



COMMISSION STATEMENT

October 08, 2018

KURT GRUENEWALD
2108 Genesee St.
Utica, NY 13502

BROKER #: A77
BRANCH #01047 - 47 - GRIFFITH

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: ALTERNATIVE INVESTMENTS</u>								
09/04/2018	***-**-382I - SATTERLY, NEIL	GWG L BOND - 7 YR BUY 10 Units @1000.0000	10,000.00	600.00	0.00	600.00	0.0	0.00
09/04/2018	***-**-382I - SATTERLY, NEIL	GWG L BOND - 3YR BUY 10 Units @1000.0000	10,000.00	500.00	0.00	500.00	0.0	0.00
* ALTERNATIVE INVESTMENTS SUBTOTAL *			\$20,000.00	\$1,100.00	\$0.00	\$1,100.00		\$0.00
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
10/01/2018	***-**-05IN - GATES, ROGER ACCOUNT #: LSR012771	AMERICAN FUNDS MORTGAGE FD CL C BUY 2575 Units @9.7100	25,000.00	268.00	18.00	250.00	0.0	0.00
10/01/2018	***-**-0802 - RHYMESTINE, ACCOUNT #: LSR012677	AMERICAN GLOBAL BALANCED CL C BUY 469 Units @31.9500	15,000.01	168.00	18.00	150.00	0.0	0.00
10/01/2018	***-**-0802 - RHYMESTINE, ACCOUNT #: LSR012677	FUNDAMENTAL INVESTORS-C BUY 153 Units @65.1700	10,000.01	118.00	18.00	100.00	0.0	0.00
09/24/2018	***-**-06IN - SATTERLY, ACCOUNT #: 08191336006	MFS 08191336006 BUY 3 Units @32.5800	100.00	1.00	0.00	1.00	0.0	0.00
09/17/2018	***-**-53RI - FALCHI, VALERIE ACCOUNT #: 08191172002	MFS GLOBAL TOTAL RETURN FUND-B BUY 4 Units @18.1800	75.00	3.00	0.00	3.00	0.0	0.00
09/20/2018	***-**-7617 - ESCHE, BEVERLY ACCOUNT #: 08191154979	MFS GLOBAL TOTAL RETURN FUND-B BUY 3 Units @18.3300	50.00	2.00	0.00	2.00	0.0	0.00
09/25/2018	***-**-094I - KATRENA L ACCOUNT #: 08191140345	MFS GLOBAL TOTAL RETURN FUND-B BUY 3 Units @18.2400	50.00	2.00	0.00	2.00	0.0	0.00
09/20/2018	***-**-7617 - ESCHE, BEVERLY ACCOUNT #: 08191154979	MFS INTERNATIONAL NEW DISCOVERY FUN BUY 1 Units @34.1900	50.00	2.00	0.00	2.00	0.0	0.00
10/02/2018	***-**-861I - SANGER, LAWRENCE ACCOUNT #: LSR011095	MFS INTERNATIONAL NEW DISCOVERY FUN SELL 114 Units @34.9100	3,977.40	19.99	18.00	1.99	0.0	0.00
09/17/2018	***-**-213I - GRUENEWALD, ACCOUNT #: 08190131132	MFS NEW DISCOVERY FUND-B BUY 4 Units @26.4000	100.00	4.00	0.00	4.00	0.0	0.00
10/01/2018	***-**-0802 - RHYMESTINE, ACCOUNT #: LSR012677	MFS TECHNOLOGY CLASS C BUY 191 Units @39.3200	7,500.01	93.00	18.00	75.00	0.0	0.00
09/17/2018	***-**-213I - GRUENEWALD, ACCOUNT #: 08190131132	MFS TECHNOLOGY FUND-B BUY 3 Units @38.6600	100.00	4.00	0.00	4.00	0.0	0.00
09/20/2018	***-**-06IN - SATTERLY, ACCOUNT #: 08191173302	MFS TECHNOLOGY FUND-B BUY 1 Units @39.1600	50.00	2.00	0.00	2.00	0.0	0.00



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUNDS (continued)								
10/01/2018	***-**-53IN - EVANS, ANDREW	MFS TECHNOLOGY FUND-B	50.00	2.00	0.00	2.00	0.0	0.00
	ACCOUNT #: LSR011483	BUY 1 Units @39.4000						
09/17/2018	***-**-094I - CIRILLO, CARL	MFS UTILITIES FUND-B	35.00	1.40	0.00	1.40	0.0	0.00
	ACCOUNT #: 08190127967	BUY 2 Units @20.8000						
09/17/2018	***-**-606I - LEWIS, TAMARA	MFS UTILITIES FUND-B	50.00	2.00	0.00	2.00	0.0	0.00
	ACCOUNT #: 08191352846	BUY 2 Units @20.8000						
09/20/2018	***-**-7617 - ESCHE, BEVERLY	MFS UTILITIES FUND-B	50.00	2.00	0.00	2.00	0.0	0.00
	ACCOUNT #: 08191154979	BUY 2 Units @20.7000						
10/01/2018	***-**-53IN - EVANS, ANDREW	MFS UTILITIES FUND-B	100.00	4.00	0.00	4.00	0.0	0.00
	ACCOUNT #: LSR011483	BUY 5 Units @20.4800						
10/01/2018	***-**-0802 - RHYMESTINE,	OPPENHEIMER RISING DIVIDENDS FUND C	7,500.01	93.00	18.00	75.00	0.0	0.00
	ACCOUNT #: LSR012677	BUY 423 Units @17.7100						
10/02/2018	***-**-861I - SANGER, LAWRENCE	PUTNAM UTILITIES GROWTH AND INCOME	1,499.99	19.99	18.00	1.99	0.0	0.00
	ACCOUNT #: LSR011095	SELL 111 Units @13.5600						
10/02/2018	***-**-861I - SANGER, LAWRENCE	REAL ESTATE FUND A	2,200.00	19.99	18.00	1.99	0.0	0.00
	ACCOUNT #: LSR011095	SELL 90 Units @24.4100						
10/03/2018	***-**-861I - SANGER, LAWRENCE	REAL ESTATE FUND A	2,499.99	18.00	18.00	0.00	0.0	0.00
	ACCOUNT #: LSR011095	SELL 103 Units @24.1800						
10/01/2018	***-**-959I - FRANZ, PAUL	RESOURCE CREDIT INCOME FUND C	15,000.00	168.00	18.00	150.00	0.0	0.00
	ACCOUNT #: LSR010959	BUY 1337 Units @11.2200						
10/03/2018	***-**-861I - SANGER, LAWRENCE	RESOURCE CREDIT INCOME FUND C	6,000.00	60.00	18.00	42.00	0.0	0.00
	ACCOUNT #: LSR011095	BUY 535 Units @11.2200						
10/01/2018	***-**-959I - FRANZ, PAUL	RESOURCE REAL ESTATE-NFS	14,000.00	158.00	18.00	140.00	0.0	0.00
	ACCOUNT #: LSR010959	BUY 1347 Units @10.3900						
10/02/2018	***-**-861I - SANGER, LAWRENCE	RISING DIVIDENDS FUND A	1,100.00	19.99	18.00	1.99	0.0	0.00
	ACCOUNT #: LSR011095	SELL 52 Units @20.9600						
* MUTUAL FUNDS SUBTOTAL *			\$112,137.42	\$1,255.36	\$234.00	\$1,021.36		\$0.00



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<u>BROKER TRANSACTIONS (continued)</u>								
<u>PRODUCT CATEGORY: STOCKS</u>								
10/01/2018	***-**-05IN - GATES, ROGER ACCOUNT #: LSR012771	ANADARKO PETE CORP SELL 61 Units @68.7550	4,194.06	77.49	16.22	61.27	0.0	0.00
10/02/2018	***-**-614J - BUSHEY, MATTHEW ACCOUNT #: LSR011256	AT&T INC COM SELL 145 Units @33.8200	4,903.90	77.49	17.90	59.59	0.0	0.00
10/01/2018	***-**-366I - GRUENEWALD, ACCOUNT #: LSR010989	AURORA CANNABIS INC COM NPV ISIN #C BUY 50 Units @9.9550	497.75	23.00	18.00	5.00	0.0	0.00
10/02/2018	***-**-188I - BRADLEY, WAYNE ACCOUNT #: LSR012484	BERKSHIRE HATHAWAY INC DEL CL B NEW SELL 50 Units @215.2750	10,763.75	57.49	18.00	39.49	0.0	0.00
10/03/2018	***-**-05IN - GATES, ROGER ACCOUNT #: LSR012771	EXXON MOBIL CORP UNSOLICITED ORDER SELL 100 Units @86.7700	8,677.00	97.49	17.00	80.49	0.0	0.00
10/02/2018	***-**-31IO - JOSEPH, ANN ACCOUNT #: LSR012337	GENESIS HEALTHCARE INC CL A COM ISI BUY 1500 Units @1.2800	1,920.00	49.99	45.00	4.99	0.0	0.00
10/03/2018	***-**-930I - SANGER, KEVIN ACCOUNT #: LSR010941	GENESIS HEALTHCARE INC CL A COM ISI BUY 1100 Units @1.2800	1,408.00	49.99	37.00	12.99	0.0	0.00
10/01/2018	***-**-366I - GRUENEWALD, ACCOUNT #: LSR010989	LIBERTY HEALTH SCIENCES INC COM NPV BUY 500 Units @1.2530	626.50	25.00	18.00	7.00	0.0	0.00
10/01/2018	***-**-959J - FRANZ, PAUL ACCOUNT #: LSR010958	NATIONAL GRID SPON ADR EACH REP 5 O BUY 100 Units @51.6060	5,160.60	67.49	17.00	50.49	0.0	0.00
10/02/2018	***-**-614J - BUSHEY, MATTHEW ACCOUNT #: LSR011256	UNILEVER PLC ADS-EA REPR 1 ORD GPB0 SELL 67 Units @54.6900	3,664.23	57.49	16.34	41.15	0.0	0.00
* STOCKS SUBTOTAL *			\$41,815.79	\$582.92	\$220.46	\$362.46		\$0.00
<u>PRODUCT CATEGORY: VARIABLE ANNUITIES</u>								
10/01/2018	***-**-43IN - FRANZ, WAYNE ACCOUNT #: 1201785768	JACKSON NAT VA TRAILS 468511134 BUY 0 Units @0.0000	62,763.08	784.54	0.00	784.54	0.0	0.00
10/03/2018	***-**-43IN - FRANZ, WAYNE ACCOUNT #: 1201785768	JACKSON NAT VA TRAILS 468511134 BUY 0 Units @0.0000	37,775.62	472.20	0.00	472.20	0.0	0.00
* VARIABLE ANNUITIES SUBTOTAL *			\$100,538.70	\$1,256.74	\$0.00	\$1,256.74		\$0.00



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS								
09/30/2018	***-**-84IN - WARMUTH, ERIC	CAPITAL APPRECIATION A	0.00	5.75	0.00	5.75	0.0	0.00
	ACCOUNT #: 02703492687	BUY 0 Units @0.0000						
09/30/2018	***-**-65CL - GRUENEWALD, K,	CAPITAL APPRECIATION C	0.00	0.83	0.00	0.83	0.0	0.00
	ACCOUNT #: 03222414918	BUY 0 Units @0.0000						
09/30/2018	***-**-84IN - WARMUTH, ERIC	CAPITAL INCOME A	0.00	4.42	0.00	4.42	0.0	0.00
	ACCOUNT #: 03450098560	BUY 0 Units @0.0000						
09/30/2018	***-**-96IN - NESSIA, BONNIE	DISCOVERY FUND C	0.00	12.40	0.00	12.40	0.0	0.00
	ACCOUNT #: 05020467148	BUY 0 Units @0.0000						
09/30/2018	***-**-973I - LABAYEWSKI,	EQUITY INCOME FUND, INC. A	0.00	1.93	0.00	1.93	0.0	0.00
	ACCOUNT #: 08352638471	BUY 0 Units @0.0000						
09/30/2018	***-**-633J -	EQUITY INCOME FUND, INC. A	0.00	3.39	0.00	3.39	0.0	0.00
	ACCOUNT #: 08353229688	BUY 0 Units @0.0000						
09/30/2018	***-**-0767 - DOVI,	EQUITY INCOME FUND, INC. A	0.00	3.84	0.00	3.84	0.0	0.00
	ACCOUNT #: 08353253965	BUY 0 Units @0.0000						
09/30/2018	***-**-0069 - KRECIDLO,	EQUITY INCOME FUND, INC. A	0.00	2.75	0.00	2.75	0.0	0.00
	ACCOUNT #: 08353280112	BUY 0 Units @0.0000						
09/30/2018	***-**-391I - MASTRANGELO,	EQUITY INCOME FUND, INC. A	0.00	12.15	0.00	12.15	0.0	0.00
	ACCOUNT #: 08353280530	BUY 0 Units @0.0000						
09/30/2018	***-**-09IN - BATES, CHRISTINE	EQUITY INCOME FUND, INC. A	0.00	12.29	0.00	12.29	0.0	0.00
	ACCOUNT #: 08353313343	BUY 0 Units @0.0000						
09/30/2018	***-**-31IR - HARTZ, CLAUDIA	EQUITY INCOME FUND, INC. A	0.00	2.40	0.00	2.40	0.0	0.00
	ACCOUNT #: 08353346563	BUY 0 Units @0.0000						
09/30/2018	***-**-5375 - CARTER, LISA	EQUITY INCOME FUND, INC. A	0.00	2.20	0.00	2.20	0.0	0.00
	ACCOUNT #: 08353359136	BUY 0 Units @0.0000						
09/30/2018	***-**-78IN - FALES, JOAN	EQUITY INCOME FUND, INC. C	0.00	1.28	0.00	1.28	0.0	0.00
	ACCOUNT #: 08370484165	BUY 0 Units @0.0000						
09/30/2018	***-**-96IN - NESSIA, BONNIE	EQUITY INCOME FUND, INC. C	0.00	21.03	0.00	21.03	0.0	0.00
	ACCOUNT #: 08370494010	BUY 0 Units @0.0000						
09/30/2018	***-**-31IR - HARTZ, CLAUDIA	EQUITY INCOME FUND, INC. C	0.00	8.62	0.00	8.62	0.0	0.00
	ACCOUNT #: 08370502436	BUY 0 Units @0.0000						
09/30/2018	***-**-48JT - LEE, DARLENE	EQUITY INCOME FUND, INC. C	0.00	5.58	0.00	5.58	0.0	0.00
	ACCOUNT #: 08370750926	BUY 0 Units @0.0000						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
09/30/2018	***-**-0069 - KRECIDLO, ACCOUNT #: 03307873373	GLOBAL FUND A BUY 0 Units @0.0000	0.00	3.85	0.00	3.85	0.0	0.00
09/30/2018	***-**-960I - MASTRANGELO, ACCOUNT #: 02158012400	GLOBAL OPPORTUNITIES A BUY 0 Units @0.0000	0.00	1.93	0.00	1.93	0.0	0.00
09/30/2018	***-**-1491 - GUNN, EDWARD ACCOUNT #: 02158058303	GLOBAL OPPORTUNITIES A BUY 0 Units @0.0000	0.00	5.56	0.00	5.56	0.0	0.00
09/30/2018	***-**-09IN - BATES, CHRISTINE ACCOUNT #: 02158069743	GLOBAL OPPORTUNITIES A BUY 0 Units @0.0000	0.00	17.16	0.00	17.16	0.0	0.00
09/30/2018	***-**-65CL - GRUENEWALD, K, ACCOUNT #: 02171825219	GLOBAL OPPORTUNITIES FUND C BUY 0 Units @0.0000	0.00	1.06	0.00	1.06	0.0	0.00
09/30/2018	***-**-84IN - WARMUTH, ERIC ACCOUNT #: 04103537149	GOLD & SPECIAL MINERALS A BUY 0 Units @0.0000	0.00	1.34	0.00	1.34	0.0	0.00
09/30/2018	***-**-237I - MCCLUSKY, MARK ACCOUNT #: 04104653792	GOLD & SPECIAL MINERALS A BUY 0 Units @0.0000	0.00	0.31	0.00	0.31	0.0	0.00
09/30/2018	***-**-3749 - DEPEYSTER, ACCOUNT #: 04104658049	GOLD & SPECIAL MINERALS A BUY 0 Units @0.0000	0.00	0.20	0.00	0.20	0.0	0.00
09/30/2018	***-**-0767 - DOVI, ACCOUNT #: 04104666585	GOLD & SPECIAL MINERALS A BUY 0 Units @0.0000	0.00	0.16	0.00	0.16	0.0	0.00
09/30/2018	***-**-0069 - KRECIDLO, ACCOUNT #: 04104675077	GOLD & SPECIAL MINERALS A BUY 0 Units @0.0000	0.00	0.30	0.00	0.30	0.0	0.00
09/30/2018	***-**-391I - MASTRANGELO, ACCOUNT #: 04104675297	GOLD & SPECIAL MINERALS A BUY 0 Units @0.0000	0.00	0.60	0.00	0.60	0.0	0.00
09/30/2018	***-**-1491 - GUNN, EDWARD ACCOUNT #: 04104683217	GOLD & SPECIAL MINERALS A BUY 0 Units @0.0000	0.00	0.16	0.00	0.16	0.0	0.00
09/30/2018	***-**-09IN - BATES, CHRISTINE ACCOUNT #: 04104685582	GOLD & SPECIAL MINERALS A BUY 0 Units @0.0000	0.00	1.12	0.00	1.12	0.0	0.00
09/30/2018	***-**-2603 - MASTRANGELO, ACCOUNT #: 04104688728	GOLD & SPECIAL MINERALS A BUY 0 Units @0.0000	0.00	0.21	0.00	0.21	0.0	0.00
09/30/2018	***-**-31IR - HARTZ, CLAUDIA ACCOUNT #: 04104696516	GOLD & SPECIAL MINERALS A BUY 0 Units @0.0000	0.00	0.42	0.00	0.42	0.0	0.00
09/30/2018	***-**-5375 - CARTER, LISA ACCOUNT #: 04104700355	GOLD & SPECIAL MINERALS A BUY 0 Units @0.0000	0.00	0.23	0.00	0.23	0.0	0.00



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
09/30/2018	***-**-0767 - DOVI, ACCOUNT #: 08810326811	INTERNATIONAL BOND A BUY 0 Units @0.0000	0.00	1.34	0.00	1.34	0.0	0.00
09/30/2018	***-**-960I - MASTRANGELO, ACCOUNT #: 08810337228	INTERNATIONAL BOND A BUY 0 Units @0.0000	0.00	0.38	0.00	0.38	0.0	0.00
09/30/2018	***-**-1491 - GUNN, EDWARD ACCOUNT #: 08810347513	INTERNATIONAL BOND A BUY 0 Units @0.0000	0.00	1.53	0.00	1.53	0.0	0.00
09/30/2018	***-**-09IN - BATES, CHRISTINE ACCOUNT #: 08810351011	INTERNATIONAL BOND A BUY 0 Units @0.0000	0.00	4.18	0.00	4.18	0.0	0.00
09/30/2018	***-**-2603 - MASTRANGELO, ACCOUNT #: 08810354960	INTERNATIONAL BOND A BUY 0 Units @0.0000	0.00	0.67	0.00	0.67	0.0	0.00
09/30/2018	***-**-5375 - CARTER, LISA ACCOUNT #: 08810370888	INTERNATIONAL BOND A BUY 0 Units @0.0000	0.00	0.97	0.00	0.97	0.0	0.00
09/30/2018	***-**-391I - MASTRANGELO, ACCOUNT #: 08810370954	INTERNATIONAL BOND A BUY 0 Units @0.0000	0.00	4.12	0.00	4.12	0.0	0.00
09/30/2018	***-**-84IN - WARMUTH, ERIC ACCOUNT #: 08250106216	INTERNATIONAL GROWTH FUND A BUY 0 Units @0.0000	0.00	5.98	0.00	5.98	0.0	0.00
09/30/2018	***-**-69IN - EVANS, PAUL ACCOUNT #: 08152454089	INTERNATIONAL SMALL COMPANY A BUY 0 Units @0.0000	0.00	1.81	0.00	1.81	0.0	0.00
09/30/2018	***-**-31IO - HARTZ, CLAUDIA ACCOUNT #: 08152458467	INTERNATIONAL SMALL COMPANY A BUY 0 Units @0.0000	0.00	1.78	0.00	1.78	0.0	0.00
09/30/2018	***-**-1944 - BEHA, JAMES ACCOUNT #: 08571144451	LIMITED-TERM GOVERNMENT FUND C BUY 0 Units @0.0000	0.00	2.78	0.00	2.78	0.0	0.00
09/30/2018	***-**-84IN - WARMUTH, ERIC ACCOUNT #: 07005442085	MAIN STREET FUND A BUY 0 Units @0.0000	0.00	9.19	0.00	9.19	0.0	0.00
09/30/2018	***-**-960I - MASTRANGELO, ACCOUNT #: 07006358641	MAIN STREET FUND A BUY 0 Units @0.0000	0.00	1.78	0.00	1.78	0.0	0.00
09/30/2018	***-**-1491 - GUNN, EDWARD ACCOUNT #: 07006432891	MAIN STREET FUND A BUY 0 Units @0.0000	0.00	6.78	0.00	6.78	0.0	0.00
09/17/2018	***-**-213I - GRUENEWALD, ACCOUNT #: 08190131132	MFS GLOBAL NEW DISCOVERY FUND CL B BUY 5 Units @20.0000	100.00	4.00	0.00	4.00	0.0	0.00
09/30/2018	***-**-633J - ACCOUNT #: 05502871176	OPP PORT SERIES: ACTIVE ALLOC A BUY 0 Units @0.0000	0.00	3.45	0.00	3.45	0.0	0.00



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
09/30/2018	***-**-524I - SCALISE, JOSEPH	OPP STEELPATH MLP ALPHA+ FND C	0.00	0.00	0.00	0.00	0.0	0.00
	ACCOUNT #: 00100019119	BUY 0 Units @0.0000						
09/30/2018	***-**-13IN - BLISS, PATRICK	OPPENHEIMER ACTIVE ALLOCATION FUND	0.00	12.38	0.00	12.38	0.0	0.00
	ACCOUNT #: 05521022681	BUY 0 Units @0.0000						
09/30/2018	***-**-775I - BLISS, APRIL	OPPENHEIMER ACTIVE ALLOCATION FUND	0.00	14.68	0.00	14.68	0.0	0.00
	ACCOUNT #: 05521022692	BUY 0 Units @0.0000						
09/30/2018	***-**-48JT - LEE, DARLENE	OPPENHEIMER ACTIVE ALLOCATION FUND	0.00	5.69	0.00	5.69	0.0	0.00
	ACCOUNT #: 05521043603	BUY 0 Units @0.0000						
09/30/2018	***-**-1944 - BEHA, JAMES	OPPENHEIMER DEV MARKETS FD CLASS C	0.00	5.33	0.00	5.33	0.0	0.00
	ACCOUNT #: 07871306525	BUY 0 Units @0.0000						
09/30/2018	***-**-524I - SCALISE, JOSEPH	OPPENHEIMER DEV MARKETS FD CLASS C	0.00	5.24	0.00	5.24	0.0	0.00
	ACCOUNT #: 07872061521	BUY 0 Units @0.0000						
09/30/2018	***-**-31IR - HARTZ, CLAUDIA	OPPENHEIMER DEV MARKETS FD CLASS C	0.00	2.90	0.00	2.90	0.0	0.00
	ACCOUNT #: 07872093014	BUY 0 Units @0.0000						
09/30/2018	***-**-3749 - DEPEYSTER,	OPPENHEIMER DEVELOPING MARKETS CLAS	0.00	0.75	0.00	0.75	0.0	0.00
	ACCOUNT #: 07862860001	BUY 0 Units @0.0000						
09/30/2018	***-**-0767 - DOVI,	OPPENHEIMER DEVELOPING MARKETS CLAS	0.00	2.74	0.00	2.74	0.0	0.00
	ACCOUNT #: 07862886753	BUY 0 Units @0.0000						
09/30/2018	***-**-1491 - GUNN, EDWARD	OPPENHEIMER DEVELOPING MARKETS CLAS	0.00	2.58	0.00	2.58	0.0	0.00
	ACCOUNT #: 07862938926	BUY 0 Units @0.0000						
09/30/2018	***-**-09IN - BATES, CHRISTINE	OPPENHEIMER DEVELOPING MARKETS CLAS	0.00	10.86	0.00	10.86	0.0	0.00
	ACCOUNT #: 07862942457	BUY 0 Units @0.0000						
09/30/2018	***-**-2603 - MASTRANGELO,	OPPENHEIMER DEVELOPING MARKETS CLAS	0.00	0.86	0.00	0.86	0.0	0.00
	ACCOUNT #: 07862947055	BUY 0 Units @0.0000						
09/30/2018	***-**-524I - SCALISE, JOSEPH	OPPENHEIMER DEVELOPING MARKETS CLAS	0.00	1.19	0.00	1.19	0.0	0.00
	ACCOUNT #: 07862950586	BUY 0 Units @0.0000						
09/30/2018	***-**-69IN - EVANS, PAUL	OPPENHEIMER DEVELOPING MARKETS CLAS	0.00	1.31	0.00	1.31	0.0	0.00
	ACCOUNT #: 07862954403	BUY 0 Units @0.0000						
09/30/2018	***-**-31IR - HARTZ, CLAUDIA	OPPENHEIMER DEVELOPING MARKETS CLAS	0.00	1.76	0.00	1.76	0.0	0.00
	ACCOUNT #: 07862957439	BUY 0 Units @0.0000						
09/30/2018	***-**-5375 - CARTER, LISA	OPPENHEIMER DEVELOPING MARKETS CLAS	0.00	1.22	0.00	1.22	0.0	0.00
	ACCOUNT #: 07862962213	BUY 0 Units @0.0000						



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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
09/30/2018	***-**-0069 - KRECIDLO, ACCOUNT #: 05005738601	OPPENHEIMER DISCOVERY CLASS A BUY 0 Units @0.0000	0.00	2.06	0.00	2.06	0.0	0.00
09/30/2018	***-**-391I - MASTRANGELO, ACCOUNT #: 05005977620	OPPENHEIMER DISCOVERY CLASS A BUY 0 Units @0.0000	0.00	7.94	0.00	7.94	0.0	0.00
09/30/2018	***-**-1491 - GUNN, EDWARD ACCOUNT #: 05005989148	OPPENHEIMER DISCOVERY CLASS A BUY 0 Units @0.0000	0.00	3.21	0.00	3.21	0.0	0.00
09/30/2018	***-**-48JT - LEE, DARLENE ACCOUNT #: 00100021715	OPPENHEIMER GLBL REAL ESTATE FUND C BUY 0 Units @0.0000	0.00	2.85	0.00	2.85	0.0	0.00
09/30/2018	***-**-973I - LABAYEWSKI, ACCOUNT #: 06870116919	OPPENHEIMER GLOBAL VALUE FUND CL A BUY 0 Units @0.0000	0.00	1.82	0.00	1.82	0.0	0.00
09/30/2018	***-**-1944 - BEHA, JAMES ACCOUNT #: 04120615032	OPPENHEIMER GOLD & SPECIAL MINERALS BUY 0 Units @0.0000	0.00	1.37	0.00	1.37	0.0	0.00
09/30/2018	***-**-31IR - HARTZ, CLAUDIA ACCOUNT #: 04120821381	OPPENHEIMER GOLD & SPECIAL MINERALS BUY 0 Units @0.0000	0.00	0.28	0.00	0.28	0.0	0.00
09/30/2018	***-**-96IN - NESSIA, BONNIE ACCOUNT #: 08822034824	OPPENHEIMER INT'L BOND CLASS C BUY 0 Units @0.0000	0.00	5.01	0.00	5.01	0.0	0.00
09/30/2018	***-**-973I - LABAYEWSKI, ACCOUNT #: 01952877039	OPPENHEIMER INTERNATIONAL DIVERSIFI BUY 0 Units @0.0000	0.00	2.17	0.00	2.17	0.0	0.00
09/30/2018	***-**-633J - ACCOUNT #: 01953330426	OPPENHEIMER INTERNATIONAL DIVERSIFI BUY 0 Units @0.0000	0.00	3.41	0.00	3.41	0.0	0.00
09/30/2018	***-**-48JT - LEE, DARLENE ACCOUNT #: 01971019612	OPPENHEIMER INTERNATIONAL DIVERSIFI BUY 0 Units @0.0000	0.00	5.91	0.00	5.91	0.0	0.00
09/30/2018	***-**-96IN - NESSIA, BONNIE ACCOUNT #: 08170371459	OPPENHEIMER INTERNATIONAL SMALL COM BUY 0 Units @0.0000	0.00	20.22	0.00	20.22	0.0	0.00
09/30/2018	***-**-31IR - HARTZ, CLAUDIA ACCOUNT #: 08170372680	OPPENHEIMER INTERNATIONAL SMALL COM BUY 0 Units @0.0000	0.00	11.85	0.00	11.85	0.0	0.00
09/30/2018	***-**-31IO - WILLIAMSON, FBO ACCOUNT #: 08170406615	OPPENHEIMER INTERNATIONAL SMALL COM BUY 0 Units @0.0000	0.00	3.90	0.00	3.90	0.0	0.00
09/30/2018	***-**-0767 - DOVI, ACCOUNT #: 08477584335	OPPENHEIMER MAIN STREET SMALL CAP F BUY 0 Units @0.0000	0.00	0.72	0.00	0.72	0.0	0.00
09/30/2018	***-**-973I - LABAYEWSKI, ACCOUNT #: 08477272342	OPPENHEIMER MAIN STREET SMALL CAP F BUY 0 Units @0.0000	0.00	1.50	0.00	1.50	0.0	0.00



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
09/30/2018	***-**-0767 - DOVI, ACCOUNT #: 08477584467	OPPENHEIMER MAIN STREET SMALL CAP F BUY 0 Units @0.0000	0.00	4.01	0.00	4.01	0.0	0.00
09/30/2018	***-**-391I - MASTRANGELO, ACCOUNT #: 08477604212	OPPENHEIMER MAIN STREET SMALL CAP F BUY 0 Units @0.0000	0.00	11.74	0.00	11.74	0.0	0.00
09/30/2018	***-**-31IR - HARTZ, CLAUDIA ACCOUNT #: 08477648025	OPPENHEIMER MAIN STREET SMALL CAP F BUY 0 Units @0.0000	0.00	2.68	0.00	2.68	0.0	0.00
09/30/2018	***-**-5375 - CARTER, LISA ACCOUNT #: 08477656715	OPPENHEIMER MAIN STREET SMALL CAP F BUY 0 Units @0.0000	0.00	2.44	0.00	2.44	0.0	0.00
09/30/2018	***-**-31IR - HARTZ, CLAUDIA ACCOUNT #: 08491519782	OPPENHEIMER MAIN STREET SMALL CAP F BUY 0 Units @0.0000	0.00	9.77	0.00	9.77	0.0	0.00
09/30/2018	***-**-1944 - BEHA, JAMES ACCOUNT #: 02270678062	OPPENHEIMER RISING DIVIDENDS FUND C BUY 0 Units @0.0000	0.00	17.27	0.00	17.27	0.0	0.00
09/30/2018	***-**-78IN - FALES, JOAN ACCOUNT #: 02270934868	OPPENHEIMER RISING DIVIDENDS FUND C BUY 0 Units @0.0000	0.00	2.58	0.00	2.58	0.0	0.00
09/30/2018	***-**-524I - SCALISE, JOSEPH ACCOUNT #: 02270938278	OPPENHEIMER RISING DIVIDENDS FUND C BUY 0 Units @0.0000	0.00	7.67	0.00	7.67	0.0	0.00
09/30/2018	***-**-31IR - HARTZ, CLAUDIA ACCOUNT #: 02270952072	OPPENHEIMER RISING DIVIDENDS FUND C BUY 0 Units @0.0000	0.00	13.34	0.00	13.34	0.0	0.00
09/30/2018	***-**-96IN - NESSIA, BONNIE ACCOUNT #: 02271140183	OPPENHEIMER RISING DIVIDENDS FUND C BUY 0 Units @0.0000	0.00	2.85	0.00	2.85	0.0	0.00
09/30/2018	***-**-69IN - EVANS, PAUL ACCOUNT #: 02913850561	OPPENHEIMER SENIOR FLOATING RATE CL BUY 0 Units @0.0000	0.00	1.25	0.00	1.25	0.0	0.00
09/30/2018	***-**-84IN - WARMUTH, ERIC ACCOUNT #: 02510094556	OPPENHEIMER SMALL & MID CAP VALUE F BUY 0 Units @0.0000	0.00	11.06	0.00	11.06	0.0	0.00
09/30/2018	***-**-237I - MCCLUSKY, MARK ACCOUNT #: 02514976004	OPPENHEIMER SMALL & MID CAP VALUE F BUY 0 Units @0.0000	0.00	2.90	0.00	2.90	0.0	0.00
09/30/2018	***-**-3749 - DEPEYSTER, ACCOUNT #: 02514983539	OPPENHEIMER SMALL & MID CAP VALUE F BUY 0 Units @0.0000	0.00	1.22	0.00	1.22	0.0	0.00
09/30/2018	***-**-633J - ACCOUNT #: 02514987422	OPPENHEIMER SMALL & MID CAP VALUE F BUY 0 Units @0.0000	0.00	3.43	0.00	3.43	0.0	0.00
09/30/2018	***-**-0767 - DOVI, ACCOUNT #: 02515003240	OPPENHEIMER SMALL & MID CAP VALUE F BUY 0 Units @0.0000	0.00	1.19	0.00	1.19	0.0	0.00



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
09/30/2018	***-**-0069 - KRECIDLO, ACCOUNT #: 02515019080	OPPENHEIMER SMALL & MID CAP VALUE F BUY 0 Units @0.0000	0.00	3.66	0.00	3.66	0.0	0.00
09/30/2018	***-**-960I - MASTRANGELO, ACCOUNT #: 02515019168	OPPENHEIMER SMALL & MID CAP VALUE F BUY 0 Units @0.0000	0.00	1.00	0.00	1.00	0.0	0.00
09/30/2018	***-**-1491 - GUNN, EDWARD ACCOUNT #: 02515033226	OPPENHEIMER SMALL & MID CAP VALUE F BUY 0 Units @0.0000	0.00	3.83	0.00	3.83	0.0	0.00
09/30/2018	***-**-09IN - BATES, CHRISTINE ACCOUNT #: 02515036889	OPPENHEIMER SMALL & MID CAP VALUE F BUY 0 Units @0.0000	0.00	8.50	0.00	8.50	0.0	0.00
09/30/2018	***-**-2603 - MASTRANGELO, ACCOUNT #: 02515041168	OPPENHEIMER SMALL & MID CAP VALUE F BUY 0 Units @0.0000	0.00	1.29	0.00	1.29	0.0	0.00
09/30/2018	***-**-69IN - EVANS, PAUL ACCOUNT #: 02515049715	OPPENHEIMER SMALL & MID CAP VALUE F BUY 0 Units @0.0000	0.00	1.30	0.00	1.30	0.0	0.00
09/30/2018	***-**-5375 - CARTER, LISA ACCOUNT #: 02515060110	OPPENHEIMER SMALL & MID CAP VALUE F BUY 0 Units @0.0000	0.00	1.77	0.00	1.77	0.0	0.00
09/30/2018	***-**-973I - LABAYEWSKI, ACCOUNT #: 00100661541	OPPENHEIMER STEELPATH MLP INC.FND C BUY 0 Units @0.0000	0.00	0.92	0.00	0.92	0.0	0.00
09/30/2018	***-**-391I - MASTRANGELO, ACCOUNT #: 02307298712	OPPENHEIMER STRATEGIC INCOME FD CL BUY 0 Units @0.0000	0.00	6.01	0.00	6.01	0.0	0.00
10/08/2018	***-**-2687 - ACCOUNT #: 07006234286	OPPENHEIMER TRAILS BUY 0 Units @0.0000	0.00	5.02	0.00	5.02	0.0	0.00
09/30/2018	***-**-0767 - DOVI, ACCOUNT #: 02203626810	OPPENHEIMER U.S. GOVT TR CLASS A BUY 0 Units @0.0000	0.00	1.11	0.00	1.11	0.0	0.00
09/30/2018	***-**-524I - SCALISE, JOSEPH ACCOUNT #: 02203662824	OPPENHEIMER U.S. GOVT TR CLASS A BUY 0 Units @0.0000	0.00	0.65	0.00	0.65	0.0	0.00
09/30/2018	***-**-5375 - CARTER, LISA ACCOUNT #: 02203678653	OPPENHEIMER U.S. GOVT TR CLASS A BUY 0 Units @0.0000	0.00	0.61	0.00	0.61	0.0	0.00
09/30/2018	***-**-31IO - WILLIAMSON, FBO ACCOUNT #: 00100355609	OPPENHEIMERSTEELPATH MLP INCOME CL BUY 0 Units @0.0000	0.00	2.95	0.00	2.95	0.0	0.00
09/30/2018	***-**-31IO - WILLIAMSON, FBO ACCOUNT #: 05420233365	PORT SERIES: CONS INV C BUY 0 Units @0.0000	0.00	4.25	0.00	4.25	0.0	0.00
09/30/2018	***-**-0069 - KRECIDLO, ACCOUNT #: 02577505531	QUEST BALANCED A BUY 0 Units @0.0000	0.00	1.51	0.00	1.51	0.0	0.00



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
09/30/2018	***-**-69IN - EVANS, PAUL	QUEST BALANCED A	0.00	0.92	0.00	0.92	0.0	0.00
	ACCOUNT #: 02577810451	BUY 0 Units @0.0000						
09/30/2018	***-**-78IN - FALES, JOAN	QUEST BALANCED FUND C	0.00	2.07	0.00	2.07	0.0	0.00
	ACCOUNT #: 02592293104	BUY 0 Units @0.0000						
09/30/2018	***-**-84IN - WARMUTH, ERIC	QUEST INTERNATIONAL VALUE FUND, INC	0.00	6.19	0.00	6.19	0.0	0.00
	ACCOUNT #: 02540085811	BUY 0 Units @0.0000						
09/30/2018	***-**-84IN - WARMUTH, ERIC	QUEST OPPORTUNITY VALUE A	0.00	8.40	0.00	8.40	0.0	0.00
	ACCOUNT #: 02361010152	BUY 0 Units @0.0000						
09/30/2018	***-**-973I - LABAYEWSKI,	REAL ESTATE FUND A	0.00	0.51	0.00	0.51	0.0	0.00
	ACCOUNT #: 05901046408	BUY 0 Units @0.0000						
09/30/2018	***-**-237I - MCCLUSKY, MARK	REAL ESTATE FUND A	0.00	2.77	0.00	2.77	0.0	0.00
	ACCOUNT #: 05901256948	BUY 0 Units @0.0000						
09/30/2018	***-**-3749 - DEPEYSTER,	REAL ESTATE FUND A	0.00	1.19	0.00	1.19	0.0	0.00
	ACCOUNT #: 05901261997	BUY 0 Units @0.0000						
09/30/2018	***-**-0767 - DOVI,	REAL ESTATE FUND A	0.00	1.08	0.00	1.08	0.0	0.00
	ACCOUNT #: 05901273712	BUY 0 Units @0.0000						
09/30/2018	***-**-0069 - KRECIDLO,	REAL ESTATE FUND A	0.00	1.35	0.00	1.35	0.0	0.00
	ACCOUNT #: 05901284228	BUY 0 Units @0.0000						
09/30/2018	***-**-960I - MASTRANGELO,	REAL ESTATE FUND A	0.00	0.63	0.00	0.63	0.0	0.00
	ACCOUNT #: 05901284382	BUY 0 Units @0.0000						
09/30/2018	***-**-1491 - GUNN, EDWARD	REAL ESTATE FUND A	0.00	1.18	0.00	1.18	0.0	0.00
	ACCOUNT #: 05901293732	BUY 0 Units @0.0000						
09/30/2018	***-**-09IN - BATES, CHRISTINE	REAL ESTATE FUND A	0.00	5.15	0.00	5.15	0.0	0.00
	ACCOUNT #: 05901296141	BUY 0 Units @0.0000						
09/30/2018	***-**-2603 - MASTRANGELO,	REAL ESTATE FUND A	0.00	1.14	0.00	1.14	0.0	0.00
	ACCOUNT #: 05901298583	BUY 0 Units @0.0000						
09/30/2018	***-**-69IN - EVANS, PAUL	REAL ESTATE FUND A	0.00	1.14	0.00	1.14	0.0	0.00
	ACCOUNT #: 05901303665	BUY 0 Units @0.0000						
09/30/2018	***-**-5375 - CARTER, LISA	REAL ESTATE FUND A	0.00	1.01	0.00	1.01	0.0	0.00
	ACCOUNT #: 05901309693	BUY 0 Units @0.0000						
09/30/2018	***-**-391I - MASTRANGELO,	REAL ESTATE FUND A	0.00	4.28	0.00	4.28	0.0	0.00
	ACCOUNT #: 05901309748	BUY 0 Units @0.0000						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
09/30/2018	***-**-1944 - BEHA, JAMES	REAL ESTATE FUND C	0.00	5.59	0.00	5.59	0.0	0.00
	ACCOUNT #: 05920222255	BUY 0 Units @0.0000						
09/30/2018	***-**-78IN - FALES, JOAN	REAL ESTATE FUND C	0.00	1.18	0.00	1.18	0.0	0.00
	ACCOUNT #: 05920299178	BUY 0 Units @0.0000						
09/30/2018	***-**-84IN - WARMUTH, ERIC	RISING DIVIDENDS FUND A	0.00	3.74	0.00	3.74	0.0	0.00
	ACCOUNT #: 02252765829	BUY 0 Units @0.0000						
09/30/2018	***-**-973I - LABAYEWSKI,	RISING DIVIDENDS FUND A	0.00	1.45	0.00	1.45	0.0	0.00
	ACCOUNT #: 02254172036	BUY 0 Units @0.0000						
09/30/2018	***-**-237I - MCCLUSKY, MARK	RISING DIVIDENDS FUND A	0.00	3.60	0.00	3.60	0.0	0.00
	ACCOUNT #: 02254670435	BUY 0 Units @0.0000						
09/30/2018	***-**-3749 - DEPEYSTER,	RISING DIVIDENDS FUND A	0.00	1.29	0.00	1.29	0.0	0.00
	ACCOUNT #: 02254680236	BUY 0 Units @0.0000						
09/30/2018	***-**-0767 - DOVI,	RISING DIVIDENDS FUND A	0.00	1.64	0.00	1.64	0.0	0.00
	ACCOUNT #: 02254705239	BUY 0 Units @0.0000						
09/30/2018	***-**-0069 - KRECIDLO,	RISING DIVIDENDS FUND A	0.00	1.49	0.00	1.49	0.0	0.00
	ACCOUNT #: 02254728647	BUY 0 Units @0.0000						
09/30/2018	***-**-960I - MASTRANGELO,	RISING DIVIDENDS FUND A	0.00	1.43	0.00	1.43	0.0	0.00
	ACCOUNT #: 02254729032	BUY 0 Units @0.0000						
09/30/2018	***-**-09IN - BATES, CHRISTINE	RISING DIVIDENDS FUND A	0.00	12.65	0.00	12.65	0.0	0.00
	ACCOUNT #: 02254763429	BUY 0 Units @0.0000						
09/30/2018	***-**-2603 - MASTRANGELO,	RISING DIVIDENDS FUND A	0.00	1.29	0.00	1.29	0.0	0.00
	ACCOUNT #: 02254772636	BUY 0 Units @0.0000						
09/30/2018	***-**-524I - SCALISE, JOSEPH	RISING DIVIDENDS FUND A	0.00	2.83	0.00	2.83	0.0	0.00
	ACCOUNT #: 02254781183	BUY 0 Units @0.0000						
09/30/2018	***-**-391I - MASTRANGELO,	RISING DIVIDENDS FUND A	0.00	12.86	0.00	12.86	0.0	0.00
	ACCOUNT #: 02254799399	BUY 0 Units @0.0000						
09/30/2018	***-**-31IR - HARTZ, CLAUDIA	RISING DIVIDENDS FUND A	0.00	4.28	0.00	4.28	0.0	0.00
	ACCOUNT #: 02254799421	BUY 0 Units @0.0000						
09/30/2018	***-**-5375 - CARTER, LISA	RISING DIVIDENDS FUND A	0.00	2.83	0.00	2.83	0.0	0.00
	ACCOUNT #: 02254813776	BUY 0 Units @0.0000						
09/30/2018	***-**-53RI - FALCHI, VALERIE	ROCH. LIMITED TERM NEW YORK MUNICIP	0.00	0.74	0.00	0.74	0.0	0.00
	ACCOUNT #: 03551357917	BUY 0 Units @0.0000						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
09/30/2018	***-**-3749 - DEPEYSTER, ACCOUNT #: 03551386715	ROCH. LIMITED TERM NEW YORK MUNICI BUY 0 Units @0.0000	0.00	0.71	0.00	0.71	0.0	0.00
09/30/2018	***-**-78IN - FALES, JOAN ACCOUNT #: 03570632181	ROCH. LIMITED TERM NEW YORK MUNICI BUY 0 Units @0.0000	0.00	1.55	0.00	1.55	0.0	0.00
09/30/2018	***-**-78IN - FALES, JOAN ACCOUNT #: 02931809830	SENIOR FLOATING RATE FUND C BUY 0 Units @0.0000	0.00	1.34	0.00	1.34	0.0	0.00
09/30/2018	***-**-96IN - NESSIA, BONNIE ACCOUNT #: 02931827254	SENIOR FLOATING RATE FUND C BUY 0 Units @0.0000	0.00	6.67	0.00	6.67	0.0	0.00
09/30/2018	***-**-31IO - WILLIAMSON, FBO ACCOUNT #: 07230230516	SMALL & MID-CAP GRWTH FND C BUY 0 Units @0.0000	0.00	4.01	0.00	4.01	0.0	0.00
09/30/2018	***-**-1944 - BEHA, JAMES ACCOUNT #: 02531057771	SMALL- & MID- CAP VALUE FUND C BUY 0 Units @0.0000	0.00	15.16	0.00	15.16	0.0	0.00
09/30/2018	***-**-78IN - FALES, JOAN ACCOUNT #: 02322752145	STRATEGIC INCOME FUND C BUY 0 Units @0.0000	0.00	1.60	0.00	1.60	0.0	0.00
09/30/2018	***-**-524I - SCALISE, JOSEPH ACCOUNT #: 02220585310	U.S. GOVERNMENT TRUST C BUY 0 Units @0.0000	0.00	4.30	0.00	4.30	0.0	0.00
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *			\$100.00	\$602.94	\$0.00	\$602.94		\$0.00
PRODUCT CATEGORY: VARIABLE ANNUITY 12B1 TRAILS								
09/28/2018	***-**-973I - LABAYEWSKI, ACCOUNT #: 712686815	41659Q159 BUY 0 Units @0.0000	0.00	68.96	0.00	68.96	0.0	0.00
09/28/2018	***-**-117I - LABAYEWSKI, ACCOUNT #: 712688346	41659Q159 BUY 0 Units @0.0000	0.00	85.07	0.00	85.07	0.0	0.00
09/30/2018	***-**-89IN - LEE, ROGER ACCOUNT #: 1200175188	JACKSON 468511480 BUY 0 Units @0.0000	0.00	24.43	0.00	24.43	0.0	0.00
09/30/2018	***-**-65IN - GRUENEWALD, KURT ACCOUNT #: 951030124	LINCOLN FIN 533785564 BUY 0 Units @0.0000	0.00	219.80	0.00	219.80	0.0	0.00
09/30/2018	***-**-366I - GRUENEWALD, ACCOUNT #: E1407725	PRUDENTIAL VA TRAILS 74429P110 BUY 0 Units @0.0000	0.00	146.06	0.00	146.06	0.0	0.00
* VARIABLE ANNUITY 12B1 TRAILS SUBTOTAL *			\$0.00	\$544.32	\$0.00	\$544.32		\$0.00
*** BROKER TRANSACTIONS TOTAL ***			\$274,591.91	\$5,342.28	\$454.46	\$4,887.82		\$0.00



BROKER #: A77
BRANCH #01047 - 47 - GRIFFITH

				GROSS	CLEARING	NET	BROKER
DATE	CLIENT	INVESTMENT	AMOUNT	COMMISSION	CHARGE	COMMISSION	RATE COMMISSION
						BROKER COMMISSION TOTALS	
						Broker Transactions	\$0.00
						Split Transactions	\$0.00
						Override Transactions	\$0.00
						Adjustments	\$0.00
						Payroll Draw	\$0.00
						Base Salary	\$0.00
						Prior Period Balance	\$-400.81
						FINRA Assessment	\$0.00
						SIPC Assessment	\$0.00
Please Retain for Your Records THERE WILL BE NO PAYMENT THIS PERIOD							
						Balance Forward	\$-400.81
						Year-to-date Earnings	\$0.00