



COMMISSION STATEMENT

November 19, 2018

KURT GRUENEWALD
2108 Genesee St.
Utica, NY 13502

BROKER #: A77
BRANCH #01047 - 47 - GRIFFITH

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
11/07/2018	***-**-480J - EVANS, RICHARD	AMERICAN BALANCED FUND-A	125.00	5.31	0.00	5.31	0.0	0.00
	ACCOUNT #: 00073288662	BUY 4 Units @28.9100						
11/09/2018	***-**-48IO - CLARK, PATRICK	AMERICAN FUNDS BALANCED PORT CL C	2,000.01	18.00	18.00	0.00	0.0	0.00
	ACCOUNT #: LSR010911	SELL 139 Units @14.4100						
11/09/2018	***-**-62IN - EATON, DAVID	AMERICAN FUNDS MORTGAGE FD CL C	10,000.00	118.00	18.00	100.00	0.0	0.00
	ACCOUNT #: LSR011315	BUY 1037 Units @9.6400						
11/09/2018	***-**-60IO - JOSEPH,	AMERICAN FUNDS MORTGAGE FD CL C	10,000.00	118.00	18.00	100.00	0.0	0.00
	ACCOUNT #: LSR012336	BUY 1037 Units @9.6400						
11/08/2018	***-**-60IO - JOSEPH,	AMERICAN GLOBAL BALANCED CL C	15,000.00	168.00	18.00	150.00	0.0	0.00
	ACCOUNT #: LSR012336	BUY 485 Units @30.9300						
11/08/2018	***-**-60IO - JOSEPH,	EATON VANCE FLOATING RATE ADVANTAGE	12,000.00	138.00	18.00	120.00	0.0	0.00
	ACCOUNT #: LSR012336	BUY 1099 Units @10.9200						
11/09/2018	***-**-60IO - JOSEPH,	FRANKLIN BIOTECH DISCOVERY FUND CL	8,499.96	103.00	18.00	85.00	0.0	0.00
	ACCOUNT #: LSR012336	BUY 61 Units @140.0300						
11/09/2018	***-**-60IO - JOSEPH,	FRANKLIN INCOME FUND CLASS C	8,500.00	103.00	18.00	85.00	0.0	0.00
	ACCOUNT #: LSR012336	BUY 3696 Units @2.3000						
11/09/2018	***-**-14IO - BUSHEY, MATTHEW	FUNDAMENTAL INVESTORS-C	2,000.03	18.00	18.00	0.00	0.0	0.00
	ACCOUNT #: LSR011498	SELL 32 Units @61.8400						
11/05/2018	***-**-506J - CURRIERE JR, MR	INTERNATIONAL GROWTH AND INCOME-A	62.50	2.66	0.00	2.66	0.0	0.00
	ACCOUNT #: 00088062946	BUY 2 Units @32.6600						
11/08/2018	***-**-60IO - JOSEPH,	LORD ABBETT SHORT DURATION INCOME C	10,000.00	118.00	18.00	100.00	0.0	0.00
	ACCOUNT #: LSR012336	BUY 2398 Units @4.1700						
11/13/2018	***-**-15IN - PENDRAK, JOHN	LORD ABBETT SHORT DURATION INCOME C	5,000.00	0.00	6.00	-6.00	100.0	-6.00
	ACCOUNT #: LSR010948	SELL 1199 Units @4.1700						
11/13/2018	***-**-15IN - PENDRAK, JOHN	LORD ABBETT VALUE OPPORTUNITY FD CL	5,000.00	19.99	6.00	13.99	0.0	0.00
	ACCOUNT #: LSR010948	BUY 287 Units @17.4100						
11/08/2018	***-**-60IO - JOSEPH,	MFS TECHNOLOGY CLASS C	10,000.01	118.00	18.00	100.00	0.0	0.00
	ACCOUNT #: LSR012336	BUY 280 Units @35.7100						
11/05/2018	***-**-506J - CURRIERE JR, MR	NEW PERSPECTIVE FUND-A	62.50	2.66	0.00	2.66	0.0	0.00
	ACCOUNT #: 00088062946	BUY 1 Units @45.5100						
11/09/2018	***-**-60IO - JOSEPH,	OPPENHEIMER GOLD & SPECIAL MINERALS	8,500.01	103.00	18.00	85.00	0.0	0.00
	ACCOUNT #: LSR012336	BUY 693 Units @12.2600						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUNDS (continued)								
11/12/2018	***-**-52IO - EUSEPI, SUSAN	PORT SERIES: CONS INV C	1,000.00	18.00	18.00	0.00	0.0	0.00
	ACCOUNT #: LSR011219	SELL 110 Units @9.1200						
11/09/2018	***-**-664J - PFAFF, GEORGE	PUTNAM EQUITY INCOME FUND-B	3,000.00	18.00	18.00	0.00	0.0	0.00
	ACCOUNT #: LSR011184	SELL 123 Units @24.4000						
11/12/2018	***-**-60IO - JOSEPH,	PUTNAM EQUITY SPECTRUM FD CL C	8,500.00	103.00	18.00	85.00	0.0	0.00
	ACCOUNT #: LSR012336	BUY 261 Units @32.5100						
11/09/2018	***-**-14IO - BUSHEY, MATTHEW	PUTNAM GROWTH OPPORTUNITIES FUND CL	3,000.01	18.00	18.00	0.00	0.0	0.00
	ACCOUNT #: LSR011498	SELL 100 Units @30.1300						
11/12/2018	***-**-169I - EVANS, PAUL	PUTNAM GROWTH OPPORTUNITIES FUND CL	1,000.01	18.00	18.00	0.00	0.0	0.00
	ACCOUNT #: LSR011026	SELL 34 Units @29.3300						
11/12/2018	***-**-60IO - JOSEPH,	PUTNAM INVESTMENTS MULTI-CAP CORE C	10,000.01	118.00	18.00	100.00	0.0	0.00
	ACCOUNT #: LSR012336	BUY 459 Units @21.8000						
11/13/2018	***-**-60IO - JOSEPH,	PUTNAM INVESTMENTS MULTI-CAP CORE C	10,000.00	118.00	18.00	100.00	0.0	0.00
	ACCOUNT #: LSR012336	BUY 460 Units @21.7500						
11/09/2018	***-**-60IO - JOSEPH,	THE BOND FUND OF AMERICA-A	10,000.00	318.00	18.00	300.00	0.0	0.00
	ACCOUNT #: LSR012336	BUY 780 Units @12.8200						
11/07/2018	***-**-480J - EVANS, RICHARD	THE GROWTH FUND OF AMERICA-A	125.00	5.31	0.00	5.31	0.0	0.00
	ACCOUNT #: 00073288662	BUY 2 Units @56.3900						
11/09/2018	***-**-80IO - EVANS, RICHARD	THE NEW ECONOMY FUND-C	2,000.01	18.00	18.00	0.00	0.0	0.00
	ACCOUNT #: LSR011276	SELL 49 Units @40.7500						
* MUTUAL FUNDS SUBTOTAL *			\$155,375.06	\$1,905.93	\$372.00	\$1,533.93		\$-6.00
PRODUCT CATEGORY: STOCKS								
11/09/2018	***-**-60IO - JOSEPH,	AT&T INC COM	3,045.00	48.45	17.00	31.45	0.0	0.00
	ACCOUNT #: LSR012336	BUY 100 Units @30.4500						
11/15/2018	***-**-52IO - EUSEPI, SUSAN	AURORA CANNABIS INC COM NPV ISIN #C	660.00	24.60	18.00	6.60	0.0	0.00
	ACCOUNT #: LSR011219	BUY 100 Units @6.6000						
11/14/2018	***-**-663I - LASCALA, DEBORAH	EXXON MOBIL CORP UNSOLICITED ORDER	7,755.00	95.55	17.00	78.55	0.0	0.00
	ACCOUNT #: LSR012790	BUY 100 Units @77.5500						
* STOCKS SUBTOTAL *			\$11,460.00	\$168.60	\$52.00	\$116.60		\$0.00



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: UNIT INVESTMENT TRUSTS								
11/09/2018	***-**-60IO - JOSEPH, ACCOUNT #: LSR012336	EXTRA SPACE STORAGE INC UNSOLICITED BUY 100 Units @90.5500	9,055.00	108.55	24.00	84.55	0.0	0.00
11/09/2018	***-**-60IO - JOSEPH, ACCOUNT #: LSR012336	TANGER FACTORY OUTLET CTRS INC UNO BUY 100 Units @23.6000	2,360.00	32.60	24.00	8.60	0.0	0.00
11/09/2018	***-**-60IO - JOSEPH, ACCOUNT #: LSR012336	TANGER FACTORY OUTLET CTRS INC UNO BUY 100 Units @23.6000	2,360.00	32.60	0.00	32.60	0.0	0.00
* UNIT INVESTMENT TRUSTS SUBTOTAL *			\$13,775.00	\$173.75	\$48.00	\$125.75		\$0.00
PRODUCT CATEGORY: 529 PLAN								
11/15/2018	***-**-5375 - CARTER, LISA ACCOUNT #: 00083996363	AMERICAN BALANCED FUND-529C BUY 19 Units @26.9700	500.00	5.00	0.00	5.00	0.0	0.00
* 529 PLAN SUBTOTAL *			\$500.00	\$5.00	\$0.00	\$5.00		\$0.00
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS								
10/19/2018	***-**-702I - KOCHER, MICHAEL ACCOUNT #: LSR010954	AF MODERATE GROWTH AND INCOME-A BUY 1 Units @0.0000	0.00	4.11	0.00	4.11	0.0	0.00
10/19/2018	***-**-366I - GRUENEWALD, ACCOUNT #: LSR010989	AF MODERATE GROWTH AND INCOME-A BUY 1 Units @0.0000	0.00	1.46	0.00	1.46	0.0	0.00
10/19/2018	***-**-579J - RHYMESTINE, ACCOUNT #: LSR011081	AF MODERATE GROWTH AND INCOME-A BUY 1 Units @0.0000	0.00	0.08	0.00	0.08	0.0	0.00
10/19/2018	***-**-808J - GORMAN, RANDY ACCOUNT #: LSR011087	AF MODERATE GROWTH AND INCOME-A BUY 1 Units @0.0000	0.00	0.25	0.00	0.25	0.0	0.00
10/19/2018	***-**-326I - GRANDE, FBO MR ACCOUNT #: LSR011091	AF MODERATE GROWTH AND INCOME-A BUY 1 Units @0.0000	0.00	2.05	0.00	2.05	0.0	0.00
10/19/2018	***-**-79TR - OR CYNTHIA ACCOUNT #: LSR012749	AF MODERATE GROWTH AND INCOME-A BUY 1 Units @0.0000	0.00	0.72	0.00	0.72	0.0	0.00
10/19/2018	***-**-680I - HARRELL, DARYL ACCOUNT #: LSR011321	AMERICAN BALANCED FUND-A BUY 1 Units @0.0000	0.00	0.90	0.00	0.90	0.0	0.00
10/19/2018	***-**-30TR - AND SANDRA ACCOUNT #: LSR011939	AMERICAN BALANCED FUND-A BUY 1 Units @0.0000	0.00	2.92	0.00	2.92	0.0	0.00
10/19/2018	***-**-761I - EVANS, DOLORES ACCOUNT #: LSR011024	AMERICAN BALANCED FUND-C BUY 1 Units @0.0000	0.00	15.34	0.00	15.34	0.0	0.00



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
10/19/2018	***-**-094I - KATRENA L ACCOUNT #: LSR011188	AMERICAN BALANCED FUND-C BUY 1 Units @0.0000	0.00	3.87	0.00	3.87	0.0	0.00
10/19/2018	***-**-52IO - EUSEPI, SUSAN ACCOUNT #: LSR011219	AMERICAN BALANCED FUND-C BUY 1 Units @0.0000	0.00	5.21	0.00	5.21	0.0	0.00
10/19/2018	***-**-80IO - EVANS, RICHARD ACCOUNT #: LSR011276	AMERICAN BALANCED FUND-C BUY 1 Units @0.0000	0.00	15.57	0.00	15.57	0.0	0.00
10/19/2018	***-**-881I - EBERLEY, SUSAN ACCOUNT #: LSR010858	AMERICAN FUNDS BALANCED PORT CL C BUY 1 Units @0.0000	0.00	8.64	0.00	8.64	0.0	0.00
10/19/2018	***-**-382K - SATTERLY, NEIL ACCOUNT #: LSR010875	AMERICAN FUNDS BALANCED PORT CL C BUY 1 Units @0.0000	0.00	4.39	0.00	4.39	0.0	0.00
10/19/2018	***-**-949I - ACEE, JOSPEH ACCOUNT #: LSR010908	AMERICAN FUNDS BALANCED PORT CL C BUY 1 Units @0.0000	0.00	3.60	0.00	3.60	0.0	0.00
10/19/2018	***-**-48IO - CLARK, PATRICK ACCOUNT #: LSR010911	AMERICAN FUNDS BALANCED PORT CL C BUY 1 Units @0.0000	0.00	22.21	0.00	22.21	0.0	0.00
10/19/2018	***-**-31IO - HARTZ, CLAUDIA ACCOUNT #: LSR010915	AMERICAN FUNDS BALANCED PORT CL C BUY 1 Units @0.0000	0.00	6.06	0.00	6.06	0.0	0.00
10/19/2018	***-**-031O - MCVOY, ROBERT ACCOUNT #: LSR010916	AMERICAN FUNDS BALANCED PORT CL C BUY 1 Units @0.0000	0.00	4.62	0.00	4.62	0.0	0.00
10/19/2018	***-**-15IN - PENDRAK, JOHN ACCOUNT #: LSR010948	AMERICAN FUNDS BALANCED PORT CL C BUY 1 Units @0.0000	0.00	11.79	0.00	11.79	0.0	0.00
10/19/2018	***-**-959I - FRANZ, PAUL ACCOUNT #: LSR010959	AMERICAN FUNDS BALANCED PORT CL C BUY 1 Units @0.0000	0.00	10.36	0.00	10.36	0.0	0.00
10/19/2018	***-**-567I - FRANZ, ALICE ACCOUNT #: LSR010960	AMERICAN FUNDS BALANCED PORT CL C BUY 1 Units @0.0000	0.00	6.96	0.00	6.96	0.0	0.00
10/19/2018	***-**-960J - MASTRANGELO, ACCOUNT #: LSR010966	AMERICAN FUNDS BALANCED PORT CL C BUY 1 Units @0.0000	0.00	11.69	0.00	11.69	0.0	0.00
10/19/2018	***-**-73TR - WESTCOTT IRRVOC ACCOUNT #: LSR011001	AMERICAN FUNDS BALANCED PORT CL C BUY 1 Units @0.0000	0.00	7.78	0.00	7.78	0.0	0.00
10/19/2018	***-**-51IO - CAIN, TIMOTHY ACCOUNT #: LSR011007	AMERICAN FUNDS BALANCED PORT CL C BUY 1 Units @0.0000	0.00	11.64	0.00	11.64	0.0	0.00
10/19/2018	***-**-169I - EVANS, PAUL ACCOUNT #: LSR011026	AMERICAN FUNDS BALANCED PORT CL C BUY 1 Units @0.0000	0.00	5.38	0.00	5.38	0.0	0.00



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
10/19/2018	***-**-73UT - COBB, CHRISTIAN	AMERICAN FUNDS BALANCED PORT CL C	0.00	5.35	0.00	5.35	0.0	0.00
	ACCOUNT #: LSR011104	BUY 1 Units @0.0000						
10/19/2018	***-**-67UT - COBB,	AMERICAN FUNDS BALANCED PORT CL C	0.00	5.35	0.00	5.35	0.0	0.00
	ACCOUNT #: LSR011105	BUY 1 Units @0.0000						
10/19/2018	***-**-13IN - RHYMESTINE,	AMERICAN FUNDS BALANCED PORT CL C	0.00	2.56	0.00	2.56	0.0	0.00
	ACCOUNT #: LSR011106	BUY 1 Units @0.0000						
10/19/2018	***-**-89IN - LEE, ROGER	AMERICAN FUNDS BALANCED PORT CL C	0.00	7.34	0.00	7.34	0.0	0.00
	ACCOUNT #: LSR011166	BUY 1 Units @0.0000						
10/19/2018	***-**-31IO - WILLIAMSON, FBO	AMERICAN FUNDS BALANCED PORT CL C	0.00	14.07	0.00	14.07	0.0	0.00
	ACCOUNT #: LSR011172	BUY 1 Units @0.0000						
10/19/2018	***-**-64IO - PFAFF, GEORGE	AMERICAN FUNDS BALANCED PORT CL C	0.00	4.94	0.00	4.94	0.0	0.00
	ACCOUNT #: LSR011185	BUY 1 Units @0.0000						
10/19/2018	***-**-900J - LEE, MR.	AMERICAN FUNDS BALANCED PORT CL C	0.00	5.10	0.00	5.10	0.0	0.00
	ACCOUNT #: LSR011186	BUY 1 Units @0.0000						
10/19/2018	***-**-62IR - ROBBIANO, FBO	AMERICAN FUNDS BALANCED PORT CL C	0.00	3.60	0.00	3.60	0.0	0.00
	ACCOUNT #: LSR011195	BUY 1 Units @0.0000						
10/19/2018	***-**-02IN - BUSHEY, MELISSA	AMERICAN FUNDS BALANCED PORT CL C	0.00	3.62	0.00	3.62	0.0	0.00
	ACCOUNT #: LSR011257	BUY 1 Units @0.0000						
10/19/2018	***-**-653I - KOCHER, CLINTON	AMERICAN FUNDS BALANCED PORT CL C	0.00	3.66	0.00	3.66	0.0	0.00
	ACCOUNT #: LSR011300	BUY 1 Units @0.0000						
10/19/2018	***-**-851K - LALLIER, JAMES	AMERICAN FUNDS BALANCED PORT CL C	0.00	11.47	0.00	11.47	0.0	0.00
	ACCOUNT #: LSR012645	BUY 1 Units @0.0000						
10/19/2018	***-**-62IR - ROBBIANO, FBO	AMERICAN FUNDS GLBL GROWTH PORT CL	0.00	3.37	0.00	3.37	0.0	0.00
	ACCOUNT #: LSR011195	BUY 1 Units @0.0000						
10/19/2018	***-**-851K - LALLIER, JAMES	AMERICAN FUNDS GLBL GROWTH PORT CL	0.00	2.02	0.00	2.02	0.0	0.00
	ACCOUNT #: LSR012645	BUY 1 Units @0.0000						
10/19/2018	***-**-87IN - HINCKLEY,	AMERICAN FUNDS MORTGAGE FD CL C	0.00	6.25	0.00	6.25	0.0	0.00
	ACCOUNT #: LSR010834	BUY 1 Units @0.0000						
10/19/2018	***-**-287J - HINCKLEY,	AMERICAN FUNDS MORTGAGE FD CL C	0.00	6.70	0.00	6.70	0.0	0.00
	ACCOUNT #: LSR010841	BUY 1 Units @0.0000						
10/19/2018	***-**-881I - EBERLEY, SUSAN	AMERICAN FUNDS MORTGAGE FD CL C	0.00	7.07	0.00	7.07	0.0	0.00
	ACCOUNT #: LSR010858	BUY 1 Units @0.0000						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
10/19/2018	***-**-382I - SATTERLY, NEIL	AMERICAN FUNDS MORTGAGE FD CL C	0.00	8.23	0.00	8.23	0.0	0.00
	ACCOUNT #: LSR010867	BUY 1 Units @0.0000						
10/19/2018	***-**-980I - ACEE, ELIZABETH	AMERICAN FUNDS MORTGAGE FD CL C	0.00	12.46	0.00	12.46	0.0	0.00
	ACCOUNT #: LSR010885	BUY 1 Units @0.0000						
10/19/2018	***-**-48IO - CLARK, PATRICK	AMERICAN FUNDS MORTGAGE FD CL C	0.00	12.37	0.00	12.37	0.0	0.00
	ACCOUNT #: LSR010911	BUY 1 Units @0.0000						
10/19/2018	***-**-31IO - HARTZ, CLAUDIA	AMERICAN FUNDS MORTGAGE FD CL C	0.00	4.77	0.00	4.77	0.0	0.00
	ACCOUNT #: LSR010915	BUY 1 Units @0.0000						
10/19/2018	***-**-72IN - GAVALO, JULIE	AMERICAN FUNDS MORTGAGE FD CL C	0.00	12.43	0.00	12.43	0.0	0.00
	ACCOUNT #: LSR010921	BUY 1 Units @0.0000						
10/19/2018	***-**-959I - FRANZ, PAUL	AMERICAN FUNDS MORTGAGE FD CL C	0.00	9.94	0.00	9.94	0.0	0.00
	ACCOUNT #: LSR010959	BUY 1 Units @0.0000						
10/19/2018	***-**-065I - LAZIO, THOMAS	AMERICAN FUNDS MORTGAGE FD CL C	0.00	7.43	0.00	7.43	0.0	0.00
	ACCOUNT #: LSR010979	BUY 1 Units @0.0000						
10/19/2018	***-**-80IN - COBB, JAMES	AMERICAN FUNDS MORTGAGE FD CL C	0.00	8.21	0.00	8.21	0.0	0.00
	ACCOUNT #: LSR011042	BUY 1 Units @0.0000						
10/19/2018	***-**-00IO - LEE, GARY	AMERICAN FUNDS MORTGAGE FD CL C	0.00	8.33	0.00	8.33	0.0	0.00
	ACCOUNT #: LSR011059	BUY 1 Units @0.0000						
10/19/2018	***-**-44IO - MAYO, DEBORAH	AMERICAN FUNDS MORTGAGE FD CL C	0.00	28.58	0.00	28.58	0.0	0.00
	ACCOUNT #: LSR011079	BUY 1 Units @0.0000						
10/19/2018	***-**-579J - RHYMESTINE,	AMERICAN FUNDS MORTGAGE FD CL C	0.00	0.82	0.00	0.82	0.0	0.00
	ACCOUNT #: LSR011081	BUY 1 Units @0.0000						
10/19/2018	***-**-09IO - BATES, FBO MRS	AMERICAN FUNDS MORTGAGE FD CL C	0.00	21.30	0.00	21.30	0.0	0.00
	ACCOUNT #: LSR011117	BUY 1 Units @0.0000						
10/19/2018	***-**-48IO - ANACKER, FBO MRS	AMERICAN FUNDS MORTGAGE FD CL C	0.00	6.20	0.00	6.20	0.0	0.00
	ACCOUNT #: LSR011164	BUY 1 Units @0.0000						
10/19/2018	***-**-89IN - LEE, ROGER	AMERICAN FUNDS MORTGAGE FD CL C	0.00	13.28	0.00	13.28	0.0	0.00
	ACCOUNT #: LSR011166	BUY 1 Units @0.0000						
10/19/2018	***-**-094I - KATRENA L	AMERICAN FUNDS MORTGAGE FD CL C	0.00	2.89	0.00	2.89	0.0	0.00
	ACCOUNT #: LSR011188	BUY 1 Units @0.0000						
10/19/2018	***-**-439J - MCCARTHY, JAMES	AMERICAN FUNDS MORTGAGE FD CL C	0.00	2.41	0.00	2.41	0.0	0.00
	ACCOUNT #: LSR011205	BUY 1 Units @0.0000						



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BRANCH #01047 - 47 - GRIFFITH

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
10/19/2018	***-**-52IO - EUSEPI, SUSAN	AMERICAN FUNDS MORTGAGE FD CL C	0.00	2.86	0.00	2.86	0.0	0.00
	ACCOUNT #: LSR011219	BUY 1 Units @0.0000						
10/19/2018	***-**-473J - HUSTON,	AMERICAN FUNDS MORTGAGE FD CL C	0.00	8.29	0.00	8.29	0.0	0.00
	ACCOUNT #: LSR011228	BUY 1 Units @0.0000						
10/19/2018	***-**-80IO - EVANS, RICHARD	AMERICAN FUNDS MORTGAGE FD CL C	0.00	6.56	0.00	6.56	0.0	0.00
	ACCOUNT #: LSR011276	BUY 1 Units @0.0000						
10/19/2018	***-**-376I - BERBEN, GAIL	AMERICAN FUNDS MORTGAGE FD CL C	0.00	3.96	0.00	3.96	0.0	0.00
	ACCOUNT #: LSR011380	BUY 1 Units @0.0000						
10/19/2018	***-**-21IO - RADELL, SANDRA	AMERICAN FUNDS MORTGAGE FD CL C	0.00	8.04	0.00	8.04	0.0	0.00
	ACCOUNT #: LSR011392	BUY 1 Units @0.0000						
10/19/2018	***-**-45IO - JOHNSON, GREGORY	AMERICAN FUNDS MORTGAGE FD CL C	0.00	16.08	0.00	16.08	0.0	0.00
	ACCOUNT #: LSR011421	BUY 1 Units @0.0000						
10/19/2018	***-**-99IN - EDELMAN, TINA	AMERICAN FUNDS MORTGAGE FD CL C	0.00	5.99	0.00	5.99	0.0	0.00
	ACCOUNT #: LSR011956	BUY 1 Units @0.0000						
10/19/2018	***-**-79TR - OR CYNTHIA	AMERICAN FUNDS MORTGAGE FD CL C	0.00	7.35	0.00	7.35	0.0	0.00
	ACCOUNT #: LSR012749	BUY 1 Units @0.0000						
10/19/2018	***-**-420T - DEMETRI, AMELIA	AMERICAN FUNDS PRESERVATION PORT C	0.00	4.09	0.00	4.09	0.0	0.00
	ACCOUNT #: LSR010994	BUY 1 Units @0.0000						
10/19/2018	***-**-881J - EBERLEY, SUSAN	AMERICAN GLOBAL BALANCED CL C	0.00	8.41	0.00	8.41	0.0	0.00
	ACCOUNT #: LSR010856	BUY 1 Units @0.0000						
10/19/2018	***-**-382I - SATTERLY, NEIL	AMERICAN GLOBAL BALANCED CL C	0.00	11.00	0.00	11.00	0.0	0.00
	ACCOUNT #: LSR010867	BUY 1 Units @0.0000						
10/19/2018	***-**-382K - SATTERLY, NEIL	AMERICAN GLOBAL BALANCED CL C	0.00	4.07	0.00	4.07	0.0	0.00
	ACCOUNT #: LSR010875	BUY 1 Units @0.0000						
10/19/2018	***-**-980I - ACEE, ELIZABETH	AMERICAN GLOBAL BALANCED CL C	0.00	13.75	0.00	13.75	0.0	0.00
	ACCOUNT #: LSR010885	BUY 1 Units @0.0000						
10/19/2018	***-**-48IO - CLARK, PATRICK	AMERICAN GLOBAL BALANCED CL C	0.00	10.82	0.00	10.82	0.0	0.00
	ACCOUNT #: LSR010911	BUY 1 Units @0.0000						
10/19/2018	***-**-72IN - GAVALO, JULIE	AMERICAN GLOBAL BALANCED CL C	0.00	10.50	0.00	10.50	0.0	0.00
	ACCOUNT #: LSR010921	BUY 1 Units @0.0000						
10/19/2018	***-**-065I - LAZIO, THOMAS	AMERICAN GLOBAL BALANCED CL C	0.00	7.25	0.00	7.25	0.0	0.00
	ACCOUNT #: LSR010979	BUY 1 Units @0.0000						



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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
10/19/2018	***-**-420T - DEMETRI, AMELIA	AMERICAN GLOBAL BALANCED CL C	0.00	5.97	0.00	5.97	0.0	0.00
	ACCOUNT #: LSR010994	BUY 1 Units @0.0000						
10/19/2018	***-**-73TR - WESTCOTT IRRVOC	AMERICAN GLOBAL BALANCED CL C	0.00	10.31	0.00	10.31	0.0	0.00
	ACCOUNT #: LSR011001	BUY 1 Units @0.0000						
10/19/2018	***-**-73TR - WESTCOTT IRRVOC	AMERICAN GLOBAL BALANCED CL C	0.00	23.88	0.00	23.88	0.0	0.00
	ACCOUNT #: LSR011008	BUY 1 Units @0.0000						
10/19/2018	***-**-80IN - COBB, JAMES	AMERICAN GLOBAL BALANCED CL C	0.00	7.69	0.00	7.69	0.0	0.00
	ACCOUNT #: LSR011042	BUY 1 Units @0.0000						
10/19/2018	***-**-00IO - LEE, GARY	AMERICAN GLOBAL BALANCED CL C	0.00	12.82	0.00	12.82	0.0	0.00
	ACCOUNT #: LSR011059	BUY 1 Units @0.0000						
10/19/2018	***-**-44IO - MAYO, DEBORAH	AMERICAN GLOBAL BALANCED CL C	0.00	32.09	0.00	32.09	0.0	0.00
	ACCOUNT #: LSR011079	BUY 1 Units @0.0000						
10/19/2018	***-**-09IO - BATES, FBO MRS	AMERICAN GLOBAL BALANCED CL C	0.00	16.21	0.00	16.21	0.0	0.00
	ACCOUNT #: LSR011117	BUY 1 Units @0.0000						
10/19/2018	***-**-094I - KATRENA L	AMERICAN GLOBAL BALANCED CL C	0.00	7.27	0.00	7.27	0.0	0.00
	ACCOUNT #: LSR011188	BUY 1 Units @0.0000						
10/19/2018	***-**-11IO - LYNN G.	AMERICAN GLOBAL BALANCED CL C	0.00	16.18	0.00	16.18	0.0	0.00
	ACCOUNT #: LSR011239	BUY 1 Units @0.0000						
10/19/2018	***-**-07IO - FAMOLARO, JAMES	AMERICAN GLOBAL BALANCED CL C	0.00	5.51	0.00	5.51	0.0	0.00
	ACCOUNT #: LSR011280	BUY 1 Units @0.0000						
10/19/2018	***-**-376I - BERBEN, GAIL	AMERICAN GLOBAL BALANCED CL C	0.00	9.20	0.00	9.20	0.0	0.00
	ACCOUNT #: LSR011380	BUY 1 Units @0.0000						
10/19/2018	***-**-21IO - RADELL, SANDRA	AMERICAN GLOBAL BALANCED CL C	0.00	5.55	0.00	5.55	0.0	0.00
	ACCOUNT #: LSR011392	BUY 1 Units @0.0000						
10/19/2018	***-**-45IO - JOHNSON, GREGORY	AMERICAN GLOBAL BALANCED CL C	0.00	10.15	0.00	10.15	0.0	0.00
	ACCOUNT #: LSR011421	BUY 1 Units @0.0000						
10/19/2018	***-**-14IO - BUSHEY, MATTHEW	AMERICAN GLOBAL BALANCED CL C	0.00	16.59	0.00	16.59	0.0	0.00
	ACCOUNT #: LSR011498	BUY 1 Units @0.0000						
10/19/2018	***-**-37IO - MCCLUSKY, MARK	AMERICAN GLOBAL BALANCED CL C	0.00	9.06	0.00	9.06	0.0	0.00
	ACCOUNT #: LSR011579	BUY 1 Units @0.0000						
10/19/2018	***-**-86IN - LEE, KEVIN	AMERICAN GLOBAL BALANCED CL C	0.00	8.09	0.00	8.09	0.0	0.00
	ACCOUNT #: LSR011613	BUY 1 Units @0.0000						



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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
10/19/2018	***-**-03IO - MASTRANGELO, ACCOUNT #: LSR011679	AMERICAN GLOBAL BALANCED CL C BUY 1 Units @0.0000	0.00	9.15	0.00	9.15	0.0	0.00
10/19/2018	***-**-51IO - SCALISE, MARY ACCOUNT #: LSR011837	AMERICAN GLOBAL BALANCED CL C BUY 1 Units @0.0000	0.00	7.38	0.00	7.38	0.0	0.00
10/19/2018	***-**-99IN - EDELMAN, TINA ACCOUNT #: LSR011956	AMERICAN GLOBAL BALANCED CL C BUY 1 Units @0.0000	0.00	6.29	0.00	6.29	0.0	0.00
10/19/2018	***-**-702I - KOCHEM, MICHAEL ACCOUNT #: LSR010954	AMERICAN GLOBAL BALANCED CLASS A BUY 1 Units @0.0000	0.00	2.52	0.00	2.52	0.0	0.00
10/19/2018	***-**-63TR - EVANS, AUDREY J ACCOUNT #: LSR011036	AMERICAN GLOBAL BALANCED CLASS A BUY 1 Units @0.0000	0.00	5.80	0.00	5.80	0.0	0.00
10/19/2018	***-**-30TR - AND SANDRA ACCOUNT #: LSR011939	AMERICAN GLOBAL BALANCED CLASS A BUY 1 Units @0.0000	0.00	1.49	0.00	1.49	0.0	0.00
10/19/2018	***-**-287I - HINCKLEY, ACCOUNT #: LSR010843	AMERICAN MUTUAL FUND-A BUY 1 Units @0.0000	0.00	5.57	0.00	5.57	0.0	0.00
10/19/2018	***-**-05IN - GATES, ROGER ACCOUNT #: LSR012771	AMERICAN MUTUAL FUND-C BUY 1 Units @0.0000	0.00	6.76	0.00	6.76	0.0	0.00
10/19/2018	***-**-13IN - GRUENEWALD, ACCOUNT #: LSR011210	AMERICAN WASHINGTON MUTUAL INVESTOR BUY 1 Units @0.0000	0.00	0.35	0.00	0.35	0.0	0.00
10/19/2018	***-**-254I - AUGUSTINE, LINDA ACCOUNT #: LSR010846	CAPITAL INCOME BUILDER CLASS C BUY 1 Units @0.0000	0.00	4.93	0.00	4.93	0.0	0.00
10/19/2018	***-**-881J - EBERLEY, SUSAN ACCOUNT #: LSR010856	CAPITAL INCOME BUILDER CLASS C BUY 1 Units @0.0000	0.00	4.72	0.00	4.72	0.0	0.00
10/19/2018	***-**-382I - SATTERLY, NEIL ACCOUNT #: LSR010867	CAPITAL INCOME BUILDER CLASS C BUY 1 Units @0.0000	0.00	14.13	0.00	14.13	0.0	0.00
10/19/2018	***-**-949I - ACEE, JOSPEH ACCOUNT #: LSR010908	CAPITAL INCOME BUILDER CLASS C BUY 1 Units @0.0000	0.00	4.62	0.00	4.62	0.0	0.00
10/19/2018	***-**-31IO - HARTZ, CLAUDIA ACCOUNT #: LSR010915	CAPITAL INCOME BUILDER CLASS C BUY 1 Units @0.0000	0.00	5.19	0.00	5.19	0.0	0.00
10/19/2018	***-**-15IN - PENDRAK, JOHN ACCOUNT #: LSR010948	CAPITAL INCOME BUILDER CLASS C BUY 1 Units @0.0000	0.00	8.53	0.00	8.53	0.0	0.00
10/19/2018	***-**-959I - FRANZ, PAUL ACCOUNT #: LSR010959	CAPITAL INCOME BUILDER CLASS C BUY 1 Units @0.0000	0.00	11.44	0.00	11.44	0.0	0.00



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
10/19/2018	***-**-960J - MASTRANGELO, ACCOUNT #: LSR010966	CAPITAL INCOME BUILDER CLASS C BUY 1 Units @0.0000	0.00	9.17	0.00	9.17	0.0	0.00
10/19/2018	***-**-065I - LAZIO, THOMAS ACCOUNT #: LSR010979	CAPITAL INCOME BUILDER CLASS C BUY 1 Units @0.0000	0.00	6.46	0.00	6.46	0.0	0.00
10/19/2018	***-**-51IO - CAIN, TIMOTHY ACCOUNT #: LSR011007	CAPITAL INCOME BUILDER CLASS C BUY 1 Units @0.0000	0.00	7.10	0.00	7.10	0.0	0.00
10/19/2018	***-**-63TR - EVANS, AUDREY J ACCOUNT #: LSR011036	CAPITAL INCOME BUILDER CLASS C BUY 1 Units @0.0000	0.00	5.06	0.00	5.06	0.0	0.00
10/19/2018	***-**-861I - SANGER, LAWRENCE ACCOUNT #: LSR011095	CAPITAL INCOME BUILDER CLASS C BUY 1 Units @0.0000	0.00	1.76	0.00	1.76	0.0	0.00
10/19/2018	***-**-13IN - RHYMESTINE, ACCOUNT #: LSR011106	CAPITAL INCOME BUILDER CLASS C BUY 1 Units @0.0000	0.00	4.38	0.00	4.38	0.0	0.00
10/19/2018	***-**-506J - CURRIERE JR, MR ACCOUNT #: LSR011121	CAPITAL INCOME BUILDER CLASS C BUY 1 Units @0.0000	0.00	3.74	0.00	3.74	0.0	0.00
10/19/2018	***-**-31IO - WILLIAMSON, FBO ACCOUNT #: LSR011172	CAPITAL INCOME BUILDER CLASS C BUY 1 Units @0.0000	0.00	12.48	0.00	12.48	0.0	0.00
10/19/2018	***-**-62IR - ROBBIANO, FBO ACCOUNT #: LSR011195	CAPITAL INCOME BUILDER CLASS C BUY 1 Units @0.0000	0.00	6.77	0.00	6.77	0.0	0.00
10/19/2018	***-**-02IN - BUSHEY, MELISSA ACCOUNT #: LSR011257	CAPITAL INCOME BUILDER CLASS C BUY 1 Units @0.0000	0.00	2.77	0.00	2.77	0.0	0.00
10/19/2018	***-**-851K - LALLIER, JAMES ACCOUNT #: LSR012645	CAPITAL INCOME BUILDER CLASS C BUY 1 Units @0.0000	0.00	10.81	0.00	10.81	0.0	0.00
10/19/2018	***-**-287I - HINCKLEY, ACCOUNT #: LSR010843	CAPITAL INCOME BUILDER-A BUY 1 Units @0.0000	0.00	3.94	0.00	3.94	0.0	0.00
10/19/2018	***-**-702I - KOCHER, MICHAEL ACCOUNT #: LSR010954	CAPITAL INCOME BUILDER-A BUY 1 Units @0.0000	0.00	3.58	0.00	3.58	0.0	0.00
10/19/2018	***-**-366I - GRUENEWALD, ACCOUNT #: LSR010989	CAPITAL INCOME BUILDER-A BUY 1 Units @0.0000	0.00	2.06	0.00	2.06	0.0	0.00
10/19/2018	***-**-20IO - DEMETRI, AMELIA ACCOUNT #: LSR010995	CAPITAL INCOME BUILDER-A BUY 1 Units @0.0000	0.00	0.97	0.00	0.97	0.0	0.00
10/19/2018	***-**-579J - RHYMESTINE, ACCOUNT #: LSR011081	CAPITAL INCOME BUILDER-A BUY 1 Units @0.0000	0.00	0.21	0.00	0.21	0.0	0.00



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
10/19/2018	***-**-680I - HARRELL, DARYL	CAPITAL INCOME BUILDER-A	0.00	0.30	0.00	0.30	0.0	0.00
	ACCOUNT #: LSR011321	BUY 1 Units @0.0000						
10/19/2018	***-**-30TR - AND SANDRA	CAPITAL INCOME BUILDER-A	0.00	2.10	0.00	2.10	0.0	0.00
	ACCOUNT #: LSR011939	BUY 1 Units @0.0000						
10/19/2018	***-**-79TR - OR CYNTHIA	CAPITAL INCOME BUILDER-A	0.00	1.93	0.00	1.93	0.0	0.00
	ACCOUNT #: LSR012749	BUY 1 Units @0.0000						
10/19/2018	***-**-702I - KOCHER, MICHAEL	CAPITAL WORLD GROWTH AND INCOME FUN	0.00	3.64	0.00	3.64	0.0	0.00
	ACCOUNT #: LSR010954	BUY 1 Units @0.0000						
10/19/2018	***-**-20IO - DEMETRI, AMELIA	CAPITAL WORLD GROWTH AND INCOME FUN	0.00	1.52	0.00	1.52	0.0	0.00
	ACCOUNT #: LSR010995	BUY 1 Units @0.0000						
10/19/2018	***-**-579J - RHYMESTINE,	CAPITAL WORLD GROWTH AND INCOME FUN	0.00	0.18	0.00	0.18	0.0	0.00
	ACCOUNT #: LSR011081	BUY 1 Units @0.0000						
10/19/2018	***-**-326J - GRANDE, MR	CAPITAL WORLD GROWTH AND INCOME FUN	0.00	1.40	0.00	1.40	0.0	0.00
	ACCOUNT #: LSR011089	BUY 1 Units @0.0000						
10/19/2018	***-**-326I - GRANDE, FBO MR	CAPITAL WORLD GROWTH AND INCOME FUN	0.00	1.52	0.00	1.52	0.0	0.00
	ACCOUNT #: LSR011091	BUY 1 Units @0.0000						
10/19/2018	***-**-48IO - ANACKER, FBO MRS	CAPITAL WORLD GROWTH AND INCOME FUN	0.00	1.08	0.00	1.08	0.0	0.00
	ACCOUNT #: LSR011164	BUY 1 Units @0.0000						
10/19/2018	***-**-680I - HARRELL, DARYL	CAPITAL WORLD GROWTH AND INCOME FUN	0.00	1.37	0.00	1.37	0.0	0.00
	ACCOUNT #: LSR011321	BUY 1 Units @0.0000						
10/19/2018	***-**-128I - BASHANT, THOMAS	CAPITAL WORLD GROWTH AND INCOME FUN	0.00	1.48	0.00	1.48	0.0	0.00
	ACCOUNT #: LSR011387	BUY 1 Units @0.0000						
10/19/2018	***-**-30TR - AND SANDRA	CAPITAL WORLD GROWTH AND INCOME FUN	0.00	2.42	0.00	2.42	0.0	0.00
	ACCOUNT #: LSR011939	BUY 1 Units @0.0000						
10/19/2018	***-**-79TR - OR CYNTHIA	CAPITAL WORLD GROWTH AND INCOME FUN	0.00	1.59	0.00	1.59	0.0	0.00
	ACCOUNT #: LSR012749	BUY 1 Units @0.0000						
10/19/2018	***-**-44IO - MAYO, DEBORAH	CAPITAL WORLD GROWTH AND INCOME FUN	0.00	12.60	0.00	12.60	0.0	0.00
	ACCOUNT #: LSR011079	BUY 1 Units @0.0000						
10/19/2018	***-**-09IO - BATES, FBO MRS	CAPITAL WORLD GROWTH AND INCOME FUN	0.00	10.34	0.00	10.34	0.0	0.00
	ACCOUNT #: LSR011117	BUY 1 Units @0.0000						
10/19/2018	***-**-11IO - LYNN G.	CAPITAL WORLD GROWTH AND INCOME FUN	0.00	8.79	0.00	8.79	0.0	0.00
	ACCOUNT #: LSR011239	BUY 1 Units @0.0000						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
10/19/2018	***-**-45IO - JOHNSON, GREGORY	CAPITAL WORLD GROWTH AND INCOME FUN	0.00	7.74	0.00	7.74	0.0	0.00
	ACCOUNT #: LSR011421	BUY 1 Units @0.0000						
10/19/2018	***-**-71IO - FAMOLARO, JAMES	CLEARBRIDGE AGGRESSIVE GROWTH A	0.00	0.52	0.00	0.52	0.0	0.00
	ACCOUNT #: LSR011279	BUY 1 Units @0.0000						
10/19/2018	***-**-959I - FRANZ, PAUL	COLUMBIA MARSICO FOCUSED EQ CL A	0.00	0.25	0.00	0.25	0.0	0.00
	ACCOUNT #: LSR010959	BUY 1 Units @0.0000						
10/19/2018	***-**-15IN - PENDRAK, JOHN	EATON VANCE FLOATING RATE ADVANTAGE	0.00	13.82	0.00	13.82	0.0	0.00
	ACCOUNT #: LSR010948	BUY 1 Units @0.0000						
10/19/2018	***-**-287J - HINCKLEY,	EQUITY INCOME FUND, INC. A	0.00	0.34	0.00	0.34	0.0	0.00
	ACCOUNT #: LSR010841	BUY 1 Units @0.0000						
10/19/2018	***-**-254I - AUGUSTINE, LINDA	EQUITY INCOME FUND, INC. A	0.00	1.84	0.00	1.84	0.0	0.00
	ACCOUNT #: LSR010846	BUY 1 Units @0.0000						
10/19/2018	***-**-881J - EBERLEY, SUSAN	EQUITY INCOME FUND, INC. A	0.00	2.07	0.00	2.07	0.0	0.00
	ACCOUNT #: LSR010856	BUY 1 Units @0.0000						
10/19/2018	***-**-949I - ACEE, JOSPEH	EQUITY INCOME FUND, INC. A	0.00	2.58	0.00	2.58	0.0	0.00
	ACCOUNT #: LSR010908	BUY 1 Units @0.0000						
10/19/2018	***-**-15IN - PENDRAK, JOHN	EQUITY INCOME FUND, INC. A	0.00	1.92	0.00	1.92	0.0	0.00
	ACCOUNT #: LSR010948	BUY 1 Units @0.0000						
10/19/2018	***-**-702I - KOCHER, MICHAEL	EQUITY INCOME FUND, INC. A	0.00	2.09	0.00	2.09	0.0	0.00
	ACCOUNT #: LSR010954	BUY 1 Units @0.0000						
10/19/2018	***-**-959I - FRANZ, PAUL	EQUITY INCOME FUND, INC. A	0.00	2.31	0.00	2.31	0.0	0.00
	ACCOUNT #: LSR010959	BUY 1 Units @0.0000						
10/19/2018	***-**-567I - FRANZ, ALICE	EQUITY INCOME FUND, INC. A	0.00	6.11	0.00	6.11	0.0	0.00
	ACCOUNT #: LSR010960	BUY 1 Units @0.0000						
10/19/2018	***-**-960J - MASTRANGELO,	EQUITY INCOME FUND, INC. A	0.00	2.45	0.00	2.45	0.0	0.00
	ACCOUNT #: LSR010966	BUY 1 Units @0.0000						
10/19/2018	***-**-366I - GRUENEWALD,	EQUITY INCOME FUND, INC. A	0.00	1.03	0.00	1.03	0.0	0.00
	ACCOUNT #: LSR010989	BUY 1 Units @0.0000						
10/19/2018	***-**-51IO - CAIN, TIMOTHY	EQUITY INCOME FUND, INC. A	0.00	2.61	0.00	2.61	0.0	0.00
	ACCOUNT #: LSR011007	BUY 1 Units @0.0000						
10/19/2018	***-**-761I - EVANS, DOLORES	EQUITY INCOME FUND, INC. A	0.00	4.25	0.00	4.25	0.0	0.00
	ACCOUNT #: LSR011024	BUY 1 Units @0.0000						



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KURT GRUENEWALD
2108 Genesee St.
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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
10/19/2018	***-**-9440 - MAYO, DEBORAH	EQUITY INCOME FUND, INC. A	0.00	1.13	0.00	1.13	0.0	0.00
	ACCOUNT #: LSR011035	BUY 1 Units @0.0000						
10/19/2018	***-**-306X - COBB, CHERRYL	EQUITY INCOME FUND, INC. A	0.00	2.01	0.00	2.01	0.0	0.00
	ACCOUNT #: LSR011037	BUY 1 Units @0.0000						
10/19/2018	***-**-579I - RHYMESTINE,	EQUITY INCOME FUND, INC. A	0.00	1.75	0.00	1.75	0.0	0.00
	ACCOUNT #: LSR011082	BUY 1 Units @0.0000						
10/19/2018	***-**-861I - SANGER, LAWRENCE	EQUITY INCOME FUND, INC. A	0.00	0.92	0.00	0.92	0.0	0.00
	ACCOUNT #: LSR011095	BUY 1 Units @0.0000						
10/19/2018	***-**-506J - CURRIERE JR, MR	EQUITY INCOME FUND, INC. A	0.00	1.14	0.00	1.14	0.0	0.00
	ACCOUNT #: LSR011121	BUY 1 Units @0.0000						
10/19/2018	***-**-48IO - ANACKER, FBO MRS	EQUITY INCOME FUND, INC. A	0.00	1.72	0.00	1.72	0.0	0.00
	ACCOUNT #: LSR011164	BUY 1 Units @0.0000						
10/19/2018	***-**-64IO - PFAFF, GEORGE	EQUITY INCOME FUND, INC. A	0.00	2.15	0.00	2.15	0.0	0.00
	ACCOUNT #: LSR011185	BUY 1 Units @0.0000						
10/19/2018	***-**-62IR - ROBBIANO, FBO	EQUITY INCOME FUND, INC. A	0.00	1.54	0.00	1.54	0.0	0.00
	ACCOUNT #: LSR011195	BUY 1 Units @0.0000						
10/19/2018	***-**-653I - KOCHER, CLINTON	EQUITY INCOME FUND, INC. A	0.00	3.19	0.00	3.19	0.0	0.00
	ACCOUNT #: LSR011300	BUY 1 Units @0.0000						
10/19/2018	***-**-680I - HARRELL, DARYL	EQUITY INCOME FUND, INC. A	0.00	0.88	0.00	0.88	0.0	0.00
	ACCOUNT #: LSR011321	BUY 1 Units @0.0000						
10/19/2018	***-**-980I - ACEE, ELIZABETH	EQUITY INCOME FUND, INC. C	0.00	14.09	0.00	14.09	0.0	0.00
	ACCOUNT #: LSR010885	BUY 1 Units @0.0000						
10/19/2018	***-**-031O - MCVOY, ROBERT	EQUITY INCOME FUND, INC. C	0.00	6.36	0.00	6.36	0.0	0.00
	ACCOUNT #: LSR010916	BUY 1 Units @0.0000						
10/19/2018	***-**-00IO - LEE, GARY	EQUITY INCOME FUND, INC. C	0.00	14.03	0.00	14.03	0.0	0.00
	ACCOUNT #: LSR011059	BUY 1 Units @0.0000						
10/19/2018	***-**-714O - LINES, JUDITH	EQUITY INCOME FUND, INC. C	0.00	3.86	0.00	3.86	0.0	0.00
	ACCOUNT #: LSR011763	BUY 1 Units @0.0000						
10/19/2018	***-**-28IN - BYWATER, KIM	EQUITY INCOME FUND, INC. C	0.00	1.65	0.00	1.65	0.0	0.00
	ACCOUNT #: LSR011995	BUY 1 Units @0.0000						
10/19/2018	***-**-20IO - DEMETRI, AMELIA	EUROPACIFIC GROWTH FUND-A	0.00	1.49	0.00	1.49	0.0	0.00
	ACCOUNT #: LSR010995	BUY 1 Units @0.0000						



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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
10/19/2018	***-**-326I - GRANDE, FBO MR ACCOUNT #: LSR011091	EUROPACIFIC GROWTH FUND-A BUY 1 Units @0.0000	0.00	1.24	0.00	1.24	0.0	0.00
10/19/2018	***-**-680I - HARRELL, DARYL ACCOUNT #: LSR011321	EUROPACIFIC GROWTH FUND-A BUY 1 Units @0.0000	0.00	0.60	0.00	0.60	0.0	0.00
10/19/2018	***-**-111J - NESSIA, JAMES ACCOUNT #: LSR011054	FIDELITY ADV EMERGING MRKTS INC CL BUY 1 Units @0.0000	0.00	0.72	0.00	0.72	0.0	0.00
10/19/2018	***-**-62IN - EATON, DAVID ACCOUNT #: LSR011315	FIDELITY ADV EMERGING MRKTS INC CL BUY 1 Units @0.0000	0.00	1.11	0.00	1.11	0.0	0.00
10/19/2018	***-**-930I - SANGER, KEVIN ACCOUNT #: LSR010941	FIDELITY ADV EQUITY INCOME CL A BUY 1 Units @0.0000	0.00	2.19	0.00	2.19	0.0	0.00
10/19/2018	***-**-579I - RHYMESTINE, ACCOUNT #: LSR011082	FIDELITY ADV INDUSTRIALS-CL C BUY 1 Units @0.0000	0.00	14.93	0.00	14.93	0.0	0.00
10/19/2018	***-**-579I - RHYMESTINE, ACCOUNT #: LSR011082	FIDELITY ADV SMALL CAP CL C BUY 1 Units @0.0000	0.00	5.22	0.00	5.22	0.0	0.00
10/19/2018	***-**-579I - RHYMESTINE, ACCOUNT #: LSR011082	FIDELITY ADV STOCK SELECTOR ALL CAP BUY 1 Units @0.0000	0.00	5.12	0.00	5.12	0.0	0.00
10/19/2018	***-**-579I - RHYMESTINE, ACCOUNT #: LSR011082	FIDELITY ADVISOR EQUITY INCOME CL C BUY 1 Units @0.0000	0.00	20.65	0.00	20.65	0.0	0.00
10/19/2018	***-**-579I - RHYMESTINE, ACCOUNT #: LSR011082	FIDELITY ADVISOR INT'L DISCOVERY CL BUY 1 Units @0.0000	0.00	15.18	0.00	15.18	0.0	0.00
10/19/2018	***-**-579I - RHYMESTINE, ACCOUNT #: LSR011082	FIDELITY ADVISOR INTERMEDIATE BOND BUY 1 Units @0.0000	0.00	8.02	0.00	8.02	0.0	0.00
10/19/2018	***-**-02IN - BUSHEY, MELISSA ACCOUNT #: LSR011257	FIDELITY ADVISOR MORTGAGE SECS CL A BUY 1 Units @0.0000	0.00	0.24	0.00	0.24	0.0	0.00
10/19/2018	***-**-579I - RHYMESTINE, ACCOUNT #: LSR011082	FIDELITY ADVISOR MORTGAGE SECS CL C BUY 1 Units @0.0000	0.00	5.51	0.00	5.51	0.0	0.00
10/19/2018	***-**-44IO - MAYO, DEBORAH ACCOUNT #: LSR011079	FRANKLIN BIOTECH DISCOVERY FUND CL BUY 1 Units @0.0000	0.00	7.83	0.00	7.83	0.0	0.00
10/19/2018	***-**-382I - SATTERLY, NEIL ACCOUNT #: LSR010867	FRANKLIN CONVERTIBLE SECURITIES CLA BUY 1 Units @0.0000	0.00	9.87	0.00	9.87	0.0	0.00
10/19/2018	***-**-86IN - LEE, KEVIN ACCOUNT #: LSR011613	FRANKLIN GROWTH FUND CLASS A BUY 1 Units @0.0000	0.00	2.27	0.00	2.27	0.0	0.00



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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
10/19/2018	***-**-86IN - LEE, KEVIN	FRANKLIN INCOME FUND CLASS A	0.00	1.21	0.00	1.21	0.0	0.00
	ACCOUNT #: LSR011613	BUY 1 Units @0.0000						
10/19/2018	***-**-959J - FRANZ, PAUL	FRANKLIN INCOME FUND CLASS C	0.00	3.86	0.00	3.86	0.0	0.00
	ACCOUNT #: LSR010958	BUY 1 Units @0.0000						
10/19/2018	***-**-61IN - EVANS, DOLORES	FRANKLIN INCOME FUND CLASS C	0.00	0.69	0.00	0.69	0.0	0.00
	ACCOUNT #: LSR011023	BUY 1 Units @0.0000						
10/19/2018	***-**-44IO - MAYO, DEBORAH	FRANKLIN INCOME FUND CLASS C	0.00	5.68	0.00	5.68	0.0	0.00
	ACCOUNT #: LSR011079	BUY 1 Units @0.0000						
10/19/2018	***-**-09IO - BATES, FBO MRS	FRANKLIN INCOME FUND CLASS C	0.00	7.27	0.00	7.27	0.0	0.00
	ACCOUNT #: LSR011117	BUY 1 Units @0.0000						
10/19/2018	***-**-11IO - LYNN G.	FRANKLIN INCOME FUND CLASS C	0.00	9.68	0.00	9.68	0.0	0.00
	ACCOUNT #: LSR011239	BUY 1 Units @0.0000						
10/19/2018	***-**-376I - BERBEN, GAIL	FRANKLIN INCOME FUND CLASS C	0.00	3.49	0.00	3.49	0.0	0.00
	ACCOUNT #: LSR011380	BUY 1 Units @0.0000						
10/19/2018	***-**-45IO - JOHNSON, GREGORY	FRANKLIN INCOME FUND CLASS C	0.00	4.78	0.00	4.78	0.0	0.00
	ACCOUNT #: LSR011421	BUY 1 Units @0.0000						
10/19/2018	***-**-531J - WILLIAMSON,	FRANKLIN INCOME FUND CLASS C	0.00	2.65	0.00	2.65	0.0	0.00
	ACCOUNT #: LSR011716	BUY 1 Units @0.0000						
10/19/2018	***-**-43IN - FRANZ, WAYNE	FRANKLIN INCOME FUND CLASS C	0.00	19.29	0.00	19.29	0.0	0.00
	ACCOUNT #: LSR012636	BUY 1 Units @0.0000						
10/19/2018	***-**-663I - LASCALA, DEBORAH	FRANKLIN INCOME FUND CLASS C	0.00	0.03	0.00	0.03	0.0	0.00
	ACCOUNT #: LSR012790	BUY 1 Units @0.0000						
10/19/2018	***-**-59IN - FRANZ, PAUL	FRANKLIN INCOME FUND CLASS C	0.00	15.44	0.00	15.44	0.0	0.00
	ACCOUNT #: LSR012837	BUY 1 Units @0.0000						
10/19/2018	***-**-065I - LAZIO, THOMAS	FRK GROWTH OPPORTUNITIES CL C	0.00	2.33	0.00	2.33	0.0	0.00
	ACCOUNT #: LSR010979	BUY 1 Units @0.0000						
10/19/2018	***-**-45IO - JOHNSON, GREGORY	FRK GROWTH OPPORTUNITIES CL C	0.00	3.56	0.00	3.56	0.0	0.00
	ACCOUNT #: LSR011421	BUY 1 Units @0.0000						
10/19/2018	***-**-065I - LAZIO, THOMAS	FRANKLN BALANCE SHEET INVTMNT FND -	0.00	8.37	0.00	8.37	0.0	0.00
	ACCOUNT #: LSR010979	BUY 1 Units @0.0000						
10/19/2018	***-**-702I - KOCHER, MICHAEL	FUNDAMENTAL INVESTORS-A	0.00	2.25	0.00	2.25	0.0	0.00
	ACCOUNT #: LSR010954	BUY 1 Units @0.0000						



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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
10/19/2018	***-**-366S - GRUENEWALD, ACCOUNT #: LSR010990	FUNDAMENTAL INVESTORS-A BUY 1 Units @0.0000	0.00	1.03	0.00	1.03	0.0	0.00
10/19/2018	***-**-579J - RHYMESTINE, ACCOUNT #: LSR011081	FUNDAMENTAL INVESTORS-A BUY 1 Units @0.0000	0.00	0.11	0.00	0.11	0.0	0.00
10/19/2018	***-**-326I - GRANDE, FBO MR ACCOUNT #: LSR011091	FUNDAMENTAL INVESTORS-A BUY 1 Units @0.0000	0.00	2.01	0.00	2.01	0.0	0.00
10/19/2018	***-**-680I - HARRELL, DARYL ACCOUNT #: LSR011321	FUNDAMENTAL INVESTORS-A BUY 1 Units @0.0000	0.00	1.44	0.00	1.44	0.0	0.00
10/19/2018	***-**-128I - BASHANT, THOMAS ACCOUNT #: LSR011387	FUNDAMENTAL INVESTORS-A BUY 1 Units @0.0000	0.00	1.28	0.00	1.28	0.0	0.00
10/19/2018	***-**-30TR - AND SANDRA ACCOUNT #: LSR011939	FUNDAMENTAL INVESTORS-A BUY 1 Units @0.0000	0.00	1.93	0.00	1.93	0.0	0.00
10/19/2018	***-**-79TR - OR CYNTHIA ACCOUNT #: LSR012749	FUNDAMENTAL INVESTORS-A BUY 1 Units @0.0000	0.00	1.03	0.00	1.03	0.0	0.00
10/19/2018	***-**-881J - EBERLEY, SUSAN ACCOUNT #: LSR010856	FUNDAMENTAL INVESTORS-C BUY 1 Units @0.0000	0.00	3.60	0.00	3.60	0.0	0.00
10/19/2018	***-**-382I - SATTERLY, NEIL ACCOUNT #: LSR010867	FUNDAMENTAL INVESTORS-C BUY 1 Units @0.0000	0.00	11.41	0.00	11.41	0.0	0.00
10/19/2018	***-**-949I - ACEE, JOSPEH ACCOUNT #: LSR010908	FUNDAMENTAL INVESTORS-C BUY 1 Units @0.0000	0.00	3.13	0.00	3.13	0.0	0.00
10/19/2018	***-**-31IO - HARTZ, CLAUDIA ACCOUNT #: LSR010915	FUNDAMENTAL INVESTORS-C BUY 1 Units @0.0000	0.00	2.96	0.00	2.96	0.0	0.00
10/19/2018	***-**-031O - MCVOY, ROBERT ACCOUNT #: LSR010916	FUNDAMENTAL INVESTORS-C BUY 1 Units @0.0000	0.00	5.42	0.00	5.42	0.0	0.00
10/19/2018	***-**-15IN - PENDRAK, JOHN ACCOUNT #: LSR010948	FUNDAMENTAL INVESTORS-C BUY 1 Units @0.0000	0.00	4.98	0.00	4.98	0.0	0.00
10/19/2018	***-**-959I - FRANZ, PAUL ACCOUNT #: LSR010959	FUNDAMENTAL INVESTORS-C BUY 1 Units @0.0000	0.00	11.80	0.00	11.80	0.0	0.00
10/19/2018	***-**-960J - MASTRANGELO, ACCOUNT #: LSR010966	FUNDAMENTAL INVESTORS-C BUY 1 Units @0.0000	0.00	8.30	0.00	8.30	0.0	0.00
10/19/2018	***-**-065I - LAZIO, THOMAS ACCOUNT #: LSR010979	FUNDAMENTAL INVESTORS-C BUY 1 Units @0.0000	0.00	5.01	0.00	5.01	0.0	0.00



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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
10/19/2018	***-**-51IO - CAIN, TIMOTHY	FUNDAMENTAL INVESTORS-C	0.00	5.40	0.00	5.40	0.0	0.00
	ACCOUNT #: LSR011007	BUY 1 Units @0.0000						
10/19/2018	***-**-761I - EVANS, DOLORES	FUNDAMENTAL INVESTORS-C	0.00	11.93	0.00	11.93	0.0	0.00
	ACCOUNT #: LSR011024	BUY 1 Units @0.0000						
10/19/2018	***-**-306X - COBB, CHERRYL	FUNDAMENTAL INVESTORS-C	0.00	5.86	0.00	5.86	0.0	0.00
	ACCOUNT #: LSR011037	BUY 1 Units @0.0000						
10/19/2018	***-**-861I - SANGER, LAWRENCE	FUNDAMENTAL INVESTORS-C	0.00	0.22	0.00	0.22	0.0	0.00
	ACCOUNT #: LSR011095	BUY 1 Units @0.0000						
10/19/2018	***-**-13IN - RHYMESTINE,	FUNDAMENTAL INVESTORS-C	0.00	3.61	0.00	3.61	0.0	0.00
	ACCOUNT #: LSR011106	BUY 1 Units @0.0000						
10/19/2018	***-**-09IO - BATES, FBO MRS	FUNDAMENTAL INVESTORS-C	0.00	11.45	0.00	11.45	0.0	0.00
	ACCOUNT #: LSR011117	BUY 1 Units @0.0000						
10/19/2018	***-**-506J - CURRIERE JR, MR	FUNDAMENTAL INVESTORS-C	0.00	4.81	0.00	4.81	0.0	0.00
	ACCOUNT #: LSR011121	BUY 1 Units @0.0000						
10/19/2018	***-**-48IO - ANACKER, FBO MRS	FUNDAMENTAL INVESTORS-C	0.00	5.14	0.00	5.14	0.0	0.00
	ACCOUNT #: LSR011164	BUY 1 Units @0.0000						
10/19/2018	***-**-89IN - LEE, ROGER	FUNDAMENTAL INVESTORS-C	0.00	5.71	0.00	5.71	0.0	0.00
	ACCOUNT #: LSR011166	BUY 1 Units @0.0000						
10/19/2018	***-**-31IO - WILLIAMSON, FBO	FUNDAMENTAL INVESTORS-C	0.00	7.61	0.00	7.61	0.0	0.00
	ACCOUNT #: LSR011172	BUY 1 Units @0.0000						
10/19/2018	***-**-64IO - PFAFF, GEORGE	FUNDAMENTAL INVESTORS-C	0.00	3.74	0.00	3.74	0.0	0.00
	ACCOUNT #: LSR011185	BUY 1 Units @0.0000						
10/19/2018	***-**-62IR - ROBBIANO, FBO	FUNDAMENTAL INVESTORS-C	0.00	3.32	0.00	3.32	0.0	0.00
	ACCOUNT #: LSR011195	BUY 1 Units @0.0000						
10/19/2018	***-**-11IO - LYNN G.	FUNDAMENTAL INVESTORS-C	0.00	9.83	0.00	9.83	0.0	0.00
	ACCOUNT #: LSR011239	BUY 1 Units @0.0000						
10/19/2018	***-**-653I - KOCHER, CLINTON	FUNDAMENTAL INVESTORS-C	0.00	9.05	0.00	9.05	0.0	0.00
	ACCOUNT #: LSR011300	BUY 1 Units @0.0000						
10/19/2018	***-**-376I - BERBEN, GAIL	FUNDAMENTAL INVESTORS-C	0.00	7.20	0.00	7.20	0.0	0.00
	ACCOUNT #: LSR011380	BUY 1 Units @0.0000						
10/19/2018	***-**-21IO - RADELL, SANDRA	FUNDAMENTAL INVESTORS-C	0.00	4.13	0.00	4.13	0.0	0.00
	ACCOUNT #: LSR011392	BUY 1 Units @0.0000						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
10/19/2018	***-**-45IO - JOHNSON, GREGORY	FUNDAMENTAL INVESTORS-C	0.00	8.82	0.00	8.82	0.0	0.00
	ACCOUNT #: LSR011421	BUY 1 Units @0.0000						
10/19/2018	***-**-14IO - BUSHEY, MATTHEW	FUNDAMENTAL INVESTORS-C	0.00	12.82	0.00	12.82	0.0	0.00
	ACCOUNT #: LSR011498	BUY 1 Units @0.0000						
10/19/2018	***-**-85IK - LALLIER, JAMES	FUNDAMENTAL INVESTORS-C	0.00	18.99	0.00	18.99	0.0	0.00
	ACCOUNT #: LSR012645	BUY 1 Units @0.0000						
10/19/2018	***-**-128I - BASHANT, THOMAS	GLOBAL FUND A	0.00	2.19	0.00	2.19	0.0	0.00
	ACCOUNT #: LSR011387	BUY 1 Units @0.0000						
10/19/2018	***-**-579J - RHYMESTINE,	GLOBAL GROWTH PORTFOLIO-A	0.00	0.09	0.00	0.09	0.0	0.00
	ACCOUNT #: LSR011081	BUY 1 Units @0.0000						
10/19/2018	***-**-79TR - OR CYNTHIA	GLOBAL GROWTH PORTFOLIO-A	0.00	0.79	0.00	0.79	0.0	0.00
	ACCOUNT #: LSR012749	BUY 1 Units @0.0000						
10/19/2018	***-**-094I - KATRENA L	GLOBAL OPPORTUNITIES FUND C	0.00	16.64	0.00	16.64	0.0	0.00
	ACCOUNT #: LSR011188	BUY 1 Units @0.0000						
10/19/2018	***-**-254I - AUGUSTINE, LINDA	GOLD & SPECIAL MINERALS A	0.00	0.26	0.00	0.26	0.0	0.00
	ACCOUNT #: LSR010846	BUY 1 Units @0.0000						
10/19/2018	***-**-881I - EBERLEY, SUSAN	GOLD & SPECIAL MINERALS A	0.00	0.14	0.00	0.14	0.0	0.00
	ACCOUNT #: LSR010858	BUY 1 Units @0.0000						
10/19/2018	***-**-949I - ACEE, JOSPEH	GOLD & SPECIAL MINERALS A	0.00	0.51	0.00	0.51	0.0	0.00
	ACCOUNT #: LSR010908	BUY 1 Units @0.0000						
10/19/2018	***-**-930I - SANGER, KEVIN	GOLD & SPECIAL MINERALS A	0.00	0.28	0.00	0.28	0.0	0.00
	ACCOUNT #: LSR010941	BUY 1 Units @0.0000						
10/19/2018	***-**-15IN - PENDRAK, JOHN	GOLD & SPECIAL MINERALS A	0.00	1.83	0.00	1.83	0.0	0.00
	ACCOUNT #: LSR010948	BUY 1 Units @0.0000						
10/19/2018	***-**-702J - KOCHEM, MICHAEL	GOLD & SPECIAL MINERALS A	0.00	0.20	0.00	0.20	0.0	0.00
	ACCOUNT #: LSR010955	BUY 1 Units @0.0000						
10/19/2018	***-**-959I - FRANZ, PAUL	GOLD & SPECIAL MINERALS A	0.00	0.48	0.00	0.48	0.0	0.00
	ACCOUNT #: LSR010959	BUY 1 Units @0.0000						
10/19/2018	***-**-61IN - EVANS, DOLORES	GOLD & SPECIAL MINERALS A	0.00	0.15	0.00	0.15	0.0	0.00
	ACCOUNT #: LSR011023	BUY 1 Units @0.0000						
10/19/2018	***-**-944O - MAYO, DEBORAH	GOLD & SPECIAL MINERALS A	0.00	0.46	0.00	0.46	0.0	0.00
	ACCOUNT #: LSR011035	BUY 1 Units @0.0000						



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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
10/19/2018	***-**-96IN - NESSIA, BONNIE	GOLD & SPECIAL MINERALS A	0.00	0.25	0.00	0.25	0.0	0.00
	ACCOUNT #: LSR011055	BUY 1 Units @0.0000						
10/19/2018	***-**-579I - RHYMESTINE,	GOLD & SPECIAL MINERALS A	0.00	0.46	0.00	0.46	0.0	0.00
	ACCOUNT #: LSR011082	BUY 1 Units @0.0000						
10/19/2018	***-**-13IN - RHYMESTINE,	GOLD & SPECIAL MINERALS A	0.00	0.30	0.00	0.30	0.0	0.00
	ACCOUNT #: LSR011106	BUY 1 Units @0.0000						
10/19/2018	***-**-76IO - MCALLISTER, FBO	GOLD & SPECIAL MINERALS A	0.00	0.29	0.00	0.29	0.0	0.00
	ACCOUNT #: LSR011107	BUY 1 Units @0.0000						
10/19/2018	***-**-367J - WAGNER, MRS LANT	GOLD & SPECIAL MINERALS A	0.00	0.26	0.00	0.26	0.0	0.00
	ACCOUNT #: LSR011134	BUY 1 Units @0.0000						
10/19/2018	***-**-48IO - ANACKER, FBO MRS	GOLD & SPECIAL MINERALS A	0.00	0.61	0.00	0.61	0.0	0.00
	ACCOUNT #: LSR011164	BUY 1 Units @0.0000						
10/19/2018	***-**-31IO - WILLIAMSON, FBO	GOLD & SPECIAL MINERALS A	0.00	1.17	0.00	1.17	0.0	0.00
	ACCOUNT #: LSR011172	BUY 1 Units @0.0000						
10/19/2018	***-**-664J - PFAFF, GEORGE	GOLD & SPECIAL MINERALS A	0.00	0.50	0.00	0.50	0.0	0.00
	ACCOUNT #: LSR011184	BUY 1 Units @0.0000						
10/19/2018	***-**-02IN - BUSHEY, MELISSA	GOLD & SPECIAL MINERALS A	0.00	0.10	0.00	0.10	0.0	0.00
	ACCOUNT #: LSR011257	BUY 1 Units @0.0000						
10/19/2018	***-**-62IN - EATON, DAVID	GOLD & SPECIAL MINERALS A	0.00	0.34	0.00	0.34	0.0	0.00
	ACCOUNT #: LSR011315	BUY 1 Units @0.0000						
10/19/2018	***-**-44IO - MAYO, DEBORAH	GRIFFIN INST ACCESS REAL ESTATE FD	0.00	9.54	0.00	9.54	0.0	0.00
	ACCOUNT #: LSR011079	BUY 1 Units @0.0000						
10/19/2018	***-**-44IO - MAYO, DEBORAH	GRIFFIN INST ACCESS REAL ESTATE FD	0.00	3.18	0.00	3.18	0.0	0.00
	ACCOUNT #: LSR011079	BUY 1 Units @0.0000						
10/19/2018	***-**-367J - WAGNER, MRS LANT	GROWTH FUND OF AMERICA CLASS F	0.00	3.48	0.00	3.48	0.0	0.00
	ACCOUNT #: LSR011134	BUY 1 Units @0.0000						
10/19/2018	***-**-702I - KOCHEM, MICHAEL	HARTFORD CHECKS AND BALANCED FUND C	0.00	1.37	0.00	1.37	0.0	0.00
	ACCOUNT #: LSR010954	BUY 1 Units @0.0000						
10/19/2018	***-**-366S - GRUENEWALD,	HARTFORD CHECKS AND BALANCED FUND C	0.00	0.47	0.00	0.47	0.0	0.00
	ACCOUNT #: LSR010990	BUY 1 Units @0.0000						
10/19/2018	***-**-680I - HARRELL, DARYL	HARTFORD CHECKS AND BALANCED FUND C	0.00	1.32	0.00	1.32	0.0	0.00
	ACCOUNT #: LSR011321	BUY 1 Units @0.0000						



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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
10/19/2018	***-**-30TR - AND SANDRA	HARTFORD CHECKS AND BALANCED FUND C	0.00	2.59	0.00	2.59	0.0	0.00
	ACCOUNT #: LSR011939	BUY 1 Units @0.0000						
10/19/2018	***-**-366S - GRUENEWALD,	HARTFORD INFLATION PLUS FUND CLASS	0.00	0.66	0.00	0.66	0.0	0.00
	ACCOUNT #: LSR010990	BUY 1 Units @0.0000						
10/19/2018	***-**-680I - HARRELL, DARYL	HARTFORD INFLATION PLUS FUND CLASS	0.00	1.71	0.00	1.71	0.0	0.00
	ACCOUNT #: LSR011321	BUY 1 Units @0.0000						
10/19/2018	***-**-287I - HINCKLEY,	INCOME FUND OF AMERICA CLASS C	0.00	3.56	0.00	3.56	0.0	0.00
	ACCOUNT #: LSR010843	BUY 1 Units @0.0000						
10/19/2018	***-**-980I - ACEE, ELIZABETH	INCOME FUND OF AMERICA CLASS C	0.00	12.00	0.00	12.00	0.0	0.00
	ACCOUNT #: LSR010885	BUY 1 Units @0.0000						
10/19/2018	***-**-72IN - GAVALO, JULIE	INCOME FUND OF AMERICA CLASS C	0.00	10.79	0.00	10.79	0.0	0.00
	ACCOUNT #: LSR010921	BUY 1 Units @0.0000						
10/19/2018	***-**-73TR - WESTCOTT IRRVOC	INCOME FUND OF AMERICA CLASS C	0.00	1.74	0.00	1.74	0.0	0.00
	ACCOUNT #: LSR011001	BUY 1 Units @0.0000						
10/19/2018	***-**-63TR - EVANS, AUDREY J	INCOME FUND OF AMERICA CLASS C	0.00	5.39	0.00	5.39	0.0	0.00
	ACCOUNT #: LSR011036	BUY 1 Units @0.0000						
10/19/2018	***-**-44IO - MAYO, DEBORAH	INCOME FUND OF AMERICA CLASS C	0.00	19.12	0.00	19.12	0.0	0.00
	ACCOUNT #: LSR011079	BUY 1 Units @0.0000						
10/19/2018	***-**-09IO - BATES, FBO MRS	INCOME FUND OF AMERICA CLASS C	0.00	31.84	0.00	31.84	0.0	0.00
	ACCOUNT #: LSR011117	BUY 1 Units @0.0000						
10/19/2018	***-**-11IO - LYNN G.	INCOME FUND OF AMERICA CLASS C	0.00	14.02	0.00	14.02	0.0	0.00
	ACCOUNT #: LSR011239	BUY 1 Units @0.0000						
10/19/2018	***-**-376I - BERBEN, GAIL	INCOME FUND OF AMERICA CLASS C	0.00	5.07	0.00	5.07	0.0	0.00
	ACCOUNT #: LSR011380	BUY 1 Units @0.0000						
10/19/2018	***-**-21IO - RADELL, SANDRA	INCOME FUND OF AMERICA CLASS C	0.00	4.87	0.00	4.87	0.0	0.00
	ACCOUNT #: LSR011392	BUY 1 Units @0.0000						
10/19/2018	***-**-45IO - JOHNSON, GREGORY	INCOME FUND OF AMERICA CLASS C	0.00	11.11	0.00	11.11	0.0	0.00
	ACCOUNT #: LSR011421	BUY 1 Units @0.0000						
10/19/2018	***-**-14IO - BUSHEY, MATTHEW	INCOME FUND OF AMERICA CLASS C	0.00	11.51	0.00	11.51	0.0	0.00
	ACCOUNT #: LSR011498	BUY 1 Units @0.0000						
10/19/2018	***-**-851K - LALLIER, JAMES	INCOME FUND OF AMERICA CLASS C	0.00	9.19	0.00	9.19	0.0	0.00
	ACCOUNT #: LSR012645	BUY 1 Units @0.0000						



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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
10/19/2018	***-**-702I - KOCHER, MICHAEL	INTERMEDIATE BOND FUND OF AMERICA-A	0.00	0.14	0.00	0.14	0.0	0.00
	ACCOUNT #: LSR010954	BUY 1 Units @0.0000						
10/19/2018	***-**-761I - EVANS, DOLORES	INTERMEDIATE BOND FUND OF AMERICA-C	0.00	5.30	0.00	5.30	0.0	0.00
	ACCOUNT #: LSR011024	BUY 1 Units @0.0000						
10/19/2018	***-**-881I - EBERLEY, SUSAN	INTERNATIONAL BOND A	0.00	0.63	0.00	0.63	0.0	0.00
	ACCOUNT #: LSR010858	BUY 1 Units @0.0000						
10/19/2018	***-**-567I - FRANZ, ALICE	INTERNATIONAL BOND A	0.00	2.34	0.00	2.34	0.0	0.00
	ACCOUNT #: LSR010960	BUY 1 Units @0.0000						
10/19/2018	***-**-761I - EVANS, DOLORES	INTERNATIONAL BOND A	0.00	3.16	0.00	3.16	0.0	0.00
	ACCOUNT #: LSR011024	BUY 1 Units @0.0000						
10/19/2018	***-**-664J - PFAFF, GEORGE	INTERNATIONAL BOND A	0.00	2.94	0.00	2.94	0.0	0.00
	ACCOUNT #: LSR011184	BUY 1 Units @0.0000						
10/19/2018	***-**-366S - GRUENEWALD,	INTERNATIONAL GROWTH AND INCOME-A	0.00	0.76	0.00	0.76	0.0	0.00
	ACCOUNT #: LSR010990	BUY 1 Units @0.0000						
10/19/2018	***-**-567I - FRANZ, ALICE	INTERNATIONAL GROWTH AND INCOME-C	0.00	12.43	0.00	12.43	0.0	0.00
	ACCOUNT #: LSR010960	BUY 1 Units @0.0000						
10/19/2018	***-**-851K - LALLIER, JAMES	INTERNATIONAL GROWTH AND INCOME-C	0.00	11.27	0.00	11.27	0.0	0.00
	ACCOUNT #: LSR012645	BUY 1 Units @0.0000						
10/19/2018	***-**-15IN - PENDRAK, JOHN	INTERNATIONAL SMALL COMPANY A	0.00	0.26	0.00	0.26	0.0	0.00
	ACCOUNT #: LSR010948	BUY 1 Units @0.0000						
10/19/2018	***-**-959I - FRANZ, PAUL	INTERNATIONAL SMALL COMPANY A	0.00	1.47	0.00	1.47	0.0	0.00
	ACCOUNT #: LSR010959	BUY 1 Units @0.0000						
10/19/2018	***-**-367J - WAGNER, MRS LANT	INTERNATIONAL SMALL COMPANY A	0.00	2.00	0.00	2.00	0.0	0.00
	ACCOUNT #: LSR011134	BUY 1 Units @0.0000						
10/19/2018	***-**-664J - PFAFF, GEORGE	INTERNATIONAL SMALL COMPANY A	0.00	0.99	0.00	0.99	0.0	0.00
	ACCOUNT #: LSR011184	BUY 1 Units @0.0000						
10/19/2018	***-**-80IN - COBB, JAMES	LOCORR SPECTRUM-NFS	0.00	1.52	0.00	1.52	0.0	0.00
	ACCOUNT #: LSR011042	BUY 1 Units @0.0000						
10/19/2018	***-**-45IO - JOHNSON, GREGORY	MAIN STREET FUND C	0.00	7.90	0.00	7.90	0.0	0.00
	ACCOUNT #: LSR011421	BUY 1 Units @0.0000						
10/19/2018	***-**-714O - LINES, JUDITH	MAIN STREET FUND C	0.00	4.09	0.00	4.09	0.0	0.00
	ACCOUNT #: LSR011763	BUY 1 Units @0.0000						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
10/19/2018	***-**-9440 - MAYO, DEBORAH	MFS AGGRESSIVE GROWTH ALLOCATION FD	0.00	1.09	0.00	1.09	0.0	0.00
	ACCOUNT #: LSR011035	BUY 1 Units @0.0000						
10/19/2018	***-**-131N - ROTH, KAREN	MFS BLENDED RESEARCH CORE EQUITY FD	0.00	1.36	0.00	1.36	0.0	0.00
	ACCOUNT #: LSR011954	BUY 1 Units @0.0000						
10/19/2018	***-**-881I - EBERLEY, SUSAN	MFS CONSERVATIVE ALLOCATION CL C	0.00	9.58	0.00	9.58	0.0	0.00
	ACCOUNT #: LSR010858	BUY 1 Units @0.0000						
10/19/2018	***-**-901I - SATTERLY, ANN	MFS CONSERVATIVE ALLOCATION CL C	0.00	9.50	0.00	9.50	0.0	0.00
	ACCOUNT #: LSR010874	BUY 1 Units @0.0000						
10/19/2018	***-**-382K - SATTERLY, NEIL	MFS CONSERVATIVE ALLOCATION CL C	0.00	4.31	0.00	4.31	0.0	0.00
	ACCOUNT #: LSR010875	BUY 1 Units @0.0000						
10/19/2018	***-**-48IO - CLARK, PATRICK	MFS CONSERVATIVE ALLOCATION CL C	0.00	18.19	0.00	18.19	0.0	0.00
	ACCOUNT #: LSR010911	BUY 1 Units @0.0000						
10/19/2018	***-**-031O - MCVOY, ROBERT	MFS CONSERVATIVE ALLOCATION CL C	0.00	4.46	0.00	4.46	0.0	0.00
	ACCOUNT #: LSR010916	BUY 1 Units @0.0000						
10/19/2018	***-**-72IN - GAVALO, JULIE	MFS CONSERVATIVE ALLOCATION CL C	0.00	17.29	0.00	17.29	0.0	0.00
	ACCOUNT #: LSR010921	BUY 1 Units @0.0000						
10/19/2018	***-**-959I - FRANZ, PAUL	MFS CONSERVATIVE ALLOCATION CL C	0.00	17.00	0.00	17.00	0.0	0.00
	ACCOUNT #: LSR010959	BUY 1 Units @0.0000						
10/19/2018	***-**-065I - LAZIO, THOMAS	MFS CONSERVATIVE ALLOCATION CL C	0.00	7.84	0.00	7.84	0.0	0.00
	ACCOUNT #: LSR010979	BUY 1 Units @0.0000						
10/19/2018	***-**-420T - DEMETRI, AMELIA	MFS CONSERVATIVE ALLOCATION CL C	0.00	3.04	0.00	3.04	0.0	0.00
	ACCOUNT #: LSR010994	BUY 1 Units @0.0000						
10/19/2018	***-**-73TR - WESTCOTT IRRVOC	MFS CONSERVATIVE ALLOCATION CL C	0.00	7.49	0.00	7.49	0.0	0.00
	ACCOUNT #: LSR011001	BUY 1 Units @0.0000						
10/19/2018	***-**-837O - BASEMENT	MFS CONSERVATIVE ALLOCATION CL C	0.00	4.87	0.00	4.87	0.0	0.00
	ACCOUNT #: LSR011046	BUY 1 Units @0.0000						
10/19/2018	***-**-09IO - BATES, FBO MRS	MFS CONSERVATIVE ALLOCATION CL C	0.00	14.76	0.00	14.76	0.0	0.00
	ACCOUNT #: LSR011117	BUY 1 Units @0.0000						
10/19/2018	***-**-89IN - LEE, ROGER	MFS CONSERVATIVE ALLOCATION CL C	0.00	17.69	0.00	17.69	0.0	0.00
	ACCOUNT #: LSR011166	BUY 1 Units @0.0000						
10/19/2018	***-**-900J - LEE, MR.	MFS CONSERVATIVE ALLOCATION CL C	0.00	4.29	0.00	4.29	0.0	0.00
	ACCOUNT #: LSR011186	BUY 1 Units @0.0000						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
10/19/2018	***-**-06IR - CAMPBELL, PAMELA	MFS CONSERVATIVE ALLOCATION CL C	0.00	6.42	0.00	6.42	0.0	0.00
	ACCOUNT #: LSR011222	BUY 1 Units @0.0000						
10/19/2018	***-**-11IO - LYNN G.	MFS CONSERVATIVE ALLOCATION CL C	0.00	14.02	0.00	14.02	0.0	0.00
	ACCOUNT #: LSR011239	BUY 1 Units @0.0000						
10/19/2018	***-**-80IO - EVANS, RICHARD	MFS CONSERVATIVE ALLOCATION CL C	0.00	9.59	0.00	9.59	0.0	0.00
	ACCOUNT #: LSR011276	BUY 1 Units @0.0000						
10/19/2018	***-**-376I - BERBEN, GAIL	MFS CONSERVATIVE ALLOCATION CL C	0.00	5.75	0.00	5.75	0.0	0.00
	ACCOUNT #: LSR011380	BUY 1 Units @0.0000						
10/19/2018	***-**-45IO - JOHNSON, GREGORY	MFS CONSERVATIVE ALLOCATION CL C	0.00	11.29	0.00	11.29	0.0	0.00
	ACCOUNT #: LSR011421	BUY 1 Units @0.0000						
10/19/2018	***-**-14IO - BUSHEY, MATTHEW	MFS CONSERVATIVE ALLOCATION CL C	0.00	9.30	0.00	9.30	0.0	0.00
	ACCOUNT #: LSR011498	BUY 1 Units @0.0000						
10/19/2018	***-**-37IO - MCCLUSKY, MARK	MFS CONSERVATIVE ALLOCATION CL C	0.00	7.71	0.00	7.71	0.0	0.00
	ACCOUNT #: LSR011579	BUY 1 Units @0.0000						
10/19/2018	***-**-99IN - EDELMAN, TINA	MFS CONSERVATIVE ALLOCATION CL C	0.00	2.15	0.00	2.15	0.0	0.00
	ACCOUNT #: LSR011956	BUY 1 Units @0.0000						
10/19/2018	***-**-28IN - BYWATER, KIM	MFS CONSERVATIVE ALLOCATION CL C	0.00	0.14	0.00	0.14	0.0	0.00
	ACCOUNT #: LSR011995	BUY 1 Units @0.0000						
10/19/2018	***-**-35IN - RUGGIERO, LAURIE	MFS CONSERVATIVE ALLOCATION CL C	0.00	0.03	0.00	0.03	0.0	0.00
	ACCOUNT #: LSR012314	BUY 1 Units @0.0000						
10/19/2018	***-**-31IO - JOSEPH, ANN	MFS CONSERVATIVE ALLOCATION CL C	0.00	0.03	0.00	0.03	0.0	0.00
	ACCOUNT #: LSR012337	BUY 1 Units @0.0000						
10/19/2018	***-**-726I - YADDAW, DEBRA	MFS CONSERVATIVE ALLOCATION CL C	0.00	0.03	0.00	0.03	0.0	0.00
	ACCOUNT #: LSR012338	BUY 1 Units @0.0000						
10/19/2018	***-**-52IN - ROBERTS, LILLIAN	MFS CONSERVATIVE ALLOCATION CL C	0.00	0.01	0.00	0.01	0.0	0.00
	ACCOUNT #: LSR012352	BUY 1 Units @0.0000						
10/19/2018	***-**-851I - BLAKE, JAMES	MFS CONSERVATIVE ALLOCATION CL C	0.00	0.02	0.00	0.02	0.0	0.00
	ACCOUNT #: LSR012390	BUY 1 Units @0.0000						
10/19/2018	***-**-188I - BRADLEY, WAYNE	MFS CONSERVATIVE ALLOCATION CL C	0.00	0.03	0.00	0.03	0.0	0.00
	ACCOUNT #: LSR012484	BUY 1 Units @0.0000						
10/19/2018	***-**-663I - LASCALA, DEBORAH	MFS CONSERVATIVE ALLOCATION CL C	0.00	0.01	0.00	0.01	0.0	0.00
	ACCOUNT #: LSR012790	BUY 1 Units @0.0000						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
10/19/2018	***-**-15IN - PENDRAK, JOHN	MFS CONSERVATIVE ALLOCATION FUND-A	0.00	2.15	0.00	2.15	0.0	0.00
	ACCOUNT #: LSR010948	BUY 1 Units @0.0000						
10/19/2018	***-**-944O - MAYO, DEBORAH	MFS CONSERVATIVE ALLOCATION FUND-A	0.00	1.15	0.00	1.15	0.0	0.00
	ACCOUNT #: LSR011035	BUY 1 Units @0.0000						
10/19/2018	***-**-254I - AUGUSTINE, LINDA	MFS CONSERVATIVE ALLOCATION FUND-B	0.00	0.79	0.00	0.79	0.0	0.00
	ACCOUNT #: LSR010846	BUY 1 Units @0.0000						
10/19/2018	***-**-960J - MASTRANGELO,	MFS CONSERVATIVE ALLOCATION FUND-B	0.00	5.52	0.00	5.52	0.0	0.00
	ACCOUNT #: LSR010966	BUY 1 Units @0.0000						
10/19/2018	***-**-51IO - CAIN, TIMOTHY	MFS CONSERVATIVE ALLOCATION FUND-B	0.00	2.60	0.00	2.60	0.0	0.00
	ACCOUNT #: LSR011007	BUY 1 Units @0.0000						
10/19/2018	***-**-761I - EVANS, DOLORES	MFS CONSERVATIVE ALLOCATION FUND-B	0.00	2.08	0.00	2.08	0.0	0.00
	ACCOUNT #: LSR011024	BUY 1 Units @0.0000						
10/19/2018	***-**-944O - MAYO, DEBORAH	MFS CONSERVATIVE ALLOCATION FUND-B	0.00	0.49	0.00	0.49	0.0	0.00
	ACCOUNT #: LSR011035	BUY 1 Units @0.0000						
10/19/2018	***-**-326J - GRANDE, MR	MFS CONSERVATIVE ALLOCATION FUND-B	0.00	0.57	0.00	0.57	0.0	0.00
	ACCOUNT #: LSR011089	BUY 1 Units @0.0000						
10/19/2018	***-**-13IN - RHYMESTINE,	MFS CONSERVATIVE ALLOCATION FUND-B	0.00	1.02	0.00	1.02	0.0	0.00
	ACCOUNT #: LSR011106	BUY 1 Units @0.0000						
10/19/2018	***-**-367J - WAGNER, MRS LANT	MFS CONSERVATIVE ALLOCATION FUND-B	0.00	1.13	0.00	1.13	0.0	0.00
	ACCOUNT #: LSR011134	BUY 1 Units @0.0000						
10/19/2018	***-**-992J - CORNACCHIA	MFS CONSERVATIVE ALLOCATION FUND-B	0.00	0.40	0.00	0.40	0.0	0.00
	ACCOUNT #: LSR011157	BUY 1 Units @0.0000						
10/19/2018	***-**-31IO - WILLIAMSON, FBO	MFS CONSERVATIVE ALLOCATION FUND-B	0.00	3.90	0.00	3.90	0.0	0.00
	ACCOUNT #: LSR011172	BUY 1 Units @0.0000						
10/19/2018	***-**-64IO - PFAFF, GEORGE	MFS CONSERVATIVE ALLOCATION FUND-B	0.00	1.14	0.00	1.14	0.0	0.00
	ACCOUNT #: LSR011185	BUY 1 Units @0.0000						
10/19/2018	***-**-448X - ANACKER, SUSAN	MFS CONSERVATIVE ALLOCATION FUND-B	0.00	0.81	0.00	0.81	0.0	0.00
	ACCOUNT #: LSR011578	BUY 1 Units @0.0000						
10/19/2018	***-**-382K - SATTERLY, NEIL	MFS DIVERSIFIED INCOME FD CL C	0.00	4.55	0.00	4.55	0.0	0.00
	ACCOUNT #: LSR010875	BUY 1 Units @0.0000						
10/19/2018	***-**-980I - ACEE, ELIZABETH	MFS DIVERSIFIED INCOME FD CL C	0.00	9.14	0.00	9.14	0.0	0.00
	ACCOUNT #: LSR010885	BUY 1 Units @0.0000						



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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
10/19/2018	***-**-72IN - GAVALO, JULIE	MFS DIVERSIFIED INCOME FD CL C	0.00	16.59	0.00	16.59	0.0	0.00
	ACCOUNT #: LSR010921	BUY 1 Units @0.0000						
10/19/2018	***-**-73TR - WESTCOTT IRRVOC	MFS DIVERSIFIED INCOME FD CL C	0.00	12.91	0.00	12.91	0.0	0.00
	ACCOUNT #: LSR011008	BUY 1 Units @0.0000						
10/19/2018	***-**-132O - EVANS, THOMAS	MFS DIVERSIFIED INCOME FD CL C	0.00	8.05	0.00	8.05	0.0	0.00
	ACCOUNT #: LSR011074	BUY 1 Units @0.0000						
10/19/2018	***-**-44IO - MAYO, DEBORAH	MFS DIVERSIFIED INCOME FD CL C	0.00	20.85	0.00	20.85	0.0	0.00
	ACCOUNT #: LSR011079	BUY 1 Units @0.0000						
10/19/2018	***-**-579J - RHYMESTINE,	MFS DIVERSIFIED INCOME FD CL C	0.00	1.11	0.00	1.11	0.0	0.00
	ACCOUNT #: LSR011081	BUY 1 Units @0.0000						
10/19/2018	***-**-09IO - BATES, FBO MRS	MFS DIVERSIFIED INCOME FD CL C	0.00	14.15	0.00	14.15	0.0	0.00
	ACCOUNT #: LSR011117	BUY 1 Units @0.0000						
10/19/2018	***-**-89IN - LEE, ROGER	MFS DIVERSIFIED INCOME FD CL C	0.00	5.76	0.00	5.76	0.0	0.00
	ACCOUNT #: LSR011166	BUY 1 Units @0.0000						
10/19/2018	***-**-64IO - PFAFF, GEORGE	MFS DIVERSIFIED INCOME FD CL C	0.00	5.86	0.00	5.86	0.0	0.00
	ACCOUNT #: LSR011185	BUY 1 Units @0.0000						
10/19/2018	***-**-439J - MCCARTHY, JAMES	MFS DIVERSIFIED INCOME FD CL C	0.00	3.11	0.00	3.11	0.0	0.00
	ACCOUNT #: LSR011205	BUY 1 Units @0.0000						
10/19/2018	***-**-52IO - EUSEPI, SUSAN	MFS DIVERSIFIED INCOME FD CL C	0.00	6.16	0.00	6.16	0.0	0.00
	ACCOUNT #: LSR011219	BUY 1 Units @0.0000						
10/19/2018	***-**-81IR - CAMPBELL,	MFS DIVERSIFIED INCOME FD CL C	0.00	5.95	0.00	5.95	0.0	0.00
	ACCOUNT #: LSR011223	BUY 1 Units @0.0000						
10/19/2018	***-**-439I - MCCARTHY, JAMES	MFS DIVERSIFIED INCOME FD CL C	0.00	2.22	0.00	2.22	0.0	0.00
	ACCOUNT #: LSR011244	BUY 1 Units @0.0000						
10/19/2018	***-**-376I - BERBEN, GAIL	MFS DIVERSIFIED INCOME FD CL C	0.00	4.98	0.00	4.98	0.0	0.00
	ACCOUNT #: LSR011380	BUY 1 Units @0.0000						
10/19/2018	***-**-45IO - JOHNSON, GREGORY	MFS DIVERSIFIED INCOME FD CL C	0.00	12.14	0.00	12.14	0.0	0.00
	ACCOUNT #: LSR011421	BUY 1 Units @0.0000						
10/19/2018	***-**-14IO - BUSHEY, MATTHEW	MFS DIVERSIFIED INCOME FD CL C	0.00	13.59	0.00	13.59	0.0	0.00
	ACCOUNT #: LSR011498	BUY 1 Units @0.0000						
10/19/2018	***-**-37IO - MCCLUSKY, MARK	MFS DIVERSIFIED INCOME FD CL C	0.00	5.00	0.00	5.00	0.0	0.00
	ACCOUNT #: LSR011579	BUY 1 Units @0.0000						



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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
10/19/2018	***-**-35IN - RUGGIERO, LAURIE	MFS DIVERSIFIED INCOME FD CL C	0.00	0.12	0.00	0.12	0.0	0.00
	ACCOUNT #: LSR012314	BUY 1 Units @0.0000						
10/19/2018	***-**-31IO - JOSEPH, ANN	MFS DIVERSIFIED INCOME FD CL C	0.00	0.12	0.00	0.12	0.0	0.00
	ACCOUNT #: LSR012337	BUY 1 Units @0.0000						
10/19/2018	***-**-52IN - ROBERTS, LILLIAN	MFS DIVERSIFIED INCOME FD CL C	0.00	0.04	0.00	0.04	0.0	0.00
	ACCOUNT #: LSR012352	BUY 1 Units @0.0000						
10/19/2018	***-**-513I - RHYMESTINE,	MFS DIVERSIFIED INCOME FD CL C	0.00	0.08	0.00	0.08	0.0	0.00
	ACCOUNT #: LSR012457	BUY 1 Units @0.0000						
10/19/2018	***-**-188I - BRADLEY, WAYNE	MFS DIVERSIFIED INCOME FD CL C	0.00	0.08	0.00	0.08	0.0	0.00
	ACCOUNT #: LSR012484	BUY 1 Units @0.0000						
10/19/2018	***-**-79TR - OR CYNTHIA	MFS DIVERSIFIED INCOME FD CL C	0.00	9.90	0.00	9.90	0.0	0.00
	ACCOUNT #: LSR012749	BUY 1 Units @0.0000						
10/19/2018	***-**-663I - LASCALA, DEBORAH	MFS DIVERSIFIED INCOME FD CL C	0.00	0.02	0.00	0.02	0.0	0.00
	ACCOUNT #: LSR012790	BUY 1 Units @0.0000						
10/19/2018	***-**-53IN - EVANS, ANDREW	MFS EMERGING GROWTH FUND-B	0.00	0.84	0.00	0.84	0.0	0.00
	ACCOUNT #: LSR011483	BUY 1 Units @0.0000						
10/19/2018	***-**-24IN - BLISS, RYAN	MFS EMERGING GROWTH FUND-B	0.00	0.31	0.00	0.31	0.0	0.00
	ACCOUNT #: LSR011502	BUY 1 Units @0.0000						
10/19/2018	***-**-881I - EBERLEY, SUSAN	MFS EMERGING MARKETS EQUITY FUND-B	0.00	0.72	0.00	0.72	0.0	0.00
	ACCOUNT #: LSR010858	BUY 1 Units @0.0000						
10/19/2018	***-**-960J - MASTRANGELO,	MFS EMERGING MARKETS EQUITY FUND-B	0.00	1.27	0.00	1.27	0.0	0.00
	ACCOUNT #: LSR010966	BUY 1 Units @0.0000						
10/19/2018	***-**-761I - EVANS, DOLORES	MFS EMERGING MARKETS EQUITY FUND-B	0.00	1.31	0.00	1.31	0.0	0.00
	ACCOUNT #: LSR011024	BUY 1 Units @0.0000						
10/19/2018	***-**-579J - RHYMESTINE,	MFS EMERGING MARKETS EQUITY FUND-B	0.00	0.07	0.00	0.07	0.0	0.00
	ACCOUNT #: LSR011081	BUY 1 Units @0.0000						
10/19/2018	***-**-326I - GRANDE, FBO MR	MFS EMERGING MARKETS EQUITY FUND-B	0.00	1.28	0.00	1.28	0.0	0.00
	ACCOUNT #: LSR011091	BUY 1 Units @0.0000						
10/19/2018	***-**-197I - GAMBINO, ANDREW	MFS EMERGING MARKETS EQUITY FUND-B	0.00	0.21	0.00	0.21	0.0	0.00
	ACCOUNT #: LSR011465	BUY 1 Units @0.0000						
10/19/2018	***-**-45IR - WILLIAMSON,	MFS EMERGING MARKETS EQUITY FUND-B	0.00	0.98	0.00	0.98	0.0	0.00
	ACCOUNT #: LSR011764	BUY 1 Units @0.0000						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
10/19/2018	***-**-79TR - OR CYNTHIA	MFS EMERGING MARKETS EQUITY FUND-B	0.00	0.63	0.00	0.63	0.0	0.00
	ACCOUNT #: LSR012749	BUY 1 Units @0.0000						
10/19/2018	***-**-254I - AUGUSTINE, LINDA	MFS EMERGING MKT DEBT CL B	0.00	1.01	0.00	1.01	0.0	0.00
	ACCOUNT #: LSR010846	BUY 1 Units @0.0000						
10/19/2018	***-**-881J - EBERLEY, SUSAN	MFS EMERGING MKT DEBT CL B	0.00	0.77	0.00	0.77	0.0	0.00
	ACCOUNT #: LSR010856	BUY 1 Units @0.0000						
10/19/2018	***-**-949I - ACEE, JOSPEH	MFS EMERGING MKT DEBT CL B	0.00	0.95	0.00	0.95	0.0	0.00
	ACCOUNT #: LSR010908	BUY 1 Units @0.0000						
10/19/2018	***-**-31IO - HARTZ, CLAUDIA	MFS EMERGING MKT DEBT CL B	0.00	1.15	0.00	1.15	0.0	0.00
	ACCOUNT #: LSR010915	BUY 1 Units @0.0000						
10/19/2018	***-**-960J - MASTRANGELO,	MFS EMERGING MKT DEBT CL B	0.00	0.63	0.00	0.63	0.0	0.00
	ACCOUNT #: LSR010966	BUY 1 Units @0.0000						
10/19/2018	***-**-944O - MAYO, DEBORAH	MFS EMERGING MKT DEBT CL B	0.00	1.24	0.00	1.24	0.0	0.00
	ACCOUNT #: LSR011035	BUY 1 Units @0.0000						
10/19/2018	***-**-580X - COBB, JAMES	MFS EMERGING MKT DEBT CL B	0.00	1.10	0.00	1.10	0.0	0.00
	ACCOUNT #: LSR011040	BUY 1 Units @0.0000						
10/19/2018	***-**-506J - CURRIERE JR, MR	MFS EMERGING MKT DEBT CL B	0.00	0.35	0.00	0.35	0.0	0.00
	ACCOUNT #: LSR011121	BUY 1 Units @0.0000						
10/19/2018	***-**-367J - WAGNER, MRS LANT	MFS EMERGING MKT DEBT CL B	0.00	0.85	0.00	0.85	0.0	0.00
	ACCOUNT #: LSR011134	BUY 1 Units @0.0000						
10/19/2018	***-**-31IO - WILLIAMSON, FBO	MFS EMERGING MKT DEBT CL B	0.00	1.21	0.00	1.21	0.0	0.00
	ACCOUNT #: LSR011172	BUY 1 Units @0.0000						
10/19/2018	***-**-64IO - PFAFF, GEORGE	MFS EMERGING MKT DEBT CL B	0.00	1.12	0.00	1.12	0.0	0.00
	ACCOUNT #: LSR011185	BUY 1 Units @0.0000						
10/19/2018	***-**-62IR - ROBBIANO, FBO	MFS EMERGING MKT DEBT CL B	0.00	0.48	0.00	0.48	0.0	0.00
	ACCOUNT #: LSR011195	BUY 1 Units @0.0000						
10/19/2018	***-**-29IO - MASSOUD,	MFS EMERGING MKT DEBT CL B	0.00	0.48	0.00	0.48	0.0	0.00
	ACCOUNT #: LSR011217	BUY 1 Units @0.0000						
10/19/2018	***-**-44IO - MAYO, DEBORAH	MFS EMERGING MKTS DEBT CLASS C	0.00	9.76	0.00	9.76	0.0	0.00
	ACCOUNT #: LSR011079	BUY 1 Units @0.0000						
10/19/2018	***-**-960J - MASTRANGELO,	MFS EQUITY OPPORTUNITIES CL B	0.00	1.68	0.00	1.68	0.0	0.00
	ACCOUNT #: LSR010966	BUY 1 Units @0.0000						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
10/19/2018	***-**-9440 - MAYO, DEBORAH	MFS GLOBAL ALTERNATIVE STRAT A	0.00	0.63	0.00	0.63	0.0	0.00
	ACCOUNT #: LSR011035	BUY 1 Units @0.0000						
10/19/2018	***-**-978I - GUNN, KATHLEEN	MFS GLOBAL ALTERNATIVE STRAT B	0.00	0.43	0.00	0.43	0.0	0.00
	ACCOUNT #: LSR011345	BUY 1 Units @0.0000						
10/19/2018	***-**-382I - SATTERLY, NEIL	MFS GLOBAL ALTERNATIVE STRAT C	0.00	6.41	0.00	6.41	0.0	0.00
	ACCOUNT #: LSR010867	BUY 1 Units @0.0000						
10/19/2018	***-**-48IO - CLARK, PATRICK	MFS GLOBAL ALTERNATIVE STRAT C	0.00	14.42	0.00	14.42	0.0	0.00
	ACCOUNT #: LSR010911	BUY 1 Units @0.0000						
10/19/2018	***-**-72IN - GAVALO, JULIE	MFS GLOBAL ALTERNATIVE STRAT C	0.00	13.89	0.00	13.89	0.0	0.00
	ACCOUNT #: LSR010921	BUY 1 Units @0.0000						
10/19/2018	***-**-80IN - COBB, JAMES	MFS GLOBAL ALTERNATIVE STRAT C	0.00	7.43	0.00	7.43	0.0	0.00
	ACCOUNT #: LSR011042	BUY 1 Units @0.0000						
10/19/2018	***-**-09IO - BATES, FBO MRS	MFS GLOBAL ALTERNATIVE STRAT C	0.00	12.64	0.00	12.64	0.0	0.00
	ACCOUNT #: LSR011117	BUY 1 Units @0.0000						
10/19/2018	***-**-11IO - LYNN G.	MFS GLOBAL ALTERNATIVE STRAT C	0.00	17.19	0.00	17.19	0.0	0.00
	ACCOUNT #: LSR011239	BUY 1 Units @0.0000						
10/19/2018	***-**-80IO - EVANS, RICHARD	MFS GLOBAL ALTERNATIVE STRAT C	0.00	10.57	0.00	10.57	0.0	0.00
	ACCOUNT #: LSR011276	BUY 1 Units @0.0000						
10/19/2018	***-**-45IO - JOHNSON, GREGORY	MFS GLOBAL ALTERNATIVE STRAT C	0.00	12.91	0.00	12.91	0.0	0.00
	ACCOUNT #: LSR011421	BUY 1 Units @0.0000						
10/19/2018	***-**-094I - KATRENA L	MFS GLOBAL BOND FUND CLASS C	0.00	3.30	0.00	3.30	0.0	0.00
	ACCOUNT #: LSR011188	BUY 1 Units @0.0000						
10/19/2018	***-**-978I - GUNN, KATHLEEN	MFS GLOBAL EQUITY FUND-B	0.00	0.70	0.00	0.70	0.0	0.00
	ACCOUNT #: LSR011345	BUY 1 Units @0.0000						
10/19/2018	***-**-53IN - EVANS, ANDREW	MFS GLOBAL EQUITY FUND-B	0.00	0.50	0.00	0.50	0.0	0.00
	ACCOUNT #: LSR011483	BUY 1 Units @0.0000						
10/19/2018	***-**-24IN - BLISS, RYAN	MFS GLOBAL EQUITY FUND-B	0.00	0.32	0.00	0.32	0.0	0.00
	ACCOUNT #: LSR011502	BUY 1 Units @0.0000						
10/19/2018	***-**-45IR - WILLIAMSON,	MFS GLOBAL EQUITY FUND-B	0.00	1.19	0.00	1.19	0.0	0.00
	ACCOUNT #: LSR011764	BUY 1 Units @0.0000						
10/19/2018	***-**-21IO - RADELL, SANDRA	MFS GLOBAL REAL ESTATE FUND CL B	0.00	1.64	0.00	1.64	0.0	0.00
	ACCOUNT #: LSR011392	BUY 1 Units @0.0000						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
10/19/2018	***-**-53IN - EVANS, ANDREW ACCOUNT #: LSR011483	MFS GLOBAL REAL ESTATE FUND CL B BUY 1 Units @0.0000	0.00	0.29	0.00	0.29	0.0	0.00
10/19/2018	***-**-24IN - BLISS, RYAN ACCOUNT #: LSR011502	MFS GLOBAL REAL ESTATE FUND CL B BUY 1 Units @0.0000	0.00	0.18	0.00	0.18	0.0	0.00
10/19/2018	***-**-38IO - BROWN, TYLER ACCOUNT #: LSR011602	MFS GLOBAL REAL ESTATE FUND CL B BUY 1 Units @0.0000	0.00	0.81	0.00	0.81	0.0	0.00
10/19/2018	***-**-45IN - WILLIAMSON, ACCOUNT #: LSR011751	MFS GLOBAL REAL ESTATE FUND CL B BUY 1 Units @0.0000	0.00	0.75	0.00	0.75	0.0	0.00
10/19/2018	***-**-628I - SANGER, SANDRA ACCOUNT #: LSR010942	MFS GLOBAL TOTAL RETURN FUND-A BUY 1 Units @0.0000	0.00	0.92	0.00	0.92	0.0	0.00
10/19/2018	***-**-959I - FRANZ, PAUL ACCOUNT #: LSR010959	MFS GLOBAL TOTAL RETURN FUND-A BUY 1 Units @0.0000	0.00	2.78	0.00	2.78	0.0	0.00
10/19/2018	***-**-944O - MAYO, DEBORAH ACCOUNT #: LSR011035	MFS GLOBAL TOTAL RETURN FUND-A BUY 1 Units @0.0000	0.00	0.87	0.00	0.87	0.0	0.00
10/19/2018	***-**-96IN - NESSIA, BONNIE ACCOUNT #: LSR011055	MFS GLOBAL TOTAL RETURN FUND-A BUY 1 Units @0.0000	0.00	1.17	0.00	1.17	0.0	0.00
10/19/2018	***-**-861I - SANGER, LAWRENCE ACCOUNT #: LSR011095	MFS GLOBAL TOTAL RETURN FUND-A BUY 1 Units @0.0000	0.00	1.60	0.00	1.60	0.0	0.00
10/19/2018	***-**-02IN - BUSHEY, MELISSA ACCOUNT #: LSR011257	MFS GLOBAL TOTAL RETURN FUND-A BUY 1 Units @0.0000	0.00	0.67	0.00	0.67	0.0	0.00
10/19/2018	***-**-653J - KOCHEM, CLINTON ACCOUNT #: LSR011298	MFS GLOBAL TOTAL RETURN FUND-A BUY 1 Units @0.0000	0.00	0.93	0.00	0.93	0.0	0.00
10/19/2018	***-**-62IN - EATON, DAVID ACCOUNT #: LSR011315	MFS GLOBAL TOTAL RETURN FUND-A BUY 1 Units @0.0000	0.00	0.68	0.00	0.68	0.0	0.00
10/19/2018	***-**-254I - AUGUSTINE, LINDA ACCOUNT #: LSR010846	MFS GLOBAL TOTAL RETURN FUND-B BUY 1 Units @0.0000	0.00	0.77	0.00	0.77	0.0	0.00
10/19/2018	***-**-881J - EBERLEY, SUSAN ACCOUNT #: LSR010856	MFS GLOBAL TOTAL RETURN FUND-B BUY 1 Units @0.0000	0.00	1.29	0.00	1.29	0.0	0.00
10/19/2018	***-**-949I - ACEE, JOSPEH ACCOUNT #: LSR010908	MFS GLOBAL TOTAL RETURN FUND-B BUY 1 Units @0.0000	0.00	1.46	0.00	1.46	0.0	0.00
10/19/2018	***-**-31IO - HARTZ, CLAUDIA ACCOUNT #: LSR010915	MFS GLOBAL TOTAL RETURN FUND-B BUY 1 Units @0.0000	0.00	0.78	0.00	0.78	0.0	0.00



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
10/19/2018	***-**-960J - MASTRANGELO, ACCOUNT #: LSR010966	MFS GLOBAL TOTAL RETURN FUND-B BUY 1 Units @0.0000	0.00	1.87	0.00	1.87	0.0	0.00
10/19/2018	***-**-51IO - CAIN, TIMOTHY ACCOUNT #: LSR011007	MFS GLOBAL TOTAL RETURN FUND-B BUY 1 Units @0.0000	0.00	1.59	0.00	1.59	0.0	0.00
10/19/2018	***-**-60UT - FALCHI, ADALYNN ACCOUNT #: LSR011010	MFS GLOBAL TOTAL RETURN FUND-B BUY 1 Units @0.0000	0.00	0.22	0.00	0.22	0.0	0.00
10/19/2018	***-**-761I - EVANS, DOLORES ACCOUNT #: LSR011024	MFS GLOBAL TOTAL RETURN FUND-B BUY 1 Units @0.0000	0.00	4.78	0.00	4.78	0.0	0.00
10/19/2018	***-**-63TR - EVANS, AUDREY J ACCOUNT #: LSR011036	MFS GLOBAL TOTAL RETURN FUND-B BUY 1 Units @0.0000	0.00	2.96	0.00	2.96	0.0	0.00
10/19/2018	***-**-306X - COBB, CHERRYL ACCOUNT #: LSR011037	MFS GLOBAL TOTAL RETURN FUND-B BUY 1 Units @0.0000	0.00	1.51	0.00	1.51	0.0	0.00
10/19/2018	***-**-579I - RHYMESTINE, ACCOUNT #: LSR011082	MFS GLOBAL TOTAL RETURN FUND-B BUY 1 Units @0.0000	0.00	2.87	0.00	2.87	0.0	0.00
10/19/2018	***-**-13IN - RHYMESTINE, ACCOUNT #: LSR011106	MFS GLOBAL TOTAL RETURN FUND-B BUY 1 Units @0.0000	0.00	0.72	0.00	0.72	0.0	0.00
10/19/2018	***-**-76IO - MCALLISTER, FBO ACCOUNT #: LSR011107	MFS GLOBAL TOTAL RETURN FUND-B BUY 1 Units @0.0000	0.00	0.35	0.00	0.35	0.0	0.00
10/19/2018	***-**-506J - CURRIERE JR, MR ACCOUNT #: LSR011121	MFS GLOBAL TOTAL RETURN FUND-B BUY 1 Units @0.0000	0.00	0.90	0.00	0.90	0.0	0.00
10/19/2018	***-**-367J - WAGNER, MRS LANT ACCOUNT #: LSR011134	MFS GLOBAL TOTAL RETURN FUND-B BUY 1 Units @0.0000	0.00	1.62	0.00	1.62	0.0	0.00
10/19/2018	***-**-31IO - WILLIAMSON, FBO ACCOUNT #: LSR011172	MFS GLOBAL TOTAL RETURN FUND-B BUY 1 Units @0.0000	0.00	2.22	0.00	2.22	0.0	0.00
10/19/2018	***-**-64IO - PFAFF, GEORGE ACCOUNT #: LSR011185	MFS GLOBAL TOTAL RETURN FUND-B BUY 1 Units @0.0000	0.00	1.22	0.00	1.22	0.0	0.00
10/19/2018	***-**-62IR - ROBBIANO, FBO ACCOUNT #: LSR011195	MFS GLOBAL TOTAL RETURN FUND-B BUY 1 Units @0.0000	0.00	0.89	0.00	0.89	0.0	0.00
10/19/2018	***-**-52IO - EUSEPI, SUSAN ACCOUNT #: LSR011219	MFS GLOBAL TOTAL RETURN FUND-B BUY 1 Units @0.0000	0.00	2.78	0.00	2.78	0.0	0.00
10/19/2018	***-**-75IR - EVANS, DIANE ACCOUNT #: LSR011275	MFS GLOBAL TOTAL RETURN FUND-B BUY 1 Units @0.0000	0.00	0.54	0.00	0.54	0.0	0.00



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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
10/19/2018	***-**-653I - KOCHER, CLINTON	MFS GLOBAL TOTAL RETURN FUND-B	0.00	2.18	0.00	2.18	0.0	0.00
	ACCOUNT #: LSR011300	BUY 1 Units @0.0000						
10/19/2018	***-**-21IO - RADELL, SANDRA	MFS GLOBAL TOTAL RETURN FUND-B	0.00	1.49	0.00	1.49	0.0	0.00
	ACCOUNT #: LSR011392	BUY 1 Units @0.0000						
10/19/2018	***-**-51IN - GERACE, JOANNE	MFS GLOBAL TOTAL RETURN FUND-B	0.00	1.57	0.00	1.57	0.0	0.00
	ACCOUNT #: LSR011538	BUY 1 Units @0.0000						
10/19/2018	***-**-09IO - BATES, FBO MRS	MFS GLOBAL TOTAL RETURN FUND-C	0.00	18.10	0.00	18.10	0.0	0.00
	ACCOUNT #: LSR011117	BUY 1 Units @0.0000						
10/19/2018	***-**-11IO - LYNN G.	MFS GLOBAL TOTAL RETURN FUND-C	0.00	13.94	0.00	13.94	0.0	0.00
	ACCOUNT #: LSR011239	BUY 1 Units @0.0000						
10/19/2018	***-**-376I - BERBEN, GAIL	MFS GLOBAL TOTAL RETURN FUND-C	0.00	8.48	0.00	8.48	0.0	0.00
	ACCOUNT #: LSR011380	BUY 1 Units @0.0000						
10/19/2018	***-**-45IO - JOHNSON, GREGORY	MFS GLOBAL TOTAL RETURN FUND-C	0.00	9.51	0.00	9.51	0.0	0.00
	ACCOUNT #: LSR011421	BUY 1 Units @0.0000						
10/19/2018	***-**-111J - NESSIA, JAMES	MFS GOVERNMENT SECURITIES FUND-A	0.00	0.53	0.00	0.53	0.0	0.00
	ACCOUNT #: LSR011054	BUY 1 Units @0.0000						
10/19/2018	***-**-13IN - ROTH, KAREN	MFS GOVERNMENT SECURITIES FUND-A	0.00	0.67	0.00	0.67	0.0	0.00
	ACCOUNT #: LSR011954	BUY 1 Units @0.0000						
10/19/2018	***-**-254I - AUGUSTINE, LINDA	MFS GOVERNMENT SECURITIES FUND-B	0.00	1.61	0.00	1.61	0.0	0.00
	ACCOUNT #: LSR010846	BUY 1 Units @0.0000						
10/19/2018	***-**-13IN - ROTH, KAREN	MFS GOVERNMENT SECURITIES FUND-B	0.00	0.10	0.00	0.10	0.0	0.00
	ACCOUNT #: LSR011954	BUY 1 Units @0.0000						
10/19/2018	***-**-44IO - MAYO, DEBORAH	MFS HIGH INCOME CLASS C	0.00	17.16	0.00	17.16	0.0	0.00
	ACCOUNT #: LSR011079	BUY 1 Units @0.0000						
10/19/2018	***-**-13IN - ROTH, KAREN	MFS HIGH INCOME FUND-A	0.00	0.62	0.00	0.62	0.0	0.00
	ACCOUNT #: LSR011954	BUY 1 Units @0.0000						
10/19/2018	***-**-61IN - EVANS, DOLORES	MFS HIGH INCOME FUND-B	0.00	0.27	0.00	0.27	0.0	0.00
	ACCOUNT #: LSR011023	BUY 1 Units @0.0000						
10/19/2018	***-**-13IN - ROTH, KAREN	MFS HIGH INCOME FUND-B	0.00	0.19	0.00	0.19	0.0	0.00
	ACCOUNT #: LSR011954	BUY 1 Units @0.0000						
10/19/2018	***-**-881I - EBERLEY, SUSAN	MFS HIGH YIELD OPPORTUNITIES FUND-B	0.00	0.66	0.00	0.66	0.0	0.00
	ACCOUNT #: LSR010858	BUY 1 Units @0.0000						



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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
10/19/2018	***-**-13IN - ROTH, KAREN	MFS HIGH YIELD OPPORTUNITIES FUND-B	0.00	0.22	0.00	0.22	0.0	0.00
	ACCOUNT #: LSR011954	BUY 1 Units @0.0000						
10/19/2018	***-**-73TR - WESTCOTT IRRVOC	MFS HIGH YIELD OPPORTUNITIES FUND-C	0.00	7.80	0.00	7.80	0.0	0.00
	ACCOUNT #: LSR011001	BUY 1 Units @0.0000						
10/19/2018	***-**-73TR - WESTCOTT IRRVOC	MFS HIGH YIELD OPPORTUNITIES FUND-C	0.00	9.02	0.00	9.02	0.0	0.00
	ACCOUNT #: LSR011008	BUY 1 Units @0.0000						
10/19/2018	***-**-13IN - ROTH, KAREN	MFS HIGH-YIELD OPPORTUNITIES FUND C	0.00	0.62	0.00	0.62	0.0	0.00
	ACCOUNT #: LSR011954	BUY 1 Units @0.0000						
10/19/2018	***-**-881J - EBERLEY, SUSAN	MFS INFLATION ADJUSTED BOND CL B	0.00	0.39	0.00	0.39	0.0	0.00
	ACCOUNT #: LSR010856	BUY 1 Units @0.0000						
10/19/2018	***-**-949I - ACEE, JOSPEH	MFS INFLATION ADJUSTED BOND CL B	0.00	0.47	0.00	0.47	0.0	0.00
	ACCOUNT #: LSR010908	BUY 1 Units @0.0000						
10/19/2018	***-**-31IO - HARTZ, CLAUDIA	MFS INFLATION ADJUSTED BOND CL B	0.00	0.46	0.00	0.46	0.0	0.00
	ACCOUNT #: LSR010915	BUY 1 Units @0.0000						
10/19/2018	***-**-960J - MASTRANGELO,	MFS INFLATION ADJUSTED BOND CL B	0.00	0.28	0.00	0.28	0.0	0.00
	ACCOUNT #: LSR010966	BUY 1 Units @0.0000						
10/19/2018	***-**-366I - GRUENEWALD,	MFS INFLATION ADJUSTED BOND CL B	0.00	0.34	0.00	0.34	0.0	0.00
	ACCOUNT #: LSR010989	BUY 1 Units @0.0000						
10/19/2018	***-**-761I - EVANS, DOLORES	MFS INFLATION ADJUSTED BOND CL B	0.00	1.17	0.00	1.17	0.0	0.00
	ACCOUNT #: LSR011024	BUY 1 Units @0.0000						
10/19/2018	***-**-63TR - EVANS, AUDREY J	MFS INFLATION ADJUSTED BOND CL B	0.00	0.31	0.00	0.31	0.0	0.00
	ACCOUNT #: LSR011036	BUY 1 Units @0.0000						
10/19/2018	***-**-580X - COBB, JAMES	MFS INFLATION ADJUSTED BOND CL B	0.00	0.58	0.00	0.58	0.0	0.00
	ACCOUNT #: LSR011040	BUY 1 Units @0.0000						
10/19/2018	***-**-326J - GRANDE, MR	MFS INFLATION ADJUSTED BOND CL B	0.00	0.60	0.00	0.60	0.0	0.00
	ACCOUNT #: LSR011089	BUY 1 Units @0.0000						
10/19/2018	***-**-76IO - MCALLISTER, FBO	MFS INFLATION ADJUSTED BOND CL B	0.00	0.23	0.00	0.23	0.0	0.00
	ACCOUNT #: LSR011107	BUY 1 Units @0.0000						
10/19/2018	***-**-506J - CURRIERE JR, MR	MFS INFLATION ADJUSTED BOND CL B	0.00	0.17	0.00	0.17	0.0	0.00
	ACCOUNT #: LSR011121	BUY 1 Units @0.0000						
10/19/2018	***-**-48IO - ANACKER, FBO MRS	MFS INFLATION ADJUSTED BOND CL B	0.00	0.80	0.00	0.80	0.0	0.00
	ACCOUNT #: LSR011164	BUY 1 Units @0.0000						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
10/19/2018	***-**-31IO - WILLIAMSON, FBO	MFS INFLATION ADJUSTED BOND CL B	0.00	0.60	0.00	0.60	0.0	0.00
	ACCOUNT #: LSR011172	BUY 1 Units @0.0000						
10/19/2018	***-**-64IO - PFAFF, GEORGE	MFS INFLATION ADJUSTED BOND CL B	0.00	0.47	0.00	0.47	0.0	0.00
	ACCOUNT #: LSR011185	BUY 1 Units @0.0000						
10/19/2018	***-**-62IR - ROBBIANO, FBO	MFS INFLATION ADJUSTED BOND CL B	0.00	0.24	0.00	0.24	0.0	0.00
	ACCOUNT #: LSR011195	BUY 1 Units @0.0000						
10/19/2018	***-**-29IO - MASSOUD,	MFS INFLATION ADJUSTED BOND CL B	0.00	0.27	0.00	0.27	0.0	0.00
	ACCOUNT #: LSR011217	BUY 1 Units @0.0000						
10/19/2018	***-**-382I - SATTERLY, NEIL	MFS INFLATION ADJUSTED BOND CL C	0.00	9.46	0.00	9.46	0.0	0.00
	ACCOUNT #: LSR010867	BUY 1 Units @0.0000						
10/19/2018	***-**-031O - MCVOY, ROBERT	MFS INFLATION ADJUSTED BOND CL C	0.00	2.67	0.00	2.67	0.0	0.00
	ACCOUNT #: LSR010916	BUY 1 Units @0.0000						
10/19/2018	***-**-44IO - MAYO, DEBORAH	MFS INFLATION ADJUSTED BOND CL C	0.00	20.61	0.00	20.61	0.0	0.00
	ACCOUNT #: LSR011079	BUY 1 Units @0.0000						
10/19/2018	***-**-531J - WILLIAMSON,	MFS INFLATION ADJUSTED BOND CL C	0.00	6.35	0.00	6.35	0.0	0.00
	ACCOUNT #: LSR011716	BUY 1 Units @0.0000						
10/19/2018	***-**-15IN - PENDRAK, JOHN	MFS INFLATION ADJUSTED BOND FUND-A	0.00	0.82	0.00	0.82	0.0	0.00
	ACCOUNT #: LSR010948	BUY 1 Units @0.0000						
10/19/2018	***-**-111J - NESSIA, JAMES	MFS INFLATION ADJUSTED BOND FUND-A	0.00	0.33	0.00	0.33	0.0	0.00
	ACCOUNT #: LSR011054	BUY 1 Units @0.0000						
10/19/2018	***-**-861I - SANGER, LAWRENCE	MFS INFLATION ADJUSTED BOND FUND-A	0.00	0.66	0.00	0.66	0.0	0.00
	ACCOUNT #: LSR011095	BUY 1 Units @0.0000						
10/19/2018	***-**-065I - LAZIO, THOMAS	MFS INTERNATIONAL NEW DISCOVERY CL	0.00	4.85	0.00	4.85	0.0	0.00
	ACCOUNT #: LSR010979	BUY 1 Units @0.0000						
10/19/2018	***-**-254I - AUGUSTINE, LINDA	MFS INTERNATIONAL NEW DISCOVERY FUN	0.00	0.98	0.00	0.98	0.0	0.00
	ACCOUNT #: LSR010846	BUY 1 Units @0.0000						
10/19/2018	***-**-960J - MASTRANGELO,	MFS INTERNATIONAL NEW DISCOVERY FUN	0.00	1.32	0.00	1.32	0.0	0.00
	ACCOUNT #: LSR010966	BUY 1 Units @0.0000						
10/19/2018	***-**-761I - EVANS, DOLORES	MFS INTERNATIONAL NEW DISCOVERY FUN	0.00	3.12	0.00	3.12	0.0	0.00
	ACCOUNT #: LSR011024	BUY 1 Units @0.0000						
10/19/2018	***-**-944O - MAYO, DEBORAH	MFS INTERNATIONAL NEW DISCOVERY FUN	0.00	0.64	0.00	0.64	0.0	0.00
	ACCOUNT #: LSR011035	BUY 1 Units @0.0000						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
10/19/2018	***-**-13IN - RHYMESTINE, ACCOUNT #: LSR011106	MFS INTERNATIONAL NEW DISCOVERY FUN BUY 1 Units @0.0000	0.00	0.74	0.00	0.74	0.0	0.00
10/19/2018	***-**-31IO - WILLIAMSON, FBO ACCOUNT #: LSR011172	MFS INTERNATIONAL NEW DISCOVERY FUN BUY 1 Units @0.0000	0.00	1.70	0.00	1.70	0.0	0.00
10/19/2018	***-**-03IO - MASTRANGELO, ACCOUNT #: LSR011679	MFS INTERNATIONAL NEW DISCOVERY FUN BUY 1 Units @0.0000	0.00	2.20	0.00	2.20	0.0	0.00
10/19/2018	***-**-930I - SANGER, KEVIN ACCOUNT #: LSR010941	MFS INTERNATIONAL NEW DISCOVERY FUN BUY 1 Units @0.0000	0.00	0.84	0.00	0.84	0.0	0.00
10/19/2018	***-**-959I - FRANZ, PAUL ACCOUNT #: LSR010959	MFS INTERNATIONAL NEW DISCOVERY FUN BUY 1 Units @0.0000	0.00	1.87	0.00	1.87	0.0	0.00
10/19/2018	***-**-861I - SANGER, LAWRENCE ACCOUNT #: LSR011095	MFS INTERNATIONAL NEW DISCOVERY FUN BUY 1 Units @0.0000	0.00	0.80	0.00	0.80	0.0	0.00
10/19/2018	***-**-51IO - CAIN, TIMOTHY ACCOUNT #: LSR011007	MFS INTERNATIONAL VALUE FUND-B BUY 1 Units @0.0000	0.00	0.93	0.00	0.93	0.0	0.00
10/19/2018	***-**-861I - SANGER, LAWRENCE ACCOUNT #: LSR011095	MFS LIFETIME INCOME CLASS A BUY 1 Units @0.0000	0.00	1.13	0.00	1.13	0.0	0.00
10/19/2018	***-**-959J - FRANZ, PAUL ACCOUNT #: LSR010958	MFS MODERATE ALLOCATION CL C BUY 1 Units @0.0000	0.00	14.34	0.00	14.34	0.0	0.00
10/19/2018	***-**-86IN - LEE, KEVIN ACCOUNT #: LSR011613	MFS MODERATE ALLOCATION CL C BUY 1 Units @0.0000	0.00	24.66	0.00	24.66	0.0	0.00
10/19/2018	***-**-960J - MASTRANGELO, ACCOUNT #: LSR010966	MFS NEW DISCOVERY FUND-B BUY 1 Units @0.0000	0.00	2.68	0.00	2.68	0.0	0.00
10/19/2018	***-**-31IO - WILLIAMSON, FBO ACCOUNT #: LSR011172	MFS NEW DISCOVERY FUND-B BUY 1 Units @0.0000	0.00	1.62	0.00	1.62	0.0	0.00
10/19/2018	***-**-978I - GUNN, KATHLEEN ACCOUNT #: LSR011345	MFS NEW DISCOVERY FUND-B BUY 1 Units @0.0000	0.00	0.69	0.00	0.69	0.0	0.00
10/19/2018	***-**-45IO - WILLIAMSON, ACCOUNT #: LSR011756	MFS NEW DISCOVERY FUND-B BUY 1 Units @0.0000	0.00	0.92	0.00	0.92	0.0	0.00
10/19/2018	***-**-197I - GAMBINO, ANDREW ACCOUNT #: LSR011465	MFS NEW DISCOVERY VALUE FUND CL B BUY 1 Units @0.0000	0.00	0.29	0.00	0.29	0.0	0.00
10/19/2018	***-**-53IN - EVANS, ANDREW ACCOUNT #: LSR011483	MFS NEW DISCOVERY VALUE FUND CL B BUY 1 Units @0.0000	0.00	0.76	0.00	0.76	0.0	0.00



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
10/19/2018	***-**-24IN - BLISS, RYAN	MFS NEW DISCOVERY VALUE FUND CL B	0.00	0.36	0.00	0.36	0.0	0.00
	ACCOUNT #: LSR011502	BUY 1 Units @0.0000						
10/19/2018	***-**-38IO - BROWN, TYLER	MFS NEW DISCOVERY VALUE FUND CL B	0.00	0.79	0.00	0.79	0.0	0.00
	ACCOUNT #: LSR011602	BUY 1 Units @0.0000						
10/19/2018	***-**-36IR - SANGER, BETH	MFS NEW DISCOVERY VALUE FUND CL B	0.00	0.26	0.00	0.26	0.0	0.00
	ACCOUNT #: LSR011757	BUY 1 Units @0.0000						
10/19/2018	***-**-382I - SATTERLY, NEIL	MFS NEW DISCOVERY VALUE FUND CL C	0.00	11.86	0.00	11.86	0.0	0.00
	ACCOUNT #: LSR010867	BUY 1 Units @0.0000						
10/19/2018	***-**-44IO - MAYO, DEBORAH	MFS NEW DISCOVERY VALUE FUND CL C	0.00	14.57	0.00	14.57	0.0	0.00
	ACCOUNT #: LSR011079	BUY 1 Units @0.0000						
10/19/2018	***-**-111J - NESSIA, JAMES	MFS NEW YORK MUNICIPAL BOND FUND CL	0.00	0.49	0.00	0.49	0.0	0.00
	ACCOUNT #: LSR011054	BUY 1 Units @0.0000						
10/19/2018	***-**-63TR - EVANS, AUDREY J	MFS NEW YORK MUNICIPAL BOND FUND-B	0.00	1.60	0.00	1.60	0.0	0.00
	ACCOUNT #: LSR011036	BUY 1 Units @0.0000						
10/19/2018	***-**-959I - FRANZ, PAUL	MFS RESEARCH BOND FUND CLASS A	0.00	0.81	0.00	0.81	0.0	0.00
	ACCOUNT #: LSR010959	BUY 1 Units @0.0000						
10/19/2018	***-**-111J - NESSIA, JAMES	MFS RESEARCH BOND FUND CLASS A	0.00	0.37	0.00	0.37	0.0	0.00
	ACCOUNT #: LSR011054	BUY 1 Units @0.0000						
10/19/2018	***-**-861I - SANGER, LAWRENCE	MFS RESEARCH BOND FUND CLASS A	0.00	0.39	0.00	0.39	0.0	0.00
	ACCOUNT #: LSR011095	BUY 1 Units @0.0000						
10/19/2018	***-**-02IN - BUSHEY, MELISSA	MFS RESEARCH BOND FUND CLASS A	0.00	0.21	0.00	0.21	0.0	0.00
	ACCOUNT #: LSR011257	BUY 1 Units @0.0000						
10/19/2018	***-**-62IN - EATON, DAVID	MFS RESEARCH BOND FUND CLASS A	0.00	0.56	0.00	0.56	0.0	0.00
	ACCOUNT #: LSR011315	BUY 1 Units @0.0000						
10/19/2018	***-**-254I - AUGUSTINE, LINDA	MFS RESEARCH BOND FUND-B	0.00	0.56	0.00	0.56	0.0	0.00
	ACCOUNT #: LSR010846	BUY 1 Units @0.0000						
10/19/2018	***-**-51IO - CAIN, TIMOTHY	MFS RESEARCH BOND FUND-B	0.00	1.30	0.00	1.30	0.0	0.00
	ACCOUNT #: LSR011007	BUY 1 Units @0.0000						
10/19/2018	***-**-761I - EVANS, DOLORES	MFS RESEARCH BOND FUND-B	0.00	1.29	0.00	1.29	0.0	0.00
	ACCOUNT #: LSR011024	BUY 1 Units @0.0000						
10/19/2018	***-**-76IO - MCALLISTER, FBO	MFS RESEARCH BOND FUND-B	0.00	0.29	0.00	0.29	0.0	0.00
	ACCOUNT #: LSR011107	BUY 1 Units @0.0000						



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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
10/19/2018	***-**-367J - WAGNER, MRS LANT	MFS RESEARCH BOND FUND-B	0.00	0.47	0.00	0.47	0.0	0.00
	ACCOUNT #: LSR011134	BUY 1 Units @0.0000						
10/19/2018	***-**-31IO - WILLIAMSON, FBO	MFS RESEARCH BOND FUND-B	0.00	0.63	0.00	0.63	0.0	0.00
	ACCOUNT #: LSR011172	BUY 1 Units @0.0000						
10/19/2018	***-**-67IR - FRANZ, ALICE	MFS RESEARCH FUND-B	0.00	1.28	0.00	1.28	0.0	0.00
	ACCOUNT #: LSR011872	BUY 1 Units @0.0000						
10/19/2018	***-**-59IR - FRANZ, PAUL	MFS RESEARCH FUND-B	0.00	1.28	0.00	1.28	0.0	0.00
	ACCOUNT #: LSR011873	BUY 1 Units @0.0000						
10/19/2018	***-**-326J - GRANDE, MR	MFS STRATEGIC INCOME FUND-B	0.00	1.09	0.00	1.09	0.0	0.00
	ACCOUNT #: LSR011089	BUY 1 Units @0.0000						
10/19/2018	***-**-382I - SATTERLY, NEIL	MFS TECHNOLOGY CLASS C	0.00	11.65	0.00	11.65	0.0	0.00
	ACCOUNT #: LSR010867	BUY 1 Units @0.0000						
10/19/2018	***-**-48IO - CLARK, PATRICK	MFS TECHNOLOGY CLASS C	0.00	8.43	0.00	8.43	0.0	0.00
	ACCOUNT #: LSR010911	BUY 1 Units @0.0000						
10/19/2018	***-**-03IO - MCVOY, ROBERT	MFS TECHNOLOGY CLASS C	0.00	5.48	0.00	5.48	0.0	0.00
	ACCOUNT #: LSR010916	BUY 1 Units @0.0000						
10/19/2018	***-**-930I - SANGER, KEVIN	MFS TECHNOLOGY CLASS C	0.00	10.36	0.00	10.36	0.0	0.00
	ACCOUNT #: LSR010941	BUY 1 Units @0.0000						
10/19/2018	***-**-065I - LAZIO, THOMAS	MFS TECHNOLOGY CLASS C	0.00	5.88	0.00	5.88	0.0	0.00
	ACCOUNT #: LSR010979	BUY 1 Units @0.0000						
10/19/2018	***-**-00IO - LEE, GARY	MFS TECHNOLOGY CLASS C	0.00	13.38	0.00	13.38	0.0	0.00
	ACCOUNT #: LSR011059	BUY 1 Units @0.0000						
10/19/2018	***-**-44IO - MAYO, DEBORAH	MFS TECHNOLOGY CLASS C	0.00	15.02	0.00	15.02	0.0	0.00
	ACCOUNT #: LSR011079	BUY 1 Units @0.0000						
10/19/2018	***-**-09IO - BATES, FBO MRS	MFS TECHNOLOGY CLASS C	0.00	13.20	0.00	13.20	0.0	0.00
	ACCOUNT #: LSR011117	BUY 1 Units @0.0000						
10/19/2018	***-**-89IN - LEE, ROGER	MFS TECHNOLOGY CLASS C	0.00	7.14	0.00	7.14	0.0	0.00
	ACCOUNT #: LSR011166	BUY 1 Units @0.0000						
10/19/2018	***-**-094I - KATRENA L	MFS TECHNOLOGY CLASS C	0.00	7.42	0.00	7.42	0.0	0.00
	ACCOUNT #: LSR011188	BUY 1 Units @0.0000						
10/19/2018	***-**-06IR - CAMPBELL, PAMELA	MFS TECHNOLOGY CLASS C	0.00	9.27	0.00	9.27	0.0	0.00
	ACCOUNT #: LSR011222	BUY 1 Units @0.0000						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
10/19/2018	***-**-11IO - LYNN G.	MFS TECHNOLOGY CLASS C	0.00	7.66	0.00	7.66	0.0	0.00
	ACCOUNT #: LSR011239	BUY 1 Units @0.0000						
10/19/2018	***-**-45IO - JOHNSON, GREGORY	MFS TECHNOLOGY CLASS C	0.00	8.29	0.00	8.29	0.0	0.00
	ACCOUNT #: LSR011421	BUY 1 Units @0.0000						
10/19/2018	***-**-37IO - MCCLUSKY, MARK	MFS TECHNOLOGY CLASS C	0.00	2.92	0.00	2.92	0.0	0.00
	ACCOUNT #: LSR011579	BUY 1 Units @0.0000						
10/19/2018	***-**-86IN - LEE, KEVIN	MFS TECHNOLOGY CLASS C	0.00	11.61	0.00	11.61	0.0	0.00
	ACCOUNT #: LSR011613	BUY 1 Units @0.0000						
10/19/2018	***-**-99IN - EDELMAN, TINA	MFS TECHNOLOGY CLASS C	0.00	2.74	0.00	2.74	0.0	0.00
	ACCOUNT #: LSR011956	BUY 1 Units @0.0000						
10/19/2018	***-**-28IN - BYWATER, KIM	MFS TECHNOLOGY CLASS C	0.00	0.22	0.00	0.22	0.0	0.00
	ACCOUNT #: LSR011995	BUY 1 Units @0.0000						
10/19/2018	***-**-15IN - PENDRAK, JOHN	MFS TECHNOLOGY FUND CLASS A	0.00	2.50	0.00	2.50	0.0	0.00
	ACCOUNT #: LSR010948	BUY 1 Units @0.0000						
10/19/2018	***-**-959I - FRANZ, PAUL	MFS TECHNOLOGY FUND CLASS A	0.00	2.18	0.00	2.18	0.0	0.00
	ACCOUNT #: LSR010959	BUY 1 Units @0.0000						
10/19/2018	***-**-944O - MAYO, DEBORAH	MFS TECHNOLOGY FUND CLASS A	0.00	1.42	0.00	1.42	0.0	0.00
	ACCOUNT #: LSR011035	BUY 1 Units @0.0000						
10/19/2018	***-**-808J - GORMAN, RANDY	MFS TECHNOLOGY FUND CLASS A	0.00	0.26	0.00	0.26	0.0	0.00
	ACCOUNT #: LSR011087	BUY 1 Units @0.0000						
10/19/2018	***-**-02IN - BUSHEY, MELISSA	MFS TECHNOLOGY FUND CLASS A	0.00	1.14	0.00	1.14	0.0	0.00
	ACCOUNT #: LSR011257	BUY 1 Units @0.0000						
10/19/2018	***-**-31IO - HARTZ, CLAUDIA	MFS TECHNOLOGY FUND-B	0.00	1.01	0.00	1.01	0.0	0.00
	ACCOUNT #: LSR010915	BUY 1 Units @0.0000						
10/19/2018	***-**-169I - EVANS, PAUL	MFS TECHNOLOGY FUND-B	0.00	1.49	0.00	1.49	0.0	0.00
	ACCOUNT #: LSR011026	BUY 1 Units @0.0000						
10/19/2018	***-**-580X - COBB, JAMES	MFS TECHNOLOGY FUND-B	0.00	1.45	0.00	1.45	0.0	0.00
	ACCOUNT #: LSR011040	BUY 1 Units @0.0000						
10/19/2018	***-**-579J - RHYMESTINE,	MFS TECHNOLOGY FUND-B	0.00	0.11	0.00	0.11	0.0	0.00
	ACCOUNT #: LSR011081	BUY 1 Units @0.0000						
10/19/2018	***-**-579I - RHYMESTINE,	MFS TECHNOLOGY FUND-B	0.00	1.53	0.00	1.53	0.0	0.00
	ACCOUNT #: LSR011082	BUY 1 Units @0.0000						



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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
10/19/2018	***-**-326I - GRANDE, FBO MR	MFS TECHNOLOGY FUND-B	0.00	1.91	0.00	1.91	0.0	0.00
	ACCOUNT #: LSR011091	BUY 1 Units @0.0000						
10/19/2018	***-**-73UT - COBB, CHRISTIAN	MFS TECHNOLOGY FUND-B	0.00	0.39	0.00	0.39	0.0	0.00
	ACCOUNT #: LSR011104	BUY 1 Units @0.0000						
10/19/2018	***-**-67UT - COBB,	MFS TECHNOLOGY FUND-B	0.00	0.39	0.00	0.39	0.0	0.00
	ACCOUNT #: LSR011105	BUY 1 Units @0.0000						
10/19/2018	***-**-992J - CORNACCHIA	MFS TECHNOLOGY FUND-B	0.00	0.48	0.00	0.48	0.0	0.00
	ACCOUNT #: LSR011157	BUY 1 Units @0.0000						
10/19/2018	***-**-48IO - ANACKER, FBO MRS	MFS TECHNOLOGY FUND-B	0.00	1.00	0.00	1.00	0.0	0.00
	ACCOUNT #: LSR011164	BUY 1 Units @0.0000						
10/19/2018	***-**-31IO - WILLIAMSON, FBO	MFS TECHNOLOGY FUND-B	0.00	1.75	0.00	1.75	0.0	0.00
	ACCOUNT #: LSR011172	BUY 1 Units @0.0000						
10/19/2018	***-**-664J - PFAFF, GEORGE	MFS TECHNOLOGY FUND-B	0.00	2.11	0.00	2.11	0.0	0.00
	ACCOUNT #: LSR011184	BUY 1 Units @0.0000						
10/19/2018	***-**-64IO - PFAFF, GEORGE	MFS TECHNOLOGY FUND-B	0.00	1.15	0.00	1.15	0.0	0.00
	ACCOUNT #: LSR011185	BUY 1 Units @0.0000						
10/19/2018	***-**-52IO - EUSEPI, SUSAN	MFS TECHNOLOGY FUND-B	0.00	1.52	0.00	1.52	0.0	0.00
	ACCOUNT #: LSR011219	BUY 1 Units @0.0000						
10/19/2018	***-**-37IR - HARTZ, RENEE	MFS TECHNOLOGY FUND-B	0.00	1.70	0.00	1.70	0.0	0.00
	ACCOUNT #: LSR011259	BUY 1 Units @0.0000						
10/19/2018	***-**-75IR - EVANS, DIANE	MFS TECHNOLOGY FUND-B	0.00	1.08	0.00	1.08	0.0	0.00
	ACCOUNT #: LSR011275	BUY 1 Units @0.0000						
10/19/2018	***-**-653I - KOCHER, CLINTON	MFS TECHNOLOGY FUND-B	0.00	2.51	0.00	2.51	0.0	0.00
	ACCOUNT #: LSR011300	BUY 1 Units @0.0000						
10/19/2018	***-**-680I - HARRELL, DARYL	MFS TECHNOLOGY FUND-B	0.00	1.71	0.00	1.71	0.0	0.00
	ACCOUNT #: LSR011321	BUY 1 Units @0.0000						
10/19/2018	***-**-978I - GUNN, KATHLEEN	MFS TECHNOLOGY FUND-B	0.00	0.99	0.00	0.99	0.0	0.00
	ACCOUNT #: LSR011345	BUY 1 Units @0.0000						
10/19/2018	***-**-197I - GAMBINO, ANDREW	MFS TECHNOLOGY FUND-B	0.00	0.53	0.00	0.53	0.0	0.00
	ACCOUNT #: LSR011465	BUY 1 Units @0.0000						
10/19/2018	***-**-53IN - EVANS, ANDREW	MFS TECHNOLOGY FUND-B	0.00	0.71	0.00	0.71	0.0	0.00
	ACCOUNT #: LSR011483	BUY 1 Units @0.0000						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
10/19/2018	***-**-274X - DOXTADER, ACCOUNT #: LSR011580	MFS TECHNOLOGY FUND-B BUY 1 Units @0.0000	0.00	0.51	0.00	0.51	0.0	0.00
10/19/2018	***-**-38IO - BROWN, TYLER ACCOUNT #: LSR011602	MFS TECHNOLOGY FUND-B BUY 1 Units @0.0000	0.00	1.13	0.00	1.13	0.0	0.00
10/19/2018	***-**-12IR - GRUENEWALD, ACCOUNT #: LSR011614	MFS TECHNOLOGY FUND-B BUY 1 Units @0.0000	0.00	1.31	0.00	1.31	0.0	0.00
10/19/2018	***-**-03IO - MASTRANGELO, ACCOUNT #: LSR011679	MFS TECHNOLOGY FUND-B BUY 1 Units @0.0000	0.00	2.09	0.00	2.09	0.0	0.00
10/19/2018	***-**-45IR - WILLIAMSON, ACCOUNT #: LSR011764	MFS TECHNOLOGY FUND-B BUY 1 Units @0.0000	0.00	2.32	0.00	2.32	0.0	0.00
10/19/2018	***-**-51IO - SCALISE, MARY ACCOUNT #: LSR011837	MFS TECHNOLOGY FUND-B BUY 1 Units @0.0000	0.00	2.10	0.00	2.10	0.0	0.00
10/19/2018	***-**-87IO - LASCALA, LAUREN ACCOUNT #: LSR011858	MFS TECHNOLOGY FUND-B BUY 1 Units @0.0000	0.00	0.38	0.00	0.38	0.0	0.00
10/19/2018	***-**-79TR - OR CYNTHIA ACCOUNT #: LSR012749	MFS TECHNOLOGY FUND-B BUY 1 Units @0.0000	0.00	1.01	0.00	1.01	0.0	0.00
10/19/2018	***-**-881J - EBERLEY, SUSAN ACCOUNT #: LSR010856	MFS TOTAL RETURN FUND-B BUY 1 Units @0.0000	0.00	1.18	0.00	1.18	0.0	0.00
10/19/2018	***-**-949I - ACEE, JOSPEH ACCOUNT #: LSR010908	MFS TOTAL RETURN FUND-B BUY 1 Units @0.0000	0.00	1.85	0.00	1.85	0.0	0.00
10/19/2018	***-**-960J - MASTRANGELO, ACCOUNT #: LSR010966	MFS TOTAL RETURN FUND-B BUY 1 Units @0.0000	0.00	1.88	0.00	1.88	0.0	0.00
10/19/2018	***-**-506J - CURRIERE JR, MR ACCOUNT #: LSR011121	MFS TOTAL RETURN FUND-B BUY 1 Units @0.0000	0.00	0.97	0.00	0.97	0.0	0.00
10/19/2018	***-**-31IO - WILLIAMSON, FBO ACCOUNT #: LSR011172	MFS TOTAL RETURN FUND-B BUY 1 Units @0.0000	0.00	1.77	0.00	1.77	0.0	0.00
10/19/2018	***-**-62IR - ROBBIANO, FBO ACCOUNT #: LSR011195	MFS TOTAL RETURN FUND-B BUY 1 Units @0.0000	0.00	0.87	0.00	0.87	0.0	0.00
10/19/2018	***-**-15IN - PENDRAK, JOHN ACCOUNT #: LSR010948	MFS UTILITIES FUND-A BUY 1 Units @0.0000	0.00	1.89	0.00	1.89	0.0	0.00
10/19/2018	***-**-944O - MAYO, DEBORAH ACCOUNT #: LSR011035	MFS UTILITIES FUND-A BUY 1 Units @0.0000	0.00	0.89	0.00	0.89	0.0	0.00



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
10/19/2018	***-**-96IN - NESSIA, BONNIE	MFS UTILITIES FUND-A	0.00	0.57	0.00	0.57	0.0	0.00
	ACCOUNT #: LSR011055	BUY 1 Units @0.0000						
10/19/2018	***-**-808J - GORMAN, RANDY	MFS UTILITIES FUND-A	0.00	0.58	0.00	0.58	0.0	0.00
	ACCOUNT #: LSR011087	BUY 1 Units @0.0000						
10/19/2018	***-**-31IO - HARTZ, CLAUDIA	MFS UTILITIES FUND-B	0.00	1.37	0.00	1.37	0.0	0.00
	ACCOUNT #: LSR010915	BUY 1 Units @0.0000						
10/19/2018	***-**-366S - GRUENEWALD,	MFS UTILITIES FUND-B	0.00	0.74	0.00	0.74	0.0	0.00
	ACCOUNT #: LSR010990	BUY 1 Units @0.0000						
10/19/2018	***-**-61IN - EVANS, DOLORES	MFS UTILITIES FUND-B	0.00	0.29	0.00	0.29	0.0	0.00
	ACCOUNT #: LSR011023	BUY 1 Units @0.0000						
10/19/2018	***-**-63TR - EVANS, AUDREY J	MFS UTILITIES FUND-B	0.00	1.71	0.00	1.71	0.0	0.00
	ACCOUNT #: LSR011036	BUY 1 Units @0.0000						
10/19/2018	***-**-306X - COBB, CHERRYL	MFS UTILITIES FUND-B	0.00	2.01	0.00	2.01	0.0	0.00
	ACCOUNT #: LSR011037	BUY 1 Units @0.0000						
10/19/2018	***-**-579I - RHYMESTINE,	MFS UTILITIES FUND-B	0.00	2.08	0.00	2.08	0.0	0.00
	ACCOUNT #: LSR011082	BUY 1 Units @0.0000						
10/19/2018	***-**-326J - GRANDE, MR	MFS UTILITIES FUND-B	0.00	0.69	0.00	0.69	0.0	0.00
	ACCOUNT #: LSR011089	BUY 1 Units @0.0000						
10/19/2018	***-**-326I - GRANDE, FBO MR	MFS UTILITIES FUND-B	0.00	0.99	0.00	0.99	0.0	0.00
	ACCOUNT #: LSR011091	BUY 1 Units @0.0000						
10/19/2018	***-**-13IN - RHYMESTINE,	MFS UTILITIES FUND-B	0.00	0.88	0.00	0.88	0.0	0.00
	ACCOUNT #: LSR011106	BUY 1 Units @0.0000						
10/19/2018	***-**-76IO - MCALLISTER, FBO	MFS UTILITIES FUND-B	0.00	0.43	0.00	0.43	0.0	0.00
	ACCOUNT #: LSR011107	BUY 1 Units @0.0000						
10/19/2018	***-**-367J - WAGNER, MRS LANT	MFS UTILITIES FUND-B	0.00	1.67	0.00	1.67	0.0	0.00
	ACCOUNT #: LSR011134	BUY 1 Units @0.0000						
10/19/2018	***-**-31IO - WILLIAMSON, FBO	MFS UTILITIES FUND-B	0.00	1.34	0.00	1.34	0.0	0.00
	ACCOUNT #: LSR011172	BUY 1 Units @0.0000						
10/19/2018	***-**-64IO - PFAFF, GEORGE	MFS UTILITIES FUND-B	0.00	1.71	0.00	1.71	0.0	0.00
	ACCOUNT #: LSR011185	BUY 1 Units @0.0000						
10/19/2018	***-**-653I - KOCHER, CLINTON	MFS UTILITIES FUND-B	0.00	1.44	0.00	1.44	0.0	0.00
	ACCOUNT #: LSR011300	BUY 1 Units @0.0000						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
10/19/2018	***-**-62IN - EATON, DAVID	MFS UTILITIES FUND-B	0.00	1.35	0.00	1.35	0.0	0.00
	ACCOUNT #: LSR011315	BUY 1 Units @0.0000						
10/19/2018	***-**-978I - GUNN, KATHLEEN	MFS UTILITIES FUND-B	0.00	0.41	0.00	0.41	0.0	0.00
	ACCOUNT #: LSR011345	BUY 1 Units @0.0000						
10/19/2018	***-**-21IO - RADELL, SANDRA	MFS UTILITIES FUND-B	0.00	1.66	0.00	1.66	0.0	0.00
	ACCOUNT #: LSR011392	BUY 1 Units @0.0000						
10/19/2018	***-**-197I - GAMBINO, ANDREW	MFS UTILITIES FUND-B	0.00	0.12	0.00	0.12	0.0	0.00
	ACCOUNT #: LSR011465	BUY 1 Units @0.0000						
10/19/2018	***-**-53IN - EVANS, ANDREW	MFS UTILITIES FUND-B	0.00	0.64	0.00	0.64	0.0	0.00
	ACCOUNT #: LSR011483	BUY 1 Units @0.0000						
10/19/2018	***-**-24IN - BLISS, RYAN	MFS UTILITIES FUND-B	0.00	0.12	0.00	0.12	0.0	0.00
	ACCOUNT #: LSR011502	BUY 1 Units @0.0000						
10/19/2018	***-**-51IN - GERACE, JOANNE	MFS UTILITIES FUND-B	0.00	1.54	0.00	1.54	0.0	0.00
	ACCOUNT #: LSR011538	BUY 1 Units @0.0000						
10/19/2018	***-**-38IO - BROWN, TYLER	MFS UTILITIES FUND-B	0.00	0.59	0.00	0.59	0.0	0.00
	ACCOUNT #: LSR011602	BUY 1 Units @0.0000						
10/19/2018	***-**-45IO - WILLIAMSON,	MFS UTILITIES FUND-B	0.00	0.57	0.00	0.57	0.0	0.00
	ACCOUNT #: LSR011756	BUY 1 Units @0.0000						
10/19/2018	***-**-235I - AUGUSTINE III,	MFS UTILITIES FUND-C	0.00	9.14	0.00	9.14	0.0	0.00
	ACCOUNT #: LSR010845	BUY 1 Units @0.0000						
10/19/2018	***-**-980I - ACEE, ELIZABETH	MFS UTILITIES FUND-C	0.00	10.90	0.00	10.90	0.0	0.00
	ACCOUNT #: LSR010885	BUY 1 Units @0.0000						
10/19/2018	***-**-48IO - CLARK, PATRICK	MFS UTILITIES FUND-C	0.00	9.21	0.00	9.21	0.0	0.00
	ACCOUNT #: LSR010911	BUY 1 Units @0.0000						
10/19/2018	***-**-031O - MCVOY, ROBERT	MFS UTILITIES FUND-C	0.00	4.65	0.00	4.65	0.0	0.00
	ACCOUNT #: LSR010916	BUY 1 Units @0.0000						
10/19/2018	***-**-065I - LAZIO, THOMAS	MFS UTILITIES FUND-C	0.00	10.84	0.00	10.84	0.0	0.00
	ACCOUNT #: LSR010979	BUY 1 Units @0.0000						
10/19/2018	***-**-00IO - LEE, GARY	MFS UTILITIES FUND-C	0.00	10.82	0.00	10.82	0.0	0.00
	ACCOUNT #: LSR011059	BUY 1 Units @0.0000						
10/19/2018	***-**-09IO - BATES, FBO MRS	MFS UTILITIES FUND-C	0.00	11.36	0.00	11.36	0.0	0.00
	ACCOUNT #: LSR011117	BUY 1 Units @0.0000						



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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
10/19/2018	***-**-89IN - LEE, ROGER	MFS UTILITIES FUND-C	0.00	6.76	0.00	6.76	0.0	0.00
	ACCOUNT #: LSR011166	BUY 1 Units @0.0000						
10/19/2018	***-**-81IR - CAMPBELL,	MFS UTILITIES FUND-C	0.00	7.07	0.00	7.07	0.0	0.00
	ACCOUNT #: LSR011223	BUY 1 Units @0.0000						
10/19/2018	***-**-11IO - LYNN G.	MFS UTILITIES FUND-C	0.00	8.99	0.00	8.99	0.0	0.00
	ACCOUNT #: LSR011239	BUY 1 Units @0.0000						
10/19/2018	***-**-37IR - HARTZ, RENEE	MFS UTILITIES FUND-C	0.00	0.09	0.00	0.09	0.0	0.00
	ACCOUNT #: LSR011259	BUY 1 Units @0.0000						
10/19/2018	***-**-80IO - EVANS, RICHARD	MFS UTILITIES FUND-C	0.00	7.54	0.00	7.54	0.0	0.00
	ACCOUNT #: LSR011276	BUY 1 Units @0.0000						
10/19/2018	***-**-376I - BERBEN, GAIL	MFS UTILITIES FUND-C	0.00	5.68	0.00	5.68	0.0	0.00
	ACCOUNT #: LSR011380	BUY 1 Units @0.0000						
10/19/2018	***-**-45IO - JOHNSON, GREGORY	MFS UTILITIES FUND-C	0.00	8.75	0.00	8.75	0.0	0.00
	ACCOUNT #: LSR011421	BUY 1 Units @0.0000						
10/19/2018	***-**-14IO - BUSHEY, MATTHEW	MFS UTILITIES FUND-C	0.00	9.62	0.00	9.62	0.0	0.00
	ACCOUNT #: LSR011498	BUY 1 Units @0.0000						
10/19/2018	***-**-22IO - CLINTON, STEPHEN	MFS UTILITIES FUND-C	0.00	0.04	0.00	0.04	0.0	0.00
	ACCOUNT #: LSR011684	BUY 1 Units @0.0000						
10/19/2018	***-**-714O - LINES, JUDITH	MFS UTILITIES FUND-C	0.00	0.01	0.00	0.01	0.0	0.00
	ACCOUNT #: LSR011763	BUY 1 Units @0.0000						
10/19/2018	***-**-35IN - RUGGIERO, LAURIE	MFS UTILITIES FUND-C	0.00	0.06	0.00	0.06	0.0	0.00
	ACCOUNT #: LSR012314	BUY 1 Units @0.0000						
10/19/2018	***-**-31IO - JOSEPH, ANN	MFS UTILITIES FUND-C	0.00	0.04	0.00	0.04	0.0	0.00
	ACCOUNT #: LSR012337	BUY 1 Units @0.0000						
10/19/2018	***-**-726I - YADDAW, DEBRA	MFS UTILITIES FUND-C	0.00	0.03	0.00	0.03	0.0	0.00
	ACCOUNT #: LSR012338	BUY 1 Units @0.0000						
10/19/2018	***-**-452I - ROBERTS, LILLIAN	MFS UTILITIES FUND-C	0.00	0.03	0.00	0.03	0.0	0.00
	ACCOUNT #: LSR012350	BUY 1 Units @0.0000						
10/19/2018	***-**-851J - BLAKE, JAMES	MFS UTILITIES FUND-C	0.00	0.05	0.00	0.05	0.0	0.00
	ACCOUNT #: LSR012393	BUY 1 Units @0.0000						
10/19/2018	***-**-188I - BRADLEY, WAYNE	MFS UTILITIES FUND-C	0.00	0.03	0.00	0.03	0.0	0.00
	ACCOUNT #: LSR012484	BUY 1 Units @0.0000						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
10/19/2018	***-**-555J - WHITTON, CHERYL	MFS UTILITIES FUND-C	0.00	0.03	0.00	0.03	0.0	0.00
	ACCOUNT #: LSR012715	BUY 1 Units @0.0000						
10/19/2018	***-**-663I - LASCALA, DEBORAH	MFS UTILITIES FUND-C	0.00	0.01	0.00	0.01	0.0	0.00
	ACCOUNT #: LSR012790	BUY 1 Units @0.0000						
10/19/2018	***-**-13IN - ROTH, KAREN	MFS VALUE FUND-B	0.00	1.03	0.00	1.03	0.0	0.00
	ACCOUNT #: LSR011954	BUY 1 Units @0.0000						
10/19/2018	***-**-20IO - DEMETRI, AMELIA	MUTUAL GLOBAL DISCOVERY FUND - CLAS	0.00	1.12	0.00	1.12	0.0	0.00
	ACCOUNT #: LSR010995	BUY 1 Units @0.0000						
10/19/2018	***-**-20IO - DEMETRI, AMELIA	NEW PERSPECTIVE FUND-A	0.00	1.27	0.00	1.27	0.0	0.00
	ACCOUNT #: LSR010995	BUY 1 Units @0.0000						
10/19/2018	***-**-702I - KOCHER, MICHAEL	NEW WORLD FUND-A	0.00	2.56	0.00	2.56	0.0	0.00
	ACCOUNT #: LSR010954	BUY 1 Units @0.0000						
10/19/2018	***-**-326I - GRANDE, FBO MR	NEW WORLD FUND-A	0.00	2.32	0.00	2.32	0.0	0.00
	ACCOUNT #: LSR011091	BUY 1 Units @0.0000						
10/19/2018	***-**-680I - HARRELL, DARYL	NEW WORLD FUND-A	0.00	0.55	0.00	0.55	0.0	0.00
	ACCOUNT #: LSR011321	BUY 1 Units @0.0000						
10/19/2018	***-**-128I - BASHANT, THOMAS	NEW WORLD FUND-A	0.00	0.85	0.00	0.85	0.0	0.00
	ACCOUNT #: LSR011387	BUY 1 Units @0.0000						
10/19/2018	***-**-30TR - AND SANDRA	NEW WORLD FUND-A	0.00	1.92	0.00	1.92	0.0	0.00
	ACCOUNT #: LSR011939	BUY 1 Units @0.0000						
11/19/2018	***-**-944O - MAYO, DEBORAH	NEW YORK 529 TRAILS	0.00	6.87	0.00	6.87	0.0	0.00
	ACCOUNT #: 77002217601	BUY 0 Units @0.0000						
11/19/2018	***-**-80IN - COBB, JAMES	NEW YORK 529 TRAILS	0.00	28.88	0.00	28.88	0.0	0.00
	ACCOUNT #: 77169961901	BUY 0 Units @0.0000						
11/19/2018	***-**-665P - MCCLUSKY, YVONNE	NEW YORK 529 TRAILS	0.00	0.82	0.00	0.82	0.0	0.00
	ACCOUNT #: 77237884701	BUY 0 Units @0.0000						
11/19/2018	***-**-0069 - KRECIDLO,	NEW YORK 529 TRAILS	0.00	2.00	0.00	2.00	0.0	0.00
	ACCOUNT #: 77308070501	BUY 0 Units @0.0000						
11/19/2018	***-**-614J - BUSHEY, MATTHEW	NEW YORK 529 TRAILS	0.00	0.76	0.00	0.76	0.0	0.00
		BUY 0 Units @0.0000						
11/19/2018	***-**-065P - CAMPBELL, PAMELA	NEW YORK 529 TRAILS	0.00	15.97	0.00	15.97	0.0	0.00
	ACCOUNT #: 77830931201	BUY 0 Units @0.0000						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
11/19/2018	***-**-20IR - DEMETRI, AMELIA	NEW YORK 529 TRAILS	0.00	1.02	0.00	1.02	0.0	0.00
	ACCOUNT #: 77854436501	BUY 0 Units @0.0000						
11/19/2018	***-**-205P - RHYMESTINE, ERIC	NEW YORK 529 TRAILS	0.00	0.49	0.00	0.49	0.0	0.00
	ACCOUNT #: 77885699801	BUY 0 Units @0.0000						
11/19/2018	***-**-614J - BUSHEY, MATTHEW	NEW YORK 529 TRAILS	0.00	3.21	0.00	3.21	0.0	0.00
		BUY 0 Units @0.0000						
11/19/2018	***-**-5384 - GURDO, JESSICA	NEW YORK 529 TRAILS	0.00	0.60	0.00	0.60	0.0	0.00
		BUY 0 Units @0.0000						
11/19/2018	***-**-0767 - DOVI,	NEW YORK 529 TRAILS	0.00	0.95	0.00	0.95	0.0	0.00
	ACCOUNT #: 77579193101	BUY 0 Units @0.0000						
11/19/2018	***-**-251I - SCALISE, MARY	NEW YORK 529 TRAILS	0.00	32.24	0.00	32.24	0.0	0.00
	ACCOUNT #: 77691153101	BUY 0 Units @0.0000						
11/19/2018	***-**-635P - LASCALA, DEBORAH	NEW YORK 529 TRAILS	0.00	2.00	0.00	2.00	0.0	0.00
	ACCOUNT #: 77699193301	BUY 0 Units @0.0000						
10/19/2018	***-**-15IN - PENDRAK, JOHN	OPP PORT SERIES: ACTIVE ALLOC A	0.00	1.59	0.00	1.59	0.0	0.00
	ACCOUNT #: LSR010948	BUY 1 Units @0.0000						
10/19/2018	***-**-80IN - COBB, JAMES	OPPENHEIMER ACTIVE ALLOCATION FUND	0.00	7.49	0.00	7.49	0.0	0.00
	ACCOUNT #: LSR011042	BUY 1 Units @0.0000						
10/19/2018	***-**-44IO - MAYO, DEBORAH	OPPENHEIMER ACTIVE ALLOCATION FUND	0.00	14.76	0.00	14.76	0.0	0.00
	ACCOUNT #: LSR011079	BUY 1 Units @0.0000						
10/19/2018	***-**-09IO - BATES, FBO MRS	OPPENHEIMER ACTIVE ALLOCATION FUND	0.00	16.51	0.00	16.51	0.0	0.00
	ACCOUNT #: LSR011117	BUY 1 Units @0.0000						
10/19/2018	***-**-11IO - LYNN G.	OPPENHEIMER ACTIVE ALLOCATION FUND	0.00	10.22	0.00	10.22	0.0	0.00
	ACCOUNT #: LSR011239	BUY 1 Units @0.0000						
10/19/2018	***-**-45IO - JOHNSON, GREGORY	OPPENHEIMER ACTIVE ALLOCATION FUND	0.00	8.11	0.00	8.11	0.0	0.00
	ACCOUNT #: LSR011421	BUY 1 Units @0.0000						
10/19/2018	***-**-28IN - BYWATER, KIM	OPPENHEIMER DEV MARKETS FD CLASS C	0.00	1.18	0.00	1.18	0.0	0.00
	ACCOUNT #: LSR011995	BUY 1 Units @0.0000						
10/19/2018	***-**-881J - EBERLEY, SUSAN	OPPENHEIMER DEVELOPING MARKETS CLAS	0.00	1.47	0.00	1.47	0.0	0.00
	ACCOUNT #: LSR010856	BUY 1 Units @0.0000						
10/19/2018	***-**-949I - ACEE, JOSPEH	OPPENHEIMER DEVELOPING MARKETS CLAS	0.00	1.18	0.00	1.18	0.0	0.00
	ACCOUNT #: LSR010908	BUY 1 Units @0.0000						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
10/19/2018	***-**-959I - FRANZ, PAUL ACCOUNT #: LSR010959	OPPENHEIMER DEVELOPING MARKETS CLAS BUY 1 Units @0.0000	0.00	0.31	0.00	0.31	0.0	0.00
10/19/2018	***-**-51IO - CAIN, TIMOTHY ACCOUNT #: LSR011007	OPPENHEIMER DEVELOPING MARKETS CLAS BUY 1 Units @0.0000	0.00	2.16	0.00	2.16	0.0	0.00
10/19/2018	***-**-96IN - NESSIA, BONNIE ACCOUNT #: LSR011055	OPPENHEIMER DEVELOPING MARKETS CLAS BUY 1 Units @0.0000	0.00	0.73	0.00	0.73	0.0	0.00
10/19/2018	***-**-506J - CURRIERE JR, MR ACCOUNT #: LSR011121	OPPENHEIMER DEVELOPING MARKETS CLAS BUY 1 Units @0.0000	0.00	0.79	0.00	0.79	0.0	0.00
10/19/2018	***-**-48IO - ANACKER, FBO MRS ACCOUNT #: LSR011164	OPPENHEIMER DEVELOPING MARKETS CLAS BUY 1 Units @0.0000	0.00	0.72	0.00	0.72	0.0	0.00
10/19/2018	***-**-64IO - PFAFF, GEORGE ACCOUNT #: LSR011185	OPPENHEIMER DEVELOPING MARKETS CLAS BUY 1 Units @0.0000	0.00	1.39	0.00	1.39	0.0	0.00
10/19/2018	***-**-62IR - ROBBIANO, FBO ACCOUNT #: LSR011195	OPPENHEIMER DEVELOPING MARKETS CLAS BUY 1 Units @0.0000	0.00	1.07	0.00	1.07	0.0	0.00
10/19/2018	***-**-653I - KOCHER, CLINTON ACCOUNT #: LSR011300	OPPENHEIMER DEVELOPING MARKETS CLAS BUY 1 Units @0.0000	0.00	1.94	0.00	1.94	0.0	0.00
10/19/2018	***-**-680I - HARRELL, DARYL ACCOUNT #: LSR011321	OPPENHEIMER DEVELOPING MARKETS CLAS BUY 1 Units @0.0000	0.00	0.78	0.00	0.78	0.0	0.00
10/19/2018	***-**-031O - MCVOY, ROBERT ACCOUNT #: LSR010916	OPPENHEIMER GLOBAL VALUE FUND CL C BUY 1 Units @0.0000	0.00	5.17	0.00	5.17	0.0	0.00
10/19/2018	***-**-714O - LINES, JUDITH ACCOUNT #: LSR011763	OPPENHEIMER GLOBAL VALUE FUND CL C BUY 1 Units @0.0000	0.00	2.69	0.00	2.69	0.0	0.00
10/19/2018	***-**-05IN - GATES, ROGER ACCOUNT #: LSR012771	OPPENHEIMER GLOBAL VALUE FUND CL C BUY 1 Units @0.0000	0.00	6.74	0.00	6.74	0.0	0.00
10/19/2018	***-**-382I - SATTERLY, NEIL ACCOUNT #: LSR010867	OPPENHEIMER GOLD & SPECIAL MINERALS BUY 1 Units @0.0000	0.00	3.31	0.00	3.31	0.0	0.00
10/19/2018	***-**-48IO - CLARK, PATRICK ACCOUNT #: LSR010911	OPPENHEIMER GOLD & SPECIAL MINERALS BUY 1 Units @0.0000	0.00	4.34	0.00	4.34	0.0	0.00
10/19/2018	***-**-31IO - HARTZ, CLAUDIA ACCOUNT #: LSR010915	OPPENHEIMER GOLD & SPECIAL MINERALS BUY 1 Units @0.0000	0.00	3.49	0.00	3.49	0.0	0.00
10/19/2018	***-**-72IN - GAVALO, JULIE ACCOUNT #: LSR010921	OPPENHEIMER GOLD & SPECIAL MINERALS BUY 1 Units @0.0000	0.00	1.91	0.00	1.91	0.0	0.00



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
10/19/2018	***-**-065I - LAZIO, THOMAS	OPPENHEIMER GOLD & SPECIAL MINERALS	0.00	4.62	0.00	4.62	0.0	0.00
	ACCOUNT #: LSR010979	BUY 1 Units @0.0000						
10/19/2018	***-**-420T - DEMETRI, AMELIA	OPPENHEIMER GOLD & SPECIAL MINERALS	0.00	1.99	0.00	1.99	0.0	0.00
	ACCOUNT #: LSR010994	BUY 1 Units @0.0000						
10/19/2018	***-**-00IO - LEE, GARY	OPPENHEIMER GOLD & SPECIAL MINERALS	0.00	6.12	0.00	6.12	0.0	0.00
	ACCOUNT #: LSR011059	BUY 1 Units @0.0000						
10/19/2018	***-**-09IO - BATES, FBO MRS	OPPENHEIMER GOLD & SPECIAL MINERALS	0.00	2.00	0.00	2.00	0.0	0.00
	ACCOUNT #: LSR011117	BUY 1 Units @0.0000						
10/19/2018	***-**-11IO - LYNN G.	OPPENHEIMER GOLD & SPECIAL MINERALS	0.00	5.74	0.00	5.74	0.0	0.00
	ACCOUNT #: LSR011239	BUY 1 Units @0.0000						
10/19/2018	***-**-45IO - JOHNSON, GREGORY	OPPENHEIMER GOLD & SPECIAL MINERALS	0.00	4.68	0.00	4.68	0.0	0.00
	ACCOUNT #: LSR011421	BUY 1 Units @0.0000						
10/19/2018	***-**-51IN - GERACE, JOANNE	OPPENHEIMER GOLD & SPECIAL MINERALS	0.00	1.27	0.00	1.27	0.0	0.00
	ACCOUNT #: LSR011538	BUY 1 Units @0.0000						
10/19/2018	***-**-714O - LINES, JUDITH	OPPENHEIMER INTERNATIONAL DIVERSIFI	0.00	2.04	0.00	2.04	0.0	0.00
	ACCOUNT #: LSR011763	BUY 1 Units @0.0000						
10/19/2018	***-**-28IN - BYWATER, KIM	OPPENHEIMER INTERNATIONAL SMALL COM	0.00	2.51	0.00	2.51	0.0	0.00
	ACCOUNT #: LSR011995	BUY 1 Units @0.0000						
10/19/2018	***-**-881I - EBERLEY, SUSAN	OPPENHEIMER MAIN STREET SMALL CAP F	0.00	1.96	0.00	1.96	0.0	0.00
	ACCOUNT #: LSR010858	BUY 1 Units @0.0000						
10/19/2018	***-**-382I - SATTERLY, NEIL	OPPENHEIMER RISING DIVIDENDS FUND C	0.00	28.54	0.00	28.54	0.0	0.00
	ACCOUNT #: LSR010867	BUY 1 Units @0.0000						
10/19/2018	***-**-031O - MCVOY, ROBERT	OPPENHEIMER RISING DIVIDENDS FUND C	0.00	5.98	0.00	5.98	0.0	0.00
	ACCOUNT #: LSR010916	BUY 1 Units @0.0000						
10/19/2018	***-**-065I - LAZIO, THOMAS	OPPENHEIMER RISING DIVIDENDS FUND C	0.00	9.24	0.00	9.24	0.0	0.00
	ACCOUNT #: LSR010979	BUY 1 Units @0.0000						
10/19/2018	***-**-51IN - GERACE, JOANNE	OPPENHEIMER RISING DIVIDENDS FUND C	0.00	8.05	0.00	8.05	0.0	0.00
	ACCOUNT #: LSR011538	BUY 1 Units @0.0000						
10/19/2018	***-**-37IO - MCCLUSKY, MARK	OPPENHEIMER RISING DIVIDENDS FUND C	0.00	5.30	0.00	5.30	0.0	0.00
	ACCOUNT #: LSR011579	BUY 1 Units @0.0000						
10/19/2018	***-**-714O - LINES, JUDITH	OPPENHEIMER RISING DIVIDENDS FUND C	0.00	7.91	0.00	7.91	0.0	0.00
	ACCOUNT #: LSR011763	BUY 1 Units @0.0000						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
10/19/2018	***-**-28IN - BYWATER, KIM	OPPENHEIMER RISING DIVIDENDS FUND C	0.00	1.70	0.00	1.70	0.0	0.00
	ACCOUNT #: LSR011995	BUY 1 Units @0.0000						
10/19/2018	***-**-287J - HINCKLEY,	OPPENHEIMER ROCHEST AMT-FREE NY MUN	0.00	1.80	0.00	1.80	0.0	0.00
	ACCOUNT #: LSR010841	BUY 1 Units @0.0000						
10/19/2018	***-**-254I - AUGUSTINE, LINDA	OPPENHEIMER SMALL & MID CAP VALUE F	0.00	0.89	0.00	0.89	0.0	0.00
	ACCOUNT #: LSR010846	BUY 1 Units @0.0000						
10/19/2018	***-**-930I - SANGER, KEVIN	OPPENHEIMER SMALL & MID CAP VALUE F	0.00	0.42	0.00	0.42	0.0	0.00
	ACCOUNT #: LSR010941	BUY 1 Units @0.0000						
10/19/2018	***-**-15IN - PENDRAK, JOHN	OPPENHEIMER SMALL & MID CAP VALUE F	0.00	0.89	0.00	0.89	0.0	0.00
	ACCOUNT #: LSR010948	BUY 1 Units @0.0000						
10/19/2018	***-**-959I - FRANZ, PAUL	OPPENHEIMER SMALL & MID CAP VALUE F	0.00	1.75	0.00	1.75	0.0	0.00
	ACCOUNT #: LSR010959	BUY 1 Units @0.0000						
10/19/2018	***-**-567I - FRANZ, ALICE	OPPENHEIMER SMALL & MID CAP VALUE F	0.00	2.38	0.00	2.38	0.0	0.00
	ACCOUNT #: LSR010960	BUY 1 Units @0.0000						
10/19/2018	***-**-944O - MAYO, DEBORAH	OPPENHEIMER SMALL & MID CAP VALUE F	0.00	0.74	0.00	0.74	0.0	0.00
	ACCOUNT #: LSR011035	BUY 1 Units @0.0000						
10/19/2018	***-**-580X - COBB, JAMES	OPPENHEIMER SMALL & MID CAP VALUE F	0.00	1.06	0.00	1.06	0.0	0.00
	ACCOUNT #: LSR011040	BUY 1 Units @0.0000						
10/19/2018	***-**-111J - NESSIA, JAMES	OPPENHEIMER SMALL & MID CAP VALUE F	0.00	1.03	0.00	1.03	0.0	0.00
	ACCOUNT #: LSR011054	BUY 1 Units @0.0000						
10/19/2018	***-**-579I - RHYMESTINE,	OPPENHEIMER SMALL & MID CAP VALUE F	0.00	2.25	0.00	2.25	0.0	0.00
	ACCOUNT #: LSR011082	BUY 1 Units @0.0000						
10/19/2018	***-**-13IN - RHYMESTINE,	OPPENHEIMER SMALL & MID CAP VALUE F	0.00	0.50	0.00	0.50	0.0	0.00
	ACCOUNT #: LSR011106	BUY 1 Units @0.0000						
10/19/2018	***-**-664J - PFAFF, GEORGE	OPPENHEIMER SMALL & MID CAP VALUE F	0.00	0.73	0.00	0.73	0.0	0.00
	ACCOUNT #: LSR011184	BUY 1 Units @0.0000						
10/19/2018	***-**-62IN - EATON, DAVID	OPPENHEIMER SMALL & MID CAP VALUE F	0.00	0.70	0.00	0.70	0.0	0.00
	ACCOUNT #: LSR011315	BUY 1 Units @0.0000						
10/19/2018	***-**-80IN - COBB, JAMES	OPPENHEIMER STEELPATH MLP ALPHA PLU	0.00	1.09	0.00	1.09	0.0	0.00
	ACCOUNT #: LSR011042	BUY 1 Units @0.0000						
10/19/2018	***-**-837O - BASEMENT	OPPENHEIMERSTEELPATH MLP INCOME CL	0.00	2.87	0.00	2.87	0.0	0.00
	ACCOUNT #: LSR011046	BUY 1 Units @0.0000						



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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
10/19/2018	***-**-80IN - COBB, JAMES	OPPENHEIMERSTEELPATH MLP SELECT 40	0.00	0.63	0.00	0.63	0.0	0.00
	ACCOUNT #: LSR011042	BUY 1 Units @0.0000						
10/19/2018	***-**-48IO - CLARK, PATRICK	PORT SERIES: CONS INV C	0.00	17.08	0.00	17.08	0.0	0.00
	ACCOUNT #: LSR010911	BUY 1 Units @0.0000						
10/19/2018	***-**-72IN - GAVALO, JULIE	PORT SERIES: CONS INV C	0.00	22.22	0.00	22.22	0.0	0.00
	ACCOUNT #: LSR010921	BUY 1 Units @0.0000						
10/19/2018	***-**-420T - DEMETRI, AMELIA	PORT SERIES: CONS INV C	0.00	1.68	0.00	1.68	0.0	0.00
	ACCOUNT #: LSR010994	BUY 1 Units @0.0000						
10/19/2018	***-**-73UT - COBB, CHRISTIAN	PORT SERIES: CONS INV C	0.00	4.50	0.00	4.50	0.0	0.00
	ACCOUNT #: LSR011104	BUY 1 Units @0.0000						
10/19/2018	***-**-67UT - COBB,	PORT SERIES: CONS INV C	0.00	4.50	0.00	4.50	0.0	0.00
	ACCOUNT #: LSR011105	BUY 1 Units @0.0000						
10/19/2018	***-**-89IN - LEE, ROGER	PORT SERIES: CONS INV C	0.00	9.72	0.00	9.72	0.0	0.00
	ACCOUNT #: LSR011166	BUY 1 Units @0.0000						
10/19/2018	***-**-52IO - EUSEPI, SUSAN	PORT SERIES: CONS INV C	0.00	12.16	0.00	12.16	0.0	0.00
	ACCOUNT #: LSR011219	BUY 1 Units @0.0000						
10/19/2018	***-**-439I - MCCARTHY, JAMES	PORT SERIES: CONS INV C	0.00	4.06	0.00	4.06	0.0	0.00
	ACCOUNT #: LSR011244	BUY 1 Units @0.0000						
10/19/2018	***-**-80IO - EVANS, RICHARD	PORT SERIES: CONS INV C	0.00	12.99	0.00	12.99	0.0	0.00
	ACCOUNT #: LSR011276	BUY 1 Units @0.0000						
10/19/2018	***-**-664J - PFAFF, GEORGE	PORT SERIES: EQUITY INV FD A	0.00	1.06	0.00	1.06	0.0	0.00
	ACCOUNT #: LSR011184	BUY 1 Units @0.0000						
10/19/2018	***-**-254I - AUGUSTINE, LINDA	PORTFOLIO SERIES: CONS INV A	0.00	1.49	0.00	1.49	0.0	0.00
	ACCOUNT #: LSR010846	BUY 1 Units @0.0000						
10/19/2018	***-**-15IN - PENDRAK, JOHN	PORTFOLIO SERIES: CONS INV A	0.00	2.40	0.00	2.40	0.0	0.00
	ACCOUNT #: LSR010948	BUY 1 Units @0.0000						
10/19/2018	***-**-959I - FRANZ, PAUL	PORTFOLIO SERIES: CONS INV A	0.00	2.06	0.00	2.06	0.0	0.00
	ACCOUNT #: LSR010959	BUY 1 Units @0.0000						
10/19/2018	***-**-567I - FRANZ, ALICE	PORTFOLIO SERIES: CONS INV A	0.00	3.15	0.00	3.15	0.0	0.00
	ACCOUNT #: LSR010960	BUY 1 Units @0.0000						
10/19/2018	***-**-51IO - CAIN, TIMOTHY	PORTFOLIO SERIES: CONS INV A	0.00	2.03	0.00	2.03	0.0	0.00
	ACCOUNT #: LSR011007	BUY 1 Units @0.0000						



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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
10/19/2018	***-**-761I - EVANS, DOLORES	PORTFOLIO SERIES: CONS INV A	0.00	1.16	0.00	1.16	0.0	0.00
	ACCOUNT #: LSR011024	BUY 1 Units @0.0000						
10/19/2018	***-**-944O - MAYO, DEBORAH	PORTFOLIO SERIES: CONS INV A	0.00	1.70	0.00	1.70	0.0	0.00
	ACCOUNT #: LSR011035	BUY 1 Units @0.0000						
10/19/2018	***-**-861I - SANGER, LAWRENCE	PORTFOLIO SERIES: CONS INV A	0.00	0.65	0.00	0.65	0.0	0.00
	ACCOUNT #: LSR011095	BUY 1 Units @0.0000						
10/19/2018	***-**-13IN - RHYMESTINE,	PORTFOLIO SERIES: CONS INV A	0.00	0.80	0.00	0.80	0.0	0.00
	ACCOUNT #: LSR011106	BUY 1 Units @0.0000						
10/19/2018	***-**-664J - PFAFF, GEORGE	PORTFOLIO SERIES: CONS INV A	0.00	4.29	0.00	4.29	0.0	0.00
	ACCOUNT #: LSR011184	BUY 1 Units @0.0000						
10/19/2018	***-**-02IN - BUSHEY, MELISSA	PORTFOLIO SERIES: CONS INV A	0.00	0.62	0.00	0.62	0.0	0.00
	ACCOUNT #: LSR011257	BUY 1 Units @0.0000						
10/19/2018	***-**-62IN - EATON, DAVID	PORTFOLIO SERIES: CONS INV A	0.00	1.20	0.00	1.20	0.0	0.00
	ACCOUNT #: LSR011315	BUY 1 Units @0.0000						
10/19/2018	***-**-714O - LINES, JUDITH	QUEST BALANCED FUND C	0.00	1.57	0.00	1.57	0.0	0.00
	ACCOUNT #: LSR011763	BUY 1 Units @0.0000						
10/19/2018	***-**-680I - HARRELL, DARYL	QUEST INTERNATIONAL VALUE FUND, INC	0.00	0.63	0.00	0.63	0.0	0.00
	ACCOUNT #: LSR011321	BUY 1 Units @0.0000						
10/19/2018	***-**-15IN - PENDRAK, JOHN	QUEST OPPORTUNITY VALUE A	0.00	0.69	0.00	0.69	0.0	0.00
	ACCOUNT #: LSR010948	BUY 1 Units @0.0000						
10/19/2018	***-**-254I - AUGUSTINE, LINDA	REAL ESTATE FUND A	0.00	0.80	0.00	0.80	0.0	0.00
	ACCOUNT #: LSR010846	BUY 1 Units @0.0000						
10/19/2018	***-**-881J - EBERLEY, SUSAN	REAL ESTATE FUND A	0.00	1.07	0.00	1.07	0.0	0.00
	ACCOUNT #: LSR010856	BUY 1 Units @0.0000						
10/19/2018	***-**-949I - ACEE, JOSPEH	REAL ESTATE FUND A	0.00	1.33	0.00	1.33	0.0	0.00
	ACCOUNT #: LSR010908	BUY 1 Units @0.0000						
10/19/2018	***-**-15IN - PENDRAK, JOHN	REAL ESTATE FUND A	0.00	0.85	0.00	0.85	0.0	0.00
	ACCOUNT #: LSR010948	BUY 1 Units @0.0000						
10/19/2018	***-**-702I - KOCHEM, MICHAEL	REAL ESTATE FUND A	0.00	0.99	0.00	0.99	0.0	0.00
	ACCOUNT #: LSR010954	BUY 1 Units @0.0000						
10/19/2018	***-**-567I - FRANZ, ALICE	REAL ESTATE FUND A	0.00	2.07	0.00	2.07	0.0	0.00
	ACCOUNT #: LSR010960	BUY 1 Units @0.0000						



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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
10/19/2018	***-**-51IO - CAIN, TIMOTHY	REAL ESTATE FUND A	0.00	1.16	0.00	1.16	0.0	0.00
	ACCOUNT #: LSR011007	BUY 1 Units @0.0000						
10/19/2018	***-**-761I - EVANS, DOLORES	REAL ESTATE FUND A	0.00	2.91	0.00	2.91	0.0	0.00
	ACCOUNT #: LSR011024	BUY 1 Units @0.0000						
10/19/2018	***-**-944O - MAYO, DEBORAH	REAL ESTATE FUND A	0.00	0.61	0.00	0.61	0.0	0.00
	ACCOUNT #: LSR011035	BUY 1 Units @0.0000						
10/19/2018	***-**-111J - NESSIA, JAMES	REAL ESTATE FUND A	0.00	1.01	0.00	1.01	0.0	0.00
	ACCOUNT #: LSR011054	BUY 1 Units @0.0000						
10/19/2018	***-**-326I - GRANDE, FBO MR	REAL ESTATE FUND A	0.00	1.11	0.00	1.11	0.0	0.00
	ACCOUNT #: LSR011091	BUY 1 Units @0.0000						
10/19/2018	***-**-861I - SANGER, LAWRENCE	REAL ESTATE FUND A	0.00	1.41	0.00	1.41	0.0	0.00
	ACCOUNT #: LSR011095	BUY 1 Units @0.0000						
10/19/2018	***-**-506J - CURRIERE JR, MR	REAL ESTATE FUND A	0.00	0.51	0.00	0.51	0.0	0.00
	ACCOUNT #: LSR011121	BUY 1 Units @0.0000						
10/19/2018	***-**-367J - WAGNER, MRS LANT	REAL ESTATE FUND A	0.00	1.28	0.00	1.28	0.0	0.00
	ACCOUNT #: LSR011134	BUY 1 Units @0.0000						
10/19/2018	***-**-48IO - ANACKER, FBO MRS	REAL ESTATE FUND A	0.00	1.52	0.00	1.52	0.0	0.00
	ACCOUNT #: LSR011164	BUY 1 Units @0.0000						
10/19/2018	***-**-31IO - WILLIAMSON, FBO	REAL ESTATE FUND A	0.00	1.42	0.00	1.42	0.0	0.00
	ACCOUNT #: LSR011172	BUY 1 Units @0.0000						
10/19/2018	***-**-664J - PFAFF, GEORGE	REAL ESTATE FUND A	0.00	1.45	0.00	1.45	0.0	0.00
	ACCOUNT #: LSR011184	BUY 1 Units @0.0000						
10/19/2018	***-**-64IO - PFAFF, GEORGE	REAL ESTATE FUND A	0.00	1.55	0.00	1.55	0.0	0.00
	ACCOUNT #: LSR011185	BUY 1 Units @0.0000						
10/19/2018	***-**-62IR - ROBBIANO, FBO	REAL ESTATE FUND A	0.00	0.45	0.00	0.45	0.0	0.00
	ACCOUNT #: LSR011195	BUY 1 Units @0.0000						
10/19/2018	***-**-653I - KOCHER, CLINTON	REAL ESTATE FUND A	0.00	1.47	0.00	1.47	0.0	0.00
	ACCOUNT #: LSR011300	BUY 1 Units @0.0000						
10/19/2018	***-**-62IN - EATON, DAVID	REAL ESTATE FUND A	0.00	0.61	0.00	0.61	0.0	0.00
	ACCOUNT #: LSR011315	BUY 1 Units @0.0000						
10/19/2018	***-**-382I - SATTERLY, NEIL	REAL ESTATE FUND C	0.00	10.24	0.00	10.24	0.0	0.00
	ACCOUNT #: LSR010867	BUY 1 Units @0.0000						



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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
10/19/2018	***-**-48IO - CLARK, PATRICK	REAL ESTATE FUND C	0.00	7.62	0.00	7.62	0.0	0.00
	ACCOUNT #: LSR010911	BUY 1 Units @0.0000						
10/19/2018	***-**-72IN - GAVALO, JULIE	REAL ESTATE FUND C	0.00	8.25	0.00	8.25	0.0	0.00
	ACCOUNT #: LSR010921	BUY 1 Units @0.0000						
10/19/2018	***-**-065I - LAZIO, THOMAS	REAL ESTATE FUND C	0.00	6.10	0.00	6.10	0.0	0.00
	ACCOUNT #: LSR010979	BUY 1 Units @0.0000						
10/19/2018	***-**-73TR - WESTCOTT IRRVOC	REAL ESTATE FUND C	0.00	8.07	0.00	8.07	0.0	0.00
	ACCOUNT #: LSR011001	BUY 1 Units @0.0000						
10/19/2018	***-**-73TR - WESTCOTT IRRVOC	REAL ESTATE FUND C	0.00	2.17	0.00	2.17	0.0	0.00
	ACCOUNT #: LSR011008	BUY 1 Units @0.0000						
10/19/2018	***-**-00IO - LEE, GARY	REAL ESTATE FUND C	0.00	9.84	0.00	9.84	0.0	0.00
	ACCOUNT #: LSR011059	BUY 1 Units @0.0000						
10/19/2018	***-**-52IO - EUSEPI, SUSAN	REAL ESTATE FUND C	0.00	4.68	0.00	4.68	0.0	0.00
	ACCOUNT #: LSR011219	BUY 1 Units @0.0000						
10/19/2018	***-**-11IO - LYNN G.	REAL ESTATE FUND C	0.00	12.80	0.00	12.80	0.0	0.00
	ACCOUNT #: LSR011239	BUY 1 Units @0.0000						
10/19/2018	***-**-80IO - EVANS, RICHARD	REAL ESTATE FUND C	0.00	4.04	0.00	4.04	0.0	0.00
	ACCOUNT #: LSR011276	BUY 1 Units @0.0000						
10/19/2018	***-**-45IO - JOHNSON, GREGORY	REAL ESTATE FUND C	0.00	6.93	0.00	6.93	0.0	0.00
	ACCOUNT #: LSR011421	BUY 1 Units @0.0000						
10/19/2018	***-**-7140 - LINES, JUDITH	REAL ESTATE FUND C	0.00	2.37	0.00	2.37	0.0	0.00
	ACCOUNT #: LSR011763	BUY 1 Units @0.0000						
10/19/2018	***-**-287J - HINCKLEY,	RISING DIVIDENDS FUND A	0.00	0.33	0.00	0.33	0.0	0.00
	ACCOUNT #: LSR010841	BUY 1 Units @0.0000						
10/19/2018	***-**-254I - AUGUSTINE, LINDA	RISING DIVIDENDS FUND A	0.00	1.31	0.00	1.31	0.0	0.00
	ACCOUNT #: LSR010846	BUY 1 Units @0.0000						
10/19/2018	***-**-881I - EBERLEY, SUSAN	RISING DIVIDENDS FUND A	0.00	0.96	0.00	0.96	0.0	0.00
	ACCOUNT #: LSR010858	BUY 1 Units @0.0000						
10/19/2018	***-**-702I - KOCHER, MICHAEL	RISING DIVIDENDS FUND A	0.00	2.46	0.00	2.46	0.0	0.00
	ACCOUNT #: LSR010954	BUY 1 Units @0.0000						
10/19/2018	***-**-959I - FRANZ, PAUL	RISING DIVIDENDS FUND A	0.00	1.16	0.00	1.16	0.0	0.00
	ACCOUNT #: LSR010959	BUY 1 Units @0.0000						



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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
10/19/2018	***-**-366I - GRUENEWALD, ACCOUNT #: LSR010989	RISING DIVIDENDS FUND A BUY 1 Units @0.0000	0.00	1.40	0.00	1.40	0.0	0.00
10/19/2018	***-**-761I - EVANS, DOLORES ACCOUNT #: LSR011024	RISING DIVIDENDS FUND A BUY 1 Units @0.0000	0.00	8.37	0.00	8.37	0.0	0.00
10/19/2018	***-**-944O - MAYO, DEBORAH ACCOUNT #: LSR011035	RISING DIVIDENDS FUND A BUY 1 Units @0.0000	0.00	1.19	0.00	1.19	0.0	0.00
10/19/2018	***-**-580X - COBB, JAMES ACCOUNT #: LSR011040	RISING DIVIDENDS FUND A BUY 1 Units @0.0000	0.00	2.21	0.00	2.21	0.0	0.00
10/19/2018	***-**-96IN - NESSIA, BONNIE ACCOUNT #: LSR011055	RISING DIVIDENDS FUND A BUY 1 Units @0.0000	0.00	2.47	0.00	2.47	0.0	0.00
10/19/2018	***-**-579I - RHYMESTINE, ACCOUNT #: LSR011082	RISING DIVIDENDS FUND A BUY 1 Units @0.0000	0.00	2.77	0.00	2.77	0.0	0.00
10/19/2018	***-**-326I - GRANDE, FBO MR ACCOUNT #: LSR011091	RISING DIVIDENDS FUND A BUY 1 Units @0.0000	0.00	2.07	0.00	2.07	0.0	0.00
10/19/2018	***-**-861I - SANGER, LAWRENCE ACCOUNT #: LSR011095	RISING DIVIDENDS FUND A BUY 1 Units @0.0000	0.00	1.84	0.00	1.84	0.0	0.00
10/19/2018	***-**-13IN - RHYMESTINE, ACCOUNT #: LSR011106	RISING DIVIDENDS FUND A BUY 1 Units @0.0000	0.00	1.20	0.00	1.20	0.0	0.00
10/19/2018	***-**-664J - PFAFF, GEORGE ACCOUNT #: LSR011184	RISING DIVIDENDS FUND A BUY 1 Units @0.0000	0.00	0.85	0.00	0.85	0.0	0.00
10/19/2018	***-**-02IN - BUSHEY, MELISSA ACCOUNT #: LSR011257	RISING DIVIDENDS FUND A BUY 1 Units @0.0000	0.00	0.96	0.00	0.96	0.0	0.00
10/19/2018	***-**-62IN - EATON, DAVID ACCOUNT #: LSR011315	RISING DIVIDENDS FUND A BUY 1 Units @0.0000	0.00	1.30	0.00	1.30	0.0	0.00
10/19/2018	***-**-680I - HARRELL, DARYL ACCOUNT #: LSR011321	RISING DIVIDENDS FUND A BUY 1 Units @0.0000	0.00	1.13	0.00	1.13	0.0	0.00
10/19/2018	***-**-96IN - NESSIA, BONNIE ACCOUNT #: LSR011055	ROCH. LIMITED TERM NEW YORK MUNICI BUY 1 Units @0.0000	0.00	1.30	0.00	1.30	0.0	0.00
10/19/2018	***-**-13IN - RHYMESTINE, ACCOUNT #: LSR011106	ROCH. LIMITED TERM NEW YORK MUNICI BUY 1 Units @0.0000	0.00	0.98	0.00	0.98	0.0	0.00
10/19/2018	***-**-02IN - BUSHEY, MELISSA ACCOUNT #: LSR011257	ROCH. LIMITED TERM NEW YORK MUNICI BUY 1 Units @0.0000	0.00	0.39	0.00	0.39	0.0	0.00



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
10/19/2018	***-**-7140 - LINES, JUDITH ACCOUNT #: LSR011763	ROCH. LIMITED TERM NEW YORK MUNICIP BUY 1 Units @0.0000	0.00	2.09	0.00	2.09	0.0	0.00
10/19/2018	***-**-80IN - COBB, JAMES ACCOUNT #: LSR011042	ROCHESTER NATIONAL MUNICIPALS A BUY 1 Units @0.0000	0.00	2.72	0.00	2.72	0.0	0.00
10/19/2018	***-**-7140 - LINES, JUDITH ACCOUNT #: LSR011763	SENIOR FLOATING RATE FUND C BUY 1 Units @0.0000	0.00	3.39	0.00	3.39	0.0	0.00
10/19/2018	***-**-065I - LAZIO, THOMAS ACCOUNT #: LSR010979	SMALL- & MID- CAP VALUE FUND C BUY 1 Units @0.0000	0.00	3.92	0.00	3.92	0.0	0.00
10/19/2018	***-**-28IN - BYWATER, KIM ACCOUNT #: LSR011995	SMALL- & MID- CAP VALUE FUND C BUY 1 Units @0.0000	0.00	1.84	0.00	1.84	0.0	0.00
10/19/2018	***-**-680I - HARRELL, DARYL ACCOUNT #: LSR011321	SMALLCAP WORLD FUND-A BUY 1 Units @0.0000	0.00	0.91	0.00	0.91	0.0	0.00
10/19/2018	***-**-382I - SATTERLY, NEIL ACCOUNT #: LSR010867	SMALLCAP WORLD FUND-C BUY 1 Units @0.0000	0.00	8.97	0.00	8.97	0.0	0.00
10/19/2018	***-**-567I - FRANZ, ALICE ACCOUNT #: LSR010960	SMALLCAP WORLD FUND-C BUY 1 Units @0.0000	0.00	7.37	0.00	7.37	0.0	0.00
10/19/2018	***-**-44IO - MAYO, DEBORAH ACCOUNT #: LSR011079	SMALLCAP WORLD FUND-C BUY 1 Units @0.0000	0.00	12.42	0.00	12.42	0.0	0.00
10/19/2018	***-**-09IO - BATES, FBO MRS ACCOUNT #: LSR011117	SMALLCAP WORLD FUND-C BUY 1 Units @0.0000	0.00	12.07	0.00	12.07	0.0	0.00
10/19/2018	***-**-11IO - LYNN G. ACCOUNT #: LSR011239	SMALLCAP WORLD FUND-C BUY 1 Units @0.0000	0.00	8.42	0.00	8.42	0.0	0.00
10/19/2018	***-**-45IO - JOHNSON, GREGORY ACCOUNT #: LSR011421	SMALLCAP WORLD FUND-C BUY 1 Units @0.0000	0.00	8.21	0.00	8.21	0.0	0.00
10/19/2018	***-**-851K - LALLIER, JAMES ACCOUNT #: LSR012645	SMALLCAP WORLD FUND-C BUY 1 Units @0.0000	0.00	4.32	0.00	4.32	0.0	0.00
10/19/2018	***-**-7140 - LINES, JUDITH ACCOUNT #: LSR011763	STRATEGIC INCOME FUND C BUY 1 Units @0.0000	0.00	1.30	0.00	1.30	0.0	0.00
10/19/2018	***-**-86IN - LEE, KEVIN ACCOUNT #: LSR011613	TEMPLETON GLOBAL BOND FUND - CLASS BUY 1 Units @0.0000	0.00	3.70	0.00	3.70	0.0	0.00
10/19/2018	***-**-43IN - FRANZ, WAYNE ACCOUNT #: LSR012636	THE BOND FUND OF AMERICA-A BUY 1 Units @0.0000	0.00	3.68	0.00	3.68	0.0	0.00



COMMISSION STATEMENT

November 19, 2018

KURT GRUENEWALD
2108 Genesee St.
Utica, NY 13502

BROKER #: A77
BRANCH #01047 - 47 - GRIFFITH

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
10/19/2018	***-**-366I - GRUENEWALD, ACCOUNT #: LSR010989	THE GROWTH FUND OF AMERICA-A BUY 1 Units @0.0000	0.00	1.09	0.00	1.09	0.0	0.00
10/19/2018	***-**-326I - GRANDE, FBO MR ACCOUNT #: LSR011091	THE GROWTH FUND OF AMERICA-A BUY 1 Units @0.0000	0.00	2.30	0.00	2.30	0.0	0.00
10/19/2018	***-**-567I - FRANZ, ALICE ACCOUNT #: LSR010960	THE GROWTH FUND OF AMERICA-C BUY 1 Units @0.0000	0.00	10.99	0.00	10.99	0.0	0.00
10/19/2018	***-**-287I - HINCKLEY, ACCOUNT #: LSR010843	THE INCOME FUND OF AMERICA-A BUY 1 Units @0.0000	0.00	4.45	0.00	4.45	0.0	0.00
10/19/2018	***-**-702I - KOCHEM, MICHAEL ACCOUNT #: LSR010954	THE INCOME FUND OF AMERICA-A BUY 1 Units @0.0000	0.00	3.54	0.00	3.54	0.0	0.00
10/19/2018	***-**-959J - FRANZ, PAUL ACCOUNT #: LSR010958	THE INCOME FUND OF AMERICA-A BUY 1 Units @0.0000	0.00	2.87	0.00	2.87	0.0	0.00
10/19/2018	***-**-366I - GRUENEWALD, ACCOUNT #: LSR010989	THE INCOME FUND OF AMERICA-A BUY 1 Units @0.0000	0.00	1.76	0.00	1.76	0.0	0.00
10/19/2018	***-**-579J - RHYMESTINE, ACCOUNT #: LSR011081	THE INCOME FUND OF AMERICA-A BUY 1 Units @0.0000	0.00	0.10	0.00	0.10	0.0	0.00
10/19/2018	***-**-326I - GRANDE, FBO MR ACCOUNT #: LSR011091	THE INCOME FUND OF AMERICA-A BUY 1 Units @0.0000	0.00	2.31	0.00	2.31	0.0	0.00
10/19/2018	***-**-680I - HARRELL, DARYL ACCOUNT #: LSR011321	THE INCOME FUND OF AMERICA-A BUY 1 Units @0.0000	0.00	1.11	0.00	1.11	0.0	0.00
10/19/2018	***-**-128I - BASHANT, THOMAS ACCOUNT #: LSR011387	THE INCOME FUND OF AMERICA-A BUY 1 Units @0.0000	0.00	0.96	0.00	0.96	0.0	0.00
10/19/2018	***-**-30TR - AND SANDRA ACCOUNT #: LSR011939	THE INCOME FUND OF AMERICA-A BUY 1 Units @0.0000	0.00	2.64	0.00	2.64	0.0	0.00
10/19/2018	***-**-43IN - FRANZ, WAYNE ACCOUNT #: LSR012636	THE INCOME FUND OF AMERICA-A BUY 1 Units @0.0000	0.00	5.74	0.00	5.74	0.0	0.00
10/19/2018	***-**-79TR - OR CYNTHIA ACCOUNT #: LSR012749	THE INCOME FUND OF AMERICA-A BUY 1 Units @0.0000	0.00	0.90	0.00	0.90	0.0	0.00
10/19/2018	***-**-80IO - EVANS, RICHARD ACCOUNT #: LSR011276	THE NEW ECONOMY FUND-C BUY 1 Units @0.0000	0.00	11.72	0.00	11.72	0.0	0.00
10/19/2018	***-**-851K - LALLIER, JAMES ACCOUNT #: LSR012645	THE NEW ECONOMY FUND-C BUY 1 Units @0.0000	0.00	2.52	0.00	2.52	0.0	0.00



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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
10/19/2018	***-**-235I - AUGUSTINE III, ACCOUNT #: LSR010845	TRANSAMERICA MLP & ENERGY INCOME CL BUY 1 Units @0.0000	0.00	6.35	0.00	6.35	0.0	0.00
10/19/2018	***-**-881J - EBERLEY, SUSAN ACCOUNT #: LSR010856	TRANSAMERICA MLP & ENERGY INCOME CL BUY 1 Units @0.0000	0.00	7.50	0.00	7.50	0.0	0.00
10/19/2018	***-**-980I - ACEE, ELIZABETH ACCOUNT #: LSR010885	TRANSAMERICA MLP & ENERGY INCOME CL BUY 1 Units @0.0000	0.00	5.46	0.00	5.46	0.0	0.00
10/19/2018	***-**-031O - MCVOY, ROBERT ACCOUNT #: LSR010916	TRANSAMERICA MLP & ENERGY INCOME CL BUY 1 Units @0.0000	0.00	7.05	0.00	7.05	0.0	0.00
10/19/2018	***-**-959I - FRANZ, PAUL ACCOUNT #: LSR010959	TRANSAMERICA MLP & ENERGY INCOME CL BUY 1 Units @0.0000	0.00	12.61	0.00	12.61	0.0	0.00
10/19/2018	***-**-73TR - WESTCOTT IRRVOC ACCOUNT #: LSR011001	TRANSAMERICA MLP & ENERGY INCOME CL BUY 1 Units @0.0000	0.00	6.11	0.00	6.11	0.0	0.00
10/19/2018	***-**-73TR - WESTCOTT IRRVOC ACCOUNT #: LSR011008	TRANSAMERICA MLP & ENERGY INCOME CL BUY 1 Units @0.0000	0.00	5.89	0.00	5.89	0.0	0.00
10/19/2018	***-**-44IO - MAYO, DEBORAH ACCOUNT #: LSR011079	TRANSAMERICA MLP & ENERGY INCOME CL BUY 1 Units @0.0000	0.00	7.25	0.00	7.25	0.0	0.00
10/19/2018	***-**-09IO - BATES, FBO MRS ACCOUNT #: LSR011117	TRANSAMERICA MLP & ENERGY INCOME CL BUY 1 Units @0.0000	0.00	11.66	0.00	11.66	0.0	0.00
10/19/2018	***-**-89IN - LEE, ROGER ACCOUNT #: LSR011166	TRANSAMERICA MLP & ENERGY INCOME CL BUY 1 Units @0.0000	0.00	13.23	0.00	13.23	0.0	0.00
10/19/2018	***-**-11IO - LYNN G. ACCOUNT #: LSR011239	TRANSAMERICA MLP & ENERGY INCOME CL BUY 1 Units @0.0000	0.00	11.23	0.00	11.23	0.0	0.00
10/19/2018	***-**-80IO - EVANS, RICHARD ACCOUNT #: LSR011276	TRANSAMERICA MLP & ENERGY INCOME CL BUY 1 Units @0.0000	0.00	7.58	0.00	7.58	0.0	0.00
10/19/2018	***-**-45IO - JOHNSON, GREGORY ACCOUNT #: LSR011421	TRANSAMERICA MLP & ENERGY INCOME CL BUY 1 Units @0.0000	0.00	9.50	0.00	9.50	0.0	0.00
10/19/2018	***-**-14IO - BUSHEY, MATTHEW ACCOUNT #: LSR011498	TRANSAMERICA MLP & ENERGY INCOME CL BUY 1 Units @0.0000	0.00	10.76	0.00	10.76	0.0	0.00
10/19/2018	***-**-287J - HINCKLEY, ACCOUNT #: LSR010841	TRANSAMERICA SHORT TERM BOND CL C BUY 1 Units @0.0000	0.00	4.95	0.00	4.95	0.0	0.00
10/19/2018	***-**-48IO - CLARK, PATRICK ACCOUNT #: LSR010911	TRANSAMERICA SHORT TERM BOND CL C BUY 1 Units @0.0000	0.00	10.01	0.00	10.01	0.0	0.00



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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
10/19/2018	***-**-11IO - LYNN G. ACCOUNT #: LSR011239	TRANSAMERICA SHORT TERM BOND CL C BUY 1 Units @0.0000	0.00	14.91	0.00	14.91	0.0	0.00
10/19/2018	***-**-959J - FRANZ, PAUL ACCOUNT #: LSR010958	U.S. GOVERNMENT SECURITIES FUND CLA BUY 1 Units @0.0000	0.00	3.51	0.00	3.51	0.0	0.00
10/19/2018	***-**-43IN - FRANZ, WAYNE ACCOUNT #: LSR012636	U.S. GOVERNMENT SECURITIES FUND CLA BUY 1 Units @0.0000	0.00	1.58	0.00	1.58	0.0	0.00
10/19/2018	***-**-07IO - FAMOLARO, JAMES ACCOUNT #: LSR011280	WELLS FARGO ASSET ALLOCATION CL A BUY 1 Units @0.0000	0.00	3.01	0.00	3.01	0.0	0.00
10/19/2018	***-**-07IO - FAMOLARO, JAMES ACCOUNT #: LSR011280	WELLS FARGO GLOBAL OPPT FD CL A BUY 1 Units @0.0000	0.00	1.42	0.00	1.42	0.0	0.00
10/19/2018	***-**-680I - HARRELL, DARYL ACCOUNT #: LSR011321	WELLS FARGO SPECIALIZED TECH A BUY 1 Units @0.0000	0.00	2.15	0.00	2.15	0.0	0.00
10/19/2018	***-**-680I - HARRELL, DARYL ACCOUNT #: LSR011321	WELLS FARGO UTILITY TELECOM CL A BUY 1 Units @0.0000	0.00	1.40	0.00	1.40	0.0	0.00
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *			\$0.00	\$3,792.72	\$0.00	\$3,792.72		\$0.00
*** BROKER TRANSACTIONS TOTAL ***			\$181,110.06	\$6,046.00	\$472.00	\$5,574.00		\$-6.00



BROKER #: A77
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DATE	CLIENT	INVESTMENT	AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<div>BROKER COMMISSION TOTALS</div>								
					Broker Transactions			\$-6.00
					Split Transactions			\$0.00
					Override Transactions			\$0.00
					Adjustments			\$0.00
					Payroll Draw			\$0.00
					Base Salary			\$0.00
					Prior Period Balance			\$-431.64
					FINRA Assessment			\$0.00
					SIPC Assessment			\$0.00
Please Retain for Your Records THERE WILL BE NO PAYMENT THIS PERIOD					Balance Forward			\$-437.64
					Year-to-date Earnings			\$0.00