



# COMMISSION STATEMENT

June 18, 2018

DAVID GRIFFITH  
2108 Genesee St.  
Utica, NY 13502

BROKER #: A76  
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> |                                                          |                                                                |                      |                     |                    |                   |      |                      |
| 06/18/2018                                              | ***-**-599I - MCCARTHY, DONNA                            | UNDERWRITER COMM<br>BUY 0 Units @0.0000                        | 0.00                 | 87.21               | 0.00               | 87.21             | 88.0 | 76.74                |
|                                                         |                                                          | <b>* ALTERNATIVE INVESTMENTS SUBTOTAL *</b>                    | <b>\$0.00</b>        | <b>\$87.21</b>      | <b>\$0.00</b>      | <b>\$87.21</b>    |      | <b>\$76.74</b>       |
| <b><u>PRODUCT CATEGORY: MUTUAL FUNDS</u></b>            |                                                          |                                                                |                      |                     |                    |                   |      |                      |
| 06/01/2018                                              | ***-**-267I - HAMMILL, ELISE<br>ACCOUNT #: 08191335171   | MFS GLOBAL TOTAL RETURN FUND-B<br>BUY 4 Units @18.0700         | 75.00                | 3.00                | 0.00               | 3.00              | 88.0 | 2.64                 |
| 06/11/2018                                              | ***-**-154I - THIBAUT, LISA<br>ACCOUNT #: LSR012622      | MFS GLOBAL TOTAL RETURN FUND-B<br>BUY 217 Units @18.2000       | 3,950.00             | 176.00              | 18.00              | 158.00            | 88.0 | 139.04               |
| 06/11/2018                                              | ***-**-686I - STRUMPFLER, MARK<br>ACCOUNT #: 00060352385 | MFS UTILITIES FUND-B<br>BUY 4 Units @19.7900                   | 75.00                | 3.00                | 0.00               | 3.00              | 88.0 | 2.64                 |
|                                                         |                                                          | <b>* MUTUAL FUNDS SUBTOTAL *</b>                               | <b>\$4,100.00</b>    | <b>\$182.00</b>     | <b>\$18.00</b>     | <b>\$164.00</b>   |      | <b>\$144.32</b>      |
| <b><u>PRODUCT CATEGORY: STOCKS</u></b>                  |                                                          |                                                                |                      |                     |                    |                   |      |                      |
| 06/13/2018                                              | ***-**-034J - NIKODEM, JOSEPH<br>ACCOUNT #: LSR010887    | COVANTA HLDG CORP COM<br>SELL 300 Units @16.2000               | 4,860.00             | 87.49               | 21.00              | 66.49             | 88.0 | 58.51                |
| 06/08/2018                                              | ***-**-762I - STORSBERG,<br>ACCOUNT #: LSR011688         | FORD MTR CO DEL COM UNSOLICITED ORD<br>SELL 300 Units @12.1100 | 3,633.00             | 67.49               | 21.00              | 46.49             | 88.0 | 40.91                |
| 06/08/2018                                              | ***-**-968J - THIBAUT, JOHN<br>ACCOUNT #: LSR012700      | NATIONAL GRID SPON ADR EACH REP 5 O<br>BUY 85 Units @55.6150   | 4,727.28             | 87.49               | 16.70              | 70.79             | 88.0 | 62.30                |
|                                                         |                                                          | <b>* STOCKS SUBTOTAL *</b>                                     | <b>\$13,220.28</b>   | <b>\$242.47</b>     | <b>\$58.70</b>     | <b>\$183.77</b>   |      | <b>\$161.72</b>      |
| <b><u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u></b> |                                                          |                                                                |                      |                     |                    |                   |      |                      |
| 06/01/2018                                              | ***-**-9156 - SIMPSON, PATRICK<br>ACCOUNT #: 00074686908 | AMCAP FUND-A<br>BUY 0 Units @0.0000                            | 0.00                 | 16.17               | 0.00               | 16.17             | 88.0 | 14.23                |
| 06/18/2018                                              | ***-**-91IN - RICHARDSON,<br>ACCOUNT #: LSR010900        | AMCAP FUND-F1<br>BUY 1 Units @0.0000                           | 0.00                 | 0.64                | 0.00               | 0.64              | 88.0 | 0.56                 |
| 06/01/2018                                              | ***-**-64IN - KIO, EVELYN<br>ACCOUNT #: 00067349392      | AMERICAN BALANCED FUND-A<br>BUY 0 Units @0.0000                | 0.00                 | 1.54                | 0.00               | 1.54              | 88.0 | 1.36                 |
| 06/01/2018                                              | ***-**-968I - THIBAUT JR,<br>ACCOUNT #: 00064875131      | AMERICAN BALANCED FUND-A<br>BUY 0 Units @0.0000                | 0.00                 | 1.98                | 0.00               | 1.98              | 88.0 | 1.74                 |
| 06/01/2018                                              | ***-**-225P - DAMSKY, CYNTHIA<br>ACCOUNT #: 00068200312  | AMERICAN BALANCED FUND-A<br>BUY 0 Units @0.0000                | 0.00                 | 4.33                | 0.00               | 4.33              | 88.0 | 3.81                 |



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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> |                                                         |                                                            |                      |                     |                    |                   |      |                      |
| 06/01/2018                                                   | ***-**-25IR - SCOTELLARO,<br>ACCOUNT #: 00081400337     | AMERICAN BALANCED FUND-A<br>BUY 0 Units @0.0000            | 0.00                 | 1.69                | 0.00               | 1.69              | 88.0 | 1.49                 |
| 06/01/2018                                                   | ***-**-26IR - BROWN, MARISSA<br>ACCOUNT #: 00081497402  | AMERICAN BALANCED FUND-A<br>BUY 0 Units @0.0000            | 0.00                 | 0.79                | 0.00               | 0.79              | 88.0 | 0.70                 |
| 06/01/2018                                                   | ***-**-924J - FISH, ROY<br>ACCOUNT #: 00083431914       | AMERICAN BALANCED FUND-A<br>BUY 0 Units @0.0000            | 0.00                 | 0.95                | 0.00               | 0.95              | 88.0 | 0.84                 |
| 06/18/2018                                                   | ***-**-621O - DANIELS, JOHN<br>ACCOUNT #: LSR012373     | AMERICAN BALANCED FUND-A<br>BUY 1 Units @0.0000            | 0.00                 | 0.76                | 0.00               | 0.76              | 88.0 | 0.67                 |
| 06/01/2018                                                   | ***-**-244I - BURTON, RICHARD<br>ACCOUNT #: 00065159109 | AMERICAN BALANCED FUND-C<br>BUY 0 Units @0.0000            | 0.00                 | 7.99                | 0.00               | 7.99              | 88.0 | 7.03                 |
| 06/01/2018                                                   | ***-**-675P - PICKARD, BRIAN<br>ACCOUNT #: 00088359310  | AMERICAN FNDS MORTGAGE FUND-529C<br>BUY 0 Units @0.0000    | 0.00                 | 4.03                | 0.00               | 4.03              | 88.0 | 3.55                 |
| 06/01/2018                                                   | ***-**-675P - PICKARD, BRIAN<br>ACCOUNT #: 00088359322  | AMERICAN FNDS MORTGAGE FUND-529C<br>BUY 0 Units @0.0000    | 0.00                 | 5.16                | 0.00               | 5.16              | 88.0 | 4.54                 |
| 06/01/2018                                                   | ***-**-675P - PICKARD, BRIAN<br>ACCOUNT #: 00088359310  | AMERICAN FUNDDS PRESERVATION PORTFO<br>BUY 0 Units @0.0000 | 0.00                 | 7.94                | 0.00               | 7.94              | 88.0 | 6.99                 |
| 06/01/2018                                                   | ***-**-36IN - GAUTHIER,<br>ACCOUNT #: 00084124769       | AMERICAN FUNDS 2035 TARGET DATE-A<br>BUY 0 Units @0.0000   | 0.00                 | 0.23                | 0.00               | 0.23              | 88.0 | 0.20                 |
| 06/01/2018                                                   | ***-**-675P - PICKARD, BRIAN<br>ACCOUNT #: 00088359310  | AMERICAN FUNDS INFLATION LINKED BON<br>BUY 0 Units @0.0000 | 0.00                 | 18.77               | 0.00               | 18.77             | 88.0 | 16.52                |
| 06/01/2018                                                   | ***-**-244I - BURTON, RICHARD<br>ACCOUNT #: 00065159109 | AMERICAN FUNDS INFLT LINKED BOND CL<br>BUY 0 Units @0.0000 | 0.00                 | 9.85                | 0.00               | 9.85              | 88.0 | 8.67                 |
| 06/18/2018                                                   | ***-**-656I - SMOLA, STANLEY<br>ACCOUNT #: LSR010868    | AMERICAN FUNDS MORTGAGE CL F1<br>BUY 1 Units @0.0000       | 0.00                 | 1.71                | 0.00               | 1.71              | 88.0 | 1.50                 |
| 06/18/2018                                                   | ***-**-91IN - RICHARDSON,<br>ACCOUNT #: LSR010900       | AMERICAN FUNDS MORTGAGE CL F1<br>BUY 1 Units @0.0000       | 0.00                 | 1.32                | 0.00               | 1.32              | 88.0 | 1.16                 |
| 06/01/2018                                                   | ***-**-244I - BURTON, RICHARD<br>ACCOUNT #: 00065159109 | AMERICAN FUNDS MORTGAGE FD CL C<br>BUY 0 Units @0.0000     | 0.00                 | 19.57               | 0.00               | 19.57             | 88.0 | 17.22                |
| 06/01/2018                                                   | ***-**-7473 - SCOTELLARO,<br>ACCOUNT #: 00073919652     | AMERICAN FUNDS MORTGAGE FD CL C<br>BUY 0 Units @0.0000     | 0.00                 | 2.54                | 0.00               | 2.54              | 88.0 | 2.24                 |
| 06/01/2018                                                   | ***-**-60IN - SCHRADER, KEVIN<br>ACCOUNT #: 00088507883 | AMERICAN FUNDS MORTGAGE FD CL C<br>BUY 0 Units @0.0000     | 0.00                 | 4.17                | 0.00               | 4.17              | 88.0 | 3.67                 |



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|--------------------------------------------------------------|--------------------------------|---------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |                                |                                 |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |                                |                                 |                      |                     |                    |                   |      |                      |
| 06/01/2018                                                   | ***-**-953I - DINIITTO, NICOLE | AMERICAN FUNDS MORTGAGE FD CL C | 0.00                 | 1.51                | 0.00               | 1.51              | 88.0 | 1.33                 |
|                                                              | ACCOUNT #: 00088593891         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 06/01/2018                                                   | ***-**-04IN - CLEARY, STEPHEN  | AMERICAN FUNDS MORTGAGE FD CL C | 0.00                 | 2.83                | 0.00               | 2.83              | 88.0 | 2.49                 |
|                                                              | ACCOUNT #: 00088608566         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 06/01/2018                                                   | ***-**-39IN - CLEARY, KAREN    | AMERICAN FUNDS MORTGAGE FD CL C | 0.00                 | 2.07                | 0.00               | 2.07              | 88.0 | 1.82                 |
|                                                              | ACCOUNT #: 00088635688         | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 06/18/2018                                                   | ***-**-58IN - SCHRECK, RYAN    | AMERICAN FUNDS MORTGAGE FD CL C | 0.00                 | 5.28                | 0.00               | 5.28              | 88.0 | 4.65                 |
|                                                              | ACCOUNT #: LSR010873           | BUY 1 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 06/18/2018                                                   | ***-**-60IN - SCHRADER, KEVIN  | AMERICAN FUNDS MORTGAGE FD CL C | 0.00                 | 9.85                | 0.00               | 9.85              | 88.0 | 8.67                 |
|                                                              | ACCOUNT #: LSR010897           | BUY 1 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 06/18/2018                                                   | ***-**-753I - SABANOSH, ALAN   | AMERICAN FUNDS MORTGAGE FD CL C | 0.00                 | 21.30               | 0.00               | 21.30             | 88.0 | 18.74                |
|                                                              | ACCOUNT #: LSR010909           | BUY 1 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 06/18/2018                                                   | ***-**-53TR - SABANOSH, ALAN R | AMERICAN FUNDS MORTGAGE FD CL C | 0.00                 | 10.25               | 0.00               | 10.25             | 88.0 | 9.02                 |
|                                                              | ACCOUNT #: LSR010917           | BUY 1 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 06/18/2018                                                   | ***-**-467J - PICKARD, BRIAN   | AMERICAN FUNDS MORTGAGE FD CL C | 0.00                 | 11.17               | 0.00               | 11.17             | 88.0 | 9.83                 |
|                                                              | ACCOUNT #: LSR010943           | BUY 1 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 06/18/2018                                                   | ***-**-88IN - PICKARD, ELAINE  | AMERICAN FUNDS MORTGAGE FD CL C | 0.00                 | 9.28                | 0.00               | 9.28              | 88.0 | 8.17                 |
|                                                              | ACCOUNT #: LSR010957           | BUY 1 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 06/18/2018                                                   | ***-**-80TR - SCOTELLARO TTEE, | AMERICAN FUNDS MORTGAGE FD CL C | 0.00                 | 24.79               | 0.00               | 24.79             | 88.0 | 21.82                |
|                                                              | ACCOUNT #: LSR010974           | BUY 1 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 06/18/2018                                                   | ***-**-69IN - HAUCK, JUDITH    | AMERICAN FUNDS MORTGAGE FD CL C | 0.00                 | 9.39                | 0.00               | 9.39              | 88.0 | 8.26                 |
|                                                              | ACCOUNT #: LSR010980           | BUY 1 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 06/18/2018                                                   | ***-**-973I - CHAMBERS, ROGER  | AMERICAN FUNDS MORTGAGE FD CL C | 0.00                 | 9.34                | 0.00               | 9.34              | 88.0 | 8.22                 |
|                                                              | ACCOUNT #: LSR011018           | BUY 1 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 06/18/2018                                                   | ***-**-22IN - GRACIE, JULIA    | AMERICAN FUNDS MORTGAGE FD CL C | 0.00                 | 8.16                | 0.00               | 8.16              | 88.0 | 7.18                 |
|                                                              | ACCOUNT #: LSR011019           | BUY 1 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 06/18/2018                                                   | ***-**-29IO - LORUSSO, VINCENT | AMERICAN FUNDS MORTGAGE FD CL C | 0.00                 | 5.35                | 0.00               | 5.35              | 88.0 | 4.71                 |
|                                                              | ACCOUNT #: LSR011681           | BUY 1 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 06/18/2018                                                   | ***-**-762I - STORSBERG,       | AMERICAN FUNDS MORTGAGE FD CL C | 0.00                 | 25.07               | 0.00               | 25.07             | 88.0 | 22.06                |
|                                                              | ACCOUNT #: LSR011688           | BUY 1 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 06/18/2018                                                   | ***-**-03IN - BOSHART, PEGGY   | AMERICAN FUNDS MORTGAGE FD CL C | 0.00                 | 4.09                | 0.00               | 4.09              | 88.0 | 3.60                 |
|                                                              | ACCOUNT #: LSR011744           | 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> |                               |                                     |                      |                     |                    |                   |      |                      |
| 06/01/2018                                                   | ***-**-675P - PICKARD, BRIAN  | AMERICAN FUNDS SHORT-TERM BOND FUND | 0.00                 | 3.74                | 0.00               | 3.74              | 88.0 | 3.29                 |
|                                                              | ACCOUNT #: 00088359310        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 06/01/2018                                                   | ***-**-90IN - SPINA, MARK     | AMERICAN GLOBAL BALANCED CL C       | 0.00                 | 17.32               | 0.00               | 17.32             | 88.0 | 15.24                |
|                                                              | ACCOUNT #: 00088527332        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 06/01/2018                                                   | ***-**-244I - BURTON, RICHARD | AMERICAN GLOBAL BALANCED CL C       | 0.00                 | 30.30               | 0.00               | 30.30             | 88.0 | 26.66                |
|                                                              | ACCOUNT #: 00065159109        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 06/01/2018                                                   | ***-**-817I - WADSWORTH,      | AMERICAN GLOBAL BALANCED CL C       | 0.00                 | 14.31               | 0.00               | 14.31             | 88.0 | 12.59                |
|                                                              | ACCOUNT #: 00067441742        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 06/01/2018                                                   | ***-**-801I - HAGAN III,      | AMERICAN GLOBAL BALANCED CL C       | 0.00                 | 13.11               | 0.00               | 13.11             | 88.0 | 11.54                |
|                                                              | ACCOUNT #: 00088485981        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 06/01/2018                                                   | ***-**-60IN - SCHRADER, KEVIN | AMERICAN GLOBAL BALANCED CL C       | 0.00                 | 12.94               | 0.00               | 12.94             | 88.0 | 11.39                |
|                                                              | ACCOUNT #: 00088507883        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 06/01/2018                                                   | ***-**-953I - DINITTO, NICOLE | AMERICAN GLOBAL BALANCED CL C       | 0.00                 | 10.83               | 0.00               | 10.83             | 88.0 | 9.53                 |
|                                                              | ACCOUNT #: 00088593891        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 06/01/2018                                                   | ***-**-04IN - CLEARY, STEPHEN | AMERICAN GLOBAL BALANCED CL C       | 0.00                 | 8.01                | 0.00               | 8.01              | 88.0 | 7.05                 |
|                                                              | ACCOUNT #: 00088608566        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 06/01/2018                                                   | ***-**-39IN - CLEARY, KAREN   | AMERICAN GLOBAL BALANCED CL C       | 0.00                 | 3.74                | 0.00               | 3.74              | 88.0 | 3.29                 |
|                                                              | ACCOUNT #: 00088635688        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 06/01/2018                                                   | ***-**-58IN - SCHRECK, RYAN   | AMERICAN GLOBAL BALANCED CL C       | 0.00                 | 7.83                | 0.00               | 7.83              | 88.0 | 6.89                 |
|                                                              | ACCOUNT #: 00088659742        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 06/18/2018                                                   | ***-**-753I - SABANOSH, ALAN  | AMERICAN GLOBAL BALANCED CL C       | 0.00                 | 49.81               | 0.00               | 49.81             | 88.0 | 43.83                |
|                                                              | ACCOUNT #: LSR010909          | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 06/18/2018                                                   | ***-**-88IN - PICKARD, ELAINE | AMERICAN GLOBAL BALANCED CL C       | 0.00                 | 19.29               | 0.00               | 19.29             | 88.0 | 16.98                |
|                                                              | ACCOUNT #: LSR010957          | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 06/18/2018                                                   | ***-**-973I - CHAMBERS, ROGER | AMERICAN GLOBAL BALANCED CL C       | 0.00                 | 14.57               | 0.00               | 14.57             | 88.0 | 12.82                |
|                                                              | ACCOUNT #: LSR011018          | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 06/18/2018                                                   | ***-**-73IN - SCOTELLARO IV,  | AMERICAN GLOBAL BALANCED CL C       | 0.00                 | 6.81                | 0.00               | 6.81              | 88.0 | 5.99                 |
|                                                              | ACCOUNT #: LSR011086          | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 06/18/2018                                                   | ***-**-05IN - HULL, JEFFERY   | AMERICAN GLOBAL BALANCED CL C       | 0.00                 | 15.29               | 0.00               | 15.29             | 88.0 | 13.46                |
|                                                              | ACCOUNT #: LSR011187          | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 06/18/2018                                                   | ***-**-90IN - PICKARD, KAREN  | AMERICAN GLOBAL BALANCED CL C       | 0.00                 | 9.82                | 0.00               | 9.82              | 88.0 | 8.64                 |
|                                                              | ACCOUNT #: LSR011687          | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |



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|--------------------------------------------------------------|--------------------------------|----------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>                       |                                |                                  |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b> |                                |                                  |                      |                     |                    |                   |      |                      |
| 06/18/2018                                                   | ***-**-03IN - BOSHART, PEGGY   | AMERICAN GLOBAL BALANCED CL C    | 0.00                 | 9.57                | 0.00               | 9.57              | 88.0 | 8.42                 |
|                                                              | ACCOUNT #: LSR011744           | BUY 1 Units @0.0000              |                      |                     |                    |                   |      |                      |
| 06/18/2018                                                   | ***-**-03IR - BOSHART, PEGGY   | AMERICAN GLOBAL BALANCED CL C    | 0.00                 | 12.88               | 0.00               | 12.88             | 88.0 | 11.33                |
|                                                              | ACCOUNT #: LSR011749           | BUY 1 Units @0.0000              |                      |                     |                    |                   |      |                      |
| 06/01/2018                                                   | ***-**-9156 - SIMPSON, PATRICK | AMERICAN GLOBAL BALANCED CLASS A | 0.00                 | 9.48                | 0.00               | 9.48              | 88.0 | 8.34                 |
|                                                              | ACCOUNT #: 00074686908         | BUY 0 Units @0.0000              |                      |                     |                    |                   |      |                      |
| 06/01/2018                                                   | ***-**-0040 - GRIFFITH,        | AMERICAN GLOBAL BALANCED CLASS A | 0.00                 | 1.46                | 0.00               | 1.46              | 88.0 | 1.28                 |
|                                                              | ACCOUNT #: 00083176630         | BUY 0 Units @0.0000              |                      |                     |                    |                   |      |                      |
| 06/01/2018                                                   | ***-**-225P - DAMSKY, CYNTHIA  | AMERICAN GLOBAL BALANCED CLASS A | 0.00                 | 0.91                | 0.00               | 0.91              | 88.0 | 0.80                 |
|                                                              | ACCOUNT #: 00068200312         | BUY 0 Units @0.0000              |                      |                     |                    |                   |      |                      |
| 06/01/2018                                                   | ***-**-924J - FISH, ROY        | AMERICAN GLOBAL BALANCED CLASS A | 0.00                 | 7.02                | 0.00               | 7.02              | 88.0 | 6.18                 |
|                                                              | ACCOUNT #: 00083431914         | BUY 0 Units @0.0000              |                      |                     |                    |                   |      |                      |
| 06/01/2018                                                   | ***-**-716I - BUCZEK, DENISE   | AMERICAN GLOBAL BALANCED CLASS A | 0.00                 | 6.43                | 0.00               | 6.43              | 88.0 | 5.66                 |
|                                                              | ACCOUNT #: 00088176764         | BUY 0 Units @0.0000              |                      |                     |                    |                   |      |                      |
| 06/01/2018                                                   | ***-**-88IN - PICKARD, ELAINE  | AMERICAN GLOBAL BALANCED CLASS A | 0.00                 | 5.53                | 0.00               | 5.53              | 88.0 | 4.87                 |
|                                                              | ACCOUNT #: 00088242778         | BUY 0 Units @0.0000              |                      |                     |                    |                   |      |                      |
| 06/18/2018                                                   | ***-**-355I - CRIMMINS, KAREN  | AMERICAN GLOBAL BALANCED CLASS A | 0.00                 | 3.35                | 0.00               | 3.35              | 88.0 | 2.95                 |
|                                                              | ACCOUNT #: LSR011077           | BUY 1 Units @0.0000              |                      |                     |                    |                   |      |                      |
| 06/18/2018                                                   | ***-**-6210 - DANIELS, JOHN    | AMERICAN GLOBAL BALANCED CLASS A | 0.00                 | 5.47                | 0.00               | 5.47              | 88.0 | 4.81                 |
|                                                              | ACCOUNT #: LSR012373           | BUY 1 Units @0.0000              |                      |                     |                    |                   |      |                      |
| 06/01/2018                                                   | ***-**-64IN - KIO, EVELYN      | AMERICAN HIGH-INCOME TRUST-A     | 0.00                 | 1.40                | 0.00               | 1.40              | 88.0 | 1.23                 |
|                                                              | ACCOUNT #: 00067349392         | BUY 0 Units @0.0000              |                      |                     |                    |                   |      |                      |
| 06/01/2018                                                   | ***-**-244I - BURTON, RICHARD  | AMERICAN HIGH-INCOME TRUST-C     | 0.00                 | 7.63                | 0.00               | 7.63              | 88.0 | 6.71                 |
|                                                              | ACCOUNT #: 00065159109         | BUY 0 Units @0.0000              |                      |                     |                    |                   |      |                      |
| 06/18/2018                                                   | ***-**-08TR - SCOTELLARO III,  | AMERICAN HIGH-INCOME TRUST-C     | 0.00                 | 27.24               | 0.00               | 27.24             | 88.0 | 23.97                |
|                                                              | ACCOUNT #: LSR010975           | BUY 1 Units @0.0000              |                      |                     |                    |                   |      |                      |
| 06/01/2018                                                   | ***-**-225P - DAMSKY, CYNTHIA  | AMERICAN MORTGAGE FUND CL A      | 0.00                 | 0.79                | 0.00               | 0.79              | 88.0 | 0.70                 |
|                                                              | ACCOUNT #: 00068200312         | BUY 0 Units @0.0000              |                      |                     |                    |                   |      |                      |
| 06/01/2018                                                   | ***-**-716I - BUCZEK, DENISE   | AMERICAN MORTGAGE FUND CL A      | 0.00                 | 1.98                | 0.00               | 1.98              | 88.0 | 1.74                 |
|                                                              | ACCOUNT #: 00088176764         | BUY 0 Units @0.0000              |                      |                     |                    |                   |      |                      |
| 06/18/2018                                                   | ***-**-698J - FEISTHAMEL, MR   | AMERICAN MORTGAGE FUND CL A      | 0.00                 | 2.17                | 0.00               | 2.17              | 88.0 | 1.91                 |
|                                                              | ACCOUNT #: LSR011137           | BUY 1 Units @0.0000              |                      |                     |                    |                   |      |                      |



# COMMISSION STATEMENT

June 18, 2018

DAVID GRIFFITH  
2108 Genesee St.  
Utica, NY 13502

BROKER #: A76  
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> |                               |                                     |                      |                     |                    |                   |      |                      |
| 06/18/2018                                                   | ***-**-6210 - DANIELS, JOHN   | AMERICAN MORTGAGE FUND CL A         | 0.00                 | 4.16                | 0.00               | 4.16              | 88.0 | 3.66                 |
|                                                              | ACCOUNT #: LSR012373          | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 06/01/2018                                                   | ***-**-225P - DAMSKY, CYNTHIA | AMERICAN MUTUAL FUND-A              | 0.00                 | 2.28                | 0.00               | 2.28              | 88.0 | 2.01                 |
|                                                              | ACCOUNT #: 00068200312        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 06/01/2018                                                   | ***-**-244I - BURTON, RICHARD | AMERICAN MUTUAL FUND-F1             | 0.00                 | 0.34                | 0.00               | 0.34              | 88.0 | 0.30                 |
|                                                              | ACCOUNT #: 00065159109        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 06/01/2018                                                   | ***-**-90IN - SPINA, MARK     | CAPITAL INCOME BUILDER CLASS C      | 0.00                 | 6.79                | 0.00               | 6.79              | 88.0 | 5.98                 |
|                                                              | ACCOUNT #: 00088527332        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 06/01/2018                                                   | ***-**-675P - PICKARD, BRIAN  | CAPITAL INCOME BUILDER-529C         | 0.00                 | 8.23                | 0.00               | 8.23              | 88.0 | 7.24                 |
|                                                              | ACCOUNT #: 00088359310        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 06/01/2018                                                   | ***-**-675P - PICKARD, BRIAN  | CAPITAL INCOME BUILDER-529C         | 0.00                 | 5.03                | 0.00               | 5.03              | 88.0 | 4.43                 |
|                                                              | ACCOUNT #: 00088359322        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 06/01/2018                                                   | ***-**-817I - WADSWORTH,      | CAPITAL INCOME BUILDER-A            | 0.00                 | 6.87                | 0.00               | 6.87              | 88.0 | 6.05                 |
|                                                              | ACCOUNT #: 00067441742        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 06/01/2018                                                   | ***-**-716I - BUCZEK, DENISE  | CAPITAL INCOME BUILDER-A            | 0.00                 | 2.93                | 0.00               | 2.93              | 88.0 | 2.58                 |
|                                                              | ACCOUNT #: 00088176764        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 06/18/2018                                                   | ***-**-25IR - PERRITANO,      | CAPITAL INCOME BUILDER-A            | 0.00                 | 0.16                | 0.00               | 0.16              | 88.0 | 0.14                 |
|                                                              | ACCOUNT #: LSR010923          | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 06/18/2018                                                   | ***-**-25IN - PERRITANO,      | CAPITAL INCOME BUILDER-A            | 0.00                 | 0.31                | 0.00               | 0.31              | 88.0 | 0.27                 |
|                                                              | ACCOUNT #: LSR010924          | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 06/01/2018                                                   | ***-**-244I - BURTON, RICHARD | CAPITAL INCOME BUILDER-F1           | 0.00                 | 1.93                | 0.00               | 1.93              | 88.0 | 1.70                 |
|                                                              | ACCOUNT #: 00065159109        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 06/18/2018                                                   | ***-**-656I - SMOLA, STANLEY  | CAPITAL INCOME BUILDER-F1           | 0.00                 | 2.57                | 0.00               | 2.57              | 88.0 | 2.26                 |
|                                                              | ACCOUNT #: LSR010868          | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 06/01/2018                                                   | ***-**-244I - BURTON, RICHARD | CAPITAL WORLD BOND FUND-C           | 0.00                 | 8.79                | 0.00               | 8.79              | 88.0 | 7.74                 |
|                                                              | ACCOUNT #: 00065159109        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 06/01/2018                                                   | ***-**-39IN - CLEARY, KAREN   | CAPITAL WORLD BOND FUND-C           | 0.00                 | 2.12                | 0.00               | 2.12              | 88.0 | 1.87                 |
|                                                              | ACCOUNT #: 00088635688        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 06/01/2018                                                   | ***-**-58IN - SCHRECK, RYAN   | CAPITAL WORLD BOND FUND-C           | 0.00                 | 7.15                | 0.00               | 7.15              | 88.0 | 6.29                 |
|                                                              | ACCOUNT #: 00088659742        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 06/01/2018                                                   | ***-**-64IN - KIO, EVELYN     | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00                 | 2.43                | 0.00               | 2.43              | 88.0 | 2.14                 |
|                                                              | ACCOUNT #: 00067349392        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |



# COMMISSION STATEMENT

June 18, 2018

DAVID GRIFFITH  
2108 Genesee St.  
Utica, NY 13502

BROKER #: A76  
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> |                                |                                     |                      |                     |                    |                   |      |                      |
| 06/01/2018                                                   | ***-**-72IN - THIBAUT, JOHN    | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00                 | 1.55                | 0.00               | 1.55              | 88.0 | 1.36                 |
|                                                              | ACCOUNT #: 00073188948         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 06/01/2018                                                   | ***-**-7704 - AYRES, JENNIFER  | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00                 | 0.76                | 0.00               | 0.76              | 88.0 | 0.67                 |
|                                                              | ACCOUNT #: 00073769241         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 06/01/2018                                                   | ***-**-9156 - SIMPSON, PATRICK | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00                 | 13.94               | 0.00               | 13.94             | 88.0 | 12.27                |
|                                                              | ACCOUNT #: 00074686908         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 06/01/2018                                                   | ***-**-0040 - GRIFFITH,        | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00                 | 4.29                | 0.00               | 4.29              | 88.0 | 3.78                 |
|                                                              | ACCOUNT #: 00083176630         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 06/01/2018                                                   | ***-**-90IN - SPINA, MARK      | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00                 | 27.13               | 0.00               | 27.13             | 88.0 | 23.87                |
|                                                              | ACCOUNT #: 00088527332         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 06/01/2018                                                   | ***-**-968I - THIBAUT JR,      | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00                 | 4.32                | 0.00               | 4.32              | 88.0 | 3.80                 |
|                                                              | ACCOUNT #: 00064875131         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 06/01/2018                                                   | ***-**-225P - DAMSKY, CYNTHIA  | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00                 | 5.98                | 0.00               | 5.98              | 88.0 | 5.26                 |
|                                                              | ACCOUNT #: 00068200312         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 06/01/2018                                                   | ***-**-36IN - GAUTHIER,        | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00                 | 8.16                | 0.00               | 8.16              | 88.0 | 7.18                 |
|                                                              | ACCOUNT #: 00068814424         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 06/01/2018                                                   | ***-**-7473 - SCOTELLARO,      | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00                 | 5.42                | 0.00               | 5.42              | 88.0 | 4.77                 |
|                                                              | ACCOUNT #: 00073919652         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 06/01/2018                                                   | ***-**-25IR - SCOTELLARO,      | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00                 | 1.59                | 0.00               | 1.59              | 88.0 | 1.40                 |
|                                                              | ACCOUNT #: 00081400337         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 06/01/2018                                                   | ***-**-26IR - BROWN, MARISSA   | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00                 | 1.50                | 0.00               | 1.50              | 88.0 | 1.32                 |
|                                                              | ACCOUNT #: 00081497402         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 06/01/2018                                                   | ***-**-924J - FISH, ROY        | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00                 | 0.82                | 0.00               | 0.82              | 88.0 | 0.72                 |
|                                                              | ACCOUNT #: 00083431914         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 06/01/2018                                                   | ***-**-25IR - REDMOND, SEAN    | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00                 | 2.02                | 0.00               | 2.02              | 88.0 | 1.78                 |
|                                                              | ACCOUNT #: 00088078685         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 06/01/2018                                                   | ***-**-716I - BUCZEK, DENISE   | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00                 | 3.96                | 0.00               | 3.96              | 88.0 | 3.48                 |
|                                                              | ACCOUNT #: 00088176764         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 06/01/2018                                                   | ***-**-244I - BURTON, RICHARD  | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00                 | 8.31                | 0.00               | 8.31              | 88.0 | 7.31                 |
|                                                              | ACCOUNT #: 00065159109         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 06/01/2018                                                   | ***-**-60IN - SCHRADER, KEVIN  | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00                 | 14.51               | 0.00               | 14.51             | 88.0 | 12.77                |
|                                                              | ACCOUNT #: 00088507883         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |



# COMMISSION STATEMENT

June 18, 2018

DAVID GRIFFITH  
2108 Genesee St.  
Utica, NY 13502

BROKER #: A76  
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> |                                |                                     |                      |                     |                    |                   |      |                      |
| 06/01/2018                                                   | ***-**-953I - DINIITTO, NICOLE | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00                 | 17.92               | 0.00               | 17.92             | 88.0 | 15.77                |
|                                                              | ACCOUNT #: 00088593891         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 06/01/2018                                                   | ***-**-04IN - CLEARY, STEPHEN  | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00                 | 8.96                | 0.00               | 8.96              | 88.0 | 7.88                 |
|                                                              | ACCOUNT #: 00088608566         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 06/01/2018                                                   | ***-**-39IN - CLEARY, KAREN    | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00                 | 3.50                | 0.00               | 3.50              | 88.0 | 3.08                 |
|                                                              | ACCOUNT #: 00088635688         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 06/01/2018                                                   | ***-**-58IN - SCHRECK, RYAN    | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00                 | 8.65                | 0.00               | 8.65              | 88.0 | 7.61                 |
|                                                              | ACCOUNT #: 00088659742         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 06/18/2018                                                   | ***-**-80IN - GRIFFITH, DAVID  | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00                 | 0.80                | 0.00               | 0.80              | 88.0 | 0.70                 |
|                                                              | ACCOUNT #: LSF000286           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 06/18/2018                                                   | ***-**-753I - SABANOSH, ALAN   | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00                 | 1.37                | 0.00               | 1.37              | 88.0 | 1.21                 |
|                                                              | ACCOUNT #: LSR010909           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 06/18/2018                                                   | ***-**-25IR - PERRITANO,       | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00                 | 1.28                | 0.00               | 1.28              | 88.0 | 1.13                 |
|                                                              | ACCOUNT #: LSR010923           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 06/18/2018                                                   | ***-**-25IN - PERRITANO,       | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00                 | 0.37                | 0.00               | 0.37              | 88.0 | 0.33                 |
|                                                              | ACCOUNT #: LSR010924           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 06/18/2018                                                   | ***-**-522I - RIEBEN, HENRY    | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00                 | 0.67                | 0.00               | 0.67              | 88.0 | 0.59                 |
|                                                              | ACCOUNT #: LSR010964           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 06/18/2018                                                   | ***-**-24TR - SCOTELLARO, L    | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00                 | 4.12                | 0.00               | 4.12              | 88.0 | 3.63                 |
|                                                              | ACCOUNT #: LSR010973           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 06/18/2018                                                   | ***-**-474J - HAGAN JR,        | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00                 | 1.47                | 0.00               | 1.47              | 88.0 | 1.29                 |
|                                                              | ACCOUNT #: LSR010993           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 06/18/2018                                                   | ***-**-22IN - GRACIE, JULIA    | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00                 | 5.80                | 0.00               | 5.80              | 88.0 | 5.10                 |
|                                                              | ACCOUNT #: LSR011019           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 06/18/2018                                                   | ***-**-698J - FEISTHAMEL, MR   | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00                 | 2.58                | 0.00               | 2.58              | 88.0 | 2.27                 |
|                                                              | ACCOUNT #: LSR011137           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 06/18/2018                                                   | ***-**-469I - HAUCK, JUDITH    | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00                 | 0.97                | 0.00               | 0.97              | 88.0 | 0.85                 |
|                                                              | ACCOUNT #: LSR011739           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 06/18/2018                                                   | ***-**-80TR - SCOTELLARO TTEE, | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00                 | 11.94               | 0.00               | 11.94             | 88.0 | 10.51                |
|                                                              | ACCOUNT #: LSR010974           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 06/18/2018                                                   | ***-**-973I - CHAMBERS, ROGER  | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00                 | 11.02               | 0.00               | 11.02             | 88.0 | 9.70                 |
|                                                              | ACCOUNT #: LSR011018           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |





# COMMISSION STATEMENT

June 18, 2018

DAVID GRIFFITH  
2108 Genesee St.  
Utica, NY 13502

BROKER #: A76  
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> |                                |                                     |                      |                     |                    |                   |      |                      |
| 06/01/2018                                                   | ***-**-675P - PICKARD, BRIAN   | CAPITAL WORLD GROWTH AND INCOME-529 | 0.00                 | 11.85               | 0.00               | 11.85             | 88.0 | 10.43                |
|                                                              | ACCOUNT #: 00088359310         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 06/01/2018                                                   | ***-**-675P - PICKARD, BRIAN   | CAPITAL WORLD GROWTH AND INCOME-529 | 0.00                 | 9.02                | 0.00               | 9.02              | 88.0 | 7.94                 |
|                                                              | ACCOUNT #: 00088359322         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 06/01/2018                                                   | ***-**-595P - MUTH, MARIA      | CAPITAL WORLD GROWTH AND INCOME-529 | 0.00                 | 6.24                | 0.00               | 6.24              | 88.0 | 5.49                 |
|                                                              | ACCOUNT #: 00088943357         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 06/18/2018                                                   | ***-**-656I - SMOLA, STANLEY   | CAPITAL WORLD GROWTH AND INCOME-F1  | 0.00                 | 3.07                | 0.00               | 3.07              | 88.0 | 2.70                 |
|                                                              | ACCOUNT #: LSR010868           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 06/18/2018                                                   | ***-**-72IN - THIBAUT, JOHN    | CAPITAL WORLD GROWTH AND INCOME-F1  | 0.00                 | 0.70                | 0.00               | 0.70              | 88.0 | 0.62                 |
|                                                              | ACCOUNT #: LSR012086           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 06/01/2018                                                   | ***-**-244I - BURTON, RICHARD  | DEVELOPING WORLD GROWTH & INCOME-C  | 0.00                 | 7.92                | 0.00               | 7.92              | 88.0 | 6.97                 |
|                                                              | ACCOUNT #: 00065159109         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 06/18/2018                                                   | ***-**-423I - SAVICKI, RICHARD | EATON VANCE LARGE-CAP VALUE CL C    | 0.00                 | 21.39               | 0.00               | 21.39             | 88.0 | 18.82                |
|                                                              | ACCOUNT #: LSR010889           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 06/01/2018                                                   | ***-**-953I - DINITTO, NICOLE  | EUROPACIFIC GROWTH FUND CLASS C     | 0.00                 | 7.51                | 0.00               | 7.51              | 88.0 | 6.61                 |
|                                                              | ACCOUNT #: 00088593891         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 06/18/2018                                                   | ***-**-656I - SMOLA, STANLEY   | EUROPACIFIC GROWTH FUND CLASS F     | 0.00                 | 1.57                | 0.00               | 1.57              | 88.0 | 1.38                 |
|                                                              | ACCOUNT #: LSR010868           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 06/01/2018                                                   | ***-**-675P - PICKARD, BRIAN   | EUROPACIFIC GROWTH FUND-529C        | 0.00                 | 1.64                | 0.00               | 1.64              | 88.0 | 1.44                 |
|                                                              | ACCOUNT #: 00088359310         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 06/01/2018                                                   | ***-**-675P - PICKARD, BRIAN   | EUROPACIFIC GROWTH FUND-529C        | 0.00                 | 1.64                | 0.00               | 1.64              | 88.0 | 1.44                 |
|                                                              | ACCOUNT #: 00088359322         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 06/01/2018                                                   | ***-**-595P - MUTH, MARIA      | EUROPACIFIC GROWTH FUND-529C        | 0.00                 | 3.03                | 0.00               | 3.03              | 88.0 | 2.67                 |
|                                                              | ACCOUNT #: 00088943357         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 06/01/2018                                                   | ***-**-5485 - GAETANO,         | EUROPACIFIC GROWTH FUND-A           | 0.00                 | 4.67                | 0.00               | 4.67              | 88.0 | 4.11                 |
|                                                              | ACCOUNT #: 00082975488         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 06/01/2018                                                   | ***-**-004O - GRIFFITH,        | EUROPACIFIC GROWTH FUND-A           | 0.00                 | 2.99                | 0.00               | 2.99              | 88.0 | 2.63                 |
|                                                              | ACCOUNT #: 00083176630         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 06/01/2018                                                   | ***-**-225P - DAMSKY, CYNTHIA  | EUROPACIFIC GROWTH FUND-A           | 0.00                 | 2.58                | 0.00               | 2.58              | 88.0 | 2.27                 |
|                                                              | ACCOUNT #: 00068200312         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 06/01/2018                                                   | ***-**-36IN - GAUTHIER,        | EUROPACIFIC GROWTH FUND-A           | 0.00                 | 7.49                | 0.00               | 7.49              | 88.0 | 6.59                 |
|                                                              | ACCOUNT #: 00068814424         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |



# COMMISSION STATEMENT

June 18, 2018

DAVID GRIFFITH  
2108 Genesee St.  
Utica, NY 13502

BROKER #: A76  
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> |                                |                                    |                      |                     |                    |                   |      |                      |
| 06/01/2018                                                   | ***-**-25IR - REDMOND, SEAN    | EUROPACIFIC GROWTH FUND-A          | 0.00                 | 1.96                | 0.00               | 1.96              | 88.0 | 1.72                 |
|                                                              | ACCOUNT #: 00088078685         | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 06/18/2018                                                   | ***-**-80IN - GRIFFITH, DAVID  | EUROPACIFIC GROWTH FUND-A          | 0.00                 | 5.25                | 0.00               | 5.25              | 88.0 | 4.62                 |
|                                                              | ACCOUNT #: LSF000286           | BUY 1 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 06/18/2018                                                   | ***-**-25IR - PERRITANO,       | EUROPACIFIC GROWTH FUND-A          | 0.00                 | 1.41                | 0.00               | 1.41              | 88.0 | 1.24                 |
|                                                              | ACCOUNT #: LSR010923           | BUY 1 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 06/18/2018                                                   | ***-**-25IN - PERRITANO,       | EUROPACIFIC GROWTH FUND-A          | 0.00                 | 0.33                | 0.00               | 0.33              | 88.0 | 0.29                 |
|                                                              | ACCOUNT #: LSR010924           | BUY 1 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 06/18/2018                                                   | ***-**-661I - GORCZYNSKI,      | EUROPACIFIC GROWTH FUND-A          | 0.00                 | 3.24                | 0.00               | 3.24              | 88.0 | 2.85                 |
|                                                              | ACCOUNT #: LSR011221           | BUY 1 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 06/18/2018                                                   | ***-**-621O - DANIELS, JOHN    | EUROPACIFIC GROWTH FUND-A          | 0.00                 | 1.12                | 0.00               | 1.12              | 88.0 | 0.99                 |
|                                                              | ACCOUNT #: LSR012373           | BUY 1 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 06/18/2018                                                   | ***-**-656I - SMOLA, STANLEY   | FUNDAMENTAL INVESTORS FUND CLASS F | 0.00                 | 1.17                | 0.00               | 1.17              | 88.0 | 1.03                 |
|                                                              | ACCOUNT #: LSR010868           | BUY 1 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 06/18/2018                                                   | ***-**-54IN - THIBAUT, MS      | FUNDAMENTAL INVESTORS FUND CLASS F | 0.00                 | 1.81                | 0.00               | 1.81              | 88.0 | 1.59                 |
|                                                              | ACCOUNT #: LSR011080           | BUY 1 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 06/01/2018                                                   | ***-**-675P - PICKARD, BRIAN   | FUNDAMENTAL INVESTORS-529C         | 0.00                 | 3.63                | 0.00               | 3.63              | 88.0 | 3.19                 |
|                                                              | ACCOUNT #: 00088359310         | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 06/01/2018                                                   | ***-**-595P - MUTH, MARIA      | FUNDAMENTAL INVESTORS-529C         | 0.00                 | 3.41                | 0.00               | 3.41              | 88.0 | 3.00                 |
|                                                              | ACCOUNT #: 00088943357         | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 06/01/2018                                                   | ***-**-72IN - THIBAUT, JOHN    | FUNDAMENTAL INVESTORS-A            | 0.00                 | 1.34                | 0.00               | 1.34              | 88.0 | 1.18                 |
|                                                              | ACCOUNT #: 00073188948         | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 06/01/2018                                                   | ***-**-7704 - AYRES, JENNIFER  | FUNDAMENTAL INVESTORS-A            | 0.00                 | 0.70                | 0.00               | 0.70              | 88.0 | 0.62                 |
|                                                              | ACCOUNT #: 00073769241         | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 06/01/2018                                                   | ***-**-9156 - SIMPSON, PATRICK | FUNDAMENTAL INVESTORS-A            | 0.00                 | 17.06               | 0.00               | 17.06             | 88.0 | 15.01                |
|                                                              | ACCOUNT #: 00074686908         | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 06/01/2018                                                   | ***-**-968I - THIBAUT JR,      | FUNDAMENTAL INVESTORS-A            | 0.00                 | 3.92                | 0.00               | 3.92              | 88.0 | 3.45                 |
|                                                              | ACCOUNT #: 00064875131         | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 06/01/2018                                                   | ***-**-225P - DAMSKY, CYNTHIA  | FUNDAMENTAL INVESTORS-A            | 0.00                 | 2.42                | 0.00               | 2.42              | 88.0 | 2.13                 |
|                                                              | ACCOUNT #: 00068200312         | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 06/01/2018                                                   | ***-**-36IN - GAUTHIER,        | FUNDAMENTAL INVESTORS-A            | 0.00                 | 9.13                | 0.00               | 9.13              | 88.0 | 8.03                 |
|                                                              | ACCOUNT #: 00068814424         | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |



# COMMISSION STATEMENT

June 18, 2018

DAVID GRIFFITH  
2108 Genesee St.  
Utica, NY 13502

BROKER #: A76  
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> |                                                          |                                                |                      |                     |                    |                   |      |                      |
| 06/01/2018                                                   | ***-**-7473 - SCOTELLARO,<br>ACCOUNT #: 00073919652      | FUNDAMENTAL INVESTORS-A<br>BUY 0 Units @0.0000 | 0.00                 | 2.18                | 0.00               | 2.18              | 88.0 | 1.92                 |
| 06/01/2018                                                   | ***-**-251R - SCOTELLARO,<br>ACCOUNT #: 00081400337      | FUNDAMENTAL INVESTORS-A<br>BUY 0 Units @0.0000 | 0.00                 | 2.59                | 0.00               | 2.59              | 88.0 | 2.28                 |
| 06/01/2018                                                   | ***-**-261R - BROWN, MARISSA<br>ACCOUNT #: 00081497402   | FUNDAMENTAL INVESTORS-A<br>BUY 0 Units @0.0000 | 0.00                 | 3.60                | 0.00               | 3.60              | 88.0 | 3.17                 |
| 06/01/2018                                                   | ***-**-924J - FISH, ROY<br>ACCOUNT #: 00083431914        | FUNDAMENTAL INVESTORS-A<br>BUY 0 Units @0.0000 | 0.00                 | 0.93                | 0.00               | 0.93              | 88.0 | 0.82                 |
| 06/01/2018                                                   | ***-**-251R - REDMOND, SEAN<br>ACCOUNT #: 00088078685    | FUNDAMENTAL INVESTORS-A<br>BUY 0 Units @0.0000 | 0.00                 | 2.32                | 0.00               | 2.32              | 88.0 | 2.04                 |
| 06/18/2018                                                   | ***-**-221N - GRACIE, JULIA<br>ACCOUNT #: LSR011019      | FUNDAMENTAL INVESTORS-A<br>BUY 1 Units @0.0000 | 0.00                 | 1.62                | 0.00               | 1.62              | 88.0 | 1.43                 |
| 06/18/2018                                                   | ***-**-369J - DAVIS, BRUCE<br>ACCOUNT #: LSR011027       | FUNDAMENTAL INVESTORS-A<br>BUY 1 Units @0.0000 | 0.00                 | 1.06                | 0.00               | 1.06              | 88.0 | 0.93                 |
| 06/18/2018                                                   | ***-**-369I - DAVIS, BRUCE<br>ACCOUNT #: LSR011029       | FUNDAMENTAL INVESTORS-A<br>BUY 1 Units @0.0000 | 0.00                 | 1.83                | 0.00               | 1.83              | 88.0 | 1.61                 |
| 06/18/2018                                                   | ***-**-698J - FEISTHAMEL, MR<br>ACCOUNT #: LSR011137     | FUNDAMENTAL INVESTORS-A<br>BUY 1 Units @0.0000 | 0.00                 | 1.47                | 0.00               | 1.47              | 88.0 | 1.29                 |
| 06/18/2018                                                   | ***-**-621O - DANIELS, JOHN<br>ACCOUNT #: LSR012373      | FUNDAMENTAL INVESTORS-A<br>BUY 1 Units @0.0000 | 0.00                 | 2.01                | 0.00               | 2.01              | 88.0 | 1.77                 |
| 06/01/2018                                                   | ***-**-004O - GRIFFITH,<br>ACCOUNT #: 00083322888        | FUNDAMENTAL INVESTORS-C<br>BUY 0 Units @0.0000 | 0.00                 | 15.75               | 0.00               | 15.75             | 88.0 | 13.86                |
| 06/01/2018                                                   | ***-**-788I - ALBARRAN, CARLOS<br>ACCOUNT #: 00085186008 | FUNDAMENTAL INVESTORS-C<br>BUY 0 Units @0.0000 | 0.00                 | 63.30               | 0.00               | 63.30             | 88.0 | 55.70                |
| 06/01/2018                                                   | ***-**-601N - SCHRADER, KEVIN<br>ACCOUNT #: 00088507883  | FUNDAMENTAL INVESTORS-C<br>BUY 0 Units @0.0000 | 0.00                 | 5.91                | 0.00               | 5.91              | 88.0 | 5.20                 |
| 06/01/2018                                                   | ***-**-953I - DINITTO, NICOLE<br>ACCOUNT #: 00088593891  | FUNDAMENTAL INVESTORS-C<br>BUY 0 Units @0.0000 | 0.00                 | 2.29                | 0.00               | 2.29              | 88.0 | 2.02                 |
| 06/01/2018                                                   | ***-**-041N - CLEARY, STEPHEN<br>ACCOUNT #: 00088608566  | FUNDAMENTAL INVESTORS-C<br>BUY 0 Units @0.0000 | 0.00                 | 5.98                | 0.00               | 5.98              | 88.0 | 5.26                 |
| 06/18/2018                                                   | ***-**-467J - PICKARD, BRIAN<br>ACCOUNT #: LSR010943     | FUNDAMENTAL INVESTORS-C<br>BUY 1 Units @0.0000 | 0.00                 | 4.98                | 0.00               | 4.98              | 88.0 | 4.38                 |



# COMMISSION STATEMENT

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DAVID GRIFFITH  
2108 Genesee St.  
Utica, NY 13502

BROKER #: A76  
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> |                                |                                     |                      |                     |                    |                   |      |                      |
| 06/18/2018                                                   | ***-**-621I - DANIELS SR, JOHN | FUNDAMENTAL INVESTORS-C             | 0.00                 | 18.11               | 0.00               | 18.11             | 88.0 | 15.94                |
|                                                              | ACCOUNT #: LSR010950           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 06/18/2018                                                   | ***-**-73IR - CHAMBERS, ROGER  | FUNDAMENTAL INVESTORS-C             | 0.00                 | 2.31                | 0.00               | 2.31              | 88.0 | 2.03                 |
|                                                              | ACCOUNT #: LSR011020           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 06/01/2018                                                   | ***-**-675P - PICKARD, BRIAN   | GLOBAL BALANCED FUND-529C           | 0.00                 | 18.82               | 0.00               | 18.82             | 88.0 | 16.56                |
|                                                              | ACCOUNT #: 00088359310         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 06/01/2018                                                   | ***-**-675P - PICKARD, BRIAN   | GLOBAL BALANCED FUND-529C           | 0.00                 | 8.87                | 0.00               | 8.87              | 88.0 | 7.81                 |
|                                                              | ACCOUNT #: 00088359322         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 06/01/2018                                                   | ***-**-595P - MUTH, MARIA      | GLOBAL BALANCED FUND-529C           | 0.00                 | 8.57                | 0.00               | 8.57              | 88.0 | 7.54                 |
|                                                              | ACCOUNT #: 00088943357         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 06/04/2018                                                   | ***-**-794I - INGERSOLL, JOAN  | HARTFORD BALANCED INCOME FD CL A    | 0.00                 | 0.41                | 0.00               | 0.41              | 88.0 | 0.36                 |
|                                                              | ACCOUNT #: 00000871758         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 06/04/2018                                                   | ***-**-015P - SABANOSH, SHERYL | HARTFORD CHECKS AND BALANCED FUND C | 0.00                 | 0.85                | 0.00               | 0.85              | 88.0 | 0.75                 |
|                                                              | ACCOUNT #: 00000856950         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 06/04/2018                                                   | ***-**-794I - INGERSOLL, JOAN  | HARTFORD CHECKS AND BALANCED FUND C | 0.00                 | 0.45                | 0.00               | 0.45              | 88.0 | 0.40                 |
|                                                              | ACCOUNT #: 00000871758         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 06/18/2018                                                   | ***-**-015P - SABANOSH, SHERYL | HARTFORD SMART 529                  | 0.00                 | 0.84                | 0.00               | 0.84              | 88.0 | 0.74                 |
|                                                              |                                | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 06/01/2018                                                   | ***-**-90IN - SPINA, MARK      | INCOME FUND OF AMERICA CLASS C      | 0.00                 | 14.17               | 0.00               | 14.17             | 88.0 | 12.47                |
|                                                              | ACCOUNT #: 00088527332         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 06/01/2018                                                   | ***-**-60IN - SCHRADER, KEVIN  | INCOME FUND OF AMERICA CLASS C      | 0.00                 | 5.09                | 0.00               | 5.09              | 88.0 | 4.48                 |
|                                                              | ACCOUNT #: 00088507883         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 06/01/2018                                                   | ***-**-953I - DINITTO, NICOLE  | INCOME FUND OF AMERICA CLASS C      | 0.00                 | 5.35                | 0.00               | 5.35              | 88.0 | 4.71                 |
|                                                              | ACCOUNT #: 00088593891         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 06/01/2018                                                   | ***-**-04IN - CLEARY, STEPHEN  | INCOME FUND OF AMERICA CLASS C      | 0.00                 | 4.87                | 0.00               | 4.87              | 88.0 | 4.29                 |
|                                                              | ACCOUNT #: 00088608566         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 06/01/2018                                                   | ***-**-39IN - CLEARY, KAREN    | INCOME FUND OF AMERICA CLASS C      | 0.00                 | 2.33                | 0.00               | 2.33              | 88.0 | 2.05                 |
|                                                              | ACCOUNT #: 00088635688         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 06/01/2018                                                   | ***-**-58IN - SCHRECK, RYAN    | INCOME FUND OF AMERICA CLASS C      | 0.00                 | 4.71                | 0.00               | 4.71              | 88.0 | 4.14                 |
|                                                              | ACCOUNT #: 00088659742         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 06/18/2018                                                   | ***-**-58IN - SCHRECK, RYAN    | INCOME FUND OF AMERICA CLASS C      | 0.00                 | 10.47               | 0.00               | 10.47             | 88.0 | 9.21                 |
|                                                              | ACCOUNT #: LSR010873           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |



# COMMISSION STATEMENT

June 18, 2018

DAVID GRIFFITH  
2108 Genesee St.  
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BROKER #: A76  
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> |                                |                                     |                      |                     |                    |                   |      |                      |
| 06/18/2018                                                   | ***-**-467J - PICKARD, BRIAN   | INCOME FUND OF AMERICA CLASS C      | 0.00                 | 11.41               | 0.00               | 11.41             | 88.0 | 10.04                |
|                                                              | ACCOUNT #: LSR010943           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 06/18/2018                                                   | ***-**-80TR - SCOTELLARO TTEE, | INCOME FUND OF AMERICA CLASS C      | 0.00                 | 13.70               | 0.00               | 13.70             | 88.0 | 12.06                |
|                                                              | ACCOUNT #: LSR010974           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 06/18/2018                                                   | ***-**-08TR - SCOTELLARO III,  | INCOME FUND OF AMERICA CLASS C      | 0.00                 | 36.39               | 0.00               | 36.39             | 88.0 | 32.02                |
|                                                              | ACCOUNT #: LSR010975           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 06/18/2018                                                   | ***-**-973I - CHAMBERS, ROGER  | INCOME FUND OF AMERICA CLASS C      | 0.00                 | 13.33               | 0.00               | 13.33             | 88.0 | 11.73                |
|                                                              | ACCOUNT #: LSR011018           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 06/18/2018                                                   | ***-**-901O - DRUMM, LOIS      | INCOME FUND OF AMERICA CLASS C      | 0.00                 | 8.22                | 0.00               | 8.22              | 88.0 | 7.23                 |
|                                                              | ACCOUNT #: LSR011609           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 06/01/2018                                                   | ***-**-675P - PICKARD, BRIAN   | INTERMEDIATE BOND FUND OF AMERICA-5 | 0.00                 | 18.79               | 0.00               | 18.79             | 88.0 | 16.54                |
|                                                              | ACCOUNT #: 00088359322         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 06/01/2018                                                   | ***-**-244I - BURTON, RICHARD  | INTERMEDIATE BOND FUND OF AMERICA-C | 0.00                 | 9.86                | 0.00               | 9.86              | 88.0 | 8.68                 |
|                                                              | ACCOUNT #: 00065159109         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 06/18/2018                                                   | ***-**-05IR - HULL, JEFF       | MANNING & NAPIER PRO NFS            | 0.00                 | 4.47                | 0.00               | 4.47              | 88.0 | 3.93                 |
|                                                              | ACCOUNT #: LSR011534           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 06/18/2018                                                   | ***-**-13IR - E, KAREN         | MASSACHUSETTS INVESTORS TRUST-A     | 0.00                 | 0.72                | 0.00               | 0.72              | 88.0 | 0.63                 |
|                                                              | ACCOUNT #: LSR011953           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 06/18/2018                                                   | ***-**-355I - CRIMMINS, KAREN  | MFS AGGRESS GROWTH ALLOCATION FD-B  | 0.00                 | 0.66                | 0.00               | 0.66              | 88.0 | 0.58                 |
|                                                              | ACCOUNT #: LSR011077           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 06/18/2018                                                   | ***-**-355I - CRIMMINS, KAREN  | MFS CONSERVATIVE ALLOCATION FUND-B  | 0.00                 | 0.74                | 0.00               | 0.74              | 88.0 | 0.65                 |
|                                                              | ACCOUNT #: LSR011077           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 06/18/2018                                                   | ***-**-13IR - E, KAREN         | MFS EMERGING MARKETS DEBT FUND-A    | 0.00                 | 0.06                | 0.00               | 0.06              | 88.0 | 0.05                 |
|                                                              | ACCOUNT #: LSR011953           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 06/18/2018                                                   | ***-**-13IR - E, KAREN         | MFS EMERGING MKT DEBT CL B          | 0.00                 | 0.27                | 0.00               | 0.27              | 88.0 | 0.24                 |
|                                                              | ACCOUNT #: LSR011953           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 06/18/2018                                                   | ***-**-355I - CRIMMINS, KAREN  | MFS GLOBAL ALTERNATIVE STRAT B      | 0.00                 | 1.61                | 0.00               | 1.61              | 88.0 | 1.42                 |
|                                                              | ACCOUNT #: LSR011077           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 06/18/2018                                                   | ***-**-450I - SPAETH, JACK     | MFS GLOBAL REAL ESTATE FUND CL B    | 0.00                 | 1.63                | 0.00               | 1.63              | 88.0 | 1.43                 |
|                                                              | ACCOUNT #: LSR011015           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 06/18/2018                                                   | ***-**-387I - KINNEY, DOUGLAS  | MFS GLOBAL REAL ESTATE FUND CL B    | 0.00                 | 1.11                | 0.00               | 1.11              | 88.0 | 0.98                 |
|                                                              | ACCOUNT #: LSR011322           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |



# COMMISSION STATEMENT

June 18, 2018

DAVID GRIFFITH  
2108 Genesee St.  
Utica, NY 13502

BROKER #: A76  
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> |                                |                                  |                      |                     |                    |                   |      |                      |
| 06/18/2018                                                   | ***-**-869I - CASEY, JOHN      | MFS GLOBAL REAL ESTATE FUND CL B | 0.00                 | 1.11                | 0.00               | 1.11              | 88.0 | 0.98                 |
|                                                              | ACCOUNT #: LSR011323           | BUY 1 Units @0.0000              |                      |                     |                    |                   |      |                      |
| 06/18/2018                                                   | ***-**-13IR - E, KAREN         | MFS GLOBAL TOTAL RETURN FUND-A   | 0.00                 | 0.54                | 0.00               | 0.54              | 88.0 | 0.48                 |
|                                                              | ACCOUNT #: LSR011953           | BUY 1 Units @0.0000              |                      |                     |                    |                   |      |                      |
| 06/18/2018                                                   | ***-**-355I - CRIMMINS, KAREN  | MFS GLOBAL TOTAL RETURN FUND-B   | 0.00                 | 2.60                | 0.00               | 2.60              | 88.0 | 2.29                 |
|                                                              | ACCOUNT #: LSR011077           | BUY 1 Units @0.0000              |                      |                     |                    |                   |      |                      |
| 06/18/2018                                                   | ***-**-73IN - SCOTELLARO IV,   | MFS GLOBAL TOTAL RETURN FUND-B   | 0.00                 | 2.52                | 0.00               | 2.52              | 88.0 | 2.22                 |
|                                                              | ACCOUNT #: LSR011086           | BUY 1 Units @0.0000              |                      |                     |                    |                   |      |                      |
| 06/18/2018                                                   | ***-**-94IO - PERRITANO,       | MFS GLOBAL TOTAL RETURN FUND-B   | 0.00                 | 2.45                | 0.00               | 2.45              | 88.0 | 2.16                 |
|                                                              | ACCOUNT #: LSR011099           | BUY 1 Units @0.0000              |                      |                     |                    |                   |      |                      |
| 06/18/2018                                                   | ***-**-187I - WASZKIEWICZ, FBO | MFS GLOBAL TOTAL RETURN FUND-B   | 0.00                 | 2.15                | 0.00               | 2.15              | 88.0 | 1.89                 |
|                                                              | ACCOUNT #: LSR011144           | BUY 1 Units @0.0000              |                      |                     |                    |                   |      |                      |
| 06/18/2018                                                   | ***-**-40UT - BROWN CUST       | MFS GLOBAL TOTAL RETURN FUND-B   | 0.00                 | 0.23                | 0.00               | 0.23              | 88.0 | 0.20                 |
|                                                              | ACCOUNT #: LSR011178           | BUY 1 Units @0.0000              |                      |                     |                    |                   |      |                      |
| 06/18/2018                                                   | ***-**-387I - KINNEY, DOUGLAS  | MFS GLOBAL TOTAL RETURN FUND-B   | 0.00                 | 1.26                | 0.00               | 1.26              | 88.0 | 1.11                 |
|                                                              | ACCOUNT #: LSR011322           | BUY 1 Units @0.0000              |                      |                     |                    |                   |      |                      |
| 06/18/2018                                                   | ***-**-1300 - MUMIN,           | MFS GLOBAL TOTAL RETURN FUND-B   | 0.00                 | 1.71                | 0.00               | 1.71              | 88.0 | 1.50                 |
|                                                              | ACCOUNT #: LSR011333           | BUY 1 Units @0.0000              |                      |                     |                    |                   |      |                      |
| 06/18/2018                                                   | ***-**-3017 - MUMIN, MESSIAH   | MFS GLOBAL TOTAL RETURN FUND-B   | 0.00                 | 1.71                | 0.00               | 1.71              | 88.0 | 1.50                 |
|                                                              | ACCOUNT #: LSR011334           | BUY 1 Units @0.0000              |                      |                     |                    |                   |      |                      |
| 06/18/2018                                                   | ***-**-0642 - MUMIN, MARY JO   | MFS GLOBAL TOTAL RETURN FUND-B   | 0.00                 | 1.71                | 0.00               | 1.71              | 88.0 | 1.50                 |
|                                                              | ACCOUNT #: LSR011335           | BUY 1 Units @0.0000              |                      |                     |                    |                   |      |                      |
| 06/18/2018                                                   | ***-**-41TR - DAMSKY, BARRY    | MFS GLOBAL TOTAL RETURN FUND-B   | 0.00                 | 2.48                | 0.00               | 2.48              | 88.0 | 2.18                 |
|                                                              | ACCOUNT #: LSR011340           | BUY 1 Units @0.0000              |                      |                     |                    |                   |      |                      |
| 06/18/2018                                                   | ***-**-499X - LARA M TUR, SPS  | MFS GLOBAL TOTAL RETURN FUND-B   | 0.00                 | 1.50                | 0.00               | 1.50              | 88.0 | 1.32                 |
|                                                              | ACCOUNT #: LSR011400           | BUY 1 Units @0.0000              |                      |                     |                    |                   |      |                      |
| 06/18/2018                                                   | ***-**-28IO - CROWE, EMILY     | MFS GLOBAL TOTAL RETURN FUND-B   | 0.00                 | 2.56                | 0.00               | 2.56              | 88.0 | 2.25                 |
|                                                              | ACCOUNT #: LSR011427           | BUY 1 Units @0.0000              |                      |                     |                    |                   |      |                      |
| 06/18/2018                                                   | ***-**-13IR - MURRAY, JOHN     | MFS GLOBAL TOTAL RETURN FUND-B   | 0.00                 | 1.26                | 0.00               | 1.26              | 88.0 | 1.11                 |
|                                                              | ACCOUNT #: LSR011459           | BUY 1 Units @0.0000              |                      |                     |                    |                   |      |                      |
| 06/18/2018                                                   | ***-**-901O - DRUMM, LOIS      | MFS GLOBAL TOTAL RETURN FUND-B   | 0.00                 | 4.06                | 0.00               | 4.06              | 88.0 | 3.57                 |
|                                                              | ACCOUNT #: LSR011609           | BUY 1 Units @0.0000              |                      |                     |                    |                   |      |                      |



# COMMISSION STATEMENT

June 18, 2018

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BROKER #: A76  
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> |                                |                                     |                      |                     |                    |                   |      |                      |
| 06/18/2018                                                   | ***-**-29IO - LORUSSO, VINCENT | MFS GLOBAL TOTAL RETURN FUND-B      | 0.00                 | 4.07                | 0.00               | 4.07              | 88.0 | 3.58                 |
|                                                              | ACCOUNT #: LSR011681           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 06/18/2018                                                   | ***-**-13IR - E, KAREN         | MFS GLOBAL TOTAL RETURN FUND-B      | 0.00                 | 1.79                | 0.00               | 1.79              | 88.0 | 1.58                 |
|                                                              | ACCOUNT #: LSR011953           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 06/18/2018                                                   | ***-**-13IR - E, KAREN         | MFS INFLATION ADJUSTED BOND CL B    | 0.00                 | 0.10                | 0.00               | 0.10              | 88.0 | 0.09                 |
|                                                              | ACCOUNT #: LSR011953           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 06/18/2018                                                   | ***-**-13IR - E, KAREN         | MFS INFLATION ADJUSTED BOND FUND-A  | 0.00                 | 0.11                | 0.00               | 0.11              | 88.0 | 0.10                 |
|                                                              | ACCOUNT #: LSR011953           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 06/18/2018                                                   | ***-**-355I - CRIMMINS, KAREN  | MFS INTERNATIONAL DIVERSIFICATION F | 0.00                 | 0.87                | 0.00               | 0.87              | 88.0 | 0.77                 |
|                                                              | ACCOUNT #: LSR011077           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 06/18/2018                                                   | ***-**-29IO - LORUSSO, VINCENT | MFS TECHNOLOGY FUND-B               | 0.00                 | 1.58                | 0.00               | 1.58              | 88.0 | 1.39                 |
|                                                              | ACCOUNT #: LSR011681           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 06/18/2018                                                   | ***-**-13IR - E, KAREN         | MFS TECHNOLOGY FUND-B               | 0.00                 | 1.96                | 0.00               | 1.96              | 88.0 | 1.72                 |
|                                                              | ACCOUNT #: LSR011953           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 06/18/2018                                                   | ***-**-13IR - E, KAREN         | MFS TOTAL RETURN FUND-A             | 0.00                 | 0.50                | 0.00               | 0.50              | 88.0 | 0.44                 |
|                                                              | ACCOUNT #: LSR011953           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 06/18/2018                                                   | ***-**-13IR - E, KAREN         | MFS TOTAL RETURN FUND-B             | 0.00                 | 0.30                | 0.00               | 0.30              | 88.0 | 0.26                 |
|                                                              | ACCOUNT #: LSR011953           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 06/18/2018                                                   | ***-**-369I - DAVIS, BRUCE     | MFS UTILITIES FUND-A                | 0.00                 | 0.99                | 0.00               | 0.99              | 88.0 | 0.87                 |
|                                                              | ACCOUNT #: LSR011029           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 06/18/2018                                                   | ***-**-698J - FEISTHAMEL, MR   | MFS UTILITIES FUND-A                | 0.00                 | 1.85                | 0.00               | 1.85              | 88.0 | 1.63                 |
|                                                              | ACCOUNT #: LSR011137           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 06/18/2018                                                   | ***-**-13IR - E, KAREN         | MFS UTILITIES FUND-A                | 0.00                 | 0.44                | 0.00               | 0.44              | 88.0 | 0.39                 |
|                                                              | ACCOUNT #: LSR011953           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 06/18/2018                                                   | ***-**-621I - DANIELS SR, JOHN | MFS UTILITIES FUND-B                | 0.00                 | 3.73                | 0.00               | 3.73              | 88.0 | 3.28                 |
|                                                              | ACCOUNT #: LSR010950           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 06/18/2018                                                   | ***-**-614I - MARIOTTI, CINDY  | MFS UTILITIES FUND-B                | 0.00                 | 2.73                | 0.00               | 2.73              | 88.0 | 2.40                 |
|                                                              | ACCOUNT #: LSR011535           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 06/18/2018                                                   | ***-**-39IR - VELARDI, CHRIS   | MFS UTILITIES FUND-B                | 0.00                 | 0.34                | 0.00               | 0.34              | 88.0 | 0.30                 |
|                                                              | ACCOUNT #: LSR011591           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 06/18/2018                                                   | ***-**-13IR - E, KAREN         | MFS UTILITIES FUND-B                | 0.00                 | 1.13                | 0.00               | 1.13              | 88.0 | 0.99                 |
|                                                              | ACCOUNT #: LSR011953           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |



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BROKER #: A76  
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> |                                |                               |                      |                     |                    |                   |      |                      |
| 06/01/2018                                                   | ***-**-72IN - THIBAUT, JOHN    | NEW PERSPECTIVE FUND-A        | 0.00                 | 1.07                | 0.00               | 1.07              | 88.0 | 0.94                 |
|                                                              | ACCOUNT #: 00073188948         | BUY 0 Units @0.0000           |                      |                     |                    |                   |      |                      |
| 06/01/2018                                                   | ***-**-244I - BURTON, RICHARD  | NEW PERSPECTIVE FUND-A        | 0.00                 | 1.55                | 0.00               | 1.55              | 88.0 | 1.36                 |
|                                                              | ACCOUNT #: 00065159109         | BUY 0 Units @0.0000           |                      |                     |                    |                   |      |                      |
| 06/01/2018                                                   | ***-**-7473 - SCOTELLARO,      | NEW PERSPECTIVE FUND-A        | 0.00                 | 6.17                | 0.00               | 6.17              | 88.0 | 5.43                 |
|                                                              | ACCOUNT #: 00073919652         | BUY 0 Units @0.0000           |                      |                     |                    |                   |      |                      |
| 06/01/2018                                                   | ***-**-26IR - BROWN, MARISSA   | NEW PERSPECTIVE FUND-A        | 0.00                 | 1.69                | 0.00               | 1.69              | 88.0 | 1.49                 |
|                                                              | ACCOUNT #: 00081497402         | BUY 0 Units @0.0000           |                      |                     |                    |                   |      |                      |
| 06/01/2018                                                   | ***-**-244I - BURTON, RICHARD  | NEW PERSPECTIVE FUND-C        | 0.00                 | 10.66               | 0.00               | 10.66             | 88.0 | 9.38                 |
|                                                              | ACCOUNT #: 00065159109         | BUY 0 Units @0.0000           |                      |                     |                    |                   |      |                      |
| 06/01/2018                                                   | ***-**-9156 - SIMPSON, PATRICK | NEW WORLD FUND-A              | 0.00                 | 11.05               | 0.00               | 11.05             | 88.0 | 9.72                 |
|                                                              | ACCOUNT #: 00074686908         | BUY 0 Units @0.0000           |                      |                     |                    |                   |      |                      |
| 06/01/2018                                                   | ***-**-25IR - SCOTELLARO,      | NEW WORLD FUND-A              | 0.00                 | 1.54                | 0.00               | 1.54              | 88.0 | 1.36                 |
|                                                              | ACCOUNT #: 00081400337         | BUY 0 Units @0.0000           |                      |                     |                    |                   |      |                      |
| 06/01/2018                                                   | ***-**-924J - FISH, ROY        | NEW WORLD FUND-A              | 0.00                 | 0.67                | 0.00               | 0.67              | 88.0 | 0.59                 |
|                                                              | ACCOUNT #: 00083431914         | BUY 0 Units @0.0000           |                      |                     |                    |                   |      |                      |
| 06/18/2018                                                   | ***-**-661I - GORCZYNSKI,      | NEW WORLD FUND-A              | 0.00                 | 3.71                | 0.00               | 3.71              | 88.0 | 3.26                 |
|                                                              | ACCOUNT #: LSR011221           | BUY 1 Units @0.0000           |                      |                     |                    |                   |      |                      |
| 06/01/2018                                                   | ***-**-60IN - SCHRADER, KEVIN  | NEW WORLD FUND-C              | 0.00                 | 3.54                | 0.00               | 3.54              | 88.0 | 3.12                 |
|                                                              | ACCOUNT #: 00088507883         | BUY 0 Units @0.0000           |                      |                     |                    |                   |      |                      |
| 06/18/2018                                                   | ***-**-762I - STORSBERG,       | RESOURCE CREDIT INCOME FUND C | 0.00                 | 42.95               | 0.00               | 42.95             | 88.0 | 37.80                |
|                                                              | ACCOUNT #: LSR011688           | BUY 1 Units @0.0000           |                      |                     |                    |                   |      |                      |
| 06/18/2018                                                   | ***-**-762I - STORSBERG,       | RESOURCE CREDIT INCOME FUND C | 0.00                 | 14.32               | 0.00               | 14.32             | 88.0 | 12.60                |
|                                                              | ACCOUNT #: LSR011688           | BUY 1 Units @0.0000           |                      |                     |                    |                   |      |                      |
| 06/18/2018                                                   | ***-**-804I - RIEBEN, ANNE     | RESOURCE REAL ESTATE-NFS      | 0.00                 | 7.13                | 0.00               | 7.13              | 88.0 | 6.27                 |
|                                                              | ACCOUNT #: LSR010877           | BUY 1 Units @0.0000           |                      |                     |                    |                   |      |                      |
| 06/18/2018                                                   | ***-**-423I - SAVICKI, RICHARD | RESOURCE REAL ESTATE-NFS      | 0.00                 | 6.93                | 0.00               | 6.93              | 88.0 | 6.10                 |
|                                                              | ACCOUNT #: LSR010889           | BUY 1 Units @0.0000           |                      |                     |                    |                   |      |                      |
| 06/18/2018                                                   | ***-**-423J - SAVICKI, RICHARD | RESOURCE REAL ESTATE-NFS      | 0.00                 | 7.68                | 0.00               | 7.68              | 88.0 | 6.76                 |
|                                                              | ACCOUNT #: LSR010893           | BUY 1 Units @0.0000           |                      |                     |                    |                   |      |                      |
| 06/18/2018                                                   | ***-**-0770 - GAUTHIER, LOUIS  | RESOURCE REAL ESTATE-NFS      | 0.00                 | 6.54                | 0.00               | 6.54              | 88.0 | 5.76                 |
|                                                              | ACCOUNT #: LSR010905           | 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> |                                |                          |                      |                     |                    |                   |      |                      |
| 06/18/2018                                                   | ***-**-924J - FISH, ROY        | RESOURCE REAL ESTATE-NFS | 0.00                 | 9.11                | 0.00               | 9.11              | 88.0 | 8.02                 |
|                                                              | ACCOUNT #: LSR010906           | BUY 1 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 06/18/2018                                                   | ***-**-753I - SABANOSH, ALAN   | RESOURCE REAL ESTATE-NFS | 0.00                 | 9.85                | 0.00               | 9.85              | 88.0 | 8.67                 |
|                                                              | ACCOUNT #: LSR010909           | BUY 1 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 06/18/2018                                                   | ***-**-53TR - SABANOSH, ALAN R | RESOURCE REAL ESTATE-NFS | 0.00                 | 9.85                | 0.00               | 9.85              | 88.0 | 8.67                 |
|                                                              | ACCOUNT #: LSR010917           | BUY 1 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 06/18/2018                                                   | ***-**-425I - PERRITANO,       | RESOURCE REAL ESTATE-NFS | 0.00                 | 12.67               | 0.00               | 12.67             | 88.0 | 11.15                |
|                                                              | ACCOUNT #: LSR010922           | BUY 1 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 06/18/2018                                                   | ***-**-231J - MISHLANIE JR,    | RESOURCE REAL ESTATE-NFS | 0.00                 | 4.64                | 0.00               | 4.64              | 88.0 | 4.08                 |
|                                                              | ACCOUNT #: LSR010927           | BUY 1 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 06/18/2018                                                   | ***-**-522J - RIEBEN, HENRY    | RESOURCE REAL ESTATE-NFS | 0.00                 | 17.09               | 0.00               | 17.09             | 88.0 | 15.04                |
|                                                              | ACCOUNT #: LSR010938           | BUY 1 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 06/18/2018                                                   | ***-**-467I - PICKARD, BRIAN   | RESOURCE REAL ESTATE-NFS | 0.00                 | 6.54                | 0.00               | 6.54              | 88.0 | 5.76                 |
|                                                              | ACCOUNT #: LSR010944           | BUY 1 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 06/18/2018                                                   | ***-**-290I - PICKARD, KAREN   | RESOURCE REAL ESTATE-NFS | 0.00                 | 6.05                | 0.00               | 6.05              | 88.0 | 5.32                 |
|                                                              | ACCOUNT #: LSR010946           | BUY 1 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 06/18/2018                                                   | ***-**-24TR - SCOTELLARO, L    | RESOURCE REAL ESTATE-NFS | 0.00                 | 11.44               | 0.00               | 11.44             | 88.0 | 10.07                |
|                                                              | ACCOUNT #: LSR010973           | BUY 1 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 06/18/2018                                                   | ***-**-08TR - SCOTELLARO III,  | RESOURCE REAL ESTATE-NFS | 0.00                 | 6.57                | 0.00               | 6.57              | 88.0 | 5.78                 |
|                                                              | ACCOUNT #: LSR010975           | BUY 1 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 06/18/2018                                                   | ***-**-474J - HAGAN JR,        | RESOURCE REAL ESTATE-NFS | 0.00                 | 9.80                | 0.00               | 9.80              | 88.0 | 8.62                 |
|                                                              | ACCOUNT #: LSR010993           | BUY 1 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 06/18/2018                                                   | ***-**-319I - HILLEBRAND, JOAN | RESOURCE REAL ESTATE-NFS | 0.00                 | 7.22                | 0.00               | 7.22              | 88.0 | 6.35                 |
|                                                              | ACCOUNT #: LSR011002           | BUY 1 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 06/18/2018                                                   | ***-**-555I - SPAETH, CARLA    | RESOURCE REAL ESTATE-NFS | 0.00                 | 9.67                | 0.00               | 9.67              | 88.0 | 8.51                 |
|                                                              | ACCOUNT #: LSR011016           | BUY 1 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 06/18/2018                                                   | ***-**-609J - CADY, PATRICK    | RESOURCE REAL ESTATE-NFS | 0.00                 | 2.10                | 0.00               | 2.10              | 88.0 | 1.85                 |
|                                                              | ACCOUNT #: LSR011123           | BUY 1 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 06/18/2018                                                   | ***-**-698J - FEISTHAMEL, MR   | RESOURCE REAL ESTATE-NFS | 0.00                 | 8.48                | 0.00               | 8.48              | 88.0 | 7.46                 |
|                                                              | ACCOUNT #: LSR011137           | BUY 1 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 06/18/2018                                                   | ***-**-05IN - HULL, JEFFERY    | RESOURCE REAL ESTATE-NFS | 0.00                 | 8.21                | 0.00               | 8.21              | 88.0 | 7.22                 |
|                                                              | ACCOUNT #: LSR011187           | BUY 1 Units @0.0000      |                      |                     |                    |                   |      |                      |



# COMMISSION STATEMENT

June 18, 2018

DAVID GRIFFITH  
2108 Genesee St.  
Utica, NY 13502

BROKER #: A76  
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> |                               |                          |                      |                     |                    |                   |      |                      |
| 06/18/2018                                                   | ***-**-41TR - DAMSKY, BARRY   | RESOURCE REAL ESTATE-NFS | 0.00                 | 4.60                | 0.00               | 4.60              | 88.0 | 4.05                 |
|                                                              | ACCOUNT #: LSR011340          | BUY 1 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 06/18/2018                                                   | ***-**-05IR - HULL, JEFF      | RESOURCE REAL ESTATE-NFS | 0.00                 | 5.29                | 0.00               | 5.29              | 88.0 | 4.66                 |
|                                                              | ACCOUNT #: LSR011534          | BUY 1 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 06/18/2018                                                   | ***-**-9010 - DRUMM, LOIS     | RESOURCE REAL ESTATE-NFS | 0.00                 | 7.19                | 0.00               | 7.19              | 88.0 | 6.33                 |
|                                                              | ACCOUNT #: LSR011609          | BUY 1 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 06/18/2018                                                   | ***-**-49IN - SCOTELLARO III, | RESOURCE REAL ESTATE-NFS | 0.00                 | 3.94                | 0.00               | 3.94              | 88.0 | 3.47                 |
|                                                              | ACCOUNT #: LSR011680          | BUY 1 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 06/18/2018                                                   | ***-**-90IN - PICKARD, KAREN  | RESOURCE REAL ESTATE-NFS | 0.00                 | 7.95                | 0.00               | 7.95              | 88.0 | 7.00                 |
|                                                              | ACCOUNT #: LSR011687          | BUY 1 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 06/18/2018                                                   | ***-**-762I - STORSBERG,      | RESOURCE REAL ESTATE-NFS | 0.00                 | 45.43               | 0.00               | 45.43             | 88.0 | 39.98                |
|                                                              | ACCOUNT #: LSR011688          | BUY 1 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 06/18/2018                                                   | ***-**-61IN - FILEY, JOHN     | RESOURCE REAL ESTATE-NFS | 0.00                 | 13.76               | 0.00               | 13.76             | 88.0 | 12.11                |
|                                                              | ACCOUNT #: LSR011723          | BUY 1 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 06/18/2018                                                   | ***-**-469I - HAUCK, JUDITH   | RESOURCE REAL ESTATE-NFS | 0.00                 | 7.06                | 0.00               | 7.06              | 88.0 | 6.21                 |
|                                                              | ACCOUNT #: LSR011739          | BUY 1 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 06/18/2018                                                   | ***-**-03TR - BOSHART, PEGGY  | RESOURCE REAL ESTATE-NFS | 0.00                 | 9.57                | 0.00               | 9.57              | 88.0 | 8.42                 |
|                                                              | ACCOUNT #: LSR011743          | BUY 1 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 06/18/2018                                                   | ***-**-03IN - BOSHART, PEGGY  | RESOURCE REAL ESTATE-NFS | 0.00                 | 8.90                | 0.00               | 8.90              | 88.0 | 7.83                 |
|                                                              | ACCOUNT #: LSR011744          | BUY 1 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 06/18/2018                                                   | ***-**-03IR - BOSHART, PEGGY  | RESOURCE REAL ESTATE-NFS | 0.00                 | 6.47                | 0.00               | 6.47              | 88.0 | 5.69                 |
|                                                              | ACCOUNT #: LSR011749          | BUY 1 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 06/18/2018                                                   | ***-**-42IN - JENKINS, DAVID  | RESOURCE REAL ESTATE-NFS | 0.00                 | 6.43                | 0.00               | 6.43              | 88.0 | 5.66                 |
|                                                              | ACCOUNT #: LSR011776          | BUY 1 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 06/18/2018                                                   | ***-**-974I - SCOTELLARO,     | RESOURCE REAL ESTATE-NFS | 0.00                 | 3.09                | 0.00               | 3.09              | 88.0 | 2.72                 |
|                                                              | ACCOUNT #: LSR011871          | BUY 1 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 06/18/2018                                                   | ***-**-599I - MCCARTHY, DONNA | RESOURCE REAL ESTATE-NFS | 0.00                 | 6.22                | 0.00               | 6.22              | 88.0 | 5.47                 |
|                                                              | ACCOUNT #: LSR011894          | BUY 1 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 06/18/2018                                                   | ***-**-718J - LOWE, GREGORY   | RESOURCE REAL ESTATE-NFS | 0.00                 | 4.98                | 0.00               | 4.98              | 88.0 | 4.38                 |
|                                                              | ACCOUNT #: LSR011914          | BUY 1 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 06/18/2018                                                   | ***-**-14TR - THE KALAMAS,    | RESOURCE REAL ESTATE-NFS | 0.00                 | 3.94                | 0.00               | 3.94              | 88.0 | 3.47                 |
|                                                              | ACCOUNT #: LSR012226          | BUY 1 Units @0.0000      |                      |                     |                    |                   |      |                      |



# COMMISSION STATEMENT

June 18, 2018

DAVID GRIFFITH  
2108 Genesee St.  
Utica, NY 13502

BROKER #: A76  
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> |                                |                          |                      |                     |                    |                   |      |                      |
| 06/18/2018                                                   | ***-**-804I - RIEBEN, ANNE     | RESOURCE REAL ESTATE-NFS | 0.00                 | 2.38                | 0.00               | 2.38              | 88.0 | 2.09                 |
|                                                              | ACCOUNT #: LSR010877           | BUY 1 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 06/18/2018                                                   | ***-**-423I - SAVICKI, RICHARD | RESOURCE REAL ESTATE-NFS | 0.00                 | 2.31                | 0.00               | 2.31              | 88.0 | 2.03                 |
|                                                              | ACCOUNT #: LSR010889           | BUY 1 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 06/18/2018                                                   | ***-**-423J - SAVICKI, RICHARD | RESOURCE REAL ESTATE-NFS | 0.00                 | 2.56                | 0.00               | 2.56              | 88.0 | 2.25                 |
|                                                              | ACCOUNT #: LSR010893           | BUY 1 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 06/18/2018                                                   | ***-**-077O - GAUTHIER, LOUIS  | RESOURCE REAL ESTATE-NFS | 0.00                 | 2.18                | 0.00               | 2.18              | 88.0 | 1.92                 |
|                                                              | ACCOUNT #: LSR010905           | BUY 1 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 06/18/2018                                                   | ***-**-924J - FISH, ROY        | RESOURCE REAL ESTATE-NFS | 0.00                 | 3.04                | 0.00               | 3.04              | 88.0 | 2.68                 |
|                                                              | ACCOUNT #: LSR010906           | BUY 1 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 06/18/2018                                                   | ***-**-753I - SABANOSH, ALAN   | RESOURCE REAL ESTATE-NFS | 0.00                 | 3.28                | 0.00               | 3.28              | 88.0 | 2.89                 |
|                                                              | ACCOUNT #: LSR010909           | BUY 1 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 06/18/2018                                                   | ***-**-53TR - SABANOSH, ALAN R | RESOURCE REAL ESTATE-NFS | 0.00                 | 3.28                | 0.00               | 3.28              | 88.0 | 2.89                 |
|                                                              | ACCOUNT #: LSR010917           | BUY 1 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 06/18/2018                                                   | ***-**-425I - PERRITANO,       | RESOURCE REAL ESTATE-NFS | 0.00                 | 4.22                | 0.00               | 4.22              | 88.0 | 3.71                 |
|                                                              | ACCOUNT #: LSR010922           | BUY 1 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 06/18/2018                                                   | ***-**-231J - MISHLANIE JR,    | RESOURCE REAL ESTATE-NFS | 0.00                 | 1.55                | 0.00               | 1.55              | 88.0 | 1.36                 |
|                                                              | ACCOUNT #: LSR010927           | BUY 1 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 06/18/2018                                                   | ***-**-522J - RIEBEN, HENRY    | RESOURCE REAL ESTATE-NFS | 0.00                 | 5.70                | 0.00               | 5.70              | 88.0 | 5.02                 |
|                                                              | ACCOUNT #: LSR010938           | BUY 1 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 06/18/2018                                                   | ***-**-467I - PICKARD, BRIAN   | RESOURCE REAL ESTATE-NFS | 0.00                 | 2.18                | 0.00               | 2.18              | 88.0 | 1.92                 |
|                                                              | ACCOUNT #: LSR010944           | BUY 1 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 06/18/2018                                                   | ***-**-290I - PICKARD, KAREN   | RESOURCE REAL ESTATE-NFS | 0.00                 | 2.02                | 0.00               | 2.02              | 88.0 | 1.78                 |
|                                                              | ACCOUNT #: LSR010946           | BUY 1 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 06/18/2018                                                   | ***-**-24TR - SCOTELLARO, L    | RESOURCE REAL ESTATE-NFS | 0.00                 | 3.81                | 0.00               | 3.81              | 88.0 | 3.35                 |
|                                                              | ACCOUNT #: LSR010973           | BUY 1 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 06/18/2018                                                   | ***-**-08TR - SCOTELLARO III,  | RESOURCE REAL ESTATE-NFS | 0.00                 | 2.19                | 0.00               | 2.19              | 88.0 | 1.93                 |
|                                                              | ACCOUNT #: LSR010975           | BUY 1 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 06/18/2018                                                   | ***-**-474J - HAGAN JR,        | RESOURCE REAL ESTATE-NFS | 0.00                 | 3.27                | 0.00               | 3.27              | 88.0 | 2.88                 |
|                                                              | ACCOUNT #: LSR010993           | BUY 1 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 06/18/2018                                                   | ***-**-319I - HILLEBRAND, JOAN | RESOURCE REAL ESTATE-NFS | 0.00                 | 2.41                | 0.00               | 2.41              | 88.0 | 2.12                 |
|                                                              | ACCOUNT #: LSR011002           | BUY 1 Units @0.0000      |                      |                     |                    |                   |      |                      |



# COMMISSION STATEMENT

June 18, 2018

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Utica, NY 13502

BROKER #: A76  
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> |                               |                          |                      |                     |                    |                   |      |                      |
| 06/18/2018                                                   | ***-**-555I - SPAETH, CARLA   | RESOURCE REAL ESTATE-NFS | 0.00                 | 3.22                | 0.00               | 3.22              | 88.0 | 2.83                 |
|                                                              | ACCOUNT #: LSR011016          | BUY 1 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 06/18/2018                                                   | ***-**-609J - CADY, PATRICK   | RESOURCE REAL ESTATE-NFS | 0.00                 | 0.70                | 0.00               | 0.70              | 88.0 | 0.62                 |
|                                                              | ACCOUNT #: LSR011123          | BUY 1 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 06/18/2018                                                   | ***-**-698J - FEISTHAMEL, MR  | RESOURCE REAL ESTATE-NFS | 0.00                 | 2.83                | 0.00               | 2.83              | 88.0 | 2.49                 |
|                                                              | ACCOUNT #: LSR011137          | BUY 1 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 06/18/2018                                                   | ***-**-05IN - HULL, JEFFERY   | RESOURCE REAL ESTATE-NFS | 0.00                 | 2.74                | 0.00               | 2.74              | 88.0 | 2.41                 |
|                                                              | ACCOUNT #: LSR011187          | BUY 1 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 06/18/2018                                                   | ***-**-41TR - DAMSKY, BARRY   | RESOURCE REAL ESTATE-NFS | 0.00                 | 1.53                | 0.00               | 1.53              | 88.0 | 1.35                 |
|                                                              | ACCOUNT #: LSR011340          | BUY 1 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 06/18/2018                                                   | ***-**-05IR - HULL, JEFF      | RESOURCE REAL ESTATE-NFS | 0.00                 | 1.76                | 0.00               | 1.76              | 88.0 | 1.55                 |
|                                                              | ACCOUNT #: LSR011534          | BUY 1 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 06/18/2018                                                   | ***-**-901O - DRUMM, LOIS     | RESOURCE REAL ESTATE-NFS | 0.00                 | 2.40                | 0.00               | 2.40              | 88.0 | 2.11                 |
|                                                              | ACCOUNT #: LSR011609          | BUY 1 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 06/18/2018                                                   | ***-**-49IN - SCOTELLARO III, | RESOURCE REAL ESTATE-NFS | 0.00                 | 1.31                | 0.00               | 1.31              | 88.0 | 1.15                 |
|                                                              | ACCOUNT #: LSR011680          | BUY 1 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 06/18/2018                                                   | ***-**-90IN - PICKARD, KAREN  | RESOURCE REAL ESTATE-NFS | 0.00                 | 2.65                | 0.00               | 2.65              | 88.0 | 2.33                 |
|                                                              | ACCOUNT #: LSR011687          | BUY 1 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 06/18/2018                                                   | ***-**-762I - STORSBERG,      | RESOURCE REAL ESTATE-NFS | 0.00                 | 15.14               | 0.00               | 15.14             | 88.0 | 13.32                |
|                                                              | ACCOUNT #: LSR011688          | BUY 1 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 06/18/2018                                                   | ***-**-61IN - FILEY, JOHN     | RESOURCE REAL ESTATE-NFS | 0.00                 | 4.59                | 0.00               | 4.59              | 88.0 | 4.04                 |
|                                                              | ACCOUNT #: LSR011723          | BUY 1 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 06/18/2018                                                   | ***-**-469I - HAUCK, JUDITH   | RESOURCE REAL ESTATE-NFS | 0.00                 | 2.35                | 0.00               | 2.35              | 88.0 | 2.07                 |
|                                                              | ACCOUNT #: LSR011739          | BUY 1 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 06/18/2018                                                   | ***-**-03TR - BOSHART, PEGGY  | RESOURCE REAL ESTATE-NFS | 0.00                 | 3.19                | 0.00               | 3.19              | 88.0 | 2.81                 |
|                                                              | ACCOUNT #: LSR011743          | BUY 1 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 06/18/2018                                                   | ***-**-03IN - BOSHART, PEGGY  | RESOURCE REAL ESTATE-NFS | 0.00                 | 2.97                | 0.00               | 2.97              | 88.0 | 2.61                 |
|                                                              | ACCOUNT #: LSR011744          | BUY 1 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 06/18/2018                                                   | ***-**-03IR - BOSHART, PEGGY  | RESOURCE REAL ESTATE-NFS | 0.00                 | 2.16                | 0.00               | 2.16              | 88.0 | 1.90                 |
|                                                              | ACCOUNT #: LSR011749          | BUY 1 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 06/18/2018                                                   | ***-**-42IN - JENKINS, DAVID  | RESOURCE REAL ESTATE-NFS | 0.00                 | 2.14                | 0.00               | 2.14              | 88.0 | 1.88                 |
|                                                              | ACCOUNT #: LSR011776          | BUY 1 Units @0.0000      |                      |                     |                    |                   |      |                      |



# COMMISSION STATEMENT

June 18, 2018

DAVID GRIFFITH  
2108 Genesee St.  
Utica, NY 13502

BROKER #: A76  
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> |                                                          |                                                            |                      |                     |                    |                   |      |                      |
| 06/18/2018                                                   | ***-**-974I - SCOTELLARO,<br>ACCOUNT #: LSR011871        | RESOURCE REAL ESTATE-NFS<br>BUY 1 Units @0.0000            | 0.00                 | 1.03                | 0.00               | 1.03              | 88.0 | 0.91                 |
| 06/18/2018                                                   | ***-**-599I - MCCARTHY, DONNA<br>ACCOUNT #: LSR011894    | RESOURCE REAL ESTATE-NFS<br>BUY 1 Units @0.0000            | 0.00                 | 2.07                | 0.00               | 2.07              | 88.0 | 1.82                 |
| 06/18/2018                                                   | ***-**-718J - LOWE, GREGORY<br>ACCOUNT #: LSR011914      | RESOURCE REAL ESTATE-NFS<br>BUY 1 Units @0.0000            | 0.00                 | 1.66                | 0.00               | 1.66              | 88.0 | 1.46                 |
| 06/18/2018                                                   | ***-**-14TR - THE KALAMAS,<br>ACCOUNT #: LSR012226       | RESOURCE REAL ESTATE-NFS<br>BUY 1 Units @0.0000            | 0.00                 | 1.31                | 0.00               | 1.31              | 88.0 | 1.15                 |
| 06/18/2018                                                   | ***-**-22IN - GRACIE, JULIA<br>ACCOUNT #: LSR011019      | RESOURCE REAL ESTATES-NFS<br>BUY 1 Units @0.0000           | 0.00                 | 2.84                | 0.00               | 2.84              | 88.0 | 2.50                 |
| 06/01/2018                                                   | ***-**-244I - BURTON, RICHARD<br>ACCOUNT #: 00065159109  | RTMT INCOME PORTFOLIO CONSERVATIVE-<br>BUY 0 Units @0.0000 | 0.00                 | 8.90                | 0.00               | 8.90              | 88.0 | 7.83                 |
| 06/01/2018                                                   | ***-**-595P - MUTH, MARIA<br>ACCOUNT #: 00088943357      | SMALLCAP WORLD FUND-529C<br>BUY 0 Units @0.0000            | 0.00                 | 3.10                | 0.00               | 3.10              | 88.0 | 2.73                 |
| 06/01/2018                                                   | ***-**-9156 - SIMPSON, PATRICK<br>ACCOUNT #: 00074686908 | SMALLCAP WORLD FUND-A<br>BUY 0 Units @0.0000               | 0.00                 | 12.30               | 0.00               | 12.30             | 88.0 | 10.82                |
| 06/01/2018                                                   | ***-**-5485 - GAETANO,<br>ACCOUNT #: 00082975488         | SMALLCAP WORLD FUND-A<br>BUY 0 Units @0.0000               | 0.00                 | 3.44                | 0.00               | 3.44              | 88.0 | 3.03                 |
| 06/01/2018                                                   | ***-**-0040 - GRIFFITH,<br>ACCOUNT #: 00083176630        | SMALLCAP WORLD FUND-A<br>BUY 0 Units @0.0000               | 0.00                 | 4.01                | 0.00               | 4.01              | 88.0 | 3.53                 |
| 06/01/2018                                                   | ***-**-968I - THIBAUT JR,<br>ACCOUNT #: 00064875131      | SMALLCAP WORLD FUND-A<br>BUY 0 Units @0.0000               | 0.00                 | 2.60                | 0.00               | 2.60              | 88.0 | 2.29                 |
| 06/01/2018                                                   | ***-**-36IN - GAUTHIER,<br>ACCOUNT #: 00068814424        | SMALLCAP WORLD FUND-A<br>BUY 0 Units @0.0000               | 0.00                 | 9.28                | 0.00               | 9.28              | 88.0 | 8.17                 |
| 06/01/2018                                                   | ***-**-26IR - BROWN, MARISSA<br>ACCOUNT #: 00081497402   | SMALLCAP WORLD FUND-A<br>BUY 0 Units @0.0000               | 0.00                 | 1.13                | 0.00               | 1.13              | 88.0 | 0.99                 |
| 06/01/2018                                                   | ***-**-25IR - REDMOND, SEAN<br>ACCOUNT #: 00088078685    | SMALLCAP WORLD FUND-A<br>BUY 0 Units @0.0000               | 0.00                 | 1.64                | 0.00               | 1.64              | 88.0 | 1.44                 |
| 06/18/2018                                                   | ***-**-80IN - GRIFFITH, DAVID<br>ACCOUNT #: LSF000286    | SMALLCAP WORLD FUND-A<br>BUY 1 Units @0.0000               | 0.00                 | 5.92                | 0.00               | 5.92              | 88.0 | 5.21                 |
| 06/18/2018                                                   | ***-**-580I - GRIFFITH, DAVID<br>ACCOUNT #: LSF000295    | SMALLCAP WORLD FUND-A<br>BUY 1 Units @0.0000               | 0.00                 | 1.58                | 0.00               | 1.58              | 88.0 | 1.39                 |



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BROKER #: A76  
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> |                                                         |                                                          |                      |                     |                    |                   |      |                      |
| 06/18/2018                                                   | ***-**-522I - RIEBEN, HENRY<br>ACCOUNT #: LSR010964     | SMALLCAP WORLD FUND-A<br>BUY 1 Units @0.0000             | 0.00                 | 0.72                | 0.00               | 0.72              | 88.0 | 0.63                 |
| 06/18/2018                                                   | ***-**-24TR - SCOTELLARO, L<br>ACCOUNT #: LSR010973     | SMALLCAP WORLD FUND-A<br>BUY 1 Units @0.0000             | 0.00                 | 1.63                | 0.00               | 1.63              | 88.0 | 1.43                 |
| 06/18/2018                                                   | ***-**-803J - TEESDALE,<br>ACCOUNT #: LSR011017         | SMALLCAP WORLD FUND-A<br>BUY 1 Units @0.0000             | 0.00                 | 0.36                | 0.00               | 0.36              | 88.0 | 0.32                 |
| 06/18/2018                                                   | ***-**-22IN - GRACIE, JULIA<br>ACCOUNT #: LSR011019     | SMALLCAP WORLD FUND-A<br>BUY 1 Units @0.0000             | 0.00                 | 2.07                | 0.00               | 2.07              | 88.0 | 1.82                 |
| 06/18/2018                                                   | ***-**-661I - GORCZYNSKI,<br>ACCOUNT #: LSR011221       | SMALLCAP WORLD FUND-A<br>BUY 1 Units @0.0000             | 0.00                 | 4.25                | 0.00               | 4.25              | 88.0 | 3.74                 |
| 06/18/2018                                                   | ***-**-469I - HAUCK, JUDITH<br>ACCOUNT #: LSR011739     | SMALLCAP WORLD FUND-A<br>BUY 1 Units @0.0000             | 0.00                 | 0.74                | 0.00               | 0.74              | 88.0 | 0.65                 |
| 06/18/2018                                                   | ***-**-621O - DANIELS, JOHN<br>ACCOUNT #: LSR012373     | SMALLCAP WORLD FUND-A<br>BUY 1 Units @0.0000             | 0.00                 | 1.24                | 0.00               | 1.24              | 88.0 | 1.09                 |
| 06/01/2018                                                   | ***-**-90IN - SPINA, MARK<br>ACCOUNT #: 00088527332     | SMALLCAP WORLD FUND-C<br>BUY 0 Units @0.0000             | 0.00                 | 8.37                | 0.00               | 8.37              | 88.0 | 7.37                 |
| 06/01/2018                                                   | ***-**-244I - BURTON, RICHARD<br>ACCOUNT #: 00065159109 | SMALLCAP WORLD FUND-C<br>BUY 0 Units @0.0000             | 0.00                 | 11.33               | 0.00               | 11.33             | 88.0 | 9.97                 |
| 06/01/2018                                                   | ***-**-60IN - SCHRADER, KEVIN<br>ACCOUNT #: 00088507883 | SMALLCAP WORLD FUND-C<br>BUY 0 Units @0.0000             | 0.00                 | 9.86                | 0.00               | 9.86              | 88.0 | 8.68                 |
| 06/01/2018                                                   | ***-**-953I - DINITTO, NICOLE<br>ACCOUNT #: 00088593891 | SMALLCAP WORLD FUND-C<br>BUY 0 Units @0.0000             | 0.00                 | 1.40                | 0.00               | 1.40              | 88.0 | 1.23                 |
| 06/01/2018                                                   | ***-**-04IN - CLEARY, STEPHEN<br>ACCOUNT #: 00088608566 | SMALLCAP WORLD FUND-C<br>BUY 0 Units @0.0000             | 0.00                 | 3.87                | 0.00               | 3.87              | 88.0 | 3.41                 |
| 06/01/2018                                                   | ***-**-58IN - SCHRECK, RYAN<br>ACCOUNT #: 00088659742   | SMALLCAP WORLD FUND-C<br>BUY 0 Units @0.0000             | 0.00                 | 3.72                | 0.00               | 3.72              | 88.0 | 3.27                 |
| 06/18/2018                                                   | ***-**-762I - STORSBERG,<br>ACCOUNT #: LSR011688        | SMALLCAP WORLD FUND-C<br>BUY 1 Units @0.0000             | 0.00                 | 15.34               | 0.00               | 15.34             | 88.0 | 13.50                |
| 06/18/2018                                                   | ***-**-656I - SMOLA, STANLEY<br>ACCOUNT #: LSR010868    | SMALLCAP WORLD FUND-F1<br>BUY 1 Units @0.0000            | 0.00                 | 2.07                | 0.00               | 2.07              | 88.0 | 1.82                 |
| 06/18/2018                                                   | ***-**-25IN - PERRITANO,<br>ACCOUNT #: LSR010924        | TA ASSET ALLOC MODERATE PORT CL A<br>BUY 1 Units @0.0000 | 0.00                 | 1.89                | 0.00               | 1.89              | 88.0 | 1.66                 |



# COMMISSION STATEMENT

June 18, 2018

DAVID GRIFFITH  
2108 Genesee St.  
Utica, NY 13502

BROKER #: A76  
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> |                                                          |                                                            |                      |                     |                    |                   |      |                      |
| 06/01/2018                                                   | ***-**-817I - WADSWORTH,<br>ACCOUNT #: 00067441742       | THE BOND FUND OF AMERICA-A<br>BUY 0 Units @0.0000          | 0.00                 | 4.59                | 0.00               | 4.59              | 88.0 | 4.04                 |
| 06/01/2018                                                   | ***-**-244I - BURTON, RICHARD<br>ACCOUNT #: 00065159109  | THE BOND FUND OF AMERICA-C<br>BUY 0 Units @0.0000          | 0.00                 | 7.35                | 0.00               | 7.35              | 88.0 | 6.47                 |
| 06/01/2018                                                   | ***-**-675P - PICKARD, BRIAN<br>ACCOUNT #: 00088359310   | THE GROWTH FUND OF AMERICA-529C<br>BUY 0 Units @0.0000     | 0.00                 | 5.41                | 0.00               | 5.41              | 88.0 | 4.76                 |
| 06/01/2018                                                   | ***-**-675P - PICKARD, BRIAN<br>ACCOUNT #: 00088359322   | THE GROWTH FUND OF AMERICA-529C<br>BUY 0 Units @0.0000     | 0.00                 | 2.44                | 0.00               | 2.44              | 88.0 | 2.15                 |
| 06/01/2018                                                   | ***-**-5485 - GAETANO,<br>ACCOUNT #: 00082975488         | THE GROWTH FUND OF AMERICA-A<br>BUY 0 Units @0.0000        | 0.00                 | 8.99                | 0.00               | 8.99              | 88.0 | 7.91                 |
| 06/01/2018                                                   | ***-**-004O - GRIFFITH,<br>ACCOUNT #: 00083176630        | THE GROWTH FUND OF AMERICA-A<br>BUY 0 Units @0.0000        | 0.00                 | 2.36                | 0.00               | 2.36              | 88.0 | 2.08                 |
| 06/01/2018                                                   | ***-**-817I - WADSWORTH,<br>ACCOUNT #: 00067441742       | THE GROWTH FUND OF AMERICA-A<br>BUY 0 Units @0.0000        | 0.00                 | 10.94               | 0.00               | 10.94             | 88.0 | 9.63                 |
| 06/01/2018                                                   | ***-**-225P - DAMSKY, CYNTHIA<br>ACCOUNT #: 00068200312  | THE GROWTH FUND OF AMERICA-A<br>BUY 0 Units @0.0000        | 0.00                 | 1.84                | 0.00               | 1.84              | 88.0 | 1.62                 |
| 06/01/2018                                                   | ***-**-36IN - GAUTHIER,<br>ACCOUNT #: 00068814424        | THE GROWTH FUND OF AMERICA-A<br>BUY 0 Units @0.0000        | 0.00                 | 8.33                | 0.00               | 8.33              | 88.0 | 7.33                 |
| 06/01/2018                                                   | ***-**-25IR - REDMOND, SEAN<br>ACCOUNT #: 00088078685    | THE GROWTH FUND OF AMERICA-A<br>BUY 0 Units @0.0000        | 0.00                 | 2.98                | 0.00               | 2.98              | 88.0 | 2.62                 |
| 06/18/2018                                                   | ***-**-80IN - GRIFFITH, DAVID<br>ACCOUNT #: LSF000286    | THE GROWTH FUND OF AMERICA-A<br>BUY 1 Units @0.0000        | 0.00                 | 1.31                | 0.00               | 1.31              | 88.0 | 1.15                 |
| 06/18/2018                                                   | ***-**-29IO - LORUSSO, VINCENT<br>ACCOUNT #: LSR011681   | THE GROWTH FUND OF AMERICA-C<br>BUY 1 Units @0.0000        | 0.00                 | 7.58                | 0.00               | 7.58              | 88.0 | 6.67                 |
| 06/04/2018                                                   | ***-**-794I - INGERSOLL, JOAN<br>ACCOUNT #: 00000871758  | THE HARTFORD EQUITY INCOME FUND - A<br>BUY 0 Units @0.0000 | 0.00                 | 0.60                | 0.00               | 0.60              | 88.0 | 0.53                 |
| 06/04/2018                                                   | ***-**-015P - SABANOSH, SHERYL<br>ACCOUNT #: 00000856950 | THE HARTFORD FLOATING RATE FUND - A<br>BUY 0 Units @0.0000 | 0.00                 | 0.67                | 0.00               | 0.67              | 88.0 | 0.59                 |
| 06/04/2018                                                   | ***-**-015P - SABANOSH, SHERYL<br>ACCOUNT #: 00000856950 | THE HARTFORD GLOBAL HEALTH FUND-A<br>BUY 0 Units @0.0000   | 0.00                 | 1.26                | 0.00               | 1.26              | 88.0 | 1.11                 |
| 06/04/2018                                                   | ***-**-015P - SABANOSH, SHERYL<br>ACCOUNT #: 00000856950 | THE HARTFORD VALUE OPPORTUNITIES FD<br>BUY 0 Units @0.0000 | 0.00                 | 0.97                | 0.00               | 0.97              | 88.0 | 0.85                 |



# COMMISSION STATEMENT

June 18, 2018

DAVID GRIFFITH  
2108 Genesee St.  
Utica, NY 13502

BROKER #: A76  
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> |                               |                                     |                      |                     |                    |                   |      |                      |
| 06/01/2018                                                   | ***-**-675P - PICKARD, BRIAN  | THE INCOME FUND OF AMERICA-529C     | 0.00                 | 6.83                | 0.00               | 6.83              | 88.0 | 6.01                 |
|                                                              | ACCOUNT #: 00088359310        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 06/01/2018                                                   | ***-**-675P - PICKARD, BRIAN  | THE INCOME FUND OF AMERICA-529C     | 0.00                 | 5.72                | 0.00               | 5.72              | 88.0 | 5.03                 |
|                                                              | ACCOUNT #: 00088359322        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 06/01/2018                                                   | ***-**-595P - MUTH, MARIA     | THE INCOME FUND OF AMERICA-529C     | 0.00                 | 5.92                | 0.00               | 5.92              | 88.0 | 5.21                 |
|                                                              | ACCOUNT #: 00088943357        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 06/01/2018                                                   | ***-**-64IN - KIO, EVELYN     | THE INCOME FUND OF AMERICA-A        | 0.00                 | 1.52                | 0.00               | 1.52              | 88.0 | 1.34                 |
|                                                              | ACCOUNT #: 00067349392        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 06/01/2018                                                   | ***-**-225P - DAMSKY, CYNTHIA | THE INCOME FUND OF AMERICA-A        | 0.00                 | 1.39                | 0.00               | 1.39              | 88.0 | 1.22                 |
|                                                              | ACCOUNT #: 00068200312        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 06/01/2018                                                   | ***-**-469I - HAUCK, JUDITH   | THE INCOME FUND OF AMERICA-A        | 0.00                 | 23.37               | 0.00               | 23.37             | 88.0 | 20.57                |
|                                                              | ACCOUNT #: 00087147439        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 06/01/2018                                                   | ***-**-716I - BUCZEK, DENISE  | THE INCOME FUND OF AMERICA-A        | 0.00                 | 3.99                | 0.00               | 3.99              | 88.0 | 3.51                 |
|                                                              | ACCOUNT #: 00088176764        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 06/18/2018                                                   | ***-**-24TR - SCOTELLARO, L   | THE INCOME FUND OF AMERICA-A        | 0.00                 | 4.67                | 0.00               | 4.67              | 88.0 | 4.11                 |
|                                                              | ACCOUNT #: LSR010973          | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 06/18/2018                                                   | ***-**-474J - HAGAN JR,       | THE INCOME FUND OF AMERICA-A        | 0.00                 | 3.25                | 0.00               | 3.25              | 88.0 | 2.86                 |
|                                                              | ACCOUNT #: LSR010993          | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 06/18/2018                                                   | ***-**-698J - FEISTHAMEL, MR  | THE INCOME FUND OF AMERICA-A        | 0.00                 | 1.61                | 0.00               | 1.61              | 88.0 | 1.42                 |
|                                                              | ACCOUNT #: LSR011137          | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 06/18/2018                                                   | ***-**-661I - GORCZYNSKI,     | THE INCOME FUND OF AMERICA-A        | 0.00                 | 2.25                | 0.00               | 2.25              | 88.0 | 1.98                 |
|                                                              | ACCOUNT #: LSR011221          | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 06/18/2018                                                   | ***-**-469I - HAUCK, JUDITH   | THE INCOME FUND OF AMERICA-A        | 0.00                 | 1.79                | 0.00               | 1.79              | 88.0 | 1.58                 |
|                                                              | ACCOUNT #: LSR011739          | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 06/18/2018                                                   | ***-**-621O - DANIELS, JOHN   | THE INCOME FUND OF AMERICA-A        | 0.00                 | 3.74                | 0.00               | 3.74              | 88.0 | 3.29                 |
|                                                              | ACCOUNT #: LSR012373          | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 06/01/2018                                                   | ***-**-244I - BURTON, RICHARD | THE INCOME FUND OF AMERICA-F1       | 0.00                 | 1.98                | 0.00               | 1.98              | 88.0 | 1.74                 |
|                                                              | ACCOUNT #: 00065159109        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 06/18/2018                                                   | ***-**-656I - SMOLA, STANLEY  | THE INCOME FUND OF AMERICA-F1       | 0.00                 | 1.45                | 0.00               | 1.45              | 88.0 | 1.28                 |
|                                                              | ACCOUNT #: LSR010868          | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 06/01/2018                                                   | ***-**-58IN - CADY, GAIL      | THE INVESTMENT COMPANY OF AMERICA-A | 0.00                 | 2.75                | 0.00               | 2.75              | 88.0 | 2.42                 |
|                                                              | ACCOUNT #: 00064492350        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |





# COMMISSION STATEMENT

June 18, 2018

DAVID GRIFFITH  
2108 Genesee St.  
Utica, NY 13502

BROKER #: A76  
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> |                                |                                     |                      |                     |                    |                   |      |                      |
| 06/01/2018                                                   | ***-**-3429 - ALOISIO, NATHAN  | THE INVESTMENT COMPANY OF AMERICA-A | 0.00                 | 2.43                | 0.00               | 2.43              | 88.0 | 2.14                 |
|                                                              | ACCOUNT #: 00084955932         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 06/01/2018                                                   | ***-**-9156 - SIMPSON, PATRICK | THE NEW ECONOMY FUND-A              | 0.00                 | 9.87                | 0.00               | 9.87              | 88.0 | 8.69                 |
|                                                              | ACCOUNT #: 00074686908         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 06/01/2018                                                   | ***-**-244I - BURTON, RICHARD  | THE NEW ECONOMY FUND-A              | 0.00                 | 1.66                | 0.00               | 1.66              | 88.0 | 1.46                 |
|                                                              | ACCOUNT #: 00065159109         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 06/18/2018                                                   | ***-**-661I - GORCZYNSKI,      | THE NEW ECONOMY FUND-A              | 0.00                 | 3.89                | 0.00               | 3.89              | 88.0 | 3.42                 |
|                                                              | ACCOUNT #: LSR011221           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 06/01/2018                                                   | ***-**-244I - BURTON, RICHARD  | THE NEW ECONOMY FUND-C              | 0.00                 | 13.97               | 0.00               | 13.97             | 88.0 | 12.29                |
|                                                              | ACCOUNT #: 00065159109         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 06/18/2018                                                   | ***-**-94UT - MISHLANIE,       | TRANSAMERICA BALANCED - A           | 0.00                 | 4.53                | 0.00               | 4.53              | 88.0 | 3.99                 |
|                                                              | ACCOUNT #: LSR010931           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 06/18/2018                                                   | ***-**-841O - HULL, ELMINA     | TRANSAMERICA MLP & ENERGY INCOME CL | 0.00                 | 3.96                | 0.00               | 3.96              | 88.0 | 3.48                 |
|                                                              | ACCOUNT #: LSR012377           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 06/18/2018                                                   | ***-**-841O - HULL, ELMINA     | TRANSAMERICA MULT MAN ALT           | 0.00                 | 3.50                | 0.00               | 3.50              | 88.0 | 3.08                 |
|                                                              | ACCOUNT #: LSR012377           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 06/01/2018                                                   | ***-**-64IN - KIO, EVELYN      | U.S. GOVERNMENT SECURITIES FUND CLA | 0.00                 | 0.40                | 0.00               | 0.40              | 88.0 | 0.35                 |
|                                                              | ACCOUNT #: 00067349392         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 06/01/2018                                                   | ***-**-39IN - CLEARY, KAREN    | U.S. GOVERNMENT SECURITIES FUND-C   | 0.00                 | 2.03                | 0.00               | 2.03              | 88.0 | 1.79                 |
|                                                              | ACCOUNT #: 00088635688         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 06/01/2018                                                   | ***-**-004O - GRIFFITH,        | WASHINGTON MUTUAL INVESTORS FUND-A  | 0.00                 | 5.56                | 0.00               | 5.56              | 88.0 | 4.89                 |
|                                                              | ACCOUNT #: 00083176630         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 06/01/2018                                                   | ***-**-817I - WADSWORTH,       | WASHINGTON MUTUAL INVESTORS FUND-A  | 0.00                 | 17.74               | 0.00               | 17.74             | 88.0 | 15.61                |
|                                                              | ACCOUNT #: 00067441742         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 06/18/2018                                                   | ***-**-474J - HAGAN JR,        | WASHINGTON MUTUAL INVESTORS FUND-C  | 0.00                 | 25.39               | 0.00               | 25.39             | 88.0 | 22.34                |
|                                                              | ACCOUNT #: LSR010993           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| <b>* MUTUAL FUND 12B1 TRAILS SUBTOTAL *</b>                  |                                |                                     | <b>\$0.00</b>        | <b>\$2,287.04</b>   | <b>\$0.00</b>      | <b>\$2,287.04</b> |      | <b>\$2,012.59</b>    |
| <b>*** BROKER TRANSACTIONS TOTAL ***</b>                     |                                |                                     | <b>\$17,320.28</b>   | <b>\$2,798.72</b>   | <b>\$76.70</b>     | <b>\$2,722.02</b> |      | <b>\$2,395.37</b>    |



# COMMISSION STATEMENT

June 18, 2018

DAVID GRIFFITH  
2108 Genesee St.  
Utica, NY 13502

BROKER #: A76  
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> OVERRIDE TRANSACTIONS </u></b> |                                                         |                                                            |                      |                     |                    |                   |      |                      |
| <b><u>BROKER: KURT GRUENEWALD</u></b> |                                                         |                                                            |                      |                     |                    |                   |      |                      |
| 06/01/2018                            | ***-**-78IR - FALES, JOAN<br>ACCOUNT #: 00088082227     | AF MODERATE GROWTH AND INCOME-A<br>BUY 0 Units @0.0000     | 0.00                 | 4.77                | 0.00               | 4.77              | 88.0 | 4.20                 |
| 06/18/2018                            | ***-**-702I - KOCHEM, MICHAEL<br>ACCOUNT #: LSR010954   | AF MODERATE GROWTH AND INCOME-A<br>BUY 1 Units @0.0000     | 0.00                 | 4.19                | 0.00               | 4.19              | 88.0 | 3.69                 |
| 06/18/2018                            | ***-**-366I - GRUENEWALD,<br>ACCOUNT #: LSR010989       | AF MODERATE GROWTH AND INCOME-A<br>BUY 1 Units @0.0000     | 0.00                 | 1.70                | 0.00               | 1.70              | 88.0 | 1.50                 |
| 06/18/2018                            | ***-**-579J - RHYMESTINE,<br>ACCOUNT #: LSR011081       | AF MODERATE GROWTH AND INCOME-A<br>BUY 1 Units @0.0000     | 0.00                 | 0.81                | 0.00               | 0.81              | 88.0 | 0.71                 |
| 06/18/2018                            | ***-**-808J - GORMAN, RANDY<br>ACCOUNT #: LSR011087     | AF MODERATE GROWTH AND INCOME-A<br>BUY 1 Units @0.0000     | 0.00                 | 0.25                | 0.00               | 0.25              | 88.0 | 0.22                 |
| 06/18/2018                            | ***-**-326I - GRANDE, FBO MR<br>ACCOUNT #: LSR011091    | AF MODERATE GROWTH AND INCOME-A<br>BUY 1 Units @0.0000     | 0.00                 | 2.09                | 0.00               | 2.09              | 88.0 | 1.84                 |
| 06/01/2018                            | ***-**-72TD - GAVALO, JULIE<br>ACCOUNT #: 00087169935   | AF SHORT-TERM TAX-EXEMPT BOND FUND-<br>BUY 0 Units @0.0000 | 0.00                 | 6.80                | 0.00               | 6.80              | 88.0 | 5.98                 |
| 06/01/2018                            | ***-**-169I - EVANS, PAUL<br>ACCOUNT #: 00083808354     | AMCAP FUND-C<br>BUY 0 Units @0.0000                        | 0.00                 | 6.72                | 0.00               | 6.72              | 88.0 | 5.91                 |
| 06/01/2018                            | ***-**-72IN - GAVALO, JULIE<br>ACCOUNT #: 00068530007   | AMERICAN BALANCED FUND-529E<br>BUY 0 Units @0.0000         | 0.00                 | 1.21                | 0.00               | 1.21              | 88.0 | 1.06                 |
| 06/01/2018                            | ***-**-72IN - GAVALO, JULIE<br>ACCOUNT #: 00068530008   | AMERICAN BALANCED FUND-529E<br>BUY 0 Units @0.0000         | 0.00                 | 1.21                | 0.00               | 1.21              | 88.0 | 1.06                 |
| 06/01/2018                            | ***-**-72IN - GAVALO, JULIE<br>ACCOUNT #: 00068530009   | AMERICAN BALANCED FUND-529E<br>BUY 0 Units @0.0000         | 0.00                 | 5.28                | 0.00               | 5.28              | 88.0 | 4.65                 |
| 06/01/2018                            | ***-**-755P - SHEPPARD,<br>ACCOUNT #: 00084218264       | AMERICAN BALANCED FUND-A<br>BUY 0 Units @0.0000            | 0.00                 | 2.11                | 0.00               | 2.11              | 88.0 | 1.86                 |
| 06/01/2018                            | ***-**-0462 - FRIOT, MICHAEL<br>ACCOUNT #: 00084291287  | AMERICAN BALANCED FUND-A<br>BUY 0 Units @0.0000            | 0.00                 | 5.59                | 0.00               | 5.59              | 88.0 | 4.92                 |
| 06/01/2018                            | ***-**-480J - EVANS, RICHARD<br>ACCOUNT #: 00073288662  | AMERICAN BALANCED FUND-A<br>BUY 0 Units @0.0000            | 0.00                 | 2.54                | 0.00               | 2.54              | 88.0 | 2.24                 |
| 06/01/2018                            | ***-**-81IR - CAMPBELL,<br>ACCOUNT #: 00073375822       | AMERICAN BALANCED FUND-A<br>BUY 0 Units @0.0000            | 0.00                 | 6.78                | 0.00               | 6.78              | 88.0 | 5.97                 |
| 06/01/2018                            | ***-**-20IR - DEMETRI, AMELIA<br>ACCOUNT #: 00074234451 | AMERICAN BALANCED FUND-A<br>BUY 0 Units @0.0000            | 0.00                 | 3.59                | 0.00               | 3.59              | 88.0 | 3.16                 |



# COMMISSION STATEMENT

June 18, 2018

DAVID GRIFFITH  
2108 Genesee St.  
Utica, NY 13502

BROKER #: A76  
BRANCH #01047 - 47 - GRIFFITH

| DATE                                               | CLIENT                         | INVESTMENT                        | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|----------------------------------------------------|--------------------------------|-----------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b> OVERRIDE TRANSACTIONS (continued)</b>          |                                |                                   |                      |                     |                    |                   |      |                      |
| <b> <u>BROKER: KURT GRUENEWALD (continued)</u></b> |                                |                                   |                      |                     |                    |                   |      |                      |
| 06/01/2018                                         | ***-**-643I - PELLETIER, MARY  | AMERICAN BALANCED FUND-A          | 0.00                 | 4.99                | 0.00               | 4.99              | 88.0 | 4.39                 |
|                                                    | ACCOUNT #: 00083385810         | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 06/01/2018                                         | ***-**-265J - MEEKINS, TIMOTHY | AMERICAN BALANCED FUND-A          | 0.00                 | 1.10                | 0.00               | 1.10              | 88.0 | 0.97                 |
|                                                    | ACCOUNT #: 00083811335         | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 06/01/2018                                         | ***-**-901I - SATTERLY, ANN    | AMERICAN BALANCED FUND-A          | 0.00                 | 0.54                | 0.00               | 0.54              | 88.0 | 0.48                 |
|                                                    | ACCOUNT #: 00084301189         | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 06/01/2018                                         | ***-**-382I - SATTERLY, NEIL   | AMERICAN BALANCED FUND-A          | 0.00                 | 0.86                | 0.00               | 0.86              | 88.0 | 0.76                 |
|                                                    | ACCOUNT #: 00084301242         | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 06/01/2018                                         | ***-**-753J - FALCHI, VALERIE  | AMERICAN BALANCED FUND-A          | 0.00                 | 0.64                | 0.00               | 0.64              | 88.0 | 0.56                 |
|                                                    | ACCOUNT #: 00084317946         | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 06/18/2018                                         | ***-**-680I - HARRELL, DARYL   | AMERICAN BALANCED FUND-A          | 0.00                 | 0.89                | 0.00               | 0.89              | 88.0 | 0.78                 |
|                                                    | ACCOUNT #: LSR011321           | BUY 1 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 06/18/2018                                         | ***-**-30TR - AND SANDRA       | AMERICAN BALANCED FUND-A          | 0.00                 | 2.90                | 0.00               | 2.90              | 88.0 | 2.55                 |
|                                                    | ACCOUNT #: LSR011939           | BUY 1 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 06/01/2018                                         | ***-**-753J - FALCHI, VALERIE  | AMERICAN BALANCED FUND-C          | 0.00                 | 5.85                | 0.00               | 5.85              | 88.0 | 5.15                 |
|                                                    | ACCOUNT #: 00084317946         | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 06/18/2018                                         | ***-**-761I - EVANS, DOLORES   | AMERICAN BALANCED FUND-C          | 0.00                 | 15.30               | 0.00               | 15.30             | 88.0 | 13.46                |
|                                                    | ACCOUNT #: LSR011024           | BUY 1 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 06/18/2018                                         | ***-**-094I - KATRENA L        | AMERICAN BALANCED FUND-C          | 0.00                 | 3.86                | 0.00               | 3.86              | 88.0 | 3.40                 |
|                                                    | ACCOUNT #: LSR011188           | BUY 1 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 06/18/2018                                         | ***-**-52IO - EUSEPI, SUSAN    | AMERICAN BALANCED FUND-C          | 0.00                 | 5.20                | 0.00               | 5.20              | 88.0 | 4.58                 |
|                                                    | ACCOUNT #: LSR011219           | BUY 1 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 06/18/2018                                         | ***-**-80IO - EVANS, RICHARD   | AMERICAN BALANCED FUND-C          | 0.00                 | 15.53               | 0.00               | 15.53             | 88.0 | 13.67                |
|                                                    | ACCOUNT #: LSR011276           | BUY 1 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 06/01/2018                                         | ***-**-5375 - CARTER, LISA     | AMERICAN FUNDS 45956T808          | 0.00                 | 5.52                | 0.00               | 5.52              | 88.0 | 4.86                 |
|                                                    | ACCOUNT #: 00083849497         | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 06/01/2018                                         | ***-**-0851 - LALLIER, JAMES   | AMERICAN FUNDS BALANCED PORT CL C | 0.00                 | 28.64               | 0.00               | 28.64             | 88.0 | 25.20                |
|                                                    | ACCOUNT #: 00068584532         | BUY 0 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 06/18/2018                                         | ***-**-881I - EBERLEY, SUSAN   | AMERICAN FUNDS BALANCED PORT CL C | 0.00                 | 8.84                | 0.00               | 8.84              | 88.0 | 7.78                 |
|                                                    | ACCOUNT #: LSR010858           | BUY 1 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 06/18/2018                                         | ***-**-382K - SATTERLY, NEIL   | AMERICAN FUNDS BALANCED PORT CL C | 0.00                 | 4.49                | 0.00               | 4.49              | 88.0 | 3.95                 |
|                                                    | ACCOUNT #: LSR010875           | 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> OVERRIDE TRANSACTIONS (continued)</b>          |                                                       |                                                          |                      |                     |                    |                   |      |                      |
| <b> <u>BROKER: KURT GRUENEWALD (continued)</u></b> |                                                       |                                                          |                      |                     |                    |                   |      |                      |
| 06/18/2018                                         | ***-**-949I - ACEE, JOSPEH<br>ACCOUNT #: LSR010908    | AMERICAN FUNDS BALANCED PORT CL C<br>BUY 1 Units @0.0000 | 0.00                 | 3.68                | 0.00               | 3.68              | 88.0 | 3.24                 |
| 06/18/2018                                         | ***-**-48IO - CLARK, PATRICK<br>ACCOUNT #: LSR010911  | AMERICAN FUNDS BALANCED PORT CL C<br>BUY 1 Units @0.0000 | 0.00                 | 22.71               | 0.00               | 22.71             | 88.0 | 19.98                |
| 06/18/2018                                         | ***-**-31IO - HARTZ, CLAUDIA<br>ACCOUNT #: LSR010915  | AMERICAN FUNDS BALANCED PORT CL C<br>BUY 1 Units @0.0000 | 0.00                 | 6.21                | 0.00               | 6.21              | 88.0 | 5.46                 |
| 06/18/2018                                         | ***-**-031O - MCVOY, ROBERT<br>ACCOUNT #: LSR010916   | AMERICAN FUNDS BALANCED PORT CL C<br>BUY 1 Units @0.0000 | 0.00                 | 4.73                | 0.00               | 4.73              | 88.0 | 4.16                 |
| 06/18/2018                                         | ***-**-15IN - PENDRAK, JOHN<br>ACCOUNT #: LSR010948   | AMERICAN FUNDS BALANCED PORT CL C<br>BUY 1 Units @0.0000 | 0.00                 | 12.05               | 0.00               | 12.05             | 88.0 | 10.60                |
| 06/18/2018                                         | ***-**-959I - FRANZ, PAUL<br>ACCOUNT #: LSR010959     | AMERICAN FUNDS BALANCED PORT CL C<br>BUY 1 Units @0.0000 | 0.00                 | 10.60               | 0.00               | 10.60             | 88.0 | 9.33                 |
| 06/18/2018                                         | ***-**-567I - FRANZ, ALICE<br>ACCOUNT #: LSR010960    | AMERICAN FUNDS BALANCED PORT CL C<br>BUY 1 Units @0.0000 | 0.00                 | 7.12                | 0.00               | 7.12              | 88.0 | 6.27                 |
| 06/18/2018                                         | ***-**-960J - MASTRANGELO,<br>ACCOUNT #: LSR010966    | AMERICAN FUNDS BALANCED PORT CL C<br>BUY 1 Units @0.0000 | 0.00                 | 11.95               | 0.00               | 11.95             | 88.0 | 10.52                |
| 06/18/2018                                         | ***-**-73TR - WESTCOTT IRRVOC<br>ACCOUNT #: LSR011001 | AMERICAN FUNDS BALANCED PORT CL C<br>BUY 1 Units @0.0000 | 0.00                 | 8.81                | 0.00               | 8.81              | 88.0 | 7.75                 |
| 06/18/2018                                         | ***-**-51IO - CAIN, TIMOTHY<br>ACCOUNT #: LSR011007   | AMERICAN FUNDS BALANCED PORT CL C<br>BUY 1 Units @0.0000 | 0.00                 | 11.90               | 0.00               | 11.90             | 88.0 | 10.47                |
| 06/18/2018                                         | ***-**-169I - EVANS, PAUL<br>ACCOUNT #: LSR011026     | AMERICAN FUNDS BALANCED PORT CL C<br>BUY 1 Units @0.0000 | 0.00                 | 5.51                | 0.00               | 5.51              | 88.0 | 4.85                 |
| 06/18/2018                                         | ***-**-73UT - COBB, CHRISTIAN<br>ACCOUNT #: LSR011104 | AMERICAN FUNDS BALANCED PORT CL C<br>BUY 1 Units @0.0000 | 0.00                 | 5.47                | 0.00               | 5.47              | 88.0 | 4.81                 |
| 06/18/2018                                         | ***-**-67UT - COBB,<br>ACCOUNT #: LSR011105           | AMERICAN FUNDS BALANCED PORT CL C<br>BUY 1 Units @0.0000 | 0.00                 | 5.47                | 0.00               | 5.47              | 88.0 | 4.81                 |
| 06/18/2018                                         | ***-**-13IN - RHYMESTINE,<br>ACCOUNT #: LSR011106     | AMERICAN FUNDS BALANCED PORT CL C<br>BUY 1 Units @0.0000 | 0.00                 | 2.61                | 0.00               | 2.61              | 88.0 | 2.30                 |
| 06/18/2018                                         | ***-**-89IN - LEE, ROGER<br>ACCOUNT #: LSR011166      | AMERICAN FUNDS BALANCED PORT CL C<br>BUY 1 Units @0.0000 | 0.00                 | 7.53                | 0.00               | 7.53              | 88.0 | 6.63                 |
| 06/18/2018                                         | ***-**-31IO - WILLIAMSON, FBO<br>ACCOUNT #: LSR011172 | AMERICAN FUNDS BALANCED PORT CL C<br>BUY 1 Units @0.0000 | 0.00                 | 16.12               | 0.00               | 16.12             | 88.0 | 14.19                |



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| DATE                                               | CLIENT                        | INVESTMENT                         | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|----------------------------------------------------|-------------------------------|------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b> OVERRIDE TRANSACTIONS (continued)</b>          |                               |                                    |                      |                     |                    |                   |      |                      |
| <b> <u>BROKER: KURT GRUENEWALD (continued)</u></b> |                               |                                    |                      |                     |                    |                   |      |                      |
| 06/18/2018                                         | ***-**-64IO - PFAFF, GEORGE   | AMERICAN FUNDS BALANCED PORT CL C  | 0.00                 | 5.05                | 0.00               | 5.05              | 88.0 | 4.44                 |
|                                                    | ACCOUNT #: LSR011185          | BUY 1 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 06/18/2018                                         | ***-**-900J - LEE, MR.        | AMERICAN FUNDS BALANCED PORT CL C  | 0.00                 | 5.21                | 0.00               | 5.21              | 88.0 | 4.58                 |
|                                                    | ACCOUNT #: LSR011186          | BUY 1 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 06/18/2018                                         | ***-**-62IR - ROBBIANO, FBO   | AMERICAN FUNDS BALANCED PORT CL C  | 0.00                 | 3.68                | 0.00               | 3.68              | 88.0 | 3.24                 |
|                                                    | ACCOUNT #: LSR011195          | BUY 1 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 06/18/2018                                         | ***-**-02IN - BUSHEY, MELISSA | AMERICAN FUNDS BALANCED PORT CL C  | 0.00                 | 3.70                | 0.00               | 3.70              | 88.0 | 3.26                 |
|                                                    | ACCOUNT #: LSR011257          | BUY 1 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 06/18/2018                                         | ***-**-653I - KOCHER, CLINTON | AMERICAN FUNDS BALANCED PORT CL C  | 0.00                 | 3.74                | 0.00               | 3.74              | 88.0 | 3.29                 |
|                                                    | ACCOUNT #: LSR011300          | BUY 1 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 06/18/2018                                         | ***-**-851K - LALLIER, JAMES  | AMERICAN FUNDS BALANCED PORT CL C  | 0.00                 | 6.06                | 0.00               | 6.06              | 88.0 | 5.33                 |
|                                                    | ACCOUNT #: LSR012645          | BUY 1 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 06/01/2018                                         | ***-**-0851 - LALLIER, JAMES  | AMERICAN FUNDS GLBL GROWTH PORT CL | 0.00                 | 5.04                | 0.00               | 5.04              | 88.0 | 4.44                 |
|                                                    | ACCOUNT #: 00068584532        | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 06/18/2018                                         | ***-**-62IR - ROBBIANO, FBO   | AMERICAN FUNDS GLBL GROWTH PORT CL | 0.00                 | 3.46                | 0.00               | 3.46              | 88.0 | 3.04                 |
|                                                    | ACCOUNT #: LSR011195          | BUY 1 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 06/18/2018                                         | ***-**-851K - LALLIER, JAMES  | AMERICAN FUNDS GLBL GROWTH PORT CL | 0.00                 | 1.07                | 0.00               | 1.07              | 88.0 | 0.94                 |
|                                                    | ACCOUNT #: LSR012645          | BUY 1 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 06/18/2018                                         | ***-**-87IN - HINCKLEY,       | AMERICAN FUNDS MORTGAGE FD CL C    | 0.00                 | 6.47                | 0.00               | 6.47              | 88.0 | 5.69                 |
|                                                    | ACCOUNT #: LSR010834          | BUY 1 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 06/18/2018                                         | ***-**-287J - HINCKLEY,       | AMERICAN FUNDS MORTGAGE FD CL C    | 0.00                 | 8.15                | 0.00               | 8.15              | 88.0 | 7.17                 |
|                                                    | ACCOUNT #: LSR010841          | BUY 1 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 06/18/2018                                         | ***-**-881I - EBERLEY, SUSAN  | AMERICAN FUNDS MORTGAGE FD CL C    | 0.00                 | 7.29                | 0.00               | 7.29              | 88.0 | 6.42                 |
|                                                    | ACCOUNT #: LSR010858          | BUY 1 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 06/18/2018                                         | ***-**-382I - SATTERLY, NEIL  | AMERICAN FUNDS MORTGAGE FD CL C    | 0.00                 | 8.49                | 0.00               | 8.49              | 88.0 | 7.47                 |
|                                                    | ACCOUNT #: LSR010867          | BUY 1 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 06/18/2018                                         | ***-**-980I - ACEE, ELIZABETH | AMERICAN FUNDS MORTGAGE FD CL C    | 0.00                 | 12.85               | 0.00               | 12.85             | 88.0 | 11.31                |
|                                                    | ACCOUNT #: LSR010885          | BUY 1 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 06/18/2018                                         | ***-**-48IO - CLARK, PATRICK  | AMERICAN FUNDS MORTGAGE FD CL C    | 0.00                 | 12.76               | 0.00               | 12.76             | 88.0 | 11.23                |
|                                                    | ACCOUNT #: LSR010911          | BUY 1 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 06/18/2018                                         | ***-**-31IO - HARTZ, CLAUDIA  | AMERICAN FUNDS MORTGAGE FD CL C    | 0.00                 | 4.92                | 0.00               | 4.92              | 88.0 | 4.33                 |
|                                                    | ACCOUNT #: LSR010915          | 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> OVERRIDE TRANSACTIONS (continued)</b>          |                                                        |                                                        |                      |                     |                    |                   |      |                      |
| <b> <u>BROKER: KURT GRUENEWALD (continued)</u></b> |                                                        |                                                        |                      |                     |                    |                   |      |                      |
| 06/18/2018                                         | ***-**-72IN - GAVALO, JULIE<br>ACCOUNT #: LSR010921    | AMERICAN FUNDS MORTGAGE FD CL C<br>BUY 1 Units @0.0000 | 0.00                 | 12.82               | 0.00               | 12.82             | 88.0 | 11.28                |
| 06/18/2018                                         | ***-**-959I - FRANZ, PAUL<br>ACCOUNT #: LSR010959      | AMERICAN FUNDS MORTGAGE FD CL C<br>BUY 1 Units @0.0000 | 0.00                 | 10.25               | 0.00               | 10.25             | 88.0 | 9.02                 |
| 06/18/2018                                         | ***-**-065I - LAZIO, THOMAS<br>ACCOUNT #: LSR010979    | AMERICAN FUNDS MORTGAGE FD CL C<br>BUY 1 Units @0.0000 | 0.00                 | 7.66                | 0.00               | 7.66              | 88.0 | 6.74                 |
| 06/18/2018                                         | ***-**-80IN - COBB, JAMES<br>ACCOUNT #: LSR011042      | AMERICAN FUNDS MORTGAGE FD CL C<br>BUY 1 Units @0.0000 | 0.00                 | 8.47                | 0.00               | 8.47              | 88.0 | 7.45                 |
| 06/18/2018                                         | ***-**-00IO - LEE, GARY<br>ACCOUNT #: LSR011059        | AMERICAN FUNDS MORTGAGE FD CL C<br>BUY 1 Units @0.0000 | 0.00                 | 8.58                | 0.00               | 8.58              | 88.0 | 7.55                 |
| 06/18/2018                                         | ***-**-44IO - MAYO, DEBORAH<br>ACCOUNT #: LSR011079    | AMERICAN FUNDS MORTGAGE FD CL C<br>BUY 1 Units @0.0000 | 0.00                 | 29.47               | 0.00               | 29.47             | 88.0 | 25.93                |
| 06/18/2018                                         | ***-**-579J - RHYMESTINE,<br>ACCOUNT #: LSR011081      | AMERICAN FUNDS MORTGAGE FD CL C<br>BUY 1 Units @0.0000 | 0.00                 | 8.43                | 0.00               | 8.43              | 88.0 | 7.42                 |
| 06/18/2018                                         | ***-**-09IO - BATES, FBO MRS<br>ACCOUNT #: LSR011117   | AMERICAN FUNDS MORTGAGE FD CL C<br>BUY 1 Units @0.0000 | 0.00                 | 21.97               | 0.00               | 21.97             | 88.0 | 19.33                |
| 06/18/2018                                         | ***-**-48IO - ANACKER, FBO MRS<br>ACCOUNT #: LSR011164 | AMERICAN FUNDS MORTGAGE FD CL C<br>BUY 1 Units @0.0000 | 0.00                 | 6.39                | 0.00               | 6.39              | 88.0 | 5.62                 |
| 06/18/2018                                         | ***-**-89IN - LEE, ROGER<br>ACCOUNT #: LSR011166       | AMERICAN FUNDS MORTGAGE FD CL C<br>BUY 1 Units @0.0000 | 0.00                 | 13.74               | 0.00               | 13.74             | 88.0 | 12.09                |
| 06/18/2018                                         | ***-**-094I - KATRENA L<br>ACCOUNT #: LSR011188        | AMERICAN FUNDS MORTGAGE FD CL C<br>BUY 1 Units @0.0000 | 0.00                 | 2.98                | 0.00               | 2.98              | 88.0 | 2.62                 |
| 06/18/2018                                         | ***-**-439J - MCCARTHY, JAMES<br>ACCOUNT #: LSR011205  | AMERICAN FUNDS MORTGAGE FD CL C<br>BUY 1 Units @0.0000 | 0.00                 | 2.48                | 0.00               | 2.48              | 88.0 | 2.18                 |
| 06/18/2018                                         | ***-**-52IO - EUSEPI, SUSAN<br>ACCOUNT #: LSR011219    | AMERICAN FUNDS MORTGAGE FD CL C<br>BUY 1 Units @0.0000 | 0.00                 | 2.95                | 0.00               | 2.95              | 88.0 | 2.60                 |
| 06/18/2018                                         | ***-**-473J - HUSTON,<br>ACCOUNT #: LSR011228          | AMERICAN FUNDS MORTGAGE FD CL C<br>BUY 1 Units @0.0000 | 0.00                 | 8.54                | 0.00               | 8.54              | 88.0 | 7.52                 |
| 06/18/2018                                         | ***-**-80IO - EVANS, RICHARD<br>ACCOUNT #: LSR011276   | AMERICAN FUNDS MORTGAGE FD CL C<br>BUY 1 Units @0.0000 | 0.00                 | 6.77                | 0.00               | 6.77              | 88.0 | 5.96                 |
| 06/18/2018                                         | ***-**-376I - BERBEN, GAIL<br>ACCOUNT #: LSR011380     | AMERICAN FUNDS MORTGAGE FD CL C<br>BUY 1 Units @0.0000 | 0.00                 | 8.30                | 0.00               | 8.30              | 88.0 | 7.30                 |



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BRANCH #01047 - 47 - GRIFFITH

| DATE                                               | CLIENT                         | INVESTMENT                         | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|----------------------------------------------------|--------------------------------|------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b> OVERRIDE TRANSACTIONS (continued)</b>          |                                |                                    |                      |                     |                    |                   |      |                      |
| <b> <u>BROKER: KURT GRUENEWALD (continued)</u></b> |                                |                                    |                      |                     |                    |                   |      |                      |
| 06/18/2018                                         | ***-**-21IO - RADELL, SANDRA   | AMERICAN FUNDS MORTGAGE FD CL C    | 0.00                 | 8.29                | 0.00               | 8.29              | 88.0 | 7.30                 |
|                                                    | ACCOUNT #: LSR011392           | BUY 1 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 06/18/2018                                         | ***-**-45IO - JOHNSON, GREGORY | AMERICAN FUNDS MORTGAGE FD CL C    | 0.00                 | 16.58               | 0.00               | 16.58             | 88.0 | 14.59                |
|                                                    | ACCOUNT #: LSR011421           | BUY 1 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 06/18/2018                                         | ***-**-420T - DEMETRI, AMELIA  | AMERICAN FUNDS PRESERVATION PORT C | 0.00                 | 4.21                | 0.00               | 4.21              | 88.0 | 3.70                 |
|                                                    | ACCOUNT #: LSR010994           | BUY 1 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 06/18/2018                                         | ***-**-881J - EBERLEY, SUSAN   | AMERICAN GLOBAL BALANCED CL C      | 0.00                 | 9.55                | 0.00               | 9.55              | 88.0 | 8.40                 |
|                                                    | ACCOUNT #: LSR010856           | BUY 1 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 06/18/2018                                         | ***-**-382I - SATTERLY, NEIL   | AMERICAN GLOBAL BALANCED CL C      | 0.00                 | 11.56               | 0.00               | 11.56             | 88.0 | 10.17                |
|                                                    | ACCOUNT #: LSR010867           | BUY 1 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 06/18/2018                                         | ***-**-382K - SATTERLY, NEIL   | AMERICAN GLOBAL BALANCED CL C      | 0.00                 | 4.28                | 0.00               | 4.28              | 88.0 | 3.77                 |
|                                                    | ACCOUNT #: LSR010875           | BUY 1 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 06/18/2018                                         | ***-**-980I - ACEE, ELIZABETH  | AMERICAN GLOBAL BALANCED CL C      | 0.00                 | 14.45               | 0.00               | 14.45             | 88.0 | 12.72                |
|                                                    | ACCOUNT #: LSR010885           | BUY 1 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 06/18/2018                                         | ***-**-48IO - CLARK, PATRICK   | AMERICAN GLOBAL BALANCED CL C      | 0.00                 | 11.36               | 0.00               | 11.36             | 88.0 | 10.00                |
|                                                    | ACCOUNT #: LSR010911           | BUY 1 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 06/18/2018                                         | ***-**-72IN - GAVALO, JULIE    | AMERICAN GLOBAL BALANCED CL C      | 0.00                 | 11.04               | 0.00               | 11.04             | 88.0 | 9.72                 |
|                                                    | ACCOUNT #: LSR010921           | BUY 1 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 06/18/2018                                         | ***-**-065I - LAZIO, THOMAS    | AMERICAN GLOBAL BALANCED CL C      | 0.00                 | 9.38                | 0.00               | 9.38              | 88.0 | 8.25                 |
|                                                    | ACCOUNT #: LSR010979           | BUY 1 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 06/18/2018                                         | ***-**-420T - DEMETRI, AMELIA  | AMERICAN GLOBAL BALANCED CL C      | 0.00                 | 7.12                | 0.00               | 7.12              | 88.0 | 6.27                 |
|                                                    | ACCOUNT #: LSR010994           | BUY 1 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 06/18/2018                                         | ***-**-73TR - WESTCOTT IRRVOC  | AMERICAN GLOBAL BALANCED CL C      | 0.00                 | 13.43               | 0.00               | 13.43             | 88.0 | 11.82                |
|                                                    | ACCOUNT #: LSR011001           | BUY 1 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 06/18/2018                                         | ***-**-73TR - WESTCOTT IRRVOC  | AMERICAN GLOBAL BALANCED CL C      | 0.00                 | 25.09               | 0.00               | 25.09             | 88.0 | 22.08                |
|                                                    | ACCOUNT #: LSR011008           | BUY 1 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 06/18/2018                                         | ***-**-80IN - COBB, JAMES      | AMERICAN GLOBAL BALANCED CL C      | 0.00                 | 8.08                | 0.00               | 8.08              | 88.0 | 7.11                 |
|                                                    | ACCOUNT #: LSR011042           | BUY 1 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 06/18/2018                                         | ***-**-00IO - LEE, GARY        | AMERICAN GLOBAL BALANCED CL C      | 0.00                 | 13.47               | 0.00               | 13.47             | 88.0 | 11.85                |
|                                                    | ACCOUNT #: LSR011059           | BUY 1 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 06/18/2018                                         | ***-**-44IO - MAYO, DEBORAH    | AMERICAN GLOBAL BALANCED CL C      | 0.00                 | 33.72               | 0.00               | 33.72             | 88.0 | 29.67                |
|                                                    | ACCOUNT #: LSR011079           | BUY 1 Units @0.0000                |                      |                     |                    |                   |      |                      |



# COMMISSION STATEMENT

June 18, 2018

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

| DATE                                               | CLIENT                                                 | INVESTMENT                                                 | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|----------------------------------------------------|--------------------------------------------------------|------------------------------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b> OVERRIDE TRANSACTIONS (continued)</b>          |                                                        |                                                            |                      |                     |                    |                   |      |                      |
| <b> <u>BROKER: KURT GRUENEWALD (continued)</u></b> |                                                        |                                                            |                      |                     |                    |                   |      |                      |
| 06/18/2018                                         | ***-**-09IO - BATES, FBO MRS<br>ACCOUNT #: LSR011117   | AMERICAN GLOBAL BALANCED CL C<br>BUY 1 Units @0.0000       | 0.00                 | 17.03               | 0.00               | 17.03             | 88.0 | 14.99                |
| 06/18/2018                                         | ***-**-094I - KATRENA L<br>ACCOUNT #: LSR011188        | AMERICAN GLOBAL BALANCED CL C<br>BUY 1 Units @0.0000       | 0.00                 | 7.64                | 0.00               | 7.64              | 88.0 | 6.72                 |
| 06/18/2018                                         | ***-**-11IO - LYNN G.<br>ACCOUNT #: LSR011239          | AMERICAN GLOBAL BALANCED CL C<br>BUY 1 Units @0.0000       | 0.00                 | 19.56               | 0.00               | 19.56             | 88.0 | 17.21                |
| 06/18/2018                                         | ***-**-07IO - FAMOLARO, JAMES<br>ACCOUNT #: LSR011280  | AMERICAN GLOBAL BALANCED CL C<br>BUY 1 Units @0.0000       | 0.00                 | 5.79                | 0.00               | 5.79              | 88.0 | 5.10                 |
| 06/18/2018                                         | ***-**-376I - BERBEN, GAIL<br>ACCOUNT #: LSR011380     | AMERICAN GLOBAL BALANCED CL C<br>BUY 1 Units @0.0000       | 0.00                 | 18.18               | 0.00               | 18.18             | 88.0 | 16.00                |
| 06/18/2018                                         | ***-**-21IO - RADELL, SANDRA<br>ACCOUNT #: LSR011392   | AMERICAN GLOBAL BALANCED CL C<br>BUY 1 Units @0.0000       | 0.00                 | 5.83                | 0.00               | 5.83              | 88.0 | 5.13                 |
| 06/18/2018                                         | ***-**-45IO - JOHNSON, GREGORY<br>ACCOUNT #: LSR011421 | AMERICAN GLOBAL BALANCED CL C<br>BUY 1 Units @0.0000       | 0.00                 | 14.92               | 0.00               | 14.92             | 88.0 | 13.13                |
| 06/18/2018                                         | ***-**-14IO - BUSHEY, MATTHEW<br>ACCOUNT #: LSR011498  | AMERICAN GLOBAL BALANCED CL C<br>BUY 1 Units @0.0000       | 0.00                 | 17.43               | 0.00               | 17.43             | 88.0 | 15.34                |
| 06/18/2018                                         | ***-**-37IO - MCCLUSKY, MARK<br>ACCOUNT #: LSR011579   | AMERICAN GLOBAL BALANCED CL C<br>BUY 1 Units @0.0000       | 0.00                 | 9.52                | 0.00               | 9.52              | 88.0 | 8.38                 |
| 06/18/2018                                         | ***-**-86IN - LEE, KEVIN<br>ACCOUNT #: LSR011613       | AMERICAN GLOBAL BALANCED CL C<br>BUY 1 Units @0.0000       | 0.00                 | 8.50                | 0.00               | 8.50              | 88.0 | 7.48                 |
| 06/18/2018                                         | ***-**-03IO - MASTRANGELO,<br>ACCOUNT #: LSR011679     | AMERICAN GLOBAL BALANCED CL C<br>BUY 1 Units @0.0000       | 0.00                 | 9.61                | 0.00               | 9.61              | 88.0 | 8.46                 |
| 06/18/2018                                         | ***-**-51IO - SCALISE, MARY<br>ACCOUNT #: LSR011837    | AMERICAN GLOBAL BALANCED CL C<br>BUY 1 Units @0.0000       | 0.00                 | 6.76                | 0.00               | 6.76              | 88.0 | 5.95                 |
| 06/18/2018                                         | ***-**-702I - KOCHEM, MICHAEL<br>ACCOUNT #: LSR010954  | AMERICAN GLOBAL BALANCED CLASS A<br>BUY 1 Units @0.0000    | 0.00                 | 2.64                | 0.00               | 2.64              | 88.0 | 2.32                 |
| 06/18/2018                                         | ***-**-63TR - EVANS, AUDREY J<br>ACCOUNT #: LSR011036  | AMERICAN GLOBAL BALANCED CLASS A<br>BUY 1 Units @0.0000    | 0.00                 | 6.08                | 0.00               | 6.08              | 88.0 | 5.35                 |
| 06/18/2018                                         | ***-**-30TR - AND SANDRA<br>ACCOUNT #: LSR011939       | AMERICAN GLOBAL BALANCED CLASS A<br>BUY 1 Units @0.0000    | 0.00                 | 1.56                | 0.00               | 1.56              | 88.0 | 1.37                 |
| 06/01/2018                                         | ***-**-72TD - GAVALO, JULIE<br>ACCOUNT #: 00087169935  | AMERICAN HIGH-INCOME MUNI BOND FUND<br>BUY 0 Units @0.0000 | 0.00                 | 13.65               | 0.00               | 13.65             | 88.0 | 12.01                |





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| DATE                                               | CLIENT                         | INVESTMENT                          | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|----------------------------------------------------|--------------------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b> OVERRIDE TRANSACTIONS (continued)</b>          |                                |                                     |                      |                     |                    |                   |      |                      |
| <b> <u>BROKER: KURT GRUENEWALD (continued)</u></b> |                                |                                     |                      |                     |                    |                   |      |                      |
| 06/01/2018                                         | ***-**-072I - GAVALO, JULIE    | AMERICAN HIGH-INCOME TRUST-A        | 0.00                 | 19.69               | 0.00               | 19.69             | 88.0 | 17.33                |
|                                                    | ACCOUNT #: 00087112294         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 06/01/2018                                         | ***-**-81IR - CAMPBELL,        | AMERICAN HIGH-INCOME TRUST-A        | 0.00                 | 4.23                | 0.00               | 4.23              | 88.0 | 3.72                 |
|                                                    | ACCOUNT #: 00073375822         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 06/01/2018                                         | ***-**-20JT - KOCHER, DENISE   | AMERICAN HIGH-INCOME TRUST-A        | 0.00                 | 1.34                | 0.00               | 1.34              | 88.0 | 1.18                 |
|                                                    | ACCOUNT #: 00083988898         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 06/01/2018                                         | ***-**-72IN - GAVALO, JULIE    | AMERICAN MUTUAL FUND-529E           | 0.00                 | 5.50                | 0.00               | 5.50              | 88.0 | 4.84                 |
|                                                    | ACCOUNT #: 00068530009         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 06/01/2018                                         | ***-**-072I - GAVALO, JULIE    | AMERICAN MUTUAL FUND-A              | 0.00                 | 10.50               | 0.00               | 10.50             | 88.0 | 9.24                 |
|                                                    | ACCOUNT #: 00087112294         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 06/01/2018                                         | ***-**-20JT - KOCHER, DENISE   | AMERICAN MUTUAL FUND-A              | 0.00                 | 0.87                | 0.00               | 0.87              | 88.0 | 0.77                 |
|                                                    | ACCOUNT #: 00083988898         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 06/18/2018                                         | ***-**-287I - HINCKLEY,        | AMERICAN MUTUAL FUND-A              | 0.00                 | 5.45                | 0.00               | 5.45              | 88.0 | 4.80                 |
|                                                    | ACCOUNT #: LSR010843           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 06/18/2018                                         | ***-**-13IN - GRUENEWALD,      | AMERICAN WASHINGTON MUTUAL INVESTOR | 0.00                 | 0.34                | 0.00               | 0.34              | 88.0 | 0.30                 |
|                                                    | ACCOUNT #: LSR011210           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 06/14/2018                                         | ***-**-513I - RHYMESTINE,      | BERKSHIRE HATHAWAY INC DEL CL B NEW | 9,692.50             | 96.95               | 0.00               | 96.95             | 88.0 | 85.32                |
|                                                    | ACCOUNT #: LSR012457           | BUY 50 Units @193.8500              |                      |                     |                    |                   |      |                      |
| 06/01/2018                                         | ***-**-085I - LALLIER, JAMES   | CAPITAL INCOME BUILDER CLASS C      | 0.00                 | 27.40               | 0.00               | 27.40             | 88.0 | 24.11                |
|                                                    | ACCOUNT #: 00068584532         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 06/18/2018                                         | ***-**-254I - AUGUSTINE, LINDA | CAPITAL INCOME BUILDER CLASS C      | 0.00                 | 7.21                | 0.00               | 7.21              | 88.0 | 6.34                 |
|                                                    | ACCOUNT #: LSR010846           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 06/18/2018                                         | ***-**-881J - EBERLEY, SUSAN   | CAPITAL INCOME BUILDER CLASS C      | 0.00                 | 4.87                | 0.00               | 4.87              | 88.0 | 4.29                 |
|                                                    | ACCOUNT #: LSR010856           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 06/18/2018                                         | ***-**-382I - SATTERLY, NEIL   | CAPITAL INCOME BUILDER CLASS C      | 0.00                 | 14.60               | 0.00               | 14.60             | 88.0 | 12.85                |
|                                                    | ACCOUNT #: LSR010867           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 06/18/2018                                         | ***-**-949I - ACEE, JOSPEH     | CAPITAL INCOME BUILDER CLASS C      | 0.00                 | 4.78                | 0.00               | 4.78              | 88.0 | 4.21                 |
|                                                    | ACCOUNT #: LSR010908           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 06/18/2018                                         | ***-**-31IO - HARTZ, CLAUDIA   | CAPITAL INCOME BUILDER CLASS C      | 0.00                 | 5.36                | 0.00               | 5.36              | 88.0 | 4.72                 |
|                                                    | ACCOUNT #: LSR010915           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 06/18/2018                                         | ***-**-15IN - PENDRAK, JOHN    | CAPITAL INCOME BUILDER CLASS C      | 0.00                 | 8.81                | 0.00               | 8.81              | 88.0 | 7.75                 |
|                                                    | ACCOUNT #: LSR010948           | 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> OVERRIDE TRANSACTIONS (continued)</b>          |                                                         |                                                       |                      |                     |                    |                   |      |                      |
| <b> <u>BROKER: KURT GRUENEWALD (continued)</u></b> |                                                         |                                                       |                      |                     |                    |                   |      |                      |
| 06/18/2018                                         | ***-**-959I - FRANZ, PAUL<br>ACCOUNT #: LSR010959       | CAPITAL INCOME BUILDER CLASS C<br>BUY 1 Units @0.0000 | 0.00                 | 11.81               | 0.00               | 11.81             | 88.0 | 10.39                |
| 06/18/2018                                         | ***-**-960J - MASTRANGELO,<br>ACCOUNT #: LSR010966      | CAPITAL INCOME BUILDER CLASS C<br>BUY 1 Units @0.0000 | 0.00                 | 9.47                | 0.00               | 9.47              | 88.0 | 8.33                 |
| 06/18/2018                                         | ***-**-065I - LAZIO, THOMAS<br>ACCOUNT #: LSR010979     | CAPITAL INCOME BUILDER CLASS C<br>BUY 1 Units @0.0000 | 0.00                 | 6.74                | 0.00               | 6.74              | 88.0 | 5.93                 |
| 06/18/2018                                         | ***-**-51IO - CAIN, TIMOTHY<br>ACCOUNT #: LSR011007     | CAPITAL INCOME BUILDER CLASS C<br>BUY 1 Units @0.0000 | 0.00                 | 7.33                | 0.00               | 7.33              | 88.0 | 6.45                 |
| 06/18/2018                                         | ***-**-63TR - EVANS, AUDREY J<br>ACCOUNT #: LSR011036   | CAPITAL INCOME BUILDER CLASS C<br>BUY 1 Units @0.0000 | 0.00                 | 5.22                | 0.00               | 5.22              | 88.0 | 4.59                 |
| 06/18/2018                                         | ***-**-861I - SANGER, LAWRENCE<br>ACCOUNT #: LSR011095  | CAPITAL INCOME BUILDER CLASS C<br>BUY 1 Units @0.0000 | 0.00                 | 1.82                | 0.00               | 1.82              | 88.0 | 1.60                 |
| 06/18/2018                                         | ***-**-13IN - RHYMESTINE,<br>ACCOUNT #: LSR011106       | CAPITAL INCOME BUILDER CLASS C<br>BUY 1 Units @0.0000 | 0.00                 | 4.52                | 0.00               | 4.52              | 88.0 | 3.98                 |
| 06/18/2018                                         | ***-**-506J - CURRIERE JR, MR<br>ACCOUNT #: LSR011121   | CAPITAL INCOME BUILDER CLASS C<br>BUY 1 Units @0.0000 | 0.00                 | 3.86                | 0.00               | 3.86              | 88.0 | 3.40                 |
| 06/18/2018                                         | ***-**-31IO - WILLIAMSON, FBO<br>ACCOUNT #: LSR011172   | CAPITAL INCOME BUILDER CLASS C<br>BUY 1 Units @0.0000 | 0.00                 | 14.58               | 0.00               | 14.58             | 88.0 | 12.83                |
| 06/18/2018                                         | ***-**-62IR - ROBBIANO, FBO<br>ACCOUNT #: LSR011195     | CAPITAL INCOME BUILDER CLASS C<br>BUY 1 Units @0.0000 | 0.00                 | 6.99                | 0.00               | 6.99              | 88.0 | 6.15                 |
| 06/18/2018                                         | ***-**-02IN - BUSHEY, MELISSA<br>ACCOUNT #: LSR011257   | CAPITAL INCOME BUILDER CLASS C<br>BUY 1 Units @0.0000 | 0.00                 | 2.86                | 0.00               | 2.86              | 88.0 | 2.52                 |
| 06/18/2018                                         | ***-**-851K - LALLIER, JAMES<br>ACCOUNT #: LSR012645    | CAPITAL INCOME BUILDER CLASS C<br>BUY 1 Units @0.0000 | 0.00                 | 5.76                | 0.00               | 5.76              | 88.0 | 5.07                 |
| 06/01/2018                                         | ***-**-755P - SHEPPARD,<br>ACCOUNT #: 00084018452       | CAPITAL INCOME BUILDER-529A<br>BUY 0 Units @0.0000    | 0.00                 | 0.59                | 0.00               | 0.59              | 88.0 | 0.52                 |
| 06/01/2018                                         | ***-**-2855 - KRECIDLO, MARTA<br>ACCOUNT #: 00083946447 | CAPITAL INCOME BUILDER-A<br>BUY 0 Units @0.0000       | 0.00                 | 0.50                | 0.00               | 0.50              | 88.0 | 0.44                 |
| 06/01/2018                                         | ***-**-0462 - FRIOT, MICHAEL<br>ACCOUNT #: 00084291287  | CAPITAL INCOME BUILDER-A<br>BUY 0 Units @0.0000       | 0.00                 | 3.27                | 0.00               | 3.27              | 88.0 | 2.88                 |
| 06/01/2018                                         | ***-**-072I - GAVALO, JULIE<br>ACCOUNT #: 00087112294   | CAPITAL INCOME BUILDER-A<br>BUY 0 Units @0.0000       | 0.00                 | 21.70               | 0.00               | 21.70             | 88.0 | 19.10                |



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| DATE                                               | CLIENT                         | INVESTMENT               | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|----------------------------------------------------|--------------------------------|--------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b> OVERRIDE TRANSACTIONS (continued)</b>          |                                |                          |                      |                     |                    |                   |      |                      |
| <b> <u>BROKER: KURT GRUENEWALD (continued)</u></b> |                                |                          |                      |                     |                    |                   |      |                      |
| 06/01/2018                                         | ***-**-72RI - GAVALO, JULIE    | CAPITAL INCOME BUILDER-A | 0.00                 | 11.75               | 0.00               | 11.75             | 88.0 | 10.34                |
|                                                    | ACCOUNT #: 00087231055         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 06/01/2018                                         | ***-**-8158 - BEHA, DEBORAH    | CAPITAL INCOME BUILDER-A | 0.00                 | 3.78                | 0.00               | 3.78              | 88.0 | 3.33                 |
|                                                    | ACCOUNT #: 00058770149         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 06/01/2018                                         | ***-**-0851 - LALLIER, JAMES   | CAPITAL INCOME BUILDER-A | 0.00                 | 2.33                | 0.00               | 2.33              | 88.0 | 2.05                 |
|                                                    | ACCOUNT #: 00068584532         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 06/01/2018                                         | ***-**-643I - PELLETIER, MARY  | CAPITAL INCOME BUILDER-A | 0.00                 | 4.45                | 0.00               | 4.45              | 88.0 | 3.92                 |
|                                                    | ACCOUNT #: 00083385810         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 06/01/2018                                         | ***-**-86IR - MEEKINS, LISA    | CAPITAL INCOME BUILDER-A | 0.00                 | 0.90                | 0.00               | 0.90              | 88.0 | 0.79                 |
|                                                    | ACCOUNT #: 00083811211         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 06/01/2018                                         | ***-**-265I - MEEKINS, TIMOTHY | CAPITAL INCOME BUILDER-A | 0.00                 | 0.81                | 0.00               | 0.81              | 88.0 | 0.71                 |
|                                                    | ACCOUNT #: 00083811243         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 06/01/2018                                         | ***-**-265J - MEEKINS, TIMOTHY | CAPITAL INCOME BUILDER-A | 0.00                 | 1.00                | 0.00               | 1.00              | 88.0 | 0.88                 |
|                                                    | ACCOUNT #: 00083811335         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 06/01/2018                                         | ***-**-443I - LATUS, FREDERICK | CAPITAL INCOME BUILDER-A | 0.00                 | 0.43                | 0.00               | 0.43              | 88.0 | 0.38                 |
|                                                    | ACCOUNT #: 00083932986         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 06/01/2018                                         | ***-**-20JT - KOCHER, DENISE   | CAPITAL INCOME BUILDER-A | 0.00                 | 1.82                | 0.00               | 1.82              | 88.0 | 1.60                 |
|                                                    | ACCOUNT #: 00083988898         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 06/01/2018                                         | ***-**-5375 - CARTER, LISA     | CAPITAL INCOME BUILDER-A | 0.00                 | 0.17                | 0.00               | 0.17              | 88.0 | 0.15                 |
|                                                    | ACCOUNT #: 00084131722         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 06/01/2018                                         | ***-**-901I - SATTERLY, ANN    | CAPITAL INCOME BUILDER-A | 0.00                 | 0.42                | 0.00               | 0.42              | 88.0 | 0.37                 |
|                                                    | ACCOUNT #: 00084301189         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 06/01/2018                                         | ***-**-382I - SATTERLY, NEIL   | CAPITAL INCOME BUILDER-A | 0.00                 | 0.68                | 0.00               | 0.68              | 88.0 | 0.60                 |
|                                                    | ACCOUNT #: 00084301242         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 06/01/2018                                         | ***-**-753J - FALCHI, VALERIE  | CAPITAL INCOME BUILDER-A | 0.00                 | 0.77                | 0.00               | 0.77              | 88.0 | 0.68                 |
|                                                    | ACCOUNT #: 00084317946         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 06/01/2018                                         | ***-**-094I - KATRENA L        | CAPITAL INCOME BUILDER-A | 0.00                 | 0.38                | 0.00               | 0.38              | 88.0 | 0.33                 |
|                                                    | ACCOUNT #: 00084459807         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 06/01/2018                                         | ***-**-5414 - KARAM, SEGEAN    | CAPITAL INCOME BUILDER-A | 0.00                 | 0.46                | 0.00               | 0.46              | 88.0 | 0.40                 |
|                                                    | ACCOUNT #: 00084545682         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 06/01/2018                                         | ***-**-6981 - KARAM, MARY ANN  | CAPITAL INCOME BUILDER-A | 0.00                 | 0.47                | 0.00               | 0.47              | 88.0 | 0.41                 |
|                                                    | ACCOUNT #: 00084545771         | BUY 0 Units @0.0000      |                      |                     |                    |                   |      |                      |



# COMMISSION STATEMENT

June 18, 2018

DAVID GRIFFITH  
2108 Genesee St.  
Utica, NY 13502

BROKER #: A76  
BRANCH #01047 - 47 - GRIFFITH

| DATE                                               | CLIENT                                                   | INVESTMENT                                       | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|----------------------------------------------------|----------------------------------------------------------|--------------------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b> OVERRIDE TRANSACTIONS (continued)</b>          |                                                          |                                                  |                      |                     |                    |                   |      |                      |
| <b> <u>BROKER: KURT GRUENEWALD (continued)</u></b> |                                                          |                                                  |                      |                     |                    |                   |      |                      |
| 06/18/2018                                         | ***-**-287I - HINCKLEY,<br>ACCOUNT #: LSR010843          | CAPITAL INCOME BUILDER-A<br>BUY 1 Units @0.0000  | 0.00                 | 4.11                | 0.00               | 4.11              | 88.0 | 3.62                 |
| 06/18/2018                                         | ***-**-702I - KOCHER, MICHAEL<br>ACCOUNT #: LSR010954    | CAPITAL INCOME BUILDER-A<br>BUY 1 Units @0.0000  | 0.00                 | 3.69                | 0.00               | 3.69              | 88.0 | 3.25                 |
| 06/18/2018                                         | ***-**-366I - GRUENEWALD,<br>ACCOUNT #: LSR010989        | CAPITAL INCOME BUILDER-A<br>BUY 1 Units @0.0000  | 0.00                 | 2.12                | 0.00               | 2.12              | 88.0 | 1.87                 |
| 06/18/2018                                         | ***-**-20IO - DEMETRI, AMELIA<br>ACCOUNT #: LSR010995    | CAPITAL INCOME BUILDER-A<br>BUY 1 Units @0.0000  | 0.00                 | 1.00                | 0.00               | 1.00              | 88.0 | 0.88                 |
| 06/18/2018                                         | ***-**-579J - RHYMESTINE,<br>ACCOUNT #: LSR011081        | CAPITAL INCOME BUILDER-A<br>BUY 1 Units @0.0000  | 0.00                 | 2.21                | 0.00               | 2.21              | 88.0 | 1.94                 |
| 06/18/2018                                         | ***-**-680I - HARRELL, DARYL<br>ACCOUNT #: LSR011321     | CAPITAL INCOME BUILDER-A<br>BUY 1 Units @0.0000  | 0.00                 | 0.31                | 0.00               | 0.31              | 88.0 | 0.27                 |
| 06/18/2018                                         | ***-**-30TR - AND SANDRA<br>ACCOUNT #: LSR011939         | CAPITAL INCOME BUILDER-A<br>BUY 1 Units @0.0000  | 0.00                 | 2.16                | 0.00               | 2.16              | 88.0 | 1.90                 |
| 06/18/2018                                         | ***-**-851K - LALLIER, JAMES<br>ACCOUNT #: LSR012645     | CAPITAL INCOME BUILDER-A<br>BUY 1 Units @0.0000  | 0.00                 | 0.22                | 0.00               | 0.22              | 88.0 | 0.19                 |
| 06/01/2018                                         | ***-**-0462 - FRIOT, MICHAEL<br>ACCOUNT #: 00084291287   | CAPITAL WORLD BOND FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 0.39                | 0.00               | 0.39              | 88.0 | 0.34                 |
| 06/01/2018                                         | ***-**-072I - GAVALO, JULIE<br>ACCOUNT #: 00087112294    | CAPITAL WORLD BOND FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 3.63                | 0.00               | 3.63              | 88.0 | 3.19                 |
| 06/01/2018                                         | ***-**-8158 - BEHA, DEBORAH<br>ACCOUNT #: 00058770149    | CAPITAL WORLD BOND FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 1.95                | 0.00               | 1.95              | 88.0 | 1.72                 |
| 06/01/2018                                         | ***-**-643I - PELLETIER, MARY<br>ACCOUNT #: 00083385757  | CAPITAL WORLD BOND FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 0.08                | 0.00               | 0.08              | 88.0 | 0.07                 |
| 06/01/2018                                         | ***-**-265J - MEEKINS, TIMOTHY<br>ACCOUNT #: 00083811335 | CAPITAL WORLD BOND FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 0.68                | 0.00               | 0.68              | 88.0 | 0.60                 |
| 06/01/2018                                         | ***-**-094I - KATRENA L<br>ACCOUNT #: 00084459807        | CAPITAL WORLD BOND FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 0.24                | 0.00               | 0.24              | 88.0 | 0.21                 |
| 06/01/2018                                         | ***-**-5414 - KARAM, SEGEAN<br>ACCOUNT #: 00084545682    | CAPITAL WORLD BOND FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 0.45                | 0.00               | 0.45              | 88.0 | 0.40                 |
| 06/01/2018                                         | ***-**-6981 - KARAM, MARY ANN<br>ACCOUNT #: 00084545771  | CAPITAL WORLD BOND FUND-A<br>BUY 0 Units @0.0000 | 0.00                 | 0.45                | 0.00               | 0.45              | 88.0 | 0.40                 |



# COMMISSION STATEMENT

June 18, 2018

DAVID GRIFFITH  
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Utica, NY 13502

BROKER #: A76  
BRANCH #01047 - 47 - GRIFFITH

| DATE                                        | CLIENT                         | INVESTMENT                          | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|---------------------------------------------|--------------------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b> OVERRIDE TRANSACTIONS (continued)</b>   |                                |                                     |                      |                     |                    |                   |      |                      |
| <b> BROKER: KURT GRUENEWALD (continued)</b> |                                |                                     |                      |                     |                    |                   |      |                      |
| 06/01/2018                                  | ***-**-643I - PELLETIER, MARY  | CAPITAL WORLD BOND FUND-C           | 0.00                 | 0.69                | 0.00               | 0.69              | 88.0 | 0.61                 |
|                                             | ACCOUNT #: 00083385757         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 06/01/2018                                  | ***-**-0069 - KRECIDLO,        | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00                 | 1.30                | 0.00               | 1.30              | 88.0 | 1.14                 |
|                                             | ACCOUNT #: 00083510637         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 06/01/2018                                  | ***-**-2855 - KRECIDLO, MARTA  | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00                 | 1.30                | 0.00               | 1.30              | 88.0 | 1.14                 |
|                                             | ACCOUNT #: 00083510745         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 06/01/2018                                  | ***-**-2855 - KRECIDLO, MARTA  | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00                 | 0.77                | 0.00               | 0.77              | 88.0 | 0.68                 |
|                                             | ACCOUNT #: 00083946447         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 06/01/2018                                  | ***-**-755P - SHEPPARD,        | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00                 | 2.81                | 0.00               | 2.81              | 88.0 | 2.47                 |
|                                             | ACCOUNT #: 00084218264         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 06/01/2018                                  | ***-**-20IN - DEMETRI, AMELIA  | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00                 | 0.31                | 0.00               | 0.31              | 88.0 | 0.27                 |
|                                             | ACCOUNT #: 00085948151         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 06/01/2018                                  | ***-**-18IR - MEEKINS, KAIDEN  | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00                 | 0.52                | 0.00               | 0.52              | 88.0 | 0.46                 |
|                                             | ACCOUNT #: 00087145992         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 06/01/2018                                  | ***-**-0069 - KRECIDLO,        | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00                 | 25.68               | 0.00               | 25.68             | 88.0 | 22.60                |
|                                             | ACCOUNT #: 00083510637         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 06/01/2018                                  | ***-**-2855 - KRECIDLO, MARTA  | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00                 | 25.68               | 0.00               | 25.68             | 88.0 | 22.60                |
|                                             | ACCOUNT #: 00083510745         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 06/01/2018                                  | ***-**-18IR - MEEKINS, KAIDEN  | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00                 | 4.00                | 0.00               | 4.00              | 88.0 | 3.52                 |
|                                             | ACCOUNT #: 00087145992         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 06/01/2018                                  | ***-**-20IR - DEMETRI, AMELIA  | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00                 | 4.16                | 0.00               | 4.16              | 88.0 | 3.66                 |
|                                             | ACCOUNT #: 00074234451         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 06/01/2018                                  | ***-**-643I - PELLETIER, MARY  | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00                 | 0.12                | 0.00               | 0.12              | 88.0 | 0.11                 |
|                                             | ACCOUNT #: 00083385757         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 06/01/2018                                  | ***-**-643I - PELLETIER, MARY  | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00                 | 3.73                | 0.00               | 3.73              | 88.0 | 3.28                 |
|                                             | ACCOUNT #: 00083385810         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 06/01/2018                                  | ***-**-86IR - MEEKINS, LISA    | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00                 | 1.00                | 0.00               | 1.00              | 88.0 | 0.88                 |
|                                             | ACCOUNT #: 00083811211         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 06/01/2018                                  | ***-**-265I - MEEKINS, TIMOTHY | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00                 | 1.20                | 0.00               | 1.20              | 88.0 | 1.06                 |
|                                             | ACCOUNT #: 00083811243         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 06/01/2018                                  | ***-**-443I - LATUS, FREDERICK | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00                 | 0.56                | 0.00               | 0.56              | 88.0 | 0.49                 |
|                                             | ACCOUNT #: 00083932986         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |



# COMMISSION STATEMENT

June 18, 2018

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BROKER #: A76  
BRANCH #01047 - 47 - GRIFFITH

| DATE                                               | CLIENT                         | INVESTMENT                          | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|----------------------------------------------------|--------------------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b> OVERRIDE TRANSACTIONS (continued)</b>          |                                |                                     |                      |                     |                    |                   |      |                      |
| <b> <u>BROKER: KURT GRUENEWALD (continued)</u></b> |                                |                                     |                      |                     |                    |                   |      |                      |
| 06/01/2018                                         | ***-**-20JT - KOCHER, DENISE   | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00                 | 4.13                | 0.00               | 4.13              | 88.0 | 3.63                 |
|                                                    | ACCOUNT #: 00083988898         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 06/01/2018                                         | ***-**-5375 - CARTER, LISA     | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00                 | 0.59                | 0.00               | 0.59              | 88.0 | 0.52                 |
|                                                    | ACCOUNT #: 00084131722         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 06/01/2018                                         | ***-**-753J - FALCHI, VALERIE  | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00                 | 1.62                | 0.00               | 1.62              | 88.0 | 1.43                 |
|                                                    | ACCOUNT #: 00084317946         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 06/01/2018                                         | ***-**-094I - KATRENA L        | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00                 | 0.64                | 0.00               | 0.64              | 88.0 | 0.56                 |
|                                                    | ACCOUNT #: 00084459807         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 06/01/2018                                         | ***-**-643I - PELLETIER, MARY  | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00                 | 1.22                | 0.00               | 1.22              | 88.0 | 1.07                 |
|                                                    | ACCOUNT #: 00083385757         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 06/01/2018                                         | ***-**-86IR - MEEKINS, LISA    | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00                 | 1.38                | 0.00               | 1.38              | 88.0 | 1.21                 |
|                                                    | ACCOUNT #: 00083811211         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 06/01/2018                                         | ***-**-680I - HARRELL, DARYL   | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00                 | 9.62                | 0.00               | 9.62              | 88.0 | 8.47                 |
|                                                    | ACCOUNT #: 00083996385         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 06/01/2018                                         | ***-**-382I - SATTERLY, NEIL   | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00                 | 30.25               | 0.00               | 30.25             | 88.0 | 26.62                |
|                                                    | ACCOUNT #: 00084301242         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 06/18/2018                                         | ***-**-702I - KOCHER, MICHAEL  | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00                 | 3.83                | 0.00               | 3.83              | 88.0 | 3.37                 |
|                                                    | ACCOUNT #: LSR010954           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 06/18/2018                                         | ***-**-20IO - DEMETRI, AMELIA  | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00                 | 1.60                | 0.00               | 1.60              | 88.0 | 1.41                 |
|                                                    | ACCOUNT #: LSR010995           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 06/18/2018                                         | ***-**-579J - RHYMESTINE,      | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00                 | 1.86                | 0.00               | 1.86              | 88.0 | 1.64                 |
|                                                    | ACCOUNT #: LSR011081           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 06/18/2018                                         | ***-**-326J - GRANDE, MR       | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00                 | 1.47                | 0.00               | 1.47              | 88.0 | 1.29                 |
|                                                    | ACCOUNT #: LSR011089           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 06/18/2018                                         | ***-**-326I - GRANDE, FBO MR   | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00                 | 1.60                | 0.00               | 1.60              | 88.0 | 1.41                 |
|                                                    | ACCOUNT #: LSR011091           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 06/18/2018                                         | ***-**-48IO - ANACKER, FBO MRS | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00                 | 1.14                | 0.00               | 1.14              | 88.0 | 1.00                 |
|                                                    | ACCOUNT #: LSR011164           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 06/18/2018                                         | ***-**-680I - HARRELL, DARYL   | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00                 | 1.44                | 0.00               | 1.44              | 88.0 | 1.27                 |
|                                                    | ACCOUNT #: LSR011321           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 06/18/2018                                         | ***-**-128I - BASHANT, THOMAS  | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00                 | 1.56                | 0.00               | 1.56              | 88.0 | 1.37                 |
|                                                    | ACCOUNT #: LSR011387           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |



# COMMISSION STATEMENT

June 18, 2018

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BRANCH #01047 - 47 - GRIFFITH

| DATE                                               | CLIENT                                                  | INVESTMENT                                                   | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|----------------------------------------------------|---------------------------------------------------------|--------------------------------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b> OVERRIDE TRANSACTIONS (continued)</b>          |                                                         |                                                              |                      |                     |                    |                   |      |                      |
| <b> <u>BROKER: KURT GRUENEWALD (continued)</u></b> |                                                         |                                                              |                      |                     |                    |                   |      |                      |
| 06/18/2018                                         | ***-**-30TR - AND SANDRA<br>ACCOUNT #: LSR011939        | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 1 Units @0.0000   | 0.00                 | 2.55                | 0.00               | 2.55              | 88.0 | 2.24                 |
| 06/18/2018                                         | ***-**-44IO - MAYO, DEBORAH<br>ACCOUNT #: LSR011079     | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 1 Units @0.0000   | 0.00                 | 13.30               | 0.00               | 13.30             | 88.0 | 11.70                |
| 06/18/2018                                         | ***-**-09IO - BATES, FBO MRS<br>ACCOUNT #: LSR011117    | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 1 Units @0.0000   | 0.00                 | 10.92               | 0.00               | 10.92             | 88.0 | 9.61                 |
| 06/18/2018                                         | ***-**-11IO - LYNN G.<br>ACCOUNT #: LSR011239           | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 1 Units @0.0000   | 0.00                 | 11.87               | 0.00               | 11.87             | 88.0 | 10.45                |
| 06/18/2018                                         | ***-**-45IO - JOHNSON, GREGORY<br>ACCOUNT #: LSR011421  | CAPITAL WORLD GROWTH AND INCOME FUN<br>BUY 1 Units @0.0000   | 0.00                 | 8.17                | 0.00               | 8.17              | 88.0 | 7.19                 |
| 06/01/2018                                         | ***-**-755P - SHEPPARD,<br>ACCOUNT #: 00084018452       | CAPITAL WORLD GROWTH AND INCOME-529<br>BUY 0 Units @0.0000   | 0.00                 | 0.88                | 0.00               | 0.88              | 88.0 | 0.77                 |
| 06/01/2018                                         | ***-**-84IN - WARMUTH, ERIC<br>ACCOUNT #: 00075086418   | CAPITAL WORLD GROWTH AND INCOME-529<br>BUY 0 Units @0.0000   | 0.00                 | 7.63                | 0.00               | 7.63              | 88.0 | 6.71                 |
| 06/01/2018                                         | ***-**-84IN - WARMUTH, ERIC<br>ACCOUNT #: 00075086546   | CAPITAL WORLD GROWTH AND INCOME-529<br>BUY 0 Units @0.0000   | 0.00                 | 7.63                | 0.00               | 7.63              | 88.0 | 6.71                 |
| 06/01/2018                                         | ***-**-5375 - CARTER, LISA<br>ACCOUNT #: 00083849497    | CAPITAL WORLD GROWTH AND INCOME-529<br>BUY 0 Units @0.0000   | 0.00                 | 0.87                | 0.00               | 0.87              | 88.0 | 0.77                 |
| 06/01/2018                                         | ***-**-5375 - CARTER, LISA<br>ACCOUNT #: 00083849497    | CAPITAL WORLD GROWTH AND INCOME-529<br>BUY 0 Units @0.0000   | 0.00                 | 2.47                | 0.00               | 2.47              | 88.0 | 2.17                 |
| 06/01/2018                                         | ***-**-72IN - GAVALO, JULIE<br>ACCOUNT #: 00068530007   | CAPITAL WORLD GROWTH AND INCOME-529<br>BUY 0 Units @0.0000   | 0.00                 | 8.19                | 0.00               | 8.19              | 88.0 | 7.21                 |
| 06/18/2018                                         | ***-**-959I - FRANZ, PAUL<br>ACCOUNT #: LSR010959       | COLUMBIA MARSICO FOCUSED EQ CL A<br>BUY 1 Units @0.0000      | 0.00                 | 0.24                | 0.00               | 0.24              | 88.0 | 0.21                 |
| 06/13/2018                                         | ***-**-188I - BRADLEY, WAYNE<br>ACCOUNT #: LSR012484    | EATON VANCE LTD DURATION INCOME FD<br>BUY 174 Units @12.6000 | 2,192.40             | 19.10               | 0.00               | 19.10             | 88.0 | 16.81                |
| 06/18/2018                                         | ***-**-944O - MAYO, DEBORAH<br>ACCOUNT #: 5034930049    | EATON VANCE MF TRAILS<br>BUY 0 Units @0.0000                 | 0.00                 | 0.19                | 0.00               | 0.19              | 88.0 | 0.17                 |
| 06/18/2018                                         | ***-**-944O - MAYO, DEBORAH<br>ACCOUNT #: 5034930049    | EATON VANCE MF TRAILS<br>BUY 0 Units @0.0000                 | 0.00                 | 0.24                | 0.00               | 0.24              | 88.0 | 0.21                 |
| 06/01/2018                                         | ***-**-753J - FALCHI, VALERIE<br>ACCOUNT #: 00084317946 | EUROPACIFIC GROWTH FUND CLASS C<br>BUY 0 Units @0.0000       | 0.00                 | 5.47                | 0.00               | 5.47              | 88.0 | 4.81                 |



# COMMISSION STATEMENT

June 18, 2018

DAVID GRIFFITH  
2108 Genesee St.  
Utica, NY 13502

BROKER #: A76  
BRANCH #01047 - 47 - GRIFFITH

| DATE                                               | CLIENT                        | INVESTMENT                   | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|----------------------------------------------------|-------------------------------|------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b> OVERRIDE TRANSACTIONS (continued)</b>          |                               |                              |                      |                     |                    |                   |      |                      |
| <b> <u>BROKER: KURT GRUENEWALD (continued)</u></b> |                               |                              |                      |                     |                    |                   |      |                      |
| 06/01/2018                                         | ***-**-72IN - GAVALO, JULIE   | EUROPACIFIC GROWTH FUND-529E | 0.00                 | 7.14                | 0.00               | 7.14              | 88.0 | 6.28                 |
|                                                    | ACCOUNT #: 00068530008        | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 06/01/2018                                         | ***-**-169I - EVANS, PAUL     | EUROPACIFIC GROWTH FUND-A    | 0.00                 | 2.68                | 0.00               | 2.68              | 88.0 | 2.36                 |
|                                                    | ACCOUNT #: 00083808354        | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 06/01/2018                                         | ***-**-506J - CURRIERE JR, MR | EUROPACIFIC GROWTH FUND-A    | 0.00                 | 5.51                | 0.00               | 5.51              | 88.0 | 4.85                 |
|                                                    | ACCOUNT #: 00083609136        | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 06/01/2018                                         | ***-**-753J - FALCHI, VALERIE | EUROPACIFIC GROWTH FUND-A    | 0.00                 | 0.40                | 0.00               | 0.40              | 88.0 | 0.35                 |
|                                                    | ACCOUNT #: 00084317946        | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 06/01/2018                                         | ***-**-094I - KATRENA L       | EUROPACIFIC GROWTH FUND-A    | 0.00                 | 0.42                | 0.00               | 0.42              | 88.0 | 0.37                 |
|                                                    | ACCOUNT #: 00084459807        | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 06/18/2018                                         | ***-**-20IO - DEMETRI, AMELIA | EUROPACIFIC GROWTH FUND-A    | 0.00                 | 1.62                | 0.00               | 1.62              | 88.0 | 1.43                 |
|                                                    | ACCOUNT #: LSR010995          | BUY 1 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 06/18/2018                                         | ***-**-326I - GRANDE, FBO MR  | EUROPACIFIC GROWTH FUND-A    | 0.00                 | 1.36                | 0.00               | 1.36              | 88.0 | 1.20                 |
|                                                    | ACCOUNT #: LSR011091          | BUY 1 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 06/18/2018                                         | ***-**-680I - HARRELL, DARYL  | EUROPACIFIC GROWTH FUND-A    | 0.00                 | 0.65                | 0.00               | 0.65              | 88.0 | 0.57                 |
|                                                    | ACCOUNT #: LSR011321          | BUY 1 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 06/01/2018                                         | ***-**-84IN - WARMUTH, ERIC   | FUNDAMENTAL INVESTORS-529A   | 0.00                 | 1.47                | 0.00               | 1.47              | 88.0 | 1.29                 |
|                                                    | ACCOUNT #: 00075086418        | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 06/01/2018                                         | ***-**-84IN - WARMUTH, ERIC   | FUNDAMENTAL INVESTORS-529A   | 0.00                 | 1.47                | 0.00               | 1.47              | 88.0 | 1.29                 |
|                                                    | ACCOUNT #: 00075086546        | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 06/01/2018                                         | ***-**-84IN - WARMUTH, ERIC   | FUNDAMENTAL INVESTORS-529C   | 0.00                 | 11.07               | 0.00               | 11.07             | 88.0 | 9.74                 |
|                                                    | ACCOUNT #: 00075086418        | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 06/01/2018                                         | ***-**-84IN - WARMUTH, ERIC   | FUNDAMENTAL INVESTORS-529C   | 0.00                 | 11.07               | 0.00               | 11.07             | 88.0 | 9.74                 |
|                                                    | ACCOUNT #: 00075086546        | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 06/01/2018                                         | ***-**-5375 - CARTER, LISA    | FUNDAMENTAL INVESTORS-529C   | 0.00                 | 3.93                | 0.00               | 3.93              | 88.0 | 3.46                 |
|                                                    | ACCOUNT #: 00083849497        | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 06/01/2018                                         | ***-**-2855 - KRECIDLO, MARTA | FUNDAMENTAL INVESTORS-A      | 0.00                 | 1.22                | 0.00               | 1.22              | 88.0 | 1.07                 |
|                                                    | ACCOUNT #: 00083946447        | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 06/01/2018                                         | ***-**-755P - SHEPPARD,       | FUNDAMENTAL INVESTORS-A      | 0.00                 | 3.78                | 0.00               | 3.78              | 88.0 | 3.33                 |
|                                                    | ACCOUNT #: 00084218264        | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 06/01/2018                                         | ***-**-0462 - FRIOT, MICHAEL  | FUNDAMENTAL INVESTORS-A      | 0.00                 | 6.05                | 0.00               | 6.05              | 88.0 | 5.32                 |
|                                                    | ACCOUNT #: 00084291287        | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |





# COMMISSION STATEMENT

June 18, 2018

DAVID GRIFFITH  
2108 Genesee St.  
Utica, NY 13502

BROKER #: A76  
BRANCH #01047 - 47 - GRIFFITH

| DATE                                               | CLIENT                         | INVESTMENT              | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|----------------------------------------------------|--------------------------------|-------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b> OVERRIDE TRANSACTIONS (continued)</b>          |                                |                         |                      |                     |                    |                   |      |                      |
| <b> <u>BROKER: KURT GRUENEWALD (continued)</u></b> |                                |                         |                      |                     |                    |                   |      |                      |
| 06/01/2018                                         | ***-**-20IN - DEMETRI, AMELIA  | FUNDAMENTAL INVESTORS-A | 0.00                 | 0.36                | 0.00               | 0.36              | 88.0 | 0.32                 |
|                                                    | ACCOUNT #: 00085948151         | BUY 0 Units @0.0000     |                      |                     |                    |                   |      |                      |
| 06/01/2018                                         | ***-**-072I - GAVALO, JULIE    | FUNDAMENTAL INVESTORS-A | 0.00                 | 11.52               | 0.00               | 11.52             | 88.0 | 10.14                |
|                                                    | ACCOUNT #: 00087112294         | BUY 0 Units @0.0000     |                      |                     |                    |                   |      |                      |
| 06/01/2018                                         | ***-**-890I - GURDO, ANTHONY   | FUNDAMENTAL INVESTORS-A | 0.00                 | 0.60                | 0.00               | 0.60              | 88.0 | 0.53                 |
|                                                    | ACCOUNT #: 00087491111         | BUY 0 Units @0.0000     |                      |                     |                    |                   |      |                      |
| 06/01/2018                                         | ***-**-8158 - BEHA, DEBORAH    | FUNDAMENTAL INVESTORS-A | 0.00                 | 7.65                | 0.00               | 7.65              | 88.0 | 6.73                 |
|                                                    | ACCOUNT #: 00058770149         | BUY 0 Units @0.0000     |                      |                     |                    |                   |      |                      |
| 06/01/2018                                         | ***-**-085I - LALLIER, JAMES   | FUNDAMENTAL INVESTORS-A | 0.00                 | 3.19                | 0.00               | 3.19              | 88.0 | 2.81                 |
|                                                    | ACCOUNT #: 00068584532         | BUY 0 Units @0.0000     |                      |                     |                    |                   |      |                      |
| 06/01/2018                                         | ***-**-643I - PELLETIER, MARY  | FUNDAMENTAL INVESTORS-A | 0.00                 | 0.02                | 0.00               | 0.02              | 88.0 | 0.02                 |
|                                                    | ACCOUNT #: 00083385757         | BUY 0 Units @0.0000     |                      |                     |                    |                   |      |                      |
| 06/01/2018                                         | ***-**-643I - PELLETIER, MARY  | FUNDAMENTAL INVESTORS-A | 0.00                 | 6.15                | 0.00               | 6.15              | 88.0 | 5.41                 |
|                                                    | ACCOUNT #: 00083385810         | BUY 0 Units @0.0000     |                      |                     |                    |                   |      |                      |
| 06/01/2018                                         | ***-**-86IR - MEEKINS, LISA    | FUNDAMENTAL INVESTORS-A | 0.00                 | 1.30                | 0.00               | 1.30              | 88.0 | 1.14                 |
|                                                    | ACCOUNT #: 00083811211         | BUY 0 Units @0.0000     |                      |                     |                    |                   |      |                      |
| 06/01/2018                                         | ***-**-265I - MEEKINS, TIMOTHY | FUNDAMENTAL INVESTORS-A | 0.00                 | 1.17                | 0.00               | 1.17              | 88.0 | 1.03                 |
|                                                    | ACCOUNT #: 00083811243         | BUY 0 Units @0.0000     |                      |                     |                    |                   |      |                      |
| 06/01/2018                                         | ***-**-265J - MEEKINS, TIMOTHY | FUNDAMENTAL INVESTORS-A | 0.00                 | 1.30                | 0.00               | 1.30              | 88.0 | 1.14                 |
|                                                    | ACCOUNT #: 00083811335         | BUY 0 Units @0.0000     |                      |                     |                    |                   |      |                      |
| 06/01/2018                                         | ***-**-443I - LATUS, FREDERICK | FUNDAMENTAL INVESTORS-A | 0.00                 | 0.24                | 0.00               | 0.24              | 88.0 | 0.21                 |
|                                                    | ACCOUNT #: 00083932986         | BUY 0 Units @0.0000     |                      |                     |                    |                   |      |                      |
| 06/01/2018                                         | ***-**-20JT - KOHEM, DENISE    | FUNDAMENTAL INVESTORS-A | 0.00                 | 2.67                | 0.00               | 2.67              | 88.0 | 2.35                 |
|                                                    | ACCOUNT #: 00083988898         | BUY 0 Units @0.0000     |                      |                     |                    |                   |      |                      |
| 06/01/2018                                         | ***-**-5375 - CARTER, LISA     | FUNDAMENTAL INVESTORS-A | 0.00                 | 0.25                | 0.00               | 0.25              | 88.0 | 0.22                 |
|                                                    | ACCOUNT #: 00084131722         | BUY 0 Units @0.0000     |                      |                     |                    |                   |      |                      |
| 06/01/2018                                         | ***-**-382I - SATTERLY, NEIL   | FUNDAMENTAL INVESTORS-A | 0.00                 | 0.56                | 0.00               | 0.56              | 88.0 | 0.49                 |
|                                                    | ACCOUNT #: 00084301242         | BUY 0 Units @0.0000     |                      |                     |                    |                   |      |                      |
| 06/01/2018                                         | ***-**-753J - FALCHI, VALERIE  | FUNDAMENTAL INVESTORS-A | 0.00                 | 1.72                | 0.00               | 1.72              | 88.0 | 1.51                 |
|                                                    | ACCOUNT #: 00084317946         | BUY 0 Units @0.0000     |                      |                     |                    |                   |      |                      |
| 06/01/2018                                         | ***-**-094I - KATRENA L        | FUNDAMENTAL INVESTORS-A | 0.00                 | 0.90                | 0.00               | 0.90              | 88.0 | 0.79                 |
|                                                    | ACCOUNT #: 00084459807         | BUY 0 Units @0.0000     |                      |                     |                    |                   |      |                      |



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June 18, 2018

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BRANCH #01047 - 47 - GRIFFITH

| DATE                                               | CLIENT                        | INVESTMENT              | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|----------------------------------------------------|-------------------------------|-------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b> OVERRIDE TRANSACTIONS (continued)</b>          |                               |                         |                      |                     |                    |                   |      |                      |
| <b> <u>BROKER: KURT GRUENEWALD (continued)</u></b> |                               |                         |                      |                     |                    |                   |      |                      |
| 06/01/2018                                         | ***-**-5414 - KARAM, SEGEAN   | FUNDAMENTAL INVESTORS-A | 0.00                 | 0.74                | 0.00               | 0.74              | 88.0 | 0.65                 |
|                                                    | ACCOUNT #: 00084545682        | BUY 0 Units @0.0000     |                      |                     |                    |                   |      |                      |
| 06/01/2018                                         | ***-**-6981 - KARAM, MARY ANN | FUNDAMENTAL INVESTORS-A | 0.00                 | 0.75                | 0.00               | 0.75              | 88.0 | 0.66                 |
|                                                    | ACCOUNT #: 00084545771        | BUY 0 Units @0.0000     |                      |                     |                    |                   |      |                      |
| 06/18/2018                                         | ***-**-702I - KOCHER, MICHAEL | FUNDAMENTAL INVESTORS-A | 0.00                 | 2.23                | 0.00               | 2.23              | 88.0 | 1.96                 |
|                                                    | ACCOUNT #: LSR010954          | BUY 1 Units @0.0000     |                      |                     |                    |                   |      |                      |
| 06/18/2018                                         | ***-**-366I - GRUENEWALD,     | FUNDAMENTAL INVESTORS-A | 0.00                 | 1.21                | 0.00               | 1.21              | 88.0 | 1.06                 |
|                                                    | ACCOUNT #: LSR010989          | BUY 1 Units @0.0000     |                      |                     |                    |                   |      |                      |
| 06/18/2018                                         | ***-**-366S - GRUENEWALD,     | FUNDAMENTAL INVESTORS-A | 0.00                 | 1.02                | 0.00               | 1.02              | 88.0 | 0.90                 |
|                                                    | ACCOUNT #: LSR010990          | BUY 1 Units @0.0000     |                      |                     |                    |                   |      |                      |
| 06/18/2018                                         | ***-**-579J - RHYMESTINE,     | FUNDAMENTAL INVESTORS-A | 0.00                 | 1.13                | 0.00               | 1.13              | 88.0 | 0.99                 |
|                                                    | ACCOUNT #: LSR011081          | BUY 1 Units @0.0000     |                      |                     |                    |                   |      |                      |
| 06/18/2018                                         | ***-**-326I - GRANDE, FBO MR  | FUNDAMENTAL INVESTORS-A | 0.00                 | 1.99                | 0.00               | 1.99              | 88.0 | 1.75                 |
|                                                    | ACCOUNT #: LSR011091          | BUY 1 Units @0.0000     |                      |                     |                    |                   |      |                      |
| 06/18/2018                                         | ***-**-680I - HARRELL, DARYL  | FUNDAMENTAL INVESTORS-A | 0.00                 | 1.43                | 0.00               | 1.43              | 88.0 | 1.26                 |
|                                                    | ACCOUNT #: LSR011321          | BUY 1 Units @0.0000     |                      |                     |                    |                   |      |                      |
| 06/18/2018                                         | ***-**-128I - BASHANT, THOMAS | FUNDAMENTAL INVESTORS-A | 0.00                 | 1.27                | 0.00               | 1.27              | 88.0 | 1.12                 |
|                                                    | ACCOUNT #: LSR011387          | BUY 1 Units @0.0000     |                      |                     |                    |                   |      |                      |
| 06/18/2018                                         | ***-**-30TR - AND SANDRA      | FUNDAMENTAL INVESTORS-A | 0.00                 | 1.91                | 0.00               | 1.91              | 88.0 | 1.68                 |
|                                                    | ACCOUNT #: LSR011939          | BUY 1 Units @0.0000     |                      |                     |                    |                   |      |                      |
| 06/18/2018                                         | ***-**-851K - LALLIER, JAMES  | FUNDAMENTAL INVESTORS-A | 0.00                 | 0.27                | 0.00               | 0.27              | 88.0 | 0.24                 |
|                                                    | ACCOUNT #: LSR012645          | BUY 1 Units @0.0000     |                      |                     |                    |                   |      |                      |
| 06/01/2018                                         | ***-**-169I - EVANS, PAUL     | FUNDAMENTAL INVESTORS-C | 0.00                 | 6.39                | 0.00               | 6.39              | 88.0 | 5.62                 |
|                                                    | ACCOUNT #: 00083808354        | BUY 0 Units @0.0000     |                      |                     |                    |                   |      |                      |
| 06/01/2018                                         | ***-**-18IR - MEEKINS, KAIDEN | FUNDAMENTAL INVESTORS-C | 0.00                 | 2.88                | 0.00               | 2.88              | 88.0 | 2.53                 |
|                                                    | ACCOUNT #: 00087145992        | BUY 0 Units @0.0000     |                      |                     |                    |                   |      |                      |
| 06/01/2018                                         | ***-**-8901 - GURDO, ANTHONY  | FUNDAMENTAL INVESTORS-C | 0.00                 | 24.02               | 0.00               | 24.02             | 88.0 | 21.14                |
|                                                    | ACCOUNT #: 00087491111        | BUY 0 Units @0.0000     |                      |                     |                    |                   |      |                      |
| 06/01/2018                                         | ***-**-0851 - LALLIER, JAMES  | FUNDAMENTAL INVESTORS-C | 0.00                 | 45.94               | 0.00               | 45.94             | 88.0 | 40.43                |
|                                                    | ACCOUNT #: 00068584532        | BUY 0 Units @0.0000     |                      |                     |                    |                   |      |                      |
| 06/01/2018                                         | ***-**-643I - PELLETIER, MARY | FUNDAMENTAL INVESTORS-C | 0.00                 | 1.60                | 0.00               | 1.60              | 88.0 | 1.41                 |
|                                                    | ACCOUNT #: 00083385757        | BUY 0 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> OVERRIDE TRANSACTIONS (continued)</b>          |                                |                         |                      |                     |                    |                   |      |                      |
| <b> <u>BROKER: KURT GRUENEWALD (continued)</u></b> |                                |                         |                      |                     |                    |                   |      |                      |
| 06/01/2018                                         | ***-**-265J - MEEKINS, TIMOTHY | FUNDAMENTAL INVESTORS-C | 0.00                 | 14.55               | 0.00               | 14.55             | 88.0 | 12.80                |
|                                                    | ACCOUNT #: 00083811335         | BUY 0 Units @0.0000     |                      |                     |                    |                   |      |                      |
| 06/01/2018                                         | ***-**-680I - HARRELL, DARYL   | FUNDAMENTAL INVESTORS-C | 0.00                 | 12.26               | 0.00               | 12.26             | 88.0 | 10.79                |
|                                                    | ACCOUNT #: 00083996385         | BUY 0 Units @0.0000     |                      |                     |                    |                   |      |                      |
| 06/01/2018                                         | ***-**-753J - FALCHI, VALERIE  | FUNDAMENTAL INVESTORS-C | 0.00                 | 6.58                | 0.00               | 6.58              | 88.0 | 5.79                 |
|                                                    | ACCOUNT #: 00084317946         | BUY 0 Units @0.0000     |                      |                     |                    |                   |      |                      |
| 06/18/2018                                         | ***-**-881J - EBERLEY, SUSAN   | FUNDAMENTAL INVESTORS-C | 0.00                 | 3.58                | 0.00               | 3.58              | 88.0 | 3.15                 |
|                                                    | ACCOUNT #: LSR010856           | BUY 1 Units @0.0000     |                      |                     |                    |                   |      |                      |
| 06/18/2018                                         | ***-**-382I - SATTERLY, NEIL   | FUNDAMENTAL INVESTORS-C | 0.00                 | 11.34               | 0.00               | 11.34             | 88.0 | 9.98                 |
|                                                    | ACCOUNT #: LSR010867           | BUY 1 Units @0.0000     |                      |                     |                    |                   |      |                      |
| 06/18/2018                                         | ***-**-949I - ACEE, JOSPEH     | FUNDAMENTAL INVESTORS-C | 0.00                 | 3.11                | 0.00               | 3.11              | 88.0 | 2.74                 |
|                                                    | ACCOUNT #: LSR010908           | BUY 1 Units @0.0000     |                      |                     |                    |                   |      |                      |
| 06/18/2018                                         | ***-**-31IO - HARTZ, CLAUDIA   | FUNDAMENTAL INVESTORS-C | 0.00                 | 2.97                | 0.00               | 2.97              | 88.0 | 2.61                 |
|                                                    | ACCOUNT #: LSR010915           | BUY 1 Units @0.0000     |                      |                     |                    |                   |      |                      |
| 06/18/2018                                         | ***-**-031O - MCVOY, ROBERT    | FUNDAMENTAL INVESTORS-C | 0.00                 | 5.39                | 0.00               | 5.39              | 88.0 | 4.74                 |
|                                                    | ACCOUNT #: LSR010916           | BUY 1 Units @0.0000     |                      |                     |                    |                   |      |                      |
| 06/18/2018                                         | ***-**-15IN - PENDRAK, JOHN    | FUNDAMENTAL INVESTORS-C | 0.00                 | 4.95                | 0.00               | 4.95              | 88.0 | 4.36                 |
|                                                    | ACCOUNT #: LSR010948           | BUY 1 Units @0.0000     |                      |                     |                    |                   |      |                      |
| 06/18/2018                                         | ***-**-959I - FRANZ, PAUL      | FUNDAMENTAL INVESTORS-C | 0.00                 | 11.73               | 0.00               | 11.73             | 88.0 | 10.32                |
|                                                    | ACCOUNT #: LSR010959           | BUY 1 Units @0.0000     |                      |                     |                    |                   |      |                      |
| 06/18/2018                                         | ***-**-960J - MASTRANGELO,     | FUNDAMENTAL INVESTORS-C | 0.00                 | 8.26                | 0.00               | 8.26              | 88.0 | 7.27                 |
|                                                    | ACCOUNT #: LSR010966           | BUY 1 Units @0.0000     |                      |                     |                    |                   |      |                      |
| 06/18/2018                                         | ***-**-065I - LAZIO, THOMAS    | FUNDAMENTAL INVESTORS-C | 0.00                 | 5.85                | 0.00               | 5.85              | 88.0 | 5.15                 |
|                                                    | ACCOUNT #: LSR010979           | BUY 1 Units @0.0000     |                      |                     |                    |                   |      |                      |
| 06/18/2018                                         | ***-**-51IO - CAIN, TIMOTHY    | FUNDAMENTAL INVESTORS-C | 0.00                 | 5.37                | 0.00               | 5.37              | 88.0 | 4.73                 |
|                                                    | ACCOUNT #: LSR011007           | BUY 1 Units @0.0000     |                      |                     |                    |                   |      |                      |
| 06/18/2018                                         | ***-**-761I - EVANS, DOLORES   | FUNDAMENTAL INVESTORS-C | 0.00                 | 16.06               | 0.00               | 16.06             | 88.0 | 14.13                |
|                                                    | ACCOUNT #: LSR011024           | BUY 1 Units @0.0000     |                      |                     |                    |                   |      |                      |
| 06/18/2018                                         | ***-**-306X - COBB, CHERRYL    | FUNDAMENTAL INVESTORS-C | 0.00                 | 5.83                | 0.00               | 5.83              | 88.0 | 5.13                 |
|                                                    | ACCOUNT #: LSR011037           | BUY 1 Units @0.0000     |                      |                     |                    |                   |      |                      |
| 06/18/2018                                         | ***-**-861I - SANGER, LAWRENCE | FUNDAMENTAL INVESTORS-C | 0.00                 | 0.21                | 0.00               | 0.21              | 88.0 | 0.18                 |
|                                                    | ACCOUNT #: LSR011095           | BUY 1 Units @0.0000     |                      |                     |                    |                   |      |                      |



# COMMISSION STATEMENT

June 18, 2018

DAVID GRIFFITH  
2108 Genesee St.  
Utica, NY 13502

BROKER #: A76  
BRANCH #01047 - 47 - GRIFFITH

| DATE                                               | CLIENT                                                 | INVESTMENT                                       | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|----------------------------------------------------|--------------------------------------------------------|--------------------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b> OVERRIDE TRANSACTIONS (continued)</b>          |                                                        |                                                  |                      |                     |                    |                   |      |                      |
| <b> <u>BROKER: KURT GRUENEWALD (continued)</u></b> |                                                        |                                                  |                      |                     |                    |                   |      |                      |
| 06/18/2018                                         | ***-**-13IN - RHYMESTINE,<br>ACCOUNT #: LSR011106      | FUNDAMENTAL INVESTORS-C<br>BUY 1 Units @0.0000   | 0.00                 | 3.59                | 0.00               | 3.59              | 88.0 | 3.16                 |
| 06/18/2018                                         | ***-**-09IO - BATES, FBO MRS<br>ACCOUNT #: LSR011117   | FUNDAMENTAL INVESTORS-C<br>BUY 1 Units @0.0000   | 0.00                 | 11.38               | 0.00               | 11.38             | 88.0 | 10.01                |
| 06/18/2018                                         | ***-**-506J - CURRIERE JR, MR<br>ACCOUNT #: LSR011121  | FUNDAMENTAL INVESTORS-C<br>BUY 1 Units @0.0000   | 0.00                 | 4.78                | 0.00               | 4.78              | 88.0 | 4.21                 |
| 06/18/2018                                         | ***-**-48IO - ANACKER, FBO MRS<br>ACCOUNT #: LSR011164 | FUNDAMENTAL INVESTORS-C<br>BUY 1 Units @0.0000   | 0.00                 | 5.11                | 0.00               | 5.11              | 88.0 | 4.50                 |
| 06/18/2018                                         | ***-**-89IN - LEE, ROGER<br>ACCOUNT #: LSR011166       | FUNDAMENTAL INVESTORS-C<br>BUY 1 Units @0.0000   | 0.00                 | 5.72                | 0.00               | 5.72              | 88.0 | 5.03                 |
| 06/18/2018                                         | ***-**-31IO - WILLIAMSON, FBO<br>ACCOUNT #: LSR011172  | FUNDAMENTAL INVESTORS-C<br>BUY 1 Units @0.0000   | 0.00                 | 7.64                | 0.00               | 7.64              | 88.0 | 6.72                 |
| 06/18/2018                                         | ***-**-64IO - PFAFF, GEORGE<br>ACCOUNT #: LSR011185    | FUNDAMENTAL INVESTORS-C<br>BUY 1 Units @0.0000   | 0.00                 | 3.72                | 0.00               | 3.72              | 88.0 | 3.27                 |
| 06/18/2018                                         | ***-**-62IR - ROBBIANO, FBO<br>ACCOUNT #: LSR011195    | FUNDAMENTAL INVESTORS-C<br>BUY 1 Units @0.0000   | 0.00                 | 3.30                | 0.00               | 3.30              | 88.0 | 2.90                 |
| 06/18/2018                                         | ***-**-11IO - LYNN G.<br>ACCOUNT #: LSR011239          | FUNDAMENTAL INVESTORS-C<br>BUY 1 Units @0.0000   | 0.00                 | 12.25               | 0.00               | 12.25             | 88.0 | 10.78                |
| 06/18/2018                                         | ***-**-653I - KOCHER, CLINTON<br>ACCOUNT #: LSR011300  | FUNDAMENTAL INVESTORS-C<br>BUY 1 Units @0.0000   | 0.00                 | 8.99                | 0.00               | 8.99              | 88.0 | 7.91                 |
| 06/18/2018                                         | ***-**-376I - BERBEN, GAIL<br>ACCOUNT #: LSR011380     | FUNDAMENTAL INVESTORS-C<br>BUY 1 Units @0.0000   | 0.00                 | 15.42               | 0.00               | 15.42             | 88.0 | 13.57                |
| 06/18/2018                                         | ***-**-21IO - RADELL, SANDRA<br>ACCOUNT #: LSR011392   | FUNDAMENTAL INVESTORS-C<br>BUY 1 Units @0.0000   | 0.00                 | 4.10                | 0.00               | 4.10              | 88.0 | 3.61                 |
| 06/18/2018                                         | ***-**-45IO - JOHNSON, GREGORY<br>ACCOUNT #: LSR011421 | FUNDAMENTAL INVESTORS-C<br>BUY 1 Units @0.0000   | 0.00                 | 11.26               | 0.00               | 11.26             | 88.0 | 9.91                 |
| 06/18/2018                                         | ***-**-14IO - BUSHEY, MATTHEW<br>ACCOUNT #: LSR011498  | FUNDAMENTAL INVESTORS-C<br>BUY 1 Units @0.0000   | 0.00                 | 12.74               | 0.00               | 12.74             | 88.0 | 11.21                |
| 06/18/2018                                         | ***-**-851K - LALLIER, JAMES<br>ACCOUNT #: LSR012645   | FUNDAMENTAL INVESTORS-C<br>BUY 1 Units @0.0000   | 0.00                 | 9.78                | 0.00               | 9.78              | 88.0 | 8.61                 |
| 06/01/2018                                         | ***-**-84IN - WARMUTH, ERIC<br>ACCOUNT #: 00075086418  | GLOBAL BALANCED FUND-529A<br>BUY 0 Units @0.0000 | 0.00                 | 3.45                | 0.00               | 3.45              | 88.0 | 3.04                 |



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| DATE                                               | CLIENT                         | INVESTMENT                         | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|----------------------------------------------------|--------------------------------|------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b> OVERRIDE TRANSACTIONS (continued)</b>          |                                |                                    |                      |                     |                    |                   |      |                      |
| <b> <u>BROKER: KURT GRUENEWALD (continued)</u></b> |                                |                                    |                      |                     |                    |                   |      |                      |
| 06/01/2018                                         | ***-**-84IN - WARMUTH, ERIC    | GLOBAL BALANCED FUND-529A          | 0.00                 | 3.45                | 0.00               | 3.45              | 88.0 | 3.04                 |
|                                                    | ACCOUNT #: 00075086546         | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 06/18/2018                                         | ***-**-579J - RHYMESTINE,      | GLOBAL GROWTH PORTFOLIO-A          | 0.00                 | 0.90                | 0.00               | 0.90              | 88.0 | 0.79                 |
|                                                    | ACCOUNT #: LSR011081           | BUY 1 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 06/18/2018                                         | ***-**-44IO - MAYO, DEBORAH    | GRIFFIN INST ACCESS REAL ESTATE FD | 0.00                 | 9.58                | 0.00               | 9.58              | 88.0 | 8.43                 |
|                                                    | ACCOUNT #: LSR011079           | BUY 1 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 06/18/2018                                         | ***-**-44IO - MAYO, DEBORAH    | GRIFFIN INST ACCESS REAL ESTATE FD | 0.00                 | 3.19                | 0.00               | 3.19              | 88.0 | 2.81                 |
|                                                    | ACCOUNT #: LSR011079           | BUY 1 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 06/18/2018                                         | ***-**-367J - WAGNER, MRS LANT | GROWTH FUND OF AMERICA CLASS F     | 0.00                 | 3.40                | 0.00               | 3.40              | 88.0 | 2.99                 |
|                                                    | ACCOUNT #: LSR011134           | BUY 1 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 06/01/2018                                         | ***-**-0851 - LALLIER, JAMES   | INCOME FUND OF AMERICA CLASS C     | 0.00                 | 22.73               | 0.00               | 22.73             | 88.0 | 20.00                |
|                                                    | ACCOUNT #: 00068584532         | BUY 0 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 06/18/2018                                         | ***-**-287I - HINCKLEY,        | INCOME FUND OF AMERICA CLASS C     | 0.00                 | 3.63                | 0.00               | 3.63              | 88.0 | 3.19                 |
|                                                    | ACCOUNT #: LSR010843           | BUY 1 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 06/18/2018                                         | ***-**-980I - ACEE, ELIZABETH  | INCOME FUND OF AMERICA CLASS C     | 0.00                 | 12.13               | 0.00               | 12.13             | 88.0 | 10.67                |
|                                                    | ACCOUNT #: LSR010885           | BUY 1 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 06/18/2018                                         | ***-**-72IN - GAVALO, JULIE    | INCOME FUND OF AMERICA CLASS C     | 0.00                 | 10.90               | 0.00               | 10.90             | 88.0 | 9.59                 |
|                                                    | ACCOUNT #: LSR010921           | BUY 1 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 06/18/2018                                         | ***-**-73TR - WESTCOTT IRRVOC  | INCOME FUND OF AMERICA CLASS C     | 0.00                 | 1.78                | 0.00               | 1.78              | 88.0 | 1.57                 |
|                                                    | ACCOUNT #: LSR011001           | BUY 1 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 06/18/2018                                         | ***-**-63TR - EVANS, AUDREY J  | INCOME FUND OF AMERICA CLASS C     | 0.00                 | 5.45                | 0.00               | 5.45              | 88.0 | 4.80                 |
|                                                    | ACCOUNT #: LSR011036           | BUY 1 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 06/18/2018                                         | ***-**-44IO - MAYO, DEBORAH    | INCOME FUND OF AMERICA CLASS C     | 0.00                 | 19.32               | 0.00               | 19.32             | 88.0 | 17.00                |
|                                                    | ACCOUNT #: LSR011079           | BUY 1 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 06/18/2018                                         | ***-**-09IO - BATES, FBO MRS   | INCOME FUND OF AMERICA CLASS C     | 0.00                 | 32.19               | 0.00               | 32.19             | 88.0 | 28.33                |
|                                                    | ACCOUNT #: LSR011117           | BUY 1 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 06/18/2018                                         | ***-**-11IO - LYNN G.          | INCOME FUND OF AMERICA CLASS C     | 0.00                 | 15.01               | 0.00               | 15.01             | 88.0 | 13.21                |
|                                                    | ACCOUNT #: LSR011239           | BUY 1 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 06/18/2018                                         | ***-**-376I - BERBEN, GAIL     | INCOME FUND OF AMERICA CLASS C     | 0.00                 | 13.52               | 0.00               | 13.52             | 88.0 | 11.90                |
|                                                    | ACCOUNT #: LSR011380           | BUY 1 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 06/18/2018                                         | ***-**-21IO - RADELL, SANDRA   | INCOME FUND OF AMERICA CLASS C     | 0.00                 | 4.92                | 0.00               | 4.92              | 88.0 | 4.33                 |
|                                                    | ACCOUNT #: LSR011392           | BUY 1 Units @0.0000                |                      |                     |                    |                   |      |                      |



# COMMISSION STATEMENT

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BROKER #: A76  
BRANCH #01047 - 47 - GRIFFITH

| DATE                                               | CLIENT                         | INVESTMENT                          | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|----------------------------------------------------|--------------------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b> OVERRIDE TRANSACTIONS (continued)</b>          |                                |                                     |                      |                     |                    |                   |      |                      |
| <b> <u>BROKER: KURT GRUENEWALD (continued)</u></b> |                                |                                     |                      |                     |                    |                   |      |                      |
| 06/18/2018                                         | ***-**-45IO - JOHNSON, GREGORY | INCOME FUND OF AMERICA CLASS C      | 0.00                 | 16.26               | 0.00               | 16.26             | 88.0 | 14.31                |
|                                                    | ACCOUNT #: LSR011421           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 06/18/2018                                         | ***-**-14IO - BUSHEY, MATTHEW  | INCOME FUND OF AMERICA CLASS C      | 0.00                 | 11.63               | 0.00               | 11.63             | 88.0 | 10.23                |
|                                                    | ACCOUNT #: LSR011498           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 06/18/2018                                         | ***-**-851K - LALLIER, JAMES   | INCOME FUND OF AMERICA CLASS C      | 0.00                 | 4.80                | 0.00               | 4.80              | 88.0 | 4.22                 |
|                                                    | ACCOUNT #: LSR012645           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 06/01/2018                                         | ***-**-0462 - FRIOT, MICHAEL   | INTERMEDIATE BOND FUND OF AMERICA-A | 0.00                 | 0.82                | 0.00               | 0.82              | 88.0 | 0.72                 |
|                                                    | ACCOUNT #: 00084291287         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 06/01/2018                                         | ***-**-8158 - BEHA, DEBORAH    | INTERMEDIATE BOND FUND OF AMERICA-A | 0.00                 | 1.56                | 0.00               | 1.56              | 88.0 | 1.37                 |
|                                                    | ACCOUNT #: 00058770149         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 06/01/2018                                         | ***-**-5414 - KARAM, SEGEAN    | INTERMEDIATE BOND FUND OF AMERICA-A | 0.00                 | 0.31                | 0.00               | 0.31              | 88.0 | 0.27                 |
|                                                    | ACCOUNT #: 00084545682         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 06/01/2018                                         | ***-**-6981 - KARAM, MARY ANN  | INTERMEDIATE BOND FUND OF AMERICA-A | 0.00                 | 0.34                | 0.00               | 0.34              | 88.0 | 0.30                 |
|                                                    | ACCOUNT #: 00084545771         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 06/18/2018                                         | ***-**-702I - KOCHER, MICHAEL  | INTERMEDIATE BOND FUND OF AMERICA-A | 0.00                 | 0.14                | 0.00               | 0.14              | 88.0 | 0.12                 |
|                                                    | ACCOUNT #: LSR010954           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 06/18/2018                                         | ***-**-761I - EVANS, DOLORES   | INTERMEDIATE BOND FUND OF AMERICA-C | 0.00                 | 5.46                | 0.00               | 5.46              | 88.0 | 4.80                 |
|                                                    | ACCOUNT #: LSR011024           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 06/01/2018                                         | ***-**-0462 - FRIOT, MICHAEL   | INTERNATIONAL GROWTH AND INCOME-A   | 0.00                 | 3.25                | 0.00               | 3.25              | 88.0 | 2.86                 |
|                                                    | ACCOUNT #: 00084291287         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 06/01/2018                                         | ***-**-072I - GAVALO, JULIE    | INTERNATIONAL GROWTH AND INCOME-A   | 0.00                 | 12.32               | 0.00               | 12.32             | 88.0 | 10.84                |
|                                                    | ACCOUNT #: 00087112294         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 06/01/2018                                         | ***-**-8901 - GURDO, ANTHONY   | INTERNATIONAL GROWTH AND INCOME-A   | 0.00                 | 0.34                | 0.00               | 0.34              | 88.0 | 0.30                 |
|                                                    | ACCOUNT #: 00087491111         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 06/01/2018                                         | ***-**-8158 - BEHA, DEBORAH    | INTERNATIONAL GROWTH AND INCOME-A   | 0.00                 | 5.15                | 0.00               | 5.15              | 88.0 | 4.53                 |
|                                                    | ACCOUNT #: 00058770149         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 06/01/2018                                         | ***-**-0851 - LALLIER, JAMES   | INTERNATIONAL GROWTH AND INCOME-A   | 0.00                 | 1.91                | 0.00               | 1.91              | 88.0 | 1.68                 |
|                                                    | ACCOUNT #: 00068584532         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 06/01/2018                                         | ***-**-901I - SATTERLY, ANN    | INTERNATIONAL GROWTH AND INCOME-A   | 0.00                 | 0.43                | 0.00               | 0.43              | 88.0 | 0.38                 |
|                                                    | ACCOUNT #: 00084301189         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 06/01/2018                                         | ***-**-382I - SATTERLY, NEIL   | INTERNATIONAL GROWTH AND INCOME-A   | 0.00                 | 0.34                | 0.00               | 0.34              | 88.0 | 0.30                 |
|                                                    | ACCOUNT #: 00084301242         | BUY 0 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> OVERRIDE TRANSACTIONS (continued)</b>          |                                |                                     |                      |                     |                    |                   |      |                      |
| <b> <u>BROKER: KURT GRUENEWALD (continued)</u></b> |                                |                                     |                      |                     |                    |                   |      |                      |
| 06/01/2018                                         | ***-**-753J - FALCHI, VALERIE  | INTERNATIONAL GROWTH AND INCOME-A   | 0.00                 | 0.72                | 0.00               | 0.72              | 88.0 | 0.63                 |
|                                                    | ACCOUNT #: 00084317946         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 06/01/2018                                         | ***-**-094I - KATRENA L        | INTERNATIONAL GROWTH AND INCOME-A   | 0.00                 | 0.26                | 0.00               | 0.26              | 88.0 | 0.23                 |
|                                                    | ACCOUNT #: 00084459807         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 06/01/2018                                         | ***-**-5414 - KARAM, SEGEAN    | INTERNATIONAL GROWTH AND INCOME-A   | 0.00                 | 0.33                | 0.00               | 0.33              | 88.0 | 0.29                 |
|                                                    | ACCOUNT #: 00084545682         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 06/01/2018                                         | ***-**-6981 - KARAM, MARY ANN  | INTERNATIONAL GROWTH AND INCOME-A   | 0.00                 | 0.34                | 0.00               | 0.34              | 88.0 | 0.30                 |
|                                                    | ACCOUNT #: 00084545771         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 06/18/2018                                         | ***-**-366S - GRUENEWALD,      | INTERNATIONAL GROWTH AND INCOME-A   | 0.00                 | 0.83                | 0.00               | 0.83              | 88.0 | 0.73                 |
|                                                    | ACCOUNT #: LSR010990           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 06/18/2018                                         | ***-**-851K - LALLIER, JAMES   | INTERNATIONAL GROWTH AND INCOME-A   | 0.00                 | 0.16                | 0.00               | 0.16              | 88.0 | 0.14                 |
|                                                    | ACCOUNT #: LSR012645           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 06/01/2018                                         | ***-**-0851 - LALLIER, JAMES   | INTERNATIONAL GROWTH AND INCOME-C   | 0.00                 | 30.31               | 0.00               | 30.31             | 88.0 | 26.67                |
|                                                    | ACCOUNT #: 00068584532         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 06/01/2018                                         | ***-**-265J - MEEKINS, TIMOTHY | INTERNATIONAL GROWTH AND INCOME-C   | 0.00                 | 7.40                | 0.00               | 7.40              | 88.0 | 6.51                 |
|                                                    | ACCOUNT #: 00083811335         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 06/01/2018                                         | ***-**-753J - FALCHI, VALERIE  | INTERNATIONAL GROWTH AND INCOME-C   | 0.00                 | 4.32                | 0.00               | 4.32              | 88.0 | 3.80                 |
|                                                    | ACCOUNT #: 00084317946         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 06/18/2018                                         | ***-**-567I - FRANZ, ALICE     | INTERNATIONAL GROWTH AND INCOME-C   | 0.00                 | 13.51               | 0.00               | 13.51             | 88.0 | 11.89                |
|                                                    | ACCOUNT #: LSR010960           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 06/18/2018                                         | ***-**-851K - LALLIER, JAMES   | INTERNATIONAL GROWTH AND INCOME-C   | 0.00                 | 6.29                | 0.00               | 6.29              | 88.0 | 5.54                 |
|                                                    | ACCOUNT #: LSR012645           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 06/13/2018                                         | ***-**-420T - DEMETRI, AMELIA  | KITE REALTY GROUP TRUST COM USD0.01 | 19,411.68            | 90.49               | 0.00               | 90.49             | 88.0 | 79.63                |
|                                                    | ACCOUNT #: LSR010994           | SELL 1184 Units @16.3950            |                      |                     |                    |                   |      |                      |
| 06/01/2018                                         | ***-**-0462 - FRIOT, MICHAEL   | LIMITED TERM TAX- EXEMPT BOND FUND  | 0.00                 | 0.94                | 0.00               | 0.94              | 88.0 | 0.83                 |
|                                                    | ACCOUNT #: 00084291287         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 06/01/2018                                         | ***-**-72TD - GAVALO, JULIE    | LIMITED TERM TAX- EXEMPT BOND FUND  | 0.00                 | 11.75               | 0.00               | 11.75             | 88.0 | 10.34                |
|                                                    | ACCOUNT #: 00087169935         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 06/11/2018                                         | ***-**-366I - GRUENEWALD,      | LOXO ONCOLOGY INC                   | 17,950.00            | 180.50              | 0.00               | 180.50            | 88.0 | 158.84               |
|                                                    | ACCOUNT #: LSR010989           | BUY 100 Units @179.5000             |                      |                     |                    |                   |      |                      |
| 06/18/2018                                         | ***-**-9440 - MAYO, DEBORAH    | MFS AGGRESSIVE GROWTH ALLOCATION FD | 0.00                 | 1.08                | 0.00               | 1.08              | 88.0 | 0.95                 |
|                                                    | ACCOUNT #: LSR011035           | 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> OVERRIDE TRANSACTIONS (continued) </b>          |                                                        |                                                            |                      |                     |                    |                   |      |                      |
| <b> <u>BROKER: KURT GRUENEWALD (continued)</u> </b> |                                                        |                                                            |                      |                     |                    |                   |      |                      |
| 06/18/2018                                          | ***-**-13IN - ROTH, KAREN<br>ACCOUNT #: LSR011954      | MFS BLENDED RESEARCH CORE EQUITY FD<br>BUY 1 Units @0.0000 | 0.00                 | 1.31                | 0.00               | 1.31              | 88.0 | 1.15                 |
| 06/18/2018                                          | ***-**-881I - EBERLEY, SUSAN<br>ACCOUNT #: LSR010858   | MFS CONSERVATIVE ALLOCATION CL C<br>BUY 1 Units @0.0000    | 0.00                 | 9.71                | 0.00               | 9.71              | 88.0 | 8.54                 |
| 06/18/2018                                          | ***-**-901I - SATTERLY, ANN<br>ACCOUNT #: LSR010874    | MFS CONSERVATIVE ALLOCATION CL C<br>BUY 1 Units @0.0000    | 0.00                 | 9.64                | 0.00               | 9.64              | 88.0 | 8.48                 |
| 06/18/2018                                          | ***-**-382K - SATTERLY, NEIL<br>ACCOUNT #: LSR010875   | MFS CONSERVATIVE ALLOCATION CL C<br>BUY 1 Units @0.0000    | 0.00                 | 4.36                | 0.00               | 4.36              | 88.0 | 3.84                 |
| 06/18/2018                                          | ***-**-48IO - CLARK, PATRICK<br>ACCOUNT #: LSR010911   | MFS CONSERVATIVE ALLOCATION CL C<br>BUY 1 Units @0.0000    | 0.00                 | 18.45               | 0.00               | 18.45             | 88.0 | 16.24                |
| 06/18/2018                                          | ***-**-031O - MCVOY, ROBERT<br>ACCOUNT #: LSR010916    | MFS CONSERVATIVE ALLOCATION CL C<br>BUY 1 Units @0.0000    | 0.00                 | 4.53                | 0.00               | 4.53              | 88.0 | 3.99                 |
| 06/18/2018                                          | ***-**-72IN - GAVALO, JULIE<br>ACCOUNT #: LSR010921    | MFS CONSERVATIVE ALLOCATION CL C<br>BUY 1 Units @0.0000    | 0.00                 | 17.53               | 0.00               | 17.53             | 88.0 | 15.43                |
| 06/18/2018                                          | ***-**-959I - FRANZ, PAUL<br>ACCOUNT #: LSR010959      | MFS CONSERVATIVE ALLOCATION CL C<br>BUY 1 Units @0.0000    | 0.00                 | 17.24               | 0.00               | 17.24             | 88.0 | 15.17                |
| 06/18/2018                                          | ***-**-065I - LAZIO, THOMAS<br>ACCOUNT #: LSR010979    | MFS CONSERVATIVE ALLOCATION CL C<br>BUY 1 Units @0.0000    | 0.00                 | 7.95                | 0.00               | 7.95              | 88.0 | 7.00                 |
| 06/18/2018                                          | ***-**-420T - DEMETRI, AMELIA<br>ACCOUNT #: LSR010994  | MFS CONSERVATIVE ALLOCATION CL C<br>BUY 1 Units @0.0000    | 0.00                 | 6.28                | 0.00               | 6.28              | 88.0 | 5.53                 |
| 06/18/2018                                          | ***-**-73TR - WESTCOTT IRRVOC<br>ACCOUNT #: LSR011001  | MFS CONSERVATIVE ALLOCATION CL C<br>BUY 1 Units @0.0000    | 0.00                 | 8.45                | 0.00               | 8.45              | 88.0 | 7.44                 |
| 06/18/2018                                          | ***-**-837O - BASEMENT<br>ACCOUNT #: LSR011046         | MFS CONSERVATIVE ALLOCATION CL C<br>BUY 1 Units @0.0000    | 0.00                 | 4.94                | 0.00               | 4.94              | 88.0 | 4.35                 |
| 06/18/2018                                          | ***-**-09IO - BATES, FBO MRS<br>ACCOUNT #: LSR011117   | MFS CONSERVATIVE ALLOCATION CL C<br>BUY 1 Units @0.0000    | 0.00                 | 14.97               | 0.00               | 14.97             | 88.0 | 13.17                |
| 06/18/2018                                          | ***-**-89IN - LEE, ROGER<br>ACCOUNT #: LSR011166       | MFS CONSERVATIVE ALLOCATION CL C<br>BUY 1 Units @0.0000    | 0.00                 | 17.98               | 0.00               | 17.98             | 88.0 | 15.82                |
| 06/18/2018                                          | ***-**-900J - LEE, MR.<br>ACCOUNT #: LSR011186         | MFS CONSERVATIVE ALLOCATION CL C<br>BUY 1 Units @0.0000    | 0.00                 | 4.35                | 0.00               | 4.35              | 88.0 | 3.83                 |
| 06/18/2018                                          | ***-**-06IR - CAMPBELL, PAMELA<br>ACCOUNT #: LSR011222 | MFS CONSERVATIVE ALLOCATION CL C<br>BUY 1 Units @0.0000    | 0.00                 | 6.51                | 0.00               | 6.51              | 88.0 | 5.73                 |





# COMMISSION STATEMENT

June 18, 2018

DAVID GRIFFITH  
2108 Genesee St.  
Utica, NY 13502

BROKER #: A76  
BRANCH #01047 - 47 - GRIFFITH

| DATE                                               | CLIENT                                                 | INVESTMENT                                                | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|----------------------------------------------------|--------------------------------------------------------|-----------------------------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b> OVERRIDE TRANSACTIONS (continued)</b>          |                                                        |                                                           |                      |                     |                    |                   |      |                      |
| <b> <u>BROKER: KURT GRUENEWALD (continued)</u></b> |                                                        |                                                           |                      |                     |                    |                   |      |                      |
| 06/18/2018                                         | ***-**-11IO - LYNN G.<br>ACCOUNT #: LSR011239          | MFS CONSERVATIVE ALLOCATION CL C<br>BUY 1 Units @0.0000   | 0.00                 | 14.22               | 0.00               | 14.22             | 88.0 | 12.51                |
| 06/18/2018                                         | ***-**-80IO - EVANS, RICHARD<br>ACCOUNT #: LSR011276   | MFS CONSERVATIVE ALLOCATION CL C<br>BUY 1 Units @0.0000   | 0.00                 | 9.72                | 0.00               | 9.72              | 88.0 | 8.55                 |
| 06/18/2018                                         | ***-**-376I - BERBEN, GAIL<br>ACCOUNT #: LSR011380     | MFS CONSERVATIVE ALLOCATION CL C<br>BUY 1 Units @0.0000   | 0.00                 | 14.20               | 0.00               | 14.20             | 88.0 | 12.50                |
| 06/18/2018                                         | ***-**-45IO - JOHNSON, GREGORY<br>ACCOUNT #: LSR011421 | MFS CONSERVATIVE ALLOCATION CL C<br>BUY 1 Units @0.0000   | 0.00                 | 18.18               | 0.00               | 18.18             | 88.0 | 16.00                |
| 06/18/2018                                         | ***-**-14IO - BUSHEY, MATTHEW<br>ACCOUNT #: LSR011498  | MFS CONSERVATIVE ALLOCATION CL C<br>BUY 1 Units @0.0000   | 0.00                 | 9.43                | 0.00               | 9.43              | 88.0 | 8.30                 |
| 06/18/2018                                         | ***-**-37IO - MCCLUSKY, MARK<br>ACCOUNT #: LSR011579   | MFS CONSERVATIVE ALLOCATION CL C<br>BUY 1 Units @0.0000   | 0.00                 | 7.82                | 0.00               | 7.82              | 88.0 | 6.88                 |
| 06/18/2018                                         | ***-**-99IN - EDELMAN, TINA<br>ACCOUNT #: LSR011956    | MFS CONSERVATIVE ALLOCATION CL C<br>BUY 1 Units @0.0000   | 0.00                 | 0.08                | 0.00               | 0.08              | 88.0 | 0.07                 |
| 06/18/2018                                         | ***-**-28IN - BYWATER, KIM<br>ACCOUNT #: LSR011995     | MFS CONSERVATIVE ALLOCATION CL C<br>BUY 1 Units @0.0000   | 0.00                 | 0.13                | 0.00               | 0.13              | 88.0 | 0.11                 |
| 06/18/2018                                         | ***-**-35IN - RUGGIERO, LAURIE<br>ACCOUNT #: LSR012314 | MFS CONSERVATIVE ALLOCATION CL C<br>BUY 1 Units @0.0000   | 0.00                 | 0.01                | 0.00               | 0.01              | 88.0 | 0.01                 |
| 06/18/2018                                         | ***-**-31IO - JOSEPH, ANN<br>ACCOUNT #: LSR012337      | MFS CONSERVATIVE ALLOCATION CL C<br>BUY 1 Units @0.0000   | 0.00                 | 0.01                | 0.00               | 0.01              | 88.0 | 0.01                 |
| 06/18/2018                                         | ***-**-188I - BRADLEY, WAYNE<br>ACCOUNT #: LSR012484   | MFS CONSERVATIVE ALLOCATION CL C<br>BUY 1 Units @0.0000   | 0.00                 | 0.01                | 0.00               | 0.01              | 88.0 | 0.01                 |
| 06/18/2018                                         | ***-**-944O - MAYO, DEBORAH<br>ACCOUNT #: LSR011035    | MFS CONSERVATIVE ALLOCATION FUND-A<br>BUY 1 Units @0.0000 | 0.00                 | 1.16                | 0.00               | 1.16              | 88.0 | 1.02                 |
| 06/18/2018                                         | ***-**-254I - AUGUSTINE, LINDA<br>ACCOUNT #: LSR010846 | MFS CONSERVATIVE ALLOCATION FUND-B<br>BUY 1 Units @0.0000 | 0.00                 | 0.81                | 0.00               | 0.81              | 88.0 | 0.71                 |
| 06/18/2018                                         | ***-**-15IN - PENDRAK, JOHN<br>ACCOUNT #: LSR010948    | MFS CONSERVATIVE ALLOCATION FUND-B<br>BUY 1 Units @0.0000 | 0.00                 | 2.18                | 0.00               | 2.18              | 88.0 | 1.92                 |
| 06/18/2018                                         | ***-**-960J - MASTRANGELO,<br>ACCOUNT #: LSR010966     | MFS CONSERVATIVE ALLOCATION FUND-B<br>BUY 1 Units @0.0000 | 0.00                 | 5.61                | 0.00               | 5.61              | 88.0 | 4.94                 |
| 06/18/2018                                         | ***-**-51IO - CAIN, TIMOTHY<br>ACCOUNT #: LSR011007    | MFS CONSERVATIVE ALLOCATION FUND-B<br>BUY 1 Units @0.0000 | 0.00                 | 2.64                | 0.00               | 2.64              | 88.0 | 2.32                 |



# COMMISSION STATEMENT

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| DATE                                        | CLIENT                                                 | INVESTMENT                                                | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|---------------------------------------------|--------------------------------------------------------|-----------------------------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b> OVERRIDE TRANSACTIONS (continued)</b>   |                                                        |                                                           |                      |                     |                    |                   |      |                      |
| <b> BROKER: KURT GRUENEWALD (continued)</b> |                                                        |                                                           |                      |                     |                    |                   |      |                      |
| 06/18/2018                                  | ***-**-761I - EVANS, DOLORES<br>ACCOUNT #: LSR011024   | MFS CONSERVATIVE ALLOCATION FUND-B<br>BUY 1 Units @0.0000 | 0.00                 | 2.11                | 0.00               | 2.11              | 88.0 | 1.86                 |
| 06/18/2018                                  | ***-**-944O - MAYO, DEBORAH<br>ACCOUNT #: LSR011035    | MFS CONSERVATIVE ALLOCATION FUND-B<br>BUY 1 Units @0.0000 | 0.00                 | 0.50                | 0.00               | 0.50              | 88.0 | 0.44                 |
| 06/18/2018                                  | ***-**-326J - GRANDE, MR<br>ACCOUNT #: LSR011089       | MFS CONSERVATIVE ALLOCATION FUND-B<br>BUY 1 Units @0.0000 | 0.00                 | 0.58                | 0.00               | 0.58              | 88.0 | 0.51                 |
| 06/18/2018                                  | ***-**-13IN - RHYMESTINE,<br>ACCOUNT #: LSR011106      | MFS CONSERVATIVE ALLOCATION FUND-B<br>BUY 1 Units @0.0000 | 0.00                 | 1.04                | 0.00               | 1.04              | 88.0 | 0.92                 |
| 06/18/2018                                  | ***-**-367J - WAGNER, MRS LANT<br>ACCOUNT #: LSR011134 | MFS CONSERVATIVE ALLOCATION FUND-B<br>BUY 1 Units @0.0000 | 0.00                 | 1.15                | 0.00               | 1.15              | 88.0 | 1.01                 |
| 06/18/2018                                  | ***-**-992J - CORNACCHIA<br>ACCOUNT #: LSR011157       | MFS CONSERVATIVE ALLOCATION FUND-B<br>BUY 1 Units @0.0000 | 0.00                 | 0.40                | 0.00               | 0.40              | 88.0 | 0.35                 |
| 06/18/2018                                  | ***-**-31IO - WILLIAMSON, FBO<br>ACCOUNT #: LSR011172  | MFS CONSERVATIVE ALLOCATION FUND-B<br>BUY 1 Units @0.0000 | 0.00                 | 3.97                | 0.00               | 3.97              | 88.0 | 3.49                 |
| 06/18/2018                                  | ***-**-64IO - PFAFF, GEORGE<br>ACCOUNT #: LSR011185    | MFS CONSERVATIVE ALLOCATION FUND-B<br>BUY 1 Units @0.0000 | 0.00                 | 1.16                | 0.00               | 1.16              | 88.0 | 1.02                 |
| 06/18/2018                                  | ***-**-448X - ANACKER, SUSAN<br>ACCOUNT #: LSR011578   | MFS CONSERVATIVE ALLOCATION FUND-B<br>BUY 1 Units @0.0000 | 0.00                 | 0.82                | 0.00               | 0.82              | 88.0 | 0.72                 |
| 06/14/2018                                  | ***-**-513I - RHYMESTINE,<br>ACCOUNT #: LSR012457      | MFS DIVERSIFIED INCOME FD CL C<br>BUY 821 Units @12.1800  | 10,000.00            | 100.00              | 0.00               | 100.00            | 88.0 | 88.00                |
| 06/18/2018                                  | ***-**-382K - SATTERLY, NEIL<br>ACCOUNT #: LSR010875   | MFS DIVERSIFIED INCOME FD CL C<br>BUY 1 Units @0.0000     | 0.00                 | 4.59                | 0.00               | 4.59              | 88.0 | 4.04                 |
| 06/18/2018                                  | ***-**-980I - ACEE, ELIZABETH<br>ACCOUNT #: LSR010885  | MFS DIVERSIFIED INCOME FD CL C<br>BUY 1 Units @0.0000     | 0.00                 | 9.23                | 0.00               | 9.23              | 88.0 | 8.12                 |
| 06/18/2018                                  | ***-**-72IN - GAVALO, JULIE<br>ACCOUNT #: LSR010921    | MFS DIVERSIFIED INCOME FD CL C<br>BUY 1 Units @0.0000     | 0.00                 | 16.76               | 0.00               | 16.76             | 88.0 | 14.75                |
| 06/18/2018                                  | ***-**-73TR - WESTCOTT IRRVOC<br>ACCOUNT #: LSR011008  | MFS DIVERSIFIED INCOME FD CL C<br>BUY 1 Units @0.0000     | 0.00                 | 13.04               | 0.00               | 13.04             | 88.0 | 11.48                |
| 06/18/2018                                  | ***-**-132O - EVANS, THOMAS<br>ACCOUNT #: LSR011074    | MFS DIVERSIFIED INCOME FD CL C<br>BUY 1 Units @0.0000     | 0.00                 | 8.24                | 0.00               | 8.24              | 88.0 | 7.25                 |
| 06/18/2018                                  | ***-**-44IO - MAYO, DEBORAH<br>ACCOUNT #: LSR011079    | MFS DIVERSIFIED INCOME FD CL C<br>BUY 1 Units @0.0000     | 0.00                 | 21.33               | 0.00               | 21.33             | 88.0 | 18.77                |



# COMMISSION STATEMENT

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BRANCH #01047 - 47 - GRIFFITH

| DATE                                               | CLIENT                                                 | INVESTMENT                                            | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|----------------------------------------------------|--------------------------------------------------------|-------------------------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b> OVERRIDE TRANSACTIONS (continued)</b>          |                                                        |                                                       |                      |                     |                    |                   |      |                      |
| <b> <u>BROKER: KURT GRUENEWALD (continued)</u></b> |                                                        |                                                       |                      |                     |                    |                   |      |                      |
| 06/18/2018                                         | ***-**-579J - RHYMESTINE,<br>ACCOUNT #: LSR011081      | MFS DIVERSIFIED INCOME FD CL C<br>BUY 1 Units @0.0000 | 0.00                 | 11.12               | 0.00               | 11.12             | 88.0 | 9.79                 |
| 06/18/2018                                         | ***-**-09IO - BATES, FBO MRS<br>ACCOUNT #: LSR011117   | MFS DIVERSIFIED INCOME FD CL C<br>BUY 1 Units @0.0000 | 0.00                 | 14.29               | 0.00               | 14.29             | 88.0 | 12.58                |
| 06/18/2018                                         | ***-**-89IN - LEE, ROGER<br>ACCOUNT #: LSR011166       | MFS DIVERSIFIED INCOME FD CL C<br>BUY 1 Units @0.0000 | 0.00                 | 5.90                | 0.00               | 5.90              | 88.0 | 5.19                 |
| 06/18/2018                                         | ***-**-64IO - PFAFF, GEORGE<br>ACCOUNT #: LSR011185    | MFS DIVERSIFIED INCOME FD CL C<br>BUY 1 Units @0.0000 | 0.00                 | 5.92                | 0.00               | 5.92              | 88.0 | 5.21                 |
| 06/18/2018                                         | ***-**-439J - MCCARTHY, JAMES<br>ACCOUNT #: LSR011205  | MFS DIVERSIFIED INCOME FD CL C<br>BUY 1 Units @0.0000 | 0.00                 | 3.14                | 0.00               | 3.14              | 88.0 | 2.76                 |
| 06/18/2018                                         | ***-**-52IO - EUSEPI, SUSAN<br>ACCOUNT #: LSR011219    | MFS DIVERSIFIED INCOME FD CL C<br>BUY 1 Units @0.0000 | 0.00                 | 6.22                | 0.00               | 6.22              | 88.0 | 5.47                 |
| 06/18/2018                                         | ***-**-81IR - CAMPBELL,<br>ACCOUNT #: LSR011223        | MFS DIVERSIFIED INCOME FD CL C<br>BUY 1 Units @0.0000 | 0.00                 | 6.00                | 0.00               | 6.00              | 88.0 | 5.28                 |
| 06/18/2018                                         | ***-**-439I - MCCARTHY, JAMES<br>ACCOUNT #: LSR011244  | MFS DIVERSIFIED INCOME FD CL C<br>BUY 1 Units @0.0000 | 0.00                 | 2.24                | 0.00               | 2.24              | 88.0 | 1.97                 |
| 06/18/2018                                         | ***-**-376I - BERBEN, GAIL<br>ACCOUNT #: LSR011380     | MFS DIVERSIFIED INCOME FD CL C<br>BUY 1 Units @0.0000 | 0.00                 | 9.20                | 0.00               | 9.20              | 88.0 | 8.10                 |
| 06/18/2018                                         | ***-**-45IO - JOHNSON, GREGORY<br>ACCOUNT #: LSR011421 | MFS DIVERSIFIED INCOME FD CL C<br>BUY 1 Units @0.0000 | 0.00                 | 13.94               | 0.00               | 13.94             | 88.0 | 12.27                |
| 06/18/2018                                         | ***-**-14IO - BUSHEY, MATTHEW<br>ACCOUNT #: LSR011498  | MFS DIVERSIFIED INCOME FD CL C<br>BUY 1 Units @0.0000 | 0.00                 | 13.72               | 0.00               | 13.72             | 88.0 | 12.07                |
| 06/18/2018                                         | ***-**-37IO - MCCLUSKY, MARK<br>ACCOUNT #: LSR011579   | MFS DIVERSIFIED INCOME FD CL C<br>BUY 1 Units @0.0000 | 0.00                 | 5.05                | 0.00               | 5.05              | 88.0 | 4.44                 |
| 06/18/2018                                         | ***-**-35IN - RUGGIERO, LAURIE<br>ACCOUNT #: LSR012314 | MFS DIVERSIFIED INCOME FD CL C<br>BUY 1 Units @0.0000 | 0.00                 | 0.05                | 0.00               | 0.05              | 88.0 | 0.04                 |
| 06/18/2018                                         | ***-**-31IO - JOSEPH, ANN<br>ACCOUNT #: LSR012337      | MFS DIVERSIFIED INCOME FD CL C<br>BUY 1 Units @0.0000 | 0.00                 | 0.01                | 0.00               | 0.01              | 88.0 | 0.01                 |
| 06/18/2018                                         | ***-**-52IN - ROBERTS, LILLIAN<br>ACCOUNT #: LSR012352 | MFS DIVERSIFIED INCOME FD CL C<br>BUY 1 Units @0.0000 | 0.00                 | 0.01                | 0.00               | 0.01              | 88.0 | 0.01                 |
| 06/18/2018                                         | ***-**-53IN - EVANS, ANDREW<br>ACCOUNT #: LSR011483    | MFS EMERGING GROWTH FUND-B<br>BUY 1 Units @0.0000     | 0.00                 | 0.60                | 0.00               | 0.60              | 88.0 | 0.53                 |



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| DATE                                              | CLIENT                         | INVESTMENT                         | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|---------------------------------------------------|--------------------------------|------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u> OVERRIDE TRANSACTIONS (continued) </u></b> |                                |                                    |                      |                     |                    |                   |      |                      |
| <b><u>BROKER: KURT GRUENEWALD (continued)</u></b> |                                |                                    |                      |                     |                    |                   |      |                      |
| 06/18/2018                                        | ***-**-24IN - BLISS, RYAN      | MFS EMERGING GROWTH FUND-B         | 0.00                 | 0.30                | 0.00               | 0.30              | 88.0 | 0.26                 |
|                                                   | ACCOUNT #: LSR011502           | BUY 1 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 06/18/2018                                        | ***-**-881I - EBERLEY, SUSAN   | MFS EMERGING MARKETS EQUITY FUND-B | 0.00                 | 0.80                | 0.00               | 0.80              | 88.0 | 0.70                 |
|                                                   | ACCOUNT #: LSR010858           | BUY 1 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 06/18/2018                                        | ***-**-960J - MASTRANGELO,     | MFS EMERGING MARKETS EQUITY FUND-B | 0.00                 | 1.41                | 0.00               | 1.41              | 88.0 | 1.24                 |
|                                                   | ACCOUNT #: LSR010966           | BUY 1 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 06/18/2018                                        | ***-**-761I - EVANS, DOLORES   | MFS EMERGING MARKETS EQUITY FUND-B | 0.00                 | 1.45                | 0.00               | 1.45              | 88.0 | 1.28                 |
|                                                   | ACCOUNT #: LSR011024           | BUY 1 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 06/18/2018                                        | ***-**-579J - RHYMESTINE,      | MFS EMERGING MARKETS EQUITY FUND-B | 0.00                 | 0.78                | 0.00               | 0.78              | 88.0 | 0.69                 |
|                                                   | ACCOUNT #: LSR011081           | BUY 1 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 06/18/2018                                        | ***-**-326I - GRANDE, FBO MR   | MFS EMERGING MARKETS EQUITY FUND-B | 0.00                 | 1.42                | 0.00               | 1.42              | 88.0 | 1.25                 |
|                                                   | ACCOUNT #: LSR011091           | BUY 1 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 06/18/2018                                        | ***-**-197I - GAMBINO, ANDREW  | MFS EMERGING MARKETS EQUITY FUND-B | 0.00                 | 0.23                | 0.00               | 0.23              | 88.0 | 0.20                 |
|                                                   | ACCOUNT #: LSR011465           | BUY 1 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 06/18/2018                                        | ***-**-45IR - WILLIAMSON,      | MFS EMERGING MARKETS EQUITY FUND-B | 0.00                 | 1.08                | 0.00               | 1.08              | 88.0 | 0.95                 |
|                                                   | ACCOUNT #: LSR011764           | BUY 1 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 06/18/2018                                        | ***-**-254I - AUGUSTINE, LINDA | MFS EMERGING MKT DEBT CL B         | 0.00                 | 1.06                | 0.00               | 1.06              | 88.0 | 0.93                 |
|                                                   | ACCOUNT #: LSR010846           | BUY 1 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 06/18/2018                                        | ***-**-881J - EBERLEY, SUSAN   | MFS EMERGING MKT DEBT CL B         | 0.00                 | 0.81                | 0.00               | 0.81              | 88.0 | 0.71                 |
|                                                   | ACCOUNT #: LSR010856           | BUY 1 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 06/18/2018                                        | ***-**-949I - ACEE, JOSPEH     | MFS EMERGING MKT DEBT CL B         | 0.00                 | 0.99                | 0.00               | 0.99              | 88.0 | 0.87                 |
|                                                   | ACCOUNT #: LSR010908           | BUY 1 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 06/18/2018                                        | ***-**-31IO - HARTZ, CLAUDIA   | MFS EMERGING MKT DEBT CL B         | 0.00                 | 1.20                | 0.00               | 1.20              | 88.0 | 1.06                 |
|                                                   | ACCOUNT #: LSR010915           | BUY 1 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 06/18/2018                                        | ***-**-960J - MASTRANGELO,     | MFS EMERGING MKT DEBT CL B         | 0.00                 | 0.66                | 0.00               | 0.66              | 88.0 | 0.58                 |
|                                                   | ACCOUNT #: LSR010966           | BUY 1 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 06/18/2018                                        | ***-**-944O - MAYO, DEBORAH    | MFS EMERGING MKT DEBT CL B         | 0.00                 | 1.30                | 0.00               | 1.30              | 88.0 | 1.14                 |
|                                                   | ACCOUNT #: LSR011035           | BUY 1 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 06/18/2018                                        | ***-**-580X - COBB, JAMES      | MFS EMERGING MKT DEBT CL B         | 0.00                 | 1.15                | 0.00               | 1.15              | 88.0 | 1.01                 |
|                                                   | ACCOUNT #: LSR011040           | BUY 1 Units @0.0000                |                      |                     |                    |                   |      |                      |
| 06/18/2018                                        | ***-**-506J - CURRIERE JR, MR  | MFS EMERGING MKT DEBT CL B         | 0.00                 | 0.36                | 0.00               | 0.36              | 88.0 | 0.32                 |
|                                                   | ACCOUNT #: LSR011121           | BUY 1 Units @0.0000                |                      |                     |                    |                   |      |                      |



# COMMISSION STATEMENT

June 18, 2018

DAVID GRIFFITH  
2108 Genesee St.  
Utica, NY 13502

BROKER #: A76  
BRANCH #01047 - 47 - GRIFFITH

| DATE                                               | CLIENT                         | INVESTMENT                     | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|----------------------------------------------------|--------------------------------|--------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b> OVERRIDE TRANSACTIONS (continued)</b>          |                                |                                |                      |                     |                    |                   |      |                      |
| <b> <u>BROKER: KURT GRUENEWALD (continued)</u></b> |                                |                                |                      |                     |                    |                   |      |                      |
| 06/18/2018                                         | ***-**-367J - WAGNER, MRS LANT | MFS EMERGING MKT DEBT CL B     | 0.00                 | 0.89                | 0.00               | 0.89              | 88.0 | 0.78                 |
|                                                    | ACCOUNT #: LSR011134           | BUY 1 Units @0.0000            |                      |                     |                    |                   |      |                      |
| 06/18/2018                                         | ***-**-31IO - WILLIAMSON, FBO  | MFS EMERGING MKT DEBT CL B     | 0.00                 | 1.28                | 0.00               | 1.28              | 88.0 | 1.13                 |
|                                                    | ACCOUNT #: LSR011172           | BUY 1 Units @0.0000            |                      |                     |                    |                   |      |                      |
| 06/18/2018                                         | ***-**-64IO - PFAFF, GEORGE    | MFS EMERGING MKT DEBT CL B     | 0.00                 | 1.18                | 0.00               | 1.18              | 88.0 | 1.04                 |
|                                                    | ACCOUNT #: LSR011185           | BUY 1 Units @0.0000            |                      |                     |                    |                   |      |                      |
| 06/18/2018                                         | ***-**-62IR - ROBBIANO, FBO    | MFS EMERGING MKT DEBT CL B     | 0.00                 | 0.50                | 0.00               | 0.50              | 88.0 | 0.44                 |
|                                                    | ACCOUNT #: LSR011195           | BUY 1 Units @0.0000            |                      |                     |                    |                   |      |                      |
| 06/18/2018                                         | ***-**-29IO - MASSOUD,         | MFS EMERGING MKT DEBT CL B     | 0.00                 | 0.01                | 0.00               | 0.01              | 88.0 | 0.01                 |
|                                                    | ACCOUNT #: LSR011217           | BUY 1 Units @0.0000            |                      |                     |                    |                   |      |                      |
| 06/18/2018                                         | ***-**-44IO - MAYO, DEBORAH    | MFS EMERGING MKTS DEBT CLASS C | 0.00                 | 10.23               | 0.00               | 10.23             | 88.0 | 9.00                 |
|                                                    | ACCOUNT #: LSR011079           | BUY 1 Units @0.0000            |                      |                     |                    |                   |      |                      |
| 06/18/2018                                         | ***-**-960J - MASTRANGELO,     | MFS EQUITY OPPORTUNITIES CL B  | 0.00                 | 1.65                | 0.00               | 1.65              | 88.0 | 1.45                 |
|                                                    | ACCOUNT #: LSR010966           | BUY 1 Units @0.0000            |                      |                     |                    |                   |      |                      |
| 06/18/2018                                         | ***-**-944O - MAYO, DEBORAH    | MFS GLOBAL ALTERNATIVE STRAT A | 0.00                 | 0.63                | 0.00               | 0.63              | 88.0 | 0.55                 |
|                                                    | ACCOUNT #: LSR011035           | BUY 1 Units @0.0000            |                      |                     |                    |                   |      |                      |
| 06/18/2018                                         | ***-**-978I - GUNN, KATHLEEN   | MFS GLOBAL ALTERNATIVE STRAT B | 0.00                 | 0.44                | 0.00               | 0.44              | 88.0 | 0.39                 |
|                                                    | ACCOUNT #: LSR011345           | BUY 1 Units @0.0000            |                      |                     |                    |                   |      |                      |
| 06/18/2018                                         | ***-**-382I - SATTERLY, NEIL   | MFS GLOBAL ALTERNATIVE STRAT C | 0.00                 | 6.46                | 0.00               | 6.46              | 88.0 | 5.68                 |
|                                                    | ACCOUNT #: LSR010867           | BUY 1 Units @0.0000            |                      |                     |                    |                   |      |                      |
| 06/18/2018                                         | ***-**-48IO - CLARK, PATRICK   | MFS GLOBAL ALTERNATIVE STRAT C | 0.00                 | 14.54               | 0.00               | 14.54             | 88.0 | 12.80                |
|                                                    | ACCOUNT #: LSR010911           | BUY 1 Units @0.0000            |                      |                     |                    |                   |      |                      |
| 06/18/2018                                         | ***-**-72IN - GAVALO, JULIE    | MFS GLOBAL ALTERNATIVE STRAT C | 0.00                 | 14.00               | 0.00               | 14.00             | 88.0 | 12.32                |
|                                                    | ACCOUNT #: LSR010921           | BUY 1 Units @0.0000            |                      |                     |                    |                   |      |                      |
| 06/18/2018                                         | ***-**-80IN - COBB, JAMES      | MFS GLOBAL ALTERNATIVE STRAT C | 0.00                 | 7.49                | 0.00               | 7.49              | 88.0 | 6.59                 |
|                                                    | ACCOUNT #: LSR011042           | BUY 1 Units @0.0000            |                      |                     |                    |                   |      |                      |
| 06/18/2018                                         | ***-**-09IO - BATES, FBO MRS   | MFS GLOBAL ALTERNATIVE STRAT C | 0.00                 | 12.75               | 0.00               | 12.75             | 88.0 | 11.22                |
|                                                    | ACCOUNT #: LSR011117           | BUY 1 Units @0.0000            |                      |                     |                    |                   |      |                      |
| 06/18/2018                                         | ***-**-11IO - LYNN G.          | MFS GLOBAL ALTERNATIVE STRAT C | 0.00                 | 17.34               | 0.00               | 17.34             | 88.0 | 15.26                |
|                                                    | ACCOUNT #: LSR011239           | BUY 1 Units @0.0000            |                      |                     |                    |                   |      |                      |
| 06/18/2018                                         | ***-**-80IO - EVANS, RICHARD   | MFS GLOBAL ALTERNATIVE STRAT C | 0.00                 | 10.66               | 0.00               | 10.66             | 88.0 | 9.38                 |
|                                                    | ACCOUNT #: LSR011276           | BUY 1 Units @0.0000            |                      |                     |                    |                   |      |                      |



# COMMISSION STATEMENT

June 18, 2018

DAVID GRIFFITH  
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Utica, NY 13502

BROKER #: A76  
BRANCH #01047 - 47 - GRIFFITH

| DATE                                        | CLIENT                         | INVESTMENT                       | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|---------------------------------------------|--------------------------------|----------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b> OVERRIDE TRANSACTIONS (continued)</b>   |                                |                                  |                      |                     |                    |                   |      |                      |
| <b> BROKER: KURT GRUENEWALD (continued)</b> |                                |                                  |                      |                     |                    |                   |      |                      |
| 06/18/2018                                  | ***-**-45IO - JOHNSON, GREGORY | MFS GLOBAL ALTERNATIVE STRAT C   | 0.00                 | 13.01               | 0.00               | 13.01             | 88.0 | 11.45                |
|                                             | ACCOUNT #: LSR011421           | BUY 1 Units @0.0000              |                      |                     |                    |                   |      |                      |
| 06/18/2018                                  | ***-**-094I - KATRENA L        | MFS GLOBAL BOND FUND CLASS C     | 0.00                 | 3.46                | 0.00               | 3.46              | 88.0 | 3.04                 |
|                                             | ACCOUNT #: LSR011188           | BUY 1 Units @0.0000              |                      |                     |                    |                   |      |                      |
| 06/18/2018                                  | ***-**-978I - GUNN, KATHLEEN   | MFS GLOBAL EQUITY FUND-B         | 0.00                 | 0.70                | 0.00               | 0.70              | 88.0 | 0.62                 |
|                                             | ACCOUNT #: LSR011345           | BUY 1 Units @0.0000              |                      |                     |                    |                   |      |                      |
| 06/18/2018                                  | ***-**-53IN - EVANS, ANDREW    | MFS GLOBAL EQUITY FUND-B         | 0.00                 | 0.51                | 0.00               | 0.51              | 88.0 | 0.45                 |
|                                             | ACCOUNT #: LSR011483           | BUY 1 Units @0.0000              |                      |                     |                    |                   |      |                      |
| 06/18/2018                                  | ***-**-24IN - BLISS, RYAN      | MFS GLOBAL EQUITY FUND-B         | 0.00                 | 0.32                | 0.00               | 0.32              | 88.0 | 0.28                 |
|                                             | ACCOUNT #: LSR011502           | BUY 1 Units @0.0000              |                      |                     |                    |                   |      |                      |
| 06/18/2018                                  | ***-**-45IR - WILLIAMSON,      | MFS GLOBAL EQUITY FUND-B         | 0.00                 | 1.20                | 0.00               | 1.20              | 88.0 | 1.06                 |
|                                             | ACCOUNT #: LSR011764           | BUY 1 Units @0.0000              |                      |                     |                    |                   |      |                      |
| 06/18/2018                                  | ***-**-21IO - RADELL, SANDRA   | MFS GLOBAL REAL ESTATE FUND CL B | 0.00                 | 1.63                | 0.00               | 1.63              | 88.0 | 1.43                 |
|                                             | ACCOUNT #: LSR011392           | BUY 1 Units @0.0000              |                      |                     |                    |                   |      |                      |
| 06/18/2018                                  | ***-**-53IN - EVANS, ANDREW    | MFS GLOBAL REAL ESTATE FUND CL B | 0.00                 | 0.29                | 0.00               | 0.29              | 88.0 | 0.26                 |
|                                             | ACCOUNT #: LSR011483           | BUY 1 Units @0.0000              |                      |                     |                    |                   |      |                      |
| 06/18/2018                                  | ***-**-24IN - BLISS, RYAN      | MFS GLOBAL REAL ESTATE FUND CL B | 0.00                 | 0.18                | 0.00               | 0.18              | 88.0 | 0.16                 |
|                                             | ACCOUNT #: LSR011502           | BUY 1 Units @0.0000              |                      |                     |                    |                   |      |                      |
| 06/18/2018                                  | ***-**-38IO - BROWN, TYLER     | MFS GLOBAL REAL ESTATE FUND CL B | 0.00                 | 0.80                | 0.00               | 0.80              | 88.0 | 0.70                 |
|                                             | ACCOUNT #: LSR011602           | BUY 1 Units @0.0000              |                      |                     |                    |                   |      |                      |
| 06/18/2018                                  | ***-**-45IN - WILLIAMSON,      | MFS GLOBAL REAL ESTATE FUND CL B | 0.00                 | 0.74                | 0.00               | 0.74              | 88.0 | 0.65                 |
|                                             | ACCOUNT #: LSR011751           | BUY 1 Units @0.0000              |                      |                     |                    |                   |      |                      |
| 06/18/2018                                  | ***-**-628I - SANGER, SANDRA   | MFS GLOBAL TOTAL RETURN FUND-A   | 0.00                 | 0.94                | 0.00               | 0.94              | 88.0 | 0.83                 |
|                                             | ACCOUNT #: LSR010942           | BUY 1 Units @0.0000              |                      |                     |                    |                   |      |                      |
| 06/18/2018                                  | ***-**-944O - MAYO, DEBORAH    | MFS GLOBAL TOTAL RETURN FUND-A   | 0.00                 | 0.88                | 0.00               | 0.88              | 88.0 | 0.77                 |
|                                             | ACCOUNT #: LSR011035           | BUY 1 Units @0.0000              |                      |                     |                    |                   |      |                      |
| 06/18/2018                                  | ***-**-96IN - NESSIA, BONNIE   | MFS GLOBAL TOTAL RETURN FUND-A   | 0.00                 | 1.20                | 0.00               | 1.20              | 88.0 | 1.06                 |
|                                             | ACCOUNT #: LSR011055           | BUY 1 Units @0.0000              |                      |                     |                    |                   |      |                      |
| 06/18/2018                                  | ***-**-861I - SANGER, LAWRENCE | MFS GLOBAL TOTAL RETURN FUND-A   | 0.00                 | 1.63                | 0.00               | 1.63              | 88.0 | 1.43                 |
|                                             | ACCOUNT #: LSR011095           | BUY 1 Units @0.0000              |                      |                     |                    |                   |      |                      |
| 06/18/2018                                  | ***-**-02IN - BUSHEY, MELISSA  | MFS GLOBAL TOTAL RETURN FUND-A   | 0.00                 | 0.68                | 0.00               | 0.68              | 88.0 | 0.60                 |
|                                             | ACCOUNT #: LSR011257           | 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> OVERRIDE TRANSACTIONS (continued)</b>          |                                |                                |                      |                     |                    |                   |      |                      |
| <b> <u>BROKER: KURT GRUENEWALD (continued)</u></b> |                                |                                |                      |                     |                    |                   |      |                      |
| 06/18/2018                                         | ***-**-653J - KOCHER, CLINTON  | MFS GLOBAL TOTAL RETURN FUND-A | 0.00                 | 0.95                | 0.00               | 0.95              | 88.0 | 0.84                 |
|                                                    | ACCOUNT #: LSR011298           | BUY 1 Units @0.0000            |                      |                     |                    |                   |      |                      |
| 06/18/2018                                         | ***-**-62IN - EATON, DAVID     | MFS GLOBAL TOTAL RETURN FUND-A | 0.00                 | 0.69                | 0.00               | 0.69              | 88.0 | 0.61                 |
|                                                    | ACCOUNT #: LSR011315           | BUY 1 Units @0.0000            |                      |                     |                    |                   |      |                      |
| 06/18/2018                                         | ***-**-254I - AUGUSTINE, LINDA | MFS GLOBAL TOTAL RETURN FUND-B | 0.00                 | 1.00                | 0.00               | 1.00              | 88.0 | 0.88                 |
|                                                    | ACCOUNT #: LSR010846           | BUY 1 Units @0.0000            |                      |                     |                    |                   |      |                      |
| 06/18/2018                                         | ***-**-881J - EBERLEY, SUSAN   | MFS GLOBAL TOTAL RETURN FUND-B | 0.00                 | 1.32                | 0.00               | 1.32              | 88.0 | 1.16                 |
|                                                    | ACCOUNT #: LSR010856           | BUY 1 Units @0.0000            |                      |                     |                    |                   |      |                      |
| 06/18/2018                                         | ***-**-949I - ACEE, JOSPEH     | MFS GLOBAL TOTAL RETURN FUND-B | 0.00                 | 1.50                | 0.00               | 1.50              | 88.0 | 1.32                 |
|                                                    | ACCOUNT #: LSR010908           | BUY 1 Units @0.0000            |                      |                     |                    |                   |      |                      |
| 06/18/2018                                         | ***-**-31IO - HARTZ, CLAUDIA   | MFS GLOBAL TOTAL RETURN FUND-B | 0.00                 | 0.80                | 0.00               | 0.80              | 88.0 | 0.70                 |
|                                                    | ACCOUNT #: LSR010915           | BUY 1 Units @0.0000            |                      |                     |                    |                   |      |                      |
| 06/18/2018                                         | ***-**-959I - FRANZ, PAUL      | MFS GLOBAL TOTAL RETURN FUND-B | 0.00                 | 2.86                | 0.00               | 2.86              | 88.0 | 2.52                 |
|                                                    | ACCOUNT #: LSR010959           | BUY 1 Units @0.0000            |                      |                     |                    |                   |      |                      |
| 06/18/2018                                         | ***-**-960J - MASTRANGELO,     | MFS GLOBAL TOTAL RETURN FUND-B | 0.00                 | 1.92                | 0.00               | 1.92              | 88.0 | 1.69                 |
|                                                    | ACCOUNT #: LSR010966           | BUY 1 Units @0.0000            |                      |                     |                    |                   |      |                      |
| 06/18/2018                                         | ***-**-51IO - CAIN, TIMOTHY    | MFS GLOBAL TOTAL RETURN FUND-B | 0.00                 | 1.63                | 0.00               | 1.63              | 88.0 | 1.43                 |
|                                                    | ACCOUNT #: LSR011007           | BUY 1 Units @0.0000            |                      |                     |                    |                   |      |                      |
| 06/18/2018                                         | ***-**-60UT - FALCHI, ADALYNN  | MFS GLOBAL TOTAL RETURN FUND-B | 0.00                 | 0.22                | 0.00               | 0.22              | 88.0 | 0.19                 |
|                                                    | ACCOUNT #: LSR011010           | BUY 1 Units @0.0000            |                      |                     |                    |                   |      |                      |
| 06/18/2018                                         | ***-**-761I - EVANS, DOLORES   | MFS GLOBAL TOTAL RETURN FUND-B | 0.00                 | 5.76                | 0.00               | 5.76              | 88.0 | 5.07                 |
|                                                    | ACCOUNT #: LSR011024           | BUY 1 Units @0.0000            |                      |                     |                    |                   |      |                      |
| 06/18/2018                                         | ***-**-63TR - EVANS, AUDREY J  | MFS GLOBAL TOTAL RETURN FUND-B | 0.00                 | 3.04                | 0.00               | 3.04              | 88.0 | 2.68                 |
|                                                    | ACCOUNT #: LSR011036           | BUY 1 Units @0.0000            |                      |                     |                    |                   |      |                      |
| 06/18/2018                                         | ***-**-306X - COBB, CHERRYL    | MFS GLOBAL TOTAL RETURN FUND-B | 0.00                 | 1.55                | 0.00               | 1.55              | 88.0 | 1.36                 |
|                                                    | ACCOUNT #: LSR011037           | BUY 1 Units @0.0000            |                      |                     |                    |                   |      |                      |
| 06/18/2018                                         | ***-**-579I - RHYMESTINE,      | MFS GLOBAL TOTAL RETURN FUND-B | 0.00                 | 2.95                | 0.00               | 2.95              | 88.0 | 2.60                 |
|                                                    | ACCOUNT #: LSR011082           | BUY 1 Units @0.0000            |                      |                     |                    |                   |      |                      |
| 06/18/2018                                         | ***-**-13IN - RHYMESTINE,      | MFS GLOBAL TOTAL RETURN FUND-B | 0.00                 | 0.74                | 0.00               | 0.74              | 88.0 | 0.65                 |
|                                                    | ACCOUNT #: LSR011106           | BUY 1 Units @0.0000            |                      |                     |                    |                   |      |                      |
| 06/18/2018                                         | ***-**-76IO - MCALLISTER, FBO  | MFS GLOBAL TOTAL RETURN FUND-B | 0.00                 | 0.65                | 0.00               | 0.65              | 88.0 | 0.57                 |
|                                                    | ACCOUNT #: LSR011107           | 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><u> OVERRIDE TRANSACTIONS (continued) </u></b>   |                                |                                  |                      |                     |                    |                   |      |                      |
| <b><u> BROKER: KURT GRUENEWALD (continued) </u></b> |                                |                                  |                      |                     |                    |                   |      |                      |
| 06/18/2018                                          | ***-**-506J - CURRIERE JR, MR  | MFS GLOBAL TOTAL RETURN FUND-B   | 0.00                 | 0.93                | 0.00               | 0.93              | 88.0 | 0.82                 |
|                                                     | ACCOUNT #: LSR011121           | BUY 1 Units @0.0000              |                      |                     |                    |                   |      |                      |
| 06/18/2018                                          | ***-**-367J - WAGNER, MRS LANT | MFS GLOBAL TOTAL RETURN FUND-B   | 0.00                 | 1.67                | 0.00               | 1.67              | 88.0 | 1.47                 |
|                                                     | ACCOUNT #: LSR011134           | BUY 1 Units @0.0000              |                      |                     |                    |                   |      |                      |
| 06/18/2018                                          | ***-**-31IO - WILLIAMSON, FBO  | MFS GLOBAL TOTAL RETURN FUND-B   | 0.00                 | 2.72                | 0.00               | 2.72              | 88.0 | 2.39                 |
|                                                     | ACCOUNT #: LSR011172           | BUY 1 Units @0.0000              |                      |                     |                    |                   |      |                      |
| 06/18/2018                                          | ***-**-64IO - PFAFF, GEORGE    | MFS GLOBAL TOTAL RETURN FUND-B   | 0.00                 | 1.25                | 0.00               | 1.25              | 88.0 | 1.10                 |
|                                                     | ACCOUNT #: LSR011185           | BUY 1 Units @0.0000              |                      |                     |                    |                   |      |                      |
| 06/18/2018                                          | ***-**-62IR - ROBBIANO, FBO    | MFS GLOBAL TOTAL RETURN FUND-B   | 0.00                 | 0.92                | 0.00               | 0.92              | 88.0 | 0.81                 |
|                                                     | ACCOUNT #: LSR011195           | BUY 1 Units @0.0000              |                      |                     |                    |                   |      |                      |
| 06/18/2018                                          | ***-**-52IO - EUSEPI, SUSAN    | MFS GLOBAL TOTAL RETURN FUND-B   | 0.00                 | 2.86                | 0.00               | 2.86              | 88.0 | 2.52                 |
|                                                     | ACCOUNT #: LSR011219           | BUY 1 Units @0.0000              |                      |                     |                    |                   |      |                      |
| 06/18/2018                                          | ***-**-653I - KOCHER, CLINTON  | MFS GLOBAL TOTAL RETURN FUND-B   | 0.00                 | 2.24                | 0.00               | 2.24              | 88.0 | 1.97                 |
|                                                     | ACCOUNT #: LSR011300           | BUY 1 Units @0.0000              |                      |                     |                    |                   |      |                      |
| 06/18/2018                                          | ***-**-21IO - RADELL, SANDRA   | MFS GLOBAL TOTAL RETURN FUND-B   | 0.00                 | 1.53                | 0.00               | 1.53              | 88.0 | 1.35                 |
|                                                     | ACCOUNT #: LSR011392           | BUY 1 Units @0.0000              |                      |                     |                    |                   |      |                      |
| 06/18/2018                                          | ***-**-241I - DINITTO, ALLISYN | MFS GLOBAL TOTAL RETURN FUND-B   | 0.00                 | 1.27                | 0.00               | 1.27              | 88.0 | 1.12                 |
|                                                     | ACCOUNT #: LSR011444           | BUY 1 Units @0.0000              |                      |                     |                    |                   |      |                      |
| 06/18/2018                                          | ***-**-51IN - GERACE, JOANNE   | MFS GLOBAL TOTAL RETURN FUND-B   | 0.00                 | 1.61                | 0.00               | 1.61              | 88.0 | 1.42                 |
|                                                     | ACCOUNT #: LSR011538           | BUY 1 Units @0.0000              |                      |                     |                    |                   |      |                      |
| 06/18/2018                                          | ***-**-09IO - BATES, FBO MRS   | MFS GLOBAL TOTAL RETURN FUND-C   | 0.00                 | 18.58               | 0.00               | 18.58             | 88.0 | 16.35                |
|                                                     | ACCOUNT #: LSR011117           | BUY 1 Units @0.0000              |                      |                     |                    |                   |      |                      |
| 06/18/2018                                          | ***-**-11IO - LYNN G.          | MFS GLOBAL TOTAL RETURN FUND-C   | 0.00                 | 14.31               | 0.00               | 14.31             | 88.0 | 12.59                |
|                                                     | ACCOUNT #: LSR011239           | BUY 1 Units @0.0000              |                      |                     |                    |                   |      |                      |
| 06/18/2018                                          | ***-**-376I - BERBEN, GAIL     | MFS GLOBAL TOTAL RETURN FUND-C   | 0.00                 | 12.95               | 0.00               | 12.95             | 88.0 | 11.40                |
|                                                     | ACCOUNT #: LSR011380           | BUY 1 Units @0.0000              |                      |                     |                    |                   |      |                      |
| 06/18/2018                                          | ***-**-45IO - JOHNSON, GREGORY | MFS GLOBAL TOTAL RETURN FUND-C   | 0.00                 | 14.85               | 0.00               | 14.85             | 88.0 | 13.07                |
|                                                     | ACCOUNT #: LSR011421           | BUY 1 Units @0.0000              |                      |                     |                    |                   |      |                      |
| 06/18/2018                                          | ***-**-13IN - ROTH, KAREN      | MFS GOVERNMENT SECURITIES FUND-A | 0.00                 | 0.69                | 0.00               | 0.69              | 88.0 | 0.61                 |
|                                                     | ACCOUNT #: LSR011954           | BUY 1 Units @0.0000              |                      |                     |                    |                   |      |                      |
| 06/18/2018                                          | ***-**-254I - AUGUSTINE, LINDA | MFS GOVERNMENT SECURITIES FUND-B | 0.00                 | 1.66                | 0.00               | 1.66              | 88.0 | 1.46                 |
|                                                     | ACCOUNT #: LSR010846           | BUY 1 Units @0.0000              |                      |                     |                    |                   |      |                      |





# COMMISSION STATEMENT

June 18, 2018

DAVID GRIFFITH  
2108 Genesee St.  
Utica, NY 13502

BROKER #: A76  
BRANCH #01047 - 47 - GRIFFITH

| DATE                                        | CLIENT                                                | INVESTMENT                                                 | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|---------------------------------------------|-------------------------------------------------------|------------------------------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b> OVERRIDE TRANSACTIONS (continued)</b>   |                                                       |                                                            |                      |                     |                    |                   |      |                      |
| <b> BROKER: KURT GRUENEWALD (continued)</b> |                                                       |                                                            |                      |                     |                    |                   |      |                      |
| 06/18/2018                                  | ***-**-111J - NESSIA, JAMES<br>ACCOUNT #: LSR011054   | MFS GOVERNMENT SECURITIES FUND-B<br>BUY 1 Units @0.0000    | 0.00                 | 0.54                | 0.00               | 0.54              | 88.0 | 0.48                 |
| 06/18/2018                                  | ***-**-13IN - ROTH, KAREN<br>ACCOUNT #: LSR011954     | MFS GOVERNMENT SECURITIES FUND-B<br>BUY 1 Units @0.0000    | 0.00                 | 0.10                | 0.00               | 0.10              | 88.0 | 0.09                 |
| 06/18/2018                                  | ***-**-44IO - MAYO, DEBORAH<br>ACCOUNT #: LSR011079   | MFS HIGH INCOME CLASS C<br>BUY 1 Units @0.0000             | 0.00                 | 17.42               | 0.00               | 17.42             | 88.0 | 15.33                |
| 06/18/2018                                  | ***-**-13IN - ROTH, KAREN<br>ACCOUNT #: LSR011954     | MFS HIGH INCOME FUND-A<br>BUY 1 Units @0.0000              | 0.00                 | 0.63                | 0.00               | 0.63              | 88.0 | 0.55                 |
| 06/18/2018                                  | ***-**-61IN - EVANS, DOLORES<br>ACCOUNT #: LSR011023  | MFS HIGH INCOME FUND-B<br>BUY 1 Units @0.0000              | 0.00                 | 0.27                | 0.00               | 0.27              | 88.0 | 0.24                 |
| 06/18/2018                                  | ***-**-13IN - ROTH, KAREN<br>ACCOUNT #: LSR011954     | MFS HIGH INCOME FUND-B<br>BUY 1 Units @0.0000              | 0.00                 | 0.18                | 0.00               | 0.18              | 88.0 | 0.16                 |
| 06/18/2018                                  | ***-**-881I - EBERLEY, SUSAN<br>ACCOUNT #: LSR010858  | MFS HIGH YIELD OPPORTUNITIES FUND-B<br>BUY 1 Units @0.0000 | 0.00                 | 0.67                | 0.00               | 0.67              | 88.0 | 0.59                 |
| 06/18/2018                                  | ***-**-13IN - ROTH, KAREN<br>ACCOUNT #: LSR011954     | MFS HIGH YIELD OPPORTUNITIES FUND-B<br>BUY 1 Units @0.0000 | 0.00                 | 0.21                | 0.00               | 0.21              | 88.0 | 0.18                 |
| 06/18/2018                                  | ***-**-73TR - WESTCOTT IRRVOC<br>ACCOUNT #: LSR011001 | MFS HIGH YIELD OPPORTUNITIES FUND-C<br>BUY 1 Units @0.0000 | 0.00                 | 7.98                | 0.00               | 7.98              | 88.0 | 7.02                 |
| 06/18/2018                                  | ***-**-73TR - WESTCOTT IRRVOC<br>ACCOUNT #: LSR011008 | MFS HIGH YIELD OPPORTUNITIES FUND-C<br>BUY 1 Units @0.0000 | 0.00                 | 9.23                | 0.00               | 9.23              | 88.0 | 8.12                 |
| 06/18/2018                                  | ***-**-13IN - ROTH, KAREN<br>ACCOUNT #: LSR011954     | MFS HIGH-YIELD OPPORTUNITIES FUND C<br>BUY 1 Units @0.0000 | 0.00                 | 0.63                | 0.00               | 0.63              | 88.0 | 0.55                 |
| 06/18/2018                                  | ***-**-881J - EBERLEY, SUSAN<br>ACCOUNT #: LSR010856  | MFS INFLATION ADJUSTED BOND CL B<br>BUY 1 Units @0.0000    | 0.00                 | 0.40                | 0.00               | 0.40              | 88.0 | 0.35                 |
| 06/18/2018                                  | ***-**-949I - ACEE, JOSPEH<br>ACCOUNT #: LSR010908    | MFS INFLATION ADJUSTED BOND CL B<br>BUY 1 Units @0.0000    | 0.00                 | 0.49                | 0.00               | 0.49              | 88.0 | 0.43                 |
| 06/18/2018                                  | ***-**-31IO - HARTZ, CLAUDIA<br>ACCOUNT #: LSR010915  | MFS INFLATION ADJUSTED BOND CL B<br>BUY 1 Units @0.0000    | 0.00                 | 0.48                | 0.00               | 0.48              | 88.0 | 0.42                 |
| 06/18/2018                                  | ***-**-15IN - PENDRAK, JOHN<br>ACCOUNT #: LSR010948   | MFS INFLATION ADJUSTED BOND CL B<br>BUY 1 Units @0.0000    | 0.00                 | 0.85                | 0.00               | 0.85              | 88.0 | 0.75                 |
| 06/18/2018                                  | ***-**-960J - MASTRANGELO,<br>ACCOUNT #: LSR010966    | MFS INFLATION ADJUSTED BOND CL B<br>BUY 1 Units @0.0000    | 0.00                 | 0.29                | 0.00               | 0.29              | 88.0 | 0.26                 |



# COMMISSION STATEMENT

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BRANCH #01047 - 47 - GRIFFITH

| DATE                                        | CLIENT                                                  | INVESTMENT                                              | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|---------------------------------------------|---------------------------------------------------------|---------------------------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b> OVERRIDE TRANSACTIONS (continued)</b>   |                                                         |                                                         |                      |                     |                    |                   |      |                      |
| <b> BROKER: KURT GRUENEWALD (continued)</b> |                                                         |                                                         |                      |                     |                    |                   |      |                      |
| 06/18/2018                                  | ***-***-366I - GRUENEWALD,<br>ACCOUNT #: LSR010989      | MFS INFLATION ADJUSTED BOND CL B<br>BUY 1 Units @0.0000 | 0.00                 | 0.36                | 0.00               | 0.36              | 88.0 | 0.32                 |
| 06/18/2018                                  | ***-***-761I - EVANS, DOLORES<br>ACCOUNT #: LSR011024   | MFS INFLATION ADJUSTED BOND CL B<br>BUY 1 Units @0.0000 | 0.00                 | 1.21                | 0.00               | 1.21              | 88.0 | 1.06                 |
| 06/18/2018                                  | ***-***-63TR - EVANS, AUDREY J<br>ACCOUNT #: LSR011036  | MFS INFLATION ADJUSTED BOND CL B<br>BUY 1 Units @0.0000 | 0.00                 | 0.32                | 0.00               | 0.32              | 88.0 | 0.28                 |
| 06/18/2018                                  | ***-***-580X - COBB, JAMES<br>ACCOUNT #: LSR011040      | MFS INFLATION ADJUSTED BOND CL B<br>BUY 1 Units @0.0000 | 0.00                 | 0.60                | 0.00               | 0.60              | 88.0 | 0.53                 |
| 06/18/2018                                  | ***-***-111J - NESSIA, JAMES<br>ACCOUNT #: LSR011054    | MFS INFLATION ADJUSTED BOND CL B<br>BUY 1 Units @0.0000 | 0.00                 | 0.34                | 0.00               | 0.34              | 88.0 | 0.30                 |
| 06/18/2018                                  | ***-***-326J - GRANDE, MR<br>ACCOUNT #: LSR011089       | MFS INFLATION ADJUSTED BOND CL B<br>BUY 1 Units @0.0000 | 0.00                 | 0.62                | 0.00               | 0.62              | 88.0 | 0.55                 |
| 06/18/2018                                  | ***-***-76IO - MCALLISTER, FBO<br>ACCOUNT #: LSR011107  | MFS INFLATION ADJUSTED BOND CL B<br>BUY 1 Units @0.0000 | 0.00                 | 0.35                | 0.00               | 0.35              | 88.0 | 0.31                 |
| 06/18/2018                                  | ***-***-506J - CURRIERE JR, MR<br>ACCOUNT #: LSR011121  | MFS INFLATION ADJUSTED BOND CL B<br>BUY 1 Units @0.0000 | 0.00                 | 0.18                | 0.00               | 0.18              | 88.0 | 0.16                 |
| 06/18/2018                                  | ***-***-48IO - ANACKER, FBO MRS<br>ACCOUNT #: LSR011164 | MFS INFLATION ADJUSTED BOND CL B<br>BUY 1 Units @0.0000 | 0.00                 | 0.83                | 0.00               | 0.83              | 88.0 | 0.73                 |
| 06/18/2018                                  | ***-***-31IO - WILLIAMSON, FBO<br>ACCOUNT #: LSR011172  | MFS INFLATION ADJUSTED BOND CL B<br>BUY 1 Units @0.0000 | 0.00                 | 0.62                | 0.00               | 0.62              | 88.0 | 0.55                 |
| 06/18/2018                                  | ***-***-64IO - PFAFF, GEORGE<br>ACCOUNT #: LSR011185    | MFS INFLATION ADJUSTED BOND CL B<br>BUY 1 Units @0.0000 | 0.00                 | 0.49                | 0.00               | 0.49              | 88.0 | 0.43                 |
| 06/18/2018                                  | ***-***-62IR - ROBBIANO, FBO<br>ACCOUNT #: LSR011195    | MFS INFLATION ADJUSTED BOND CL B<br>BUY 1 Units @0.0000 | 0.00                 | 0.25                | 0.00               | 0.25              | 88.0 | 0.22                 |
| 06/18/2018                                  | ***-***-382I - SATTERLY, NEIL<br>ACCOUNT #: LSR010867   | MFS INFLATION ADJUSTED BOND CL C<br>BUY 1 Units @0.0000 | 0.00                 | 9.77                | 0.00               | 9.77              | 88.0 | 8.60                 |
| 06/18/2018                                  | ***-***-031O - MCVOY, ROBERT<br>ACCOUNT #: LSR010916    | MFS INFLATION ADJUSTED BOND CL C<br>BUY 1 Units @0.0000 | 0.00                 | 2.76                | 0.00               | 2.76              | 88.0 | 2.43                 |
| 06/18/2018                                  | ***-***-44IO - MAYO, DEBORAH<br>ACCOUNT #: LSR011079    | MFS INFLATION ADJUSTED BOND CL C<br>BUY 1 Units @0.0000 | 0.00                 | 21.29               | 0.00               | 21.29             | 88.0 | 18.74                |
| 06/18/2018                                  | ***-***-531J - WILLIAMSON,<br>ACCOUNT #: LSR011716      | MFS INFLATION ADJUSTED BOND CL C<br>BUY 1 Units @0.0000 | 0.00                 | 6.60                | 0.00               | 6.60              | 88.0 | 5.81                 |



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| DATE                                               | CLIENT                         | INVESTMENT                          | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|----------------------------------------------------|--------------------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b> OVERRIDE TRANSACTIONS (continued)</b>          |                                |                                     |                      |                     |                    |                   |      |                      |
| <b> <u>BROKER: KURT GRUENEWALD (continued)</u></b> |                                |                                     |                      |                     |                    |                   |      |                      |
| 06/18/2018                                         | ***-**-861I - SANGER, LAWRENCE | MFS INFLATION ADJUSTED BOND FUND-A  | 0.00                 | 0.67                | 0.00               | 0.67              | 88.0 | 0.59                 |
|                                                    | ACCOUNT #: LSR011095           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 06/18/2018                                         | ***-**-065I - LAZIO, THOMAS    | MFS INTERNATIONAL NEW DISCOVERY CL  | 0.00                 | 5.99                | 0.00               | 5.99              | 88.0 | 5.27                 |
|                                                    | ACCOUNT #: LSR010979           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 06/18/2018                                         | ***-**-254I - AUGUSTINE, LINDA | MFS INTERNATIONAL NEW DISCOVERY FUN | 0.00                 | 1.45                | 0.00               | 1.45              | 88.0 | 1.28                 |
|                                                    | ACCOUNT #: LSR010846           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 06/18/2018                                         | ***-**-930I - SANGER, KEVIN    | MFS INTERNATIONAL NEW DISCOVERY FUN | 0.00                 | 0.88                | 0.00               | 0.88              | 88.0 | 0.77                 |
|                                                    | ACCOUNT #: LSR010941           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 06/18/2018                                         | ***-**-959I - FRANZ, PAUL      | MFS INTERNATIONAL NEW DISCOVERY FUN | 0.00                 | 1.98                | 0.00               | 1.98              | 88.0 | 1.74                 |
|                                                    | ACCOUNT #: LSR010959           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 06/18/2018                                         | ***-**-960J - MASTRANGELO,     | MFS INTERNATIONAL NEW DISCOVERY FUN | 0.00                 | 1.40                | 0.00               | 1.40              | 88.0 | 1.23                 |
|                                                    | ACCOUNT #: LSR010966           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 06/18/2018                                         | ***-**-761I - EVANS, DOLORES   | MFS INTERNATIONAL NEW DISCOVERY FUN | 0.00                 | 4.98                | 0.00               | 4.98              | 88.0 | 4.38                 |
|                                                    | ACCOUNT #: LSR011024           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 06/18/2018                                         | ***-**-944O - MAYO, DEBORAH    | MFS INTERNATIONAL NEW DISCOVERY FUN | 0.00                 | 0.68                | 0.00               | 0.68              | 88.0 | 0.60                 |
|                                                    | ACCOUNT #: LSR011035           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 06/18/2018                                         | ***-**-13IN - RHYMESTINE,      | MFS INTERNATIONAL NEW DISCOVERY FUN | 0.00                 | 0.79                | 0.00               | 0.79              | 88.0 | 0.70                 |
|                                                    | ACCOUNT #: LSR011106           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 06/18/2018                                         | ***-**-31IO - WILLIAMSON, FBO  | MFS INTERNATIONAL NEW DISCOVERY FUN | 0.00                 | 2.23                | 0.00               | 2.23              | 88.0 | 1.96                 |
|                                                    | ACCOUNT #: LSR011172           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 06/18/2018                                         | ***-**-03IO - MASTRANGELO,     | MFS INTERNATIONAL NEW DISCOVERY FUN | 0.00                 | 2.32                | 0.00               | 2.32              | 88.0 | 2.04                 |
|                                                    | ACCOUNT #: LSR011679           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 06/18/2018                                         | ***-**-861I - SANGER, LAWRENCE | MFS INTERNATIONAL NEW DISCOVERY FUN | 0.00                 | 0.85                | 0.00               | 0.85              | 88.0 | 0.75                 |
|                                                    | ACCOUNT #: LSR011095           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 06/18/2018                                         | ***-**-51IO - CAIN, TIMOTHY    | MFS INTERNATIONAL VALUE FUND-B      | 0.00                 | 0.95                | 0.00               | 0.95              | 88.0 | 0.84                 |
|                                                    | ACCOUNT #: LSR011007           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 06/18/2018                                         | ***-**-861I - SANGER, LAWRENCE | MFS LIFETIME INCOME CLASS A         | 0.00                 | 1.15                | 0.00               | 1.15              | 88.0 | 1.01                 |
|                                                    | ACCOUNT #: LSR011095           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 06/18/2018                                         | ***-**-959J - FRANZ, PAUL      | MFS MODERATE ALLOCATION CL C        | 0.00                 | 14.43               | 0.00               | 14.43             | 88.0 | 12.70                |
|                                                    | ACCOUNT #: LSR010958           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 06/18/2018                                         | ***-**-86IN - LEE, KEVIN       | MFS MODERATE ALLOCATION CL C        | 0.00                 | 24.82               | 0.00               | 24.82             | 88.0 | 21.84                |
|                                                    | 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> OVERRIDE TRANSACTIONS (continued)</b>          |                                                        |                                                           |                      |                     |                    |                   |      |                      |
| <b> <u>BROKER: KURT GRUENEWALD (continued)</u></b> |                                                        |                                                           |                      |                     |                    |                   |      |                      |
| 06/18/2018                                         | ***-**-960J - MASTRANGELO,<br>ACCOUNT #: LSR010966     | MFS NEW DISCOVERY FUND-B<br>BUY 1 Units @0.0000           | 0.00                 | 2.54                | 0.00               | 2.54              | 88.0 | 2.24                 |
| 06/18/2018                                         | ***-**-31IO - WILLIAMSON, FBO<br>ACCOUNT #: LSR011172  | MFS NEW DISCOVERY FUND-B<br>BUY 1 Units @0.0000           | 0.00                 | 1.53                | 0.00               | 1.53              | 88.0 | 1.35                 |
| 06/18/2018                                         | ***-**-978I - GUNN, KATHLEEN<br>ACCOUNT #: LSR011345   | MFS NEW DISCOVERY FUND-B<br>BUY 1 Units @0.0000           | 0.00                 | 0.65                | 0.00               | 0.65              | 88.0 | 0.57                 |
| 06/18/2018                                         | ***-**-45IO - WILLIAMSON,<br>ACCOUNT #: LSR011756      | MFS NEW DISCOVERY FUND-B<br>BUY 1 Units @0.0000           | 0.00                 | 0.87                | 0.00               | 0.87              | 88.0 | 0.77                 |
| 06/18/2018                                         | ***-**-197I - GAMBINO, ANDREW<br>ACCOUNT #: LSR011465  | MFS NEW DISCOVERY VALUE FUND CL B<br>BUY 1 Units @0.0000  | 0.00                 | 0.27                | 0.00               | 0.27              | 88.0 | 0.24                 |
| 06/18/2018                                         | ***-**-53IN - EVANS, ANDREW<br>ACCOUNT #: LSR011483    | MFS NEW DISCOVERY VALUE FUND CL B<br>BUY 1 Units @0.0000  | 0.00                 | 0.72                | 0.00               | 0.72              | 88.0 | 0.63                 |
| 06/18/2018                                         | ***-**-24IN - BLISS, RYAN<br>ACCOUNT #: LSR011502      | MFS NEW DISCOVERY VALUE FUND CL B<br>BUY 1 Units @0.0000  | 0.00                 | 0.34                | 0.00               | 0.34              | 88.0 | 0.30                 |
| 06/18/2018                                         | ***-**-38IO - BROWN, TYLER<br>ACCOUNT #: LSR011602     | MFS NEW DISCOVERY VALUE FUND CL B<br>BUY 1 Units @0.0000  | 0.00                 | 0.76                | 0.00               | 0.76              | 88.0 | 0.67                 |
| 06/18/2018                                         | ***-**-36IR - SANGER, BETH<br>ACCOUNT #: LSR011757     | MFS NEW DISCOVERY VALUE FUND CL B<br>BUY 1 Units @0.0000  | 0.00                 | 0.25                | 0.00               | 0.25              | 88.0 | 0.22                 |
| 06/18/2018                                         | ***-**-382I - SATTERLY, NEIL<br>ACCOUNT #: LSR010867   | MFS NEW DISCOVERY VALUE FUND CL C<br>BUY 1 Units @0.0000  | 0.00                 | 11.38               | 0.00               | 11.38             | 88.0 | 10.01                |
| 06/18/2018                                         | ***-**-44IO - MAYO, DEBORAH<br>ACCOUNT #: LSR011079    | MFS NEW DISCOVERY VALUE FUND CL C<br>BUY 1 Units @0.0000  | 0.00                 | 13.99               | 0.00               | 13.99             | 88.0 | 12.31                |
| 06/18/2018                                         | ***-**-63TR - EVANS, AUDREY J<br>ACCOUNT #: LSR011036  | MFS NEW YORK MUNICIPAL BOND FUND-B<br>BUY 1 Units @0.0000 | 0.00                 | 1.64                | 0.00               | 1.64              | 88.0 | 1.44                 |
| 06/18/2018                                         | ***-**-111J - NESSIA, JAMES<br>ACCOUNT #: LSR011054    | MFS NEW YORK MUNICIPAL BOND FUND-B<br>BUY 1 Units @0.0000 | 0.00                 | 0.50                | 0.00               | 0.50              | 88.0 | 0.44                 |
| 06/18/2018                                         | ***-**-111J - NESSIA, JAMES<br>ACCOUNT #: LSR011054    | MFS RESEARCH BOND FUND CLASS A<br>BUY 1 Units @0.0000     | 0.00                 | 0.37                | 0.00               | 0.37              | 88.0 | 0.33                 |
| 06/18/2018                                         | ***-**-861I - SANGER, LAWRENCE<br>ACCOUNT #: LSR011095 | MFS RESEARCH BOND FUND CLASS A<br>BUY 1 Units @0.0000     | 0.00                 | 0.39                | 0.00               | 0.39              | 88.0 | 0.34                 |
| 06/18/2018                                         | ***-**-02IN - BUSHEY, MELISSA<br>ACCOUNT #: LSR011257  | MFS RESEARCH BOND FUND CLASS A<br>BUY 1 Units @0.0000     | 0.00                 | 0.22                | 0.00               | 0.22              | 88.0 | 0.19                 |



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| DATE                                               | CLIENT                         | INVESTMENT                     | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|----------------------------------------------------|--------------------------------|--------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b> OVERRIDE TRANSACTIONS (continued)</b>          |                                |                                |                      |                     |                    |                   |      |                      |
| <b> <u>BROKER: KURT GRUENEWALD (continued)</u></b> |                                |                                |                      |                     |                    |                   |      |                      |
| 06/18/2018                                         | ***-**-62IN - EATON, DAVID     | MFS RESEARCH BOND FUND CLASS A | 0.00                 | 0.57                | 0.00               | 0.57              | 88.0 | 0.50                 |
|                                                    | ACCOUNT #: LSR011315           | BUY 1 Units @0.0000            |                      |                     |                    |                   |      |                      |
| 06/18/2018                                         | ***-**-254I - AUGUSTINE, LINDA | MFS RESEARCH BOND FUND-B       | 0.00                 | 0.58                | 0.00               | 0.58              | 88.0 | 0.51                 |
|                                                    | ACCOUNT #: LSR010846           | BUY 1 Units @0.0000            |                      |                     |                    |                   |      |                      |
| 06/18/2018                                         | ***-**-959I - FRANZ, PAUL      | MFS RESEARCH BOND FUND-B       | 0.00                 | 0.83                | 0.00               | 0.83              | 88.0 | 0.73                 |
|                                                    | ACCOUNT #: LSR010959           | BUY 1 Units @0.0000            |                      |                     |                    |                   |      |                      |
| 06/18/2018                                         | ***-**-51IO - CAIN, TIMOTHY    | MFS RESEARCH BOND FUND-B       | 0.00                 | 1.33                | 0.00               | 1.33              | 88.0 | 1.17                 |
|                                                    | ACCOUNT #: LSR011007           | BUY 1 Units @0.0000            |                      |                     |                    |                   |      |                      |
| 06/18/2018                                         | ***-**-761I - EVANS, DOLORES   | MFS RESEARCH BOND FUND-B       | 0.00                 | 1.33                | 0.00               | 1.33              | 88.0 | 1.17                 |
|                                                    | ACCOUNT #: LSR011024           | BUY 1 Units @0.0000            |                      |                     |                    |                   |      |                      |
| 06/18/2018                                         | ***-**-76IO - MCALLISTER, FBO  | MFS RESEARCH BOND FUND-B       | 0.00                 | 0.53                | 0.00               | 0.53              | 88.0 | 0.47                 |
|                                                    | ACCOUNT #: LSR011107           | BUY 1 Units @0.0000            |                      |                     |                    |                   |      |                      |
| 06/18/2018                                         | ***-**-367J - WAGNER, MRS LANT | MFS RESEARCH BOND FUND-B       | 0.00                 | 0.49                | 0.00               | 0.49              | 88.0 | 0.43                 |
|                                                    | ACCOUNT #: LSR011134           | BUY 1 Units @0.0000            |                      |                     |                    |                   |      |                      |
| 06/18/2018                                         | ***-**-31IO - WILLIAMSON, FBO  | MFS RESEARCH BOND FUND-B       | 0.00                 | 0.66                | 0.00               | 0.66              | 88.0 | 0.58                 |
|                                                    | ACCOUNT #: LSR011172           | BUY 1 Units @0.0000            |                      |                     |                    |                   |      |                      |
| 06/18/2018                                         | ***-**-67IR - FRANZ, ALICE     | MFS RESEARCH FUND-B            | 0.00                 | 1.19                | 0.00               | 1.19              | 88.0 | 1.05                 |
|                                                    | ACCOUNT #: LSR011872           | BUY 1 Units @0.0000            |                      |                     |                    |                   |      |                      |
| 06/18/2018                                         | ***-**-59IR - FRANZ, PAUL      | MFS RESEARCH FUND-B            | 0.00                 | 1.19                | 0.00               | 1.19              | 88.0 | 1.05                 |
|                                                    | ACCOUNT #: LSR011873           | BUY 1 Units @0.0000            |                      |                     |                    |                   |      |                      |
| 06/18/2018                                         | ***-**-326J - GRANDE, MR       | MFS STRATEGIC INCOME FUND-B    | 0.00                 | 1.12                | 0.00               | 1.12              | 88.0 | 0.99                 |
|                                                    | ACCOUNT #: LSR011089           | BUY 1 Units @0.0000            |                      |                     |                    |                   |      |                      |
| 06/18/2018                                         | ***-**-382I - SATTERLY, NEIL   | MFS TECHNOLOGY CLASS C         | 0.00                 | 11.14               | 0.00               | 11.14             | 88.0 | 9.80                 |
|                                                    | ACCOUNT #: LSR010867           | BUY 1 Units @0.0000            |                      |                     |                    |                   |      |                      |
| 06/18/2018                                         | ***-**-48IO - CLARK, PATRICK   | MFS TECHNOLOGY CLASS C         | 0.00                 | 8.05                | 0.00               | 8.05              | 88.0 | 7.08                 |
|                                                    | ACCOUNT #: LSR010911           | BUY 1 Units @0.0000            |                      |                     |                    |                   |      |                      |
| 06/18/2018                                         | ***-**-031O - MCVOY, ROBERT    | MFS TECHNOLOGY CLASS C         | 0.00                 | 5.24                | 0.00               | 5.24              | 88.0 | 4.61                 |
|                                                    | ACCOUNT #: LSR010916           | BUY 1 Units @0.0000            |                      |                     |                    |                   |      |                      |
| 06/18/2018                                         | ***-**-930I - SANGER, KEVIN    | MFS TECHNOLOGY CLASS C         | 0.00                 | 9.89                | 0.00               | 9.89              | 88.0 | 8.70                 |
|                                                    | ACCOUNT #: LSR010941           | BUY 1 Units @0.0000            |                      |                     |                    |                   |      |                      |
| 06/18/2018                                         | ***-**-065I - LAZIO, THOMAS    | MFS TECHNOLOGY CLASS C         | 0.00                 | 6.42                | 0.00               | 6.42              | 88.0 | 5.65                 |
|                                                    | ACCOUNT #: LSR010979           | BUY 1 Units @0.0000            |                      |                     |                    |                   |      |                      |



# COMMISSION STATEMENT

June 18, 2018

DAVID GRIFFITH  
2108 Genesee St.  
Utica, NY 13502

BROKER #: A76  
BRANCH #01047 - 47 - GRIFFITH

| DATE                                               | CLIENT                         | INVESTMENT                  | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|----------------------------------------------------|--------------------------------|-----------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b> OVERRIDE TRANSACTIONS (continued)</b>          |                                |                             |                      |                     |                    |                   |      |                      |
| <b> <u>BROKER: KURT GRUENEWALD (continued)</u></b> |                                |                             |                      |                     |                    |                   |      |                      |
| 06/18/2018                                         | ***-**-00IO - LEE, GARY        | MFS TECHNOLOGY CLASS C      | 0.00                 | 12.79               | 0.00               | 12.79             | 88.0 | 11.26                |
|                                                    | ACCOUNT #: LSR011059           | BUY 1 Units @0.0000         |                      |                     |                    |                   |      |                      |
| 06/18/2018                                         | ***-**-44IO - MAYO, DEBORAH    | MFS TECHNOLOGY CLASS C      | 0.00                 | 14.35               | 0.00               | 14.35             | 88.0 | 12.63                |
|                                                    | ACCOUNT #: LSR011079           | BUY 1 Units @0.0000         |                      |                     |                    |                   |      |                      |
| 06/18/2018                                         | ***-**-09IO - BATES, FBO MRS   | MFS TECHNOLOGY CLASS C      | 0.00                 | 12.61               | 0.00               | 12.61             | 88.0 | 11.10                |
|                                                    | ACCOUNT #: LSR011117           | BUY 1 Units @0.0000         |                      |                     |                    |                   |      |                      |
| 06/18/2018                                         | ***-**-89IN - LEE, ROGER       | MFS TECHNOLOGY CLASS C      | 0.00                 | 6.82                | 0.00               | 6.82              | 88.0 | 6.00                 |
|                                                    | ACCOUNT #: LSR011166           | BUY 1 Units @0.0000         |                      |                     |                    |                   |      |                      |
| 06/18/2018                                         | ***-**-094I - KATRENA L        | MFS TECHNOLOGY CLASS C      | 0.00                 | 7.09                | 0.00               | 7.09              | 88.0 | 6.24                 |
|                                                    | ACCOUNT #: LSR011188           | BUY 1 Units @0.0000         |                      |                     |                    |                   |      |                      |
| 06/18/2018                                         | ***-**-06IR - CAMPBELL, PAMELA | MFS TECHNOLOGY CLASS C      | 0.00                 | 8.86                | 0.00               | 8.86              | 88.0 | 7.80                 |
|                                                    | ACCOUNT #: LSR011222           | BUY 1 Units @0.0000         |                      |                     |                    |                   |      |                      |
| 06/18/2018                                         | ***-**-11IO - LYNN G.          | MFS TECHNOLOGY CLASS C      | 0.00                 | 7.32                | 0.00               | 7.32              | 88.0 | 6.44                 |
|                                                    | ACCOUNT #: LSR011239           | BUY 1 Units @0.0000         |                      |                     |                    |                   |      |                      |
| 06/18/2018                                         | ***-**-45IO - JOHNSON, GREGORY | MFS TECHNOLOGY CLASS C      | 0.00                 | 7.92                | 0.00               | 7.92              | 88.0 | 6.97                 |
|                                                    | ACCOUNT #: LSR011421           | BUY 1 Units @0.0000         |                      |                     |                    |                   |      |                      |
| 06/18/2018                                         | ***-**-37IO - MCCLUSKY, MARK   | MFS TECHNOLOGY CLASS C      | 0.00                 | 2.79                | 0.00               | 2.79              | 88.0 | 2.46                 |
|                                                    | ACCOUNT #: LSR011579           | BUY 1 Units @0.0000         |                      |                     |                    |                   |      |                      |
| 06/18/2018                                         | ***-**-86IN - LEE, KEVIN       | MFS TECHNOLOGY CLASS C      | 0.00                 | 11.09               | 0.00               | 11.09             | 88.0 | 9.76                 |
|                                                    | ACCOUNT #: LSR011613           | BUY 1 Units @0.0000         |                      |                     |                    |                   |      |                      |
| 06/18/2018                                         | ***-**-99IN - EDELMAN, TINA    | MFS TECHNOLOGY CLASS C      | 0.00                 | 0.11                | 0.00               | 0.11              | 88.0 | 0.10                 |
|                                                    | ACCOUNT #: LSR011956           | BUY 1 Units @0.0000         |                      |                     |                    |                   |      |                      |
| 06/18/2018                                         | ***-**-28IN - BYWATER, KIM     | MFS TECHNOLOGY CLASS C      | 0.00                 | 0.21                | 0.00               | 0.21              | 88.0 | 0.18                 |
|                                                    | ACCOUNT #: LSR011995           | BUY 1 Units @0.0000         |                      |                     |                    |                   |      |                      |
| 06/18/2018                                         | ***-**-944O - MAYO, DEBORAH    | MFS TECHNOLOGY FUND CLASS A | 0.00                 | 1.36                | 0.00               | 1.36              | 88.0 | 1.20                 |
|                                                    | ACCOUNT #: LSR011035           | BUY 1 Units @0.0000         |                      |                     |                    |                   |      |                      |
| 06/18/2018                                         | ***-**-808J - GORMAN, RANDY    | MFS TECHNOLOGY FUND CLASS A | 0.00                 | 0.25                | 0.00               | 0.25              | 88.0 | 0.22                 |
|                                                    | ACCOUNT #: LSR011087           | BUY 1 Units @0.0000         |                      |                     |                    |                   |      |                      |
| 06/18/2018                                         | ***-**-02IN - BUSHEY, MELISSA  | MFS TECHNOLOGY FUND CLASS A | 0.00                 | 1.08                | 0.00               | 1.08              | 88.0 | 0.95                 |
|                                                    | ACCOUNT #: LSR011257           | BUY 1 Units @0.0000         |                      |                     |                    |                   |      |                      |
| 06/18/2018                                         | ***-**-31IO - HARTZ, CLAUDIA   | MFS TECHNOLOGY FUND-B       | 0.00                 | 0.96                | 0.00               | 0.96              | 88.0 | 0.84                 |
|                                                    | ACCOUNT #: LSR010915           | 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> OVERRIDE TRANSACTIONS (continued)</b>          |                                |                       |                      |                     |                    |                   |      |                      |
| <b> <u>BROKER: KURT GRUENEWALD (continued)</u></b> |                                |                       |                      |                     |                    |                   |      |                      |
| 06/18/2018                                         | ***-**-15IN - PENDRAK, JOHN    | MFS TECHNOLOGY FUND-B | 0.00                 | 2.51                | 0.00               | 2.51              | 88.0 | 2.21                 |
|                                                    | ACCOUNT #: LSR010948           | BUY 1 Units @0.0000   |                      |                     |                    |                   |      |                      |
| 06/18/2018                                         | ***-**-959I - FRANZ, PAUL      | MFS TECHNOLOGY FUND-B | 0.00                 | 2.08                | 0.00               | 2.08              | 88.0 | 1.83                 |
|                                                    | ACCOUNT #: LSR010959           | BUY 1 Units @0.0000   |                      |                     |                    |                   |      |                      |
| 06/18/2018                                         | ***-**-169I - EVANS, PAUL      | MFS TECHNOLOGY FUND-B | 0.00                 | 1.42                | 0.00               | 1.42              | 88.0 | 1.25                 |
|                                                    | ACCOUNT #: LSR011026           | BUY 1 Units @0.0000   |                      |                     |                    |                   |      |                      |
| 06/18/2018                                         | ***-**-580X - COBB, JAMES      | MFS TECHNOLOGY FUND-B | 0.00                 | 1.38                | 0.00               | 1.38              | 88.0 | 1.21                 |
|                                                    | ACCOUNT #: LSR011040           | BUY 1 Units @0.0000   |                      |                     |                    |                   |      |                      |
| 06/18/2018                                         | ***-**-579J - RHYMESTINE,      | MFS TECHNOLOGY FUND-B | 0.00                 | 1.07                | 0.00               | 1.07              | 88.0 | 0.94                 |
|                                                    | ACCOUNT #: LSR011081           | BUY 1 Units @0.0000   |                      |                     |                    |                   |      |                      |
| 06/18/2018                                         | ***-**-579I - RHYMESTINE,      | MFS TECHNOLOGY FUND-B | 0.00                 | 1.46                | 0.00               | 1.46              | 88.0 | 1.28                 |
|                                                    | ACCOUNT #: LSR011082           | BUY 1 Units @0.0000   |                      |                     |                    |                   |      |                      |
| 06/18/2018                                         | ***-**-326I - GRANDE, FBO MR   | MFS TECHNOLOGY FUND-B | 0.00                 | 1.83                | 0.00               | 1.83              | 88.0 | 1.61                 |
|                                                    | ACCOUNT #: LSR011091           | BUY 1 Units @0.0000   |                      |                     |                    |                   |      |                      |
| 06/18/2018                                         | ***-**-992J - CORNACCHIA       | MFS TECHNOLOGY FUND-B | 0.00                 | 0.46                | 0.00               | 0.46              | 88.0 | 0.40                 |
|                                                    | ACCOUNT #: LSR011157           | BUY 1 Units @0.0000   |                      |                     |                    |                   |      |                      |
| 06/18/2018                                         | ***-**-48IO - ANACKER, FBO MRS | MFS TECHNOLOGY FUND-B | 0.00                 | 0.95                | 0.00               | 0.95              | 88.0 | 0.84                 |
|                                                    | ACCOUNT #: LSR011164           | BUY 1 Units @0.0000   |                      |                     |                    |                   |      |                      |
| 06/18/2018                                         | ***-**-31IO - WILLIAMSON, FBO  | MFS TECHNOLOGY FUND-B | 0.00                 | 1.67                | 0.00               | 1.67              | 88.0 | 1.47                 |
|                                                    | ACCOUNT #: LSR011172           | BUY 1 Units @0.0000   |                      |                     |                    |                   |      |                      |
| 06/18/2018                                         | ***-**-664J - PFAFF, GEORGE    | MFS TECHNOLOGY FUND-B | 0.00                 | 2.01                | 0.00               | 2.01              | 88.0 | 1.77                 |
|                                                    | ACCOUNT #: LSR011184           | BUY 1 Units @0.0000   |                      |                     |                    |                   |      |                      |
| 06/18/2018                                         | ***-**-64IO - PFAFF, GEORGE    | MFS TECHNOLOGY FUND-B | 0.00                 | 1.10                | 0.00               | 1.10              | 88.0 | 0.97                 |
|                                                    | ACCOUNT #: LSR011185           | BUY 1 Units @0.0000   |                      |                     |                    |                   |      |                      |
| 06/18/2018                                         | ***-**-52IO - EUSEPI, SUSAN    | MFS TECHNOLOGY FUND-B | 0.00                 | 1.45                | 0.00               | 1.45              | 88.0 | 1.28                 |
|                                                    | ACCOUNT #: LSR011219           | BUY 1 Units @0.0000   |                      |                     |                    |                   |      |                      |
| 06/18/2018                                         | ***-**-37IR - HARTZ, RENEE     | MFS TECHNOLOGY FUND-B | 0.00                 | 1.63                | 0.00               | 1.63              | 88.0 | 1.43                 |
|                                                    | ACCOUNT #: LSR011259           | BUY 1 Units @0.0000   |                      |                     |                    |                   |      |                      |
| 06/18/2018                                         | ***-**-75IR - EVANS, DIANE     | MFS TECHNOLOGY FUND-B | 0.00                 | 1.55                | 0.00               | 1.55              | 88.0 | 1.36                 |
|                                                    | ACCOUNT #: LSR011275           | BUY 1 Units @0.0000   |                      |                     |                    |                   |      |                      |
| 06/18/2018                                         | ***-**-653I - KOCHER, CLINTON  | MFS TECHNOLOGY FUND-B | 0.00                 | 2.40                | 0.00               | 2.40              | 88.0 | 2.11                 |
|                                                    | ACCOUNT #: LSR011300           | 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> OVERRIDE TRANSACTIONS (continued)</b>          |                               |                         |                      |                     |                    |                   |      |                      |
| <b> <u>BROKER: KURT GRUENEWALD (continued)</u></b> |                               |                         |                      |                     |                    |                   |      |                      |
| 06/18/2018                                         | ***-**-680I - HARRELL, DARYL  | MFS TECHNOLOGY FUND-B   | 0.00                 | 1.63                | 0.00               | 1.63              | 88.0 | 1.43                 |
|                                                    | ACCOUNT #: LSR011321          | BUY 1 Units @0.0000     |                      |                     |                    |                   |      |                      |
| 06/18/2018                                         | ***-**-978I - GUNN, KATHLEEN  | MFS TECHNOLOGY FUND-B   | 0.00                 | 0.94                | 0.00               | 0.94              | 88.0 | 0.83                 |
|                                                    | ACCOUNT #: LSR011345          | BUY 1 Units @0.0000     |                      |                     |                    |                   |      |                      |
| 06/18/2018                                         | ***-**-197I - GAMBINO, ANDREW | MFS TECHNOLOGY FUND-B   | 0.00                 | 0.51                | 0.00               | 0.51              | 88.0 | 0.45                 |
|                                                    | ACCOUNT #: LSR011465          | BUY 1 Units @0.0000     |                      |                     |                    |                   |      |                      |
| 06/18/2018                                         | ***-**-53IN - EVANS, ANDREW   | MFS TECHNOLOGY FUND-B   | 0.00                 | 0.93                | 0.00               | 0.93              | 88.0 | 0.82                 |
|                                                    | ACCOUNT #: LSR011483          | BUY 1 Units @0.0000     |                      |                     |                    |                   |      |                      |
| 06/18/2018                                         | ***-**-38IO - BROWN, TYLER    | MFS TECHNOLOGY FUND-B   | 0.00                 | 1.08                | 0.00               | 1.08              | 88.0 | 0.95                 |
|                                                    | ACCOUNT #: LSR011602          | BUY 1 Units @0.0000     |                      |                     |                    |                   |      |                      |
| 06/18/2018                                         | ***-**-03IO - MASTRANGELO,    | MFS TECHNOLOGY FUND-B   | 0.00                 | 2.00                | 0.00               | 2.00              | 88.0 | 1.76                 |
|                                                    | ACCOUNT #: LSR011679          | BUY 1 Units @0.0000     |                      |                     |                    |                   |      |                      |
| 06/18/2018                                         | ***-**-45IR - WILLIAMSON,     | MFS TECHNOLOGY FUND-B   | 0.00                 | 2.22                | 0.00               | 2.22              | 88.0 | 1.95                 |
|                                                    | ACCOUNT #: LSR011764          | BUY 1 Units @0.0000     |                      |                     |                    |                   |      |                      |
| 06/18/2018                                         | ***-**-51IO - SCALISE, MARY   | MFS TECHNOLOGY FUND-B   | 0.00                 | 1.75                | 0.00               | 1.75              | 88.0 | 1.54                 |
|                                                    | ACCOUNT #: LSR011837          | BUY 1 Units @0.0000     |                      |                     |                    |                   |      |                      |
| 06/18/2018                                         | ***-**-87IO - LASCALA, LAUREN | MFS TECHNOLOGY FUND-B   | 0.00                 | 0.35                | 0.00               | 0.35              | 88.0 | 0.31                 |
|                                                    | ACCOUNT #: LSR011858          | BUY 1 Units @0.0000     |                      |                     |                    |                   |      |                      |
| 06/18/2018                                         | ***-**-881J - EBERLEY, SUSAN  | MFS TOTAL RETURN FUND-B | 0.00                 | 1.39                | 0.00               | 1.39              | 88.0 | 1.22                 |
|                                                    | ACCOUNT #: LSR010856          | BUY 1 Units @0.0000     |                      |                     |                    |                   |      |                      |
| 06/18/2018                                         | ***-**-949I - ACEE, JOSPEH    | MFS TOTAL RETURN FUND-B | 0.00                 | 1.86                | 0.00               | 1.86              | 88.0 | 1.64                 |
|                                                    | ACCOUNT #: LSR010908          | BUY 1 Units @0.0000     |                      |                     |                    |                   |      |                      |
| 06/18/2018                                         | ***-**-960J - MASTRANGELO,    | MFS TOTAL RETURN FUND-B | 0.00                 | 1.89                | 0.00               | 1.89              | 88.0 | 1.66                 |
|                                                    | ACCOUNT #: LSR010966          | BUY 1 Units @0.0000     |                      |                     |                    |                   |      |                      |
| 06/18/2018                                         | ***-**-506J - CURRIERE JR, MR | MFS TOTAL RETURN FUND-B | 0.00                 | 0.98                | 0.00               | 0.98              | 88.0 | 0.86                 |
|                                                    | ACCOUNT #: LSR011121          | BUY 1 Units @0.0000     |                      |                     |                    |                   |      |                      |
| 06/18/2018                                         | ***-**-31IO - WILLIAMSON, FBO | MFS TOTAL RETURN FUND-B | 0.00                 | 2.19                | 0.00               | 2.19              | 88.0 | 1.93                 |
|                                                    | ACCOUNT #: LSR011172          | BUY 1 Units @0.0000     |                      |                     |                    |                   |      |                      |
| 06/18/2018                                         | ***-**-62IR - ROBBIANO, FBO   | MFS TOTAL RETURN FUND-B | 0.00                 | 0.88                | 0.00               | 0.88              | 88.0 | 0.77                 |
|                                                    | ACCOUNT #: LSR011195          | BUY 1 Units @0.0000     |                      |                     |                    |                   |      |                      |
| 06/18/2018                                         | ***-**-944O - MAYO, DEBORAH   | MFS UTILITIES FUND-A    | 0.00                 | 0.88                | 0.00               | 0.88              | 88.0 | 0.77                 |
|                                                    | ACCOUNT #: LSR011035          | 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> OVERRIDE TRANSACTIONS (continued) </b>          |                                |                      |                      |                     |                    |                   |      |                      |
| <b> <u>BROKER: KURT GRUENEWALD (continued)</u> </b> |                                |                      |                      |                     |                    |                   |      |                      |
| 06/18/2018                                          | ***-**-96IN - NESSIA, BONNIE   | MFS UTILITIES FUND-A | 0.00                 | 0.56                | 0.00               | 0.56              | 88.0 | 0.49                 |
|                                                     | ACCOUNT #: LSR011055           | BUY 1 Units @0.0000  |                      |                     |                    |                   |      |                      |
| 06/18/2018                                          | ***-**-808J - GORMAN, RANDY    | MFS UTILITIES FUND-A | 0.00                 | 0.58                | 0.00               | 0.58              | 88.0 | 0.51                 |
|                                                     | ACCOUNT #: LSR011087           | BUY 1 Units @0.0000  |                      |                     |                    |                   |      |                      |
| 06/18/2018                                          | ***-**-31IO - HARTZ, CLAUDIA   | MFS UTILITIES FUND-B | 0.00                 | 1.36                | 0.00               | 1.36              | 88.0 | 1.20                 |
|                                                     | ACCOUNT #: LSR010915           | BUY 1 Units @0.0000  |                      |                     |                    |                   |      |                      |
| 06/18/2018                                          | ***-**-15IN - PENDRAK, JOHN    | MFS UTILITIES FUND-B | 0.00                 | 1.87                | 0.00               | 1.87              | 88.0 | 1.65                 |
|                                                     | ACCOUNT #: LSR010948           | BUY 1 Units @0.0000  |                      |                     |                    |                   |      |                      |
| 06/18/2018                                          | ***-**-366S - GRUENEWALD,      | MFS UTILITIES FUND-B | 0.00                 | 0.73                | 0.00               | 0.73              | 88.0 | 0.64                 |
|                                                     | ACCOUNT #: LSR010990           | BUY 1 Units @0.0000  |                      |                     |                    |                   |      |                      |
| 06/18/2018                                          | ***-**-61IN - EVANS, DOLORES   | MFS UTILITIES FUND-B | 0.00                 | 0.28                | 0.00               | 0.28              | 88.0 | 0.25                 |
|                                                     | ACCOUNT #: LSR011023           | BUY 1 Units @0.0000  |                      |                     |                    |                   |      |                      |
| 06/18/2018                                          | ***-**-63TR - EVANS, AUDREY J  | MFS UTILITIES FUND-B | 0.00                 | 1.69                | 0.00               | 1.69              | 88.0 | 1.49                 |
|                                                     | ACCOUNT #: LSR011036           | BUY 1 Units @0.0000  |                      |                     |                    |                   |      |                      |
| 06/18/2018                                          | ***-**-306X - COBB, CHERRYL    | MFS UTILITIES FUND-B | 0.00                 | 1.99                | 0.00               | 1.99              | 88.0 | 1.75                 |
|                                                     | ACCOUNT #: LSR011037           | BUY 1 Units @0.0000  |                      |                     |                    |                   |      |                      |
| 06/18/2018                                          | ***-**-579I - RHYMESTINE,      | MFS UTILITIES FUND-B | 0.00                 | 2.06                | 0.00               | 2.06              | 88.0 | 1.81                 |
|                                                     | ACCOUNT #: LSR011082           | BUY 1 Units @0.0000  |                      |                     |                    |                   |      |                      |
| 06/18/2018                                          | ***-**-326J - GRANDE, MR       | MFS UTILITIES FUND-B | 0.00                 | 0.69                | 0.00               | 0.69              | 88.0 | 0.61                 |
|                                                     | ACCOUNT #: LSR011089           | BUY 1 Units @0.0000  |                      |                     |                    |                   |      |                      |
| 06/18/2018                                          | ***-**-326I - GRANDE, FBO MR   | MFS UTILITIES FUND-B | 0.00                 | 0.98                | 0.00               | 0.98              | 88.0 | 0.86                 |
|                                                     | ACCOUNT #: LSR011091           | BUY 1 Units @0.0000  |                      |                     |                    |                   |      |                      |
| 06/18/2018                                          | ***-**-13IN - RHYMESTINE,      | MFS UTILITIES FUND-B | 0.00                 | 0.87                | 0.00               | 0.87              | 88.0 | 0.77                 |
|                                                     | ACCOUNT #: LSR011106           | BUY 1 Units @0.0000  |                      |                     |                    |                   |      |                      |
| 06/18/2018                                          | ***-**-76IO - MCALLISTER, FBO  | MFS UTILITIES FUND-B | 0.00                 | 0.81                | 0.00               | 0.81              | 88.0 | 0.71                 |
|                                                     | ACCOUNT #: LSR011107           | BUY 1 Units @0.0000  |                      |                     |                    |                   |      |                      |
| 06/18/2018                                          | ***-**-367J - WAGNER, MRS LANT | MFS UTILITIES FUND-B | 0.00                 | 1.66                | 0.00               | 1.66              | 88.0 | 1.46                 |
|                                                     | ACCOUNT #: LSR011134           | BUY 1 Units @0.0000  |                      |                     |                    |                   |      |                      |
| 06/18/2018                                          | ***-**-31IO - WILLIAMSON, FBO  | MFS UTILITIES FUND-B | 0.00                 | 1.34                | 0.00               | 1.34              | 88.0 | 1.18                 |
|                                                     | ACCOUNT #: LSR011172           | BUY 1 Units @0.0000  |                      |                     |                    |                   |      |                      |
| 06/18/2018                                          | ***-**-64IO - PFAFF, GEORGE    | MFS UTILITIES FUND-B | 0.00                 | 1.70                | 0.00               | 1.70              | 88.0 | 1.50                 |
|                                                     | ACCOUNT #: LSR011185           | BUY 1 Units @0.0000  |                      |                     |                    |                   |      |                      |



# COMMISSION STATEMENT

June 18, 2018

DAVID GRIFFITH  
2108 Genesee St.  
Utica, NY 13502

BROKER #: A76  
BRANCH #01047 - 47 - GRIFFITH

| DATE                                               | CLIENT                         | INVESTMENT           | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|----------------------------------------------------|--------------------------------|----------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b> OVERRIDE TRANSACTIONS (continued)</b>          |                                |                      |                      |                     |                    |                   |      |                      |
| <b> <u>BROKER: KURT GRUENEWALD (continued)</u></b> |                                |                      |                      |                     |                    |                   |      |                      |
| 06/18/2018                                         | ***-**-653I - KOCHER, CLINTON  | MFS UTILITIES FUND-B | 0.00                 | 1.43                | 0.00               | 1.43              | 88.0 | 1.26                 |
|                                                    | ACCOUNT #: LSR011300           | BUY 1 Units @0.0000  |                      |                     |                    |                   |      |                      |
| 06/18/2018                                         | ***-**-62IN - EATON, DAVID     | MFS UTILITIES FUND-B | 0.00                 | 1.34                | 0.00               | 1.34              | 88.0 | 1.18                 |
|                                                    | ACCOUNT #: LSR011315           | BUY 1 Units @0.0000  |                      |                     |                    |                   |      |                      |
| 06/18/2018                                         | ***-**-978I - GUNN, KATHLEEN   | MFS UTILITIES FUND-B | 0.00                 | 0.40                | 0.00               | 0.40              | 88.0 | 0.35                 |
|                                                    | ACCOUNT #: LSR011345           | BUY 1 Units @0.0000  |                      |                     |                    |                   |      |                      |
| 06/18/2018                                         | ***-**-21IO - RADELL, SANDRA   | MFS UTILITIES FUND-B | 0.00                 | 1.64                | 0.00               | 1.64              | 88.0 | 1.44                 |
|                                                    | ACCOUNT #: LSR011392           | BUY 1 Units @0.0000  |                      |                     |                    |                   |      |                      |
| 06/18/2018                                         | ***-**-41IR - DINITTO, ALLISYN | MFS UTILITIES FUND-B | 0.00                 | 0.47                | 0.00               | 0.47              | 88.0 | 0.41                 |
|                                                    | ACCOUNT #: LSR011443           | BUY 1 Units @0.0000  |                      |                     |                    |                   |      |                      |
| 06/18/2018                                         | ***-**-197I - GAMBINO, ANDREW  | MFS UTILITIES FUND-B | 0.00                 | 0.12                | 0.00               | 0.12              | 88.0 | 0.11                 |
|                                                    | ACCOUNT #: LSR011465           | BUY 1 Units @0.0000  |                      |                     |                    |                   |      |                      |
| 06/18/2018                                         | ***-**-53IN - EVANS, ANDREW    | MFS UTILITIES FUND-B | 0.00                 | 0.55                | 0.00               | 0.55              | 88.0 | 0.48                 |
|                                                    | ACCOUNT #: LSR011483           | BUY 1 Units @0.0000  |                      |                     |                    |                   |      |                      |
| 06/18/2018                                         | ***-**-24IN - BLISS, RYAN      | MFS UTILITIES FUND-B | 0.00                 | 0.12                | 0.00               | 0.12              | 88.0 | 0.11                 |
|                                                    | ACCOUNT #: LSR011502           | BUY 1 Units @0.0000  |                      |                     |                    |                   |      |                      |
| 06/18/2018                                         | ***-**-51IN - GERACE, JOANNE   | MFS UTILITIES FUND-B | 0.00                 | 1.53                | 0.00               | 1.53              | 88.0 | 1.35                 |
|                                                    | ACCOUNT #: LSR011538           | BUY 1 Units @0.0000  |                      |                     |                    |                   |      |                      |
| 06/18/2018                                         | ***-**-38IO - BROWN, TYLER     | MFS UTILITIES FUND-B | 0.00                 | 0.59                | 0.00               | 0.59              | 88.0 | 0.52                 |
|                                                    | ACCOUNT #: LSR011602           | BUY 1 Units @0.0000  |                      |                     |                    |                   |      |                      |
| 06/18/2018                                         | ***-**-45IO - WILLIAMSON,      | MFS UTILITIES FUND-B | 0.00                 | 0.57                | 0.00               | 0.57              | 88.0 | 0.50                 |
|                                                    | ACCOUNT #: LSR011756           | BUY 1 Units @0.0000  |                      |                     |                    |                   |      |                      |
| 06/18/2018                                         | ***-**-235I - AUGUSTINE III,   | MFS UTILITIES FUND-C | 0.00                 | 9.05                | 0.00               | 9.05              | 88.0 | 7.96                 |
|                                                    | ACCOUNT #: LSR010845           | BUY 1 Units @0.0000  |                      |                     |                    |                   |      |                      |
| 06/18/2018                                         | ***-**-980I - ACEE, ELIZABETH  | MFS UTILITIES FUND-C | 0.00                 | 10.79               | 0.00               | 10.79             | 88.0 | 9.50                 |
|                                                    | ACCOUNT #: LSR010885           | BUY 1 Units @0.0000  |                      |                     |                    |                   |      |                      |
| 06/18/2018                                         | ***-**-48IO - CLARK, PATRICK   | MFS UTILITIES FUND-C | 0.00                 | 9.13                | 0.00               | 9.13              | 88.0 | 8.03                 |
|                                                    | ACCOUNT #: LSR010911           | BUY 1 Units @0.0000  |                      |                     |                    |                   |      |                      |
| 06/18/2018                                         | ***-**-031O - MCVOY, ROBERT    | MFS UTILITIES FUND-C | 0.00                 | 4.60                | 0.00               | 4.60              | 88.0 | 4.05                 |
|                                                    | ACCOUNT #: LSR010916           | BUY 1 Units @0.0000  |                      |                     |                    |                   |      |                      |
| 06/18/2018                                         | ***-**-065I - LAZIO, THOMAS    | MFS UTILITIES FUND-C | 0.00                 | 10.74               | 0.00               | 10.74             | 88.0 | 9.45                 |
|                                                    | ACCOUNT #: LSR010979           | BUY 1 Units @0.0000  |                      |                     |                    |                   |      |                      |



# COMMISSION STATEMENT

June 18, 2018

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BRANCH #01047 - 47 - GRIFFITH

| DATE                                               | CLIENT                         | INVESTMENT           | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|----------------------------------------------------|--------------------------------|----------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b> OVERRIDE TRANSACTIONS (continued)</b>          |                                |                      |                      |                     |                    |                   |      |                      |
| <b> <u>BROKER: KURT GRUENEWALD (continued)</u></b> |                                |                      |                      |                     |                    |                   |      |                      |
| 06/18/2018                                         | ***-**-00IO - LEE, GARY        | MFS UTILITIES FUND-C | 0.00                 | 10.71               | 0.00               | 10.71             | 88.0 | 9.42                 |
|                                                    | ACCOUNT #: LSR011059           | BUY 1 Units @0.0000  |                      |                     |                    |                   |      |                      |
| 06/18/2018                                         | ***-**-09IO - BATES, FBO MRS   | MFS UTILITIES FUND-C | 0.00                 | 11.25               | 0.00               | 11.25             | 88.0 | 9.90                 |
|                                                    | ACCOUNT #: LSR011117           | BUY 1 Units @0.0000  |                      |                     |                    |                   |      |                      |
| 06/18/2018                                         | ***-**-89IN - LEE, ROGER       | MFS UTILITIES FUND-C | 0.00                 | 6.73                | 0.00               | 6.73              | 88.0 | 5.92                 |
|                                                    | ACCOUNT #: LSR011166           | BUY 1 Units @0.0000  |                      |                     |                    |                   |      |                      |
| 06/18/2018                                         | ***-**-81IR - CAMPBELL,        | MFS UTILITIES FUND-C | 0.00                 | 7.00                | 0.00               | 7.00              | 88.0 | 6.16                 |
|                                                    | ACCOUNT #: LSR011223           | BUY 1 Units @0.0000  |                      |                     |                    |                   |      |                      |
| 06/18/2018                                         | ***-**-11IO - LYNN G.          | MFS UTILITIES FUND-C | 0.00                 | 9.72                | 0.00               | 9.72              | 88.0 | 8.55                 |
|                                                    | ACCOUNT #: LSR011239           | BUY 1 Units @0.0000  |                      |                     |                    |                   |      |                      |
| 06/18/2018                                         | ***-**-37IR - HARTZ, RENEE     | MFS UTILITIES FUND-C | 0.00                 | 0.06                | 0.00               | 0.06              | 88.0 | 0.05                 |
|                                                    | ACCOUNT #: LSR011259           | BUY 1 Units @0.0000  |                      |                     |                    |                   |      |                      |
| 06/18/2018                                         | ***-**-80IO - EVANS, RICHARD   | MFS UTILITIES FUND-C | 0.00                 | 7.47                | 0.00               | 7.47              | 88.0 | 6.57                 |
|                                                    | ACCOUNT #: LSR011276           | BUY 1 Units @0.0000  |                      |                     |                    |                   |      |                      |
| 06/18/2018                                         | ***-**-376I - BERBEN, GAIL     | MFS UTILITIES FUND-C | 0.00                 | 9.72                | 0.00               | 9.72              | 88.0 | 8.55                 |
|                                                    | ACCOUNT #: LSR011380           | BUY 1 Units @0.0000  |                      |                     |                    |                   |      |                      |
| 06/18/2018                                         | ***-**-45IO - JOHNSON, GREGORY | MFS UTILITIES FUND-C | 0.00                 | 8.67                | 0.00               | 8.67              | 88.0 | 7.63                 |
|                                                    | ACCOUNT #: LSR011421           | BUY 1 Units @0.0000  |                      |                     |                    |                   |      |                      |
| 06/18/2018                                         | ***-**-14IO - BUSHEY, MATTHEW  | MFS UTILITIES FUND-C | 0.00                 | 9.53                | 0.00               | 9.53              | 88.0 | 8.39                 |
|                                                    | ACCOUNT #: LSR011498           | BUY 1 Units @0.0000  |                      |                     |                    |                   |      |                      |
| 06/18/2018                                         | ***-**-22IO - CLINTON, STEPHEN | MFS UTILITIES FUND-C | 0.00                 | 0.02                | 0.00               | 0.02              | 88.0 | 0.02                 |
|                                                    | ACCOUNT #: LSR011684           | BUY 1 Units @0.0000  |                      |                     |                    |                   |      |                      |
| 06/18/2018                                         | ***-**-714O - LINES, JUDITH    | MFS UTILITIES FUND-C | 0.00                 | 0.01                | 0.00               | 0.01              | 88.0 | 0.01                 |
|                                                    | ACCOUNT #: LSR011763           | BUY 1 Units @0.0000  |                      |                     |                    |                   |      |                      |
| 06/18/2018                                         | ***-**-35IN - RUGGIERO, LAURIE | MFS UTILITIES FUND-C | 0.00                 | 0.03                | 0.00               | 0.03              | 88.0 | 0.03                 |
|                                                    | ACCOUNT #: LSR012314           | BUY 1 Units @0.0000  |                      |                     |                    |                   |      |                      |
| 06/18/2018                                         | ***-**-452I - ROBERTS, LILLIAN | MFS UTILITIES FUND-C | 0.00                 | 0.01                | 0.00               | 0.01              | 88.0 | 0.01                 |
|                                                    | ACCOUNT #: LSR012350           | BUY 1 Units @0.0000  |                      |                     |                    |                   |      |                      |
| 06/18/2018                                         | ***-**-851J - BLAKE, JAMES     | MFS UTILITIES FUND-C | 0.00                 | 0.01                | 0.00               | 0.01              | 88.0 | 0.01                 |
|                                                    | ACCOUNT #: LSR012393           | BUY 1 Units @0.0000  |                      |                     |                    |                   |      |                      |
| 06/18/2018                                         | ***-**-188I - BRADLEY, WAYNE   | MFS UTILITIES FUND-C | 0.00                 | 0.01                | 0.00               | 0.01              | 88.0 | 0.01                 |
|                                                    | ACCOUNT #: LSR012484           | 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> OVERRIDE TRANSACTIONS (continued)</b>          |                               |                                     |                      |                     |                    |                   |      |                      |
| <b> <u>BROKER: KURT GRUENEWALD (continued)</u></b> |                               |                                     |                      |                     |                    |                   |      |                      |
| 06/18/2018                                         | ***-**-13IN - ROTH, KAREN     | MFS VALUE FUND-B                    | 0.00                 | 1.02                | 0.00               | 1.02              | 88.0 | 0.90                 |
|                                                    | ACCOUNT #: LSR011954          | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 06/11/2018                                         | ***-**-761I - EVANS, DOLORES  | NETFLIX COM INC COM UNSOLICITED ORD | 27,150.00            | 271.50              | 0.00               | 271.50            | 88.0 | 238.92               |
|                                                    | ACCOUNT #: LSR011024          | BUY 75 Units @362.0000              |                      |                     |                    |                   |      |                      |
| 06/01/2018                                         | ***-**-169I - EVANS, PAUL     | NEW PERSPECTIVE FUND-A              | 0.00                 | 3.68                | 0.00               | 3.68              | 88.0 | 3.24                 |
|                                                    | ACCOUNT #: 00083808354        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 06/01/2018                                         | ***-**-072I - GAVALO, JULIE   | NEW PERSPECTIVE FUND-A              | 0.00                 | 16.27               | 0.00               | 16.27             | 88.0 | 14.32                |
|                                                    | ACCOUNT #: 00087112294        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 06/01/2018                                         | ***-**-72RI - GAVALO, JULIE   | NEW PERSPECTIVE FUND-A              | 0.00                 | 12.02               | 0.00               | 12.02             | 88.0 | 10.58                |
|                                                    | ACCOUNT #: 00087231055        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 06/01/2018                                         | ***-**-643I - PELLETIER, MARY | NEW PERSPECTIVE FUND-A              | 0.00                 | 3.40                | 0.00               | 3.40              | 88.0 | 2.99                 |
|                                                    | ACCOUNT #: 00083385810        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 06/01/2018                                         | ***-**-86IR - MEEKINS, LISA   | NEW PERSPECTIVE FUND-A              | 0.00                 | 0.48                | 0.00               | 0.48              | 88.0 | 0.42                 |
|                                                    | ACCOUNT #: 00083811211        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 06/01/2018                                         | ***-**-20JT - KOCHER, DENISE  | NEW PERSPECTIVE FUND-A              | 0.00                 | 1.67                | 0.00               | 1.67              | 88.0 | 1.47                 |
|                                                    | ACCOUNT #: 00083988898        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 06/18/2018                                         | ***-**-20IO - DEMETRI, AMELIA | NEW PERSPECTIVE FUND-A              | 0.00                 | 1.89                | 0.00               | 1.89              | 88.0 | 1.66                 |
|                                                    | ACCOUNT #: LSR010995          | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 06/01/2018                                         | ***-**-0462 - FRIOT, MICHAEL  | NEW PERSPECTIVE FUND-C              | 0.00                 | 4.46                | 0.00               | 4.46              | 88.0 | 3.92                 |
|                                                    | ACCOUNT #: 00084291287        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 06/01/2018                                         | ***-**-5375 - CARTER, LISA    | NEW WORLD FUND-529C                 | 0.00                 | 1.24                | 0.00               | 1.24              | 88.0 | 1.09                 |
|                                                    | ACCOUNT #: 00083849497        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 06/01/2018                                         | ***-**-2855 - KRECIDLO, MARTA | NEW WORLD FUND-A                    | 0.00                 | 0.46                | 0.00               | 0.46              | 88.0 | 0.40                 |
|                                                    | ACCOUNT #: 00083946447        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 06/01/2018                                         | ***-**-755P - SHEPPARD,       | NEW WORLD FUND-A                    | 0.00                 | 1.96                | 0.00               | 1.96              | 88.0 | 1.72                 |
|                                                    | ACCOUNT #: 00084218264        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 06/01/2018                                         | ***-**-20IR - DEMETRI, AMELIA | NEW WORLD FUND-A                    | 0.00                 | 4.53                | 0.00               | 4.53              | 88.0 | 3.99                 |
|                                                    | ACCOUNT #: 00074234451        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 06/01/2018                                         | ***-**-643I - PELLETIER, MARY | NEW WORLD FUND-A                    | 0.00                 | 2.31                | 0.00               | 2.31              | 88.0 | 2.03                 |
|                                                    | ACCOUNT #: 00083385810        | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 06/01/2018                                         | ***-**-86IR - MEEKINS, LISA   | NEW WORLD FUND-A                    | 0.00                 | 0.61                | 0.00               | 0.61              | 88.0 | 0.54                 |
|                                                    | ACCOUNT #: 00083811211        | BUY 0 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> OVERRIDE TRANSACTIONS (continued)</b>          |                                |                             |                      |                     |                    |                   |      |                      |
| <b> <u>BROKER: KURT GRUENEWALD (continued)</u></b> |                                |                             |                      |                     |                    |                   |      |                      |
| 06/01/2018                                         | ***-**-265I - MEEKINS, TIMOTHY | NEW WORLD FUND-A            | 0.00                 | 0.73                | 0.00               | 0.73              | 88.0 | 0.64                 |
|                                                    | ACCOUNT #: 00083811243         | BUY 0 Units @0.0000         |                      |                     |                    |                   |      |                      |
| 06/01/2018                                         | ***-**-443I - LATUS, FREDERICK | NEW WORLD FUND-A            | 0.00                 | 0.66                | 0.00               | 0.66              | 88.0 | 0.58                 |
|                                                    | ACCOUNT #: 00083932986         | BUY 0 Units @0.0000         |                      |                     |                    |                   |      |                      |
| 06/01/2018                                         | ***-**-20JT - KOCHER, DENISE   | NEW WORLD FUND-A            | 0.00                 | 1.12                | 0.00               | 1.12              | 88.0 | 0.99                 |
|                                                    | ACCOUNT #: 00083988898         | BUY 0 Units @0.0000         |                      |                     |                    |                   |      |                      |
| 06/01/2018                                         | ***-**-5375 - CARTER, LISA     | NEW WORLD FUND-A            | 0.00                 | 0.25                | 0.00               | 0.25              | 88.0 | 0.22                 |
|                                                    | ACCOUNT #: 00084131722         | BUY 0 Units @0.0000         |                      |                     |                    |                   |      |                      |
| 06/01/2018                                         | ***-**-753J - FALCHI, VALERIE  | NEW WORLD FUND-A            | 0.00                 | 0.80                | 0.00               | 0.80              | 88.0 | 0.70                 |
|                                                    | ACCOUNT #: 00084317946         | BUY 0 Units @0.0000         |                      |                     |                    |                   |      |                      |
| 06/01/2018                                         | ***-**-5414 - KARAM, SEGEAN    | NEW WORLD FUND-A            | 0.00                 | 0.28                | 0.00               | 0.28              | 88.0 | 0.25                 |
|                                                    | ACCOUNT #: 00084545682         | BUY 0 Units @0.0000         |                      |                     |                    |                   |      |                      |
| 06/01/2018                                         | ***-**-6981 - KARAM, MARY ANN  | NEW WORLD FUND-A            | 0.00                 | 0.29                | 0.00               | 0.29              | 88.0 | 0.26                 |
|                                                    | ACCOUNT #: 00084545771         | BUY 0 Units @0.0000         |                      |                     |                    |                   |      |                      |
| 06/18/2018                                         | ***-**-702I - KOCHER, MICHAEL  | NEW WORLD FUND-A            | 0.00                 | 2.80                | 0.00               | 2.80              | 88.0 | 2.46                 |
|                                                    | ACCOUNT #: LSR010954           | BUY 1 Units @0.0000         |                      |                     |                    |                   |      |                      |
| 06/18/2018                                         | ***-**-326I - GRANDE, FBO MR   | NEW WORLD FUND-A            | 0.00                 | 2.55                | 0.00               | 2.55              | 88.0 | 2.24                 |
|                                                    | ACCOUNT #: LSR011091           | BUY 1 Units @0.0000         |                      |                     |                    |                   |      |                      |
| 06/18/2018                                         | ***-**-680I - HARRELL, DARYL   | NEW WORLD FUND-A            | 0.00                 | 0.60                | 0.00               | 0.60              | 88.0 | 0.53                 |
|                                                    | ACCOUNT #: LSR011321           | BUY 1 Units @0.0000         |                      |                     |                    |                   |      |                      |
| 06/18/2018                                         | ***-**-128I - BASHANT, THOMAS  | NEW WORLD FUND-A            | 0.00                 | 0.94                | 0.00               | 0.94              | 88.0 | 0.83                 |
|                                                    | ACCOUNT #: LSR011387           | BUY 1 Units @0.0000         |                      |                     |                    |                   |      |                      |
| 06/18/2018                                         | ***-**-30TR - AND SANDRA       | NEW WORLD FUND-A            | 0.00                 | 2.10                | 0.00               | 2.10              | 88.0 | 1.85                 |
|                                                    | ACCOUNT #: LSR011939           | BUY 1 Units @0.0000         |                      |                     |                    |                   |      |                      |
| 06/01/2018                                         | ***-**-0462 - FRIOT, MICHAEL   | NEW WORLD FUND-C            | 0.00                 | 3.14                | 0.00               | 3.14              | 88.0 | 2.76                 |
|                                                    | ACCOUNT #: 00084291287         | BUY 0 Units @0.0000         |                      |                     |                    |                   |      |                      |
| 06/01/2018                                         | ***-**-680I - HARRELL, DARYL   | NEW WORLD FUND-C            | 0.00                 | 7.55                | 0.00               | 7.55              | 88.0 | 6.64                 |
|                                                    | ACCOUNT #: 00083996385         | BUY 0 Units @0.0000         |                      |                     |                    |                   |      |                      |
| 06/01/2018                                         | ***-**-753J - FALCHI, VALERIE  | NEW WORLD FUND-C            | 0.00                 | 3.92                | 0.00               | 3.92              | 88.0 | 3.45                 |
|                                                    | ACCOUNT #: 00084317946         | BUY 0 Units @0.0000         |                      |                     |                    |                   |      |                      |
| 06/18/2018                                         | ***-**-20IR - DEMETRI, AMELIA  | NYA JPM 529 MOD AGE-BASED A | 50.00                | 2.38                | 0.00               | 2.38              | 88.0 | 2.09                 |
|                                                    | ACCOUNT #: 77854436501         | BUY 0 Units @0.0000         |                      |                     |                    |                   |      |                      |



# COMMISSION STATEMENT

June 18, 2018

DAVID GRIFFITH  
2108 Genesee St.  
Utica, NY 13502

BROKER #: A76  
BRANCH #01047 - 47 - GRIFFITH

| DATE                                               | CLIENT                         | INVESTMENT                          | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|----------------------------------------------------|--------------------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b> OVERRIDE TRANSACTIONS (continued)</b>          |                                |                                     |                      |                     |                    |                   |      |                      |
| <b> <u>BROKER: KURT GRUENEWALD (continued)</u></b> |                                |                                     |                      |                     |                    |                   |      |                      |
| 06/15/2018                                         | ***-**-7918 - BAREFOOT, JOHN   | PACIFIC LIFE SE5-NYB DTCC           | 108.00               | 3.24                | 0.00               | 3.24              | 88.0 | 2.85                 |
|                                                    | ACCOUNT #: VP71073430          | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 06/18/2018                                         | ***-**-0710 - FAMOLARO, JAMES  | PRUDENTIAL JENNISON 20/20 FOCUS CLA | 0.00                 | 3.32                | 0.00               | 3.32              | 88.0 | 2.92                 |
|                                                    | ACCOUNT #: LSR011280           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 06/18/2018                                         | ***-**-254I - AUGUSTINE, LINDA | PRUDENTIAL JENNISON NATURAL RESOURC | 0.00                 | 0.51                | 0.00               | 0.51              | 88.0 | 0.45                 |
|                                                    | ACCOUNT #: LSR010846           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 06/18/2018                                         | ***-**-15IN - PENDRAK, JOHN    | PRUDENTIAL JENNISON NATURAL RESOURC | 0.00                 | 2.66                | 0.00               | 2.66              | 88.0 | 2.34                 |
|                                                    | ACCOUNT #: LSR010948           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 06/18/2018                                         | ***-**-366S - GRUENEWALD,      | PRUDENTIAL JENNISON NATURAL RESOURC | 0.00                 | 0.35                | 0.00               | 0.35              | 88.0 | 0.31                 |
|                                                    | ACCOUNT #: LSR010990           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 06/18/2018                                         | ***-**-944O - MAYO, DEBORAH    | PRUDENTIAL JENNISON NATURAL RESOURC | 0.00                 | 0.45                | 0.00               | 0.45              | 88.0 | 0.40                 |
|                                                    | ACCOUNT #: LSR011035           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 06/18/2018                                         | ***-**-861I - SANGER, LAWRENCE | PRUDENTIAL JENNISON NATURAL RESOURC | 0.00                 | 0.59                | 0.00               | 0.59              | 88.0 | 0.52                 |
|                                                    | ACCOUNT #: LSR011095           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 06/18/2018                                         | ***-**-128I - BASHANT, THOMAS  | PRUDENTIAL JENNISON NATURAL RESOURC | 0.00                 | 0.36                | 0.00               | 0.36              | 88.0 | 0.32                 |
|                                                    | ACCOUNT #: LSR011387           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 06/18/2018                                         | ***-**-30TR - AND SANDRA       | PRUDENTIAL JENNISON NATURAL RESOURC | 0.00                 | 0.57                | 0.00               | 0.57              | 88.0 | 0.50                 |
|                                                    | ACCOUNT #: LSR011939           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 06/18/2018                                         | ***-**-254I - AUGUSTINE, LINDA | PRUDENTIAL JENNISON NATURAL RESOURC | 0.00                 | 0.01                | 0.00               | 0.01              | 88.0 | 0.01                 |
|                                                    | ACCOUNT #: LSR010846           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 06/18/2018                                         | ***-**-15IN - PENDRAK, JOHN    | PRUDENTIAL JENNISON NATURAL RESOURC | 0.00                 | 0.06                | 0.00               | 0.06              | 88.0 | 0.05                 |
|                                                    | ACCOUNT #: LSR010948           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 06/15/2018                                         | ***-**-930J - SANGER, KEVIN    | RESOURCE CREDIT INCOME FUND C       | 25,000.00            | 250.00              | 0.00               | 250.00            | 88.0 | 220.00               |
|                                                    | ACCOUNT #: LSR010940           | BUY 2195 Units @11.3900             |                      |                     |                    |                   |      |                      |
| 06/18/2018                                         | ***-**-311O - HARTZ, CLAUDIA   | RESOURCE REAL ESTATE-NFS            | 0.00                 | 5.93                | 0.00               | 5.93              | 88.0 | 5.22                 |
|                                                    | ACCOUNT #: LSR010915           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 06/18/2018                                         | ***-**-72IN - GAVALO, JULIE    | RESOURCE REAL ESTATE-NFS            | 0.00                 | 3.94                | 0.00               | 3.94              | 88.0 | 3.47                 |
|                                                    | ACCOUNT #: LSR010921           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 06/18/2018                                         | ***-**-930I - SANGER, KEVIN    | RESOURCE REAL ESTATE-NFS            | 0.00                 | 13.10               | 0.00               | 13.10             | 88.0 | 11.53                |
|                                                    | ACCOUNT #: LSR010941           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 06/18/2018                                         | ***-**-628I - SANGER, SANDRA   | RESOURCE REAL ESTATE-NFS            | 0.00                 | 5.59                | 0.00               | 5.59              | 88.0 | 4.92                 |
|                                                    | ACCOUNT #: LSR010942           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |



# COMMISSION STATEMENT

June 18, 2018

DAVID GRIFFITH  
2108 Genesee St.  
Utica, NY 13502

BROKER #: A76  
BRANCH #01047 - 47 - GRIFFITH

| DATE                                               | CLIENT                         | INVESTMENT               | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|----------------------------------------------------|--------------------------------|--------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b> OVERRIDE TRANSACTIONS (continued)</b>          |                                |                          |                      |                     |                    |                   |      |                      |
| <b> <u>BROKER: KURT GRUENEWALD (continued)</u></b> |                                |                          |                      |                     |                    |                   |      |                      |
| 06/18/2018                                         | ***-**-15IN - PENDRAK, JOHN    | RESOURCE REAL ESTATE-NFS | 0.00                 | 3.13                | 0.00               | 3.13              | 88.0 | 2.75                 |
|                                                    | ACCOUNT #: LSR010948           | BUY 1 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 06/18/2018                                         | ***-**-567I - FRANZ, ALICE     | RESOURCE REAL ESTATE-NFS | 0.00                 | 6.54                | 0.00               | 6.54              | 88.0 | 5.76                 |
|                                                    | ACCOUNT #: LSR010960           | BUY 1 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 06/18/2018                                         | ***-**-51IO - CAIN, TIMOTHY    | RESOURCE REAL ESTATE-NFS | 0.00                 | 3.53                | 0.00               | 3.53              | 88.0 | 3.11                 |
|                                                    | ACCOUNT #: LSR011007           | BUY 1 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 06/18/2018                                         | ***-**-761I - EVANS, DOLORES   | RESOURCE REAL ESTATE-NFS | 0.00                 | 6.86                | 0.00               | 6.86              | 88.0 | 6.04                 |
|                                                    | ACCOUNT #: LSR011024           | BUY 1 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 06/18/2018                                         | ***-**-63TR - EVANS, AUDREY J  | RESOURCE REAL ESTATE-NFS | 0.00                 | 11.79               | 0.00               | 11.79             | 88.0 | 10.38                |
|                                                    | ACCOUNT #: LSR011036           | BUY 1 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 06/18/2018                                         | ***-**-44IO - MAYO, DEBORAH    | RESOURCE REAL ESTATE-NFS | 0.00                 | 25.61               | 0.00               | 25.61             | 88.0 | 22.54                |
|                                                    | ACCOUNT #: LSR011079           | BUY 1 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 06/18/2018                                         | ***-**-579I - RHYMESTINE,      | RESOURCE REAL ESTATE-NFS | 0.00                 | 3.13                | 0.00               | 3.13              | 88.0 | 2.75                 |
|                                                    | ACCOUNT #: LSR011082           | BUY 1 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 06/18/2018                                         | ***-**-861I - SANGER, LAWRENCE | RESOURCE REAL ESTATE-NFS | 0.00                 | 7.85                | 0.00               | 7.85              | 88.0 | 6.91                 |
|                                                    | ACCOUNT #: LSR011095           | BUY 1 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 06/18/2018                                         | ***-**-89IN - LEE, ROGER       | RESOURCE REAL ESTATE-NFS | 0.00                 | 14.71               | 0.00               | 14.71             | 88.0 | 12.94                |
|                                                    | ACCOUNT #: LSR011166           | BUY 1 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 06/18/2018                                         | ***-**-664J - PFAFF, GEORGE    | RESOURCE REAL ESTATE-NFS | 0.00                 | 2.03                | 0.00               | 2.03              | 88.0 | 1.79                 |
|                                                    | ACCOUNT #: LSR011184           | BUY 1 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 06/18/2018                                         | ***-**-29IO - MASSOUD,         | RESOURCE REAL ESTATE-NFS | 0.00                 | 6.52                | 0.00               | 6.52              | 88.0 | 5.74                 |
|                                                    | ACCOUNT #: LSR011217           | BUY 1 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 06/18/2018                                         | ***-**-473J - HUSTON,          | RESOURCE REAL ESTATE-NFS | 0.00                 | 6.54                | 0.00               | 6.54              | 88.0 | 5.76                 |
|                                                    | ACCOUNT #: LSR011228           | BUY 1 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 06/18/2018                                         | ***-**-11IO - LYNN G.          | RESOURCE REAL ESTATE-NFS | 0.00                 | 1.67                | 0.00               | 1.67              | 88.0 | 1.47                 |
|                                                    | ACCOUNT #: LSR011239           | BUY 1 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 06/18/2018                                         | ***-**-653I - KOCHER, CLINTON  | RESOURCE REAL ESTATE-NFS | 0.00                 | 6.52                | 0.00               | 6.52              | 88.0 | 5.74                 |
|                                                    | ACCOUNT #: LSR011300           | BUY 1 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 06/18/2018                                         | ***-**-37IO - MCCLUSKY, MARK   | RESOURCE REAL ESTATE-NFS | 0.00                 | 3.29                | 0.00               | 3.29              | 88.0 | 2.90                 |
|                                                    | ACCOUNT #: LSR011579           | BUY 1 Units @0.0000      |                      |                     |                    |                   |      |                      |
| 06/18/2018                                         | ***-**-86IN - LEE, KEVIN       | RESOURCE REAL ESTATE-NFS | 0.00                 | 6.49                | 0.00               | 6.49              | 88.0 | 5.71                 |
|                                                    | ACCOUNT #: LSR011613           | BUY 1 Units @0.0000      |                      |                     |                    |                   |      |                      |



# COMMISSION STATEMENT

June 18, 2018

DAVID GRIFFITH  
2108 Genesee St.  
Utica, NY 13502

BROKER #: A76  
BRANCH #01047 - 47 - GRIFFITH

| DATE                                               | CLIENT                                                 | INVESTMENT                                      | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|----------------------------------------------------|--------------------------------------------------------|-------------------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b> OVERRIDE TRANSACTIONS (continued)</b>          |                                                        |                                                 |                      |                     |                    |                   |      |                      |
| <b> <u>BROKER: KURT GRUENEWALD (continued)</u></b> |                                                        |                                                 |                      |                     |                    |                   |      |                      |
| 06/18/2018                                         | ***-**-531J - WILLIAMSON,<br>ACCOUNT #: LSR011716      | RESOURCE REAL ESTATE-NFS<br>BUY 1 Units @0.0000 | 0.00                 | 12.90               | 0.00               | 12.90             | 88.0 | 11.35                |
| 06/18/2018                                         | ***-**-7140 - LINES, JUDITH<br>ACCOUNT #: LSR011763    | RESOURCE REAL ESTATE-NFS<br>BUY 1 Units @0.0000 | 0.00                 | 5.17                | 0.00               | 5.17              | 88.0 | 4.55                 |
| 06/18/2018                                         | ***-**-31IO - HARTZ, CLAUDIA<br>ACCOUNT #: LSR010915   | RESOURCE REAL ESTATE-NFS<br>BUY 1 Units @0.0000 | 0.00                 | 1.98                | 0.00               | 1.98              | 88.0 | 1.74                 |
| 06/18/2018                                         | ***-**-72IN - GAVALO, JULIE<br>ACCOUNT #: LSR010921    | RESOURCE REAL ESTATE-NFS<br>BUY 1 Units @0.0000 | 0.00                 | 1.31                | 0.00               | 1.31              | 88.0 | 1.15                 |
| 06/18/2018                                         | ***-**-930I - SANGER, KEVIN<br>ACCOUNT #: LSR010941    | RESOURCE REAL ESTATE-NFS<br>BUY 1 Units @0.0000 | 0.00                 | 4.37                | 0.00               | 4.37              | 88.0 | 3.85                 |
| 06/18/2018                                         | ***-**-628I - SANGER, SANDRA<br>ACCOUNT #: LSR010942   | RESOURCE REAL ESTATE-NFS<br>BUY 1 Units @0.0000 | 0.00                 | 1.86                | 0.00               | 1.86              | 88.0 | 1.64                 |
| 06/18/2018                                         | ***-**-15IN - PENDRAK, JOHN<br>ACCOUNT #: LSR010948    | RESOURCE REAL ESTATE-NFS<br>BUY 1 Units @0.0000 | 0.00                 | 1.04                | 0.00               | 1.04              | 88.0 | 0.92                 |
| 06/18/2018                                         | ***-**-567I - FRANZ, ALICE<br>ACCOUNT #: LSR010960     | RESOURCE REAL ESTATE-NFS<br>BUY 1 Units @0.0000 | 0.00                 | 2.18                | 0.00               | 2.18              | 88.0 | 1.92                 |
| 06/18/2018                                         | ***-**-51IO - CAIN, TIMOTHY<br>ACCOUNT #: LSR011007    | RESOURCE REAL ESTATE-NFS<br>BUY 1 Units @0.0000 | 0.00                 | 1.18                | 0.00               | 1.18              | 88.0 | 1.04                 |
| 06/18/2018                                         | ***-**-761I - EVANS, DOLORES<br>ACCOUNT #: LSR011024   | RESOURCE REAL ESTATE-NFS<br>BUY 1 Units @0.0000 | 0.00                 | 2.29                | 0.00               | 2.29              | 88.0 | 2.02                 |
| 06/18/2018                                         | ***-**-63TR - EVANS, AUDREY J<br>ACCOUNT #: LSR011036  | RESOURCE REAL ESTATE-NFS<br>BUY 1 Units @0.0000 | 0.00                 | 3.93                | 0.00               | 3.93              | 88.0 | 3.46                 |
| 06/18/2018                                         | ***-**-44IO - MAYO, DEBORAH<br>ACCOUNT #: LSR011079    | RESOURCE REAL ESTATE-NFS<br>BUY 1 Units @0.0000 | 0.00                 | 8.54                | 0.00               | 8.54              | 88.0 | 7.52                 |
| 06/18/2018                                         | ***-**-579I - RHYMESTINE,<br>ACCOUNT #: LSR011082      | RESOURCE REAL ESTATE-NFS<br>BUY 1 Units @0.0000 | 0.00                 | 1.04                | 0.00               | 1.04              | 88.0 | 0.92                 |
| 06/18/2018                                         | ***-**-861I - SANGER, LAWRENCE<br>ACCOUNT #: LSR011095 | RESOURCE REAL ESTATE-NFS<br>BUY 1 Units @0.0000 | 0.00                 | 2.62                | 0.00               | 2.62              | 88.0 | 2.31                 |
| 06/18/2018                                         | ***-**-89IN - LEE, ROGER<br>ACCOUNT #: LSR011166       | RESOURCE REAL ESTATE-NFS<br>BUY 1 Units @0.0000 | 0.00                 | 4.90                | 0.00               | 4.90              | 88.0 | 4.31                 |
| 06/18/2018                                         | ***-**-664J - PFAFF, GEORGE<br>ACCOUNT #: LSR011184    | RESOURCE REAL ESTATE-NFS<br>BUY 1 Units @0.0000 | 0.00                 | 0.68                | 0.00               | 0.68              | 88.0 | 0.60                 |





# COMMISSION STATEMENT

June 18, 2018

DAVID GRIFFITH  
2108 Genesee St.  
Utica, NY 13502

BROKER #: A76  
BRANCH #01047 - 47 - GRIFFITH

| DATE                                               | CLIENT                                                  | INVESTMENT                                                 | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|----------------------------------------------------|---------------------------------------------------------|------------------------------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b> OVERRIDE TRANSACTIONS (continued)</b>          |                                                         |                                                            |                      |                     |                    |                   |      |                      |
| <b> <u>BROKER: KURT GRUENEWALD (continued)</u></b> |                                                         |                                                            |                      |                     |                    |                   |      |                      |
| 06/18/2018                                         | ***-**-29IO - MASSOUD,<br>ACCOUNT #: LSR011217          | RESOURCE REAL ESTATE-NFS<br>BUY 1 Units @0.0000            | 0.00                 | 2.17                | 0.00               | 2.17              | 88.0 | 1.91                 |
| 06/18/2018                                         | ***-**-473J - HUSTON,<br>ACCOUNT #: LSR011228           | RESOURCE REAL ESTATE-NFS<br>BUY 1 Units @0.0000            | 0.00                 | 2.18                | 0.00               | 2.18              | 88.0 | 1.92                 |
| 06/18/2018                                         | ***-**-11IO - LYNN G.<br>ACCOUNT #: LSR011239           | RESOURCE REAL ESTATE-NFS<br>BUY 1 Units @0.0000            | 0.00                 | 0.56                | 0.00               | 0.56              | 88.0 | 0.49                 |
| 06/18/2018                                         | ***-**-653I - KOCHER, CLINTON<br>ACCOUNT #: LSR011300   | RESOURCE REAL ESTATE-NFS<br>BUY 1 Units @0.0000            | 0.00                 | 2.17                | 0.00               | 2.17              | 88.0 | 1.91                 |
| 06/18/2018                                         | ***-**-37IO - MCCLUSKY, MARK<br>ACCOUNT #: LSR011579    | RESOURCE REAL ESTATE-NFS<br>BUY 1 Units @0.0000            | 0.00                 | 1.10                | 0.00               | 1.10              | 88.0 | 0.97                 |
| 06/18/2018                                         | ***-**-86IN - LEE, KEVIN<br>ACCOUNT #: LSR011613        | RESOURCE REAL ESTATE-NFS<br>BUY 1 Units @0.0000            | 0.00                 | 2.16                | 0.00               | 2.16              | 88.0 | 1.90                 |
| 06/18/2018                                         | ***-**-531J - WILLIAMSON,<br>ACCOUNT #: LSR011716       | RESOURCE REAL ESTATE-NFS<br>BUY 1 Units @0.0000            | 0.00                 | 4.30                | 0.00               | 4.30              | 88.0 | 3.78                 |
| 06/18/2018                                         | ***-**-714O - LINES, JUDITH<br>ACCOUNT #: LSR011763     | RESOURCE REAL ESTATE-NFS<br>BUY 1 Units @0.0000            | 0.00                 | 1.72                | 0.00               | 1.72              | 88.0 | 1.51                 |
| 06/01/2018                                         | ***-**-0462 - FRIOT, MICHAEL<br>ACCOUNT #: 00084291287  | SHORT-TERM BOND FUND OF AMERICA - A<br>BUY 0 Units @0.0000 | 0.00                 | 1.03                | 0.00               | 1.03              | 88.0 | 0.91                 |
| 06/01/2018                                         | ***-**-8158 - BEHA, DEBORAH<br>ACCOUNT #: 00058770149   | SHORT-TERM BOND FUND OF AMERICA - A<br>BUY 0 Units @0.0000 | 0.00                 | 1.50                | 0.00               | 1.50              | 88.0 | 1.32                 |
| 06/01/2018                                         | ***-**-753J - FALCHI, VALERIE<br>ACCOUNT #: 00084317946 | SHORT-TERM BOND FUND OF AMERICA - A<br>BUY 0 Units @0.0000 | 0.00                 | 0.70                | 0.00               | 0.70              | 88.0 | 0.62                 |
| 06/01/2018                                         | ***-**-5414 - KARAM, SEGEAN<br>ACCOUNT #: 00084545682   | SHORT-TERM BOND FUND OF AMERICA - A<br>BUY 0 Units @0.0000 | 0.00                 | 0.32                | 0.00               | 0.32              | 88.0 | 0.28                 |
| 06/01/2018                                         | ***-**-6981 - KARAM, MARY ANN<br>ACCOUNT #: 00084545771 | SHORT-TERM BOND FUND OF AMERICA - A<br>BUY 0 Units @0.0000 | 0.00                 | 0.33                | 0.00               | 0.33              | 88.0 | 0.29                 |
| 06/01/2018                                         | ***-**-2855 - KRECIDLO, MARTA<br>ACCOUNT #: 00083946447 | SMALLCAP WORLD FUND-A<br>BUY 0 Units @0.0000               | 0.00                 | 0.46                | 0.00               | 0.46              | 88.0 | 0.40                 |
| 06/01/2018                                         | ***-**-755P - SHEPPARD,<br>ACCOUNT #: 00084218264       | SMALLCAP WORLD FUND-A<br>BUY 0 Units @0.0000               | 0.00                 | 2.93                | 0.00               | 2.93              | 88.0 | 2.58                 |
| 06/01/2018                                         | ***-**-8158 - BEHA, DEBORAH<br>ACCOUNT #: 00058770149   | SMALLCAP WORLD FUND-A<br>BUY 0 Units @0.0000               | 0.00                 | 1.76                | 0.00               | 1.76              | 88.0 | 1.55                 |



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BROKER #: A76  
BRANCH #01047 - 47 - GRIFFITH

| DATE                                               | CLIENT                         | INVESTMENT            | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|----------------------------------------------------|--------------------------------|-----------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b> OVERRIDE TRANSACTIONS (continued)</b>          |                                |                       |                      |                     |                    |                   |      |                      |
| <b> <u>BROKER: KURT GRUENEWALD (continued)</u></b> |                                |                       |                      |                     |                    |                   |      |                      |
| 06/01/2018                                         | ***-**-265I - MEEKINS, TIMOTHY | SMALLCAP WORLD FUND-A | 0.00                 | 1.43                | 0.00               | 1.43              | 88.0 | 1.26                 |
|                                                    | ACCOUNT #: 00083811243         | BUY 0 Units @0.0000   |                      |                     |                    |                   |      |                      |
| 06/01/2018                                         | ***-**-443I - LATUS, FREDERICK | SMALLCAP WORLD FUND-A | 0.00                 | 0.28                | 0.00               | 0.28              | 88.0 | 0.25                 |
|                                                    | ACCOUNT #: 00083932986         | BUY 0 Units @0.0000   |                      |                     |                    |                   |      |                      |
| 06/01/2018                                         | ***-**-5375 - CARTER, LISA     | SMALLCAP WORLD FUND-A | 0.00                 | 0.36                | 0.00               | 0.36              | 88.0 | 0.32                 |
|                                                    | ACCOUNT #: 00084131722         | BUY 0 Units @0.0000   |                      |                     |                    |                   |      |                      |
| 06/01/2018                                         | ***-**-753J - FALCHI, VALERIE  | SMALLCAP WORLD FUND-A | 0.00                 | 0.45                | 0.00               | 0.45              | 88.0 | 0.40                 |
|                                                    | ACCOUNT #: 00084317946         | BUY 0 Units @0.0000   |                      |                     |                    |                   |      |                      |
| 06/01/2018                                         | ***-**-5414 - KARAM, SEGEAN    | SMALLCAP WORLD FUND-A | 0.00                 | 0.43                | 0.00               | 0.43              | 88.0 | 0.38                 |
|                                                    | ACCOUNT #: 00084545682         | BUY 0 Units @0.0000   |                      |                     |                    |                   |      |                      |
| 06/01/2018                                         | ***-**-6981 - KARAM, MARY ANN  | SMALLCAP WORLD FUND-A | 0.00                 | 0.44                | 0.00               | 0.44              | 88.0 | 0.39                 |
|                                                    | ACCOUNT #: 00084545771         | BUY 0 Units @0.0000   |                      |                     |                    |                   |      |                      |
| 06/18/2018                                         | ***-**-680I - HARRELL, DARYL   | SMALLCAP WORLD FUND-A | 0.00                 | 0.90                | 0.00               | 0.90              | 88.0 | 0.79                 |
|                                                    | ACCOUNT #: LSR011321           | BUY 1 Units @0.0000   |                      |                     |                    |                   |      |                      |
| 06/01/2018                                         | ***-**-169I - EVANS, PAUL      | SMALLCAP WORLD FUND-C | 0.00                 | 2.68                | 0.00               | 2.68              | 88.0 | 2.36                 |
|                                                    | ACCOUNT #: 00083808354         | BUY 0 Units @0.0000   |                      |                     |                    |                   |      |                      |
| 06/01/2018                                         | ***-**-0851 - LALLIER, JAMES   | SMALLCAP WORLD FUND-C | 0.00                 | 10.41               | 0.00               | 10.41             | 88.0 | 9.16                 |
|                                                    | ACCOUNT #: 00068584532         | BUY 0 Units @0.0000   |                      |                     |                    |                   |      |                      |
| 06/18/2018                                         | ***-**-382I - SATTERLY, NEIL   | SMALLCAP WORLD FUND-C | 0.00                 | 8.95                | 0.00               | 8.95              | 88.0 | 7.88                 |
|                                                    | ACCOUNT #: LSR010867           | BUY 1 Units @0.0000   |                      |                     |                    |                   |      |                      |
| 06/18/2018                                         | ***-**-567I - FRANZ, ALICE     | SMALLCAP WORLD FUND-C | 0.00                 | 7.35                | 0.00               | 7.35              | 88.0 | 6.47                 |
|                                                    | ACCOUNT #: LSR010960           | BUY 1 Units @0.0000   |                      |                     |                    |                   |      |                      |
| 06/18/2018                                         | ***-**-44IO - MAYO, DEBORAH    | SMALLCAP WORLD FUND-C | 0.00                 | 12.39               | 0.00               | 12.39             | 88.0 | 10.90                |
|                                                    | ACCOUNT #: LSR011079           | BUY 1 Units @0.0000   |                      |                     |                    |                   |      |                      |
| 06/18/2018                                         | ***-**-09IO - BATES, FBO MRS   | SMALLCAP WORLD FUND-C | 0.00                 | 12.04               | 0.00               | 12.04             | 88.0 | 10.60                |
|                                                    | ACCOUNT #: LSR011117           | BUY 1 Units @0.0000   |                      |                     |                    |                   |      |                      |
| 06/18/2018                                         | ***-**-11IO - LYNN G.          | SMALLCAP WORLD FUND-C | 0.00                 | 12.52               | 0.00               | 12.52             | 88.0 | 11.02                |
|                                                    | ACCOUNT #: LSR011239           | BUY 1 Units @0.0000   |                      |                     |                    |                   |      |                      |
| 06/18/2018                                         | ***-**-45IO - JOHNSON, GREGORY | SMALLCAP WORLD FUND-C | 0.00                 | 8.19                | 0.00               | 8.19              | 88.0 | 7.21                 |
|                                                    | ACCOUNT #: LSR011421           | BUY 1 Units @0.0000   |                      |                     |                    |                   |      |                      |
| 06/18/2018                                         | ***-**-851K - LALLIER, JAMES   | SMALLCAP WORLD FUND-C | 0.00                 | 2.24                | 0.00               | 2.24              | 88.0 | 1.97                 |
|                                                    | ACCOUNT #: LSR012645           | BUY 1 Units @0.0000   |                      |                     |                    |                   |      |                      |



# COMMISSION STATEMENT

June 18, 2018

DAVID GRIFFITH  
2108 Genesee St.  
Utica, NY 13502

BROKER #: A76  
BRANCH #01047 - 47 - GRIFFITH

| DATE                                               | CLIENT                        | INVESTMENT                      | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|----------------------------------------------------|-------------------------------|---------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b> OVERRIDE TRANSACTIONS (continued)</b>          |                               |                                 |                      |                     |                    |                   |      |                      |
| <b> <u>BROKER: KURT GRUENEWALD (continued)</u></b> |                               |                                 |                      |                     |                    |                   |      |                      |
| 06/01/2018                                         | ***-**-72TD - GAVALO, JULIE   | TAX-EXEMPT BOND FUND OF AMERICA | 0.00                 | 14.86               | 0.00               | 14.86             | 88.0 | 13.08                |
|                                                    | ACCOUNT #: 00087169935        | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 06/01/2018                                         | ***-**-072I - GAVALO, JULIE   | THE BOND FUND OF AMERICA-A      | 0.00                 | 16.64               | 0.00               | 16.64             | 88.0 | 14.64                |
|                                                    | ACCOUNT #: 00087112294        | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 06/01/2018                                         | ***-**-81IR - CAMPBELL,       | THE BOND FUND OF AMERICA-A      | 0.00                 | 1.51                | 0.00               | 1.51              | 88.0 | 1.33                 |
|                                                    | ACCOUNT #: 00073375822        | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 06/01/2018                                         | ***-**-7181 - HAMER, JAMES    | THE BOND FUND OF AMERICA-C      | 0.00                 | 0.44                | 0.00               | 0.44              | 88.0 | 0.39                 |
|                                                    | ACCOUNT #: 00083846796        | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 06/01/2018                                         | ***-**-755P - SHEPPARD,       | THE GROWTH FUND OF AMERICA-529A | 0.00                 | 0.80                | 0.00               | 0.80              | 88.0 | 0.70                 |
|                                                    | ACCOUNT #: 00084018452        | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 06/01/2018                                         | ***-**-755P - SHEPPARD,       | THE GROWTH FUND OF AMERICA-529C | 0.00                 | 22.75               | 0.00               | 22.75             | 88.0 | 20.02                |
|                                                    | ACCOUNT #: 00084018452        | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 06/01/2018                                         | ***-**-72IN - GAVALO, JULIE   | THE GROWTH FUND OF AMERICA-529E | 0.00                 | 9.89                | 0.00               | 9.89              | 88.0 | 8.70                 |
|                                                    | ACCOUNT #: 00068530007        | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 06/01/2018                                         | ***-**-169I - EVANS, PAUL     | THE GROWTH FUND OF AMERICA-A    | 0.00                 | 3.85                | 0.00               | 3.85              | 88.0 | 3.39                 |
|                                                    | ACCOUNT #: 00083808354        | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 06/01/2018                                         | ***-**-480J - EVANS, RICHARD  | THE GROWTH FUND OF AMERICA-A    | 0.00                 | 2.96                | 0.00               | 2.96              | 88.0 | 2.60                 |
|                                                    | ACCOUNT #: 00073288662        | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 06/01/2018                                         | ***-**-81IR - CAMPBELL,       | THE GROWTH FUND OF AMERICA-A    | 0.00                 | 2.90                | 0.00               | 2.90              | 88.0 | 2.55                 |
|                                                    | ACCOUNT #: 00073375822        | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 06/01/2018                                         | ***-**-506J - CURRIERE JR, MR | THE GROWTH FUND OF AMERICA-A    | 0.00                 | 8.43                | 0.00               | 8.43              | 88.0 | 7.42                 |
|                                                    | ACCOUNT #: 00083609136        | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 06/01/2018                                         | ***-**-5375 - CARTER, LISA    | THE GROWTH FUND OF AMERICA-A    | 0.00                 | 0.38                | 0.00               | 0.38              | 88.0 | 0.33                 |
|                                                    | ACCOUNT #: 00084131722        | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 06/01/2018                                         | ***-**-753J - FALCHI, VALERIE | THE GROWTH FUND OF AMERICA-A    | 0.00                 | 1.03                | 0.00               | 1.03              | 88.0 | 0.91                 |
|                                                    | ACCOUNT #: 00084317946        | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 06/18/2018                                         | ***-**-366I - GRUENEWALD,     | THE GROWTH FUND OF AMERICA-A    | 0.00                 | 1.48                | 0.00               | 1.48              | 88.0 | 1.30                 |
|                                                    | ACCOUNT #: LSR010989          | BUY 1 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 06/18/2018                                         | ***-**-326I - GRANDE, FBO MR  | THE GROWTH FUND OF AMERICA-A    | 0.00                 | 2.24                | 0.00               | 2.24              | 88.0 | 1.97                 |
|                                                    | ACCOUNT #: LSR011091          | BUY 1 Units @0.0000             |                      |                     |                    |                   |      |                      |
| 06/01/2018                                         | ***-**-0462 - FRIOT, MICHAEL  | THE GROWTH FUND OF AMERICA-C    | 0.00                 | 5.45                | 0.00               | 5.45              | 88.0 | 4.80                 |
|                                                    | ACCOUNT #: 00084291287        | BUY 0 Units @0.0000             |                      |                     |                    |                   |      |                      |



# COMMISSION STATEMENT

June 18, 2018

DAVID GRIFFITH  
2108 Genesee St.  
Utica, NY 13502

BROKER #: A76  
BRANCH #01047 - 47 - GRIFFITH

| DATE                                                | CLIENT                         | INVESTMENT                   | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|-----------------------------------------------------|--------------------------------|------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b> OVERRIDE TRANSACTIONS (continued) </b>          |                                |                              |                      |                     |                    |                   |      |                      |
| <b> <u>BROKER: KURT GRUENEWALD (continued)</u> </b> |                                |                              |                      |                     |                    |                   |      |                      |
| 06/01/2018                                          | ***-**-680I - HARRELL, DARYL   | THE GROWTH FUND OF AMERICA-C | 0.00                 | 13.10               | 0.00               | 13.10             | 88.0 | 11.53                |
|                                                     | ACCOUNT #: 00083996385         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 06/18/2018                                          | ***-**-567I - FRANZ, ALICE     | THE GROWTH FUND OF AMERICA-C | 0.00                 | 10.76               | 0.00               | 10.76             | 88.0 | 9.47                 |
|                                                     | ACCOUNT #: LSR010960           | BUY 1 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 06/01/2018                                          | ***-**-2855 - KRECIDLO, MARTA  | THE INCOME FUND OF AMERICA-A | 0.00                 | 0.51                | 0.00               | 0.51              | 88.0 | 0.45                 |
|                                                     | ACCOUNT #: 00083946447         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 06/01/2018                                          | ***-**-755P - SHEPPARD,        | THE INCOME FUND OF AMERICA-A | 0.00                 | 1.90                | 0.00               | 1.90              | 88.0 | 1.67                 |
|                                                     | ACCOUNT #: 00084218264         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 06/01/2018                                          | ***-**-0462 - FRIOT, MICHAEL   | THE INCOME FUND OF AMERICA-A | 0.00                 | 3.92                | 0.00               | 3.92              | 88.0 | 3.45                 |
|                                                     | ACCOUNT #: 00084291287         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 06/01/2018                                          | ***-**-0851 - LALLIER, JAMES   | THE INCOME FUND OF AMERICA-A | 0.00                 | 2.22                | 0.00               | 2.22              | 88.0 | 1.95                 |
|                                                     | ACCOUNT #: 00068584532         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 06/01/2018                                          | ***-**-81IR - CAMPBELL,        | THE INCOME FUND OF AMERICA-A | 0.00                 | 5.27                | 0.00               | 5.27              | 88.0 | 4.64                 |
|                                                     | ACCOUNT #: 00073375822         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 06/01/2018                                          | ***-**-643I - PELLETIER, MARY  | THE INCOME FUND OF AMERICA-A | 0.00                 | 4.47                | 0.00               | 4.47              | 88.0 | 3.93                 |
|                                                     | ACCOUNT #: 00083385810         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 06/01/2018                                          | ***-**-265I - MEEKINS, TIMOTHY | THE INCOME FUND OF AMERICA-A | 0.00                 | 0.90                | 0.00               | 0.90              | 88.0 | 0.79                 |
|                                                     | ACCOUNT #: 00083811243         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 06/01/2018                                          | ***-**-265J - MEEKINS, TIMOTHY | THE INCOME FUND OF AMERICA-A | 0.00                 | 0.99                | 0.00               | 0.99              | 88.0 | 0.87                 |
|                                                     | ACCOUNT #: 00083811335         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 06/01/2018                                          | ***-**-443I - LATUS, FREDERICK | THE INCOME FUND OF AMERICA-A | 0.00                 | 0.48                | 0.00               | 0.48              | 88.0 | 0.42                 |
|                                                     | ACCOUNT #: 00083932986         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 06/01/2018                                          | ***-**-901I - SATTERLY, ANN    | THE INCOME FUND OF AMERICA-A | 0.00                 | 0.42                | 0.00               | 0.42              | 88.0 | 0.37                 |
|                                                     | ACCOUNT #: 00084301189         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 06/01/2018                                          | ***-**-382I - SATTERLY, NEIL   | THE INCOME FUND OF AMERICA-A | 0.00                 | 0.72                | 0.00               | 0.72              | 88.0 | 0.63                 |
|                                                     | ACCOUNT #: 00084301242         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 06/01/2018                                          | ***-**-753J - FALCHI, VALERIE  | THE INCOME FUND OF AMERICA-A | 0.00                 | 1.84                | 0.00               | 1.84              | 88.0 | 1.62                 |
|                                                     | ACCOUNT #: 00084317946         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 06/01/2018                                          | ***-**-78IR - FALES, JOAN      | THE INCOME FUND OF AMERICA-A | 0.00                 | 4.57                | 0.00               | 4.57              | 88.0 | 4.02                 |
|                                                     | ACCOUNT #: 00088082227         | BUY 0 Units @0.0000          |                      |                     |                    |                   |      |                      |
| 06/18/2018                                          | ***-**-287I - HINCKLEY,        | THE INCOME FUND OF AMERICA-A | 0.00                 | 4.54                | 0.00               | 4.54              | 88.0 | 4.00                 |
|                                                     | ACCOUNT #: LSR010843           | BUY 1 Units @0.0000          |                      |                     |                    |                   |      |                      |



# COMMISSION STATEMENT

June 18, 2018

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BROKER #: A76  
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> OVERRIDE TRANSACTIONS (continued) </u></b>   |                                |                                     |                      |                     |                    |                   |      |                      |
| <b><u> BROKER: KURT GRUENEWALD (continued) </u></b> |                                |                                     |                      |                     |                    |                   |      |                      |
| 06/18/2018                                          | ***-**-702I - KOCHER, MICHAEL  | THE INCOME FUND OF AMERICA-A        | 0.00                 | 3.57                | 0.00               | 3.57              | 88.0 | 3.14                 |
|                                                     | ACCOUNT #: LSR010954           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 06/18/2018                                          | ***-**-959J - FRANZ, PAUL      | THE INCOME FUND OF AMERICA-A        | 0.00                 | 2.89                | 0.00               | 2.89              | 88.0 | 2.54                 |
|                                                     | ACCOUNT #: LSR010958           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 06/18/2018                                          | ***-**-366I - GRUENEWALD,      | THE INCOME FUND OF AMERICA-A        | 0.00                 | 1.78                | 0.00               | 1.78              | 88.0 | 1.57                 |
|                                                     | ACCOUNT #: LSR010989           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 06/18/2018                                          | ***-**-579J - RHYMESTINE,      | THE INCOME FUND OF AMERICA-A        | 0.00                 | 1.01                | 0.00               | 1.01              | 88.0 | 0.89                 |
|                                                     | ACCOUNT #: LSR011081           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 06/18/2018                                          | ***-**-326I - GRANDE, FBO MR   | THE INCOME FUND OF AMERICA-A        | 0.00                 | 2.33                | 0.00               | 2.33              | 88.0 | 2.05                 |
|                                                     | ACCOUNT #: LSR011091           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 06/18/2018                                          | ***-**-680I - HARRELL, DARYL   | THE INCOME FUND OF AMERICA-A        | 0.00                 | 1.12                | 0.00               | 1.12              | 88.0 | 0.99                 |
|                                                     | ACCOUNT #: LSR011321           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 06/18/2018                                          | ***-**-128I - BASHANT, THOMAS  | THE INCOME FUND OF AMERICA-A        | 0.00                 | 0.96                | 0.00               | 0.96              | 88.0 | 0.84                 |
|                                                     | ACCOUNT #: LSR011387           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 06/18/2018                                          | ***-**-30TR - AND SANDRA       | THE INCOME FUND OF AMERICA-A        | 0.00                 | 2.66                | 0.00               | 2.66              | 88.0 | 2.34                 |
|                                                     | ACCOUNT #: LSR011939           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 06/18/2018                                          | ***-**-851K - LALLIER, JAMES   | THE INCOME FUND OF AMERICA-A        | 0.00                 | 0.17                | 0.00               | 0.17              | 88.0 | 0.15                 |
|                                                     | ACCOUNT #: LSR012645           | BUY 1 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 06/01/2018                                          | ***-**-443I - LATUS, FREDERICK | THE INVESTMENT COMPANY OF AMERICA-A | 0.00                 | 0.71                | 0.00               | 0.71              | 88.0 | 0.62                 |
|                                                     | ACCOUNT #: 00083932986         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 06/01/2018                                          | ***-**-643I - PELLETIER, MARY  | THE NEW ECONOMY FUND-A              | 0.00                 | 0.19                | 0.00               | 0.19              | 88.0 | 0.17                 |
|                                                     | ACCOUNT #: 00083385757         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 06/01/2018                                          | ***-**-86IR - MEEKINS, LISA    | THE NEW ECONOMY FUND-A              | 0.00                 | 1.24                | 0.00               | 1.24              | 88.0 | 1.09                 |
|                                                     | ACCOUNT #: 00083811211         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 06/01/2018                                          | ***-**-20JT - KOCHER, DENISE   | THE NEW ECONOMY FUND-A              | 0.00                 | 1.12                | 0.00               | 1.12              | 88.0 | 0.99                 |
|                                                     | ACCOUNT #: 00083988898         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 06/01/2018                                          | ***-**-169I - EVANS, PAUL      | THE NEW ECONOMY FUND-C              | 0.00                 | 5.97                | 0.00               | 5.97              | 88.0 | 5.25                 |
|                                                     | ACCOUNT #: 00083808354         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 06/01/2018                                          | ***-**-085I - LALLIER, JAMES   | THE NEW ECONOMY FUND-C              | 0.00                 | 6.25                | 0.00               | 6.25              | 88.0 | 5.50                 |
|                                                     | ACCOUNT #: 00068584532         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 06/01/2018                                          | ***-**-643I - PELLETIER, MARY  | THE NEW ECONOMY FUND-C              | 0.00                 | 1.79                | 0.00               | 1.79              | 88.0 | 1.58                 |
|                                                     | ACCOUNT #: 00083385757         | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |



# COMMISSION STATEMENT

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| DATE                                                | CLIENT                                                 | INVESTMENT                                                 | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|-----------------------------------------------------|--------------------------------------------------------|------------------------------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b> OVERRIDE TRANSACTIONS (continued) </b>          |                                                        |                                                            |                      |                     |                    |                   |      |                      |
| <b> <u>BROKER: KURT GRUENEWALD (continued)</u> </b> |                                                        |                                                            |                      |                     |                    |                   |      |                      |
| 06/18/2018                                          | ***-**-80IO - EVANS, RICHARD<br>ACCOUNT #: LSR011276   | THE NEW ECONOMY FUND-C<br>BUY 1 Units @0.0000              | 0.00                 | 12.07               | 0.00               | 12.07             | 88.0 | 10.62                |
| 06/18/2018                                          | ***-**-851K - LALLIER, JAMES<br>ACCOUNT #: LSR012645   | THE NEW ECONOMY FUND-C<br>BUY 1 Units @0.0000              | 0.00                 | 1.35                | 0.00               | 1.35              | 88.0 | 1.19                 |
| 06/18/2018                                          | ***-**-235I - AUGUSTINE III,<br>ACCOUNT #: LSR010845   | TRANSAMERICA MLP & ENERGY INCOME CL<br>BUY 1 Units @0.0000 | 0.00                 | 6.22                | 0.00               | 6.22              | 88.0 | 5.47                 |
| 06/18/2018                                          | ***-**-881J - EBERLEY, SUSAN<br>ACCOUNT #: LSR010856   | TRANSAMERICA MLP & ENERGY INCOME CL<br>BUY 1 Units @0.0000 | 0.00                 | 7.35                | 0.00               | 7.35              | 88.0 | 6.47                 |
| 06/18/2018                                          | ***-**-980I - ACEE, ELIZABETH<br>ACCOUNT #: LSR010885  | TRANSAMERICA MLP & ENERGY INCOME CL<br>BUY 1 Units @0.0000 | 0.00                 | 5.36                | 0.00               | 5.36              | 88.0 | 4.72                 |
| 06/18/2018                                          | ***-**-031O - MCVOY, ROBERT<br>ACCOUNT #: LSR010916    | TRANSAMERICA MLP & ENERGY INCOME CL<br>BUY 1 Units @0.0000 | 0.00                 | 6.91                | 0.00               | 6.91              | 88.0 | 6.08                 |
| 06/18/2018                                          | ***-**-959I - FRANZ, PAUL<br>ACCOUNT #: LSR010959      | TRANSAMERICA MLP & ENERGY INCOME CL<br>BUY 1 Units @0.0000 | 0.00                 | 12.36               | 0.00               | 12.36             | 88.0 | 10.88                |
| 06/18/2018                                          | ***-**-73TR - WESTCOTT IRRVOC<br>ACCOUNT #: LSR011001  | TRANSAMERICA MLP & ENERGY INCOME CL<br>BUY 1 Units @0.0000 | 0.00                 | 5.99                | 0.00               | 5.99              | 88.0 | 5.27                 |
| 06/18/2018                                          | ***-**-73TR - WESTCOTT IRRVOC<br>ACCOUNT #: LSR011008  | TRANSAMERICA MLP & ENERGY INCOME CL<br>BUY 1 Units @0.0000 | 0.00                 | 5.77                | 0.00               | 5.77              | 88.0 | 5.08                 |
| 06/18/2018                                          | ***-**-44IO - MAYO, DEBORAH<br>ACCOUNT #: LSR011079    | TRANSAMERICA MLP & ENERGY INCOME CL<br>BUY 1 Units @0.0000 | 0.00                 | 7.11                | 0.00               | 7.11              | 88.0 | 6.26                 |
| 06/18/2018                                          | ***-**-09IO - BATES, FBO MRS<br>ACCOUNT #: LSR011117   | TRANSAMERICA MLP & ENERGY INCOME CL<br>BUY 1 Units @0.0000 | 0.00                 | 11.44               | 0.00               | 11.44             | 88.0 | 10.07                |
| 06/18/2018                                          | ***-**-89IN - LEE, ROGER<br>ACCOUNT #: LSR011166       | TRANSAMERICA MLP & ENERGY INCOME CL<br>BUY 1 Units @0.0000 | 0.00                 | 12.97               | 0.00               | 12.97             | 88.0 | 11.41                |
| 06/18/2018                                          | ***-**-11IO - LYNN G.<br>ACCOUNT #: LSR011239          | TRANSAMERICA MLP & ENERGY INCOME CL<br>BUY 1 Units @0.0000 | 0.00                 | 11.01               | 0.00               | 11.01             | 88.0 | 9.69                 |
| 06/18/2018                                          | ***-**-80IO - EVANS, RICHARD<br>ACCOUNT #: LSR011276   | TRANSAMERICA MLP & ENERGY INCOME CL<br>BUY 1 Units @0.0000 | 0.00                 | 7.40                | 0.00               | 7.40              | 88.0 | 6.51                 |
| 06/18/2018                                          | ***-**-45IO - JOHNSON, GREGORY<br>ACCOUNT #: LSR011421 | TRANSAMERICA MLP & ENERGY INCOME CL<br>BUY 1 Units @0.0000 | 0.00                 | 9.31                | 0.00               | 9.31              | 88.0 | 8.19                 |
| 06/18/2018                                          | ***-**-14IO - BUSHEY, MATTHEW<br>ACCOUNT #: LSR011498  | TRANSAMERICA MLP & ENERGY INCOME CL<br>BUY 1 Units @0.0000 | 0.00                 | 10.55               | 0.00               | 10.55             | 88.0 | 9.28                 |



# COMMISSION STATEMENT

June 18, 2018

DAVID GRIFFITH  
2108 Genesee St.  
Utica, NY 13502

BROKER #: A76  
BRANCH #01047 - 47 - GRIFFITH

| DATE                                               | CLIENT                                                   | INVESTMENT                                                   | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|----------------------------------------------------|----------------------------------------------------------|--------------------------------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b> OVERRIDE TRANSACTIONS (continued)</b>          |                                                          |                                                              |                      |                     |                    |                   |      |                      |
| <b> <u>BROKER: KURT GRUENEWALD (continued)</u></b> |                                                          |                                                              |                      |                     |                    |                   |      |                      |
| 06/18/2018                                         | ***-**-287J - HINCKLEY,<br>ACCOUNT #: LSR010841          | TRANSAMERICA SHORT TERM BOND CL C<br>BUY 1 Units @0.0000     | 0.00                 | 13.23               | 0.00               | 13.23             | 88.0 | 11.64                |
| 06/18/2018                                         | ***-**-48IO - CLARK, PATRICK<br>ACCOUNT #: LSR010911     | TRANSAMERICA SHORT TERM BOND CL C<br>BUY 1 Units @0.0000     | 0.00                 | 10.30               | 0.00               | 10.30             | 88.0 | 9.06                 |
| 06/18/2018                                         | ***-**-11IO - LYNN G.<br>ACCOUNT #: LSR011239            | TRANSAMERICA SHORT TERM BOND CL C<br>BUY 1 Units @0.0000     | 0.00                 | 15.35               | 0.00               | 15.35             | 88.0 | 13.51                |
| 06/01/2018                                         | ***-**-0462 - FRIOT, MICHAEL<br>ACCOUNT #: 00084291287   | U.S. GOVERNMENT SECURITIES FUND CLA<br>BUY 0 Units @0.0000   | 0.00                 | 0.26                | 0.00               | 0.26              | 88.0 | 0.23                 |
| 06/01/2018                                         | ***-**-901I - SATTERLY, ANN<br>ACCOUNT #: 00084301189    | U.S. GOVERNMENT SECURITIES FUND CLA<br>BUY 0 Units @0.0000   | 0.00                 | 0.24                | 0.00               | 0.24              | 88.0 | 0.21                 |
| 06/01/2018                                         | ***-**-382I - SATTERLY, NEIL<br>ACCOUNT #: 00084301242   | U.S. GOVERNMENT SECURITIES FUND CLA<br>BUY 0 Units @0.0000   | 0.00                 | 0.39                | 0.00               | 0.39              | 88.0 | 0.34                 |
| 06/18/2018                                         | ***-**-959J - FRANZ, PAUL<br>ACCOUNT #: LSR010958        | U.S. GOVERNMENT SECURITIES FUND CLA<br>BUY 1 Units @0.0000   | 0.00                 | 3.61                | 0.00               | 3.61              | 88.0 | 3.18                 |
| 06/18/2018                                         | ***-**-664J - PFAFF, GEORGE                              | UNDERWRITER COMM<br>BUY 0 Units @0.0000                      | 0.00                 | 87.75               | 0.00               | 87.75             | 88.0 | 77.22                |
| 06/18/2018                                         | ***-**-680I - HARRELL, DARYL                             | UNDERWRITER COMM<br>BUY 0 Units @0.0000                      | 0.00                 | 175.50              | 0.00               | 175.50            | 88.0 | 154.44               |
| 06/18/2018                                         | ***-**-31IN - EVANS, THOMAS                              | UNDERWRITER COMM<br>BUY 0 Units @0.0000                      | 0.00                 | 175.50              | 0.00               | 175.50            | 88.0 | 154.44               |
| 06/18/2018                                         | ***-**-680I - HARRELL, DARYL                             | UNDERWRITER COMM<br>BUY 0 Units @0.0000                      | 0.00                 | -87.75              | 0.00               | -87.75            | 88.0 | -77.22               |
| 06/11/2018                                         | ***-**-31IO - JOSEPH, ANN<br>ACCOUNT #: LSR012337        | VERIZON COMMUNICATIONS UNSOLICITED<br>BUY 100 Units @49.5000 | 4,950.00             | 50.50               | 0.00               | 50.50             | 88.0 | 44.44                |
| 06/01/2018                                         | ***-**-72IN - GAVALO, JULIE<br>ACCOUNT #: 00068530008    | WASHINGTON MUTUAL INVESTORS FUND-52<br>BUY 0 Units @0.0000   | 0.00                 | 8.76                | 0.00               | 8.76              | 88.0 | 7.71                 |
| 06/01/2018                                         | ***-**-169I - EVANS, PAUL<br>ACCOUNT #: 00083808354      | WASHINGTON MUTUAL INVESTORS FUND-A<br>BUY 0 Units @0.0000    | 0.00                 | 3.56                | 0.00               | 3.56              | 88.0 | 3.13                 |
| 06/01/2018                                         | ***-**-443I - LATUS, FREDERICK<br>ACCOUNT #: 00083932986 | WASHINGTON MUTUAL INVESTORS FUND-A<br>BUY 0 Units @0.0000    | 0.00                 | 0.60                | 0.00               | 0.60              | 88.0 | 0.53                 |
| 06/01/2018                                         | ***-**-753J - FALCHI, VALERIE<br>ACCOUNT #: 00084317946  | WASHINGTON MUTUAL INVESTORS FUND-A<br>BUY 0 Units @0.0000    | 0.00                 | 0.71                | 0.00               | 0.71              | 88.0 | 0.62                 |



# COMMISSION STATEMENT

June 18, 2018

DAVID GRIFFITH  
2108 Genesee St.  
Utica, NY 13502

BROKER #: A76  
BRANCH #01047 - 47 - GRIFFITH

| DATE                                         | CLIENT                        | INVESTMENT                        | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|----------------------------------------------|-------------------------------|-----------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b> OVERRIDE TRANSACTIONS (continued) </b>   |                               |                                   |                      |                     |                    |                   |      |                      |
| <b> BROKER: KURT GRUENEWALD (continued) </b> |                               |                                   |                      |                     |                    |                   |      |                      |
| 06/18/2018                                   | ***-**-07IO - FAMOLARO, JAMES | WELLS FARGO ASSET ALLOCATION CL A | 0.00                 | 3.08                | 0.00               | 3.08              | 88.0 | 2.71                 |
|                                              | ACCOUNT #: LSR011280          | BUY 1 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 06/18/2018                                   | ***-**-07IO - FAMOLARO, JAMES | WELLS FARGO GLOBAL OPPT FD CL A   | 0.00                 | 1.42                | 0.00               | 1.42              | 88.0 | 1.25                 |
|                                              | ACCOUNT #: LSR011280          | BUY 1 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 06/18/2018                                   | ***-**-680I - HARRELL, DARYL  | WELLS FARGO SPECIALIZED TECH A    | 0.00                 | 1.98                | 0.00               | 1.98              | 88.0 | 1.74                 |
|                                              | ACCOUNT #: LSR011321          | BUY 1 Units @0.0000               |                      |                     |                    |                   |      |                      |
| 06/18/2018                                   | ***-**-680I - HARRELL, DARYL  | WELLS FARGO UTILITY TELECOM CL A  | 0.00                 | 1.33                | 0.00               | 1.33              | 88.0 | 1.17                 |
|                                              | ACCOUNT #: LSR011321          | BUY 1 Units @0.0000               |                      |                     |                    |                   |      |                      |
| * KURT GRUENEWALD SUBTOTAL *                 |                               |                                   | \$116,504.58         | \$5,576.67          | \$0.00             | \$5,576.67        |      | \$4,907.47           |
| *** OVERRIDE TRANSACTIONS TOTAL ***          |                               |                                   | \$116,504.58         | \$5,576.67          | \$0.00             | \$5,576.67        |      | \$4,907.47           |

## BROKER COMMISSION TOTALS

|                       |            |
|-----------------------|------------|
| Broker Transactions   | \$2,395.37 |
| Split Transactions    | \$0.00     |
| Override Transactions | \$4,907.47 |
| Adjustments           | \$0.00     |
| Payroll Draw          | \$0.00     |
| Base Salary           | \$0.00     |
| Prior Period Balance  | \$0.00     |
| FINRA Assessment      | \$0.00     |
| SIPC Assessment       | \$0.00     |

|                       |              |
|-----------------------|--------------|
| Net Commission Earned | \$7,302.84   |
| Year-to-date Earnings | \$125,122.79 |