



# COMMISSION STATEMENT

## January 29, 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: MUTUAL FUNDS</u></b>								
01/08/2018	***-**-6762 - MISHLANIE, ACCOUNT #: 00551362260	37252M108 BUY 5 Units @21.5700	115.00	5.75	0.00	5.75	88.0	5.06
01/22/2018	***-**-361J - ALOISIO, ACCOUNT #: LSR010864	AMERICAN FUNDS MORTGAGE FD CL C BUY 1211 Units @9.9100	12,000.00	138.00	18.00	120.00	88.0	105.60
01/22/2018	***-**-423I - SAVICKI, RICHARD ACCOUNT #: LSR010889	AMERICAN FUNDS MORTGAGE FD CL C BUY 1514 Units @9.9100	15,000.00	168.00	18.00	150.00	88.0	132.00
01/02/2018	***-**-11IN - MOYLAN, TIMOTHY ACCOUNT #: 03222207458	CAPITAL APPRECIATION C BUY 0 Units @0.0000	6.79	0.07	0.00	0.07	88.0	0.06
01/02/2018	***-**-8027 - MAXWELL, COLLEEN ACCOUNT #: 07621429626	CASH RESERVES C BUY 0 Units @0.0000	330.25	0.83	0.00	0.83	88.0	0.73
01/02/2018	***-**-11IN - MOYLAN, TIMOTHY ACCOUNT #: 08370450780	EQUITY INCOME FUND, INC. C BUY 0 Units @0.0000	10.18	0.10	0.00	0.10	88.0	0.09
01/08/2018	***-**-58IN - CADY, GAIL ACCOUNT #: 08370389048	EQUITY INCOME FUND, INC. C BUY 0 Units @0.0000	24.00	0.24	0.00	0.24	88.0	0.21
01/10/2018	***-**-7473 - SCOTELLARO, ACCOUNT #: 08370720038	EQUITY INCOME FUND, INC. C BUY 0 Units @0.0000	25.00	0.25	0.00	0.25	88.0	0.22
01/02/2018	***-**-11IN - MOYLAN, TIMOTHY ACCOUNT #: 02171646359	GLOBAL OPPORTUNITIES FUND C BUY 0 Units @0.0000	6.79	0.07	0.00	0.07	88.0	0.06
01/08/2018	***-**-58IN - CADY, GAIL ACCOUNT #: 02171604031	GLOBAL OPPORTUNITIES FUND C BUY 0 Units @0.0000	16.00	0.16	0.00	0.16	88.0	0.14
01/10/2018	***-**-686I - STRUMPFLER, MARK ACCOUNT #: 00060352385	MFS UTILITIES FUND-B BUY 4 Units @20.0400	75.00	3.00	0.00	3.00	88.0	2.64
01/04/2018	***-**-91IN - RICHARDSON, ACCOUNT #: 00100011925	OPPENHEIMER CUSIP 68385X208 BUY 0 Units @0.0000	35.00	0.35	0.00	0.35	88.0	0.31
01/04/2018	***-**-91IN - RICHARDSON, ACCOUNT #: 07872241470	OPPENHEIMER DEV MARKETS FD CLASS C BUY 0 Units @0.0000	35.00	0.35	0.00	0.35	88.0	0.31
01/04/2018	***-**-91IN - RICHARDSON, ACCOUNT #: 00100064439	OPPENHEIMER EMERG MKTS LOCAL DEBT F BUY 0 Units @0.0000	35.00	0.35	0.00	0.35	88.0	0.31
01/04/2018	***-**-91IN - RICHARDSON, ACCOUNT #: 00100025895	OPPENHEIMER GLBL HIGH YIELD FUND C BUY 0 Units @0.0000	35.00	0.35	0.00	0.35	88.0	0.31
01/10/2018	***-**-7473 - SCOTELLARO, ACCOUNT #: 00100018140	OPPENHEIMER GLBL REAL ESTATE FUND C BUY 0 Units @0.0000	25.00	0.25	0.00	0.25	88.0	0.22



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<b><u>BROKER TRANSACTIONS (continued)</u></b>								
<b><u>PRODUCT CATEGORY: MUTUAL FUNDS (continued)</u></b>								
01/02/2018	***-**-11IN - MOYLAN, TIMOTHY	OPPENHEIMER GLOBAL CLASS C	3.39	0.03	0.00	0.03	88.0	0.03
	ACCOUNT #: 03322653882	BUY 0 Units @0.0000						
01/04/2018	***-**-91IN - RICHARDSON,	OPPENHEIMER GLOBAL VALUE FUND CL C	35.00	0.35	0.00	0.35	88.0	0.31
	ACCOUNT #: 06890080641	BUY 0 Units @0.0000						
01/02/2018	***-**-11IN - MOYLAN, TIMOTHY	OPPENHEIMER INTERNATIONAL DIVERSIFI	13.58	0.14	0.00	0.14	88.0	0.12
	ACCOUNT #: 01970849123	BUY 0 Units @0.0000						
01/08/2018	***-**-58IN - CADY, GAIL	OPPENHEIMER INTERNATIONAL DIVERSIFI	24.00	0.24	0.00	0.24	88.0	0.21
	ACCOUNT #: 01970799227	BUY 0 Units @0.0000						
01/10/2018	***-**-7473 - SCOTELLARO,	OPPENHEIMER INTERNATIONAL DIVERSIFI	25.00	0.25	0.00	0.25	88.0	0.22
	ACCOUNT #: 01971001154	BUY 0 Units @0.0000						
01/02/2018	***-**-11IN - MOYLAN, TIMOTHY	OPPENHEIMER RISING DIVIDENDS FUND C	13.58	0.14	0.00	0.14	88.0	0.12
	ACCOUNT #: 02270899503	BUY 0 Units @0.0000						
01/08/2018	***-**-58IN - CADY, GAIL	OPPENHEIMER RISING DIVIDENDS FUND C	24.00	0.24	0.00	0.24	88.0	0.21
	ACCOUNT #: 02270806520	BUY 0 Units @0.0000						
01/17/2018	***-**-522I - RIEBEN, HENRY	PUTNAM CAPITAL SPECTRUM FUND CL C	10.72	0.11	0.00	0.11	88.0	0.10
	ACCOUNT #: 00551360517	BUY 0 Units @33.6500						
01/17/2018	***-**-522I - RIEBEN, HENRY	PUTNAM EQUITY SPECTRUM FD CL C	10.72	0.11	0.00	0.11	88.0	0.10
	ACCOUNT #: 00551360517	BUY 0 Units @36.4800						
01/17/2018	***-**-522I - RIEBEN, HENRY	PUTNAM GLOBAL UTILITIES CL C	10.72	0.11	0.00	0.11	88.0	0.10
	ACCOUNT #: 00551360517	BUY 1 Units @13.3300						
01/08/2018	***-**-58IN - CADY, GAIL	QUEST BALANCED FUND C	24.00	0.24	0.00	0.24	88.0	0.21
	ACCOUNT #: 02592245914	BUY 0 Units @0.0000						
01/02/2018	***-**-11IN - MOYLAN, TIMOTHY	QUEST INTERNATIONAL VALUE FUND, INC	6.79	0.07	0.00	0.07	88.0	0.06
	ACCOUNT #: 02560289795	BUY 0 Units @0.0000						
01/08/2018	***-**-58IN - CADY, GAIL	QUEST INTERNATIONAL VALUE FUND, INC	16.00	0.16	0.00	0.16	88.0	0.14
	ACCOUNT #: 02560282953	BUY 0 Units @0.0000						
01/02/2018	***-**-11IN - MOYLAN, TIMOTHY	REAL ESTATE FUND C	6.79	0.07	0.00	0.07	88.0	0.06
	ACCOUNT #: 05920286891	BUY 0 Units @0.0000						
01/08/2018	***-**-58IN - CADY, GAIL	REAL ESTATE FUND C	16.00	0.16	0.00	0.16	88.0	0.14
	ACCOUNT #: 05920265584	BUY 0 Units @0.0000						
01/10/2018	***-**-29IN - THIBAUT,	REAL ESTATE FUND C	100.00	1.00	0.00	1.00	88.0	0.88
	ACCOUNT #: 05920285846	BUY 0 Units @0.0000						



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<b>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: MUTUAL FUNDS (continued)</b>								
01/08/2018	***-**-58IN - CADY, GAIL	SMALL- & MID- CAP VALUE FUND C	16.00	0.16	0.00	0.16	88.0	0.14
	ACCOUNT #: 02531131966	BUY 0 Units @0.0000						
01/10/2018	***-**-7473 - SCOTELLARO,	STRATEGIC INCOME FUND C	25.00	0.25	0.00	0.25	88.0	0.22
	ACCOUNT #: 02322945965	BUY 0 Units @0.0000						
* MUTUAL FUNDS SUBTOTAL *			<b>\$28,155.30</b>	<b>\$321.95</b>	<b>\$36.00</b>	<b>\$285.95</b>		<b>\$251.64</b>
<b>PRODUCT CATEGORY: STOCKS</b>								
01/22/2018	***-**-361J - ALOISIO,	CREDIT SUISSE GROUP SPON ADR-REP 1	3,856.00	79.99	19.00	60.99	88.0	53.67
	ACCOUNT #: LSR010864	SELL 200 Units @19.2800						
01/22/2018	***-**-361J - ALOISIO,	CREDIT SUISSE GROUP SPON ADR-REP 1	4,817.50	87.49	20.00	67.49	88.0	59.39
	ACCOUNT #: LSR010886	SELL 250 Units @19.2700						
01/22/2018	***-**-53TR - SABANOSH, ALAN R	CREDIT SUISSE GROUP SPON ADR-REP 1	3,856.20	67.49	19.00	48.49	88.0	42.67
	ACCOUNT #: LSR010917	SELL 200 Units @19.2810						
01/23/2018	***-**-423I - SAVICKI, RICHARD	CREDIT SUISSE GROUP SPON ADR-REP 1	3,850.60	77.49	19.00	58.49	88.0	51.47
	ACCOUNT #: LSR010889	SELL 200 Units @19.2530						
01/23/2018	***-**-60IN - SCHRADER, KEVIN	CREDIT SUISSE GROUP SPON ADR-REP 1	1,925.00	38.75	17.00	21.75	88.0	19.14
	ACCOUNT #: LSR010897	SELL 100 Units @19.2500						
01/23/2018	***-**-60IN - SCHRADER, KEVIN	CREDIT SUISSE GROUP SPON ADR-REP 1	1,925.00	38.75	2.00	36.75	88.0	32.34
	ACCOUNT #: LSR010897	SELL 100 Units @19.2500						
01/22/2018	***-**-361J - ALOISIO,	DENBURY RES INC DEL COM USD0.001	2,480.00	57.49	35.00	22.49	88.0	19.79
	ACCOUNT #: LSR010864	SELL 1000 Units @2.4800						
01/22/2018	***-**-361J - ALOISIO,	DENBURY RES INC DEL COM USD0.001	2,460.00	57.49	35.00	22.49	88.0	19.79
	ACCOUNT #: LSR010886	SELL 1000 Units @2.4600						
01/22/2018	***-**-423I - SAVICKI, RICHARD	NATIONAL GRID SPON ADR EACH REP 5 O	5,799.00	88.75	17.00	71.75	88.0	63.14
	ACCOUNT #: LSR010889	BUY 100 Units @57.9900						
01/22/2018	***-**-423I - SAVICKI, RICHARD	NATIONAL GRID SPON ADR EACH REP 5 O	5,797.00	88.75	2.00	86.75	88.0	76.34
	ACCOUNT #: LSR010889	BUY 100 Units @57.9700						
01/24/2018	***-**-57IN - DIPERNA, ROBERT	NORDIC AMERICAN TANKERS LIMITE COM	1,778.00	47.49	29.00	18.49	88.0	16.27
	ACCOUNT #: LSR011053	BUY 700 Units @2.5400						
01/22/2018	***-**-361J - ALOISIO,	PETROLEO BRASILEIRO SA PETROBRAS SP	2,300.00	49.99	19.00	30.99	88.0	27.27
	ACCOUNT #: LSR010864	SELL 200 Units @11.5000						
01/22/2018	***-**-361J - ALOISIO,	PETROLEO BRASILEIRO SA PETROBRAS SP	2,882.50	69.99	20.00	49.99	88.0	43.99
	ACCOUNT #: LSR010886	SELL 250 Units @11.5300						



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* STOCKS SUBTOTAL *			\$43,726.80	\$849.91	\$253.00	\$596.91		\$525.27
<b>PRODUCT CATEGORY: VARIABLE ANNUITIES</b>								
01/29/2018	***-**-0770 - GAUTHIER, LOUIS	MASS MUTUAL VA TRAILS	0.00	4.13	0.00	4.13	88.0	3.63
	ACCOUNT #: 828693	BUY 1 Units @0.0000						
* VARIABLE ANNUITIES SUBTOTAL *			\$0.00	\$4.13	\$0.00	\$4.13		\$3.63
<b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</b>								
01/29/2018	***-**-656I - SMOLA, STANLEY	CAPITAL APPRECIATION C	0.00	10.00	0.00	10.00	88.0	8.80
	ACCOUNT #: LSR010868	BUY 1 Units @0.0000						
01/29/2018	***-**-077I - GAUTHIER, LOUIS	EQUITY INCOME FUND, INC. A	0.00	1.59	0.00	1.59	88.0	1.40
	ACCOUNT #: LSR010901	BUY 1 Units @0.0000						
01/29/2018	***-**-474J - HAGAN JR,	EQUITY INCOME FUND, INC. A	0.00	0.89	0.00	0.89	88.0	0.78
	ACCOUNT #: LSR010993	BUY 1 Units @0.0000						
01/29/2018	***-**-41IN - HULL, ELMINA	EQUITY INCOME FUND, INC. A	0.00	3.85	0.00	3.85	88.0	3.39
	ACCOUNT #: LSR010999	BUY 1 Units @0.0000						
01/29/2018	***-**-369I - DAVIS, BRUCE	EQUITY INCOME FUND, INC. A	0.00	2.01	0.00	2.01	88.0	1.77
	ACCOUNT #: LSR011029	BUY 1 Units @0.0000						
01/29/2018	***-**-698J - FEISTHAMEL, MR	EQUITY INCOME FUND, INC. A	0.00	0.42	0.00	0.42	88.0	0.37
	ACCOUNT #: LSR011137	BUY 1 Units @0.0000						
01/29/2018	***-**-718J - LOWE, GREGORY	EQUITY INCOME FUND, INC. A	0.00	1.22	0.00	1.22	88.0	1.07
	ACCOUNT #: LSR011914	BUY 1 Units @0.0000						
01/29/2018	***-**-679I - MURSCH JR,	EQUITY INCOME FUND, INC. B	0.00	0.24	0.00	0.24	88.0	0.21
	ACCOUNT #: LSR010888	BUY 1 Units @0.0000						
01/29/2018	***-**-580I - GRIFFITH, DAVID	FIDELITY GOVT MMKT CAPITAL RESERVES	0.00	0.00	0.00	0.00	88.0	0.00
	ACCOUNT #: LSF000292	BUY 1 Units @0.0000						
01/29/2018	***-**-0040 - GRIFFITH,	FIDELITY GOVT MMKT CAPITAL RESERVES	0.00	0.00	0.00	0.00	88.0	0.00
	ACCOUNT #: LSF000293	BUY 1 Units @0.0000						
01/29/2018	***-**-580I - GRIFFITH, DAVID	FIDELITY GOVT MMKT CAPITAL RESERVES	0.00	0.00	0.00	0.00	88.0	0.00
	ACCOUNT #: LSF000295	BUY 1 Units @0.0000						
01/29/2018	***-**-21IN - DANIELS, JOHN	FIDELITY GOVT MMKT CAPITAL RESERVES	0.00	0.00	0.00	0.00	88.0	0.00
	ACCOUNT #: LSR010967	BUY 1 Units @0.0000						
01/29/2018	***-**-54IN - THIBAUT, MS	FIDELITY GOVT MMKT CAPITAL RESERVES	0.00	0.00	0.00	0.00	88.0	0.00
	ACCOUNT #: LSR011080	BUY 1 Units @0.0000						
01/29/2018	***-**-29IN - THIBAUT,	FIDELITY GOVT MMKT CAPITAL RESERVES	0.00	0.00	0.00	0.00	88.0	0.00
	ACCOUNT #: LSR011094	BUY 1 Units @0.0000						



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<b>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b>								
01/29/2018	***-**-698J - BAILEY, MR ACCOUNT #: LSR011097	FIDELITY GOVT MMKT CAPITAL RESERVES BUY 1 Units @0.0000	0.00	0.00	0.00	0.00	88.0	0.00
01/29/2018	***-**-77IR - MARRONE, FBO MR ACCOUNT #: LSR011158	FIDELITY GOVT MMKT CAPITAL RESERVES BUY 1 Units @0.0000	0.00	0.00	0.00	0.00	88.0	0.00
01/29/2018	***-**-61IN - GORCZYNSKI, ACCOUNT #: LSR010844	GLOBAL OPPORTUNITIES FUND C BUY 1 Units @0.0000	0.00	50.92	0.00	50.92	88.0	44.81
01/29/2018	***-**-077I - GAUTHIER, LOUIS ACCOUNT #: LSR010901	GOLD & SPECIAL MINERALS A BUY 1 Units @0.0000	0.00	0.92	0.00	0.92	88.0	0.81
01/29/2018	***-**-369I - DAVIS, BRUCE ACCOUNT #: LSR011029	GOLD & SPECIAL MINERALS A BUY 1 Units @0.0000	0.00	0.64	0.00	0.64	88.0	0.56
01/29/2018	***-**-679I - MURSCH JR, ACCOUNT #: LSR010888	GOLD & SPECIAL MINERALS FUND B BUY 1 Units @0.0000	0.00	0.05	0.00	0.05	88.0	0.04
01/29/2018	***-**-679I - MURSCH JR, ACCOUNT #: LSR010888	INTERNATIONAL DIVERSIFIED FUND B BUY 1 Units @0.0000	0.00	0.18	0.00	0.18	88.0	0.16
01/29/2018	***-**-319I - HILLEBRAND, JOAN ACCOUNT #: LSR011002	INTERNATIONAL DIVERSIFIED FUND B BUY 1 Units @0.0000	0.00	4.10	0.00	4.10	88.0	3.61
01/29/2018	***-**-077I - GAUTHIER, LOUIS ACCOUNT #: LSR010901	INTERNATIONAL GROWTH FUND A BUY 1 Units @0.0000	0.00	2.09	0.00	2.09	88.0	1.84
01/29/2018	***-**-656I - SMOLA, STANLEY ACCOUNT #: LSR010868	INTERNATIONAL GROWTH FUND C BUY 1 Units @0.0000	0.00	9.86	0.00	9.86	88.0	8.68
01/29/2018	***-**-656I - SMOLA, STANLEY ACCOUNT #: LSR010868	MUTUAL SHRS FND - CL C BUY 1 Units @0.0000	0.00	2.15	0.00	2.15	88.0	1.89
01/29/2018	***-**-077I - GAUTHIER, LOUIS ACCOUNT #: LSR010901	OPP PORT SERIES: ACTIVE ALLOC A BUY 1 Units @0.0000	0.00	2.45	0.00	2.45	88.0	2.16
01/29/2018	***-**-61IN - GORCZYNSKI, ACCOUNT #: LSR010844	OPPENHEIMER GLBL REAL ESTATE FUND C BUY 1 Units @0.0000	0.00	13.89	0.00	13.89	88.0	12.22
01/29/2018	***-**-656I - SMOLA, STANLEY ACCOUNT #: LSR010868	OPPENHEIMER GLBL REAL ESTATE FUND C BUY 1 Units @0.0000	0.00	3.48	0.00	3.48	88.0	3.06
01/29/2018	***-**-61IN - GORCZYNSKI, ACCOUNT #: LSR010844	OPPENHEIMER INTERNATIONAL DIVERSIFI BUY 1 Units @0.0000	0.00	41.32	0.00	41.32	88.0	36.36
01/29/2018	***-**-621I - DANIELS SR, JOHN ACCOUNT #: LSR010950	OPPENHEIMER SMALL & MID CAP VALUE F BUY 1 Units @0.0000	0.00	4.20	0.00	4.20	88.0	3.70



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<b>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b>								
01/29/2018	***-**-369J - DAVIS, BRUCE	PUTNAM UTILITIES GROWTH AND INCOME	0.00	2.20	0.00	2.20	88.0	1.94
	ACCOUNT #: LSR011027	BUY 1 Units @0.0000						
01/29/2018	***-**-355I - CRIMMINS, KAREN	PUTNAM 1	0.00	1.76	0.00	1.76	88.0	1.55
	ACCOUNT #: LSR011077	BUY 1 Units @0.0000						
01/29/2018	***-**-187I - WASZKIEWICZ, FBO	PUTNAM 1	0.00	1.61	0.00	1.61	88.0	1.42
	ACCOUNT #: LSR011144	BUY 1 Units @0.0000						
01/29/2018	***-**-231J - MISHLANIE JR,	PUTNAM CAPITAL SPECTRUM FD CL B	0.00	2.53	0.00	2.53	88.0	2.23
	ACCOUNT #: LSR010927	BUY 1 Units @0.0000						
01/29/2018	***-**-91IR - DAMSKY, MELISSA	PUTNAM CAPITAL SPECTRUM FD CL B	0.00	1.04	0.00	1.04	88.0	0.92
	ACCOUNT #: LSR010928	BUY 1 Units @0.0000						
01/29/2018	***-**-869I - CASEY, JOHN	PUTNAM CAPITAL SPECTRUM FD CL B	0.00	1.24	0.00	1.24	88.0	1.09
	ACCOUNT #: LSR011323	BUY 1 Units @0.0000						
01/29/2018	***-**-973I - CHAMBERS, ROGER	PUTNAM CAPITAL SPECTRUM FUND CL C	0.00	12.54	0.00	12.54	88.0	11.04
	ACCOUNT #: LSR011018	BUY 1 Units @0.0000						
01/29/2018	***-**-21IN - DANIELS, JOHN	PUTNAM DIVERSIFIED INCOME-B	0.00	2.62	0.00	2.62	88.0	2.31
	ACCOUNT #: LSR010967	BUY 1 Units @0.0000						
01/29/2018	***-**-41IN - HULL, ELMINA	PUTNAM DIVERSIFIED INCOME-B	0.00	6.05	0.00	6.05	88.0	5.32
	ACCOUNT #: LSR010999	BUY 1 Units @0.0000						
01/29/2018	***-**-21IN - DANIELS, JOHN	PUTNAM EQUITY INCOME FUND-B	0.00	4.68	0.00	4.68	88.0	4.12
	ACCOUNT #: LSR010967	BUY 1 Units @0.0000						
01/29/2018	***-**-355I - CRIMMINS, KAREN	PUTNAM EQUITY INCOME FUND-B	0.00	1.12	0.00	1.12	88.0	0.99
	ACCOUNT #: LSR011077	BUY 1 Units @0.0000						
01/29/2018	***-**-187I - WASZKIEWICZ, FBO	PUTNAM EQUITY INCOME FUND-B	0.00	2.18	0.00	2.18	88.0	1.92
	ACCOUNT #: LSR011144	BUY 1 Units @0.0000						
01/29/2018	***-**-753I - SABANOSH, ALAN	PUTNAM EUROPE EQUITY CLASS C	0.00	16.68	0.00	16.68	88.0	14.68
	ACCOUNT #: LSR010909	BUY 1 Units @0.0000						
01/29/2018	***-**-53TR - SABANOSH, ALAN R	PUTNAM EUROPE EQUITY CLASS C	0.00	11.59	0.00	11.59	88.0	10.20
	ACCOUNT #: LSR010917	BUY 1 Units @0.0000						
01/29/2018	***-**-467J - PICKARD, BRIAN	PUTNAM EUROPE EQUITY CLASS C	0.00	8.94	0.00	8.94	88.0	7.87
	ACCOUNT #: LSR010943	BUY 1 Units @0.0000						
01/29/2018	***-**-231J - MISHLANIE JR,	PUTNAM EUROPE EQUITY FUND-B	0.00	1.34	0.00	1.34	88.0	1.18
	ACCOUNT #: LSR010927	BUY 1 Units @0.0000						



# COMMISSION STATEMENT

## January 29, 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>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b>								
01/29/2018	***-**-21IN - DANIELS, JOHN	PUTNAM EUROPE EQUITY FUND-B	0.00	1.36	0.00	1.36	88.0	1.20
	ACCOUNT #: LSR010967	BUY 1 Units @0.0000						
01/29/2018	***-**-29IO - LORUSSO, VINCENT	PUTNAM EUROPE EQUITY FUND-B	0.00	1.31	0.00	1.31	88.0	1.15
	ACCOUNT #: LSR011681	BUY 1 Units @0.0000						
01/29/2018	***-**-355I - CRIMMINS, KAREN	PUTNAM FLOATING RATE INCOME CL B	0.00	1.07	0.00	1.07	88.0	0.94
	ACCOUNT #: LSR011077	BUY 1 Units @0.0000						
01/29/2018	***-**-21IN - DANIELS, JOHN	PUTNAM GLOBAL NAT RESOURCES-B	0.00	1.53	0.00	1.53	88.0	1.35
	ACCOUNT #: LSR010967	BUY 1 Units @0.0000						
01/29/2018	***-**-34IN - SHEFFER, EUGENE	PUTNAM GLOBAL NAT RESOURCES-B	0.00	1.62	0.00	1.62	88.0	1.43
	ACCOUNT #: LSR011000	BUY 1 Units @0.0000						
01/29/2018	***-**-73IN - SCOTELLARO IV,	PUTNAM GLOBAL NAT RESOURCES-B	0.00	0.67	0.00	0.67	88.0	0.59
	ACCOUNT #: LSR011086	BUY 1 Units @0.0000						
01/29/2018	***-**-187I - WASZKIEWICZ, FBO	PUTNAM GLOBAL NAT RESOURCES-B	0.00	1.13	0.00	1.13	88.0	0.99
	ACCOUNT #: LSR011144	BUY 1 Units @0.0000						
01/29/2018	***-**-41TR - DAMSKY, BARRY	PUTNAM GLOBAL NAT RESOURCES-B	0.00	2.35	0.00	2.35	88.0	2.07
	ACCOUNT #: LSR011340	BUY 1 Units @0.0000						
01/29/2018	***-**-753I - SABANOSH, ALAN	PUTNAM GLOBAL UTILITIES CL C	0.00	5.59	0.00	5.59	88.0	4.92
	ACCOUNT #: LSR010909	BUY 1 Units @0.0000						
01/29/2018	***-**-369I - DAVIS, BRUCE	PUTNAM INTERNATIONAL EQUITY-A	0.00	1.31	0.00	1.31	88.0	1.15
	ACCOUNT #: LSR011029	BUY 1 Units @0.0000						
01/17/2018	***-**-522I - RIEBEN, HENRY	PUTNAM MF TRAILS 37252M306	10.72	0.11	0.00	0.11	88.0	0.10
	ACCOUNT #: 00551360517	BUY 1 Units @20.4400						
01/29/2018	***-**-61IN - GORCZYNSKI,	PUTNAM MID-CAP VALUE FUND-C	0.00	50.72	0.00	50.72	88.0	44.63
	ACCOUNT #: LSR010844	BUY 1 Units @0.0000						
01/29/2018	***-**-231J - MISHLANIE JR,	PUTNAM UTILITIES GR & INC-B	0.00	3.53	0.00	3.53	88.0	3.11
	ACCOUNT #: LSR010927	BUY 1 Units @0.0000						
01/29/2018	***-**-369J - DAVIS, BRUCE	PUTNAM UTILITIES GR & INC-B	0.00	0.66	0.00	0.66	88.0	0.58
	ACCOUNT #: LSR011027	BUY 1 Units @0.0000						
01/29/2018	***-**-369I - DAVIS, BRUCE	PUTNAM UTILITIES GR & INC-B	0.00	1.60	0.00	1.60	88.0	1.41
	ACCOUNT #: LSR011029	BUY 1 Units @0.0000						
01/29/2018	***-**-355I - CRIMMINS, KAREN	PUTNAM UTILITIES GR & INC-B	0.00	0.89	0.00	0.89	88.0	0.78
	ACCOUNT #: LSR011077	BUY 1 Units @0.0000						



# COMMISSION STATEMENT

## January 29, 2018

DAVID GRIFFITH  
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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>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b>								
01/29/2018	***-**-13IR - MURRAY, JOHN	PUTNAM UTILITIES GR & INC-B	0.00	0.95	0.00	0.95	88.0	0.84
	ACCOUNT #: LSR011459	BUY 1 Units @0.0000						
01/29/2018	***-**-29IO - LORUSSO, VINCENT	PUTNAM UTILITIES GR & INC-B	0.00	1.94	0.00	1.94	88.0	1.71
	ACCOUNT #: LSR011681	BUY 1 Units @0.0000						
01/29/2018	***-**-92IR - THIBAUT, MARY	PUTNAM UTILITIES GR & INC-B	0.00	0.51	0.00	0.51	88.0	0.45
	ACCOUNT #: LSR011833	BUY 1 Units @0.0000						
01/29/2018	***-**-76IR - BOSHART-LOWE,	PUTNAM UTILITIES GR & INC-B	0.00	1.25	0.00	1.25	88.0	1.10
	ACCOUNT #: LSR011841	BUY 1 Units @0.0000						
01/29/2018	***-**-679I - MURSCH JR,	QUEST BALANCED B	0.00	0.14	0.00	0.14	88.0	0.12
	ACCOUNT #: LSR010888	BUY 1 Units @0.0000						
01/29/2018	***-**-231J - MISHLANIE JR,	QUEST BALANCED B	0.00	3.30	0.00	3.30	88.0	2.90
	ACCOUNT #: LSR010927	BUY 1 Units @0.0000						
01/29/2018	***-**-29IN - THIBAUT,	QUEST BALANCED FUND C	0.00	10.23	0.00	10.23	88.0	9.00
	ACCOUNT #: LSR011094	BUY 1 Units @0.0000						
01/29/2018	***-**-24TR - SCOTELLARO, L	QUEST INTERNATIONAL VALUE FUND, INC	0.00	3.91	0.00	3.91	88.0	3.44
	ACCOUNT #: LSR010973	BUY 1 Units @0.0000						
01/29/2018	***-**-61IN - GORCZYNSKI,	QUEST INTERNATIONAL VALUE FUND, INC	0.00	41.90	0.00	41.90	88.0	36.87
	ACCOUNT #: LSR010844	BUY 1 Units @0.0000						
01/29/2018	***-**-077I - GAUTHIER, LOUIS	RISING DIVIDENDS FUND A	0.00	2.13	0.00	2.13	88.0	1.87
	ACCOUNT #: LSR010901	BUY 1 Units @0.0000						
01/29/2018	***-**-474J - HAGAN JR,	RISING DIVIDENDS FUND A	0.00	1.52	0.00	1.52	88.0	1.34
	ACCOUNT #: LSR010993	BUY 1 Units @0.0000						
01/29/2018	***-**-01IN - HAGAN III,	RISING DIVIDENDS FUND A	0.00	2.05	0.00	2.05	88.0	1.80
	ACCOUNT #: LSR011014	BUY 1 Units @0.0000						
01/29/2018	***-**-369I - DAVIS, BRUCE	RISING DIVIDENDS FUND A	0.00	2.44	0.00	2.44	88.0	2.15
	ACCOUNT #: LSR011029	BUY 1 Units @0.0000						
01/29/2018	***-**-679I - MURSCH JR,	RISING DIVIDENDS FUND, INC. B	0.00	0.22	0.00	0.22	88.0	0.19
	ACCOUNT #: LSR010888	BUY 1 Units @0.0000						
01/29/2018	***-**-05IN - HULL, JEFFERY	SENIOR FLOATING RATE FUND C	0.00	8.52	0.00	8.52	88.0	7.50
	ACCOUNT #: LSR011187	BUY 1 Units @0.0000						
01/29/2018	***-**-679I - MURSCH JR,	SMALL- & MID- CAP VALUE B	0.00	0.19	0.00	0.19	88.0	0.17
	ACCOUNT #: LSR010888	BUY 1 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>								
01/29/2018	***-**-21IN - DANIELS, JOHN	SMALL- & MID-CAP GROWTH FUND A	0.00	2.42	0.00	2.42	88.0	2.13
	ACCOUNT #: LSR010967	BUY 1 Units @0.0000						
01/29/2018	***-**-25IN - PERRITANO,	TA ASSET ALLOC MODERATE PORT CL A	0.00	1.88	0.00	1.88	88.0	1.65
	ACCOUNT #: LSR010924	BUY 1 Units @0.0000						
01/29/2018	***-**-423I - SAVICKI, RICHARD	TEMPLETON EMERGING MARKETS BALANCED	0.00	8.33	0.00	8.33	88.0	7.33
	ACCOUNT #: LSR010889	BUY 1 Units @0.0000						
01/29/2018	***-**-425I - PERRITANO,	TEMPLETON EMERGING MARKETS BALANCED	0.00	12.85	0.00	12.85	88.0	11.31
	ACCOUNT #: LSR010922	BUY 1 Units @0.0000						
01/29/2018	***-**-319I - HILLEBRAND, JOAN	TEMPLETON EMERGING MARKETS BALANCED	0.00	9.27	0.00	9.27	88.0	8.16
	ACCOUNT #: LSR011002	BUY 1 Units @0.0000						
01/29/2018	***-**-973I - CHAMBERS, ROGER	TEMPLETON GLOBAL BOND FUND - CLASS	0.00	6.04	0.00	6.04	88.0	5.32
	ACCOUNT #: LSR011018	BUY 1 Units @0.0000						
01/29/2018	***-**-05IN - HULL, JEFFERY	TEMPLETON GLOBAL BOND FUND - CLASS	0.00	4.42	0.00	4.42	88.0	3.89
	ACCOUNT #: LSR011187	BUY 1 Units @0.0000						
01/29/2018	***-**-94UT - MISHLANIE,	TRANSAMERICA BALANCED - A	0.00	4.62	0.00	4.62	88.0	4.07
	ACCOUNT #: LSR010931	BUY 1 Units @0.0000						
01/29/2018	***-**-41IN - HULL, ELMINA	TRANSAMERICA MLP & ENERGY INCOME CL	0.00	4.29	0.00	4.29	88.0	3.78
	ACCOUNT #: LSR010999	BUY 1 Units @0.0000						
01/29/2018	***-**-41IN - HULL, ELMINA	TRANSAMERICA MULT MAN ALT	0.00	3.48	0.00	3.48	88.0	3.06
	ACCOUNT #: LSR010999	BUY 1 Units @0.0000						
01/29/2018	***-**-08TR - SCOTELLARO III,	TRANSAMERICA SHORT-TERM BOND CL A	0.00	1.33	0.00	1.33	88.0	1.17
	ACCOUNT #: LSR010975	BUY 1 Units @0.0000						
01/29/2018	***-**-656I - SMOLA, STANLEY	VOYA GLOBAL REAL ESTATE CLASS C	0.00	6.01	0.00	6.01	88.0	5.29
	ACCOUNT #: LSR010868	BUY 1 Units @0.0000						
<b>* MUTUAL FUND 12B1 TRAILS SUBTOTAL *</b>			<b>\$10.72</b>	<b>\$456.18</b>	<b>\$0.00</b>	<b>\$456.18</b>		<b>\$401.48</b>
<b>PRODUCT CATEGORY: VARIABLE ANNUITY 12B1 TRAILS</b>								
01/29/2018	***-**-80IN - GRIFFITH, DAVID	MASS MUTUAL VA TRAILS	0.00	0.55	0.00	0.55	88.0	0.48
	ACCOUNT #: 834388	BUY 1 Units @0.0000						
<b>* VARIABLE ANNUITY 12B1 TRAILS SUBTOTAL *</b>			<b>\$0.00</b>	<b>\$0.55</b>	<b>\$0.00</b>	<b>\$0.55</b>		<b>\$0.48</b>
<b>*** BROKER TRANSACTIONS TOTAL ***</b>			<b>\$71,892.82</b>	<b>\$1,632.72</b>	<b>\$289.00</b>	<b>\$1,343.72</b>		<b>\$1,182.50</b>



# COMMISSION STATEMENT

## January 29, 2018

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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><u> OVERRIDE TRANSACTIONS </u></b>								
<b><u>BROKER: KURT GRUENEWALD</u></b>								
01/29/2018	***-**-702I - KOCHER, MICHAEL	37252M108	0.00	1.00	0.00	1.00	88.0	0.88
	ACCOUNT #: LSR010954	BUY 1 Units @0.0000						
01/29/2018	***-**-680I - HARRELL, DARYL	37252M108	0.00	0.84	0.00	0.84	88.0	0.74
	ACCOUNT #: LSR011321	BUY 1 Units @0.0000						
01/29/2018	***-**-22IO - CLINTON, STEPHEN	37252M108	0.00	1.72	0.00	1.72	88.0	1.51
	ACCOUNT #: LSR011684	BUY 1 Units @0.0000						
01/08/2018	***-**-6404 - ASHRAF, MIRZA	AMERICAN FUNDS 401K TRAILS	0.00	223.32	0.00	223.32	88.0	196.52
	ACCOUNT #: IRK129327	BUY 0 Units @0.0000						
01/23/2018	***-**-366I - GRUENEWALD,	BANK OF NOVA SCOTIA COM NPV ISIN #C	1,979.10	22.19	0.00	22.19	88.0	19.53
	ACCOUNT #: LSR010989	SELL 30 Units @65.9700						
01/24/2018	***-**-22IO - CLINTON, STEPHEN	BERKSHIRE HATHAWAY INC DEL CL B NEW	10,775.00	107.75	0.00	107.75	88.0	94.82
	ACCOUNT #: LSR011684	BUY 50 Units @215.5000						
01/29/2018	***-**-959I - FRANZ, PAUL	BLACKROCK US OPPORT CL A	0.00	0.39	0.00	0.39	88.0	0.34
	ACCOUNT #: LSR010959	BUY 1 Units @0.0000						
01/04/2018	***-**-65CL - GRUENEWALD, K,	CAPITAL APPRECIATION C	50.00	0.50	0.00	0.50	88.0	0.44
	ACCOUNT #: 03222414918	BUY 0 Units @0.0000						
01/29/2018	***-**-949I - ACEE, JOSPEH	DEVELOPING MARKETS FUND B	0.00	1.26	0.00	1.26	88.0	1.11
	ACCOUNT #: LSR010908	BUY 1 Units @0.0000						
01/29/2018	***-**-506J - CURRIERE JR, MR	DEVELOPING MARKETS FUND B	0.00	0.85	0.00	0.85	88.0	0.75
	ACCOUNT #: LSR011121	BUY 1 Units @0.0000						
01/29/2018	***-**-48IO - ANACKER, FBO MRS	DEVELOPING MARKETS FUND B	0.00	1.07	0.00	1.07	88.0	0.94
	ACCOUNT #: LSR011164	BUY 1 Units @0.0000						
01/29/2018	***-**-64IO - PFAFF, GEORGE	DEVELOPING MARKETS FUND B	0.00	1.49	0.00	1.49	88.0	1.31
	ACCOUNT #: LSR011185	BUY 1 Units @0.0000						
01/29/2018	***-**-62IR - ROBBIANO, FBO	DEVELOPING MARKETS FUND B	0.00	1.15	0.00	1.15	88.0	1.01
	ACCOUNT #: LSR011195	BUY 1 Units @0.0000						
01/29/2018	***-**-653I - KOCHER, CLINTON	DEVELOPING MARKETS FUND B	0.00	2.39	0.00	2.39	88.0	2.10
	ACCOUNT #: LSR011300	BUY 1 Units @0.0000						
01/19/2018	***-**-22IO - CLINTON, STEPHEN	EATON VANCE FLOATING RATE ADVANTAGE	5,000.00	50.00	0.00	50.00	88.0	44.00
	ACCOUNT #: LSR011684	BUY 458 Units @10.9100						
01/04/2018	***-**-633J -	EQUITY INCOME FUND, INC. A	175.00	8.31	0.00	8.31	88.0	7.31
	ACCOUNT #: 08353229688	BUY 0 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> BROKER: KURT GRUENEWALD (continued)</b>								
01/29/2018	***-**-254I - AUGUSTINE, LINDA	EQUITY INCOME FUND, INC. A	0.00	2.37	0.00	2.37	88.0	2.09
	ACCOUNT #: LSR010846	BUY 1 Units @0.0000						
01/29/2018	***-**-881J - EBERLEY, SUSAN	EQUITY INCOME FUND, INC. A	0.00	2.28	0.00	2.28	88.0	2.01
	ACCOUNT #: LSR010856	BUY 1 Units @0.0000						
01/29/2018	***-**-15IN - PENDRAK, JOHN	EQUITY INCOME FUND, INC. A	0.00	1.93	0.00	1.93	88.0	1.70
	ACCOUNT #: LSR010948	BUY 1 Units @0.0000						
01/29/2018	***-**-702I - KOCHER, MICHAEL	EQUITY INCOME FUND, INC. A	0.00	2.09	0.00	2.09	88.0	1.84
	ACCOUNT #: LSR010954	BUY 1 Units @0.0000						
01/29/2018	***-**-959I - FRANZ, PAUL	EQUITY INCOME FUND, INC. A	0.00	2.32	0.00	2.32	88.0	2.04
	ACCOUNT #: LSR010959	BUY 1 Units @0.0000						
01/29/2018	***-**-960J - MASTRANGELO,	EQUITY INCOME FUND, INC. A	0.00	2.46	0.00	2.46	88.0	2.16
	ACCOUNT #: LSR010966	BUY 1 Units @0.0000						
01/29/2018	***-**-51IO - CAIN, TIMOTHY	EQUITY INCOME FUND, INC. A	0.00	2.61	0.00	2.61	88.0	2.30
	ACCOUNT #: LSR011007	BUY 1 Units @0.0000						
01/29/2018	***-**-761I - EVANS, DOLORES	EQUITY INCOME FUND, INC. A	0.00	4.69	0.00	4.69	88.0	4.13
	ACCOUNT #: LSR011024	BUY 1 Units @0.0000						
01/29/2018	***-**-944O - MAYO, DEBORAH	EQUITY INCOME FUND, INC. A	0.00	1.14	0.00	1.14	88.0	1.00
	ACCOUNT #: LSR011035	BUY 1 Units @0.0000						
01/29/2018	***-**-579I - RHYMESTINE,	EQUITY INCOME FUND, INC. A	0.00	1.75	0.00	1.75	88.0	1.54
	ACCOUNT #: LSR011082	BUY 1 Units @0.0000						
01/29/2018	***-**-861I - SANGER, LAWRENCE	EQUITY INCOME FUND, INC. A	0.00	1.35	0.00	1.35	88.0	1.19
	ACCOUNT #: LSR011095	BUY 1 Units @0.0000						
01/29/2018	***-**-680I - HARRELL, DARYL	EQUITY INCOME FUND, INC. A	0.00	0.88	0.00	0.88	88.0	0.77
	ACCOUNT #: LSR011321	BUY 1 Units @0.0000						
01/29/2018	***-**-287J - HINCKLEY,	EQUITY INCOME FUND, INC. B	0.00	0.60	0.00	0.60	88.0	0.53
	ACCOUNT #: LSR010841	BUY 1 Units @0.0000						
01/29/2018	***-**-949I - ACEE, JOSPEH	EQUITY INCOME FUND, INC. B	0.00	2.59	0.00	2.59	88.0	2.28
	ACCOUNT #: LSR010908	BUY 1 Units @0.0000						
01/29/2018	***-**-567I - FRANZ, ALICE	EQUITY INCOME FUND, INC. B	0.00	6.14	0.00	6.14	88.0	5.40
	ACCOUNT #: LSR010960	BUY 1 Units @0.0000						
01/29/2018	***-**-366I - GRUENEWALD,	EQUITY INCOME FUND, INC. B	0.00	1.35	0.00	1.35	88.0	1.19
	ACCOUNT #: LSR010989	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>								
01/29/2018	***-**-306X - COBB, CHERRYL	EQUITY INCOME FUND, INC. B	0.00	2.02	0.00	2.02	88.0	1.78
	ACCOUNT #: LSR011037	BUY 1 Units @0.0000						
01/29/2018	***-**-506J - CURRIERE JR, MR	EQUITY INCOME FUND, INC. B	0.00	1.15	0.00	1.15	88.0	1.01
	ACCOUNT #: LSR011121	BUY 1 Units @0.0000						
01/29/2018	***-**-48IO - ANACKER, FBO MRS	EQUITY INCOME FUND, INC. B	0.00	1.73	0.00	1.73	88.0	1.52
	ACCOUNT #: LSR011164	BUY 1 Units @0.0000						
01/29/2018	***-**-64IO - PFAFF, GEORGE	EQUITY INCOME FUND, INC. B	0.00	2.17	0.00	2.17	88.0	1.91
	ACCOUNT #: LSR011185	BUY 1 Units @0.0000						
01/29/2018	***-**-62IR - ROBBIANO, FBO	EQUITY INCOME FUND, INC. B	0.00	1.55	0.00	1.55	88.0	1.36
	ACCOUNT #: LSR011195	BUY 1 Units @0.0000						
01/29/2018	***-**-653I - KOCHER, CLINTON	EQUITY INCOME FUND, INC. B	0.00	3.21	0.00	3.21	88.0	2.82
	ACCOUNT #: LSR011300	BUY 1 Units @0.0000						
01/02/2018	***-**-48JT - LEE, DARLENE	EQUITY INCOME FUND, INC. C	50.00	0.50	0.00	0.50	88.0	0.44
	ACCOUNT #: 08370750926	BUY 0 Units @0.0000						
01/29/2018	***-**-980I - ACEE, ELIZABETH	EQUITY INCOME FUND, INC. C	0.00	14.21	0.00	14.21	88.0	12.50
	ACCOUNT #: LSR010885	BUY 1 Units @0.0000						
01/29/2018	***-**-031O - MCVOY, ROBERT	EQUITY INCOME FUND, INC. C	0.00	6.41	0.00	6.41	88.0	5.64
	ACCOUNT #: LSR010916	BUY 1 Units @0.0000						
01/29/2018	***-**-00IO - LEE, GARY	EQUITY INCOME FUND, INC. C	0.00	14.14	0.00	14.14	88.0	12.44
	ACCOUNT #: LSR011059	BUY 1 Units @0.0000						
01/29/2018	***-**-28IN - BYWATER, KIM	EQUITY INCOME FUND, INC. C	0.00	1.66	0.00	1.66	88.0	1.46
	ACCOUNT #: LSR011995	BUY 1 Units @0.0000						
01/29/2018	***-**-44IO - MAYO, DEBORAH	FRANKLIN BIOTECH DISCOVERY FUND CL	0.00	0.10	0.00	0.10	88.0	0.09
	ACCOUNT #: LSR011079	BUY 1 Units @0.0000						
01/29/2018	***-**-382I - SATTERLY, NEIL	FRANKLIN CONVERTIBLE SECURITIES CLA	0.00	8.95	0.00	8.95	88.0	7.88
	ACCOUNT #: LSR010867	BUY 1 Units @0.0000						
01/29/2018	***-**-86IN - LEE, KEVIN	FRANKLIN GROWTH FUND CLASS A	0.00	2.08	0.00	2.08	88.0	1.83
	ACCOUNT #: LSR011613	BUY 1 Units @0.0000						
01/29/2018	***-**-86IN - LEE, KEVIN	FRANKLIN INCOME FUND CLASS A	0.00	1.23	0.00	1.23	88.0	1.08
	ACCOUNT #: LSR011613	BUY 1 Units @0.0000						
01/29/2018	***-**-61IN - EVANS, DOLORES	FRANKLIN INCOME FUND CLASS C	0.00	0.71	0.00	0.71	88.0	0.62
	ACCOUNT #: LSR011023	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>								
01/29/2018	***-**-44IO - MAYO, DEBORAH	FRANKLIN INCOME FUND CLASS C	0.00	0.21	0.00	0.21	88.0	0.18
	ACCOUNT #: LSR011079	BUY 1 Units @0.0000						
01/29/2018	***-**-09IO - BATES, FBO MRS	FRANKLIN INCOME FUND CLASS C	0.00	7.40	0.00	7.40	88.0	6.51
	ACCOUNT #: LSR011117	BUY 1 Units @0.0000						
01/29/2018	***-**-11IO - LYNN G.	FRANKLIN INCOME FUND CLASS C	0.00	9.86	0.00	9.86	88.0	8.68
	ACCOUNT #: LSR011239	BUY 1 Units @0.0000						
01/29/2018	***-**-376I - BERBEN, GAIL	FRANKLIN INCOME FUND CLASS C	0.00	9.04	0.00	9.04	88.0	7.96
	ACCOUNT #: LSR011380	BUY 1 Units @0.0000						
01/29/2018	***-**-45IO - JOHNSON, GREGORY	FRANKLIN INCOME FUND CLASS C	0.00	9.02	0.00	9.02	88.0	7.94
	ACCOUNT #: LSR011421	BUY 1 Units @0.0000						
01/29/2018	***-**-00IN - FRANZ, JEAN	FRANKLIN INCOME FUND CLASS C	0.00	40.52	0.00	40.52	88.0	35.66
	ACCOUNT #: LSR011796	BUY 1 Units @0.0000						
01/29/2018	***-**-366O - GRUENEWALD,	FRANKLIN NEW YORK TAX-FREE INCOME F	0.00	0.17	0.00	0.17	88.0	0.15
	ACCOUNT #: LSR010987	BUY 1 Units @0.0000						
01/29/2018	***-**-065I - LAZIO, THOMAS	FRK GROWTH OPPORTUNITIES CL C	0.00	2.13	0.00	2.13	88.0	1.87
	ACCOUNT #: LSR010979	BUY 1 Units @0.0000						
01/29/2018	***-**-45IO - JOHNSON, GREGORY	FRK GROWTH OPPORTUNITIES CL C	0.00	10.04	0.00	10.04	88.0	8.84
	ACCOUNT #: LSR011421	BUY 1 Units @0.0000						
01/29/2018	***-**-065I - LAZIO, THOMAS	FRNKLN BALANCE SHEET INVTMNT FND -	0.00	9.48	0.00	9.48	88.0	8.34
	ACCOUNT #: LSR010979	BUY 1 Units @0.0000						
01/23/2018	***-**-366I - GRUENEWALD,	GENERAL ELECTRIC CO UNSOLICITED ORD	1,690.00	17.87	0.00	17.87	88.0	15.73
	ACCOUNT #: LSR010989	SELL 100 Units @16.9000						
01/29/2018	***-**-128I - BASHANT, THOMAS	GLOBAL FUND A	0.00	2.18	0.00	2.18	88.0	1.92
	ACCOUNT #: LSR011387	BUY 1 Units @0.0000						
01/04/2018	***-**-65CL - GRUENEWALD, K,	GLOBAL OPPORTUNITIES FUND C	50.00	0.50	0.00	0.50	88.0	0.44
	ACCOUNT #: 02171825219	BUY 0 Units @0.0000						
01/29/2018	***-**-094I - KATRENA L	GLOBAL OPPORTUNITIES FUND C	0.00	15.47	0.00	15.47	88.0	13.61
	ACCOUNT #: LSR011188	BUY 1 Units @0.0000						
01/29/2018	***-**-254I - AUGUSTINE, LINDA	GOLD & SPECIAL MINERALS A	0.00	0.31	0.00	0.31	88.0	0.27
	ACCOUNT #: LSR010846	BUY 1 Units @0.0000						
01/29/2018	***-**-881I - EBERLEY, SUSAN	GOLD & SPECIAL MINERALS A	0.00	0.16	0.00	0.16	88.0	0.14
	ACCOUNT #: LSR010858	BUY 1 Units @0.0000						



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<b> OVERRIDE TRANSACTIONS (continued)</b>								
<b> <u>BROKER: KURT GRUENEWALD (continued)</u></b>								
01/29/2018	***-**-930I - SANGER, KEVIN ACCOUNT #: LSR010941	GOLD & SPECIAL MINERALS A BUY 1 Units @0.0000	0.00	0.33	0.00	0.33	88.0	0.29
01/29/2018	***-**-15IN - PENDRAK, JOHN ACCOUNT #: LSR010948	GOLD & SPECIAL MINERALS A BUY 1 Units @0.0000	0.00	2.20	0.00	2.20	88.0	1.94
01/29/2018	***-**-702J - KOCHER, MICHAEL ACCOUNT #: LSR010955	GOLD & SPECIAL MINERALS A BUY 1 Units @0.0000	0.00	0.24	0.00	0.24	88.0	0.21
01/29/2018	***-**-959I - FRANZ, PAUL ACCOUNT #: LSR010959	GOLD & SPECIAL MINERALS A BUY 1 Units @0.0000	0.00	0.58	0.00	0.58	88.0	0.51
01/29/2018	***-**-61IN - EVANS, DOLORES ACCOUNT #: LSR011023	GOLD & SPECIAL MINERALS A BUY 1 Units @0.0000	0.00	0.18	0.00	0.18	88.0	0.16
01/29/2018	***-**-944O - MAYO, DEBORAH ACCOUNT #: LSR011035	GOLD & SPECIAL MINERALS A BUY 1 Units @0.0000	0.00	0.55	0.00	0.55	88.0	0.48
01/29/2018	***-**-96IN - NESSIA, BONNIE ACCOUNT #: LSR011055	GOLD & SPECIAL MINERALS A BUY 1 Units @0.0000	0.00	0.30	0.00	0.30	88.0	0.26
01/29/2018	***-**-13IN - RHYMESTINE, ACCOUNT #: LSR011106	GOLD & SPECIAL MINERALS A BUY 1 Units @0.0000	0.00	0.36	0.00	0.36	88.0	0.32
01/29/2018	***-**-76IO - MCALLISTER, FBO ACCOUNT #: LSR011107	GOLD & SPECIAL MINERALS A BUY 1 Units @0.0000	0.00	0.35	0.00	0.35	88.0	0.31
01/29/2018	***-**-31IO - WILLIAMSON, FBO ACCOUNT #: LSR011172	GOLD & SPECIAL MINERALS A BUY 1 Units @0.0000	0.00	1.41	0.00	1.41	88.0	1.24
01/29/2018	***-**-02IN - BUSHEY, MELISSA ACCOUNT #: LSR011257	GOLD & SPECIAL MINERALS A BUY 1 Units @0.0000	0.00	0.12	0.00	0.12	88.0	0.11
01/29/2018	***-**-62IN - EATON, DAVID ACCOUNT #: LSR011315	GOLD & SPECIAL MINERALS A BUY 1 Units @0.0000	0.00	0.41	0.00	0.41	88.0	0.36
01/29/2018	***-**-949I - ACEE, JOSPEH ACCOUNT #: LSR010908	GOLD & SPECIAL MINERALS FUND B BUY 1 Units @0.0000	0.00	0.62	0.00	0.62	88.0	0.55
01/29/2018	***-**-579I - RHYMESTINE, ACCOUNT #: LSR011082	GOLD & SPECIAL MINERALS FUND B BUY 1 Units @0.0000	0.00	0.56	0.00	0.56	88.0	0.49
01/29/2018	***-**-367J - WAGNER, MRS LANT ACCOUNT #: LSR011134	GOLD & SPECIAL MINERALS FUND B BUY 1 Units @0.0000	0.00	0.31	0.00	0.31	88.0	0.27
01/29/2018	***-**-48IO - ANACKER, FBO MRS ACCOUNT #: LSR011164	GOLD & SPECIAL MINERALS FUND B BUY 1 Units @0.0000	0.00	0.73	0.00	0.73	88.0	0.64



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<b><u> OVERRIDE TRANSACTIONS (continued) </u></b>								
<b><u> BROKER: KURT GRUENEWALD (continued) </u></b>								
01/29/2018	***-**-664J - PFAFF, GEORGE	GOLD & SPECIAL MINERALS FUND B	0.00	0.60	0.00	0.60	88.0	0.53
	ACCOUNT #: LSR011184	BUY 1 Units @0.0000						
01/29/2018	***-**-930I - SANGER, KEVIN	GRIFFIN-AMERICAN HEALTHCARE REIT IV	0.00	12.60	0.00	12.60	88.0	11.09
	ACCOUNT #: 00091130813	BUY 0 Units @0.0000						
01/29/2018	***-**-11IN - MCCARTHY, LYNN	GRIFFIN-AMERICAN HEALTHCARE REIT IV	0.00	37.81	0.00	37.81	88.0	33.27
	ACCOUNT #: 091131292	BUY 0 Units @0.0000						
01/29/2018	***-**-376I - BERBEN, GAIL	GRIFFIN-AMERICAN HEALTHCARE REIT IV	0.00	12.60	0.00	12.60	88.0	11.09
	ACCOUNT #: 00091131725	BUY 0 Units @0.0000						
01/29/2018	***-**-21IO - RADELL, SANDRA	GRIFFIN-AMERICAN HEALTHCARE REIT IV	0.00	25.21	0.00	25.21	88.0	22.18
	ACCOUNT #: 091131984	BUY 0 Units @0.0000						
01/29/2018	***-**-49IN - DEPEYSTER,	GRIFFIN-AMERICAN HEALTHCARE REIT IV	0.00	12.60	0.00	12.60	88.0	11.09
	ACCOUNT #: 091132017	BUY 0 Units @0.0000						
01/29/2018	***-**-14IO - BUSHEY, MATTHEW	GRIFFIN-AMERICAN HEALTHCARE REIT IV	0.00	12.60	0.00	12.60	88.0	11.09
	ACCOUNT #: 00091132551	BUY 0 Units @0.0000						
01/29/2018	***-**-09IN - BATES, CHRISTINE	GRIFFIN-AMERICAN HEALTHCARE REIT IV	0.00	25.21	0.00	25.21	88.0	22.18
	ACCOUNT #: 00091133853	BUY 0 Units @0.0000						
01/29/2018	***-**-29IN - MASSOUD,	GRIFFIN-AMERICAN HEALTHCARE REIT IV	0.00	12.60	0.00	12.60	88.0	11.09
	ACCOUNT #: 91134730	BUY 0 Units @0.0000						
01/29/2018	***-**-579I - RHYMESTINE,	GRIFFIN-AMERICAN HEALTHCARE REIT IV	0.00	15.12	0.00	15.12	88.0	13.31
	ACCOUNT #: 91134731	BUY 0 Units @0.0000						
01/29/2018	***-**-959I - FRANZ, PAUL	GRIFFIN-AMERICAN HEALTHCARE REIT IV	0.00	15.12	0.00	15.12	88.0	13.31
	ACCOUNT #: 91134733	BUY 0 Units @0.0000						
01/29/2018	***-**-723I - WARMUTH,	GRIFFIN-AMERICAN HEALTHCARE REIT IV	0.00	12.60	0.00	12.60	88.0	11.09
		BUY 0 Units @0.0000						
01/29/2018	***-**-15IN - PENDRAK, JOHN	GRIFFIN-AMERICAN HEALTHCARE REIT IV	0.00	12.60	0.00	12.60	88.0	11.09
	ACCOUNT #: 091136021	BUY 0 Units @0.0000						
01/29/2018	***-**-366I - GRUENEWALD,	GRIFFIN-AMERICAN HEALTHCARE REIT IV	0.00	12.60	0.00	12.60	88.0	11.09
	ACCOUNT #: 91136364	BUY 0 Units @0.0000						
01/29/2018	***-**-365I - GRUENEWALD, KURT	GRIFFIN-AMERICAN HEALTHCARE REIT IV	0.00	12.60	0.00	12.60	88.0	11.09
	ACCOUNT #: 091137478	BUY 0 Units @0.0000						
01/29/2018	***-**-761I - EVANS, DOLORES	GRIFFIN-AMERICAN HEALTHCARE REIT IV	0.00	12.60	0.00	12.60	88.0	11.09
	ACCOUNT #: 091138283	BUY 0 Units @0.0000						



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<b><u> OVERRIDE TRANSACTIONS (continued) </u></b>								
<b><u> BROKER: KURT GRUENEWALD (continued) </u></b>								
01/29/2018	***-**-960J - MASTRANGELO, ACCOUNT #: 091139160	GRIFFIN-AMERICAN HEALTHCARE REIT IV BUY 0 Units @0.0000	0.00	25.21	0.00	25.21	88.0	22.18
01/29/2018	***-**-531J - WILLIAMSON, ACCOUNT #: 091140076	GRIFFIN-AMERICAN HEALTHCARE REIT IV BUY 0 Units @0.0000	0.00	75.62	0.00	75.62	88.0	66.55
01/29/2018	***-**-881I - EBERLEY, SUSAN ACCOUNT #: LSR010858	INTERNATIONAL BOND A BUY 1 Units @0.0000	0.00	0.69	0.00	0.69	88.0	0.61
01/29/2018	***-**-761I - EVANS, DOLORES ACCOUNT #: LSR011024	INTERNATIONAL BOND A BUY 1 Units @0.0000	0.00	3.47	0.00	3.47	88.0	3.05
01/29/2018	***-**-15IN - PENDRAK, JOHN ACCOUNT #: LSR010948	INTERNATIONAL SMALL COMPANY A BUY 1 Units @0.0000	0.00	1.44	0.00	1.44	88.0	1.27
01/29/2018	***-**-959I - FRANZ, PAUL ACCOUNT #: LSR010959	INTERNATIONAL SMALL COMPANY A BUY 1 Units @0.0000	0.00	1.38	0.00	1.38	88.0	1.21
01/29/2018	***-**-367J - WAGNER, MRS LANT ACCOUNT #: LSR011134	INTERNATIONAL SMALL COMPANY FUND B BUY 1 Units @0.0000	0.00	1.87	0.00	1.87	88.0	1.65
01/29/2018	***-**-664J - PFAFF, GEORGE ACCOUNT #: LSR011184	INTERNATIONAL SMALL COMPANY FUND B BUY 1 Units @0.0000	0.00	0.93	0.00	0.93	88.0	0.82
01/24/2018	***-**-366I - GRUENEWALD, ACCOUNT #: LSR010989	ISHARES INC MSCI SNG ETF NEW SELL 100 Units @28.2750	2,827.50	28.85	0.00	28.85	88.0	25.39
01/19/2018	***-**-22IO - CLINTON, STEPHEN ACCOUNT #: LSR011684	LORD ABBETT SHORT DURATION INCOME C BUY 2347 Units @4.2600	10,000.00	100.00	0.00	100.00	88.0	88.00
01/29/2018	***-**-44IO - MAYO, DEBORAH ACCOUNT #: LSR011079	LORD ABBETT SHORT DURATION INCOME C BUY 1 Units @0.0000	0.00	12.84	0.00	12.84	88.0	11.30
01/29/2018	***-**-579J - RHYMESTINE, ACCOUNT #: LSR011081	LORD ABBETT SHORT DURATION INCOME C BUY 1 Units @0.0000	0.00	9.71	0.00	9.71	88.0	8.54
01/29/2018	***-**-09IO - BATES, FBO MRS ACCOUNT #: LSR011117	LORD ABBETT SHORT DURATION INCOME C BUY 1 Units @0.0000	0.00	12.86	0.00	12.86	88.0	11.32
01/29/2018	***-**-89IN - LEE, ROGER ACCOUNT #: LSR011166	LORD ABBETT SHORT DURATION INCOME C BUY 1 Units @0.0000	0.00	24.67	0.00	24.67	88.0	21.71
01/29/2018	***-**-439J - MCCARTHY, JAMES ACCOUNT #: LSR011205	LORD ABBETT SHORT DURATION INCOME C BUY 1 Units @0.0000	0.00	1.89	0.00	1.89	88.0	1.66
01/29/2018	***-**-45IO - JOHNSON, GREGORY ACCOUNT #: LSR011421	LORD ABBETT SHORT DURATION INCOME C BUY 1 Units @0.0000	0.00	12.81	0.00	12.81	88.0	11.27





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<b><u> OVERRIDE TRANSACTIONS (continued) </u></b>								
<b><u> BROKER: KURT GRUENEWALD (continued) </u></b>								
01/29/2018	***-**-14IO - BUSHEY, MATTHEW	LORD ABBETT SHORT DURATION INCOME C	0.00	9.53	0.00	9.53	88.0	8.39
	ACCOUNT #: LSR011498	BUY 1 Units @0.0000						
01/29/2018	***-**-45IO - JOHNSON, GREGORY	MAIN STREET FUND C	0.00	7.70	0.00	7.70	88.0	6.78
	ACCOUNT #: LSR011421	BUY 1 Units @0.0000						
01/29/2018	***-**-48IO - CLARK, PATRICK	MAINSTAY TRAILS	0.00	3.51	0.00	3.51	88.0	3.09
	ACCOUNT #: 00079924809	BUY 0 Units @0.0000						
01/29/2018	***-**-48IO - CLARK, PATRICK	MAINSTAY TRAILS	0.00	1.29	0.00	1.29	88.0	1.14
	ACCOUNT #: 79955487	BUY 0 Units @0.0000						
01/29/2018	***-**-48IO - CLARK, PATRICK	MAINSTAY TRAILS	0.00	0.52	0.00	0.52	88.0	0.46
	ACCOUNT #: 79955487	BUY 0 Units @0.0000						
01/29/2018	***-**-48IO - CLARK, PATRICK	MAINSTAY TRAILS	0.00	2.97	0.00	2.97	88.0	2.61
	ACCOUNT #: 79955487	BUY 0 Units @0.0000						
01/16/2018	***-**-213I - GRUENEWALD,	MFS NEW DISCOVERY FUND-B	100.00	4.00	0.00	4.00	88.0	3.52
	ACCOUNT #: 08190131132	BUY 4 Units @22.6500						
01/19/2018	***-**-36IR - SANGER, BETH	MFS NEW DISCOVERY VALUE FUND CL B	849.99	34.00	0.00	34.00	88.0	29.92
	ACCOUNT #: LSR011757	BUY 55 Units @15.5100						
01/16/2018	***-**-094I - CIRILLO, CARL	MFS UTILITIES FUND-B	35.00	1.40	0.00	1.40	88.0	1.23
	ACCOUNT #: 08190127967	BUY 2 Units @20.1700						
01/16/2018	***-**-606I - LEWIS, TAMARA	MFS UTILITIES FUND-B	50.00	2.00	0.00	2.00	88.0	1.76
	ACCOUNT #: 08191352846	BUY 2 Units @20.1700						
01/19/2018	***-**-22IO - CLINTON, STEPHEN	MFS UTILITIES FUND-C	4,999.99	50.00	0.00	50.00	88.0	44.00
	ACCOUNT #: LSR011684	BUY 248 Units @20.1900						
01/29/2018	***-**-20IO - DEMETRI, AMELIA	MUTUAL GLOBAL DISCOVERY FUND - CLAS	0.00	1.55	0.00	1.55	88.0	1.36
	ACCOUNT #: LSR010995	BUY 1 Units @0.0000						
01/04/2018	***-**-633J -	OPP PORT SERIES: ACTIVE ALLOC A	175.00	8.31	0.00	8.31	88.0	7.31
	ACCOUNT #: 05502871176	BUY 0 Units @0.0000						
01/29/2018	***-**-15IN - PENDRAK, JOHN	OPP PORT SERIES: ACTIVE ALLOC A	0.00	1.59	0.00	1.59	88.0	1.40
	ACCOUNT #: LSR010948	BUY 1 Units @0.0000						
01/02/2018	***-**-13IN - BLISS, PATRICK	OPPENHEIMER ACTIVE ALLOCATION FUND	75.00	0.75	0.00	0.75	88.0	0.66
	ACCOUNT #: 05521022681	BUY 0 Units @0.0000						
01/02/2018	***-**-48JT - LEE, DARLENE	OPPENHEIMER ACTIVE ALLOCATION FUND	50.00	0.50	0.00	0.50	88.0	0.44
	ACCOUNT #: 05521043603	BUY 0 Units @0.0000						



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<b><u> OVERRIDE TRANSACTIONS (continued) </u></b>								
<b><u> BROKER: KURT GRUENEWALD (continued) </u></b>								
01/08/2018	***-**-775I - BLISS, APRIL ACCOUNT #: 05521022692	OPPENHEIMER ACTIVE ALLOCATION FUND BUY 0 Units @0.0000	90.98	0.91	0.00	0.91	88.0	0.80
01/29/2018	***-**-80IN - COBB, JAMES ACCOUNT #: LSR011042	OPPENHEIMER ACTIVE ALLOCATION FUND BUY 1 Units @0.0000	0.00	7.56	0.00	7.56	88.0	6.65
01/29/2018	***-**-44IO - MAYO, DEBORAH ACCOUNT #: LSR011079	OPPENHEIMER ACTIVE ALLOCATION FUND BUY 1 Units @0.0000	0.00	14.90	0.00	14.90	88.0	13.11
01/29/2018	***-**-09IO - BATES, FBO MRS ACCOUNT #: LSR011117	OPPENHEIMER ACTIVE ALLOCATION FUND BUY 1 Units @0.0000	0.00	16.67	0.00	16.67	88.0	14.67
01/29/2018	***-**-11IO - LYNN G. ACCOUNT #: LSR011239	OPPENHEIMER ACTIVE ALLOCATION FUND BUY 1 Units @0.0000	0.00	15.70	0.00	15.70	88.0	13.82
01/29/2018	***-**-45IO - JOHNSON, GREGORY ACCOUNT #: LSR011421	OPPENHEIMER ACTIVE ALLOCATION FUND BUY 1 Units @0.0000	0.00	19.73	0.00	19.73	88.0	17.36
01/29/2018	***-**-28IN - BYWATER, KIM ACCOUNT #: LSR011995	OPPENHEIMER DEV MARKETS FD CLASS C BUY 1 Units @0.0000	0.00	1.27	0.00	1.27	88.0	1.12
01/29/2018	***-**-881J - EBERLEY, SUSAN ACCOUNT #: LSR010856	OPPENHEIMER DEVELOPING MARKETS CLAS BUY 1 Units @0.0000	0.00	1.57	0.00	1.57	88.0	1.38
01/29/2018	***-**-959I - FRANZ, PAUL ACCOUNT #: LSR010959	OPPENHEIMER DEVELOPING MARKETS CLAS BUY 1 Units @0.0000	0.00	0.33	0.00	0.33	88.0	0.29
01/29/2018	***-**-51IO - CAIN, TIMOTHY ACCOUNT #: LSR011007	OPPENHEIMER DEVELOPING MARKETS CLAS BUY 1 Units @0.0000	0.00	2.32	0.00	2.32	88.0	2.04
01/29/2018	***-**-96IN - NESSIA, BONNIE ACCOUNT #: LSR011055	OPPENHEIMER DEVELOPING MARKETS CLAS BUY 1 Units @0.0000	0.00	0.78	0.00	0.78	88.0	0.69
01/29/2018	***-**-31IO - WILLIAMSON, FBO ACCOUNT #: LSR011172	OPPENHEIMER DEVELOPING MARKETS CLAS BUY 1 Units @0.0000	0.00	0.56	0.00	0.56	88.0	0.49
01/29/2018	***-**-680I - HARRELL, DARYL ACCOUNT #: LSR011321	OPPENHEIMER DEVELOPING MARKETS CLAS BUY 1 Units @0.0000	0.00	0.83	0.00	0.83	88.0	0.73
01/02/2018	***-**-48JT - LEE, DARLENE ACCOUNT #: 00100021715	OPPENHEIMER GBL REAL ESTATE FUND C BUY 0 Units @0.0000	50.00	0.50	0.00	0.50	88.0	0.44
01/29/2018	***-**-094I - KATRENA L ACCOUNT #: LSR011188	OPPENHEIMER GBL REAL ESTATE FUND C BUY 1 Units @0.0000	0.00	5.37	0.00	5.37	88.0	4.73
01/29/2018	***-**-031O - MCVOY, ROBERT ACCOUNT #: LSR010916	OPPENHEIMER GLOBAL VALUE FUND CL C BUY 1 Units @0.0000	0.00	4.95	0.00	4.95	88.0	4.36



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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><u> OVERRIDE TRANSACTIONS (continued) </u></b>								
<b><u> BROKER: KURT GRUENEWALD (continued) </u></b>								
01/29/2018	***-**-382I - SATTERLY, NEIL ACCOUNT #: LSR010867	OPPENHEIMER GOLD & SPECIAL MINERALS BUY 1 Units @0.0000	0.00	4.00	0.00	4.00	88.0	3.52
01/29/2018	***-**-48IO - CLARK, PATRICK ACCOUNT #: LSR010911	OPPENHEIMER GOLD & SPECIAL MINERALS BUY 1 Units @0.0000	0.00	5.23	0.00	5.23	88.0	4.60
01/29/2018	***-**-31IO - HARTZ, CLAUDIA ACCOUNT #: LSR010915	OPPENHEIMER GOLD & SPECIAL MINERALS BUY 1 Units @0.0000	0.00	0.06	0.00	0.06	88.0	0.05
01/29/2018	***-**-72IN - GAVALO, JULIE ACCOUNT #: LSR010921	OPPENHEIMER GOLD & SPECIAL MINERALS BUY 1 Units @0.0000	0.00	2.30	0.00	2.30	88.0	2.02
01/29/2018	***-**-065I - LAZIO, THOMAS ACCOUNT #: LSR010979	OPPENHEIMER GOLD & SPECIAL MINERALS BUY 1 Units @0.0000	0.00	5.58	0.00	5.58	88.0	4.91
01/29/2018	***-**-420T - DEMETRI, AMELIA ACCOUNT #: LSR010994	OPPENHEIMER GOLD & SPECIAL MINERALS BUY 1 Units @0.0000	0.00	2.40	0.00	2.40	88.0	2.11
01/29/2018	***-**-00IO - LEE, GARY ACCOUNT #: LSR011059	OPPENHEIMER GOLD & SPECIAL MINERALS BUY 1 Units @0.0000	0.00	7.38	0.00	7.38	88.0	6.49
01/29/2018	***-**-09IO - BATES, FBO MRS ACCOUNT #: LSR011117	OPPENHEIMER GOLD & SPECIAL MINERALS BUY 1 Units @0.0000	0.00	2.42	0.00	2.42	88.0	2.13
01/29/2018	***-**-11IO - LYNN G. ACCOUNT #: LSR011239	OPPENHEIMER GOLD & SPECIAL MINERALS BUY 1 Units @0.0000	0.00	6.92	0.00	6.92	88.0	6.09
01/29/2018	***-**-45IO - JOHNSON, GREGORY ACCOUNT #: LSR011421	OPPENHEIMER GOLD & SPECIAL MINERALS BUY 1 Units @0.0000	0.00	5.65	0.00	5.65	88.0	4.97
01/29/2018	***-**-51IN - GERACE, JOANNE ACCOUNT #: LSR011538	OPPENHEIMER GOLD & SPECIAL MINERALS BUY 1 Units @0.0000	0.00	1.53	0.00	1.53	88.0	1.35
01/02/2018	***-**-48JT - LEE, DARLENE ACCOUNT #: 01971019612	OPPENHEIMER INTERNATIONAL DIVERSIFI BUY 0 Units @0.0000	50.00	0.50	0.00	0.50	88.0	0.44
01/04/2018	***-**-633J - ACCOUNT #: 01953330426	OPPENHEIMER INTERNATIONAL DIVERSIFI BUY 0 Units @0.0000	175.00	8.31	0.00	8.31	88.0	7.31
01/29/2018	***-**-28IN - BYWATER, KIM ACCOUNT #: LSR011995	OPPENHEIMER INTERNATIONAL SMALL COM BUY 1 Units @0.0000	0.00	2.36	0.00	2.36	88.0	2.08
01/29/2018	***-**-567I - FRANZ, ALICE ACCOUNT #: LSR010960	OPPENHEIMER INTL BOND CLASS B BUY 1 Units @0.0000	0.00	2.57	0.00	2.57	88.0	2.26
01/29/2018	***-**-664J - PFAFF, GEORGE ACCOUNT #: LSR011184	OPPENHEIMER INTL BOND CLASS B BUY 1 Units @0.0000	0.00	3.24	0.00	3.24	88.0	2.85



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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>								
01/29/2018	***-**-881I - EBERLEY, SUSAN ACCOUNT #: LSR010858	OPPENHEIMER MAIN STREET SMALL CAP F BUY 1 Units @0.0000	0.00	1.85	0.00	1.85	88.0	1.63
01/29/2018	***-**-382I - SATTERLY, NEIL ACCOUNT #: LSR010867	OPPENHEIMER RISING DIVIDENDS FUND C BUY 1 Units @0.0000	0.00	27.28	0.00	27.28	88.0	24.01
01/29/2018	***-**-031O - MCVOY, ROBERT ACCOUNT #: LSR010916	OPPENHEIMER RISING DIVIDENDS FUND C BUY 1 Units @0.0000	0.00	5.72	0.00	5.72	88.0	5.03
01/29/2018	***-**-065I - LAZIO, THOMAS ACCOUNT #: LSR010979	OPPENHEIMER RISING DIVIDENDS FUND C BUY 1 Units @0.0000	0.00	13.83	0.00	13.83	88.0	12.17
01/29/2018	***-**-511N - GERACE, JOANNE ACCOUNT #: LSR011538	OPPENHEIMER RISING DIVIDENDS FUND C BUY 1 Units @0.0000	0.00	7.70	0.00	7.70	88.0	6.78
01/29/2018	***-**-37IO - MCCLUSKY, MARK ACCOUNT #: LSR011579	OPPENHEIMER RISING DIVIDENDS FUND C BUY 1 Units @0.0000	0.00	5.07	0.00	5.07	88.0	4.46
01/29/2018	***-**-714O - LINES, JUDITH ACCOUNT #: LSR011763	OPPENHEIMER RISING DIVIDENDS FUND C BUY 1 Units @0.0000	0.00	7.58	0.00	7.58	88.0	6.67
01/29/2018	***-**-281N - BYWATER, KIM ACCOUNT #: LSR011995	OPPENHEIMER RISING DIVIDENDS FUND C BUY 1 Units @0.0000	0.00	1.62	0.00	1.62	88.0	1.43
01/29/2018	***-**-287J - HINCKLEY, ACCOUNT #: LSR010841	OPPENHEIMER ROCHEST AMT-FREE NY MUN BUY 1 Units @0.0000	0.00	7.08	0.00	7.08	88.0	6.23
01/04/2018	***-**-633J - ACCOUNT #: 02514987422	OPPENHEIMER SMALL & MID CAP VALUE F BUY 0 Units @0.0000	175.00	8.31	0.00	8.31	88.0	7.31
01/29/2018	***-**-254I - AUGUSTINE, LINDA ACCOUNT #: LSR010846	OPPENHEIMER SMALL & MID CAP VALUE F BUY 1 Units @0.0000	0.00	1.52	0.00	1.52	88.0	1.34
01/29/2018	***-**-930I - SANGER, KEVIN ACCOUNT #: LSR010941	OPPENHEIMER SMALL & MID CAP VALUE F BUY 1 Units @0.0000	0.00	0.42	0.00	0.42	88.0	0.37
01/29/2018	***-**-151N - PENDRAK, JOHN ACCOUNT #: LSR010948	OPPENHEIMER SMALL & MID CAP VALUE F BUY 1 Units @0.0000	0.00	0.96	0.00	0.96	88.0	0.84
01/29/2018	***-**-959I - FRANZ, PAUL ACCOUNT #: LSR010959	OPPENHEIMER SMALL & MID CAP VALUE F BUY 1 Units @0.0000	0.00	1.76	0.00	1.76	88.0	1.55
01/29/2018	***-**-944O - MAYO, DEBORAH ACCOUNT #: LSR011035	OPPENHEIMER SMALL & MID CAP VALUE F BUY 1 Units @0.0000	0.00	0.74	0.00	0.74	88.0	0.65
01/29/2018	***-**-111J - NESSIA, JAMES ACCOUNT #: LSR011054	OPPENHEIMER SMALL & MID CAP VALUE F BUY 1 Units @0.0000	0.00	1.04	0.00	1.04	88.0	0.92



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<b> OVERRIDE TRANSACTIONS (continued)</b>								
<b> BROKER: KURT GRUENEWALD (continued)</b>								
01/29/2018	***-**-13IN - RHYMESTINE, ACCOUNT #: LSR011106	OPPENHEIMER SMALL & MID CAP VALUE F BUY 1 Units @0.0000	0.00	0.90	0.00	0.90	88.0	0.79
01/29/2018	***-**-62IN - EATON, DAVID ACCOUNT #: LSR011315	OPPENHEIMER SMALL & MID CAP VALUE F BUY 1 Units @0.0000	0.00	0.70	0.00	0.70	88.0	0.62
01/29/2018	***-**-80IN - COBB, JAMES ACCOUNT #: LSR011042	OPPENHEIMER STEELPATH MLP ALPHA PLU BUY 1 Units @0.0000	0.00	1.07	0.00	1.07	88.0	0.94
01/29/2018	***-**-837O - BASEMENT ACCOUNT #: LSR011046	OPPENHEIMERSTEELPATH MLP INCOME CL BUY 1 Units @0.0000	0.00	2.88	0.00	2.88	88.0	2.53
01/29/2018	***-**-80IN - COBB, JAMES ACCOUNT #: LSR011042	OPPENHEIMERSTEELPATH MLP SELECT 40 BUY 1 Units @0.0000	0.00	0.62	0.00	0.62	88.0	0.55
01/26/2018	***-**-889I - FRANZ, JONATHAN ACCOUNT #: VP71081770	PACIFIC LIFE SE5-NYB DTCC BUY 0 Units @0.0000	300.00	51.00	0.00	51.00	88.0	44.88
01/29/2018	***-**-48IO - CLARK, PATRICK ACCOUNT #: LSR010911	PORT SERIES: CONS INV C BUY 1 Units @0.0000	0.00	17.60	0.00	17.60	88.0	15.49
01/29/2018	***-**-72IN - GAVALO, JULIE ACCOUNT #: LSR010921	PORT SERIES: CONS INV C BUY 1 Units @0.0000	0.00	23.83	0.00	23.83	88.0	20.97
01/29/2018	***-**-420T - DEMETRI, AMELIA ACCOUNT #: LSR010994	PORT SERIES: CONS INV C BUY 1 Units @0.0000	0.00	6.07	0.00	6.07	88.0	5.34
01/29/2018	***-**-73UT - COBB, CHRISTIAN ACCOUNT #: LSR011104	PORT SERIES: CONS INV C BUY 1 Units @0.0000	0.00	4.64	0.00	4.64	88.0	4.08
01/29/2018	***-**-67UT - COBB, ACCOUNT #: LSR011105	PORT SERIES: CONS INV C BUY 1 Units @0.0000	0.00	4.64	0.00	4.64	88.0	4.08
01/29/2018	***-**-89IN - LEE, ROGER ACCOUNT #: LSR011166	PORT SERIES: CONS INV C BUY 1 Units @0.0000	0.00	10.10	0.00	10.10	88.0	8.89
01/29/2018	***-**-52IO - EUSEPI, SUSAN ACCOUNT #: LSR011219	PORT SERIES: CONS INV C BUY 1 Units @0.0000	0.00	12.53	0.00	12.53	88.0	11.03
01/29/2018	***-**-439I - MCCARTHY, JAMES ACCOUNT #: LSR011244	PORT SERIES: CONS INV C BUY 1 Units @0.0000	0.00	4.18	0.00	4.18	88.0	3.68
01/29/2018	***-**-80IO - EVANS, RICHARD ACCOUNT #: LSR011276	PORT SERIES: CONS INV C BUY 1 Units @0.0000	0.00	13.39	0.00	13.39	88.0	11.78
01/29/2018	***-**-664J - PFAFF, GEORGE ACCOUNT #: LSR011184	PORT SERIES: EQUITY INV FD B BUY 1 Units @0.0000	0.00	1.08	0.00	1.08	88.0	0.95



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<b><u> OVERRIDE TRANSACTIONS (continued) </u></b>								
<b><u> BROKER: KURT GRUENEWALD (continued) </u></b>								
01/29/2018	***-**-254I - AUGUSTINE, LINDA	PORTFOLIO SERIES: CONS INV A	0.00	1.53	0.00	1.53	88.0	1.35
	ACCOUNT #: LSR010846	BUY 1 Units @0.0000						
01/29/2018	***-**-15IN - PENDRAK, JOHN	PORTFOLIO SERIES: CONS INV A	0.00	4.70	0.00	4.70	88.0	4.14
	ACCOUNT #: LSR010948	BUY 1 Units @0.0000						
01/29/2018	***-**-959I - FRANZ, PAUL	PORTFOLIO SERIES: CONS INV A	0.00	2.11	0.00	2.11	88.0	1.86
	ACCOUNT #: LSR010959	BUY 1 Units @0.0000						
01/29/2018	***-**-51IO - CAIN, TIMOTHY	PORTFOLIO SERIES: CONS INV A	0.00	2.08	0.00	2.08	88.0	1.83
	ACCOUNT #: LSR011007	BUY 1 Units @0.0000						
01/29/2018	***-**-761I - EVANS, DOLORES	PORTFOLIO SERIES: CONS INV A	0.00	1.19	0.00	1.19	88.0	1.05
	ACCOUNT #: LSR011024	BUY 1 Units @0.0000						
01/29/2018	***-**-944O - MAYO, DEBORAH	PORTFOLIO SERIES: CONS INV A	0.00	1.74	0.00	1.74	88.0	1.53
	ACCOUNT #: LSR011035	BUY 1 Units @0.0000						
01/29/2018	***-**-861I - SANGER, LAWRENCE	PORTFOLIO SERIES: CONS INV A	0.00	0.67	0.00	0.67	88.0	0.59
	ACCOUNT #: LSR011095	BUY 1 Units @0.0000						
01/29/2018	***-**-13IN - RHYMESTINE,	PORTFOLIO SERIES: CONS INV A	0.00	0.82	0.00	0.82	88.0	0.72
	ACCOUNT #: LSR011106	BUY 1 Units @0.0000						
01/29/2018	***-**-02IN - BUSHEY, MELISSA	PORTFOLIO SERIES: CONS INV A	0.00	0.64	0.00	0.64	88.0	0.56
	ACCOUNT #: LSR011257	BUY 1 Units @0.0000						
01/29/2018	***-**-62IN - EATON, DAVID	PORTFOLIO SERIES: CONS INV A	0.00	1.23	0.00	1.23	88.0	1.08
	ACCOUNT #: LSR011315	BUY 1 Units @0.0000						
01/29/2018	***-**-567I - FRANZ, ALICE	PORTFOLIO SERIES: CONSERVATIVE INVE	0.00	3.24	0.00	3.24	88.0	2.85
	ACCOUNT #: LSR010960	BUY 1 Units @0.0000						
01/29/2018	***-**-664J - PFAFF, GEORGE	PORTFOLIO SERIES: CONSERVATIVE INVE	0.00	4.42	0.00	4.42	88.0	3.89
	ACCOUNT #: LSR011184	BUY 1 Units @0.0000						
01/29/2018	***-**-579I - RHYMESTINE,	PUTNAM UTILITIES GROWTH AND INCOME	0.00	1.47	0.00	1.47	88.0	1.29
	ACCOUNT #: LSR011082	BUY 1 Units @0.0000						
01/29/2018	***-**-22IO - CLINTON, STEPHEN	PUTNAM 746792100	0.00	0.68	0.00	0.68	88.0	0.60
	ACCOUNT #: LSR011684	BUY 1 Units @0.0000						
01/29/2018	***-**-15IN - PENDRAK, JOHN	PUTNAM ABSOLUTE RETURN 700 CL B	0.00	2.45	0.00	2.45	88.0	2.16
	ACCOUNT #: LSR010948	BUY 1 Units @0.0000						
01/29/2018	***-**-169I - EVANS, PAUL	PUTNAM ABSOLUTE RETURN 700 CL B	0.00	1.26	0.00	1.26	88.0	1.11
	ACCOUNT #: LSR011026	BUY 1 Units @0.0000						



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<b><u> OVERRIDE TRANSACTIONS (continued) </u></b>								
<b><u> BROKER: KURT GRUENEWALD (continued) </u></b>								
01/29/2018	***-**-861I - SANGER, LAWRENCE	PUTNAM ABSOLUTE RETURN 700 CL B	0.00	1.40	0.00	1.40	88.0	1.23
	ACCOUNT #: LSR011095	BUY 1 Units @0.0000						
01/29/2018	***-**-62IR - ROBBIANO, FBO	PUTNAM ABSOLUTE RETURN 700 CL B	0.00	0.74	0.00	0.74	88.0	0.65
	ACCOUNT #: LSR011195	BUY 1 Units @0.0000						
01/29/2018	***-**-52IO - EUSEPI, SUSAN	PUTNAM ABSOLUTE RETURN 700 CL B	0.00	1.17	0.00	1.17	88.0	1.03
	ACCOUNT #: LSR011219	BUY 1 Units @0.0000						
01/29/2018	***-**-02IN - BUSHEY, MELISSA	PUTNAM ABSOLUTE RETURN 700 CL B	0.00	0.39	0.00	0.39	88.0	0.34
	ACCOUNT #: LSR011257	BUY 1 Units @0.0000						
01/29/2018	***-**-62IN - EATON, DAVID	PUTNAM ABSOLUTE RETURN 700 CL B	0.00	1.02	0.00	1.02	88.0	0.90
	ACCOUNT #: LSR011315	BUY 1 Units @0.0000						
01/29/2018	***-**-51IN - GERACE, JOANNE	PUTNAM ABSOLUTE RETURN 700 CL B	0.00	1.15	0.00	1.15	88.0	1.01
	ACCOUNT #: LSR011538	BUY 1 Units @0.0000						
01/29/2018	***-**-235I - AUGUSTINE III,	PUTNAM ABSOLUTE RETURN 700 CL C	0.00	4.52	0.00	4.52	88.0	3.98
	ACCOUNT #: LSR010845	BUY 1 Units @0.0000						
01/29/2018	***-**-382I - SATTERLY, NEIL	PUTNAM ABSOLUTE RETURN 700 CL C	0.00	15.21	0.00	15.21	88.0	13.38
	ACCOUNT #: LSR010867	BUY 1 Units @0.0000						
01/29/2018	***-**-48IO - CLARK, PATRICK	PUTNAM ABSOLUTE RETURN 700 CL C	0.00	9.73	0.00	9.73	88.0	8.56
	ACCOUNT #: LSR010911	BUY 1 Units @0.0000						
01/29/2018	***-**-72IN - GAVALO, JULIE	PUTNAM ABSOLUTE RETURN 700 CL C	0.00	9.65	0.00	9.65	88.0	8.49
	ACCOUNT #: LSR010921	BUY 1 Units @0.0000						
01/29/2018	***-**-065I - LAZIO, THOMAS	PUTNAM ABSOLUTE RETURN 700 CL C	0.00	7.54	0.00	7.54	88.0	6.64
	ACCOUNT #: LSR010979	BUY 1 Units @0.0000						
01/29/2018	***-**-09IO - BATES, FBO MRS	PUTNAM ABSOLUTE RETURN 700 CL C	0.00	9.46	0.00	9.46	88.0	8.32
	ACCOUNT #: LSR011117	BUY 1 Units @0.0000						
01/29/2018	***-**-11IO - LYNN G.	PUTNAM ABSOLUTE RETURN 700 CL C	0.00	14.32	0.00	14.32	88.0	12.60
	ACCOUNT #: LSR011239	BUY 1 Units @0.0000						
01/29/2018	***-**-80IO - EVANS, RICHARD	PUTNAM ABSOLUTE RETURN 700 CL C	0.00	8.02	0.00	8.02	88.0	7.06
	ACCOUNT #: LSR011276	BUY 1 Units @0.0000						
01/29/2018	***-**-45IO - JOHNSON, GREGORY	PUTNAM ABSOLUTE RETURN 700 CL C	0.00	9.58	0.00	9.58	88.0	8.43
	ACCOUNT #: LSR011421	BUY 1 Units @0.0000						
01/29/2018	***-**-628I - SANGER, SANDRA	PUTNAM ABSOLUTE RETURN 700-A	0.00	0.79	0.00	0.79	88.0	0.70
	ACCOUNT #: LSR010942	BUY 1 Units @0.0000						



# COMMISSION STATEMENT

## January 29, 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>								
01/29/2018	***-**-944O - MAYO, DEBORAH	PUTNAM ABSOLUTE RETURN 700-A	0.00	1.86	0.00	1.86	88.0	1.64
	ACCOUNT #: LSR011035	BUY 1 Units @0.0000						
01/29/2018	***-**-63TR - EVANS, AUDREY J	PUTNAM ABSOLUTE RETURN 700-A	0.00	2.41	0.00	2.41	88.0	2.12
	ACCOUNT #: LSR011036	BUY 1 Units @0.0000						
01/29/2018	***-**-579I - RHYMESTINE,	PUTNAM ABSOLUTE RETURN 700-A	0.00	0.87	0.00	0.87	88.0	0.77
	ACCOUNT #: LSR011082	BUY 1 Units @0.0000						
01/29/2018	***-**-653J - KOCHEM, CLINTON	PUTNAM ABSOLUTE RETURN 700-A	0.00	0.80	0.00	0.80	88.0	0.70
	ACCOUNT #: LSR011298	BUY 1 Units @0.0000						
01/29/2018	***-**-22IO - CLINTON, STEPHEN	PUTNAM ABSOLUTE RETURN 700-A	0.00	0.72	0.00	0.72	88.0	0.63
	ACCOUNT #: LSR011684	BUY 1 Units @0.0000						
01/29/2018	***-**-22IO - CLINTON, STEPHEN	PUTNAM AMERICAN GOVERNMENT INCOME F	0.00	0.64	0.00	0.64	88.0	0.56
	ACCOUNT #: LSR011684	BUY 1 Units @0.0000						
01/29/2018	***-**-31IO - HARTZ, CLAUDIA	PUTNAM ASSET ALLOC BALANCED-C	0.00	4.96	0.00	4.96	88.0	4.36
	ACCOUNT #: LSR010915	BUY 1 Units @0.0000						
01/29/2018	***-**-31IO - HARTZ, CLAUDIA	PUTNAM CAPITAL SPECTRUM FD CL B	0.00	0.70	0.00	0.70	88.0	0.62
	ACCOUNT #: LSR010915	BUY 1 Units @0.0000						
01/29/2018	***-**-930I - SANGER, KEVIN	PUTNAM CAPITAL SPECTRUM FD CL B	0.00	0.98	0.00	0.98	88.0	0.86
	ACCOUNT #: LSR010941	BUY 1 Units @0.0000						
01/29/2018	***-**-366S - GRUENEWALD,	PUTNAM CAPITAL SPECTRUM FD CL B	0.00	0.85	0.00	0.85	88.0	0.75
	ACCOUNT #: LSR010990	BUY 1 Units @0.0000						
01/29/2018	***-**-51IO - CAIN, TIMOTHY	PUTNAM CAPITAL SPECTRUM FD CL B	0.00	1.62	0.00	1.62	88.0	1.43
	ACCOUNT #: LSR011007	BUY 1 Units @0.0000						
01/29/2018	***-**-579I - RHYMESTINE,	PUTNAM CAPITAL SPECTRUM FD CL B	0.00	1.47	0.00	1.47	88.0	1.29
	ACCOUNT #: LSR011082	BUY 1 Units @0.0000						
01/29/2018	***-**-73UT - COBB, CHRSTIAN	PUTNAM CAPITAL SPECTRUM FD CL B	0.00	1.61	0.00	1.61	88.0	1.42
	ACCOUNT #: LSR011104	BUY 1 Units @0.0000						
01/29/2018	***-**-67UT - COBB,	PUTNAM CAPITAL SPECTRUM FD CL B	0.00	1.61	0.00	1.61	88.0	1.42
	ACCOUNT #: LSR011105	BUY 1 Units @0.0000						
01/29/2018	***-**-992J - CORNACCHIA	PUTNAM CAPITAL SPECTRUM FD CL B	0.00	0.49	0.00	0.49	88.0	0.43
	ACCOUNT #: LSR011157	BUY 1 Units @0.0000						
01/29/2018	***-**-66IO - RUDD, MICHAEL	PUTNAM CAPITAL SPECTRUM FD CL B	0.00	0.17	0.00	0.17	88.0	0.15
	ACCOUNT #: LSR011268	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>								
01/29/2018	***-**-21IO - RADELL, SANDRA	PUTNAM CAPITAL SPECTRUM FD CL B	0.00	1.61	0.00	1.61	88.0	1.42
	ACCOUNT #: LSR011392	BUY 1 Units @0.0000						
01/29/2018	***-**-22IO - CLINTON, STEPHEN	PUTNAM CAPITAL SPECTRUM FUND CL A	0.00	0.79	0.00	0.79	88.0	0.70
	ACCOUNT #: LSR011684	BUY 1 Units @0.0000						
01/29/2018	***-**-382I - SATTERLY, NEIL	PUTNAM CAPITAL SPECTRUM FUND CL C	0.00	7.79	0.00	7.79	88.0	6.86
	ACCOUNT #: LSR010867	BUY 1 Units @0.0000						
01/29/2018	***-**-980I - ACEE, ELIZABETH	PUTNAM CAPITAL SPECTRUM FUND CL C	0.00	12.40	0.00	12.40	88.0	10.91
	ACCOUNT #: LSR010885	BUY 1 Units @0.0000						
01/29/2018	***-**-44IO - MAYO, DEBORAH	PUTNAM CAPITAL SPECTRUM FUND CL C	0.00	8.31	0.00	8.31	88.0	7.31
	ACCOUNT #: LSR011079	BUY 1 Units @0.0000						
01/29/2018	***-**-09IO - BATES, FBO MRS	PUTNAM CAPITAL SPECTRUM FUND CL C	0.00	17.75	0.00	17.75	88.0	15.62
	ACCOUNT #: LSR011117	BUY 1 Units @0.0000						
01/29/2018	***-**-094I - KATRENA L	PUTNAM CAPITAL SPECTRUM FUND CL C	0.00	6.96	0.00	6.96	88.0	6.12
	ACCOUNT #: LSR011188	BUY 1 Units @0.0000						
01/29/2018	***-**-11IO - LYNN G.	PUTNAM CAPITAL SPECTRUM FUND CL C	0.00	16.88	0.00	16.88	88.0	14.85
	ACCOUNT #: LSR011239	BUY 1 Units @0.0000						
01/29/2018	***-**-45IO - JOHNSON, GREGORY	PUTNAM CAPITAL SPECTRUM FUND CL C	0.00	12.83	0.00	12.83	88.0	11.29
	ACCOUNT #: LSR011421	BUY 1 Units @0.0000						
01/29/2018	***-**-235I - AUGUSTINE III,	PUTNAM COMP	0.00	5.68	0.00	5.68	88.0	5.00
	ACCOUNT #: LSR010845	BUY 1 Units @0.0000						
01/29/2018	***-**-881I - EBERLEY, SUSAN	PUTNAM COMP	0.00	4.86	0.00	4.86	88.0	4.28
	ACCOUNT #: LSR010858	BUY 1 Units @0.0000						
01/29/2018	***-**-48IO - CLARK, PATRICK	PUTNAM COMP	0.00	7.79	0.00	7.79	88.0	6.86
	ACCOUNT #: LSR010911	BUY 1 Units @0.0000						
01/29/2018	***-**-72IN - GAVALO, JULIE	PUTNAM COMP	0.00	6.72	0.00	6.72	88.0	5.91
	ACCOUNT #: LSR010921	BUY 1 Units @0.0000						
01/29/2018	***-**-959J - FRANZ, PAUL	PUTNAM COMP	0.00	10.12	0.00	10.12	88.0	8.91
	ACCOUNT #: LSR010958	BUY 1 Units @0.0000						
01/29/2018	***-**-065I - LAZIO, THOMAS	PUTNAM COMP	0.00	5.77	0.00	5.77	88.0	5.08
	ACCOUNT #: LSR010979	BUY 1 Units @0.0000						
01/29/2018	***-**-420T - DEMETRI, AMELIA	PUTNAM COMP	0.00	5.15	0.00	5.15	88.0	4.53
	ACCOUNT #: LSR010994	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> BROKER: KURT GRUENEWALD (continued)</b>								
01/29/2018	***-**-169I - EVANS, PAUL	PUTNAM COMP	0.00	4.13	0.00	4.13	88.0	3.63
	ACCOUNT #: LSR011026	BUY 1 Units @0.0000						
01/29/2018	***-**-80IN - COBB, JAMES	PUTNAM COMP	0.00	7.45	0.00	7.45	88.0	6.56
	ACCOUNT #: LSR011042	BUY 1 Units @0.0000						
01/29/2018	***-**-00IO - LEE, GARY	PUTNAM COMP	0.00	9.15	0.00	9.15	88.0	8.05
	ACCOUNT #: LSR011059	BUY 1 Units @0.0000						
01/29/2018	***-**-09IO - BATES, FBO MRS	PUTNAM COMP	0.00	9.15	0.00	9.15	88.0	8.05
	ACCOUNT #: LSR011117	BUY 1 Units @0.0000						
01/29/2018	***-**-89IN - LEE, ROGER	PUTNAM COMP	0.00	5.86	0.00	5.86	88.0	5.16
	ACCOUNT #: LSR011166	BUY 1 Units @0.0000						
01/29/2018	***-**-094I - KATRENA L	PUTNAM COMP	0.00	7.17	0.00	7.17	88.0	6.31
	ACCOUNT #: LSR011188	BUY 1 Units @0.0000						
01/29/2018	***-**-11IO - LYNN G.	PUTNAM COMP	0.00	9.47	0.00	9.47	88.0	8.33
	ACCOUNT #: LSR011239	BUY 1 Units @0.0000						
01/29/2018	***-**-80IO - EVANS, RICHARD	PUTNAM COMP	0.00	4.68	0.00	4.68	88.0	4.12
	ACCOUNT #: LSR011276	BUY 1 Units @0.0000						
01/29/2018	***-**-376I - BERBEN, GAIL	PUTNAM COMP	0.00	9.24	0.00	9.24	88.0	8.13
	ACCOUNT #: LSR011380	BUY 1 Units @0.0000						
01/29/2018	***-**-45IO - JOHNSON, GREGORY	PUTNAM COMP	0.00	14.41	0.00	14.41	88.0	12.68
	ACCOUNT #: LSR011421	BUY 1 Units @0.0000						
01/29/2018	***-**-14IO - BUSHEY, MATTHEW	PUTNAM COMP	0.00	9.33	0.00	9.33	88.0	8.21
	ACCOUNT #: LSR011498	BUY 1 Units @0.0000						
01/29/2018	***-**-37IO - MCCLUSKY, MARK	PUTNAM COMP	0.00	6.87	0.00	6.87	88.0	6.05
	ACCOUNT #: LSR011579	BUY 1 Units @0.0000						
01/29/2018	***-**-86IN - LEE, KEVIN	PUTNAM COMP	0.00	7.78	0.00	7.78	88.0	6.85
	ACCOUNT #: LSR011613	BUY 1 Units @0.0000						
01/29/2018	***-**-633J -	PUTNAM COMP	0.00	0.20	0.00	0.20	88.0	0.18
	ACCOUNT #: LSR011732	BUY 1 Units @0.0000						
01/29/2018	***-**-51IO - SCALISE, MARY	PUTNAM COMP	0.00	0.28	0.00	0.28	88.0	0.25
	ACCOUNT #: LSR011837	BUY 1 Units @0.0000						
01/29/2018	***-**-949I - ACEE, JOSPEH	PUTNAM CONV INCOME-GROWTH-B	0.00	2.23	0.00	2.23	88.0	1.96
	ACCOUNT #: LSR010908	BUY 1 Units @0.0000						



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<b><u> OVERRIDE TRANSACTIONS (continued) </u></b>								
<b><u> BROKER: KURT GRUENEWALD (continued) </u></b>								
01/29/2018	***-**-31IO - HARTZ, CLAUDIA ACCOUNT #: LSR010915	PUTNAM CONV INCOME-GROWTH-B BUY 1 Units @0.0000	0.00	0.66	0.00	0.66	88.0	0.58
01/29/2018	***-**-567I - FRANZ, ALICE ACCOUNT #: LSR010960	PUTNAM CONV INCOME-GROWTH-B BUY 1 Units @0.0000	0.00	2.89	0.00	2.89	88.0	2.54
01/29/2018	***-**-366S - GRUENEWALD, ACCOUNT #: LSR010990	PUTNAM CONV INCOME-GROWTH-B BUY 1 Units @0.0000	0.00	0.78	0.00	0.78	88.0	0.69
01/29/2018	***-**-580X - COBB, JAMES ACCOUNT #: LSR011040	PUTNAM CONV INCOME-GROWTH-B BUY 1 Units @0.0000	0.00	1.58	0.00	1.58	88.0	1.39
01/29/2018	***-**-579I - RHYMESTINE, ACCOUNT #: LSR011082	PUTNAM CONV INCOME-GROWTH-B BUY 1 Units @0.0000	0.00	1.10	0.00	1.10	88.0	0.97
01/29/2018	***-**-506J - CURRIERE JR, MR ACCOUNT #: LSR011121	PUTNAM CONV INCOME-GROWTH-B BUY 1 Units @0.0000	0.00	1.04	0.00	1.04	88.0	0.92
01/29/2018	***-**-48IO - ANACKER, FBO MRS ACCOUNT #: LSR011164	PUTNAM CONV INCOME-GROWTH-B BUY 1 Units @0.0000	0.00	1.36	0.00	1.36	88.0	1.20
01/29/2018	***-**-64IO - PFAFF, GEORGE ACCOUNT #: LSR011185	PUTNAM CONV INCOME-GROWTH-B BUY 1 Units @0.0000	0.00	1.37	0.00	1.37	88.0	1.21
01/29/2018	***-**-62IR - ROBBIANO, FBO ACCOUNT #: LSR011195	PUTNAM CONV INCOME-GROWTH-B BUY 1 Units @0.0000	0.00	0.70	0.00	0.70	88.0	0.62
01/29/2018	***-**-653I - KOCHEM, CLINTON ACCOUNT #: LSR011300	PUTNAM CONV INCOME-GROWTH-B BUY 1 Units @0.0000	0.00	2.46	0.00	2.46	88.0	2.16
01/29/2018	***-**-00IO - LEE, GARY ACCOUNT #: LSR011059	PUTNAM CONVERTIBLE SECURITIES CL C BUY 1 Units @0.0000	0.00	13.72	0.00	13.72	88.0	12.07
01/29/2018	***-**-11IO - LYNN G. ACCOUNT #: LSR011239	PUTNAM CONVERTIBLE SECURITIES CL C BUY 1 Units @0.0000	0.00	18.92	0.00	18.92	88.0	16.65
01/29/2018	***-**-132O - EVANS, THOMAS ACCOUNT #: LSR011074	PUTNAM DIVERSIFIED INCOME CLASS C BUY 1 Units @0.0000	0.00	7.49	0.00	7.49	88.0	6.59
01/29/2018	***-**-11IO - LYNN G. ACCOUNT #: LSR011239	PUTNAM DIVERSIFIED INCOME CLASS C BUY 1 Units @0.0000	0.00	14.50	0.00	14.50	88.0	12.76
01/29/2018	***-**-881J - EBERLEY, SUSAN ACCOUNT #: LSR010856	PUTNAM DIVERSIFIED INCOME-B BUY 1 Units @0.0000	0.00	2.24	0.00	2.24	88.0	1.97
01/29/2018	***-**-949I - ACEE, JOSPEH ACCOUNT #: LSR010908	PUTNAM DIVERSIFIED INCOME-B BUY 1 Units @0.0000	0.00	0.87	0.00	0.87	88.0	0.77



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<b> OVERRIDE TRANSACTIONS (continued)</b>								
<b> <u>BROKER: KURT GRUENEWALD (continued)</u></b>								
01/29/2018	***-**-31IO - HARTZ, CLAUDIA ACCOUNT #: LSR010915	PUTNAM DIVERSIFIED INCOME-B BUY 1 Units @0.0000	0.00	0.66	0.00	0.66	88.0	0.58
01/29/2018	***-**-702I - KOHEM, MICHAEL ACCOUNT #: LSR010954	PUTNAM DIVERSIFIED INCOME-B BUY 1 Units @0.0000	0.00	1.88	0.00	1.88	88.0	1.65
01/29/2018	***-**-960J - MASTRANGELO, ACCOUNT #: LSR010966	PUTNAM DIVERSIFIED INCOME-B BUY 1 Units @0.0000	0.00	2.05	0.00	2.05	88.0	1.80
01/29/2018	***-**-51IO - CAIN, TIMOTHY ACCOUNT #: LSR011007	PUTNAM DIVERSIFIED INCOME-B BUY 1 Units @0.0000	0.00	1.27	0.00	1.27	88.0	1.12
01/29/2018	***-**-761I - EVANS, DOLORES ACCOUNT #: LSR011024	PUTNAM DIVERSIFIED INCOME-B BUY 1 Units @0.0000	0.00	10.95	0.00	10.95	88.0	9.64
01/29/2018	***-**-63TR - EVANS, AUDREY J ACCOUNT #: LSR011036	PUTNAM DIVERSIFIED INCOME-B BUY 1 Units @0.0000	0.00	2.53	0.00	2.53	88.0	2.23
01/29/2018	***-**-579I - RHYMESTINE, ACCOUNT #: LSR011082	PUTNAM DIVERSIFIED INCOME-B BUY 1 Units @0.0000	0.00	1.18	0.00	1.18	88.0	1.04
01/29/2018	***-**-861I - SANGER, LAWRENCE ACCOUNT #: LSR011095	PUTNAM DIVERSIFIED INCOME-B BUY 1 Units @0.0000	0.00	1.51	0.00	1.51	88.0	1.33
01/29/2018	***-**-31IO - WILLIAMSON, FBO ACCOUNT #: LSR011172	PUTNAM DIVERSIFIED INCOME-B BUY 1 Units @0.0000	0.00	6.48	0.00	6.48	88.0	5.70
01/29/2018	***-**-680I - HARRELL, DARYL ACCOUNT #: LSR011321	PUTNAM DIVERSIFIED INCOME-B BUY 1 Units @0.0000	0.00	0.68	0.00	0.68	88.0	0.60
01/29/2018	***-**-960J - MASTRANGELO, ACCOUNT #: LSR010966	PUTNAM EQUITY INCOME FUND-B BUY 1 Units @0.0000	0.00	2.54	0.00	2.54	88.0	2.24
01/29/2018	***-**-664J - PFAFF, GEORGE ACCOUNT #: LSR011184	PUTNAM EQUITY INCOME FUND-B BUY 1 Units @0.0000	0.00	2.53	0.00	2.53	88.0	2.23
01/29/2018	***-**-169I - EVANS, PAUL ACCOUNT #: LSR011026	PUTNAM EQUITY SPECTRUM FD CL B BUY 1 Units @0.0000	0.00	1.02	0.00	1.02	88.0	0.90
01/29/2018	***-**-881J - EBERLEY, SUSAN ACCOUNT #: LSR010856	PUTNAM EQUITY SPECTRUM FD CL C BUY 1 Units @0.0000	0.00	11.86	0.00	11.86	88.0	10.44
01/29/2018	***-**-48IO - CLARK, PATRICK ACCOUNT #: LSR010911	PUTNAM EQUITY SPECTRUM FD CL C BUY 1 Units @0.0000	0.00	25.29	0.00	25.29	88.0	22.26
01/29/2018	***-**-031O - MCVOY, ROBERT ACCOUNT #: LSR010916	PUTNAM EQUITY SPECTRUM FD CL C BUY 1 Units @0.0000	0.00	8.86	0.00	8.86	88.0	7.80



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<b> OVERRIDE TRANSACTIONS (continued)</b>								
<b> BROKER: KURT GRUENEWALD (continued)</b>								
01/29/2018	***-**-72IN - GAVALO, JULIE ACCOUNT #: LSR010921	PUTNAM EQUITY SPECTRUM FD CL C BUY 1 Units @0.0000	0.00	16.69	0.00	16.69	88.0	14.69
01/29/2018	***-**-959I - FRANZ, PAUL ACCOUNT #: LSR010959	PUTNAM EQUITY SPECTRUM FD CL C BUY 1 Units @0.0000	0.00	10.30	0.00	10.30	88.0	9.06
01/29/2018	***-**-065I - LAZIO, THOMAS ACCOUNT #: LSR010979	PUTNAM EQUITY SPECTRUM FD CL C BUY 1 Units @0.0000	0.00	6.79	0.00	6.79	88.0	5.98
01/29/2018	***-**-73TR - WESTCOTT IRRVOC ACCOUNT #: LSR011001	PUTNAM EQUITY SPECTRUM FD CL C BUY 1 Units @0.0000	0.00	7.19	0.00	7.19	88.0	6.33
01/29/2018	***-**-80IN - COBB, JAMES ACCOUNT #: LSR011042	PUTNAM EQUITY SPECTRUM FD CL C BUY 1 Units @0.0000	0.00	8.35	0.00	8.35	88.0	7.35
01/29/2018	***-**-44IO - MAYO, DEBORAH ACCOUNT #: LSR011079	PUTNAM EQUITY SPECTRUM FD CL C BUY 1 Units @0.0000	0.00	8.51	0.00	8.51	88.0	7.49
01/29/2018	***-**-09IO - BATES, FBO MRS ACCOUNT #: LSR011117	PUTNAM EQUITY SPECTRUM FD CL C BUY 1 Units @0.0000	0.00	8.87	0.00	8.87	88.0	7.81
01/29/2018	***-**-89IN - LEE, ROGER ACCOUNT #: LSR011166	PUTNAM EQUITY SPECTRUM FD CL C BUY 1 Units @0.0000	0.00	12.57	0.00	12.57	88.0	11.06
01/29/2018	***-**-473J - HUSTON, ACCOUNT #: LSR011228	PUTNAM EQUITY SPECTRUM FD CL C BUY 1 Units @0.0000	0.00	9.56	0.00	9.56	88.0	8.41
01/29/2018	***-**-11IO - LYNN G. ACCOUNT #: LSR011239	PUTNAM EQUITY SPECTRUM FD CL C BUY 1 Units @0.0000	0.00	10.82	0.00	10.82	88.0	9.52
01/29/2018	***-**-80IO - EVANS, RICHARD ACCOUNT #: LSR011276	PUTNAM EQUITY SPECTRUM FD CL C BUY 1 Units @0.0000	0.00	9.28	0.00	9.28	88.0	8.17
01/29/2018	***-**-07IO - FAMOLARO, JAMES ACCOUNT #: LSR011280	PUTNAM EQUITY SPECTRUM FD CL C BUY 1 Units @0.0000	0.00	5.75	0.00	5.75	88.0	5.06
01/29/2018	***-**-094I - KATRENA L ACCOUNT #: LSR011188	PUTNAM EUROPE EQUITY CLASS C BUY 1 Units @0.0000	0.00	4.47	0.00	4.47	88.0	3.93
01/29/2018	***-**-808J - GORMAN, RANDY ACCOUNT #: LSR011087	PUTNAM GLOBAL CONSUMER FD A BUY 1 Units @0.0000	0.00	0.29	0.00	0.29	88.0	0.26
01/29/2018	***-**-949I - ACEE, JOSPEH ACCOUNT #: LSR010908	PUTNAM GLOBAL CONSUMER FUND CL B BUY 1 Units @0.0000	0.00	1.99	0.00	1.99	88.0	1.75
01/29/2018	***-**-31IO - HARTZ, CLAUDIA ACCOUNT #: LSR010915	PUTNAM GLOBAL CONSUMER FUND CL B BUY 1 Units @0.0000	0.00	0.48	0.00	0.48	88.0	0.42



# COMMISSION STATEMENT

## January 29, 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> BROKER: KURT GRUENEWALD (continued)</b>								
01/29/2018	***-**-567I - FRANZ, ALICE ACCOUNT #: LSR010960	PUTNAM GLOBAL CONSUMER FUND CL B BUY 1 Units @0.0000	0.00	3.31	0.00	3.31	88.0	2.91
01/29/2018	***-**-366I - GRUENEWALD, ACCOUNT #: LSR010989	PUTNAM GLOBAL CONSUMER FUND CL B BUY 1 Units @0.0000	0.00	1.46	0.00	1.46	88.0	1.28
01/29/2018	***-**-51IO - CAIN, TIMOTHY ACCOUNT #: LSR011007	PUTNAM GLOBAL CONSUMER FUND CL B BUY 1 Units @0.0000	0.00	1.35	0.00	1.35	88.0	1.19
01/29/2018	***-**-761I - EVANS, DOLORES ACCOUNT #: LSR011024	PUTNAM GLOBAL CONSUMER FUND CL B BUY 1 Units @0.0000	0.00	1.97	0.00	1.97	88.0	1.73
01/29/2018	***-**-944O - MAYO, DEBORAH ACCOUNT #: LSR011035	PUTNAM GLOBAL CONSUMER FUND CL B BUY 1 Units @0.0000	0.00	1.05	0.00	1.05	88.0	0.92
01/29/2018	***-**-63TR - EVANS, AUDREY J ACCOUNT #: LSR011036	PUTNAM GLOBAL CONSUMER FUND CL B BUY 1 Units @0.0000	0.00	1.53	0.00	1.53	88.0	1.35
01/29/2018	***-**-306X - COBB, CHERRYL ACCOUNT #: LSR011037	PUTNAM GLOBAL CONSUMER FUND CL B BUY 1 Units @0.0000	0.00	1.23	0.00	1.23	88.0	1.08
01/29/2018	***-**-579J - RHYMESTINE, ACCOUNT #: LSR011081	PUTNAM GLOBAL CONSUMER FUND CL B BUY 1 Units @0.0000	0.00	1.20	0.00	1.20	88.0	1.06
01/29/2018	***-**-326I - GRANDE, FBO MR ACCOUNT #: LSR011091	PUTNAM GLOBAL CONSUMER FUND CL B BUY 1 Units @0.0000	0.00	1.31	0.00	1.31	88.0	1.15
01/29/2018	***-**-506J - CURRIERE JR, MR ACCOUNT #: LSR011121	PUTNAM GLOBAL CONSUMER FUND CL B BUY 1 Units @0.0000	0.00	1.48	0.00	1.48	88.0	1.30
01/29/2018	***-**-367J - WAGNER, MRS LANT ACCOUNT #: LSR011134	PUTNAM GLOBAL CONSUMER FUND CL B BUY 1 Units @0.0000	0.00	2.16	0.00	2.16	88.0	1.90
01/29/2018	***-**-48IO - ANACKER, FBO MRS ACCOUNT #: LSR011164	PUTNAM GLOBAL CONSUMER FUND CL B BUY 1 Units @0.0000	0.00	2.29	0.00	2.29	88.0	2.02
01/29/2018	***-**-64IO - PFAFF, GEORGE ACCOUNT #: LSR011185	PUTNAM GLOBAL CONSUMER FUND CL B BUY 1 Units @0.0000	0.00	1.21	0.00	1.21	88.0	1.06
01/29/2018	***-**-62IR - ROBBIANO, FBO ACCOUNT #: LSR011195	PUTNAM GLOBAL CONSUMER FUND CL B BUY 1 Units @0.0000	0.00	1.20	0.00	1.20	88.0	1.06
01/29/2018	***-**-66IO - RUDD, MICHAEL ACCOUNT #: LSR011268	PUTNAM GLOBAL CONSUMER FUND CL B BUY 1 Units @0.0000	0.00	0.06	0.00	0.06	88.0	0.05
01/29/2018	***-**-653I - KOCHEM, CLINTON ACCOUNT #: LSR011300	PUTNAM GLOBAL CONSUMER FUND CL B BUY 1 Units @0.0000	0.00	3.38	0.00	3.38	88.0	2.97



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<b><u> OVERRIDE TRANSACTIONS (continued) </u></b>								
<b><u> BROKER: KURT GRUENEWALD (continued) </u></b>								
01/29/2018	***-**-680I - HARRELL, DARYL ACCOUNT #: LSR011321	PUTNAM GLOBAL CONSUMER FUND CL B BUY 1 Units @0.0000	0.00	1.60	0.00	1.60	88.0	1.41
01/29/2018	***-**-21IO - RADELL, SANDRA ACCOUNT #: LSR011392	PUTNAM GLOBAL CONSUMER FUND CL B BUY 1 Units @0.0000	0.00	1.55	0.00	1.55	88.0	1.36
01/29/2018	***-**-12IR - GRUENEWALD, ACCOUNT #: LSR011614	PUTNAM GLOBAL CONSUMER FUND CL B BUY 1 Units @0.0000	0.00	0.64	0.00	0.64	88.0	0.56
01/29/2018	***-**-03IO - MASTRANGELO, ACCOUNT #: LSR011679	PUTNAM GLOBAL CONSUMER FUND CL B BUY 1 Units @0.0000	0.00	1.97	0.00	1.97	88.0	1.73
01/29/2018	***-**-45IN - WILLIAMSON, ACCOUNT #: LSR011751	PUTNAM GLOBAL CONSUMER FUND CL B BUY 1 Units @0.0000	0.00	0.80	0.00	0.80	88.0	0.70
01/29/2018	***-**-065I - LAZIO, THOMAS ACCOUNT #: LSR010979	PUTNAM GLOBAL CONSUMER FUND CL C BUY 1 Units @0.0000	0.00	5.14	0.00	5.14	88.0	4.52
01/29/2018	***-**-44IO - MAYO, DEBORAH ACCOUNT #: LSR011079	PUTNAM GLOBAL CONSUMER FUND CL C BUY 1 Units @0.0000	0.00	12.16	0.00	12.16	88.0	10.70
01/29/2018	***-**-89IN - LEE, ROGER ACCOUNT #: LSR011166	PUTNAM GLOBAL CONSUMER FUND CL C BUY 1 Units @0.0000	0.00	7.60	0.00	7.60	88.0	6.69
01/29/2018	***-**-11IO - LYNN G. ACCOUNT #: LSR011239	PUTNAM GLOBAL CONSUMER FUND CL C BUY 1 Units @0.0000	0.00	11.00	0.00	11.00	88.0	9.68
01/29/2018	***-**-37IO - MCCLUSKY, MARK ACCOUNT #: LSR011579	PUTNAM GLOBAL CONSUMER FUND CL C BUY 1 Units @0.0000	0.00	7.23	0.00	7.23	88.0	6.36
01/29/2018	***-**-51IO - SCALISE, MARY ACCOUNT #: LSR011837	PUTNAM GLOBAL CONSUMER FUND CL C BUY 1 Units @0.0000	0.00	0.04	0.00	0.04	88.0	0.04
01/29/2018	***-**-702I - KOCHEM, MICHAEL ACCOUNT #: LSR010954	PUTNAM GLOBAL HEALTH CARE FD-A BUY 1 Units @0.0000	0.00	1.41	0.00	1.41	88.0	1.24
01/29/2018	***-**-22IO - CLINTON, STEPHEN ACCOUNT #: LSR011684	PUTNAM GLOBAL HEALTH CARE FD-A BUY 1 Units @0.0000	0.00	0.98	0.00	0.98	88.0	0.86
01/29/2018	***-**-579I - RHYMESTINE, ACCOUNT #: LSR011082	PUTNAM GLOBAL NAT RESOURCES-A BUY 1 Units @0.0000	0.00	1.19	0.00	1.19	88.0	1.05
01/29/2018	***-**-680I - HARRELL, DARYL ACCOUNT #: LSR011321	PUTNAM GLOBAL NAT RESOURCES-A BUY 1 Units @0.0000	0.00	0.12	0.00	0.12	88.0	0.11
01/29/2018	***-**-31IO - HARTZ, CLAUDIA ACCOUNT #: LSR010915	PUTNAM GLOBAL NAT RESOURCES-B BUY 1 Units @0.0000	0.00	0.91	0.00	0.91	88.0	0.80



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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>								
01/29/2018	***-**-567I - FRANZ, ALICE ACCOUNT #: LSR010960	PUTNAM GLOBAL NAT RESOURCES-B BUY 1 Units @0.0000	0.00	0.71	0.00	0.71	88.0	0.62
01/29/2018	***-**-664J - PFAFF, GEORGE ACCOUNT #: LSR011184	PUTNAM GLOBAL NAT RESOURCES-B BUY 1 Units @0.0000	0.00	0.63	0.00	0.63	88.0	0.55
01/29/2018	***-**-63TR - EVANS, AUDREY J ACCOUNT #: LSR011036	PUTNAM GLOBAL SECTOR FUND CL A BUY 1 Units @0.0000	0.00	2.62	0.00	2.62	88.0	2.31
01/29/2018	***-**-567I - FRANZ, ALICE ACCOUNT #: LSR010960	PUTNAM GLOBAL TECHNOLOGY CL B BUY 1 Units @0.0000	0.00	2.07	0.00	2.07	88.0	1.82
01/29/2018	***-**-944O - MAYO, DEBORAH ACCOUNT #: LSR011035	PUTNAM GLOBAL TECHNOLOGY CL B BUY 1 Units @0.0000	0.00	0.90	0.00	0.90	88.0	0.79
01/29/2018	***-**-63TR - EVANS, AUDREY J ACCOUNT #: LSR011036	PUTNAM GLOBAL TELECOMMUNICATIONS B BUY 1 Units @0.0000	0.00	2.48	0.00	2.48	88.0	2.18
01/29/2018	***-**-62IR - ROBBIANO, FBO ACCOUNT #: LSR011195	PUTNAM GLOBAL TELECOMMUNICATIONS B BUY 1 Units @0.0000	0.00	0.61	0.00	0.61	88.0	0.54
01/16/2018	***-**-63IN - LASCALA, DEBORAH ACCOUNT #: 00426855622	PUTNAM GLOBAL UTILITIES CL C BUY 8 Units @13.2500	100.00	1.00	0.00	1.00	88.0	0.88
01/29/2018	***-**-382I - SATTERLY, NEIL ACCOUNT #: LSR010867	PUTNAM GLOBAL UTILITIES CL C BUY 1 Units @0.0000	0.00	5.65	0.00	5.65	88.0	4.97
01/29/2018	***-**-881I - EBERLEY, SUSAN ACCOUNT #: LSR010858	PUTNAM GROWTH OPPORTUNITIES FUND CL BUY 1 Units @0.0000	0.00	9.00	0.00	9.00	88.0	7.92
01/29/2018	***-**-382I - SATTERLY, NEIL ACCOUNT #: LSR010867	PUTNAM GROWTH OPPORTUNITIES FUND CL BUY 1 Units @0.0000	0.00	9.52	0.00	9.52	88.0	8.38
01/29/2018	***-**-420T - DEMETRI, AMELIA ACCOUNT #: LSR010994	PUTNAM GROWTH OPPORTUNITIES FUND CL BUY 1 Units @0.0000	0.00	9.37	0.00	9.37	88.0	8.25
01/29/2018	***-**-169I - EVANS, PAUL ACCOUNT #: LSR011026	PUTNAM GROWTH OPPORTUNITIES FUND CL BUY 1 Units @0.0000	0.00	8.32	0.00	8.32	88.0	7.32
01/29/2018	***-**-80IN - COBB, JAMES ACCOUNT #: LSR011042	PUTNAM GROWTH OPPORTUNITIES FUND CL BUY 1 Units @0.0000	0.00	8.14	0.00	8.14	88.0	7.16
01/29/2018	***-**-14IO - BUSHEY, MATTHEW ACCOUNT #: LSR011498	PUTNAM GROWTH OPPORTUNITIES FUND CL BUY 1 Units @0.0000	0.00	11.96	0.00	11.96	88.0	10.52
01/29/2018	***-**-51IO - CAIN, TIMOTHY ACCOUNT #: LSR011007	PUTNAM GROWTH OPPORTUNITIES FUND CL BUY 1 Units @0.0000	0.00	2.39	0.00	2.39	88.0	2.10





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<b><u> OVERRIDE TRANSACTIONS (continued) </u></b>								
<b><u> BROKER: KURT GRUENEWALD (continued) </u></b>								
01/29/2018	***-**-653I - KOCHER, CLINTON	PUTNAM GROWTH OPPORTUNITIES FUND CL	0.00	2.85	0.00	2.85	88.0	2.51
	ACCOUNT #: LSR011300	BUY 1 Units @0.0000						
01/29/2018	***-**-13IO - ROTH, KAREN	PUTNAM GROWTH OPPORTUNITIES FUND CL	0.00	1.49	0.00	1.49	88.0	1.31
	ACCOUNT #: LSR011484	BUY 1 Units @0.0000						
01/29/2018	***-**-31IO - HARTZ, CLAUDIA	PUTNAM HEALTH SCIENCES TR-B	0.00	0.89	0.00	0.89	88.0	0.78
	ACCOUNT #: LSR010915	BUY 1 Units @0.0000						
01/29/2018	***-**-930I - SANGER, KEVIN	PUTNAM HEALTH SCIENCES TR-B	0.00	0.69	0.00	0.69	88.0	0.61
	ACCOUNT #: LSR010941	BUY 1 Units @0.0000						
01/29/2018	***-**-567I - FRANZ, ALICE	PUTNAM HEALTH SCIENCES TR-B	0.00	2.49	0.00	2.49	88.0	2.19
	ACCOUNT #: LSR010960	BUY 1 Units @0.0000						
01/29/2018	***-**-960J - MASTRANGELO,	PUTNAM HEALTH SCIENCES TR-B	0.00	1.27	0.00	1.27	88.0	1.12
	ACCOUNT #: LSR010966	BUY 1 Units @0.0000						
01/29/2018	***-**-761I - EVANS, DOLORES	PUTNAM HEALTH SCIENCES TR-B	0.00	2.06	0.00	2.06	88.0	1.81
	ACCOUNT #: LSR011024	BUY 1 Units @0.0000						
01/29/2018	***-**-944O - MAYO, DEBORAH	PUTNAM HEALTH SCIENCES TR-B	0.00	1.71	0.00	1.71	88.0	1.50
	ACCOUNT #: LSR011035	BUY 1 Units @0.0000						
01/29/2018	***-**-579I - RHYMESTINE,	PUTNAM HEALTH SCIENCES TR-B	0.00	2.24	0.00	2.24	88.0	1.97
	ACCOUNT #: LSR011082	BUY 1 Units @0.0000						
01/29/2018	***-**-326I - GRANDE, FBO MR	PUTNAM HEALTH SCIENCES TR-B	0.00	1.36	0.00	1.36	88.0	1.20
	ACCOUNT #: LSR011091	BUY 1 Units @0.0000						
01/29/2018	***-**-48IO - ANACKER, FBO MRS	PUTNAM HEALTH SCIENCES TR-B	0.00	2.13	0.00	2.13	88.0	1.87
	ACCOUNT #: LSR011164	BUY 1 Units @0.0000						
01/29/2018	***-**-664J - PFAFF, GEORGE	PUTNAM HEALTH SCIENCES TR-B	0.00	2.09	0.00	2.09	88.0	1.84
	ACCOUNT #: LSR011184	BUY 1 Units @0.0000						
01/29/2018	***-**-64IO - PFAFF, GEORGE	PUTNAM HEALTH SCIENCES TR-B	0.00	0.83	0.00	0.83	88.0	0.73
	ACCOUNT #: LSR011185	BUY 1 Units @0.0000						
01/29/2018	***-**-62IR - ROBBIANO, FBO	PUTNAM HEALTH SCIENCES TR-B	0.00	0.91	0.00	0.91	88.0	0.80
	ACCOUNT #: LSR011195	BUY 1 Units @0.0000						
01/29/2018	***-**-52IO - EUSEPI, SUSAN	PUTNAM HEALTH SCIENCES TR-B	0.00	1.09	0.00	1.09	88.0	0.96
	ACCOUNT #: LSR011219	BUY 1 Units @0.0000						
01/29/2018	***-**-480J - EVANS, RICHARD	PUTNAM HEALTH SCIENCES TR-B	0.00	1.05	0.00	1.05	88.0	0.92
	ACCOUNT #: LSR011274	BUY 1 Units @0.0000						



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<b> OVERRIDE TRANSACTIONS (continued)</b>								
<b> <u>BROKER: KURT GRUENEWALD (continued)</u></b>								
01/29/2018	***-**-653I - KOCHER, CLINTON	PUTNAM HEALTH SCIENCES TR-B	0.00	3.06	0.00	3.06	88.0	2.69
	ACCOUNT #: LSR011300	BUY 1 Units @0.0000						
01/29/2018	***-**-21IO - RADELL, SANDRA	PUTNAM HEALTH SCIENCES TR-B	0.00	1.78	0.00	1.78	88.0	1.57
	ACCOUNT #: LSR011392	BUY 1 Units @0.0000						
01/29/2018	***-**-197I - GAMBINO, ANDREW	PUTNAM HEALTH SCIENCES TR-B	0.00	0.20	0.00	0.20	88.0	0.18
	ACCOUNT #: LSR011465	BUY 1 Units @0.0000						
01/29/2018	***-**-53IN - EVANS, ANDREW	PUTNAM HEALTH SCIENCES TR-B	0.00	0.51	0.00	0.51	88.0	0.45
	ACCOUNT #: LSR011483	BUY 1 Units @0.0000						
01/29/2018	***-**-13IO - ROTH, KAREN	PUTNAM HEALTH SCIENCES TR-B	0.00	1.44	0.00	1.44	88.0	1.27
	ACCOUNT #: LSR011484	BUY 1 Units @0.0000						
01/29/2018	***-**-38IO - BROWN, TYLER	PUTNAM HEALTH SCIENCES TR-B	0.00	0.80	0.00	0.80	88.0	0.70
	ACCOUNT #: LSR011602	BUY 1 Units @0.0000						
01/29/2018	***-**-12IR - GRUENEWALD,	PUTNAM HEALTH SCIENCES TR-B	0.00	0.69	0.00	0.69	88.0	0.61
	ACCOUNT #: LSR011614	BUY 1 Units @0.0000						
01/29/2018	***-**-03IO - MASTRANGELO,	PUTNAM HEALTH SCIENCES TR-B	0.00	1.23	0.00	1.23	88.0	1.08
	ACCOUNT #: LSR011679	BUY 1 Units @0.0000						
01/29/2018	***-**-45IN - WILLIAMSON,	PUTNAM HEALTH SCIENCES TR-B	0.00	0.69	0.00	0.69	88.0	0.61
	ACCOUNT #: LSR011751	BUY 1 Units @0.0000						
01/29/2018	***-**-22IO - CLINTON, STEPHEN	PUTNAM INTL GROWTH & INC-A	0.00	1.12	0.00	1.12	88.0	0.99
	ACCOUNT #: LSR011684	BUY 1 Units @0.0000						
01/29/2018	***-**-382K - SATTERLY, NEIL	PUTNAM INVESTORS CLASS C	0.00	4.44	0.00	4.44	88.0	3.91
	ACCOUNT #: LSR010875	BUY 1 Units @0.0000						
01/29/2018	***-**-653J - KOCHER, CLINTON	PUTNAM INVESTORS CLASS C	0.00	4.43	0.00	4.43	88.0	3.90
	ACCOUNT #: LSR011298	BUY 1 Units @0.0000						
01/29/2018	***-**-22IO - CLINTON, STEPHEN	PUTNAM SMALL CAP VALUE FUND-A	0.00	1.40	0.00	1.40	88.0	1.23
	ACCOUNT #: LSR011684	BUY 1 Units @0.0000						
01/29/2018	***-**-63TR - EVANS, AUDREY J	PUTNAM U.S. GOVT INCOME TR-B	0.00	0.92	0.00	0.92	88.0	0.81
	ACCOUNT #: LSR011036	BUY 1 Units @0.0000						
01/29/2018	***-**-254I - AUGUSTINE, LINDA	PUTNAM UTILITIES GR & INC-B	0.00	1.15	0.00	1.15	88.0	1.01
	ACCOUNT #: LSR010846	BUY 1 Units @0.0000						
01/29/2018	***-**-881J - EBERLEY, SUSAN	PUTNAM UTILITIES GR & INC-B	0.00	1.63	0.00	1.63	88.0	1.43
	ACCOUNT #: LSR010856	BUY 1 Units @0.0000						



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<b> OVERRIDE TRANSACTIONS (continued)</b>								
<b> <u>BROKER: KURT GRUENEWALD (continued)</u></b>								
01/29/2018	***-**-949I - ACEE, JOSPEH ACCOUNT #: LSR010908	PUTNAM UTILITIES GR & INC-B BUY 1 Units @0.0000	0.00	0.73	0.00	0.73	88.0	0.64
01/29/2018	***-**-31IO - HARTZ, CLAUDIA ACCOUNT #: LSR010915	PUTNAM UTILITIES GR & INC-B BUY 1 Units @0.0000	0.00	0.54	0.00	0.54	88.0	0.48
01/29/2018	***-**-930I - SANGER, KEVIN ACCOUNT #: LSR010941	PUTNAM UTILITIES GR & INC-B BUY 1 Units @0.0000	0.00	1.02	0.00	1.02	88.0	0.90
01/29/2018	***-**-15IN - PENDRAK, JOHN ACCOUNT #: LSR010948	PUTNAM UTILITIES GR & INC-B BUY 1 Units @0.0000	0.00	2.24	0.00	2.24	88.0	1.97
01/29/2018	***-**-959I - FRANZ, PAUL ACCOUNT #: LSR010959	PUTNAM UTILITIES GR & INC-B BUY 1 Units @0.0000	0.00	1.79	0.00	1.79	88.0	1.58
01/29/2018	***-**-960J - MASTRANGELO, ACCOUNT #: LSR010966	PUTNAM UTILITIES GR & INC-B BUY 1 Units @0.0000	0.00	2.19	0.00	2.19	88.0	1.93
01/29/2018	***-**-51IO - CAIN, TIMOTHY ACCOUNT #: LSR011007	PUTNAM UTILITIES GR & INC-B BUY 1 Units @0.0000	0.00	1.22	0.00	1.22	88.0	1.07
01/29/2018	***-**-761I - EVANS, DOLORES ACCOUNT #: LSR011024	PUTNAM UTILITIES GR & INC-B BUY 1 Units @0.0000	0.00	1.40	0.00	1.40	88.0	1.23
01/29/2018	***-**-96IN - NESSIA, BONNIE ACCOUNT #: LSR011055	PUTNAM UTILITIES GR & INC-B BUY 1 Units @0.0000	0.00	1.65	0.00	1.65	88.0	1.45
01/29/2018	***-**-861I - SANGER, LAWRENCE ACCOUNT #: LSR011095	PUTNAM UTILITIES GR & INC-B BUY 1 Units @0.0000	0.00	1.48	0.00	1.48	88.0	1.30
01/29/2018	***-**-31IO - WILLIAMSON, FBO ACCOUNT #: LSR011172	PUTNAM UTILITIES GR & INC-B BUY 1 Units @0.0000	0.00	2.08	0.00	2.08	88.0	1.83
01/29/2018	***-**-02IN - BUSHEY, MELISSA ACCOUNT #: LSR011257	PUTNAM UTILITIES GR & INC-B BUY 1 Units @0.0000	0.00	0.51	0.00	0.51	88.0	0.45
01/29/2018	***-**-680I - HARRELL, DARYL ACCOUNT #: LSR011321	QUEST INTERNATIONAL VALUE FUND, INC BUY 1 Units @0.0000	0.00	0.69	0.00	0.69	88.0	0.61
01/29/2018	***-**-15IN - PENDRAK, JOHN ACCOUNT #: LSR010948	QUEST OPPORTUNITY VALUE A BUY 1 Units @0.0000	0.00	1.13	0.00	1.13	88.0	0.99
01/29/2018	***-**-254I - AUGUSTINE, LINDA ACCOUNT #: LSR010846	REAL ESTATE FUND A BUY 1 Units @0.0000	0.00	1.14	0.00	1.14	88.0	1.00
01/29/2018	***-**-881J - EBERLEY, SUSAN ACCOUNT #: LSR010856	REAL ESTATE FUND A BUY 1 Units @0.0000	0.00	1.08	0.00	1.08	88.0	0.95



# COMMISSION STATEMENT

## January 29, 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>								
01/29/2018	***-**-15IN - PENDRAK, JOHN	REAL ESTATE FUND A	0.00	0.86	0.00	0.86	88.0	0.76
	ACCOUNT #: LSR010948	BUY 1 Units @0.0000						
01/29/2018	***-**-702I - KOCHER, MICHAEL	REAL ESTATE FUND A	0.00	1.00	0.00	1.00	88.0	0.88
	ACCOUNT #: LSR010954	BUY 1 Units @0.0000						
01/29/2018	***-**-51IO - CAIN, TIMOTHY	REAL ESTATE FUND A	0.00	1.17	0.00	1.17	88.0	1.03
	ACCOUNT #: LSR011007	BUY 1 Units @0.0000						
01/29/2018	***-**-761I - EVANS, DOLORES	REAL ESTATE FUND A	0.00	2.94	0.00	2.94	88.0	2.59
	ACCOUNT #: LSR011024	BUY 1 Units @0.0000						
01/29/2018	***-**-944O - MAYO, DEBORAH	REAL ESTATE FUND A	0.00	0.62	0.00	0.62	88.0	0.55
	ACCOUNT #: LSR011035	BUY 1 Units @0.0000						
01/29/2018	***-**-111J - NESSIA, JAMES	REAL ESTATE FUND A	0.00	1.02	0.00	1.02	88.0	0.90
	ACCOUNT #: LSR011054	BUY 1 Units @0.0000						
01/29/2018	***-**-326I - GRANDE, FBO MR	REAL ESTATE FUND A	0.00	1.12	0.00	1.12	88.0	0.99
	ACCOUNT #: LSR011091	BUY 1 Units @0.0000						
01/29/2018	***-**-861I - SANGER, LAWRENCE	REAL ESTATE FUND A	0.00	1.43	0.00	1.43	88.0	1.26
	ACCOUNT #: LSR011095	BUY 1 Units @0.0000						
01/29/2018	***-**-31IO - WILLIAMSON, FBO	REAL ESTATE FUND A	0.00	1.67	0.00	1.67	88.0	1.47
	ACCOUNT #: LSR011172	BUY 1 Units @0.0000						
01/29/2018	***-**-62IN - EATON, DAVID	REAL ESTATE FUND A	0.00	0.62	0.00	0.62	88.0	0.55
	ACCOUNT #: LSR011315	BUY 1 Units @0.0000						
01/29/2018	***-**-949I - ACEE, JOSPEH	REAL ESTATE FUND B	0.00	1.35	0.00	1.35	88.0	1.19
	ACCOUNT #: LSR010908	BUY 1 Units @0.0000						
01/29/2018	***-**-567I - FRANZ, ALICE	REAL ESTATE FUND B	0.00	2.10	0.00	2.10	88.0	1.85
	ACCOUNT #: LSR010960	BUY 1 Units @0.0000						
01/29/2018	***-**-506J - CURRIERE JR, MR	REAL ESTATE FUND B	0.00	0.51	0.00	0.51	88.0	0.45
	ACCOUNT #: LSR011121	BUY 1 Units @0.0000						
01/29/2018	***-**-367J - WAGNER, MRS LANT	REAL ESTATE FUND B	0.00	1.29	0.00	1.29	88.0	1.14
	ACCOUNT #: LSR011134	BUY 1 Units @0.0000						
01/29/2018	***-**-48IO - ANACKER, FBO MRS	REAL ESTATE FUND B	0.00	1.54	0.00	1.54	88.0	1.36
	ACCOUNT #: LSR011164	BUY 1 Units @0.0000						
01/29/2018	***-**-664J - PFAFF, GEORGE	REAL ESTATE FUND B	0.00	1.47	0.00	1.47	88.0	1.29
	ACCOUNT #: LSR011184	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>								
01/29/2018	***-**-64IO - PFAFF, GEORGE	REAL ESTATE FUND B	0.00	1.57	0.00	1.57	88.0	1.38
	ACCOUNT #: LSR011185	BUY 1 Units @0.0000						
01/29/2018	***-**-62IR - ROBBIANO, FBO	REAL ESTATE FUND B	0.00	0.45	0.00	0.45	88.0	0.40
	ACCOUNT #: LSR011195	BUY 1 Units @0.0000						
01/29/2018	***-**-653I - KOCHER, CLINTON	REAL ESTATE FUND B	0.00	1.49	0.00	1.49	88.0	1.31
	ACCOUNT #: LSR011300	BUY 1 Units @0.0000						
01/29/2018	***-**-382I - SATTERLY, NEIL	REAL ESTATE FUND C	0.00	10.40	0.00	10.40	88.0	9.15
	ACCOUNT #: LSR010867	BUY 1 Units @0.0000						
01/29/2018	***-**-48IO - CLARK, PATRICK	REAL ESTATE FUND C	0.00	7.74	0.00	7.74	88.0	6.81
	ACCOUNT #: LSR010911	BUY 1 Units @0.0000						
01/29/2018	***-**-72IN - GAVALO, JULIE	REAL ESTATE FUND C	0.00	8.37	0.00	8.37	88.0	7.37
	ACCOUNT #: LSR010921	BUY 1 Units @0.0000						
01/29/2018	***-**-065I - LAZIO, THOMAS	REAL ESTATE FUND C	0.00	6.19	0.00	6.19	88.0	5.45
	ACCOUNT #: LSR010979	BUY 1 Units @0.0000						
01/29/2018	***-**-73TR - WESTCOTT IRRVOC	REAL ESTATE FUND C	0.00	8.19	0.00	8.19	88.0	7.21
	ACCOUNT #: LSR011001	BUY 1 Units @0.0000						
01/29/2018	***-**-73TR - WESTCOTT IRRVOC	REAL ESTATE FUND C	0.00	2.21	0.00	2.21	88.0	1.94
	ACCOUNT #: LSR011008	BUY 1 Units @0.0000						
01/29/2018	***-**-00IO - LEE, GARY	REAL ESTATE FUND C	0.00	9.99	0.00	9.99	88.0	8.79
	ACCOUNT #: LSR011059	BUY 1 Units @0.0000						
01/29/2018	***-**-52IO - EUSEPI, SUSAN	REAL ESTATE FUND C	0.00	4.75	0.00	4.75	88.0	4.18
	ACCOUNT #: LSR011219	BUY 1 Units @0.0000						
01/29/2018	***-**-11IO - LYNN G.	REAL ESTATE FUND C	0.00	13.00	0.00	13.00	88.0	11.44
	ACCOUNT #: LSR011239	BUY 1 Units @0.0000						
01/29/2018	***-**-80IO - EVANS, RICHARD	REAL ESTATE FUND C	0.00	4.11	0.00	4.11	88.0	3.62
	ACCOUNT #: LSR011276	BUY 1 Units @0.0000						
01/29/2018	***-**-45IO - JOHNSON, GREGORY	REAL ESTATE FUND C	0.00	7.04	0.00	7.04	88.0	6.20
	ACCOUNT #: LSR011421	BUY 1 Units @0.0000						
01/29/2018	***-**-633J -	REAL ESTATE FUND C	0.00	0.28	0.00	0.28	88.0	0.25
	ACCOUNT #: LSR011732	BUY 1 Units @0.0000						
01/29/2018	***-**-254I - AUGUSTINE, LINDA	REAL ESTATE FUND A	0.00	1.55	0.00	1.55	88.0	1.36
	ACCOUNT #: LSR010846	BUY 1 Units @0.0000						



# COMMISSION STATEMENT

## January 29, 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>								
01/29/2018	***-**-881I - EBERLEY, SUSAN ACCOUNT #: LSR010858	RISING DIVIDENDS FUND A BUY 1 Units @0.0000	0.00	0.91	0.00	0.91	88.0	0.80
01/29/2018	***-**-702I - KOCHER, MICHAEL ACCOUNT #: LSR010954	RISING DIVIDENDS FUND A BUY 1 Units @0.0000	0.00	2.33	0.00	2.33	88.0	2.05
01/29/2018	***-**-959I - FRANZ, PAUL ACCOUNT #: LSR010959	RISING DIVIDENDS FUND A BUY 1 Units @0.0000	0.00	1.10	0.00	1.10	88.0	0.97
01/29/2018	***-**-761I - EVANS, DOLORES ACCOUNT #: LSR011024	RISING DIVIDENDS FUND A BUY 1 Units @0.0000	0.00	8.77	0.00	8.77	88.0	7.72
01/29/2018	***-**-944O - MAYO, DEBORAH ACCOUNT #: LSR011035	RISING DIVIDENDS FUND A BUY 1 Units @0.0000	0.00	1.13	0.00	1.13	88.0	0.99
01/29/2018	***-**-96IN - NESSIA, BONNIE ACCOUNT #: LSR011055	RISING DIVIDENDS FUND A BUY 1 Units @0.0000	0.00	2.35	0.00	2.35	88.0	2.07
01/29/2018	***-**-326I - GRANDE, FBO MR ACCOUNT #: LSR011091	RISING DIVIDENDS FUND A BUY 1 Units @0.0000	0.00	1.96	0.00	1.96	88.0	1.72
01/29/2018	***-**-861I - SANGER, LAWRENCE ACCOUNT #: LSR011095	RISING DIVIDENDS FUND A BUY 1 Units @0.0000	0.00	2.17	0.00	2.17	88.0	1.91
01/29/2018	***-**-13IN - RHYMESTINE, ACCOUNT #: LSR011106	RISING DIVIDENDS FUND A BUY 1 Units @0.0000	0.00	1.34	0.00	1.34	88.0	1.18
01/29/2018	***-**-664J - PFAFF, GEORGE ACCOUNT #: LSR011184	RISING DIVIDENDS FUND A BUY 1 Units @0.0000	0.00	0.81	0.00	0.81	88.0	0.71
01/29/2018	***-**-02IN - BUSHEY, MELISSA ACCOUNT #: LSR011257	RISING DIVIDENDS FUND A BUY 1 Units @0.0000	0.00	0.91	0.00	0.91	88.0	0.80
01/29/2018	***-**-62IN - EATON, DAVID ACCOUNT #: LSR011315	RISING DIVIDENDS FUND A BUY 1 Units @0.0000	0.00	1.24	0.00	1.24	88.0	1.09
01/29/2018	***-**-680I - HARRELL, DARYL ACCOUNT #: LSR011321	RISING DIVIDENDS FUND A BUY 1 Units @0.0000	0.00	1.07	0.00	1.07	88.0	0.94
01/29/2018	***-**-287J - HINCKLEY, ACCOUNT #: LSR010841	RISING DIVIDENDS FUND, INC. B BUY 1 Units @0.0000	0.00	0.56	0.00	0.56	88.0	0.49
01/29/2018	***-**-366I - GRUENEWALD, ACCOUNT #: LSR010989	RISING DIVIDENDS FUND, INC. B BUY 1 Units @0.0000	0.00	1.33	0.00	1.33	88.0	1.17
01/29/2018	***-**-580X - COBB, JAMES ACCOUNT #: LSR011040	RISING DIVIDENDS FUND, INC. B BUY 1 Units @0.0000	0.00	2.10	0.00	2.10	88.0	1.85



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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>								
01/29/2018	***-**-579I - RHYMESTINE, ACCOUNT #: LSR011082	RISING DIVIDENDS FUND, INC. B BUY 1 Units @0.0000	0.00	2.64	0.00	2.64	88.0	2.32
01/29/2018	***-**-96IN - NESSIA, BONNIE ACCOUNT #: LSR011055	ROCH. LIMITED TERM NEW YORK MUNICI BUY 1 Units @0.0000	0.00	1.23	0.00	1.23	88.0	1.08
01/29/2018	***-**-13IN - RHYMESTINE, ACCOUNT #: LSR011106	ROCH. LIMITED TERM NEW YORK MUNICI BUY 1 Units @0.0000	0.00	0.92	0.00	0.92	88.0	0.81
01/29/2018	***-**-02IN - BUSHEY, MELISSA ACCOUNT #: LSR011257	ROCH. LIMITED TERM NEW YORK MUNICI BUY 1 Units @0.0000	0.00	0.37	0.00	0.37	88.0	0.33
01/29/2018	***-**-80IN - COBB, JAMES ACCOUNT #: LSR011042	ROCHESTER NATIONAL MUNICIPALS A BUY 1 Units @0.0000	0.00	2.54	0.00	2.54	88.0	2.24
01/29/2018	***-**-567I - FRANZ, ALICE ACCOUNT #: LSR010960	SMALL- & MID- CAP VALUE B BUY 1 Units @0.0000	0.00	2.39	0.00	2.39	88.0	2.10
01/29/2018	***-**-580X - COBB, JAMES ACCOUNT #: LSR011040	SMALL- & MID- CAP VALUE B BUY 1 Units @0.0000	0.00	1.06	0.00	1.06	88.0	0.93
01/29/2018	***-**-579I - RHYMESTINE, ACCOUNT #: LSR011082	SMALL- & MID- CAP VALUE B BUY 1 Units @0.0000	0.00	2.26	0.00	2.26	88.0	1.99
01/29/2018	***-**-664J - PFAFF, GEORGE ACCOUNT #: LSR011184	SMALL- & MID- CAP VALUE B BUY 1 Units @0.0000	0.00	0.73	0.00	0.73	88.0	0.64
01/29/2018	***-**-065I - LAZIO, THOMAS ACCOUNT #: LSR010979	SMALL- & MID- CAP VALUE FUND C BUY 1 Units @0.0000	0.00	4.85	0.00	4.85	88.0	4.27
01/29/2018	***-**-28IN - BYWATER, KIM ACCOUNT #: LSR011995	SMALL- & MID- CAP VALUE FUND C BUY 1 Units @0.0000	0.00	1.85	0.00	1.85	88.0	1.63
01/29/2018	***-**-86IN - LEE, KEVIN ACCOUNT #: LSR011613	TEMPLETON GLOBAL BOND FUND - CLASS BUY 1 Units @0.0000	0.00	3.95	0.00	3.95	88.0	3.48
01/29/2018	***-**-473J - HUSTON, ACCOUNT #: 20001517	TERRA INCOME FUND # 6 BUY 0 Units @0.0000	0.00	57.72	0.00	57.72	88.0	50.79
01/29/2018	***-**-959I - FRANZ, PAUL ACCOUNT #: 20001536	TERRA INCOME FUND # 6 BUY 0 Units @0.0000	0.00	57.72	0.00	57.72	88.0	50.79
01/29/2018	***-**-235I - AUGUSTINE III, ACCOUNT #: LSR010845	TRANSAMERICA MLP & ENERGY INCOME CL BUY 1 Units @0.0000	0.00	6.30	0.00	6.30	88.0	5.54
01/29/2018	***-**-881J - EBERLEY, SUSAN ACCOUNT #: LSR010856	TRANSAMERICA MLP & ENERGY INCOME CL BUY 1 Units @0.0000	0.00	7.45	0.00	7.45	88.0	6.56



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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>								
01/29/2018	***-**-980I - ACEE, ELIZABETH ACCOUNT #: LSR010885	TRANSAMERICA MLP & ENERGY INCOME CL BUY 1 Units @0.0000	0.00	5.42	0.00	5.42	88.0	4.77
01/29/2018	***-**-031O - MCVOY, ROBERT ACCOUNT #: LSR010916	TRANSAMERICA MLP & ENERGY INCOME CL BUY 1 Units @0.0000	0.00	6.99	0.00	6.99	88.0	6.15
01/29/2018	***-**-959I - FRANZ, PAUL ACCOUNT #: LSR010959	TRANSAMERICA MLP & ENERGY INCOME CL BUY 1 Units @0.0000	0.00	12.51	0.00	12.51	88.0	11.01
01/29/2018	***-**-73TR - WESTCOTT IRRVOC ACCOUNT #: LSR011001	TRANSAMERICA MLP & ENERGY INCOME CL BUY 1 Units @0.0000	0.00	6.07	0.00	6.07	88.0	5.34
01/29/2018	***-**-73TR - WESTCOTT IRRVOC ACCOUNT #: LSR011008	TRANSAMERICA MLP & ENERGY INCOME CL BUY 1 Units @0.0000	0.00	5.85	0.00	5.85	88.0	5.15
01/29/2018	***-**-44IO - MAYO, DEBORAH ACCOUNT #: LSR011079	TRANSAMERICA MLP & ENERGY INCOME CL BUY 1 Units @0.0000	0.00	7.20	0.00	7.20	88.0	6.34
01/29/2018	***-**-09IO - BATES, FBO MRS ACCOUNT #: LSR011117	TRANSAMERICA MLP & ENERGY INCOME CL BUY 1 Units @0.0000	0.00	11.58	0.00	11.58	88.0	10.19
01/29/2018	***-**-89IN - LEE, ROGER ACCOUNT #: LSR011166	TRANSAMERICA MLP & ENERGY INCOME CL BUY 1 Units @0.0000	0.00	13.14	0.00	13.14	88.0	11.56
01/29/2018	***-**-11IO - LYNN G. ACCOUNT #: LSR011239	TRANSAMERICA MLP & ENERGY INCOME CL BUY 1 Units @0.0000	0.00	11.15	0.00	11.15	88.0	9.81
01/29/2018	***-**-80IO - EVANS, RICHARD ACCOUNT #: LSR011276	TRANSAMERICA MLP & ENERGY INCOME CL BUY 1 Units @0.0000	0.00	7.44	0.00	7.44	88.0	6.55
01/29/2018	***-**-45IO - JOHNSON, GREGORY ACCOUNT #: LSR011421	TRANSAMERICA MLP & ENERGY INCOME CL BUY 1 Units @0.0000	0.00	9.43	0.00	9.43	88.0	8.30
01/29/2018	***-**-14IO - BUSHEY, MATTHEW ACCOUNT #: LSR011498	TRANSAMERICA MLP & ENERGY INCOME CL BUY 1 Units @0.0000	0.00	10.69	0.00	10.69	88.0	9.41
01/29/2018	***-**-287J - HINCKLEY, ACCOUNT #: LSR010841	TRANSAMERICA SHORT TERM BOND CL C BUY 1 Units @0.0000	0.00	13.29	0.00	13.29	88.0	11.70
01/29/2018	***-**-48IO - CLARK, PATRICK ACCOUNT #: LSR010911	TRANSAMERICA SHORT TERM BOND CL C BUY 1 Units @0.0000	0.00	10.35	0.00	10.35	88.0	9.11
01/29/2018	***-**-11IO - LYNN G. ACCOUNT #: LSR011239	TRANSAMERICA SHORT TERM BOND CL C BUY 1 Units @0.0000	0.00	15.42	0.00	15.42	88.0	13.57
01/29/2018	***-**-680I - HARRELL, DARYL ACCOUNT #: LSR011321	VOYA GLOBAL EQUITY DIVIDEND CLASS A BUY 1 Units @0.0000	0.00	1.88	0.00	1.88	88.0	1.65





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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b> OVERRIDE TRANSACTIONS (continued) </b>								
<b> BROKER: KURT GRUENEWALD (continued) </b>								
01/29/2018	***-**-702I - KOCHEM, MICHAEL ACCOUNT #: LSR010954	VOYA GLOBAL REAL ESTATE CLASS A BUY 1 Units @0.0000	0.00	1.03	0.00	1.03	88.0	0.91
01/29/2018	***-**-959I - FRANZ, PAUL ACCOUNT #: LSR010959	VOYA GLOBAL REAL ESTATE CLASS A BUY 1 Units @0.0000	0.00	0.10	0.00	0.10	88.0	0.09
01/29/2018	***-**-30TR - AND SANDRA ACCOUNT #: LSR011939	VOYA GLOBAL REAL ESTATE CLASS A BUY 1 Units @0.0000	0.00	0.88	0.00	0.88	88.0	0.77
01/29/2018	***-**-13IN - RHYMESTINE, ACCOUNT #: LSR011106	VOYA REAL ESTATE CLASS C BUY 1 Units @0.0000	0.00	5.19	0.00	5.19	88.0	4.57
* KURT GRUENEWALD SUBTOTAL *			\$39,872.56	\$3,092.76	\$0.00	\$3,092.76		\$2,721.68
*** OVERRIDE TRANSACTIONS TOTAL ***			\$39,872.56	\$3,092.76	\$0.00	\$3,092.76		\$2,721.68

## BROKER COMMISSION TOTALS

Broker Transactions	\$1,182.50
Split Transactions	\$0.00
Override Transactions	\$2,721.68
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	\$3,904.18
Year-to-date Earnings	\$22,710.73