



COMMISSION STATEMENT

April 23, 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 |
|---|-------------|---|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u>BROKER TRANSACTIONS</u> | | | | | | | | |
| <u>PRODUCT CATEGORY: ALTERNATIVE INVESTMENTS</u> | | | | | | | | |
| 03/15/2018 | ***-**-686I | - STRUMPFLER, MARK GWG L BOND - 2YR BUY 10 Units @1000.0000 | 10,000.00 | 400.00 | 0.00 | 400.00 | 88.0 | 352.00 |
| 03/15/2018 | ***-**-686I | - STRUMPFLER, MARK GWG L BOND - 3YR BUY 10 Units @1000.0000 | 10,000.00 | 500.00 | 0.00 | 500.00 | 88.0 | 440.00 |
| 03/15/2018 | ***-**-686I | - STRUMPFLER, MARK GWG L BOND - 5 YR BUY 25 Units @1000.0000 | 25,000.00 | 1,475.00 | 0.00 | 1,475.00 | 88.0 | 1,298.00 |
| * ALTERNATIVE INVESTMENTS SUBTOTAL * | | | \$45,000.00 | \$2,375.00 | \$0.00 | \$2,375.00 | | \$2,090.00 |
| <u>PRODUCT CATEGORY: MUTUAL FUNDS</u> | | | | | | | | |
| 04/17/2018 | ***-**-86IO | - STRUMPFLER, MARK AMERICAN FUNDS MORTGAGE FD CL C ACCOUNT #: LSR012376 BUY 1427 Units @9.8100 | 14,000.00 | 158.00 | 18.00 | 140.00 | 88.0 | 123.20 |
| 04/09/2018 | ***-**-11IN | - MOYLAN, TIMOTHY CAPITAL APPRECIATION C ACCOUNT #: 03222207458 BUY 0 Units @0.0000 | 6.79 | 0.07 | 0.00 | 0.07 | 88.0 | 0.06 |
| 04/02/2018 | ***-**-8027 | - MAXWELL, COLLEEN CASH RESERVES C ACCOUNT #: 07621429626 BUY 0 Units @0.0000 | 330.25 | 0.83 | 0.00 | 0.83 | 88.0 | 0.73 |
| 04/19/2018 | ***-**-361J | - ALOISIO, EATON VANCE FLOATING RATE ADVANTAGE ACCOUNT #: LSR010886 SELL 1 Units @10.9500 | 13.33 | 0.00 | 0.00 | 0.00 | 88.0 | 0.00 |
| 04/02/2018 | ***-**-58IN | - CADY, GAIL EQUITY INCOME FUND, INC. C ACCOUNT #: 08370389048 BUY 0 Units @0.0000 | 24.00 | 0.24 | 0.00 | 0.24 | 88.0 | 0.21 |
| 04/05/2018 | ***-**-0457 | - STAGLIANO, GINA EQUITY INCOME FUND, INC. C ACCOUNT #: 08370450769 BUY 0 Units @0.0000 | 5.44 | 0.05 | 0.00 | 0.05 | 88.0 | 0.04 |
| 04/05/2018 | ***-**-7473 | - SCOTELLARO, EQUITY INCOME FUND, INC. C ACCOUNT #: 08370720038 BUY 0 Units @0.0000 | 25.00 | 0.25 | 0.00 | 0.25 | 88.0 | 0.22 |
| 04/09/2018 | ***-**-11IN | - MOYLAN, TIMOTHY EQUITY INCOME FUND, INC. C ACCOUNT #: 08370450780 BUY 0 Units @0.0000 | 10.18 | 0.10 | 0.00 | 0.10 | 88.0 | 0.09 |
| 04/02/2018 | ***-**-58IN | - CADY, GAIL GLOBAL OPPORTUNITIES FUND C ACCOUNT #: 02171604031 BUY 0 Units @0.0000 | 16.00 | 0.16 | 0.00 | 0.16 | 88.0 | 0.14 |
| 04/05/2018 | ***-**-0457 | - STAGLIANO, GINA GLOBAL OPPORTUNITIES FUND C ACCOUNT #: 02171646348 BUY 0 Units @0.0000 | 5.42 | 0.05 | 0.00 | 0.05 | 88.0 | 0.04 |
| 04/09/2018 | ***-**-11IN | - MOYLAN, TIMOTHY GLOBAL OPPORTUNITIES FUND C ACCOUNT #: 02171646359 BUY 0 Units @0.0000 | 6.79 | 0.07 | 0.00 | 0.07 | 88.0 | 0.06 |
| 04/17/2018 | ***-**-86IO | - STRUMPFLER, MARK LORD ABBETT SHORT DURATION INCOME C ACCOUNT #: LSR012376 BUY 3310 Units @4.2300 | 14,000.00 | 158.00 | 18.00 | 140.00 | 88.0 | 123.20 |



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|---|---|--|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| BROKER TRANSACTIONS (continued) | | | | | | | | |
| PRODUCT CATEGORY: MUTUAL FUNDS (continued) | | | | | | | | |
| 04/19/2018 | ***-**-361J - ALOISIO, ACCOUNT #: LSR010886 | LORD ABBETT SHORT DURATION INCOME C SELL 474 Units @4.2200 | 2,000.00 | 0.00 | 0.00 | 0.00 | 88.0 | 0.00 |
| 04/19/2018 | ***-**-361J - ALOISIO, ACCOUNT #: LSR010886 | LORD ABBETT SHORT DURATION INCOME C SELL 1039 Units @4.2200 | 4,386.67 | 0.00 | 0.00 | 0.00 | 88.0 | 0.00 |
| 04/18/2018 | ***-**-244I - BURTON, RICHARD ACCOUNT #: 77243486101 | NYA JPM 529 EQUITY INCOME PORTF C BUY 0 Units @0.0000 | 50.00 | 0.50 | 0.00 | 0.50 | 88.0 | 0.44 |
| 04/02/2018 | ***-**-91IN - RICHARDSON, ACCOUNT #: 00100011925 | OPPENHEIMER CUSIP 68385X208 BUY 0 Units @0.0000 | 35.00 | 0.35 | 0.00 | 0.35 | 88.0 | 0.31 |
| 04/02/2018 | ***-**-91IN - RICHARDSON, ACCOUNT #: 07872241470 | OPPENHEIMER DEV MARKETS FD CLASS C BUY 0 Units @0.0000 | 35.00 | 0.35 | 0.00 | 0.35 | 88.0 | 0.31 |
| 04/05/2018 | ***-**-0457 - STAGLIANO, GINA ACCOUNT #: 07871984301 | OPPENHEIMER DEV MARKETS FD CLASS C BUY 0 Units @0.0000 | 5.42 | 0.05 | 0.00 | 0.05 | 88.0 | 0.04 |
| 04/02/2018 | ***-**-91IN - RICHARDSON, ACCOUNT #: 00100064439 | OPPENHEIMER EMERG MKTS LOCAL DEBT F BUY 0 Units @0.0000 | 35.00 | 0.35 | 0.00 | 0.35 | 88.0 | 0.31 |
| 04/02/2018 | ***-**-91IN - RICHARDSON, ACCOUNT #: 00100025895 | OPPENHEIMER GLBL HIGH YIELD FUND C BUY 0 Units @0.0000 | 35.00 | 0.35 | 0.00 | 0.35 | 88.0 | 0.31 |
| 04/05/2018 | ***-**-7473 - SCOTELLARO, ACCOUNT #: 00100018140 | OPPENHEIMER GLBL REAL ESTATE FUND C BUY 0 Units @0.0000 | 25.00 | 0.25 | 0.00 | 0.25 | 88.0 | 0.22 |
| 04/05/2018 | ***-**-0457 - STAGLIANO, GINA ACCOUNT #: 03322653871 | OPPENHEIMER GLOBAL CLASS C BUY 0 Units @0.0000 | 5.42 | 0.05 | 0.00 | 0.05 | 88.0 | 0.04 |
| 04/09/2018 | ***-**-11IN - MOYLAN, TIMOTHY ACCOUNT #: 03322653882 | OPPENHEIMER GLOBAL CLASS C BUY 0 Units @0.0000 | 3.39 | 0.03 | 0.00 | 0.03 | 88.0 | 0.03 |
| 04/02/2018 | ***-**-91IN - RICHARDSON, ACCOUNT #: 06890080641 | OPPENHEIMER GLOBAL VALUE FUND CL C BUY 0 Units @0.0000 | 35.00 | 0.35 | 0.00 | 0.35 | 88.0 | 0.31 |
| 04/02/2018 | ***-**-58IN - CADY, GAIL ACCOUNT #: 01970799227 | OPPENHEIMER INTERNATIONAL DIVERSIFI BUY 0 Units @0.0000 | 24.00 | 0.24 | 0.00 | 0.24 | 88.0 | 0.21 |
| 04/05/2018 | ***-**-0457 - STAGLIANO, GINA ACCOUNT #: 01970849112 | OPPENHEIMER INTERNATIONAL DIVERSIFI BUY 0 Units @0.0000 | 8.14 | 0.08 | 0.00 | 0.08 | 88.0 | 0.07 |
| 04/05/2018 | ***-**-7473 - SCOTELLARO, ACCOUNT #: 01971001154 | OPPENHEIMER INTERNATIONAL DIVERSIFI BUY 0 Units @0.0000 | 25.00 | 0.25 | 0.00 | 0.25 | 88.0 | 0.22 |
| 04/09/2018 | ***-**-11IN - MOYLAN, TIMOTHY ACCOUNT #: 01970849123 | OPPENHEIMER INTERNATIONAL DIVERSIFI BUY 0 Units @0.0000 | 13.58 | 0.14 | 0.00 | 0.14 | 88.0 | 0.12 |



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|---|--------------------------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| BROKER TRANSACTIONS (continued) | | | | | | | | |
| PRODUCT CATEGORY: MUTUAL FUNDS (continued) | | | | | | | | |
| 04/02/2018 | ***-**-58IN - CADY, GAIL | OPPENHEIMER RISING DIVIDENDS FUND C | 24.00 | 0.24 | 0.00 | 0.24 | 88.0 | 0.21 |
| | ACCOUNT #: 02270806520 | BUY 0 Units @0.0000 | | | | | | |
| 04/05/2018 | ***-**-0457 - STAGLIANO, GINA | OPPENHEIMER RISING DIVIDENDS FUND C | 8.14 | 0.08 | 0.00 | 0.08 | 88.0 | 0.07 |
| | ACCOUNT #: 02270899492 | BUY 0 Units @0.0000 | | | | | | |
| 04/09/2018 | ***-**-11IN - MOYLAN, TIMOTHY | OPPENHEIMER RISING DIVIDENDS FUND C | 13.58 | 0.14 | 0.00 | 0.14 | 88.0 | 0.12 |
| | ACCOUNT #: 02270899503 | BUY 0 Units @0.0000 | | | | | | |
| 04/02/2018 | ***-**-58IN - CADY, GAIL | QUEST BALANCED FUND C | 24.00 | 0.24 | 0.00 | 0.24 | 88.0 | 0.21 |
| | ACCOUNT #: 02592245914 | BUY 0 Units @0.0000 | | | | | | |
| 04/02/2018 | ***-**-58IN - CADY, GAIL | QUEST INTERNATIONAL VALUE FUND, INC | 16.00 | 0.16 | 0.00 | 0.16 | 88.0 | 0.14 |
| | ACCOUNT #: 02560282953 | BUY 0 Units @0.0000 | | | | | | |
| 04/09/2018 | ***-**-11IN - MOYLAN, TIMOTHY | QUEST INTERNATIONAL VALUE FUND, INC | 6.79 | 0.07 | 0.00 | 0.07 | 88.0 | 0.06 |
| | ACCOUNT #: 02560289795 | BUY 0 Units @0.0000 | | | | | | |
| 04/02/2018 | ***-**-58IN - CADY, GAIL | REAL ESTATE FUND C | 16.00 | 0.16 | 0.00 | 0.16 | 88.0 | 0.14 |
| | ACCOUNT #: 05920265584 | BUY 0 Units @0.0000 | | | | | | |
| 04/05/2018 | ***-**-0457 - STAGLIANO, GINA | REAL ESTATE FUND C | 5.42 | 0.05 | 0.00 | 0.05 | 88.0 | 0.04 |
| | ACCOUNT #: 05920286880 | BUY 0 Units @0.0000 | | | | | | |
| 04/09/2018 | ***-**-11IN - MOYLAN, TIMOTHY | REAL ESTATE FUND C | 6.79 | 0.07 | 0.00 | 0.07 | 88.0 | 0.06 |
| | ACCOUNT #: 05920286891 | BUY 0 Units @0.0000 | | | | | | |
| 04/10/2018 | ***-**-29IN - THIBAUT, THIBAUT | REAL ESTATE FUND C | 100.00 | 1.00 | 0.00 | 1.00 | 88.0 | 0.88 |
| | ACCOUNT #: 05920285846 | BUY 0 Units @0.0000 | | | | | | |
| 04/05/2018 | ***-**-0457 - STAGLIANO, GINA | SENIOR FLOATING RATE FUND C | 5.42 | 0.05 | 0.00 | 0.05 | 88.0 | 0.04 |
| | ACCOUNT #: 02931758372 | BUY 0 Units @0.0000 | | | | | | |
| 04/02/2018 | ***-**-58IN - CADY, GAIL | SMALL- & MID- CAP VALUE FUND C | 16.00 | 0.16 | 0.00 | 0.16 | 88.0 | 0.14 |
| | ACCOUNT #: 02531131966 | BUY 0 Units @0.0000 | | | | | | |
| 04/05/2018 | ***-**-0457 - STAGLIANO, GINA | SMALL- & MID- CAP VALUE FUND C | 5.42 | 0.05 | 0.00 | 0.05 | 88.0 | 0.04 |
| | ACCOUNT #: 02531164735 | BUY 0 Units @0.0000 | | | | | | |
| 04/05/2018 | ***-**-7473 - SCOTELLARO, SCOTELLARO | STRATEGIC INCOME FUND C | 25.00 | 0.25 | 0.00 | 0.25 | 88.0 | 0.22 |
| | ACCOUNT #: 02322945965 | BUY 0 Units @0.0000 | | | | | | |
| 04/10/2018 | ***-**-469I - HAUCK, JUDITH | THE INCOME FUND OF AMERICA-A | 98.08 | 1.96 | 0.00 | 1.96 | 88.0 | 1.72 |
| | ACCOUNT #: 00087147439 | BUY 4 Units @23.5500 | | | | | | |
| 04/10/2018 | ***-**-469I - HAUCK, JUDITH | THE INCOME FUND OF AMERICA-A | 300.00 | 6.00 | 0.00 | 6.00 | 88.0 | 5.28 |
| | ACCOUNT #: 00087147439 | BUY 13 Units @23.5500 | | | | | | |



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|------|--------|------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|

BROKER TRANSACTIONS (continued)

PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)

| | | | | | | | | |
|--|--|--|-------------|----------|---------|----------|------|----------|
| * MUTUAL FUNDS SUBTOTAL * | | | \$35,835.46 | \$331.84 | \$36.00 | \$295.84 | | \$260.30 |
| <u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u> | | | | | | | | |
| 04/23/2018 | ***-**-91IN - RICHARDSON, ACCOUNT #: LSR010900 | AMCAP FUND-F1 BUY 1 Units @0.0000 | 0.00 | 0.63 | 0.00 | 0.63 | 88.0 | 0.55 |
| 04/23/2018 | ***-**-21IN - DANIELS, JOHN ACCOUNT #: LSR010967 | AMERICAN BALANCED FUND-A BUY 1 Units @0.0000 | 0.00 | 0.27 | 0.00 | 0.27 | 88.0 | 0.24 |
| 04/23/2018 | ***-**-803J - TEESDALE, ACCOUNT #: LSR011017 | AMERICAN BALANCED FUND-A BUY 1 Units @0.0000 | 0.00 | 0.05 | 0.00 | 0.05 | 88.0 | 0.04 |
| 04/23/2018 | ***-**-621O - DANIELS, JOHN ACCOUNT #: LSR012373 | AMERICAN BALANCED FUND-A BUY 1 Units @0.0000 | 0.00 | 0.49 | 0.00 | 0.49 | 88.0 | 0.43 |
| 04/23/2018 | ***-**-656I - SMOLA, STANLEY ACCOUNT #: LSR010868 | AMERICAN FUNDS MORTGAGE CL F1 BUY 1 Units @0.0000 | 0.00 | 1.71 | 0.00 | 1.71 | 88.0 | 1.50 |
| 04/23/2018 | ***-**-91IN - RICHARDSON, ACCOUNT #: LSR010900 | AMERICAN FUNDS MORTGAGE CL F1 BUY 1 Units @0.0000 | 0.00 | 1.33 | 0.00 | 1.33 | 88.0 | 1.17 |
| 04/23/2018 | ***-**-58IN - SCHRECK, RYAN ACCOUNT #: LSR010873 | AMERICAN FUNDS MORTGAGE FD CL C BUY 1 Units @0.0000 | 0.00 | 5.31 | 0.00 | 5.31 | 88.0 | 4.67 |
| 04/23/2018 | ***-**-60IN - SCHRADER, KEVIN ACCOUNT #: LSR010897 | AMERICAN FUNDS MORTGAGE FD CL C BUY 1 Units @0.0000 | 0.00 | 9.91 | 0.00 | 9.91 | 88.0 | 8.72 |
| 04/23/2018 | ***-**-753I - SABANOSH, ALAN ACCOUNT #: LSR010909 | AMERICAN FUNDS MORTGAGE FD CL C BUY 1 Units @0.0000 | 0.00 | 21.43 | 0.00 | 21.43 | 88.0 | 18.86 |
| 04/23/2018 | ***-**-53TR - SABANOSH, ALAN R ACCOUNT #: LSR010917 | AMERICAN FUNDS MORTGAGE FD CL C BUY 1 Units @0.0000 | 0.00 | 10.30 | 0.00 | 10.30 | 88.0 | 9.06 |
| 04/23/2018 | ***-**-467J - PICKARD, BRIAN ACCOUNT #: LSR010943 | AMERICAN FUNDS MORTGAGE FD CL C BUY 1 Units @0.0000 | 0.00 | 11.22 | 0.00 | 11.22 | 88.0 | 9.87 |
| 04/23/2018 | ***-**-88IN - PICKARD, ELAINE ACCOUNT #: LSR010957 | AMERICAN FUNDS MORTGAGE FD CL C BUY 1 Units @0.0000 | 0.00 | 9.32 | 0.00 | 9.32 | 88.0 | 8.20 |
| 04/23/2018 | ***-**-80TR - SCOTELLARO TTEE, ACCOUNT #: LSR010974 | AMERICAN FUNDS MORTGAGE FD CL C BUY 1 Units @0.0000 | 0.00 | 24.94 | 0.00 | 24.94 | 88.0 | 21.95 |
| 04/23/2018 | ***-**-69IN - HAUCK, JUDITH ACCOUNT #: LSR010980 | AMERICAN FUNDS MORTGAGE FD CL C BUY 1 Units @0.0000 | 0.00 | 9.43 | 0.00 | 9.43 | 88.0 | 8.30 |
| 04/23/2018 | ***-**-973I - CHAMBERS, ROGER ACCOUNT #: LSR011018 | AMERICAN FUNDS MORTGAGE FD CL C BUY 1 Units @0.0000 | 0.00 | 9.38 | 0.00 | 9.38 | 88.0 | 8.25 |



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|--|--------------------------------|----------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| BROKER TRANSACTIONS (continued) | | | | | | | | |
| PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued) | | | | | | | | |
| 04/23/2018 | ***-**-22IN - GRACIE, JULIA | AMERICAN FUNDS MORTGAGE FD CL C | 0.00 | 8.21 | 0.00 | 8.21 | 88.0 | 7.22 |
| | ACCOUNT #: LSR011019 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-29IO - LORUSSO, VINCENT | AMERICAN FUNDS MORTGAGE FD CL C | 0.00 | 5.38 | 0.00 | 5.38 | 88.0 | 4.73 |
| | ACCOUNT #: LSR011681 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-762I - STORSBERG, | AMERICAN FUNDS MORTGAGE FD CL C | 0.00 | 13.00 | 0.00 | 13.00 | 88.0 | 11.44 |
| | ACCOUNT #: LSR011688 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-03IN - BOSHART, PEGGY | AMERICAN FUNDS MORTGAGE FD CL C | 0.00 | 4.11 | 0.00 | 4.11 | 88.0 | 3.62 |
| | ACCOUNT #: LSR011744 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-753I - SABANOSH, ALAN | AMERICAN GLOBAL BALANCED CL C | 0.00 | 49.82 | 0.00 | 49.82 | 88.0 | 43.84 |
| | ACCOUNT #: LSR010909 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-88IN - PICKARD, ELAINE | AMERICAN GLOBAL BALANCED CL C | 0.00 | 19.30 | 0.00 | 19.30 | 88.0 | 16.98 |
| | ACCOUNT #: LSR010957 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-973I - CHAMBERS, ROGER | AMERICAN GLOBAL BALANCED CL C | 0.00 | 14.57 | 0.00 | 14.57 | 88.0 | 12.82 |
| | ACCOUNT #: LSR011018 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-73IN - SCOTELLARO IV, | AMERICAN GLOBAL BALANCED CL C | 0.00 | 6.81 | 0.00 | 6.81 | 88.0 | 5.99 |
| | ACCOUNT #: LSR011086 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-05IN - HULL, JEFFERY | AMERICAN GLOBAL BALANCED CL C | 0.00 | 15.30 | 0.00 | 15.30 | 88.0 | 13.46 |
| | ACCOUNT #: LSR011187 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-90IN - PICKARD, KAREN | AMERICAN GLOBAL BALANCED CL C | 0.00 | 9.83 | 0.00 | 9.83 | 88.0 | 8.65 |
| | ACCOUNT #: LSR011687 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-03IN - BOSHART, PEGGY | AMERICAN GLOBAL BALANCED CL C | 0.00 | 9.60 | 0.00 | 9.60 | 88.0 | 8.45 |
| | ACCOUNT #: LSR011744 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-03IR - BOSHART, PEGGY | AMERICAN GLOBAL BALANCED CL C | 0.00 | 12.88 | 0.00 | 12.88 | 88.0 | 11.33 |
| | ACCOUNT #: LSR011749 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-21IN - DANIELS, JOHN | AMERICAN GLOBAL BALANCED CLASS A | 0.00 | 1.96 | 0.00 | 1.96 | 88.0 | 1.72 |
| | ACCOUNT #: LSR010967 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-355I - CRIMMINS, KAREN | AMERICAN GLOBAL BALANCED CLASS A | 0.00 | 3.34 | 0.00 | 3.34 | 88.0 | 2.94 |
| | ACCOUNT #: LSR011077 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-621O - DANIELS, JOHN | AMERICAN GLOBAL BALANCED CLASS A | 0.00 | 3.53 | 0.00 | 3.53 | 88.0 | 3.11 |
| | ACCOUNT #: LSR012373 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-08TR - SCOTELLARO III, | AMERICAN HIGH-INCOME TRUST-C | 0.00 | 27.25 | 0.00 | 27.25 | 88.0 | 23.98 |
| | ACCOUNT #: LSR010975 | BUY 1 Units @0.0000 | | | | | | |



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|--|-------------------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| BROKER TRANSACTIONS (continued) | | | | | | | | |
| PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued) | | | | | | | | |
| 04/23/2018 | ***-**-21IN - DANIELS, JOHN | AMERICAN MORTGAGE FUND CL A | 0.00 | 1.48 | 0.00 | 1.48 | 88.0 | 1.30 |
| | ACCOUNT #: LSR010967 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-698J - FEISTHAMEL, MR | AMERICAN MORTGAGE FUND CL A | 0.00 | 2.18 | 0.00 | 2.18 | 88.0 | 1.92 |
| | ACCOUNT #: LSR011137 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-621O - DANIELS, JOHN | AMERICAN MORTGAGE FUND CL A | 0.00 | 2.70 | 0.00 | 2.70 | 88.0 | 2.38 |
| | ACCOUNT #: LSR012373 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-656I - SMOLA, STANLEY | CAPITAL APPRECIATION C | 0.00 | 10.23 | 0.00 | 10.23 | 88.0 | 9.00 |
| | ACCOUNT #: LSR010868 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-25IR - PERRITANO, | CAPITAL INCOME BUILDER-A | 0.00 | 0.16 | 0.00 | 0.16 | 88.0 | 0.14 |
| | ACCOUNT #: LSR010923 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-25IN - PERRITANO, | CAPITAL INCOME BUILDER-A | 0.00 | 0.31 | 0.00 | 0.31 | 88.0 | 0.27 |
| | ACCOUNT #: LSR010924 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-656I - SMOLA, STANLEY | CAPITAL INCOME BUILDER-F1 | 0.00 | 2.57 | 0.00 | 2.57 | 88.0 | 2.26 |
| | ACCOUNT #: LSR010868 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-80IN - GRIFFITH, DAVID | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00 | 0.79 | 0.00 | 0.79 | 88.0 | 0.70 |
| | ACCOUNT #: LSF000286 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-753I - SABANOSH, ALAN | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00 | 1.36 | 0.00 | 1.36 | 88.0 | 1.20 |
| | ACCOUNT #: LSR010909 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-25IR - PERRITANO, | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00 | 1.27 | 0.00 | 1.27 | 88.0 | 1.12 |
| | ACCOUNT #: LSR010923 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-25IN - PERRITANO, | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00 | 0.37 | 0.00 | 0.37 | 88.0 | 0.33 |
| | ACCOUNT #: LSR010924 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-522I - RIEBEN, HENRY | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00 | 0.67 | 0.00 | 0.67 | 88.0 | 0.59 |
| | ACCOUNT #: LSR010964 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-24TR - SCOTELLARO, L | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00 | 4.09 | 0.00 | 4.09 | 88.0 | 3.60 |
| | ACCOUNT #: LSR010973 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-474J - HAGAN JR, | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00 | 1.47 | 0.00 | 1.47 | 88.0 | 1.29 |
| | ACCOUNT #: LSR010993 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-803J - TEESDALE, | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00 | 0.06 | 0.00 | 0.06 | 88.0 | 0.05 |
| | ACCOUNT #: LSR011017 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-22IN - GRACIE, JULIA | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00 | 5.77 | 0.00 | 5.77 | 88.0 | 5.08 |
| | ACCOUNT #: LSR011019 | BUY 1 Units @0.0000 | | | | | | |



COMMISSION STATEMENT

April 23, 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 |
|--|--------------------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| BROKER TRANSACTIONS (continued) | | | | | | | | |
| PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued) | | | | | | | | |
| 04/23/2018 | ***-**-698J - FEISTHAMEL, MR | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00 | 2.56 | 0.00 | 2.56 | 88.0 | 2.25 |
| | ACCOUNT #: LSR011137 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-469I - HAUCK, JUDITH | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00 | 0.96 | 0.00 | 0.96 | 88.0 | 0.84 |
| | ACCOUNT #: LSR011739 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-80TR - SCOTELLARO TTEE, | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00 | 11.88 | 0.00 | 11.88 | 88.0 | 10.45 |
| | ACCOUNT #: LSR010974 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-973I - CHAMBERS, ROGER | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00 | 10.96 | 0.00 | 10.96 | 88.0 | 9.64 |
| | ACCOUNT #: LSR011018 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-656I - SMOLA, STANLEY | CAPITAL WORLD GROWTH AND INCOME-F1 | 0.00 | 3.05 | 0.00 | 3.05 | 88.0 | 2.68 |
| | ACCOUNT #: LSR010868 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-72IN - THIBAUT, JOHN | CAPITAL WORLD GROWTH AND INCOME-F1 | 0.00 | 0.70 | 0.00 | 0.70 | 88.0 | 0.62 |
| | ACCOUNT #: LSR012086 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-077I - GAUTHIER, LOUIS | EQUITY INCOME FUND, INC. A | 0.00 | 1.56 | 0.00 | 1.56 | 88.0 | 1.37 |
| | ACCOUNT #: LSR010901 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-474J - HAGAN JR, | EQUITY INCOME FUND, INC. A | 0.00 | 0.88 | 0.00 | 0.88 | 88.0 | 0.77 |
| | ACCOUNT #: LSR010993 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-41IN - HULL, ELMINA | EQUITY INCOME FUND, INC. A | 0.00 | 3.78 | 0.00 | 3.78 | 88.0 | 3.33 |
| | ACCOUNT #: LSR010999 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-369I - DAVIS, BRUCE | EQUITY INCOME FUND, INC. A | 0.00 | 1.99 | 0.00 | 1.99 | 88.0 | 1.75 |
| | ACCOUNT #: LSR011029 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-698J - FEISTHAMEL, MR | EQUITY INCOME FUND, INC. A | 0.00 | 0.41 | 0.00 | 0.41 | 88.0 | 0.36 |
| | ACCOUNT #: LSR011137 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-718J - LOWE, GREGORY | EQUITY INCOME FUND, INC. A | 0.00 | 1.20 | 0.00 | 1.20 | 88.0 | 1.06 |
| | ACCOUNT #: LSR011914 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-679I - MURSCH JR, | EQUITY INCOME FUND, INC. B | 0.00 | 0.24 | 0.00 | 0.24 | 88.0 | 0.21 |
| | ACCOUNT #: LSR010888 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-656I - SMOLA, STANLEY | EUROPACIFIC GROWTH FUND CLASS F | 0.00 | 1.57 | 0.00 | 1.57 | 88.0 | 1.38 |
| | ACCOUNT #: LSR010868 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-80IN - GRIFFITH, DAVID | EUROPACIFIC GROWTH FUND-A | 0.00 | 5.25 | 0.00 | 5.25 | 88.0 | 4.62 |
| | ACCOUNT #: LSF000286 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-25IR - PERRITANO, | EUROPACIFIC GROWTH FUND-A | 0.00 | 1.41 | 0.00 | 1.41 | 88.0 | 1.24 |
| | ACCOUNT #: LSR010923 | BUY 1 Units @0.0000 | | | | | | |



COMMISSION STATEMENT

April 23, 2018

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BROKER #: A76
BRANCH #01047 - 47 - GRIFFITH

| DATE | CLIENT | INVESTMENT | INVESTMENT AMOUNT | GROSS COMMISSION | CLEARING CHARGE | NET COMMISSION | RATE | BROKER COMMISSION |
|--|--|---|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| BROKER TRANSACTIONS (continued) | | | | | | | | |
| PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued) | | | | | | | | |
| 04/23/2018 | ***-**-25IN - PERRITANO, ACCOUNT #: LSR010924 | EUROPACIFIC GROWTH FUND-A BUY 1 Units @0.0000 | 0.00 | 0.33 | 0.00 | 0.33 | 88.0 | 0.29 |
| 04/23/2018 | ***-**-21IN - DANIELS, JOHN ACCOUNT #: LSR010967 | EUROPACIFIC GROWTH FUND-A BUY 1 Units @0.0000 | 0.00 | 0.40 | 0.00 | 0.40 | 88.0 | 0.35 |
| 04/23/2018 | ***-**-661I - GORCZYNSKI, ACCOUNT #: LSR011221 | EUROPACIFIC GROWTH FUND-A BUY 1 Units @0.0000 | 0.00 | 3.24 | 0.00 | 3.24 | 88.0 | 2.85 |
| 04/23/2018 | ***-**-621O - DANIELS, JOHN ACCOUNT #: LSR012373 | EUROPACIFIC GROWTH FUND-A BUY 1 Units @0.0000 | 0.00 | 0.72 | 0.00 | 0.72 | 88.0 | 0.63 |
| 04/23/2018 | ***-**-656I - SMOLA, STANLEY ACCOUNT #: LSR010868 | FUNDAMENTAL INVESTORS FUND CLASS F BUY 1 Units @0.0000 | 0.00 | 1.17 | 0.00 | 1.17 | 88.0 | 1.03 |
| 04/23/2018 | ***-**-54IN - THIBAUT, MS ACCOUNT #: LSR011080 | FUNDAMENTAL INVESTORS FUND CLASS F BUY 1 Units @0.0000 | 0.00 | 1.80 | 0.00 | 1.80 | 88.0 | 1.58 |
| 04/23/2018 | ***-**-21IN - DANIELS, JOHN ACCOUNT #: LSR010967 | FUNDAMENTAL INVESTORS-A BUY 1 Units @0.0000 | 0.00 | 0.72 | 0.00 | 0.72 | 88.0 | 0.63 |
| 04/23/2018 | ***-**-803J - TEESDALE, ACCOUNT #: LSR011017 | FUNDAMENTAL INVESTORS-A BUY 1 Units @0.0000 | 0.00 | 0.04 | 0.00 | 0.04 | 88.0 | 0.04 |
| 04/23/2018 | ***-**-22IN - GRACIE, JULIA ACCOUNT #: LSR011019 | FUNDAMENTAL INVESTORS-A BUY 1 Units @0.0000 | 0.00 | 1.62 | 0.00 | 1.62 | 88.0 | 1.43 |
| 04/23/2018 | ***-**-369J - DAVIS, BRUCE ACCOUNT #: LSR011027 | FUNDAMENTAL INVESTORS-A BUY 1 Units @0.0000 | 0.00 | 1.05 | 0.00 | 1.05 | 88.0 | 0.92 |
| 04/23/2018 | ***-**-369I - DAVIS, BRUCE ACCOUNT #: LSR011029 | FUNDAMENTAL INVESTORS-A BUY 1 Units @0.0000 | 0.00 | 1.83 | 0.00 | 1.83 | 88.0 | 1.61 |
| 04/23/2018 | ***-**-698J - FEISTHAMEL, MR ACCOUNT #: LSR011137 | FUNDAMENTAL INVESTORS-A BUY 1 Units @0.0000 | 0.00 | 1.47 | 0.00 | 1.47 | 88.0 | 1.29 |
| 04/23/2018 | ***-**-621O - DANIELS, JOHN ACCOUNT #: LSR012373 | FUNDAMENTAL INVESTORS-A BUY 1 Units @0.0000 | 0.00 | 1.29 | 0.00 | 1.29 | 88.0 | 1.14 |
| 04/23/2018 | ***-**-467J - PICKARD, BRIAN ACCOUNT #: LSR010943 | FUNDAMENTAL INVESTORS-C BUY 1 Units @0.0000 | 0.00 | 4.97 | 0.00 | 4.97 | 88.0 | 4.37 |
| 04/23/2018 | ***-**-621I - DANIELS SR, JOHN ACCOUNT #: LSR010950 | FUNDAMENTAL INVESTORS-C BUY 1 Units @0.0000 | 0.00 | 18.08 | 0.00 | 18.08 | 88.0 | 15.91 |
| 04/23/2018 | ***-**-73IR - CHAMBERS, ROGER ACCOUNT #: LSR011020 | FUNDAMENTAL INVESTORS-C BUY 1 Units @0.0000 | 0.00 | 2.31 | 0.00 | 2.31 | 88.0 | 2.03 |



COMMISSION STATEMENT

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

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|--|--|--|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| BROKER TRANSACTIONS (continued) | | | | | | | | |
| PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued) | | | | | | | | |
| 04/23/2018 | ***-**-61IN - GORCZYNSKI, ACCOUNT #: LSR010844 | GLOBAL OPPORTUNITIES FUND C BUY 1 Units @0.0000 | 0.00 | 56.95 | 0.00 | 56.95 | 88.0 | 50.12 |
| 04/23/2018 | ***-**-077I - GAUTHIER, LOUIS ACCOUNT #: LSR010901 | GOLD & SPECIAL MINERALS A BUY 1 Units @0.0000 | 0.00 | 0.90 | 0.00 | 0.90 | 88.0 | 0.79 |
| 04/23/2018 | ***-**-369I - DAVIS, BRUCE ACCOUNT #: LSR011029 | GOLD & SPECIAL MINERALS A BUY 1 Units @0.0000 | 0.00 | 0.62 | 0.00 | 0.62 | 88.0 | 0.55 |
| 04/23/2018 | ***-**-679I - MURSCH JR, ACCOUNT #: LSR010888 | GOLD & SPECIAL MINERALS FUND B BUY 1 Units @0.0000 | 0.00 | 0.05 | 0.00 | 0.05 | 88.0 | 0.04 |
| 04/23/2018 | ***-**-698J - BAILEY, MR ACCOUNT #: 091124603 | GRIFFIN CAPITAL ESS ASSET II TRAILS BUY 0 Units @0.0000 | 0.00 | 30.62 | 0.00 | 30.62 | 88.0 | 26.95 |
| 04/23/2018 | ***-**-41TR - DAMSKY, BARRY ACCOUNT #: 091128030 | GRIFFIN CAPITAL ESS ASSET II TRAILS BUY 0 Units @0.0000 | 0.00 | 11.78 | 0.00 | 11.78 | 88.0 | 10.37 |
| 04/23/2018 | ***-**-841I - HULL, ELMINA ACCOUNT #: 00091131720 | GRIFFIN CAPITAL ESS ASSET II TRAILS BUY 0 Units @0.0000 | 0.00 | 25.91 | 0.00 | 25.91 | 88.0 | 22.80 |
| 04/23/2018 | ***-**-901O - DRUMM, LOIS ACCOUNT #: 091135944 | GRIFFIN CAPITAL ESS ASSET II TRAILS BUY 0 Units @0.0000 | 0.00 | 35.33 | 0.00 | 35.33 | 88.0 | 31.09 |
| 04/23/2018 | ***-**-522J - RIEBEN, HENRY ACCOUNT #: 091135947 | GRIFFIN CAPITAL ESS ASSET II TRAILS BUY 0 Units @0.0000 | 0.00 | 35.33 | 0.00 | 35.33 | 88.0 | 31.09 |
| 04/23/2018 | ***-**-425I - PERRITANO, ACCOUNT #: 091137511 | GRIFFIN CAPITAL ESS ASSET II TRAILS BUY 0 Units @0.0000 | 0.00 | 28.26 | 0.00 | 28.26 | 88.0 | 24.87 |
| 04/23/2018 | ***-**-24TR - SCOTELLARO, L ACCOUNT #: LSR010973 | HARTFORD CHECKS AND BALANCED FUND C BUY 1 Units @0.0000 | 0.00 | 1.16 | 0.00 | 1.16 | 88.0 | 1.02 |
| 04/23/2018 | ***-**-369I - DAVIS, BRUCE ACCOUNT #: LSR011029 | HARTFORD CHECKS AND BALANCED FUND C BUY 1 Units @0.0000 | 0.00 | 2.17 | 0.00 | 2.17 | 88.0 | 1.91 |
| 04/23/2018 | ***-**-58IN - SCHRECK, RYAN ACCOUNT #: LSR010873 | INCOME FUND OF AMERICA CLASS C BUY 1 Units @0.0000 | 0.00 | 10.48 | 0.00 | 10.48 | 88.0 | 9.22 |
| 04/23/2018 | ***-**-467J - PICKARD, BRIAN ACCOUNT #: LSR010943 | INCOME FUND OF AMERICA CLASS C BUY 1 Units @0.0000 | 0.00 | 11.39 | 0.00 | 11.39 | 88.0 | 10.02 |
| 04/23/2018 | ***-**-80TR - SCOTELLARO TTEE, ACCOUNT #: LSR010974 | INCOME FUND OF AMERICA CLASS C BUY 1 Units @0.0000 | 0.00 | 13.71 | 0.00 | 13.71 | 88.0 | 12.06 |
| 04/23/2018 | ***-**-08TR - SCOTELLARO III, ACCOUNT #: LSR010975 | INCOME FUND OF AMERICA CLASS C BUY 1 Units @0.0000 | 0.00 | 36.33 | 0.00 | 36.33 | 88.0 | 31.97 |



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| BROKER TRANSACTIONS (continued) | | | | | | | | |
| PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued) | | | | | | | | |
| 04/23/2018 | ***-**-973I - CHAMBERS, ROGER | INCOME FUND OF AMERICA CLASS C | 0.00 | 13.31 | 0.00 | 13.31 | 88.0 | 11.71 |
| | ACCOUNT #: LSR011018 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-901O - DRUMM, LOIS | INCOME FUND OF AMERICA CLASS C | 0.00 | 8.21 | 0.00 | 8.21 | 88.0 | 7.22 |
| | ACCOUNT #: LSR011609 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-679I - MURSCH JR, | INTERNATIONAL DIVERSIFIED FUND B | 0.00 | 0.18 | 0.00 | 0.18 | 88.0 | 0.16 |
| | ACCOUNT #: LSR010888 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-319I - HILLEBRAND, JOAN | INTERNATIONAL DIVERSIFIED FUND B | 0.00 | 4.22 | 0.00 | 4.22 | 88.0 | 3.71 |
| | ACCOUNT #: LSR011002 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-077I - GAUTHIER, LOUIS | INTERNATIONAL GROWTH FUND A | 0.00 | 2.13 | 0.00 | 2.13 | 88.0 | 1.87 |
| | ACCOUNT #: LSR010901 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-656I - SMOLA, STANLEY | INTERNATIONAL GROWTH FUND C | 0.00 | 10.04 | 0.00 | 10.04 | 88.0 | 8.84 |
| | ACCOUNT #: LSR010868 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-13IR - E, KAREN | MASSACHUSETTS INVESTORS TRUST-A | 0.00 | 0.72 | 0.00 | 0.72 | 88.0 | 0.63 |
| | ACCOUNT #: LSR011953 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-355I - CRIMMINS, KAREN | MFS AGGRESS GROWTH ALLOCATION FD-B | 0.00 | 0.65 | 0.00 | 0.65 | 88.0 | 0.57 |
| | ACCOUNT #: LSR011077 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-355I - CRIMMINS, KAREN | MFS CONSERVATIVE ALLOCATION FUND-B | 0.00 | 0.74 | 0.00 | 0.74 | 88.0 | 0.65 |
| | ACCOUNT #: LSR011077 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-13IR - E, KAREN | MFS EMERGING MARKETS DEBT FUND-A | 0.00 | 0.06 | 0.00 | 0.06 | 88.0 | 0.05 |
| | ACCOUNT #: LSR011953 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-13IR - E, KAREN | MFS EMERGING MKT DEBT CL B | 0.00 | 0.27 | 0.00 | 0.27 | 88.0 | 0.24 |
| | ACCOUNT #: LSR011953 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-355I - CRIMMINS, KAREN | MFS GLOBAL ALTERNATIVE STRAT B | 0.00 | 1.63 | 0.00 | 1.63 | 88.0 | 1.43 |
| | ACCOUNT #: LSR011077 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-94IO - PERRITANO, | MFS GLOBAL MULTI ASSET FUND CLASS B | 0.00 | 2.27 | 0.00 | 2.27 | 88.0 | 2.00 |
| | ACCOUNT #: LSR011099 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-13IR - E, KAREN | MFS GLOBAL TOTAL RETURN FUND-A | 0.00 | 0.55 | 0.00 | 0.55 | 88.0 | 0.48 |
| | ACCOUNT #: LSR011953 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-355I - CRIMMINS, KAREN | MFS GLOBAL TOTAL RETURN FUND-B | 0.00 | 2.65 | 0.00 | 2.65 | 88.0 | 2.33 |
| | ACCOUNT #: LSR011077 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-73IN - SCOTELLARO IV, | MFS GLOBAL TOTAL RETURN FUND-B | 0.00 | 2.56 | 0.00 | 2.56 | 88.0 | 2.25 |
| | ACCOUNT #: LSR011086 | BUY 1 Units @0.0000 | | | | | | |



COMMISSION STATEMENT

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|--|--|---|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| BROKER TRANSACTIONS (continued) | | | | | | | | |
| PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued) | | | | | | | | |
| 04/23/2018 | ***-**-94IO - PERRITANO, ACCOUNT #: LSR011099 | MFS GLOBAL TOTAL RETURN FUND-B BUY 1 Units @0.0000 | 0.00 | 2.50 | 0.00 | 2.50 | 88.0 | 2.20 |
| 04/23/2018 | ***-**-187I - WASZKIEWICZ, FBO ACCOUNT #: LSR011144 | MFS GLOBAL TOTAL RETURN FUND-B BUY 1 Units @0.0000 | 0.00 | 2.18 | 0.00 | 2.18 | 88.0 | 1.92 |
| 04/23/2018 | ***-**-40UT - BROWN CUST ACCOUNT #: LSR011178 | MFS GLOBAL TOTAL RETURN FUND-B BUY 1 Units @0.0000 | 0.00 | 0.23 | 0.00 | 0.23 | 88.0 | 0.20 |
| 04/23/2018 | ***-**-387I - KINNEY, DOUGLAS ACCOUNT #: LSR011322 | MFS GLOBAL TOTAL RETURN FUND-B BUY 1 Units @0.0000 | 0.00 | 1.29 | 0.00 | 1.29 | 88.0 | 1.14 |
| 04/23/2018 | ***-**-1300 - MUMIN, ACCOUNT #: LSR011333 | MFS GLOBAL TOTAL RETURN FUND-B BUY 1 Units @0.0000 | 0.00 | 1.74 | 0.00 | 1.74 | 88.0 | 1.53 |
| 04/23/2018 | ***-**-3017 - MUMIN, MESSIAH ACCOUNT #: LSR011334 | MFS GLOBAL TOTAL RETURN FUND-B BUY 1 Units @0.0000 | 0.00 | 1.74 | 0.00 | 1.74 | 88.0 | 1.53 |
| 04/23/2018 | ***-**-0642 - MUMIN, MARY JO ACCOUNT #: LSR011335 | MFS GLOBAL TOTAL RETURN FUND-B BUY 1 Units @0.0000 | 0.00 | 1.74 | 0.00 | 1.74 | 88.0 | 1.53 |
| 04/23/2018 | ***-**-41TR - DAMSKY, BARRY ACCOUNT #: LSR011340 | MFS GLOBAL TOTAL RETURN FUND-B BUY 1 Units @0.0000 | 0.00 | 2.52 | 0.00 | 2.52 | 88.0 | 2.22 |
| 04/23/2018 | ***-**-499X - LARA M TUR, SPS ACCOUNT #: LSR011400 | MFS GLOBAL TOTAL RETURN FUND-B BUY 1 Units @0.0000 | 0.00 | 1.52 | 0.00 | 1.52 | 88.0 | 1.34 |
| 04/23/2018 | ***-**-28IO - CROWE, EMILY ACCOUNT #: LSR011427 | MFS GLOBAL TOTAL RETURN FUND-B BUY 1 Units @0.0000 | 0.00 | 2.60 | 0.00 | 2.60 | 88.0 | 2.29 |
| 04/23/2018 | ***-**-13IR - MURRAY, JOHN ACCOUNT #: LSR011459 | MFS GLOBAL TOTAL RETURN FUND-B BUY 1 Units @0.0000 | 0.00 | 1.29 | 0.00 | 1.29 | 88.0 | 1.14 |
| 04/23/2018 | ***-**-9010 - DRUMM, LOIS ACCOUNT #: LSR011609 | MFS GLOBAL TOTAL RETURN FUND-B BUY 1 Units @0.0000 | 0.00 | 4.13 | 0.00 | 4.13 | 88.0 | 3.63 |
| 04/23/2018 | ***-**-29IO - LORUSSO, VINCENT ACCOUNT #: LSR011681 | MFS GLOBAL TOTAL RETURN FUND-B BUY 1 Units @0.0000 | 0.00 | 4.15 | 0.00 | 4.15 | 88.0 | 3.65 |
| 04/23/2018 | ***-**-13IR - E, KAREN ACCOUNT #: LSR011953 | MFS GLOBAL TOTAL RETURN FUND-B BUY 1 Units @0.0000 | 0.00 | 1.76 | 0.00 | 1.76 | 88.0 | 1.55 |
| 04/23/2018 | ***-**-13IR - E, KAREN ACCOUNT #: LSR011953 | MFS INFLATION ADJUSTED BOND CL B BUY 1 Units @0.0000 | 0.00 | 0.10 | 0.00 | 0.10 | 88.0 | 0.09 |
| 04/23/2018 | ***-**-13IR - E, KAREN ACCOUNT #: LSR011953 | MFS INFLATION ADJUSTED BOND FUND-A BUY 1 Units @0.0000 | 0.00 | 0.11 | 0.00 | 0.11 | 88.0 | 0.10 |



COMMISSION STATEMENT

April 23, 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 |
|--|--------------------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| BROKER TRANSACTIONS (continued) | | | | | | | | |
| PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued) | | | | | | | | |
| 04/23/2018 | ***-**-355I - CRIMMINS, KAREN | MFS INTERNATIONAL DIVERSIFICATION F | 0.00 | 0.86 | 0.00 | 0.86 | 88.0 | 0.76 |
| | ACCOUNT #: LSR011077 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-29IO - LORUSSO, VINCENT | MFS TECHNOLOGY FUND-B | 0.00 | 1.55 | 0.00 | 1.55 | 88.0 | 1.36 |
| | ACCOUNT #: LSR011681 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-13IR - E, KAREN | MFS TECHNOLOGY FUND-B | 0.00 | 1.83 | 0.00 | 1.83 | 88.0 | 1.61 |
| | ACCOUNT #: LSR011953 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-13IR - E, KAREN | MFS TOTAL RETURN FUND-A | 0.00 | 0.50 | 0.00 | 0.50 | 88.0 | 0.44 |
| | ACCOUNT #: LSR011953 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-13IR - E, KAREN | MFS TOTAL RETURN FUND-B | 0.00 | 0.30 | 0.00 | 0.30 | 88.0 | 0.26 |
| | ACCOUNT #: LSR011953 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-369I - DAVIS, BRUCE | MFS UTILITIES FUND-A | 0.00 | 0.95 | 0.00 | 0.95 | 88.0 | 0.84 |
| | ACCOUNT #: LSR011029 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-698J - FEISTHAMEL, MR | MFS UTILITIES FUND-A | 0.00 | 1.78 | 0.00 | 1.78 | 88.0 | 1.57 |
| | ACCOUNT #: LSR011137 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-13IR - E, KAREN | MFS UTILITIES FUND-A | 0.00 | 0.42 | 0.00 | 0.42 | 88.0 | 0.37 |
| | ACCOUNT #: LSR011953 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-621I - DANIELS SR, JOHN | MFS UTILITIES FUND-B | 0.00 | 3.61 | 0.00 | 3.61 | 88.0 | 3.18 |
| | ACCOUNT #: LSR010950 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-614I - MARIOTTI, CINDY | MFS UTILITIES FUND-B | 0.00 | 2.65 | 0.00 | 2.65 | 88.0 | 2.33 |
| | ACCOUNT #: LSR011535 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-39IR - VELARDI, CHRIS | MFS UTILITIES FUND-B | 0.00 | 0.33 | 0.00 | 0.33 | 88.0 | 0.29 |
| | ACCOUNT #: LSR011591 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-13IR - E, KAREN | MFS UTILITIES FUND-B | 0.00 | 1.05 | 0.00 | 1.05 | 88.0 | 0.92 |
| | ACCOUNT #: LSR011953 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-661I - GORCZYNSKI, | NEW WORLD FUND-A | 0.00 | 3.77 | 0.00 | 3.77 | 88.0 | 3.32 |
| | ACCOUNT #: LSR011221 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-077I - GAUTHIER, LOUIS | OPP PORT SERIES: ACTIVE ALLOC A | 0.00 | 2.49 | 0.00 | 2.49 | 88.0 | 2.19 |
| | ACCOUNT #: LSR010901 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-61IN - GORCZYNSKI, | OPPENHEIMER GLBL REAL ESTATE FUND C | 0.00 | 13.56 | 0.00 | 13.56 | 88.0 | 11.93 |
| | ACCOUNT #: LSR010844 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-656I - SMOLA, STANLEY | OPPENHEIMER GLBL REAL ESTATE FUND C | 0.00 | 3.40 | 0.00 | 3.40 | 88.0 | 2.99 |
| | ACCOUNT #: LSR010868 | BUY 1 Units @0.0000 | | | | | | |



COMMISSION STATEMENT

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|--|--|--|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| BROKER TRANSACTIONS (continued) | | | | | | | | |
| PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued) | | | | | | | | |
| 04/23/2018 | ***-**-61IN - GORCZYNSKI, ACCOUNT #: LSR010844 | OPPENHEIMER INTERNATIONAL DIVERSIFI BUY 1 Units @0.0000 | 0.00 | 42.56 | 0.00 | 42.56 | 88.0 | 37.45 |
| 04/23/2018 | ***-**-621I - DANIELS SR, JOHN ACCOUNT #: LSR010950 | OPPENHEIMER SMALL & MID CAP VALUE F BUY 1 Units @0.0000 | 0.00 | 4.15 | 0.00 | 4.15 | 88.0 | 3.65 |
| 04/23/2018 | ***-**-05IN - HULL, JEFFERY ACCOUNT #: LSR011187 | PRINCIPAL INVESTORS HIGH YIELD CL BUY 1 Units @0.0000 | 0.00 | 6.18 | 0.00 | 6.18 | 88.0 | 5.44 |
| 04/23/2018 | ***-**-355I - CRIMMINS, KAREN ACCOUNT #: LSR011077 | PUTNAM 1 BUY 1 Units @0.0000 | 0.00 | 1.76 | 0.00 | 1.76 | 88.0 | 1.55 |
| 04/23/2018 | ***-**-187I - WASZKIEWICZ, FBO ACCOUNT #: LSR011144 | PUTNAM 1 BUY 1 Units @0.0000 | 0.00 | 1.62 | 0.00 | 1.62 | 88.0 | 1.43 |
| 04/23/2018 | ***-**-231J - MISHLANIE JR, ACCOUNT #: LSR010927 | PUTNAM CAPITAL SPECTRUM FD CL B BUY 1 Units @0.0000 | 0.00 | 2.46 | 0.00 | 2.46 | 88.0 | 2.16 |
| 04/23/2018 | ***-**-91IR - DAMSKY, MELISSA ACCOUNT #: LSR010928 | PUTNAM CAPITAL SPECTRUM FD CL B BUY 1 Units @0.0000 | 0.00 | 1.01 | 0.00 | 1.01 | 88.0 | 0.89 |
| 04/23/2018 | ***-**-869I - CASEY, JOHN ACCOUNT #: LSR011323 | PUTNAM CAPITAL SPECTRUM FD CL B BUY 1 Units @0.0000 | 0.00 | 1.20 | 0.00 | 1.20 | 88.0 | 1.06 |
| 04/23/2018 | ***-**-973I - CHAMBERS, ROGER ACCOUNT #: LSR011018 | PUTNAM CAPITAL SPECTRUM FUND CL C BUY 1 Units @0.0000 | 0.00 | 12.18 | 0.00 | 12.18 | 88.0 | 10.72 |
| 04/23/2018 | ***-**-21IN - DANIELS, JOHN ACCOUNT #: LSR010967 | PUTNAM DIVERSIFIED INCOME-B BUY 1 Units @0.0000 | 0.00 | 0.95 | 0.00 | 0.95 | 88.0 | 0.84 |
| 04/23/2018 | ***-**-41IN - HULL, ELMINA ACCOUNT #: LSR010999 | PUTNAM DIVERSIFIED INCOME-B BUY 1 Units @0.0000 | 0.00 | 6.08 | 0.00 | 6.08 | 88.0 | 5.35 |
| 04/23/2018 | ***-**-621O - DANIELS, JOHN ACCOUNT #: LSR012373 | PUTNAM DIVERSIFIED INCOME-B BUY 1 Units @0.0000 | 0.00 | 1.71 | 0.00 | 1.71 | 88.0 | 1.50 |
| 04/23/2018 | ***-**-21IN - DANIELS, JOHN ACCOUNT #: LSR010967 | PUTNAM EQUITY INCOME FUND-B BUY 1 Units @0.0000 | 0.00 | 1.68 | 0.00 | 1.68 | 88.0 | 1.48 |
| 04/23/2018 | ***-**-355I - CRIMMINS, KAREN ACCOUNT #: LSR011077 | PUTNAM EQUITY INCOME FUND-B BUY 1 Units @0.0000 | 0.00 | 1.12 | 0.00 | 1.12 | 88.0 | 0.99 |
| 04/23/2018 | ***-**-187I - WASZKIEWICZ, FBO ACCOUNT #: LSR011144 | PUTNAM EQUITY INCOME FUND-B BUY 1 Units @0.0000 | 0.00 | 2.18 | 0.00 | 2.18 | 88.0 | 1.92 |
| 04/23/2018 | ***-**-621O - DANIELS, JOHN ACCOUNT #: LSR012373 | PUTNAM EQUITY INCOME FUND-B BUY 1 Units @0.0000 | 0.00 | 3.01 | 0.00 | 3.01 | 88.0 | 2.65 |



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| BROKER TRANSACTIONS (continued) | | | | | | | | |
| PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued) | | | | | | | | |
| 04/23/2018 | ***-**-753I - SABANOSH, ALAN | PUTNAM EUROPE EQUITY CLASS C | 0.00 | 16.81 | 0.00 | 16.81 | 88.0 | 14.79 |
| | ACCOUNT #: LSR010909 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-53TR - SABANOSH, ALAN R | PUTNAM EUROPE EQUITY CLASS C | 0.00 | 11.68 | 0.00 | 11.68 | 88.0 | 10.28 |
| | ACCOUNT #: LSR010917 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-467J - PICKARD, BRIAN | PUTNAM EUROPE EQUITY CLASS C | 0.00 | 9.01 | 0.00 | 9.01 | 88.0 | 7.93 |
| | ACCOUNT #: LSR010943 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-231J - MISHLANIE JR, | PUTNAM EUROPE EQUITY FUND-B | 0.00 | 1.35 | 0.00 | 1.35 | 88.0 | 1.19 |
| | ACCOUNT #: LSR010927 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-21IN - DANIELS, JOHN | PUTNAM EUROPE EQUITY FUND-B | 0.00 | 0.49 | 0.00 | 0.49 | 88.0 | 0.43 |
| | ACCOUNT #: LSR010967 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-29IO - LORUSSO, VINCENT | PUTNAM EUROPE EQUITY FUND-B | 0.00 | 1.32 | 0.00 | 1.32 | 88.0 | 1.16 |
| | ACCOUNT #: LSR011681 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-621O - DANIELS, JOHN | PUTNAM EUROPE EQUITY FUND-B | 0.00 | 0.88 | 0.00 | 0.88 | 88.0 | 0.77 |
| | ACCOUNT #: LSR012373 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-355I - CRIMMINS, KAREN | PUTNAM FLOATING RATE INCOME CL B | 0.00 | 1.09 | 0.00 | 1.09 | 88.0 | 0.96 |
| | ACCOUNT #: LSR011077 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-21IN - DANIELS, JOHN | PUTNAM GLOBAL NAT RESOURCES-B | 0.00 | 0.54 | 0.00 | 0.54 | 88.0 | 0.48 |
| | ACCOUNT #: LSR010967 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-34IN - SHEFFER, EUGENE | PUTNAM GLOBAL NAT RESOURCES-B | 0.00 | 1.59 | 0.00 | 1.59 | 88.0 | 1.40 |
| | ACCOUNT #: LSR011000 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-73IN - SCOTELLARO IV, | PUTNAM GLOBAL NAT RESOURCES-B | 0.00 | 0.66 | 0.00 | 0.66 | 88.0 | 0.58 |
| | ACCOUNT #: LSR011086 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-187I - WASZKIEWICZ, FBO | PUTNAM GLOBAL NAT RESOURCES-B | 0.00 | 1.11 | 0.00 | 1.11 | 88.0 | 0.98 |
| | ACCOUNT #: LSR011144 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-41TR - DAMSKY, BARRY | PUTNAM GLOBAL NAT RESOURCES-B | 0.00 | 2.31 | 0.00 | 2.31 | 88.0 | 2.03 |
| | ACCOUNT #: LSR011340 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-621O - DANIELS, JOHN | PUTNAM GLOBAL NAT RESOURCES-B | 0.00 | 0.96 | 0.00 | 0.96 | 88.0 | 0.84 |
| | ACCOUNT #: LSR012373 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-753I - SABANOSH, ALAN | PUTNAM GLOBAL UTILITIES CL C | 0.00 | 5.25 | 0.00 | 5.25 | 88.0 | 4.62 |
| | ACCOUNT #: LSR010909 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-369I - DAVIS, BRUCE | PUTNAM INTERNATIONAL EQUITY-A | 0.00 | 1.34 | 0.00 | 1.34 | 88.0 | 1.18 |
| | ACCOUNT #: LSR011029 | BUY 1 Units @0.0000 | | | | | | |



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| BROKER TRANSACTIONS (continued) | | | | | | | | |
| PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued) | | | | | | | | |
| 04/23/2018 | ***-**-61IN - GORCZYNSKI, ACCOUNT #: LSR010844 | PUTNAM MID-CAP VALUE FUND-C BUY 1 Units @0.0000 | 0.00 | 50.74 | 0.00 | 50.74 | 88.0 | 44.65 |
| 04/23/2018 | ***-**-231J - MISHLANIE JR, ACCOUNT #: LSR010927 | PUTNAM UTILITIES GR & INC-B BUY 1 Units @0.0000 | 0.00 | 2.73 | 0.00 | 2.73 | 88.0 | 2.40 |
| 04/23/2018 | ***-**-369I - DAVIS, BRUCE ACCOUNT #: LSR011029 | PUTNAM UTILITIES GR & INC-B BUY 1 Units @0.0000 | 0.00 | 1.51 | 0.00 | 1.51 | 88.0 | 1.33 |
| 04/23/2018 | ***-**-355I - CRIMMINS, KAREN ACCOUNT #: LSR011077 | PUTNAM UTILITIES GR & INC-B BUY 1 Units @0.0000 | 0.00 | 0.84 | 0.00 | 0.84 | 88.0 | 0.74 |
| 04/23/2018 | ***-**-13IR - MURRAY, JOHN ACCOUNT #: LSR011459 | PUTNAM UTILITIES GR & INC-B BUY 1 Units @0.0000 | 0.00 | 0.89 | 0.00 | 0.89 | 88.0 | 0.78 |
| 04/23/2018 | ***-**-29IO - LORUSSO, VINCENT ACCOUNT #: LSR011681 | PUTNAM UTILITIES GR & INC-B BUY 1 Units @0.0000 | 0.00 | 1.82 | 0.00 | 1.82 | 88.0 | 1.60 |
| 04/23/2018 | ***-**-92IR - THIBAUT, MARY ACCOUNT #: LSR011833 | PUTNAM UTILITIES GR & INC-B BUY 1 Units @0.0000 | 0.00 | 0.48 | 0.00 | 0.48 | 88.0 | 0.42 |
| 04/23/2018 | ***-**-76IR - BOSHART-LOWE, ACCOUNT #: LSR011841 | PUTNAM UTILITIES GR & INC-B BUY 1 Units @0.0000 | 0.00 | 1.18 | 0.00 | 1.18 | 88.0 | 1.04 |
| 04/23/2018 | ***-**-679I - MURSCH JR, ACCOUNT #: LSR010888 | QUEST BALANCED B BUY 1 Units @0.0000 | 0.00 | 0.14 | 0.00 | 0.14 | 88.0 | 0.12 |
| 04/23/2018 | ***-**-231J - MISHLANIE JR, ACCOUNT #: LSR010927 | QUEST BALANCED B BUY 1 Units @0.0000 | 0.00 | 3.31 | 0.00 | 3.31 | 88.0 | 2.91 |
| 04/23/2018 | ***-**-29IN - THIBAUT, ACCOUNT #: LSR011094 | QUEST BALANCED FUND C BUY 1 Units @0.0000 | 0.00 | 10.26 | 0.00 | 10.26 | 88.0 | 9.03 |
| 04/23/2018 | ***-**-24TR - SCOTELLARO, L ACCOUNT #: LSR010973 | QUEST INTERNATIONAL VALUE FUND, INC BUY 1 Units @0.0000 | 0.00 | 3.11 | 0.00 | 3.11 | 88.0 | 2.74 |
| 04/23/2018 | ***-**-61IN - GORCZYNSKI, ACCOUNT #: LSR010844 | QUEST INTERNATIONAL VALUE FUND, INC BUY 1 Units @0.0000 | 0.00 | 41.85 | 0.00 | 41.85 | 88.0 | 36.83 |
| 04/23/2018 | ***-**-753I - SABANOSH, ALAN ACCOUNT #: 20022581 | RESOURCE REAL ESTATE TRAILS BUY 0 Units @0.0000 | 0.00 | 17.45 | 0.00 | 17.45 | 88.0 | 15.36 |
| 04/23/2018 | ***-**-61IN - FILEY, JOHN | RESOURCE REAL ESTATE TRAILS BUY 0 Units @0.0000 | 0.00 | 16.21 | 0.00 | 16.21 | 88.0 | 14.26 |
| 04/23/2018 | ***-**-42IN - JENKINS, DAVID | RESOURCE REAL ESTATE TRAILS BUY 0 Units @0.0000 | 0.00 | 8.72 | 0.00 | 8.72 | 88.0 | 7.67 |



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| BROKER TRANSACTIONS (continued) | | | | | | | | |
| PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued) | | | | | | | | |
| 04/23/2018 | ***-**-762I - STORSBERG, | RESOURCE REAL ESTATE TRAILS BUY 0 Units @0.0000 | 0.00 | 27.00 | 0.00 | 27.00 | 88.0 | 23.76 |
| 04/23/2018 | ***-**-60IN - SCHRADER, KEVIN ACCOUNT #: 20021808 | RESOURCE REAL ESTATE TRAILS BUY 0 Units @0.0000 | 0.00 | 13.32 | 0.00 | 13.32 | 88.0 | 11.72 |
| 04/23/2018 | ***-**-11IN - MOYLAN, TIMOTHY ACCOUNT #: 20022106 | RESOURCE REAL ESTATE TRAILS BUY 0 Units @0.0000 | 0.00 | 10.00 | 0.00 | 10.00 | 88.0 | 8.80 |
| 04/23/2018 | ***-**-621I - DANIELS SR, JOHN ACCOUNT #: 20022107 | RESOURCE REAL ESTATE TRAILS BUY 0 Units @0.0000 | 0.00 | 17.23 | 0.00 | 17.23 | 88.0 | 15.16 |
| 04/23/2018 | ***-**-01IN - HAGAN III, ACCOUNT #: 20022138 | RESOURCE REAL ESTATE TRAILS BUY 0 Units @0.0000 | 0.00 | 17.23 | 0.00 | 17.23 | 88.0 | 15.16 |
| 04/23/2018 | ***-**-034J - NIKODEM, JOSEPH | RESOURCE REAL ESTATE TRAILS BUY 0 Units @0.0000 | 0.00 | 21.80 | 0.00 | 21.80 | 88.0 | 19.18 |
| 04/23/2018 | ***-**-804I - RIEBEN, ANNE ACCOUNT #: LSR010877 | RESOURCE REAL ESTATE-NFS BUY 1 Units @0.0000 | 0.00 | 6.87 | 0.00 | 6.87 | 88.0 | 6.05 |
| 04/23/2018 | ***-**-423I - SAVICKI, RICHARD ACCOUNT #: LSR010889 | RESOURCE REAL ESTATE-NFS BUY 1 Units @0.0000 | 0.00 | 6.68 | 0.00 | 6.68 | 88.0 | 5.88 |
| 04/23/2018 | ***-**-423J - SAVICKI, RICHARD ACCOUNT #: LSR010893 | RESOURCE REAL ESTATE-NFS BUY 1 Units @0.0000 | 0.00 | 7.33 | 0.00 | 7.33 | 88.0 | 6.45 |
| 04/23/2018 | ***-**-077O - GAUTHIER, LOUIS ACCOUNT #: LSR010905 | RESOURCE REAL ESTATE-NFS BUY 1 Units @0.0000 | 0.00 | 6.24 | 0.00 | 6.24 | 88.0 | 5.49 |
| 04/23/2018 | ***-**-924J - FISH, ROY ACCOUNT #: LSR010906 | RESOURCE REAL ESTATE-NFS BUY 1 Units @0.0000 | 0.00 | 8.70 | 0.00 | 8.70 | 88.0 | 7.66 |
| 04/23/2018 | ***-**-753I - SABANOSH, ALAN ACCOUNT #: LSR010909 | RESOURCE REAL ESTATE-NFS BUY 1 Units @0.0000 | 0.00 | 9.40 | 0.00 | 9.40 | 88.0 | 8.27 |
| 04/23/2018 | ***-**-53TR - SABANOSH, ALAN R ACCOUNT #: LSR010917 | RESOURCE REAL ESTATE-NFS BUY 1 Units @0.0000 | 0.00 | 9.40 | 0.00 | 9.40 | 88.0 | 8.27 |
| 04/23/2018 | ***-**-425I - PERRITANO, ACCOUNT #: LSR010922 | RESOURCE REAL ESTATE-NFS BUY 1 Units @0.0000 | 0.00 | 12.21 | 0.00 | 12.21 | 88.0 | 10.74 |
| 04/23/2018 | ***-**-231J - MISHLANIE JR, ACCOUNT #: LSR010927 | RESOURCE REAL ESTATE-NFS BUY 1 Units @0.0000 | 0.00 | 4.43 | 0.00 | 4.43 | 88.0 | 3.90 |
| 04/23/2018 | ***-**-522J - RIEBEN, HENRY ACCOUNT #: LSR010938 | RESOURCE REAL ESTATE-NFS BUY 1 Units @0.0000 | 0.00 | 16.47 | 0.00 | 16.47 | 88.0 | 14.49 |



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| BROKER TRANSACTIONS (continued) | | | | | | | | |
| PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued) | | | | | | | | |
| 04/23/2018 | ***-**-467I - PICKARD, BRIAN | RESOURCE REAL ESTATE-NFS | 0.00 | 6.24 | 0.00 | 6.24 | 88.0 | 5.49 |
| | ACCOUNT #: LSR010944 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-290I - PICKARD, KAREN | RESOURCE REAL ESTATE-NFS | 0.00 | 0.19 | 0.00 | 0.19 | 88.0 | 0.17 |
| | ACCOUNT #: LSR010946 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-24TR - SCOTELLARO, L | RESOURCE REAL ESTATE-NFS | 0.00 | 10.91 | 0.00 | 10.91 | 88.0 | 9.60 |
| | ACCOUNT #: LSR010973 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-08TR - SCOTELLARO III, | RESOURCE REAL ESTATE-NFS | 0.00 | 6.27 | 0.00 | 6.27 | 88.0 | 5.52 |
| | ACCOUNT #: LSR010975 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-474J - HAGAN JR, | RESOURCE REAL ESTATE-NFS | 0.00 | 9.35 | 0.00 | 9.35 | 88.0 | 8.23 |
| | ACCOUNT #: LSR010993 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-319I - HILLEBRAND, JOAN | RESOURCE REAL ESTATE-NFS | 0.00 | 6.89 | 0.00 | 6.89 | 88.0 | 6.06 |
| | ACCOUNT #: LSR011002 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-555I - SPAETH, CARLA | RESOURCE REAL ESTATE-NFS | 0.00 | 9.22 | 0.00 | 9.22 | 88.0 | 8.11 |
| | ACCOUNT #: LSR011016 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-609J - CADY, PATRICK | RESOURCE REAL ESTATE-NFS | 0.00 | 2.01 | 0.00 | 2.01 | 88.0 | 1.77 |
| | ACCOUNT #: LSR011123 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-698J - FEISTHAMEL, MR | RESOURCE REAL ESTATE-NFS | 0.00 | 8.09 | 0.00 | 8.09 | 88.0 | 7.12 |
| | ACCOUNT #: LSR011137 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-05IN - HULL, JEFFERY | RESOURCE REAL ESTATE-NFS | 0.00 | 7.83 | 0.00 | 7.83 | 88.0 | 6.89 |
| | ACCOUNT #: LSR011187 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-41TR - DAMSKY, BARRY | RESOURCE REAL ESTATE-NFS | 0.00 | 4.39 | 0.00 | 4.39 | 88.0 | 3.86 |
| | ACCOUNT #: LSR011340 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-05IR - HULL, JEFF | RESOURCE REAL ESTATE-NFS | 0.00 | 5.05 | 0.00 | 5.05 | 88.0 | 4.44 |
| | ACCOUNT #: LSR011534 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-901O - DRUMM, LOIS | RESOURCE REAL ESTATE-NFS | 0.00 | 6.86 | 0.00 | 6.86 | 88.0 | 6.04 |
| | ACCOUNT #: LSR011609 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-49IN - SCOTELLARO III, | RESOURCE REAL ESTATE-NFS | 0.00 | 3.76 | 0.00 | 3.76 | 88.0 | 3.31 |
| | ACCOUNT #: LSR011680 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-90IN - PICKARD, KAREN | RESOURCE REAL ESTATE-NFS | 0.00 | 7.66 | 0.00 | 7.66 | 88.0 | 6.74 |
| | ACCOUNT #: LSR011687 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-762I - STORSBERG, | RESOURCE REAL ESTATE-NFS | 0.00 | 22.36 | 0.00 | 22.36 | 88.0 | 19.68 |
| | ACCOUNT #: LSR011688 | BUY 1 Units @0.0000 | | | | | | |



COMMISSION STATEMENT

April 23, 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 |
|--|--------------------------------|--------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| BROKER TRANSACTIONS (continued) | | | | | | | | |
| PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued) | | | | | | | | |
| 04/23/2018 | ***-**-61IN - FILEY, JOHN | RESOURCE REAL ESTATE-NFS | 0.00 | 9.48 | 0.00 | 9.48 | 88.0 | 8.34 |
| | ACCOUNT #: LSR011723 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-469I - HAUCK, JUDITH | RESOURCE REAL ESTATE-NFS | 0.00 | 0.87 | 0.00 | 0.87 | 88.0 | 0.77 |
| | ACCOUNT #: LSR011739 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-03TR - BOSHART, PEGGY | RESOURCE REAL ESTATE-NFS | 0.00 | 4.44 | 0.00 | 4.44 | 88.0 | 3.91 |
| | ACCOUNT #: LSR011743 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-03IN - BOSHART, PEGGY | RESOURCE REAL ESTATE-NFS | 0.00 | 8.57 | 0.00 | 8.57 | 88.0 | 7.54 |
| | ACCOUNT #: LSR011744 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-03IR - BOSHART, PEGGY | RESOURCE REAL ESTATE-NFS | 0.00 | 6.17 | 0.00 | 6.17 | 88.0 | 5.43 |
| | ACCOUNT #: LSR011749 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-42IN - JENKINS, DAVID | RESOURCE REAL ESTATE-NFS | 0.00 | 6.13 | 0.00 | 6.13 | 88.0 | 5.39 |
| | ACCOUNT #: LSR011776 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-718J - LOWE, GREGORY | RESOURCE REAL ESTATE-NFS | 0.00 | 4.75 | 0.00 | 4.75 | 88.0 | 4.18 |
| | ACCOUNT #: LSR011914 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-14TR - THE KALAMAS, | RESOURCE REAL ESTATE-NFS | 0.00 | 3.76 | 0.00 | 3.76 | 88.0 | 3.31 |
| | ACCOUNT #: LSR012226 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-804I - RIEBEN, ANNE | RESOURCE REAL ESTATE-NFS | 0.00 | 2.29 | 0.00 | 2.29 | 88.0 | 2.02 |
| | ACCOUNT #: LSR010877 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-423I - SAVICKI, RICHARD | RESOURCE REAL ESTATE-NFS | 0.00 | 2.23 | 0.00 | 2.23 | 88.0 | 1.96 |
| | ACCOUNT #: LSR010889 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-423J - SAVICKI, RICHARD | RESOURCE REAL ESTATE-NFS | 0.00 | 2.44 | 0.00 | 2.44 | 88.0 | 2.15 |
| | ACCOUNT #: LSR010893 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-077O - GAUTHIER, LOUIS | RESOURCE REAL ESTATE-NFS | 0.00 | 2.08 | 0.00 | 2.08 | 88.0 | 1.83 |
| | ACCOUNT #: LSR010905 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-924J - FISH, ROY | RESOURCE REAL ESTATE-NFS | 0.00 | 2.90 | 0.00 | 2.90 | 88.0 | 2.55 |
| | ACCOUNT #: LSR010906 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-753I - SABANOSH, ALAN | RESOURCE REAL ESTATE-NFS | 0.00 | 3.13 | 0.00 | 3.13 | 88.0 | 2.75 |
| | ACCOUNT #: LSR010909 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-53TR - SABANOSH, ALAN R | RESOURCE REAL ESTATE-NFS | 0.00 | 3.13 | 0.00 | 3.13 | 88.0 | 2.75 |
| | ACCOUNT #: LSR010917 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-425I - PERRITANO, | RESOURCE REAL ESTATE-NFS | 0.00 | 4.07 | 0.00 | 4.07 | 88.0 | 3.58 |
| | ACCOUNT #: LSR010922 | BUY 1 Units @0.0000 | | | | | | |



COMMISSION STATEMENT

April 23, 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 |
|--|--|---|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| BROKER TRANSACTIONS (continued) | | | | | | | | |
| PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued) | | | | | | | | |
| 04/23/2018 | ***-**-231J - MISHLANIE JR, ACCOUNT #: LSR010927 | RESOURCE REAL ESTATE-NFS BUY 1 Units @0.0000 | 0.00 | 1.48 | 0.00 | 1.48 | 88.0 | 1.30 |
| 04/23/2018 | ***-**-522J - RIEBEN, HENRY ACCOUNT #: LSR010938 | RESOURCE REAL ESTATE-NFS BUY 1 Units @0.0000 | 0.00 | 5.49 | 0.00 | 5.49 | 88.0 | 4.83 |
| 04/23/2018 | ***-**-467I - PICKARD, BRIAN ACCOUNT #: LSR010944 | RESOURCE REAL ESTATE-NFS BUY 1 Units @0.0000 | 0.00 | 2.08 | 0.00 | 2.08 | 88.0 | 1.83 |
| 04/23/2018 | ***-**-290I - PICKARD, KAREN ACCOUNT #: LSR010946 | RESOURCE REAL ESTATE-NFS BUY 1 Units @0.0000 | 0.00 | 0.06 | 0.00 | 0.06 | 88.0 | 0.05 |
| 04/23/2018 | ***-**-24TR - SCOTELLARO, L ACCOUNT #: LSR010973 | RESOURCE REAL ESTATE-NFS BUY 1 Units @0.0000 | 0.00 | 3.64 | 0.00 | 3.64 | 88.0 | 3.20 |
| 04/23/2018 | ***-**-08TR - SCOTELLARO III, ACCOUNT #: LSR010975 | RESOURCE REAL ESTATE-NFS BUY 1 Units @0.0000 | 0.00 | 2.09 | 0.00 | 2.09 | 88.0 | 1.84 |
| 04/23/2018 | ***-**-474J - HAGAN JR, ACCOUNT #: LSR010993 | RESOURCE REAL ESTATE-NFS BUY 1 Units @0.0000 | 0.00 | 3.12 | 0.00 | 3.12 | 88.0 | 2.75 |
| 04/23/2018 | ***-**-319I - HILLEBRAND, JOAN ACCOUNT #: LSR011002 | RESOURCE REAL ESTATE-NFS BUY 1 Units @0.0000 | 0.00 | 2.30 | 0.00 | 2.30 | 88.0 | 2.02 |
| 04/23/2018 | ***-**-555I - SPAETH, CARLA ACCOUNT #: LSR011016 | RESOURCE REAL ESTATE-NFS BUY 1 Units @0.0000 | 0.00 | 3.07 | 0.00 | 3.07 | 88.0 | 2.70 |
| 04/23/2018 | ***-**-609J - CADY, PATRICK ACCOUNT #: LSR011123 | RESOURCE REAL ESTATE-NFS BUY 1 Units @0.0000 | 0.00 | 0.67 | 0.00 | 0.67 | 88.0 | 0.59 |
| 04/23/2018 | ***-**-698J - FEISTHAMEL, MR ACCOUNT #: LSR011137 | RESOURCE REAL ESTATE-NFS BUY 1 Units @0.0000 | 0.00 | 2.70 | 0.00 | 2.70 | 88.0 | 2.38 |
| 04/23/2018 | ***-**-05IN - HULL, JEFFERY ACCOUNT #: LSR011187 | RESOURCE REAL ESTATE-NFS BUY 1 Units @0.0000 | 0.00 | 2.61 | 0.00 | 2.61 | 88.0 | 2.30 |
| 04/23/2018 | ***-**-41TR - DAMSKY, BARRY ACCOUNT #: LSR011340 | RESOURCE REAL ESTATE-NFS BUY 1 Units @0.0000 | 0.00 | 1.46 | 0.00 | 1.46 | 88.0 | 1.28 |
| 04/23/2018 | ***-**-05IR - HULL, JEFF ACCOUNT #: LSR011534 | RESOURCE REAL ESTATE-NFS BUY 1 Units @0.0000 | 0.00 | 1.68 | 0.00 | 1.68 | 88.0 | 1.48 |
| 04/23/2018 | ***-**-901O - DRUMM, LOIS ACCOUNT #: LSR011609 | RESOURCE REAL ESTATE-NFS BUY 1 Units @0.0000 | 0.00 | 2.29 | 0.00 | 2.29 | 88.0 | 2.02 |
| 04/23/2018 | ***-**-49IN - SCOTELLARO III, ACCOUNT #: LSR011680 | RESOURCE REAL ESTATE-NFS BUY 1 Units @0.0000 | 0.00 | 1.25 | 0.00 | 1.25 | 88.0 | 1.10 |



COMMISSION STATEMENT

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

| DATE | CLIENT | INVESTMENT | INVESTMENT AMOUNT | GROSS COMMISSION | CLEARING CHARGE | NET COMMISSION | RATE | BROKER COMMISSION |
|--|---|--|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| BROKER TRANSACTIONS (continued) | | | | | | | | |
| PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued) | | | | | | | | |
| 04/23/2018 | ***-**-90IN - PICKARD, KAREN ACCOUNT #: LSR011687 | RESOURCE REAL ESTATE-NFS BUY 1 Units @0.0000 | 0.00 | 2.55 | 0.00 | 2.55 | 88.0 | 2.24 |
| 04/23/2018 | ***-**-762I - STORSBERG, ACCOUNT #: LSR011688 | RESOURCE REAL ESTATE-NFS BUY 1 Units @0.0000 | 0.00 | 7.45 | 0.00 | 7.45 | 88.0 | 6.56 |
| 04/23/2018 | ***-**-61IN - FILEY, JOHN ACCOUNT #: LSR011723 | RESOURCE REAL ESTATE-NFS BUY 1 Units @0.0000 | 0.00 | 3.16 | 0.00 | 3.16 | 88.0 | 2.78 |
| 04/23/2018 | ***-**-469I - HAUCK, JUDITH ACCOUNT #: LSR011739 | RESOURCE REAL ESTATE-NFS BUY 1 Units @0.0000 | 0.00 | 0.29 | 0.00 | 0.29 | 88.0 | 0.26 |
| 04/23/2018 | ***-**-03TR - BOSHART, PEGGY ACCOUNT #: LSR011743 | RESOURCE REAL ESTATE-NFS BUY 1 Units @0.0000 | 0.00 | 1.48 | 0.00 | 1.48 | 88.0 | 1.30 |
| 04/23/2018 | ***-**-03IN - BOSHART, PEGGY ACCOUNT #: LSR011744 | RESOURCE REAL ESTATE-NFS BUY 1 Units @0.0000 | 0.00 | 2.86 | 0.00 | 2.86 | 88.0 | 2.52 |
| 04/23/2018 | ***-**-03IR - BOSHART, PEGGY ACCOUNT #: LSR011749 | RESOURCE REAL ESTATE-NFS BUY 1 Units @0.0000 | 0.00 | 2.06 | 0.00 | 2.06 | 88.0 | 1.81 |
| 04/23/2018 | ***-**-42IN - JENKINS, DAVID ACCOUNT #: LSR011776 | RESOURCE REAL ESTATE-NFS BUY 1 Units @0.0000 | 0.00 | 2.04 | 0.00 | 2.04 | 88.0 | 1.80 |
| 04/23/2018 | ***-**-718J - LOWE, GREGORY ACCOUNT #: LSR011914 | RESOURCE REAL ESTATE-NFS BUY 1 Units @0.0000 | 0.00 | 1.58 | 0.00 | 1.58 | 88.0 | 1.39 |
| 04/23/2018 | ***-**-14TR - THE KALAMAS, ACCOUNT #: LSR012226 | RESOURCE REAL ESTATE-NFS BUY 1 Units @0.0000 | 0.00 | 1.25 | 0.00 | 1.25 | 88.0 | 1.10 |
| 04/23/2018 | ***-**-22IN - GRACIE, JULIA ACCOUNT #: LSR011019 | RESOURCE REAL ESTATES-NFS BUY 1 Units @0.0000 | 0.00 | 2.71 | 0.00 | 2.71 | 88.0 | 2.38 |
| 04/23/2018 | ***-**-077I - GAUTHIER, LOUIS ACCOUNT #: LSR010901 | RISING DIVIDENDS FUND A BUY 1 Units @0.0000 | 0.00 | 2.14 | 0.00 | 2.14 | 88.0 | 1.88 |
| 04/23/2018 | ***-**-474J - HAGAN JR, ACCOUNT #: LSR010993 | RISING DIVIDENDS FUND A BUY 1 Units @0.0000 | 0.00 | 1.50 | 0.00 | 1.50 | 88.0 | 1.32 |
| 04/23/2018 | ***-**-01IN - HAGAN III, ACCOUNT #: LSR011014 | RISING DIVIDENDS FUND A BUY 1 Units @0.0000 | 0.00 | 1.88 | 0.00 | 1.88 | 88.0 | 1.65 |
| 04/23/2018 | ***-**-369I - DAVIS, BRUCE ACCOUNT #: LSR011029 | RISING DIVIDENDS FUND A BUY 1 Units @0.0000 | 0.00 | 2.45 | 0.00 | 2.45 | 88.0 | 2.16 |
| 04/23/2018 | ***-**-679I - MURSCH JR, ACCOUNT #: LSR010888 | RISING DIVIDENDS FUND, INC. B BUY 1 Units @0.0000 | 0.00 | 0.22 | 0.00 | 0.22 | 88.0 | 0.19 |



COMMISSION STATEMENT

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

| DATE | CLIENT | INVESTMENT | INVESTMENT AMOUNT | GROSS COMMISSION | CLEARING CHARGE | NET COMMISSION | RATE | BROKER COMMISSION |
|--|-------------------------------|--------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| BROKER TRANSACTIONS (continued) | | | | | | | | |
| PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued) | | | | | | | | |
| 04/23/2018 | ***-**-05IN - HULL, JEFFERY | SENIOR FLOATING RATE FUND C | 0.00 | 8.65 | 0.00 | 8.65 | 88.0 | 7.61 |
| | ACCOUNT #: LSR011187 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-679I - MURSCH JR, | SMALL- & MID- CAP VALUE B | 0.00 | 0.19 | 0.00 | 0.19 | 88.0 | 0.17 |
| | ACCOUNT #: LSR010888 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-21IN - DANIELS, JOHN | SMALL- & MID-CAP GROWTH FUND A | 0.00 | 0.90 | 0.00 | 0.90 | 88.0 | 0.79 |
| | ACCOUNT #: LSR010967 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-621O - DANIELS, JOHN | SMALL- & MID-CAP GROWTH FUND A | 0.00 | 1.64 | 0.00 | 1.64 | 88.0 | 1.44 |
| | ACCOUNT #: LSR012373 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-80IN - GRIFFITH, DAVID | SMALLCAP WORLD FUND-A | 0.00 | 5.84 | 0.00 | 5.84 | 88.0 | 5.14 |
| | ACCOUNT #: LSF000286 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-580I - GRIFFITH, DAVID | SMALLCAP WORLD FUND-A | 0.00 | 1.55 | 0.00 | 1.55 | 88.0 | 1.36 |
| | ACCOUNT #: LSF000295 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-522I - RIEBEN, HENRY | SMALLCAP WORLD FUND-A | 0.00 | 0.71 | 0.00 | 0.71 | 88.0 | 0.62 |
| | ACCOUNT #: LSR010964 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-21IN - DANIELS, JOHN | SMALLCAP WORLD FUND-A | 0.00 | 0.44 | 0.00 | 0.44 | 88.0 | 0.39 |
| | ACCOUNT #: LSR010967 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-24TR - SCOTELLARO, L | SMALLCAP WORLD FUND-A | 0.00 | 1.60 | 0.00 | 1.60 | 88.0 | 1.41 |
| | ACCOUNT #: LSR010973 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-803J - TEESDALE, | SMALLCAP WORLD FUND-A | 0.00 | 0.36 | 0.00 | 0.36 | 88.0 | 0.32 |
| | ACCOUNT #: LSR011017 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-22IN - GRACIE, JULIA | SMALLCAP WORLD FUND-A | 0.00 | 2.04 | 0.00 | 2.04 | 88.0 | 1.80 |
| | ACCOUNT #: LSR011019 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-661I - GORCZYNSKI, | SMALLCAP WORLD FUND-A | 0.00 | 4.19 | 0.00 | 4.19 | 88.0 | 3.69 |
| | ACCOUNT #: LSR011221 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-469I - HAUCK, JUDITH | SMALLCAP WORLD FUND-A | 0.00 | 0.73 | 0.00 | 0.73 | 88.0 | 0.64 |
| | ACCOUNT #: LSR011739 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-621O - DANIELS, JOHN | SMALLCAP WORLD FUND-A | 0.00 | 0.79 | 0.00 | 0.79 | 88.0 | 0.70 |
| | ACCOUNT #: LSR012373 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-762I - STORSBERG, | SMALLCAP WORLD FUND-C | 0.00 | 0.48 | 0.00 | 0.48 | 88.0 | 0.42 |
| | ACCOUNT #: LSR011688 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-656I - SMOLA, STANLEY | SMALLCAP WORLD FUND-F1 | 0.00 | 2.04 | 0.00 | 2.04 | 88.0 | 1.80 |
| | ACCOUNT #: LSR010868 | BUY 1 Units @0.0000 | | | | | | |



COMMISSION STATEMENT

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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) | | | | | | | | |
| 04/23/2018 | ***-**-80IN - GRIFFITH, DAVID | THE GROWTH FUND OF AMERICA-A | 0.00 | 1.29 | 0.00 | 1.29 | 88.0 | 1.14 |
| | ACCOUNT #: LSF000286 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-29IO - LORUSSO, VINCENT | THE GROWTH FUND OF AMERICA-C | 0.00 | 7.50 | 0.00 | 7.50 | 88.0 | 6.60 |
| | ACCOUNT #: LSR011681 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-21IN - DANIELS, JOHN | THE INCOME FUND OF AMERICA-A | 0.00 | 1.34 | 0.00 | 1.34 | 88.0 | 1.18 |
| | ACCOUNT #: LSR010967 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-24TR - SCOTELLARO, L | THE INCOME FUND OF AMERICA-A | 0.00 | 4.66 | 0.00 | 4.66 | 88.0 | 4.10 |
| | ACCOUNT #: LSR010973 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-474J - HAGAN JR, | THE INCOME FUND OF AMERICA-A | 0.00 | 3.25 | 0.00 | 3.25 | 88.0 | 2.86 |
| | ACCOUNT #: LSR010993 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-803J - TEESDALE, | THE INCOME FUND OF AMERICA-A | 0.00 | 0.06 | 0.00 | 0.06 | 88.0 | 0.05 |
| | ACCOUNT #: LSR011017 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-698J - FEISTHAMEL, MR | THE INCOME FUND OF AMERICA-A | 0.00 | 1.61 | 0.00 | 1.61 | 88.0 | 1.42 |
| | ACCOUNT #: LSR011137 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-661I - GORCZYNSKI, | THE INCOME FUND OF AMERICA-A | 0.00 | 2.24 | 0.00 | 2.24 | 88.0 | 1.97 |
| | ACCOUNT #: LSR011221 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-469I - HAUCK, JUDITH | THE INCOME FUND OF AMERICA-A | 0.00 | 1.79 | 0.00 | 1.79 | 88.0 | 1.58 |
| | ACCOUNT #: LSR011739 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-621O - DANIELS, JOHN | THE INCOME FUND OF AMERICA-A | 0.00 | 2.40 | 0.00 | 2.40 | 88.0 | 2.11 |
| | ACCOUNT #: LSR012373 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-656I - SMOLA, STANLEY | THE INCOME FUND OF AMERICA-F1 | 0.00 | 1.44 | 0.00 | 1.44 | 88.0 | 1.27 |
| | ACCOUNT #: LSR010868 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-661I - GORCZYNSKI, | THE NEW ECONOMY FUND-A | 0.00 | 3.85 | 0.00 | 3.85 | 88.0 | 3.39 |
| | ACCOUNT #: LSR011221 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-474J - HAGAN JR, | WASHINGTON MUTUAL INVESTORS FUND-C | 0.00 | 25.17 | 0.00 | 25.17 | 88.0 | 22.15 |
| | ACCOUNT #: LSR010993 | BUY 1 Units @0.0000 | | | | | | |
| * MUTUAL FUND 12B1 TRAILS SUBTOTAL * | | | \$0.00 | \$1,711.03 | \$0.00 | \$1,711.03 | | \$1,505.60 |
| *** BROKER TRANSACTIONS TOTAL *** | | | \$80,835.46 | \$4,417.87 | \$36.00 | \$4,381.87 | | \$3,855.90 |



COMMISSION STATEMENT

April 23, 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 |
|---------------------------------------|--------------------------------|-----------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u> OVERRIDE TRANSACTIONS </u> | | | | | | | | |
| <u>BROKER: KURT GRUENEWALD</u> | | | | | | | | |
| 04/05/2018 | ***-**-31IO - JOSEPH, ANN | TERRA INCOME FUND 6, INC. | -15,000.00 | 18.00 | 0.00 | 18.00 | 88.0 | 15.84 |
| | ACCOUNT #: LSR012337 | CANCEL 1521 Units @9.8600 | | | | | | |
| 04/23/2018 | ***-**-702I - KOCHER, MICHAEL | 37252M108 | 0.00 | 1.01 | 0.00 | 1.01 | 88.0 | 0.89 |
| | ACCOUNT #: LSR010954 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-680I - HARRELL, DARYL | 37252M108 | 0.00 | 0.85 | 0.00 | 0.85 | 88.0 | 0.75 |
| | ACCOUNT #: LSR011321 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-22IO - CLINTON, STEPHEN | 37252M108 | 0.00 | 1.73 | 0.00 | 1.73 | 88.0 | 1.52 |
| | ACCOUNT #: LSR011684 | BUY 1 Units @0.0000 | | | | | | |
| 04/09/2018 | ***-**-480J - EVANS, RICHARD | AMERICAN BALANCED FUND-A | 125.00 | 5.31 | 0.00 | 5.31 | 88.0 | 4.67 |
| | ACCOUNT #: 00073288662 | BUY 4 Units @28.0600 | | | | | | |
| 04/23/2018 | ***-**-680I - HARRELL, DARYL | AMERICAN BALANCED FUND-A | 0.00 | 0.89 | 0.00 | 0.89 | 88.0 | 0.78 |
| | ACCOUNT #: LSR011321 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-30TR - AND SANDRA | AMERICAN BALANCED FUND-A | 0.00 | 2.89 | 0.00 | 2.89 | 88.0 | 2.54 |
| | ACCOUNT #: LSR011939 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-761I - EVANS, DOLORES | AMERICAN BALANCED FUND-C | 0.00 | 15.25 | 0.00 | 15.25 | 88.0 | 13.42 |
| | ACCOUNT #: LSR011024 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-094I - KATRENA L | AMERICAN BALANCED FUND-C | 0.00 | 3.85 | 0.00 | 3.85 | 88.0 | 3.39 |
| | ACCOUNT #: LSR011188 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-52IO - EUSEPI, SUSAN | AMERICAN BALANCED FUND-C | 0.00 | 5.18 | 0.00 | 5.18 | 88.0 | 4.56 |
| | ACCOUNT #: LSR011219 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-80IO - EVANS, RICHARD | AMERICAN BALANCED FUND-C | 0.00 | 15.48 | 0.00 | 15.48 | 88.0 | 13.62 |
| | ACCOUNT #: LSR011276 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-881I - EBERLEY, SUSAN | AMERICAN FUNDS BALANCED PORT CL C | 0.00 | 8.82 | 0.00 | 8.82 | 88.0 | 7.76 |
| | ACCOUNT #: LSR010858 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-382K - SATTERLY, NEIL | AMERICAN FUNDS BALANCED PORT CL C | 0.00 | 4.48 | 0.00 | 4.48 | 88.0 | 3.94 |
| | ACCOUNT #: LSR010875 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-949I - ACEE, JOSPEH | AMERICAN FUNDS BALANCED PORT CL C | 0.00 | 3.67 | 0.00 | 3.67 | 88.0 | 3.23 |
| | ACCOUNT #: LSR010908 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-48IO - CLARK, PATRICK | AMERICAN FUNDS BALANCED PORT CL C | 0.00 | 22.67 | 0.00 | 22.67 | 88.0 | 19.95 |
| | ACCOUNT #: LSR010911 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-31IO - HARTZ, CLAUDIA | AMERICAN FUNDS BALANCED PORT CL C | 0.00 | 6.20 | 0.00 | 6.20 | 88.0 | 5.46 |
| | ACCOUNT #: LSR010915 | BUY 1 Units @0.0000 | | | | | | |



COMMISSION STATEMENT

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BRANCH #01047 - 47 - GRIFFITH

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|--|---|--|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| OVERRIDE TRANSACTIONS (continued) | | | | | | | | |
| <u>BROKER: KURT GRUENEWALD (continued)</u> | | | | | | | | |
| 04/23/2018 | ***-**-0310 - MCVOY, ROBERT ACCOUNT #: LSR010916 | AMERICAN FUNDS BALANCED PORT CL C BUY 1 Units @0.0000 | 0.00 | 4.72 | 0.00 | 4.72 | 88.0 | 4.15 |
| 04/23/2018 | ***-**-151N - PENDRAK, JOHN ACCOUNT #: LSR010948 | AMERICAN FUNDS BALANCED PORT CL C BUY 1 Units @0.0000 | 0.00 | 12.03 | 0.00 | 12.03 | 88.0 | 10.59 |
| 04/23/2018 | ***-**-959I - FRANZ, PAUL ACCOUNT #: LSR010959 | AMERICAN FUNDS BALANCED PORT CL C BUY 1 Units @0.0000 | 0.00 | 10.58 | 0.00 | 10.58 | 88.0 | 9.31 |
| 04/23/2018 | ***-**-567I - FRANZ, ALICE ACCOUNT #: LSR010960 | AMERICAN FUNDS BALANCED PORT CL C BUY 1 Units @0.0000 | 0.00 | 7.10 | 0.00 | 7.10 | 88.0 | 6.25 |
| 04/23/2018 | ***-**-960J - MASTRANGELO, ACCOUNT #: LSR010966 | AMERICAN FUNDS BALANCED PORT CL C BUY 1 Units @0.0000 | 0.00 | 11.93 | 0.00 | 11.93 | 88.0 | 10.50 |
| 04/23/2018 | ***-**-73TR - WESTCOTT IRRVOC ACCOUNT #: LSR011001 | AMERICAN FUNDS BALANCED PORT CL C BUY 1 Units @0.0000 | 0.00 | 10.10 | 0.00 | 10.10 | 88.0 | 8.89 |
| 04/23/2018 | ***-**-511O - CAIN, TIMOTHY ACCOUNT #: LSR011007 | AMERICAN FUNDS BALANCED PORT CL C BUY 1 Units @0.0000 | 0.00 | 11.88 | 0.00 | 11.88 | 88.0 | 10.45 |
| 04/23/2018 | ***-**-169I - EVANS, PAUL ACCOUNT #: LSR011026 | AMERICAN FUNDS BALANCED PORT CL C BUY 1 Units @0.0000 | 0.00 | 5.49 | 0.00 | 5.49 | 88.0 | 4.83 |
| 04/23/2018 | ***-**-73UT - COBB, CHRSTIAN ACCOUNT #: LSR011104 | AMERICAN FUNDS BALANCED PORT CL C BUY 1 Units @0.0000 | 0.00 | 5.46 | 0.00 | 5.46 | 88.0 | 4.80 |
| 04/23/2018 | ***-**-67UT - COBB, ACCOUNT #: LSR011105 | AMERICAN FUNDS BALANCED PORT CL C BUY 1 Units @0.0000 | 0.00 | 5.46 | 0.00 | 5.46 | 88.0 | 4.80 |
| 04/23/2018 | ***-**-131N - RHYMESTINE, ACCOUNT #: LSR011106 | AMERICAN FUNDS BALANCED PORT CL C BUY 1 Units @0.0000 | 0.00 | 2.61 | 0.00 | 2.61 | 88.0 | 2.30 |
| 04/23/2018 | ***-**-891N - LEE, ROGER ACCOUNT #: LSR011166 | AMERICAN FUNDS BALANCED PORT CL C BUY 1 Units @0.0000 | 0.00 | 7.52 | 0.00 | 7.52 | 88.0 | 6.62 |
| 04/23/2018 | ***-**-311O - WILLIAMSON, FBO ACCOUNT #: LSR011172 | AMERICAN FUNDS BALANCED PORT CL C BUY 1 Units @0.0000 | 0.00 | 16.10 | 0.00 | 16.10 | 88.0 | 14.17 |
| 04/23/2018 | ***-**-641O - PFAFF, GEORGE ACCOUNT #: LSR011185 | AMERICAN FUNDS BALANCED PORT CL C BUY 1 Units @0.0000 | 0.00 | 5.04 | 0.00 | 5.04 | 88.0 | 4.44 |
| 04/23/2018 | ***-**-900J - LEE, MR. ACCOUNT #: LSR011186 | AMERICAN FUNDS BALANCED PORT CL C BUY 1 Units @0.0000 | 0.00 | 5.20 | 0.00 | 5.20 | 88.0 | 4.58 |
| 04/23/2018 | ***-**-621R - ROBBIANO, FBO ACCOUNT #: LSR011195 | AMERICAN FUNDS BALANCED PORT CL C BUY 1 Units @0.0000 | 0.00 | 3.67 | 0.00 | 3.67 | 88.0 | 3.23 |



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|--|---|--|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| OVERRIDE TRANSACTIONS (continued) | | | | | | | | |
| <u>BROKER: KURT GRUENEWALD (continued)</u> | | | | | | | | |
| 04/23/2018 | ***-**-02IN - BUSHEY, MELISSA ACCOUNT #: LSR011257 | AMERICAN FUNDS BALANCED PORT CL C BUY 1 Units @0.0000 | 0.00 | 3.69 | 0.00 | 3.69 | 88.0 | 3.25 |
| 04/23/2018 | ***-**-653I - KOCHEM, CLINTON ACCOUNT #: LSR011300 | AMERICAN FUNDS BALANCED PORT CL C BUY 1 Units @0.0000 | 0.00 | 3.74 | 0.00 | 3.74 | 88.0 | 3.29 |
| 04/23/2018 | ***-**-702I - KOCHEM, MICHAEL ACCOUNT #: LSR010954 | AMERICAN FUNDS BLNCD PORTFOLIO CL A BUY 1 Units @0.0000 | 0.00 | 4.18 | 0.00 | 4.18 | 88.0 | 3.68 |
| 04/23/2018 | ***-**-366I - GRUENEWALD, ACCOUNT #: LSR010989 | AMERICAN FUNDS BLNCD PORTFOLIO CL A BUY 1 Units @0.0000 | 0.00 | 1.70 | 0.00 | 1.70 | 88.0 | 1.50 |
| 04/23/2018 | ***-**-579J - RHYMESTINE, ACCOUNT #: LSR011081 | AMERICAN FUNDS BLNCD PORTFOLIO CL A BUY 1 Units @0.0000 | 0.00 | 0.81 | 0.00 | 0.81 | 88.0 | 0.71 |
| 04/23/2018 | ***-**-808J - GORMAN, RANDY ACCOUNT #: LSR011087 | AMERICAN FUNDS BLNCD PORTFOLIO CL A BUY 1 Units @0.0000 | 0.00 | 0.25 | 0.00 | 0.25 | 88.0 | 0.22 |
| 04/23/2018 | ***-**-326I - GRANDE, FBO MR ACCOUNT #: LSR011091 | AMERICAN FUNDS BLNCD PORTFOLIO CL A BUY 1 Units @0.0000 | 0.00 | 2.08 | 0.00 | 2.08 | 88.0 | 1.83 |
| 04/23/2018 | ***-**-62IR - ROBBIANO, FBO ACCOUNT #: LSR011195 | AMERICAN FUNDS GLBL GROWTH PORT CL BUY 1 Units @0.0000 | 0.00 | 3.44 | 0.00 | 3.44 | 88.0 | 3.03 |
| 04/23/2018 | ***-**-87IN - HINCKLEY, ACCOUNT #: LSR010834 | AMERICAN FUNDS MORTGAGE FD CL C BUY 1 Units @0.0000 | 0.00 | 6.51 | 0.00 | 6.51 | 88.0 | 5.73 |
| 04/23/2018 | ***-**-287J - HINCKLEY, ACCOUNT #: LSR010841 | AMERICAN FUNDS MORTGAGE FD CL C BUY 1 Units @0.0000 | 0.00 | 8.19 | 0.00 | 8.19 | 88.0 | 7.21 |
| 04/23/2018 | ***-**-881I - EBERLEY, SUSAN ACCOUNT #: LSR010858 | AMERICAN FUNDS MORTGAGE FD CL C BUY 1 Units @0.0000 | 0.00 | 7.33 | 0.00 | 7.33 | 88.0 | 6.45 |
| 04/23/2018 | ***-**-382I - SATTERLY, NEIL ACCOUNT #: LSR010867 | AMERICAN FUNDS MORTGAGE FD CL C BUY 1 Units @0.0000 | 0.00 | 8.52 | 0.00 | 8.52 | 88.0 | 7.50 |
| 04/23/2018 | ***-**-980I - ACEE, ELIZABETH ACCOUNT #: LSR010885 | AMERICAN FUNDS MORTGAGE FD CL C BUY 1 Units @0.0000 | 0.00 | 12.91 | 0.00 | 12.91 | 88.0 | 11.36 |
| 04/23/2018 | ***-**-48IO - CLARK, PATRICK ACCOUNT #: LSR010911 | AMERICAN FUNDS MORTGAGE FD CL C BUY 1 Units @0.0000 | 0.00 | 12.81 | 0.00 | 12.81 | 88.0 | 11.27 |
| 04/23/2018 | ***-**-31IO - HARTZ, CLAUDIA ACCOUNT #: LSR010915 | AMERICAN FUNDS MORTGAGE FD CL C BUY 1 Units @0.0000 | 0.00 | 4.94 | 0.00 | 4.94 | 88.0 | 4.35 |
| 04/23/2018 | ***-**-72IN - GAVALO, JULIE ACCOUNT #: LSR010921 | AMERICAN FUNDS MORTGAGE FD CL C BUY 1 Units @0.0000 | 0.00 | 12.87 | 0.00 | 12.87 | 88.0 | 11.33 |



COMMISSION STATEMENT

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| OVERRIDE TRANSACTIONS (continued) | | | | | | | | |
| <u>BROKER: KURT GRUENEWALD (continued)</u> | | | | | | | | |
| 04/23/2018 | ***-**-959I - FRANZ, PAUL ACCOUNT #: LSR010959 | AMERICAN FUNDS MORTGAGE FD CL C BUY 1 Units @0.0000 | 0.00 | 10.30 | 0.00 | 10.30 | 88.0 | 9.06 |
| 04/23/2018 | ***-**-065I - LAZIO, THOMAS ACCOUNT #: LSR010979 | AMERICAN FUNDS MORTGAGE FD CL C BUY 1 Units @0.0000 | 0.00 | 7.70 | 0.00 | 7.70 | 88.0 | 6.78 |
| 04/23/2018 | ***-**-80IN - COBB, JAMES ACCOUNT #: LSR011042 | AMERICAN FUNDS MORTGAGE FD CL C BUY 1 Units @0.0000 | 0.00 | 8.51 | 0.00 | 8.51 | 88.0 | 7.49 |
| 04/23/2018 | ***-**-00IO - LEE, GARY ACCOUNT #: LSR011059 | AMERICAN FUNDS MORTGAGE FD CL C BUY 1 Units @0.0000 | 0.00 | 8.62 | 0.00 | 8.62 | 88.0 | 7.59 |
| 04/23/2018 | ***-**-44IO - MAYO, DEBORAH ACCOUNT #: LSR011079 | AMERICAN FUNDS MORTGAGE FD CL C BUY 1 Units @0.0000 | 0.00 | 21.48 | 0.00 | 21.48 | 88.0 | 18.90 |
| 04/23/2018 | ***-**-579J - RHYMESTINE, ACCOUNT #: LSR011081 | AMERICAN FUNDS MORTGAGE FD CL C BUY 1 Units @0.0000 | 0.00 | 8.47 | 0.00 | 8.47 | 88.0 | 7.45 |
| 04/23/2018 | ***-**-09IO - BATES, FBO MRS ACCOUNT #: LSR011117 | AMERICAN FUNDS MORTGAGE FD CL C BUY 1 Units @0.0000 | 0.00 | 22.06 | 0.00 | 22.06 | 88.0 | 19.41 |
| 04/23/2018 | ***-**-48IO - ANACKER, FBO MRS ACCOUNT #: LSR011164 | AMERICAN FUNDS MORTGAGE FD CL C BUY 1 Units @0.0000 | 0.00 | 6.42 | 0.00 | 6.42 | 88.0 | 5.65 |
| 04/23/2018 | ***-**-89IN - LEE, ROGER ACCOUNT #: LSR011166 | AMERICAN FUNDS MORTGAGE FD CL C BUY 1 Units @0.0000 | 0.00 | 13.82 | 0.00 | 13.82 | 88.0 | 12.16 |
| 04/23/2018 | ***-**-094I - KATRENA L ACCOUNT #: LSR011188 | AMERICAN FUNDS MORTGAGE FD CL C BUY 1 Units @0.0000 | 0.00 | 2.99 | 0.00 | 2.99 | 88.0 | 2.63 |
| 04/23/2018 | ***-**-439J - MCCARTHY, JAMES ACCOUNT #: LSR011205 | AMERICAN FUNDS MORTGAGE FD CL C BUY 1 Units @0.0000 | 0.00 | 2.50 | 0.00 | 2.50 | 88.0 | 2.20 |
| 04/23/2018 | ***-**-52IO - EUSEPI, SUSAN ACCOUNT #: LSR011219 | AMERICAN FUNDS MORTGAGE FD CL C BUY 1 Units @0.0000 | 0.00 | 2.96 | 0.00 | 2.96 | 88.0 | 2.60 |
| 04/23/2018 | ***-**-473J - HUSTON, ACCOUNT #: LSR011228 | AMERICAN FUNDS MORTGAGE FD CL C BUY 1 Units @0.0000 | 0.00 | 8.58 | 0.00 | 8.58 | 88.0 | 7.55 |
| 04/23/2018 | ***-**-80IO - EVANS, RICHARD ACCOUNT #: LSR011276 | AMERICAN FUNDS MORTGAGE FD CL C BUY 1 Units @0.0000 | 0.00 | 6.80 | 0.00 | 6.80 | 88.0 | 5.98 |
| 04/23/2018 | ***-**-376I - BERBEN, GAIL ACCOUNT #: LSR011380 | AMERICAN FUNDS MORTGAGE FD CL C BUY 1 Units @0.0000 | 0.00 | 8.34 | 0.00 | 8.34 | 88.0 | 7.34 |
| 04/23/2018 | ***-**-21IO - RADELL, SANDRA ACCOUNT #: LSR011392 | AMERICAN FUNDS MORTGAGE FD CL C BUY 1 Units @0.0000 | 0.00 | 8.32 | 0.00 | 8.32 | 88.0 | 7.32 |



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| OVERRIDE TRANSACTIONS (continued) | | | | | | | | |
| <u>BROKER: KURT GRUENEWALD (continued)</u> | | | | | | | | |
| 04/23/2018 | ***-**-45IO - JOHNSON, GREGORY | AMERICAN FUNDS MORTGAGE FD CL C | 0.00 | 16.65 | 0.00 | 16.65 | 88.0 | 14.65 |
| | ACCOUNT #: LSR011421 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-420T - DEMETRI, AMELIA | AMERICAN FUNDS PRESERVATION PORT C | 0.00 | 4.22 | 0.00 | 4.22 | 88.0 | 3.71 |
| | ACCOUNT #: LSR010994 | BUY 1 Units @0.0000 | | | | | | |
| 04/09/2018 | ***-**-0851 - LALLIER, JAMES | AMERICAN GLOBAL BALANCED CL C | 8,000.00 | 80.00 | 0.00 | 80.00 | 88.0 | 70.40 |
| | ACCOUNT #: 00068584532 | BUY 247 Units @32.3700 | | | | | | |
| 04/23/2018 | ***-**-881J - EBERLEY, SUSAN | AMERICAN GLOBAL BALANCED CL C | 0.00 | 9.55 | 0.00 | 9.55 | 88.0 | 8.40 |
| | ACCOUNT #: LSR010856 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-382I - SATTERLY, NEIL | AMERICAN GLOBAL BALANCED CL C | 0.00 | 11.56 | 0.00 | 11.56 | 88.0 | 10.17 |
| | ACCOUNT #: LSR010867 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-382K - SATTERLY, NEIL | AMERICAN GLOBAL BALANCED CL C | 0.00 | 4.28 | 0.00 | 4.28 | 88.0 | 3.77 |
| | ACCOUNT #: LSR010875 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-980I - ACEE, ELIZABETH | AMERICAN GLOBAL BALANCED CL C | 0.00 | 14.46 | 0.00 | 14.46 | 88.0 | 12.72 |
| | ACCOUNT #: LSR010885 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-48IO - CLARK, PATRICK | AMERICAN GLOBAL BALANCED CL C | 0.00 | 11.37 | 0.00 | 11.37 | 88.0 | 10.01 |
| | ACCOUNT #: LSR010911 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-72IN - GAVALO, JULIE | AMERICAN GLOBAL BALANCED CL C | 0.00 | 11.04 | 0.00 | 11.04 | 88.0 | 9.72 |
| | ACCOUNT #: LSR010921 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-065I - LAZIO, THOMAS | AMERICAN GLOBAL BALANCED CL C | 0.00 | 9.40 | 0.00 | 9.40 | 88.0 | 8.27 |
| | ACCOUNT #: LSR010979 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-420T - DEMETRI, AMELIA | AMERICAN GLOBAL BALANCED CL C | 0.00 | 7.13 | 0.00 | 7.13 | 88.0 | 6.27 |
| | ACCOUNT #: LSR010994 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-73TR - WESTCOTT IRRVOC | AMERICAN GLOBAL BALANCED CL C | 0.00 | 14.72 | 0.00 | 14.72 | 88.0 | 12.95 |
| | ACCOUNT #: LSR011001 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-73TR - WESTCOTT IRRVOC | AMERICAN GLOBAL BALANCED CL C | 0.00 | 25.10 | 0.00 | 25.10 | 88.0 | 22.09 |
| | ACCOUNT #: LSR011008 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-80IN - COBB, JAMES | AMERICAN GLOBAL BALANCED CL C | 0.00 | 8.09 | 0.00 | 8.09 | 88.0 | 7.12 |
| | ACCOUNT #: LSR011042 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-00IO - LEE, GARY | AMERICAN GLOBAL BALANCED CL C | 0.00 | 13.47 | 0.00 | 13.47 | 88.0 | 11.85 |
| | ACCOUNT #: LSR011059 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-44IO - MAYO, DEBORAH | AMERICAN GLOBAL BALANCED CL C | 0.00 | 33.73 | 0.00 | 33.73 | 88.0 | 29.68 |
| | ACCOUNT #: LSR011079 | BUY 1 Units @0.0000 | | | | | | |



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| OVERRIDE TRANSACTIONS (continued) | | | | | | | | |
| BROKER: KURT GRUENEWALD (continued) | | | | | | | | |
| 04/23/2018 | ***-**-09IO - BATES, FBO MRS ACCOUNT #: LSR011117 | AMERICAN GLOBAL BALANCED CL C BUY 1 Units @0.0000 | 0.00 | 17.04 | 0.00 | 17.04 | 88.0 | 15.00 |
| 04/23/2018 | ***-**-094I - KATRENA L ACCOUNT #: LSR011188 | AMERICAN GLOBAL BALANCED CL C BUY 1 Units @0.0000 | 0.00 | 7.64 | 0.00 | 7.64 | 88.0 | 6.72 |
| 04/23/2018 | ***-**-11IO - LYNN G. ACCOUNT #: LSR011239 | AMERICAN GLOBAL BALANCED CL C BUY 1 Units @0.0000 | 0.00 | 19.57 | 0.00 | 19.57 | 88.0 | 17.22 |
| 04/23/2018 | ***-**-07IO - FAMOLARO, JAMES ACCOUNT #: LSR011280 | AMERICAN GLOBAL BALANCED CL C BUY 1 Units @0.0000 | 0.00 | 5.79 | 0.00 | 5.79 | 88.0 | 5.10 |
| 04/23/2018 | ***-**-376I - BERBEN, GAIL ACCOUNT #: LSR011380 | AMERICAN GLOBAL BALANCED CL C BUY 1 Units @0.0000 | 0.00 | 18.19 | 0.00 | 18.19 | 88.0 | 16.01 |
| 04/23/2018 | ***-**-21IO - RADELL, SANDRA ACCOUNT #: LSR011392 | AMERICAN GLOBAL BALANCED CL C BUY 1 Units @0.0000 | 0.00 | 5.83 | 0.00 | 5.83 | 88.0 | 5.13 |
| 04/23/2018 | ***-**-45IO - JOHNSON, GREGORY ACCOUNT #: LSR011421 | AMERICAN GLOBAL BALANCED CL C BUY 1 Units @0.0000 | 0.00 | 14.92 | 0.00 | 14.92 | 88.0 | 13.13 |
| 04/23/2018 | ***-**-14IO - BUSHEY, MATTHEW ACCOUNT #: LSR011498 | AMERICAN GLOBAL BALANCED CL C BUY 1 Units @0.0000 | 0.00 | 17.43 | 0.00 | 17.43 | 88.0 | 15.34 |
| 04/23/2018 | ***-**-37IO - MCCLUSKY, MARK ACCOUNT #: LSR011579 | AMERICAN GLOBAL BALANCED CL C BUY 1 Units @0.0000 | 0.00 | 9.52 | 0.00 | 9.52 | 88.0 | 8.38 |
| 04/23/2018 | ***-**-86IN - LEE, KEVIN ACCOUNT #: LSR011613 | AMERICAN GLOBAL BALANCED CL C BUY 1 Units @0.0000 | 0.00 | 8.50 | 0.00 | 8.50 | 88.0 | 7.48 |
| 04/23/2018 | ***-**-03IO - MASTRANGELO, ACCOUNT #: LSR011679 | AMERICAN GLOBAL BALANCED CL C BUY 1 Units @0.0000 | 0.00 | 9.62 | 0.00 | 9.62 | 88.0 | 8.47 |
| 04/23/2018 | ***-**-702I - KOCHEM, MICHAEL ACCOUNT #: LSR010954 | AMERICAN GLOBAL BALANCED CLASS A BUY 1 Units @0.0000 | 0.00 | 2.64 | 0.00 | 2.64 | 88.0 | 2.32 |
| 04/23/2018 | ***-**-63TR - EVANS, AUDREY J ACCOUNT #: LSR011036 | AMERICAN GLOBAL BALANCED CLASS A BUY 1 Units @0.0000 | 0.00 | 6.08 | 0.00 | 6.08 | 88.0 | 5.35 |
| 04/23/2018 | ***-**-30TR - AND SANDRA ACCOUNT #: LSR011939 | AMERICAN GLOBAL BALANCED CLASS A BUY 1 Units @0.0000 | 0.00 | 1.56 | 0.00 | 1.56 | 88.0 | 1.37 |
| 04/23/2018 | ***-**-287I - HINCKLEY, ACCOUNT #: LSR010843 | AMERICAN MUTUAL FUND-A BUY 1 Units @0.0000 | 0.00 | 5.44 | 0.00 | 5.44 | 88.0 | 4.79 |
| 04/23/2018 | ***-**-13IN - GRUENEWALD, ACCOUNT #: LSR011210 | AMERICAN WASHINGTON MUTUAL INVESTOR BUY 1 Units @0.0000 | 0.00 | 0.34 | 0.00 | 0.34 | 88.0 | 0.30 |



COMMISSION STATEMENT

April 23, 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 |
|--|--|---|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| OVERRIDE TRANSACTIONS (continued) | | | | | | | | |
| <u>BROKER: KURT GRUENEWALD (continued)</u> | | | | | | | | |
| 04/13/2018 | ***-**-51IR - BLAKE, JAMES ACCOUNT #: LSR012391 | BERKSHIRE HATHAWAY INC DEL CL B NEW BUY 24 Units @197.0000 | 4,728.00 | 38.04 | 0.00 | 38.04 | 88.0 | 33.48 |
| 04/13/2018 | ***-**-51IR - BLAKE, JAMES ACCOUNT #: LSR012391 | BERKSHIRE HATHAWAY INC DEL CL B NEW BUY 26 Units @197.0000 | 5,122.00 | 60.72 | 0.00 | 60.72 | 88.0 | 53.43 |
| 04/19/2018 | ***-**-188I - BRADLEY, WAYNE ACCOUNT #: LSR012484 | BERKSHIRE HATHAWAY INC DEL CL B NEW BUY 50 Units @199.5000 | 9,975.00 | 99.75 | 0.00 | 99.75 | 88.0 | 87.78 |
| 04/23/2018 | ***-**-959I - FRANZ, PAUL ACCOUNT #: LSR010959 | BLACKROCK US OPPORT CL A BUY 1 Units @0.0000 | 0.00 | 0.39 | 0.00 | 0.39 | 88.0 | 0.34 |
| 04/02/2018 | ***-**-65CL - GRUENEWALD, K, ACCOUNT #: 03222414918 | CAPITAL APPRECIATION C BUY 0 Units @0.0000 | 50.00 | 0.50 | 0.00 | 0.50 | 88.0 | 0.44 |
| 04/23/2018 | ***-**-254I - AUGUSTINE, LINDA ACCOUNT #: LSR010846 | CAPITAL INCOME BUILDER CLASS C BUY 1 Units @0.0000 | 0.00 | 7.22 | 0.00 | 7.22 | 88.0 | 6.35 |
| 04/23/2018 | ***-**-881J - EBERLEY, SUSAN ACCOUNT #: LSR010856 | CAPITAL INCOME BUILDER CLASS C BUY 1 Units @0.0000 | 0.00 | 4.89 | 0.00 | 4.89 | 88.0 | 4.30 |
| 04/23/2018 | ***-**-382I - SATTERLY, NEIL ACCOUNT #: LSR010867 | CAPITAL INCOME BUILDER CLASS C BUY 1 Units @0.0000 | 0.00 | 14.64 | 0.00 | 14.64 | 88.0 | 12.88 |
| 04/23/2018 | ***-**-949I - ACEE, JOSPEH ACCOUNT #: LSR010908 | CAPITAL INCOME BUILDER CLASS C BUY 1 Units @0.0000 | 0.00 | 4.79 | 0.00 | 4.79 | 88.0 | 4.22 |
| 04/23/2018 | ***-**-31IO - HARTZ, CLAUDIA ACCOUNT #: LSR010915 | CAPITAL INCOME BUILDER CLASS C BUY 1 Units @0.0000 | 0.00 | 5.37 | 0.00 | 5.37 | 88.0 | 4.73 |
| 04/23/2018 | ***-**-15IN - PENDRAK, JOHN ACCOUNT #: LSR010948 | CAPITAL INCOME BUILDER CLASS C BUY 1 Units @0.0000 | 0.00 | 8.84 | 0.00 | 8.84 | 88.0 | 7.78 |
| 04/23/2018 | ***-**-959I - FRANZ, PAUL ACCOUNT #: LSR010959 | CAPITAL INCOME BUILDER CLASS C BUY 1 Units @0.0000 | 0.00 | 11.84 | 0.00 | 11.84 | 88.0 | 10.42 |
| 04/23/2018 | ***-**-960J - MASTRANGELO, ACCOUNT #: LSR010966 | CAPITAL INCOME BUILDER CLASS C BUY 1 Units @0.0000 | 0.00 | 9.49 | 0.00 | 9.49 | 88.0 | 8.35 |
| 04/23/2018 | ***-**-065I - LAZIO, THOMAS ACCOUNT #: LSR010979 | CAPITAL INCOME BUILDER CLASS C BUY 1 Units @0.0000 | 0.00 | 6.77 | 0.00 | 6.77 | 88.0 | 5.96 |
| 04/23/2018 | ***-**-51IO - CAIN, TIMOTHY ACCOUNT #: LSR011007 | CAPITAL INCOME BUILDER CLASS C BUY 1 Units @0.0000 | 0.00 | 7.35 | 0.00 | 7.35 | 88.0 | 6.47 |
| 04/23/2018 | ***-**-63TR - EVANS, AUDREY J ACCOUNT #: LSR011036 | CAPITAL INCOME BUILDER CLASS C BUY 1 Units @0.0000 | 0.00 | 5.24 | 0.00 | 5.24 | 88.0 | 4.61 |



COMMISSION STATEMENT

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DAVID GRIFFITH
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BRANCH #01047 - 47 - GRIFFITH

| DATE | CLIENT | INVESTMENT | INVESTMENT AMOUNT | GROSS COMMISSION | CLEARING CHARGE | NET COMMISSION | RATE | BROKER COMMISSION |
|--|--------------------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| OVERRIDE TRANSACTIONS (continued) | | | | | | | | |
| <u>BROKER: KURT GRUENEWALD (continued)</u> | | | | | | | | |
| 04/23/2018 | ***-**-861I - SANGER, LAWRENCE | CAPITAL INCOME BUILDER CLASS C | 0.00 | 1.82 | 0.00 | 1.82 | 88.0 | 1.60 |
| | ACCOUNT #: LSR011095 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-13IN - RHYMESTINE, | CAPITAL INCOME BUILDER CLASS C | 0.00 | 4.54 | 0.00 | 4.54 | 88.0 | 4.00 |
| | ACCOUNT #: LSR011106 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-506J - CURRIERE JR, MR | CAPITAL INCOME BUILDER CLASS C | 0.00 | 3.87 | 0.00 | 3.87 | 88.0 | 3.41 |
| | ACCOUNT #: LSR011121 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-31IO - WILLIAMSON, FBO | CAPITAL INCOME BUILDER CLASS C | 0.00 | 14.62 | 0.00 | 14.62 | 88.0 | 12.87 |
| | ACCOUNT #: LSR011172 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-62IR - ROBBIANO, FBO | CAPITAL INCOME BUILDER CLASS C | 0.00 | 7.01 | 0.00 | 7.01 | 88.0 | 6.17 |
| | ACCOUNT #: LSR011195 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-02IN - BUSHEY, MELISSA | CAPITAL INCOME BUILDER CLASS C | 0.00 | 2.87 | 0.00 | 2.87 | 88.0 | 2.53 |
| | ACCOUNT #: LSR011257 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-287I - HINCKLEY, | CAPITAL INCOME BUILDER-A | 0.00 | 4.13 | 0.00 | 4.13 | 88.0 | 3.63 |
| | ACCOUNT #: LSR010843 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-702I - KOCHER, MICHAEL | CAPITAL INCOME BUILDER-A | 0.00 | 3.69 | 0.00 | 3.69 | 88.0 | 3.25 |
| | ACCOUNT #: LSR010954 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-366I - GRUENEWALD, | CAPITAL INCOME BUILDER-A | 0.00 | 2.13 | 0.00 | 2.13 | 88.0 | 1.87 |
| | ACCOUNT #: LSR010989 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-20IO - DEMETRI, AMELIA | CAPITAL INCOME BUILDER-A | 0.00 | 1.00 | 0.00 | 1.00 | 88.0 | 0.88 |
| | ACCOUNT #: LSR010995 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-579J - RHYMESTINE, | CAPITAL INCOME BUILDER-A | 0.00 | 2.21 | 0.00 | 2.21 | 88.0 | 1.94 |
| | ACCOUNT #: LSR011081 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-680I - HARRELL, DARYL | CAPITAL INCOME BUILDER-A | 0.00 | 0.31 | 0.00 | 0.31 | 88.0 | 0.27 |
| | ACCOUNT #: LSR011321 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-30TR - AND SANDRA | CAPITAL INCOME BUILDER-A | 0.00 | 2.17 | 0.00 | 2.17 | 88.0 | 1.91 |
| | ACCOUNT #: LSR011939 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-702I - KOCHER, MICHAEL | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00 | 3.81 | 0.00 | 3.81 | 88.0 | 3.35 |
| | ACCOUNT #: LSR010954 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-20IO - DEMETRI, AMELIA | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00 | 1.59 | 0.00 | 1.59 | 88.0 | 1.40 |
| | ACCOUNT #: LSR010995 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-579J - RHYMESTINE, | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00 | 1.85 | 0.00 | 1.85 | 88.0 | 1.63 |
| | ACCOUNT #: LSR011081 | BUY 1 Units @0.0000 | | | | | | |



COMMISSION STATEMENT

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| DATE | CLIENT | INVESTMENT | INVESTMENT AMOUNT | GROSS COMMISSION | CLEARING CHARGE | NET COMMISSION | RATE | BROKER COMMISSION |
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| OVERRIDE TRANSACTIONS (continued) | | | | | | | | |
| <u>BROKER: KURT GRUENEWALD (continued)</u> | | | | | | | | |
| 04/23/2018 | ***-**-326J - GRANDE, MR | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00 | 1.46 | 0.00 | 1.46 | 88.0 | 1.28 |
| | ACCOUNT #: LSR011089 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-326I - GRANDE, FBO MR | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00 | 1.59 | 0.00 | 1.59 | 88.0 | 1.40 |
| | ACCOUNT #: LSR011091 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-48IO - ANACKER, FBO MRS | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00 | 1.13 | 0.00 | 1.13 | 88.0 | 0.99 |
| | ACCOUNT #: LSR011164 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-680I - HARRELL, DARYL | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00 | 1.43 | 0.00 | 1.43 | 88.0 | 1.26 |
| | ACCOUNT #: LSR011321 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-128I - BASHANT, THOMAS | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00 | 1.55 | 0.00 | 1.55 | 88.0 | 1.36 |
| | ACCOUNT #: LSR011387 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-30TR - AND SANDRA | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00 | 2.53 | 0.00 | 2.53 | 88.0 | 2.23 |
| | ACCOUNT #: LSR011939 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-44IO - MAYO, DEBORAH | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00 | 13.23 | 0.00 | 13.23 | 88.0 | 11.64 |
| | ACCOUNT #: LSR011079 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-09IO - BATES, FBO MRS | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00 | 10.86 | 0.00 | 10.86 | 88.0 | 9.56 |
| | ACCOUNT #: LSR011117 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-11IO - LYNN G. | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00 | 11.80 | 0.00 | 11.80 | 88.0 | 10.38 |
| | ACCOUNT #: LSR011239 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-45IO - JOHNSON, GREGORY | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00 | 8.13 | 0.00 | 8.13 | 88.0 | 7.15 |
| | ACCOUNT #: LSR011421 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-959I - FRANZ, PAUL | COLUMBIA MARSICO FOCUSED EQ CL A | 0.00 | 0.24 | 0.00 | 0.24 | 88.0 | 0.21 |
| | ACCOUNT #: LSR010959 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-949I - ACEE, JOSPEH | DEVELOPING MARKETS FUND B | 0.00 | 1.34 | 0.00 | 1.34 | 88.0 | 1.18 |
| | ACCOUNT #: LSR010908 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-506J - CURRIERE JR, MR | DEVELOPING MARKETS FUND B | 0.00 | 0.90 | 0.00 | 0.90 | 88.0 | 0.79 |
| | ACCOUNT #: LSR011121 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-48IO - ANACKER, FBO MRS | DEVELOPING MARKETS FUND B | 0.00 | 0.82 | 0.00 | 0.82 | 88.0 | 0.72 |
| | ACCOUNT #: LSR011164 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-64IO - PFAFF, GEORGE | DEVELOPING MARKETS FUND B | 0.00 | 1.58 | 0.00 | 1.58 | 88.0 | 1.39 |
| | ACCOUNT #: LSR011185 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-62IR - ROBBIANO, FBO | DEVELOPING MARKETS FUND B | 0.00 | 1.22 | 0.00 | 1.22 | 88.0 | 1.07 |
| | ACCOUNT #: LSR011195 | BUY 1 Units @0.0000 | | | | | | |



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| OVERRIDE TRANSACTIONS (continued) | | | | | | | | |
| <u>BROKER: KURT GRUENEWALD (continued)</u> | | | | | | | | |
| 04/23/2018 | ***-**-653I - KOCHER, CLINTON | DEVELOPING MARKETS FUND B | 0.00 | 2.53 | 0.00 | 2.53 | 88.0 | 2.23 |
| | ACCOUNT #: LSR011300 | BUY 1 Units @0.0000 | | | | | | |
| 04/02/2018 | ***-**-633J - | EQUITY INCOME FUND, INC. A | 175.00 | 8.31 | 0.00 | 8.31 | 88.0 | 7.31 |
| | ACCOUNT #: 08353229688 | BUY 0 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-287J - HINCKLEY, | EQUITY INCOME FUND, INC. A | 0.00 | 0.60 | 0.00 | 0.60 | 88.0 | 0.53 |
| | ACCOUNT #: LSR010841 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-254I - AUGUSTINE, LINDA | EQUITY INCOME FUND, INC. A | 0.00 | 2.35 | 0.00 | 2.35 | 88.0 | 2.07 |
| | ACCOUNT #: LSR010846 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-881J - EBERLEY, SUSAN | EQUITY INCOME FUND, INC. A | 0.00 | 2.26 | 0.00 | 2.26 | 88.0 | 1.99 |
| | ACCOUNT #: LSR010856 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-15IN - PENDRAK, JOHN | EQUITY INCOME FUND, INC. A | 0.00 | 1.90 | 0.00 | 1.90 | 88.0 | 1.67 |
| | ACCOUNT #: LSR010948 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-702I - KOCHER, MICHAEL | EQUITY INCOME FUND, INC. A | 0.00 | 2.07 | 0.00 | 2.07 | 88.0 | 1.82 |
| | ACCOUNT #: LSR010954 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-959I - FRANZ, PAUL | EQUITY INCOME FUND, INC. A | 0.00 | 2.29 | 0.00 | 2.29 | 88.0 | 2.02 |
| | ACCOUNT #: LSR010959 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-960J - MASTRANGELO, | EQUITY INCOME FUND, INC. A | 0.00 | 2.43 | 0.00 | 2.43 | 88.0 | 2.14 |
| | ACCOUNT #: LSR010966 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-366I - GRUENEWALD, | EQUITY INCOME FUND, INC. A | 0.00 | 1.34 | 0.00 | 1.34 | 88.0 | 1.18 |
| | ACCOUNT #: LSR010989 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-51IO - CAIN, TIMOTHY | EQUITY INCOME FUND, INC. A | 0.00 | 2.58 | 0.00 | 2.58 | 88.0 | 2.27 |
| | ACCOUNT #: LSR011007 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-761I - EVANS, DOLORES | EQUITY INCOME FUND, INC. A | 0.00 | 4.63 | 0.00 | 4.63 | 88.0 | 4.07 |
| | ACCOUNT #: LSR011024 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-944O - MAYO, DEBORAH | EQUITY INCOME FUND, INC. A | 0.00 | 1.12 | 0.00 | 1.12 | 88.0 | 0.99 |
| | ACCOUNT #: LSR011035 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-306X - COBB, CHERRYL | EQUITY INCOME FUND, INC. A | 0.00 | 1.99 | 0.00 | 1.99 | 88.0 | 1.75 |
| | ACCOUNT #: LSR011037 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-579I - RHYMESTINE, | EQUITY INCOME FUND, INC. A | 0.00 | 1.73 | 0.00 | 1.73 | 88.0 | 1.52 |
| | ACCOUNT #: LSR011082 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-861I - SANGER, LAWRENCE | EQUITY INCOME FUND, INC. A | 0.00 | 1.33 | 0.00 | 1.33 | 88.0 | 1.17 |
| | ACCOUNT #: LSR011095 | BUY 1 Units @0.0000 | | | | | | |



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| OVERRIDE TRANSACTIONS (continued) | | | | | | | | |
| BROKER: KURT GRUENEWALD (continued) | | | | | | | | |
| 04/23/2018 | ***-**-680I - HARRELL, DARYL | EQUITY INCOME FUND, INC. A | 0.00 | 0.87 | 0.00 | 0.87 | 88.0 | 0.77 |
| | ACCOUNT #: LSR011321 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-949I - ACEE, JOSPEH | EQUITY INCOME FUND, INC. B | 0.00 | 2.55 | 0.00 | 2.55 | 88.0 | 2.24 |
| | ACCOUNT #: LSR010908 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-567I - FRANZ, ALICE | EQUITY INCOME FUND, INC. B | 0.00 | 6.05 | 0.00 | 6.05 | 88.0 | 5.32 |
| | ACCOUNT #: LSR010960 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-506J - CURRIERE JR, MR | EQUITY INCOME FUND, INC. B | 0.00 | 1.13 | 0.00 | 1.13 | 88.0 | 0.99 |
| | ACCOUNT #: LSR011121 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-48IO - ANACKER, FBO MRS | EQUITY INCOME FUND, INC. B | 0.00 | 1.70 | 0.00 | 1.70 | 88.0 | 1.50 |
| | ACCOUNT #: LSR011164 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-64IO - PFAFF, GEORGE | EQUITY INCOME FUND, INC. B | 0.00 | 2.14 | 0.00 | 2.14 | 88.0 | 1.88 |
| | ACCOUNT #: LSR011185 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-62IR - ROBBIANO, FBO | EQUITY INCOME FUND, INC. B | 0.00 | 1.53 | 0.00 | 1.53 | 88.0 | 1.35 |
| | ACCOUNT #: LSR011195 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-653I - KOCHER, CLINTON | EQUITY INCOME FUND, INC. B | 0.00 | 3.16 | 0.00 | 3.16 | 88.0 | 2.78 |
| | ACCOUNT #: LSR011300 | BUY 1 Units @0.0000 | | | | | | |
| 04/09/2018 | ***-**-48JT - LEE, DARLENE | EQUITY INCOME FUND, INC. C | 50.00 | 0.50 | 0.00 | 0.50 | 88.0 | 0.44 |
| | ACCOUNT #: 08370750926 | BUY 0 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-980I - ACEE, ELIZABETH | EQUITY INCOME FUND, INC. C | 0.00 | 14.01 | 0.00 | 14.01 | 88.0 | 12.33 |
| | ACCOUNT #: LSR010885 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-031O - MCVOY, ROBERT | EQUITY INCOME FUND, INC. C | 0.00 | 6.32 | 0.00 | 6.32 | 88.0 | 5.56 |
| | ACCOUNT #: LSR010916 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-00IO - LEE, GARY | EQUITY INCOME FUND, INC. C | 0.00 | 13.95 | 0.00 | 13.95 | 88.0 | 12.28 |
| | ACCOUNT #: LSR011059 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-714O - LINES, JUDITH | EQUITY INCOME FUND, INC. C | 0.00 | 1.33 | 0.00 | 1.33 | 88.0 | 1.17 |
| | ACCOUNT #: LSR011763 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-28IN - BYWATER, KIM | EQUITY INCOME FUND, INC. C | 0.00 | 1.64 | 0.00 | 1.64 | 88.0 | 1.44 |
| | ACCOUNT #: LSR011995 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-20IO - DEMETRI, AMELIA | EUROPACIFIC GROWTH FUND-A | 0.00 | 1.62 | 0.00 | 1.62 | 88.0 | 1.43 |
| | ACCOUNT #: LSR010995 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-326I - GRANDE, FBO MR | EUROPACIFIC GROWTH FUND-A | 0.00 | 1.36 | 0.00 | 1.36 | 88.0 | 1.20 |
| | ACCOUNT #: LSR011091 | BUY 1 Units @0.0000 | | | | | | |



COMMISSION STATEMENT

April 23, 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 |
|---|---|--|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| OVERRIDE TRANSACTIONS (continued) | | | | | | | | |
| BROKER: KURT GRUENEWALD (continued) | | | | | | | | |
| 04/23/2018 | ***-**-680I - HARRELL, DARYL ACCOUNT #: LSR011321 | EUROPACIFIC GROWTH FUND-A BUY 1 Units @0.0000 | 0.00 | 0.65 | 0.00 | 0.65 | 88.0 | 0.57 |
| 04/23/2018 | ***-**-111J - NESSIA, JAMES ACCOUNT #: LSR011054 | FIDELITY ADV EMERGING MRKTS INC CL BUY 1 Units @0.0000 | 0.00 | 0.79 | 0.00 | 0.79 | 88.0 | 0.70 |
| 04/23/2018 | ***-**-62IN - EATON, DAVID ACCOUNT #: LSR011315 | FIDELITY ADV EMERGING MRKTS INC CL BUY 1 Units @0.0000 | 0.00 | 1.22 | 0.00 | 1.22 | 88.0 | 1.07 |
| 04/23/2018 | ***-**-930I - SANGER, KEVIN ACCOUNT #: LSR010941 | FIDELITY ADV EQUITY INCOME CL A BUY 1 Units @0.0000 | 0.00 | 2.15 | 0.00 | 2.15 | 88.0 | 1.89 |
| 04/23/2018 | ***-**-579I - RHYMESTINE, ACCOUNT #: LSR011082 | FIDELITY ADV INDUSTRIALS-CL C BUY 1 Units @0.0000 | 0.00 | 14.72 | 0.00 | 14.72 | 88.0 | 12.95 |
| 04/23/2018 | ***-**-579I - RHYMESTINE, ACCOUNT #: LSR011082 | FIDELITY ADV SMALL CAP CL C BUY 1 Units @0.0000 | 0.00 | 5.19 | 0.00 | 5.19 | 88.0 | 4.57 |
| 04/23/2018 | ***-**-579I - RHYMESTINE, ACCOUNT #: LSR011082 | FIDELITY ADV STOCK SELECTOR ALL CAP BUY 1 Units @0.0000 | 0.00 | 4.96 | 0.00 | 4.96 | 88.0 | 4.36 |
| 04/23/2018 | ***-**-579I - RHYMESTINE, ACCOUNT #: LSR011082 | FIDELITY ADVISOR EQUITY INCOME CL C BUY 1 Units @0.0000 | 0.00 | 20.50 | 0.00 | 20.50 | 88.0 | 18.04 |
| 04/23/2018 | ***-**-579I - RHYMESTINE, ACCOUNT #: LSR011082 | FIDELITY ADVISOR INT'L DISCOVERY CL BUY 1 Units @0.0000 | 0.00 | 16.28 | 0.00 | 16.28 | 88.0 | 14.33 |
| 04/23/2018 | ***-**-579I - RHYMESTINE, ACCOUNT #: LSR011082 | FIDELITY ADVISOR INTERMEDIATE BOND BUY 1 Units @0.0000 | 0.00 | 8.31 | 0.00 | 8.31 | 88.0 | 7.31 |
| 04/23/2018 | ***-**-15IN - PENDRAK, JOHN ACCOUNT #: LSR010948 | FIDELITY ADVISOR MORTGAGE SECS CL A BUY 1 Units @0.0000 | 0.00 | 2.10 | 0.00 | 2.10 | 88.0 | 1.85 |
| 04/23/2018 | ***-**-02IN - BUSHEY, MELISSA ACCOUNT #: LSR011257 | FIDELITY ADVISOR MORTGAGE SECS CL A BUY 1 Units @0.0000 | 0.00 | 0.25 | 0.00 | 0.25 | 88.0 | 0.22 |
| 04/23/2018 | ***-**-579I - RHYMESTINE, ACCOUNT #: LSR011082 | FIDELITY ADVISOR MORTGAGE SECS CL C BUY 1 Units @0.0000 | 0.00 | 5.74 | 0.00 | 5.74 | 88.0 | 5.05 |
| 04/23/2018 | ***-**-702I - KOCHER, MICHAEL ACCOUNT #: LSR010954 | FUNDAMENTAL INVESTORS-A BUY 1 Units @0.0000 | 0.00 | 2.23 | 0.00 | 2.23 | 88.0 | 1.96 |
| 04/23/2018 | ***-**-366I - GRUENEWALD, ACCOUNT #: LSR010989 | FUNDAMENTAL INVESTORS-A BUY 1 Units @0.0000 | 0.00 | 1.20 | 0.00 | 1.20 | 88.0 | 1.06 |
| 04/23/2018 | ***-**-366S - GRUENEWALD, ACCOUNT #: LSR010990 | FUNDAMENTAL INVESTORS-A BUY 1 Units @0.0000 | 0.00 | 1.01 | 0.00 | 1.01 | 88.0 | 0.89 |



COMMISSION STATEMENT

April 23, 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 |
|---|---|---|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| OVERRIDE TRANSACTIONS (continued) | | | | | | | | |
| BROKER: KURT GRUENEWALD (continued) | | | | | | | | |
| 04/23/2018 | ***-**-579J - RHYMESTINE, ACCOUNT #: LSR011081 | FUNDAMENTAL INVESTORS-A BUY 1 Units @0.0000 | 0.00 | 1.13 | 0.00 | 1.13 | 88.0 | 0.99 |
| 04/23/2018 | ***-**-326I - GRANDE, FBO MR ACCOUNT #: LSR011091 | FUNDAMENTAL INVESTORS-A BUY 1 Units @0.0000 | 0.00 | 1.99 | 0.00 | 1.99 | 88.0 | 1.75 |
| 04/23/2018 | ***-**-680I - HARRELL, DARYL ACCOUNT #: LSR011321 | FUNDAMENTAL INVESTORS-A BUY 1 Units @0.0000 | 0.00 | 1.43 | 0.00 | 1.43 | 88.0 | 1.26 |
| 04/23/2018 | ***-**-128I - BASHANT, THOMAS ACCOUNT #: LSR011387 | FUNDAMENTAL INVESTORS-A BUY 1 Units @0.0000 | 0.00 | 1.27 | 0.00 | 1.27 | 88.0 | 1.12 |
| 04/23/2018 | ***-**-30TR - AND SANDRA ACCOUNT #: LSR011939 | FUNDAMENTAL INVESTORS-A BUY 1 Units @0.0000 | 0.00 | 1.91 | 0.00 | 1.91 | 88.0 | 1.68 |
| 04/13/2018 | ***-**-188I - BRADLEY, WAYNE ACCOUNT #: LSR012484 | FUNDAMENTAL INVESTORS-C BUY 121 Units @62.0700 | 7,499.98 | 75.00 | 0.00 | 75.00 | 88.0 | 66.00 |
| 04/23/2018 | ***-**-881J - EBERLEY, SUSAN ACCOUNT #: LSR010856 | FUNDAMENTAL INVESTORS-C BUY 1 Units @0.0000 | 0.00 | 4.43 | 0.00 | 4.43 | 88.0 | 3.90 |
| 04/23/2018 | ***-**-382I - SATTERLY, NEIL ACCOUNT #: LSR010867 | FUNDAMENTAL INVESTORS-C BUY 1 Units @0.0000 | 0.00 | 11.32 | 0.00 | 11.32 | 88.0 | 9.96 |
| 04/23/2018 | ***-**-949I - ACEE, JOSPEH ACCOUNT #: LSR010908 | FUNDAMENTAL INVESTORS-C BUY 1 Units @0.0000 | 0.00 | 3.11 | 0.00 | 3.11 | 88.0 | 2.74 |
| 04/23/2018 | ***-**-31IO - HARTZ, CLAUDIA ACCOUNT #: LSR010915 | FUNDAMENTAL INVESTORS-C BUY 1 Units @0.0000 | 0.00 | 2.97 | 0.00 | 2.97 | 88.0 | 2.61 |
| 04/23/2018 | ***-**-031O - MCVOY, ROBERT ACCOUNT #: LSR010916 | FUNDAMENTAL INVESTORS-C BUY 1 Units @0.0000 | 0.00 | 5.38 | 0.00 | 5.38 | 88.0 | 4.73 |
| 04/23/2018 | ***-**-15IN - PENDRAK, JOHN ACCOUNT #: LSR010948 | FUNDAMENTAL INVESTORS-C BUY 1 Units @0.0000 | 0.00 | 4.94 | 0.00 | 4.94 | 88.0 | 4.35 |
| 04/23/2018 | ***-**-959I - FRANZ, PAUL ACCOUNT #: LSR010959 | FUNDAMENTAL INVESTORS-C BUY 1 Units @0.0000 | 0.00 | 11.71 | 0.00 | 11.71 | 88.0 | 10.30 |
| 04/23/2018 | ***-**-960J - MASTRANGELO, ACCOUNT #: LSR010966 | FUNDAMENTAL INVESTORS-C BUY 1 Units @0.0000 | 0.00 | 9.10 | 0.00 | 9.10 | 88.0 | 8.01 |
| 04/23/2018 | ***-**-065I - LAZIO, THOMAS ACCOUNT #: LSR010979 | FUNDAMENTAL INVESTORS-C BUY 1 Units @0.0000 | 0.00 | 5.84 | 0.00 | 5.84 | 88.0 | 5.14 |
| 04/23/2018 | ***-**-51IO - CAIN, TIMOTHY ACCOUNT #: LSR011007 | FUNDAMENTAL INVESTORS-C BUY 1 Units @0.0000 | 0.00 | 5.36 | 0.00 | 5.36 | 88.0 | 4.72 |



COMMISSION STATEMENT

April 23, 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 |
|--|--------------------------------|-------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| OVERRIDE TRANSACTIONS (continued) | | | | | | | | |
| <u>BROKER: KURT GRUENEWALD (continued)</u> | | | | | | | | |
| 04/23/2018 | ***-**-761I - EVANS, DOLORES | FUNDAMENTAL INVESTORS-C | 0.00 | 16.03 | 0.00 | 16.03 | 88.0 | 14.11 |
| | ACCOUNT #: LSR011024 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-306X - COBB, CHERYL | FUNDAMENTAL INVESTORS-C | 0.00 | 5.82 | 0.00 | 5.82 | 88.0 | 5.12 |
| | ACCOUNT #: LSR011037 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-861I - SANGER, LAWRENCE | FUNDAMENTAL INVESTORS-C | 0.00 | 0.51 | 0.00 | 0.51 | 88.0 | 0.45 |
| | ACCOUNT #: LSR011095 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-13IN - RHYMESTINE, | FUNDAMENTAL INVESTORS-C | 0.00 | 3.58 | 0.00 | 3.58 | 88.0 | 3.15 |
| | ACCOUNT #: LSR011106 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-09IO - BATES, FBO MRS | FUNDAMENTAL INVESTORS-C | 0.00 | 11.36 | 0.00 | 11.36 | 88.0 | 10.00 |
| | ACCOUNT #: LSR011117 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-506J - CURRIERE JR, MR | FUNDAMENTAL INVESTORS-C | 0.00 | 4.78 | 0.00 | 4.78 | 88.0 | 4.21 |
| | ACCOUNT #: LSR011121 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-48IO - ANACKER, FBO MRS | FUNDAMENTAL INVESTORS-C | 0.00 | 5.10 | 0.00 | 5.10 | 88.0 | 4.49 |
| | ACCOUNT #: LSR011164 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-89IN - LEE, ROGER | FUNDAMENTAL INVESTORS-C | 0.00 | 5.72 | 0.00 | 5.72 | 88.0 | 5.03 |
| | ACCOUNT #: LSR011166 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-31IO - WILLIAMSON, FBO | FUNDAMENTAL INVESTORS-C | 0.00 | 7.63 | 0.00 | 7.63 | 88.0 | 6.71 |
| | ACCOUNT #: LSR011172 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-64IO - PFAFF, GEORGE | FUNDAMENTAL INVESTORS-C | 0.00 | 3.71 | 0.00 | 3.71 | 88.0 | 3.26 |
| | ACCOUNT #: LSR011185 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-62IR - ROBBIANO, FBO | FUNDAMENTAL INVESTORS-C | 0.00 | 3.29 | 0.00 | 3.29 | 88.0 | 2.90 |
| | ACCOUNT #: LSR011195 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-11IO - LYNN G. | FUNDAMENTAL INVESTORS-C | 0.00 | 12.24 | 0.00 | 12.24 | 88.0 | 10.77 |
| | ACCOUNT #: LSR011239 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-653I - KOCHER, CLINTON | FUNDAMENTAL INVESTORS-C | 0.00 | 11.57 | 0.00 | 11.57 | 88.0 | 10.18 |
| | ACCOUNT #: LSR011300 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-376I - BERBEN, GAIL | FUNDAMENTAL INVESTORS-C | 0.00 | 15.39 | 0.00 | 15.39 | 88.0 | 13.54 |
| | ACCOUNT #: LSR011380 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-21IO - RADELL, SANDRA | FUNDAMENTAL INVESTORS-C | 0.00 | 4.10 | 0.00 | 4.10 | 88.0 | 3.61 |
| | ACCOUNT #: LSR011392 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-45IO - JOHNSON, GREGORY | FUNDAMENTAL INVESTORS-C | 0.00 | 11.24 | 0.00 | 11.24 | 88.0 | 9.89 |
| | ACCOUNT #: LSR011421 | BUY 1 Units @0.0000 | | | | | | |



COMMISSION STATEMENT

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DAVID GRIFFITH
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BROKER #: A76
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| DATE | CLIENT | INVESTMENT | INVESTMENT AMOUNT | GROSS COMMISSION | CLEARING CHARGE | NET COMMISSION | RATE | BROKER COMMISSION |
|--|--------------------------------|-----------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| OVERRIDE TRANSACTIONS (continued) | | | | | | | | |
| <u>BROKER: KURT GRUENEWALD (continued)</u> | | | | | | | | |
| 04/23/2018 | ***-**-14IO - BUSHEY, MATTHEW | FUNDAMENTAL INVESTORS-C | 0.00 | 12.72 | 0.00 | 12.72 | 88.0 | 11.19 |
| | ACCOUNT #: LSR011498 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-128I - BASHANT, THOMAS | GLOBAL FUND A | 0.00 | 2.24 | 0.00 | 2.24 | 88.0 | 1.97 |
| | ACCOUNT #: LSR011387 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-579J - RHYMESTINE, | GLOBAL GROWTH PORTFOLIO-A | 0.00 | 0.89 | 0.00 | 0.89 | 88.0 | 0.78 |
| | ACCOUNT #: LSR011081 | BUY 1 Units @0.0000 | | | | | | |
| 04/02/2018 | ***-**-65CL - GRUENEWALD, K, | GLOBAL OPPORTUNITIES FUND C | 50.00 | 0.50 | 0.00 | 0.50 | 88.0 | 0.44 |
| | ACCOUNT #: 02171825219 | BUY 0 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-094I - KATRENA L | GLOBAL OPPORTUNITIES FUND C | 0.00 | 17.40 | 0.00 | 17.40 | 88.0 | 15.31 |
| | ACCOUNT #: LSR011188 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-254I - AUGUSTINE, LINDA | GOLD & SPECIAL MINERALS A | 0.00 | 0.30 | 0.00 | 0.30 | 88.0 | 0.26 |
| | ACCOUNT #: LSR010846 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-881I - EBERLEY, SUSAN | GOLD & SPECIAL MINERALS A | 0.00 | 0.16 | 0.00 | 0.16 | 88.0 | 0.14 |
| | ACCOUNT #: LSR010858 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-930I - SANGER, KEVIN | GOLD & SPECIAL MINERALS A | 0.00 | 0.32 | 0.00 | 0.32 | 88.0 | 0.28 |
| | ACCOUNT #: LSR010941 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-15IN - PENDRAK, JOHN | GOLD & SPECIAL MINERALS A | 0.00 | 2.14 | 0.00 | 2.14 | 88.0 | 1.88 |
| | ACCOUNT #: LSR010948 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-702J - KOCHER, MICHAEL | GOLD & SPECIAL MINERALS A | 0.00 | 0.23 | 0.00 | 0.23 | 88.0 | 0.20 |
| | ACCOUNT #: LSR010955 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-959I - FRANZ, PAUL | GOLD & SPECIAL MINERALS A | 0.00 | 0.56 | 0.00 | 0.56 | 88.0 | 0.49 |
| | ACCOUNT #: LSR010959 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-61IN - EVANS, DOLORES | GOLD & SPECIAL MINERALS A | 0.00 | 0.18 | 0.00 | 0.18 | 88.0 | 0.16 |
| | ACCOUNT #: LSR011023 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-944O - MAYO, DEBORAH | GOLD & SPECIAL MINERALS A | 0.00 | 0.53 | 0.00 | 0.53 | 88.0 | 0.47 |
| | ACCOUNT #: LSR011035 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-96IN - NESSIA, BONNIE | GOLD & SPECIAL MINERALS A | 0.00 | 0.29 | 0.00 | 0.29 | 88.0 | 0.26 |
| | ACCOUNT #: LSR011055 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-13IN - RHYMESTINE, | GOLD & SPECIAL MINERALS A | 0.00 | 0.35 | 0.00 | 0.35 | 88.0 | 0.31 |
| | ACCOUNT #: LSR011106 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-76IO - MCALLISTER, FBO | GOLD & SPECIAL MINERALS A | 0.00 | 0.34 | 0.00 | 0.34 | 88.0 | 0.30 |
| | ACCOUNT #: LSR011107 | BUY 1 Units @0.0000 | | | | | | |



COMMISSION STATEMENT

April 23, 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 |
|---|--------------------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| OVERRIDE TRANSACTIONS (continued) | | | | | | | | |
| BROKER: KURT GRUENEWALD (continued) | | | | | | | | |
| 04/23/2018 | ***-**-367J - WAGNER, MRS LANT | GOLD & SPECIAL MINERALS A | 0.00 | 0.30 | 0.00 | 0.30 | 88.0 | 0.26 |
| | ACCOUNT #: LSR011134 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-31IO - WILLIAMSON, FBO | GOLD & SPECIAL MINERALS A | 0.00 | 1.37 | 0.00 | 1.37 | 88.0 | 1.21 |
| | ACCOUNT #: LSR011172 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-02IN - BUSHEY, MELISSA | GOLD & SPECIAL MINERALS A | 0.00 | 0.12 | 0.00 | 0.12 | 88.0 | 0.11 |
| | ACCOUNT #: LSR011257 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-62IN - EATON, DAVID | GOLD & SPECIAL MINERALS A | 0.00 | 0.40 | 0.00 | 0.40 | 88.0 | 0.35 |
| | ACCOUNT #: LSR011315 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-949I - ACEE, JOSPEH | GOLD & SPECIAL MINERALS FUND B | 0.00 | 0.60 | 0.00 | 0.60 | 88.0 | 0.53 |
| | ACCOUNT #: LSR010908 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-579I - RHYMESTINE, | GOLD & SPECIAL MINERALS FUND B | 0.00 | 0.54 | 0.00 | 0.54 | 88.0 | 0.48 |
| | ACCOUNT #: LSR011082 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-48IO - ANACKER, FBO MRS | GOLD & SPECIAL MINERALS FUND B | 0.00 | 0.71 | 0.00 | 0.71 | 88.0 | 0.62 |
| | ACCOUNT #: LSR011164 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-664J - PFAFF, GEORGE | GOLD & SPECIAL MINERALS FUND B | 0.00 | 0.58 | 0.00 | 0.58 | 88.0 | 0.51 |
| | ACCOUNT #: LSR011184 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-930I - SANGER, KEVIN | GRIFFIN CAPITAL ESS ASSET II TRAILS | 0.00 | 12.33 | 0.00 | 12.33 | 88.0 | 10.85 |
| | ACCOUNT #: 00091130813 | BUY 0 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-11IN - MCCARTHY, LYNN | GRIFFIN CAPITAL ESS ASSET II TRAILS | 0.00 | 36.99 | 0.00 | 36.99 | 88.0 | 32.55 |
| | ACCOUNT #: 091131292 | BUY 0 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-376I - BERBEN, GAIL | GRIFFIN CAPITAL ESS ASSET II TRAILS | 0.00 | 12.33 | 0.00 | 12.33 | 88.0 | 10.85 |
| | ACCOUNT #: 00091131725 | BUY 0 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-376I - BERBEN, GAIL | GRIFFIN CAPITAL ESS ASSET II TRAILS | 0.00 | 24.66 | 0.00 | 24.66 | 88.0 | 21.70 |
| | ACCOUNT #: 00091131725 | BUY 0 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-21IO - RADELL, SANDRA | GRIFFIN CAPITAL ESS ASSET II TRAILS | 0.00 | 12.33 | 0.00 | 12.33 | 88.0 | 10.85 |
| | ACCOUNT #: 091131984 | BUY 0 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-49IN - DEPEYSTER, | GRIFFIN CAPITAL ESS ASSET II TRAILS | 0.00 | 12.33 | 0.00 | 12.33 | 88.0 | 10.85 |
| | ACCOUNT #: 091132017 | BUY 0 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-09IN - BATES, CHRISTINE | GRIFFIN CAPITAL ESS ASSET II TRAILS | 0.00 | 24.66 | 0.00 | 24.66 | 88.0 | 21.70 |
| | ACCOUNT #: 00091133853 | BUY 0 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-29IN - MASSOUD, | GRIFFIN CAPITAL ESS ASSET II TRAILS | 0.00 | 12.33 | 0.00 | 12.33 | 88.0 | 10.85 |
| | ACCOUNT #: 91134730 | BUY 0 Units @0.0000 | | | | | | |



COMMISSION STATEMENT

April 23, 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 |
|--|--------------------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| OVERRIDE TRANSACTIONS (continued) | | | | | | | | |
| <u>BROKER: KURT GRUENEWALD (continued)</u> | | | | | | | | |
| 04/23/2018 | ***-**-09IN - BATES, CHRISTINE | GRIFFIN CAPITAL ESS ASSET II TRAILS | 0.00 | 24.66 | 0.00 | 24.66 | 88.0 | 21.70 |
| | ACCOUNT #: 00091133853 | BUY 0 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-29IN - MASSOUD, | GRIFFIN CAPITAL ESS ASSET II TRAILS | 0.00 | 12.33 | 0.00 | 12.33 | 88.0 | 10.85 |
| | ACCOUNT #: 91134730 | BUY 0 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-579I - RHYMESTINE, | GRIFFIN CAPITAL ESS ASSET II TRAILS | 0.00 | 14.79 | 0.00 | 14.79 | 88.0 | 13.02 |
| | ACCOUNT #: 91134731 | BUY 0 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-959I - FRANZ, PAUL | GRIFFIN CAPITAL ESS ASSET II TRAILS | 0.00 | 14.79 | 0.00 | 14.79 | 88.0 | 13.02 |
| | ACCOUNT #: 91134733 | BUY 0 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-15IN - PENDRAK, JOHN | GRIFFIN CAPITAL ESS ASSET II TRAILS | 0.00 | 12.33 | 0.00 | 12.33 | 88.0 | 10.85 |
| | ACCOUNT #: 091136021 | BUY 0 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-366I - GRUENEWALD, | GRIFFIN CAPITAL ESS ASSET II TRAILS | 0.00 | 12.33 | 0.00 | 12.33 | 88.0 | 10.85 |
| | ACCOUNT #: 91136364 | BUY 0 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-365I - GRUENEWALD, KURT | GRIFFIN CAPITAL ESS ASSET II TRAILS | 0.00 | 12.33 | 0.00 | 12.33 | 88.0 | 10.85 |
| | ACCOUNT #: 091137478 | BUY 0 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-761I - EVANS, DOLORES | GRIFFIN CAPITAL ESS ASSET II TRAILS | 0.00 | 12.33 | 0.00 | 12.33 | 88.0 | 10.85 |
| | ACCOUNT #: 091138283 | BUY 0 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-960J - MASTRANGELO, | GRIFFIN CAPITAL ESS ASSET II TRAILS | 0.00 | 24.66 | 0.00 | 24.66 | 88.0 | 21.70 |
| | ACCOUNT #: 091139160 | BUY 0 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-531J - WILLIAMSON, | GRIFFIN CAPITAL ESS ASSET II TRAILS | 0.00 | 73.97 | 0.00 | 73.97 | 88.0 | 65.09 |
| | ACCOUNT #: 091140076 | BUY 0 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-89IN - LEE, ROGER | GRIFFIN CAPITAL ESS ASSET II TRAILS | 0.00 | 47.10 | 0.00 | 47.10 | 88.0 | 41.45 |
| | ACCOUNT #: 091123534 | BUY 0 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-09IO - BATES, FBO MRS | GRIFFIN CAPITAL ESS ASSET II TRAILS | 0.00 | 58.88 | 0.00 | 58.88 | 88.0 | 51.81 |
| | ACCOUNT #: 091125944 | BUY 0 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-44IO - DISCHIAVI, FBO | GRIFFIN CAPITAL ESS ASSET II TRAILS | 0.00 | 47.10 | 0.00 | 47.10 | 88.0 | 41.45 |
| | ACCOUNT #: 091126800 | BUY 0 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-287X - HINCKLEY, | GRIFFIN CAPITAL ESS ASSET II TRAILS | 0.00 | 21.20 | 0.00 | 21.20 | 88.0 | 18.66 |
| | ACCOUNT #: 091129238 | BUY 0 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-45IO - JOHNSON, GREGORY | GRIFFIN CAPITAL ESS ASSET II TRAILS | 0.00 | 47.10 | 0.00 | 47.10 | 88.0 | 41.45 |
| | ACCOUNT #: 091129288 | BUY 0 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-45IO - JOHNSON, GREGORY | GRIFFIN CAPITAL ESS ASSET II TRAILS | 0.00 | 23.55 | 0.00 | 23.55 | 88.0 | 20.72 |
| | ACCOUNT #: 091129288 | BUY 0 Units @0.0000 | | | | | | |



COMMISSION STATEMENT

April 23, 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 |
|--|--------------------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| OVERRIDE TRANSACTIONS (continued) | | | | | | | | |
| <u>BROKER: KURT GRUENEWALD (continued)</u> | | | | | | | | |
| 04/23/2018 | ***-**-45IO - JOHNSON, GREGORY | GRIFFIN CAPITAL ESS ASSET II TRAILS | 0.00 | -23.55 | 0.00 | -23.55 | 88.0 | -20.72 |
| | ACCOUNT #: 091129288 | BUY 0 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-11IN - MCCARTHY, LYNN | GRIFFIN CAPITAL ESS ASSET II TRAILS | 0.00 | 23.55 | 0.00 | 23.55 | 88.0 | 20.72 |
| | ACCOUNT #: 091131292 | BUY 0 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-376I - BERBEN, GAIL | GRIFFIN CAPITAL ESS ASSET II TRAILS | 0.00 | 11.78 | 0.00 | 11.78 | 88.0 | 10.37 |
| | ACCOUNT #: 00091131762 | BUY 0 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-14IO - BUSHEY, MATTHEW | GRIFFIN CAPITAL ESS ASSET II TRAILS | 0.00 | 11.78 | 0.00 | 11.78 | 88.0 | 10.37 |
| | ACCOUNT #: 00091132518 | BUY 0 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-531J - WILLIAMSON, | GRIFFIN CAPITAL ESS ASSET II TRAILS | 0.00 | 70.65 | 0.00 | 70.65 | 88.0 | 62.17 |
| | ACCOUNT #: 091140076 | BUY 0 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-44IO - MAYO, DEBORAH | GRIFFIN INST ACCESS REAL ESTATE FD | 0.00 | 9.46 | 0.00 | 9.46 | 88.0 | 8.32 |
| | ACCOUNT #: LSR011079 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-44IO - MAYO, DEBORAH | GRIFFIN INST ACCESS REAL ESTATE FD | 0.00 | 3.15 | 0.00 | 3.15 | 88.0 | 2.77 |
| | ACCOUNT #: LSR011079 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-367J - WAGNER, MRS LANT | GROWTH FUND OF AMERICA CLASS F | 0.00 | 3.36 | 0.00 | 3.36 | 88.0 | 2.96 |
| | ACCOUNT #: LSR011134 | BUY 1 Units @0.0000 | | | | | | |
| 03/23/2018 | ***-**-188I - BRADLEY, WAYNE | GWG L BOND - 7 YR | 10,000.00 | 600.00 | 0.00 | 600.00 | 88.0 | 528.00 |
| | | BUY 10 Units @1000.0000 | | | | | | |
| 03/23/2018 | ***-**-188I - BRADLEY, WAYNE | GWG L BOND - 2YR | 10,000.00 | 400.00 | 0.00 | 400.00 | 88.0 | 352.00 |
| | | BUY 10 Units @1000.0000 | | | | | | |
| 03/23/2018 | ***-**-188I - BRADLEY, WAYNE | GWG L BOND - 3YR | 10,000.00 | 500.00 | 0.00 | 500.00 | 88.0 | 440.00 |
| | | BUY 10 Units @1000.0000 | | | | | | |
| 03/16/2018 | ***-**-14IO - BUSHEY, MATTHEW | GWG L BOND - 5 YR | 10,000.00 | 590.00 | 0.00 | 590.00 | 88.0 | 519.20 |
| | | BUY 10 Units @1000.0000 | | | | | | |
| 03/23/2018 | ***-**-188I - BRADLEY, WAYNE | GWG L BOND - 5 YR | 10,000.00 | 590.00 | 0.00 | 590.00 | 88.0 | 519.20 |
| | | BUY 10 Units @1000.0000 | | | | | | |
| 04/23/2018 | ***-**-702I - KOCHEM, MICHAEL | HARTFORD CHECKS AND BALANCED FUND C | 0.00 | 1.36 | 0.00 | 1.36 | 88.0 | 1.20 |
| | ACCOUNT #: LSR010954 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-366S - GRUENEWALD, | HARTFORD CHECKS AND BALANCED FUND C | 0.00 | 0.47 | 0.00 | 0.47 | 88.0 | 0.41 |
| | ACCOUNT #: LSR010990 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-680I - HARRELL, DARYL | HARTFORD CHECKS AND BALANCED FUND C | 0.00 | 1.30 | 0.00 | 1.30 | 88.0 | 1.14 |
| | ACCOUNT #: LSR011321 | BUY 1 Units @0.0000 | | | | | | |



COMMISSION STATEMENT

April 23, 2018

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BROKER #: A76
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|--|--|--|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| OVERRIDE TRANSACTIONS (continued) | | | | | | | | |
| <u>BROKER: KURT GRUENEWALD (continued)</u> | | | | | | | | |
| 04/23/2018 | ***-**-30TR - AND SANDRA ACCOUNT #: LSR011939 | HARTFORD CHECKS AND BALANCED FUND C BUY 1 Units @0.0000 | 0.00 | 2.56 | 0.00 | 2.56 | 88.0 | 2.25 |
| 04/23/2018 | ***-**-366S - GRUENEWALD, ACCOUNT #: LSR010990 | HARTFORD INFLATION PLUS FUND CLASS BUY 1 Units @0.0000 | 0.00 | 0.67 | 0.00 | 0.67 | 88.0 | 0.59 |
| 04/23/2018 | ***-**-680I - HARRELL, DARYL ACCOUNT #: LSR011321 | HARTFORD INFLATION PLUS FUND CLASS BUY 1 Units @0.0000 | 0.00 | 1.75 | 0.00 | 1.75 | 88.0 | 1.54 |
| 04/23/2018 | ***-**-287I - HINCKLEY, ACCOUNT #: LSR010843 | INCOME FUND OF AMERICA CLASS C BUY 1 Units @0.0000 | 0.00 | 3.63 | 0.00 | 3.63 | 88.0 | 3.19 |
| 04/23/2018 | ***-**-980I - ACEE, ELIZABETH ACCOUNT #: LSR010885 | INCOME FUND OF AMERICA CLASS C BUY 1 Units @0.0000 | 0.00 | 12.11 | 0.00 | 12.11 | 88.0 | 10.66 |
| 04/23/2018 | ***-**-72IN - GAVALO, JULIE ACCOUNT #: LSR010921 | INCOME FUND OF AMERICA CLASS C BUY 1 Units @0.0000 | 0.00 | 10.89 | 0.00 | 10.89 | 88.0 | 9.58 |
| 04/23/2018 | ***-**-73TR - WESTCOTT IRRVOC ACCOUNT #: LSR011001 | INCOME FUND OF AMERICA CLASS C BUY 1 Units @0.0000 | 0.00 | 1.78 | 0.00 | 1.78 | 88.0 | 1.57 |
| 04/23/2018 | ***-**-63TR - EVANS, AUDREY J ACCOUNT #: LSR011036 | INCOME FUND OF AMERICA CLASS C BUY 1 Units @0.0000 | 0.00 | 5.44 | 0.00 | 5.44 | 88.0 | 4.79 |
| 04/23/2018 | ***-**-44IO - MAYO, DEBORAH ACCOUNT #: LSR011079 | INCOME FUND OF AMERICA CLASS C BUY 1 Units @0.0000 | 0.00 | 19.30 | 0.00 | 19.30 | 88.0 | 16.98 |
| 04/23/2018 | ***-**-09IO - BATES, FBO MRS ACCOUNT #: LSR011117 | INCOME FUND OF AMERICA CLASS C BUY 1 Units @0.0000 | 0.00 | 32.14 | 0.00 | 32.14 | 88.0 | 28.28 |
| 04/23/2018 | ***-**-11IO - LYNN G. ACCOUNT #: LSR011239 | INCOME FUND OF AMERICA CLASS C BUY 1 Units @0.0000 | 0.00 | 14.99 | 0.00 | 14.99 | 88.0 | 13.19 |
| 04/23/2018 | ***-**-376I - BERBEN, GAIL ACCOUNT #: LSR011380 | INCOME FUND OF AMERICA CLASS C BUY 1 Units @0.0000 | 0.00 | 13.50 | 0.00 | 13.50 | 88.0 | 11.88 |
| 04/23/2018 | ***-**-21IO - RADELL, SANDRA ACCOUNT #: LSR011392 | INCOME FUND OF AMERICA CLASS C BUY 1 Units @0.0000 | 0.00 | 4.92 | 0.00 | 4.92 | 88.0 | 4.33 |
| 04/23/2018 | ***-**-45IO - JOHNSON, GREGORY ACCOUNT #: LSR011421 | INCOME FUND OF AMERICA CLASS C BUY 1 Units @0.0000 | 0.00 | 16.23 | 0.00 | 16.23 | 88.0 | 14.28 |
| 04/23/2018 | ***-**-14IO - BUSHEY, MATTHEW ACCOUNT #: LSR011498 | INCOME FUND OF AMERICA CLASS C BUY 1 Units @0.0000 | 0.00 | 11.62 | 0.00 | 11.62 | 88.0 | 10.23 |
| 04/23/2018 | ***-**-702I - KOCHEM, MICHAEL ACCOUNT #: LSR010954 | INTERMEDIATE BOND FUND OF AMERICA-A BUY 1 Units @0.0000 | 0.00 | 0.14 | 0.00 | 0.14 | 88.0 | 0.12 |



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| OVERRIDE TRANSACTIONS (continued) | | | | | | | | |
| BROKER: KURT GRUENEWALD (continued) | | | | | | | | |
| 04/23/2018 | ***-**-761I - EVANS, DOLORES ACCOUNT #: LSR011024 | INTERMEDIATE BOND FUND OF AMERICA-C BUY 1 Units @0.0000 | 0.00 | 5.48 | 0.00 | 5.48 | 88.0 | 4.82 |
| 04/23/2018 | ***-**-881I - EBERLEY, SUSAN ACCOUNT #: LSR010858 | INTERNATIONAL BOND A BUY 1 Units @0.0000 | 0.00 | 0.71 | 0.00 | 0.71 | 88.0 | 0.62 |
| 04/23/2018 | ***-**-761I - EVANS, DOLORES ACCOUNT #: LSR011024 | INTERNATIONAL BOND A BUY 1 Units @0.0000 | 0.00 | 3.57 | 0.00 | 3.57 | 88.0 | 3.14 |
| 04/23/2018 | ***-**-366S - GRUENEWALD, ACCOUNT #: LSR010990 | INTERNATIONAL GROWTH AND INCOME-A BUY 1 Units @0.0000 | 0.00 | 0.83 | 0.00 | 0.83 | 88.0 | 0.73 |
| 04/23/2018 | ***-**-567I - FRANZ, ALICE ACCOUNT #: LSR010960 | INTERNATIONAL GROWTH AND INCOME-C BUY 1 Units @0.0000 | 0.00 | 13.65 | 0.00 | 13.65 | 88.0 | 12.01 |
| 04/23/2018 | ***-**-15IN - PENDRAK, JOHN ACCOUNT #: LSR010948 | INTERNATIONAL SMALL COMPANY A BUY 1 Units @0.0000 | 0.00 | 1.51 | 0.00 | 1.51 | 88.0 | 1.33 |
| 04/23/2018 | ***-**-959I - FRANZ, PAUL ACCOUNT #: LSR010959 | INTERNATIONAL SMALL COMPANY A BUY 1 Units @0.0000 | 0.00 | 1.44 | 0.00 | 1.44 | 88.0 | 1.27 |
| 04/23/2018 | ***-**-367J - WAGNER, MRS LANT ACCOUNT #: LSR011134 | INTERNATIONAL SMALL COMPANY A BUY 1 Units @0.0000 | 0.00 | 1.96 | 0.00 | 1.96 | 88.0 | 1.72 |
| 04/23/2018 | ***-**-664J - PFAFF, GEORGE ACCOUNT #: LSR011184 | INTERNATIONAL SMALL COMPANY FUND B BUY 1 Units @0.0000 | 0.00 | 0.97 | 0.00 | 0.97 | 88.0 | 0.85 |
| 04/23/2018 | ***-**-45IO - JOHNSON, GREGORY ACCOUNT #: LSR011421 | MAIN STREET FUND C BUY 1 Units @0.0000 | 0.00 | 7.61 | 0.00 | 7.61 | 88.0 | 6.70 |
| 04/23/2018 | ***-**-714O - LINES, JUDITH ACCOUNT #: LSR011763 | MAIN STREET FUND C BUY 1 Units @0.0000 | 0.00 | 1.87 | 0.00 | 1.87 | 88.0 | 1.65 |
| 04/23/2018 | ***-**-065I - LAZIO, THOMAS ACCOUNT #: LSR010979 | MFS ABSOLUTE RETURN FUND CLASS C BUY 1 Units @0.0000 | 0.00 | 3.33 | 0.00 | 3.33 | 88.0 | 2.93 |
| 04/23/2018 | ***-**-944O - MAYO, DEBORAH ACCOUNT #: LSR011035 | MFS AGGRESSIVE GROWTH ALLOCATION FD BUY 1 Units @0.0000 | 0.00 | 1.06 | 0.00 | 1.06 | 88.0 | 0.93 |
| 04/23/2018 | ***-**-13IN - ROTH, KAREN ACCOUNT #: LSR011954 | MFS BLENDED RESEARCH CORE EQUITY FD BUY 1 Units @0.0000 | 0.00 | 1.31 | 0.00 | 1.31 | 88.0 | 1.15 |
| 04/23/2018 | ***-**-881I - EBERLEY, SUSAN ACCOUNT #: LSR010858 | MFS CONSERVATIVE ALLOCATION CL C BUY 1 Units @0.0000 | 0.00 | 9.72 | 0.00 | 9.72 | 88.0 | 8.55 |
| 04/23/2018 | ***-**-901I - SATTERLY, ANN ACCOUNT #: LSR010874 | MFS CONSERVATIVE ALLOCATION CL C BUY 1 Units @0.0000 | 0.00 | 9.65 | 0.00 | 9.65 | 88.0 | 8.49 |



COMMISSION STATEMENT

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| OVERRIDE TRANSACTIONS (continued) | | | | | | | | |
| BROKER: KURT GRUENEWALD (continued) | | | | | | | | |
| 04/23/2018 | ***-**-382K - SATTERLY, NEIL ACCOUNT #: LSR010875 | MFS CONSERVATIVE ALLOCATION CL C BUY 1 Units @0.0000 | 0.00 | 4.37 | 0.00 | 4.37 | 88.0 | 3.85 |
| 04/23/2018 | ***-**-48IO - CLARK, PATRICK ACCOUNT #: LSR010911 | MFS CONSERVATIVE ALLOCATION CL C BUY 1 Units @0.0000 | 0.00 | 18.47 | 0.00 | 18.47 | 88.0 | 16.25 |
| 04/23/2018 | ***-**-031O - MCVOY, ROBERT ACCOUNT #: LSR010916 | MFS CONSERVATIVE ALLOCATION CL C BUY 1 Units @0.0000 | 0.00 | 4.53 | 0.00 | 4.53 | 88.0 | 3.99 |
| 04/23/2018 | ***-**-72IN - GAVALO, JULIE ACCOUNT #: LSR010921 | MFS CONSERVATIVE ALLOCATION CL C BUY 1 Units @0.0000 | 0.00 | 17.55 | 0.00 | 17.55 | 88.0 | 15.44 |
| 04/23/2018 | ***-**-959I - FRANZ, PAUL ACCOUNT #: LSR010959 | MFS CONSERVATIVE ALLOCATION CL C BUY 1 Units @0.0000 | 0.00 | 17.25 | 0.00 | 17.25 | 88.0 | 15.18 |
| 04/23/2018 | ***-**-065I - LAZIO, THOMAS ACCOUNT #: LSR010979 | MFS CONSERVATIVE ALLOCATION CL C BUY 1 Units @0.0000 | 0.00 | 7.95 | 0.00 | 7.95 | 88.0 | 7.00 |
| 04/23/2018 | ***-**-420T - DEMETRI, AMELIA ACCOUNT #: LSR010994 | MFS CONSERVATIVE ALLOCATION CL C BUY 1 Units @0.0000 | 0.00 | 6.29 | 0.00 | 6.29 | 88.0 | 5.54 |
| 04/23/2018 | ***-**-73TR - WESTCOTT IRRVOC ACCOUNT #: LSR011001 | MFS CONSERVATIVE ALLOCATION CL C BUY 1 Units @0.0000 | 0.00 | 9.74 | 0.00 | 9.74 | 88.0 | 8.57 |
| 04/23/2018 | ***-**-837O - BASEMENT ACCOUNT #: LSR011046 | MFS CONSERVATIVE ALLOCATION CL C BUY 1 Units @0.0000 | 0.00 | 4.95 | 0.00 | 4.95 | 88.0 | 4.36 |
| 04/23/2018 | ***-**-09IO - BATES, FBO MRS ACCOUNT #: LSR011117 | MFS CONSERVATIVE ALLOCATION CL C BUY 1 Units @0.0000 | 0.00 | 14.98 | 0.00 | 14.98 | 88.0 | 13.18 |
| 04/23/2018 | ***-**-89IN - LEE, ROGER ACCOUNT #: LSR011166 | MFS CONSERVATIVE ALLOCATION CL C BUY 1 Units @0.0000 | 0.00 | 18.01 | 0.00 | 18.01 | 88.0 | 15.85 |
| 04/23/2018 | ***-**-900J - LEE, MR. ACCOUNT #: LSR011186 | MFS CONSERVATIVE ALLOCATION CL C BUY 1 Units @0.0000 | 0.00 | 4.35 | 0.00 | 4.35 | 88.0 | 3.83 |
| 04/23/2018 | ***-**-06IR - CAMPBELL, PAMELA ACCOUNT #: LSR011222 | MFS CONSERVATIVE ALLOCATION CL C BUY 1 Units @0.0000 | 0.00 | 6.52 | 0.00 | 6.52 | 88.0 | 5.74 |
| 04/23/2018 | ***-**-11IO - LYNN G. ACCOUNT #: LSR011239 | MFS CONSERVATIVE ALLOCATION CL C BUY 1 Units @0.0000 | 0.00 | 14.23 | 0.00 | 14.23 | 88.0 | 12.52 |
| 04/23/2018 | ***-**-80IO - EVANS, RICHARD ACCOUNT #: LSR011276 | MFS CONSERVATIVE ALLOCATION CL C BUY 1 Units @0.0000 | 0.00 | 9.73 | 0.00 | 9.73 | 88.0 | 8.56 |
| 04/23/2018 | ***-**-376I - BERBEN, GAIL ACCOUNT #: LSR011380 | MFS CONSERVATIVE ALLOCATION CL C BUY 1 Units @0.0000 | 0.00 | 14.21 | 0.00 | 14.21 | 88.0 | 12.50 |



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| OVERRIDE TRANSACTIONS (continued) | | | | | | | | |
| <u>BROKER: KURT GRUENEWALD (continued)</u> | | | | | | | | |
| 04/23/2018 | ***-**-45IO - JOHNSON, GREGORY | MFS CONSERVATIVE ALLOCATION CL C | 0.00 | 19.89 | 0.00 | 19.89 | 88.0 | 17.50 |
| | ACCOUNT #: LSR011421 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-14IO - BUSHEY, MATTHEW | MFS CONSERVATIVE ALLOCATION CL C | 0.00 | 9.44 | 0.00 | 9.44 | 88.0 | 8.31 |
| | ACCOUNT #: LSR011498 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-37IO - MCCLUSKY, MARK | MFS CONSERVATIVE ALLOCATION CL C | 0.00 | 7.83 | 0.00 | 7.83 | 88.0 | 6.89 |
| | ACCOUNT #: LSR011579 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-99IN - EDELMAN, TINA | MFS CONSERVATIVE ALLOCATION CL C | 0.00 | 0.08 | 0.00 | 0.08 | 88.0 | 0.07 |
| | ACCOUNT #: LSR011956 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-28IN - BYWATER, KIM | MFS CONSERVATIVE ALLOCATION CL C | 0.00 | 0.13 | 0.00 | 0.13 | 88.0 | 0.11 |
| | ACCOUNT #: LSR011995 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-944O - MAYO, DEBORAH | MFS CONSERVATIVE ALLOCATION FUND-A | 0.00 | 1.16 | 0.00 | 1.16 | 88.0 | 1.02 |
| | ACCOUNT #: LSR011035 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-254I - AUGUSTINE, LINDA | MFS CONSERVATIVE ALLOCATION FUND-B | 0.00 | 0.81 | 0.00 | 0.81 | 88.0 | 0.71 |
| | ACCOUNT #: LSR010846 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-15IN - PENDRAK, JOHN | MFS CONSERVATIVE ALLOCATION FUND-B | 0.00 | 2.19 | 0.00 | 2.19 | 88.0 | 1.93 |
| | ACCOUNT #: LSR010948 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-960J - MASTRANGELO, | MFS CONSERVATIVE ALLOCATION FUND-B | 0.00 | 5.61 | 0.00 | 5.61 | 88.0 | 4.94 |
| | ACCOUNT #: LSR010966 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-51IO - CAIN, TIMOTHY | MFS CONSERVATIVE ALLOCATION FUND-B | 0.00 | 2.65 | 0.00 | 2.65 | 88.0 | 2.33 |
| | ACCOUNT #: LSR011007 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-761I - EVANS, DOLORES | MFS CONSERVATIVE ALLOCATION FUND-B | 0.00 | 2.11 | 0.00 | 2.11 | 88.0 | 1.86 |
| | ACCOUNT #: LSR011024 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-944O - MAYO, DEBORAH | MFS CONSERVATIVE ALLOCATION FUND-B | 0.00 | 0.49 | 0.00 | 0.49 | 88.0 | 0.43 |
| | ACCOUNT #: LSR011035 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-326J - GRANDE, MR | MFS CONSERVATIVE ALLOCATION FUND-B | 0.00 | 0.58 | 0.00 | 0.58 | 88.0 | 0.51 |
| | ACCOUNT #: LSR011089 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-13IN - RHYMESTINE, | MFS CONSERVATIVE ALLOCATION FUND-B | 0.00 | 1.04 | 0.00 | 1.04 | 88.0 | 0.92 |
| | ACCOUNT #: LSR011106 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-367J - WAGNER, MRS LANT | MFS CONSERVATIVE ALLOCATION FUND-B | 0.00 | 1.15 | 0.00 | 1.15 | 88.0 | 1.01 |
| | ACCOUNT #: LSR011134 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-992J - CORNACCHIA | MFS CONSERVATIVE ALLOCATION FUND-B | 0.00 | 0.40 | 0.00 | 0.40 | 88.0 | 0.35 |
| | ACCOUNT #: LSR011157 | BUY 1 Units @0.0000 | | | | | | |



COMMISSION STATEMENT

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DAVID GRIFFITH
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|---|---|---|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| OVERRIDE TRANSACTIONS (continued) | | | | | | | | |
| BROKER: KURT GRUENEWALD (continued) | | | | | | | | |
| 04/23/2018 | ***-**-31IO - WILLIAMSON, FBO ACCOUNT #: LSR011172 | MFS CONSERVATIVE ALLOCATION FUND-B BUY 1 Units @0.0000 | 0.00 | 3.97 | 0.00 | 3.97 | 88.0 | 3.49 |
| 04/23/2018 | ***-**-64IO - PFAFF, GEORGE ACCOUNT #: LSR011185 | MFS CONSERVATIVE ALLOCATION FUND-B BUY 1 Units @0.0000 | 0.00 | 1.16 | 0.00 | 1.16 | 88.0 | 1.02 |
| 04/23/2018 | ***-**-448X - ANACKER, SUSAN ACCOUNT #: LSR011578 | MFS CONSERVATIVE ALLOCATION FUND-B BUY 1 Units @0.0000 | 0.00 | 0.82 | 0.00 | 0.82 | 88.0 | 0.72 |
| 04/13/2018 | ***-**-31IO - JOSEPH, ANN ACCOUNT #: LSR012337 | MFS DIVERSIFIED INCOME FD CL C BUY 824 Units @12.1400 | 10,000.00 | 100.00 | 0.00 | 100.00 | 88.0 | 88.00 |
| 04/23/2018 | ***-**-382K - SATTERLY, NEIL ACCOUNT #: LSR010875 | MFS DIVERSIFIED INCOME FD CL C BUY 1 Units @0.0000 | 0.00 | 4.58 | 0.00 | 4.58 | 88.0 | 4.03 |
| 04/23/2018 | ***-**-980I - ACEE, ELIZABETH ACCOUNT #: LSR010885 | MFS DIVERSIFIED INCOME FD CL C BUY 1 Units @0.0000 | 0.00 | 9.20 | 0.00 | 9.20 | 88.0 | 8.10 |
| 04/23/2018 | ***-**-72IN - GAVALO, JULIE ACCOUNT #: LSR010921 | MFS DIVERSIFIED INCOME FD CL C BUY 1 Units @0.0000 | 0.00 | 16.70 | 0.00 | 16.70 | 88.0 | 14.70 |
| 04/23/2018 | ***-**-73TR - WESTCOTT IRRVOC ACCOUNT #: LSR011008 | MFS DIVERSIFIED INCOME FD CL C BUY 1 Units @0.0000 | 0.00 | 12.99 | 0.00 | 12.99 | 88.0 | 11.43 |
| 04/23/2018 | ***-**-1320 - EVANS, THOMAS ACCOUNT #: LSR011074 | MFS DIVERSIFIED INCOME FD CL C BUY 1 Units @0.0000 | 0.00 | 8.24 | 0.00 | 8.24 | 88.0 | 7.25 |
| 04/23/2018 | ***-**-44IO - MAYO, DEBORAH ACCOUNT #: LSR011079 | MFS DIVERSIFIED INCOME FD CL C BUY 1 Units @0.0000 | 0.00 | 21.35 | 0.00 | 21.35 | 88.0 | 18.79 |
| 04/23/2018 | ***-**-579J - RHYMESTINE, ACCOUNT #: LSR011081 | MFS DIVERSIFIED INCOME FD CL C BUY 1 Units @0.0000 | 0.00 | 23.78 | 0.00 | 23.78 | 88.0 | 20.93 |
| 04/23/2018 | ***-**-09IO - BATES, FBO MRS ACCOUNT #: LSR011117 | MFS DIVERSIFIED INCOME FD CL C BUY 1 Units @0.0000 | 0.00 | 14.24 | 0.00 | 14.24 | 88.0 | 12.53 |
| 04/23/2018 | ***-**-89IN - LEE, ROGER ACCOUNT #: LSR011166 | MFS DIVERSIFIED INCOME FD CL C BUY 1 Units @0.0000 | 0.00 | 5.90 | 0.00 | 5.90 | 88.0 | 5.19 |
| 04/23/2018 | ***-**-64IO - PFAFF, GEORGE ACCOUNT #: LSR011185 | MFS DIVERSIFIED INCOME FD CL C BUY 1 Units @0.0000 | 0.00 | 5.90 | 0.00 | 5.90 | 88.0 | 5.19 |
| 04/23/2018 | ***-**-439J - MCCARTHY, JAMES ACCOUNT #: LSR011205 | MFS DIVERSIFIED INCOME FD CL C BUY 1 Units @0.0000 | 0.00 | 3.13 | 0.00 | 3.13 | 88.0 | 2.75 |
| 04/23/2018 | ***-**-52IO - EUSEPI, SUSAN ACCOUNT #: LSR011219 | MFS DIVERSIFIED INCOME FD CL C BUY 1 Units @0.0000 | 0.00 | 6.20 | 0.00 | 6.20 | 88.0 | 5.46 |



COMMISSION STATEMENT

April 23, 2018

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|---|--|---|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| OVERRIDE TRANSACTIONS (continued) | | | | | | | | |
| BROKER: KURT GRUENEWALD (continued) | | | | | | | | |
| 04/23/2018 | ***-**-81IR - CAMPBELL, ACCOUNT #: LSR011223 | MFS DIVERSIFIED INCOME FD CL C BUY 1 Units @0.0000 | 0.00 | 5.98 | 0.00 | 5.98 | 88.0 | 5.26 |
| 04/23/2018 | ***-**-439I - MCCARTHY, JAMES ACCOUNT #: LSR011244 | MFS DIVERSIFIED INCOME FD CL C BUY 1 Units @0.0000 | 0.00 | 2.24 | 0.00 | 2.24 | 88.0 | 1.97 |
| 04/23/2018 | ***-**-376I - BERBEN, GAIL ACCOUNT #: LSR011380 | MFS DIVERSIFIED INCOME FD CL C BUY 1 Units @0.0000 | 0.00 | 9.17 | 0.00 | 9.17 | 88.0 | 8.07 |
| 04/23/2018 | ***-**-45IO - JOHNSON, GREGORY ACCOUNT #: LSR011421 | MFS DIVERSIFIED INCOME FD CL C BUY 1 Units @0.0000 | 0.00 | 13.89 | 0.00 | 13.89 | 88.0 | 12.22 |
| 04/23/2018 | ***-**-14IO - BUSHEY, MATTHEW ACCOUNT #: LSR011498 | MFS DIVERSIFIED INCOME FD CL C BUY 1 Units @0.0000 | 0.00 | 13.68 | 0.00 | 13.68 | 88.0 | 12.04 |
| 04/23/2018 | ***-**-37IO - MCCLUSKY, MARK ACCOUNT #: LSR011579 | MFS DIVERSIFIED INCOME FD CL C BUY 1 Units @0.0000 | 0.00 | 5.03 | 0.00 | 5.03 | 88.0 | 4.43 |
| 04/23/2018 | ***-**-35IN - RUGGIERO, LAURIE ACCOUNT #: LSR012314 | MFS DIVERSIFIED INCOME FD CL C BUY 1 Units @0.0000 | 0.00 | 0.02 | 0.00 | 0.02 | 88.0 | 0.02 |
| 04/23/2018 | ***-**-24IN - BLISS, RYAN ACCOUNT #: LSR011502 | MFS EMERGING GROWTH FUND-B BUY 1 Units @0.0000 | 0.00 | 0.29 | 0.00 | 0.29 | 88.0 | 0.26 |
| 04/23/2018 | ***-**-881I - EBERLEY, SUSAN ACCOUNT #: LSR010858 | MFS EMERGING MARKETS EQUITY FUND-B BUY 1 Units @0.0000 | 0.00 | 0.82 | 0.00 | 0.82 | 88.0 | 0.72 |
| 04/23/2018 | ***-**-960J - MASTRANGELO, ACCOUNT #: LSR010966 | MFS EMERGING MARKETS EQUITY FUND-B BUY 1 Units @0.0000 | 0.00 | 1.45 | 0.00 | 1.45 | 88.0 | 1.28 |
| 04/23/2018 | ***-**-761I - EVANS, DOLORES ACCOUNT #: LSR011024 | MFS EMERGING MARKETS EQUITY FUND-B BUY 1 Units @0.0000 | 0.00 | 1.49 | 0.00 | 1.49 | 88.0 | 1.31 |
| 04/23/2018 | ***-**-579J - RHYMESTINE, ACCOUNT #: LSR011081 | MFS EMERGING MARKETS EQUITY FUND-B BUY 1 Units @0.0000 | 0.00 | 0.80 | 0.00 | 0.80 | 88.0 | 0.70 |
| 04/23/2018 | ***-**-326I - GRANDE, FBO MR ACCOUNT #: LSR011091 | MFS EMERGING MARKETS EQUITY FUND-B BUY 1 Units @0.0000 | 0.00 | 1.46 | 0.00 | 1.46 | 88.0 | 1.28 |
| 04/23/2018 | ***-**-197I - GAMBINO, ANDREW ACCOUNT #: LSR011465 | MFS EMERGING MARKETS EQUITY FUND-B BUY 1 Units @0.0000 | 0.00 | 0.23 | 0.00 | 0.23 | 88.0 | 0.20 |
| 04/23/2018 | ***-**-45IR - WILLIAMSON, ACCOUNT #: LSR011764 | MFS EMERGING MARKETS EQUITY FUND-B BUY 1 Units @0.0000 | 0.00 | 0.90 | 0.00 | 0.90 | 88.0 | 0.79 |
| 04/23/2018 | ***-**-254I - AUGUSTINE, LINDA ACCOUNT #: LSR010846 | MFS EMERGING MKT DEBT CL B BUY 1 Units @0.0000 | 0.00 | 1.08 | 0.00 | 1.08 | 88.0 | 0.95 |



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| OVERRIDE TRANSACTIONS (continued) | | | | | | | | |
| <u>BROKER: KURT GRUENEWALD (continued)</u> | | | | | | | | |
| 04/23/2018 | ***-**-881J - EBERLEY, SUSAN ACCOUNT #: LSR010856 | MFS EMERGING MKT DEBT CL B BUY 1 Units @0.0000 | 0.00 | 0.83 | 0.00 | 0.83 | 88.0 | 0.73 |
| 04/23/2018 | ***-**-949I - ACEE, JOSPEH ACCOUNT #: LSR010908 | MFS EMERGING MKT DEBT CL B BUY 1 Units @0.0000 | 0.00 | 1.02 | 0.00 | 1.02 | 88.0 | 0.90 |
| 04/23/2018 | ***-**-31IO - HARTZ, CLAUDIA ACCOUNT #: LSR010915 | MFS EMERGING MKT DEBT CL B BUY 1 Units @0.0000 | 0.00 | 1.23 | 0.00 | 1.23 | 88.0 | 1.08 |
| 04/23/2018 | ***-**-960J - MASTRANGELO, ACCOUNT #: LSR010966 | MFS EMERGING MKT DEBT CL B BUY 1 Units @0.0000 | 0.00 | 0.67 | 0.00 | 0.67 | 88.0 | 0.59 |
| 04/23/2018 | ***-**-944O - MAYO, DEBORAH ACCOUNT #: LSR011035 | MFS EMERGING MKT DEBT CL B BUY 1 Units @0.0000 | 0.00 | 1.33 | 0.00 | 1.33 | 88.0 | 1.17 |
| 04/23/2018 | ***-**-580X - COBB, JAMES ACCOUNT #: LSR011040 | MFS EMERGING MKT DEBT CL B BUY 1 Units @0.0000 | 0.00 | 1.18 | 0.00 | 1.18 | 88.0 | 1.04 |
| 04/23/2018 | ***-**-506J - CURRIERE JR, MR ACCOUNT #: LSR011121 | MFS EMERGING MKT DEBT CL B BUY 1 Units @0.0000 | 0.00 | 0.37 | 0.00 | 0.37 | 88.0 | 0.33 |
| 04/23/2018 | ***-**-367J - WAGNER, MRS LANT ACCOUNT #: LSR011134 | MFS EMERGING MKT DEBT CL B BUY 1 Units @0.0000 | 0.00 | 0.91 | 0.00 | 0.91 | 88.0 | 0.80 |
| 04/23/2018 | ***-**-31IO - WILLIAMSON, FBO ACCOUNT #: LSR011172 | MFS EMERGING MKT DEBT CL B BUY 1 Units @0.0000 | 0.00 | 1.32 | 0.00 | 1.32 | 88.0 | 1.16 |
| 04/23/2018 | ***-**-64IO - PFAFF, GEORGE ACCOUNT #: LSR011185 | MFS EMERGING MKT DEBT CL B BUY 1 Units @0.0000 | 0.00 | 1.21 | 0.00 | 1.21 | 88.0 | 1.06 |
| 04/23/2018 | ***-**-62IR - ROBBIANO, FBO ACCOUNT #: LSR011195 | MFS EMERGING MKT DEBT CL B BUY 1 Units @0.0000 | 0.00 | 0.52 | 0.00 | 0.52 | 88.0 | 0.46 |
| 04/23/2018 | ***-**-29IO - MASSOUD, ACCOUNT #: LSR011217 | MFS EMERGING MKT DEBT CL B BUY 1 Units @0.0000 | 0.00 | 0.01 | 0.00 | 0.01 | 88.0 | 0.01 |
| 04/23/2018 | ***-**-44IO - MAYO, DEBORAH ACCOUNT #: LSR011079 | MFS EMERGING MKTS DEBT CLASS C BUY 1 Units @0.0000 | 0.00 | 3.28 | 0.00 | 3.28 | 88.0 | 2.89 |
| 04/23/2018 | ***-**-960J - MASTRANGELO, ACCOUNT #: LSR010966 | MFS EQUITY OPPORTUNITIES CL B BUY 1 Units @0.0000 | 0.00 | 1.68 | 0.00 | 1.68 | 88.0 | 1.48 |
| 04/23/2018 | ***-**-944O - MAYO, DEBORAH ACCOUNT #: LSR011035 | MFS GLOBAL ALTERNATIVE STRAT A BUY 1 Units @0.0000 | 0.00 | 0.64 | 0.00 | 0.64 | 88.0 | 0.56 |
| 04/23/2018 | ***-**-978I - GUNN, KATHLEEN ACCOUNT #: LSR011345 | MFS GLOBAL ALTERNATIVE STRAT B BUY 1 Units @0.0000 | 0.00 | 0.44 | 0.00 | 0.44 | 88.0 | 0.39 |



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| OVERRIDE TRANSACTIONS (continued) | | | | | | | | |
| <u>BROKER: KURT GRUENEWALD (continued)</u> | | | | | | | | |
| 04/23/2018 | ***-**-382I - SATTERLY, NEIL ACCOUNT #: LSR010867 | MFS GLOBAL ALTERNATIVE STRAT C BUY 1 Units @0.0000 | 0.00 | 6.52 | 0.00 | 6.52 | 88.0 | 5.74 |
| 04/23/2018 | ***-**-48IO - CLARK, PATRICK ACCOUNT #: LSR010911 | MFS GLOBAL ALTERNATIVE STRAT C BUY 1 Units @0.0000 | 0.00 | 14.67 | 0.00 | 14.67 | 88.0 | 12.91 |
| 04/23/2018 | ***-**-72IN - GAVALO, JULIE ACCOUNT #: LSR010921 | MFS GLOBAL ALTERNATIVE STRAT C BUY 1 Units @0.0000 | 0.00 | 14.13 | 0.00 | 14.13 | 88.0 | 12.43 |
| 04/23/2018 | ***-**-80IN - COBB, JAMES ACCOUNT #: LSR011042 | MFS GLOBAL ALTERNATIVE STRAT C BUY 1 Units @0.0000 | 0.00 | 7.56 | 0.00 | 7.56 | 88.0 | 6.65 |
| 04/23/2018 | ***-**-09IO - BATES, FBO MRS ACCOUNT #: LSR011117 | MFS GLOBAL ALTERNATIVE STRAT C BUY 1 Units @0.0000 | 0.00 | 12.86 | 0.00 | 12.86 | 88.0 | 11.32 |
| 04/23/2018 | ***-**-11IO - LYNN G. ACCOUNT #: LSR011239 | MFS GLOBAL ALTERNATIVE STRAT C BUY 1 Units @0.0000 | 0.00 | 17.50 | 0.00 | 17.50 | 88.0 | 15.40 |
| 04/23/2018 | ***-**-80IO - EVANS, RICHARD ACCOUNT #: LSR011276 | MFS GLOBAL ALTERNATIVE STRAT C BUY 1 Units @0.0000 | 0.00 | 10.76 | 0.00 | 10.76 | 88.0 | 9.47 |
| 04/23/2018 | ***-**-45IO - JOHNSON, GREGORY ACCOUNT #: LSR011421 | MFS GLOBAL ALTERNATIVE STRAT C BUY 1 Units @0.0000 | 0.00 | 13.14 | 0.00 | 13.14 | 88.0 | 11.56 |
| 04/23/2018 | ***-**-094I - KATRENA L ACCOUNT #: LSR011188 | MFS GLOBAL BOND FUND CLASS C BUY 1 Units @0.0000 | 0.00 | 3.55 | 0.00 | 3.55 | 88.0 | 3.12 |
| 04/23/2018 | ***-**-978I - GUNN, KATHLEEN ACCOUNT #: LSR011345 | MFS GLOBAL EQUITY FUND-B BUY 1 Units @0.0000 | 0.00 | 0.70 | 0.00 | 0.70 | 88.0 | 0.62 |
| 04/23/2018 | ***-**-53IN - EVANS, ANDREW ACCOUNT #: LSR011483 | MFS GLOBAL EQUITY FUND-B BUY 1 Units @0.0000 | 0.00 | 0.51 | 0.00 | 0.51 | 88.0 | 0.45 |
| 04/23/2018 | ***-**-24IN - BLISS, RYAN ACCOUNT #: LSR011502 | MFS GLOBAL EQUITY FUND-B BUY 1 Units @0.0000 | 0.00 | 0.32 | 0.00 | 0.32 | 88.0 | 0.28 |
| 04/23/2018 | ***-**-45IR - WILLIAMSON, ACCOUNT #: LSR011764 | MFS GLOBAL EQUITY FUND-B BUY 1 Units @0.0000 | 0.00 | 0.97 | 0.00 | 0.97 | 88.0 | 0.85 |
| 04/23/2018 | ***-**-21IO - RADELL, SANDRA ACCOUNT #: LSR011392 | MFS GLOBAL REAL ESTATE FUND CL B BUY 1 Units @0.0000 | 0.00 | 1.58 | 0.00 | 1.58 | 88.0 | 1.39 |
| 04/23/2018 | ***-**-53IN - EVANS, ANDREW ACCOUNT #: LSR011483 | MFS GLOBAL REAL ESTATE FUND CL B BUY 1 Units @0.0000 | 0.00 | 0.28 | 0.00 | 0.28 | 88.0 | 0.25 |
| 04/23/2018 | ***-**-24IN - BLISS, RYAN ACCOUNT #: LSR011502 | MFS GLOBAL REAL ESTATE FUND CL B BUY 1 Units @0.0000 | 0.00 | 0.18 | 0.00 | 0.18 | 88.0 | 0.16 |



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| <u> OVERRIDE TRANSACTIONS (continued) </u> | | | | | | | | |
| <u> BROKER: KURT GRUENEWALD (continued) </u> | | | | | | | | |
| 04/23/2018 | ***-**-38IO - BROWN, TYLER ACCOUNT #: LSR011602 | MFS GLOBAL REAL ESTATE FUND CL B BUY 1 Units @0.0000 | 0.00 | 0.77 | 0.00 | 0.77 | 88.0 | 0.68 |
| 04/23/2018 | ***-**-45IN - WILLIAMSON, ACCOUNT #: LSR011751 | MFS GLOBAL REAL ESTATE FUND CL B BUY 1 Units @0.0000 | 0.00 | 0.72 | 0.00 | 0.72 | 88.0 | 0.63 |
| 04/23/2018 | ***-**-628I - SANGER, SANDRA ACCOUNT #: LSR010942 | MFS GLOBAL TOTAL RETURN FUND-A BUY 1 Units @0.0000 | 0.00 | 0.95 | 0.00 | 0.95 | 88.0 | 0.84 |
| 04/23/2018 | ***-**-944O - MAYO, DEBORAH ACCOUNT #: LSR011035 | MFS GLOBAL TOTAL RETURN FUND-A BUY 1 Units @0.0000 | 0.00 | 0.90 | 0.00 | 0.90 | 88.0 | 0.79 |
| 04/23/2018 | ***-**-96IN - NESSIA, BONNIE ACCOUNT #: LSR011055 | MFS GLOBAL TOTAL RETURN FUND-A BUY 1 Units @0.0000 | 0.00 | 0.51 | 0.00 | 0.51 | 88.0 | 0.45 |
| 04/23/2018 | ***-**-861I - SANGER, LAWRENCE ACCOUNT #: LSR011095 | MFS GLOBAL TOTAL RETURN FUND-A BUY 1 Units @0.0000 | 0.00 | 2.08 | 0.00 | 2.08 | 88.0 | 1.83 |
| 04/23/2018 | ***-**-02IN - BUSHEY, MELISSA ACCOUNT #: LSR011257 | MFS GLOBAL TOTAL RETURN FUND-A BUY 1 Units @0.0000 | 0.00 | 0.69 | 0.00 | 0.69 | 88.0 | 0.61 |
| 04/23/2018 | ***-**-653J - KOCHER, CLINTON ACCOUNT #: LSR011298 | MFS GLOBAL TOTAL RETURN FUND-A BUY 1 Units @0.0000 | 0.00 | 0.97 | 0.00 | 0.97 | 88.0 | 0.85 |
| 04/23/2018 | ***-**-254I - AUGUSTINE, LINDA ACCOUNT #: LSR010846 | MFS GLOBAL TOTAL RETURN FUND-B BUY 1 Units @0.0000 | 0.00 | 1.02 | 0.00 | 1.02 | 88.0 | 0.90 |
| 04/23/2018 | ***-**-881J - EBERLEY, SUSAN ACCOUNT #: LSR010856 | MFS GLOBAL TOTAL RETURN FUND-B BUY 1 Units @0.0000 | 0.00 | 1.56 | 0.00 | 1.56 | 88.0 | 1.37 |
| 04/23/2018 | ***-**-949I - ACEE, JOSPEH ACCOUNT #: LSR010908 | MFS GLOBAL TOTAL RETURN FUND-B BUY 1 Units @0.0000 | 0.00 | 1.53 | 0.00 | 1.53 | 88.0 | 1.35 |
| 04/23/2018 | ***-**-31IO - HARTZ, CLAUDIA ACCOUNT #: LSR010915 | MFS GLOBAL TOTAL RETURN FUND-B BUY 1 Units @0.0000 | 0.00 | 0.81 | 0.00 | 0.81 | 88.0 | 0.71 |
| 04/23/2018 | ***-**-959I - FRANZ, PAUL ACCOUNT #: LSR010959 | MFS GLOBAL TOTAL RETURN FUND-B BUY 1 Units @0.0000 | 0.00 | 2.91 | 0.00 | 2.91 | 88.0 | 2.56 |
| 04/23/2018 | ***-**-960J - MASTRANGELO, ACCOUNT #: LSR010966 | MFS GLOBAL TOTAL RETURN FUND-B BUY 1 Units @0.0000 | 0.00 | 2.17 | 0.00 | 2.17 | 88.0 | 1.91 |
| 04/23/2018 | ***-**-51IO - CAIN, TIMOTHY ACCOUNT #: LSR011007 | MFS GLOBAL TOTAL RETURN FUND-B BUY 1 Units @0.0000 | 0.00 | 1.66 | 0.00 | 1.66 | 88.0 | 1.46 |
| 04/23/2018 | ***-**-60UT - FALCHI, ADALYNN ACCOUNT #: LSR011010 | MFS GLOBAL TOTAL RETURN FUND-B BUY 1 Units @0.0000 | 0.00 | 0.23 | 0.00 | 0.23 | 88.0 | 0.20 |



COMMISSION STATEMENT

April 23, 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 |
|--|--------------------------------|--------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| OVERRIDE TRANSACTIONS (continued) | | | | | | | | |
| <u>BROKER: KURT GRUENEWALD (continued)</u> | | | | | | | | |
| 04/23/2018 | ***-**-761I - EVANS, DOLORES | MFS GLOBAL TOTAL RETURN FUND-B | 0.00 | 5.86 | 0.00 | 5.86 | 88.0 | 5.16 |
| | ACCOUNT #: LSR011024 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-63TR - EVANS, AUDREY J | MFS GLOBAL TOTAL RETURN FUND-B | 0.00 | 3.09 | 0.00 | 3.09 | 88.0 | 2.72 |
| | ACCOUNT #: LSR011036 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-306X - COBB, CHERRYL | MFS GLOBAL TOTAL RETURN FUND-B | 0.00 | 1.58 | 0.00 | 1.58 | 88.0 | 1.39 |
| | ACCOUNT #: LSR011037 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-96IN - NESSIA, BONNIE | MFS GLOBAL TOTAL RETURN FUND-B | 0.00 | 0.71 | 0.00 | 0.71 | 88.0 | 0.62 |
| | ACCOUNT #: LSR011055 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-579I - RHYMESTINE, | MFS GLOBAL TOTAL RETURN FUND-B | 0.00 | 3.00 | 0.00 | 3.00 | 88.0 | 2.64 |
| | ACCOUNT #: LSR011082 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-13IN - RHYMESTINE, | MFS GLOBAL TOTAL RETURN FUND-B | 0.00 | 0.75 | 0.00 | 0.75 | 88.0 | 0.66 |
| | ACCOUNT #: LSR011106 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-76IO - MCALLISTER, FBO | MFS GLOBAL TOTAL RETURN FUND-B | 0.00 | 0.66 | 0.00 | 0.66 | 88.0 | 0.58 |
| | ACCOUNT #: LSR011107 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-506J - CURRIERE JR, MR | MFS GLOBAL TOTAL RETURN FUND-B | 0.00 | 0.94 | 0.00 | 0.94 | 88.0 | 0.83 |
| | ACCOUNT #: LSR011121 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-367J - WAGNER, MRS LANT | MFS GLOBAL TOTAL RETURN FUND-B | 0.00 | 1.70 | 0.00 | 1.70 | 88.0 | 1.50 |
| | ACCOUNT #: LSR011134 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-31IO - WILLIAMSON, FBO | MFS GLOBAL TOTAL RETURN FUND-B | 0.00 | 2.76 | 0.00 | 2.76 | 88.0 | 2.43 |
| | ACCOUNT #: LSR011172 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-64IO - PFAFF, GEORGE | MFS GLOBAL TOTAL RETURN FUND-B | 0.00 | 1.27 | 0.00 | 1.27 | 88.0 | 1.12 |
| | ACCOUNT #: LSR011185 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-62IR - ROBBIANO, FBO | MFS GLOBAL TOTAL RETURN FUND-B | 0.00 | 0.93 | 0.00 | 0.93 | 88.0 | 0.82 |
| | ACCOUNT #: LSR011195 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-52IO - EUSEPI, SUSAN | MFS GLOBAL TOTAL RETURN FUND-B | 0.00 | 2.91 | 0.00 | 2.91 | 88.0 | 2.56 |
| | ACCOUNT #: LSR011219 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-653I - KOCHEM, CLINTON | MFS GLOBAL TOTAL RETURN FUND-B | 0.00 | 2.71 | 0.00 | 2.71 | 88.0 | 2.38 |
| | ACCOUNT #: LSR011300 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-62IN - EATON, DAVID | MFS GLOBAL TOTAL RETURN FUND-B | 0.00 | 0.71 | 0.00 | 0.71 | 88.0 | 0.62 |
| | ACCOUNT #: LSR011315 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-21IO - RADELL, SANDRA | MFS GLOBAL TOTAL RETURN FUND-B | 0.00 | 1.56 | 0.00 | 1.56 | 88.0 | 1.37 |
| | ACCOUNT #: LSR011392 | BUY 1 Units @0.0000 | | | | | | |



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| OVERRIDE TRANSACTIONS (continued) | | | | | | | | |
| <u>BROKER: KURT GRUENEWALD (continued)</u> | | | | | | | | |
| 04/23/2018 | ***-**-241I - DINITTO, ALLISYN | MFS GLOBAL TOTAL RETURN FUND-B | 0.00 | 1.29 | 0.00 | 1.29 | 88.0 | 1.14 |
| | ACCOUNT #: LSR011444 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-51IN - GERACE, JOANNE | MFS GLOBAL TOTAL RETURN FUND-B | 0.00 | 1.64 | 0.00 | 1.64 | 88.0 | 1.44 |
| | ACCOUNT #: LSR011538 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-09IO - BATES, FBO MRS | MFS GLOBAL TOTAL RETURN FUND-C | 0.00 | 18.89 | 0.00 | 18.89 | 88.0 | 16.62 |
| | ACCOUNT #: LSR011117 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-11IO - LYNN G. | MFS GLOBAL TOTAL RETURN FUND-C | 0.00 | 14.55 | 0.00 | 14.55 | 88.0 | 12.80 |
| | ACCOUNT #: LSR011239 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-376I - BERBEN, GAIL | MFS GLOBAL TOTAL RETURN FUND-C | 0.00 | 13.17 | 0.00 | 13.17 | 88.0 | 11.59 |
| | ACCOUNT #: LSR011380 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-45IO - JOHNSON, GREGORY | MFS GLOBAL TOTAL RETURN FUND-C | 0.00 | 15.09 | 0.00 | 15.09 | 88.0 | 13.28 |
| | ACCOUNT #: LSR011421 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-13IN - ROTH, KAREN | MFS GOVERNMENT SECURITIES FUND-A | 0.00 | 0.23 | 0.00 | 0.23 | 88.0 | 0.20 |
| | ACCOUNT #: LSR011954 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-254I - AUGUSTINE, LINDA | MFS GOVERNMENT SECURITIES FUND-B | 0.00 | 1.67 | 0.00 | 1.67 | 88.0 | 1.47 |
| | ACCOUNT #: LSR010846 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-111J - NESSIA, JAMES | MFS GOVERNMENT SECURITIES FUND-B | 0.00 | 0.55 | 0.00 | 0.55 | 88.0 | 0.48 |
| | ACCOUNT #: LSR011054 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-13IN - ROTH, KAREN | MFS GOVERNMENT SECURITIES FUND-B | 0.00 | 0.56 | 0.00 | 0.56 | 88.0 | 0.49 |
| | ACCOUNT #: LSR011954 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-44IO - MAYO, DEBORAH | MFS HIGH INCOME CLASS C | 0.00 | 10.93 | 0.00 | 10.93 | 88.0 | 9.62 |
| | ACCOUNT #: LSR011079 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-61IN - EVANS, DOLORES | MFS HIGH INCOME FUND-B | 0.00 | 0.27 | 0.00 | 0.27 | 88.0 | 0.24 |
| | ACCOUNT #: LSR011023 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-13IN - ROTH, KAREN | MFS HIGH INCOME FUND-B | 0.00 | 0.81 | 0.00 | 0.81 | 88.0 | 0.71 |
| | ACCOUNT #: LSR011954 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-881I - EBERLEY, SUSAN | MFS HIGH YIELD OPPORTUNITIES FUND-B | 0.00 | 0.68 | 0.00 | 0.68 | 88.0 | 0.60 |
| | ACCOUNT #: LSR010858 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-13IN - ROTH, KAREN | MFS HIGH YIELD OPPORTUNITIES FUND-B | 0.00 | 0.84 | 0.00 | 0.84 | 88.0 | 0.74 |
| | ACCOUNT #: LSR011954 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-73TR - WESTCOTT IRRVOC | MFS HIGH YIELD OPPORTUNITIES FUND-C | 0.00 | 9.28 | 0.00 | 9.28 | 88.0 | 8.17 |
| | ACCOUNT #: LSR011001 | BUY 1 Units @0.0000 | | | | | | |



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| OVERRIDE TRANSACTIONS (continued) | | | | | | | | |
| <u>BROKER: KURT GRUENEWALD (continued)</u> | | | | | | | | |
| 04/23/2018 | ***-**-73TR - WESTCOTT IRRVOC ACCOUNT #: LSR011008 | MFS HIGH YIELD OPPORTUNITIES FUND-C BUY 1 Units @0.0000 | 0.00 | 9.26 | 0.00 | 9.26 | 88.0 | 8.15 |
| 04/23/2018 | ***-**-881J - EBERLEY, SUSAN ACCOUNT #: LSR010856 | MFS INFLATION ADJUSTED BOND CL B BUY 1 Units @0.0000 | 0.00 | 0.40 | 0.00 | 0.40 | 88.0 | 0.35 |
| 04/23/2018 | ***-**-949I - ACEE, JOSPEH ACCOUNT #: LSR010908 | MFS INFLATION ADJUSTED BOND CL B BUY 1 Units @0.0000 | 0.00 | 0.49 | 0.00 | 0.49 | 88.0 | 0.43 |
| 04/23/2018 | ***-**-31IO - HARTZ, CLAUDIA ACCOUNT #: LSR010915 | MFS INFLATION ADJUSTED BOND CL B BUY 1 Units @0.0000 | 0.00 | 0.48 | 0.00 | 0.48 | 88.0 | 0.42 |
| 04/23/2018 | ***-**-15IN - PENDRAK, JOHN ACCOUNT #: LSR010948 | MFS INFLATION ADJUSTED BOND CL B BUY 1 Units @0.0000 | 0.00 | 0.85 | 0.00 | 0.85 | 88.0 | 0.75 |
| 04/23/2018 | ***-**-960J - MASTRANGELO, ACCOUNT #: LSR010966 | MFS INFLATION ADJUSTED BOND CL B BUY 1 Units @0.0000 | 0.00 | 0.29 | 0.00 | 0.29 | 88.0 | 0.26 |
| 04/23/2018 | ***-**-366I - GRUENEWALD, ACCOUNT #: LSR010989 | MFS INFLATION ADJUSTED BOND CL B BUY 1 Units @0.0000 | 0.00 | 0.36 | 0.00 | 0.36 | 88.0 | 0.32 |
| 04/23/2018 | ***-**-761I - EVANS, DOLORES ACCOUNT #: LSR011024 | MFS INFLATION ADJUSTED BOND CL B BUY 1 Units @0.0000 | 0.00 | 1.22 | 0.00 | 1.22 | 88.0 | 1.07 |
| 04/23/2018 | ***-**-63TR - EVANS, AUDREY J ACCOUNT #: LSR011036 | MFS INFLATION ADJUSTED BOND CL B BUY 1 Units @0.0000 | 0.00 | 0.32 | 0.00 | 0.32 | 88.0 | 0.28 |
| 04/23/2018 | ***-**-580X - COBB, JAMES ACCOUNT #: LSR011040 | MFS INFLATION ADJUSTED BOND CL B BUY 1 Units @0.0000 | 0.00 | 0.60 | 0.00 | 0.60 | 88.0 | 0.53 |
| 04/23/2018 | ***-**-111J - NESSIA, JAMES ACCOUNT #: LSR011054 | MFS INFLATION ADJUSTED BOND CL B BUY 1 Units @0.0000 | 0.00 | 0.34 | 0.00 | 0.34 | 88.0 | 0.30 |
| 04/23/2018 | ***-**-326J - GRANDE, MR ACCOUNT #: LSR011089 | MFS INFLATION ADJUSTED BOND CL B BUY 1 Units @0.0000 | 0.00 | 0.62 | 0.00 | 0.62 | 88.0 | 0.55 |
| 04/23/2018 | ***-**-76IO - MCALLISTER, FBO ACCOUNT #: LSR011107 | MFS INFLATION ADJUSTED BOND CL B BUY 1 Units @0.0000 | 0.00 | 0.35 | 0.00 | 0.35 | 88.0 | 0.31 |
| 04/23/2018 | ***-**-506J - CURRIERE JR, MR ACCOUNT #: LSR011121 | MFS INFLATION ADJUSTED BOND CL B BUY 1 Units @0.0000 | 0.00 | 0.18 | 0.00 | 0.18 | 88.0 | 0.16 |
| 04/23/2018 | ***-**-48IO - ANACKER, FBO MRS ACCOUNT #: LSR011164 | MFS INFLATION ADJUSTED BOND CL B BUY 1 Units @0.0000 | 0.00 | 0.83 | 0.00 | 0.83 | 88.0 | 0.73 |
| 04/23/2018 | ***-**-31IO - WILLIAMSON, FBO ACCOUNT #: LSR011172 | MFS INFLATION ADJUSTED BOND CL B BUY 1 Units @0.0000 | 0.00 | 0.62 | 0.00 | 0.62 | 88.0 | 0.55 |



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| OVERRIDE TRANSACTIONS (continued) | | | | | | | | |
| <u>BROKER: KURT GRUENEWALD (continued)</u> | | | | | | | | |
| 04/23/2018 | ***-**-64IO - PFAFF, GEORGE ACCOUNT #: LSR011185 | MFS INFLATION ADJUSTED BOND CL B BUY 1 Units @0.0000 | 0.00 | 0.49 | 0.00 | 0.49 | 88.0 | 0.43 |
| 04/23/2018 | ***-**-62IR - ROBBIANO, FBO ACCOUNT #: LSR011195 | MFS INFLATION ADJUSTED BOND CL B BUY 1 Units @0.0000 | 0.00 | 0.25 | 0.00 | 0.25 | 88.0 | 0.22 |
| 04/23/2018 | ***-**-382I - SATTERLY, NEIL ACCOUNT #: LSR010867 | MFS INFLATION ADJUSTED BOND CL C BUY 1 Units @0.0000 | 0.00 | 9.78 | 0.00 | 9.78 | 88.0 | 8.61 |
| 04/23/2018 | ***-**-031O - MCVOY, ROBERT ACCOUNT #: LSR010916 | MFS INFLATION ADJUSTED BOND CL C BUY 1 Units @0.0000 | 0.00 | 2.76 | 0.00 | 2.76 | 88.0 | 2.43 |
| 04/23/2018 | ***-**-44IO - MAYO, DEBORAH ACCOUNT #: LSR011079 | MFS INFLATION ADJUSTED BOND CL C BUY 1 Units @0.0000 | 0.00 | 13.16 | 0.00 | 13.16 | 88.0 | 11.58 |
| 04/23/2018 | ***-**-861I - SANGER, LAWRENCE ACCOUNT #: LSR011095 | MFS INFLATION ADJUSTED BOND FUND-A BUY 1 Units @0.0000 | 0.00 | 0.67 | 0.00 | 0.67 | 88.0 | 0.59 |
| 04/23/2018 | ***-**-065I - LAZIO, THOMAS ACCOUNT #: LSR010979 | MFS INTERNATIONAL NEW DISCOVERY CL BUY 1 Units @0.0000 | 0.00 | 5.94 | 0.00 | 5.94 | 88.0 | 5.23 |
| 04/23/2018 | ***-**-254I - AUGUSTINE, LINDA ACCOUNT #: LSR010846 | MFS INTERNATIONAL NEW DISCOVERY FUN BUY 1 Units @0.0000 | 0.00 | 1.44 | 0.00 | 1.44 | 88.0 | 1.27 |
| 04/23/2018 | ***-**-930I - SANGER, KEVIN ACCOUNT #: LSR010941 | MFS INTERNATIONAL NEW DISCOVERY FUN BUY 1 Units @0.0000 | 0.00 | 0.87 | 0.00 | 0.87 | 88.0 | 0.77 |
| 04/23/2018 | ***-**-959I - FRANZ, PAUL ACCOUNT #: LSR010959 | MFS INTERNATIONAL NEW DISCOVERY FUN BUY 1 Units @0.0000 | 0.00 | 1.96 | 0.00 | 1.96 | 88.0 | 1.72 |
| 04/23/2018 | ***-**-960J - MASTRANGELO, ACCOUNT #: LSR010966 | MFS INTERNATIONAL NEW DISCOVERY FUN BUY 1 Units @0.0000 | 0.00 | 1.39 | 0.00 | 1.39 | 88.0 | 1.22 |
| 04/23/2018 | ***-**-761I - EVANS, DOLORES ACCOUNT #: LSR011024 | MFS INTERNATIONAL NEW DISCOVERY FUN BUY 1 Units @0.0000 | 0.00 | 4.94 | 0.00 | 4.94 | 88.0 | 4.35 |
| 04/23/2018 | ***-**-944O - MAYO, DEBORAH ACCOUNT #: LSR011035 | MFS INTERNATIONAL NEW DISCOVERY FUN BUY 1 Units @0.0000 | 0.00 | 0.67 | 0.00 | 0.67 | 88.0 | 0.59 |
| 04/23/2018 | ***-**-13IN - RHYMESTINE, ACCOUNT #: LSR011106 | MFS INTERNATIONAL NEW DISCOVERY FUN BUY 1 Units @0.0000 | 0.00 | 0.78 | 0.00 | 0.78 | 88.0 | 0.69 |
| 04/23/2018 | ***-**-31IO - WILLIAMSON, FBO ACCOUNT #: LSR011172 | MFS INTERNATIONAL NEW DISCOVERY FUN BUY 1 Units @0.0000 | 0.00 | 2.21 | 0.00 | 2.21 | 88.0 | 1.94 |
| 04/23/2018 | ***-**-03IO - MASTRANGELO, ACCOUNT #: LSR011679 | MFS INTERNATIONAL NEW DISCOVERY FUN BUY 1 Units @0.0000 | 0.00 | 2.30 | 0.00 | 2.30 | 88.0 | 2.02 |



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| OVERRIDE TRANSACTIONS (continued) | | | | | | | | |
| BROKER: KURT GRUENEWALD (continued) | | | | | | | | |
| 04/23/2018 | ***-**-861I - SANGER, LAWRENCE | MFS INTERNATIONAL NEW DISCOVERY FUN | 0.00 | 0.84 | 0.00 | 0.84 | 88.0 | 0.74 |
| | ACCOUNT #: LSR011095 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-51IO - CAIN, TIMOTHY | MFS INTERNATIONAL VALUE FUND-B | 0.00 | 0.94 | 0.00 | 0.94 | 88.0 | 0.83 |
| | ACCOUNT #: LSR011007 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-861I - SANGER, LAWRENCE | MFS LIFETIME INCOME CLASS A | 0.00 | 1.36 | 0.00 | 1.36 | 88.0 | 1.20 |
| | ACCOUNT #: LSR011095 | BUY 1 Units @0.0000 | | | | | | |
| 04/19/2018 | ***-**-617I - ESCHE, BEVERLY | MFS MODERATE ALLOCATION CL B | 3,149.99 | 126.00 | 0.00 | 126.00 | 88.0 | 110.88 |
| | ACCOUNT #: LSR012614 | BUY 178 Units @17.6800 | | | | | | |
| 04/19/2018 | ***-**-212I - GRUENEWALD, | MFS MODERATE ALLOCATION CL B | 5,250.01 | 210.00 | 0.00 | 210.00 | 88.0 | 184.80 |
| | ACCOUNT #: LSR012629 | BUY 297 Units @17.6800 | | | | | | |
| 04/23/2018 | ***-**-959J - FRANZ, PAUL | MFS MODERATE ALLOCATION CL C | 0.00 | 14.41 | 0.00 | 14.41 | 88.0 | 12.68 |
| | ACCOUNT #: LSR010958 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-86IN - LEE, KEVIN | MFS MODERATE ALLOCATION CL C | 0.00 | 24.78 | 0.00 | 24.78 | 88.0 | 21.81 |
| | ACCOUNT #: LSR011613 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-960J - MASTRANGELO, | MFS NEW DISCOVERY FUND-B | 0.00 | 2.42 | 0.00 | 2.42 | 88.0 | 2.13 |
| | ACCOUNT #: LSR010966 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-31IO - WILLIAMSON, FBO | MFS NEW DISCOVERY FUND-B | 0.00 | 1.46 | 0.00 | 1.46 | 88.0 | 1.28 |
| | ACCOUNT #: LSR011172 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-978I - GUNN, KATHLEEN | MFS NEW DISCOVERY FUND-B | 0.00 | 0.62 | 0.00 | 0.62 | 88.0 | 0.55 |
| | ACCOUNT #: LSR011345 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-45IO - WILLIAMSON, | MFS NEW DISCOVERY FUND-B | 0.00 | 0.67 | 0.00 | 0.67 | 88.0 | 0.59 |
| | ACCOUNT #: LSR011756 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-197I - GAMBINO, ANDREW | MFS NEW DISCOVERY VALUE FUND CL B | 0.00 | 0.27 | 0.00 | 0.27 | 88.0 | 0.24 |
| | ACCOUNT #: LSR011465 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-53IN - EVANS, ANDREW | MFS NEW DISCOVERY VALUE FUND CL B | 0.00 | 0.70 | 0.00 | 0.70 | 88.0 | 0.62 |
| | ACCOUNT #: LSR011483 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-24IN - BLISS, RYAN | MFS NEW DISCOVERY VALUE FUND CL B | 0.00 | 0.33 | 0.00 | 0.33 | 88.0 | 0.29 |
| | ACCOUNT #: LSR011502 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-38IO - BROWN, TYLER | MFS NEW DISCOVERY VALUE FUND CL B | 0.00 | 0.73 | 0.00 | 0.73 | 88.0 | 0.64 |
| | ACCOUNT #: LSR011602 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-36IR - SANGER, BETH | MFS NEW DISCOVERY VALUE FUND CL B | 0.00 | 0.24 | 0.00 | 0.24 | 88.0 | 0.21 |
| | ACCOUNT #: LSR011757 | BUY 1 Units @0.0000 | | | | | | |



COMMISSION STATEMENT

April 23, 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 |
|---|--------------------------------|------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| OVERRIDE TRANSACTIONS (continued) | | | | | | | | |
| BROKER: KURT GRUENEWALD (continued) | | | | | | | | |
| 04/23/2018 | ***-**-382I - SATTERLY, NEIL | MFS NEW DISCOVERY VALUE FUND CL C | 0.00 | 11.00 | 0.00 | 11.00 | 88.0 | 9.68 |
| | ACCOUNT #: LSR010867 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-44IO - MAYO, DEBORAH | MFS NEW DISCOVERY VALUE FUND CL C | 0.00 | 13.51 | 0.00 | 13.51 | 88.0 | 11.89 |
| | ACCOUNT #: LSR011079 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-63TR - EVANS, AUDREY J | MFS NEW YORK MUNICIPAL BOND FUND-B | 0.00 | 1.63 | 0.00 | 1.63 | 88.0 | 1.43 |
| | ACCOUNT #: LSR011036 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-111J - NESSIA, JAMES | MFS NEW YORK MUNICIPAL BOND FUND-B | 0.00 | 0.50 | 0.00 | 0.50 | 88.0 | 0.44 |
| | ACCOUNT #: LSR011054 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-861I - SANGER, LAWRENCE | MFS RESEARCH BOND FUND CLASS A | 0.00 | 0.39 | 0.00 | 0.39 | 88.0 | 0.34 |
| | ACCOUNT #: LSR011095 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-02IN - BUSHEY, MELISSA | MFS RESEARCH BOND FUND CLASS A | 0.00 | 0.22 | 0.00 | 0.22 | 88.0 | 0.19 |
| | ACCOUNT #: LSR011257 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-254I - AUGUSTINE, LINDA | MFS RESEARCH BOND FUND-B | 0.00 | 0.58 | 0.00 | 0.58 | 88.0 | 0.51 |
| | ACCOUNT #: LSR010846 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-959I - FRANZ, PAUL | MFS RESEARCH BOND FUND-B | 0.00 | 0.84 | 0.00 | 0.84 | 88.0 | 0.74 |
| | ACCOUNT #: LSR010959 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-51IO - CAIN, TIMOTHY | MFS RESEARCH BOND FUND-B | 0.00 | 1.34 | 0.00 | 1.34 | 88.0 | 1.18 |
| | ACCOUNT #: LSR011007 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-761I - EVANS, DOLORES | MFS RESEARCH BOND FUND-B | 0.00 | 1.34 | 0.00 | 1.34 | 88.0 | 1.18 |
| | ACCOUNT #: LSR011024 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-111J - NESSIA, JAMES | MFS RESEARCH BOND FUND-B | 0.00 | 0.38 | 0.00 | 0.38 | 88.0 | 0.33 |
| | ACCOUNT #: LSR011054 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-76IO - MCALLISTER, FBO | MFS RESEARCH BOND FUND-B | 0.00 | 0.53 | 0.00 | 0.53 | 88.0 | 0.47 |
| | ACCOUNT #: LSR011107 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-367J - WAGNER, MRS LANT | MFS RESEARCH BOND FUND-B | 0.00 | 0.49 | 0.00 | 0.49 | 88.0 | 0.43 |
| | ACCOUNT #: LSR011134 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-31IO - WILLIAMSON, FBO | MFS RESEARCH BOND FUND-B | 0.00 | 0.66 | 0.00 | 0.66 | 88.0 | 0.58 |
| | ACCOUNT #: LSR011172 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-62IN - EATON, DAVID | MFS RESEARCH BOND FUND-B | 0.00 | 0.58 | 0.00 | 0.58 | 88.0 | 0.51 |
| | ACCOUNT #: LSR011315 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-326J - GRANDE, MR | MFS STRATEGIC INCOME FUND-B | 0.00 | 1.13 | 0.00 | 1.13 | 88.0 | 0.99 |
| | ACCOUNT #: LSR011089 | BUY 1 Units @0.0000 | | | | | | |



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| OVERRIDE TRANSACTIONS (continued) | | | | | | | | |
| BROKER: KURT GRUENEWALD (continued) | | | | | | | | |
| 04/23/2018 | ***-**-382I - SATTERLY, NEIL | MFS TECHNOLOGY CLASS C | 0.00 | 10.87 | 0.00 | 10.87 | 88.0 | 9.57 |
| | ACCOUNT #: LSR010867 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-48IO - CLARK, PATRICK | MFS TECHNOLOGY CLASS C | 0.00 | 7.86 | 0.00 | 7.86 | 88.0 | 6.92 |
| | ACCOUNT #: LSR010911 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-03IO - MCVOY, ROBERT | MFS TECHNOLOGY CLASS C | 0.00 | 5.11 | 0.00 | 5.11 | 88.0 | 4.50 |
| | ACCOUNT #: LSR010916 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-930I - SANGER, KEVIN | MFS TECHNOLOGY CLASS C | 0.00 | 9.66 | 0.00 | 9.66 | 88.0 | 8.50 |
| | ACCOUNT #: LSR010941 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-065I - LAZIO, THOMAS | MFS TECHNOLOGY CLASS C | 0.00 | 6.27 | 0.00 | 6.27 | 88.0 | 5.52 |
| | ACCOUNT #: LSR010979 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-00IO - LEE, GARY | MFS TECHNOLOGY CLASS C | 0.00 | 12.48 | 0.00 | 12.48 | 88.0 | 10.98 |
| | ACCOUNT #: LSR011059 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-44IO - MAYO, DEBORAH | MFS TECHNOLOGY CLASS C | 0.00 | 5.22 | 0.00 | 5.22 | 88.0 | 4.59 |
| | ACCOUNT #: LSR011079 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-09IO - BATES, FBO MRS | MFS TECHNOLOGY CLASS C | 0.00 | 12.32 | 0.00 | 12.32 | 88.0 | 10.84 |
| | ACCOUNT #: LSR011117 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-89IN - LEE, ROGER | MFS TECHNOLOGY CLASS C | 0.00 | 6.66 | 0.00 | 6.66 | 88.0 | 5.86 |
| | ACCOUNT #: LSR011166 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-094I - KATRENA L | MFS TECHNOLOGY CLASS C | 0.00 | 6.93 | 0.00 | 6.93 | 88.0 | 6.10 |
| | ACCOUNT #: LSR011188 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-06IR - CAMPBELL, PAMELA | MFS TECHNOLOGY CLASS C | 0.00 | 8.65 | 0.00 | 8.65 | 88.0 | 7.61 |
| | ACCOUNT #: LSR011222 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-11IO - LYNN G. | MFS TECHNOLOGY CLASS C | 0.00 | 7.15 | 0.00 | 7.15 | 88.0 | 6.29 |
| | ACCOUNT #: LSR011239 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-45IO - JOHNSON, GREGORY | MFS TECHNOLOGY CLASS C | 0.00 | 8.61 | 0.00 | 8.61 | 88.0 | 7.58 |
| | ACCOUNT #: LSR011421 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-37IO - MCCLUSKY, MARK | MFS TECHNOLOGY CLASS C | 0.00 | 2.72 | 0.00 | 2.72 | 88.0 | 2.39 |
| | ACCOUNT #: LSR011579 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-86IN - LEE, KEVIN | MFS TECHNOLOGY CLASS C | 0.00 | 10.83 | 0.00 | 10.83 | 88.0 | 9.53 |
| | ACCOUNT #: LSR011613 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-99IN - EDELMAN, TINA | MFS TECHNOLOGY CLASS C | 0.00 | 0.11 | 0.00 | 0.11 | 88.0 | 0.10 |
| | ACCOUNT #: LSR011956 | BUY 1 Units @0.0000 | | | | | | |



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| OVERRIDE TRANSACTIONS (continued) | | | | | | | | |
| <u>BROKER: KURT GRUENEWALD (continued)</u> | | | | | | | | |
| 04/23/2018 | ***-**-28IN - BYWATER, KIM | MFS TECHNOLOGY CLASS C | 0.00 | 0.20 | 0.00 | 0.20 | 88.0 | 0.18 |
| | ACCOUNT #: LSR011995 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-9440 - MAYO, DEBORAH | MFS TECHNOLOGY FUND CLASS A | 0.00 | 1.32 | 0.00 | 1.32 | 88.0 | 1.16 |
| | ACCOUNT #: LSR011035 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-808J - GORMAN, RANDY | MFS TECHNOLOGY FUND CLASS A | 0.00 | 0.24 | 0.00 | 0.24 | 88.0 | 0.21 |
| | ACCOUNT #: LSR011087 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-02IN - BUSHEY, MELISSA | MFS TECHNOLOGY FUND CLASS A | 0.00 | 1.06 | 0.00 | 1.06 | 88.0 | 0.93 |
| | ACCOUNT #: LSR011257 | BUY 1 Units @0.0000 | | | | | | |
| 04/19/2018 | ***-**-617I - ESCHE, BEVERLY | MFS TECHNOLOGY FUND-B | 3,249.99 | 130.00 | 0.00 | 130.00 | 88.0 | 114.40 |
| | ACCOUNT #: LSR012614 | BUY 92 Units @35.4500 | | | | | | |
| 04/19/2018 | ***-**-13IN - GRUENEWALD, | MFS TECHNOLOGY FUND-B | 5,250.00 | 210.00 | 0.00 | 210.00 | 88.0 | 184.80 |
| | ACCOUNT #: LSR012632 | BUY 148 Units @35.4500 | | | | | | |
| 04/23/2018 | ***-**-31IO - HARTZ, CLAUDIA | MFS TECHNOLOGY FUND-B | 0.00 | 0.94 | 0.00 | 0.94 | 88.0 | 0.83 |
| | ACCOUNT #: LSR010915 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-15IN - PENDRAK, JOHN | MFS TECHNOLOGY FUND-B | 0.00 | 2.45 | 0.00 | 2.45 | 88.0 | 2.16 |
| | ACCOUNT #: LSR010948 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-959I - FRANZ, PAUL | MFS TECHNOLOGY FUND-B | 0.00 | 2.04 | 0.00 | 2.04 | 88.0 | 1.80 |
| | ACCOUNT #: LSR010959 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-169I - EVANS, PAUL | MFS TECHNOLOGY FUND-B | 0.00 | 1.39 | 0.00 | 1.39 | 88.0 | 1.22 |
| | ACCOUNT #: LSR011026 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-580X - COBB, JAMES | MFS TECHNOLOGY FUND-B | 0.00 | 1.35 | 0.00 | 1.35 | 88.0 | 1.19 |
| | ACCOUNT #: LSR011040 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-579J - RHYMESTINE, | MFS TECHNOLOGY FUND-B | 0.00 | 1.05 | 0.00 | 1.05 | 88.0 | 0.92 |
| | ACCOUNT #: LSR011081 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-579I - RHYMESTINE, | MFS TECHNOLOGY FUND-B | 0.00 | 1.43 | 0.00 | 1.43 | 88.0 | 1.26 |
| | ACCOUNT #: LSR011082 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-326I - GRANDE, FBO MR | MFS TECHNOLOGY FUND-B | 0.00 | 1.78 | 0.00 | 1.78 | 88.0 | 1.57 |
| | ACCOUNT #: LSR011091 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-992J - CORNACCHIA | MFS TECHNOLOGY FUND-B | 0.00 | 0.45 | 0.00 | 0.45 | 88.0 | 0.40 |
| | ACCOUNT #: LSR011157 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-48IO - ANACKER, FBO MRS | MFS TECHNOLOGY FUND-B | 0.00 | 0.93 | 0.00 | 0.93 | 88.0 | 0.82 |
| | ACCOUNT #: LSR011164 | BUY 1 Units @0.0000 | | | | | | |



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| OVERRIDE TRANSACTIONS (continued) | | | | | | | | |
| <u>BROKER: KURT GRUENEWALD (continued)</u> | | | | | | | | |
| 04/23/2018 | ***-**-31IO - WILLIAMSON, FBO | MFS TECHNOLOGY FUND-B | 0.00 | 1.63 | 0.00 | 1.63 | 88.0 | 1.43 |
| | ACCOUNT #: LSR011172 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-664J - PFAFF, GEORGE | MFS TECHNOLOGY FUND-B | 0.00 | 1.97 | 0.00 | 1.97 | 88.0 | 1.73 |
| | ACCOUNT #: LSR011184 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-64IO - PFAFF, GEORGE | MFS TECHNOLOGY FUND-B | 0.00 | 1.07 | 0.00 | 1.07 | 88.0 | 0.94 |
| | ACCOUNT #: LSR011185 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-52IO - EUSEPI, SUSAN | MFS TECHNOLOGY FUND-B | 0.00 | 1.42 | 0.00 | 1.42 | 88.0 | 1.25 |
| | ACCOUNT #: LSR011219 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-37IR - HARTZ, RENEE | MFS TECHNOLOGY FUND-B | 0.00 | 1.59 | 0.00 | 1.59 | 88.0 | 1.40 |
| | ACCOUNT #: LSR011259 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-75IR - EVANS, DIANE | MFS TECHNOLOGY FUND-B | 0.00 | 1.51 | 0.00 | 1.51 | 88.0 | 1.33 |
| | ACCOUNT #: LSR011275 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-653I - KOHEM, CLINTON | MFS TECHNOLOGY FUND-B | 0.00 | 3.44 | 0.00 | 3.44 | 88.0 | 3.03 |
| | ACCOUNT #: LSR011300 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-680I - HARRELL, DARYL | MFS TECHNOLOGY FUND-B | 0.00 | 1.60 | 0.00 | 1.60 | 88.0 | 1.41 |
| | ACCOUNT #: LSR011321 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-978I - GUNN, KATHLEEN | MFS TECHNOLOGY FUND-B | 0.00 | 0.92 | 0.00 | 0.92 | 88.0 | 0.81 |
| | ACCOUNT #: LSR011345 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-197I - GAMBINO, ANDREW | MFS TECHNOLOGY FUND-B | 0.00 | 0.50 | 0.00 | 0.50 | 88.0 | 0.44 |
| | ACCOUNT #: LSR011465 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-53IN - EVANS, ANDREW | MFS TECHNOLOGY FUND-B | 0.00 | 0.88 | 0.00 | 0.88 | 88.0 | 0.77 |
| | ACCOUNT #: LSR011483 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-38IO - BROWN, TYLER | MFS TECHNOLOGY FUND-B | 0.00 | 1.05 | 0.00 | 1.05 | 88.0 | 0.92 |
| | ACCOUNT #: LSR011602 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-03IO - MASTRANGELO, | MFS TECHNOLOGY FUND-B | 0.00 | 1.95 | 0.00 | 1.95 | 88.0 | 1.72 |
| | ACCOUNT #: LSR011679 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-45IR - WILLIAMSON, | MFS TECHNOLOGY FUND-B | 0.00 | 1.75 | 0.00 | 1.75 | 88.0 | 1.54 |
| | ACCOUNT #: LSR011764 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-881J - EBERLEY, SUSAN | MFS TOTAL RETURN FUND-B | 0.00 | 1.61 | 0.00 | 1.61 | 88.0 | 1.42 |
| | ACCOUNT #: LSR010856 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-949I - ACEE, JOSPEH | MFS TOTAL RETURN FUND-B | 0.00 | 1.87 | 0.00 | 1.87 | 88.0 | 1.65 |
| | ACCOUNT #: LSR010908 | BUY 1 Units @0.0000 | | | | | | |



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| OVERRIDE TRANSACTIONS (continued) | | | | | | | | |
| <u>BROKER: KURT GRUENEWALD (continued)</u> | | | | | | | | |
| 04/23/2018 | ***-**-960J - MASTRANGELO, ACCOUNT #: LSR010966 | MFS TOTAL RETURN FUND-B BUY 1 Units @0.0000 | 0.00 | 1.90 | 0.00 | 1.90 | 88.0 | 1.67 |
| 04/23/2018 | ***-**-506J - CURRIERE JR, MR ACCOUNT #: LSR011121 | MFS TOTAL RETURN FUND-B BUY 1 Units @0.0000 | 0.00 | 0.98 | 0.00 | 0.98 | 88.0 | 0.86 |
| 04/23/2018 | ***-**-31IO - WILLIAMSON, FBO ACCOUNT #: LSR011172 | MFS TOTAL RETURN FUND-B BUY 1 Units @0.0000 | 0.00 | 2.21 | 0.00 | 2.21 | 88.0 | 1.94 |
| 04/23/2018 | ***-**-62IR - ROBBIANO, FBO ACCOUNT #: LSR011195 | MFS TOTAL RETURN FUND-B BUY 1 Units @0.0000 | 0.00 | 0.88 | 0.00 | 0.88 | 88.0 | 0.77 |
| 04/23/2018 | ***-**-944O - MAYO, DEBORAH ACCOUNT #: LSR011035 | MFS UTILITIES FUND-A BUY 1 Units @0.0000 | 0.00 | 0.84 | 0.00 | 0.84 | 88.0 | 0.74 |
| 04/23/2018 | ***-**-96IN - NESSIA, BONNIE ACCOUNT #: LSR011055 | MFS UTILITIES FUND-A BUY 1 Units @0.0000 | 0.00 | 0.23 | 0.00 | 0.23 | 88.0 | 0.20 |
| 04/23/2018 | ***-**-808J - GORMAN, RANDY ACCOUNT #: LSR011087 | MFS UTILITIES FUND-A BUY 1 Units @0.0000 | 0.00 | 0.56 | 0.00 | 0.56 | 88.0 | 0.49 |
| 04/23/2018 | ***-**-31IO - HARTZ, CLAUDIA ACCOUNT #: LSR010915 | MFS UTILITIES FUND-B BUY 1 Units @0.0000 | 0.00 | 1.31 | 0.00 | 1.31 | 88.0 | 1.15 |
| 04/23/2018 | ***-**-15IN - PENDRAK, JOHN ACCOUNT #: LSR010948 | MFS UTILITIES FUND-B BUY 1 Units @0.0000 | 0.00 | 1.82 | 0.00 | 1.82 | 88.0 | 1.60 |
| 04/23/2018 | ***-**-366S - GRUENEWALD, ACCOUNT #: LSR010990 | MFS UTILITIES FUND-B BUY 1 Units @0.0000 | 0.00 | 0.71 | 0.00 | 0.71 | 88.0 | 0.62 |
| 04/23/2018 | ***-**-61IN - EVANS, DOLORES ACCOUNT #: LSR011023 | MFS UTILITIES FUND-B BUY 1 Units @0.0000 | 0.00 | 0.28 | 0.00 | 0.28 | 88.0 | 0.25 |
| 04/23/2018 | ***-**-63TR - EVANS, AUDREY J ACCOUNT #: LSR011036 | MFS UTILITIES FUND-B BUY 1 Units @0.0000 | 0.00 | 1.64 | 0.00 | 1.64 | 88.0 | 1.44 |
| 04/23/2018 | ***-**-306X - COBB, CHERRYL ACCOUNT #: LSR011037 | MFS UTILITIES FUND-B BUY 1 Units @0.0000 | 0.00 | 1.93 | 0.00 | 1.93 | 88.0 | 1.70 |
| 04/23/2018 | ***-**-96IN - NESSIA, BONNIE ACCOUNT #: LSR011055 | MFS UTILITIES FUND-B BUY 1 Units @0.0000 | 0.00 | 0.31 | 0.00 | 0.31 | 88.0 | 0.27 |
| 04/23/2018 | ***-**-579I - RHYMESTINE, ACCOUNT #: LSR011082 | MFS UTILITIES FUND-B BUY 1 Units @0.0000 | 0.00 | 2.00 | 0.00 | 2.00 | 88.0 | 1.76 |
| 04/23/2018 | ***-**-326J - GRANDE, MR ACCOUNT #: LSR011089 | MFS UTILITIES FUND-B BUY 1 Units @0.0000 | 0.00 | 0.67 | 0.00 | 0.67 | 88.0 | 0.59 |



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| OVERRIDE TRANSACTIONS (continued) | | | | | | | | |
| <u>BROKER: KURT GRUENEWALD (continued)</u> | | | | | | | | |
| 04/23/2018 | ***-**-326I - GRANDE, FBO MR | MFS UTILITIES FUND-B | 0.00 | 0.95 | 0.00 | 0.95 | 88.0 | 0.84 |
| | ACCOUNT #: LSR011091 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-13IN - RHYMESTINE, | MFS UTILITIES FUND-B | 0.00 | 0.84 | 0.00 | 0.84 | 88.0 | 0.74 |
| | ACCOUNT #: LSR011106 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-76IO - MCALLISTER, FBO | MFS UTILITIES FUND-B | 0.00 | 0.78 | 0.00 | 0.78 | 88.0 | 0.69 |
| | ACCOUNT #: LSR011107 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-367J - WAGNER, MRS LANT | MFS UTILITIES FUND-B | 0.00 | 1.61 | 0.00 | 1.61 | 88.0 | 1.42 |
| | ACCOUNT #: LSR011134 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-31IO - WILLIAMSON, FBO | MFS UTILITIES FUND-B | 0.00 | 1.30 | 0.00 | 1.30 | 88.0 | 1.14 |
| | ACCOUNT #: LSR011172 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-64IO - PFAFF, GEORGE | MFS UTILITIES FUND-B | 0.00 | 1.64 | 0.00 | 1.64 | 88.0 | 1.44 |
| | ACCOUNT #: LSR011185 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-653I - KOCHER, CLINTON | MFS UTILITIES FUND-B | 0.00 | 1.38 | 0.00 | 1.38 | 88.0 | 1.21 |
| | ACCOUNT #: LSR011300 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-62IN - EATON, DAVID | MFS UTILITIES FUND-B | 0.00 | 1.30 | 0.00 | 1.30 | 88.0 | 1.14 |
| | ACCOUNT #: LSR011315 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-978I - GUNN, KATHLEEN | MFS UTILITIES FUND-B | 0.00 | 0.39 | 0.00 | 0.39 | 88.0 | 0.34 |
| | ACCOUNT #: LSR011345 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-21IO - RADELL, SANDRA | MFS UTILITIES FUND-B | 0.00 | 1.59 | 0.00 | 1.59 | 88.0 | 1.40 |
| | ACCOUNT #: LSR011392 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-41IR - DINITTO, ALLISYN | MFS UTILITIES FUND-B | 0.00 | 0.45 | 0.00 | 0.45 | 88.0 | 0.40 |
| | ACCOUNT #: LSR011443 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-197I - GAMBINO, ANDREW | MFS UTILITIES FUND-B | 0.00 | 0.12 | 0.00 | 0.12 | 88.0 | 0.11 |
| | ACCOUNT #: LSR011465 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-53IN - EVANS, ANDREW | MFS UTILITIES FUND-B | 0.00 | 0.49 | 0.00 | 0.49 | 88.0 | 0.43 |
| | ACCOUNT #: LSR011483 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-24IN - BLISS, RYAN | MFS UTILITIES FUND-B | 0.00 | 0.11 | 0.00 | 0.11 | 88.0 | 0.10 |
| | ACCOUNT #: LSR011502 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-51IN - GERACE, JOANNE | MFS UTILITIES FUND-B | 0.00 | 1.48 | 0.00 | 1.48 | 88.0 | 1.30 |
| | ACCOUNT #: LSR011538 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-38IO - BROWN, TYLER | MFS UTILITIES FUND-B | 0.00 | 0.57 | 0.00 | 0.57 | 88.0 | 0.50 |
| | ACCOUNT #: LSR011602 | BUY 1 Units @0.0000 | | | | | | |



COMMISSION STATEMENT

April 23, 2018

DAVID GRIFFITH
2108 Genesee St.
Utica, NY 13502

BROKER #: A76
BRANCH #01047 - 47 - GRIFFITH

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| OVERRIDE TRANSACTIONS (continued) | | | | | | | | |
| <u>BROKER: KURT GRUENEWALD (continued)</u> | | | | | | | | |
| 04/23/2018 | ***-**-45IO - WILLIAMSON, ACCOUNT #: LSR011756 | MFS UTILITIES FUND-B BUY 1 Units @0.0000 | 0.00 | 0.55 | 0.00 | 0.55 | 88.0 | 0.48 |
| 04/23/2018 | ***-**-235I - AUGUSTINE III, ACCOUNT #: LSR010845 | MFS UTILITIES FUND-C BUY 1 Units @0.0000 | 0.00 | 8.77 | 0.00 | 8.77 | 88.0 | 7.72 |
| 04/23/2018 | ***-**-980I - ACEE, ELIZABETH ACCOUNT #: LSR010885 | MFS UTILITIES FUND-C BUY 1 Units @0.0000 | 0.00 | 10.46 | 0.00 | 10.46 | 88.0 | 9.20 |
| 04/23/2018 | ***-**-48IO - CLARK, PATRICK ACCOUNT #: LSR010911 | MFS UTILITIES FUND-C BUY 1 Units @0.0000 | 0.00 | 8.84 | 0.00 | 8.84 | 88.0 | 7.78 |
| 04/23/2018 | ***-**-031O - MCVOY, ROBERT ACCOUNT #: LSR010916 | MFS UTILITIES FUND-C BUY 1 Units @0.0000 | 0.00 | 4.46 | 0.00 | 4.46 | 88.0 | 3.92 |
| 04/23/2018 | ***-**-065I - LAZIO, THOMAS ACCOUNT #: LSR010979 | MFS UTILITIES FUND-C BUY 1 Units @0.0000 | 0.00 | 10.40 | 0.00 | 10.40 | 88.0 | 9.15 |
| 04/23/2018 | ***-**-00IO - LEE, GARY ACCOUNT #: LSR011059 | MFS UTILITIES FUND-C BUY 1 Units @0.0000 | 0.00 | 10.38 | 0.00 | 10.38 | 88.0 | 9.13 |
| 04/23/2018 | ***-**-09IO - BATES, FBO MRS ACCOUNT #: LSR011117 | MFS UTILITIES FUND-C BUY 1 Units @0.0000 | 0.00 | 10.90 | 0.00 | 10.90 | 88.0 | 9.59 |
| 04/23/2018 | ***-**-89IN - LEE, ROGER ACCOUNT #: LSR011166 | MFS UTILITIES FUND-C BUY 1 Units @0.0000 | 0.00 | 6.54 | 0.00 | 6.54 | 88.0 | 5.76 |
| 04/23/2018 | ***-**-81IR - CAMPBELL, ACCOUNT #: LSR011223 | MFS UTILITIES FUND-C BUY 1 Units @0.0000 | 0.00 | 6.78 | 0.00 | 6.78 | 88.0 | 5.97 |
| 04/23/2018 | ***-**-11IO - LYNN G. ACCOUNT #: LSR011239 | MFS UTILITIES FUND-C BUY 1 Units @0.0000 | 0.00 | 9.42 | 0.00 | 9.42 | 88.0 | 8.29 |
| 04/23/2018 | ***-**-37IR - HARTZ, RENEE ACCOUNT #: LSR011259 | MFS UTILITIES FUND-C BUY 1 Units @0.0000 | 0.00 | 0.05 | 0.00 | 0.05 | 88.0 | 0.04 |
| 04/23/2018 | ***-**-80IO - EVANS, RICHARD ACCOUNT #: LSR011276 | MFS UTILITIES FUND-C BUY 1 Units @0.0000 | 0.00 | 7.24 | 0.00 | 7.24 | 88.0 | 6.37 |
| 04/23/2018 | ***-**-376I - BERBEN, GAIL ACCOUNT #: LSR011380 | MFS UTILITIES FUND-C BUY 1 Units @0.0000 | 0.00 | 9.42 | 0.00 | 9.42 | 88.0 | 8.29 |
| 04/23/2018 | ***-**-45IO - JOHNSON, GREGORY ACCOUNT #: LSR011421 | MFS UTILITIES FUND-C BUY 1 Units @0.0000 | 0.00 | 8.40 | 0.00 | 8.40 | 88.0 | 7.39 |
| 04/23/2018 | ***-**-14IO - BUSHEY, MATTHEW ACCOUNT #: LSR011498 | MFS UTILITIES FUND-C BUY 1 Units @0.0000 | 0.00 | 9.23 | 0.00 | 9.23 | 88.0 | 8.12 |



COMMISSION STATEMENT

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BRANCH #01047 - 47 - GRIFFITH

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| OVERRIDE TRANSACTIONS (continued) | | | | | | | | |
| <u>BROKER: KURT GRUENEWALD (continued)</u> | | | | | | | | |
| 04/23/2018 | ***-**-22IO - CLINTON, STEPHEN | MFS UTILITIES FUND-C | 0.00 | 0.01 | 0.00 | 0.01 | 88.0 | 0.01 |
| | ACCOUNT #: LSR011684 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-714O - LINES, JUDITH | MFS UTILITIES FUND-C | 0.00 | 0.01 | 0.00 | 0.01 | 88.0 | 0.01 |
| | ACCOUNT #: LSR011763 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-35IN - RUGGIERO, LAURIE | MFS UTILITIES FUND-C | 0.00 | 0.01 | 0.00 | 0.01 | 88.0 | 0.01 |
| | ACCOUNT #: LSR012314 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-13IN - ROTH, KAREN | MFS VALUE FUND-B | 0.00 | 1.04 | 0.00 | 1.04 | 88.0 | 0.92 |
| | ACCOUNT #: LSR011954 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-20IO - DEMETRI, AMELIA | NEW PERSPECTIVE FUND-A | 0.00 | 1.88 | 0.00 | 1.88 | 88.0 | 1.65 |
| | ACCOUNT #: LSR010995 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-702I - KOCHER, MICHAEL | NEW WORLD FUND-A | 0.00 | 2.85 | 0.00 | 2.85 | 88.0 | 2.51 |
| | ACCOUNT #: LSR010954 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-326I - GRANDE, FBO MR | NEW WORLD FUND-A | 0.00 | 2.59 | 0.00 | 2.59 | 88.0 | 2.28 |
| | ACCOUNT #: LSR011091 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-680I - HARRELL, DARYL | NEW WORLD FUND-A | 0.00 | 0.61 | 0.00 | 0.61 | 88.0 | 0.54 |
| | ACCOUNT #: LSR011321 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-128I - BASHANT, THOMAS | NEW WORLD FUND-A | 0.00 | 0.95 | 0.00 | 0.95 | 88.0 | 0.84 |
| | ACCOUNT #: LSR011387 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-30TR - AND SANDRA | NEW WORLD FUND-A | 0.00 | 2.13 | 0.00 | 2.13 | 88.0 | 1.87 |
| | ACCOUNT #: LSR011939 | BUY 1 Units @0.0000 | | | | | | |
| 04/18/2018 | ***-**-614J - BUSHEY, MATTHEW | NYA JPM 529 MOD AGE-BASED A | 100.00 | 4.75 | 0.00 | 4.75 | 88.0 | 4.18 |
| | | BUY 0 Units @0.0000 | | | | | | |
| 04/02/2018 | ***-**-633J - | OPP PORT SERIES: ACTIVE ALLOC A | 175.00 | 8.31 | 0.00 | 8.31 | 88.0 | 7.31 |
| | ACCOUNT #: 05502871176 | BUY 0 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-15IN - PENDRAK, JOHN | OPP PORT SERIES: ACTIVE ALLOC A | 0.00 | 1.62 | 0.00 | 1.62 | 88.0 | 1.43 |
| | ACCOUNT #: LSR010948 | BUY 1 Units @0.0000 | | | | | | |
| 04/09/2018 | ***-**-13IN - BLISS, PATRICK | OPPENHEIMER ACTIVE ALLOCATION FUND | 75.00 | 0.75 | 0.00 | 0.75 | 88.0 | 0.66 |
| | ACCOUNT #: 05521022681 | BUY 0 Units @0.0000 | | | | | | |
| 04/09/2018 | ***-**-48JT - LEE, DARLENE | OPPENHEIMER ACTIVE ALLOCATION FUND | 50.00 | 0.50 | 0.00 | 0.50 | 88.0 | 0.44 |
| | ACCOUNT #: 05521043603 | BUY 0 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-80IN - COBB, JAMES | OPPENHEIMER ACTIVE ALLOCATION FUND | 0.00 | 7.66 | 0.00 | 7.66 | 88.0 | 6.74 |
| | ACCOUNT #: LSR011042 | BUY 1 Units @0.0000 | | | | | | |



COMMISSION STATEMENT

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BRANCH #01047 - 47 - GRIFFITH

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| OVERRIDE TRANSACTIONS (continued) | | | | | | | | |
| <u>BROKER: KURT GRUENEWALD (continued)</u> | | | | | | | | |
| 04/23/2018 | ***-**-44IO - MAYO, DEBORAH ACCOUNT #: LSR011079 | OPPENHEIMER ACTIVE ALLOCATION FUND BUY 1 Units @0.0000 | 0.00 | 15.09 | 0.00 | 15.09 | 88.0 | 13.28 |
| 04/23/2018 | ***-**-09IO - BATES, FBO MRS ACCOUNT #: LSR011117 | OPPENHEIMER ACTIVE ALLOCATION FUND BUY 1 Units @0.0000 | 0.00 | 16.88 | 0.00 | 16.88 | 88.0 | 14.85 |
| 04/23/2018 | ***-**-11IO - LYNN G. ACCOUNT #: LSR011239 | OPPENHEIMER ACTIVE ALLOCATION FUND BUY 1 Units @0.0000 | 0.00 | 14.65 | 0.00 | 14.65 | 88.0 | 12.89 |
| 04/23/2018 | ***-**-45IO - JOHNSON, GREGORY ACCOUNT #: LSR011421 | OPPENHEIMER ACTIVE ALLOCATION FUND BUY 1 Units @0.0000 | 0.00 | 12.94 | 0.00 | 12.94 | 88.0 | 11.39 |
| 04/23/2018 | ***-**-28IN - BYWATER, KIM ACCOUNT #: LSR011995 | OPPENHEIMER DEV MARKETS FD CLASS C BUY 1 Units @0.0000 | 0.00 | 1.35 | 0.00 | 1.35 | 88.0 | 1.19 |
| 04/23/2018 | ***-**-881J - EBERLEY, SUSAN ACCOUNT #: LSR010856 | OPPENHEIMER DEVELOPING MARKETS CLAS BUY 1 Units @0.0000 | 0.00 | 1.67 | 0.00 | 1.67 | 88.0 | 1.47 |
| 04/23/2018 | ***-**-959I - FRANZ, PAUL ACCOUNT #: LSR010959 | OPPENHEIMER DEVELOPING MARKETS CLAS BUY 1 Units @0.0000 | 0.00 | 0.35 | 0.00 | 0.35 | 88.0 | 0.31 |
| 04/23/2018 | ***-**-51IO - CAIN, TIMOTHY ACCOUNT #: LSR011007 | OPPENHEIMER DEVELOPING MARKETS CLAS BUY 1 Units @0.0000 | 0.00 | 2.46 | 0.00 | 2.46 | 88.0 | 2.16 |
| 04/23/2018 | ***-**-96IN - NESSIA, BONNIE ACCOUNT #: LSR011055 | OPPENHEIMER DEVELOPING MARKETS CLAS BUY 1 Units @0.0000 | 0.00 | 0.83 | 0.00 | 0.83 | 88.0 | 0.73 |
| 04/23/2018 | ***-**-31IO - WILLIAMSON, FBO ACCOUNT #: LSR011172 | OPPENHEIMER DEVELOPING MARKETS CLAS BUY 1 Units @0.0000 | 0.00 | 0.39 | 0.00 | 0.39 | 88.0 | 0.34 |
| 04/23/2018 | ***-**-680I - HARRELL, DARYL ACCOUNT #: LSR011321 | OPPENHEIMER DEVELOPING MARKETS CLAS BUY 1 Units @0.0000 | 0.00 | 0.88 | 0.00 | 0.88 | 88.0 | 0.77 |
| 04/09/2018 | ***-**-48JT - LEE, DARLENE ACCOUNT #: 00100021715 | OPPENHEIMER GLBL REAL ESTATE FUND C BUY 0 Units @0.0000 | 50.00 | 0.50 | 0.00 | 0.50 | 88.0 | 0.44 |
| 04/23/2018 | ***-**-094I - KATRENA L ACCOUNT #: LSR011188 | OPPENHEIMER GLBL REAL ESTATE FUND C BUY 1 Units @0.0000 | 0.00 | 5.25 | 0.00 | 5.25 | 88.0 | 4.62 |
| 04/23/2018 | ***-**-031O - MCVOY, ROBERT ACCOUNT #: LSR010916 | OPPENHEIMER GLOBAL VALUE FUND CL C BUY 1 Units @0.0000 | 0.00 | 5.27 | 0.00 | 5.27 | 88.0 | 4.64 |
| 04/23/2018 | ***-**-714O - LINES, JUDITH ACCOUNT #: LSR011763 | OPPENHEIMER GLOBAL VALUE FUND CL C BUY 1 Units @0.0000 | 0.00 | 1.57 | 0.00 | 1.57 | 88.0 | 1.38 |
| 04/23/2018 | ***-**-382I - SATTERLY, NEIL ACCOUNT #: LSR010867 | OPPENHEIMER GOLD & SPECIAL MINERALS BUY 1 Units @0.0000 | 0.00 | 3.89 | 0.00 | 3.89 | 88.0 | 3.42 |



COMMISSION STATEMENT

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| OVERRIDE TRANSACTIONS (continued) | | | | | | | | |
| <u>BROKER: KURT GRUENEWALD (continued)</u> | | | | | | | | |
| 04/23/2018 | ***-**-48IO - CLARK, PATRICK ACCOUNT #: LSR010911 | OPPENHEIMER GOLD & SPECIAL MINERALS BUY 1 Units @0.0000 | 0.00 | 5.09 | 0.00 | 5.09 | 88.0 | 4.48 |
| 04/23/2018 | ***-**-31IO - HARTZ, CLAUDIA ACCOUNT #: LSR010915 | OPPENHEIMER GOLD & SPECIAL MINERALS BUY 1 Units @0.0000 | 0.00 | 0.10 | 0.00 | 0.10 | 88.0 | 0.09 |
| 04/23/2018 | ***-**-72IN - GAVALO, JULIE ACCOUNT #: LSR010921 | OPPENHEIMER GOLD & SPECIAL MINERALS BUY 1 Units @0.0000 | 0.00 | 2.24 | 0.00 | 2.24 | 88.0 | 1.97 |
| 04/23/2018 | ***-**-065I - LAZIO, THOMAS ACCOUNT #: LSR010979 | OPPENHEIMER GOLD & SPECIAL MINERALS BUY 1 Units @0.0000 | 0.00 | 5.42 | 0.00 | 5.42 | 88.0 | 4.77 |
| 04/23/2018 | ***-**-420T - DEMETRI, AMELIA ACCOUNT #: LSR010994 | OPPENHEIMER GOLD & SPECIAL MINERALS BUY 1 Units @0.0000 | 0.00 | 2.33 | 0.00 | 2.33 | 88.0 | 2.05 |
| 04/23/2018 | ***-**-00IO - LEE, GARY ACCOUNT #: LSR011059 | OPPENHEIMER GOLD & SPECIAL MINERALS BUY 1 Units @0.0000 | 0.00 | 7.18 | 0.00 | 7.18 | 88.0 | 6.32 |
| 04/23/2018 | ***-**-09IO - BATES, FBO MRS ACCOUNT #: LSR011117 | OPPENHEIMER GOLD & SPECIAL MINERALS BUY 1 Units @0.0000 | 0.00 | 2.35 | 0.00 | 2.35 | 88.0 | 2.07 |
| 04/23/2018 | ***-**-11IO - LYNN G. ACCOUNT #: LSR011239 | OPPENHEIMER GOLD & SPECIAL MINERALS BUY 1 Units @0.0000 | 0.00 | 6.73 | 0.00 | 6.73 | 88.0 | 5.92 |
| 04/23/2018 | ***-**-45IO - JOHNSON, GREGORY ACCOUNT #: LSR011421 | OPPENHEIMER GOLD & SPECIAL MINERALS BUY 1 Units @0.0000 | 0.00 | 5.49 | 0.00 | 5.49 | 88.0 | 4.83 |
| 04/23/2018 | ***-**-51IN - GERACE, JOANNE ACCOUNT #: LSR011538 | OPPENHEIMER GOLD & SPECIAL MINERALS BUY 1 Units @0.0000 | 0.00 | 1.49 | 0.00 | 1.49 | 88.0 | 1.31 |
| 04/02/2018 | ***-**-633J - ACCOUNT #: 01953330426 | OPPENHEIMER INTERNATIONAL DIVERSIFI BUY 0 Units @0.0000 | 175.00 | 8.31 | 0.00 | 8.31 | 88.0 | 7.31 |
| 04/09/2018 | ***-**-48JT - LEE, DARLENE ACCOUNT #: 01971019612 | OPPENHEIMER INTERNATIONAL DIVERSIFI BUY 0 Units @0.0000 | 50.00 | 0.50 | 0.00 | 0.50 | 88.0 | 0.44 |
| 04/23/2018 | ***-**-714O - LINES, JUDITH ACCOUNT #: LSR011763 | OPPENHEIMER INTERNATIONAL DIVERSIFI BUY 1 Units @0.0000 | 0.00 | 1.41 | 0.00 | 1.41 | 88.0 | 1.24 |
| 04/23/2018 | ***-**-28IN - BYWATER, KIM ACCOUNT #: LSR011995 | OPPENHEIMER INTERNATIONAL SMALL COM BUY 1 Units @0.0000 | 0.00 | 2.47 | 0.00 | 2.47 | 88.0 | 2.17 |
| 04/23/2018 | ***-**-567I - FRANZ, ALICE ACCOUNT #: LSR010960 | OPPENHEIMER INTL BOND CLASS B BUY 1 Units @0.0000 | 0.00 | 2.64 | 0.00 | 2.64 | 88.0 | 2.32 |
| 04/23/2018 | ***-**-664J - PFAFF, GEORGE ACCOUNT #: LSR011184 | OPPENHEIMER INTL BOND CLASS B BUY 1 Units @0.0000 | 0.00 | 3.33 | 0.00 | 3.33 | 88.0 | 2.93 |



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| OVERRIDE TRANSACTIONS (continued) | | | | | | | | |
| BROKER: KURT GRUENEWALD (continued) | | | | | | | | |
| 04/23/2018 | ***-**-881I - EBERLEY, SUSAN ACCOUNT #: LSR010858 | OPPENHEIMER MAIN STREET SMALL CAP F BUY 1 Units @0.0000 | 0.00 | 1.90 | 0.00 | 1.90 | 88.0 | 1.67 |
| 04/23/2018 | ***-**-382I - SATTERLY, NEIL ACCOUNT #: LSR010867 | OPPENHEIMER RISING DIVIDENDS FUND C BUY 1 Units @0.0000 | 0.00 | 27.36 | 0.00 | 27.36 | 88.0 | 24.08 |
| 04/23/2018 | ***-**-031O - MCVOY, ROBERT ACCOUNT #: LSR010916 | OPPENHEIMER RISING DIVIDENDS FUND C BUY 1 Units @0.0000 | 0.00 | 5.73 | 0.00 | 5.73 | 88.0 | 5.04 |
| 04/23/2018 | ***-**-065I - LAZIO, THOMAS ACCOUNT #: LSR010979 | OPPENHEIMER RISING DIVIDENDS FUND C BUY 1 Units @0.0000 | 0.00 | 8.86 | 0.00 | 8.86 | 88.0 | 7.80 |
| 04/23/2018 | ***-**-511N - GERACE, JOANNE ACCOUNT #: LSR011538 | OPPENHEIMER RISING DIVIDENDS FUND C BUY 1 Units @0.0000 | 0.00 | 7.72 | 0.00 | 7.72 | 88.0 | 6.79 |
| 04/23/2018 | ***-**-371O - MCCLUSKY, MARK ACCOUNT #: LSR011579 | OPPENHEIMER RISING DIVIDENDS FUND C BUY 1 Units @0.0000 | 0.00 | 5.08 | 0.00 | 5.08 | 88.0 | 4.47 |
| 04/23/2018 | ***-**-714O - LINES, JUDITH ACCOUNT #: LSR011763 | OPPENHEIMER RISING DIVIDENDS FUND C BUY 1 Units @0.0000 | 0.00 | 7.60 | 0.00 | 7.60 | 88.0 | 6.69 |
| 04/23/2018 | ***-**-281N - BYWATER, KIM ACCOUNT #: LSR011995 | OPPENHEIMER RISING DIVIDENDS FUND C BUY 1 Units @0.0000 | 0.00 | 1.63 | 0.00 | 1.63 | 88.0 | 1.43 |
| 04/23/2018 | ***-**-287J - HINCKLEY, ACCOUNT #: LSR010841 | OPPENHEIMER ROCHEST AMT-FREE NY MUN BUY 1 Units @0.0000 | 0.00 | 7.18 | 0.00 | 7.18 | 88.0 | 6.32 |
| 04/02/2018 | ***-**-633J - ACCOUNT #: 02514987422 | OPPENHEIMER SMALL & MID CAP VALUE F BUY 0 Units @0.0000 | 175.00 | 8.31 | 0.00 | 8.31 | 88.0 | 7.31 |
| 04/23/2018 | ***-**-254I - AUGUSTINE, LINDA ACCOUNT #: LSR010846 | OPPENHEIMER SMALL & MID CAP VALUE F BUY 1 Units @0.0000 | 0.00 | 1.50 | 0.00 | 1.50 | 88.0 | 1.32 |
| 04/23/2018 | ***-**-930I - SANGER, KEVIN ACCOUNT #: LSR010941 | OPPENHEIMER SMALL & MID CAP VALUE F BUY 1 Units @0.0000 | 0.00 | 0.42 | 0.00 | 0.42 | 88.0 | 0.37 |
| 04/23/2018 | ***-**-151N - PENDRAK, JOHN ACCOUNT #: LSR010948 | OPPENHEIMER SMALL & MID CAP VALUE F BUY 1 Units @0.0000 | 0.00 | 0.95 | 0.00 | 0.95 | 88.0 | 0.84 |
| 04/23/2018 | ***-**-959I - FRANZ, PAUL ACCOUNT #: LSR010959 | OPPENHEIMER SMALL & MID CAP VALUE F BUY 1 Units @0.0000 | 0.00 | 1.73 | 0.00 | 1.73 | 88.0 | 1.52 |
| 04/23/2018 | ***-**-944O - MAYO, DEBORAH ACCOUNT #: LSR011035 | OPPENHEIMER SMALL & MID CAP VALUE F BUY 1 Units @0.0000 | 0.00 | 0.73 | 0.00 | 0.73 | 88.0 | 0.64 |
| 04/23/2018 | ***-**-580X - COBB, JAMES ACCOUNT #: LSR011040 | OPPENHEIMER SMALL & MID CAP VALUE F BUY 1 Units @0.0000 | 0.00 | 1.04 | 0.00 | 1.04 | 88.0 | 0.92 |



COMMISSION STATEMENT

April 23, 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 |
|---|--|--|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| OVERRIDE TRANSACTIONS (continued) | | | | | | | | |
| BROKER: KURT GRUENEWALD (continued) | | | | | | | | |
| 04/23/2018 | ***-**-111J - NESSIA, JAMES ACCOUNT #: LSR011054 | OPPENHEIMER SMALL & MID CAP VALUE F BUY 1 Units @0.0000 | 0.00 | 1.02 | 0.00 | 1.02 | 88.0 | 0.90 |
| 04/23/2018 | ***-**-13IN - RHYMESTINE, ACCOUNT #: LSR011106 | OPPENHEIMER SMALL & MID CAP VALUE F BUY 1 Units @0.0000 | 0.00 | 0.50 | 0.00 | 0.50 | 88.0 | 0.44 |
| 04/23/2018 | ***-**-62IN - EATON, DAVID ACCOUNT #: LSR011315 | OPPENHEIMER SMALL & MID CAP VALUE F BUY 1 Units @0.0000 | 0.00 | 0.70 | 0.00 | 0.70 | 88.0 | 0.62 |
| 04/23/2018 | ***-**-80IN - COBB, JAMES ACCOUNT #: LSR011042 | OPPENHEIMER STEELPATH MLP ALPHA PLU BUY 1 Units @0.0000 | 0.00 | 0.97 | 0.00 | 0.97 | 88.0 | 0.85 |
| 04/23/2018 | ***-**-837O - BASEMENT ACCOUNT #: LSR011046 | OPPENHEIMERSTEELPATH MLP INCOME CL BUY 1 Units @0.0000 | 0.00 | 2.67 | 0.00 | 2.67 | 88.0 | 2.35 |
| 04/23/2018 | ***-**-80IN - COBB, JAMES ACCOUNT #: LSR011042 | OPPENHEIMERSTEELPATH MLP SELECT 40 BUY 1 Units @0.0000 | 0.00 | 0.59 | 0.00 | 0.59 | 88.0 | 0.52 |
| 04/19/2018 | ***-**-889I - FRANZ, JONATHAN ACCOUNT #: VP71081770 | PACIFIC LIFE SE5-NYB DTCC BUY 0 Units @0.0000 | 38.13 | 6.48 | 0.00 | 6.48 | 88.0 | 5.70 |
| 04/19/2018 | ***-**-889I - FRANZ, JONATHAN ACCOUNT #: VP71081770 | PACIFIC LIFE SE5-NYB DTCC BUY 0 Units @0.0000 | 261.87 | 7.86 | 0.00 | 7.86 | 88.0 | 6.92 |
| 04/23/2018 | ***-**-48IO - CLARK, PATRICK ACCOUNT #: LSR010911 | PORT SERIES: CONS INV C BUY 1 Units @0.0000 | 0.00 | 17.57 | 0.00 | 17.57 | 88.0 | 15.46 |
| 04/23/2018 | ***-**-72IN - GAVALO, JULIE ACCOUNT #: LSR010921 | PORT SERIES: CONS INV C BUY 1 Units @0.0000 | 0.00 | 22.87 | 0.00 | 22.87 | 88.0 | 20.13 |
| 04/23/2018 | ***-**-420T - DEMETRI, AMELIA ACCOUNT #: LSR010994 | PORT SERIES: CONS INV C BUY 1 Units @0.0000 | 0.00 | 6.06 | 0.00 | 6.06 | 88.0 | 5.33 |
| 04/23/2018 | ***-**-73UT - COBB, CHRISTIAN ACCOUNT #: LSR011104 | PORT SERIES: CONS INV C BUY 1 Units @0.0000 | 0.00 | 4.63 | 0.00 | 4.63 | 88.0 | 4.07 |
| 04/23/2018 | ***-**-67UT - COBB, ACCOUNT #: LSR011105 | PORT SERIES: CONS INV C BUY 1 Units @0.0000 | 0.00 | 4.63 | 0.00 | 4.63 | 88.0 | 4.07 |
| 04/23/2018 | ***-**-89IN - LEE, ROGER ACCOUNT #: LSR011166 | PORT SERIES: CONS INV C BUY 1 Units @0.0000 | 0.00 | 10.00 | 0.00 | 10.00 | 88.0 | 8.80 |
| 04/23/2018 | ***-**-52IO - EUSEPI, SUSAN ACCOUNT #: LSR011219 | PORT SERIES: CONS INV C BUY 1 Units @0.0000 | 0.00 | 12.51 | 0.00 | 12.51 | 88.0 | 11.01 |
| 04/23/2018 | ***-**-439I - MCCARTHY, JAMES ACCOUNT #: LSR011244 | PORT SERIES: CONS INV C BUY 1 Units @0.0000 | 0.00 | 4.17 | 0.00 | 4.17 | 88.0 | 3.67 |



COMMISSION STATEMENT

April 23, 2018

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

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|--|--------------------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| OVERRIDE TRANSACTIONS (continued) | | | | | | | | |
| <u>BROKER: KURT GRUENEWALD (continued)</u> | | | | | | | | |
| 04/23/2018 | ***-**-80IO - EVANS, RICHARD | PORT SERIES: CONS INV C | 0.00 | 13.37 | 0.00 | 13.37 | 88.0 | 11.77 |
| | ACCOUNT #: LSR011276 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-664J - PFAFF, GEORGE | PORT SERIES: EQUITY INV FD B | 0.00 | 1.10 | 0.00 | 1.10 | 88.0 | 0.97 |
| | ACCOUNT #: LSR011184 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-254I - AUGUSTINE, LINDA | PORTFOLIO SERIES: CONS INV A | 0.00 | 1.53 | 0.00 | 1.53 | 88.0 | 1.35 |
| | ACCOUNT #: LSR010846 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-15IN - PENDRAK, JOHN | PORTFOLIO SERIES: CONS INV A | 0.00 | 2.46 | 0.00 | 2.46 | 88.0 | 2.16 |
| | ACCOUNT #: LSR010948 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-959I - FRANZ, PAUL | PORTFOLIO SERIES: CONS INV A | 0.00 | 2.11 | 0.00 | 2.11 | 88.0 | 1.86 |
| | ACCOUNT #: LSR010959 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-51IO - CAIN, TIMOTHY | PORTFOLIO SERIES: CONS INV A | 0.00 | 2.08 | 0.00 | 2.08 | 88.0 | 1.83 |
| | ACCOUNT #: LSR011007 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-761I - EVANS, DOLORES | PORTFOLIO SERIES: CONS INV A | 0.00 | 1.19 | 0.00 | 1.19 | 88.0 | 1.05 |
| | ACCOUNT #: LSR011024 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-944O - MAYO, DEBORAH | PORTFOLIO SERIES: CONS INV A | 0.00 | 1.75 | 0.00 | 1.75 | 88.0 | 1.54 |
| | ACCOUNT #: LSR011035 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-861I - SANGER, LAWRENCE | PORTFOLIO SERIES: CONS INV A | 0.00 | 0.67 | 0.00 | 0.67 | 88.0 | 0.59 |
| | ACCOUNT #: LSR011095 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-13IN - RHYMESTINE, | PORTFOLIO SERIES: CONS INV A | 0.00 | 0.82 | 0.00 | 0.82 | 88.0 | 0.72 |
| | ACCOUNT #: LSR011106 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-02IN - BUSHEY, MELISSA | PORTFOLIO SERIES: CONS INV A | 0.00 | 0.64 | 0.00 | 0.64 | 88.0 | 0.56 |
| | ACCOUNT #: LSR011257 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-62IN - EATON, DAVID | PORTFOLIO SERIES: CONS INV A | 0.00 | 1.23 | 0.00 | 1.23 | 88.0 | 1.08 |
| | ACCOUNT #: LSR011315 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-567I - FRANZ, ALICE | PORTFOLIO SERIES: CONSERVATIVE INVE | 0.00 | 3.23 | 0.00 | 3.23 | 88.0 | 2.84 |
| | ACCOUNT #: LSR010960 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-664J - PFAFF, GEORGE | PORTFOLIO SERIES: CONSERVATIVE INVE | 0.00 | 4.41 | 0.00 | 4.41 | 88.0 | 3.88 |
| | ACCOUNT #: LSR011184 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-96IN - NESSIA, BONNIE | PUTNAM UTILITIES GROWTH AND INCOME | 0.00 | 1.15 | 0.00 | 1.15 | 88.0 | 1.01 |
| | ACCOUNT #: LSR011055 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-579I - RHYMESTINE, | PUTNAM UTILITIES GROWTH AND INCOME | 0.00 | 1.38 | 0.00 | 1.38 | 88.0 | 1.21 |
| | ACCOUNT #: LSR011082 | BUY 1 Units @0.0000 | | | | | | |



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| OVERRIDE TRANSACTIONS (continued) | | | | | | | | |
| BROKER: KURT GRUENEWALD (continued) | | | | | | | | |
| 04/23/2018 | ***-**-861I - SANGER, LAWRENCE | PUTNAM UTILITIES GROWTH AND INCOME | 0.00 | 1.40 | 0.00 | 1.40 | 88.0 | 1.23 |
| | ACCOUNT #: LSR011095 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-02IN - BUSHEY, MELISSA | PUTNAM UTILITIES GROWTH AND INCOME | 0.00 | 0.48 | 0.00 | 0.48 | 88.0 | 0.42 |
| | ACCOUNT #: LSR011257 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-22IO - CLINTON, STEPHEN | PUTNAM 746792100 | 0.00 | 0.68 | 0.00 | 0.68 | 88.0 | 0.60 |
| | ACCOUNT #: LSR011684 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-15IN - PENDRAK, JOHN | PUTNAM ABSOLUTE RETURN 700 CL B | 0.00 | 2.35 | 0.00 | 2.35 | 88.0 | 2.07 |
| | ACCOUNT #: LSR010948 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-169I - EVANS, PAUL | PUTNAM ABSOLUTE RETURN 700 CL B | 0.00 | 1.21 | 0.00 | 1.21 | 88.0 | 1.06 |
| | ACCOUNT #: LSR011026 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-62IR - ROBBIANO, FBO | PUTNAM ABSOLUTE RETURN 700 CL B | 0.00 | 0.71 | 0.00 | 0.71 | 88.0 | 0.62 |
| | ACCOUNT #: LSR011195 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-52IO - EUSEPI, SUSAN | PUTNAM ABSOLUTE RETURN 700 CL B | 0.00 | 1.12 | 0.00 | 1.12 | 88.0 | 0.99 |
| | ACCOUNT #: LSR011219 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-62IN - EATON, DAVID | PUTNAM ABSOLUTE RETURN 700 CL B | 0.00 | 0.98 | 0.00 | 0.98 | 88.0 | 0.86 |
| | ACCOUNT #: LSR011315 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-51IN - GERACE, JOANNE | PUTNAM ABSOLUTE RETURN 700 CL B | 0.00 | 1.10 | 0.00 | 1.10 | 88.0 | 0.97 |
| | ACCOUNT #: LSR011538 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-235I - AUGUSTINE III, | PUTNAM ABSOLUTE RETURN 700 CL C | 0.00 | 4.33 | 0.00 | 4.33 | 88.0 | 3.81 |
| | ACCOUNT #: LSR010845 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-382I - SATTERLY, NEIL | PUTNAM ABSOLUTE RETURN 700 CL C | 0.00 | 14.58 | 0.00 | 14.58 | 88.0 | 12.83 |
| | ACCOUNT #: LSR010867 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-48IO - CLARK, PATRICK | PUTNAM ABSOLUTE RETURN 700 CL C | 0.00 | 9.33 | 0.00 | 9.33 | 88.0 | 8.21 |
| | ACCOUNT #: LSR010911 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-72IN - GAVALO, JULIE | PUTNAM ABSOLUTE RETURN 700 CL C | 0.00 | 9.26 | 0.00 | 9.26 | 88.0 | 8.15 |
| | ACCOUNT #: LSR010921 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-065I - LAZIO, THOMAS | PUTNAM ABSOLUTE RETURN 700 CL C | 0.00 | 7.23 | 0.00 | 7.23 | 88.0 | 6.36 |
| | ACCOUNT #: LSR010979 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-09IO - BATES, FBO MRS | PUTNAM ABSOLUTE RETURN 700 CL C | 0.00 | 9.07 | 0.00 | 9.07 | 88.0 | 7.98 |
| | ACCOUNT #: LSR011117 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-11IO - LYNN G. | PUTNAM ABSOLUTE RETURN 700 CL C | 0.00 | 13.73 | 0.00 | 13.73 | 88.0 | 12.08 |
| | ACCOUNT #: LSR011239 | BUY 1 Units @0.0000 | | | | | | |



COMMISSION STATEMENT

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| OVERRIDE TRANSACTIONS (continued) | | | | | | | | |
| <u>BROKER: KURT GRUENEWALD (continued)</u> | | | | | | | | |
| 04/23/2018 | ***-**-80IO - EVANS, RICHARD | PUTNAM ABSOLUTE RETURN 700 CL C | 0.00 | 7.69 | 0.00 | 7.69 | 88.0 | 6.77 |
| | ACCOUNT #: LSR011276 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-45IO - JOHNSON, GREGORY | PUTNAM ABSOLUTE RETURN 700 CL C | 0.00 | 9.19 | 0.00 | 9.19 | 88.0 | 8.09 |
| | ACCOUNT #: LSR011421 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-628I - SANGER, SANDRA | PUTNAM ABSOLUTE RETURN 700-A | 0.00 | 0.76 | 0.00 | 0.76 | 88.0 | 0.67 |
| | ACCOUNT #: LSR010942 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-944O - MAYO, DEBORAH | PUTNAM ABSOLUTE RETURN 700-A | 0.00 | 1.78 | 0.00 | 1.78 | 88.0 | 1.57 |
| | ACCOUNT #: LSR011035 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-63TR - EVANS, AUDREY J | PUTNAM ABSOLUTE RETURN 700-A | 0.00 | 2.31 | 0.00 | 2.31 | 88.0 | 2.03 |
| | ACCOUNT #: LSR011036 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-579I - RHYMESTINE, | PUTNAM ABSOLUTE RETURN 700-A | 0.00 | 0.84 | 0.00 | 0.84 | 88.0 | 0.74 |
| | ACCOUNT #: LSR011082 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-861I - SANGER, LAWRENCE | PUTNAM ABSOLUTE RETURN 700-A | 0.00 | 1.34 | 0.00 | 1.34 | 88.0 | 1.18 |
| | ACCOUNT #: LSR011095 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-02IN - BUSHEY, MELISSA | PUTNAM ABSOLUTE RETURN 700-A | 0.00 | 0.38 | 0.00 | 0.38 | 88.0 | 0.33 |
| | ACCOUNT #: LSR011257 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-653J - KOCHER, CLINTON | PUTNAM ABSOLUTE RETURN 700-A | 0.00 | 0.77 | 0.00 | 0.77 | 88.0 | 0.68 |
| | ACCOUNT #: LSR011298 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-22IO - CLINTON, STEPHEN | PUTNAM ABSOLUTE RETURN 700-A | 0.00 | 0.69 | 0.00 | 0.69 | 88.0 | 0.61 |
| | ACCOUNT #: LSR011684 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-22IO - CLINTON, STEPHEN | PUTNAM AMERICAN GOVERNMENT INCOME F | 0.00 | 0.64 | 0.00 | 0.64 | 88.0 | 0.56 |
| | ACCOUNT #: LSR011684 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-31IO - HARTZ, CLAUDIA | PUTNAM ASSET ALLOC BALANCED-C | 0.00 | 4.77 | 0.00 | 4.77 | 88.0 | 4.20 |
| | ACCOUNT #: LSR010915 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-31IO - HARTZ, CLAUDIA | PUTNAM CAPITAL SPECTRUM FD CL B | 0.00 | 0.68 | 0.00 | 0.68 | 88.0 | 0.60 |
| | ACCOUNT #: LSR010915 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-930I - SANGER, KEVIN | PUTNAM CAPITAL SPECTRUM FD CL B | 0.00 | 0.95 | 0.00 | 0.95 | 88.0 | 0.84 |
| | ACCOUNT #: LSR010941 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-366S - GRUENEWALD, | PUTNAM CAPITAL SPECTRUM FD CL B | 0.00 | 0.82 | 0.00 | 0.82 | 88.0 | 0.72 |
| | ACCOUNT #: LSR010990 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-51IO - CAIN, TIMOTHY | PUTNAM CAPITAL SPECTRUM FD CL B | 0.00 | 1.57 | 0.00 | 1.57 | 88.0 | 1.38 |
| | ACCOUNT #: LSR011007 | BUY 1 Units @0.0000 | | | | | | |



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| OVERRIDE TRANSACTIONS (continued) | | | | | | | | |
| <u>BROKER: KURT GRUENEWALD (continued)</u> | | | | | | | | |
| 04/23/2018 | ***-**-579I - RHYMESTINE, ACCOUNT #: LSR011082 | PUTNAM CAPITAL SPECTRUM FD CL B BUY 1 Units @0.0000 | 0.00 | 1.43 | 0.00 | 1.43 | 88.0 | 1.26 |
| 04/23/2018 | ***-**-73UT - COBB, CHRISTIAN ACCOUNT #: LSR011104 | PUTNAM CAPITAL SPECTRUM FD CL B BUY 1 Units @0.0000 | 0.00 | 1.56 | 0.00 | 1.56 | 88.0 | 1.37 |
| 04/23/2018 | ***-**-67UT - COBB, ACCOUNT #: LSR011105 | PUTNAM CAPITAL SPECTRUM FD CL B BUY 1 Units @0.0000 | 0.00 | 1.56 | 0.00 | 1.56 | 88.0 | 1.37 |
| 04/23/2018 | ***-**-992J - CORNACCHIA ACCOUNT #: LSR011157 | PUTNAM CAPITAL SPECTRUM FD CL B BUY 1 Units @0.0000 | 0.00 | 0.48 | 0.00 | 0.48 | 88.0 | 0.42 |
| 04/23/2018 | ***-**-66IO - RUDD, MICHAEL ACCOUNT #: LSR011268 | PUTNAM CAPITAL SPECTRUM FD CL B BUY 1 Units @0.0000 | 0.00 | 0.16 | 0.00 | 0.16 | 88.0 | 0.14 |
| 04/23/2018 | ***-**-21IO - RADELL, SANDRA ACCOUNT #: LSR011392 | PUTNAM CAPITAL SPECTRUM FD CL B BUY 1 Units @0.0000 | 0.00 | 1.57 | 0.00 | 1.57 | 88.0 | 1.38 |
| 04/23/2018 | ***-**-22IO - CLINTON, STEPHEN ACCOUNT #: LSR011684 | PUTNAM CAPITAL SPECTRUM FUND CL A BUY 1 Units @0.0000 | 0.00 | 0.77 | 0.00 | 0.77 | 88.0 | 0.68 |
| 04/23/2018 | ***-**-382I - SATTERLY, NEIL ACCOUNT #: LSR010867 | PUTNAM CAPITAL SPECTRUM FUND CL C BUY 1 Units @0.0000 | 0.00 | 7.57 | 0.00 | 7.57 | 88.0 | 6.66 |
| 04/23/2018 | ***-**-980I - ACEE, ELIZABETH ACCOUNT #: LSR010885 | PUTNAM CAPITAL SPECTRUM FUND CL C BUY 1 Units @0.0000 | 0.00 | 12.05 | 0.00 | 12.05 | 88.0 | 10.60 |
| 04/23/2018 | ***-**-44IO - MAYO, DEBORAH ACCOUNT #: LSR011079 | PUTNAM CAPITAL SPECTRUM FUND CL C BUY 1 Units @0.0000 | 0.00 | 8.08 | 0.00 | 8.08 | 88.0 | 7.11 |
| 04/23/2018 | ***-**-09IO - BATES, FBO MRS ACCOUNT #: LSR011117 | PUTNAM CAPITAL SPECTRUM FUND CL C BUY 1 Units @0.0000 | 0.00 | 17.25 | 0.00 | 17.25 | 88.0 | 15.18 |
| 04/23/2018 | ***-**-094I - KATRENA L ACCOUNT #: LSR011188 | PUTNAM CAPITAL SPECTRUM FUND CL C BUY 1 Units @0.0000 | 0.00 | 6.77 | 0.00 | 6.77 | 88.0 | 5.96 |
| 04/23/2018 | ***-**-11IO - LYNN G. ACCOUNT #: LSR011239 | PUTNAM CAPITAL SPECTRUM FUND CL C BUY 1 Units @0.0000 | 0.00 | 16.41 | 0.00 | 16.41 | 88.0 | 14.44 |
| 04/23/2018 | ***-**-45IO - JOHNSON, GREGORY ACCOUNT #: LSR011421 | PUTNAM CAPITAL SPECTRUM FUND CL C BUY 1 Units @0.0000 | 0.00 | 12.47 | 0.00 | 12.47 | 88.0 | 10.97 |
| 04/23/2018 | ***-**-235I - AUGUSTINE III, ACCOUNT #: LSR010845 | PUTNAM COMP BUY 1 Units @0.0000 | 0.00 | 5.78 | 0.00 | 5.78 | 88.0 | 5.09 |
| 04/23/2018 | ***-**-881I - EBERLEY, SUSAN ACCOUNT #: LSR010858 | PUTNAM COMP BUY 1 Units @0.0000 | 0.00 | 4.94 | 0.00 | 4.94 | 88.0 | 4.35 |



COMMISSION STATEMENT

April 23, 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 |
|--|--------------------------------|---------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| OVERRIDE TRANSACTIONS (continued) | | | | | | | | |
| <u>BROKER: KURT GRUENEWALD (continued)</u> | | | | | | | | |
| 04/23/2018 | ***-**-48IO - CLARK, PATRICK | PUTNAM COMP | 0.00 | 7.93 | 0.00 | 7.93 | 88.0 | 6.98 |
| | ACCOUNT #: LSR010911 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-72IN - GAVALO, JULIE | PUTNAM COMP | 0.00 | 6.83 | 0.00 | 6.83 | 88.0 | 6.01 |
| | ACCOUNT #: LSR010921 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-959J - FRANZ, PAUL | PUTNAM COMP | 0.00 | 10.30 | 0.00 | 10.30 | 88.0 | 9.06 |
| | ACCOUNT #: LSR010958 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-065I - LAZIO, THOMAS | PUTNAM COMP | 0.00 | 5.87 | 0.00 | 5.87 | 88.0 | 5.17 |
| | ACCOUNT #: LSR010979 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-420T - DEMETRI, AMELIA | PUTNAM COMP | 0.00 | 5.24 | 0.00 | 5.24 | 88.0 | 4.61 |
| | ACCOUNT #: LSR010994 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-169I - EVANS, PAUL | PUTNAM COMP | 0.00 | 4.20 | 0.00 | 4.20 | 88.0 | 3.70 |
| | ACCOUNT #: LSR011026 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-80IN - COBB, JAMES | PUTNAM COMP | 0.00 | 7.58 | 0.00 | 7.58 | 88.0 | 6.67 |
| | ACCOUNT #: LSR011042 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-00IO - LEE, GARY | PUTNAM COMP | 0.00 | 9.31 | 0.00 | 9.31 | 88.0 | 8.19 |
| | ACCOUNT #: LSR011059 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-09IO - BATES, FBO MRS | PUTNAM COMP | 0.00 | 9.31 | 0.00 | 9.31 | 88.0 | 8.19 |
| | ACCOUNT #: LSR011117 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-89IN - LEE, ROGER | PUTNAM COMP | 0.00 | 5.22 | 0.00 | 5.22 | 88.0 | 4.59 |
| | ACCOUNT #: LSR011166 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-094I - KATRENA L | PUTNAM COMP | 0.00 | 7.30 | 0.00 | 7.30 | 88.0 | 6.42 |
| | ACCOUNT #: LSR011188 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-11IO - LYNN G. | PUTNAM COMP | 0.00 | 9.64 | 0.00 | 9.64 | 88.0 | 8.48 |
| | ACCOUNT #: LSR011239 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-80IO - EVANS, RICHARD | PUTNAM COMP | 0.00 | 4.76 | 0.00 | 4.76 | 88.0 | 4.19 |
| | ACCOUNT #: LSR011276 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-376I - BERBEN, GAIL | PUTNAM COMP | 0.00 | 9.40 | 0.00 | 9.40 | 88.0 | 8.27 |
| | ACCOUNT #: LSR011380 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-45IO - JOHNSON, GREGORY | PUTNAM COMP | 0.00 | 14.65 | 0.00 | 14.65 | 88.0 | 12.89 |
| | ACCOUNT #: LSR011421 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-14IO - BUSHEY, MATTHEW | PUTNAM COMP | 0.00 | 9.49 | 0.00 | 9.49 | 88.0 | 8.35 |
| | ACCOUNT #: LSR011498 | BUY 1 Units @0.0000 | | | | | | |



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| OVERRIDE TRANSACTIONS (continued) | | | | | | | | |
| <u>BROKER: KURT GRUENEWALD (continued)</u> | | | | | | | | |
| 04/23/2018 | ***-**-37IO - MCCLUSKY, MARK | PUTNAM COMP | 0.00 | 6.99 | 0.00 | 6.99 | 88.0 | 6.15 |
| | ACCOUNT #: LSR011579 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-86IN - LEE, KEVIN | PUTNAM COMP | 0.00 | 7.91 | 0.00 | 7.91 | 88.0 | 6.96 |
| | ACCOUNT #: LSR011613 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-51IO - SCALISE, MARY | PUTNAM COMP | 0.00 | 0.81 | 0.00 | 0.81 | 88.0 | 0.71 |
| | ACCOUNT #: LSR011837 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-949I - ACEE, JOSPEH | PUTNAM CONV INCOME-GROWTH-B | 0.00 | 2.30 | 0.00 | 2.30 | 88.0 | 2.02 |
| | ACCOUNT #: LSR010908 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-31IO - HARTZ, CLAUDIA | PUTNAM CONV INCOME-GROWTH-B | 0.00 | 0.68 | 0.00 | 0.68 | 88.0 | 0.60 |
| | ACCOUNT #: LSR010915 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-567I - FRANZ, ALICE | PUTNAM CONV INCOME-GROWTH-B | 0.00 | 2.98 | 0.00 | 2.98 | 88.0 | 2.62 |
| | ACCOUNT #: LSR010960 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-366S - GRUENEWALD, | PUTNAM CONV INCOME-GROWTH-B | 0.00 | 0.81 | 0.00 | 0.81 | 88.0 | 0.71 |
| | ACCOUNT #: LSR010990 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-580X - COBB, JAMES | PUTNAM CONV INCOME-GROWTH-B | 0.00 | 1.63 | 0.00 | 1.63 | 88.0 | 1.43 |
| | ACCOUNT #: LSR011040 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-579I - RHYMESTINE, | PUTNAM CONV INCOME-GROWTH-B | 0.00 | 1.13 | 0.00 | 1.13 | 88.0 | 0.99 |
| | ACCOUNT #: LSR011082 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-506J - CURRIERE JR, MR | PUTNAM CONV INCOME-GROWTH-B | 0.00 | 1.07 | 0.00 | 1.07 | 88.0 | 0.94 |
| | ACCOUNT #: LSR011121 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-48IO - ANACKER, FBO MRS | PUTNAM CONV INCOME-GROWTH-B | 0.00 | 1.19 | 0.00 | 1.19 | 88.0 | 1.05 |
| | ACCOUNT #: LSR011164 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-64IO - PFAFF, GEORGE | PUTNAM CONV INCOME-GROWTH-B | 0.00 | 1.41 | 0.00 | 1.41 | 88.0 | 1.24 |
| | ACCOUNT #: LSR011185 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-62IR - ROBBIANO, FBO | PUTNAM CONV INCOME-GROWTH-B | 0.00 | 0.72 | 0.00 | 0.72 | 88.0 | 0.63 |
| | ACCOUNT #: LSR011195 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-653I - KOCHEM, CLINTON | PUTNAM CONV INCOME-GROWTH-B | 0.00 | 2.54 | 0.00 | 2.54 | 88.0 | 2.24 |
| | ACCOUNT #: LSR011300 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-00IO - LEE, GARY | PUTNAM CONVERTIBLE SECURITIES CL C | 0.00 | 14.15 | 0.00 | 14.15 | 88.0 | 12.45 |
| | ACCOUNT #: LSR011059 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-11IO - LYNN G. | PUTNAM CONVERTIBLE SECURITIES CL C | 0.00 | 17.77 | 0.00 | 17.77 | 88.0 | 15.64 |
| | ACCOUNT #: LSR011239 | BUY 1 Units @0.0000 | | | | | | |



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| OVERRIDE TRANSACTIONS (continued) | | | | | | | | |
| <u>BROKER: KURT GRUENEWALD (continued)</u> | | | | | | | | |
| 04/23/2018 | ***-**-1320 - EVANS, THOMAS | PUTNAM DIVERSIFIED INCOME CLASS C | 0.00 | 7.53 | 0.00 | 7.53 | 88.0 | 6.63 |
| | ACCOUNT #: LSR011074 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-1110 - LYNN G. | PUTNAM DIVERSIFIED INCOME CLASS C | 0.00 | 14.75 | 0.00 | 14.75 | 88.0 | 12.98 |
| | ACCOUNT #: LSR011239 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-881J - EBERLEY, SUSAN | PUTNAM DIVERSIFIED INCOME-B | 0.00 | 2.28 | 0.00 | 2.28 | 88.0 | 2.01 |
| | ACCOUNT #: LSR010856 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-949I - ACEE, JOSPEH | PUTNAM DIVERSIFIED INCOME-B | 0.00 | 0.88 | 0.00 | 0.88 | 88.0 | 0.77 |
| | ACCOUNT #: LSR010908 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-3110 - HARTZ, CLAUDIA | PUTNAM DIVERSIFIED INCOME-B | 0.00 | 0.67 | 0.00 | 0.67 | 88.0 | 0.59 |
| | ACCOUNT #: LSR010915 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-702I - KOCHEM, MICHAEL | PUTNAM DIVERSIFIED INCOME-B | 0.00 | 1.91 | 0.00 | 1.91 | 88.0 | 1.68 |
| | ACCOUNT #: LSR010954 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-960J - MASTRANGELO, | PUTNAM DIVERSIFIED INCOME-B | 0.00 | 2.08 | 0.00 | 2.08 | 88.0 | 1.83 |
| | ACCOUNT #: LSR010966 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-5110 - CAIN, TIMOTHY | PUTNAM DIVERSIFIED INCOME-B | 0.00 | 1.29 | 0.00 | 1.29 | 88.0 | 1.14 |
| | ACCOUNT #: LSR011007 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-761I - EVANS, DOLORES | PUTNAM DIVERSIFIED INCOME-B | 0.00 | 11.13 | 0.00 | 11.13 | 88.0 | 9.79 |
| | ACCOUNT #: LSR011024 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-63TR - EVANS, AUDREY J | PUTNAM DIVERSIFIED INCOME-B | 0.00 | 2.58 | 0.00 | 2.58 | 88.0 | 2.27 |
| | ACCOUNT #: LSR011036 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-579I - RHYMESTINE, | PUTNAM DIVERSIFIED INCOME-B | 0.00 | 1.20 | 0.00 | 1.20 | 88.0 | 1.06 |
| | ACCOUNT #: LSR011082 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-861I - SANGER, LAWRENCE | PUTNAM DIVERSIFIED INCOME-B | 0.00 | 1.53 | 0.00 | 1.53 | 88.0 | 1.35 |
| | ACCOUNT #: LSR011095 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-3110 - WILLIAMSON, FBO | PUTNAM DIVERSIFIED INCOME-B | 0.00 | 6.51 | 0.00 | 6.51 | 88.0 | 5.73 |
| | ACCOUNT #: LSR011172 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-680I - HARRELL, DARYL | PUTNAM DIVERSIFIED INCOME-B | 0.00 | 0.70 | 0.00 | 0.70 | 88.0 | 0.62 |
| | ACCOUNT #: LSR011321 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-960J - MASTRANGELO, | PUTNAM EQUITY INCOME FUND-B | 0.00 | 2.55 | 0.00 | 2.55 | 88.0 | 2.24 |
| | ACCOUNT #: LSR010966 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-664J - PFAFF, GEORGE | PUTNAM EQUITY INCOME FUND-B | 0.00 | 2.53 | 0.00 | 2.53 | 88.0 | 2.23 |
| | ACCOUNT #: LSR011184 | BUY 1 Units @0.0000 | | | | | | |



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| OVERRIDE TRANSACTIONS (continued) | | | | | | | | |
| <u>BROKER: KURT GRUENEWALD (continued)</u> | | | | | | | | |
| 04/23/2018 | ***-**-169I - EVANS, PAUL ACCOUNT #: LSR011026 | PUTNAM EQUITY SPECTRUM FD CL B BUY 1 Units @0.0000 | 0.00 | 0.97 | 0.00 | 0.97 | 88.0 | 0.85 |
| 04/23/2018 | ***-**-881J - EBERLEY, SUSAN ACCOUNT #: LSR010856 | PUTNAM EQUITY SPECTRUM FD CL C BUY 1 Units @0.0000 | 0.00 | 11.27 | 0.00 | 11.27 | 88.0 | 9.92 |
| 04/23/2018 | ***-**-48IO - CLARK, PATRICK ACCOUNT #: LSR010911 | PUTNAM EQUITY SPECTRUM FD CL C BUY 1 Units @0.0000 | 0.00 | 24.03 | 0.00 | 24.03 | 88.0 | 21.15 |
| 04/23/2018 | ***-**-031O - MCVOY, ROBERT ACCOUNT #: LSR010916 | PUTNAM EQUITY SPECTRUM FD CL C BUY 1 Units @0.0000 | 0.00 | 8.42 | 0.00 | 8.42 | 88.0 | 7.41 |
| 04/23/2018 | ***-**-72IN - GAVALO, JULIE ACCOUNT #: LSR010921 | PUTNAM EQUITY SPECTRUM FD CL C BUY 1 Units @0.0000 | 0.00 | 15.86 | 0.00 | 15.86 | 88.0 | 13.96 |
| 04/23/2018 | ***-**-959I - FRANZ, PAUL ACCOUNT #: LSR010959 | PUTNAM EQUITY SPECTRUM FD CL C BUY 1 Units @0.0000 | 0.00 | 9.78 | 0.00 | 9.78 | 88.0 | 8.61 |
| 04/23/2018 | ***-**-065I - LAZIO, THOMAS ACCOUNT #: LSR010979 | PUTNAM EQUITY SPECTRUM FD CL C BUY 1 Units @0.0000 | 0.00 | 6.45 | 0.00 | 6.45 | 88.0 | 5.68 |
| 04/23/2018 | ***-**-73TR - WESTCOTT IRRVOC ACCOUNT #: LSR011001 | PUTNAM EQUITY SPECTRUM FD CL C BUY 1 Units @0.0000 | 0.00 | 6.83 | 0.00 | 6.83 | 88.0 | 6.01 |
| 04/23/2018 | ***-**-80IN - COBB, JAMES ACCOUNT #: LSR011042 | PUTNAM EQUITY SPECTRUM FD CL C BUY 1 Units @0.0000 | 0.00 | 7.93 | 0.00 | 7.93 | 88.0 | 6.98 |
| 04/23/2018 | ***-**-44IO - MAYO, DEBORAH ACCOUNT #: LSR011079 | PUTNAM EQUITY SPECTRUM FD CL C BUY 1 Units @0.0000 | 0.00 | 8.08 | 0.00 | 8.08 | 88.0 | 7.11 |
| 04/23/2018 | ***-**-09IO - BATES, FBO MRS ACCOUNT #: LSR011117 | PUTNAM EQUITY SPECTRUM FD CL C BUY 1 Units @0.0000 | 0.00 | 8.43 | 0.00 | 8.43 | 88.0 | 7.42 |
| 04/23/2018 | ***-**-89IN - LEE, ROGER ACCOUNT #: LSR011166 | PUTNAM EQUITY SPECTRUM FD CL C BUY 1 Units @0.0000 | 0.00 | 11.94 | 0.00 | 11.94 | 88.0 | 10.51 |
| 04/23/2018 | ***-**-473J - HUSTON, ACCOUNT #: LSR011228 | PUTNAM EQUITY SPECTRUM FD CL C BUY 1 Units @0.0000 | 0.00 | 9.08 | 0.00 | 9.08 | 88.0 | 7.99 |
| 04/23/2018 | ***-**-11IO - LYNN G. ACCOUNT #: LSR011239 | PUTNAM EQUITY SPECTRUM FD CL C BUY 1 Units @0.0000 | 0.00 | 10.29 | 0.00 | 10.29 | 88.0 | 9.06 |
| 04/23/2018 | ***-**-80IO - EVANS, RICHARD ACCOUNT #: LSR011276 | PUTNAM EQUITY SPECTRUM FD CL C BUY 1 Units @0.0000 | 0.00 | 8.82 | 0.00 | 8.82 | 88.0 | 7.76 |
| 04/23/2018 | ***-**-07IO - FAMOLARO, JAMES ACCOUNT #: LSR011280 | PUTNAM EQUITY SPECTRUM FD CL C BUY 1 Units @0.0000 | 0.00 | 5.46 | 0.00 | 5.46 | 88.0 | 4.80 |



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| OVERRIDE TRANSACTIONS (continued) | | | | | | | | |
| <u>BROKER: KURT GRUENEWALD (continued)</u> | | | | | | | | |
| 04/23/2018 | ***-**-094I - KATRENA L ACCOUNT #: LSR011188 | PUTNAM EUROPE EQUITY CLASS C BUY 1 Units @0.0000 | 0.00 | 4.51 | 0.00 | 4.51 | 88.0 | 3.97 |
| 04/23/2018 | ***-**-808J - GORMAN, RANDY ACCOUNT #: LSR011087 | PUTNAM GLOBAL CONSUMER FD A BUY 1 Units @0.0000 | 0.00 | 0.30 | 0.00 | 0.30 | 88.0 | 0.26 |
| 04/23/2018 | ***-**-949I - ACEE, JOSPEH ACCOUNT #: LSR010908 | PUTNAM GLOBAL CONSUMER FUND CL B BUY 1 Units @0.0000 | 0.00 | 2.05 | 0.00 | 2.05 | 88.0 | 1.80 |
| 04/23/2018 | ***-**-31IO - HARTZ, CLAUDIA ACCOUNT #: LSR010915 | PUTNAM GLOBAL CONSUMER FUND CL B BUY 1 Units @0.0000 | 0.00 | 0.50 | 0.00 | 0.50 | 88.0 | 0.44 |
| 04/23/2018 | ***-**-567I - FRANZ, ALICE ACCOUNT #: LSR010960 | PUTNAM GLOBAL CONSUMER FUND CL B BUY 1 Units @0.0000 | 0.00 | 3.41 | 0.00 | 3.41 | 88.0 | 3.00 |
| 04/23/2018 | ***-**-366I - GRUENEWALD, ACCOUNT #: LSR010989 | PUTNAM GLOBAL CONSUMER FUND CL B BUY 1 Units @0.0000 | 0.00 | 1.10 | 0.00 | 1.10 | 88.0 | 0.97 |
| 04/23/2018 | ***-**-51IO - CAIN, TIMOTHY ACCOUNT #: LSR011007 | PUTNAM GLOBAL CONSUMER FUND CL B BUY 1 Units @0.0000 | 0.00 | 1.39 | 0.00 | 1.39 | 88.0 | 1.22 |
| 04/23/2018 | ***-**-761I - EVANS, DOLORES ACCOUNT #: LSR011024 | PUTNAM GLOBAL CONSUMER FUND CL B BUY 1 Units @0.0000 | 0.00 | 2.03 | 0.00 | 2.03 | 88.0 | 1.79 |
| 04/23/2018 | ***-**-944O - MAYO, DEBORAH ACCOUNT #: LSR011035 | PUTNAM GLOBAL CONSUMER FUND CL B BUY 1 Units @0.0000 | 0.00 | 1.09 | 0.00 | 1.09 | 88.0 | 0.96 |
| 04/23/2018 | ***-**-63TR - EVANS, AUDREY J ACCOUNT #: LSR011036 | PUTNAM GLOBAL CONSUMER FUND CL B BUY 1 Units @0.0000 | 0.00 | 1.58 | 0.00 | 1.58 | 88.0 | 1.39 |
| 04/23/2018 | ***-**-306X - COBB, CHERRYL ACCOUNT #: LSR011037 | PUTNAM GLOBAL CONSUMER FUND CL B BUY 1 Units @0.0000 | 0.00 | 1.27 | 0.00 | 1.27 | 88.0 | 1.12 |
| 04/23/2018 | ***-**-579J - RHYMESTINE, ACCOUNT #: LSR011081 | PUTNAM GLOBAL CONSUMER FUND CL B BUY 1 Units @0.0000 | 0.00 | 1.24 | 0.00 | 1.24 | 88.0 | 1.09 |
| 04/23/2018 | ***-**-326I - GRANDE, FBO MR ACCOUNT #: LSR011091 | PUTNAM GLOBAL CONSUMER FUND CL B BUY 1 Units @0.0000 | 0.00 | 1.35 | 0.00 | 1.35 | 88.0 | 1.19 |
| 04/23/2018 | ***-**-506J - CURRIERE JR, MR ACCOUNT #: LSR011121 | PUTNAM GLOBAL CONSUMER FUND CL B BUY 1 Units @0.0000 | 0.00 | 1.52 | 0.00 | 1.52 | 88.0 | 1.34 |
| 04/23/2018 | ***-**-367J - WAGNER, MRS LANT ACCOUNT #: LSR011134 | PUTNAM GLOBAL CONSUMER FUND CL B BUY 1 Units @0.0000 | 0.00 | 2.23 | 0.00 | 2.23 | 88.0 | 1.96 |
| 04/23/2018 | ***-**-48IO - ANACKER, FBO MRS ACCOUNT #: LSR011164 | PUTNAM GLOBAL CONSUMER FUND CL B BUY 1 Units @0.0000 | 0.00 | 1.95 | 0.00 | 1.95 | 88.0 | 1.72 |



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| OVERRIDE TRANSACTIONS (continued) | | | | | | | | |
| <u>BROKER: KURT GRUENEWALD (continued)</u> | | | | | | | | |
| 04/23/2018 | ***-**-64IO - PFAFF, GEORGE ACCOUNT #: LSR011185 | PUTNAM GLOBAL CONSUMER FUND CL B BUY 1 Units @0.0000 | 0.00 | 1.25 | 0.00 | 1.25 | 88.0 | 1.10 |
| 04/23/2018 | ***-**-62IR - ROBBIANO, FBO ACCOUNT #: LSR011195 | PUTNAM GLOBAL CONSUMER FUND CL B BUY 1 Units @0.0000 | 0.00 | 1.24 | 0.00 | 1.24 | 88.0 | 1.09 |
| 04/23/2018 | ***-**-66IO - RUDD, MICHAEL ACCOUNT #: LSR011268 | PUTNAM GLOBAL CONSUMER FUND CL B BUY 1 Units @0.0000 | 0.00 | 0.06 | 0.00 | 0.06 | 88.0 | 0.05 |
| 04/23/2018 | ***-**-653I - KOCHER, CLINTON ACCOUNT #: LSR011300 | PUTNAM GLOBAL CONSUMER FUND CL B BUY 1 Units @0.0000 | 0.00 | 3.49 | 0.00 | 3.49 | 88.0 | 3.07 |
| 04/23/2018 | ***-**-680I - HARRELL, DARYL ACCOUNT #: LSR011321 | PUTNAM GLOBAL CONSUMER FUND CL B BUY 1 Units @0.0000 | 0.00 | 1.65 | 0.00 | 1.65 | 88.0 | 1.45 |
| 04/23/2018 | ***-**-21IO - RADELL, SANDRA ACCOUNT #: LSR011392 | PUTNAM GLOBAL CONSUMER FUND CL B BUY 1 Units @0.0000 | 0.00 | 1.28 | 0.00 | 1.28 | 88.0 | 1.13 |
| 04/23/2018 | ***-**-12IR - GRUENEWALD, ACCOUNT #: LSR011614 | PUTNAM GLOBAL CONSUMER FUND CL B BUY 1 Units @0.0000 | 0.00 | 0.66 | 0.00 | 0.66 | 88.0 | 0.58 |
| 04/23/2018 | ***-**-03IO - MASTRANGELO, ACCOUNT #: LSR011679 | PUTNAM GLOBAL CONSUMER FUND CL B BUY 1 Units @0.0000 | 0.00 | 2.03 | 0.00 | 2.03 | 88.0 | 1.79 |
| 04/23/2018 | ***-**-45IN - WILLIAMSON, ACCOUNT #: LSR011751 | PUTNAM GLOBAL CONSUMER FUND CL B BUY 1 Units @0.0000 | 0.00 | 0.83 | 0.00 | 0.83 | 88.0 | 0.73 |
| 04/13/2018 | ***-**-188I - BRADLEY, WAYNE ACCOUNT #: LSR012484 | PUTNAM GLOBAL CONSUMER FUND CL C BUY 363 Units @20.6400 | 7,500.00 | 75.00 | 0.00 | 75.00 | 88.0 | 66.00 |
| 04/23/2018 | ***-**-065I - LAZIO, THOMAS ACCOUNT #: LSR010979 | PUTNAM GLOBAL CONSUMER FUND CL C BUY 1 Units @0.0000 | 0.00 | 5.23 | 0.00 | 5.23 | 88.0 | 4.60 |
| 04/23/2018 | ***-**-44IO - MAYO, DEBORAH ACCOUNT #: LSR011079 | PUTNAM GLOBAL CONSUMER FUND CL C BUY 1 Units @0.0000 | 0.00 | 12.55 | 0.00 | 12.55 | 88.0 | 11.04 |
| 04/23/2018 | ***-**-89IN - LEE, ROGER ACCOUNT #: LSR011166 | PUTNAM GLOBAL CONSUMER FUND CL C BUY 1 Units @0.0000 | 0.00 | 7.72 | 0.00 | 7.72 | 88.0 | 6.79 |
| 04/23/2018 | ***-**-11IO - LYNN G. ACCOUNT #: LSR011239 | PUTNAM GLOBAL CONSUMER FUND CL C BUY 1 Units @0.0000 | 0.00 | 10.53 | 0.00 | 10.53 | 88.0 | 9.27 |
| 04/23/2018 | ***-**-37IO - MCCLUSKY, MARK ACCOUNT #: LSR011579 | PUTNAM GLOBAL CONSUMER FUND CL C BUY 1 Units @0.0000 | 0.00 | 7.46 | 0.00 | 7.46 | 88.0 | 6.56 |
| 04/23/2018 | ***-**-51IO - SCALISE, MARY ACCOUNT #: LSR011837 | PUTNAM GLOBAL CONSUMER FUND CL C BUY 1 Units @0.0000 | 0.00 | 0.11 | 0.00 | 0.11 | 88.0 | 0.10 |



COMMISSION STATEMENT

April 23, 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 |
|--|--------------------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| OVERRIDE TRANSACTIONS (continued) | | | | | | | | |
| <u>BROKER: KURT GRUENEWALD (continued)</u> | | | | | | | | |
| 04/23/2018 | ***-**-702I - KOCHER, MICHAEL | PUTNAM GLOBAL HEALTH CARE FD-A | 0.00 | 1.43 | 0.00 | 1.43 | 88.0 | 1.26 |
| | ACCOUNT #: LSR010954 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-22IO - CLINTON, STEPHEN | PUTNAM GLOBAL HEALTH CARE FD-A | 0.00 | 1.00 | 0.00 | 1.00 | 88.0 | 0.88 |
| | ACCOUNT #: LSR011684 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-579I - RHYMESTINE, | PUTNAM GLOBAL NAT RESOURCES-A | 0.00 | 1.17 | 0.00 | 1.17 | 88.0 | 1.03 |
| | ACCOUNT #: LSR011082 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-680I - HARRELL, DARYL | PUTNAM GLOBAL NAT RESOURCES-A | 0.00 | 0.12 | 0.00 | 0.12 | 88.0 | 0.11 |
| | ACCOUNT #: LSR011321 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-31IO - HARTZ, CLAUDIA | PUTNAM GLOBAL NAT RESOURCES-B | 0.00 | 0.89 | 0.00 | 0.89 | 88.0 | 0.78 |
| | ACCOUNT #: LSR010915 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-567I - FRANZ, ALICE | PUTNAM GLOBAL NAT RESOURCES-B | 0.00 | 0.70 | 0.00 | 0.70 | 88.0 | 0.62 |
| | ACCOUNT #: LSR010960 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-664J - PFAFF, GEORGE | PUTNAM GLOBAL NAT RESOURCES-B | 0.00 | 0.62 | 0.00 | 0.62 | 88.0 | 0.55 |
| | ACCOUNT #: LSR011184 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-63TR - EVANS, AUDREY J | PUTNAM GLOBAL SECTOR FUND CL A | 0.00 | 2.71 | 0.00 | 2.71 | 88.0 | 2.38 |
| | ACCOUNT #: LSR011036 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-567I - FRANZ, ALICE | PUTNAM GLOBAL TECHNOLOGY CL B | 0.00 | 2.23 | 0.00 | 2.23 | 88.0 | 1.96 |
| | ACCOUNT #: LSR010960 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-944O - MAYO, DEBORAH | PUTNAM GLOBAL TECHNOLOGY CL B | 0.00 | 0.98 | 0.00 | 0.98 | 88.0 | 0.86 |
| | ACCOUNT #: LSR011035 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-63TR - EVANS, AUDREY J | PUTNAM GLOBAL TELECOMMUNICATIONS B | 0.00 | 2.51 | 0.00 | 2.51 | 88.0 | 2.21 |
| | ACCOUNT #: LSR011036 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-62IR - ROBBIANO, FBO | PUTNAM GLOBAL TELECOMMUNICATIONS B | 0.00 | 0.61 | 0.00 | 0.61 | 88.0 | 0.54 |
| | ACCOUNT #: LSR011195 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-382I - SATTERLY, NEIL | PUTNAM GLOBAL UTILITIES CL C | 0.00 | 5.31 | 0.00 | 5.31 | 88.0 | 4.67 |
| | ACCOUNT #: LSR010867 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-881I - EBERLEY, SUSAN | PUTNAM GROWTH OPPORTUNITIES FUND CL | 0.00 | 9.52 | 0.00 | 9.52 | 88.0 | 8.38 |
| | ACCOUNT #: LSR010858 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-382I - SATTERLY, NEIL | PUTNAM GROWTH OPPORTUNITIES FUND CL | 0.00 | 10.07 | 0.00 | 10.07 | 88.0 | 8.86 |
| | ACCOUNT #: LSR010867 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-420T - DEMETRI, AMELIA | PUTNAM GROWTH OPPORTUNITIES FUND CL | 0.00 | 9.91 | 0.00 | 9.91 | 88.0 | 8.72 |
| | ACCOUNT #: LSR010994 | BUY 1 Units @0.0000 | | | | | | |



COMMISSION STATEMENT

April 23, 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 |
|--|--|--|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| OVERRIDE TRANSACTIONS (continued) | | | | | | | | |
| <u>BROKER: KURT GRUENEWALD (continued)</u> | | | | | | | | |
| 04/23/2018 | ***-**-169I - EVANS, PAUL ACCOUNT #: LSR011026 | PUTNAM GROWTH OPPORTUNITIES FUND CL BUY 1 Units @0.0000 | 0.00 | 6.75 | 0.00 | 6.75 | 88.0 | 5.94 |
| 04/23/2018 | ***-**-80IN - COBB, JAMES ACCOUNT #: LSR011042 | PUTNAM GROWTH OPPORTUNITIES FUND CL BUY 1 Units @0.0000 | 0.00 | 8.61 | 0.00 | 8.61 | 88.0 | 7.58 |
| 04/23/2018 | ***-**-14IO - BUSHEY, MATTHEW ACCOUNT #: LSR011498 | PUTNAM GROWTH OPPORTUNITIES FUND CL BUY 1 Units @0.0000 | 0.00 | 9.32 | 0.00 | 9.32 | 88.0 | 8.20 |
| 04/23/2018 | ***-**-51IO - CAIN, TIMOTHY ACCOUNT #: LSR011007 | PUTNAM GROWTH OPPORTUNITIES FUND CL BUY 1 Units @0.0000 | 0.00 | 2.53 | 0.00 | 2.53 | 88.0 | 2.23 |
| 04/23/2018 | ***-**-653I - KOCHER, CLINTON ACCOUNT #: LSR011300 | PUTNAM GROWTH OPPORTUNITIES FUND CL BUY 1 Units @0.0000 | 0.00 | 3.02 | 0.00 | 3.02 | 88.0 | 2.66 |
| 04/23/2018 | ***-**-13IO - ROTH, KAREN ACCOUNT #: LSR011484 | PUTNAM GROWTH OPPORTUNITIES FUND CL BUY 1 Units @0.0000 | 0.00 | 1.57 | 0.00 | 1.57 | 88.0 | 1.38 |
| 04/23/2018 | ***-**-31IO - HARTZ, CLAUDIA ACCOUNT #: LSR010915 | PUTNAM HEALTH SCIENCES TR-B BUY 1 Units @0.0000 | 0.00 | 0.90 | 0.00 | 0.90 | 88.0 | 0.79 |
| 04/23/2018 | ***-**-930I - SANGER, KEVIN ACCOUNT #: LSR010941 | PUTNAM HEALTH SCIENCES TR-B BUY 1 Units @0.0000 | 0.00 | 0.70 | 0.00 | 0.70 | 88.0 | 0.62 |
| 04/23/2018 | ***-**-567I - FRANZ, ALICE ACCOUNT #: LSR010960 | PUTNAM HEALTH SCIENCES TR-B BUY 1 Units @0.0000 | 0.00 | 2.53 | 0.00 | 2.53 | 88.0 | 2.23 |
| 04/23/2018 | ***-**-960J - MASTRANGELO, ACCOUNT #: LSR010966 | PUTNAM HEALTH SCIENCES TR-B BUY 1 Units @0.0000 | 0.00 | 1.29 | 0.00 | 1.29 | 88.0 | 1.14 |
| 04/23/2018 | ***-**-761I - EVANS, DOLORES ACCOUNT #: LSR011024 | PUTNAM HEALTH SCIENCES TR-B BUY 1 Units @0.0000 | 0.00 | 2.09 | 0.00 | 2.09 | 88.0 | 1.84 |
| 04/23/2018 | ***-**-944O - MAYO, DEBORAH ACCOUNT #: LSR011035 | PUTNAM HEALTH SCIENCES TR-B BUY 1 Units @0.0000 | 0.00 | 1.74 | 0.00 | 1.74 | 88.0 | 1.53 |
| 04/23/2018 | ***-**-579I - RHYMESTINE, ACCOUNT #: LSR011082 | PUTNAM HEALTH SCIENCES TR-B BUY 1 Units @0.0000 | 0.00 | 2.28 | 0.00 | 2.28 | 88.0 | 2.01 |
| 04/23/2018 | ***-**-326I - GRANDE, FBO MR ACCOUNT #: LSR011091 | PUTNAM HEALTH SCIENCES TR-B BUY 1 Units @0.0000 | 0.00 | 1.39 | 0.00 | 1.39 | 88.0 | 1.22 |
| 04/23/2018 | ***-**-48IO - ANACKER, FBO MRS ACCOUNT #: LSR011164 | PUTNAM HEALTH SCIENCES TR-B BUY 1 Units @0.0000 | 0.00 | 2.16 | 0.00 | 2.16 | 88.0 | 1.90 |
| 04/23/2018 | ***-**-664J - PFAFF, GEORGE ACCOUNT #: LSR011184 | PUTNAM HEALTH SCIENCES TR-B BUY 1 Units @0.0000 | 0.00 | 2.13 | 0.00 | 2.13 | 88.0 | 1.87 |



COMMISSION STATEMENT

April 23, 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 |
|--|--------------------------------|-----------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| OVERRIDE TRANSACTIONS (continued) | | | | | | | | |
| <u>BROKER: KURT GRUENEWALD (continued)</u> | | | | | | | | |
| 04/23/2018 | ***-**-64IO - PFAFF, GEORGE | PUTNAM HEALTH SCIENCES TR-B | 0.00 | 0.84 | 0.00 | 0.84 | 88.0 | 0.74 |
| | ACCOUNT #: LSR011185 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-62IR - ROBBIANO, FBO | PUTNAM HEALTH SCIENCES TR-B | 0.00 | 0.93 | 0.00 | 0.93 | 88.0 | 0.82 |
| | ACCOUNT #: LSR011195 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-52IO - EUSEPI, SUSAN | PUTNAM HEALTH SCIENCES TR-B | 0.00 | 1.11 | 0.00 | 1.11 | 88.0 | 0.98 |
| | ACCOUNT #: LSR011219 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-480J - EVANS, RICHARD | PUTNAM HEALTH SCIENCES TR-B | 0.00 | 1.06 | 0.00 | 1.06 | 88.0 | 0.93 |
| | ACCOUNT #: LSR011274 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-653I - KOCHER, CLINTON | PUTNAM HEALTH SCIENCES TR-B | 0.00 | 3.11 | 0.00 | 3.11 | 88.0 | 2.74 |
| | ACCOUNT #: LSR011300 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-21IO - RADELL, SANDRA | PUTNAM HEALTH SCIENCES TR-B | 0.00 | 1.81 | 0.00 | 1.81 | 88.0 | 1.59 |
| | ACCOUNT #: LSR011392 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-197I - GAMBINO, ANDREW | PUTNAM HEALTH SCIENCES TR-B | 0.00 | 0.20 | 0.00 | 0.20 | 88.0 | 0.18 |
| | ACCOUNT #: LSR011465 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-53IN - EVANS, ANDREW | PUTNAM HEALTH SCIENCES TR-B | 0.00 | 0.52 | 0.00 | 0.52 | 88.0 | 0.46 |
| | ACCOUNT #: LSR011483 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-13IO - ROTH, KAREN | PUTNAM HEALTH SCIENCES TR-B | 0.00 | 1.46 | 0.00 | 1.46 | 88.0 | 1.28 |
| | ACCOUNT #: LSR011484 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-38IO - BROWN, TYLER | PUTNAM HEALTH SCIENCES TR-B | 0.00 | 0.81 | 0.00 | 0.81 | 88.0 | 0.71 |
| | ACCOUNT #: LSR011602 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-12IR - GRUENEWALD, | PUTNAM HEALTH SCIENCES TR-B | 0.00 | 0.70 | 0.00 | 0.70 | 88.0 | 0.62 |
| | ACCOUNT #: LSR011614 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-03IO - MASTRANGELO, | PUTNAM HEALTH SCIENCES TR-B | 0.00 | 1.25 | 0.00 | 1.25 | 88.0 | 1.10 |
| | ACCOUNT #: LSR011679 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-45IN - WILLIAMSON, | PUTNAM HEALTH SCIENCES TR-B | 0.00 | 0.70 | 0.00 | 0.70 | 88.0 | 0.62 |
| | ACCOUNT #: LSR011751 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-22IO - CLINTON, STEPHEN | PUTNAM INTL GROWTH & INC-A | 0.00 | 1.13 | 0.00 | 1.13 | 88.0 | 0.99 |
| | ACCOUNT #: LSR011684 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-382K - SATTERLY, NEIL | PUTNAM INVESTORS CLASS C | 0.00 | 4.53 | 0.00 | 4.53 | 88.0 | 3.99 |
| | ACCOUNT #: LSR010875 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-653J - KOCHER, CLINTON | PUTNAM INVESTORS CLASS C | 0.00 | 4.53 | 0.00 | 4.53 | 88.0 | 3.99 |
| | ACCOUNT #: LSR011298 | BUY 1 Units @0.0000 | | | | | | |



COMMISSION STATEMENT

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BROKER #: A76
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| DATE | CLIENT | INVESTMENT | INVESTMENT AMOUNT | GROSS COMMISSION | CLEARING CHARGE | NET COMMISSION | RATE | BROKER COMMISSION |
|--|--------------------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| OVERRIDE TRANSACTIONS (continued) | | | | | | | | |
| <u>BROKER: KURT GRUENEWALD (continued)</u> | | | | | | | | |
| 04/23/2018 | ***-**-22IO - CLINTON, STEPHEN | PUTNAM SMALL CAP VALUE FUND-A | 0.00 | 1.39 | 0.00 | 1.39 | 88.0 | 1.22 |
| | ACCOUNT #: LSR011684 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-63TR - EVANS, AUDREY J | PUTNAM U.S. GOVT INCOME TR-B | 0.00 | 0.91 | 0.00 | 0.91 | 88.0 | 0.80 |
| | ACCOUNT #: LSR011036 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-254I - AUGUSTINE, LINDA | PUTNAM UTILITIES GR & INC-B | 0.00 | 1.08 | 0.00 | 1.08 | 88.0 | 0.95 |
| | ACCOUNT #: LSR010846 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-881J - EBERLEY, SUSAN | PUTNAM UTILITIES GR & INC-B | 0.00 | 1.53 | 0.00 | 1.53 | 88.0 | 1.35 |
| | ACCOUNT #: LSR010856 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-949I - ACEE, JOSPEH | PUTNAM UTILITIES GR & INC-B | 0.00 | 0.69 | 0.00 | 0.69 | 88.0 | 0.61 |
| | ACCOUNT #: LSR010908 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-31IO - HARTZ, CLAUDIA | PUTNAM UTILITIES GR & INC-B | 0.00 | 0.51 | 0.00 | 0.51 | 88.0 | 0.45 |
| | ACCOUNT #: LSR010915 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-930I - SANGER, KEVIN | PUTNAM UTILITIES GR & INC-B | 0.00 | 0.96 | 0.00 | 0.96 | 88.0 | 0.84 |
| | ACCOUNT #: LSR010941 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-15IN - PENDRAK, JOHN | PUTNAM UTILITIES GR & INC-B | 0.00 | 2.11 | 0.00 | 2.11 | 88.0 | 1.86 |
| | ACCOUNT #: LSR010948 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-959I - FRANZ, PAUL | PUTNAM UTILITIES GR & INC-B | 0.00 | 1.68 | 0.00 | 1.68 | 88.0 | 1.48 |
| | ACCOUNT #: LSR010959 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-960J - MASTRANGELO, | PUTNAM UTILITIES GR & INC-B | 0.00 | 2.06 | 0.00 | 2.06 | 88.0 | 1.81 |
| | ACCOUNT #: LSR010966 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-51IO - CAIN, TIMOTHY | PUTNAM UTILITIES GR & INC-B | 0.00 | 1.14 | 0.00 | 1.14 | 88.0 | 1.00 |
| | ACCOUNT #: LSR011007 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-761I - EVANS, DOLORES | PUTNAM UTILITIES GR & INC-B | 0.00 | 1.31 | 0.00 | 1.31 | 88.0 | 1.15 |
| | ACCOUNT #: LSR011024 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-96IN - NESSIA, BONNIE | PUTNAM UTILITIES GR & INC-B | 0.00 | 0.39 | 0.00 | 0.39 | 88.0 | 0.34 |
| | ACCOUNT #: LSR011055 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-31IO - WILLIAMSON, FBO | PUTNAM UTILITIES GR & INC-B | 0.00 | 1.89 | 0.00 | 1.89 | 88.0 | 1.66 |
| | ACCOUNT #: LSR011172 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-714O - LINES, JUDITH | QUEST BALANCED FUND C | 0.00 | 0.60 | 0.00 | 0.60 | 88.0 | 0.53 |
| | ACCOUNT #: LSR011763 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-680I - HARRELL, DARYL | QUEST INTERNATIONAL VALUE FUND, INC | 0.00 | 0.69 | 0.00 | 0.69 | 88.0 | 0.61 |
| | ACCOUNT #: LSR011321 | BUY 1 Units @0.0000 | | | | | | |



COMMISSION STATEMENT

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DAVID GRIFFITH
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BROKER #: A76
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| DATE | CLIENT | INVESTMENT | INVESTMENT AMOUNT | GROSS COMMISSION | CLEARING CHARGE | NET COMMISSION | RATE | BROKER COMMISSION |
|--|--------------------------------|---------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| OVERRIDE TRANSACTIONS (continued) | | | | | | | | |
| <u>BROKER: KURT GRUENEWALD (continued)</u> | | | | | | | | |
| 04/23/2018 | ***-**-15IN - PENDRAK, JOHN | QUEST OPPORTUNITY VALUE A | 0.00 | 0.70 | 0.00 | 0.70 | 88.0 | 0.62 |
| | ACCOUNT #: LSR010948 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-254I - AUGUSTINE, LINDA | REAL ESTATE FUND A | 0.00 | 1.05 | 0.00 | 1.05 | 88.0 | 0.92 |
| | ACCOUNT #: LSR010846 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-881J - EBERLEY, SUSAN | REAL ESTATE FUND A | 0.00 | 1.00 | 0.00 | 1.00 | 88.0 | 0.88 |
| | ACCOUNT #: LSR010856 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-15IN - PENDRAK, JOHN | REAL ESTATE FUND A | 0.00 | 0.79 | 0.00 | 0.79 | 88.0 | 0.70 |
| | ACCOUNT #: LSR010948 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-702I - KOCHER, MICHAEL | REAL ESTATE FUND A | 0.00 | 0.92 | 0.00 | 0.92 | 88.0 | 0.81 |
| | ACCOUNT #: LSR010954 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-51IO - CAIN, TIMOTHY | REAL ESTATE FUND A | 0.00 | 1.08 | 0.00 | 1.08 | 88.0 | 0.95 |
| | ACCOUNT #: LSR011007 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-761I - EVANS, DOLORES | REAL ESTATE FUND A | 0.00 | 2.71 | 0.00 | 2.71 | 88.0 | 2.38 |
| | ACCOUNT #: LSR011024 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-944O - MAYO, DEBORAH | REAL ESTATE FUND A | 0.00 | 0.57 | 0.00 | 0.57 | 88.0 | 0.50 |
| | ACCOUNT #: LSR011035 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-111J - NESSIA, JAMES | REAL ESTATE FUND A | 0.00 | 0.94 | 0.00 | 0.94 | 88.0 | 0.83 |
| | ACCOUNT #: LSR011054 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-326I - GRANDE, FBO MR | REAL ESTATE FUND A | 0.00 | 1.03 | 0.00 | 1.03 | 88.0 | 0.91 |
| | ACCOUNT #: LSR011091 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-861I - SANGER, LAWRENCE | REAL ESTATE FUND A | 0.00 | 1.32 | 0.00 | 1.32 | 88.0 | 1.16 |
| | ACCOUNT #: LSR011095 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-367J - WAGNER, MRS LANT | REAL ESTATE FUND A | 0.00 | 1.19 | 0.00 | 1.19 | 88.0 | 1.05 |
| | ACCOUNT #: LSR011134 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-31IO - WILLIAMSON, FBO | REAL ESTATE FUND A | 0.00 | 1.52 | 0.00 | 1.52 | 88.0 | 1.34 |
| | ACCOUNT #: LSR011172 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-62IN - EATON, DAVID | REAL ESTATE FUND A | 0.00 | 0.57 | 0.00 | 0.57 | 88.0 | 0.50 |
| | ACCOUNT #: LSR011315 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-949I - ACEE, JOSPEH | REAL ESTATE FUND B | 0.00 | 1.24 | 0.00 | 1.24 | 88.0 | 1.09 |
| | ACCOUNT #: LSR010908 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-567I - FRANZ, ALICE | REAL ESTATE FUND B | 0.00 | 1.93 | 0.00 | 1.93 | 88.0 | 1.70 |
| | ACCOUNT #: LSR010960 | BUY 1 Units @0.0000 | | | | | | |



COMMISSION STATEMENT

April 23, 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 |
|---|--------------------------------|---------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| OVERRIDE TRANSACTIONS (continued) | | | | | | | | |
| BROKER: KURT GRUENEWALD (continued) | | | | | | | | |
| 04/23/2018 | ***-**-506J - CURRIERE JR, MR | REAL ESTATE FUND B | 0.00 | 0.47 | 0.00 | 0.47 | 88.0 | 0.41 |
| | ACCOUNT #: LSR011121 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-48IO - ANACKER, FBO MRS | REAL ESTATE FUND B | 0.00 | 1.42 | 0.00 | 1.42 | 88.0 | 1.25 |
| | ACCOUNT #: LSR011164 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-664J - PFAFF, GEORGE | REAL ESTATE FUND B | 0.00 | 1.35 | 0.00 | 1.35 | 88.0 | 1.19 |
| | ACCOUNT #: LSR011184 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-64IO - PFAFF, GEORGE | REAL ESTATE FUND B | 0.00 | 1.44 | 0.00 | 1.44 | 88.0 | 1.27 |
| | ACCOUNT #: LSR011185 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-62IR - ROBBIANO, FBO | REAL ESTATE FUND B | 0.00 | 0.42 | 0.00 | 0.42 | 88.0 | 0.37 |
| | ACCOUNT #: LSR011195 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-653I - KOCHER, CLINTON | REAL ESTATE FUND B | 0.00 | 1.37 | 0.00 | 1.37 | 88.0 | 1.21 |
| | ACCOUNT #: LSR011300 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-382I - SATTERLY, NEIL | REAL ESTATE FUND C | 0.00 | 9.58 | 0.00 | 9.58 | 88.0 | 8.43 |
| | ACCOUNT #: LSR010867 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-48IO - CLARK, PATRICK | REAL ESTATE FUND C | 0.00 | 7.12 | 0.00 | 7.12 | 88.0 | 6.27 |
| | ACCOUNT #: LSR010911 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-72IN - GAVALO, JULIE | REAL ESTATE FUND C | 0.00 | 7.71 | 0.00 | 7.71 | 88.0 | 6.78 |
| | ACCOUNT #: LSR010921 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-065I - LAZIO, THOMAS | REAL ESTATE FUND C | 0.00 | 5.70 | 0.00 | 5.70 | 88.0 | 5.02 |
| | ACCOUNT #: LSR010979 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-73TR - WESTCOTT IRRVOC | REAL ESTATE FUND C | 0.00 | 7.54 | 0.00 | 7.54 | 88.0 | 6.64 |
| | ACCOUNT #: LSR011001 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-73TR - WESTCOTT IRRVOC | REAL ESTATE FUND C | 0.00 | 2.03 | 0.00 | 2.03 | 88.0 | 1.79 |
| | ACCOUNT #: LSR011008 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-00IO - LEE, GARY | REAL ESTATE FUND C | 0.00 | 9.20 | 0.00 | 9.20 | 88.0 | 8.10 |
| | ACCOUNT #: LSR011059 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-52IO - EUSEPI, SUSAN | REAL ESTATE FUND C | 0.00 | 4.38 | 0.00 | 4.38 | 88.0 | 3.85 |
| | ACCOUNT #: LSR011219 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-11IO - LYNN G. | REAL ESTATE FUND C | 0.00 | 11.97 | 0.00 | 11.97 | 88.0 | 10.53 |
| | ACCOUNT #: LSR011239 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-80IO - EVANS, RICHARD | REAL ESTATE FUND C | 0.00 | 3.78 | 0.00 | 3.78 | 88.0 | 3.33 |
| | ACCOUNT #: LSR011276 | BUY 1 Units @0.0000 | | | | | | |



COMMISSION STATEMENT

April 23, 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 |
|---|--------------------------------|-----------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| OVERRIDE TRANSACTIONS (continued) | | | | | | | | |
| BROKER: KURT GRUENEWALD (continued) | | | | | | | | |
| 04/23/2018 | ***-**-45IO - JOHNSON, GREGORY | REAL ESTATE FUND C | 0.00 | 6.48 | 0.00 | 6.48 | 88.0 | 5.70 |
| | ACCOUNT #: LSR011421 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-714O - LINES, JUDITH | REAL ESTATE FUND C | 0.00 | 0.78 | 0.00 | 0.78 | 88.0 | 0.69 |
| | ACCOUNT #: LSR011763 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-671I - EBERLEY, REID | RESOURCE REAL ESTATE TRAILS | 0.00 | 13.08 | 0.00 | 13.08 | 88.0 | 11.51 |
| | ACCOUNT #: 20021572 | BUY 0 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-44IO - MAYO, DEBORAH | RESOURCE REAL ESTATE TRAILS | 0.00 | 8.89 | 0.00 | 8.89 | 88.0 | 7.82 |
| | ACCOUNT #: 020026000 | BUY 0 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-524I - SCALISE, JOSEPH | RESOURCE REAL ESTATE TRAILS | 0.00 | 0.53 | 0.00 | 0.53 | 88.0 | 0.47 |
| | | BUY 0 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-15IN - PENDRAK, JOHN | RESOURCE REAL ESTATE TRAILS | 0.00 | 1.68 | 0.00 | 1.68 | 88.0 | 1.48 |
| | | BUY 0 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-31IN - WARMUTH, | RESOURCE REAL ESTATE TRAILS | 0.00 | 4.25 | 0.00 | 4.25 | 88.0 | 3.74 |
| | | BUY 0 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-65IN - LAZIO, THOMAS | RESOURCE REAL ESTATE TRAILS | 0.00 | 17.23 | 0.00 | 17.23 | 88.0 | 15.16 |
| | ACCOUNT #: 20010459 | BUY 0 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-31IO - HARTZ, CLAUDIA | RESOURCE REAL ESTATE-NFS | 0.00 | 5.66 | 0.00 | 5.66 | 88.0 | 4.98 |
| | ACCOUNT #: LSR010915 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-72IN - GAVALO, JULIE | RESOURCE REAL ESTATE-NFS | 0.00 | 3.76 | 0.00 | 3.76 | 88.0 | 3.31 |
| | ACCOUNT #: LSR010921 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-930I - SANGER, KEVIN | RESOURCE REAL ESTATE-NFS | 0.00 | 12.50 | 0.00 | 12.50 | 88.0 | 11.00 |
| | ACCOUNT #: LSR010941 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-628I - SANGER, SANDRA | RESOURCE REAL ESTATE-NFS | 0.00 | 5.34 | 0.00 | 5.34 | 88.0 | 4.70 |
| | ACCOUNT #: LSR010942 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-567I - FRANZ, ALICE | RESOURCE REAL ESTATE-NFS | 0.00 | 6.24 | 0.00 | 6.24 | 88.0 | 5.49 |
| | ACCOUNT #: LSR010960 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-761I - EVANS, DOLORES | RESOURCE REAL ESTATE-NFS | 0.00 | 6.55 | 0.00 | 6.55 | 88.0 | 5.76 |
| | ACCOUNT #: LSR011024 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-63TR - EVANS, AUDREY J | RESOURCE REAL ESTATE-NFS | 0.00 | 11.25 | 0.00 | 11.25 | 88.0 | 9.90 |
| | ACCOUNT #: LSR011036 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-44IO - MAYO, DEBORAH | RESOURCE REAL ESTATE-NFS | 0.00 | 24.43 | 0.00 | 24.43 | 88.0 | 21.50 |
| | ACCOUNT #: LSR011079 | BUY 1 Units @0.0000 | | | | | | |



COMMISSION STATEMENT

April 23, 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 |
|--|--------------------------------|--------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| OVERRIDE TRANSACTIONS (continued) | | | | | | | | |
| <u>BROKER: KURT GRUENEWALD (continued)</u> | | | | | | | | |
| 04/23/2018 | ***-**-861I - SANGER, LAWRENCE | RESOURCE REAL ESTATE-NFS | 0.00 | 7.49 | 0.00 | 7.49 | 88.0 | 6.59 |
| | ACCOUNT #: LSR011095 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-89IN - LEE, ROGER | RESOURCE REAL ESTATE-NFS | 0.00 | 14.03 | 0.00 | 14.03 | 88.0 | 12.35 |
| | ACCOUNT #: LSR011166 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-29IO - MASSOUD, | RESOURCE REAL ESTATE-NFS | 0.00 | 6.22 | 0.00 | 6.22 | 88.0 | 5.47 |
| | ACCOUNT #: LSR011217 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-473J - HUSTON, | RESOURCE REAL ESTATE-NFS | 0.00 | 6.24 | 0.00 | 6.24 | 88.0 | 5.49 |
| | ACCOUNT #: LSR011228 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-653I - KOCHER, CLINTON | RESOURCE REAL ESTATE-NFS | 0.00 | 6.22 | 0.00 | 6.22 | 88.0 | 5.47 |
| | ACCOUNT #: LSR011300 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-37IO - MCCLUSKY, MARK | RESOURCE REAL ESTATE-NFS | 0.00 | 3.14 | 0.00 | 3.14 | 88.0 | 2.76 |
| | ACCOUNT #: LSR011579 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-86IN - LEE, KEVIN | RESOURCE REAL ESTATE-NFS | 0.00 | 6.19 | 0.00 | 6.19 | 88.0 | 5.45 |
| | ACCOUNT #: LSR011613 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-531J - WILLIAMSON, | RESOURCE REAL ESTATE-NFS | 0.00 | 12.43 | 0.00 | 12.43 | 88.0 | 10.94 |
| | ACCOUNT #: LSR011716 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-633J - | RESOURCE REAL ESTATE-NFS | 0.00 | 1.85 | 0.00 | 1.85 | 88.0 | 1.63 |
| | ACCOUNT #: LSR011732 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-714O - LINES, JUDITH | RESOURCE REAL ESTATE-NFS | 0.00 | 4.93 | 0.00 | 4.93 | 88.0 | 4.34 |
| | ACCOUNT #: LSR011763 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-31IO - HARTZ, CLAUDIA | RESOURCE REAL ESTATE-NFS | 0.00 | 1.89 | 0.00 | 1.89 | 88.0 | 1.66 |
| | ACCOUNT #: LSR010915 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-72IN - GAVALO, JULIE | RESOURCE REAL ESTATE-NFS | 0.00 | 1.25 | 0.00 | 1.25 | 88.0 | 1.10 |
| | ACCOUNT #: LSR010921 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-930I - SANGER, KEVIN | RESOURCE REAL ESTATE-NFS | 0.00 | 4.17 | 0.00 | 4.17 | 88.0 | 3.67 |
| | ACCOUNT #: LSR010941 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-628I - SANGER, SANDRA | RESOURCE REAL ESTATE-NFS | 0.00 | 1.78 | 0.00 | 1.78 | 88.0 | 1.57 |
| | ACCOUNT #: LSR010942 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-567I - FRANZ, ALICE | RESOURCE REAL ESTATE-NFS | 0.00 | 2.08 | 0.00 | 2.08 | 88.0 | 1.83 |
| | ACCOUNT #: LSR010960 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-761I - EVANS, DOLORES | RESOURCE REAL ESTATE-NFS | 0.00 | 2.18 | 0.00 | 2.18 | 88.0 | 1.92 |
| | ACCOUNT #: LSR011024 | BUY 1 Units @0.0000 | | | | | | |



COMMISSION STATEMENT

April 23, 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 |
|--|--------------------------------|--------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| OVERRIDE TRANSACTIONS (continued) | | | | | | | | |
| <u>BROKER: KURT GRUENEWALD (continued)</u> | | | | | | | | |
| 04/23/2018 | ***-**-63TR - EVANS, AUDREY J | RESOURCE REAL ESTATE-NFS | 0.00 | 3.75 | 0.00 | 3.75 | 88.0 | 3.30 |
| | ACCOUNT #: LSR011036 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-44IO - MAYO, DEBORAH | RESOURCE REAL ESTATE-NFS | 0.00 | 8.14 | 0.00 | 8.14 | 88.0 | 7.16 |
| | ACCOUNT #: LSR011079 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-861I - SANGER, LAWRENCE | RESOURCE REAL ESTATE-NFS | 0.00 | 2.50 | 0.00 | 2.50 | 88.0 | 2.20 |
| | ACCOUNT #: LSR011095 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-89IN - LEE, ROGER | RESOURCE REAL ESTATE-NFS | 0.00 | 4.68 | 0.00 | 4.68 | 88.0 | 4.12 |
| | ACCOUNT #: LSR011166 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-29IO - MASSOUD, | RESOURCE REAL ESTATE-NFS | 0.00 | 2.07 | 0.00 | 2.07 | 88.0 | 1.82 |
| | ACCOUNT #: LSR011217 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-473J - HUSTON, | RESOURCE REAL ESTATE-NFS | 0.00 | 2.08 | 0.00 | 2.08 | 88.0 | 1.83 |
| | ACCOUNT #: LSR011228 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-653I - KOCHER, CLINTON | RESOURCE REAL ESTATE-NFS | 0.00 | 2.07 | 0.00 | 2.07 | 88.0 | 1.82 |
| | ACCOUNT #: LSR011300 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-37IO - MCCLUSKY, MARK | RESOURCE REAL ESTATE-NFS | 0.00 | 1.05 | 0.00 | 1.05 | 88.0 | 0.92 |
| | ACCOUNT #: LSR011579 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-86IN - LEE, KEVIN | RESOURCE REAL ESTATE-NFS | 0.00 | 2.06 | 0.00 | 2.06 | 88.0 | 1.81 |
| | ACCOUNT #: LSR011613 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-531J - WILLIAMSON, | RESOURCE REAL ESTATE-NFS | 0.00 | 4.14 | 0.00 | 4.14 | 88.0 | 3.64 |
| | ACCOUNT #: LSR011716 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-633J - | RESOURCE REAL ESTATE-NFS | 0.00 | 0.62 | 0.00 | 0.62 | 88.0 | 0.55 |
| | ACCOUNT #: LSR011732 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-714O - LINES, JUDITH | RESOURCE REAL ESTATE-NFS | 0.00 | 1.64 | 0.00 | 1.64 | 88.0 | 1.44 |
| | ACCOUNT #: LSR011763 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-287J - HINCKLEY, | RISING DIVIDENDS FUND A | 0.00 | 0.56 | 0.00 | 0.56 | 88.0 | 0.49 |
| | ACCOUNT #: LSR010841 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-254I - AUGUSTINE, LINDA | RISING DIVIDENDS FUND A | 0.00 | 1.56 | 0.00 | 1.56 | 88.0 | 1.37 |
| | ACCOUNT #: LSR010846 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-881I - EBERLEY, SUSAN | RISING DIVIDENDS FUND A | 0.00 | 0.91 | 0.00 | 0.91 | 88.0 | 0.80 |
| | ACCOUNT #: LSR010858 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-702I - KOCHER, MICHAEL | RISING DIVIDENDS FUND A | 0.00 | 2.35 | 0.00 | 2.35 | 88.0 | 2.07 |
| | ACCOUNT #: LSR010954 | BUY 1 Units @0.0000 | | | | | | |



COMMISSION STATEMENT

April 23, 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 |
|--|---|--|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| OVERRIDE TRANSACTIONS (continued) | | | | | | | | |
| <u>BROKER: KURT GRUENEWALD (continued)</u> | | | | | | | | |
| 04/23/2018 | ***-***-959I - FRANZ, PAUL ACCOUNT #: LSR010959 | RISING DIVIDENDS FUND A BUY 1 Units @0.0000 | 0.00 | 1.11 | 0.00 | 1.11 | 88.0 | 0.98 |
| 04/23/2018 | ***-***-366I - GRUENEWALD, ACCOUNT #: LSR010989 | RISING DIVIDENDS FUND A BUY 1 Units @0.0000 | 0.00 | 1.34 | 0.00 | 1.34 | 88.0 | 1.18 |
| 04/23/2018 | ***-***-761I - EVANS, DOLORES ACCOUNT #: LSR011024 | RISING DIVIDENDS FUND A BUY 1 Units @0.0000 | 0.00 | 8.81 | 0.00 | 8.81 | 88.0 | 7.75 |
| 04/23/2018 | ***-***-944O - MAYO, DEBORAH ACCOUNT #: LSR011035 | RISING DIVIDENDS FUND A BUY 1 Units @0.0000 | 0.00 | 1.13 | 0.00 | 1.13 | 88.0 | 0.99 |
| 04/23/2018 | ***-***-580X - COBB, JAMES ACCOUNT #: LSR011040 | RISING DIVIDENDS FUND A BUY 1 Units @0.0000 | 0.00 | 2.11 | 0.00 | 2.11 | 88.0 | 1.86 |
| 04/23/2018 | ***-***-96IN - NESSIA, BONNIE ACCOUNT #: LSR011055 | RISING DIVIDENDS FUND A BUY 1 Units @0.0000 | 0.00 | 2.36 | 0.00 | 2.36 | 88.0 | 2.08 |
| 04/23/2018 | ***-***-326I - GRANDE, FBO MR ACCOUNT #: LSR011091 | RISING DIVIDENDS FUND A BUY 1 Units @0.0000 | 0.00 | 1.97 | 0.00 | 1.97 | 88.0 | 1.73 |
| 04/23/2018 | ***-***-861I - SANGER, LAWRENCE ACCOUNT #: LSR011095 | RISING DIVIDENDS FUND A BUY 1 Units @0.0000 | 0.00 | 2.18 | 0.00 | 2.18 | 88.0 | 1.92 |
| 04/23/2018 | ***-***-13IN - RHYMESTINE, ACCOUNT #: LSR011106 | RISING DIVIDENDS FUND A BUY 1 Units @0.0000 | 0.00 | 1.14 | 0.00 | 1.14 | 88.0 | 1.00 |
| 04/23/2018 | ***-***-664J - PFAFF, GEORGE ACCOUNT #: LSR011184 | RISING DIVIDENDS FUND A BUY 1 Units @0.0000 | 0.00 | 0.82 | 0.00 | 0.82 | 88.0 | 0.72 |
| 04/23/2018 | ***-***-02IN - BUSHEY, MELISSA ACCOUNT #: LSR011257 | RISING DIVIDENDS FUND A BUY 1 Units @0.0000 | 0.00 | 0.92 | 0.00 | 0.92 | 88.0 | 0.81 |
| 04/23/2018 | ***-***-62IN - EATON, DAVID ACCOUNT #: LSR011315 | RISING DIVIDENDS FUND A BUY 1 Units @0.0000 | 0.00 | 1.25 | 0.00 | 1.25 | 88.0 | 1.10 |
| 04/23/2018 | ***-***-680I - HARRELL, DARYL ACCOUNT #: LSR011321 | RISING DIVIDENDS FUND A BUY 1 Units @0.0000 | 0.00 | 1.08 | 0.00 | 1.08 | 88.0 | 0.95 |
| 04/23/2018 | ***-***-579I - RHYMESTINE, ACCOUNT #: LSR011082 | RISING DIVIDENDS FUND, INC. B BUY 1 Units @0.0000 | 0.00 | 2.65 | 0.00 | 2.65 | 88.0 | 2.33 |
| 04/23/2018 | ***-***-96IN - NESSIA, BONNIE ACCOUNT #: LSR011055 | ROCH. LIMITED TERM NEW YORK MUNICIP BUY 1 Units @0.0000 | 0.00 | 1.25 | 0.00 | 1.25 | 88.0 | 1.10 |
| 04/23/2018 | ***-***-13IN - RHYMESTINE, ACCOUNT #: LSR011106 | ROCH. LIMITED TERM NEW YORK MUNICIP BUY 1 Units @0.0000 | 0.00 | 0.94 | 0.00 | 0.94 | 88.0 | 0.83 |



COMMISSION STATEMENT

April 23, 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 |
|---|--------------------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| OVERRIDE TRANSACTIONS (continued) | | | | | | | | |
| BROKER: KURT GRUENEWALD (continued) | | | | | | | | |
| 04/23/2018 | ***-**-02IN - BUSHEY, MELISSA | ROCH. LIMITED TERM NEW YORK MUNICIP | 0.00 | 0.37 | 0.00 | 0.37 | 88.0 | 0.33 |
| | ACCOUNT #: LSR011257 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-7140 - LINES, JUDITH | ROCH. LIMITED TERM NEW YORK MUNICIP | 0.00 | 0.72 | 0.00 | 0.72 | 88.0 | 0.63 |
| | ACCOUNT #: LSR011763 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-80IN - COBB, JAMES | ROCHESTER NATIONAL MUNICIPALS A | 0.00 | 2.59 | 0.00 | 2.59 | 88.0 | 2.28 |
| | ACCOUNT #: LSR011042 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-7140 - LINES, JUDITH | SENIOR FLOATING RATE FUND C | 0.00 | 1.22 | 0.00 | 1.22 | 88.0 | 1.07 |
| | ACCOUNT #: LSR011763 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-567I - FRANZ, ALICE | SMALL- & MID- CAP VALUE B | 0.00 | 2.35 | 0.00 | 2.35 | 88.0 | 2.07 |
| | ACCOUNT #: LSR010960 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-579I - RHYMESTINE, | SMALL- & MID- CAP VALUE B | 0.00 | 2.23 | 0.00 | 2.23 | 88.0 | 1.96 |
| | ACCOUNT #: LSR011082 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-664J - PFAFF, GEORGE | SMALL- & MID- CAP VALUE B | 0.00 | 0.72 | 0.00 | 0.72 | 88.0 | 0.63 |
| | ACCOUNT #: LSR011184 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-065I - LAZIO, THOMAS | SMALL- & MID- CAP VALUE FUND C | 0.00 | 4.72 | 0.00 | 4.72 | 88.0 | 4.15 |
| | ACCOUNT #: LSR010979 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-28IN - BYWATER, KIM | SMALL- & MID- CAP VALUE FUND C | 0.00 | 1.83 | 0.00 | 1.83 | 88.0 | 1.61 |
| | ACCOUNT #: LSR011995 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-680I - HARRELL, DARYL | SMALLCAP WORLD FUND-A | 0.00 | 0.89 | 0.00 | 0.89 | 88.0 | 0.78 |
| | ACCOUNT #: LSR011321 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-382I - SATTERLY, NEIL | SMALLCAP WORLD FUND-C | 0.00 | 8.84 | 0.00 | 8.84 | 88.0 | 7.78 |
| | ACCOUNT #: LSR010867 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-567I - FRANZ, ALICE | SMALLCAP WORLD FUND-C | 0.00 | 7.27 | 0.00 | 7.27 | 88.0 | 6.40 |
| | ACCOUNT #: LSR010960 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-44IO - MAYO, DEBORAH | SMALLCAP WORLD FUND-C | 0.00 | 12.24 | 0.00 | 12.24 | 88.0 | 10.77 |
| | ACCOUNT #: LSR011079 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-09IO - BATES, FBO MRS | SMALLCAP WORLD FUND-C | 0.00 | 11.90 | 0.00 | 11.90 | 88.0 | 10.47 |
| | ACCOUNT #: LSR011117 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-11IO - LYNN G. | SMALLCAP WORLD FUND-C | 0.00 | 12.37 | 0.00 | 12.37 | 88.0 | 10.89 |
| | ACCOUNT #: LSR011239 | BUY 1 Units @0.0000 | | | | | | |
| 04/23/2018 | ***-**-45IO - JOHNSON, GREGORY | SMALLCAP WORLD FUND-C | 0.00 | 8.10 | 0.00 | 8.10 | 88.0 | 7.13 |
| | ACCOUNT #: LSR011421 | BUY 1 Units @0.0000 | | | | | | |



COMMISSION STATEMENT

April 23, 2018

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BRANCH #01047 - 47 - GRIFFITH

| DATE | CLIENT | INVESTMENT | INVESTMENT AMOUNT | GROSS COMMISSION | CLEARING CHARGE | NET COMMISSION | RATE | BROKER COMMISSION |
|--|--|--|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| OVERRIDE TRANSACTIONS (continued) | | | | | | | | |
| <u>BROKER: KURT GRUENEWALD (continued)</u> | | | | | | | | |
| 04/23/2018 | ***-**-7140 - LINES, JUDITH ACCOUNT #: LSR011763 | STRATEGIC INCOME FUND C BUY 1 Units @0.0000 | 0.00 | 0.49 | 0.00 | 0.49 | 88.0 | 0.43 |
| 04/05/2018 | ***-**-3110 - JOSEPH, ANN | TERRA INCOME FUND 6, INC. BUY 1376 Units @10.9000 | 15,000.00 | 600.00 | 0.00 | 600.00 | 88.0 | 528.00 |
| 04/09/2018 | ***-**-480J - EVANS, RICHARD ACCOUNT #: 00073288662 | THE GROWTH FUND OF AMERICA-A BUY 2 Units @53.0500 | 125.00 | 5.31 | 0.00 | 5.31 | 88.0 | 4.67 |
| 04/23/2018 | ***-**-366I - GRUENEWALD, ACCOUNT #: LSR010989 | THE GROWTH FUND OF AMERICA-A BUY 1 Units @0.0000 | 0.00 | 1.46 | 0.00 | 1.46 | 88.0 | 1.28 |
| 04/23/2018 | ***-**-326I - GRANDE, FBO MR ACCOUNT #: LSR011091 | THE GROWTH FUND OF AMERICA-A BUY 1 Units @0.0000 | 0.00 | 2.21 | 0.00 | 2.21 | 88.0 | 1.94 |
| 04/23/2018 | ***-**-567I - FRANZ, ALICE ACCOUNT #: LSR010960 | THE GROWTH FUND OF AMERICA-C BUY 1 Units @0.0000 | 0.00 | 10.64 | 0.00 | 10.64 | 88.0 | 9.36 |
| 04/23/2018 | ***-**-287I - HINCKLEY, ACCOUNT #: LSR010843 | THE INCOME FUND OF AMERICA-A BUY 1 Units @0.0000 | 0.00 | 4.54 | 0.00 | 4.54 | 88.0 | 4.00 |
| 04/23/2018 | ***-**-702I - KOCHER, MICHAEL ACCOUNT #: LSR010954 | THE INCOME FUND OF AMERICA-A BUY 1 Units @0.0000 | 0.00 | 3.56 | 0.00 | 3.56 | 88.0 | 3.13 |
| 04/23/2018 | ***-**-959J - FRANZ, PAUL ACCOUNT #: LSR010958 | THE INCOME FUND OF AMERICA-A BUY 1 Units @0.0000 | 0.00 | 2.88 | 0.00 | 2.88 | 88.0 | 2.53 |
| 04/23/2018 | ***-**-366I - GRUENEWALD, ACCOUNT #: LSR010989 | THE INCOME FUND OF AMERICA-A BUY 1 Units @0.0000 | 0.00 | 1.77 | 0.00 | 1.77 | 88.0 | 1.56 |
| 04/23/2018 | ***-**-579J - RHYMESTINE, ACCOUNT #: LSR011081 | THE INCOME FUND OF AMERICA-A BUY 1 Units @0.0000 | 0.00 | 1.01 | 0.00 | 1.01 | 88.0 | 0.89 |
| 04/23/2018 | ***-**-326I - GRANDE, FBO MR ACCOUNT #: LSR011091 | THE INCOME FUND OF AMERICA-A BUY 1 Units @0.0000 | 0.00 | 2.33 | 0.00 | 2.33 | 88.0 | 2.05 |
| 04/23/2018 | ***-**-680I - HARRELL, DARYL ACCOUNT #: LSR011321 | THE INCOME FUND OF AMERICA-A BUY 1 Units @0.0000 | 0.00 | 1.12 | 0.00 | 1.12 | 88.0 | 0.99 |
| 04/23/2018 | ***-**-128I - BASHANT, THOMAS ACCOUNT #: LSR011387 | THE INCOME FUND OF AMERICA-A BUY 1 Units @0.0000 | 0.00 | 0.96 | 0.00 | 0.96 | 88.0 | 0.84 |
| 04/23/2018 | ***-**-30TR - AND SANDRA ACCOUNT #: LSR011939 | THE INCOME FUND OF AMERICA-A BUY 1 Units @0.0000 | 0.00 | 2.65 | 0.00 | 2.65 | 88.0 | 2.33 |
| 04/23/2018 | ***-**-80IO - EVANS, RICHARD ACCOUNT #: LSR011276 | THE NEW ECONOMY FUND-C BUY 1 Units @0.0000 | 0.00 | 11.97 | 0.00 | 11.97 | 88.0 | 10.53 |



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| DATE | CLIENT | INVESTMENT | INVESTMENT AMOUNT | GROSS COMMISSION | CLEARING CHARGE | NET COMMISSION | RATE | BROKER COMMISSION |
|--|---------------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| OVERRIDE TRANSACTIONS (continued) | | | | | | | | |
| BROKER: KURT GRUENEWALD (continued) | | | | | | | | |
| 04/23/2018 | ***-**-959J - FRANZ, PAUL | U.S. GOVERNMENT SECURITIES FUND CLA | 0.00 | 3.63 | 0.00 | 3.63 | 88.0 | 3.19 |
| | ACCOUNT #: LSR010958 | BUY 1 Units @0.0000 | | | | | | |
| | | * KURT GRUENEWALD SUBTOTAL * | \$121,449.97 | \$9,796.77 | \$0.00 | \$9,796.77 | | \$8,621.02 |
| | | *** OVERRIDE TRANSACTIONS TOTAL *** | \$121,449.97 | \$9,796.77 | \$0.00 | \$9,796.77 | | \$8,621.02 |

BROKER COMMISSION TOTALS

| | |
|-----------------------|------------|
| Broker Transactions | \$3,855.90 |
| Split Transactions | \$0.00 |
| Override Transactions | \$8,621.02 |
| 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 | \$12,476.92 |
| Year-to-date Earnings | \$90,567.77 |