



COMMISSION STATEMENT

July 30, 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
<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
07/23/2018	***-**-788I - ALBARRAN, CARLOS	FUNDAMENTAL INVESTORS-C	100.00	1.00	0.00	1.00	88.0	0.88
	ACCOUNT #: 00085186008	BUY 2 Units @63.9300						
		* MUTUAL FUNDS SUBTOTAL *	\$100.00	\$1.00	\$0.00	\$1.00		\$0.88
<u>PRODUCT CATEGORY: STOCKS</u>								
07/25/2018	***-**-94IN - PERRITANO, MR	ALPHABET INC CAP STK CL A	11,438.73	187.49	18.00	169.49	88.0	149.15
	ACCOUNT #: LSR011111	SELL 9 Units @1270.9700						
07/25/2018	***-**-94IN - PERRITANO, MR	APPLE INC UNSOLICITED ORDER	5,812.62	87.49	18.00	69.49	88.0	61.15
	ACCOUNT #: LSR011111	SELL 30 Units @193.7540						
07/25/2018	***-**-580I - GRIFFITH, DAVID	CORNING INC UNSOLICITED ORDER	1,643.75	9.99	9.49	0.50	88.0	0.44
	ACCOUNT #: LSF000295	SELL 50 Units @32.8750						
07/25/2018	***-**-753I - SABANOSH, ALAN	CORNING INC UNSOLICITED ORDER	3,291.00	59.99	17.00	42.99	88.0	37.83
	ACCOUNT #: LSR010909	SELL 100 Units @32.9100						
07/24/2018	***-**-924J - FISH, ROY	CREDIT SUISSE GROUP SPON ADR-REP 1	203.58	49.99	15.26	34.73	88.0	30.56
	ACCOUNT #: LSR010906	SELL 13 Units @15.6600						
07/25/2018	***-**-94IN - PERRITANO, MR	TESLA MOTORS INC COM USD0.001 UNSOL	914.95	49.99	15.06	34.93	88.0	30.74
	ACCOUNT #: LSR011111	SELL 3 Units @304.9840						
07/24/2018	***-**-924J - FISH, ROY	VALE S.A. SPONS ADR REPR 1 COM NPV	1,379.50	21.03	17.00	4.03	88.0	3.55
	ACCOUNT #: LSR010906	SELL 100 Units @13.7950						
07/24/2018	***-**-924J - FISH, ROY	VALE S.A. SPONS ADR REPR 1 COM NPV	4,359.22	66.46	6.32	60.14	88.0	52.92
	ACCOUNT #: LSR010906	SELL 316 Units @13.7950						
		* STOCKS SUBTOTAL *	\$29,043.35	\$532.43	\$116.13	\$416.30		\$366.34
<u>PRODUCT CATEGORY: 529 PLAN</u>								
07/16/2018	***-**-804I - RIEBEN, ANNE	NYA JPM 529 AGGR AGE-BASE C	25.00	0.25	0.00	0.25	88.0	0.22
	ACCOUNT #: 77923466801	BUY 0 Units @0.0000						
07/16/2018	***-**-804I - RIEBEN, ANNE	NYA JPM 529 AGGR AGE-BASE C	25.00	0.25	0.00	0.25	88.0	0.22
	ACCOUNT #: 77923466802	BUY 0 Units @0.0000						
07/16/2018	***-**-93JT - WADSWORTH,	NYA JPM 529 ALL FIXED INCOME PO A	100.00	4.05	0.00	4.05	88.0	3.56
	ACCOUNT #: 77296639001	BUY 0 Units @0.0000						
07/16/2018	***-**-0862 - REDMOND, EILEEN	NYA JPM 529 EQUITY INCOME PORTF C	12.50	0.13	0.00	0.13	88.0	0.11
	ACCOUNT #: 77172702504	BUY 0 Units @0.0000						



COMMISSION STATEMENT

July 30, 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
<u>BROKER TRANSACTIONS (continued)</u>								
<u>PRODUCT CATEGORY: 529 PLAN (continued)</u>								
07/16/2018	***-**-225P - DAMSKY, CYNTHIA	NYA JPM 529 EQUITY INCOME PORTF C BUY 0 Units @0.0000	50.00	0.50	0.00	0.50	88.0	0.44
07/20/2018	***-**-29IO - LORUSSO, VINCENT	NYA JPM 529 EQUITY INCOME PORTF C ACCOUNT #: 77089153301 BUY 0 Units @0.0000	50.00	0.50	0.00	0.50	88.0	0.44
07/20/2018	***-**-0862 - REDMOND, EILEEN	NYA JPM 529 EQUITY INCOME PORTF C ACCOUNT #: 77172702502 BUY 0 Units @0.0000	12.50	0.13	0.00	0.13	88.0	0.11
07/16/2018	***-**-0862 - REDMOND, EILEEN	NYA JPM 529 MOD GROWTH POR C ACCOUNT #: 77172702504 BUY 0 Units @0.0000	12.50	0.13	0.00	0.13	88.0	0.11
07/20/2018	***-**-0862 - REDMOND, EILEEN	NYA JPM 529 MOD GROWTH POR C ACCOUNT #: 77172702501 BUY 0 Units @0.0000	25.00	0.25	0.00	0.25	88.0	0.22
07/20/2018	***-**-0862 - REDMOND, EILEEN	NYA JPM 529 MOD GROWTH POR C ACCOUNT #: 77519113701 BUY 0 Units @0.0000	50.00	0.50	0.00	0.50	88.0	0.44
07/16/2018	***-**-0862 - REDMOND, EILEEN	NYA JPM 529 MOD PORT C ACCOUNT #: 77172702502 BUY 0 Units @0.0000	12.50	0.13	0.00	0.13	88.0	0.11
* 529 PLAN SUBTOTAL *			\$375.00	\$6.82	\$0.00	\$6.82		\$5.98
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
07/31/2018	***-**-656I - SMOLA, STANLEY	CAPITAL APPRECIATION C ACCOUNT #: LSR010868 BUY 1 Units @0.0000	0.00	10.30	0.00	10.30	88.0	9.06
07/31/2018	***-**-679I - MURSCH JR,	EQUITY INCOME FUND, INC. A ACCOUNT #: LSR010888 BUY 1 Units @0.0000	0.00	0.23	0.00	0.23	88.0	0.20
07/31/2018	***-**-077I - GAUTHIER, LOUIS	EQUITY INCOME FUND, INC. A ACCOUNT #: LSR010901 BUY 1 Units @0.0000	0.00	1.52	0.00	1.52	88.0	1.34
07/31/2018	***-**-474J - HAGAN JR,	EQUITY INCOME FUND, INC. A ACCOUNT #: LSR010993 BUY 1 Units @0.0000	0.00	0.85	0.00	0.85	88.0	0.75
07/31/2018	***-**-369I - DAVIS, BRUCE	EQUITY INCOME FUND, INC. A ACCOUNT #: LSR011029 BUY 1 Units @0.0000	0.00	1.94	0.00	1.94	88.0	1.71
07/31/2018	***-**-698J - FEISTHAMEL, MR	EQUITY INCOME FUND, INC. A ACCOUNT #: LSR011137 BUY 1 Units @0.0000	0.00	0.40	0.00	0.40	88.0	0.35
07/31/2018	***-**-718J - LOWE, GREGORY	EQUITY INCOME FUND, INC. A ACCOUNT #: LSR011914 BUY 1 Units @0.0000	0.00	1.17	0.00	1.17	88.0	1.03
07/31/2018	***-**-32IN - CROYLE, MICAH	FIDELITY CASH MM ACCOUNT #: LSR010894 BUY 1 Units @0.0000	0.00	0.00	0.00	0.00	88.0	0.00



COMMISSION STATEMENT

July 30, 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
BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
07/31/2018	***-**-580I - GRIFFITH, DAVID	FIDELITY GOVT MMKT CAPITAL RESERVES	0.00	0.00	0.00	0.00	88.0	0.00
	ACCOUNT #: LSF000292	BUY 1 Units @0.0000						
07/31/2018	***-**-0040 - GRIFFITH,	FIDELITY GOVT MMKT CAPITAL RESERVES	0.00	0.00	0.00	0.00	88.0	0.00
	ACCOUNT #: LSF000293	BUY 1 Units @0.0000						
07/31/2018	***-**-580I - GRIFFITH, DAVID	FIDELITY GOVT MMKT CAPITAL RESERVES	0.00	0.00	0.00	0.00	88.0	0.00
	ACCOUNT #: LSF000295	BUY 1 Units @0.0000						
07/31/2018	***-**-54IN - THIBAUT, MS	FIDELITY GOVT MMKT CAPITAL RESERVES	0.00	0.00	0.00	0.00	88.0	0.00
	ACCOUNT #: LSR011080	BUY 1 Units @0.0000						
07/31/2018	***-**-29IN - THIBAUT,	FIDELITY GOVT MMKT CAPITAL RESERVES	0.00	0.00	0.00	0.00	88.0	0.00
	ACCOUNT #: LSR011094	BUY 1 Units @0.0000						
07/31/2018	***-**-698J - BAILEY, MR	FIDELITY GOVT MMKT CAPITAL RESERVES	0.00	0.00	0.00	0.00	88.0	0.00
	ACCOUNT #: LSR011097	BUY 1 Units @0.0000						
07/31/2018	***-**-77IR - MARRONE, FBO MR	FIDELITY GOVT MMKT CAPITAL RESERVES	0.00	0.00	0.00	0.00	88.0	0.00
	ACCOUNT #: LSR011158	BUY 1 Units @0.0000						
07/31/2018	***-**-61IN - GORCZYNSKI,	GLOBAL OPPORTUNITIES FUND C	0.00	52.59	0.00	52.59	88.0	46.28
	ACCOUNT #: LSR010844	BUY 1 Units @0.0000						
07/31/2018	***-**-679I - MURSCH JR,	GOLD & SPECIAL MINERALS A	0.00	0.04	0.00	0.04	88.0	0.04
	ACCOUNT #: LSR010888	BUY 1 Units @0.0000						
07/31/2018	***-**-077I - GAUTHIER, LOUIS	GOLD & SPECIAL MINERALS A	0.00	0.88	0.00	0.88	88.0	0.77
	ACCOUNT #: LSR010901	BUY 1 Units @0.0000						
07/31/2018	***-**-369I - DAVIS, BRUCE	GOLD & SPECIAL MINERALS A	0.00	0.61	0.00	0.61	88.0	0.54
	ACCOUNT #: LSR011029	BUY 1 Units @0.0000						
07/31/2018	***-**-077I - GAUTHIER, LOUIS	INTERNATIONAL GROWTH FUND A	0.00	2.05	0.00	2.05	88.0	1.80
	ACCOUNT #: LSR010901	BUY 1 Units @0.0000						
07/31/2018	***-**-656I - SMOLA, STANLEY	INTERNATIONAL GROWTH FUND C	0.00	9.65	0.00	9.65	88.0	8.49
	ACCOUNT #: LSR010868	BUY 1 Units @0.0000						
07/31/2018	***-**-762I - STORSBERG,	LORD ABBETT ALPHA STRATEGY CL C	0.00	19.64	0.00	19.64	88.0	17.28
	ACCOUNT #: LSR011688	BUY 1 Units @0.0000						
07/31/2018	***-**-762I - STORSBERG,	LORD ABBETT FNDAMNTL EQUITY FD CL C	0.00	4.05	0.00	4.05	88.0	3.56
	ACCOUNT #: LSR011688	BUY 1 Units @0.0000						
07/31/2018	***-**-762I - STORSBERG,	LORD ABBETT GROWTH LEADERS FUND CL	0.00	6.09	0.00	6.09	88.0	5.36
	ACCOUNT #: LSR011688	BUY 1 Units @0.0000						



COMMISSION STATEMENT

July 30, 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
BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
07/31/2018	***-**-762I - STORSBERG, ACCOUNT #: LSR011688	LORD ABBETT GROWTH OPPORTUNITIES CL BUY 1 Units @0.0000	0.00	5.01	0.00	5.01	88.0	4.41
07/31/2018	***-**-762I - STORSBERG, ACCOUNT #: LSR011688	LORD ABBETT INTL DIVIDEND INC CL C BUY 1 Units @0.0000	0.00	6.33	0.00	6.33	88.0	5.57
07/31/2018	***-**-762I - STORSBERG, ACCOUNT #: LSR011688	LORD ABBETT MULTI ASSET BALANCED OP BUY 1 Units @0.0000	0.00	4.17	0.00	4.17	88.0	3.67
07/31/2018	***-**-762I - STORSBERG, ACCOUNT #: LSR011688	LORD ABBETT MULTI ASSET GLOBAL OPP BUY 1 Units @0.0000	0.00	5.77	0.00	5.77	88.0	5.08
07/31/2018	***-**-901O - DRUMM, LOIS ACCOUNT #: LSR011609	LORD ABBETT SHORT DURATION INCOME C BUY 1 Units @0.0000	0.00	3.99	0.00	3.99	88.0	3.51
07/31/2018	***-**-61IN - FILEY, JOHN ACCOUNT #: LSR011723	LORD ABBETT SHORT DURATION INCOME C BUY 1 Units @0.0000	0.00	3.61	0.00	3.61	88.0	3.18
07/31/2018	***-**-03TR - BOSHART, PEGGY ACCOUNT #: LSR011743	LORD ABBETT SHORT DURATION INCOME C BUY 1 Units @0.0000	0.00	8.99	0.00	8.99	88.0	7.91
07/31/2018	***-**-03IN - BOSHART, PEGGY ACCOUNT #: LSR011744	LORD ABBETT SHORT DURATION INCOME C BUY 1 Units @0.0000	0.00	4.51	0.00	4.51	88.0	3.97
07/31/2018	***-**-03IR - BOSHART, PEGGY ACCOUNT #: LSR011749	LORD ABBETT SHORT DURATION INCOME C BUY 1 Units @0.0000	0.00	3.00	0.00	3.00	88.0	2.64
07/31/2018	***-**-599I - MCCARTHY, DONNA ACCOUNT #: LSR011894	LORD ABBETT SHORT DURATION INCOME C BUY 1 Units @0.0000	0.00	9.00	0.00	9.00	88.0	7.92
07/31/2018	***-**-99IN - MCCARTHY, DONNA ACCOUNT #: LSR011895	LORD ABBETT SHORT DURATION INCOME C BUY 1 Units @0.0000	0.00	10.50	0.00	10.50	88.0	9.24
07/31/2018	***-**-173I - SHELDON, ACCOUNT #: LSR011917	LORD ABBETT SHORT DURATION INCOME C BUY 1 Units @0.0000	0.00	5.01	0.00	5.01	88.0	4.41
07/31/2018	***-**-762I - STORSBERG, ACCOUNT #: LSR011688	LORD ABBETT VALUE OPPORTUNITY FD CL BUY 1 Units @0.0000	0.00	6.89	0.00	6.89	88.0	6.06
07/31/2018	***-**-077I - GAUTHIER, LOUIS ACCOUNT #: LSR010901	OPP PORT SERIES: ACTIVE ALLOC A BUY 1 Units @0.0000	0.00	2.43	0.00	2.43	88.0	2.14
07/31/2018	***-**-61IN - GORCZYNSKI, ACCOUNT #: LSR010844	OPPENHEIMER GLBL REAL ESTATE FUND C BUY 1 Units @0.0000	0.00	13.60	0.00	13.60	88.0	11.97
07/31/2018	***-**-656I - SMOLA, STANLEY ACCOUNT #: LSR010868	OPPENHEIMER GLBL REAL ESTATE FUND C BUY 1 Units @0.0000	0.00	3.41	0.00	3.41	88.0	3.00



COMMISSION STATEMENT

July 30, 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
BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
07/31/2018	***-**-679I - MURSCH JR, ACCOUNT #: LSR010888	OPPENHEIMER INTERNATIONAL DIVERSIFI BUY 1 Units @0.0000	0.00	0.18	0.00	0.18	88.0	0.16
07/31/2018	***-**-319I - HILLEBRAND, JOAN ACCOUNT #: LSR011002	OPPENHEIMER INTERNATIONAL DIVERSIFI BUY 1 Units @0.0000	0.00	4.10	0.00	4.10	88.0	3.61
07/31/2018	***-**-61IN - GORCZYNSKI, ACCOUNT #: LSR010844	OPPENHEIMER INTERNATIONAL DIVERSIFI BUY 1 Units @0.0000	0.00	41.30	0.00	41.30	88.0	36.34
07/31/2018	***-**-679I - MURSCH JR, ACCOUNT #: LSR010888	OPPENHEIMER SMALL & MID CAP VALUE F BUY 1 Units @0.0000	0.00	0.18	0.00	0.18	88.0	0.16
07/31/2018	***-**-621I - DANIELS SR, JOHN ACCOUNT #: LSR010950	OPPENHEIMER SMALL & MID CAP VALUE F BUY 1 Units @0.0000	0.00	4.08	0.00	4.08	88.0	3.59
07/31/2018	***-**-355I - CRIMMINS, KAREN ACCOUNT #: LSR011077	PUTNAM 1 BUY 1 Units @0.0000	0.00	1.73	0.00	1.73	88.0	1.52
07/31/2018	***-**-187I - WASZKIEWICZ, FBO ACCOUNT #: LSR011144	PUTNAM 1 BUY 1 Units @0.0000	0.00	1.58	0.00	1.58	88.0	1.39
07/31/2018	***-**-231J - MISHLANIE JR, ACCOUNT #: LSR010927	PUTNAM CAPITAL SPECTRUM FD CL B BUY 1 Units @0.0000	0.00	2.34	0.00	2.34	88.0	2.06
07/31/2018	***-**-91IR - DAMSKY, MELISSA ACCOUNT #: LSR010928	PUTNAM CAPITAL SPECTRUM FD CL B BUY 1 Units @0.0000	0.00	0.96	0.00	0.96	88.0	0.84
07/31/2018	***-**-869I - CASEY, JOHN ACCOUNT #: LSR011323	PUTNAM CAPITAL SPECTRUM FD CL B BUY 1 Units @0.0000	0.00	1.15	0.00	1.15	88.0	1.01
07/31/2018	***-**-973I - CHAMBERS, ROGER ACCOUNT #: LSR011018	PUTNAM CAPITAL SPECTRUM FUND CL C BUY 1 Units @0.0000	0.00	11.62	0.00	11.62	88.0	10.23
07/31/2018	***-**-621O - DANIELS, JOHN ACCOUNT #: LSR012373	PUTNAM DIVERSIFIED INCOME-B BUY 1 Units @0.0000	0.00	2.56	0.00	2.56	88.0	2.25
07/31/2018	***-**-355I - CRIMMINS, KAREN ACCOUNT #: LSR011077	PUTNAM EQUITY INCOME FUND-B BUY 1 Units @0.0000	0.00	1.10	0.00	1.10	88.0	0.97
07/31/2018	***-**-187I - WASZKIEWICZ, FBO ACCOUNT #: LSR011144	PUTNAM EQUITY INCOME FUND-B BUY 1 Units @0.0000	0.00	2.14	0.00	2.14	88.0	1.88
07/31/2018	***-**-621O - DANIELS, JOHN ACCOUNT #: LSR012373	PUTNAM EQUITY INCOME FUND-B BUY 1 Units @0.0000	0.00	4.61	0.00	4.61	88.0	4.06
07/31/2018	***-**-753I - SABANOSH, ALAN ACCOUNT #: LSR010909	PUTNAM EUROPE EQUITY CLASS C BUY 1 Units @0.0000	0.00	16.27	0.00	16.27	88.0	14.32



COMMISSION STATEMENT

July 30, 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
BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
07/31/2018	***-**-53TR - SABANOSH, ALAN R	PUTNAM EUROPE EQUITY CLASS C	0.00	11.31	0.00	11.31	88.0	9.95
	ACCOUNT #: LSR010917	BUY 1 Units @0.0000						
07/31/2018	***-**-467J - PICKARD, BRIAN	PUTNAM EUROPE EQUITY CLASS C	0.00	8.72	0.00	8.72	88.0	7.67
	ACCOUNT #: LSR010943	BUY 1 Units @0.0000						
07/31/2018	***-**-231J - MISHLANIE JR,	PUTNAM EUROPE EQUITY FUND-B	0.00	1.31	0.00	1.31	88.0	1.15
	ACCOUNT #: LSR010927	BUY 1 Units @0.0000						
07/31/2018	***-**-29IO - LORUSSO, VINCENT	PUTNAM EUROPE EQUITY FUND-B	0.00	1.28	0.00	1.28	88.0	1.13
	ACCOUNT #: LSR011681	BUY 1 Units @0.0000						
07/31/2018	***-**-621O - DANIELS, JOHN	PUTNAM EUROPE EQUITY FUND-B	0.00	1.33	0.00	1.33	88.0	1.17
	ACCOUNT #: LSR012373	BUY 1 Units @0.0000						
07/31/2018	***-**-355I - CRIMMINS, KAREN	PUTNAM FLOATING RATE INCOME CL B	0.00	1.06	0.00	1.06	88.0	0.93
	ACCOUNT #: LSR011077	BUY 1 Units @0.0000						
07/31/2018	***-**-34IN - SHEFFER, EUGENE	PUTNAM GLOBAL NAT RESOURCES-B	0.00	1.62	0.00	1.62	88.0	1.43
	ACCOUNT #: LSR011000	BUY 1 Units @0.0000						
07/31/2018	***-**-73IN - SCOTELLARO IV,	PUTNAM GLOBAL NAT RESOURCES-B	0.00	0.67	0.00	0.67	88.0	0.59
	ACCOUNT #: LSR011086	BUY 1 Units @0.0000						
07/31/2018	***-**-187I - WASZKIEWICZ, FBO	PUTNAM GLOBAL NAT RESOURCES-B	0.00	1.13	0.00	1.13	88.0	0.99
	ACCOUNT #: LSR011144	BUY 1 Units @0.0000						
07/31/2018	***-**-41TR - DAMSKY, BARRY	PUTNAM GLOBAL NAT RESOURCES-B	0.00	2.35	0.00	2.35	88.0	2.07
	ACCOUNT #: LSR011340	BUY 1 Units @0.0000						
07/31/2018	***-**-621O - DANIELS, JOHN	PUTNAM GLOBAL NAT RESOURCES-B	0.00	1.53	0.00	1.53	88.0	1.35
	ACCOUNT #: LSR012373	BUY 1 Units @0.0000						
07/31/2018	***-**-753I - SABANOSH, ALAN	PUTNAM GLOBAL UTILITIES CL C	0.00	5.18	0.00	5.18	88.0	4.56
	ACCOUNT #: LSR010909	BUY 1 Units @0.0000						
07/31/2018	***-**-369I - DAVIS, BRUCE	PUTNAM INTERNATIONAL EQUITY-A	0.00	1.28	0.00	1.28	88.0	1.13
	ACCOUNT #: LSR011029	BUY 1 Units @0.0000						
07/31/2018	***-**-61IN - GORCZYNSKI,	PUTNAM MID-CAP VALUE FUND-C	0.00	50.97	0.00	50.97	88.0	44.85
	ACCOUNT #: LSR010844	BUY 1 Units @0.0000						
07/31/2018	***-**-231J - MISHLANIE JR,	PUTNAM UTILITIES GR & INC-B	0.00	2.69	0.00	2.69	88.0	2.37
	ACCOUNT #: LSR010927	BUY 1 Units @0.0000						
07/31/2018	***-**-369I - DAVIS, BRUCE	PUTNAM UTILITIES GR & INC-B	0.00	1.49	0.00	1.49	88.0	1.31
	ACCOUNT #: LSR011029	BUY 1 Units @0.0000						



COMMISSION STATEMENT

July 30, 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
BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
07/31/2018	***-**-355I - CRIMMINS, KAREN	PUTNAM UTILITIES GR & INC-B	0.00	0.83	0.00	0.83	88.0	0.73
	ACCOUNT #: LSR011077	BUY 1 Units @0.0000						
07/31/2018	***-**-13IR - MURRAY, JOHN	PUTNAM UTILITIES GR & INC-B	0.00	0.88	0.00	0.88	88.0	0.77
	ACCOUNT #: LSR011459	BUY 1 Units @0.0000						
07/31/2018	***-**-29IO - LORUSSO, VINCENT	PUTNAM UTILITIES GR & INC-B	0.00	1.79	0.00	1.79	88.0	1.58
	ACCOUNT #: LSR011681	BUY 1 Units @0.0000						
07/31/2018	***-**-92IR - THIBAUT, MARY	PUTNAM UTILITIES GR & INC-B	0.00	0.47	0.00	0.47	88.0	0.41
	ACCOUNT #: LSR011833	BUY 1 Units @0.0000						
07/31/2018	***-**-76IR - BOSHART-LOWE,	PUTNAM UTILITIES GR & INC-B	0.00	1.16	0.00	1.16	88.0	1.02
	ACCOUNT #: LSR011841	BUY 1 Units @0.0000						
07/31/2018	***-**-679I - MURSCH JR,	QUEST BALANCED A	0.00	0.14	0.00	0.14	88.0	0.12
	ACCOUNT #: LSR010888	BUY 1 Units @0.0000						
07/31/2018	***-**-231J - MISHLANIE JR,	QUEST BALANCED A	0.00	3.19	0.00	3.19	88.0	2.81
	ACCOUNT #: LSR010927	BUY 1 Units @0.0000						
07/31/2018	***-**-29IN - THIBAUT,	QUEST BALANCED FUND C	0.00	9.91	0.00	9.91	88.0	8.72
	ACCOUNT #: LSR011094	BUY 1 Units @0.0000						
07/31/2018	***-**-24TR - SCOTELLARO, L	QUEST INTERNATIONAL VALUE FUND, INC	0.00	2.98	0.00	2.98	88.0	2.62
	ACCOUNT #: LSR010973	BUY 1 Units @0.0000						
07/31/2018	***-**-61IN - GORCZYNSKI,	QUEST INTERNATIONAL VALUE FUND, INC	0.00	40.03	0.00	40.03	88.0	35.23
	ACCOUNT #: LSR010844	BUY 1 Units @0.0000						
07/31/2018	***-**-679I - MURSCH JR,	RISING DIVIDENDS FUND A	0.00	0.22	0.00	0.22	88.0	0.19
	ACCOUNT #: LSR010888	BUY 1 Units @0.0000						
07/31/2018	***-**-077I - GAUTHIER, LOUIS	RISING DIVIDENDS FUND A	0.00	2.14	0.00	2.14	88.0	1.88
	ACCOUNT #: LSR010901	BUY 1 Units @0.0000						
07/31/2018	***-**-474J - HAGAN JR,	RISING DIVIDENDS FUND A	0.00	1.50	0.00	1.50	88.0	1.32
	ACCOUNT #: LSR010993	BUY 1 Units @0.0000						
07/31/2018	***-**-01IN - HAGAN III,	RISING DIVIDENDS FUND A	0.00	1.58	0.00	1.58	88.0	1.39
	ACCOUNT #: LSR011014	BUY 1 Units @0.0000						
07/31/2018	***-**-369I - DAVIS, BRUCE	RISING DIVIDENDS FUND A	0.00	2.45	0.00	2.45	88.0	2.16
	ACCOUNT #: LSR011029	BUY 1 Units @0.0000						
07/31/2018	***-**-05IN - HULL, JEFFERY	SENIOR FLOATING RATE FUND C	0.00	8.41	0.00	8.41	88.0	7.40
	ACCOUNT #: LSR011187	BUY 1 Units @0.0000						



COMMISSION STATEMENT

July 30, 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
BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
07/31/2018	***-**-6210 - DANIELS, JOHN	SMALL- & MID-CAP GROWTH FUND A	0.00	2.57	0.00	2.57	88.0	2.26
	ACCOUNT #: LSR012373	BUY 1 Units @0.0000						
07/31/2018	***-**-6561 - SMOLA, STANLEY	VOYA GLOBAL REAL ESTATE CLASS C	0.00	5.25	0.00	5.25	88.0	4.62
	ACCOUNT #: LSR010868	BUY 1 Units @0.0000						
		* MUTUAL FUND 12B1 TRAILS SUBTOTAL *	\$0.00	\$483.55	\$0.00	\$483.55		\$425.51
		*** BROKER TRANSACTIONS TOTAL ***	\$29,518.35	\$1,023.80	\$116.13	\$907.67		\$798.71

VERRIDE TRANSACTIONS

BROKER: KURT GRUENEWALD

07/31/2018	***-**-7021 - KOCHER, MICHAEL	37252M108	0.00	0.99	0.00	0.99	88.0	0.87
	ACCOUNT #: LSR010954	BUY 1 Units @0.0000						
07/31/2018	***-**-6801 - HARRELL, DARYL	37252M108	0.00	0.83	0.00	0.83	88.0	0.73
	ACCOUNT #: LSR011321	BUY 1 Units @0.0000						
07/31/2018	***-**-2210 - CLINTON, STEPHEN	37252M108	0.00	1.70	0.00	1.70	88.0	1.50
	ACCOUNT #: LSR011684	BUY 1 Units @0.0000						
07/17/2018	***-**-801N - COBB, JAMES	AGE BASED INVESTMENT OPTION	280.00	2.80	0.00	2.80	88.0	2.46
	ACCOUNT #: 77169961902	BUY 0 Units @0.0000						
07/24/2018	***-**-1110 - LYNN G.	BERKSHIRE HATHAWAY INC DEL CL B NEW	15,485.73	206.24	0.00	206.24	88.0	181.49
	ACCOUNT #: LSR011239	SELL 78 Units @198.5350						
07/24/2018	***-**-1110 - LYNN G.	BERKSHIRE HATHAWAY INC DEL CL B NEW	4,367.66	63.25	0.00	63.25	88.0	55.66
	ACCOUNT #: LSR011239	SELL 22 Units @198.5300						
07/30/2018	***-**-6604 - REYNOLDS, DIANE	BLACKROCK TRAILS	0.00	4.22	0.00	4.22	88.0	3.71
	ACCOUNT #: 5290810273	BUY 0 Units @0.0000						
07/31/2018	***-**-9591 - FRANZ, PAUL	BLACKROCK US OPPORT CL A	0.00	0.38	0.00	0.38	88.0	0.33
	ACCOUNT #: LSR010959	BUY 1 Units @0.0000						
07/24/2018	***-**-511R - BLAKE, JAMES	CAMECO CORP COM NPV ISIN #CA13321L1	2,700.00	34.99	0.00	34.99	88.0	30.79
	ACCOUNT #: LSR012391	BUY 250 Units @10.8000						
07/31/2018	***-**-287J - HINCKLEY,	EQUITY INCOME FUND, INC. A	0.00	0.58	0.00	0.58	88.0	0.51
	ACCOUNT #: LSR010841	BUY 1 Units @0.0000						
07/31/2018	***-**-2541 - AUGUSTINE, LINDA	EQUITY INCOME FUND, INC. A	0.00	1.95	0.00	1.95	88.0	1.72
	ACCOUNT #: LSR010846	BUY 1 Units @0.0000						



COMMISSION STATEMENT

July 30, 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
 OVERRIDE TRANSACTIONS (continued)								
 <u>BROKER: KURT GRUENEWALD (continued)</u>								
07/31/2018	***-**-881J - EBERLEY, SUSAN	EQUITY INCOME FUND, INC. A	0.00	2.20	0.00	2.20	88.0	1.94
	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	88.0	2.19
	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	88.0	1.64
	ACCOUNT #: LSR010948	BUY 1 Units @0.0000						
07/31/2018	***-**-702I - KOICHEM, MICHAEL	EQUITY INCOME FUND, INC. A	0.00	2.02	0.00	2.02	88.0	1.78
	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	88.0	1.96
	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	88.0	5.19
	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	88.0	2.09
	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	88.0	0.91
	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	88.0	2.22
	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	88.0	3.65
	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	88.0	0.96
	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	88.0	1.71
	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	88.0	1.49
	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	88.0	0.78
	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	88.0	0.97
	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	88.0	1.46
	ACCOUNT #: LSR011164	BUY 1 Units @0.0000						



COMMISSION STATEMENT

July 30, 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
 OVERRIDE TRANSACTIONS (continued)								
 <u>BROKER: KURT GRUENEWALD (continued)</u>								
07/31/2018	***-**-64IO - PFAFF, GEORGE	EQUITY INCOME FUND, INC. A	0.00	2.08	0.00	2.08	88.0	1.83
	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	88.0	1.31
	ACCOUNT #: LSR011195	BUY 1 Units @0.0000						
07/31/2018	***-**-653I - KOCHER, CLINTON	EQUITY INCOME FUND, INC. A	0.00	3.08	0.00	3.08	88.0	2.71
	ACCOUNT #: LSR011300	BUY 1 Units @0.0000						
07/31/2018	***-**-680I - HARRELL, DARYL	EQUITY INCOME FUND, INC. A	0.00	0.85	0.00	0.85	88.0	0.75
	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	88.0	12.00
	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	88.0	5.41
	ACCOUNT #: LSR010916	BUY 1 Units @0.0000						
07/31/2018	***-**-00IO - LEE, GARY	EQUITY INCOME FUND, INC. C	0.00	13.57	0.00	13.57	88.0	11.94
	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	88.0	3.28
	ACCOUNT #: LSR011763	BUY 1 Units @0.0000						
07/31/2018	***-**-28IN - BYWATER, KIM	EQUITY INCOME FUND, INC. C	0.00	1.59	0.00	1.59	88.0	1.40
	ACCOUNT #: LSR011995	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	88.0	0.31
	ACCOUNT #: LSR012285	BUY 1 Units @0.0000						
07/26/2018	***-**-890I - GURDO, ANTHONY	FUNDAMENTAL INVESTORS-C	150.00	1.50	0.00	1.50	88.0	1.32
	ACCOUNT #: 00087491111	BUY 2 Units @64.5600						
07/31/2018	***-**-128I - BASHANT, THOMAS	GLOBAL FUND A	0.00	2.20	0.00	2.20	88.0	1.94
	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	88.0	14.13
	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	88.0	0.26
	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	88.0	0.14
	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	88.0	0.52
	ACCOUNT #: LSR010908	BUY 1 Units @0.0000						



COMMISSION STATEMENT

July 30, 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
 OVERRIDE TRANSACTIONS (continued)								
 <u>BROKER: KURT GRUENEWALD (continued)</u>								
07/31/2018	***-**-930I - SANGER, KEVIN ACCOUNT #: LSR010941	GOLD & SPECIAL MINERALS A BUY 1 Units @0.0000	0.00	0.32	0.00	0.32	88.0	0.28
07/31/2018	***-**-15IN - PENDRAK, JOHN ACCOUNT #: LSR010948	GOLD & SPECIAL MINERALS A BUY 1 Units @0.0000	0.00	2.10	0.00	2.10	88.0	1.85
07/31/2018	***-**-702J - KOCHER, MICHAEL ACCOUNT #: LSR010955	GOLD & SPECIAL MINERALS A BUY 1 Units @0.0000	0.00	0.23	0.00	0.23	88.0	0.20
07/31/2018	***-**-959I - FRANZ, PAUL ACCOUNT #: LSR010959	GOLD & SPECIAL MINERALS A BUY 1 Units @0.0000	0.00	0.55	0.00	0.55	88.0	0.48
07/31/2018	***-**-61IN - EVANS, DOLORES ACCOUNT #: LSR011023	GOLD & SPECIAL MINERALS A BUY 1 Units @0.0000	0.00	0.17	0.00	0.17	88.0	0.15
07/31/2018	***-**-944O - MAYO, DEBORAH ACCOUNT #: LSR011035	GOLD & SPECIAL MINERALS A BUY 1 Units @0.0000	0.00	0.52	0.00	0.52	88.0	0.46
07/31/2018	***-**-96IN - NESSIA, BONNIE ACCOUNT #: LSR011055	GOLD & SPECIAL MINERALS A BUY 1 Units @0.0000	0.00	0.29	0.00	0.29	88.0	0.26
07/31/2018	***-**-579I - RHYMESTINE, ACCOUNT #: LSR011082	GOLD & SPECIAL MINERALS A BUY 1 Units @0.0000	0.00	0.53	0.00	0.53	88.0	0.47
07/31/2018	***-**-13IN - RHYMESTINE, ACCOUNT #: LSR011106	GOLD & SPECIAL MINERALS A BUY 1 Units @0.0000	0.00	0.34	0.00	0.34	88.0	0.30
07/31/2018	***-**-76IO - MCALLISTER, FBO ACCOUNT #: LSR011107	GOLD & SPECIAL MINERALS A BUY 1 Units @0.0000	0.00	0.33	0.00	0.33	88.0	0.29
07/31/2018	***-**-367J - WAGNER, MRS LANT ACCOUNT #: LSR011134	GOLD & SPECIAL MINERALS A BUY 1 Units @0.0000	0.00	0.30	0.00	0.30	88.0	0.26
07/31/2018	***-**-48IO - ANACKER, FBO MRS ACCOUNT #: LSR011164	GOLD & SPECIAL MINERALS A BUY 1 Units @0.0000	0.00	0.70	0.00	0.70	88.0	0.62
07/31/2018	***-**-31IO - WILLIAMSON, FBO ACCOUNT #: LSR011172	GOLD & SPECIAL MINERALS A BUY 1 Units @0.0000	0.00	1.34	0.00	1.34	88.0	1.18
07/31/2018	***-**-664J - PFAFF, GEORGE ACCOUNT #: LSR011184	GOLD & SPECIAL MINERALS A BUY 1 Units @0.0000	0.00	0.57	0.00	0.57	88.0	0.50
07/31/2018	***-**-02IN - BUSHEY, MELISSA ACCOUNT #: LSR011257	GOLD & SPECIAL MINERALS A BUY 1 Units @0.0000	0.00	0.12	0.00	0.12	88.0	0.11
07/31/2018	***-**-62IN - EATON, DAVID ACCOUNT #: LSR011315	GOLD & SPECIAL MINERALS A BUY 1 Units @0.0000	0.00	0.39	0.00	0.39	88.0	0.34



COMMISSION STATEMENT

July 30, 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
 OVERRIDE TRANSACTIONS (continued) 								
 <u>BROKER: KURT GRUENEWALD (continued)</u> 								
07/31/2018	***-**-881I - EBERLEY, SUSAN	INTERNATIONAL BOND A	0.00	0.64	0.00	0.64	88.0	0.56
	ACCOUNT #: LSR010858	BUY 1 Units @0.0000						
07/31/2018	***-**-567I - FRANZ, ALICE	INTERNATIONAL BOND A	0.00	2.40	0.00	2.40	88.0	2.11
	ACCOUNT #: LSR010960	BUY 1 Units @0.0000						
07/31/2018	***-**-761I - EVANS, DOLORES	INTERNATIONAL BOND A	0.00	3.24	0.00	3.24	88.0	2.85
	ACCOUNT #: LSR011024	BUY 1 Units @0.0000						
07/31/2018	***-**-664J - PFAFF, GEORGE	INTERNATIONAL BOND A	0.00	3.01	0.00	3.01	88.0	2.65
	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	88.0	1.36
	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	88.0	1.29
	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	88.0	1.76
	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	88.0	0.87
	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	88.0	3.39
	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	88.0	16.24
	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	88.0	8.26
	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	88.0	10.95
	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	88.0	20.67
	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	88.0	1.63
	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	88.0	10.90
	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	88.0	8.11
	ACCOUNT #: LSR011498	BUY 1 Units @0.0000						



COMMISSION STATEMENT

July 30, 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
 OVERRIDE TRANSACTIONS (continued)								
 <u>BROKER: KURT GRUENEWALD (continued)</u>								
07/31/2018	***-**-531J - WILLIAMSON, ACCOUNT #: LSR011716	LORD ABBETT SHORT DURATION INCOME C BUY 1 Units @0.0000	0.00	7.19	0.00	7.19	88.0	6.33
07/31/2018	***-**-45IO - JOHNSON, GREGORY ACCOUNT #: LSR011421	MAIN STREET FUND C BUY 1 Units @0.0000	0.00	7.52	0.00	7.52	88.0	6.62
07/31/2018	***-**-714O - LINES, JUDITH ACCOUNT #: LSR011763	MAIN STREET FUND C BUY 1 Units @0.0000	0.00	4.96	0.00	4.96	88.0	4.36
07/16/2018	***-**-213I - GRUENEWALD, ACCOUNT #: 08190131132	MFS GLOBAL NEW DISCOVERY FUND CL B BUY 5 Units @19.7900	100.00	4.00	0.00	4.00	88.0	3.52
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	88.0	2.64
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	88.0	3.52
07/16/2018	***-**-213I - GRUENEWALD, ACCOUNT #: 08190131132	MFS TECHNOLOGY FUND-B BUY 3 Units @38.8000	100.00	4.00	0.00	4.00	88.0	3.52
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	88.0	1.23
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	88.0	1.76
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	88.0	0.22
07/17/2018	***-**-80IN - COBB, JAMES ACCOUNT #: 77169961901	NYA JPM 529 CONSV GROWTH A BUY 0 Units @0.0000	2,000.00	61.00	0.00	61.00	88.0	53.68
07/17/2018	***-**-80IN - COBB, JAMES ACCOUNT #: 77169961902	NYA JPM 529 CONSV GROWTH A BUY 0 Units @0.0000	1,720.00	52.46	0.00	52.46	88.0	46.16
07/18/2018	***-**-20IR - DEMETRI, AMELIA ACCOUNT #: 77854436501	NYA JPM 529 MOD AGE-BASED A BUY 0 Units @0.0000	50.00	2.38	0.00	2.38	88.0	2.09
07/16/2018	***-**-473J - HUSTON, ACCOUNT #: 77852732401	NYA JPM 529 MOD GROWTH POR C BUY 0 Units @0.0000	200.00	2.00	0.00	2.00	88.0	1.76
07/16/2018	***-**-473J - HUSTON, ACCOUNT #: 77852732402	NYA JPM 529 MOD GROWTH POR C BUY 0 Units @0.0000	200.00	2.00	0.00	2.00	88.0	1.76
07/31/2018	***-**-15IN - PENDRAK, JOHN ACCOUNT #: LSR010948	OPP PORT SERIES: ACTIVE ALLOC A BUY 1 Units @0.0000	0.00	1.58	0.00	1.58	88.0	1.39



COMMISSION STATEMENT

July 30, 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
 OVERRIDE TRANSACTIONS (continued)								
 <u>BROKER: KURT GRUENEWALD (continued)</u>								
07/31/2018	***-**-80IN - COBB, JAMES	OPPENHEIMER ACTIVE ALLOCATION FUND	0.00	7.48	0.00	7.48	88.0	6.58
	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	88.0	12.97
	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	88.0	14.51
	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	88.0	12.59
	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	88.0	7.79
	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	88.0	1.12
	ACCOUNT #: LSR011995	BUY 1 Units @0.0000						
07/31/2018	***-**-88IJ - EBERLEY, SUSAN	OPPENHEIMER DEVELOPING MARKETS CLAS	0.00	1.58	0.00	1.58	88.0	1.39
	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	88.0	1.12
	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	88.0	0.29
	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	88.0	2.05
	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	88.0	0.70
	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	88.0	0.75
	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	88.0	0.69
	ACCOUNT #: LSR011164	BUY 1 Units @0.0000						
07/31/2018	***-**-64IO - PFAFF, GEORGE	OPPENHEIMER DEVELOPING MARKETS CLAS	0.00	1.50	0.00	1.50	88.0	1.32
	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	88.0	1.02
	ACCOUNT #: LSR011195	BUY 1 Units @0.0000						
07/31/2018	***-**-653I - KOCHEM, CLINTON	OPPENHEIMER DEVELOPING MARKETS CLAS	0.00	2.09	0.00	2.09	88.0	1.84
	ACCOUNT #: LSR011300	BUY 1 Units @0.0000						



COMMISSION STATEMENT

July 30, 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
 OVERRIDE TRANSACTIONS (continued)								
 <u>BROKER: KURT GRUENEWALD (continued)</u>								
07/31/2018	***-**-680I - HARRELL, DARYL ACCOUNT #: LSR011321	OPPENHEIMER DEVELOPING MARKETS CLAS BUY 1 Units @0.0000	0.00	0.84	0.00	0.84	88.0	0.74
07/31/2018	***-**-094I - KATRENA L ACCOUNT #: LSR011188	OPPENHEIMER GBL REAL ESTATE FUND C BUY 1 Units @0.0000	0.00	5.26	0.00	5.26	88.0	4.63
07/31/2018	***-**-031O - MCVOY, ROBERT ACCOUNT #: LSR010916	OPPENHEIMER GLOBAL VALUE FUND CL C BUY 1 Units @0.0000	0.00	5.16	0.00	5.16	88.0	4.54
07/31/2018	***-**-714O - LINES, JUDITH ACCOUNT #: LSR011763	OPPENHEIMER GLOBAL VALUE FUND CL C BUY 1 Units @0.0000	0.00	3.77	0.00	3.77	88.0	3.32
07/31/2018	***-**-382I - SATTERLY, NEIL ACCOUNT #: LSR010867	OPPENHEIMER GOLD & SPECIAL MINERALS BUY 1 Units @0.0000	0.00	3.80	0.00	3.80	88.0	3.34
07/31/2018	***-**-48IO - CLARK, PATRICK ACCOUNT #: LSR010911	OPPENHEIMER GOLD & SPECIAL MINERALS BUY 1 Units @0.0000	0.00	4.97	0.00	4.97	88.0	4.37
07/31/2018	***-**-31IO - HARTZ, CLAUDIA ACCOUNT #: LSR010915	OPPENHEIMER GOLD & SPECIAL MINERALS BUY 1 Units @0.0000	0.00	0.10	0.00	0.10	88.0	0.09
07/31/2018	***-**-72IN - GAVALO, JULIE ACCOUNT #: LSR010921	OPPENHEIMER GOLD & SPECIAL MINERALS BUY 1 Units @0.0000	0.00	2.19	0.00	2.19	88.0	1.93
07/31/2018	***-**-065I - LAZIO, THOMAS ACCOUNT #: LSR010979	OPPENHEIMER GOLD & SPECIAL MINERALS BUY 1 Units @0.0000	0.00	5.30	0.00	5.30	88.0	4.66
07/31/2018	***-**-420T - DEMETRI, AMELIA ACCOUNT #: LSR010994	OPPENHEIMER GOLD & SPECIAL MINERALS BUY 1 Units @0.0000	0.00	2.28	0.00	2.28	88.0	2.01
07/31/2018	***-**-00IO - LEE, GARY ACCOUNT #: LSR011059	OPPENHEIMER GOLD & SPECIAL MINERALS BUY 1 Units @0.0000	0.00	7.02	0.00	7.02	88.0	6.18
07/31/2018	***-**-09IO - BATES, FBO MRS ACCOUNT #: LSR011117	OPPENHEIMER GOLD & SPECIAL MINERALS BUY 1 Units @0.0000	0.00	2.30	0.00	2.30	88.0	2.02
07/31/2018	***-**-11IO - LYNN G. ACCOUNT #: LSR011239	OPPENHEIMER GOLD & SPECIAL MINERALS BUY 1 Units @0.0000	0.00	6.58	0.00	6.58	88.0	5.79
07/31/2018	***-**-45IO - JOHNSON, GREGORY ACCOUNT #: LSR011421	OPPENHEIMER GOLD & SPECIAL MINERALS BUY 1 Units @0.0000	0.00	5.37	0.00	5.37	88.0	4.73
07/31/2018	***-**-51IN - GERACE, JOANNE ACCOUNT #: LSR011538	OPPENHEIMER GOLD & SPECIAL MINERALS BUY 1 Units @0.0000	0.00	1.45	0.00	1.45	88.0	1.28
07/31/2018	***-**-714O - LINES, JUDITH ACCOUNT #: LSR011763	OPPENHEIMER INTERNATIONAL DIVERSIFI BUY 1 Units @0.0000	0.00	3.15	0.00	3.15	88.0	2.77



COMMISSION STATEMENT

July 30, 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
 OVERRIDE TRANSACTIONS (continued)								
 <u>BROKER: KURT GRUENEWALD (continued)</u>								
07/31/2018	***-**-28IN - BYWATER, KIM ACCOUNT #: LSR011995	OPPENHEIMER INTERNATIONAL SMALL COM BUY 1 Units @0.0000	0.00	2.51	0.00	2.51	88.0	2.21
07/31/2018	***-**-881I - EBERLEY, SUSAN ACCOUNT #: LSR010858	OPPENHEIMER MAIN STREET SMALL CAP F BUY 1 Units @0.0000	0.00	1.91	0.00	1.91	88.0	1.68
07/31/2018	***-**-382I - SATTERLY, NEIL ACCOUNT #: LSR010867	OPPENHEIMER RISING DIVIDENDS FUND C BUY 1 Units @0.0000	0.00	27.30	0.00	27.30	88.0	24.02
07/31/2018	***-**-031O - MCVOY, ROBERT ACCOUNT #: LSR010916	OPPENHEIMER RISING DIVIDENDS FUND C BUY 1 Units @0.0000	0.00	5.72	0.00	5.72	88.0	5.03
07/31/2018	***-**-065I - LAZIO, THOMAS ACCOUNT #: LSR010979	OPPENHEIMER RISING DIVIDENDS FUND C BUY 1 Units @0.0000	0.00	8.84	0.00	8.84	88.0	7.78
07/31/2018	***-**-511N - GERACE, JOANNE ACCOUNT #: LSR011538	OPPENHEIMER RISING DIVIDENDS FUND C BUY 1 Units @0.0000	0.00	7.70	0.00	7.70	88.0	6.78
07/31/2018	***-**-37IO - MCCLUSKY, MARK ACCOUNT #: LSR011579	OPPENHEIMER RISING DIVIDENDS FUND C BUY 1 Units @0.0000	0.00	5.07	0.00	5.07	88.0	4.46
07/31/2018	***-**-714O - LINES, JUDITH ACCOUNT #: LSR011763	OPPENHEIMER RISING DIVIDENDS FUND C BUY 1 Units @0.0000	0.00	7.58	0.00	7.58	88.0	6.67
07/31/2018	***-**-28IN - BYWATER, KIM ACCOUNT #: LSR011995	OPPENHEIMER RISING DIVIDENDS FUND C BUY 1 Units @0.0000	0.00	1.62	0.00	1.62	88.0	1.43
07/31/2018	***-**-287J - HINCKLEY, ACCOUNT #: LSR010841	OPPENHEIMER ROCHEST AMT-FREE NY MUN BUY 1 Units @0.0000	0.00	7.18	0.00	7.18	88.0	6.32
07/31/2018	***-**-254I - AUGUSTINE, LINDA ACCOUNT #: LSR010846	OPPENHEIMER SMALL & MID CAP VALUE F BUY 1 Units @0.0000	0.00	1.07	0.00	1.07	88.0	0.94
07/31/2018	***-**-930I - SANGER, KEVIN ACCOUNT #: LSR010941	OPPENHEIMER SMALL & MID CAP VALUE F BUY 1 Units @0.0000	0.00	0.41	0.00	0.41	88.0	0.36
07/31/2018	***-**-15IN - PENDRAK, JOHN ACCOUNT #: LSR010948	OPPENHEIMER SMALL & MID CAP VALUE F BUY 1 Units @0.0000	0.00	0.93	0.00	0.93	88.0	0.82
07/31/2018	***-**-959I - FRANZ, PAUL ACCOUNT #: LSR010959	OPPENHEIMER SMALL & MID CAP VALUE F BUY 1 Units @0.0000	0.00	1.70	0.00	1.70	88.0	1.50
07/31/2018	***-**-567I - FRANZ, ALICE ACCOUNT #: LSR010960	OPPENHEIMER SMALL & MID CAP VALUE F BUY 1 Units @0.0000	0.00	2.31	0.00	2.31	88.0	2.03
07/31/2018	***-**-944O - MAYO, DEBORAH ACCOUNT #: LSR011035	OPPENHEIMER SMALL & MID CAP VALUE F BUY 1 Units @0.0000	0.00	0.72	0.00	0.72	88.0	0.63



COMMISSION STATEMENT

July 30, 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
 OVERRIDE TRANSACTIONS (continued)								
 BROKER: KURT GRUENEWALD (continued)								
07/31/2018	***-**-580X - COBB, JAMES	OPPENHEIMER SMALL & MID CAP VALUE F	0.00	1.03	0.00	1.03	88.0	0.91
	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	88.0	0.89
	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	88.0	1.93
	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	88.0	0.43
	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	88.0	0.62
	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	88.0	0.60
	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	88.0	0.90
	ACCOUNT #: LSR011042	BUY 1 Units @0.0000						
07/31/2018	***-**-837O - BASEMENT	OPPENHEIMERSTEELPATH MLP INCOME CL	0.00	2.72	0.00	2.72	88.0	2.39
	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	88.0	0.53
	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	88.0	14.95
	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	88.0	19.46
	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	88.0	2.95
	ACCOUNT #: LSR010994	BUY 1 Units @0.0000						
07/31/2018	***-**-73UT - COBB, CHRISTIAN	PORT SERIES: CONS INV C	0.00	4.48	0.00	4.48	88.0	3.94
	ACCOUNT #: LSR011104	BUY 1 Units @0.0000						
07/31/2018	***-**-67UT - COBB,	PORT SERIES: CONS INV C	0.00	4.48	0.00	4.48	88.0	3.94
	ACCOUNT #: LSR011105	BUY 1 Units @0.0000						
07/31/2018	***-**-89IN - LEE, ROGER	PORT SERIES: CONS INV C	0.00	9.67	0.00	9.67	88.0	8.51
	ACCOUNT #: LSR011166	BUY 1 Units @0.0000						
07/31/2018	***-**-52IO - EUSEPI, SUSAN	PORT SERIES: CONS INV C	0.00	12.10	0.00	12.10	88.0	10.65
	ACCOUNT #: LSR011219	BUY 1 Units @0.0000						



COMMISSION STATEMENT

July 30, 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
<u> OVERRIDE TRANSACTIONS (continued) </u>								
<u>BROKER: KURT GRUENEWALD (continued)</u>								
07/31/2018	***-**-439I - MCCARTHY, JAMES	PORT SERIES: CONS INV C	0.00	4.04	0.00	4.04	88.0	3.56
	ACCOUNT #: LSR011244	BUY 1 Units @0.0000						
07/31/2018	***-**-80IO - EVANS, RICHARD	PORT SERIES: CONS INV C	0.00	12.93	0.00	12.93	88.0	11.38
	ACCOUNT #: LSR011276	BUY 1 Units @0.0000						
07/31/2018	***-**-664J - PFAFF, GEORGE	PORT SERIES: EQUITY INV FD A	0.00	1.07	0.00	1.07	88.0	0.94
	ACCOUNT #: LSR011184	BUY 1 Units @0.0000						
07/31/2018	***-**-254I - AUGUSTINE, LINDA	PORTFOLIO SERIES: CONS INV A	0.00	1.48	0.00	1.48	88.0	1.30
	ACCOUNT #: LSR010846	BUY 1 Units @0.0000						
07/31/2018	***-**-15IN - PENDRAK, JOHN	PORTFOLIO SERIES: CONS INV A	0.00	2.39	0.00	2.39	88.0	2.10
	ACCOUNT #: LSR010948	BUY 1 Units @0.0000						
07/31/2018	***-**-959I - FRANZ, PAUL	PORTFOLIO SERIES: CONS INV A	0.00	2.04	0.00	2.04	88.0	1.80
	ACCOUNT #: LSR010959	BUY 1 Units @0.0000						
07/31/2018	***-**-567I - FRANZ, ALICE	PORTFOLIO SERIES: CONS INV A	0.00	3.13	0.00	3.13	88.0	2.75
	ACCOUNT #: LSR010960	BUY 1 Units @0.0000						
07/31/2018	***-**-51IO - CAIN, TIMOTHY	PORTFOLIO SERIES: CONS INV A	0.00	2.02	0.00	2.02	88.0	1.78
	ACCOUNT #: LSR011007	BUY 1 Units @0.0000						
07/31/2018	***-**-761I - EVANS, DOLORES	PORTFOLIO SERIES: CONS INV A	0.00	1.15	0.00	1.15	88.0	1.01
	ACCOUNT #: LSR011024	BUY 1 Units @0.0000						
07/31/2018	***-**-944O - MAYO, DEBORAH	PORTFOLIO SERIES: CONS INV A	0.00	1.69	0.00	1.69	88.0	1.49
	ACCOUNT #: LSR011035	BUY 1 Units @0.0000						
07/31/2018	***-**-861I - SANGER, LAWRENCE	PORTFOLIO SERIES: CONS INV A	0.00	0.65	0.00	0.65	88.0	0.57
	ACCOUNT #: LSR011095	BUY 1 Units @0.0000						
07/31/2018	***-**-13IN - RHYMESTINE,	PORTFOLIO SERIES: CONS INV A	0.00	0.79	0.00	0.79	88.0	0.70
	ACCOUNT #: LSR011106	BUY 1 Units @0.0000						
07/31/2018	***-**-664J - PFAFF, GEORGE	PORTFOLIO SERIES: CONS INV A	0.00	4.26	0.00	4.26	88.0	3.75
	ACCOUNT #: LSR011184	BUY 1 Units @0.0000						
07/31/2018	***-**-02IN - BUSHEY, MELISSA	PORTFOLIO SERIES: CONS INV A	0.00	0.62	0.00	0.62	88.0	0.55
	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	88.0	1.05
	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	88.0	0.64
	ACCOUNT #: LSR010941	BUY 1 Units @0.0000						



COMMISSION STATEMENT

July 30, 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
 OVERRIDE TRANSACTIONS (continued)								
 <u>BROKER: KURT GRUENEWALD (continued)</u>								
07/31/2018	***-**-959I - FRANZ, PAUL ACCOUNT #: LSR010959	PUTNAM UTILITIES GROWTH AND INCOME BUY 1 Units @0.0000	0.00	1.27	0.00	1.27	88.0	1.12
07/31/2018	***-**-96IN - NESSIA, BONNIE ACCOUNT #: LSR011055	PUTNAM UTILITIES GROWTH AND INCOME BUY 1 Units @0.0000	0.00	1.53	0.00	1.53	88.0	1.35
07/31/2018	***-**-579I - RHYMESTINE, ACCOUNT #: LSR011082	PUTNAM UTILITIES GROWTH AND INCOME BUY 1 Units @0.0000	0.00	1.37	0.00	1.37	88.0	1.21
07/31/2018	***-**-861I - SANGER, LAWRENCE ACCOUNT #: LSR011095	PUTNAM UTILITIES GROWTH AND INCOME BUY 1 Units @0.0000	0.00	1.38	0.00	1.38	88.0	1.21
07/31/2018	***-**-02IN - BUSHEY, MELISSA ACCOUNT #: LSR011257	PUTNAM UTILITIES GROWTH AND INCOME BUY 1 Units @0.0000	0.00	0.47	0.00	0.47	88.0	0.41
07/31/2018	***-**-22IO - CLINTON, STEPHEN ACCOUNT #: LSR011684	PUTNAM 746792100 BUY 1 Units @0.0000	0.00	0.66	0.00	0.66	88.0	0.58
07/31/2018	***-**-15IN - PENDRAK, JOHN ACCOUNT #: LSR010948	PUTNAM ABSOLUTE RETURN 700 CL B BUY 1 Units @0.0000	0.00	2.30	0.00	2.30	88.0	2.02
07/31/2018	***-**-169I - EVANS, PAUL ACCOUNT #: LSR011026	PUTNAM ABSOLUTE RETURN 700 CL B BUY 1 Units @0.0000	0.00	1.18	0.00	1.18	88.0	1.04
07/31/2018	***-**-62IR - ROBBIANO, FBO ACCOUNT #: LSR011195	PUTNAM ABSOLUTE RETURN 700 CL B BUY 1 Units @0.0000	0.00	0.69	0.00	0.69	88.0	0.61
07/31/2018	***-**-52IO - EUSEPI, SUSAN ACCOUNT #: LSR011219	PUTNAM ABSOLUTE RETURN 700 CL B BUY 1 Units @0.0000	0.00	1.09	0.00	1.09	88.0	0.96
07/31/2018	***-**-51IN - GERACE, JOANNE ACCOUNT #: LSR011538	PUTNAM ABSOLUTE RETURN 700 CL B BUY 1 Units @0.0000	0.00	1.07	0.00	1.07	88.0	0.94
07/31/2018	***-**-235I - AUGUSTINE III, ACCOUNT #: LSR010845	PUTNAM ABSOLUTE RETURN 700 CL C BUY 1 Units @0.0000	0.00	4.23	0.00	4.23	88.0	3.72
07/31/2018	***-**-382I - SATTERLY, NEIL ACCOUNT #: LSR010867	PUTNAM ABSOLUTE RETURN 700 CL C BUY 1 Units @0.0000	0.00	14.24	0.00	14.24	88.0	12.53
07/31/2018	***-**-48IO - CLARK, PATRICK ACCOUNT #: LSR010911	PUTNAM ABSOLUTE RETURN 700 CL C BUY 1 Units @0.0000	0.00	9.11	0.00	9.11	88.0	8.02
07/31/2018	***-**-72IN - GAVALO, JULIE ACCOUNT #: LSR010921	PUTNAM ABSOLUTE RETURN 700 CL C BUY 1 Units @0.0000	0.00	9.04	0.00	9.04	88.0	7.96
07/31/2018	***-**-065I - LAZIO, THOMAS ACCOUNT #: LSR010979	PUTNAM ABSOLUTE RETURN 700 CL C BUY 1 Units @0.0000	0.00	7.06	0.00	7.06	88.0	6.21



COMMISSION STATEMENT

July 30, 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
 OVERRIDE TRANSACTIONS (continued) 								
 <u>BROKER: KURT GRUENEWALD (continued)</u> 								
07/31/2018	***-**-09IO - BATES, FBO MRS ACCOUNT #: LSR011117	PUTNAM ABSOLUTE RETURN 700 CL C BUY 1 Units @0.0000	0.00	8.86	0.00	8.86	88.0	7.80
07/31/2018	***-**-11IO - LYNN G. ACCOUNT #: LSR011239	PUTNAM ABSOLUTE RETURN 700 CL C BUY 1 Units @0.0000	0.00	13.41	0.00	13.41	88.0	11.80
07/31/2018	***-**-80IO - EVANS, RICHARD ACCOUNT #: LSR011276	PUTNAM ABSOLUTE RETURN 700 CL C BUY 1 Units @0.0000	0.00	7.51	0.00	7.51	88.0	6.61
07/31/2018	***-**-45IO - JOHNSON, GREGORY ACCOUNT #: LSR011421	PUTNAM ABSOLUTE RETURN 700 CL C BUY 1 Units @0.0000	0.00	8.97	0.00	8.97	88.0	7.89
07/31/2018	***-**-628I - SANGER, SANDRA ACCOUNT #: LSR010942	PUTNAM ABSOLUTE RETURN 700-A BUY 1 Units @0.0000	0.00	0.75	0.00	0.75	88.0	0.66
07/31/2018	***-**-944O - MAYO, DEBORAH ACCOUNT #: LSR011035	PUTNAM ABSOLUTE RETURN 700-A BUY 1 Units @0.0000	0.00	1.74	0.00	1.74	88.0	1.53
07/31/2018	***-**-63TR - EVANS, AUDREY J ACCOUNT #: LSR011036	PUTNAM ABSOLUTE RETURN 700-A BUY 1 Units @0.0000	0.00	2.26	0.00	2.26	88.0	1.99
07/31/2018	***-**-579I - RHYMESTINE, ACCOUNT #: LSR011082	PUTNAM ABSOLUTE RETURN 700-A BUY 1 Units @0.0000	0.00	0.82	0.00	0.82	88.0	0.72
07/31/2018	***-**-861I - SANGER, LAWRENCE ACCOUNT #: LSR011095	PUTNAM ABSOLUTE RETURN 700-A BUY 1 Units @0.0000	0.00	1.11	0.00	1.11	88.0	0.98
07/31/2018	***-**-02IN - BUSHEY, MELISSA ACCOUNT #: LSR011257	PUTNAM ABSOLUTE RETURN 700-A BUY 1 Units @0.0000	0.00	0.37	0.00	0.37	88.0	0.33
07/31/2018	***-**-653J - KOCHEM, CLINTON ACCOUNT #: LSR011298	PUTNAM ABSOLUTE RETURN 700-A BUY 1 Units @0.0000	0.00	0.75	0.00	0.75	88.0	0.66
07/31/2018	***-**-62IN - EATON, DAVID ACCOUNT #: LSR011315	PUTNAM ABSOLUTE RETURN 700-A BUY 1 Units @0.0000	0.00	0.96	0.00	0.96	88.0	0.84
07/31/2018	***-**-22IO - CLINTON, STEPHEN ACCOUNT #: LSR011684	PUTNAM ABSOLUTE RETURN 700-A BUY 1 Units @0.0000	0.00	0.68	0.00	0.68	88.0	0.60
07/31/2018	***-**-31IO - HARTZ, CLAUDIA ACCOUNT #: LSR010915	PUTNAM ASSET ALLOC BALANCED-C BUY 1 Units @0.0000	0.00	4.69	0.00	4.69	88.0	4.13
07/31/2018	***-**-31IO - HARTZ, CLAUDIA ACCOUNT #: LSR010915	PUTNAM CAPITAL SPECTRUM FD CL B BUY 1 Units @0.0000	0.00	0.65	0.00	0.65	88.0	0.57
07/31/2018	***-**-930I - SANGER, KEVIN ACCOUNT #: LSR010941	PUTNAM CAPITAL SPECTRUM FD CL B BUY 1 Units @0.0000	0.00	0.91	0.00	0.91	88.0	0.80



COMMISSION STATEMENT

July 30, 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
 OVERRIDE TRANSACTIONS (continued) 								
 <u>BROKER: KURT GRUENEWALD (continued)</u> 								
07/31/2018	***-**-366S - GRUENEWALD, ACCOUNT #: LSR010990	PUTNAM CAPITAL SPECTRUM FD CL B BUY 1 Units @0.0000	0.00	0.79	0.00	0.79	88.0	0.70
07/31/2018	***-**-51IO - CAIN, TIMOTHY ACCOUNT #: LSR011007	PUTNAM CAPITAL SPECTRUM FD CL B BUY 1 Units @0.0000	0.00	1.50	0.00	1.50	88.0	1.32
07/31/2018	***-**-579I - RHYMESTINE, ACCOUNT #: LSR011082	PUTNAM CAPITAL SPECTRUM FD CL B BUY 1 Units @0.0000	0.00	1.37	0.00	1.37	88.0	1.21
07/31/2018	***-**-73UT - COBB, CHRISTIAN ACCOUNT #: LSR011104	PUTNAM CAPITAL SPECTRUM FD CL B BUY 1 Units @0.0000	0.00	1.49	0.00	1.49	88.0	1.31
07/31/2018	***-**-67UT - COBB, ACCOUNT #: LSR011105	PUTNAM CAPITAL SPECTRUM FD CL B BUY 1 Units @0.0000	0.00	1.49	0.00	1.49	88.0	1.31
07/31/2018	***-**-992J - CORNACCHIA ACCOUNT #: LSR011157	PUTNAM CAPITAL SPECTRUM FD CL B BUY 1 Units @0.0000	0.00	0.46	0.00	0.46	88.0	0.40
07/31/2018	***-**-66IO - RUDD, MICHAEL ACCOUNT #: LSR011268	PUTNAM CAPITAL SPECTRUM FD CL B BUY 1 Units @0.0000	0.00	0.15	0.00	0.15	88.0	0.13
07/31/2018	***-**-21IO - RADELL, SANDRA ACCOUNT #: LSR011392	PUTNAM CAPITAL SPECTRUM FD CL B BUY 1 Units @0.0000	0.00	1.49	0.00	1.49	88.0	1.31
07/31/2018	***-**-22IO - CLINTON, STEPHEN ACCOUNT #: LSR011684	PUTNAM CAPITAL SPECTRUM FUND CL A BUY 1 Units @0.0000	0.00	0.74	0.00	0.74	88.0	0.65
07/31/2018	***-**-382I - SATTERLY, NEIL ACCOUNT #: LSR010867	PUTNAM CAPITAL SPECTRUM FUND CL C BUY 1 Units @0.0000	0.00	7.22	0.00	7.22	88.0	6.35
07/31/2018	***-**-980I - ACEE, ELIZABETH ACCOUNT #: LSR010885	PUTNAM CAPITAL SPECTRUM FUND CL C BUY 1 Units @0.0000	0.00	11.50	0.00	11.50	88.0	10.12
07/31/2018	***-**-44IO - MAYO, DEBORAH ACCOUNT #: LSR011079	PUTNAM CAPITAL SPECTRUM FUND CL C BUY 1 Units @0.0000	0.00	7.71	0.00	7.71	88.0	6.78
07/31/2018	***-**-09IO - BATES, FBO MRS ACCOUNT #: LSR011117	PUTNAM CAPITAL SPECTRUM FUND CL C BUY 1 Units @0.0000	0.00	16.46	0.00	16.46	88.0	14.48
07/31/2018	***-**-094I - KATRENA L ACCOUNT #: LSR011188	PUTNAM CAPITAL SPECTRUM FUND CL C BUY 1 Units @0.0000	0.00	6.46	0.00	6.46	88.0	5.68
07/31/2018	***-**-11IO - LYNN G. ACCOUNT #: LSR011239	PUTNAM CAPITAL SPECTRUM FUND CL C BUY 1 Units @0.0000	0.00	15.65	0.00	15.65	88.0	13.77
07/31/2018	***-**-45IO - JOHNSON, GREGORY ACCOUNT #: LSR011421	PUTNAM CAPITAL SPECTRUM FUND CL C BUY 1 Units @0.0000	0.00	10.32	0.00	10.32	88.0	9.08



COMMISSION STATEMENT

July 30, 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
 OVERRIDE TRANSACTIONS (continued)								
 <u>BROKER: KURT GRUENEWALD (continued)</u>								
07/31/2018	***-**-235I - AUGUSTINE III, ACCOUNT #: LSR010845	PUTNAM COMP BUY 1 Units @0.0000	0.00	5.69	0.00	5.69	88.0	5.01
07/31/2018	***-**-881I - EBERLEY, SUSAN ACCOUNT #: LSR010858	PUTNAM COMP BUY 1 Units @0.0000	0.00	4.86	0.00	4.86	88.0	4.28
07/31/2018	***-**-48IO - CLARK, PATRICK ACCOUNT #: LSR010911	PUTNAM COMP BUY 1 Units @0.0000	0.00	7.80	0.00	7.80	88.0	6.86
07/31/2018	***-**-72IN - GAVALO, JULIE ACCOUNT #: LSR010921	PUTNAM COMP BUY 1 Units @0.0000	0.00	6.73	0.00	6.73	88.0	5.92
07/31/2018	***-**-959J - FRANZ, PAUL ACCOUNT #: LSR010958	PUTNAM COMP BUY 1 Units @0.0000	0.00	10.14	0.00	10.14	88.0	8.92
07/31/2018	***-**-065I - LAZIO, THOMAS ACCOUNT #: LSR010979	PUTNAM COMP BUY 1 Units @0.0000	0.00	5.78	0.00	5.78	88.0	5.09
07/31/2018	***-**-420T - DEMETRI, AMELIA ACCOUNT #: LSR010994	PUTNAM COMP BUY 1 Units @0.0000	0.00	5.16	0.00	5.16	88.0	4.54
07/31/2018	***-**-169I - EVANS, PAUL ACCOUNT #: LSR011026	PUTNAM COMP BUY 1 Units @0.0000	0.00	4.13	0.00	4.13	88.0	3.63
07/31/2018	***-**-80IN - COBB, JAMES ACCOUNT #: LSR011042	PUTNAM COMP BUY 1 Units @0.0000	0.00	7.46	0.00	7.46	88.0	6.56
07/31/2018	***-**-00IO - LEE, GARY ACCOUNT #: LSR011059	PUTNAM COMP BUY 1 Units @0.0000	0.00	9.16	0.00	9.16	88.0	8.06
07/31/2018	***-**-09IO - BATES, FBO MRS ACCOUNT #: LSR011117	PUTNAM COMP BUY 1 Units @0.0000	0.00	9.16	0.00	9.16	88.0	8.06
07/31/2018	***-**-89IN - LEE, ROGER ACCOUNT #: LSR011166	PUTNAM COMP BUY 1 Units @0.0000	0.00	5.13	0.00	5.13	88.0	4.51
07/31/2018	***-**-094I - KATRENA L ACCOUNT #: LSR011188	PUTNAM COMP BUY 1 Units @0.0000	0.00	7.18	0.00	7.18	88.0	6.32
07/31/2018	***-**-11IO - LYNN G. ACCOUNT #: LSR011239	PUTNAM COMP BUY 1 Units @0.0000	0.00	9.49	0.00	9.49	88.0	8.35
07/31/2018	***-**-80IO - EVANS, RICHARD ACCOUNT #: LSR011276	PUTNAM COMP BUY 1 Units @0.0000	0.00	4.69	0.00	4.69	88.0	4.13
07/31/2018	***-**-376I - BERBEN, GAIL ACCOUNT #: LSR011380	PUTNAM COMP BUY 1 Units @0.0000	0.00	9.25	0.00	9.25	88.0	8.14



COMMISSION STATEMENT

July 30, 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
 OVERRIDE TRANSACTIONS (continued)								
 <u>BROKER: KURT GRUENEWALD (continued)</u>								
07/31/2018	***-**-45IO - JOHNSON, GREGORY	PUTNAM COMP	0.00	13.13	0.00	13.13	88.0	11.55
	ACCOUNT #: LSR011421	BUY 1 Units @0.0000						
07/31/2018	***-**-14IO - BUSHEY, MATTHEW	PUTNAM COMP	0.00	9.34	0.00	9.34	88.0	8.22
	ACCOUNT #: LSR011498	BUY 1 Units @0.0000						
07/31/2018	***-**-37IO - MCCLUSKY, MARK	PUTNAM COMP	0.00	6.88	0.00	6.88	88.0	6.05
	ACCOUNT #: LSR011579	BUY 1 Units @0.0000						
07/31/2018	***-**-86IN - LEE, KEVIN	PUTNAM COMP	0.00	7.79	0.00	7.79	88.0	6.86
	ACCOUNT #: LSR011613	BUY 1 Units @0.0000						
07/31/2018	***-**-51IO - SCALISE, MARY	PUTNAM COMP	0.00	4.36	0.00	4.36	88.0	3.84
	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	88.0	2.01
	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	88.0	0.59
	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	88.0	2.60
	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	88.0	0.70
	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	88.0	1.43
	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	88.0	0.99
	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	88.0	0.93
	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	88.0	1.04
	ACCOUNT #: LSR011164	BUY 1 Units @0.0000						
07/31/2018	***-**-64IO - PFAFF, GEORGE	PUTNAM CONV INCOME-GROWTH-B	0.00	1.40	0.00	1.40	88.0	1.23
	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	88.0	0.62
	ACCOUNT #: LSR011195	BUY 1 Units @0.0000						
07/31/2018	***-**-653I - KOCHEM, CLINTON	PUTNAM CONV INCOME-GROWTH-B	0.00	2.19	0.00	2.19	88.0	1.93
	ACCOUNT #: LSR011300	BUY 1 Units @0.0000						



COMMISSION STATEMENT

July 30, 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
 OVERRIDE TRANSACTIONS (continued) 								
 <u>BROKER: KURT GRUENEWALD (continued)</u> 								
07/31/2018	***-**-00IO - LEE, GARY	PUTNAM CONVERTIBLE SECURITIES CL C	0.00	14.00	0.00	14.00	88.0	12.32
	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	88.0	15.47
	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	88.0	6.36
	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	88.0	12.63
	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	88.0	1.95
	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	88.0	0.76
	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	88.0	0.57
	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	88.0	1.64
	ACCOUNT #: LSR010954	BUY 1 Units @0.0000						
07/31/2018	***-**-960J - MASTRANGELO,	PUTNAM DIVERSIFIED INCOME-B	0.00	2.02	0.00	2.02	88.0	1.78
	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	88.0	1.11
	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	88.0	8.72
	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	88.0	2.21
	ACCOUNT #: LSR011036	BUY 1 Units @0.0000						
07/31/2018	***-**-579I - RHYMESTINE,	PUTNAM DIVERSIFIED INCOME-B	0.00	1.17	0.00	1.17	88.0	1.03
	ACCOUNT #: LSR011082	BUY 1 Units @0.0000						
07/31/2018	***-**-861I - SANGER, LAWRENCE	PUTNAM DIVERSIFIED INCOME-B	0.00	1.49	0.00	1.49	88.0	1.31
	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	88.0	5.51
	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	88.0	0.60
	ACCOUNT #: LSR011321	BUY 1 Units @0.0000						



COMMISSION STATEMENT

July 30, 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
 OVERRIDE TRANSACTIONS (continued)								
 <u>BROKER: KURT GRUENEWALD (continued)</u>								
07/31/2018	***-**-960J - MASTRANGELO, ACCOUNT #: LSR010966	PUTNAM EQUITY INCOME FUND-B BUY 1 Units @0.0000	0.00	2.30	0.00	2.30	88.0	2.02
07/31/2018	***-**-664J - PFAFF, GEORGE ACCOUNT #: LSR011184	PUTNAM EQUITY INCOME FUND-B BUY 1 Units @0.0000	0.00	2.49	0.00	2.49	88.0	2.19
07/31/2018	***-**-169I - EVANS, PAUL ACCOUNT #: LSR011026	PUTNAM EQUITY SPECTRUM FD CL B BUY 1 Units @0.0000	0.00	1.00	0.00	1.00	88.0	0.88
07/31/2018	***-**-881J - EBERLEY, SUSAN ACCOUNT #: LSR010856	PUTNAM EQUITY SPECTRUM FD CL C BUY 1 Units @0.0000	0.00	11.65	0.00	11.65	88.0	10.25
07/31/2018	***-**-48IO - CLARK, PATRICK ACCOUNT #: LSR010911	PUTNAM EQUITY SPECTRUM FD CL C BUY 1 Units @0.0000	0.00	24.84	0.00	24.84	88.0	21.86
07/31/2018	***-**-031O - MCVOY, ROBERT ACCOUNT #: LSR010916	PUTNAM EQUITY SPECTRUM FD CL C BUY 1 Units @0.0000	0.00	8.70	0.00	8.70	88.0	7.66
07/31/2018	***-**-72IN - GAVALO, JULIE ACCOUNT #: LSR010921	PUTNAM EQUITY SPECTRUM FD CL C BUY 1 Units @0.0000	0.00	16.39	0.00	16.39	88.0	14.42
07/31/2018	***-**-959I - FRANZ, PAUL ACCOUNT #: LSR010959	PUTNAM EQUITY SPECTRUM FD CL C BUY 1 Units @0.0000	0.00	10.11	0.00	10.11	88.0	8.90
07/31/2018	***-**-065I - LAZIO, THOMAS ACCOUNT #: LSR010979	PUTNAM EQUITY SPECTRUM FD CL C BUY 1 Units @0.0000	0.00	6.67	0.00	6.67	88.0	5.87
07/31/2018	***-**-73TR - WESTCOTT IRRVOC ACCOUNT #: LSR011001	PUTNAM EQUITY SPECTRUM FD CL C BUY 1 Units @0.0000	0.00	7.06	0.00	7.06	88.0	6.21
07/31/2018	***-**-80IN - COBB, JAMES ACCOUNT #: LSR011042	PUTNAM EQUITY SPECTRUM FD CL C BUY 1 Units @0.0000	0.00	8.20	0.00	8.20	88.0	7.22
07/31/2018	***-**-44IO - MAYO, DEBORAH ACCOUNT #: LSR011079	PUTNAM EQUITY SPECTRUM FD CL C BUY 1 Units @0.0000	0.00	8.36	0.00	8.36	88.0	7.36
07/31/2018	***-**-09IO - BATES, FBO MRS ACCOUNT #: LSR011117	PUTNAM EQUITY SPECTRUM FD CL C BUY 1 Units @0.0000	0.00	8.71	0.00	8.71	88.0	7.66
07/31/2018	***-**-89IN - LEE, ROGER ACCOUNT #: LSR011166	PUTNAM EQUITY SPECTRUM FD CL C BUY 1 Units @0.0000	0.00	12.35	0.00	12.35	88.0	10.87
07/31/2018	***-**-473J - HUSTON, ACCOUNT #: LSR011228	PUTNAM EQUITY SPECTRUM FD CL C BUY 1 Units @0.0000	0.00	9.39	0.00	9.39	88.0	8.26
07/31/2018	***-**-11IO - LYNN G. ACCOUNT #: LSR011239	PUTNAM EQUITY SPECTRUM FD CL C BUY 1 Units @0.0000	0.00	10.63	0.00	10.63	88.0	9.35



COMMISSION STATEMENT

July 30, 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
 OVERRIDE TRANSACTIONS (continued) 								
 BROKER: KURT GRUENEWALD (continued) 								
07/31/2018	***-**-80IO - EVANS, RICHARD	PUTNAM EQUITY SPECTRUM FD CL C	0.00	9.12	0.00	9.12	88.0	8.03
	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	88.0	4.97
	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	88.0	2.86
	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	88.0	0.25
	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	88.0	0.26
	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	88.0	1.78
	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	88.0	0.43
	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	88.0	2.96
	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	88.0	0.70
	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	88.0	1.21
	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	88.0	1.76
	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	88.0	0.94
	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	88.0	1.36
	ACCOUNT #: LSR011036	BUY 1 Units @0.0000						
07/31/2018	***-**-306X - COBB, CHERRYL	PUTNAM GLOBAL CONSUMER FUND CL B	0.00	1.25	0.00	1.25	88.0	1.10
	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	88.0	1.07
	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	88.0	1.17
	ACCOUNT #: LSR011091	BUY 1 Units @0.0000						



COMMISSION STATEMENT

July 30, 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
 OVERRIDE TRANSACTIONS (continued)								
 BROKER: KURT GRUENEWALD (continued)								
07/31/2018	***-**-506J - CURRIERE JR, MR	PUTNAM GLOBAL CONSUMER FUND CL B	0.00	1.50	0.00	1.50	88.0	1.32
	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	88.0	1.94
	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	88.0	1.69
	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	88.0	1.08
	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	88.0	1.07
	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	88.0	0.05
	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	88.0	2.37
	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	88.0	1.43
	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	88.0	1.11
	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	88.0	0.57
	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	88.0	1.76
	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	88.0	0.71
	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	88.0	4.52
	ACCOUNT #: LSR010979	BUY 1 Units @0.0000						
07/31/2018	***-**-44IO - MAYO, DEBORAH	PUTNAM GLOBAL CONSUMER FUND CL C	0.00	12.36	0.00	12.36	88.0	10.88
	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	88.0	6.69
	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	88.0	9.12
	ACCOUNT #: LSR011239	BUY 1 Units @0.0000						



COMMISSION STATEMENT

July 30, 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
<u> OVERRIDE TRANSACTIONS (continued) </u>								
<u>BROKER: KURT GRUENEWALD (continued)</u>								
07/31/2018	***-**-37IO - MCCLUSKY, MARK	PUTNAM GLOBAL CONSUMER FUND CL C	0.00	7.35	0.00	7.35	88.0	6.47
	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	88.0	4.06
	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	88.0	1.24
	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	88.0	0.86
	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	88.0	1.05
	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	88.0	0.11
	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	88.0	0.80
	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	88.0	0.62
	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	88.0	0.55
	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	88.0	2.36
	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	88.0	2.07
	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	88.0	0.91
	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	88.0	2.04
	ACCOUNT #: LSR011036	BUY 1 Units @0.0000						
07/31/2018	***-**-62IR - ROBBIANO, FBO	PUTNAM GLOBAL TELECOMMUNICATIONS B	0.00	0.57	0.00	0.57	88.0	0.50
	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	88.0	4.60
	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	88.0	0.11
	ACCOUNT #: LSR010867	BUY 1 Units @0.0000						



COMMISSION STATEMENT

July 30, 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
 OVERRIDE TRANSACTIONS (continued) 								
 BROKER: KURT GRUENEWALD (continued) 								
07/31/2018	***-**-881I - EBERLEY, SUSAN ACCOUNT #: LSR010858	PUTNAM GROWTH OPPORTUNITIES FUND CL BUY 1 Units @0.0000	0.00	9.62	0.00	9.62	88.0	8.47
07/31/2018	***-**-382I - SATTERLY, NEIL ACCOUNT #: LSR010867	PUTNAM GROWTH OPPORTUNITIES FUND CL BUY 1 Units @0.0000	0.00	9.70	0.00	9.70	88.0	8.54
07/31/2018	***-**-420T - DEMETRI, AMELIA ACCOUNT #: LSR010994	PUTNAM GROWTH OPPORTUNITIES FUND CL BUY 1 Units @0.0000	0.00	4.00	0.00	4.00	88.0	3.52
07/31/2018	***-**-169I - EVANS, PAUL ACCOUNT #: LSR011026	PUTNAM GROWTH OPPORTUNITIES FUND CL BUY 1 Units @0.0000	0.00	6.82	0.00	6.82	88.0	6.00
07/31/2018	***-**-80IN - COBB, JAMES ACCOUNT #: LSR011042	PUTNAM GROWTH OPPORTUNITIES FUND CL BUY 1 Units @0.0000	0.00	8.70	0.00	8.70	88.0	7.66
07/31/2018	***-**-14IO - BUSHEY, MATTHEW ACCOUNT #: LSR011498	PUTNAM GROWTH OPPORTUNITIES FUND CL BUY 1 Units @0.0000	0.00	9.42	0.00	9.42	88.0	8.29
07/31/2018	***-**-51IO - CAIN, TIMOTHY ACCOUNT #: LSR011007	PUTNAM GROWTH OPPORTUNITIES FUND CL BUY 1 Units @0.0000	0.00	2.55	0.00	2.55	88.0	2.24
07/31/2018	***-**-653I - KOCHER, CLINTON ACCOUNT #: LSR011300	PUTNAM GROWTH OPPORTUNITIES FUND CL BUY 1 Units @0.0000	0.00	3.05	0.00	3.05	88.0	2.68
07/31/2018	***-**-13IO - ROTH, KAREN ACCOUNT #: LSR011484	PUTNAM GROWTH OPPORTUNITIES FUND CL BUY 1 Units @0.0000	0.00	1.59	0.00	1.59	88.0	1.40
07/31/2018	***-**-31IO - HARTZ, CLAUDIA ACCOUNT #: LSR010915	PUTNAM HEALTH SCIENCES TR-B BUY 1 Units @0.0000	0.00	0.89	0.00	0.89	88.0	0.78
07/31/2018	***-**-930I - SANGER, KEVIN ACCOUNT #: LSR010941	PUTNAM HEALTH SCIENCES TR-B BUY 1 Units @0.0000	0.00	0.69	0.00	0.69	88.0	0.61
07/31/2018	***-**-567I - FRANZ, ALICE ACCOUNT #: LSR010960	PUTNAM HEALTH SCIENCES TR-B BUY 1 Units @0.0000	0.00	2.49	0.00	2.49	88.0	2.19
07/31/2018	***-**-960J - MASTRANGELO, ACCOUNT #: LSR010966	PUTNAM HEALTH SCIENCES TR-B BUY 1 Units @0.0000	0.00	1.27	0.00	1.27	88.0	1.12
07/31/2018	***-**-761I - EVANS, DOLORES ACCOUNT #: LSR011024	PUTNAM HEALTH SCIENCES TR-B BUY 1 Units @0.0000	0.00	2.06	0.00	2.06	88.0	1.81
07/31/2018	***-**-944O - MAYO, DEBORAH ACCOUNT #: LSR011035	PUTNAM HEALTH SCIENCES TR-B BUY 1 Units @0.0000	0.00	1.71	0.00	1.71	88.0	1.50
07/31/2018	***-**-579I - RHYMESTINE, ACCOUNT #: LSR011082	PUTNAM HEALTH SCIENCES TR-B BUY 1 Units @0.0000	0.00	2.24	0.00	2.24	88.0	1.97



COMMISSION STATEMENT

July 30, 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
 OVERRIDE TRANSACTIONS (continued)								
 <u>BROKER: KURT GRUENEWALD (continued)</u>								
07/31/2018	***-**-326I - GRANDE, FBO MR	PUTNAM HEALTH SCIENCES TR-B	0.00	1.36	0.00	1.36	88.0	1.20
	ACCOUNT #: LSR011091	BUY 1 Units @0.0000						
07/31/2018	***-**-48IO - ANACKER, FBO MRS	PUTNAM HEALTH SCIENCES TR-B	0.00	2.13	0.00	2.13	88.0	1.87
	ACCOUNT #: LSR011164	BUY 1 Units @0.0000						
07/31/2018	***-**-664J - PFAFF, GEORGE	PUTNAM HEALTH SCIENCES TR-B	0.00	2.10	0.00	2.10	88.0	1.85
	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	88.0	0.73
	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	88.0	0.80
	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	88.0	0.96
	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	88.0	0.92
	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	88.0	2.69
	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	88.0	1.57
	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	88.0	0.18
	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	88.0	0.45
	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	88.0	1.27
	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	88.0	0.70
	ACCOUNT #: LSR011602	BUY 1 Units @0.0000						
07/31/2018	***-**-12IR - GRUENEWALD,	PUTNAM HEALTH SCIENCES TR-B	0.00	0.69	0.00	0.69	88.0	0.61
	ACCOUNT #: LSR011614	BUY 1 Units @0.0000						
07/31/2018	***-**-03IO - MASTRANGELO,	PUTNAM HEALTH SCIENCES TR-B	0.00	1.23	0.00	1.23	88.0	1.08
	ACCOUNT #: LSR011679	BUY 1 Units @0.0000						
07/31/2018	***-**-45IN - WILLIAMSON,	PUTNAM HEALTH SCIENCES TR-B	0.00	0.69	0.00	0.69	88.0	0.61
	ACCOUNT #: LSR011751	BUY 1 Units @0.0000						



COMMISSION STATEMENT

July 30, 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
 OVERRIDE TRANSACTIONS (continued)								
 <u>BROKER: KURT GRUENEWALD (continued)</u>								
07/31/2018	***-**-22IO - CLINTON, STEPHEN	PUTNAM INTL GROWTH & INC-A	0.00	1.08	0.00	1.08	88.0	0.95
	ACCOUNT #: LSR011684	BUY 1 Units @0.0000						
07/31/2018	***-**-382K - SATTERLY, NEIL	PUTNAM INVESTMENTS MULTI-CAP CORE C	0.00	1.32	0.00	1.32	88.0	1.16
	ACCOUNT #: LSR010875	BUY 1 Units @0.0000						
07/31/2018	***-**-653J - KOCHER, CLINTON	PUTNAM INVESTMENTS MULTI-CAP CORE C	0.00	1.32	0.00	1.32	88.0	1.16
	ACCOUNT #: LSR011298	BUY 1 Units @0.0000						
07/31/2018	***-**-382K - SATTERLY, NEIL	PUTNAM INVESTORS CLASS C	0.00	3.14	0.00	3.14	88.0	2.76
	ACCOUNT #: LSR010875	BUY 1 Units @0.0000						
07/31/2018	***-**-653J - KOCHER, CLINTON	PUTNAM INVESTORS CLASS C	0.00	3.13	0.00	3.13	88.0	2.75
	ACCOUNT #: LSR011298	BUY 1 Units @0.0000						
07/31/2018	***-**-22IO - CLINTON, STEPHEN	PUTNAM SMALL CAP VALUE FUND-A	0.00	1.41	0.00	1.41	88.0	1.24
	ACCOUNT #: LSR011684	BUY 1 Units @0.0000						
07/31/2018	***-**-22IO - CLINTON, STEPHEN	PUTNAM U.S. GOVT INCOME TR-A	0.00	0.62	0.00	0.62	88.0	0.55
	ACCOUNT #: LSR011684	BUY 1 Units @0.0000						
07/31/2018	***-**-63TR - EVANS, AUDREY J	PUTNAM U.S. GOVT INCOME TR-B	0.00	0.89	0.00	0.89	88.0	0.78
	ACCOUNT #: LSR011036	BUY 1 Units @0.0000						
07/31/2018	***-**-254I - AUGUSTINE, LINDA	PUTNAM UTILITIES GR & INC-B	0.00	0.93	0.00	0.93	88.0	0.82
	ACCOUNT #: LSR010846	BUY 1 Units @0.0000						
07/31/2018	***-**-881J - EBERLEY, SUSAN	PUTNAM UTILITIES GR & INC-B	0.00	1.31	0.00	1.31	88.0	1.15
	ACCOUNT #: LSR010856	BUY 1 Units @0.0000						
07/31/2018	***-**-949I - ACEE, JOSPEH	PUTNAM UTILITIES GR & INC-B	0.00	0.68	0.00	0.68	88.0	0.60
	ACCOUNT #: LSR010908	BUY 1 Units @0.0000						
07/31/2018	***-**-31IO - HARTZ, CLAUDIA	PUTNAM UTILITIES GR & INC-B	0.00	0.50	0.00	0.50	88.0	0.44
	ACCOUNT #: LSR010915	BUY 1 Units @0.0000						
07/31/2018	***-**-930I - SANGER, KEVIN	PUTNAM UTILITIES GR & INC-B	0.00	0.22	0.00	0.22	88.0	0.19
	ACCOUNT #: LSR010941	BUY 1 Units @0.0000						
07/31/2018	***-**-15IN - PENDRAK, JOHN	PUTNAM UTILITIES GR & INC-B	0.00	2.08	0.00	2.08	88.0	1.83
	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	88.0	0.34
	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	88.0	1.79
	ACCOUNT #: LSR010966	BUY 1 Units @0.0000						



COMMISSION STATEMENT

July 30, 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
 OVERRIDE TRANSACTIONS (continued)								
 <u>BROKER: KURT GRUENEWALD (continued)</u>								
07/31/2018	***-**-51IO - CAIN, TIMOTHY	PUTNAM UTILITIES GR & INC-B	0.00	1.13	0.00	1.13	88.0	0.99
	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	88.0	1.14
	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	88.0	1.54
	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	88.0	1.47
	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	88.0	0.58
	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	88.0	0.59
	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	88.0	0.77
	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	88.0	0.91
	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	88.0	1.12
	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	88.0	0.71
	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	88.0	0.84
	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	88.0	1.75
	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	88.0	0.99
	ACCOUNT #: LSR011007	BUY 1 Units @0.0000						
07/31/2018	***-**-761I - EVANS, DOLORES	REAL ESTATE FUND A	0.00	2.79	0.00	2.79	88.0	2.46
	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	88.0	0.52
	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	88.0	0.85
	ACCOUNT #: LSR011054	BUY 1 Units @0.0000						



COMMISSION STATEMENT

July 30, 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
 OVERRIDE TRANSACTIONS (continued)								
 <u>BROKER: KURT GRUENEWALD (continued)</u>								
07/31/2018	***-**-326I - GRANDE, FBO MR	REAL ESTATE FUND A	0.00	1.06	0.00	1.06	88.0	0.93
	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	88.0	1.19
	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	88.0	0.43
	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	88.0	1.08
	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	88.0	1.28
	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	88.0	1.38
	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	88.0	1.22
	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	88.0	1.31
	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	88.0	0.38
	ACCOUNT #: LSR011195	BUY 1 Units @0.0000						
07/31/2018	***-**-653I - KOHEM, CLINTON	REAL ESTATE FUND A	0.00	1.41	0.00	1.41	88.0	1.24
	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	88.0	0.52
	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	88.0	8.66
	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	88.0	6.44
	ACCOUNT #: LSR010911	BUY 1 Units @0.0000						
07/31/2018	***-**-72IN - GAVALO, JULIE	REAL ESTATE FUND C	0.00	7.92	0.00	7.92	88.0	6.97
	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	88.0	5.16
	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	88.0	6.82
	ACCOUNT #: LSR011001	BUY 1 Units @0.0000						



COMMISSION STATEMENT

July 30, 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
 OVERRIDE TRANSACTIONS (continued)								
 <u>BROKER: KURT GRUENEWALD (continued)</u>								
07/31/2018	***-**-73TR - WESTCOTT IRRVOC	REAL ESTATE FUND C	0.00	2.09	0.00	2.09	88.0	1.84
	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	88.0	8.32
	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	88.0	3.96
	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	88.0	10.82
	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	88.0	3.42
	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	88.0	5.86
	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	88.0	2.01
	ACCOUNT #: LSR011763	BUY 1 Units @0.0000						
07/31/2018	***-**-287J - HINCKLEY,	RISING DIVIDENDS FUND A	0.00	0.56	0.00	0.56	88.0	0.49
	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	88.0	1.19
	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	88.0	0.80
	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	88.0	2.06
	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	88.0	0.98
	ACCOUNT #: LSR010959	BUY 1 Units @0.0000						
07/31/2018	***-**-366I - GRUENEWALD,	RISING DIVIDENDS FUND A	0.00	1.33	0.00	1.33	88.0	1.17
	ACCOUNT #: LSR010989	BUY 1 Units @0.0000						
07/31/2018	***-**-761I - EVANS, DOLORES	RISING DIVIDENDS FUND A	0.00	8.07	0.00	8.07	88.0	7.10
	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	88.0	0.99
	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	88.0	1.86
	ACCOUNT #: LSR011040	BUY 1 Units @0.0000						



COMMISSION STATEMENT

July 30, 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
 OVERRIDE TRANSACTIONS (continued)								
 <u>BROKER: KURT GRUENEWALD (continued)</u>								
07/31/2018	***-**-96IN - NESSIA, BONNIE	RISING DIVIDENDS FUND A	0.00	2.36	0.00	2.36	88.0	2.08
	ACCOUNT #: LSR011055	BUY 1 Units @0.0000						
07/31/2018	***-**-579I - RHYMESTINE,	RISING DIVIDENDS FUND A	0.00	2.65	0.00	2.65	88.0	2.33
	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	88.0	1.73
	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	88.0	1.54
	ACCOUNT #: LSR011095	BUY 1 Units @0.0000						
07/31/2018	***-**-13IN - RHYMESTINE,	RISING DIVIDENDS FUND A	0.00	1.14	0.00	1.14	88.0	1.00
	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	88.0	0.71
	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	88.0	0.81
	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	88.0	1.10
	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	88.0	0.95
	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	88.0	1.11
	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	88.0	0.84
	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	88.0	0.33
	ACCOUNT #: LSR011257	BUY 1 Units @0.0000						
07/31/2018	***-**-7140 - LINES, JUDITH	ROCH. LIMITED TERM NEW YORK MUNICI	0.00	2.03	0.00	2.03	88.0	1.79
	ACCOUNT #: LSR011763	BUY 1 Units @0.0000						
07/31/2018	***-**-80IN - COBB, JAMES	ROCHESTER NATIONAL MUNICIPALS A	0.00	2.65	0.00	2.65	88.0	2.33
	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	88.0	2.96
	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	88.0	4.07
	ACCOUNT #: LSR010979	BUY 1 Units @0.0000						



COMMISSION STATEMENT

July 30, 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
 OVERRIDE TRANSACTIONS (continued) 								
 <u>BROKER: KURT GRUENEWALD (continued)</u> 								
07/31/2018	***-**-28IN - BYWATER, KIM	SMALL- & MID- CAP VALUE FUND C	0.00	1.79	0.00	1.79	88.0	1.58
	ACCOUNT #: LSR011995	BUY 1 Units @0.0000						
07/31/2018	***-**-714O - LINES, JUDITH	STRATEGIC INCOME FUND C	0.00	1.30	0.00	1.30	88.0	1.14
	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	88.0	1.56
	ACCOUNT #: LSR011321	BUY 1 Units @0.0000						
07/31/2018	***-**-702I - KOCHEM, MICHAEL	VOYA GLOBAL REAL ESTATE CLASS A	0.00	0.92	0.00	0.92	88.0	0.81
	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	88.0	0.08
	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	88.0	0.69
	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	88.0	4.07
	ACCOUNT #: LSR011106	BUY 1 Units @0.0000						
		* KURT GRUENEWALD SUBTOTAL *	\$27,638.39	\$2,034.07	\$0.00	\$2,034.07		\$1,789.96
		*** OVERRIDE TRANSACTIONS TOTAL ***	\$27,638.39	\$2,034.07	\$0.00	\$2,034.07		\$1,789.96



BROKER #: A76
BRANCH #01047 - 47 - GRIFFITH

				GROSS	CLEARING	NET	BROKER	
DATE	CLIENT	INVESTMENT	AMOUNT	COMMISSION	CHARGE	COMMISSION	RATE	COMMISSION
<u>BROKER COMMISSION TOTALS</u>								
Broker Transactions							\$798.71	
Split Transactions							\$0.00	
Override Transactions							\$1,789.96	
Adjustments							\$0.00	
Payroll Draw							\$0.00	
Base Salary							\$0.00	
Prior Period Balance							\$0.00	
FINRA Assessment							\$0.00	
SIPC Assessment							\$0.00	
Net Commission Earned							\$2,588.67	
Year-to-date Earnings							\$154,032.14	