



COMMISSION STATEMENT

January 01, 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>								
12/12/2017	***-**-6762 - MISHLANIE, ACCOUNT #: 00551362260	37252M108 BUY 5 Units @21.1500	115.00	5.75	0.00	5.75	88.0	5.06
* MUTUAL FUNDS SUBTOTAL *			\$115.00	\$5.75	\$0.00	\$5.75		\$5.06
<u>PRODUCT CATEGORY: STOCKS</u>								
12/27/2017	***-**-53TR - SABANOSH, ALAN R ACCOUNT #: LSR010917	NORDIC AMERICAN TANKERS LIMITE COM SELL 400 Units @2.5100	1,004.00	49.99	23.00	26.99	88.0	23.75
* STOCKS SUBTOTAL *			\$1,004.00	\$49.99	\$23.00	\$26.99		\$23.75
<u>PRODUCT CATEGORY: VARIABLE ANNUITIES</u>								
12/29/2017	***-**-077O - GAUTHIER, LOUIS ACCOUNT #: 828693	MASS MUTUAL VA BUY 1 Units @0.0000	0.00	4.31	0.00	4.31	88.0	3.79
12/29/2017	***-**-80IN - GRIFFITH, DAVID ACCOUNT #: 834388	MASS MUTUAL VA BUY 1 Units @0.0000	0.00	0.55	0.00	0.55	88.0	0.48
* VARIABLE ANNUITIES SUBTOTAL *			\$0.00	\$4.86	\$0.00	\$4.86		\$4.27
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
12/26/2017	***-**-656I - SMOLA, STANLEY ACCOUNT #: LSR010868	CAPITAL APPRECIATION C BUY 1 Units @0.0000	0.00	9.44	0.00	9.44	88.0	8.31
12/26/2017	***-**-077I - GAUTHIER, LOUIS ACCOUNT #: LSR010901	EQUITY INCOME FUND, INC. A BUY 1 Units @0.0000	0.00	1.51	0.00	1.51	88.0	1.33
12/26/2017	***-**-474J - HAGAN JR, ACCOUNT #: LSR010993	EQUITY INCOME FUND, INC. A BUY 1 Units @0.0000	0.00	0.85	0.00	0.85	88.0	0.75
12/26/2017	***-**-41IN - HULL, ELMINA ACCOUNT #: LSR010999	EQUITY INCOME FUND, INC. A BUY 1 Units @0.0000	0.00	3.66	0.00	3.66	88.0	3.22
12/26/2017	***-**-369I - DAVIS, BRUCE ACCOUNT #: LSR011029	EQUITY INCOME FUND, INC. A BUY 1 Units @0.0000	0.00	1.89	0.00	1.89	88.0	1.66
12/26/2017	***-**-698J - FEISTHAMEL, MR ACCOUNT #: LSR011137	EQUITY INCOME FUND, INC. A BUY 1 Units @0.0000	0.00	0.39	0.00	0.39	88.0	0.34
12/26/2017	***-**-718J - LOWE, GREGORY ACCOUNT #: LSR011914	EQUITY INCOME FUND, INC. A BUY 1 Units @0.0000	0.00	1.16	0.00	1.16	88.0	1.02
12/26/2017	***-**-679I - MURSCH JR, ACCOUNT #: LSR010888	EQUITY INCOME FUND, INC. B BUY 1 Units @0.0000	0.00	0.23	0.00	0.23	88.0	0.20



COMMISSION STATEMENT

January 01, 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)								
12/26/2017	***-**-61IN - GORCZYNSKI, ACCOUNT #: LSR010844	GLOBAL OPPORTUNITIES FUND C BUY 1 Units @0.0000	0.00	48.46	0.00	48.46	88.0	42.64
12/26/2017	***-**-077I - GAUTHIER, LOUIS ACCOUNT #: LSR010901	GOLD & SPECIAL MINERALS A BUY 1 Units @0.0000	0.00	0.90	0.00	0.90	88.0	0.79
12/26/2017	***-**-369I - DAVIS, BRUCE ACCOUNT #: LSR011029	GOLD & SPECIAL MINERALS A BUY 1 Units @0.0000	0.00	0.62	0.00	0.62	88.0	0.55
12/26/2017	***-**-679I - MURSCH JR, ACCOUNT #: LSR010888	GOLD & SPECIAL MINERALS FUND B BUY 1 Units @0.0000	0.00	0.05	0.00	0.05	88.0	0.04
12/26/2017	***-**-759I - HARDY, KAREN ACCOUNT #: LSR010972	HARTFORD CHECKS AND BALANCED FUND C BUY 1 Units @0.0000	0.00	0.78	0.00	0.78	88.0	0.69
12/26/2017	***-**-24TR - SCOTELLARO, L ACCOUNT #: LSR010973	HARTFORD CHECKS AND BALANCED FUND C BUY 1 Units @0.0000	0.00	1.10	0.00	1.10	88.0	0.97
12/26/2017	***-**-369I - DAVIS, BRUCE ACCOUNT #: LSR011029	HARTFORD CHECKS AND BALANCED FUND C BUY 1 Units @0.0000	0.00	2.05	0.00	2.05	88.0	1.80
12/26/2017	***-**-679I - MURSCH JR, ACCOUNT #: LSR010888	INTERNATIONAL DIVERSIFIED FUND B BUY 1 Units @0.0000	0.00	0.17	0.00	0.17	88.0	0.15
12/26/2017	***-**-319I - HILLEBRAND, JOAN ACCOUNT #: LSR011002	INTERNATIONAL DIVERSIFIED FUND B BUY 1 Units @0.0000	0.00	3.95	0.00	3.95	88.0	3.48
12/26/2017	***-**-077I - GAUTHIER, LOUIS ACCOUNT #: LSR010901	INTERNATIONAL GROWTH FUND A BUY 1 Units @0.0000	0.00	2.01	0.00	2.01	88.0	1.77
12/26/2017	***-**-656I - SMOLA, STANLEY ACCOUNT #: LSR010868	INTERNATIONAL GROWTH FUND C BUY 1 Units @0.0000	0.00	9.50	0.00	9.50	88.0	8.36
12/26/2017	***-**-13IR - E, KAREN ACCOUNT #: LSR011953	MASSACHUSETTS INVESTORS TRUST-A BUY 1 Units @0.0000	0.00	0.01	0.00	0.01	88.0	0.01
12/26/2017	***-**-13IR - E, KAREN ACCOUNT #: LSR011953	MASSACHUSETTS INVESTORS TRUST-B BUY 1 Units @0.0000	0.00	0.66	0.00	0.66	88.0	0.58
12/26/2017	***-**-355I - CRIMMINS, KAREN ACCOUNT #: LSR011077	MFS AGGRESS GROWTH ALLOCATION FD-B BUY 1 Units @0.0000	0.00	0.61	0.00	0.61	88.0	0.54
12/26/2017	***-**-355I - CRIMMINS, KAREN ACCOUNT #: LSR011077	MFS CONSERVATIVE ALLOCATION FUND-B BUY 1 Units @0.0000	0.00	0.73	0.00	0.73	88.0	0.64
12/26/2017	***-**-13IR - E, KAREN ACCOUNT #: LSR011953	MFS EMERGING MARKETS DEBT FUND-A BUY 1 Units @0.0000	0.00	0.06	0.00	0.06	88.0	0.05



COMMISSION STATEMENT

January 01, 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)								
12/26/2017	***-**-13IR - E, KAREN ACCOUNT #: LSR011953	MFS EMERGING MKT DEBT CL B BUY 1 Units @0.0000	0.00	0.27	0.00	0.27	88.0	0.24
12/26/2017	***-**-355I - CRIMMINS, KAREN ACCOUNT #: LSR011077	MFS GLOBAL ALTERNATIVE STRAT B BUY 1 Units @0.0000	0.00	1.57	0.00	1.57	88.0	1.38
12/26/2017	***-**-94IO - PERRITANO, ACCOUNT #: LSR011099	MFS GLOBAL MULTI ASSET FUND CLASS B BUY 1 Units @0.0000	0.00	2.19	0.00	2.19	88.0	1.93
12/26/2017	***-**-13IR - E, KAREN ACCOUNT #: LSR011953	MFS GLOBAL TOTAL RETURN FUND-A BUY 1 Units @0.0000	0.00	0.07	0.00	0.07	88.0	0.06
12/26/2017	***-**-355I - CRIMMINS, KAREN ACCOUNT #: LSR011077	MFS GLOBAL TOTAL RETURN FUND-B BUY 1 Units @0.0000	0.00	2.55	0.00	2.55	88.0	2.24
12/26/2017	***-**-73IN - SCOTELLARO IV, ACCOUNT #: LSR011086	MFS GLOBAL TOTAL RETURN FUND-B BUY 1 Units @0.0000	0.00	2.47	0.00	2.47	88.0	2.17
12/26/2017	***-**-94IO - PERRITANO, ACCOUNT #: LSR011099	MFS GLOBAL TOTAL RETURN FUND-B BUY 1 Units @0.0000	0.00	2.40	0.00	2.40	88.0	2.11
12/26/2017	***-**-187I - WASZKIEWICZ, FBO ACCOUNT #: LSR011144	MFS GLOBAL TOTAL RETURN FUND-B BUY 1 Units @0.0000	0.00	2.10	0.00	2.10	88.0	1.85
12/26/2017	***-**-43IR - HARDY, FBO MR ACCOUNT #: LSR011175	MFS GLOBAL TOTAL RETURN FUND-B BUY 1 Units @0.0000	0.00	1.54	0.00	1.54	88.0	1.36
12/26/2017	***-**-59IR - HARDY, FBO MRS ACCOUNT #: LSR011177	MFS GLOBAL TOTAL RETURN FUND-B BUY 1 Units @0.0000	0.00	1.30	0.00	1.30	88.0	1.14
12/26/2017	***-**-40UT - BROWN CUST ACCOUNT #: LSR011178	MFS GLOBAL TOTAL RETURN FUND-B BUY 1 Units @0.0000	0.00	0.23	0.00	0.23	88.0	0.20
12/26/2017	***-**-387I - KINNEY, DOUGLAS ACCOUNT #: LSR011322	MFS GLOBAL TOTAL RETURN FUND-B BUY 1 Units @0.0000	0.00	1.24	0.00	1.24	88.0	1.09
12/26/2017	***-**-1300 - MUMIN, ACCOUNT #: LSR011333	MFS GLOBAL TOTAL RETURN FUND-B BUY 1 Units @0.0000	0.00	1.67	0.00	1.67	88.0	1.47
12/26/2017	***-**-3017 - MUMIN, MESSIAH ACCOUNT #: LSR011334	MFS GLOBAL TOTAL RETURN FUND-B BUY 1 Units @0.0000	0.00	1.67	0.00	1.67	88.0	1.47
12/26/2017	***-**-0642 - MUMIN, MARY JO ACCOUNT #: LSR011335	MFS GLOBAL TOTAL RETURN FUND-B BUY 1 Units @0.0000	0.00	1.67	0.00	1.67	88.0	1.47
12/26/2017	***-**-41TR - DAMSKY, BARRY ACCOUNT #: LSR011340	MFS GLOBAL TOTAL RETURN FUND-B BUY 1 Units @0.0000	0.00	2.42	0.00	2.42	88.0	2.13



COMMISSION STATEMENT

January 01, 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)								
12/26/2017	***-**-499X - LARA M TUR, SPS	MFS GLOBAL TOTAL RETURN FUND-B	0.00	1.45	0.00	1.45	88.0	1.28
	ACCOUNT #: LSR011400	BUY 1 Units @0.0000						
12/26/2017	***-**-28IO - CROWE, EMILY	MFS GLOBAL TOTAL RETURN FUND-B	0.00	2.51	0.00	2.51	88.0	2.21
	ACCOUNT #: LSR011427	BUY 1 Units @0.0000						
12/26/2017	***-**-13IR - MURRAY, JOHN	MFS GLOBAL TOTAL RETURN FUND-B	0.00	1.24	0.00	1.24	88.0	1.09
	ACCOUNT #: LSR011459	BUY 1 Units @0.0000						
12/26/2017	***-**-90IO - DRUMM, LOIS	MFS GLOBAL TOTAL RETURN FUND-B	0.00	3.97	0.00	3.97	88.0	3.49
	ACCOUNT #: LSR011609	BUY 1 Units @0.0000						
12/26/2017	***-**-29IO - LORUSSO, VINCENT	MFS GLOBAL TOTAL RETURN FUND-B	0.00	3.59	0.00	3.59	88.0	3.16
	ACCOUNT #: LSR011681	BUY 1 Units @0.0000						
12/26/2017	***-**-13IR - E, KAREN	MFS GLOBAL TOTAL RETURN FUND-B	0.00	2.02	0.00	2.02	88.0	1.78
	ACCOUNT #: LSR011953	BUY 1 Units @0.0000						
12/26/2017	***-**-13IR - E, KAREN	MFS INFLATION ADJUSTED BOND CL B	0.00	0.17	0.00	0.17	88.0	0.15
	ACCOUNT #: LSR011953	BUY 1 Units @0.0000						
12/26/2017	***-**-13IR - E, KAREN	MFS INFLATION ADJUSTED BOND FUND-A	0.00	0.03	0.00	0.03	88.0	0.03
	ACCOUNT #: LSR011953	BUY 1 Units @0.0000						
12/26/2017	***-**-355I - CRIMMINS, KAREN	MFS INTERNATIONAL DIVERSIFICATION F	0.00	0.80	0.00	0.80	88.0	0.70
	ACCOUNT #: LSR011077	BUY 1 Units @0.0000						
12/26/2017	***-**-29IO - LORUSSO, VINCENT	MFS TECHNOLOGY FUND-B	0.00	1.25	0.00	1.25	88.0	1.10
	ACCOUNT #: LSR011681	BUY 1 Units @0.0000						
12/26/2017	***-**-13IR - E, KAREN	MFS TECHNOLOGY FUND-B	0.00	1.49	0.00	1.49	88.0	1.31
	ACCOUNT #: LSR011953	BUY 1 Units @0.0000						
12/26/2017	***-**-13IR - E, KAREN	MFS TOTAL RETURN FUND-A	0.00	0.06	0.00	0.06	88.0	0.05
	ACCOUNT #: LSR011953	BUY 1 Units @0.0000						
12/26/2017	***-**-13IR - E, KAREN	MFS TOTAL RETURN FUND-B	0.00	0.72	0.00	0.72	88.0	0.63
	ACCOUNT #: LSR011953	BUY 1 Units @0.0000						
12/26/2017	***-**-369I - DAVIS, BRUCE	MFS UTILITIES FUND-A	0.00	0.92	0.00	0.92	88.0	0.81
	ACCOUNT #: LSR011029	BUY 1 Units @0.0000						
12/26/2017	***-**-13IR - E, KAREN	MFS UTILITIES FUND-A	0.00	0.03	0.00	0.03	88.0	0.03
	ACCOUNT #: LSR011953	BUY 1 Units @0.0000						
12/26/2017	***-**-621I - DANIELS SR, JOHN	MFS UTILITIES FUND-B	0.00	3.61	0.00	3.61	88.0	3.18
	ACCOUNT #: LSR010950	BUY 1 Units @0.0000						



COMMISSION STATEMENT

January 01, 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)								
12/26/2017	***-**-698J - FEISTHAMEL, MR	MFS UTILITIES FUND-B	0.00	1.76	0.00	1.76	88.0	1.55
	ACCOUNT #: LSR011137	BUY 1 Units @0.0000						
12/26/2017	***-**-614I - MARIOTTI, CINDY	MFS UTILITIES FUND-B	0.00	2.70	0.00	2.70	88.0	2.38
	ACCOUNT #: LSR011535	BUY 1 Units @0.0000						
12/26/2017	***-**-39IR - VELARDI, CHRIS	MFS UTILITIES FUND-B	0.00	0.33	0.00	0.33	88.0	0.29
	ACCOUNT #: LSR011591	BUY 1 Units @0.0000						
12/26/2017	***-**-13IR - E, KAREN	MFS UTILITIES FUND-B	0.00	1.36	0.00	1.36	88.0	1.20
	ACCOUNT #: LSR011953	BUY 1 Units @0.0000						
12/26/2017	***-**-077I - GAUTHIER, LOUIS	OPP PORT SERIES: ACTIVE ALLOC A	0.00	2.34	0.00	2.34	88.0	2.06
	ACCOUNT #: LSR010901	BUY 1 Units @0.0000						
12/26/2017	***-**-61IN - GORCZYNSKI,	OPPENHEIMER GLBL REAL ESTATE FUND C	0.00	13.34	0.00	13.34	88.0	11.74
	ACCOUNT #: LSR010844	BUY 1 Units @0.0000						
12/26/2017	***-**-656I - SMOLA, STANLEY	OPPENHEIMER GLBL REAL ESTATE FUND C	0.00	3.34	0.00	3.34	88.0	2.94
	ACCOUNT #: LSR010868	BUY 1 Units @0.0000						
12/26/2017	***-**-61IN - GORCZYNSKI,	OPPENHEIMER INTERNATIONAL DIVERSIFI	0.00	39.88	0.00	39.88	88.0	35.09
	ACCOUNT #: LSR010844	BUY 1 Units @0.0000						
12/26/2017	***-**-621I - DANIELS SR, JOHN	OPPENHEIMER SMALL & MID CAP VALUE F	0.00	3.97	0.00	3.97	88.0	3.49
	ACCOUNT #: LSR010950	BUY 1 Units @0.0000						
12/26/2017	***-**-244I - BURTON, RICHARD	PL PORTFOLIO OPTIMIZATION MODERATE	0.00	1.98	0.00	1.98	88.0	1.74
	ACCOUNT #: LSR011997	BUY 1 Units @0.0000						
12/26/2017	***-**-05IN - HULL, JEFFERY	PRINCIPAL INVESTORS HIGH YIELD CL	0.00	6.02	0.00	6.02	88.0	5.30
	ACCOUNT #: LSR011187	BUY 1 Units @0.0000						
12/26/2017	***-**-355I - CRIMMINS, KAREN	PUTNAM 1	0.00	1.68	0.00	1.68	88.0	1.48
	ACCOUNT #: LSR011077	BUY 1 Units @0.0000						
12/26/2017	***-**-187I - WASZKIEWICZ, FBO	PUTNAM 1	0.00	1.54	0.00	1.54	88.0	1.36
	ACCOUNT #: LSR011144	BUY 1 Units @0.0000						
12/26/2017	***-**-231J - MISHLANIE JR,	PUTNAM CAPITAL SPECTRUM FD CL B	0.00	2.45	0.00	2.45	88.0	2.16
	ACCOUNT #: LSR010927	BUY 1 Units @0.0000						
12/26/2017	***-**-91IR - DAMSKY, MELISSA	PUTNAM CAPITAL SPECTRUM FD CL B	0.00	1.00	0.00	1.00	88.0	0.88
	ACCOUNT #: LSR010928	BUY 1 Units @0.0000						
12/26/2017	***-**-869I - CASEY, JOHN	PUTNAM CAPITAL SPECTRUM FD CL B	0.00	1.20	0.00	1.20	88.0	1.06
	ACCOUNT #: LSR011323	BUY 1 Units @0.0000						



COMMISSION STATEMENT

January 01, 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)								
12/26/2017	***-**-973I - CHAMBERS, ROGER	PUTNAM CAPITAL SPECTRUM FUND CL C	0.00	12.12	0.00	12.12	88.0	10.67
	ACCOUNT #: LSR011018	BUY 1 Units @0.0000						
12/26/2017	***-**-21IN - DANIELS, JOHN	PUTNAM DIVERSIFIED INCOME-B	0.00	2.52	0.00	2.52	88.0	2.22
	ACCOUNT #: LSR010967	BUY 1 Units @0.0000						
12/26/2017	***-**-41IN - HULL, ELMINA	PUTNAM DIVERSIFIED INCOME-B	0.00	5.85	0.00	5.85	88.0	5.15
	ACCOUNT #: LSR010999	BUY 1 Units @0.0000						
12/26/2017	***-**-21IN - DANIELS, JOHN	PUTNAM EQUITY INCOME FUND-B	0.00	4.40	0.00	4.40	88.0	3.87
	ACCOUNT #: LSR010967	BUY 1 Units @0.0000						
12/26/2017	***-**-355I - CRIMMINS, KAREN	PUTNAM EQUITY INCOME FUND-B	0.00	1.05	0.00	1.05	88.0	0.92
	ACCOUNT #: LSR011077	BUY 1 Units @0.0000						
12/26/2017	***-**-187I - WASZKIEWICZ, FBO	PUTNAM EQUITY INCOME FUND-B	0.00	2.04	0.00	2.04	88.0	1.80
	ACCOUNT #: LSR011144	BUY 1 Units @0.0000						
12/26/2017	***-**-753I - SABANOSH, ALAN	PUTNAM EUROPE EQUITY CLASS C	0.00	16.09	0.00	16.09	88.0	14.16
	ACCOUNT #: LSR010909	BUY 1 Units @0.0000						
12/26/2017	***-**-53TR - SABANOSH, ALAN R	PUTNAM EUROPE EQUITY CLASS C	0.00	11.19	0.00	11.19	88.0	9.85
	ACCOUNT #: LSR010917	BUY 1 Units @0.0000						
12/26/2017	***-**-467J - PICKARD, BRIAN	PUTNAM EUROPE EQUITY CLASS C	0.00	8.63	0.00	8.63	88.0	7.59
	ACCOUNT #: LSR010943	BUY 1 Units @0.0000						
12/26/2017	***-**-231J - MISHLANIE JR,	PUTNAM EUROPE EQUITY FUND-B	0.00	1.29	0.00	1.29	88.0	1.14
	ACCOUNT #: LSR010927	BUY 1 Units @0.0000						
12/26/2017	***-**-21IN - DANIELS, JOHN	PUTNAM EUROPE EQUITY FUND-B	0.00	1.31	0.00	1.31	88.0	1.15
	ACCOUNT #: LSR010967	BUY 1 Units @0.0000						
12/26/2017	***-**-29IO - LORUSSO, VINCENT	PUTNAM EUROPE EQUITY FUND-B	0.00	1.27	0.00	1.27	88.0	1.12
	ACCOUNT #: LSR011681	BUY 1 Units @0.0000						
12/26/2017	***-**-355I - CRIMMINS, KAREN	PUTNAM FLOATING RATE INCOME CL B	0.00	1.04	0.00	1.04	88.0	0.92
	ACCOUNT #: LSR011077	BUY 1 Units @0.0000						
12/26/2017	***-**-21IN - DANIELS, JOHN	PUTNAM GLOBAL NAT RESOURCES-B	0.00	1.47	0.00	1.47	88.0	1.29
	ACCOUNT #: LSR010967	BUY 1 Units @0.0000						
12/26/2017	***-**-34IN - SHEFFER, EUGENE	PUTNAM GLOBAL NAT RESOURCES-B	0.00	1.56	0.00	1.56	88.0	1.37
	ACCOUNT #: LSR011000	BUY 1 Units @0.0000						
12/26/2017	***-**-73IN - SCOTELLARO IV,	PUTNAM GLOBAL NAT RESOURCES-B	0.00	0.64	0.00	0.64	88.0	0.56
	ACCOUNT #: LSR011086	BUY 1 Units @0.0000						



COMMISSION STATEMENT

January 01, 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)								
12/26/2017	***-**-187I - WASZKIEWICZ, FBO	PUTNAM GLOBAL NAT RESOURCES-B	0.00	1.09	0.00	1.09	88.0	0.96
	ACCOUNT #: LSR011144	BUY 1 Units @0.0000						
12/26/2017	***-**-41TR - DAMSKY, BARRY	PUTNAM GLOBAL NAT RESOURCES-B	0.00	2.26	0.00	2.26	88.0	1.99
	ACCOUNT #: LSR011340	BUY 1 Units @0.0000						
12/26/2017	***-**-753I - SABANOSH, ALAN	PUTNAM GLOBAL UTILITIES CL C	0.00	5.46	0.00	5.46	88.0	4.80
	ACCOUNT #: LSR010909	BUY 1 Units @0.0000						
12/26/2017	***-**-369I - DAVIS, BRUCE	PUTNAM INTERNATIONAL EQUITY-A	0.00	1.27	0.00	1.27	88.0	1.12
	ACCOUNT #: LSR011029	BUY 1 Units @0.0000						
12/26/2017	***-**-61IN - GORCZYNSKI,	PUTNAM MID-CAP VALUE FUND-C	0.00	50.23	0.00	50.23	88.0	44.20
	ACCOUNT #: LSR010844	BUY 1 Units @0.0000						
12/26/2017	***-**-231J - MISHLANIE JR,	PUTNAM UTILITIES GR & INC-B	0.00	3.45	0.00	3.45	88.0	3.04
	ACCOUNT #: LSR010927	BUY 1 Units @0.0000						
12/26/2017	***-**-369J - DAVIS, BRUCE	PUTNAM UTILITIES GR & INC-B	0.00	2.79	0.00	2.79	88.0	2.46
	ACCOUNT #: LSR011027	BUY 1 Units @0.0000						
12/26/2017	***-**-369I - DAVIS, BRUCE	PUTNAM UTILITIES GR & INC-B	0.00	1.57	0.00	1.57	88.0	1.38
	ACCOUNT #: LSR011029	BUY 1 Units @0.0000						
12/26/2017	***-**-355I - CRIMMINS, KAREN	PUTNAM UTILITIES GR & INC-B	0.00	0.87	0.00	0.87	88.0	0.77
	ACCOUNT #: LSR011077	BUY 1 Units @0.0000						
12/26/2017	***-**-13IR - MURRAY, JOHN	PUTNAM UTILITIES GR & INC-B	0.00	0.93	0.00	0.93	88.0	0.82
	ACCOUNT #: LSR011459	BUY 1 Units @0.0000						
12/26/2017	***-**-29IO - LORUSSO, VINCENT	PUTNAM UTILITIES GR & INC-B	0.00	1.89	0.00	1.89	88.0	1.66
	ACCOUNT #: LSR011681	BUY 1 Units @0.0000						
12/26/2017	***-**-92IR - THIBAUT, MARY	PUTNAM UTILITIES GR & INC-B	0.00	0.50	0.00	0.50	88.0	0.44
	ACCOUNT #: LSR011833	BUY 1 Units @0.0000						
12/26/2017	***-**-76IR - BOSHART-LOWE,	PUTNAM UTILITIES GR & INC-B	0.00	1.22	0.00	1.22	88.0	1.07
	ACCOUNT #: LSR011841	BUY 1 Units @0.0000						
12/26/2017	***-**-679I - MURSCH JR,	QUEST BALANCED B	0.00	0.14	0.00	0.14	88.0	0.12
	ACCOUNT #: LSR010888	BUY 1 Units @0.0000						
12/26/2017	***-**-231J - MISHLANIE JR,	QUEST BALANCED B	0.00	3.18	0.00	3.18	88.0	2.80
	ACCOUNT #: LSR010927	BUY 1 Units @0.0000						
12/26/2017	***-**-29IN - THIBAUT,	QUEST BALANCED FUND C	0.00	9.85	0.00	9.85	88.0	8.67
	ACCOUNT #: LSR011094	BUY 1 Units @0.0000						



COMMISSION STATEMENT

January 01, 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)								
12/26/2017	***-**-24TR - SCOTELLARO, L	QUEST INTERNATIONAL VALUE FUND, INC	0.00	4.89	0.00	4.89	88.0	4.30
	ACCOUNT #: LSR010973	BUY 1 Units @0.0000						
12/26/2017	***-**-61IN - GORCZYNSKI,	QUEST INTERNATIONAL VALUE FUND, INC	0.00	40.78	0.00	40.78	88.0	35.89
	ACCOUNT #: LSR010844	BUY 1 Units @0.0000						
12/26/2017	***-**-077I - GAUTHIER, LOUIS	RISING DIVIDENDS FUND A	0.00	2.01	0.00	2.01	88.0	1.77
	ACCOUNT #: LSR010901	BUY 1 Units @0.0000						
12/26/2017	***-**-474J - HAGAN JR,	RISING DIVIDENDS FUND A	0.00	1.54	0.00	1.54	88.0	1.36
	ACCOUNT #: LSR010993	BUY 1 Units @0.0000						
12/26/2017	***-**-01IN - HAGAN III,	RISING DIVIDENDS FUND A	0.00	1.94	0.00	1.94	88.0	1.71
	ACCOUNT #: LSR011014	BUY 1 Units @0.0000						
12/26/2017	***-**-369I - DAVIS, BRUCE	RISING DIVIDENDS FUND A	0.00	2.31	0.00	2.31	88.0	2.03
	ACCOUNT #: LSR011029	BUY 1 Units @0.0000						
12/26/2017	***-**-679I - MURSCH JR,	RISING DIVIDENDS FUND, INC. B	0.00	0.22	0.00	0.22	88.0	0.19
	ACCOUNT #: LSR010888	BUY 1 Units @0.0000						
12/26/2017	***-**-05IN - HULL, JEFFERY	SENIOR FLOATING RATE FUND C	0.00	8.20	0.00	8.20	88.0	7.22
	ACCOUNT #: LSR011187	BUY 1 Units @0.0000						
12/26/2017	***-**-679I - MURSCH JR,	SMALL- & MID- CAP VALUE B	0.00	0.19	0.00	0.19	88.0	0.17
	ACCOUNT #: LSR010888	BUY 1 Units @0.0000						
12/26/2017	***-**-21IN - DANIELS, JOHN	SMALL- & MID-CAP GROWTH FUND A	0.00	2.34	0.00	2.34	88.0	2.06
	ACCOUNT #: LSR010967	BUY 1 Units @0.0000						
12/26/2017	***-**-656I - SMOLA, STANLEY	VOYA GLOBAL REAL ESTATE CLASS C	0.00	6.25	0.00	6.25	88.0	5.50
	ACCOUNT #: LSR010868	BUY 1 Units @0.0000						
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *			\$0.00	\$454.74	\$0.00	\$454.74		\$400.20
*** BROKER TRANSACTIONS TOTAL ***			\$1,119.00	\$515.34	\$23.00	\$492.34		\$433.28



COMMISSION STATEMENT

January 01, 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 </u>								
<u>BROKER: KURT GRUENEWALD</u>								
12/26/2017	***-***-702I - KOCHER, MICHAEL	37252M108	0.00	0.96	0.00	0.96	88.0	0.84
	ACCOUNT #: LSR010954	BUY 1 Units @0.0000						
12/26/2017	***-***-680I - HARRELL, DARYL	37252M108	0.00	0.81	0.00	0.81	88.0	0.71
	ACCOUNT #: LSR011321	BUY 1 Units @0.0000						
12/26/2017	***-***-22IO - CLINTON, STEPHEN	37252M108	0.00	1.64	0.00	1.64	88.0	1.44
	ACCOUNT #: LSR011684	BUY 1 Units @0.0000						
12/26/2017	***-***-959I - FRANZ, PAUL	BLACKROCK US OPPORT CL A	0.00	0.37	0.00	0.37	88.0	0.33
	ACCOUNT #: LSR010959	BUY 1 Units @0.0000						
12/26/2017	***-***-71IO - FAMOLARO, JAMES	CLEARBRIDGE AGGRESSIVE GROWTH A	0.00	0.46	0.00	0.46	88.0	0.40
	ACCOUNT #: LSR011279	BUY 1 Units @0.0000						
12/26/2017	***-***-949I - ACEE, JOSPEH	DEVELOPING MARKETS FUND B	0.00	1.24	0.00	1.24	88.0	1.09
	ACCOUNT #: LSR010908	BUY 1 Units @0.0000						
12/26/2017	***-***-506J - CURRIERE JR, MR	DEVELOPING MARKETS FUND B	0.00	0.83	0.00	0.83	88.0	0.73
	ACCOUNT #: LSR011121	BUY 1 Units @0.0000						
12/26/2017	***-***-48IO - ANACKER, FBO MRS	DEVELOPING MARKETS FUND B	0.00	1.04	0.00	1.04	88.0	0.92
	ACCOUNT #: LSR011164	BUY 1 Units @0.0000						
12/26/2017	***-***-64IO - PFAFF, GEORGE	DEVELOPING MARKETS FUND B	0.00	1.46	0.00	1.46	88.0	1.28
	ACCOUNT #: LSR011185	BUY 1 Units @0.0000						
12/26/2017	***-***-62IR - ROBBIANO, FBO	DEVELOPING MARKETS FUND B	0.00	1.13	0.00	1.13	88.0	0.99
	ACCOUNT #: LSR011195	BUY 1 Units @0.0000						
12/26/2017	***-***-653I - KOCHER, CLINTON	DEVELOPING MARKETS FUND B	0.00	2.34	0.00	2.34	88.0	2.06
	ACCOUNT #: LSR011300	BUY 1 Units @0.0000						
12/26/2017	***-***-254I - AUGUSTINE, LINDA	EQUITY INCOME FUND, INC. A	0.00	2.23	0.00	2.23	88.0	1.96
	ACCOUNT #: LSR010846	BUY 1 Units @0.0000						
12/26/2017	***-***-881J - EBERLEY, SUSAN	EQUITY INCOME FUND, INC. A	0.00	2.15	0.00	2.15	88.0	1.89
	ACCOUNT #: LSR010856	BUY 1 Units @0.0000						
12/26/2017	***-***-15IN - PENDRAK, JOHN	EQUITY INCOME FUND, INC. A	0.00	1.81	0.00	1.81	88.0	1.59
	ACCOUNT #: LSR010948	BUY 1 Units @0.0000						
12/26/2017	***-***-702I - KOCHER, MICHAEL	EQUITY INCOME FUND, INC. A	0.00	1.97	0.00	1.97	88.0	1.73
	ACCOUNT #: LSR010954	BUY 1 Units @0.0000						
12/26/2017	***-***-959I - FRANZ, PAUL	EQUITY INCOME FUND, INC. A	0.00	2.18	0.00	2.18	88.0	1.92
	ACCOUNT #: LSR010959	BUY 1 Units @0.0000						



COMMISSION STATEMENT

January 01, 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> 								
12/26/2017	***-**-960J - MASTRANGELO, ACCOUNT #: LSR010966	EQUITY INCOME FUND, INC. A BUY 1 Units @0.0000	0.00	2.31	0.00	2.31	88.0	2.03
12/26/2017	***-**-51IO - CAIN, TIMOTHY ACCOUNT #: LSR011007	EQUITY INCOME FUND, INC. A BUY 1 Units @0.0000	0.00	2.46	0.00	2.46	88.0	2.16
12/26/2017	***-**-761I - EVANS, DOLORES ACCOUNT #: LSR011024	EQUITY INCOME FUND, INC. A BUY 1 Units @0.0000	0.00	4.41	0.00	4.41	88.0	3.88
12/26/2017	***-**-944O - MAYO, DEBORAH ACCOUNT #: LSR011035	EQUITY INCOME FUND, INC. A BUY 1 Units @0.0000	0.00	1.07	0.00	1.07	88.0	0.94
12/26/2017	***-**-861I - SANGER, LAWRENCE ACCOUNT #: LSR011095	EQUITY INCOME FUND, INC. A BUY 1 Units @0.0000	0.00	1.27	0.00	1.27	88.0	1.12
12/26/2017	***-**-680I - HARRELL, DARYL ACCOUNT #: LSR011321	EQUITY INCOME FUND, INC. A BUY 1 Units @0.0000	0.00	0.83	0.00	0.83	88.0	0.73
12/26/2017	***-**-287J - HINCKLEY, ACCOUNT #: LSR010841	EQUITY INCOME FUND, INC. B BUY 1 Units @0.0000	0.00	0.57	0.00	0.57	88.0	0.50
12/26/2017	***-**-949I - ACEE, JOSPEH ACCOUNT #: LSR010908	EQUITY INCOME FUND, INC. B BUY 1 Units @0.0000	0.00	2.44	0.00	2.44	88.0	2.15
12/26/2017	***-**-567I - FRANZ, ALICE ACCOUNT #: LSR010960	EQUITY INCOME FUND, INC. B BUY 1 Units @0.0000	0.00	5.78	0.00	5.78	88.0	5.09
12/26/2017	***-**-366I - GRUENEWALD, ACCOUNT #: LSR010989	EQUITY INCOME FUND, INC. B BUY 1 Units @0.0000	0.00	1.27	0.00	1.27	88.0	1.12
12/26/2017	***-**-306X - COBB, CHERRYL ACCOUNT #: LSR011037	EQUITY INCOME FUND, INC. B BUY 1 Units @0.0000	0.00	1.90	0.00	1.90	88.0	1.67
12/26/2017	***-**-579I - RHYMESTINE, ACCOUNT #: LSR011082	EQUITY INCOME FUND, INC. B BUY 1 Units @0.0000	0.00	1.65	0.00	1.65	88.0	1.45
12/26/2017	***-**-506J - CURRIERE JR, MR ACCOUNT #: LSR011121	EQUITY INCOME FUND, INC. B BUY 1 Units @0.0000	0.00	1.08	0.00	1.08	88.0	0.95
12/26/2017	***-**-48IO - ANACKER, FBO MRS ACCOUNT #: LSR011164	EQUITY INCOME FUND, INC. B BUY 1 Units @0.0000	0.00	1.63	0.00	1.63	88.0	1.43
12/26/2017	***-**-64IO - PFAFF, GEORGE ACCOUNT #: LSR011185	EQUITY INCOME FUND, INC. B BUY 1 Units @0.0000	0.00	2.04	0.00	2.04	88.0	1.80
12/26/2017	***-**-62IR - ROBBIANO, FBO ACCOUNT #: LSR011195	EQUITY INCOME FUND, INC. B BUY 1 Units @0.0000	0.00	1.46	0.00	1.46	88.0	1.28



COMMISSION STATEMENT

January 01, 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> 								
12/26/2017	***-**-653I - KOCHEM, CLINTON	EQUITY INCOME FUND, INC. B	0.00	3.02	0.00	3.02	88.0	2.66
	ACCOUNT #: LSR011300	BUY 1 Units @0.0000						
12/26/2017	***-**-980I - ACEE, ELIZABETH	EQUITY INCOME FUND, INC. C	0.00	13.37	0.00	13.37	88.0	11.77
	ACCOUNT #: LSR010885	BUY 1 Units @0.0000						
12/26/2017	***-**-031O - MCVOY, ROBERT	EQUITY INCOME FUND, INC. C	0.00	6.03	0.00	6.03	88.0	5.31
	ACCOUNT #: LSR010916	BUY 1 Units @0.0000						
12/26/2017	***-**-001O - LEE, GARY	EQUITY INCOME FUND, INC. C	0.00	13.30	0.00	13.30	88.0	11.70
	ACCOUNT #: LSR011059	BUY 1 Units @0.0000						
12/26/2017	***-**-281N - BYWATER, KIM	EQUITY INCOME FUND, INC. C	0.00	1.56	0.00	1.56	88.0	1.37
	ACCOUNT #: LSR011995	BUY 1 Units @0.0000						
12/26/2017	***-**-128I - BASHANT, THOMAS	GLOBAL FUND A	0.00	2.07	0.00	2.07	88.0	1.82
	ACCOUNT #: LSR011387	BUY 1 Units @0.0000						
12/26/2017	***-**-094I - KATRENA L	GLOBAL OPPORTUNITIES FUND C	0.00	14.42	0.00	14.42	88.0	12.69
	ACCOUNT #: LSR011188	BUY 1 Units @0.0000						
12/26/2017	***-**-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						
12/26/2017	***-**-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						
12/26/2017	***-**-930I - SANGER, KEVIN	GOLD & SPECIAL MINERALS A	0.00	0.32	0.00	0.32	88.0	0.28
	ACCOUNT #: LSR010941	BUY 1 Units @0.0000						
12/26/2017	***-**-151N - PENDRAK, JOHN	GOLD & SPECIAL MINERALS A	0.00	2.14	0.00	2.14	88.0	1.88
	ACCOUNT #: LSR010948	BUY 1 Units @0.0000						
12/26/2017	***-**-702J - KOCHEM, MICHAEL	GOLD & SPECIAL MINERALS A	0.00	0.23	0.00	0.23	88.0	0.20
	ACCOUNT #: LSR010955	BUY 1 Units @0.0000						
12/26/2017	***-**-959I - FRANZ, PAUL	GOLD & SPECIAL MINERALS A	0.00	0.57	0.00	0.57	88.0	0.50
	ACCOUNT #: LSR010959	BUY 1 Units @0.0000						
12/26/2017	***-**-611N - EVANS, DOLORES	GOLD & SPECIAL MINERALS A	0.00	0.18	0.00	0.18	88.0	0.16
	ACCOUNT #: LSR011023	BUY 1 Units @0.0000						
12/26/2017	***-**-944O - MAYO, DEBORAH	GOLD & SPECIAL MINERALS A	0.00	0.53	0.00	0.53	88.0	0.47
	ACCOUNT #: LSR011035	BUY 1 Units @0.0000						
12/26/2017	***-**-961N - NESSIA, BONNIE	GOLD & SPECIAL MINERALS A	0.00	0.29	0.00	0.29	88.0	0.26
	ACCOUNT #: LSR011055	BUY 1 Units @0.0000						



COMMISSION STATEMENT

January 01, 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> 								
12/26/2017	***-**-13IN - RHYMESTINE, ACCOUNT #: LSR011106	GOLD & SPECIAL MINERALS A BUY 1 Units @0.0000	0.00	0.35	0.00	0.35	88.0	0.31
12/26/2017	***-**-76IO - MCALLISTER, FBO ACCOUNT #: LSR011107	GOLD & SPECIAL MINERALS A BUY 1 Units @0.0000	0.00	0.34	0.00	0.34	88.0	0.30
12/26/2017	***-**-31IO - WILLIAMSON, FBO ACCOUNT #: LSR011172	GOLD & SPECIAL MINERALS A BUY 1 Units @0.0000	0.00	1.37	0.00	1.37	88.0	1.21
12/26/2017	***-**-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
12/26/2017	***-**-62IN - EATON, DAVID ACCOUNT #: LSR011315	GOLD & SPECIAL MINERALS A BUY 1 Units @0.0000	0.00	0.40	0.00	0.40	88.0	0.35
12/26/2017	***-**-949I - ACEE, JOSPEH ACCOUNT #: LSR010908	GOLD & SPECIAL MINERALS FUND B BUY 1 Units @0.0000	0.00	0.60	0.00	0.60	88.0	0.53
12/26/2017	***-**-579I - RHYMESTINE, ACCOUNT #: LSR011082	GOLD & SPECIAL MINERALS FUND B BUY 1 Units @0.0000	0.00	0.54	0.00	0.54	88.0	0.48
12/26/2017	***-**-367J - WAGNER, MRS LANT ACCOUNT #: LSR011134	GOLD & SPECIAL MINERALS FUND B BUY 1 Units @0.0000	0.00	0.30	0.00	0.30	88.0	0.26
12/26/2017	***-**-48IO - ANACKER, FBO MRS ACCOUNT #: LSR011164	GOLD & SPECIAL MINERALS FUND B BUY 1 Units @0.0000	0.00	0.72	0.00	0.72	88.0	0.63
12/26/2017	***-**-664J - PFAFF, GEORGE ACCOUNT #: LSR011184	GOLD & SPECIAL MINERALS FUND B BUY 1 Units @0.0000	0.00	0.59	0.00	0.59	88.0	0.52
12/26/2017	***-**-702I - KOCHEM, MICHAEL ACCOUNT #: LSR010954	HARTFORD CHECKS AND BALANCED FUND C BUY 1 Units @0.0000	0.00	1.28	0.00	1.28	88.0	1.13
12/26/2017	***-**-366S - GRUENEWALD, ACCOUNT #: LSR010990	HARTFORD CHECKS AND BALANCED FUND C BUY 1 Units @0.0000	0.00	0.44	0.00	0.44	88.0	0.39
12/26/2017	***-**-680I - HARRELL, DARYL ACCOUNT #: LSR011321	HARTFORD CHECKS AND BALANCED FUND C BUY 1 Units @0.0000	0.00	1.23	0.00	1.23	88.0	1.08
12/26/2017	***-**-30TR - AND SANDRA ACCOUNT #: LSR011939	HARTFORD CHECKS AND BALANCED FUND C BUY 1 Units @0.0000	0.00	2.42	0.00	2.42	88.0	2.13
12/26/2017	***-**-366S - GRUENEWALD, ACCOUNT #: LSR010990	HARTFORD INFLATION PLUS FUND CLASS BUY 1 Units @0.0000	0.00	0.66	0.00	0.66	88.0	0.58
12/26/2017	***-**-680I - HARRELL, DARYL ACCOUNT #: LSR011321	HARTFORD INFLATION PLUS FUND CLASS BUY 1 Units @0.0000	0.00	1.71	0.00	1.71	88.0	1.50



COMMISSION STATEMENT

January 01, 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> 								
12/26/2017	***-**-881I - EBERLEY, SUSAN ACCOUNT #: LSR010858	INTERNATIONAL BOND A BUY 1 Units @0.0000	0.00	0.66	0.00	0.66	88.0	0.58
12/26/2017	***-**-761I - EVANS, DOLORES ACCOUNT #: LSR011024	INTERNATIONAL BOND A BUY 1 Units @0.0000	0.00	3.33	0.00	3.33	88.0	2.93
12/26/2017	***-**-15IN - PENDRAK, JOHN ACCOUNT #: LSR010948	INTERNATIONAL SMALL COMPANY A BUY 1 Units @0.0000	0.00	1.36	0.00	1.36	88.0	1.20
12/26/2017	***-**-959I - FRANZ, PAUL ACCOUNT #: LSR010959	INTERNATIONAL SMALL COMPANY A BUY 1 Units @0.0000	0.00	1.30	0.00	1.30	88.0	1.14
12/26/2017	***-**-367J - WAGNER, MRS LANT ACCOUNT #: LSR011134	INTERNATIONAL SMALL COMPANY FUND B BUY 1 Units @0.0000	0.00	1.77	0.00	1.77	88.0	1.56
12/26/2017	***-**-664J - PFAFF, GEORGE ACCOUNT #: LSR011184	INTERNATIONAL SMALL COMPANY FUND B BUY 1 Units @0.0000	0.00	0.88	0.00	0.88	88.0	0.77
12/26/2017	***-**-44IO - MAYO, DEBORAH ACCOUNT #: LSR011079	LORD ABBETT SHORT DURATION INCOME C BUY 1 Units @0.0000	0.00	12.43	0.00	12.43	88.0	10.94
12/26/2017	***-**-579J - RHYMESTINE, ACCOUNT #: LSR011081	LORD ABBETT SHORT DURATION INCOME C BUY 1 Units @0.0000	0.00	9.40	0.00	9.40	88.0	8.27
12/26/2017	***-**-09IO - BATES, FBO MRS ACCOUNT #: LSR011117	LORD ABBETT SHORT DURATION INCOME C BUY 1 Units @0.0000	0.00	12.45	0.00	12.45	88.0	10.96
12/26/2017	***-**-89IN - LEE, ROGER ACCOUNT #: LSR011166	LORD ABBETT SHORT DURATION INCOME C BUY 1 Units @0.0000	0.00	23.95	0.00	23.95	88.0	21.08
12/26/2017	***-**-439J - MCCARTHY, JAMES ACCOUNT #: LSR011205	LORD ABBETT SHORT DURATION INCOME C BUY 1 Units @0.0000	0.00	1.82	0.00	1.82	88.0	1.60
12/26/2017	***-**-45IO - JOHNSON, GREGORY ACCOUNT #: LSR011421	LORD ABBETT SHORT DURATION INCOME C BUY 1 Units @0.0000	0.00	12.40	0.00	12.40	88.0	10.91
12/26/2017	***-**-14IO - BUSHEY, MATTHEW ACCOUNT #: LSR011498	LORD ABBETT SHORT DURATION INCOME C BUY 1 Units @0.0000	0.00	9.23	0.00	9.23	88.0	8.12
12/26/2017	***-**-45IO - JOHNSON, GREGORY ACCOUNT #: LSR011421	MAIN STREET FUND C BUY 1 Units @0.0000	0.00	7.64	0.00	7.64	88.0	6.72
12/26/2017	***-**-065I - LAZIO, THOMAS ACCOUNT #: LSR010979	MFS ABSOLUTE RETURN FUND CLASS C BUY 1 Units @0.0000	0.00	3.24	0.00	3.24	88.0	2.85
12/26/2017	***-**-944O - MAYO, DEBORAH ACCOUNT #: LSR011035	MFS AGGRESS GROWTH ALLOCATION FD-B BUY 1 Units @0.0000	0.00	0.66	0.00	0.66	88.0	0.58



COMMISSION STATEMENT

January 01, 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>								
12/26/2017	***-**-9440 - MAYO, DEBORAH ACCOUNT #: LSR011035	MFS AGGRESSIVE GROWTH ALLOCATION FD BUY 1 Units @0.0000	0.00	0.36	0.00	0.36	88.0	0.32
12/26/2017	***-**-13IN - ROTH, KAREN ACCOUNT #: LSR011954	MFS BLENDED RESEARCH CORE EQUITY FD BUY 1 Units @0.0000	0.00	1.25	0.00	1.25	88.0	1.10
12/26/2017	***-**-881I - EBERLEY, SUSAN ACCOUNT #: LSR010858	MFS CONSERVATIVE ALLOCATION CL C BUY 1 Units @0.0000	0.00	9.32	0.00	9.32	88.0	8.20
12/26/2017	***-**-901I - SATTERLY, ANN ACCOUNT #: LSR010874	MFS CONSERVATIVE ALLOCATION CL C BUY 1 Units @0.0000	0.00	9.24	0.00	9.24	88.0	8.13
12/26/2017	***-**-382K - SATTERLY, NEIL ACCOUNT #: LSR010875	MFS CONSERVATIVE ALLOCATION CL C BUY 1 Units @0.0000	0.00	4.19	0.00	4.19	88.0	3.69
12/26/2017	***-**-48IO - CLARK, PATRICK ACCOUNT #: LSR010911	MFS CONSERVATIVE ALLOCATION CL C BUY 1 Units @0.0000	0.00	17.70	0.00	17.70	88.0	15.58
12/26/2017	***-**-031O - MCVOY, ROBERT ACCOUNT #: LSR010916	MFS CONSERVATIVE ALLOCATION CL C BUY 1 Units @0.0000	0.00	4.34	0.00	4.34	88.0	3.82
12/26/2017	***-**-72IN - GAVALO, JULIE ACCOUNT #: LSR010921	MFS CONSERVATIVE ALLOCATION CL C BUY 1 Units @0.0000	0.00	18.04	0.00	18.04	88.0	15.88
12/26/2017	***-**-959I - FRANZ, PAUL ACCOUNT #: LSR010959	MFS CONSERVATIVE ALLOCATION CL C BUY 1 Units @0.0000	0.00	16.54	0.00	16.54	88.0	14.56
12/26/2017	***-**-065I - LAZIO, THOMAS ACCOUNT #: LSR010979	MFS CONSERVATIVE ALLOCATION CL C BUY 1 Units @0.0000	0.00	10.86	0.00	10.86	88.0	9.56
12/26/2017	***-**-420T - DEMETRI, AMELIA ACCOUNT #: LSR010994	MFS CONSERVATIVE ALLOCATION CL C BUY 1 Units @0.0000	0.00	6.03	0.00	6.03	88.0	5.31
12/26/2017	***-**-73TR - WESTCOTT IRRVOC ACCOUNT #: LSR011001	MFS CONSERVATIVE ALLOCATION CL C BUY 1 Units @0.0000	0.00	9.34	0.00	9.34	88.0	8.22
12/26/2017	***-**-837O - BASEMENT ACCOUNT #: LSR011046	MFS CONSERVATIVE ALLOCATION CL C BUY 1 Units @0.0000	0.00	4.74	0.00	4.74	88.0	4.17
12/26/2017	***-**-09IO - BATES, FBO MRS ACCOUNT #: LSR011117	MFS CONSERVATIVE ALLOCATION CL C BUY 1 Units @0.0000	0.00	14.36	0.00	14.36	88.0	12.64
12/26/2017	***-**-89IN - LEE, ROGER ACCOUNT #: LSR011166	MFS CONSERVATIVE ALLOCATION CL C BUY 1 Units @0.0000	0.00	17.86	0.00	17.86	88.0	15.72
12/26/2017	***-**-900J - LEE, MR. ACCOUNT #: LSR011186	MFS CONSERVATIVE ALLOCATION CL C BUY 1 Units @0.0000	0.00	4.17	0.00	4.17	88.0	3.67



COMMISSION STATEMENT

January 01, 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>								
12/26/2017	***-**-06IR - CAMPBELL, PAMELA	MFS CONSERVATIVE ALLOCATION CL C	0.00	6.25	0.00	6.25	88.0	5.50
	ACCOUNT #: LSR011222	BUY 1 Units @0.0000						
12/26/2017	***-**-11IO - LYNN G.	MFS CONSERVATIVE ALLOCATION CL C	0.00	13.64	0.00	13.64	88.0	12.00
	ACCOUNT #: LSR011239	BUY 1 Units @0.0000						
12/26/2017	***-**-80IO - EVANS, RICHARD	MFS CONSERVATIVE ALLOCATION CL C	0.00	9.33	0.00	9.33	88.0	8.21
	ACCOUNT #: LSR011276	BUY 1 Units @0.0000						
12/26/2017	***-**-376I - BERBEN, GAIL	MFS CONSERVATIVE ALLOCATION CL C	0.00	13.62	0.00	13.62	88.0	11.99
	ACCOUNT #: LSR011380	BUY 1 Units @0.0000						
12/26/2017	***-**-45IO - JOHNSON, GREGORY	MFS CONSERVATIVE ALLOCATION CL C	0.00	30.34	0.00	30.34	88.0	26.70
	ACCOUNT #: LSR011421	BUY 1 Units @0.0000						
12/26/2017	***-**-14IO - BUSHEY, MATTHEW	MFS CONSERVATIVE ALLOCATION CL C	0.00	9.04	0.00	9.04	88.0	7.96
	ACCOUNT #: LSR011498	BUY 1 Units @0.0000						
12/26/2017	***-**-37IO - MCCLUSKY, MARK	MFS CONSERVATIVE ALLOCATION CL C	0.00	7.50	0.00	7.50	88.0	6.60
	ACCOUNT #: LSR011579	BUY 1 Units @0.0000						
12/26/2017	***-**-944O - MAYO, DEBORAH	MFS CONSERVATIVE ALLOCATION FUND-A	0.00	0.41	0.00	0.41	88.0	0.36
	ACCOUNT #: LSR011035	BUY 1 Units @0.0000						
12/26/2017	***-**-254I - AUGUSTINE, LINDA	MFS CONSERVATIVE ALLOCATION FUND-B	0.00	0.79	0.00	0.79	88.0	0.70
	ACCOUNT #: LSR010846	BUY 1 Units @0.0000						
12/26/2017	***-**-15IN - PENDRAK, JOHN	MFS CONSERVATIVE ALLOCATION FUND-B	0.00	2.13	0.00	2.13	88.0	1.87
	ACCOUNT #: LSR010948	BUY 1 Units @0.0000						
12/26/2017	***-**-960J - MASTRANGELO,	MFS CONSERVATIVE ALLOCATION FUND-B	0.00	5.47	0.00	5.47	88.0	4.81
	ACCOUNT #: LSR010966	BUY 1 Units @0.0000						
12/26/2017	***-**-51IO - CAIN, TIMOTHY	MFS CONSERVATIVE ALLOCATION FUND-B	0.00	2.58	0.00	2.58	88.0	2.27
	ACCOUNT #: LSR011007	BUY 1 Units @0.0000						
12/26/2017	***-**-761I - EVANS, DOLORES	MFS CONSERVATIVE ALLOCATION FUND-B	0.00	2.06	0.00	2.06	88.0	1.81
	ACCOUNT #: LSR011024	BUY 1 Units @0.0000						
12/26/2017	***-**-944O - MAYO, DEBORAH	MFS CONSERVATIVE ALLOCATION FUND-B	0.00	1.17	0.00	1.17	88.0	1.03
	ACCOUNT #: LSR011035	BUY 1 Units @0.0000						
12/26/2017	***-**-326J - GRANDE, MR	MFS CONSERVATIVE ALLOCATION FUND-B	0.00	0.57	0.00	0.57	88.0	0.50
	ACCOUNT #: LSR011089	BUY 1 Units @0.0000						
12/26/2017	***-**-13IN - RHYMESTINE,	MFS CONSERVATIVE ALLOCATION FUND-B	0.00	1.02	0.00	1.02	88.0	0.90
	ACCOUNT #: LSR011106	BUY 1 Units @0.0000						



COMMISSION STATEMENT

January 01, 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)								
12/26/2017	***-**-367J - WAGNER, MRS LANT	MFS CONSERVATIVE ALLOCATION FUND-B	0.00	1.13	0.00	1.13	88.0	0.99
	ACCOUNT #: LSR011134	BUY 1 Units @0.0000						
12/26/2017	***-**-992J - CORNACCHIA	MFS CONSERVATIVE ALLOCATION FUND-B	0.00	0.38	0.00	0.38	88.0	0.33
	ACCOUNT #: LSR011157	BUY 1 Units @0.0000						
12/26/2017	***-**-31IO - WILLIAMSON, FBO	MFS CONSERVATIVE ALLOCATION FUND-B	0.00	3.94	0.00	3.94	88.0	3.47
	ACCOUNT #: LSR011172	BUY 1 Units @0.0000						
12/26/2017	***-**-64IO - PFAFF, GEORGE	MFS CONSERVATIVE ALLOCATION FUND-B	0.00	1.13	0.00	1.13	88.0	0.99
	ACCOUNT #: LSR011185	BUY 1 Units @0.0000						
12/26/2017	***-**-382K - SATTERLY, NEIL	MFS DIVERSIFIED INCOME FD CL C	0.00	4.53	0.00	4.53	88.0	3.99
	ACCOUNT #: LSR010875	BUY 1 Units @0.0000						
12/26/2017	***-**-980I - ACEE, ELIZABETH	MFS DIVERSIFIED INCOME FD CL C	0.00	9.11	0.00	9.11	88.0	8.02
	ACCOUNT #: LSR010885	BUY 1 Units @0.0000						
12/26/2017	***-**-72IN - GAVALO, JULIE	MFS DIVERSIFIED INCOME FD CL C	0.00	16.54	0.00	16.54	88.0	14.56
	ACCOUNT #: LSR010921	BUY 1 Units @0.0000						
12/26/2017	***-**-73TR - WESTCOTT IRRVOC	MFS DIVERSIFIED INCOME FD CL C	0.00	12.87	0.00	12.87	88.0	11.33
	ACCOUNT #: LSR011008	BUY 1 Units @0.0000						
12/26/2017	***-**-132O - EVANS, THOMAS	MFS DIVERSIFIED INCOME FD CL C	0.00	8.28	0.00	8.28	88.0	7.29
	ACCOUNT #: LSR011074	BUY 1 Units @0.0000						
12/26/2017	***-**-44IO - MAYO, DEBORAH	MFS DIVERSIFIED INCOME FD CL C	0.00	12.95	0.00	12.95	88.0	11.40
	ACCOUNT #: LSR011079	BUY 1 Units @0.0000						
12/26/2017	***-**-579J - RHYMESTINE,	MFS DIVERSIFIED INCOME FD CL C	0.00	23.55	0.00	23.55	88.0	20.72
	ACCOUNT #: LSR011081	BUY 1 Units @0.0000						
12/26/2017	***-**-09IO - BATES, FBO MRS	MFS DIVERSIFIED INCOME FD CL C	0.00	14.11	0.00	14.11	88.0	12.42
	ACCOUNT #: LSR011117	BUY 1 Units @0.0000						
12/26/2017	***-**-89IN - LEE, ROGER	MFS DIVERSIFIED INCOME FD CL C	0.00	5.93	0.00	5.93	88.0	5.22
	ACCOUNT #: LSR011166	BUY 1 Units @0.0000						
12/26/2017	***-**-64IO - PFAFF, GEORGE	MFS DIVERSIFIED INCOME FD CL C	0.00	5.84	0.00	5.84	88.0	5.14
	ACCOUNT #: LSR011185	BUY 1 Units @0.0000						
12/26/2017	***-**-439J - MCCARTHY, JAMES	MFS DIVERSIFIED INCOME FD CL C	0.00	3.10	0.00	3.10	88.0	2.73
	ACCOUNT #: LSR011205	BUY 1 Units @0.0000						
12/26/2017	***-**-52IO - EUSEPI, SUSAN	MFS DIVERSIFIED INCOME FD CL C	0.00	6.14	0.00	6.14	88.0	5.40
	ACCOUNT #: LSR011219	BUY 1 Units @0.0000						



COMMISSION STATEMENT

January 01, 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>								
12/26/2017	***-**-81IR - CAMPBELL, ACCOUNT #: LSR011223	MFS DIVERSIFIED INCOME FD CL C BUY 1 Units @0.0000	0.00	5.93	0.00	5.93	88.0	5.22
12/26/2017	***-**-439I - MCCARTHY, JAMES ACCOUNT #: LSR011244	MFS DIVERSIFIED INCOME FD CL C BUY 1 Units @0.0000	0.00	4.26	0.00	4.26	88.0	3.75
12/26/2017	***-**-376I - BERBEN, GAIL ACCOUNT #: LSR011380	MFS DIVERSIFIED INCOME FD CL C BUY 1 Units @0.0000	0.00	9.09	0.00	9.09	88.0	8.00
12/26/2017	***-**-45IO - JOHNSON, GREGORY ACCOUNT #: LSR011421	MFS DIVERSIFIED INCOME FD CL C BUY 1 Units @0.0000	0.00	13.76	0.00	13.76	88.0	12.11
12/26/2017	***-**-14IO - BUSHEY, MATTHEW ACCOUNT #: LSR011498	MFS DIVERSIFIED INCOME FD CL C BUY 1 Units @0.0000	0.00	13.55	0.00	13.55	88.0	11.92
12/26/2017	***-**-37IO - MCCLUSKY, MARK ACCOUNT #: LSR011579	MFS DIVERSIFIED INCOME FD CL C BUY 1 Units @0.0000	0.00	4.99	0.00	4.99	88.0	4.39
12/26/2017	***-**-24IN - BLISS, RYAN ACCOUNT #: LSR011502	MFS EMERGING GROWTH FUND-B BUY 1 Units @0.0000	0.00	0.26	0.00	0.26	88.0	0.23
12/26/2017	***-**-881I - EBERLEY, SUSAN ACCOUNT #: LSR010858	MFS EMERGING MARKETS EQUITY FUND-B BUY 1 Units @0.0000	0.00	0.75	0.00	0.75	88.0	0.66
12/26/2017	***-**-960J - MASTRANGELO, ACCOUNT #: LSR010966	MFS EMERGING MARKETS EQUITY FUND-B BUY 1 Units @0.0000	0.00	1.33	0.00	1.33	88.0	1.17
12/26/2017	***-**-761I - EVANS, DOLORES ACCOUNT #: LSR011024	MFS EMERGING MARKETS EQUITY FUND-B BUY 1 Units @0.0000	0.00	1.36	0.00	1.36	88.0	1.20
12/26/2017	***-**-579J - RHYMESTINE, ACCOUNT #: LSR011081	MFS EMERGING MARKETS EQUITY FUND-B BUY 1 Units @0.0000	0.00	0.73	0.00	0.73	88.0	0.64
12/26/2017	***-**-326I - GRANDE, FBO MR ACCOUNT #: LSR011091	MFS EMERGING MARKETS EQUITY FUND-B BUY 1 Units @0.0000	0.00	1.34	0.00	1.34	88.0	1.18
12/26/2017	***-**-197I - GAMBINO, ANDREW ACCOUNT #: LSR011465	MFS EMERGING MARKETS EQUITY FUND-B BUY 1 Units @0.0000	0.00	0.21	0.00	0.21	88.0	0.18
12/26/2017	***-**-254I - AUGUSTINE, LINDA ACCOUNT #: LSR010846	MFS EMERGING MKT DEBT CL B BUY 1 Units @0.0000	0.00	1.06	0.00	1.06	88.0	0.93
12/26/2017	***-**-881J - EBERLEY, SUSAN ACCOUNT #: LSR010856	MFS EMERGING MKT DEBT CL B BUY 1 Units @0.0000	0.00	0.81	0.00	0.81	88.0	0.71
12/26/2017	***-**-949I - ACEE, JOSPEH ACCOUNT #: LSR010908	MFS EMERGING MKT DEBT CL B BUY 1 Units @0.0000	0.00	1.00	0.00	1.00	88.0	0.88



COMMISSION STATEMENT

January 01, 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> 								
12/26/2017	***-**-31IO - HARTZ, CLAUDIA ACCOUNT #: LSR010915	MFS EMERGING MKT DEBT CL B BUY 1 Units @0.0000	0.00	1.21	0.00	1.21	88.0	1.06
12/26/2017	***-**-960J - MASTRANGELO, ACCOUNT #: LSR010966	MFS EMERGING MKT DEBT CL B BUY 1 Units @0.0000	0.00	0.66	0.00	0.66	88.0	0.58
12/26/2017	***-**-944O - MAYO, DEBORAH ACCOUNT #: LSR011035	MFS EMERGING MKT DEBT CL B BUY 1 Units @0.0000	0.00	1.30	0.00	1.30	88.0	1.14
12/26/2017	***-**-580X - COBB, JAMES ACCOUNT #: LSR011040	MFS EMERGING MKT DEBT CL B BUY 1 Units @0.0000	0.00	1.16	0.00	1.16	88.0	1.02
12/26/2017	***-**-506J - CURRIERE JR, MR ACCOUNT #: LSR011121	MFS EMERGING MKT DEBT CL B BUY 1 Units @0.0000	0.00	0.36	0.00	0.36	88.0	0.32
12/26/2017	***-**-367J - WAGNER, MRS LANT ACCOUNT #: LSR011134	MFS EMERGING MKT DEBT CL B BUY 1 Units @0.0000	0.00	0.89	0.00	0.89	88.0	0.78
12/26/2017	***-**-31IO - WILLIAMSON, FBO ACCOUNT #: LSR011172	MFS EMERGING MKT DEBT CL B BUY 1 Units @0.0000	0.00	1.30	0.00	1.30	88.0	1.14
12/26/2017	***-**-64IO - PFAFF, GEORGE ACCOUNT #: LSR011185	MFS EMERGING MKT DEBT CL B BUY 1 Units @0.0000	0.00	1.18	0.00	1.18	88.0	1.04
12/26/2017	***-**-62IR - ROBBIANO, FBO ACCOUNT #: LSR011195	MFS EMERGING MKT DEBT CL B BUY 1 Units @0.0000	0.00	0.50	0.00	0.50	88.0	0.44
12/26/2017	***-**-44IO - MAYO, DEBORAH ACCOUNT #: LSR011079	MFS EMERGING MKTS DEBT CLASS C BUY 1 Units @0.0000	0.00	0.21	0.00	0.21	88.0	0.18
12/26/2017	***-**-960J - MASTRANGELO, ACCOUNT #: LSR010966	MFS EQUITY OPPORTUNITIES CL B BUY 1 Units @0.0000	0.00	1.73	0.00	1.73	88.0	1.52
12/26/2017	***-**-944O - MAYO, DEBORAH ACCOUNT #: LSR011035	MFS GLOBAL ALTERNATIVE STRAT A BUY 1 Units @0.0000	0.00	0.22	0.00	0.22	88.0	0.19
12/26/2017	***-**-944O - MAYO, DEBORAH ACCOUNT #: LSR011035	MFS GLOBAL ALTERNATIVE STRAT B BUY 1 Units @0.0000	0.00	0.39	0.00	0.39	88.0	0.34
12/26/2017	***-**-978I - GUNN, KATHLEEN ACCOUNT #: LSR011345	MFS GLOBAL ALTERNATIVE STRAT B BUY 1 Units @0.0000	0.00	0.43	0.00	0.43	88.0	0.38
12/26/2017	***-**-382I - SATTERLY, NEIL ACCOUNT #: LSR010867	MFS GLOBAL ALTERNATIVE STRAT C BUY 1 Units @0.0000	0.00	6.35	0.00	6.35	88.0	5.59
12/26/2017	***-**-48IO - CLARK, PATRICK ACCOUNT #: LSR010911	MFS GLOBAL ALTERNATIVE STRAT C BUY 1 Units @0.0000	0.00	14.29	0.00	14.29	88.0	12.58



COMMISSION STATEMENT

January 01, 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> 								
12/26/2017	***-**-72IN - GAVALO, JULIE ACCOUNT #: LSR010921	MFS GLOBAL ALTERNATIVE STRAT C BUY 1 Units @0.0000	0.00	13.76	0.00	13.76	88.0	12.11
12/26/2017	***-**-80IN - COBB, JAMES ACCOUNT #: LSR011042	MFS GLOBAL ALTERNATIVE STRAT C BUY 1 Units @0.0000	0.00	7.36	0.00	7.36	88.0	6.48
12/26/2017	***-**-09IO - BATES, FBO MRS ACCOUNT #: LSR011117	MFS GLOBAL ALTERNATIVE STRAT C BUY 1 Units @0.0000	0.00	12.53	0.00	12.53	88.0	11.03
12/26/2017	***-**-11IO - LYNN G. ACCOUNT #: LSR011239	MFS GLOBAL ALTERNATIVE STRAT C BUY 1 Units @0.0000	0.00	17.04	0.00	17.04	88.0	15.00
12/26/2017	***-**-80IO - EVANS, RICHARD ACCOUNT #: LSR011276	MFS GLOBAL ALTERNATIVE STRAT C BUY 1 Units @0.0000	0.00	10.48	0.00	10.48	88.0	9.22
12/26/2017	***-**-45IO - JOHNSON, GREGORY ACCOUNT #: LSR011421	MFS GLOBAL ALTERNATIVE STRAT C BUY 1 Units @0.0000	0.00	12.79	0.00	12.79	88.0	11.26
12/26/2017	***-**-094I - KATRENA L ACCOUNT #: LSR011188	MFS GLOBAL BOND FUND CLASS C BUY 1 Units @0.0000	0.00	3.38	0.00	3.38	88.0	2.97
12/26/2017	***-**-978I - GUNN, KATHLEEN ACCOUNT #: LSR011345	MFS GLOBAL EQUITY FUND-B BUY 1 Units @0.0000	0.00	0.67	0.00	0.67	88.0	0.59
12/26/2017	***-**-53IN - EVANS, ANDREW ACCOUNT #: LSR011483	MFS GLOBAL EQUITY FUND-B BUY 1 Units @0.0000	0.00	0.25	0.00	0.25	88.0	0.22
12/26/2017	***-**-24IN - BLISS, RYAN ACCOUNT #: LSR011502	MFS GLOBAL EQUITY FUND-B BUY 1 Units @0.0000	0.00	0.31	0.00	0.31	88.0	0.27
12/26/2017	***-**-21IO - RADELL, SANDRA ACCOUNT #: LSR011392	MFS GLOBAL REAL ESTATE FUND CL B BUY 1 Units @0.0000	0.00	1.44	0.00	1.44	88.0	1.27
12/26/2017	***-**-53IN - EVANS, ANDREW ACCOUNT #: LSR011483	MFS GLOBAL REAL ESTATE FUND CL B BUY 1 Units @0.0000	0.00	0.26	0.00	0.26	88.0	0.23
12/26/2017	***-**-24IN - BLISS, RYAN ACCOUNT #: LSR011502	MFS GLOBAL REAL ESTATE FUND CL B BUY 1 Units @0.0000	0.00	0.16	0.00	0.16	88.0	0.14
12/26/2017	***-**-38IO - BROWN, TYLER ACCOUNT #: LSR011602	MFS GLOBAL REAL ESTATE FUND CL B BUY 1 Units @0.0000	0.00	0.71	0.00	0.71	88.0	0.62
12/26/2017	***-**-628I - SANGER, SANDRA ACCOUNT #: LSR010942	MFS GLOBAL TOTAL RETURN FUND-A BUY 1 Units @0.0000	0.00	0.33	0.00	0.33	88.0	0.29
12/26/2017	***-**-944O - MAYO, DEBORAH ACCOUNT #: LSR011035	MFS GLOBAL TOTAL RETURN FUND-A BUY 1 Units @0.0000	0.00	0.31	0.00	0.31	88.0	0.27



COMMISSION STATEMENT

January 01, 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>								
12/26/2017	***-**-653J - KOCHER, CLINTON	MFS GLOBAL TOTAL RETURN FUND-A	0.00	0.34	0.00	0.34	88.0	0.30
	ACCOUNT #: LSR011298	BUY 1 Units @0.0000						
12/18/2017	***-**-53RI - FALCHI, VALERIE	MFS GLOBAL TOTAL RETURN FUND-B	50.00	2.00	0.00	2.00	88.0	1.76
	ACCOUNT #: 08191172002	BUY 3 Units @18.7600						
12/26/2017	***-**-254I - AUGUSTINE, LINDA	MFS GLOBAL TOTAL RETURN FUND-B	0.00	0.98	0.00	0.98	88.0	0.86
	ACCOUNT #: LSR010846	BUY 1 Units @0.0000						
12/26/2017	***-**-881J - EBERLEY, SUSAN	MFS GLOBAL TOTAL RETURN FUND-B	0.00	1.50	0.00	1.50	88.0	1.32
	ACCOUNT #: LSR010856	BUY 1 Units @0.0000						
12/26/2017	***-**-949I - ACEE, JOSPEH	MFS GLOBAL TOTAL RETURN FUND-B	0.00	1.47	0.00	1.47	88.0	1.29
	ACCOUNT #: LSR010908	BUY 1 Units @0.0000						
12/26/2017	***-**-31IO - HARTZ, CLAUDIA	MFS GLOBAL TOTAL RETURN FUND-B	0.00	0.78	0.00	0.78	88.0	0.69
	ACCOUNT #: LSR010915	BUY 1 Units @0.0000						
12/26/2017	***-**-628I - SANGER, SANDRA	MFS GLOBAL TOTAL RETURN FUND-B	0.00	0.57	0.00	0.57	88.0	0.50
	ACCOUNT #: LSR010942	BUY 1 Units @0.0000						
12/26/2017	***-**-959I - FRANZ, PAUL	MFS GLOBAL TOTAL RETURN FUND-B	0.00	2.79	0.00	2.79	88.0	2.46
	ACCOUNT #: LSR010959	BUY 1 Units @0.0000						
12/26/2017	***-**-960J - MASTRANGELO,	MFS GLOBAL TOTAL RETURN FUND-B	0.00	2.09	0.00	2.09	88.0	1.84
	ACCOUNT #: LSR010966	BUY 1 Units @0.0000						
12/26/2017	***-**-51IO - CAIN, TIMOTHY	MFS GLOBAL TOTAL RETURN FUND-B	0.00	1.60	0.00	1.60	88.0	1.41
	ACCOUNT #: LSR011007	BUY 1 Units @0.0000						
12/26/2017	***-**-60UT - FALCHI, ADALYNN	MFS GLOBAL TOTAL RETURN FUND-B	0.00	0.22	0.00	0.22	88.0	0.19
	ACCOUNT #: LSR011010	BUY 1 Units @0.0000						
12/26/2017	***-**-761I - EVANS, DOLORES	MFS GLOBAL TOTAL RETURN FUND-B	0.00	5.64	0.00	5.64	88.0	4.96
	ACCOUNT #: LSR011024	BUY 1 Units @0.0000						
12/26/2017	***-**-944O - MAYO, DEBORAH	MFS GLOBAL TOTAL RETURN FUND-B	0.00	0.58	0.00	0.58	88.0	0.51
	ACCOUNT #: LSR011035	BUY 1 Units @0.0000						
12/26/2017	***-**-63TR - EVANS, AUDREY J	MFS GLOBAL TOTAL RETURN FUND-B	0.00	3.26	0.00	3.26	88.0	2.87
	ACCOUNT #: LSR011036	BUY 1 Units @0.0000						
12/26/2017	***-**-306X - COBB, CHERRYL	MFS GLOBAL TOTAL RETURN FUND-B	0.00	1.52	0.00	1.52	88.0	1.34
	ACCOUNT #: LSR011037	BUY 1 Units @0.0000						
12/26/2017	***-**-96IN - NESSIA, BONNIE	MFS GLOBAL TOTAL RETURN FUND-B	0.00	1.17	0.00	1.17	88.0	1.03
	ACCOUNT #: LSR011055	BUY 1 Units @0.0000						



COMMISSION STATEMENT

January 01, 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>								
12/26/2017	***-**-579I - RHYMESTINE, ACCOUNT #: LSR011082	MFS GLOBAL TOTAL RETURN FUND-B BUY 1 Units @0.0000	0.00	2.89	0.00	2.89	88.0	2.54
12/26/2017	***-**-861I - SANGER, LAWRENCE ACCOUNT #: LSR011095	MFS GLOBAL TOTAL RETURN FUND-B BUY 1 Units @0.0000	0.00	1.99	0.00	1.99	88.0	1.75
12/26/2017	***-**-13IN - RHYMESTINE, ACCOUNT #: LSR011106	MFS GLOBAL TOTAL RETURN FUND-B BUY 1 Units @0.0000	0.00	1.02	0.00	1.02	88.0	0.90
12/26/2017	***-**-76IO - MCALLISTER, FBO ACCOUNT #: LSR011107	MFS GLOBAL TOTAL RETURN FUND-B BUY 1 Units @0.0000	0.00	0.63	0.00	0.63	88.0	0.55
12/26/2017	***-**-506J - CURRIERE JR, MR ACCOUNT #: LSR011121	MFS GLOBAL TOTAL RETURN FUND-B BUY 1 Units @0.0000	0.00	0.91	0.00	0.91	88.0	0.80
12/26/2017	***-**-367J - WAGNER, MRS LANT ACCOUNT #: LSR011134	MFS GLOBAL TOTAL RETURN FUND-B BUY 1 Units @0.0000	0.00	1.63	0.00	1.63	88.0	1.43
12/26/2017	***-**-31IO - WILLIAMSON, FBO ACCOUNT #: LSR011172	MFS GLOBAL TOTAL RETURN FUND-B BUY 1 Units @0.0000	0.00	4.46	0.00	4.46	88.0	3.92
12/26/2017	***-**-64IO - PFAFF, GEORGE ACCOUNT #: LSR011185	MFS GLOBAL TOTAL RETURN FUND-B BUY 1 Units @0.0000	0.00	1.22	0.00	1.22	88.0	1.07
12/26/2017	***-**-62IR - ROBBIANO, FBO ACCOUNT #: LSR011195	MFS GLOBAL TOTAL RETURN FUND-B BUY 1 Units @0.0000	0.00	0.90	0.00	0.90	88.0	0.79
12/26/2017	***-**-52IO - EUSEPI, SUSAN ACCOUNT #: LSR011219	MFS GLOBAL TOTAL RETURN FUND-B BUY 1 Units @0.0000	0.00	2.80	0.00	2.80	88.0	2.46
12/26/2017	***-**-02IN - BUSHEY, MELISSA ACCOUNT #: LSR011257	MFS GLOBAL TOTAL RETURN FUND-B BUY 1 Units @0.0000	0.00	0.67	0.00	0.67	88.0	0.59
12/26/2017	***-**-653J - KOCHEM, CLINTON ACCOUNT #: LSR011298	MFS GLOBAL TOTAL RETURN FUND-B BUY 1 Units @0.0000	0.00	0.58	0.00	0.58	88.0	0.51
12/26/2017	***-**-653I - KOCHEM, CLINTON ACCOUNT #: LSR011300	MFS GLOBAL TOTAL RETURN FUND-B BUY 1 Units @0.0000	0.00	2.61	0.00	2.61	88.0	2.30
12/26/2017	***-**-62IN - EATON, DAVID ACCOUNT #: LSR011315	MFS GLOBAL TOTAL RETURN FUND-B BUY 1 Units @0.0000	0.00	0.68	0.00	0.68	88.0	0.60
12/26/2017	***-**-21IO - RADELL, SANDRA ACCOUNT #: LSR011392	MFS GLOBAL TOTAL RETURN FUND-B BUY 1 Units @0.0000	0.00	1.70	0.00	1.70	88.0	1.50
12/26/2017	***-**-241I - DINITTO, ALLISYN ACCOUNT #: LSR011444	MFS GLOBAL TOTAL RETURN FUND-B BUY 1 Units @0.0000	0.00	1.24	0.00	1.24	88.0	1.09



COMMISSION STATEMENT

January 01, 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>								
12/26/2017	***-**-51IN - GERACE, JOANNE	MFS GLOBAL TOTAL RETURN FUND-B	0.00	1.58	0.00	1.58	88.0	1.39
	ACCOUNT #: LSR011538	BUY 1 Units @0.0000						
12/27/2017	***-**-52IR - ROBERTS, LILLIAN	MFS GLOBAL TOTAL RETURN FUND-B	6,250.01	250.00	0.00	250.00	88.0	220.00
	ACCOUNT #: LSR012351	BUY 338 Units @18.4900						
12/26/2017	***-**-09IO - BATES, FBO MRS	MFS GLOBAL TOTAL RETURN FUND-C	0.00	18.02	0.00	18.02	88.0	15.86
	ACCOUNT #: LSR011117	BUY 1 Units @0.0000						
12/26/2017	***-**-11IO - LYNN G.	MFS GLOBAL TOTAL RETURN FUND-C	0.00	13.88	0.00	13.88	88.0	12.21
	ACCOUNT #: LSR011239	BUY 1 Units @0.0000						
12/26/2017	***-**-376I - BERBEN, GAIL	MFS GLOBAL TOTAL RETURN FUND-C	0.00	12.56	0.00	12.56	88.0	11.05
	ACCOUNT #: LSR011380	BUY 1 Units @0.0000						
12/26/2017	***-**-45IO - JOHNSON, GREGORY	MFS GLOBAL TOTAL RETURN FUND-C	0.00	21.57	0.00	21.57	88.0	18.98
	ACCOUNT #: LSR011421	BUY 1 Units @0.0000						
12/26/2017	***-**-254I - AUGUSTINE, LINDA	MFS GOVERNMENT SECURITIES FUND-B	0.00	1.65	0.00	1.65	88.0	1.45
	ACCOUNT #: LSR010846	BUY 1 Units @0.0000						
12/26/2017	***-**-111J - NESSIA, JAMES	MFS GOVERNMENT SECURITIES FUND-B	0.00	0.54	0.00	0.54	88.0	0.48
	ACCOUNT #: LSR011054	BUY 1 Units @0.0000						
12/26/2017	***-**-13IN - ROTH, KAREN	MFS GOVERNMENT SECURITIES FUND-B	0.00	0.78	0.00	0.78	88.0	0.69
	ACCOUNT #: LSR011954	BUY 1 Units @0.0000						
12/26/2017	***-**-44IO - MAYO, DEBORAH	MFS HIGH INCOME CLASS C	0.00	0.42	0.00	0.42	88.0	0.37
	ACCOUNT #: LSR011079	BUY 1 Units @0.0000						
12/26/2017	***-**-61IN - EVANS, DOLORES	MFS HIGH INCOME FUND-B	0.00	0.26	0.00	0.26	88.0	0.23
	ACCOUNT #: LSR011023	BUY 1 Units @0.0000						
12/26/2017	***-**-13IN - ROTH, KAREN	MFS HIGH INCOME FUND-B	0.00	0.79	0.00	0.79	88.0	0.70
	ACCOUNT #: LSR011954	BUY 1 Units @0.0000						
12/26/2017	***-**-881I - EBERLEY, SUSAN	MFS HIGH YIELD OPPORTUNITIES FUND-B	0.00	0.66	0.00	0.66	88.0	0.58
	ACCOUNT #: LSR010858	BUY 1 Units @0.0000						
12/26/2017	***-**-13IN - ROTH, KAREN	MFS HIGH YIELD OPPORTUNITIES FUND-B	0.00	0.82	0.00	0.82	88.0	0.72
	ACCOUNT #: LSR011954	BUY 1 Units @0.0000						
12/26/2017	***-**-73TR - WESTCOTT IRRVOC	MFS HIGH YIELD OPPORTUNITIES FUND-C	0.00	9.10	0.00	9.10	88.0	8.01
	ACCOUNT #: LSR011001	BUY 1 Units @0.0000						
12/26/2017	***-**-73TR - WESTCOTT IRRVOC	MFS HIGH YIELD OPPORTUNITIES FUND-C	0.00	9.08	0.00	9.08	88.0	7.99
	ACCOUNT #: LSR011008	BUY 1 Units @0.0000						



COMMISSION STATEMENT

January 01, 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> 								
12/26/2017	***-**-881J - EBERLEY, SUSAN ACCOUNT #: LSR010856	MFS INFLATION ADJUSTED BOND CL B BUY 1 Units @0.0000	0.00	0.39	0.00	0.39	88.0	0.34
12/26/2017	***-**-949I - ACEE, JOSPEH ACCOUNT #: LSR010908	MFS INFLATION ADJUSTED BOND CL B BUY 1 Units @0.0000	0.00	0.48	0.00	0.48	88.0	0.42
12/26/2017	***-**-31IO - HARTZ, CLAUDIA ACCOUNT #: LSR010915	MFS INFLATION ADJUSTED BOND CL B BUY 1 Units @0.0000	0.00	0.47	0.00	0.47	88.0	0.41
12/26/2017	***-**-15IN - PENDRAK, JOHN ACCOUNT #: LSR010948	MFS INFLATION ADJUSTED BOND CL B BUY 1 Units @0.0000	0.00	0.83	0.00	0.83	88.0	0.73
12/26/2017	***-**-960J - MASTRANGELO, ACCOUNT #: LSR010966	MFS INFLATION ADJUSTED BOND CL B BUY 1 Units @0.0000	0.00	0.28	0.00	0.28	88.0	0.25
12/26/2017	***-**-366I - GRUENEWALD, ACCOUNT #: LSR010989	MFS INFLATION ADJUSTED BOND CL B BUY 1 Units @0.0000	0.00	0.35	0.00	0.35	88.0	0.31
12/26/2017	***-**-761I - EVANS, DOLORES ACCOUNT #: LSR011024	MFS INFLATION ADJUSTED BOND CL B BUY 1 Units @0.0000	0.00	1.19	0.00	1.19	88.0	1.05
12/26/2017	***-**-63TR - EVANS, AUDREY J ACCOUNT #: LSR011036	MFS INFLATION ADJUSTED BOND CL B BUY 1 Units @0.0000	0.00	0.31	0.00	0.31	88.0	0.27
12/26/2017	***-**-580X - COBB, JAMES ACCOUNT #: LSR011040	MFS INFLATION ADJUSTED BOND CL B BUY 1 Units @0.0000	0.00	0.59	0.00	0.59	88.0	0.52
12/26/2017	***-**-111J - NESSIA, JAMES ACCOUNT #: LSR011054	MFS INFLATION ADJUSTED BOND CL B BUY 1 Units @0.0000	0.00	0.33	0.00	0.33	88.0	0.29
12/26/2017	***-**-326J - GRANDE, MR ACCOUNT #: LSR011089	MFS INFLATION ADJUSTED BOND CL B BUY 1 Units @0.0000	0.00	0.61	0.00	0.61	88.0	0.54
12/26/2017	***-**-861I - SANGER, LAWRENCE ACCOUNT #: LSR011095	MFS INFLATION ADJUSTED BOND CL B BUY 1 Units @0.0000	0.00	0.66	0.00	0.66	88.0	0.58
12/26/2017	***-**-76IO - MCALLISTER, FBO ACCOUNT #: LSR011107	MFS INFLATION ADJUSTED BOND CL B BUY 1 Units @0.0000	0.00	0.34	0.00	0.34	88.0	0.30
12/26/2017	***-**-506J - CURRIERE JR, MR ACCOUNT #: LSR011121	MFS INFLATION ADJUSTED BOND CL B BUY 1 Units @0.0000	0.00	0.18	0.00	0.18	88.0	0.16
12/26/2017	***-**-48IO - ANACKER, FBO MRS ACCOUNT #: LSR011164	MFS INFLATION ADJUSTED BOND CL B BUY 1 Units @0.0000	0.00	0.82	0.00	0.82	88.0	0.72
12/26/2017	***-**-31IO - WILLIAMSON, FBO ACCOUNT #: LSR011172	MFS INFLATION ADJUSTED BOND CL B BUY 1 Units @0.0000	0.00	0.61	0.00	0.61	88.0	0.54



COMMISSION STATEMENT

January 01, 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>								
12/26/2017	***-**-64IO - PFAFF, GEORGE ACCOUNT #: LSR011185	MFS INFLATION ADJUSTED BOND CL B BUY 1 Units @0.0000	0.00	0.48	0.00	0.48	88.0	0.42
12/26/2017	***-**-62IR - ROBBIANO, FBO ACCOUNT #: LSR011195	MFS INFLATION ADJUSTED BOND CL B BUY 1 Units @0.0000	0.00	0.24	0.00	0.24	88.0	0.21
12/26/2017	***-**-382I - SATTERLY, NEIL ACCOUNT #: LSR010867	MFS INFLATION ADJUSTED BOND CL C BUY 1 Units @0.0000	0.00	9.58	0.00	9.58	88.0	8.43
12/26/2017	***-**-031O - MCVOY, ROBERT ACCOUNT #: LSR010916	MFS INFLATION ADJUSTED BOND CL C BUY 1 Units @0.0000	0.00	2.71	0.00	2.71	88.0	2.38
12/26/2017	***-**-44IO - MAYO, DEBORAH ACCOUNT #: LSR011079	MFS INFLATION ADJUSTED BOND CL C BUY 1 Units @0.0000	0.00	0.08	0.00	0.08	88.0	0.07
12/26/2017	***-**-065I - LAZIO, THOMAS ACCOUNT #: LSR010979	MFS INTERNATIONAL NEW DISCOVERY CL BUY 1 Units @0.0000	0.00	5.47	0.00	5.47	88.0	4.81
12/26/2017	***-**-254I - AUGUSTINE, LINDA ACCOUNT #: LSR010846	MFS INTERNATIONAL NEW DISCOVERY FUN BUY 1 Units @0.0000	0.00	1.32	0.00	1.32	88.0	1.16
12/26/2017	***-**-930I - SANGER, KEVIN ACCOUNT #: LSR010941	MFS INTERNATIONAL NEW DISCOVERY FUN BUY 1 Units @0.0000	0.00	0.81	0.00	0.81	88.0	0.71
12/26/2017	***-**-959I - FRANZ, PAUL ACCOUNT #: LSR010959	MFS INTERNATIONAL NEW DISCOVERY FUN BUY 1 Units @0.0000	0.00	1.81	0.00	1.81	88.0	1.59
12/26/2017	***-**-960J - MASTRANGELO, ACCOUNT #: LSR010966	MFS INTERNATIONAL NEW DISCOVERY FUN BUY 1 Units @0.0000	0.00	1.26	0.00	1.26	88.0	1.11
12/26/2017	***-**-761I - EVANS, DOLORES ACCOUNT #: LSR011024	MFS INTERNATIONAL NEW DISCOVERY FUN BUY 1 Units @0.0000	0.00	5.09	0.00	5.09	88.0	4.48
12/26/2017	***-**-944O - MAYO, DEBORAH ACCOUNT #: LSR011035	MFS INTERNATIONAL NEW DISCOVERY FUN BUY 1 Units @0.0000	0.00	0.71	0.00	0.71	88.0	0.62
12/26/2017	***-**-861I - SANGER, LAWRENCE ACCOUNT #: LSR011095	MFS INTERNATIONAL NEW DISCOVERY FUN BUY 1 Units @0.0000	0.00	0.77	0.00	0.77	88.0	0.68
12/26/2017	***-**-13IN - RHYMESTINE, ACCOUNT #: LSR011106	MFS INTERNATIONAL NEW DISCOVERY FUN BUY 1 Units @0.0000	0.00	1.10	0.00	1.10	88.0	0.97
12/26/2017	***-**-31IO - WILLIAMSON, FBO ACCOUNT #: LSR011172	MFS INTERNATIONAL NEW DISCOVERY FUN BUY 1 Units @0.0000	0.00	3.61	0.00	3.61	88.0	3.18
12/26/2017	***-**-03IO - MASTRANGELO, ACCOUNT #: LSR011679	MFS INTERNATIONAL NEW DISCOVERY FUN BUY 1 Units @0.0000	0.00	1.63	0.00	1.63	88.0	1.43



COMMISSION STATEMENT

January 01, 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>								
12/26/2017	***-**-51IO - CAIN, TIMOTHY	MFS INTERNATIONAL VALUE FUND-B	0.00	0.91	0.00	0.91	88.0	0.80
	ACCOUNT #: LSR011007	BUY 1 Units @0.0000						
12/26/2017	***-**-861I - SANGER, LAWRENCE	MFS LIFETIME INCOME CLASS B	0.00	1.30	0.00	1.30	88.0	1.14
	ACCOUNT #: LSR011095	BUY 1 Units @0.0000						
12/26/2017	***-**-959J - FRANZ, PAUL	MFS MODERATE ALLOCATION CL C	0.00	13.67	0.00	13.67	88.0	12.03
	ACCOUNT #: LSR010958	BUY 1 Units @0.0000						
12/26/2017	***-**-86IN - LEE, KEVIN	MFS MODERATE ALLOCATION CL C	0.00	23.52	0.00	23.52	88.0	20.70
	ACCOUNT #: LSR011613	BUY 1 Units @0.0000						
12/15/2017	***-**-213I - GRUENEWALD,	MFS NEW DISCOVERY FUND-B	100.00	4.00	0.00	4.00	88.0	3.52
	ACCOUNT #: 08190131132	BUY 5 Units @21.9500						
12/26/2017	***-**-960J - MASTRANGELO,	MFS NEW DISCOVERY FUND-B	0.00	2.37	0.00	2.37	88.0	2.09
	ACCOUNT #: LSR010966	BUY 1 Units @0.0000						
12/26/2017	***-**-31IO - WILLIAMSON, FBO	MFS NEW DISCOVERY FUND-B	0.00	1.43	0.00	1.43	88.0	1.26
	ACCOUNT #: LSR011172	BUY 1 Units @0.0000						
12/26/2017	***-**-978I - GUNN, KATHLEEN	MFS NEW DISCOVERY FUND-B	0.00	0.61	0.00	0.61	88.0	0.54
	ACCOUNT #: LSR011345	BUY 1 Units @0.0000						
12/26/2017	***-**-197I - GAMBINO, ANDREW	MFS NEW DISCOVERY VALUE FUND CL B	0.00	0.26	0.00	0.26	88.0	0.23
	ACCOUNT #: LSR011465	BUY 1 Units @0.0000						
12/26/2017	***-**-53IN - EVANS, ANDREW	MFS NEW DISCOVERY VALUE FUND CL B	0.00	0.25	0.00	0.25	88.0	0.22
	ACCOUNT #: LSR011483	BUY 1 Units @0.0000						
12/26/2017	***-**-24IN - BLISS, RYAN	MFS NEW DISCOVERY VALUE FUND CL B	0.00	0.32	0.00	0.32	88.0	0.28
	ACCOUNT #: LSR011502	BUY 1 Units @0.0000						
12/26/2017	***-**-38IO - BROWN, TYLER	MFS NEW DISCOVERY VALUE FUND CL B	0.00	0.70	0.00	0.70	88.0	0.62
	ACCOUNT #: LSR011602	BUY 1 Units @0.0000						
12/26/2017	***-**-382I - SATTERLY, NEIL	MFS NEW DISCOVERY VALUE FUND CL C	0.00	0.26	0.00	0.26	88.0	0.23
	ACCOUNT #: LSR010867	BUY 1 Units @0.0000						
12/26/2017	***-**-44IO - MAYO, DEBORAH	MFS NEW DISCOVERY VALUE FUND CL C	0.00	0.31	0.00	0.31	88.0	0.27
	ACCOUNT #: LSR011079	BUY 1 Units @0.0000						
12/26/2017	***-**-63TR - EVANS, AUDREY J	MFS NEW YORK MUNICIPAL BOND FUND-B	0.00	1.59	0.00	1.59	88.0	1.40
	ACCOUNT #: LSR011036	BUY 1 Units @0.0000						
12/26/2017	***-**-111J - NESSIA, JAMES	MFS NEW YORK MUNICIPAL BOND FUND-B	0.00	0.49	0.00	0.49	88.0	0.43
	ACCOUNT #: LSR011054	BUY 1 Units @0.0000						



COMMISSION STATEMENT

January 01, 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>								
12/26/2017	***-**-254I - AUGUSTINE, LINDA	MFS RESEARCH BOND FUND-B	0.00	0.57	0.00	0.57	88.0	0.50
	ACCOUNT #: LSR010846	BUY 1 Units @0.0000						
12/26/2017	***-**-959I - FRANZ, PAUL	MFS RESEARCH BOND FUND-B	0.00	0.83	0.00	0.83	88.0	0.73
	ACCOUNT #: LSR010959	BUY 1 Units @0.0000						
12/26/2017	***-**-51IO - CAIN, TIMOTHY	MFS RESEARCH BOND FUND-B	0.00	1.32	0.00	1.32	88.0	1.16
	ACCOUNT #: LSR011007	BUY 1 Units @0.0000						
12/26/2017	***-**-761I - EVANS, DOLORES	MFS RESEARCH BOND FUND-B	0.00	1.32	0.00	1.32	88.0	1.16
	ACCOUNT #: LSR011024	BUY 1 Units @0.0000						
12/26/2017	***-**-111J - NESSIA, JAMES	MFS RESEARCH BOND FUND-B	0.00	0.37	0.00	0.37	88.0	0.33
	ACCOUNT #: LSR011054	BUY 1 Units @0.0000						
12/26/2017	***-**-861I - SANGER, LAWRENCE	MFS RESEARCH BOND FUND-B	0.00	0.39	0.00	0.39	88.0	0.34
	ACCOUNT #: LSR011095	BUY 1 Units @0.0000						
12/26/2017	***-**-76IO - MCALLISTER, FBO	MFS RESEARCH BOND FUND-B	0.00	0.53	0.00	0.53	88.0	0.47
	ACCOUNT #: LSR011107	BUY 1 Units @0.0000						
12/26/2017	***-**-367J - WAGNER, MRS LANT	MFS RESEARCH BOND FUND-B	0.00	0.48	0.00	0.48	88.0	0.42
	ACCOUNT #: LSR011134	BUY 1 Units @0.0000						
12/26/2017	***-**-31IO - WILLIAMSON, FBO	MFS RESEARCH BOND FUND-B	0.00	0.65	0.00	0.65	88.0	0.57
	ACCOUNT #: LSR011172	BUY 1 Units @0.0000						
12/26/2017	***-**-02IN - BUSHEY, MELISSA	MFS RESEARCH BOND FUND-B	0.00	0.22	0.00	0.22	88.0	0.19
	ACCOUNT #: LSR011257	BUY 1 Units @0.0000						
12/26/2017	***-**-62IN - EATON, DAVID	MFS RESEARCH BOND FUND-B	0.00	0.57	0.00	0.57	88.0	0.50
	ACCOUNT #: LSR011315	BUY 1 Units @0.0000						
12/26/2017	***-**-326J - GRANDE, MR	MFS STRATEGIC INCOME FUND-B	0.00	1.11	0.00	1.11	88.0	0.98
	ACCOUNT #: LSR011089	BUY 1 Units @0.0000						
12/26/2017	***-**-382I - SATTERLY, NEIL	MFS TECHNOLOGY CLASS C	0.00	1.06	0.00	1.06	88.0	0.93
	ACCOUNT #: LSR010867	BUY 1 Units @0.0000						
12/26/2017	***-**-48IO - CLARK, PATRICK	MFS TECHNOLOGY CLASS C	0.00	6.92	0.00	6.92	88.0	6.09
	ACCOUNT #: LSR010911	BUY 1 Units @0.0000						
12/26/2017	***-**-031O - MCVOY, ROBERT	MFS TECHNOLOGY CLASS C	0.00	4.50	0.00	4.50	88.0	3.96
	ACCOUNT #: LSR010916	BUY 1 Units @0.0000						
12/26/2017	***-**-930I - SANGER, KEVIN	MFS TECHNOLOGY CLASS C	0.00	8.50	0.00	8.50	88.0	7.48
	ACCOUNT #: LSR010941	BUY 1 Units @0.0000						



COMMISSION STATEMENT

January 01, 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>								
12/26/2017	***-**-065I - LAZIO, THOMAS	MFS TECHNOLOGY CLASS C	0.00	5.52	0.00	5.52	88.0	4.86
	ACCOUNT #: LSR010979	BUY 1 Units @0.0000						
12/26/2017	***-**-00IO - LEE, GARY	MFS TECHNOLOGY CLASS C	0.00	10.99	0.00	10.99	88.0	9.67
	ACCOUNT #: LSR011059	BUY 1 Units @0.0000						
12/26/2017	***-**-09IO - BATES, FBO MRS	MFS TECHNOLOGY CLASS C	0.00	10.84	0.00	10.84	88.0	9.54
	ACCOUNT #: LSR011117	BUY 1 Units @0.0000						
12/26/2017	***-**-89IN - LEE, ROGER	MFS TECHNOLOGY CLASS C	0.00	6.12	0.00	6.12	88.0	5.39
	ACCOUNT #: LSR011166	BUY 1 Units @0.0000						
12/26/2017	***-**-094I - KATRENA L	MFS TECHNOLOGY CLASS C	0.00	6.10	0.00	6.10	88.0	5.37
	ACCOUNT #: LSR011188	BUY 1 Units @0.0000						
12/26/2017	***-**-06IR - CAMPBELL, PAMELA	MFS TECHNOLOGY CLASS C	0.00	7.61	0.00	7.61	88.0	6.70
	ACCOUNT #: LSR011222	BUY 1 Units @0.0000						
12/26/2017	***-**-11IO - LYNN G.	MFS TECHNOLOGY CLASS C	0.00	6.29	0.00	6.29	88.0	5.54
	ACCOUNT #: LSR011239	BUY 1 Units @0.0000						
12/26/2017	***-**-45IO - JOHNSON, GREGORY	MFS TECHNOLOGY CLASS C	0.00	8.56	0.00	8.56	88.0	7.53
	ACCOUNT #: LSR011421	BUY 1 Units @0.0000						
12/26/2017	***-**-37IO - MCCLUSKY, MARK	MFS TECHNOLOGY CLASS C	0.00	2.40	0.00	2.40	88.0	2.11
	ACCOUNT #: LSR011579	BUY 1 Units @0.0000						
12/26/2017	***-**-86IN - LEE, KEVIN	MFS TECHNOLOGY CLASS C	0.00	9.53	0.00	9.53	88.0	8.39
	ACCOUNT #: LSR011613	BUY 1 Units @0.0000						
12/26/2017	***-**-944O - MAYO, DEBORAH	MFS TECHNOLOGY FUND CLASS A	0.00	0.42	0.00	0.42	88.0	0.37
	ACCOUNT #: LSR011035	BUY 1 Units @0.0000						
12/26/2017	***-**-808J - GORMAN, RANDY	MFS TECHNOLOGY FUND CLASS A	0.00	0.21	0.00	0.21	88.0	0.18
	ACCOUNT #: LSR011087	BUY 1 Units @0.0000						
12/26/2017	***-**-31IO - HARTZ, CLAUDIA	MFS TECHNOLOGY FUND-B	0.00	0.82	0.00	0.82	88.0	0.72
	ACCOUNT #: LSR010915	BUY 1 Units @0.0000						
12/26/2017	***-**-15IN - PENDRAK, JOHN	MFS TECHNOLOGY FUND-B	0.00	2.18	0.00	2.18	88.0	1.92
	ACCOUNT #: LSR010948	BUY 1 Units @0.0000						
12/26/2017	***-**-959I - FRANZ, PAUL	MFS TECHNOLOGY FUND-B	0.00	1.82	0.00	1.82	88.0	1.60
	ACCOUNT #: LSR010959	BUY 1 Units @0.0000						
12/26/2017	***-**-169I - EVANS, PAUL	MFS TECHNOLOGY FUND-B	0.00	1.43	0.00	1.43	88.0	1.26
	ACCOUNT #: LSR011026	BUY 1 Units @0.0000						



COMMISSION STATEMENT

January 01, 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>								
12/26/2017	***-**-9440 - MAYO, DEBORAH	MFS TECHNOLOGY FUND-B	0.00	0.78	0.00	0.78	88.0	0.69
	ACCOUNT #: LSR011035	BUY 1 Units @0.0000						
12/26/2017	***-**-580X - COBB, JAMES	MFS TECHNOLOGY FUND-B	0.00	1.18	0.00	1.18	88.0	1.04
	ACCOUNT #: LSR011040	BUY 1 Units @0.0000						
12/26/2017	***-**-579J - RHYMESTINE,	MFS TECHNOLOGY FUND-B	0.00	0.94	0.00	0.94	88.0	0.83
	ACCOUNT #: LSR011081	BUY 1 Units @0.0000						
12/26/2017	***-**-579I - RHYMESTINE,	MFS TECHNOLOGY FUND-B	0.00	1.25	0.00	1.25	88.0	1.10
	ACCOUNT #: LSR011082	BUY 1 Units @0.0000						
12/26/2017	***-**-326I - GRANDE, FBO MR	MFS TECHNOLOGY FUND-B	0.00	1.60	0.00	1.60	88.0	1.41
	ACCOUNT #: LSR011091	BUY 1 Units @0.0000						
12/26/2017	***-**-992J - CORNACCHIA	MFS TECHNOLOGY FUND-B	0.00	0.40	0.00	0.40	88.0	0.35
	ACCOUNT #: LSR011157	BUY 1 Units @0.0000						
12/26/2017	***-**-48IO - ANACKER, FBO MRS	MFS TECHNOLOGY FUND-B	0.00	1.61	0.00	1.61	88.0	1.42
	ACCOUNT #: LSR011164	BUY 1 Units @0.0000						
12/26/2017	***-**-31IO - WILLIAMSON, FBO	MFS TECHNOLOGY FUND-B	0.00	2.27	0.00	2.27	88.0	2.00
	ACCOUNT #: LSR011172	BUY 1 Units @0.0000						
12/26/2017	***-**-664J - PFAFF, GEORGE	MFS TECHNOLOGY FUND-B	0.00	1.76	0.00	1.76	88.0	1.55
	ACCOUNT #: LSR011184	BUY 1 Units @0.0000						
12/26/2017	***-**-64IO - PFAFF, GEORGE	MFS TECHNOLOGY FUND-B	0.00	0.96	0.00	0.96	88.0	0.84
	ACCOUNT #: LSR011185	BUY 1 Units @0.0000						
12/26/2017	***-**-52IO - EUSEPI, SUSAN	MFS TECHNOLOGY FUND-B	0.00	1.27	0.00	1.27	88.0	1.12
	ACCOUNT #: LSR011219	BUY 1 Units @0.0000						
12/26/2017	***-**-02IN - BUSHEY, MELISSA	MFS TECHNOLOGY FUND-B	0.00	0.95	0.00	0.95	88.0	0.84
	ACCOUNT #: LSR011257	BUY 1 Units @0.0000						
12/26/2017	***-**-75IR - EVANS, DIANE	MFS TECHNOLOGY FUND-B	0.00	1.36	0.00	1.36	88.0	1.20
	ACCOUNT #: LSR011275	BUY 1 Units @0.0000						
12/26/2017	***-**-653I - KOCHER, CLINTON	MFS TECHNOLOGY FUND-B	0.00	3.07	0.00	3.07	88.0	2.70
	ACCOUNT #: LSR011300	BUY 1 Units @0.0000						
12/26/2017	***-**-680I - HARRELL, DARYL	MFS TECHNOLOGY FUND-B	0.00	1.43	0.00	1.43	88.0	1.26
	ACCOUNT #: LSR011321	BUY 1 Units @0.0000						
12/26/2017	***-**-978I - GUNN, KATHLEEN	MFS TECHNOLOGY FUND-B	0.00	0.83	0.00	0.83	88.0	0.73
	ACCOUNT #: LSR011345	BUY 1 Units @0.0000						



COMMISSION STATEMENT

January 01, 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>								
12/26/2017	***-**-197I - GAMBINO, ANDREW ACCOUNT #: LSR011465	MFS TECHNOLOGY FUND-B BUY 1 Units @0.0000	0.00	0.45	0.00	0.45	88.0	0.40
12/26/2017	***-**-53IN - EVANS, ANDREW ACCOUNT #: LSR011483	MFS TECHNOLOGY FUND-B BUY 1 Units @0.0000	0.00	0.47	0.00	0.47	88.0	0.41
12/26/2017	***-**-38IO - BROWN, TYLER ACCOUNT #: LSR011602	MFS TECHNOLOGY FUND-B BUY 1 Units @0.0000	0.00	0.95	0.00	0.95	88.0	0.84
12/26/2017	***-**-03IO - MASTRANGELO, ACCOUNT #: LSR011679	MFS TECHNOLOGY FUND-B BUY 1 Units @0.0000	0.00	1.35	0.00	1.35	88.0	1.19
12/26/2017	***-**-881J - EBERLEY, SUSAN ACCOUNT #: LSR010856	MFS TOTAL RETURN FUND-B BUY 1 Units @0.0000	0.00	1.57	0.00	1.57	88.0	1.38
12/26/2017	***-**-949I - ACEE, JOSPEH ACCOUNT #: LSR010908	MFS TOTAL RETURN FUND-B BUY 1 Units @0.0000	0.00	1.82	0.00	1.82	88.0	1.60
12/26/2017	***-**-960J - MASTRANGELO, ACCOUNT #: LSR010966	MFS TOTAL RETURN FUND-B BUY 1 Units @0.0000	0.00	1.84	0.00	1.84	88.0	1.62
12/26/2017	***-**-506J - CURRIERE JR, MR ACCOUNT #: LSR011121	MFS TOTAL RETURN FUND-B BUY 1 Units @0.0000	0.00	0.96	0.00	0.96	88.0	0.84
12/26/2017	***-**-31IO - WILLIAMSON, FBO ACCOUNT #: LSR011172	MFS TOTAL RETURN FUND-B BUY 1 Units @0.0000	0.00	3.57	0.00	3.57	88.0	3.14
12/26/2017	***-**-62IR - ROBBIANO, FBO ACCOUNT #: LSR011195	MFS TOTAL RETURN FUND-B BUY 1 Units @0.0000	0.00	0.87	0.00	0.87	88.0	0.77
12/26/2017	***-**-944O - MAYO, DEBORAH ACCOUNT #: LSR011035	MFS UTILITIES FUND-A BUY 1 Units @0.0000	0.00	0.30	0.00	0.30	88.0	0.26
12/26/2017	***-**-808J - GORMAN, RANDY ACCOUNT #: LSR011087	MFS UTILITIES FUND-A BUY 1 Units @0.0000	0.00	0.56	0.00	0.56	88.0	0.49
12/15/2017	***-**-094I - CIRILLO, CARL ACCOUNT #: 08190127967	MFS UTILITIES FUND-B BUY 2 Units @20.2500	35.00	1.40	0.00	1.40	88.0	1.23
12/15/2017	***-**-606I - LEWIS, TAMARA ACCOUNT #: 08191352846	MFS UTILITIES FUND-B BUY 2 Units @20.2500	50.00	2.00	0.00	2.00	88.0	1.76
12/26/2017	***-**-31IO - HARTZ, CLAUDIA ACCOUNT #: LSR010915	MFS UTILITIES FUND-B BUY 1 Units @0.0000	0.00	1.31	0.00	1.31	88.0	1.15
12/26/2017	***-**-15IN - PENDRAK, JOHN ACCOUNT #: LSR010948	MFS UTILITIES FUND-B BUY 1 Units @0.0000	0.00	1.82	0.00	1.82	88.0	1.60



COMMISSION STATEMENT

January 01, 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>								
12/26/2017	***-**-366S - GRUENEWALD, ACCOUNT #: LSR010990	MFS UTILITIES FUND-B BUY 1 Units @0.0000	0.00	0.71	0.00	0.71	88.0	0.62
12/26/2017	***-**-61IN - EVANS, DOLORES ACCOUNT #: LSR011023	MFS UTILITIES FUND-B BUY 1 Units @0.0000	0.00	0.27	0.00	0.27	88.0	0.24
12/26/2017	***-**-944O - MAYO, DEBORAH ACCOUNT #: LSR011035	MFS UTILITIES FUND-B BUY 1 Units @0.0000	0.00	0.57	0.00	0.57	88.0	0.50
12/26/2017	***-**-63TR - EVANS, AUDREY J ACCOUNT #: LSR011036	MFS UTILITIES FUND-B BUY 1 Units @0.0000	0.00	1.76	0.00	1.76	88.0	1.55
12/26/2017	***-**-306X - COBB, CHERRYL ACCOUNT #: LSR011037	MFS UTILITIES FUND-B BUY 1 Units @0.0000	0.00	1.93	0.00	1.93	88.0	1.70
12/26/2017	***-**-96IN - NESSIA, BONNIE ACCOUNT #: LSR011055	MFS UTILITIES FUND-B BUY 1 Units @0.0000	0.00	0.54	0.00	0.54	88.0	0.48
12/26/2017	***-**-579I - RHYMESTINE, ACCOUNT #: LSR011082	MFS UTILITIES FUND-B BUY 1 Units @0.0000	0.00	2.00	0.00	2.00	88.0	1.76
12/26/2017	***-**-326J - GRANDE, MR ACCOUNT #: LSR011089	MFS UTILITIES FUND-B BUY 1 Units @0.0000	0.00	0.66	0.00	0.66	88.0	0.58
12/26/2017	***-**-326I - GRANDE, FBO MR ACCOUNT #: LSR011091	MFS UTILITIES FUND-B BUY 1 Units @0.0000	0.00	0.95	0.00	0.95	88.0	0.84
12/26/2017	***-**-13IN - RHYMESTINE, ACCOUNT #: LSR011106	MFS UTILITIES FUND-B BUY 1 Units @0.0000	0.00	0.84	0.00	0.84	88.0	0.74
12/26/2017	***-**-76IO - MCALLISTER, FBO ACCOUNT #: LSR011107	MFS UTILITIES FUND-B BUY 1 Units @0.0000	0.00	0.77	0.00	0.77	88.0	0.68
12/26/2017	***-**-367J - WAGNER, MRS LANT ACCOUNT #: LSR011134	MFS UTILITIES FUND-B BUY 1 Units @0.0000	0.00	1.61	0.00	1.61	88.0	1.42
12/26/2017	***-**-31IO - WILLIAMSON, FBO ACCOUNT #: LSR011172	MFS UTILITIES FUND-B BUY 1 Units @0.0000	0.00	1.30	0.00	1.30	88.0	1.14
12/26/2017	***-**-64IO - PFAFF, GEORGE ACCOUNT #: LSR011185	MFS UTILITIES FUND-B BUY 1 Units @0.0000	0.00	1.64	0.00	1.64	88.0	1.44
12/26/2017	***-**-901J - GURDO, ANTHONY ACCOUNT #: LSR011261	MFS UTILITIES FUND-B BUY 1 Units @0.0000	0.00	0.30	0.00	0.30	88.0	0.26
12/26/2017	***-**-653I - KOCHER, CLINTON ACCOUNT #: LSR011300	MFS UTILITIES FUND-B BUY 1 Units @0.0000	0.00	1.38	0.00	1.38	88.0	1.21



COMMISSION STATEMENT

January 01, 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>								
12/26/2017	***-**-62IN - EATON, DAVID	MFS UTILITIES FUND-B	0.00	1.30	0.00	1.30	88.0	1.14
	ACCOUNT #: LSR011315	BUY 1 Units @0.0000						
12/26/2017	***-**-978I - GUNN, KATHLEEN	MFS UTILITIES FUND-B	0.00	0.39	0.00	0.39	88.0	0.34
	ACCOUNT #: LSR011345	BUY 1 Units @0.0000						
12/26/2017	***-**-21IO - RADELL, SANDRA	MFS UTILITIES FUND-B	0.00	1.59	0.00	1.59	88.0	1.40
	ACCOUNT #: LSR011392	BUY 1 Units @0.0000						
12/26/2017	***-**-41IR - DINITTO, ALLISYN	MFS UTILITIES FUND-B	0.00	0.45	0.00	0.45	88.0	0.40
	ACCOUNT #: LSR011443	BUY 1 Units @0.0000						
12/26/2017	***-**-197I - GAMBINO, ANDREW	MFS UTILITIES FUND-B	0.00	0.12	0.00	0.12	88.0	0.11
	ACCOUNT #: LSR011465	BUY 1 Units @0.0000						
12/26/2017	***-**-53IN - EVANS, ANDREW	MFS UTILITIES FUND-B	0.00	0.17	0.00	0.17	88.0	0.15
	ACCOUNT #: LSR011483	BUY 1 Units @0.0000						
12/26/2017	***-**-24IN - BLISS, RYAN	MFS UTILITIES FUND-B	0.00	0.11	0.00	0.11	88.0	0.10
	ACCOUNT #: LSR011502	BUY 1 Units @0.0000						
12/26/2017	***-**-51IN - GERACE, JOANNE	MFS UTILITIES FUND-B	0.00	1.48	0.00	1.48	88.0	1.30
	ACCOUNT #: LSR011538	BUY 1 Units @0.0000						
12/26/2017	***-**-38IO - BROWN, TYLER	MFS UTILITIES FUND-B	0.00	0.57	0.00	0.57	88.0	0.50
	ACCOUNT #: LSR011602	BUY 1 Units @0.0000						
12/26/2017	***-**-235I - AUGUSTINE III,	MFS UTILITIES FUND-C	0.00	8.85	0.00	8.85	88.0	7.79
	ACCOUNT #: LSR010845	BUY 1 Units @0.0000						
12/26/2017	***-**-980I - ACEE, ELIZABETH	MFS UTILITIES FUND-C	0.00	10.55	0.00	10.55	88.0	9.28
	ACCOUNT #: LSR010885	BUY 1 Units @0.0000						
12/26/2017	***-**-48IO - CLARK, PATRICK	MFS UTILITIES FUND-C	0.00	8.92	0.00	8.92	88.0	7.85
	ACCOUNT #: LSR010911	BUY 1 Units @0.0000						
12/26/2017	***-**-031O - MCVOY, ROBERT	MFS UTILITIES FUND-C	0.00	4.50	0.00	4.50	88.0	3.96
	ACCOUNT #: LSR010916	BUY 1 Units @0.0000						
12/26/2017	***-**-065I - LAZIO, THOMAS	MFS UTILITIES FUND-C	0.00	17.28	0.00	17.28	88.0	15.21
	ACCOUNT #: LSR010979	BUY 1 Units @0.0000						
12/26/2017	***-**-00IO - LEE, GARY	MFS UTILITIES FUND-C	0.00	10.47	0.00	10.47	88.0	9.21
	ACCOUNT #: LSR011059	BUY 1 Units @0.0000						
12/26/2017	***-**-09IO - BATES, FBO MRS	MFS UTILITIES FUND-C	0.00	11.00	0.00	11.00	88.0	9.68
	ACCOUNT #: LSR011117	BUY 1 Units @0.0000						



COMMISSION STATEMENT

January 01, 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>								
12/26/2017	***-**-89IN - LEE, ROGER	MFS UTILITIES FUND-C	0.00	6.66	0.00	6.66	88.0	5.86
	ACCOUNT #: LSR011166	BUY 1 Units @0.0000						
12/26/2017	***-**-81IR - CAMPBELL,	MFS UTILITIES FUND-C	0.00	6.84	0.00	6.84	88.0	6.02
	ACCOUNT #: LSR011223	BUY 1 Units @0.0000						
12/26/2017	***-**-11IO - LYNN G.	MFS UTILITIES FUND-C	0.00	9.50	0.00	9.50	88.0	8.36
	ACCOUNT #: LSR011239	BUY 1 Units @0.0000						
12/26/2017	***-**-37IR - HARTZ, RENEE	MFS UTILITIES FUND-C	0.00	0.01	0.00	0.01	88.0	0.01
	ACCOUNT #: LSR011259	BUY 1 Units @0.0000						
12/26/2017	***-**-80IO - EVANS, RICHARD	MFS UTILITIES FUND-C	0.00	7.30	0.00	7.30	88.0	6.42
	ACCOUNT #: LSR011276	BUY 1 Units @0.0000						
12/26/2017	***-**-376I - BERBEN, GAIL	MFS UTILITIES FUND-C	0.00	9.50	0.00	9.50	88.0	8.36
	ACCOUNT #: LSR011380	BUY 1 Units @0.0000						
12/26/2017	***-**-45IO - JOHNSON, GREGORY	MFS UTILITIES FUND-C	0.00	8.84	0.00	8.84	88.0	7.78
	ACCOUNT #: LSR011421	BUY 1 Units @0.0000						
12/26/2017	***-**-14IO - BUSHEY, MATTHEW	MFS UTILITIES FUND-C	0.00	9.31	0.00	9.31	88.0	8.19
	ACCOUNT #: LSR011498	BUY 1 Units @0.0000						
12/26/2017	***-**-13IN - ROTH, KAREN	MFS VALUE FUND-B	0.00	0.99	0.00	0.99	88.0	0.87
	ACCOUNT #: LSR011954	BUY 1 Units @0.0000						
12/26/2017	***-**-15IN - PENDRAK, JOHN	OPP PORT SERIES: ACTIVE ALLOC A	0.00	1.52	0.00	1.52	88.0	1.34
	ACCOUNT #: LSR010948	BUY 1 Units @0.0000						
12/26/2017	***-**-80IN - COBB, JAMES	OPPENHEIMER ACTIVE ALLOCATION FUND	0.00	7.21	0.00	7.21	88.0	6.34
	ACCOUNT #: LSR011042	BUY 1 Units @0.0000						
12/26/2017	***-**-44IO - MAYO, DEBORAH	OPPENHEIMER ACTIVE ALLOCATION FUND	0.00	14.21	0.00	14.21	88.0	12.50
	ACCOUNT #: LSR011079	BUY 1 Units @0.0000						
12/26/2017	***-**-09IO - BATES, FBO MRS	OPPENHEIMER ACTIVE ALLOCATION FUND	0.00	15.90	0.00	15.90	88.0	13.99
	ACCOUNT #: LSR011117	BUY 1 Units @0.0000						
12/26/2017	***-**-11IO - LYNN G.	OPPENHEIMER ACTIVE ALLOCATION FUND	0.00	18.23	0.00	18.23	88.0	16.04
	ACCOUNT #: LSR011239	BUY 1 Units @0.0000						
12/26/2017	***-**-45IO - JOHNSON, GREGORY	OPPENHEIMER ACTIVE ALLOCATION FUND	0.00	20.58	0.00	20.58	88.0	18.11
	ACCOUNT #: LSR011421	BUY 1 Units @0.0000						
12/26/2017	***-**-28IN - BYWATER, KIM	OPPENHEIMER DEV MARKETS FD CLASS C	0.00	1.24	0.00	1.24	88.0	1.09
	ACCOUNT #: LSR011995	BUY 1 Units @0.0000						



COMMISSION STATEMENT

January 01, 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>								
12/26/2017	***-**-881J - EBERLEY, SUSAN ACCOUNT #: LSR010856	OPPENHEIMER DEVELOPING MARKETS CLAS BUY 1 Units @0.0000	0.00	1.54	0.00	1.54	88.0	1.36
12/26/2017	***-**-959I - FRANZ, PAUL ACCOUNT #: LSR010959	OPPENHEIMER DEVELOPING MARKETS CLAS BUY 1 Units @0.0000	0.00	0.32	0.00	0.32	88.0	0.28
12/26/2017	***-**-51IO - CAIN, TIMOTHY ACCOUNT #: LSR011007	OPPENHEIMER DEVELOPING MARKETS CLAS BUY 1 Units @0.0000	0.00	2.27	0.00	2.27	88.0	2.00
12/26/2017	***-**-96IN - NESSIA, BONNIE ACCOUNT #: LSR011055	OPPENHEIMER DEVELOPING MARKETS CLAS BUY 1 Units @0.0000	0.00	0.76	0.00	0.76	88.0	0.67
12/26/2017	***-**-31IO - WILLIAMSON, FBO ACCOUNT #: LSR011172	OPPENHEIMER DEVELOPING MARKETS CLAS BUY 1 Units @0.0000	0.00	0.55	0.00	0.55	88.0	0.48
12/26/2017	***-**-680I - HARRELL, DARYL ACCOUNT #: LSR011321	OPPENHEIMER DEVELOPING MARKETS CLAS BUY 1 Units @0.0000	0.00	0.81	0.00	0.81	88.0	0.71
12/26/2017	***-**-094I - KATRENA L ACCOUNT #: LSR011188	OPPENHEIMER GLBL REAL ESTATE FUND C BUY 1 Units @0.0000	0.00	5.16	0.00	5.16	88.0	4.54
12/26/2017	***-**-031O - MCVOY, ROBERT ACCOUNT #: LSR010916	OPPENHEIMER GLOBAL VALUE FUND CL C BUY 1 Units @0.0000	0.00	4.77	0.00	4.77	88.0	4.20
12/26/2017	***-**-382I - SATTERLY, NEIL ACCOUNT #: LSR010867	OPPENHEIMER GOLD & SPECIAL MINERALS BUY 1 Units @0.0000	0.00	3.90	0.00	3.90	88.0	3.43
12/26/2017	***-**-48IO - CLARK, PATRICK ACCOUNT #: LSR010911	OPPENHEIMER GOLD & SPECIAL MINERALS BUY 1 Units @0.0000	0.00	5.11	0.00	5.11	88.0	4.50
12/26/2017	***-**-72IN - GAVALO, JULIE ACCOUNT #: LSR010921	OPPENHEIMER GOLD & SPECIAL MINERALS BUY 1 Units @0.0000	0.00	2.25	0.00	2.25	88.0	1.98
12/26/2017	***-**-065I - LAZIO, THOMAS ACCOUNT #: LSR010979	OPPENHEIMER GOLD & SPECIAL MINERALS BUY 1 Units @0.0000	0.00	5.44	0.00	5.44	88.0	4.79
12/26/2017	***-**-420T - DEMETRI, AMELIA ACCOUNT #: LSR010994	OPPENHEIMER GOLD & SPECIAL MINERALS BUY 1 Units @0.0000	0.00	2.34	0.00	2.34	88.0	2.06
12/26/2017	***-**-00IO - LEE, GARY ACCOUNT #: LSR011059	OPPENHEIMER GOLD & SPECIAL MINERALS BUY 1 Units @0.0000	0.00	7.21	0.00	7.21	88.0	6.34
12/26/2017	***-**-09IO - BATES, FBO MRS ACCOUNT #: LSR011117	OPPENHEIMER GOLD & SPECIAL MINERALS BUY 1 Units @0.0000	0.00	2.36	0.00	2.36	88.0	2.08
12/26/2017	***-**-11IO - LYNN G. ACCOUNT #: LSR011239	OPPENHEIMER GOLD & SPECIAL MINERALS BUY 1 Units @0.0000	0.00	6.76	0.00	6.76	88.0	5.95



COMMISSION STATEMENT

January 01, 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>								
12/26/2017	***-**-45IO - JOHNSON, GREGORY	OPPENHEIMER GOLD & SPECIAL MINERALS	0.00	5.51	0.00	5.51	88.0	4.85
	ACCOUNT #: LSR011421	BUY 1 Units @0.0000						
12/26/2017	***-**-51IN - GERACE, JOANNE	OPPENHEIMER GOLD & SPECIAL MINERALS	0.00	1.49	0.00	1.49	88.0	1.31
	ACCOUNT #: LSR011538	BUY 1 Units @0.0000						
12/26/2017	***-**-28IN - BYWATER, KIM	OPPENHEIMER INTERNATIONAL SMALL COM	0.00	2.23	0.00	2.23	88.0	1.96
	ACCOUNT #: LSR011995	BUY 1 Units @0.0000						
12/26/2017	***-**-567I - FRANZ, ALICE	OPPENHEIMER INTL BOND CLASS B	0.00	2.47	0.00	2.47	88.0	2.17
	ACCOUNT #: LSR010960	BUY 1 Units @0.0000						
12/26/2017	***-**-664J - PFAFF, GEORGE	OPPENHEIMER INTL BOND CLASS B	0.00	3.11	0.00	3.11	88.0	2.74
	ACCOUNT #: LSR011184	BUY 1 Units @0.0000						
12/26/2017	***-**-881I - EBERLEY, SUSAN	OPPENHEIMER MAIN STREET SMALL CAP F	0.00	1.74	0.00	1.74	88.0	1.53
	ACCOUNT #: LSR010858	BUY 1 Units @0.0000						
12/26/2017	***-**-382I - SATTERLY, NEIL	OPPENHEIMER RISING DIVIDENDS FUND C	0.00	25.83	0.00	25.83	88.0	22.73
	ACCOUNT #: LSR010867	BUY 1 Units @0.0000						
12/26/2017	***-**-031O - MCVOY, ROBERT	OPPENHEIMER RISING DIVIDENDS FUND C	0.00	5.41	0.00	5.41	88.0	4.76
	ACCOUNT #: LSR010916	BUY 1 Units @0.0000						
12/26/2017	***-**-065I - LAZIO, THOMAS	OPPENHEIMER RISING DIVIDENDS FUND C	0.00	13.10	0.00	13.10	88.0	11.53
	ACCOUNT #: LSR010979	BUY 1 Units @0.0000						
12/26/2017	***-**-51IN - GERACE, JOANNE	OPPENHEIMER RISING DIVIDENDS FUND C	0.00	7.29	0.00	7.29	88.0	6.42
	ACCOUNT #: LSR011538	BUY 1 Units @0.0000						
12/26/2017	***-**-37IO - MCCLUSKY, MARK	OPPENHEIMER RISING DIVIDENDS FUND C	0.00	4.80	0.00	4.80	88.0	4.22
	ACCOUNT #: LSR011579	BUY 1 Units @0.0000						
12/26/2017	***-**-714O - LINES, JUDITH	OPPENHEIMER RISING DIVIDENDS FUND C	0.00	7.18	0.00	7.18	88.0	6.32
	ACCOUNT #: LSR011763	BUY 1 Units @0.0000						
12/26/2017	***-**-28IN - BYWATER, KIM	OPPENHEIMER RISING DIVIDENDS FUND C	0.00	1.54	0.00	1.54	88.0	1.36
	ACCOUNT #: LSR011995	BUY 1 Units @0.0000						
12/26/2017	***-**-287J - HINCKLEY,	OPPENHEIMER ROCHEST AMT-FREE NY MUN	0.00	6.87	0.00	6.87	88.0	6.05
	ACCOUNT #: LSR010841	BUY 1 Units @0.0000						
12/26/2017	***-**-254I - AUGUSTINE, LINDA	OPPENHEIMER SMALL & MID CAP VALUE F	0.00	1.44	0.00	1.44	88.0	1.27
	ACCOUNT #: LSR010846	BUY 1 Units @0.0000						
12/26/2017	***-**-930I - SANGER, KEVIN	OPPENHEIMER SMALL & MID CAP VALUE F	0.00	0.40	0.00	0.40	88.0	0.35
	ACCOUNT #: LSR010941	BUY 1 Units @0.0000						



COMMISSION STATEMENT

January 01, 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>								
12/26/2017	***-**-15IN - PENDRAK, JOHN ACCOUNT #: LSR010948	OPPENHEIMER SMALL & MID CAP VALUE F BUY 1 Units @0.0000	0.00	0.91	0.00	0.91	88.0	0.80
12/26/2017	***-**-959I - FRANZ, PAUL ACCOUNT #: LSR010959	OPPENHEIMER SMALL & MID CAP VALUE F BUY 1 Units @0.0000	0.00	1.66	0.00	1.66	88.0	1.46
12/26/2017	***-**-944O - MAYO, DEBORAH ACCOUNT #: LSR011035	OPPENHEIMER SMALL & MID CAP VALUE F BUY 1 Units @0.0000	0.00	0.70	0.00	0.70	88.0	0.62
12/26/2017	***-**-111J - NESSIA, JAMES ACCOUNT #: LSR011054	OPPENHEIMER SMALL & MID CAP VALUE F BUY 1 Units @0.0000	0.00	0.98	0.00	0.98	88.0	0.86
12/26/2017	***-**-13IN - RHYMESTINE, ACCOUNT #: LSR011106	OPPENHEIMER SMALL & MID CAP VALUE F BUY 1 Units @0.0000	0.00	0.85	0.00	0.85	88.0	0.75
12/26/2017	***-**-62IN - EATON, DAVID ACCOUNT #: LSR011315	OPPENHEIMER SMALL & MID CAP VALUE F BUY 1 Units @0.0000	0.00	0.67	0.00	0.67	88.0	0.59
12/26/2017	***-**-80IN - COBB, JAMES ACCOUNT #: LSR011042	OPPENHEIMER STEELPATH MLP ALPHA PLU BUY 1 Units @0.0000	0.00	1.00	0.00	1.00	88.0	0.88
12/26/2017	***-**-837O - BASEMENT ACCOUNT #: LSR011046	OPPENHEIMERSTEELPATH MLP INCOME CL BUY 1 Units @0.0000	0.00	2.77	0.00	2.77	88.0	2.44
12/26/2017	***-**-80IN - COBB, JAMES ACCOUNT #: LSR011042	OPPENHEIMERSTEELPATH MLP SELECT 40 BUY 1 Units @0.0000	0.00	0.59	0.00	0.59	88.0	0.52
12/26/2017	***-**-48IO - CLARK, PATRICK ACCOUNT #: LSR010911	PORT SERIES: CONS INV C BUY 1 Units @0.0000	0.00	16.90	0.00	16.90	88.0	14.87
12/26/2017	***-**-72IN - GAVALO, JULIE ACCOUNT #: LSR010921	PORT SERIES: CONS INV C BUY 1 Units @0.0000	0.00	23.62	0.00	23.62	88.0	20.79
12/26/2017	***-**-420T - DEMETRI, AMELIA ACCOUNT #: LSR010994	PORT SERIES: CONS INV C BUY 1 Units @0.0000	0.00	5.83	0.00	5.83	88.0	5.13
12/26/2017	***-**-73UT - COBB, CHRSTIAN ACCOUNT #: LSR011104	PORT SERIES: CONS INV C BUY 1 Units @0.0000	0.00	4.46	0.00	4.46	88.0	3.92
12/26/2017	***-**-67UT - COBB, ACCOUNT #: LSR011105	PORT SERIES: CONS INV C BUY 1 Units @0.0000	0.00	4.46	0.00	4.46	88.0	3.92
12/26/2017	***-**-89IN - LEE, ROGER ACCOUNT #: LSR011166	PORT SERIES: CONS INV C BUY 1 Units @0.0000	0.00	9.76	0.00	9.76	88.0	8.59
12/26/2017	***-**-52IO - EUSEPI, SUSAN ACCOUNT #: LSR011219	PORT SERIES: CONS INV C BUY 1 Units @0.0000	0.00	12.04	0.00	12.04	88.0	10.60



COMMISSION STATEMENT

January 01, 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>								
12/26/2017	***-**-439I - MCCARTHY, JAMES	PORT SERIES: CONS INV C	0.00	6.88	0.00	6.88	88.0	6.05
	ACCOUNT #: LSR011244	BUY 1 Units @0.0000						
12/26/2017	***-**-80IO - EVANS, RICHARD	PORT SERIES: CONS INV C	0.00	12.86	0.00	12.86	88.0	11.32
	ACCOUNT #: LSR011276	BUY 1 Units @0.0000						
12/26/2017	***-**-664J - PFAFF, GEORGE	PORT SERIES: EQUITY INV FD B	0.00	1.03	0.00	1.03	88.0	0.91
	ACCOUNT #: LSR011184	BUY 1 Units @0.0000						
12/26/2017	***-**-254I - AUGUSTINE, LINDA	PORTFOLIO SERIES: CONS INV A	0.00	1.47	0.00	1.47	88.0	1.29
	ACCOUNT #: LSR010846	BUY 1 Units @0.0000						
12/26/2017	***-**-15IN - PENDRAK, JOHN	PORTFOLIO SERIES: CONS INV A	0.00	4.51	0.00	4.51	88.0	3.97
	ACCOUNT #: LSR010948	BUY 1 Units @0.0000						
12/26/2017	***-**-959I - FRANZ, PAUL	PORTFOLIO SERIES: CONS INV A	0.00	2.02	0.00	2.02	88.0	1.78
	ACCOUNT #: LSR010959	BUY 1 Units @0.0000						
12/26/2017	***-**-51IO - CAIN, TIMOTHY	PORTFOLIO SERIES: CONS INV A	0.00	2.00	0.00	2.00	88.0	1.76
	ACCOUNT #: LSR011007	BUY 1 Units @0.0000						
12/26/2017	***-**-761I - EVANS, DOLORES	PORTFOLIO SERIES: CONS INV A	0.00	1.14	0.00	1.14	88.0	1.00
	ACCOUNT #: LSR011024	BUY 1 Units @0.0000						
12/26/2017	***-**-944O - MAYO, DEBORAH	PORTFOLIO SERIES: CONS INV A	0.00	1.67	0.00	1.67	88.0	1.47
	ACCOUNT #: LSR011035	BUY 1 Units @0.0000						
12/26/2017	***-**-861I - SANGER, LAWRENCE	PORTFOLIO SERIES: CONS INV A	0.00	0.64	0.00	0.64	88.0	0.56
	ACCOUNT #: LSR011095	BUY 1 Units @0.0000						
12/26/2017	***-**-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						
12/26/2017	***-**-02IN - BUSHEY, MELISSA	PORTFOLIO SERIES: CONS INV A	0.00	0.61	0.00	0.61	88.0	0.54
	ACCOUNT #: LSR011257	BUY 1 Units @0.0000						
12/26/2017	***-**-62IN - EATON, DAVID	PORTFOLIO SERIES: CONS INV A	0.00	1.18	0.00	1.18	88.0	1.04
	ACCOUNT #: LSR011315	BUY 1 Units @0.0000						
12/26/2017	***-**-567I - FRANZ, ALICE	PORTFOLIO SERIES: CONSERVATIVE INVE	0.00	3.11	0.00	3.11	88.0	2.74
	ACCOUNT #: LSR010960	BUY 1 Units @0.0000						
12/26/2017	***-**-664J - PFAFF, GEORGE	PORTFOLIO SERIES: CONSERVATIVE INVE	0.00	4.24	0.00	4.24	88.0	3.73
	ACCOUNT #: LSR011184	BUY 1 Units @0.0000						
12/26/2017	***-**-579I - RHYMESTINE,	PUTNAM UTILITIES GROWTH AND INCOME	0.00	1.43	0.00	1.43	88.0	1.26
	ACCOUNT #: LSR011082	BUY 1 Units @0.0000						



COMMISSION STATEMENT

January 01, 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>								
12/26/2017	***-**-22IO - CLINTON, STEPHEN	PUTNAM 746792100	0.00	0.66	0.00	0.66	88.0	0.58
	ACCOUNT #: LSR011684	BUY 1 Units @0.0000						
12/26/2017	***-**-628I - SANGER, SANDRA	PUTNAM ABSOLUTE RETURN 700 CL B	0.00	0.23	0.00	0.23	88.0	0.20
	ACCOUNT #: LSR010942	BUY 1 Units @0.0000						
12/26/2017	***-**-15IN - PENDRAK, JOHN	PUTNAM ABSOLUTE RETURN 700 CL B	0.00	2.35	0.00	2.35	88.0	2.07
	ACCOUNT #: LSR010948	BUY 1 Units @0.0000						
12/26/2017	***-**-169I - EVANS, PAUL	PUTNAM ABSOLUTE RETURN 700 CL B	0.00	1.21	0.00	1.21	88.0	1.06
	ACCOUNT #: LSR011026	BUY 1 Units @0.0000						
12/26/2017	***-**-944O - MAYO, DEBORAH	PUTNAM ABSOLUTE RETURN 700 CL B	0.00	0.63	0.00	0.63	88.0	0.55
	ACCOUNT #: LSR011035	BUY 1 Units @0.0000						
12/26/2017	***-**-861I - SANGER, LAWRENCE	PUTNAM ABSOLUTE RETURN 700 CL B	0.00	1.34	0.00	1.34	88.0	1.18
	ACCOUNT #: LSR011095	BUY 1 Units @0.0000						
12/26/2017	***-**-62IR - ROBBIANO, FBO	PUTNAM ABSOLUTE RETURN 700 CL B	0.00	0.71	0.00	0.71	88.0	0.62
	ACCOUNT #: LSR011195	BUY 1 Units @0.0000						
12/26/2017	***-**-52IO - EUSEPI, SUSAN	PUTNAM ABSOLUTE RETURN 700 CL B	0.00	1.12	0.00	1.12	88.0	0.99
	ACCOUNT #: LSR011219	BUY 1 Units @0.0000						
12/26/2017	***-**-02IN - BUSHEY, MELISSA	PUTNAM ABSOLUTE RETURN 700 CL B	0.00	0.38	0.00	0.38	88.0	0.33
	ACCOUNT #: LSR011257	BUY 1 Units @0.0000						
12/26/2017	***-**-901J - GURDO, ANTHONY	PUTNAM ABSOLUTE RETURN 700 CL B	0.00	0.35	0.00	0.35	88.0	0.31
	ACCOUNT #: LSR011261	BUY 1 Units @0.0000						
12/26/2017	***-**-653J - KOCHER, CLINTON	PUTNAM ABSOLUTE RETURN 700 CL B	0.00	0.23	0.00	0.23	88.0	0.20
	ACCOUNT #: LSR011298	BUY 1 Units @0.0000						
12/26/2017	***-**-62IN - EATON, DAVID	PUTNAM ABSOLUTE RETURN 700 CL B	0.00	0.98	0.00	0.98	88.0	0.86
	ACCOUNT #: LSR011315	BUY 1 Units @0.0000						
12/26/2017	***-**-51IN - GERACE, JOANNE	PUTNAM ABSOLUTE RETURN 700 CL B	0.00	1.10	0.00	1.10	88.0	0.97
	ACCOUNT #: LSR011538	BUY 1 Units @0.0000						
12/26/2017	***-**-235I - AUGUSTINE III,	PUTNAM ABSOLUTE RETURN 700 CL C	0.00	4.33	0.00	4.33	88.0	3.81
	ACCOUNT #: LSR010845	BUY 1 Units @0.0000						
12/26/2017	***-**-382I - SATTERLY, NEIL	PUTNAM ABSOLUTE RETURN 700 CL C	0.00	14.60	0.00	14.60	88.0	12.85
	ACCOUNT #: LSR010867	BUY 1 Units @0.0000						
12/26/2017	***-**-48IO - CLARK, PATRICK	PUTNAM ABSOLUTE RETURN 700 CL C	0.00	9.34	0.00	9.34	88.0	8.22
	ACCOUNT #: LSR010911	BUY 1 Units @0.0000						



COMMISSION STATEMENT

January 01, 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>								
12/26/2017	***-**-72IN - GAVALO, JULIE ACCOUNT #: LSR010921	PUTNAM ABSOLUTE RETURN 700 CL C BUY 1 Units @0.0000	0.00	9.27	0.00	9.27	88.0	8.16
12/26/2017	***-**-065I - LAZIO, THOMAS ACCOUNT #: LSR010979	PUTNAM ABSOLUTE RETURN 700 CL C BUY 1 Units @0.0000	0.00	7.24	0.00	7.24	88.0	6.37
12/26/2017	***-**-09IO - BATES, FBO MRS ACCOUNT #: LSR011117	PUTNAM ABSOLUTE RETURN 700 CL C BUY 1 Units @0.0000	0.00	9.08	0.00	9.08	88.0	7.99
12/26/2017	***-**-11IO - LYNN G. ACCOUNT #: LSR011239	PUTNAM ABSOLUTE RETURN 700 CL C BUY 1 Units @0.0000	0.00	13.75	0.00	13.75	88.0	12.10
12/26/2017	***-**-80IO - EVANS, RICHARD ACCOUNT #: LSR011276	PUTNAM ABSOLUTE RETURN 700 CL C BUY 1 Units @0.0000	0.00	7.70	0.00	7.70	88.0	6.78
12/26/2017	***-**-45IO - JOHNSON, GREGORY ACCOUNT #: LSR011421	PUTNAM ABSOLUTE RETURN 700 CL C BUY 1 Units @0.0000	0.00	9.20	0.00	9.20	88.0	8.10
12/26/2017	***-**-628I - SANGER, SANDRA ACCOUNT #: LSR010942	PUTNAM ABSOLUTE RETURN 700-A BUY 1 Units @0.0000	0.00	0.53	0.00	0.53	88.0	0.47
12/26/2017	***-**-944O - MAYO, DEBORAH ACCOUNT #: LSR011035	PUTNAM ABSOLUTE RETURN 700-A BUY 1 Units @0.0000	0.00	1.25	0.00	1.25	88.0	1.10
12/26/2017	***-**-63TR - EVANS, AUDREY J ACCOUNT #: LSR011036	PUTNAM ABSOLUTE RETURN 700-A BUY 1 Units @0.0000	0.00	2.31	0.00	2.31	88.0	2.03
12/26/2017	***-**-579I - RHYMESTINE, ACCOUNT #: LSR011082	PUTNAM ABSOLUTE RETURN 700-A BUY 1 Units @0.0000	0.00	0.84	0.00	0.84	88.0	0.74
12/26/2017	***-**-653J - KOCHEM, CLINTON ACCOUNT #: LSR011298	PUTNAM ABSOLUTE RETURN 700-A BUY 1 Units @0.0000	0.00	0.53	0.00	0.53	88.0	0.47
12/26/2017	***-**-22IO - CLINTON, STEPHEN ACCOUNT #: LSR011684	PUTNAM ABSOLUTE RETURN 700-A BUY 1 Units @0.0000	0.00	0.69	0.00	0.69	88.0	0.61
12/26/2017	***-**-22IO - CLINTON, STEPHEN ACCOUNT #: LSR011684	PUTNAM AMERICAN GOVERNMENT INCOME F BUY 1 Units @0.0000	0.00	0.62	0.00	0.62	88.0	0.55
12/26/2017	***-**-31IO - HARTZ, CLAUDIA ACCOUNT #: LSR010915	PUTNAM ASSET ALLOC BALANCED-C BUY 1 Units @0.0000	0.00	4.81	0.00	4.81	88.0	4.23
12/26/2017	***-**-31IO - HARTZ, CLAUDIA ACCOUNT #: LSR010915	PUTNAM CAPITAL SPECTRUM FD CL B BUY 1 Units @0.0000	0.00	0.68	0.00	0.68	88.0	0.60
12/26/2017	***-**-930I - SANGER, KEVIN ACCOUNT #: LSR010941	PUTNAM CAPITAL SPECTRUM FD CL B BUY 1 Units @0.0000	0.00	0.95	0.00	0.95	88.0	0.84



COMMISSION STATEMENT

January 01, 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)								
12/26/2017	***-**-366S - GRUENEWALD, ACCOUNT #: LSR010990	PUTNAM CAPITAL SPECTRUM FD CL B BUY 1 Units @0.0000	0.00	0.82	0.00	0.82	88.0	0.72
12/26/2017	***-**-51IO - CAIN, TIMOTHY ACCOUNT #: LSR011007	PUTNAM CAPITAL SPECTRUM FD CL B BUY 1 Units @0.0000	0.00	1.57	0.00	1.57	88.0	1.38
12/26/2017	***-**-579I - RHYMESTINE, ACCOUNT #: LSR011082	PUTNAM CAPITAL SPECTRUM FD CL B BUY 1 Units @0.0000	0.00	1.42	0.00	1.42	88.0	1.25
12/26/2017	***-**-73UT - COBB, CHRSTIAN ACCOUNT #: LSR011104	PUTNAM CAPITAL SPECTRUM FD CL B BUY 1 Units @0.0000	0.00	1.55	0.00	1.55	88.0	1.36
12/26/2017	***-**-67UT - COBB, ACCOUNT #: LSR011105	PUTNAM CAPITAL SPECTRUM FD CL B BUY 1 Units @0.0000	0.00	1.55	0.00	1.55	88.0	1.36
12/26/2017	***-**-992J - CORNACCHIA ACCOUNT #: LSR011157	PUTNAM CAPITAL SPECTRUM FD CL B BUY 1 Units @0.0000	0.00	0.48	0.00	0.48	88.0	0.42
12/26/2017	***-**-66IO - RUDD, MICHAEL ACCOUNT #: LSR011268	PUTNAM CAPITAL SPECTRUM FD CL B BUY 1 Units @0.0000	0.00	0.16	0.00	0.16	88.0	0.14
12/26/2017	***-**-21IO - RADELL, SANDRA ACCOUNT #: LSR011392	PUTNAM CAPITAL SPECTRUM FD CL B BUY 1 Units @0.0000	0.00	1.56	0.00	1.56	88.0	1.37
12/26/2017	***-**-22IO - CLINTON, STEPHEN ACCOUNT #: LSR011684	PUTNAM CAPITAL SPECTRUM FUND CL A BUY 1 Units @0.0000	0.00	0.77	0.00	0.77	88.0	0.68
12/26/2017	***-**-382I - SATTERLY, NEIL ACCOUNT #: LSR010867	PUTNAM CAPITAL SPECTRUM FUND CL C BUY 1 Units @0.0000	0.00	7.54	0.00	7.54	88.0	6.64
12/26/2017	***-**-980I - ACEE, ELIZABETH ACCOUNT #: LSR010885	PUTNAM CAPITAL SPECTRUM FUND CL C BUY 1 Units @0.0000	0.00	11.99	0.00	11.99	88.0	10.55
12/26/2017	***-**-44IO - MAYO, DEBORAH ACCOUNT #: LSR011079	PUTNAM CAPITAL SPECTRUM FUND CL C BUY 1 Units @0.0000	0.00	8.04	0.00	8.04	88.0	7.08
12/26/2017	***-**-09IO - BATES, FBO MRS ACCOUNT #: LSR011117	PUTNAM CAPITAL SPECTRUM FUND CL C BUY 1 Units @0.0000	0.00	17.17	0.00	17.17	88.0	15.11
12/26/2017	***-**-094I - KATRENA L ACCOUNT #: LSR011188	PUTNAM CAPITAL SPECTRUM FUND CL C BUY 1 Units @0.0000	0.00	6.73	0.00	6.73	88.0	5.92
12/26/2017	***-**-11IO - LYNN G. ACCOUNT #: LSR011239	PUTNAM CAPITAL SPECTRUM FUND CL C BUY 1 Units @0.0000	0.00	16.33	0.00	16.33	88.0	14.37
12/26/2017	***-**-45IO - JOHNSON, GREGORY ACCOUNT #: LSR011421	PUTNAM CAPITAL SPECTRUM FUND CL C BUY 1 Units @0.0000	0.00	12.41	0.00	12.41	88.0	10.92



COMMISSION STATEMENT

January 01, 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)								
12/26/2017	***-**-235I - AUGUSTINE III, ACCOUNT #: LSR010845	PUTNAM COMP BUY 1 Units @0.0000	0.00	5.50	0.00	5.50	88.0	4.84
12/26/2017	***-**-881I - EBERLEY, SUSAN ACCOUNT #: LSR010858	PUTNAM COMP BUY 1 Units @0.0000	0.00	4.71	0.00	4.71	88.0	4.14
12/26/2017	***-**-48IO - CLARK, PATRICK ACCOUNT #: LSR010911	PUTNAM COMP BUY 1 Units @0.0000	0.00	7.56	0.00	7.56	88.0	6.65
12/26/2017	***-**-72IN - GAVALO, JULIE ACCOUNT #: LSR010921	PUTNAM COMP BUY 1 Units @0.0000	0.00	6.51	0.00	6.51	88.0	5.73
12/26/2017	***-**-959J - FRANZ, PAUL ACCOUNT #: LSR010958	PUTNAM COMP BUY 1 Units @0.0000	0.00	9.81	0.00	9.81	88.0	8.63
12/26/2017	***-**-065I - LAZIO, THOMAS ACCOUNT #: LSR010979	PUTNAM COMP BUY 1 Units @0.0000	0.00	5.59	0.00	5.59	88.0	4.92
12/26/2017	***-**-420T - DEMETRI, AMELIA ACCOUNT #: LSR010994	PUTNAM COMP BUY 1 Units @0.0000	0.00	4.99	0.00	4.99	88.0	4.39
12/26/2017	***-**-169I - EVANS, PAUL ACCOUNT #: LSR011026	PUTNAM COMP BUY 1 Units @0.0000	0.00	4.00	0.00	4.00	88.0	3.52
12/26/2017	***-**-80IN - COBB, JAMES ACCOUNT #: LSR011042	PUTNAM COMP BUY 1 Units @0.0000	0.00	7.23	0.00	7.23	88.0	6.36
12/26/2017	***-**-00IO - LEE, GARY ACCOUNT #: LSR011059	PUTNAM COMP BUY 1 Units @0.0000	0.00	8.87	0.00	8.87	88.0	7.81
12/26/2017	***-**-09IO - BATES, FBO MRS ACCOUNT #: LSR011117	PUTNAM COMP BUY 1 Units @0.0000	0.00	8.87	0.00	8.87	88.0	7.81
12/26/2017	***-**-89IN - LEE, ROGER ACCOUNT #: LSR011166	PUTNAM COMP BUY 1 Units @0.0000	0.00	6.08	0.00	6.08	88.0	5.35
12/26/2017	***-**-094I - KATRENA L ACCOUNT #: LSR011188	PUTNAM COMP BUY 1 Units @0.0000	0.00	6.95	0.00	6.95	88.0	6.12
12/26/2017	***-**-11IO - LYNN G. ACCOUNT #: LSR011239	PUTNAM COMP BUY 1 Units @0.0000	0.00	9.18	0.00	9.18	88.0	8.08
12/26/2017	***-**-80IO - EVANS, RICHARD ACCOUNT #: LSR011276	PUTNAM COMP BUY 1 Units @0.0000	0.00	4.54	0.00	4.54	88.0	4.00
12/26/2017	***-**-376I - BERBEN, GAIL ACCOUNT #: LSR011380	PUTNAM COMP BUY 1 Units @0.0000	0.00	8.96	0.00	8.96	88.0	7.88



COMMISSION STATEMENT

January 01, 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>								
12/26/2017	***-**-45IO - JOHNSON, GREGORY	PUTNAM COMP	0.00	13.97	0.00	13.97	88.0	12.29
	ACCOUNT #: LSR011421	BUY 1 Units @0.0000						
12/26/2017	***-**-14IO - BUSHEY, MATTHEW	PUTNAM COMP	0.00	9.04	0.00	9.04	88.0	7.96
	ACCOUNT #: LSR011498	BUY 1 Units @0.0000						
12/26/2017	***-**-37IO - MCCLUSKY, MARK	PUTNAM COMP	0.00	6.66	0.00	6.66	88.0	5.86
	ACCOUNT #: LSR011579	BUY 1 Units @0.0000						
12/26/2017	***-**-86IN - LEE, KEVIN	PUTNAM COMP	0.00	7.54	0.00	7.54	88.0	6.64
	ACCOUNT #: LSR011613	BUY 1 Units @0.0000						
12/26/2017	***-**-949I - ACEE, JOSPEH	PUTNAM CONV INCOME-GROWTH-B	0.00	2.17	0.00	2.17	88.0	1.91
	ACCOUNT #: LSR010908	BUY 1 Units @0.0000						
12/26/2017	***-**-31IO - HARTZ, CLAUDIA	PUTNAM CONV INCOME-GROWTH-B	0.00	0.64	0.00	0.64	88.0	0.56
	ACCOUNT #: LSR010915	BUY 1 Units @0.0000						
12/26/2017	***-**-567I - FRANZ, ALICE	PUTNAM CONV INCOME-GROWTH-B	0.00	2.82	0.00	2.82	88.0	2.48
	ACCOUNT #: LSR010960	BUY 1 Units @0.0000						
12/26/2017	***-**-366S - GRUENEWALD,	PUTNAM CONV INCOME-GROWTH-B	0.00	0.76	0.00	0.76	88.0	0.67
	ACCOUNT #: LSR010990	BUY 1 Units @0.0000						
12/26/2017	***-**-580X - COBB, JAMES	PUTNAM CONV INCOME-GROWTH-B	0.00	1.54	0.00	1.54	88.0	1.36
	ACCOUNT #: LSR011040	BUY 1 Units @0.0000						
12/26/2017	***-**-579I - RHYMESTINE,	PUTNAM CONV INCOME-GROWTH-B	0.00	1.07	0.00	1.07	88.0	0.94
	ACCOUNT #: LSR011082	BUY 1 Units @0.0000						
12/26/2017	***-**-506J - CURRIERE JR, MR	PUTNAM CONV INCOME-GROWTH-B	0.00	1.01	0.00	1.01	88.0	0.89
	ACCOUNT #: LSR011121	BUY 1 Units @0.0000						
12/26/2017	***-**-48IO - ANACKER, FBO MRS	PUTNAM CONV INCOME-GROWTH-B	0.00	1.33	0.00	1.33	88.0	1.17
	ACCOUNT #: LSR011164	BUY 1 Units @0.0000						
12/26/2017	***-**-64IO - PFAFF, GEORGE	PUTNAM CONV INCOME-GROWTH-B	0.00	1.33	0.00	1.33	88.0	1.17
	ACCOUNT #: LSR011185	BUY 1 Units @0.0000						
12/26/2017	***-**-62IR - ROBBIANO, FBO	PUTNAM CONV INCOME-GROWTH-B	0.00	0.68	0.00	0.68	88.0	0.60
	ACCOUNT #: LSR011195	BUY 1 Units @0.0000						
12/26/2017	***-**-653I - KOCHEM, CLINTON	PUTNAM CONV INCOME-GROWTH-B	0.00	2.40	0.00	2.40	88.0	2.11
	ACCOUNT #: LSR011300	BUY 1 Units @0.0000						
12/26/2017	***-**-00IO - LEE, GARY	PUTNAM CONVERTIBLE SECURITIES CL C	0.00	13.37	0.00	13.37	88.0	11.77
	ACCOUNT #: LSR011059	BUY 1 Units @0.0000						



COMMISSION STATEMENT

January 01, 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) 								
12/26/2017	***-**-11IO - LYNN G. ACCOUNT #: LSR011239	PUTNAM CONVERTIBLE SECURITIES CL C BUY 1 Units @0.0000	0.00	18.43	0.00	18.43	88.0	16.22
12/26/2017	***-**-1320 - EVANS, THOMAS ACCOUNT #: LSR011074	PUTNAM DIVERSIFIED INCOME CLASS C BUY 1 Units @0.0000	0.00	7.24	0.00	7.24	88.0	6.37
12/26/2017	***-**-11IO - LYNN G. ACCOUNT #: LSR011239	PUTNAM DIVERSIFIED INCOME CLASS C BUY 1 Units @0.0000	0.00	13.95	0.00	13.95	88.0	12.28
12/26/2017	***-**-881J - EBERLEY, SUSAN ACCOUNT #: LSR010856	PUTNAM DIVERSIFIED INCOME-B BUY 1 Units @0.0000	0.00	2.16	0.00	2.16	88.0	1.90
12/26/2017	***-**-949I - ACEE, JOSPEH ACCOUNT #: LSR010908	PUTNAM DIVERSIFIED INCOME-B BUY 1 Units @0.0000	0.00	0.84	0.00	0.84	88.0	0.74
12/26/2017	***-**-31IO - HARTZ, CLAUDIA ACCOUNT #: LSR010915	PUTNAM DIVERSIFIED INCOME-B BUY 1 Units @0.0000	0.00	0.63	0.00	0.63	88.0	0.55
12/26/2017	***-**-702I - KOCHER, MICHAEL ACCOUNT #: LSR010954	PUTNAM DIVERSIFIED INCOME-B BUY 1 Units @0.0000	0.00	1.81	0.00	1.81	88.0	1.59
12/26/2017	***-**-960J - MASTRANGELO, ACCOUNT #: LSR010966	PUTNAM DIVERSIFIED INCOME-B BUY 1 Units @0.0000	0.00	1.97	0.00	1.97	88.0	1.73
12/26/2017	***-**-51IO - CAIN, TIMOTHY ACCOUNT #: LSR011007	PUTNAM DIVERSIFIED INCOME-B BUY 1 Units @0.0000	0.00	1.22	0.00	1.22	88.0	1.07
12/26/2017	***-**-761I - EVANS, DOLORES ACCOUNT #: LSR011024	PUTNAM DIVERSIFIED INCOME-B BUY 1 Units @0.0000	0.00	10.53	0.00	10.53	88.0	9.27
12/26/2017	***-**-63TR - EVANS, AUDREY J ACCOUNT #: LSR011036	PUTNAM DIVERSIFIED INCOME-B BUY 1 Units @0.0000	0.00	2.44	0.00	2.44	88.0	2.15
12/26/2017	***-**-579I - RHYMESTINE, ACCOUNT #: LSR011082	PUTNAM DIVERSIFIED INCOME-B BUY 1 Units @0.0000	0.00	1.14	0.00	1.14	88.0	1.00
12/26/2017	***-**-861I - SANGER, LAWRENCE ACCOUNT #: LSR011095	PUTNAM DIVERSIFIED INCOME-B BUY 1 Units @0.0000	0.00	1.45	0.00	1.45	88.0	1.28
12/26/2017	***-**-31IO - WILLIAMSON, FBO ACCOUNT #: LSR011172	PUTNAM DIVERSIFIED INCOME-B BUY 1 Units @0.0000	0.00	6.26	0.00	6.26	88.0	5.51
12/26/2017	***-**-680I - HARRELL, DARYL ACCOUNT #: LSR011321	PUTNAM DIVERSIFIED INCOME-B BUY 1 Units @0.0000	0.00	0.66	0.00	0.66	88.0	0.58
12/26/2017	***-**-960J - MASTRANGELO, ACCOUNT #: LSR010966	PUTNAM EQUITY INCOME FUND-B BUY 1 Units @0.0000	0.00	2.39	0.00	2.39	88.0	2.10



COMMISSION STATEMENT

January 01, 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)								
12/26/2017	***-**-664J - PFAFF, GEORGE	PUTNAM EQUITY INCOME FUND-B	0.00	2.38	0.00	2.38	88.0	2.09
	ACCOUNT #: LSR011184	BUY 1 Units @0.0000						
12/26/2017	***-**-169I - EVANS, PAUL	PUTNAM EQUITY SPECTRUM FD CL B	0.00	0.98	0.00	0.98	88.0	0.86
	ACCOUNT #: LSR011026	BUY 1 Units @0.0000						
12/26/2017	***-**-881J - EBERLEY, SUSAN	PUTNAM EQUITY SPECTRUM FD CL C	0.00	11.41	0.00	11.41	88.0	10.04
	ACCOUNT #: LSR010856	BUY 1 Units @0.0000						
12/26/2017	***-**-48IO - CLARK, PATRICK	PUTNAM EQUITY SPECTRUM FD CL C	0.00	24.34	0.00	24.34	88.0	21.42
	ACCOUNT #: LSR010911	BUY 1 Units @0.0000						
12/26/2017	***-**-031O - MCVOY, ROBERT	PUTNAM EQUITY SPECTRUM FD CL C	0.00	8.52	0.00	8.52	88.0	7.50
	ACCOUNT #: LSR010916	BUY 1 Units @0.0000						
12/26/2017	***-**-72IN - GAVALO, JULIE	PUTNAM EQUITY SPECTRUM FD CL C	0.00	16.07	0.00	16.07	88.0	14.14
	ACCOUNT #: LSR010921	BUY 1 Units @0.0000						
12/26/2017	***-**-959I - FRANZ, PAUL	PUTNAM EQUITY SPECTRUM FD CL C	0.00	9.91	0.00	9.91	88.0	8.72
	ACCOUNT #: LSR010959	BUY 1 Units @0.0000						
12/26/2017	***-**-065I - LAZIO, THOMAS	PUTNAM EQUITY SPECTRUM FD CL C	0.00	6.54	0.00	6.54	88.0	5.76
	ACCOUNT #: LSR010979	BUY 1 Units @0.0000						
12/26/2017	***-**-73TR - WESTCOTT IRRVOC	PUTNAM EQUITY SPECTRUM FD CL C	0.00	6.92	0.00	6.92	88.0	6.09
	ACCOUNT #: LSR011001	BUY 1 Units @0.0000						
12/26/2017	***-**-80IN - COBB, JAMES	PUTNAM EQUITY SPECTRUM FD CL C	0.00	8.03	0.00	8.03	88.0	7.07
	ACCOUNT #: LSR011042	BUY 1 Units @0.0000						
12/26/2017	***-**-44IO - MAYO, DEBORAH	PUTNAM EQUITY SPECTRUM FD CL C	0.00	8.19	0.00	8.19	88.0	7.21
	ACCOUNT #: LSR011079	BUY 1 Units @0.0000						
12/26/2017	***-**-09IO - BATES, FBO MRS	PUTNAM EQUITY SPECTRUM FD CL C	0.00	8.54	0.00	8.54	88.0	7.52
	ACCOUNT #: LSR011117	BUY 1 Units @0.0000						
12/26/2017	***-**-89IN - LEE, ROGER	PUTNAM EQUITY SPECTRUM FD CL C	0.00	12.10	0.00	12.10	88.0	10.65
	ACCOUNT #: LSR011166	BUY 1 Units @0.0000						
12/26/2017	***-**-473J - HUSTON,	PUTNAM EQUITY SPECTRUM FD CL C	0.00	9.20	0.00	9.20	88.0	8.10
	ACCOUNT #: LSR011228	BUY 1 Units @0.0000						
12/26/2017	***-**-11IO - LYNN G.	PUTNAM EQUITY SPECTRUM FD CL C	0.00	10.42	0.00	10.42	88.0	9.17
	ACCOUNT #: LSR011239	BUY 1 Units @0.0000						
12/26/2017	***-**-80IO - EVANS, RICHARD	PUTNAM EQUITY SPECTRUM FD CL C	0.00	8.93	0.00	8.93	88.0	7.86
	ACCOUNT #: LSR011276	BUY 1 Units @0.0000						



COMMISSION STATEMENT

January 01, 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>								
12/26/2017	***-**-07IO - FAMOLARO, JAMES	PUTNAM EQUITY SPECTRUM FD CL C	0.00	5.53	0.00	5.53	88.0	4.87
	ACCOUNT #: LSR011280	BUY 1 Units @0.0000						
12/26/2017	***-**-094I - KATRENA L	PUTNAM EUROPE EQUITY CLASS C	0.00	4.31	0.00	4.31	88.0	3.79
	ACCOUNT #: LSR011188	BUY 1 Units @0.0000						
12/26/2017	***-**-808J - GORMAN, RANDY	PUTNAM GLOBAL CONSUMER FD A	0.00	0.28	0.00	0.28	88.0	0.25
	ACCOUNT #: LSR011087	BUY 1 Units @0.0000						
12/26/2017	***-**-949I - ACEE, JOSPEH	PUTNAM GLOBAL CONSUMER FUND CL B	0.00	1.88	0.00	1.88	88.0	1.65
	ACCOUNT #: LSR010908	BUY 1 Units @0.0000						
12/26/2017	***-**-31IO - HARTZ, CLAUDIA	PUTNAM GLOBAL CONSUMER FUND CL B	0.00	0.46	0.00	0.46	88.0	0.40
	ACCOUNT #: LSR010915	BUY 1 Units @0.0000						
12/26/2017	***-**-567I - FRANZ, ALICE	PUTNAM GLOBAL CONSUMER FUND CL B	0.00	3.12	0.00	3.12	88.0	2.75
	ACCOUNT #: LSR010960	BUY 1 Units @0.0000						
12/26/2017	***-**-366I - GRUENEWALD,	PUTNAM GLOBAL CONSUMER FUND CL B	0.00	1.38	0.00	1.38	88.0	1.21
	ACCOUNT #: LSR010989	BUY 1 Units @0.0000						
12/26/2017	***-**-51IO - CAIN, TIMOTHY	PUTNAM GLOBAL CONSUMER FUND CL B	0.00	1.27	0.00	1.27	88.0	1.12
	ACCOUNT #: LSR011007	BUY 1 Units @0.0000						
12/26/2017	***-**-761I - EVANS, DOLORES	PUTNAM GLOBAL CONSUMER FUND CL B	0.00	1.86	0.00	1.86	88.0	1.64
	ACCOUNT #: LSR011024	BUY 1 Units @0.0000						
12/26/2017	***-**-944O - MAYO, DEBORAH	PUTNAM GLOBAL CONSUMER FUND CL B	0.00	1.09	0.00	1.09	88.0	0.96
	ACCOUNT #: LSR011035	BUY 1 Units @0.0000						
12/26/2017	***-**-63TR - EVANS, AUDREY J	PUTNAM GLOBAL CONSUMER FUND CL B	0.00	1.65	0.00	1.65	88.0	1.45
	ACCOUNT #: LSR011036	BUY 1 Units @0.0000						
12/26/2017	***-**-306X - COBB, CHERRYL	PUTNAM GLOBAL CONSUMER FUND CL B	0.00	1.16	0.00	1.16	88.0	1.02
	ACCOUNT #: LSR011037	BUY 1 Units @0.0000						
12/26/2017	***-**-579J - RHYMESTINE,	PUTNAM GLOBAL CONSUMER FUND CL B	0.00	1.14	0.00	1.14	88.0	1.00
	ACCOUNT #: LSR011081	BUY 1 Units @0.0000						
12/26/2017	***-**-326I - GRANDE, FBO MR	PUTNAM GLOBAL CONSUMER FUND CL B	0.00	1.24	0.00	1.24	88.0	1.09
	ACCOUNT #: LSR011091	BUY 1 Units @0.0000						
12/26/2017	***-**-506J - CURRIERE JR, MR	PUTNAM GLOBAL CONSUMER FUND CL B	0.00	1.39	0.00	1.39	88.0	1.22
	ACCOUNT #: LSR011121	BUY 1 Units @0.0000						
12/26/2017	***-**-367J - WAGNER, MRS LANT	PUTNAM GLOBAL CONSUMER FUND CL B	0.00	2.04	0.00	2.04	88.0	1.80
	ACCOUNT #: LSR011134	BUY 1 Units @0.0000						



COMMISSION STATEMENT

January 01, 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> 								
12/26/2017	***-**-48IO - ANACKER, FBO MRS	PUTNAM GLOBAL CONSUMER FUND CL B	0.00	2.16	0.00	2.16	88.0	1.90
	ACCOUNT #: LSR011164	BUY 1 Units @0.0000						
12/26/2017	***-**-64IO - PFAFF, GEORGE	PUTNAM GLOBAL CONSUMER FUND CL B	0.00	1.14	0.00	1.14	88.0	1.00
	ACCOUNT #: LSR011185	BUY 1 Units @0.0000						
12/26/2017	***-**-62IR - ROBBIANO, FBO	PUTNAM GLOBAL CONSUMER FUND CL B	0.00	1.14	0.00	1.14	88.0	1.00
	ACCOUNT #: LSR011195	BUY 1 Units @0.0000						
12/26/2017	***-**-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						
12/26/2017	***-**-653I - KOCHER, CLINTON	PUTNAM GLOBAL CONSUMER FUND CL B	0.00	3.19	0.00	3.19	88.0	2.81
	ACCOUNT #: LSR011300	BUY 1 Units @0.0000						
12/26/2017	***-**-680I - HARRELL, DARYL	PUTNAM GLOBAL CONSUMER FUND CL B	0.00	1.51	0.00	1.51	88.0	1.33
	ACCOUNT #: LSR011321	BUY 1 Units @0.0000						
12/26/2017	***-**-21IO - RADELL, SANDRA	PUTNAM GLOBAL CONSUMER FUND CL B	0.00	1.46	0.00	1.46	88.0	1.28
	ACCOUNT #: LSR011392	BUY 1 Units @0.0000						
12/26/2017	***-**-12IR - GRUENEWALD,	PUTNAM GLOBAL CONSUMER FUND CL B	0.00	0.60	0.00	0.60	88.0	0.53
	ACCOUNT #: LSR011614	BUY 1 Units @0.0000						
12/26/2017	***-**-03IO - MASTRANGELO,	PUTNAM GLOBAL CONSUMER FUND CL B	0.00	1.86	0.00	1.86	88.0	1.64
	ACCOUNT #: LSR011679	BUY 1 Units @0.0000						
12/26/2017	***-**-45IN - WILLIAMSON,	PUTNAM GLOBAL CONSUMER FUND CL B	0.00	0.76	0.00	0.76	88.0	0.67
	ACCOUNT #: LSR011751	BUY 1 Units @0.0000						
12/26/2017	***-**-065I - LAZIO, THOMAS	PUTNAM GLOBAL CONSUMER FUND CL C	0.00	5.44	0.00	5.44	88.0	4.79
	ACCOUNT #: LSR010979	BUY 1 Units @0.0000						
12/26/2017	***-**-44IO - MAYO, DEBORAH	PUTNAM GLOBAL CONSUMER FUND CL C	0.00	11.49	0.00	11.49	88.0	10.11
	ACCOUNT #: LSR011079	BUY 1 Units @0.0000						
12/26/2017	***-**-89IN - LEE, ROGER	PUTNAM GLOBAL CONSUMER FUND CL C	0.00	7.23	0.00	7.23	88.0	6.36
	ACCOUNT #: LSR011166	BUY 1 Units @0.0000						
12/26/2017	***-**-11IO - LYNN G.	PUTNAM GLOBAL CONSUMER FUND CL C	0.00	12.01	0.00	12.01	88.0	10.57
	ACCOUNT #: LSR011239	BUY 1 Units @0.0000						
12/26/2017	***-**-37IO - MCCLUSKY, MARK	PUTNAM GLOBAL CONSUMER FUND CL C	0.00	6.83	0.00	6.83	88.0	6.01
	ACCOUNT #: LSR011579	BUY 1 Units @0.0000						
12/26/2017	***-**-702I - KOCHER, MICHAEL	PUTNAM GLOBAL HEALTH CARE FD-A	0.00	1.36	0.00	1.36	88.0	1.20
	ACCOUNT #: LSR010954	BUY 1 Units @0.0000						



COMMISSION STATEMENT

January 01, 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>								
12/26/2017	***-**-22IO - CLINTON, STEPHEN	PUTNAM GLOBAL HEALTH CARE FD-A	0.00	0.95	0.00	0.95	88.0	0.84
	ACCOUNT #: LSR011684	BUY 1 Units @0.0000						
12/26/2017	***-**-579I - RHYMESTINE,	PUTNAM GLOBAL NAT RESOURCES-A	0.00	1.14	0.00	1.14	88.0	1.00
	ACCOUNT #: LSR011082	BUY 1 Units @0.0000						
12/26/2017	***-**-680I - HARRELL, DARYL	PUTNAM GLOBAL NAT RESOURCES-A	0.00	0.11	0.00	0.11	88.0	0.10
	ACCOUNT #: LSR011321	BUY 1 Units @0.0000						
12/26/2017	***-**-31IO - HARTZ, CLAUDIA	PUTNAM GLOBAL NAT RESOURCES-B	0.00	0.87	0.00	0.87	88.0	0.77
	ACCOUNT #: LSR010915	BUY 1 Units @0.0000						
12/26/2017	***-**-567I - FRANZ, ALICE	PUTNAM GLOBAL NAT RESOURCES-B	0.00	0.68	0.00	0.68	88.0	0.60
	ACCOUNT #: LSR010960	BUY 1 Units @0.0000						
12/26/2017	***-**-664J - PFAFF, GEORGE	PUTNAM GLOBAL NAT RESOURCES-B	0.00	0.61	0.00	0.61	88.0	0.54
	ACCOUNT #: LSR011184	BUY 1 Units @0.0000						
12/26/2017	***-**-63TR - EVANS, AUDREY J	PUTNAM GLOBAL SECTOR FUND CL A	0.00	2.52	0.00	2.52	88.0	2.22
	ACCOUNT #: LSR011036	BUY 1 Units @0.0000						
12/26/2017	***-**-567I - FRANZ, ALICE	PUTNAM GLOBAL TECHNOLOGY CL B	0.00	2.05	0.00	2.05	88.0	1.80
	ACCOUNT #: LSR010960	BUY 1 Units @0.0000						
12/26/2017	***-**-944O - MAYO, DEBORAH	PUTNAM GLOBAL TECHNOLOGY CL B	0.00	0.97	0.00	0.97	88.0	0.85
	ACCOUNT #: LSR011035	BUY 1 Units @0.0000						
12/26/2017	***-**-63TR - EVANS, AUDREY J	PUTNAM GLOBAL TELECOMMUNICATIONS B	0.00	2.35	0.00	2.35	88.0	2.07
	ACCOUNT #: LSR011036	BUY 1 Units @0.0000						
12/26/2017	***-**-62IR - ROBBIANO, FBO	PUTNAM GLOBAL TELECOMMUNICATIONS B	0.00	0.58	0.00	0.58	88.0	0.51
	ACCOUNT #: LSR011195	BUY 1 Units @0.0000						
12/15/2017	***-**-63IN - LASCALA, DEBORAH	PUTNAM GLOBAL UTILITIES CL C	100.00	1.00	0.00	1.00	88.0	0.88
	ACCOUNT #: 00426855622	BUY 7 Units @13.8000						
12/26/2017	***-**-382I - SATTERLY, NEIL	PUTNAM GLOBAL UTILITIES CL C	0.00	5.52	0.00	5.52	88.0	4.86
	ACCOUNT #: LSR010867	BUY 1 Units @0.0000						
12/26/2017	***-**-881I - EBERLEY, SUSAN	PUTNAM GROWTH OPPORTUNITIES FUND CL	0.00	8.64	0.00	8.64	88.0	7.60
	ACCOUNT #: LSR010858	BUY 1 Units @0.0000						
12/26/2017	***-**-382I - SATTERLY, NEIL	PUTNAM GROWTH OPPORTUNITIES FUND CL	0.00	9.14	0.00	9.14	88.0	8.04
	ACCOUNT #: LSR010867	BUY 1 Units @0.0000						
12/26/2017	***-**-420T - DEMETRI, AMELIA	PUTNAM GROWTH OPPORTUNITIES FUND CL	0.00	8.99	0.00	8.99	88.0	7.91
	ACCOUNT #: LSR010994	BUY 1 Units @0.0000						



COMMISSION STATEMENT

January 01, 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>								
12/26/2017	***-**-169I - EVANS, PAUL ACCOUNT #: LSR011026	PUTNAM GROWTH OPPORTUNITIES FUND CL BUY 1 Units @0.0000	0.00	7.98	0.00	7.98	88.0	7.02
12/26/2017	***-**-80IN - COBB, JAMES ACCOUNT #: LSR011042	PUTNAM GROWTH OPPORTUNITIES FUND CL BUY 1 Units @0.0000	0.00	7.81	0.00	7.81	88.0	6.87
12/26/2017	***-**-14IO - BUSHEY, MATTHEW ACCOUNT #: LSR011498	PUTNAM GROWTH OPPORTUNITIES FUND CL BUY 1 Units @0.0000	0.00	11.47	0.00	11.47	88.0	10.09
12/26/2017	***-**-51IO - CAIN, TIMOTHY ACCOUNT #: LSR011007	PUTNAM GROWTH OPPORTUNITIES FUND CL BUY 1 Units @0.0000	0.00	2.29	0.00	2.29	88.0	2.02
12/26/2017	***-**-653I - KOCHER, CLINTON ACCOUNT #: LSR011300	PUTNAM GROWTH OPPORTUNITIES FUND CL BUY 1 Units @0.0000	0.00	2.74	0.00	2.74	88.0	2.41
12/26/2017	***-**-13IO - ROTH, KAREN ACCOUNT #: LSR011484	PUTNAM GROWTH OPPORTUNITIES FUND CL BUY 1 Units @0.0000	0.00	1.43	0.00	1.43	88.0	1.26
12/26/2017	***-**-31IO - HARTZ, CLAUDIA ACCOUNT #: LSR010915	PUTNAM HEALTH SCIENCES TR-B BUY 1 Units @0.0000	0.00	0.86	0.00	0.86	88.0	0.76
12/26/2017	***-**-930I - SANGER, KEVIN ACCOUNT #: LSR010941	PUTNAM HEALTH SCIENCES TR-B BUY 1 Units @0.0000	0.00	0.67	0.00	0.67	88.0	0.59
12/26/2017	***-**-567I - FRANZ, ALICE ACCOUNT #: LSR010960	PUTNAM HEALTH SCIENCES TR-B BUY 1 Units @0.0000	0.00	2.41	0.00	2.41	88.0	2.12
12/26/2017	***-**-960J - MASTRANGELO, ACCOUNT #: LSR010966	PUTNAM HEALTH SCIENCES TR-B BUY 1 Units @0.0000	0.00	1.23	0.00	1.23	88.0	1.08
12/26/2017	***-**-761I - EVANS, DOLORES ACCOUNT #: LSR011024	PUTNAM HEALTH SCIENCES TR-B BUY 1 Units @0.0000	0.00	1.99	0.00	1.99	88.0	1.75
12/26/2017	***-**-944O - MAYO, DEBORAH ACCOUNT #: LSR011035	PUTNAM HEALTH SCIENCES TR-B BUY 1 Units @0.0000	0.00	1.66	0.00	1.66	88.0	1.46
12/26/2017	***-**-579I - RHYMESTINE, ACCOUNT #: LSR011082	PUTNAM HEALTH SCIENCES TR-B BUY 1 Units @0.0000	0.00	2.17	0.00	2.17	88.0	1.91
12/26/2017	***-**-326I - GRANDE, FBO MR ACCOUNT #: LSR011091	PUTNAM HEALTH SCIENCES TR-B BUY 1 Units @0.0000	0.00	1.32	0.00	1.32	88.0	1.16
12/26/2017	***-**-48IO - ANACKER, FBO MRS ACCOUNT #: LSR011164	PUTNAM HEALTH SCIENCES TR-B BUY 1 Units @0.0000	0.00	2.06	0.00	2.06	88.0	1.81
12/26/2017	***-**-664J - PFAFF, GEORGE ACCOUNT #: LSR011184	PUTNAM HEALTH SCIENCES TR-B BUY 1 Units @0.0000	0.00	2.03	0.00	2.03	88.0	1.79



COMMISSION STATEMENT

January 01, 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)								
12/26/2017	***-**-64IO - PFAFF, GEORGE ACCOUNT #: LSR011185	PUTNAM HEALTH SCIENCES TR-B BUY 1 Units @0.0000	0.00	0.80	0.00	0.80	88.0	0.70
12/26/2017	***-**-62IR - ROBBIANO, FBO ACCOUNT #: LSR011195	PUTNAM HEALTH SCIENCES TR-B BUY 1 Units @0.0000	0.00	0.88	0.00	0.88	88.0	0.77
12/26/2017	***-**-52IO - EUSEPI, SUSAN ACCOUNT #: LSR011219	PUTNAM HEALTH SCIENCES TR-B BUY 1 Units @0.0000	0.00	1.06	0.00	1.06	88.0	0.93
12/26/2017	***-**-480J - EVANS, RICHARD ACCOUNT #: LSR011274	PUTNAM HEALTH SCIENCES TR-B BUY 1 Units @0.0000	0.00	1.01	0.00	1.01	88.0	0.89
12/26/2017	***-**-653I - KOCHER, CLINTON ACCOUNT #: LSR011300	PUTNAM HEALTH SCIENCES TR-B BUY 1 Units @0.0000	0.00	2.97	0.00	2.97	88.0	2.61
12/26/2017	***-**-21IO - RADELL, SANDRA ACCOUNT #: LSR011392	PUTNAM HEALTH SCIENCES TR-B BUY 1 Units @0.0000	0.00	1.72	0.00	1.72	88.0	1.51
12/26/2017	***-**-197I - GAMBINO, ANDREW ACCOUNT #: LSR011465	PUTNAM HEALTH SCIENCES TR-B BUY 1 Units @0.0000	0.00	0.19	0.00	0.19	88.0	0.17
12/26/2017	***-**-53IN - EVANS, ANDREW ACCOUNT #: LSR011483	PUTNAM HEALTH SCIENCES TR-B BUY 1 Units @0.0000	0.00	0.50	0.00	0.50	88.0	0.44
12/26/2017	***-**-13IO - ROTH, KAREN ACCOUNT #: LSR011484	PUTNAM HEALTH SCIENCES TR-B BUY 1 Units @0.0000	0.00	1.39	0.00	1.39	88.0	1.22
12/26/2017	***-**-38IO - BROWN, TYLER ACCOUNT #: LSR011602	PUTNAM HEALTH SCIENCES TR-B BUY 1 Units @0.0000	0.00	0.78	0.00	0.78	88.0	0.69
12/26/2017	***-**-12IR - GRUENEWALD, ACCOUNT #: LSR011614	PUTNAM HEALTH SCIENCES TR-B BUY 1 Units @0.0000	0.00	0.67	0.00	0.67	88.0	0.59
12/26/2017	***-**-03IO - MASTRANGELO, ACCOUNT #: LSR011679	PUTNAM HEALTH SCIENCES TR-B BUY 1 Units @0.0000	0.00	1.19	0.00	1.19	88.0	1.05
12/26/2017	***-**-45IN - WILLIAMSON, ACCOUNT #: LSR011751	PUTNAM HEALTH SCIENCES TR-B BUY 1 Units @0.0000	0.00	0.67	0.00	0.67	88.0	0.59
12/26/2017	***-**-22IO - CLINTON, STEPHEN ACCOUNT #: LSR011684	PUTNAM INTL GROWTH & INC-A BUY 1 Units @0.0000	0.00	1.08	0.00	1.08	88.0	0.95
12/26/2017	***-**-382K - SATTERLY, NEIL ACCOUNT #: LSR010875	PUTNAM INVESTORS CLASS C BUY 1 Units @0.0000	0.00	4.16	0.00	4.16	88.0	3.66
12/26/2017	***-**-653J - KOCHER, CLINTON ACCOUNT #: LSR011298	PUTNAM INVESTORS CLASS C BUY 1 Units @0.0000	0.00	4.15	0.00	4.15	88.0	3.65



COMMISSION STATEMENT

January 01, 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>								
12/26/2017	***-**-22IO - CLINTON, STEPHEN	PUTNAM SMALL CAP VALUE FUND-A	0.00	1.31	0.00	1.31	88.0	1.15
	ACCOUNT #: LSR011684	BUY 1 Units @0.0000						
12/26/2017	***-**-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						
12/26/2017	***-**-254I - AUGUSTINE, LINDA	PUTNAM UTILITIES GR & INC-B	0.00	1.12	0.00	1.12	88.0	0.99
	ACCOUNT #: LSR010846	BUY 1 Units @0.0000						
12/26/2017	***-**-881J - EBERLEY, SUSAN	PUTNAM UTILITIES GR & INC-B	0.00	1.59	0.00	1.59	88.0	1.40
	ACCOUNT #: LSR010856	BUY 1 Units @0.0000						
12/26/2017	***-**-949I - ACEE, JOSPEH	PUTNAM UTILITIES GR & INC-B	0.00	0.71	0.00	0.71	88.0	0.62
	ACCOUNT #: LSR010908	BUY 1 Units @0.0000						
12/26/2017	***-**-31IO - HARTZ, CLAUDIA	PUTNAM UTILITIES GR & INC-B	0.00	0.53	0.00	0.53	88.0	0.47
	ACCOUNT #: LSR010915	BUY 1 Units @0.0000						
12/26/2017	***-**-930I - SANGER, KEVIN	PUTNAM UTILITIES GR & INC-B	0.00	1.00	0.00	1.00	88.0	0.88
	ACCOUNT #: LSR010941	BUY 1 Units @0.0000						
12/26/2017	***-**-15IN - PENDRAK, JOHN	PUTNAM UTILITIES GR & INC-B	0.00	2.19	0.00	2.19	88.0	1.93
	ACCOUNT #: LSR010948	BUY 1 Units @0.0000						
12/26/2017	***-**-959I - FRANZ, PAUL	PUTNAM UTILITIES GR & INC-B	0.00	1.75	0.00	1.75	88.0	1.54
	ACCOUNT #: LSR010959	BUY 1 Units @0.0000						
12/26/2017	***-**-960J - MASTRANGELO,	PUTNAM UTILITIES GR & INC-B	0.00	2.14	0.00	2.14	88.0	1.88
	ACCOUNT #: LSR010966	BUY 1 Units @0.0000						
12/26/2017	***-**-51IO - CAIN, TIMOTHY	PUTNAM UTILITIES GR & INC-B	0.00	1.19	0.00	1.19	88.0	1.05
	ACCOUNT #: LSR011007	BUY 1 Units @0.0000						
12/26/2017	***-**-761I - EVANS, DOLORES	PUTNAM UTILITIES GR & INC-B	0.00	1.37	0.00	1.37	88.0	1.21
	ACCOUNT #: LSR011024	BUY 1 Units @0.0000						
12/26/2017	***-**-96IN - NESSIA, BONNIE	PUTNAM UTILITIES GR & INC-B	0.00	1.61	0.00	1.61	88.0	1.42
	ACCOUNT #: LSR011055	BUY 1 Units @0.0000						
12/26/2017	***-**-861I - SANGER, LAWRENCE	PUTNAM UTILITIES GR & INC-B	0.00	1.45	0.00	1.45	88.0	1.28
	ACCOUNT #: LSR011095	BUY 1 Units @0.0000						
12/26/2017	***-**-31IO - WILLIAMSON, FBO	PUTNAM UTILITIES GR & INC-B	0.00	2.64	0.00	2.64	88.0	2.32
	ACCOUNT #: LSR011172	BUY 1 Units @0.0000						
12/26/2017	***-**-02IN - BUSHEY, MELISSA	PUTNAM UTILITIES GR & INC-B	0.00	0.49	0.00	0.49	88.0	0.43
	ACCOUNT #: LSR011257	BUY 1 Units @0.0000						



COMMISSION STATEMENT

January 01, 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>								
12/26/2017	***-**-680I - HARRELL, DARYL	QUEST INTERNATIONAL VALUE FUND, INC	0.00	0.67	0.00	0.67	88.0	0.59
	ACCOUNT #: LSR011321	BUY 1 Units @0.0000						
12/26/2017	***-**-15IN - PENDRAK, JOHN	QUEST OPPORTUNITY VALUE A	0.00	1.09	0.00	1.09	88.0	0.96
	ACCOUNT #: LSR010948	BUY 1 Units @0.0000						
12/26/2017	***-**-254I - AUGUSTINE, LINDA	REAL ESTATE FUND A	0.00	1.10	0.00	1.10	88.0	0.97
	ACCOUNT #: LSR010846	BUY 1 Units @0.0000						
12/26/2017	***-**-881J - EBERLEY, SUSAN	REAL ESTATE FUND A	0.00	1.05	0.00	1.05	88.0	0.92
	ACCOUNT #: LSR010856	BUY 1 Units @0.0000						
12/26/2017	***-**-15IN - PENDRAK, JOHN	REAL ESTATE FUND A	0.00	0.83	0.00	0.83	88.0	0.73
	ACCOUNT #: LSR010948	BUY 1 Units @0.0000						
12/26/2017	***-**-702I - KOHEM, MICHAEL	REAL ESTATE FUND A	0.00	0.97	0.00	0.97	88.0	0.85
	ACCOUNT #: LSR010954	BUY 1 Units @0.0000						
12/26/2017	***-**-51IO - CAIN, TIMOTHY	REAL ESTATE FUND A	0.00	1.14	0.00	1.14	88.0	1.00
	ACCOUNT #: LSR011007	BUY 1 Units @0.0000						
12/26/2017	***-**-761I - EVANS, DOLORES	REAL ESTATE FUND A	0.00	2.86	0.00	2.86	88.0	2.52
	ACCOUNT #: LSR011024	BUY 1 Units @0.0000						
12/26/2017	***-**-944O - MAYO, DEBORAH	REAL ESTATE FUND A	0.00	0.65	0.00	0.65	88.0	0.57
	ACCOUNT #: LSR011035	BUY 1 Units @0.0000						
12/26/2017	***-**-111J - NESSIA, JAMES	REAL ESTATE FUND A	0.00	1.00	0.00	1.00	88.0	0.88
	ACCOUNT #: LSR011054	BUY 1 Units @0.0000						
12/26/2017	***-**-326I - GRANDE, FBO MR	REAL ESTATE FUND A	0.00	1.09	0.00	1.09	88.0	0.96
	ACCOUNT #: LSR011091	BUY 1 Units @0.0000						
12/26/2017	***-**-861I - SANGER, LAWRENCE	REAL ESTATE FUND A	0.00	1.39	0.00	1.39	88.0	1.22
	ACCOUNT #: LSR011095	BUY 1 Units @0.0000						
12/26/2017	***-**-31IO - WILLIAMSON, FBO	REAL ESTATE FUND A	0.00	1.67	0.00	1.67	88.0	1.47
	ACCOUNT #: LSR011172	BUY 1 Units @0.0000						
12/26/2017	***-**-62IN - EATON, DAVID	REAL ESTATE FUND A	0.00	0.60	0.00	0.60	88.0	0.53
	ACCOUNT #: LSR011315	BUY 1 Units @0.0000						
12/26/2017	***-**-949I - ACEE, JOSPEH	REAL ESTATE FUND B	0.00	1.31	0.00	1.31	88.0	1.15
	ACCOUNT #: LSR010908	BUY 1 Units @0.0000						
12/26/2017	***-**-567I - FRANZ, ALICE	REAL ESTATE FUND B	0.00	2.05	0.00	2.05	88.0	1.80
	ACCOUNT #: LSR010960	BUY 1 Units @0.0000						



COMMISSION STATEMENT

January 01, 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> 								
12/26/2017	***-**-506J - CURRIERE JR, MR	REAL ESTATE FUND B	0.00	0.50	0.00	0.50	88.0	0.44
	ACCOUNT #: LSR011121	BUY 1 Units @0.0000						
12/26/2017	***-**-367J - WAGNER, MRS LANT	REAL ESTATE FUND B	0.00	1.26	0.00	1.26	88.0	1.11
	ACCOUNT #: LSR011134	BUY 1 Units @0.0000						
12/26/2017	***-**-48IO - ANACKER, FBO MRS	REAL ESTATE FUND B	0.00	1.50	0.00	1.50	88.0	1.32
	ACCOUNT #: LSR011164	BUY 1 Units @0.0000						
12/26/2017	***-**-664J - PFAFF, GEORGE	REAL ESTATE FUND B	0.00	1.43	0.00	1.43	88.0	1.26
	ACCOUNT #: LSR011184	BUY 1 Units @0.0000						
12/26/2017	***-**-64IO - PFAFF, GEORGE	REAL ESTATE FUND B	0.00	1.53	0.00	1.53	88.0	1.35
	ACCOUNT #: LSR011185	BUY 1 Units @0.0000						
12/26/2017	***-**-62IR - ROBBIANO, FBO	REAL ESTATE FUND B	0.00	0.44	0.00	0.44	88.0	0.39
	ACCOUNT #: LSR011195	BUY 1 Units @0.0000						
12/26/2017	***-**-653I - KOCHER, CLINTON	REAL ESTATE FUND B	0.00	1.45	0.00	1.45	88.0	1.28
	ACCOUNT #: LSR011300	BUY 1 Units @0.0000						
12/26/2017	***-**-382I - SATTERLY, NEIL	REAL ESTATE FUND C	0.00	10.13	0.00	10.13	88.0	8.91
	ACCOUNT #: LSR010867	BUY 1 Units @0.0000						
12/26/2017	***-**-48IO - CLARK, PATRICK	REAL ESTATE FUND C	0.00	7.54	0.00	7.54	88.0	6.64
	ACCOUNT #: LSR010911	BUY 1 Units @0.0000						
12/26/2017	***-**-72IN - GAVALO, JULIE	REAL ESTATE FUND C	0.00	8.16	0.00	8.16	88.0	7.18
	ACCOUNT #: LSR010921	BUY 1 Units @0.0000						
12/26/2017	***-**-065I - LAZIO, THOMAS	REAL ESTATE FUND C	0.00	6.03	0.00	6.03	88.0	5.31
	ACCOUNT #: LSR010979	BUY 1 Units @0.0000						
12/26/2017	***-**-73TR - WESTCOTT IRRVOC	REAL ESTATE FUND C	0.00	7.98	0.00	7.98	88.0	7.02
	ACCOUNT #: LSR011001	BUY 1 Units @0.0000						
12/26/2017	***-**-73TR - WESTCOTT IRRVOC	REAL ESTATE FUND C	0.00	2.15	0.00	2.15	88.0	1.89
	ACCOUNT #: LSR011008	BUY 1 Units @0.0000						
12/26/2017	***-**-00IO - LEE, GARY	REAL ESTATE FUND C	0.00	9.73	0.00	9.73	88.0	8.56
	ACCOUNT #: LSR011059	BUY 1 Units @0.0000						
12/26/2017	***-**-52IO - EUSEPI, SUSAN	REAL ESTATE FUND C	0.00	4.63	0.00	4.63	88.0	4.07
	ACCOUNT #: LSR011219	BUY 1 Units @0.0000						
12/26/2017	***-**-11IO - LYNN G.	REAL ESTATE FUND C	0.00	12.66	0.00	12.66	88.0	11.14
	ACCOUNT #: LSR011239	BUY 1 Units @0.0000						



COMMISSION STATEMENT

January 01, 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>								
12/26/2017	***-**-80IO - EVANS, RICHARD	REAL ESTATE FUND C	0.00	4.00	0.00	4.00	88.0	3.52
	ACCOUNT #: LSR011276	BUY 1 Units @0.0000						
12/26/2017	***-**-45IO - JOHNSON, GREGORY	REAL ESTATE FUND C	0.00	6.86	0.00	6.86	88.0	6.04
	ACCOUNT #: LSR011421	BUY 1 Units @0.0000						
12/26/2017	***-**-633J -	REAL ESTATE FUND C	0.00	0.01	0.00	0.01	88.0	0.01
	ACCOUNT #: LSR011732	BUY 1 Units @0.0000						
12/26/2017	***-**-254I - AUGUSTINE, LINDA	RISING DIVIDENDS FUND A	0.00	1.47	0.00	1.47	88.0	1.29
	ACCOUNT #: LSR010846	BUY 1 Units @0.0000						
12/26/2017	***-**-881I - EBERLEY, SUSAN	RISING DIVIDENDS FUND A	0.00	0.86	0.00	0.86	88.0	0.76
	ACCOUNT #: LSR010858	BUY 1 Units @0.0000						
12/26/2017	***-**-702I - KOCHER, MICHAEL	RISING DIVIDENDS FUND A	0.00	2.21	0.00	2.21	88.0	1.94
	ACCOUNT #: LSR010954	BUY 1 Units @0.0000						
12/26/2017	***-**-959I - FRANZ, PAUL	RISING DIVIDENDS FUND A	0.00	1.05	0.00	1.05	88.0	0.92
	ACCOUNT #: LSR010959	BUY 1 Units @0.0000						
12/26/2017	***-**-761I - EVANS, DOLORES	RISING DIVIDENDS FUND A	0.00	8.30	0.00	8.30	88.0	7.30
	ACCOUNT #: LSR011024	BUY 1 Units @0.0000						
12/26/2017	***-**-944O - MAYO, DEBORAH	RISING DIVIDENDS FUND A	0.00	1.11	0.00	1.11	88.0	0.98
	ACCOUNT #: LSR011035	BUY 1 Units @0.0000						
12/26/2017	***-**-96IN - NESSIA, BONNIE	RISING DIVIDENDS FUND A	0.00	2.22	0.00	2.22	88.0	1.95
	ACCOUNT #: LSR011055	BUY 1 Units @0.0000						
12/26/2017	***-**-326I - GRANDE, FBO MR	RISING DIVIDENDS FUND A	0.00	1.86	0.00	1.86	88.0	1.64
	ACCOUNT #: LSR011091	BUY 1 Units @0.0000						
12/26/2017	***-**-861I - SANGER, LAWRENCE	RISING DIVIDENDS FUND A	0.00	2.05	0.00	2.05	88.0	1.80
	ACCOUNT #: LSR011095	BUY 1 Units @0.0000						
12/26/2017	***-**-13IN - RHYMESTINE,	RISING DIVIDENDS FUND A	0.00	1.27	0.00	1.27	88.0	1.12
	ACCOUNT #: LSR011106	BUY 1 Units @0.0000						
12/26/2017	***-**-664J - PFAFF, GEORGE	RISING DIVIDENDS FUND A	0.00	0.77	0.00	0.77	88.0	0.68
	ACCOUNT #: LSR011184	BUY 1 Units @0.0000						
12/26/2017	***-**-02IN - BUSHEY, MELISSA	RISING DIVIDENDS FUND A	0.00	0.87	0.00	0.87	88.0	0.77
	ACCOUNT #: LSR011257	BUY 1 Units @0.0000						
12/26/2017	***-**-62IN - EATON, DAVID	RISING DIVIDENDS FUND A	0.00	1.17	0.00	1.17	88.0	1.03
	ACCOUNT #: LSR011315	BUY 1 Units @0.0000						



COMMISSION STATEMENT

January 01, 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> 								
12/26/2017	***-**-680I - HARRELL, DARYL ACCOUNT #: LSR011321	RISING DIVIDENDS FUND A BUY 1 Units @0.0000	0.00	1.01	0.00	1.01	88.0	0.89
12/26/2017	***-**-287J - HINCKLEY, ACCOUNT #: LSR010841	RISING DIVIDENDS FUND, INC. B BUY 1 Units @0.0000	0.00	0.53	0.00	0.53	88.0	0.47
12/26/2017	***-**-366I - GRUENEWALD, ACCOUNT #: LSR010989	RISING DIVIDENDS FUND, INC. B BUY 1 Units @0.0000	0.00	1.26	0.00	1.26	88.0	1.11
12/26/2017	***-**-580X - COBB, JAMES ACCOUNT #: LSR011040	RISING DIVIDENDS FUND, INC. B BUY 1 Units @0.0000	0.00	1.99	0.00	1.99	88.0	1.75
12/26/2017	***-**-579I - RHYMESTINE, ACCOUNT #: LSR011082	RISING DIVIDENDS FUND, INC. B BUY 1 Units @0.0000	0.00	2.50	0.00	2.50	88.0	2.20
12/26/2017	***-**-96IN - NESSIA, BONNIE ACCOUNT #: LSR011055	ROCH. LIMITED TERM NEW YORK MUNICI BUY 1 Units @0.0000	0.00	1.20	0.00	1.20	88.0	1.06
12/26/2017	***-**-13IN - RHYMESTINE, ACCOUNT #: LSR011106	ROCH. LIMITED TERM NEW YORK MUNICI BUY 1 Units @0.0000	0.00	0.90	0.00	0.90	88.0	0.79
12/26/2017	***-**-02IN - BUSHEY, MELISSA ACCOUNT #: LSR011257	ROCH. LIMITED TERM NEW YORK MUNICI BUY 1 Units @0.0000	0.00	0.36	0.00	0.36	88.0	0.32
12/26/2017	***-**-901J - GURDO, ANTHONY ACCOUNT #: LSR011261	ROCH. LIMITED TERM NEW YORK MUNICI BUY 1 Units @0.0000	0.00	0.33	0.00	0.33	88.0	0.29
12/26/2017	***-**-80IN - COBB, JAMES ACCOUNT #: LSR011042	ROCHESTER NATIONAL MUNICIPALS A BUY 1 Units @0.0000	0.00	2.47	0.00	2.47	88.0	2.17
12/26/2017	***-**-87IN - HINCKLEY, ACCOUNT #: LSR010834	SEADRILL LTD USD2 UNSOLICITED ORDER SELL 403 Units @0.2350	94.71	6.93	0.00	6.93	88.0	6.10
12/26/2017	***-**-366S - GRUENEWALD, ACCOUNT #: LSR010990	SEADRILL LTD USD2 UNSOLICITED ORDER SELL 200 Units @0.2350	47.00	10.99	0.00	10.99	88.0	9.67
12/26/2017	***-**-80IN - COBB, JAMES ACCOUNT #: LSR011042	SEADRILL LTD USD2 UNSOLICITED ORDER SELL 500 Units @0.2360	118.00	4.99	0.00	4.99	88.0	4.39
12/26/2017	***-**-89IN - DOVI, PAMELA ACCOUNT #: LSR011644	SEADRILL LTD USD2 UNSOLICITED ORDER SELL 103 Units @0.2330	24.00	1.88	0.00	1.88	88.0	1.65
12/26/2017	***-**-567I - FRANZ, ALICE ACCOUNT #: LSR010960	SMALL- & MID- CAP VALUE B BUY 1 Units @0.0000	0.00	2.26	0.00	2.26	88.0	1.99
12/26/2017	***-**-580X - COBB, JAMES ACCOUNT #: LSR011040	SMALL- & MID- CAP VALUE B BUY 1 Units @0.0000	0.00	1.00	0.00	1.00	88.0	0.88



COMMISSION STATEMENT

January 01, 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) 								
12/26/2017	***-**-579I - RHYMESTINE, ACCOUNT #: LSR011082	SMALL- & MID- CAP VALUE B BUY 1 Units @0.0000	0.00	2.14	0.00	2.14	88.0	1.88
12/26/2017	***-**-664J - PFAFF, GEORGE ACCOUNT #: LSR011184	SMALL- & MID- CAP VALUE B BUY 1 Units @0.0000	0.00	0.69	0.00	0.69	88.0	0.61
12/26/2017	***-**-065I - LAZIO, THOMAS ACCOUNT #: LSR010979	SMALL- & MID- CAP VALUE FUND C BUY 1 Units @0.0000	0.00	4.88	0.00	4.88	88.0	4.29
12/26/2017	***-**-28IN - BYWATER, KIM ACCOUNT #: LSR011995	SMALL- & MID- CAP VALUE FUND C BUY 1 Units @0.0000	0.00	1.75	0.00	1.75	88.0	1.54
12/26/2017	***-**-680I - HARRELL, DARYL ACCOUNT #: LSR011321	VOYA GLOBAL EQUITY DIVIDEND CLASS A BUY 1 Units @0.0000	0.00	1.78	0.00	1.78	88.0	1.57
12/26/2017	***-**-702I - KOHEM, MICHAEL ACCOUNT #: LSR010954	VOYA GLOBAL REAL ESTATE CLASS A BUY 1 Units @0.0000	0.00	1.05	0.00	1.05	88.0	0.92
12/26/2017	***-**-959I - FRANZ, PAUL ACCOUNT #: LSR010959	VOYA GLOBAL REAL ESTATE CLASS A BUY 1 Units @0.0000	0.00	0.10	0.00	0.10	88.0	0.09
12/26/2017	***-**-30TR - AND SANDRA ACCOUNT #: LSR011939	VOYA GLOBAL REAL ESTATE CLASS A BUY 1 Units @0.0000	0.00	0.90	0.00	0.90	88.0	0.79
12/26/2017	***-**-13IN - RHYMESTINE, ACCOUNT #: LSR011106	VOYA REAL ESTATE CLASS C BUY 1 Units @0.0000	0.00	5.40	0.00	5.40	88.0	4.75
* KURT GRUENEWALD SUBTOTAL *			\$6,868.72	\$2,960.76	\$0.00	\$2,960.76		\$2,605.45
*** OVERRIDE TRANSACTIONS TOTAL ***			\$6,868.72	\$2,960.76	\$0.00	\$2,960.76		\$2,605.45



BROKER #: A76
BRANCH #01047 - 47 - GRIFFITH

			INVESTMENT	GROSS	CLEARING	NET	BROKER	
DATE	CLIENT		AMOUNT	COMMISSION	CHARGE	COMMISSION	RATE	COMMISSION
BROKER COMMISSION TOTALS								
					Broker Transactions		\$433.28	
					Split Transactions		\$0.00	
					Override Transactions		\$2,605.45	
					Adjustments		\$0.00	
					Payroll Draw		\$0.00	
					Base Salary		\$0.00	
					Prior Period Balance		\$0.00	
					FINRA Assessment		\$0.00	
					SIPC Assessment		\$0.00	
					Net Commission Earned		\$3,038.73	
					Year-to-date Earnings		\$3,038.73	