



# COMMISSION STATEMENT

## July 30, 2018

KURT GRUENEWALD  
2108 Genesee St.  
Utica, NY 13502

BROKER #: A77  
BRANCH #01047 - 47 - GRIFFITH

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b><u>BROKER TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: MUTUAL FUNDS</u></b>								
07/20/2018	***-**-376I - BERBEN, GAIL ACCOUNT #: LSR011380	AMERICAN FUNDS MORTGAGE FD CL C SELL 511 Units @9.7900	5,000.00	18.00	18.00	0.00	0.0	0.00
07/20/2018	***-**-376I - BERBEN, GAIL ACCOUNT #: LSR011380	AMERICAN GLOBAL BALANCED CL C SELL 310 Units @32.2200	9,999.99	18.00	18.00	0.00	0.0	0.00
07/20/2018	***-**-376I - BERBEN, GAIL ACCOUNT #: LSR011380	AMERICAN MUTUAL FUND-C SELL 122 Units @40.8800	4,999.99	18.00	18.00	0.00	0.0	0.00
07/20/2018	***-**-376I - BERBEN, GAIL ACCOUNT #: LSR011380	EATON VANCE FLOATING RATE ADVANTAGE SELL 458 Units @10.9200	5,000.00	18.00	18.00	0.00	0.0	0.00
07/20/2018	***-**-376I - BERBEN, GAIL ACCOUNT #: LSR011380	FRANKLIN INCOME FUND CLASS C SELL 4255 Units @2.3500	10,000.00	18.00	18.00	0.00	0.0	0.00
07/20/2018	***-**-376I - BERBEN, GAIL ACCOUNT #: LSR011380	FUNDAMENTAL INVESTORS-C SELL 157 Units @63.8300	9,999.99	18.00	18.00	0.00	0.0	0.00
07/26/2018	***-**-8901 - GURDO, ANTHONY ACCOUNT #: 00087491111	FUNDAMENTAL INVESTORS-C BUY 2 Units @64.5600	150.00	1.50	0.00	1.50	0.0	0.00
07/20/2018	***-**-376I - BERBEN, GAIL ACCOUNT #: LSR011380	INCOME FUND OF AMERICA CLASS C SELL 440 Units @22.7500	9,999.99	18.00	18.00	0.00	0.0	0.00
07/20/2018	***-**-376I - BERBEN, GAIL ACCOUNT #: LSR011380	LORD ABBETT SHORT DURATION INCOME C SELL 2375 Units @4.2100	10,000.00	18.00	18.00	0.00	0.0	0.00
07/24/2018	***-**-53IN - EVANS, ANDREW ACCOUNT #: LSR011483	LORD ABBETT SHORT DURATION INCOME C SELL 357 Units @4.2000	1,500.00	18.00	18.00	0.00	0.0	0.00
07/20/2018	***-**-376I - BERBEN, GAIL ACCOUNT #: LSR011380	MFS CONSERVATIVE ALLOCATION CL C SELL 649 Units @15.4100	10,000.00	18.00	18.00	0.00	0.0	0.00
07/20/2018	***-**-376I - BERBEN, GAIL ACCOUNT #: LSR011380	MFS DIVERSIFIED INCOME FD CL C SELL 409 Units @12.2300	5,000.00	18.00	18.00	0.00	0.0	0.00
07/17/2018	***-**-53RI - FALCHI, VALERIE ACCOUNT #: 08191172002	MFS GLOBAL TOTAL RETURN FUND-B BUY 4 Units @18.0000	75.00	3.00	0.00	3.00	0.0	0.00
07/20/2018	***-**-376I - BERBEN, GAIL ACCOUNT #: LSR011380	MFS GLOBAL TOTAL RETURN FUND-C SELL 281 Units @17.8000	5,000.00	18.00	18.00	0.00	0.0	0.00
07/16/2018	***-**-213I - GRUENEWALD, ACCOUNT #: 08190131132	MFS NEW DISCOVERY FUND-B BUY 4 Units @25.7700	100.00	4.00	0.00	4.00	0.0	0.00
07/20/2018	***-**-376I - BERBEN, GAIL ACCOUNT #: LSR011380	MFS TECHNOLOGY CLASS C SELL 129 Units @38.8100	5,000.01	18.00	18.00	0.00	0.0	0.00



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<b><u>BROKER TRANSACTIONS (continued)</u></b>								
<b><u>PRODUCT CATEGORY: MUTUAL FUNDS (continued)</u></b>								
07/16/2018	***-**-213I - GRUENEWALD, ACCOUNT #: 08190131132	MFS TECHNOLOGY FUND-B BUY 3 Units @38.8000	100.00	4.00	0.00	4.00	0.0	0.00
07/24/2018	***-**-53IN - EVANS, ANDREW ACCOUNT #: LSR011483	MFS TECHNOLOGY FUND-B SELL 38 Units @39.0800	1,500.01	18.00	18.00	0.00	0.0	0.00
07/16/2018	***-**-094I - CIRILLO, CARL ACCOUNT #: 08190127967	MFS UTILITIES FUND-B BUY 2 Units @20.5700	35.00	1.40	0.00	1.40	0.0	0.00
07/16/2018	***-**-606I - LEWIS, TAMARA ACCOUNT #: 08191352846	MFS UTILITIES FUND-B BUY 2 Units @20.5700	50.00	2.00	0.00	2.00	0.0	0.00
07/20/2018	***-**-376I - BERBEN, GAIL ACCOUNT #: LSR011380	MFS UTILITIES FUND-C SELL 243 Units @20.6000	4,999.99	18.00	18.00	0.00	0.0	0.00
07/20/2018	***-**-376I - BERBEN, GAIL ACCOUNT #: LSR011380	PUTNAM ABSOLUTE RETURN 700 CL C SELL 1312 Units @11.4300	15,000.00	18.00	18.00	0.00	0.0	0.00
07/20/2018	***-**-376I - BERBEN, GAIL ACCOUNT #: LSR011380	PUTNAM COMP SELL 127 Units @39.5200	4,999.99	18.00	18.00	0.00	0.0	0.00
* MUTUAL FUNDS SUBTOTAL *			<b>\$118,509.96</b>	<b>\$321.90</b>	<b>\$306.00</b>	<b>\$15.90</b>		<b>\$0.00</b>
<b><u>PRODUCT CATEGORY: STOCKS</u></b>								
07/24/2018	***-**-11IO - LYNN G. ACCOUNT #: LSR011239	BERKSHIRE HATHAWAY INC DEL CL B NEW SELL 78 Units @198.5350	15,485.73	224.24	18.00	206.24	0.0	0.00
07/24/2018	***-**-11IO - LYNN G. ACCOUNT #: LSR011239	BERKSHIRE HATHAWAY INC DEL CL B NEW SELL 22 Units @198.5300	4,367.66	63.25	0.00	63.25	0.0	0.00
07/24/2018	***-**-51IR - BLAKE, JAMES ACCOUNT #: LSR012391	CAMECO CORP COM NPV ISIN #CA13321L1 BUY 250 Units @10.8000	2,700.00	54.99	20.00	34.99	0.0	0.00
07/25/2018	***-**-366I - GRUENEWALD, ACCOUNT #: LSR010989	FEDERAL NATL MTG ASSN UNSOLICITED O BUY 1000 Units @1.4650	1,465.00	32.60	35.00	-2.40	100.0	-2.40
* STOCKS SUBTOTAL *			<b>\$24,018.39</b>	<b>\$375.08</b>	<b>\$73.00</b>	<b>\$302.08</b>		<b>\$-2.40</b>
<b><u>PRODUCT CATEGORY: 529 PLAN</u></b>								
07/17/2018	***-**-80IN - COBB, JAMES ACCOUNT #: 77169961902	AGE BASED INVESTMENT OPTION BUY 0 Units @0.0000	280.00	2.80	0.00	2.80	0.0	0.00
07/16/2018	***-**-0767 - DOVI, ACCOUNT #: 77579193101	NYA JPM 529 AGGR PORTI C BUY 0 Units @0.0000	25.00	0.25	0.00	0.25	0.0	0.00



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<b><u>BROKER TRANSACTIONS (continued)</u></b>								
<b><u>PRODUCT CATEGORY: 529 PLAN (continued)</u></b>								
07/17/2018	***-**-80IN - COBB, JAMES	NYA JPM 529 CONSV GROWTH A	2,000.00	61.00	0.00	61.00	0.0	0.00
	ACCOUNT #: 77169961901	BUY 0 Units @0.0000						
07/17/2018	***-**-80IN - COBB, JAMES	NYA JPM 529 CONSV GROWTH A	1,720.00	52.46	0.00	52.46	0.0	0.00
	ACCOUNT #: 77169961902	BUY 0 Units @0.0000						
07/18/2018	***-**-20IR - DEMETRI, AMELIA	NYA JPM 529 MOD AGE-BASED A	50.00	2.38	0.00	2.38	0.0	0.00
	ACCOUNT #: 77854436501	BUY 0 Units @0.0000						
07/16/2018	***-**-473J - HUSTON,	NYA JPM 529 MOD GROWTH POR C	200.00	2.00	0.00	2.00	0.0	0.00
	ACCOUNT #: 77852732401	BUY 0 Units @0.0000						
07/16/2018	***-**-473J - HUSTON,	NYA JPM 529 MOD GROWTH POR C	200.00	2.00	0.00	2.00	0.0	0.00
	ACCOUNT #: 77852732402	BUY 0 Units @0.0000						
<b>* 529 PLAN SUBTOTAL *</b>			<b>\$4,475.00</b>	<b>\$122.89</b>	<b>\$0.00</b>	<b>\$122.89</b>		<b>\$0.00</b>
<b><u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u></b>								
07/31/2018	***-**-702I - KOHEM, MICHAEL	37252M108	0.00	0.99	0.00	0.99	0.0	0.00
	ACCOUNT #: LSR010954	BUY 1 Units @0.0000						
07/31/2018	***-**-680I - HARRELL, DARYL	37252M108	0.00	0.83	0.00	0.83	0.0	0.00
	ACCOUNT #: LSR011321	BUY 1 Units @0.0000						
07/31/2018	***-**-22IO - CLINTON, STEPHEN	37252M108	0.00	1.70	0.00	1.70	0.0	0.00
	ACCOUNT #: LSR011684	BUY 1 Units @0.0000						
07/30/2018	***-**-6604 - REYNOLDS, DIANE	BLACKROCK TRAILS	0.00	4.22	0.00	4.22	0.0	0.00
	ACCOUNT #: 5290810273	BUY 0 Units @0.0000						
07/31/2018	***-**-959I - FRANZ, PAUL	BLACKROCK US OPPORT CL A	0.00	0.38	0.00	0.38	0.0	0.00
	ACCOUNT #: LSR010959	BUY 1 Units @0.0000						
07/31/2018	***-**-287J - HINCKLEY,	EQUITY INCOME FUND, INC. A	0.00	0.58	0.00	0.58	0.0	0.00
	ACCOUNT #: LSR010841	BUY 1 Units @0.0000						
07/31/2018	***-**-254I - AUGUSTINE, LINDA	EQUITY INCOME FUND, INC. A	0.00	1.95	0.00	1.95	0.0	0.00
	ACCOUNT #: LSR010846	BUY 1 Units @0.0000						
07/31/2018	***-**-881J - EBERLEY, SUSAN	EQUITY INCOME FUND, INC. A	0.00	2.20	0.00	2.20	0.0	0.00
	ACCOUNT #: LSR010856	BUY 1 Units @0.0000						
07/31/2018	***-**-949I - ACEE, JOSPEH	EQUITY INCOME FUND, INC. A	0.00	2.49	0.00	2.49	0.0	0.00
	ACCOUNT #: LSR010908	BUY 1 Units @0.0000						
07/31/2018	***-**-15IN - PENDRAK, JOHN	EQUITY INCOME FUND, INC. A	0.00	1.86	0.00	1.86	0.0	0.00
	ACCOUNT #: LSR010948	BUY 1 Units @0.0000						



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<b>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b>								
07/31/2018	***-**-702I - KOCHEM, MICHAEL	EQUITY INCOME FUND, INC. A	0.00	2.02	0.00	2.02	0.0	0.00
	ACCOUNT #: LSR010954	BUY 1 Units @0.0000						
07/31/2018	***-**-959I - FRANZ, PAUL	EQUITY INCOME FUND, INC. A	0.00	2.23	0.00	2.23	0.0	0.00
	ACCOUNT #: LSR010959	BUY 1 Units @0.0000						
07/31/2018	***-**-567I - FRANZ, ALICE	EQUITY INCOME FUND, INC. A	0.00	5.90	0.00	5.90	0.0	0.00
	ACCOUNT #: LSR010960	BUY 1 Units @0.0000						
07/31/2018	***-**-960J - MASTRANGELO,	EQUITY INCOME FUND, INC. A	0.00	2.37	0.00	2.37	0.0	0.00
	ACCOUNT #: LSR010966	BUY 1 Units @0.0000						
07/31/2018	***-**-366I - GRUENEWALD,	EQUITY INCOME FUND, INC. A	0.00	1.03	0.00	1.03	0.0	0.00
	ACCOUNT #: LSR010989	BUY 1 Units @0.0000						
07/31/2018	***-**-51IO - CAIN, TIMOTHY	EQUITY INCOME FUND, INC. A	0.00	2.52	0.00	2.52	0.0	0.00
	ACCOUNT #: LSR011007	BUY 1 Units @0.0000						
07/31/2018	***-**-761I - EVANS, DOLORES	EQUITY INCOME FUND, INC. A	0.00	4.15	0.00	4.15	0.0	0.00
	ACCOUNT #: LSR011024	BUY 1 Units @0.0000						
07/31/2018	***-**-944O - MAYO, DEBORAH	EQUITY INCOME FUND, INC. A	0.00	1.09	0.00	1.09	0.0	0.00
	ACCOUNT #: LSR011035	BUY 1 Units @0.0000						
07/31/2018	***-**-306X - COBB, CHERRYL	EQUITY INCOME FUND, INC. A	0.00	1.94	0.00	1.94	0.0	0.00
	ACCOUNT #: LSR011037	BUY 1 Units @0.0000						
07/31/2018	***-**-579I - RHYMESTINE,	EQUITY INCOME FUND, INC. A	0.00	1.69	0.00	1.69	0.0	0.00
	ACCOUNT #: LSR011082	BUY 1 Units @0.0000						
07/31/2018	***-**-861I - SANGER, LAWRENCE	EQUITY INCOME FUND, INC. A	0.00	0.89	0.00	0.89	0.0	0.00
	ACCOUNT #: LSR011095	BUY 1 Units @0.0000						
07/31/2018	***-**-506J - CURRIERE JR, MR	EQUITY INCOME FUND, INC. A	0.00	1.10	0.00	1.10	0.0	0.00
	ACCOUNT #: LSR011121	BUY 1 Units @0.0000						
07/31/2018	***-**-48IO - ANACKER, FBO MRS	EQUITY INCOME FUND, INC. A	0.00	1.66	0.00	1.66	0.0	0.00
	ACCOUNT #: LSR011164	BUY 1 Units @0.0000						
07/31/2018	***-**-64IO - PFAFF, GEORGE	EQUITY INCOME FUND, INC. A	0.00	2.08	0.00	2.08	0.0	0.00
	ACCOUNT #: LSR011185	BUY 1 Units @0.0000						
07/31/2018	***-**-62IR - ROBBIANO, FBO	EQUITY INCOME FUND, INC. A	0.00	1.49	0.00	1.49	0.0	0.00
	ACCOUNT #: LSR011195	BUY 1 Units @0.0000						
07/31/2018	***-**-653I - KOCHEM, CLINTON	EQUITY INCOME FUND, INC. A	0.00	3.08	0.00	3.08	0.0	0.00
	ACCOUNT #: LSR011300	BUY 1 Units @0.0000						



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<b>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b>								
07/31/2018	***-**-680I - HARRELL, DARYL	EQUITY INCOME FUND, INC. A	0.00	0.85	0.00	0.85	0.0	0.00
	ACCOUNT #: LSR011321	BUY 1 Units @0.0000						
07/31/2018	***-**-980I - ACEE, ELIZABETH	EQUITY INCOME FUND, INC. C	0.00	13.64	0.00	13.64	0.0	0.00
	ACCOUNT #: LSR010885	BUY 1 Units @0.0000						
07/31/2018	***-**-031O - MCVOY, ROBERT	EQUITY INCOME FUND, INC. C	0.00	6.15	0.00	6.15	0.0	0.00
	ACCOUNT #: LSR010916	BUY 1 Units @0.0000						
07/31/2018	***-**-001O - LEE, GARY	EQUITY INCOME FUND, INC. C	0.00	13.57	0.00	13.57	0.0	0.00
	ACCOUNT #: LSR011059	BUY 1 Units @0.0000						
07/31/2018	***-**-714O - LINES, JUDITH	EQUITY INCOME FUND, INC. C	0.00	3.73	0.00	3.73	0.0	0.00
	ACCOUNT #: LSR011763	BUY 1 Units @0.0000						
07/31/2018	***-**-281N - BYWATER, KIM	EQUITY INCOME FUND, INC. C	0.00	1.59	0.00	1.59	0.0	0.00
	ACCOUNT #: LSR011995	BUY 1 Units @0.0000						
07/31/2018	***-**-121N - GRUENEWALD,	FIDELITY CASH MM	0.00	0.00	0.00	0.00	0.0	0.00
	ACCOUNT #: LSR011615	BUY 1 Units @0.0000						
07/31/2018	***-**-287I - HINCKLEY,	FIDELITY GOVT MMKT CAPITAL RESERVES	0.00	0.00	0.00	0.00	0.0	0.00
	ACCOUNT #: LSR010843	BUY 1 Units @0.0000						
07/31/2018	***-**-001O - LEE, GARY	FIDELITY GOVT MMKT CAPITAL RESERVES	0.00	0.00	0.00	0.00	0.0	0.00
	ACCOUNT #: LSR011059	BUY 1 Units @0.0000						
07/31/2018	***-**-132O - EVANS, THOMAS	FIDELITY GOVT MMKT CAPITAL RESERVES	0.00	0.00	0.00	0.00	0.0	0.00
	ACCOUNT #: LSR011074	BUY 1 Units @0.0000						
07/31/2018	***-**-579I - RHYMESTINE,	FIDELITY GOVT MMKT CAPITAL RESERVES	0.00	0.00	0.00	0.00	0.0	0.00
	ACCOUNT #: LSR011082	BUY 1 Units @0.0000						
07/31/2018	***-**-808J - GORMAN, RANDY	FIDELITY GOVT MMKT CAPITAL RESERVES	0.00	0.00	0.00	0.00	0.0	0.00
	ACCOUNT #: LSR011087	BUY 1 Units @0.0000						
07/31/2018	***-**-326J - GRANDE, MR	FIDELITY GOVT MMKT CAPITAL RESERVES	0.00	0.00	0.00	0.00	0.0	0.00
	ACCOUNT #: LSR011089	BUY 1 Units @0.0000						
07/31/2018	***-**-481O - ANACKER, FBO MRS	FIDELITY GOVT MMKT CAPITAL RESERVES	0.00	0.00	0.00	0.00	0.0	0.00
	ACCOUNT #: LSR011164	BUY 1 Units @0.0000						
07/31/2018	***-**-664J - PFAFF, GEORGE	FIDELITY GOVT MMKT CAPITAL RESERVES	0.00	0.00	0.00	0.00	0.0	0.00
	ACCOUNT #: LSR011184	BUY 1 Units @0.0000						
07/31/2018	***-**-641O - PFAFF, GEORGE	FIDELITY GOVT MMKT CAPITAL RESERVES	0.00	0.00	0.00	0.00	0.0	0.00
	ACCOUNT #: LSR011185	BUY 1 Units @0.0000						



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<b>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b>								
07/31/2018	***-**-633J -	FIDELITY GOVT MMKT CAPITAL RESERVES	0.00	0.00	0.00	0.00	0.0	0.00
	ACCOUNT #: LSR011732	BUY 1 Units @0.0000						
07/31/2018	***-**-31IO - JOSEPH, ANN	FIDELITY GOVT MMKT CAPITAL RESERVES	0.00	0.00	0.00	0.00	0.0	0.00
	ACCOUNT #: LSR012337	BUY 1 Units @0.0000						
07/31/2018	***-**-726I - YADDAW, DEBRA	FIDELITY GOVT MMKT CAPITAL RESERVES	0.00	0.00	0.00	0.00	0.0	0.00
	ACCOUNT #: LSR012338	BUY 1 Units @0.0000						
07/31/2018	***-**-52IN - ROBERTS, LILLIAN	FIDELITY GOVT MMKT CAPITAL RESERVES	0.00	0.00	0.00	0.00	0.0	0.00
	ACCOUNT #: LSR012352	BUY 1 Units @0.0000						
07/31/2018	***-**-22IN - CLINTON, STEPHEN	FIDELITY GOVT MMKT CAPITAL RESERVES	0.00	0.00	0.00	0.00	0.0	0.00
	ACCOUNT #: LSR012432	BUY 1 Units @0.0000						
07/31/2018	***-**-188I - BRADLEY, WAYNE	FIDELITY GOVT MMKT CAPITAL RESERVES	0.00	0.00	0.00	0.00	0.0	0.00
	ACCOUNT #: LSR012484	BUY 1 Units @0.0000						
07/31/2018	***-**-617I - ESCHE, BEVERLY	FIDELITY GOVT MMKT CAPITAL RESERVES	0.00	0.00	0.00	0.00	0.0	0.00
	ACCOUNT #: LSR012614	BUY 1 Units @0.0000						
07/31/2018	***-**-851K - LALLIER, JAMES	FIDELITY GOVT MMKT CAPITAL RESERVES	0.00	0.00	0.00	0.00	0.0	0.00
	ACCOUNT #: LSR012645	BUY 1 Units @0.0000						
07/31/2018	***-**-32IO - WITT, DEBORAH	FIDELITY GOVT MMKT DAILY MONEY CLAS	0.00	0.35	0.00	0.35	0.0	0.00
	ACCOUNT #: LSR012285	BUY 1 Units @0.0000						
07/31/2018	***-**-128I - BASHANT, THOMAS	GLOBAL FUND A	0.00	2.20	0.00	2.20	0.0	0.00
	ACCOUNT #: LSR011387	BUY 1 Units @0.0000						
07/31/2018	***-**-094I - KATRENA L	GLOBAL OPPORTUNITIES FUND C	0.00	16.06	0.00	16.06	0.0	0.00
	ACCOUNT #: LSR011188	BUY 1 Units @0.0000						
07/31/2018	***-**-254I - AUGUSTINE, LINDA	GOLD & SPECIAL MINERALS A	0.00	0.30	0.00	0.30	0.0	0.00
	ACCOUNT #: LSR010846	BUY 1 Units @0.0000						
07/31/2018	***-**-881I - EBERLEY, SUSAN	GOLD & SPECIAL MINERALS A	0.00	0.16	0.00	0.16	0.0	0.00
	ACCOUNT #: LSR010858	BUY 1 Units @0.0000						
07/31/2018	***-**-949I - ACEE, JOSPEH	GOLD & SPECIAL MINERALS A	0.00	0.59	0.00	0.59	0.0	0.00
	ACCOUNT #: LSR010908	BUY 1 Units @0.0000						
07/31/2018	***-**-930I - SANGER, KEVIN	GOLD & SPECIAL MINERALS A	0.00	0.32	0.00	0.32	0.0	0.00
	ACCOUNT #: LSR010941	BUY 1 Units @0.0000						
07/31/2018	***-**-15IN - PENDRAK, JOHN	GOLD & SPECIAL MINERALS A	0.00	2.10	0.00	2.10	0.0	0.00
	ACCOUNT #: LSR010948	BUY 1 Units @0.0000						



# COMMISSION STATEMENT

## July 30, 2018

KURT GRUENEWALD  
2108 Genesee St.  
Utica, NY 13502

BROKER #: A77  
BRANCH #01047 - 47 - GRIFFITH

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b>								
07/31/2018	***-**-702J - KOHEM, MICHAEL	GOLD & SPECIAL MINERALS A	0.00	0.23	0.00	0.23	0.0	0.00
	ACCOUNT #: LSR010955	BUY 1 Units @0.0000						
07/31/2018	***-**-959I - FRANZ, PAUL	GOLD & SPECIAL MINERALS A	0.00	0.55	0.00	0.55	0.0	0.00
	ACCOUNT #: LSR010959	BUY 1 Units @0.0000						
07/31/2018	***-**-61IN - EVANS, DOLORES	GOLD & SPECIAL MINERALS A	0.00	0.17	0.00	0.17	0.0	0.00
	ACCOUNT #: LSR011023	BUY 1 Units @0.0000						
07/31/2018	***-**-944O - MAYO, DEBORAH	GOLD & SPECIAL MINERALS A	0.00	0.52	0.00	0.52	0.0	0.00
	ACCOUNT #: LSR011035	BUY 1 Units @0.0000						
07/31/2018	***-**-96IN - NESSIA, BONNIE	GOLD & SPECIAL MINERALS A	0.00	0.29	0.00	0.29	0.0	0.00
	ACCOUNT #: LSR011055	BUY 1 Units @0.0000						
07/31/2018	***-**-579I - RHYMESTINE,	GOLD & SPECIAL MINERALS A	0.00	0.53	0.00	0.53	0.0	0.00
	ACCOUNT #: LSR011082	BUY 1 Units @0.0000						
07/31/2018	***-**-13IN - RHYMESTINE,	GOLD & SPECIAL MINERALS A	0.00	0.34	0.00	0.34	0.0	0.00
	ACCOUNT #: LSR011106	BUY 1 Units @0.0000						
07/31/2018	***-**-76IO - MCALLISTER, FBO	GOLD & SPECIAL MINERALS A	0.00	0.33	0.00	0.33	0.0	0.00
	ACCOUNT #: LSR011107	BUY 1 Units @0.0000						
07/31/2018	***-**-367J - WAGNER, MRS LANT	GOLD & SPECIAL MINERALS A	0.00	0.30	0.00	0.30	0.0	0.00
	ACCOUNT #: LSR011134	BUY 1 Units @0.0000						
07/31/2018	***-**-48IO - ANACKER, FBO MRS	GOLD & SPECIAL MINERALS A	0.00	0.70	0.00	0.70	0.0	0.00
	ACCOUNT #: LSR011164	BUY 1 Units @0.0000						
07/31/2018	***-**-31IO - WILLIAMSON, FBO	GOLD & SPECIAL MINERALS A	0.00	1.34	0.00	1.34	0.0	0.00
	ACCOUNT #: LSR011172	BUY 1 Units @0.0000						
07/31/2018	***-**-664J - PFAFF, GEORGE	GOLD & SPECIAL MINERALS A	0.00	0.57	0.00	0.57	0.0	0.00
	ACCOUNT #: LSR011184	BUY 1 Units @0.0000						
07/31/2018	***-**-02IN - BUSHEY, MELISSA	GOLD & SPECIAL MINERALS A	0.00	0.12	0.00	0.12	0.0	0.00
	ACCOUNT #: LSR011257	BUY 1 Units @0.0000						
07/31/2018	***-**-62IN - EATON, DAVID	GOLD & SPECIAL MINERALS A	0.00	0.39	0.00	0.39	0.0	0.00
	ACCOUNT #: LSR011315	BUY 1 Units @0.0000						
07/31/2018	***-**-881I - EBERLEY, SUSAN	INTERNATIONAL BOND A	0.00	0.64	0.00	0.64	0.0	0.00
	ACCOUNT #: LSR010858	BUY 1 Units @0.0000						
07/31/2018	***-**-567I - FRANZ, ALICE	INTERNATIONAL BOND A	0.00	2.40	0.00	2.40	0.0	0.00
	ACCOUNT #: LSR010960	BUY 1 Units @0.0000						



# COMMISSION STATEMENT

## July 30, 2018

KURT GRUENEWALD  
2108 Genesee St.  
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BROKER #: A77  
BRANCH #01047 - 47 - GRIFFITH

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b>								
07/31/2018	***-**-761I - EVANS, DOLORES	INTERNATIONAL BOND A	0.00	3.24	0.00	3.24	0.0	0.00
	ACCOUNT #: LSR011024	BUY 1 Units @0.0000						
07/31/2018	***-**-664J - PFAFF, GEORGE	INTERNATIONAL BOND A	0.00	3.01	0.00	3.01	0.0	0.00
	ACCOUNT #: LSR011184	BUY 1 Units @0.0000						
07/31/2018	***-**-15IN - PENDRAK, JOHN	INTERNATIONAL SMALL COMPANY A	0.00	1.54	0.00	1.54	0.0	0.00
	ACCOUNT #: LSR010948	BUY 1 Units @0.0000						
07/31/2018	***-**-959I - FRANZ, PAUL	INTERNATIONAL SMALL COMPANY A	0.00	1.47	0.00	1.47	0.0	0.00
	ACCOUNT #: LSR010959	BUY 1 Units @0.0000						
07/31/2018	***-**-367J - WAGNER, MRS LANT	INTERNATIONAL SMALL COMPANY A	0.00	2.00	0.00	2.00	0.0	0.00
	ACCOUNT #: LSR011134	BUY 1 Units @0.0000						
07/31/2018	***-**-664J - PFAFF, GEORGE	INTERNATIONAL SMALL COMPANY A	0.00	0.99	0.00	0.99	0.0	0.00
	ACCOUNT #: LSR011184	BUY 1 Units @0.0000						
07/31/2018	***-**-48IO - CLARK, PATRICK	LORD ABBETT SHORT DURATION INCOME C	0.00	3.85	0.00	3.85	0.0	0.00
	ACCOUNT #: LSR010911	BUY 1 Units @0.0000						
07/31/2018	***-**-44IO - MAYO, DEBORAH	LORD ABBETT SHORT DURATION INCOME C	0.00	18.45	0.00	18.45	0.0	0.00
	ACCOUNT #: LSR011079	BUY 1 Units @0.0000						
07/31/2018	***-**-579J - RHYMESTINE,	LORD ABBETT SHORT DURATION INCOME C	0.00	9.39	0.00	9.39	0.0	0.00
	ACCOUNT #: LSR011081	BUY 1 Units @0.0000						
07/31/2018	***-**-09IO - BATES, FBO MRS	LORD ABBETT SHORT DURATION INCOME C	0.00	12.44	0.00	12.44	0.0	0.00
	ACCOUNT #: LSR011117	BUY 1 Units @0.0000						
07/31/2018	***-**-89IN - LEE, ROGER	LORD ABBETT SHORT DURATION INCOME C	0.00	23.49	0.00	23.49	0.0	0.00
	ACCOUNT #: LSR011166	BUY 1 Units @0.0000						
07/31/2018	***-**-439J - MCCARTHY, JAMES	LORD ABBETT SHORT DURATION INCOME C	0.00	1.85	0.00	1.85	0.0	0.00
	ACCOUNT #: LSR011205	BUY 1 Units @0.0000						
07/31/2018	***-**-45IO - JOHNSON, GREGORY	LORD ABBETT SHORT DURATION INCOME C	0.00	12.39	0.00	12.39	0.0	0.00
	ACCOUNT #: LSR011421	BUY 1 Units @0.0000						
07/31/2018	***-**-14IO - BUSHEY, MATTHEW	LORD ABBETT SHORT DURATION INCOME C	0.00	9.22	0.00	9.22	0.0	0.00
	ACCOUNT #: LSR011498	BUY 1 Units @0.0000						
07/31/2018	***-**-531J - WILLIAMSON,	LORD ABBETT SHORT DURATION INCOME C	0.00	7.19	0.00	7.19	0.0	0.00
	ACCOUNT #: LSR011716	BUY 1 Units @0.0000						
07/31/2018	***-**-45IO - JOHNSON, GREGORY	MAIN STREET FUND C	0.00	7.52	0.00	7.52	0.0	0.00
	ACCOUNT #: LSR011421	BUY 1 Units @0.0000						





# COMMISSION STATEMENT

## July 30, 2018

KURT GRUENEWALD  
2108 Genesee St.  
Utica, NY 13502

BROKER #: A77  
BRANCH #01047 - 47 - GRIFFITH

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b>								
07/31/2018	***-**-7140 - LINES, JUDITH	MAIN STREET FUND C	0.00	4.96	0.00	4.96	0.0	0.00
	ACCOUNT #: LSR011763	BUY 1 Units @0.0000						
07/16/2018	***-**-213I - GRUENEWALD,	MFS GLOBAL NEW DISCOVERY FUND CL B	100.00	4.00	0.00	4.00	0.0	0.00
	ACCOUNT #: 08190131132	BUY 5 Units @19.7900						
07/31/2018	***-**-15IN - PENDRAK, JOHN	OPP PORT SERIES: ACTIVE ALLOC A	0.00	1.58	0.00	1.58	0.0	0.00
	ACCOUNT #: LSR010948	BUY 1 Units @0.0000						
07/31/2018	***-**-80IN - COBB, JAMES	OPPENHEIMER ACTIVE ALLOCATION FUND	0.00	7.48	0.00	7.48	0.0	0.00
	ACCOUNT #: LSR011042	BUY 1 Units @0.0000						
07/31/2018	***-**-44IO - MAYO, DEBORAH	OPPENHEIMER ACTIVE ALLOCATION FUND	0.00	14.74	0.00	14.74	0.0	0.00
	ACCOUNT #: LSR011079	BUY 1 Units @0.0000						
07/31/2018	***-**-09IO - BATES, FBO MRS	OPPENHEIMER ACTIVE ALLOCATION FUND	0.00	16.49	0.00	16.49	0.0	0.00
	ACCOUNT #: LSR011117	BUY 1 Units @0.0000						
07/31/2018	***-**-11IO - LYNN G.	OPPENHEIMER ACTIVE ALLOCATION FUND	0.00	14.31	0.00	14.31	0.0	0.00
	ACCOUNT #: LSR011239	BUY 1 Units @0.0000						
07/31/2018	***-**-45IO - JOHNSON, GREGORY	OPPENHEIMER ACTIVE ALLOCATION FUND	0.00	8.85	0.00	8.85	0.0	0.00
	ACCOUNT #: LSR011421	BUY 1 Units @0.0000						
07/31/2018	***-**-28IN - BYWATER, KIM	OPPENHEIMER DEV MARKETS FD CLASS C	0.00	1.27	0.00	1.27	0.0	0.00
	ACCOUNT #: LSR011995	BUY 1 Units @0.0000						
07/31/2018	***-**-881J - EBERLEY, SUSAN	OPPENHEIMER DEVELOPING MARKETS CLAS	0.00	1.58	0.00	1.58	0.0	0.00
	ACCOUNT #: LSR010856	BUY 1 Units @0.0000						
07/31/2018	***-**-949I - ACEE, JOSPEH	OPPENHEIMER DEVELOPING MARKETS CLAS	0.00	1.27	0.00	1.27	0.0	0.00
	ACCOUNT #: LSR010908	BUY 1 Units @0.0000						
07/31/2018	***-**-959I - FRANZ, PAUL	OPPENHEIMER DEVELOPING MARKETS CLAS	0.00	0.33	0.00	0.33	0.0	0.00
	ACCOUNT #: LSR010959	BUY 1 Units @0.0000						
07/31/2018	***-**-51IO - CAIN, TIMOTHY	OPPENHEIMER DEVELOPING MARKETS CLAS	0.00	2.33	0.00	2.33	0.0	0.00
	ACCOUNT #: LSR011007	BUY 1 Units @0.0000						
07/31/2018	***-**-96IN - NESSIA, BONNIE	OPPENHEIMER DEVELOPING MARKETS CLAS	0.00	0.79	0.00	0.79	0.0	0.00
	ACCOUNT #: LSR011055	BUY 1 Units @0.0000						
07/31/2018	***-**-506J - CURRIERE JR, MR	OPPENHEIMER DEVELOPING MARKETS CLAS	0.00	0.85	0.00	0.85	0.0	0.00
	ACCOUNT #: LSR011121	BUY 1 Units @0.0000						
07/31/2018	***-**-48IO - ANACKER, FBO MRS	OPPENHEIMER DEVELOPING MARKETS CLAS	0.00	0.78	0.00	0.78	0.0	0.00
	ACCOUNT #: LSR011164	BUY 1 Units @0.0000						



# COMMISSION STATEMENT

## July 30, 2018

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BROKER #: A77  
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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b>								
07/31/2018	***-**-64IO - PFAFF, GEORGE	OPPENHEIMER DEVELOPING MARKETS CLAS	0.00	1.50	0.00	1.50	0.0	0.00
	ACCOUNT #: LSR011185	BUY 1 Units @0.0000						
07/31/2018	***-**-62IR - ROBBIANO, FBO	OPPENHEIMER DEVELOPING MARKETS CLAS	0.00	1.16	0.00	1.16	0.0	0.00
	ACCOUNT #: LSR011195	BUY 1 Units @0.0000						
07/31/2018	***-**-653I - KOCHER, CLINTON	OPPENHEIMER DEVELOPING MARKETS CLAS	0.00	2.09	0.00	2.09	0.0	0.00
	ACCOUNT #: LSR011300	BUY 1 Units @0.0000						
07/31/2018	***-**-680I - HARRELL, DARYL	OPPENHEIMER DEVELOPING MARKETS CLAS	0.00	0.84	0.00	0.84	0.0	0.00
	ACCOUNT #: LSR011321	BUY 1 Units @0.0000						
07/31/2018	***-**-094I - KATRENA L	OPPENHEIMER GLBL REAL ESTATE FUND C	0.00	5.26	0.00	5.26	0.0	0.00
	ACCOUNT #: LSR011188	BUY 1 Units @0.0000						
07/31/2018	***-**-031O - MCVOY, ROBERT	OPPENHEIMER GLOBAL VALUE FUND CL C	0.00	5.16	0.00	5.16	0.0	0.00
	ACCOUNT #: LSR010916	BUY 1 Units @0.0000						
07/31/2018	***-**-714O - LINES, JUDITH	OPPENHEIMER GLOBAL VALUE FUND CL C	0.00	3.77	0.00	3.77	0.0	0.00
	ACCOUNT #: LSR011763	BUY 1 Units @0.0000						
07/31/2018	***-**-382I - SATTERLY, NEIL	OPPENHEIMER GOLD & SPECIAL MINERALS	0.00	3.80	0.00	3.80	0.0	0.00
	ACCOUNT #: LSR010867	BUY 1 Units @0.0000						
07/31/2018	***-**-48IO - CLARK, PATRICK	OPPENHEIMER GOLD & SPECIAL MINERALS	0.00	4.97	0.00	4.97	0.0	0.00
	ACCOUNT #: LSR010911	BUY 1 Units @0.0000						
07/31/2018	***-**-31IO - HARTZ, CLAUDIA	OPPENHEIMER GOLD & SPECIAL MINERALS	0.00	0.10	0.00	0.10	0.0	0.00
	ACCOUNT #: LSR010915	BUY 1 Units @0.0000						
07/31/2018	***-**-72IN - GAVALO, JULIE	OPPENHEIMER GOLD & SPECIAL MINERALS	0.00	2.19	0.00	2.19	0.0	0.00
	ACCOUNT #: LSR010921	BUY 1 Units @0.0000						
07/31/2018	***-**-065I - LAZIO, THOMAS	OPPENHEIMER GOLD & SPECIAL MINERALS	0.00	5.30	0.00	5.30	0.0	0.00
	ACCOUNT #: LSR010979	BUY 1 Units @0.0000						
07/31/2018	***-**-420T - DEMETRI, AMELIA	OPPENHEIMER GOLD & SPECIAL MINERALS	0.00	2.28	0.00	2.28	0.0	0.00
	ACCOUNT #: LSR010994	BUY 1 Units @0.0000						
07/31/2018	***-**-00IO - LEE, GARY	OPPENHEIMER GOLD & SPECIAL MINERALS	0.00	7.02	0.00	7.02	0.0	0.00
	ACCOUNT #: LSR011059	BUY 1 Units @0.0000						
07/31/2018	***-**-09IO - BATES, FBO MRS	OPPENHEIMER GOLD & SPECIAL MINERALS	0.00	2.30	0.00	2.30	0.0	0.00
	ACCOUNT #: LSR011117	BUY 1 Units @0.0000						
07/31/2018	***-**-11IO - LYNN G.	OPPENHEIMER GOLD & SPECIAL MINERALS	0.00	6.58	0.00	6.58	0.0	0.00
	ACCOUNT #: LSR011239	BUY 1 Units @0.0000						



# COMMISSION STATEMENT

## July 30, 2018

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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>								
07/31/2018	***-**-45IO - JOHNSON, GREGORY	OPPENHEIMER GOLD & SPECIAL MINERALS	0.00	5.37	0.00	5.37	0.0	0.00
	ACCOUNT #: LSR011421	BUY 1 Units @0.0000						
07/31/2018	***-**-51IN - GERACE, JOANNE	OPPENHEIMER GOLD & SPECIAL MINERALS	0.00	1.45	0.00	1.45	0.0	0.00
	ACCOUNT #: LSR011538	BUY 1 Units @0.0000						
07/31/2018	***-**-714O - LINES, JUDITH	OPPENHEIMER INTERNATIONAL DIVERSIFI	0.00	3.15	0.00	3.15	0.0	0.00
	ACCOUNT #: LSR011763	BUY 1 Units @0.0000						
07/31/2018	***-**-28IN - BYWATER, KIM	OPPENHEIMER INTERNATIONAL SMALL COM	0.00	2.51	0.00	2.51	0.0	0.00
	ACCOUNT #: LSR011995	BUY 1 Units @0.0000						
07/31/2018	***-**-881I - EBERLEY, SUSAN	OPPENHEIMER MAIN STREET SMALL CAP F	0.00	1.91	0.00	1.91	0.0	0.00
	ACCOUNT #: LSR010858	BUY 1 Units @0.0000						
07/31/2018	***-**-382I - SATTERLY, NEIL	OPPENHEIMER RISING DIVIDENDS FUND C	0.00	27.30	0.00	27.30	0.0	0.00
	ACCOUNT #: LSR010867	BUY 1 Units @0.0000						
07/31/2018	***-**-031O - MCVOY, ROBERT	OPPENHEIMER RISING DIVIDENDS FUND C	0.00	5.72	0.00	5.72	0.0	0.00
	ACCOUNT #: LSR010916	BUY 1 Units @0.0000						
07/31/2018	***-**-065I - LAZIO, THOMAS	OPPENHEIMER RISING DIVIDENDS FUND C	0.00	8.84	0.00	8.84	0.0	0.00
	ACCOUNT #: LSR010979	BUY 1 Units @0.0000						
07/31/2018	***-**-51IN - GERACE, JOANNE	OPPENHEIMER RISING DIVIDENDS FUND C	0.00	7.70	0.00	7.70	0.0	0.00
	ACCOUNT #: LSR011538	BUY 1 Units @0.0000						
07/31/2018	***-**-37IO - MCCLUSKY, MARK	OPPENHEIMER RISING DIVIDENDS FUND C	0.00	5.07	0.00	5.07	0.0	0.00
	ACCOUNT #: LSR011579	BUY 1 Units @0.0000						
07/31/2018	***-**-714O - LINES, JUDITH	OPPENHEIMER RISING DIVIDENDS FUND C	0.00	7.58	0.00	7.58	0.0	0.00
	ACCOUNT #: LSR011763	BUY 1 Units @0.0000						
07/31/2018	***-**-28IN - BYWATER, KIM	OPPENHEIMER RISING DIVIDENDS FUND C	0.00	1.62	0.00	1.62	0.0	0.00
	ACCOUNT #: LSR011995	BUY 1 Units @0.0000						
07/31/2018	***-**-287J - HINCKLEY,	OPPENHEIMER ROCHEST AMT-FREE NY MUN	0.00	7.18	0.00	7.18	0.0	0.00
	ACCOUNT #: LSR010841	BUY 1 Units @0.0000						
07/31/2018	***-**-254I - AUGUSTINE, LINDA	OPPENHEIMER SMALL & MID CAP VALUE F	0.00	1.07	0.00	1.07	0.0	0.00
	ACCOUNT #: LSR010846	BUY 1 Units @0.0000						
07/31/2018	***-**-930I - SANGER, KEVIN	OPPENHEIMER SMALL & MID CAP VALUE F	0.00	0.41	0.00	0.41	0.0	0.00
	ACCOUNT #: LSR010941	BUY 1 Units @0.0000						
07/31/2018	***-**-15IN - PENDRAK, JOHN	OPPENHEIMER SMALL & MID CAP VALUE F	0.00	0.93	0.00	0.93	0.0	0.00
	ACCOUNT #: LSR010948	BUY 1 Units @0.0000						



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<b>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b>								
07/31/2018	***-**-959I - FRANZ, PAUL	OPPENHEIMER SMALL & MID CAP VALUE F	0.00	1.70	0.00	1.70	0.0	0.00
	ACCOUNT #: LSR010959	BUY 1 Units @0.0000						
07/31/2018	***-**-567I - FRANZ, ALICE	OPPENHEIMER SMALL & MID CAP VALUE F	0.00	2.31	0.00	2.31	0.0	0.00
	ACCOUNT #: LSR010960	BUY 1 Units @0.0000						
07/31/2018	***-**-944O - MAYO, DEBORAH	OPPENHEIMER SMALL & MID CAP VALUE F	0.00	0.72	0.00	0.72	0.0	0.00
	ACCOUNT #: LSR011035	BUY 1 Units @0.0000						
07/31/2018	***-**-580X - COBB, JAMES	OPPENHEIMER SMALL & MID CAP VALUE F	0.00	1.03	0.00	1.03	0.0	0.00
	ACCOUNT #: LSR011040	BUY 1 Units @0.0000						
07/31/2018	***-**-111J - NESSIA, JAMES	OPPENHEIMER SMALL & MID CAP VALUE F	0.00	1.01	0.00	1.01	0.0	0.00
	ACCOUNT #: LSR011054	BUY 1 Units @0.0000						
07/31/2018	***-**-579I - RHYMESTINE,	OPPENHEIMER SMALL & MID CAP VALUE F	0.00	2.19	0.00	2.19	0.0	0.00
	ACCOUNT #: LSR011082	BUY 1 Units @0.0000						
07/31/2018	***-**-13IN - RHYMESTINE,	OPPENHEIMER SMALL & MID CAP VALUE F	0.00	0.49	0.00	0.49	0.0	0.00
	ACCOUNT #: LSR011106	BUY 1 Units @0.0000						
07/31/2018	***-**-664J - PFAFF, GEORGE	OPPENHEIMER SMALL & MID CAP VALUE F	0.00	0.71	0.00	0.71	0.0	0.00
	ACCOUNT #: LSR011184	BUY 1 Units @0.0000						
07/31/2018	***-**-62IN - EATON, DAVID	OPPENHEIMER SMALL & MID CAP VALUE F	0.00	0.68	0.00	0.68	0.0	0.00
	ACCOUNT #: LSR011315	BUY 1 Units @0.0000						
07/31/2018	***-**-80IN - COBB, JAMES	OPPENHEIMER STEELPATH MLP ALPHA PLU	0.00	1.02	0.00	1.02	0.0	0.00
	ACCOUNT #: LSR011042	BUY 1 Units @0.0000						
07/31/2018	***-**-837O - BASEMENT	OPPENHEIMERSTEELPATH MLP INCOME CL	0.00	2.72	0.00	2.72	0.0	0.00
	ACCOUNT #: LSR011046	BUY 1 Units @0.0000						
07/31/2018	***-**-80IN - COBB, JAMES	OPPENHEIMERSTEELPATH MLP SELECT 40	0.00	0.60	0.00	0.60	0.0	0.00
	ACCOUNT #: LSR011042	BUY 1 Units @0.0000						
07/31/2018	***-**-48IO - CLARK, PATRICK	PORT SERIES: CONS INV C	0.00	16.99	0.00	16.99	0.0	0.00
	ACCOUNT #: LSR010911	BUY 1 Units @0.0000						
07/31/2018	***-**-72IN - GAVALO, JULIE	PORT SERIES: CONS INV C	0.00	22.11	0.00	22.11	0.0	0.00
	ACCOUNT #: LSR010921	BUY 1 Units @0.0000						
07/31/2018	***-**-420T - DEMETRI, AMELIA	PORT SERIES: CONS INV C	0.00	3.35	0.00	3.35	0.0	0.00
	ACCOUNT #: LSR010994	BUY 1 Units @0.0000						
07/31/2018	***-**-73UT - COBB, CHRSTIAN	PORT SERIES: CONS INV C	0.00	4.48	0.00	4.48	0.0	0.00
	ACCOUNT #: LSR011104	BUY 1 Units @0.0000						



# COMMISSION STATEMENT

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KURT GRUENEWALD  
2108 Genesee St.  
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BROKER #: A77  
BRANCH #01047 - 47 - GRIFFITH

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b>								
07/31/2018	***-**-67UT - COBB, ACCOUNT #: LSR011105	PORT SERIES: CONS INV C BUY 1 Units @0.0000	0.00	4.48	0.00	4.48	0.0	0.00
07/31/2018	***-**-89IN - LEE, ROGER ACCOUNT #: LSR011166	PORT SERIES: CONS INV C BUY 1 Units @0.0000	0.00	9.67	0.00	9.67	0.0	0.00
07/31/2018	***-**-52IO - EUSEPI, SUSAN ACCOUNT #: LSR011219	PORT SERIES: CONS INV C BUY 1 Units @0.0000	0.00	12.10	0.00	12.10	0.0	0.00
07/31/2018	***-**-439I - MCCARTHY, JAMES ACCOUNT #: LSR011244	PORT SERIES: CONS INV C BUY 1 Units @0.0000	0.00	4.04	0.00	4.04	0.0	0.00
07/31/2018	***-**-80IO - EVANS, RICHARD ACCOUNT #: LSR011276	PORT SERIES: CONS INV C BUY 1 Units @0.0000	0.00	12.93	0.00	12.93	0.0	0.00
07/31/2018	***-**-664J - PFAFF, GEORGE ACCOUNT #: LSR011184	PORT SERIES: EQUITY INV FD A BUY 1 Units @0.0000	0.00	1.07	0.00	1.07	0.0	0.00
07/31/2018	***-**-254I - AUGUSTINE, LINDA ACCOUNT #: LSR010846	PORTFOLIO SERIES: CONS INV A BUY 1 Units @0.0000	0.00	1.48	0.00	1.48	0.0	0.00
07/31/2018	***-**-15IN - PENDRAK, JOHN ACCOUNT #: LSR010948	PORTFOLIO SERIES: CONS INV A BUY 1 Units @0.0000	0.00	2.39	0.00	2.39	0.0	0.00
07/31/2018	***-**-959I - FRANZ, PAUL ACCOUNT #: LSR010959	PORTFOLIO SERIES: CONS INV A BUY 1 Units @0.0000	0.00	2.04	0.00	2.04	0.0	0.00
07/31/2018	***-**-567I - FRANZ, ALICE ACCOUNT #: LSR010960	PORTFOLIO SERIES: CONS INV A BUY 1 Units @0.0000	0.00	3.13	0.00	3.13	0.0	0.00
07/31/2018	***-**-51IO - CAIN, TIMOTHY ACCOUNT #: LSR011007	PORTFOLIO SERIES: CONS INV A BUY 1 Units @0.0000	0.00	2.02	0.00	2.02	0.0	0.00
07/31/2018	***-**-761I - EVANS, DOLORES ACCOUNT #: LSR011024	PORTFOLIO SERIES: CONS INV A BUY 1 Units @0.0000	0.00	1.15	0.00	1.15	0.0	0.00
07/31/2018	***-**-944O - MAYO, DEBORAH ACCOUNT #: LSR011035	PORTFOLIO SERIES: CONS INV A BUY 1 Units @0.0000	0.00	1.69	0.00	1.69	0.0	0.00
07/31/2018	***-**-861I - SANGER, LAWRENCE ACCOUNT #: LSR011095	PORTFOLIO SERIES: CONS INV A BUY 1 Units @0.0000	0.00	0.65	0.00	0.65	0.0	0.00
07/31/2018	***-**-13IN - RHYMESTINE, ACCOUNT #: LSR011106	PORTFOLIO SERIES: CONS INV A BUY 1 Units @0.0000	0.00	0.79	0.00	0.79	0.0	0.00
07/31/2018	***-**-664J - PFAFF, GEORGE ACCOUNT #: LSR011184	PORTFOLIO SERIES: CONS INV A BUY 1 Units @0.0000	0.00	4.26	0.00	4.26	0.0	0.00



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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>								
07/31/2018	***-**-02IN - BUSHEY, MELISSA	PORTFOLIO SERIES: CONS INV A	0.00	0.62	0.00	0.62	0.0	0.00
	ACCOUNT #: LSR011257	BUY 1 Units @0.0000						
07/31/2018	***-**-62IN - EATON, DAVID	PORTFOLIO SERIES: CONS INV A	0.00	1.19	0.00	1.19	0.0	0.00
	ACCOUNT #: LSR011315	BUY 1 Units @0.0000						
07/31/2018	***-**-930I - SANGER, KEVIN	PUTNAM UTILITIES GROWTH AND INCOME	0.00	0.73	0.00	0.73	0.0	0.00
	ACCOUNT #: LSR010941	BUY 1 Units @0.0000						
07/31/2018	***-**-959I - FRANZ, PAUL	PUTNAM UTILITIES GROWTH AND INCOME	0.00	1.27	0.00	1.27	0.0	0.00
	ACCOUNT #: LSR010959	BUY 1 Units @0.0000						
07/31/2018	***-**-96IN - NESSIA, BONNIE	PUTNAM UTILITIES GROWTH AND INCOME	0.00	1.53	0.00	1.53	0.0	0.00
	ACCOUNT #: LSR011055	BUY 1 Units @0.0000						
07/31/2018	***-**-579I - RHYMESTINE,	PUTNAM UTILITIES GROWTH AND INCOME	0.00	1.37	0.00	1.37	0.0	0.00
	ACCOUNT #: LSR011082	BUY 1 Units @0.0000						
07/31/2018	***-**-861I - SANGER, LAWRENCE	PUTNAM UTILITIES GROWTH AND INCOME	0.00	1.38	0.00	1.38	0.0	0.00
	ACCOUNT #: LSR011095	BUY 1 Units @0.0000						
07/31/2018	***-**-02IN - BUSHEY, MELISSA	PUTNAM UTILITIES GROWTH AND INCOME	0.00	0.47	0.00	0.47	0.0	0.00
	ACCOUNT #: LSR011257	BUY 1 Units @0.0000						
07/31/2018	***-**-22IO - CLINTON, STEPHEN	PUTNAM 746792100	0.00	0.66	0.00	0.66	0.0	0.00
	ACCOUNT #: LSR011684	BUY 1 Units @0.0000						
07/31/2018	***-**-15IN - PENDRAK, JOHN	PUTNAM ABSOLUTE RETURN 700 CL B	0.00	2.30	0.00	2.30	0.0	0.00
	ACCOUNT #: LSR010948	BUY 1 Units @0.0000						
07/31/2018	***-**-169I - EVANS, PAUL	PUTNAM ABSOLUTE RETURN 700 CL B	0.00	1.18	0.00	1.18	0.0	0.00
	ACCOUNT #: LSR011026	BUY 1 Units @0.0000						
07/31/2018	***-**-62IR - ROBBIANO, FBO	PUTNAM ABSOLUTE RETURN 700 CL B	0.00	0.69	0.00	0.69	0.0	0.00
	ACCOUNT #: LSR011195	BUY 1 Units @0.0000						
07/31/2018	***-**-52IO - EUSEPI, SUSAN	PUTNAM ABSOLUTE RETURN 700 CL B	0.00	1.09	0.00	1.09	0.0	0.00
	ACCOUNT #: LSR011219	BUY 1 Units @0.0000						
07/31/2018	***-**-51IN - GERACE, JOANNE	PUTNAM ABSOLUTE RETURN 700 CL B	0.00	1.07	0.00	1.07	0.0	0.00
	ACCOUNT #: LSR011538	BUY 1 Units @0.0000						
07/31/2018	***-**-235I - AUGUSTINE III,	PUTNAM ABSOLUTE RETURN 700 CL C	0.00	4.23	0.00	4.23	0.0	0.00
	ACCOUNT #: LSR010845	BUY 1 Units @0.0000						
07/31/2018	***-**-382I - SATTERLY, NEIL	PUTNAM ABSOLUTE RETURN 700 CL C	0.00	14.24	0.00	14.24	0.0	0.00
	ACCOUNT #: LSR010867	BUY 1 Units @0.0000						



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BROKER #: A77  
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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b>								
07/31/2018	***-**-48IO - CLARK, PATRICK	PUTNAM ABSOLUTE RETURN 700 CL C	0.00	9.11	0.00	9.11	0.0	0.00
	ACCOUNT #: LSR010911	BUY 1 Units @0.0000						
07/31/2018	***-**-72IN - GAVALO, JULIE	PUTNAM ABSOLUTE RETURN 700 CL C	0.00	9.04	0.00	9.04	0.0	0.00
	ACCOUNT #: LSR010921	BUY 1 Units @0.0000						
07/31/2018	***-**-065I - LAZIO, THOMAS	PUTNAM ABSOLUTE RETURN 700 CL C	0.00	7.06	0.00	7.06	0.0	0.00
	ACCOUNT #: LSR010979	BUY 1 Units @0.0000						
07/31/2018	***-**-09IO - BATES, FBO MRS	PUTNAM ABSOLUTE RETURN 700 CL C	0.00	8.86	0.00	8.86	0.0	0.00
	ACCOUNT #: LSR011117	BUY 1 Units @0.0000						
07/31/2018	***-**-11IO - LYNN G.	PUTNAM ABSOLUTE RETURN 700 CL C	0.00	13.41	0.00	13.41	0.0	0.00
	ACCOUNT #: LSR011239	BUY 1 Units @0.0000						
07/31/2018	***-**-80IO - EVANS, RICHARD	PUTNAM ABSOLUTE RETURN 700 CL C	0.00	7.51	0.00	7.51	0.0	0.00
	ACCOUNT #: LSR011276	BUY 1 Units @0.0000						
07/31/2018	***-**-45IO - JOHNSON, GREGORY	PUTNAM ABSOLUTE RETURN 700 CL C	0.00	8.97	0.00	8.97	0.0	0.00
	ACCOUNT #: LSR011421	BUY 1 Units @0.0000						
07/31/2018	***-**-628I - SANGER, SANDRA	PUTNAM ABSOLUTE RETURN 700-A	0.00	0.75	0.00	0.75	0.0	0.00
	ACCOUNT #: LSR010942	BUY 1 Units @0.0000						
07/31/2018	***-**-944O - MAYO, DEBORAH	PUTNAM ABSOLUTE RETURN 700-A	0.00	1.74	0.00	1.74	0.0	0.00
	ACCOUNT #: LSR011035	BUY 1 Units @0.0000						
07/31/2018	***-**-63TR - EVANS, AUDREY J	PUTNAM ABSOLUTE RETURN 700-A	0.00	2.26	0.00	2.26	0.0	0.00
	ACCOUNT #: LSR011036	BUY 1 Units @0.0000						
07/31/2018	***-**-579I - RHYMESTINE,	PUTNAM ABSOLUTE RETURN 700-A	0.00	0.82	0.00	0.82	0.0	0.00
	ACCOUNT #: LSR011082	BUY 1 Units @0.0000						
07/31/2018	***-**-861I - SANGER, LAWRENCE	PUTNAM ABSOLUTE RETURN 700-A	0.00	1.11	0.00	1.11	0.0	0.00
	ACCOUNT #: LSR011095	BUY 1 Units @0.0000						
07/31/2018	***-**-02IN - BUSHEY, MELISSA	PUTNAM ABSOLUTE RETURN 700-A	0.00	0.37	0.00	0.37	0.0	0.00
	ACCOUNT #: LSR011257	BUY 1 Units @0.0000						
07/31/2018	***-**-653J - KOCHEM, CLINTON	PUTNAM ABSOLUTE RETURN 700-A	0.00	0.75	0.00	0.75	0.0	0.00
	ACCOUNT #: LSR011298	BUY 1 Units @0.0000						
07/31/2018	***-**-62IN - EATON, DAVID	PUTNAM ABSOLUTE RETURN 700-A	0.00	0.96	0.00	0.96	0.0	0.00
	ACCOUNT #: LSR011315	BUY 1 Units @0.0000						
07/31/2018	***-**-22IO - CLINTON, STEPHEN	PUTNAM ABSOLUTE RETURN 700-A	0.00	0.68	0.00	0.68	0.0	0.00
	ACCOUNT #: LSR011684	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>								
07/31/2018	***-**-31IO - HARTZ, CLAUDIA	PUTNAM ASSET ALLOC BALANCED-C	0.00	4.69	0.00	4.69	0.0	0.00
	ACCOUNT #: LSR010915	BUY 1 Units @0.0000						
07/31/2018	***-**-31IO - HARTZ, CLAUDIA	PUTNAM CAPITAL SPECTRUM FD CL B	0.00	0.65	0.00	0.65	0.0	0.00
	ACCOUNT #: LSR010915	BUY 1 Units @0.0000						
07/31/2018	***-**-930I - SANGER, KEVIN	PUTNAM CAPITAL SPECTRUM FD CL B	0.00	0.91	0.00	0.91	0.0	0.00
	ACCOUNT #: LSR010941	BUY 1 Units @0.0000						
07/31/2018	***-**-366S - GRUENEWALD,	PUTNAM CAPITAL SPECTRUM FD CL B	0.00	0.79	0.00	0.79	0.0	0.00
	ACCOUNT #: LSR010990	BUY 1 Units @0.0000						
07/31/2018	***-**-51IO - CAIN, TIMOTHY	PUTNAM CAPITAL SPECTRUM FD CL B	0.00	1.50	0.00	1.50	0.0	0.00
	ACCOUNT #: LSR011007	BUY 1 Units @0.0000						
07/31/2018	***-**-579I - RHYMESTINE,	PUTNAM CAPITAL SPECTRUM FD CL B	0.00	1.37	0.00	1.37	0.0	0.00
	ACCOUNT #: LSR011082	BUY 1 Units @0.0000						
07/31/2018	***-**-73UT - COBB, CHRSTIAN	PUTNAM CAPITAL SPECTRUM FD CL B	0.00	1.49	0.00	1.49	0.0	0.00
	ACCOUNT #: LSR011104	BUY 1 Units @0.0000						
07/31/2018	***-**-67UT - COBB,	PUTNAM CAPITAL SPECTRUM FD CL B	0.00	1.49	0.00	1.49	0.0	0.00
	ACCOUNT #: LSR011105	BUY 1 Units @0.0000						
07/31/2018	***-**-992J - CORNACCHIA	PUTNAM CAPITAL SPECTRUM FD CL B	0.00	0.46	0.00	0.46	0.0	0.00
	ACCOUNT #: LSR011157	BUY 1 Units @0.0000						
07/31/2018	***-**-66IO - RUDD, MICHAEL	PUTNAM CAPITAL SPECTRUM FD CL B	0.00	0.15	0.00	0.15	0.0	0.00
	ACCOUNT #: LSR011268	BUY 1 Units @0.0000						
07/31/2018	***-**-21IO - RADELL, SANDRA	PUTNAM CAPITAL SPECTRUM FD CL B	0.00	1.49	0.00	1.49	0.0	0.00
	ACCOUNT #: LSR011392	BUY 1 Units @0.0000						
07/31/2018	***-**-22IO - CLINTON, STEPHEN	PUTNAM CAPITAL SPECTRUM FUND CL A	0.00	0.74	0.00	0.74	0.0	0.00
	ACCOUNT #: LSR011684	BUY 1 Units @0.0000						
07/31/2018	***-**-382I - SATTERLY, NEIL	PUTNAM CAPITAL SPECTRUM FUND CL C	0.00	7.22	0.00	7.22	0.0	0.00
	ACCOUNT #: LSR010867	BUY 1 Units @0.0000						
07/31/2018	***-**-980I - ACEE, ELIZABETH	PUTNAM CAPITAL SPECTRUM FUND CL C	0.00	11.50	0.00	11.50	0.0	0.00
	ACCOUNT #: LSR010885	BUY 1 Units @0.0000						
07/31/2018	***-**-44IO - MAYO, DEBORAH	PUTNAM CAPITAL SPECTRUM FUND CL C	0.00	7.71	0.00	7.71	0.0	0.00
	ACCOUNT #: LSR011079	BUY 1 Units @0.0000						
07/31/2018	***-**-09IO - BATES, FBO MRS	PUTNAM CAPITAL SPECTRUM FUND CL C	0.00	16.46	0.00	16.46	0.0	0.00
	ACCOUNT #: LSR011117	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>								
07/31/2018	***-**-094I - KATRENA L	PUTNAM CAPITAL SPECTRUM FUND CL C	0.00	6.46	0.00	6.46	0.0	0.00
	ACCOUNT #: LSR011188	BUY 1 Units @0.0000						
07/31/2018	***-**-11IO - LYNN G.	PUTNAM CAPITAL SPECTRUM FUND CL C	0.00	15.65	0.00	15.65	0.0	0.00
	ACCOUNT #: LSR011239	BUY 1 Units @0.0000						
07/31/2018	***-**-45IO - JOHNSON, GREGORY	PUTNAM CAPITAL SPECTRUM FUND CL C	0.00	10.32	0.00	10.32	0.0	0.00
	ACCOUNT #: LSR011421	BUY 1 Units @0.0000						
07/31/2018	***-**-235I - AUGUSTINE III,	PUTNAM COMP	0.00	5.69	0.00	5.69	0.0	0.00
	ACCOUNT #: LSR010845	BUY 1 Units @0.0000						
07/31/2018	***-**-881I - EBERLEY, SUSAN	PUTNAM COMP	0.00	4.86	0.00	4.86	0.0	0.00
	ACCOUNT #: LSR010858	BUY 1 Units @0.0000						
07/31/2018	***-**-48IO - CLARK, PATRICK	PUTNAM COMP	0.00	7.80	0.00	7.80	0.0	0.00
	ACCOUNT #: LSR010911	BUY 1 Units @0.0000						
07/31/2018	***-**-72IN - GAVALO, JULIE	PUTNAM COMP	0.00	6.73	0.00	6.73	0.0	0.00
	ACCOUNT #: LSR010921	BUY 1 Units @0.0000						
07/31/2018	***-**-959J - FRANZ, PAUL	PUTNAM COMP	0.00	10.14	0.00	10.14	0.0	0.00
	ACCOUNT #: LSR010958	BUY 1 Units @0.0000						
07/31/2018	***-**-065I - LAZIO, THOMAS	PUTNAM COMP	0.00	5.78	0.00	5.78	0.0	0.00
	ACCOUNT #: LSR010979	BUY 1 Units @0.0000						
07/31/2018	***-**-420T - DEMETRI, AMELIA	PUTNAM COMP	0.00	5.16	0.00	5.16	0.0	0.00
	ACCOUNT #: LSR010994	BUY 1 Units @0.0000						
07/31/2018	***-**-169I - EVANS, PAUL	PUTNAM COMP	0.00	4.13	0.00	4.13	0.0	0.00
	ACCOUNT #: LSR011026	BUY 1 Units @0.0000						
07/31/2018	***-**-80IN - COBB, JAMES	PUTNAM COMP	0.00	7.46	0.00	7.46	0.0	0.00
	ACCOUNT #: LSR011042	BUY 1 Units @0.0000						
07/31/2018	***-**-00IO - LEE, GARY	PUTNAM COMP	0.00	9.16	0.00	9.16	0.0	0.00
	ACCOUNT #: LSR011059	BUY 1 Units @0.0000						
07/31/2018	***-**-09IO - BATES, FBO MRS	PUTNAM COMP	0.00	9.16	0.00	9.16	0.0	0.00
	ACCOUNT #: LSR011117	BUY 1 Units @0.0000						
07/31/2018	***-**-89IN - LEE, ROGER	PUTNAM COMP	0.00	5.13	0.00	5.13	0.0	0.00
	ACCOUNT #: LSR011166	BUY 1 Units @0.0000						
07/31/2018	***-**-094I - KATRENA L	PUTNAM COMP	0.00	7.18	0.00	7.18	0.0	0.00
	ACCOUNT #: LSR011188	BUY 1 Units @0.0000						



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<b>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b>								
07/31/2018	***-**-11IO - LYNN G.	PUTNAM COMP	0.00	9.49	0.00	9.49	0.0	0.00
	ACCOUNT #: LSR011239	BUY 1 Units @0.0000						
07/31/2018	***-**-80IO - EVANS, RICHARD	PUTNAM COMP	0.00	4.69	0.00	4.69	0.0	0.00
	ACCOUNT #: LSR011276	BUY 1 Units @0.0000						
07/31/2018	***-**-376I - BERBEN, GAIL	PUTNAM COMP	0.00	9.25	0.00	9.25	0.0	0.00
	ACCOUNT #: LSR011380	BUY 1 Units @0.0000						
07/31/2018	***-**-45IO - JOHNSON, GREGORY	PUTNAM COMP	0.00	13.13	0.00	13.13	0.0	0.00
	ACCOUNT #: LSR011421	BUY 1 Units @0.0000						
07/31/2018	***-**-14IO - BUSHEY, MATTHEW	PUTNAM COMP	0.00	9.34	0.00	9.34	0.0	0.00
	ACCOUNT #: LSR011498	BUY 1 Units @0.0000						
07/31/2018	***-**-37IO - MCCLUSKY, MARK	PUTNAM COMP	0.00	6.88	0.00	6.88	0.0	0.00
	ACCOUNT #: LSR011579	BUY 1 Units @0.0000						
07/31/2018	***-**-86IN - LEE, KEVIN	PUTNAM COMP	0.00	7.79	0.00	7.79	0.0	0.00
	ACCOUNT #: LSR011613	BUY 1 Units @0.0000						
07/31/2018	***-**-51IO - SCALISE, MARY	PUTNAM COMP	0.00	4.36	0.00	4.36	0.0	0.00
	ACCOUNT #: LSR011837	BUY 1 Units @0.0000						
07/31/2018	***-**-949I - ACEE, JOSPEH	PUTNAM CONV INCOME-GROWTH-B	0.00	2.28	0.00	2.28	0.0	0.00
	ACCOUNT #: LSR010908	BUY 1 Units @0.0000						
07/31/2018	***-**-31IO - HARTZ, CLAUDIA	PUTNAM CONV INCOME-GROWTH-B	0.00	0.67	0.00	0.67	0.0	0.00
	ACCOUNT #: LSR010915	BUY 1 Units @0.0000						
07/31/2018	***-**-567I - FRANZ, ALICE	PUTNAM CONV INCOME-GROWTH-B	0.00	2.95	0.00	2.95	0.0	0.00
	ACCOUNT #: LSR010960	BUY 1 Units @0.0000						
07/31/2018	***-**-366S - GRUENEWALD,	PUTNAM CONV INCOME-GROWTH-B	0.00	0.80	0.00	0.80	0.0	0.00
	ACCOUNT #: LSR010990	BUY 1 Units @0.0000						
07/31/2018	***-**-580X - COBB, JAMES	PUTNAM CONV INCOME-GROWTH-B	0.00	1.62	0.00	1.62	0.0	0.00
	ACCOUNT #: LSR011040	BUY 1 Units @0.0000						
07/31/2018	***-**-579I - RHYMESTINE,	PUTNAM CONV INCOME-GROWTH-B	0.00	1.12	0.00	1.12	0.0	0.00
	ACCOUNT #: LSR011082	BUY 1 Units @0.0000						
07/31/2018	***-**-506J - CURRIERE JR, MR	PUTNAM CONV INCOME-GROWTH-B	0.00	1.06	0.00	1.06	0.0	0.00
	ACCOUNT #: LSR011121	BUY 1 Units @0.0000						
07/31/2018	***-**-48IO - ANACKER, FBO MRS	PUTNAM CONV INCOME-GROWTH-B	0.00	1.18	0.00	1.18	0.0	0.00
	ACCOUNT #: LSR011164	BUY 1 Units @0.0000						



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KURT GRUENEWALD  
2108 Genesee St.  
Utica, NY 13502

BROKER #: A77  
BRANCH #01047 - 47 - GRIFFITH

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b>								
07/31/2018	***-**-64IO - PFAFF, GEORGE	PUTNAM CONV INCOME-GROWTH-B	0.00	1.40	0.00	1.40	0.0	0.00
	ACCOUNT #: LSR011185	BUY 1 Units @0.0000						
07/31/2018	***-**-62IR - ROBBIANO, FBO	PUTNAM CONV INCOME-GROWTH-B	0.00	0.71	0.00	0.71	0.0	0.00
	ACCOUNT #: LSR011195	BUY 1 Units @0.0000						
07/31/2018	***-**-653I - KOCHER, CLINTON	PUTNAM CONV INCOME-GROWTH-B	0.00	2.19	0.00	2.19	0.0	0.00
	ACCOUNT #: LSR011300	BUY 1 Units @0.0000						
07/31/2018	***-**-00IO - LEE, GARY	PUTNAM CONVERTIBLE SECURITIES CL C	0.00	14.00	0.00	14.00	0.0	0.00
	ACCOUNT #: LSR011059	BUY 1 Units @0.0000						
07/31/2018	***-**-11IO - LYNN G.	PUTNAM CONVERTIBLE SECURITIES CL C	0.00	17.58	0.00	17.58	0.0	0.00
	ACCOUNT #: LSR011239	BUY 1 Units @0.0000						
07/31/2018	***-**-132O - EVANS, THOMAS	PUTNAM DIVERSIFIED INCOME CLASS C	0.00	7.23	0.00	7.23	0.0	0.00
	ACCOUNT #: LSR011074	BUY 1 Units @0.0000						
07/31/2018	***-**-11IO - LYNN G.	PUTNAM DIVERSIFIED INCOME CLASS C	0.00	14.35	0.00	14.35	0.0	0.00
	ACCOUNT #: LSR011239	BUY 1 Units @0.0000						
07/31/2018	***-**-881J - EBERLEY, SUSAN	PUTNAM DIVERSIFIED INCOME-B	0.00	2.22	0.00	2.22	0.0	0.00
	ACCOUNT #: LSR010856	BUY 1 Units @0.0000						
07/31/2018	***-**-949I - ACEE, JOSPEH	PUTNAM DIVERSIFIED INCOME-B	0.00	0.86	0.00	0.86	0.0	0.00
	ACCOUNT #: LSR010908	BUY 1 Units @0.0000						
07/31/2018	***-**-31IO - HARTZ, CLAUDIA	PUTNAM DIVERSIFIED INCOME-B	0.00	0.65	0.00	0.65	0.0	0.00
	ACCOUNT #: LSR010915	BUY 1 Units @0.0000						
07/31/2018	***-**-702I - KOCHER, MICHAEL	PUTNAM DIVERSIFIED INCOME-B	0.00	1.86	0.00	1.86	0.0	0.00
	ACCOUNT #: LSR010954	BUY 1 Units @0.0000						
07/31/2018	***-**-960J - MASTRANGELO,	PUTNAM DIVERSIFIED INCOME-B	0.00	2.02	0.00	2.02	0.0	0.00
	ACCOUNT #: LSR010966	BUY 1 Units @0.0000						
07/31/2018	***-**-51IO - CAIN, TIMOTHY	PUTNAM DIVERSIFIED INCOME-B	0.00	1.26	0.00	1.26	0.0	0.00
	ACCOUNT #: LSR011007	BUY 1 Units @0.0000						
07/31/2018	***-**-761I - EVANS, DOLORES	PUTNAM DIVERSIFIED INCOME-B	0.00	9.91	0.00	9.91	0.0	0.00
	ACCOUNT #: LSR011024	BUY 1 Units @0.0000						
07/31/2018	***-**-63TR - EVANS, AUDREY J	PUTNAM DIVERSIFIED INCOME-B	0.00	2.51	0.00	2.51	0.0	0.00
	ACCOUNT #: LSR011036	BUY 1 Units @0.0000						
07/31/2018	***-**-579I - RHYMESTINE,	PUTNAM DIVERSIFIED INCOME-B	0.00	1.17	0.00	1.17	0.0	0.00
	ACCOUNT #: LSR011082	BUY 1 Units @0.0000						



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KURT GRUENEWALD  
2108 Genesee St.  
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BROKER #: A77  
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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b>								
07/31/2018	***-**-861I - SANGER, LAWRENCE	PUTNAM DIVERSIFIED INCOME-B	0.00	1.49	0.00	1.49	0.0	0.00
	ACCOUNT #: LSR011095	BUY 1 Units @0.0000						
07/31/2018	***-**-31IO - WILLIAMSON, FBO	PUTNAM DIVERSIFIED INCOME-B	0.00	6.26	0.00	6.26	0.0	0.00
	ACCOUNT #: LSR011172	BUY 1 Units @0.0000						
07/31/2018	***-**-680I - HARRELL, DARYL	PUTNAM DIVERSIFIED INCOME-B	0.00	0.68	0.00	0.68	0.0	0.00
	ACCOUNT #: LSR011321	BUY 1 Units @0.0000						
07/31/2018	***-**-960J - MASTRANGELO,	PUTNAM EQUITY INCOME FUND-B	0.00	2.30	0.00	2.30	0.0	0.00
	ACCOUNT #: LSR010966	BUY 1 Units @0.0000						
07/31/2018	***-**-664J - PFAFF, GEORGE	PUTNAM EQUITY INCOME FUND-B	0.00	2.49	0.00	2.49	0.0	0.00
	ACCOUNT #: LSR011184	BUY 1 Units @0.0000						
07/31/2018	***-**-169I - EVANS, PAUL	PUTNAM EQUITY SPECTRUM FD CL B	0.00	1.00	0.00	1.00	0.0	0.00
	ACCOUNT #: LSR011026	BUY 1 Units @0.0000						
07/31/2018	***-**-881J - EBERLEY, SUSAN	PUTNAM EQUITY SPECTRUM FD CL C	0.00	11.65	0.00	11.65	0.0	0.00
	ACCOUNT #: LSR010856	BUY 1 Units @0.0000						
07/31/2018	***-**-48IO - CLARK, PATRICK	PUTNAM EQUITY SPECTRUM FD CL C	0.00	24.84	0.00	24.84	0.0	0.00
	ACCOUNT #: LSR010911	BUY 1 Units @0.0000						
07/31/2018	***-**-031O - MCVOY, ROBERT	PUTNAM EQUITY SPECTRUM FD CL C	0.00	8.70	0.00	8.70	0.0	0.00
	ACCOUNT #: LSR010916	BUY 1 Units @0.0000						
07/31/2018	***-**-72IN - GAVALO, JULIE	PUTNAM EQUITY SPECTRUM FD CL C	0.00	16.39	0.00	16.39	0.0	0.00
	ACCOUNT #: LSR010921	BUY 1 Units @0.0000						
07/31/2018	***-**-959I - FRANZ, PAUL	PUTNAM EQUITY SPECTRUM FD CL C	0.00	10.11	0.00	10.11	0.0	0.00
	ACCOUNT #: LSR010959	BUY 1 Units @0.0000						
07/31/2018	***-**-065I - LAZIO, THOMAS	PUTNAM EQUITY SPECTRUM FD CL C	0.00	6.67	0.00	6.67	0.0	0.00
	ACCOUNT #: LSR010979	BUY 1 Units @0.0000						
07/31/2018	***-**-73TR - WESTCOTT IRRVOC	PUTNAM EQUITY SPECTRUM FD CL C	0.00	7.06	0.00	7.06	0.0	0.00
	ACCOUNT #: LSR011001	BUY 1 Units @0.0000						
07/31/2018	***-**-80IN - COBB, JAMES	PUTNAM EQUITY SPECTRUM FD CL C	0.00	8.20	0.00	8.20	0.0	0.00
	ACCOUNT #: LSR011042	BUY 1 Units @0.0000						
07/31/2018	***-**-44IO - MAYO, DEBORAH	PUTNAM EQUITY SPECTRUM FD CL C	0.00	8.36	0.00	8.36	0.0	0.00
	ACCOUNT #: LSR011079	BUY 1 Units @0.0000						
07/31/2018	***-**-09IO - BATES, FBO MRS	PUTNAM EQUITY SPECTRUM FD CL C	0.00	8.71	0.00	8.71	0.0	0.00
	ACCOUNT #: LSR011117	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>								
07/31/2018	***-**-89IN - LEE, ROGER	PUTNAM EQUITY SPECTRUM FD CL C	0.00	12.35	0.00	12.35	0.0	0.00
	ACCOUNT #: LSR011166	BUY 1 Units @0.0000						
07/31/2018	***-**-473J - HUSTON,	PUTNAM EQUITY SPECTRUM FD CL C	0.00	9.39	0.00	9.39	0.0	0.00
	ACCOUNT #: LSR011228	BUY 1 Units @0.0000						
07/31/2018	***-**-11IO - LYNN G.	PUTNAM EQUITY SPECTRUM FD CL C	0.00	10.63	0.00	10.63	0.0	0.00
	ACCOUNT #: LSR011239	BUY 1 Units @0.0000						
07/31/2018	***-**-80IO - EVANS, RICHARD	PUTNAM EQUITY SPECTRUM FD CL C	0.00	9.12	0.00	9.12	0.0	0.00
	ACCOUNT #: LSR011276	BUY 1 Units @0.0000						
07/31/2018	***-**-07IO - FAMOLARO, JAMES	PUTNAM EQUITY SPECTRUM FD CL C	0.00	5.65	0.00	5.65	0.0	0.00
	ACCOUNT #: LSR011280	BUY 1 Units @0.0000						
07/31/2018	***-**-094I - KATRENA L	PUTNAM EUROPE EQUITY CLASS C	0.00	3.25	0.00	3.25	0.0	0.00
	ACCOUNT #: LSR011188	BUY 1 Units @0.0000						
07/31/2018	***-**-094I - KATRENA L	PUTNAM EUROPE EQUITY FUND-A	0.00	0.28	0.00	0.28	0.0	0.00
	ACCOUNT #: LSR011188	BUY 1 Units @0.0000						
07/31/2018	***-**-808J - GORMAN, RANDY	PUTNAM GLOBAL CONSUMER FD A	0.00	0.30	0.00	0.30	0.0	0.00
	ACCOUNT #: LSR011087	BUY 1 Units @0.0000						
07/31/2018	***-**-949I - ACEE, JOSPEH	PUTNAM GLOBAL CONSUMER FUND CL B	0.00	2.02	0.00	2.02	0.0	0.00
	ACCOUNT #: LSR010908	BUY 1 Units @0.0000						
07/31/2018	***-**-31IO - HARTZ, CLAUDIA	PUTNAM GLOBAL CONSUMER FUND CL B	0.00	0.49	0.00	0.49	0.0	0.00
	ACCOUNT #: LSR010915	BUY 1 Units @0.0000						
07/31/2018	***-**-567I - FRANZ, ALICE	PUTNAM GLOBAL CONSUMER FUND CL B	0.00	3.36	0.00	3.36	0.0	0.00
	ACCOUNT #: LSR010960	BUY 1 Units @0.0000						
07/31/2018	***-**-366I - GRUENEWALD,	PUTNAM GLOBAL CONSUMER FUND CL B	0.00	0.80	0.00	0.80	0.0	0.00
	ACCOUNT #: LSR010989	BUY 1 Units @0.0000						
07/31/2018	***-**-51IO - CAIN, TIMOTHY	PUTNAM GLOBAL CONSUMER FUND CL B	0.00	1.37	0.00	1.37	0.0	0.00
	ACCOUNT #: LSR011007	BUY 1 Units @0.0000						
07/31/2018	***-**-761I - EVANS, DOLORES	PUTNAM GLOBAL CONSUMER FUND CL B	0.00	2.00	0.00	2.00	0.0	0.00
	ACCOUNT #: LSR011024	BUY 1 Units @0.0000						
07/31/2018	***-**-944O - MAYO, DEBORAH	PUTNAM GLOBAL CONSUMER FUND CL B	0.00	1.07	0.00	1.07	0.0	0.00
	ACCOUNT #: LSR011035	BUY 1 Units @0.0000						
07/31/2018	***-**-63TR - EVANS, AUDREY J	PUTNAM GLOBAL CONSUMER FUND CL B	0.00	1.55	0.00	1.55	0.0	0.00
	ACCOUNT #: LSR011036	BUY 1 Units @0.0000						



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## July 30, 2018

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BROKER #: A77  
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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b>								
07/31/2018	***-**-306X - COBB, CHERRYL	PUTNAM GLOBAL CONSUMER FUND CL B	0.00	1.25	0.00	1.25	0.0	0.00
	ACCOUNT #: LSR011037	BUY 1 Units @0.0000						
07/31/2018	***-**-579J - RHYMESTINE,	PUTNAM GLOBAL CONSUMER FUND CL B	0.00	1.22	0.00	1.22	0.0	0.00
	ACCOUNT #: LSR011081	BUY 1 Units @0.0000						
07/31/2018	***-**-326I - GRANDE, FBO MR	PUTNAM GLOBAL CONSUMER FUND CL B	0.00	1.33	0.00	1.33	0.0	0.00
	ACCOUNT #: LSR011091	BUY 1 Units @0.0000						
07/31/2018	***-**-506J - CURRIERE JR, MR	PUTNAM GLOBAL CONSUMER FUND CL B	0.00	1.50	0.00	1.50	0.0	0.00
	ACCOUNT #: LSR011121	BUY 1 Units @0.0000						
07/31/2018	***-**-367J - WAGNER, MRS LANT	PUTNAM GLOBAL CONSUMER FUND CL B	0.00	2.20	0.00	2.20	0.0	0.00
	ACCOUNT #: LSR011134	BUY 1 Units @0.0000						
07/31/2018	***-**-48IO - ANACKER, FBO MRS	PUTNAM GLOBAL CONSUMER FUND CL B	0.00	1.92	0.00	1.92	0.0	0.00
	ACCOUNT #: LSR011164	BUY 1 Units @0.0000						
07/31/2018	***-**-64IO - PFAFF, GEORGE	PUTNAM GLOBAL CONSUMER FUND CL B	0.00	1.23	0.00	1.23	0.0	0.00
	ACCOUNT #: LSR011185	BUY 1 Units @0.0000						
07/31/2018	***-**-62IR - ROBBIANO, FBO	PUTNAM GLOBAL CONSUMER FUND CL B	0.00	1.22	0.00	1.22	0.0	0.00
	ACCOUNT #: LSR011195	BUY 1 Units @0.0000						
07/31/2018	***-**-66IO - RUDD, MICHAEL	PUTNAM GLOBAL CONSUMER FUND CL B	0.00	0.06	0.00	0.06	0.0	0.00
	ACCOUNT #: LSR011268	BUY 1 Units @0.0000						
07/31/2018	***-**-653I - KOCHER, CLINTON	PUTNAM GLOBAL CONSUMER FUND CL B	0.00	2.69	0.00	2.69	0.0	0.00
	ACCOUNT #: LSR011300	BUY 1 Units @0.0000						
07/31/2018	***-**-680I - HARRELL, DARYL	PUTNAM GLOBAL CONSUMER FUND CL B	0.00	1.62	0.00	1.62	0.0	0.00
	ACCOUNT #: LSR011321	BUY 1 Units @0.0000						
07/31/2018	***-**-21IO - RADELL, SANDRA	PUTNAM GLOBAL CONSUMER FUND CL B	0.00	1.26	0.00	1.26	0.0	0.00
	ACCOUNT #: LSR011392	BUY 1 Units @0.0000						
07/31/2018	***-**-12IR - GRUENEWALD,	PUTNAM GLOBAL CONSUMER FUND CL B	0.00	0.65	0.00	0.65	0.0	0.00
	ACCOUNT #: LSR011614	BUY 1 Units @0.0000						
07/31/2018	***-**-03IO - MASTRANGELO,	PUTNAM GLOBAL CONSUMER FUND CL B	0.00	2.00	0.00	2.00	0.0	0.00
	ACCOUNT #: LSR011679	BUY 1 Units @0.0000						
07/31/2018	***-**-45IN - WILLIAMSON,	PUTNAM GLOBAL CONSUMER FUND CL B	0.00	0.81	0.00	0.81	0.0	0.00
	ACCOUNT #: LSR011751	BUY 1 Units @0.0000						
07/31/2018	***-**-065I - LAZIO, THOMAS	PUTNAM GLOBAL CONSUMER FUND CL C	0.00	5.14	0.00	5.14	0.0	0.00
	ACCOUNT #: LSR010979	BUY 1 Units @0.0000						



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<b>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b>								
07/31/2018	***-**-44IO - MAYO, DEBORAH	PUTNAM GLOBAL CONSUMER FUND CL C	0.00	12.36	0.00	12.36	0.0	0.00
	ACCOUNT #: LSR011079	BUY 1 Units @0.0000						
07/31/2018	***-**-89IN - LEE, ROGER	PUTNAM GLOBAL CONSUMER FUND CL C	0.00	7.60	0.00	7.60	0.0	0.00
	ACCOUNT #: LSR011166	BUY 1 Units @0.0000						
07/31/2018	***-**-11IO - LYNN G.	PUTNAM GLOBAL CONSUMER FUND CL C	0.00	10.36	0.00	10.36	0.0	0.00
	ACCOUNT #: LSR011239	BUY 1 Units @0.0000						
07/31/2018	***-**-37IO - MCCLUSKY, MARK	PUTNAM GLOBAL CONSUMER FUND CL C	0.00	7.35	0.00	7.35	0.0	0.00
	ACCOUNT #: LSR011579	BUY 1 Units @0.0000						
07/31/2018	***-**-51IO - SCALISE, MARY	PUTNAM GLOBAL CONSUMER FUND CL C	0.00	4.61	0.00	4.61	0.0	0.00
	ACCOUNT #: LSR011837	BUY 1 Units @0.0000						
07/31/2018	***-**-702I - KOCHER, MICHAEL	PUTNAM GLOBAL HEALTH CARE FD-A	0.00	1.41	0.00	1.41	0.0	0.00
	ACCOUNT #: LSR010954	BUY 1 Units @0.0000						
07/31/2018	***-**-22IO - CLINTON, STEPHEN	PUTNAM GLOBAL HEALTH CARE FD-A	0.00	0.98	0.00	0.98	0.0	0.00
	ACCOUNT #: LSR011684	BUY 1 Units @0.0000						
07/31/2018	***-**-579I - RHYMESTINE,	PUTNAM GLOBAL NAT RESOURCES-A	0.00	1.19	0.00	1.19	0.0	0.00
	ACCOUNT #: LSR011082	BUY 1 Units @0.0000						
07/31/2018	***-**-680I - HARRELL, DARYL	PUTNAM GLOBAL NAT RESOURCES-A	0.00	0.12	0.00	0.12	0.0	0.00
	ACCOUNT #: LSR011321	BUY 1 Units @0.0000						
07/31/2018	***-**-31IO - HARTZ, CLAUDIA	PUTNAM GLOBAL NAT RESOURCES-B	0.00	0.91	0.00	0.91	0.0	0.00
	ACCOUNT #: LSR010915	BUY 1 Units @0.0000						
07/31/2018	***-**-567I - FRANZ, ALICE	PUTNAM GLOBAL NAT RESOURCES-B	0.00	0.71	0.00	0.71	0.0	0.00
	ACCOUNT #: LSR010960	BUY 1 Units @0.0000						
07/31/2018	***-**-664J - PFAFF, GEORGE	PUTNAM GLOBAL NAT RESOURCES-B	0.00	0.63	0.00	0.63	0.0	0.00
	ACCOUNT #: LSR011184	BUY 1 Units @0.0000						
07/31/2018	***-**-63TR - EVANS, AUDREY J	PUTNAM GLOBAL SECTOR FUND CL A	0.00	2.68	0.00	2.68	0.0	0.00
	ACCOUNT #: LSR011036	BUY 1 Units @0.0000						
07/31/2018	***-**-567I - FRANZ, ALICE	PUTNAM GLOBAL TECHNOLOGY CL B	0.00	2.35	0.00	2.35	0.0	0.00
	ACCOUNT #: LSR010960	BUY 1 Units @0.0000						
07/31/2018	***-**-944O - MAYO, DEBORAH	PUTNAM GLOBAL TECHNOLOGY CL B	0.00	1.03	0.00	1.03	0.0	0.00
	ACCOUNT #: LSR011035	BUY 1 Units @0.0000						
07/31/2018	***-**-63TR - EVANS, AUDREY J	PUTNAM GLOBAL TELECOMMUNICATIONS B	0.00	2.32	0.00	2.32	0.0	0.00
	ACCOUNT #: LSR011036	BUY 1 Units @0.0000						



# COMMISSION STATEMENT

## July 30, 2018

KURT GRUENEWALD  
2108 Genesee St.  
Utica, NY 13502

BROKER #: A77  
BRANCH #01047 - 47 - GRIFFITH

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b>								
07/31/2018	***-**-62IR - ROBBIANO, FBO	PUTNAM GLOBAL TELECOMMUNICATIONS B	0.00	0.57	0.00	0.57	0.0	0.00
	ACCOUNT #: LSR011195	BUY 1 Units @0.0000						
07/31/2018	***-**-382I - SATTERLY, NEIL	PUTNAM GLOBAL UTILITIES CL C	0.00	5.23	0.00	5.23	0.0	0.00
	ACCOUNT #: LSR010867	BUY 1 Units @0.0000						
07/31/2018	***-**-382I - SATTERLY, NEIL	PUTNAM GROWTH OPPORTUNITIES FD CL A	0.00	0.12	0.00	0.12	0.0	0.00
	ACCOUNT #: LSR010867	BUY 1 Units @0.0000						
07/31/2018	***-**-881I - EBERLEY, SUSAN	PUTNAM GROWTH OPPORTUNITIES FUND CL	0.00	9.62	0.00	9.62	0.0	0.00
	ACCOUNT #: LSR010858	BUY 1 Units @0.0000						
07/31/2018	***-**-382I - SATTERLY, NEIL	PUTNAM GROWTH OPPORTUNITIES FUND CL	0.00	9.70	0.00	9.70	0.0	0.00
	ACCOUNT #: LSR010867	BUY 1 Units @0.0000						
07/31/2018	***-**-420T - DEMETRI, AMELIA	PUTNAM GROWTH OPPORTUNITIES FUND CL	0.00	4.00	0.00	4.00	0.0	0.00
	ACCOUNT #: LSR010994	BUY 1 Units @0.0000						
07/31/2018	***-**-169I - EVANS, PAUL	PUTNAM GROWTH OPPORTUNITIES FUND CL	0.00	6.82	0.00	6.82	0.0	0.00
	ACCOUNT #: LSR011026	BUY 1 Units @0.0000						
07/31/2018	***-**-80IN - COBB, JAMES	PUTNAM GROWTH OPPORTUNITIES FUND CL	0.00	8.70	0.00	8.70	0.0	0.00
	ACCOUNT #: LSR011042	BUY 1 Units @0.0000						
07/31/2018	***-**-14IO - BUSHEY, MATTHEW	PUTNAM GROWTH OPPORTUNITIES FUND CL	0.00	9.42	0.00	9.42	0.0	0.00
	ACCOUNT #: LSR011498	BUY 1 Units @0.0000						
07/31/2018	***-**-51IO - CAIN, TIMOTHY	PUTNAM GROWTH OPPORTUNITIES FUND CL	0.00	2.55	0.00	2.55	0.0	0.00
	ACCOUNT #: LSR011007	BUY 1 Units @0.0000						
07/31/2018	***-**-653I - KOCHER, CLINTON	PUTNAM GROWTH OPPORTUNITIES FUND CL	0.00	3.05	0.00	3.05	0.0	0.00
	ACCOUNT #: LSR011300	BUY 1 Units @0.0000						
07/31/2018	***-**-13IO - ROTH, KAREN	PUTNAM GROWTH OPPORTUNITIES FUND CL	0.00	1.59	0.00	1.59	0.0	0.00
	ACCOUNT #: LSR011484	BUY 1 Units @0.0000						
07/31/2018	***-**-31IO - HARTZ, CLAUDIA	PUTNAM HEALTH SCIENCES TR-B	0.00	0.89	0.00	0.89	0.0	0.00
	ACCOUNT #: LSR010915	BUY 1 Units @0.0000						
07/31/2018	***-**-930I - SANGER, KEVIN	PUTNAM HEALTH SCIENCES TR-B	0.00	0.69	0.00	0.69	0.0	0.00
	ACCOUNT #: LSR010941	BUY 1 Units @0.0000						
07/31/2018	***-**-567I - FRANZ, ALICE	PUTNAM HEALTH SCIENCES TR-B	0.00	2.49	0.00	2.49	0.0	0.00
	ACCOUNT #: LSR010960	BUY 1 Units @0.0000						
07/31/2018	***-**-960J - MASTRANGELO,	PUTNAM HEALTH SCIENCES TR-B	0.00	1.27	0.00	1.27	0.0	0.00
	ACCOUNT #: LSR010966	BUY 1 Units @0.0000						





# COMMISSION STATEMENT

## July 30, 2018

KURT GRUENEWALD  
2108 Genesee St.  
Utica, NY 13502

BROKER #: A77  
BRANCH #01047 - 47 - GRIFFITH

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b>								
07/31/2018	***-**-761I - EVANS, DOLORES	PUTNAM HEALTH SCIENCES TR-B	0.00	2.06	0.00	2.06	0.0	0.00
	ACCOUNT #: LSR011024	BUY 1 Units @0.0000						
07/31/2018	***-**-944O - MAYO, DEBORAH	PUTNAM HEALTH SCIENCES TR-B	0.00	1.71	0.00	1.71	0.0	0.00
	ACCOUNT #: LSR011035	BUY 1 Units @0.0000						
07/31/2018	***-**-579I - RHYMESTINE,	PUTNAM HEALTH SCIENCES TR-B	0.00	2.24	0.00	2.24	0.0	0.00
	ACCOUNT #: LSR011082	BUY 1 Units @0.0000						
07/31/2018	***-**-326I - GRANDE, FBO MR	PUTNAM HEALTH SCIENCES TR-B	0.00	1.36	0.00	1.36	0.0	0.00
	ACCOUNT #: LSR011091	BUY 1 Units @0.0000						
07/31/2018	***-**-48IO - ANACKER, FBO MRS	PUTNAM HEALTH SCIENCES TR-B	0.00	2.13	0.00	2.13	0.0	0.00
	ACCOUNT #: LSR011164	BUY 1 Units @0.0000						
07/31/2018	***-**-664J - PFAFF, GEORGE	PUTNAM HEALTH SCIENCES TR-B	0.00	2.10	0.00	2.10	0.0	0.00
	ACCOUNT #: LSR011184	BUY 1 Units @0.0000						
07/31/2018	***-**-64IO - PFAFF, GEORGE	PUTNAM HEALTH SCIENCES TR-B	0.00	0.83	0.00	0.83	0.0	0.00
	ACCOUNT #: LSR011185	BUY 1 Units @0.0000						
07/31/2018	***-**-62IR - ROBBIANO, FBO	PUTNAM HEALTH SCIENCES TR-B	0.00	0.91	0.00	0.91	0.0	0.00
	ACCOUNT #: LSR011195	BUY 1 Units @0.0000						
07/31/2018	***-**-52IO - EUSEPI, SUSAN	PUTNAM HEALTH SCIENCES TR-B	0.00	1.09	0.00	1.09	0.0	0.00
	ACCOUNT #: LSR011219	BUY 1 Units @0.0000						
07/31/2018	***-**-480J - EVANS, RICHARD	PUTNAM HEALTH SCIENCES TR-B	0.00	1.05	0.00	1.05	0.0	0.00
	ACCOUNT #: LSR011274	BUY 1 Units @0.0000						
07/31/2018	***-**-653I - KOCHER, CLINTON	PUTNAM HEALTH SCIENCES TR-B	0.00	3.06	0.00	3.06	0.0	0.00
	ACCOUNT #: LSR011300	BUY 1 Units @0.0000						
07/31/2018	***-**-21IO - RADELL, SANDRA	PUTNAM HEALTH SCIENCES TR-B	0.00	1.78	0.00	1.78	0.0	0.00
	ACCOUNT #: LSR011392	BUY 1 Units @0.0000						
07/31/2018	***-**-197I - GAMBINO, ANDREW	PUTNAM HEALTH SCIENCES TR-B	0.00	0.20	0.00	0.20	0.0	0.00
	ACCOUNT #: LSR011465	BUY 1 Units @0.0000						
07/31/2018	***-**-53IN - EVANS, ANDREW	PUTNAM HEALTH SCIENCES TR-B	0.00	0.51	0.00	0.51	0.0	0.00
	ACCOUNT #: LSR011483	BUY 1 Units @0.0000						
07/31/2018	***-**-13IO - ROTH, KAREN	PUTNAM HEALTH SCIENCES TR-B	0.00	1.44	0.00	1.44	0.0	0.00
	ACCOUNT #: LSR011484	BUY 1 Units @0.0000						
07/31/2018	***-**-38IO - BROWN, TYLER	PUTNAM HEALTH SCIENCES TR-B	0.00	0.80	0.00	0.80	0.0	0.00
	ACCOUNT #: LSR011602	BUY 1 Units @0.0000						



# COMMISSION STATEMENT

## July 30, 2018

KURT GRUENEWALD  
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BROKER #: A77  
BRANCH #01047 - 47 - GRIFFITH

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b>								
07/31/2018	***-**-12IR - GRUENEWALD, ACCOUNT #: LSR011614	PUTNAM HEALTH SCIENCES TR-B BUY 1 Units @0.0000	0.00	0.69	0.00	0.69	0.0	0.00
07/31/2018	***-**-03IO - MASTRANGELO, ACCOUNT #: LSR011679	PUTNAM HEALTH SCIENCES TR-B BUY 1 Units @0.0000	0.00	1.23	0.00	1.23	0.0	0.00
07/31/2018	***-**-45IN - WILLIAMSON, ACCOUNT #: LSR011751	PUTNAM HEALTH SCIENCES TR-B BUY 1 Units @0.0000	0.00	0.69	0.00	0.69	0.0	0.00
07/31/2018	***-**-22IO - CLINTON, STEPHEN ACCOUNT #: LSR011684	PUTNAM INTL GROWTH & INC-A BUY 1 Units @0.0000	0.00	1.08	0.00	1.08	0.0	0.00
07/31/2018	***-**-382K - SATTERLY, NEIL ACCOUNT #: LSR010875	PUTNAM INVESTMENTS MULTI-CAP CORE C BUY 1 Units @0.0000	0.00	1.32	0.00	1.32	0.0	0.00
07/31/2018	***-**-653J - KOCHEM, CLINTON ACCOUNT #: LSR011298	PUTNAM INVESTMENTS MULTI-CAP CORE C BUY 1 Units @0.0000	0.00	1.32	0.00	1.32	0.0	0.00
07/31/2018	***-**-382K - SATTERLY, NEIL ACCOUNT #: LSR010875	PUTNAM INVESTORS CLASS C BUY 1 Units @0.0000	0.00	3.14	0.00	3.14	0.0	0.00
07/31/2018	***-**-653J - KOCHEM, CLINTON ACCOUNT #: LSR011298	PUTNAM INVESTORS CLASS C BUY 1 Units @0.0000	0.00	3.13	0.00	3.13	0.0	0.00
07/31/2018	***-**-22IO - CLINTON, STEPHEN ACCOUNT #: LSR011684	PUTNAM SMALL CAP VALUE FUND-A BUY 1 Units @0.0000	0.00	1.41	0.00	1.41	0.0	0.00
07/31/2018	***-**-22IO - CLINTON, STEPHEN ACCOUNT #: LSR011684	PUTNAM U.S. GOVT INCOME TR-A BUY 1 Units @0.0000	0.00	0.62	0.00	0.62	0.0	0.00
07/31/2018	***-**-63TR - EVANS, AUDREY J ACCOUNT #: LSR011036	PUTNAM U.S. GOVT INCOME TR-B BUY 1 Units @0.0000	0.00	0.89	0.00	0.89	0.0	0.00
07/31/2018	***-**-254I - AUGUSTINE, LINDA ACCOUNT #: LSR010846	PUTNAM UTILITIES GR & INC-B BUY 1 Units @0.0000	0.00	0.93	0.00	0.93	0.0	0.00
07/31/2018	***-**-881J - EBERLEY, SUSAN ACCOUNT #: LSR010856	PUTNAM UTILITIES GR & INC-B BUY 1 Units @0.0000	0.00	1.31	0.00	1.31	0.0	0.00
07/31/2018	***-**-949I - ACEE, JOSPEH ACCOUNT #: LSR010908	PUTNAM UTILITIES GR & INC-B BUY 1 Units @0.0000	0.00	0.68	0.00	0.68	0.0	0.00
07/31/2018	***-**-31IO - HARTZ, CLAUDIA ACCOUNT #: LSR010915	PUTNAM UTILITIES GR & INC-B BUY 1 Units @0.0000	0.00	0.50	0.00	0.50	0.0	0.00
07/31/2018	***-**-930I - SANGER, KEVIN ACCOUNT #: LSR010941	PUTNAM UTILITIES GR & INC-B BUY 1 Units @0.0000	0.00	0.22	0.00	0.22	0.0	0.00



# COMMISSION STATEMENT

## July 30, 2018

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BROKER #: A77  
BRANCH #01047 - 47 - GRIFFITH

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b>								
07/31/2018	***-**-15IN - PENDRAK, JOHN	PUTNAM UTILITIES GR & INC-B	0.00	2.08	0.00	2.08	0.0	0.00
	ACCOUNT #: LSR010948	BUY 1 Units @0.0000						
07/31/2018	***-**-959I - FRANZ, PAUL	PUTNAM UTILITIES GR & INC-B	0.00	0.39	0.00	0.39	0.0	0.00
	ACCOUNT #: LSR010959	BUY 1 Units @0.0000						
07/31/2018	***-**-960J - MASTRANGELO,	PUTNAM UTILITIES GR & INC-B	0.00	2.03	0.00	2.03	0.0	0.00
	ACCOUNT #: LSR010966	BUY 1 Units @0.0000						
07/31/2018	***-**-51IO - CAIN, TIMOTHY	PUTNAM UTILITIES GR & INC-B	0.00	1.13	0.00	1.13	0.0	0.00
	ACCOUNT #: LSR011007	BUY 1 Units @0.0000						
07/31/2018	***-**-761I - EVANS, DOLORES	PUTNAM UTILITIES GR & INC-B	0.00	1.30	0.00	1.30	0.0	0.00
	ACCOUNT #: LSR011024	BUY 1 Units @0.0000						
07/31/2018	***-**-31IO - WILLIAMSON, FBO	PUTNAM UTILITIES GR & INC-B	0.00	1.75	0.00	1.75	0.0	0.00
	ACCOUNT #: LSR011172	BUY 1 Units @0.0000						
07/31/2018	***-**-714O - LINES, JUDITH	QUEST BALANCED FUND C	0.00	1.67	0.00	1.67	0.0	0.00
	ACCOUNT #: LSR011763	BUY 1 Units @0.0000						
07/31/2018	***-**-680I - HARRELL, DARYL	QUEST INTERNATIONAL VALUE FUND, INC	0.00	0.66	0.00	0.66	0.0	0.00
	ACCOUNT #: LSR011321	BUY 1 Units @0.0000						
07/31/2018	***-**-15IN - PENDRAK, JOHN	QUEST OPPORTUNITY VALUE A	0.00	0.67	0.00	0.67	0.0	0.00
	ACCOUNT #: LSR010948	BUY 1 Units @0.0000						
07/31/2018	***-**-254I - AUGUSTINE, LINDA	REAL ESTATE FUND A	0.00	0.87	0.00	0.87	0.0	0.00
	ACCOUNT #: LSR010846	BUY 1 Units @0.0000						
07/31/2018	***-**-881J - EBERLEY, SUSAN	REAL ESTATE FUND A	0.00	1.03	0.00	1.03	0.0	0.00
	ACCOUNT #: LSR010856	BUY 1 Units @0.0000						
07/31/2018	***-**-949I - ACEE, JOSPEH	REAL ESTATE FUND A	0.00	1.27	0.00	1.27	0.0	0.00
	ACCOUNT #: LSR010908	BUY 1 Units @0.0000						
07/31/2018	***-**-15IN - PENDRAK, JOHN	REAL ESTATE FUND A	0.00	0.81	0.00	0.81	0.0	0.00
	ACCOUNT #: LSR010948	BUY 1 Units @0.0000						
07/31/2018	***-**-702I - KOCHER, MICHAEL	REAL ESTATE FUND A	0.00	0.95	0.00	0.95	0.0	0.00
	ACCOUNT #: LSR010954	BUY 1 Units @0.0000						
07/31/2018	***-**-567I - FRANZ, ALICE	REAL ESTATE FUND A	0.00	1.99	0.00	1.99	0.0	0.00
	ACCOUNT #: LSR010960	BUY 1 Units @0.0000						
07/31/2018	***-**-51IO - CAIN, TIMOTHY	REAL ESTATE FUND A	0.00	1.12	0.00	1.12	0.0	0.00
	ACCOUNT #: LSR011007	BUY 1 Units @0.0000						



# COMMISSION STATEMENT

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b>								
07/31/2018	***-**-761I - EVANS, DOLORES	REAL ESTATE FUND A	0.00	2.79	0.00	2.79	0.0	0.00
	ACCOUNT #: LSR011024	BUY 1 Units @0.0000						
07/31/2018	***-**-944O - MAYO, DEBORAH	REAL ESTATE FUND A	0.00	0.59	0.00	0.59	0.0	0.00
	ACCOUNT #: LSR011035	BUY 1 Units @0.0000						
07/31/2018	***-**-111J - NESSIA, JAMES	REAL ESTATE FUND A	0.00	0.97	0.00	0.97	0.0	0.00
	ACCOUNT #: LSR011054	BUY 1 Units @0.0000						
07/31/2018	***-**-326I - GRANDE, FBO MR	REAL ESTATE FUND A	0.00	1.06	0.00	1.06	0.0	0.00
	ACCOUNT #: LSR011091	BUY 1 Units @0.0000						
07/31/2018	***-**-861I - SANGER, LAWRENCE	REAL ESTATE FUND A	0.00	1.35	0.00	1.35	0.0	0.00
	ACCOUNT #: LSR011095	BUY 1 Units @0.0000						
07/31/2018	***-**-506J - CURRIERE JR, MR	REAL ESTATE FUND A	0.00	0.49	0.00	0.49	0.0	0.00
	ACCOUNT #: LSR011121	BUY 1 Units @0.0000						
07/31/2018	***-**-367J - WAGNER, MRS LANT	REAL ESTATE FUND A	0.00	1.23	0.00	1.23	0.0	0.00
	ACCOUNT #: LSR011134	BUY 1 Units @0.0000						
07/31/2018	***-**-48IO - ANACKER, FBO MRS	REAL ESTATE FUND A	0.00	1.46	0.00	1.46	0.0	0.00
	ACCOUNT #: LSR011164	BUY 1 Units @0.0000						
07/31/2018	***-**-31IO - WILLIAMSON, FBO	REAL ESTATE FUND A	0.00	1.57	0.00	1.57	0.0	0.00
	ACCOUNT #: LSR011172	BUY 1 Units @0.0000						
07/31/2018	***-**-664J - PFAFF, GEORGE	REAL ESTATE FUND A	0.00	1.39	0.00	1.39	0.0	0.00
	ACCOUNT #: LSR011184	BUY 1 Units @0.0000						
07/31/2018	***-**-64IO - PFAFF, GEORGE	REAL ESTATE FUND A	0.00	1.49	0.00	1.49	0.0	0.00
	ACCOUNT #: LSR011185	BUY 1 Units @0.0000						
07/31/2018	***-**-62IR - ROBBIANO, FBO	REAL ESTATE FUND A	0.00	0.43	0.00	0.43	0.0	0.00
	ACCOUNT #: LSR011195	BUY 1 Units @0.0000						
07/31/2018	***-**-653I - KOCHER, CLINTON	REAL ESTATE FUND A	0.00	1.41	0.00	1.41	0.0	0.00
	ACCOUNT #: LSR011300	BUY 1 Units @0.0000						
07/31/2018	***-**-62IN - EATON, DAVID	REAL ESTATE FUND A	0.00	0.59	0.00	0.59	0.0	0.00
	ACCOUNT #: LSR011315	BUY 1 Units @0.0000						
07/31/2018	***-**-382I - SATTERLY, NEIL	REAL ESTATE FUND C	0.00	9.84	0.00	9.84	0.0	0.00
	ACCOUNT #: LSR010867	BUY 1 Units @0.0000						
07/31/2018	***-**-48IO - CLARK, PATRICK	REAL ESTATE FUND C	0.00	7.32	0.00	7.32	0.0	0.00
	ACCOUNT #: LSR010911	BUY 1 Units @0.0000						



# COMMISSION STATEMENT

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b>								
07/31/2018	***-**-72IN - GAVALO, JULIE	REAL ESTATE FUND C	0.00	7.92	0.00	7.92	0.0	0.00
	ACCOUNT #: LSR010921	BUY 1 Units @0.0000						
07/31/2018	***-**-065I - LAZIO, THOMAS	REAL ESTATE FUND C	0.00	5.86	0.00	5.86	0.0	0.00
	ACCOUNT #: LSR010979	BUY 1 Units @0.0000						
07/31/2018	***-**-73TR - WESTCOTT IRRVOC	REAL ESTATE FUND C	0.00	7.75	0.00	7.75	0.0	0.00
	ACCOUNT #: LSR011001	BUY 1 Units @0.0000						
07/31/2018	***-**-73TR - WESTCOTT IRRVOC	REAL ESTATE FUND C	0.00	2.09	0.00	2.09	0.0	0.00
	ACCOUNT #: LSR011008	BUY 1 Units @0.0000						
07/31/2018	***-**-00IO - LEE, GARY	REAL ESTATE FUND C	0.00	9.46	0.00	9.46	0.0	0.00
	ACCOUNT #: LSR011059	BUY 1 Units @0.0000						
07/31/2018	***-**-52IO - EUSEPI, SUSAN	REAL ESTATE FUND C	0.00	4.50	0.00	4.50	0.0	0.00
	ACCOUNT #: LSR011219	BUY 1 Units @0.0000						
07/31/2018	***-**-11IO - LYNN G.	REAL ESTATE FUND C	0.00	12.30	0.00	12.30	0.0	0.00
	ACCOUNT #: LSR011239	BUY 1 Units @0.0000						
07/31/2018	***-**-80IO - EVANS, RICHARD	REAL ESTATE FUND C	0.00	3.89	0.00	3.89	0.0	0.00
	ACCOUNT #: LSR011276	BUY 1 Units @0.0000						
07/31/2018	***-**-45IO - JOHNSON, GREGORY	REAL ESTATE FUND C	0.00	6.66	0.00	6.66	0.0	0.00
	ACCOUNT #: LSR011421	BUY 1 Units @0.0000						
07/31/2018	***-**-714O - LINES, JUDITH	REAL ESTATE FUND C	0.00	2.28	0.00	2.28	0.0	0.00
	ACCOUNT #: LSR011763	BUY 1 Units @0.0000						
07/31/2018	***-**-287J - HINCKLEY,	RISING DIVIDENDS FUND A	0.00	0.56	0.00	0.56	0.0	0.00
	ACCOUNT #: LSR010841	BUY 1 Units @0.0000						
07/31/2018	***-**-254I - AUGUSTINE, LINDA	RISING DIVIDENDS FUND A	0.00	1.35	0.00	1.35	0.0	0.00
	ACCOUNT #: LSR010846	BUY 1 Units @0.0000						
07/31/2018	***-**-881I - EBERLEY, SUSAN	RISING DIVIDENDS FUND A	0.00	0.91	0.00	0.91	0.0	0.00
	ACCOUNT #: LSR010858	BUY 1 Units @0.0000						
07/31/2018	***-**-702I - KOCHER, MICHAEL	RISING DIVIDENDS FUND A	0.00	2.34	0.00	2.34	0.0	0.00
	ACCOUNT #: LSR010954	BUY 1 Units @0.0000						
07/31/2018	***-**-959I - FRANZ, PAUL	RISING DIVIDENDS FUND A	0.00	1.11	0.00	1.11	0.0	0.00
	ACCOUNT #: LSR010959	BUY 1 Units @0.0000						
07/31/2018	***-**-366I - GRUENEWALD,	RISING DIVIDENDS FUND A	0.00	1.33	0.00	1.33	0.0	0.00
	ACCOUNT #: LSR010989	BUY 1 Units @0.0000						



# COMMISSION STATEMENT

## July 30, 2018

KURT GRUENEWALD  
2108 Genesee St.  
Utica, NY 13502

BROKER #: A77  
BRANCH #01047 - 47 - GRIFFITH

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b>								
07/31/2018	***-**-761I - EVANS, DOLORES	RISING DIVIDENDS FUND A	0.00	8.07	0.00	8.07	0.0	0.00
	ACCOUNT #: LSR011024	BUY 1 Units @0.0000						
07/31/2018	***-**-944O - MAYO, DEBORAH	RISING DIVIDENDS FUND A	0.00	1.13	0.00	1.13	0.0	0.00
	ACCOUNT #: LSR011035	BUY 1 Units @0.0000						
07/31/2018	***-**-580X - COBB, JAMES	RISING DIVIDENDS FUND A	0.00	2.11	0.00	2.11	0.0	0.00
	ACCOUNT #: LSR011040	BUY 1 Units @0.0000						
07/31/2018	***-**-96IN - NESSIA, BONNIE	RISING DIVIDENDS FUND A	0.00	2.36	0.00	2.36	0.0	0.00
	ACCOUNT #: LSR011055	BUY 1 Units @0.0000						
07/31/2018	***-**-579I - RHYMESTINE,	RISING DIVIDENDS FUND A	0.00	2.65	0.00	2.65	0.0	0.00
	ACCOUNT #: LSR011082	BUY 1 Units @0.0000						
07/31/2018	***-**-326I - GRANDE, FBO MR	RISING DIVIDENDS FUND A	0.00	1.97	0.00	1.97	0.0	0.00
	ACCOUNT #: LSR011091	BUY 1 Units @0.0000						
07/31/2018	***-**-861I - SANGER, LAWRENCE	RISING DIVIDENDS FUND A	0.00	1.75	0.00	1.75	0.0	0.00
	ACCOUNT #: LSR011095	BUY 1 Units @0.0000						
07/31/2018	***-**-13IN - RHYMESTINE,	RISING DIVIDENDS FUND A	0.00	1.14	0.00	1.14	0.0	0.00
	ACCOUNT #: LSR011106	BUY 1 Units @0.0000						
07/31/2018	***-**-664J - PFAFF, GEORGE	RISING DIVIDENDS FUND A	0.00	0.81	0.00	0.81	0.0	0.00
	ACCOUNT #: LSR011184	BUY 1 Units @0.0000						
07/31/2018	***-**-02IN - BUSHEY, MELISSA	RISING DIVIDENDS FUND A	0.00	0.92	0.00	0.92	0.0	0.00
	ACCOUNT #: LSR011257	BUY 1 Units @0.0000						
07/31/2018	***-**-62IN - EATON, DAVID	RISING DIVIDENDS FUND A	0.00	1.25	0.00	1.25	0.0	0.00
	ACCOUNT #: LSR011315	BUY 1 Units @0.0000						
07/31/2018	***-**-680I - HARRELL, DARYL	RISING DIVIDENDS FUND A	0.00	1.08	0.00	1.08	0.0	0.00
	ACCOUNT #: LSR011321	BUY 1 Units @0.0000						
07/31/2018	***-**-96IN - NESSIA, BONNIE	ROCH. LIMITED TERM NEW YORK MUNICI	0.00	1.26	0.00	1.26	0.0	0.00
	ACCOUNT #: LSR011055	BUY 1 Units @0.0000						
07/31/2018	***-**-13IN - RHYMESTINE,	ROCH. LIMITED TERM NEW YORK MUNICI	0.00	0.95	0.00	0.95	0.0	0.00
	ACCOUNT #: LSR011106	BUY 1 Units @0.0000						
07/31/2018	***-**-02IN - BUSHEY, MELISSA	ROCH. LIMITED TERM NEW YORK MUNICI	0.00	0.37	0.00	0.37	0.0	0.00
	ACCOUNT #: LSR011257	BUY 1 Units @0.0000						
07/31/2018	***-**-714O - LINES, JUDITH	ROCH. LIMITED TERM NEW YORK MUNICI	0.00	2.03	0.00	2.03	0.0	0.00
	ACCOUNT #: LSR011763	BUY 1 Units @0.0000						



# COMMISSION STATEMENT

## July 30, 2018

KURT GRUENEWALD  
2108 Genesee St.  
Utica, NY 13502

BROKER #: A77  
BRANCH #01047 - 47 - GRIFFITH

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b>								
07/31/2018	***-**-80IN - COBB, JAMES	ROCHESTER NATIONAL MUNICIPALS A	0.00	2.65	0.00	2.65	0.0	0.00
	ACCOUNT #: LSR011042	BUY 1 Units @0.0000						
07/31/2018	***-**-7140 - LINES, JUDITH	SENIOR FLOATING RATE FUND C	0.00	3.36	0.00	3.36	0.0	0.00
	ACCOUNT #: LSR011763	BUY 1 Units @0.0000						
07/31/2018	***-**-065I - LAZIO, THOMAS	SMALL- & MID- CAP VALUE FUND C	0.00	4.63	0.00	4.63	0.0	0.00
	ACCOUNT #: LSR010979	BUY 1 Units @0.0000						
07/31/2018	***-**-28IN - BYWATER, KIM	SMALL- & MID- CAP VALUE FUND C	0.00	1.79	0.00	1.79	0.0	0.00
	ACCOUNT #: LSR011995	BUY 1 Units @0.0000						
07/31/2018	***-**-7140 - LINES, JUDITH	STRATEGIC INCOME FUND C	0.00	1.30	0.00	1.30	0.0	0.00
	ACCOUNT #: LSR011763	BUY 1 Units @0.0000						
07/31/2018	***-**-680I - HARRELL, DARYL	VOYA GLOBAL EQUITY DIVIDEND CLASS A	0.00	1.77	0.00	1.77	0.0	0.00
	ACCOUNT #: LSR011321	BUY 1 Units @0.0000						
07/31/2018	***-**-702I - KOHEM, MICHAEL	VOYA GLOBAL REAL ESTATE CLASS A	0.00	0.92	0.00	0.92	0.0	0.00
	ACCOUNT #: LSR010954	BUY 1 Units @0.0000						
07/31/2018	***-**-959I - FRANZ, PAUL	VOYA GLOBAL REAL ESTATE CLASS A	0.00	0.09	0.00	0.09	0.0	0.00
	ACCOUNT #: LSR010959	BUY 1 Units @0.0000						
07/31/2018	***-**-30TR - AND SANDRA	VOYA GLOBAL REAL ESTATE CLASS A	0.00	0.78	0.00	0.78	0.0	0.00
	ACCOUNT #: LSR011939	BUY 1 Units @0.0000						
07/31/2018	***-**-13IN - RHYMESTINE,	VOYA REAL ESTATE CLASS C	0.00	4.63	0.00	4.63	0.0	0.00
	ACCOUNT #: LSR011106	BUY 1 Units @0.0000						
<b>* MUTUAL FUND 12B1 TRAILS SUBTOTAL *</b>			<b>\$100.00</b>	<b>\$1,590.80</b>	<b>\$0.00</b>	<b>\$1,590.80</b>		<b>\$0.00</b>
<b>*** BROKER TRANSACTIONS TOTAL ***</b>			<b>\$147,103.35</b>	<b>\$2,410.67</b>	<b>\$379.00</b>	<b>\$2,031.67</b>		<b>\$-2.40</b>



**BROKER #: A77**  
BRANCH #01047 - 47 - GRIFFITH

DATE	CLIENT	INVESTMENT	AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<div>BROKER COMMISSION TOTALS</div>								
						Broker Transactions		\$-2.40
						Split Transactions		\$0.00
						Override Transactions		\$0.00
						Adjustments		\$0.00
						Payroll Draw		\$0.00
						Base Salary		\$0.00
						Prior Period Balance		\$-322.07
						FINRA Assessment		\$0.00
						SIPC Assessment		\$0.00
Please Retain for Your Records THERE WILL BE NO PAYMENT THIS PERIOD						Balance Forward		\$-324.47
						Year-to-date Earnings		\$0.00