES	0.00					-68.00
11/15/2017		*SPLIT PAYOUT/OVERRIDE: BRANCH-CIRE	0.00					236.46
11/15/2017		*SPLIT PAYOUT/OVERRIDE: BRANCH-KIES	0.00					34.06
11/15/2017		*SPLIT PAYOUT/OVERRIDE: SPLIT-CHARL	0.00					271.60
11/15/2017		*SPLIT PAYOUT/OVERRIDE: SPLIT-CIREL	0.00					1,180.33
11/15/2017		*SPLIT PAYOUT/OVERRIDE: SPLIT-KIESN	0.00					203.34
11/15/2017		*SPLIT PAYOUT/OVERRIDE: SPLIT-LINSK	0.00					426.12
11/15/2017		*SPLIT PAYOUT/OVERRIDE: SPLIT-MCPHE	0.00					1.71
11/15/2017		*SPLIT PAYOUT/OVERRIDE: SPLIT-PFLEG	0.00					0.50
11/15/2017		*TECH: ADMIN FULMER	0.00					-50.00

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<b><u>ADJUSTMENTS</u></b>								
11/15/2017		*TECH: ADMIN-AMY LEEDS	0.00					-34.00
11/15/2017		*TECH: BASIC - PECHA	0.00					-36.00
11/15/2017		*TECH: CURRENT MONTH TECH	0.00					-41.25
11/15/2017		*TECHNOLOGY: BASIC - T THOMPSON	0.00					-27.00
11/15/2017		*TECHNOLOGY: CURRENT MONTH	0.00					-137.50
11/15/2017		*TECHNOLOGY: CURRENT MONTH RAUPP	0.00					-275.00
*** ADJUSTMENTS TOTAL ***			\$0.00	\$0.00	\$0.00	\$0.00		\$4,550.91

**BROKER COMMISSION TOTALS**

Broker Transactions	\$711.74
Split Transactions	\$26,770.20
Override Transactions	\$138.37
Adjustments	\$4,550.91
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$0.00
FINRA Assessment	\$0.00
SIPC Assessment	\$0.00

Check Amount	\$32,171.22
Year-to-date Gross	\$1,420,638.02
Year-to-date Earnings	\$1,438,501.08

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