



# COMMISSION STATEMENT

## May 14, 2018

DAVID GRIFFITH  
2108 Genesee St.  
Utica, NY 13502

BROKER #: A76  
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: ALTERNATIVE INVESTMENTS</u></b>								
05/10/2018	***-**-03IN - BOSHART, PEGGY	TERRA INCOME FUND # 6	30,000.00	203.53	0.00	203.53	88.0	179.11
	ACCOUNT #: 20001969	BUY 0 Units @0.0000						
05/10/2018	***-**-698I - FEISTHAMEL,	TERRA INCOME FUND # 6	20,000.00	135.69	0.00	135.69	88.0	119.41
	ACCOUNT #: 20002019	BUY 0 Units @0.0000						
<b>* ALTERNATIVE INVESTMENTS SUBTOTAL *</b>			<b>\$50,000.00</b>	<b>\$339.22</b>	<b>\$0.00</b>	<b>\$339.22</b>		<b>\$298.52</b>
<b><u>PRODUCT CATEGORY: MUTUAL FUNDS</u></b>								
04/30/2018	***-**-817I - WADSWORTH,	AMERICAN GLOBAL BALANCED CL C	110.00	1.10	0.00	1.10	88.0	0.97
	ACCOUNT #: 00067441742	BUY 3 Units @32.4300						
04/30/2018	***-**-788I - ALBARRAN, CARLOS	FUNDAMENTAL INVESTORS-C	100.00	1.00	0.00	1.00	88.0	0.88
	ACCOUNT #: 00085186008	BUY 2 Units @61.4800						
05/08/2018	***-**-762I - STORSBERG,	LORD ABBETT ALPHA STRATEGY CL C	7,999.99	19.99	6.00	13.99	88.0	12.31
	ACCOUNT #: LSR011688	BUY 342 Units @23.4100						
05/08/2018	***-**-762I - STORSBERG,	LORD ABBETT GROWTH LEADERS FUND CL	7,000.01	19.99	6.00	13.99	88.0	12.31
	ACCOUNT #: LSR011688	BUY 245 Units @28.6100						
05/08/2018	***-**-762I - STORSBERG,	LORD ABBETT SHORT DURATION INCOME C	8,000.00	0.00	6.00	-6.00	100.0	-6.00
	ACCOUNT #: LSR011688	SELL 1900 Units @4.2100						
05/08/2018	***-**-762I - STORSBERG,	LORD ABBETT SHORT DURATION INCOME C	7,000.00	0.00	6.00	-6.00	100.0	-6.00
	ACCOUNT #: LSR011688	SELL 1663 Units @4.2100						
05/10/2018	***-**-169I - DUNN, CHRISTINE	MFS GLOBAL EQUITY FUND-B	9,449.99	396.00	18.00	378.00	88.0	332.64
	ACCOUNT #: LSR012417	BUY 235 Units @40.2100						
05/08/2018	***-**-94IO - PERRITANO,	MFS INTERNATIONAL DIVERSIFICATION F	10,499.99	438.00	18.00	420.00	88.0	369.60
	ACCOUNT #: LSR011099	BUY 537 Units @19.5500						
05/08/2018	***-**-804I - RIEBEN, ANNE	RESOURCE CREDIT INCOME FUND C	10,000.00	118.00	18.00	100.00	88.0	88.00
	ACCOUNT #: LSR010877	BUY 891 Units @11.2200						
05/10/2018	***-**-077O - GAUTHIER, LOUIS	RESOURCE CREDIT INCOME FUND C	12,500.00	143.00	18.00	125.00	88.0	110.00
	ACCOUNT #: LSR010905	BUY 1113 Units @11.2300						
05/10/2018	***-**-41TR - DAMSKY, BARRY	RESOURCE CREDIT INCOME FUND C	10,000.00	118.00	18.00	100.00	88.0	88.00
	ACCOUNT #: LSR011340	BUY 890 Units @11.2300						
05/08/2018	***-**-86IO - STRUMPFLE, MARK	THE GROWTH FUND OF AMERICA-C	10,000.00	118.00	18.00	100.00	88.0	88.00
	ACCOUNT #: LSR012376	BUY 206 Units @48.4900						
<b>* MUTUAL FUNDS SUBTOTAL *</b>			<b>\$92,659.98</b>	<b>\$1,373.08</b>	<b>\$132.00</b>	<b>\$1,241.08</b>		<b>\$1,090.71</b>



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<b>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: STOCKS</b>								
05/08/2018	***-**-762I - STORSBERG, ACCOUNT #: LSR011688	BLOCK H & R INC SELL 200 Units @27.7400	5,548.00	87.49	19.00	68.49	88.0	60.27
05/10/2018	***-**-077I - GAUTHIER, LOUIS ACCOUNT #: LSR010901	BLOCK H & R INC SELL 150 Units @27.7610	4,164.15	81.50	18.00	63.50	88.0	55.88
05/08/2018	***-**-60IN - SCHRADER, KEVIN ACCOUNT #: LSR010897	CAMECO CORP COM NPV ISIN #CA13321L1 BUY 250 Units @11.3000	2,825.00	57.49	20.00	37.49	88.0	32.99
05/08/2018	***-**-22IN - GRACIE, JULIA ACCOUNT #: LSR011019	CAMECO CORP COM NPV ISIN #CA13321L1 BUY 500 Units @11.2600	5,630.00	87.49	25.00	62.49	88.0	54.99
05/10/2018	***-**-41TR - DAMSKY, BARRY ACCOUNT #: LSR011340	CREDIT SUISSE GROUP SPON ADR-REP 1 SELL 230 Units @16.7900	3,861.70	74.99	19.60	55.39	88.0	48.74
05/10/2018	***-**-804I - RIEBEN, ANNE ACCOUNT #: LSR010877	DENBURY RES INC DEL COM USD0.001 SELL 800 Units @3.7400	2,992.00	59.99	31.00	28.99	88.0	25.51
05/10/2018	***-**-753I - SABANOSH, ALAN ACCOUNT #: LSR010909	DENBURY RES INC DEL COM USD0.001 SELL 800 Units @3.7300	2,984.00	57.49	31.00	26.49	88.0	23.31
05/10/2018	***-**-22IN - GRACIE, JULIA ACCOUNT #: LSR011019	DENBURY RES INC DEL COM USD0.001 SELL 800 Units @3.7600	3,008.00	59.99	31.00	28.99	88.0	25.51
05/10/2018	***-**-369I - DAVIS, BRUCE ACCOUNT #: LSR011029	DENBURY RES INC DEL COM USD0.001 SELL 1000 Units @3.7300	3,730.00	72.49	35.00	37.49	88.0	32.99
05/10/2018	***-**-762I - STORSBERG, ACCOUNT #: LSR011688	DENBURY RES INC DEL COM USD0.001 SELL 800 Units @3.7400	2,992.00	59.99	31.00	28.99	88.0	25.51
05/10/2018	***-**-698J - FEISTHAMEL, MR ACCOUNT #: LSR011137	ENERGY FUELS INC COM NEW ISIN #CA29 BUY 1100 Units @2.0100	2,211.00	49.99	37.00	12.99	88.0	11.43
05/10/2018	***-**-804I - RIEBEN, ANNE ACCOUNT #: LSR010877	INTEL CORP SOLICITED ORDER SELL 50 Units @54.5900	2,729.50	54.99	18.00	36.99	88.0	32.55
05/08/2018	***-**-42IR - JENKINS, DAVID ACCOUNT #: LSR012257	MERCK & CO INC NEW COM BUY 55 Units @56.8090	3,124.50	59.99	16.10	43.89	88.0	38.62
05/08/2018	***-**-86IO - STRUMPFLE, MARK ACCOUNT #: LSR012376	MERCK & CO INC NEW COM BUY 100 Units @56.6970	5,669.70	87.49	17.00	70.49	88.0	62.03
05/10/2018	***-**-450I - SPAETH, JACK ACCOUNT #: LSR011015	NORDIC AMERICAN TANKERS LIMITE COM BUY 2100 Units @2.0300	4,263.00	77.49	57.00	20.49	88.0	18.03
05/10/2018	***-**-698J - FEISTHAMEL, MR ACCOUNT #: LSR011137	NORDIC AMERICAN TANKERS LIMITE COM BUY 1100 Units @2.0300	2,233.00	49.99	37.00	12.99	88.0	11.43



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<b>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: STOCKS (continued)</b>								
05/08/2018	***-**-22IN - GRACIE, JULIA	PETROLEO BRASILEIRO SA PETROBRAS SP	3,867.00	77.49	21.00	56.49	88.0	49.71
	ACCOUNT #: LSR011019	SELL 300 Units @12.8900						
05/08/2018	***-**-80IN - GRIFFITH, DAVID	STEIN MART INC COM	2,500.00	19.99	8.99	11.00	88.0	9.68
	ACCOUNT #: LSF000286	BUY 1000 Units @2.5000						
05/10/2018	***-**-53TR - SABANOSH, ALAN R	VALE S.A. SPONS ADR REPR 1 COM NPV	4,332.00	87.49	21.00	66.49	88.0	58.51
	ACCOUNT #: LSR010917	SELL 300 Units @14.4400						
* STOCKS SUBTOTAL *			<b>\$68,664.55</b>	<b>\$1,263.82</b>	<b>\$493.69</b>	<b>\$770.13</b>		<b>\$677.69</b>
<b>PRODUCT CATEGORY: 529 PLAN</b>								
05/14/2018	***-**-244I - BURTON, RICHARD	NYA JPM 529 EQUITY INCOME PORTF C	50.00	0.50	0.00	0.50	88.0	0.44
	ACCOUNT #: 77243486101	BUY 0 Units @0.0000						
* 529 PLAN SUBTOTAL *			<b>\$50.00</b>	<b>\$0.50</b>	<b>\$0.00</b>	<b>\$0.50</b>		<b>\$0.44</b>
<b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</b>								
05/02/2018	***-**-794I - INGERSOLL, JOAN	HARTFORD BALANCED INCOME FD CL A	0.00	0.40	0.00	0.40	88.0	0.35
	ACCOUNT #: 00000871758	BUY 0 Units @0.0000						
05/02/2018	***-**-015P - SABANOSH, SHERYL	HARTFORD CHECKS AND BALANCED FUND C	0.00	0.66	0.00	0.66	88.0	0.58
	ACCOUNT #: 00000856950	BUY 0 Units @0.0000						
05/02/2018	***-**-794I - INGERSOLL, JOAN	HARTFORD CHECKS AND BALANCED FUND C	0.00	0.43	0.00	0.43	88.0	0.38
	ACCOUNT #: 00000871758	BUY 0 Units @0.0000						
05/14/2018	***-**-05IR - HULL, JEFF	MANNING & NAPIER PRO NFS	0.00	4.28	0.00	4.28	88.0	3.77
	ACCOUNT #: LSR011534	BUY 1 Units @0.0000						
05/14/2018	***-**-13IR - E, KAREN	MASSACHUSETTS INVESTORS TRUST-A	0.00	0.69	0.00	0.69	88.0	0.61
	ACCOUNT #: LSR011953	BUY 1 Units @0.0000						
05/14/2018	***-**-355I - CRIMMINS, KAREN	MFS AGGRESS GROWTH ALLOCATION FD-B	0.00	0.63	0.00	0.63	88.0	0.55
	ACCOUNT #: LSR011077	BUY 1 Units @0.0000						
05/14/2018	***-**-355I - CRIMMINS, KAREN	MFS CONSERVATIVE ALLOCATION FUND-B	0.00	0.71	0.00	0.71	88.0	0.62
	ACCOUNT #: LSR011077	BUY 1 Units @0.0000						
05/14/2018	***-**-13IR - E, KAREN	MFS EMERGING MARKETS DEBT FUND-A	0.00	0.06	0.00	0.06	88.0	0.05
	ACCOUNT #: LSR011953	BUY 1 Units @0.0000						
05/14/2018	***-**-13IR - E, KAREN	MFS EMERGING MKT DEBT CL B	0.00	0.27	0.00	0.27	88.0	0.24
	ACCOUNT #: LSR011953	BUY 1 Units @0.0000						



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<b>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b>								
05/14/2018	***-**-355I - CRIMMINS, KAREN	MFS GLOBAL ALTERNATIVE STRAT B	0.00	1.57	0.00	1.57	88.0	1.38
	ACCOUNT #: LSR011077	BUY 1 Units @0.0000						
05/14/2018	***-**-450I - SPAETH, JACK	MFS GLOBAL REAL ESTATE FUND CL B	0.00	0.57	0.00	0.57	88.0	0.50
	ACCOUNT #: LSR011015	BUY 1 Units @0.0000						
05/14/2018	***-**-387I - KINNEY, DOUGLAS	MFS GLOBAL REAL ESTATE FUND CL B	0.00	0.39	0.00	0.39	88.0	0.34
	ACCOUNT #: LSR011322	BUY 1 Units @0.0000						
05/14/2018	***-**-869I - CASEY, JOHN	MFS GLOBAL REAL ESTATE FUND CL B	0.00	0.39	0.00	0.39	88.0	0.34
	ACCOUNT #: LSR011323	BUY 1 Units @0.0000						
05/14/2018	***-**-13IR - E, KAREN	MFS GLOBAL TOTAL RETURN FUND-A	0.00	0.53	0.00	0.53	88.0	0.47
	ACCOUNT #: LSR011953	BUY 1 Units @0.0000						
05/14/2018	***-**-355I - CRIMMINS, KAREN	MFS GLOBAL TOTAL RETURN FUND-B	0.00	2.55	0.00	2.55	88.0	2.24
	ACCOUNT #: LSR011077	BUY 1 Units @0.0000						
05/14/2018	***-**-73IN - SCOTELLARO IV,	MFS GLOBAL TOTAL RETURN FUND-B	0.00	2.46	0.00	2.46	88.0	2.16
	ACCOUNT #: LSR011086	BUY 1 Units @0.0000						
05/14/2018	***-**-94IO - PERRITANO,	MFS GLOBAL TOTAL RETURN FUND-B	0.00	2.40	0.00	2.40	88.0	2.11
	ACCOUNT #: LSR011099	BUY 1 Units @0.0000						
05/14/2018	***-**-187I - WASZKIEWICZ, FBO	MFS GLOBAL TOTAL RETURN FUND-B	0.00	2.10	0.00	2.10	88.0	1.85
	ACCOUNT #: LSR011144	BUY 1 Units @0.0000						
05/14/2018	***-**-40UT - BROWN CUST	MFS GLOBAL TOTAL RETURN FUND-B	0.00	0.23	0.00	0.23	88.0	0.20
	ACCOUNT #: LSR011178	BUY 1 Units @0.0000						
05/14/2018	***-**-387I - KINNEY, DOUGLAS	MFS GLOBAL TOTAL RETURN FUND-B	0.00	1.24	0.00	1.24	88.0	1.09
	ACCOUNT #: LSR011322	BUY 1 Units @0.0000						
05/14/2018	***-**-1300 - MUMIN,	MFS GLOBAL TOTAL RETURN FUND-B	0.00	1.67	0.00	1.67	88.0	1.47
	ACCOUNT #: LSR011333	BUY 1 Units @0.0000						
05/14/2018	***-**-3017 - MUMIN, MESSIAH	MFS GLOBAL TOTAL RETURN FUND-B	0.00	1.67	0.00	1.67	88.0	1.47
	ACCOUNT #: LSR011334	BUY 1 Units @0.0000						
05/14/2018	***-**-0642 - MUMIN, MARY JO	MFS GLOBAL TOTAL RETURN FUND-B	0.00	1.67	0.00	1.67	88.0	1.47
	ACCOUNT #: LSR011335	BUY 1 Units @0.0000						
05/14/2018	***-**-41TR - DAMSKY, BARRY	MFS GLOBAL TOTAL RETURN FUND-B	0.00	2.42	0.00	2.42	88.0	2.13
	ACCOUNT #: LSR011340	BUY 1 Units @0.0000						
05/14/2018	***-**-499X - LARA M TUR, SPS	MFS GLOBAL TOTAL RETURN FUND-B	0.00	1.46	0.00	1.46	88.0	1.28
	ACCOUNT #: LSR011400	BUY 1 Units @0.0000						



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<b>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b>								
05/14/2018	***-**-28IO - CROWE, EMILY	MFS GLOBAL TOTAL RETURN FUND-B	0.00	2.50	0.00	2.50	88.0	2.20
	ACCOUNT #: LSR011427	BUY 1 Units @0.0000						
05/14/2018	***-**-13IR - MURRAY, JOHN	MFS GLOBAL TOTAL RETURN FUND-B	0.00	1.24	0.00	1.24	88.0	1.09
	ACCOUNT #: LSR011459	BUY 1 Units @0.0000						
05/14/2018	***-**-90IO - DRUMM, LOIS	MFS GLOBAL TOTAL RETURN FUND-B	0.00	3.97	0.00	3.97	88.0	3.49
	ACCOUNT #: LSR011609	BUY 1 Units @0.0000						
05/14/2018	***-**-29IO - LORUSSO, VINCENT	MFS GLOBAL TOTAL RETURN FUND-B	0.00	3.99	0.00	3.99	88.0	3.51
	ACCOUNT #: LSR011681	BUY 1 Units @0.0000						
05/14/2018	***-**-13IR - E, KAREN	MFS GLOBAL TOTAL RETURN FUND-B	0.00	1.72	0.00	1.72	88.0	1.51
	ACCOUNT #: LSR011953	BUY 1 Units @0.0000						
05/14/2018	***-**-13IR - E, KAREN	MFS INFLATION ADJUSTED BOND CL B	0.00	0.09	0.00	0.09	88.0	0.08
	ACCOUNT #: LSR011953	BUY 1 Units @0.0000						
05/14/2018	***-**-13IR - E, KAREN	MFS INFLATION ADJUSTED BOND FUND-A	0.00	0.10	0.00	0.10	88.0	0.09
	ACCOUNT #: LSR011953	BUY 1 Units @0.0000						
05/14/2018	***-**-355I - CRIMMINS, KAREN	MFS INTERNATIONAL DIVERSIFICATION F	0.00	0.83	0.00	0.83	88.0	0.73
	ACCOUNT #: LSR011077	BUY 1 Units @0.0000						
05/14/2018	***-**-29IO - LORUSSO, VINCENT	MFS TECHNOLOGY FUND-B	0.00	1.46	0.00	1.46	88.0	1.28
	ACCOUNT #: LSR011681	BUY 1 Units @0.0000						
05/14/2018	***-**-13IR - E, KAREN	MFS TECHNOLOGY FUND-B	0.00	1.77	0.00	1.77	88.0	1.56
	ACCOUNT #: LSR011953	BUY 1 Units @0.0000						
05/14/2018	***-**-13IR - E, KAREN	MFS TOTAL RETURN FUND-A	0.00	0.48	0.00	0.48	88.0	0.42
	ACCOUNT #: LSR011953	BUY 1 Units @0.0000						
05/14/2018	***-**-13IR - E, KAREN	MFS TOTAL RETURN FUND-B	0.00	0.29	0.00	0.29	88.0	0.26
	ACCOUNT #: LSR011953	BUY 1 Units @0.0000						
05/14/2018	***-**-369I - DAVIS, BRUCE	MFS UTILITIES FUND-A	0.00	0.95	0.00	0.95	88.0	0.84
	ACCOUNT #: LSR011029	BUY 1 Units @0.0000						
05/14/2018	***-**-698J - FEISTHAMEL, MR	MFS UTILITIES FUND-A	0.00	1.77	0.00	1.77	88.0	1.56
	ACCOUNT #: LSR011137	BUY 1 Units @0.0000						
05/14/2018	***-**-13IR - E, KAREN	MFS UTILITIES FUND-A	0.00	0.42	0.00	0.42	88.0	0.37
	ACCOUNT #: LSR011953	BUY 1 Units @0.0000						
05/14/2018	***-**-621I - DANIELS SR, JOHN	MFS UTILITIES FUND-B	0.00	3.57	0.00	3.57	88.0	3.14
	ACCOUNT #: LSR010950	BUY 1 Units @0.0000						



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<b>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b>								
05/14/2018	***-**-614I - MARIOTTI, CINDY	MFS UTILITIES FUND-B	0.00	2.62	0.00	2.62	88.0	2.31
	ACCOUNT #: LSR011535	BUY 1 Units @0.0000						
05/14/2018	***-**-39IR - VELARDI, CHRIS	MFS UTILITIES FUND-B	0.00	0.33	0.00	0.33	88.0	0.29
	ACCOUNT #: LSR011591	BUY 1 Units @0.0000						
05/14/2018	***-**-13IR - E, KAREN	MFS UTILITIES FUND-B	0.00	1.06	0.00	1.06	88.0	0.93
	ACCOUNT #: LSR011953	BUY 1 Units @0.0000						
05/02/2018	***-**-794I - INGERSOLL, JOAN	THE HARTFORD EQUITY INCOME FUND - A	0.00	0.58	0.00	0.58	88.0	0.51
	ACCOUNT #: 00000871758	BUY 0 Units @0.0000						
05/02/2018	***-**-015P - SABANOSH, SHERYL	THE HARTFORD FLOATING RATE FUND - A	0.00	0.49	0.00	0.49	88.0	0.43
	ACCOUNT #: 00000856950	BUY 0 Units @0.0000						
05/02/2018	***-**-015P - SABANOSH, SHERYL	THE HARTFORD GLOBAL HEALTH FUND-A	0.00	1.03	0.00	1.03	88.0	0.91
	ACCOUNT #: 00000856950	BUY 0 Units @0.0000						
05/02/2018	***-**-015P - SABANOSH, SHERYL	THE HARTFORD VALUE OPPORTUNITIES FD	0.00	0.78	0.00	0.78	88.0	0.69
	ACCOUNT #: 00000856950	BUY 0 Units @0.0000						
	<b>* MUTUAL FUND 12B1 TRAILS SUBTOTAL *</b>		<b>\$0.00</b>	<b>\$63.49</b>	<b>\$0.00</b>	<b>\$63.49</b>		<b>\$55.85</b>
	<b>*** BROKER TRANSACTIONS TOTAL ***</b>		<b>\$211,374.53</b>	<b>\$3,040.11</b>	<b>\$625.69</b>	<b>\$2,414.42</b>		<b>\$2,123.21</b>

### VERRIDE TRANSACTIONS

#### BROKER: KURT GRUENEWALD

05/14/2018	***-**-711O - FAMOLARO, JAMES	AIM GLOBAL VALUE FUND - CLASS A	0.00	0.33	0.00	0.33	88.0	0.29
	ACCOUNT #: LSR011279	BUY 1 Units @0.0000						
05/14/2018	***-**-306X - COBB, CHERRYL	AIM GOLD & PRECIOUS METALS FD - A	0.00	0.73	0.00	0.73	88.0	0.64
	ACCOUNT #: LSR011037	BUY 1 Units @0.0000						
05/14/2018	***-**-580X - COBB, JAMES	AIM GOLD & PRECIOUS METALS FD - A	0.00	0.66	0.00	0.66	88.0	0.58
	ACCOUNT #: LSR011040	BUY 1 Units @0.0000						
05/14/2018	***-**-837O - BASEMENT	AIM GOLD & PRECIOUS METALS FD - A	0.00	1.95	0.00	1.95	88.0	1.72
	ACCOUNT #: LSR011046	BUY 1 Units @0.0000						
05/07/2018	***-**-80IN - COBB, JAMES	CAMECO CORP COM NPV ISIN #CA13321L1	2,270.00	30.99	0.00	30.99	88.0	27.27
	ACCOUNT #: LSR011042	BUY 200 Units @11.3500						
05/14/2018	***-**-944O - MAYO, DEBORAH	EATON VANCE MF TRAILS	0.00	0.43	0.00	0.43	88.0	0.38
	ACCOUNT #: 5034930049	BUY 0 Units @0.0000						



# COMMISSION STATEMENT

## May 14, 2018

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

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b> OVERRIDE TRANSACTIONS (continued)</b>								
<b> <u>BROKER: KURT GRUENEWALD (continued)</u></b>								
05/14/2018	***-**-71IO - FAMOLARO, JAMES ACCOUNT #: LSR011279	INVESCO VAN KAMPEN COMSTOCK CLASS A BUY 1 Units @0.0000	0.00	0.44	0.00	0.44	88.0	0.39
05/14/2018	***-**-71IO - FAMOLARO, JAMES ACCOUNT #: LSR011279	INVESCO VAN KAMPEN EQUITY AND INCOM BUY 1 Units @0.0000	0.00	0.40	0.00	0.40	88.0	0.35
05/08/2018	***-**-15IN - PENDRAK, JOHN ACCOUNT #: LSR010948	LORD ABBETT RESEARCH SMALL CAP CLAS BUY 423 Units @11.8200	5,000.00	13.99	0.00	13.99	88.0	12.31
05/14/2018	***-**-944O - MAYO, DEBORAH ACCOUNT #: LSR011035	MFS AGGRESSIVE GROWTH ALLOCATION FD BUY 1 Units @0.0000	0.00	1.03	0.00	1.03	88.0	0.91
05/14/2018	***-**-13IN - ROTH, KAREN ACCOUNT #: LSR011954	MFS BLENDED RESEARCH CORE EQUITY FD BUY 1 Units @0.0000	0.00	1.25	0.00	1.25	88.0	1.10
05/14/2018	***-**-881I - EBERLEY, SUSAN ACCOUNT #: LSR010858	MFS CONSERVATIVE ALLOCATION CL C BUY 1 Units @0.0000	0.00	9.38	0.00	9.38	88.0	8.25
05/14/2018	***-**-901I - SATTERLY, ANN ACCOUNT #: LSR010874	MFS CONSERVATIVE ALLOCATION CL C BUY 1 Units @0.0000	0.00	9.31	0.00	9.31	88.0	8.19
05/14/2018	***-**-382K - SATTERLY, NEIL ACCOUNT #: LSR010875	MFS CONSERVATIVE ALLOCATION CL C BUY 1 Units @0.0000	0.00	4.22	0.00	4.22	88.0	3.71
05/14/2018	***-**-48IO - CLARK, PATRICK ACCOUNT #: LSR010911	MFS CONSERVATIVE ALLOCATION CL C BUY 1 Units @0.0000	0.00	17.82	0.00	17.82	88.0	15.68
05/14/2018	***-**-031O - MCVOY, ROBERT ACCOUNT #: LSR010916	MFS CONSERVATIVE ALLOCATION CL C BUY 1 Units @0.0000	0.00	4.37	0.00	4.37	88.0	3.85
05/14/2018	***-**-72IN - GAVALO, JULIE ACCOUNT #: LSR010921	MFS CONSERVATIVE ALLOCATION CL C BUY 1 Units @0.0000	0.00	16.94	0.00	16.94	88.0	14.91
05/14/2018	***-**-959I - FRANZ, PAUL ACCOUNT #: LSR010959	MFS CONSERVATIVE ALLOCATION CL C BUY 1 Units @0.0000	0.00	16.65	0.00	16.65	88.0	14.65
05/14/2018	***-**-065I - LAZIO, THOMAS ACCOUNT #: LSR010979	MFS CONSERVATIVE ALLOCATION CL C BUY 1 Units @0.0000	0.00	7.68	0.00	7.68	88.0	6.76
05/14/2018	***-**-420T - DEMETRI, AMELIA ACCOUNT #: LSR010994	MFS CONSERVATIVE ALLOCATION CL C BUY 1 Units @0.0000	0.00	6.07	0.00	6.07	88.0	5.34
05/14/2018	***-**-73TR - WESTCOTT IRRVOC ACCOUNT #: LSR011001	MFS CONSERVATIVE ALLOCATION CL C BUY 1 Units @0.0000	0.00	8.20	0.00	8.20	88.0	7.22
05/14/2018	***-**-837O - BASEMENT ACCOUNT #: LSR011046	MFS CONSERVATIVE ALLOCATION CL C BUY 1 Units @0.0000	0.00	4.77	0.00	4.77	88.0	4.20



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<b> OVERRIDE TRANSACTIONS (continued)</b>								
<b> <u>BROKER: KURT GRUENEWALD (continued)</u></b>								
05/14/2018	***-**-09IO - BATES, FBO MRS	MFS CONSERVATIVE ALLOCATION CL C	0.00	14.46	0.00	14.46	88.0	12.72
	ACCOUNT #: LSR011117	BUY 1 Units @0.0000						
05/14/2018	***-**-89IN - LEE, ROGER	MFS CONSERVATIVE ALLOCATION CL C	0.00	17.37	0.00	17.37	88.0	15.29
	ACCOUNT #: LSR011166	BUY 1 Units @0.0000						
05/14/2018	***-**-900J - LEE, MR.	MFS CONSERVATIVE ALLOCATION CL C	0.00	4.20	0.00	4.20	88.0	3.70
	ACCOUNT #: LSR011186	BUY 1 Units @0.0000						
05/14/2018	***-**-06IR - CAMPBELL, PAMELA	MFS CONSERVATIVE ALLOCATION CL C	0.00	6.29	0.00	6.29	88.0	5.54
	ACCOUNT #: LSR011222	BUY 1 Units @0.0000						
05/14/2018	***-**-11IO - LYNN G.	MFS CONSERVATIVE ALLOCATION CL C	0.00	13.74	0.00	13.74	88.0	12.09
	ACCOUNT #: LSR011239	BUY 1 Units @0.0000						
05/14/2018	***-**-80IO - EVANS, RICHARD	MFS CONSERVATIVE ALLOCATION CL C	0.00	9.39	0.00	9.39	88.0	8.26
	ACCOUNT #: LSR011276	BUY 1 Units @0.0000						
05/14/2018	***-**-376I - BERBEN, GAIL	MFS CONSERVATIVE ALLOCATION CL C	0.00	13.72	0.00	13.72	88.0	12.07
	ACCOUNT #: LSR011380	BUY 1 Units @0.0000						
05/14/2018	***-**-45IO - JOHNSON, GREGORY	MFS CONSERVATIVE ALLOCATION CL C	0.00	18.10	0.00	18.10	88.0	15.93
	ACCOUNT #: LSR011421	BUY 1 Units @0.0000						
05/14/2018	***-**-14IO - BUSHEY, MATTHEW	MFS CONSERVATIVE ALLOCATION CL C	0.00	9.11	0.00	9.11	88.0	8.02
	ACCOUNT #: LSR011498	BUY 1 Units @0.0000						
05/14/2018	***-**-37IO - MCCLUSKY, MARK	MFS CONSERVATIVE ALLOCATION CL C	0.00	7.55	0.00	7.55	88.0	6.64
	ACCOUNT #: LSR011579	BUY 1 Units @0.0000						
05/14/2018	***-**-99IN - EDELMAN, TINA	MFS CONSERVATIVE ALLOCATION CL C	0.00	0.08	0.00	0.08	88.0	0.07
	ACCOUNT #: LSR011956	BUY 1 Units @0.0000						
05/14/2018	***-**-28IN - BYWATER, KIM	MFS CONSERVATIVE ALLOCATION CL C	0.00	0.13	0.00	0.13	88.0	0.11
	ACCOUNT #: LSR011995	BUY 1 Units @0.0000						
05/14/2018	***-**-35IN - RUGGIERO, LAURIE	MFS CONSERVATIVE ALLOCATION CL C	0.00	0.01	0.00	0.01	88.0	0.01
	ACCOUNT #: LSR012314	BUY 1 Units @0.0000						
05/14/2018	***-**-31IO - JOSEPH, ANN	MFS CONSERVATIVE ALLOCATION CL C	0.00	0.01	0.00	0.01	88.0	0.01
	ACCOUNT #: LSR012337	BUY 1 Units @0.0000						
05/14/2018	***-**-188I - BRADLEY, WAYNE	MFS CONSERVATIVE ALLOCATION CL C	0.00	0.01	0.00	0.01	88.0	0.01
	ACCOUNT #: LSR012484	BUY 1 Units @0.0000						
05/14/2018	***-**-944O - MAYO, DEBORAH	MFS CONSERVATIVE ALLOCATION FUND-A	0.00	1.12	0.00	1.12	88.0	0.99
	ACCOUNT #: LSR011035	BUY 1 Units @0.0000						





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<b><u> OVERRIDE TRANSACTIONS (continued) </u></b>								
<b><u> BROKER: KURT GRUENEWALD (continued) </u></b>								
05/14/2018	***-**-254I - AUGUSTINE, LINDA	MFS CONSERVATIVE ALLOCATION FUND-B	0.00	0.78	0.00	0.78	88.0	0.69
	ACCOUNT #: LSR010846	BUY 1 Units @0.0000						
05/14/2018	***-**-15IN - PENDRAK, JOHN	MFS CONSERVATIVE ALLOCATION FUND-B	0.00	2.11	0.00	2.11	88.0	1.86
	ACCOUNT #: LSR010948	BUY 1 Units @0.0000						
05/14/2018	***-**-960J - MASTRANGELO,	MFS CONSERVATIVE ALLOCATION FUND-B	0.00	5.41	0.00	5.41	88.0	4.76
	ACCOUNT #: LSR010966	BUY 1 Units @0.0000						
05/14/2018	***-**-51IO - CAIN, TIMOTHY	MFS CONSERVATIVE ALLOCATION FUND-B	0.00	2.55	0.00	2.55	88.0	2.24
	ACCOUNT #: LSR011007	BUY 1 Units @0.0000						
05/14/2018	***-**-761I - EVANS, DOLORES	MFS CONSERVATIVE ALLOCATION FUND-B	0.00	2.04	0.00	2.04	88.0	1.80
	ACCOUNT #: LSR011024	BUY 1 Units @0.0000						
05/14/2018	***-**-944O - MAYO, DEBORAH	MFS CONSERVATIVE ALLOCATION FUND-B	0.00	0.48	0.00	0.48	88.0	0.42
	ACCOUNT #: LSR011035	BUY 1 Units @0.0000						
05/14/2018	***-**-326J - GRANDE, MR	MFS CONSERVATIVE ALLOCATION FUND-B	0.00	0.56	0.00	0.56	88.0	0.49
	ACCOUNT #: LSR011089	BUY 1 Units @0.0000						
05/14/2018	***-**-13IN - RHYMESTINE,	MFS CONSERVATIVE ALLOCATION FUND-B	0.00	1.00	0.00	1.00	88.0	0.88
	ACCOUNT #: LSR011106	BUY 1 Units @0.0000						
05/14/2018	***-**-367J - WAGNER, MRS LANT	MFS CONSERVATIVE ALLOCATION FUND-B	0.00	1.11	0.00	1.11	88.0	0.98
	ACCOUNT #: LSR011134	BUY 1 Units @0.0000						
05/14/2018	***-**-992J - CORNACCHIA	MFS CONSERVATIVE ALLOCATION FUND-B	0.00	0.39	0.00	0.39	88.0	0.34
	ACCOUNT #: LSR011157	BUY 1 Units @0.0000						
05/14/2018	***-**-31IO - WILLIAMSON, FBO	MFS CONSERVATIVE ALLOCATION FUND-B	0.00	3.83	0.00	3.83	88.0	3.37
	ACCOUNT #: LSR011172	BUY 1 Units @0.0000						
05/14/2018	***-**-64IO - PFAFF, GEORGE	MFS CONSERVATIVE ALLOCATION FUND-B	0.00	1.12	0.00	1.12	88.0	0.99
	ACCOUNT #: LSR011185	BUY 1 Units @0.0000						
05/14/2018	***-**-448X - ANACKER, SUSAN	MFS CONSERVATIVE ALLOCATION FUND-B	0.00	0.79	0.00	0.79	88.0	0.70
	ACCOUNT #: LSR011578	BUY 1 Units @0.0000						
05/14/2018	***-**-382K - SATTERLY, NEIL	MFS DIVERSIFIED INCOME FD CL C	0.00	4.44	0.00	4.44	88.0	3.91
	ACCOUNT #: LSR010875	BUY 1 Units @0.0000						
05/14/2018	***-**-980I - ACEE, ELIZABETH	MFS DIVERSIFIED INCOME FD CL C	0.00	8.92	0.00	8.92	88.0	7.85
	ACCOUNT #: LSR010885	BUY 1 Units @0.0000						
05/14/2018	***-**-72IN - GAVALO, JULIE	MFS DIVERSIFIED INCOME FD CL C	0.00	16.20	0.00	16.20	88.0	14.26
	ACCOUNT #: LSR010921	BUY 1 Units @0.0000						



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<b> OVERRIDE TRANSACTIONS (continued)</b>								
<b> <u>BROKER: KURT GRUENEWALD (continued)</u></b>								
05/14/2018	***-**-73TR - WESTCOTT IRRVOC	MFS DIVERSIFIED INCOME FD CL C	0.00	12.60	0.00	12.60	88.0	11.09
	ACCOUNT #: LSR011008	BUY 1 Units @0.0000						
05/14/2018	***-**-132O - EVANS, THOMAS	MFS DIVERSIFIED INCOME FD CL C	0.00	7.98	0.00	7.98	88.0	7.02
	ACCOUNT #: LSR011074	BUY 1 Units @0.0000						
05/14/2018	***-**-44IO - MAYO, DEBORAH	MFS DIVERSIFIED INCOME FD CL C	0.00	20.66	0.00	20.66	88.0	18.18
	ACCOUNT #: LSR011079	BUY 1 Units @0.0000						
05/14/2018	***-**-579J - RHYMESTINE,	MFS DIVERSIFIED INCOME FD CL C	0.00	18.15	0.00	18.15	88.0	15.97
	ACCOUNT #: LSR011081	BUY 1 Units @0.0000						
05/14/2018	***-**-09IO - BATES, FBO MRS	MFS DIVERSIFIED INCOME FD CL C	0.00	13.81	0.00	13.81	88.0	12.15
	ACCOUNT #: LSR011117	BUY 1 Units @0.0000						
05/14/2018	***-**-89IN - LEE, ROGER	MFS DIVERSIFIED INCOME FD CL C	0.00	5.71	0.00	5.71	88.0	5.02
	ACCOUNT #: LSR011166	BUY 1 Units @0.0000						
05/14/2018	***-**-64IO - PFAFF, GEORGE	MFS DIVERSIFIED INCOME FD CL C	0.00	5.72	0.00	5.72	88.0	5.03
	ACCOUNT #: LSR011185	BUY 1 Units @0.0000						
05/14/2018	***-**-439J - MCCARTHY, JAMES	MFS DIVERSIFIED INCOME FD CL C	0.00	3.03	0.00	3.03	88.0	2.67
	ACCOUNT #: LSR011205	BUY 1 Units @0.0000						
05/14/2018	***-**-52IO - EUSEPI, SUSAN	MFS DIVERSIFIED INCOME FD CL C	0.00	6.01	0.00	6.01	88.0	5.29
	ACCOUNT #: LSR011219	BUY 1 Units @0.0000						
05/14/2018	***-**-81IR - CAMPBELL,	MFS DIVERSIFIED INCOME FD CL C	0.00	5.80	0.00	5.80	88.0	5.10
	ACCOUNT #: LSR011223	BUY 1 Units @0.0000						
05/14/2018	***-**-439I - MCCARTHY, JAMES	MFS DIVERSIFIED INCOME FD CL C	0.00	2.17	0.00	2.17	88.0	1.91
	ACCOUNT #: LSR011244	BUY 1 Units @0.0000						
05/14/2018	***-**-376I - BERBEN, GAIL	MFS DIVERSIFIED INCOME FD CL C	0.00	8.90	0.00	8.90	88.0	7.83
	ACCOUNT #: LSR011380	BUY 1 Units @0.0000						
05/14/2018	***-**-45IO - JOHNSON, GREGORY	MFS DIVERSIFIED INCOME FD CL C	0.00	13.48	0.00	13.48	88.0	11.86
	ACCOUNT #: LSR011421	BUY 1 Units @0.0000						
05/14/2018	***-**-14IO - BUSHEY, MATTHEW	MFS DIVERSIFIED INCOME FD CL C	0.00	13.27	0.00	13.27	88.0	11.68
	ACCOUNT #: LSR011498	BUY 1 Units @0.0000						
05/14/2018	***-**-37IO - MCCLUSKY, MARK	MFS DIVERSIFIED INCOME FD CL C	0.00	4.88	0.00	4.88	88.0	4.29
	ACCOUNT #: LSR011579	BUY 1 Units @0.0000						
05/14/2018	***-**-35IN - RUGGIERO, LAURIE	MFS DIVERSIFIED INCOME FD CL C	0.00	0.03	0.00	0.03	88.0	0.03
	ACCOUNT #: LSR012314	BUY 1 Units @0.0000						



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<b><u> OVERRIDE TRANSACTIONS (continued) </u></b>								
<b><u>BROKER: KURT GRUENEWALD (continued)</u></b>								
05/14/2018	***-**-52IN - ROBERTS, LILLIAN	MFS DIVERSIFIED INCOME FD CL C	0.00	0.01	0.00	0.01	88.0	0.01
	ACCOUNT #: LSR012352	BUY 1 Units @0.0000						
05/14/2018	***-**-24IN - BLISS, RYAN	MFS EMERGING GROWTH FUND-B	0.00	0.28	0.00	0.28	88.0	0.25
	ACCOUNT #: LSR011502	BUY 1 Units @0.0000						
05/14/2018	***-**-881I - EBERLEY, SUSAN	MFS EMERGING MARKETS EQUITY FUND-B	0.00	0.78	0.00	0.78	88.0	0.69
	ACCOUNT #: LSR010858	BUY 1 Units @0.0000						
05/14/2018	***-**-960J - MASTRANGELO,	MFS EMERGING MARKETS EQUITY FUND-B	0.00	1.38	0.00	1.38	88.0	1.21
	ACCOUNT #: LSR010966	BUY 1 Units @0.0000						
05/14/2018	***-**-761I - EVANS, DOLORES	MFS EMERGING MARKETS EQUITY FUND-B	0.00	1.41	0.00	1.41	88.0	1.24
	ACCOUNT #: LSR011024	BUY 1 Units @0.0000						
05/14/2018	***-**-579J - RHYMESTINE,	MFS EMERGING MARKETS EQUITY FUND-B	0.00	0.76	0.00	0.76	88.0	0.67
	ACCOUNT #: LSR011081	BUY 1 Units @0.0000						
05/14/2018	***-**-326I - GRANDE, FBO MR	MFS EMERGING MARKETS EQUITY FUND-B	0.00	1.39	0.00	1.39	88.0	1.22
	ACCOUNT #: LSR011091	BUY 1 Units @0.0000						
05/14/2018	***-**-197I - GAMBINO, ANDREW	MFS EMERGING MARKETS EQUITY FUND-B	0.00	0.22	0.00	0.22	88.0	0.19
	ACCOUNT #: LSR011465	BUY 1 Units @0.0000						
05/14/2018	***-**-45IR - WILLIAMSON,	MFS EMERGING MARKETS EQUITY FUND-B	0.00	1.06	0.00	1.06	88.0	0.93
	ACCOUNT #: LSR011764	BUY 1 Units @0.0000						
05/14/2018	***-**-254I - AUGUSTINE, LINDA	MFS EMERGING MKT DEBT CL B	0.00	1.05	0.00	1.05	88.0	0.92
	ACCOUNT #: LSR010846	BUY 1 Units @0.0000						
05/14/2018	***-**-881J - EBERLEY, SUSAN	MFS EMERGING MKT DEBT CL B	0.00	0.80	0.00	0.80	88.0	0.70
	ACCOUNT #: LSR010856	BUY 1 Units @0.0000						
05/14/2018	***-**-949I - ACEE, JOSPEH	MFS EMERGING MKT DEBT CL B	0.00	0.99	0.00	0.99	88.0	0.87
	ACCOUNT #: LSR010908	BUY 1 Units @0.0000						
05/14/2018	***-**-31IO - HARTZ, CLAUDIA	MFS EMERGING MKT DEBT CL B	0.00	1.19	0.00	1.19	88.0	1.05
	ACCOUNT #: LSR010915	BUY 1 Units @0.0000						
05/14/2018	***-**-960J - MASTRANGELO,	MFS EMERGING MKT DEBT CL B	0.00	0.65	0.00	0.65	88.0	0.57
	ACCOUNT #: LSR010966	BUY 1 Units @0.0000						
05/14/2018	***-**-944O - MAYO, DEBORAH	MFS EMERGING MKT DEBT CL B	0.00	1.29	0.00	1.29	88.0	1.14
	ACCOUNT #: LSR011035	BUY 1 Units @0.0000						
05/14/2018	***-**-580X - COBB, JAMES	MFS EMERGING MKT DEBT CL B	0.00	1.14	0.00	1.14	88.0	1.00
	ACCOUNT #: LSR011040	BUY 1 Units @0.0000						



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<b> OVERRIDE TRANSACTIONS (continued) </b>								
<b> <u>BROKER: KURT GRUENEWALD (continued)</u> </b>								
05/14/2018	***-**-506J - CURRIERE JR, MR	MFS EMERGING MKT DEBT CL B	0.00	0.36	0.00	0.36	88.0	0.32
	ACCOUNT #: LSR011121	BUY 1 Units @0.0000						
05/14/2018	***-**-367J - WAGNER, MRS LANT	MFS EMERGING MKT DEBT CL B	0.00	0.88	0.00	0.88	88.0	0.77
	ACCOUNT #: LSR011134	BUY 1 Units @0.0000						
05/14/2018	***-**-31IO - WILLIAMSON, FBO	MFS EMERGING MKT DEBT CL B	0.00	1.27	0.00	1.27	88.0	1.12
	ACCOUNT #: LSR011172	BUY 1 Units @0.0000						
05/14/2018	***-**-64IO - PFAFF, GEORGE	MFS EMERGING MKT DEBT CL B	0.00	1.17	0.00	1.17	88.0	1.03
	ACCOUNT #: LSR011185	BUY 1 Units @0.0000						
05/14/2018	***-**-62IR - ROBBIANO, FBO	MFS EMERGING MKT DEBT CL B	0.00	0.50	0.00	0.50	88.0	0.44
	ACCOUNT #: LSR011195	BUY 1 Units @0.0000						
05/14/2018	***-**-29IO - MASSOUD,	MFS EMERGING MKT DEBT CL B	0.00	0.01	0.00	0.01	88.0	0.01
	ACCOUNT #: LSR011217	BUY 1 Units @0.0000						
05/14/2018	***-**-44IO - MAYO, DEBORAH	MFS EMERGING MKTS DEBT CLASS C	0.00	10.15	0.00	10.15	88.0	8.93
	ACCOUNT #: LSR011079	BUY 1 Units @0.0000						
05/14/2018	***-**-960J - MASTRANGELO,	MFS EQUITY OPPORTUNITIES CL B	0.00	1.60	0.00	1.60	88.0	1.41
	ACCOUNT #: LSR010966	BUY 1 Units @0.0000						
05/14/2018	***-**-944O - MAYO, DEBORAH	MFS GLOBAL ALTERNATIVE STRAT A	0.00	0.62	0.00	0.62	88.0	0.55
	ACCOUNT #: LSR011035	BUY 1 Units @0.0000						
05/14/2018	***-**-978I - GUNN, KATHLEEN	MFS GLOBAL ALTERNATIVE STRAT B	0.00	0.42	0.00	0.42	88.0	0.37
	ACCOUNT #: LSR011345	BUY 1 Units @0.0000						
05/14/2018	***-**-382I - SATTERLY, NEIL	MFS GLOBAL ALTERNATIVE STRAT C	0.00	6.28	0.00	6.28	88.0	5.53
	ACCOUNT #: LSR010867	BUY 1 Units @0.0000						
05/14/2018	***-**-48IO - CLARK, PATRICK	MFS GLOBAL ALTERNATIVE STRAT C	0.00	14.14	0.00	14.14	88.0	12.44
	ACCOUNT #: LSR010911	BUY 1 Units @0.0000						
05/14/2018	***-**-72IN - GAVALO, JULIE	MFS GLOBAL ALTERNATIVE STRAT C	0.00	13.62	0.00	13.62	88.0	11.99
	ACCOUNT #: LSR010921	BUY 1 Units @0.0000						
05/14/2018	***-**-80IN - COBB, JAMES	MFS GLOBAL ALTERNATIVE STRAT C	0.00	7.28	0.00	7.28	88.0	6.41
	ACCOUNT #: LSR011042	BUY 1 Units @0.0000						
05/14/2018	***-**-09IO - BATES, FBO MRS	MFS GLOBAL ALTERNATIVE STRAT C	0.00	12.39	0.00	12.39	88.0	10.90
	ACCOUNT #: LSR011117	BUY 1 Units @0.0000						
05/14/2018	***-**-11IO - LYNN G.	MFS GLOBAL ALTERNATIVE STRAT C	0.00	16.86	0.00	16.86	88.0	14.84
	ACCOUNT #: LSR011239	BUY 1 Units @0.0000						



# COMMISSION STATEMENT

## May 14, 2018

DAVID GRIFFITH  
2108 Genesee St.  
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BROKER #: A76  
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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b> OVERRIDE TRANSACTIONS (continued)</b>								
<b> <u>BROKER: KURT GRUENEWALD (continued)</u></b>								
05/14/2018	***-**-80IO - EVANS, RICHARD	MFS GLOBAL ALTERNATIVE STRAT C	0.00	10.37	0.00	10.37	88.0	9.13
	ACCOUNT #: LSR011276	BUY 1 Units @0.0000						
05/14/2018	***-**-45IO - JOHNSON, GREGORY	MFS GLOBAL ALTERNATIVE STRAT C	0.00	12.66	0.00	12.66	88.0	11.14
	ACCOUNT #: LSR011421	BUY 1 Units @0.0000						
05/14/2018	***-**-094I - KATRENA L	MFS GLOBAL BOND FUND CLASS C	0.00	3.43	0.00	3.43	88.0	3.02
	ACCOUNT #: LSR011188	BUY 1 Units @0.0000						
05/14/2018	***-**-978I - GUNN, KATHLEEN	MFS GLOBAL EQUITY FUND-B	0.00	0.68	0.00	0.68	88.0	0.60
	ACCOUNT #: LSR011345	BUY 1 Units @0.0000						
05/14/2018	***-**-53IN - EVANS, ANDREW	MFS GLOBAL EQUITY FUND-B	0.00	0.49	0.00	0.49	88.0	0.43
	ACCOUNT #: LSR011483	BUY 1 Units @0.0000						
05/14/2018	***-**-24IN - BLISS, RYAN	MFS GLOBAL EQUITY FUND-B	0.00	0.31	0.00	0.31	88.0	0.27
	ACCOUNT #: LSR011502	BUY 1 Units @0.0000						
05/14/2018	***-**-45IR - WILLIAMSON,	MFS GLOBAL EQUITY FUND-B	0.00	1.15	0.00	1.15	88.0	1.01
	ACCOUNT #: LSR011764	BUY 1 Units @0.0000						
05/14/2018	***-**-21IO - RADELL, SANDRA	MFS GLOBAL REAL ESTATE FUND CL B	0.00	1.55	0.00	1.55	88.0	1.36
	ACCOUNT #: LSR011392	BUY 1 Units @0.0000						
05/14/2018	***-**-53IN - EVANS, ANDREW	MFS GLOBAL REAL ESTATE FUND CL B	0.00	0.28	0.00	0.28	88.0	0.25
	ACCOUNT #: LSR011483	BUY 1 Units @0.0000						
05/14/2018	***-**-24IN - BLISS, RYAN	MFS GLOBAL REAL ESTATE FUND CL B	0.00	0.17	0.00	0.17	88.0	0.15
	ACCOUNT #: LSR011502	BUY 1 Units @0.0000						
05/14/2018	***-**-38IO - BROWN, TYLER	MFS GLOBAL REAL ESTATE FUND CL B	0.00	0.76	0.00	0.76	88.0	0.67
	ACCOUNT #: LSR011602	BUY 1 Units @0.0000						
05/14/2018	***-**-45IN - WILLIAMSON,	MFS GLOBAL REAL ESTATE FUND CL B	0.00	0.70	0.00	0.70	88.0	0.62
	ACCOUNT #: LSR011751	BUY 1 Units @0.0000						
05/14/2018	***-**-628I - SANGER, SANDRA	MFS GLOBAL TOTAL RETURN FUND-A	0.00	0.92	0.00	0.92	88.0	0.81
	ACCOUNT #: LSR010942	BUY 1 Units @0.0000						
05/14/2018	***-**-944O - MAYO, DEBORAH	MFS GLOBAL TOTAL RETURN FUND-A	0.00	0.86	0.00	0.86	88.0	0.76
	ACCOUNT #: LSR011035	BUY 1 Units @0.0000						
05/14/2018	***-**-96IN - NESSIA, BONNIE	MFS GLOBAL TOTAL RETURN FUND-A	0.00	1.17	0.00	1.17	88.0	1.03
	ACCOUNT #: LSR011055	BUY 1 Units @0.0000						
05/14/2018	***-**-861I - SANGER, LAWRENCE	MFS GLOBAL TOTAL RETURN FUND-A	0.00	1.84	0.00	1.84	88.0	1.62
	ACCOUNT #: LSR011095	BUY 1 Units @0.0000						



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## May 14, 2018

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b><u> OVERRIDE TRANSACTIONS (continued) </u></b>								
<b><u> BROKER: KURT GRUENEWALD (continued) </u></b>								
05/14/2018	***-**-02IN - BUSHEY, MELISSA	MFS GLOBAL TOTAL RETURN FUND-A	0.00	0.67	0.00	0.67	88.0	0.59
	ACCOUNT #: LSR011257	BUY 1 Units @0.0000						
05/14/2018	***-**-653J - KOCHER, CLINTON	MFS GLOBAL TOTAL RETURN FUND-A	0.00	0.93	0.00	0.93	88.0	0.82
	ACCOUNT #: LSR011298	BUY 1 Units @0.0000						
05/14/2018	***-**-62IN - EATON, DAVID	MFS GLOBAL TOTAL RETURN FUND-A	0.00	0.18	0.00	0.18	88.0	0.16
	ACCOUNT #: LSR011315	BUY 1 Units @0.0000						
05/14/2018	***-**-254I - AUGUSTINE, LINDA	MFS GLOBAL TOTAL RETURN FUND-B	0.00	0.98	0.00	0.98	88.0	0.86
	ACCOUNT #: LSR010846	BUY 1 Units @0.0000						
05/14/2018	***-**-881J - EBERLEY, SUSAN	MFS GLOBAL TOTAL RETURN FUND-B	0.00	1.47	0.00	1.47	88.0	1.29
	ACCOUNT #: LSR010856	BUY 1 Units @0.0000						
05/14/2018	***-**-949I - ACEE, JOSPEH	MFS GLOBAL TOTAL RETURN FUND-B	0.00	1.47	0.00	1.47	88.0	1.29
	ACCOUNT #: LSR010908	BUY 1 Units @0.0000						
05/14/2018	***-**-31IO - HARTZ, CLAUDIA	MFS GLOBAL TOTAL RETURN FUND-B	0.00	0.78	0.00	0.78	88.0	0.69
	ACCOUNT #: LSR010915	BUY 1 Units @0.0000						
05/14/2018	***-**-959I - FRANZ, PAUL	MFS GLOBAL TOTAL RETURN FUND-B	0.00	2.79	0.00	2.79	88.0	2.46
	ACCOUNT #: LSR010959	BUY 1 Units @0.0000						
05/14/2018	***-**-960J - MASTRANGELO,	MFS GLOBAL TOTAL RETURN FUND-B	0.00	2.05	0.00	2.05	88.0	1.80
	ACCOUNT #: LSR010966	BUY 1 Units @0.0000						
05/14/2018	***-**-51IO - CAIN, TIMOTHY	MFS GLOBAL TOTAL RETURN FUND-B	0.00	1.60	0.00	1.60	88.0	1.41
	ACCOUNT #: LSR011007	BUY 1 Units @0.0000						
05/14/2018	***-**-60UT - FALCHI, ADALYNN	MFS GLOBAL TOTAL RETURN FUND-B	0.00	0.22	0.00	0.22	88.0	0.19
	ACCOUNT #: LSR011010	BUY 1 Units @0.0000						
05/14/2018	***-**-761I - EVANS, DOLORES	MFS GLOBAL TOTAL RETURN FUND-B	0.00	5.64	0.00	5.64	88.0	4.96
	ACCOUNT #: LSR011024	BUY 1 Units @0.0000						
05/14/2018	***-**-63TR - EVANS, AUDREY J	MFS GLOBAL TOTAL RETURN FUND-B	0.00	2.97	0.00	2.97	88.0	2.61
	ACCOUNT #: LSR011036	BUY 1 Units @0.0000						
05/14/2018	***-**-306X - COBB, CHERRYLL	MFS GLOBAL TOTAL RETURN FUND-B	0.00	1.52	0.00	1.52	88.0	1.34
	ACCOUNT #: LSR011037	BUY 1 Units @0.0000						
05/14/2018	***-**-579I - RHYMESTINE,	MFS GLOBAL TOTAL RETURN FUND-B	0.00	2.89	0.00	2.89	88.0	2.54
	ACCOUNT #: LSR011082	BUY 1 Units @0.0000						
05/14/2018	***-**-13IN - RHYMESTINE,	MFS GLOBAL TOTAL RETURN FUND-B	0.00	0.72	0.00	0.72	88.0	0.63
	ACCOUNT #: LSR011106	BUY 1 Units @0.0000						



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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b><u> OVERRIDE TRANSACTIONS (continued) </u></b>								
<b><u> BROKER: KURT GRUENEWALD (continued) </u></b>								
05/14/2018	***-**-76IO - MCALLISTER, FBO	MFS GLOBAL TOTAL RETURN FUND-B	0.00	0.63	0.00	0.63	88.0	0.55
	ACCOUNT #: LSR011107	BUY 1 Units @0.0000						
05/14/2018	***-**-506J - CURRIERE JR, MR	MFS GLOBAL TOTAL RETURN FUND-B	0.00	0.91	0.00	0.91	88.0	0.80
	ACCOUNT #: LSR011121	BUY 1 Units @0.0000						
05/14/2018	***-**-367J - WAGNER, MRS LANT	MFS GLOBAL TOTAL RETURN FUND-B	0.00	1.63	0.00	1.63	88.0	1.43
	ACCOUNT #: LSR011134	BUY 1 Units @0.0000						
05/14/2018	***-**-31IO - WILLIAMSON, FBO	MFS GLOBAL TOTAL RETURN FUND-B	0.00	2.66	0.00	2.66	88.0	2.34
	ACCOUNT #: LSR011172	BUY 1 Units @0.0000						
05/14/2018	***-**-64IO - PFAFF, GEORGE	MFS GLOBAL TOTAL RETURN FUND-B	0.00	1.22	0.00	1.22	88.0	1.07
	ACCOUNT #: LSR011185	BUY 1 Units @0.0000						
05/14/2018	***-**-62IR - ROBBIANO, FBO	MFS GLOBAL TOTAL RETURN FUND-B	0.00	0.90	0.00	0.90	88.0	0.79
	ACCOUNT #: LSR011195	BUY 1 Units @0.0000						
05/14/2018	***-**-52IO - EUSEPI, SUSAN	MFS GLOBAL TOTAL RETURN FUND-B	0.00	2.80	0.00	2.80	88.0	2.46
	ACCOUNT #: LSR011219	BUY 1 Units @0.0000						
05/14/2018	***-**-653I - KOCHER, CLINTON	MFS GLOBAL TOTAL RETURN FUND-B	0.00	2.23	0.00	2.23	88.0	1.96
	ACCOUNT #: LSR011300	BUY 1 Units @0.0000						
05/14/2018	***-**-62IN - EATON, DAVID	MFS GLOBAL TOTAL RETURN FUND-B	0.00	0.50	0.00	0.50	88.0	0.44
	ACCOUNT #: LSR011315	BUY 1 Units @0.0000						
05/14/2018	***-**-21IO - RADELL, SANDRA	MFS GLOBAL TOTAL RETURN FUND-B	0.00	1.50	0.00	1.50	88.0	1.32
	ACCOUNT #: LSR011392	BUY 1 Units @0.0000						
05/14/2018	***-**-241I - DINITTO, ALLISYN	MFS GLOBAL TOTAL RETURN FUND-B	0.00	1.24	0.00	1.24	88.0	1.09
	ACCOUNT #: LSR011444	BUY 1 Units @0.0000						
05/14/2018	***-**-51IN - GERACE, JOANNE	MFS GLOBAL TOTAL RETURN FUND-B	0.00	1.58	0.00	1.58	88.0	1.39
	ACCOUNT #: LSR011538	BUY 1 Units @0.0000						
05/14/2018	***-**-09IO - BATES, FBO MRS	MFS GLOBAL TOTAL RETURN FUND-C	0.00	18.17	0.00	18.17	88.0	15.99
	ACCOUNT #: LSR011117	BUY 1 Units @0.0000						
05/14/2018	***-**-11IO - LYNN G.	MFS GLOBAL TOTAL RETURN FUND-C	0.00	14.00	0.00	14.00	88.0	12.32
	ACCOUNT #: LSR011239	BUY 1 Units @0.0000						
05/14/2018	***-**-376I - BERBEN, GAIL	MFS GLOBAL TOTAL RETURN FUND-C	0.00	12.67	0.00	12.67	88.0	11.15
	ACCOUNT #: LSR011380	BUY 1 Units @0.0000						
05/14/2018	***-**-45IO - JOHNSON, GREGORY	MFS GLOBAL TOTAL RETURN FUND-C	0.00	14.52	0.00	14.52	88.0	12.78
	ACCOUNT #: LSR011421	BUY 1 Units @0.0000						



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<b> OVERRIDE TRANSACTIONS (continued)</b>								
<b> <u>BROKER: KURT GRUENEWALD (continued)</u></b>								
05/14/2018	***-**-13IN - ROTH, KAREN	MFS GOVERNMENT SECURITIES FUND-A	0.00	0.34	0.00	0.34	88.0	0.30
	ACCOUNT #: LSR011954	BUY 1 Units @0.0000						
05/14/2018	***-**-254I - AUGUSTINE, LINDA	MFS GOVERNMENT SECURITIES FUND-B	0.00	1.62	0.00	1.62	88.0	1.43
	ACCOUNT #: LSR010846	BUY 1 Units @0.0000						
05/14/2018	***-**-111J - NESSIA, JAMES	MFS GOVERNMENT SECURITIES FUND-B	0.00	0.53	0.00	0.53	88.0	0.47
	ACCOUNT #: LSR011054	BUY 1 Units @0.0000						
05/14/2018	***-**-13IN - ROTH, KAREN	MFS GOVERNMENT SECURITIES FUND-B	0.00	0.42	0.00	0.42	88.0	0.37
	ACCOUNT #: LSR011954	BUY 1 Units @0.0000						
05/14/2018	***-**-44IO - MAYO, DEBORAH	MFS HIGH INCOME CLASS C	0.00	16.93	0.00	16.93	88.0	14.90
	ACCOUNT #: LSR011079	BUY 1 Units @0.0000						
05/14/2018	***-**-13IN - ROTH, KAREN	MFS HIGH INCOME FUND-A	0.00	0.16	0.00	0.16	88.0	0.14
	ACCOUNT #: LSR011954	BUY 1 Units @0.0000						
05/14/2018	***-**-61IN - EVANS, DOLORES	MFS HIGH INCOME FUND-B	0.00	0.26	0.00	0.26	88.0	0.23
	ACCOUNT #: LSR011023	BUY 1 Units @0.0000						
05/14/2018	***-**-13IN - ROTH, KAREN	MFS HIGH INCOME FUND-B	0.00	0.62	0.00	0.62	88.0	0.55
	ACCOUNT #: LSR011954	BUY 1 Units @0.0000						
05/14/2018	***-**-881I - EBERLEY, SUSAN	MFS HIGH YIELD OPPORTUNITIES FUND-B	0.00	0.66	0.00	0.66	88.0	0.58
	ACCOUNT #: LSR010858	BUY 1 Units @0.0000						
05/14/2018	***-**-13IN - ROTH, KAREN	MFS HIGH YIELD OPPORTUNITIES FUND-B	0.00	0.66	0.00	0.66	88.0	0.58
	ACCOUNT #: LSR011954	BUY 1 Units @0.0000						
05/14/2018	***-**-73TR - WESTCOTT IRRVOC	MFS HIGH YIELD OPPORTUNITIES FUND-C	0.00	7.80	0.00	7.80	88.0	6.86
	ACCOUNT #: LSR011001	BUY 1 Units @0.0000						
05/14/2018	***-**-73TR - WESTCOTT IRRVOC	MFS HIGH YIELD OPPORTUNITIES FUND-C	0.00	8.98	0.00	8.98	88.0	7.90
	ACCOUNT #: LSR011008	BUY 1 Units @0.0000						
05/14/2018	***-**-13IN - ROTH, KAREN	MFS HIGH-YIELD OPPORTUNITIES FUND C	0.00	0.16	0.00	0.16	88.0	0.14
	ACCOUNT #: LSR011954	BUY 1 Units @0.0000						
05/14/2018	***-**-881J - EBERLEY, SUSAN	MFS INFLATION ADJUSTED BOND CL B	0.00	0.39	0.00	0.39	88.0	0.34
	ACCOUNT #: LSR010856	BUY 1 Units @0.0000						
05/14/2018	***-**-949I - ACEE, JOSPEH	MFS INFLATION ADJUSTED BOND CL B	0.00	0.47	0.00	0.47	88.0	0.41
	ACCOUNT #: LSR010908	BUY 1 Units @0.0000						
05/14/2018	***-**-31IO - HARTZ, CLAUDIA	MFS INFLATION ADJUSTED BOND CL B	0.00	0.47	0.00	0.47	88.0	0.41
	ACCOUNT #: LSR010915	BUY 1 Units @0.0000						





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<b> OVERRIDE TRANSACTIONS (continued)</b>								
<b> <u>BROKER: KURT GRUENEWALD (continued)</u></b>								
05/14/2018	***-**-15IN - PENDRAK, JOHN ACCOUNT #: LSR010948	MFS INFLATION ADJUSTED BOND CL B BUY 1 Units @0.0000	0.00	0.82	0.00	0.82	88.0	0.72
05/14/2018	***-**-960J - MASTRANGELO, ACCOUNT #: LSR010966	MFS INFLATION ADJUSTED BOND CL B BUY 1 Units @0.0000	0.00	0.28	0.00	0.28	88.0	0.25
05/14/2018	***-**-366I - GRUENEWALD, ACCOUNT #: LSR010989	MFS INFLATION ADJUSTED BOND CL B BUY 1 Units @0.0000	0.00	0.35	0.00	0.35	88.0	0.31
05/14/2018	***-**-761I - EVANS, DOLORES ACCOUNT #: LSR011024	MFS INFLATION ADJUSTED BOND CL B BUY 1 Units @0.0000	0.00	1.18	0.00	1.18	88.0	1.04
05/14/2018	***-**-63TR - EVANS, AUDREY J ACCOUNT #: LSR011036	MFS INFLATION ADJUSTED BOND CL B BUY 1 Units @0.0000	0.00	0.31	0.00	0.31	88.0	0.27
05/14/2018	***-**-580X - COBB, JAMES ACCOUNT #: LSR011040	MFS INFLATION ADJUSTED BOND CL B BUY 1 Units @0.0000	0.00	0.59	0.00	0.59	88.0	0.52
05/14/2018	***-**-111J - NESSIA, JAMES ACCOUNT #: LSR011054	MFS INFLATION ADJUSTED BOND CL B BUY 1 Units @0.0000	0.00	0.33	0.00	0.33	88.0	0.29
05/14/2018	***-**-326J - GRANDE, MR ACCOUNT #: LSR011089	MFS INFLATION ADJUSTED BOND CL B BUY 1 Units @0.0000	0.00	0.60	0.00	0.60	88.0	0.53
05/14/2018	***-**-76IO - MCALLISTER, FBO ACCOUNT #: LSR011107	MFS INFLATION ADJUSTED BOND CL B BUY 1 Units @0.0000	0.00	0.34	0.00	0.34	88.0	0.30
05/14/2018	***-**-506J - CURRIERE JR, MR ACCOUNT #: LSR011121	MFS INFLATION ADJUSTED BOND CL B BUY 1 Units @0.0000	0.00	0.17	0.00	0.17	88.0	0.15
05/14/2018	***-**-48IO - ANACKER, FBO MRS ACCOUNT #: LSR011164	MFS INFLATION ADJUSTED BOND CL B BUY 1 Units @0.0000	0.00	0.81	0.00	0.81	88.0	0.71
05/14/2018	***-**-31IO - WILLIAMSON, FBO ACCOUNT #: LSR011172	MFS INFLATION ADJUSTED BOND CL B BUY 1 Units @0.0000	0.00	0.60	0.00	0.60	88.0	0.53
05/14/2018	***-**-64IO - PFAFF, GEORGE ACCOUNT #: LSR011185	MFS INFLATION ADJUSTED BOND CL B BUY 1 Units @0.0000	0.00	0.48	0.00	0.48	88.0	0.42
05/14/2018	***-**-62IR - ROBBIANO, FBO ACCOUNT #: LSR011195	MFS INFLATION ADJUSTED BOND CL B BUY 1 Units @0.0000	0.00	0.24	0.00	0.24	88.0	0.21
05/14/2018	***-**-382I - SATTERLY, NEIL ACCOUNT #: LSR010867	MFS INFLATION ADJUSTED BOND CL C BUY 1 Units @0.0000	0.00	9.50	0.00	9.50	88.0	8.36
05/14/2018	***-**-031O - MCVOY, ROBERT ACCOUNT #: LSR010916	MFS INFLATION ADJUSTED BOND CL C BUY 1 Units @0.0000	0.00	2.68	0.00	2.68	88.0	2.36



# COMMISSION STATEMENT

## May 14, 2018

DAVID GRIFFITH  
2108 Genesee St.  
Utica, NY 13502

BROKER #: A76  
BRANCH #01047 - 47 - GRIFFITH

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b> OVERRIDE TRANSACTIONS (continued)</b>								
<b> <u>BROKER: KURT GRUENEWALD (continued)</u></b>								
05/14/2018	***-**-44IO - MAYO, DEBORAH	MFS INFLATION ADJUSTED BOND CL C	0.00	20.69	0.00	20.69	88.0	18.21
	ACCOUNT #: LSR011079	BUY 1 Units @0.0000						
05/14/2018	***-**-531J - WILLIAMSON,	MFS INFLATION ADJUSTED BOND CL C	0.00	4.06	0.00	4.06	88.0	3.57
	ACCOUNT #: LSR011716	BUY 1 Units @0.0000						
05/14/2018	***-**-861I - SANGER, LAWRENCE	MFS INFLATION ADJUSTED BOND FUND-A	0.00	0.65	0.00	0.65	88.0	0.57
	ACCOUNT #: LSR011095	BUY 1 Units @0.0000						
05/14/2018	***-**-065I - LAZIO, THOMAS	MFS INTERNATIONAL NEW DISCOVERY CL	0.00	5.79	0.00	5.79	88.0	5.10
	ACCOUNT #: LSR010979	BUY 1 Units @0.0000						
05/14/2018	***-**-254I - AUGUSTINE, LINDA	MFS INTERNATIONAL NEW DISCOVERY FUN	0.00	1.41	0.00	1.41	88.0	1.24
	ACCOUNT #: LSR010846	BUY 1 Units @0.0000						
05/14/2018	***-**-930I - SANGER, KEVIN	MFS INTERNATIONAL NEW DISCOVERY FUN	0.00	0.85	0.00	0.85	88.0	0.75
	ACCOUNT #: LSR010941	BUY 1 Units @0.0000						
05/14/2018	***-**-959I - FRANZ, PAUL	MFS INTERNATIONAL NEW DISCOVERY FUN	0.00	1.91	0.00	1.91	88.0	1.68
	ACCOUNT #: LSR010959	BUY 1 Units @0.0000						
05/14/2018	***-**-960J - MASTRANGELO,	MFS INTERNATIONAL NEW DISCOVERY FUN	0.00	1.35	0.00	1.35	88.0	1.19
	ACCOUNT #: LSR010966	BUY 1 Units @0.0000						
05/14/2018	***-**-761I - EVANS, DOLORES	MFS INTERNATIONAL NEW DISCOVERY FUN	0.00	4.81	0.00	4.81	88.0	4.23
	ACCOUNT #: LSR011024	BUY 1 Units @0.0000						
05/14/2018	***-**-944O - MAYO, DEBORAH	MFS INTERNATIONAL NEW DISCOVERY FUN	0.00	0.66	0.00	0.66	88.0	0.58
	ACCOUNT #: LSR011035	BUY 1 Units @0.0000						
05/14/2018	***-**-13IN - RHYMESTINE,	MFS INTERNATIONAL NEW DISCOVERY FUN	0.00	0.76	0.00	0.76	88.0	0.67
	ACCOUNT #: LSR011106	BUY 1 Units @0.0000						
05/14/2018	***-**-31IO - WILLIAMSON, FBO	MFS INTERNATIONAL NEW DISCOVERY FUN	0.00	2.16	0.00	2.16	88.0	1.90
	ACCOUNT #: LSR011172	BUY 1 Units @0.0000						
05/14/2018	***-**-03IO - MASTRANGELO,	MFS INTERNATIONAL NEW DISCOVERY FUN	0.00	2.24	0.00	2.24	88.0	1.97
	ACCOUNT #: LSR011679	BUY 1 Units @0.0000						
05/14/2018	***-**-861I - SANGER, LAWRENCE	MFS INTERNATIONAL NEW DISCOVERY FUN	0.00	0.82	0.00	0.82	88.0	0.72
	ACCOUNT #: LSR011095	BUY 1 Units @0.0000						
05/14/2018	***-**-51IO - CAIN, TIMOTHY	MFS INTERNATIONAL VALUE FUND-B	0.00	0.92	0.00	0.92	88.0	0.81
	ACCOUNT #: LSR011007	BUY 1 Units @0.0000						
05/14/2018	***-**-861I - SANGER, LAWRENCE	MFS LIFETIME INCOME CLASS A	0.00	1.26	0.00	1.26	88.0	1.11
	ACCOUNT #: LSR011095	BUY 1 Units @0.0000						



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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b> OVERRIDE TRANSACTIONS (continued)</b>								
<b> <u>BROKER: KURT GRUENEWALD (continued)</u></b>								
05/14/2018	***-**-959J - FRANZ, PAUL ACCOUNT #: LSR010958	MFS MODERATE ALLOCATION CL C BUY 1 Units @0.0000	0.00	13.89	0.00	13.89	88.0	12.22
05/14/2018	***-**-86IN - LEE, KEVIN ACCOUNT #: LSR011613	MFS MODERATE ALLOCATION CL C BUY 1 Units @0.0000	0.00	23.88	0.00	23.88	88.0	21.01
05/14/2018	***-**-960J - MASTRANGELO, ACCOUNT #: LSR010966	MFS NEW DISCOVERY FUND-B BUY 1 Units @0.0000	0.00	2.33	0.00	2.33	88.0	2.05
05/14/2018	***-**-31IO - WILLIAMSON, FBO ACCOUNT #: LSR011172	MFS NEW DISCOVERY FUND-B BUY 1 Units @0.0000	0.00	1.41	0.00	1.41	88.0	1.24
05/14/2018	***-**-978I - GUNN, KATHLEEN ACCOUNT #: LSR011345	MFS NEW DISCOVERY FUND-B BUY 1 Units @0.0000	0.00	0.60	0.00	0.60	88.0	0.53
05/14/2018	***-**-45IO - WILLIAMSON, ACCOUNT #: LSR011756	MFS NEW DISCOVERY FUND-B BUY 1 Units @0.0000	0.00	0.80	0.00	0.80	88.0	0.70
05/14/2018	***-**-197I - GAMBINO, ANDREW ACCOUNT #: LSR011465	MFS NEW DISCOVERY VALUE FUND CL B BUY 1 Units @0.0000	0.00	0.26	0.00	0.26	88.0	0.23
05/14/2018	***-**-53IN - EVANS, ANDREW ACCOUNT #: LSR011483	MFS NEW DISCOVERY VALUE FUND CL B BUY 1 Units @0.0000	0.00	0.68	0.00	0.68	88.0	0.60
05/14/2018	***-**-24IN - BLISS, RYAN ACCOUNT #: LSR011502	MFS NEW DISCOVERY VALUE FUND CL B BUY 1 Units @0.0000	0.00	0.32	0.00	0.32	88.0	0.28
05/14/2018	***-**-38IO - BROWN, TYLER ACCOUNT #: LSR011602	MFS NEW DISCOVERY VALUE FUND CL B BUY 1 Units @0.0000	0.00	0.71	0.00	0.71	88.0	0.62
05/14/2018	***-**-36IR - SANGER, BETH ACCOUNT #: LSR011757	MFS NEW DISCOVERY VALUE FUND CL B BUY 1 Units @0.0000	0.00	0.23	0.00	0.23	88.0	0.20
05/14/2018	***-**-382I - SATTERLY, NEIL ACCOUNT #: LSR010867	MFS NEW DISCOVERY VALUE FUND CL C BUY 1 Units @0.0000	0.00	10.69	0.00	10.69	88.0	9.41
05/14/2018	***-**-44IO - MAYO, DEBORAH ACCOUNT #: LSR011079	MFS NEW DISCOVERY VALUE FUND CL C BUY 1 Units @0.0000	0.00	13.14	0.00	13.14	88.0	11.56
05/14/2018	***-**-63TR - EVANS, AUDREY J ACCOUNT #: LSR011036	MFS NEW YORK MUNICIPAL BOND FUND-B BUY 1 Units @0.0000	0.00	1.58	0.00	1.58	88.0	1.39
05/14/2018	***-**-111J - NESSIA, JAMES ACCOUNT #: LSR011054	MFS NEW YORK MUNICIPAL BOND FUND-B BUY 1 Units @0.0000	0.00	0.49	0.00	0.49	88.0	0.43
05/14/2018	***-**-111J - NESSIA, JAMES ACCOUNT #: LSR011054	MFS RESEARCH BOND FUND CLASS A BUY 1 Units @0.0000	0.00	0.10	0.00	0.10	88.0	0.09



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## May 14, 2018

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b> OVERRIDE TRANSACTIONS (continued)</b>								
<b> <u>BROKER: KURT GRUENEWALD (continued)</u></b>								
05/14/2018	***-**-861I - SANGER, LAWRENCE	MFS RESEARCH BOND FUND CLASS A	0.00	0.38	0.00	0.38	88.0	0.33
	ACCOUNT #: LSR011095	BUY 1 Units @0.0000						
05/14/2018	***-**-02IN - BUSHEY, MELISSA	MFS RESEARCH BOND FUND CLASS A	0.00	0.21	0.00	0.21	88.0	0.18
	ACCOUNT #: LSR011257	BUY 1 Units @0.0000						
05/14/2018	***-**-62IN - EATON, DAVID	MFS RESEARCH BOND FUND CLASS A	0.00	0.15	0.00	0.15	88.0	0.13
	ACCOUNT #: LSR011315	BUY 1 Units @0.0000						
05/14/2018	***-**-254I - AUGUSTINE, LINDA	MFS RESEARCH BOND FUND-B	0.00	0.56	0.00	0.56	88.0	0.49
	ACCOUNT #: LSR010846	BUY 1 Units @0.0000						
05/14/2018	***-**-959I - FRANZ, PAUL	MFS RESEARCH BOND FUND-B	0.00	0.81	0.00	0.81	88.0	0.71
	ACCOUNT #: LSR010959	BUY 1 Units @0.0000						
05/14/2018	***-**-51IO - CAIN, TIMOTHY	MFS RESEARCH BOND FUND-B	0.00	1.30	0.00	1.30	88.0	1.14
	ACCOUNT #: LSR011007	BUY 1 Units @0.0000						
05/14/2018	***-**-761I - EVANS, DOLORES	MFS RESEARCH BOND FUND-B	0.00	1.29	0.00	1.29	88.0	1.14
	ACCOUNT #: LSR011024	BUY 1 Units @0.0000						
05/14/2018	***-**-111J - NESSIA, JAMES	MFS RESEARCH BOND FUND-B	0.00	0.27	0.00	0.27	88.0	0.24
	ACCOUNT #: LSR011054	BUY 1 Units @0.0000						
05/14/2018	***-**-76IO - MCALLISTER, FBO	MFS RESEARCH BOND FUND-B	0.00	0.52	0.00	0.52	88.0	0.46
	ACCOUNT #: LSR011107	BUY 1 Units @0.0000						
05/14/2018	***-**-367J - WAGNER, MRS LANT	MFS RESEARCH BOND FUND-B	0.00	0.47	0.00	0.47	88.0	0.41
	ACCOUNT #: LSR011134	BUY 1 Units @0.0000						
05/14/2018	***-**-31IO - WILLIAMSON, FBO	MFS RESEARCH BOND FUND-B	0.00	0.64	0.00	0.64	88.0	0.56
	ACCOUNT #: LSR011172	BUY 1 Units @0.0000						
05/14/2018	***-**-62IN - EATON, DAVID	MFS RESEARCH BOND FUND-B	0.00	0.41	0.00	0.41	88.0	0.36
	ACCOUNT #: LSR011315	BUY 1 Units @0.0000						
05/14/2018	***-**-326J - GRANDE, MR	MFS STRATEGIC INCOME FUND-B	0.00	1.09	0.00	1.09	88.0	0.96
	ACCOUNT #: LSR011089	BUY 1 Units @0.0000						
05/14/2018	***-**-382I - SATTERLY, NEIL	MFS TECHNOLOGY CLASS C	0.00	10.27	0.00	10.27	88.0	9.04
	ACCOUNT #: LSR010867	BUY 1 Units @0.0000						
05/14/2018	***-**-48IO - CLARK, PATRICK	MFS TECHNOLOGY CLASS C	0.00	7.43	0.00	7.43	88.0	6.54
	ACCOUNT #: LSR010911	BUY 1 Units @0.0000						
05/14/2018	***-**-031O - MCVOY, ROBERT	MFS TECHNOLOGY CLASS C	0.00	4.83	0.00	4.83	88.0	4.25
	ACCOUNT #: LSR010916	BUY 1 Units @0.0000						



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<b> OVERRIDE TRANSACTIONS (continued) </b>								
<b> <u>BROKER: KURT GRUENEWALD (continued)</u> </b>								
05/14/2018	***-**-930I - SANGER, KEVIN ACCOUNT #: LSR010941	MFS TECHNOLOGY CLASS C BUY 1 Units @0.0000	0.00	9.13	0.00	9.13	88.0	8.03
05/14/2018	***-**-065I - LAZIO, THOMAS ACCOUNT #: LSR010979	MFS TECHNOLOGY CLASS C BUY 1 Units @0.0000	0.00	5.92	0.00	5.92	88.0	5.21
05/14/2018	***-**-00IO - LEE, GARY ACCOUNT #: LSR011059	MFS TECHNOLOGY CLASS C BUY 1 Units @0.0000	0.00	11.80	0.00	11.80	88.0	10.38
05/14/2018	***-**-44IO - MAYO, DEBORAH ACCOUNT #: LSR011079	MFS TECHNOLOGY CLASS C BUY 1 Units @0.0000	0.00	13.24	0.00	13.24	88.0	11.65
05/14/2018	***-**-09IO - BATES, FBO MRS ACCOUNT #: LSR011117	MFS TECHNOLOGY CLASS C BUY 1 Units @0.0000	0.00	11.64	0.00	11.64	88.0	10.24
05/14/2018	***-**-89IN - LEE, ROGER ACCOUNT #: LSR011166	MFS TECHNOLOGY CLASS C BUY 1 Units @0.0000	0.00	6.30	0.00	6.30	88.0	5.54
05/14/2018	***-**-094I - KATRENA L ACCOUNT #: LSR011188	MFS TECHNOLOGY CLASS C BUY 1 Units @0.0000	0.00	6.55	0.00	6.55	88.0	5.76
05/14/2018	***-**-06IR - CAMPBELL, PAMELA ACCOUNT #: LSR011222	MFS TECHNOLOGY CLASS C BUY 1 Units @0.0000	0.00	8.17	0.00	8.17	88.0	7.19
05/14/2018	***-**-11IO - LYNN G. ACCOUNT #: LSR011239	MFS TECHNOLOGY CLASS C BUY 1 Units @0.0000	0.00	6.75	0.00	6.75	88.0	5.94
05/14/2018	***-**-45IO - JOHNSON, GREGORY ACCOUNT #: LSR011421	MFS TECHNOLOGY CLASS C BUY 1 Units @0.0000	0.00	7.58	0.00	7.58	88.0	6.67
05/14/2018	***-**-37IO - MCCLUSKY, MARK ACCOUNT #: LSR011579	MFS TECHNOLOGY CLASS C BUY 1 Units @0.0000	0.00	2.57	0.00	2.57	88.0	2.26
05/14/2018	***-**-86IN - LEE, KEVIN ACCOUNT #: LSR011613	MFS TECHNOLOGY CLASS C BUY 1 Units @0.0000	0.00	10.24	0.00	10.24	88.0	9.01
05/14/2018	***-**-99IN - EDELMAN, TINA ACCOUNT #: LSR011956	MFS TECHNOLOGY CLASS C BUY 1 Units @0.0000	0.00	0.10	0.00	0.10	88.0	0.09
05/14/2018	***-**-28IN - BYWATER, KIM ACCOUNT #: LSR011995	MFS TECHNOLOGY CLASS C BUY 1 Units @0.0000	0.00	0.19	0.00	0.19	88.0	0.17
05/14/2018	***-**-944O - MAYO, DEBORAH ACCOUNT #: LSR011035	MFS TECHNOLOGY FUND CLASS A BUY 1 Units @0.0000	0.00	1.25	0.00	1.25	88.0	1.10
05/14/2018	***-**-808J - GORMAN, RANDY ACCOUNT #: LSR011087	MFS TECHNOLOGY FUND CLASS A BUY 1 Units @0.0000	0.00	0.23	0.00	0.23	88.0	0.20



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<b> OVERRIDE TRANSACTIONS (continued)</b>								
<b> <u>BROKER: KURT GRUENEWALD (continued)</u></b>								
05/14/2018	***-**-02IN - BUSHEY, MELISSA	MFS TECHNOLOGY FUND CLASS A	0.00	1.00	0.00	1.00	88.0	0.88
	ACCOUNT #: LSR011257	BUY 1 Units @0.0000						
05/14/2018	***-**-31IO - HARTZ, CLAUDIA	MFS TECHNOLOGY FUND-B	0.00	0.89	0.00	0.89	88.0	0.78
	ACCOUNT #: LSR010915	BUY 1 Units @0.0000						
05/14/2018	***-**-15IN - PENDRAK, JOHN	MFS TECHNOLOGY FUND-B	0.00	2.31	0.00	2.31	88.0	2.03
	ACCOUNT #: LSR010948	BUY 1 Units @0.0000						
05/14/2018	***-**-959I - FRANZ, PAUL	MFS TECHNOLOGY FUND-B	0.00	1.92	0.00	1.92	88.0	1.69
	ACCOUNT #: LSR010959	BUY 1 Units @0.0000						
05/14/2018	***-**-169I - EVANS, PAUL	MFS TECHNOLOGY FUND-B	0.00	1.31	0.00	1.31	88.0	1.15
	ACCOUNT #: LSR011026	BUY 1 Units @0.0000						
05/14/2018	***-**-580X - COBB, JAMES	MFS TECHNOLOGY FUND-B	0.00	1.28	0.00	1.28	88.0	1.13
	ACCOUNT #: LSR011040	BUY 1 Units @0.0000						
05/14/2018	***-**-579J - RHYMESTINE,	MFS TECHNOLOGY FUND-B	0.00	0.99	0.00	0.99	88.0	0.87
	ACCOUNT #: LSR011081	BUY 1 Units @0.0000						
05/14/2018	***-**-579I - RHYMESTINE,	MFS TECHNOLOGY FUND-B	0.00	1.35	0.00	1.35	88.0	1.19
	ACCOUNT #: LSR011082	BUY 1 Units @0.0000						
05/14/2018	***-**-326I - GRANDE, FBO MR	MFS TECHNOLOGY FUND-B	0.00	1.69	0.00	1.69	88.0	1.49
	ACCOUNT #: LSR011091	BUY 1 Units @0.0000						
05/14/2018	***-**-992J - CORNACCHIA	MFS TECHNOLOGY FUND-B	0.00	0.43	0.00	0.43	88.0	0.38
	ACCOUNT #: LSR011157	BUY 1 Units @0.0000						
05/14/2018	***-**-48IO - ANACKER, FBO MRS	MFS TECHNOLOGY FUND-B	0.00	0.88	0.00	0.88	88.0	0.77
	ACCOUNT #: LSR011164	BUY 1 Units @0.0000						
05/14/2018	***-**-31IO - WILLIAMSON, FBO	MFS TECHNOLOGY FUND-B	0.00	1.54	0.00	1.54	88.0	1.36
	ACCOUNT #: LSR011172	BUY 1 Units @0.0000						
05/14/2018	***-**-664J - PFAFF, GEORGE	MFS TECHNOLOGY FUND-B	0.00	1.86	0.00	1.86	88.0	1.64
	ACCOUNT #: LSR011184	BUY 1 Units @0.0000						
05/14/2018	***-**-64IO - PFAFF, GEORGE	MFS TECHNOLOGY FUND-B	0.00	1.01	0.00	1.01	88.0	0.89
	ACCOUNT #: LSR011185	BUY 1 Units @0.0000						
05/14/2018	***-**-52IO - EUSEPI, SUSAN	MFS TECHNOLOGY FUND-B	0.00	1.34	0.00	1.34	88.0	1.18
	ACCOUNT #: LSR011219	BUY 1 Units @0.0000						
05/14/2018	***-**-37IR - HARTZ, RENEE	MFS TECHNOLOGY FUND-B	0.00	1.50	0.00	1.50	88.0	1.32
	ACCOUNT #: LSR011259	BUY 1 Units @0.0000						



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<b> OVERRIDE TRANSACTIONS (continued)</b>								
<b> <u>BROKER: KURT GRUENEWALD (continued)</u></b>								
05/14/2018	***-**-75IR - EVANS, DIANE	MFS TECHNOLOGY FUND-B	0.00	1.43	0.00	1.43	88.0	1.26
	ACCOUNT #: LSR011275	BUY 1 Units @0.0000						
05/14/2018	***-**-653I - KOCHEM, CLINTON	MFS TECHNOLOGY FUND-B	0.00	2.32	0.00	2.32	88.0	2.04
	ACCOUNT #: LSR011300	BUY 1 Units @0.0000						
05/14/2018	***-**-680I - HARRELL, DARYL	MFS TECHNOLOGY FUND-B	0.00	1.51	0.00	1.51	88.0	1.33
	ACCOUNT #: LSR011321	BUY 1 Units @0.0000						
05/14/2018	***-**-978I - GUNN, KATHLEEN	MFS TECHNOLOGY FUND-B	0.00	0.87	0.00	0.87	88.0	0.77
	ACCOUNT #: LSR011345	BUY 1 Units @0.0000						
05/14/2018	***-**-197I - GAMBINO, ANDREW	MFS TECHNOLOGY FUND-B	0.00	0.47	0.00	0.47	88.0	0.41
	ACCOUNT #: LSR011465	BUY 1 Units @0.0000						
05/14/2018	***-**-53IN - EVANS, ANDREW	MFS TECHNOLOGY FUND-B	0.00	0.84	0.00	0.84	88.0	0.74
	ACCOUNT #: LSR011483	BUY 1 Units @0.0000						
05/14/2018	***-**-38IO - BROWN, TYLER	MFS TECHNOLOGY FUND-B	0.00	1.00	0.00	1.00	88.0	0.88
	ACCOUNT #: LSR011602	BUY 1 Units @0.0000						
05/14/2018	***-**-03IO - MASTRANGELO,	MFS TECHNOLOGY FUND-B	0.00	1.85	0.00	1.85	88.0	1.63
	ACCOUNT #: LSR011679	BUY 1 Units @0.0000						
05/14/2018	***-**-45IR - WILLIAMSON,	MFS TECHNOLOGY FUND-B	0.00	2.04	0.00	2.04	88.0	1.80
	ACCOUNT #: LSR011764	BUY 1 Units @0.0000						
05/14/2018	***-**-881J - EBERLEY, SUSAN	MFS TOTAL RETURN FUND-B	0.00	1.51	0.00	1.51	88.0	1.33
	ACCOUNT #: LSR010856	BUY 1 Units @0.0000						
05/14/2018	***-**-949I - ACEE, JOSPEH	MFS TOTAL RETURN FUND-B	0.00	1.79	0.00	1.79	88.0	1.58
	ACCOUNT #: LSR010908	BUY 1 Units @0.0000						
05/14/2018	***-**-960J - MASTRANGELO,	MFS TOTAL RETURN FUND-B	0.00	1.82	0.00	1.82	88.0	1.60
	ACCOUNT #: LSR010966	BUY 1 Units @0.0000						
05/14/2018	***-**-506J - CURRIERE JR, MR	MFS TOTAL RETURN FUND-B	0.00	0.94	0.00	0.94	88.0	0.83
	ACCOUNT #: LSR011121	BUY 1 Units @0.0000						
05/14/2018	***-**-31IO - WILLIAMSON, FBO	MFS TOTAL RETURN FUND-B	0.00	2.12	0.00	2.12	88.0	1.87
	ACCOUNT #: LSR011172	BUY 1 Units @0.0000						
05/14/2018	***-**-62IR - ROBBIANO, FBO	MFS TOTAL RETURN FUND-B	0.00	0.85	0.00	0.85	88.0	0.75
	ACCOUNT #: LSR011195	BUY 1 Units @0.0000						
05/14/2018	***-**-944O - MAYO, DEBORAH	MFS UTILITIES FUND-A	0.00	0.84	0.00	0.84	88.0	0.74
	ACCOUNT #: LSR011035	BUY 1 Units @0.0000						



# COMMISSION STATEMENT

## May 14, 2018

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

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b> OVERRIDE TRANSACTIONS (continued) </b>								
<b> <u>BROKER: KURT GRUENEWALD (continued)</u> </b>								
05/14/2018	***-**-96IN - NESSIA, BONNIE	MFS UTILITIES FUND-A	0.00	0.53	0.00	0.53	88.0	0.47
	ACCOUNT #: LSR011055	BUY 1 Units @0.0000						
05/14/2018	***-**-808J - GORMAN, RANDY	MFS UTILITIES FUND-A	0.00	0.55	0.00	0.55	88.0	0.48
	ACCOUNT #: LSR011087	BUY 1 Units @0.0000						
05/14/2018	***-**-31IO - HARTZ, CLAUDIA	MFS UTILITIES FUND-B	0.00	1.30	0.00	1.30	88.0	1.14
	ACCOUNT #: LSR010915	BUY 1 Units @0.0000						
05/14/2018	***-**-15IN - PENDRAK, JOHN	MFS UTILITIES FUND-B	0.00	1.80	0.00	1.80	88.0	1.58
	ACCOUNT #: LSR010948	BUY 1 Units @0.0000						
05/14/2018	***-**-366S - GRUENEWALD,	MFS UTILITIES FUND-B	0.00	0.70	0.00	0.70	88.0	0.62
	ACCOUNT #: LSR010990	BUY 1 Units @0.0000						
05/14/2018	***-**-61IN - EVANS, DOLORES	MFS UTILITIES FUND-B	0.00	0.27	0.00	0.27	88.0	0.24
	ACCOUNT #: LSR011023	BUY 1 Units @0.0000						
05/14/2018	***-**-63TR - EVANS, AUDREY J	MFS UTILITIES FUND-B	0.00	1.62	0.00	1.62	88.0	1.43
	ACCOUNT #: LSR011036	BUY 1 Units @0.0000						
05/14/2018	***-**-306X - COBB, CHERRYL	MFS UTILITIES FUND-B	0.00	1.91	0.00	1.91	88.0	1.68
	ACCOUNT #: LSR011037	BUY 1 Units @0.0000						
05/14/2018	***-**-579I - RHYMESTINE,	MFS UTILITIES FUND-B	0.00	1.98	0.00	1.98	88.0	1.74
	ACCOUNT #: LSR011082	BUY 1 Units @0.0000						
05/14/2018	***-**-326J - GRANDE, MR	MFS UTILITIES FUND-B	0.00	0.66	0.00	0.66	88.0	0.58
	ACCOUNT #: LSR011089	BUY 1 Units @0.0000						
05/14/2018	***-**-326I - GRANDE, FBO MR	MFS UTILITIES FUND-B	0.00	0.94	0.00	0.94	88.0	0.83
	ACCOUNT #: LSR011091	BUY 1 Units @0.0000						
05/14/2018	***-**-13IN - RHYMESTINE,	MFS UTILITIES FUND-B	0.00	0.83	0.00	0.83	88.0	0.73
	ACCOUNT #: LSR011106	BUY 1 Units @0.0000						
05/14/2018	***-**-76IO - MCALLISTER, FBO	MFS UTILITIES FUND-B	0.00	0.77	0.00	0.77	88.0	0.68
	ACCOUNT #: LSR011107	BUY 1 Units @0.0000						
05/14/2018	***-**-367J - WAGNER, MRS LANT	MFS UTILITIES FUND-B	0.00	1.59	0.00	1.59	88.0	1.40
	ACCOUNT #: LSR011134	BUY 1 Units @0.0000						
05/14/2018	***-**-31IO - WILLIAMSON, FBO	MFS UTILITIES FUND-B	0.00	1.28	0.00	1.28	88.0	1.13
	ACCOUNT #: LSR011172	BUY 1 Units @0.0000						
05/14/2018	***-**-64IO - PFAFF, GEORGE	MFS UTILITIES FUND-B	0.00	1.62	0.00	1.62	88.0	1.43
	ACCOUNT #: LSR011185	BUY 1 Units @0.0000						





# COMMISSION STATEMENT

## May 14, 2018

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b> OVERRIDE TRANSACTIONS (continued)</b>								
<b> <u>BROKER: KURT GRUENEWALD (continued)</u></b>								
05/14/2018	***-**-653I - KOCHER, CLINTON	MFS UTILITIES FUND-B	0.00	1.37	0.00	1.37	88.0	1.21
	ACCOUNT #: LSR011300	BUY 1 Units @0.0000						
05/14/2018	***-**-62IN - EATON, DAVID	MFS UTILITIES FUND-B	0.00	1.28	0.00	1.28	88.0	1.13
	ACCOUNT #: LSR011315	BUY 1 Units @0.0000						
05/14/2018	***-**-978I - GUNN, KATHLEEN	MFS UTILITIES FUND-B	0.00	0.39	0.00	0.39	88.0	0.34
	ACCOUNT #: LSR011345	BUY 1 Units @0.0000						
05/14/2018	***-**-21IO - RADELL, SANDRA	MFS UTILITIES FUND-B	0.00	1.57	0.00	1.57	88.0	1.38
	ACCOUNT #: LSR011392	BUY 1 Units @0.0000						
05/14/2018	***-**-41IR - DINITTO, ALLISYN	MFS UTILITIES FUND-B	0.00	0.45	0.00	0.45	88.0	0.40
	ACCOUNT #: LSR011443	BUY 1 Units @0.0000						
05/14/2018	***-**-197I - GAMBINO, ANDREW	MFS UTILITIES FUND-B	0.00	0.12	0.00	0.12	88.0	0.11
	ACCOUNT #: LSR011465	BUY 1 Units @0.0000						
05/14/2018	***-**-53IN - EVANS, ANDREW	MFS UTILITIES FUND-B	0.00	0.50	0.00	0.50	88.0	0.44
	ACCOUNT #: LSR011483	BUY 1 Units @0.0000						
05/14/2018	***-**-24IN - BLISS, RYAN	MFS UTILITIES FUND-B	0.00	0.11	0.00	0.11	88.0	0.10
	ACCOUNT #: LSR011502	BUY 1 Units @0.0000						
05/14/2018	***-**-51IN - GERACE, JOANNE	MFS UTILITIES FUND-B	0.00	1.46	0.00	1.46	88.0	1.28
	ACCOUNT #: LSR011538	BUY 1 Units @0.0000						
05/14/2018	***-**-38IO - BROWN, TYLER	MFS UTILITIES FUND-B	0.00	0.56	0.00	0.56	88.0	0.49
	ACCOUNT #: LSR011602	BUY 1 Units @0.0000						
05/14/2018	***-**-45IO - WILLIAMSON,	MFS UTILITIES FUND-B	0.00	0.55	0.00	0.55	88.0	0.48
	ACCOUNT #: LSR011756	BUY 1 Units @0.0000						
05/14/2018	***-**-235I - AUGUSTINE III,	MFS UTILITIES FUND-C	0.00	8.67	0.00	8.67	88.0	7.63
	ACCOUNT #: LSR010845	BUY 1 Units @0.0000						
05/14/2018	***-**-980I - ACEE, ELIZABETH	MFS UTILITIES FUND-C	0.00	10.34	0.00	10.34	88.0	9.10
	ACCOUNT #: LSR010885	BUY 1 Units @0.0000						
05/14/2018	***-**-48IO - CLARK, PATRICK	MFS UTILITIES FUND-C	0.00	8.74	0.00	8.74	88.0	7.69
	ACCOUNT #: LSR010911	BUY 1 Units @0.0000						
05/14/2018	***-**-031O - MCVOY, ROBERT	MFS UTILITIES FUND-C	0.00	4.41	0.00	4.41	88.0	3.88
	ACCOUNT #: LSR010916	BUY 1 Units @0.0000						
05/14/2018	***-**-065I - LAZIO, THOMAS	MFS UTILITIES FUND-C	0.00	10.28	0.00	10.28	88.0	9.05
	ACCOUNT #: LSR010979	BUY 1 Units @0.0000						



# COMMISSION STATEMENT

## May 14, 2018

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b> OVERRIDE TRANSACTIONS (continued)</b>								
<b> <u>BROKER: KURT GRUENEWALD (continued)</u></b>								
05/14/2018	***-**-00IO - LEE, GARY	MFS UTILITIES FUND-C	0.00	10.26	0.00	10.26	88.0	9.03
	ACCOUNT #: LSR011059	BUY 1 Units @0.0000						
05/14/2018	***-**-09IO - BATES, FBO MRS	MFS UTILITIES FUND-C	0.00	10.78	0.00	10.78	88.0	9.49
	ACCOUNT #: LSR011117	BUY 1 Units @0.0000						
05/14/2018	***-**-89IN - LEE, ROGER	MFS UTILITIES FUND-C	0.00	6.46	0.00	6.46	88.0	5.68
	ACCOUNT #: LSR011166	BUY 1 Units @0.0000						
05/14/2018	***-**-81IR - CAMPBELL,	MFS UTILITIES FUND-C	0.00	6.70	0.00	6.70	88.0	5.90
	ACCOUNT #: LSR011223	BUY 1 Units @0.0000						
05/14/2018	***-**-11IO - LYNN G.	MFS UTILITIES FUND-C	0.00	9.31	0.00	9.31	88.0	8.19
	ACCOUNT #: LSR011239	BUY 1 Units @0.0000						
05/14/2018	***-**-37IR - HARTZ, RENEE	MFS UTILITIES FUND-C	0.00	0.05	0.00	0.05	88.0	0.04
	ACCOUNT #: LSR011259	BUY 1 Units @0.0000						
05/14/2018	***-**-80IO - EVANS, RICHARD	MFS UTILITIES FUND-C	0.00	7.15	0.00	7.15	88.0	6.29
	ACCOUNT #: LSR011276	BUY 1 Units @0.0000						
05/14/2018	***-**-376I - BERBEN, GAIL	MFS UTILITIES FUND-C	0.00	9.31	0.00	9.31	88.0	8.19
	ACCOUNT #: LSR011380	BUY 1 Units @0.0000						
05/14/2018	***-**-45IO - JOHNSON, GREGORY	MFS UTILITIES FUND-C	0.00	8.30	0.00	8.30	88.0	7.30
	ACCOUNT #: LSR011421	BUY 1 Units @0.0000						
05/14/2018	***-**-14IO - BUSHEY, MATTHEW	MFS UTILITIES FUND-C	0.00	9.12	0.00	9.12	88.0	8.03
	ACCOUNT #: LSR011498	BUY 1 Units @0.0000						
05/14/2018	***-**-22IO - CLINTON, STEPHEN	MFS UTILITIES FUND-C	0.00	0.02	0.00	0.02	88.0	0.02
	ACCOUNT #: LSR011684	BUY 1 Units @0.0000						
05/14/2018	***-**-714O - LINES, JUDITH	MFS UTILITIES FUND-C	0.00	0.01	0.00	0.01	88.0	0.01
	ACCOUNT #: LSR011763	BUY 1 Units @0.0000						
05/14/2018	***-**-35IN - RUGGIERO, LAURIE	MFS UTILITIES FUND-C	0.00	0.02	0.00	0.02	88.0	0.02
	ACCOUNT #: LSR012314	BUY 1 Units @0.0000						
05/14/2018	***-**-452I - ROBERTS, LILLIAN	MFS UTILITIES FUND-C	0.00	0.01	0.00	0.01	88.0	0.01
	ACCOUNT #: LSR012350	BUY 1 Units @0.0000						
05/14/2018	***-**-851J - BLAKE, JAMES	MFS UTILITIES FUND-C	0.00	0.01	0.00	0.01	88.0	0.01
	ACCOUNT #: LSR012393	BUY 1 Units @0.0000						
05/14/2018	***-**-188I - BRADLEY, WAYNE	MFS UTILITIES FUND-C	0.00	0.01	0.00	0.01	88.0	0.01
	ACCOUNT #: LSR012484	BUY 1 Units @0.0000						



# COMMISSION STATEMENT

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b> OVERRIDE TRANSACTIONS (continued)</b>								
<b> <u>BROKER: KURT GRUENEWALD (continued)</u></b>								
05/14/2018	***-**-13IN - ROTH, KAREN	MFS VALUE FUND-B	0.00	0.98	0.00	0.98	88.0	0.86
	ACCOUNT #: LSR011954	BUY 1 Units @0.0000						
05/10/2018	***-**-30TR - AND SANDRA	NATIONAL GRID SPON ADR EACH REP 5 O	5,731.00	50.49	0.00	50.49	88.0	44.43
	ACCOUNT #: LSR011939	BUY 100 Units @57.3100						
05/07/2018	***-**-80IN - COBB, JAMES	NORDIC AMERICAN TANKERS LIMITE COM	3,090.00	4.99	0.00	4.99	88.0	4.39
	ACCOUNT #: LSR011042	BUY 1500 Units @2.0600						
05/14/2018	***-**-614J - BUSHEY, MATTHEW	NYA JPM 529 MOD AGE-BASED A	100.00	4.75	0.00	4.75	88.0	4.18
		BUY 0 Units @0.0000						
05/14/2018	***-**-07IO - FAMOLARO, JAMES	PRUDENTIAL JENNISON 20/20 FOCUS CLA	0.00	3.11	0.00	3.11	88.0	2.74
	ACCOUNT #: LSR011280	BUY 1 Units @0.0000						
05/14/2018	***-**-254I - AUGUSTINE, LINDA	PRUDENTIAL JENNISON NATURAL RESOURC	0.00	0.47	0.00	0.47	88.0	0.41
	ACCOUNT #: LSR010846	BUY 1 Units @0.0000						
05/14/2018	***-**-15IN - PENDRAK, JOHN	PRUDENTIAL JENNISON NATURAL RESOURC	0.00	2.43	0.00	2.43	88.0	2.14
	ACCOUNT #: LSR010948	BUY 1 Units @0.0000						
05/14/2018	***-**-366S - GRUENEWALD,	PRUDENTIAL JENNISON NATURAL RESOURC	0.00	0.32	0.00	0.32	88.0	0.28
	ACCOUNT #: LSR010990	BUY 1 Units @0.0000						
05/14/2018	***-**-944O - MAYO, DEBORAH	PRUDENTIAL JENNISON NATURAL RESOURC	0.00	0.41	0.00	0.41	88.0	0.36
	ACCOUNT #: LSR011035	BUY 1 Units @0.0000						
05/14/2018	***-**-861I - SANGER, LAWRENCE	PRUDENTIAL JENNISON NATURAL RESOURC	0.00	0.54	0.00	0.54	88.0	0.48
	ACCOUNT #: LSR011095	BUY 1 Units @0.0000						
05/14/2018	***-**-128I - BASHANT, THOMAS	PRUDENTIAL JENNISON NATURAL RESOURC	0.00	0.33	0.00	0.33	88.0	0.29
	ACCOUNT #: LSR011387	BUY 1 Units @0.0000						
05/14/2018	***-**-30TR - AND SANDRA	PRUDENTIAL JENNISON NATURAL RESOURC	0.00	0.52	0.00	0.52	88.0	0.46
	ACCOUNT #: LSR011939	BUY 1 Units @0.0000						
05/14/2018	***-**-254I - AUGUSTINE, LINDA	PRUDENTIAL JENNISON NATURAL RESOURC	0.00	0.01	0.00	0.01	88.0	0.01
	ACCOUNT #: LSR010846	BUY 1 Units @0.0000						
05/14/2018	***-**-15IN - PENDRAK, JOHN	PRUDENTIAL JENNISON NATURAL RESOURC	0.00	0.06	0.00	0.06	88.0	0.05
	ACCOUNT #: LSR010948	BUY 1 Units @0.0000						
05/10/2018	***-**-579J - RHYMESTINE,	REALTY INCOME CORP COMMON STOCK	5,332.00	42.99	0.00	42.99	88.0	37.83
	ACCOUNT #: LSR011081	BUY 100 Units @53.3200						
05/04/2018	***-**-188I - BRADLEY, WAYNE	RESOURCE CREDIT INCOME FUND C	10,000.00	100.00	0.00	100.00	88.0	88.00
	ACCOUNT #: LSR012484	BUY 894 Units @11.1800						



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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b> OVERRIDE TRANSACTIONS (continued) </b>								
<b> <u>BROKER: KURT GRUENEWALD (continued)</u> </b>								
05/08/2018	***-**-579J - RHYMESTINE, ACCOUNT #: LSR011081	RESOURCE CREDIT INCOME FUND C BUY 2228 Units @11.2200	25,000.00	250.00	0.00	250.00	88.0	220.00
05/10/2018	***-**-287I - HINCKLEY, ACCOUNT #: LSR010843	RESOURCE CREDIT INCOME FUND C BUY 1336 Units @11.2300	15,000.00	150.00	0.00	150.00	88.0	132.00
05/10/2018	***-**-567I - FRANZ, ALICE ACCOUNT #: LSR010960	RESOURCE CREDIT INCOME FUND C BUY 1603 Units @11.2300	18,000.01	180.00	0.00	180.00	88.0	158.40
05/10/2018	***-**-579J - RHYMESTINE, ACCOUNT #: LSR011081	STEIN MART INC COM BUY 1000 Units @2.5400	2,540.00	31.99	0.00	31.99	88.0	28.15
05/14/2018	***-**-71IO - FAMOLARO, JAMES ACCOUNT #: LSR011279	VAN KAMPEN9 BUY 1 Units @0.0000	0.00	0.25	0.00	0.25	88.0	0.22
05/08/2018	***-**-579J - RHYMESTINE, ACCOUNT #: LSR011081	VERIZON COMMUNICATIONS UNSOLICITED BUY 100 Units @46.8700	4,687.00	31.75	0.00	31.75	88.0	27.94
05/08/2018	***-**-579J - RHYMESTINE, ACCOUNT #: LSR011081	VERIZON COMMUNICATIONS UNSOLICITED BUY 100 Units @46.8700	4,687.00	46.75	0.00	46.75	88.0	41.14
05/10/2018	***-**-579J - RHYMESTINE, ACCOUNT #: LSR011081	WALMART STORES INC UNSOLICITED ORDE BUY 100 Units @82.9900	8,299.00	70.49	0.00	70.49	88.0	62.03
<b> * KURT GRUENEWALD SUBTOTAL * </b>			<b> \$109,736.01 </b>	<b> \$2,187.45 </b>	<b> \$0.00 </b>	<b> \$2,187.45 </b>		<b> \$1,924.94 </b>
<b> *** OVERRIDE TRANSACTIONS TOTAL *** </b>			<b> \$109,736.01 </b>	<b> \$2,187.45 </b>	<b> \$0.00 </b>	<b> \$2,187.45 </b>		<b> \$1,924.94 </b>



**BROKER #: A76**  
BRANCH #01047 - 47 - GRIFFITH

			INVESTMENT	GROSS	CLEARING	NET	BROKER	
DATE	CLIENT		AMOUNT	COMMISSION	CHARGE	COMMISSION	RATE	COMMISSION
						BROKER COMMISSION TOTALS		
						Broker Transactions		\$2,123.21
						Split Transactions		\$0.00
						Override Transactions		\$1,924.94
						Adjustments		\$0.00
						Payroll Draw		\$0.00
						Base Salary		\$0.00
						Prior Period Balance		\$0.00
						FINRA Assessment		\$0.00
						SIPC Assessment		\$0.00
						Net Commission Earned		\$4,048.15
						Year-to-date Earnings		\$106,045.16