



# COMMISSION STATEMENT

## January 15, 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>								
01/05/2018	***-**-953I - DINITTO, NICOLE	AMERICAN GLOBAL BALANCED CL C	175.00	1.75	0.00	1.75	88.0	1.54
	ACCOUNT #: 00088593891	BUY 5 Units @32.9500						
01/08/2018	***-**-90IN - PICKARD, KAREN	AMERICAN GLOBAL BALANCED CL C	11,000.00	19.99	18.00	1.99	88.0	1.75
	ACCOUNT #: LSR011687	SELL 334 Units @32.9300						
01/05/2018	***-**-953I - DINITTO, NICOLE	CAPITAL WORLD GROWTH AND INCOME FUN	175.00	1.75	0.00	1.75	88.0	1.54
	ACCOUNT #: 00088593891	BUY 3 Units @51.9100						
01/15/2018	***-**-510I - PEREZ, STACEY	CREDIT INCOME FUND	36,000.00	360.00	0.00	360.00	88.0	316.80
		BUY 0 Units @0.0000						
01/02/2018	***-**-267I - HAMMILL, ELISE	MFS GLOBAL TOTAL RETURN FUND-B	75.00	3.00	0.00	3.00	88.0	2.64
	ACCOUNT #: 08191335171	BUY 4 Units @18.5700						
01/09/2018	***-**-549I - WASZKIEWICZ,	MFS GLOBAL TOTAL RETURN FUND-B	4,599.99	202.00	18.00	184.00	88.0	161.92
	ACCOUNT #: LSR012353	BUY 245 Units @18.7500						
01/08/2018	***-**-90IN - PICKARD, KAREN	THE GROWTH FUND OF AMERICA-C	13,278.57	19.99	18.00	1.99	88.0	1.75
	ACCOUNT #: LSR011687	SELL 279 Units @47.5100						
01/05/2018	***-**-469I - HAUCK, JUDITH	THE INCOME FUND OF AMERICA-A	250.00	5.00	0.00	5.00	88.0	4.40
	ACCOUNT #: 00087147439	BUY 10 Units @24.2700						
01/05/2018	***-**-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 @24.2700						
<b>* MUTUAL FUNDS SUBTOTAL *</b>			<b>\$65,651.64</b>	<b>\$615.44</b>	<b>\$54.00</b>	<b>\$561.44</b>		<b>\$494.06</b>
<b><u>PRODUCT CATEGORY: STOCKS</u></b>								
01/08/2018	***-**-467J - PICKARD, BRIAN	CENTRAIS ELETR BRAS SA - ELETROBRAS	2,855.00	57.49	25.00	32.49	88.0	28.59
	ACCOUNT #: LSR010943	SELL 500 Units @5.7100						
01/08/2018	***-**-467J - PICKARD, BRIAN	DENBURY RES INC DEL COM USD0.001	3,420.00	67.49	45.00	22.49	88.0	19.79
	ACCOUNT #: LSR010943	SELL 1500 Units @2.2800						
01/09/2018	***-**-77IR - MARRONE, FBO MR	FORD MTR CO DEL COM UNSOLICITED ORD	3,939.00	39.99	21.00	18.99	88.0	16.71
	ACCOUNT #: LSR011158	SELL 300 Units @13.1300						
01/08/2018	***-**-467J - PICKARD, BRIAN	ISHARES MSCI BRAZIL ETF	4,814.93	97.49	17.26	80.23	88.0	70.60
	ACCOUNT #: LSR010943	SELL 113 Units @42.6100						
<b>* STOCKS SUBTOTAL *</b>			<b>\$15,028.93</b>	<b>\$262.46</b>	<b>\$108.26</b>	<b>\$154.20</b>		<b>\$135.69</b>



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<b>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: VARIABLE ANNUITIES</b>								
01/12/2018	***-**-0770 - GAUTHIER, LOUIS	MASS MUTUAL VA	0.00	75.43	0.00	75.43	88.0	66.38
	ACCOUNT #: 828693	BUY 1 Units @0.0000						
01/12/2018	***-**-80IN - GRIFFITH, DAVID	MASS MUTUAL VA	0.00	4.20	0.00	4.20	88.0	3.70
	ACCOUNT #: 834388	BUY 1 Units @0.0000						
* VARIABLE ANNUITIES SUBTOTAL *			\$0.00	\$79.63	\$0.00	\$79.63		\$70.08
<b>PRODUCT CATEGORY: 529 PLAN</b>								
01/15/2018	***-**-679I - MURSCH JR,	NEW YORK 529 TRAILS	0.00	4.48	0.00	4.48	88.0	3.94
	ACCOUNT #: 77041375401	BUY 0 Units @0.0000						
01/15/2018	***-**-541I - ORSINO, LISA	NEW YORK 529 TRAILS	0.00	3.42	0.00	3.42	88.0	3.01
	ACCOUNT #: 77049971001	BUY 0 Units @0.0000						
01/15/2018	***-**-745P - SCOTELLARO,	NEW YORK 529 TRAILS	0.00	1.85	0.00	1.85	88.0	1.63
	ACCOUNT #: 77107834701	BUY 0 Units @0.0000						
01/15/2018	***-**-225P - DAMSKY, CYNTHIA	NEW YORK 529 TRAILS	0.00	3.39	0.00	3.39	88.0	2.98
		BUY 0 Units @0.0000						
01/15/2018	***-**-0862 - REDMOND, EILEEN	NEW YORK 529 TRAILS	0.00	2.47	0.00	2.47	88.0	2.17
	ACCOUNT #: 77172702501	BUY 0 Units @0.0000						
01/15/2018	***-**-467I - PICKARD, BRIAN	NEW YORK 529 TRAILS	0.00	1.12	0.00	1.12	88.0	0.99
	ACCOUNT #: 77247884901	BUY 0 Units @0.0000						
01/15/2018	***-**-93JT - WADSWORTH,	NEW YORK 529 TRAILS	0.00	1.51	0.00	1.51	88.0	1.33
	ACCOUNT #: 77296639001	BUY 0 Units @0.0000						
01/15/2018	***-**-21IN - DANIELS, JOHN	NEW YORK 529 TRAILS	0.00	1.51	0.00	1.51	88.0	1.33
	ACCOUNT #: 77376247101	BUY 0 Units @0.0000						
01/15/2018	***-**-21IN - DANIELS, JOHN	NEW YORK 529 TRAILS	0.00	9.45	0.00	9.45	88.0	8.32
	ACCOUNT #: 77376247101	BUY 0 Units @0.0000						
01/15/2018	***-**-435P - HARDY, BRIAN	NEW YORK 529 TRAILS	0.00	0.42	0.00	0.42	88.0	0.37
	ACCOUNT #: 77386267401	BUY 0 Units @0.0000						
01/15/2018	***-**-0862 - REDMOND, EILEEN	NEW YORK 529 TRAILS	0.00	0.36	0.00	0.36	88.0	0.32
	ACCOUNT #: 77519113701	BUY 0 Units @0.0000						
01/15/2018	***-**-39IN - CLEARY, KAREN	NEW YORK 529 TRAILS	0.00	4.86	0.00	4.86	88.0	4.28
	ACCOUNT #: 77678090301	BUY 0 Units @0.0000						
01/15/2018	***-**-497I - MARTIN, KATHLEEN	NEW YORK 529 TRAILS	0.00	1.33	0.00	1.33	88.0	1.17
		BUY 0 Units @0.0000						



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<b><u>BROKER TRANSACTIONS (continued)</u></b>								
<b><u>PRODUCT CATEGORY: 529 PLAN (continued)</u></b>								
01/15/2018	***-**-015P - SABANOSH, SHERYL NEW YORK	529 TRAILS	0.00	7.80	0.00	7.80	88.0	6.86
	ACCOUNT #: 77775742701	BUY 0 Units @0.0000						
		<b>* 529 PLAN SUBTOTAL *</b>	<b>\$0.00</b>	<b>\$43.97</b>	<b>\$0.00</b>	<b>\$43.97</b>		<b>\$38.70</b>
<b><u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u></b>								
12/31/2017	***-**-69IR - PERRITANO, SUSAN	AMT-FREE NEW YORK MUNICIPALS B	0.00	0.92	0.00	0.92	88.0	0.81
	ACCOUNT #: 03610122837	BUY 0 Units @0.0000						
12/31/2017	***-**-400K - TEESDALE,	CAPITAL APPRECIATION A	0.00	0.82	0.00	0.82	88.0	0.72
	ACCOUNT #: 03211187880	BUY 0 Units @0.0000						
12/31/2017	***-**-698X - FEISTHAMEL	CAPITAL APPRECIATION A	0.00	0.02	0.00	0.02	88.0	0.02
	ACCOUNT #: 03211324698	BUY 0 Units @0.0000						
12/31/2017	***-**-28IN - ALOISIO, IRENE	CAPITAL APPRECIATION A	0.00	0.11	0.00	0.11	88.0	0.10
	ACCOUNT #: 03211621390	BUY 0 Units @0.0000						
12/31/2017	***-**-61IN - ALOISIO,	CAPITAL APPRECIATION A	0.00	0.36	0.00	0.36	88.0	0.32
	ACCOUNT #: 03211621401	BUY 0 Units @0.0000						
12/31/2017	***-**-91IN - RICHARDSON,	CAPITAL APPRECIATION A	0.00	0.43	0.00	0.43	88.0	0.38
	ACCOUNT #: 03211693572	BUY 0 Units @0.0000						
12/31/2017	***-**-59IN - MORGAN, WILLIAM	CAPITAL APPRECIATION A	0.00	0.44	0.00	0.44	88.0	0.39
	ACCOUNT #: 03211817322	BUY 0 Units @0.0000						
12/31/2017	***-**-91IN - RICHARDSON,	CAPITAL APPRECIATION A	0.00	3.85	0.00	3.85	88.0	3.39
	ACCOUNT #: 03211844382	BUY 0 Units @0.0000						
12/31/2017	***-**-1588 - FOLEY, JOHN	CAPITAL APPRECIATION A	0.00	2.09	0.00	2.09	88.0	1.84
	ACCOUNT #: 03211940115	BUY 0 Units @0.0000						
12/31/2017	***-**-872I - GORCZYNSKI,	CAPITAL APPRECIATION A	0.00	0.39	0.00	0.39	88.0	0.34
	ACCOUNT #: 03211940203	BUY 0 Units @0.0000						
12/31/2017	***-**-231I - MISHLANIE JR,	CAPITAL APPRECIATION A	0.00	2.33	0.00	2.33	88.0	2.05
	ACCOUNT #: 03212005587	BUY 0 Units @0.0000						
12/31/2017	***-**-11IN - MOYLAN, TIMOTHY	CAPITAL APPRECIATION A	0.00	0.03	0.00	0.03	88.0	0.03
	ACCOUNT #: 03212072973	BUY 0 Units @0.0000						
12/31/2017	***-**-91IN - RICHARDSON,	CAPITAL APPRECIATION B	0.00	0.07	0.00	0.07	88.0	0.06
	ACCOUNT #: 03215734575	BUY 0 Units @0.0000						
12/31/2017	***-**-11IN - MOYLAN, TIMOTHY	CAPITAL APPRECIATION B	0.00	0.06	0.00	0.06	88.0	0.05
	ACCOUNT #: 03215884461	BUY 0 Units @0.0000						



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<b>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b>								
12/31/2017	***-**-69IR - PERRITANO, SUSAN	CAPITAL APPRECIATION B	0.00	0.86	0.00	0.86	88.0	0.76
	ACCOUNT #: 03215905889	BUY 0 Units @0.0000						
12/31/2017	***-**-91IN - RICHARDSON,	CAPITAL APPRECIATION C	0.00	5.12	0.00	5.12	88.0	4.51
	ACCOUNT #: 03222207403	BUY 0 Units @0.0000						
12/31/2017	***-**-11IN - MOYLAN, TIMOTHY	CAPITAL APPRECIATION C	0.00	2.33	0.00	2.33	88.0	2.05
	ACCOUNT #: 03222207458	BUY 0 Units @0.0000						
12/31/2017	***-**-090I - RASPANTE, JOHN	CAPITAL APPRECIATION C	0.00	10.52	0.00	10.52	88.0	9.26
	ACCOUNT #: 03222260687	BUY 0 Units @0.0000						
12/31/2017	***-**-400K - TEESDALE,	CAPITAL INCOME A	0.00	0.70	0.00	0.70	88.0	0.62
	ACCOUNT #: 03008767088	BUY 0 Units @0.0000						
12/31/2017	***-**-698X - FEISTHAMEL	CAPITAL INCOME A	0.00	0.02	0.00	0.02	88.0	0.02
	ACCOUNT #: 03008850028	BUY 0 Units @0.0000						
12/31/2017	***-**-480I - SCOTELLARO,	CAPITAL INCOME FUND C	0.00	8.35	0.00	8.35	88.0	7.35
	ACCOUNT #: 03020531751	BUY 0 Units @0.0000						
12/31/2017	***-**-8027 - MAXWELL, COLLEEN	CASH RESERVES C	0.00	0.00	0.00	0.00	88.0	0.00
	ACCOUNT #: 07621429626	BUY 0 Units @0.0000						
12/31/2017	***-**-69IR - PERRITANO, SUSAN	DEVELOPING MARKETS FUND B	0.00	0.82	0.00	0.82	88.0	0.72
	ACCOUNT #: 07861008106	BUY 0 Units @0.0000						
12/31/2017	***-**-69IR - PERRITANO, SUSAN	EMERGING GROWTH FUND B	0.00	1.48	0.00	1.48	88.0	1.30
	ACCOUNT #: 07220200959	BUY 0 Units @0.0000						
12/31/2017	***-**-178I - DAVIS, MARILYN	EQUITY INCOME FUND, INC. A	0.00	2.59	0.00	2.59	88.0	2.28
	ACCOUNT #: 08352306436	BUY 0 Units @0.0000						
12/31/2017	***-**-91IN - RICHARDSON,	EQUITY INCOME FUND, INC. A	0.00	3.36	0.00	3.36	88.0	2.96
	ACCOUNT #: 08352350304	BUY 0 Units @0.0000						
12/31/2017	***-**-400K - TEESDALE,	EQUITY INCOME FUND, INC. A	0.00	2.99	0.00	2.99	88.0	2.63
	ACCOUNT #: 08352478410	BUY 0 Units @0.0000						
12/31/2017	***-**-98IR - FEISTHAMEL,	EQUITY INCOME FUND, INC. A	0.00	0.03	0.00	0.03	88.0	0.03
	ACCOUNT #: 08352703591	BUY 0 Units @0.0000						
12/31/2017	***-**-59IN - MORGAN, WILLIAM	EQUITY INCOME FUND, INC. A	0.00	3.09	0.00	3.09	88.0	2.72
	ACCOUNT #: 08353141534	BUY 0 Units @0.0000						
12/31/2017	***-**-59IN - MORGAN, WILLIAM	EQUITY INCOME FUND, INC. A	0.00	1.90	0.00	1.90	88.0	1.67
	ACCOUNT #: 08353154470	BUY 0 Units @0.0000						



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<b>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b>								
12/31/2017	***-**-1588 - FOLEY, JOHN	EQUITY INCOME FUND, INC. A	0.00	1.83	0.00	1.83	88.0	1.61
	ACCOUNT #: 08353253679	BUY 0 Units @0.0000						
12/31/2017	***-**-5851 - GLEESON, BARBARA	EQUITY INCOME FUND, INC. A	0.00	0.28	0.00	0.28	88.0	0.25
	ACCOUNT #: 08353265449	BUY 0 Units @0.0000						
12/31/2017	***-**-053I - INGERSOLL, ROY	EQUITY INCOME FUND, INC. A	0.00	0.43	0.00	0.43	88.0	0.38
	ACCOUNT #: 08353266252	BUY 0 Units @0.0000						
12/31/2017	***-**-718I - LOWE, GREGORY	EQUITY INCOME FUND, INC. A	0.00	1.07	0.00	1.07	88.0	0.94
	ACCOUNT #: 08353299516	BUY 0 Units @0.0000						
12/31/2017	***-**-231I - MISHLANIE JR,	EQUITY INCOME FUND, INC. A	0.00	4.57	0.00	4.57	88.0	4.02
	ACCOUNT #: 08353299615	BUY 0 Units @0.0000						
12/31/2017	***-**-11IN - MOYLAN, TIMOTHY	EQUITY INCOME FUND, INC. A	0.00	0.03	0.00	0.03	88.0	0.03
	ACCOUNT #: 08353338456	BUY 0 Units @0.0000						
12/31/2017	***-**-0457 - STAGLIANO, GINA	EQUITY INCOME FUND, INC. A	0.00	0.01	0.00	0.01	88.0	0.01
	ACCOUNT #: 08353346332	BUY 0 Units @0.0000						
12/31/2017	***-**-5851 - GLEESON, BARBARA	EQUITY INCOME FUND, INC. B	0.00	0.44	0.00	0.44	88.0	0.39
	ACCOUNT #: 08360414997	BUY 0 Units @0.0000						
12/31/2017	***-**-0457 - STAGLIANO, GINA	EQUITY INCOME FUND, INC. B	0.00	0.07	0.00	0.07	88.0	0.06
	ACCOUNT #: 08360486981	BUY 0 Units @0.0000						
12/31/2017	***-**-11IN - MOYLAN, TIMOTHY	EQUITY INCOME FUND, INC. B	0.00	0.10	0.00	0.10	88.0	0.09
	ACCOUNT #: 08360490842	BUY 0 Units @0.0000						
12/31/2017	***-**-69IR - PERRITANO, SUSAN	EQUITY INCOME FUND, INC. B	0.00	1.62	0.00	1.62	88.0	1.43
	ACCOUNT #: 08360515845	BUY 0 Units @0.0000						
12/31/2017	***-**-58IN - CADY, GAIL	EQUITY INCOME FUND, INC. C	0.00	4.63	0.00	4.63	88.0	4.07
	ACCOUNT #: 08370389048	BUY 0 Units @0.0000						
12/31/2017	***-**-480I - SCOTELLARO,	EQUITY INCOME FUND, INC. C	0.00	16.93	0.00	16.93	88.0	14.90
	ACCOUNT #: 08370428549	BUY 0 Units @0.0000						
12/31/2017	***-**-0457 - STAGLIANO, GINA	EQUITY INCOME FUND, INC. C	0.00	1.43	0.00	1.43	88.0	1.26
	ACCOUNT #: 08370450769	BUY 0 Units @0.0000						
12/31/2017	***-**-11IN - MOYLAN, TIMOTHY	EQUITY INCOME FUND, INC. C	0.00	3.22	0.00	3.22	88.0	2.83
	ACCOUNT #: 08370450780	BUY 0 Units @0.0000						
12/31/2017	***-**-090I - RASPANTE, JOHN	EQUITY INCOME FUND, INC. C	0.00	17.44	0.00	17.44	88.0	15.35
	ACCOUNT #: 08370585871	BUY 0 Units @0.0000						



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<b>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b>								
12/31/2017	***-**-7473 - SCOTELLARO, ACCOUNT #: 08370720038	EQUITY INCOME FUND, INC. C BUY 0 Units @0.0000	0.00	1.48	0.00	1.48	88.0	1.30
12/31/2017	***-**-400K - TEESDALE, ACCOUNT #: 03307121688	GLOBAL FUND A BUY 0 Units @0.0000	0.00	0.83	0.00	0.83	88.0	0.73
12/31/2017	***-**-59IN - MORGAN, WILLIAM ACCOUNT #: 03307729361	GLOBAL FUND A BUY 0 Units @0.0000	0.00	2.67	0.00	2.67	88.0	2.35
12/31/2017	***-**-0457 - STAGLIANO, GINA ACCOUNT #: 03307968457	GLOBAL FUND A BUY 0 Units @0.0000	0.00	0.00	0.00	0.00	88.0	0.00
12/31/2017	***-**-0457 - STAGLIANO, GINA ACCOUNT #: 03316661182	GLOBAL FUND B BUY 0 Units @0.0000	0.00	0.08	0.00	0.08	88.0	0.07
12/31/2017	***-**-69IR - PERRITANO, SUSAN ACCOUNT #: 03316686207	GLOBAL FUND B BUY 0 Units @0.0000	0.00	2.44	0.00	2.44	88.0	2.15
12/31/2017	***-**-91IN - RICHARDSON, ACCOUNT #: 02156650930	GLOBAL OPPORTUNITIES A BUY 0 Units @0.0000	0.00	1.54	0.00	1.54	88.0	1.36
12/31/2017	***-**-400K - TEESDALE, ACCOUNT #: 02156694050	GLOBAL OPPORTUNITIES A BUY 0 Units @0.0000	0.00	1.19	0.00	1.19	88.0	1.05
12/31/2017	***-**-698X - FEISTHAMEL ACCOUNT #: 02156960987	GLOBAL OPPORTUNITIES A BUY 0 Units @0.0000	0.00	0.05	0.00	0.05	88.0	0.04
12/31/2017	***-**-59IN - MORGAN, WILLIAM ACCOUNT #: 02157784128	GLOBAL OPPORTUNITIES A BUY 0 Units @0.0000	0.00	1.58	0.00	1.58	88.0	1.39
12/31/2017	***-**-5851 - GLEESON, BARBARA ACCOUNT #: 02157915479	GLOBAL OPPORTUNITIES A BUY 0 Units @0.0000	0.00	2.40	0.00	2.40	88.0	2.11
12/31/2017	***-**-718I - LOWE, GREGORY ACCOUNT #: 02158044575	GLOBAL OPPORTUNITIES A BUY 0 Units @0.0000	0.00	0.68	0.00	0.68	88.0	0.60
12/31/2017	***-**-231I - MISHLANIE JR, ACCOUNT #: 02158044630	GLOBAL OPPORTUNITIES A BUY 0 Units @0.0000	0.00	1.32	0.00	1.32	88.0	1.16
12/31/2017	***-**-5851 - GLEESON, BARBARA ACCOUNT #: 02163234902	GLOBAL OPPORTUNITIES B BUY 0 Units @0.0000	0.00	1.59	0.00	1.59	88.0	1.40
12/31/2017	***-**-0457 - STAGLIANO, GINA ACCOUNT #: 02163264965	GLOBAL OPPORTUNITIES B BUY 0 Units @0.0000	0.00	0.09	0.00	0.09	88.0	0.08
12/31/2017	***-**-11IN - MOYLAN, TIMOTHY ACCOUNT #: 02163267429	GLOBAL OPPORTUNITIES B BUY 0 Units @0.0000	0.00	0.00	0.00	0.00	88.0	0.00



# COMMISSION STATEMENT

## January 15, 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>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b>								
12/31/2017	***-**-69IR - PERRITANO, SUSAN	GLOBAL OPPORTUNITIES B	0.00	3.44	0.00	3.44	88.0	3.03
	ACCOUNT #: 02163282708	BUY 0 Units @0.0000						
12/31/2017	***-**-58IN - CADY, GAIL	GLOBAL OPPORTUNITIES FUND C	0.00	5.02	0.00	5.02	88.0	4.42
	ACCOUNT #: 02171604031	BUY 0 Units @0.0000						
12/31/2017	***-**-0457 - STAGLIANO, GINA	GLOBAL OPPORTUNITIES FUND C	0.00	2.06	0.00	2.06	88.0	1.81
	ACCOUNT #: 02171646348	BUY 0 Units @0.0000						
12/31/2017	***-**-11IN - MOYLAN, TIMOTHY	GLOBAL OPPORTUNITIES FUND C	0.00	3.07	0.00	3.07	88.0	2.70
	ACCOUNT #: 02171646359	BUY 0 Units @0.0000						
12/31/2017	***-**-090I - RASPANTE, JOHN	GLOBAL OPPORTUNITIES FUND C	0.00	16.01	0.00	16.01	88.0	14.09
	ACCOUNT #: 02171696112	BUY 0 Units @0.0000						
12/31/2017	***-**-400K - TEESDALE,	GOLD & SPECIAL MINERALS A	0.00	0.33	0.00	0.33	88.0	0.29
	ACCOUNT #: 04104445650	BUY 0 Units @0.0000						
12/31/2017	***-**-698X - FEISTHAMEL	GOLD & SPECIAL MINERALS A	0.00	0.01	0.00	0.01	88.0	0.01
	ACCOUNT #: 04104495579	BUY 0 Units @0.0000						
12/31/2017	***-**-5851 - GLEESON, BARBARA	GOLD & SPECIAL MINERALS A	0.00	0.21	0.00	0.21	88.0	0.18
	ACCOUNT #: 04104657961	BUY 0 Units @0.0000						
12/31/2017	***-**-053I - INGERSOLL, ROY	GOLD & SPECIAL MINERALS A	0.00	0.10	0.00	0.10	88.0	0.09
	ACCOUNT #: 04104670886	BUY 0 Units @0.0000						
12/31/2017	***-**-59IN - MORGAN, WILLIAM	GOLD & SPECIAL MINERALS A	0.00	0.23	0.00	0.23	88.0	0.20
	ACCOUNT #: 04104693766	BUY 0 Units @0.0000						
12/31/2017	***-**-59IN - MORGAN, WILLIAM	GOLD & SPECIAL MINERALS A	0.00	0.37	0.00	0.37	88.0	0.33
	ACCOUNT #: 04104693777	BUY 0 Units @0.0000						
12/31/2017	***-**-5851 - GLEESON, BARBARA	GOLD & SPECIAL MINERALS FUND B	0.00	0.31	0.00	0.31	88.0	0.27
	ACCOUNT #: 04110549912	BUY 0 Units @0.0000						
12/31/2017	***-**-69IR - PERRITANO, SUSAN	GOLD & SPECIAL MINERALS FUND B	0.00	0.19	0.00	0.19	88.0	0.17
	ACCOUNT #: 04110615494	BUY 0 Units @0.0000						
12/31/2017	***-**-400K - TEESDALE,	INTERNATIONAL BOND A	0.00	0.69	0.00	0.69	88.0	0.61
	ACCOUNT #: 08810000177	BUY 0 Units @0.0000						
12/31/2017	***-**-0457 - STAGLIANO, GINA	INTERNATIONAL DIVERSIFIED FUND B	0.00	0.12	0.00	0.12	88.0	0.11
	ACCOUNT #: 01960518078	BUY 0 Units @0.0000						
12/31/2017	***-**-11IN - MOYLAN, TIMOTHY	INTERNATIONAL DIVERSIFIED FUND B	0.00	0.15	0.00	0.15	88.0	0.13
	ACCOUNT #: 01960521081	BUY 0 Units @0.0000						



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## January 15, 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>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b>								
12/31/2017	***-**-69IR - PERRITANO, SUSAN	INTERNATIONAL DIVERSIFIED FUND B	0.00	4.19	0.00	4.19	88.0	3.69
	ACCOUNT #: 01960538340	BUY 0 Units @0.0000						
12/31/2017	***-**-69IR - PERRITANO, SUSAN	INTERNATIONAL GROWTH FUND B	0.00	0.49	0.00	0.49	88.0	0.43
	ACCOUNT #: 08261315831	BUY 0 Units @0.0000						
12/31/2017	***-**-400K - TEESDALE,	LIMITED TERM GOVERNMENT A	0.00	0.53	0.00	0.53	88.0	0.47
	ACCOUNT #: 08553754388	BUY 0 Units @0.0000						
12/31/2017	***-**-59IN - MORGAN, WILLIAM	MAIN STREET FUND A	0.00	1.48	0.00	1.48	88.0	1.30
	ACCOUNT #: 07006083663	BUY 0 Units @0.0000						
12/28/2017	***-**-57RI - DIPERNA, ROBERT	MFS TRAILS 552988610	300.00	3.00	0.00	3.00	88.0	2.64
	ACCOUNT #: 08189654783	BUY 19 Units @15.8100						
12/28/2017	***-**-51RI - DIPERNA, SANDRA	MFS TRAILS 552988610	300.00	3.00	0.00	3.00	88.0	2.64
	ACCOUNT #: 08191188649	BUY 19 Units @15.8100						
12/31/2017	***-**-4580 - GRIFFITH,	OPP DIVERSIFIED ALT FUND A	0.00	2.19	0.00	2.19	88.0	1.93
	ACCOUNT #: 00100011364	BUY 0 Units @0.0000						
12/31/2017	***-**-178I - DAVIS, MARILYN	OPP GLBL MULTI STRAT FND A	0.00	1.91	0.00	1.91	88.0	1.68
	ACCOUNT #: 08530002134	BUY 0 Units @0.0000						
12/31/2017	***-**-59IN - MORGAN, WILLIAM	OPP GLBL MULTI STRAT FND A	0.00	0.23	0.00	0.23	88.0	0.20
	ACCOUNT #: 08530015917	BUY 0 Units @0.0000						
12/31/2017	***-**-480I - SCOTELLARO,	OPPENHEIMER ACTIVE ALLOCATION FUND	0.00	3.48	0.00	3.48	88.0	3.06
	ACCOUNT #: 05520857714	BUY 0 Units @0.0000						
12/31/2017	***-**-090I - RASPANTE, JOHN	OPPENHEIMER ACTIVE ALLOCATION FUND	0.00	13.62	0.00	13.62	88.0	11.99
	ACCOUNT #: 05520946924	BUY 0 Units @0.0000						
12/31/2017	***-**-497I - MARTIN, KATHLEEN	OPPENHEIMER ACTIVE ALLOCATION FUND	0.00	3.48	0.00	3.48	88.0	3.06
	ACCOUNT #: 05520998470	BUY 0 Units @0.0000						
12/31/2017	***-**-91IN - RICHARDSON,	OPPENHEIMER CUSIP 68385X208	0.00	0.00	0.00	0.00	88.0	0.00
	ACCOUNT #: 00100011925	BUY 0 Units @0.0000						
12/31/2017	***-**-0457 - STAGLIANO, GINA	OPPENHEIMER DEV MARKETS FD CLASS C	0.00	1.38	0.00	1.38	88.0	1.21
	ACCOUNT #: 07871984301	BUY 0 Units @0.0000						
12/31/2017	***-**-91IN - RICHARDSON,	OPPENHEIMER DEV MARKETS FD CLASS C	0.00	0.00	0.00	0.00	88.0	0.00
	ACCOUNT #: 07872241470	BUY 0 Units @0.0000						
12/31/2017	***-**-4580 - GRIFFITH,	OPPENHEIMER DEVELOPING MARKETS CLAS	0.00	2.66	0.00	2.66	88.0	2.34
	ACCOUNT #: 07861977724	BUY 0 Units @0.0000						





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## January 15, 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>								
12/31/2017	***-**-698X - FEISTHAMEL	OPPENHEIMER DEVELOPING MARKETS CLAS	0.00	0.02	0.00	0.02	88.0	0.02
	ACCOUNT #: 07862346939	BUY 0 Units @0.0000						
12/31/2017	***-**-872I - GORCZYNSKI,	OPPENHEIMER DEVELOPING MARKETS CLAS	0.00	0.19	0.00	0.19	88.0	0.17
	ACCOUNT #: 07862887006	BUY 0 Units @0.0000						
12/31/2017	***-**-91IN - RICHARDSON,	OPPENHEIMER EMERG MKTS LOCAL DEBT F	0.00	1.11	0.00	1.11	88.0	0.98
	ACCOUNT #: 00100064439	BUY 0 Units @0.0000						
12/31/2017	***-**-91IN - RICHARDSON,	OPPENHEIMER GLBL HIGH YIELD FUND C	0.00	0.00	0.00	0.00	88.0	0.00
	ACCOUNT #: 00100025895	BUY 0 Units @0.0000						
12/31/2017	***-**-090I - RASPANTE, JOHN	OPPENHEIMER GLBL MULTI STRATEGIES F	0.00	13.42	0.00	13.42	88.0	11.81
	ACCOUNT #: 00100012156	BUY 0 Units @0.0000						
12/31/2017	***-**-480I - SCOTELLARO,	OPPENHEIMER GLBL MULTI STRATEGIES F	0.00	7.38	0.00	7.38	88.0	6.49
	ACCOUNT #: 00100012167	BUY 0 Units @0.0000						
12/31/2017	***-**-58IN - SCHRECK, RYAN	OPPENHEIMER GLBL MULTI STRATEGIES F	0.00	4.41	0.00	4.41	88.0	3.88
	ACCOUNT #: 00100014653	BUY 0 Units @0.0000						
12/31/2017	***-**-7473 - SCOTELLARO,	OPPENHEIMER GLBL REAL ESTATE FUND C	0.00	1.28	0.00	1.28	88.0	1.13
	ACCOUNT #: 00100018140	BUY 0 Units @0.0000						
12/31/2017	***-**-58IN - SCHRECK, RYAN	OPPENHEIMER GLBL REAL ESTATE FUND C	0.00	4.58	0.00	4.58	88.0	4.03
	ACCOUNT #: 00100018393	BUY 0 Units @0.0000						
12/31/2017	***-**-0457 - STAGLIANO, GINA	OPPENHEIMER GLOBAL CLASS C	0.00	1.60	0.00	1.60	88.0	1.41
	ACCOUNT #: 03322653871	BUY 0 Units @0.0000						
12/31/2017	***-**-11IN - MOYLAN, TIMOTHY	OPPENHEIMER GLOBAL CLASS C	0.00	1.05	0.00	1.05	88.0	0.92
	ACCOUNT #: 03322653882	BUY 0 Units @0.0000						
12/31/2017	***-**-090I - RASPANTE, JOHN	OPPENHEIMER GLOBAL CLASS C	0.00	15.01	0.00	15.01	88.0	13.21
	ACCOUNT #: 03322722456	BUY 0 Units @0.0000						
12/31/2017	***-**-91IN - RICHARDSON,	OPPENHEIMER GLOBAL VALUE FUND CL C	0.00	0.00	0.00	0.00	88.0	0.00
	ACCOUNT #: 06890080641	BUY 0 Units @0.0000						
12/31/2017	***-**-480I - SCOTELLARO,	OPPENHEIMER GOLD & SPECIAL MINERALS	0.00	1.25	0.00	1.25	88.0	1.10
	ACCOUNT #: 04120782331	BUY 0 Units @0.0000						
12/31/2017	***-**-090I - RASPANTE, JOHN	OPPENHEIMER GOLD & SPECIAL MINERALS	0.00	3.79	0.00	3.79	88.0	3.34
	ACCOUNT #: 04120841819	BUY 0 Units @0.0000						
12/31/2017	***-**-0457 - STAGLIANO, GINA	OPPENHEIMER GOLD & SPECIAL MINERALS	0.00	1.55	0.00	1.55	88.0	1.36
	ACCOUNT #: 04120907192	BUY 0 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>								
12/31/2017	***-**-91IN - RICHARDSON, ACCOUNT #: 04120907203	OPPENHEIMER GOLD & SPECIAL MINERALS BUY 0 Units @0.0000	0.00	1.35	0.00	1.35	88.0	1.19
12/31/2017	***-**-400K - TEESDALE, ACCOUNT #: 01952759669	OPPENHEIMER INTERNATIONAL DIVERSIFI BUY 0 Units @0.0000	0.00	0.69	0.00	0.69	88.0	0.61
12/31/2017	***-**-698X - FEISTHAMEL ACCOUNT #: 01952929377	OPPENHEIMER INTERNATIONAL DIVERSIFI BUY 0 Units @0.0000	0.00	0.03	0.00	0.03	88.0	0.03
12/31/2017	***-**-59IN - MORGAN, WILLIAM ACCOUNT #: 01953266648	OPPENHEIMER INTERNATIONAL DIVERSIFI BUY 0 Units @0.0000	0.00	2.56	0.00	2.56	88.0	2.25
12/31/2017	***-**-1588 - FOLEY, JOHN ACCOUNT #: 01953346959	OPPENHEIMER INTERNATIONAL DIVERSIFI BUY 0 Units @0.0000	0.00	1.50	0.00	1.50	88.0	1.32
12/31/2017	***-**-053I - INGERSOLL, ROY ACCOUNT #: 01953356210	OPPENHEIMER INTERNATIONAL DIVERSIFI BUY 0 Units @0.0000	0.00	1.19	0.00	1.19	88.0	1.05
12/31/2017	***-**-718I - LOWE, GREGORY ACCOUNT #: 01953382599	OPPENHEIMER INTERNATIONAL DIVERSIFI BUY 0 Units @0.0000	0.00	0.45	0.00	0.45	88.0	0.40
12/31/2017	***-**-231I - MISHLANIE JR, ACCOUNT #: 01953382632	OPPENHEIMER INTERNATIONAL DIVERSIFI BUY 0 Units @0.0000	0.00	1.74	0.00	1.74	88.0	1.53
12/31/2017	***-**-58IN - CADY, GAIL ACCOUNT #: 01970799227	OPPENHEIMER INTERNATIONAL DIVERSIFI BUY 0 Units @0.0000	0.00	5.91	0.00	5.91	88.0	5.20
12/31/2017	***-**-0457 - STAGLIANO, GINA ACCOUNT #: 01970849112	OPPENHEIMER INTERNATIONAL DIVERSIFI BUY 0 Units @0.0000	0.00	2.22	0.00	2.22	88.0	1.95
12/31/2017	***-**-11IN - MOYLAN, TIMOTHY ACCOUNT #: 01970849123	OPPENHEIMER INTERNATIONAL DIVERSIFI BUY 0 Units @0.0000	0.00	4.44	0.00	4.44	88.0	3.91
12/31/2017	***-**-090I - RASPANTE, JOHN ACCOUNT #: 01970928730	OPPENHEIMER INTERNATIONAL DIVERSIFI BUY 0 Units @0.0000	0.00	14.07	0.00	14.07	88.0	12.38
12/31/2017	***-**-7473 - SCOTELLARO, ACCOUNT #: 01971001154	OPPENHEIMER INTERNATIONAL DIVERSIFI BUY 0 Units @0.0000	0.00	1.66	0.00	1.66	88.0	1.46
12/31/2017	***-**-58IN - SCHRECK, RYAN ACCOUNT #: 01971002232	OPPENHEIMER INTERNATIONAL DIVERSIFI BUY 0 Units @0.0000	0.00	5.72	0.00	5.72	88.0	5.03
12/31/2017	***-**-11IN - MOYLAN, TIMOTHY ACCOUNT #: 01953416908	OPPENHEIMER INTERNATIONAL DIVERSIFI BUY 0 Units @0.0000	0.00	0.01	0.00	0.01	88.0	0.01
12/31/2017	***-**-0457 - STAGLIANO, GINA ACCOUNT #: 01953424179	OPPENHEIMER INTERNATIONAL DIVERSIFI BUY 0 Units @0.0000	0.00	0.01	0.00	0.01	88.0	0.01



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<b>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b>								
12/31/2017	***-**-090I - RASPANTE, JOHN	OPPENHEIMER INTERNATIONAL SMALL COM	0.00	3.60	0.00	3.60	88.0	3.17
	ACCOUNT #: 08170386485	BUY 0 Units @0.0000						
12/31/2017	***-**-178I - DAVIS, MARILYN	OPPENHEIMER MAIN STREET SMALL CAP F	0.00	2.75	0.00	2.75	88.0	2.42
	ACCOUNT #: 08477115867	BUY 0 Units @0.0000						
12/31/2017	***-**-59IN - MORGAN, WILLIAM	OPPENHEIMER MAIN STREET SMALL CAP F	0.00	1.32	0.00	1.32	88.0	1.16
	ACCOUNT #: 08477517323	BUY 0 Units @0.0000						
12/31/2017	***-**-58IN - CADY, GAIL	OPPENHEIMER RISING DIVIDENDS FUND C	0.00	5.80	0.00	5.80	88.0	5.10
	ACCOUNT #: 02270806520	BUY 0 Units @0.0000						
12/31/2017	***-**-480I - SCOTELLARO,	OPPENHEIMER RISING DIVIDENDS FUND C	0.00	7.56	0.00	7.56	88.0	6.65
	ACCOUNT #: 02270869044	BUY 0 Units @0.0000						
12/31/2017	***-**-91IN - RICHARDSON,	OPPENHEIMER RISING DIVIDENDS FUND C	0.00	2.65	0.00	2.65	88.0	2.33
	ACCOUNT #: 02270899404	BUY 0 Units @0.0000						
12/31/2017	***-**-0457 - STAGLIANO, GINA	OPPENHEIMER RISING DIVIDENDS FUND C	0.00	0.53	0.00	0.53	88.0	0.47
	ACCOUNT #: 02270899492	BUY 0 Units @0.0000						
12/31/2017	***-**-11IN - MOYLAN, TIMOTHY	OPPENHEIMER RISING DIVIDENDS FUND C	0.00	4.42	0.00	4.42	88.0	3.89
	ACCOUNT #: 02270899503	BUY 0 Units @0.0000						
12/31/2017	***-**-090I - RASPANTE, JOHN	OPPENHEIMER RISING DIVIDENDS FUND C	0.00	16.78	0.00	16.78	88.0	14.77
	ACCOUNT #: 02271018369	BUY 0 Units @0.0000						
12/31/2017	***-**-58IN - SCHRECK, RYAN	OPPENHEIMER RISING DIVIDENDS FUND C	0.00	5.31	0.00	5.31	88.0	4.67
	ACCOUNT #: 02271130536	BUY 0 Units @0.0000						
12/31/2017	***-**-91IN - RICHARDSON,	OPPENHEIMER SENIOR FLOATING RATE CL	0.00	1.68	0.00	1.68	88.0	1.48
	ACCOUNT #: 02913583470	BUY 0 Units @0.0000						
12/31/2017	***-**-59IN - MORGAN, WILLIAM	OPPENHEIMER SENIOR FLOATING RATE CL	0.00	0.14	0.00	0.14	88.0	0.12
	ACCOUNT #: 02913593766	BUY 0 Units @0.0000						
12/31/2017	***-**-59IN - MORGAN, WILLIAM	OPPENHEIMER SENIOR FLOATING RATE CL	0.00	0.63	0.00	0.63	88.0	0.55
	ACCOUNT #: 02913604436	BUY 0 Units @0.0000						
12/31/2017	***-**-231I - MISHLANIE JR,	OPPENHEIMER SENIOR FLOATING RATE CL	0.00	0.11	0.00	0.11	88.0	0.10
	ACCOUNT #: 02913818639	BUY 0 Units @0.0000						
12/31/2017	***-**-0457 - STAGLIANO, GINA	OPPENHEIMER SENIOR FLOATING RATE CL	0.00	0.01	0.00	0.01	88.0	0.01
	ACCOUNT #: 02920589314	BUY 0 Units @0.0000						
12/31/2017	***-**-69IR - PERRITANO, SUSAN	OPPENHEIMER SENIOR FLOATING RATE CL	0.00	0.99	0.00	0.99	88.0	0.87
	ACCOUNT #: 02920643588	BUY 0 Units @0.0000						



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<b>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b>								
12/31/2017	***-**-985I - MCAUSLAN, ACCOUNT #: 02913853707	OPPENHEIMER SENIOR FLOATING RATE CL BUY 0 Units @0.0000	0.00	2.14	0.00	2.14	88.0	1.88
12/31/2017	***-**-609J - CADY, PATRICK ACCOUNT #: 02514647841	OPPENHEIMER SMALL & MID CAP VALUE F BUY 0 Units @0.0000	0.00	2.02	0.00	2.02	88.0	1.78
12/31/2017	***-**-91IN - RICHARDSON, ACCOUNT #: 02514902667	OPPENHEIMER SMALL & MID CAP VALUE F BUY 0 Units @0.0000	0.00	0.35	0.00	0.35	88.0	0.31
12/31/2017	***-**-585I - GLEESON, BARBARA ACCOUNT #: 02514983528	OPPENHEIMER SMALL & MID CAP VALUE F BUY 0 Units @0.0000	0.00	1.88	0.00	1.88	88.0	1.65
12/31/2017	***-**-718I - LOWE, GREGORY ACCOUNT #: 02515029761	OPPENHEIMER SMALL & MID CAP VALUE F BUY 0 Units @0.0000	0.00	0.24	0.00	0.24	88.0	0.21
12/31/2017	***-**-59IN - MORGAN, WILLIAM ACCOUNT #: 02307128993	OPPENHEIMER STRATEGIC INCOME FD CL BUY 0 Units @0.0000	0.00	0.27	0.00	0.27	88.0	0.24
12/31/2017	***-**-053I - INGERSOLL, ROY ACCOUNT #: 02317220730	OPPENHEIMER STRATEGIC INCOME FUND C BUY 0 Units @0.0000	0.00	0.01	0.00	0.01	88.0	0.01
12/31/2017	***-**-69IR - PERRITANO, SUSAN ACCOUNT #: 02203670117	OPPENHEIMER U.S. GOVT TR CLASS A BUY 0 Units @0.0000	0.00	0.30	0.00	0.30	88.0	0.26
12/31/2017	***-**-497I - MARTIN, KATHLEEN ACCOUNT #: 05420240427	PORT SERIES: CONS INV C BUY 0 Units @0.0000	0.00	3.35	0.00	3.35	88.0	2.95
12/31/2017	***-**-5762 - RICHARDSON, GARY ACCOUNT #: 05420285252	PORT SERIES: CONS INV C BUY 0 Units @0.0000	0.00	0.00	0.00	0.00	88.0	0.00
12/31/2017	***-**-178I - DAVIS, MARILYN ACCOUNT #: 02577442831	QUEST BALANCED A BUY 0 Units @0.0000	0.00	2.37	0.00	2.37	88.0	2.09
12/31/2017	***-**-400K - TEESDALE, ACCOUNT #: 02577487458	QUEST BALANCED A BUY 0 Units @0.0000	0.00	0.61	0.00	0.61	88.0	0.54
12/31/2017	***-**-718I - LOWE, GREGORY ACCOUNT #: 02577784733	QUEST BALANCED A BUY 0 Units @0.0000	0.00	0.62	0.00	0.62	88.0	0.55
12/31/2017	***-**-231I - MISHLANIE JR, ACCOUNT #: 02577784744	QUEST BALANCED A BUY 0 Units @0.0000	0.00	1.58	0.00	1.58	88.0	1.39
12/31/2017	***-**-69IR - PERRITANO, SUSAN ACCOUNT #: 02586023545	QUEST BALANCED B BUY 0 Units @0.0000	0.00	0.89	0.00	0.89	88.0	0.78
12/31/2017	***-**-58IN - CADY, GAIL ACCOUNT #: 02592245914	QUEST BALANCED FUND C BUY 0 Units @0.0000	0.00	5.38	0.00	5.38	88.0	4.73



# COMMISSION STATEMENT

## January 15, 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>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b>								
12/31/2017	***-**-480I - SCOTELLARO, ACCOUNT #: 02592262469	QUEST BALANCED FUND C BUY 0 Units @0.0000	0.00	24.29	0.00	24.29	88.0	21.38
12/31/2017	***-**-090I - RASPANTE, JOHN ACCOUNT #: 02592315709	QUEST BALANCED FUND C BUY 0 Units @0.0000	0.00	3.70	0.00	3.70	88.0	3.26
12/31/2017	***-**-91IN - RICHARDSON, ACCOUNT #: 02592394447	QUEST BALANCED FUND C BUY 0 Units @0.0000	0.00	3.34	0.00	3.34	88.0	2.94
12/31/2017	***-**-11IN - MOYLAN, TIMOTHY ACCOUNT #: 02550536217	QUEST INTERNATIONAL VALUE B BUY 0 Units @0.0000	0.00	0.07	0.00	0.07	88.0	0.06
12/31/2017	***-**-69IR - PERRITANO, SUSAN ACCOUNT #: 02550537977	QUEST INTERNATIONAL VALUE B BUY 0 Units @0.0000	0.00	1.61	0.00	1.61	88.0	1.42
12/31/2017	***-**-400K - TEESDALE, ACCOUNT #: 02541113409	QUEST INTERNATIONAL VALUE FUND, INC BUY 0 Units @0.0000	0.00	1.58	0.00	1.58	88.0	1.39
12/31/2017	***-**-698X - FEISTHAMEL ACCOUNT #: 02541130107	QUEST INTERNATIONAL VALUE FUND, INC BUY 0 Units @0.0000	0.00	0.03	0.00	0.03	88.0	0.03
12/31/2017	***-**-718I - LOWE, GREGORY ACCOUNT #: 02541186669	QUEST INTERNATIONAL VALUE FUND, INC BUY 0 Units @0.0000	0.00	0.09	0.00	0.09	88.0	0.08
12/31/2017	***-**-231I - MISHLANIE JR, ACCOUNT #: 02541186680	QUEST INTERNATIONAL VALUE FUND, INC BUY 0 Units @0.0000	0.00	1.61	0.00	1.61	88.0	1.42
12/31/2017	***-**-58IN - CADY, GAIL ACCOUNT #: 02560282953	QUEST INTERNATIONAL VALUE FUND, INC BUY 0 Units @0.0000	0.00	3.71	0.00	3.71	88.0	3.26
12/31/2017	***-**-11IN - MOYLAN, TIMOTHY ACCOUNT #: 02560289795	QUEST INTERNATIONAL VALUE FUND, INC BUY 0 Units @0.0000	0.00	2.19	0.00	2.19	88.0	1.93
12/31/2017	***-**-11IN - MOYLAN, TIMOTHY ACCOUNT #: 02541195997	QUEST INTERNATIONAL VALUE FUND, INC BUY 0 Units @0.0000	0.00	0.00	0.00	0.00	88.0	0.00
12/31/2017	***-**-698X - FEISTHAMEL ACCOUNT #: 02365389967	QUEST OPPORTUNITY VALUE A BUY 0 Units @0.0000	0.00	0.01	0.00	0.01	88.0	0.01
12/31/2017	***-**-090I - RASPANTE, JOHN ACCOUNT #: 02381154945	QUEST OPPORTUNITY VALUE FUND C BUY 0 Units @0.0000	0.00	5.86	0.00	5.86	88.0	5.16
12/31/2017	***-**-91IN - RICHARDSON, ACCOUNT #: 05900979550	REAL ESTATE FUND A BUY 0 Units @0.0000	0.00	2.95	0.00	2.95	88.0	2.60
12/31/2017	***-**-400K - TEESDALE, ACCOUNT #: 05901017676	REAL ESTATE FUND A BUY 0 Units @0.0000	0.00	0.86	0.00	0.86	88.0	0.76



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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>								
12/31/2017	***-**-698X - FEISTHAMEL	REAL ESTATE FUND A	0.00	0.06	0.00	0.06	88.0	0.05
	ACCOUNT #: 05901057661	BUY 0 Units @0.0000						
12/31/2017	***-**-59IN - MORGAN, WILLIAM	REAL ESTATE FUND A	0.00	2.15	0.00	2.15	88.0	1.89
	ACCOUNT #: 05901205897	BUY 0 Units @0.0000						
12/31/2017	***-**-59IN - MORGAN, WILLIAM	REAL ESTATE FUND A	0.00	1.97	0.00	1.97	88.0	1.73
	ACCOUNT #: 05901212926	BUY 0 Units @0.0000						
12/31/2017	***-**-053I - INGERSOLL, ROY	REAL ESTATE FUND A	0.00	0.05	0.00	0.05	88.0	0.04
	ACCOUNT #: 05901278970	BUY 0 Units @0.0000						
12/31/2017	***-**-718I - LOWE, GREGORY	REAL ESTATE FUND A	0.00	0.51	0.00	0.51	88.0	0.45
	ACCOUNT #: 05901291235	BUY 0 Units @0.0000						
12/31/2017	***-**-231I - MISHLANIE JR,	REAL ESTATE FUND A	0.00	1.99	0.00	1.99	88.0	1.75
	ACCOUNT #: 05901291268	BUY 0 Units @0.0000						
12/31/2017	***-**-968I - THIBAUT JR,	REAL ESTATE FUND A	0.00	0.57	0.00	0.57	88.0	0.50
	ACCOUNT #: 05901293765	BUY 0 Units @0.0000						
12/31/2017	***-**-11IN - MOYLAN, TIMOTHY	REAL ESTATE FUND A	0.00	0.02	0.00	0.02	88.0	0.02
	ACCOUNT #: 05901303610	BUY 0 Units @0.0000						
12/31/2017	***-**-0457 - STAGLIANO, GINA	REAL ESTATE FUND A	0.00	0.01	0.00	0.01	88.0	0.01
	ACCOUNT #: 05901305623	BUY 0 Units @0.0000						
12/31/2017	***-**-968I - THIBAUT JR,	REAL ESTATE FUND B	0.00	0.62	0.00	0.62	88.0	0.55
	ACCOUNT #: 05910199859	BUY 0 Units @0.0000						
12/31/2017	***-**-0457 - STAGLIANO, GINA	REAL ESTATE FUND B	0.00	0.07	0.00	0.07	88.0	0.06
	ACCOUNT #: 05910203500	BUY 0 Units @0.0000						
12/31/2017	***-**-11IN - MOYLAN, TIMOTHY	REAL ESTATE FUND B	0.00	0.06	0.00	0.06	88.0	0.05
	ACCOUNT #: 05910204545	BUY 0 Units @0.0000						
12/31/2017	***-**-69IR - PERRITANO, SUSAN	REAL ESTATE FUND B	0.00	0.94	0.00	0.94	88.0	0.83
	ACCOUNT #: 05910211596	BUY 0 Units @0.0000						
12/31/2017	***-**-58IN - CADY, GAIL	REAL ESTATE FUND C	0.00	3.47	0.00	3.47	88.0	3.05
	ACCOUNT #: 05920265584	BUY 0 Units @0.0000						
12/31/2017	***-**-480I - SCOTELLARO,	REAL ESTATE FUND C	0.00	6.78	0.00	6.78	88.0	5.97
	ACCOUNT #: 05920279081	BUY 0 Units @0.0000						
12/31/2017	***-**-29IN - THIBAUT,	REAL ESTATE FUND C	0.00	16.38	0.00	16.38	88.0	14.41
	ACCOUNT #: 05920285846	BUY 0 Units @0.0000						



# COMMISSION STATEMENT

January 15, 2018

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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>								
12/31/2017	***-**-0457 - STAGLIANO, GINA	REAL ESTATE FUND C	0.00	1.26	0.00	1.26	88.0	1.11
	ACCOUNT #: 05920286880	BUY 0 Units @0.0000						
12/31/2017	***-**-11IN - MOYLAN, TIMOTHY	REAL ESTATE FUND C	0.00	2.05	0.00	2.05	88.0	1.80
	ACCOUNT #: 05920286891	BUY 0 Units @0.0000						
12/31/2017	***-**-090I - RASPANTE, JOHN	REAL ESTATE FUND C	0.00	9.14	0.00	9.14	88.0	8.04
	ACCOUNT #: 05920332673	BUY 0 Units @0.0000						
12/31/2017	***-**-4580 - GRIFFITH,	RISING DIVIDENDS FUND A	0.00	7.16	0.00	7.16	88.0	6.30
	ACCOUNT #: 02252428624	BUY 0 Units @0.0000						
12/31/2017	***-**-25IN - PERRITANO,	RISING DIVIDENDS FUND A	0.00	1.98	0.00	1.98	88.0	1.74
	ACCOUNT #: 02252885421	BUY 0 Units @0.0000						
12/31/2017	***-**-91IN - RICHARDSON,	RISING DIVIDENDS FUND A	0.00	3.94	0.00	3.94	88.0	3.47
	ACCOUNT #: 02253970175	BUY 0 Units @0.0000						
12/31/2017	***-**-400K - TEESDALE,	RISING DIVIDENDS FUND A	0.00	1.38	0.00	1.38	88.0	1.21
	ACCOUNT #: 02254058263	BUY 0 Units @0.0000						
12/31/2017	***-**-698X - FEISTHAMEL	RISING DIVIDENDS FUND A	0.00	0.03	0.00	0.03	88.0	0.03
	ACCOUNT #: 02254221514	BUY 0 Units @0.0000						
12/31/2017	***-**-28IN - ALOISIO, IRENE	RISING DIVIDENDS FUND A	0.00	0.11	0.00	0.11	88.0	0.10
	ACCOUNT #: 02254466484	BUY 0 Units @0.0000						
12/31/2017	***-**-61IN - ALOISIO,	RISING DIVIDENDS FUND A	0.00	0.33	0.00	0.33	88.0	0.29
	ACCOUNT #: 02254466495	BUY 0 Units @0.0000						
12/31/2017	***-**-91IN - RICHARDSON,	RISING DIVIDENDS FUND A	0.00	0.40	0.00	0.40	88.0	0.35
	ACCOUNT #: 02254515654	BUY 0 Units @0.0000						
12/31/2017	***-**-59IN - MORGAN, WILLIAM	RISING DIVIDENDS FUND A	0.00	2.31	0.00	2.31	88.0	2.03
	ACCOUNT #: 02254589255	BUY 0 Units @0.0000						
12/31/2017	***-**-59IN - MORGAN, WILLIAM	RISING DIVIDENDS FUND A	0.00	3.55	0.00	3.55	88.0	3.12
	ACCOUNT #: 02254603511	BUY 0 Units @0.0000						
12/31/2017	***-**-5851 - GLEESON, BARBARA	RISING DIVIDENDS FUND A	0.00	2.73	0.00	2.73	88.0	2.40
	ACCOUNT #: 02254680148	BUY 0 Units @0.0000						
12/31/2017	***-**-1588 - FOLEY, JOHN	RISING DIVIDENDS FUND A	0.00	1.94	0.00	1.94	88.0	1.71
	ACCOUNT #: 02254704744	BUY 0 Units @0.0000						
12/31/2017	***-**-794I - INGERSOLL, JOAN	RISING DIVIDENDS FUND A	0.00	1.32	0.00	1.32	88.0	1.16
	ACCOUNT #: 02254716448	BUY 0 Units @0.0000						



# COMMISSION STATEMENT

## January 15, 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>								
12/31/2017	***-**-718I - LOWE, GREGORY	RISING DIVIDENDS FUND A	0.00	1.37	0.00	1.37	88.0	1.21
	ACCOUNT #: 02254747468	BUY 0 Units @0.0000						
12/31/2017	***-**-231I - MISHLANIE JR,	RISING DIVIDENDS FUND A	0.00	13.49	0.00	13.49	88.0	11.87
	ACCOUNT #: 02254747534	BUY 0 Units @0.0000						
12/31/2017	***-**-11IN - MOYLAN, TIMOTHY	RISING DIVIDENDS FUND A	0.00	0.04	0.00	0.04	88.0	0.04
	ACCOUNT #: 02254790082	BUY 0 Units @0.0000						
12/31/2017	***-**-0457 - STAGLIANO, GINA	RISING DIVIDENDS FUND A	0.00	0.02	0.00	0.02	88.0	0.02
	ACCOUNT #: 02254799135	BUY 0 Units @0.0000						
12/31/2017	***-**-609J - CADY, PATRICK	RISING DIVIDENDS FUND A	0.00	1.03	0.00	1.03	88.0	0.91
	ACCOUNT #: 02254799212	BUY 0 Units @0.0000						
12/31/2017	***-**-91IN - RICHARDSON,	RISING DIVIDENDS FUND, INC. B	0.00	0.07	0.00	0.07	88.0	0.06
	ACCOUNT #: 02261614668	BUY 0 Units @0.0000						
12/31/2017	***-**-5851 - GLEESON, BARBARA	RISING DIVIDENDS FUND, INC. B	0.00	0.74	0.00	0.74	88.0	0.65
	ACCOUNT #: 02261677687	BUY 0 Units @0.0000						
12/31/2017	***-**-053I - INGERSOLL, ROY	RISING DIVIDENDS FUND, INC. B	0.00	0.13	0.00	0.13	88.0	0.11
	ACCOUNT #: 02261701051	BUY 0 Units @0.0000						
12/31/2017	***-**-231I - MISHLANIE JR,	RISING DIVIDENDS FUND, INC. B	0.00	0.14	0.00	0.14	88.0	0.12
	ACCOUNT #: 02261729893	BUY 0 Units @0.0000						
12/31/2017	***-**-0457 - STAGLIANO, GINA	RISING DIVIDENDS FUND, INC. B	0.00	0.11	0.00	0.11	88.0	0.10
	ACCOUNT #: 02261746822	BUY 0 Units @0.0000						
12/31/2017	***-**-11IN - MOYLAN, TIMOTHY	RISING DIVIDENDS FUND, INC. B	0.00	0.13	0.00	0.13	88.0	0.11
	ACCOUNT #: 02261751068	BUY 0 Units @0.0000						
12/31/2017	***-**-609J - CADY, PATRICK	RISING DIVIDENDS FUND, INC. B	0.00	1.98	0.00	1.98	88.0	1.74
	ACCOUNT #: 02261757184	BUY 0 Units @0.0000						
12/31/2017	***-**-69IR - PERRITANO, SUSAN	RISING DIVIDENDS FUND, INC. B	0.00	4.45	0.00	4.45	88.0	3.92
	ACCOUNT #: 02261787654	BUY 0 Units @0.0000						
12/31/2017	***-**-59IN - MORGAN, WILLIAM	ROCH. LIMITED TERM NEW YORK MUNICIP	0.00	0.70	0.00	0.70	88.0	0.62
	ACCOUNT #: 03551379004	BUY 0 Units @0.0000						
12/31/2017	***-**-59IN - MORGAN, WILLIAM	ROCHESTER FUND MUNICIPALS A	0.00	0.88	0.00	0.88	88.0	0.77
	ACCOUNT #: 03653494722	BUY 0 Units @0.0000						
12/31/2017	***-**-91IN - RICHARDSON,	SELECT VALUE C	0.00	4.63	0.00	4.63	88.0	4.07
	ACCOUNT #: 06020193534	BUY 0 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>								
12/31/2017	***--28IN - ALOISIO, IRENE	SELECT VALUE FUND A	0.00	0.04	0.00	0.04	88.0	0.04
	ACCOUNT #: 06000750266	BUY 0 Units @0.0000						
12/31/2017	***--61IN - ALOISIO,	SELECT VALUE FUND A	0.00	0.31	0.00	0.31	88.0	0.27
	ACCOUNT #: 06000750277	BUY 0 Units @0.0000						
12/31/2017	***--91IN - RICHARDSON,	SELECT VALUE FUND A	0.00	0.15	0.00	0.15	88.0	0.13
	ACCOUNT #: 06000790262	BUY 0 Units @0.0000						
12/31/2017	***--91IN - RICHARDSON,	SELECT VALUE FUND B	0.00	0.09	0.00	0.09	88.0	0.08
	ACCOUNT #: 06010108471	BUY 0 Units @0.0000						
12/31/2017	***--480I - SCOTELLARO,	SENIOR FLOATING RATE FUND C	0.00	1.28	0.00	1.28	88.0	1.13
	ACCOUNT #: 02931730520	BUY 0 Units @0.0000						
12/31/2017	***--0457 - STAGLIANO, GINA	SENIOR FLOATING RATE FUND C	0.00	1.26	0.00	1.26	88.0	1.11
	ACCOUNT #: 02931758372	BUY 0 Units @0.0000						
12/31/2017	***--090I - RASPANTE, JOHN	SENIOR FLOATING RATE FUND C	0.00	2.40	0.00	2.40	88.0	2.11
	ACCOUNT #: 02932007225	BUY 0 Units @0.0000						
12/31/2017	***--91IN - RICHARDSON,	SMALL- & MID- CAP VALUE B	0.00	0.12	0.00	0.12	88.0	0.11
	ACCOUNT #: 02521421750	BUY 0 Units @0.0000						
12/31/2017	***--5851 - GLEESON, BARBARA	SMALL- & MID- CAP VALUE B	0.00	1.29	0.00	1.29	88.0	1.14
	ACCOUNT #: 02521469193	BUY 0 Units @0.0000						
12/31/2017	***--0457 - STAGLIANO, GINA	SMALL- & MID- CAP VALUE B	0.00	0.08	0.00	0.08	88.0	0.07
	ACCOUNT #: 02521506659	BUY 0 Units @0.0000						
12/31/2017	***--58IN - CADY, GAIL	SMALL- & MID- CAP VALUE FUND C	0.00	4.05	0.00	4.05	88.0	3.56
	ACCOUNT #: 02531131966	BUY 0 Units @0.0000						
12/31/2017	***--91IN - RICHARDSON,	SMALL- & MID- CAP VALUE FUND C	0.00	6.38	0.00	6.38	88.0	5.61
	ACCOUNT #: 02531164691	BUY 0 Units @0.0000						
12/31/2017	***--0457 - STAGLIANO, GINA	SMALL- & MID- CAP VALUE FUND C	0.00	1.55	0.00	1.55	88.0	1.36
	ACCOUNT #: 02531164735	BUY 0 Units @0.0000						
12/31/2017	***--090I - RASPANTE, JOHN	SMALL- & MID- CAP VALUE FUND C	0.00	3.13	0.00	3.13	88.0	2.75
	ACCOUNT #: 02531206898	BUY 0 Units @0.0000						
12/31/2017	***--480I - SCOTELLARO,	STRATEGIC INCOME FUND C	0.00	7.59	0.00	7.59	88.0	6.68
	ACCOUNT #: 02322654102	BUY 0 Units @0.0000						
12/31/2017	***--7473 - SCOTELLARO,	STRATEGIC INCOME FUND C	0.00	1.41	0.00	1.41	88.0	1.24
	ACCOUNT #: 02322945965	BUY 0 Units @0.0000						



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<b>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b>								
12/31/2017	***-**-69IR - PERRITANO, SUSAN	U.S. GOVERNMENT TRUST B	0.00	0.82	0.00	0.82	88.0	0.72
	ACCOUNT #: 02211141074	BUY 0 Units @0.0000						
12/31/2017	***-**-58IN - CADY, GAIL	U.S. GOVERNMENT TRUST C	0.00	1.03	0.00	1.03	88.0	0.91
	ACCOUNT #: 02220682638	BUY 0 Units @0.0000						
	<b>* MUTUAL FUND 12B1 TRAILS SUBTOTAL *</b>		<b>\$600.00</b>	<b>\$568.62</b>	<b>\$0.00</b>	<b>\$568.62</b>		<b>\$500.44</b>
	<b>*** BROKER TRANSACTIONS TOTAL ***</b>		<b>\$81,280.57</b>	<b>\$1,570.12</b>	<b>\$162.26</b>	<b>\$1,407.86</b>		<b>\$1,238.97</b>

### VERRIDE TRANSACTIONS

#### BROKER: KURT GRUENEWALD

01/05/2018	***-**-35IN - RUGGIERO, LAURIE	AMERICAN GLOBAL BALANCED CL C	8,500.01	85.00	0.00	85.00	88.0	74.80
	ACCOUNT #: LSR012314	BUY 258 Units @32.9500						
12/31/2017	***-**-84IN - WARMUTH, ERIC	CAPITAL APPRECIATION A	0.00	5.09	0.00	5.09	88.0	4.48
	ACCOUNT #: 02703492687	BUY 0 Units @0.0000						
12/31/2017	***-**-84IN - WARMUTH, ERIC	CAPITAL INCOME A	0.00	4.34	0.00	4.34	88.0	3.82
	ACCOUNT #: 03450098560	BUY 0 Units @0.0000						
12/31/2017	***-**-391I - MASTRANGELO,	DEVELOPING MARKETS FUND B	0.00	5.09	0.00	5.09	88.0	4.48
	ACCOUNT #: 07860944713	BUY 0 Units @0.0000						
12/31/2017	***-**-5375 - CARTER, LISA	DEVELOPING MARKETS FUND B	0.00	1.23	0.00	1.23	88.0	1.08
	ACCOUNT #: 07860983444	BUY 0 Units @0.0000						
12/31/2017	***-**-524I - SCALISE, JOSEPH	DEVELOPING MARKETS FUND B	0.00	0.77	0.00	0.77	88.0	0.68
	ACCOUNT #: 07860984830	BUY 0 Units @0.0000						
12/31/2017	***-**-69IN - EVANS, PAUL	DEVELOPING MARKETS FUND B	0.00	0.45	0.00	0.45	88.0	0.40
	ACCOUNT #: 07860987899	BUY 0 Units @0.0000						
12/31/2017	***-**-31IR - HARTZ, CLAUDIA	DEVELOPING MARKETS FUND B	0.00	1.47	0.00	1.47	88.0	1.29
	ACCOUNT #: 07860991188	BUY 0 Units @0.0000						
12/31/2017	***-**-391I - MASTRANGELO,	DISCOVERY FUND B	0.00	5.83	0.00	5.83	88.0	5.13
	ACCOUNT #: 05011832864	BUY 0 Units @0.0000						
12/31/2017	***-**-96IN - NESSIA, BONNIE	DISCOVERY FUND C	0.00	10.25	0.00	10.25	88.0	9.02
	ACCOUNT #: 05020467148	BUY 0 Units @0.0000						
01/05/2018	***-**-35IN - RUGGIERO, LAURIE	EATON VANCE FLOATING RATE ADVANTAGE	5,500.00	55.00	0.00	55.00	88.0	48.40
	ACCOUNT #: LSR012314	BUY 506 Units @10.8800						



# COMMISSION STATEMENT

## January 15, 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> OVERRIDE TRANSACTIONS (continued)</b>								
<b> BROKER: KURT GRUENEWALD (continued)</b>								
12/31/2017	***-**-973I - LABAYEWSKI, ACCOUNT #: 08352638471	EQUITY INCOME FUND, INC. A BUY 0 Units @0.0000	0.00	1.87	0.00	1.87	88.0	1.65
12/31/2017	***-**-633J - ACCOUNT #: 08353229688	EQUITY INCOME FUND, INC. A BUY 0 Units @0.0000	0.00	1.57	0.00	1.57	88.0	1.38
12/31/2017	***-**-0767 - DOVI, ACCOUNT #: 08353253965	EQUITY INCOME FUND, INC. A BUY 0 Units @0.0000	0.00	3.70	0.00	3.70	88.0	3.26
12/31/2017	***-**-0069 - KRECIDLO, ACCOUNT #: 08353280112	EQUITY INCOME FUND, INC. A BUY 0 Units @0.0000	0.00	1.91	0.00	1.91	88.0	1.68
12/31/2017	***-**-391I - MASTRANGELO, ACCOUNT #: 08353280530	EQUITY INCOME FUND, INC. A BUY 0 Units @0.0000	0.00	2.02	0.00	2.02	88.0	1.78
12/31/2017	***-**-09IN - BATES, CHRISTINE ACCOUNT #: 08353313343	EQUITY INCOME FUND, INC. A BUY 0 Units @0.0000	0.00	11.86	0.00	11.86	88.0	10.44
12/31/2017	***-**-31IR - HARTZ, CLAUDIA ACCOUNT #: 08353346563	EQUITY INCOME FUND, INC. A BUY 0 Units @0.0000	0.00	0.46	0.00	0.46	88.0	0.40
12/31/2017	***-**-0069 - KRECIDLO, ACCOUNT #: 08360444037	EQUITY INCOME FUND, INC. B BUY 0 Units @0.0000	0.00	0.74	0.00	0.74	88.0	0.65
12/31/2017	***-**-391I - MASTRANGELO, ACCOUNT #: 08360447128	EQUITY INCOME FUND, INC. B BUY 0 Units @0.0000	0.00	10.39	0.00	10.39	88.0	9.14
12/31/2017	***-**-5375 - CARTER, LISA ACCOUNT #: 08360489654	EQUITY INCOME FUND, INC. B BUY 0 Units @0.0000	0.00	2.13	0.00	2.13	88.0	1.87
12/31/2017	***-**-31IR - HARTZ, CLAUDIA ACCOUNT #: 08360498366	EQUITY INCOME FUND, INC. B BUY 0 Units @0.0000	0.00	1.85	0.00	1.85	88.0	1.63
12/31/2017	***-**-28IN - BYWATER, KIM ACCOUNT #: 08370440000	EQUITY INCOME FUND, INC. C BUY 0 Units @0.0000	0.00	0.57	0.00	0.57	88.0	0.50
12/31/2017	***-**-78IN - FALES, JOAN ACCOUNT #: 08370484165	EQUITY INCOME FUND, INC. C BUY 0 Units @0.0000	0.00	1.24	0.00	1.24	88.0	1.09
12/31/2017	***-**-96IN - NESSIA, BONNIE ACCOUNT #: 08370494010	EQUITY INCOME FUND, INC. C BUY 0 Units @0.0000	0.00	20.41	0.00	20.41	88.0	17.96
12/31/2017	***-**-31IR - HARTZ, CLAUDIA ACCOUNT #: 08370502436	EQUITY INCOME FUND, INC. C BUY 0 Units @0.0000	0.00	8.37	0.00	8.37	88.0	7.37
12/31/2017	***-**-14IN - LINES, JUDITH ACCOUNT #: 08370570075	EQUITY INCOME FUND, INC. C BUY 0 Units @0.0000	0.00	11.33	0.00	11.33	88.0	9.97



# COMMISSION STATEMENT

## January 15, 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><u> OVERRIDE TRANSACTIONS (continued) </u></b>								
<b><u> BROKER: KURT GRUENEWALD (continued) </u></b>								
12/31/2017	***-**-48JT - LEE, DARLENE	EQUITY INCOME FUND, INC. C	0.00	3.36	0.00	3.36	88.0	2.96
	ACCOUNT #: 08370750926	BUY 0 Units @0.0000						
01/08/2018	***-**-45IO - JOHNSON, GREGORY	FRK GROWTH OPPORTUNITIES CL C	8,499.99	1.99	0.00	1.99	88.0	1.75
	ACCOUNT #: LSR011421	SELL 265 Units @32.0300						
01/05/2018	***-**-35IN - RUGGIERO, LAURIE	FUNDAMENTAL INVESTORS-C	6,999.99	70.00	0.00	70.00	88.0	61.60
	ACCOUNT #: LSR012314	BUY 110 Units @63.5600						
12/31/2017	***-**-0069 - KRECIDL0,	GLOBAL FUND A	0.00	2.39	0.00	2.39	88.0	2.10
	ACCOUNT #: 03307873373	BUY 0 Units @0.0000						
12/31/2017	***-**-0069 - KRECIDL0,	GLOBAL FUND B	0.00	1.22	0.00	1.22	88.0	1.07
	ACCOUNT #: 03316631251	BUY 0 Units @0.0000						
12/31/2017	***-**-960I - MASTRANGELO,	GLOBAL OPPORTUNITIES A	0.00	1.70	0.00	1.70	88.0	1.50
	ACCOUNT #: 02158012400	BUY 0 Units @0.0000						
12/31/2017	***-**-1491 - GUNN, EDWARD	GLOBAL OPPORTUNITIES A	0.00	4.89	0.00	4.89	88.0	4.30
	ACCOUNT #: 02158058303	BUY 0 Units @0.0000						
12/31/2017	***-**-09IN - BATES, CHRISTINE	GLOBAL OPPORTUNITIES A	0.00	15.11	0.00	15.11	88.0	13.30
	ACCOUNT #: 02158069743	BUY 0 Units @0.0000						
12/31/2017	***-**-84IN - WARMUTH, ERIC	GOLD & SPECIAL MINERALS A	0.00	1.50	0.00	1.50	88.0	1.32
	ACCOUNT #: 04103537149	BUY 0 Units @0.0000						
12/31/2017	***-**-237I - MCCLUSKY, MARK	GOLD & SPECIAL MINERALS A	0.00	0.37	0.00	0.37	88.0	0.33
	ACCOUNT #: 04104653792	BUY 0 Units @0.0000						
12/31/2017	***-**-3749 - DEPEYSTER,	GOLD & SPECIAL MINERALS A	0.00	0.23	0.00	0.23	88.0	0.20
	ACCOUNT #: 04104658049	BUY 0 Units @0.0000						
12/31/2017	***-**-0767 - DOVI,	GOLD & SPECIAL MINERALS A	0.00	0.18	0.00	0.18	88.0	0.16
	ACCOUNT #: 04104666585	BUY 0 Units @0.0000						
12/31/2017	***-**-0069 - KRECIDL0,	GOLD & SPECIAL MINERALS A	0.00	0.20	0.00	0.20	88.0	0.18
	ACCOUNT #: 04104675077	BUY 0 Units @0.0000						
12/31/2017	***-**-391I - MASTRANGELO,	GOLD & SPECIAL MINERALS A	0.00	0.21	0.00	0.21	88.0	0.18
	ACCOUNT #: 04104675297	BUY 0 Units @0.0000						
12/31/2017	***-**-1491 - GUNN, EDWARD	GOLD & SPECIAL MINERALS A	0.00	0.21	0.00	0.21	88.0	0.18
	ACCOUNT #: 04104683217	BUY 0 Units @0.0000						
12/31/2017	***-**-09IN - BATES, CHRISTINE	GOLD & SPECIAL MINERALS A	0.00	1.25	0.00	1.25	88.0	1.10
	ACCOUNT #: 04104685582	BUY 0 Units @0.0000						



# COMMISSION STATEMENT

## January 15, 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>								
12/31/2017	***-**-2603 - MASTRANGELO, ACCOUNT #: 04104688728	GOLD & SPECIAL MINERALS A BUY 0 Units @0.0000	0.00	0.24	0.00	0.24	88.0	0.21
12/31/2017	***-**-311R - HARTZ, CLAUDIA ACCOUNT #: 04104696516	GOLD & SPECIAL MINERALS A BUY 0 Units @0.0000	0.00	0.11	0.00	0.11	88.0	0.10
12/31/2017	***-**-0069 - KRECIDLO, ACCOUNT #: 04110576708	GOLD & SPECIAL MINERALS FUND B BUY 0 Units @0.0000	0.00	0.14	0.00	0.14	88.0	0.12
12/31/2017	***-**-391I - MASTRANGELO, ACCOUNT #: 04110578864	GOLD & SPECIAL MINERALS FUND B BUY 0 Units @0.0000	0.00	0.46	0.00	0.46	88.0	0.40
12/31/2017	***-**-5375 - CARTER, LISA ACCOUNT #: 04110599907	GOLD & SPECIAL MINERALS FUND B BUY 0 Units @0.0000	0.00	0.26	0.00	0.26	88.0	0.23
12/31/2017	***-**-311R - HARTZ, CLAUDIA ACCOUNT #: 04110606419	GOLD & SPECIAL MINERALS FUND B BUY 0 Units @0.0000	0.00	0.36	0.00	0.36	88.0	0.32
12/31/2017	***-**-0767 - DOVI, ACCOUNT #: 08810326811	INTERNATIONAL BOND A BUY 0 Units @0.0000	0.00	1.40	0.00	1.40	88.0	1.23
12/31/2017	***-**-960I - MASTRANGELO, ACCOUNT #: 08810337228	INTERNATIONAL BOND A BUY 0 Units @0.0000	0.00	0.40	0.00	0.40	88.0	0.35
12/31/2017	***-**-1491 - GUNN, EDWARD ACCOUNT #: 08810347513	INTERNATIONAL BOND A BUY 0 Units @0.0000	0.00	1.59	0.00	1.59	88.0	1.40
12/31/2017	***-**-09IN - BATES, CHRISTINE ACCOUNT #: 08810351011	INTERNATIONAL BOND A BUY 0 Units @0.0000	0.00	4.35	0.00	4.35	88.0	3.83
12/31/2017	***-**-2603 - MASTRANGELO, ACCOUNT #: 08810354960	INTERNATIONAL BOND A BUY 0 Units @0.0000	0.00	0.70	0.00	0.70	88.0	0.62
12/31/2017	***-**-84IN - WARMUTH, ERIC ACCOUNT #: 08250106216	INTERNATIONAL GROWTH FUND A BUY 0 Units @0.0000	0.00	6.09	0.00	6.09	88.0	5.36
12/31/2017	***-**-69IN - EVANS, PAUL ACCOUNT #: 08152454089	INTERNATIONAL SMALL COMPANY A BUY 0 Units @0.0000	0.00	1.08	0.00	1.08	88.0	0.95
12/31/2017	***-**-69IN - EVANS, PAUL ACCOUNT #: 08160415074	INTERNATIONAL SMALL COMPANY FUND B BUY 0 Units @0.0000	0.00	0.54	0.00	0.54	88.0	0.48
12/31/2017	***-**-311R - HARTZ, CLAUDIA ACCOUNT #: 08160415613	INTERNATIONAL SMALL COMPANY FUND B BUY 0 Units @0.0000	0.00	1.58	0.00	1.58	88.0	1.39
12/31/2017	***-**-1944 - BEHA, JAMES ACCOUNT #: 08571144451	LIMITED-TERM GOVERNMENT FUND C BUY 0 Units @0.0000	0.00	2.80	0.00	2.80	88.0	2.46



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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b> OVERRIDE TRANSACTIONS (continued)</b>								
<b> BROKER: KURT GRUENEWALD (continued)</b>								
12/31/2017	***-**-84IN - WARMUTH, ERIC	MAIN STREET FUND A	0.00	8.65	0.00	8.65	88.0	7.61
	ACCOUNT #: 07005442085	BUY 0 Units @0.0000						
12/31/2017	***-**-960I - MASTRANGELO,	MAIN STREET FUND A	0.00	1.68	0.00	1.68	88.0	1.48
	ACCOUNT #: 07006358641	BUY 0 Units @0.0000						
12/31/2017	***-**-149I - GUNN, EDWARD	MAIN STREET FUND A	0.00	6.38	0.00	6.38	88.0	5.61
	ACCOUNT #: 07006432891	BUY 0 Units @0.0000						
12/31/2017	***-**-14IN - LINES, JUDITH	MAIN STREET FUND C	0.00	17.42	0.00	17.42	88.0	15.33
	ACCOUNT #: 07024373501	BUY 0 Units @0.0000						
12/31/2017	***-**-391I - MASTRANGELO,	MAIN STREET SMALL CAP FUND B	0.00	9.33	0.00	9.33	88.0	8.21
	ACCOUNT #: 08481869307	BUY 0 Units @0.0000						
12/31/2017	***-**-5375 - CARTER, LISA	MAIN STREET SMALL CAP FUND B	0.00	2.21	0.00	2.21	88.0	1.94
	ACCOUNT #: 08481882045	BUY 0 Units @0.0000						
12/31/2017	***-**-31IR - HARTZ, CLAUDIA	MAIN STREET SMALL CAP FUND B	0.00	1.99	0.00	1.99	88.0	1.75
	ACCOUNT #: 08481885785	BUY 0 Units @0.0000						
01/05/2018	***-**-35IN - RUGGIERO, LAURIE	MFS CONSERVATIVE ALLOCATION CL C	11,000.00	110.00	0.00	110.00	88.0	96.80
	ACCOUNT #: LSR012314	BUY 714 Units @15.4100						
01/05/2018	***-**-35IN - RUGGIERO, LAURIE	MFS DIVERSIFIED INCOME FD CL C	6,999.99	7,052.00	0.00	7,052.00	88.0	6,205.76
	ACCOUNT #: LSR012314	BUY 557 Units @12.5700						
01/05/2018	***-**-35IN - RUGGIERO, LAURIE	MFS DIVERSIFIED INCOME FD CL C	-6,999.99	-7,052.00	0.00	-7,052.00	88.0	-6,205.76
	ACCOUNT #: LSR012314	CANCEL 557 Units @12.5700						
01/05/2018	***-**-35IN - RUGGIERO, LAURIE	MFS DIVERSIFIED INCOME FD CL C	6,999.99	52.00	0.00	52.00	88.0	45.76
	ACCOUNT #: LSR012314	BUY 557 Units @12.5700						
12/28/2017	***-**-13IN - RHYMESTINE,	MFS EMERGING MARKETS EQUITY FUND-B	50.00	2.00	0.00	2.00	88.0	1.76
	ACCOUNT #: 08191178476	BUY 2 Units @32.3200						
12/28/2017	***-**-13IN - RHYMESTINE,	MFS EMERGING MKT DEBT CL B	50.00	2.00	0.00	2.00	88.0	1.76
	ACCOUNT #: 08191178476	BUY 3 Units @15.1500						
12/28/2017	***-**-13IN - RHYMESTINE,	MFS INTERNATIONAL VALUE FUND-B	100.00	4.00	0.00	4.00	88.0	3.52
	ACCOUNT #: 08191178476	BUY 2 Units @41.1200						
01/05/2018	***-**-35IN - RUGGIERO, LAURIE	MFS TECHNOLOGY CLASS C	10,000.01	100.00	0.00	100.00	88.0	88.00
	ACCOUNT #: LSR012314	BUY 300 Units @33.2800						
12/28/2017	***-**-13IN - RHYMESTINE,	MFS TOTAL RETURN FUND-B	50.00	2.00	0.00	2.00	88.0	1.76
	ACCOUNT #: 08191178476	BUY 3 Units @19.2100						



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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>								
01/05/2018	***-**-35IN - RUGGIERO, LAURIE	MFS UTILITIES FUND-C	6,500.00	65.00	0.00	65.00	88.0	57.20
	ACCOUNT #: LSR012314	BUY 323 Units @20.1400						
01/15/2018	***-**-9440 - MAYO, DEBORAH	NEW YORK 529 TRAILS	0.00	8.29	0.00	8.29	88.0	7.30
	ACCOUNT #: 77002217601	BUY 0 Units @0.0000						
01/15/2018	***-**-80IN - COBB, JAMES	NEW YORK 529 TRAILS	0.00	34.03	0.00	34.03	88.0	29.95
	ACCOUNT #: 77169961901	BUY 0 Units @0.0000						
01/15/2018	***-**-665P - MCCLUSKY, YVONNE	NEW YORK 529 TRAILS	0.00	0.57	0.00	0.57	88.0	0.50
	ACCOUNT #: 77237884701	BUY 0 Units @0.0000						
01/15/2018	***-**-0069 - KRECIDL0,	NEW YORK 529 TRAILS	0.00	2.02	0.00	2.02	88.0	1.78
	ACCOUNT #: 77308070501	BUY 0 Units @0.0000						
01/15/2018	***-**-614J - BUSHEY, MATTHEW	NEW YORK 529 TRAILS	0.00	3.04	0.00	3.04	88.0	2.68
		BUY 0 Units @0.0000						
01/15/2018	***-**-5384 - GURDO, JESSICA	NEW YORK 529 TRAILS	0.00	0.14	0.00	0.14	88.0	0.12
		BUY 0 Units @0.0000						
01/15/2018	***-**-0767 - DOVI,	NEW YORK 529 TRAILS	0.00	0.75	0.00	0.75	88.0	0.66
	ACCOUNT #: 77579193101	BUY 0 Units @0.0000						
01/15/2018	***-**-251I - SCALISE, MARY	NEW YORK 529 TRAILS	0.00	35.04	0.00	35.04	88.0	30.84
	ACCOUNT #: 77691153101	BUY 0 Units @0.0000						
01/15/2018	***-**-635P - LASCALA, DEBORAH	NEW YORK 529 TRAILS	0.00	1.58	0.00	1.58	88.0	1.39
	ACCOUNT #: 77699193301	BUY 0 Units @0.0000						
01/15/2018	***-**-065P - CAMPBELL, PAMELA	NEW YORK 529 TRAILS	0.00	0.77	0.00	0.77	88.0	0.68
	ACCOUNT #: 77830931201	BUY 0 Units @0.0000						
01/15/2018	***-**-473J - HUSTON,	NEW YORK 529 TRAILS	0.00	12.52	0.00	12.52	88.0	11.02
	ACCOUNT #: 77852732402	BUY 0 Units @0.0000						
01/15/2018	***-**-20IR - DEMETRI, AMELIA	NEW YORK 529 TRAILS	0.00	0.94	0.00	0.94	88.0	0.83
	ACCOUNT #: 77854436501	BUY 0 Units @0.0000						
01/15/2018	***-**-205P - RHYMESTINE, ERIC	NEW YORK 529 TRAILS	0.00	0.51	0.00	0.51	88.0	0.45
	ACCOUNT #: 77885699801	BUY 0 Units @0.0000						
12/31/2017	***-**-633J -	OPP PORT SERIES: ACTIVE ALLOC A	0.00	1.60	0.00	1.60	88.0	1.41
	ACCOUNT #: 05502871176	BUY 0 Units @0.0000						
12/31/2017	***-**-524I - SCALISE, JOSEPH	OPP STEELPATH MLP ALPHA+ FND C	0.00	0.08	0.00	0.08	88.0	0.07
	ACCOUNT #: 00100019119	BUY 0 Units @0.0000						



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<b><u> OVERRIDE TRANSACTIONS (continued) </u></b>								
<b><u> BROKER: KURT GRUENEWALD (continued) </u></b>								
12/31/2017	***-**-13IN - BLISS, PATRICK ACCOUNT #: 05521022681	OPPENHEIMER ACTIVE ALLOCATION FUND BUY 0 Units @0.0000	0.00	8.04	0.00	8.04	88.0	7.08
12/31/2017	***-**-775I - BLISS, APRIL ACCOUNT #: 05521022692	OPPENHEIMER ACTIVE ALLOCATION FUND BUY 0 Units @0.0000	0.00	10.00	0.00	10.00	88.0	8.80
12/31/2017	***-**-48JT - LEE, DARLENE ACCOUNT #: 05521043603	OPPENHEIMER ACTIVE ALLOCATION FUND BUY 0 Units @0.0000	0.00	3.36	0.00	3.36	88.0	2.96
12/31/2017	***-**-1944 - BEHA, JAMES ACCOUNT #: 07871306525	OPPENHEIMER DEV MARKETS FD CLASS C BUY 0 Units @0.0000	0.00	5.43	0.00	5.43	88.0	4.78
12/31/2017	***-**-28IN - BYWATER, KIM ACCOUNT #: 07871970914	OPPENHEIMER DEV MARKETS FD CLASS C BUY 0 Units @0.0000	0.00	0.41	0.00	0.41	88.0	0.36
12/31/2017	***-**-524I - SCALISE, JOSEPH ACCOUNT #: 07872061521	OPPENHEIMER DEV MARKETS FD CLASS C BUY 0 Units @0.0000	0.00	5.33	0.00	5.33	88.0	4.69
12/31/2017	***-**-31IR - HARTZ, CLAUDIA ACCOUNT #: 07872093014	OPPENHEIMER DEV MARKETS FD CLASS C BUY 0 Units @0.0000	0.00	2.96	0.00	2.96	88.0	2.60
12/31/2017	***-**-3749 - DEPEYSTER, ACCOUNT #: 07862860001	OPPENHEIMER DEVELOPING MARKETS CLAS BUY 0 Units @0.0000	0.00	0.76	0.00	0.76	88.0	0.67
12/31/2017	***-**-0767 - DOVI, ACCOUNT #: 07862886753	OPPENHEIMER DEVELOPING MARKETS CLAS BUY 0 Units @0.0000	0.00	2.78	0.00	2.78	88.0	2.45
12/31/2017	***-**-1491 - GUNN, EDWARD ACCOUNT #: 07862938926	OPPENHEIMER DEVELOPING MARKETS CLAS BUY 0 Units @0.0000	0.00	2.62	0.00	2.62	88.0	2.31
12/31/2017	***-**-09IN - BATES, CHRISTINE ACCOUNT #: 07862942457	OPPENHEIMER DEVELOPING MARKETS CLAS BUY 0 Units @0.0000	0.00	11.00	0.00	11.00	88.0	9.68
12/31/2017	***-**-2603 - MASTRANGELO, ACCOUNT #: 07862947055	OPPENHEIMER DEVELOPING MARKETS CLAS BUY 0 Units @0.0000	0.00	0.87	0.00	0.87	88.0	0.77
12/31/2017	***-**-524I - SCALISE, JOSEPH ACCOUNT #: 07862950586	OPPENHEIMER DEVELOPING MARKETS CLAS BUY 0 Units @0.0000	0.00	0.43	0.00	0.43	88.0	0.38
12/31/2017	***-**-69IN - EVANS, PAUL ACCOUNT #: 07862954403	OPPENHEIMER DEVELOPING MARKETS CLAS BUY 0 Units @0.0000	0.00	0.88	0.00	0.88	88.0	0.77
12/31/2017	***-**-31IR - HARTZ, CLAUDIA ACCOUNT #: 07862957439	OPPENHEIMER DEVELOPING MARKETS CLAS BUY 0 Units @0.0000	0.00	0.31	0.00	0.31	88.0	0.27
12/31/2017	***-**-0069 - KRECIDLO, ACCOUNT #: 05005738601	OPPENHEIMER DISCOVERY CLASS A BUY 0 Units @0.0000	0.00	1.70	0.00	1.70	88.0	1.50





# COMMISSION STATEMENT

## January 15, 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> OVERRIDE TRANSACTIONS (continued)</b>								
<b> <u>BROKER: KURT GRUENEWALD (continued)</u></b>								
12/31/2017	***-**-391I - MASTRANGELO, ACCOUNT #: 05005977620	OPPENHEIMER DISCOVERY CLASS A BUY 0 Units @0.0000	0.00	1.03	0.00	1.03	88.0	0.91
12/31/2017	***-**-149I - GUNN, EDWARD ACCOUNT #: 05005989148	OPPENHEIMER DISCOVERY CLASS A BUY 0 Units @0.0000	0.00	2.63	0.00	2.63	88.0	2.31
12/31/2017	***-**-48JT - LEE, DARLENE ACCOUNT #: 00100021715	OPPENHEIMER GBL REAL ESTATE FUND C BUY 0 Units @0.0000	0.00	2.85	0.00	2.85	88.0	2.51
12/31/2017	***-**-973I - LABAYEWSKI, ACCOUNT #: 06870116919	OPPENHEIMER GLOBAL VALUE FUND CL A BUY 0 Units @0.0000	0.00	1.67	0.00	1.67	88.0	1.47
12/31/2017	***-**-14IN - LINES, JUDITH ACCOUNT #: 06890025267	OPPENHEIMER GLOBAL VALUE FUND CL C BUY 0 Units @0.0000	0.00	14.91	0.00	14.91	88.0	13.12
12/31/2017	***-**-1944 - BEHA, JAMES ACCOUNT #: 04120615032	OPPENHEIMER GOLD & SPECIAL MINERALS BUY 0 Units @0.0000	0.00	1.66	0.00	1.66	88.0	1.46
12/31/2017	***-**-31IR - HARTZ, CLAUDIA ACCOUNT #: 04120821381	OPPENHEIMER GOLD & SPECIAL MINERALS BUY 0 Units @0.0000	0.00	0.42	0.00	0.42	88.0	0.37
12/31/2017	***-**-96IN - NESSIA, BONNIE ACCOUNT #: 08822034824	OPPENHEIMER INT'L BOND CLASS C BUY 0 Units @0.0000	0.00	5.24	0.00	5.24	88.0	4.61
12/31/2017	***-**-973I - LABAYEWSKI, ACCOUNT #: 01952877039	OPPENHEIMER INTERNATIONAL DIVERSIFI BUY 0 Units @0.0000	0.00	2.14	0.00	2.14	88.0	1.88
12/31/2017	***-**-633J - ACCOUNT #: 01953330426	OPPENHEIMER INTERNATIONAL DIVERSIFI BUY 0 Units @0.0000	0.00	1.67	0.00	1.67	88.0	1.47
12/31/2017	***-**-48JT - LEE, DARLENE ACCOUNT #: 01971019612	OPPENHEIMER INTERNATIONAL DIVERSIFI BUY 0 Units @0.0000	0.00	3.58	0.00	3.58	88.0	3.15
12/31/2017	***-**-14IN - LINES, JUDITH ACCOUNT #: 01971035265	OPPENHEIMER INTERNATIONAL DIVERSIFI BUY 0 Units @0.0000	0.00	14.17	0.00	14.17	88.0	12.47
12/31/2017	***-**-28IN - BYWATER, KIM ACCOUNT #: 08170362626	OPPENHEIMER INTERNATIONAL SMALL COM BUY 0 Units @0.0000	0.00	0.73	0.00	0.73	88.0	0.64
12/31/2017	***-**-96IN - NESSIA, BONNIE ACCOUNT #: 08170371459	OPPENHEIMER INTERNATIONAL SMALL COM BUY 0 Units @0.0000	0.00	18.10	0.00	18.10	88.0	15.93
12/31/2017	***-**-31IR - HARTZ, CLAUDIA ACCOUNT #: 08170372680	OPPENHEIMER INTERNATIONAL SMALL COM BUY 0 Units @0.0000	0.00	10.60	0.00	10.60	88.0	9.33
12/31/2017	***-**-31IO - WILLIAMSON, FBO ACCOUNT #: 08170406615	OPPENHEIMER INTERNATIONAL SMALL COM BUY 0 Units @0.0000	0.00	3.49	0.00	3.49	88.0	3.07



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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>								
12/31/2017	***-**-5375 - CARTER, LISA ACCOUNT #: 08811178738	OPPENHEIMER INTL BOND CLASS B BUY 0 Units @0.0000	0.00	1.01	0.00	1.01	88.0	0.89
12/31/2017	***-**-391I - MASTRANGELO, ACCOUNT #: 08811186460	OPPENHEIMER INTL BOND CLASS B BUY 0 Units @0.0000	0.00	4.31	0.00	4.31	88.0	3.79
12/31/2017	***-**-0767 - DOVI, ACCOUNT #: 08477584335	OPPENHEIMER MAIN STREET SMALL CAP F BUY 0 Units @0.0000	0.00	0.53	0.00	0.53	88.0	0.47
12/31/2017	***-**-973I - LABAYEWSKI, ACCOUNT #: 08477272342	OPPENHEIMER MAIN STREET SMALL CAP F BUY 0 Units @0.0000	0.00	1.36	0.00	1.36	88.0	1.20
12/31/2017	***-**-0767 - DOVI, ACCOUNT #: 08477584467	OPPENHEIMER MAIN STREET SMALL CAP F BUY 0 Units @0.0000	0.00	3.64	0.00	3.64	88.0	3.20
12/31/2017	***-**-391I - MASTRANGELO, ACCOUNT #: 08477604212	OPPENHEIMER MAIN STREET SMALL CAP F BUY 0 Units @0.0000	0.00	1.68	0.00	1.68	88.0	1.48
12/31/2017	***-**-31IR - HARTZ, CLAUDIA ACCOUNT #: 08491519782	OPPENHEIMER MAIN STREET SMALL CAP F BUY 0 Units @0.0000	0.00	8.91	0.00	8.91	88.0	7.84
12/31/2017	***-**-31IR - HARTZ, CLAUDIA ACCOUNT #: 08477648025	OPPENHEIMER MAIN STREET SMALL CAP F BUY 0 Units @0.0000	0.00	0.44	0.00	0.44	88.0	0.39
12/31/2017	***-**-1944 - BEHA, JAMES ACCOUNT #: 02270678062	OPPENHEIMER RISING DIVIDENDS FUND C BUY 0 Units @0.0000	0.00	15.99	0.00	15.99	88.0	14.07
12/31/2017	***-**-28IN - BYWATER, KIM ACCOUNT #: 02270885720	OPPENHEIMER RISING DIVIDENDS FUND C BUY 0 Units @0.0000	0.00	0.51	0.00	0.51	88.0	0.45
12/31/2017	***-**-78IN - FALES, JOAN ACCOUNT #: 02270934868	OPPENHEIMER RISING DIVIDENDS FUND C BUY 0 Units @0.0000	0.00	2.38	0.00	2.38	88.0	2.09
12/31/2017	***-**-524I - SCALISE, JOSEPH ACCOUNT #: 02270938278	OPPENHEIMER RISING DIVIDENDS FUND C BUY 0 Units @0.0000	0.00	7.10	0.00	7.10	88.0	6.25
12/31/2017	***-**-31IR - HARTZ, CLAUDIA ACCOUNT #: 02270952072	OPPENHEIMER RISING DIVIDENDS FUND C BUY 0 Units @0.0000	0.00	12.35	0.00	12.35	88.0	10.87
12/31/2017	***-**-96IN - NESSIA, BONNIE ACCOUNT #: 02271140183	OPPENHEIMER RISING DIVIDENDS FUND C BUY 0 Units @0.0000	0.00	2.73	0.00	2.73	88.0	2.40
12/31/2017	***-**-69IN - EVANS, PAUL ACCOUNT #: 02920591888	OPPENHEIMER SENIOR FLOATING RATE CL BUY 0 Units @0.0000	0.00	0.41	0.00	0.41	88.0	0.36
12/31/2017	***-**-69IN - EVANS, PAUL ACCOUNT #: 02913850561	OPPENHEIMER SENIOR FLOATING RATE CL BUY 0 Units @0.0000	0.00	0.80	0.00	0.80	88.0	0.70



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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>								
12/31/2017	***-**-84IN - WARMUTH, ERIC ACCOUNT #: 02510094556	OPPENHEIMER SMALL & MID CAP VALUE F BUY 0 Units @0.0000	0.00	10.65	0.00	10.65	88.0	9.37
12/31/2017	***-**-237I - MCCLUSKY, MARK ACCOUNT #: 02514976004	OPPENHEIMER SMALL & MID CAP VALUE F BUY 0 Units @0.0000	0.00	2.79	0.00	2.79	88.0	2.46
12/31/2017	***-**-3749 - DEPEYSTER, ACCOUNT #: 02514983539	OPPENHEIMER SMALL & MID CAP VALUE F BUY 0 Units @0.0000	0.00	1.18	0.00	1.18	88.0	1.04
12/31/2017	***-**-633J - ACCOUNT #: 02514987422	OPPENHEIMER SMALL & MID CAP VALUE F BUY 0 Units @0.0000	0.00	1.57	0.00	1.57	88.0	1.38
12/31/2017	***-**-0767 - DOVI, ACCOUNT #: 02515003240	OPPENHEIMER SMALL & MID CAP VALUE F BUY 0 Units @0.0000	0.00	1.15	0.00	1.15	88.0	1.01
12/31/2017	***-**-0069 - KRECIDLO, ACCOUNT #: 02515019080	OPPENHEIMER SMALL & MID CAP VALUE F BUY 0 Units @0.0000	0.00	2.26	0.00	2.26	88.0	1.99
12/31/2017	***-**-960I - MASTRANGELO, ACCOUNT #: 02515019168	OPPENHEIMER SMALL & MID CAP VALUE F BUY 0 Units @0.0000	0.00	0.96	0.00	0.96	88.0	0.84
12/31/2017	***-**-1491 - GUNN, EDWARD ACCOUNT #: 02515033226	OPPENHEIMER SMALL & MID CAP VALUE F BUY 0 Units @0.0000	0.00	3.69	0.00	3.69	88.0	3.25
12/31/2017	***-**-09IN - BATES, CHRISTINE ACCOUNT #: 02515036889	OPPENHEIMER SMALL & MID CAP VALUE F BUY 0 Units @0.0000	0.00	8.19	0.00	8.19	88.0	7.21
12/31/2017	***-**-2603 - MASTRANGELO, ACCOUNT #: 02515041168	OPPENHEIMER SMALL & MID CAP VALUE F BUY 0 Units @0.0000	0.00	1.24	0.00	1.24	88.0	1.09
12/31/2017	***-**-69IN - EVANS, PAUL ACCOUNT #: 02515049715	OPPENHEIMER SMALL & MID CAP VALUE F BUY 0 Units @0.0000	0.00	0.84	0.00	0.84	88.0	0.74
12/31/2017	***-**-973I - LABAYEWSKI, ACCOUNT #: 00100661541	OPPENHEIMER STEELPATH MLP INC.FND C BUY 0 Units @0.0000	0.00	0.90	0.00	0.90	88.0	0.79
12/31/2017	***-**-391I - MASTRANGELO, ACCOUNT #: 02307298712	OPPENHEIMER STRATEGIC INCOME FD CL BUY 0 Units @0.0000	0.00	0.83	0.00	0.83	88.0	0.73
12/31/2017	***-**-391I - MASTRANGELO, ACCOUNT #: 02317093174	OPPENHEIMER STRATEGIC INCOME FUND C BUY 0 Units @0.0000	0.00	5.32	0.00	5.32	88.0	4.68
12/31/2017	***-**-0767 - DOVI, ACCOUNT #: 02203626810	OPPENHEIMER U.S. GOVT TR CLASS A BUY 0 Units @0.0000	0.00	1.11	0.00	1.11	88.0	0.98
12/31/2017	***-**-524I - SCALISE, JOSEPH ACCOUNT #: 02203662824	OPPENHEIMER U.S. GOVT TR CLASS A BUY 0 Units @0.0000	0.00	0.35	0.00	0.35	88.0	0.31



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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>								
12/31/2017	***-**-31IO - WILLIAMSON, FBO ACCOUNT #: 00100355609	OPPENHEIMERSTEELPATH MLP INCOME CL BUY 0 Units @0.0000	0.00	3.02	0.00	3.02	88.0	2.66
12/31/2017	***-**-31IO - WILLIAMSON, FBO ACCOUNT #: 05420233365	PORT SERIES: CONS INV C BUY 0 Units @0.0000	0.00	4.22	0.00	4.22	88.0	3.71
12/31/2017	***-**-0069 - KRECIDL0, ACCOUNT #: 02577505531	QUEST BALANCED A BUY 0 Units @0.0000	0.00	1.50	0.00	1.50	88.0	1.32
12/31/2017	***-**-69IN - EVANS, PAUL ACCOUNT #: 02577810451	QUEST BALANCED A BUY 0 Units @0.0000	0.00	0.61	0.00	0.61	88.0	0.54
12/31/2017	***-**-69IN - EVANS, PAUL ACCOUNT #: 02586012369	QUEST BALANCED B BUY 0 Units @0.0000	0.00	0.31	0.00	0.31	88.0	0.27
12/31/2017	***-**-78IN - FALES, JOAN ACCOUNT #: 02592293104	QUEST BALANCED FUND C BUY 0 Units @0.0000	0.00	2.08	0.00	2.08	88.0	1.83
12/31/2017	***-**-14IN - LINES, JUDITH ACCOUNT #: 02592297625	QUEST BALANCED FUND C BUY 0 Units @0.0000	0.00	5.08	0.00	5.08	88.0	4.47
12/31/2017	***-**-84IN - WARMUTH, ERIC ACCOUNT #: 02540085811	QUEST INTERNATIONAL VALUE FUND, INC BUY 0 Units @0.0000	0.00	6.46	0.00	6.46	88.0	5.68
12/31/2017	***-**-84IN - WARMUTH, ERIC ACCOUNT #: 02361010152	QUEST OPPORTUNITY VALUE A BUY 0 Units @0.0000	0.00	8.32	0.00	8.32	88.0	7.32
12/31/2017	***-**-973I - LABAYEWSKI, ACCOUNT #: 05901046408	REAL ESTATE FUND A BUY 0 Units @0.0000	0.00	0.52	0.00	0.52	88.0	0.46
12/31/2017	***-**-237I - MCCLUSKY, MARK ACCOUNT #: 05901256948	REAL ESTATE FUND A BUY 0 Units @0.0000	0.00	2.72	0.00	2.72	88.0	2.39
12/31/2017	***-**-3749 - DEPEYSTER, ACCOUNT #: 05901261997	REAL ESTATE FUND A BUY 0 Units @0.0000	0.00	1.17	0.00	1.17	88.0	1.03
12/31/2017	***-**-0767 - DOVI, ACCOUNT #: 05901273712	REAL ESTATE FUND A BUY 0 Units @0.0000	0.00	1.06	0.00	1.06	88.0	0.93
12/31/2017	***-**-0069 - KRECIDL0, ACCOUNT #: 05901284228	REAL ESTATE FUND A BUY 0 Units @0.0000	0.00	0.96	0.00	0.96	88.0	0.84
12/31/2017	***-**-960I - MASTRANGELO, ACCOUNT #: 05901284382	REAL ESTATE FUND A BUY 0 Units @0.0000	0.00	0.62	0.00	0.62	88.0	0.55
12/31/2017	***-**-1491 - GUNN, EDWARD ACCOUNT #: 05901293732	REAL ESTATE FUND A BUY 0 Units @0.0000	0.00	1.16	0.00	1.16	88.0	1.02



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<b><u> OVERRIDE TRANSACTIONS (continued) </u></b>								
<b><u> BROKER: KURT GRUENEWALD (continued) </u></b>								
12/31/2017	***-**-09IN - BATES, CHRISTINE	REAL ESTATE FUND A	0.00	5.07	0.00	5.07	88.0	4.46
	ACCOUNT #: 05901296141	BUY 0 Units @0.0000						
12/31/2017	***-**-2603 - MASTRANGELO,	REAL ESTATE FUND A	0.00	1.12	0.00	1.12	88.0	0.99
	ACCOUNT #: 05901298583	BUY 0 Units @0.0000						
12/31/2017	***-**-69IN - EVANS, PAUL	REAL ESTATE FUND A	0.00	0.75	0.00	0.75	88.0	0.66
	ACCOUNT #: 05901303665	BUY 0 Units @0.0000						
12/31/2017	***-**-0069 - KRECIDL0,	REAL ESTATE FUND B	0.00	0.37	0.00	0.37	88.0	0.33
	ACCOUNT #: 05910195855	BUY 0 Units @0.0000						
12/31/2017	***-**-5375 - CARTER, LISA	REAL ESTATE FUND B	0.00	1.00	0.00	1.00	88.0	0.88
	ACCOUNT #: 05910204314	BUY 0 Units @0.0000						
12/31/2017	***-**-69IN - EVANS, PAUL	REAL ESTATE FUND B	0.00	0.37	0.00	0.37	88.0	0.33
	ACCOUNT #: 05910205359	BUY 0 Units @0.0000						
12/31/2017	***-**-391I - MASTRANGELO,	REAL ESTATE FUND B	0.00	4.21	0.00	4.21	88.0	3.70
	ACCOUNT #: 05910207031	BUY 0 Units @0.0000						
12/31/2017	***-**-1944 - BEHA, JAMES	REAL ESTATE FUND C	0.00	5.53	0.00	5.53	88.0	4.87
	ACCOUNT #: 05920222255	BUY 0 Units @0.0000						
12/31/2017	***-**-78IN - FALES, JOAN	REAL ESTATE FUND C	0.00	1.16	0.00	1.16	88.0	1.02
	ACCOUNT #: 05920299178	BUY 0 Units @0.0000						
12/31/2017	***-**-14IN - LINES, JUDITH	REAL ESTATE FUND C	0.00	7.14	0.00	7.14	88.0	6.28
	ACCOUNT #: 05920329857	BUY 0 Units @0.0000						
12/31/2017	***-**-84IN - WARMUTH, ERIC	RISING DIVIDENDS FUND A	0.00	3.44	0.00	3.44	88.0	3.03
	ACCOUNT #: 02252765829	BUY 0 Units @0.0000						
12/31/2017	***-**-973I - LABAYEWSKI,	RISING DIVIDENDS FUND A	0.00	1.33	0.00	1.33	88.0	1.17
	ACCOUNT #: 02254172036	BUY 0 Units @0.0000						
12/31/2017	***-**-237I - MCCLUSKY, MARK	RISING DIVIDENDS FUND A	0.00	3.32	0.00	3.32	88.0	2.92
	ACCOUNT #: 02254670435	BUY 0 Units @0.0000						
12/31/2017	***-**-3749 - DEPEYSTER,	RISING DIVIDENDS FUND A	0.00	1.19	0.00	1.19	88.0	1.05
	ACCOUNT #: 02254680236	BUY 0 Units @0.0000						
12/31/2017	***-**-0767 - DOVI,	RISING DIVIDENDS FUND A	0.00	1.51	0.00	1.51	88.0	1.33
	ACCOUNT #: 02254705239	BUY 0 Units @0.0000						
12/31/2017	***-**-0069 - KRECIDL0,	RISING DIVIDENDS FUND A	0.00	0.95	0.00	0.95	88.0	0.84
	ACCOUNT #: 02254728647	BUY 0 Units @0.0000						



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<b> OVERRIDE TRANSACTIONS (continued)</b>								
<b> BROKER: KURT GRUENEWALD (continued)</b>								
12/31/2017	***-**-960I - MASTRANGELO, ACCOUNT #: 02254729032	RISING DIVIDENDS FUND A BUY 0 Units @0.0000	0.00	1.32	0.00	1.32	88.0	1.16
12/31/2017	***-**-09IN - BATES, CHRISTINE ACCOUNT #: 02254763429	RISING DIVIDENDS FUND A BUY 0 Units @0.0000	0.00	11.65	0.00	11.65	88.0	10.25
12/31/2017	***-**-2603 - MASTRANGELO, ACCOUNT #: 02254772636	RISING DIVIDENDS FUND A BUY 0 Units @0.0000	0.00	1.19	0.00	1.19	88.0	1.05
12/31/2017	***-**-524I - SCALISE, JOSEPH ACCOUNT #: 02254781183	RISING DIVIDENDS FUND A BUY 0 Units @0.0000	0.00	0.64	0.00	0.64	88.0	0.56
12/31/2017	***-**-31IR - HARTZ, CLAUDIA ACCOUNT #: 02254799421	RISING DIVIDENDS FUND A BUY 0 Units @0.0000	0.00	0.80	0.00	0.80	88.0	0.70
12/31/2017	***-**-391I - MASTRANGELO, ACCOUNT #: 02254799399	RISING DIVIDENDS FUND A BUY 0 Units @0.0000	0.00	0.54	0.00	0.54	88.0	0.48
12/31/2017	***-**-0069 - KRECIDLO, ACCOUNT #: 02261702844	RISING DIVIDENDS FUND, INC. B BUY 0 Units @0.0000	0.00	0.42	0.00	0.42	88.0	0.37
12/31/2017	***-**-5375 - CARTER, LISA ACCOUNT #: 02261749935	RISING DIVIDENDS FUND, INC. B BUY 0 Units @0.0000	0.00	2.61	0.00	2.61	88.0	2.30
12/31/2017	***-**-524I - SCALISE, JOSEPH ACCOUNT #: 02261752014	RISING DIVIDENDS FUND, INC. B BUY 0 Units @0.0000	0.00	1.98	0.00	1.98	88.0	1.74
12/31/2017	***-**-391I - MASTRANGELO, ACCOUNT #: 02261762079	RISING DIVIDENDS FUND, INC. B BUY 0 Units @0.0000	0.00	11.95	0.00	11.95	88.0	10.52
12/31/2017	***-**-31IR - HARTZ, CLAUDIA ACCOUNT #: 02261762112	RISING DIVIDENDS FUND, INC. B BUY 0 Units @0.0000	0.00	3.14	0.00	3.14	88.0	2.76
12/31/2017	***-**-53RI - FALCHI, VALERIE ACCOUNT #: 03551357917	ROCH. LIMITED TERM NEW YORK MUNICI BUY 0 Units @0.0000	0.00	0.69	0.00	0.69	88.0	0.61
12/31/2017	***-**-3749 - DEPEYSTER, ACCOUNT #: 03551386715	ROCH. LIMITED TERM NEW YORK MUNICI BUY 0 Units @0.0000	0.00	0.66	0.00	0.66	88.0	0.58
12/31/2017	***-**-78IN - FALES, JOAN ACCOUNT #: 03570632181	ROCH. LIMITED TERM NEW YORK MUNICI BUY 0 Units @0.0000	0.00	1.46	0.00	1.46	88.0	1.28
12/31/2017	***-**-14IN - LINES, JUDITH ACCOUNT #: 03570635811	ROCH. LIMITED TERM NEW YORK MUNICI BUY 0 Units @0.0000	0.00	5.94	0.00	5.94	88.0	5.23
01/05/2018	***-**-80IN - COBB, JAMES ACCOUNT #: LSR011042	SEADRILL LTD USD2 UNSOLICITED ORDER SELL 512 Units @0.2590	132.61	4.82	0.00	4.82	88.0	4.24



# COMMISSION STATEMENT

## January 15, 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> OVERRIDE TRANSACTIONS (continued) </b>								
<b> BROKER: KURT GRUENEWALD (continued) </b>								
12/31/2017	***-**-78IN - FALES, JOAN ACCOUNT #: 02931809830	SENIOR FLOATING RATE FUND C BUY 0 Units @0.0000	0.00	1.30	0.00	1.30	88.0	1.14
12/31/2017	***-**-96IN - NESSIA, BONNIE ACCOUNT #: 02931827254	SENIOR FLOATING RATE FUND C BUY 0 Units @0.0000	0.00	6.48	0.00	6.48	88.0	5.70
12/31/2017	***-**-14IN - LINES, JUDITH ACCOUNT #: 02931832127	SENIOR FLOATING RATE FUND C BUY 0 Units @0.0000	0.00	10.07	0.00	10.07	88.0	8.86
12/31/2017	***-**-31IO - WILLIAMSON, FBO ACCOUNT #: 07230230516	SMALL & MID-CAP GRWTH FND C BUY 0 Units @0.0000	0.00	3.54	0.00	3.54	88.0	3.12
12/31/2017	***-**-0069 - KRECIDL0, ACCOUNT #: 02521484681	SMALL- & MID- CAP VALUE B BUY 0 Units @0.0000	0.00	1.27	0.00	1.27	88.0	1.12
12/31/2017	***-**-5375 - CARTER, LISA ACCOUNT #: 02521508133	SMALL- & MID- CAP VALUE B BUY 0 Units @0.0000	0.00	1.71	0.00	1.71	88.0	1.50
12/31/2017	***-**-69IN - EVANS, PAUL ACCOUNT #: 02521510465	SMALL- & MID- CAP VALUE B BUY 0 Units @0.0000	0.00	0.42	0.00	0.42	88.0	0.37
12/31/2017	***-**-1944 - BEHA, JAMES ACCOUNT #: 02531057771	SMALL- & MID- CAP VALUE FUND C BUY 0 Units @0.0000	0.00	14.68	0.00	14.68	88.0	12.92
12/31/2017	***-**-28IN - BYWATER, KIM ACCOUNT #: 02531157145	SMALL- & MID- CAP VALUE FUND C BUY 0 Units @0.0000	0.00	0.58	0.00	0.58	88.0	0.51
12/31/2017	***-**-78IN - FALES, JOAN ACCOUNT #: 02322752145	STRATEGIC INCOME FUND C BUY 0 Units @0.0000	0.00	1.64	0.00	1.64	88.0	1.44
12/31/2017	***-**-14IN - LINES, JUDITH ACCOUNT #: 02322774145	STRATEGIC INCOME FUND C BUY 0 Units @0.0000	0.00	4.10	0.00	4.10	88.0	3.61
12/31/2017	***-**-5375 - CARTER, LISA ACCOUNT #: 02211109251	U.S. GOVERNMENT TRUST B BUY 0 Units @0.0000	0.00	0.61	0.00	0.61	88.0	0.54
12/31/2017	***-**-524I - SCALISE, JOSEPH ACCOUNT #: 02211110318	U.S. GOVERNMENT TRUST B BUY 0 Units @0.0000	0.00	0.31	0.00	0.31	88.0	0.27
12/31/2017	***-**-524I - SCALISE, JOSEPH ACCOUNT #: 02220585310	U.S. GOVERNMENT TRUST C BUY 0 Units @0.0000	0.00	4.32	0.00	4.32	88.0	3.80
* KURT GRUENEWALD SUBTOTAL *			\$64,382.60	\$1,296.45	\$0.00	\$1,296.45		\$1,140.90
*** OVERRIDE TRANSACTIONS TOTAL ***			\$64,382.60	\$1,296.45	\$0.00	\$1,296.45		\$1,140.90



**BROKER #: A76**  
BRANCH #01047 - 47 - GRIFFITH

			INVESTMENT	GROSS	CLEARING	NET	BROKER	
DATE	CLIENT		AMOUNT	COMMISSION	CHARGE	COMMISSION	RATE	COMMISSION
BROKER COMMISSION TOTALS								
						Broker Transactions	\$1,238.97	
						Split Transactions	\$0.00	
						Override Transactions	\$1,140.90	
						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	\$2,379.87	
						Year-to-date Earnings	\$10,673.06	