



# COMMISSION STATEMENT

## January 15, 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
<b><u>BROKER TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: MUTUAL FUNDS</u></b>								
01/05/2018	***-**-35IN - RUGGIERO, LAURIE	AMERICAN GLOBAL BALANCED CL C	8,500.01	103.00	18.00	85.00	0.0	0.00
	ACCOUNT #: LSR012314	BUY 258 Units @32.9500						
01/05/2018	***-**-35IN - RUGGIERO, LAURIE	EATON VANCE FLOATING RATE ADVANTAGE	5,500.00	73.00	18.00	55.00	0.0	0.00
	ACCOUNT #: LSR012314	BUY 506 Units @10.8800						
01/08/2018	***-**-45IO - JOHNSON, GREGORY	FRK GROWTH OPPORTUNITIES CL C	8,499.99	19.99	18.00	1.99	0.0	0.00
	ACCOUNT #: LSR011421	SELL 265 Units @32.0300						
01/05/2018	***-**-35IN - RUGGIERO, LAURIE	FUNDAMENTAL INVESTORS-C	6,999.99	88.00	18.00	70.00	0.0	0.00
	ACCOUNT #: LSR012314	BUY 110 Units @63.5600						
01/05/2018	***-**-35IN - RUGGIERO, LAURIE	MFS CONSERVATIVE ALLOCATION CL C	11,000.00	128.00	18.00	110.00	0.0	0.00
	ACCOUNT #: LSR012314	BUY 714 Units @15.4100						
01/05/2018	***-**-35IN - RUGGIERO, LAURIE	MFS DIVERSIFIED INCOME FD CL C	6,999.99	7,070.00	18.00	7,052.00	0.0	0.00
	ACCOUNT #: LSR012314	BUY 557 Units @12.5700						
01/05/2018	***-**-35IN - RUGGIERO, LAURIE	MFS DIVERSIFIED INCOME FD CL C	-6,999.99	-7,070.00	-18.00	-7,052.00	0.0	0.00
	ACCOUNT #: LSR012314	CANCEL 557 Units @12.5700						
01/05/2018	***-**-35IN - RUGGIERO, LAURIE	MFS DIVERSIFIED INCOME FD CL C	6,999.99	70.00	18.00	52.00	0.0	0.00
	ACCOUNT #: LSR012314	BUY 557 Units @12.5700						
12/28/2017	***-**-13IN - RHYMESTINE,	MFS EMERGING MARKETS EQUITY FUND-B	50.00	2.00	0.00	2.00	0.0	0.00
	ACCOUNT #: 08191178476	BUY 2 Units @32.3200						
12/28/2017	***-**-13IN - RHYMESTINE,	MFS EMERGING MKT DEBT CL B	50.00	2.00	0.00	2.00	0.0	0.00
	ACCOUNT #: 08191178476	BUY 3 Units @15.1500						
12/28/2017	***-**-13IN - RHYMESTINE,	MFS INTERNATIONAL VALUE FUND-B	100.00	4.00	0.00	4.00	0.0	0.00
	ACCOUNT #: 08191178476	BUY 2 Units @41.1200						
01/05/2018	***-**-35IN - RUGGIERO, LAURIE	MFS TECHNOLOGY CLASS C	10,000.01	118.00	18.00	100.00	0.0	0.00
	ACCOUNT #: LSR012314	BUY 300 Units @33.2800						
12/28/2017	***-**-13IN - RHYMESTINE,	MFS TOTAL RETURN FUND-B	50.00	2.00	0.00	2.00	0.0	0.00
	ACCOUNT #: 08191178476	BUY 3 Units @19.2100						
01/05/2018	***-**-35IN - RUGGIERO, LAURIE	MFS UTILITIES FUND-C	6,500.00	83.00	18.00	65.00	0.0	0.00
	ACCOUNT #: LSR012314	BUY 323 Units @20.1400						
<b>* MUTUAL FUNDS SUBTOTAL *</b>			<b>\$64,249.99</b>	<b>\$692.99</b>	<b>\$144.00</b>	<b>\$548.99</b>		<b>\$0.00</b>



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<b><u>BROKER TRANSACTIONS (continued)</u></b>								
<b><u>PRODUCT CATEGORY: STOCKS</u></b>								
01/05/2018	***-**-80IN - COBB, JAMES	SEADRILL LTD USD2 UNSOLICITED ORDER	26.00	2.94	17.00	-14.06	100.0	-14.06
	ACCOUNT #: LSR011042	SELL 100 Units @0.2600						
01/05/2018	***-**-80IN - COBB, JAMES	SEADRILL LTD USD2 UNSOLICITED ORDER	132.61	15.06	10.24	4.82	0.0	0.00
	ACCOUNT #: LSR011042	SELL 512 Units @0.2590						
* STOCKS SUBTOTAL *			<u>\$158.61</u>	<u>\$18.00</u>	<u>\$27.24</u>	<u>\$-9.24</u>		<u>\$-14.06</u>
<b><u>PRODUCT CATEGORY: 529 PLAN</u></b>								
01/15/2018	***-**-944O - MAYO, DEBORAH	NEW YORK 529 TRAILS	0.00	8.29	0.00	8.29	0.0	0.00
	ACCOUNT #: 77002217601	BUY 0 Units @0.0000						
01/15/2018	***-**-80IN - COBB, JAMES	NEW YORK 529 TRAILS	0.00	34.03	0.00	34.03	0.0	0.00
	ACCOUNT #: 77169961901	BUY 0 Units @0.0000						
01/15/2018	***-**-665P - MCCLUSKY, YVONNE	NEW YORK 529 TRAILS	0.00	0.57	0.00	0.57	0.0	0.00
	ACCOUNT #: 77237884701	BUY 0 Units @0.0000						
01/15/2018	***-**-0069 - KRECIDLO,	NEW YORK 529 TRAILS	0.00	2.02	0.00	2.02	0.0	0.00
	ACCOUNT #: 77308070501	BUY 0 Units @0.0000						
01/15/2018	***-**-614J - BUSHEY, MATTHEW	NEW YORK 529 TRAILS	0.00	3.04	0.00	3.04	0.0	0.00
		BUY 0 Units @0.0000						
01/15/2018	***-**-5384 - GURDO, JESSICA	NEW YORK 529 TRAILS	0.00	0.14	0.00	0.14	0.0	0.00
		BUY 0 Units @0.0000						
01/15/2018	***-**-0767 - DOVI,	NEW YORK 529 TRAILS	0.00	0.75	0.00	0.75	0.0	0.00
	ACCOUNT #: 77579193101	BUY 0 Units @0.0000						
01/15/2018	***-**-251I - SCALISE, MARY	NEW YORK 529 TRAILS	0.00	35.04	0.00	35.04	0.0	0.00
	ACCOUNT #: 77691153101	BUY 0 Units @0.0000						
01/15/2018	***-**-635P - LASCALA, DEBORAH	NEW YORK 529 TRAILS	0.00	1.58	0.00	1.58	0.0	0.00
	ACCOUNT #: 77699193301	BUY 0 Units @0.0000						
01/15/2018	***-**-065P - CAMPBELL, PAMELA	NEW YORK 529 TRAILS	0.00	0.77	0.00	0.77	0.0	0.00
	ACCOUNT #: 77830931201	BUY 0 Units @0.0000						
01/15/2018	***-**-473J - HUSTON,	NEW YORK 529 TRAILS	0.00	12.52	0.00	12.52	0.0	0.00
	ACCOUNT #: 77852732402	BUY 0 Units @0.0000						
01/15/2018	***-**-20IR - DEMETRI, AMELIA	NEW YORK 529 TRAILS	0.00	0.94	0.00	0.94	0.0	0.00
	ACCOUNT #: 77854436501	BUY 0 Units @0.0000						
01/15/2018	***-**-205P - RHYMESTINE, ERIC	NEW YORK 529 TRAILS	0.00	0.51	0.00	0.51	0.0	0.00
	ACCOUNT #: 77885699801	BUY 0 Units @0.0000						



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* 529 PLAN SUBTOTAL *			\$0.00	\$100.20	\$0.00	\$100.20		\$0.00
<b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</b>								
12/31/2017	***-**-84IN - WARMUTH, ERIC ACCOUNT #: 02703492687	CAPITAL APPRECIATION A BUY 0 Units @0.0000	0.00	5.09	0.00	5.09	0.0	0.00
12/31/2017	***-**-65CL - GRUENEWALD, K, ACCOUNT #: 03222414918	CAPITAL APPRECIATION C BUY 0 Units @0.0000	0.00	0.00	0.00	0.00	0.0	0.00
12/31/2017	***-**-84IN - WARMUTH, ERIC ACCOUNT #: 03450098560	CAPITAL INCOME A BUY 0 Units @0.0000	0.00	4.34	0.00	4.34	0.0	0.00
12/31/2017	***-**-391I - MASTRANGELO, ACCOUNT #: 07860944713	DEVELOPING MARKETS FUND B BUY 0 Units @0.0000	0.00	5.09	0.00	5.09	0.0	0.00
12/31/2017	***-**-5375 - CARTER, LISA ACCOUNT #: 07860983444	DEVELOPING MARKETS FUND B BUY 0 Units @0.0000	0.00	1.23	0.00	1.23	0.0	0.00
12/31/2017	***-**-524I - SCALISE, JOSEPH ACCOUNT #: 07860984830	DEVELOPING MARKETS FUND B BUY 0 Units @0.0000	0.00	0.77	0.00	0.77	0.0	0.00
12/31/2017	***-**-69IN - EVANS, PAUL ACCOUNT #: 07860987899	DEVELOPING MARKETS FUND B BUY 0 Units @0.0000	0.00	0.45	0.00	0.45	0.0	0.00
12/31/2017	***-**-31IR - HARTZ, CLAUDIA ACCOUNT #: 07860991188	DEVELOPING MARKETS FUND B BUY 0 Units @0.0000	0.00	1.47	0.00	1.47	0.0	0.00
12/31/2017	***-**-391I - MASTRANGELO, ACCOUNT #: 05011832864	DISCOVERY FUND B BUY 0 Units @0.0000	0.00	5.83	0.00	5.83	0.0	0.00
12/31/2017	***-**-96IN - NESSIA, BONNIE ACCOUNT #: 05020467148	DISCOVERY FUND C BUY 0 Units @0.0000	0.00	10.25	0.00	10.25	0.0	0.00
12/31/2017	***-**-973I - LABAYEWSKI, ACCOUNT #: 08352638471	EQUITY INCOME FUND, INC. A BUY 0 Units @0.0000	0.00	1.87	0.00	1.87	0.0	0.00
12/31/2017	***-**-633J - ACCOUNT #: 08353229688	EQUITY INCOME FUND, INC. A BUY 0 Units @0.0000	0.00	1.57	0.00	1.57	0.0	0.00
12/31/2017	***-**-0767 - DOVI, ACCOUNT #: 08353253965	EQUITY INCOME FUND, INC. A BUY 0 Units @0.0000	0.00	3.70	0.00	3.70	0.0	0.00
12/31/2017	***-**-0069 - KRECIDLO, ACCOUNT #: 08353280112	EQUITY INCOME FUND, INC. A BUY 0 Units @0.0000	0.00	1.91	0.00	1.91	0.0	0.00
12/31/2017	***-**-391I - MASTRANGELO, ACCOUNT #: 08353280530	EQUITY INCOME FUND, INC. A BUY 0 Units @0.0000	0.00	2.02	0.00	2.02	0.0	0.00
12/31/2017	***-**-09IN - BATES, CHRISTINE ACCOUNT #: 08353313343	EQUITY INCOME FUND, INC. A BUY 0 Units @0.0000	0.00	11.86	0.00	11.86	0.0	0.00
12/31/2017	***-**-31IR - HARTZ, CLAUDIA ACCOUNT #: 08353346563	EQUITY INCOME FUND, INC. A BUY 0 Units @0.0000	0.00	0.46	0.00	0.46	0.0	0.00



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<b>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b>								
12/31/2017	***-**-0069 - KRECIDLO, ACCOUNT #: 08360444037	EQUITY INCOME FUND, INC. B BUY 0 Units @0.0000	0.00	0.74	0.00	0.74	0.0	0.00
12/31/2017	***-**-391I - MASTRANGELO, ACCOUNT #: 08360447128	EQUITY INCOME FUND, INC. B BUY 0 Units @0.0000	0.00	10.39	0.00	10.39	0.0	0.00
12/31/2017	***-**-5375 - CARTER, LISA ACCOUNT #: 08360489654	EQUITY INCOME FUND, INC. B BUY 0 Units @0.0000	0.00	2.13	0.00	2.13	0.0	0.00
12/31/2017	***-**-31IR - HARTZ, CLAUDIA ACCOUNT #: 08360498366	EQUITY INCOME FUND, INC. B BUY 0 Units @0.0000	0.00	1.85	0.00	1.85	0.0	0.00
12/31/2017	***-**-28IN - BYWATER, KIM ACCOUNT #: 08370440000	EQUITY INCOME FUND, INC. C BUY 0 Units @0.0000	0.00	0.57	0.00	0.57	0.0	0.00
12/31/2017	***-**-78IN - FALES, JOAN ACCOUNT #: 08370484165	EQUITY INCOME FUND, INC. C BUY 0 Units @0.0000	0.00	1.24	0.00	1.24	0.0	0.00
12/31/2017	***-**-96IN - NESSIA, BONNIE ACCOUNT #: 08370494010	EQUITY INCOME FUND, INC. C BUY 0 Units @0.0000	0.00	20.41	0.00	20.41	0.0	0.00
12/31/2017	***-**-31IR - HARTZ, CLAUDIA ACCOUNT #: 08370502436	EQUITY INCOME FUND, INC. C BUY 0 Units @0.0000	0.00	8.37	0.00	8.37	0.0	0.00
12/31/2017	***-**-14IN - LINES, JUDITH ACCOUNT #: 08370570075	EQUITY INCOME FUND, INC. C BUY 0 Units @0.0000	0.00	11.33	0.00	11.33	0.0	0.00
12/31/2017	***-**-48JT - LEE, DARLENE ACCOUNT #: 08370750926	EQUITY INCOME FUND, INC. C BUY 0 Units @0.0000	0.00	3.36	0.00	3.36	0.0	0.00
12/31/2017	***-**-0069 - KRECIDLO, ACCOUNT #: 03307873373	GLOBAL FUND A BUY 0 Units @0.0000	0.00	2.39	0.00	2.39	0.0	0.00
12/31/2017	***-**-0069 - KRECIDLO, ACCOUNT #: 03316631251	GLOBAL FUND B BUY 0 Units @0.0000	0.00	1.22	0.00	1.22	0.0	0.00
12/31/2017	***-**-960I - MASTRANGELO, ACCOUNT #: 02158012400	GLOBAL OPPORTUNITIES A BUY 0 Units @0.0000	0.00	1.70	0.00	1.70	0.0	0.00
12/31/2017	***-**-149I - GUNN, EDWARD ACCOUNT #: 02158058303	GLOBAL OPPORTUNITIES A BUY 0 Units @0.0000	0.00	4.89	0.00	4.89	0.0	0.00
12/31/2017	***-**-09IN - BATES, CHRISTINE ACCOUNT #: 02158069743	GLOBAL OPPORTUNITIES A BUY 0 Units @0.0000	0.00	15.11	0.00	15.11	0.0	0.00
12/31/2017	***-**-65CL - GRUENEWALD, K, ACCOUNT #: 02171825219	GLOBAL OPPORTUNITIES FUND C BUY 0 Units @0.0000	0.00	0.00	0.00	0.00	0.0	0.00



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<b>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b>								
12/31/2017	***-**-84IN - WARMUTH, ERIC ACCOUNT #: 04103537149	GOLD & SPECIAL MINERALS A BUY 0 Units @0.0000	0.00	1.50	0.00	1.50	0.0	0.00
12/31/2017	***-**-237I - MCCLUSKY, MARK ACCOUNT #: 04104653792	GOLD & SPECIAL MINERALS A BUY 0 Units @0.0000	0.00	0.37	0.00	0.37	0.0	0.00
12/31/2017	***-**-3749 - DEPEYSTER, ACCOUNT #: 04104658049	GOLD & SPECIAL MINERALS A BUY 0 Units @0.0000	0.00	0.23	0.00	0.23	0.0	0.00
12/31/2017	***-**-0767 - DOVI, ACCOUNT #: 04104666585	GOLD & SPECIAL MINERALS A BUY 0 Units @0.0000	0.00	0.18	0.00	0.18	0.0	0.00
12/31/2017	***-**-0069 - KRECIDLO, ACCOUNT #: 04104675077	GOLD & SPECIAL MINERALS A BUY 0 Units @0.0000	0.00	0.20	0.00	0.20	0.0	0.00
12/31/2017	***-**-391I - MASTRANGELO, ACCOUNT #: 04104675297	GOLD & SPECIAL MINERALS A BUY 0 Units @0.0000	0.00	0.21	0.00	0.21	0.0	0.00
12/31/2017	***-**-1491 - GUNN, EDWARD ACCOUNT #: 04104683217	GOLD & SPECIAL MINERALS A BUY 0 Units @0.0000	0.00	0.21	0.00	0.21	0.0	0.00
12/31/2017	***-**-09IN - BATES, CHRISTINE ACCOUNT #: 04104685582	GOLD & SPECIAL MINERALS A BUY 0 Units @0.0000	0.00	1.25	0.00	1.25	0.0	0.00
12/31/2017	***-**-2603 - MASTRANGELO, ACCOUNT #: 04104688728	GOLD & SPECIAL MINERALS A BUY 0 Units @0.0000	0.00	0.24	0.00	0.24	0.0	0.00
12/31/2017	***-**-31IR - HARTZ, CLAUDIA ACCOUNT #: 04104696516	GOLD & SPECIAL MINERALS A BUY 0 Units @0.0000	0.00	0.11	0.00	0.11	0.0	0.00
12/31/2017	***-**-0069 - KRECIDLO, ACCOUNT #: 04110576708	GOLD & SPECIAL MINERALS FUND B BUY 0 Units @0.0000	0.00	0.14	0.00	0.14	0.0	0.00
12/31/2017	***-**-391I - MASTRANGELO, ACCOUNT #: 04110578864	GOLD & SPECIAL MINERALS FUND B BUY 0 Units @0.0000	0.00	0.46	0.00	0.46	0.0	0.00
12/31/2017	***-**-5375 - CARTER, LISA ACCOUNT #: 04110599907	GOLD & SPECIAL MINERALS FUND B BUY 0 Units @0.0000	0.00	0.26	0.00	0.26	0.0	0.00
12/31/2017	***-**-31IR - HARTZ, CLAUDIA ACCOUNT #: 04110606419	GOLD & SPECIAL MINERALS FUND B BUY 0 Units @0.0000	0.00	0.36	0.00	0.36	0.0	0.00
12/31/2017	***-**-0767 - DOVI, ACCOUNT #: 08810326811	INTERNATIONAL BOND A BUY 0 Units @0.0000	0.00	1.40	0.00	1.40	0.0	0.00
12/31/2017	***-**-960I - MASTRANGELO, ACCOUNT #: 08810337228	INTERNATIONAL BOND A BUY 0 Units @0.0000	0.00	0.40	0.00	0.40	0.0	0.00



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<b>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b>								
12/31/2017	***-**-1491 - GUNN, EDWARD	INTERNATIONAL BOND A	0.00	1.59	0.00	1.59	0.0	0.00
	ACCOUNT #: 08810347513	BUY 0 Units @0.0000						
12/31/2017	***-**-09IN - BATES, CHRISTINE	INTERNATIONAL BOND A	0.00	4.35	0.00	4.35	0.0	0.00
	ACCOUNT #: 08810351011	BUY 0 Units @0.0000						
12/31/2017	***-**-2603 - MASTRANGELO,	INTERNATIONAL BOND A	0.00	0.70	0.00	0.70	0.0	0.00
	ACCOUNT #: 08810354960	BUY 0 Units @0.0000						
12/31/2017	***-**-84IN - WARMUTH, ERIC	INTERNATIONAL GROWTH FUND A	0.00	6.09	0.00	6.09	0.0	0.00
	ACCOUNT #: 08250106216	BUY 0 Units @0.0000						
12/31/2017	***-**-69IN - EVANS, PAUL	INTERNATIONAL SMALL COMPANY A	0.00	1.08	0.00	1.08	0.0	0.00
	ACCOUNT #: 08152454089	BUY 0 Units @0.0000						
12/31/2017	***-**-69IN - EVANS, PAUL	INTERNATIONAL SMALL COMPANY FUND B	0.00	0.54	0.00	0.54	0.0	0.00
	ACCOUNT #: 08160415074	BUY 0 Units @0.0000						
12/31/2017	***-**-31IR - HARTZ, CLAUDIA	INTERNATIONAL SMALL COMPANY FUND B	0.00	1.58	0.00	1.58	0.0	0.00
	ACCOUNT #: 08160415613	BUY 0 Units @0.0000						
12/31/2017	***-**-1944 - BEHA, JAMES	LIMITED-TERM GOVERNMENT FUND C	0.00	2.80	0.00	2.80	0.0	0.00
	ACCOUNT #: 08571144451	BUY 0 Units @0.0000						
12/31/2017	***-**-84IN - WARMUTH, ERIC	MAIN STREET FUND A	0.00	8.65	0.00	8.65	0.0	0.00
	ACCOUNT #: 07005442085	BUY 0 Units @0.0000						
12/31/2017	***-**-960I - MASTRANGELO,	MAIN STREET FUND A	0.00	1.68	0.00	1.68	0.0	0.00
	ACCOUNT #: 07006358641	BUY 0 Units @0.0000						
12/31/2017	***-**-1491 - GUNN, EDWARD	MAIN STREET FUND A	0.00	6.38	0.00	6.38	0.0	0.00
	ACCOUNT #: 07006432891	BUY 0 Units @0.0000						
12/31/2017	***-**-14IN - LINES, JUDITH	MAIN STREET FUND C	0.00	17.42	0.00	17.42	0.0	0.00
	ACCOUNT #: 07024373501	BUY 0 Units @0.0000						
12/31/2017	***-**-391I - MASTRANGELO,	MAIN STREET SMALL CAP FUND B	0.00	9.33	0.00	9.33	0.0	0.00
	ACCOUNT #: 08481869307	BUY 0 Units @0.0000						
12/31/2017	***-**-5375 - CARTER, LISA	MAIN STREET SMALL CAP FUND B	0.00	2.21	0.00	2.21	0.0	0.00
	ACCOUNT #: 08481882045	BUY 0 Units @0.0000						
12/31/2017	***-**-31IR - HARTZ, CLAUDIA	MAIN STREET SMALL CAP FUND B	0.00	1.99	0.00	1.99	0.0	0.00
	ACCOUNT #: 08481885785	BUY 0 Units @0.0000						
12/31/2017	***-**-633J -	OPP PORT SERIES: ACTIVE ALLOC A	0.00	1.60	0.00	1.60	0.0	0.00
	ACCOUNT #: 05502871176	BUY 0 Units @0.0000						



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## January 15, 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
<b>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b>								
12/31/2017	***-**-524I - SCALISE, JOSEPH	OPP STEELPATH MLP ALPHA+ FND C	0.00	0.08	0.00	0.08	0.0	0.00
	ACCOUNT #: 00100019119	BUY 0 Units @0.0000						
12/31/2017	***-**-13IN - BLISS, PATRICK	OPPENHEIMER ACTIVE ALLOCATION FUND	0.00	8.04	0.00	8.04	0.0	0.00
	ACCOUNT #: 05521022681	BUY 0 Units @0.0000						
12/31/2017	***-**-775I - BLISS, APRIL	OPPENHEIMER ACTIVE ALLOCATION FUND	0.00	10.00	0.00	10.00	0.0	0.00
	ACCOUNT #: 05521022692	BUY 0 Units @0.0000						
12/31/2017	***-**-48JT - LEE, DARLENE	OPPENHEIMER ACTIVE ALLOCATION FUND	0.00	3.36	0.00	3.36	0.0	0.00
	ACCOUNT #: 05521043603	BUY 0 Units @0.0000						
12/31/2017	***-**-1944 - BEHA, JAMES	OPPENHEIMER DEV MARKETS FD CLASS C	0.00	5.43	0.00	5.43	0.0	0.00
	ACCOUNT #: 07871306525	BUY 0 Units @0.0000						
12/31/2017	***-**-28IN - BYWATER, KIM	OPPENHEIMER DEV MARKETS FD CLASS C	0.00	0.41	0.00	0.41	0.0	0.00
	ACCOUNT #: 07871970914	BUY 0 Units @0.0000						
12/31/2017	***-**-524I - SCALISE, JOSEPH	OPPENHEIMER DEV MARKETS FD CLASS C	0.00	5.33	0.00	5.33	0.0	0.00
	ACCOUNT #: 07872061521	BUY 0 Units @0.0000						
12/31/2017	***-**-31IR - HARTZ, CLAUDIA	OPPENHEIMER DEV MARKETS FD CLASS C	0.00	2.96	0.00	2.96	0.0	0.00
	ACCOUNT #: 07872093014	BUY 0 Units @0.0000						
12/31/2017	***-**-3749 - DEPEYSTER,	OPPENHEIMER DEVELOPING MARKETS CLAS	0.00	0.76	0.00	0.76	0.0	0.00
	ACCOUNT #: 07862860001	BUY 0 Units @0.0000						
12/31/2017	***-**-0767 - DOVI,	OPPENHEIMER DEVELOPING MARKETS CLAS	0.00	2.78	0.00	2.78	0.0	0.00
	ACCOUNT #: 07862886753	BUY 0 Units @0.0000						
12/31/2017	***-**-1491 - GUNN, EDWARD	OPPENHEIMER DEVELOPING MARKETS CLAS	0.00	2.62	0.00	2.62	0.0	0.00
	ACCOUNT #: 07862938926	BUY 0 Units @0.0000						
12/31/2017	***-**-09IN - BATES, CHRISTINE	OPPENHEIMER DEVELOPING MARKETS CLAS	0.00	11.00	0.00	11.00	0.0	0.00
	ACCOUNT #: 07862942457	BUY 0 Units @0.0000						
12/31/2017	***-**-2603 - MASTRANGELO,	OPPENHEIMER DEVELOPING MARKETS CLAS	0.00	0.87	0.00	0.87	0.0	0.00
	ACCOUNT #: 07862947055	BUY 0 Units @0.0000						
12/31/2017	***-**-524I - SCALISE, JOSEPH	OPPENHEIMER DEVELOPING MARKETS CLAS	0.00	0.43	0.00	0.43	0.0	0.00
	ACCOUNT #: 07862950586	BUY 0 Units @0.0000						
12/31/2017	***-**-69IN - EVANS, PAUL	OPPENHEIMER DEVELOPING MARKETS CLAS	0.00	0.88	0.00	0.88	0.0	0.00
	ACCOUNT #: 07862954403	BUY 0 Units @0.0000						
12/31/2017	***-**-31IR - HARTZ, CLAUDIA	OPPENHEIMER DEVELOPING MARKETS CLAS	0.00	0.31	0.00	0.31	0.0	0.00
	ACCOUNT #: 07862957439	BUY 0 Units @0.0000						



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BROKER #: A77  
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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b>								
12/31/2017	***-**-0069 - KRECIDLO, ACCOUNT #: 05005738601	OPPENHEIMER DISCOVERY CLASS A BUY 0 Units @0.0000	0.00	1.70	0.00	1.70	0.0	0.00
12/31/2017	***-**-391I - MASTRANGELO, ACCOUNT #: 05005977620	OPPENHEIMER DISCOVERY CLASS A BUY 0 Units @0.0000	0.00	1.03	0.00	1.03	0.0	0.00
12/31/2017	***-**-1491 - GUNN, EDWARD ACCOUNT #: 05005989148	OPPENHEIMER DISCOVERY CLASS A BUY 0 Units @0.0000	0.00	2.63	0.00	2.63	0.0	0.00
12/31/2017	***-**-48JT - LEE, DARLENE ACCOUNT #: 00100021715	OPPENHEIMER GLBL REAL ESTATE FUND C BUY 0 Units @0.0000	0.00	2.85	0.00	2.85	0.0	0.00
12/31/2017	***-**-973I - LABAYEWSKI, ACCOUNT #: 06870116919	OPPENHEIMER GLOBAL VALUE FUND CL A BUY 0 Units @0.0000	0.00	1.67	0.00	1.67	0.0	0.00
12/31/2017	***-**-14IN - LINES, JUDITH ACCOUNT #: 06890025267	OPPENHEIMER GLOBAL VALUE FUND CL C BUY 0 Units @0.0000	0.00	14.91	0.00	14.91	0.0	0.00
12/31/2017	***-**-1944 - BEHA, JAMES ACCOUNT #: 04120615032	OPPENHEIMER GOLD & SPECIAL MINERALS BUY 0 Units @0.0000	0.00	1.66	0.00	1.66	0.0	0.00
12/31/2017	***-**-31IR - HARTZ, CLAUDIA ACCOUNT #: 04120821381	OPPENHEIMER GOLD & SPECIAL MINERALS BUY 0 Units @0.0000	0.00	0.42	0.00	0.42	0.0	0.00
12/31/2017	***-**-96IN - NESSIA, BONNIE ACCOUNT #: 08822034824	OPPENHEIMER INT'L BOND CLASS C BUY 0 Units @0.0000	0.00	5.24	0.00	5.24	0.0	0.00
12/31/2017	***-**-973I - LABAYEWSKI, ACCOUNT #: 01952877039	OPPENHEIMER INTERNATIONAL DIVERSIFI BUY 0 Units @0.0000	0.00	2.14	0.00	2.14	0.0	0.00
12/31/2017	***-**-633J - ACCOUNT #: 01953330426	OPPENHEIMER INTERNATIONAL DIVERSIFI BUY 0 Units @0.0000	0.00	1.67	0.00	1.67	0.0	0.00
12/31/2017	***-**-48JT - LEE, DARLENE ACCOUNT #: 01971019612	OPPENHEIMER INTERNATIONAL DIVERSIFI BUY 0 Units @0.0000	0.00	3.58	0.00	3.58	0.0	0.00
12/31/2017	***-**-14IN - LINES, JUDITH ACCOUNT #: 01971035265	OPPENHEIMER INTERNATIONAL DIVERSIFI BUY 0 Units @0.0000	0.00	14.17	0.00	14.17	0.0	0.00
12/31/2017	***-**-28IN - BYWATER, KIM ACCOUNT #: 08170362626	OPPENHEIMER INTERNATIONAL SMALL COM BUY 0 Units @0.0000	0.00	0.73	0.00	0.73	0.0	0.00
12/31/2017	***-**-96IN - NESSIA, BONNIE ACCOUNT #: 08170371459	OPPENHEIMER INTERNATIONAL SMALL COM BUY 0 Units @0.0000	0.00	18.10	0.00	18.10	0.0	0.00
12/31/2017	***-**-31IR - HARTZ, CLAUDIA ACCOUNT #: 08170372680	OPPENHEIMER INTERNATIONAL SMALL COM BUY 0 Units @0.0000	0.00	10.60	0.00	10.60	0.0	0.00





# COMMISSION STATEMENT

## January 15, 2018

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BROKER #: A77  
BRANCH #01047 - 47 - GRIFFITH

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b>								
12/31/2017	***-**-31IO - WILLIAMSON, FBO	OPPENHEIMER INTERNATIONAL SMALL COM	0.00	3.49	0.00	3.49	0.0	0.00
	ACCOUNT #: 08170406615	BUY 0 Units @0.0000						
12/31/2017	***-**-5375 - CARTER, LISA	OPPENHEIMER INTL BOND CLASS B	0.00	1.01	0.00	1.01	0.0	0.00
	ACCOUNT #: 08811178738	BUY 0 Units @0.0000						
12/31/2017	***-**-391I - MASTRANGELO,	OPPENHEIMER INTL BOND CLASS B	0.00	4.31	0.00	4.31	0.0	0.00
	ACCOUNT #: 08811186460	BUY 0 Units @0.0000						
12/31/2017	***-**-0767 - DOVI,	OPPENHEIMER MAIN STREET SMALL CAP F	0.00	0.53	0.00	0.53	0.0	0.00
	ACCOUNT #: 08477584335	BUY 0 Units @0.0000						
12/31/2017	***-**-973I - LABAYEWSKI,	OPPENHEIMER MAIN STREET SMALL CAP F	0.00	1.36	0.00	1.36	0.0	0.00
	ACCOUNT #: 08477272342	BUY 0 Units @0.0000						
12/31/2017	***-**-0767 - DOVI,	OPPENHEIMER MAIN STREET SMALL CAP F	0.00	3.64	0.00	3.64	0.0	0.00
	ACCOUNT #: 08477584467	BUY 0 Units @0.0000						
12/31/2017	***-**-391I - MASTRANGELO,	OPPENHEIMER MAIN STREET SMALL CAP F	0.00	1.68	0.00	1.68	0.0	0.00
	ACCOUNT #: 08477604212	BUY 0 Units @0.0000						
12/31/2017	***-**-31IR - HARTZ, CLAUDIA	OPPENHEIMER MAIN STREET SMALL CAP F	0.00	8.91	0.00	8.91	0.0	0.00
	ACCOUNT #: 08491519782	BUY 0 Units @0.0000						
12/31/2017	***-**-31IR - HARTZ, CLAUDIA	OPPENHEIMER MAIN STREET SMALL CAP F	0.00	0.44	0.00	0.44	0.0	0.00
	ACCOUNT #: 08477648025	BUY 0 Units @0.0000						
12/31/2017	***-**-1944 - BEHA, JAMES	OPPENHEIMER RISING DIVIDENDS FUND C	0.00	15.99	0.00	15.99	0.0	0.00
	ACCOUNT #: 02270678062	BUY 0 Units @0.0000						
12/31/2017	***-**-28IN - BYWATER, KIM	OPPENHEIMER RISING DIVIDENDS FUND C	0.00	0.51	0.00	0.51	0.0	0.00
	ACCOUNT #: 02270885720	BUY 0 Units @0.0000						
12/31/2017	***-**-78IN - FALES, JOAN	OPPENHEIMER RISING DIVIDENDS FUND C	0.00	2.38	0.00	2.38	0.0	0.00
	ACCOUNT #: 02270934868	BUY 0 Units @0.0000						
12/31/2017	***-**-524I - SCALISE, JOSEPH	OPPENHEIMER RISING DIVIDENDS FUND C	0.00	7.10	0.00	7.10	0.0	0.00
	ACCOUNT #: 02270938278	BUY 0 Units @0.0000						
12/31/2017	***-**-31IR - HARTZ, CLAUDIA	OPPENHEIMER RISING DIVIDENDS FUND C	0.00	12.35	0.00	12.35	0.0	0.00
	ACCOUNT #: 02270952072	BUY 0 Units @0.0000						
12/31/2017	***-**-96IN - NESSIA, BONNIE	OPPENHEIMER RISING DIVIDENDS FUND C	0.00	2.73	0.00	2.73	0.0	0.00
	ACCOUNT #: 02271140183	BUY 0 Units @0.0000						
12/31/2017	***-**-69IN - EVANS, PAUL	OPPENHEIMER SENIOR FLOATING RATE CL	0.00	0.41	0.00	0.41	0.0	0.00
	ACCOUNT #: 02920591888	BUY 0 Units @0.0000						



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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b>								
12/31/2017	***-**-69IN - EVANS, PAUL ACCOUNT #: 02913850561	OPPENHEIMER SENIOR FLOATING RATE CL BUY 0 Units @0.0000	0.00	0.80	0.00	0.80	0.0	0.00
12/31/2017	***-**-84IN - WARMUTH, ERIC ACCOUNT #: 02510094556	OPPENHEIMER SMALL & MID CAP VALUE F BUY 0 Units @0.0000	0.00	10.65	0.00	10.65	0.0	0.00
12/31/2017	***-**-237I - MCCLUSKY, MARK ACCOUNT #: 02514976004	OPPENHEIMER SMALL & MID CAP VALUE F BUY 0 Units @0.0000	0.00	2.79	0.00	2.79	0.0	0.00
12/31/2017	***-**-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
12/31/2017	***-**-633J - ACCOUNT #: 02514987422	OPPENHEIMER SMALL & MID CAP VALUE F BUY 0 Units @0.0000	0.00	1.57	0.00	1.57	0.0	0.00
12/31/2017	***-**-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
12/31/2017	***-**-0069 - KRECIDLO, ACCOUNT #: 02515019080	OPPENHEIMER SMALL & MID CAP VALUE F BUY 0 Units @0.0000	0.00	2.26	0.00	2.26	0.0	0.00
12/31/2017	***-**-960I - MASTRANGELO, ACCOUNT #: 02515019168	OPPENHEIMER SMALL & MID CAP VALUE F BUY 0 Units @0.0000	0.00	0.96	0.00	0.96	0.0	0.00
12/31/2017	***-**-1491 - GUNN, EDWARD ACCOUNT #: 02515033226	OPPENHEIMER SMALL & MID CAP VALUE F BUY 0 Units @0.0000	0.00	3.69	0.00	3.69	0.0	0.00
12/31/2017	***-**-09IN - BATES, CHRISTINE ACCOUNT #: 02515036889	OPPENHEIMER SMALL & MID CAP VALUE F BUY 0 Units @0.0000	0.00	8.19	0.00	8.19	0.0	0.00
12/31/2017	***-**-2603 - MASTRANGELO, ACCOUNT #: 02515041168	OPPENHEIMER SMALL & MID CAP VALUE F BUY 0 Units @0.0000	0.00	1.24	0.00	1.24	0.0	0.00
12/31/2017	***-**-69IN - EVANS, PAUL ACCOUNT #: 02515049715	OPPENHEIMER SMALL & MID CAP VALUE F BUY 0 Units @0.0000	0.00	0.84	0.00	0.84	0.0	0.00
12/31/2017	***-**-973I - LABAYEWSKI, ACCOUNT #: 00100661541	OPPENHEIMER STEELPATH MLP INC.FND C BUY 0 Units @0.0000	0.00	0.90	0.00	0.90	0.0	0.00
12/31/2017	***-**-391I - MASTRANGELO, ACCOUNT #: 02307298712	OPPENHEIMER STRATEGIC INCOME FD CL BUY 0 Units @0.0000	0.00	0.83	0.00	0.83	0.0	0.00
12/31/2017	***-**-391I - MASTRANGELO, ACCOUNT #: 02317093174	OPPENHEIMER STRATEGIC INCOME FUND C BUY 0 Units @0.0000	0.00	5.32	0.00	5.32	0.0	0.00
12/31/2017	***-**-0767 - DOVI, ACCOUNT #: 02203626810	OPPENHEIMER U.S. GOVT TR CLASS A BUY 0 Units @0.0000	0.00	1.11	0.00	1.11	0.0	0.00



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<b>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b>								
12/31/2017	***-**-524I - SCALISE, JOSEPH	OPPENHEIMER U.S. GOVT TR CLASS A	0.00	0.35	0.00	0.35	0.0	0.00
	ACCOUNT #: 02203662824	BUY 0 Units @0.0000						
12/31/2017	***-**-31IO - WILLIAMSON, FBO	OPPENHEIMERSTEELPATH MLP INCOME CL	0.00	3.02	0.00	3.02	0.0	0.00
	ACCOUNT #: 00100355609	BUY 0 Units @0.0000						
12/31/2017	***-**-31IO - WILLIAMSON, FBO	PORT SERIES: CONS INV C	0.00	4.22	0.00	4.22	0.0	0.00
	ACCOUNT #: 05420233365	BUY 0 Units @0.0000						
12/31/2017	***-**-0069 - KRECIDLO,	QUEST BALANCED A	0.00	1.50	0.00	1.50	0.0	0.00
	ACCOUNT #: 02577505531	BUY 0 Units @0.0000						
12/31/2017	***-**-69IN - EVANS, PAUL	QUEST BALANCED A	0.00	0.61	0.00	0.61	0.0	0.00
	ACCOUNT #: 02577810451	BUY 0 Units @0.0000						
12/31/2017	***-**-69IN - EVANS, PAUL	QUEST BALANCED B	0.00	0.31	0.00	0.31	0.0	0.00
	ACCOUNT #: 02586012369	BUY 0 Units @0.0000						
12/31/2017	***-**-78IN - FALES, JOAN	QUEST BALANCED FUND C	0.00	2.08	0.00	2.08	0.0	0.00
	ACCOUNT #: 02592293104	BUY 0 Units @0.0000						
12/31/2017	***-**-14IN - LINES, JUDITH	QUEST BALANCED FUND C	0.00	5.08	0.00	5.08	0.0	0.00
	ACCOUNT #: 02592297625	BUY 0 Units @0.0000						
12/31/2017	***-**-84IN - WARMUTH, ERIC	QUEST INTERNATIONAL VALUE FUND, INC	0.00	6.46	0.00	6.46	0.0	0.00
	ACCOUNT #: 02540085811	BUY 0 Units @0.0000						
12/31/2017	***-**-84IN - WARMUTH, ERIC	QUEST OPPORTUNITY VALUE A	0.00	8.32	0.00	8.32	0.0	0.00
	ACCOUNT #: 02361010152	BUY 0 Units @0.0000						
12/31/2017	***-**-973I - LABAYEWSKI,	REAL ESTATE FUND A	0.00	0.52	0.00	0.52	0.0	0.00
	ACCOUNT #: 05901046408	BUY 0 Units @0.0000						
12/31/2017	***-**-237I - MCCLUSKY, MARK	REAL ESTATE FUND A	0.00	2.72	0.00	2.72	0.0	0.00
	ACCOUNT #: 05901256948	BUY 0 Units @0.0000						
12/31/2017	***-**-3749 - DEPEYSTER,	REAL ESTATE FUND A	0.00	1.17	0.00	1.17	0.0	0.00
	ACCOUNT #: 05901261997	BUY 0 Units @0.0000						
12/31/2017	***-**-0767 - DOVI,	REAL ESTATE FUND A	0.00	1.06	0.00	1.06	0.0	0.00
	ACCOUNT #: 05901273712	BUY 0 Units @0.0000						
12/31/2017	***-**-0069 - KRECIDLO,	REAL ESTATE FUND A	0.00	0.96	0.00	0.96	0.0	0.00
	ACCOUNT #: 05901284228	BUY 0 Units @0.0000						
12/31/2017	***-**-960I - MASTRANGELO,	REAL ESTATE FUND A	0.00	0.62	0.00	0.62	0.0	0.00
	ACCOUNT #: 05901284382	BUY 0 Units @0.0000						



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<b>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b>								
12/31/2017	***-**-1491 - GUNN, EDWARD	REAL ESTATE FUND A	0.00	1.16	0.00	1.16	0.0	0.00
	ACCOUNT #: 05901293732	BUY 0 Units @0.0000						
12/31/2017	***-**-09IN - BATES, CHRISTINE	REAL ESTATE FUND A	0.00	5.07	0.00	5.07	0.0	0.00
	ACCOUNT #: 05901296141	BUY 0 Units @0.0000						
12/31/2017	***-**-2603 - MASTRANGELO,	REAL ESTATE FUND A	0.00	1.12	0.00	1.12	0.0	0.00
	ACCOUNT #: 05901298583	BUY 0 Units @0.0000						
12/31/2017	***-**-69IN - EVANS, PAUL	REAL ESTATE FUND A	0.00	0.75	0.00	0.75	0.0	0.00
	ACCOUNT #: 05901303665	BUY 0 Units @0.0000						
12/31/2017	***-**-0069 - KRECIDLO,	REAL ESTATE FUND B	0.00	0.37	0.00	0.37	0.0	0.00
	ACCOUNT #: 05910195855	BUY 0 Units @0.0000						
12/31/2017	***-**-5375 - CARTER, LISA	REAL ESTATE FUND B	0.00	1.00	0.00	1.00	0.0	0.00
	ACCOUNT #: 05910204314	BUY 0 Units @0.0000						
12/31/2017	***-**-69IN - EVANS, PAUL	REAL ESTATE FUND B	0.00	0.37	0.00	0.37	0.0	0.00
	ACCOUNT #: 05910205359	BUY 0 Units @0.0000						
12/31/2017	***-**-391I - MASTRANGELO,	REAL ESTATE FUND B	0.00	4.21	0.00	4.21	0.0	0.00
	ACCOUNT #: 05910207031	BUY 0 Units @0.0000						
12/31/2017	***-**-1944 - BEHA, JAMES	REAL ESTATE FUND C	0.00	5.53	0.00	5.53	0.0	0.00
	ACCOUNT #: 05920222255	BUY 0 Units @0.0000						
12/31/2017	***-**-78IN - FALES, JOAN	REAL ESTATE FUND C	0.00	1.16	0.00	1.16	0.0	0.00
	ACCOUNT #: 05920299178	BUY 0 Units @0.0000						
12/31/2017	***-**-14IN - LINES, JUDITH	REAL ESTATE FUND C	0.00	7.14	0.00	7.14	0.0	0.00
	ACCOUNT #: 05920329857	BUY 0 Units @0.0000						
12/31/2017	***-**-84IN - WARMUTH, ERIC	RISING DIVIDENDS FUND A	0.00	3.44	0.00	3.44	0.0	0.00
	ACCOUNT #: 02252765829	BUY 0 Units @0.0000						
12/31/2017	***-**-973I - LABAYEWSKI,	RISING DIVIDENDS FUND A	0.00	1.33	0.00	1.33	0.0	0.00
	ACCOUNT #: 02254172036	BUY 0 Units @0.0000						
12/31/2017	***-**-237I - MCCLUSKY, MARK	RISING DIVIDENDS FUND A	0.00	3.32	0.00	3.32	0.0	0.00
	ACCOUNT #: 02254670435	BUY 0 Units @0.0000						
12/31/2017	***-**-3749 - DEPEYSTER,	RISING DIVIDENDS FUND A	0.00	1.19	0.00	1.19	0.0	0.00
	ACCOUNT #: 02254680236	BUY 0 Units @0.0000						
12/31/2017	***-**-0767 - DOVI,	RISING DIVIDENDS FUND A	0.00	1.51	0.00	1.51	0.0	0.00
	ACCOUNT #: 02254705239	BUY 0 Units @0.0000						



# COMMISSION STATEMENT

## January 15, 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
<b>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b>								
12/31/2017	***-**-0069 - KRECIDLO, ACCOUNT #: 02254728647	RISING DIVIDENDS FUND A BUY 0 Units @0.0000	0.00	0.95	0.00	0.95	0.0	0.00
12/31/2017	***-**-960I - MASTRANGELO, ACCOUNT #: 02254729032	RISING DIVIDENDS FUND A BUY 0 Units @0.0000	0.00	1.32	0.00	1.32	0.0	0.00
12/31/2017	***-**-09IN - BATES, CHRISTINE ACCOUNT #: 02254763429	RISING DIVIDENDS FUND A BUY 0 Units @0.0000	0.00	11.65	0.00	11.65	0.0	0.00
12/31/2017	***-**-2603 - MASTRANGELO, ACCOUNT #: 02254772636	RISING DIVIDENDS FUND A BUY 0 Units @0.0000	0.00	1.19	0.00	1.19	0.0	0.00
12/31/2017	***-**-524I - SCALISE, JOSEPH ACCOUNT #: 02254781183	RISING DIVIDENDS FUND A BUY 0 Units @0.0000	0.00	0.64	0.00	0.64	0.0	0.00
12/31/2017	***-**-31IR - HARTZ, CLAUDIA ACCOUNT #: 02254799421	RISING DIVIDENDS FUND A BUY 0 Units @0.0000	0.00	0.80	0.00	0.80	0.0	0.00
12/31/2017	***-**-391I - MASTRANGELO, ACCOUNT #: 02254799399	RISING DIVIDENDS FUND A BUY 0 Units @0.0000	0.00	0.54	0.00	0.54	0.0	0.00
12/31/2017	***-**-0069 - KRECIDLO, ACCOUNT #: 02261702844	RISING DIVIDENDS FUND, INC. B BUY 0 Units @0.0000	0.00	0.42	0.00	0.42	0.0	0.00
12/31/2017	***-**-5375 - CARTER, LISA ACCOUNT #: 02261749935	RISING DIVIDENDS FUND, INC. B BUY 0 Units @0.0000	0.00	2.61	0.00	2.61	0.0	0.00
12/31/2017	***-**-524I - SCALISE, JOSEPH ACCOUNT #: 02261752014	RISING DIVIDENDS FUND, INC. B BUY 0 Units @0.0000	0.00	1.98	0.00	1.98	0.0	0.00
12/31/2017	***-**-391I - MASTRANGELO, ACCOUNT #: 02261762079	RISING DIVIDENDS FUND, INC. B BUY 0 Units @0.0000	0.00	11.95	0.00	11.95	0.0	0.00
12/31/2017	***-**-31IR - HARTZ, CLAUDIA ACCOUNT #: 02261762112	RISING DIVIDENDS FUND, INC. B BUY 0 Units @0.0000	0.00	3.14	0.00	3.14	0.0	0.00
12/31/2017	***-**-53RI - FALCHI, VALERIE ACCOUNT #: 03551357917	ROCH. LIMITED TERM NEW YORK MUNICI BUY 0 Units @0.0000	0.00	0.69	0.00	0.69	0.0	0.00
12/31/2017	***-**-3749 - DEPEYSTER, ACCOUNT #: 03551386715	ROCH. LIMITED TERM NEW YORK MUNICI BUY 0 Units @0.0000	0.00	0.66	0.00	0.66	0.0	0.00
12/31/2017	***-**-78IN - FALES, JOAN ACCOUNT #: 03570632181	ROCH. LIMITED TERM NEW YORK MUNICI BUY 0 Units @0.0000	0.00	1.46	0.00	1.46	0.0	0.00
12/31/2017	***-**-14IN - LINES, JUDITH ACCOUNT #: 03570635811	ROCH. LIMITED TERM NEW YORK MUNICI BUY 0 Units @0.0000	0.00	5.94	0.00	5.94	0.0	0.00



# COMMISSION STATEMENT

January 15, 2018

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BROKER #: A77  
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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b>								
12/31/2017	***-**-78IN - FALES, JOAN	SENIOR FLOATING RATE FUND C	0.00	1.30	0.00	1.30	0.0	0.00
	ACCOUNT #: 02931809830	BUY 0 Units @0.0000						
12/31/2017	***-**-96IN - NESSIA, BONNIE	SENIOR FLOATING RATE FUND C	0.00	6.48	0.00	6.48	0.0	0.00
	ACCOUNT #: 02931827254	BUY 0 Units @0.0000						
12/31/2017	***-**-14IN - LINES, JUDITH	SENIOR FLOATING RATE FUND C	0.00	10.07	0.00	10.07	0.0	0.00
	ACCOUNT #: 02931832127	BUY 0 Units @0.0000						
12/31/2017	***-**-31IO - WILLIAMSON, FBO	SMALL & MID-CAP GRWTH FND C	0.00	3.54	0.00	3.54	0.0	0.00
	ACCOUNT #: 07230230516	BUY 0 Units @0.0000						
12/31/2017	***-**-0069 - KRECIDL0,	SMALL- & MID- CAP VALUE B	0.00	1.27	0.00	1.27	0.0	0.00
	ACCOUNT #: 02521484681	BUY 0 Units @0.0000						
12/31/2017	***-**-5375 - CARTER, LISA	SMALL- & MID- CAP VALUE B	0.00	1.71	0.00	1.71	0.0	0.00
	ACCOUNT #: 02521508133	BUY 0 Units @0.0000						
12/31/2017	***-**-69IN - EVANS, PAUL	SMALL- & MID- CAP VALUE B	0.00	0.42	0.00	0.42	0.0	0.00
	ACCOUNT #: 02521510465	BUY 0 Units @0.0000						
12/31/2017	***-**-1944 - BEHA, JAMES	SMALL- & MID- CAP VALUE FUND C	0.00	14.68	0.00	14.68	0.0	0.00
	ACCOUNT #: 02531057771	BUY 0 Units @0.0000						
12/31/2017	***-**-28IN - BYWATER, KIM	SMALL- & MID- CAP VALUE FUND C	0.00	0.58	0.00	0.58	0.0	0.00
	ACCOUNT #: 02531157145	BUY 0 Units @0.0000						
12/31/2017	***-**-78IN - FALES, JOAN	STRATEGIC INCOME FUND C	0.00	1.64	0.00	1.64	0.0	0.00
	ACCOUNT #: 02322752145	BUY 0 Units @0.0000						
12/31/2017	***-**-14IN - LINES, JUDITH	STRATEGIC INCOME FUND C	0.00	4.10	0.00	4.10	0.0	0.00
	ACCOUNT #: 02322774145	BUY 0 Units @0.0000						
12/31/2017	***-**-5375 - CARTER, LISA	U.S. GOVERNMENT TRUST B	0.00	0.61	0.00	0.61	0.0	0.00
	ACCOUNT #: 02211109251	BUY 0 Units @0.0000						
12/31/2017	***-**-524I - SCALISE, JOSEPH	U.S. GOVERNMENT TRUST B	0.00	0.31	0.00	0.31	0.0	0.00
	ACCOUNT #: 02211110318	BUY 0 Units @0.0000						
12/31/2017	***-**-524I - SCALISE, JOSEPH	U.S. GOVERNMENT TRUST C	0.00	4.32	0.00	4.32	0.0	0.00
	ACCOUNT #: 02220585310	BUY 0 Units @0.0000						
<b>* MUTUAL FUND 12B1 TRAILS SUBTOTAL *</b>			<b>\$0.00</b>	<b>\$642.44</b>	<b>\$0.00</b>	<b>\$642.44</b>		<b>\$0.00</b>
<b>*** BROKER TRANSACTIONS TOTAL ***</b>			<b>\$64,408.60</b>	<b>\$1,453.63</b>	<b>\$171.24</b>	<b>\$1,282.39</b>		<b>\$-14.06</b>



# COMMISSION STATEMENT

January 15, 2018

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BROKER #: A77  
BRANCH #01047 - 47 - GRIFFITH

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b><u>BROKER COMMISSION TOTALS</u></b>								
						Broker Transactions		\$-14.06
						Split Transactions		\$0.00
						Override Transactions		\$0.00
						Adjustments		\$0.00
						Payroll Draw		\$0.00
						Base Salary		\$0.00
						Prior Period Balance		\$-90.82
						FINRA Assessment		\$0.00
						SIPC Assessment		\$0.00
Please Retain for Your Records THERE WILL BE NO PAYMENT THIS PERIOD								
<b>Balance Forward</b>								<b>\$-104.88</b>
<b>Year-to-date Earnings</b>								<b>\$-104.88</b>