



# COMMISSION STATEMENT

## November 19, 2018

DAVID GRIFFITH  
2108 Genesee St.  
Utica, NY 13502

BROKER #: A76  
BRANCH #01047 - 47 - GRIFFITH

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b><u>BROKER TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: MUTUAL FUNDS</u></b>								
11/05/2018	***-**-953I - DINITTO, NICOLE ACCOUNT #: 00088593891	AMERICAN GLOBAL BALANCED CL C BUY 6 Units @30.7000	175.00	1.75	0.00	1.75	88.0	1.54
11/13/2018	***-**-817I - WADSWORTH, ACCOUNT #: 00067441742	AMERICAN GLOBAL BALANCED CL C BUY 4 Units @30.4000	110.00	1.10	0.00	1.10	88.0	0.97
11/13/2018	***-**-2642 - BROWN, JEFFERY ACCOUNT #: 04000870734	AMERICAN GLOBAL BALANCED CL C BUY 2 Units @30.4000	75.00	0.75	0.00	0.75	88.0	0.66
11/14/2018	***-**-244I - BURTON, RICHARD ACCOUNT #: LSR011997	AMERICAN GLOBAL BALANCED CL C BUY 329 Units @30.3500	9,999.99	118.00	18.00	100.00	88.0	88.00
11/16/2018	***-**-801I - HAGAN III, ACCOUNT #: 00088485981	AMERICAN GLOBAL BALANCED CL C BUY 5 Units @30.5900	160.00	1.60	0.00	1.60	88.0	1.41
11/13/2018	***-**-594I - MINER, MARY ACCOUNT #: LSR012744	CAPITAL INCOME BUILDER CLASS C BUY 684 Units @58.5200	40,000.00	418.00	18.00	400.00	88.0	352.00
11/05/2018	***-**-953I - DINITTO, NICOLE ACCOUNT #: 00088593891	CAPITAL WORLD GROWTH AND INCOME FUN BUY 4 Units @47.3100	175.00	1.75	0.00	1.75	88.0	1.54
11/15/2018	***-**-57IO - MATTHEWS, ACCOUNT #: LSR012822	CAPITAL WORLD GROWTH AND INCOME FUN BUY 181 Units @46.9500	8,500.02	103.00	18.00	85.00	88.0	74.80
11/15/2018	***-**-892I - O'BRIEN, ANDREA ACCOUNT #: LSR012854	CAPITAL WORLD GROWTH AND INCOME FUN BUY 128 Units @46.9500	6,000.02	78.00	18.00	60.00	88.0	52.80
11/15/2018	***-**-5485 - GAETANO, ACCOUNT #: 00082975488	EUROPACIFIC GROWTH FUND-A BUY 1 Units @51.2500	33.00	1.40	0.00	1.40	88.0	1.23
11/09/2018	***-**-613X - MU'MIN, SAYYED ACCOUNT #: LSR012347	FUNDAMENTAL INVESTORS-C SELL 113 Units @61.8400	7,009.94	19.99	18.00	1.99	88.0	1.75
11/13/2018	***-**-788I - ALBARRAN, CARLOS ACCOUNT #: 00085186008	FUNDAMENTAL INVESTORS-C BUY 2 Units @60.4100	100.00	1.00	0.00	1.00	88.0	0.88
11/14/2018	***-**-244I - BURTON, RICHARD ACCOUNT #: LSR011997	FUNDAMENTAL INVESTORS-C BUY 166 Units @60.1600	9,999.98	118.00	18.00	100.00	88.0	88.00
11/15/2018	***-**-892I - O'BRIEN, ANDREA ACCOUNT #: LSR012854	INCOME FUND OF AMERICA CLASS C BUY 292 Units @22.2600	6,500.01	83.00	18.00	65.00	88.0	57.20
11/13/2018	***-**-762I - STORSBERG, ACCOUNT #: LSR011688	LORD ABBETT CONVERT FUND CL C BUY 614 Units @13.0200	8,000.00	19.99	6.00	13.99	88.0	12.31
11/13/2018	***-**-762I - STORSBERG, ACCOUNT #: LSR011688	LORD ABBETT MULTI ASSET GLOBAL OPP BUY 1037 Units @9.6400	10,000.00	19.99	6.00	13.99	88.0	12.31



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<b>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: MUTUAL FUNDS (continued)</b>								
11/09/2018	***-**-13IN - MUMIN, SAYYED	LORD ABBETT SHORT DURATION INCOME C	15,925.23	19.99	18.00	1.99	88.0	1.75
	ACCOUNT #: LSR012378	SELL 3819 Units @4.1700						
11/13/2018	***-**-762I - STORSBERG,	LORD ABBETT SHORT DURATION INCOME C	10,000.00	0.00	6.00	-6.00	100.0	-6.00
	ACCOUNT #: LSR011688	SELL 2398 Units @4.1700						
11/13/2018	***-**-762I - STORSBERG,	LORD ABBETT SHORT DURATION INCOME C	8,000.00	0.00	6.00	-6.00	100.0	-6.00
	ACCOUNT #: LSR011688	SELL 1918 Units @4.1700						
11/13/2018	***-**-94IN - MINER, MARY	LORD ABBETT SHORT DURATION INCOME C	45,000.00	468.00	18.00	450.00	88.0	396.00
	ACCOUNT #: LSR012743	BUY 10791 Units @4.1700						
11/05/2018	***-**-522I - RIEBEN, HENRY	PUTNAM CAPITAL SPECTRUM FUND CL C	17.07	0.17	0.00	0.17	88.0	0.15
	ACCOUNT #: 00551360517	BUY 1 Units @28.3700						
11/09/2018	***-**-13IN - MUMIN, SAYYED	PUTNAM EQUITY INCOME FUND-B	7,246.80	19.99	18.00	1.99	88.0	1.75
	ACCOUNT #: LSR012378	SELL 297 Units @24.4000						
11/05/2018	***-**-522I - RIEBEN, HENRY	PUTNAM EQUITY SPECTRUM FD CL C	17.06	0.17	0.00	0.17	88.0	0.15
	ACCOUNT #: 00551360517	BUY 0 Units @34.2000						
11/09/2018	***-**-13IN - MUMIN, SAYYED	PUTNAM EUROPE EQUITY FUND-B	1,912.24	19.99	18.00	1.99	88.0	1.75
	ACCOUNT #: LSR012378	SELL 82 Units @23.3200						
11/09/2018	***-**-13IN - MUMIN, SAYYED	PUTNAM GLOBAL NAT RESOURCES-B	2,237.56	18.00	18.00	0.00	88.0	0.00
	ACCOUNT #: LSR012378	SELL 169 Units @13.2400						
11/05/2018	***-**-522I - RIEBEN, HENRY	PUTNAM GLOBAL UTILITIES CL C	17.07	0.17	0.00	0.17	88.0	0.15
	ACCOUNT #: 00551360517	BUY 1 Units @13.3400						
11/15/2018	***-**-5485 - GAETANO,	SMALLCAP WORLD FUND-A	33.00	1.40	0.00	1.40	88.0	1.23
	ACCOUNT #: 00082975488	BUY 1 Units @56.8100						
11/15/2018	***-**-49IO - RICHARDSON,	SMALLCAP WORLD FUND-C	5,999.98	78.00	18.00	60.00	88.0	52.80
	ACCOUNT #: LSR012872	BUY 127 Units @47.1500						
11/15/2018	***-**-5485 - GAETANO,	THE GROWTH FUND OF AMERICA-A	34.00	1.45	0.00	1.45	88.0	1.28
	ACCOUNT #: 00082975488	BUY 1 Units @54.2300						
11/08/2018	***-**-469I - HAUCK, JUDITH	THE INCOME FUND OF AMERICA-A	98.08	1.96	0.00	1.96	88.0	1.72
	ACCOUNT #: 00087147439	BUY 4 Units @23.3700						
11/08/2018	***-**-469I - HAUCK, JUDITH	THE INCOME FUND OF AMERICA-A	350.00	7.00	0.00	7.00	88.0	6.16
	ACCOUNT #: 00087147439	BUY 15 Units @23.3700						
<b>* MUTUAL FUNDS SUBTOTAL *</b>			<b>\$203,726.05</b>	<b>\$1,623.61</b>	<b>\$258.00</b>	<b>\$1,365.61</b>		<b>\$1,200.29</b>



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<b>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: STOCKS</b>								
11/13/2018	***-**-762I - STORSBERG, ACCOUNT #: LSR011688	DENBURY RES INC DEL COM USD0.001 BUY 1000 Units @2.6100	2,610.00	49.99	35.00	14.99	88.0	13.19
* STOCKS SUBTOTAL *			\$2,610.00	\$49.99	\$35.00	\$14.99		\$13.19
<b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</b>								
10/19/2018	***-**-91IN - RICHARDSON, ACCOUNT #: LSR010900	AMCAP FUND-F1 BUY 1 Units @0.0000	0.00	0.64	0.00	0.64	88.0	0.56
10/19/2018	***-**-621O - DANIELS, JOHN ACCOUNT #: LSR012373	AMERICAN BALANCED FUND-A BUY 1 Units @0.0000	0.00	0.05	0.00	0.05	88.0	0.04
10/19/2018	***-**-13IN - MUMIN, SAYYED ACCOUNT #: LSR012378	AMERICAN BALANCED FUND-A BUY 1 Units @0.0000	0.00	0.23	0.00	0.23	88.0	0.20
10/19/2018	***-**-54IN - DANIELS, JOHN ACCOUNT #: LSR012380	AMERICAN BALANCED FUND-A BUY 1 Units @0.0000	0.00	0.23	0.00	0.23	88.0	0.20
10/19/2018	***-**-06IN - DANIELS, ELMYRA ACCOUNT #: LSR012704	AMERICAN BALANCED FUND-A BUY 1 Units @0.0000	0.00	0.24	0.00	0.24	88.0	0.21
10/19/2018	***-**-892I - O'BRIEN, ANDREA ACCOUNT #: LSR012854	AMERICAN FUNDS 2040 TARGET DATE-A BUY 1 Units @0.0000	0.00	0.15	0.00	0.15	88.0	0.13
10/19/2018	***-**-762I - STORSBERG, ACCOUNT #: LSR011688	AMERICAN FUNDS INCOME PORT CL C BUY 1 Units @0.0000	0.00	15.05	0.00	15.05	88.0	13.24
10/19/2018	***-**-656I - SMOLA, STANLEY ACCOUNT #: LSR010868	AMERICAN FUNDS MORTGAGE CL F1 BUY 1 Units @0.0000	0.00	1.66	0.00	1.66	88.0	1.46
10/19/2018	***-**-91IN - RICHARDSON, ACCOUNT #: LSR010900	AMERICAN FUNDS MORTGAGE CL F1 BUY 1 Units @0.0000	0.00	1.29	0.00	1.29	88.0	1.14
10/19/2018	***-**-58IN - SCHRECK, RYAN ACCOUNT #: LSR010873	AMERICAN FUNDS MORTGAGE FD CL C BUY 1 Units @0.0000	0.00	5.10	0.00	5.10	88.0	4.49
10/19/2018	***-**-60IN - SCHRADER, KEVIN ACCOUNT #: LSR010897	AMERICAN FUNDS MORTGAGE FD CL C BUY 1 Units @0.0000	0.00	9.51	0.00	9.51	88.0	8.37
10/19/2018	***-**-753I - SABANOSH, ALAN ACCOUNT #: LSR010909	AMERICAN FUNDS MORTGAGE FD CL C BUY 1 Units @0.0000	0.00	20.58	0.00	20.58	88.0	18.11
10/19/2018	***-**-53TR - SABANOSH, ALAN R ACCOUNT #: LSR010917	AMERICAN FUNDS MORTGAGE FD CL C BUY 1 Units @0.0000	0.00	9.94	0.00	9.94	88.0	8.75
10/19/2018	***-**-467J - PICKARD, BRIAN ACCOUNT #: LSR010943	AMERICAN FUNDS MORTGAGE FD CL C BUY 1 Units @0.0000	0.00	13.28	0.00	13.28	88.0	11.69



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<b>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b>								
10/19/2018	***-**-88IN - PICKARD, ELAINE	AMERICAN FUNDS MORTGAGE FD CL C	0.00	9.00	0.00	9.00	88.0	7.92
	ACCOUNT #: LSR010957	BUY 1 Units @0.0000						
10/19/2018	***-**-80TR - SCOTELLARO TTEE,	AMERICAN FUNDS MORTGAGE FD CL C	0.00	23.95	0.00	23.95	88.0	21.08
	ACCOUNT #: LSR010974	BUY 1 Units @0.0000						
10/19/2018	***-**-69IN - HAUCK, JUDITH	AMERICAN FUNDS MORTGAGE FD CL C	0.00	9.10	0.00	9.10	88.0	8.01
	ACCOUNT #: LSR010980	BUY 1 Units @0.0000						
10/19/2018	***-**-973I - CHAMBERS, ROGER	AMERICAN FUNDS MORTGAGE FD CL C	0.00	9.05	0.00	9.05	88.0	7.96
	ACCOUNT #: LSR011018	BUY 1 Units @0.0000						
10/19/2018	***-**-22IN - GRACIE, JULIA	AMERICAN FUNDS MORTGAGE FD CL C	0.00	7.88	0.00	7.88	88.0	6.93
	ACCOUNT #: LSR011019	BUY 1 Units @0.0000						
10/19/2018	***-**-29IO - LORUSSO, VINCENT	AMERICAN FUNDS MORTGAGE FD CL C	0.00	5.19	0.00	5.19	88.0	4.57
	ACCOUNT #: LSR011681	BUY 1 Units @0.0000						
10/19/2018	***-**-762I - STORSBERG,	AMERICAN FUNDS MORTGAGE FD CL C	0.00	42.54	0.00	42.54	88.0	37.44
	ACCOUNT #: LSR011688	BUY 1 Units @0.0000						
10/19/2018	***-**-03TR - BOSHART, PEGGY	AMERICAN FUNDS MORTGAGE FD CL C	0.00	6.71	0.00	6.71	88.0	5.90
	ACCOUNT #: LSR011743	BUY 1 Units @0.0000						
10/19/2018	***-**-03IN - BOSHART, PEGGY	AMERICAN FUNDS MORTGAGE FD CL C	0.00	3.95	0.00	3.95	88.0	3.48
	ACCOUNT #: LSR011744	BUY 1 Units @0.0000						
10/19/2018	***-**-361I - ALOISIO,	AMERICAN FUNDS MORTGAGE FD CL C	0.00	10.66	0.00	10.66	88.0	9.38
	ACCOUNT #: LSR011772	BUY 1 Units @0.0000						
10/19/2018	***-**-510I - PEREZ, STACEY	AMERICAN FUNDS MORTGAGE FD CL C	0.00	23.92	0.00	23.92	88.0	21.05
	ACCOUNT #: LSR011827	BUY 1 Units @0.0000						
10/19/2018	***-**-10IN - PEREZ, STACEY	AMERICAN FUNDS MORTGAGE FD CL C	0.00	11.86	0.00	11.86	88.0	10.44
	ACCOUNT #: LSR011832	BUY 1 Units @0.0000						
10/19/2018	***-**-828I - ALOISIO, IRENE	AMERICAN FUNDS MORTGAGE FD CL C	0.00	7.97	0.00	7.97	88.0	7.01
	ACCOUNT #: LSR011838	BUY 1 Units @0.0000						
10/19/2018	***-**-599I - MCCARTHY, DONNA	AMERICAN FUNDS MORTGAGE FD CL C	0.00	11.96	0.00	11.96	88.0	10.52
	ACCOUNT #: LSR011894	BUY 1 Units @0.0000						
10/19/2018	***-**-244I - BURTON, RICHARD	AMERICAN FUNDS MORTGAGE FD CL C	0.00	10.31	0.00	10.31	88.0	9.07
	ACCOUNT #: LSR011997	BUY 1 Units @0.0000						
10/19/2018	***-**-753I - SABANOSH, ALAN	AMERICAN GLOBAL BALANCED CL C	0.00	47.40	0.00	47.40	88.0	41.71
	ACCOUNT #: LSR010909	BUY 1 Units @0.0000						



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<b>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b>								
10/19/2018	***-**-88IN - PICKARD, ELAINE ACCOUNT #: LSR010957	AMERICAN GLOBAL BALANCED CL C BUY 1 Units @0.0000	0.00	18.36	0.00	18.36	88.0	16.16
10/19/2018	***-**-973I - CHAMBERS, ROGER ACCOUNT #: LSR011018	AMERICAN GLOBAL BALANCED CL C BUY 1 Units @0.0000	0.00	13.86	0.00	13.86	88.0	12.20
10/19/2018	***-**-05IN - HULL, JEFFERY ACCOUNT #: LSR011187	AMERICAN GLOBAL BALANCED CL C BUY 1 Units @0.0000	0.00	14.56	0.00	14.56	88.0	12.81
10/19/2018	***-**-90IN - PICKARD, KAREN ACCOUNT #: LSR011687	AMERICAN GLOBAL BALANCED CL C BUY 1 Units @0.0000	0.00	9.35	0.00	9.35	88.0	8.23
10/19/2018	***-**-03IN - BOSHART, PEGGY ACCOUNT #: LSR011744	AMERICAN GLOBAL BALANCED CL C BUY 1 Units @0.0000	0.00	9.06	0.00	9.06	88.0	7.97
10/19/2018	***-**-03IR - BOSHART, PEGGY ACCOUNT #: LSR011749	AMERICAN GLOBAL BALANCED CL C BUY 1 Units @0.0000	0.00	12.25	0.00	12.25	88.0	10.78
10/19/2018	***-**-510I - PEREZ, STACEY ACCOUNT #: LSR011827	AMERICAN GLOBAL BALANCED CL C BUY 1 Units @0.0000	0.00	11.87	0.00	11.87	88.0	10.45
10/19/2018	***-**-473J - SCOTELLARO IV, ACCOUNT #: LSR012738	AMERICAN GLOBAL BALANCED CL C BUY 1 Units @0.0000	0.00	6.48	0.00	6.48	88.0	5.70
10/19/2018	***-**-355I - CRIMMINS, KAREN ACCOUNT #: LSR011077	AMERICAN GLOBAL BALANCED CLASS A BUY 1 Units @0.0000	0.00	3.19	0.00	3.19	88.0	2.81
10/19/2018	***-**-621O - DANIELS, JOHN ACCOUNT #: LSR012373	AMERICAN GLOBAL BALANCED CLASS A BUY 1 Units @0.0000	0.00	0.17	0.00	0.17	88.0	0.15
10/19/2018	***-**-13IN - MUMIN, SAYYED ACCOUNT #: LSR012378	AMERICAN GLOBAL BALANCED CLASS A BUY 1 Units @0.0000	0.00	1.67	0.00	1.67	88.0	1.47
10/19/2018	***-**-54IN - DANIELS, JOHN ACCOUNT #: LSR012380	AMERICAN GLOBAL BALANCED CLASS A BUY 1 Units @0.0000	0.00	1.67	0.00	1.67	88.0	1.47
10/19/2018	***-**-06IN - DANIELS, ELMYRA ACCOUNT #: LSR012704	AMERICAN GLOBAL BALANCED CLASS A BUY 1 Units @0.0000	0.00	1.67	0.00	1.67	88.0	1.47
10/19/2018	***-**-08TR - SCOTELLARO III, ACCOUNT #: LSR010975	AMERICAN HIGH-INCOME TRUST-C BUY 1 Units @0.0000	0.00	27.10	0.00	27.10	88.0	23.85
10/19/2018	***-**-698J - FEISTHAMEL, MR ACCOUNT #: LSR011137	AMERICAN MORTGAGE FUND CL A BUY 1 Units @0.0000	0.00	2.11	0.00	2.11	88.0	1.86
10/19/2018	***-**-621O - DANIELS, JOHN ACCOUNT #: LSR012373	AMERICAN MORTGAGE FUND CL A BUY 1 Units @0.0000	0.00	0.08	0.00	0.08	88.0	0.07



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<b>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b>								
10/19/2018	***-**-13IN - MUMIN, SAYYED	AMERICAN MORTGAGE FUND CL A	0.00	1.31	0.00	1.31	88.0	1.15
	ACCOUNT #: LSR012378	BUY 1 Units @0.0000						
10/19/2018	***-**-54IN - DANIELS, JOHN	AMERICAN MORTGAGE FUND CL A	0.00	1.31	0.00	1.31	88.0	1.15
	ACCOUNT #: LSR012380	BUY 1 Units @0.0000						
10/19/2018	***-**-06IN - DANIELS, ELMYRA	AMERICAN MORTGAGE FUND CL A	0.00	1.31	0.00	1.31	88.0	1.15
	ACCOUNT #: LSR012704	BUY 1 Units @0.0000						
10/19/2018	***-**-656I - SMOLA, STANLEY	CAPITAL APPRECIATION C	0.00	10.81	0.00	10.81	88.0	9.51
	ACCOUNT #: LSR010868	BUY 1 Units @0.0000						
10/19/2018	***-**-25IR - PERRITANO,	CAPITAL INCOME BUILDER-A	0.00	0.16	0.00	0.16	88.0	0.14
	ACCOUNT #: LSR010923	BUY 1 Units @0.0000						
10/19/2018	***-**-25IN - PERRITANO,	CAPITAL INCOME BUILDER-A	0.00	0.30	0.00	0.30	88.0	0.26
	ACCOUNT #: LSR010924	BUY 1 Units @0.0000						
10/19/2018	***-**-656I - SMOLA, STANLEY	CAPITAL INCOME BUILDER-F1	0.00	2.49	0.00	2.49	88.0	2.19
	ACCOUNT #: LSR010868	BUY 1 Units @0.0000						
10/19/2018	***-**-762I - STORSBERG,	CAPITAL WORLD BOND FUND-C	0.00	1.91	0.00	1.91	88.0	1.68
	ACCOUNT #: LSR011688	BUY 1 Units @0.0000						
10/19/2018	***-**-80IN - GRIFFITH, DAVID	CAPITAL WORLD GROWTH AND INCOME FUN	0.00	0.75	0.00	0.75	88.0	0.66
	ACCOUNT #: LSF000286	BUY 1 Units @0.0000						
10/19/2018	***-**-753I - SABANOSH, ALAN	CAPITAL WORLD GROWTH AND INCOME FUN	0.00	1.30	0.00	1.30	88.0	1.14
	ACCOUNT #: LSR010909	BUY 1 Units @0.0000						
10/19/2018	***-**-25IR - PERRITANO,	CAPITAL WORLD GROWTH AND INCOME FUN	0.00	1.21	0.00	1.21	88.0	1.06
	ACCOUNT #: LSR010923	BUY 1 Units @0.0000						
10/19/2018	***-**-25IN - PERRITANO,	CAPITAL WORLD GROWTH AND INCOME FUN	0.00	0.35	0.00	0.35	88.0	0.31
	ACCOUNT #: LSR010924	BUY 1 Units @0.0000						
10/19/2018	***-**-522I - RIEBEN, HENRY	CAPITAL WORLD GROWTH AND INCOME FUN	0.00	0.64	0.00	0.64	88.0	0.56
	ACCOUNT #: LSR010964	BUY 1 Units @0.0000						
10/19/2018	***-**-24TR - SCOTELLARO, L	CAPITAL WORLD GROWTH AND INCOME FUN	0.00	3.91	0.00	3.91	88.0	3.44
	ACCOUNT #: LSR010973	BUY 1 Units @0.0000						
10/19/2018	***-**-474J - HAGAN JR,	CAPITAL WORLD GROWTH AND INCOME FUN	0.00	1.39	0.00	1.39	88.0	1.22
	ACCOUNT #: LSR010993	BUY 1 Units @0.0000						
10/19/2018	***-**-22IN - GRACIE, JULIA	CAPITAL WORLD GROWTH AND INCOME FUN	0.00	5.46	0.00	5.46	88.0	4.80
	ACCOUNT #: LSR011019	BUY 1 Units @0.0000						



# COMMISSION STATEMENT

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DAVID GRIFFITH  
2108 Genesee St.  
Utica, NY 13502

BROKER #: A76  
BRANCH #01047 - 47 - GRIFFITH

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b>								
10/19/2018	***-**-698J - FEISTHAMEL, MR	CAPITAL WORLD GROWTH AND INCOME FUN	0.00	2.45	0.00	2.45	88.0	2.16
	ACCOUNT #: LSR011137	BUY 1 Units @0.0000						
10/19/2018	***-**-469I - HAUCK, JUDITH	CAPITAL WORLD GROWTH AND INCOME FUN	0.00	0.92	0.00	0.92	88.0	0.81
	ACCOUNT #: LSR011739	BUY 1 Units @0.0000						
10/19/2018	***-**-80TR - SCOTELLARO TTEE,	CAPITAL WORLD GROWTH AND INCOME FUN	0.00	11.24	0.00	11.24	88.0	9.89
	ACCOUNT #: LSR010974	BUY 1 Units @0.0000						
10/19/2018	***-**-973I - CHAMBERS, ROGER	CAPITAL WORLD GROWTH AND INCOME FUN	0.00	10.44	0.00	10.44	88.0	9.19
	ACCOUNT #: LSR011018	BUY 1 Units @0.0000						
10/19/2018	***-**-656I - SMOLA, STANLEY	CAPITAL WORLD GROWTH AND INCOME-F1	0.00	2.92	0.00	2.92	88.0	2.57
	ACCOUNT #: LSR010868	BUY 1 Units @0.0000						
10/19/2018	***-**-72IN - THIBAUT, JOHN	CAPITAL WORLD GROWTH AND INCOME-F1	0.00	0.67	0.00	0.67	88.0	0.59
	ACCOUNT #: LSR012086	BUY 1 Units @0.0000						
10/19/2018	***-**-757J - MATTHEWS,	COLUMBIA LARGE CAP GROWTH FUND CLAS	0.00	7.26	0.00	7.26	88.0	6.39
	ACCOUNT #: LSR012824	BUY 1 Units @0.0000						
10/19/2018	***-**-423I - SAVICKI, RICHARD	EATON VANCE FLOATING RATE ADVANTAGE	0.00	5.71	0.00	5.71	88.0	5.02
	ACCOUNT #: LSR010889	BUY 1 Units @0.0000						
10/19/2018	***-**-762I - STORSBERG,	EATON VANCE FLOATING RATE ADVANTAGE	0.00	6.86	0.00	6.86	88.0	6.04
	ACCOUNT #: LSR011688	BUY 1 Units @0.0000						
10/19/2018	***-**-510I - PEREZ, STACEY	EATON VANCE FLOATING RATE ADVANTAGE	0.00	4.37	0.00	4.37	88.0	3.85
	ACCOUNT #: LSR011827	BUY 1 Units @0.0000						
10/19/2018	***-**-10IN - PEREZ, STACEY	EATON VANCE FLOATING RATE ADVANTAGE	0.00	3.74	0.00	3.74	88.0	3.29
	ACCOUNT #: LSR011832	BUY 1 Units @0.0000						
10/19/2018	***-**-599I - MCCARTHY, DONNA	EATON VANCE FLOATING RATE ADVANTAGE	0.00	4.57	0.00	4.57	88.0	4.02
	ACCOUNT #: LSR011894	BUY 1 Units @0.0000						
10/19/2018	***-**-244I - BURTON, RICHARD	EATON VANCE FLOATING RATE ADVANTAGE	0.00	1.75	0.00	1.75	88.0	1.54
	ACCOUNT #: LSR011997	BUY 1 Units @0.0000						
10/19/2018	***-**-423I - SAVICKI, RICHARD	EATON VANCE LARGE-CAP VALUE CL C	0.00	22.27	0.00	22.27	88.0	19.60
	ACCOUNT #: LSR010889	BUY 1 Units @0.0000						
10/19/2018	***-**-679I - MURSCH JR,	EQUITY INCOME FUND, INC. A	0.00	0.24	0.00	0.24	88.0	0.21
	ACCOUNT #: LSR010888	BUY 1 Units @0.0000						
10/19/2018	***-**-077I - GAUTHIER, LOUIS	EQUITY INCOME FUND, INC. A	0.00	1.57	0.00	1.57	88.0	1.38
	ACCOUNT #: LSR010901	BUY 1 Units @0.0000						



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BROKER #: A76  
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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b>								
10/19/2018	***-**-474J - HAGAN JR, ACCOUNT #: LSR010993	EQUITY INCOME FUND, INC. A BUY 1 Units @0.0000	0.00	0.67	0.00	0.67	88.0	0.59
10/19/2018	***-**-369I - DAVIS, BRUCE ACCOUNT #: LSR011029	EQUITY INCOME FUND, INC. A BUY 1 Units @0.0000	0.00	2.01	0.00	2.01	88.0	1.77
10/19/2018	***-**-698J - FEISTHAMEL, MR ACCOUNT #: LSR011137	EQUITY INCOME FUND, INC. A BUY 1 Units @0.0000	0.00	0.42	0.00	0.42	88.0	0.37
10/19/2018	***-**-76IN - BOSHART-LOWE, ACCOUNT #: LSR011840	EQUITY INCOME FUND, INC. A BUY 1 Units @0.0000	0.00	0.08	0.00	0.08	88.0	0.07
10/19/2018	***-**-718J - LOWE, GREGORY ACCOUNT #: LSR011914	EQUITY INCOME FUND, INC. A BUY 1 Units @0.0000	0.00	1.04	0.00	1.04	88.0	0.92
10/19/2018	***-**-22IN - BOSHART-LOWE, ACCOUNT #: LSR011937	EQUITY INCOME FUND, INC. A BUY 1 Units @0.0000	0.00	0.08	0.00	0.08	88.0	0.07
10/19/2018	***-**-656I - SMOLA, STANLEY ACCOUNT #: LSR010868	EUROPACIFIC GROWTH FUND CLASS F BUY 1 Units @0.0000	0.00	1.44	0.00	1.44	88.0	1.27
10/19/2018	***-**-80IN - GRIFFITH, DAVID ACCOUNT #: LSF000286	EUROPACIFIC GROWTH FUND-A BUY 1 Units @0.0000	0.00	4.68	0.00	4.68	88.0	4.12
10/19/2018	***-**-25IR - PERRITANO, ACCOUNT #: LSR010923	EUROPACIFIC GROWTH FUND-A BUY 1 Units @0.0000	0.00	1.30	0.00	1.30	88.0	1.14
10/19/2018	***-**-25IN - PERRITANO, ACCOUNT #: LSR010924	EUROPACIFIC GROWTH FUND-A BUY 1 Units @0.0000	0.00	0.30	0.00	0.30	88.0	0.26
10/19/2018	***-**-661I - GORCZYNSKI, ACCOUNT #: LSR011221	EUROPACIFIC GROWTH FUND-A BUY 1 Units @0.0000	0.00	2.97	0.00	2.97	88.0	2.61
10/19/2018	***-**-621O - DANIELS, JOHN ACCOUNT #: LSR012373	EUROPACIFIC GROWTH FUND-A BUY 1 Units @0.0000	0.00	0.06	0.00	0.06	88.0	0.05
10/19/2018	***-**-13IN - MUMIN, SAYYED ACCOUNT #: LSR012378	EUROPACIFIC GROWTH FUND-A BUY 1 Units @0.0000	0.00	0.31	0.00	0.31	88.0	0.27
10/19/2018	***-**-54IN - DANIELS, JOHN ACCOUNT #: LSR012380	EUROPACIFIC GROWTH FUND-A BUY 1 Units @0.0000	0.00	0.31	0.00	0.31	88.0	0.27
10/19/2018	***-**-06IN - DANIELS, ELMYRA ACCOUNT #: LSR012704	EUROPACIFIC GROWTH FUND-A BUY 1 Units @0.0000	0.00	0.31	0.00	0.31	88.0	0.27
10/19/2018	***-**-624I - FORRESTER, PAUL ACCOUNT #: LSR012806	FRANKLIN INCOME FUND CLASS A BUY 1 Units @0.0000	0.00	0.81	0.00	0.81	88.0	0.71





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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b>								
10/19/2018	***-**-78IR - WHITEFORD, GARY	FRANKLIN INCOME FUND CLASS A	0.00	0.59	0.00	0.59	88.0	0.52
	ACCOUNT #: LSR012811	BUY 1 Units @0.0000						
10/19/2018	***-**-378J - WHITEFORD, GARY	FRANKLIN INCOME FUND CLASS A	0.00	0.31	0.00	0.31	88.0	0.27
	ACCOUNT #: LSR012812	BUY 1 Units @0.0000						
10/19/2018	***-**-78IR - WHITEFORD, GARY	FRANKLIN RISING DIVIDENDS FD CLASS	0.00	1.32	0.00	1.32	88.0	1.16
	ACCOUNT #: LSR012811	BUY 1 Units @0.0000						
10/19/2018	***-**-378J - WHITEFORD, GARY	FRANKLIN RISING DIVIDENDS FD CLASS	0.00	0.68	0.00	0.68	88.0	0.60
	ACCOUNT #: LSR012812	BUY 1 Units @0.0000						
10/19/2018	***-**-78IR - WHITEFORD, GARY	FRK STRAT INC FND - CL A	0.00	0.83	0.00	0.83	88.0	0.73
	ACCOUNT #: LSR012811	BUY 1 Units @0.0000						
10/19/2018	***-**-378J - WHITEFORD, GARY	FRK STRAT INC FND - CL A	0.00	0.47	0.00	0.47	88.0	0.41
	ACCOUNT #: LSR012812	BUY 1 Units @0.0000						
10/19/2018	***-**-656I - SMOLA, STANLEY	FUNDAMENTAL INVESTORS FUND CLASS F	0.00	1.18	0.00	1.18	88.0	1.04
	ACCOUNT #: LSR010868	BUY 1 Units @0.0000						
10/19/2018	***-**-54IN - THIBAUT, MS	FUNDAMENTAL INVESTORS FUND CLASS F	0.00	1.80	0.00	1.80	88.0	1.58
	ACCOUNT #: LSR011080	BUY 1 Units @0.0000						
10/19/2018	***-**-22IN - GRACIE, JULIA	FUNDAMENTAL INVESTORS-A	0.00	1.61	0.00	1.61	88.0	1.42
	ACCOUNT #: LSR011019	BUY 1 Units @0.0000						
10/19/2018	***-**-369J - DAVIS, BRUCE	FUNDAMENTAL INVESTORS-A	0.00	1.07	0.00	1.07	88.0	0.94
	ACCOUNT #: LSR011027	BUY 1 Units @0.0000						
10/19/2018	***-**-369I - DAVIS, BRUCE	FUNDAMENTAL INVESTORS-A	0.00	1.85	0.00	1.85	88.0	1.63
	ACCOUNT #: LSR011029	BUY 1 Units @0.0000						
10/19/2018	***-**-698J - FEISTHAMEL, MR	FUNDAMENTAL INVESTORS-A	0.00	1.48	0.00	1.48	88.0	1.30
	ACCOUNT #: LSR011137	BUY 1 Units @0.0000						
10/19/2018	***-**-621O - DANIELS, JOHN	FUNDAMENTAL INVESTORS-A	0.00	0.16	0.00	0.16	88.0	0.14
	ACCOUNT #: LSR012373	BUY 1 Units @0.0000						
10/19/2018	***-**-13IN - MUMIN, SAYYED	FUNDAMENTAL INVESTORS-A	0.00	0.61	0.00	0.61	88.0	0.54
	ACCOUNT #: LSR012378	BUY 1 Units @0.0000						
10/19/2018	***-**-54IN - DANIELS, JOHN	FUNDAMENTAL INVESTORS-A	0.00	0.61	0.00	0.61	88.0	0.54
	ACCOUNT #: LSR012380	BUY 1 Units @0.0000						
10/19/2018	***-**-06IN - DANIELS, ELMYRA	FUNDAMENTAL INVESTORS-A	0.00	0.61	0.00	0.61	88.0	0.54
	ACCOUNT #: LSR012704	BUY 1 Units @0.0000						



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<b>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b>								
10/19/2018	***-**-467J - PICKARD, BRIAN	FUNDAMENTAL INVESTORS-C	0.00	2.55	0.00	2.55	88.0	2.24
	ACCOUNT #: LSR010943	BUY 1 Units @0.0000						
10/19/2018	***-**-621I - DANIELS SR, JOHN	FUNDAMENTAL INVESTORS-C	0.00	18.22	0.00	18.22	88.0	16.03
	ACCOUNT #: LSR010950	BUY 1 Units @0.0000						
10/19/2018	***-**-73IR - CHAMBERS, ROGER	FUNDAMENTAL INVESTORS-C	0.00	2.33	0.00	2.33	88.0	2.05
	ACCOUNT #: LSR011020	BUY 1 Units @0.0000						
10/19/2018	***-**-61IN - GORCZYNSKI,	GLOBAL OPPORTUNITIES FUND C	0.00	54.48	0.00	54.48	88.0	47.94
	ACCOUNT #: LSR010844	BUY 1 Units @0.0000						
10/19/2018	***-**-679I - MURSCH JR,	GOLD & SPECIAL MINERALS A	0.00	0.04	0.00	0.04	88.0	0.04
	ACCOUNT #: LSR010888	BUY 1 Units @0.0000						
10/19/2018	***-**-077I - GAUTHIER, LOUIS	GOLD & SPECIAL MINERALS A	0.00	0.77	0.00	0.77	88.0	0.68
	ACCOUNT #: LSR010901	BUY 1 Units @0.0000						
10/19/2018	***-**-369I - DAVIS, BRUCE	GOLD & SPECIAL MINERALS A	0.00	0.53	0.00	0.53	88.0	0.47
	ACCOUNT #: LSR011029	BUY 1 Units @0.0000						
11/02/2018	***-**-794I - INGERSOLL, JOAN	HARTFORD BALANCED INCOME FD CL A	0.00	0.41	0.00	0.41	88.0	0.36
	ACCOUNT #: 00000871758	BUY 0 Units @0.0000						
10/19/2018	***-**-24TR - SCOTELLARO, L	HARTFORD CHECKS AND BALANCED FUND C	0.00	1.17	0.00	1.17	88.0	1.03
	ACCOUNT #: LSR010973	BUY 1 Units @0.0000						
10/19/2018	***-**-369I - DAVIS, BRUCE	HARTFORD CHECKS AND BALANCED FUND C	0.00	2.20	0.00	2.20	88.0	1.94
	ACCOUNT #: LSR011029	BUY 1 Units @0.0000						
11/02/2018	***-**-015P - SABANOSH, SHERYL	HARTFORD CHECKS AND BALANCED FUND C	0.00	0.86	0.00	0.86	88.0	0.76
	ACCOUNT #: 00000856950	BUY 0 Units @0.0000						
11/02/2018	***-**-794I - INGERSOLL, JOAN	HARTFORD CHECKS AND BALANCED FUND C	0.00	0.46	0.00	0.46	88.0	0.40
	ACCOUNT #: 00000871758	BUY 0 Units @0.0000						
10/19/2018	***-**-58IN - SCHRECK, RYAN	INCOME FUND OF AMERICA CLASS C	0.00	10.27	0.00	10.27	88.0	9.04
	ACCOUNT #: LSR010873	BUY 1 Units @0.0000						
10/19/2018	***-**-467J - PICKARD, BRIAN	INCOME FUND OF AMERICA CLASS C	0.00	11.29	0.00	11.29	88.0	9.94
	ACCOUNT #: LSR010943	BUY 1 Units @0.0000						
10/19/2018	***-**-80TR - SCOTELLARO TTEE,	INCOME FUND OF AMERICA CLASS C	0.00	13.44	0.00	13.44	88.0	11.83
	ACCOUNT #: LSR010974	BUY 1 Units @0.0000						
10/19/2018	***-**-08TR - SCOTELLARO III,	INCOME FUND OF AMERICA CLASS C	0.00	35.99	0.00	35.99	88.0	31.67
	ACCOUNT #: LSR010975	BUY 1 Units @0.0000						



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<b>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b>								
10/19/2018	***-**-973I - CHAMBERS, ROGER	INCOME FUND OF AMERICA CLASS C	0.00	13.19	0.00	13.19	88.0	11.61
	ACCOUNT #: LSR011018	BUY 1 Units @0.0000						
10/19/2018	***-**-901O - DRUMM, LOIS	INCOME FUND OF AMERICA CLASS C	0.00	0.01	0.00	0.01	88.0	0.01
	ACCOUNT #: LSR011609	BUY 1 Units @0.0000						
10/19/2018	***-**-74IN - DRUMM, PATRICK	INCOME FUND OF AMERICA CLASS C	0.00	2.16	0.00	2.16	88.0	1.90
	ACCOUNT #: LSR012775	BUY 1 Units @0.0000						
10/19/2018	***-**-58IN - CADY, GAIL	INCOME FUND OF AMERICA CLASS C	0.00	4.06	0.00	4.06	88.0	3.57
	ACCOUNT #: LSR012831	BUY 1 Units @0.0000						
10/19/2018	***-**-077I - GAUTHIER, LOUIS	INTERNATIONAL GROWTH FUND A	0.00	1.94	0.00	1.94	88.0	1.71
	ACCOUNT #: LSR010901	BUY 1 Units @0.0000						
10/19/2018	***-**-656I - SMOLA, STANLEY	INTERNATIONAL GROWTH FUND C	0.00	9.09	0.00	9.09	88.0	8.00
	ACCOUNT #: LSR010868	BUY 1 Units @0.0000						
10/19/2018	***-**-13IR - E, KAREN	MASSACHUSETTS INVESTORS TRUST-A	0.00	0.75	0.00	0.75	88.0	0.66
	ACCOUNT #: LSR011953	BUY 1 Units @0.0000						
10/19/2018	***-**-355I - CRIMMINS, KAREN	MFS AGGRESS GROWTH ALLOCATION FD-B	0.00	0.66	0.00	0.66	88.0	0.58
	ACCOUNT #: LSR011077	BUY 1 Units @0.0000						
10/19/2018	***-**-355I - CRIMMINS, KAREN	MFS CONSERVATIVE ALLOCATION FUND-B	0.00	0.72	0.00	0.72	88.0	0.63
	ACCOUNT #: LSR011077	BUY 1 Units @0.0000						
10/19/2018	***-**-13IR - E, KAREN	MFS EMERGING MARKETS DEBT FUND-A	0.00	0.05	0.00	0.05	88.0	0.04
	ACCOUNT #: LSR011953	BUY 1 Units @0.0000						
10/19/2018	***-**-13IR - E, KAREN	MFS EMERGING MKT DEBT CL B	0.00	0.26	0.00	0.26	88.0	0.23
	ACCOUNT #: LSR011953	BUY 1 Units @0.0000						
10/19/2018	***-**-355I - CRIMMINS, KAREN	MFS GLOBAL ALTERNATIVE STRAT B	0.00	1.60	0.00	1.60	88.0	1.41
	ACCOUNT #: LSR011077	BUY 1 Units @0.0000						
10/19/2018	***-**-450I - SPAETH, JACK	MFS GLOBAL REAL ESTATE FUND CL B	0.00	1.65	0.00	1.65	88.0	1.45
	ACCOUNT #: LSR011015	BUY 1 Units @0.0000						
10/19/2018	***-**-387I - KINNEY, DOUGLAS	MFS GLOBAL REAL ESTATE FUND CL B	0.00	1.12	0.00	1.12	88.0	0.99
	ACCOUNT #: LSR011322	BUY 1 Units @0.0000						
10/19/2018	***-**-869I - CASEY, JOHN	MFS GLOBAL REAL ESTATE FUND CL B	0.00	1.12	0.00	1.12	88.0	0.99
	ACCOUNT #: LSR011323	BUY 1 Units @0.0000						
10/19/2018	***-**-13IR - E, KAREN	MFS GLOBAL TOTAL RETURN FUND-A	0.00	0.53	0.00	0.53	88.0	0.47
	ACCOUNT #: LSR011953	BUY 1 Units @0.0000						



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<b>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b>								
10/19/2018	***-**-355I - CRIMMINS, KAREN	MFS GLOBAL TOTAL RETURN FUND-B	0.00	2.53	0.00	2.53	88.0	2.23
	ACCOUNT #: LSR011077	BUY 1 Units @0.0000						
10/19/2018	***-**-94IO - PERRITANO,	MFS GLOBAL TOTAL RETURN FUND-B	0.00	2.39	0.00	2.39	88.0	2.10
	ACCOUNT #: LSR011099	BUY 1 Units @0.0000						
10/19/2018	***-**-187I - WASZKIEWICZ, FBO	MFS GLOBAL TOTAL RETURN FUND-B	0.00	2.09	0.00	2.09	88.0	1.84
	ACCOUNT #: LSR011144	BUY 1 Units @0.0000						
10/19/2018	***-**-40UT - BROWN CUST	MFS GLOBAL TOTAL RETURN FUND-B	0.00	0.22	0.00	0.22	88.0	0.19
	ACCOUNT #: LSR011178	BUY 1 Units @0.0000						
10/19/2018	***-**-387I - KINNEY, DOUGLAS	MFS GLOBAL TOTAL RETURN FUND-B	0.00	1.23	0.00	1.23	88.0	1.08
	ACCOUNT #: LSR011322	BUY 1 Units @0.0000						
10/19/2018	***-**-1300 - MUMIN,	MFS GLOBAL TOTAL RETURN FUND-B	0.00	1.66	0.00	1.66	88.0	1.46
	ACCOUNT #: LSR011333	BUY 1 Units @0.0000						
10/19/2018	***-**-3017 - MUMIN, MESSIAH	MFS GLOBAL TOTAL RETURN FUND-B	0.00	1.66	0.00	1.66	88.0	1.46
	ACCOUNT #: LSR011334	BUY 1 Units @0.0000						
10/19/2018	***-**-0642 - MUMIN, MARY JO	MFS GLOBAL TOTAL RETURN FUND-B	0.00	1.66	0.00	1.66	88.0	1.46
	ACCOUNT #: LSR011335	BUY 1 Units @0.0000						
10/19/2018	***-**-41TR - DAMSKY, BARRY	MFS GLOBAL TOTAL RETURN FUND-B	0.00	2.41	0.00	2.41	88.0	2.12
	ACCOUNT #: LSR011340	BUY 1 Units @0.0000						
10/19/2018	***-**-499X - LARA M TUR, SPS	MFS GLOBAL TOTAL RETURN FUND-B	0.00	1.05	0.00	1.05	88.0	0.92
	ACCOUNT #: LSR011400	BUY 1 Units @0.0000						
10/19/2018	***-**-28IO - CROWE, EMILY	MFS GLOBAL TOTAL RETURN FUND-B	0.00	2.49	0.00	2.49	88.0	2.19
	ACCOUNT #: LSR011427	BUY 1 Units @0.0000						
10/19/2018	***-**-13IR - MURRAY, JOHN	MFS GLOBAL TOTAL RETURN FUND-B	0.00	1.23	0.00	1.23	88.0	1.08
	ACCOUNT #: LSR011459	BUY 1 Units @0.0000						
10/19/2018	***-**-29IO - LORUSSO, VINCENT	MFS GLOBAL TOTAL RETURN FUND-B	0.00	3.96	0.00	3.96	88.0	3.48
	ACCOUNT #: LSR011681	BUY 1 Units @0.0000						
10/19/2018	***-**-13IR - E, KAREN	MFS GLOBAL TOTAL RETURN FUND-B	0.00	1.85	0.00	1.85	88.0	1.63
	ACCOUNT #: LSR011953	BUY 1 Units @0.0000						
10/19/2018	***-**-610I - JEREMY, BLAISE	MFS GLOBAL TOTAL RETURN FUND-B	0.00	1.03	0.00	1.03	88.0	0.91
	ACCOUNT #: LSR012083	BUY 1 Units @0.0000						
10/19/2018	***-**-473J - SCOTELLARO IV,	MFS GLOBAL TOTAL RETURN FUND-B	0.00	2.45	0.00	2.45	88.0	2.16
	ACCOUNT #: LSR012738	BUY 1 Units @0.0000						



# COMMISSION STATEMENT

## November 19, 2018

DAVID GRIFFITH  
2108 Genesee St.  
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BROKER #: A76  
BRANCH #01047 - 47 - GRIFFITH

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b>								
10/19/2018	***-**-74IN - DRUMM, PATRICK	MFS GLOBAL TOTAL RETURN FUND-B	0.00	1.07	0.00	1.07	88.0	0.94
	ACCOUNT #: LSR012775	BUY 1 Units @0.0000						
10/19/2018	***-**-58IN - CADY, GAIL	MFS GLOBAL TOTAL RETURN FUND-B	0.00	1.93	0.00	1.93	88.0	1.70
	ACCOUNT #: LSR012831	BUY 1 Units @0.0000						
10/19/2018	***-**-13IR - E, KAREN	MFS INFLATION ADJUSTED BOND CL B	0.00	0.09	0.00	0.09	88.0	0.08
	ACCOUNT #: LSR011953	BUY 1 Units @0.0000						
10/19/2018	***-**-13IR - E, KAREN	MFS INFLATION ADJUSTED BOND FUND-A	0.00	0.10	0.00	0.10	88.0	0.09
	ACCOUNT #: LSR011953	BUY 1 Units @0.0000						
10/19/2018	***-**-355I - CRIMMINS, KAREN	MFS INTERNATIONAL DIVERSIFICATION F	0.00	0.83	0.00	0.83	88.0	0.73
	ACCOUNT #: LSR011077	BUY 1 Units @0.0000						
10/19/2018	***-**-29IO - LORUSSO, VINCENT	MFS TECHNOLOGY FUND-B	0.00	1.66	0.00	1.66	88.0	1.46
	ACCOUNT #: LSR011681	BUY 1 Units @0.0000						
10/19/2018	***-**-13IR - E, KAREN	MFS TECHNOLOGY FUND-B	0.00	2.19	0.00	2.19	88.0	1.93
	ACCOUNT #: LSR011953	BUY 1 Units @0.0000						
10/19/2018	***-**-13IR - E, KAREN	MFS TOTAL RETURN FUND-A	0.00	0.50	0.00	0.50	88.0	0.44
	ACCOUNT #: LSR011953	BUY 1 Units @0.0000						
10/19/2018	***-**-13IR - E, KAREN	MFS TOTAL RETURN FUND-B	0.00	0.30	0.00	0.30	88.0	0.26
	ACCOUNT #: LSR011953	BUY 1 Units @0.0000						
10/19/2018	***-**-621I - DANIELS SR, JOHN	MFS UTILITIES FUND-A	0.00	3.78	0.00	3.78	88.0	3.33
	ACCOUNT #: LSR010950	BUY 1 Units @0.0000						
10/19/2018	***-**-369I - DAVIS, BRUCE	MFS UTILITIES FUND-A	0.00	1.01	0.00	1.01	88.0	0.89
	ACCOUNT #: LSR011029	BUY 1 Units @0.0000						
10/19/2018	***-**-698J - FEISTHAMEL, MR	MFS UTILITIES FUND-A	0.00	1.88	0.00	1.88	88.0	1.65
	ACCOUNT #: LSR011137	BUY 1 Units @0.0000						
10/19/2018	***-**-13IR - E, KAREN	MFS UTILITIES FUND-A	0.00	0.44	0.00	0.44	88.0	0.39
	ACCOUNT #: LSR011953	BUY 1 Units @0.0000						
10/19/2018	***-**-614I - MARIOTTI, CINDY	MFS UTILITIES FUND-B	0.00	2.74	0.00	2.74	88.0	2.41
	ACCOUNT #: LSR011535	BUY 1 Units @0.0000						
10/19/2018	***-**-39IR - VELARDI, CHRIS	MFS UTILITIES FUND-B	0.00	0.34	0.00	0.34	88.0	0.30
	ACCOUNT #: LSR011591	BUY 1 Units @0.0000						
10/19/2018	***-**-13IR - E, KAREN	MFS UTILITIES FUND-B	0.00	1.22	0.00	1.22	88.0	1.07
	ACCOUNT #: LSR011953	BUY 1 Units @0.0000						



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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b>								
10/19/2018	***-**-78IR - WHITEFORD, GARY	MUTUAL GLOBAL DISCOVERY FUND - CLAS	0.00	1.06	0.00	1.06	88.0	0.93
	ACCOUNT #: LSR012811	BUY 1 Units @0.0000						
10/19/2018	***-**-378J - WHITEFORD, GARY	MUTUAL GLOBAL DISCOVERY FUND - CLAS	0.00	0.55	0.00	0.55	88.0	0.48
	ACCOUNT #: LSR012812	BUY 1 Units @0.0000						
10/19/2018	***-**-656I - SMOLA, STANLEY	MUTUAL SHRS FND - CL C	0.00	2.16	0.00	2.16	88.0	1.90
	ACCOUNT #: LSR010868	BUY 1 Units @0.0000						
10/19/2018	***-**-661I - GORCZYNSKI,	NEW WORLD FUND-A	0.00	3.39	0.00	3.39	88.0	2.98
	ACCOUNT #: LSR011221	BUY 1 Units @0.0000						
11/19/2018	***-**-679I - MURSCH JR,	NEW YORK 529 TRAILS	0.00	4.16	0.00	4.16	88.0	3.66
	ACCOUNT #: 77041375401	BUY 0 Units @0.0000						
11/19/2018	***-**-541I - ORSINO, LISA	NEW YORK 529 TRAILS	0.00	1.97	0.00	1.97	88.0	1.73
	ACCOUNT #: 77049971001	BUY 0 Units @0.0000						
11/19/2018	***-**-29IO - LORUSSO, VINCENT	NEW YORK 529 TRAILS	0.00	0.10	0.00	0.10	88.0	0.09
	ACCOUNT #: 77089153301	BUY 0 Units @0.0000						
11/19/2018	***-**-745P - SCOTELLARO,	NEW YORK 529 TRAILS	0.00	2.79	0.00	2.79	88.0	2.46
		BUY 0 Units @0.0000						
11/19/2018	***-**-225P - DAMSKY, CYNTHIA	NEW YORK 529 TRAILS	0.00	4.35	0.00	4.35	88.0	3.83
		BUY 0 Units @0.0000						
11/19/2018	***-**-0862 - REDMOND, EILEEN	NEW YORK 529 TRAILS	0.00	3.13	0.00	3.13	88.0	2.75
	ACCOUNT #: 77172702501	BUY 0 Units @0.0000						
11/19/2018	***-**-244I - BURTON, RICHARD	NEW YORK 529 TRAILS	0.00	0.12	0.00	0.12	88.0	0.11
	ACCOUNT #: 77243486101	BUY 0 Units @0.0000						
11/19/2018	***-**-467I - PICKARD, BRIAN	NEW YORK 529 TRAILS	0.00	1.10	0.00	1.10	88.0	0.97
	ACCOUNT #: 77247884901	BUY 0 Units @0.0000						
11/19/2018	***-**-93JT - WADSWORTH,	NEW YORK 529 TRAILS	0.00	1.10	0.00	1.10	88.0	0.97
	ACCOUNT #: 77296639001	BUY 0 Units @0.0000						
11/19/2018	***-**-21IN - DANIELS, JOHN	NEW YORK 529 TRAILS	0.00	0.31	0.00	0.31	88.0	0.27
	ACCOUNT #: 77376247101	BUY 0 Units @0.0000						
11/19/2018	***-**-4580 - GRIFFITH,	NEW YORK 529 TRAILS	0.00	8.62	0.00	8.62	88.0	7.59
		BUY 0 Units @0.0000						
11/19/2018	***-**-0862 - REDMOND, EILEEN	NEW YORK 529 TRAILS	0.00	0.79	0.00	0.79	88.0	0.70
	ACCOUNT #: 77519113701	BUY 0 Units @0.0000						



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<b>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b>								
11/19/2018	***-**-39IN - CLEARY, KAREN	NEW YORK 529 TRAILS	0.00	4.78	0.00	4.78	88.0	4.21
	ACCOUNT #: 77678090301	BUY 0 Units @0.0000						
11/19/2018	***-**-497I - MARTIN, KATHLEEN	NEW YORK 529 TRAILS	0.00	1.82	0.00	1.82	88.0	1.60
		BUY 0 Units @0.0000						
11/19/2018	***-**-015P - SABANOSH, SHERYL	NEW YORK 529 TRAILS	0.00	7.44	0.00	7.44	88.0	6.55
	ACCOUNT #: 77775742701	BUY 0 Units @0.0000						
10/19/2018	***-**-077I - GAUTHIER, LOUIS	OPP PORT SERIES: ACTIVE ALLOC A	0.00	2.44	0.00	2.44	88.0	2.15
	ACCOUNT #: LSR010901	BUY 1 Units @0.0000						
10/19/2018	***-**-679I - MURSCH JR,	OPPENHEIMER INTERNATIONAL DIVERSIFI	0.00	0.17	0.00	0.17	88.0	0.15
	ACCOUNT #: LSR010888	BUY 1 Units @0.0000						
10/19/2018	***-**-319I - HILLEBRAND, JOAN	OPPENHEIMER INTERNATIONAL DIVERSIFI	0.00	3.92	0.00	3.92	88.0	3.45
	ACCOUNT #: LSR011002	BUY 1 Units @0.0000						
10/19/2018	***-**-61IN - GORCZYNSKI,	OPPENHEIMER INTERNATIONAL DIVERSIFI	0.00	39.48	0.00	39.48	88.0	34.74
	ACCOUNT #: LSR010844	BUY 1 Units @0.0000						
10/19/2018	***-**-679I - MURSCH JR,	OPPENHEIMER SMALL & MID CAP VALUE F	0.00	0.19	0.00	0.19	88.0	0.17
	ACCOUNT #: LSR010888	BUY 1 Units @0.0000						
10/19/2018	***-**-621I - DANIELS SR, JOHN	OPPENHEIMER SMALL & MID CAP VALUE F	0.00	4.19	0.00	4.19	88.0	3.69
	ACCOUNT #: LSR010950	BUY 1 Units @0.0000						
10/19/2018	***-**-05IN - HULL, JEFFERY	PRINCIPAL INVESTORS HIGH YIELD CL	0.00	6.07	0.00	6.07	88.0	5.34
	ACCOUNT #: LSR011187	BUY 1 Units @0.0000						
11/05/2018	***-**-522I - RIEBEN, HENRY	PUTNAM MF TRAILS 37252M306	17.07	0.17	0.00	0.17	88.0	0.15
	ACCOUNT #: 00551360517	BUY 1 Units @19.8900						
10/19/2018	***-**-679I - MURSCH JR,	QUEST BALANCED A	0.00	0.14	0.00	0.14	88.0	0.12
	ACCOUNT #: LSR010888	BUY 1 Units @0.0000						
10/19/2018	***-**-231J - MISHLANIE JR,	QUEST BALANCED A	0.00	3.17	0.00	3.17	88.0	2.79
	ACCOUNT #: LSR010927	BUY 1 Units @0.0000						
10/19/2018	***-**-29IN - THIBAUT,	QUEST BALANCED FUND C	0.00	9.80	0.00	9.80	88.0	8.62
	ACCOUNT #: LSR011094	BUY 1 Units @0.0000						
10/19/2018	***-**-24TR - SCOTELLARO, L	QUEST INTERNATIONAL VALUE FUND, INC	0.00	2.85	0.00	2.85	88.0	2.51
	ACCOUNT #: LSR010973	BUY 1 Units @0.0000						
10/19/2018	***-**-61IN - GORCZYNSKI,	QUEST INTERNATIONAL VALUE FUND, INC	0.00	38.19	0.00	38.19	88.0	33.61
	ACCOUNT #: LSR010844	BUY 1 Units @0.0000						



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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b>								
10/19/2018	***-**-679I - MURSCH JR, ACCOUNT #: LSR010888	RISING DIVIDENDS FUND A BUY 1 Units @0.0000	0.00	0.23	0.00	0.23	88.0	0.20
10/19/2018	***-**-077I - GAUTHIER, LOUIS ACCOUNT #: LSR010901	RISING DIVIDENDS FUND A BUY 1 Units @0.0000	0.00	2.24	0.00	2.24	88.0	1.97
10/19/2018	***-**-474J - HAGAN JR, ACCOUNT #: LSR010993	RISING DIVIDENDS FUND A BUY 1 Units @0.0000	0.00	1.57	0.00	1.57	88.0	1.38
10/19/2018	***-**-01IN - HAGAN III, ACCOUNT #: LSR011014	RISING DIVIDENDS FUND A BUY 1 Units @0.0000	0.00	0.44	0.00	0.44	88.0	0.39
10/19/2018	***-**-369I - DAVIS, BRUCE ACCOUNT #: LSR011029	RISING DIVIDENDS FUND A BUY 1 Units @0.0000	0.00	2.56	0.00	2.56	88.0	2.25
10/19/2018	***-**-05IN - HULL, JEFFERY ACCOUNT #: LSR011187	SENIOR FLOATING RATE FUND C BUY 1 Units @0.0000	0.00	8.49	0.00	8.49	88.0	7.47
10/19/2018	***-**-621O - DANIELS, JOHN ACCOUNT #: LSR012373	SMALL- & MID-CAP GROWTH FUND A BUY 1 Units @0.0000	0.00	0.27	0.00	0.27	88.0	0.24
10/19/2018	***-**-13IN - MUMIN, SAYYED ACCOUNT #: LSR012378	SMALL- & MID-CAP GROWTH FUND A BUY 1 Units @0.0000	0.00	0.82	0.00	0.82	88.0	0.72
10/19/2018	***-**-54IN - DANIELS, JOHN ACCOUNT #: LSR012380	SMALL- & MID-CAP GROWTH FUND A BUY 1 Units @0.0000	0.00	0.82	0.00	0.82	88.0	0.72
10/19/2018	***-**-06IN - DANIELS, ELMYRA ACCOUNT #: LSR012704	SMALL- & MID-CAP GROWTH FUND A BUY 1 Units @0.0000	0.00	0.82	0.00	0.82	88.0	0.72
10/19/2018	***-**-80IN - GRIFFITH, DAVID ACCOUNT #: LSF000286	SMALLCAP WORLD FUND-A BUY 1 Units @0.0000	0.00	5.94	0.00	5.94	88.0	5.23
10/19/2018	***-**-580I - GRIFFITH, DAVID ACCOUNT #: LSF000295	SMALLCAP WORLD FUND-A BUY 1 Units @0.0000	0.00	1.58	0.00	1.58	88.0	1.39
10/19/2018	***-**-522I - RIEBEN, HENRY ACCOUNT #: LSR010964	SMALLCAP WORLD FUND-A BUY 1 Units @0.0000	0.00	0.72	0.00	0.72	88.0	0.63
10/19/2018	***-**-24TR - SCOTELLARO, L ACCOUNT #: LSR010973	SMALLCAP WORLD FUND-A BUY 1 Units @0.0000	0.00	1.63	0.00	1.63	88.0	1.43
10/19/2018	***-**-803J - TEESDALE, ACCOUNT #: LSR011017	SMALLCAP WORLD FUND-A BUY 1 Units @0.0000	0.00	0.37	0.00	0.37	88.0	0.33
10/19/2018	***-**-22IN - GRACIE, JULIA ACCOUNT #: LSR011019	SMALLCAP WORLD FUND-A BUY 1 Units @0.0000	0.00	2.08	0.00	2.08	88.0	1.83





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<b>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b>								
10/19/2018	***-**-661I - GORCZYNSKI, ACCOUNT #: LSR011221	SMALLCAP WORLD FUND-A BUY 1 Units @0.0000	0.00	4.27	0.00	4.27	88.0	3.76
10/19/2018	***-**-469I - HAUCK, JUDITH ACCOUNT #: LSR011739	SMALLCAP WORLD FUND-A BUY 1 Units @0.0000	0.00	0.74	0.00	0.74	88.0	0.65
10/19/2018	***-**-621O - DANIELS, JOHN ACCOUNT #: LSR012373	SMALLCAP WORLD FUND-A BUY 1 Units @0.0000	0.00	0.10	0.00	0.10	88.0	0.09
10/19/2018	***-**-13IN - MUMIN, SAYYED ACCOUNT #: LSR012378	SMALLCAP WORLD FUND-A BUY 1 Units @0.0000	0.00	0.38	0.00	0.38	88.0	0.33
10/19/2018	***-**-54IN - DANIELS, JOHN ACCOUNT #: LSR012380	SMALLCAP WORLD FUND-A BUY 1 Units @0.0000	0.00	0.38	0.00	0.38	88.0	0.33
10/19/2018	***-**-06IN - DANIELS, ELMYRA ACCOUNT #: LSR012704	SMALLCAP WORLD FUND-A BUY 1 Units @0.0000	0.00	0.38	0.00	0.38	88.0	0.33
10/19/2018	***-**-762I - STORSBERG, ACCOUNT #: LSR011688	SMALLCAP WORLD FUND-C BUY 1 Units @0.0000	0.00	13.44	0.00	13.44	88.0	11.83
10/19/2018	***-**-656I - SMOLA, STANLEY ACCOUNT #: LSR010868	SMALLCAP WORLD FUND-F1 BUY 1 Units @0.0000	0.00	2.08	0.00	2.08	88.0	1.83
10/19/2018	***-**-25IN - PERRITANO, ACCOUNT #: LSR010924	TA ASSET ALLOC MODERATE PORT CL A BUY 1 Units @0.0000	0.00	1.84	0.00	1.84	88.0	1.62
10/19/2018	***-**-78IR - WHITEFORD, GARY ACCOUNT #: LSR012811	TEM GLOBAL TOTAL RETURN FUND - CLAS BUY 1 Units @0.0000	0.00	0.27	0.00	0.27	88.0	0.24
10/19/2018	***-**-378J - WHITEFORD, GARY ACCOUNT #: LSR012812	TEM GLOBAL TOTAL RETURN FUND - CLAS BUY 1 Units @0.0000	0.00	0.46	0.00	0.46	88.0	0.40
10/19/2018	***-**-78IR - WHITEFORD, GARY ACCOUNT #: LSR012811	TEMP GLOBAL BOND FND - CL A BUY 1 Units @0.0000	0.00	0.52	0.00	0.52	88.0	0.46
10/19/2018	***-**-423I - SAVICKI, RICHARD ACCOUNT #: LSR010889	TEMPLETON EMERGING MARKETS BALANCED BUY 1 Units @0.0000	0.00	7.27	0.00	7.27	88.0	6.40
10/19/2018	***-**-425I - PERRITANO, ACCOUNT #: LSR010922	TEMPLETON EMERGING MARKETS BALANCED BUY 1 Units @0.0000	0.00	11.23	0.00	11.23	88.0	9.88
10/19/2018	***-**-319I - HILLEBRAND, JOAN ACCOUNT #: LSR011002	TEMPLETON EMERGING MARKETS BALANCED BUY 1 Units @0.0000	0.00	7.83	0.00	7.83	88.0	6.89
10/19/2018	***-**-973I - CHAMBERS, ROGER ACCOUNT #: LSR011018	TEMPLETON GLOBAL BOND FUND - CLASS BUY 1 Units @0.0000	0.00	5.66	0.00	5.66	88.0	4.98



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<b>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b>								
10/19/2018	***-**-05IN - HULL, JEFFERY	TEMPLETON GLOBAL BOND FUND - CLASS	0.00	4.15	0.00	4.15	88.0	3.65
	ACCOUNT #: LSR011187	BUY 1 Units @0.0000						
10/19/2018	***-**-80IN - GRIFFITH, DAVID	THE GROWTH FUND OF AMERICA-A	0.00	1.34	0.00	1.34	88.0	1.18
	ACCOUNT #: LSF000286	BUY 1 Units @0.0000						
10/19/2018	***-**-29IO - LORUSSO, VINCENT	THE GROWTH FUND OF AMERICA-C	0.00	7.75	0.00	7.75	88.0	6.82
	ACCOUNT #: LSR011681	BUY 1 Units @0.0000						
11/02/2018	***-**-794I - INGERSOLL, JOAN	THE HARTFORD EQUITY INCOME FUND - A	0.00	0.61	0.00	0.61	88.0	0.54
	ACCOUNT #: 00000871758	BUY 0 Units @0.0000						
11/02/2018	***-**-015P - SABANOSH, SHERYL	THE HARTFORD FLOATING RATE FUND - A	0.00	0.68	0.00	0.68	88.0	0.60
	ACCOUNT #: 00000856950	BUY 0 Units @0.0000						
11/02/2018	***-**-015P - SABANOSH, SHERYL	THE HARTFORD GLOBAL HEALTH FUND-A	0.00	1.30	0.00	1.30	88.0	1.14
	ACCOUNT #: 00000856950	BUY 0 Units @0.0000						
11/02/2018	***-**-015P - SABANOSH, SHERYL	THE HARTFORD VALUE OPPORTUNITIES FD	0.00	0.99	0.00	0.99	88.0	0.87
	ACCOUNT #: 00000856950	BUY 0 Units @0.0000						
10/19/2018	***-**-24TR - SCOTELLARO, L	THE INCOME FUND OF AMERICA-A	0.00	4.64	0.00	4.64	88.0	4.08
	ACCOUNT #: LSR010973	BUY 1 Units @0.0000						
10/19/2018	***-**-474J - HAGAN JR,	THE INCOME FUND OF AMERICA-A	0.00	3.19	0.00	3.19	88.0	2.81
	ACCOUNT #: LSR010993	BUY 1 Units @0.0000						
10/19/2018	***-**-698J - FEISTHAMEL, MR	THE INCOME FUND OF AMERICA-A	0.00	1.60	0.00	1.60	88.0	1.41
	ACCOUNT #: LSR011137	BUY 1 Units @0.0000						
10/19/2018	***-**-661I - GORCZYNSKI,	THE INCOME FUND OF AMERICA-A	0.00	2.23	0.00	2.23	88.0	1.96
	ACCOUNT #: LSR011221	BUY 1 Units @0.0000						
10/19/2018	***-**-469I - HAUCK, JUDITH	THE INCOME FUND OF AMERICA-A	0.00	1.78	0.00	1.78	88.0	1.57
	ACCOUNT #: LSR011739	BUY 1 Units @0.0000						
10/19/2018	***-**-621O - DANIELS, JOHN	THE INCOME FUND OF AMERICA-A	0.00	1.25	0.00	1.25	88.0	1.10
	ACCOUNT #: LSR012373	BUY 1 Units @0.0000						
10/19/2018	***-**-13IN - MUMIN, SAYYED	THE INCOME FUND OF AMERICA-A	0.00	0.81	0.00	0.81	88.0	0.71
	ACCOUNT #: LSR012378	BUY 1 Units @0.0000						
10/19/2018	***-**-54IN - DANIELS, JOHN	THE INCOME FUND OF AMERICA-A	0.00	0.81	0.00	0.81	88.0	0.71
	ACCOUNT #: LSR012380	BUY 1 Units @0.0000						
10/19/2018	***-**-06IN - DANIELS, ELMYRA	THE INCOME FUND OF AMERICA-A	0.00	0.81	0.00	0.81	88.0	0.71
	ACCOUNT #: LSR012704	BUY 1 Units @0.0000						



# COMMISSION STATEMENT

## November 19, 2018

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b>								
10/19/2018	***-**-656I - SMOLA, STANLEY	THE INCOME FUND OF AMERICA-F1	0.00	1.43	0.00	1.43	88.0	1.26
	ACCOUNT #: LSR010868	BUY 1 Units @0.0000						
10/19/2018	***-**-661I - GORCZYNSKI,	THE NEW ECONOMY FUND-A	0.00	3.79	0.00	3.79	88.0	3.34
	ACCOUNT #: LSR011221	BUY 1 Units @0.0000						
10/19/2018	***-**-94UT - MISHLANIE,	TRANSAMERICA BALANCED - A	0.00	4.59	0.00	4.59	88.0	4.04
	ACCOUNT #: LSR010931	BUY 1 Units @0.0000						
10/19/2018	***-**-474J - HAGAN JR,	WASHINGTON MUTUAL INVESTORS FUND-C	0.00	24.96	0.00	24.96	88.0	21.96
	ACCOUNT #: LSR010993	BUY 1 Units @0.0000						
	<b>* MUTUAL FUND 12B1 TRAILS SUBTOTAL *</b>		<b>\$17.07</b>	<b>\$1,166.98</b>	<b>\$0.00</b>	<b>\$1,166.98</b>		<b>\$1,026.90</b>
	<b>*** BROKER TRANSACTIONS TOTAL ***</b>		<b>\$206,353.12</b>	<b>\$2,840.58</b>	<b>\$293.00</b>	<b>\$2,547.58</b>		<b>\$2,240.38</b>

### VERRIDE TRANSACTIONS

#### BROKER: KURT GRUENEWALD

10/19/2018	***-**-702I - KOCHER, MICHAEL	AF MODERATE GROWTH AND INCOME-A	0.00	4.11	0.00	4.11	88.0	3.62
	ACCOUNT #: LSR010954	BUY 1 Units @0.0000						
10/19/2018	***-**-366I - GRUENEWALD,	AF MODERATE GROWTH AND INCOME-A	0.00	1.46	0.00	1.46	88.0	1.28
	ACCOUNT #: LSR010989	BUY 1 Units @0.0000						
10/19/2018	***-**-579J - RHYMESTINE,	AF MODERATE GROWTH AND INCOME-A	0.00	0.08	0.00	0.08	88.0	0.07
	ACCOUNT #: LSR011081	BUY 1 Units @0.0000						
10/19/2018	***-**-808J - GORMAN, RANDY	AF MODERATE GROWTH AND INCOME-A	0.00	0.25	0.00	0.25	88.0	0.22
	ACCOUNT #: LSR011087	BUY 1 Units @0.0000						
10/19/2018	***-**-326I - GRANDE, FBO MR	AF MODERATE GROWTH AND INCOME-A	0.00	2.05	0.00	2.05	88.0	1.80
	ACCOUNT #: LSR011091	BUY 1 Units @0.0000						
10/19/2018	***-**-79TR - OR CYNTHIA	AF MODERATE GROWTH AND INCOME-A	0.00	0.72	0.00	0.72	88.0	0.63
	ACCOUNT #: LSR012749	BUY 1 Units @0.0000						
11/15/2018	***-**-5375 - CARTER, LISA	AMERICAN BALANCED FUND-529C	500.00	5.00	0.00	5.00	88.0	4.40
	ACCOUNT #: 00083996363	BUY 19 Units @26.9700						
10/19/2018	***-**-680I - HARRELL, DARYL	AMERICAN BALANCED FUND-A	0.00	0.90	0.00	0.90	88.0	0.79
	ACCOUNT #: LSR011321	BUY 1 Units @0.0000						
10/19/2018	***-**-30TR - AND SANDRA	AMERICAN BALANCED FUND-A	0.00	2.92	0.00	2.92	88.0	2.57
	ACCOUNT #: LSR011939	BUY 1 Units @0.0000						



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<b> OVERRIDE TRANSACTIONS (continued)</b>								
<b> <u>BROKER: KURT GRUENEWALD (continued)</u></b>								
11/07/2018	***-**-480J - EVANS, RICHARD ACCOUNT #: 00073288662	AMERICAN BALANCED FUND-A BUY 4 Units @28.9100	125.00	5.31	0.00	5.31	88.0	4.67
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	88.0	13.50
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	88.0	3.41
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	88.0	4.58
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	88.0	13.70
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	88.0	7.60
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	88.0	3.86
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	88.0	3.17
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	88.0	19.54
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	88.0	5.33
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	88.0	4.07
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	88.0	10.38
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	88.0	9.12
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	88.0	6.12
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	88.0	10.29
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	88.0	6.85



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<b> OVERRIDE TRANSACTIONS (continued)</b>								
<b> <u>BROKER: KURT GRUENEWALD (continued)</u></b>								
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	88.0	10.24
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	88.0	4.73
10/19/2018	***-**-73UT - COBB, CHRISTIAN ACCOUNT #: LSR011104	AMERICAN FUNDS BALANCED PORT CL C BUY 1 Units @0.0000	0.00	5.35	0.00	5.35	88.0	4.71
10/19/2018	***-**-67UT - COBB, ACCOUNT #: LSR011105	AMERICAN FUNDS BALANCED PORT CL C BUY 1 Units @0.0000	0.00	5.35	0.00	5.35	88.0	4.71
10/19/2018	***-**-13IN - RHYMESTINE, ACCOUNT #: LSR011106	AMERICAN FUNDS BALANCED PORT CL C BUY 1 Units @0.0000	0.00	2.56	0.00	2.56	88.0	2.25
10/19/2018	***-**-89IN - LEE, ROGER ACCOUNT #: LSR011166	AMERICAN FUNDS BALANCED PORT CL C BUY 1 Units @0.0000	0.00	7.34	0.00	7.34	88.0	6.46
10/19/2018	***-**-31IO - WILLIAMSON, FBO ACCOUNT #: LSR011172	AMERICAN FUNDS BALANCED PORT CL C BUY 1 Units @0.0000	0.00	14.07	0.00	14.07	88.0	12.38
10/19/2018	***-**-64IO - PFAFF, GEORGE ACCOUNT #: LSR011185	AMERICAN FUNDS BALANCED PORT CL C BUY 1 Units @0.0000	0.00	4.94	0.00	4.94	88.0	4.35
10/19/2018	***-**-900J - LEE, MR. ACCOUNT #: LSR011186	AMERICAN FUNDS BALANCED PORT CL C BUY 1 Units @0.0000	0.00	5.10	0.00	5.10	88.0	4.49
10/19/2018	***-**-62IR - ROBBIANO, FBO ACCOUNT #: LSR011195	AMERICAN FUNDS BALANCED PORT CL C BUY 1 Units @0.0000	0.00	3.60	0.00	3.60	88.0	3.17
10/19/2018	***-**-02IN - BUSHEY, MELISSA ACCOUNT #: LSR011257	AMERICAN FUNDS BALANCED PORT CL C BUY 1 Units @0.0000	0.00	3.62	0.00	3.62	88.0	3.19
10/19/2018	***-**-653I - KOCHER, CLINTON ACCOUNT #: LSR011300	AMERICAN FUNDS BALANCED PORT CL C BUY 1 Units @0.0000	0.00	3.66	0.00	3.66	88.0	3.22
10/19/2018	***-**-851K - LALLIER, JAMES ACCOUNT #: LSR012645	AMERICAN FUNDS BALANCED PORT CL C BUY 1 Units @0.0000	0.00	11.47	0.00	11.47	88.0	10.09
10/19/2018	***-**-62IR - ROBBIANO, FBO ACCOUNT #: LSR011195	AMERICAN FUNDS GLBL GROWTH PORT CL BUY 1 Units @0.0000	0.00	3.37	0.00	3.37	88.0	2.97
10/19/2018	***-**-851K - LALLIER, JAMES ACCOUNT #: LSR012645	AMERICAN FUNDS GLBL GROWTH PORT CL BUY 1 Units @0.0000	0.00	2.02	0.00	2.02	88.0	1.78
10/19/2018	***-**-87IN - HINCKLEY, ACCOUNT #: LSR010834	AMERICAN FUNDS MORTGAGE FD CL C BUY 1 Units @0.0000	0.00	6.25	0.00	6.25	88.0	5.50



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<b> OVERRIDE TRANSACTIONS (continued)</b>								
<b> <u>BROKER: KURT GRUENEWALD (continued)</u></b>								
10/19/2018	***-**-287J - HINCKLEY, ACCOUNT #: LSR010841	AMERICAN FUNDS MORTGAGE FD CL C BUY 1 Units @0.0000	0.00	6.70	0.00	6.70	88.0	5.90
10/19/2018	***-**-881I - EBERLEY, SUSAN ACCOUNT #: LSR010858	AMERICAN FUNDS MORTGAGE FD CL C BUY 1 Units @0.0000	0.00	7.07	0.00	7.07	88.0	6.22
10/19/2018	***-**-382I - SATTERLY, NEIL ACCOUNT #: LSR010867	AMERICAN FUNDS MORTGAGE FD CL C BUY 1 Units @0.0000	0.00	8.23	0.00	8.23	88.0	7.24
10/19/2018	***-**-980I - ACEE, ELIZABETH ACCOUNT #: LSR010885	AMERICAN FUNDS MORTGAGE FD CL C BUY 1 Units @0.0000	0.00	12.46	0.00	12.46	88.0	10.96
10/19/2018	***-**-48IO - CLARK, PATRICK ACCOUNT #: LSR010911	AMERICAN FUNDS MORTGAGE FD CL C BUY 1 Units @0.0000	0.00	12.37	0.00	12.37	88.0	10.89
10/19/2018	***-**-31IO - HARTZ, CLAUDIA ACCOUNT #: LSR010915	AMERICAN FUNDS MORTGAGE FD CL C BUY 1 Units @0.0000	0.00	4.77	0.00	4.77	88.0	4.20
10/19/2018	***-**-72IN - GAVALO, JULIE ACCOUNT #: LSR010921	AMERICAN FUNDS MORTGAGE FD CL C BUY 1 Units @0.0000	0.00	12.43	0.00	12.43	88.0	10.94
10/19/2018	***-**-959I - FRANZ, PAUL ACCOUNT #: LSR010959	AMERICAN FUNDS MORTGAGE FD CL C BUY 1 Units @0.0000	0.00	9.94	0.00	9.94	88.0	8.75
10/19/2018	***-**-065I - LAZIO, THOMAS ACCOUNT #: LSR010979	AMERICAN FUNDS MORTGAGE FD CL C BUY 1 Units @0.0000	0.00	7.43	0.00	7.43	88.0	6.54
10/19/2018	***-**-80IN - COBB, JAMES ACCOUNT #: LSR011042	AMERICAN FUNDS MORTGAGE FD CL C BUY 1 Units @0.0000	0.00	8.21	0.00	8.21	88.0	7.22
10/19/2018	***-**-00IO - LEE, GARY ACCOUNT #: LSR011059	AMERICAN FUNDS MORTGAGE FD CL C BUY 1 Units @0.0000	0.00	8.33	0.00	8.33	88.0	7.33
10/19/2018	***-**-44IO - MAYO, DEBORAH ACCOUNT #: LSR011079	AMERICAN FUNDS MORTGAGE FD CL C BUY 1 Units @0.0000	0.00	28.58	0.00	28.58	88.0	25.15
10/19/2018	***-**-579J - RHYMESTINE, ACCOUNT #: LSR011081	AMERICAN FUNDS MORTGAGE FD CL C BUY 1 Units @0.0000	0.00	0.82	0.00	0.82	88.0	0.72
10/19/2018	***-**-09IO - BATES, FBO MRS ACCOUNT #: LSR011117	AMERICAN FUNDS MORTGAGE FD CL C BUY 1 Units @0.0000	0.00	21.30	0.00	21.30	88.0	18.74
10/19/2018	***-**-48IO - ANACKER, FBO MRS ACCOUNT #: LSR011164	AMERICAN FUNDS MORTGAGE FD CL C BUY 1 Units @0.0000	0.00	6.20	0.00	6.20	88.0	5.46
10/19/2018	***-**-89IN - LEE, ROGER ACCOUNT #: LSR011166	AMERICAN FUNDS MORTGAGE FD CL C BUY 1 Units @0.0000	0.00	13.28	0.00	13.28	88.0	11.69



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<b> OVERRIDE TRANSACTIONS (continued)</b>								
<b> <u>BROKER: KURT GRUENEWALD (continued)</u></b>								
10/19/2018	***-**-094I - KATRENA L ACCOUNT #: LSR011188	AMERICAN FUNDS MORTGAGE FD CL C BUY 1 Units @0.0000	0.00	2.89	0.00	2.89	88.0	2.54
10/19/2018	***-**-439J - MCCARTHY, JAMES ACCOUNT #: LSR011205	AMERICAN FUNDS MORTGAGE FD CL C BUY 1 Units @0.0000	0.00	2.41	0.00	2.41	88.0	2.12
10/19/2018	***-**-52IO - EUSEPI, SUSAN ACCOUNT #: LSR011219	AMERICAN FUNDS MORTGAGE FD CL C BUY 1 Units @0.0000	0.00	2.86	0.00	2.86	88.0	2.52
10/19/2018	***-**-473J - HUSTON, ACCOUNT #: LSR011228	AMERICAN FUNDS MORTGAGE FD CL C BUY 1 Units @0.0000	0.00	8.29	0.00	8.29	88.0	7.30
10/19/2018	***-**-80IO - EVANS, RICHARD ACCOUNT #: LSR011276	AMERICAN FUNDS MORTGAGE FD CL C BUY 1 Units @0.0000	0.00	6.56	0.00	6.56	88.0	5.77
10/19/2018	***-**-376I - BERBEN, GAIL ACCOUNT #: LSR011380	AMERICAN FUNDS MORTGAGE FD CL C BUY 1 Units @0.0000	0.00	3.96	0.00	3.96	88.0	3.48
10/19/2018	***-**-21IO - RADELL, SANDRA ACCOUNT #: LSR011392	AMERICAN FUNDS MORTGAGE FD CL C BUY 1 Units @0.0000	0.00	8.04	0.00	8.04	88.0	7.08
10/19/2018	***-**-45IO - JOHNSON, GREGORY ACCOUNT #: LSR011421	AMERICAN FUNDS MORTGAGE FD CL C BUY 1 Units @0.0000	0.00	16.08	0.00	16.08	88.0	14.15
10/19/2018	***-**-99IN - EDELMAN, TINA ACCOUNT #: LSR011956	AMERICAN FUNDS MORTGAGE FD CL C BUY 1 Units @0.0000	0.00	5.99	0.00	5.99	88.0	5.27
10/19/2018	***-**-79TR - OR CYNTHIA ACCOUNT #: LSR012749	AMERICAN FUNDS MORTGAGE FD CL C BUY 1 Units @0.0000	0.00	7.35	0.00	7.35	88.0	6.47
11/09/2018	***-**-62IN - EATON, DAVID ACCOUNT #: LSR011315	AMERICAN FUNDS MORTGAGE FD CL C BUY 1037 Units @9.6400	10,000.00	100.00	0.00	100.00	88.0	88.00
11/09/2018	***-**-60IO - JOSEPH, ACCOUNT #: LSR012336	AMERICAN FUNDS MORTGAGE FD CL C BUY 1037 Units @9.6400	10,000.00	100.00	0.00	100.00	88.0	88.00
10/19/2018	***-**-420T - DEMETRI, AMELIA ACCOUNT #: LSR010994	AMERICAN FUNDS PRESERVATION PORT C BUY 1 Units @0.0000	0.00	4.09	0.00	4.09	88.0	3.60
10/19/2018	***-**-881J - EBERLEY, SUSAN ACCOUNT #: LSR010856	AMERICAN GLOBAL BALANCED CL C BUY 1 Units @0.0000	0.00	8.41	0.00	8.41	88.0	7.40
10/19/2018	***-**-382I - SATTERLY, NEIL ACCOUNT #: LSR010867	AMERICAN GLOBAL BALANCED CL C BUY 1 Units @0.0000	0.00	11.00	0.00	11.00	88.0	9.68
10/19/2018	***-**-382K - SATTERLY, NEIL ACCOUNT #: LSR010875	AMERICAN GLOBAL BALANCED CL C BUY 1 Units @0.0000	0.00	4.07	0.00	4.07	88.0	3.58



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<b> OVERRIDE TRANSACTIONS (continued) </b>								
<b> <u>BROKER: KURT GRUENEWALD (continued)</u> </b>								
10/19/2018	***-**-980I - ACEE, ELIZABETH	AMERICAN GLOBAL BALANCED CL C	0.00	13.75	0.00	13.75	88.0	12.10
	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	88.0	9.52
	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	88.0	9.24
	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	88.0	6.38
	ACCOUNT #: LSR010979	BUY 1 Units @0.0000						
10/19/2018	***-**-420T - DEMETRI, AMELIA	AMERICAN GLOBAL BALANCED CL C	0.00	5.97	0.00	5.97	88.0	5.25
	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	88.0	9.07
	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	88.0	21.01
	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	88.0	6.77
	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	88.0	11.28
	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	88.0	28.24
	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	88.0	14.26
	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	88.0	6.40
	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	88.0	14.24
	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	88.0	4.85
	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	88.0	8.10
	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	88.0	4.88
	ACCOUNT #: LSR011392	BUY 1 Units @0.0000						





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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b> OVERRIDE TRANSACTIONS (continued)</b>								
<b> <u>BROKER: KURT GRUENEWALD (continued)</u></b>								
10/19/2018	***-**-45IO - JOHNSON, GREGORY	AMERICAN GLOBAL BALANCED CL C	0.00	10.15	0.00	10.15	88.0	8.93
	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	88.0	14.60
	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	88.0	7.97
	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	88.0	7.12
	ACCOUNT #: LSR011613	BUY 1 Units @0.0000						
10/19/2018	***-**-03IO - MASTRANGELO,	AMERICAN GLOBAL BALANCED CL C	0.00	9.15	0.00	9.15	88.0	8.05
	ACCOUNT #: LSR011679	BUY 1 Units @0.0000						
10/19/2018	***-**-51IO - SCALISE, MARY	AMERICAN GLOBAL BALANCED CL C	0.00	7.38	0.00	7.38	88.0	6.49
	ACCOUNT #: LSR011837	BUY 1 Units @0.0000						
10/19/2018	***-**-99IN - EDELMAN, TINA	AMERICAN GLOBAL BALANCED CL C	0.00	6.29	0.00	6.29	88.0	5.54
	ACCOUNT #: LSR011956	BUY 1 Units @0.0000						
11/08/2018	***-**-60IO - JOSEPH,	AMERICAN GLOBAL BALANCED CL C	15,000.00	150.00	0.00	150.00	88.0	132.00
	ACCOUNT #: LSR012336	BUY 485 Units @30.9300						
10/19/2018	***-**-702I - KOCHER, MICHAEL	AMERICAN GLOBAL BALANCED CLASS A	0.00	2.52	0.00	2.52	88.0	2.22
	ACCOUNT #: LSR010954	BUY 1 Units @0.0000						
10/19/2018	***-**-63TR - EVANS, AUDREY J	AMERICAN GLOBAL BALANCED CLASS A	0.00	5.80	0.00	5.80	88.0	5.10
	ACCOUNT #: LSR011036	BUY 1 Units @0.0000						
10/19/2018	***-**-30TR - AND SANDRA	AMERICAN GLOBAL BALANCED CLASS A	0.00	1.49	0.00	1.49	88.0	1.31
	ACCOUNT #: LSR011939	BUY 1 Units @0.0000						
10/19/2018	***-**-287I - HINCKLEY,	AMERICAN MUTUAL FUND-A	0.00	5.57	0.00	5.57	88.0	4.90
	ACCOUNT #: LSR010843	BUY 1 Units @0.0000						
10/19/2018	***-**-05IN - GATES, ROGER	AMERICAN MUTUAL FUND-C	0.00	6.76	0.00	6.76	88.0	5.95
	ACCOUNT #: LSR012771	BUY 1 Units @0.0000						
10/19/2018	***-**-13IN - GRUENEWALD,	AMERICAN WASHINGTON MUTUAL INVESTOR	0.00	0.35	0.00	0.35	88.0	0.31
	ACCOUNT #: LSR011210	BUY 1 Units @0.0000						
11/09/2018	***-**-60IO - JOSEPH,	AT&T INC COM	3,045.00	31.45	0.00	31.45	88.0	27.68
	ACCOUNT #: LSR012336	BUY 100 Units @30.4500						
11/15/2018	***-**-52IO - EUSEPI, SUSAN	AURORA CANNABIS INC COM NPV ISIN #C	660.00	6.60	0.00	6.60	88.0	5.81
	ACCOUNT #: LSR011219	BUY 100 Units @6.6000						



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<b> OVERRIDE TRANSACTIONS (continued)</b>								
<b> <u>BROKER: KURT GRUENEWALD (continued)</u></b>								
10/19/2018	***-**-254I - AUGUSTINE, LINDA	CAPITAL INCOME BUILDER CLASS C	0.00	4.93	0.00	4.93	88.0	4.34
	ACCOUNT #: LSR010846	BUY 1 Units @0.0000						
10/19/2018	***-**-881J - EBERLEY, SUSAN	CAPITAL INCOME BUILDER CLASS C	0.00	4.72	0.00	4.72	88.0	4.15
	ACCOUNT #: LSR010856	BUY 1 Units @0.0000						
10/19/2018	***-**-382I - SATTERLY, NEIL	CAPITAL INCOME BUILDER CLASS C	0.00	14.13	0.00	14.13	88.0	12.43
	ACCOUNT #: LSR010867	BUY 1 Units @0.0000						
10/19/2018	***-**-949I - ACEE, JOSPEH	CAPITAL INCOME BUILDER CLASS C	0.00	4.62	0.00	4.62	88.0	4.07
	ACCOUNT #: LSR010908	BUY 1 Units @0.0000						
10/19/2018	***-**-31IO - HARTZ, CLAUDIA	CAPITAL INCOME BUILDER CLASS C	0.00	5.19	0.00	5.19	88.0	4.57
	ACCOUNT #: LSR010915	BUY 1 Units @0.0000						
10/19/2018	***-**-15IN - PENDRAK, JOHN	CAPITAL INCOME BUILDER CLASS C	0.00	8.53	0.00	8.53	88.0	7.51
	ACCOUNT #: LSR010948	BUY 1 Units @0.0000						
10/19/2018	***-**-959I - FRANZ, PAUL	CAPITAL INCOME BUILDER CLASS C	0.00	11.44	0.00	11.44	88.0	10.07
	ACCOUNT #: LSR010959	BUY 1 Units @0.0000						
10/19/2018	***-**-960J - MASTRANGELO,	CAPITAL INCOME BUILDER CLASS C	0.00	9.17	0.00	9.17	88.0	8.07
	ACCOUNT #: LSR010966	BUY 1 Units @0.0000						
10/19/2018	***-**-065I - LAZIO, THOMAS	CAPITAL INCOME BUILDER CLASS C	0.00	6.46	0.00	6.46	88.0	5.68
	ACCOUNT #: LSR010979	BUY 1 Units @0.0000						
10/19/2018	***-**-51IO - CAIN, TIMOTHY	CAPITAL INCOME BUILDER CLASS C	0.00	7.10	0.00	7.10	88.0	6.25
	ACCOUNT #: LSR011007	BUY 1 Units @0.0000						
10/19/2018	***-**-63TR - EVANS, AUDREY J	CAPITAL INCOME BUILDER CLASS C	0.00	5.06	0.00	5.06	88.0	4.45
	ACCOUNT #: LSR011036	BUY 1 Units @0.0000						
10/19/2018	***-**-861I - SANGER, LAWRENCE	CAPITAL INCOME BUILDER CLASS C	0.00	1.76	0.00	1.76	88.0	1.55
	ACCOUNT #: LSR011095	BUY 1 Units @0.0000						
10/19/2018	***-**-13IN - RHYMESTINE,	CAPITAL INCOME BUILDER CLASS C	0.00	4.38	0.00	4.38	88.0	3.85
	ACCOUNT #: LSR011106	BUY 1 Units @0.0000						
10/19/2018	***-**-506J - CURRIERE JR, MR	CAPITAL INCOME BUILDER CLASS C	0.00	3.74	0.00	3.74	88.0	3.29
	ACCOUNT #: LSR011121	BUY 1 Units @0.0000						
10/19/2018	***-**-31IO - WILLIAMSON, FBO	CAPITAL INCOME BUILDER CLASS C	0.00	12.48	0.00	12.48	88.0	10.98
	ACCOUNT #: LSR011172	BUY 1 Units @0.0000						
10/19/2018	***-**-62IR - ROBBIANO, FBO	CAPITAL INCOME BUILDER CLASS C	0.00	6.77	0.00	6.77	88.0	5.96
	ACCOUNT #: LSR011195	BUY 1 Units @0.0000						



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<b> OVERRIDE TRANSACTIONS (continued)</b>								
<b> <u>BROKER: KURT GRUENEWALD (continued)</u></b>								
10/19/2018	***-**-02IN - BUSHEY, MELISSA	CAPITAL INCOME BUILDER CLASS C	0.00	2.77	0.00	2.77	88.0	2.44
	ACCOUNT #: LSR011257	BUY 1 Units @0.0000						
10/19/2018	***-**-851K - LALLIER, JAMES	CAPITAL INCOME BUILDER CLASS C	0.00	10.81	0.00	10.81	88.0	9.51
	ACCOUNT #: LSR012645	BUY 1 Units @0.0000						
10/19/2018	***-**-287I - HINCKLEY,	CAPITAL INCOME BUILDER-A	0.00	3.94	0.00	3.94	88.0	3.47
	ACCOUNT #: LSR010843	BUY 1 Units @0.0000						
10/19/2018	***-**-702I - KOCHER, MICHAEL	CAPITAL INCOME BUILDER-A	0.00	3.58	0.00	3.58	88.0	3.15
	ACCOUNT #: LSR010954	BUY 1 Units @0.0000						
10/19/2018	***-**-366I - GRUENEWALD,	CAPITAL INCOME BUILDER-A	0.00	2.06	0.00	2.06	88.0	1.81
	ACCOUNT #: LSR010989	BUY 1 Units @0.0000						
10/19/2018	***-**-20IO - DEMETRI, AMELIA	CAPITAL INCOME BUILDER-A	0.00	0.97	0.00	0.97	88.0	0.85
	ACCOUNT #: LSR010995	BUY 1 Units @0.0000						
10/19/2018	***-**-579J - RHYMESTINE,	CAPITAL INCOME BUILDER-A	0.00	0.21	0.00	0.21	88.0	0.18
	ACCOUNT #: LSR011081	BUY 1 Units @0.0000						
10/19/2018	***-**-680I - HARRELL, DARYL	CAPITAL INCOME BUILDER-A	0.00	0.30	0.00	0.30	88.0	0.26
	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	88.0	1.85
	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	88.0	1.70
	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	88.0	3.20
	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	88.0	1.34
	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	88.0	0.16
	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	88.0	1.23
	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	88.0	1.34
	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	88.0	0.95
	ACCOUNT #: LSR011164	BUY 1 Units @0.0000						



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<b> OVERRIDE TRANSACTIONS (continued)</b>								
<b> BROKER: KURT GRUENEWALD (continued)</b>								
10/19/2018	***-**-680I - HARRELL, DARYL ACCOUNT #: LSR011321	CAPITAL WORLD GROWTH AND INCOME FUN BUY 1 Units @0.0000	0.00	1.37	0.00	1.37	88.0	1.21
10/19/2018	***-**-128I - BASHANT, THOMAS ACCOUNT #: LSR011387	CAPITAL WORLD GROWTH AND INCOME FUN BUY 1 Units @0.0000	0.00	1.48	0.00	1.48	88.0	1.30
10/19/2018	***-**-30TR - AND SANDRA ACCOUNT #: LSR011939	CAPITAL WORLD GROWTH AND INCOME FUN BUY 1 Units @0.0000	0.00	2.42	0.00	2.42	88.0	2.13
10/19/2018	***-**-79TR - OR CYNTHIA ACCOUNT #: LSR012749	CAPITAL WORLD GROWTH AND INCOME FUN BUY 1 Units @0.0000	0.00	1.59	0.00	1.59	88.0	1.40
10/19/2018	***-**-44IO - MAYO, DEBORAH ACCOUNT #: LSR011079	CAPITAL WORLD GROWTH AND INCOME FUN BUY 1 Units @0.0000	0.00	12.60	0.00	12.60	88.0	11.09
10/19/2018	***-**-09IO - BATES, FBO MRS ACCOUNT #: LSR011117	CAPITAL WORLD GROWTH AND INCOME FUN BUY 1 Units @0.0000	0.00	10.34	0.00	10.34	88.0	9.10
10/19/2018	***-**-11IO - LYNN G. ACCOUNT #: LSR011239	CAPITAL WORLD GROWTH AND INCOME FUN BUY 1 Units @0.0000	0.00	8.79	0.00	8.79	88.0	7.74
10/19/2018	***-**-45IO - JOHNSON, GREGORY ACCOUNT #: LSR011421	CAPITAL WORLD GROWTH AND INCOME FUN BUY 1 Units @0.0000	0.00	7.74	0.00	7.74	88.0	6.81
10/19/2018	***-**-71IO - FAMOLARO, JAMES ACCOUNT #: LSR011279	CLEARBRIDGE AGGRESSIVE GROWTH A BUY 1 Units @0.0000	0.00	0.52	0.00	0.52	88.0	0.46
10/19/2018	***-**-959I - FRANZ, PAUL ACCOUNT #: LSR010959	COLUMBIA MARSICO FOCUSED EQ CL A BUY 1 Units @0.0000	0.00	0.25	0.00	0.25	88.0	0.22
10/19/2018	***-**-15IN - PENDRAK, JOHN ACCOUNT #: LSR010948	EATON VANCE FLOATING RATE ADVANTAGE BUY 1 Units @0.0000	0.00	13.82	0.00	13.82	88.0	12.16
11/08/2018	***-**-60IO - JOSEPH, ACCOUNT #: LSR012336	EATON VANCE FLOATING RATE ADVANTAGE BUY 1099 Units @10.9200	12,000.00	120.00	0.00	120.00	88.0	105.60
10/19/2018	***-**-287J - HINCKLEY, ACCOUNT #: LSR010841	EQUITY INCOME FUND, INC. A BUY 1 Units @0.0000	0.00	0.34	0.00	0.34	88.0	0.30
10/19/2018	***-**-254I - AUGUSTINE, LINDA ACCOUNT #: LSR010846	EQUITY INCOME FUND, INC. A BUY 1 Units @0.0000	0.00	1.84	0.00	1.84	88.0	1.62
10/19/2018	***-**-881J - EBERLEY, SUSAN ACCOUNT #: LSR010856	EQUITY INCOME FUND, INC. A BUY 1 Units @0.0000	0.00	2.07	0.00	2.07	88.0	1.82
10/19/2018	***-**-949I - ACEE, JOSPEH ACCOUNT #: LSR010908	EQUITY INCOME FUND, INC. A BUY 1 Units @0.0000	0.00	2.58	0.00	2.58	88.0	2.27



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<b> OVERRIDE TRANSACTIONS (continued)</b>								
<b> <u>BROKER: KURT GRUENEWALD (continued)</u></b>								
10/19/2018	***-**-15IN - PENDRAK, JOHN	EQUITY INCOME FUND, INC. A	0.00	1.92	0.00	1.92	88.0	1.69
	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	88.0	1.84
	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	88.0	2.03
	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	88.0	5.38
	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	88.0	2.16
	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	88.0	0.91
	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	88.0	2.30
	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	88.0	3.74
	ACCOUNT #: LSR011024	BUY 1 Units @0.0000						
10/19/2018	***-**-944O - MAYO, DEBORAH	EQUITY INCOME FUND, INC. A	0.00	1.13	0.00	1.13	88.0	0.99
	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	88.0	1.77
	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	88.0	1.54
	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	88.0	0.81
	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	88.0	1.00
	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	88.0	1.51
	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	88.0	1.89
	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	88.0	1.36
	ACCOUNT #: LSR011195	BUY 1 Units @0.0000						



# COMMISSION STATEMENT

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2108 Genesee St.  
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BROKER #: A76  
BRANCH #01047 - 47 - GRIFFITH

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b> OVERRIDE TRANSACTIONS (continued)</b>								
<b> <u>BROKER: KURT GRUENEWALD (continued)</u></b>								
10/19/2018	***-**-653I - KOCHER, CLINTON	EQUITY INCOME FUND, INC. A	0.00	3.19	0.00	3.19	88.0	2.81
	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	88.0	0.77
	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	88.0	12.40
	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	88.0	5.60
	ACCOUNT #: LSR010916	BUY 1 Units @0.0000						
10/19/2018	***-**-001O - LEE, GARY	EQUITY INCOME FUND, INC. C	0.00	14.03	0.00	14.03	88.0	12.35
	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	88.0	3.40
	ACCOUNT #: LSR011763	BUY 1 Units @0.0000						
10/19/2018	***-**-281N - BYWATER, KIM	EQUITY INCOME FUND, INC. C	0.00	1.65	0.00	1.65	88.0	1.45
	ACCOUNT #: LSR011995	BUY 1 Units @0.0000						
10/19/2018	***-**-201O - DEMETRI, AMELIA	EUROPACIFIC GROWTH FUND-A	0.00	1.49	0.00	1.49	88.0	1.31
	ACCOUNT #: LSR010995	BUY 1 Units @0.0000						
10/19/2018	***-**-326I - GRANDE, FBO MR	EUROPACIFIC GROWTH FUND-A	0.00	1.24	0.00	1.24	88.0	1.09
	ACCOUNT #: LSR011091	BUY 1 Units @0.0000						
10/19/2018	***-**-680I - HARRELL, DARYL	EUROPACIFIC GROWTH FUND-A	0.00	0.60	0.00	0.60	88.0	0.53
	ACCOUNT #: LSR011321	BUY 1 Units @0.0000						
11/09/2018	***-**-601O - JOSEPH,	EXTRA SPACE STORAGE INC UNSOLICITED	9,055.00	84.55	0.00	84.55	88.0	74.40
	ACCOUNT #: LSR012336	BUY 100 Units @90.5500						
11/14/2018	***-**-663I - LASCALA, DEBORAH	EXXON MOBIL CORP UNSOLICITED ORDER	7,755.00	78.55	0.00	78.55	88.0	69.12
	ACCOUNT #: LSR012790	BUY 100 Units @77.5500						
10/19/2018	***-**-111J - NESSIA, JAMES	FIDELITY ADV EMERGING MRKTS INC CL	0.00	0.72	0.00	0.72	88.0	0.63
	ACCOUNT #: LSR011054	BUY 1 Units @0.0000						
10/19/2018	***-**-621N - EATON, DAVID	FIDELITY ADV EMERGING MRKTS INC CL	0.00	1.11	0.00	1.11	88.0	0.98
	ACCOUNT #: LSR011315	BUY 1 Units @0.0000						
10/19/2018	***-**-930I - SANGER, KEVIN	FIDELITY ADV EQUITY INCOME CL A	0.00	2.19	0.00	2.19	88.0	1.93
	ACCOUNT #: LSR010941	BUY 1 Units @0.0000						
10/19/2018	***-**-579I - RHYMESTINE,	FIDELITY ADV INDUSTRIALS-CL C	0.00	14.93	0.00	14.93	88.0	13.14
	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
<b> OVERRIDE TRANSACTIONS (continued)</b>								
<b> <u>BROKER: KURT GRUENEWALD (continued)</u></b>								
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	88.0	4.59
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	88.0	4.51
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	88.0	18.17
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	88.0	13.36
10/19/2018	***-**-579I - RHYMESTINE, ACCOUNT #: LSR011082	FIDELITY ADVISOR INTERMEDIATE BOND BUY 1 Units @0.0000	0.00	8.02	0.00	8.02	88.0	7.06
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	88.0	0.21
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	88.0	4.85
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	88.0	6.89
11/09/2018	***-**-60IO - JOSEPH, ACCOUNT #: LSR012336	FRANKLIN BIOTECH DISCOVERY FUND CL BUY 61 Units @140.0300	8,499.96	85.00	0.00	85.00	88.0	74.80
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	88.0	8.69
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	88.0	2.00
10/19/2018	***-**-86IN - LEE, KEVIN ACCOUNT #: LSR011613	FRANKLIN INCOME FUND CLASS A BUY 1 Units @0.0000	0.00	1.21	0.00	1.21	88.0	1.06
10/19/2018	***-**-959J - FRANZ, PAUL ACCOUNT #: LSR010958	FRANKLIN INCOME FUND CLASS C BUY 1 Units @0.0000	0.00	3.86	0.00	3.86	88.0	3.40
10/19/2018	***-**-61IN - EVANS, DOLORES ACCOUNT #: LSR011023	FRANKLIN INCOME FUND CLASS C BUY 1 Units @0.0000	0.00	0.69	0.00	0.69	88.0	0.61
10/19/2018	***-**-44IO - MAYO, DEBORAH ACCOUNT #: LSR011079	FRANKLIN INCOME FUND CLASS C BUY 1 Units @0.0000	0.00	5.68	0.00	5.68	88.0	5.00
10/19/2018	***-**-09IO - BATES, FBO MRS ACCOUNT #: LSR011117	FRANKLIN INCOME FUND CLASS C BUY 1 Units @0.0000	0.00	7.27	0.00	7.27	88.0	6.40



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<b> OVERRIDE TRANSACTIONS (continued)</b>								
<b> <u>BROKER: KURT GRUENEWALD (continued)</u></b>								
10/19/2018	***-**-11IO - LYNN G. ACCOUNT #: LSR011239	FRANKLIN INCOME FUND CLASS C BUY 1 Units @0.0000	0.00	9.68	0.00	9.68	88.0	8.52
10/19/2018	***-**-376I - BERBEN, GAIL ACCOUNT #: LSR011380	FRANKLIN INCOME FUND CLASS C BUY 1 Units @0.0000	0.00	3.49	0.00	3.49	88.0	3.07
10/19/2018	***-**-45IO - JOHNSON, GREGORY ACCOUNT #: LSR011421	FRANKLIN INCOME FUND CLASS C BUY 1 Units @0.0000	0.00	4.78	0.00	4.78	88.0	4.21
10/19/2018	***-**-531J - WILLIAMSON, ACCOUNT #: LSR011716	FRANKLIN INCOME FUND CLASS C BUY 1 Units @0.0000	0.00	2.65	0.00	2.65	88.0	2.33
10/19/2018	***-**-43IN - FRANZ, WAYNE ACCOUNT #: LSR012636	FRANKLIN INCOME FUND CLASS C BUY 1 Units @0.0000	0.00	19.29	0.00	19.29	88.0	16.98
10/19/2018	***-**-663I - LASCALA, DEBORAH ACCOUNT #: LSR012790	FRANKLIN INCOME FUND CLASS C BUY 1 Units @0.0000	0.00	0.03	0.00	0.03	88.0	0.03
10/19/2018	***-**-59IN - FRANZ, PAUL ACCOUNT #: LSR012837	FRANKLIN INCOME FUND CLASS C BUY 1 Units @0.0000	0.00	15.44	0.00	15.44	88.0	13.59
11/09/2018	***-**-60IO - JOSEPH, ACCOUNT #: LSR012336	FRANKLIN INCOME FUND CLASS C BUY 3696 Units @2.3000	8,500.00	85.00	0.00	85.00	88.0	74.80
10/19/2018	***-**-065I - LAZIO, THOMAS ACCOUNT #: LSR010979	FRK GROWTH OPPORTUNITIES CL C BUY 1 Units @0.0000	0.00	2.33	0.00	2.33	88.0	2.05
10/19/2018	***-**-45IO - JOHNSON, GREGORY ACCOUNT #: LSR011421	FRK GROWTH OPPORTUNITIES CL C BUY 1 Units @0.0000	0.00	3.56	0.00	3.56	88.0	3.13
10/19/2018	***-**-065I - LAZIO, THOMAS ACCOUNT #: LSR010979	FRANKLN BALANCE SHEET INVTMNT FND - BUY 1 Units @0.0000	0.00	8.37	0.00	8.37	88.0	7.37
10/19/2018	***-**-702I - KOCHER, MICHAEL ACCOUNT #: LSR010954	FUNDAMENTAL INVESTORS-A BUY 1 Units @0.0000	0.00	2.25	0.00	2.25	88.0	1.98
10/19/2018	***-**-366S - GRUENEWALD, ACCOUNT #: LSR010990	FUNDAMENTAL INVESTORS-A BUY 1 Units @0.0000	0.00	1.03	0.00	1.03	88.0	0.91
10/19/2018	***-**-579J - RHYMESTINE, ACCOUNT #: LSR011081	FUNDAMENTAL INVESTORS-A BUY 1 Units @0.0000	0.00	0.11	0.00	0.11	88.0	0.10
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	88.0	1.77
10/19/2018	***-**-680I - HARRELL, DARYL ACCOUNT #: LSR011321	FUNDAMENTAL INVESTORS-A BUY 1 Units @0.0000	0.00	1.44	0.00	1.44	88.0	1.27





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<b> OVERRIDE TRANSACTIONS (continued)</b>								
<b> <u>BROKER: KURT GRUENEWALD (continued)</u></b>								
10/19/2018	***-**-128I - BASHANT, THOMAS	FUNDAMENTAL INVESTORS-A	0.00	1.28	0.00	1.28	88.0	1.13
	ACCOUNT #: LSR011387	BUY 1 Units @0.0000						
10/19/2018	***-**-30TR - AND SANDRA	FUNDAMENTAL INVESTORS-A	0.00	1.93	0.00	1.93	88.0	1.70
	ACCOUNT #: LSR011939	BUY 1 Units @0.0000						
10/19/2018	***-**-79TR - OR CYNTHIA	FUNDAMENTAL INVESTORS-A	0.00	1.03	0.00	1.03	88.0	0.91
	ACCOUNT #: LSR012749	BUY 1 Units @0.0000						
10/19/2018	***-**-881J - EBERLEY, SUSAN	FUNDAMENTAL INVESTORS-C	0.00	3.60	0.00	3.60	88.0	3.17
	ACCOUNT #: LSR010856	BUY 1 Units @0.0000						
10/19/2018	***-**-382I - SATTERLY, NEIL	FUNDAMENTAL INVESTORS-C	0.00	11.41	0.00	11.41	88.0	10.04
	ACCOUNT #: LSR010867	BUY 1 Units @0.0000						
10/19/2018	***-**-949I - ACEE, JOSPEH	FUNDAMENTAL INVESTORS-C	0.00	3.13	0.00	3.13	88.0	2.75
	ACCOUNT #: LSR010908	BUY 1 Units @0.0000						
10/19/2018	***-**-31IO - HARTZ, CLAUDIA	FUNDAMENTAL INVESTORS-C	0.00	2.96	0.00	2.96	88.0	2.60
	ACCOUNT #: LSR010915	BUY 1 Units @0.0000						
10/19/2018	***-**-031O - MCVOY, ROBERT	FUNDAMENTAL INVESTORS-C	0.00	5.42	0.00	5.42	88.0	4.77
	ACCOUNT #: LSR010916	BUY 1 Units @0.0000						
10/19/2018	***-**-15IN - PENDRAK, JOHN	FUNDAMENTAL INVESTORS-C	0.00	4.98	0.00	4.98	88.0	4.38
	ACCOUNT #: LSR010948	BUY 1 Units @0.0000						
10/19/2018	***-**-959I - FRANZ, PAUL	FUNDAMENTAL INVESTORS-C	0.00	11.80	0.00	11.80	88.0	10.38
	ACCOUNT #: LSR010959	BUY 1 Units @0.0000						
10/19/2018	***-**-960J - MASTRANGELO,	FUNDAMENTAL INVESTORS-C	0.00	8.30	0.00	8.30	88.0	7.30
	ACCOUNT #: LSR010966	BUY 1 Units @0.0000						
10/19/2018	***-**-065I - LAZIO, THOMAS	FUNDAMENTAL INVESTORS-C	0.00	5.01	0.00	5.01	88.0	4.41
	ACCOUNT #: LSR010979	BUY 1 Units @0.0000						
10/19/2018	***-**-51IO - CAIN, TIMOTHY	FUNDAMENTAL INVESTORS-C	0.00	5.40	0.00	5.40	88.0	4.75
	ACCOUNT #: LSR011007	BUY 1 Units @0.0000						
10/19/2018	***-**-761I - EVANS, DOLORES	FUNDAMENTAL INVESTORS-C	0.00	11.93	0.00	11.93	88.0	10.50
	ACCOUNT #: LSR011024	BUY 1 Units @0.0000						
10/19/2018	***-**-306X - COBB, CHERRYL	FUNDAMENTAL INVESTORS-C	0.00	5.86	0.00	5.86	88.0	5.16
	ACCOUNT #: LSR011037	BUY 1 Units @0.0000						
10/19/2018	***-**-861I - SANGER, LAWRENCE	FUNDAMENTAL INVESTORS-C	0.00	0.22	0.00	0.22	88.0	0.19
	ACCOUNT #: LSR011095	BUY 1 Units @0.0000						



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<b> OVERRIDE TRANSACTIONS (continued)</b>								
<b> <u>BROKER: KURT GRUENEWALD (continued)</u></b>								
10/19/2018	***-**-13IN - RHYMESTINE, ACCOUNT #: LSR011106	FUNDAMENTAL INVESTORS-C BUY 1 Units @0.0000	0.00	3.61	0.00	3.61	88.0	3.18
10/19/2018	***-**-09IO - BATES, FBO MRS ACCOUNT #: LSR011117	FUNDAMENTAL INVESTORS-C BUY 1 Units @0.0000	0.00	11.45	0.00	11.45	88.0	10.08
10/19/2018	***-**-506J - CURRIERE JR, MR ACCOUNT #: LSR011121	FUNDAMENTAL INVESTORS-C BUY 1 Units @0.0000	0.00	4.81	0.00	4.81	88.0	4.23
10/19/2018	***-**-48IO - ANACKER, FBO MRS ACCOUNT #: LSR011164	FUNDAMENTAL INVESTORS-C BUY 1 Units @0.0000	0.00	5.14	0.00	5.14	88.0	4.52
10/19/2018	***-**-89IN - LEE, ROGER ACCOUNT #: LSR011166	FUNDAMENTAL INVESTORS-C BUY 1 Units @0.0000	0.00	5.71	0.00	5.71	88.0	5.02
10/19/2018	***-**-31IO - WILLIAMSON, FBO ACCOUNT #: LSR011172	FUNDAMENTAL INVESTORS-C BUY 1 Units @0.0000	0.00	7.61	0.00	7.61	88.0	6.70
10/19/2018	***-**-64IO - PFAFF, GEORGE ACCOUNT #: LSR011185	FUNDAMENTAL INVESTORS-C BUY 1 Units @0.0000	0.00	3.74	0.00	3.74	88.0	3.29
10/19/2018	***-**-62IR - ROBBIANO, FBO ACCOUNT #: LSR011195	FUNDAMENTAL INVESTORS-C BUY 1 Units @0.0000	0.00	3.32	0.00	3.32	88.0	2.92
10/19/2018	***-**-11IO - LYNN G. ACCOUNT #: LSR011239	FUNDAMENTAL INVESTORS-C BUY 1 Units @0.0000	0.00	9.83	0.00	9.83	88.0	8.65
10/19/2018	***-**-653I - KOCHER, CLINTON ACCOUNT #: LSR011300	FUNDAMENTAL INVESTORS-C BUY 1 Units @0.0000	0.00	9.05	0.00	9.05	88.0	7.96
10/19/2018	***-**-376I - BERBEN, GAIL ACCOUNT #: LSR011380	FUNDAMENTAL INVESTORS-C BUY 1 Units @0.0000	0.00	7.20	0.00	7.20	88.0	6.34
10/19/2018	***-**-21IO - RADELL, SANDRA ACCOUNT #: LSR011392	FUNDAMENTAL INVESTORS-C BUY 1 Units @0.0000	0.00	4.13	0.00	4.13	88.0	3.63
10/19/2018	***-**-45IO - JOHNSON, GREGORY ACCOUNT #: LSR011421	FUNDAMENTAL INVESTORS-C BUY 1 Units @0.0000	0.00	8.82	0.00	8.82	88.0	7.76
10/19/2018	***-**-14IO - BUSHEY, MATTHEW ACCOUNT #: LSR011498	FUNDAMENTAL INVESTORS-C BUY 1 Units @0.0000	0.00	12.82	0.00	12.82	88.0	11.28
10/19/2018	***-**-851K - LALLIER, JAMES ACCOUNT #: LSR012645	FUNDAMENTAL INVESTORS-C BUY 1 Units @0.0000	0.00	18.99	0.00	18.99	88.0	16.71
10/19/2018	***-**-128I - BASHANT, THOMAS ACCOUNT #: LSR011387	GLOBAL FUND A BUY 1 Units @0.0000	0.00	2.19	0.00	2.19	88.0	1.93



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<b> OVERRIDE TRANSACTIONS (continued)</b>								
<b> <u>BROKER: KURT GRUENEWALD (continued)</u></b>								
10/19/2018	***-**-579J - RHYMESTINE, ACCOUNT #: LSR011081	GLOBAL GROWTH PORTFOLIO-A BUY 1 Units @0.0000	0.00	0.09	0.00	0.09	88.0	0.08
10/19/2018	***-**-79TR - OR CYNTHIA ACCOUNT #: LSR012749	GLOBAL GROWTH PORTFOLIO-A BUY 1 Units @0.0000	0.00	0.79	0.00	0.79	88.0	0.70
10/19/2018	***-**-094I - KATRENA L ACCOUNT #: LSR011188	GLOBAL OPPORTUNITIES FUND C BUY 1 Units @0.0000	0.00	16.64	0.00	16.64	88.0	14.64
10/19/2018	***-**-254I - AUGUSTINE, LINDA ACCOUNT #: LSR010846	GOLD & SPECIAL MINERALS A BUY 1 Units @0.0000	0.00	0.26	0.00	0.26	88.0	0.23
10/19/2018	***-**-881I - EBERLEY, SUSAN ACCOUNT #: LSR010858	GOLD & SPECIAL MINERALS A BUY 1 Units @0.0000	0.00	0.14	0.00	0.14	88.0	0.12
10/19/2018	***-**-949I - ACEE, JOSPEH ACCOUNT #: LSR010908	GOLD & SPECIAL MINERALS A BUY 1 Units @0.0000	0.00	0.51	0.00	0.51	88.0	0.45
10/19/2018	***-**-930I - SANGER, KEVIN ACCOUNT #: LSR010941	GOLD & SPECIAL MINERALS A BUY 1 Units @0.0000	0.00	0.28	0.00	0.28	88.0	0.25
10/19/2018	***-**-15IN - PENDRAK, JOHN ACCOUNT #: LSR010948	GOLD & SPECIAL MINERALS A BUY 1 Units @0.0000	0.00	1.83	0.00	1.83	88.0	1.61
10/19/2018	***-**-702J - KOHEM, MICHAEL ACCOUNT #: LSR010955	GOLD & SPECIAL MINERALS A BUY 1 Units @0.0000	0.00	0.20	0.00	0.20	88.0	0.18
10/19/2018	***-**-959I - FRANZ, PAUL ACCOUNT #: LSR010959	GOLD & SPECIAL MINERALS A BUY 1 Units @0.0000	0.00	0.48	0.00	0.48	88.0	0.42
10/19/2018	***-**-61IN - EVANS, DOLORES ACCOUNT #: LSR011023	GOLD & SPECIAL MINERALS A BUY 1 Units @0.0000	0.00	0.15	0.00	0.15	88.0	0.13
10/19/2018	***-**-944O - MAYO, DEBORAH ACCOUNT #: LSR011035	GOLD & SPECIAL MINERALS A BUY 1 Units @0.0000	0.00	0.46	0.00	0.46	88.0	0.40
10/19/2018	***-**-96IN - NESSIA, BONNIE ACCOUNT #: LSR011055	GOLD & SPECIAL MINERALS A BUY 1 Units @0.0000	0.00	0.25	0.00	0.25	88.0	0.22
10/19/2018	***-**-579I - RHYMESTINE, ACCOUNT #: LSR011082	GOLD & SPECIAL MINERALS A BUY 1 Units @0.0000	0.00	0.46	0.00	0.46	88.0	0.40
10/19/2018	***-**-13IN - RHYMESTINE, ACCOUNT #: LSR011106	GOLD & SPECIAL MINERALS A BUY 1 Units @0.0000	0.00	0.30	0.00	0.30	88.0	0.26
10/19/2018	***-**-76IO - MCALLISTER, FBO ACCOUNT #: LSR011107	GOLD & SPECIAL MINERALS A BUY 1 Units @0.0000	0.00	0.29	0.00	0.29	88.0	0.26



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2108 Genesee St.  
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BROKER #: A76  
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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b> OVERRIDE TRANSACTIONS (continued)</b>								
<b> <u>BROKER: KURT GRUENEWALD (continued)</u></b>								
10/19/2018	***-**-367J - WAGNER, MRS LANT	GOLD & SPECIAL MINERALS A	0.00	0.26	0.00	0.26	88.0	0.23
	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	88.0	0.54
	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	88.0	1.03
	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	88.0	0.44
	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	88.0	0.09
	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	88.0	0.30
	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	88.0	8.40
	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	88.0	2.80
	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	88.0	3.06
	ACCOUNT #: LSR011134	BUY 1 Units @0.0000						
10/19/2018	***-**-702I - KOHEM, MICHAEL	HARTFORD CHECKS AND BALANCED FUND C	0.00	1.37	0.00	1.37	88.0	1.21
	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	88.0	0.41
	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	88.0	1.16
	ACCOUNT #: LSR011321	BUY 1 Units @0.0000						
10/19/2018	***-**-30TR - AND SANDRA	HARTFORD CHECKS AND BALANCED FUND C	0.00	2.59	0.00	2.59	88.0	2.28
	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	88.0	0.58
	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	88.0	1.50
	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	88.0	3.13
	ACCOUNT #: LSR010843	BUY 1 Units @0.0000						



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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b> OVERRIDE TRANSACTIONS (continued)</b>								
<b> <u>BROKER: KURT GRUENEWALD (continued)</u></b>								
10/19/2018	***-**-980I - ACEE, ELIZABETH	INCOME FUND OF AMERICA CLASS C	0.00	12.00	0.00	12.00	88.0	10.56
	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	88.0	9.50
	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	88.0	1.53
	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	88.0	4.74
	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	88.0	16.83
	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	88.0	28.02
	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	88.0	12.34
	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	88.0	4.46
	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	88.0	4.29
	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	88.0	9.78
	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	88.0	10.13
	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	88.0	8.09
	ACCOUNT #: LSR012645	BUY 1 Units @0.0000						
10/19/2018	***-**-702I - KOCHER, MICHAEL	INTERMEDIATE BOND FUND OF AMERICA-A	0.00	0.14	0.00	0.14	88.0	0.12
	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	88.0	4.66
	ACCOUNT #: LSR011024	BUY 1 Units @0.0000						
10/19/2018	***-**-881I - EBERLEY, SUSAN	INTERNATIONAL BOND A	0.00	0.63	0.00	0.63	88.0	0.55
	ACCOUNT #: LSR010858	BUY 1 Units @0.0000						
10/19/2018	***-**-567I - FRANZ, ALICE	INTERNATIONAL BOND A	0.00	2.34	0.00	2.34	88.0	2.06
	ACCOUNT #: LSR010960	BUY 1 Units @0.0000						



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<b> OVERRIDE TRANSACTIONS (continued)</b>								
<b> <u>BROKER: KURT GRUENEWALD (continued)</u></b>								
10/19/2018	***-**-761I - EVANS, DOLORES	INTERNATIONAL BOND A	0.00	3.16	0.00	3.16	88.0	2.78
	ACCOUNT #: LSR011024	BUY 1 Units @0.0000						
10/19/2018	***-**-664J - PFAFF, GEORGE	INTERNATIONAL BOND A	0.00	2.94	0.00	2.94	88.0	2.59
	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	88.0	0.67
	ACCOUNT #: LSR010990	BUY 1 Units @0.0000						
11/05/2018	***-**-506J - CURRIERE JR, MR	INTERNATIONAL GROWTH AND INCOME-A	62.50	2.66	0.00	2.66	88.0	2.34
	ACCOUNT #: 00088062946	BUY 2 Units @32.6600						
10/19/2018	***-**-567I - FRANZ, ALICE	INTERNATIONAL GROWTH AND INCOME-C	0.00	12.43	0.00	12.43	88.0	10.94
	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	88.0	9.92
	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	88.0	0.23
	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	88.0	1.29
	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	88.0	1.76
	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	88.0	0.87
	ACCOUNT #: LSR011184	BUY 1 Units @0.0000						
10/19/2018	***-**-80IN - COBB, JAMES	LOCORR SPECTRUM-NFS	0.00	1.52	0.00	1.52	88.0	1.34
	ACCOUNT #: LSR011042	BUY 1 Units @0.0000						
11/08/2018	***-**-60IO - JOSEPH,	LORD ABBETT SHORT DURATION INCOME C	10,000.00	100.00	0.00	100.00	88.0	88.00
	ACCOUNT #: LSR012336	BUY 2398 Units @4.1700						
11/13/2018	***-**-15IN - PENDRAK, JOHN	LORD ABBETT VALUE OPPORTUNITY FD CL	5,000.00	13.99	0.00	13.99	88.0	12.31
	ACCOUNT #: LSR010948	BUY 287 Units @17.4100						
10/19/2018	***-**-45IO - JOHNSON, GREGORY	MAIN STREET FUND C	0.00	7.90	0.00	7.90	88.0	6.95
	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	88.0	3.60
	ACCOUNT #: LSR011763	BUY 1 Units @0.0000						
10/19/2018	***-**-944O - MAYO, DEBORAH	MFS AGGRESSIVE GROWTH ALLOCATION FD	0.00	1.09	0.00	1.09	88.0	0.96
	ACCOUNT #: LSR011035	BUY 1 Units @0.0000						



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<b> OVERRIDE TRANSACTIONS (continued)</b>								
<b> <u>BROKER: KURT GRUENEWALD (continued)</u></b>								
10/19/2018	***-**-13IN - ROTH, KAREN	MFS BLENDED RESEARCH CORE EQUITY FD	0.00	1.36	0.00	1.36	88.0	1.20
	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	88.0	8.43
	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	88.0	8.36
	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	88.0	3.79
	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	88.0	16.01
	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	88.0	3.92
	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	88.0	15.22
	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	88.0	14.96
	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	88.0	6.90
	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	88.0	2.68
	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	88.0	6.59
	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	88.0	4.29
	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	88.0	12.99
	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	88.0	15.57
	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	88.0	3.78
	ACCOUNT #: LSR011186	BUY 1 Units @0.0000						
10/19/2018	***-**-06IR - CAMPBELL, PAMELA	MFS CONSERVATIVE ALLOCATION CL C	0.00	6.42	0.00	6.42	88.0	5.65
	ACCOUNT #: LSR011222	BUY 1 Units @0.0000						



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<b> OVERRIDE TRANSACTIONS (continued) </b>								
<b> <u>BROKER: KURT GRUENEWALD (continued)</u> </b>								
10/19/2018	***-**-11IO - LYNN G. ACCOUNT #: LSR011239	MFS CONSERVATIVE ALLOCATION CL C BUY 1 Units @0.0000	0.00	14.02	0.00	14.02	88.0	12.34
10/19/2018	***-**-80IO - EVANS, RICHARD ACCOUNT #: LSR011276	MFS CONSERVATIVE ALLOCATION CL C BUY 1 Units @0.0000	0.00	9.59	0.00	9.59	88.0	8.44
10/19/2018	***-**-376I - BERBEN, GAIL ACCOUNT #: LSR011380	MFS CONSERVATIVE ALLOCATION CL C BUY 1 Units @0.0000	0.00	5.75	0.00	5.75	88.0	5.06
10/19/2018	***-**-45IO - JOHNSON, GREGORY ACCOUNT #: LSR011421	MFS CONSERVATIVE ALLOCATION CL C BUY 1 Units @0.0000	0.00	11.29	0.00	11.29	88.0	9.94
10/19/2018	***-**-14IO - BUSHEY, MATTHEW ACCOUNT #: LSR011498	MFS CONSERVATIVE ALLOCATION CL C BUY 1 Units @0.0000	0.00	9.30	0.00	9.30	88.0	8.18
10/19/2018	***-**-37IO - MCCLUSKY, MARK ACCOUNT #: LSR011579	MFS CONSERVATIVE ALLOCATION CL C BUY 1 Units @0.0000	0.00	7.71	0.00	7.71	88.0	6.78
10/19/2018	***-**-99IN - EDELMAN, TINA ACCOUNT #: LSR011956	MFS CONSERVATIVE ALLOCATION CL C BUY 1 Units @0.0000	0.00	2.15	0.00	2.15	88.0	1.89
10/19/2018	***-**-28IN - BYWATER, KIM ACCOUNT #: LSR011995	MFS CONSERVATIVE ALLOCATION CL C BUY 1 Units @0.0000	0.00	0.14	0.00	0.14	88.0	0.12
10/19/2018	***-**-35IN - RUGGIERO, LAURIE ACCOUNT #: LSR012314	MFS CONSERVATIVE ALLOCATION CL C BUY 1 Units @0.0000	0.00	0.03	0.00	0.03	88.0	0.03
10/19/2018	***-**-31IO - JOSEPH, ANN ACCOUNT #: LSR012337	MFS CONSERVATIVE ALLOCATION CL C BUY 1 Units @0.0000	0.00	0.03	0.00	0.03	88.0	0.03
10/19/2018	***-**-726I - YADDAW, DEBRA ACCOUNT #: LSR012338	MFS CONSERVATIVE ALLOCATION CL C BUY 1 Units @0.0000	0.00	0.03	0.00	0.03	88.0	0.03
10/19/2018	***-**-52IN - ROBERTS, LILLIAN ACCOUNT #: LSR012352	MFS CONSERVATIVE ALLOCATION CL C BUY 1 Units @0.0000	0.00	0.01	0.00	0.01	88.0	0.01
10/19/2018	***-**-851I - BLAKE, JAMES ACCOUNT #: LSR012390	MFS CONSERVATIVE ALLOCATION CL C BUY 1 Units @0.0000	0.00	0.02	0.00	0.02	88.0	0.02
10/19/2018	***-**-188I - BRADLEY, WAYNE ACCOUNT #: LSR012484	MFS CONSERVATIVE ALLOCATION CL C BUY 1 Units @0.0000	0.00	0.03	0.00	0.03	88.0	0.03
10/19/2018	***-**-663I - LASCALA, DEBORAH ACCOUNT #: LSR012790	MFS CONSERVATIVE ALLOCATION CL C BUY 1 Units @0.0000	0.00	0.01	0.00	0.01	88.0	0.01
10/19/2018	***-**-15IN - PENDRAK, JOHN ACCOUNT #: LSR010948	MFS CONSERVATIVE ALLOCATION FUND-A BUY 1 Units @0.0000	0.00	2.15	0.00	2.15	88.0	1.89





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<b><u> OVERRIDE TRANSACTIONS (continued) </u></b>								
<b><u> BROKER: KURT GRUENEWALD (continued) </u></b>								
10/19/2018	***-**-9440 - MAYO, DEBORAH	MFS CONSERVATIVE ALLOCATION FUND-A	0.00	1.15	0.00	1.15	88.0	1.01
	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	88.0	0.70
	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	88.0	4.86
	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	88.0	2.29
	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	88.0	1.83
	ACCOUNT #: LSR011024	BUY 1 Units @0.0000						
10/19/2018	***-**-9440 - MAYO, DEBORAH	MFS CONSERVATIVE ALLOCATION FUND-B	0.00	0.49	0.00	0.49	88.0	0.43
	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	88.0	0.50
	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	88.0	0.90
	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	88.0	0.99
	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	88.0	0.35
	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	88.0	3.43
	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	88.0	1.00
	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	88.0	0.71
	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	88.0	4.00
	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	88.0	8.04
	ACCOUNT #: LSR010885	BUY 1 Units @0.0000						
10/19/2018	***-**-72IN - GAVALO, JULIE	MFS DIVERSIFIED INCOME FD CL C	0.00	16.59	0.00	16.59	88.0	14.60
	ACCOUNT #: LSR010921	BUY 1 Units @0.0000						



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DAVID GRIFFITH  
2108 Genesee St.  
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BROKER #: A76  
BRANCH #01047 - 47 - GRIFFITH

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b> OVERRIDE TRANSACTIONS (continued) </b>								
<b> <u>BROKER: KURT GRUENEWALD (continued)</u> </b>								
10/19/2018	***-**-73TR - WESTCOTT IRRVOC	MFS DIVERSIFIED INCOME FD CL C	0.00	12.91	0.00	12.91	88.0	11.36
	ACCOUNT #: LSR011008	BUY 1 Units @0.0000						
10/19/2018	***-**-1320 - EVANS, THOMAS	MFS DIVERSIFIED INCOME FD CL C	0.00	8.05	0.00	8.05	88.0	7.08
	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	88.0	18.35
	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	88.0	0.98
	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	88.0	12.45
	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	88.0	5.07
	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	88.0	5.16
	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	88.0	2.74
	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	88.0	5.42
	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	88.0	5.24
	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	88.0	1.95
	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	88.0	4.38
	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	88.0	10.68
	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	88.0	11.96
	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	88.0	4.40
	ACCOUNT #: LSR011579	BUY 1 Units @0.0000						
10/19/2018	***-**-35IN - RUGGIERO, LAURIE	MFS DIVERSIFIED INCOME FD CL C	0.00	0.12	0.00	0.12	88.0	0.11
	ACCOUNT #: LSR012314	BUY 1 Units @0.0000						



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<b> OVERRIDE TRANSACTIONS (continued)</b>								
<b> <u>BROKER: KURT GRUENEWALD (continued)</u></b>								
10/19/2018	***-**-31IO - JOSEPH, ANN	MFS DIVERSIFIED INCOME FD CL C	0.00	0.12	0.00	0.12	88.0	0.11
	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	88.0	0.04
	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	88.0	0.07
	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	88.0	0.07
	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	88.0	8.71
	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	88.0	0.02
	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	88.0	0.74
	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	88.0	0.27
	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	88.0	0.63
	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	88.0	1.12
	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	88.0	1.15
	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	88.0	0.06
	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	88.0	1.13
	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	88.0	0.18
	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	88.0	0.86
	ACCOUNT #: LSR011764	BUY 1 Units @0.0000						
10/19/2018	***-**-79TR - OR CYNTHIA	MFS EMERGING MARKETS EQUITY FUND-B	0.00	0.63	0.00	0.63	88.0	0.55
	ACCOUNT #: LSR012749	BUY 1 Units @0.0000						



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<b><u> OVERRIDE TRANSACTIONS (continued) </u></b>								
<b><u> BROKER: KURT GRUENEWALD (continued) </u></b>								
10/19/2018	***-**-254I - AUGUSTINE, LINDA	MFS EMERGING MKT DEBT CL B	0.00	1.01	0.00	1.01	88.0	0.89
	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	88.0	0.68
	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	88.0	0.84
	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	88.0	1.01
	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	88.0	0.55
	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	88.0	1.09
	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	88.0	0.97
	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	88.0	0.31
	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	88.0	0.75
	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	88.0	1.06
	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	88.0	0.99
	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	88.0	0.42
	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	88.0	0.42
	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	88.0	8.59
	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	88.0	1.48
	ACCOUNT #: LSR010966	BUY 1 Units @0.0000						
10/19/2018	***-**-944O - MAYO, DEBORAH	MFS GLOBAL ALTERNATIVE STRAT A	0.00	0.63	0.00	0.63	88.0	0.55
	ACCOUNT #: LSR011035	BUY 1 Units @0.0000						



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<b> OVERRIDE TRANSACTIONS (continued)</b>								
<b> <u>BROKER: KURT GRUENEWALD (continued)</u></b>								
10/19/2018	***-**-978I - GUNN, KATHLEEN ACCOUNT #: LSR011345	MFS GLOBAL ALTERNATIVE STRAT B BUY 1 Units @0.0000	0.00	0.43	0.00	0.43	88.0	0.38
10/19/2018	***-**-382I - SATTERLY, NEIL ACCOUNT #: LSR010867	MFS GLOBAL ALTERNATIVE STRAT C BUY 1 Units @0.0000	0.00	6.41	0.00	6.41	88.0	5.64
10/19/2018	***-**-48IO - CLARK, PATRICK ACCOUNT #: LSR010911	MFS GLOBAL ALTERNATIVE STRAT C BUY 1 Units @0.0000	0.00	14.42	0.00	14.42	88.0	12.69
10/19/2018	***-**-72IN - GAVALO, JULIE ACCOUNT #: LSR010921	MFS GLOBAL ALTERNATIVE STRAT C BUY 1 Units @0.0000	0.00	13.89	0.00	13.89	88.0	12.22
10/19/2018	***-**-80IN - COBB, JAMES ACCOUNT #: LSR011042	MFS GLOBAL ALTERNATIVE STRAT C BUY 1 Units @0.0000	0.00	7.43	0.00	7.43	88.0	6.54
10/19/2018	***-**-09IO - BATES, FBO MRS ACCOUNT #: LSR011117	MFS GLOBAL ALTERNATIVE STRAT C BUY 1 Units @0.0000	0.00	12.64	0.00	12.64	88.0	11.12
10/19/2018	***-**-11IO - LYNN G. ACCOUNT #: LSR011239	MFS GLOBAL ALTERNATIVE STRAT C BUY 1 Units @0.0000	0.00	17.19	0.00	17.19	88.0	15.13
10/19/2018	***-**-80IO - EVANS, RICHARD ACCOUNT #: LSR011276	MFS GLOBAL ALTERNATIVE STRAT C BUY 1 Units @0.0000	0.00	10.57	0.00	10.57	88.0	9.30
10/19/2018	***-**-45IO - JOHNSON, GREGORY ACCOUNT #: LSR011421	MFS GLOBAL ALTERNATIVE STRAT C BUY 1 Units @0.0000	0.00	12.91	0.00	12.91	88.0	11.36
10/19/2018	***-**-094I - KATRENA L ACCOUNT #: LSR011188	MFS GLOBAL BOND FUND CLASS C BUY 1 Units @0.0000	0.00	3.30	0.00	3.30	88.0	2.90
10/19/2018	***-**-978I - GUNN, KATHLEEN ACCOUNT #: LSR011345	MFS GLOBAL EQUITY FUND-B BUY 1 Units @0.0000	0.00	0.70	0.00	0.70	88.0	0.62
10/19/2018	***-**-53IN - EVANS, ANDREW ACCOUNT #: LSR011483	MFS GLOBAL EQUITY FUND-B BUY 1 Units @0.0000	0.00	0.50	0.00	0.50	88.0	0.44
10/19/2018	***-**-24IN - BLISS, RYAN ACCOUNT #: LSR011502	MFS GLOBAL EQUITY FUND-B BUY 1 Units @0.0000	0.00	0.32	0.00	0.32	88.0	0.28
10/19/2018	***-**-45IR - WILLIAMSON, ACCOUNT #: LSR011764	MFS GLOBAL EQUITY FUND-B BUY 1 Units @0.0000	0.00	1.19	0.00	1.19	88.0	1.05
10/19/2018	***-**-21IO - RADELL, SANDRA ACCOUNT #: LSR011392	MFS GLOBAL REAL ESTATE FUND CL B BUY 1 Units @0.0000	0.00	1.64	0.00	1.64	88.0	1.44
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	88.0	0.26



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<b> OVERRIDE TRANSACTIONS (continued)</b>								
<b> <u>BROKER: KURT GRUENEWALD (continued)</u></b>								
10/19/2018	***-**-24IN - BLISS, RYAN	MFS GLOBAL REAL ESTATE FUND CL B	0.00	0.18	0.00	0.18	88.0	0.16
	ACCOUNT #: LSR011502	BUY 1 Units @0.0000						
10/19/2018	***-**-38IO - BROWN, TYLER	MFS GLOBAL REAL ESTATE FUND CL B	0.00	0.81	0.00	0.81	88.0	0.71
	ACCOUNT #: LSR011602	BUY 1 Units @0.0000						
10/19/2018	***-**-45IN - WILLIAMSON,	MFS GLOBAL REAL ESTATE FUND CL B	0.00	0.75	0.00	0.75	88.0	0.66
	ACCOUNT #: LSR011751	BUY 1 Units @0.0000						
10/19/2018	***-**-628I - SANGER, SANDRA	MFS GLOBAL TOTAL RETURN FUND-A	0.00	0.92	0.00	0.92	88.0	0.81
	ACCOUNT #: LSR010942	BUY 1 Units @0.0000						
10/19/2018	***-**-959I - FRANZ, PAUL	MFS GLOBAL TOTAL RETURN FUND-A	0.00	2.78	0.00	2.78	88.0	2.45
	ACCOUNT #: LSR010959	BUY 1 Units @0.0000						
10/19/2018	***-**-944O - MAYO, DEBORAH	MFS GLOBAL TOTAL RETURN FUND-A	0.00	0.87	0.00	0.87	88.0	0.77
	ACCOUNT #: LSR011035	BUY 1 Units @0.0000						
10/19/2018	***-**-96IN - NESSIA, BONNIE	MFS GLOBAL TOTAL RETURN FUND-A	0.00	1.17	0.00	1.17	88.0	1.03
	ACCOUNT #: LSR011055	BUY 1 Units @0.0000						
10/19/2018	***-**-861I - SANGER, LAWRENCE	MFS GLOBAL TOTAL RETURN FUND-A	0.00	1.60	0.00	1.60	88.0	1.41
	ACCOUNT #: LSR011095	BUY 1 Units @0.0000						
10/19/2018	***-**-02IN - BUSHEY, MELISSA	MFS GLOBAL TOTAL RETURN FUND-A	0.00	0.67	0.00	0.67	88.0	0.59
	ACCOUNT #: LSR011257	BUY 1 Units @0.0000						
10/19/2018	***-**-653J - KOCHER, CLINTON	MFS GLOBAL TOTAL RETURN FUND-A	0.00	0.93	0.00	0.93	88.0	0.82
	ACCOUNT #: LSR011298	BUY 1 Units @0.0000						
10/19/2018	***-**-62IN - EATON, DAVID	MFS GLOBAL TOTAL RETURN FUND-A	0.00	0.68	0.00	0.68	88.0	0.60
	ACCOUNT #: LSR011315	BUY 1 Units @0.0000						
10/19/2018	***-**-254I - AUGUSTINE, LINDA	MFS GLOBAL TOTAL RETURN FUND-B	0.00	0.77	0.00	0.77	88.0	0.68
	ACCOUNT #: LSR010846	BUY 1 Units @0.0000						
10/19/2018	***-**-881J - EBERLEY, SUSAN	MFS GLOBAL TOTAL RETURN FUND-B	0.00	1.29	0.00	1.29	88.0	1.14
	ACCOUNT #: LSR010856	BUY 1 Units @0.0000						
10/19/2018	***-**-949I - ACEE, JOSPEH	MFS GLOBAL TOTAL RETURN FUND-B	0.00	1.46	0.00	1.46	88.0	1.28
	ACCOUNT #: LSR010908	BUY 1 Units @0.0000						
10/19/2018	***-**-31IO - HARTZ, CLAUDIA	MFS GLOBAL TOTAL RETURN FUND-B	0.00	0.78	0.00	0.78	88.0	0.69
	ACCOUNT #: LSR010915	BUY 1 Units @0.0000						
10/19/2018	***-**-960J - MASTRANGELO,	MFS GLOBAL TOTAL RETURN FUND-B	0.00	1.87	0.00	1.87	88.0	1.65
	ACCOUNT #: LSR010966	BUY 1 Units @0.0000						



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<b><u> OVERRIDE TRANSACTIONS (continued) </u></b>								
<b><u> BROKER: KURT GRUENEWALD (continued) </u></b>								
10/19/2018	***-**-51IO - CAIN, TIMOTHY	MFS GLOBAL TOTAL RETURN FUND-B	0.00	1.59	0.00	1.59	88.0	1.40
	ACCOUNT #: LSR011007	BUY 1 Units @0.0000						
10/19/2018	***-**-60UT - FALCHI, ADALYNN	MFS GLOBAL TOTAL RETURN FUND-B	0.00	0.22	0.00	0.22	88.0	0.19
	ACCOUNT #: LSR011010	BUY 1 Units @0.0000						
10/19/2018	***-**-761I - EVANS, DOLORES	MFS GLOBAL TOTAL RETURN FUND-B	0.00	4.78	0.00	4.78	88.0	4.21
	ACCOUNT #: LSR011024	BUY 1 Units @0.0000						
10/19/2018	***-**-63TR - EVANS, AUDREY J	MFS GLOBAL TOTAL RETURN FUND-B	0.00	2.96	0.00	2.96	88.0	2.60
	ACCOUNT #: LSR011036	BUY 1 Units @0.0000						
10/19/2018	***-**-306X - COBB, CHERRYL	MFS GLOBAL TOTAL RETURN FUND-B	0.00	1.51	0.00	1.51	88.0	1.33
	ACCOUNT #: LSR011037	BUY 1 Units @0.0000						
10/19/2018	***-**-579I - RHYMESTINE,	MFS GLOBAL TOTAL RETURN FUND-B	0.00	2.87	0.00	2.87	88.0	2.53
	ACCOUNT #: LSR011082	BUY 1 Units @0.0000						
10/19/2018	***-**-13IN - RHYMESTINE,	MFS GLOBAL TOTAL RETURN FUND-B	0.00	0.72	0.00	0.72	88.0	0.63
	ACCOUNT #: LSR011106	BUY 1 Units @0.0000						
10/19/2018	***-**-76IO - MCALLISTER, FBO	MFS GLOBAL TOTAL RETURN FUND-B	0.00	0.35	0.00	0.35	88.0	0.31
	ACCOUNT #: LSR011107	BUY 1 Units @0.0000						
10/19/2018	***-**-506J - CURRIERE JR, MR	MFS GLOBAL TOTAL RETURN FUND-B	0.00	0.90	0.00	0.90	88.0	0.79
	ACCOUNT #: LSR011121	BUY 1 Units @0.0000						
10/19/2018	***-**-367J - WAGNER, MRS LANT	MFS GLOBAL TOTAL RETURN FUND-B	0.00	1.62	0.00	1.62	88.0	1.43
	ACCOUNT #: LSR011134	BUY 1 Units @0.0000						
10/19/2018	***-**-31IO - WILLIAMSON, FBO	MFS GLOBAL TOTAL RETURN FUND-B	0.00	2.22	0.00	2.22	88.0	1.95
	ACCOUNT #: LSR011172	BUY 1 Units @0.0000						
10/19/2018	***-**-64IO - PFAFF, GEORGE	MFS GLOBAL TOTAL RETURN FUND-B	0.00	1.22	0.00	1.22	88.0	1.07
	ACCOUNT #: LSR011185	BUY 1 Units @0.0000						
10/19/2018	***-**-62IR - ROBBIANO, FBO	MFS GLOBAL TOTAL RETURN FUND-B	0.00	0.89	0.00	0.89	88.0	0.78
	ACCOUNT #: LSR011195	BUY 1 Units @0.0000						
10/19/2018	***-**-52IO - EUSEPI, SUSAN	MFS GLOBAL TOTAL RETURN FUND-B	0.00	2.78	0.00	2.78	88.0	2.45
	ACCOUNT #: LSR011219	BUY 1 Units @0.0000						
10/19/2018	***-**-75IR - EVANS, DIANE	MFS GLOBAL TOTAL RETURN FUND-B	0.00	0.54	0.00	0.54	88.0	0.48
	ACCOUNT #: LSR011275	BUY 1 Units @0.0000						
10/19/2018	***-**-653I - KOCHEM, CLINTON	MFS GLOBAL TOTAL RETURN FUND-B	0.00	2.18	0.00	2.18	88.0	1.92
	ACCOUNT #: LSR011300	BUY 1 Units @0.0000						



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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b> OVERRIDE TRANSACTIONS (continued)</b>								
<b> <u>BROKER: KURT GRUENEWALD (continued)</u></b>								
10/19/2018	***-**-21IO - RADELL, SANDRA	MFS GLOBAL TOTAL RETURN FUND-B	0.00	1.49	0.00	1.49	88.0	1.31
	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	88.0	1.38
	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	88.0	15.93
	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	88.0	12.27
	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	88.0	7.46
	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	88.0	8.37
	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	88.0	0.47
	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	88.0	0.59
	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	88.0	1.42
	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	88.0	0.09
	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	88.0	15.10
	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	88.0	0.55
	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	88.0	0.24
	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	88.0	0.17
	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	88.0	0.58
	ACCOUNT #: LSR010858	BUY 1 Units @0.0000						
10/19/2018	***-**-13IN - ROTH, KAREN	MFS HIGH YIELD OPPORTUNITIES FUND-B	0.00	0.22	0.00	0.22	88.0	0.19
	ACCOUNT #: LSR011954	BUY 1 Units @0.0000						





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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b> OVERRIDE TRANSACTIONS (continued) </b>								
<b> <u>BROKER: KURT GRUENEWALD (continued)</u> </b>								
10/19/2018	***-**-73TR - WESTCOTT IRRVOC ACCOUNT #: LSR011001	MFS HIGH YIELD OPPORTUNITIES FUND-C BUY 1 Units @0.0000	0.00	7.80	0.00	7.80	88.0	6.86
10/19/2018	***-**-73TR - WESTCOTT IRRVOC ACCOUNT #: LSR011008	MFS HIGH YIELD OPPORTUNITIES FUND-C BUY 1 Units @0.0000	0.00	9.02	0.00	9.02	88.0	7.94
10/19/2018	***-**-13IN - ROTH, KAREN ACCOUNT #: LSR011954	MFS HIGH-YIELD OPPORTUNITIES FUND C BUY 1 Units @0.0000	0.00	0.62	0.00	0.62	88.0	0.55
10/19/2018	***-**-881J - EBERLEY, SUSAN ACCOUNT #: LSR010856	MFS INFLATION ADJUSTED BOND CL B BUY 1 Units @0.0000	0.00	0.39	0.00	0.39	88.0	0.34
10/19/2018	***-**-949I - ACEE, JOSPEH ACCOUNT #: LSR010908	MFS INFLATION ADJUSTED BOND CL B BUY 1 Units @0.0000	0.00	0.47	0.00	0.47	88.0	0.41
10/19/2018	***-**-31IO - HARTZ, CLAUDIA ACCOUNT #: LSR010915	MFS INFLATION ADJUSTED BOND CL B BUY 1 Units @0.0000	0.00	0.46	0.00	0.46	88.0	0.40
10/19/2018	***-**-960J - MASTRANGELO, ACCOUNT #: LSR010966	MFS INFLATION ADJUSTED BOND CL B BUY 1 Units @0.0000	0.00	0.28	0.00	0.28	88.0	0.25
10/19/2018	***-**-366I - GRUENEWALD, ACCOUNT #: LSR010989	MFS INFLATION ADJUSTED BOND CL B BUY 1 Units @0.0000	0.00	0.34	0.00	0.34	88.0	0.30
10/19/2018	***-**-761I - EVANS, DOLORES ACCOUNT #: LSR011024	MFS INFLATION ADJUSTED BOND CL B BUY 1 Units @0.0000	0.00	1.17	0.00	1.17	88.0	1.03
10/19/2018	***-**-63TR - EVANS, AUDREY J ACCOUNT #: LSR011036	MFS INFLATION ADJUSTED BOND CL B BUY 1 Units @0.0000	0.00	0.31	0.00	0.31	88.0	0.27
10/19/2018	***-**-580X - COBB, JAMES ACCOUNT #: LSR011040	MFS INFLATION ADJUSTED BOND CL B BUY 1 Units @0.0000	0.00	0.58	0.00	0.58	88.0	0.51
10/19/2018	***-**-326J - GRANDE, MR ACCOUNT #: LSR011089	MFS INFLATION ADJUSTED BOND CL B BUY 1 Units @0.0000	0.00	0.60	0.00	0.60	88.0	0.53
10/19/2018	***-**-76IO - MCALLISTER, FBO ACCOUNT #: LSR011107	MFS INFLATION ADJUSTED BOND CL B BUY 1 Units @0.0000	0.00	0.23	0.00	0.23	88.0	0.20
10/19/2018	***-**-506J - CURRIERE JR, MR ACCOUNT #: LSR011121	MFS INFLATION ADJUSTED BOND CL B BUY 1 Units @0.0000	0.00	0.17	0.00	0.17	88.0	0.15
10/19/2018	***-**-48IO - ANACKER, FBO MRS ACCOUNT #: LSR011164	MFS INFLATION ADJUSTED BOND CL B BUY 1 Units @0.0000	0.00	0.80	0.00	0.80	88.0	0.70
10/19/2018	***-**-31IO - WILLIAMSON, FBO ACCOUNT #: LSR011172	MFS INFLATION ADJUSTED BOND CL B BUY 1 Units @0.0000	0.00	0.60	0.00	0.60	88.0	0.53



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<b> OVERRIDE TRANSACTIONS (continued)</b>								
<b> <u>BROKER: KURT GRUENEWALD (continued)</u></b>								
10/19/2018	***-**-64IO - PFAFF, GEORGE ACCOUNT #: LSR011185	MFS INFLATION ADJUSTED BOND CL B BUY 1 Units @0.0000	0.00	0.47	0.00	0.47	88.0	0.41
10/19/2018	***-**-62IR - ROBBIANO, FBO ACCOUNT #: LSR011195	MFS INFLATION ADJUSTED BOND CL B BUY 1 Units @0.0000	0.00	0.24	0.00	0.24	88.0	0.21
10/19/2018	***-**-29IO - MASSOUD, ACCOUNT #: LSR011217	MFS INFLATION ADJUSTED BOND CL B BUY 1 Units @0.0000	0.00	0.27	0.00	0.27	88.0	0.24
10/19/2018	***-**-382I - SATTERLY, NEIL ACCOUNT #: LSR010867	MFS INFLATION ADJUSTED BOND CL C BUY 1 Units @0.0000	0.00	9.46	0.00	9.46	88.0	8.32
10/19/2018	***-**-031O - MCVOY, ROBERT ACCOUNT #: LSR010916	MFS INFLATION ADJUSTED BOND CL C BUY 1 Units @0.0000	0.00	2.67	0.00	2.67	88.0	2.35
10/19/2018	***-**-44IO - MAYO, DEBORAH ACCOUNT #: LSR011079	MFS INFLATION ADJUSTED BOND CL C BUY 1 Units @0.0000	0.00	20.61	0.00	20.61	88.0	18.14
10/19/2018	***-**-531J - WILLIAMSON, ACCOUNT #: LSR011716	MFS INFLATION ADJUSTED BOND CL C BUY 1 Units @0.0000	0.00	6.35	0.00	6.35	88.0	5.59
10/19/2018	***-**-15IN - PENDRAK, JOHN ACCOUNT #: LSR010948	MFS INFLATION ADJUSTED BOND FUND-A BUY 1 Units @0.0000	0.00	0.82	0.00	0.82	88.0	0.72
10/19/2018	***-**-111J - NESSIA, JAMES ACCOUNT #: LSR011054	MFS INFLATION ADJUSTED BOND FUND-A BUY 1 Units @0.0000	0.00	0.33	0.00	0.33	88.0	0.29
10/19/2018	***-**-861I - SANGER, LAWRENCE ACCOUNT #: LSR011095	MFS INFLATION ADJUSTED BOND FUND-A BUY 1 Units @0.0000	0.00	0.66	0.00	0.66	88.0	0.58
10/19/2018	***-**-065I - LAZIO, THOMAS ACCOUNT #: LSR010979	MFS INTERNATIONAL NEW DISCOVERY CL BUY 1 Units @0.0000	0.00	4.85	0.00	4.85	88.0	4.27
10/19/2018	***-**-254I - AUGUSTINE, LINDA ACCOUNT #: LSR010846	MFS INTERNATIONAL NEW DISCOVERY FUN BUY 1 Units @0.0000	0.00	0.98	0.00	0.98	88.0	0.86
10/19/2018	***-**-960J - MASTRANGELO, ACCOUNT #: LSR010966	MFS INTERNATIONAL NEW DISCOVERY FUN BUY 1 Units @0.0000	0.00	1.32	0.00	1.32	88.0	1.16
10/19/2018	***-**-761I - EVANS, DOLORES ACCOUNT #: LSR011024	MFS INTERNATIONAL NEW DISCOVERY FUN BUY 1 Units @0.0000	0.00	3.12	0.00	3.12	88.0	2.75
10/19/2018	***-**-944O - MAYO, DEBORAH ACCOUNT #: LSR011035	MFS INTERNATIONAL NEW DISCOVERY FUN BUY 1 Units @0.0000	0.00	0.64	0.00	0.64	88.0	0.56
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	88.0	0.65



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<b> OVERRIDE TRANSACTIONS (continued) </b>								
<b> <u>BROKER: KURT GRUENEWALD (continued)</u> </b>								
10/19/2018	***-**-31IO - WILLIAMSON, FBO	MFS INTERNATIONAL NEW DISCOVERY FUN	0.00	1.70	0.00	1.70	88.0	1.50
	ACCOUNT #: LSR011172	BUY 1 Units @0.0000						
10/19/2018	***-**-03IO - MASTRANGELO,	MFS INTERNATIONAL NEW DISCOVERY FUN	0.00	2.20	0.00	2.20	88.0	1.94
	ACCOUNT #: LSR011679	BUY 1 Units @0.0000						
10/19/2018	***-**-930I - SANGER, KEVIN	MFS INTERNATIONAL NEW DISCOVERY FUN	0.00	0.84	0.00	0.84	88.0	0.74
	ACCOUNT #: LSR010941	BUY 1 Units @0.0000						
10/19/2018	***-**-959I - FRANZ, PAUL	MFS INTERNATIONAL NEW DISCOVERY FUN	0.00	1.87	0.00	1.87	88.0	1.65
	ACCOUNT #: LSR010959	BUY 1 Units @0.0000						
10/19/2018	***-**-861I - SANGER, LAWRENCE	MFS INTERNATIONAL NEW DISCOVERY FUN	0.00	0.80	0.00	0.80	88.0	0.70
	ACCOUNT #: LSR011095	BUY 1 Units @0.0000						
10/19/2018	***-**-51IO - CAIN, TIMOTHY	MFS INTERNATIONAL VALUE FUND-B	0.00	0.93	0.00	0.93	88.0	0.82
	ACCOUNT #: LSR011007	BUY 1 Units @0.0000						
10/19/2018	***-**-861I - SANGER, LAWRENCE	MFS LIFETIME INCOME CLASS A	0.00	1.13	0.00	1.13	88.0	0.99
	ACCOUNT #: LSR011095	BUY 1 Units @0.0000						
10/19/2018	***-**-959J - FRANZ, PAUL	MFS MODERATE ALLOCATION CL C	0.00	14.34	0.00	14.34	88.0	12.62
	ACCOUNT #: LSR010958	BUY 1 Units @0.0000						
10/19/2018	***-**-86IN - LEE, KEVIN	MFS MODERATE ALLOCATION CL C	0.00	24.66	0.00	24.66	88.0	21.70
	ACCOUNT #: LSR011613	BUY 1 Units @0.0000						
10/19/2018	***-**-960J - MASTRANGELO,	MFS NEW DISCOVERY FUND-B	0.00	2.68	0.00	2.68	88.0	2.36
	ACCOUNT #: LSR010966	BUY 1 Units @0.0000						
10/19/2018	***-**-31IO - WILLIAMSON, FBO	MFS NEW DISCOVERY FUND-B	0.00	1.62	0.00	1.62	88.0	1.43
	ACCOUNT #: LSR011172	BUY 1 Units @0.0000						
10/19/2018	***-**-978I - GUNN, KATHLEEN	MFS NEW DISCOVERY FUND-B	0.00	0.69	0.00	0.69	88.0	0.61
	ACCOUNT #: LSR011345	BUY 1 Units @0.0000						
10/19/2018	***-**-45IO - WILLIAMSON,	MFS NEW DISCOVERY FUND-B	0.00	0.92	0.00	0.92	88.0	0.81
	ACCOUNT #: LSR011756	BUY 1 Units @0.0000						
10/19/2018	***-**-197I - GAMBINO, ANDREW	MFS NEW DISCOVERY VALUE FUND CL B	0.00	0.29	0.00	0.29	88.0	0.26
	ACCOUNT #: LSR011465	BUY 1 Units @0.0000						
10/19/2018	***-**-53IN - EVANS, ANDREW	MFS NEW DISCOVERY VALUE FUND CL B	0.00	0.76	0.00	0.76	88.0	0.67
	ACCOUNT #: LSR011483	BUY 1 Units @0.0000						
10/19/2018	***-**-24IN - BLISS, RYAN	MFS NEW DISCOVERY VALUE FUND CL B	0.00	0.36	0.00	0.36	88.0	0.32
	ACCOUNT #: LSR011502	BUY 1 Units @0.0000						



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<b><u> OVERRIDE TRANSACTIONS (continued) </u></b>								
<b><u> BROKER: KURT GRUENEWALD (continued) </u></b>								
10/19/2018	***-**-38IO - BROWN, TYLER	MFS NEW DISCOVERY VALUE FUND CL B	0.00	0.79	0.00	0.79	88.0	0.70
	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	88.0	0.23
	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	88.0	10.44
	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	88.0	12.82
	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	88.0	0.43
	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	88.0	1.41
	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	88.0	0.71
	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	88.0	0.33
	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	88.0	0.34
	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	88.0	0.18
	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	88.0	0.49
	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	88.0	0.49
	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	88.0	1.14
	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	88.0	1.14
	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	88.0	0.26
	ACCOUNT #: LSR011107	BUY 1 Units @0.0000						
10/19/2018	***-**-367J - WAGNER, MRS LANT	MFS RESEARCH BOND FUND-B	0.00	0.47	0.00	0.47	88.0	0.41
	ACCOUNT #: LSR011134	BUY 1 Units @0.0000						



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DAVID GRIFFITH  
2108 Genesee St.  
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BROKER #: A76  
BRANCH #01047 - 47 - GRIFFITH

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b> OVERRIDE TRANSACTIONS (continued) </b>								
<b> <u>BROKER: KURT GRUENEWALD (continued)</u> </b>								
10/19/2018	***-**-31IO - WILLIAMSON, FBO	MFS RESEARCH BOND FUND-B	0.00	0.63	0.00	0.63	88.0	0.55
	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	88.0	1.13
	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	88.0	1.13
	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	88.0	0.96
	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	88.0	10.25
	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	88.0	7.42
	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	88.0	4.82
	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	88.0	9.12
	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	88.0	5.17
	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	88.0	11.77
	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	88.0	13.22
	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	88.0	11.62
	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	88.0	6.28
	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	88.0	6.53
	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	88.0	8.16
	ACCOUNT #: LSR011222	BUY 1 Units @0.0000						
10/19/2018	***-**-11IO - LYNN G.	MFS TECHNOLOGY CLASS C	0.00	7.66	0.00	7.66	88.0	6.74
	ACCOUNT #: LSR011239	BUY 1 Units @0.0000						



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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b> OVERRIDE TRANSACTIONS (continued)</b>								
<b> <u>BROKER: KURT GRUENEWALD (continued)</u></b>								
10/19/2018	***-**-45IO - JOHNSON, GREGORY	MFS TECHNOLOGY CLASS C	0.00	8.29	0.00	8.29	88.0	7.30
	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	88.0	2.57
	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	88.0	10.22
	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	88.0	2.41
	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	88.0	0.19
	ACCOUNT #: LSR011995	BUY 1 Units @0.0000						
11/08/2018	***-**-60IO - JOSEPH,	MFS TECHNOLOGY CLASS C	10,000.01	100.00	0.00	100.00	88.0	88.00
	ACCOUNT #: LSR012336	BUY 280 Units @35.7100						
10/19/2018	***-**-15IN - PENDRAK, JOHN	MFS TECHNOLOGY FUND CLASS A	0.00	2.50	0.00	2.50	88.0	2.20
	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	88.0	1.92
	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	88.0	1.25
	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	88.0	0.23
	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	88.0	1.00
	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	88.0	0.89
	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	88.0	1.31
	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	88.0	1.28
	ACCOUNT #: LSR011040	BUY 1 Units @0.0000						
10/19/2018	***-**-579J - RHYMESTINE,	MFS TECHNOLOGY FUND-B	0.00	0.11	0.00	0.11	88.0	0.10
	ACCOUNT #: LSR011081	BUY 1 Units @0.0000						
10/19/2018	***-**-579I - RHYMESTINE,	MFS TECHNOLOGY FUND-B	0.00	1.53	0.00	1.53	88.0	1.35
	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
<b> OVERRIDE TRANSACTIONS (continued)</b>								
<b> <u>BROKER: KURT GRUENEWALD (continued)</u></b>								
10/19/2018	***-**-326I - GRANDE, FBO MR	MFS TECHNOLOGY FUND-B	0.00	1.91	0.00	1.91	88.0	1.68
	ACCOUNT #: LSR011091	BUY 1 Units @0.0000						
10/19/2018	***-**-73UT - COBB, CHRSTIAN	MFS TECHNOLOGY FUND-B	0.00	0.39	0.00	0.39	88.0	0.34
	ACCOUNT #: LSR011104	BUY 1 Units @0.0000						
10/19/2018	***-**-67UT - COBB,	MFS TECHNOLOGY FUND-B	0.00	0.39	0.00	0.39	88.0	0.34
	ACCOUNT #: LSR011105	BUY 1 Units @0.0000						
10/19/2018	***-**-992J - CORNACCHIA	MFS TECHNOLOGY FUND-B	0.00	0.48	0.00	0.48	88.0	0.42
	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	88.0	0.88
	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	88.0	1.54
	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	88.0	1.86
	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	88.0	1.01
	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	88.0	1.34
	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	88.0	1.50
	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	88.0	0.95
	ACCOUNT #: LSR011275	BUY 1 Units @0.0000						
10/19/2018	***-**-653I - KOCHEM, CLINTON	MFS TECHNOLOGY FUND-B	0.00	2.51	0.00	2.51	88.0	2.21
	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	88.0	1.50
	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	88.0	0.87
	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	88.0	0.47
	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	88.0	0.62
	ACCOUNT #: LSR011483	BUY 1 Units @0.0000						



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<b> OVERRIDE TRANSACTIONS (continued)</b>								
<b> <u>BROKER: KURT GRUENEWALD (continued)</u></b>								
10/19/2018	***-**-274X - DOXTADER, ACCOUNT #: LSR011580	MFS TECHNOLOGY FUND-B BUY 1 Units @0.0000	0.00	0.51	0.00	0.51	88.0	0.45
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	88.0	0.99
10/19/2018	***-**-12IR - GRUENEWALD, ACCOUNT #: LSR011614	MFS TECHNOLOGY FUND-B BUY 1 Units @0.0000	0.00	1.31	0.00	1.31	88.0	1.15
10/19/2018	***-**-03IO - MASTRANGELO, ACCOUNT #: LSR011679	MFS TECHNOLOGY FUND-B BUY 1 Units @0.0000	0.00	2.09	0.00	2.09	88.0	1.84
10/19/2018	***-**-45IR - WILLIAMSON, ACCOUNT #: LSR011764	MFS TECHNOLOGY FUND-B BUY 1 Units @0.0000	0.00	2.32	0.00	2.32	88.0	2.04
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	88.0	1.85
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	88.0	0.33
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	88.0	0.89
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	88.0	1.04
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	88.0	1.63
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	88.0	1.65
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	88.0	0.85
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	88.0	1.56
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	88.0	0.77
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	88.0	1.66
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	88.0	0.78





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<b><u> OVERRIDE TRANSACTIONS (continued) </u></b>								
<b><u> BROKER: KURT GRUENEWALD (continued) </u></b>								
10/19/2018	***-**-96IN - NESSIA, BONNIE	MFS UTILITIES FUND-A	0.00	0.57	0.00	0.57	88.0	0.50
	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	88.0	0.51
	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	88.0	1.21
	ACCOUNT #: LSR010915	BUY 1 Units @0.0000						
10/19/2018	***-**-366S - GRUENEWALD,	MFS UTILITIES FUND-B	0.00	0.74	0.00	0.74	88.0	0.65
	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	88.0	0.26
	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	88.0	1.50
	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	88.0	1.77
	ACCOUNT #: LSR011037	BUY 1 Units @0.0000						
10/19/2018	***-**-579I - RHYMESTINE,	MFS UTILITIES FUND-B	0.00	2.08	0.00	2.08	88.0	1.83
	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	88.0	0.61
	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	88.0	0.87
	ACCOUNT #: LSR011091	BUY 1 Units @0.0000						
10/19/2018	***-**-13IN - RHYMESTINE,	MFS UTILITIES FUND-B	0.00	0.88	0.00	0.88	88.0	0.77
	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	88.0	0.38
	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	88.0	1.47
	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	88.0	1.18
	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	88.0	1.50
	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	88.0	1.27
	ACCOUNT #: LSR011300	BUY 1 Units @0.0000						



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<b> OVERRIDE TRANSACTIONS (continued)</b>								
<b> <u>BROKER: KURT GRUENEWALD (continued)</u></b>								
10/19/2018	***-**-62IN - EATON, DAVID	MFS UTILITIES FUND-B	0.00	1.35	0.00	1.35	88.0	1.19
	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	88.0	0.36
	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	88.0	1.46
	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	88.0	0.11
	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	88.0	0.56
	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	88.0	0.11
	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	88.0	1.36
	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	88.0	0.52
	ACCOUNT #: LSR011602	BUY 1 Units @0.0000						
10/19/2018	***-**-45IO - WILLIAMSON,	MFS UTILITIES FUND-B	0.00	0.57	0.00	0.57	88.0	0.50
	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	88.0	8.04
	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	88.0	9.59
	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	88.0	8.10
	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	88.0	4.09
	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	88.0	9.54
	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	88.0	9.52
	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	88.0	10.00
	ACCOUNT #: LSR011117	BUY 1 Units @0.0000						



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2108 Genesee St.  
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BROKER #: A76  
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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b> OVERRIDE TRANSACTIONS (continued)</b>								
<b> <u>BROKER: KURT GRUENEWALD (continued)</u></b>								
10/19/2018	***-**-89IN - LEE, ROGER	MFS UTILITIES FUND-C	0.00	6.76	0.00	6.76	88.0	5.95
	ACCOUNT #: LSR011166	BUY 1 Units @0.0000						
10/19/2018	***-**-81IR - CAMPBELL,	MFS UTILITIES FUND-C	0.00	7.07	0.00	7.07	88.0	6.22
	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	88.0	7.91
	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	88.0	0.08
	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	88.0	6.64
	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	88.0	5.00
	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	88.0	7.70
	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	88.0	8.47
	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	88.0	0.04
	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	88.0	0.01
	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	88.0	0.05
	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	88.0	0.04
	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	88.0	0.03
	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	88.0	0.03
	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	88.0	0.04
	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	88.0	0.03
	ACCOUNT #: LSR012484	BUY 1 Units @0.0000						



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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b> OVERRIDE TRANSACTIONS (continued)</b>								
<b> <u>BROKER: KURT GRUENEWALD (continued)</u></b>								
10/19/2018	***-**-555J - WHITTON, CHERYL	MFS UTILITIES FUND-C	0.00	0.03	0.00	0.03	88.0	0.03
	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	88.0	0.01
	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	88.0	0.91
	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	88.0	0.99
	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	88.0	1.12
	ACCOUNT #: LSR010995	BUY 1 Units @0.0000						
11/05/2018	***-**-506J - CURRIERE JR, MR	NEW PERSPECTIVE FUND-A	62.50	2.66	0.00	2.66	88.0	2.34
	ACCOUNT #: 00088062946	BUY 1 Units @45.5100						
10/19/2018	***-**-702I - KOCHER, MICHAEL	NEW WORLD FUND-A	0.00	2.56	0.00	2.56	88.0	2.25
	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	88.0	2.04
	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	88.0	0.48
	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	88.0	0.75
	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	88.0	1.69
	ACCOUNT #: LSR011939	BUY 1 Units @0.0000						
11/19/2018	***-**-9440 - MAYO, DEBORAH	NEW YORK 529 TRAILS	0.00	6.87	0.00	6.87	88.0	6.05
	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	88.0	25.41
	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	88.0	0.72
	ACCOUNT #: 77237884701	BUY 0 Units @0.0000						
11/19/2018	***-**-0069 - KRECIDLO,	NEW YORK 529 TRAILS	0.00	2.00	0.00	2.00	88.0	1.76
	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	88.0	0.67
		BUY 0 Units @0.0000						



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<b> OVERRIDE TRANSACTIONS (continued)</b>								
<b> <u>BROKER: KURT GRUENEWALD (continued)</u></b>								
11/19/2018	***-**-065P - CAMPBELL, PAMELA	NEW YORK 529 TRAILS	0.00	15.97	0.00	15.97	88.0	14.05
	ACCOUNT #: 77830931201	BUY 0 Units @0.0000						
11/19/2018	***-**-20IR - DEMETRI, AMELIA	NEW YORK 529 TRAILS	0.00	1.02	0.00	1.02	88.0	0.90
	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	88.0	0.43
	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	88.0	2.82
		BUY 0 Units @0.0000						
11/19/2018	***-**-5384 - GURDO, JESSICA	NEW YORK 529 TRAILS	0.00	0.60	0.00	0.60	88.0	0.53
		BUY 0 Units @0.0000						
11/19/2018	***-**-0767 - DOVI,	NEW YORK 529 TRAILS	0.00	0.95	0.00	0.95	88.0	0.84
	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	88.0	28.37
	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	88.0	1.76
	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	88.0	1.40
	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	88.0	6.59
	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	88.0	12.99
	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	88.0	14.53
	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	88.0	8.99
	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	88.0	7.14
	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	88.0	1.04
	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	88.0	1.29
	ACCOUNT #: LSR010856	BUY 1 Units @0.0000						



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<b> OVERRIDE TRANSACTIONS (continued)</b>								
<b> <u>BROKER: KURT GRUENEWALD (continued)</u></b>								
10/19/2018	***-**-949I - ACEE, JOSPEH ACCOUNT #: LSR010908	OPPENHEIMER DEVELOPING MARKETS CLAS BUY 1 Units @0.0000	0.00	1.18	0.00	1.18	88.0	1.04
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	88.0	0.27
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	88.0	1.90
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	88.0	0.64
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	88.0	0.70
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	88.0	0.63
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	88.0	1.22
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	88.0	0.94
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	88.0	1.71
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	88.0	0.69
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	88.0	4.55
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	88.0	2.37
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	88.0	5.93
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	88.0	2.91
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	88.0	3.82
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	88.0	3.07



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<b><u> OVERRIDE TRANSACTIONS (continued) </u></b>								
<b><u>BROKER: KURT GRUENEWALD (continued)</u></b>								
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	88.0	1.68
10/19/2018	***-**-065I - LAZIO, THOMAS ACCOUNT #: LSR010979	OPPENHEIMER GOLD & SPECIAL MINERALS BUY 1 Units @0.0000	0.00	4.62	0.00	4.62	88.0	4.07
10/19/2018	***-**-420T - DEMETRI, AMELIA ACCOUNT #: LSR010994	OPPENHEIMER GOLD & SPECIAL MINERALS BUY 1 Units @0.0000	0.00	1.99	0.00	1.99	88.0	1.75
10/19/2018	***-**-00IO - LEE, GARY ACCOUNT #: LSR011059	OPPENHEIMER GOLD & SPECIAL MINERALS BUY 1 Units @0.0000	0.00	6.12	0.00	6.12	88.0	5.39
10/19/2018	***-**-09IO - BATES, FBO MRS ACCOUNT #: LSR011117	OPPENHEIMER GOLD & SPECIAL MINERALS BUY 1 Units @0.0000	0.00	2.00	0.00	2.00	88.0	1.76
10/19/2018	***-**-11IO - LYNN G. ACCOUNT #: LSR011239	OPPENHEIMER GOLD & SPECIAL MINERALS BUY 1 Units @0.0000	0.00	5.74	0.00	5.74	88.0	5.05
10/19/2018	***-**-45IO - JOHNSON, GREGORY ACCOUNT #: LSR011421	OPPENHEIMER GOLD & SPECIAL MINERALS BUY 1 Units @0.0000	0.00	4.68	0.00	4.68	88.0	4.12
10/19/2018	***-**-51IN - GERACE, JOANNE ACCOUNT #: LSR011538	OPPENHEIMER GOLD & SPECIAL MINERALS BUY 1 Units @0.0000	0.00	1.27	0.00	1.27	88.0	1.12
11/09/2018	***-**-60IO - JOSEPH, ACCOUNT #: LSR012336	OPPENHEIMER GOLD & SPECIAL MINERALS BUY 693 Units @12.2600	8,500.01	85.00	0.00	85.00	88.0	74.80
10/19/2018	***-**-7140 - LINES, JUDITH ACCOUNT #: LSR011763	OPPENHEIMER INTERNATIONAL DIVERSIFI BUY 1 Units @0.0000	0.00	2.04	0.00	2.04	88.0	1.80
10/19/2018	***-**-28IN - BYWATER, KIM ACCOUNT #: LSR011995	OPPENHEIMER INTERNATIONAL SMALL COM BUY 1 Units @0.0000	0.00	2.51	0.00	2.51	88.0	2.21
10/19/2018	***-**-881I - EBERLEY, SUSAN ACCOUNT #: LSR010858	OPPENHEIMER MAIN STREET SMALL CAP F BUY 1 Units @0.0000	0.00	1.96	0.00	1.96	88.0	1.72
10/19/2018	***-**-382I - SATTERLY, NEIL ACCOUNT #: LSR010867	OPPENHEIMER RISING DIVIDENDS FUND C BUY 1 Units @0.0000	0.00	28.54	0.00	28.54	88.0	25.12
10/19/2018	***-**-0310 - MCVOY, ROBERT ACCOUNT #: LSR010916	OPPENHEIMER RISING DIVIDENDS FUND C BUY 1 Units @0.0000	0.00	5.98	0.00	5.98	88.0	5.26
10/19/2018	***-**-065I - LAZIO, THOMAS ACCOUNT #: LSR010979	OPPENHEIMER RISING DIVIDENDS FUND C BUY 1 Units @0.0000	0.00	9.24	0.00	9.24	88.0	8.13
10/19/2018	***-**-51IN - GERACE, JOANNE ACCOUNT #: LSR011538	OPPENHEIMER RISING DIVIDENDS FUND C BUY 1 Units @0.0000	0.00	8.05	0.00	8.05	88.0	7.08



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<b><u> OVERRIDE TRANSACTIONS (continued) </u></b>								
<b><u> BROKER: KURT GRUENEWALD (continued) </u></b>								
10/19/2018	***-**-37IO - MCCLUSKY, MARK ACCOUNT #: LSR011579	OPPENHEIMER RISING DIVIDENDS FUND C BUY 1 Units @0.0000	0.00	5.30	0.00	5.30	88.0	4.66
10/19/2018	***-**-714O - LINES, JUDITH ACCOUNT #: LSR011763	OPPENHEIMER RISING DIVIDENDS FUND C BUY 1 Units @0.0000	0.00	7.91	0.00	7.91	88.0	6.96
10/19/2018	***-**-28IN - BYWATER, KIM ACCOUNT #: LSR011995	OPPENHEIMER RISING DIVIDENDS FUND C BUY 1 Units @0.0000	0.00	1.70	0.00	1.70	88.0	1.50
10/19/2018	***-**-287J - HINCKLEY, ACCOUNT #: LSR010841	OPPENHEIMER ROCHEST AMT-FREE NY MUN BUY 1 Units @0.0000	0.00	1.80	0.00	1.80	88.0	1.58
10/19/2018	***-**-254I - AUGUSTINE, LINDA ACCOUNT #: LSR010846	OPPENHEIMER SMALL & MID CAP VALUE F BUY 1 Units @0.0000	0.00	0.89	0.00	0.89	88.0	0.78
10/19/2018	***-**-930I - SANGER, KEVIN ACCOUNT #: LSR010941	OPPENHEIMER SMALL & MID CAP VALUE F BUY 1 Units @0.0000	0.00	0.42	0.00	0.42	88.0	0.37
10/19/2018	***-**-15IN - PENDRAK, JOHN ACCOUNT #: LSR010948	OPPENHEIMER SMALL & MID CAP VALUE F BUY 1 Units @0.0000	0.00	0.89	0.00	0.89	88.0	0.78
10/19/2018	***-**-959I - FRANZ, PAUL ACCOUNT #: LSR010959	OPPENHEIMER SMALL & MID CAP VALUE F BUY 1 Units @0.0000	0.00	1.75	0.00	1.75	88.0	1.54
10/19/2018	***-**-567I - FRANZ, ALICE ACCOUNT #: LSR010960	OPPENHEIMER SMALL & MID CAP VALUE F BUY 1 Units @0.0000	0.00	2.38	0.00	2.38	88.0	2.09
10/19/2018	***-**-944O - MAYO, DEBORAH ACCOUNT #: LSR011035	OPPENHEIMER SMALL & MID CAP VALUE F BUY 1 Units @0.0000	0.00	0.74	0.00	0.74	88.0	0.65
10/19/2018	***-**-580X - COBB, JAMES ACCOUNT #: LSR011040	OPPENHEIMER SMALL & MID CAP VALUE F BUY 1 Units @0.0000	0.00	1.06	0.00	1.06	88.0	0.93
10/19/2018	***-**-111J - NESSIA, JAMES ACCOUNT #: LSR011054	OPPENHEIMER SMALL & MID CAP VALUE F BUY 1 Units @0.0000	0.00	1.03	0.00	1.03	88.0	0.91
10/19/2018	***-**-579I - RHYMESTINE, ACCOUNT #: LSR011082	OPPENHEIMER SMALL & MID CAP VALUE F BUY 1 Units @0.0000	0.00	2.25	0.00	2.25	88.0	1.98
10/19/2018	***-**-13IN - RHYMESTINE, ACCOUNT #: LSR011106	OPPENHEIMER SMALL & MID CAP VALUE F BUY 1 Units @0.0000	0.00	0.50	0.00	0.50	88.0	0.44
10/19/2018	***-**-664J - PFAFF, GEORGE ACCOUNT #: LSR011184	OPPENHEIMER SMALL & MID CAP VALUE F BUY 1 Units @0.0000	0.00	0.73	0.00	0.73	88.0	0.64
10/19/2018	***-**-62IN - EATON, DAVID ACCOUNT #: LSR011315	OPPENHEIMER SMALL & MID CAP VALUE F BUY 1 Units @0.0000	0.00	0.70	0.00	0.70	88.0	0.62





# COMMISSION STATEMENT

November 19, 2018

DAVID GRIFFITH  
2108 Genesee St.  
Utica, NY 13502

BROKER #: A76  
BRANCH #01047 - 47 - GRIFFITH

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b><u> OVERRIDE TRANSACTIONS (continued) </u></b>								
<b><u> BROKER: KURT GRUENEWALD (continued) </u></b>								
10/19/2018	***-**-80IN - COBB, JAMES ACCOUNT #: LSR011042	OPPENHEIMER STEELPATH MLP ALPHA PLU BUY 1 Units @0.0000	0.00	1.09	0.00	1.09	88.0	0.96
10/19/2018	***-**-837O - BASEMENT ACCOUNT #: LSR011046	OPPENHEIMERSTEELPATH MLP INCOME CL BUY 1 Units @0.0000	0.00	2.87	0.00	2.87	88.0	2.53
10/19/2018	***-**-80IN - COBB, JAMES ACCOUNT #: LSR011042	OPPENHEIMERSTEELPATH MLP SELECT 40 BUY 1 Units @0.0000	0.00	0.63	0.00	0.63	88.0	0.55
10/19/2018	***-**-48IO - CLARK, PATRICK ACCOUNT #: LSR010911	PORT SERIES: CONS INV C BUY 1 Units @0.0000	0.00	17.08	0.00	17.08	88.0	15.03
10/19/2018	***-**-72IN - GAVALO, JULIE ACCOUNT #: LSR010921	PORT SERIES: CONS INV C BUY 1 Units @0.0000	0.00	22.22	0.00	22.22	88.0	19.55
10/19/2018	***-**-420T - DEMETRI, AMELIA ACCOUNT #: LSR010994	PORT SERIES: CONS INV C BUY 1 Units @0.0000	0.00	1.68	0.00	1.68	88.0	1.48
10/19/2018	***-**-73UT - COBB, CHRSTIAN ACCOUNT #: LSR011104	PORT SERIES: CONS INV C BUY 1 Units @0.0000	0.00	4.50	0.00	4.50	88.0	3.96
10/19/2018	***-**-67UT - COBB, ACCOUNT #: LSR011105	PORT SERIES: CONS INV C BUY 1 Units @0.0000	0.00	4.50	0.00	4.50	88.0	3.96
10/19/2018	***-**-89IN - LEE, ROGER ACCOUNT #: LSR011166	PORT SERIES: CONS INV C BUY 1 Units @0.0000	0.00	9.72	0.00	9.72	88.0	8.55
10/19/2018	***-**-52IO - EUSEPI, SUSAN ACCOUNT #: LSR011219	PORT SERIES: CONS INV C BUY 1 Units @0.0000	0.00	12.16	0.00	12.16	88.0	10.70
10/19/2018	***-**-439I - MCCARTHY, JAMES ACCOUNT #: LSR011244	PORT SERIES: CONS INV C BUY 1 Units @0.0000	0.00	4.06	0.00	4.06	88.0	3.57
10/19/2018	***-**-80IO - EVANS, RICHARD ACCOUNT #: LSR011276	PORT SERIES: CONS INV C BUY 1 Units @0.0000	0.00	12.99	0.00	12.99	88.0	11.43
10/19/2018	***-**-664J - PFAFF, GEORGE ACCOUNT #: LSR011184	PORT SERIES: EQUITY INV FD A BUY 1 Units @0.0000	0.00	1.06	0.00	1.06	88.0	0.93
10/19/2018	***-**-254I - AUGUSTINE, LINDA ACCOUNT #: LSR010846	PORTFOLIO SERIES: CONS INV A BUY 1 Units @0.0000	0.00	1.49	0.00	1.49	88.0	1.31
10/19/2018	***-**-15IN - PENDRAK, JOHN ACCOUNT #: LSR010948	PORTFOLIO SERIES: CONS INV A BUY 1 Units @0.0000	0.00	2.40	0.00	2.40	88.0	2.11
10/19/2018	***-**-959I - FRANZ, PAUL ACCOUNT #: LSR010959	PORTFOLIO SERIES: CONS INV A BUY 1 Units @0.0000	0.00	2.06	0.00	2.06	88.0	1.81



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## November 19, 2018

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b> OVERRIDE TRANSACTIONS (continued)</b>								
<b> <u>BROKER: KURT GRUENEWALD (continued)</u></b>								
10/19/2018	***-**-567I - FRANZ, ALICE	PORTFOLIO SERIES: CONS INV A	0.00	3.15	0.00	3.15	88.0	2.77
	ACCOUNT #: LSR010960	BUY 1 Units @0.0000						
10/19/2018	***-**-511O - CAIN, TIMOTHY	PORTFOLIO SERIES: CONS INV A	0.00	2.03	0.00	2.03	88.0	1.79
	ACCOUNT #: LSR011007	BUY 1 Units @0.0000						
10/19/2018	***-**-761I - EVANS, DOLORES	PORTFOLIO SERIES: CONS INV A	0.00	1.16	0.00	1.16	88.0	1.02
	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	88.0	1.50
	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	88.0	0.57
	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	88.0	0.70
	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	88.0	3.78
	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	88.0	0.55
	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	88.0	1.06
	ACCOUNT #: LSR011315	BUY 1 Units @0.0000						
11/12/2018	***-**-60IO - JOSEPH,	PUTNAM EQUITY SPECTRUM FD CL C	8,500.00	85.00	0.00	85.00	88.0	74.80
	ACCOUNT #: LSR012336	BUY 261 Units @32.5100						
11/12/2018	***-**-60IO - JOSEPH,	PUTNAM INVESTMENTS MULTI-CAP CORE C	10,000.01	100.00	0.00	100.00	88.0	88.00
	ACCOUNT #: LSR012336	BUY 459 Units @21.8000						
11/13/2018	***-**-60IO - JOSEPH,	PUTNAM INVESTMENTS MULTI-CAP CORE C	10,000.00	100.00	0.00	100.00	88.0	88.00
	ACCOUNT #: LSR012336	BUY 460 Units @21.7500						
10/19/2018	***-**-714O - LINES, JUDITH	QUEST BALANCED FUND C	0.00	1.57	0.00	1.57	88.0	1.38
	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	88.0	0.55
	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	88.0	0.61
	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	88.0	0.70
	ACCOUNT #: LSR010846	BUY 1 Units @0.0000						



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## November 19, 2018

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b> OVERRIDE TRANSACTIONS (continued)</b>								
<b> <u>BROKER: KURT GRUENEWALD (continued)</u></b>								
10/19/2018	***-**-881J - EBERLEY, SUSAN	REAL ESTATE FUND A	0.00	1.07	0.00	1.07	88.0	0.94
	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	88.0	1.17
	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	88.0	0.75
	ACCOUNT #: LSR010948	BUY 1 Units @0.0000						
10/19/2018	***-**-702I - KOCHER, MICHAEL	REAL ESTATE FUND A	0.00	0.99	0.00	0.99	88.0	0.87
	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	88.0	1.82
	ACCOUNT #: LSR010960	BUY 1 Units @0.0000						
10/19/2018	***-**-51IO - CAIN, TIMOTHY	REAL ESTATE FUND A	0.00	1.16	0.00	1.16	88.0	1.02
	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	88.0	2.56
	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	88.0	0.54
	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	88.0	0.89
	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	88.0	0.98
	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	88.0	1.24
	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	88.0	0.45
	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	88.0	1.13
	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	88.0	1.34
	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	88.0	1.25
	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	88.0	1.28
	ACCOUNT #: LSR011184	BUY 1 Units @0.0000						



# COMMISSION STATEMENT

## November 19, 2018

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b><u> OVERRIDE TRANSACTIONS (continued) </u></b>								
<b><u> BROKER: KURT GRUENEWALD (continued) </u></b>								
10/19/2018	***-**-64IO - PFAFF, GEORGE	REAL ESTATE FUND A	0.00	1.55	0.00	1.55	88.0	1.36
	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	88.0	0.40
	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	88.0	1.29
	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	88.0	0.54
	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	88.0	9.01
	ACCOUNT #: LSR010867	BUY 1 Units @0.0000						
10/19/2018	***-**-48IO - CLARK, PATRICK	REAL ESTATE FUND C	0.00	7.62	0.00	7.62	88.0	6.71
	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	88.0	7.26
	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	88.0	5.37
	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	88.0	7.10
	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	88.0	1.91
	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	88.0	8.66
	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	88.0	4.12
	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	88.0	11.26
	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	88.0	3.56
	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	88.0	6.10
	ACCOUNT #: LSR011421	BUY 1 Units @0.0000						
10/19/2018	***-**-714O - LINES, JUDITH	REAL ESTATE FUND C	0.00	2.37	0.00	2.37	88.0	2.09
	ACCOUNT #: LSR011763	BUY 1 Units @0.0000						



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<b> OVERRIDE TRANSACTIONS (continued) </b>								
<b> <u>BROKER: KURT GRUENEWALD (continued)</u> </b>								
10/19/2018	***-**-287J - HINCKLEY, ACCOUNT #: LSR010841	RISING DIVIDENDS FUND A BUY 1 Units @0.0000	0.00	0.33	0.00	0.33	88.0	0.29
10/19/2018	***-**-254I - AUGUSTINE, LINDA ACCOUNT #: LSR010846	RISING DIVIDENDS FUND A BUY 1 Units @0.0000	0.00	1.31	0.00	1.31	88.0	1.15
10/19/2018	***-**-881I - EBERLEY, SUSAN ACCOUNT #: LSR010858	RISING DIVIDENDS FUND A BUY 1 Units @0.0000	0.00	0.96	0.00	0.96	88.0	0.84
10/19/2018	***-**-702I - KOCHER, MICHAEL ACCOUNT #: LSR010954	RISING DIVIDENDS FUND A BUY 1 Units @0.0000	0.00	2.46	0.00	2.46	88.0	2.16
10/19/2018	***-**-959I - FRANZ, PAUL ACCOUNT #: LSR010959	RISING DIVIDENDS FUND A BUY 1 Units @0.0000	0.00	1.16	0.00	1.16	88.0	1.02
10/19/2018	***-**-366I - GRUENEWALD, ACCOUNT #: LSR010989	RISING DIVIDENDS FUND A BUY 1 Units @0.0000	0.00	1.40	0.00	1.40	88.0	1.23
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	88.0	7.37
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	88.0	1.05
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	88.0	1.94
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	88.0	2.17
10/19/2018	***-**-579I - RHYMESTINE, ACCOUNT #: LSR011082	RISING DIVIDENDS FUND A BUY 1 Units @0.0000	0.00	2.77	0.00	2.77	88.0	2.44
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	88.0	1.82
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	88.0	1.62
10/19/2018	***-**-13IN - RHYMESTINE, ACCOUNT #: LSR011106	RISING DIVIDENDS FUND A BUY 1 Units @0.0000	0.00	1.20	0.00	1.20	88.0	1.06
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	88.0	0.75
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	88.0	0.84



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<b> OVERRIDE TRANSACTIONS (continued)</b>								
<b> <u>BROKER: KURT GRUENEWALD (continued)</u></b>								
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	88.0	1.14
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	88.0	0.99
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	88.0	1.14
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	88.0	0.86
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	88.0	0.34
10/19/2018	***-**-714O - LINES, JUDITH ACCOUNT #: LSR011763	ROCH. LIMITED TERM NEW YORK MUNICI BUY 1 Units @0.0000	0.00	2.09	0.00	2.09	88.0	1.84
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	88.0	2.39
10/19/2018	***-**-714O - LINES, JUDITH ACCOUNT #: LSR011763	SENIOR FLOATING RATE FUND C BUY 1 Units @0.0000	0.00	3.39	0.00	3.39	88.0	2.98
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	88.0	3.45
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	88.0	1.62
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	88.0	0.80
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	88.0	7.89
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	88.0	6.49
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	88.0	10.93
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	88.0	10.62
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	88.0	7.41



# COMMISSION STATEMENT

## November 19, 2018

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BROKER #: A76  
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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b> OVERRIDE TRANSACTIONS (continued)</b>								
<b> <u>BROKER: KURT GRUENEWALD (continued)</u></b>								
10/19/2018	***-**-45IO - JOHNSON, GREGORY	SMALLCAP WORLD FUND-C	0.00	8.21	0.00	8.21	88.0	7.22
	ACCOUNT #: LSR011421	BUY 1 Units @0.0000						
10/19/2018	***-**-851K - LALLIER, JAMES	SMALLCAP WORLD FUND-C	0.00	4.32	0.00	4.32	88.0	3.80
	ACCOUNT #: LSR012645	BUY 1 Units @0.0000						
10/19/2018	***-**-714O - LINES, JUDITH	STRATEGIC INCOME FUND C	0.00	1.30	0.00	1.30	88.0	1.14
	ACCOUNT #: LSR011763	BUY 1 Units @0.0000						
11/09/2018	***-**-60IO - JOSEPH,	TANGER FACTORY OUTLET CTRS INC UNSO	2,360.00	8.60	0.00	8.60	88.0	7.57
	ACCOUNT #: LSR012336	BUY 100 Units @23.6000						
11/09/2018	***-**-60IO - JOSEPH,	TANGER FACTORY OUTLET CTRS INC UNSO	2,360.00	32.60	0.00	32.60	88.0	28.69
	ACCOUNT #: LSR012336	BUY 100 Units @23.6000						
10/19/2018	***-**-86IN - LEE, KEVIN	TEMPLETON GLOBAL BOND FUND - CLASS	0.00	3.70	0.00	3.70	88.0	3.26
	ACCOUNT #: LSR011613	BUY 1 Units @0.0000						
10/19/2018	***-**-43IN - FRANZ, WAYNE	THE BOND FUND OF AMERICA-A	0.00	3.68	0.00	3.68	88.0	3.24
	ACCOUNT #: LSR012636	BUY 1 Units @0.0000						
11/09/2018	***-**-60IO - JOSEPH,	THE BOND FUND OF AMERICA-A	10,000.00	300.00	0.00	300.00	88.0	264.00
	ACCOUNT #: LSR012336	BUY 780 Units @12.8200						
10/19/2018	***-**-366I - GRUENEWALD,	THE GROWTH FUND OF AMERICA-A	0.00	1.09	0.00	1.09	88.0	0.96
	ACCOUNT #: LSR010989	BUY 1 Units @0.0000						
10/19/2018	***-**-326I - GRANDE, FBO MR	THE GROWTH FUND OF AMERICA-A	0.00	2.30	0.00	2.30	88.0	2.02
	ACCOUNT #: LSR011091	BUY 1 Units @0.0000						
11/07/2018	***-**-480J - EVANS, RICHARD	THE GROWTH FUND OF AMERICA-A	125.00	5.31	0.00	5.31	88.0	4.67
	ACCOUNT #: 00073288662	BUY 2 Units @56.3900						
10/19/2018	***-**-567I - FRANZ, ALICE	THE GROWTH FUND OF AMERICA-C	0.00	10.99	0.00	10.99	88.0	9.67
	ACCOUNT #: LSR010960	BUY 1 Units @0.0000						
10/19/2018	***-**-287I - HINCKLEY,	THE INCOME FUND OF AMERICA-A	0.00	4.45	0.00	4.45	88.0	3.92
	ACCOUNT #: LSR010843	BUY 1 Units @0.0000						
10/19/2018	***-**-702I - KOCHEM, MICHAEL	THE INCOME FUND OF AMERICA-A	0.00	3.54	0.00	3.54	88.0	3.12
	ACCOUNT #: LSR010954	BUY 1 Units @0.0000						
10/19/2018	***-**-959J - FRANZ, PAUL	THE INCOME FUND OF AMERICA-A	0.00	2.87	0.00	2.87	88.0	2.53
	ACCOUNT #: LSR010958	BUY 1 Units @0.0000						
10/19/2018	***-**-366I - GRUENEWALD,	THE INCOME FUND OF AMERICA-A	0.00	1.76	0.00	1.76	88.0	1.55
	ACCOUNT #: LSR010989	BUY 1 Units @0.0000						



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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b> OVERRIDE TRANSACTIONS (continued)</b>								
<b> <u>BROKER: KURT GRUENEWALD (continued)</u></b>								
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	88.0	0.09
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	88.0	2.03
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	88.0	0.98
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	88.0	0.84
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	88.0	2.32
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	88.0	5.05
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	88.0	0.79
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	88.0	10.31
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	88.0	2.22
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	88.0	5.59
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	88.0	6.60
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	88.0	4.80
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	88.0	6.20
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	88.0	11.10
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	88.0	5.38
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	88.0	5.18





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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b><u> OVERRIDE TRANSACTIONS (continued) </u></b>								
<b><u> BROKER: KURT GRUENEWALD (continued) </u></b>								
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	88.0	6.38
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	88.0	10.26
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	88.0	11.64
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	88.0	9.88
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	88.0	6.67
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	88.0	8.36
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	88.0	9.47
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	88.0	4.36
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	88.0	8.81
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	88.0	13.12
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	88.0	3.09
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	88.0	1.39
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	88.0	2.65
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	88.0	1.25
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	88.0	1.89
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	88.0	1.23



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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: MUTUAL FUNDS (continued)</b>								
		* KURT GRUENEWALD SUBTOTAL *	\$162,109.99	\$5,580.00	\$0.00	\$5,580.00		\$4,910.47
		*** OVERRIDE TRANSACTIONS TOTAL ***	\$162,109.99	\$5,580.00	\$0.00	\$5,580.00		\$4,910.47

## BROKER COMMISSION TOTALS

Broker Transactions	\$2,240.38
Split Transactions	\$0.00
Override Transactions	\$4,910.47
Adjustments	\$0.00
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$0.00
FINRA Assessment	\$0.00
SIPC Assessment	\$0.00

Net Commission Earned	\$7,150.85
Year-to-date Earnings	\$240,443.57