



COMMISSION STATEMENT

February 26, 2018

KURT GRUENEWALD
2108 Genesee St.
Utica, NY 13502

BROKER #: A77
BRANCH #01047 - 47 - GRIFFITH

| DATE | CLIENT | INVESTMENT | INVESTMENT AMOUNT | GROSS COMMISSION | CLEARING CHARGE | NET COMMISSION | RATE | BROKER COMMISSION |
|---|---|---|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u>BROKER TRANSACTIONS</u> | | | | | | | | |
| <u>PRODUCT CATEGORY: ALTERNATIVE INVESTMENTS</u> | | | | | | | | |
| 01/16/2018 | ***-**-722I - CLINTON, STEPHEN | GWG L BOND - 5 YR BUY 15 Units @1000.0000 | 15,000.00 | 885.00 | 0.00 | 885.00 | 0.0 | 0.00 |
| 01/25/2018 | ***-**-448X - ANACKER, SUSAN | GWG L BOND - 5 YR BUY 10 Units @1000.0000 | 10,000.00 | 590.00 | 0.00 | 590.00 | 0.0 | 0.00 |
| 01/16/2018 | ***-**-722I - CLINTON, STEPHEN | GWG PREFERRED STOCK BUY 10 Units @1000.0000 | 10,000.00 | 660.00 | 0.00 | 660.00 | 0.0 | 0.00 |
| 01/25/2018 | ***-**-448X - ANACKER, SUSAN | GWG PREFERRED STOCK BUY 10 Units @1000.0000 | 10,000.00 | 660.00 | 0.00 | 660.00 | 0.0 | 0.00 |
| 02/09/2018 | ***-**-13IN - RHYMESTINE, | GWG PREFERRED STOCK BUY 10000 Units @1.0000 | 10,000.00 | 660.00 | 0.00 | 660.00 | 0.0 | 0.00 |
| * ALTERNATIVE INVESTMENTS SUBTOTAL * | | | \$55,000.00 | \$3,455.00 | \$0.00 | \$3,455.00 | | \$0.00 |
| <u>PRODUCT CATEGORY: MUTUAL FUNDS</u> | | | | | | | | |
| 02/21/2018 | ***-**-73TR - WESTCOTT IRRVOC ACCOUNT #: LSR011008 | AMERICAN GLOBAL BALANCED CL C SELL 138 Units @32.6500 | 4,499.99 | 18.00 | 18.00 | 0.00 | 0.0 | 0.00 |
| 02/06/2018 | ***-**-65CL - GRUENEWALD, K, ACCOUNT #: 03222414918 | CAPITAL APPRECIATION C BUY 0 Units @0.0000 | 50.00 | 0.50 | 0.00 | 0.50 | 0.0 | 0.00 |
| 02/15/2018 | ***-**-0069 - KRECIDLO, ACCOUNT #: 00083510637 | CAPITAL WORLD GROWTH AND INCOME FUN BUY 1 Units @52.1300 | 75.00 | 0.75 | 0.00 | 0.75 | 0.0 | 0.00 |
| 02/15/2018 | ***-**-2855 - KRECIDLO, MARTA ACCOUNT #: 00083510745 | CAPITAL WORLD GROWTH AND INCOME FUN BUY 1 Units @52.1300 | 75.00 | 0.75 | 0.00 | 0.75 | 0.0 | 0.00 |
| 02/15/2018 | ***-**-680I - HARRELL, DARYL ACCOUNT #: 00083996385 | CAPITAL WORLD GROWTH AND INCOME FUN BUY 1 Units @52.1300 | 50.00 | 0.50 | 0.00 | 0.50 | 0.0 | 0.00 |
| 02/06/2018 | ***-**-633J - ACCOUNT #: 08353229688 | EQUITY INCOME FUND, INC. A BUY 0 Units @0.0000 | 175.00 | 8.31 | 0.00 | 8.31 | 0.0 | 0.00 |
| 02/12/2018 | ***-**-48JT - LEE, DARLENE ACCOUNT #: 08370750926 | EQUITY INCOME FUND, INC. C BUY 0 Units @0.0000 | 50.00 | 0.50 | 0.00 | 0.50 | 0.0 | 0.00 |
| 02/15/2018 | ***-**-680I - HARRELL, DARYL ACCOUNT #: 00083996385 | FUNDAMENTAL INVESTORS-C BUY 1 Units @63.5500 | 50.00 | 0.50 | 0.00 | 0.50 | 0.0 | 0.00 |
| 02/06/2018 | ***-**-65CL - GRUENEWALD, K, ACCOUNT #: 02171825219 | GLOBAL OPPORTUNITIES FUND C BUY 0 Units @0.0000 | 50.00 | 0.50 | 0.00 | 0.50 | 0.0 | 0.00 |
| 02/20/2018 | ***-**-52IN - ROBERTS, LILLIAN ACCOUNT #: LSR012352 | MFS CONSERVATIVE ALLOCATION CL C BUY 295 Units @15.2500 | 4,500.00 | 63.00 | 18.00 | 45.00 | 0.0 | 0.00 |



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|---|--------------------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| BROKER TRANSACTIONS (continued) | | | | | | | | |
| PRODUCT CATEGORY: MUTUAL FUNDS (continued) | | | | | | | | |
| 02/20/2018 | ***-**-52IN - ROBERTS, LILLIAN | MFS DIVERSIFIED INCOME FD CL C | 2,500.01 | 43.00 | 18.00 | 25.00 | 0.0 | 0.00 |
| | ACCOUNT #: LSR012352 | BUY 206 Units @12.1300 | | | | | | |
| 02/21/2018 | ***-**-35IR - RUGGIERO, LAURIE | MFS GLOBAL EQUITY FUND-B | 6,500.00 | 278.00 | 18.00 | 260.00 | 0.0 | 0.00 |
| | ACCOUNT #: LSR012276 | BUY 161 Units @40.4800 | | | | | | |
| 02/20/2018 | ***-**-52IN - ROBERTS, LILLIAN | MFS TECHNOLOGY CLASS C | 2,499.99 | 43.00 | 18.00 | 25.00 | 0.0 | 0.00 |
| | ACCOUNT #: LSR012352 | BUY 73 Units @34.4200 | | | | | | |
| 02/15/2018 | ***-**-680I - HARRELL, DARYL | NEW WORLD FUND-C | 50.00 | 0.50 | 0.00 | 0.50 | 0.0 | 0.00 |
| | ACCOUNT #: 00083996385 | BUY 1 Units @66.6500 | | | | | | |
| 02/26/2018 | ***-**-0767 - DOVI, | NYA JPM 529 AGGR PORTI C | 25.00 | 0.25 | 0.00 | 0.25 | 0.0 | 0.00 |
| | ACCOUNT #: 77579193101 | BUY 0 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-635P - LASCALA, DEBORAH | NYA JPM 529 AGGR PORTI C | 50.00 | 0.50 | 0.00 | 0.50 | 0.0 | 0.00 |
| | ACCOUNT #: 77699193301 | BUY 0 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-20IR - DEMETRI, AMELIA | NYA JPM 529 MOD AGE-BASED A | 50.00 | 2.38 | 0.00 | 2.38 | 0.0 | 0.00 |
| | ACCOUNT #: 77854436501 | BUY 0 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-473J - HUSTON, | NYA JPM 529 MOD AGE-BASED A | 0.00 | 2.00 | 0.00 | 2.00 | 0.0 | 0.00 |
| | ACCOUNT #: 77852732402 | BUY 0 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-473J - HUSTON, | NYA JPM 529 MOD GROWTH POR C | 400.00 | 2.00 | 0.00 | 2.00 | 0.0 | 0.00 |
| | ACCOUNT #: 77852732401 | BUY 0 Units @0.0000 | | | | | | |
| 02/06/2018 | ***-**-633J - | OPP PORT SERIES: ACTIVE ALLOC A | 175.00 | 8.31 | 0.00 | 8.31 | 0.0 | 0.00 |
| | ACCOUNT #: 05502871176 | BUY 0 Units @0.0000 | | | | | | |
| 02/12/2018 | ***-**-13IN - BLISS, PATRICK | OPPENHEIMER ACTIVE ALLOCATION FUND | 75.00 | 0.75 | 0.00 | 0.75 | 0.0 | 0.00 |
| | ACCOUNT #: 05521022681 | BUY 0 Units @0.0000 | | | | | | |
| 02/12/2018 | ***-**-48JT - LEE, DARLENE | OPPENHEIMER ACTIVE ALLOCATION FUND | 50.00 | 0.50 | 0.00 | 0.50 | 0.0 | 0.00 |
| | ACCOUNT #: 05521043603 | BUY 0 Units @0.0000 | | | | | | |
| 02/12/2018 | ***-**-48JT - LEE, DARLENE | OPPENHEIMER GLBL REAL ESTATE FUND C | 50.00 | 0.50 | 0.00 | 0.50 | 0.0 | 0.00 |
| | ACCOUNT #: 00100021715 | BUY 0 Units @0.0000 | | | | | | |
| 02/06/2018 | ***-**-633J - | OPPENHEIMER INTERNATIONAL DIVERSIFI | 175.00 | 8.31 | 0.00 | 8.31 | 0.0 | 0.00 |
| | ACCOUNT #: 01953330426 | BUY 0 Units @0.0000 | | | | | | |
| 02/12/2018 | ***-**-48JT - LEE, DARLENE | OPPENHEIMER INTERNATIONAL DIVERSIFI | 50.00 | 0.50 | 0.00 | 0.50 | 0.0 | 0.00 |
| | ACCOUNT #: 01971019612 | BUY 0 Units @0.0000 | | | | | | |
| 02/06/2018 | ***-**-633J - | OPPENHEIMER SMALL & MID CAP VALUE F | 175.00 | 8.31 | 0.00 | 8.31 | 0.0 | 0.00 |
| | ACCOUNT #: 02514987422 | BUY 0 Units @0.0000 | | | | | | |



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| <u>BROKER TRANSACTIONS (continued)</u> | | | | | | | | |
| <u>PRODUCT CATEGORY: MUTUAL FUNDS (continued)</u> | | | | | | | | |
| 02/15/2018 | ***-**-680I - HARRELL, DARYL | THE GROWTH FUND OF AMERICA-C | 50.00 | 0.50 | 0.00 | 0.50 | 0.0 | 0.00 |
| | ACCOUNT #: 00083996385 | BUY 1 Units @48.4200 | | | | | | |
| | | * MUTUAL FUNDS SUBTOTAL * | \$22,449.99 | \$492.62 | \$90.00 | \$402.62 | | \$0.00 |
| <u>PRODUCT CATEGORY: VARIABLE ANNUITIES</u> | | | | | | | | |
| 02/12/2018 | ***-**-48IO - CLARK, PATRICK | PACIFIC LIFE SE5-NYB DTCC | 527.00 | 10.54 | 0.00 | 10.54 | 0.0 | 0.00 |
| | ACCOUNT #: VP71028500 | BUY 0 Units @0.0000 | | | | | | |
| | | * VARIABLE ANNUITIES SUBTOTAL * | \$527.00 | \$10.54 | \$0.00 | \$10.54 | | \$0.00 |
| <u>PRODUCT CATEGORY: 529 PLAN</u> | | | | | | | | |
| 02/15/2018 | ***-**-5375 - CARTER, LISA | AMERICAN BALANCED FUND-529C | 300.00 | 3.00 | 0.00 | 3.00 | 0.0 | 0.00 |
| | ACCOUNT #: 00083996363 | BUY 11 Units @27.1800 | | | | | | |
| | | * 529 PLAN SUBTOTAL * | \$300.00 | \$3.00 | \$0.00 | \$3.00 | | \$0.00 |
| <u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u> | | | | | | | | |
| 02/26/2018 | ***-**-702I - KOCHER, MICHAEL | 37252M108 | 0.00 | 1.03 | 0.00 | 1.03 | 0.0 | 0.00 |
| | ACCOUNT #: LSR010954 | BUY 1 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-680I - HARRELL, DARYL | 37252M108 | 0.00 | 0.87 | 0.00 | 0.87 | 0.0 | 0.00 |
| | ACCOUNT #: LSR011321 | BUY 1 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-22IO - CLINTON, STEPHEN | 37252M108 | 0.00 | 1.76 | 0.00 | 1.76 | 0.0 | 0.00 |
| | ACCOUNT #: LSR011684 | BUY 1 Units @0.0000 | | | | | | |
| 02/20/2018 | ***-**-71IO - FAMOLARO, JAMES | AIM GLOBAL VALUE FUND - CLASS A | 0.00 | 0.36 | 0.00 | 0.36 | 0.0 | 0.00 |
| | ACCOUNT #: LSR011279 | BUY 1 Units @0.0000 | | | | | | |
| 02/20/2018 | ***-**-306X - COBB, CHERRYL | AIM GOLD & PRECIOUS METALS FD - A | 0.00 | 0.83 | 0.00 | 0.83 | 0.0 | 0.00 |
| | ACCOUNT #: LSR011037 | BUY 1 Units @0.0000 | | | | | | |
| 02/20/2018 | ***-**-580X - COBB, JAMES | AIM GOLD & PRECIOUS METALS FD - A | 0.00 | 0.75 | 0.00 | 0.75 | 0.0 | 0.00 |
| | ACCOUNT #: LSR011040 | BUY 1 Units @0.0000 | | | | | | |
| 02/20/2018 | ***-**-837O - BASEMENT | AIM GOLD & PRECIOUS METALS FD - A | 0.00 | 2.21 | 0.00 | 2.21 | 0.0 | 0.00 |
| | ACCOUNT #: LSR011046 | BUY 1 Units @0.0000 | | | | | | |
| 02/20/2018 | ***-**-680I - HARRELL, DARYL | AMERICAN BALANCED FUND-A | 0.00 | 0.91 | 0.00 | 0.91 | 0.0 | 0.00 |
| | ACCOUNT #: LSR011321 | BUY 1 Units @0.0000 | | | | | | |
| 02/20/2018 | ***-**-30TR - AND SANDRA | AMERICAN BALANCED FUND-A | 0.00 | 2.97 | 0.00 | 2.97 | 0.0 | 0.00 |
| | ACCOUNT #: LSR011939 | BUY 1 Units @0.0000 | | | | | | |



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| BROKER TRANSACTIONS (continued) | | | | | | | | |
| PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued) | | | | | | | | |
| 02/20/2018 | ***-**-761I - EVANS, DOLORES | AMERICAN BALANCED FUND-C | 0.00 | 15.70 | 0.00 | 15.70 | 0.0 | 0.00 |
| | ACCOUNT #: LSR011024 | BUY 1 Units @0.0000 | | | | | | |
| 02/20/2018 | ***-**-094I - KATRENA L | AMERICAN BALANCED FUND-C | 0.00 | 3.96 | 0.00 | 3.96 | 0.0 | 0.00 |
| | ACCOUNT #: LSR011188 | BUY 1 Units @0.0000 | | | | | | |
| 02/20/2018 | ***-**-52IO - EUSEPI, SUSAN | AMERICAN BALANCED FUND-C | 0.00 | 5.34 | 0.00 | 5.34 | 0.0 | 0.00 |
| | ACCOUNT #: LSR011219 | BUY 1 Units @0.0000 | | | | | | |
| 02/20/2018 | ***-**-80IO - EVANS, RICHARD | AMERICAN BALANCED FUND-C | 0.00 | 15.93 | 0.00 | 15.93 | 0.0 | 0.00 |
| | ACCOUNT #: LSR011276 | BUY 1 Units @0.0000 | | | | | | |
| 02/20/2018 | ***-**-881I - EBERLEY, SUSAN | AMERICAN FUNDS BALANCED PORT CL C | 0.00 | 9.03 | 0.00 | 9.03 | 0.0 | 0.00 |
| | ACCOUNT #: LSR010858 | BUY 1 Units @0.0000 | | | | | | |
| 02/20/2018 | ***-**-382K - SATTERLY, NEIL | AMERICAN FUNDS BALANCED PORT CL C | 0.00 | 4.59 | 0.00 | 4.59 | 0.0 | 0.00 |
| | ACCOUNT #: LSR010875 | BUY 1 Units @0.0000 | | | | | | |
| 02/20/2018 | ***-**-949I - ACEE, JOSPEH | AMERICAN FUNDS BALANCED PORT CL C | 0.00 | 3.76 | 0.00 | 3.76 | 0.0 | 0.00 |
| | ACCOUNT #: LSR010908 | BUY 1 Units @0.0000 | | | | | | |
| 02/20/2018 | ***-**-48IO - CLARK, PATRICK | AMERICAN FUNDS BALANCED PORT CL C | 0.00 | 23.21 | 0.00 | 23.21 | 0.0 | 0.00 |
| | ACCOUNT #: LSR010911 | BUY 1 Units @0.0000 | | | | | | |
| 02/20/2018 | ***-**-31IO - HARTZ, CLAUDIA | AMERICAN FUNDS BALANCED PORT CL C | 0.00 | 6.35 | 0.00 | 6.35 | 0.0 | 0.00 |
| | ACCOUNT #: LSR010915 | BUY 1 Units @0.0000 | | | | | | |
| 02/20/2018 | ***-**-03IO - MCVOY, ROBERT | AMERICAN FUNDS BALANCED PORT CL C | 0.00 | 4.83 | 0.00 | 4.83 | 0.0 | 0.00 |
| | ACCOUNT #: LSR010916 | BUY 1 Units @0.0000 | | | | | | |
| 02/20/2018 | ***-**-15IN - PENDRAK, JOHN | AMERICAN FUNDS BALANCED PORT CL C | 0.00 | 12.32 | 0.00 | 12.32 | 0.0 | 0.00 |
| | ACCOUNT #: LSR010948 | BUY 1 Units @0.0000 | | | | | | |
| 02/20/2018 | ***-**-959I - FRANZ, PAUL | AMERICAN FUNDS BALANCED PORT CL C | 0.00 | 10.83 | 0.00 | 10.83 | 0.0 | 0.00 |
| | ACCOUNT #: LSR010959 | BUY 1 Units @0.0000 | | | | | | |
| 02/20/2018 | ***-**-567I - FRANZ, ALICE | AMERICAN FUNDS BALANCED PORT CL C | 0.00 | 7.27 | 0.00 | 7.27 | 0.0 | 0.00 |
| | ACCOUNT #: LSR010960 | BUY 1 Units @0.0000 | | | | | | |
| 02/20/2018 | ***-**-960J - MASTRANGELO, | AMERICAN FUNDS BALANCED PORT CL C | 0.00 | 12.21 | 0.00 | 12.21 | 0.0 | 0.00 |
| | ACCOUNT #: LSR010966 | BUY 1 Units @0.0000 | | | | | | |
| 02/20/2018 | ***-**-73TR - WESTCOTT IRRVOC | AMERICAN FUNDS BALANCED PORT CL C | 0.00 | 10.34 | 0.00 | 10.34 | 0.0 | 0.00 |
| | ACCOUNT #: LSR011001 | BUY 1 Units @0.0000 | | | | | | |
| 02/20/2018 | ***-**-51IO - CAIN, TIMOTHY | AMERICAN FUNDS BALANCED PORT CL C | 0.00 | 12.16 | 0.00 | 12.16 | 0.0 | 0.00 |
| | ACCOUNT #: LSR011007 | BUY 1 Units @0.0000 | | | | | | |



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| BROKER TRANSACTIONS (continued) | | | | | | | | |
| PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued) | | | | | | | | |
| 02/20/2018 | ***-**-169I - EVANS, PAUL ACCOUNT #: LSR011026 | AMERICAN FUNDS BALANCED PORT CL C BUY 1 Units @0.0000 | 0.00 | 6.47 | 0.00 | 6.47 | 0.0 | 0.00 |
| 02/20/2018 | ***-**-73UT - COBB, CHRISTIAN ACCOUNT #: LSR011104 | AMERICAN FUNDS BALANCED PORT CL C BUY 1 Units @0.0000 | 0.00 | 5.59 | 0.00 | 5.59 | 0.0 | 0.00 |
| 02/20/2018 | ***-**-67UT - COBB, ACCOUNT #: LSR011105 | AMERICAN FUNDS BALANCED PORT CL C BUY 1 Units @0.0000 | 0.00 | 5.59 | 0.00 | 5.59 | 0.0 | 0.00 |
| 02/20/2018 | ***-**-13IN - RHYMESTINE, ACCOUNT #: LSR011106 | AMERICAN FUNDS BALANCED PORT CL C BUY 1 Units @0.0000 | 0.00 | 2.67 | 0.00 | 2.67 | 0.0 | 0.00 |
| 02/20/2018 | ***-**-89IN - LEE, ROGER ACCOUNT #: LSR011166 | AMERICAN FUNDS BALANCED PORT CL C BUY 1 Units @0.0000 | 0.00 | 7.70 | 0.00 | 7.70 | 0.0 | 0.00 |
| 02/20/2018 | ***-**-31IO - WILLIAMSON, FBO ACCOUNT #: LSR011172 | AMERICAN FUNDS BALANCED PORT CL C BUY 1 Units @0.0000 | 0.00 | 16.48 | 0.00 | 16.48 | 0.0 | 0.00 |
| 02/20/2018 | ***-**-64IO - PFAFF, GEORGE ACCOUNT #: LSR011185 | AMERICAN FUNDS BALANCED PORT CL C BUY 1 Units @0.0000 | 0.00 | 5.16 | 0.00 | 5.16 | 0.0 | 0.00 |
| 02/20/2018 | ***-**-900J - LEE, MR. ACCOUNT #: LSR011186 | AMERICAN FUNDS BALANCED PORT CL C BUY 1 Units @0.0000 | 0.00 | 5.32 | 0.00 | 5.32 | 0.0 | 0.00 |
| 02/20/2018 | ***-**-62IR - ROBBIANO, FBO ACCOUNT #: LSR011195 | AMERICAN FUNDS BALANCED PORT CL C BUY 1 Units @0.0000 | 0.00 | 3.76 | 0.00 | 3.76 | 0.0 | 0.00 |
| 02/20/2018 | ***-**-02IN - BUSHEY, MELISSA ACCOUNT #: LSR011257 | AMERICAN FUNDS BALANCED PORT CL C BUY 1 Units @0.0000 | 0.00 | 3.78 | 0.00 | 3.78 | 0.0 | 0.00 |
| 02/20/2018 | ***-**-653I - KOICHEM, CLINTON ACCOUNT #: LSR011300 | AMERICAN FUNDS BALANCED PORT CL C BUY 1 Units @0.0000 | 0.00 | 3.82 | 0.00 | 3.82 | 0.0 | 0.00 |
| 02/20/2018 | ***-**-702I - KOICHEM, MICHAEL ACCOUNT #: LSR010954 | AMERICAN FUNDS BLNCD PORTFOLIO CL A BUY 1 Units @0.0000 | 0.00 | 4.27 | 0.00 | 4.27 | 0.0 | 0.00 |
| 02/20/2018 | ***-**-366I - GRUENEWALD, ACCOUNT #: LSR010989 | AMERICAN FUNDS BLNCD PORTFOLIO CL A BUY 1 Units @0.0000 | 0.00 | 1.98 | 0.00 | 1.98 | 0.0 | 0.00 |
| 02/20/2018 | ***-**-579J - RHYMESTINE, ACCOUNT #: LSR011081 | AMERICAN FUNDS BLNCD PORTFOLIO CL A BUY 1 Units @0.0000 | 0.00 | 0.83 | 0.00 | 0.83 | 0.0 | 0.00 |
| 02/20/2018 | ***-**-808J - GORMAN, RANDY ACCOUNT #: LSR011087 | AMERICAN FUNDS BLNCD PORTFOLIO CL A BUY 1 Units @0.0000 | 0.00 | 0.26 | 0.00 | 0.26 | 0.0 | 0.00 |
| 02/20/2018 | ***-**-326I - GRANDE, FBO MR ACCOUNT #: LSR011091 | AMERICAN FUNDS BLNCD PORTFOLIO CL A BUY 1 Units @0.0000 | 0.00 | 2.13 | 0.00 | 2.13 | 0.0 | 0.00 |



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| BROKER TRANSACTIONS (continued) | | | | | | | | |
| PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued) | | | | | | | | |
| 02/20/2018 | ***-**-62IR - ROBBIANO, FBO ACCOUNT #: LSR011195 | AMERICAN FUNDS GLBL GROWTH PORT CL BUY 1 Units @0.0000 | 0.00 | 3.51 | 0.00 | 3.51 | 0.0 | 0.00 |
| 02/20/2018 | ***-**-87IN - HINCKLEY, ACCOUNT #: LSR010834 | AMERICAN FUNDS MORTGAGE FD CL C BUY 1 Units @0.0000 | 0.00 | 6.59 | 0.00 | 6.59 | 0.0 | 0.00 |
| 02/20/2018 | ***-**-287J - HINCKLEY, ACCOUNT #: LSR010841 | AMERICAN FUNDS MORTGAGE FD CL C BUY 1 Units @0.0000 | 0.00 | 8.28 | 0.00 | 8.28 | 0.0 | 0.00 |
| 02/20/2018 | ***-**-881I - EBERLEY, SUSAN ACCOUNT #: LSR010858 | AMERICAN FUNDS MORTGAGE FD CL C BUY 1 Units @0.0000 | 0.00 | 7.41 | 0.00 | 7.41 | 0.0 | 0.00 |
| 02/20/2018 | ***-**-382I - SATTERLY, NEIL ACCOUNT #: LSR010867 | AMERICAN FUNDS MORTGAGE FD CL C BUY 1 Units @0.0000 | 0.00 | 8.62 | 0.00 | 8.62 | 0.0 | 0.00 |
| 02/20/2018 | ***-**-980I - ACEE, ELIZABETH ACCOUNT #: LSR010885 | AMERICAN FUNDS MORTGAGE FD CL C BUY 1 Units @0.0000 | 0.00 | 13.06 | 0.00 | 13.06 | 0.0 | 0.00 |
| 02/20/2018 | ***-**-48IO - CLARK, PATRICK ACCOUNT #: LSR010911 | AMERICAN FUNDS MORTGAGE FD CL C BUY 1 Units @0.0000 | 0.00 | 12.96 | 0.00 | 12.96 | 0.0 | 0.00 |
| 02/20/2018 | ***-**-31IO - HARTZ, CLAUDIA ACCOUNT #: LSR010915 | AMERICAN FUNDS MORTGAGE FD CL C BUY 1 Units @0.0000 | 0.00 | 5.00 | 0.00 | 5.00 | 0.0 | 0.00 |
| 02/20/2018 | ***-**-72IN - GAVALO, JULIE ACCOUNT #: LSR010921 | AMERICAN FUNDS MORTGAGE FD CL C BUY 1 Units @0.0000 | 0.00 | 13.02 | 0.00 | 13.02 | 0.0 | 0.00 |
| 02/20/2018 | ***-**-959I - FRANZ, PAUL ACCOUNT #: LSR010959 | AMERICAN FUNDS MORTGAGE FD CL C BUY 1 Units @0.0000 | 0.00 | 10.41 | 0.00 | 10.41 | 0.0 | 0.00 |
| 02/20/2018 | ***-**-065I - LAZIO, THOMAS ACCOUNT #: LSR010979 | AMERICAN FUNDS MORTGAGE FD CL C BUY 1 Units @0.0000 | 0.00 | 8.64 | 0.00 | 8.64 | 0.0 | 0.00 |
| 02/20/2018 | ***-**-80IN - COBB, JAMES ACCOUNT #: LSR011042 | AMERICAN FUNDS MORTGAGE FD CL C BUY 1 Units @0.0000 | 0.00 | 8.60 | 0.00 | 8.60 | 0.0 | 0.00 |
| 02/20/2018 | ***-**-00IO - LEE, GARY ACCOUNT #: LSR011059 | AMERICAN FUNDS MORTGAGE FD CL C BUY 1 Units @0.0000 | 0.00 | 8.72 | 0.00 | 8.72 | 0.0 | 0.00 |
| 02/20/2018 | ***-**-44IO - MAYO, DEBORAH ACCOUNT #: LSR011079 | AMERICAN FUNDS MORTGAGE FD CL C BUY 1 Units @0.0000 | 0.00 | 12.95 | 0.00 | 12.95 | 0.0 | 0.00 |
| 02/20/2018 | ***-**-579J - RHYMESTINE, ACCOUNT #: LSR011081 | AMERICAN FUNDS MORTGAGE FD CL C BUY 1 Units @0.0000 | 0.00 | 8.56 | 0.00 | 8.56 | 0.0 | 0.00 |
| 02/20/2018 | ***-**-09IO - BATES, FBO MRS ACCOUNT #: LSR011117 | AMERICAN FUNDS MORTGAGE FD CL C BUY 1 Units @0.0000 | 0.00 | 22.31 | 0.00 | 22.31 | 0.0 | 0.00 |



COMMISSION STATEMENT

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KURT GRUENEWALD
2108 Genesee St.
Utica, NY 13502

BROKER #: A77
BRANCH #01047 - 47 - GRIFFITH

| DATE | CLIENT | INVESTMENT | INVESTMENT AMOUNT | GROSS COMMISSION | CLEARING CHARGE | NET COMMISSION | RATE | BROKER COMMISSION |
|--|--------------------------------|------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| BROKER TRANSACTIONS (continued) | | | | | | | | |
| PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued) | | | | | | | | |
| 02/20/2018 | ***-**-48IO - ANACKER, FBO MRS | AMERICAN FUNDS MORTGAGE FD CL C | 0.00 | 6.49 | 0.00 | 6.49 | 0.0 | 0.00 |
| | ACCOUNT #: LSR011164 | BUY 1 Units @0.0000 | | | | | | |
| 02/20/2018 | ***-**-89IN - LEE, ROGER | AMERICAN FUNDS MORTGAGE FD CL C | 0.00 | 13.99 | 0.00 | 13.99 | 0.0 | 0.00 |
| | ACCOUNT #: LSR011166 | BUY 1 Units @0.0000 | | | | | | |
| 02/20/2018 | ***-**-094I - KATRENA L | AMERICAN FUNDS MORTGAGE FD CL C | 0.00 | 3.02 | 0.00 | 3.02 | 0.0 | 0.00 |
| | ACCOUNT #: LSR011188 | BUY 1 Units @0.0000 | | | | | | |
| 02/20/2018 | ***-**-439J - MCCARTHY, JAMES | AMERICAN FUNDS MORTGAGE FD CL C | 0.00 | 2.52 | 0.00 | 2.52 | 0.0 | 0.00 |
| | ACCOUNT #: LSR011205 | BUY 1 Units @0.0000 | | | | | | |
| 02/20/2018 | ***-**-52IO - EUSEPI, SUSAN | AMERICAN FUNDS MORTGAGE FD CL C | 0.00 | 3.00 | 0.00 | 3.00 | 0.0 | 0.00 |
| | ACCOUNT #: LSR011219 | BUY 1 Units @0.0000 | | | | | | |
| 02/20/2018 | ***-**-473J - HUSTON, | AMERICAN FUNDS MORTGAGE FD CL C | 0.00 | 8.68 | 0.00 | 8.68 | 0.0 | 0.00 |
| | ACCOUNT #: LSR011228 | BUY 1 Units @0.0000 | | | | | | |
| 02/20/2018 | ***-**-80IO - EVANS, RICHARD | AMERICAN FUNDS MORTGAGE FD CL C | 0.00 | 6.87 | 0.00 | 6.87 | 0.0 | 0.00 |
| | ACCOUNT #: LSR011276 | BUY 1 Units @0.0000 | | | | | | |
| 02/20/2018 | ***-**-376I - BERBEN, GAIL | AMERICAN FUNDS MORTGAGE FD CL C | 0.00 | 8.43 | 0.00 | 8.43 | 0.0 | 0.00 |
| | ACCOUNT #: LSR011380 | BUY 1 Units @0.0000 | | | | | | |
| 02/20/2018 | ***-**-21IO - RADELL, SANDRA | AMERICAN FUNDS MORTGAGE FD CL C | 0.00 | 8.42 | 0.00 | 8.42 | 0.0 | 0.00 |
| | ACCOUNT #: LSR011392 | BUY 1 Units @0.0000 | | | | | | |
| 02/20/2018 | ***-**-45IO - JOHNSON, GREGORY | AMERICAN FUNDS MORTGAGE FD CL C | 0.00 | 16.84 | 0.00 | 16.84 | 0.0 | 0.00 |
| | ACCOUNT #: LSR011421 | BUY 1 Units @0.0000 | | | | | | |
| 02/20/2018 | ***-**-420T - DEMETRI, AMELIA | AMERICAN FUNDS PRESERVATION PORT C | 0.00 | 4.25 | 0.00 | 4.25 | 0.0 | 0.00 |
| | ACCOUNT #: LSR010994 | BUY 1 Units @0.0000 | | | | | | |
| 02/20/2018 | ***-**-881J - EBERLEY, SUSAN | AMERICAN GLOBAL BALANCED CL C | 0.00 | 9.77 | 0.00 | 9.77 | 0.0 | 0.00 |
| | ACCOUNT #: LSR010856 | BUY 1 Units @0.0000 | | | | | | |
| 02/20/2018 | ***-**-382I - SATTERLY, NEIL | AMERICAN GLOBAL BALANCED CL C | 0.00 | 11.82 | 0.00 | 11.82 | 0.0 | 0.00 |
| | ACCOUNT #: LSR010867 | BUY 1 Units @0.0000 | | | | | | |
| 02/20/2018 | ***-**-382K - SATTERLY, NEIL | AMERICAN GLOBAL BALANCED CL C | 0.00 | 4.37 | 0.00 | 4.37 | 0.0 | 0.00 |
| | ACCOUNT #: LSR010875 | BUY 1 Units @0.0000 | | | | | | |
| 02/20/2018 | ***-**-980I - ACEE, ELIZABETH | AMERICAN GLOBAL BALANCED CL C | 0.00 | 14.78 | 0.00 | 14.78 | 0.0 | 0.00 |
| | ACCOUNT #: LSR010885 | BUY 1 Units @0.0000 | | | | | | |
| 02/20/2018 | ***-**-48IO - CLARK, PATRICK | AMERICAN GLOBAL BALANCED CL C | 0.00 | 11.62 | 0.00 | 11.62 | 0.0 | 0.00 |
| | ACCOUNT #: LSR010911 | BUY 1 Units @0.0000 | | | | | | |



COMMISSION STATEMENT

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BRANCH #01047 - 47 - GRIFFITH

| DATE | CLIENT | INVESTMENT | INVESTMENT AMOUNT | GROSS COMMISSION | CLEARING CHARGE | NET COMMISSION | RATE | BROKER COMMISSION |
|--|--------------------------------|-------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| BROKER TRANSACTIONS (continued) | | | | | | | | |
| PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued) | | | | | | | | |
| 02/20/2018 | ***-**-72IN - GAVALO, JULIE | AMERICAN GLOBAL BALANCED CL C | 0.00 | 11.29 | 0.00 | 11.29 | 0.0 | 0.00 |
| | ACCOUNT #: LSR010921 | BUY 1 Units @0.0000 | | | | | | |
| 02/20/2018 | ***-**-065I - LAZIO, THOMAS | AMERICAN GLOBAL BALANCED CL C | 0.00 | 13.04 | 0.00 | 13.04 | 0.0 | 0.00 |
| | ACCOUNT #: LSR010979 | BUY 1 Units @0.0000 | | | | | | |
| 02/20/2018 | ***-**-420T - DEMETRI, AMELIA | AMERICAN GLOBAL BALANCED CL C | 0.00 | 7.29 | 0.00 | 7.29 | 0.0 | 0.00 |
| | ACCOUNT #: LSR010994 | BUY 1 Units @0.0000 | | | | | | |
| 02/20/2018 | ***-**-73TR - WESTCOTT IRRVOC | AMERICAN GLOBAL BALANCED CL C | 0.00 | 15.05 | 0.00 | 15.05 | 0.0 | 0.00 |
| | ACCOUNT #: LSR011001 | BUY 1 Units @0.0000 | | | | | | |
| 02/20/2018 | ***-**-73TR - WESTCOTT IRRVOC | AMERICAN GLOBAL BALANCED CL C | 0.00 | 29.57 | 0.00 | 29.57 | 0.0 | 0.00 |
| | ACCOUNT #: LSR011008 | BUY 1 Units @0.0000 | | | | | | |
| 02/20/2018 | ***-**-80IN - COBB, JAMES | AMERICAN GLOBAL BALANCED CL C | 0.00 | 8.27 | 0.00 | 8.27 | 0.0 | 0.00 |
| | ACCOUNT #: LSR011042 | BUY 1 Units @0.0000 | | | | | | |
| 02/20/2018 | ***-**-00IO - LEE, GARY | AMERICAN GLOBAL BALANCED CL C | 0.00 | 13.77 | 0.00 | 13.77 | 0.0 | 0.00 |
| | ACCOUNT #: LSR011059 | BUY 1 Units @0.0000 | | | | | | |
| 02/20/2018 | ***-**-44IO - MAYO, DEBORAH | AMERICAN GLOBAL BALANCED CL C | 0.00 | 24.83 | 0.00 | 24.83 | 0.0 | 0.00 |
| | ACCOUNT #: LSR011079 | BUY 1 Units @0.0000 | | | | | | |
| 02/20/2018 | ***-**-09IO - BATES, FBO MRS | AMERICAN GLOBAL BALANCED CL C | 0.00 | 17.42 | 0.00 | 17.42 | 0.0 | 0.00 |
| | ACCOUNT #: LSR011117 | BUY 1 Units @0.0000 | | | | | | |
| 02/20/2018 | ***-**-094I - KATRENA L | AMERICAN GLOBAL BALANCED CL C | 0.00 | 7.81 | 0.00 | 7.81 | 0.0 | 0.00 |
| | ACCOUNT #: LSR011188 | BUY 1 Units @0.0000 | | | | | | |
| 02/20/2018 | ***-**-11IO - LYNN G. | AMERICAN GLOBAL BALANCED CL C | 0.00 | 20.01 | 0.00 | 20.01 | 0.0 | 0.00 |
| | ACCOUNT #: LSR011239 | BUY 1 Units @0.0000 | | | | | | |
| 02/20/2018 | ***-**-07IO - FAMOLARO, JAMES | AMERICAN GLOBAL BALANCED CL C | 0.00 | 5.92 | 0.00 | 5.92 | 0.0 | 0.00 |
| | ACCOUNT #: LSR011280 | BUY 1 Units @0.0000 | | | | | | |
| 02/20/2018 | ***-**-376I - BERBEN, GAIL | AMERICAN GLOBAL BALANCED CL C | 0.00 | 18.60 | 0.00 | 18.60 | 0.0 | 0.00 |
| | ACCOUNT #: LSR011380 | BUY 1 Units @0.0000 | | | | | | |
| 02/20/2018 | ***-**-21IO - RADELL, SANDRA | AMERICAN GLOBAL BALANCED CL C | 0.00 | 5.96 | 0.00 | 5.96 | 0.0 | 0.00 |
| | ACCOUNT #: LSR011392 | BUY 1 Units @0.0000 | | | | | | |
| 02/20/2018 | ***-**-45IO - JOHNSON, GREGORY | AMERICAN GLOBAL BALANCED CL C | 0.00 | 17.55 | 0.00 | 17.55 | 0.0 | 0.00 |
| | ACCOUNT #: LSR011421 | BUY 1 Units @0.0000 | | | | | | |
| 02/20/2018 | ***-**-14IO - BUSHEY, MATTHEW | AMERICAN GLOBAL BALANCED CL C | 0.00 | 19.95 | 0.00 | 19.95 | 0.0 | 0.00 |
| | ACCOUNT #: LSR011498 | BUY 1 Units @0.0000 | | | | | | |



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|--|--|--|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| BROKER TRANSACTIONS (continued) | | | | | | | | |
| PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued) | | | | | | | | |
| 02/20/2018 | ***-**-37IO - MCCLUSKY, MARK ACCOUNT #: LSR011579 | AMERICAN GLOBAL BALANCED CL C BUY 1 Units @0.0000 | 0.00 | 9.74 | 0.00 | 9.74 | 0.0 | 0.00 |
| 02/20/2018 | ***-**-86IN - LEE, KEVIN ACCOUNT #: LSR011613 | AMERICAN GLOBAL BALANCED CL C BUY 1 Units @0.0000 | 0.00 | 8.69 | 0.00 | 8.69 | 0.0 | 0.00 |
| 02/20/2018 | ***-**-03IO - MASTRANGELO, ACCOUNT #: LSR011679 | AMERICAN GLOBAL BALANCED CL C BUY 1 Units @0.0000 | 0.00 | 9.83 | 0.00 | 9.83 | 0.0 | 0.00 |
| 02/20/2018 | ***-**-633J - ACCOUNT #: LSR011732 | AMERICAN GLOBAL BALANCED CL C BUY 1 Units @0.0000 | 0.00 | 3.34 | 0.00 | 3.34 | 0.0 | 0.00 |
| 02/20/2018 | ***-**-702I - KOCHER, MICHAEL ACCOUNT #: LSR010954 | AMERICAN GLOBAL BALANCED CLASS A BUY 1 Units @0.0000 | 0.00 | 2.70 | 0.00 | 2.70 | 0.0 | 0.00 |
| 02/20/2018 | ***-**-63TR - EVANS, AUDREY J ACCOUNT #: LSR011036 | AMERICAN GLOBAL BALANCED CLASS A BUY 1 Units @0.0000 | 0.00 | 6.21 | 0.00 | 6.21 | 0.0 | 0.00 |
| 02/20/2018 | ***-**-30TR - AND SANDRA ACCOUNT #: LSR011939 | AMERICAN GLOBAL BALANCED CLASS A BUY 1 Units @0.0000 | 0.00 | 1.60 | 0.00 | 1.60 | 0.0 | 0.00 |
| 02/20/2018 | ***-**-287I - HINCKLEY, ACCOUNT #: LSR010843 | AMERICAN MUTUAL FUND-A BUY 1 Units @0.0000 | 0.00 | 5.67 | 0.00 | 5.67 | 0.0 | 0.00 |
| 02/20/2018 | ***-**-13IN - GRUENEWALD, ACCOUNT #: LSR011210 | AMERICAN WASHINGTON MUTUAL INVESTOR BUY 1 Units @0.0000 | 0.00 | 0.35 | 0.00 | 0.35 | 0.0 | 0.00 |
| 02/26/2018 | ***-**-959I - FRANZ, PAUL ACCOUNT #: LSR010959 | BLACKROCK US OPPORT CL A BUY 1 Units @0.0000 | 0.00 | 0.40 | 0.00 | 0.40 | 0.0 | 0.00 |
| 02/20/2018 | ***-**-254I - AUGUSTINE, LINDA ACCOUNT #: LSR010846 | CAPITAL INCOME BUILDER CLASS C BUY 1 Units @0.0000 | 0.00 | 7.53 | 0.00 | 7.53 | 0.0 | 0.00 |
| 02/20/2018 | ***-**-881J - EBERLEY, SUSAN ACCOUNT #: LSR010856 | CAPITAL INCOME BUILDER CLASS C BUY 1 Units @0.0000 | 0.00 | 5.10 | 0.00 | 5.10 | 0.0 | 0.00 |
| 02/20/2018 | ***-**-382I - SATTERLY, NEIL ACCOUNT #: LSR010867 | CAPITAL INCOME BUILDER CLASS C BUY 1 Units @0.0000 | 0.00 | 15.26 | 0.00 | 15.26 | 0.0 | 0.00 |
| 02/20/2018 | ***-**-949I - ACEE, JOSPEH ACCOUNT #: LSR010908 | CAPITAL INCOME BUILDER CLASS C BUY 1 Units @0.0000 | 0.00 | 4.99 | 0.00 | 4.99 | 0.0 | 0.00 |
| 02/20/2018 | ***-**-31IO - HARTZ, CLAUDIA ACCOUNT #: LSR010915 | CAPITAL INCOME BUILDER CLASS C BUY 1 Units @0.0000 | 0.00 | 5.60 | 0.00 | 5.60 | 0.0 | 0.00 |
| 02/20/2018 | ***-**-15IN - PENDRAK, JOHN ACCOUNT #: LSR010948 | CAPITAL INCOME BUILDER CLASS C BUY 1 Units @0.0000 | 0.00 | 9.21 | 0.00 | 9.21 | 0.0 | 0.00 |



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|--|--|---|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| BROKER TRANSACTIONS (continued) | | | | | | | | |
| PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued) | | | | | | | | |
| 02/20/2018 | ***-**-959I - FRANZ, PAUL ACCOUNT #: LSR010959 | CAPITAL INCOME BUILDER CLASS C BUY 1 Units @0.0000 | 0.00 | 12.35 | 0.00 | 12.35 | 0.0 | 0.00 |
| 02/20/2018 | ***-**-960J - MASTRANGELO, ACCOUNT #: LSR010966 | CAPITAL INCOME BUILDER CLASS C BUY 1 Units @0.0000 | 0.00 | 9.90 | 0.00 | 9.90 | 0.0 | 0.00 |
| 02/20/2018 | ***-**-065I - LAZIO, THOMAS ACCOUNT #: LSR010979 | CAPITAL INCOME BUILDER CLASS C BUY 1 Units @0.0000 | 0.00 | 7.09 | 0.00 | 7.09 | 0.0 | 0.00 |
| 02/20/2018 | ***-**-51IO - CAIN, TIMOTHY ACCOUNT #: LSR011007 | CAPITAL INCOME BUILDER CLASS C BUY 1 Units @0.0000 | 0.00 | 7.66 | 0.00 | 7.66 | 0.0 | 0.00 |
| 02/20/2018 | ***-**-63TR - EVANS, AUDREY J ACCOUNT #: LSR011036 | CAPITAL INCOME BUILDER CLASS C BUY 1 Units @0.0000 | 0.00 | 5.46 | 0.00 | 5.46 | 0.0 | 0.00 |
| 02/20/2018 | ***-**-861I - SANGER, LAWRENCE ACCOUNT #: LSR011095 | CAPITAL INCOME BUILDER CLASS C BUY 1 Units @0.0000 | 0.00 | 1.90 | 0.00 | 1.90 | 0.0 | 0.00 |
| 02/20/2018 | ***-**-13IN - RHYMESTINE, ACCOUNT #: LSR011106 | CAPITAL INCOME BUILDER CLASS C BUY 1 Units @0.0000 | 0.00 | 5.70 | 0.00 | 5.70 | 0.0 | 0.00 |
| 02/20/2018 | ***-**-506J - CURRIERE JR, MR ACCOUNT #: LSR011121 | CAPITAL INCOME BUILDER CLASS C BUY 1 Units @0.0000 | 0.00 | 4.03 | 0.00 | 4.03 | 0.0 | 0.00 |
| 02/20/2018 | ***-**-31IO - WILLIAMSON, FBO ACCOUNT #: LSR011172 | CAPITAL INCOME BUILDER CLASS C BUY 1 Units @0.0000 | 0.00 | 17.78 | 0.00 | 17.78 | 0.0 | 0.00 |
| 02/20/2018 | ***-**-62IR - ROBBIANO, FBO ACCOUNT #: LSR011195 | CAPITAL INCOME BUILDER CLASS C BUY 1 Units @0.0000 | 0.00 | 7.31 | 0.00 | 7.31 | 0.0 | 0.00 |
| 02/20/2018 | ***-**-02IN - BUSHEY, MELISSA ACCOUNT #: LSR011257 | CAPITAL INCOME BUILDER CLASS C BUY 1 Units @0.0000 | 0.00 | 2.99 | 0.00 | 2.99 | 0.0 | 0.00 |
| 02/20/2018 | ***-**-287I - HINCKLEY, ACCOUNT #: LSR010843 | CAPITAL INCOME BUILDER-A BUY 1 Units @0.0000 | 0.00 | 4.32 | 0.00 | 4.32 | 0.0 | 0.00 |
| 02/20/2018 | ***-**-702I - KOCHER, MICHAEL ACCOUNT #: LSR010954 | CAPITAL INCOME BUILDER-A BUY 1 Units @0.0000 | 0.00 | 3.84 | 0.00 | 3.84 | 0.0 | 0.00 |
| 02/20/2018 | ***-**-366I - GRUENEWALD, ACCOUNT #: LSR010989 | CAPITAL INCOME BUILDER-A BUY 1 Units @0.0000 | 0.00 | 2.68 | 0.00 | 2.68 | 0.0 | 0.00 |
| 02/20/2018 | ***-**-20IO - DEMETRI, AMELIA ACCOUNT #: LSR010995 | CAPITAL INCOME BUILDER-A BUY 1 Units @0.0000 | 0.00 | 1.04 | 0.00 | 1.04 | 0.0 | 0.00 |
| 02/20/2018 | ***-**-579J - RHYMESTINE, ACCOUNT #: LSR011081 | CAPITAL INCOME BUILDER-A BUY 1 Units @0.0000 | 0.00 | 2.30 | 0.00 | 2.30 | 0.0 | 0.00 |



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| BROKER TRANSACTIONS (continued) | | | | | | | | |
| PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued) | | | | | | | | |
| 02/20/2018 | ***-**-680I - HARRELL, DARYL | CAPITAL INCOME BUILDER-A | 0.00 | 0.32 | 0.00 | 0.32 | 0.0 | 0.00 |
| | ACCOUNT #: LSR011321 | BUY 1 Units @0.0000 | | | | | | |
| 02/20/2018 | ***-**-30TR - AND SANDRA | CAPITAL INCOME BUILDER-A | 0.00 | 2.26 | 0.00 | 2.26 | 0.0 | 0.00 |
| | ACCOUNT #: LSR011939 | BUY 1 Units @0.0000 | | | | | | |
| 02/20/2018 | ***-**-702I - KOCHER, MICHAEL | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00 | 3.90 | 0.00 | 3.90 | 0.0 | 0.00 |
| | ACCOUNT #: LSR010954 | BUY 1 Units @0.0000 | | | | | | |
| 02/20/2018 | ***-**-20IO - DEMETRI, AMELIA | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00 | 1.62 | 0.00 | 1.62 | 0.0 | 0.00 |
| | ACCOUNT #: LSR010995 | BUY 1 Units @0.0000 | | | | | | |
| 02/20/2018 | ***-**-579J - RHYMESTINE, | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00 | 1.89 | 0.00 | 1.89 | 0.0 | 0.00 |
| | ACCOUNT #: LSR011081 | BUY 1 Units @0.0000 | | | | | | |
| 02/20/2018 | ***-**-326J - GRANDE, MR | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00 | 1.50 | 0.00 | 1.50 | 0.0 | 0.00 |
| | ACCOUNT #: LSR011089 | BUY 1 Units @0.0000 | | | | | | |
| 02/20/2018 | ***-**-326I - GRANDE, FBO MR | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00 | 1.63 | 0.00 | 1.63 | 0.0 | 0.00 |
| | ACCOUNT #: LSR011091 | BUY 1 Units @0.0000 | | | | | | |
| 02/20/2018 | ***-**-48IO - ANACKER, FBO MRS | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00 | 1.16 | 0.00 | 1.16 | 0.0 | 0.00 |
| | ACCOUNT #: LSR011164 | BUY 1 Units @0.0000 | | | | | | |
| 02/20/2018 | ***-**-680I - HARRELL, DARYL | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00 | 1.47 | 0.00 | 1.47 | 0.0 | 0.00 |
| | ACCOUNT #: LSR011321 | BUY 1 Units @0.0000 | | | | | | |
| 02/20/2018 | ***-**-128I - BASHANT, THOMAS | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00 | 1.58 | 0.00 | 1.58 | 0.0 | 0.00 |
| | ACCOUNT #: LSR011387 | BUY 1 Units @0.0000 | | | | | | |
| 02/20/2018 | ***-**-30TR - AND SANDRA | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00 | 2.59 | 0.00 | 2.59 | 0.0 | 0.00 |
| | ACCOUNT #: LSR011939 | BUY 1 Units @0.0000 | | | | | | |
| 02/20/2018 | ***-**-09IO - BATES, FBO MRS | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00 | 11.13 | 0.00 | 11.13 | 0.0 | 0.00 |
| | ACCOUNT #: LSR011117 | BUY 1 Units @0.0000 | | | | | | |
| 02/20/2018 | ***-**-11IO - LYNN G. | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00 | 14.66 | 0.00 | 14.66 | 0.0 | 0.00 |
| | ACCOUNT #: LSR011239 | BUY 1 Units @0.0000 | | | | | | |
| 02/20/2018 | ***-**-45IO - JOHNSON, GREGORY | CAPITAL WORLD GROWTH AND INCOME FUN | 0.00 | 8.33 | 0.00 | 8.33 | 0.0 | 0.00 |
| | ACCOUNT #: LSR011421 | BUY 1 Units @0.0000 | | | | | | |
| 02/20/2018 | ***-**-71IO - FAMOLARO, JAMES | CLEARBRIDGE AGGRESSIVE GROWTH A | 0.00 | 0.52 | 0.00 | 0.52 | 0.0 | 0.00 |
| | ACCOUNT #: LSR011279 | BUY 1 Units @0.0000 | | | | | | |
| 02/20/2018 | ***-**-959I - FRANZ, PAUL | COLUMBIA MARSICO FOCUSED EQ CL A | 0.00 | 0.24 | 0.00 | 0.24 | 0.0 | 0.00 |
| | ACCOUNT #: LSR010959 | BUY 1 Units @0.0000 | | | | | | |



COMMISSION STATEMENT

February 26, 2018

KURT GRUENEWALD
2108 Genesee St.
Utica, NY 13502

BROKER #: A77
BRANCH #01047 - 47 - GRIFFITH

| DATE | CLIENT | INVESTMENT | INVESTMENT AMOUNT | GROSS COMMISSION | CLEARING CHARGE | NET COMMISSION | RATE | BROKER COMMISSION |
|--|--------------------------------|----------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| BROKER TRANSACTIONS (continued) | | | | | | | | |
| PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued) | | | | | | | | |
| 02/26/2018 | ***-**-949I - ACEE, JOSPEH | DEVELOPING MARKETS FUND B | 0.00 | 1.37 | 0.00 | 1.37 | 0.0 | 0.00 |
| | ACCOUNT #: LSR010908 | BUY 1 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-506J - CURRIERE JR, MR | DEVELOPING MARKETS FUND B | 0.00 | 0.92 | 0.00 | 0.92 | 0.0 | 0.00 |
| | ACCOUNT #: LSR011121 | BUY 1 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-48IO - ANACKER, FBO MRS | DEVELOPING MARKETS FUND B | 0.00 | 1.01 | 0.00 | 1.01 | 0.0 | 0.00 |
| | ACCOUNT #: LSR011164 | BUY 1 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-64IO - PFAFF, GEORGE | DEVELOPING MARKETS FUND B | 0.00 | 1.62 | 0.00 | 1.62 | 0.0 | 0.00 |
| | ACCOUNT #: LSR011185 | BUY 1 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-62IR - ROBBIANO, FBO | DEVELOPING MARKETS FUND B | 0.00 | 1.25 | 0.00 | 1.25 | 0.0 | 0.00 |
| | ACCOUNT #: LSR011195 | BUY 1 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-653I - KOCHER, CLINTON | DEVELOPING MARKETS FUND B | 0.00 | 2.59 | 0.00 | 2.59 | 0.0 | 0.00 |
| | ACCOUNT #: LSR011300 | BUY 1 Units @0.0000 | | | | | | |
| 02/21/2018 | ***-**-944O - MAYO, DEBORAH | EATON VANCE MF TRAILS | 0.00 | 0.19 | 0.00 | 0.19 | 0.0 | 0.00 |
| | ACCOUNT #: 5034930049 | BUY 0 Units @0.0000 | | | | | | |
| 02/21/2018 | ***-**-944O - MAYO, DEBORAH | EATON VANCE MF TRAILS | 0.00 | 0.24 | 0.00 | 0.24 | 0.0 | 0.00 |
| | ACCOUNT #: 5034930049 | BUY 0 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-254I - AUGUSTINE, LINDA | EQUITY INCOME FUND, INC. A | 0.00 | 2.47 | 0.00 | 2.47 | 0.0 | 0.00 |
| | ACCOUNT #: LSR010846 | BUY 1 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-881J - EBERLEY, SUSAN | EQUITY INCOME FUND, INC. A | 0.00 | 2.38 | 0.00 | 2.38 | 0.0 | 0.00 |
| | ACCOUNT #: LSR010856 | BUY 1 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-15IN - PENDRAK, JOHN | EQUITY INCOME FUND, INC. A | 0.00 | 2.01 | 0.00 | 2.01 | 0.0 | 0.00 |
| | ACCOUNT #: LSR010948 | BUY 1 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-702I - KOCHER, MICHAEL | EQUITY INCOME FUND, INC. A | 0.00 | 2.18 | 0.00 | 2.18 | 0.0 | 0.00 |
| | ACCOUNT #: LSR010954 | BUY 1 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-959I - FRANZ, PAUL | EQUITY INCOME FUND, INC. A | 0.00 | 2.41 | 0.00 | 2.41 | 0.0 | 0.00 |
| | ACCOUNT #: LSR010959 | BUY 1 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-960J - MASTRANGELO, | EQUITY INCOME FUND, INC. A | 0.00 | 2.56 | 0.00 | 2.56 | 0.0 | 0.00 |
| | ACCOUNT #: LSR010966 | BUY 1 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-51IO - CAIN, TIMOTHY | EQUITY INCOME FUND, INC. A | 0.00 | 2.72 | 0.00 | 2.72 | 0.0 | 0.00 |
| | ACCOUNT #: LSR011007 | BUY 1 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-761I - EVANS, DOLORES | EQUITY INCOME FUND, INC. A | 0.00 | 4.88 | 0.00 | 4.88 | 0.0 | 0.00 |
| | ACCOUNT #: LSR011024 | BUY 1 Units @0.0000 | | | | | | |



COMMISSION STATEMENT

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|--|--------------------------------|----------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| BROKER TRANSACTIONS (continued) | | | | | | | | |
| PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued) | | | | | | | | |
| 02/26/2018 | ***-**-9440 - MAYO, DEBORAH | EQUITY INCOME FUND, INC. A | 0.00 | 1.18 | 0.00 | 1.18 | 0.0 | 0.00 |
| | ACCOUNT #: LSR011035 | BUY 1 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-579I - RHYMESTINE, | EQUITY INCOME FUND, INC. A | 0.00 | 1.82 | 0.00 | 1.82 | 0.0 | 0.00 |
| | ACCOUNT #: LSR011082 | BUY 1 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-861I - SANGER, LAWRENCE | EQUITY INCOME FUND, INC. A | 0.00 | 1.41 | 0.00 | 1.41 | 0.0 | 0.00 |
| | ACCOUNT #: LSR011095 | BUY 1 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-680I - HARRELL, DARYL | EQUITY INCOME FUND, INC. A | 0.00 | 0.91 | 0.00 | 0.91 | 0.0 | 0.00 |
| | ACCOUNT #: LSR011321 | BUY 1 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-287J - HINCKLEY, | EQUITY INCOME FUND, INC. B | 0.00 | 0.63 | 0.00 | 0.63 | 0.0 | 0.00 |
| | ACCOUNT #: LSR010841 | BUY 1 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-949I - ACEE, JOSPEH | EQUITY INCOME FUND, INC. B | 0.00 | 2.69 | 0.00 | 2.69 | 0.0 | 0.00 |
| | ACCOUNT #: LSR010908 | BUY 1 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-567I - FRANZ, ALICE | EQUITY INCOME FUND, INC. B | 0.00 | 6.39 | 0.00 | 6.39 | 0.0 | 0.00 |
| | ACCOUNT #: LSR010960 | BUY 1 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-366I - GRUENEWALD, | EQUITY INCOME FUND, INC. B | 0.00 | 1.41 | 0.00 | 1.41 | 0.0 | 0.00 |
| | ACCOUNT #: LSR010989 | BUY 1 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-306X - COBB, CHERRYL | EQUITY INCOME FUND, INC. B | 0.00 | 2.10 | 0.00 | 2.10 | 0.0 | 0.00 |
| | ACCOUNT #: LSR011037 | BUY 1 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-506J - CURRIERE JR, MR | EQUITY INCOME FUND, INC. B | 0.00 | 1.19 | 0.00 | 1.19 | 0.0 | 0.00 |
| | ACCOUNT #: LSR011121 | BUY 1 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-48IO - ANACKER, FBO MRS | EQUITY INCOME FUND, INC. B | 0.00 | 1.80 | 0.00 | 1.80 | 0.0 | 0.00 |
| | ACCOUNT #: LSR011164 | BUY 1 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-64IO - PFAFF, GEORGE | EQUITY INCOME FUND, INC. B | 0.00 | 2.25 | 0.00 | 2.25 | 0.0 | 0.00 |
| | ACCOUNT #: LSR011185 | BUY 1 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-62IR - ROBBIANO, FBO | EQUITY INCOME FUND, INC. B | 0.00 | 1.61 | 0.00 | 1.61 | 0.0 | 0.00 |
| | ACCOUNT #: LSR011195 | BUY 1 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-653I - KOCHER, CLINTON | EQUITY INCOME FUND, INC. B | 0.00 | 3.34 | 0.00 | 3.34 | 0.0 | 0.00 |
| | ACCOUNT #: LSR011300 | BUY 1 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-980I - ACEE, ELIZABETH | EQUITY INCOME FUND, INC. C | 0.00 | 14.78 | 0.00 | 14.78 | 0.0 | 0.00 |
| | ACCOUNT #: LSR010885 | BUY 1 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-031O - MCVOY, ROBERT | EQUITY INCOME FUND, INC. C | 0.00 | 6.67 | 0.00 | 6.67 | 0.0 | 0.00 |
| | ACCOUNT #: LSR010916 | BUY 1 Units @0.0000 | | | | | | |



COMMISSION STATEMENT

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| BROKER TRANSACTIONS (continued) | | | | | | | | |
| PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued) | | | | | | | | |
| 02/26/2018 | ***-**-00IO - LEE, GARY ACCOUNT #: LSR011059 | EQUITY INCOME FUND, INC. C BUY 1 Units @0.0000 | 0.00 | 14.71 | 0.00 | 14.71 | 0.0 | 0.00 |
| 02/26/2018 | ***-**-28IN - BYWATER, KIM ACCOUNT #: LSR011995 | EQUITY INCOME FUND, INC. C BUY 1 Units @0.0000 | 0.00 | 1.73 | 0.00 | 1.73 | 0.0 | 0.00 |
| 02/20/2018 | ***-**-20IO - DEMETRI, AMELIA ACCOUNT #: LSR010995 | EUROPACIFIC GROWTH FUND-A BUY 1 Units @0.0000 | 0.00 | 1.67 | 0.00 | 1.67 | 0.0 | 0.00 |
| 02/20/2018 | ***-**-326I - GRANDE, FBO MR ACCOUNT #: LSR011091 | EUROPACIFIC GROWTH FUND-A BUY 1 Units @0.0000 | 0.00 | 1.39 | 0.00 | 1.39 | 0.0 | 0.00 |
| 02/20/2018 | ***-**-680I - HARRELL, DARYL ACCOUNT #: LSR011321 | EUROPACIFIC GROWTH FUND-A BUY 1 Units @0.0000 | 0.00 | 0.67 | 0.00 | 0.67 | 0.0 | 0.00 |
| 02/26/2018 | ***-**-111J - NESSIA, JAMES ACCOUNT #: LSR011054 | FIDELITY ADV EMERGING MRKTS INC CL BUY 1 Units @0.0000 | 0.00 | 0.81 | 0.00 | 0.81 | 0.0 | 0.00 |
| 02/26/2018 | ***-**-62IN - EATON, DAVID ACCOUNT #: LSR011315 | FIDELITY ADV EMERGING MRKTS INC CL BUY 1 Units @0.0000 | 0.00 | 1.24 | 0.00 | 1.24 | 0.0 | 0.00 |
| 02/26/2018 | ***-**-930I - SANGER, KEVIN ACCOUNT #: LSR010941 | FIDELITY ADV EQUITY INCOME CL A BUY 1 Units @0.0000 | 0.00 | 2.28 | 0.00 | 2.28 | 0.0 | 0.00 |
| 02/26/2018 | ***-**-579I - RHYMESTINE, ACCOUNT #: LSR011082 | FIDELITY ADV INDUSTRIALS-CL C BUY 1 Units @0.0000 | 0.00 | 15.37 | 0.00 | 15.37 | 0.0 | 0.00 |
| 02/26/2018 | ***-**-579I - RHYMESTINE, ACCOUNT #: LSR011082 | FIDELITY ADV SMALL CAP CL C BUY 1 Units @0.0000 | 0.00 | 5.28 | 0.00 | 5.28 | 0.0 | 0.00 |
| 02/26/2018 | ***-**-579I - RHYMESTINE, ACCOUNT #: LSR011082 | FIDELITY ADV STOCK SELECTOR ALL CAP BUY 1 Units @0.0000 | 0.00 | 5.05 | 0.00 | 5.05 | 0.0 | 0.00 |
| 02/26/2018 | ***-**-579I - RHYMESTINE, ACCOUNT #: LSR011082 | FIDELITY ADVISOR EQUITY INCOME CL C BUY 1 Units @0.0000 | 0.00 | 21.70 | 0.00 | 21.70 | 0.0 | 0.00 |
| 02/26/2018 | ***-**-579I - RHYMESTINE, ACCOUNT #: LSR011082 | FIDELITY ADVISOR INT'L DISCOVERY CL BUY 1 Units @0.0000 | 0.00 | 17.09 | 0.00 | 17.09 | 0.0 | 0.00 |
| 02/26/2018 | ***-**-579I - RHYMESTINE, ACCOUNT #: LSR011082 | FIDELITY ADVISOR INTERMEDIATE BOND BUY 1 Units @0.0000 | 0.00 | 8.39 | 0.00 | 8.39 | 0.0 | 0.00 |
| 02/26/2018 | ***-**-15IN - PENDRAK, JOHN ACCOUNT #: LSR010948 | FIDELITY ADVISOR MORTGAGE SECS CL A BUY 1 Units @0.0000 | 0.00 | 2.13 | 0.00 | 2.13 | 0.0 | 0.00 |
| 02/26/2018 | ***-**-02IN - BUSHEY, MELISSA ACCOUNT #: LSR011257 | FIDELITY ADVISOR MORTGAGE SECS CL A BUY 1 Units @0.0000 | 0.00 | 0.25 | 0.00 | 0.25 | 0.0 | 0.00 |



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| BROKER TRANSACTIONS (continued) | | | | | | | | |
| PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued) | | | | | | | | |
| 02/26/2018 | ***-**-579I - RHYMESTINE, ACCOUNT #: LSR011082 | FIDELITY ADVISOR MORTGAGE SECS CL C BUY 1 Units @0.0000 | 0.00 | 5.83 | 0.00 | 5.83 | 0.0 | 0.00 |
| 02/26/2018 | ***-**-287I - HINCKLEY, ACCOUNT #: LSR010843 | FIDELITY GOVT MMKT CAPITAL RESERVES BUY 1 Units @0.0000 | 0.00 | 0.00 | 0.00 | 0.00 | 0.0 | 0.00 |
| 02/26/2018 | ***-**-00IO - LEE, GARY ACCOUNT #: LSR011059 | FIDELITY GOVT MMKT CAPITAL RESERVES BUY 1 Units @0.0000 | 0.00 | 0.00 | 0.00 | 0.00 | 0.0 | 0.00 |
| 02/26/2018 | ***-**-132O - EVANS, THOMAS ACCOUNT #: LSR011074 | FIDELITY GOVT MMKT CAPITAL RESERVES BUY 1 Units @0.0000 | 0.00 | 0.00 | 0.00 | 0.00 | 0.0 | 0.00 |
| 02/26/2018 | ***-**-579I - RHYMESTINE, ACCOUNT #: LSR011082 | FIDELITY GOVT MMKT CAPITAL RESERVES BUY 1 Units @0.0000 | 0.00 | 0.00 | 0.00 | 0.00 | 0.0 | 0.00 |
| 02/26/2018 | ***-**-808J - GORMAN, RANDY ACCOUNT #: LSR011087 | FIDELITY GOVT MMKT CAPITAL RESERVES BUY 1 Units @0.0000 | 0.00 | 0.00 | 0.00 | 0.00 | 0.0 | 0.00 |
| 02/26/2018 | ***-**-326J - GRANDE, MR ACCOUNT #: LSR011089 | FIDELITY GOVT MMKT CAPITAL RESERVES BUY 1 Units @0.0000 | 0.00 | 0.00 | 0.00 | 0.00 | 0.0 | 0.00 |
| 02/26/2018 | ***-**-48IO - ANACKER, FBO MRS ACCOUNT #: LSR011164 | FIDELITY GOVT MMKT CAPITAL RESERVES BUY 1 Units @0.0000 | 0.00 | 0.00 | 0.00 | 0.00 | 0.0 | 0.00 |
| 02/26/2018 | ***-**-664J - PFAFF, GEORGE ACCOUNT #: LSR011184 | FIDELITY GOVT MMKT CAPITAL RESERVES BUY 1 Units @0.0000 | 0.00 | 0.00 | 0.00 | 0.00 | 0.0 | 0.00 |
| 02/26/2018 | ***-**-64IO - PFAFF, GEORGE ACCOUNT #: LSR011185 | FIDELITY GOVT MMKT CAPITAL RESERVES BUY 1 Units @0.0000 | 0.00 | 0.00 | 0.00 | 0.00 | 0.0 | 0.00 |
| 02/26/2018 | ***-**-633J - ACCOUNT #: LSR011732 | FIDELITY GOVT MMKT CAPITAL RESERVES BUY 1 Units @0.0000 | 0.00 | 0.00 | 0.00 | 0.00 | 0.0 | 0.00 |
| 02/26/2018 | ***-**-52IN - ROBERTS, LILLIAN ACCOUNT #: LSR012352 | FIDELITY GOVT MMKT CAPITAL RESERVES BUY 1 Units @0.0000 | 0.00 | 0.00 | 0.00 | 0.00 | 0.0 | 0.00 |
| 02/20/2018 | ***-**-44IO - MAYO, DEBORAH ACCOUNT #: LSR011079 | FRANKLIN BIOTECH DISCOVERY FUND CL BUY 1 Units @0.0000 | 0.00 | 0.19 | 0.00 | 0.19 | 0.0 | 0.00 |
| 02/20/2018 | ***-**-382I - SATTERLY, NEIL ACCOUNT #: LSR010867 | FRANKLIN CONVERTIBLE SECURITIES CLA BUY 1 Units @0.0000 | 0.00 | 9.29 | 0.00 | 9.29 | 0.0 | 0.00 |
| 02/20/2018 | ***-**-86IN - LEE, KEVIN ACCOUNT #: LSR011613 | FRANKLIN GROWTH FUND CLASS A BUY 1 Units @0.0000 | 0.00 | 2.19 | 0.00 | 2.19 | 0.0 | 0.00 |
| 02/20/2018 | ***-**-86IN - LEE, KEVIN ACCOUNT #: LSR011613 | FRANKLIN INCOME FUND CLASS A BUY 1 Units @0.0000 | 0.00 | 1.26 | 0.00 | 1.26 | 0.0 | 0.00 |



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| BROKER TRANSACTIONS (continued) | | | | | | | | |
| PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued) | | | | | | | | |
| 02/20/2018 | ***-**-61IN - EVANS, DOLORES ACCOUNT #: LSR011023 | FRANKLIN INCOME FUND CLASS C BUY 1 Units @0.0000 | 0.00 | 0.72 | 0.00 | 0.72 | 0.0 | 0.00 |
| 02/20/2018 | ***-**-44IO - MAYO, DEBORAH ACCOUNT #: LSR011079 | FRANKLIN INCOME FUND CLASS C BUY 1 Units @0.0000 | 0.00 | 0.24 | 0.00 | 0.24 | 0.0 | 0.00 |
| 02/20/2018 | ***-**-09IO - BATES, FBO MRS ACCOUNT #: LSR011117 | FRANKLIN INCOME FUND CLASS C BUY 1 Units @0.0000 | 0.00 | 7.58 | 0.00 | 7.58 | 0.0 | 0.00 |
| 02/20/2018 | ***-**-11IO - LYNN G. ACCOUNT #: LSR011239 | FRANKLIN INCOME FUND CLASS C BUY 1 Units @0.0000 | 0.00 | 10.10 | 0.00 | 10.10 | 0.0 | 0.00 |
| 02/20/2018 | ***-**-376I - BERBEN, GAIL ACCOUNT #: LSR011380 | FRANKLIN INCOME FUND CLASS C BUY 1 Units @0.0000 | 0.00 | 9.26 | 0.00 | 9.26 | 0.0 | 0.00 |
| 02/20/2018 | ***-**-45IO - JOHNSON, GREGORY ACCOUNT #: LSR011421 | FRANKLIN INCOME FUND CLASS C BUY 1 Units @0.0000 | 0.00 | 9.24 | 0.00 | 9.24 | 0.0 | 0.00 |
| 02/20/2018 | ***-**-00IN - FRANZ, JEAN ACCOUNT #: LSR011796 | FRANKLIN INCOME FUND CLASS C BUY 1 Units @0.0000 | 0.00 | 41.35 | 0.00 | 41.35 | 0.0 | 0.00 |
| 02/20/2018 | ***-**-366O - GRUENEWALD, ACCOUNT #: LSR010987 | FRANKLIN NEW YORK TAX-FREE INCOME F BUY 1 Units @0.0000 | 0.00 | 0.17 | 0.00 | 0.17 | 0.0 | 0.00 |
| 02/20/2018 | ***-**-065I - LAZIO, THOMAS ACCOUNT #: LSR010979 | FRK GROWTH OPPORTUNITIES CL C BUY 1 Units @0.0000 | 0.00 | 2.15 | 0.00 | 2.15 | 0.0 | 0.00 |
| 02/20/2018 | ***-**-45IO - JOHNSON, GREGORY ACCOUNT #: LSR011421 | FRK GROWTH OPPORTUNITIES CL C BUY 1 Units @0.0000 | 0.00 | 4.89 | 0.00 | 4.89 | 0.0 | 0.00 |
| 02/20/2018 | ***-**-065I - LAZIO, THOMAS ACCOUNT #: LSR010979 | FRANKLN BALANCE SHEET INVTMNT FND - BUY 1 Units @0.0000 | 0.00 | 9.51 | 0.00 | 9.51 | 0.0 | 0.00 |
| 02/20/2018 | ***-**-702I - KOCHER, MICHAEL ACCOUNT #: LSR010954 | FUNDAMENTAL INVESTORS-A BUY 1 Units @0.0000 | 0.00 | 2.30 | 0.00 | 2.30 | 0.0 | 0.00 |
| 02/20/2018 | ***-**-366I - GRUENEWALD, ACCOUNT #: LSR010989 | FUNDAMENTAL INVESTORS-A BUY 1 Units @0.0000 | 0.00 | 1.56 | 0.00 | 1.56 | 0.0 | 0.00 |
| 02/20/2018 | ***-**-366S - GRUENEWALD, ACCOUNT #: LSR010990 | FUNDAMENTAL INVESTORS-A BUY 1 Units @0.0000 | 0.00 | 1.38 | 0.00 | 1.38 | 0.0 | 0.00 |
| 02/20/2018 | ***-**-579J - RHYMESTINE, ACCOUNT #: LSR011081 | FUNDAMENTAL INVESTORS-A BUY 1 Units @0.0000 | 0.00 | 1.17 | 0.00 | 1.17 | 0.0 | 0.00 |
| 02/20/2018 | ***-**-326I - GRANDE, FBO MR ACCOUNT #: LSR011091 | FUNDAMENTAL INVESTORS-A BUY 1 Units @0.0000 | 0.00 | 2.05 | 0.00 | 2.05 | 0.0 | 0.00 |



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| BROKER TRANSACTIONS (continued) | | | | | | | | |
| PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued) | | | | | | | | |
| 02/20/2018 | ***-**-680I - HARRELL, DARYL ACCOUNT #: LSR011321 | FUNDAMENTAL INVESTORS-A BUY 1 Units @0.0000 | 0.00 | 1.47 | 0.00 | 1.47 | 0.0 | 0.00 |
| 02/20/2018 | ***-**-128I - BASHANT, THOMAS ACCOUNT #: LSR011387 | FUNDAMENTAL INVESTORS-A BUY 1 Units @0.0000 | 0.00 | 1.31 | 0.00 | 1.31 | 0.0 | 0.00 |
| 02/20/2018 | ***-**-30TR - AND SANDRA ACCOUNT #: LSR011939 | FUNDAMENTAL INVESTORS-A BUY 1 Units @0.0000 | 0.00 | 1.97 | 0.00 | 1.97 | 0.0 | 0.00 |
| 02/20/2018 | ***-**-881J - EBERLEY, SUSAN ACCOUNT #: LSR010856 | FUNDAMENTAL INVESTORS-C BUY 1 Units @0.0000 | 0.00 | 4.58 | 0.00 | 4.58 | 0.0 | 0.00 |
| 02/20/2018 | ***-**-382I - SATTERLY, NEIL ACCOUNT #: LSR010867 | FUNDAMENTAL INVESTORS-C BUY 1 Units @0.0000 | 0.00 | 10.88 | 0.00 | 10.88 | 0.0 | 0.00 |
| 02/20/2018 | ***-**-949I - ACEE, JOSPEH ACCOUNT #: LSR010908 | FUNDAMENTAL INVESTORS-C BUY 1 Units @0.0000 | 0.00 | 3.21 | 0.00 | 3.21 | 0.0 | 0.00 |
| 02/20/2018 | ***-**-31IO - HARTZ, CLAUDIA ACCOUNT #: LSR010915 | FUNDAMENTAL INVESTORS-C BUY 1 Units @0.0000 | 0.00 | 3.07 | 0.00 | 3.07 | 0.0 | 0.00 |
| 02/20/2018 | ***-**-031O - MCVOY, ROBERT ACCOUNT #: LSR010916 | FUNDAMENTAL INVESTORS-C BUY 1 Units @0.0000 | 0.00 | 5.56 | 0.00 | 5.56 | 0.0 | 0.00 |
| 02/20/2018 | ***-**-15IN - PENDRAK, JOHN ACCOUNT #: LSR010948 | FUNDAMENTAL INVESTORS-C BUY 1 Units @0.0000 | 0.00 | 5.11 | 0.00 | 5.11 | 0.0 | 0.00 |
| 02/20/2018 | ***-**-959I - FRANZ, PAUL ACCOUNT #: LSR010959 | FUNDAMENTAL INVESTORS-C BUY 1 Units @0.0000 | 0.00 | 12.11 | 0.00 | 12.11 | 0.0 | 0.00 |
| 02/20/2018 | ***-**-960J - MASTRANGELO, ACCOUNT #: LSR010966 | FUNDAMENTAL INVESTORS-C BUY 1 Units @0.0000 | 0.00 | 9.41 | 0.00 | 9.41 | 0.0 | 0.00 |
| 02/20/2018 | ***-**-065I - LAZIO, THOMAS ACCOUNT #: LSR010979 | FUNDAMENTAL INVESTORS-C BUY 1 Units @0.0000 | 0.00 | 6.04 | 0.00 | 6.04 | 0.0 | 0.00 |
| 02/20/2018 | ***-**-51IO - CAIN, TIMOTHY ACCOUNT #: LSR011007 | FUNDAMENTAL INVESTORS-C BUY 1 Units @0.0000 | 0.00 | 5.54 | 0.00 | 5.54 | 0.0 | 0.00 |
| 02/20/2018 | ***-**-761I - EVANS, DOLORES ACCOUNT #: LSR011024 | FUNDAMENTAL INVESTORS-C BUY 1 Units @0.0000 | 0.00 | 16.57 | 0.00 | 16.57 | 0.0 | 0.00 |
| 02/20/2018 | ***-**-306X - COBB, CHERRYL ACCOUNT #: LSR011037 | FUNDAMENTAL INVESTORS-C BUY 1 Units @0.0000 | 0.00 | 6.01 | 0.00 | 6.01 | 0.0 | 0.00 |
| 02/20/2018 | ***-**-861I - SANGER, LAWRENCE ACCOUNT #: LSR011095 | FUNDAMENTAL INVESTORS-C BUY 1 Units @0.0000 | 0.00 | 1.23 | 0.00 | 1.23 | 0.0 | 0.00 |



COMMISSION STATEMENT

February 26, 2018

KURT GRUENEWALD
2108 Genesee St.
Utica, NY 13502

BROKER #: A77
BRANCH #01047 - 47 - GRIFFITH

| DATE | CLIENT | INVESTMENT | INVESTMENT AMOUNT | GROSS COMMISSION | CLEARING CHARGE | NET COMMISSION | RATE | BROKER COMMISSION |
|--|--|--|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| BROKER TRANSACTIONS (continued) | | | | | | | | |
| PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued) | | | | | | | | |
| 02/20/2018 | ***-**-13IN - RHYMESTINE, ACCOUNT #: LSR011106 | FUNDAMENTAL INVESTORS-C BUY 1 Units @0.0000 | 0.00 | 4.99 | 0.00 | 4.99 | 0.0 | 0.00 |
| 02/20/2018 | ***-**-09IO - BATES, FBO MRS ACCOUNT #: LSR011117 | FUNDAMENTAL INVESTORS-C BUY 1 Units @0.0000 | 0.00 | 11.75 | 0.00 | 11.75 | 0.0 | 0.00 |
| 02/20/2018 | ***-**-506J - CURRIERE JR, MR ACCOUNT #: LSR011121 | FUNDAMENTAL INVESTORS-C BUY 1 Units @0.0000 | 0.00 | 4.94 | 0.00 | 4.94 | 0.0 | 0.00 |
| 02/20/2018 | ***-**-48IO - ANACKER, FBO MRS ACCOUNT #: LSR011164 | FUNDAMENTAL INVESTORS-C BUY 1 Units @0.0000 | 0.00 | 6.18 | 0.00 | 6.18 | 0.0 | 0.00 |
| 02/20/2018 | ***-**-89IN - LEE, ROGER ACCOUNT #: LSR011166 | FUNDAMENTAL INVESTORS-C BUY 1 Units @0.0000 | 0.00 | 5.91 | 0.00 | 5.91 | 0.0 | 0.00 |
| 02/20/2018 | ***-**-31IO - WILLIAMSON, FBO ACCOUNT #: LSR011172 | FUNDAMENTAL INVESTORS-C BUY 1 Units @0.0000 | 0.00 | 7.88 | 0.00 | 7.88 | 0.0 | 0.00 |
| 02/20/2018 | ***-**-64IO - PFAFF, GEORGE ACCOUNT #: LSR011185 | FUNDAMENTAL INVESTORS-C BUY 1 Units @0.0000 | 0.00 | 3.84 | 0.00 | 3.84 | 0.0 | 0.00 |
| 02/20/2018 | ***-**-62IR - ROBBIANO, FBO ACCOUNT #: LSR011195 | FUNDAMENTAL INVESTORS-C BUY 1 Units @0.0000 | 0.00 | 3.40 | 0.00 | 3.40 | 0.0 | 0.00 |
| 02/20/2018 | ***-**-11IO - LYNN G. ACCOUNT #: LSR011239 | FUNDAMENTAL INVESTORS-C BUY 1 Units @0.0000 | 0.00 | 15.22 | 0.00 | 15.22 | 0.0 | 0.00 |
| 02/20/2018 | ***-**-653I - KOCHER, CLINTON ACCOUNT #: LSR011300 | FUNDAMENTAL INVESTORS-C BUY 1 Units @0.0000 | 0.00 | 11.96 | 0.00 | 11.96 | 0.0 | 0.00 |
| 02/20/2018 | ***-**-376I - BERBEN, GAIL ACCOUNT #: LSR011380 | FUNDAMENTAL INVESTORS-C BUY 1 Units @0.0000 | 0.00 | 15.91 | 0.00 | 15.91 | 0.0 | 0.00 |
| 02/20/2018 | ***-**-21IO - RADELL, SANDRA ACCOUNT #: LSR011392 | FUNDAMENTAL INVESTORS-C BUY 1 Units @0.0000 | 0.00 | 4.89 | 0.00 | 4.89 | 0.0 | 0.00 |
| 02/20/2018 | ***-**-45IO - JOHNSON, GREGORY ACCOUNT #: LSR011421 | FUNDAMENTAL INVESTORS-C BUY 1 Units @0.0000 | 0.00 | 12.90 | 0.00 | 12.90 | 0.0 | 0.00 |
| 02/20/2018 | ***-**-14IO - BUSHEY, MATTHEW ACCOUNT #: LSR011498 | FUNDAMENTAL INVESTORS-C BUY 1 Units @0.0000 | 0.00 | 15.28 | 0.00 | 15.28 | 0.0 | 0.00 |
| 02/26/2018 | ***-**-128I - BASHANT, THOMAS ACCOUNT #: LSR011387 | GLOBAL FUND A BUY 1 Units @0.0000 | 0.00 | 2.31 | 0.00 | 2.31 | 0.0 | 0.00 |
| 02/20/2018 | ***-**-579J - RHYMESTINE, ACCOUNT #: LSR011081 | GLOBAL GROWTH PORTFOLIO-A BUY 1 Units @0.0000 | 0.00 | 0.91 | 0.00 | 0.91 | 0.0 | 0.00 |



COMMISSION STATEMENT

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BROKER #: A77
BRANCH #01047 - 47 - GRIFFITH

| DATE | CLIENT | INVESTMENT | INVESTMENT AMOUNT | GROSS COMMISSION | CLEARING CHARGE | NET COMMISSION | RATE | BROKER COMMISSION |
|--|--|--|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| BROKER TRANSACTIONS (continued) | | | | | | | | |
| PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued) | | | | | | | | |
| 02/26/2018 | ***-**-094I - KATRENA L ACCOUNT #: LSR011188 | GLOBAL OPPORTUNITIES FUND C BUY 1 Units @0.0000 | 0.00 | 16.85 | 0.00 | 16.85 | 0.0 | 0.00 |
| 02/26/2018 | ***-**-254I - AUGUSTINE, LINDA ACCOUNT #: LSR010846 | GOLD & SPECIAL MINERALS A BUY 1 Units @0.0000 | 0.00 | 0.33 | 0.00 | 0.33 | 0.0 | 0.00 |
| 02/26/2018 | ***-**-881I - EBERLEY, SUSAN ACCOUNT #: LSR010858 | GOLD & SPECIAL MINERALS A BUY 1 Units @0.0000 | 0.00 | 0.17 | 0.00 | 0.17 | 0.0 | 0.00 |
| 02/26/2018 | ***-**-930I - SANGER, KEVIN ACCOUNT #: LSR010941 | GOLD & SPECIAL MINERALS A BUY 1 Units @0.0000 | 0.00 | 0.36 | 0.00 | 0.36 | 0.0 | 0.00 |
| 02/26/2018 | ***-**-15IN - PENDRAK, JOHN ACCOUNT #: LSR010948 | GOLD & SPECIAL MINERALS A BUY 1 Units @0.0000 | 0.00 | 2.35 | 0.00 | 2.35 | 0.0 | 0.00 |
| 02/26/2018 | ***-**-702J - KOHEM, MICHAEL ACCOUNT #: LSR010955 | GOLD & SPECIAL MINERALS A BUY 1 Units @0.0000 | 0.00 | 0.25 | 0.00 | 0.25 | 0.0 | 0.00 |
| 02/26/2018 | ***-**-959I - FRANZ, PAUL ACCOUNT #: LSR010959 | GOLD & SPECIAL MINERALS A BUY 1 Units @0.0000 | 0.00 | 0.62 | 0.00 | 0.62 | 0.0 | 0.00 |
| 02/26/2018 | ***-**-61IN - EVANS, DOLORES ACCOUNT #: LSR011023 | GOLD & SPECIAL MINERALS A BUY 1 Units @0.0000 | 0.00 | 0.20 | 0.00 | 0.20 | 0.0 | 0.00 |
| 02/26/2018 | ***-**-944O - MAYO, DEBORAH ACCOUNT #: LSR011035 | GOLD & SPECIAL MINERALS A BUY 1 Units @0.0000 | 0.00 | 0.58 | 0.00 | 0.58 | 0.0 | 0.00 |
| 02/26/2018 | ***-**-96IN - NESSIA, BONNIE ACCOUNT #: LSR011055 | GOLD & SPECIAL MINERALS A BUY 1 Units @0.0000 | 0.00 | 0.32 | 0.00 | 0.32 | 0.0 | 0.00 |
| 02/26/2018 | ***-**-13IN - RHYMESTINE, ACCOUNT #: LSR011106 | GOLD & SPECIAL MINERALS A BUY 1 Units @0.0000 | 0.00 | 0.38 | 0.00 | 0.38 | 0.0 | 0.00 |
| 02/26/2018 | ***-**-76IO - MCALLISTER, FBO ACCOUNT #: LSR011107 | GOLD & SPECIAL MINERALS A BUY 1 Units @0.0000 | 0.00 | 0.37 | 0.00 | 0.37 | 0.0 | 0.00 |
| 02/26/2018 | ***-**-367J - WAGNER, MRS LANT ACCOUNT #: LSR011134 | GOLD & SPECIAL MINERALS A BUY 1 Units @0.0000 | 0.00 | 0.32 | 0.00 | 0.32 | 0.0 | 0.00 |
| 02/26/2018 | ***-**-31IO - WILLIAMSON, FBO ACCOUNT #: LSR011172 | GOLD & SPECIAL MINERALS A BUY 1 Units @0.0000 | 0.00 | 1.50 | 0.00 | 1.50 | 0.0 | 0.00 |
| 02/26/2018 | ***-**-02IN - BUSHEY, MELISSA ACCOUNT #: LSR011257 | GOLD & SPECIAL MINERALS A BUY 1 Units @0.0000 | 0.00 | 0.13 | 0.00 | 0.13 | 0.0 | 0.00 |
| 02/26/2018 | ***-**-62IN - EATON, DAVID ACCOUNT #: LSR011315 | GOLD & SPECIAL MINERALS A BUY 1 Units @0.0000 | 0.00 | 0.43 | 0.00 | 0.43 | 0.0 | 0.00 |



COMMISSION STATEMENT

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BROKER #: A77
BRANCH #01047 - 47 - GRIFFITH

| DATE | CLIENT | INVESTMENT | INVESTMENT AMOUNT | GROSS COMMISSION | CLEARING CHARGE | NET COMMISSION | RATE | BROKER COMMISSION |
|--|--------------------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| BROKER TRANSACTIONS (continued) | | | | | | | | |
| PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued) | | | | | | | | |
| 02/26/2018 | ***-**-949I - ACEE, JOSPEH | GOLD & SPECIAL MINERALS FUND B | 0.00 | 0.66 | 0.00 | 0.66 | 0.0 | 0.00 |
| | ACCOUNT #: LSR010908 | BUY 1 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-579I - RHYMESTINE, | GOLD & SPECIAL MINERALS FUND B | 0.00 | 0.59 | 0.00 | 0.59 | 0.0 | 0.00 |
| | ACCOUNT #: LSR011082 | BUY 1 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-367J - WAGNER, MRS LANT | GOLD & SPECIAL MINERALS FUND B | 0.00 | 0.01 | 0.00 | 0.01 | 0.0 | 0.00 |
| | ACCOUNT #: LSR011134 | BUY 1 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-48IO - ANACKER, FBO MRS | GOLD & SPECIAL MINERALS FUND B | 0.00 | 0.78 | 0.00 | 0.78 | 0.0 | 0.00 |
| | ACCOUNT #: LSR011164 | BUY 1 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-664J - PFAFF, GEORGE | GOLD & SPECIAL MINERALS FUND B | 0.00 | 0.64 | 0.00 | 0.64 | 0.0 | 0.00 |
| | ACCOUNT #: LSR011184 | BUY 1 Units @0.0000 | | | | | | |
| 02/20/2018 | ***-**-367J - WAGNER, MRS LANT | GROWTH FUND OF AMERICA CLASS F | 0.00 | 3.36 | 0.00 | 3.36 | 0.0 | 0.00 |
| | ACCOUNT #: LSR011134 | BUY 1 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-702I - KOCHEM, MICHAEL | HARTFORD CHECKS AND BALANCED FUND C | 0.00 | 1.39 | 0.00 | 1.39 | 0.0 | 0.00 |
| | ACCOUNT #: LSR010954 | BUY 1 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-366S - GRUENEWALD, | HARTFORD CHECKS AND BALANCED FUND C | 0.00 | 0.48 | 0.00 | 0.48 | 0.0 | 0.00 |
| | ACCOUNT #: LSR010990 | BUY 1 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-680I - HARRELL, DARYL | HARTFORD CHECKS AND BALANCED FUND C | 0.00 | 1.33 | 0.00 | 1.33 | 0.0 | 0.00 |
| | ACCOUNT #: LSR011321 | BUY 1 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-30TR - AND SANDRA | HARTFORD CHECKS AND BALANCED FUND C | 0.00 | 2.62 | 0.00 | 2.62 | 0.0 | 0.00 |
| | ACCOUNT #: LSR011939 | BUY 1 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-366S - GRUENEWALD, | HARTFORD INFLATION PLUS FUND CLASS | 0.00 | 0.68 | 0.00 | 0.68 | 0.0 | 0.00 |
| | ACCOUNT #: LSR010990 | BUY 1 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-680I - HARRELL, DARYL | HARTFORD INFLATION PLUS FUND CLASS | 0.00 | 1.76 | 0.00 | 1.76 | 0.0 | 0.00 |
| | ACCOUNT #: LSR011321 | BUY 1 Units @0.0000 | | | | | | |
| 02/20/2018 | ***-**-287I - HINCKLEY, | INCOME FUND OF AMERICA CLASS C | 0.00 | 3.78 | 0.00 | 3.78 | 0.0 | 0.00 |
| | ACCOUNT #: LSR010843 | BUY 1 Units @0.0000 | | | | | | |
| 02/20/2018 | ***-**-980I - ACEE, ELIZABETH | INCOME FUND OF AMERICA CLASS C | 0.00 | 12.58 | 0.00 | 12.58 | 0.0 | 0.00 |
| | ACCOUNT #: LSR010885 | BUY 1 Units @0.0000 | | | | | | |
| 02/20/2018 | ***-**-72IN - GAVALO, JULIE | INCOME FUND OF AMERICA CLASS C | 0.00 | 11.31 | 0.00 | 11.31 | 0.0 | 0.00 |
| | ACCOUNT #: LSR010921 | BUY 1 Units @0.0000 | | | | | | |
| 02/20/2018 | ***-**-73TR - WESTCOTT IRRVOC | INCOME FUND OF AMERICA CLASS C | 0.00 | 1.85 | 0.00 | 1.85 | 0.0 | 0.00 |
| | ACCOUNT #: LSR011001 | BUY 1 Units @0.0000 | | | | | | |



COMMISSION STATEMENT

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| DATE | CLIENT | INVESTMENT | INVESTMENT AMOUNT | GROSS COMMISSION | CLEARING CHARGE | NET COMMISSION | RATE | BROKER COMMISSION |
|--|--------------------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| BROKER TRANSACTIONS (continued) | | | | | | | | |
| PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued) | | | | | | | | |
| 02/20/2018 | ***-**-63TR - EVANS, AUDREY J | INCOME FUND OF AMERICA CLASS C | 0.00 | 5.65 | 0.00 | 5.65 | 0.0 | 0.00 |
| | ACCOUNT #: LSR011036 | BUY 1 Units @0.0000 | | | | | | |
| 02/20/2018 | ***-**-44IO - MAYO, DEBORAH | INCOME FUND OF AMERICA CLASS C | 0.00 | 10.54 | 0.00 | 10.54 | 0.0 | 0.00 |
| | ACCOUNT #: LSR011079 | BUY 1 Units @0.0000 | | | | | | |
| 02/20/2018 | ***-**-09IO - BATES, FBO MRS | INCOME FUND OF AMERICA CLASS C | 0.00 | 33.40 | 0.00 | 33.40 | 0.0 | 0.00 |
| | ACCOUNT #: LSR011117 | BUY 1 Units @0.0000 | | | | | | |
| 02/20/2018 | ***-**-11IO - LYNN G. | INCOME FUND OF AMERICA CLASS C | 0.00 | 15.58 | 0.00 | 15.58 | 0.0 | 0.00 |
| | ACCOUNT #: LSR011239 | BUY 1 Units @0.0000 | | | | | | |
| 02/20/2018 | ***-**-376I - BERBEN, GAIL | INCOME FUND OF AMERICA CLASS C | 0.00 | 14.03 | 0.00 | 14.03 | 0.0 | 0.00 |
| | ACCOUNT #: LSR011380 | BUY 1 Units @0.0000 | | | | | | |
| 02/20/2018 | ***-**-21IO - RADELL, SANDRA | INCOME FUND OF AMERICA CLASS C | 0.00 | 5.11 | 0.00 | 5.11 | 0.0 | 0.00 |
| | ACCOUNT #: LSR011392 | BUY 1 Units @0.0000 | | | | | | |
| 02/20/2018 | ***-**-45IO - JOHNSON, GREGORY | INCOME FUND OF AMERICA CLASS C | 0.00 | 20.59 | 0.00 | 20.59 | 0.0 | 0.00 |
| | ACCOUNT #: LSR011421 | BUY 1 Units @0.0000 | | | | | | |
| 02/20/2018 | ***-**-14IO - BUSHEY, MATTHEW | INCOME FUND OF AMERICA CLASS C | 0.00 | 13.36 | 0.00 | 13.36 | 0.0 | 0.00 |
| | ACCOUNT #: LSR011498 | BUY 1 Units @0.0000 | | | | | | |
| 02/20/2018 | ***-**-702I - KOCHER, MICHAEL | INTERMEDIATE BOND FUND OF AMERICA-A | 0.00 | 0.14 | 0.00 | 0.14 | 0.0 | 0.00 |
| | ACCOUNT #: LSR010954 | BUY 1 Units @0.0000 | | | | | | |
| 02/20/2018 | ***-**-761I - EVANS, DOLORES | INTERMEDIATE BOND FUND OF AMERICA-C | 0.00 | 5.52 | 0.00 | 5.52 | 0.0 | 0.00 |
| | ACCOUNT #: LSR011024 | BUY 1 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-881I - EBERLEY, SUSAN | INTERNATIONAL BOND A | 0.00 | 0.70 | 0.00 | 0.70 | 0.0 | 0.00 |
| | ACCOUNT #: LSR010858 | BUY 1 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-761I - EVANS, DOLORES | INTERNATIONAL BOND A | 0.00 | 3.54 | 0.00 | 3.54 | 0.0 | 0.00 |
| | ACCOUNT #: LSR011024 | BUY 1 Units @0.0000 | | | | | | |
| 02/20/2018 | ***-**-366S - GRUENEWALD, | INTERNATIONAL GROWTH AND INCOME-A | 0.00 | 0.86 | 0.00 | 0.86 | 0.0 | 0.00 |
| | ACCOUNT #: LSR010990 | BUY 1 Units @0.0000 | | | | | | |
| 02/20/2018 | ***-**-567I - FRANZ, ALICE | INTERNATIONAL GROWTH AND INCOME-C | 0.00 | 14.08 | 0.00 | 14.08 | 0.0 | 0.00 |
| | ACCOUNT #: LSR010960 | BUY 1 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-15IN - PENDRAK, JOHN | INTERNATIONAL SMALL COMPANY A | 0.00 | 1.54 | 0.00 | 1.54 | 0.0 | 0.00 |
| | ACCOUNT #: LSR010948 | BUY 1 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-959I - FRANZ, PAUL | INTERNATIONAL SMALL COMPANY A | 0.00 | 1.47 | 0.00 | 1.47 | 0.0 | 0.00 |
| | ACCOUNT #: LSR010959 | BUY 1 Units @0.0000 | | | | | | |



COMMISSION STATEMENT

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|--|--------------------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| BROKER TRANSACTIONS (continued) | | | | | | | | |
| PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued) | | | | | | | | |
| 02/26/2018 | ***-**-367J - WAGNER, MRS LANT | INTERNATIONAL SMALL COMPANY A | 0.00 | 1.93 | 0.00 | 1.93 | 0.0 | 0.00 |
| | ACCOUNT #: LSR011134 | BUY 1 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-367J - WAGNER, MRS LANT | INTERNATIONAL SMALL COMPANY FUND B | 0.00 | 0.06 | 0.00 | 0.06 | 0.0 | 0.00 |
| | ACCOUNT #: LSR011134 | BUY 1 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-664J - PFAFF, GEORGE | INTERNATIONAL SMALL COMPANY FUND B | 0.00 | 0.99 | 0.00 | 0.99 | 0.0 | 0.00 |
| | ACCOUNT #: LSR011184 | BUY 1 Units @0.0000 | | | | | | |
| 02/20/2018 | ***-**-711O - FAMOLARO, JAMES | INVESCO VAN KAMPEN COMSTOCK CLASS A | 0.00 | 0.48 | 0.00 | 0.48 | 0.0 | 0.00 |
| | ACCOUNT #: LSR011279 | BUY 1 Units @0.0000 | | | | | | |
| 02/20/2018 | ***-**-711O - FAMOLARO, JAMES | INVESCO VAN KAMPEN EQUITY AND INCOM | 0.00 | 0.43 | 0.00 | 0.43 | 0.0 | 0.00 |
| | ACCOUNT #: LSR011279 | BUY 1 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-441O - MAYO, DEBORAH | LORD ABBETT SHORT DURATION INCOME C | 0.00 | 12.83 | 0.00 | 12.83 | 0.0 | 0.00 |
| | ACCOUNT #: LSR011079 | BUY 1 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-579J - RHYMESTINE, | LORD ABBETT SHORT DURATION INCOME C | 0.00 | 9.70 | 0.00 | 9.70 | 0.0 | 0.00 |
| | ACCOUNT #: LSR011081 | BUY 1 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-091O - BATES, FBO MRS | LORD ABBETT SHORT DURATION INCOME C | 0.00 | 12.85 | 0.00 | 12.85 | 0.0 | 0.00 |
| | ACCOUNT #: LSR011117 | BUY 1 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-891N - LEE, ROGER | LORD ABBETT SHORT DURATION INCOME C | 0.00 | 24.59 | 0.00 | 24.59 | 0.0 | 0.00 |
| | ACCOUNT #: LSR011166 | BUY 1 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-439J - MCCARTHY, JAMES | LORD ABBETT SHORT DURATION INCOME C | 0.00 | 1.89 | 0.00 | 1.89 | 0.0 | 0.00 |
| | ACCOUNT #: LSR011205 | BUY 1 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-451O - JOHNSON, GREGORY | LORD ABBETT SHORT DURATION INCOME C | 0.00 | 12.80 | 0.00 | 12.80 | 0.0 | 0.00 |
| | ACCOUNT #: LSR011421 | BUY 1 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-141O - BUSHEY, MATTHEW | LORD ABBETT SHORT DURATION INCOME C | 0.00 | 9.53 | 0.00 | 9.53 | 0.0 | 0.00 |
| | ACCOUNT #: LSR011498 | BUY 1 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-451O - JOHNSON, GREGORY | MAIN STREET FUND C | 0.00 | 8.00 | 0.00 | 8.00 | 0.0 | 0.00 |
| | ACCOUNT #: LSR011421 | BUY 1 Units @0.0000 | | | | | | |
| 02/20/2018 | ***-**-201O - DEMETRI, AMELIA | MUTUAL GLOBAL DISCOVERY FUND - CLAS | 0.00 | 1.62 | 0.00 | 1.62 | 0.0 | 0.00 |
| | ACCOUNT #: LSR010995 | BUY 1 Units @0.0000 | | | | | | |
| 02/20/2018 | ***-**-201O - DEMETRI, AMELIA | NEW PERSPECTIVE FUND-A | 0.00 | 1.90 | 0.00 | 1.90 | 0.0 | 0.00 |
| | ACCOUNT #: LSR010995 | BUY 1 Units @0.0000 | | | | | | |
| 02/20/2018 | ***-**-702I - KOCHEM, MICHAEL | NEW WORLD FUND-A | 0.00 | 2.90 | 0.00 | 2.90 | 0.0 | 0.00 |
| | ACCOUNT #: LSR010954 | BUY 1 Units @0.0000 | | | | | | |



COMMISSION STATEMENT

February 26, 2018

KURT GRUENEWALD
2108 Genesee St.
Utica, NY 13502

BROKER #: A77
BRANCH #01047 - 47 - GRIFFITH

| DATE | CLIENT | INVESTMENT | INVESTMENT AMOUNT | GROSS COMMISSION | CLEARING CHARGE | NET COMMISSION | RATE | BROKER COMMISSION |
|--|--------------------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| BROKER TRANSACTIONS (continued) | | | | | | | | |
| PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued) | | | | | | | | |
| 02/20/2018 | ***-**-326I - GRANDE, FBO MR | NEW WORLD FUND-A | 0.00 | 2.64 | 0.00 | 2.64 | 0.0 | 0.00 |
| | ACCOUNT #: LSR011091 | BUY 1 Units @0.0000 | | | | | | |
| 02/20/2018 | ***-**-680I - HARRELL, DARYL | NEW WORLD FUND-A | 0.00 | 0.62 | 0.00 | 0.62 | 0.0 | 0.00 |
| | ACCOUNT #: LSR011321 | BUY 1 Units @0.0000 | | | | | | |
| 02/20/2018 | ***-**-128I - BASHANT, THOMAS | NEW WORLD FUND-A | 0.00 | 0.97 | 0.00 | 0.97 | 0.0 | 0.00 |
| | ACCOUNT #: LSR011387 | BUY 1 Units @0.0000 | | | | | | |
| 02/20/2018 | ***-**-30TR - AND SANDRA | NEW WORLD FUND-A | 0.00 | 2.17 | 0.00 | 2.17 | 0.0 | 0.00 |
| | ACCOUNT #: LSR011939 | BUY 1 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-15IN - PENDRAK, JOHN | OPP PORT SERIES: ACTIVE ALLOC A | 0.00 | 1.66 | 0.00 | 1.66 | 0.0 | 0.00 |
| | ACCOUNT #: LSR010948 | BUY 1 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-80IN - COBB, JAMES | OPPENHEIMER ACTIVE ALLOCATION FUND | 0.00 | 7.89 | 0.00 | 7.89 | 0.0 | 0.00 |
| | ACCOUNT #: LSR011042 | BUY 1 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-44IO - MAYO, DEBORAH | OPPENHEIMER ACTIVE ALLOCATION FUND | 0.00 | 15.54 | 0.00 | 15.54 | 0.0 | 0.00 |
| | ACCOUNT #: LSR011079 | BUY 1 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-09IO - BATES, FBO MRS | OPPENHEIMER ACTIVE ALLOCATION FUND | 0.00 | 17.38 | 0.00 | 17.38 | 0.0 | 0.00 |
| | ACCOUNT #: LSR011117 | BUY 1 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-11IO - LYNN G. | OPPENHEIMER ACTIVE ALLOCATION FUND | 0.00 | 16.37 | 0.00 | 16.37 | 0.0 | 0.00 |
| | ACCOUNT #: LSR011239 | BUY 1 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-45IO - JOHNSON, GREGORY | OPPENHEIMER ACTIVE ALLOCATION FUND | 0.00 | 16.00 | 0.00 | 16.00 | 0.0 | 0.00 |
| | ACCOUNT #: LSR011421 | BUY 1 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-28IN - BYWATER, KIM | OPPENHEIMER DEV MARKETS FD CLASS C | 0.00 | 1.38 | 0.00 | 1.38 | 0.0 | 0.00 |
| | ACCOUNT #: LSR011995 | BUY 1 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-881J - EBERLEY, SUSAN | OPPENHEIMER DEVELOPING MARKETS CLAS | 0.00 | 1.70 | 0.00 | 1.70 | 0.0 | 0.00 |
| | ACCOUNT #: LSR010856 | BUY 1 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-959I - FRANZ, PAUL | OPPENHEIMER DEVELOPING MARKETS CLAS | 0.00 | 0.36 | 0.00 | 0.36 | 0.0 | 0.00 |
| | ACCOUNT #: LSR010959 | BUY 1 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-51IO - CAIN, TIMOTHY | OPPENHEIMER DEVELOPING MARKETS CLAS | 0.00 | 2.51 | 0.00 | 2.51 | 0.0 | 0.00 |
| | ACCOUNT #: LSR011007 | BUY 1 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-96IN - NESSIA, BONNIE | OPPENHEIMER DEVELOPING MARKETS CLAS | 0.00 | 0.85 | 0.00 | 0.85 | 0.0 | 0.00 |
| | ACCOUNT #: LSR011055 | BUY 1 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-31IO - WILLIAMSON, FBO | OPPENHEIMER DEVELOPING MARKETS CLAS | 0.00 | 0.61 | 0.00 | 0.61 | 0.0 | 0.00 |
| | ACCOUNT #: LSR011172 | BUY 1 Units @0.0000 | | | | | | |



COMMISSION STATEMENT

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BRANCH #01047 - 47 - GRIFFITH

| DATE | CLIENT | INVESTMENT | INVESTMENT AMOUNT | GROSS COMMISSION | CLEARING CHARGE | NET COMMISSION | RATE | BROKER COMMISSION |
|--|--|--|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| BROKER TRANSACTIONS (continued) | | | | | | | | |
| PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued) | | | | | | | | |
| 02/26/2018 | ***-**-680I - HARRELL, DARYL ACCOUNT #: LSR011321 | OPPENHEIMER DEVELOPING MARKETS CLAS BUY 1 Units @0.0000 | 0.00 | 0.90 | 0.00 | 0.90 | 0.0 | 0.00 |
| 02/26/2018 | ***-**-094I - KATRENA L ACCOUNT #: LSR011188 | OPPENHEIMER GLBL REAL ESTATE FUND C BUY 1 Units @0.0000 | 0.00 | 5.50 | 0.00 | 5.50 | 0.0 | 0.00 |
| 02/26/2018 | ***-**-031O - MCVOY, ROBERT ACCOUNT #: LSR010916 | OPPENHEIMER GLOBAL VALUE FUND CL C BUY 1 Units @0.0000 | 0.00 | 5.23 | 0.00 | 5.23 | 0.0 | 0.00 |
| 02/26/2018 | ***-**-382I - SATTERLY, NEIL ACCOUNT #: LSR010867 | OPPENHEIMER GOLD & SPECIAL MINERALS BUY 1 Units @0.0000 | 0.00 | 4.27 | 0.00 | 4.27 | 0.0 | 0.00 |
| 02/26/2018 | ***-**-48IO - CLARK, PATRICK ACCOUNT #: LSR010911 | OPPENHEIMER GOLD & SPECIAL MINERALS BUY 1 Units @0.0000 | 0.00 | 5.59 | 0.00 | 5.59 | 0.0 | 0.00 |
| 02/26/2018 | ***-**-31IO - HARTZ, CLAUDIA ACCOUNT #: LSR010915 | OPPENHEIMER GOLD & SPECIAL MINERALS BUY 1 Units @0.0000 | 0.00 | 0.11 | 0.00 | 0.11 | 0.0 | 0.00 |
| 02/26/2018 | ***-**-72IN - GAVALO, JULIE ACCOUNT #: LSR010921 | OPPENHEIMER GOLD & SPECIAL MINERALS BUY 1 Units @0.0000 | 0.00 | 2.46 | 0.00 | 2.46 | 0.0 | 0.00 |
| 02/26/2018 | ***-**-065I - LAZIO, THOMAS ACCOUNT #: LSR010979 | OPPENHEIMER GOLD & SPECIAL MINERALS BUY 1 Units @0.0000 | 0.00 | 5.96 | 0.00 | 5.96 | 0.0 | 0.00 |
| 02/26/2018 | ***-**-420T - DEMETRI, AMELIA ACCOUNT #: LSR010994 | OPPENHEIMER GOLD & SPECIAL MINERALS BUY 1 Units @0.0000 | 0.00 | 2.56 | 0.00 | 2.56 | 0.0 | 0.00 |
| 02/26/2018 | ***-**-00IO - LEE, GARY ACCOUNT #: LSR011059 | OPPENHEIMER GOLD & SPECIAL MINERALS BUY 1 Units @0.0000 | 0.00 | 7.89 | 0.00 | 7.89 | 0.0 | 0.00 |
| 02/26/2018 | ***-**-09IO - BATES, FBO MRS ACCOUNT #: LSR011117 | OPPENHEIMER GOLD & SPECIAL MINERALS BUY 1 Units @0.0000 | 0.00 | 2.58 | 0.00 | 2.58 | 0.0 | 0.00 |
| 02/26/2018 | ***-**-11IO - LYNN G. ACCOUNT #: LSR011239 | OPPENHEIMER GOLD & SPECIAL MINERALS BUY 1 Units @0.0000 | 0.00 | 7.40 | 0.00 | 7.40 | 0.0 | 0.00 |
| 02/26/2018 | ***-**-45IO - JOHNSON, GREGORY ACCOUNT #: LSR011421 | OPPENHEIMER GOLD & SPECIAL MINERALS BUY 1 Units @0.0000 | 0.00 | 6.03 | 0.00 | 6.03 | 0.0 | 0.00 |
| 02/26/2018 | ***-**-51IN - GERACE, JOANNE ACCOUNT #: LSR011538 | OPPENHEIMER GOLD & SPECIAL MINERALS BUY 1 Units @0.0000 | 0.00 | 1.63 | 0.00 | 1.63 | 0.0 | 0.00 |
| 02/26/2018 | ***-**-28IN - BYWATER, KIM ACCOUNT #: LSR011995 | OPPENHEIMER INTERNATIONAL SMALL COM BUY 1 Units @0.0000 | 0.00 | 2.52 | 0.00 | 2.52 | 0.0 | 0.00 |
| 02/26/2018 | ***-**-567I - FRANZ, ALICE ACCOUNT #: LSR010960 | OPPENHEIMER INTL BOND CLASS B BUY 1 Units @0.0000 | 0.00 | 2.62 | 0.00 | 2.62 | 0.0 | 0.00 |



COMMISSION STATEMENT

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| DATE | CLIENT | INVESTMENT | INVESTMENT AMOUNT | GROSS COMMISSION | CLEARING CHARGE | NET COMMISSION | RATE | BROKER COMMISSION |
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| BROKER TRANSACTIONS (continued) | | | | | | | | |
| PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued) | | | | | | | | |
| 02/26/2018 | ***-**-664J - PFAFF, GEORGE ACCOUNT #: LSR011184 | OPPENHEIMER INTL BOND CLASS B BUY 1 Units @0.0000 | 0.00 | 3.31 | 0.00 | 3.31 | 0.0 | 0.00 |
| 02/26/2018 | ***-**-881I - EBERLEY, SUSAN ACCOUNT #: LSR010858 | OPPENHEIMER MAIN STREET SMALL CAP F BUY 1 Units @0.0000 | 0.00 | 1.93 | 0.00 | 1.93 | 0.0 | 0.00 |
| 02/26/2018 | ***-**-382I - SATTERLY, NEIL ACCOUNT #: LSR010867 | OPPENHEIMER RISING DIVIDENDS FUND C BUY 1 Units @0.0000 | 0.00 | 28.21 | 0.00 | 28.21 | 0.0 | 0.00 |
| 02/26/2018 | ***-**-031O - MCVOY, ROBERT ACCOUNT #: LSR010916 | OPPENHEIMER RISING DIVIDENDS FUND C BUY 1 Units @0.0000 | 0.00 | 5.91 | 0.00 | 5.91 | 0.0 | 0.00 |
| 02/26/2018 | ***-**-065I - LAZIO, THOMAS ACCOUNT #: LSR010979 | OPPENHEIMER RISING DIVIDENDS FUND C BUY 1 Units @0.0000 | 0.00 | 14.31 | 0.00 | 14.31 | 0.0 | 0.00 |
| 02/26/2018 | ***-**-511N - GERACE, JOANNE ACCOUNT #: LSR011538 | OPPENHEIMER RISING DIVIDENDS FUND C BUY 1 Units @0.0000 | 0.00 | 7.96 | 0.00 | 7.96 | 0.0 | 0.00 |
| 02/26/2018 | ***-**-371O - MCCLUSKY, MARK ACCOUNT #: LSR011579 | OPPENHEIMER RISING DIVIDENDS FUND C BUY 1 Units @0.0000 | 0.00 | 5.24 | 0.00 | 5.24 | 0.0 | 0.00 |
| 02/26/2018 | ***-**-714O - LINES, JUDITH ACCOUNT #: LSR011763 | OPPENHEIMER RISING DIVIDENDS FUND C BUY 1 Units @0.0000 | 0.00 | 7.84 | 0.00 | 7.84 | 0.0 | 0.00 |
| 02/26/2018 | ***-**-281N - BYWATER, KIM ACCOUNT #: LSR011995 | OPPENHEIMER RISING DIVIDENDS FUND C BUY 1 Units @0.0000 | 0.00 | 1.68 | 0.00 | 1.68 | 0.0 | 0.00 |
| 02/26/2018 | ***-**-287J - HINCKLEY, ACCOUNT #: LSR010841 | OPPENHEIMER ROCHEST AMT-FREE NY MUN BUY 1 Units @0.0000 | 0.00 | 7.11 | 0.00 | 7.11 | 0.0 | 0.00 |
| 02/26/2018 | ***-**-254I - AUGUSTINE, LINDA ACCOUNT #: LSR010846 | OPPENHEIMER SMALL & MID CAP VALUE F BUY 1 Units @0.0000 | 0.00 | 1.58 | 0.00 | 1.58 | 0.0 | 0.00 |
| 02/26/2018 | ***-**-930I - SANGER, KEVIN ACCOUNT #: LSR010941 | OPPENHEIMER SMALL & MID CAP VALUE F BUY 1 Units @0.0000 | 0.00 | 0.44 | 0.00 | 0.44 | 0.0 | 0.00 |
| 02/26/2018 | ***-**-151N - PENDRAK, JOHN ACCOUNT #: LSR010948 | OPPENHEIMER SMALL & MID CAP VALUE F BUY 1 Units @0.0000 | 0.00 | 1.00 | 0.00 | 1.00 | 0.0 | 0.00 |
| 02/26/2018 | ***-**-959I - FRANZ, PAUL ACCOUNT #: LSR010959 | OPPENHEIMER SMALL & MID CAP VALUE F BUY 1 Units @0.0000 | 0.00 | 1.83 | 0.00 | 1.83 | 0.0 | 0.00 |
| 02/26/2018 | ***-**-944O - MAYO, DEBORAH ACCOUNT #: LSR011035 | OPPENHEIMER SMALL & MID CAP VALUE F BUY 1 Units @0.0000 | 0.00 | 0.77 | 0.00 | 0.77 | 0.0 | 0.00 |
| 02/26/2018 | ***-**-111J - NESSIA, JAMES ACCOUNT #: LSR011054 | OPPENHEIMER SMALL & MID CAP VALUE F BUY 1 Units @0.0000 | 0.00 | 1.08 | 0.00 | 1.08 | 0.0 | 0.00 |



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| BROKER TRANSACTIONS (continued) | | | | | | | | |
| PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued) | | | | | | | | |
| 02/26/2018 | ***-**-13IN - RHYMESTINE, ACCOUNT #: LSR011106 | OPPENHEIMER SMALL & MID CAP VALUE F BUY 1 Units @0.0000 | 0.00 | 0.85 | 0.00 | 0.85 | 0.0 | 0.00 |
| 02/26/2018 | ***-**-62IN - EATON, DAVID ACCOUNT #: LSR011315 | OPPENHEIMER SMALL & MID CAP VALUE F BUY 1 Units @0.0000 | 0.00 | 0.73 | 0.00 | 0.73 | 0.0 | 0.00 |
| 02/26/2018 | ***-**-80IN - COBB, JAMES ACCOUNT #: LSR011042 | OPPENHEIMER STEELPATH MLP ALPHA PLU BUY 1 Units @0.0000 | 0.00 | 1.19 | 0.00 | 1.19 | 0.0 | 0.00 |
| 02/26/2018 | ***-**-837O - BASEMENT ACCOUNT #: LSR011046 | OPPENHEIMERSTEELPATH MLP INCOME CL BUY 1 Units @0.0000 | 0.00 | 3.04 | 0.00 | 3.04 | 0.0 | 0.00 |
| 02/26/2018 | ***-**-80IN - COBB, JAMES ACCOUNT #: LSR011042 | OPPENHEIMERSTEELPATH MLP SELECT 40 BUY 1 Units @0.0000 | 0.00 | 0.66 | 0.00 | 0.66 | 0.0 | 0.00 |
| 02/26/2018 | ***-**-48IO - CLARK, PATRICK ACCOUNT #: LSR010911 | PORT SERIES: CONS INV C BUY 1 Units @0.0000 | 0.00 | 17.91 | 0.00 | 17.91 | 0.0 | 0.00 |
| 02/26/2018 | ***-**-72IN - GAVALO, JULIE ACCOUNT #: LSR010921 | PORT SERIES: CONS INV C BUY 1 Units @0.0000 | 0.00 | 23.30 | 0.00 | 23.30 | 0.0 | 0.00 |
| 02/26/2018 | ***-**-420T - DEMETRI, AMELIA ACCOUNT #: LSR010994 | PORT SERIES: CONS INV C BUY 1 Units @0.0000 | 0.00 | 6.17 | 0.00 | 6.17 | 0.0 | 0.00 |
| 02/26/2018 | ***-**-73UT - COBB, CHRSTIAN ACCOUNT #: LSR011104 | PORT SERIES: CONS INV C BUY 1 Units @0.0000 | 0.00 | 4.72 | 0.00 | 4.72 | 0.0 | 0.00 |
| 02/26/2018 | ***-**-67UT - COBB, ACCOUNT #: LSR011105 | PORT SERIES: CONS INV C BUY 1 Units @0.0000 | 0.00 | 4.72 | 0.00 | 4.72 | 0.0 | 0.00 |
| 02/26/2018 | ***-**-89IN - LEE, ROGER ACCOUNT #: LSR011166 | PORT SERIES: CONS INV C BUY 1 Units @0.0000 | 0.00 | 10.19 | 0.00 | 10.19 | 0.0 | 0.00 |
| 02/26/2018 | ***-**-52IO - EUSEPI, SUSAN ACCOUNT #: LSR011219 | PORT SERIES: CONS INV C BUY 1 Units @0.0000 | 0.00 | 12.75 | 0.00 | 12.75 | 0.0 | 0.00 |
| 02/26/2018 | ***-**-439I - MCCARTHY, JAMES ACCOUNT #: LSR011244 | PORT SERIES: CONS INV C BUY 1 Units @0.0000 | 0.00 | 4.25 | 0.00 | 4.25 | 0.0 | 0.00 |
| 02/26/2018 | ***-**-80IO - EVANS, RICHARD ACCOUNT #: LSR011276 | PORT SERIES: CONS INV C BUY 1 Units @0.0000 | 0.00 | 13.63 | 0.00 | 13.63 | 0.0 | 0.00 |
| 02/26/2018 | ***-**-664J - PFAFF, GEORGE ACCOUNT #: LSR011184 | PORT SERIES: EQUITY INV FD B BUY 1 Units @0.0000 | 0.00 | 1.14 | 0.00 | 1.14 | 0.0 | 0.00 |
| 02/26/2018 | ***-**-254I - AUGUSTINE, LINDA ACCOUNT #: LSR010846 | PORTFOLIO SERIES: CONS INV A BUY 1 Units @0.0000 | 0.00 | 1.56 | 0.00 | 1.56 | 0.0 | 0.00 |



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| BROKER TRANSACTIONS (continued) | | | | | | | | |
| PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued) | | | | | | | | |
| 02/26/2018 | ***-**-15IN - PENDRAK, JOHN | PORTFOLIO SERIES: CONS INV A | 0.00 | 4.78 | 0.00 | 4.78 | 0.0 | 0.00 |
| | ACCOUNT #: LSR010948 | BUY 1 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-959I - FRANZ, PAUL | PORTFOLIO SERIES: CONS INV A | 0.00 | 2.15 | 0.00 | 2.15 | 0.0 | 0.00 |
| | ACCOUNT #: LSR010959 | BUY 1 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-51IO - CAIN, TIMOTHY | PORTFOLIO SERIES: CONS INV A | 0.00 | 2.12 | 0.00 | 2.12 | 0.0 | 0.00 |
| | ACCOUNT #: LSR011007 | BUY 1 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-761I - EVANS, DOLORES | PORTFOLIO SERIES: CONS INV A | 0.00 | 1.21 | 0.00 | 1.21 | 0.0 | 0.00 |
| | ACCOUNT #: LSR011024 | BUY 1 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-944O - MAYO, DEBORAH | PORTFOLIO SERIES: CONS INV A | 0.00 | 1.78 | 0.00 | 1.78 | 0.0 | 0.00 |
| | ACCOUNT #: LSR011035 | BUY 1 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-861I - SANGER, LAWRENCE | PORTFOLIO SERIES: CONS INV A | 0.00 | 0.68 | 0.00 | 0.68 | 0.0 | 0.00 |
| | ACCOUNT #: LSR011095 | BUY 1 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-13IN - RHYMESTINE, | PORTFOLIO SERIES: CONS INV A | 0.00 | 0.83 | 0.00 | 0.83 | 0.0 | 0.00 |
| | ACCOUNT #: LSR011106 | BUY 1 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-02IN - BUSHEY, MELISSA | PORTFOLIO SERIES: CONS INV A | 0.00 | 0.65 | 0.00 | 0.65 | 0.0 | 0.00 |
| | ACCOUNT #: LSR011257 | BUY 1 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-62IN - EATON, DAVID | PORTFOLIO SERIES: CONS INV A | 0.00 | 1.25 | 0.00 | 1.25 | 0.0 | 0.00 |
| | ACCOUNT #: LSR011315 | BUY 1 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-567I - FRANZ, ALICE | PORTFOLIO SERIES: CONSERVATIVE INVE | 0.00 | 3.30 | 0.00 | 3.30 | 0.0 | 0.00 |
| | ACCOUNT #: LSR010960 | BUY 1 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-664J - PFAFF, GEORGE | PORTFOLIO SERIES: CONSERVATIVE INVE | 0.00 | 4.49 | 0.00 | 4.49 | 0.0 | 0.00 |
| | ACCOUNT #: LSR011184 | BUY 1 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-579I - RHYMESTINE, | PUTNAM UTILITIES GROWTH AND INCOME | 0.00 | 1.43 | 0.00 | 1.43 | 0.0 | 0.00 |
| | ACCOUNT #: LSR011082 | BUY 1 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-861I - SANGER, LAWRENCE | PUTNAM UTILITIES GROWTH AND INCOME | 0.00 | 1.25 | 0.00 | 1.25 | 0.0 | 0.00 |
| | ACCOUNT #: LSR011095 | BUY 1 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-22IO - CLINTON, STEPHEN | PUTNAM 746792100 | 0.00 | 0.68 | 0.00 | 0.68 | 0.0 | 0.00 |
| | ACCOUNT #: LSR011684 | BUY 1 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-15IN - PENDRAK, JOHN | PUTNAM ABSOLUTE RETURN 700 CL B | 0.00 | 2.45 | 0.00 | 2.45 | 0.0 | 0.00 |
| | ACCOUNT #: LSR010948 | BUY 1 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-169I - EVANS, PAUL | PUTNAM ABSOLUTE RETURN 700 CL B | 0.00 | 1.26 | 0.00 | 1.26 | 0.0 | 0.00 |
| | ACCOUNT #: LSR011026 | BUY 1 Units @0.0000 | | | | | | |



COMMISSION STATEMENT

February 26, 2018

KURT GRUENEWALD
2108 Genesee St.
Utica, NY 13502

BROKER #: A77
BRANCH #01047 - 47 - GRIFFITH

| DATE | CLIENT | INVESTMENT | INVESTMENT AMOUNT | GROSS COMMISSION | CLEARING CHARGE | NET COMMISSION | RATE | BROKER COMMISSION |
|--|--------------------------------|---------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| BROKER TRANSACTIONS (continued) | | | | | | | | |
| PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued) | | | | | | | | |
| 02/26/2018 | ***-**-861I - SANGER, LAWRENCE | PUTNAM ABSOLUTE RETURN 700 CL B | 0.00 | 0.18 | 0.00 | 0.18 | 0.0 | 0.00 |
| | ACCOUNT #: LSR011095 | BUY 1 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-62IR - ROBBIANO, FBO | PUTNAM ABSOLUTE RETURN 700 CL B | 0.00 | 0.74 | 0.00 | 0.74 | 0.0 | 0.00 |
| | ACCOUNT #: LSR011195 | BUY 1 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-52IO - EUSEPI, SUSAN | PUTNAM ABSOLUTE RETURN 700 CL B | 0.00 | 1.16 | 0.00 | 1.16 | 0.0 | 0.00 |
| | ACCOUNT #: LSR011219 | BUY 1 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-02IN - BUSHEY, MELISSA | PUTNAM ABSOLUTE RETURN 700 CL B | 0.00 | 0.39 | 0.00 | 0.39 | 0.0 | 0.00 |
| | ACCOUNT #: LSR011257 | BUY 1 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-62IN - EATON, DAVID | PUTNAM ABSOLUTE RETURN 700 CL B | 0.00 | 1.02 | 0.00 | 1.02 | 0.0 | 0.00 |
| | ACCOUNT #: LSR011315 | BUY 1 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-51IN - GERACE, JOANNE | PUTNAM ABSOLUTE RETURN 700 CL B | 0.00 | 1.14 | 0.00 | 1.14 | 0.0 | 0.00 |
| | ACCOUNT #: LSR011538 | BUY 1 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-235I - AUGUSTINE III, | PUTNAM ABSOLUTE RETURN 700 CL C | 0.00 | 4.51 | 0.00 | 4.51 | 0.0 | 0.00 |
| | ACCOUNT #: LSR010845 | BUY 1 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-382I - SATTERLY, NEIL | PUTNAM ABSOLUTE RETURN 700 CL C | 0.00 | 15.19 | 0.00 | 15.19 | 0.0 | 0.00 |
| | ACCOUNT #: LSR010867 | BUY 1 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-48IO - CLARK, PATRICK | PUTNAM ABSOLUTE RETURN 700 CL C | 0.00 | 9.71 | 0.00 | 9.71 | 0.0 | 0.00 |
| | ACCOUNT #: LSR010911 | BUY 1 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-72IN - GAVALO, JULIE | PUTNAM ABSOLUTE RETURN 700 CL C | 0.00 | 9.64 | 0.00 | 9.64 | 0.0 | 0.00 |
| | ACCOUNT #: LSR010921 | BUY 1 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-065I - LAZIO, THOMAS | PUTNAM ABSOLUTE RETURN 700 CL C | 0.00 | 7.53 | 0.00 | 7.53 | 0.0 | 0.00 |
| | ACCOUNT #: LSR010979 | BUY 1 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-09IO - BATES, FBO MRS | PUTNAM ABSOLUTE RETURN 700 CL C | 0.00 | 9.45 | 0.00 | 9.45 | 0.0 | 0.00 |
| | ACCOUNT #: LSR011117 | BUY 1 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-11IO - LYNN G. | PUTNAM ABSOLUTE RETURN 700 CL C | 0.00 | 14.30 | 0.00 | 14.30 | 0.0 | 0.00 |
| | ACCOUNT #: LSR011239 | BUY 1 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-80IO - EVANS, RICHARD | PUTNAM ABSOLUTE RETURN 700 CL C | 0.00 | 8.01 | 0.00 | 8.01 | 0.0 | 0.00 |
| | ACCOUNT #: LSR011276 | BUY 1 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-45IO - JOHNSON, GREGORY | PUTNAM ABSOLUTE RETURN 700 CL C | 0.00 | 9.57 | 0.00 | 9.57 | 0.0 | 0.00 |
| | ACCOUNT #: LSR011421 | BUY 1 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-628I - SANGER, SANDRA | PUTNAM ABSOLUTE RETURN 700-A | 0.00 | 0.79 | 0.00 | 0.79 | 0.0 | 0.00 |
| | ACCOUNT #: LSR010942 | BUY 1 Units @0.0000 | | | | | | |



COMMISSION STATEMENT

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| DATE | CLIENT | INVESTMENT | INVESTMENT AMOUNT | GROSS COMMISSION | CLEARING CHARGE | NET COMMISSION | RATE | BROKER COMMISSION |
|--|--------------------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| BROKER TRANSACTIONS (continued) | | | | | | | | |
| PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued) | | | | | | | | |
| 02/26/2018 | ***-**-9440 - MAYO, DEBORAH | PUTNAM ABSOLUTE RETURN 700-A | 0.00 | 1.85 | 0.00 | 1.85 | 0.0 | 0.00 |
| | ACCOUNT #: LSR011035 | BUY 1 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-63TR - EVANS, AUDREY J | PUTNAM ABSOLUTE RETURN 700-A | 0.00 | 2.40 | 0.00 | 2.40 | 0.0 | 0.00 |
| | ACCOUNT #: LSR011036 | BUY 1 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-579I - RHYMESTINE, | PUTNAM ABSOLUTE RETURN 700-A | 0.00 | 0.87 | 0.00 | 0.87 | 0.0 | 0.00 |
| | ACCOUNT #: LSR011082 | BUY 1 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-861I - SANGER, LAWRENCE | PUTNAM ABSOLUTE RETURN 700-A | 0.00 | 1.22 | 0.00 | 1.22 | 0.0 | 0.00 |
| | ACCOUNT #: LSR011095 | BUY 1 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-653J - KOCHER, CLINTON | PUTNAM ABSOLUTE RETURN 700-A | 0.00 | 0.80 | 0.00 | 0.80 | 0.0 | 0.00 |
| | ACCOUNT #: LSR011298 | BUY 1 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-22IO - CLINTON, STEPHEN | PUTNAM ABSOLUTE RETURN 700-A | 0.00 | 0.72 | 0.00 | 0.72 | 0.0 | 0.00 |
| | ACCOUNT #: LSR011684 | BUY 1 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-22IO - CLINTON, STEPHEN | PUTNAM AMERICAN GOVERNMENT INCOME F | 0.00 | 0.64 | 0.00 | 0.64 | 0.0 | 0.00 |
| | ACCOUNT #: LSR011684 | BUY 1 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-31IO - HARTZ, CLAUDIA | PUTNAM ASSET ALLOC BALANCED-C | 0.00 | 4.95 | 0.00 | 4.95 | 0.0 | 0.00 |
| | ACCOUNT #: LSR010915 | BUY 1 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-31IO - HARTZ, CLAUDIA | PUTNAM CAPITAL SPECTRUM FD CL B | 0.00 | 0.72 | 0.00 | 0.72 | 0.0 | 0.00 |
| | ACCOUNT #: LSR010915 | BUY 1 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-930I - SANGER, KEVIN | PUTNAM CAPITAL SPECTRUM FD CL B | 0.00 | 1.00 | 0.00 | 1.00 | 0.0 | 0.00 |
| | ACCOUNT #: LSR010941 | BUY 1 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-366S - GRUENEWALD, | PUTNAM CAPITAL SPECTRUM FD CL B | 0.00 | 0.87 | 0.00 | 0.87 | 0.0 | 0.00 |
| | ACCOUNT #: LSR010990 | BUY 1 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-51IO - CAIN, TIMOTHY | PUTNAM CAPITAL SPECTRUM FD CL B | 0.00 | 1.66 | 0.00 | 1.66 | 0.0 | 0.00 |
| | ACCOUNT #: LSR011007 | BUY 1 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-579I - RHYMESTINE, | PUTNAM CAPITAL SPECTRUM FD CL B | 0.00 | 1.51 | 0.00 | 1.51 | 0.0 | 0.00 |
| | ACCOUNT #: LSR011082 | BUY 1 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-73UT - COBB, CHRISTIAN | PUTNAM CAPITAL SPECTRUM FD CL B | 0.00 | 1.65 | 0.00 | 1.65 | 0.0 | 0.00 |
| | ACCOUNT #: LSR011104 | BUY 1 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-67UT - COBB, | PUTNAM CAPITAL SPECTRUM FD CL B | 0.00 | 1.65 | 0.00 | 1.65 | 0.0 | 0.00 |
| | ACCOUNT #: LSR011105 | BUY 1 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-992J - CORNACCHIA | PUTNAM CAPITAL SPECTRUM FD CL B | 0.00 | 0.51 | 0.00 | 0.51 | 0.0 | 0.00 |
| | ACCOUNT #: LSR011157 | BUY 1 Units @0.0000 | | | | | | |



COMMISSION STATEMENT

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|--|--------------------------------|-----------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| BROKER TRANSACTIONS (continued) | | | | | | | | |
| PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued) | | | | | | | | |
| 02/26/2018 | ***-**-66IO - RUDD, MICHAEL | PUTNAM CAPITAL SPECTRUM FD CL B | 0.00 | 0.17 | 0.00 | 0.17 | 0.0 | 0.00 |
| | ACCOUNT #: LSR011268 | BUY 1 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-21IO - RADELL, SANDRA | PUTNAM CAPITAL SPECTRUM FD CL B | 0.00 | 1.65 | 0.00 | 1.65 | 0.0 | 0.00 |
| | ACCOUNT #: LSR011392 | BUY 1 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-22IO - CLINTON, STEPHEN | PUTNAM CAPITAL SPECTRUM FUND CL A | 0.00 | 0.81 | 0.00 | 0.81 | 0.0 | 0.00 |
| | ACCOUNT #: LSR011684 | BUY 1 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-382I - SATTERLY, NEIL | PUTNAM CAPITAL SPECTRUM FUND CL C | 0.00 | 8.00 | 0.00 | 8.00 | 0.0 | 0.00 |
| | ACCOUNT #: LSR010867 | BUY 1 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-980I - ACEE, ELIZABETH | PUTNAM CAPITAL SPECTRUM FUND CL C | 0.00 | 12.73 | 0.00 | 12.73 | 0.0 | 0.00 |
| | ACCOUNT #: LSR010885 | BUY 1 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-44IO - MAYO, DEBORAH | PUTNAM CAPITAL SPECTRUM FUND CL C | 0.00 | 8.54 | 0.00 | 8.54 | 0.0 | 0.00 |
| | ACCOUNT #: LSR011079 | BUY 1 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-09IO - BATES, FBO MRS | PUTNAM CAPITAL SPECTRUM FUND CL C | 0.00 | 18.22 | 0.00 | 18.22 | 0.0 | 0.00 |
| | ACCOUNT #: LSR011117 | BUY 1 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-094I - KATRENA L | PUTNAM CAPITAL SPECTRUM FUND CL C | 0.00 | 7.15 | 0.00 | 7.15 | 0.0 | 0.00 |
| | ACCOUNT #: LSR011188 | BUY 1 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-11IO - LYNN G. | PUTNAM CAPITAL SPECTRUM FUND CL C | 0.00 | 17.33 | 0.00 | 17.33 | 0.0 | 0.00 |
| | ACCOUNT #: LSR011239 | BUY 1 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-45IO - JOHNSON, GREGORY | PUTNAM CAPITAL SPECTRUM FUND CL C | 0.00 | 13.17 | 0.00 | 13.17 | 0.0 | 0.00 |
| | ACCOUNT #: LSR011421 | BUY 1 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-235I - AUGUSTINE III, | PUTNAM COMP | 0.00 | 5.97 | 0.00 | 5.97 | 0.0 | 0.00 |
| | ACCOUNT #: LSR010845 | BUY 1 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-881I - EBERLEY, SUSAN | PUTNAM COMP | 0.00 | 5.11 | 0.00 | 5.11 | 0.0 | 0.00 |
| | ACCOUNT #: LSR010858 | BUY 1 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-48IO - CLARK, PATRICK | PUTNAM COMP | 0.00 | 8.20 | 0.00 | 8.20 | 0.0 | 0.00 |
| | ACCOUNT #: LSR010911 | BUY 1 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-72IN - GAVALO, JULIE | PUTNAM COMP | 0.00 | 7.07 | 0.00 | 7.07 | 0.0 | 0.00 |
| | ACCOUNT #: LSR010921 | BUY 1 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-959J - FRANZ, PAUL | PUTNAM COMP | 0.00 | 10.65 | 0.00 | 10.65 | 0.0 | 0.00 |
| | ACCOUNT #: LSR010958 | BUY 1 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-065I - LAZIO, THOMAS | PUTNAM COMP | 0.00 | 6.07 | 0.00 | 6.07 | 0.0 | 0.00 |
| | ACCOUNT #: LSR010979 | BUY 1 Units @0.0000 | | | | | | |



COMMISSION STATEMENT

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| BROKER TRANSACTIONS (continued) | | | | | | | | |
| PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued) | | | | | | | | |
| 02/26/2018 | ***-**-420T - DEMETRI, AMELIA | PUTNAM COMP | 0.00 | 5.42 | 0.00 | 5.42 | 0.0 | 0.00 |
| | ACCOUNT #: LSR010994 | BUY 1 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-169I - EVANS, PAUL | PUTNAM COMP | 0.00 | 4.34 | 0.00 | 4.34 | 0.0 | 0.00 |
| | ACCOUNT #: LSR011026 | BUY 1 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-80IN - COBB, JAMES | PUTNAM COMP | 0.00 | 7.84 | 0.00 | 7.84 | 0.0 | 0.00 |
| | ACCOUNT #: LSR011042 | BUY 1 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-00IO - LEE, GARY | PUTNAM COMP | 0.00 | 9.63 | 0.00 | 9.63 | 0.0 | 0.00 |
| | ACCOUNT #: LSR011059 | BUY 1 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-09IO - BATES, FBO MRS | PUTNAM COMP | 0.00 | 9.63 | 0.00 | 9.63 | 0.0 | 0.00 |
| | ACCOUNT #: LSR011117 | BUY 1 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-89IN - LEE, ROGER | PUTNAM COMP | 0.00 | 5.39 | 0.00 | 5.39 | 0.0 | 0.00 |
| | ACCOUNT #: LSR011166 | BUY 1 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-094I - KATRENA L | PUTNAM COMP | 0.00 | 7.55 | 0.00 | 7.55 | 0.0 | 0.00 |
| | ACCOUNT #: LSR011188 | BUY 1 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-11IO - LYNN G. | PUTNAM COMP | 0.00 | 9.97 | 0.00 | 9.97 | 0.0 | 0.00 |
| | ACCOUNT #: LSR011239 | BUY 1 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-80IO - EVANS, RICHARD | PUTNAM COMP | 0.00 | 4.92 | 0.00 | 4.92 | 0.0 | 0.00 |
| | ACCOUNT #: LSR011276 | BUY 1 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-376I - BERBEN, GAIL | PUTNAM COMP | 0.00 | 9.72 | 0.00 | 9.72 | 0.0 | 0.00 |
| | ACCOUNT #: LSR011380 | BUY 1 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-45IO - JOHNSON, GREGORY | PUTNAM COMP | 0.00 | 15.15 | 0.00 | 15.15 | 0.0 | 0.00 |
| | ACCOUNT #: LSR011421 | BUY 1 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-14IO - BUSHEY, MATTHEW | PUTNAM COMP | 0.00 | 9.81 | 0.00 | 9.81 | 0.0 | 0.00 |
| | ACCOUNT #: LSR011498 | BUY 1 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-37IO - MCCLUSKY, MARK | PUTNAM COMP | 0.00 | 7.23 | 0.00 | 7.23 | 0.0 | 0.00 |
| | ACCOUNT #: LSR011579 | BUY 1 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-86IN - LEE, KEVIN | PUTNAM COMP | 0.00 | 8.19 | 0.00 | 8.19 | 0.0 | 0.00 |
| | ACCOUNT #: LSR011613 | BUY 1 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-633J - | PUTNAM COMP | 0.00 | 2.21 | 0.00 | 2.21 | 0.0 | 0.00 |
| | ACCOUNT #: LSR011732 | BUY 1 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-51IO - SCALISE, MARY | PUTNAM COMP | 0.00 | 0.83 | 0.00 | 0.83 | 0.0 | 0.00 |
| | ACCOUNT #: LSR011837 | BUY 1 Units @0.0000 | | | | | | |



COMMISSION STATEMENT

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| BROKER TRANSACTIONS (continued) | | | | | | | | |
| PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued) | | | | | | | | |
| 02/26/2018 | ***-**-949I - ACEE, JOSPEH ACCOUNT #: LSR010908 | PUTNAM CONV INCOME-GROWTH-B BUY 1 Units @0.0000 | 0.00 | 2.28 | 0.00 | 2.28 | 0.0 | 0.00 |
| 02/26/2018 | ***-**-31IO - HARTZ, CLAUDIA ACCOUNT #: LSR010915 | PUTNAM CONV INCOME-GROWTH-B BUY 1 Units @0.0000 | 0.00 | 0.67 | 0.00 | 0.67 | 0.0 | 0.00 |
| 02/26/2018 | ***-**-567I - FRANZ, ALICE ACCOUNT #: LSR010960 | PUTNAM CONV INCOME-GROWTH-B BUY 1 Units @0.0000 | 0.00 | 2.96 | 0.00 | 2.96 | 0.0 | 0.00 |
| 02/26/2018 | ***-**-366S - GRUENEWALD, ACCOUNT #: LSR010990 | PUTNAM CONV INCOME-GROWTH-B BUY 1 Units @0.0000 | 0.00 | 0.80 | 0.00 | 0.80 | 0.0 | 0.00 |
| 02/26/2018 | ***-**-580X - COBB, JAMES ACCOUNT #: LSR011040 | PUTNAM CONV INCOME-GROWTH-B BUY 1 Units @0.0000 | 0.00 | 1.62 | 0.00 | 1.62 | 0.0 | 0.00 |
| 02/26/2018 | ***-**-579I - RHYMESTINE, ACCOUNT #: LSR011082 | PUTNAM CONV INCOME-GROWTH-B BUY 1 Units @0.0000 | 0.00 | 1.12 | 0.00 | 1.12 | 0.0 | 0.00 |
| 02/26/2018 | ***-**-506J - CURRIERE JR, MR ACCOUNT #: LSR011121 | PUTNAM CONV INCOME-GROWTH-B BUY 1 Units @0.0000 | 0.00 | 1.06 | 0.00 | 1.06 | 0.0 | 0.00 |
| 02/26/2018 | ***-**-48IO - ANACKER, FBO MRS ACCOUNT #: LSR011164 | PUTNAM CONV INCOME-GROWTH-B BUY 1 Units @0.0000 | 0.00 | 1.30 | 0.00 | 1.30 | 0.0 | 0.00 |
| 02/26/2018 | ***-**-64IO - PFAFF, GEORGE ACCOUNT #: LSR011185 | PUTNAM CONV INCOME-GROWTH-B BUY 1 Units @0.0000 | 0.00 | 1.40 | 0.00 | 1.40 | 0.0 | 0.00 |
| 02/26/2018 | ***-**-62IR - ROBBIANO, FBO ACCOUNT #: LSR011195 | PUTNAM CONV INCOME-GROWTH-B BUY 1 Units @0.0000 | 0.00 | 0.71 | 0.00 | 0.71 | 0.0 | 0.00 |
| 02/26/2018 | ***-**-653I - KOCHEM, CLINTON ACCOUNT #: LSR011300 | PUTNAM CONV INCOME-GROWTH-B BUY 1 Units @0.0000 | 0.00 | 2.52 | 0.00 | 2.52 | 0.0 | 0.00 |
| 02/26/2018 | ***-**-00IO - LEE, GARY ACCOUNT #: LSR011059 | PUTNAM CONVERTIBLE SECURITIES CL C BUY 1 Units @0.0000 | 0.00 | 14.05 | 0.00 | 14.05 | 0.0 | 0.00 |
| 02/26/2018 | ***-**-11IO - LYNN G. ACCOUNT #: LSR011239 | PUTNAM CONVERTIBLE SECURITIES CL C BUY 1 Units @0.0000 | 0.00 | 19.38 | 0.00 | 19.38 | 0.0 | 0.00 |
| 02/26/2018 | ***-**-132O - EVANS, THOMAS ACCOUNT #: LSR011074 | PUTNAM DIVERSIFIED INCOME CLASS C BUY 1 Units @0.0000 | 0.00 | 7.56 | 0.00 | 7.56 | 0.0 | 0.00 |
| 02/26/2018 | ***-**-11IO - LYNN G. ACCOUNT #: LSR011239 | PUTNAM DIVERSIFIED INCOME CLASS C BUY 1 Units @0.0000 | 0.00 | 14.68 | 0.00 | 14.68 | 0.0 | 0.00 |
| 02/26/2018 | ***-**-881J - EBERLEY, SUSAN ACCOUNT #: LSR010856 | PUTNAM DIVERSIFIED INCOME-B BUY 1 Units @0.0000 | 0.00 | 2.27 | 0.00 | 2.27 | 0.0 | 0.00 |



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|--|--------------------------------|--------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| BROKER TRANSACTIONS (continued) | | | | | | | | |
| PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued) | | | | | | | | |
| 02/26/2018 | ***-**-949I - ACEE, JOSPEH | PUTNAM DIVERSIFIED INCOME-B | 0.00 | 0.88 | 0.00 | 0.88 | 0.0 | 0.00 |
| | ACCOUNT #: LSR010908 | BUY 1 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-31IO - HARTZ, CLAUDIA | PUTNAM DIVERSIFIED INCOME-B | 0.00 | 0.66 | 0.00 | 0.66 | 0.0 | 0.00 |
| | ACCOUNT #: LSR010915 | BUY 1 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-702I - KOCHER, MICHAEL | PUTNAM DIVERSIFIED INCOME-B | 0.00 | 1.90 | 0.00 | 1.90 | 0.0 | 0.00 |
| | ACCOUNT #: LSR010954 | BUY 1 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-960J - MASTRANGELO, | PUTNAM DIVERSIFIED INCOME-B | 0.00 | 2.07 | 0.00 | 2.07 | 0.0 | 0.00 |
| | ACCOUNT #: LSR010966 | BUY 1 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-51IO - CAIN, TIMOTHY | PUTNAM DIVERSIFIED INCOME-B | 0.00 | 1.29 | 0.00 | 1.29 | 0.0 | 0.00 |
| | ACCOUNT #: LSR011007 | BUY 1 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-761I - EVANS, DOLORES | PUTNAM DIVERSIFIED INCOME-B | 0.00 | 11.09 | 0.00 | 11.09 | 0.0 | 0.00 |
| | ACCOUNT #: LSR011024 | BUY 1 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-63TR - EVANS, AUDREY J | PUTNAM DIVERSIFIED INCOME-B | 0.00 | 2.57 | 0.00 | 2.57 | 0.0 | 0.00 |
| | ACCOUNT #: LSR011036 | BUY 1 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-579I - RHYMESTINE, | PUTNAM DIVERSIFIED INCOME-B | 0.00 | 1.20 | 0.00 | 1.20 | 0.0 | 0.00 |
| | ACCOUNT #: LSR011082 | BUY 1 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-861I - SANGER, LAWRENCE | PUTNAM DIVERSIFIED INCOME-B | 0.00 | 1.53 | 0.00 | 1.53 | 0.0 | 0.00 |
| | ACCOUNT #: LSR011095 | BUY 1 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-31IO - WILLIAMSON, FBO | PUTNAM DIVERSIFIED INCOME-B | 0.00 | 6.54 | 0.00 | 6.54 | 0.0 | 0.00 |
| | ACCOUNT #: LSR011172 | BUY 1 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-680I - HARRELL, DARYL | PUTNAM DIVERSIFIED INCOME-B | 0.00 | 0.69 | 0.00 | 0.69 | 0.0 | 0.00 |
| | ACCOUNT #: LSR011321 | BUY 1 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-960J - MASTRANGELO, | PUTNAM EQUITY INCOME FUND-B | 0.00 | 2.66 | 0.00 | 2.66 | 0.0 | 0.00 |
| | ACCOUNT #: LSR010966 | BUY 1 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-664J - PFAFF, GEORGE | PUTNAM EQUITY INCOME FUND-B | 0.00 | 2.65 | 0.00 | 2.65 | 0.0 | 0.00 |
| | ACCOUNT #: LSR011184 | BUY 1 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-169I - EVANS, PAUL | PUTNAM EQUITY SPECTRUM FD CL B | 0.00 | 1.04 | 0.00 | 1.04 | 0.0 | 0.00 |
| | ACCOUNT #: LSR011026 | BUY 1 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-881J - EBERLEY, SUSAN | PUTNAM EQUITY SPECTRUM FD CL C | 0.00 | 12.05 | 0.00 | 12.05 | 0.0 | 0.00 |
| | ACCOUNT #: LSR010856 | BUY 1 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-48IO - CLARK, PATRICK | PUTNAM EQUITY SPECTRUM FD CL C | 0.00 | 25.69 | 0.00 | 25.69 | 0.0 | 0.00 |
| | ACCOUNT #: LSR010911 | BUY 1 Units @0.0000 | | | | | | |



COMMISSION STATEMENT

February 26, 2018

KURT GRUENEWALD
2108 Genesee St.
Utica, NY 13502

BROKER #: A77
BRANCH #01047 - 47 - GRIFFITH

| DATE | CLIENT | INVESTMENT | INVESTMENT AMOUNT | GROSS COMMISSION | CLEARING CHARGE | NET COMMISSION | RATE | BROKER COMMISSION |
|--|-------------------------------|----------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| BROKER TRANSACTIONS (continued) | | | | | | | | |
| PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued) | | | | | | | | |
| 02/26/2018 | ***-**-0310 - MCVOY, ROBERT | PUTNAM EQUITY SPECTRUM FD CL C | 0.00 | 9.00 | 0.00 | 9.00 | 0.0 | 0.00 |
| | ACCOUNT #: LSR010916 | BUY 1 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-72IN - GAVALO, JULIE | PUTNAM EQUITY SPECTRUM FD CL C | 0.00 | 16.96 | 0.00 | 16.96 | 0.0 | 0.00 |
| | ACCOUNT #: LSR010921 | BUY 1 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-959I - FRANZ, PAUL | PUTNAM EQUITY SPECTRUM FD CL C | 0.00 | 10.46 | 0.00 | 10.46 | 0.0 | 0.00 |
| | ACCOUNT #: LSR010959 | BUY 1 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-065I - LAZIO, THOMAS | PUTNAM EQUITY SPECTRUM FD CL C | 0.00 | 6.90 | 0.00 | 6.90 | 0.0 | 0.00 |
| | ACCOUNT #: LSR010979 | BUY 1 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-73TR - WESTCOTT IRRVOC | PUTNAM EQUITY SPECTRUM FD CL C | 0.00 | 7.31 | 0.00 | 7.31 | 0.0 | 0.00 |
| | ACCOUNT #: LSR011001 | BUY 1 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-80IN - COBB, JAMES | PUTNAM EQUITY SPECTRUM FD CL C | 0.00 | 8.48 | 0.00 | 8.48 | 0.0 | 0.00 |
| | ACCOUNT #: LSR011042 | BUY 1 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-44IO - MAYO, DEBORAH | PUTNAM EQUITY SPECTRUM FD CL C | 0.00 | 8.64 | 0.00 | 8.64 | 0.0 | 0.00 |
| | ACCOUNT #: LSR011079 | BUY 1 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-09IO - BATES, FBO MRS | PUTNAM EQUITY SPECTRUM FD CL C | 0.00 | 9.01 | 0.00 | 9.01 | 0.0 | 0.00 |
| | ACCOUNT #: LSR011117 | BUY 1 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-89IN - LEE, ROGER | PUTNAM EQUITY SPECTRUM FD CL C | 0.00 | 12.77 | 0.00 | 12.77 | 0.0 | 0.00 |
| | ACCOUNT #: LSR011166 | BUY 1 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-473J - HUSTON, | PUTNAM EQUITY SPECTRUM FD CL C | 0.00 | 9.71 | 0.00 | 9.71 | 0.0 | 0.00 |
| | ACCOUNT #: LSR011228 | BUY 1 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-11IO - LYNN G. | PUTNAM EQUITY SPECTRUM FD CL C | 0.00 | 11.00 | 0.00 | 11.00 | 0.0 | 0.00 |
| | ACCOUNT #: LSR011239 | BUY 1 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-80IO - EVANS, RICHARD | PUTNAM EQUITY SPECTRUM FD CL C | 0.00 | 9.43 | 0.00 | 9.43 | 0.0 | 0.00 |
| | ACCOUNT #: LSR011276 | BUY 1 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-07IO - FAMOLARO, JAMES | PUTNAM EQUITY SPECTRUM FD CL C | 0.00 | 5.84 | 0.00 | 5.84 | 0.0 | 0.00 |
| | ACCOUNT #: LSR011280 | BUY 1 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-094I - KATRENA L | PUTNAM EUROPE EQUITY CLASS C | 0.00 | 4.74 | 0.00 | 4.74 | 0.0 | 0.00 |
| | ACCOUNT #: LSR011188 | BUY 1 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-808J - GORMAN, RANDY | PUTNAM GLOBAL CONSUMER FD A | 0.00 | 0.31 | 0.00 | 0.31 | 0.0 | 0.00 |
| | ACCOUNT #: LSR011087 | BUY 1 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-949I - ACEE, JOSPEH | PUTNAM GLOBAL CONSUMER FUND CL B | 0.00 | 2.09 | 0.00 | 2.09 | 0.0 | 0.00 |
| | ACCOUNT #: LSR010908 | BUY 1 Units @0.0000 | | | | | | |



COMMISSION STATEMENT

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2108 Genesee St.
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BROKER #: A77
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| DATE | CLIENT | INVESTMENT | INVESTMENT AMOUNT | GROSS COMMISSION | CLEARING CHARGE | NET COMMISSION | RATE | BROKER COMMISSION |
|--|--------------------------------|----------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| BROKER TRANSACTIONS (continued) | | | | | | | | |
| PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued) | | | | | | | | |
| 02/26/2018 | ***-**-31IO - HARTZ, CLAUDIA | PUTNAM GLOBAL CONSUMER FUND CL B | 0.00 | 0.51 | 0.00 | 0.51 | 0.0 | 0.00 |
| | ACCOUNT #: LSR010915 | BUY 1 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-567I - FRANZ, ALICE | PUTNAM GLOBAL CONSUMER FUND CL B | 0.00 | 3.48 | 0.00 | 3.48 | 0.0 | 0.00 |
| | ACCOUNT #: LSR010960 | BUY 1 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-366I - GRUENEWALD, | PUTNAM GLOBAL CONSUMER FUND CL B | 0.00 | 1.41 | 0.00 | 1.41 | 0.0 | 0.00 |
| | ACCOUNT #: LSR010989 | BUY 1 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-51IO - CAIN, TIMOTHY | PUTNAM GLOBAL CONSUMER FUND CL B | 0.00 | 1.42 | 0.00 | 1.42 | 0.0 | 0.00 |
| | ACCOUNT #: LSR011007 | BUY 1 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-761I - EVANS, DOLORES | PUTNAM GLOBAL CONSUMER FUND CL B | 0.00 | 2.07 | 0.00 | 2.07 | 0.0 | 0.00 |
| | ACCOUNT #: LSR011024 | BUY 1 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-944O - MAYO, DEBORAH | PUTNAM GLOBAL CONSUMER FUND CL B | 0.00 | 1.11 | 0.00 | 1.11 | 0.0 | 0.00 |
| | ACCOUNT #: LSR011035 | BUY 1 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-63TR - EVANS, AUDREY J | PUTNAM GLOBAL CONSUMER FUND CL B | 0.00 | 1.61 | 0.00 | 1.61 | 0.0 | 0.00 |
| | ACCOUNT #: LSR011036 | BUY 1 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-306X - COBB, CHERRYL | PUTNAM GLOBAL CONSUMER FUND CL B | 0.00 | 1.30 | 0.00 | 1.30 | 0.0 | 0.00 |
| | ACCOUNT #: LSR011037 | BUY 1 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-579J - RHYMESTINE, | PUTNAM GLOBAL CONSUMER FUND CL B | 0.00 | 1.27 | 0.00 | 1.27 | 0.0 | 0.00 |
| | ACCOUNT #: LSR011081 | BUY 1 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-326I - GRANDE, FBO MR | PUTNAM GLOBAL CONSUMER FUND CL B | 0.00 | 1.38 | 0.00 | 1.38 | 0.0 | 0.00 |
| | ACCOUNT #: LSR011091 | BUY 1 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-506J - CURRIERE JR, MR | PUTNAM GLOBAL CONSUMER FUND CL B | 0.00 | 1.55 | 0.00 | 1.55 | 0.0 | 0.00 |
| | ACCOUNT #: LSR011121 | BUY 1 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-367J - WAGNER, MRS LANT | PUTNAM GLOBAL CONSUMER FUND CL B | 0.00 | 2.27 | 0.00 | 2.27 | 0.0 | 0.00 |
| | ACCOUNT #: LSR011134 | BUY 1 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-48IO - ANACKER, FBO MRS | PUTNAM GLOBAL CONSUMER FUND CL B | 0.00 | 2.21 | 0.00 | 2.21 | 0.0 | 0.00 |
| | ACCOUNT #: LSR011164 | BUY 1 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-64IO - PFAFF, GEORGE | PUTNAM GLOBAL CONSUMER FUND CL B | 0.00 | 1.27 | 0.00 | 1.27 | 0.0 | 0.00 |
| | ACCOUNT #: LSR011185 | BUY 1 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-62IR - ROBBIANO, FBO | PUTNAM GLOBAL CONSUMER FUND CL B | 0.00 | 1.27 | 0.00 | 1.27 | 0.0 | 0.00 |
| | ACCOUNT #: LSR011195 | BUY 1 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-66IO - RUDD, MICHAEL | PUTNAM GLOBAL CONSUMER FUND CL B | 0.00 | 0.06 | 0.00 | 0.06 | 0.0 | 0.00 |
| | ACCOUNT #: LSR011268 | BUY 1 Units @0.0000 | | | | | | |



COMMISSION STATEMENT

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| DATE | CLIENT | INVESTMENT | INVESTMENT AMOUNT | GROSS COMMISSION | CLEARING CHARGE | NET COMMISSION | RATE | BROKER COMMISSION |
|--|--------------------------------|----------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| BROKER TRANSACTIONS (continued) | | | | | | | | |
| PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued) | | | | | | | | |
| 02/26/2018 | ***-**-653I - KOCHEM, CLINTON | PUTNAM GLOBAL CONSUMER FUND CL B | 0.00 | 3.55 | 0.00 | 3.55 | 0.0 | 0.00 |
| | ACCOUNT #: LSR011300 | BUY 1 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-680I - HARRELL, DARYL | PUTNAM GLOBAL CONSUMER FUND CL B | 0.00 | 1.68 | 0.00 | 1.68 | 0.0 | 0.00 |
| | ACCOUNT #: LSR011321 | BUY 1 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-21IO - RADELL, SANDRA | PUTNAM GLOBAL CONSUMER FUND CL B | 0.00 | 1.63 | 0.00 | 1.63 | 0.0 | 0.00 |
| | ACCOUNT #: LSR011392 | BUY 1 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-12IR - GRUENEWALD, | PUTNAM GLOBAL CONSUMER FUND CL B | 0.00 | 0.67 | 0.00 | 0.67 | 0.0 | 0.00 |
| | ACCOUNT #: LSR011614 | BUY 1 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-03IO - MASTRANGELO, | PUTNAM GLOBAL CONSUMER FUND CL B | 0.00 | 2.07 | 0.00 | 2.07 | 0.0 | 0.00 |
| | ACCOUNT #: LSR011679 | BUY 1 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-45IN - WILLIAMSON, | PUTNAM GLOBAL CONSUMER FUND CL B | 0.00 | 0.84 | 0.00 | 0.84 | 0.0 | 0.00 |
| | ACCOUNT #: LSR011751 | BUY 1 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-065I - LAZIO, THOMAS | PUTNAM GLOBAL CONSUMER FUND CL C | 0.00 | 5.33 | 0.00 | 5.33 | 0.0 | 0.00 |
| | ACCOUNT #: LSR010979 | BUY 1 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-44IO - MAYO, DEBORAH | PUTNAM GLOBAL CONSUMER FUND CL C | 0.00 | 12.80 | 0.00 | 12.80 | 0.0 | 0.00 |
| | ACCOUNT #: LSR011079 | BUY 1 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-89IN - LEE, ROGER | PUTNAM GLOBAL CONSUMER FUND CL C | 0.00 | 7.87 | 0.00 | 7.87 | 0.0 | 0.00 |
| | ACCOUNT #: LSR011166 | BUY 1 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-11IO - LYNN G. | PUTNAM GLOBAL CONSUMER FUND CL C | 0.00 | 11.58 | 0.00 | 11.58 | 0.0 | 0.00 |
| | ACCOUNT #: LSR011239 | BUY 1 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-37IO - MCCLUSKY, MARK | PUTNAM GLOBAL CONSUMER FUND CL C | 0.00 | 7.61 | 0.00 | 7.61 | 0.0 | 0.00 |
| | ACCOUNT #: LSR011579 | BUY 1 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-51IO - SCALISE, MARY | PUTNAM GLOBAL CONSUMER FUND CL C | 0.00 | 0.11 | 0.00 | 0.11 | 0.0 | 0.00 |
| | ACCOUNT #: LSR011837 | BUY 1 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-702I - KOCHEM, MICHAEL | PUTNAM GLOBAL HEALTH CARE FD-A | 0.00 | 1.48 | 0.00 | 1.48 | 0.0 | 0.00 |
| | ACCOUNT #: LSR010954 | BUY 1 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-22IO - CLINTON, STEPHEN | PUTNAM GLOBAL HEALTH CARE FD-A | 0.00 | 1.03 | 0.00 | 1.03 | 0.0 | 0.00 |
| | ACCOUNT #: LSR011684 | BUY 1 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-579I - RHYMESTINE, | PUTNAM GLOBAL NAT RESOURCES-A | 0.00 | 1.29 | 0.00 | 1.29 | 0.0 | 0.00 |
| | ACCOUNT #: LSR011082 | BUY 1 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-680I - HARRELL, DARYL | PUTNAM GLOBAL NAT RESOURCES-A | 0.00 | 0.13 | 0.00 | 0.13 | 0.0 | 0.00 |
| | ACCOUNT #: LSR011321 | BUY 1 Units @0.0000 | | | | | | |



COMMISSION STATEMENT

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| DATE | CLIENT | INVESTMENT | INVESTMENT AMOUNT | GROSS COMMISSION | CLEARING CHARGE | NET COMMISSION | RATE | BROKER COMMISSION |
|--|-------------------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| BROKER TRANSACTIONS (continued) | | | | | | | | |
| PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued) | | | | | | | | |
| 02/26/2018 | ***-**-31IO - HARTZ, CLAUDIA | PUTNAM GLOBAL NAT RESOURCES-B | 0.00 | 0.99 | 0.00 | 0.99 | 0.0 | 0.00 |
| | ACCOUNT #: LSR010915 | BUY 1 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-567I - FRANZ, ALICE | PUTNAM GLOBAL NAT RESOURCES-B | 0.00 | 0.77 | 0.00 | 0.77 | 0.0 | 0.00 |
| | ACCOUNT #: LSR010960 | BUY 1 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-664J - PFAFF, GEORGE | PUTNAM GLOBAL NAT RESOURCES-B | 0.00 | 0.69 | 0.00 | 0.69 | 0.0 | 0.00 |
| | ACCOUNT #: LSR011184 | BUY 1 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-63TR - EVANS, AUDREY J | PUTNAM GLOBAL SECTOR FUND CL A | 0.00 | 2.79 | 0.00 | 2.79 | 0.0 | 0.00 |
| | ACCOUNT #: LSR011036 | BUY 1 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-567I - FRANZ, ALICE | PUTNAM GLOBAL TECHNOLOGY CL B | 0.00 | 2.18 | 0.00 | 2.18 | 0.0 | 0.00 |
| | ACCOUNT #: LSR010960 | BUY 1 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-944O - MAYO, DEBORAH | PUTNAM GLOBAL TECHNOLOGY CL B | 0.00 | 0.95 | 0.00 | 0.95 | 0.0 | 0.00 |
| | ACCOUNT #: LSR011035 | BUY 1 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-63TR - EVANS, AUDREY J | PUTNAM GLOBAL TELECOMMUNICATIONS B | 0.00 | 2.59 | 0.00 | 2.59 | 0.0 | 0.00 |
| | ACCOUNT #: LSR011036 | BUY 1 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-62IR - ROBBIANO, FBO | PUTNAM GLOBAL TELECOMMUNICATIONS B | 0.00 | 0.63 | 0.00 | 0.63 | 0.0 | 0.00 |
| | ACCOUNT #: LSR011195 | BUY 1 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-382I - SATTERLY, NEIL | PUTNAM GLOBAL UTILITIES CL C | 0.00 | 5.48 | 0.00 | 5.48 | 0.0 | 0.00 |
| | ACCOUNT #: LSR010867 | BUY 1 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-881I - EBERLEY, SUSAN | PUTNAM GROWTH OPPORTUNITIES FUND CL | 0.00 | 9.57 | 0.00 | 9.57 | 0.0 | 0.00 |
| | ACCOUNT #: LSR010858 | BUY 1 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-382I - SATTERLY, NEIL | PUTNAM GROWTH OPPORTUNITIES FUND CL | 0.00 | 10.12 | 0.00 | 10.12 | 0.0 | 0.00 |
| | ACCOUNT #: LSR010867 | BUY 1 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-420T - DEMETRI, AMELIA | PUTNAM GROWTH OPPORTUNITIES FUND CL | 0.00 | 9.95 | 0.00 | 9.95 | 0.0 | 0.00 |
| | ACCOUNT #: LSR010994 | BUY 1 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-169I - EVANS, PAUL | PUTNAM GROWTH OPPORTUNITIES FUND CL | 0.00 | 8.84 | 0.00 | 8.84 | 0.0 | 0.00 |
| | ACCOUNT #: LSR011026 | BUY 1 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-80IN - COBB, JAMES | PUTNAM GROWTH OPPORTUNITIES FUND CL | 0.00 | 8.65 | 0.00 | 8.65 | 0.0 | 0.00 |
| | ACCOUNT #: LSR011042 | BUY 1 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-14IO - BUSHEY, MATTHEW | PUTNAM GROWTH OPPORTUNITIES FUND CL | 0.00 | 12.71 | 0.00 | 12.71 | 0.0 | 0.00 |
| | ACCOUNT #: LSR011498 | BUY 1 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-51IO - CAIN, TIMOTHY | PUTNAM GROWTH OPPORTUNITIES FUND CL | 0.00 | 2.54 | 0.00 | 2.54 | 0.0 | 0.00 |
| | ACCOUNT #: LSR011007 | BUY 1 Units @0.0000 | | | | | | |



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|--|--------------------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| BROKER TRANSACTIONS (continued) | | | | | | | | |
| PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued) | | | | | | | | |
| 02/26/2018 | ***-**-653I - KOCHER, CLINTON | PUTNAM GROWTH OPPORTUNITIES FUND CL | 0.00 | 3.03 | 0.00 | 3.03 | 0.0 | 0.00 |
| | ACCOUNT #: LSR011300 | BUY 1 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-13IO - ROTH, KAREN | PUTNAM GROWTH OPPORTUNITIES FUND CL | 0.00 | 1.58 | 0.00 | 1.58 | 0.0 | 0.00 |
| | ACCOUNT #: LSR011484 | BUY 1 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-31IO - HARTZ, CLAUDIA | PUTNAM HEALTH SCIENCES TR-B | 0.00 | 0.93 | 0.00 | 0.93 | 0.0 | 0.00 |
| | ACCOUNT #: LSR010915 | BUY 1 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-930I - SANGER, KEVIN | PUTNAM HEALTH SCIENCES TR-B | 0.00 | 0.72 | 0.00 | 0.72 | 0.0 | 0.00 |
| | ACCOUNT #: LSR010941 | BUY 1 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-567I - FRANZ, ALICE | PUTNAM HEALTH SCIENCES TR-B | 0.00 | 2.62 | 0.00 | 2.62 | 0.0 | 0.00 |
| | ACCOUNT #: LSR010960 | BUY 1 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-960J - MASTRANGELO, | PUTNAM HEALTH SCIENCES TR-B | 0.00 | 1.33 | 0.00 | 1.33 | 0.0 | 0.00 |
| | ACCOUNT #: LSR010966 | BUY 1 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-761I - EVANS, DOLORES | PUTNAM HEALTH SCIENCES TR-B | 0.00 | 2.16 | 0.00 | 2.16 | 0.0 | 0.00 |
| | ACCOUNT #: LSR011024 | BUY 1 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-944O - MAYO, DEBORAH | PUTNAM HEALTH SCIENCES TR-B | 0.00 | 1.80 | 0.00 | 1.80 | 0.0 | 0.00 |
| | ACCOUNT #: LSR011035 | BUY 1 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-579I - RHYMESTINE, | PUTNAM HEALTH SCIENCES TR-B | 0.00 | 2.36 | 0.00 | 2.36 | 0.0 | 0.00 |
| | ACCOUNT #: LSR011082 | BUY 1 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-326I - GRANDE, FBO MR | PUTNAM HEALTH SCIENCES TR-B | 0.00 | 1.43 | 0.00 | 1.43 | 0.0 | 0.00 |
| | ACCOUNT #: LSR011091 | BUY 1 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-48IO - ANACKER, FBO MRS | PUTNAM HEALTH SCIENCES TR-B | 0.00 | 2.24 | 0.00 | 2.24 | 0.0 | 0.00 |
| | ACCOUNT #: LSR011164 | BUY 1 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-664J - PFAFF, GEORGE | PUTNAM HEALTH SCIENCES TR-B | 0.00 | 2.20 | 0.00 | 2.20 | 0.0 | 0.00 |
| | ACCOUNT #: LSR011184 | BUY 1 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-64IO - PFAFF, GEORGE | PUTNAM HEALTH SCIENCES TR-B | 0.00 | 0.87 | 0.00 | 0.87 | 0.0 | 0.00 |
| | ACCOUNT #: LSR011185 | BUY 1 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-62IR - ROBBIANO, FBO | PUTNAM HEALTH SCIENCES TR-B | 0.00 | 0.96 | 0.00 | 0.96 | 0.0 | 0.00 |
| | ACCOUNT #: LSR011195 | BUY 1 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-52IO - EUSEPI, SUSAN | PUTNAM HEALTH SCIENCES TR-B | 0.00 | 1.15 | 0.00 | 1.15 | 0.0 | 0.00 |
| | ACCOUNT #: LSR011219 | BUY 1 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-480J - EVANS, RICHARD | PUTNAM HEALTH SCIENCES TR-B | 0.00 | 1.10 | 0.00 | 1.10 | 0.0 | 0.00 |
| | ACCOUNT #: LSR011274 | BUY 1 Units @0.0000 | | | | | | |



COMMISSION STATEMENT

February 26, 2018

KURT GRUENEWALD
2108 Genesee St.
Utica, NY 13502

BROKER #: A77
BRANCH #01047 - 47 - GRIFFITH

| DATE | CLIENT | INVESTMENT | INVESTMENT AMOUNT | GROSS COMMISSION | CLEARING CHARGE | NET COMMISSION | RATE | BROKER COMMISSION |
|--|--------------------------------|-------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| BROKER TRANSACTIONS (continued) | | | | | | | | |
| PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued) | | | | | | | | |
| 02/26/2018 | ***-**-653I - KOCHER, CLINTON | PUTNAM HEALTH SCIENCES TR-B | 0.00 | 3.22 | 0.00 | 3.22 | 0.0 | 0.00 |
| | ACCOUNT #: LSR011300 | BUY 1 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-21IO - RADELL, SANDRA | PUTNAM HEALTH SCIENCES TR-B | 0.00 | 1.87 | 0.00 | 1.87 | 0.0 | 0.00 |
| | ACCOUNT #: LSR011392 | BUY 1 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-197I - GAMBINO, ANDREW | PUTNAM HEALTH SCIENCES TR-B | 0.00 | 0.21 | 0.00 | 0.21 | 0.0 | 0.00 |
| | ACCOUNT #: LSR011465 | BUY 1 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-53IN - EVANS, ANDREW | PUTNAM HEALTH SCIENCES TR-B | 0.00 | 0.54 | 0.00 | 0.54 | 0.0 | 0.00 |
| | ACCOUNT #: LSR011483 | BUY 1 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-13IO - ROTH, KAREN | PUTNAM HEALTH SCIENCES TR-B | 0.00 | 1.51 | 0.00 | 1.51 | 0.0 | 0.00 |
| | ACCOUNT #: LSR011484 | BUY 1 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-38IO - BROWN, TYLER | PUTNAM HEALTH SCIENCES TR-B | 0.00 | 0.84 | 0.00 | 0.84 | 0.0 | 0.00 |
| | ACCOUNT #: LSR011602 | BUY 1 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-12IR - GRUENEWALD, | PUTNAM HEALTH SCIENCES TR-B | 0.00 | 0.73 | 0.00 | 0.73 | 0.0 | 0.00 |
| | ACCOUNT #: LSR011614 | BUY 1 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-03IO - MASTRANGELO, | PUTNAM HEALTH SCIENCES TR-B | 0.00 | 1.29 | 0.00 | 1.29 | 0.0 | 0.00 |
| | ACCOUNT #: LSR011679 | BUY 1 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-45IN - WILLIAMSON, | PUTNAM HEALTH SCIENCES TR-B | 0.00 | 0.72 | 0.00 | 0.72 | 0.0 | 0.00 |
| | ACCOUNT #: LSR011751 | BUY 1 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-22IO - CLINTON, STEPHEN | PUTNAM INTL GROWTH & INC-A | 0.00 | 1.19 | 0.00 | 1.19 | 0.0 | 0.00 |
| | ACCOUNT #: LSR011684 | BUY 1 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-382K - SATTERLY, NEIL | PUTNAM INVESTORS CLASS C | 0.00 | 4.68 | 0.00 | 4.68 | 0.0 | 0.00 |
| | ACCOUNT #: LSR010875 | BUY 1 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-653J - KOCHER, CLINTON | PUTNAM INVESTORS CLASS C | 0.00 | 4.68 | 0.00 | 4.68 | 0.0 | 0.00 |
| | ACCOUNT #: LSR011298 | BUY 1 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-22IO - CLINTON, STEPHEN | PUTNAM SMALL CAP VALUE FUND-A | 0.00 | 1.46 | 0.00 | 1.46 | 0.0 | 0.00 |
| | ACCOUNT #: LSR011684 | BUY 1 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-63TR - EVANS, AUDREY J | PUTNAM U.S. GOVT INCOME TR-B | 0.00 | 0.92 | 0.00 | 0.92 | 0.0 | 0.00 |
| | ACCOUNT #: LSR011036 | BUY 1 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-254I - AUGUSTINE, LINDA | PUTNAM UTILITIES GR & INC-B | 0.00 | 1.12 | 0.00 | 1.12 | 0.0 | 0.00 |
| | ACCOUNT #: LSR010846 | BUY 1 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-881J - EBERLEY, SUSAN | PUTNAM UTILITIES GR & INC-B | 0.00 | 1.58 | 0.00 | 1.58 | 0.0 | 0.00 |
| | ACCOUNT #: LSR010856 | BUY 1 Units @0.0000 | | | | | | |



COMMISSION STATEMENT

February 26, 2018

KURT GRUENEWALD
2108 Genesee St.
Utica, NY 13502

BROKER #: A77
BRANCH #01047 - 47 - GRIFFITH

| DATE | CLIENT | INVESTMENT | INVESTMENT AMOUNT | GROSS COMMISSION | CLEARING CHARGE | NET COMMISSION | RATE | BROKER COMMISSION |
|--|--|--|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| BROKER TRANSACTIONS (continued) | | | | | | | | |
| PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued) | | | | | | | | |
| 02/26/2018 | ***-**-949I - ACEE, JOSPEH ACCOUNT #: LSR010908 | PUTNAM UTILITIES GR & INC-B BUY 1 Units @0.0000 | 0.00 | 0.71 | 0.00 | 0.71 | 0.0 | 0.00 |
| 02/26/2018 | ***-**-31IO - HARTZ, CLAUDIA ACCOUNT #: LSR010915 | PUTNAM UTILITIES GR & INC-B BUY 1 Units @0.0000 | 0.00 | 0.52 | 0.00 | 0.52 | 0.0 | 0.00 |
| 02/26/2018 | ***-**-930I - SANGER, KEVIN ACCOUNT #: LSR010941 | PUTNAM UTILITIES GR & INC-B BUY 1 Units @0.0000 | 0.00 | 0.99 | 0.00 | 0.99 | 0.0 | 0.00 |
| 02/26/2018 | ***-**-15IN - PENDRAK, JOHN ACCOUNT #: LSR010948 | PUTNAM UTILITIES GR & INC-B BUY 1 Units @0.0000 | 0.00 | 2.17 | 0.00 | 2.17 | 0.0 | 0.00 |
| 02/26/2018 | ***-**-959I - FRANZ, PAUL ACCOUNT #: LSR010959 | PUTNAM UTILITIES GR & INC-B BUY 1 Units @0.0000 | 0.00 | 1.74 | 0.00 | 1.74 | 0.0 | 0.00 |
| 02/26/2018 | ***-**-960J - MASTRANGELO, ACCOUNT #: LSR010966 | PUTNAM UTILITIES GR & INC-B BUY 1 Units @0.0000 | 0.00 | 2.12 | 0.00 | 2.12 | 0.0 | 0.00 |
| 02/26/2018 | ***-**-51IO - CAIN, TIMOTHY ACCOUNT #: LSR011007 | PUTNAM UTILITIES GR & INC-B BUY 1 Units @0.0000 | 0.00 | 1.18 | 0.00 | 1.18 | 0.0 | 0.00 |
| 02/26/2018 | ***-**-761I - EVANS, DOLORES ACCOUNT #: LSR011024 | PUTNAM UTILITIES GR & INC-B BUY 1 Units @0.0000 | 0.00 | 1.36 | 0.00 | 1.36 | 0.0 | 0.00 |
| 02/26/2018 | ***-**-96IN - NESSIA, BONNIE ACCOUNT #: LSR011055 | PUTNAM UTILITIES GR & INC-B BUY 1 Units @0.0000 | 0.00 | 1.60 | 0.00 | 1.60 | 0.0 | 0.00 |
| 02/26/2018 | ***-**-861I - SANGER, LAWRENCE ACCOUNT #: LSR011095 | PUTNAM UTILITIES GR & INC-B BUY 1 Units @0.0000 | 0.00 | 0.19 | 0.00 | 0.19 | 0.0 | 0.00 |
| 02/26/2018 | ***-**-31IO - WILLIAMSON, FBO ACCOUNT #: LSR011172 | PUTNAM UTILITIES GR & INC-B BUY 1 Units @0.0000 | 0.00 | 2.01 | 0.00 | 2.01 | 0.0 | 0.00 |
| 02/26/2018 | ***-**-02IN - BUSHEY, MELISSA ACCOUNT #: LSR011257 | PUTNAM UTILITIES GR & INC-B BUY 1 Units @0.0000 | 0.00 | 0.49 | 0.00 | 0.49 | 0.0 | 0.00 |
| 02/26/2018 | ***-**-680I - HARRELL, DARYL ACCOUNT #: LSR011321 | QUEST INTERNATIONAL VALUE FUND, INC BUY 1 Units @0.0000 | 0.00 | 0.73 | 0.00 | 0.73 | 0.0 | 0.00 |
| 02/26/2018 | ***-**-15IN - PENDRAK, JOHN ACCOUNT #: LSR010948 | QUEST OPPORTUNITY VALUE A BUY 1 Units @0.0000 | 0.00 | 1.14 | 0.00 | 1.14 | 0.0 | 0.00 |
| 02/26/2018 | ***-**-254I - AUGUSTINE, LINDA ACCOUNT #: LSR010846 | REAL ESTATE FUND A BUY 1 Units @0.0000 | 0.00 | 1.10 | 0.00 | 1.10 | 0.0 | 0.00 |
| 02/26/2018 | ***-**-881J - EBERLEY, SUSAN ACCOUNT #: LSR010856 | REAL ESTATE FUND A BUY 1 Units @0.0000 | 0.00 | 1.05 | 0.00 | 1.05 | 0.0 | 0.00 |



COMMISSION STATEMENT

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BROKER #: A77
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| DATE | CLIENT | INVESTMENT | INVESTMENT AMOUNT | GROSS COMMISSION | CLEARING CHARGE | NET COMMISSION | RATE | BROKER COMMISSION |
|--|--------------------------------|---------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| BROKER TRANSACTIONS (continued) | | | | | | | | |
| PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued) | | | | | | | | |
| 02/26/2018 | ***-**-15IN - PENDRAK, JOHN | REAL ESTATE FUND A | 0.00 | 0.83 | 0.00 | 0.83 | 0.0 | 0.00 |
| | ACCOUNT #: LSR010948 | BUY 1 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-702I - KOHEM, MICHAEL | REAL ESTATE FUND A | 0.00 | 0.97 | 0.00 | 0.97 | 0.0 | 0.00 |
| | ACCOUNT #: LSR010954 | BUY 1 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-51IO - CAIN, TIMOTHY | REAL ESTATE FUND A | 0.00 | 1.14 | 0.00 | 1.14 | 0.0 | 0.00 |
| | ACCOUNT #: LSR011007 | BUY 1 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-761I - EVANS, DOLORES | REAL ESTATE FUND A | 0.00 | 2.85 | 0.00 | 2.85 | 0.0 | 0.00 |
| | ACCOUNT #: LSR011024 | BUY 1 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-944O - MAYO, DEBORAH | REAL ESTATE FUND A | 0.00 | 0.60 | 0.00 | 0.60 | 0.0 | 0.00 |
| | ACCOUNT #: LSR011035 | BUY 1 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-111J - NESSIA, JAMES | REAL ESTATE FUND A | 0.00 | 0.99 | 0.00 | 0.99 | 0.0 | 0.00 |
| | ACCOUNT #: LSR011054 | BUY 1 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-326I - GRANDE, FBO MR | REAL ESTATE FUND A | 0.00 | 1.09 | 0.00 | 1.09 | 0.0 | 0.00 |
| | ACCOUNT #: LSR011091 | BUY 1 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-861I - SANGER, LAWRENCE | REAL ESTATE FUND A | 0.00 | 1.38 | 0.00 | 1.38 | 0.0 | 0.00 |
| | ACCOUNT #: LSR011095 | BUY 1 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-367J - WAGNER, MRS LANT | REAL ESTATE FUND A | 0.00 | 1.21 | 0.00 | 1.21 | 0.0 | 0.00 |
| | ACCOUNT #: LSR011134 | BUY 1 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-31IO - WILLIAMSON, FBO | REAL ESTATE FUND A | 0.00 | 1.60 | 0.00 | 1.60 | 0.0 | 0.00 |
| | ACCOUNT #: LSR011172 | BUY 1 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-62IN - EATON, DAVID | REAL ESTATE FUND A | 0.00 | 0.60 | 0.00 | 0.60 | 0.0 | 0.00 |
| | ACCOUNT #: LSR011315 | BUY 1 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-949I - ACEE, JOSPEH | REAL ESTATE FUND B | 0.00 | 1.30 | 0.00 | 1.30 | 0.0 | 0.00 |
| | ACCOUNT #: LSR010908 | BUY 1 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-567I - FRANZ, ALICE | REAL ESTATE FUND B | 0.00 | 2.04 | 0.00 | 2.04 | 0.0 | 0.00 |
| | ACCOUNT #: LSR010960 | BUY 1 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-506J - CURRIERE JR, MR | REAL ESTATE FUND B | 0.00 | 0.50 | 0.00 | 0.50 | 0.0 | 0.00 |
| | ACCOUNT #: LSR011121 | BUY 1 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-367J - WAGNER, MRS LANT | REAL ESTATE FUND B | 0.00 | 0.04 | 0.00 | 0.04 | 0.0 | 0.00 |
| | ACCOUNT #: LSR011134 | BUY 1 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-48IO - ANACKER, FBO MRS | REAL ESTATE FUND B | 0.00 | 1.49 | 0.00 | 1.49 | 0.0 | 0.00 |
| | ACCOUNT #: LSR011164 | BUY 1 Units @0.0000 | | | | | | |



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BROKER #: A77
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| DATE | CLIENT | INVESTMENT | INVESTMENT AMOUNT | GROSS COMMISSION | CLEARING CHARGE | NET COMMISSION | RATE | BROKER COMMISSION |
|--|--------------------------------|---------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| BROKER TRANSACTIONS (continued) | | | | | | | | |
| PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued) | | | | | | | | |
| 02/26/2018 | ***-**-664J - PFAFF, GEORGE | REAL ESTATE FUND B | 0.00 | 1.42 | 0.00 | 1.42 | 0.0 | 0.00 |
| | ACCOUNT #: LSR011184 | BUY 1 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-64IO - PFAFF, GEORGE | REAL ESTATE FUND B | 0.00 | 1.52 | 0.00 | 1.52 | 0.0 | 0.00 |
| | ACCOUNT #: LSR011185 | BUY 1 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-62IR - ROBBIANO, FBO | REAL ESTATE FUND B | 0.00 | 0.44 | 0.00 | 0.44 | 0.0 | 0.00 |
| | ACCOUNT #: LSR011195 | BUY 1 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-653I - KOCHER, CLINTON | REAL ESTATE FUND B | 0.00 | 1.45 | 0.00 | 1.45 | 0.0 | 0.00 |
| | ACCOUNT #: LSR011300 | BUY 1 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-382I - SATTERLY, NEIL | REAL ESTATE FUND C | 0.00 | 10.08 | 0.00 | 10.08 | 0.0 | 0.00 |
| | ACCOUNT #: LSR010867 | BUY 1 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-48IO - CLARK, PATRICK | REAL ESTATE FUND C | 0.00 | 7.50 | 0.00 | 7.50 | 0.0 | 0.00 |
| | ACCOUNT #: LSR010911 | BUY 1 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-72IN - GAVALO, JULIE | REAL ESTATE FUND C | 0.00 | 8.11 | 0.00 | 8.11 | 0.0 | 0.00 |
| | ACCOUNT #: LSR010921 | BUY 1 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-065I - LAZIO, THOMAS | REAL ESTATE FUND C | 0.00 | 6.00 | 0.00 | 6.00 | 0.0 | 0.00 |
| | ACCOUNT #: LSR010979 | BUY 1 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-73TR - WESTCOTT IRRVOC | REAL ESTATE FUND C | 0.00 | 7.94 | 0.00 | 7.94 | 0.0 | 0.00 |
| | ACCOUNT #: LSR011001 | BUY 1 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-73TR - WESTCOTT IRRVOC | REAL ESTATE FUND C | 0.00 | 2.14 | 0.00 | 2.14 | 0.0 | 0.00 |
| | ACCOUNT #: LSR011008 | BUY 1 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-00IO - LEE, GARY | REAL ESTATE FUND C | 0.00 | 9.68 | 0.00 | 9.68 | 0.0 | 0.00 |
| | ACCOUNT #: LSR011059 | BUY 1 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-52IO - EUSEPI, SUSAN | REAL ESTATE FUND C | 0.00 | 4.60 | 0.00 | 4.60 | 0.0 | 0.00 |
| | ACCOUNT #: LSR011219 | BUY 1 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-11IO - LYNN G. | REAL ESTATE FUND C | 0.00 | 12.59 | 0.00 | 12.59 | 0.0 | 0.00 |
| | ACCOUNT #: LSR011239 | BUY 1 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-80IO - EVANS, RICHARD | REAL ESTATE FUND C | 0.00 | 3.98 | 0.00 | 3.98 | 0.0 | 0.00 |
| | ACCOUNT #: LSR011276 | BUY 1 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-45IO - JOHNSON, GREGORY | REAL ESTATE FUND C | 0.00 | 6.82 | 0.00 | 6.82 | 0.0 | 0.00 |
| | ACCOUNT #: LSR011421 | BUY 1 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-633J - | REAL ESTATE FUND C | 0.00 | 2.15 | 0.00 | 2.15 | 0.0 | 0.00 |
| | ACCOUNT #: LSR011732 | BUY 1 Units @0.0000 | | | | | | |



COMMISSION STATEMENT

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| DATE | CLIENT | INVESTMENT | INVESTMENT AMOUNT | GROSS COMMISSION | CLEARING CHARGE | NET COMMISSION | RATE | BROKER COMMISSION |
|--|--------------------------------|-------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| BROKER TRANSACTIONS (continued) | | | | | | | | |
| PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued) | | | | | | | | |
| 02/26/2018 | ***-**-254I - AUGUSTINE, LINDA | RISING DIVIDENDS FUND A | 0.00 | 1.60 | 0.00 | 1.60 | 0.0 | 0.00 |
| | ACCOUNT #: LSR010846 | BUY 1 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-881I - EBERLEY, SUSAN | RISING DIVIDENDS FUND A | 0.00 | 0.94 | 0.00 | 0.94 | 0.0 | 0.00 |
| | ACCOUNT #: LSR010858 | BUY 1 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-702I - KOCHER, MICHAEL | RISING DIVIDENDS FUND A | 0.00 | 2.41 | 0.00 | 2.41 | 0.0 | 0.00 |
| | ACCOUNT #: LSR010954 | BUY 1 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-959I - FRANZ, PAUL | RISING DIVIDENDS FUND A | 0.00 | 1.14 | 0.00 | 1.14 | 0.0 | 0.00 |
| | ACCOUNT #: LSR010959 | BUY 1 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-761I - EVANS, DOLORES | RISING DIVIDENDS FUND A | 0.00 | 9.07 | 0.00 | 9.07 | 0.0 | 0.00 |
| | ACCOUNT #: LSR011024 | BUY 1 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-944O - MAYO, DEBORAH | RISING DIVIDENDS FUND A | 0.00 | 1.17 | 0.00 | 1.17 | 0.0 | 0.00 |
| | ACCOUNT #: LSR011035 | BUY 1 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-96IN - NESSIA, BONNIE | RISING DIVIDENDS FUND A | 0.00 | 2.43 | 0.00 | 2.43 | 0.0 | 0.00 |
| | ACCOUNT #: LSR011055 | BUY 1 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-326I - GRANDE, FBO MR | RISING DIVIDENDS FUND A | 0.00 | 2.03 | 0.00 | 2.03 | 0.0 | 0.00 |
| | ACCOUNT #: LSR011091 | BUY 1 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-861I - SANGER, LAWRENCE | RISING DIVIDENDS FUND A | 0.00 | 2.24 | 0.00 | 2.24 | 0.0 | 0.00 |
| | ACCOUNT #: LSR011095 | BUY 1 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-13IN - RHYMESTINE, | RISING DIVIDENDS FUND A | 0.00 | 1.34 | 0.00 | 1.34 | 0.0 | 0.00 |
| | ACCOUNT #: LSR011106 | BUY 1 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-664J - PFAFF, GEORGE | RISING DIVIDENDS FUND A | 0.00 | 0.84 | 0.00 | 0.84 | 0.0 | 0.00 |
| | ACCOUNT #: LSR011184 | BUY 1 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-02IN - BUSHEY, MELISSA | RISING DIVIDENDS FUND A | 0.00 | 0.95 | 0.00 | 0.95 | 0.0 | 0.00 |
| | ACCOUNT #: LSR011257 | BUY 1 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-62IN - EATON, DAVID | RISING DIVIDENDS FUND A | 0.00 | 1.28 | 0.00 | 1.28 | 0.0 | 0.00 |
| | ACCOUNT #: LSR011315 | BUY 1 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-680I - HARRELL, DARYL | RISING DIVIDENDS FUND A | 0.00 | 1.11 | 0.00 | 1.11 | 0.0 | 0.00 |
| | ACCOUNT #: LSR011321 | BUY 1 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-287J - HINCKLEY, | RISING DIVIDENDS FUND, INC. B | 0.00 | 0.57 | 0.00 | 0.57 | 0.0 | 0.00 |
| | ACCOUNT #: LSR010841 | BUY 1 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-366I - GRUENEWALD, | RISING DIVIDENDS FUND, INC. B | 0.00 | 1.38 | 0.00 | 1.38 | 0.0 | 0.00 |
| | ACCOUNT #: LSR010989 | BUY 1 Units @0.0000 | | | | | | |



COMMISSION STATEMENT

February 26, 2018

KURT GRUENEWALD
2108 Genesee St.
Utica, NY 13502

BROKER #: A77
BRANCH #01047 - 47 - GRIFFITH

| DATE | CLIENT | INVESTMENT | INVESTMENT AMOUNT | GROSS COMMISSION | CLEARING CHARGE | NET COMMISSION | RATE | BROKER COMMISSION |
|--|-------------------------------|------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| BROKER TRANSACTIONS (continued) | | | | | | | | |
| PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued) | | | | | | | | |
| 02/26/2018 | ***-**-580X - COBB, JAMES | RISING DIVIDENDS FUND, INC. B | 0.00 | 2.17 | 0.00 | 2.17 | 0.0 | 0.00 |
| | ACCOUNT #: LSR011040 | BUY 1 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-579I - RHYMESTINE, | RISING DIVIDENDS FUND, INC. B | 0.00 | 2.73 | 0.00 | 2.73 | 0.0 | 0.00 |
| | ACCOUNT #: LSR011082 | BUY 1 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-96IN - NESSIA, BONNIE | ROCH. LIMITED TERM NEW YORK MUNICI | 0.00 | 1.23 | 0.00 | 1.23 | 0.0 | 0.00 |
| | ACCOUNT #: LSR011055 | BUY 1 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-13IN - RHYMESTINE, | ROCH. LIMITED TERM NEW YORK MUNICI | 0.00 | 0.92 | 0.00 | 0.92 | 0.0 | 0.00 |
| | ACCOUNT #: LSR011106 | BUY 1 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-02IN - BUSHEY, MELISSA | ROCH. LIMITED TERM NEW YORK MUNICI | 0.00 | 0.37 | 0.00 | 0.37 | 0.0 | 0.00 |
| | ACCOUNT #: LSR011257 | BUY 1 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-80IN - COBB, JAMES | ROCHESTER NATIONAL MUNICIPALS A | 0.00 | 2.57 | 0.00 | 2.57 | 0.0 | 0.00 |
| | ACCOUNT #: LSR011042 | BUY 1 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-567I - FRANZ, ALICE | SMALL- & MID- CAP VALUE B | 0.00 | 2.49 | 0.00 | 2.49 | 0.0 | 0.00 |
| | ACCOUNT #: LSR010960 | BUY 1 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-580X - COBB, JAMES | SMALL- & MID- CAP VALUE B | 0.00 | 1.10 | 0.00 | 1.10 | 0.0 | 0.00 |
| | ACCOUNT #: LSR011040 | BUY 1 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-579I - RHYMESTINE, | SMALL- & MID- CAP VALUE B | 0.00 | 2.36 | 0.00 | 2.36 | 0.0 | 0.00 |
| | ACCOUNT #: LSR011082 | BUY 1 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-664J - PFAFF, GEORGE | SMALL- & MID- CAP VALUE B | 0.00 | 0.76 | 0.00 | 0.76 | 0.0 | 0.00 |
| | ACCOUNT #: LSR011184 | BUY 1 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-065I - LAZIO, THOMAS | SMALL- & MID- CAP VALUE FUND C | 0.00 | 4.99 | 0.00 | 4.99 | 0.0 | 0.00 |
| | ACCOUNT #: LSR010979 | BUY 1 Units @0.0000 | | | | | | |
| 02/26/2018 | ***-**-28IN - BYWATER, KIM | SMALL- & MID- CAP VALUE FUND C | 0.00 | 1.93 | 0.00 | 1.93 | 0.0 | 0.00 |
| | ACCOUNT #: LSR011995 | BUY 1 Units @0.0000 | | | | | | |
| 02/20/2018 | ***-**-680I - HARRELL, DARYL | SMALLCAP WORLD FUND-A | 0.00 | 0.90 | 0.00 | 0.90 | 0.0 | 0.00 |
| | ACCOUNT #: LSR011321 | BUY 1 Units @0.0000 | | | | | | |
| 02/20/2018 | ***-**-382I - SATTERLY, NEIL | SMALLCAP WORLD FUND-C | 0.00 | 8.97 | 0.00 | 8.97 | 0.0 | 0.00 |
| | ACCOUNT #: LSR010867 | BUY 1 Units @0.0000 | | | | | | |
| 02/20/2018 | ***-**-567I - FRANZ, ALICE | SMALLCAP WORLD FUND-C | 0.00 | 7.37 | 0.00 | 7.37 | 0.0 | 0.00 |
| | ACCOUNT #: LSR010960 | BUY 1 Units @0.0000 | | | | | | |
| 02/20/2018 | ***-**-09IO - BATES, FBO MRS | SMALLCAP WORLD FUND-C | 0.00 | 12.07 | 0.00 | 12.07 | 0.0 | 0.00 |
| | ACCOUNT #: LSR011117 | BUY 1 Units @0.0000 | | | | | | |



COMMISSION STATEMENT

February 26, 2018

KURT GRUENEWALD
2108 Genesee St.
Utica, NY 13502

BROKER #: A77
BRANCH #01047 - 47 - GRIFFITH

| DATE | CLIENT | INVESTMENT | INVESTMENT AMOUNT | GROSS COMMISSION | CLEARING CHARGE | NET COMMISSION | RATE | BROKER COMMISSION |
|--|--|---|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| BROKER TRANSACTIONS (continued) | | | | | | | | |
| PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued) | | | | | | | | |
| 02/20/2018 | ***-**-11IO - LYNN G. ACCOUNT #: LSR011239 | SMALLCAP WORLD FUND-C BUY 1 Units @0.0000 | 0.00 | 13.84 | 0.00 | 13.84 | 0.0 | 0.00 |
| 02/20/2018 | ***-**-45IO - JOHNSON, GREGORY ACCOUNT #: LSR011421 | SMALLCAP WORLD FUND-C BUY 1 Units @0.0000 | 0.00 | 8.22 | 0.00 | 8.22 | 0.0 | 0.00 |
| 02/20/2018 | ***-**-86IN - LEE, KEVIN ACCOUNT #: LSR011613 | TEMPLETON GLOBAL BOND FUND - CLASS BUY 1 Units @0.0000 | 0.00 | 3.96 | 0.00 | 3.96 | 0.0 | 0.00 |
| 02/20/2018 | ***-**-366I - GRUENEWALD, ACCOUNT #: LSR010989 | THE GROWTH FUND OF AMERICA-A BUY 1 Units @0.0000 | 0.00 | 1.78 | 0.00 | 1.78 | 0.0 | 0.00 |
| 02/20/2018 | ***-**-326I - GRANDE, FBO MR ACCOUNT #: LSR011091 | THE GROWTH FUND OF AMERICA-A BUY 1 Units @0.0000 | 0.00 | 2.21 | 0.00 | 2.21 | 0.0 | 0.00 |
| 02/20/2018 | ***-**-567I - FRANZ, ALICE ACCOUNT #: LSR010960 | THE GROWTH FUND OF AMERICA-C BUY 1 Units @0.0000 | 0.00 | 10.65 | 0.00 | 10.65 | 0.0 | 0.00 |
| 02/20/2018 | ***-**-287I - HINCKLEY, ACCOUNT #: LSR010843 | THE INCOME FUND OF AMERICA-A BUY 1 Units @0.0000 | 0.00 | 4.73 | 0.00 | 4.73 | 0.0 | 0.00 |
| 02/20/2018 | ***-**-702I - KOCHER, MICHAEL ACCOUNT #: LSR010954 | THE INCOME FUND OF AMERICA-A BUY 1 Units @0.0000 | 0.00 | 3.69 | 0.00 | 3.69 | 0.0 | 0.00 |
| 02/20/2018 | ***-**-959J - FRANZ, PAUL ACCOUNT #: LSR010958 | THE INCOME FUND OF AMERICA-A BUY 1 Units @0.0000 | 0.00 | 2.99 | 0.00 | 2.99 | 0.0 | 0.00 |
| 02/20/2018 | ***-**-366I - GRUENEWALD, ACCOUNT #: LSR010989 | THE INCOME FUND OF AMERICA-A BUY 1 Units @0.0000 | 0.00 | 2.17 | 0.00 | 2.17 | 0.0 | 0.00 |
| 02/20/2018 | ***-**-579J - RHYMESTINE, ACCOUNT #: LSR011081 | THE INCOME FUND OF AMERICA-A BUY 1 Units @0.0000 | 0.00 | 1.04 | 0.00 | 1.04 | 0.0 | 0.00 |
| 02/20/2018 | ***-**-326I - GRANDE, FBO MR ACCOUNT #: LSR011091 | THE INCOME FUND OF AMERICA-A BUY 1 Units @0.0000 | 0.00 | 2.41 | 0.00 | 2.41 | 0.0 | 0.00 |
| 02/20/2018 | ***-**-680I - HARRELL, DARYL ACCOUNT #: LSR011321 | THE INCOME FUND OF AMERICA-A BUY 1 Units @0.0000 | 0.00 | 1.16 | 0.00 | 1.16 | 0.0 | 0.00 |
| 02/20/2018 | ***-**-128I - BASHANT, THOMAS ACCOUNT #: LSR011387 | THE INCOME FUND OF AMERICA-A BUY 1 Units @0.0000 | 0.00 | 1.00 | 0.00 | 1.00 | 0.0 | 0.00 |
| 02/20/2018 | ***-**-30TR - AND SANDRA ACCOUNT #: LSR011939 | THE INCOME FUND OF AMERICA-A BUY 1 Units @0.0000 | 0.00 | 2.75 | 0.00 | 2.75 | 0.0 | 0.00 |
| 02/20/2018 | ***-**-80IO - EVANS, RICHARD ACCOUNT #: LSR011276 | THE NEW ECONOMY FUND-C BUY 1 Units @0.0000 | 0.00 | 11.72 | 0.00 | 11.72 | 0.0 | 0.00 |



COMMISSION STATEMENT

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BROKER #: A77
BRANCH #01047 - 47 - GRIFFITH

| DATE | CLIENT | INVESTMENT | INVESTMENT AMOUNT | GROSS COMMISSION | CLEARING CHARGE | NET COMMISSION | RATE | BROKER COMMISSION |
|--|--|--|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| BROKER TRANSACTIONS (continued) | | | | | | | | |
| PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued) | | | | | | | | |
| 02/20/2018 | ***-**-235I - AUGUSTINE III, ACCOUNT #: LSR010845 | TRANSAMERICA MLP & ENERGY INCOME CL BUY 1 Units @0.0000 | 0.00 | 6.68 | 0.00 | 6.68 | 0.0 | 0.00 |
| 02/20/2018 | ***-**-881J - EBERLEY, SUSAN ACCOUNT #: LSR010856 | TRANSAMERICA MLP & ENERGY INCOME CL BUY 1 Units @0.0000 | 0.00 | 7.89 | 0.00 | 7.89 | 0.0 | 0.00 |
| 02/20/2018 | ***-**-980I - ACEE, ELIZABETH ACCOUNT #: LSR010885 | TRANSAMERICA MLP & ENERGY INCOME CL BUY 1 Units @0.0000 | 0.00 | 5.75 | 0.00 | 5.75 | 0.0 | 0.00 |
| 02/20/2018 | ***-**-031O - MCVOY, ROBERT ACCOUNT #: LSR010916 | TRANSAMERICA MLP & ENERGY INCOME CL BUY 1 Units @0.0000 | 0.00 | 7.41 | 0.00 | 7.41 | 0.0 | 0.00 |
| 02/20/2018 | ***-**-959I - FRANZ, PAUL ACCOUNT #: LSR010959 | TRANSAMERICA MLP & ENERGY INCOME CL BUY 1 Units @0.0000 | 0.00 | 13.26 | 0.00 | 13.26 | 0.0 | 0.00 |
| 02/20/2018 | ***-**-73TR - WESTCOTT IRRVOC ACCOUNT #: LSR011001 | TRANSAMERICA MLP & ENERGY INCOME CL BUY 1 Units @0.0000 | 0.00 | 6.43 | 0.00 | 6.43 | 0.0 | 0.00 |
| 02/20/2018 | ***-**-73TR - WESTCOTT IRRVOC ACCOUNT #: LSR011008 | TRANSAMERICA MLP & ENERGY INCOME CL BUY 1 Units @0.0000 | 0.00 | 6.19 | 0.00 | 6.19 | 0.0 | 0.00 |
| 02/20/2018 | ***-**-44IO - MAYO, DEBORAH ACCOUNT #: LSR011079 | TRANSAMERICA MLP & ENERGY INCOME CL BUY 1 Units @0.0000 | 0.00 | 7.63 | 0.00 | 7.63 | 0.0 | 0.00 |
| 02/20/2018 | ***-**-09IO - BATES, FBO MRS ACCOUNT #: LSR011117 | TRANSAMERICA MLP & ENERGY INCOME CL BUY 1 Units @0.0000 | 0.00 | 12.27 | 0.00 | 12.27 | 0.0 | 0.00 |
| 02/20/2018 | ***-**-89IN - LEE, ROGER ACCOUNT #: LSR011166 | TRANSAMERICA MLP & ENERGY INCOME CL BUY 1 Units @0.0000 | 0.00 | 13.91 | 0.00 | 13.91 | 0.0 | 0.00 |
| 02/20/2018 | ***-**-11IO - LYNN G. ACCOUNT #: LSR011239 | TRANSAMERICA MLP & ENERGY INCOME CL BUY 1 Units @0.0000 | 0.00 | 11.81 | 0.00 | 11.81 | 0.0 | 0.00 |
| 02/20/2018 | ***-**-80IO - EVANS, RICHARD ACCOUNT #: LSR011276 | TRANSAMERICA MLP & ENERGY INCOME CL BUY 1 Units @0.0000 | 0.00 | 7.90 | 0.00 | 7.90 | 0.0 | 0.00 |
| 02/20/2018 | ***-**-45IO - JOHNSON, GREGORY ACCOUNT #: LSR011421 | TRANSAMERICA MLP & ENERGY INCOME CL BUY 1 Units @0.0000 | 0.00 | 9.98 | 0.00 | 9.98 | 0.0 | 0.00 |
| 02/20/2018 | ***-**-14IO - BUSHEY, MATTHEW ACCOUNT #: LSR011498 | TRANSAMERICA MLP & ENERGY INCOME CL BUY 1 Units @0.0000 | 0.00 | 11.32 | 0.00 | 11.32 | 0.0 | 0.00 |
| 02/20/2018 | ***-**-287J - HINCKLEY, ACCOUNT #: LSR010841 | TRANSAMERICA SHORT TERM BOND CL C BUY 1 Units @0.0000 | 0.00 | 13.28 | 0.00 | 13.28 | 0.0 | 0.00 |
| 02/20/2018 | ***-**-48IO - CLARK, PATRICK ACCOUNT #: LSR010911 | TRANSAMERICA SHORT TERM BOND CL C BUY 1 Units @0.0000 | 0.00 | 10.34 | 0.00 | 10.34 | 0.0 | 0.00 |



COMMISSION STATEMENT

February 26, 2018

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BROKER #: A77
BRANCH #01047 - 47 - GRIFFITH

| DATE | CLIENT | INVESTMENT | INVESTMENT AMOUNT | GROSS COMMISSION | CLEARING CHARGE | NET COMMISSION | RATE | BROKER COMMISSION |
|--|---|--|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| BROKER TRANSACTIONS (continued) | | | | | | | | |
| PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued) | | | | | | | | |
| 02/20/2018 | ***-**-11IO - LYNN G. ACCOUNT #: LSR011239 | TRANSAMERICA SHORT TERM BOND CL C BUY 1 Units @0.0000 | 0.00 | 15.41 | 0.00 | 15.41 | 0.0 | 0.00 |
| 02/20/2018 | ***-**-633J - ACCOUNT #: LSR011732 | TRANSAMERICA SHORT TERM BOND CL C BUY 1 Units @0.0000 | 0.00 | 0.99 | 0.00 | 0.99 | 0.0 | 0.00 |
| 02/20/2018 | ***-**-959J - FRANZ, PAUL ACCOUNT #: LSR010958 | U.S. GOVERNMENT SECURITIES FUND CLA BUY 1 Units @0.0000 | 0.00 | 3.67 | 0.00 | 3.67 | 0.0 | 0.00 |
| 02/20/2018 | ***-**-71IO - FAMOLARO, JAMES ACCOUNT #: LSR011279 | VAN KAMPEN9 BUY 1 Units @0.0000 | 0.00 | 0.26 | 0.00 | 0.26 | 0.0 | 0.00 |
| 02/26/2018 | ***-**-680I - HARRELL, DARYL ACCOUNT #: LSR011321 | VOYA GLOBAL EQUITY DIVIDEND CLASS A BUY 1 Units @0.0000 | 0.00 | 1.96 | 0.00 | 1.96 | 0.0 | 0.00 |
| 02/26/2018 | ***-**-702I - KOHEM, MICHAEL ACCOUNT #: LSR010954 | VOYA GLOBAL REAL ESTATE CLASS A BUY 1 Units @0.0000 | 0.00 | 0.98 | 0.00 | 0.98 | 0.0 | 0.00 |
| 02/26/2018 | ***-**-959I - FRANZ, PAUL ACCOUNT #: LSR010959 | VOYA GLOBAL REAL ESTATE CLASS A BUY 1 Units @0.0000 | 0.00 | 0.09 | 0.00 | 0.09 | 0.0 | 0.00 |
| 02/26/2018 | ***-**-30TR - AND SANDRA ACCOUNT #: LSR011939 | VOYA GLOBAL REAL ESTATE CLASS A BUY 1 Units @0.0000 | 0.00 | 0.83 | 0.00 | 0.83 | 0.0 | 0.00 |
| 02/26/2018 | ***-**-13IN - RHYMESTINE, ACCOUNT #: LSR011106 | VOYA REAL ESTATE CLASS C BUY 1 Units @0.0000 | 0.00 | 4.77 | 0.00 | 4.77 | 0.0 | 0.00 |
| 02/20/2018 | ***-**-07IO - FAMOLARO, JAMES ACCOUNT #: LSR011280 | WELLS FARGO ASSET ALLOCATION CL A BUY 1 Units @0.0000 | 0.00 | 3.20 | 0.00 | 3.20 | 0.0 | 0.00 |
| 02/20/2018 | ***-**-07IO - FAMOLARO, JAMES ACCOUNT #: LSR011280 | WELLS FARGO GLOBAL OPPT FD CL A BUY 1 Units @0.0000 | 0.00 | 1.45 | 0.00 | 1.45 | 0.0 | 0.00 |
| 02/20/2018 | ***-**-680I - HARRELL, DARYL ACCOUNT #: LSR011321 | WELLS FARGO SPECIALIZED TECH A BUY 1 Units @0.0000 | 0.00 | 1.84 | 0.00 | 1.84 | 0.0 | 0.00 |
| 02/20/2018 | ***-**-680I - HARRELL, DARYL ACCOUNT #: LSR011321 | WELLS FARGO UTILITY TELECOM CL A BUY 1 Units @0.0000 | 0.00 | 1.34 | 0.00 | 1.34 | 0.0 | 0.00 |
| * MUTUAL FUND 12B1 TRAILS SUBTOTAL * | | | \$0.00 | \$3,578.51 | \$0.00 | \$3,578.51 | | \$0.00 |
| PRODUCT CATEGORY: VARIABLE ANNUITY 12B1 TRAILS | | | | | | | | |
| 02/17/2018 | ***-**-48IO - CLARK, PATRICK ACCOUNT #: VP71028500 | PACIFIC LIFE SE5-NYB DTCC BUY 0 Units @0.0000 | 0.00 | 0.58 | 0.00 | 0.58 | 0.0 | 0.00 |
| * VARIABLE ANNUITY 12B1 TRAILS SUBTOTAL * | | | \$0.00 | \$0.58 | \$0.00 | \$0.58 | | \$0.00 |



COMMISSION STATEMENT

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BROKER #: A77
BRANCH #01047 - 47 - GRIFFITH

| DATE | CLIENT | INVESTMENT | INVESTMENT AMOUNT | GROSS COMMISSION | CLEARING CHARGE | NET COMMISSION | RATE | BROKER COMMISSION |
|-----------------------------------|--------|------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| *** BROKER TRANSACTIONS TOTAL *** | | | \$78,276.99 | \$7,540.25 | \$90.00 | \$7,450.25 | | \$0.00 |

BROKER COMMISSION TOTALS

| | |
|-----------------------|----------|
| Broker Transactions | \$0.00 |
| Split Transactions | \$0.00 |
| Override Transactions | \$0.00 |
| Adjustments | \$0.00 |
| Payroll Draw | \$0.00 |
| Base Salary | \$0.00 |
| Prior Period Balance | \$-13.17 |
| FINRA Assessment | \$0.00 |
| SIPC Assessment | \$0.00 |

Please Retain for Your Records
THERE WILL BE NO PAYMENT THIS PERIOD

| | |
|-----------------------|----------|
| Balance Forward | \$-13.17 |
| Year-to-date Earnings | \$0.00 |