



# COMMISSION STATEMENT

January 22, 2018

DAVID GRIFFITH  
2108 Genesee St.  
Utica, NY 13502

BROKER #: A76  
BRANCH #01047 - 47 - GRIFFITH

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b><u>BROKER TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: ALTERNATIVE INVESTMENTS</u></b>								
01/02/2018	***-**-76IN - BOSHART-LOWE,	GWG L BOND - 2YR BUY 20 Units @1000.0000	20,000.00	800.00	0.00	800.00	88.0	704.00
01/02/2018	***-**-76IN - BOSHART-LOWE,	GWG L BOND - 3YR BUY 10 Units @1000.0000	10,000.00	500.00	0.00	500.00	88.0	440.00
01/02/2018	***-**-76IN - BOSHART-LOWE,	GWG L BOND - 5 YR BUY 10 Units @1000.0000	10,000.00	590.00	0.00	590.00	88.0	519.20
01/02/2018	***-**-76IN - BOSHART-LOWE,	GWG PREFERRED STOCK BUY 15 Units @1000.0000	15,000.00	990.00	0.00	990.00	88.0	871.20
<b>* ALTERNATIVE INVESTMENTS SUBTOTAL *</b>			<b>\$55,000.00</b>	<b>\$2,880.00</b>	<b>\$0.00</b>	<b>\$2,880.00</b>		<b>\$2,534.40</b>
<b><u>PRODUCT CATEGORY: MUTUAL FUNDS</u></b>								
01/08/2018	***-**-817I - WADSWORTH, ACCOUNT #: 00067441742	AMERICAN GLOBAL BALANCED CL C BUY 3 Units @32.9300	110.00	1.10	0.00	1.10	88.0	0.97
01/16/2018	***-**-801I - HAGAN III, ACCOUNT #: 00088485981	AMERICAN GLOBAL BALANCED CL C BUY 5 Units @33.2900	160.00	1.60	0.00	1.60	88.0	1.41
01/16/2018	***-**-5485 - GAETANO, ACCOUNT #: 00082975488	EUROPACIFIC GROWTH FUND-A BUY 1 Units @61.6300	33.00	1.40	0.00	1.40	88.0	1.23
01/08/2018	***-**-788I - ALBARRAN, CARLOS ACCOUNT #: 00085186008	FUNDAMENTAL INVESTORS-C BUY 2 Units @63.6200	100.00	1.00	0.00	1.00	88.0	0.88
01/02/2018	***-**-522I - RIEBEN, HENRY ACCOUNT #: 00551360517	PUTNAM CAPITAL SPECTRUM FUND CL C BUY 1 Units @33.0300	18.04	0.18	0.00	0.18	88.0	0.16
01/02/2018	***-**-522I - RIEBEN, HENRY ACCOUNT #: 00551360517	PUTNAM EQUITY SPECTRUM FD CL C BUY 0 Units @36.1300	18.04	0.18	0.00	0.18	88.0	0.16
01/02/2018	***-**-522I - RIEBEN, HENRY ACCOUNT #: 00551360517	PUTNAM GLOBAL UTILITIES CL C BUY 1 Units @13.4400	18.04	0.18	0.00	0.18	88.0	0.16
01/16/2018	***-**-5485 - GAETANO, ACCOUNT #: 00082975488	SMALLCAP WORLD FUND-A BUY 1 Units @60.5700	33.00	1.40	0.00	1.40	88.0	1.23
01/16/2018	***-**-5485 - GAETANO, ACCOUNT #: 00082975488	THE GROWTH FUND OF AMERICA-A BUY 1 Units @54.6700	34.00	1.45	0.00	1.45	88.0	1.28
<b>* MUTUAL FUNDS SUBTOTAL *</b>			<b>\$524.12</b>	<b>\$8.49</b>	<b>\$0.00</b>	<b>\$8.49</b>		<b>\$7.48</b>



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<b><u>BROKER TRANSACTIONS (continued)</u></b>								
<b><u>PRODUCT CATEGORY: STOCKS</u></b>								
01/18/2018	***-**-467J - PICKARD, BRIAN ACCOUNT #: LSR010943	CREDIT SUISSE GROUP SPON ADR-REP 1 SELL 200 Units @18.9220	3,784.40	67.49	19.00	48.49	88.0	42.67
01/18/2018	***-**-467J - PICKARD, BRIAN ACCOUNT #: LSR010943	ROYAL DUTCH SHELL ADR EA REP 2 CL A SELL 100 Units @70.0210	7,002.10	97.49	17.00	80.49	88.0	70.83
01/11/2018	***-**-60IN - SCHRADER, KEVIN ACCOUNT #: LSR010897	WALMART STORES INC UNSOLICITED ORDE SELL 100 Units @100.0000	10,000.00	97.49	17.00	80.49	88.0	70.83
* STOCKS SUBTOTAL *			\$20,786.50	\$262.47	\$53.00	\$209.47		\$184.33
<b><u>PRODUCT CATEGORY: 529 PLAN</u></b>								
01/19/2018	***-**-244I - BURTON, RICHARD ACCOUNT #: 77243486101	NYA JPM 529 EQUITY INCOME PORTF C BUY 0 Units @0.0000	50.00	0.50	0.00	0.50	88.0	0.44
* 529 PLAN SUBTOTAL *			\$50.00	\$0.50	\$0.00	\$0.50		\$0.44
<b><u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u></b>								
01/02/2018	***-**-6762 - MISHLANIE, ACCOUNT #: 00551362260	37252M108 BUY 0 Units @0.0000	0.00	0.86	0.00	0.86	88.0	0.76
01/08/2018	***-**-817I - WADSWORTH, ACCOUNT #: 04715332428	ALLIANCE BERNSTEIN LARGE-CAP GROWTH BUY 0 Units @0.0000	0.00	1.95	0.00	1.95	88.0	1.72
01/08/2018	***-**-817I - WADSWORTH, ACCOUNT #: 04715332428	ALLIANCEBERNSTEIN LARGE-CAP GROWTH BUY 0 Units @0.0000	0.00	6.63	0.00	6.63	88.0	5.83
01/22/2018	***-**-91IN - RICHARDSON, ACCOUNT #: LSR010900	AMCAP FUND-C BUY 1 Units @0.0000	0.00	2.42	0.00	2.42	88.0	2.13
01/22/2018	***-**-21IN - DANIELS, JOHN ACCOUNT #: LSR010967	AMERICAN BALANCED FUND-A BUY 1 Units @0.0000	0.00	0.76	0.00	0.76	88.0	0.67
01/22/2018	***-**-803J - TEESDALE, ACCOUNT #: LSR011017	AMERICAN BALANCED FUND-A BUY 1 Units @0.0000	0.00	0.40	0.00	0.40	88.0	0.35
01/22/2018	***-**-656I - SMOLA, STANLEY ACCOUNT #: LSR010868	AMERICAN FUNDS MORTGAGE CL F1 BUY 1 Units @0.0000	0.00	1.74	0.00	1.74	88.0	1.53
01/22/2018	***-**-58IN - SCHRECK, RYAN ACCOUNT #: LSR010873	AMERICAN FUNDS MORTGAGE FD CL C BUY 1 Units @0.0000	0.00	5.42	0.00	5.42	88.0	4.77
01/22/2018	***-**-60IN - SCHRADER, KEVIN ACCOUNT #: LSR010897	AMERICAN FUNDS MORTGAGE FD CL C BUY 1 Units @0.0000	0.00	10.11	0.00	10.11	88.0	8.90



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<b>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b>								
01/22/2018	***-**-91IN - RICHARDSON, ACCOUNT #: LSR010900	AMERICAN FUNDS MORTGAGE FD CL C BUY 1 Units @0.0000	0.00	5.39	0.00	5.39	88.0	4.74
01/22/2018	***-**-753I - SABANOSH, ALAN ACCOUNT #: LSR010909	AMERICAN FUNDS MORTGAGE FD CL C BUY 1 Units @0.0000	0.00	21.80	0.00	21.80	88.0	19.18
01/22/2018	***-**-53TR - SABANOSH, ALAN R ACCOUNT #: LSR010917	AMERICAN FUNDS MORTGAGE FD CL C BUY 1 Units @0.0000	0.00	10.47	0.00	10.47	88.0	9.21
01/22/2018	***-**-467J - PICKARD, BRIAN ACCOUNT #: LSR010943	AMERICAN FUNDS MORTGAGE FD CL C BUY 1 Units @0.0000	0.00	11.41	0.00	11.41	88.0	10.04
01/22/2018	***-**-88IN - PICKARD, ELAINE ACCOUNT #: LSR010957	AMERICAN FUNDS MORTGAGE FD CL C BUY 1 Units @0.0000	0.00	9.48	0.00	9.48	88.0	8.34
01/22/2018	***-**-80TR - SCOTELLARO TTEE, ACCOUNT #: LSR010974	AMERICAN FUNDS MORTGAGE FD CL C BUY 1 Units @0.0000	0.00	25.45	0.00	25.45	88.0	22.40
01/22/2018	***-**-69IN - HAUCK, JUDITH ACCOUNT #: LSR010980	AMERICAN FUNDS MORTGAGE FD CL C BUY 1 Units @0.0000	0.00	9.59	0.00	9.59	88.0	8.44
01/22/2018	***-**-973I - CHAMBERS, ROGER ACCOUNT #: LSR011018	AMERICAN FUNDS MORTGAGE FD CL C BUY 1 Units @0.0000	0.00	9.54	0.00	9.54	88.0	8.40
01/22/2018	***-**-22IN - GRACIE, JULIA ACCOUNT #: LSR011019	AMERICAN FUNDS MORTGAGE FD CL C BUY 1 Units @0.0000	0.00	8.37	0.00	8.37	88.0	7.37
01/22/2018	***-**-143J - HARDY, BRIAN ACCOUNT #: LSR011110	AMERICAN FUNDS MORTGAGE FD CL C BUY 1 Units @0.0000	0.00	2.92	0.00	2.92	88.0	2.57
01/22/2018	***-**-29IO - LORUSSO, VINCENT ACCOUNT #: LSR011681	AMERICAN FUNDS MORTGAGE FD CL C BUY 1 Units @0.0000	0.00	5.47	0.00	5.47	88.0	4.81
01/22/2018	***-**-753I - SABANOSH, ALAN ACCOUNT #: LSR010909	AMERICAN GLOBAL BALANCED CL C BUY 1 Units @0.0000	0.00	49.24	0.00	49.24	88.0	43.33
01/22/2018	***-**-88IN - PICKARD, ELAINE ACCOUNT #: LSR010957	AMERICAN GLOBAL BALANCED CL C BUY 1 Units @0.0000	0.00	19.08	0.00	19.08	88.0	16.79
01/22/2018	***-**-973I - CHAMBERS, ROGER ACCOUNT #: LSR011018	AMERICAN GLOBAL BALANCED CL C BUY 1 Units @0.0000	0.00	14.40	0.00	14.40	88.0	12.67
01/22/2018	***-**-73IN - SCOTELLARO IV, ACCOUNT #: LSR011086	AMERICAN GLOBAL BALANCED CL C BUY 1 Units @0.0000	0.00	6.73	0.00	6.73	88.0	5.92
01/22/2018	***-**-05IN - HULL, JEFFERY ACCOUNT #: LSR011187	AMERICAN GLOBAL BALANCED CL C BUY 1 Units @0.0000	0.00	15.12	0.00	15.12	88.0	13.31



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<b>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b>								
01/22/2018	***-**-21IN - DANIELS, JOHN ACCOUNT #: LSR010967	AMERICAN GLOBAL BALANCED CLASS A BUY 1 Units @0.0000	0.00	5.42	0.00	5.42	88.0	4.77
01/22/2018	***-**-355I - CRIMMINS, KAREN ACCOUNT #: LSR011077	AMERICAN GLOBAL BALANCED CLASS A BUY 1 Units @0.0000	0.00	3.30	0.00	3.30	88.0	2.90
01/22/2018	***-**-08TR - SCOTELLARO III, ACCOUNT #: LSR010975	AMERICAN HIGH-INCOME TRUST-C BUY 1 Units @0.0000	0.00	27.32	0.00	27.32	88.0	24.04
01/22/2018	***-**-21IN - DANIELS, JOHN ACCOUNT #: LSR010967	AMERICAN MORTGAGE FUND CL A BUY 1 Units @0.0000	0.00	4.25	0.00	4.25	88.0	3.74
01/22/2018	***-**-698J - FEISTHAMEL, MR ACCOUNT #: LSR011137	AMERICAN MORTGAGE FUND CL A BUY 1 Units @0.0000	0.00	2.21	0.00	2.21	88.0	1.94
01/22/2018	***-**-25IR - PERRITANO, ACCOUNT #: LSR010923	CAPITAL INCOME BUILDER-A BUY 1 Units @0.0000	0.00	0.16	0.00	0.16	88.0	0.14
01/22/2018	***-**-25IN - PERRITANO, ACCOUNT #: LSR010924	CAPITAL INCOME BUILDER-A BUY 1 Units @0.0000	0.00	0.32	0.00	0.32	88.0	0.28
01/22/2018	***-**-656I - SMOLA, STANLEY ACCOUNT #: LSR010868	CAPITAL INCOME BUILDER-F1 BUY 1 Units @0.0000	0.00	2.61	0.00	2.61	88.0	2.30
01/22/2018	***-**-80IN - GRIFFITH, DAVID ACCOUNT #: LSF000286	CAPITAL WORLD GROWTH AND INCOME FUN BUY 1 Units @0.0000	0.00	0.80	0.00	0.80	88.0	0.70
01/22/2018	***-**-753I - SABANOSH, ALAN ACCOUNT #: LSR010909	CAPITAL WORLD GROWTH AND INCOME FUN BUY 1 Units @0.0000	0.00	1.32	0.00	1.32	88.0	1.16
01/22/2018	***-**-25IR - PERRITANO, ACCOUNT #: LSR010923	CAPITAL WORLD GROWTH AND INCOME FUN BUY 1 Units @0.0000	0.00	1.23	0.00	1.23	88.0	1.08
01/22/2018	***-**-25IN - PERRITANO, ACCOUNT #: LSR010924	CAPITAL WORLD GROWTH AND INCOME FUN BUY 1 Units @0.0000	0.00	0.36	0.00	0.36	88.0	0.32
01/22/2018	***-**-522I - RIEBEN, HENRY ACCOUNT #: LSR010964	CAPITAL WORLD GROWTH AND INCOME FUN BUY 1 Units @0.0000	0.00	0.65	0.00	0.65	88.0	0.57
01/22/2018	***-**-24TR - SCOTELLARO, L ACCOUNT #: LSR010973	CAPITAL WORLD GROWTH AND INCOME FUN BUY 1 Units @0.0000	0.00	3.97	0.00	3.97	88.0	3.49
01/22/2018	***-**-474J - HAGAN JR, ACCOUNT #: LSR010993	CAPITAL WORLD GROWTH AND INCOME FUN BUY 1 Units @0.0000	0.00	1.47	0.00	1.47	88.0	1.29
01/22/2018	***-**-803J - TEESDALE, ACCOUNT #: LSR011017	CAPITAL WORLD GROWTH AND INCOME FUN BUY 1 Units @0.0000	0.00	0.46	0.00	0.46	88.0	0.40



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<b>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b>								
01/22/2018	***-**-22IN - GRACIE, JULIA ACCOUNT #: LSR011019	CAPITAL WORLD GROWTH AND INCOME FUN BUY 1 Units @0.0000	0.00	5.79	0.00	5.79	88.0	5.10
01/22/2018	***-**-698J - FEISTHAMEL, MR ACCOUNT #: LSR011137	CAPITAL WORLD GROWTH AND INCOME FUN BUY 1 Units @0.0000	0.00	2.49	0.00	2.49	88.0	2.19
01/22/2018	***-**-469I - HAUCK, JUDITH ACCOUNT #: LSR011739	CAPITAL WORLD GROWTH AND INCOME FUN BUY 1 Units @0.0000	0.00	0.93	0.00	0.93	88.0	0.82
01/22/2018	***-**-80TR - SCOTELLARO TTEE, ACCOUNT #: LSR010974	CAPITAL WORLD GROWTH AND INCOME FUN BUY 1 Units @0.0000	0.00	11.93	0.00	11.93	88.0	10.50
01/22/2018	***-**-973I - CHAMBERS, ROGER ACCOUNT #: LSR011018	CAPITAL WORLD GROWTH AND INCOME FUN BUY 1 Units @0.0000	0.00	10.66	0.00	10.66	88.0	9.38
01/22/2018	***-**-656I - SMOLA, STANLEY ACCOUNT #: LSR010868	CAPITAL WORLD GROWTH AND INCOME-F1 BUY 1 Units @0.0000	0.00	2.96	0.00	2.96	88.0	2.60
01/22/2018	***-**-72IN - THIBAUT, JOHN ACCOUNT #: LSR012086	CAPITAL WORLD GROWTH AND INCOME-F1 BUY 1 Units @0.0000	0.00	0.68	0.00	0.68	88.0	0.60
01/16/2018	***-**-423I - SAVICKI, RICHARD ACCOUNT #: LSR010889	DAVIS FINANCIAL CLASS C BUY 1 Units @0.0000	0.00	31.83	0.00	31.83	88.0	28.01
01/16/2018	***-**-423I - SAVICKI, RICHARD ACCOUNT #: LSR010889	DAVIS OPPORTUNITY CLASS C BUY 1 Units @0.0000	0.00	48.56	0.00	48.56	88.0	42.73
01/16/2018	***-**-423I - SAVICKI, RICHARD ACCOUNT #: LSR010889	DAVIS REAL ESTATE CLASS A BUY 1 Units @0.0000	0.00	4.62	0.00	4.62	88.0	4.07
01/22/2018	***-**-423I - SAVICKI, RICHARD ACCOUNT #: LSR010889	EATON VANCE LARGE-CAP VALUE CL C BUY 1 Units @0.0000	0.00	21.81	0.00	21.81	88.0	19.19
01/22/2018	***-**-656I - SMOLA, STANLEY ACCOUNT #: LSR010868	EUROPACIFIC GROWTH FUND CLASS F BUY 1 Units @0.0000	0.00	1.53	0.00	1.53	88.0	1.35
01/22/2018	***-**-80IN - GRIFFITH, DAVID ACCOUNT #: LSF000286	EUROPACIFIC GROWTH FUND-A BUY 1 Units @0.0000	0.00	5.81	0.00	5.81	88.0	5.11
01/22/2018	***-**-25IR - PERRITANO, ACCOUNT #: LSR010923	EUROPACIFIC GROWTH FUND-A BUY 1 Units @0.0000	0.00	1.37	0.00	1.37	88.0	1.21
01/22/2018	***-**-25IN - PERRITANO, ACCOUNT #: LSR010924	EUROPACIFIC GROWTH FUND-A BUY 1 Units @0.0000	0.00	0.32	0.00	0.32	88.0	0.28
01/22/2018	***-**-21IN - DANIELS, JOHN ACCOUNT #: LSR010967	EUROPACIFIC GROWTH FUND-A BUY 1 Units @0.0000	0.00	1.09	0.00	1.09	88.0	0.96



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<b>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b>								
01/22/2018	***-**-661I - GORCZYNSKI, ACCOUNT #: LSR011221	EUROPACIFIC GROWTH FUND-A BUY 1 Units @0.0000	0.00	3.14	0.00	3.14	88.0	2.76
01/22/2018	***-**-656I - SMOLA, STANLEY ACCOUNT #: LSR010868	FUNDAMENTAL INVESTORS FUND CLASS F BUY 1 Units @0.0000	0.00	1.14	0.00	1.14	88.0	1.00
01/22/2018	***-**-54IN - THIBAUT, MS ACCOUNT #: LSR011080	FUNDAMENTAL INVESTORS FUND CLASS F BUY 1 Units @0.0000	0.00	1.83	0.00	1.83	88.0	1.61
01/22/2018	***-**-21IN - DANIELS, JOHN ACCOUNT #: LSR010967	FUNDAMENTAL INVESTORS-A BUY 1 Units @0.0000	0.00	1.97	0.00	1.97	88.0	1.73
01/22/2018	***-**-803J - TEESDALE, ACCOUNT #: LSR011017	FUNDAMENTAL INVESTORS-A BUY 1 Units @0.0000	0.00	0.27	0.00	0.27	88.0	0.24
01/22/2018	***-**-22IN - GRACIE, JULIA ACCOUNT #: LSR011019	FUNDAMENTAL INVESTORS-A BUY 1 Units @0.0000	0.00	1.64	0.00	1.64	88.0	1.44
01/22/2018	***-**-369J - DAVIS, BRUCE ACCOUNT #: LSR011027	FUNDAMENTAL INVESTORS-A BUY 1 Units @0.0000	0.00	1.03	0.00	1.03	88.0	0.91
01/22/2018	***-**-369I - DAVIS, BRUCE ACCOUNT #: LSR011029	FUNDAMENTAL INVESTORS-A BUY 1 Units @0.0000	0.00	1.79	0.00	1.79	88.0	1.58
01/22/2018	***-**-698J - FEISTHAMEL, MR ACCOUNT #: LSR011137	FUNDAMENTAL INVESTORS-A BUY 1 Units @0.0000	0.00	1.43	0.00	1.43	88.0	1.26
01/22/2018	***-**-467J - PICKARD, BRIAN ACCOUNT #: LSR010943	FUNDAMENTAL INVESTORS-C BUY 1 Units @0.0000	0.00	4.88	0.00	4.88	88.0	4.29
01/22/2018	***-**-621I - DANIELS SR, JOHN ACCOUNT #: LSR010950	FUNDAMENTAL INVESTORS-C BUY 1 Units @0.0000	0.00	17.72	0.00	17.72	88.0	15.59
01/22/2018	***-**-73IR - CHAMBERS, ROGER ACCOUNT #: LSR011020	FUNDAMENTAL INVESTORS-C BUY 1 Units @0.0000	0.00	2.26	0.00	2.26	88.0	1.99
01/22/2018	***-**-698J - BAILEY, MR ACCOUNT #: 091124603	GRIFFIN CAPITAL ESS ASSET II TRAILS BUY 0 Units @0.0000	0.00	31.15	0.00	31.15	88.0	27.41
01/22/2018	***-**-41TR - DAMSKY, BARRY ACCOUNT #: 091128030	GRIFFIN CAPITAL ESS ASSET II TRAILS BUY 0 Units @0.0000	0.00	11.98	0.00	11.98	88.0	10.54
01/22/2018	***-**-41TR - DAMSKY, BARRY ACCOUNT #: 091128030	GRIFFIN CAPITAL ESS ASSET II TRAILS BUY 0 Units @0.0000	0.00	26.35	0.00	26.35	88.0	23.19
01/22/2018	***-**-901O - DRUMM, LOIS ACCOUNT #: 091135944	GRIFFIN CAPITAL ESS ASSET II TRAILS BUY 0 Units @0.0000	0.00	35.94	0.00	35.94	88.0	31.63



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<b>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b>								
01/22/2018	***-**-522J - RIEBEN, HENRY	GRIFFIN CAPITAL ESS ASSET II TRAILS	0.00	35.94	0.00	35.94	88.0	31.63
	ACCOUNT #: 091135947	BUY 0 Units @0.0000						
01/22/2018	***-**-425I - PERRITANO,	GRIFFIN CAPITAL ESS ASSET II TRAILS	0.00	28.75	0.00	28.75	88.0	25.30
	ACCOUNT #: 091137511	BUY 0 Units @0.0000						
01/02/2018	***-**-794I - INGERSOLL, JOAN	HARTFORD BALANCED INCOME FD CL A	0.00	0.43	0.00	0.43	88.0	0.38
	ACCOUNT #: 00000871758	BUY 0 Units @0.0000						
01/02/2018	***-**-015P - SABANOSH, SHERYL	HARTFORD CHECKS AND BALANCED FUND C	0.00	0.52	0.00	0.52	88.0	0.46
	ACCOUNT #: 00000856950	BUY 0 Units @0.0000						
01/02/2018	***-**-794I - INGERSOLL, JOAN	HARTFORD CHECKS AND BALANCED FUND C	0.00	0.45	0.00	0.45	88.0	0.40
	ACCOUNT #: 00000871758	BUY 0 Units @0.0000						
01/22/2018	***-**-24TR - SCOTELLARO, L	HARTFORD CHECKS AND BALANCED FUND C	0.00	1.15	0.00	1.15	88.0	1.01
	ACCOUNT #: LSR010973	BUY 1 Units @0.0000						
01/22/2018	***-**-369I - DAVIS, BRUCE	HARTFORD CHECKS AND BALANCED FUND C	0.00	2.16	0.00	2.16	88.0	1.90
	ACCOUNT #: LSR011029	BUY 1 Units @0.0000						
01/22/2018	***-**-58IN - SCHRECK, RYAN	INCOME FUND OF AMERICA CLASS C	0.00	10.77	0.00	10.77	88.0	9.48
	ACCOUNT #: LSR010873	BUY 1 Units @0.0000						
01/22/2018	***-**-467J - PICKARD, BRIAN	INCOME FUND OF AMERICA CLASS C	0.00	11.50	0.00	11.50	88.0	10.12
	ACCOUNT #: LSR010943	BUY 1 Units @0.0000						
01/22/2018	***-**-80TR - SCOTELLARO TTEE,	INCOME FUND OF AMERICA CLASS C	0.00	14.09	0.00	14.09	88.0	12.40
	ACCOUNT #: LSR010974	BUY 1 Units @0.0000						
01/22/2018	***-**-08TR - SCOTELLARO III,	INCOME FUND OF AMERICA CLASS C	0.00	36.67	0.00	36.67	88.0	32.27
	ACCOUNT #: LSR010975	BUY 1 Units @0.0000						
01/22/2018	***-**-973I - CHAMBERS, ROGER	INCOME FUND OF AMERICA CLASS C	0.00	13.43	0.00	13.43	88.0	11.82
	ACCOUNT #: LSR011018	BUY 1 Units @0.0000						
01/22/2018	***-**-143J - HARDY, BRIAN	INCOME FUND OF AMERICA CLASS C	0.00	0.90	0.00	0.90	88.0	0.79
	ACCOUNT #: LSR011110	BUY 1 Units @0.0000						
01/22/2018	***-**-901O - DRUMM, LOIS	INCOME FUND OF AMERICA CLASS C	0.00	8.29	0.00	8.29	88.0	7.30
	ACCOUNT #: LSR011609	BUY 1 Units @0.0000						
01/16/2018	***-**-05IR - HULL, JEFF	MANNING & NAPIER PRO NFS	0.00	4.45	0.00	4.45	88.0	3.92
	ACCOUNT #: LSR011534	BUY 1 Units @0.0000						
01/22/2018	***-**-13IR - E, KAREN	MASSACHUSETTS INVESTORS TRUST-A	0.00	0.02	0.00	0.02	88.0	0.02
	ACCOUNT #: LSR011953	BUY 1 Units @0.0000						



# COMMISSION STATEMENT

## January 22, 2018

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

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b>								
01/22/2018	***-**-13IR - E, KAREN	MASSACHUSETTS INVESTORS TRUST-B	0.00	0.69	0.00	0.69	88.0	0.61
	ACCOUNT #: LSR011953	BUY 1 Units @0.0000						
01/01/2018	***-**-51RI - DIPERNA, SANDRA	MFS 55273E871	0.00	13.29	0.00	13.29	88.0	11.70
	ACCOUNT #: 08189654779	BUY 0 Units @0.0000						
01/01/2018	***-**-57RI - DIPERNA, ROBERT	MFS 55273E871	0.00	16.40	0.00	16.40	88.0	14.43
	ACCOUNT #: 08189654783	BUY 0 Units @0.0000						
01/01/2018	***-**-73IN - MELLACE,	MFS 55273E871	0.00	1.35	0.00	1.35	88.0	1.19
	ACCOUNT #: 08191356365	BUY 0 Units @0.0000						
01/01/2018	***-**-29RI - THIBAUT,	MFS 55273G314	0.00	4.09	0.00	4.09	88.0	3.60
	ACCOUNT #: 08191346905	BUY 0 Units @0.0000						
01/01/2018	***-**-57RI - DIPERNA, ROBERT	MFS 552988628	0.00	10.01	0.00	10.01	88.0	8.81
	ACCOUNT #: 08189654783	BUY 0 Units @0.0000						
01/01/2018	***-**-51RI - DIPERNA, SANDRA	MFS 552988628	0.00	6.98	0.00	6.98	88.0	6.14
	ACCOUNT #: 08191188649	BUY 0 Units @0.0000						
01/01/2018	***-**-54II - ORSINO, LISA	MFS 552988628	0.00	3.91	0.00	3.91	88.0	3.44
	ACCOUNT #: 08191343489	BUY 0 Units @0.0000						
01/01/2018	***-**-31II - MOYLAN, COLLEEN	MFS 552988628	0.00	0.17	0.00	0.17	88.0	0.15
	ACCOUNT #: 08191349249	BUY 0 Units @0.0000						
01/01/2018	***-**-80IT - HAGAN III,	MFS 552988628	0.00	2.30	0.00	2.30	88.0	2.02
	ACCOUNT #: 08191353848	BUY 0 Units @0.0000						
01/22/2018	***-**-355I - CRIMMINS, KAREN	MFS AGGRESS GROWTH ALLOCATION FD-B	0.00	0.64	0.00	0.64	88.0	0.56
	ACCOUNT #: LSR011077	BUY 1 Units @0.0000						
01/01/2018	***-**-57UT - MISHLANIE CUST,	MFS BLENDED RESEARCH CORE EQUITY FD	0.00	3.25	0.00	3.25	88.0	2.86
	ACCOUNT #: 08190131537	BUY 0 Units @0.0000						
01/22/2018	***-**-355I - CRIMMINS, KAREN	MFS CONSERVATIVE ALLOCATION FUND-B	0.00	0.76	0.00	0.76	88.0	0.67
	ACCOUNT #: LSR011077	BUY 1 Units @0.0000						
01/01/2018	***-**-93JT - WADSWORTH,	MFS DIVERSIFIED INCOME FD CL C	0.00	18.87	0.00	18.87	88.0	16.61
	ACCOUNT #: 08191339712	BUY 0 Units @0.0000						
01/01/2018	***-**-112I - JONES, REBECCA	MFS EMERGING GROWTH FUND CLASS A	0.00	0.60	0.00	0.60	88.0	0.53
	ACCOUNT #: 00060637004	BUY 0 Units @0.0000						
01/01/2018	***-**-686I - STRUMPFLE, MARK	MFS EMERGING GROWTH FUND-B	0.00	2.67	0.00	2.67	88.0	2.35
	ACCOUNT #: 00060352385	BUY 0 Units @0.0000						





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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b>								
01/01/2018	***-**-541I - ORSINO, LISA	MFS EMERGING GROWTH FUND-B	0.00	1.66	0.00	1.66	88.0	1.46
	ACCOUNT #: 08191343489	BUY 0 Units @0.0000						
01/22/2018	***-**-13IR - E, KAREN	MFS EMERGING MARKETS DEBT FUND-A	0.00	0.06	0.00	0.06	88.0	0.05
	ACCOUNT #: LSR011953	BUY 1 Units @0.0000						
01/22/2018	***-**-13IR - E, KAREN	MFS EMERGING MKT DEBT CL B	0.00	0.28	0.00	0.28	88.0	0.25
	ACCOUNT #: LSR011953	BUY 1 Units @0.0000						
01/22/2018	***-**-355I - CRIMMINS, KAREN	MFS GLOBAL ALTERNATIVE STRAT B	0.00	1.62	0.00	1.62	88.0	1.43
	ACCOUNT #: LSR011077	BUY 1 Units @0.0000						
01/01/2018	***-**-88IN - PICKARD, ELAINE	MFS GLOBAL ALTERNATIVE STRAT C	0.00	5.21	0.00	5.21	88.0	4.58
	ACCOUNT #: 08191321451	BUY 0 Units @0.0000						
01/01/2018	***-**-51RI - DIPERNA, SANDRA	MFS GLOBAL BOND FUND CLASS C	0.00	4.82	0.00	4.82	88.0	4.24
	ACCOUNT #: 08189654779	BUY 0 Units @0.0000						
01/01/2018	***-**-88IN - PICKARD, ELAINE	MFS GLOBAL BOND FUND CLASS C	0.00	1.76	0.00	1.76	88.0	1.55
	ACCOUNT #: 08191321451	BUY 0 Units @0.0000						
01/01/2018	***-**-57RI - DIPERNA, ROBERT	MFS GLOBAL MULTI ASSET FUND CLASS B	0.00	2.54	0.00	2.54	88.0	2.24
	ACCOUNT #: 08189654783	BUY 0 Units @0.0000						
01/01/2018	***-**-57UT - MISHLANIE CUST,	MFS GLOBAL MULTI ASSET FUND CLASS B	0.00	1.85	0.00	1.85	88.0	1.63
	ACCOUNT #: 08190131537	BUY 0 Units @0.0000						
01/22/2018	***-**-94IO - PERRITANO,	MFS GLOBAL MULTI ASSET FUND CLASS B	0.00	2.26	0.00	2.26	88.0	1.99
	ACCOUNT #: LSR011099	BUY 1 Units @0.0000						
01/01/2018	***-**-29RI - THIBAUT,	MFS GLOBAL REAL ESTATE FUND CL C	0.00	3.82	0.00	3.82	88.0	3.36
	ACCOUNT #: 08191346905	BUY 0 Units @0.0000						
01/01/2018	***-**-686I - STRUMPFLER, MARK	MFS GLOBAL TOTAL RETURN FUND-A	0.00	2.19	0.00	2.19	88.0	1.93
	ACCOUNT #: 00060352385	BUY 0 Units @0.0000						
01/01/2018	***-**-914J - KALAMAS, SHIRLEY	MFS GLOBAL TOTAL RETURN FUND-A	0.00	1.05	0.00	1.05	88.0	0.92
	ACCOUNT #: 08191281493	BUY 0 Units @0.0000						
01/22/2018	***-**-13IR - E, KAREN	MFS GLOBAL TOTAL RETURN FUND-A	0.00	0.07	0.00	0.07	88.0	0.06
	ACCOUNT #: LSR011953	BUY 1 Units @0.0000						
01/01/2018	***-**-686I - STRUMPFLER, MARK	MFS GLOBAL TOTAL RETURN FUND-B	0.00	0.55	0.00	0.55	88.0	0.48
	ACCOUNT #: 00060352385	BUY 0 Units @0.0000						
01/01/2018	***-**-57RI - DIPERNA, ROBERT	MFS GLOBAL TOTAL RETURN FUND-B	0.00	2.15	0.00	2.15	88.0	1.89
	ACCOUNT #: 08189654783	BUY 0 Units @0.0000						



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<b>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b>								
01/01/2018	***-**-51RI - DIPERNA, SANDRA	MFS GLOBAL TOTAL RETURN FUND-B	0.00	4.87	0.00	4.87	88.0	4.29
	ACCOUNT #: 08191188649	BUY 0 Units @0.0000						
01/01/2018	***-**-25IR - SCOTELLARO,	MFS GLOBAL TOTAL RETURN FUND-B	0.00	1.30	0.00	1.30	88.0	1.14
	ACCOUNT #: 08191235544	BUY 0 Units @0.0000						
01/01/2018	***-**-244J - BURTON, RICHARD	MFS GLOBAL TOTAL RETURN FUND-B	0.00	0.44	0.00	0.44	88.0	0.39
	ACCOUNT #: 08191250134	BUY 0 Units @0.0000						
01/01/2018	***-**-957I - VELARDI, ANTHONY	MFS GLOBAL TOTAL RETURN FUND-B	0.00	3.94	0.00	3.94	88.0	3.47
	ACCOUNT #: 08191316407	BUY 0 Units @0.0000						
01/01/2018	***-**-267I - HAMMILL, ELISE	MFS GLOBAL TOTAL RETURN FUND-B	0.00	1.17	0.00	1.17	88.0	1.03
	ACCOUNT #: 08191335171	BUY 0 Units @0.0000						
01/01/2018	***-**-440I - HAMMILL, MATTHEW	MFS GLOBAL TOTAL RETURN FUND-B	0.00	1.19	0.00	1.19	88.0	1.05
	ACCOUNT #: 08191335450	BUY 0 Units @0.0000						
01/01/2018	***-**-541I - ORSINO, LISA	MFS GLOBAL TOTAL RETURN FUND-B	0.00	3.56	0.00	3.56	88.0	3.13
	ACCOUNT #: 08191343489	BUY 0 Units @0.0000						
01/01/2018	***-**-311I - MOYLAN, COLLEEN	MFS GLOBAL TOTAL RETURN FUND-B	0.00	2.26	0.00	2.26	88.0	1.99
	ACCOUNT #: 08191349249	BUY 0 Units @0.0000						
01/01/2018	***-**-801T - HAGAN III,	MFS GLOBAL TOTAL RETURN FUND-B	0.00	1.04	0.00	1.04	88.0	0.92
	ACCOUNT #: 08191353848	BUY 0 Units @0.0000						
01/22/2018	***-**-355I - CRIMMINS, KAREN	MFS GLOBAL TOTAL RETURN FUND-B	0.00	2.66	0.00	2.66	88.0	2.34
	ACCOUNT #: LSR011077	BUY 1 Units @0.0000						
01/22/2018	***-**-73IN - SCOTELLARO IV,	MFS GLOBAL TOTAL RETURN FUND-B	0.00	2.58	0.00	2.58	88.0	2.27
	ACCOUNT #: LSR011086	BUY 1 Units @0.0000						
01/22/2018	***-**-94IO - PERRITANO,	MFS GLOBAL TOTAL RETURN FUND-B	0.00	2.51	0.00	2.51	88.0	2.21
	ACCOUNT #: LSR011099	BUY 1 Units @0.0000						
01/22/2018	***-**-187I - WASZKIEWICZ, FBO	MFS GLOBAL TOTAL RETURN FUND-B	0.00	2.20	0.00	2.20	88.0	1.94
	ACCOUNT #: LSR011144	BUY 1 Units @0.0000						
01/22/2018	***-**-43IR - HARDY, FBO MR	MFS GLOBAL TOTAL RETURN FUND-B	0.00	0.26	0.00	0.26	88.0	0.23
	ACCOUNT #: LSR011175	BUY 1 Units @0.0000						
01/22/2018	***-**-59IR - HARDY, FBO MRS	MFS GLOBAL TOTAL RETURN FUND-B	0.00	0.22	0.00	0.22	88.0	0.19
	ACCOUNT #: LSR011177	BUY 1 Units @0.0000						
01/22/2018	***-**-40UT - BROWN CUST	MFS GLOBAL TOTAL RETURN FUND-B	0.00	0.24	0.00	0.24	88.0	0.21
	ACCOUNT #: LSR011178	BUY 1 Units @0.0000						



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<b>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b>								
01/22/2018	***-**-387I - KINNEY, DOUGLAS ACCOUNT #: LSR011322	MFS GLOBAL TOTAL RETURN FUND-B BUY 1 Units @0.0000	0.00	1.29	0.00	1.29	88.0	1.14
01/22/2018	***-**-1300 - MUMIN, ACCOUNT #: LSR011333	MFS GLOBAL TOTAL RETURN FUND-B BUY 1 Units @0.0000	0.00	1.75	0.00	1.75	88.0	1.54
01/22/2018	***-**-3017 - MUMIN, MESSIAH ACCOUNT #: LSR011334	MFS GLOBAL TOTAL RETURN FUND-B BUY 1 Units @0.0000	0.00	1.75	0.00	1.75	88.0	1.54
01/22/2018	***-**-0642 - MUMIN, MARY JO ACCOUNT #: LSR011335	MFS GLOBAL TOTAL RETURN FUND-B BUY 1 Units @0.0000	0.00	1.75	0.00	1.75	88.0	1.54
01/22/2018	***-**-41TR - DAMSKY, BARRY ACCOUNT #: LSR011340	MFS GLOBAL TOTAL RETURN FUND-B BUY 1 Units @0.0000	0.00	2.53	0.00	2.53	88.0	2.23
01/22/2018	***-**-499X - LARA M TUR, SPS ACCOUNT #: LSR011400	MFS GLOBAL TOTAL RETURN FUND-B BUY 1 Units @0.0000	0.00	1.53	0.00	1.53	88.0	1.35
01/22/2018	***-**-28IO - CROWE, EMILY ACCOUNT #: LSR011427	MFS GLOBAL TOTAL RETURN FUND-B BUY 1 Units @0.0000	0.00	2.62	0.00	2.62	88.0	2.31
01/22/2018	***-**-13IR - MURRAY, JOHN ACCOUNT #: LSR011459	MFS GLOBAL TOTAL RETURN FUND-B BUY 1 Units @0.0000	0.00	1.29	0.00	1.29	88.0	1.14
01/22/2018	***-**-9010 - DRUMM, LOIS ACCOUNT #: LSR011609	MFS GLOBAL TOTAL RETURN FUND-B BUY 1 Units @0.0000	0.00	4.15	0.00	4.15	88.0	3.65
01/22/2018	***-**-29IO - LORUSSO, VINCENT ACCOUNT #: LSR011681	MFS GLOBAL TOTAL RETURN FUND-B BUY 1 Units @0.0000	0.00	4.17	0.00	4.17	88.0	3.67
01/22/2018	***-**-13IR - E, KAREN ACCOUNT #: LSR011953	MFS GLOBAL TOTAL RETURN FUND-B BUY 1 Units @0.0000	0.00	2.14	0.00	2.14	88.0	1.88
01/01/2018	***-**-88IN - PICKARD, ELAINE ACCOUNT #: 08191321451	MFS GLOBAL TOTAL RETURN FUND-C BUY 0 Units @0.0000	0.00	13.85	0.00	13.85	88.0	12.19
01/01/2018	***-**-93JT - WADSWORTH, ACCOUNT #: 08191339712	MFS GLOBAL TOTAL RETURN FUND-C BUY 0 Units @0.0000	0.00	19.52	0.00	19.52	88.0	17.18
01/01/2018	***-**-29RI - THIBAUT, ACCOUNT #: 08191346905	MFS GLOBAL TOTAL RETURN FUND-C BUY 0 Units @0.0000	0.00	3.87	0.00	3.87	88.0	3.41
01/01/2018	***-**-801T - HAGAN III, ACCOUNT #: 08191353848	MFS GLOBAL TOTAL RETURN FUND-C BUY 0 Units @0.0000	0.00	11.16	0.00	11.16	88.0	9.82
01/01/2018	***-**-73IN - MELLACE, ACCOUNT #: 08191356365	MFS GLOBAL TOTAL RETURN FUND-C BUY 0 Units @0.0000	0.00	2.55	0.00	2.55	88.0	2.24



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<b>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b>								
01/01/2018	***-**-957I - VELARDI, ANTHONY	MFS INFLATION ADJUSTED BOND CL B	0.00	0.55	0.00	0.55	88.0	0.48
	ACCOUNT #: 08191316407	BUY 0 Units @0.0000						
01/01/2018	***-**-541I - ORSINO, LISA	MFS INFLATION ADJUSTED BOND CL B	0.00	0.71	0.00	0.71	88.0	0.62
	ACCOUNT #: 08191343489	BUY 0 Units @0.0000						
01/22/2018	***-**-13IR - E, KAREN	MFS INFLATION ADJUSTED BOND CL B	0.00	0.18	0.00	0.18	88.0	0.16
	ACCOUNT #: LSR011953	BUY 1 Units @0.0000						
01/01/2018	***-**-51RI - DIPERNA, SANDRA	MFS INFLATION ADJUSTED BOND CL C	0.00	4.98	0.00	4.98	88.0	4.38
	ACCOUNT #: 08189654779	BUY 0 Units @0.0000						
01/01/2018	***-**-57RI - DIPERNA, ROBERT	MFS INFLATION ADJUSTED BOND CL C	0.00	12.32	0.00	12.32	88.0	10.84
	ACCOUNT #: 08189654783	BUY 0 Units @0.0000						
01/01/2018	***-**-914J - KALAMAS, SHIRLEY	MFS INFLATION ADJUSTED BOND FUND-A	0.00	0.59	0.00	0.59	88.0	0.52
	ACCOUNT #: 08191281493	BUY 0 Units @0.0000						
01/22/2018	***-**-13IR - E, KAREN	MFS INFLATION ADJUSTED BOND FUND-A	0.00	0.03	0.00	0.03	88.0	0.03
	ACCOUNT #: LSR011953	BUY 1 Units @0.0000						
01/01/2018	***-**-25IR - SCOTELLARO,	MFS INTERNATIONAL DIVERSIFICATION F	0.00	0.78	0.00	0.78	88.0	0.69
	ACCOUNT #: 08191235544	BUY 0 Units @0.0000						
01/01/2018	***-**-957I - VELARDI, ANTHONY	MFS INTERNATIONAL DIVERSIFICATION F	0.00	0.73	0.00	0.73	88.0	0.64
	ACCOUNT #: 08191316407	BUY 0 Units @0.0000						
01/01/2018	***-**-311I - MOYLAN, COLLEEN	MFS INTERNATIONAL DIVERSIFICATION F	0.00	0.17	0.00	0.17	88.0	0.15
	ACCOUNT #: 08191349249	BUY 0 Units @0.0000						
01/22/2018	***-**-355I - CRIMMINS, KAREN	MFS INTERNATIONAL DIVERSIFICATION F	0.00	0.84	0.00	0.84	88.0	0.74
	ACCOUNT #: LSR011077	BUY 1 Units @0.0000						
01/01/2018	***-**-112I - JONES, REBECCA	MFS INTERNTL DIVERSIFICATION FUND-A	0.00	0.45	0.00	0.45	88.0	0.40
	ACCOUNT #: 00060637175	BUY 0 Units @0.0000						
01/01/2018	***-**-51RI - DIPERNA, SANDRA	MFS LIMITED MATURITY FUND-C	0.00	5.02	0.00	5.02	88.0	4.42
	ACCOUNT #: 08189654779	BUY 0 Units @0.0000						
01/01/2018	***-**-57RI - DIPERNA, ROBERT	MFS LIMITED MATURITY FUND-C	0.00	12.43	0.00	12.43	88.0	10.94
	ACCOUNT #: 08189654783	BUY 0 Units @0.0000						
01/01/2018	***-**-88IN - PICKARD, ELAINE	MFS LIMITED MATURITY FUND-C	0.00	1.43	0.00	1.43	88.0	1.26
	ACCOUNT #: 08191321451	BUY 0 Units @0.0000						
01/01/2018	***-**-541I - ORSINO, LISA	MFS STRATEGIC INCOME FUND-B	0.00	2.15	0.00	2.15	88.0	1.89
	ACCOUNT #: 08191343489	BUY 0 Units @0.0000						



# COMMISSION STATEMENT

## January 22, 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>								
01/01/2018	***-**-57UT - MISHLANIE CUST,	MFS TECHNOLOGY FUND-B	0.00	3.94	0.00	3.94	88.0	3.47
	ACCOUNT #: 08190131537	BUY 0 Units @0.0000						
01/22/2018	***-**-29IO - LORUSSO, VINCENT	MFS TECHNOLOGY FUND-B	0.00	1.41	0.00	1.41	88.0	1.24
	ACCOUNT #: LSR011681	BUY 1 Units @0.0000						
01/22/2018	***-**-13IR - E, KAREN	MFS TECHNOLOGY FUND-B	0.00	1.55	0.00	1.55	88.0	1.36
	ACCOUNT #: LSR011953	BUY 1 Units @0.0000						
01/22/2018	***-**-13IR - E, KAREN	MFS TOTAL RETURN FUND-A	0.00	0.07	0.00	0.07	88.0	0.06
	ACCOUNT #: LSR011953	BUY 1 Units @0.0000						
01/01/2018	***-**-25IR - SCOTELLARO,	MFS TOTAL RETURN FUND-B	0.00	0.58	0.00	0.58	88.0	0.51
	ACCOUNT #: 08191235544	BUY 0 Units @0.0000						
01/22/2018	***-**-13IR - E, KAREN	MFS TOTAL RETURN FUND-B	0.00	0.76	0.00	0.76	88.0	0.67
	ACCOUNT #: LSR011953	BUY 1 Units @0.0000						
01/01/2018	***-**-51RI - DIPERNA, SANDRA	MFS TRAILS 55273G710	0.00	30.29	0.00	30.29	88.0	26.66
	ACCOUNT #: 08189654779	BUY 0 Units @0.0000						
01/01/2018	***-**-914J - KALAMAS, SHIRLEY	MFS TRAILS 55278K104	0.00	1.02	0.00	1.02	88.0	0.90
	ACCOUNT #: 08191281493	BUY 0 Units @0.0000						
01/01/2018	***-**-88IN - PICKARD, ELAINE	MFS TRAILS 552988610	0.00	10.17	0.00	10.17	88.0	8.95
	ACCOUNT #: 08191321451	BUY 0 Units @0.0000						
01/01/2018	***-**-93JT - WADSWORTH,	MFS TRAILS 552988610	0.00	21.08	0.00	21.08	88.0	18.55
	ACCOUNT #: 08191339712	BUY 0 Units @0.0000						
01/01/2018	***-**-1121 - JONES, REBECCA	MFS UTILITIES FUND-A	0.00	0.50	0.00	0.50	88.0	0.44
	ACCOUNT #: 00060637062	BUY 0 Units @0.0000						
01/22/2018	***-**-369I - DAVIS, BRUCE	MFS UTILITIES FUND-A	0.00	0.95	0.00	0.95	88.0	0.84
	ACCOUNT #: LSR011029	BUY 1 Units @0.0000						
01/22/2018	***-**-698J - FEISTHAMEL, MR	MFS UTILITIES FUND-A	0.00	0.81	0.00	0.81	88.0	0.71
	ACCOUNT #: LSR011137	BUY 1 Units @0.0000						
01/22/2018	***-**-13IR - E, KAREN	MFS UTILITIES FUND-A	0.00	0.03	0.00	0.03	88.0	0.03
	ACCOUNT #: LSR011953	BUY 1 Units @0.0000						
01/01/2018	***-**-686I - STRUMPFLER, MARK	MFS UTILITIES FUND-B	0.00	0.57	0.00	0.57	88.0	0.50
	ACCOUNT #: 00060352385	BUY 0 Units @0.0000						
01/01/2018	***-**-57UT - MISHLANIE CUST,	MFS UTILITIES FUND-B	0.00	2.49	0.00	2.49	88.0	2.19
	ACCOUNT #: 08190131537	BUY 0 Units @0.0000						



# COMMISSION STATEMENT

## January 22, 2018

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

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b>								
01/01/2018	***-**-51RI - DIPERNA, SANDRA	MFS UTILITIES FUND-B	0.00	2.66	0.00	2.66	88.0	2.34
	ACCOUNT #: 08191188649	BUY 0 Units @0.0000						
01/01/2018	***-**-25IR - SCOTELLARO,	MFS UTILITIES FUND-B	0.00	0.59	0.00	0.59	88.0	0.52
	ACCOUNT #: 08191235544	BUY 0 Units @0.0000						
01/01/2018	***-**-244J - BURTON, RICHARD	MFS UTILITIES FUND-B	0.00	2.14	0.00	2.14	88.0	1.88
	ACCOUNT #: 08191250134	BUY 0 Units @0.0000						
01/01/2018	***-**-541I - ORSINO, LISA	MFS UTILITIES FUND-B	0.00	1.67	0.00	1.67	88.0	1.47
	ACCOUNT #: 08191343489	BUY 0 Units @0.0000						
01/01/2018	***-**-311I - MOYLAN, COLLEEN	MFS UTILITIES FUND-B	0.00	0.15	0.00	0.15	88.0	0.13
	ACCOUNT #: 08191349249	BUY 0 Units @0.0000						
01/22/2018	***-**-621I - DANIELS SR, JOHN	MFS UTILITIES FUND-B	0.00	3.70	0.00	3.70	88.0	3.26
	ACCOUNT #: LSR010950	BUY 1 Units @0.0000						
01/22/2018	***-**-698J - FEISTHAMEL, MR	MFS UTILITIES FUND-B	0.00	1.00	0.00	1.00	88.0	0.88
	ACCOUNT #: LSR011137	BUY 1 Units @0.0000						
01/22/2018	***-**-614I - MARIOTTI, CINDY	MFS UTILITIES FUND-B	0.00	2.76	0.00	2.76	88.0	2.43
	ACCOUNT #: LSR011535	BUY 1 Units @0.0000						
01/22/2018	***-**-39IR - VELARDI, CHRIS	MFS UTILITIES FUND-B	0.00	0.34	0.00	0.34	88.0	0.30
	ACCOUNT #: LSR011591	BUY 1 Units @0.0000						
01/22/2018	***-**-13IR - E, KAREN	MFS UTILITIES FUND-B	0.00	1.42	0.00	1.42	88.0	1.25
	ACCOUNT #: LSR011953	BUY 1 Units @0.0000						
01/01/2018	***-**-57RI - DIPERNA, ROBERT	MFS UTILITIES FUND-C	0.00	13.52	0.00	13.52	88.0	11.90
	ACCOUNT #: 08189654783	BUY 0 Units @0.0000						
01/01/2018	***-**-88IN - PICKARD, ELAINE	MFS UTILITIES FUND-C	0.00	12.87	0.00	12.87	88.0	11.33
	ACCOUNT #: 08191321451	BUY 0 Units @0.0000						
01/01/2018	***-**-93JT - WADSWORTH,	MFS UTILITIES FUND-C	0.00	17.96	0.00	17.96	88.0	15.80
	ACCOUNT #: 08191339712	BUY 0 Units @0.0000						
01/01/2018	***-**-29RI - THIBAUT,	MFS UTILITIES FUND-C	0.00	3.63	0.00	3.63	88.0	3.19
	ACCOUNT #: 08191346905	BUY 0 Units @0.0000						
01/01/2018	***-**-73IN - MELLACE,	MFS UTILITIES FUND-C	0.00	1.16	0.00	1.16	88.0	1.02
	ACCOUNT #: 08191356365	BUY 0 Units @0.0000						
01/22/2018	***-**-661I - GORCZYNSKI,	NEW WORLD FUND-A	0.00	3.63	0.00	3.63	88.0	3.19
	ACCOUNT #: LSR011221	BUY 1 Units @0.0000						



# COMMISSION STATEMENT

## January 22, 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>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b>								
01/22/2018	***-**-244I - BURTON, RICHARD	PL PORTFOLIO OPTIMIZATION MODERATE	0.00	2.07	0.00	2.07	88.0	1.82
	ACCOUNT #: LSR011997	BUY 1 Units @0.0000						
01/22/2018	***-**-05IN - HULL, JEFFERY	PRINCIPAL INVESTORS HIGH YIELD CL	0.00	6.24	0.00	6.24	88.0	5.49
	ACCOUNT #: LSR011187	BUY 1 Units @0.0000						
01/02/2018	***-**-6762 - MISHLANIE,	PUTNAM 1	0.00	3.49	0.00	3.49	88.0	3.07
	ACCOUNT #: 00551362260	BUY 0 Units @0.0000						
01/02/2018	***-**-372I - BURTON, KAREN	PUTNAM 1	0.00	0.94	0.00	0.94	88.0	0.83
	ACCOUNT #: 00551321848	BUY 0 Units @0.0000						
01/02/2018	***-**-72RI - BURTON, KAREN	PUTNAM 1	0.00	3.27	0.00	3.27	88.0	2.88
	ACCOUNT #: 00551321851	BUY 0 Units @0.0000						
01/02/2018	***-**-7892 - GORCZYNSKI, LISA	PUTNAM 1	0.00	1.95	0.00	1.95	88.0	1.72
	ACCOUNT #: 00551333364	BUY 0 Units @0.0000						
01/02/2018	***-**-54IN - THIBAUT, MS	PUTNAM 1	0.00	0.36	0.00	0.36	88.0	0.32
	ACCOUNT #: 00551358602	BUY 0 Units @0.0000						
01/02/2018	***-**-522I - RIEBEN, HENRY	PUTNAM 1	0.00	0.64	0.00	0.64	88.0	0.56
	ACCOUNT #: 00551360517	BUY 0 Units @0.0000						
01/02/2018	***-**-05UT - MISHLANIE CUST,	PUTNAM 1	0.00	1.20	0.00	1.20	88.0	1.06
	ACCOUNT #: 00551376948	BUY 0 Units @0.0000						
01/02/2018	***-**-924J - FISH, ROY	PUTNAM 1	0.00	1.36	0.00	1.36	88.0	1.20
	ACCOUNT #: 00551401046	BUY 0 Units @0.0000						
01/02/2018	***-**-949I - SCOTELLARO III,	PUTNAM ASSET ALLOC BALANCED-C	0.00	13.00	0.00	13.00	88.0	11.44
	ACCOUNT #: 00551408844	BUY 0 Units @0.0000						
01/02/2018	***-**-372I - BURTON, KAREN	PUTNAM CAPITAL SPECTRUM FD CL B	0.00	0.90	0.00	0.90	88.0	0.79
	ACCOUNT #: 00551321848	BUY 0 Units @0.0000						
01/02/2018	***-**-54IN - THIBAUT, MS	PUTNAM CAPITAL SPECTRUM FD CL B	0.00	0.52	0.00	0.52	88.0	0.46
	ACCOUNT #: 00551358602	BUY 0 Units @0.0000						
01/02/2018	***-**-522I - RIEBEN, HENRY	PUTNAM CAPITAL SPECTRUM FD CL B	0.00	0.59	0.00	0.59	88.0	0.52
	ACCOUNT #: 00551360517	BUY 0 Units @0.0000						
01/02/2018	***-**-05UT - MISHLANIE CUST,	PUTNAM CAPITAL SPECTRUM FD CL B	0.00	1.00	0.00	1.00	88.0	0.88
	ACCOUNT #: 00551376948	BUY 0 Units @0.0000						
01/02/2018	***-**-924J - FISH, ROY	PUTNAM CAPITAL SPECTRUM FD CL B	0.00	1.14	0.00	1.14	88.0	1.00
	ACCOUNT #: 00551401046	BUY 0 Units @0.0000						



# COMMISSION STATEMENT

January 22, 2018

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BROKER #: A76  
BRANCH #01047 - 47 - GRIFFITH

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b>								
01/02/2018	***-**-372I - BURTON, KAREN	PUTNAM CONV INCOME-GROWTH-B	0.00	0.93	0.00	0.93	88.0	0.82
	ACCOUNT #: 00551321848	BUY 0 Units @0.0000						
01/02/2018	***-**-54IN - THIBAUT, MS	PUTNAM CONV INCOME-GROWTH-B	0.00	0.59	0.00	0.59	88.0	0.52
	ACCOUNT #: 00551358602	BUY 0 Units @0.0000						
01/02/2018	***-**-05UT - MISHLANIE CUST,	PUTNAM CONV INCOME-GROWTH-B	0.00	1.51	0.00	1.51	88.0	1.33
	ACCOUNT #: 00551376948	BUY 0 Units @0.0000						
01/02/2018	***-**-372I - BURTON, KAREN	PUTNAM EQUITY INCOME FUND-B	0.00	2.79	0.00	2.79	88.0	2.46
	ACCOUNT #: 00551321848	BUY 0 Units @0.0000						
01/02/2018	***-**-72RI - BURTON, KAREN	PUTNAM EQUITY INCOME FUND-B	0.00	4.19	0.00	4.19	88.0	3.69
	ACCOUNT #: 00551321851	BUY 0 Units @0.0000						
01/02/2018	***-**-7892 - GORCZYNSKI, LISA	PUTNAM EQUITY INCOME FUND-B	0.00	2.29	0.00	2.29	88.0	2.02
	ACCOUNT #: 00551333364	BUY 0 Units @0.0000						
01/02/2018	***-**-7892 - GORCZYNSKI, LISA	PUTNAM EQUITY SPECTRUM FD CL B	0.00	1.27	0.00	1.27	88.0	1.12
	ACCOUNT #: 00551333364	BUY 0 Units @0.0000						
01/02/2018	***-**-522I - RIEBEN, HENRY	PUTNAM EQUITY SPECTRUM FD CL B	0.00	0.60	0.00	0.60	88.0	0.53
	ACCOUNT #: 00551360517	BUY 0 Units @0.0000						
01/02/2018	***-**-522I - RIEBEN, HENRY	PUTNAM EQUITY SPECTRUM FND-CL A	0.00	0.01	0.00	0.01	88.0	0.01
	ACCOUNT #: 00551360517	BUY 0 Units @0.0000						
01/02/2018	***-**-949I - SCOTELLARO III,	PUTNAM EUROPE EQUITY CLASS C	0.00	4.03	0.00	4.03	88.0	3.55
	ACCOUNT #: 00551408844	BUY 0 Units @0.0000						
01/02/2018	***-**-372I - BURTON, KAREN	PUTNAM EUROPE EQUITY FUND-B	0.00	0.86	0.00	0.86	88.0	0.76
	ACCOUNT #: 00551321848	BUY 0 Units @0.0000						
01/02/2018	***-**-7892 - GORCZYNSKI, LISA	PUTNAM EUROPE EQUITY FUND-B	0.00	1.25	0.00	1.25	88.0	1.10
	ACCOUNT #: 00551333364	BUY 0 Units @0.0000						
01/02/2018	***-**-54IN - THIBAUT, MS	PUTNAM EUROPE EQUITY FUND-B	0.00	1.48	0.00	1.48	88.0	1.30
	ACCOUNT #: 00551358602	BUY 0 Units @0.0000						
01/02/2018	***-**-72RI - BURTON, KAREN	PUTNAM GLOBAL EQUITY FUND CLASS B	0.00	0.86	0.00	0.86	88.0	0.76
	ACCOUNT #: 00551321851	BUY 0 Units @0.0000						
01/02/2018	***-**-54IN - THIBAUT, MS	PUTNAM GLOBAL INCOME TRUST-B	0.00	0.33	0.00	0.33	88.0	0.29
	ACCOUNT #: 00551358602	BUY 0 Units @0.0000						
01/02/2018	***-**-372I - BURTON, KAREN	PUTNAM GLOBAL NAT RESOURCES-B	0.00	0.25	0.00	0.25	88.0	0.22
	ACCOUNT #: 00551321848	BUY 0 Units @0.0000						





# COMMISSION STATEMENT

## January 22, 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>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b>								
01/02/2018	***-**-54IN - THIBAUT, MS	PUTNAM GLOBAL NAT RESOURCES-B	0.00	0.69	0.00	0.69	88.0	0.61
	ACCOUNT #: 00551358602	BUY 0 Units @0.0000						
01/02/2018	***-**-05UT - MISHLANIE CUST,	PUTNAM GLOBAL NAT RESOURCES-B	0.00	0.42	0.00	0.42	88.0	0.37
	ACCOUNT #: 00551376948	BUY 0 Units @0.0000						
01/02/2018	***-**-924J - FISH, ROY	PUTNAM GLOBAL NAT RESOURCES-B	0.00	0.78	0.00	0.78	88.0	0.69
	ACCOUNT #: 00551401046	BUY 0 Units @0.0000						
01/02/2018	***-**-949I - SCOTELLARO III,	PUTNAM GLOBAL NATURAL RESOURCE C	0.00	3.07	0.00	3.07	88.0	2.70
	ACCOUNT #: 00551408844	BUY 0 Units @0.0000						
01/02/2018	***-**-949I - SCOTELLARO III,	PUTNAM GLOBAL UTILITIES CL C	0.00	0.09	0.00	0.09	88.0	0.08
	ACCOUNT #: 00551408844	BUY 0 Units @0.0000						
01/02/2018	***-**-372I - BURTON, KAREN	PUTNAM GROWTH OPPORTUNITIES FUND CL	0.00	0.93	0.00	0.93	88.0	0.82
	ACCOUNT #: 00551321848	BUY 0 Units @0.0000						
01/02/2018	***-**-54IN - THIBAUT, MS	PUTNAM INTERNATIONAL GROWTH-B	0.00	0.37	0.00	0.37	88.0	0.33
	ACCOUNT #: 00551358602	BUY 0 Units @0.0000						
01/02/2018	***-**-7892 - GORCZYNSKI, LISA	PUTNAM INTL CAPITAL OPPS-B	0.00	1.78	0.00	1.78	88.0	1.57
	ACCOUNT #: 00551333364	BUY 0 Units @0.0000						
01/02/2018	***-**-72RI - BURTON, KAREN	PUTNAM INTL GROWTH & INC-B	0.00	0.28	0.00	0.28	88.0	0.25
	ACCOUNT #: 00551321851	BUY 0 Units @0.0000						
01/02/2018	***-**-522I - RIEBEN, HENRY	PUTNAM MF TRAILS 37252M306	18.04	0.18	0.00	0.18	88.0	0.16
	ACCOUNT #: 00551360517	BUY 1 Units @19.9600						
01/02/2018	***-**-72RI - BURTON, KAREN	PUTNAM MF TRAILS 74676P870	0.00	0.65	0.00	0.65	88.0	0.57
	ACCOUNT #: 00551321851	BUY 0 Units @0.0000						
01/02/2018	***-**-54IN - THIBAUT, MS	PUTNAM MF TRAILS 74677R206	0.00	1.85	0.00	1.85	88.0	1.63
	ACCOUNT #: 00551358602	BUY 0 Units @0.0000						
01/02/2018	***-**-522I - RIEBEN, HENRY	PUTNAM MF TRAILS 74677R206	0.00	0.68	0.00	0.68	88.0	0.60
	ACCOUNT #: 00551360517	BUY 0 Units @0.0000						
01/02/2018	***-**-05UT - MISHLANIE CUST,	PUTNAM MF TRAILS 74677R206	0.00	1.49	0.00	1.49	88.0	1.31
	ACCOUNT #: 00551376948	BUY 0 Units @0.0000						
01/02/2018	***-**-7892 - GORCZYNSKI, LISA	PUTNAM MID-CAP VALUE FUND-A	0.00	2.25	0.00	2.25	88.0	1.98
	ACCOUNT #: 00551333364	BUY 0 Units @0.0000						
01/02/2018	***-**-372I - BURTON, KAREN	PUTNAM RESEARCH FUND CLASS B	0.00	0.60	0.00	0.60	88.0	0.53
	ACCOUNT #: 00551321848	BUY 0 Units @0.0000						



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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b>								
01/02/2018	***-**-72RI - BURTON, KAREN	PUTNAM RESEARCH FUND CLASS B	0.00	0.62	0.00	0.62	88.0	0.55
	ACCOUNT #: 00551321851	BUY 0 Units @0.0000						
01/02/2018	***-**-54IN - THIBAUT, MS	PUTNAM RESEARCH FUND CLASS B	0.00	0.47	0.00	0.47	88.0	0.41
	ACCOUNT #: 00551358602	BUY 0 Units @0.0000						
01/02/2018	***-**-372I - BURTON, KAREN	PUTNAM SMALL CAP GROWTH-B	0.00	0.78	0.00	0.78	88.0	0.69
	ACCOUNT #: 00551321848	BUY 0 Units @0.0000						
01/02/2018	***-**-72RI - BURTON, KAREN	PUTNAM SMALL CAP GROWTH-B	0.00	0.38	0.00	0.38	88.0	0.33
	ACCOUNT #: 00551321851	BUY 0 Units @0.0000						
01/02/2018	***-**-7892 - GORCZYNSKI, LISA	PUTNAM SMALL CAP GROWTH-B	0.00	1.23	0.00	1.23	88.0	1.08
	ACCOUNT #: 00551333364	BUY 0 Units @0.0000						
01/02/2018	***-**-372I - BURTON, KAREN	PUTNAM UTILITIES GR & INC-B	0.00	0.90	0.00	0.90	88.0	0.79
	ACCOUNT #: 00551321848	BUY 0 Units @0.0000						
01/02/2018	***-**-72RI - BURTON, KAREN	PUTNAM UTILITIES GR & INC-B	0.00	1.26	0.00	1.26	88.0	1.11
	ACCOUNT #: 00551321851	BUY 0 Units @0.0000						
01/02/2018	***-**-7892 - GORCZYNSKI, LISA	PUTNAM UTILITIES GR & INC-B	0.00	1.45	0.00	1.45	88.0	1.28
	ACCOUNT #: 00551333364	BUY 0 Units @0.0000						
01/02/2018	***-**-7892 - GORCZYNSKI, LISA	PUTNAM UTILITIES GR & INC-B	0.00	5.17	0.00	5.17	88.0	4.55
	ACCOUNT #: 00551338349	BUY 0 Units @0.0000						
01/02/2018	***-**-54IN - THIBAUT, MS	PUTNAM UTILITIES GR & INC-B	0.00	0.60	0.00	0.60	88.0	0.53
	ACCOUNT #: 00551358602	BUY 0 Units @0.0000						
01/02/2018	***-**-05UT - MISHLANIE CUST,	PUTNAM UTILITIES GR & INC-B	0.00	1.43	0.00	1.43	88.0	1.26
	ACCOUNT #: 00551376948	BUY 0 Units @0.0000						
01/02/2018	***-**-924J - FISH, ROY	PUTNAM UTILITIES GR & INC-B	0.00	1.32	0.00	1.32	88.0	1.16
	ACCOUNT #: 00551401046	BUY 0 Units @0.0000						
01/22/2018	***-**-753I - SABANOSH, ALAN	RESOURCE REAL ESTATE TRAILS	0.00	17.64	0.00	17.64	88.0	15.52
	ACCOUNT #: 20022581	BUY 0 Units @0.0000						
01/22/2018	***-**-61IN - FILEY, JOHN	RESOURCE REAL ESTATE TRAILS	0.00	8.53	0.00	8.53	88.0	7.51
		BUY 0 Units @0.0000						
01/22/2018	***-**-60IN - SCHRADER, KEVIN	RESOURCE REAL ESTATE TRAILS	0.00	13.47	0.00	13.47	88.0	11.85
	ACCOUNT #: 20021808	BUY 0 Units @0.0000						
01/22/2018	***-**-621I - DANIELS SR, JOHN	RESOURCE REAL ESTATE TRAILS	0.00	10.11	0.00	10.11	88.0	8.90
	ACCOUNT #: 20022107	BUY 0 Units @0.0000						



# COMMISSION STATEMENT

January 22, 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>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b>								
01/22/2018	***-**-01IN - HAGAN III, ACCOUNT #: 20022138	RESOURCE REAL ESTATE TRAILS BUY 0 Units @0.0000	0.00	17.43	0.00	17.43	88.0	15.34
01/22/2018	***-**-034J - NIKODEM, JOSEPH	RESOURCE REAL ESTATE TRAILS BUY 0 Units @0.0000	0.00	17.43	0.00	17.43	88.0	15.34
01/22/2018	***-**-034J - NIKODEM, JOSEPH	RESOURCE REAL ESTATE TRAILS BUY 0 Units @0.0000	0.00	22.04	0.00	22.04	88.0	19.40
01/22/2018	***-**-804I - RIEBEN, ANNE ACCOUNT #: LSR010877	RESOURCE REAL ESTATE-NFS BUY 1 Units @0.0000	0.00	6.97	0.00	6.97	88.0	6.13
01/22/2018	***-**-423I - SAVICKI, RICHARD ACCOUNT #: LSR010889	RESOURCE REAL ESTATE-NFS BUY 1 Units @0.0000	0.00	6.87	0.00	6.87	88.0	6.05
01/22/2018	***-**-423J - SAVICKI, RICHARD ACCOUNT #: LSR010893	RESOURCE REAL ESTATE-NFS BUY 1 Units @0.0000	0.00	7.41	0.00	7.41	88.0	6.52
01/22/2018	***-**-077O - GAUTHIER, LOUIS ACCOUNT #: LSR010905	RESOURCE REAL ESTATE-NFS BUY 1 Units @0.0000	0.00	6.30	0.00	6.30	88.0	5.54
01/22/2018	***-**-924J - FISH, ROY ACCOUNT #: LSR010906	RESOURCE REAL ESTATE-NFS BUY 1 Units @0.0000	0.00	8.79	0.00	8.79	88.0	7.74
01/22/2018	***-**-753I - SABANOSH, ALAN ACCOUNT #: LSR010909	RESOURCE REAL ESTATE-NFS BUY 1 Units @0.0000	0.00	9.50	0.00	9.50	88.0	8.36
01/22/2018	***-**-53TR - SABANOSH, ALAN R ACCOUNT #: LSR010917	RESOURCE REAL ESTATE-NFS BUY 1 Units @0.0000	0.00	9.50	0.00	9.50	88.0	8.36
01/22/2018	***-**-231J - MISHLANIE JR, ACCOUNT #: LSR010927	RESOURCE REAL ESTATE-NFS BUY 1 Units @0.0000	0.00	4.48	0.00	4.48	88.0	3.94
01/22/2018	***-**-522J - RIEBEN, HENRY ACCOUNT #: LSR010938	RESOURCE REAL ESTATE-NFS BUY 1 Units @0.0000	0.00	16.95	0.00	16.95	88.0	14.92
01/22/2018	***-**-467I - PICKARD, BRIAN ACCOUNT #: LSR010944	RESOURCE REAL ESTATE-NFS BUY 1 Units @0.0000	0.00	6.30	0.00	6.30	88.0	5.54
01/22/2018	***-**-24TR - SCOTELLARO, L ACCOUNT #: LSR010973	RESOURCE REAL ESTATE-NFS BUY 1 Units @0.0000	0.00	11.03	0.00	11.03	88.0	9.71
01/22/2018	***-**-08TR - SCOTELLARO III, ACCOUNT #: LSR010975	RESOURCE REAL ESTATE-NFS BUY 1 Units @0.0000	0.00	6.33	0.00	6.33	88.0	5.57
01/22/2018	***-**-474J - HAGAN JR, ACCOUNT #: LSR010993	RESOURCE REAL ESTATE-NFS BUY 1 Units @0.0000	0.00	9.46	0.00	9.46	88.0	8.32



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<b>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b>								
01/22/2018	***-**-319I - HILLEBRAND, JOAN	RESOURCE REAL ESTATE-NFS	0.00	6.97	0.00	6.97	88.0	6.13
	ACCOUNT #: LSR011002	BUY 1 Units @0.0000						
01/22/2018	***-**-609J - CADY, PATRICK	RESOURCE REAL ESTATE-NFS	0.00	2.03	0.00	2.03	88.0	1.79
	ACCOUNT #: LSR011123	BUY 1 Units @0.0000						
01/22/2018	***-**-698J - FEISTHAMEL, MR	RESOURCE REAL ESTATE-NFS	0.00	8.18	0.00	8.18	88.0	7.20
	ACCOUNT #: LSR011137	BUY 1 Units @0.0000						
01/22/2018	***-**-05IN - HULL, JEFFERY	RESOURCE REAL ESTATE-NFS	0.00	7.92	0.00	7.92	88.0	6.97
	ACCOUNT #: LSR011187	BUY 1 Units @0.0000						
01/22/2018	***-**-41TR - DAMSKY, BARRY	RESOURCE REAL ESTATE-NFS	0.00	4.43	0.00	4.43	88.0	3.90
	ACCOUNT #: LSR011340	BUY 1 Units @0.0000						
01/22/2018	***-**-05IR - HULL, JEFF	RESOURCE REAL ESTATE-NFS	0.00	5.11	0.00	5.11	88.0	4.50
	ACCOUNT #: LSR011534	BUY 1 Units @0.0000						
01/22/2018	***-**-901O - DRUMM, LOIS	RESOURCE REAL ESTATE-NFS	0.00	6.93	0.00	6.93	88.0	6.10
	ACCOUNT #: LSR011609	BUY 1 Units @0.0000						
01/22/2018	***-**-49IN - SCOTELLARO III,	RESOURCE REAL ESTATE-NFS	0.00	3.81	0.00	3.81	88.0	3.35
	ACCOUNT #: LSR011680	BUY 1 Units @0.0000						
01/22/2018	***-**-61IN - FILEY, JOHN	RESOURCE REAL ESTATE-NFS	0.00	0.71	0.00	0.71	88.0	0.62
	ACCOUNT #: LSR011723	BUY 1 Units @0.0000						
01/22/2018	***-**-718J - LOWE, GREGORY	RESOURCE REAL ESTATE-NFS	0.00	4.80	0.00	4.80	88.0	4.22
	ACCOUNT #: LSR011914	BUY 1 Units @0.0000						
01/22/2018	***-**-14TR - THE KALAMAS,	RESOURCE REAL ESTATE-NFS	0.00	3.80	0.00	3.80	88.0	3.34
	ACCOUNT #: LSR012226	BUY 1 Units @0.0000						
01/22/2018	***-**-804I - RIEBEN, ANNE	RESOURCE REAL ESTATE-NFS	0.00	2.32	0.00	2.32	88.0	2.04
	ACCOUNT #: LSR010877	BUY 1 Units @0.0000						
01/22/2018	***-**-423I - SAVICKI, RICHARD	RESOURCE REAL ESTATE-NFS	0.00	2.29	0.00	2.29	88.0	2.02
	ACCOUNT #: LSR010889	BUY 1 Units @0.0000						
01/22/2018	***-**-423J - SAVICKI, RICHARD	RESOURCE REAL ESTATE-NFS	0.00	2.47	0.00	2.47	88.0	2.17
	ACCOUNT #: LSR010893	BUY 1 Units @0.0000						
01/22/2018	***-**-077O - GAUTHIER, LOUIS	RESOURCE REAL ESTATE-NFS	0.00	2.10	0.00	2.10	88.0	1.85
	ACCOUNT #: LSR010905	BUY 1 Units @0.0000						
01/22/2018	***-**-924J - FISH, ROY	RESOURCE REAL ESTATE-NFS	0.00	2.93	0.00	2.93	88.0	2.58
	ACCOUNT #: LSR010906	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>								
01/22/2018	***-**-753I - SABANOSH, ALAN	RESOURCE REAL ESTATE-NFS	0.00	3.17	0.00	3.17	88.0	2.79
	ACCOUNT #: LSR010909	BUY 1 Units @0.0000						
01/22/2018	***-**-53TR - SABANOSH, ALAN R	RESOURCE REAL ESTATE-NFS	0.00	3.17	0.00	3.17	88.0	2.79
	ACCOUNT #: LSR010917	BUY 1 Units @0.0000						
01/22/2018	***-**-231J - MISHLANIE JR,	RESOURCE REAL ESTATE-NFS	0.00	1.49	0.00	1.49	88.0	1.31
	ACCOUNT #: LSR010927	BUY 1 Units @0.0000						
01/22/2018	***-**-522J - RIEBEN, HENRY	RESOURCE REAL ESTATE-NFS	0.00	5.65	0.00	5.65	88.0	4.97
	ACCOUNT #: LSR010938	BUY 1 Units @0.0000						
01/22/2018	***-**-467I - PICKARD, BRIAN	RESOURCE REAL ESTATE-NFS	0.00	2.10	0.00	2.10	88.0	1.85
	ACCOUNT #: LSR010944	BUY 1 Units @0.0000						
01/22/2018	***-**-24TR - SCOTELLARO, L	RESOURCE REAL ESTATE-NFS	0.00	3.68	0.00	3.68	88.0	3.24
	ACCOUNT #: LSR010973	BUY 1 Units @0.0000						
01/22/2018	***-**-08TR - SCOTELLARO III,	RESOURCE REAL ESTATE-NFS	0.00	2.11	0.00	2.11	88.0	1.86
	ACCOUNT #: LSR010975	BUY 1 Units @0.0000						
01/22/2018	***-**-474J - HAGAN JR,	RESOURCE REAL ESTATE-NFS	0.00	3.15	0.00	3.15	88.0	2.77
	ACCOUNT #: LSR010993	BUY 1 Units @0.0000						
01/22/2018	***-**-319I - HILLEBRAND, JOAN	RESOURCE REAL ESTATE-NFS	0.00	2.32	0.00	2.32	88.0	2.04
	ACCOUNT #: LSR011002	BUY 1 Units @0.0000						
01/22/2018	***-**-609J - CADY, PATRICK	RESOURCE REAL ESTATE-NFS	0.00	0.68	0.00	0.68	88.0	0.60
	ACCOUNT #: LSR011123	BUY 1 Units @0.0000						
01/22/2018	***-**-698J - FEISTHAMEL, MR	RESOURCE REAL ESTATE-NFS	0.00	2.73	0.00	2.73	88.0	2.40
	ACCOUNT #: LSR011137	BUY 1 Units @0.0000						
01/22/2018	***-**-05IN - HULL, JEFFERY	RESOURCE REAL ESTATE-NFS	0.00	2.64	0.00	2.64	88.0	2.32
	ACCOUNT #: LSR011187	BUY 1 Units @0.0000						
01/22/2018	***-**-41TR - DAMSKY, BARRY	RESOURCE REAL ESTATE-NFS	0.00	1.48	0.00	1.48	88.0	1.30
	ACCOUNT #: LSR011340	BUY 1 Units @0.0000						
01/22/2018	***-**-05IR - HULL, JEFF	RESOURCE REAL ESTATE-NFS	0.00	1.70	0.00	1.70	88.0	1.50
	ACCOUNT #: LSR011534	BUY 1 Units @0.0000						
01/22/2018	***-**-901O - DRUMM, LOIS	RESOURCE REAL ESTATE-NFS	0.00	2.31	0.00	2.31	88.0	2.03
	ACCOUNT #: LSR011609	BUY 1 Units @0.0000						
01/22/2018	***-**-49IN - SCOTELLARO III,	RESOURCE REAL ESTATE-NFS	0.00	1.27	0.00	1.27	88.0	1.12
	ACCOUNT #: LSR011680	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>								
01/22/2018	***-**-61IN - FILEY, JOHN ACCOUNT #: LSR011723	RESOURCE REAL ESTATE-NFS BUY 1 Units @0.0000	0.00	0.24	0.00	0.24	88.0	0.21
01/22/2018	***-**-718J - LOWE, GREGORY ACCOUNT #: LSR011914	RESOURCE REAL ESTATE-NFS BUY 1 Units @0.0000	0.00	1.60	0.00	1.60	88.0	1.41
01/22/2018	***-**-14TR - THE KALAMAS, ACCOUNT #: LSR012226	RESOURCE REAL ESTATE-NFS BUY 1 Units @0.0000	0.00	1.27	0.00	1.27	88.0	1.12
01/22/2018	***-**-22IN - GRACIE, JULIA ACCOUNT #: LSR011019	RESOURCE REAL ESTATES-NFS BUY 1 Units @0.0000	0.00	2.74	0.00	2.74	88.0	2.41
01/22/2018	***-**-80IN - GRIFFITH, DAVID ACCOUNT #: LSF000286	SMALLCAP WORLD FUND-A BUY 1 Units @0.0000	0.00	6.30	0.00	6.30	88.0	5.54
01/22/2018	***-**-580I - GRIFFITH, DAVID ACCOUNT #: LSF000295	SMALLCAP WORLD FUND-A BUY 1 Units @0.0000	0.00	1.50	0.00	1.50	88.0	1.32
01/22/2018	***-**-522I - RIEBEN, HENRY ACCOUNT #: LSR010964	SMALLCAP WORLD FUND-A BUY 1 Units @0.0000	0.00	0.69	0.00	0.69	88.0	0.61
01/22/2018	***-**-21IN - DANIELS, JOHN ACCOUNT #: LSR010967	SMALLCAP WORLD FUND-A BUY 1 Units @0.0000	0.00	1.18	0.00	1.18	88.0	1.04
01/22/2018	***-**-24TR - SCOTELLARO, L ACCOUNT #: LSR010973	SMALLCAP WORLD FUND-A BUY 1 Units @0.0000	0.00	1.54	0.00	1.54	88.0	1.36
01/22/2018	***-**-803J - TEESDALE, ACCOUNT #: LSR011017	SMALLCAP WORLD FUND-A BUY 1 Units @0.0000	0.00	0.35	0.00	0.35	88.0	0.31
01/22/2018	***-**-22IN - GRACIE, JULIA ACCOUNT #: LSR011019	SMALLCAP WORLD FUND-A BUY 1 Units @0.0000	0.00	2.02	0.00	2.02	88.0	1.78
01/22/2018	***-**-661I - GORCZYNSKI, ACCOUNT #: LSR011221	SMALLCAP WORLD FUND-A BUY 1 Units @0.0000	0.00	4.04	0.00	4.04	88.0	3.56
01/22/2018	***-**-469I - HAUCK, JUDITH ACCOUNT #: LSR011739	SMALLCAP WORLD FUND-A BUY 1 Units @0.0000	0.00	0.70	0.00	0.70	88.0	0.62
01/22/2018	***-**-656I - SMOLA, STANLEY ACCOUNT #: LSR010868	SMALLCAP WORLD FUND-F1 BUY 1 Units @0.0000	0.00	1.96	0.00	1.96	88.0	1.72
01/22/2018	***-**-80IN - GRIFFITH, DAVID ACCOUNT #: LSF000286	THE GROWTH FUND OF AMERICA-A BUY 1 Units @0.0000	0.00	1.78	0.00	1.78	88.0	1.57
01/22/2018	***-**-29IO - LORUSSO, VINCENT ACCOUNT #: LSR011681	THE GROWTH FUND OF AMERICA-C BUY 1 Units @0.0000	0.00	7.06	0.00	7.06	88.0	6.21



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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>								
01/22/2018	***-**-90IN - PICKARD, KAREN	THE GROWTH FUND OF AMERICA-C	0.00	10.83	0.00	10.83	88.0	9.53
	ACCOUNT #: LSR011687	BUY 1 Units @0.0000						
01/02/2018	***-**-794I - INGERSOLL, JOAN	THE HARTFORD EQUITY INCOME FUND - A	0.00	0.61	0.00	0.61	88.0	0.54
	ACCOUNT #: 00000871758	BUY 0 Units @0.0000						
01/02/2018	***-**-015P - SABANOSH, SHERYL	THE HARTFORD FLOATING RATE FUND - A	0.00	0.33	0.00	0.33	88.0	0.29
	ACCOUNT #: 00000856950	BUY 0 Units @0.0000						
01/02/2018	***-**-015P - SABANOSH, SHERYL	THE HARTFORD GLOBAL HEALTH FUND-A	0.00	0.89	0.00	0.89	88.0	0.78
	ACCOUNT #: 00000856950	BUY 0 Units @0.0000						
01/02/2018	***-**-015P - SABANOSH, SHERYL	THE HARTFORD VALUE OPPORTUNITIES FD	0.00	0.65	0.00	0.65	88.0	0.57
	ACCOUNT #: 00000856950	BUY 0 Units @0.0000						
01/22/2018	***-**-21IN - DANIELS, JOHN	THE INCOME FUND OF AMERICA-A	0.00	3.79	0.00	3.79	88.0	3.34
	ACCOUNT #: LSR010967	BUY 1 Units @0.0000						
01/22/2018	***-**-24TR - SCOTELLARO, L	THE INCOME FUND OF AMERICA-A	0.00	4.70	0.00	4.70	88.0	4.14
	ACCOUNT #: LSR010973	BUY 1 Units @0.0000						
01/22/2018	***-**-474J - HAGAN JR,	THE INCOME FUND OF AMERICA-A	0.00	3.34	0.00	3.34	88.0	2.94
	ACCOUNT #: LSR010993	BUY 1 Units @0.0000						
01/22/2018	***-**-803J - TEESDALE,	THE INCOME FUND OF AMERICA-A	0.00	0.35	0.00	0.35	88.0	0.31
	ACCOUNT #: LSR011017	BUY 1 Units @0.0000						
01/22/2018	***-**-698J - FEISTHAMEL, MR	THE INCOME FUND OF AMERICA-A	0.00	1.62	0.00	1.62	88.0	1.43
	ACCOUNT #: LSR011137	BUY 1 Units @0.0000						
01/22/2018	***-**-661I - GORCZYNSKI,	THE INCOME FUND OF AMERICA-A	0.00	2.26	0.00	2.26	88.0	1.99
	ACCOUNT #: LSR011221	BUY 1 Units @0.0000						
01/22/2018	***-**-469I - HAUCK, JUDITH	THE INCOME FUND OF AMERICA-A	0.00	1.80	0.00	1.80	88.0	1.58
	ACCOUNT #: LSR011739	BUY 1 Units @0.0000						
01/22/2018	***-**-656I - SMOLA, STANLEY	THE INCOME FUND OF AMERICA-F1	0.00	1.45	0.00	1.45	88.0	1.28
	ACCOUNT #: LSR010868	BUY 1 Units @0.0000						
01/22/2018	***-**-661I - GORCZYNSKI,	THE NEW ECONOMY FUND-A	0.00	3.56	0.00	3.56	88.0	3.13
	ACCOUNT #: LSR011221	BUY 1 Units @0.0000						
01/22/2018	***-**-474J - HAGAN JR,	WASHINGTON MUTUAL INVESTORS FUND-C	0.00	25.56	0.00	25.56	88.0	22.49
	ACCOUNT #: LSR010993	BUY 1 Units @0.0000						
<b>* MUTUAL FUND 12B1 TRAILS SUBTOTAL *</b>			<b>\$18.04</b>	<b>\$1,703.36</b>	<b>\$0.00</b>	<b>\$1,703.36</b>		<b>\$1,499.08</b>
<b>*** BROKER TRANSACTIONS TOTAL ***</b>			<b>\$76,378.66</b>	<b>\$4,854.82</b>	<b>\$53.00</b>	<b>\$4,801.82</b>		<b>\$4,225.73</b>



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<b><u> OVERRIDE TRANSACTIONS </u></b>								
<b><u>BROKER: KURT GRUENEWALD</u></b>								
01/02/2018	***-**-91UT - BYWATER, CAROLYN	37252M108	0.00	0.73	0.00	0.73	88.0	0.64
	ACCOUNT #: 00234174436	BUY 0 Units @0.0000						
01/02/2018	***-**-79UT - BYWATER,	37252M108	0.00	0.75	0.00	0.75	88.0	0.66
	ACCOUNT #: 00234227769	BUY 0 Units @0.0000						
01/16/2018	***-**-71IO - FAMOLARO, JAMES	AIM GLOBAL VALUE FUND - CLASS A	0.00	0.34	0.00	0.34	88.0	0.30
	ACCOUNT #: LSR011279	BUY 1 Units @0.0000						
01/16/2018	***-**-306X - COBB, CHERRYL	AIM GOLD & PRECIOUS METALS FD - A	0.00	0.77	0.00	0.77	88.0	0.68
	ACCOUNT #: LSR011037	BUY 1 Units @0.0000						
01/16/2018	***-**-580X - COBB, JAMES	AIM GOLD & PRECIOUS METALS FD - A	0.00	0.70	0.00	0.70	88.0	0.62
	ACCOUNT #: LSR011040	BUY 1 Units @0.0000						
01/16/2018	***-**-837O - BASEMENT	AIM GOLD & PRECIOUS METALS FD - A	0.00	2.06	0.00	2.06	88.0	1.81
	ACCOUNT #: LSR011046	BUY 1 Units @0.0000						
01/16/2018	***-**-5375 - CARTER, LISA	AMERICAN BALANCED FUND-529C	300.00	3.00	0.00	3.00	88.0	2.64
	ACCOUNT #: 00083996363	BUY 11 Units @27.6600						
01/08/2018	***-**-480J - EVANS, RICHARD	AMERICAN BALANCED FUND-A	100.00	4.25	0.00	4.25	88.0	3.74
	ACCOUNT #: 00073288662	BUY 3 Units @28.9900						
01/22/2018	***-**-680I - HARRELL, DARYL	AMERICAN BALANCED FUND-A	0.00	0.89	0.00	0.89	88.0	0.78
	ACCOUNT #: LSR011321	BUY 1 Units @0.0000						
01/22/2018	***-**-30TR - AND SANDRA	AMERICAN BALANCED FUND-A	0.00	2.88	0.00	2.88	88.0	2.53
	ACCOUNT #: LSR011939	BUY 1 Units @0.0000						
01/22/2018	***-**-761I - EVANS, DOLORES	AMERICAN BALANCED FUND-C	0.00	15.26	0.00	15.26	88.0	13.43
	ACCOUNT #: LSR011024	BUY 1 Units @0.0000						
01/22/2018	***-**-094I - KATRENA L	AMERICAN BALANCED FUND-C	0.00	3.85	0.00	3.85	88.0	3.39
	ACCOUNT #: LSR011188	BUY 1 Units @0.0000						
01/22/2018	***-**-52IO - EUSEPI, SUSAN	AMERICAN BALANCED FUND-C	0.00	5.19	0.00	5.19	88.0	4.57
	ACCOUNT #: LSR011219	BUY 1 Units @0.0000						
01/22/2018	***-**-80IO - EVANS, RICHARD	AMERICAN BALANCED FUND-C	0.00	15.49	0.00	15.49	88.0	13.63
	ACCOUNT #: LSR011276	BUY 1 Units @0.0000						
01/22/2018	***-**-881I - EBERLEY, SUSAN	AMERICAN FUNDS BALANCED PORT CL C	0.00	8.74	0.00	8.74	88.0	7.69
	ACCOUNT #: LSR010858	BUY 1 Units @0.0000						
01/22/2018	***-**-382K - SATTERLY, NEIL	AMERICAN FUNDS BALANCED PORT CL C	0.00	4.44	0.00	4.44	88.0	3.91
	ACCOUNT #: LSR010875	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>								
01/22/2018	***-**-949I - ACEE, JOSPEH ACCOUNT #: LSR010908	AMERICAN FUNDS BALANCED PORT CL C BUY 1 Units @0.0000	0.00	3.64	0.00	3.64	88.0	3.20
01/22/2018	***-**-48IO - CLARK, PATRICK ACCOUNT #: LSR010911	AMERICAN FUNDS BALANCED PORT CL C BUY 1 Units @0.0000	0.00	22.46	0.00	22.46	88.0	19.76
01/22/2018	***-**-31IO - HARTZ, CLAUDIA ACCOUNT #: LSR010915	AMERICAN FUNDS BALANCED PORT CL C BUY 1 Units @0.0000	0.00	6.27	0.00	6.27	88.0	5.52
01/22/2018	***-**-031O - MCVOY, ROBERT ACCOUNT #: LSR010916	AMERICAN FUNDS BALANCED PORT CL C BUY 1 Units @0.0000	0.00	4.67	0.00	4.67	88.0	4.11
01/22/2018	***-**-15IN - PENDRAK, JOHN ACCOUNT #: LSR010948	AMERICAN FUNDS BALANCED PORT CL C BUY 1 Units @0.0000	0.00	11.92	0.00	11.92	88.0	10.49
01/22/2018	***-**-959I - FRANZ, PAUL ACCOUNT #: LSR010959	AMERICAN FUNDS BALANCED PORT CL C BUY 1 Units @0.0000	0.00	10.48	0.00	10.48	88.0	9.22
01/22/2018	***-**-567I - FRANZ, ALICE ACCOUNT #: LSR010960	AMERICAN FUNDS BALANCED PORT CL C BUY 1 Units @0.0000	0.00	7.04	0.00	7.04	88.0	6.20
01/22/2018	***-**-960J - MASTRANGELO, ACCOUNT #: LSR010966	AMERICAN FUNDS BALANCED PORT CL C BUY 1 Units @0.0000	0.00	11.82	0.00	11.82	88.0	10.40
01/22/2018	***-**-73TR - WESTCOTT IRRVOC ACCOUNT #: LSR011001	AMERICAN FUNDS BALANCED PORT CL C BUY 1 Units @0.0000	0.00	10.00	0.00	10.00	88.0	8.80
01/22/2018	***-**-51IO - CAIN, TIMOTHY ACCOUNT #: LSR011007	AMERICAN FUNDS BALANCED PORT CL C BUY 1 Units @0.0000	0.00	11.77	0.00	11.77	88.0	10.36
01/22/2018	***-**-169I - EVANS, PAUL ACCOUNT #: LSR011026	AMERICAN FUNDS BALANCED PORT CL C BUY 1 Units @0.0000	0.00	6.26	0.00	6.26	88.0	5.51
01/22/2018	***-**-73UT - COBB, CHRSTIAN ACCOUNT #: LSR011104	AMERICAN FUNDS BALANCED PORT CL C BUY 1 Units @0.0000	0.00	5.41	0.00	5.41	88.0	4.76
01/22/2018	***-**-67UT - COBB, ACCOUNT #: LSR011105	AMERICAN FUNDS BALANCED PORT CL C BUY 1 Units @0.0000	0.00	5.41	0.00	5.41	88.0	4.76
01/22/2018	***-**-13IN - RHYMESTINE, ACCOUNT #: LSR011106	AMERICAN FUNDS BALANCED PORT CL C BUY 1 Units @0.0000	0.00	2.58	0.00	2.58	88.0	2.27
01/22/2018	***-**-89IN - LEE, ROGER ACCOUNT #: LSR011166	AMERICAN FUNDS BALANCED PORT CL C BUY 1 Units @0.0000	0.00	7.60	0.00	7.60	88.0	6.69
01/22/2018	***-**-31IO - WILLIAMSON, FBO ACCOUNT #: LSR011172	AMERICAN FUNDS BALANCED PORT CL C BUY 1 Units @0.0000	0.00	16.27	0.00	16.27	88.0	14.32



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<b> OVERRIDE TRANSACTIONS (continued)</b>								
<b> <u>BROKER: KURT GRUENEWALD (continued)</u></b>								
01/22/2018	***-**-64IO - PFAFF, GEORGE ACCOUNT #: LSR011185	AMERICAN FUNDS BALANCED PORT CL C BUY 1 Units @0.0000	0.00	4.99	0.00	4.99	88.0	4.39
01/22/2018	***-**-900J - LEE, MR. ACCOUNT #: LSR011186	AMERICAN FUNDS BALANCED PORT CL C BUY 1 Units @0.0000	0.00	5.15	0.00	5.15	88.0	4.53
01/22/2018	***-**-62IR - ROBBIANO, FBO ACCOUNT #: LSR011195	AMERICAN FUNDS BALANCED PORT CL C BUY 1 Units @0.0000	0.00	3.64	0.00	3.64	88.0	3.20
01/22/2018	***-**-02IN - BUSHEY, MELISSA ACCOUNT #: LSR011257	AMERICAN FUNDS BALANCED PORT CL C BUY 1 Units @0.0000	0.00	3.66	0.00	3.66	88.0	3.22
01/22/2018	***-**-653I - KOCHER, CLINTON ACCOUNT #: LSR011300	AMERICAN FUNDS BALANCED PORT CL C BUY 1 Units @0.0000	0.00	3.70	0.00	3.70	88.0	3.26
01/22/2018	***-**-702I - KOCHER, MICHAEL ACCOUNT #: LSR010954	AMERICAN FUNDS BLNCD PORTFOLIO CL A BUY 1 Units @0.0000	0.00	4.13	0.00	4.13	88.0	3.63
01/22/2018	***-**-366I - GRUENEWALD, ACCOUNT #: LSR010989	AMERICAN FUNDS BLNCD PORTFOLIO CL A BUY 1 Units @0.0000	0.00	1.98	0.00	1.98	88.0	1.74
01/22/2018	***-**-579J - RHYMESTINE, ACCOUNT #: LSR011081	AMERICAN FUNDS BLNCD PORTFOLIO CL A BUY 1 Units @0.0000	0.00	0.80	0.00	0.80	88.0	0.70
01/22/2018	***-**-808J - GORMAN, RANDY ACCOUNT #: LSR011087	AMERICAN FUNDS BLNCD PORTFOLIO CL A BUY 1 Units @0.0000	0.00	0.25	0.00	0.25	88.0	0.22
01/22/2018	***-**-326I - GRANDE, FBO MR ACCOUNT #: LSR011091	AMERICAN FUNDS BLNCD PORTFOLIO CL A BUY 1 Units @0.0000	0.00	2.24	0.00	2.24	88.0	1.97
01/22/2018	***-**-62IR - ROBBIANO, FBO ACCOUNT #: LSR011195	AMERICAN FUNDS GLBL GROWTH PORT CL BUY 1 Units @0.0000	0.00	3.32	0.00	3.32	88.0	2.92
01/22/2018	***-**-87IN - HINCKLEY, ACCOUNT #: LSR010834	AMERICAN FUNDS MORTGAGE FD CL C BUY 1 Units @0.0000	0.00	6.65	0.00	6.65	88.0	5.85
01/22/2018	***-**-287J - HINCKLEY, ACCOUNT #: LSR010841	AMERICAN FUNDS MORTGAGE FD CL C BUY 1 Units @0.0000	0.00	8.33	0.00	8.33	88.0	7.33
01/22/2018	***-**-881I - EBERLEY, SUSAN ACCOUNT #: LSR010858	AMERICAN FUNDS MORTGAGE FD CL C BUY 1 Units @0.0000	0.00	7.45	0.00	7.45	88.0	6.56
01/22/2018	***-**-382I - SATTERLY, NEIL ACCOUNT #: LSR010867	AMERICAN FUNDS MORTGAGE FD CL C BUY 1 Units @0.0000	0.00	8.67	0.00	8.67	88.0	7.63
01/22/2018	***-**-980I - ACEE, ELIZABETH ACCOUNT #: LSR010885	AMERICAN FUNDS MORTGAGE FD CL C BUY 1 Units @0.0000	0.00	13.13	0.00	13.13	88.0	11.55



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<b><u> OVERRIDE TRANSACTIONS (continued) </u></b>								
<b><u> BROKER: KURT GRUENEWALD (continued) </u></b>								
01/22/2018	***-**-48IO - CLARK, PATRICK ACCOUNT #: LSR010911	AMERICAN FUNDS MORTGAGE FD CL C BUY 1 Units @0.0000	0.00	13.03	0.00	13.03	88.0	11.47
01/22/2018	***-**-31IO - HARTZ, CLAUDIA ACCOUNT #: LSR010915	AMERICAN FUNDS MORTGAGE FD CL C BUY 1 Units @0.0000	0.00	5.02	0.00	5.02	88.0	4.42
01/22/2018	***-**-72IN - GAVALO, JULIE ACCOUNT #: LSR010921	AMERICAN FUNDS MORTGAGE FD CL C BUY 1 Units @0.0000	0.00	13.09	0.00	13.09	88.0	11.52
01/22/2018	***-**-959I - FRANZ, PAUL ACCOUNT #: LSR010959	AMERICAN FUNDS MORTGAGE FD CL C BUY 1 Units @0.0000	0.00	10.47	0.00	10.47	88.0	9.21
01/22/2018	***-**-065I - LAZIO, THOMAS ACCOUNT #: LSR010979	AMERICAN FUNDS MORTGAGE FD CL C BUY 1 Units @0.0000	0.00	8.69	0.00	8.69	88.0	7.65
01/22/2018	***-**-80IN - COBB, JAMES ACCOUNT #: LSR011042	AMERICAN FUNDS MORTGAGE FD CL C BUY 1 Units @0.0000	0.00	8.65	0.00	8.65	88.0	7.61
01/22/2018	***-**-00IO - LEE, GARY ACCOUNT #: LSR011059	AMERICAN FUNDS MORTGAGE FD CL C BUY 1 Units @0.0000	0.00	8.77	0.00	8.77	88.0	7.72
01/22/2018	***-**-44IO - MAYO, DEBORAH ACCOUNT #: LSR011079	AMERICAN FUNDS MORTGAGE FD CL C BUY 1 Units @0.0000	0.00	13.02	0.00	13.02	88.0	11.46
01/22/2018	***-**-579J - RHYMESTINE, ACCOUNT #: LSR011081	AMERICAN FUNDS MORTGAGE FD CL C BUY 1 Units @0.0000	0.00	8.61	0.00	8.61	88.0	7.58
01/22/2018	***-**-09IO - BATES, FBO MRS ACCOUNT #: LSR011117	AMERICAN FUNDS MORTGAGE FD CL C BUY 1 Units @0.0000	0.00	22.43	0.00	22.43	88.0	19.74
01/22/2018	***-**-48IO - ANACKER, FBO MRS ACCOUNT #: LSR011164	AMERICAN FUNDS MORTGAGE FD CL C BUY 1 Units @0.0000	0.00	6.53	0.00	6.53	88.0	5.75
01/22/2018	***-**-89IN - LEE, ROGER ACCOUNT #: LSR011166	AMERICAN FUNDS MORTGAGE FD CL C BUY 1 Units @0.0000	0.00	14.10	0.00	14.10	88.0	12.41
01/22/2018	***-**-094I - KATRENA L ACCOUNT #: LSR011188	AMERICAN FUNDS MORTGAGE FD CL C BUY 1 Units @0.0000	0.00	3.04	0.00	3.04	88.0	2.68
01/22/2018	***-**-439J - MCCARTHY, JAMES ACCOUNT #: LSR011205	AMERICAN FUNDS MORTGAGE FD CL C BUY 1 Units @0.0000	0.00	2.54	0.00	2.54	88.0	2.24
01/22/2018	***-**-52IO - EUSEPI, SUSAN ACCOUNT #: LSR011219	AMERICAN FUNDS MORTGAGE FD CL C BUY 1 Units @0.0000	0.00	3.01	0.00	3.01	88.0	2.65
01/22/2018	***-**-473J - HUSTON, ACCOUNT #: LSR011228	AMERICAN FUNDS MORTGAGE FD CL C BUY 1 Units @0.0000	0.00	8.73	0.00	8.73	88.0	7.68



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<b><u> OVERRIDE TRANSACTIONS (continued) </u></b>								
<b><u> BROKER: KURT GRUENEWALD (continued) </u></b>								
01/22/2018	***-**-80IO - EVANS, RICHARD ACCOUNT #: LSR011276	AMERICAN FUNDS MORTGAGE FD CL C BUY 1 Units @0.0000	0.00	6.91	0.00	6.91	88.0	6.08
01/22/2018	***-**-376I - BERBEN, GAIL ACCOUNT #: LSR011380	AMERICAN FUNDS MORTGAGE FD CL C BUY 1 Units @0.0000	0.00	8.48	0.00	8.48	88.0	7.46
01/22/2018	***-**-21IO - RADELL, SANDRA ACCOUNT #: LSR011392	AMERICAN FUNDS MORTGAGE FD CL C BUY 1 Units @0.0000	0.00	8.46	0.00	8.46	88.0	7.44
01/22/2018	***-**-45IO - JOHNSON, GREGORY ACCOUNT #: LSR011421	AMERICAN FUNDS MORTGAGE FD CL C BUY 1 Units @0.0000	0.00	16.93	0.00	16.93	88.0	14.90
01/22/2018	***-**-420T - DEMETRI, AMELIA ACCOUNT #: LSR010994	AMERICAN FUNDS PRESERVATION PORT C BUY 1 Units @0.0000	0.00	4.26	0.00	4.26	88.0	3.75
01/22/2018	***-**-881J - EBERLEY, SUSAN ACCOUNT #: LSR010856	AMERICAN GLOBAL BALANCED CL C BUY 1 Units @0.0000	0.00	9.44	0.00	9.44	88.0	8.31
01/22/2018	***-**-382I - SATTERLY, NEIL ACCOUNT #: LSR010867	AMERICAN GLOBAL BALANCED CL C BUY 1 Units @0.0000	0.00	11.43	0.00	11.43	88.0	10.06
01/22/2018	***-**-382K - SATTERLY, NEIL ACCOUNT #: LSR010875	AMERICAN GLOBAL BALANCED CL C BUY 1 Units @0.0000	0.00	4.23	0.00	4.23	88.0	3.72
01/22/2018	***-**-980I - ACEE, ELIZABETH ACCOUNT #: LSR010885	AMERICAN GLOBAL BALANCED CL C BUY 1 Units @0.0000	0.00	14.29	0.00	14.29	88.0	12.58
01/22/2018	***-**-48IO - CLARK, PATRICK ACCOUNT #: LSR010911	AMERICAN GLOBAL BALANCED CL C BUY 1 Units @0.0000	0.00	11.24	0.00	11.24	88.0	9.89
01/22/2018	***-**-72IN - GAVALO, JULIE ACCOUNT #: LSR010921	AMERICAN GLOBAL BALANCED CL C BUY 1 Units @0.0000	0.00	10.91	0.00	10.91	88.0	9.60
01/22/2018	***-**-065I - LAZIO, THOMAS ACCOUNT #: LSR010979	AMERICAN GLOBAL BALANCED CL C BUY 1 Units @0.0000	0.00	12.74	0.00	12.74	88.0	11.21
01/22/2018	***-**-420T - DEMETRI, AMELIA ACCOUNT #: LSR010994	AMERICAN GLOBAL BALANCED CL C BUY 1 Units @0.0000	0.00	7.04	0.00	7.04	88.0	6.20
01/22/2018	***-**-73TR - WESTCOTT IRRVOC ACCOUNT #: LSR011001	AMERICAN GLOBAL BALANCED CL C BUY 1 Units @0.0000	0.00	14.55	0.00	14.55	88.0	12.80
01/22/2018	***-**-73TR - WESTCOTT IRRVOC ACCOUNT #: LSR011008	AMERICAN GLOBAL BALANCED CL C BUY 1 Units @0.0000	0.00	28.58	0.00	28.58	88.0	25.15
01/22/2018	***-**-80IN - COBB, JAMES ACCOUNT #: LSR011042	AMERICAN GLOBAL BALANCED CL C BUY 1 Units @0.0000	0.00	7.99	0.00	7.99	88.0	7.03



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<b> OVERRIDE TRANSACTIONS (continued) </b>								
<b> <u>BROKER: KURT GRUENEWALD (continued)</u> </b>								
01/22/2018	***-**-00IO - LEE, GARY ACCOUNT #: LSR011059	AMERICAN GLOBAL BALANCED CL C BUY 1 Units @0.0000	0.00	13.32	0.00	13.32	88.0	11.72
01/22/2018	***-**-44IO - MAYO, DEBORAH ACCOUNT #: LSR011079	AMERICAN GLOBAL BALANCED CL C BUY 1 Units @0.0000	0.00	24.00	0.00	24.00	88.0	21.12
01/22/2018	***-**-09IO - BATES, FBO MRS ACCOUNT #: LSR011117	AMERICAN GLOBAL BALANCED CL C BUY 1 Units @0.0000	0.00	16.84	0.00	16.84	88.0	14.82
01/22/2018	***-**-094I - KATRENA L ACCOUNT #: LSR011188	AMERICAN GLOBAL BALANCED CL C BUY 1 Units @0.0000	0.00	7.55	0.00	7.55	88.0	6.64
01/22/2018	***-**-11IO - LYNN G. ACCOUNT #: LSR011239	AMERICAN GLOBAL BALANCED CL C BUY 1 Units @0.0000	0.00	19.34	0.00	19.34	88.0	17.02
01/22/2018	***-**-07IO - FAMOLARO, JAMES ACCOUNT #: LSR011280	AMERICAN GLOBAL BALANCED CL C BUY 1 Units @0.0000	0.00	5.72	0.00	5.72	88.0	5.03
01/22/2018	***-**-376I - BERBEN, GAIL ACCOUNT #: LSR011380	AMERICAN GLOBAL BALANCED CL C BUY 1 Units @0.0000	0.00	17.98	0.00	17.98	88.0	15.82
01/22/2018	***-**-21IO - RADELL, SANDRA ACCOUNT #: LSR011392	AMERICAN GLOBAL BALANCED CL C BUY 1 Units @0.0000	0.00	5.76	0.00	5.76	88.0	5.07
01/22/2018	***-**-45IO - JOHNSON, GREGORY ACCOUNT #: LSR011421	AMERICAN GLOBAL BALANCED CL C BUY 1 Units @0.0000	0.00	21.44	0.00	21.44	88.0	18.87
01/22/2018	***-**-14IO - BUSHEY, MATTHEW ACCOUNT #: LSR011498	AMERICAN GLOBAL BALANCED CL C BUY 1 Units @0.0000	0.00	19.29	0.00	19.29	88.0	16.98
01/22/2018	***-**-37IO - MCCLUSKY, MARK ACCOUNT #: LSR011579	AMERICAN GLOBAL BALANCED CL C BUY 1 Units @0.0000	0.00	9.41	0.00	9.41	88.0	8.28
01/22/2018	***-**-86IN - LEE, KEVIN ACCOUNT #: LSR011613	AMERICAN GLOBAL BALANCED CL C BUY 1 Units @0.0000	0.00	8.40	0.00	8.40	88.0	7.39
01/22/2018	***-**-03IO - MASTRANGELO, ACCOUNT #: LSR011679	AMERICAN GLOBAL BALANCED CL C BUY 1 Units @0.0000	0.00	9.51	0.00	9.51	88.0	8.37
01/22/2018	***-**-702I - KOCHEM, MICHAEL ACCOUNT #: LSR010954	AMERICAN GLOBAL BALANCED CLASS A BUY 1 Units @0.0000	0.00	2.60	0.00	2.60	88.0	2.29
01/22/2018	***-**-63TR - EVANS, AUDREY J ACCOUNT #: LSR011036	AMERICAN GLOBAL BALANCED CLASS A BUY 1 Units @0.0000	0.00	5.99	0.00	5.99	88.0	5.27
01/22/2018	***-**-30TR - AND SANDRA ACCOUNT #: LSR011939	AMERICAN GLOBAL BALANCED CLASS A BUY 1 Units @0.0000	0.00	1.54	0.00	1.54	88.0	1.36



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<b> OVERRIDE TRANSACTIONS (continued)</b>								
<b> BROKER: KURT GRUENEWALD (continued)</b>								
01/22/2018	***-**-287I - HINCKLEY, ACCOUNT #: LSR010843	AMERICAN MUTUAL FUND-A BUY 1 Units @0.0000	0.00	5.60	0.00	5.60	88.0	4.93
01/22/2018	***-**-13IN - GRUENEWALD, ACCOUNT #: LSR011210	AMERICAN WASHINGTON MUTUAL INVESTOR BUY 1 Units @0.0000	0.00	0.33	0.00	0.33	88.0	0.29
01/22/2018	***-**-254I - AUGUSTINE, LINDA ACCOUNT #: LSR010846	CAPITAL INCOME BUILDER CLASS C BUY 1 Units @0.0000	0.00	7.35	0.00	7.35	88.0	6.47
01/22/2018	***-**-881J - EBERLEY, SUSAN ACCOUNT #: LSR010856	CAPITAL INCOME BUILDER CLASS C BUY 1 Units @0.0000	0.00	4.97	0.00	4.97	88.0	4.37
01/22/2018	***-**-382I - SATTERLY, NEIL ACCOUNT #: LSR010867	CAPITAL INCOME BUILDER CLASS C BUY 1 Units @0.0000	0.00	14.89	0.00	14.89	88.0	13.10
01/22/2018	***-**-949I - ACEE, JOSPEH ACCOUNT #: LSR010908	CAPITAL INCOME BUILDER CLASS C BUY 1 Units @0.0000	0.00	4.87	0.00	4.87	88.0	4.29
01/22/2018	***-**-31IO - HARTZ, CLAUDIA ACCOUNT #: LSR010915	CAPITAL INCOME BUILDER CLASS C BUY 1 Units @0.0000	0.00	5.47	0.00	5.47	88.0	4.81
01/22/2018	***-**-15IN - PENDRAK, JOHN ACCOUNT #: LSR010948	CAPITAL INCOME BUILDER CLASS C BUY 1 Units @0.0000	0.00	8.99	0.00	8.99	88.0	7.91
01/22/2018	***-**-959I - FRANZ, PAUL ACCOUNT #: LSR010959	CAPITAL INCOME BUILDER CLASS C BUY 1 Units @0.0000	0.00	12.04	0.00	12.04	88.0	10.60
01/22/2018	***-**-960J - MASTRANGELO, ACCOUNT #: LSR010966	CAPITAL INCOME BUILDER CLASS C BUY 1 Units @0.0000	0.00	9.66	0.00	9.66	88.0	8.50
01/22/2018	***-**-065I - LAZIO, THOMAS ACCOUNT #: LSR010979	CAPITAL INCOME BUILDER CLASS C BUY 1 Units @0.0000	0.00	7.01	0.00	7.01	88.0	6.17
01/22/2018	***-**-51IO - CAIN, TIMOTHY ACCOUNT #: LSR011007	CAPITAL INCOME BUILDER CLASS C BUY 1 Units @0.0000	0.00	7.48	0.00	7.48	88.0	6.58
01/22/2018	***-**-63TR - EVANS, AUDREY J ACCOUNT #: LSR011036	CAPITAL INCOME BUILDER CLASS C BUY 1 Units @0.0000	0.00	5.32	0.00	5.32	88.0	4.68
01/22/2018	***-**-861I - SANGER, LAWRENCE ACCOUNT #: LSR011095	CAPITAL INCOME BUILDER CLASS C BUY 1 Units @0.0000	0.00	1.85	0.00	1.85	88.0	1.63
01/22/2018	***-**-13IN - RHYMESTINE, ACCOUNT #: LSR011106	CAPITAL INCOME BUILDER CLASS C BUY 1 Units @0.0000	0.00	5.84	0.00	5.84	88.0	5.14
01/22/2018	***-**-506J - CURRIERE JR, MR ACCOUNT #: LSR011121	CAPITAL INCOME BUILDER CLASS C BUY 1 Units @0.0000	0.00	3.93	0.00	3.93	88.0	3.46



# COMMISSION STATEMENT

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

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b> OVERRIDE TRANSACTIONS (continued) </b>								
<b> BROKER: KURT GRUENEWALD (continued) </b>								
01/22/2018	***-**-31IO - WILLIAMSON, FBO	CAPITAL INCOME BUILDER CLASS C	0.00	17.34	0.00	17.34	88.0	15.26
	ACCOUNT #: LSR011172	BUY 1 Units @0.0000						
01/22/2018	***-**-62IR - ROBBIANO, FBO	CAPITAL INCOME BUILDER CLASS C	0.00	7.13	0.00	7.13	88.0	6.27
	ACCOUNT #: LSR011195	BUY 1 Units @0.0000						
01/22/2018	***-**-02IN - BUSHEY, MELISSA	CAPITAL INCOME BUILDER CLASS C	0.00	2.92	0.00	2.92	88.0	2.57
	ACCOUNT #: LSR011257	BUY 1 Units @0.0000						
01/22/2018	***-**-287I - HINCKLEY,	CAPITAL INCOME BUILDER-A	0.00	4.28	0.00	4.28	88.0	3.77
	ACCOUNT #: LSR010843	BUY 1 Units @0.0000						
01/22/2018	***-**-702I - KOCHER, MICHAEL	CAPITAL INCOME BUILDER-A	0.00	3.75	0.00	3.75	88.0	3.30
	ACCOUNT #: LSR010954	BUY 1 Units @0.0000						
01/22/2018	***-**-366I - GRUENEWALD,	CAPITAL INCOME BUILDER-A	0.00	2.77	0.00	2.77	88.0	2.44
	ACCOUNT #: LSR010989	BUY 1 Units @0.0000						
01/22/2018	***-**-20IO - DEMETRI, AMELIA	CAPITAL INCOME BUILDER-A	0.00	1.02	0.00	1.02	88.0	0.90
	ACCOUNT #: LSR010995	BUY 1 Units @0.0000						
01/22/2018	***-**-579J - RHYMESTINE,	CAPITAL INCOME BUILDER-A	0.00	2.24	0.00	2.24	88.0	1.97
	ACCOUNT #: LSR011081	BUY 1 Units @0.0000						
01/22/2018	***-**-680I - HARRELL, DARYL	CAPITAL INCOME BUILDER-A	0.00	0.31	0.00	0.31	88.0	0.27
	ACCOUNT #: LSR011321	BUY 1 Units @0.0000						
01/22/2018	***-**-30TR - AND SANDRA	CAPITAL INCOME BUILDER-A	0.00	2.20	0.00	2.20	88.0	1.94
	ACCOUNT #: LSR011939	BUY 1 Units @0.0000						
01/16/2018	***-**-0069 - KRECIDLO,	CAPITAL WORLD GROWTH AND INCOME FUN	75.00	0.75	0.00	0.75	88.0	0.66
	ACCOUNT #: 00083510637	BUY 1 Units @52.5100						
01/16/2018	***-**-2855 - KRECIDLO, MARTA	CAPITAL WORLD GROWTH AND INCOME FUN	75.00	0.75	0.00	0.75	88.0	0.66
	ACCOUNT #: 00083510745	BUY 1 Units @52.5100						
01/16/2018	***-**-680I - HARRELL, DARYL	CAPITAL WORLD GROWTH AND INCOME FUN	50.00	0.50	0.00	0.50	88.0	0.44
	ACCOUNT #: 00083996385	BUY 1 Units @52.5100						
01/22/2018	***-**-702I - KOCHER, MICHAEL	CAPITAL WORLD GROWTH AND INCOME FUN	0.00	3.70	0.00	3.70	88.0	3.26
	ACCOUNT #: LSR010954	BUY 1 Units @0.0000						
01/22/2018	***-**-20IO - DEMETRI, AMELIA	CAPITAL WORLD GROWTH AND INCOME FUN	0.00	1.54	0.00	1.54	88.0	1.36
	ACCOUNT #: LSR010995	BUY 1 Units @0.0000						
01/22/2018	***-**-579J - RHYMESTINE,	CAPITAL WORLD GROWTH AND INCOME FUN	0.00	1.79	0.00	1.79	88.0	1.58
	ACCOUNT #: LSR011081	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>								
01/22/2018	***-**-326J - GRANDE, MR ACCOUNT #: LSR011089	CAPITAL WORLD GROWTH AND INCOME FUN BUY 1 Units @0.0000	0.00	1.42	0.00	1.42	88.0	1.25
01/22/2018	***-**-326I - GRANDE, FBO MR ACCOUNT #: LSR011091	CAPITAL WORLD GROWTH AND INCOME FUN BUY 1 Units @0.0000	0.00	1.54	0.00	1.54	88.0	1.36
01/22/2018	***-**-48IO - ANACKER, FBO MRS ACCOUNT #: LSR011164	CAPITAL WORLD GROWTH AND INCOME FUN BUY 1 Units @0.0000	0.00	1.10	0.00	1.10	88.0	0.97
01/22/2018	***-**-680I - HARRELL, DARYL ACCOUNT #: LSR011321	CAPITAL WORLD GROWTH AND INCOME FUN BUY 1 Units @0.0000	0.00	1.39	0.00	1.39	88.0	1.22
01/22/2018	***-**-128I - BASHANT, THOMAS ACCOUNT #: LSR011387	CAPITAL WORLD GROWTH AND INCOME FUN BUY 1 Units @0.0000	0.00	1.50	0.00	1.50	88.0	1.32
01/22/2018	***-**-30TR - AND SANDRA ACCOUNT #: LSR011939	CAPITAL WORLD GROWTH AND INCOME FUN BUY 1 Units @0.0000	0.00	2.46	0.00	2.46	88.0	2.16
01/22/2018	***-**-09IO - BATES, FBO MRS ACCOUNT #: LSR011117	CAPITAL WORLD GROWTH AND INCOME FUN BUY 1 Units @0.0000	0.00	10.56	0.00	10.56	88.0	9.29
01/22/2018	***-**-11IO - LYNN G. ACCOUNT #: LSR011239	CAPITAL WORLD GROWTH AND INCOME FUN BUY 1 Units @0.0000	0.00	13.91	0.00	13.91	88.0	12.24
01/22/2018	***-**-45IO - JOHNSON, GREGORY ACCOUNT #: LSR011421	CAPITAL WORLD GROWTH AND INCOME FUN BUY 1 Units @0.0000	0.00	7.91	0.00	7.91	88.0	6.96
01/22/2018	***-**-71IO - FAMOLARO, JAMES ACCOUNT #: LSR011279	CLEARBRIDGE AGGRESSIVE GROWTH A BUY 1 Units @0.0000	0.00	0.48	0.00	0.48	88.0	0.42
01/16/2018	***-**-959I - FRANZ, PAUL ACCOUNT #: LSR010959	COLUMBIA MARSICO FOCUSED EQ CL A BUY 1 Units @0.0000	0.00	0.23	0.00	0.23	88.0	0.20
01/11/2018	***-**-37IO - DAVIDSON, ACCOUNT #: LSR012268	EATON VANCE FLOATING RATE ADVANTAGE BUY 459 Units @10.8900	5,000.00	50.00	0.00	50.00	88.0	44.00
01/18/2018	***-**-714O - LINES, JUDITH ACCOUNT #: LSR011763	EATON VANCE FLOATING RATE ADVANTAGE BUY 459 Units @10.9000	5,000.00	50.00	0.00	50.00	88.0	44.00
01/22/2018	***-**-944O - MAYO, DEBORAH ACCOUNT #: 5034930049	EATON VANCE MF TRAILS BUY 0 Units @0.0000	0.00	0.19	0.00	0.19	88.0	0.17
01/22/2018	***-**-944O - MAYO, DEBORAH ACCOUNT #: 5034930049	EATON VANCE MF TRAILS BUY 0 Units @0.0000	0.00	0.24	0.00	0.24	88.0	0.21
01/22/2018	***-**-20IO - DEMETRI, AMELIA ACCOUNT #: LSR010995	EUROPACIFIC GROWTH FUND-A BUY 1 Units @0.0000	0.00	1.58	0.00	1.58	88.0	1.39





# COMMISSION STATEMENT

## January 22, 2018

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<b><u> OVERRIDE TRANSACTIONS (continued) </u></b>								
<b><u> BROKER: KURT GRUENEWALD (continued) </u></b>								
01/22/2018	***-**-326I - GRANDE, FBO MR ACCOUNT #: LSR011091	EUROPACIFIC GROWTH FUND-A BUY 1 Units @0.0000	0.00	1.32	0.00	1.32	88.0	1.16
01/22/2018	***-**-680I - HARRELL, DARYL ACCOUNT #: LSR011321	EUROPACIFIC GROWTH FUND-A BUY 1 Units @0.0000	0.00	0.63	0.00	0.63	88.0	0.55
01/22/2018	***-**-111J - NESSIA, JAMES ACCOUNT #: LSR011054	FIDELITY ADV EMERGING MRKTS INC CL BUY 1 Units @0.0000	0.00	0.80	0.00	0.80	88.0	0.70
01/22/2018	***-**-62IN - EATON, DAVID ACCOUNT #: LSR011315	FIDELITY ADV EMERGING MRKTS INC CL BUY 1 Units @0.0000	0.00	1.23	0.00	1.23	88.0	1.08
01/22/2018	***-**-930I - SANGER, KEVIN ACCOUNT #: LSR010941	FIDELITY ADV EQUITY INCOME CL A BUY 1 Units @0.0000	0.00	2.18	0.00	2.18	88.0	1.92
01/22/2018	***-**-579I - RHYMESTINE, ACCOUNT #: LSR011082	FIDELITY ADV INDUSTRIALS-CL C BUY 1 Units @0.0000	0.00	14.68	0.00	14.68	88.0	12.92
01/22/2018	***-**-579I - RHYMESTINE, ACCOUNT #: LSR011082	FIDELITY ADV SMALL CAP CL C BUY 1 Units @0.0000	0.00	5.85	0.00	5.85	88.0	5.15
01/22/2018	***-**-579I - RHYMESTINE, ACCOUNT #: LSR011082	FIDELITY ADV STOCK SELECTOR ALL CAP BUY 1 Units @0.0000	0.00	4.91	0.00	4.91	88.0	4.32
01/22/2018	***-**-579I - RHYMESTINE, ACCOUNT #: LSR011082	FIDELITY ADVISOR EQUITY INCOME CL C BUY 1 Units @0.0000	0.00	22.42	0.00	22.42	88.0	19.73
01/22/2018	***-**-579I - RHYMESTINE, ACCOUNT #: LSR011082	FIDELITY ADVISOR INT'L DISCOVERY CL BUY 1 Units @0.0000	0.00	16.32	0.00	16.32	88.0	14.36
01/22/2018	***-**-579I - RHYMESTINE, ACCOUNT #: LSR011082	FIDELITY ADVISOR INTERMEDIATE BOND BUY 1 Units @0.0000	0.00	8.42	0.00	8.42	88.0	7.41
01/22/2018	***-**-15IN - PENDRAK, JOHN ACCOUNT #: LSR010948	FIDELITY ADVISOR MORTGAGE SECS CL A BUY 1 Units @0.0000	0.00	2.14	0.00	2.14	88.0	1.88
01/22/2018	***-**-02IN - BUSHEY, MELISSA ACCOUNT #: LSR011257	FIDELITY ADVISOR MORTGAGE SECS CL A BUY 1 Units @0.0000	0.00	0.25	0.00	0.25	88.0	0.22
01/22/2018	***-**-579I - RHYMESTINE, ACCOUNT #: LSR011082	FIDELITY ADVISOR MORTGAGE SECS CL C BUY 1 Units @0.0000	0.00	5.89	0.00	5.89	88.0	5.18
01/22/2018	***-**-702I - KOCHER, MICHAEL ACCOUNT #: LSR010954	FUNDAMENTAL INVESTORS-A BUY 1 Units @0.0000	0.00	2.18	0.00	2.18	88.0	1.92
01/22/2018	***-**-366I - GRUENEWALD, ACCOUNT #: LSR010989	FUNDAMENTAL INVESTORS-A BUY 1 Units @0.0000	0.00	1.78	0.00	1.78	88.0	1.57



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<b> OVERRIDE TRANSACTIONS (continued) </b>								
<b> BROKER: KURT GRUENEWALD (continued) </b>								
01/22/2018	***-**-366S - GRUENEWALD, ACCOUNT #: LSR010990	FUNDAMENTAL INVESTORS-A BUY 1 Units @0.0000	0.00	1.38	0.00	1.38	88.0	1.21
01/22/2018	***-**-579J - RHYMESTINE, ACCOUNT #: LSR011081	FUNDAMENTAL INVESTORS-A BUY 1 Units @0.0000	0.00	1.10	0.00	1.10	88.0	0.97
01/22/2018	***-**-326I - GRANDE, FBO MR ACCOUNT #: LSR011091	FUNDAMENTAL INVESTORS-A BUY 1 Units @0.0000	0.00	1.95	0.00	1.95	88.0	1.72
01/22/2018	***-**-680I - HARRELL, DARYL ACCOUNT #: LSR011321	FUNDAMENTAL INVESTORS-A BUY 1 Units @0.0000	0.00	1.40	0.00	1.40	88.0	1.23
01/22/2018	***-**-128I - BASHANT, THOMAS ACCOUNT #: LSR011387	FUNDAMENTAL INVESTORS-A BUY 1 Units @0.0000	0.00	1.24	0.00	1.24	88.0	1.09
01/22/2018	***-**-30TR - AND SANDRA ACCOUNT #: LSR011939	FUNDAMENTAL INVESTORS-A BUY 1 Units @0.0000	0.00	1.87	0.00	1.87	88.0	1.65
01/16/2018	***-**-680I - HARRELL, DARYL ACCOUNT #: 00083996385	FUNDAMENTAL INVESTORS-C BUY 1 Units @64.4600	50.00	0.50	0.00	0.50	88.0	0.44
01/22/2018	***-**-881J - EBERLEY, SUSAN ACCOUNT #: LSR010856	FUNDAMENTAL INVESTORS-C BUY 1 Units @0.0000	0.00	4.34	0.00	4.34	88.0	3.82
01/22/2018	***-**-382I - SATTERLY, NEIL ACCOUNT #: LSR010867	FUNDAMENTAL INVESTORS-C BUY 1 Units @0.0000	0.00	4.85	0.00	4.85	88.0	4.27
01/22/2018	***-**-949I - ACEE, JOSPEH ACCOUNT #: LSR010908	FUNDAMENTAL INVESTORS-C BUY 1 Units @0.0000	0.00	3.05	0.00	3.05	88.0	2.68
01/22/2018	***-**-31IO - HARTZ, CLAUDIA ACCOUNT #: LSR010915	FUNDAMENTAL INVESTORS-C BUY 1 Units @0.0000	0.00	3.01	0.00	3.01	88.0	2.65
01/22/2018	***-**-031O - MCVOY, ROBERT ACCOUNT #: LSR010916	FUNDAMENTAL INVESTORS-C BUY 1 Units @0.0000	0.00	5.28	0.00	5.28	88.0	4.65
01/22/2018	***-**-15IN - PENDRAK, JOHN ACCOUNT #: LSR010948	FUNDAMENTAL INVESTORS-C BUY 1 Units @0.0000	0.00	4.84	0.00	4.84	88.0	4.26
01/22/2018	***-**-959I - FRANZ, PAUL ACCOUNT #: LSR010959	FUNDAMENTAL INVESTORS-C BUY 1 Units @0.0000	0.00	11.48	0.00	11.48	88.0	10.10
01/22/2018	***-**-960J - MASTRANGELO, ACCOUNT #: LSR010966	FUNDAMENTAL INVESTORS-C BUY 1 Units @0.0000	0.00	8.92	0.00	8.92	88.0	7.85
01/22/2018	***-**-065I - LAZIO, THOMAS ACCOUNT #: LSR010979	FUNDAMENTAL INVESTORS-C BUY 1 Units @0.0000	0.00	5.93	0.00	5.93	88.0	5.22



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<b> OVERRIDE TRANSACTIONS (continued)</b>								
<b> <u>BROKER: KURT GRUENEWALD (continued)</u></b>								
01/22/2018	***-**-51IO - CAIN, TIMOTHY	FUNDAMENTAL INVESTORS-C	0.00	5.26	0.00	5.26	88.0	4.63
	ACCOUNT #: LSR011007	BUY 1 Units @0.0000						
01/22/2018	***-**-761I - EVANS, DOLORES	FUNDAMENTAL INVESTORS-C	0.00	15.72	0.00	15.72	88.0	13.83
	ACCOUNT #: LSR011024	BUY 1 Units @0.0000						
01/22/2018	***-**-306X - COBB, CHERYL	FUNDAMENTAL INVESTORS-C	0.00	5.70	0.00	5.70	88.0	5.02
	ACCOUNT #: LSR011037	BUY 1 Units @0.0000						
01/22/2018	***-**-861I - SANGER, LAWRENCE	FUNDAMENTAL INVESTORS-C	0.00	1.48	0.00	1.48	88.0	1.30
	ACCOUNT #: LSR011095	BUY 1 Units @0.0000						
01/22/2018	***-**-13IN - RHYMESTINE,	FUNDAMENTAL INVESTORS-C	0.00	5.10	0.00	5.10	88.0	4.49
	ACCOUNT #: LSR011106	BUY 1 Units @0.0000						
01/22/2018	***-**-09IO - BATES, FBO MRS	FUNDAMENTAL INVESTORS-C	0.00	11.14	0.00	11.14	88.0	9.80
	ACCOUNT #: LSR011117	BUY 1 Units @0.0000						
01/22/2018	***-**-506J - CURRIERE JR, MR	FUNDAMENTAL INVESTORS-C	0.00	4.68	0.00	4.68	88.0	4.12
	ACCOUNT #: LSR011121	BUY 1 Units @0.0000						
01/22/2018	***-**-48IO - ANACKER, FBO MRS	FUNDAMENTAL INVESTORS-C	0.00	6.60	0.00	6.60	88.0	5.81
	ACCOUNT #: LSR011164	BUY 1 Units @0.0000						
01/22/2018	***-**-89IN - LEE, ROGER	FUNDAMENTAL INVESTORS-C	0.00	5.80	0.00	5.80	88.0	5.10
	ACCOUNT #: LSR011166	BUY 1 Units @0.0000						
01/22/2018	***-**-31IO - WILLIAMSON, FBO	FUNDAMENTAL INVESTORS-C	0.00	7.74	0.00	7.74	88.0	6.81
	ACCOUNT #: LSR011172	BUY 1 Units @0.0000						
01/22/2018	***-**-64IO - PFAFF, GEORGE	FUNDAMENTAL INVESTORS-C	0.00	3.64	0.00	3.64	88.0	3.20
	ACCOUNT #: LSR011185	BUY 1 Units @0.0000						
01/22/2018	***-**-62IR - ROBBIANO, FBO	FUNDAMENTAL INVESTORS-C	0.00	3.23	0.00	3.23	88.0	2.84
	ACCOUNT #: LSR011195	BUY 1 Units @0.0000						
01/22/2018	***-**-11IO - LYNN G.	FUNDAMENTAL INVESTORS-C	0.00	14.43	0.00	14.43	88.0	12.70
	ACCOUNT #: LSR011239	BUY 1 Units @0.0000						
01/22/2018	***-**-653I - KOCHER, CLINTON	FUNDAMENTAL INVESTORS-C	0.00	11.34	0.00	11.34	88.0	9.98
	ACCOUNT #: LSR011300	BUY 1 Units @0.0000						
01/22/2018	***-**-376I - BERBEN, GAIL	FUNDAMENTAL INVESTORS-C	0.00	15.09	0.00	15.09	88.0	13.28
	ACCOUNT #: LSR011380	BUY 1 Units @0.0000						
01/22/2018	***-**-21IO - RADELL, SANDRA	FUNDAMENTAL INVESTORS-C	0.00	4.64	0.00	4.64	88.0	4.08
	ACCOUNT #: LSR011392	BUY 1 Units @0.0000						



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<b><u> OVERRIDE TRANSACTIONS (continued) </u></b>								
<b><u> BROKER: KURT GRUENEWALD (continued) </u></b>								
01/22/2018	***-**-45IO - JOHNSON, GREGORY	FUNDAMENTAL INVESTORS-C	0.00	12.23	0.00	12.23	88.0	10.76
	ACCOUNT #: LSR011421	BUY 1 Units @0.0000						
01/22/2018	***-**-14IO - BUSHEY, MATTHEW	FUNDAMENTAL INVESTORS-C	0.00	14.49	0.00	14.49	88.0	12.75
	ACCOUNT #: LSR011498	BUY 1 Units @0.0000						
01/22/2018	***-**-579J - RHYMESTINE,	GLOBAL GROWTH PORTFOLIO-A	0.00	0.86	0.00	0.86	88.0	0.76
	ACCOUNT #: LSR011081	BUY 1 Units @0.0000						
01/22/2018	***-**-89IN - LEE, ROGER	GRIFFIN CAPITAL ESS ASSET II TRAILS	0.00	47.92	0.00	47.92	88.0	42.17
	ACCOUNT #: 091123534	BUY 0 Units @0.0000						
01/22/2018	***-**-09IO - BATES, FBO MRS	GRIFFIN CAPITAL ESS ASSET II TRAILS	0.00	59.90	0.00	59.90	88.0	52.71
	ACCOUNT #: 091125944	BUY 0 Units @0.0000						
01/22/2018	***-**-44IO - DISCHIAVI, FBO	GRIFFIN CAPITAL ESS ASSET II TRAILS	0.00	47.92	0.00	47.92	88.0	42.17
	ACCOUNT #: 091126800	BUY 0 Units @0.0000						
01/22/2018	***-**-287X - HINCKLEY,	GRIFFIN CAPITAL ESS ASSET II TRAILS	0.00	23.96	0.00	23.96	88.0	21.08
	ACCOUNT #: 091129238	BUY 0 Units @0.0000						
01/22/2018	***-**-45IO - JOHNSON, GREGORY	GRIFFIN CAPITAL ESS ASSET II TRAILS	0.00	47.92	0.00	47.92	88.0	42.17
	ACCOUNT #: 091129288	BUY 0 Units @0.0000						
01/22/2018	***-**-11IN - MCCARTHY, LYNN	GRIFFIN CAPITAL ESS ASSET II TRAILS	0.00	21.57	0.00	21.57	88.0	18.98
	ACCOUNT #: 091131292	BUY 0 Units @0.0000						
01/22/2018	***-**-376I - BERBEN, GAIL	GRIFFIN CAPITAL ESS ASSET II TRAILS	0.00	11.98	0.00	11.98	88.0	10.54
	ACCOUNT #: 00091131762	BUY 0 Units @0.0000						
01/22/2018	***-**-14IO - BUSHEY, MATTHEW	GRIFFIN CAPITAL ESS ASSET II TRAILS	0.00	11.98	0.00	11.98	88.0	10.54
	ACCOUNT #: 00091132518	BUY 0 Units @0.0000						
01/22/2018	***-**-531J - WILLIAMSON,	GRIFFIN CAPITAL ESS ASSET II TRAILS	0.00	71.88	0.00	71.88	88.0	63.25
	ACCOUNT #: 091140076	BUY 0 Units @0.0000						
01/22/2018	***-**-367J - WAGNER, MRS LANT	GROWTH FUND OF AMERICA CLASS F	0.00	3.16	0.00	3.16	88.0	2.78
	ACCOUNT #: LSR011134	BUY 1 Units @0.0000						
01/22/2018	***-**-702I - KOCHER, MICHAEL	HARTFORD CHECKS AND BALANCED FUND C	0.00	1.35	0.00	1.35	88.0	1.19
	ACCOUNT #: LSR010954	BUY 1 Units @0.0000						
01/22/2018	***-**-366S - GRUENEWALD,	HARTFORD CHECKS AND BALANCED FUND C	0.00	0.46	0.00	0.46	88.0	0.40
	ACCOUNT #: LSR010990	BUY 1 Units @0.0000						
01/22/2018	***-**-680I - HARRELL, DARYL	HARTFORD CHECKS AND BALANCED FUND C	0.00	1.30	0.00	1.30	88.0	1.14
	ACCOUNT #: LSR011321	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>								
01/22/2018	***-**-30TR - AND SANDRA ACCOUNT #: LSR011939	HARTFORD CHECKS AND BALANCED FUND C BUY 1 Units @0.0000	0.00	2.54	0.00	2.54	88.0	2.24
01/22/2018	***-**-366S - GRUENEWALD, ACCOUNT #: LSR010990	HARTFORD INFLATION PLUS FUND CLASS BUY 1 Units @0.0000	0.00	0.68	0.00	0.68	88.0	0.60
01/22/2018	***-**-680I - HARRELL, DARYL ACCOUNT #: LSR011321	HARTFORD INFLATION PLUS FUND CLASS BUY 1 Units @0.0000	0.00	1.77	0.00	1.77	88.0	1.56
01/22/2018	***-**-287I - HINCKLEY, ACCOUNT #: LSR010843	INCOME FUND OF AMERICA CLASS C BUY 1 Units @0.0000	0.00	3.73	0.00	3.73	88.0	3.28
01/22/2018	***-**-980I - ACEE, ELIZABETH ACCOUNT #: LSR010885	INCOME FUND OF AMERICA CLASS C BUY 1 Units @0.0000	0.00	12.22	0.00	12.22	88.0	10.75
01/22/2018	***-**-72IN - GAVALO, JULIE ACCOUNT #: LSR010921	INCOME FUND OF AMERICA CLASS C BUY 1 Units @0.0000	0.00	11.68	0.00	11.68	88.0	10.28
01/22/2018	***-**-73TR - WESTCOTT IRRVOC ACCOUNT #: LSR011001	INCOME FUND OF AMERICA CLASS C BUY 1 Units @0.0000	0.00	1.83	0.00	1.83	88.0	1.61
01/22/2018	***-**-63TR - EVANS, AUDREY J ACCOUNT #: LSR011036	INCOME FUND OF AMERICA CLASS C BUY 1 Units @0.0000	0.00	5.49	0.00	5.49	88.0	4.83
01/22/2018	***-**-44IO - MAYO, DEBORAH ACCOUNT #: LSR011079	INCOME FUND OF AMERICA CLASS C BUY 1 Units @0.0000	0.00	10.24	0.00	10.24	88.0	9.01
01/22/2018	***-**-09IO - BATES, FBO MRS ACCOUNT #: LSR011117	INCOME FUND OF AMERICA CLASS C BUY 1 Units @0.0000	0.00	32.43	0.00	32.43	88.0	28.54
01/22/2018	***-**-11IO - LYNN G. ACCOUNT #: LSR011239	INCOME FUND OF AMERICA CLASS C BUY 1 Units @0.0000	0.00	15.13	0.00	15.13	88.0	13.31
01/22/2018	***-**-376I - BERBEN, GAIL ACCOUNT #: LSR011380	INCOME FUND OF AMERICA CLASS C BUY 1 Units @0.0000	0.00	13.62	0.00	13.62	88.0	11.99
01/22/2018	***-**-21IO - RADELL, SANDRA ACCOUNT #: LSR011392	INCOME FUND OF AMERICA CLASS C BUY 1 Units @0.0000	0.00	4.96	0.00	4.96	88.0	4.36
01/22/2018	***-**-45IO - JOHNSON, GREGORY ACCOUNT #: LSR011421	INCOME FUND OF AMERICA CLASS C BUY 1 Units @0.0000	0.00	26.75	0.00	26.75	88.0	23.54
01/22/2018	***-**-14IO - BUSHEY, MATTHEW ACCOUNT #: LSR011498	INCOME FUND OF AMERICA CLASS C BUY 1 Units @0.0000	0.00	12.98	0.00	12.98	88.0	11.42
01/22/2018	***-**-702I - KOCHEM, MICHAEL ACCOUNT #: LSR010954	INTERMEDIATE BOND FUND OF AMERICA-A BUY 1 Units @0.0000	0.00	0.14	0.00	0.14	88.0	0.12



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<b><u> OVERRIDE TRANSACTIONS (continued) </u></b>								
<b><u> BROKER: KURT GRUENEWALD (continued) </u></b>								
01/22/2018	***-**-761I - EVANS, DOLORES ACCOUNT #: LSR011024	INTERMEDIATE BOND FUND OF AMERICA-C BUY 1 Units @0.0000	0.00	5.54	0.00	5.54	88.0	4.88
01/22/2018	***-**-366S - GRUENEWALD, ACCOUNT #: LSR010990	INTERNATIONAL GROWTH AND INCOME-A BUY 1 Units @0.0000	0.00	0.81	0.00	0.81	88.0	0.71
01/22/2018	***-**-567I - FRANZ, ALICE ACCOUNT #: LSR010960	INTERNATIONAL GROWTH AND INCOME-C BUY 1 Units @0.0000	0.00	13.33	0.00	13.33	88.0	11.73
01/16/2018	***-**-711O - FAMOLARO, JAMES ACCOUNT #: LSR011279	INVESCO VAN KAMPEN COMSTOCK CLASS A BUY 1 Units @0.0000	0.00	0.45	0.00	0.45	88.0	0.40
01/16/2018	***-**-711O - FAMOLARO, JAMES ACCOUNT #: LSR011279	INVESCO VAN KAMPEN EQUITY AND INCOM BUY 1 Units @0.0000	0.00	0.41	0.00	0.41	88.0	0.36
01/16/2018	***-**-80IN - COBB, JAMES ACCOUNT #: LSR011042	LOCORR SPECTRUM-NFS BUY 1 Units @0.0000	0.00	1.39	0.00	1.39	88.0	1.22
01/11/2018	***-**-371O - DAVIDSON, ACCOUNT #: LSR012268	LORD ABBETT SHORT DURATION INCOME C BUY 2342 Units @4.2700	10,000.00	100.00	0.00	100.00	88.0	88.00
01/16/2018	***-**-53IN - EVANS, ANDREW ACCOUNT #: LSR011483	LORD ABBETT SHORT DURATION INCOME C BUY 937 Units @4.2700	4,000.00	40.00	0.00	40.00	88.0	35.20
01/18/2018	***-**-714O - LINES, JUDITH ACCOUNT #: LSR011763	LORD ABBETT SHORT DURATION INCOME C BUY 2230 Units @4.2600	9,500.00	95.00	0.00	95.00	88.0	83.60
01/01/2018	***-**-1855 - WILLIAMSON, ACCOUNT #: 08191308008	MASSACHUSETTS INVESTORS TRUST CLASS BUY 0 Units @0.0000	0.00	3.49	0.00	3.49	88.0	3.07
01/01/2018	***-**-439J - MCCARTHY, JAMES ACCOUNT #: 00060638887	MASSACHUSETTS INVESTORS TRUST-A BUY 0 Units @0.0000	0.00	0.37	0.00	0.37	88.0	0.33
01/01/2018	***-**-439J - MCCARTHY, JAMES ACCOUNT #: 00060638888	MASSACHUSETTS INVESTORS TRUST-A BUY 0 Units @0.0000	0.00	1.78	0.00	1.78	88.0	1.57
01/01/2018	***-**-439I - MCCARTHY, JAMES ACCOUNT #: 08190124895	MASSACHUSETTS INVESTORS TRUST-B BUY 0 Units @0.0000	0.00	1.40	0.00	1.40	88.0	1.23
01/01/2018	***-**-0767 - DOVI, ACCOUNT #: 08191152598	MASSACHUSETTS INVESTORS TRUST-B BUY 0 Units @0.0000	0.00	1.02	0.00	1.02	88.0	0.90
01/01/2018	***-**-861I - SANGER, LAWRENCE ACCOUNT #: 08191153495	MASSACHUSETTS INVESTORS TRUST-B BUY 0 Units @0.0000	0.00	0.56	0.00	0.56	88.0	0.49
01/01/2018	***-**-844O - PREVOST, PIERRE ACCOUNT #: 08191160862	MASSACHUSETTS INVESTORS TRUST-B BUY 0 Units @0.0000	0.00	1.81	0.00	1.81	88.0	1.59



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<b><u> OVERRIDE TRANSACTIONS (continued) </u></b>								
<b><u> BROKER: KURT GRUENEWALD (continued) </u></b>								
01/01/2018	***-**-237I - MCCLUSKY, MARK ACCOUNT #: 08191161591	MASSACHUSETTS INVESTORS TRUST-B BUY 0 Units @0.0000	0.00	1.93	0.00	1.93	88.0	1.70
01/01/2018	***-**-094I - CIRILLO, CARL ACCOUNT #: 08191173445	MASSACHUSETTS INVESTORS TRUST-B BUY 0 Units @0.0000	0.00	2.98	0.00	2.98	88.0	2.62
01/01/2018	***-**-671I - EBERLEY, REID ACCOUNT #: 08191175793	MASSACHUSETTS INVESTORS TRUST-B BUY 0 Units @0.0000	0.00	2.04	0.00	2.04	88.0	1.80
01/01/2018	***-**-13IN - RHYMESTINE, ACCOUNT #: 08191178476	MASSACHUSETTS INVESTORS TRUST-B BUY 0 Units @0.0000	0.00	0.96	0.00	0.96	88.0	0.84
01/01/2018	***-**-3420 - KOCHEM, DENISE ACCOUNT #: 08191179076	MASSACHUSETTS INVESTORS TRUST-B BUY 0 Units @0.0000	0.00	0.59	0.00	0.59	88.0	0.52
01/01/2018	***-**-9839 - YADDAW, DAVID ACCOUNT #: 08191183793	MASSACHUSETTS INVESTORS TRUST-B BUY 0 Units @0.0000	0.00	2.47	0.00	2.47	88.0	2.17
01/01/2018	***-**-1855 - WILLIAMSON, ACCOUNT #: 08191308008	MFS GROWTH PORT CLASS C BUY 0 Units @0.0000	0.00	3.68	0.00	3.68	88.0	3.24
01/01/2018	***-**-06IN - SATTERLY, ACCOUNT #: 08191336006	MFS 08191336006 BUY 0 Units @0.0000	0.00	2.37	0.00	2.37	88.0	2.09
01/01/2018	***-**-1855 - WILLIAMSON, ACCOUNT #: 08191308008	MFS 55273E871 BUY 0 Units @0.0000	0.00	1.68	0.00	1.68	88.0	1.48
01/01/2018	***-**-4193 - VAN BAALEN, GUY ACCOUNT #: 08191310030	MFS 552987646 BUY 0 Units @0.0000	0.00	1.66	0.00	1.66	88.0	1.46
01/22/2018	***-**-065I - LAZIO, THOMAS ACCOUNT #: LSR010979	MFS ABSOLUTE RETURN FUND CLASS C BUY 1 Units @0.0000	0.00	3.33	0.00	3.33	88.0	2.93
01/01/2018	***-**-058I - ROBBIANO, SARAH ACCOUNT #: 08191291666	MFS AGGRESS GROWTH ALLOCATION FD-B BUY 0 Units @0.0000	0.00	0.19	0.00	0.19	88.0	0.17
01/22/2018	***-**-9440 - MAYO, DEBORAH ACCOUNT #: LSR011035	MFS AGGRESSIVE GROWTH ALLOCATION FD BUY 1 Units @0.0000	0.00	1.02	0.00	1.02	88.0	0.90
01/01/2018	***-**-2603 - MASTRANGELO, ACCOUNT #: 08190129168	MFS BLENDED RESEARCH CORE EQUITY FD BUY 0 Units @0.0000	0.00	0.78	0.00	0.78	88.0	0.69
01/22/2018	***-**-13IN - ROTH, KAREN ACCOUNT #: LSR011954	MFS BLENDED RESEARCH CORE EQUITY FD BUY 1 Units @0.0000	0.00	1.31	0.00	1.31	88.0	1.15
01/01/2018	***-**-3749 - DEPEYSTER, ACCOUNT #: 08190127726	MFS BOND FUND CLASS B BUY 0 Units @0.0000	0.00	0.58	0.00	0.58	88.0	0.51



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<b> OVERRIDE TRANSACTIONS (continued)</b>								
<b> <u>BROKER: KURT GRUENEWALD (continued)</u></b>								
01/01/2018	***-**-2603 - MASTRANGELO, ACCOUNT #: 08190129168	MFS BOND FUND CLASS B BUY 0 Units @0.0000	0.00	0.17	0.00	0.17	88.0	0.15
01/01/2018	***-**-606I - LEWIS, TAMARA ACCOUNT #: 08191352847	MFS BOND FUND-C BUY 0 Units @0.0000	0.00	1.41	0.00	1.41	88.0	1.24
01/11/2018	***-**-37IO - DAVIDSON, ACCOUNT #: LSR012268	MFS CONSERVATIVE ALLOCATION CL C BUY 324 Units @15.4400	5,000.00	50.00	0.00	50.00	88.0	44.00
01/22/2018	***-**-881I - EBERLEY, SUSAN ACCOUNT #: LSR010858	MFS CONSERVATIVE ALLOCATION CL C BUY 1 Units @0.0000	0.00	9.70	0.00	9.70	88.0	8.54
01/22/2018	***-**-901I - SATTERLY, ANN ACCOUNT #: LSR010874	MFS CONSERVATIVE ALLOCATION CL C BUY 1 Units @0.0000	0.00	9.63	0.00	9.63	88.0	8.47
01/22/2018	***-**-382K - SATTERLY, NEIL ACCOUNT #: LSR010875	MFS CONSERVATIVE ALLOCATION CL C BUY 1 Units @0.0000	0.00	4.36	0.00	4.36	88.0	3.84
01/22/2018	***-**-48IO - CLARK, PATRICK ACCOUNT #: LSR010911	MFS CONSERVATIVE ALLOCATION CL C BUY 1 Units @0.0000	0.00	18.43	0.00	18.43	88.0	16.22
01/22/2018	***-**-031O - MCVOY, ROBERT ACCOUNT #: LSR010916	MFS CONSERVATIVE ALLOCATION CL C BUY 1 Units @0.0000	0.00	4.52	0.00	4.52	88.0	3.98
01/22/2018	***-**-72IN - GAVALO, JULIE ACCOUNT #: LSR010921	MFS CONSERVATIVE ALLOCATION CL C BUY 1 Units @0.0000	0.00	18.21	0.00	18.21	88.0	16.02
01/22/2018	***-**-959I - FRANZ, PAUL ACCOUNT #: LSR010959	MFS CONSERVATIVE ALLOCATION CL C BUY 1 Units @0.0000	0.00	17.22	0.00	17.22	88.0	15.15
01/22/2018	***-**-065I - LAZIO, THOMAS ACCOUNT #: LSR010979	MFS CONSERVATIVE ALLOCATION CL C BUY 1 Units @0.0000	0.00	11.31	0.00	11.31	88.0	9.95
01/22/2018	***-**-420T - DEMETRI, AMELIA ACCOUNT #: LSR010994	MFS CONSERVATIVE ALLOCATION CL C BUY 1 Units @0.0000	0.00	6.27	0.00	6.27	88.0	5.52
01/22/2018	***-**-73TR - WESTCOTT IRRVOC ACCOUNT #: LSR011001	MFS CONSERVATIVE ALLOCATION CL C BUY 1 Units @0.0000	0.00	9.72	0.00	9.72	88.0	8.55
01/22/2018	***-**-837O - BASEMENT ACCOUNT #: LSR011046	MFS CONSERVATIVE ALLOCATION CL C BUY 1 Units @0.0000	0.00	4.94	0.00	4.94	88.0	4.35
01/22/2018	***-**-09IO - BATES, FBO MRS ACCOUNT #: LSR011117	MFS CONSERVATIVE ALLOCATION CL C BUY 1 Units @0.0000	0.00	14.95	0.00	14.95	88.0	13.16
01/22/2018	***-**-89IN - LEE, ROGER ACCOUNT #: LSR011166	MFS CONSERVATIVE ALLOCATION CL C BUY 1 Units @0.0000	0.00	18.49	0.00	18.49	88.0	16.27





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<b> OVERRIDE TRANSACTIONS (continued)</b>								
<b> <u>BROKER: KURT GRUENEWALD (continued)</u></b>								
01/22/2018	***-**-900J - LEE, MR.	MFS CONSERVATIVE ALLOCATION CL C	0.00	4.35	0.00	4.35	88.0	3.83
	ACCOUNT #: LSR011186	BUY 1 Units @0.0000						
01/22/2018	***-**-06IR - CAMPBELL, PAMELA	MFS CONSERVATIVE ALLOCATION CL C	0.00	6.50	0.00	6.50	88.0	5.72
	ACCOUNT #: LSR011222	BUY 1 Units @0.0000						
01/22/2018	***-**-11IO - LYNN G.	MFS CONSERVATIVE ALLOCATION CL C	0.00	14.20	0.00	14.20	88.0	12.50
	ACCOUNT #: LSR011239	BUY 1 Units @0.0000						
01/22/2018	***-**-80IO - EVANS, RICHARD	MFS CONSERVATIVE ALLOCATION CL C	0.00	9.71	0.00	9.71	88.0	8.54
	ACCOUNT #: LSR011276	BUY 1 Units @0.0000						
01/22/2018	***-**-376I - BERBEN, GAIL	MFS CONSERVATIVE ALLOCATION CL C	0.00	14.18	0.00	14.18	88.0	12.48
	ACCOUNT #: LSR011380	BUY 1 Units @0.0000						
01/22/2018	***-**-45IO - JOHNSON, GREGORY	MFS CONSERVATIVE ALLOCATION CL C	0.00	30.13	0.00	30.13	88.0	26.51
	ACCOUNT #: LSR011421	BUY 1 Units @0.0000						
01/22/2018	***-**-14IO - BUSHEY, MATTHEW	MFS CONSERVATIVE ALLOCATION CL C	0.00	9.42	0.00	9.42	88.0	8.29
	ACCOUNT #: LSR011498	BUY 1 Units @0.0000						
01/22/2018	***-**-37IO - MCCLUSKY, MARK	MFS CONSERVATIVE ALLOCATION CL C	0.00	7.81	0.00	7.81	88.0	6.87
	ACCOUNT #: LSR011579	BUY 1 Units @0.0000						
01/22/2018	***-**-99IN - EDELMAN, TINA	MFS CONSERVATIVE ALLOCATION CL C	0.00	0.02	0.00	0.02	88.0	0.02
	ACCOUNT #: LSR011956	BUY 1 Units @0.0000						
01/22/2018	***-**-28IN - BYWATER, KIM	MFS CONSERVATIVE ALLOCATION CL C	0.00	0.02	0.00	0.02	88.0	0.02
	ACCOUNT #: LSR011995	BUY 1 Units @0.0000						
01/22/2018	***-**-944O - MAYO, DEBORAH	MFS CONSERVATIVE ALLOCATION FUND-A	0.00	1.16	0.00	1.16	88.0	1.02
	ACCOUNT #: LSR011035	BUY 1 Units @0.0000						
01/22/2018	***-**-254I - AUGUSTINE, LINDA	MFS CONSERVATIVE ALLOCATION FUND-B	0.00	0.82	0.00	0.82	88.0	0.72
	ACCOUNT #: LSR010846	BUY 1 Units @0.0000						
01/22/2018	***-**-15IN - PENDRAK, JOHN	MFS CONSERVATIVE ALLOCATION FUND-B	0.00	2.21	0.00	2.21	88.0	1.94
	ACCOUNT #: LSR010948	BUY 1 Units @0.0000						
01/22/2018	***-**-960J - MASTRANGELO,	MFS CONSERVATIVE ALLOCATION FUND-B	0.00	5.67	0.00	5.67	88.0	4.99
	ACCOUNT #: LSR010966	BUY 1 Units @0.0000						
01/22/2018	***-**-51IO - CAIN, TIMOTHY	MFS CONSERVATIVE ALLOCATION FUND-B	0.00	2.68	0.00	2.68	88.0	2.36
	ACCOUNT #: LSR011007	BUY 1 Units @0.0000						
01/22/2018	***-**-761I - EVANS, DOLORES	MFS CONSERVATIVE ALLOCATION FUND-B	0.00	2.14	0.00	2.14	88.0	1.88
	ACCOUNT #: LSR011024	BUY 1 Units @0.0000						



# COMMISSION STATEMENT

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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> BROKER: KURT GRUENEWALD (continued)</b>								
01/22/2018	***-**-9440 - MAYO, DEBORAH ACCOUNT #: LSR011035	MFS CONSERVATIVE ALLOCATION FUND-B BUY 1 Units @0.0000	0.00	0.49	0.00	0.49	88.0	0.43
01/22/2018	***-**-326J - GRANDE, MR ACCOUNT #: LSR011089	MFS CONSERVATIVE ALLOCATION FUND-B BUY 1 Units @0.0000	0.00	0.59	0.00	0.59	88.0	0.52
01/22/2018	***-**-13IN - RHYMESTINE, ACCOUNT #: LSR011106	MFS CONSERVATIVE ALLOCATION FUND-B BUY 1 Units @0.0000	0.00	1.05	0.00	1.05	88.0	0.92
01/22/2018	***-**-367J - WAGNER, MRS LANT ACCOUNT #: LSR011134	MFS CONSERVATIVE ALLOCATION FUND-B BUY 1 Units @0.0000	0.00	1.17	0.00	1.17	88.0	1.03
01/22/2018	***-**-992J - CORNACCHIA ACCOUNT #: LSR011157	MFS CONSERVATIVE ALLOCATION FUND-B BUY 1 Units @0.0000	0.00	0.40	0.00	0.40	88.0	0.35
01/22/2018	***-**-31IO - WILLIAMSON, FBO ACCOUNT #: LSR011172	MFS CONSERVATIVE ALLOCATION FUND-B BUY 1 Units @0.0000	0.00	4.08	0.00	4.08	88.0	3.59
01/22/2018	***-**-64IO - PFAFF, GEORGE ACCOUNT #: LSR011185	MFS CONSERVATIVE ALLOCATION FUND-B BUY 1 Units @0.0000	0.00	1.17	0.00	1.17	88.0	1.03
01/22/2018	***-**-448X - ANACKER, SUSAN ACCOUNT #: LSR011578	MFS CONSERVATIVE ALLOCATION FUND-B BUY 1 Units @0.0000	0.00	0.67	0.00	0.67	88.0	0.59
01/01/2018	***-**-606I - LEWIS, TAMARA ACCOUNT #: 08191352846	MFS CORE EQUITY FUND-B BUY 0 Units @0.0000	0.00	0.74	0.00	0.74	88.0	0.65
01/22/2018	***-**-382K - SATTERLY, NEIL ACCOUNT #: LSR010875	MFS DIVERSIFIED INCOME FD CL C BUY 1 Units @0.0000	0.00	4.70	0.00	4.70	88.0	4.14
01/22/2018	***-**-980I - ACEE, ELIZABETH ACCOUNT #: LSR010885	MFS DIVERSIFIED INCOME FD CL C BUY 1 Units @0.0000	0.00	9.46	0.00	9.46	88.0	8.32
01/22/2018	***-**-72IN - GAVALO, JULIE ACCOUNT #: LSR010921	MFS DIVERSIFIED INCOME FD CL C BUY 1 Units @0.0000	0.00	17.17	0.00	17.17	88.0	15.11
01/22/2018	***-**-73TR - WESTCOTT IRRVOC ACCOUNT #: LSR011008	MFS DIVERSIFIED INCOME FD CL C BUY 1 Units @0.0000	0.00	13.36	0.00	13.36	88.0	11.76
01/22/2018	***-**-1320 - EVANS, THOMAS ACCOUNT #: LSR011074	MFS DIVERSIFIED INCOME FD CL C BUY 1 Units @0.0000	0.00	8.56	0.00	8.56	88.0	7.53
01/22/2018	***-**-44IO - MAYO, DEBORAH ACCOUNT #: LSR011079	MFS DIVERSIFIED INCOME FD CL C BUY 1 Units @0.0000	0.00	13.39	0.00	13.39	88.0	11.78
01/22/2018	***-**-579J - RHYMESTINE, ACCOUNT #: LSR011081	MFS DIVERSIFIED INCOME FD CL C BUY 1 Units @0.0000	0.00	24.44	0.00	24.44	88.0	21.51



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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>								
01/22/2018	***-**-09IO - BATES, FBO MRS ACCOUNT #: LSR011117	MFS DIVERSIFIED INCOME FD CL C BUY 1 Units @0.0000	0.00	14.64	0.00	14.64	88.0	12.88
01/22/2018	***-**-89IN - LEE, ROGER ACCOUNT #: LSR011166	MFS DIVERSIFIED INCOME FD CL C BUY 1 Units @0.0000	0.00	6.13	0.00	6.13	88.0	5.39
01/22/2018	***-**-64IO - PFAFF, GEORGE ACCOUNT #: LSR011185	MFS DIVERSIFIED INCOME FD CL C BUY 1 Units @0.0000	0.00	6.06	0.00	6.06	88.0	5.33
01/22/2018	***-**-439J - MCCARTHY, JAMES ACCOUNT #: LSR011205	MFS DIVERSIFIED INCOME FD CL C BUY 1 Units @0.0000	0.00	3.22	0.00	3.22	88.0	2.83
01/22/2018	***-**-52IO - EUSEPI, SUSAN ACCOUNT #: LSR011219	MFS DIVERSIFIED INCOME FD CL C BUY 1 Units @0.0000	0.00	6.38	0.00	6.38	88.0	5.61
01/22/2018	***-**-81IR - CAMPBELL, ACCOUNT #: LSR011223	MFS DIVERSIFIED INCOME FD CL C BUY 1 Units @0.0000	0.00	6.15	0.00	6.15	88.0	5.41
01/22/2018	***-**-439I - MCCARTHY, JAMES ACCOUNT #: LSR011244	MFS DIVERSIFIED INCOME FD CL C BUY 1 Units @0.0000	0.00	2.30	0.00	2.30	88.0	2.02
01/22/2018	***-**-376I - BERBEN, GAIL ACCOUNT #: LSR011380	MFS DIVERSIFIED INCOME FD CL C BUY 1 Units @0.0000	0.00	9.43	0.00	9.43	88.0	8.30
01/22/2018	***-**-45IO - JOHNSON, GREGORY ACCOUNT #: LSR011421	MFS DIVERSIFIED INCOME FD CL C BUY 1 Units @0.0000	0.00	14.28	0.00	14.28	88.0	12.57
01/22/2018	***-**-14IO - BUSHEY, MATTHEW ACCOUNT #: LSR011498	MFS DIVERSIFIED INCOME FD CL C BUY 1 Units @0.0000	0.00	14.06	0.00	14.06	88.0	12.37
01/22/2018	***-**-37IO - MCCLUSKY, MARK ACCOUNT #: LSR011579	MFS DIVERSIFIED INCOME FD CL C BUY 1 Units @0.0000	0.00	5.18	0.00	5.18	88.0	4.56
01/01/2018	***-**-3749 - DEPEYSTER, ACCOUNT #: 08190127726	MFS EMERGING GROWTH FUND-B BUY 0 Units @0.0000	0.00	2.05	0.00	2.05	88.0	1.80
01/01/2018	***-**-5384 - GURDO, JESSICA ACCOUNT #: 08191233759	MFS EMERGING GROWTH FUND-B BUY 0 Units @0.0000	0.00	0.18	0.00	0.18	88.0	0.16
01/22/2018	***-**-24IN - BLISS, RYAN ACCOUNT #: LSR011502	MFS EMERGING GROWTH FUND-B BUY 1 Units @0.0000	0.00	0.27	0.00	0.27	88.0	0.24
01/01/2018	***-**-439J - MCCARTHY, JAMES ACCOUNT #: 00060638917	MFS EMERGING MARKETS DEBT FUND-A BUY 0 Units @0.0000	0.00	0.50	0.00	0.50	88.0	0.44
01/01/2018	***-**-111J - NESSIA, JAMES ACCOUNT #: 08190126843	MFS EMERGING MARKETS EQUITY FUND-B BUY 0 Units @0.0000	0.00	1.35	0.00	1.35	88.0	1.19



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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>								
01/01/2018	***-**-094I - CIRILLO, CARL	MFS EMERGING MARKETS EQUITY FUND-B	0.00	0.80	0.00	0.80	88.0	0.70
	ACCOUNT #: 08190127967	BUY 0 Units @0.0000						
01/01/2018	***-**-889I - FRANZ, JONATHAN	MFS EMERGING MARKETS EQUITY FUND-B	0.00	0.33	0.00	0.33	88.0	0.29
	ACCOUNT #: 08190130131	BUY 0 Units @0.0000						
01/01/2018	***-**-213I - GRUENEWALD,	MFS EMERGING MARKETS EQUITY FUND-B	0.00	2.67	0.00	2.67	88.0	2.35
	ACCOUNT #: 08190131132	BUY 0 Units @0.0000						
01/01/2018	***-**-861I - SANGER, LAWRENCE	MFS EMERGING MARKETS EQUITY FUND-B	0.00	0.43	0.00	0.43	88.0	0.38
	ACCOUNT #: 08191153495	BUY 0 Units @0.0000						
01/01/2018	***-**-2483 - TURNBULL,	MFS EMERGING MARKETS EQUITY FUND-B	0.00	0.33	0.00	0.33	88.0	0.29
	ACCOUNT #: 08191153585	BUY 0 Units @0.0000						
01/01/2018	***-**-617I - ESCHE, BEVERLY	MFS EMERGING MARKETS EQUITY FUND-B	0.00	0.14	0.00	0.14	88.0	0.12
	ACCOUNT #: 08191154979	BUY 0 Units @0.0000						
01/01/2018	***-**-8440 - PREVOST, PIERRE	MFS EMERGING MARKETS EQUITY FUND-B	0.00	0.85	0.00	0.85	88.0	0.75
	ACCOUNT #: 08191160862	BUY 0 Units @0.0000						
01/01/2018	***-**-466I - MCCLUSKY, YVONNE	MFS EMERGING MARKETS EQUITY FUND-B	0.00	1.37	0.00	1.37	88.0	1.21
	ACCOUNT #: 08191161825	BUY 0 Units @0.0000						
01/01/2018	***-**-13IN - RHYMESTINE,	MFS EMERGING MARKETS EQUITY FUND-B	0.00	3.37	0.00	3.37	88.0	2.97
	ACCOUNT #: 08191178476	BUY 0 Units @0.0000						
01/01/2018	***-**-3420 - KOCHER, DENISE	MFS EMERGING MARKETS EQUITY FUND-B	0.00	0.49	0.00	0.49	88.0	0.43
	ACCOUNT #: 08191179076	BUY 0 Units @0.0000						
01/01/2018	***-**-09IN - BATES, CHRISTINE	MFS EMERGING MARKETS EQUITY FUND-B	0.00	2.22	0.00	2.22	88.0	1.95
	ACCOUNT #: 08191196034	BUY 0 Units @0.0000						
01/01/2018	***-**-213I - GRUENEWALD,	MFS EMERGING MARKETS EQUITY FUND-B	0.00	0.34	0.00	0.34	88.0	0.30
	ACCOUNT #: 08191229521	BUY 0 Units @0.0000						
01/01/2018	***-**-5384 - GURDO, JESSICA	MFS EMERGING MARKETS EQUITY FUND-B	0.00	0.16	0.00	0.16	88.0	0.14
	ACCOUNT #: 08191233759	BUY 0 Units @0.0000						
01/22/2018	***-**-881I - EBERLEY, SUSAN	MFS EMERGING MARKETS EQUITY FUND-B	0.00	0.78	0.00	0.78	88.0	0.69
	ACCOUNT #: LSR010858	BUY 1 Units @0.0000						
01/22/2018	***-**-960J - MASTRANGELO,	MFS EMERGING MARKETS EQUITY FUND-B	0.00	1.37	0.00	1.37	88.0	1.21
	ACCOUNT #: LSR010966	BUY 1 Units @0.0000						
01/22/2018	***-**-761I - EVANS, DOLORES	MFS EMERGING MARKETS EQUITY FUND-B	0.00	1.41	0.00	1.41	88.0	1.24
	ACCOUNT #: LSR011024	BUY 1 Units @0.0000						



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<b><u> OVERRIDE TRANSACTIONS (continued) </u></b>								
<b><u> BROKER: KURT GRUENEWALD (continued) </u></b>								
01/22/2018	***-**-579J - RHYMESTINE, ACCOUNT #: LSR011081	MFS EMERGING MARKETS EQUITY FUND-B BUY 1 Units @0.0000	0.00	0.76	0.00	0.76	88.0	0.67
01/22/2018	***-**-326I - GRANDE, FBO MR ACCOUNT #: LSR011091	MFS EMERGING MARKETS EQUITY FUND-B BUY 1 Units @0.0000	0.00	1.38	0.00	1.38	88.0	1.21
01/22/2018	***-**-197I - GAMBINO, ANDREW ACCOUNT #: LSR011465	MFS EMERGING MARKETS EQUITY FUND-B BUY 1 Units @0.0000	0.00	0.22	0.00	0.22	88.0	0.19
01/01/2018	***-**-111J - NESSIA, JAMES ACCOUNT #: 08190126843	MFS EMERGING MKT DEBT CL B BUY 0 Units @0.0000	0.00	0.83	0.00	0.83	88.0	0.73
01/01/2018	***-**-2603 - MASTRANGELO, ACCOUNT #: 08190129168	MFS EMERGING MKT DEBT CL B BUY 0 Units @0.0000	0.00	0.18	0.00	0.18	88.0	0.16
01/01/2018	***-**-0767 - DOVI, ACCOUNT #: 08191152598	MFS EMERGING MKT DEBT CL B BUY 0 Units @0.0000	0.00	1.02	0.00	1.02	88.0	0.90
01/01/2018	***-**-861I - SANGER, LAWRENCE ACCOUNT #: 08191153495	MFS EMERGING MKT DEBT CL B BUY 0 Units @0.0000	0.00	0.34	0.00	0.34	88.0	0.30
01/01/2018	***-**-237I - MCCLUSKY, MARK ACCOUNT #: 08191161591	MFS EMERGING MKT DEBT CL B BUY 0 Units @0.0000	0.00	1.37	0.00	1.37	88.0	1.21
01/01/2018	***-**-3932 - CARSON, DAVID ACCOUNT #: 08191168388	MFS EMERGING MKT DEBT CL B BUY 0 Units @0.0000	0.00	1.09	0.00	1.09	88.0	0.96
01/01/2018	***-**-06IN - SATTERLY, ACCOUNT #: 08191173302	MFS EMERGING MKT DEBT CL B BUY 0 Units @0.0000	0.00	0.22	0.00	0.22	88.0	0.19
01/01/2018	***-**-094I - CIRILLO, CARL ACCOUNT #: 08191173445	MFS EMERGING MKT DEBT CL B BUY 0 Units @0.0000	0.00	3.11	0.00	3.11	88.0	2.74
01/01/2018	***-**-671I - EBERLEY, REID ACCOUNT #: 08191175793	MFS EMERGING MKT DEBT CL B BUY 0 Units @0.0000	0.00	2.57	0.00	2.57	88.0	2.26
01/01/2018	***-**-13IN - RHYMESTINE, ACCOUNT #: 08191178476	MFS EMERGING MKT DEBT CL B BUY 0 Units @0.0000	0.00	3.43	0.00	3.43	88.0	3.02
01/01/2018	***-**-3420 - KOCHER, DENISE ACCOUNT #: 08191179076	MFS EMERGING MKT DEBT CL B BUY 0 Units @0.0000	0.00	0.63	0.00	0.63	88.0	0.55
01/01/2018	***-**-9839 - YADDAW, DAVID ACCOUNT #: 08191183793	MFS EMERGING MKT DEBT CL B BUY 0 Units @0.0000	0.00	2.53	0.00	2.53	88.0	2.23
01/01/2018	***-**-1491 - GUNN, EDWARD ACCOUNT #: 08191184927	MFS EMERGING MKT DEBT CL B BUY 0 Units @0.0000	0.00	0.82	0.00	0.82	88.0	0.72



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<b><u> OVERRIDE TRANSACTIONS (continued) </u></b>								
<b><u> BROKER: KURT GRUENEWALD (continued) </u></b>								
01/01/2018	***-**-7116 - PREVOST, SANDRA	MFS EMERGING MKT DEBT CL B	0.00	1.37	0.00	1.37	88.0	1.21
	ACCOUNT #: 08191191385	BUY 0 Units @0.0000						
01/01/2018	***-**-844I - ROSS, VALERIE	MFS EMERGING MKT DEBT CL B	0.00	4.79	0.00	4.79	88.0	4.22
	ACCOUNT #: 08191197798	BUY 0 Units @0.0000						
01/01/2018	***-**-524I - SCALISE, JOSEPH	MFS EMERGING MKT DEBT CL B	0.00	0.97	0.00	0.97	88.0	0.85
	ACCOUNT #: 08191202574	BUY 0 Units @0.0000						
01/01/2018	***-**-80IN - CURRIERE, LAURA	MFS EMERGING MKT DEBT CL B	0.00	0.36	0.00	0.36	88.0	0.32
	ACCOUNT #: 08191216642	BUY 0 Units @0.0000						
01/01/2018	***-**-48IO - ANACKER, FBO MRS	MFS EMERGING MKT DEBT CL B	0.00	0.36	0.00	0.36	88.0	0.32
	ACCOUNT #: 08191221209	BUY 0 Units @0.0000						
01/01/2018	***-**-5384 - GURDO, JESSICA	MFS EMERGING MKT DEBT CL B	0.00	0.10	0.00	0.10	88.0	0.09
	ACCOUNT #: 08191233759	BUY 0 Units @0.0000						
01/01/2018	***-**-49IN - GUARDI, LINDA	MFS EMERGING MKT DEBT CL B	0.00	2.27	0.00	2.27	88.0	2.00
	ACCOUNT #: 08191237797	BUY 0 Units @0.0000						
01/22/2018	***-**-254I - AUGUSTINE, LINDA	MFS EMERGING MKT DEBT CL B	0.00	1.10	0.00	1.10	88.0	0.97
	ACCOUNT #: LSR010846	BUY 1 Units @0.0000						
01/22/2018	***-**-881J - EBERLEY, SUSAN	MFS EMERGING MKT DEBT CL B	0.00	0.84	0.00	0.84	88.0	0.74
	ACCOUNT #: LSR010856	BUY 1 Units @0.0000						
01/22/2018	***-**-949I - ACEE, JOSPEH	MFS EMERGING MKT DEBT CL B	0.00	1.04	0.00	1.04	88.0	0.92
	ACCOUNT #: LSR010908	BUY 1 Units @0.0000						
01/22/2018	***-**-31IO - HARTZ, CLAUDIA	MFS EMERGING MKT DEBT CL B	0.00	1.26	0.00	1.26	88.0	1.11
	ACCOUNT #: LSR010915	BUY 1 Units @0.0000						
01/22/2018	***-**-960J - MASTRANGELO,	MFS EMERGING MKT DEBT CL B	0.00	0.69	0.00	0.69	88.0	0.61
	ACCOUNT #: LSR010966	BUY 1 Units @0.0000						
01/22/2018	***-**-944O - MAYO, DEBORAH	MFS EMERGING MKT DEBT CL B	0.00	1.35	0.00	1.35	88.0	1.19
	ACCOUNT #: LSR011035	BUY 1 Units @0.0000						
01/22/2018	***-**-580X - COBB, JAMES	MFS EMERGING MKT DEBT CL B	0.00	1.20	0.00	1.20	88.0	1.06
	ACCOUNT #: LSR011040	BUY 1 Units @0.0000						
01/22/2018	***-**-506J - CURRIERE JR, MR	MFS EMERGING MKT DEBT CL B	0.00	0.38	0.00	0.38	88.0	0.33
	ACCOUNT #: LSR011121	BUY 1 Units @0.0000						
01/22/2018	***-**-367J - WAGNER, MRS LANT	MFS EMERGING MKT DEBT CL B	0.00	0.93	0.00	0.93	88.0	0.82
	ACCOUNT #: LSR011134	BUY 1 Units @0.0000						



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<b> OVERRIDE TRANSACTIONS (continued)</b>								
<b> <u>BROKER: KURT GRUENEWALD (continued)</u></b>								
01/22/2018	***-**-31IO - WILLIAMSON, FBO ACCOUNT #: LSR011172	MFS EMERGING MKT DEBT CL B BUY 1 Units @0.0000	0.00	1.35	0.00	1.35	88.0	1.19
01/22/2018	***-**-64IO - PFAFF, GEORGE ACCOUNT #: LSR011185	MFS EMERGING MKT DEBT CL B BUY 1 Units @0.0000	0.00	1.23	0.00	1.23	88.0	1.08
01/22/2018	***-**-62IR - ROBBIANO, FBO ACCOUNT #: LSR011195	MFS EMERGING MKT DEBT CL B BUY 1 Units @0.0000	0.00	0.53	0.00	0.53	88.0	0.47
01/22/2018	***-**-44IO - MAYO, DEBORAH ACCOUNT #: LSR011079	MFS EMERGING MKTS DEBT CLASS C BUY 1 Units @0.0000	0.00	0.25	0.00	0.25	88.0	0.22
01/22/2018	***-**-960J - MASTRANGELO, ACCOUNT #: LSR010966	MFS EQUITY OPPORTUNITIES CL B BUY 1 Units @0.0000	0.00	1.76	0.00	1.76	88.0	1.55
01/22/2018	***-**-944O - MAYO, DEBORAH ACCOUNT #: LSR011035	MFS GLOBAL ALTERNATIVE STRAT A BUY 1 Units @0.0000	0.00	0.63	0.00	0.63	88.0	0.55
01/22/2018	***-**-978I - GUNN, KATHLEEN ACCOUNT #: LSR011345	MFS GLOBAL ALTERNATIVE STRAT B BUY 1 Units @0.0000	0.00	0.44	0.00	0.44	88.0	0.39
01/22/2018	***-**-382I - SATTERLY, NEIL ACCOUNT #: LSR010867	MFS GLOBAL ALTERNATIVE STRAT C BUY 1 Units @0.0000	0.00	6.53	0.00	6.53	88.0	5.75
01/22/2018	***-**-48IO - CLARK, PATRICK ACCOUNT #: LSR010911	MFS GLOBAL ALTERNATIVE STRAT C BUY 1 Units @0.0000	0.00	14.70	0.00	14.70	88.0	12.94
01/22/2018	***-**-72IN - GAVALO, JULIE ACCOUNT #: LSR010921	MFS GLOBAL ALTERNATIVE STRAT C BUY 1 Units @0.0000	0.00	14.16	0.00	14.16	88.0	12.46
01/22/2018	***-**-80IN - COBB, JAMES ACCOUNT #: LSR011042	MFS GLOBAL ALTERNATIVE STRAT C BUY 1 Units @0.0000	0.00	7.57	0.00	7.57	88.0	6.66
01/22/2018	***-**-09IO - BATES, FBO MRS ACCOUNT #: LSR011117	MFS GLOBAL ALTERNATIVE STRAT C BUY 1 Units @0.0000	0.00	12.89	0.00	12.89	88.0	11.34
01/22/2018	***-**-11IO - LYNN G. ACCOUNT #: LSR011239	MFS GLOBAL ALTERNATIVE STRAT C BUY 1 Units @0.0000	0.00	17.53	0.00	17.53	88.0	15.43
01/22/2018	***-**-80IO - EVANS, RICHARD ACCOUNT #: LSR011276	MFS GLOBAL ALTERNATIVE STRAT C BUY 1 Units @0.0000	0.00	10.78	0.00	10.78	88.0	9.49
01/22/2018	***-**-45IO - JOHNSON, GREGORY ACCOUNT #: LSR011421	MFS GLOBAL ALTERNATIVE STRAT C BUY 1 Units @0.0000	0.00	13.16	0.00	13.16	88.0	11.58
01/22/2018	***-**-094I - KATRENA L ACCOUNT #: LSR011188	MFS GLOBAL BOND FUND CLASS C BUY 1 Units @0.0000	0.00	3.51	0.00	3.51	88.0	3.09



# COMMISSION STATEMENT

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

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b><u> OVERRIDE TRANSACTIONS (continued) </u></b>								
<b><u> BROKER: KURT GRUENEWALD (continued) </u></b>								
01/22/2018	***-**-978I - GUNN, KATHLEEN ACCOUNT #: LSR011345	MFS GLOBAL EQUITY FUND-B BUY 1 Units @0.0000	0.00	0.71	0.00	0.71	88.0	0.62
01/22/2018	***-**-53IN - EVANS, ANDREW ACCOUNT #: LSR011483	MFS GLOBAL EQUITY FUND-B BUY 1 Units @0.0000	0.00	0.26	0.00	0.26	88.0	0.23
01/22/2018	***-**-24IN - BLISS, RYAN ACCOUNT #: LSR011502	MFS GLOBAL EQUITY FUND-B BUY 1 Units @0.0000	0.00	0.33	0.00	0.33	88.0	0.29
01/01/2018	***-**-889I - FRANZ, JONATHAN ACCOUNT #: 08190130131	MFS GLOBAL MULTI ASSET FUND CLASS B BUY 0 Units @0.0000	0.00	0.66	0.00	0.66	88.0	0.58
01/01/2018	***-**-473I - HUSTON, ACCOUNT #: 08191353972	MFS GLOBAL MULTI ASSET FUND CLASS B BUY 0 Units @0.0000	0.00	0.68	0.00	0.68	88.0	0.60
01/01/2018	***-**-213I - GRUENEWALD, ACCOUNT #: 08190131132	MFS GLOBAL NEW DISCOVERY FUND CL B BUY 0 Units @0.0000	0.00	1.56	0.00	1.56	88.0	1.37
01/01/2018	***-**-49IN - GUARDI, LINDA ACCOUNT #: 05566055029	MFS GLOBAL REAL ESTATE FUND CL B BUY 0 Units @0.0000	0.00	1.97	0.00	1.97	88.0	1.73
01/01/2018	***-**-213I - GRUENEWALD, ACCOUNT #: 08190131132	MFS GLOBAL REAL ESTATE FUND CL B BUY 0 Units @0.0000	0.00	1.19	0.00	1.19	88.0	1.05
01/22/2018	***-**-21IO - RADELL, SANDRA ACCOUNT #: LSR011392	MFS GLOBAL REAL ESTATE FUND CL B BUY 1 Units @0.0000	0.00	1.56	0.00	1.56	88.0	1.37
01/22/2018	***-**-53IN - EVANS, ANDREW ACCOUNT #: LSR011483	MFS GLOBAL REAL ESTATE FUND CL B BUY 1 Units @0.0000	0.00	0.28	0.00	0.28	88.0	0.25
01/22/2018	***-**-24IN - BLISS, RYAN ACCOUNT #: LSR011502	MFS GLOBAL REAL ESTATE FUND CL B BUY 1 Units @0.0000	0.00	0.17	0.00	0.17	88.0	0.15
01/22/2018	***-**-38IO - BROWN, TYLER ACCOUNT #: LSR011602	MFS GLOBAL REAL ESTATE FUND CL B BUY 1 Units @0.0000	0.00	0.77	0.00	0.77	88.0	0.68
01/01/2018	***-**-26IN - GRANDE, MR ACCOUNT #: 08191260232	MFS GLOBAL REAL ESTATE FUND CL C BUY 0 Units @0.0000	0.00	3.03	0.00	3.03	88.0	2.67
01/01/2018	***-**-439J - MCCARTHY, JAMES ACCOUNT #: 00060638910	MFS GLOBAL TOTAL RETURN FUND-A BUY 0 Units @0.0000	0.00	0.81	0.00	0.81	88.0	0.71
01/01/2018	***-**-439J - MCCARTHY, JAMES ACCOUNT #: 00060638911	MFS GLOBAL TOTAL RETURN FUND-A BUY 0 Units @0.0000	0.00	1.30	0.00	1.30	88.0	1.14
01/01/2018	***-**-65CL - GRUENEWALD, K, ACCOUNT #: 00060639655	MFS GLOBAL TOTAL RETURN FUND-A BUY 0 Units @0.0000	0.00	0.08	0.00	0.08	88.0	0.07





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<b><u> OVERRIDE TRANSACTIONS (continued) </u></b>								
<b><u> BROKER: KURT GRUENEWALD (continued) </u></b>								
01/22/2018	***-**-628I - SANGER, SANDRA	MFS GLOBAL TOTAL RETURN FUND-A	0.00	0.95	0.00	0.95	88.0	0.84
	ACCOUNT #: LSR010942	BUY 1 Units @0.0000						
01/22/2018	***-**-944O - MAYO, DEBORAH	MFS GLOBAL TOTAL RETURN FUND-A	0.00	0.89	0.00	0.89	88.0	0.78
	ACCOUNT #: LSR011035	BUY 1 Units @0.0000						
01/22/2018	***-**-653J - KOICHEM, CLINTON	MFS GLOBAL TOTAL RETURN FUND-A	0.00	0.96	0.00	0.96	88.0	0.84
	ACCOUNT #: LSR011298	BUY 1 Units @0.0000						
01/01/2018	***-**-439I - MCCARTHY, JAMES	MFS GLOBAL TOTAL RETURN FUND-B	0.00	1.66	0.00	1.66	88.0	1.46
	ACCOUNT #: 08190124895	BUY 0 Units @0.0000						
01/01/2018	***-**-111J - NESSIA, JAMES	MFS GLOBAL TOTAL RETURN FUND-B	0.00	1.24	0.00	1.24	88.0	1.09
	ACCOUNT #: 08190126843	BUY 0 Units @0.0000						
01/01/2018	***-**-3749 - DEPEYSTER,	MFS GLOBAL TOTAL RETURN FUND-B	0.00	0.90	0.00	0.90	88.0	0.79
	ACCOUNT #: 08190127726	BUY 0 Units @0.0000						
01/01/2018	***-**-2603 - MASTRANGELO,	MFS GLOBAL TOTAL RETURN FUND-B	0.00	0.21	0.00	0.21	88.0	0.18
	ACCOUNT #: 08190129168	BUY 0 Units @0.0000						
01/01/2018	***-**-889I - FRANZ, JONATHAN	MFS GLOBAL TOTAL RETURN FUND-B	0.00	0.66	0.00	0.66	88.0	0.58
	ACCOUNT #: 08190130131	BUY 0 Units @0.0000						
01/01/2018	***-**-8126 - MCCARTHY, BRIANN	MFS GLOBAL TOTAL RETURN FUND-B	0.00	3.15	0.00	3.15	88.0	2.77
	ACCOUNT #: 08191126031	BUY 0 Units @0.0000						
01/01/2018	***-**-094I - KATRENA L	MFS GLOBAL TOTAL RETURN FUND-B	0.00	3.42	0.00	3.42	88.0	3.01
	ACCOUNT #: 08191140345	BUY 0 Units @0.0000						
01/01/2018	***-**-02IN - BUSHEY, MELISSA	MFS GLOBAL TOTAL RETURN FUND-B	0.00	0.87	0.00	0.87	88.0	0.77
	ACCOUNT #: 08191150076	BUY 0 Units @0.0000						
01/01/2018	***-**-6538 - BROWN, TYLER	MFS GLOBAL TOTAL RETURN FUND-B	0.00	1.84	0.00	1.84	88.0	1.62
	ACCOUNT #: 08191150212	BUY 0 Units @0.0000						
01/01/2018	***-**-0767 - DOVI,	MFS GLOBAL TOTAL RETURN FUND-B	0.00	1.94	0.00	1.94	88.0	1.71
	ACCOUNT #: 08191152598	BUY 0 Units @0.0000						
01/01/2018	***-**-861I - SANGER, LAWRENCE	MFS GLOBAL TOTAL RETURN FUND-B	0.00	0.88	0.00	0.88	88.0	0.77
	ACCOUNT #: 08191153495	BUY 0 Units @0.0000						
01/01/2018	***-**-2483 - TURNBULL,	MFS GLOBAL TOTAL RETURN FUND-B	0.00	2.34	0.00	2.34	88.0	2.06
	ACCOUNT #: 08191153585	BUY 0 Units @0.0000						
01/01/2018	***-**-617I - ESCHE, BEVERLY	MFS GLOBAL TOTAL RETURN FUND-B	0.00	3.45	0.00	3.45	88.0	3.04
	ACCOUNT #: 08191154979	BUY 0 Units @0.0000						



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<b> OVERRIDE TRANSACTIONS (continued) </b>								
<b> <u>BROKER: KURT GRUENEWALD (continued)</u> </b>								
01/01/2018	***-**-8440 - PREVOST, PIERRE	MFS GLOBAL TOTAL RETURN FUND-B	0.00	1.37	0.00	1.37	88.0	1.21
	ACCOUNT #: 08191160862	BUY 0 Units @0.0000						
01/01/2018	***-**-237I - MCCLUSKY, MARK	MFS GLOBAL TOTAL RETURN FUND-B	0.00	1.63	0.00	1.63	88.0	1.43
	ACCOUNT #: 08191161591	BUY 0 Units @0.0000						
01/01/2018	***-**-3932 - CARSON, DAVID	MFS GLOBAL TOTAL RETURN FUND-B	0.00	2.36	0.00	2.36	88.0	2.08
	ACCOUNT #: 08191168388	BUY 0 Units @0.0000						
01/01/2018	***-**-53RI - FALCHI, VALERIE	MFS GLOBAL TOTAL RETURN FUND-B	0.00	2.97	0.00	2.97	88.0	2.61
	ACCOUNT #: 08191172002	BUY 0 Units @0.0000						
01/01/2018	***-**-06IN - SATTERLY,	MFS GLOBAL TOTAL RETURN FUND-B	0.00	0.92	0.00	0.92	88.0	0.81
	ACCOUNT #: 08191173302	BUY 0 Units @0.0000						
01/01/2018	***-**-21IR - SATTERLY, ANDREW	MFS GLOBAL TOTAL RETURN FUND-B	0.00	0.50	0.00	0.50	88.0	0.44
	ACCOUNT #: 08191173305	BUY 0 Units @0.0000						
01/01/2018	***-**-094I - CIRILLO, CARL	MFS GLOBAL TOTAL RETURN FUND-B	0.00	5.66	0.00	5.66	88.0	4.98
	ACCOUNT #: 08191173445	BUY 0 Units @0.0000						
01/01/2018	***-**-671I - EBERLEY, REID	MFS GLOBAL TOTAL RETURN FUND-B	0.00	4.31	0.00	4.31	88.0	3.79
	ACCOUNT #: 08191175793	BUY 0 Units @0.0000						
01/01/2018	***-**-9839 - YADDAW, DAVID	MFS GLOBAL TOTAL RETURN FUND-B	0.00	4.70	0.00	4.70	88.0	4.14
	ACCOUNT #: 08191183793	BUY 0 Units @0.0000						
01/01/2018	***-**-844I - ROSS, VALERIE	MFS GLOBAL TOTAL RETURN FUND-B	0.00	7.17	0.00	7.17	88.0	6.31
	ACCOUNT #: 08191197798	BUY 0 Units @0.0000						
01/01/2018	***-**-524I - SCALISE, JOSEPH	MFS GLOBAL TOTAL RETURN FUND-B	0.00	1.13	0.00	1.13	88.0	0.99
	ACCOUNT #: 08191202574	BUY 0 Units @0.0000						
01/01/2018	***-**-80IN - CURRIERE, LAURA	MFS GLOBAL TOTAL RETURN FUND-B	0.00	0.48	0.00	0.48	88.0	0.42
	ACCOUNT #: 08191216642	BUY 0 Units @0.0000						
01/01/2018	***-**-6988 - TOOKE, LISA	MFS GLOBAL TOTAL RETURN FUND-B	0.00	2.07	0.00	2.07	88.0	1.82
	ACCOUNT #: 08191218269	BUY 0 Units @0.0000						
01/01/2018	***-**-48IO - ANACKER, FBO MRS	MFS GLOBAL TOTAL RETURN FUND-B	0.00	1.33	0.00	1.33	88.0	1.17
	ACCOUNT #: 08191221209	BUY 0 Units @0.0000						
01/01/2018	***-**-728I - BYWATER, KIM	MFS GLOBAL TOTAL RETURN FUND-B	0.00	0.27	0.00	0.27	88.0	0.24
	ACCOUNT #: 08191226548	BUY 0 Units @0.0000						
01/01/2018	***-**-49IN - GUARDI, LINDA	MFS GLOBAL TOTAL RETURN FUND-B	0.00	3.20	0.00	3.20	88.0	2.82
	ACCOUNT #: 08191237797	BUY 0 Units @0.0000						



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<b> OVERRIDE TRANSACTIONS (continued) </b>								
<b> <u>BROKER: KURT GRUENEWALD (continued)</u> </b>								
01/01/2018	***-**-83UT - FALCHI, ISABELLE	MFS GLOBAL TOTAL RETURN FUND-B	0.00	1.21	0.00	1.21	88.0	1.06
	ACCOUNT #: 08191247393	BUY 0 Units @0.0000						
01/01/2018	***-**-473I - HUSTON,	MFS GLOBAL TOTAL RETURN FUND-B	0.00	0.76	0.00	0.76	88.0	0.67
	ACCOUNT #: 08191353972	BUY 0 Units @0.0000						
01/22/2018	***-**-254I - AUGUSTINE, LINDA	MFS GLOBAL TOTAL RETURN FUND-B	0.00	1.03	0.00	1.03	88.0	0.91
	ACCOUNT #: LSR010846	BUY 1 Units @0.0000						
01/22/2018	***-**-881J - EBERLEY, SUSAN	MFS GLOBAL TOTAL RETURN FUND-B	0.00	1.57	0.00	1.57	88.0	1.38
	ACCOUNT #: LSR010856	BUY 1 Units @0.0000						
01/22/2018	***-**-949I - ACEE, JOSPEH	MFS GLOBAL TOTAL RETURN FUND-B	0.00	1.53	0.00	1.53	88.0	1.35
	ACCOUNT #: LSR010908	BUY 1 Units @0.0000						
01/22/2018	***-**-31IO - HARTZ, CLAUDIA	MFS GLOBAL TOTAL RETURN FUND-B	0.00	0.81	0.00	0.81	88.0	0.71
	ACCOUNT #: LSR010915	BUY 1 Units @0.0000						
01/22/2018	***-**-959I - FRANZ, PAUL	MFS GLOBAL TOTAL RETURN FUND-B	0.00	2.92	0.00	2.92	88.0	2.57
	ACCOUNT #: LSR010959	BUY 1 Units @0.0000						
01/22/2018	***-**-960J - MASTRANGELO,	MFS GLOBAL TOTAL RETURN FUND-B	0.00	2.18	0.00	2.18	88.0	1.92
	ACCOUNT #: LSR010966	BUY 1 Units @0.0000						
01/22/2018	***-**-51IO - CAIN, TIMOTHY	MFS GLOBAL TOTAL RETURN FUND-B	0.00	1.67	0.00	1.67	88.0	1.47
	ACCOUNT #: LSR011007	BUY 1 Units @0.0000						
01/22/2018	***-**-60UT - FALCHI, ADALYNN	MFS GLOBAL TOTAL RETURN FUND-B	0.00	0.23	0.00	0.23	88.0	0.20
	ACCOUNT #: LSR011010	BUY 1 Units @0.0000						
01/22/2018	***-**-761I - EVANS, DOLORES	MFS GLOBAL TOTAL RETURN FUND-B	0.00	5.90	0.00	5.90	88.0	5.19
	ACCOUNT #: LSR011024	BUY 1 Units @0.0000						
01/22/2018	***-**-63TR - EVANS, AUDREY J	MFS GLOBAL TOTAL RETURN FUND-B	0.00	3.11	0.00	3.11	88.0	2.74
	ACCOUNT #: LSR011036	BUY 1 Units @0.0000						
01/22/2018	***-**-306X - COBB, CHERRYL	MFS GLOBAL TOTAL RETURN FUND-B	0.00	1.59	0.00	1.59	88.0	1.40
	ACCOUNT #: LSR011037	BUY 1 Units @0.0000						
01/22/2018	***-**-96IN - NESSIA, BONNIE	MFS GLOBAL TOTAL RETURN FUND-B	0.00	1.22	0.00	1.22	88.0	1.07
	ACCOUNT #: LSR011055	BUY 1 Units @0.0000						
01/22/2018	***-**-579I - RHYMESTINE,	MFS GLOBAL TOTAL RETURN FUND-B	0.00	3.02	0.00	3.02	88.0	2.66
	ACCOUNT #: LSR011082	BUY 1 Units @0.0000						
01/22/2018	***-**-861I - SANGER, LAWRENCE	MFS GLOBAL TOTAL RETURN FUND-B	0.00	2.08	0.00	2.08	88.0	1.83
	ACCOUNT #: LSR011095	BUY 1 Units @0.0000						



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<b><u> OVERRIDE TRANSACTIONS (continued) </u></b>								
<b><u> BROKER: KURT GRUENEWALD (continued) </u></b>								
01/22/2018	***-**-13IN - RHYMESTINE, ACCOUNT #: LSR011106	MFS GLOBAL TOTAL RETURN FUND-B BUY 1 Units @0.0000	0.00	1.06	0.00	1.06	88.0	0.93
01/22/2018	***-**-76IO - MCALLISTER, FBO ACCOUNT #: LSR011107	MFS GLOBAL TOTAL RETURN FUND-B BUY 1 Units @0.0000	0.00	0.66	0.00	0.66	88.0	0.58
01/22/2018	***-**-506J - CURRIERE JR, MR ACCOUNT #: LSR011121	MFS GLOBAL TOTAL RETURN FUND-B BUY 1 Units @0.0000	0.00	0.95	0.00	0.95	88.0	0.84
01/22/2018	***-**-367J - WAGNER, MRS LANT ACCOUNT #: LSR011134	MFS GLOBAL TOTAL RETURN FUND-B BUY 1 Units @0.0000	0.00	1.71	0.00	1.71	88.0	1.50
01/22/2018	***-**-31IO - WILLIAMSON, FBO ACCOUNT #: LSR011172	MFS GLOBAL TOTAL RETURN FUND-B BUY 1 Units @0.0000	0.00	3.60	0.00	3.60	88.0	3.17
01/22/2018	***-**-64IO - PFAFF, GEORGE ACCOUNT #: LSR011185	MFS GLOBAL TOTAL RETURN FUND-B BUY 1 Units @0.0000	0.00	1.28	0.00	1.28	88.0	1.13
01/22/2018	***-**-62IR - ROBBIANO, FBO ACCOUNT #: LSR011195	MFS GLOBAL TOTAL RETURN FUND-B BUY 1 Units @0.0000	0.00	0.94	0.00	0.94	88.0	0.83
01/22/2018	***-**-52IO - EUSEPI, SUSAN ACCOUNT #: LSR011219	MFS GLOBAL TOTAL RETURN FUND-B BUY 1 Units @0.0000	0.00	2.92	0.00	2.92	88.0	2.57
01/22/2018	***-**-02IN - BUSHEY, MELISSA ACCOUNT #: LSR011257	MFS GLOBAL TOTAL RETURN FUND-B BUY 1 Units @0.0000	0.00	0.70	0.00	0.70	88.0	0.62
01/22/2018	***-**-653I - KOCHER, CLINTON ACCOUNT #: LSR011300	MFS GLOBAL TOTAL RETURN FUND-B BUY 1 Units @0.0000	0.00	2.72	0.00	2.72	88.0	2.39
01/22/2018	***-**-62IN - EATON, DAVID ACCOUNT #: LSR011315	MFS GLOBAL TOTAL RETURN FUND-B BUY 1 Units @0.0000	0.00	0.71	0.00	0.71	88.0	0.62
01/22/2018	***-**-21IO - RADELL, SANDRA ACCOUNT #: LSR011392	MFS GLOBAL TOTAL RETURN FUND-B BUY 1 Units @0.0000	0.00	1.78	0.00	1.78	88.0	1.57
01/22/2018	***-**-241I - DINITTO, ALLISYN ACCOUNT #: LSR011444	MFS GLOBAL TOTAL RETURN FUND-B BUY 1 Units @0.0000	0.00	1.30	0.00	1.30	88.0	1.14
01/22/2018	***-**-51IN - GERACE, JOANNE ACCOUNT #: LSR011538	MFS GLOBAL TOTAL RETURN FUND-B BUY 1 Units @0.0000	0.00	1.65	0.00	1.65	88.0	1.45
01/01/2018	***-**-881I - EBERLEY, SUSAN ACCOUNT #: 08191326411	MFS GLOBAL TOTAL RETURN FUND-C BUY 0 Units @0.0000	0.00	3.83	0.00	3.83	88.0	3.37
01/22/2018	***-**-09IO - BATES, FBO MRS ACCOUNT #: LSR011117	MFS GLOBAL TOTAL RETURN FUND-C BUY 1 Units @0.0000	0.00	18.87	0.00	18.87	88.0	16.61



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<b> OVERRIDE TRANSACTIONS (continued) </b>								
<b> <u>BROKER: KURT GRUENEWALD (continued)</u> </b>								
01/22/2018	***-**-11IO - LYNN G.	MFS GLOBAL TOTAL RETURN FUND-C	0.00	14.54	0.00	14.54	88.0	12.80
	ACCOUNT #: LSR011239	BUY 1 Units @0.0000						
01/22/2018	***-**-376I - BERBEN, GAIL	MFS GLOBAL TOTAL RETURN FUND-C	0.00	13.15	0.00	13.15	88.0	11.57
	ACCOUNT #: LSR011380	BUY 1 Units @0.0000						
01/22/2018	***-**-45IO - JOHNSON, GREGORY	MFS GLOBAL TOTAL RETURN FUND-C	0.00	21.33	0.00	21.33	88.0	18.77
	ACCOUNT #: LSR011421	BUY 1 Units @0.0000						
01/01/2018	***-**-7116 - PREVOST, SANDRA	MFS GOVERNMENT SECS CLASS C	0.00	3.52	0.00	3.52	88.0	3.10
	ACCOUNT #: 08191191385	BUY 0 Units @0.0000						
01/01/2018	***-**-3749 - DEPEYSTER,	MFS GOVERNMENT SECURITIES FUND-B	0.00	0.31	0.00	0.31	88.0	0.27
	ACCOUNT #: 08190127726	BUY 0 Units @0.0000						
01/01/2018	***-**-75IN - MANNING, JEFFREY	MFS GOVERNMENT SECURITIES FUND-B	0.00	4.75	0.00	4.75	88.0	4.18
	ACCOUNT #: 08190129582	BUY 0 Units @0.0000						
01/22/2018	***-**-254I - AUGUSTINE, LINDA	MFS GOVERNMENT SECURITIES FUND-B	0.00	1.70	0.00	1.70	88.0	1.50
	ACCOUNT #: LSR010846	BUY 1 Units @0.0000						
01/22/2018	***-**-111J - NESSIA, JAMES	MFS GOVERNMENT SECURITIES FUND-B	0.00	0.55	0.00	0.55	88.0	0.48
	ACCOUNT #: LSR011054	BUY 1 Units @0.0000						
01/22/2018	***-**-13IN - ROTH, KAREN	MFS GOVERNMENT SECURITIES FUND-B	0.00	0.80	0.00	0.80	88.0	0.70
	ACCOUNT #: LSR011954	BUY 1 Units @0.0000						
01/22/2018	***-**-44IO - MAYO, DEBORAH	MFS HIGH INCOME CLASS C	0.00	0.49	0.00	0.49	88.0	0.43
	ACCOUNT #: LSR011079	BUY 1 Units @0.0000						
01/22/2018	***-**-61IN - EVANS, DOLORES	MFS HIGH INCOME FUND-B	0.00	0.27	0.00	0.27	88.0	0.24
	ACCOUNT #: LSR011023	BUY 1 Units @0.0000						
01/22/2018	***-**-13IN - ROTH, KAREN	MFS HIGH INCOME FUND-B	0.00	0.82	0.00	0.82	88.0	0.72
	ACCOUNT #: LSR011954	BUY 1 Units @0.0000						
01/01/2018	***-**-3749 - DEPEYSTER,	MFS HIGH YIELD OPPORTUNITIES FUND-B	0.00	0.80	0.00	0.80	88.0	0.70
	ACCOUNT #: 08190127726	BUY 0 Units @0.0000						
01/01/2018	***-**-39IO - GUARNIERO, FBO	MFS HIGH YIELD OPPORTUNITIES FUND-B	0.00	0.15	0.00	0.15	88.0	0.13
	ACCOUNT #: 08191309494	BUY 0 Units @0.0000						
01/22/2018	***-**-881I - EBERLEY, SUSAN	MFS HIGH YIELD OPPORTUNITIES FUND-B	0.00	0.68	0.00	0.68	88.0	0.60
	ACCOUNT #: LSR010858	BUY 1 Units @0.0000						
01/22/2018	***-**-13IN - ROTH, KAREN	MFS HIGH YIELD OPPORTUNITIES FUND-B	0.00	0.85	0.00	0.85	88.0	0.75
	ACCOUNT #: LSR011954	BUY 1 Units @0.0000						



# COMMISSION STATEMENT

## January 22, 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> BROKER: KURT GRUENEWALD (continued)</b>								
01/01/2018	***-**-1855 - WILLIAMSON, ACCOUNT #: 08191308008	MFS HIGH YIELD OPPORTUNITIES FUND-C BUY 0 Units @0.0000	0.00	1.37	0.00	1.37	88.0	1.21
01/22/2018	***-**-73TR - WESTCOTT IRRVOC ACCOUNT #: LSR011001	MFS HIGH YIELD OPPORTUNITIES FUND-C BUY 1 Units @0.0000	0.00	9.40	0.00	9.40	88.0	8.27
01/22/2018	***-**-73TR - WESTCOTT IRRVOC ACCOUNT #: LSR011008	MFS HIGH YIELD OPPORTUNITIES FUND-C BUY 1 Units @0.0000	0.00	9.38	0.00	9.38	88.0	8.25
01/01/2018	***-**-75IN - MANNING, JEFFREY ACCOUNT #: 08190129582	MFS INFLATION ADJUSTED BOND CL B BUY 0 Units @0.0000	0.00	0.91	0.00	0.91	88.0	0.80
01/01/2018	***-**-213I - GRUENEWALD, ACCOUNT #: 08190131132	MFS INFLATION ADJUSTED BOND CL B BUY 0 Units @0.0000	0.00	0.83	0.00	0.83	88.0	0.73
01/01/2018	***-**-7116 - PREVOST, SANDRA ACCOUNT #: 08191191385	MFS INFLATION ADJUSTED BOND CL B BUY 0 Units @0.0000	0.00	0.98	0.00	0.98	88.0	0.86
01/01/2018	***-**-844I - ROSS, VALERIE ACCOUNT #: 08191197798	MFS INFLATION ADJUSTED BOND CL B BUY 0 Units @0.0000	0.00	1.69	0.00	1.69	88.0	1.49
01/01/2018	***-**-524I - SCALISE, JOSEPH ACCOUNT #: 08191202574	MFS INFLATION ADJUSTED BOND CL B BUY 0 Units @0.0000	0.00	0.45	0.00	0.45	88.0	0.40
01/01/2018	***-**-80IN - CURRIERE, LAURA ACCOUNT #: 08191216642	MFS INFLATION ADJUSTED BOND CL B BUY 0 Units @0.0000	0.00	0.08	0.00	0.08	88.0	0.07
01/01/2018	***-**-6988 - TOOKE, LISA ACCOUNT #: 08191218269	MFS INFLATION ADJUSTED BOND CL B BUY 0 Units @0.0000	0.00	0.46	0.00	0.46	88.0	0.40
01/01/2018	***-**-48IO - ANACKER, FBO MRS ACCOUNT #: 08191221209	MFS INFLATION ADJUSTED BOND CL B BUY 0 Units @0.0000	0.00	0.17	0.00	0.17	88.0	0.15
01/01/2018	***-**-728I - BYWATER, KIM ACCOUNT #: 08191226548	MFS INFLATION ADJUSTED BOND CL B BUY 0 Units @0.0000	0.00	0.10	0.00	0.10	88.0	0.09
01/01/2018	***-**-473I - HUSTON, ACCOUNT #: 08191353972	MFS INFLATION ADJUSTED BOND CL B BUY 0 Units @0.0000	0.00	0.60	0.00	0.60	88.0	0.53
01/22/2018	***-**-881J - EBERLEY, SUSAN ACCOUNT #: LSR010856	MFS INFLATION ADJUSTED BOND CL B BUY 1 Units @0.0000	0.00	0.41	0.00	0.41	88.0	0.36
01/22/2018	***-**-949I - ACEE, JOSPEH ACCOUNT #: LSR010908	MFS INFLATION ADJUSTED BOND CL B BUY 1 Units @0.0000	0.00	0.49	0.00	0.49	88.0	0.43
01/22/2018	***-**-31IO - HARTZ, CLAUDIA ACCOUNT #: LSR010915	MFS INFLATION ADJUSTED BOND CL B BUY 1 Units @0.0000	0.00	0.48	0.00	0.48	88.0	0.42



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<b><u> OVERRIDE TRANSACTIONS (continued) </u></b>								
<b><u> BROKER: KURT GRUENEWALD (continued) </u></b>								
01/22/2018	***-**-15IN - PENDRAK, JOHN ACCOUNT #: LSR010948	MFS INFLATION ADJUSTED BOND CL B BUY 1 Units @0.0000	0.00	0.86	0.00	0.86	88.0	0.76
01/22/2018	***-**-960J - MASTRANGELO, ACCOUNT #: LSR010966	MFS INFLATION ADJUSTED BOND CL B BUY 1 Units @0.0000	0.00	0.29	0.00	0.29	88.0	0.26
01/22/2018	***-**-366I - GRUENEWALD, ACCOUNT #: LSR010989	MFS INFLATION ADJUSTED BOND CL B BUY 1 Units @0.0000	0.00	0.36	0.00	0.36	88.0	0.32
01/22/2018	***-**-761I - EVANS, DOLORES ACCOUNT #: LSR011024	MFS INFLATION ADJUSTED BOND CL B BUY 1 Units @0.0000	0.00	1.23	0.00	1.23	88.0	1.08
01/22/2018	***-**-63TR - EVANS, AUDREY J ACCOUNT #: LSR011036	MFS INFLATION ADJUSTED BOND CL B BUY 1 Units @0.0000	0.00	0.32	0.00	0.32	88.0	0.28
01/22/2018	***-**-580X - COBB, JAMES ACCOUNT #: LSR011040	MFS INFLATION ADJUSTED BOND CL B BUY 1 Units @0.0000	0.00	0.61	0.00	0.61	88.0	0.54
01/22/2018	***-**-111J - NESSIA, JAMES ACCOUNT #: LSR011054	MFS INFLATION ADJUSTED BOND CL B BUY 1 Units @0.0000	0.00	0.34	0.00	0.34	88.0	0.30
01/22/2018	***-**-326J - GRANDE, MR ACCOUNT #: LSR011089	MFS INFLATION ADJUSTED BOND CL B BUY 1 Units @0.0000	0.00	0.63	0.00	0.63	88.0	0.55
01/22/2018	***-**-861I - SANGER, LAWRENCE ACCOUNT #: LSR011095	MFS INFLATION ADJUSTED BOND CL B BUY 1 Units @0.0000	0.00	0.68	0.00	0.68	88.0	0.60
01/22/2018	***-**-76IO - MCALLISTER, FBO ACCOUNT #: LSR011107	MFS INFLATION ADJUSTED BOND CL B BUY 1 Units @0.0000	0.00	0.35	0.00	0.35	88.0	0.31
01/22/2018	***-**-506J - CURRIERE JR, MR ACCOUNT #: LSR011121	MFS INFLATION ADJUSTED BOND CL B BUY 1 Units @0.0000	0.00	0.18	0.00	0.18	88.0	0.16
01/22/2018	***-**-48IO - ANACKER, FBO MRS ACCOUNT #: LSR011164	MFS INFLATION ADJUSTED BOND CL B BUY 1 Units @0.0000	0.00	0.84	0.00	0.84	88.0	0.74
01/22/2018	***-**-31IO - WILLIAMSON, FBO ACCOUNT #: LSR011172	MFS INFLATION ADJUSTED BOND CL B BUY 1 Units @0.0000	0.00	0.63	0.00	0.63	88.0	0.55
01/22/2018	***-**-64IO - PFAFF, GEORGE ACCOUNT #: LSR011185	MFS INFLATION ADJUSTED BOND CL B BUY 1 Units @0.0000	0.00	0.50	0.00	0.50	88.0	0.44
01/22/2018	***-**-62IR - ROBBIANO, FBO ACCOUNT #: LSR011195	MFS INFLATION ADJUSTED BOND CL B BUY 1 Units @0.0000	0.00	0.25	0.00	0.25	88.0	0.22
01/01/2018	***-**-439I - MCCARTHY, JAMES ACCOUNT #: 08190124895	MFS INFLATION ADJUSTED BOND CL C BUY 0 Units @0.0000	0.00	3.12	0.00	3.12	88.0	2.75



# COMMISSION STATEMENT

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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>								
01/22/2018	***-**-382I - SATTERLY, NEIL ACCOUNT #: LSR010867	MFS INFLATION ADJUSTED BOND CL C BUY 1 Units @0.0000	0.00	9.89	0.00	9.89	88.0	8.70
01/22/2018	***-**-031O - MCVOY, ROBERT ACCOUNT #: LSR010916	MFS INFLATION ADJUSTED BOND CL C BUY 1 Units @0.0000	0.00	2.80	0.00	2.80	88.0	2.46
01/22/2018	***-**-44IO - MAYO, DEBORAH ACCOUNT #: LSR011079	MFS INFLATION ADJUSTED BOND CL C BUY 1 Units @0.0000	0.00	0.11	0.00	0.11	88.0	0.10
01/01/2018	***-**-84IN - WARMUTH, ERIC ACCOUNT #: 00060639189	MFS INFLATION ADJUSTED BOND FUND-A BUY 0 Units @0.0000	0.00	1.11	0.00	1.11	88.0	0.98
01/01/2018	***-**-26IN - GRANDE, MR ACCOUNT #: 08191260232	MFS INTERNATIONAL NEW DISCOVERY CL BUY 0 Units @0.0000	0.00	3.35	0.00	3.35	88.0	2.95
01/22/2018	***-**-065I - LAZIO, THOMAS ACCOUNT #: LSR010979	MFS INTERNATIONAL NEW DISCOVERY CL BUY 1 Units @0.0000	0.00	5.74	0.00	5.74	88.0	5.05
01/01/2018	***-**-111J - NESSIA, JAMES ACCOUNT #: 08190126843	MFS INTERNATIONAL NEW DISCOVERY FUN BUY 0 Units @0.0000	0.00	3.16	0.00	3.16	88.0	2.78
01/01/2018	***-**-0767 - DOVI, ACCOUNT #: 08191152598	MFS INTERNATIONAL NEW DISCOVERY FUN BUY 0 Units @0.0000	0.00	0.87	0.00	0.87	88.0	0.77
01/01/2018	***-**-2483 - TURNBULL, ACCOUNT #: 08191153585	MFS INTERNATIONAL NEW DISCOVERY FUN BUY 0 Units @0.0000	0.00	2.14	0.00	2.14	88.0	1.88
01/01/2018	***-**-617I - ESCHE, BEVERLY ACCOUNT #: 08191154979	MFS INTERNATIONAL NEW DISCOVERY FUN BUY 0 Units @0.0000	0.00	1.22	0.00	1.22	88.0	1.07
01/01/2018	***-**-06IN - SATTERLY, ACCOUNT #: 08191173302	MFS INTERNATIONAL NEW DISCOVERY FUN BUY 0 Units @0.0000	0.00	0.28	0.00	0.28	88.0	0.25
01/01/2018	***-**-21IR - SATTERLY, ANDREW ACCOUNT #: 08191173305	MFS INTERNATIONAL NEW DISCOVERY FUN BUY 0 Units @0.0000	0.00	0.30	0.00	0.30	88.0	0.26
01/01/2018	***-**-094I - CIRILLO, CARL ACCOUNT #: 08191173445	MFS INTERNATIONAL NEW DISCOVERY FUN BUY 0 Units @0.0000	0.00	2.37	0.00	2.37	88.0	2.09
01/01/2018	***-**-671I - EBERLEY, REID ACCOUNT #: 08191175793	MFS INTERNATIONAL NEW DISCOVERY FUN BUY 0 Units @0.0000	0.00	2.04	0.00	2.04	88.0	1.80
01/01/2018	***-**-9839 - YADDAW, DAVID ACCOUNT #: 08191183793	MFS INTERNATIONAL NEW DISCOVERY FUN BUY 0 Units @0.0000	0.00	1.98	0.00	1.98	88.0	1.74
01/01/2018	***-**-844I - ROSS, VALERIE ACCOUNT #: 08191197798	MFS INTERNATIONAL NEW DISCOVERY FUN BUY 0 Units @0.0000	0.00	4.71	0.00	4.71	88.0	4.14





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<b><u> OVERRIDE TRANSACTIONS (continued) </u></b>								
<b><u> BROKER: KURT GRUENEWALD (continued) </u></b>								
01/01/2018	***-**-728I - BYWATER, KIM	MFS INTERNATIONAL NEW DISCOVERY FUN	0.00	0.31	0.00	0.31	88.0	0.27
	ACCOUNT #: 08191226548	BUY 0 Units @0.0000						
01/01/2018	***-**-49IN - GUARDI, LINDA	MFS INTERNATIONAL NEW DISCOVERY FUN	0.00	3.06	0.00	3.06	88.0	2.69
	ACCOUNT #: 08191237797	BUY 0 Units @0.0000						
01/01/2018	***-**-058I - ROBBIANO, SARAH	MFS INTERNATIONAL NEW DISCOVERY FUN	0.00	0.18	0.00	0.18	88.0	0.16
	ACCOUNT #: 08191291666	BUY 0 Units @0.0000						
01/01/2018	***-**-14IN - LINES, JUDITH	MFS INTERNATIONAL NEW DISCOVERY FUN	0.00	0.79	0.00	0.79	88.0	0.70
	ACCOUNT #: 08191291668	BUY 0 Units @0.0000						
01/01/2018	***-**-39IO - GUARNIERO, FBO	MFS INTERNATIONAL NEW DISCOVERY FUN	0.00	0.35	0.00	0.35	88.0	0.31
	ACCOUNT #: 08191309494	BUY 0 Units @0.0000						
01/22/2018	***-**-254I - AUGUSTINE, LINDA	MFS INTERNATIONAL NEW DISCOVERY FUN	0.00	1.39	0.00	1.39	88.0	1.22
	ACCOUNT #: LSR010846	BUY 1 Units @0.0000						
01/22/2018	***-**-930I - SANGER, KEVIN	MFS INTERNATIONAL NEW DISCOVERY FUN	0.00	0.85	0.00	0.85	88.0	0.75
	ACCOUNT #: LSR010941	BUY 1 Units @0.0000						
01/22/2018	***-**-959I - FRANZ, PAUL	MFS INTERNATIONAL NEW DISCOVERY FUN	0.00	1.90	0.00	1.90	88.0	1.67
	ACCOUNT #: LSR010959	BUY 1 Units @0.0000						
01/22/2018	***-**-960J - MASTRANGELO,	MFS INTERNATIONAL NEW DISCOVERY FUN	0.00	1.34	0.00	1.34	88.0	1.18
	ACCOUNT #: LSR010966	BUY 1 Units @0.0000						
01/22/2018	***-**-761I - EVANS, DOLORES	MFS INTERNATIONAL NEW DISCOVERY FUN	0.00	5.36	0.00	5.36	88.0	4.72
	ACCOUNT #: LSR011024	BUY 1 Units @0.0000						
01/22/2018	***-**-944O - MAYO, DEBORAH	MFS INTERNATIONAL NEW DISCOVERY FUN	0.00	0.65	0.00	0.65	88.0	0.57
	ACCOUNT #: LSR011035	BUY 1 Units @0.0000						
01/22/2018	***-**-861I - SANGER, LAWRENCE	MFS INTERNATIONAL NEW DISCOVERY FUN	0.00	0.81	0.00	0.81	88.0	0.71
	ACCOUNT #: LSR011095	BUY 1 Units @0.0000						
01/22/2018	***-**-13IN - RHYMESTINE,	MFS INTERNATIONAL NEW DISCOVERY FUN	0.00	1.15	0.00	1.15	88.0	1.01
	ACCOUNT #: LSR011106	BUY 1 Units @0.0000						
01/22/2018	***-**-31IO - WILLIAMSON, FBO	MFS INTERNATIONAL NEW DISCOVERY FUN	0.00	2.73	0.00	2.73	88.0	2.40
	ACCOUNT #: LSR011172	BUY 1 Units @0.0000						
01/22/2018	***-**-03IO - MASTRANGELO,	MFS INTERNATIONAL NEW DISCOVERY FUN	0.00	2.23	0.00	2.23	88.0	1.96
	ACCOUNT #: LSR011679	BUY 1 Units @0.0000						
01/01/2018	***-**-4193 - VAN BAALEN, GUY	MFS INTERNATIONAL VALUE FUND-A	0.00	1.39	0.00	1.39	88.0	1.22
	ACCOUNT #: 08191310030	BUY 0 Units @0.0000						



# COMMISSION STATEMENT

## January 22, 2018

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b><u> OVERRIDE TRANSACTIONS (continued) </u></b>								
<b><u> BROKER: KURT GRUENEWALD (continued) </u></b>								
01/01/2018	***-**-439I - MCCARTHY, JAMES	MFS INTERNATIONAL VALUE FUND-B	0.00	0.82	0.00	0.82	88.0	0.72
	ACCOUNT #: 08190124895	BUY 0 Units @0.0000						
01/01/2018	***-**-466I - MCCLUSKY, YVONNE	MFS INTERNATIONAL VALUE FUND-B	0.00	1.36	0.00	1.36	88.0	1.20
	ACCOUNT #: 08191161825	BUY 0 Units @0.0000						
01/01/2018	***-**-3932 - CARSON, DAVID	MFS INTERNATIONAL VALUE FUND-B	0.00	2.74	0.00	2.74	88.0	2.41
	ACCOUNT #: 08191168388	BUY 0 Units @0.0000						
01/01/2018	***-**-13IN - RHYMESTINE,	MFS INTERNATIONAL VALUE FUND-B	0.00	8.18	0.00	8.18	88.0	7.20
	ACCOUNT #: 08191178476	BUY 0 Units @0.0000						
01/01/2018	***-**-3420 - KOCHER, DENISE	MFS INTERNATIONAL VALUE FUND-B	0.00	1.16	0.00	1.16	88.0	1.02
	ACCOUNT #: 08191179076	BUY 0 Units @0.0000						
01/01/2018	***-**-7116 - PREVOST, SANDRA	MFS INTERNATIONAL VALUE FUND-B	0.00	2.62	0.00	2.62	88.0	2.31
	ACCOUNT #: 08191191385	BUY 0 Units @0.0000						
01/01/2018	***-**-09IN - BATES, CHRISTINE	MFS INTERNATIONAL VALUE FUND-B	0.00	4.64	0.00	4.64	88.0	4.08
	ACCOUNT #: 08191196034	BUY 0 Units @0.0000						
01/01/2018	***-**-37IN - PFAFF, JOAN	MFS INTERNATIONAL VALUE FUND-B	0.00	6.98	0.00	6.98	88.0	6.14
	ACCOUNT #: 08191218057	BUY 0 Units @0.0000						
01/22/2018	***-**-51IO - CAIN, TIMOTHY	MFS INTERNATIONAL VALUE FUND-B	0.00	0.95	0.00	0.95	88.0	0.84
	ACCOUNT #: LSR011007	BUY 1 Units @0.0000						
01/22/2018	***-**-861I - SANGER, LAWRENCE	MFS LIFETIME INCOME CLASS B	0.00	1.35	0.00	1.35	88.0	1.19
	ACCOUNT #: LSR011095	BUY 1 Units @0.0000						
01/01/2018	***-**-466I - MCCLUSKY, YVONNE	MFS LIMITED MATURITY FUND-C	0.00	3.25	0.00	3.25	88.0	2.86
	ACCOUNT #: 08191161825	BUY 0 Units @0.0000						
01/01/2018	***-**-1855 - WILLIAMSON,	MFS MID CAP VALUE CLASS C	0.00	1.59	0.00	1.59	88.0	1.40
	ACCOUNT #: 08191308008	BUY 0 Units @0.0000						
01/01/2018	***-**-49IN - GUARDI, LINDA	MFS MID CAP VALUE FUND-B	0.00	3.80	0.00	3.80	88.0	3.34
	ACCOUNT #: 08191237797	BUY 0 Units @0.0000						
01/22/2018	***-**-959J - FRANZ, PAUL	MFS MODERATE ALLOCATION CL C	0.00	14.28	0.00	14.28	88.0	12.57
	ACCOUNT #: LSR010958	BUY 1 Units @0.0000						
01/22/2018	***-**-86IN - LEE, KEVIN	MFS MODERATE ALLOCATION CL C	0.00	24.56	0.00	24.56	88.0	21.61
	ACCOUNT #: LSR011613	BUY 1 Units @0.0000						
01/01/2018	***-**-4193 - VAN BAALEN, GUY	MFS NEW DISCOVERY FUND-A	0.00	1.28	0.00	1.28	88.0	1.13
	ACCOUNT #: 08191310030	BUY 0 Units @0.0000						



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<b> OVERRIDE TRANSACTIONS (continued)</b>								
<b> <u>BROKER: KURT GRUENEWALD (continued)</u></b>								
01/01/2018	***-**-2603 - MASTRANGELO, ACCOUNT #: 08190129168	MFS NEW DISCOVERY FUND-B BUY 0 Units @0.0000	0.00	0.31	0.00	0.31	88.0	0.27
01/01/2018	***-**-889I - FRANZ, JONATHAN ACCOUNT #: 08190130131	MFS NEW DISCOVERY FUND-B BUY 0 Units @0.0000	0.00	0.49	0.00	0.49	88.0	0.43
01/01/2018	***-**-213I - GRUENEWALD, ACCOUNT #: 08190131132	MFS NEW DISCOVERY FUND-B BUY 0 Units @0.0000	0.00	1.21	0.00	1.21	88.0	1.06
01/01/2018	***-**-02IN - BUSHEY, MELISSA ACCOUNT #: 08191150076	MFS NEW DISCOVERY FUND-B BUY 0 Units @0.0000	0.00	1.16	0.00	1.16	88.0	1.02
01/01/2018	***-**-8440 - PREVOST, PIERRE ACCOUNT #: 08191160862	MFS NEW DISCOVERY FUND-B BUY 0 Units @0.0000	0.00	1.14	0.00	1.14	88.0	1.00
01/01/2018	***-**-237I - MCCLUSKY, MARK ACCOUNT #: 08191161591	MFS NEW DISCOVERY FUND-B BUY 0 Units @0.0000	0.00	1.01	0.00	1.01	88.0	0.89
01/01/2018	***-**-7116 - PREVOST, SANDRA ACCOUNT #: 08191191385	MFS NEW DISCOVERY FUND-B BUY 0 Units @0.0000	0.00	1.33	0.00	1.33	88.0	1.17
01/01/2018	***-**-09IN - BATES, CHRISTINE ACCOUNT #: 08191196034	MFS NEW DISCOVERY FUND-B BUY 0 Units @0.0000	0.00	4.43	0.00	4.43	88.0	3.90
01/01/2018	***-**-524I - SCALISE, JOSEPH ACCOUNT #: 08191202574	MFS NEW DISCOVERY FUND-B BUY 0 Units @0.0000	0.00	1.37	0.00	1.37	88.0	1.21
01/01/2018	***-**-37IN - PFAFF, JOAN ACCOUNT #: 08191218057	MFS NEW DISCOVERY FUND-B BUY 0 Units @0.0000	0.00	6.56	0.00	6.56	88.0	5.77
01/01/2018	***-**-48IO - ANACKER, FBO MRS ACCOUNT #: 08191221209	MFS NEW DISCOVERY FUND-B BUY 0 Units @0.0000	0.00	1.56	0.00	1.56	88.0	1.37
01/01/2018	***-**-058I - ROBBIANO, SARAH ACCOUNT #: 08191291666	MFS NEW DISCOVERY FUND-B BUY 0 Units @0.0000	0.00	0.17	0.00	0.17	88.0	0.15
01/22/2018	***-**-960J - MASTRANGELO, ACCOUNT #: LSR010966	MFS NEW DISCOVERY FUND-B BUY 1 Units @0.0000	0.00	2.36	0.00	2.36	88.0	2.08
01/22/2018	***-**-31IO - WILLIAMSON, FBO ACCOUNT #: LSR011172	MFS NEW DISCOVERY FUND-B BUY 1 Units @0.0000	0.00	1.42	0.00	1.42	88.0	1.25
01/22/2018	***-**-978I - GUNN, KATHLEEN ACCOUNT #: LSR011345	MFS NEW DISCOVERY FUND-B BUY 1 Units @0.0000	0.00	0.60	0.00	0.60	88.0	0.53
01/22/2018	***-**-197I - GAMBINO, ANDREW ACCOUNT #: LSR011465	MFS NEW DISCOVERY VALUE FUND CL B BUY 1 Units @0.0000	0.00	0.27	0.00	0.27	88.0	0.24



# COMMISSION STATEMENT

## January 22, 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> BROKER: KURT GRUENEWALD (continued)</b>								
01/22/2018	***-**-53IN - EVANS, ANDREW ACCOUNT #: LSR011483	MFS NEW DISCOVERY VALUE FUND CL B BUY 1 Units @0.0000	0.00	0.26	0.00	0.26	88.0	0.23
01/22/2018	***-**-24IN - BLISS, RYAN ACCOUNT #: LSR011502	MFS NEW DISCOVERY VALUE FUND CL B BUY 1 Units @0.0000	0.00	0.34	0.00	0.34	88.0	0.30
01/22/2018	***-**-38IO - BROWN, TYLER ACCOUNT #: LSR011602	MFS NEW DISCOVERY VALUE FUND CL B BUY 1 Units @0.0000	0.00	0.75	0.00	0.75	88.0	0.66
01/22/2018	***-**-382I - SATTERLY, NEIL ACCOUNT #: LSR010867	MFS NEW DISCOVERY VALUE FUND CL C BUY 1 Units @0.0000	0.00	0.47	0.00	0.47	88.0	0.41
01/22/2018	***-**-44IO - MAYO, DEBORAH ACCOUNT #: LSR011079	MFS NEW DISCOVERY VALUE FUND CL C BUY 1 Units @0.0000	0.00	0.57	0.00	0.57	88.0	0.50
01/01/2018	***-**-84IN - WARMUTH, ERIC ACCOUNT #: 00060639106	MFS NEW YORK MUNICIPAL BOND FUND CL BUY 0 Units @0.0000	0.00	2.09	0.00	2.09	88.0	1.84
01/22/2018	***-**-63TR - EVANS, AUDREY J ACCOUNT #: LSR011036	MFS NEW YORK MUNICIPAL BOND FUND-B BUY 1 Units @0.0000	0.00	1.65	0.00	1.65	88.0	1.45
01/22/2018	***-**-111J - NESSIA, JAMES ACCOUNT #: LSR011054	MFS NEW YORK MUNICIPAL BOND FUND-B BUY 1 Units @0.0000	0.00	0.51	0.00	0.51	88.0	0.45
01/01/2018	***-**-111J - NESSIA, JAMES ACCOUNT #: 08190126843	MFS RESEARCH BOND FUND-B BUY 0 Units @0.0000	0.00	0.46	0.00	0.46	88.0	0.40
01/01/2018	***-**-02IN - BUSHEY, MELISSA ACCOUNT #: 08191150076	MFS RESEARCH BOND FUND-B BUY 0 Units @0.0000	0.00	0.41	0.00	0.41	88.0	0.36
01/01/2018	***-**-0767 - DOVI, ACCOUNT #: 08191152598	MFS RESEARCH BOND FUND-B BUY 0 Units @0.0000	0.00	0.36	0.00	0.36	88.0	0.32
01/01/2018	***-**-8440 - PREVOST, PIERRE ACCOUNT #: 08191160862	MFS RESEARCH BOND FUND-B BUY 0 Units @0.0000	0.00	0.16	0.00	0.16	88.0	0.14
01/01/2018	***-**-237I - MCCLUSKY, MARK ACCOUNT #: 08191161591	MFS RESEARCH BOND FUND-B BUY 0 Units @0.0000	0.00	0.60	0.00	0.60	88.0	0.53
01/01/2018	***-**-3932 - CARSON, DAVID ACCOUNT #: 08191168388	MFS RESEARCH BOND FUND-B BUY 0 Units @0.0000	0.00	0.77	0.00	0.77	88.0	0.68
01/01/2018	***-**-094I - CIRILLO, CARL ACCOUNT #: 08191173445	MFS RESEARCH BOND FUND-B BUY 0 Units @0.0000	0.00	1.12	0.00	1.12	88.0	0.99
01/01/2018	***-**-671I - EBERLEY, REID ACCOUNT #: 08191175793	MFS RESEARCH BOND FUND-B BUY 0 Units @0.0000	0.00	0.92	0.00	0.92	88.0	0.81



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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>								
01/01/2018	***-**-13IN - RHYMESTINE, ACCOUNT #: 08191178476	MFS RESEARCH BOND FUND-B BUY 0 Units @0.0000	0.00	0.35	0.00	0.35	88.0	0.31
01/01/2018	***-**-3420 - KOCHEM, DENISE ACCOUNT #: 08191179076	MFS RESEARCH BOND FUND-B BUY 0 Units @0.0000	0.00	0.22	0.00	0.22	88.0	0.19
01/01/2018	***-**-9839 - YADDAW, DAVID ACCOUNT #: 08191183793	MFS RESEARCH BOND FUND-B BUY 0 Units @0.0000	0.00	0.91	0.00	0.91	88.0	0.80
01/01/2018	***-**-844I - ROSS, VALERIE ACCOUNT #: 08191197798	MFS RESEARCH BOND FUND-B BUY 0 Units @0.0000	0.00	1.97	0.00	1.97	88.0	1.73
01/22/2018	***-**-254I - AUGUSTINE, LINDA ACCOUNT #: LSR010846	MFS RESEARCH BOND FUND-B BUY 1 Units @0.0000	0.00	0.59	0.00	0.59	88.0	0.52
01/22/2018	***-**-959I - FRANZ, PAUL ACCOUNT #: LSR010959	MFS RESEARCH BOND FUND-B BUY 1 Units @0.0000	0.00	0.85	0.00	0.85	88.0	0.75
01/22/2018	***-**-51IO - CAIN, TIMOTHY ACCOUNT #: LSR011007	MFS RESEARCH BOND FUND-B BUY 1 Units @0.0000	0.00	1.37	0.00	1.37	88.0	1.21
01/22/2018	***-**-761I - EVANS, DOLORES ACCOUNT #: LSR011024	MFS RESEARCH BOND FUND-B BUY 1 Units @0.0000	0.00	1.36	0.00	1.36	88.0	1.20
01/22/2018	***-**-111J - NESSIA, JAMES ACCOUNT #: LSR011054	MFS RESEARCH BOND FUND-B BUY 1 Units @0.0000	0.00	0.38	0.00	0.38	88.0	0.33
01/22/2018	***-**-861I - SANGER, LAWRENCE ACCOUNT #: LSR011095	MFS RESEARCH BOND FUND-B BUY 1 Units @0.0000	0.00	0.40	0.00	0.40	88.0	0.35
01/22/2018	***-**-76IO - MCALLISTER, FBO ACCOUNT #: LSR011107	MFS RESEARCH BOND FUND-B BUY 1 Units @0.0000	0.00	0.54	0.00	0.54	88.0	0.48
01/22/2018	***-**-367J - WAGNER, MRS LANT ACCOUNT #: LSR011134	MFS RESEARCH BOND FUND-B BUY 1 Units @0.0000	0.00	0.50	0.00	0.50	88.0	0.44
01/22/2018	***-**-31IO - WILLIAMSON, FBO ACCOUNT #: LSR011172	MFS RESEARCH BOND FUND-B BUY 1 Units @0.0000	0.00	0.68	0.00	0.68	88.0	0.60
01/22/2018	***-**-02IN - BUSHEY, MELISSA ACCOUNT #: LSR011257	MFS RESEARCH BOND FUND-B BUY 1 Units @0.0000	0.00	0.22	0.00	0.22	88.0	0.19
01/22/2018	***-**-62IN - EATON, DAVID ACCOUNT #: LSR011315	MFS RESEARCH BOND FUND-B BUY 1 Units @0.0000	0.00	0.59	0.00	0.59	88.0	0.52
01/01/2018	***-**-094I - CIRILLO, CARL ACCOUNT #: 08190127967	MFS RESEARCH FUND-B BUY 0 Units @0.0000	0.00	1.23	0.00	1.23	88.0	1.08



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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>								
01/01/2018	***-**-466I - MCCLUSKY, YVONNE	MFS RESEARCH FUND-B	0.00	0.72	0.00	0.72	88.0	0.63
	ACCOUNT #: 08191161825	BUY 0 Units @0.0000						
01/01/2018	***-**-3932 - CARSON, DAVID	MFS RESEARCH FUND-B	0.00	1.48	0.00	1.48	88.0	1.30
	ACCOUNT #: 08191168388	BUY 0 Units @0.0000						
01/01/2018	***-**-13IN - RHYMESTINE,	MFS RESEARCH FUND-B	0.00	0.97	0.00	0.97	88.0	0.85
	ACCOUNT #: 08191178476	BUY 0 Units @0.0000						
01/01/2018	***-**-3420 - KOCHER, DENISE	MFS RESEARCH FUND-B	0.00	0.59	0.00	0.59	88.0	0.52
	ACCOUNT #: 08191179076	BUY 0 Units @0.0000						
01/01/2018	***-**-7116 - PREVOST, SANDRA	MFS RESEARCH FUND-B	0.00	1.24	0.00	1.24	88.0	1.09
	ACCOUNT #: 08191191385	BUY 0 Units @0.0000						
01/22/2018	***-**-326J - GRANDE, MR	MFS STRATEGIC INCOME FUND-B	0.00	1.15	0.00	1.15	88.0	1.01
	ACCOUNT #: LSR011089	BUY 1 Units @0.0000						
01/01/2018	***-**-26IN - GRANDE, MR	MFS TECHNOLOGY CLASS C	0.00	4.04	0.00	4.04	88.0	3.56
	ACCOUNT #: 08191260232	BUY 0 Units @0.0000						
01/11/2018	***-**-37IO - DAVIDSON,	MFS TECHNOLOGY CLASS C	5,000.01	50.00	0.00	50.00	88.0	44.00
	ACCOUNT #: LSR012268	BUY 149 Units @33.6400						
01/18/2018	***-**-366I - GRUENEWALD,	MFS TECHNOLOGY CLASS C	9,999.99	100.00	0.00	100.00	88.0	88.00
	ACCOUNT #: LSR010989	BUY 294 Units @33.9900						
01/22/2018	***-**-48IO - CLARK, PATRICK	MFS TECHNOLOGY CLASS C	0.00	7.11	0.00	7.11	88.0	6.26
	ACCOUNT #: LSR010911	BUY 1 Units @0.0000						
01/22/2018	***-**-031O - MCVOY, ROBERT	MFS TECHNOLOGY CLASS C	0.00	4.62	0.00	4.62	88.0	4.07
	ACCOUNT #: LSR010916	BUY 1 Units @0.0000						
01/22/2018	***-**-930I - SANGER, KEVIN	MFS TECHNOLOGY CLASS C	0.00	8.74	0.00	8.74	88.0	7.69
	ACCOUNT #: LSR010941	BUY 1 Units @0.0000						
01/22/2018	***-**-065I - LAZIO, THOMAS	MFS TECHNOLOGY CLASS C	0.00	5.67	0.00	5.67	88.0	4.99
	ACCOUNT #: LSR010979	BUY 1 Units @0.0000						
01/22/2018	***-**-00IO - LEE, GARY	MFS TECHNOLOGY CLASS C	0.00	11.29	0.00	11.29	88.0	9.94
	ACCOUNT #: LSR011059	BUY 1 Units @0.0000						
01/22/2018	***-**-44IO - MAYO, DEBORAH	MFS TECHNOLOGY CLASS C	0.00	0.34	0.00	0.34	88.0	0.30
	ACCOUNT #: LSR011079	BUY 1 Units @0.0000						
01/22/2018	***-**-09IO - BATES, FBO MRS	MFS TECHNOLOGY CLASS C	0.00	11.14	0.00	11.14	88.0	9.80
	ACCOUNT #: LSR011117	BUY 1 Units @0.0000						



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<b> OVERRIDE TRANSACTIONS (continued)</b>								
<b> <u>BROKER: KURT GRUENEWALD (continued)</u></b>								
01/22/2018	***-**-89IN - LEE, ROGER	MFS TECHNOLOGY CLASS C	0.00	6.12	0.00	6.12	88.0	5.39
	ACCOUNT #: LSR011166	BUY 1 Units @0.0000						
01/22/2018	***-**-094I - KATRENA L	MFS TECHNOLOGY CLASS C	0.00	6.26	0.00	6.26	88.0	5.51
	ACCOUNT #: LSR011188	BUY 1 Units @0.0000						
01/22/2018	***-**-06IR - CAMPBELL, PAMELA	MFS TECHNOLOGY CLASS C	0.00	7.82	0.00	7.82	88.0	6.88
	ACCOUNT #: LSR011222	BUY 1 Units @0.0000						
01/22/2018	***-**-11IO - LYNN G.	MFS TECHNOLOGY CLASS C	0.00	6.46	0.00	6.46	88.0	5.68
	ACCOUNT #: LSR011239	BUY 1 Units @0.0000						
01/22/2018	***-**-45IO - JOHNSON, GREGORY	MFS TECHNOLOGY CLASS C	0.00	7.78	0.00	7.78	88.0	6.85
	ACCOUNT #: LSR011421	BUY 1 Units @0.0000						
01/22/2018	***-**-37IO - MCCLUSKY, MARK	MFS TECHNOLOGY CLASS C	0.00	2.46	0.00	2.46	88.0	2.16
	ACCOUNT #: LSR011579	BUY 1 Units @0.0000						
01/22/2018	***-**-86IN - LEE, KEVIN	MFS TECHNOLOGY CLASS C	0.00	9.79	0.00	9.79	88.0	8.62
	ACCOUNT #: LSR011613	BUY 1 Units @0.0000						
01/22/2018	***-**-633J -	MFS TECHNOLOGY CLASS C	0.00	0.28	0.00	0.28	88.0	0.25
	ACCOUNT #: LSR011732	BUY 1 Units @0.0000						
01/22/2018	***-**-99IN - EDELMAN, TINA	MFS TECHNOLOGY CLASS C	0.00	0.06	0.00	0.06	88.0	0.05
	ACCOUNT #: LSR011956	BUY 1 Units @0.0000						
01/22/2018	***-**-28IN - BYWATER, KIM	MFS TECHNOLOGY CLASS C	0.00	0.12	0.00	0.12	88.0	0.11
	ACCOUNT #: LSR011995	BUY 1 Units @0.0000						
01/01/2018	***-**-4193 - VAN BAALEN, GUY	MFS TECHNOLOGY FUND CLASS A	0.00	1.82	0.00	1.82	88.0	1.60
	ACCOUNT #: 08191310030	BUY 0 Units @0.0000						
01/22/2018	***-**-944O - MAYO, DEBORAH	MFS TECHNOLOGY FUND CLASS A	0.00	1.18	0.00	1.18	88.0	1.04
	ACCOUNT #: LSR011035	BUY 1 Units @0.0000						
01/22/2018	***-**-808J - GORMAN, RANDY	MFS TECHNOLOGY FUND CLASS A	0.00	0.22	0.00	0.22	88.0	0.19
	ACCOUNT #: LSR011087	BUY 1 Units @0.0000						
01/01/2018	***-**-49IN - GUARDI, LINDA	MFS TECHNOLOGY FUND-B	0.00	2.65	0.00	2.65	88.0	2.33
	ACCOUNT #: 05566055028	BUY 0 Units @0.0000						
01/01/2018	***-**-439I - MCCARTHY, JAMES	MFS TECHNOLOGY FUND-B	0.00	1.38	0.00	1.38	88.0	1.21
	ACCOUNT #: 08190124895	BUY 0 Units @0.0000						
01/01/2018	***-**-111J - NESSIA, JAMES	MFS TECHNOLOGY FUND-B	0.00	2.10	0.00	2.10	88.0	1.85
	ACCOUNT #: 08190126843	BUY 0 Units @0.0000						



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<b> OVERRIDE TRANSACTIONS (continued) </b>								
<b> <u>BROKER: KURT GRUENEWALD (continued)</u> </b>								
01/01/2018	***-**-2603 - MASTRANGELO, ACCOUNT #: 08190129168	MFS TECHNOLOGY FUND-B BUY 0 Units @0.0000	0.00	0.69	0.00	0.69	88.0	0.61
01/01/2018	***-**-889I - FRANZ, JONATHAN ACCOUNT #: 08190130131	MFS TECHNOLOGY FUND-B BUY 0 Units @0.0000	0.00	1.48	0.00	1.48	88.0	1.30
01/01/2018	***-**-213I - GRUENEWALD, ACCOUNT #: 08190131132	MFS TECHNOLOGY FUND-B BUY 0 Units @0.0000	0.00	2.66	0.00	2.66	88.0	2.34
01/01/2018	***-**-06IN - SATTERLY, ACCOUNT #: 08191173302	MFS TECHNOLOGY FUND-B BUY 0 Units @0.0000	0.00	0.49	0.00	0.49	88.0	0.43
01/01/2018	***-**-094I - CIRILLO, CARL ACCOUNT #: 08191173445	MFS TECHNOLOGY FUND-B BUY 0 Units @0.0000	0.00	3.07	0.00	3.07	88.0	2.70
01/01/2018	***-**-80IN - CURRIERE, LAURA ACCOUNT #: 08191216642	MFS TECHNOLOGY FUND-B BUY 0 Units @0.0000	0.00	0.47	0.00	0.47	88.0	0.41
01/01/2018	***-**-6988 - TOOKE, LISA ACCOUNT #: 08191218269	MFS TECHNOLOGY FUND-B BUY 0 Units @0.0000	0.00	2.40	0.00	2.40	88.0	2.11
01/01/2018	***-**-48IO - ANACKER, FBO MRS ACCOUNT #: 08191221209	MFS TECHNOLOGY FUND-B BUY 0 Units @0.0000	0.00	1.39	0.00	1.39	88.0	1.22
01/01/2018	***-**-5384 - GURDO, JESSICA ACCOUNT #: 08191233759	MFS TECHNOLOGY FUND-B BUY 0 Units @0.0000	0.00	0.68	0.00	0.68	88.0	0.60
01/01/2018	***-**-058I - ROBBIANO, SARAH ACCOUNT #: 08191291666	MFS TECHNOLOGY FUND-B BUY 0 Units @0.0000	0.00	0.56	0.00	0.56	88.0	0.49
01/01/2018	***-**-14IN - LINES, JUDITH ACCOUNT #: 08191291668	MFS TECHNOLOGY FUND-B BUY 0 Units @0.0000	0.00	1.18	0.00	1.18	88.0	1.04
01/01/2018	***-**-39IO - GUARNIERO, FBO ACCOUNT #: 08191309494	MFS TECHNOLOGY FUND-B BUY 0 Units @0.0000	0.00	0.73	0.00	0.73	88.0	0.64
01/01/2018	***-**-724I - BLISS, RYAN ACCOUNT #: 08191352733	MFS TECHNOLOGY FUND-B BUY 0 Units @0.0000	0.00	4.50	0.00	4.50	88.0	3.96
01/01/2018	***-**-606I - LEWIS, TAMARA ACCOUNT #: 08191352846	MFS TECHNOLOGY FUND-B BUY 0 Units @0.0000	0.00	0.46	0.00	0.46	88.0	0.40
01/16/2018	***-**-53IN - EVANS, ANDREW ACCOUNT #: LSR011483	MFS TECHNOLOGY FUND-B BUY 1 Units @33.6800	50.01	2.00	0.00	2.00	88.0	1.76
01/22/2018	***-**-31IO - HARTZ, CLAUDIA ACCOUNT #: LSR010915	MFS TECHNOLOGY FUND-B BUY 1 Units @0.0000	0.00	0.85	0.00	0.85	88.0	0.75





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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>								
01/22/2018	***-**-15IN - PENDRAK, JOHN	MFS TECHNOLOGY FUND-B	0.00	2.22	0.00	2.22	88.0	1.95
	ACCOUNT #: LSR010948	BUY 1 Units @0.0000						
01/22/2018	***-**-959I - FRANZ, PAUL	MFS TECHNOLOGY FUND-B	0.00	1.85	0.00	1.85	88.0	1.63
	ACCOUNT #: LSR010959	BUY 1 Units @0.0000						
01/22/2018	***-**-169I - EVANS, PAUL	MFS TECHNOLOGY FUND-B	0.00	1.45	0.00	1.45	88.0	1.28
	ACCOUNT #: LSR011026	BUY 1 Units @0.0000						
01/22/2018	***-**-580X - COBB, JAMES	MFS TECHNOLOGY FUND-B	0.00	1.22	0.00	1.22	88.0	1.07
	ACCOUNT #: LSR011040	BUY 1 Units @0.0000						
01/22/2018	***-**-579J - RHYMESTINE,	MFS TECHNOLOGY FUND-B	0.00	0.95	0.00	0.95	88.0	0.84
	ACCOUNT #: LSR011081	BUY 1 Units @0.0000						
01/22/2018	***-**-579I - RHYMESTINE,	MFS TECHNOLOGY FUND-B	0.00	1.29	0.00	1.29	88.0	1.14
	ACCOUNT #: LSR011082	BUY 1 Units @0.0000						
01/22/2018	***-**-326I - GRANDE, FBO MR	MFS TECHNOLOGY FUND-B	0.00	1.62	0.00	1.62	88.0	1.43
	ACCOUNT #: LSR011091	BUY 1 Units @0.0000						
01/22/2018	***-**-992J - CORNACCHIA	MFS TECHNOLOGY FUND-B	0.00	0.41	0.00	0.41	88.0	0.36
	ACCOUNT #: LSR011157	BUY 1 Units @0.0000						
01/22/2018	***-**-48IO - ANACKER, FBO MRS	MFS TECHNOLOGY FUND-B	0.00	1.64	0.00	1.64	88.0	1.44
	ACCOUNT #: LSR011164	BUY 1 Units @0.0000						
01/22/2018	***-**-31IO - WILLIAMSON, FBO	MFS TECHNOLOGY FUND-B	0.00	1.67	0.00	1.67	88.0	1.47
	ACCOUNT #: LSR011172	BUY 1 Units @0.0000						
01/22/2018	***-**-664J - PFAFF, GEORGE	MFS TECHNOLOGY FUND-B	0.00	1.79	0.00	1.79	88.0	1.58
	ACCOUNT #: LSR011184	BUY 1 Units @0.0000						
01/22/2018	***-**-64IO - PFAFF, GEORGE	MFS TECHNOLOGY FUND-B	0.00	0.97	0.00	0.97	88.0	0.85
	ACCOUNT #: LSR011185	BUY 1 Units @0.0000						
01/22/2018	***-**-52IO - EUSEPI, SUSAN	MFS TECHNOLOGY FUND-B	0.00	1.29	0.00	1.29	88.0	1.14
	ACCOUNT #: LSR011219	BUY 1 Units @0.0000						
01/22/2018	***-**-02IN - BUSHEY, MELISSA	MFS TECHNOLOGY FUND-B	0.00	0.96	0.00	0.96	88.0	0.84
	ACCOUNT #: LSR011257	BUY 1 Units @0.0000						
01/22/2018	***-**-75IR - EVANS, DIANE	MFS TECHNOLOGY FUND-B	0.00	1.38	0.00	1.38	88.0	1.21
	ACCOUNT #: LSR011275	BUY 1 Units @0.0000						
01/22/2018	***-**-653I - KOCHER, CLINTON	MFS TECHNOLOGY FUND-B	0.00	3.13	0.00	3.13	88.0	2.75
	ACCOUNT #: LSR011300	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>								
01/22/2018	***-**-680I - HARRELL, DARYL ACCOUNT #: LSR011321	MFS TECHNOLOGY FUND-B BUY 1 Units @0.0000	0.00	1.45	0.00	1.45	88.0	1.28
01/22/2018	***-**-978I - GUNN, KATHLEEN ACCOUNT #: LSR011345	MFS TECHNOLOGY FUND-B BUY 1 Units @0.0000	0.00	0.84	0.00	0.84	88.0	0.74
01/22/2018	***-**-197I - GAMBINO, ANDREW ACCOUNT #: LSR011465	MFS TECHNOLOGY FUND-B BUY 1 Units @0.0000	0.00	0.45	0.00	0.45	88.0	0.40
01/22/2018	***-**-53IN - EVANS, ANDREW ACCOUNT #: LSR011483	MFS TECHNOLOGY FUND-B BUY 1 Units @0.0000	0.00	0.49	0.00	0.49	88.0	0.43
01/22/2018	***-**-38IO - BROWN, TYLER ACCOUNT #: LSR011602	MFS TECHNOLOGY FUND-B BUY 1 Units @0.0000	0.00	0.96	0.00	0.96	88.0	0.84
01/22/2018	***-**-03IO - MASTRANGELO, ACCOUNT #: LSR011679	MFS TECHNOLOGY FUND-B BUY 1 Units @0.0000	0.00	1.78	0.00	1.78	88.0	1.57
01/01/2018	***-**-439J - MCCARTHY, JAMES ACCOUNT #: 00060638905	MFS TOTAL RETURN FUND-A BUY 0 Units @0.0000	0.00	0.26	0.00	0.26	88.0	0.23
01/01/2018	***-**-439I - MCCARTHY, JAMES ACCOUNT #: 08190124895	MFS TOTAL RETURN FUND-B BUY 0 Units @0.0000	0.00	1.59	0.00	1.59	88.0	1.40
01/01/2018	***-**-111J - NESSIA, JAMES ACCOUNT #: 08190126843	MFS TOTAL RETURN FUND-B BUY 0 Units @0.0000	0.00	3.75	0.00	3.75	88.0	3.30
01/01/2018	***-**-0767 - DOVI, ACCOUNT #: 08191152598	MFS TOTAL RETURN FUND-B BUY 0 Units @0.0000	0.00	1.65	0.00	1.65	88.0	1.45
01/01/2018	***-**-861I - SANGER, LAWRENCE ACCOUNT #: 08191153495	MFS TOTAL RETURN FUND-B BUY 0 Units @0.0000	0.00	0.43	0.00	0.43	88.0	0.38
01/01/2018	***-**-2483 - TURNBULL, ACCOUNT #: 08191153585	MFS TOTAL RETURN FUND-B BUY 0 Units @0.0000	0.00	0.98	0.00	0.98	88.0	0.86
01/01/2018	***-**-237I - MCCLUSKY, MARK ACCOUNT #: 08191161591	MFS TOTAL RETURN FUND-B BUY 0 Units @0.0000	0.00	2.09	0.00	2.09	88.0	1.84
01/01/2018	***-**-094I - CIRILLO, CARL ACCOUNT #: 08191173445	MFS TOTAL RETURN FUND-B BUY 0 Units @0.0000	0.00	4.89	0.00	4.89	88.0	4.30
01/01/2018	***-**-671I - EBERLEY, REID ACCOUNT #: 08191175793	MFS TOTAL RETURN FUND-B BUY 0 Units @0.0000	0.00	3.56	0.00	3.56	88.0	3.13
01/01/2018	***-**-13IN - RHYMESTINE, ACCOUNT #: 08191178476	MFS TOTAL RETURN FUND-B BUY 0 Units @0.0000	0.00	4.37	0.00	4.37	88.0	3.85



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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>								
01/01/2018	***-**-3420 - KOCHER, DENISE	MFS TOTAL RETURN FUND-B	0.00	0.98	0.00	0.98	88.0	0.86
	ACCOUNT #: 08191179076	BUY 0 Units @0.0000						
01/01/2018	***-**-9839 - YADDAW, DAVID	MFS TOTAL RETURN FUND-B	0.00	4.02	0.00	4.02	88.0	3.54
	ACCOUNT #: 08191183793	BUY 0 Units @0.0000						
01/01/2018	***-**-1491 - GUNN, EDWARD	MFS TOTAL RETURN FUND-B	0.00	0.98	0.00	0.98	88.0	0.86
	ACCOUNT #: 08191184927	BUY 0 Units @0.0000						
01/01/2018	***-**-7116 - PREVOST, SANDRA	MFS TOTAL RETURN FUND-B	0.00	1.67	0.00	1.67	88.0	1.47
	ACCOUNT #: 08191191385	BUY 0 Units @0.0000						
01/01/2018	***-**-09IN - BATES, CHRISTINE	MFS TOTAL RETURN FUND-B	0.00	3.96	0.00	3.96	88.0	3.48
	ACCOUNT #: 08191196034	BUY 0 Units @0.0000						
01/01/2018	***-**-844I - ROSS, VALERIE	MFS TOTAL RETURN FUND-B	0.00	6.26	0.00	6.26	88.0	5.51
	ACCOUNT #: 08191197798	BUY 0 Units @0.0000						
01/01/2018	***-**-37IN - PFAFF, JOAN	MFS TOTAL RETURN FUND-B	0.00	6.28	0.00	6.28	88.0	5.53
	ACCOUNT #: 08191218057	BUY 0 Units @0.0000						
01/01/2018	***-**-5384 - GURDO, JESSICA	MFS TOTAL RETURN FUND-B	0.00	0.37	0.00	0.37	88.0	0.33
	ACCOUNT #: 08191233759	BUY 0 Units @0.0000						
01/01/2018	***-**-14IN - LINES, JUDITH	MFS TOTAL RETURN FUND-B	0.00	0.79	0.00	0.79	88.0	0.70
	ACCOUNT #: 08191291668	BUY 0 Units @0.0000						
01/22/2018	***-**-881J - EBERLEY, SUSAN	MFS TOTAL RETURN FUND-B	0.00	1.64	0.00	1.64	88.0	1.44
	ACCOUNT #: LSR010856	BUY 1 Units @0.0000						
01/22/2018	***-**-949I - ACEE, JOSPEH	MFS TOTAL RETURN FUND-B	0.00	1.91	0.00	1.91	88.0	1.68
	ACCOUNT #: LSR010908	BUY 1 Units @0.0000						
01/22/2018	***-**-960J - MASTRANGELO,	MFS TOTAL RETURN FUND-B	0.00	1.93	0.00	1.93	88.0	1.70
	ACCOUNT #: LSR010966	BUY 1 Units @0.0000						
01/22/2018	***-**-506J - CURRIERE JR, MR	MFS TOTAL RETURN FUND-B	0.00	1.01	0.00	1.01	88.0	0.89
	ACCOUNT #: LSR011121	BUY 1 Units @0.0000						
01/22/2018	***-**-31IO - WILLIAMSON, FBO	MFS TOTAL RETURN FUND-B	0.00	2.89	0.00	2.89	88.0	2.54
	ACCOUNT #: LSR011172	BUY 1 Units @0.0000						
01/22/2018	***-**-62IR - ROBBIANO, FBO	MFS TOTAL RETURN FUND-B	0.00	0.90	0.00	0.90	88.0	0.79
	ACCOUNT #: LSR011195	BUY 1 Units @0.0000						
01/01/2018	***-**-1855 - WILLIAMSON,	MFS TRAILS 55273G710	0.00	4.68	0.00	4.68	88.0	4.12
	ACCOUNT #: 08191308008	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>								
01/01/2018	***-**-881I - EBERLEY, SUSAN	MFS TRAILS 552988610	0.00	2.72	0.00	2.72	88.0	2.39
	ACCOUNT #: 08191326411	BUY 0 Units @0.0000						
01/01/2018	***-**-881I - EBERLEY, SUSAN	MFS TRAILS 552989600	0.00	2.38	0.00	2.38	88.0	2.09
	ACCOUNT #: 08191326411	BUY 0 Units @0.0000						
01/01/2018	***-**-439J - MCCARTHY, JAMES	MFS UTILITIES FUND-A	0.00	0.69	0.00	0.69	88.0	0.61
	ACCOUNT #: 00060638930	BUY 0 Units @0.0000						
01/01/2018	***-**-84IN - WARMUTH, ERIC	MFS UTILITIES FUND-A	0.00	2.73	0.00	2.73	88.0	2.40
	ACCOUNT #: 00060639103	BUY 0 Units @0.0000						
01/01/2018	***-**-4193 - VAN BAALEN, GUY	MFS UTILITIES FUND-A	0.00	0.85	0.00	0.85	88.0	0.75
	ACCOUNT #: 08191310030	BUY 0 Units @0.0000						
01/22/2018	***-**-944O - MAYO, DEBORAH	MFS UTILITIES FUND-A	0.00	0.85	0.00	0.85	88.0	0.75
	ACCOUNT #: LSR011035	BUY 1 Units @0.0000						
01/22/2018	***-**-808J - GORMAN, RANDY	MFS UTILITIES FUND-A	0.00	0.58	0.00	0.58	88.0	0.51
	ACCOUNT #: LSR011087	BUY 1 Units @0.0000						
01/01/2018	***-**-439I - MCCARTHY, JAMES	MFS UTILITIES FUND-B	0.00	1.32	0.00	1.32	88.0	1.16
	ACCOUNT #: 08190124895	BUY 0 Units @0.0000						
01/01/2018	***-**-111J - NESSIA, JAMES	MFS UTILITIES FUND-B	0.00	1.88	0.00	1.88	88.0	1.65
	ACCOUNT #: 08190126843	BUY 0 Units @0.0000						
01/01/2018	***-**-094I - CIRILLO, CARL	MFS UTILITIES FUND-B	0.00	2.45	0.00	2.45	88.0	2.16
	ACCOUNT #: 08190127967	BUY 0 Units @0.0000						
01/01/2018	***-**-2603 - MASTRANGELO,	MFS UTILITIES FUND-B	0.00	0.41	0.00	0.41	88.0	0.36
	ACCOUNT #: 08190129168	BUY 0 Units @0.0000						
01/01/2018	***-**-889I - FRANZ, JONATHAN	MFS UTILITIES FUND-B	0.00	1.18	0.00	1.18	88.0	1.04
	ACCOUNT #: 08190130131	BUY 0 Units @0.0000						
01/01/2018	***-**-31IN - WARMUTH,	MFS UTILITIES FUND-B	0.00	2.18	0.00	2.18	88.0	1.92
	ACCOUNT #: 08191131006	BUY 0 Units @0.0000						
01/01/2018	***-**-02IN - BUSHEY, MELISSA	MFS UTILITIES FUND-B	0.00	1.01	0.00	1.01	88.0	0.89
	ACCOUNT #: 08191150076	BUY 0 Units @0.0000						
01/01/2018	***-**-0767 - DOVI,	MFS UTILITIES FUND-B	0.00	0.90	0.00	0.90	88.0	0.79
	ACCOUNT #: 08191152598	BUY 0 Units @0.0000						
01/01/2018	***-**-861I - SANGER, LAWRENCE	MFS UTILITIES FUND-B	0.00	0.76	0.00	0.76	88.0	0.67
	ACCOUNT #: 08191153495	BUY 0 Units @0.0000						



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<b><u> OVERRIDE TRANSACTIONS (continued) </u></b>								
<b><u> BROKER: KURT GRUENEWALD (continued) </u></b>								
01/01/2018	***-**-2483 - TURNBULL, ACCOUNT #: 08191153585	MFS UTILITIES FUND-B BUY 0 Units @0.0000	0.00	1.63	0.00	1.63	88.0	1.43
01/01/2018	***-**-617I - ESCHE, BEVERLY ACCOUNT #: 08191154979	MFS UTILITIES FUND-B BUY 0 Units @0.0000	0.00	3.56	0.00	3.56	88.0	3.13
01/01/2018	***-**-8440 - PREVOST, PIERRE ACCOUNT #: 08191160862	MFS UTILITIES FUND-B BUY 0 Units @0.0000	0.00	2.58	0.00	2.58	88.0	2.27
01/01/2018	***-**-237I - MCCLUSKY, MARK ACCOUNT #: 08191161591	MFS UTILITIES FUND-B BUY 0 Units @0.0000	0.00	1.60	0.00	1.60	88.0	1.41
01/01/2018	***-**-466I - MCCLUSKY, YVONNE ACCOUNT #: 08191161825	MFS UTILITIES FUND-B BUY 0 Units @0.0000	0.00	0.59	0.00	0.59	88.0	0.52
01/01/2018	***-**-3932 - CARSON, DAVID ACCOUNT #: 08191168388	MFS UTILITIES FUND-B BUY 0 Units @0.0000	0.00	3.24	0.00	3.24	88.0	2.85
01/01/2018	***-**-06IN - SATTERLY, ACCOUNT #: 08191173302	MFS UTILITIES FUND-B BUY 0 Units @0.0000	0.00	0.30	0.00	0.30	88.0	0.26
01/01/2018	***-**-094I - CIRILLO, CARL ACCOUNT #: 08191173445	MFS UTILITIES FUND-B BUY 0 Units @0.0000	0.00	0.67	0.00	0.67	88.0	0.59
01/01/2018	***-**-671I - EBERLEY, REID ACCOUNT #: 08191175793	MFS UTILITIES FUND-B BUY 0 Units @0.0000	0.00	3.31	0.00	3.31	88.0	2.91
01/01/2018	***-**-9839 - YADDAW, DAVID ACCOUNT #: 08191183793	MFS UTILITIES FUND-B BUY 0 Units @0.0000	0.00	1.99	0.00	1.99	88.0	1.75
01/01/2018	***-**-7116 - PREVOST, SANDRA ACCOUNT #: 08191191385	MFS UTILITIES FUND-B BUY 0 Units @0.0000	0.00	1.76	0.00	1.76	88.0	1.55
01/01/2018	***-**-09IN - BATES, CHRISTINE ACCOUNT #: 08191196034	MFS UTILITIES FUND-B BUY 0 Units @0.0000	0.00	4.05	0.00	4.05	88.0	3.56
01/01/2018	***-**-844I - ROSS, VALERIE ACCOUNT #: 08191197798	MFS UTILITIES FUND-B BUY 0 Units @0.0000	0.00	7.66	0.00	7.66	88.0	6.74
01/01/2018	***-**-524I - SCALISE, JOSEPH ACCOUNT #: 08191202574	MFS UTILITIES FUND-B BUY 0 Units @0.0000	0.00	1.19	0.00	1.19	88.0	1.05
01/01/2018	***-**-80IN - CURRIERE, LAURA ACCOUNT #: 08191216642	MFS UTILITIES FUND-B BUY 0 Units @0.0000	0.00	0.51	0.00	0.51	88.0	0.45
01/01/2018	***-**-37IN - PFAFF, JOAN ACCOUNT #: 08191218057	MFS UTILITIES FUND-B BUY 0 Units @0.0000	0.00	6.33	0.00	6.33	88.0	5.57



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<b> OVERRIDE TRANSACTIONS (continued)</b>								
<b> <u>BROKER: KURT GRUENEWALD (continued)</u></b>								
01/01/2018	***-**-6988 - TOOKE, LISA	MFS UTILITIES FUND-B	0.00	1.29	0.00	1.29	88.0	1.14
	ACCOUNT #: 08191218269	BUY 0 Units @0.0000						
01/01/2018	***-**-48IO - ANACKER, FBO MRS	MFS UTILITIES FUND-B	0.00	0.94	0.00	0.94	88.0	0.83
	ACCOUNT #: 08191221209	BUY 0 Units @0.0000						
01/01/2018	***-**-728I - BYWATER, KIM	MFS UTILITIES FUND-B	0.00	0.29	0.00	0.29	88.0	0.26
	ACCOUNT #: 08191226548	BUY 0 Units @0.0000						
01/01/2018	***-**-213I - GRUENEWALD,	MFS UTILITIES FUND-B	0.00	0.78	0.00	0.78	88.0	0.69
	ACCOUNT #: 08191229521	BUY 0 Units @0.0000						
01/01/2018	***-**-5384 - GURDO, JESSICA	MFS UTILITIES FUND-B	0.00	0.13	0.00	0.13	88.0	0.11
	ACCOUNT #: 08191233759	BUY 0 Units @0.0000						
01/01/2018	***-**-49IN - GUARDI, LINDA	MFS UTILITIES FUND-B	0.00	3.13	0.00	3.13	88.0	2.75
	ACCOUNT #: 08191237797	BUY 0 Units @0.0000						
01/01/2018	***-**-058I - ROBBIANO, SARAH	MFS UTILITIES FUND-B	0.00	0.17	0.00	0.17	88.0	0.15
	ACCOUNT #: 08191291666	BUY 0 Units @0.0000						
01/01/2018	***-**-39IO - GUARNIERO, FBO	MFS UTILITIES FUND-B	0.00	0.34	0.00	0.34	88.0	0.30
	ACCOUNT #: 08191309494	BUY 0 Units @0.0000						
01/01/2018	***-**-606I - LEWIS, TAMARA	MFS UTILITIES FUND-B	0.00	0.56	0.00	0.56	88.0	0.49
	ACCOUNT #: 08191352846	BUY 0 Units @0.0000						
01/01/2018	***-**-473I - HUSTON,	MFS UTILITIES FUND-B	0.00	1.04	0.00	1.04	88.0	0.92
	ACCOUNT #: 08191353972	BUY 0 Units @0.0000						
01/16/2018	***-**-53IN - EVANS, ANDREW	MFS UTILITIES FUND-B	100.00	4.00	0.00	4.00	88.0	3.52
	ACCOUNT #: LSR011483	BUY 5 Units @20.1700						
01/22/2018	***-**-31IO - HARTZ, CLAUDIA	MFS UTILITIES FUND-B	0.00	1.35	0.00	1.35	88.0	1.19
	ACCOUNT #: LSR010915	BUY 1 Units @0.0000						
01/22/2018	***-**-15IN - PENDRAK, JOHN	MFS UTILITIES FUND-B	0.00	1.86	0.00	1.86	88.0	1.64
	ACCOUNT #: LSR010948	BUY 1 Units @0.0000						
01/22/2018	***-**-366S - GRUENEWALD,	MFS UTILITIES FUND-B	0.00	0.73	0.00	0.73	88.0	0.64
	ACCOUNT #: LSR010990	BUY 1 Units @0.0000						
01/22/2018	***-**-61IN - EVANS, DOLORES	MFS UTILITIES FUND-B	0.00	0.28	0.00	0.28	88.0	0.25
	ACCOUNT #: LSR011023	BUY 1 Units @0.0000						
01/22/2018	***-**-63TR - EVANS, AUDREY J	MFS UTILITIES FUND-B	0.00	1.68	0.00	1.68	88.0	1.48
	ACCOUNT #: LSR011036	BUY 1 Units @0.0000						



# COMMISSION STATEMENT

## January 22, 2018

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

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b><u> OVERRIDE TRANSACTIONS (continued) </u></b>								
<b><u> BROKER: KURT GRUENEWALD (continued) </u></b>								
01/22/2018	***-**-306X - COBB, CHERRYL	MFS UTILITIES FUND-B	0.00	1.98	0.00	1.98	88.0	1.74
	ACCOUNT #: LSR011037	BUY 1 Units @0.0000						
01/22/2018	***-**-96IN - NESSIA, BONNIE	MFS UTILITIES FUND-B	0.00	0.55	0.00	0.55	88.0	0.48
	ACCOUNT #: LSR011055	BUY 1 Units @0.0000						
01/22/2018	***-**-579I - RHYMESTINE,	MFS UTILITIES FUND-B	0.00	2.05	0.00	2.05	88.0	1.80
	ACCOUNT #: LSR011082	BUY 1 Units @0.0000						
01/22/2018	***-**-326J - GRANDE, MR	MFS UTILITIES FUND-B	0.00	0.67	0.00	0.67	88.0	0.59
	ACCOUNT #: LSR011089	BUY 1 Units @0.0000						
01/22/2018	***-**-326I - GRANDE, FBO MR	MFS UTILITIES FUND-B	0.00	0.98	0.00	0.98	88.0	0.86
	ACCOUNT #: LSR011091	BUY 1 Units @0.0000						
01/22/2018	***-**-13IN - RHYMESTINE,	MFS UTILITIES FUND-B	0.00	0.87	0.00	0.87	88.0	0.77
	ACCOUNT #: LSR011106	BUY 1 Units @0.0000						
01/22/2018	***-**-76IO - MCALLISTER, FBO	MFS UTILITIES FUND-B	0.00	0.79	0.00	0.79	88.0	0.70
	ACCOUNT #: LSR011107	BUY 1 Units @0.0000						
01/22/2018	***-**-367J - WAGNER, MRS LANT	MFS UTILITIES FUND-B	0.00	1.65	0.00	1.65	88.0	1.45
	ACCOUNT #: LSR011134	BUY 1 Units @0.0000						
01/22/2018	***-**-31IO - WILLIAMSON, FBO	MFS UTILITIES FUND-B	0.00	1.33	0.00	1.33	88.0	1.17
	ACCOUNT #: LSR011172	BUY 1 Units @0.0000						
01/22/2018	***-**-64IO - PFAFF, GEORGE	MFS UTILITIES FUND-B	0.00	1.68	0.00	1.68	88.0	1.48
	ACCOUNT #: LSR011185	BUY 1 Units @0.0000						
01/22/2018	***-**-653I - KOCHEM, CLINTON	MFS UTILITIES FUND-B	0.00	1.42	0.00	1.42	88.0	1.25
	ACCOUNT #: LSR011300	BUY 1 Units @0.0000						
01/22/2018	***-**-62IN - EATON, DAVID	MFS UTILITIES FUND-B	0.00	1.33	0.00	1.33	88.0	1.17
	ACCOUNT #: LSR011315	BUY 1 Units @0.0000						
01/22/2018	***-**-978I - GUNN, KATHLEEN	MFS UTILITIES FUND-B	0.00	0.40	0.00	0.40	88.0	0.35
	ACCOUNT #: LSR011345	BUY 1 Units @0.0000						
01/22/2018	***-**-21IO - RADELL, SANDRA	MFS UTILITIES FUND-B	0.00	1.63	0.00	1.63	88.0	1.43
	ACCOUNT #: LSR011392	BUY 1 Units @0.0000						
01/22/2018	***-**-41IR - DINITTO, ALLISYN	MFS UTILITIES FUND-B	0.00	0.47	0.00	0.47	88.0	0.41
	ACCOUNT #: LSR011443	BUY 1 Units @0.0000						
01/22/2018	***-**-197I - GAMBINO, ANDREW	MFS UTILITIES FUND-B	0.00	0.12	0.00	0.12	88.0	0.11
	ACCOUNT #: LSR011465	BUY 1 Units @0.0000						



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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>								
01/22/2018	***-**-53IN - EVANS, ANDREW ACCOUNT #: LSR011483	MFS UTILITIES FUND-B BUY 1 Units @0.0000	0.00	0.20	0.00	0.20	88.0	0.18
01/22/2018	***-**-24IN - BLISS, RYAN ACCOUNT #: LSR011502	MFS UTILITIES FUND-B BUY 1 Units @0.0000	0.00	0.12	0.00	0.12	88.0	0.11
01/22/2018	***-**-51IN - GERACE, JOANNE ACCOUNT #: LSR011538	MFS UTILITIES FUND-B BUY 1 Units @0.0000	0.00	1.52	0.00	1.52	88.0	1.34
01/22/2018	***-**-38IO - BROWN, TYLER ACCOUNT #: LSR011602	MFS UTILITIES FUND-B BUY 1 Units @0.0000	0.00	0.58	0.00	0.58	88.0	0.51
01/01/2018	***-**-26IN - GRANDE, MR ACCOUNT #: 08191260232	MFS UTILITIES FUND-C BUY 0 Units @0.0000	0.00	3.94	0.00	3.94	88.0	3.47
01/01/2018	***-**-88II - EBERLEY, SUSAN ACCOUNT #: 08191326411	MFS UTILITIES FUND-C BUY 0 Units @0.0000	0.00	3.47	0.00	3.47	88.0	3.05
01/18/2018	***-**-714O - LINES, JUDITH ACCOUNT #: LSR011763	MFS UTILITIES FUND-C BUY 248 Units @20.1600	5,000.00	50.00	0.00	50.00	88.0	44.00
01/22/2018	***-**-235I - AUGUSTINE III, ACCOUNT #: LSR010845	MFS UTILITIES FUND-C BUY 1 Units @0.0000	0.00	9.08	0.00	9.08	88.0	7.99
01/22/2018	***-**-980I - ACEE, ELIZABETH ACCOUNT #: LSR010885	MFS UTILITIES FUND-C BUY 1 Units @0.0000	0.00	10.83	0.00	10.83	88.0	9.53
01/22/2018	***-**-48IO - CLARK, PATRICK ACCOUNT #: LSR010911	MFS UTILITIES FUND-C BUY 1 Units @0.0000	0.00	9.16	0.00	9.16	88.0	8.06
01/22/2018	***-**-031O - MCVOY, ROBERT ACCOUNT #: LSR010916	MFS UTILITIES FUND-C BUY 1 Units @0.0000	0.00	4.62	0.00	4.62	88.0	4.07
01/22/2018	***-**-065I - LAZIO, THOMAS ACCOUNT #: LSR010979	MFS UTILITIES FUND-C BUY 1 Units @0.0000	0.00	17.73	0.00	17.73	88.0	15.60
01/22/2018	***-**-00IO - LEE, GARY ACCOUNT #: LSR011059	MFS UTILITIES FUND-C BUY 1 Units @0.0000	0.00	10.75	0.00	10.75	88.0	9.46
01/22/2018	***-**-09IO - BATES, FBO MRS ACCOUNT #: LSR011117	MFS UTILITIES FUND-C BUY 1 Units @0.0000	0.00	11.29	0.00	11.29	88.0	9.94
01/22/2018	***-**-89IN - LEE, ROGER ACCOUNT #: LSR011166	MFS UTILITIES FUND-C BUY 1 Units @0.0000	0.00	6.82	0.00	6.82	88.0	6.00
01/22/2018	***-**-81IR - CAMPBELL, ACCOUNT #: LSR011223	MFS UTILITIES FUND-C BUY 1 Units @0.0000	0.00	7.02	0.00	7.02	88.0	6.18





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<b> OVERRIDE TRANSACTIONS (continued)</b>								
<b> <u>BROKER: KURT GRUENEWALD (continued)</u></b>								
01/22/2018	***-**-11IO - LYNN G. ACCOUNT #: LSR011239	MFS UTILITIES FUND-C BUY 1 Units @0.0000	0.00	9.75	0.00	9.75	88.0	8.58
01/22/2018	***-**-37IR - HARTZ, RENEE ACCOUNT #: LSR011259	MFS UTILITIES FUND-C BUY 1 Units @0.0000	0.00	0.02	0.00	0.02	88.0	0.02
01/22/2018	***-**-80IO - EVANS, RICHARD ACCOUNT #: LSR011276	MFS UTILITIES FUND-C BUY 1 Units @0.0000	0.00	7.49	0.00	7.49	88.0	6.59
01/22/2018	***-**-376I - BERBEN, GAIL ACCOUNT #: LSR011380	MFS UTILITIES FUND-C BUY 1 Units @0.0000	0.00	9.75	0.00	9.75	88.0	8.58
01/22/2018	***-**-45IO - JOHNSON, GREGORY ACCOUNT #: LSR011421	MFS UTILITIES FUND-C BUY 1 Units @0.0000	0.00	8.70	0.00	8.70	88.0	7.66
01/22/2018	***-**-14IO - BUSHEY, MATTHEW ACCOUNT #: LSR011498	MFS UTILITIES FUND-C BUY 1 Units @0.0000	0.00	9.56	0.00	9.56	88.0	8.41
01/22/2018	***-**-13IN - ROTH, KAREN ACCOUNT #: LSR011954	MFS VALUE FUND-B BUY 1 Units @0.0000	0.00	1.06	0.00	1.06	88.0	0.93
01/22/2018	***-**-20IO - DEMETRI, AMELIA ACCOUNT #: LSR010995	NEW PERSPECTIVE FUND-A BUY 1 Units @0.0000	0.00	1.79	0.00	1.79	88.0	1.58
01/22/2018	***-**-702I - KOHEM, MICHAEL ACCOUNT #: LSR010954	NEW WORLD FUND-A BUY 1 Units @0.0000	0.00	2.74	0.00	2.74	88.0	2.41
01/22/2018	***-**-326I - GRANDE, FBO MR ACCOUNT #: LSR011091	NEW WORLD FUND-A BUY 1 Units @0.0000	0.00	2.49	0.00	2.49	88.0	2.19
01/22/2018	***-**-680I - HARRELL, DARYL ACCOUNT #: LSR011321	NEW WORLD FUND-A BUY 1 Units @0.0000	0.00	0.59	0.00	0.59	88.0	0.52
01/22/2018	***-**-128I - BASHANT, THOMAS ACCOUNT #: LSR011387	NEW WORLD FUND-A BUY 1 Units @0.0000	0.00	0.91	0.00	0.91	88.0	0.80
01/22/2018	***-**-30TR - AND SANDRA ACCOUNT #: LSR011939	NEW WORLD FUND-A BUY 1 Units @0.0000	0.00	2.05	0.00	2.05	88.0	1.80
01/16/2018	***-**-680I - HARRELL, DARYL ACCOUNT #: 00083996385	NEW WORLD FUND-C BUY 1 Units @67.1200	50.00	0.50	0.00	0.50	88.0	0.44
01/19/2018	***-**-614J - BUSHEY, MATTHEW	NYA JPM 529 MOD AGE-BASED A BUY 0 Units @0.0000	100.00	4.75	0.00	4.75	88.0	4.18
01/08/2018	***-**-48IO - CLARK, PATRICK ACCOUNT #: VP71028500	PACIFIC LIFE SE5-NYB DTCC BUY 0 Units @0.0000	214.18	4.28	0.00	4.28	88.0	3.77



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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>								
01/18/2018	***-**-889I - FRANZ, JONATHAN	PACIFIC LIFE SE5-NYB DTCC	0.00	0.52	0.00	0.52	88.0	0.46
	ACCOUNT #: VP71081770	BUY 0 Units @0.0000						
01/16/2018	***-**-07IO - FAMOLARO, JAMES	PRUDENTIAL JENNISON 20/20 FOCUS CLA	0.00	3.12	0.00	3.12	88.0	2.75
	ACCOUNT #: LSR011280	BUY 1 Units @0.0000						
01/16/2018	***-**-15IN - PENDRAK, JOHN	PRUDENTIAL JENNISON NATURAL RESOURC	0.00	2.41	0.00	2.41	88.0	2.12
	ACCOUNT #: LSR010948	BUY 1 Units @0.0000						
01/16/2018	***-**-366S - GRUENEWALD,	PRUDENTIAL JENNISON NATURAL RESOURC	0.00	0.32	0.00	0.32	88.0	0.28
	ACCOUNT #: LSR010990	BUY 1 Units @0.0000						
01/16/2018	***-**-861I - SANGER, LAWRENCE	PRUDENTIAL JENNISON NATURAL RESOURC	0.00	0.53	0.00	0.53	88.0	0.47
	ACCOUNT #: LSR011095	BUY 1 Units @0.0000						
01/16/2018	***-**-128I - BASHANT, THOMAS	PRUDENTIAL JENNISON NATURAL RESOURC	0.00	0.33	0.00	0.33	88.0	0.29
	ACCOUNT #: LSR011387	BUY 1 Units @0.0000						
01/16/2018	***-**-30TR - AND SANDRA	PRUDENTIAL JENNISON NATURAL RESOURC	0.00	0.52	0.00	0.52	88.0	0.46
	ACCOUNT #: LSR011939	BUY 1 Units @0.0000						
01/16/2018	***-**-254I - AUGUSTINE, LINDA	PRUDENTIAL JENNISON NATURAL RESOURC	0.00	0.47	0.00	0.47	88.0	0.41
	ACCOUNT #: LSR010846	BUY 1 Units @0.0000						
01/16/2018	***-**-15IN - PENDRAK, JOHN	PRUDENTIAL JENNISON NATURAL RESOURC	0.00	0.06	0.00	0.06	88.0	0.05
	ACCOUNT #: LSR010948	BUY 1 Units @0.0000						
01/16/2018	***-**-944O - MAYO, DEBORAH	PRUDENTIAL JENNISON NATURAL RESOURC	0.00	0.41	0.00	0.41	88.0	0.36
	ACCOUNT #: LSR011035	BUY 1 Units @0.0000						
01/02/2018	***-**-111J - NESSIA, JAMES	PUTNAM 1	0.00	1.06	0.00	1.06	88.0	0.93
	ACCOUNT #: 00551414554	BUY 0 Units @0.0000						
01/02/2018	***-**-12IN - GORMAN, MELINDA	PUTNAM ABSOLUTE RETURN 700 CL B	0.00	0.64	0.00	0.64	88.0	0.56
	ACCOUNT #: 00551376109	BUY 0 Units @0.0000						
01/02/2018	***-**-63IN - LASCALA, DEBORAH	PUTNAM ABSOLUTE RETURN 700-A	0.00	1.55	0.00	1.55	88.0	1.36
	ACCOUNT #: 00426855622	BUY 0 Units @0.0000						
01/02/2018	***-**-49IN - GUARDI, LINDA	PUTNAM ABSOLUTE RETURN 700-A	0.00	0.51	0.00	0.51	88.0	0.45
	ACCOUNT #: 00551372654	BUY 0 Units @0.0000						
01/02/2018	***-**-756I - HUSTON, JOUANA	PUTNAM ASSET ALLOC GROWTH-A	0.00	10.96	0.00	10.96	88.0	9.64
	ACCOUNT #: 00550220530	BUY 0 Units @0.0000						
01/02/2018	***-**-12IN - GORMAN, MELINDA	PUTNAM CAPITAL SPECTRUM FD CL B	0.00	1.20	0.00	1.20	88.0	1.06
	ACCOUNT #: 00551376109	BUY 0 Units @0.0000						



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<b> OVERRIDE TRANSACTIONS (continued)</b>								
<b> BROKER: KURT GRUENEWALD (continued)</b>								
01/02/2018	***-**-111J - NESSIA, JAMES	PUTNAM CAPITAL SPECTRUM FD CL B	0.00	1.21	0.00	1.21	88.0	1.06
	ACCOUNT #: 00551414554	BUY 0 Units @0.0000						
01/02/2018	***-**-49IN - GUARDI, LINDA	PUTNAM CAPITAL SPECTRUM FUND CL A	0.00	0.97	0.00	0.97	88.0	0.85
	ACCOUNT #: 00551372654	BUY 0 Units @0.0000						
01/02/2018	***-**-49IN - GUARDI, LINDA	PUTNAM DIVERSIFIED INCOME FUND CLAS	0.00	0.65	0.00	0.65	88.0	0.57
	ACCOUNT #: 00551372654	BUY 0 Units @0.0000						
01/02/2018	***-**-63IN - LASCALA, DEBORAH	PUTNAM EQUITY INCOME FUND-A	0.00	2.46	0.00	2.46	88.0	2.16
	ACCOUNT #: 00426855622	BUY 0 Units @0.0000						
01/02/2018	***-**-111J - NESSIA, JAMES	PUTNAM GLOBAL CONSUMER FUND CL B	0.00	0.78	0.00	0.78	88.0	0.69
	ACCOUNT #: 00551414554	BUY 0 Units @0.0000						
01/02/2018	***-**-63IN - LASCALA, DEBORAH	PUTNAM GLOBAL EQUITY FUND CLASS A	0.00	2.24	0.00	2.24	88.0	1.97
	ACCOUNT #: 00426855622	BUY 0 Units @0.0000						
01/02/2018	***-**-49IN - GUARDI, LINDA	PUTNAM GLOBAL HEALTH CARE FD-A	0.00	0.77	0.00	0.77	88.0	0.68
	ACCOUNT #: 00551372654	BUY 0 Units @0.0000						
01/02/2018	***-**-12IN - GORMAN, MELINDA	PUTNAM GLOBAL TECHNOLOGY CL B	0.00	1.15	0.00	1.15	88.0	1.01
	ACCOUNT #: 00551376109	BUY 0 Units @0.0000						
01/02/2018	***-**-49IN - GUARDI, LINDA	PUTNAM GLOBAL TECHNOLOGY FUND CL A	0.00	1.26	0.00	1.26	88.0	1.11
	ACCOUNT #: 00551372654	BUY 0 Units @0.0000						
01/02/2018	***-**-63IN - LASCALA, DEBORAH	PUTNAM GLOBAL UTILITIES CL C	0.00	7.27	0.00	7.27	88.0	6.40
	ACCOUNT #: 00426855622	BUY 0 Units @0.0000						
01/02/2018	***-**-28IN - BYWATER, KIM	PUTNAM GROWTH OPPORTUNITIES FD CL A	0.00	6.05	0.00	6.05	88.0	5.32
	ACCOUNT #: 00392501050	BUY 0 Units @0.0000						
01/02/2018	***-**-12IN - GORMAN, MELINDA	PUTNAM HEALTH SCIENCES TR-B	0.00	1.08	0.00	1.08	88.0	0.95
	ACCOUNT #: 00551376109	BUY 0 Units @0.0000						
01/02/2018	***-**-111J - NESSIA, JAMES	PUTNAM HEALTH SCIENCES TR-B	0.00	0.61	0.00	0.61	88.0	0.54
	ACCOUNT #: 00551414554	BUY 0 Units @0.0000						
01/02/2018	***-**-49IN - GUARDI, LINDA	PUTNAM INTL GROWTH & INC-A	0.00	0.33	0.00	0.33	88.0	0.29
	ACCOUNT #: 00551372654	BUY 0 Units @0.0000						
01/02/2018	***-**-12IN - GORMAN, MELINDA	PUTNAM INTL GROWTH & INC-B	0.00	1.20	0.00	1.20	88.0	1.06
	ACCOUNT #: 00551376109	BUY 0 Units @0.0000						
01/02/2018	***-**-91UT - BYWATER, CAROLYN	PUTNAM INVESTORS FUND-A	0.00	0.78	0.00	0.78	88.0	0.69
	ACCOUNT #: 00234174436	BUY 0 Units @0.0000						



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<b> OVERRIDE TRANSACTIONS (continued)</b>								
<b> <u>BROKER: KURT GRUENEWALD (continued)</u></b>								
01/02/2018	***-**-79UT - BYWATER, ACCOUNT #: 00234227769	PUTNAM INVESTORS FUND-A BUY 0 Units @0.0000	0.00	0.78	0.00	0.78	88.0	0.69
01/02/2018	***-**-28IN - BYWATER, KIM ACCOUNT #: 00392501050	PUTNAM INVESTORS FUND-A BUY 0 Units @0.0000	0.00	5.99	0.00	5.99	88.0	5.27
01/02/2018	***-**-63IN - LASCALA, DEBORAH ACCOUNT #: 00426855622	PUTNAM MID-CAP VALUE FUND-A BUY 0 Units @0.0000	0.00	2.52	0.00	2.52	88.0	2.22
01/02/2018	***-**-49IN - GUARDI, LINDA ACCOUNT #: 00551372654	PUTNAM SMALL CAP VALUE FUND-A BUY 0 Units @0.0000	0.00	0.78	0.00	0.78	88.0	0.69
01/02/2018	***-**-12IN - GORMAN, MELINDA ACCOUNT #: 00551376109	PUTNAM SMALL CAP VALUE FUND-B BUY 0 Units @0.0000	0.00	1.10	0.00	1.10	88.0	0.97
01/02/2018	***-**-49IN - GUARDI, LINDA ACCOUNT #: 00551372654	PUTNAM U.S. GOVT INCOME TR-A BUY 0 Units @0.0000	0.00	0.47	0.00	0.47	88.0	0.41
01/02/2018	***-**-12IN - GORMAN, MELINDA ACCOUNT #: 00551376109	PUTNAM U.S. GOVT INCOME TR-B BUY 0 Units @0.0000	0.00	0.57	0.00	0.57	88.0	0.50
01/22/2018	***-**-671I - EBERLEY, REID ACCOUNT #: 20021572	RESOURCE REAL ESTATE TRAILS BUY 0 Units @0.0000	0.00	13.23	0.00	13.23	88.0	11.64
01/22/2018	***-**-44IO - MAYO, DEBORAH ACCOUNT #: 020026000	RESOURCE REAL ESTATE TRAILS BUY 0 Units @0.0000	0.00	9.00	0.00	9.00	88.0	7.92
01/22/2018	***-**-524I - SCALISE, JOSEPH	RESOURCE REAL ESTATE TRAILS BUY 0 Units @0.0000	0.00	0.52	0.00	0.52	88.0	0.46
01/22/2018	***-**-15IN - PENDRAK, JOHN	RESOURCE REAL ESTATE TRAILS BUY 0 Units @0.0000	0.00	1.69	0.00	1.69	88.0	1.49
01/22/2018	***-**-65IN - LAZIO, THOMAS ACCOUNT #: 20010459	RESOURCE REAL ESTATE TRAILS BUY 0 Units @0.0000	0.00	17.43	0.00	17.43	88.0	15.34
01/22/2018	***-**-31IO - HARTZ, CLAUDIA ACCOUNT #: LSR010915	RESOURCE REAL ESTATE-NFS BUY 1 Units @0.0000	0.00	4.24	0.00	4.24	88.0	3.73
01/22/2018	***-**-72IN - GAVALO, JULIE ACCOUNT #: LSR010921	RESOURCE REAL ESTATE-NFS BUY 1 Units @0.0000	0.00	3.80	0.00	3.80	88.0	3.34
01/22/2018	***-**-930I - SANGER, KEVIN ACCOUNT #: LSR010941	RESOURCE REAL ESTATE-NFS BUY 1 Units @0.0000	0.00	12.63	0.00	12.63	88.0	11.11
01/22/2018	***-**-628I - SANGER, SANDRA ACCOUNT #: LSR010942	RESOURCE REAL ESTATE-NFS BUY 1 Units @0.0000	0.00	5.40	0.00	5.40	88.0	4.75



# COMMISSION STATEMENT

## January 22, 2018

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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><u> OVERRIDE TRANSACTIONS (continued) </u></b>								
<b><u> BROKER: KURT GRUENEWALD (continued) </u></b>								
01/22/2018	***-**-567I - FRANZ, ALICE ACCOUNT #: LSR010960	RESOURCE REAL ESTATE-NFS BUY 1 Units @0.0000	0.00	6.30	0.00	6.30	88.0	5.54
01/22/2018	***-**-761I - EVANS, DOLORES ACCOUNT #: LSR011024	RESOURCE REAL ESTATE-NFS BUY 1 Units @0.0000	0.00	6.62	0.00	6.62	88.0	5.83
01/22/2018	***-**-63TR - EVANS, AUDREY J ACCOUNT #: LSR011036	RESOURCE REAL ESTATE-NFS BUY 1 Units @0.0000	0.00	11.37	0.00	11.37	88.0	10.01
01/22/2018	***-**-861I - SANGER, LAWRENCE ACCOUNT #: LSR011095	RESOURCE REAL ESTATE-NFS BUY 1 Units @0.0000	0.00	7.57	0.00	7.57	88.0	6.66
01/22/2018	***-**-89IN - LEE, ROGER ACCOUNT #: LSR011166	RESOURCE REAL ESTATE-NFS BUY 1 Units @0.0000	0.00	14.18	0.00	14.18	88.0	12.48
01/22/2018	***-**-29IO - MASSOUD, ACCOUNT #: LSR011217	RESOURCE REAL ESTATE-NFS BUY 1 Units @0.0000	0.00	6.29	0.00	6.29	88.0	5.54
01/22/2018	***-**-473J - HUSTON, ACCOUNT #: LSR011228	RESOURCE REAL ESTATE-NFS BUY 1 Units @0.0000	0.00	6.31	0.00	6.31	88.0	5.55
01/22/2018	***-**-653I - KOCHER, CLINTON ACCOUNT #: LSR011300	RESOURCE REAL ESTATE-NFS BUY 1 Units @0.0000	0.00	6.29	0.00	6.29	88.0	5.54
01/22/2018	***-**-37IO - MCCLUSKY, MARK ACCOUNT #: LSR011579	RESOURCE REAL ESTATE-NFS BUY 1 Units @0.0000	0.00	3.17	0.00	3.17	88.0	2.79
01/22/2018	***-**-86IN - LEE, KEVIN ACCOUNT #: LSR011613	RESOURCE REAL ESTATE-NFS BUY 1 Units @0.0000	0.00	6.26	0.00	6.26	88.0	5.51
01/22/2018	***-**-531J - WILLIAMSON, ACCOUNT #: LSR011716	RESOURCE REAL ESTATE-NFS BUY 1 Units @0.0000	0.00	12.38	0.00	12.38	88.0	10.89
01/22/2018	***-**-31IO - HARTZ, CLAUDIA ACCOUNT #: LSR010915	RESOURCE REAL ESTATE-NFS BUY 1 Units @0.0000	0.00	1.41	0.00	1.41	88.0	1.24
01/22/2018	***-**-72IN - GAVALO, JULIE ACCOUNT #: LSR010921	RESOURCE REAL ESTATE-NFS BUY 1 Units @0.0000	0.00	1.27	0.00	1.27	88.0	1.12
01/22/2018	***-**-930I - SANGER, KEVIN ACCOUNT #: LSR010941	RESOURCE REAL ESTATE-NFS BUY 1 Units @0.0000	0.00	4.21	0.00	4.21	88.0	3.70
01/22/2018	***-**-628I - SANGER, SANDRA ACCOUNT #: LSR010942	RESOURCE REAL ESTATE-NFS BUY 1 Units @0.0000	0.00	1.80	0.00	1.80	88.0	1.58
01/22/2018	***-**-567I - FRANZ, ALICE ACCOUNT #: LSR010960	RESOURCE REAL ESTATE-NFS 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>								
01/22/2018	***-**-761I - EVANS, DOLORES	RESOURCE REAL ESTATE-NFS	0.00	2.21	0.00	2.21	88.0	1.94
	ACCOUNT #: LSR011024	BUY 1 Units @0.0000						
01/22/2018	***-**-63TR - EVANS, AUDREY J	RESOURCE REAL ESTATE-NFS	0.00	3.79	0.00	3.79	88.0	3.34
	ACCOUNT #: LSR011036	BUY 1 Units @0.0000						
01/22/2018	***-**-861I - SANGER, LAWRENCE	RESOURCE REAL ESTATE-NFS	0.00	2.52	0.00	2.52	88.0	2.22
	ACCOUNT #: LSR011095	BUY 1 Units @0.0000						
01/22/2018	***-**-89IN - LEE, ROGER	RESOURCE REAL ESTATE-NFS	0.00	4.73	0.00	4.73	88.0	4.16
	ACCOUNT #: LSR011166	BUY 1 Units @0.0000						
01/22/2018	***-**-29IO - MASSOUD,	RESOURCE REAL ESTATE-NFS	0.00	2.10	0.00	2.10	88.0	1.85
	ACCOUNT #: LSR011217	BUY 1 Units @0.0000						
01/22/2018	***-**-473J - HUSTON,	RESOURCE REAL ESTATE-NFS	0.00	2.10	0.00	2.10	88.0	1.85
	ACCOUNT #: LSR011228	BUY 1 Units @0.0000						
01/22/2018	***-**-653I - KOCHER, CLINTON	RESOURCE REAL ESTATE-NFS	0.00	2.10	0.00	2.10	88.0	1.85
	ACCOUNT #: LSR011300	BUY 1 Units @0.0000						
01/22/2018	***-**-37IO - MCCLUSKY, MARK	RESOURCE REAL ESTATE-NFS	0.00	1.06	0.00	1.06	88.0	0.93
	ACCOUNT #: LSR011579	BUY 1 Units @0.0000						
01/22/2018	***-**-86IN - LEE, KEVIN	RESOURCE REAL ESTATE-NFS	0.00	2.09	0.00	2.09	88.0	1.84
	ACCOUNT #: LSR011613	BUY 1 Units @0.0000						
01/22/2018	***-**-531J - WILLIAMSON,	RESOURCE REAL ESTATE-NFS	0.00	4.13	0.00	4.13	88.0	3.63
	ACCOUNT #: LSR011716	BUY 1 Units @0.0000						
01/22/2018	***-**-680I - HARRELL, DARYL	SMALLCAP WORLD FUND-A	0.00	0.86	0.00	0.86	88.0	0.76
	ACCOUNT #: LSR011321	BUY 1 Units @0.0000						
01/22/2018	***-**-382I - SATTERLY, NEIL	SMALLCAP WORLD FUND-C	0.00	8.53	0.00	8.53	88.0	7.51
	ACCOUNT #: LSR010867	BUY 1 Units @0.0000						
01/22/2018	***-**-567I - FRANZ, ALICE	SMALLCAP WORLD FUND-C	0.00	7.01	0.00	7.01	88.0	6.17
	ACCOUNT #: LSR010960	BUY 1 Units @0.0000						
01/22/2018	***-**-09IO - BATES, FBO MRS	SMALLCAP WORLD FUND-C	0.00	11.48	0.00	11.48	88.0	10.10
	ACCOUNT #: LSR011117	BUY 1 Units @0.0000						
01/22/2018	***-**-11IO - LYNN G.	SMALLCAP WORLD FUND-C	0.00	13.16	0.00	13.16	88.0	11.58
	ACCOUNT #: LSR011239	BUY 1 Units @0.0000						
01/22/2018	***-**-45IO - JOHNSON, GREGORY	SMALLCAP WORLD FUND-C	0.00	7.81	0.00	7.81	88.0	6.87
	ACCOUNT #: LSR011421	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>								
01/08/2018	***-**-480J - EVANS, RICHARD ACCOUNT #: 00073288662	THE GROWTH FUND OF AMERICA-A BUY 2 Units @53.9300	100.00	4.25	0.00	4.25	88.0	3.74
01/22/2018	***-**-366I - GRUENEWALD, ACCOUNT #: LSR010989	THE GROWTH FUND OF AMERICA-A BUY 1 Units @0.0000	0.00	1.97	0.00	1.97	88.0	1.73
01/22/2018	***-**-326I - GRANDE, FBO MR ACCOUNT #: LSR011091	THE GROWTH FUND OF AMERICA-A BUY 1 Units @0.0000	0.00	2.08	0.00	2.08	88.0	1.83
01/16/2018	***-**-680I - HARRELL, DARYL ACCOUNT #: 00083996385	THE GROWTH FUND OF AMERICA-C BUY 1 Units @48.1600	50.00	0.50	0.00	0.50	88.0	0.44
01/22/2018	***-**-567I - FRANZ, ALICE ACCOUNT #: LSR010960	THE GROWTH FUND OF AMERICA-C BUY 1 Units @0.0000	0.00	10.03	0.00	10.03	88.0	8.83
01/22/2018	***-**-287I - HINCKLEY, ACCOUNT #: LSR010843	THE INCOME FUND OF AMERICA-A BUY 1 Units @0.0000	0.00	4.67	0.00	4.67	88.0	4.11
01/22/2018	***-**-702I - KOCHER, MICHAEL ACCOUNT #: LSR010954	THE INCOME FUND OF AMERICA-A BUY 1 Units @0.0000	0.00	3.58	0.00	3.58	88.0	3.15
01/22/2018	***-**-959J - FRANZ, PAUL ACCOUNT #: LSR010958	THE INCOME FUND OF AMERICA-A BUY 1 Units @0.0000	0.00	2.90	0.00	2.90	88.0	2.55
01/22/2018	***-**-366I - GRUENEWALD, ACCOUNT #: LSR010989	THE INCOME FUND OF AMERICA-A BUY 1 Units @0.0000	0.00	2.40	0.00	2.40	88.0	2.11
01/22/2018	***-**-579J - RHYMESTINE, ACCOUNT #: LSR011081	THE INCOME FUND OF AMERICA-A BUY 1 Units @0.0000	0.00	1.01	0.00	1.01	88.0	0.89
01/22/2018	***-**-326I - GRANDE, FBO MR ACCOUNT #: LSR011091	THE INCOME FUND OF AMERICA-A BUY 1 Units @0.0000	0.00	2.70	0.00	2.70	88.0	2.38
01/22/2018	***-**-680I - HARRELL, DARYL ACCOUNT #: LSR011321	THE INCOME FUND OF AMERICA-A BUY 1 Units @0.0000	0.00	1.13	0.00	1.13	88.0	0.99
01/22/2018	***-**-128I - BASHANT, THOMAS ACCOUNT #: LSR011387	THE INCOME FUND OF AMERICA-A BUY 1 Units @0.0000	0.00	0.97	0.00	0.97	88.0	0.85
01/22/2018	***-**-30TR - AND SANDRA ACCOUNT #: LSR011939	THE INCOME FUND OF AMERICA-A BUY 1 Units @0.0000	0.00	2.67	0.00	2.67	88.0	2.35
01/22/2018	***-**-80IO - EVANS, RICHARD ACCOUNT #: LSR011276	THE NEW ECONOMY FUND-C BUY 1 Units @0.0000	0.00	11.08	0.00	11.08	88.0	9.75
01/22/2018	***-**-959J - FRANZ, PAUL ACCOUNT #: LSR010958	U.S. GOVERNMENT SECURITIES FUND CLA BUY 1 Units @0.0000	0.00	3.69	0.00	3.69	88.0	3.25



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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>								
01/16/2018	***-**-71IO - FAMOLARO, JAMES	VAN KAMPEN9	0.00	0.26	0.00	0.26	88.0	0.23
	ACCOUNT #: LSR011279	BUY 1 Units @0.0000						
01/11/2018	***-**-420T - DEMETRI, AMELIA	WEIGHT WATCHERS INTL INC NEW	2,817.50	37.22	0.00	37.22	88.0	32.75
	ACCOUNT #: LSR010994	BUY 50 Units @56.3500						
01/16/2018	***-**-07IO - FAMOLARO, JAMES	WELLS FARGO ASSET ALLOCATION CL A	0.00	3.08	0.00	3.08	88.0	2.71
	ACCOUNT #: LSR011280	BUY 1 Units @0.0000						
01/16/2018	***-**-07IO - FAMOLARO, JAMES	WELLS FARGO GLOBAL OPPT FD CL A	0.00	1.39	0.00	1.39	88.0	1.22
	ACCOUNT #: LSR011280	BUY 1 Units @0.0000						
01/16/2018	***-**-680I - HARRELL, DARYL	WELLS FARGO SPECIALIZED TECH A	0.00	1.71	0.00	1.71	88.0	1.50
	ACCOUNT #: LSR011321	BUY 1 Units @0.0000						
01/16/2018	***-**-680I - HARRELL, DARYL	WELLS FARGO UTILITY TELECOM CL A	0.00	1.40	0.00	1.40	88.0	1.23
	ACCOUNT #: LSR011321	BUY 1 Units @0.0000						
	<b>* KURT GRUENEWALD SUBTOTAL *</b>		<b>\$62,631.69</b>	<b>\$4,440.67</b>	<b>\$0.00</b>	<b>\$4,440.67</b>		<b>\$3,907.76</b>
	<b>*** OVERRIDE TRANSACTIONS TOTAL ***</b>		<b>\$62,631.69</b>	<b>\$4,440.67</b>	<b>\$0.00</b>	<b>\$4,440.67</b>		<b>\$3,907.76</b>

## BROKER COMMISSION TOTALS

Broker Transactions	\$4,225.73
Split Transactions	\$0.00
Override Transactions	\$3,907.76
Adjustments	\$0.00
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$0.00
FINRA Assessment	\$0.00
SIPC Assessment	\$0.00

<b>Net Commission Earned</b>	<b>\$8,133.49</b>
<b>Year-to-date Earnings</b>	<b>\$18,806.55</b>