



# COMMISSION STATEMENT

March 19, 2018

KURT GRUENEWALD  
2108 Genesee St.  
Utica, NY 13502

BROKER #: A77  
BRANCH #01047 - 47 - GRIFFITH

| DATE  | CLIENT   | INVESTMENT  | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|---|--|---|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u>BROKER TRANSACTIONS</u></b>                       |  |   |                      |                     |                    |                   |      |                      |
| <b><u>PRODUCT CATEGORY: ALTERNATIVE INVESTMENTS</u></b> |  |   |                      |                     |                    |                   |      |                      |
| 03/19/2018  | ***-**-14IN - LINES, JUDITH                            | TERRA INCOME FUND # 6<br>BUY 0 Units @0.0000                  | 9,500.00             | 64.45               | 0.00               | 64.45             | 0.0  | 0.00                 |
|   |  | <b>* ALTERNATIVE INVESTMENTS SUBTOTAL *</b>                   | <b>\$9,500.00</b>    | <b>\$64.45</b>      | <b>\$0.00</b>      | <b>\$64.45</b>    |      | <b>\$0.00</b>        |
| <b><u>PRODUCT CATEGORY: MUTUAL FUNDS</u></b>            |  |   |                      |                     |                    |                   |      |                      |
| 03/07/2018  | ***-**-480J - EVANS, RICHARD<br>ACCOUNT #: 00073288662 | AMERICAN BALANCED FUND-A<br>BUY 4 Units @28.5700              | 125.00               | 5.31                | 0.00               | 5.31              | 0.0  | 0.00                 |
| 03/09/2018  | ***-**-452I - ROBERTS, LILLIAN<br>ACCOUNT #: LSR012350 | AMERICAN GLOBAL BALANCED CL C<br>BUY 364 Units @32.9600       | 12,000.01            | 138.00              | 18.00              | 120.00            | 0.0  | 0.00                 |
| 03/14/2018  | ***-**-188I - BRADLEY, WAYNE<br>ACCOUNT #: LSR012484   | AMERICAN GLOBAL BALANCED CL C<br>BUY 304 Units @32.9000       | 9,999.99             | 118.00              | 18.00              | 100.00            | 0.0  | 0.00                 |
| 03/12/2018  | ***-**-31IO - JOSEPH, ANN<br>ACCOUNT #: LSR012337      | EATON VANCE FLOATING RATE ADVANTAGE<br>BUY 915 Units @10.9300 | 10,000.00            | 118.00              | 18.00              | 100.00            | 0.0  | 0.00                 |
| 03/14/2018  | ***-**-132O - EVANS, THOMAS<br>ACCOUNT #: LSR011074    | EATON VANCE FLOATING RATE ADVANTAGE<br>BUY 457 Units @10.9500 | 5,000.00             | 68.00               | 18.00              | 50.00             | 0.0  | 0.00                 |
| 03/14/2018  | ***-**-452I - ROBERTS, LILLIAN<br>ACCOUNT #: LSR012350 | EATON VANCE FLOATING RATE ADVANTAGE<br>BUY 457 Units @10.9500 | 5,000.00             | 68.00               | 18.00              | 50.00             | 0.0  | 0.00                 |
| 03/14/2018  | ***-**-188I - BRADLEY, WAYNE<br>ACCOUNT #: LSR012484   | EATON VANCE FLOATING RATE ADVANTAGE<br>BUY 457 Units @10.9500 | 5,000.00             | 68.00               | 18.00              | 50.00             | 0.0  | 0.00                 |
| 03/12/2018  | ***-**-31IO - JOSEPH, ANN<br>ACCOUNT #: LSR012337      | FUNDAMENTAL INVESTORS-C<br>BUY 155 Units @64.4800             | 10,000.01            | 118.00              | 18.00              | 100.00            | 0.0  | 0.00                 |
| 03/12/2018  | ***-**-31IO - JOSEPH, ANN<br>ACCOUNT #: LSR012337      | LORD ABBETT SHORT DURATION INCOME C<br>BUY 3538 Units @4.2400 | 15,000.00            | 168.00              | 18.00              | 150.00            | 0.0  | 0.00                 |
| 03/14/2018  | ***-**-132O - EVANS, THOMAS<br>ACCOUNT #: LSR011074    | LORD ABBETT SHORT DURATION INCOME C<br>BUY 2364 Units @4.2300 | 10,000.00            | 118.00              | 18.00              | 100.00            | 0.0  | 0.00                 |
| 03/14/2018  | ***-**-32IO - WITT, DEBORAH<br>ACCOUNT #: LSR012285    | LORD ABBETT SHORT DURATION INCOME C<br>BUY 1182 Units @4.2300 | 5,000.00             | 68.00               | 18.00              | 50.00             | 0.0  | 0.00                 |
| 03/14/2018  | ***-**-452I - ROBERTS, LILLIAN<br>ACCOUNT #: LSR012350 | LORD ABBETT SHORT DURATION INCOME C<br>BUY 1182 Units @4.2300 | 5,000.00             | 68.00               | 18.00              | 50.00             | 0.0  | 0.00                 |
| 03/14/2018  | ***-**-188I - BRADLEY, WAYNE<br>ACCOUNT #: LSR012484   | LORD ABBETT SHORT DURATION INCOME C<br>BUY 1773 Units @4.2300 | 7,500.00             | 93.00               | 18.00              | 75.00             | 0.0  | 0.00                 |
| 03/15/2018  | ***-**-37IO - DAVIDSON,<br>ACCOUNT #: LSR012268        | MFS CONSERVATIVE ALLOCATION CL C<br>SELL 42 Units @15.3300    | 650.01               | 18.00               | 18.00              | 0.00              | 0.0  | 0.00                 |



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|---|--------------------------------|--|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>            |                                |  |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUNDS (continued)</b> |                                |  |                      |                     |                    |                   |      |                      |
| 03/14/2018  | ***-**-1320 - EVANS, THOMAS    | MFS TECHNOLOGY CLASS C                 | 10,000.01            | 118.00              | 18.00              | 100.00            | 0.0  | 0.00                 |
|   | ACCOUNT #: LSR011074           | BUY 276 Units @36.2100                 |                      |                     |                    |                   |      |                      |
| 03/14/2018  | ***-**-188I - BRADLEY, WAYNE   | MFS TECHNOLOGY CLASS C                 | 4,999.99             | 68.00               | 18.00              | 50.00             | 0.0  | 0.00                 |
|   | ACCOUNT #: LSR012484           | BUY 138 Units @36.2100                 |                      |                     |                    |                   |      |                      |
| 03/15/2018  | ***-**-37IO - DAVIDSON,        | MFS TECHNOLOGY CLASS C                 | 649.99               | 18.00               | 18.00              | 0.00              | 0.0  | 0.00                 |
|   | ACCOUNT #: LSR012268           | SELL 18 Units @36.2700                 |                      |                     |                    |                   |      |                      |
| 03/09/2018  | ***-**-452I - ROBERTS, LILLIAN | MFS UTILITIES FUND-C                   | 4,999.99             | 68.00               | 18.00              | 50.00             | 0.0  | 0.00                 |
|   | ACCOUNT #: LSR012350           | BUY 257 Units @19.4500                 |                      |                     |                    |                   |      |                      |
| 03/07/2018  | ***-**-480J - EVANS, RICHARD   | THE GROWTH FUND OF AMERICA-A           | 125.00               | 5.31                | 0.00               | 5.31              | 0.0  | 0.00                 |
|   | ACCOUNT #: 00073288662         | BUY 2 Units @55.6300                   |                      |                     |                    |                   |      |                      |
| 03/16/2018  | ***-**-851I - BLAKE, JAMES     | VANGUARD TARGET RETIREMENT 2050 INV    | 11,000.00            | 18.00               | 18.00              | 0.00              | 0.0  | 0.00                 |
|   | ACCOUNT #: LSR012390           | SELL 298 Units @36.9600                |                      |                     |                    |                   |      |                      |
|   |                                | <b>* MUTUAL FUNDS SUBTOTAL *</b>       | <b>\$132,050.00</b>  | <b>\$1,529.62</b>   | <b>\$324.00</b>    | <b>\$1,205.62</b> |      | <b>\$0.00</b>        |
| <b>PRODUCT CATEGORY: STOCKS</b>                   |                                |  |                      |                     |                    |                   |      |                      |
| 03/08/2018  | ***-**-213J - GRUENEWALD,      | NRG ENERGY INC COM NEW                 | 2,968.50             | 47.64               | 17.00              | 30.64             | 0.0  | 0.00                 |
|   | ACCOUNT #: LSR011616           | BUY 100 Units @29.6850                 |                      |                     |                    |                   |      |                      |
|   |                                | <b>* STOCKS SUBTOTAL *</b>             | <b>\$2,968.50</b>    | <b>\$47.64</b>      | <b>\$17.00</b>     | <b>\$30.64</b>    |      | <b>\$0.00</b>        |
| <b>PRODUCT CATEGORY: VARIABLE ANNUITIES</b>       |                                |  |                      |                     |                    |                   |      |                      |
| 03/12/2018  | ***-**-0653 - EVANS, ANDREW    | PACIFIC LIFE SE5-NYB DTCC              | 246.69               | 3.70                | 0.00               | 3.70              | 0.0  | 0.00                 |
|   | ACCOUNT #: VP71063010          | BUY 0 Units @0.0000                    |                      |                     |                    |                   |      |                      |
| 03/12/2018  | ***-**-0653 - EVANS, ANDREW    | PACIFIC LIFE SE5-NYB DTCC              | 94.31                | 1.41                | 0.00               | 1.41              | 0.0  | 0.00                 |
|   | ACCOUNT #: VP71063010          | BUY 0 Units @0.0000                    |                      |                     |                    |                   |      |                      |
|   |                                | <b>* VARIABLE ANNUITIES SUBTOTAL *</b> | <b>\$341.00</b>      | <b>\$5.11</b>       | <b>\$0.00</b>      | <b>\$5.11</b>     |      | <b>\$0.00</b>        |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</b>  |                                |  |                      |                     |                    |                   |      |                      |
| 03/19/2018  | ***-**-680I - HARRELL, DARYL   | AMERICAN BALANCED FUND-A               | 0.00                 | 0.81                | 0.00               | 0.81              | 0.0  | 0.00                 |
|   | ACCOUNT #: LSR011321           | BUY 1 Units @0.0000                    |                      |                     |                    |                   |      |                      |
| 03/19/2018  | ***-**-30TR - AND SANDRA       | AMERICAN BALANCED FUND-A               | 0.00                 | 2.62                | 0.00               | 2.62              | 0.0  | 0.00                 |
|   | ACCOUNT #: LSR011939           | BUY 1 Units @0.0000                    |                      |                     |                    |                   |      |                      |
| 03/19/2018  | ***-**-761I - EVANS, DOLORES   | AMERICAN BALANCED FUND-C               | 0.00                 | 13.86               | 0.00               | 13.86             | 0.0  | 0.00                 |
|   | ACCOUNT #: LSR011024           | BUY 1 Units @0.0000                    |                      |                     |                    |                   |      |                      |



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|--|---|--|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |   |  |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |   |  |                      |                     |                    |                   |      |                      |
| 03/19/2018   | ***-**-094I - KATRENA L<br>ACCOUNT #: LSR011188       | AMERICAN BALANCED FUND-C<br>BUY 1 Units @0.0000          | 0.00                 | 3.50                | 0.00               | 3.50              | 0.0  | 0.00                 |
| 03/19/2018   | ***-**-52IO - EUSEPI, SUSAN<br>ACCOUNT #: LSR011219   | AMERICAN BALANCED FUND-C<br>BUY 1 Units @0.0000          | 0.00                 | 4.71                | 0.00               | 4.71              | 0.0  | 0.00                 |
| 03/19/2018   | ***-**-80IO - EVANS, RICHARD<br>ACCOUNT #: LSR011276  | AMERICAN BALANCED FUND-C<br>BUY 1 Units @0.0000          | 0.00                 | 14.06               | 0.00               | 14.06             | 0.0  | 0.00                 |
| 03/19/2018   | ***-**-881I - EBERLEY, SUSAN<br>ACCOUNT #: LSR010858  | AMERICAN FUNDS BALANCED PORT CL C<br>BUY 1 Units @0.0000 | 0.00                 | 8.00                | 0.00               | 8.00              | 0.0  | 0.00                 |
| 03/19/2018   | ***-**-382K - SATTERLY, NEIL<br>ACCOUNT #: LSR010875  | AMERICAN FUNDS BALANCED PORT CL C<br>BUY 1 Units @0.0000 | 0.00                 | 4.06                | 0.00               | 4.06              | 0.0  | 0.00                 |
| 03/19/2018   | ***-**-949I - ACEE, JOSPEH<br>ACCOUNT #: LSR010908    | AMERICAN FUNDS BALANCED PORT CL C<br>BUY 1 Units @0.0000 | 0.00                 | 3.33                | 0.00               | 3.33              | 0.0  | 0.00                 |
| 03/19/2018   | ***-**-48IO - CLARK, PATRICK<br>ACCOUNT #: LSR010911  | AMERICAN FUNDS BALANCED PORT CL C<br>BUY 1 Units @0.0000 | 0.00                 | 20.55               | 0.00               | 20.55             | 0.0  | 0.00                 |
| 03/19/2018   | ***-**-31IO - HARTZ, CLAUDIA<br>ACCOUNT #: LSR010915  | AMERICAN FUNDS BALANCED PORT CL C<br>BUY 1 Units @0.0000 | 0.00                 | 5.62                | 0.00               | 5.62              | 0.0  | 0.00                 |
| 03/19/2018   | ***-**-031O - MCVOY, ROBERT<br>ACCOUNT #: LSR010916   | AMERICAN FUNDS BALANCED PORT CL C<br>BUY 1 Units @0.0000 | 0.00                 | 4.27                | 0.00               | 4.27              | 0.0  | 0.00                 |
| 03/19/2018   | ***-**-15IN - PENDRAK, JOHN<br>ACCOUNT #: LSR010948   | AMERICAN FUNDS BALANCED PORT CL C<br>BUY 1 Units @0.0000 | 0.00                 | 10.90               | 0.00               | 10.90             | 0.0  | 0.00                 |
| 03/19/2018   | ***-**-959I - FRANZ, PAUL<br>ACCOUNT #: LSR010959     | AMERICAN FUNDS BALANCED PORT CL C<br>BUY 1 Units @0.0000 | 0.00                 | 9.59                | 0.00               | 9.59              | 0.0  | 0.00                 |
| 03/19/2018   | ***-**-567I - FRANZ, ALICE<br>ACCOUNT #: LSR010960    | AMERICAN FUNDS BALANCED PORT CL C<br>BUY 1 Units @0.0000 | 0.00                 | 6.44                | 0.00               | 6.44              | 0.0  | 0.00                 |
| 03/19/2018   | ***-**-960J - MASTRANGELO,<br>ACCOUNT #: LSR010966    | AMERICAN FUNDS BALANCED PORT CL C<br>BUY 1 Units @0.0000 | 0.00                 | 10.81               | 0.00               | 10.81             | 0.0  | 0.00                 |
| 03/19/2018   | ***-**-73TR - WESTCOTT IRRVOC<br>ACCOUNT #: LSR011001 | AMERICAN FUNDS BALANCED PORT CL C<br>BUY 1 Units @0.0000 | 0.00                 | 9.15                | 0.00               | 9.15              | 0.0  | 0.00                 |
| 03/19/2018   | ***-**-51IO - CAIN, TIMOTHY<br>ACCOUNT #: LSR011007   | AMERICAN FUNDS BALANCED PORT CL C<br>BUY 1 Units @0.0000 | 0.00                 | 10.77               | 0.00               | 10.77             | 0.0  | 0.00                 |
| 03/19/2018   | ***-**-169I - EVANS, PAUL<br>ACCOUNT #: LSR011026     | AMERICAN FUNDS BALANCED PORT CL C<br>BUY 1 Units @0.0000 | 0.00                 | 4.98                | 0.00               | 4.98              | 0.0  | 0.00                 |



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|--|-------------------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |                               |                                     |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |                               |                                     |                      |                     |                    |                   |      |                      |
| 03/19/2018   | ***-**-73UT - COBB, CHRISTIAN | AMERICAN FUNDS BALANCED PORT CL C   | 0.00                 | 4.95                | 0.00               | 4.95              | 0.0  | 0.00                 |
|  | ACCOUNT #: LSR011104          | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/19/2018   | ***-**-67UT - COBB,           | AMERICAN FUNDS BALANCED PORT CL C   | 0.00                 | 4.95                | 0.00               | 4.95              | 0.0  | 0.00                 |
|  | ACCOUNT #: LSR011105          | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/19/2018   | ***-**-13IN - RHYMESTINE,     | AMERICAN FUNDS BALANCED PORT CL C   | 0.00                 | 2.36                | 0.00               | 2.36              | 0.0  | 0.00                 |
|  | ACCOUNT #: LSR011106          | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/19/2018   | ***-**-89IN - LEE, ROGER      | AMERICAN FUNDS BALANCED PORT CL C   | 0.00                 | 6.81                | 0.00               | 6.81              | 0.0  | 0.00                 |
|  | ACCOUNT #: LSR011166          | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/19/2018   | ***-**-31IO - WILLIAMSON, FBO | AMERICAN FUNDS BALANCED PORT CL C   | 0.00                 | 14.59               | 0.00               | 14.59             | 0.0  | 0.00                 |
|  | ACCOUNT #: LSR011172          | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/19/2018   | ***-**-64IO - PFAFF, GEORGE   | AMERICAN FUNDS BALANCED PORT CL C   | 0.00                 | 4.57                | 0.00               | 4.57              | 0.0  | 0.00                 |
|  | ACCOUNT #: LSR011185          | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/19/2018   | ***-**-900J - LEE, MR.        | AMERICAN FUNDS BALANCED PORT CL C   | 0.00                 | 4.71                | 0.00               | 4.71              | 0.0  | 0.00                 |
|  | ACCOUNT #: LSR011186          | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/19/2018   | ***-**-62IR - ROBBIANO, FBO   | AMERICAN FUNDS BALANCED PORT CL C   | 0.00                 | 3.33                | 0.00               | 3.33              | 0.0  | 0.00                 |
|  | ACCOUNT #: LSR011195          | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/19/2018   | ***-**-02IN - BUSHEY, MELISSA | AMERICAN FUNDS BALANCED PORT CL C   | 0.00                 | 3.34                | 0.00               | 3.34              | 0.0  | 0.00                 |
|  | ACCOUNT #: LSR011257          | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/19/2018   | ***-**-653I - KOCHER, CLINTON | AMERICAN FUNDS BALANCED PORT CL C   | 0.00                 | 3.39                | 0.00               | 3.39              | 0.0  | 0.00                 |
|  | ACCOUNT #: LSR011300          | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/19/2018   | ***-**-702I - KOCHER, MICHAEL | AMERICAN FUNDS BLNCD PORTFOLIO CL A | 0.00                 | 3.78                | 0.00               | 3.78              | 0.0  | 0.00                 |
|  | ACCOUNT #: LSR010954          | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/19/2018   | ***-**-366I - GRUENEWALD,     | AMERICAN FUNDS BLNCD PORTFOLIO CL A | 0.00                 | 1.54                | 0.00               | 1.54              | 0.0  | 0.00                 |
|  | ACCOUNT #: LSR010989          | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/19/2018   | ***-**-579J - RHYMESTINE,     | AMERICAN FUNDS BLNCD PORTFOLIO CL A | 0.00                 | 0.74                | 0.00               | 0.74              | 0.0  | 0.00                 |
|  | ACCOUNT #: LSR011081          | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/19/2018   | ***-**-808J - GORMAN, RANDY   | AMERICAN FUNDS BLNCD PORTFOLIO CL A | 0.00                 | 0.23                | 0.00               | 0.23              | 0.0  | 0.00                 |
|  | ACCOUNT #: LSR011087          | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/19/2018   | ***-**-326I - GRANDE, FBO MR  | AMERICAN FUNDS BLNCD PORTFOLIO CL A | 0.00                 | 1.89                | 0.00               | 1.89              | 0.0  | 0.00                 |
|  | ACCOUNT #: LSR011091          | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/19/2018   | ***-**-62IR - ROBBIANO, FBO   | AMERICAN FUNDS GLBL GROWTH PORT CL  | 0.00                 | 3.11                | 0.00               | 3.11              | 0.0  | 0.00                 |
|  | ACCOUNT #: LSR011195          | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |



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|--|--|--|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |  |  |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |  |  |                      |                     |                    |                   |      |                      |
| 03/19/2018   | ***-**-87IN - HINCKLEY,<br>ACCOUNT #: LSR010834        | AMERICAN FUNDS MORTGAGE FD CL C<br>BUY 1 Units @0.0000 | 0.00                 | 5.89                | 0.00               | 5.89              | 0.0  | 0.00                 |
| 03/19/2018   | ***-**-287J - HINCKLEY,<br>ACCOUNT #: LSR010841        | AMERICAN FUNDS MORTGAGE FD CL C<br>BUY 1 Units @0.0000 | 0.00                 | 7.41                | 0.00               | 7.41              | 0.0  | 0.00                 |
| 03/19/2018   | ***-**-881I - EBERLEY, SUSAN<br>ACCOUNT #: LSR010858   | AMERICAN FUNDS MORTGAGE FD CL C<br>BUY 1 Units @0.0000 | 0.00                 | 6.62                | 0.00               | 6.62              | 0.0  | 0.00                 |
| 03/19/2018   | ***-**-382I - SATTERLY, NEIL<br>ACCOUNT #: LSR010867   | AMERICAN FUNDS MORTGAGE FD CL C<br>BUY 1 Units @0.0000 | 0.00                 | 7.71                | 0.00               | 7.71              | 0.0  | 0.00                 |
| 03/19/2018   | ***-**-980I - ACEE, ELIZABETH<br>ACCOUNT #: LSR010885  | AMERICAN FUNDS MORTGAGE FD CL C<br>BUY 1 Units @0.0000 | 0.00                 | 11.67               | 0.00               | 11.67             | 0.0  | 0.00                 |
| 03/19/2018   | ***-**-48IO - CLARK, PATRICK<br>ACCOUNT #: LSR010911   | AMERICAN FUNDS MORTGAGE FD CL C<br>BUY 1 Units @0.0000 | 0.00                 | 11.58               | 0.00               | 11.58             | 0.0  | 0.00                 |
| 03/19/2018   | ***-**-31IO - HARTZ, CLAUDIA<br>ACCOUNT #: LSR010915   | AMERICAN FUNDS MORTGAGE FD CL C<br>BUY 1 Units @0.0000 | 0.00                 | 4.47                | 0.00               | 4.47              | 0.0  | 0.00                 |
| 03/19/2018   | ***-**-72IN - GAVALO, JULIE<br>ACCOUNT #: LSR010921    | AMERICAN FUNDS MORTGAGE FD CL C<br>BUY 1 Units @0.0000 | 0.00                 | 11.64               | 0.00               | 11.64             | 0.0  | 0.00                 |
| 03/19/2018   | ***-**-959I - FRANZ, PAUL<br>ACCOUNT #: LSR010959      | AMERICAN FUNDS MORTGAGE FD CL C<br>BUY 1 Units @0.0000 | 0.00                 | 9.31                | 0.00               | 9.31              | 0.0  | 0.00                 |
| 03/19/2018   | ***-**-065I - LAZIO, THOMAS<br>ACCOUNT #: LSR010979    | AMERICAN FUNDS MORTGAGE FD CL C<br>BUY 1 Units @0.0000 | 0.00                 | 7.73                | 0.00               | 7.73              | 0.0  | 0.00                 |
| 03/19/2018   | ***-**-80IN - COBB, JAMES<br>ACCOUNT #: LSR011042      | AMERICAN FUNDS MORTGAGE FD CL C<br>BUY 1 Units @0.0000 | 0.00                 | 7.69                | 0.00               | 7.69              | 0.0  | 0.00                 |
| 03/19/2018   | ***-**-00IO - LEE, GARY<br>ACCOUNT #: LSR011059        | AMERICAN FUNDS MORTGAGE FD CL C<br>BUY 1 Units @0.0000 | 0.00                 | 7.80                | 0.00               | 7.80              | 0.0  | 0.00                 |
| 03/19/2018   | ***-**-44IO - MAYO, DEBORAH<br>ACCOUNT #: LSR011079    | AMERICAN FUNDS MORTGAGE FD CL C<br>BUY 1 Units @0.0000 | 0.00                 | 11.58               | 0.00               | 11.58             | 0.0  | 0.00                 |
| 03/19/2018   | ***-**-579J - RHYMESTINE,<br>ACCOUNT #: LSR011081      | AMERICAN FUNDS MORTGAGE FD CL C<br>BUY 1 Units @0.0000 | 0.00                 | 7.66                | 0.00               | 7.66              | 0.0  | 0.00                 |
| 03/19/2018   | ***-**-09IO - BATES, FBO MRS<br>ACCOUNT #: LSR011117   | AMERICAN FUNDS MORTGAGE FD CL C<br>BUY 1 Units @0.0000 | 0.00                 | 19.95               | 0.00               | 19.95             | 0.0  | 0.00                 |
| 03/19/2018   | ***-**-48IO - ANACKER, FBO MRS<br>ACCOUNT #: LSR011164 | AMERICAN FUNDS MORTGAGE FD CL C<br>BUY 1 Units @0.0000 | 0.00                 | 5.80                | 0.00               | 5.80              | 0.0  | 0.00                 |



# COMMISSION STATEMENT

March 19, 2018

KURT GRUENEWALD  
2108 Genesee St.  
Utica, NY 13502

BROKER #: A77  
BRANCH #01047 - 47 - GRIFFITH

| DATE   | CLIENT                         | INVESTMENT                         | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|--------------------------------|------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |                                |                                    |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |                                |                                    |                      |                     |                    |                   |      |                      |
| 03/19/2018   | ***-**-89IN - LEE, ROGER       | AMERICAN FUNDS MORTGAGE FD CL C    | 0.00                 | 12.50               | 0.00               | 12.50             | 0.0  | 0.00                 |
|  | ACCOUNT #: LSR011166           | BUY 1 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/19/2018   | ***-**-094I - KATRENA L        | AMERICAN FUNDS MORTGAGE FD CL C    | 0.00                 | 2.70                | 0.00               | 2.70              | 0.0  | 0.00                 |
|  | ACCOUNT #: LSR011188           | BUY 1 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/19/2018   | ***-**-439J - MCCARTHY, JAMES  | AMERICAN FUNDS MORTGAGE FD CL C    | 0.00                 | 2.26                | 0.00               | 2.26              | 0.0  | 0.00                 |
|  | ACCOUNT #: LSR011205           | BUY 1 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/19/2018   | ***-**-52IO - EUSEPI, SUSAN    | AMERICAN FUNDS MORTGAGE FD CL C    | 0.00                 | 2.68                | 0.00               | 2.68              | 0.0  | 0.00                 |
|  | ACCOUNT #: LSR011219           | BUY 1 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/19/2018   | ***-**-473J - HUSTON,          | AMERICAN FUNDS MORTGAGE FD CL C    | 0.00                 | 7.76                | 0.00               | 7.76              | 0.0  | 0.00                 |
|  | ACCOUNT #: LSR011228           | BUY 1 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/19/2018   | ***-**-80IO - EVANS, RICHARD   | AMERICAN FUNDS MORTGAGE FD CL C    | 0.00                 | 6.15                | 0.00               | 6.15              | 0.0  | 0.00                 |
|  | ACCOUNT #: LSR011276           | BUY 1 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/19/2018   | ***-**-376I - BERBEN, GAIL     | AMERICAN FUNDS MORTGAGE FD CL C    | 0.00                 | 7.54                | 0.00               | 7.54              | 0.0  | 0.00                 |
|  | ACCOUNT #: LSR011380           | BUY 1 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/19/2018   | ***-**-21IO - RADELL, SANDRA   | AMERICAN FUNDS MORTGAGE FD CL C    | 0.00                 | 7.53                | 0.00               | 7.53              | 0.0  | 0.00                 |
|  | ACCOUNT #: LSR011392           | BUY 1 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/19/2018   | ***-**-45IO - JOHNSON, GREGORY | AMERICAN FUNDS MORTGAGE FD CL C    | 0.00                 | 15.06               | 0.00               | 15.06             | 0.0  | 0.00                 |
|  | ACCOUNT #: LSR011421           | BUY 1 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/19/2018   | ***-**-420T - DEMETRI, AMELIA  | AMERICAN FUNDS PRESERVATION PORT C | 0.00                 | 3.82                | 0.00               | 3.82              | 0.0  | 0.00                 |
|  | ACCOUNT #: LSR010994           | BUY 1 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/19/2018   | ***-**-881J - EBERLEY, SUSAN   | AMERICAN GLOBAL BALANCED CL C      | 0.00                 | 8.66                | 0.00               | 8.66              | 0.0  | 0.00                 |
|  | ACCOUNT #: LSR010856           | BUY 1 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/19/2018   | ***-**-382I - SATTERLY, NEIL   | AMERICAN GLOBAL BALANCED CL C      | 0.00                 | 10.48               | 0.00               | 10.48             | 0.0  | 0.00                 |
|  | ACCOUNT #: LSR010867           | BUY 1 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/19/2018   | ***-**-382K - SATTERLY, NEIL   | AMERICAN GLOBAL BALANCED CL C      | 0.00                 | 3.88                | 0.00               | 3.88              | 0.0  | 0.00                 |
|  | ACCOUNT #: LSR010875           | BUY 1 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/19/2018   | ***-**-980I - ACEE, ELIZABETH  | AMERICAN GLOBAL BALANCED CL C      | 0.00                 | 13.11               | 0.00               | 13.11             | 0.0  | 0.00                 |
|  | ACCOUNT #: LSR010885           | BUY 1 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/19/2018   | ***-**-48IO - CLARK, PATRICK   | AMERICAN GLOBAL BALANCED CL C      | 0.00                 | 10.31               | 0.00               | 10.31             | 0.0  | 0.00                 |
|  | ACCOUNT #: LSR010911           | BUY 1 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/19/2018   | ***-**-72IN - GAVALO, JULIE    | AMERICAN GLOBAL BALANCED CL C      | 0.00                 | 10.01               | 0.00               | 10.01             | 0.0  | 0.00                 |
|  | ACCOUNT #: LSR010921           | BUY 1 Units @0.0000                |                      |                     |                    |                   |      |                      |



# COMMISSION STATEMENT

March 19, 2018

KURT GRUENEWALD  
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BROKER #: A77  
BRANCH #01047 - 47 - GRIFFITH

| DATE   | CLIENT                         | INVESTMENT                    | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|--------------------------------|-------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |                                |                               |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |                                |                               |                      |                     |                    |                   |      |                      |
| 03/19/2018   | ***-**-065I - LAZIO, THOMAS    | AMERICAN GLOBAL BALANCED CL C | 0.00                 | 8.64                | 0.00               | 8.64              | 0.0  | 0.00                 |
|  | ACCOUNT #: LSR010979           | BUY 1 Units @0.0000           |                      |                     |                    |                   |      |                      |
| 03/19/2018   | ***-**-420T - DEMETRI, AMELIA  | AMERICAN GLOBAL BALANCED CL C | 0.00                 | 6.46                | 0.00               | 6.46              | 0.0  | 0.00                 |
|  | ACCOUNT #: LSR010994           | BUY 1 Units @0.0000           |                      |                     |                    |                   |      |                      |
| 03/19/2018   | ***-**-73TR - WESTCOTT IRRVOC  | AMERICAN GLOBAL BALANCED CL C | 0.00                 | 13.35               | 0.00               | 13.35             | 0.0  | 0.00                 |
|  | ACCOUNT #: LSR011001           | BUY 1 Units @0.0000           |                      |                     |                    |                   |      |                      |
| 03/19/2018   | ***-**-73TR - WESTCOTT IRRVOC  | AMERICAN GLOBAL BALANCED CL C | 0.00                 | 25.22               | 0.00               | 25.22             | 0.0  | 0.00                 |
|  | ACCOUNT #: LSR011008           | BUY 1 Units @0.0000           |                      |                     |                    |                   |      |                      |
| 03/19/2018   | ***-**-80IN - COBB, JAMES      | AMERICAN GLOBAL BALANCED CL C | 0.00                 | 7.33                | 0.00               | 7.33              | 0.0  | 0.00                 |
|  | ACCOUNT #: LSR011042           | BUY 1 Units @0.0000           |                      |                     |                    |                   |      |                      |
| 03/19/2018   | ***-**-00IO - LEE, GARY        | AMERICAN GLOBAL BALANCED CL C | 0.00                 | 12.21               | 0.00               | 12.21             | 0.0  | 0.00                 |
|  | ACCOUNT #: LSR011059           | BUY 1 Units @0.0000           |                      |                     |                    |                   |      |                      |
| 03/19/2018   | ***-**-44IO - MAYO, DEBORAH    | AMERICAN GLOBAL BALANCED CL C | 0.00                 | 26.62               | 0.00               | 26.62             | 0.0  | 0.00                 |
|  | ACCOUNT #: LSR011079           | BUY 1 Units @0.0000           |                      |                     |                    |                   |      |                      |
| 03/19/2018   | ***-**-09IO - BATES, FBO MRS   | AMERICAN GLOBAL BALANCED CL C | 0.00                 | 15.45               | 0.00               | 15.45             | 0.0  | 0.00                 |
|  | ACCOUNT #: LSR011117           | BUY 1 Units @0.0000           |                      |                     |                    |                   |      |                      |
| 03/19/2018   | ***-**-094I - KATRENA L        | AMERICAN GLOBAL BALANCED CL C | 0.00                 | 6.93                | 0.00               | 6.93              | 0.0  | 0.00                 |
|  | ACCOUNT #: LSR011188           | BUY 1 Units @0.0000           |                      |                     |                    |                   |      |                      |
| 03/19/2018   | ***-**-11IO - LYNN G.          | AMERICAN GLOBAL BALANCED CL C | 0.00                 | 17.74               | 0.00               | 17.74             | 0.0  | 0.00                 |
|  | ACCOUNT #: LSR011239           | BUY 1 Units @0.0000           |                      |                     |                    |                   |      |                      |
| 03/19/2018   | ***-**-07IO - FAMOLARO, JAMES  | AMERICAN GLOBAL BALANCED CL C | 0.00                 | 5.25                | 0.00               | 5.25              | 0.0  | 0.00                 |
|  | ACCOUNT #: LSR011280           | BUY 1 Units @0.0000           |                      |                     |                    |                   |      |                      |
| 03/19/2018   | ***-**-376I - BERBEN, GAIL     | AMERICAN GLOBAL BALANCED CL C | 0.00                 | 16.49               | 0.00               | 16.49             | 0.0  | 0.00                 |
|  | ACCOUNT #: LSR011380           | BUY 1 Units @0.0000           |                      |                     |                    |                   |      |                      |
| 03/19/2018   | ***-**-21IO - RADELL, SANDRA   | AMERICAN GLOBAL BALANCED CL C | 0.00                 | 5.28                | 0.00               | 5.28              | 0.0  | 0.00                 |
|  | ACCOUNT #: LSR011392           | BUY 1 Units @0.0000           |                      |                     |                    |                   |      |                      |
| 03/19/2018   | ***-**-45IO - JOHNSON, GREGORY | AMERICAN GLOBAL BALANCED CL C | 0.00                 | 15.21               | 0.00               | 15.21             | 0.0  | 0.00                 |
|  | ACCOUNT #: LSR011421           | BUY 1 Units @0.0000           |                      |                     |                    |                   |      |                      |
| 03/19/2018   | ***-**-14IO - BUSHEY, MATTHEW  | AMERICAN GLOBAL BALANCED CL C | 0.00                 | 17.49               | 0.00               | 17.49             | 0.0  | 0.00                 |
|  | ACCOUNT #: LSR011498           | BUY 1 Units @0.0000           |                      |                     |                    |                   |      |                      |
| 03/19/2018   | ***-**-37IO - MCCLUSKY, MARK   | AMERICAN GLOBAL BALANCED CL C | 0.00                 | 8.64                | 0.00               | 8.64              | 0.0  | 0.00                 |
|  | ACCOUNT #: LSR011579           | BUY 1 Units @0.0000           |                      |                     |                    |                   |      |                      |



# COMMISSION STATEMENT

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BROKER #: A77  
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| DATE   | CLIENT                         | INVESTMENT                          | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|--------------------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |                                |                                     |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |                                |                                     |                      |                     |                    |                   |      |                      |
| 03/19/2018   | ***-**-86IN - LEE, KEVIN       | AMERICAN GLOBAL BALANCED CL C       | 0.00                 | 7.70                | 0.00               | 7.70              | 0.0  | 0.00                 |
|  | ACCOUNT #: LSR011613           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/19/2018   | ***-**-03IO - MASTRANGELO,     | AMERICAN GLOBAL BALANCED CL C       | 0.00                 | 8.72                | 0.00               | 8.72              | 0.0  | 0.00                 |
|  | ACCOUNT #: LSR011679           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/19/2018   | ***-**-633J -                  | AMERICAN GLOBAL BALANCED CL C       | 0.00                 | 3.16                | 0.00               | 3.16              | 0.0  | 0.00                 |
|  | ACCOUNT #: LSR011732           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/19/2018   | ***-**-702I - KOCHER, MICHAEL  | AMERICAN GLOBAL BALANCED CLASS A    | 0.00                 | 2.39                | 0.00               | 2.39              | 0.0  | 0.00                 |
|  | ACCOUNT #: LSR010954           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/19/2018   | ***-**-63TR - EVANS, AUDREY J  | AMERICAN GLOBAL BALANCED CLASS A    | 0.00                 | 5.51                | 0.00               | 5.51              | 0.0  | 0.00                 |
|  | ACCOUNT #: LSR011036           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/19/2018   | ***-**-30TR - AND SANDRA       | AMERICAN GLOBAL BALANCED CLASS A    | 0.00                 | 1.42                | 0.00               | 1.42              | 0.0  | 0.00                 |
|  | ACCOUNT #: LSR011939           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/19/2018   | ***-**-287I - HINCKLEY,        | AMERICAN MUTUAL FUND-A              | 0.00                 | 4.98                | 0.00               | 4.98              | 0.0  | 0.00                 |
|  | ACCOUNT #: LSR010843           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/19/2018   | ***-**-13IN - GRUENEWALD,      | AMERICAN WASHINGTON MUTUAL INVESTOR | 0.00                 | 0.31                | 0.00               | 0.31              | 0.0  | 0.00                 |
|  | ACCOUNT #: LSR011210           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/19/2018   | ***-**-254I - AUGUSTINE, LINDA | CAPITAL INCOME BUILDER CLASS C      | 0.00                 | 6.61                | 0.00               | 6.61              | 0.0  | 0.00                 |
|  | ACCOUNT #: LSR010846           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/19/2018   | ***-**-881J - EBERLEY, SUSAN   | CAPITAL INCOME BUILDER CLASS C      | 0.00                 | 4.47                | 0.00               | 4.47              | 0.0  | 0.00                 |
|  | ACCOUNT #: LSR010856           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/19/2018   | ***-**-382I - SATTERLY, NEIL   | CAPITAL INCOME BUILDER CLASS C      | 0.00                 | 13.39               | 0.00               | 13.39             | 0.0  | 0.00                 |
|  | ACCOUNT #: LSR010867           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/19/2018   | ***-**-949I - ACEE, JOSPEH     | CAPITAL INCOME BUILDER CLASS C      | 0.00                 | 4.38                | 0.00               | 4.38              | 0.0  | 0.00                 |
|  | ACCOUNT #: LSR010908           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/19/2018   | ***-**-31IO - HARTZ, CLAUDIA   | CAPITAL INCOME BUILDER CLASS C      | 0.00                 | 4.92                | 0.00               | 4.92              | 0.0  | 0.00                 |
|  | ACCOUNT #: LSR010915           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/19/2018   | ***-**-15IN - PENDRAK, JOHN    | CAPITAL INCOME BUILDER CLASS C      | 0.00                 | 8.08                | 0.00               | 8.08              | 0.0  | 0.00                 |
|  | ACCOUNT #: LSR010948           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/19/2018   | ***-**-959I - FRANZ, PAUL      | CAPITAL INCOME BUILDER CLASS C      | 0.00                 | 10.84               | 0.00               | 10.84             | 0.0  | 0.00                 |
|  | ACCOUNT #: LSR010959           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/19/2018   | ***-**-960J - MASTRANGELO,     | CAPITAL INCOME BUILDER CLASS C      | 0.00                 | 8.69                | 0.00               | 8.69              | 0.0  | 0.00                 |
|  | ACCOUNT #: LSR010966           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |





# COMMISSION STATEMENT

## March 19, 2018

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| DATE   | CLIENT                         | INVESTMENT                     | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|--------------------------------|--------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |                                |                                |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |                                |                                |                      |                     |                    |                   |      |                      |
| 03/19/2018   | ***-**-065I - LAZIO, THOMAS    | CAPITAL INCOME BUILDER CLASS C | 0.00                 | 6.22                | 0.00               | 6.22              | 0.0  | 0.00                 |
|  | ACCOUNT #: LSR010979           | BUY 1 Units @0.0000            |                      |                     |                    |                   |      |                      |
| 03/19/2018   | ***-**-51IO - CAIN, TIMOTHY    | CAPITAL INCOME BUILDER CLASS C | 0.00                 | 6.72                | 0.00               | 6.72              | 0.0  | 0.00                 |
|  | ACCOUNT #: LSR011007           | BUY 1 Units @0.0000            |                      |                     |                    |                   |      |                      |
| 03/19/2018   | ***-**-63TR - EVANS, AUDREY J  | CAPITAL INCOME BUILDER CLASS C | 0.00                 | 4.79                | 0.00               | 4.79              | 0.0  | 0.00                 |
|  | ACCOUNT #: LSR011036           | BUY 1 Units @0.0000            |                      |                     |                    |                   |      |                      |
| 03/19/2018   | ***-**-861I - SANGER, LAWRENCE | CAPITAL INCOME BUILDER CLASS C | 0.00                 | 1.67                | 0.00               | 1.67              | 0.0  | 0.00                 |
|  | ACCOUNT #: LSR011095           | BUY 1 Units @0.0000            |                      |                     |                    |                   |      |                      |
| 03/19/2018   | ***-**-13IN - RHYMESTINE,      | CAPITAL INCOME BUILDER CLASS C | 0.00                 | 4.15                | 0.00               | 4.15              | 0.0  | 0.00                 |
|  | ACCOUNT #: LSR011106           | BUY 1 Units @0.0000            |                      |                     |                    |                   |      |                      |
| 03/19/2018   | ***-**-506J - CURRIERE JR, MR  | CAPITAL INCOME BUILDER CLASS C | 0.00                 | 3.54                | 0.00               | 3.54              | 0.0  | 0.00                 |
|  | ACCOUNT #: LSR011121           | BUY 1 Units @0.0000            |                      |                     |                    |                   |      |                      |
| 03/19/2018   | ***-**-31IO - WILLIAMSON, FBO  | CAPITAL INCOME BUILDER CLASS C | 0.00                 | 13.38               | 0.00               | 13.38             | 0.0  | 0.00                 |
|  | ACCOUNT #: LSR011172           | BUY 1 Units @0.0000            |                      |                     |                    |                   |      |                      |
| 03/19/2018   | ***-**-62IR - ROBBIANO, FBO    | CAPITAL INCOME BUILDER CLASS C | 0.00                 | 6.41                | 0.00               | 6.41              | 0.0  | 0.00                 |
|  | ACCOUNT #: LSR011195           | BUY 1 Units @0.0000            |                      |                     |                    |                   |      |                      |
| 03/19/2018   | ***-**-02IN - BUSHEY, MELISSA  | CAPITAL INCOME BUILDER CLASS C | 0.00                 | 2.63                | 0.00               | 2.63              | 0.0  | 0.00                 |
|  | ACCOUNT #: LSR011257           | BUY 1 Units @0.0000            |                      |                     |                    |                   |      |                      |
| 03/19/2018   | ***-**-287I - HINCKLEY,        | CAPITAL INCOME BUILDER-A       | 0.00                 | 3.79                | 0.00               | 3.79              | 0.0  | 0.00                 |
|  | ACCOUNT #: LSR010843           | BUY 1 Units @0.0000            |                      |                     |                    |                   |      |                      |
| 03/19/2018   | ***-**-702I - KOCHEM, MICHAEL  | CAPITAL INCOME BUILDER-A       | 0.00                 | 3.37                | 0.00               | 3.37              | 0.0  | 0.00                 |
|  | ACCOUNT #: LSR010954           | BUY 1 Units @0.0000            |                      |                     |                    |                   |      |                      |
| 03/19/2018   | ***-**-366I - GRUENEWALD,      | CAPITAL INCOME BUILDER-A       | 0.00                 | 1.94                | 0.00               | 1.94              | 0.0  | 0.00                 |
|  | ACCOUNT #: LSR010989           | BUY 1 Units @0.0000            |                      |                     |                    |                   |      |                      |
| 03/19/2018   | ***-**-20IO - DEMETRI, AMELIA  | CAPITAL INCOME BUILDER-A       | 0.00                 | 0.91                | 0.00               | 0.91              | 0.0  | 0.00                 |
|  | ACCOUNT #: LSR010995           | BUY 1 Units @0.0000            |                      |                     |                    |                   |      |                      |
| 03/19/2018   | ***-**-579J - RHYMESTINE,      | CAPITAL INCOME BUILDER-A       | 0.00                 | 2.02                | 0.00               | 2.02              | 0.0  | 0.00                 |
|  | ACCOUNT #: LSR011081           | BUY 1 Units @0.0000            |                      |                     |                    |                   |      |                      |
| 03/19/2018   | ***-**-680I - HARRELL, DARYL   | CAPITAL INCOME BUILDER-A       | 0.00                 | 0.28                | 0.00               | 0.28              | 0.0  | 0.00                 |
|  | ACCOUNT #: LSR011321           | BUY 1 Units @0.0000            |                      |                     |                    |                   |      |                      |
| 03/19/2018   | ***-**-30TR - AND SANDRA       | CAPITAL INCOME BUILDER-A       | 0.00                 | 1.98                | 0.00               | 1.98              | 0.0  | 0.00                 |
|  | ACCOUNT #: LSR011939           | BUY 1 Units @0.0000            |                      |                     |                    |                   |      |                      |



# COMMISSION STATEMENT

March 19, 2018

KURT GRUENEWALD  
2108 Genesee St.  
Utica, NY 13502

BROKER #: A77  
BRANCH #01047 - 47 - GRIFFITH

| DATE   | CLIENT                         | INVESTMENT                          | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|--------------------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |                                |                                     |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |                                |                                     |                      |                     |                    |                   |      |                      |
| 03/19/2018   | ***-**-702I - KOCHER, MICHAEL  | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00                 | 3.45                | 0.00               | 3.45              | 0.0  | 0.00                 |
|  | ACCOUNT #: LSR010954           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/19/2018   | ***-**-20IO - DEMETRI, AMELIA  | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00                 | 1.44                | 0.00               | 1.44              | 0.0  | 0.00                 |
|  | ACCOUNT #: LSR010995           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/19/2018   | ***-**-579J - RHYMESTINE,      | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00                 | 1.67                | 0.00               | 1.67              | 0.0  | 0.00                 |
|  | ACCOUNT #: LSR011081           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/19/2018   | ***-**-326J - GRANDE, MR       | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00                 | 1.32                | 0.00               | 1.32              | 0.0  | 0.00                 |
|  | ACCOUNT #: LSR011089           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/19/2018   | ***-**-326I - GRANDE, FBO MR   | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00                 | 1.44                | 0.00               | 1.44              | 0.0  | 0.00                 |
|  | ACCOUNT #: LSR011091           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/19/2018   | ***-**-48IO - ANACKER, FBO MRS | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00                 | 1.03                | 0.00               | 1.03              | 0.0  | 0.00                 |
|  | ACCOUNT #: LSR011164           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/19/2018   | ***-**-680I - HARRELL, DARYL   | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00                 | 1.30                | 0.00               | 1.30              | 0.0  | 0.00                 |
|  | ACCOUNT #: LSR011321           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/19/2018   | ***-**-128I - BASHANT, THOMAS  | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00                 | 1.40                | 0.00               | 1.40              | 0.0  | 0.00                 |
|  | ACCOUNT #: LSR011387           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/19/2018   | ***-**-30TR - AND SANDRA       | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00                 | 2.30                | 0.00               | 2.30              | 0.0  | 0.00                 |
|  | ACCOUNT #: LSR011939           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/19/2018   | ***-**-44IO - MAYO, DEBORAH    | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00                 | 6.06                | 0.00               | 6.06              | 0.0  | 0.00                 |
|  | ACCOUNT #: LSR011079           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/19/2018   | ***-**-09IO - BATES, FBO MRS   | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00                 | 9.84                | 0.00               | 9.84              | 0.0  | 0.00                 |
|  | ACCOUNT #: LSR011117           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/19/2018   | ***-**-11IO - LYNN G.          | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00                 | 10.79               | 0.00               | 10.79             | 0.0  | 0.00                 |
|  | ACCOUNT #: LSR011239           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/19/2018   | ***-**-45IO - JOHNSON, GREGORY | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00                 | 7.37                | 0.00               | 7.37              | 0.0  | 0.00                 |
|  | ACCOUNT #: LSR011421           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/19/2018   | ***-**-959I - FRANZ, PAUL      | COLUMBIA MARSICO FOCUSED EQ CL A    | 0.00                 | 0.21                | 0.00               | 0.21              | 0.0  | 0.00                 |
|  | ACCOUNT #: LSR010959           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/19/2018   | ***-**-944O - MAYO, DEBORAH    | EATON VANCE MF TRAILS               | 0.00                 | 0.39                | 0.00               | 0.39              | 0.0  | 0.00                 |
|  | ACCOUNT #: 5034930049          | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/19/2018   | ***-**-20IO - DEMETRI, AMELIA  | EUROPACIFIC GROWTH FUND-A           | 0.00                 | 1.47                | 0.00               | 1.47              | 0.0  | 0.00                 |
|  | ACCOUNT #: LSR010995           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |



# COMMISSION STATEMENT

## March 19, 2018

KURT GRUENEWALD  
2108 Genesee St.  
Utica, NY 13502

BROKER #: A77  
BRANCH #01047 - 47 - GRIFFITH

| DATE   | CLIENT                        | INVESTMENT                          | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|-------------------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |                               |                                     |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |                               |                                     |                      |                     |                    |                   |      |                      |
| 03/19/2018   | ***-**-326I - GRANDE, FBO MR  | EUROPACIFIC GROWTH FUND-A           | 0.00                 | 1.23                | 0.00               | 1.23              | 0.0  | 0.00                 |
|  | ACCOUNT #: LSR011091          | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/19/2018   | ***-**-680I - HARRELL, DARYL  | EUROPACIFIC GROWTH FUND-A           | 0.00                 | 0.59                | 0.00               | 0.59              | 0.0  | 0.00                 |
|  | ACCOUNT #: LSR011321          | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/19/2018   | ***-**-111J - NESSIA, JAMES   | FIDELITY ADV EMERGING MRKTS INC CL  | 0.00                 | 0.71                | 0.00               | 0.71              | 0.0  | 0.00                 |
|  | ACCOUNT #: LSR011054          | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/19/2018   | ***-**-62IN - EATON, DAVID    | FIDELITY ADV EMERGING MRKTS INC CL  | 0.00                 | 1.10                | 0.00               | 1.10              | 0.0  | 0.00                 |
|  | ACCOUNT #: LSR011315          | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/19/2018   | ***-**-930I - SANGER, KEVIN   | FIDELITY ADV EQUITY INCOME CL A     | 0.00                 | 1.98                | 0.00               | 1.98              | 0.0  | 0.00                 |
|  | ACCOUNT #: LSR010941          | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/19/2018   | ***-**-579I - RHYMESTINE,     | FIDELITY ADV INDUSTRIALS-CL C       | 0.00                 | 13.41               | 0.00               | 13.41             | 0.0  | 0.00                 |
|  | ACCOUNT #: LSR011082          | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/19/2018   | ***-**-579I - RHYMESTINE,     | FIDELITY ADV SMALL CAP CL C         | 0.00                 | 4.62                | 0.00               | 4.62              | 0.0  | 0.00                 |
|  | ACCOUNT #: LSR011082          | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/19/2018   | ***-**-579I - RHYMESTINE,     | FIDELITY ADV STOCK SELECTOR ALL CAP | 0.00                 | 4.45                | 0.00               | 4.45              | 0.0  | 0.00                 |
|  | ACCOUNT #: LSR011082          | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/19/2018   | ***-**-579I - RHYMESTINE,     | FIDELITY ADVISOR EQUITY INCOME CL C | 0.00                 | 18.85               | 0.00               | 18.85             | 0.0  | 0.00                 |
|  | ACCOUNT #: LSR011082          | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/19/2018   | ***-**-579I - RHYMESTINE,     | FIDELITY ADVISOR INT'L DISCOVERY CL | 0.00                 | 14.97               | 0.00               | 14.97             | 0.0  | 0.00                 |
|  | ACCOUNT #: LSR011082          | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/19/2018   | ***-**-579I - RHYMESTINE,     | FIDELITY ADVISOR INTERMEDIATE BOND  | 0.00                 | 7.53                | 0.00               | 7.53              | 0.0  | 0.00                 |
|  | ACCOUNT #: LSR011082          | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/19/2018   | ***-**-15IN - PENDRAK, JOHN   | FIDELITY ADVISOR MORTGAGE SECS CL A | 0.00                 | 1.90                | 0.00               | 1.90              | 0.0  | 0.00                 |
|  | ACCOUNT #: LSR010948          | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/19/2018   | ***-**-02IN - BUSHEY, MELISSA | FIDELITY ADVISOR MORTGAGE SECS CL A | 0.00                 | 0.23                | 0.00               | 0.23              | 0.0  | 0.00                 |
|  | ACCOUNT #: LSR011257          | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/19/2018   | ***-**-579I - RHYMESTINE,     | FIDELITY ADVISOR MORTGAGE SECS CL C | 0.00                 | 5.19                | 0.00               | 5.19              | 0.0  | 0.00                 |
|  | ACCOUNT #: LSR011082          | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/19/2018   | ***-**-702I - KOCHER, MICHAEL | FUNDAMENTAL INVESTORS-A             | 0.00                 | 2.02                | 0.00               | 2.02              | 0.0  | 0.00                 |
|  | ACCOUNT #: LSR010954          | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/19/2018   | ***-**-366I - GRUENEWALD,     | FUNDAMENTAL INVESTORS-A             | 0.00                 | 1.09                | 0.00               | 1.09              | 0.0  | 0.00                 |
|  | ACCOUNT #: LSR010989          | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |



# COMMISSION STATEMENT

March 19, 2018

KURT GRUENEWALD  
2108 Genesee St.  
Utica, NY 13502

BROKER #: A77  
BRANCH #01047 - 47 - GRIFFITH

| DATE   | CLIENT  | INVESTMENT                                     | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|---|--|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |   |  |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |   |  |                      |                     |                    |                   |      |                      |
| 03/19/2018   | ***-**-366S - GRUENEWALD,<br>ACCOUNT #: LSR010990     | FUNDAMENTAL INVESTORS-A<br>BUY 1 Units @0.0000 | 0.00                 | 0.92                | 0.00               | 0.92              | 0.0  | 0.00                 |
| 03/19/2018   | ***-**-579J - RHYMESTINE,<br>ACCOUNT #: LSR011081     | FUNDAMENTAL INVESTORS-A<br>BUY 1 Units @0.0000 | 0.00                 | 1.03                | 0.00               | 1.03              | 0.0  | 0.00                 |
| 03/19/2018   | ***-**-326I - GRANDE, FBO MR<br>ACCOUNT #: LSR011091  | FUNDAMENTAL INVESTORS-A<br>BUY 1 Units @0.0000 | 0.00                 | 1.81                | 0.00               | 1.81              | 0.0  | 0.00                 |
| 03/19/2018   | ***-**-680I - HARRELL, DARYL<br>ACCOUNT #: LSR011321  | FUNDAMENTAL INVESTORS-A<br>BUY 1 Units @0.0000 | 0.00                 | 1.30                | 0.00               | 1.30              | 0.0  | 0.00                 |
| 03/19/2018   | ***-**-128I - BASHANT, THOMAS<br>ACCOUNT #: LSR011387 | FUNDAMENTAL INVESTORS-A<br>BUY 1 Units @0.0000 | 0.00                 | 1.15                | 0.00               | 1.15              | 0.0  | 0.00                 |
| 03/19/2018   | ***-**-30TR - AND SANDRA<br>ACCOUNT #: LSR011939      | FUNDAMENTAL INVESTORS-A<br>BUY 1 Units @0.0000 | 0.00                 | 1.73                | 0.00               | 1.73              | 0.0  | 0.00                 |
| 03/19/2018   | ***-**-881J - EBERLEY, SUSAN<br>ACCOUNT #: LSR010856  | FUNDAMENTAL INVESTORS-C<br>BUY 1 Units @0.0000 | 0.00                 | 4.03                | 0.00               | 4.03              | 0.0  | 0.00                 |
| 03/19/2018   | ***-**-382I - SATTERLY, NEIL<br>ACCOUNT #: LSR010867  | FUNDAMENTAL INVESTORS-C<br>BUY 1 Units @0.0000 | 0.00                 | 10.29               | 0.00               | 10.29             | 0.0  | 0.00                 |
| 03/19/2018   | ***-**-949I - ACEE, JOSPEH<br>ACCOUNT #: LSR010908    | FUNDAMENTAL INVESTORS-C<br>BUY 1 Units @0.0000 | 0.00                 | 2.82                | 0.00               | 2.82              | 0.0  | 0.00                 |
| 03/19/2018   | ***-**-31IO - HARTZ, CLAUDIA<br>ACCOUNT #: LSR010915  | FUNDAMENTAL INVESTORS-C<br>BUY 1 Units @0.0000 | 0.00                 | 2.70                | 0.00               | 2.70              | 0.0  | 0.00                 |
| 03/19/2018   | ***-**-031O - MCVOY, ROBERT<br>ACCOUNT #: LSR010916   | FUNDAMENTAL INVESTORS-C<br>BUY 1 Units @0.0000 | 0.00                 | 4.89                | 0.00               | 4.89              | 0.0  | 0.00                 |
| 03/19/2018   | ***-**-15IN - PENDRAK, JOHN<br>ACCOUNT #: LSR010948   | FUNDAMENTAL INVESTORS-C<br>BUY 1 Units @0.0000 | 0.00                 | 4.49                | 0.00               | 4.49              | 0.0  | 0.00                 |
| 03/19/2018   | ***-**-959I - FRANZ, PAUL<br>ACCOUNT #: LSR010959     | FUNDAMENTAL INVESTORS-C<br>BUY 1 Units @0.0000 | 0.00                 | 10.64               | 0.00               | 10.64             | 0.0  | 0.00                 |
| 03/19/2018   | ***-**-960J - MASTRANGELO,<br>ACCOUNT #: LSR010966    | FUNDAMENTAL INVESTORS-C<br>BUY 1 Units @0.0000 | 0.00                 | 8.27                | 0.00               | 8.27              | 0.0  | 0.00                 |
| 03/19/2018   | ***-**-065I - LAZIO, THOMAS<br>ACCOUNT #: LSR010979   | FUNDAMENTAL INVESTORS-C<br>BUY 1 Units @0.0000 | 0.00                 | 5.31                | 0.00               | 5.31              | 0.0  | 0.00                 |
| 03/19/2018   | ***-**-51IO - CAIN, TIMOTHY<br>ACCOUNT #: LSR011007   | FUNDAMENTAL INVESTORS-C<br>BUY 1 Units @0.0000 | 0.00                 | 4.87                | 0.00               | 4.87              | 0.0  | 0.00                 |



# COMMISSION STATEMENT

## March 19, 2018

KURT GRUENEWALD  
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BROKER #: A77  
BRANCH #01047 - 47 - GRIFFITH

| DATE   | CLIENT                         | INVESTMENT              | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|--------------------------------|-------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |                                |                         |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |                                |                         |                      |                     |                    |                   |      |                      |
| 03/19/2018   | ***-**-761I - EVANS, DOLORES   | FUNDAMENTAL INVESTORS-C | 0.00                 | 14.57               | 0.00               | 14.57             | 0.0  | 0.00                 |
|  | ACCOUNT #: LSR011024           | BUY 1 Units @0.0000     |                      |                     |                    |                   |      |                      |
| 03/19/2018   | ***-**-306X - COBB, CHERRYL    | FUNDAMENTAL INVESTORS-C | 0.00                 | 5.28                | 0.00               | 5.28              | 0.0  | 0.00                 |
|  | ACCOUNT #: LSR011037           | BUY 1 Units @0.0000     |                      |                     |                    |                   |      |                      |
| 03/19/2018   | ***-**-861I - SANGER, LAWRENCE | FUNDAMENTAL INVESTORS-C | 0.00                 | 0.79                | 0.00               | 0.79              | 0.0  | 0.00                 |
|  | ACCOUNT #: LSR011095           | BUY 1 Units @0.0000     |                      |                     |                    |                   |      |                      |
| 03/19/2018   | ***-**-13IN - RHYMESTINE,      | FUNDAMENTAL INVESTORS-C | 0.00                 | 3.26                | 0.00               | 3.26              | 0.0  | 0.00                 |
|  | ACCOUNT #: LSR011106           | BUY 1 Units @0.0000     |                      |                     |                    |                   |      |                      |
| 03/19/2018   | ***-**-09IO - BATES, FBO MRS   | FUNDAMENTAL INVESTORS-C | 0.00                 | 10.32               | 0.00               | 10.32             | 0.0  | 0.00                 |
|  | ACCOUNT #: LSR011117           | BUY 1 Units @0.0000     |                      |                     |                    |                   |      |                      |
| 03/19/2018   | ***-**-506J - CURRIERE JR, MR  | FUNDAMENTAL INVESTORS-C | 0.00                 | 4.34                | 0.00               | 4.34              | 0.0  | 0.00                 |
|  | ACCOUNT #: LSR011121           | BUY 1 Units @0.0000     |                      |                     |                    |                   |      |                      |
| 03/19/2018   | ***-**-48IO - ANACKER, FBO MRS | FUNDAMENTAL INVESTORS-C | 0.00                 | 4.63                | 0.00               | 4.63              | 0.0  | 0.00                 |
|  | ACCOUNT #: LSR011164           | BUY 1 Units @0.0000     |                      |                     |                    |                   |      |                      |
| 03/19/2018   | ***-**-89IN - LEE, ROGER       | FUNDAMENTAL INVESTORS-C | 0.00                 | 5.19                | 0.00               | 5.19              | 0.0  | 0.00                 |
|  | ACCOUNT #: LSR011166           | BUY 1 Units @0.0000     |                      |                     |                    |                   |      |                      |
| 03/19/2018   | ***-**-31IO - WILLIAMSON, FBO  | FUNDAMENTAL INVESTORS-C | 0.00                 | 6.93                | 0.00               | 6.93              | 0.0  | 0.00                 |
|  | ACCOUNT #: LSR011172           | BUY 1 Units @0.0000     |                      |                     |                    |                   |      |                      |
| 03/19/2018   | ***-**-64IO - PFAFF, GEORGE    | FUNDAMENTAL INVESTORS-C | 0.00                 | 3.37                | 0.00               | 3.37              | 0.0  | 0.00                 |
|  | ACCOUNT #: LSR011185           | BUY 1 Units @0.0000     |                      |                     |                    |                   |      |                      |
| 03/19/2018   | ***-**-62IR - ROBBIANO, FBO    | FUNDAMENTAL INVESTORS-C | 0.00                 | 2.99                | 0.00               | 2.99              | 0.0  | 0.00                 |
|  | ACCOUNT #: LSR011195           | BUY 1 Units @0.0000     |                      |                     |                    |                   |      |                      |
| 03/19/2018   | ***-**-11IO - LYNN G.          | FUNDAMENTAL INVESTORS-C | 0.00                 | 11.20               | 0.00               | 11.20             | 0.0  | 0.00                 |
|  | ACCOUNT #: LSR011239           | BUY 1 Units @0.0000     |                      |                     |                    |                   |      |                      |
| 03/19/2018   | ***-**-653I - KOCHER, CLINTON  | FUNDAMENTAL INVESTORS-C | 0.00                 | 10.51               | 0.00               | 10.51             | 0.0  | 0.00                 |
|  | ACCOUNT #: LSR011300           | BUY 1 Units @0.0000     |                      |                     |                    |                   |      |                      |
| 03/19/2018   | ***-**-376I - BERBEN, GAIL     | FUNDAMENTAL INVESTORS-C | 0.00                 | 13.98               | 0.00               | 13.98             | 0.0  | 0.00                 |
|  | ACCOUNT #: LSR011380           | BUY 1 Units @0.0000     |                      |                     |                    |                   |      |                      |
| 03/19/2018   | ***-**-21IO - RADELL, SANDRA   | FUNDAMENTAL INVESTORS-C | 0.00                 | 4.15                | 0.00               | 4.15              | 0.0  | 0.00                 |
|  | ACCOUNT #: LSR011392           | BUY 1 Units @0.0000     |                      |                     |                    |                   |      |                      |
| 03/19/2018   | ***-**-45IO - JOHNSON, GREGORY | FUNDAMENTAL INVESTORS-C | 0.00                 | 11.21               | 0.00               | 11.21             | 0.0  | 0.00                 |
|  | ACCOUNT #: LSR011421           | BUY 1 Units @0.0000     |                      |                     |                    |                   |      |                      |



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## March 19, 2018

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2108 Genesee St.  
Utica, NY 13502

BROKER #: A77  
BRANCH #01047 - 47 - GRIFFITH

| DATE   | CLIENT                         | INVESTMENT                         | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|--------------------------------|------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |                                |                                    |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |                                |                                    |                      |                     |                    |                   |      |                      |
| 03/19/2018   | ***-**-14IO - BUSHEY, MATTHEW  | FUNDAMENTAL INVESTORS-C            | 0.00                 | 13.22               | 0.00               | 13.22             | 0.0  | 0.00                 |
|  | ACCOUNT #: LSR011498           | BUY 1 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/19/2018   | ***-**-579J - RHYMESTINE,      | GLOBAL GROWTH PORTFOLIO-A          | 0.00                 | 0.81                | 0.00               | 0.81              | 0.0  | 0.00                 |
|  | ACCOUNT #: LSR011081           | BUY 1 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/19/2018   | ***-**-44IO - MAYO, DEBORAH    | GRIFFIN INST ACCESS REAL ESTATE FD | 0.00                 | 1.52                | 0.00               | 1.52              | 0.0  | 0.00                 |
|  | ACCOUNT #: LSR011079           | BUY 1 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/19/2018   | ***-**-44IO - MAYO, DEBORAH    | GRIFFIN INST ACCESS REAL ESTATE FD | 0.00                 | 0.51                | 0.00               | 0.51              | 0.0  | 0.00                 |
|  | ACCOUNT #: LSR011079           | BUY 1 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/19/2018   | ***-**-367J - WAGNER, MRS LANT | GROWTH FUND OF AMERICA CLASS F     | 0.00                 | 3.00                | 0.00               | 3.00              | 0.0  | 0.00                 |
|  | ACCOUNT #: LSR011134           | BUY 1 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/19/2018   | ***-**-287I - HINCKLEY,        | INCOME FUND OF AMERICA CLASS C     | 0.00                 | 3.33                | 0.00               | 3.33              | 0.0  | 0.00                 |
|  | ACCOUNT #: LSR010843           | BUY 1 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/19/2018   | ***-**-980I - ACEE, ELIZABETH  | INCOME FUND OF AMERICA CLASS C     | 0.00                 | 11.06               | 0.00               | 11.06             | 0.0  | 0.00                 |
|  | ACCOUNT #: LSR010885           | BUY 1 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/19/2018   | ***-**-72IN - GAVALO, JULIE    | INCOME FUND OF AMERICA CLASS C     | 0.00                 | 9.95                | 0.00               | 9.95              | 0.0  | 0.00                 |
|  | ACCOUNT #: LSR010921           | BUY 1 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/19/2018   | ***-**-73TR - WESTCOTT IRRVOC  | INCOME FUND OF AMERICA CLASS C     | 0.00                 | 1.63                | 0.00               | 1.63              | 0.0  | 0.00                 |
|  | ACCOUNT #: LSR011001           | BUY 1 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/19/2018   | ***-**-63TR - EVANS, AUDREY J  | INCOME FUND OF AMERICA CLASS C     | 0.00                 | 4.97                | 0.00               | 4.97              | 0.0  | 0.00                 |
|  | ACCOUNT #: LSR011036           | BUY 1 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/19/2018   | ***-**-44IO - MAYO, DEBORAH    | INCOME FUND OF AMERICA CLASS C     | 0.00                 | 13.76               | 0.00               | 13.76             | 0.0  | 0.00                 |
|  | ACCOUNT #: LSR011079           | BUY 1 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/19/2018   | ***-**-09IO - BATES, FBO MRS   | INCOME FUND OF AMERICA CLASS C     | 0.00                 | 29.36               | 0.00               | 29.36             | 0.0  | 0.00                 |
|  | ACCOUNT #: LSR011117           | BUY 1 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/19/2018   | ***-**-11IO - LYNN G.          | INCOME FUND OF AMERICA CLASS C     | 0.00                 | 13.70               | 0.00               | 13.70             | 0.0  | 0.00                 |
|  | ACCOUNT #: LSR011239           | BUY 1 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/19/2018   | ***-**-376I - BERBEN, GAIL     | INCOME FUND OF AMERICA CLASS C     | 0.00                 | 12.33               | 0.00               | 12.33             | 0.0  | 0.00                 |
|  | ACCOUNT #: LSR011380           | BUY 1 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/19/2018   | ***-**-21IO - RADELL, SANDRA   | INCOME FUND OF AMERICA CLASS C     | 0.00                 | 4.49                | 0.00               | 4.49              | 0.0  | 0.00                 |
|  | ACCOUNT #: LSR011392           | BUY 1 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 03/19/2018   | ***-**-45IO - JOHNSON, GREGORY | INCOME FUND OF AMERICA CLASS C     | 0.00                 | 17.54               | 0.00               | 17.54             | 0.0  | 0.00                 |
|  | ACCOUNT #: LSR011421           | BUY 1 Units @0.0000                |                      |                     |                    |                   |      |                      |



# COMMISSION STATEMENT

March 19, 2018

KURT GRUENEWALD  
2108 Genesee St.  
Utica, NY 13502

BROKER #: A77  
BRANCH #01047 - 47 - GRIFFITH

| DATE   | CLIENT                        | INVESTMENT                          | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|-------------------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |                               |                                     |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |                               |                                     |                      |                     |                    |                   |      |                      |
| 03/19/2018   | ***-**-14IO - BUSHEY, MATTHEW | INCOME FUND OF AMERICA CLASS C      | 0.00                 | 11.63               | 0.00               | 11.63             | 0.0  | 0.00                 |
|  | ACCOUNT #: LSR011498          | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/19/2018   | ***-**-702I - KOCHEM, MICHAEL | INTERMEDIATE BOND FUND OF AMERICA-A | 0.00                 | 0.13                | 0.00               | 0.13              | 0.0  | 0.00                 |
|  | ACCOUNT #: LSR010954          | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/19/2018   | ***-**-761I - EVANS, DOLORES  | INTERMEDIATE BOND FUND OF AMERICA-C | 0.00                 | 4.96                | 0.00               | 4.96              | 0.0  | 0.00                 |
|  | ACCOUNT #: LSR011024          | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/19/2018   | ***-**-366S - GRUENEWALD,     | INTERNATIONAL GROWTH AND INCOME-A   | 0.00                 | 0.76                | 0.00               | 0.76              | 0.0  | 0.00                 |
|  | ACCOUNT #: LSR010990          | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/19/2018   | ***-**-567I - FRANZ, ALICE    | INTERNATIONAL GROWTH AND INCOME-C   | 0.00                 | 12.42               | 0.00               | 12.42             | 0.0  | 0.00                 |
|  | ACCOUNT #: LSR010960          | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/19/2018   | ***-**-20IO - DEMETRI, AMELIA | NEW PERSPECTIVE FUND-A              | 0.00                 | 1.69                | 0.00               | 1.69              | 0.0  | 0.00                 |
|  | ACCOUNT #: LSR010995          | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/19/2018   | ***-**-702I - KOCHEM, MICHAEL | NEW WORLD FUND-A                    | 0.00                 | 2.56                | 0.00               | 2.56              | 0.0  | 0.00                 |
|  | ACCOUNT #: LSR010954          | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/19/2018   | ***-**-326I - GRANDE, FBO MR  | NEW WORLD FUND-A                    | 0.00                 | 2.33                | 0.00               | 2.33              | 0.0  | 0.00                 |
|  | ACCOUNT #: LSR011091          | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/19/2018   | ***-**-680I - HARRELL, DARYL  | NEW WORLD FUND-A                    | 0.00                 | 0.55                | 0.00               | 0.55              | 0.0  | 0.00                 |
|  | ACCOUNT #: LSR011321          | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/19/2018   | ***-**-128I - BASHANT, THOMAS | NEW WORLD FUND-A                    | 0.00                 | 0.85                | 0.00               | 0.85              | 0.0  | 0.00                 |
|  | ACCOUNT #: LSR011387          | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/19/2018   | ***-**-30TR - AND SANDRA      | NEW WORLD FUND-A                    | 0.00                 | 1.92                | 0.00               | 1.92              | 0.0  | 0.00                 |
|  | ACCOUNT #: LSR011939          | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/19/2018   | ***-**-671I - EBERLEY, REID   | RESOURCE REAL ESTATE TRAILS         | 0.00                 | 11.76               | 0.00               | 11.76             | 0.0  | 0.00                 |
|  | ACCOUNT #: 20021572           | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/19/2018   | ***-**-44IO - MAYO, DEBORAH   | RESOURCE REAL ESTATE TRAILS         | 0.00                 | 8.00                | 0.00               | 8.00              | 0.0  | 0.00                 |
|  | ACCOUNT #: 020026000          | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/19/2018   | ***-**-524I - SCALISE, JOSEPH | RESOURCE REAL ESTATE TRAILS         | 0.00                 | 0.47                | 0.00               | 0.47              | 0.0  | 0.00                 |
|  |                               | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/19/2018   | ***-**-15IN - PENDRAK, JOHN   | RESOURCE REAL ESTATE TRAILS         | 0.00                 | 1.52                | 0.00               | 1.52              | 0.0  | 0.00                 |
|  |                               | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/19/2018   | ***-**-231I - WARMUTH,        | RESOURCE REAL ESTATE TRAILS         | 0.00                 | 2.19                | 0.00               | 2.19              | 0.0  | 0.00                 |
|  |                               | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |



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BROKER #: A77  
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| DATE   | CLIENT                         | INVESTMENT                  | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|--------------------------------|-----------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |                                |                             |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |                                |                             |                      |                     |                    |                   |      |                      |
| 03/19/2018   | ***-**-65IN - LAZIO, THOMAS    | RESOURCE REAL ESTATE TRAILS | 0.00                 | 15.49               | 0.00               | 15.49             | 0.0  | 0.00                 |
|  | ACCOUNT #: 20010459            | BUY 0 Units @0.0000         |                      |                     |                    |                   |      |                      |
| 03/19/2018   | ***-**-31IO - HARTZ, CLAUDIA   | RESOURCE REAL ESTATE-NFS    | 0.00                 | 5.08                | 0.00               | 5.08              | 0.0  | 0.00                 |
|  | ACCOUNT #: LSR010915           | BUY 1 Units @0.0000         |                      |                     |                    |                   |      |                      |
| 03/19/2018   | ***-**-72IN - GAVALO, JULIE    | RESOURCE REAL ESTATE-NFS    | 0.00                 | 3.38                | 0.00               | 3.38              | 0.0  | 0.00                 |
|  | ACCOUNT #: LSR010921           | BUY 1 Units @0.0000         |                      |                     |                    |                   |      |                      |
| 03/19/2018   | ***-**-930I - SANGER, KEVIN    | RESOURCE REAL ESTATE-NFS    | 0.00                 | 11.23               | 0.00               | 11.23             | 0.0  | 0.00                 |
|  | ACCOUNT #: LSR010941           | BUY 1 Units @0.0000         |                      |                     |                    |                   |      |                      |
| 03/19/2018   | ***-**-628I - SANGER, SANDRA   | RESOURCE REAL ESTATE-NFS    | 0.00                 | 4.80                | 0.00               | 4.80              | 0.0  | 0.00                 |
|  | ACCOUNT #: LSR010942           | BUY 1 Units @0.0000         |                      |                     |                    |                   |      |                      |
| 03/19/2018   | ***-**-567I - FRANZ, ALICE     | RESOURCE REAL ESTATE-NFS    | 0.00                 | 5.61                | 0.00               | 5.61              | 0.0  | 0.00                 |
|  | ACCOUNT #: LSR010960           | BUY 1 Units @0.0000         |                      |                     |                    |                   |      |                      |
| 03/19/2018   | ***-**-761I - EVANS, DOLORES   | RESOURCE REAL ESTATE-NFS    | 0.00                 | 5.89                | 0.00               | 5.89              | 0.0  | 0.00                 |
|  | ACCOUNT #: LSR011024           | BUY 1 Units @0.0000         |                      |                     |                    |                   |      |                      |
| 03/19/2018   | ***-**-63TR - EVANS, AUDREY J  | RESOURCE REAL ESTATE-NFS    | 0.00                 | 10.11               | 0.00               | 10.11             | 0.0  | 0.00                 |
|  | ACCOUNT #: LSR011036           | BUY 1 Units @0.0000         |                      |                     |                    |                   |      |                      |
| 03/19/2018   | ***-**-44IO - MAYO, DEBORAH    | RESOURCE REAL ESTATE-NFS    | 0.00                 | 3.13                | 0.00               | 3.13              | 0.0  | 0.00                 |
|  | ACCOUNT #: LSR011079           | BUY 1 Units @0.0000         |                      |                     |                    |                   |      |                      |
| 03/19/2018   | ***-**-861I - SANGER, LAWRENCE | RESOURCE REAL ESTATE-NFS    | 0.00                 | 6.73                | 0.00               | 6.73              | 0.0  | 0.00                 |
|  | ACCOUNT #: LSR011095           | BUY 1 Units @0.0000         |                      |                     |                    |                   |      |                      |
| 03/19/2018   | ***-**-89IN - LEE, ROGER       | RESOURCE REAL ESTATE-NFS    | 0.00                 | 12.61               | 0.00               | 12.61             | 0.0  | 0.00                 |
|  | ACCOUNT #: LSR011166           | BUY 1 Units @0.0000         |                      |                     |                    |                   |      |                      |
| 03/19/2018   | ***-**-29IO - MASSOUD,         | RESOURCE REAL ESTATE-NFS    | 0.00                 | 5.59                | 0.00               | 5.59              | 0.0  | 0.00                 |
|  | ACCOUNT #: LSR011217           | BUY 1 Units @0.0000         |                      |                     |                    |                   |      |                      |
| 03/19/2018   | ***-**-473J - HUSTON,          | RESOURCE REAL ESTATE-NFS    | 0.00                 | 5.61                | 0.00               | 5.61              | 0.0  | 0.00                 |
|  | ACCOUNT #: LSR011228           | BUY 1 Units @0.0000         |                      |                     |                    |                   |      |                      |
| 03/19/2018   | ***-**-653I - KOCHER, CLINTON  | RESOURCE REAL ESTATE-NFS    | 0.00                 | 5.59                | 0.00               | 5.59              | 0.0  | 0.00                 |
|  | ACCOUNT #: LSR011300           | BUY 1 Units @0.0000         |                      |                     |                    |                   |      |                      |
| 03/19/2018   | ***-**-37IO - MCCLUSKY, MARK   | RESOURCE REAL ESTATE-NFS    | 0.00                 | 2.82                | 0.00               | 2.82              | 0.0  | 0.00                 |
|  | ACCOUNT #: LSR011579           | BUY 1 Units @0.0000         |                      |                     |                    |                   |      |                      |
| 03/19/2018   | ***-**-86IN - LEE, KEVIN       | RESOURCE REAL ESTATE-NFS    | 0.00                 | 5.57                | 0.00               | 5.57              | 0.0  | 0.00                 |
|  | ACCOUNT #: LSR011613           | BUY 1 Units @0.0000         |                      |                     |                    |                   |      |                      |





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| DATE   | CLIENT   | INVESTMENT                                      | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|--|---|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |  |   |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |  |   |                      |                     |                    |                   |      |                      |
| 03/19/2018   | ***-**-531J - WILLIAMSON,<br>ACCOUNT #: LSR011716      | RESOURCE REAL ESTATE-NFS<br>BUY 1 Units @0.0000 | 0.00                 | 11.21               | 0.00               | 11.21             | 0.0  | 0.00                 |
| 03/19/2018   | ***-**-633J -<br>ACCOUNT #: LSR011732                  | RESOURCE REAL ESTATE-NFS<br>BUY 1 Units @0.0000 | 0.00                 | 1.66                | 0.00               | 1.66              | 0.0  | 0.00                 |
| 03/19/2018   | ***-**-714O - LINES, JUDITH<br>ACCOUNT #: LSR011763    | RESOURCE REAL ESTATE-NFS<br>BUY 1 Units @0.0000 | 0.00                 | 4.43                | 0.00               | 4.43              | 0.0  | 0.00                 |
| 03/19/2018   | ***-**-31IO - HARTZ, CLAUDIA<br>ACCOUNT #: LSR010915   | RESOURCE REAL ESTATE-NFS<br>BUY 1 Units @0.0000 | 0.00                 | 1.69                | 0.00               | 1.69              | 0.0  | 0.00                 |
| 03/19/2018   | ***-**-72IN - GAVALO, JULIE<br>ACCOUNT #: LSR010921    | RESOURCE REAL ESTATE-NFS<br>BUY 1 Units @0.0000 | 0.00                 | 1.13                | 0.00               | 1.13              | 0.0  | 0.00                 |
| 03/19/2018   | ***-**-93OI - SANGER, KEVIN<br>ACCOUNT #: LSR010941    | RESOURCE REAL ESTATE-NFS<br>BUY 1 Units @0.0000 | 0.00                 | 3.74                | 0.00               | 3.74              | 0.0  | 0.00                 |
| 03/19/2018   | ***-**-628I - SANGER, SANDRA<br>ACCOUNT #: LSR010942   | RESOURCE REAL ESTATE-NFS<br>BUY 1 Units @0.0000 | 0.00                 | 1.60                | 0.00               | 1.60              | 0.0  | 0.00                 |
| 03/19/2018   | ***-**-567I - FRANZ, ALICE<br>ACCOUNT #: LSR010960     | RESOURCE REAL ESTATE-NFS<br>BUY 1 Units @0.0000 | 0.00                 | 1.87                | 0.00               | 1.87              | 0.0  | 0.00                 |
| 03/19/2018   | ***-**-761I - EVANS, DOLORES<br>ACCOUNT #: LSR011024   | RESOURCE REAL ESTATE-NFS<br>BUY 1 Units @0.0000 | 0.00                 | 1.96                | 0.00               | 1.96              | 0.0  | 0.00                 |
| 03/19/2018   | ***-**-63TR - EVANS, AUDREY J<br>ACCOUNT #: LSR011036  | RESOURCE REAL ESTATE-NFS<br>BUY 1 Units @0.0000 | 0.00                 | 3.37                | 0.00               | 3.37              | 0.0  | 0.00                 |
| 03/19/2018   | ***-**-44IO - MAYO, DEBORAH<br>ACCOUNT #: LSR011079    | RESOURCE REAL ESTATE-NFS<br>BUY 1 Units @0.0000 | 0.00                 | 1.04                | 0.00               | 1.04              | 0.0  | 0.00                 |
| 03/19/2018   | ***-**-861I - SANGER, LAWRENCE<br>ACCOUNT #: LSR011095 | RESOURCE REAL ESTATE-NFS<br>BUY 1 Units @0.0000 | 0.00                 | 2.24                | 0.00               | 2.24              | 0.0  | 0.00                 |
| 03/19/2018   | ***-**-89IN - LEE, ROGER<br>ACCOUNT #: LSR011166       | RESOURCE REAL ESTATE-NFS<br>BUY 1 Units @0.0000 | 0.00                 | 4.20                | 0.00               | 4.20              | 0.0  | 0.00                 |
| 03/19/2018   | ***-**-29IO - MASSOUD,<br>ACCOUNT #: LSR011217         | RESOURCE REAL ESTATE-NFS<br>BUY 1 Units @0.0000 | 0.00                 | 1.86                | 0.00               | 1.86              | 0.0  | 0.00                 |
| 03/19/2018   | ***-**-473J - HUSTON,<br>ACCOUNT #: LSR011228          | RESOURCE REAL ESTATE-NFS<br>BUY 1 Units @0.0000 | 0.00                 | 1.87                | 0.00               | 1.87              | 0.0  | 0.00                 |
| 03/19/2018   | ***-**-653I - KOCHER, CLINTON<br>ACCOUNT #: LSR011300  | RESOURCE REAL ESTATE-NFS<br>BUY 1 Units @0.0000 | 0.00                 | 1.86                | 0.00               | 1.86              | 0.0  | 0.00                 |



# COMMISSION STATEMENT

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BROKER #: A77  
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| DATE   | CLIENT                         | INVESTMENT                   | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|--------------------------------|------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |                                |                              |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |                                |                              |                      |                     |                    |                   |      |                      |
| 03/19/2018   | ***-**-37IO - MCCLUSKY, MARK   | RESOURCE REAL ESTATE-NFS     | 0.00                 | 0.94                | 0.00               | 0.94              | 0.0  | 0.00                 |
|  | ACCOUNT #: LSR011579           | BUY 1 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/19/2018   | ***-**-86IN - LEE, KEVIN       | RESOURCE REAL ESTATE-NFS     | 0.00                 | 1.86                | 0.00               | 1.86              | 0.0  | 0.00                 |
|  | ACCOUNT #: LSR011613           | BUY 1 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/19/2018   | ***-**-531J - WILLIAMSON,      | RESOURCE REAL ESTATE-NFS     | 0.00                 | 3.74                | 0.00               | 3.74              | 0.0  | 0.00                 |
|  | ACCOUNT #: LSR011716           | BUY 1 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/19/2018   | ***-**-633J -                  | RESOURCE REAL ESTATE-NFS     | 0.00                 | 0.55                | 0.00               | 0.55              | 0.0  | 0.00                 |
|  | ACCOUNT #: LSR011732           | BUY 1 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/19/2018   | ***-**-714O - LINES, JUDITH    | RESOURCE REAL ESTATE-NFS     | 0.00                 | 1.48                | 0.00               | 1.48              | 0.0  | 0.00                 |
|  | ACCOUNT #: LSR011763           | BUY 1 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/19/2018   | ***-**-680I - HARRELL, DARYL   | SMALLCAP WORLD FUND-A        | 0.00                 | 0.80                | 0.00               | 0.80              | 0.0  | 0.00                 |
|  | ACCOUNT #: LSR011321           | BUY 1 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/19/2018   | ***-**-382I - SATTERLY, NEIL   | SMALLCAP WORLD FUND-C        | 0.00                 | 7.92                | 0.00               | 7.92              | 0.0  | 0.00                 |
|  | ACCOUNT #: LSR010867           | BUY 1 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/19/2018   | ***-**-567I - FRANZ, ALICE     | SMALLCAP WORLD FUND-C        | 0.00                 | 6.51                | 0.00               | 6.51              | 0.0  | 0.00                 |
|  | ACCOUNT #: LSR010960           | BUY 1 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/19/2018   | ***-**-44IO - MAYO, DEBORAH    | SMALLCAP WORLD FUND-C        | 0.00                 | 5.53                | 0.00               | 5.53              | 0.0  | 0.00                 |
|  | ACCOUNT #: LSR011079           | BUY 1 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/19/2018   | ***-**-09IO - BATES, FBO MRS   | SMALLCAP WORLD FUND-C        | 0.00                 | 10.66               | 0.00               | 10.66             | 0.0  | 0.00                 |
|  | ACCOUNT #: LSR011117           | BUY 1 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/19/2018   | ***-**-11IO - LYNN G.          | SMALLCAP WORLD FUND-C        | 0.00                 | 11.12               | 0.00               | 11.12             | 0.0  | 0.00                 |
|  | ACCOUNT #: LSR011239           | BUY 1 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/19/2018   | ***-**-45IO - JOHNSON, GREGORY | SMALLCAP WORLD FUND-C        | 0.00                 | 7.25                | 0.00               | 7.25              | 0.0  | 0.00                 |
|  | ACCOUNT #: LSR011421           | BUY 1 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/19/2018   | ***-**-366I - GRUENEWALD,      | THE GROWTH FUND OF AMERICA-A | 0.00                 | 1.30                | 0.00               | 1.30              | 0.0  | 0.00                 |
|  | ACCOUNT #: LSR010989           | BUY 1 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/19/2018   | ***-**-326I - GRANDE, FBO MR   | THE GROWTH FUND OF AMERICA-A | 0.00                 | 1.98                | 0.00               | 1.98              | 0.0  | 0.00                 |
|  | ACCOUNT #: LSR011091           | BUY 1 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/19/2018   | ***-**-567I - FRANZ, ALICE     | THE GROWTH FUND OF AMERICA-C | 0.00                 | 9.52                | 0.00               | 9.52              | 0.0  | 0.00                 |
|  | ACCOUNT #: LSR010960           | BUY 1 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 03/19/2018   | ***-**-287I - HINCKLEY,        | THE INCOME FUND OF AMERICA-A | 0.00                 | 4.16                | 0.00               | 4.16              | 0.0  | 0.00                 |
|  | ACCOUNT #: LSR010843           | BUY 1 Units @0.0000          |                      |                     |                    |                   |      |                      |



# COMMISSION STATEMENT

March 19, 2018

KURT GRUENEWALD  
2108 Genesee St.  
Utica, NY 13502

BROKER #: A77  
BRANCH #01047 - 47 - GRIFFITH

| DATE   | CLIENT                        | INVESTMENT                          | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|-------------------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |                               |                                     |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |                               |                                     |                      |                     |                    |                   |      |                      |
| 03/19/2018   | ***-**-702I - KOHEM, MICHAEL  | THE INCOME FUND OF AMERICA-A        | 0.00                 | 3.25                | 0.00               | 3.25              | 0.0  | 0.00                 |
|  | ACCOUNT #: LSR010954          | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/19/2018   | ***-**-959J - FRANZ, PAUL     | THE INCOME FUND OF AMERICA-A        | 0.00                 | 2.63                | 0.00               | 2.63              | 0.0  | 0.00                 |
|  | ACCOUNT #: LSR010958          | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/19/2018   | ***-**-366I - GRUENEWALD,     | THE INCOME FUND OF AMERICA-A        | 0.00                 | 1.62                | 0.00               | 1.62              | 0.0  | 0.00                 |
|  | ACCOUNT #: LSR010989          | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/19/2018   | ***-**-579J - RHYMESTINE,     | THE INCOME FUND OF AMERICA-A        | 0.00                 | 0.92                | 0.00               | 0.92              | 0.0  | 0.00                 |
|  | ACCOUNT #: LSR011081          | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/19/2018   | ***-**-326I - GRANDE, FBO MR  | THE INCOME FUND OF AMERICA-A        | 0.00                 | 2.12                | 0.00               | 2.12              | 0.0  | 0.00                 |
|  | ACCOUNT #: LSR011091          | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/19/2018   | ***-**-680I - HARRELL, DARYL  | THE INCOME FUND OF AMERICA-A        | 0.00                 | 1.02                | 0.00               | 1.02              | 0.0  | 0.00                 |
|  | ACCOUNT #: LSR011321          | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/19/2018   | ***-**-128I - BASHANT, THOMAS | THE INCOME FUND OF AMERICA-A        | 0.00                 | 0.88                | 0.00               | 0.88              | 0.0  | 0.00                 |
|  | ACCOUNT #: LSR011387          | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/19/2018   | ***-**-30TR - AND SANDRA      | THE INCOME FUND OF AMERICA-A        | 0.00                 | 2.42                | 0.00               | 2.42              | 0.0  | 0.00                 |
|  | ACCOUNT #: LSR011939          | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/19/2018   | ***-**-80IO - EVANS, RICHARD  | THE NEW ECONOMY FUND-C              | 0.00                 | 10.56               | 0.00               | 10.56             | 0.0  | 0.00                 |
|  | ACCOUNT #: LSR011276          | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/19/2018   | ***-**-959J - FRANZ, PAUL     | U.S. GOVERNMENT SECURITIES FUND CLA | 0.00                 | 3.28                | 0.00               | 3.28              | 0.0  | 0.00                 |
|  | ACCOUNT #: LSR010958          | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/19/2018   | ***-**-07IO - FAMOLARO, JAMES | WELLS FARGO ASSET ALLOCATION CL A   | 0.00                 | 2.82                | 0.00               | 2.82              | 0.0  | 0.00                 |
|  | ACCOUNT #: LSR011280          | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/19/2018   | ***-**-07IO - FAMOLARO, JAMES | WELLS FARGO GLOBAL OPPT FD CL A     | 0.00                 | 1.25                | 0.00               | 1.25              | 0.0  | 0.00                 |
|  | ACCOUNT #: LSR011280          | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/19/2018   | ***-**-680I - HARRELL, DARYL  | WELLS FARGO SPECIALIZED TECH A      | 0.00                 | 1.66                | 0.00               | 1.66              | 0.0  | 0.00                 |
|  | ACCOUNT #: LSR011321          | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 03/19/2018   | ***-**-680I - HARRELL, DARYL  | WELLS FARGO UTILITY TELECOM CL A    | 0.00                 | 1.17                | 0.00               | 1.17              | 0.0  | 0.00                 |
|  | ACCOUNT #: LSR011321          | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| <b>* MUTUAL FUND 12B1 TRAILS SUBTOTAL *</b>                  |                               |                                     | <b>\$0.00</b>        | <b>\$1,630.09</b>   | <b>\$0.00</b>      | <b>\$1,630.09</b> |      | <b>\$0.00</b>        |
| <b>*** BROKER TRANSACTIONS TOTAL ***</b>                     |                               |                                     | <b>\$144,859.50</b>  | <b>\$3,276.91</b>   | <b>\$341.00</b>    | <b>\$2,935.91</b> |      | <b>\$0.00</b>        |



# COMMISSION STATEMENT

March 19, 2018

KURT GRUENEWALD  
2108 Genesee St.  
Utica, NY 13502

BROKER #: A77  
BRANCH #01047 - 47 - GRIFFITH

| DATE   | CLIENT | INVESTMENT | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION     | RATE | BROKER<br>COMMISSION |
|--|--------|------------|----------------------|---------------------|--------------------|-----------------------|------|----------------------|
| <b><u>BROKER COMMISSION TOTALS</u></b>                                 |        |            |                      |                     |                    |                       |      |                      |
|  |        |            |                      |                     |                    | Broker Transactions   |      | \$0.00               |
|  |        |            |                      |                     |                    | Split Transactions    |      | \$0.00               |
|  |        |            |                      |                     |                    | Override Transactions |      | \$0.00               |
|  |        |            |                      |                     |                    | Adjustments           |      | \$0.00               |
|  |        |            |                      |                     |                    | Payroll Draw          |      | \$0.00               |
|  |        |            |                      |                     |                    | Base Salary           |      | \$0.00               |
|  |        |            |                      |                     |                    | Prior Period Balance  |      | \$0.00               |
|  |        |            |                      |                     |                    | FINRA Assessment      |      | \$0.00               |
|  |        |            |                      |                     |                    | SIPC Assessment       |      | \$0.00               |
| Please Retain for Your Records<br>THERE WILL BE NO PAYMENT THIS PERIOD |        |            |                      |                     |                    |                       |      |                      |
| <b>Balance Forward</b>   |        |            |                      |                     |                    |                       |      | <b>\$0.00</b>        |
| <b>Year-to-date Earnings</b>   |        |            |                      |                     |                    |                       |      | <b>\$53,722.71</b>   |