



COMMISSION STATEMENT

April 16, 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>								
03/23/2018	***-**-188I - BRADLEY, WAYNE	CIION ARES DIVERSIFIED CREDIT FND -C BUY 8 Units @1000.0000	7,500.00	75.00	0.00	75.00	0.0	0.00
03/14/2018	***-**-31IO - JOSEPH, ANN	GWG PREFERRED STOCK BUY 15 Units @1000.0000	15,000.00	990.00	0.00	990.00	0.0	0.00
* ALTERNATIVE INVESTMENTS SUBTOTAL *			\$22,500.00	\$1,065.00	\$0.00	\$1,065.00		\$0.00
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
04/02/2018	***-**-6981 - KARAM, MARY ANN ACCOUNT #: 00084545771	AMERICAN FUNDS MORTGAGE FD CL C BUY 264 Units @9.8400	2,600.00	26.00	0.00	26.00	0.0	0.00
04/04/2018	***-**-5414 - KARAM, SEGEAN	AMERICAN FUNDS MORTGAGE FD CL C BUY 0 Units @0.0000	1,300.00	13.00	0.00	13.00	0.0	0.00
04/02/2018	***-**-6981 - KARAM, MARY ANN ACCOUNT #: 00084545771	AMERICAN GLOBAL BALANCED CL C BUY 71 Units @32.0000	2,275.00	22.75	0.00	22.75	0.0	0.00
04/06/2018	***-**-5414 - KARAM, SEGEAN ACCOUNT #: 04000903853	AMERICAN GLOBAL BALANCED CL C BUY 71 Units @32.2200	2,275.00	22.75	0.00	22.75	0.0	0.00
04/02/2018	***-**-6981 - KARAM, MARY ANN ACCOUNT #: 00084545771	AMERICAN HIGH-INCOME TRUST-C BUY 160 Units @10.1700	1,625.00	16.25	0.00	16.25	0.0	0.00
04/04/2018	***-**-5414 - KARAM, SEGEAN	CAPITAL WORLD BOND FUND-C BUY 0 Units @0.0000	1,300.00	13.00	0.00	13.00	0.0	0.00
04/04/2018	***-**-5414 - KARAM, SEGEAN	CAPITAL WORLD GROWTH AND INCOME FUN BUY 0 Units @0.0000	1,625.00	16.25	0.00	16.25	0.0	0.00
04/09/2018	***-**-37IO - DAVIDSON, ACCOUNT #: LSR012268	EATON VANCE FLOATING RATE ADVANTAGE SELL 69 Units @10.9400	750.00	18.00	18.00	0.00	0.0	0.00
04/11/2018	***-**-45IO - JOHNSON, GREGORY ACCOUNT #: LSR011421	FRANKLIN INCOME FUND CLASS C SELL 858 Units @2.3300	2,000.00	18.00	18.00	0.00	0.0	0.00
04/05/2018	***-**-83UT - FALCHI, ISABELLE	MFS CHECK DEPOSIT BUY 0 Units @0.0000	600.00	24.00	0.00	24.00	0.0	0.00
04/06/2018	***-**-851I - BLAKE, JAMES ACCOUNT #: LSR012390	MFS CONSERVATIVE ALLOCATION CL C BUY 661 Units @15.1300	10,000.01	118.00	18.00	100.00	0.0	0.00
04/09/2018	***-**-37IO - DAVIDSON, ACCOUNT #: LSR012268	MFS CONSERVATIVE ALLOCATION CL C SELL 83 Units @15.1500	1,250.00	18.00	18.00	0.00	0.0	0.00
04/11/2018	***-**-45IO - JOHNSON, GREGORY ACCOUNT #: LSR011421	MFS CONSERVATIVE ALLOCATION CL C SELL 131 Units @15.2200	2,000.00	18.00	18.00	0.00	0.0	0.00



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUNDS (continued)								
04/06/2018	***-**-22IO - CLINTON, STEPHEN	MFS TECHNOLOGY CLASS C	7,499.99	93.00	18.00	75.00	0.0	0.00
	ACCOUNT #: LSR011684	BUY 224 Units @33.4700						
04/09/2018	***-**-37IO - DAVIDSON,	MFS TECHNOLOGY CLASS C	999.99	18.00	18.00	0.00	0.0	0.00
	ACCOUNT #: LSR012268	SELL 30 Units @33.6900						
04/11/2018	***-**-45IO - JOHNSON, GREGORY	MFS TECHNOLOGY CLASS C	1,000.00	18.00	18.00	0.00	0.0	0.00
	ACCOUNT #: LSR011421	SELL 29 Units @34.2900						
04/11/2018	***-**-45IO - JOHNSON, GREGORY	OPPENHEIMER ACTIVE ALLOCATION FUND	3,000.00	18.00	18.00	0.00	0.0	0.00
	ACCOUNT #: LSR011421	SELL 211 Units @14.2400						
* MUTUAL FUNDS SUBTOTAL *			\$42,099.99	\$491.00	\$162.00	\$329.00		\$0.00
PRODUCT CATEGORY: VARIABLE ANNUITIES								
04/09/2018	***-**-65CL - GRUENEWALD, K,	PACIFIC LIFE SE5-NYB DTCC	507.00	15.21	0.00	15.21	0.0	0.00
	ACCOUNT #: VP71062990	BUY 0 Units @0.0000						
04/09/2018	***-**-65CL - GRUENEWALD, K,	PACIFIC LIFE SE5-NYB DTCC	64.75	1.94	0.00	1.94	0.0	0.00
	ACCOUNT #: VP71063000	BUY 0 Units @0.0000						
04/09/2018	***-**-65CL - GRUENEWALD, K,	PACIFIC LIFE SE5-NYB DTCC	366.25	10.99	0.00	10.99	0.0	0.00
	ACCOUNT #: VP71063000	BUY 0 Units @0.0000						
* VARIABLE ANNUITIES SUBTOTAL *			\$938.00	\$28.14	\$0.00	\$28.14		\$0.00
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS								
04/02/2018	***-**-91UT - BYWATER, CAROLYN	37252M108	0.00	0.73	0.00	0.73	0.0	0.00
	ACCOUNT #: 00234174436	BUY 0 Units @0.0000						
04/02/2018	***-**-79UT - BYWATER,	37252M108	0.00	0.75	0.00	0.75	0.0	0.00
	ACCOUNT #: 00234227769	BUY 0 Units @0.0000						
04/16/2018	***-**-71IO - FAMOLARO, JAMES	AIM GLOBAL VALUE FUND - CLASS A	0.00	0.34	0.00	0.34	0.0	0.00
	ACCOUNT #: LSR011279	BUY 1 Units @0.0000						
04/16/2018	***-**-306X - COBB, CHERRYL	AIM GOLD & PRECIOUS METALS FD - A	0.00	0.73	0.00	0.73	0.0	0.00
	ACCOUNT #: LSR011037	BUY 1 Units @0.0000						
04/16/2018	***-**-580X - COBB, JAMES	AIM GOLD & PRECIOUS METALS FD - A	0.00	0.66	0.00	0.66	0.0	0.00
	ACCOUNT #: LSR011040	BUY 1 Units @0.0000						
04/16/2018	***-**-837O - BASEMENT	AIM GOLD & PRECIOUS METALS FD - A	0.00	1.95	0.00	1.95	0.0	0.00
	ACCOUNT #: LSR011046	BUY 1 Units @0.0000						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
03/31/2018	***-**-84IN - WARMUTH, ERIC	CAPITAL APPRECIATION A	0.00	5.28	0.00	5.28	0.0	0.00
	ACCOUNT #: 02703492687	BUY 0 Units @0.0000						
03/31/2018	***-**-65CL - GRUENEWALD, K,	CAPITAL APPRECIATION C	0.00	0.10	0.00	0.10	0.0	0.00
	ACCOUNT #: 03222414918	BUY 0 Units @0.0000						
03/31/2018	***-**-84IN - WARMUTH, ERIC	CAPITAL INCOME A	0.00	4.28	0.00	4.28	0.0	0.00
	ACCOUNT #: 03450098560	BUY 0 Units @0.0000						
04/16/2018	***-**-71IO - FAMOLARO, JAMES	CLEARBRIDGE AGGRESSIVE GROWTH A	0.00	0.50	0.00	0.50	0.0	0.00
	ACCOUNT #: LSR011279	BUY 1 Units @0.0000						
03/31/2018	***-**-391I - MASTRANGELO,	DEVELOPING MARKETS FUND B	0.00	0.06	0.00	0.06	0.0	0.00
	ACCOUNT #: 07860944713	BUY 0 Units @0.0000						
03/31/2018	***-**-5375 - CARTER, LISA	DEVELOPING MARKETS FUND B	0.00	0.01	0.00	0.01	0.0	0.00
	ACCOUNT #: 07860983444	BUY 0 Units @0.0000						
03/31/2018	***-**-524I - SCALISE, JOSEPH	DEVELOPING MARKETS FUND B	0.00	0.80	0.00	0.80	0.0	0.00
	ACCOUNT #: 07860984830	BUY 0 Units @0.0000						
03/31/2018	***-**-31IR - HARTZ, CLAUDIA	DEVELOPING MARKETS FUND B	0.00	0.01	0.00	0.01	0.0	0.00
	ACCOUNT #: 07860991188	BUY 0 Units @0.0000						
03/31/2018	***-**-391I - MASTRANGELO,	DISCOVERY FUND B	0.00	0.06	0.00	0.06	0.0	0.00
	ACCOUNT #: 05011832864	BUY 0 Units @0.0000						
03/31/2018	***-**-96IN - NESSIA, BONNIE	DISCOVERY FUND C	0.00	10.68	0.00	10.68	0.0	0.00
	ACCOUNT #: 05020467148	BUY 0 Units @0.0000						
03/31/2018	***-**-973I - LABAYEWSKI,	EQUITY INCOME FUND, INC. A	0.00	1.88	0.00	1.88	0.0	0.00
	ACCOUNT #: 08352638471	BUY 0 Units @0.0000						
03/31/2018	***-**-633J -	EQUITY INCOME FUND, INC. A	0.00	2.22	0.00	2.22	0.0	0.00
	ACCOUNT #: 08353229688	BUY 0 Units @0.0000						
03/31/2018	***-**-0767 - DOVI,	EQUITY INCOME FUND, INC. A	0.00	3.73	0.00	3.73	0.0	0.00
	ACCOUNT #: 08353253965	BUY 0 Units @0.0000						
03/31/2018	***-**-0069 - KRECIDLO,	EQUITY INCOME FUND, INC. A	0.00	1.97	0.00	1.97	0.0	0.00
	ACCOUNT #: 08353280112	BUY 0 Units @0.0000						
03/31/2018	***-**-391I - MASTRANGELO,	EQUITY INCOME FUND, INC. A	0.00	12.39	0.00	12.39	0.0	0.00
	ACCOUNT #: 08353280530	BUY 0 Units @0.0000						
03/31/2018	***-**-09IN - BATES, CHRISTINE	EQUITY INCOME FUND, INC. A	0.00	11.95	0.00	11.95	0.0	0.00
	ACCOUNT #: 08353313343	BUY 0 Units @0.0000						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
03/31/2018	***-**-31IR - HARTZ, CLAUDIA	EQUITY INCOME FUND, INC. A	0.00	2.32	0.00	2.32	0.0	0.00
	ACCOUNT #: 08353346563	BUY 0 Units @0.0000						
03/31/2018	***-**-5375 - CARTER, LISA	EQUITY INCOME FUND, INC. A	0.00	1.21	0.00	1.21	0.0	0.00
	ACCOUNT #: 08353359136	BUY 0 Units @0.0000						
03/31/2018	***-**-0069 - KRECIDLO,	EQUITY INCOME FUND, INC. B	0.00	0.70	0.00	0.70	0.0	0.00
	ACCOUNT #: 08360444037	BUY 0 Units @0.0000						
03/31/2018	***-**-391I - MASTRANGELO,	EQUITY INCOME FUND, INC. B	0.00	0.10	0.00	0.10	0.0	0.00
	ACCOUNT #: 08360447128	BUY 0 Units @0.0000						
03/31/2018	***-**-5375 - CARTER, LISA	EQUITY INCOME FUND, INC. B	0.00	0.93	0.00	0.93	0.0	0.00
	ACCOUNT #: 08360489654	BUY 0 Units @0.0000						
03/31/2018	***-**-31IR - HARTZ, CLAUDIA	EQUITY INCOME FUND, INC. B	0.00	0.01	0.00	0.01	0.0	0.00
	ACCOUNT #: 08360498366	BUY 0 Units @0.0000						
03/31/2018	***-**-78IN - FALES, JOAN	EQUITY INCOME FUND, INC. C	0.00	1.24	0.00	1.24	0.0	0.00
	ACCOUNT #: 08370484165	BUY 0 Units @0.0000						
03/31/2018	***-**-96IN - NESSIA, BONNIE	EQUITY INCOME FUND, INC. C	0.00	20.52	0.00	20.52	0.0	0.00
	ACCOUNT #: 08370494010	BUY 0 Units @0.0000						
03/31/2018	***-**-31IR - HARTZ, CLAUDIA	EQUITY INCOME FUND, INC. C	0.00	8.41	0.00	8.41	0.0	0.00
	ACCOUNT #: 08370502436	BUY 0 Units @0.0000						
03/31/2018	***-**-14IN - LINES, JUDITH	EQUITY INCOME FUND, INC. C	0.00	10.05	0.00	10.05	0.0	0.00
	ACCOUNT #: 08370570075	BUY 0 Units @0.0000						
03/31/2018	***-**-48JT - LEE, DARLENE	EQUITY INCOME FUND, INC. C	0.00	4.27	0.00	4.27	0.0	0.00
	ACCOUNT #: 08370750926	BUY 0 Units @0.0000						
04/16/2018	***-**-44IO - MAYO, DEBORAH	FRANKLIN BIOTECH DISCOVERY FUND CL	0.00	7.95	0.00	7.95	0.0	0.00
	ACCOUNT #: LSR011079	BUY 1 Units @0.0000						
04/16/2018	***-**-382I - SATTERLY, NEIL	FRANKLIN CONVERTIBLE SECURITIES CLA	0.00	9.56	0.00	9.56	0.0	0.00
	ACCOUNT #: LSR010867	BUY 1 Units @0.0000						
04/16/2018	***-**-86IN - LEE, KEVIN	FRANKLIN GROWTH FUND CLASS A	0.00	2.17	0.00	2.17	0.0	0.00
	ACCOUNT #: LSR011613	BUY 1 Units @0.0000						
04/16/2018	***-**-86IN - LEE, KEVIN	FRANKLIN INCOME FUND CLASS A	0.00	1.21	0.00	1.21	0.0	0.00
	ACCOUNT #: LSR011613	BUY 1 Units @0.0000						
04/16/2018	***-**-61IN - EVANS, DOLORES	FRANKLIN INCOME FUND CLASS C	0.00	0.69	0.00	0.69	0.0	0.00
	ACCOUNT #: LSR011023	BUY 1 Units @0.0000						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
04/16/2018	***-**-44IO - MAYO, DEBORAH	FRANKLIN INCOME FUND CLASS C	0.00	5.68	0.00	5.68	0.0	0.00
	ACCOUNT #: LSR011079	BUY 1 Units @0.0000						
04/16/2018	***-**-09IO - BATES, FBO MRS	FRANKLIN INCOME FUND CLASS C	0.00	7.27	0.00	7.27	0.0	0.00
	ACCOUNT #: LSR011117	BUY 1 Units @0.0000						
04/16/2018	***-**-11IO - LYNN G.	FRANKLIN INCOME FUND CLASS C	0.00	9.68	0.00	9.68	0.0	0.00
	ACCOUNT #: LSR011239	BUY 1 Units @0.0000						
04/16/2018	***-**-376I - BERBEN, GAIL	FRANKLIN INCOME FUND CLASS C	0.00	8.88	0.00	8.88	0.0	0.00
	ACCOUNT #: LSR011380	BUY 1 Units @0.0000						
04/16/2018	***-**-45IO - JOHNSON, GREGORY	FRANKLIN INCOME FUND CLASS C	0.00	8.04	0.00	8.04	0.0	0.00
	ACCOUNT #: LSR011421	BUY 1 Units @0.0000						
04/16/2018	***-**-00IN - FRANZ, JEAN	FRANKLIN INCOME FUND CLASS C	0.00	39.34	0.00	39.34	0.0	0.00
	ACCOUNT #: LSR011796	BUY 1 Units @0.0000						
04/16/2018	***-**-366O - GRUENEWALD,	FRANKLIN NEW YORK TAX-FREE INCOME F	0.00	0.17	0.00	0.17	0.0	0.00
	ACCOUNT #: LSR010987	BUY 1 Units @0.0000						
04/16/2018	***-**-065I - LAZIO, THOMAS	FRK GROWTH OPPORTUNITIES CL C	0.00	2.20	0.00	2.20	0.0	0.00
	ACCOUNT #: LSR010979	BUY 1 Units @0.0000						
04/16/2018	***-**-45IO - JOHNSON, GREGORY	FRK GROWTH OPPORTUNITIES CL C	0.00	3.36	0.00	3.36	0.0	0.00
	ACCOUNT #: LSR011421	BUY 1 Units @0.0000						
04/16/2018	***-**-065I - LAZIO, THOMAS	FRNKLN BALANCE SHEET INVTMNT FND -	0.00	8.17	0.00	8.17	0.0	0.00
	ACCOUNT #: LSR010979	BUY 1 Units @0.0000						
03/31/2018	***-**-0069 - KRECIDLLO,	GLOBAL FUND A	0.00	2.61	0.00	2.61	0.0	0.00
	ACCOUNT #: 03307873373	BUY 0 Units @0.0000						
03/31/2018	***-**-0069 - KRECIDLLO,	GLOBAL FUND B	0.00	1.15	0.00	1.15	0.0	0.00
	ACCOUNT #: 03316631251	BUY 0 Units @0.0000						
03/31/2018	***-**-960I - MASTRANGELO,	GLOBAL OPPORTUNITIES A	0.00	1.92	0.00	1.92	0.0	0.00
	ACCOUNT #: 02158012400	BUY 0 Units @0.0000						
03/31/2018	***-**-149I - GUNN, EDWARD	GLOBAL OPPORTUNITIES A	0.00	5.52	0.00	5.52	0.0	0.00
	ACCOUNT #: 02158058303	BUY 0 Units @0.0000						
03/31/2018	***-**-09IN - BATES, CHRISTINE	GLOBAL OPPORTUNITIES A	0.00	17.05	0.00	17.05	0.0	0.00
	ACCOUNT #: 02158069743	BUY 0 Units @0.0000						
03/31/2018	***-**-65CL - GRUENEWALD, K,	GLOBAL OPPORTUNITIES FUND C	0.00	0.20	0.00	0.20	0.0	0.00
	ACCOUNT #: 02171825219	BUY 0 Units @0.0000						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
03/31/2018	***-**-84IN - WARMUTH, ERIC	GOLD & SPECIAL MINERALS A	0.00	1.45	0.00	1.45	0.0	0.00
	ACCOUNT #: 04103537149	BUY 0 Units @0.0000						
03/31/2018	***-**-237I - MCCLUSKY, MARK	GOLD & SPECIAL MINERALS A	0.00	0.34	0.00	0.34	0.0	0.00
	ACCOUNT #: 04104653792	BUY 0 Units @0.0000						
03/31/2018	***-**-3749 - DEPEYSTER,	GOLD & SPECIAL MINERALS A	0.00	0.22	0.00	0.22	0.0	0.00
	ACCOUNT #: 04104658049	BUY 0 Units @0.0000						
03/31/2018	***-**-0767 - DOVI,	GOLD & SPECIAL MINERALS A	0.00	0.17	0.00	0.17	0.0	0.00
	ACCOUNT #: 04104666585	BUY 0 Units @0.0000						
03/31/2018	***-**-0069 - KRECIDLLO,	GOLD & SPECIAL MINERALS A	0.00	0.20	0.00	0.20	0.0	0.00
	ACCOUNT #: 04104675077	BUY 0 Units @0.0000						
03/31/2018	***-**-391I - MASTRANGELO,	GOLD & SPECIAL MINERALS A	0.00	0.64	0.00	0.64	0.0	0.00
	ACCOUNT #: 04104675297	BUY 0 Units @0.0000						
03/31/2018	***-**-149I - GUNN, EDWARD	GOLD & SPECIAL MINERALS A	0.00	0.19	0.00	0.19	0.0	0.00
	ACCOUNT #: 04104683217	BUY 0 Units @0.0000						
03/31/2018	***-**-09IN - BATES, CHRISTINE	GOLD & SPECIAL MINERALS A	0.00	1.21	0.00	1.21	0.0	0.00
	ACCOUNT #: 04104685582	BUY 0 Units @0.0000						
03/31/2018	***-**-2603 - MASTRANGELO,	GOLD & SPECIAL MINERALS A	0.00	0.23	0.00	0.23	0.0	0.00
	ACCOUNT #: 04104688728	BUY 0 Units @0.0000						
03/31/2018	***-**-31IR - HARTZ, CLAUDIA	GOLD & SPECIAL MINERALS A	0.00	0.46	0.00	0.46	0.0	0.00
	ACCOUNT #: 04104696516	BUY 0 Units @0.0000						
03/31/2018	***-**-5375 - CARTER, LISA	GOLD & SPECIAL MINERALS A	0.00	0.10	0.00	0.10	0.0	0.00
	ACCOUNT #: 04104700355	BUY 0 Units @0.0000						
03/31/2018	***-**-0069 - KRECIDLLO,	GOLD & SPECIAL MINERALS FUND B	0.00	0.12	0.00	0.12	0.0	0.00
	ACCOUNT #: 04110576708	BUY 0 Units @0.0000						
03/31/2018	***-**-391I - MASTRANGELO,	GOLD & SPECIAL MINERALS FUND B	0.00	0.00	0.00	0.00	0.0	0.00
	ACCOUNT #: 04110578864	BUY 0 Units @0.0000						
03/31/2018	***-**-5375 - CARTER, LISA	GOLD & SPECIAL MINERALS FUND B	0.00	0.15	0.00	0.15	0.0	0.00
	ACCOUNT #: 04110599907	BUY 0 Units @0.0000						
03/31/2018	***-**-31IR - HARTZ, CLAUDIA	GOLD & SPECIAL MINERALS FUND B	0.00	0.00	0.00	0.00	0.0	0.00
	ACCOUNT #: 04110606419	BUY 0 Units @0.0000						
03/31/2018	***-**-0767 - DOVI,	INTERNATIONAL BOND A	0.00	1.41	0.00	1.41	0.0	0.00
	ACCOUNT #: 08810326811	BUY 0 Units @0.0000						



COMMISSION STATEMENT

April 16, 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)								
03/31/2018	***-**-960I - MASTRANGELO, ACCOUNT #: 08810337228	INTERNATIONAL BOND A BUY 0 Units @0.0000	0.00	0.40	0.00	0.40	0.0	0.00
03/31/2018	***-**-1491 - GUNN, EDWARD ACCOUNT #: 08810347513	INTERNATIONAL BOND A BUY 0 Units @0.0000	0.00	1.60	0.00	1.60	0.0	0.00
03/31/2018	***-**-09IN - BATES, CHRISTINE ACCOUNT #: 08810351011	INTERNATIONAL BOND A BUY 0 Units @0.0000	0.00	4.39	0.00	4.39	0.0	0.00
03/31/2018	***-**-2603 - MASTRANGELO, ACCOUNT #: 08810354960	INTERNATIONAL BOND A BUY 0 Units @0.0000	0.00	0.71	0.00	0.71	0.0	0.00
03/31/2018	***-**-5375 - CARTER, LISA ACCOUNT #: 08810370888	INTERNATIONAL BOND A BUY 0 Units @0.0000	0.00	0.71	0.00	0.71	0.0	0.00
03/31/2018	***-**-391I - MASTRANGELO, ACCOUNT #: 08810370954	INTERNATIONAL BOND A BUY 0 Units @0.0000	0.00	4.28	0.00	4.28	0.0	0.00
03/31/2018	***-**-84IN - WARMUTH, ERIC ACCOUNT #: 08250106216	INTERNATIONAL GROWTH FUND A BUY 0 Units @0.0000	0.00	6.19	0.00	6.19	0.0	0.00
03/31/2018	***-**-69IN - EVANS, PAUL ACCOUNT #: 08152454089	INTERNATIONAL SMALL COMPANY A BUY 0 Units @0.0000	0.00	1.70	0.00	1.70	0.0	0.00
03/31/2018	***-**-31IO - HARTZ, CLAUDIA ACCOUNT #: 08152458467	INTERNATIONAL SMALL COMPANY A BUY 0 Units @0.0000	0.00	1.64	0.00	1.64	0.0	0.00
03/31/2018	***-**-31IR - HARTZ, CLAUDIA ACCOUNT #: 08160415613	INTERNATIONAL SMALL COMPANY FUND B BUY 0 Units @0.0000	0.00	0.02	0.00	0.02	0.0	0.00
04/16/2018	***-**-71IO - FAMOLARO, JAMES ACCOUNT #: LSR011279	INVESCO VAN KAMPEN COMSTOCK CLASS A BUY 1 Units @0.0000	0.00	0.45	0.00	0.45	0.0	0.00
04/16/2018	***-**-71IO - FAMOLARO, JAMES ACCOUNT #: LSR011279	INVESCO VAN KAMPEN EQUITY AND INCOM BUY 1 Units @0.0000	0.00	0.41	0.00	0.41	0.0	0.00
04/01/2018	***-**-4632 - LOWE, PAMELA ACCOUNT #: 08000545418	IVK SENIOR LOAN FUND - CLASS IB BUY 0 Units @0.0000	0.00	2.18	0.00	2.18	0.0	0.00
04/16/2018	***-**-632I - LOWE, PAMELA ACCOUNT #: LSR012397	IVK SENIOR LOAN FUND - CLASS IB BUY 1 Units @0.0000	0.00	0.77	0.00	0.77	0.0	0.00
03/31/2018	***-**-1944 - BEHA, JAMES ACCOUNT #: 08571144451	LIMITED-TERM GOVERNMENT FUND C BUY 0 Units @0.0000	0.00	2.73	0.00	2.73	0.0	0.00
04/16/2018	***-**-80IN - COBB, JAMES ACCOUNT #: LSR011042	LOCORR SPECTRUM-NFS BUY 1 Units @0.0000	0.00	1.37	0.00	1.37	0.0	0.00



COMMISSION STATEMENT

April 16, 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)								
03/31/2018	***-**-84IN - WARMUTH, ERIC	MAIN STREET FUND A	0.00	8.68	0.00	8.68	0.0	0.00
	ACCOUNT #: 07005442085	BUY 0 Units @0.0000						
03/31/2018	***-**-960I - MASTRANGELO,	MAIN STREET FUND A	0.00	1.69	0.00	1.69	0.0	0.00
	ACCOUNT #: 07006358641	BUY 0 Units @0.0000						
03/31/2018	***-**-149I - GUNN, EDWARD	MAIN STREET FUND A	0.00	6.41	0.00	6.41	0.0	0.00
	ACCOUNT #: 07006432891	BUY 0 Units @0.0000						
03/31/2018	***-**-14IN - LINES, JUDITH	MAIN STREET FUND C	0.00	15.42	0.00	15.42	0.0	0.00
	ACCOUNT #: 07024373501	BUY 0 Units @0.0000						
03/31/2018	***-**-391I - MASTRANGELO,	MAIN STREET SMALL CAP FUND B	0.00	0.10	0.00	0.10	0.0	0.00
	ACCOUNT #: 08481869307	BUY 0 Units @0.0000						
03/31/2018	***-**-5375 - CARTER, LISA	MAIN STREET SMALL CAP FUND B	0.00	0.02	0.00	0.02	0.0	0.00
	ACCOUNT #: 08481882045	BUY 0 Units @0.0000						
03/31/2018	***-**-31IR - HARTZ, CLAUDIA	MAIN STREET SMALL CAP FUND B	0.00	0.01	0.00	0.01	0.0	0.00
	ACCOUNT #: 08481885785	BUY 0 Units @0.0000						
04/05/2018	***-**-48IO - CLARK, PATRICK	MAINSTAY CORNERSTONE GROWTH FD INV	0.00	3.31	0.00	3.31	0.0	0.00
	ACCOUNT #: 00079955487	BUY 0 Units @0.0000						
04/05/2018	***-**-48IO - CLARK, PATRICK	MAINSTAY HGH YLD CRP BD INVESTOR CL	0.00	3.45	0.00	3.45	0.0	0.00
	ACCOUNT #: 00079924809	BUY 0 Units @0.0000						
04/05/2018	***-**-48IO - CLARK, PATRICK	MAINSTAY MF TRAILS 56064B811	0.00	1.88	0.00	1.88	0.0	0.00
	ACCOUNT #: 00079955487	BUY 0 Units @0.0000						
04/01/2018	***-**-1855 - WILLIAMSON,	MASSACHUSETTS INVESTORS TRUST CLASS	0.00	3.59	0.00	3.59	0.0	0.00
	ACCOUNT #: 08191308008	BUY 0 Units @0.0000						
04/01/2018	***-**-439J - MCCARTHY, JAMES	MASSACHUSETTS INVESTORS TRUST-A	0.00	0.38	0.00	0.38	0.0	0.00
	ACCOUNT #: 00060638887	BUY 0 Units @0.0000						
04/01/2018	***-**-439J - MCCARTHY, JAMES	MASSACHUSETTS INVESTORS TRUST-A	0.00	1.83	0.00	1.83	0.0	0.00
	ACCOUNT #: 00060638888	BUY 0 Units @0.0000						
04/01/2018	***-**-861I - SANGER, LAWRENCE	MASSACHUSETTS INVESTORS TRUST-A	0.00	0.01	0.00	0.01	0.0	0.00
	ACCOUNT #: 00060640524	BUY 0 Units @0.0000						
04/01/2018	***-**-439I - MCCARTHY, JAMES	MASSACHUSETTS INVESTORS TRUST-B	0.00	1.45	0.00	1.45	0.0	0.00
	ACCOUNT #: 08190124895	BUY 0 Units @0.0000						
04/01/2018	***-**-0767 - DOVI,	MASSACHUSETTS INVESTORS TRUST-B	0.00	1.04	0.00	1.04	0.0	0.00
	ACCOUNT #: 08191152598	BUY 0 Units @0.0000						



COMMISSION STATEMENT

April 16, 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)								
04/01/2018	***-**-861I - SANGER, LAWRENCE	MASSACHUSETTS INVESTORS TRUST-B	0.00	0.56	0.00	0.56	0.0	0.00
	ACCOUNT #: 08191153495	BUY 0 Units @0.0000						
04/01/2018	***-**-8440 - PREVOST, PIERRE	MASSACHUSETTS INVESTORS TRUST-B	0.00	1.52	0.00	1.52	0.0	0.00
	ACCOUNT #: 08191160862	BUY 0 Units @0.0000						
04/01/2018	***-**-237I - MCCLUSKY, MARK	MASSACHUSETTS INVESTORS TRUST-B	0.00	1.97	0.00	1.97	0.0	0.00
	ACCOUNT #: 08191161591	BUY 0 Units @0.0000						
04/01/2018	***-**-094I - CIRILLO, CARL	MASSACHUSETTS INVESTORS TRUST-B	0.00	3.05	0.00	3.05	0.0	0.00
	ACCOUNT #: 08191173445	BUY 0 Units @0.0000						
04/01/2018	***-**-671I - EBERLEY, REID	MASSACHUSETTS INVESTORS TRUST-B	0.00	2.09	0.00	2.09	0.0	0.00
	ACCOUNT #: 08191175793	BUY 0 Units @0.0000						
04/01/2018	***-**-13IN - RHYMESTINE,	MASSACHUSETTS INVESTORS TRUST-B	0.00	0.99	0.00	0.99	0.0	0.00
	ACCOUNT #: 08191178476	BUY 0 Units @0.0000						
04/01/2018	***-**-3420 - KOCHEM, DENISE	MASSACHUSETTS INVESTORS TRUST-B	0.00	0.60	0.00	0.60	0.0	0.00
	ACCOUNT #: 08191179076	BUY 0 Units @0.0000						
04/01/2018	***-**-9839 - YADDAW, DAVID	MASSACHUSETTS INVESTORS TRUST-B	0.00	2.53	0.00	2.53	0.0	0.00
	ACCOUNT #: 08191183793	BUY 0 Units @0.0000						
04/01/2018	***-**-1855 - WILLIAMSON,	MFS GROWTH PORT CLASS C	0.00	3.88	0.00	3.88	0.0	0.00
	ACCOUNT #: 08191308008	BUY 0 Units @0.0000						
04/01/2018	***-**-06IN - SATTERLY,	MFS 08191336006	0.00	3.40	0.00	3.40	0.0	0.00
	ACCOUNT #: 08191336006	BUY 0 Units @0.0000						
04/01/2018	***-**-1855 - WILLIAMSON,	MFS 55273E871	0.00	1.68	0.00	1.68	0.0	0.00
	ACCOUNT #: 08191308008	BUY 0 Units @0.0000						
04/01/2018	***-**-4193 - VAN BAALEN, GUY	MFS 552987646	0.00	1.72	0.00	1.72	0.0	0.00
	ACCOUNT #: 08191310030	BUY 0 Units @0.0000						
04/01/2018	***-**-058I - ROBBIANO, SARAH	MFS AGGRESS GROWTH ALLOCATION FD-B	0.00	0.19	0.00	0.19	0.0	0.00
	ACCOUNT #: 08191291666	BUY 0 Units @0.0000						
04/01/2018	***-**-2603 - MASTRANGELO,	MFS BLENDED RESEARCH CORE EQUITY FD	0.00	0.79	0.00	0.79	0.0	0.00
	ACCOUNT #: 08190129168	BUY 0 Units @0.0000						
04/01/2018	***-**-3749 - DEPEYSTER,	MFS BOND FUND CLASS B	0.00	0.55	0.00	0.55	0.0	0.00
	ACCOUNT #: 08190127726	BUY 0 Units @0.0000						
04/01/2018	***-**-2603 - MASTRANGELO,	MFS BOND FUND CLASS B	0.00	0.16	0.00	0.16	0.0	0.00
	ACCOUNT #: 08190129168	BUY 0 Units @0.0000						



COMMISSION STATEMENT

April 16, 2018

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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)								
04/01/2018	***-**-606I - LEWIS, TAMARA	MFS BOND FUND-C	0.00	1.35	0.00	1.35	0.0	0.00
	ACCOUNT #: 08191352847	BUY 0 Units @0.0000						
04/01/2018	***-**-606I - LEWIS, TAMARA	MFS CORE EQUITY FUND-B	0.00	0.74	0.00	0.74	0.0	0.00
	ACCOUNT #: 08191352846	BUY 0 Units @0.0000						
04/01/2018	***-**-3749 - DEPEYSTER,	MFS EMERGING GROWTH FUND-B	0.00	2.14	0.00	2.14	0.0	0.00
	ACCOUNT #: 08190127726	BUY 0 Units @0.0000						
04/01/2018	***-**-5384 - GURDO, JESSICA	MFS EMERGING GROWTH FUND-B	0.00	0.19	0.00	0.19	0.0	0.00
	ACCOUNT #: 08191233759	BUY 0 Units @0.0000						
04/01/2018	***-**-439J - MCCARTHY, JAMES	MFS EMERGING MARKETS DEBT FUND-A	0.00	0.48	0.00	0.48	0.0	0.00
	ACCOUNT #: 00060638917	BUY 0 Units @0.0000						
04/01/2018	***-**-861I - SANGER, LAWRENCE	MFS EMERGING MARKETS DEBT FUND-A	0.00	0.01	0.00	0.01	0.0	0.00
	ACCOUNT #: 00060640608	BUY 0 Units @0.0000						
04/01/2018	***-**-861I - SANGER, LAWRENCE	MFS EMERGING MARKETS EQUITY FUND-A	0.00	0.01	0.00	0.01	0.0	0.00
	ACCOUNT #: 00060640668	BUY 0 Units @0.0000						
04/01/2018	***-**-111J - NESSIA, JAMES	MFS EMERGING MARKETS EQUITY FUND-B	0.00	1.41	0.00	1.41	0.0	0.00
	ACCOUNT #: 08190126843	BUY 0 Units @0.0000						
04/01/2018	***-**-094I - CIRILLO, CARL	MFS EMERGING MARKETS EQUITY FUND-B	0.00	0.84	0.00	0.84	0.0	0.00
	ACCOUNT #: 08190127967	BUY 0 Units @0.0000						
04/01/2018	***-**-889I - FRANZ, JONATHAN	MFS EMERGING MARKETS EQUITY FUND-B	0.00	0.34	0.00	0.34	0.0	0.00
	ACCOUNT #: 08190130131	BUY 0 Units @0.0000						
04/01/2018	***-**-213I - GRUENEWALD,	MFS EMERGING MARKETS EQUITY FUND-B	0.00	3.81	0.00	3.81	0.0	0.00
	ACCOUNT #: 08190131132	BUY 0 Units @0.0000						
04/01/2018	***-**-861I - SANGER, LAWRENCE	MFS EMERGING MARKETS EQUITY FUND-B	0.00	0.44	0.00	0.44	0.0	0.00
	ACCOUNT #: 08191153495	BUY 0 Units @0.0000						
04/01/2018	***-**-2483 - TURNBULL,	MFS EMERGING MARKETS EQUITY FUND-B	0.00	0.34	0.00	0.34	0.0	0.00
	ACCOUNT #: 08191153585	BUY 0 Units @0.0000						
04/01/2018	***-**-7617 - ESCHE, BEVERLY	MFS EMERGING MARKETS EQUITY FUND-B	0.00	0.15	0.00	0.15	0.0	0.00
	ACCOUNT #: 08191154979	BUY 0 Units @0.0000						
04/01/2018	***-**-8440 - PREVOST, PIERRE	MFS EMERGING MARKETS EQUITY FUND-B	0.00	0.88	0.00	0.88	0.0	0.00
	ACCOUNT #: 08191160862	BUY 0 Units @0.0000						
04/01/2018	***-**-466I - MCCLUSKY, YVONNE	MFS EMERGING MARKETS EQUITY FUND-B	0.00	1.43	0.00	1.43	0.0	0.00
	ACCOUNT #: 08191161825	BUY 0 Units @0.0000						



COMMISSION STATEMENT

April 16, 2018

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BRANCH #01047 - 47 - GRIFFITH

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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
04/01/2018	***-**-13IN - RHYMESTINE, ACCOUNT #: 08191178476	MFS EMERGING MARKETS EQUITY FUND-B BUY 0 Units @0.0000	0.00	3.64	0.00	3.64	0.0	0.00
04/01/2018	***-**-3420 - KOICHEM, DENISE ACCOUNT #: 08191179076	MFS EMERGING MARKETS EQUITY FUND-B BUY 0 Units @0.0000	0.00	0.51	0.00	0.51	0.0	0.00
04/01/2018	***-**-09IN - BATES, CHRISTINE ACCOUNT #: 08191196034	MFS EMERGING MARKETS EQUITY FUND-B BUY 0 Units @0.0000	0.00	2.53	0.00	2.53	0.0	0.00
04/01/2018	***-**-213I - GRUENEWALD, ACCOUNT #: 08191229521	MFS EMERGING MARKETS EQUITY FUND-B BUY 0 Units @0.0000	0.00	0.36	0.00	0.36	0.0	0.00
04/01/2018	***-**-5384 - GURDO, JESSICA ACCOUNT #: 08191233759	MFS EMERGING MARKETS EQUITY FUND-B BUY 0 Units @0.0000	0.00	0.17	0.00	0.17	0.0	0.00
04/01/2018	***-**-111J - NESSIA, JAMES ACCOUNT #: 08190126843	MFS EMERGING MKT DEBT CL B BUY 0 Units @0.0000	0.00	0.81	0.00	0.81	0.0	0.00
04/01/2018	***-**-2603 - MASTRANGELO, ACCOUNT #: 08190129168	MFS EMERGING MKT DEBT CL B BUY 0 Units @0.0000	0.00	0.17	0.00	0.17	0.0	0.00
04/01/2018	***-**-0767 - DOVI, ACCOUNT #: 08191152598	MFS EMERGING MKT DEBT CL B BUY 0 Units @0.0000	0.00	0.99	0.00	0.99	0.0	0.00
04/01/2018	***-**-861I - SANGER, LAWRENCE ACCOUNT #: 08191153495	MFS EMERGING MKT DEBT CL B BUY 0 Units @0.0000	0.00	0.32	0.00	0.32	0.0	0.00
04/01/2018	***-**-237I - MCCLUSKY, MARK ACCOUNT #: 08191161591	MFS EMERGING MKT DEBT CL B BUY 0 Units @0.0000	0.00	1.33	0.00	1.33	0.0	0.00
04/01/2018	***-**-3932 - CARSON, DAVID ACCOUNT #: 08191168388	MFS EMERGING MKT DEBT CL B BUY 0 Units @0.0000	0.00	1.06	0.00	1.06	0.0	0.00
04/01/2018	***-**-06IN - SATTERLY, ACCOUNT #: 08191173302	MFS EMERGING MKT DEBT CL B BUY 0 Units @0.0000	0.00	0.21	0.00	0.21	0.0	0.00
04/01/2018	***-**-094I - CIRILLO, CARL ACCOUNT #: 08191173445	MFS EMERGING MKT DEBT CL B BUY 0 Units @0.0000	0.00	3.03	0.00	3.03	0.0	0.00
04/01/2018	***-**-671I - EBERLEY, REID ACCOUNT #: 08191175793	MFS EMERGING MKT DEBT CL B BUY 0 Units @0.0000	0.00	2.49	0.00	2.49	0.0	0.00
04/01/2018	***-**-13IN - RHYMESTINE, ACCOUNT #: 08191178476	MFS EMERGING MKT DEBT CL B BUY 0 Units @0.0000	0.00	3.43	0.00	3.43	0.0	0.00
04/01/2018	***-**-3420 - KOICHEM, DENISE ACCOUNT #: 08191179076	MFS EMERGING MKT DEBT CL B BUY 0 Units @0.0000	0.00	0.61	0.00	0.61	0.0	0.00



COMMISSION STATEMENT

April 16, 2018

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Utica, NY 13502

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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)								
04/01/2018	***-**-9839 - YADDAW, DAVID	MFS EMERGING MKT DEBT CL B	0.00	2.46	0.00	2.46	0.0	0.00
	ACCOUNT #: 08191183793	BUY 0 Units @0.0000						
04/01/2018	***-**-1491 - GUNN, EDWARD	MFS EMERGING MKT DEBT CL B	0.00	0.80	0.00	0.80	0.0	0.00
	ACCOUNT #: 08191184927	BUY 0 Units @0.0000						
04/01/2018	***-**-7116 - PREVOST, SANDRA	MFS EMERGING MKT DEBT CL B	0.00	1.34	0.00	1.34	0.0	0.00
	ACCOUNT #: 08191191385	BUY 0 Units @0.0000						
04/01/2018	***-**-844I - ROSS, VALERIE	MFS EMERGING MKT DEBT CL B	0.00	4.67	0.00	4.67	0.0	0.00
	ACCOUNT #: 08191197798	BUY 0 Units @0.0000						
04/01/2018	***-**-524I - SCALISE, JOSEPH	MFS EMERGING MKT DEBT CL B	0.00	0.95	0.00	0.95	0.0	0.00
	ACCOUNT #: 08191202574	BUY 0 Units @0.0000						
04/01/2018	***-**-80IN - CURRIERE, LAURA	MFS EMERGING MKT DEBT CL B	0.00	0.35	0.00	0.35	0.0	0.00
	ACCOUNT #: 08191216642	BUY 0 Units @0.0000						
04/01/2018	***-**-48IO - ANACKER, FBO MRS	MFS EMERGING MKT DEBT CL B	0.00	0.35	0.00	0.35	0.0	0.00
	ACCOUNT #: 08191221209	BUY 0 Units @0.0000						
04/01/2018	***-**-5384 - GURDO, JESSICA	MFS EMERGING MKT DEBT CL B	0.00	0.10	0.00	0.10	0.0	0.00
	ACCOUNT #: 08191233759	BUY 0 Units @0.0000						
04/01/2018	***-**-49IN - GUARDI, LINDA	MFS EMERGING MKT DEBT CL B	0.00	2.21	0.00	2.21	0.0	0.00
	ACCOUNT #: 08191237797	BUY 0 Units @0.0000						
04/01/2018	***-**-889I - FRANZ, JONATHAN	MFS GLOBAL MULTI ASSET FUND CLASS B	0.00	0.63	0.00	0.63	0.0	0.00
	ACCOUNT #: 08190130131	BUY 0 Units @0.0000						
04/01/2018	***-**-473I - HUSTON,	MFS GLOBAL MULTI ASSET FUND CLASS B	0.00	0.64	0.00	0.64	0.0	0.00
	ACCOUNT #: 08191353972	BUY 0 Units @0.0000						
04/01/2018	***-**-213I - GRUENEWALD,	MFS GLOBAL NEW DISCOVERY FUND CL B	0.00	1.58	0.00	1.58	0.0	0.00
	ACCOUNT #: 08190131132	BUY 0 Units @0.0000						
04/01/2018	***-**-49IN - GUARDI, LINDA	MFS GLOBAL REAL ESTATE FUND CL B	0.00	1.79	0.00	1.79	0.0	0.00
	ACCOUNT #: 05566055029	BUY 0 Units @0.0000						
04/01/2018	***-**-213I - GRUENEWALD,	MFS GLOBAL REAL ESTATE FUND CL B	0.00	1.15	0.00	1.15	0.0	0.00
	ACCOUNT #: 08190131132	BUY 0 Units @0.0000						
04/01/2018	***-**-26IN - GRANDE, MR	MFS GLOBAL REAL ESTATE FUND CL C	0.00	2.91	0.00	2.91	0.0	0.00
	ACCOUNT #: 08191260232	BUY 0 Units @0.0000						
04/01/2018	***-**-439J - MCCARTHY, JAMES	MFS GLOBAL TOTAL RETURN FUND-A	0.00	1.12	0.00	1.12	0.0	0.00
	ACCOUNT #: 00060638910	BUY 0 Units @0.0000						



COMMISSION STATEMENT

April 16, 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)								
04/01/2018	***-**-439J - MCCARTHY, JAMES	MFS GLOBAL TOTAL RETURN FUND-A	0.00	1.45	0.00	1.45	0.0	0.00
	ACCOUNT #: 00060638911	BUY 0 Units @0.0000						
04/01/2018	***-**-65CL - GRUENEWALD, K,	MFS GLOBAL TOTAL RETURN FUND-A	0.00	0.25	0.00	0.25	0.0	0.00
	ACCOUNT #: 00060639655	BUY 0 Units @0.0000						
04/01/2018	***-**-02IN - BUSHEY, MELISSA	MFS GLOBAL TOTAL RETURN FUND-A	0.00	0.12	0.00	0.12	0.0	0.00
	ACCOUNT #: 00060640588	BUY 0 Units @0.0000						
04/01/2018	***-**-02IN - BUSHEY, MELISSA	MFS GLOBAL TOTAL RETURN FUND-A	0.00	0.03	0.00	0.03	0.0	0.00
	ACCOUNT #: 00060640589	BUY 0 Units @0.0000						
04/01/2018	***-**-861I - SANGER, LAWRENCE	MFS GLOBAL TOTAL RETURN FUND-A	0.00	0.02	0.00	0.02	0.0	0.00
	ACCOUNT #: 00060640593	BUY 0 Units @0.0000						
04/01/2018	***-**-439I - MCCARTHY, JAMES	MFS GLOBAL TOTAL RETURN FUND-B	0.00	1.35	0.00	1.35	0.0	0.00
	ACCOUNT #: 08190124895	BUY 0 Units @0.0000						
04/01/2018	***-**-111J - NESSIA, JAMES	MFS GLOBAL TOTAL RETURN FUND-B	0.00	1.22	0.00	1.22	0.0	0.00
	ACCOUNT #: 08190126843	BUY 0 Units @0.0000						
04/01/2018	***-**-3749 - DEPEYSTER,	MFS GLOBAL TOTAL RETURN FUND-B	0.00	0.89	0.00	0.89	0.0	0.00
	ACCOUNT #: 08190127726	BUY 0 Units @0.0000						
04/01/2018	***-**-2603 - MASTRANGELO,	MFS GLOBAL TOTAL RETURN FUND-B	0.00	0.21	0.00	0.21	0.0	0.00
	ACCOUNT #: 08190129168	BUY 0 Units @0.0000						
04/01/2018	***-**-889I - FRANZ, JONATHAN	MFS GLOBAL TOTAL RETURN FUND-B	0.00	0.65	0.00	0.65	0.0	0.00
	ACCOUNT #: 08190130131	BUY 0 Units @0.0000						
04/01/2018	***-**-8126 - MCCARTHY, BRIANN	MFS GLOBAL TOTAL RETURN FUND-B	0.00	2.98	0.00	2.98	0.0	0.00
	ACCOUNT #: 08191126031	BUY 0 Units @0.0000						
04/01/2018	***-**-094I - KATRENA L	MFS GLOBAL TOTAL RETURN FUND-B	0.00	3.32	0.00	3.32	0.0	0.00
	ACCOUNT #: 08191140345	BUY 0 Units @0.0000						
04/01/2018	***-**-02IN - BUSHEY, MELISSA	MFS GLOBAL TOTAL RETURN FUND-B	0.00	0.74	0.00	0.74	0.0	0.00
	ACCOUNT #: 08191150076	BUY 0 Units @0.0000						
04/01/2018	***-**-6538 - BROWN, TYLER	MFS GLOBAL TOTAL RETURN FUND-B	0.00	1.78	0.00	1.78	0.0	0.00
	ACCOUNT #: 08191150212	BUY 0 Units @0.0000						
04/01/2018	***-**-0767 - DOVI,	MFS GLOBAL TOTAL RETURN FUND-B	0.00	1.92	0.00	1.92	0.0	0.00
	ACCOUNT #: 08191152598	BUY 0 Units @0.0000						
04/01/2018	***-**-861I - SANGER, LAWRENCE	MFS GLOBAL TOTAL RETURN FUND-B	0.00	0.85	0.00	0.85	0.0	0.00
	ACCOUNT #: 08191153495	BUY 0 Units @0.0000						



COMMISSION STATEMENT

April 16, 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)								
04/01/2018	***-**-2483 - TURNBULL, ACCOUNT #: 08191153585	MFS GLOBAL TOTAL RETURN FUND-B BUY 0 Units @0.0000	0.00	2.32	0.00	2.32	0.0	0.00
04/01/2018	***-**-7617 - ESCHE, BEVERLY ACCOUNT #: 08191154979	MFS GLOBAL TOTAL RETURN FUND-B BUY 0 Units @0.0000	0.00	3.52	0.00	3.52	0.0	0.00
04/01/2018	***-**-8440 - PREVOST, PIERRE ACCOUNT #: 08191160862	MFS GLOBAL TOTAL RETURN FUND-B BUY 0 Units @0.0000	0.00	1.06	0.00	1.06	0.0	0.00
04/01/2018	***-**-237I - MCCLUSKY, MARK ACCOUNT #: 08191161591	MFS GLOBAL TOTAL RETURN FUND-B BUY 0 Units @0.0000	0.00	1.62	0.00	1.62	0.0	0.00
04/01/2018	***-**-3932 - CARSON, DAVID ACCOUNT #: 08191168388	MFS GLOBAL TOTAL RETURN FUND-B BUY 0 Units @0.0000	0.00	2.34	0.00	2.34	0.0	0.00
04/01/2018	***-**-53RI - FALCHI, VALERIE ACCOUNT #: 08191172002	MFS GLOBAL TOTAL RETURN FUND-B BUY 0 Units @0.0000	0.00	3.03	0.00	3.03	0.0	0.00
04/01/2018	***-**-06IN - SATTERLY, ACCOUNT #: 08191173302	MFS GLOBAL TOTAL RETURN FUND-B BUY 0 Units @0.0000	0.00	0.91	0.00	0.91	0.0	0.00
04/01/2018	***-**-21IR - SATTERLY, ANDREW ACCOUNT #: 08191173305	MFS GLOBAL TOTAL RETURN FUND-B BUY 0 Units @0.0000	0.00	0.49	0.00	0.49	0.0	0.00
04/01/2018	***-**-094I - CIRILLO, CARL ACCOUNT #: 08191173445	MFS GLOBAL TOTAL RETURN FUND-B BUY 0 Units @0.0000	0.00	5.61	0.00	5.61	0.0	0.00
04/01/2018	***-**-671I - EBERLEY, REID ACCOUNT #: 08191175793	MFS GLOBAL TOTAL RETURN FUND-B BUY 0 Units @0.0000	0.00	4.25	0.00	4.25	0.0	0.00
04/01/2018	***-**-9839 - YADDAW, DAVID ACCOUNT #: 08191183793	MFS GLOBAL TOTAL RETURN FUND-B BUY 0 Units @0.0000	0.00	4.66	0.00	4.66	0.0	0.00
04/01/2018	***-**-844I - ROSS, VALERIE ACCOUNT #: 08191197798	MFS GLOBAL TOTAL RETURN FUND-B BUY 0 Units @0.0000	0.00	7.11	0.00	7.11	0.0	0.00
04/01/2018	***-**-524I - SCALISE, JOSEPH ACCOUNT #: 08191202574	MFS GLOBAL TOTAL RETURN FUND-B BUY 0 Units @0.0000	0.00	0.87	0.00	0.87	0.0	0.00
04/01/2018	***-**-80IN - CURRIERE, LAURA ACCOUNT #: 08191216642	MFS GLOBAL TOTAL RETURN FUND-B BUY 0 Units @0.0000	0.00	0.47	0.00	0.47	0.0	0.00
04/01/2018	***-**-6988 - TOOKE, LISA ACCOUNT #: 08191218269	MFS GLOBAL TOTAL RETURN FUND-B BUY 0 Units @0.0000	0.00	2.05	0.00	2.05	0.0	0.00
04/01/2018	***-**-48IO - ANACKER, FBO MRS ACCOUNT #: 08191221209	MFS GLOBAL TOTAL RETURN FUND-B BUY 0 Units @0.0000	0.00	1.31	0.00	1.31	0.0	0.00



COMMISSION STATEMENT

April 16, 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)								
04/01/2018	***-**-728I - BYWATER, KIM	MFS GLOBAL TOTAL RETURN FUND-B	0.00	0.26	0.00	0.26	0.0	0.00
	ACCOUNT #: 08191226548	BUY 0 Units @0.0000						
04/01/2018	***-**-49IN - GUARDI, LINDA	MFS GLOBAL TOTAL RETURN FUND-B	0.00	3.18	0.00	3.18	0.0	0.00
	ACCOUNT #: 08191237797	BUY 0 Units @0.0000						
04/01/2018	***-**-83UT - FALCHI, ISABELLE	MFS GLOBAL TOTAL RETURN FUND-B	0.00	1.65	0.00	1.65	0.0	0.00
	ACCOUNT #: 08191247393	BUY 0 Units @0.0000						
04/01/2018	***-**-473I - HUSTON,	MFS GLOBAL TOTAL RETURN FUND-B	0.00	0.75	0.00	0.75	0.0	0.00
	ACCOUNT #: 08191353972	BUY 0 Units @0.0000						
04/01/2018	***-**-881I - EBERLEY, SUSAN	MFS GLOBAL TOTAL RETURN FUND-C	0.00	3.81	0.00	3.81	0.0	0.00
	ACCOUNT #: 08191326411	BUY 0 Units @0.0000						
04/01/2018	***-**-7116 - PREVOST, SANDRA	MFS GOVERNMENT SECS CLASS C	0.00	3.40	0.00	3.40	0.0	0.00
	ACCOUNT #: 08191191385	BUY 0 Units @0.0000						
04/01/2018	***-**-3749 - DEPEYSTER,	MFS GOVERNMENT SECURITIES FUND-B	0.00	0.30	0.00	0.30	0.0	0.00
	ACCOUNT #: 08190127726	BUY 0 Units @0.0000						
04/01/2018	***-**-75IN - MANNING, JEFFREY	MFS GOVERNMENT SECURITIES FUND-B	0.00	4.58	0.00	4.58	0.0	0.00
	ACCOUNT #: 08190129582	BUY 0 Units @0.0000						
04/01/2018	***-**-3749 - DEPEYSTER,	MFS HIGH YIELD OPPORTUNITIES FUND-B	0.00	0.78	0.00	0.78	0.0	0.00
	ACCOUNT #: 08190127726	BUY 0 Units @0.0000						
04/01/2018	***-**-39IO - GUARNIERO, FBO	MFS HIGH YIELD OPPORTUNITIES FUND-B	0.00	0.15	0.00	0.15	0.0	0.00
	ACCOUNT #: 08191309494	BUY 0 Units @0.0000						
04/01/2018	***-**-1855 - WILLIAMSON,	MFS HIGH YIELD OPPORTUNITIES FUND-C	0.00	1.33	0.00	1.33	0.0	0.00
	ACCOUNT #: 08191308008	BUY 0 Units @0.0000						
04/01/2018	***-**-75IN - MANNING, JEFFREY	MFS INFLATION ADJUSTED BOND CL B	0.00	0.88	0.00	0.88	0.0	0.00
	ACCOUNT #: 08190129582	BUY 0 Units @0.0000						
04/01/2018	***-**-213I - GRUENEWALD,	MFS INFLATION ADJUSTED BOND CL B	0.00	0.80	0.00	0.80	0.0	0.00
	ACCOUNT #: 08190131132	BUY 0 Units @0.0000						
04/01/2018	***-**-7116 - PREVOST, SANDRA	MFS INFLATION ADJUSTED BOND CL B	0.00	0.95	0.00	0.95	0.0	0.00
	ACCOUNT #: 08191191385	BUY 0 Units @0.0000						
04/01/2018	***-**-844I - ROSS, VALERIE	MFS INFLATION ADJUSTED BOND CL B	0.00	1.64	0.00	1.64	0.0	0.00
	ACCOUNT #: 08191197798	BUY 0 Units @0.0000						
04/01/2018	***-**-524I - SCALISE, JOSEPH	MFS INFLATION ADJUSTED BOND CL B	0.00	0.43	0.00	0.43	0.0	0.00
	ACCOUNT #: 08191202574	BUY 0 Units @0.0000						



COMMISSION STATEMENT

April 16, 2018

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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)								
04/01/2018	***-**-80IN - CURRIERE, LAURA	MFS INFLATION ADJUSTED BOND CL B	0.00	0.08	0.00	0.08	0.0	0.00
	ACCOUNT #: 08191216642	BUY 0 Units @0.0000						
04/01/2018	***-**-6988 - TOOKE, LISA	MFS INFLATION ADJUSTED BOND CL B	0.00	0.45	0.00	0.45	0.0	0.00
	ACCOUNT #: 08191218269	BUY 0 Units @0.0000						
04/01/2018	***-**-48IO - ANACKER, FBO MRS	MFS INFLATION ADJUSTED BOND CL B	0.00	0.16	0.00	0.16	0.0	0.00
	ACCOUNT #: 08191221209	BUY 0 Units @0.0000						
04/01/2018	***-**-728I - BYWATER, KIM	MFS INFLATION ADJUSTED BOND CL B	0.00	0.10	0.00	0.10	0.0	0.00
	ACCOUNT #: 08191226548	BUY 0 Units @0.0000						
04/01/2018	***-**-473I - HUSTON,	MFS INFLATION ADJUSTED BOND CL B	0.00	0.58	0.00	0.58	0.0	0.00
	ACCOUNT #: 08191353972	BUY 0 Units @0.0000						
04/01/2018	***-**-439I - MCCARTHY, JAMES	MFS INFLATION ADJUSTED BOND CL C	0.00	3.03	0.00	3.03	0.0	0.00
	ACCOUNT #: 08190124895	BUY 0 Units @0.0000						
04/01/2018	***-**-84IN - WARMUTH, ERIC	MFS INFLATION ADJUSTED BOND FUND-A	0.00	1.08	0.00	1.08	0.0	0.00
	ACCOUNT #: 00060639189	BUY 0 Units @0.0000						
04/01/2018	***-**-26IN - GRANDE, MR	MFS INTERNATIONAL NEW DISCOVERY CL	0.00	3.46	0.00	3.46	0.0	0.00
	ACCOUNT #: 08191260232	BUY 0 Units @0.0000						
04/01/2018	***-**-111J - NESSIA, JAMES	MFS INTERNATIONAL NEW DISCOVERY FUN	0.00	3.26	0.00	3.26	0.0	0.00
	ACCOUNT #: 08190126843	BUY 0 Units @0.0000						
04/01/2018	***-**-0767 - DOVI,	MFS INTERNATIONAL NEW DISCOVERY FUN	0.00	0.90	0.00	0.90	0.0	0.00
	ACCOUNT #: 08191152598	BUY 0 Units @0.0000						
04/01/2018	***-**-2483 - TURNBULL,	MFS INTERNATIONAL NEW DISCOVERY FUN	0.00	2.20	0.00	2.20	0.0	0.00
	ACCOUNT #: 08191153585	BUY 0 Units @0.0000						
04/01/2018	***-**-7617 - ESCHE, BEVERLY	MFS INTERNATIONAL NEW DISCOVERY FUN	0.00	1.37	0.00	1.37	0.0	0.00
	ACCOUNT #: 08191154979	BUY 0 Units @0.0000						
04/01/2018	***-**-06IN - SATTERLY,	MFS INTERNATIONAL NEW DISCOVERY FUN	0.00	0.29	0.00	0.29	0.0	0.00
	ACCOUNT #: 08191173302	BUY 0 Units @0.0000						
04/01/2018	***-**-21IR - SATTERLY, ANDREW	MFS INTERNATIONAL NEW DISCOVERY FUN	0.00	0.30	0.00	0.30	0.0	0.00
	ACCOUNT #: 08191173305	BUY 0 Units @0.0000						
04/01/2018	***-**-094I - CIRILLO, CARL	MFS INTERNATIONAL NEW DISCOVERY FUN	0.00	2.44	0.00	2.44	0.0	0.00
	ACCOUNT #: 08191173445	BUY 0 Units @0.0000						
04/01/2018	***-**-671I - EBERLEY, REID	MFS INTERNATIONAL NEW DISCOVERY FUN	0.00	2.10	0.00	2.10	0.0	0.00
	ACCOUNT #: 08191175793	BUY 0 Units @0.0000						



COMMISSION STATEMENT

April 16, 2018

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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)								
04/01/2018	***-**-9839 - YADDAW, DAVID	MFS INTERNATIONAL NEW DISCOVERY FUN	0.00	2.04	0.00	2.04	0.0	0.00
	ACCOUNT #: 08191183793	BUY 0 Units @0.0000						
04/01/2018	***-**-844I - ROSS, VALERIE	MFS INTERNATIONAL NEW DISCOVERY FUN	0.00	4.86	0.00	4.86	0.0	0.00
	ACCOUNT #: 08191197798	BUY 0 Units @0.0000						
04/01/2018	***-**-728I - BYWATER, KIM	MFS INTERNATIONAL NEW DISCOVERY FUN	0.00	0.32	0.00	0.32	0.0	0.00
	ACCOUNT #: 08191226548	BUY 0 Units @0.0000						
04/01/2018	***-**-49IN - GUARDI, LINDA	MFS INTERNATIONAL NEW DISCOVERY FUN	0.00	3.16	0.00	3.16	0.0	0.00
	ACCOUNT #: 08191237797	BUY 0 Units @0.0000						
04/01/2018	***-**-058I - ROBBIANO, SARAH	MFS INTERNATIONAL NEW DISCOVERY FUN	0.00	0.18	0.00	0.18	0.0	0.00
	ACCOUNT #: 08191291666	BUY 0 Units @0.0000						
04/01/2018	***-**-14IN - LINES, JUDITH	MFS INTERNATIONAL NEW DISCOVERY FUN	0.00	0.81	0.00	0.81	0.0	0.00
	ACCOUNT #: 08191291668	BUY 0 Units @0.0000						
04/01/2018	***-**-39IO - GUARNIERO, FBO	MFS INTERNATIONAL NEW DISCOVERY FUN	0.00	0.36	0.00	0.36	0.0	0.00
	ACCOUNT #: 08191309494	BUY 0 Units @0.0000						
04/01/2018	***-**-4193 - VAN BAALEN, GUY	MFS INTERNATIONAL VALUE FUND-A	0.00	1.40	0.00	1.40	0.0	0.00
	ACCOUNT #: 08191310030	BUY 0 Units @0.0000						
04/01/2018	***-**-439I - MCCARTHY, JAMES	MFS INTERNATIONAL VALUE FUND-B	0.00	0.81	0.00	0.81	0.0	0.00
	ACCOUNT #: 08190124895	BUY 0 Units @0.0000						
04/01/2018	***-**-466I - MCCLUSKY, YVONNE	MFS INTERNATIONAL VALUE FUND-B	0.00	1.35	0.00	1.35	0.0	0.00
	ACCOUNT #: 08191161825	BUY 0 Units @0.0000						
04/01/2018	***-**-3932 - CARSON, DAVID	MFS INTERNATIONAL VALUE FUND-B	0.00	2.73	0.00	2.73	0.0	0.00
	ACCOUNT #: 08191168388	BUY 0 Units @0.0000						
04/01/2018	***-**-13IN - RHYMESTINE,	MFS INTERNATIONAL VALUE FUND-B	0.00	8.38	0.00	8.38	0.0	0.00
	ACCOUNT #: 08191178476	BUY 0 Units @0.0000						
04/01/2018	***-**-3420 - KOCHEM, DENISE	MFS INTERNATIONAL VALUE FUND-B	0.00	1.15	0.00	1.15	0.0	0.00
	ACCOUNT #: 08191179076	BUY 0 Units @0.0000						
04/01/2018	***-**-7116 - PREVOST, SANDRA	MFS INTERNATIONAL VALUE FUND-B	0.00	2.62	0.00	2.62	0.0	0.00
	ACCOUNT #: 08191191385	BUY 0 Units @0.0000						
04/01/2018	***-**-09IN - BATES, CHRISTINE	MFS INTERNATIONAL VALUE FUND-B	0.00	4.81	0.00	4.81	0.0	0.00
	ACCOUNT #: 08191196034	BUY 0 Units @0.0000						
04/01/2018	***-**-37IN - PFAFF, JOAN	MFS INTERNATIONAL VALUE FUND-B	0.00	6.97	0.00	6.97	0.0	0.00
	ACCOUNT #: 08191218057	BUY 0 Units @0.0000						



COMMISSION STATEMENT

April 16, 2018

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Utica, NY 13502

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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)								
04/01/2018	***-**-466I - MCCLUSKY, YVONNE	MFS LIMITED MATURITY FUND-C	0.00	3.15	0.00	3.15	0.0	0.00
	ACCOUNT #: 08191161825	BUY 0 Units @0.0000						
04/01/2018	***-**-1855 - WILLIAMSON,	MFS MID CAP VALUE CLASS C	0.00	1.59	0.00	1.59	0.0	0.00
	ACCOUNT #: 08191308008	BUY 0 Units @0.0000						
04/01/2018	***-**-49IN - GUARDI, LINDA	MFS MID CAP VALUE FUND-B	0.00	3.74	0.00	3.74	0.0	0.00
	ACCOUNT #: 08191237797	BUY 0 Units @0.0000						
04/01/2018	***-**-4193 - VAN BAALEN, GUY	MFS NEW DISCOVERY FUND-A	0.00	1.33	0.00	1.33	0.0	0.00
	ACCOUNT #: 08191310030	BUY 0 Units @0.0000						
04/01/2018	***-**-02IN - BUSHEY, MELISSA	MFS NEW DISCOVERY FUND-A	0.00	0.18	0.00	0.18	0.0	0.00
	ACCOUNT #: 00060640713	BUY 0 Units @0.0000						
04/01/2018	***-**-2603 - MASTRANGELO,	MFS NEW DISCOVERY FUND-B	0.00	0.30	0.00	0.30	0.0	0.00
	ACCOUNT #: 08190129168	BUY 0 Units @0.0000						
04/01/2018	***-**-889I - FRANZ, JONATHAN	MFS NEW DISCOVERY FUND-B	0.00	0.47	0.00	0.47	0.0	0.00
	ACCOUNT #: 08190130131	BUY 0 Units @0.0000						
04/01/2018	***-**-213I - GRUENEWALD,	MFS NEW DISCOVERY FUND-B	0.00	1.17	0.00	1.17	0.0	0.00
	ACCOUNT #: 08190131132	BUY 0 Units @0.0000						
04/01/2018	***-**-02IN - BUSHEY, MELISSA	MFS NEW DISCOVERY FUND-B	0.00	0.95	0.00	0.95	0.0	0.00
	ACCOUNT #: 08191150076	BUY 0 Units @0.0000						
04/01/2018	***-**-8440 - PREVOST, PIERRE	MFS NEW DISCOVERY FUND-B	0.00	1.11	0.00	1.11	0.0	0.00
	ACCOUNT #: 08191160862	BUY 0 Units @0.0000						
04/01/2018	***-**-237I - MCCLUSKY, MARK	MFS NEW DISCOVERY FUND-B	0.00	0.97	0.00	0.97	0.0	0.00
	ACCOUNT #: 08191161591	BUY 0 Units @0.0000						
04/01/2018	***-**-7116 - PREVOST, SANDRA	MFS NEW DISCOVERY FUND-B	0.00	1.28	0.00	1.28	0.0	0.00
	ACCOUNT #: 08191191385	BUY 0 Units @0.0000						
04/01/2018	***-**-09IN - BATES, CHRISTINE	MFS NEW DISCOVERY FUND-B	0.00	4.64	0.00	4.64	0.0	0.00
	ACCOUNT #: 08191196034	BUY 0 Units @0.0000						
04/01/2018	***-**-524I - SCALISE, JOSEPH	MFS NEW DISCOVERY FUND-B	0.00	0.82	0.00	0.82	0.0	0.00
	ACCOUNT #: 08191202574	BUY 0 Units @0.0000						
04/01/2018	***-**-37IN - PFAFF, JOAN	MFS NEW DISCOVERY FUND-B	0.00	6.35	0.00	6.35	0.0	0.00
	ACCOUNT #: 08191218057	BUY 0 Units @0.0000						
04/01/2018	***-**-48IO - ANACKER, FBO MRS	MFS NEW DISCOVERY FUND-B	0.00	1.51	0.00	1.51	0.0	0.00
	ACCOUNT #: 08191221209	BUY 0 Units @0.0000						



COMMISSION STATEMENT

April 16, 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)								
04/01/2018	***-**-058I - ROBBIANO, SARAH	MFS NEW DISCOVERY FUND-B	0.00	0.16	0.00	0.16	0.0	0.00
	ACCOUNT #: 08191291666	BUY 0 Units @0.0000						
04/01/2018	***-**-84IN - WARMUTH, ERIC	MFS NEW YORK MUNICIPAL BOND FUND CL	0.00	2.04	0.00	2.04	0.0	0.00
	ACCOUNT #: 00060639106	BUY 0 Units @0.0000						
04/01/2018	***-**-02IN - BUSHEY, MELISSA	MFS RESEARCH BOND FUND CLASS A	0.00	0.06	0.00	0.06	0.0	0.00
	ACCOUNT #: 00060640647	BUY 0 Units @0.0000						
04/01/2018	***-**-111J - NESSIA, JAMES	MFS RESEARCH BOND FUND-B	0.00	0.45	0.00	0.45	0.0	0.00
	ACCOUNT #: 08190126843	BUY 0 Units @0.0000						
04/01/2018	***-**-02IN - BUSHEY, MELISSA	MFS RESEARCH BOND FUND-B	0.00	0.33	0.00	0.33	0.0	0.00
	ACCOUNT #: 08191150076	BUY 0 Units @0.0000						
04/01/2018	***-**-0767 - DOVI,	MFS RESEARCH BOND FUND-B	0.00	0.35	0.00	0.35	0.0	0.00
	ACCOUNT #: 08191152598	BUY 0 Units @0.0000						
04/01/2018	***-**-8440 - PREVOST, PIERRE	MFS RESEARCH BOND FUND-B	0.00	0.05	0.00	0.05	0.0	0.00
	ACCOUNT #: 08191160862	BUY 0 Units @0.0000						
04/01/2018	***-**-237I - MCCLUSKY, MARK	MFS RESEARCH BOND FUND-B	0.00	0.58	0.00	0.58	0.0	0.00
	ACCOUNT #: 08191161591	BUY 0 Units @0.0000						
04/01/2018	***-**-3932 - CARSON, DAVID	MFS RESEARCH BOND FUND-B	0.00	0.75	0.00	0.75	0.0	0.00
	ACCOUNT #: 08191168388	BUY 0 Units @0.0000						
04/01/2018	***-**-094I - CIRILLO, CARL	MFS RESEARCH BOND FUND-B	0.00	1.08	0.00	1.08	0.0	0.00
	ACCOUNT #: 08191173445	BUY 0 Units @0.0000						
04/01/2018	***-**-671I - EBERLEY, REID	MFS RESEARCH BOND FUND-B	0.00	0.88	0.00	0.88	0.0	0.00
	ACCOUNT #: 08191175793	BUY 0 Units @0.0000						
04/01/2018	***-**-13IN - RHYMESTINE,	MFS RESEARCH BOND FUND-B	0.00	0.34	0.00	0.34	0.0	0.00
	ACCOUNT #: 08191178476	BUY 0 Units @0.0000						
04/01/2018	***-**-3420 - KOCHER, DENISE	MFS RESEARCH BOND FUND-B	0.00	0.21	0.00	0.21	0.0	0.00
	ACCOUNT #: 08191179076	BUY 0 Units @0.0000						
04/01/2018	***-**-9839 - YADDAW, DAVID	MFS RESEARCH BOND FUND-B	0.00	0.88	0.00	0.88	0.0	0.00
	ACCOUNT #: 08191183793	BUY 0 Units @0.0000						
04/01/2018	***-**-844I - ROSS, VALERIE	MFS RESEARCH BOND FUND-B	0.00	1.91	0.00	1.91	0.0	0.00
	ACCOUNT #: 08191197798	BUY 0 Units @0.0000						
04/01/2018	***-**-094I - CIRILLO, CARL	MFS RESEARCH FUND-B	0.00	1.23	0.00	1.23	0.0	0.00
	ACCOUNT #: 08190127967	BUY 0 Units @0.0000						



COMMISSION STATEMENT

April 16, 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)								
04/01/2018	***-**-466I - MCCLUSKY, YVONNE	MFS RESEARCH FUND-B	0.00	0.72	0.00	0.72	0.0	0.00
	ACCOUNT #: 08191161825	BUY 0 Units @0.0000						
04/01/2018	***-**-3932 - CARSON, DAVID	MFS RESEARCH FUND-B	0.00	1.47	0.00	1.47	0.0	0.00
	ACCOUNT #: 08191168388	BUY 0 Units @0.0000						
04/01/2018	***-**-13IN - RHYMESTINE,	MFS RESEARCH FUND-B	0.00	0.97	0.00	0.97	0.0	0.00
	ACCOUNT #: 08191178476	BUY 0 Units @0.0000						
04/01/2018	***-**-3420 - KOCHER, DENISE	MFS RESEARCH FUND-B	0.00	0.59	0.00	0.59	0.0	0.00
	ACCOUNT #: 08191179076	BUY 0 Units @0.0000						
04/01/2018	***-**-7116 - PREVOST, SANDRA	MFS RESEARCH FUND-B	0.00	1.24	0.00	1.24	0.0	0.00
	ACCOUNT #: 08191191385	BUY 0 Units @0.0000						
04/01/2018	***-**-26IN - GRANDE, MR	MFS STRATEGIC INCOME FUND-B	0.00	0.25	0.00	0.25	0.0	0.00
	ACCOUNT #: 08191260232	BUY 0 Units @0.0000						
04/01/2018	***-**-26IN - GRANDE, MR	MFS TECHNOLOGY CLASS C	0.00	4.30	0.00	4.30	0.0	0.00
	ACCOUNT #: 08191260232	BUY 0 Units @0.0000						
04/01/2018	***-**-4193 - VAN BAALEN, GUY	MFS TECHNOLOGY FUND CLASS A	0.00	1.94	0.00	1.94	0.0	0.00
	ACCOUNT #: 08191310030	BUY 0 Units @0.0000						
04/01/2018	***-**-49IN - GUARDI, LINDA	MFS TECHNOLOGY FUND-B	0.00	2.73	0.00	2.73	0.0	0.00
	ACCOUNT #: 05566055028	BUY 0 Units @0.0000						
04/01/2018	***-**-439I - MCCARTHY, JAMES	MFS TECHNOLOGY FUND-B	0.00	1.44	0.00	1.44	0.0	0.00
	ACCOUNT #: 08190124895	BUY 0 Units @0.0000						
04/01/2018	***-**-111J - NESSIA, JAMES	MFS TECHNOLOGY FUND-B	0.00	2.21	0.00	2.21	0.0	0.00
	ACCOUNT #: 08190126843	BUY 0 Units @0.0000						
04/01/2018	***-**-2603 - MASTRANGELO,	MFS TECHNOLOGY FUND-B	0.00	0.72	0.00	0.72	0.0	0.00
	ACCOUNT #: 08190129168	BUY 0 Units @0.0000						
04/01/2018	***-**-889I - FRANZ, JONATHAN	MFS TECHNOLOGY FUND-B	0.00	1.55	0.00	1.55	0.0	0.00
	ACCOUNT #: 08190130131	BUY 0 Units @0.0000						
04/01/2018	***-**-213I - GRUENEWALD,	MFS TECHNOLOGY FUND-B	0.00	2.79	0.00	2.79	0.0	0.00
	ACCOUNT #: 08190131132	BUY 0 Units @0.0000						
04/01/2018	***-**-06IN - SATTERLY,	MFS TECHNOLOGY FUND-B	0.00	0.64	0.00	0.64	0.0	0.00
	ACCOUNT #: 08191173302	BUY 0 Units @0.0000						
04/01/2018	***-**-094I - CIRILLO, CARL	MFS TECHNOLOGY FUND-B	0.00	3.22	0.00	3.22	0.0	0.00
	ACCOUNT #: 08191173445	BUY 0 Units @0.0000						



COMMISSION STATEMENT

April 16, 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)								
04/01/2018	***-**-80IN - CURRIERE, LAURA	MFS TECHNOLOGY FUND-B	0.00	0.49	0.00	0.49	0.0	0.00
	ACCOUNT #: 08191216642	BUY 0 Units @0.0000						
04/01/2018	***-**-6988 - TOOKE, LISA	MFS TECHNOLOGY FUND-B	0.00	2.52	0.00	2.52	0.0	0.00
	ACCOUNT #: 08191218269	BUY 0 Units @0.0000						
04/01/2018	***-**-48IO - ANACKER, FBO MRS	MFS TECHNOLOGY FUND-B	0.00	1.45	0.00	1.45	0.0	0.00
	ACCOUNT #: 08191221209	BUY 0 Units @0.0000						
04/01/2018	***-**-5384 - GURDO, JESSICA	MFS TECHNOLOGY FUND-B	0.00	0.72	0.00	0.72	0.0	0.00
	ACCOUNT #: 08191233759	BUY 0 Units @0.0000						
04/01/2018	***-**-058I - ROBBIANO, SARAH	MFS TECHNOLOGY FUND-B	0.00	0.59	0.00	0.59	0.0	0.00
	ACCOUNT #: 08191291666	BUY 0 Units @0.0000						
04/01/2018	***-**-14IN - LINES, JUDITH	MFS TECHNOLOGY FUND-B	0.00	1.24	0.00	1.24	0.0	0.00
	ACCOUNT #: 08191291668	BUY 0 Units @0.0000						
04/01/2018	***-**-39IO - GUARNIERO, FBO	MFS TECHNOLOGY FUND-B	0.00	0.76	0.00	0.76	0.0	0.00
	ACCOUNT #: 08191309494	BUY 0 Units @0.0000						
04/01/2018	***-**-724I - BLISS, RYAN	MFS TECHNOLOGY FUND-B	0.00	4.72	0.00	4.72	0.0	0.00
	ACCOUNT #: 08191352733	BUY 0 Units @0.0000						
04/01/2018	***-**-606I - LEWIS, TAMARA	MFS TECHNOLOGY FUND-B	0.00	0.48	0.00	0.48	0.0	0.00
	ACCOUNT #: 08191352846	BUY 0 Units @0.0000						
04/01/2018	***-**-439J - MCCARTHY, JAMES	MFS TOTAL RETURN FUND-A	0.00	0.26	0.00	0.26	0.0	0.00
	ACCOUNT #: 00060638905	BUY 0 Units @0.0000						
04/01/2018	***-**-861I - SANGER, LAWRENCE	MFS TOTAL RETURN FUND-A	0.00	0.01	0.00	0.01	0.0	0.00
	ACCOUNT #: 00060640581	BUY 0 Units @0.0000						
04/01/2018	***-**-439I - MCCARTHY, JAMES	MFS TOTAL RETURN FUND-B	0.00	1.55	0.00	1.55	0.0	0.00
	ACCOUNT #: 08190124895	BUY 0 Units @0.0000						
04/01/2018	***-**-111J - NESSIA, JAMES	MFS TOTAL RETURN FUND-B	0.00	3.66	0.00	3.66	0.0	0.00
	ACCOUNT #: 08190126843	BUY 0 Units @0.0000						
04/01/2018	***-**-0767 - DOVI,	MFS TOTAL RETURN FUND-B	0.00	1.61	0.00	1.61	0.0	0.00
	ACCOUNT #: 08191152598	BUY 0 Units @0.0000						
04/01/2018	***-**-861I - SANGER, LAWRENCE	MFS TOTAL RETURN FUND-B	0.00	0.41	0.00	0.41	0.0	0.00
	ACCOUNT #: 08191153495	BUY 0 Units @0.0000						
04/01/2018	***-**-2483 - TURNBULL,	MFS TOTAL RETURN FUND-B	0.00	0.96	0.00	0.96	0.0	0.00
	ACCOUNT #: 08191153585	BUY 0 Units @0.0000						



COMMISSION STATEMENT

April 16, 2018

KURT GRUENEWALD
2108 Genesee St.
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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)								
04/01/2018	***-**-237I - MCCLUSKY, MARK	MFS TOTAL RETURN FUND-B	0.00	2.04	0.00	2.04	0.0	0.00
	ACCOUNT #: 08191161591	BUY 0 Units @0.0000						
04/01/2018	***-**-094I - CIRILLO, CARL	MFS TOTAL RETURN FUND-B	0.00	4.78	0.00	4.78	0.0	0.00
	ACCOUNT #: 08191173445	BUY 0 Units @0.0000						
04/01/2018	***-**-671I - EBERLEY, REID	MFS TOTAL RETURN FUND-B	0.00	3.46	0.00	3.46	0.0	0.00
	ACCOUNT #: 08191175793	BUY 0 Units @0.0000						
04/01/2018	***-**-13IN - RHYMESTINE,	MFS TOTAL RETURN FUND-B	0.00	4.36	0.00	4.36	0.0	0.00
	ACCOUNT #: 08191178476	BUY 0 Units @0.0000						
04/01/2018	***-**-3420 - KOICHEM, DENISE	MFS TOTAL RETURN FUND-B	0.00	0.96	0.00	0.96	0.0	0.00
	ACCOUNT #: 08191179076	BUY 0 Units @0.0000						
04/01/2018	***-**-9839 - YADDAW, DAVID	MFS TOTAL RETURN FUND-B	0.00	3.93	0.00	3.93	0.0	0.00
	ACCOUNT #: 08191183793	BUY 0 Units @0.0000						
04/01/2018	***-**-149I - GUNN, EDWARD	MFS TOTAL RETURN FUND-B	0.00	0.95	0.00	0.95	0.0	0.00
	ACCOUNT #: 08191184927	BUY 0 Units @0.0000						
04/01/2018	***-**-7116 - PREVOST, SANDRA	MFS TOTAL RETURN FUND-B	0.00	1.64	0.00	1.64	0.0	0.00
	ACCOUNT #: 08191191385	BUY 0 Units @0.0000						
04/01/2018	***-**-09IN - BATES, CHRISTINE	MFS TOTAL RETURN FUND-B	0.00	4.41	0.00	4.41	0.0	0.00
	ACCOUNT #: 08191196034	BUY 0 Units @0.0000						
04/01/2018	***-**-844I - ROSS, VALERIE	MFS TOTAL RETURN FUND-B	0.00	6.12	0.00	6.12	0.0	0.00
	ACCOUNT #: 08191197798	BUY 0 Units @0.0000						
04/01/2018	***-**-37IN - PFAFF, JOAN	MFS TOTAL RETURN FUND-B	0.00	6.13	0.00	6.13	0.0	0.00
	ACCOUNT #: 08191218057	BUY 0 Units @0.0000						
04/01/2018	***-**-5384 - GURDO, JESSICA	MFS TOTAL RETURN FUND-B	0.00	0.36	0.00	0.36	0.0	0.00
	ACCOUNT #: 08191233759	BUY 0 Units @0.0000						
04/01/2018	***-**-14IN - LINES, JUDITH	MFS TOTAL RETURN FUND-B	0.00	0.78	0.00	0.78	0.0	0.00
	ACCOUNT #: 08191291668	BUY 0 Units @0.0000						
04/01/2018	***-**-1855 - WILLIAMSON,	MFS TRAILS 55273G710	0.00	4.73	0.00	4.73	0.0	0.00
	ACCOUNT #: 08191308008	BUY 0 Units @0.0000						
04/01/2018	***-**-881I - EBERLEY, SUSAN	MFS TRAILS 552988610	0.00	2.75	0.00	2.75	0.0	0.00
	ACCOUNT #: 08191326411	BUY 0 Units @0.0000						
04/01/2018	***-**-881I - EBERLEY, SUSAN	MFS TRAILS 552989600	0.00	2.29	0.00	2.29	0.0	0.00
	ACCOUNT #: 08191326411	BUY 0 Units @0.0000						



COMMISSION STATEMENT

April 16, 2018

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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)								
04/01/2018	***-**-439J - MCCARTHY, JAMES	MFS UTILITIES FUND-A	0.00	0.66	0.00	0.66	0.0	0.00
	ACCOUNT #: 00060638930	BUY 0 Units @0.0000						
04/01/2018	***-**-84IN - WARMUTH, ERIC	MFS UTILITIES FUND-A	0.00	2.79	0.00	2.79	0.0	0.00
	ACCOUNT #: 00060639103	BUY 0 Units @0.0000						
04/01/2018	***-**-4193 - VAN BAALEN, GUY	MFS UTILITIES FUND-A	0.00	0.82	0.00	0.82	0.0	0.00
	ACCOUNT #: 08191310030	BUY 0 Units @0.0000						
04/01/2018	***-**-02IN - BUSHEY, MELISSA	MFS UTILITIES FUND-A	0.00	0.14	0.00	0.14	0.0	0.00
	ACCOUNT #: 00060640627	BUY 0 Units @0.0000						
04/01/2018	***-**-861I - SANGER, LAWRENCE	MFS UTILITIES FUND-A	0.00	0.02	0.00	0.02	0.0	0.00
	ACCOUNT #: 00060640636	BUY 0 Units @0.0000						
04/01/2018	***-**-439I - MCCARTHY, JAMES	MFS UTILITIES FUND-B	0.00	1.27	0.00	1.27	0.0	0.00
	ACCOUNT #: 08190124895	BUY 0 Units @0.0000						
04/01/2018	***-**-111J - NESSIA, JAMES	MFS UTILITIES FUND-B	0.00	1.82	0.00	1.82	0.0	0.00
	ACCOUNT #: 08190126843	BUY 0 Units @0.0000						
04/01/2018	***-**-094I - CIRILLO, CARL	MFS UTILITIES FUND-B	0.00	2.44	0.00	2.44	0.0	0.00
	ACCOUNT #: 08190127967	BUY 0 Units @0.0000						
04/01/2018	***-**-2603 - MASTRANGELO,	MFS UTILITIES FUND-B	0.00	0.39	0.00	0.39	0.0	0.00
	ACCOUNT #: 08190129168	BUY 0 Units @0.0000						
04/01/2018	***-**-889I - FRANZ, JONATHAN	MFS UTILITIES FUND-B	0.00	1.14	0.00	1.14	0.0	0.00
	ACCOUNT #: 08190130131	BUY 0 Units @0.0000						
04/01/2018	***-**-31IN - WARMUTH,	MFS UTILITIES FUND-B	0.00	1.98	0.00	1.98	0.0	0.00
	ACCOUNT #: 08191131006	BUY 0 Units @0.0000						
04/01/2018	***-**-02IN - BUSHEY, MELISSA	MFS UTILITIES FUND-B	0.00	0.84	0.00	0.84	0.0	0.00
	ACCOUNT #: 08191150076	BUY 0 Units @0.0000						
04/01/2018	***-**-0767 - DOVI,	MFS UTILITIES FUND-B	0.00	0.87	0.00	0.87	0.0	0.00
	ACCOUNT #: 08191152598	BUY 0 Units @0.0000						
04/01/2018	***-**-861I - SANGER, LAWRENCE	MFS UTILITIES FUND-B	0.00	0.71	0.00	0.71	0.0	0.00
	ACCOUNT #: 08191153495	BUY 0 Units @0.0000						
04/01/2018	***-**-2483 - TURNBULL,	MFS UTILITIES FUND-B	0.00	1.57	0.00	1.57	0.0	0.00
	ACCOUNT #: 08191153585	BUY 0 Units @0.0000						
04/01/2018	***-**-7617 - ESCHE, BEVERLY	MFS UTILITIES FUND-B	0.00	3.54	0.00	3.54	0.0	0.00
	ACCOUNT #: 08191154979	BUY 0 Units @0.0000						



COMMISSION STATEMENT

April 16, 2018

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
04/01/2018	***-**-8440 - PREVOST, PIERRE	MFS UTILITIES FUND-B	0.00	2.16	0.00	2.16	0.0	0.00
	ACCOUNT #: 08191160862	BUY 0 Units @0.0000						
04/01/2018	***-**-237I - MCCLUSKY, MARK	MFS UTILITIES FUND-B	0.00	1.54	0.00	1.54	0.0	0.00
	ACCOUNT #: 08191161591	BUY 0 Units @0.0000						
04/01/2018	***-**-466I - MCCLUSKY, YVONNE	MFS UTILITIES FUND-B	0.00	0.56	0.00	0.56	0.0	0.00
	ACCOUNT #: 08191161825	BUY 0 Units @0.0000						
04/01/2018	***-**-3932 - CARSON, DAVID	MFS UTILITIES FUND-B	0.00	3.13	0.00	3.13	0.0	0.00
	ACCOUNT #: 08191168388	BUY 0 Units @0.0000						
04/01/2018	***-**-06IN - SATTERLY,	MFS UTILITIES FUND-B	0.00	0.28	0.00	0.28	0.0	0.00
	ACCOUNT #: 08191173302	BUY 0 Units @0.0000						
04/01/2018	***-**-094I - CIRILLO, CARL	MFS UTILITIES FUND-B	0.00	0.64	0.00	0.64	0.0	0.00
	ACCOUNT #: 08191173445	BUY 0 Units @0.0000						
04/01/2018	***-**-671I - EBERLEY, REID	MFS UTILITIES FUND-B	0.00	3.18	0.00	3.18	0.0	0.00
	ACCOUNT #: 08191175793	BUY 0 Units @0.0000						
04/01/2018	***-**-9839 - YADDAW, DAVID	MFS UTILITIES FUND-B	0.00	1.92	0.00	1.92	0.0	0.00
	ACCOUNT #: 08191183793	BUY 0 Units @0.0000						
04/01/2018	***-**-7116 - PREVOST, SANDRA	MFS UTILITIES FUND-B	0.00	1.70	0.00	1.70	0.0	0.00
	ACCOUNT #: 08191191385	BUY 0 Units @0.0000						
04/01/2018	***-**-09IN - BATES, CHRISTINE	MFS UTILITIES FUND-B	0.00	4.13	0.00	4.13	0.0	0.00
	ACCOUNT #: 08191196034	BUY 0 Units @0.0000						
04/01/2018	***-**-844I - ROSS, VALERIE	MFS UTILITIES FUND-B	0.00	7.40	0.00	7.40	0.0	0.00
	ACCOUNT #: 08191197798	BUY 0 Units @0.0000						
04/01/2018	***-**-524I - SCALISE, JOSEPH	MFS UTILITIES FUND-B	0.00	1.15	0.00	1.15	0.0	0.00
	ACCOUNT #: 08191202574	BUY 0 Units @0.0000						
04/01/2018	***-**-80IN - CURRIERE, LAURA	MFS UTILITIES FUND-B	0.00	0.49	0.00	0.49	0.0	0.00
	ACCOUNT #: 08191216642	BUY 0 Units @0.0000						
04/01/2018	***-**-37IN - PFAFF, JOAN	MFS UTILITIES FUND-B	0.00	6.11	0.00	6.11	0.0	0.00
	ACCOUNT #: 08191218057	BUY 0 Units @0.0000						
04/01/2018	***-**-6988 - TOOKE, LISA	MFS UTILITIES FUND-B	0.00	1.25	0.00	1.25	0.0	0.00
	ACCOUNT #: 08191218269	BUY 0 Units @0.0000						
04/01/2018	***-**-48IO - ANACKER, FBO MRS	MFS UTILITIES FUND-B	0.00	0.90	0.00	0.90	0.0	0.00
	ACCOUNT #: 08191221209	BUY 0 Units @0.0000						



COMMISSION STATEMENT

April 16, 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)								
04/01/2018	***-**-728I - BYWATER, KIM	MFS UTILITIES FUND-B	0.00	0.27	0.00	0.27	0.0	0.00
	ACCOUNT #: 08191226548	BUY 0 Units @0.0000						
04/01/2018	***-**-213I - GRUENEWALD,	MFS UTILITIES FUND-B	0.00	0.75	0.00	0.75	0.0	0.00
	ACCOUNT #: 08191229521	BUY 0 Units @0.0000						
04/01/2018	***-**-5384 - GURDO, JESSICA	MFS UTILITIES FUND-B	0.00	0.13	0.00	0.13	0.0	0.00
	ACCOUNT #: 08191233759	BUY 0 Units @0.0000						
04/01/2018	***-**-49IN - GUARDI, LINDA	MFS UTILITIES FUND-B	0.00	3.06	0.00	3.06	0.0	0.00
	ACCOUNT #: 08191237797	BUY 0 Units @0.0000						
04/01/2018	***-**-058I - ROBBIANO, SARAH	MFS UTILITIES FUND-B	0.00	0.16	0.00	0.16	0.0	0.00
	ACCOUNT #: 08191291666	BUY 0 Units @0.0000						
04/01/2018	***-**-39IO - GUARNIERO, FBO	MFS UTILITIES FUND-B	0.00	0.33	0.00	0.33	0.0	0.00
	ACCOUNT #: 08191309494	BUY 0 Units @0.0000						
04/01/2018	***-**-606I - LEWIS, TAMARA	MFS UTILITIES FUND-B	0.00	0.64	0.00	0.64	0.0	0.00
	ACCOUNT #: 08191352846	BUY 0 Units @0.0000						
04/01/2018	***-**-473I - HUSTON,	MFS UTILITIES FUND-B	0.00	1.00	0.00	1.00	0.0	0.00
	ACCOUNT #: 08191353972	BUY 0 Units @0.0000						
04/01/2018	***-**-26IN - GRANDE, MR	MFS UTILITIES FUND-C	0.00	3.77	0.00	3.77	0.0	0.00
	ACCOUNT #: 08191260232	BUY 0 Units @0.0000						
04/01/2018	***-**-881I - EBERLEY, SUSAN	MFS UTILITIES FUND-C	0.00	3.31	0.00	3.31	0.0	0.00
	ACCOUNT #: 08191326411	BUY 0 Units @0.0000						
04/16/2018	***-**-20IO - DEMETRI, AMELIA	MUTUAL GLOBAL DISCOVERY FUND - CLAS	0.00	1.54	0.00	1.54	0.0	0.00
	ACCOUNT #: LSR010995	BUY 1 Units @0.0000						
03/31/2018	***-**-633J -	OPP PORT SERIES: ACTIVE ALLOC A	0.00	2.28	0.00	2.28	0.0	0.00
	ACCOUNT #: 05502871176	BUY 0 Units @0.0000						
03/31/2018	***-**-524I - SCALISE, JOSEPH	OPP STEELPATH MLP ALPHA+ FND C	0.00	0.03	0.00	0.03	0.0	0.00
	ACCOUNT #: 00100019119	BUY 0 Units @0.0000						
03/31/2018	***-**-13IN - BLISS, PATRICK	OPPENHEIMER ACTIVE ALLOCATION FUND	0.00	9.53	0.00	9.53	0.0	0.00
	ACCOUNT #: 05521022681	BUY 0 Units @0.0000						
03/31/2018	***-**-775I - BLISS, APRIL	OPPENHEIMER ACTIVE ALLOCATION FUND	0.00	11.53	0.00	11.53	0.0	0.00
	ACCOUNT #: 05521022692	BUY 0 Units @0.0000						
03/31/2018	***-**-48JT - LEE, DARLENE	OPPENHEIMER ACTIVE ALLOCATION FUND	0.00	4.36	0.00	4.36	0.0	0.00
	ACCOUNT #: 05521043603	BUY 0 Units @0.0000						



COMMISSION STATEMENT

April 16, 2018

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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)								
03/31/2018	***-**-1944 - BEHA, JAMES	OPPENHEIMER DEV MARKETS FD CLASS C	0.00	5.65	0.00	5.65	0.0	0.00
	ACCOUNT #: 07871306525	BUY 0 Units @0.0000						
03/31/2018	***-**-524I - SCALISE, JOSEPH	OPPENHEIMER DEV MARKETS FD CLASS C	0.00	5.55	0.00	5.55	0.0	0.00
	ACCOUNT #: 07872061521	BUY 0 Units @0.0000						
03/31/2018	***-**-31IR - HARTZ, CLAUDIA	OPPENHEIMER DEV MARKETS FD CLASS C	0.00	3.08	0.00	3.08	0.0	0.00
	ACCOUNT #: 07872093014	BUY 0 Units @0.0000						
03/31/2018	***-**-3749 - DEPEYSTER,	OPPENHEIMER DEVELOPING MARKETS CLAS	0.00	0.80	0.00	0.80	0.0	0.00
	ACCOUNT #: 07862860001	BUY 0 Units @0.0000						
03/31/2018	***-**-0767 - DOVI,	OPPENHEIMER DEVELOPING MARKETS CLAS	0.00	2.90	0.00	2.90	0.0	0.00
	ACCOUNT #: 07862886753	BUY 0 Units @0.0000						
03/31/2018	***-**-1491 - GUNN, EDWARD	OPPENHEIMER DEVELOPING MARKETS CLAS	0.00	2.73	0.00	2.73	0.0	0.00
	ACCOUNT #: 07862938926	BUY 0 Units @0.0000						
03/31/2018	***-**-09IN - BATES, CHRISTINE	OPPENHEIMER DEVELOPING MARKETS CLAS	0.00	11.47	0.00	11.47	0.0	0.00
	ACCOUNT #: 07862942457	BUY 0 Units @0.0000						
03/31/2018	***-**-2603 - MASTRANGELO,	OPPENHEIMER DEVELOPING MARKETS CLAS	0.00	0.91	0.00	0.91	0.0	0.00
	ACCOUNT #: 07862947055	BUY 0 Units @0.0000						
03/31/2018	***-**-524I - SCALISE, JOSEPH	OPPENHEIMER DEVELOPING MARKETS CLAS	0.00	0.46	0.00	0.46	0.0	0.00
	ACCOUNT #: 07862950586	BUY 0 Units @0.0000						
03/31/2018	***-**-69IN - EVANS, PAUL	OPPENHEIMER DEVELOPING MARKETS CLAS	0.00	1.39	0.00	1.39	0.0	0.00
	ACCOUNT #: 07862954403	BUY 0 Units @0.0000						
03/31/2018	***-**-31IR - HARTZ, CLAUDIA	OPPENHEIMER DEVELOPING MARKETS CLAS	0.00	1.85	0.00	1.85	0.0	0.00
	ACCOUNT #: 07862957439	BUY 0 Units @0.0000						
03/31/2018	***-**-5375 - CARTER, LISA	OPPENHEIMER DEVELOPING MARKETS CLAS	0.00	1.27	0.00	1.27	0.0	0.00
	ACCOUNT #: 07862962213	BUY 0 Units @0.0000						
03/31/2018	***-**-0069 - KRECIDLO,	OPPENHEIMER DISCOVERY CLASS A	0.00	1.77	0.00	1.77	0.0	0.00
	ACCOUNT #: 05005738601	BUY 0 Units @0.0000						
03/31/2018	***-**-391I - MASTRANGELO,	OPPENHEIMER DISCOVERY CLASS A	0.00	7.10	0.00	7.10	0.0	0.00
	ACCOUNT #: 05005977620	BUY 0 Units @0.0000						
03/31/2018	***-**-1491 - GUNN, EDWARD	OPPENHEIMER DISCOVERY CLASS A	0.00	2.75	0.00	2.75	0.0	0.00
	ACCOUNT #: 05005989148	BUY 0 Units @0.0000						
03/31/2018	***-**-48JT - LEE, DARLENE	OPPENHEIMER GLBL REAL ESTATE FUND C	0.00	3.61	0.00	3.61	0.0	0.00
	ACCOUNT #: 00100021715	BUY 0 Units @0.0000						



COMMISSION STATEMENT

April 16, 2018

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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)								
03/31/2018	***-**-973I - LABAYEWSKI, ACCOUNT #: 06870116919	OPPENHEIMER GLOBAL VALUE FUND CL A BUY 0 Units @0.0000	0.00	1.73	0.00	1.73	0.0	0.00
03/31/2018	***-**-14IN - LINES, JUDITH ACCOUNT #: 06890025267	OPPENHEIMER GLOBAL VALUE FUND CL C BUY 0 Units @0.0000	0.00	13.55	0.00	13.55	0.0	0.00
03/31/2018	***-**-1944 - BEHA, JAMES ACCOUNT #: 04120615032	OPPENHEIMER GOLD & SPECIAL MINERALS BUY 0 Units @0.0000	0.00	1.56	0.00	1.56	0.0	0.00
03/31/2018	***-**-31IR - HARTZ, CLAUDIA ACCOUNT #: 04120821381	OPPENHEIMER GOLD & SPECIAL MINERALS BUY 0 Units @0.0000	0.00	0.36	0.00	0.36	0.0	0.00
03/31/2018	***-**-96IN - NESSIA, BONNIE ACCOUNT #: 08822034824	OPPENHEIMER INT'L BOND CLASS C BUY 0 Units @0.0000	0.00	5.28	0.00	5.28	0.0	0.00
03/31/2018	***-**-973I - LABAYEWSKI, ACCOUNT #: 01952877039	OPPENHEIMER INTERNATIONAL DIVERSIFI BUY 0 Units @0.0000	0.00	2.20	0.00	2.20	0.0	0.00
03/31/2018	***-**-633J - ACCOUNT #: 01953330426	OPPENHEIMER INTERNATIONAL DIVERSIFI BUY 0 Units @0.0000	0.00	2.38	0.00	2.38	0.0	0.00
03/31/2018	***-**-48JT - LEE, DARLENE ACCOUNT #: 01971019612	OPPENHEIMER INTERNATIONAL DIVERSIFI BUY 0 Units @0.0000	0.00	4.73	0.00	4.73	0.0	0.00
03/31/2018	***-**-14IN - LINES, JUDITH ACCOUNT #: 01971035265	OPPENHEIMER INTERNATIONAL DIVERSIFI BUY 0 Units @0.0000	0.00	12.82	0.00	12.82	0.0	0.00
03/31/2018	***-**-96IN - NESSIA, BONNIE ACCOUNT #: 08170371459	OPPENHEIMER INTERNATIONAL SMALL COM BUY 0 Units @0.0000	0.00	19.00	0.00	19.00	0.0	0.00
03/31/2018	***-**-31IR - HARTZ, CLAUDIA ACCOUNT #: 08170372680	OPPENHEIMER INTERNATIONAL SMALL COM BUY 0 Units @0.0000	0.00	11.13	0.00	11.13	0.0	0.00
03/31/2018	***-**-31IO - WILLIAMSON, FBO ACCOUNT #: 08170406615	OPPENHEIMER INTERNATIONAL SMALL COM BUY 0 Units @0.0000	0.00	3.67	0.00	3.67	0.0	0.00
03/31/2018	***-**-5375 - CARTER, LISA ACCOUNT #: 08811178738	OPPENHEIMER INTL BOND CLASS B BUY 0 Units @0.0000	0.00	0.30	0.00	0.30	0.0	0.00
03/31/2018	***-**-391I - MASTRANGELO, ACCOUNT #: 08811186460	OPPENHEIMER INTL BOND CLASS B BUY 0 Units @0.0000	0.00	0.05	0.00	0.05	0.0	0.00
03/31/2018	***-**-0767 - DOVI, ACCOUNT #: 08477584335	OPPENHEIMER MAIN STREET SMALL CAP F BUY 0 Units @0.0000	0.00	0.68	0.00	0.68	0.0	0.00
03/31/2018	***-**-973I - LABAYEWSKI, ACCOUNT #: 08477272342	OPPENHEIMER MAIN STREET SMALL CAP F BUY 0 Units @0.0000	0.00	1.39	0.00	1.39	0.0	0.00



COMMISSION STATEMENT

April 16, 2018

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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)								
03/31/2018	***-**-0767 - DOVI, ACCOUNT #: 08477584467	OPPENHEIMER MAIN STREET SMALL CAP F BUY 0 Units @0.0000	0.00	3.72	0.00	3.72	0.0	0.00
03/31/2018	***-**-391I - MASTRANGELO, ACCOUNT #: 08477604212	OPPENHEIMER MAIN STREET SMALL CAP F BUY 0 Units @0.0000	0.00	11.17	0.00	11.17	0.0	0.00
03/31/2018	***-**-31IR - HARTZ, CLAUDIA ACCOUNT #: 08477648025	OPPENHEIMER MAIN STREET SMALL CAP F BUY 0 Units @0.0000	0.00	2.47	0.00	2.47	0.0	0.00
03/31/2018	***-**-31IR - HARTZ, CLAUDIA ACCOUNT #: 08491519782	OPPENHEIMER MAIN STREET SMALL CAP F BUY 0 Units @0.0000	0.00	9.10	0.00	9.10	0.0	0.00
03/31/2018	***-**-5375 - CARTER, LISA ACCOUNT #: 08477656715	OPPENHEIMER MAIN STREET SMALL CAP F BUY 0 Units @0.0000	0.00	2.24	0.00	2.24	0.0	0.00
03/31/2018	***-**-1944 - BEHA, JAMES ACCOUNT #: 02270678062	OPPENHEIMER RISING DIVIDENDS FUND C BUY 0 Units @0.0000	0.00	16.16	0.00	16.16	0.0	0.00
03/31/2018	***-**-78IN - FALES, JOAN ACCOUNT #: 02270934868	OPPENHEIMER RISING DIVIDENDS FUND C BUY 0 Units @0.0000	0.00	2.41	0.00	2.41	0.0	0.00
03/31/2018	***-**-524I - SCALISE, JOSEPH ACCOUNT #: 02270938278	OPPENHEIMER RISING DIVIDENDS FUND C BUY 0 Units @0.0000	0.00	7.18	0.00	7.18	0.0	0.00
03/31/2018	***-**-31IR - HARTZ, CLAUDIA ACCOUNT #: 02270952072	OPPENHEIMER RISING DIVIDENDS FUND C BUY 0 Units @0.0000	0.00	12.48	0.00	12.48	0.0	0.00
03/31/2018	***-**-96IN - NESSIA, BONNIE ACCOUNT #: 02271140183	OPPENHEIMER RISING DIVIDENDS FUND C BUY 0 Units @0.0000	0.00	2.72	0.00	2.72	0.0	0.00
03/31/2018	***-**-69IN - EVANS, PAUL ACCOUNT #: 02913850561	OPPENHEIMER SENIOR FLOATING RATE CL BUY 0 Units @0.0000	0.00	1.21	0.00	1.21	0.0	0.00
03/31/2018	***-**-84IN - WARMUTH, ERIC ACCOUNT #: 02510094556	OPPENHEIMER SMALL & MID CAP VALUE F BUY 0 Units @0.0000	0.00	10.68	0.00	10.68	0.0	0.00
03/31/2018	***-**-237I - MCCLUSKY, MARK ACCOUNT #: 02514976004	OPPENHEIMER SMALL & MID CAP VALUE F BUY 0 Units @0.0000	0.00	2.80	0.00	2.80	0.0	0.00
03/31/2018	***-**-3749 - DEPEYSTER, ACCOUNT #: 02514983539	OPPENHEIMER SMALL & MID CAP VALUE F BUY 0 Units @0.0000	0.00	1.18	0.00	1.18	0.0	0.00
03/31/2018	***-**-633J - ACCOUNT #: 02514987422	OPPENHEIMER SMALL & MID CAP VALUE F BUY 0 Units @0.0000	0.00	2.23	0.00	2.23	0.0	0.00
03/31/2018	***-**-0767 - DOVI, ACCOUNT #: 02515003240	OPPENHEIMER SMALL & MID CAP VALUE F BUY 0 Units @0.0000	0.00	1.15	0.00	1.15	0.0	0.00



COMMISSION STATEMENT

April 16, 2018

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BRANCH #01047 - 47 - GRIFFITH

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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
03/31/2018	***-**-0069 - KRECIDLO, ACCOUNT #: 02515019080	OPPENHEIMER SMALL & MID CAP VALUE F BUY 0 Units @0.0000	0.00	2.33	0.00	2.33	0.0	0.00
03/31/2018	***-**-960I - MASTRANGELO, ACCOUNT #: 02515019168	OPPENHEIMER SMALL & MID CAP VALUE F BUY 0 Units @0.0000	0.00	0.97	0.00	0.97	0.0	0.00
03/31/2018	***-**-1491 - GUNN, EDWARD ACCOUNT #: 02515033226	OPPENHEIMER SMALL & MID CAP VALUE F BUY 0 Units @0.0000	0.00	3.70	0.00	3.70	0.0	0.00
03/31/2018	***-**-09IN - BATES, CHRISTINE ACCOUNT #: 02515036889	OPPENHEIMER SMALL & MID CAP VALUE F BUY 0 Units @0.0000	0.00	8.21	0.00	8.21	0.0	0.00
03/31/2018	***-**-2603 - MASTRANGELO, ACCOUNT #: 02515041168	OPPENHEIMER SMALL & MID CAP VALUE F BUY 0 Units @0.0000	0.00	1.25	0.00	1.25	0.0	0.00
03/31/2018	***-**-69IN - EVANS, PAUL ACCOUNT #: 02515049715	OPPENHEIMER SMALL & MID CAP VALUE F BUY 0 Units @0.0000	0.00	1.26	0.00	1.26	0.0	0.00
03/31/2018	***-**-5375 - CARTER, LISA ACCOUNT #: 02515060110	OPPENHEIMER SMALL & MID CAP VALUE F BUY 0 Units @0.0000	0.00	1.11	0.00	1.11	0.0	0.00
03/31/2018	***-**-973I - LABAYEWSKI, ACCOUNT #: 00100661541	OPPENHEIMER STEELPATH MLP INC.FND C BUY 0 Units @0.0000	0.00	0.87	0.00	0.87	0.0	0.00
03/31/2018	***-**-391I - MASTRANGELO, ACCOUNT #: 02307298712	OPPENHEIMER STRATEGIC INCOME FD CL BUY 0 Units @0.0000	0.00	5.98	0.00	5.98	0.0	0.00
03/31/2018	***-**-391I - MASTRANGELO, ACCOUNT #: 02317093174	OPPENHEIMER STRATEGIC INCOME FUND C BUY 0 Units @0.0000	0.00	0.05	0.00	0.05	0.0	0.00
03/31/2018	***-**-0767 - DOVI, ACCOUNT #: 02203626810	OPPENHEIMER U.S. GOVT TR CLASS A BUY 0 Units @0.0000	0.00	1.08	0.00	1.08	0.0	0.00
03/31/2018	***-**-524I - SCALISE, JOSEPH ACCOUNT #: 02203662824	OPPENHEIMER U.S. GOVT TR CLASS A BUY 0 Units @0.0000	0.00	0.34	0.00	0.34	0.0	0.00
03/31/2018	***-**-5375 - CARTER, LISA ACCOUNT #: 02203678653	OPPENHEIMER U.S. GOVT TR CLASS A BUY 0 Units @0.0000	0.00	0.59	0.00	0.59	0.0	0.00
03/31/2018	***-**-31IO - WILLIAMSON, FBO ACCOUNT #: 00100355609	OPPENHEIMERSTEELPATH MLP INCOME CL BUY 0 Units @0.0000	0.00	2.88	0.00	2.88	0.0	0.00
03/31/2018	***-**-31IO - WILLIAMSON, FBO ACCOUNT #: 05420233365	PORT SERIES: CONS INV C BUY 0 Units @0.0000	0.00	4.17	0.00	4.17	0.0	0.00
04/16/2018	***-**-07IO - FAMOLARO, JAMES ACCOUNT #: LSR011280	PRUDENTIAL JENNISON 20/20 FOCUS CLA BUY 1 Units @0.0000	0.00	3.28	0.00	3.28	0.0	0.00



COMMISSION STATEMENT

April 16, 2018

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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
04/16/2018	***-**-254I - AUGUSTINE, LINDA	PRUDENTIAL JENNISON NATURAL RESOURC	0.00	0.35	0.00	0.35	0.0	0.00
	ACCOUNT #: LSR010846	BUY 1 Units @0.0000						
04/16/2018	***-**-15IN - PENDRAK, JOHN	PRUDENTIAL JENNISON NATURAL RESOURC	0.00	2.42	0.00	2.42	0.0	0.00
	ACCOUNT #: LSR010948	BUY 1 Units @0.0000						
04/16/2018	***-**-366S - GRUENEWALD,	PRUDENTIAL JENNISON NATURAL RESOURC	0.00	0.32	0.00	0.32	0.0	0.00
	ACCOUNT #: LSR010990	BUY 1 Units @0.0000						
04/16/2018	***-**-944O - MAYO, DEBORAH	PRUDENTIAL JENNISON NATURAL RESOURC	0.00	0.30	0.00	0.30	0.0	0.00
	ACCOUNT #: LSR011035	BUY 1 Units @0.0000						
04/16/2018	***-**-861I - SANGER, LAWRENCE	PRUDENTIAL JENNISON NATURAL RESOURC	0.00	0.53	0.00	0.53	0.0	0.00
	ACCOUNT #: LSR011095	BUY 1 Units @0.0000						
04/16/2018	***-**-128I - BASHANT, THOMAS	PRUDENTIAL JENNISON NATURAL RESOURC	0.00	0.33	0.00	0.33	0.0	0.00
	ACCOUNT #: LSR011387	BUY 1 Units @0.0000						
04/16/2018	***-**-30TR - AND SANDRA	PRUDENTIAL JENNISON NATURAL RESOURC	0.00	0.52	0.00	0.52	0.0	0.00
	ACCOUNT #: LSR011939	BUY 1 Units @0.0000						
04/16/2018	***-**-254I - AUGUSTINE, LINDA	PRUDENTIAL JENNISON NATURAL RESOURC	0.00	0.13	0.00	0.13	0.0	0.00
	ACCOUNT #: LSR010846	BUY 1 Units @0.0000						
04/16/2018	***-**-15IN - PENDRAK, JOHN	PRUDENTIAL JENNISON NATURAL RESOURC	0.00	0.06	0.00	0.06	0.0	0.00
	ACCOUNT #: LSR010948	BUY 1 Units @0.0000						
04/16/2018	***-**-944O - MAYO, DEBORAH	PRUDENTIAL JENNISON NATURAL RESOURC	0.00	0.11	0.00	0.11	0.0	0.00
	ACCOUNT #: LSR011035	BUY 1 Units @0.0000						
04/02/2018	***-**-111J - NESSIA, JAMES	PUTNAM 1	0.00	1.05	0.00	1.05	0.0	0.00
	ACCOUNT #: 00551414554	BUY 0 Units @0.0000						
04/02/2018	***-**-12IN - GORMAN, MELINDA	PUTNAM ABSOLUTE RETURN 700 CL B	0.00	0.62	0.00	0.62	0.0	0.00
	ACCOUNT #: 00551376109	BUY 0 Units @0.0000						
04/02/2018	***-**-63IN - LASCALA, DEBORAH	PUTNAM ABSOLUTE RETURN 700-A	0.00	1.49	0.00	1.49	0.0	0.00
	ACCOUNT #: 00426855622	BUY 0 Units @0.0000						
04/02/2018	***-**-49IN - GUARDI, LINDA	PUTNAM ABSOLUTE RETURN 700-A	0.00	0.50	0.00	0.50	0.0	0.00
	ACCOUNT #: 00551372654	BUY 0 Units @0.0000						
04/02/2018	***-**-756I - HUSTON, JOUANA	PUTNAM ASSET ALLOC GROWTH-A	0.00	11.10	0.00	11.10	0.0	0.00
	ACCOUNT #: 00550220530	BUY 0 Units @0.0000						
04/02/2018	***-**-12IN - GORMAN, MELINDA	PUTNAM CAPITAL SPECTRUM FD CL B	0.00	1.17	0.00	1.17	0.0	0.00
	ACCOUNT #: 00551376109	BUY 0 Units @0.0000						



COMMISSION STATEMENT

April 16, 2018

KURT GRUENEWALD
2108 Genesee St.
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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)								
04/02/2018	***-**-111J - NESSIA, JAMES	PUTNAM CAPITAL SPECTRUM FD CL B	0.00	1.18	0.00	1.18	0.0	0.00
	ACCOUNT #: 00551414554	BUY 0 Units @0.0000						
04/02/2018	***-**-49IN - GUARDI, LINDA	PUTNAM CAPITAL SPECTRUM FUND CL A	0.00	0.95	0.00	0.95	0.0	0.00
	ACCOUNT #: 00551372654	BUY 0 Units @0.0000						
04/02/2018	***-**-49IN - GUARDI, LINDA	PUTNAM DIVERSIFIED INCOME FUND CLAS	0.00	0.65	0.00	0.65	0.0	0.00
	ACCOUNT #: 00551372654	BUY 0 Units @0.0000						
04/02/2018	***-**-63IN - LASCALA, DEBORAH	PUTNAM EQUITY INCOME FUND-A	0.00	2.51	0.00	2.51	0.0	0.00
	ACCOUNT #: 00426855622	BUY 0 Units @0.0000						
04/02/2018	***-**-111J - NESSIA, JAMES	PUTNAM GLOBAL CONSUMER FUND CL B	0.00	0.80	0.00	0.80	0.0	0.00
	ACCOUNT #: 00551414554	BUY 0 Units @0.0000						
04/02/2018	***-**-63IN - LASCALA, DEBORAH	PUTNAM GLOBAL EQUITY FUND CLASS A	0.00	2.29	0.00	2.29	0.0	0.00
	ACCOUNT #: 00426855622	BUY 0 Units @0.0000						
04/02/2018	***-**-49IN - GUARDI, LINDA	PUTNAM GLOBAL HEALTH CARE FD-A	0.00	0.76	0.00	0.76	0.0	0.00
	ACCOUNT #: 00551372654	BUY 0 Units @0.0000						
04/02/2018	***-**-12IN - GORMAN, MELINDA	PUTNAM GLOBAL TECHNOLOGY CL B	0.00	1.20	0.00	1.20	0.0	0.00
	ACCOUNT #: 00551376109	BUY 0 Units @0.0000						
04/02/2018	***-**-49IN - GUARDI, LINDA	PUTNAM GLOBAL TECHNOLOGY FUND CL A	0.00	1.31	0.00	1.31	0.0	0.00
	ACCOUNT #: 00551372654	BUY 0 Units @0.0000						
04/02/2018	***-**-63IN - LASCALA, DEBORAH	PUTNAM GLOBAL UTILITIES CL C	0.00	7.59	0.00	7.59	0.0	0.00
	ACCOUNT #: 00426855622	BUY 0 Units @0.0000						
04/02/2018	***-**-28IN - BYWATER, KIM	PUTNAM GROWTH OPPORTUNITIES FD CL A	0.00	6.37	0.00	6.37	0.0	0.00
	ACCOUNT #: 00392501050	BUY 0 Units @0.0000						
04/02/2018	***-**-12IN - GORMAN, MELINDA	PUTNAM HEALTH SCIENCES TR-B	0.00	1.07	0.00	1.07	0.0	0.00
	ACCOUNT #: 00551376109	BUY 0 Units @0.0000						
04/02/2018	***-**-111J - NESSIA, JAMES	PUTNAM HEALTH SCIENCES TR-B	0.00	0.61	0.00	0.61	0.0	0.00
	ACCOUNT #: 00551414554	BUY 0 Units @0.0000						
04/02/2018	***-**-49IN - GUARDI, LINDA	PUTNAM INTL GROWTH & INC-A	0.00	0.33	0.00	0.33	0.0	0.00
	ACCOUNT #: 00551372654	BUY 0 Units @0.0000						
04/02/2018	***-**-12IN - GORMAN, MELINDA	PUTNAM INTL GROWTH & INC-B	0.00	1.21	0.00	1.21	0.0	0.00
	ACCOUNT #: 00551376109	BUY 0 Units @0.0000						
04/02/2018	***-**-91UT - BYWATER, CAROLYN	PUTNAM INVESTORS FUND-A	0.00	0.81	0.00	0.81	0.0	0.00
	ACCOUNT #: 00234174436	BUY 0 Units @0.0000						



COMMISSION STATEMENT

April 16, 2018

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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)								
04/02/2018	***-**-79UT - BYWATER, ACCOUNT #: 00234227769	PUTNAM INVESTORS FUND-A BUY 0 Units @0.0000	0.00	0.81	0.00	0.81	0.0	0.00
04/02/2018	***-**-28IN - BYWATER, KIM ACCOUNT #: 00392501050	PUTNAM INVESTORS FUND-A BUY 0 Units @0.0000	0.00	6.22	0.00	6.22	0.0	0.00
04/02/2018	***-**-63IN - LASCALA, DEBORAH ACCOUNT #: 00426855622	PUTNAM MID-CAP VALUE FUND-A BUY 0 Units @0.0000	0.00	2.55	0.00	2.55	0.0	0.00
04/02/2018	***-**-49IN - GUARDI, LINDA ACCOUNT #: 00551372654	PUTNAM SMALL CAP VALUE FUND-A BUY 0 Units @0.0000	0.00	0.78	0.00	0.78	0.0	0.00
04/02/2018	***-**-12IN - GORMAN, MELINDA ACCOUNT #: 00551376109	PUTNAM SMALL CAP VALUE FUND-B BUY 0 Units @0.0000	0.00	1.10	0.00	1.10	0.0	0.00
04/02/2018	***-**-49IN - GUARDI, LINDA ACCOUNT #: 00551372654	PUTNAM U.S. GOVT INCOME TR-A BUY 0 Units @0.0000	0.00	0.46	0.00	0.46	0.0	0.00
04/02/2018	***-**-12IN - GORMAN, MELINDA ACCOUNT #: 00551376109	PUTNAM U.S. GOVT INCOME TR-B BUY 0 Units @0.0000	0.00	0.56	0.00	0.56	0.0	0.00
04/16/2018	***-**-6404 - ASHRAF, MIRZA ACCOUNT #: IRK129327	QUALIFIED PLAN SUMMARY BUY 0 Units @0.0000	0.00	193.30	0.00	193.30	0.0	0.00
03/31/2018	***-**-0069 - KRECIDLO, ACCOUNT #: 02577505531	QUEST BALANCED A BUY 0 Units @0.0000	0.00	1.50	0.00	1.50	0.0	0.00
03/31/2018	***-**-69IN - EVANS, PAUL ACCOUNT #: 02577810451	QUEST BALANCED A BUY 0 Units @0.0000	0.00	0.92	0.00	0.92	0.0	0.00
03/31/2018	***-**-78IN - FALES, JOAN ACCOUNT #: 02592293104	QUEST BALANCED FUND C BUY 0 Units @0.0000	0.00	2.07	0.00	2.07	0.0	0.00
03/31/2018	***-**-14IN - LINES, JUDITH ACCOUNT #: 02592297625	QUEST BALANCED FUND C BUY 0 Units @0.0000	0.00	4.46	0.00	4.46	0.0	0.00
03/31/2018	***-**-84IN - WARMUTH, ERIC ACCOUNT #: 02540085811	QUEST INTERNATIONAL VALUE FUND, INC BUY 0 Units @0.0000	0.00	6.49	0.00	6.49	0.0	0.00
03/31/2018	***-**-84IN - WARMUTH, ERIC ACCOUNT #: 02361010152	QUEST OPPORTUNITY VALUE A BUY 0 Units @0.0000	0.00	8.21	0.00	8.21	0.0	0.00
03/31/2018	***-**-973I - LABAYEWSKI, ACCOUNT #: 05901046408	REAL ESTATE FUND A BUY 0 Units @0.0000	0.00	0.47	0.00	0.47	0.0	0.00
03/31/2018	***-**-237I - MCCLUSKY, MARK ACCOUNT #: 05901256948	REAL ESTATE FUND A BUY 0 Units @0.0000	0.00	2.49	0.00	2.49	0.0	0.00



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)								
03/31/2018	***-**-3749 - DEPEYSTER, ACCOUNT #: 05901261997	REAL ESTATE FUND A BUY 0 Units @0.0000	0.00	1.07	0.00	1.07	0.0	0.00
03/31/2018	***-**-0767 - DOVI, ACCOUNT #: 05901273712	REAL ESTATE FUND A BUY 0 Units @0.0000	0.00	0.97	0.00	0.97	0.0	0.00
03/31/2018	***-**-0069 - KRECIDLO, ACCOUNT #: 05901284228	REAL ESTATE FUND A BUY 0 Units @0.0000	0.00	0.91	0.00	0.91	0.0	0.00
03/31/2018	***-**-960I - MASTRANGELO, ACCOUNT #: 05901284382	REAL ESTATE FUND A BUY 0 Units @0.0000	0.00	0.57	0.00	0.57	0.0	0.00
03/31/2018	***-**-1491 - GUNN, EDWARD ACCOUNT #: 05901293732	REAL ESTATE FUND A BUY 0 Units @0.0000	0.00	1.06	0.00	1.06	0.0	0.00
03/31/2018	***-**-09IN - BATES, CHRISTINE ACCOUNT #: 05901296141	REAL ESTATE FUND A BUY 0 Units @0.0000	0.00	4.64	0.00	4.64	0.0	0.00
03/31/2018	***-**-2603 - MASTRANGELO, ACCOUNT #: 05901298583	REAL ESTATE FUND A BUY 0 Units @0.0000	0.00	1.03	0.00	1.03	0.0	0.00
03/31/2018	***-**-69IN - EVANS, PAUL ACCOUNT #: 05901303665	REAL ESTATE FUND A BUY 0 Units @0.0000	0.00	1.03	0.00	1.03	0.0	0.00
03/31/2018	***-**-5375 - CARTER, LISA ACCOUNT #: 05901309693	REAL ESTATE FUND A BUY 0 Units @0.0000	0.00	0.50	0.00	0.50	0.0	0.00
03/31/2018	***-**-391I - MASTRANGELO, ACCOUNT #: 05901309748	REAL ESTATE FUND A BUY 0 Units @0.0000	0.00	3.81	0.00	3.81	0.0	0.00
03/31/2018	***-**-0069 - KRECIDLO, ACCOUNT #: 05910195855	REAL ESTATE FUND B BUY 0 Units @0.0000	0.00	0.31	0.00	0.31	0.0	0.00
03/31/2018	***-**-5375 - CARTER, LISA ACCOUNT #: 05910204314	REAL ESTATE FUND B BUY 0 Units @0.0000	0.00	0.41	0.00	0.41	0.0	0.00
03/31/2018	***-**-391I - MASTRANGELO, ACCOUNT #: 05910207031	REAL ESTATE FUND B BUY 0 Units @0.0000	0.00	0.05	0.00	0.05	0.0	0.00
03/31/2018	***-**-1944 - BEHA, JAMES ACCOUNT #: 05920222255	REAL ESTATE FUND C BUY 0 Units @0.0000	0.00	5.06	0.00	5.06	0.0	0.00
03/31/2018	***-**-78IN - FALES, JOAN ACCOUNT #: 05920299178	REAL ESTATE FUND C BUY 0 Units @0.0000	0.00	1.07	0.00	1.07	0.0	0.00
03/31/2018	***-**-14IN - LINES, JUDITH ACCOUNT #: 05920329857	REAL ESTATE FUND C BUY 0 Units @0.0000	0.00	5.75	0.00	5.75	0.0	0.00



COMMISSION STATEMENT

April 16, 2018

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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)								
03/31/2018	***-**-84IN - WARMUTH, ERIC	RISING DIVIDENDS FUND A	0.00	3.49	0.00	3.49	0.0	0.00
	ACCOUNT #: 02252765829	BUY 0 Units @0.0000						
03/31/2018	***-**-973I - LABAYEWSKI,	RISING DIVIDENDS FUND A	0.00	1.35	0.00	1.35	0.0	0.00
	ACCOUNT #: 02254172036	BUY 0 Units @0.0000						
03/31/2018	***-**-237I - MCCLUSKY, MARK	RISING DIVIDENDS FUND A	0.00	3.36	0.00	3.36	0.0	0.00
	ACCOUNT #: 02254670435	BUY 0 Units @0.0000						
03/31/2018	***-**-3749 - DEPEYSTER,	RISING DIVIDENDS FUND A	0.00	1.20	0.00	1.20	0.0	0.00
	ACCOUNT #: 02254680236	BUY 0 Units @0.0000						
03/31/2018	***-**-0767 - DOVI,	RISING DIVIDENDS FUND A	0.00	1.53	0.00	1.53	0.0	0.00
	ACCOUNT #: 02254705239	BUY 0 Units @0.0000						
03/31/2018	***-**-0069 - KRECIDLO,	RISING DIVIDENDS FUND A	0.00	0.98	0.00	0.98	0.0	0.00
	ACCOUNT #: 02254728647	BUY 0 Units @0.0000						
03/31/2018	***-**-960I - MASTRANGELO,	RISING DIVIDENDS FUND A	0.00	1.34	0.00	1.34	0.0	0.00
	ACCOUNT #: 02254729032	BUY 0 Units @0.0000						
03/31/2018	***-**-09IN - BATES, CHRISTINE	RISING DIVIDENDS FUND A	0.00	11.79	0.00	11.79	0.0	0.00
	ACCOUNT #: 02254763429	BUY 0 Units @0.0000						
03/31/2018	***-**-2603 - MASTRANGELO,	RISING DIVIDENDS FUND A	0.00	1.20	0.00	1.20	0.0	0.00
	ACCOUNT #: 02254772636	BUY 0 Units @0.0000						
03/31/2018	***-**-524I - SCALISE, JOSEPH	RISING DIVIDENDS FUND A	0.00	0.65	0.00	0.65	0.0	0.00
	ACCOUNT #: 02254781183	BUY 0 Units @0.0000						
03/31/2018	***-**-391I - MASTRANGELO,	RISING DIVIDENDS FUND A	0.00	12.51	0.00	12.51	0.0	0.00
	ACCOUNT #: 02254799399	BUY 0 Units @0.0000						
03/31/2018	***-**-31IR - HARTZ, CLAUDIA	RISING DIVIDENDS FUND A	0.00	3.97	0.00	3.97	0.0	0.00
	ACCOUNT #: 02254799421	BUY 0 Units @0.0000						
03/31/2018	***-**-5375 - CARTER, LISA	RISING DIVIDENDS FUND A	0.00	1.07	0.00	1.07	0.0	0.00
	ACCOUNT #: 02254813776	BUY 0 Units @0.0000						
03/31/2018	***-**-0069 - KRECIDLO,	RISING DIVIDENDS FUND, INC. B	0.00	0.41	0.00	0.41	0.0	0.00
	ACCOUNT #: 02261702844	BUY 0 Units @0.0000						
03/31/2018	***-**-5375 - CARTER, LISA	RISING DIVIDENDS FUND, INC. B	0.00	1.57	0.00	1.57	0.0	0.00
	ACCOUNT #: 02261749935	BUY 0 Units @0.0000						
03/31/2018	***-**-524I - SCALISE, JOSEPH	RISING DIVIDENDS FUND, INC. B	0.00	1.99	0.00	1.99	0.0	0.00
	ACCOUNT #: 02261752014	BUY 0 Units @0.0000						



COMMISSION STATEMENT

April 16, 2018

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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
03/31/2018	***-**-391I - MASTRANGELO, ACCOUNT #: 02261762079	RISING DIVIDENDS FUND, INC. B BUY 0 Units @0.0000	0.00	0.12	0.00	0.12	0.0	0.00
03/31/2018	***-**-31IR - HARTZ, CLAUDIA ACCOUNT #: 02261762112	RISING DIVIDENDS FUND, INC. B BUY 0 Units @0.0000	0.00	0.02	0.00	0.02	0.0	0.00
03/31/2018	***-**-53RI - FALCHI, VALERIE ACCOUNT #: 03551357917	ROCH. LIMITED TERM NEW YORK MUNICIP BUY 0 Units @0.0000	0.00	0.68	0.00	0.68	0.0	0.00
03/31/2018	***-**-3749 - DEPEYSTER, ACCOUNT #: 03551386715	ROCH. LIMITED TERM NEW YORK MUNICIP BUY 0 Units @0.0000	0.00	0.65	0.00	0.65	0.0	0.00
03/31/2018	***-**-78IN - FALES, JOAN ACCOUNT #: 03570632181	ROCH. LIMITED TERM NEW YORK MUNICIP BUY 0 Units @0.0000	0.00	1.42	0.00	1.42	0.0	0.00
03/31/2018	***-**-14IN - LINES, JUDITH ACCOUNT #: 03570635811	ROCH. LIMITED TERM NEW YORK MUNICIP BUY 0 Units @0.0000	0.00	5.09	0.00	5.09	0.0	0.00
03/31/2018	***-**-78IN - FALES, JOAN ACCOUNT #: 02931809830	SENIOR FLOATING RATE FUND C BUY 0 Units @0.0000	0.00	1.29	0.00	1.29	0.0	0.00
03/31/2018	***-**-96IN - NESSIA, BONNIE ACCOUNT #: 02931827254	SENIOR FLOATING RATE FUND C BUY 0 Units @0.0000	0.00	6.44	0.00	6.44	0.0	0.00
03/31/2018	***-**-14IN - LINES, JUDITH ACCOUNT #: 02931832127	SENIOR FLOATING RATE FUND C BUY 0 Units @0.0000	0.00	8.78	0.00	8.78	0.0	0.00
03/31/2018	***-**-31IO - WILLIAMSON, FBO ACCOUNT #: 07230230516	SMALL & MID-CAP GRWTH FND C BUY 0 Units @0.0000	0.00	3.66	0.00	3.66	0.0	0.00
03/31/2018	***-**-0069 - KRECIDLO, ACCOUNT #: 02521484681	SMALL- & MID- CAP VALUE B BUY 0 Units @0.0000	0.00	1.21	0.00	1.21	0.0	0.00
03/31/2018	***-**-5375 - CARTER, LISA ACCOUNT #: 02521508133	SMALL- & MID- CAP VALUE B BUY 0 Units @0.0000	0.00	0.61	0.00	0.61	0.0	0.00
03/31/2018	***-**-1944 - BEHA, JAMES ACCOUNT #: 02531057771	SMALL- & MID- CAP VALUE FUND C BUY 0 Units @0.0000	0.00	14.70	0.00	14.70	0.0	0.00
03/31/2018	***-**-78IN - FALES, JOAN ACCOUNT #: 02322752145	STRATEGIC INCOME FUND C BUY 0 Units @0.0000	0.00	1.61	0.00	1.61	0.0	0.00
03/31/2018	***-**-14IN - LINES, JUDITH ACCOUNT #: 02322774145	STRATEGIC INCOME FUND C BUY 0 Units @0.0000	0.00	3.53	0.00	3.53	0.0	0.00
04/16/2018	***-**-86IN - LEE, KEVIN ACCOUNT #: LSR011613	TEMPLETON GLOBAL BOND FUND - CLASS BUY 1 Units @0.0000	0.00	3.92	0.00	3.92	0.0	0.00



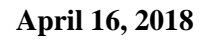
COMMISSION STATEMENT

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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)								
03/31/2018	***-**-5375 - CARTER, LISA	U.S. GOVERNMENT TRUST B	0.00	0.01	0.00	0.01	0.0	0.00
	ACCOUNT #: 02211109251	BUY 0 Units @0.0000						
03/31/2018	***-**-524I - SCALISE, JOSEPH	U.S. GOVERNMENT TRUST B	0.00	0.29	0.00	0.29	0.0	0.00
	ACCOUNT #: 02211110318	BUY 0 Units @0.0000						
03/31/2018	***-**-524I - SCALISE, JOSEPH	U.S. GOVERNMENT TRUST C	0.00	4.20	0.00	4.20	0.0	0.00
	ACCOUNT #: 02220585310	BUY 0 Units @0.0000						
04/16/2018	***-**-71IO - FAMOLARO, JAMES	VAN KAMPEN9	0.00	0.26	0.00	0.26	0.0	0.00
	ACCOUNT #: LSR011279	BUY 1 Units @0.0000						
04/16/2018	***-**-07IO - FAMOLARO, JAMES	WELLS FARGO ASSET ALLOCATION CL A	0.00	3.11	0.00	3.11	0.0	0.00
	ACCOUNT #: LSR011280	BUY 1 Units @0.0000						
04/16/2018	***-**-07IO - FAMOLARO, JAMES	WELLS FARGO GLOBAL OPPT FD CL A	0.00	1.41	0.00	1.41	0.0	0.00
	ACCOUNT #: LSR011280	BUY 1 Units @0.0000						
04/16/2018	***-**-680I - HARRELL, DARYL	WELLS FARGO SPECIALIZED TECH A	0.00	1.95	0.00	1.95	0.0	0.00
	ACCOUNT #: LSR011321	BUY 1 Units @0.0000						
04/16/2018	***-**-680I - HARRELL, DARYL	WELLS FARGO UTILITY TELECOM CL A	0.00	1.31	0.00	1.31	0.0	0.00
	ACCOUNT #: LSR011321	BUY 1 Units @0.0000						
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *			\$0.00	\$1,498.39	\$0.00	\$1,498.39		\$0.00
*** BROKER TRANSACTIONS TOTAL ***			\$65,537.99	\$3,082.53	\$162.00	\$2,920.53		\$0.00



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				GROSS	CLEARING	NET	BROKER	
DATE	CLIENT	INVESTMENT	AMOUNT	COMMISSION	CHARGE	COMMISSION	RATE	COMMISSION
						<u>BROKER COMMISSION TOTALS</u>		
						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		\$-127.17
						FINRA Assessment		\$0.00
						SIPC Assessment		\$0.00
Please Retain for Your Records THERE WILL BE NO PAYMENT THIS PERIOD						Balance Forward		\$-127.17
						Year-to-date Earnings		\$0.00