



COMMISSION STATEMENT

October 15, 2018

KURT GRUENEWALD
2108 Genesee St.
Utica, NY 13502

BROKER #: A77
BRANCH #01047 - 47 - GRIFFITH

| DATE | CLIENT | INVESTMENT | INVESTMENT AMOUNT | GROSS COMMISSION | CLEARING CHARGE | NET COMMISSION | RATE | BROKER COMMISSION |
|--|--|---|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u>BROKER TRANSACTIONS</u> | | | | | | | | |
| <u>PRODUCT CATEGORY: MUTUAL FUNDS</u> | | | | | | | | |
| 09/19/2018 | ***-**-65CL - GRUENEWALD, K, ACCOUNT #: 03222414918 | CAPITAL APPRECIATION C BUY 0 Units @0.0000 | 50.00 | 0.50 | 0.00 | 0.50 | 0.0 | 0.00 |
| 10/09/2018 | ***-**-37IO - DAVIDSON, ACCOUNT #: LSR012268 | EATON VANCE FLOATING RATE ADVANTAGE SELL 68 Units @10.9800 | 750.00 | 18.00 | 18.00 | 0.00 | 0.0 | 0.00 |
| 09/26/2018 | ***-**-633J - ACCOUNT #: 08353229688 | EQUITY INCOME FUND, INC. A BUY 0 Units @0.0000 | 2,395.88 | 113.80 | 0.00 | 113.80 | 0.0 | 0.00 |
| 09/24/2018 | ***-**-48JT - LEE, DARLENE ACCOUNT #: 08370750926 | EQUITY INCOME FUND, INC. C BUY 0 Units @0.0000 | 50.00 | 0.50 | 0.00 | 0.50 | 0.0 | 0.00 |
| 09/19/2018 | ***-**-65CL - GRUENEWALD, K, ACCOUNT #: 02171825219 | GLOBAL OPPORTUNITIES FUND C BUY 0 Units @0.0000 | 50.00 | 0.50 | 0.00 | 0.50 | 0.0 | 0.00 |
| 09/28/2018 | ***-**-13IN - RHYMESTINE, ACCOUNT #: 08191178476 | MFS EMERGING MARKETS EQUITY FUND-B BUY 2 Units @30.5200 | 50.00 | 2.00 | 0.00 | 2.00 | 0.0 | 0.00 |
| 09/28/2018 | ***-**-13IN - RHYMESTINE, ACCOUNT #: 08191178476 | MFS EMERGING MKT DEBT CL B BUY 4 Units @14.0800 | 50.00 | 2.00 | 0.00 | 2.00 | 0.0 | 0.00 |
| 09/28/2018 | ***-**-13IN - RHYMESTINE, ACCOUNT #: 08191178476 | MFS INTERNATIONAL VALUE FUND-B BUY 2 Units @41.7200 | 100.00 | 4.00 | 0.00 | 4.00 | 0.0 | 0.00 |
| 09/28/2018 | ***-**-13IN - RHYMESTINE, ACCOUNT #: 08191178476 | MFS TOTAL RETURN FUND-B BUY 3 Units @19.1200 | 50.00 | 2.00 | 0.00 | 2.00 | 0.0 | 0.00 |
| 09/26/2018 | ***-**-633J - ACCOUNT #: 05502871176 | OPP PORT SERIES: ACTIVE ALLOC A BUY 0 Units @0.0000 | 2,395.87 | 113.80 | 0.00 | 113.80 | 0.0 | 0.00 |
| 09/18/2018 | ***-**-775I - BLISS, APRIL ACCOUNT #: 05521022692 | OPPENHEIMER ACTIVE ALLOCATION FUND BUY 0 Units @0.0000 | 90.98 | 0.91 | 0.00 | 0.91 | 0.0 | 0.00 |
| 09/24/2018 | ***-**-13IN - BLISS, PATRICK ACCOUNT #: 05521022681 | OPPENHEIMER ACTIVE ALLOCATION FUND BUY 0 Units @0.0000 | 75.00 | 0.75 | 0.00 | 0.75 | 0.0 | 0.00 |
| 09/24/2018 | ***-**-48JT - LEE, DARLENE ACCOUNT #: 05521043603 | OPPENHEIMER ACTIVE ALLOCATION FUND BUY 0 Units @0.0000 | 50.00 | 0.50 | 0.00 | 0.50 | 0.0 | 0.00 |
| 09/24/2018 | ***-**-48JT - LEE, DARLENE ACCOUNT #: 01971019612 | OPPENHEIMER INTERNATIONAL DIVERSIFI BUY 0 Units @0.0000 | 50.00 | 0.50 | 0.00 | 0.50 | 0.0 | 0.00 |
| 09/26/2018 | ***-**-633J - ACCOUNT #: 01953330426 | OPPENHEIMER INTERNATIONAL DIVERSIFI BUY 0 Units @0.0000 | 2,395.87 | 113.80 | 0.00 | 113.80 | 0.0 | 0.00 |
| 09/26/2018 | ***-**-633J - ACCOUNT #: 02514987422 | OPPENHEIMER SMALL & MID CAP VALUE F BUY 0 Units @0.0000 | 2,395.87 | 113.80 | 0.00 | 113.80 | 0.0 | 0.00 |



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|--|--|--|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| BROKER TRANSACTIONS (continued) | | | | | | | | |
| PRODUCT CATEGORY: STOCKS (continued) | | | | | | | | |
| | | * MUTUAL FUNDS SUBTOTAL * | \$10,999.47 | \$487.36 | \$18.00 | \$469.36 | | \$0.00 |
| PRODUCT CATEGORY: STOCKS | | | | | | | | |
| 10/09/2018 | ***-**-09IO - BATES, FBO MRS ACCOUNT #: LSR011117 | BERKSHIRE HATHAWAY INC DEL CL B NEW SELL 50 Units @223.7900 | 11,189.50 | 97.49 | 18.00 | 79.49 | 0.0 | 0.00 |
| 10/09/2018 | ***-**-79TR - OR CYNTHIA ACCOUNT #: LSR012749 | STEIN MART INC COM BUY 1000 Units @2.2900 | 2,290.00 | 49.99 | 18.00 | 31.99 | 0.0 | 0.00 |
| | | * STOCKS SUBTOTAL * | \$13,479.50 | \$147.48 | \$36.00 | \$111.48 | | \$0.00 |
| PRODUCT CATEGORY: VARIABLE ANNUITIES | | | | | | | | |
| 10/01/2018 | ***-**-8126 - MCCARTHY, BRIANN ACCOUNT #: VP71028570 | PACIFIC LIFE SE5-NYB DTCC BUY 0 Units @0.0000 | 35.92 | 1.08 | 0.00 | 1.08 | 0.0 | 0.00 |
| | | * VARIABLE ANNUITIES SUBTOTAL * | \$35.92 | \$1.08 | \$0.00 | \$1.08 | | \$0.00 |
| PRODUCT CATEGORY: 529 PLAN | | | | | | | | |
| 10/15/2018 | ***-**-614J - BUSHEY, MATTHEW | NY 529 ADDITIONAL DEPOSIT BUY 0 Units @0.0000 | 94.77 | 4.75 | 0.00 | 4.75 | 0.0 | 0.00 |
| | | * 529 PLAN SUBTOTAL * | \$94.77 | \$4.75 | \$0.00 | \$4.75 | | \$0.00 |
| PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS | | | | | | | | |
| 10/01/2018 | ***-**-91UT - BYWATER, CAROLYN ACCOUNT #: 00234174436 | 37252M108 BUY 0 Units @0.0000 | 0.00 | 0.77 | 0.00 | 0.77 | 0.0 | 0.00 |
| 10/01/2018 | ***-**-79UT - BYWATER, ACCOUNT #: 00234227769 | 37252M108 BUY 0 Units @0.0000 | 0.00 | 0.79 | 0.00 | 0.79 | 0.0 | 0.00 |
| 10/15/2018 | ***-**-89IN - LEE, ROGER ACCOUNT #: 091123534 | GRIFFIN CAPITAL ESS ASSET II TRAILS BUY 0 Units @0.0000 | 0.00 | 48.48 | 0.00 | 48.48 | 0.0 | 0.00 |
| 10/15/2018 | ***-**-09IO - BATES, FBO MRS ACCOUNT #: 091125944 | GRIFFIN CAPITAL ESS ASSET II TRAILS BUY 0 Units @0.0000 | 0.00 | 60.60 | 0.00 | 60.60 | 0.0 | 0.00 |
| 10/15/2018 | ***-**-287X - HINCKLEY, ACCOUNT #: 091129238 | GRIFFIN CAPITAL ESS ASSET II TRAILS BUY 0 Units @0.0000 | 0.00 | 21.82 | 0.00 | 21.82 | 0.0 | 0.00 |
| 10/15/2018 | ***-**-45IO - JOHNSON, GREGORY ACCOUNT #: 091129288 | GRIFFIN CAPITAL ESS ASSET II TRAILS BUY 0 Units @0.0000 | 0.00 | 48.48 | 0.00 | 48.48 | 0.0 | 0.00 |



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| BROKER TRANSACTIONS (continued) | | | | | | | | |
| PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued) | | | | | | | | |
| 10/15/2018 | ***-**-11IN - MCCARTHY, LYNN | GRIFFIN CAPITAL ESS ASSET II TRAILS | 0.00 | 24.24 | 0.00 | 24.24 | 0.0 | 0.00 |
| | ACCOUNT #: 091131292 | BUY 0 Units @0.0000 | | | | | | |
| 10/15/2018 | ***-**-376I - BERBEN, GAIL | GRIFFIN CAPITAL ESS ASSET II TRAILS | 0.00 | 12.12 | 0.00 | 12.12 | 0.0 | 0.00 |
| | ACCOUNT #: 00091131762 | BUY 0 Units @0.0000 | | | | | | |
| 10/15/2018 | ***-**-14IO - BUSHEY, MATTHEW | GRIFFIN CAPITAL ESS ASSET II TRAILS | 0.00 | 12.12 | 0.00 | 12.12 | 0.0 | 0.00 |
| | ACCOUNT #: 00091132518 | BUY 0 Units @0.0000 | | | | | | |
| 10/15/2018 | ***-**-531J - WILLIAMSON, | GRIFFIN CAPITAL ESS ASSET II TRAILS | 0.00 | 72.72 | 0.00 | 72.72 | 0.0 | 0.00 |
| | ACCOUNT #: 091140076 | BUY 0 Units @0.0000 | | | | | | |
| 10/15/2018 | ***-**-930I - SANGER, KEVIN | GRIFFIN CAPITAL ESS ASSET II TRAILS | 0.00 | 12.67 | 0.00 | 12.67 | 0.0 | 0.00 |
| | ACCOUNT #: 00091130813 | BUY 0 Units @0.0000 | | | | | | |
| 10/15/2018 | ***-**-11IN - MCCARTHY, LYNN | GRIFFIN CAPITAL ESS ASSET II TRAILS | 0.00 | 38.00 | 0.00 | 38.00 | 0.0 | 0.00 |
| | ACCOUNT #: 091131292 | BUY 0 Units @0.0000 | | | | | | |
| 10/15/2018 | ***-**-376I - BERBEN, GAIL | GRIFFIN CAPITAL ESS ASSET II TRAILS | 0.00 | 12.67 | 0.00 | 12.67 | 0.0 | 0.00 |
| | ACCOUNT #: 00091131725 | BUY 0 Units @0.0000 | | | | | | |
| 10/15/2018 | ***-**-21IO - RADELL, SANDRA | GRIFFIN CAPITAL ESS ASSET II TRAILS | 0.00 | 25.33 | 0.00 | 25.33 | 0.0 | 0.00 |
| | ACCOUNT #: 091131984 | BUY 0 Units @0.0000 | | | | | | |
| 10/15/2018 | ***-**-49IN - DEPEYSTER, | GRIFFIN CAPITAL ESS ASSET II TRAILS | 0.00 | 12.67 | 0.00 | 12.67 | 0.0 | 0.00 |
| | ACCOUNT #: 091132017 | BUY 0 Units @0.0000 | | | | | | |
| 10/15/2018 | ***-**-14IO - BUSHEY, MATTHEW | GRIFFIN CAPITAL ESS ASSET II TRAILS | 0.00 | 12.67 | 0.00 | 12.67 | 0.0 | 0.00 |
| | ACCOUNT #: 00091132551 | BUY 0 Units @0.0000 | | | | | | |
| 10/15/2018 | ***-**-09IN - BATES, CHRISTINE | GRIFFIN CAPITAL ESS ASSET II TRAILS | 0.00 | 25.33 | 0.00 | 25.33 | 0.0 | 0.00 |
| | ACCOUNT #: 00091133853 | BUY 0 Units @0.0000 | | | | | | |
| 10/15/2018 | ***-**-29IN - MASSOUD, | GRIFFIN CAPITAL ESS ASSET II TRAILS | 0.00 | 12.67 | 0.00 | 12.67 | 0.0 | 0.00 |
| | ACCOUNT #: 91134730 | BUY 0 Units @0.0000 | | | | | | |
| 10/15/2018 | ***-**-579I - RHYMESTINE, | GRIFFIN CAPITAL ESS ASSET II TRAILS | 0.00 | 15.20 | 0.00 | 15.20 | 0.0 | 0.00 |
| | ACCOUNT #: 91134731 | BUY 0 Units @0.0000 | | | | | | |
| 10/15/2018 | ***-**-959I - FRANZ, PAUL | GRIFFIN CAPITAL ESS ASSET II TRAILS | 0.00 | 15.20 | 0.00 | 15.20 | 0.0 | 0.00 |
| | ACCOUNT #: 91134733 | BUY 0 Units @0.0000 | | | | | | |
| 10/15/2018 | ***-**-7231 - WARMUTH, | GRIFFIN CAPITAL ESS ASSET II TRAILS | 0.00 | 12.67 | 0.00 | 12.67 | 0.0 | 0.00 |
| | | BUY 0 Units @0.0000 | | | | | | |
| 10/15/2018 | ***-**-15IN - PENDRAK, JOHN | GRIFFIN CAPITAL ESS ASSET II TRAILS | 0.00 | 12.67 | 0.00 | 12.67 | 0.0 | 0.00 |
| | ACCOUNT #: 091136021 | BUY 0 Units @0.0000 | | | | | | |



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| BROKER TRANSACTIONS (continued) | | | | | | | | |
| PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued) | | | | | | | | |
| 10/15/2018 | ***-**-366I - GRUENEWALD, ACCOUNT #: 91136364 | GRIFFIN CAPITAL ESS ASSET II TRAILS BUY 0 Units @0.0000 | 0.00 | 12.67 | 0.00 | 12.67 | 0.0 | 0.00 |
| 10/15/2018 | ***-**-365I - GRUENEWALD, KURT ACCOUNT #: 091137478 | GRIFFIN CAPITAL ESS ASSET II TRAILS BUY 0 Units @0.0000 | 0.00 | 12.67 | 0.00 | 12.67 | 0.0 | 0.00 |
| 10/15/2018 | ***-**-960J - MASTRANGELO, ACCOUNT #: 091139160 | GRIFFIN CAPITAL ESS ASSET II TRAILS BUY 0 Units @0.0000 | 0.00 | 25.33 | 0.00 | 25.33 | 0.0 | 0.00 |
| 10/15/2018 | ***-**-531J - WILLIAMSON, ACCOUNT #: 091140076 | GRIFFIN CAPITAL ESS ASSET II TRAILS BUY 0 Units @0.0000 | 0.00 | 75.99 | 0.00 | 75.99 | 0.0 | 0.00 |
| 10/15/2018 | ***-**-65CL - GRUENEWALD, K, ACCOUNT #: 091140076 | GRIFFIN CAPITAL ESS ASSET II TRAILS BUY 0 Units @0.0000 | 0.00 | 12.67 | 0.00 | 12.67 | 0.0 | 0.00 |
| 10/09/2018 | ***-**-80IN - COBB, JAMES ACCOUNT #: LSR011042 | LOCORR SPECTRUM-NFS SELL 322 Units @7.4700 | 2,405.89 | 19.99 | 0.00 | 19.99 | 0.0 | 0.00 |
| 10/01/2018 | ***-**-1855 - WILLIAMSON, ACCOUNT #: 08191308008 | MASSACHUSETTS INVESTORS TRUST CLASS BUY 0 Units @0.0000 | 0.00 | 3.78 | 0.00 | 3.78 | 0.0 | 0.00 |
| 10/01/2018 | ***-**-439J - MCCARTHY, JAMES ACCOUNT #: 00060638887 | MASSACHUSETTS INVESTORS TRUST-A BUY 0 Units @0.0000 | 0.00 | 0.40 | 0.00 | 0.40 | 0.0 | 0.00 |
| 10/01/2018 | ***-**-439J - MCCARTHY, JAMES ACCOUNT #: 00060638888 | MASSACHUSETTS INVESTORS TRUST-A BUY 0 Units @0.0000 | 0.00 | 1.94 | 0.00 | 1.94 | 0.0 | 0.00 |
| 10/01/2018 | ***-**-861I - SANGER, LAWRENCE ACCOUNT #: 00060640524 | MASSACHUSETTS INVESTORS TRUST-A BUY 0 Units @0.0000 | 0.00 | 0.42 | 0.00 | 0.42 | 0.0 | 0.00 |
| 10/01/2018 | ***-**-0767 - DOVI, ACCOUNT #: 00060640882 | MASSACHUSETTS INVESTORS TRUST-A BUY 0 Units @0.0000 | 0.00 | 1.17 | 0.00 | 1.17 | 0.0 | 0.00 |
| 10/01/2018 | ***-**-8440 - PREVOST, PIERRE ACCOUNT #: 00060670633 | MASSACHUSETTS INVESTORS TRUST-A BUY 0 Units @0.0000 | 0.00 | 1.13 | 0.00 | 1.13 | 0.0 | 0.00 |
| 10/01/2018 | ***-**-237I - MCCLUSKY, MARK ACCOUNT #: 00060670635 | MASSACHUSETTS INVESTORS TRUST-A BUY 0 Units @0.0000 | 0.00 | 2.12 | 0.00 | 2.12 | 0.0 | 0.00 |
| 10/01/2018 | ***-**-439I - MCCARTHY, JAMES ACCOUNT #: 08190124895 | MASSACHUSETTS INVESTORS TRUST-B BUY 0 Units @0.0000 | 0.00 | 1.54 | 0.00 | 1.54 | 0.0 | 0.00 |
| 10/01/2018 | ***-**-861I - SANGER, LAWRENCE ACCOUNT #: 08191153495 | MASSACHUSETTS INVESTORS TRUST-B BUY 0 Units @0.0000 | 0.00 | 0.18 | 0.00 | 0.18 | 0.0 | 0.00 |
| 10/01/2018 | ***-**-094I - CIRILLO, CARL ACCOUNT #: 08191173445 | MASSACHUSETTS INVESTORS TRUST-B BUY 0 Units @0.0000 | 0.00 | 3.24 | 0.00 | 3.24 | 0.0 | 0.00 |



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|--|-------------------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| BROKER TRANSACTIONS (continued) | | | | | | | | |
| PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued) | | | | | | | | |
| 10/01/2018 | ***-**-671I - EBERLEY, REID | MASSACHUSETTS INVESTORS TRUST-B | 0.00 | 2.22 | 0.00 | 2.22 | 0.0 | 0.00 |
| | ACCOUNT #: 08191175793 | BUY 0 Units @0.0000 | | | | | | |
| 10/01/2018 | ***-**-13IN - RHYMESTINE, | MASSACHUSETTS INVESTORS TRUST-B | 0.00 | 1.05 | 0.00 | 1.05 | 0.0 | 0.00 |
| | ACCOUNT #: 08191178476 | BUY 0 Units @0.0000 | | | | | | |
| 10/01/2018 | ***-**-3420 - KOCHER, DENISE | MASSACHUSETTS INVESTORS TRUST-B | 0.00 | 0.64 | 0.00 | 0.64 | 0.0 | 0.00 |
| | ACCOUNT #: 08191179076 | BUY 0 Units @0.0000 | | | | | | |
| 10/01/2018 | ***-**-9839 - YADDAW, DAVID | MASSACHUSETTS INVESTORS TRUST-B | 0.00 | 2.69 | 0.00 | 2.69 | 0.0 | 0.00 |
| | ACCOUNT #: 08191183793 | BUY 0 Units @0.0000 | | | | | | |
| 10/01/2018 | ***-**-1855 - WILLIAMSON, | MFS GROWTH PORT CLASS C | 0.00 | 4.34 | 0.00 | 4.34 | 0.0 | 0.00 |
| | ACCOUNT #: 08191308008 | BUY 0 Units @0.0000 | | | | | | |
| 10/01/2018 | ***-**-06IN - SATTERLY, | MFS 08191336006 | 0.00 | 5.01 | 0.00 | 5.01 | 0.0 | 0.00 |
| | ACCOUNT #: 08191336006 | BUY 0 Units @0.0000 | | | | | | |
| 10/01/2018 | ***-**-1855 - WILLIAMSON, | MFS 55273E871 | 0.00 | 1.72 | 0.00 | 1.72 | 0.0 | 0.00 |
| | ACCOUNT #: 08191308008 | BUY 0 Units @0.0000 | | | | | | |
| 10/01/2018 | ***-**-4193 - VAN BAALEN, GUY | MFS 552987646 | 0.00 | 1.85 | 0.00 | 1.85 | 0.0 | 0.00 |
| | ACCOUNT #: 08191310030 | BUY 0 Units @0.0000 | | | | | | |
| 10/01/2018 | ***-**-058I - ROBBIANO, SARAH | MFS AGGRESS GROWTH ALLOCATION FD-B | 0.00 | 0.20 | 0.00 | 0.20 | 0.0 | 0.00 |
| | ACCOUNT #: 08191291666 | BUY 0 Units @0.0000 | | | | | | |
| 10/01/2018 | ***-**-2603 - MASTRANGELO, | MFS BLENDED RESEARCH CORE EQUITY FD | 0.00 | 0.83 | 0.00 | 0.83 | 0.0 | 0.00 |
| | ACCOUNT #: 08190129168 | BUY 0 Units @0.0000 | | | | | | |
| 10/01/2018 | ***-**-3749 - DEPEYSTER, | MFS BOND FUND CLASS B | 0.00 | 0.56 | 0.00 | 0.56 | 0.0 | 0.00 |
| | ACCOUNT #: 08190127726 | BUY 0 Units @0.0000 | | | | | | |
| 10/01/2018 | ***-**-2603 - MASTRANGELO, | MFS BOND FUND CLASS B | 0.00 | 0.16 | 0.00 | 0.16 | 0.0 | 0.00 |
| | ACCOUNT #: 08190129168 | BUY 0 Units @0.0000 | | | | | | |
| 10/01/2018 | ***-**-606I - LEWIS, TAMARA | MFS BOND FUND-C | 0.00 | 1.37 | 0.00 | 1.37 | 0.0 | 0.00 |
| | ACCOUNT #: 08191352847 | BUY 0 Units @0.0000 | | | | | | |
| 10/01/2018 | ***-**-606I - LEWIS, TAMARA | MFS CORE EQUITY FUND-B | 0.00 | 0.80 | 0.00 | 0.80 | 0.0 | 0.00 |
| | ACCOUNT #: 08191352846 | BUY 0 Units @0.0000 | | | | | | |
| 10/01/2018 | ***-**-3749 - DEPEYSTER, | MFS EMERGING GROWTH FUND-B | 0.00 | 2.38 | 0.00 | 2.38 | 0.0 | 0.00 |
| | ACCOUNT #: 08190127726 | BUY 0 Units @0.0000 | | | | | | |
| 10/01/2018 | ***-**-5384 - GURDO, JESSICA | MFS EMERGING GROWTH FUND-B | 0.00 | 0.21 | 0.00 | 0.21 | 0.0 | 0.00 |
| | ACCOUNT #: 08191233759 | BUY 0 Units @0.0000 | | | | | | |



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| BROKER TRANSACTIONS (continued) | | | | | | | | |
| PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued) | | | | | | | | |
| 10/01/2018 | ***-**-439J - MCCARTHY, JAMES | MFS EMERGING MARKETS DEBT FUND-A | 0.00 | 0.48 | 0.00 | 0.48 | 0.0 | 0.00 |
| | ACCOUNT #: 00060638917 | BUY 0 Units @0.0000 | | | | | | |
| 10/01/2018 | ***-**-861I - SANGER, LAWRENCE | MFS EMERGING MARKETS DEBT FUND-A | 0.00 | 0.23 | 0.00 | 0.23 | 0.0 | 0.00 |
| | ACCOUNT #: 00060640608 | BUY 0 Units @0.0000 | | | | | | |
| 10/01/2018 | ***-**-0767 - DOVI, | MFS EMERGING MARKETS DEBT FUND-A | 0.00 | 1.00 | 0.00 | 1.00 | 0.0 | 0.00 |
| | ACCOUNT #: 00060640958 | BUY 0 Units @0.0000 | | | | | | |
| 10/01/2018 | ***-**-237I - MCCLUSKY, MARK | MFS EMERGING MARKETS DEBT FUND-A | 0.00 | 1.35 | 0.00 | 1.35 | 0.0 | 0.00 |
| | ACCOUNT #: 00060670677 | BUY 0 Units @0.0000 | | | | | | |
| 10/01/2018 | ***-**-111J - NESSIA, JAMES | MFS EMERGING MARKETS DEBT FUND-A | 0.00 | 0.35 | 0.00 | 0.35 | 0.0 | 0.00 |
| | ACCOUNT #: 00060671028 | BUY 0 Units @0.0000 | | | | | | |
| 10/01/2018 | ***-**-3932 - CARSON, DAVID | MFS EMERGING MARKETS DEBT FUND-A | 0.00 | 0.02 | 0.00 | 0.02 | 0.0 | 0.00 |
| | ACCOUNT #: 00060671635 | BUY 0 Units @0.0000 | | | | | | |
| 10/01/2018 | ***-**-861I - SANGER, LAWRENCE | MFS EMERGING MARKETS EQUITY FUND-A | 0.00 | 0.28 | 0.00 | 0.28 | 0.0 | 0.00 |
| | ACCOUNT #: 00060640668 | BUY 0 Units @0.0000 | | | | | | |
| 10/01/2018 | ***-**-2483 - TURNBULL, | MFS EMERGING MARKETS EQUITY FUND-A | 0.00 | 0.32 | 0.00 | 0.32 | 0.0 | 0.00 |
| | ACCOUNT #: 00060641032 | BUY 0 Units @0.0000 | | | | | | |
| 10/01/2018 | ***-**-7617 - ESCHER, BEVERLY | MFS EMERGING MARKETS EQUITY FUND-A | 0.00 | 0.14 | 0.00 | 0.14 | 0.0 | 0.00 |
| | ACCOUNT #: 00060641033 | BUY 0 Units @0.0000 | | | | | | |
| 10/01/2018 | ***-**-8440 - PREVOST, PIERRE | MFS EMERGING MARKETS EQUITY FUND-A | 0.00 | 0.77 | 0.00 | 0.77 | 0.0 | 0.00 |
| | ACCOUNT #: 00060670698 | BUY 0 Units @0.0000 | | | | | | |
| 10/01/2018 | ***-**-466I - MCCLUSKY, YVONNE | MFS EMERGING MARKETS EQUITY FUND-A | 0.00 | 1.35 | 0.00 | 1.35 | 0.0 | 0.00 |
| | ACCOUNT #: 00060670700 | BUY 0 Units @0.0000 | | | | | | |
| 10/01/2018 | ***-**-111J - NESSIA, JAMES | MFS EMERGING MARKETS EQUITY FUND-A | 0.00 | 0.49 | 0.00 | 0.49 | 0.0 | 0.00 |
| | ACCOUNT #: 00060671051 | BUY 0 Units @0.0000 | | | | | | |
| 10/01/2018 | ***-**-111J - NESSIA, JAMES | MFS EMERGING MARKETS EQUITY FUND-B | 0.00 | 0.83 | 0.00 | 0.83 | 0.0 | 0.00 |
| | ACCOUNT #: 08190126843 | BUY 0 Units @0.0000 | | | | | | |
| 10/01/2018 | ***-**-094I - CIRILLO, CARL | MFS EMERGING MARKETS EQUITY FUND-B | 0.00 | 0.79 | 0.00 | 0.79 | 0.0 | 0.00 |
| | ACCOUNT #: 08190127967 | BUY 0 Units @0.0000 | | | | | | |
| 10/01/2018 | ***-**-889I - FRANZ, JONATHAN | MFS EMERGING MARKETS EQUITY FUND-B | 0.00 | 0.32 | 0.00 | 0.32 | 0.0 | 0.00 |
| | ACCOUNT #: 08190130131 | BUY 0 Units @0.0000 | | | | | | |
| 10/01/2018 | ***-**-213I - GRUENEWALD, | MFS EMERGING MARKETS EQUITY FUND-B | 0.00 | 5.23 | 0.00 | 5.23 | 0.0 | 0.00 |
| | ACCOUNT #: 08190131132 | BUY 0 Units @0.0000 | | | | | | |



COMMISSION STATEMENT

October 15, 2018

KURT GRUENEWALD
2108 Genesee St.
Utica, NY 13502

BROKER #: A77
BRANCH #01047 - 47 - GRIFFITH

| DATE | CLIENT | INVESTMENT | INVESTMENT AMOUNT | GROSS COMMISSION | CLEARING CHARGE | NET COMMISSION | RATE | BROKER COMMISSION |
|--|--------------------------------|------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| BROKER TRANSACTIONS (continued) | | | | | | | | |
| PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued) | | | | | | | | |
| 10/01/2018 | ***-**-861I - SANGER, LAWRENCE | MFS EMERGING MARKETS EQUITY FUND-B | 0.00 | 0.14 | 0.00 | 0.14 | 0.0 | 0.00 |
| | ACCOUNT #: 08191153495 | BUY 0 Units @0.0000 | | | | | | |
| 10/01/2018 | ***-**-13IN - RHYMESTINE, | MFS EMERGING MARKETS EQUITY FUND-B | 0.00 | 3.63 | 0.00 | 3.63 | 0.0 | 0.00 |
| | ACCOUNT #: 08191178476 | BUY 0 Units @0.0000 | | | | | | |
| 10/01/2018 | ***-**-3420 - KOICHEM, DENISE | MFS EMERGING MARKETS EQUITY FUND-B | 0.00 | 0.48 | 0.00 | 0.48 | 0.0 | 0.00 |
| | ACCOUNT #: 08191179076 | BUY 0 Units @0.0000 | | | | | | |
| 10/01/2018 | ***-**-09IN - BATES, CHRISTINE | MFS EMERGING MARKETS EQUITY FUND-B | 0.00 | 2.37 | 0.00 | 2.37 | 0.0 | 0.00 |
| | ACCOUNT #: 08191196034 | BUY 0 Units @0.0000 | | | | | | |
| 10/01/2018 | ***-**-213I - GRUENEWALD, | MFS EMERGING MARKETS EQUITY FUND-B | 0.00 | 0.34 | 0.00 | 0.34 | 0.0 | 0.00 |
| | ACCOUNT #: 08191229521 | BUY 0 Units @0.0000 | | | | | | |
| 10/01/2018 | ***-**-5384 - GURDO, JESSICA | MFS EMERGING MARKETS EQUITY FUND-B | 0.00 | 0.16 | 0.00 | 0.16 | 0.0 | 0.00 |
| | ACCOUNT #: 08191233759 | BUY 0 Units @0.0000 | | | | | | |
| 10/01/2018 | ***-**-111J - NESSIA, JAMES | MFS EMERGING MKT DEBT CL B | 0.00 | 0.44 | 0.00 | 0.44 | 0.0 | 0.00 |
| | ACCOUNT #: 08190126843 | BUY 0 Units @0.0000 | | | | | | |
| 10/01/2018 | ***-**-2603 - MASTRANGELO, | MFS EMERGING MKT DEBT CL B | 0.00 | 0.17 | 0.00 | 0.17 | 0.0 | 0.00 |
| | ACCOUNT #: 08190129168 | BUY 0 Units @0.0000 | | | | | | |
| 10/01/2018 | ***-**-861I - SANGER, LAWRENCE | MFS EMERGING MKT DEBT CL B | 0.00 | 0.10 | 0.00 | 0.10 | 0.0 | 0.00 |
| | ACCOUNT #: 08191153495 | BUY 0 Units @0.0000 | | | | | | |
| 10/01/2018 | ***-**-3932 - CARSON, DAVID | MFS EMERGING MKT DEBT CL B | 0.00 | 1.02 | 0.00 | 1.02 | 0.0 | 0.00 |
| | ACCOUNT #: 08191168388 | BUY 0 Units @0.0000 | | | | | | |
| 10/01/2018 | ***-**-06IN - SATTERLY, | MFS EMERGING MKT DEBT CL B | 0.00 | 0.21 | 0.00 | 0.21 | 0.0 | 0.00 |
| | ACCOUNT #: 08191173302 | BUY 0 Units @0.0000 | | | | | | |
| 10/01/2018 | ***-**-094I - CIRILLO, CARL | MFS EMERGING MKT DEBT CL B | 0.00 | 2.96 | 0.00 | 2.96 | 0.0 | 0.00 |
| | ACCOUNT #: 08191173445 | BUY 0 Units @0.0000 | | | | | | |
| 10/01/2018 | ***-**-671I - EBERLEY, REID | MFS EMERGING MKT DEBT CL B | 0.00 | 2.44 | 0.00 | 2.44 | 0.0 | 0.00 |
| | ACCOUNT #: 08191175793 | BUY 0 Units @0.0000 | | | | | | |
| 10/01/2018 | ***-**-13IN - RHYMESTINE, | MFS EMERGING MKT DEBT CL B | 0.00 | 3.53 | 0.00 | 3.53 | 0.0 | 0.00 |
| | ACCOUNT #: 08191178476 | BUY 0 Units @0.0000 | | | | | | |
| 10/01/2018 | ***-**-3420 - KOICHEM, DENISE | MFS EMERGING MKT DEBT CL B | 0.00 | 0.60 | 0.00 | 0.60 | 0.0 | 0.00 |
| | ACCOUNT #: 08191179076 | BUY 0 Units @0.0000 | | | | | | |
| 10/01/2018 | ***-**-9839 - YADDAW, DAVID | MFS EMERGING MKT DEBT CL B | 0.00 | 2.40 | 0.00 | 2.40 | 0.0 | 0.00 |
| | ACCOUNT #: 08191183793 | BUY 0 Units @0.0000 | | | | | | |



COMMISSION STATEMENT

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2108 Genesee St.
Utica, NY 13502

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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) | | | | | | | | |
| 10/01/2018 | ***-**-1491 - GUNN, EDWARD | MFS EMERGING MKT DEBT CL B | 0.00 | 0.79 | 0.00 | 0.79 | 0.0 | 0.00 |
| | ACCOUNT #: 08191184927 | BUY 0 Units @0.0000 | | | | | | |
| 10/01/2018 | ***-**-7116 - PREVOST, SANDRA | MFS EMERGING MKT DEBT CL B | 0.00 | 1.31 | 0.00 | 1.31 | 0.0 | 0.00 |
| | ACCOUNT #: 08191191385 | BUY 0 Units @0.0000 | | | | | | |
| 10/01/2018 | ***-**-844I - ROSS, VALERIE | MFS EMERGING MKT DEBT CL B | 0.00 | 4.57 | 0.00 | 4.57 | 0.0 | 0.00 |
| | ACCOUNT #: 08191197798 | BUY 0 Units @0.0000 | | | | | | |
| 10/01/2018 | ***-**-524I - SCALISE, JOSEPH | MFS EMERGING MKT DEBT CL B | 0.00 | 0.42 | 0.00 | 0.42 | 0.0 | 0.00 |
| | ACCOUNT #: 08191202574 | BUY 0 Units @0.0000 | | | | | | |
| 10/01/2018 | ***-**-80IN - CURRIERE, LAURA | MFS EMERGING MKT DEBT CL B | 0.00 | 0.34 | 0.00 | 0.34 | 0.0 | 0.00 |
| | ACCOUNT #: 08191216642 | BUY 0 Units @0.0000 | | | | | | |
| 10/01/2018 | ***-**-48IO - ANACKER, FBO MRS | MFS EMERGING MKT DEBT CL B | 0.00 | 0.34 | 0.00 | 0.34 | 0.0 | 0.00 |
| | ACCOUNT #: 08191221209 | BUY 0 Units @0.0000 | | | | | | |
| 10/01/2018 | ***-**-5384 - GURDO, JESSICA | MFS EMERGING MKT DEBT CL B | 0.00 | 0.10 | 0.00 | 0.10 | 0.0 | 0.00 |
| | ACCOUNT #: 08191233759 | BUY 0 Units @0.0000 | | | | | | |
| 10/01/2018 | ***-**-49IN - GUARDI, LINDA | MFS EMERGING MKT DEBT CL B | 0.00 | 2.16 | 0.00 | 2.16 | 0.0 | 0.00 |
| | ACCOUNT #: 08191237797 | BUY 0 Units @0.0000 | | | | | | |
| 10/01/2018 | ***-**-213I - GRUENEWALD, | MFS GLOBAL NEW DISCOVERY FUND CL B | 0.00 | 1.69 | 0.00 | 1.69 | 0.0 | 0.00 |
| | ACCOUNT #: 08190131132 | BUY 0 Units @0.0000 | | | | | | |
| 10/01/2018 | ***-**-49IN - GUARDI, LINDA | MFS GLOBAL REAL ESTATE FUND CL B | 0.00 | 1.95 | 0.00 | 1.95 | 0.0 | 0.00 |
| | ACCOUNT #: 05566055029 | BUY 0 Units @0.0000 | | | | | | |
| 10/01/2018 | ***-**-213I - GRUENEWALD, | MFS GLOBAL REAL ESTATE FUND CL B | 0.00 | 1.25 | 0.00 | 1.25 | 0.0 | 0.00 |
| | ACCOUNT #: 08190131132 | BUY 0 Units @0.0000 | | | | | | |
| 10/01/2018 | ***-**-26IN - GRANDE, MR | MFS GLOBAL REAL ESTATE FUND CL C | 0.00 | 3.15 | 0.00 | 3.15 | 0.0 | 0.00 |
| | ACCOUNT #: 08191260232 | BUY 0 Units @0.0000 | | | | | | |
| 10/01/2018 | ***-**-439J - MCCARTHY, JAMES | MFS GLOBAL TOTAL RETURN FUND-A | 0.00 | 1.64 | 0.00 | 1.64 | 0.0 | 0.00 |
| | ACCOUNT #: 00060638910 | BUY 0 Units @0.0000 | | | | | | |
| 10/01/2018 | ***-**-439J - MCCARTHY, JAMES | MFS GLOBAL TOTAL RETURN FUND-A | 0.00 | 1.75 | 0.00 | 1.75 | 0.0 | 0.00 |
| | ACCOUNT #: 00060638911 | BUY 0 Units @0.0000 | | | | | | |
| 10/01/2018 | ***-**-65CL - GRUENEWALD, K, | MFS GLOBAL TOTAL RETURN FUND-A | 0.00 | 0.48 | 0.00 | 0.48 | 0.0 | 0.00 |
| | ACCOUNT #: 00060639655 | BUY 0 Units @0.0000 | | | | | | |
| 10/01/2018 | ***-**-02IN - BUSHEY, MELISSA | MFS GLOBAL TOTAL RETURN FUND-A | 0.00 | 0.87 | 0.00 | 0.87 | 0.0 | 0.00 |
| | ACCOUNT #: 00060640588 | BUY 0 Units @0.0000 | | | | | | |



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| DATE | CLIENT | INVESTMENT | INVESTMENT AMOUNT | GROSS COMMISSION | CLEARING CHARGE | NET COMMISSION | RATE | BROKER COMMISSION |
|--|--------------------------------|--------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| BROKER TRANSACTIONS (continued) | | | | | | | | |
| PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued) | | | | | | | | |
| 10/01/2018 | ***-**-02IN - BUSHEY, MELISSA | MFS GLOBAL TOTAL RETURN FUND-A | 0.00 | 1.09 | 0.00 | 1.09 | 0.0 | 0.00 |
| | ACCOUNT #: 00060640589 | BUY 0 Units @0.0000 | | | | | | |
| 10/01/2018 | ***-**-861I - SANGER, LAWRENCE | MFS GLOBAL TOTAL RETURN FUND-A | 0.00 | 0.60 | 0.00 | 0.60 | 0.0 | 0.00 |
| | ACCOUNT #: 00060640593 | BUY 0 Units @0.0000 | | | | | | |
| 10/01/2018 | ***-**-0767 - DOVI, | MFS GLOBAL TOTAL RETURN FUND-A | 0.00 | 1.95 | 0.00 | 1.95 | 0.0 | 0.00 |
| | ACCOUNT #: 00060640945 | BUY 0 Units @0.0000 | | | | | | |
| 10/01/2018 | ***-**-2483 - TURNBULL, | MFS GLOBAL TOTAL RETURN FUND-A | 0.00 | 2.36 | 0.00 | 2.36 | 0.0 | 0.00 |
| | ACCOUNT #: 00060640946 | BUY 0 Units @0.0000 | | | | | | |
| 10/01/2018 | ***-**-7617 - ESCHER, BEVERLY | MFS GLOBAL TOTAL RETURN FUND-A | 0.00 | 0.41 | 0.00 | 0.41 | 0.0 | 0.00 |
| | ACCOUNT #: 00060640947 | BUY 0 Units @0.0000 | | | | | | |
| 10/01/2018 | ***-**-8440 - PREVOST, PIERRE | MFS GLOBAL TOTAL RETURN FUND-A | 0.00 | 0.90 | 0.00 | 0.90 | 0.0 | 0.00 |
| | ACCOUNT #: 00060670665 | BUY 0 Units @0.0000 | | | | | | |
| 10/01/2018 | ***-**-237I - MCCLUSKY, MARK | MFS GLOBAL TOTAL RETURN FUND-A | 0.00 | 1.59 | 0.00 | 1.59 | 0.0 | 0.00 |
| | ACCOUNT #: 00060670667 | BUY 0 Units @0.0000 | | | | | | |
| 10/01/2018 | ***-**-3932 - CARSON, DAVID | MFS GLOBAL TOTAL RETURN FUND-A | 0.00 | 0.04 | 0.00 | 0.04 | 0.0 | 0.00 |
| | ACCOUNT #: 00060671625 | BUY 0 Units @0.0000 | | | | | | |
| 10/01/2018 | ***-**-439I - MCCARTHY, JAMES | MFS GLOBAL TOTAL RETURN FUND-B | 0.00 | 0.82 | 0.00 | 0.82 | 0.0 | 0.00 |
| | ACCOUNT #: 08190124895 | BUY 0 Units @0.0000 | | | | | | |
| 10/01/2018 | ***-**-111J - NESSIA, JAMES | MFS GLOBAL TOTAL RETURN FUND-B | 0.00 | 1.22 | 0.00 | 1.22 | 0.0 | 0.00 |
| | ACCOUNT #: 08190126843 | BUY 0 Units @0.0000 | | | | | | |
| 10/01/2018 | ***-**-3749 - DEPEYSTER, | MFS GLOBAL TOTAL RETURN FUND-B | 0.00 | 0.88 | 0.00 | 0.88 | 0.0 | 0.00 |
| | ACCOUNT #: 08190127726 | BUY 0 Units @0.0000 | | | | | | |
| 10/01/2018 | ***-**-2603 - MASTRANGELO, | MFS GLOBAL TOTAL RETURN FUND-B | 0.00 | 0.20 | 0.00 | 0.20 | 0.0 | 0.00 |
| | ACCOUNT #: 08190129168 | BUY 0 Units @0.0000 | | | | | | |
| 10/01/2018 | ***-**-889I - FRANZ, JONATHAN | MFS GLOBAL TOTAL RETURN FUND-B | 0.00 | 0.64 | 0.00 | 0.64 | 0.0 | 0.00 |
| | ACCOUNT #: 08190130131 | BUY 0 Units @0.0000 | | | | | | |
| 10/01/2018 | ***-**-8126 - MCCARTHY, BRIANN | MFS GLOBAL TOTAL RETURN FUND-B | 0.00 | 2.67 | 0.00 | 2.67 | 0.0 | 0.00 |
| | ACCOUNT #: 08191126031 | BUY 0 Units @0.0000 | | | | | | |
| 10/01/2018 | ***-**-094I - KATRENA L | MFS GLOBAL TOTAL RETURN FUND-B | 0.00 | 3.26 | 0.00 | 3.26 | 0.0 | 0.00 |
| | ACCOUNT #: 08191140345 | BUY 0 Units @0.0000 | | | | | | |
| 10/01/2018 | ***-**-6538 - BROWN, TYLER | MFS GLOBAL TOTAL RETURN FUND-B | 0.00 | 0.72 | 0.00 | 0.72 | 0.0 | 0.00 |
| | ACCOUNT #: 08191150212 | BUY 0 Units @0.0000 | | | | | | |



COMMISSION STATEMENT

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| DATE | CLIENT | INVESTMENT | INVESTMENT AMOUNT | GROSS COMMISSION | CLEARING CHARGE | NET COMMISSION | RATE | BROKER COMMISSION |
|--|--------------------------------|--------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| BROKER TRANSACTIONS (continued) | | | | | | | | |
| PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued) | | | | | | | | |
| 10/01/2018 | ***-**-861I - SANGER, LAWRENCE | MFS GLOBAL TOTAL RETURN FUND-B | 0.00 | 0.27 | 0.00 | 0.27 | 0.0 | 0.00 |
| | ACCOUNT #: 08191153495 | BUY 0 Units @0.0000 | | | | | | |
| 10/01/2018 | ***-**-7617 - ESCHE, BEVERLY | MFS GLOBAL TOTAL RETURN FUND-B | 0.00 | 3.28 | 0.00 | 3.28 | 0.0 | 0.00 |
| | ACCOUNT #: 08191154979 | BUY 0 Units @0.0000 | | | | | | |
| 10/01/2018 | ***-**-237I - MCCLUSKY, MARK | MFS GLOBAL TOTAL RETURN FUND-B | 0.00 | 0.03 | 0.00 | 0.03 | 0.0 | 0.00 |
| | ACCOUNT #: 08191161591 | BUY 0 Units @0.0000 | | | | | | |
| 10/01/2018 | ***-**-3932 - CARSON, DAVID | MFS GLOBAL TOTAL RETURN FUND-B | 0.00 | 2.28 | 0.00 | 2.28 | 0.0 | 0.00 |
| | ACCOUNT #: 08191168388 | BUY 0 Units @0.0000 | | | | | | |
| 10/01/2018 | ***-**-53RI - FALCHI, VALERIE | MFS GLOBAL TOTAL RETURN FUND-B | 0.00 | 3.21 | 0.00 | 3.21 | 0.0 | 0.00 |
| | ACCOUNT #: 08191172002 | BUY 0 Units @0.0000 | | | | | | |
| 10/01/2018 | ***-**-06IN - SATTERLY, | MFS GLOBAL TOTAL RETURN FUND-B | 0.00 | 0.90 | 0.00 | 0.90 | 0.0 | 0.00 |
| | ACCOUNT #: 08191173302 | BUY 0 Units @0.0000 | | | | | | |
| 10/01/2018 | ***-**-21IR - SATTERLY, ANDREW | MFS GLOBAL TOTAL RETURN FUND-B | 0.00 | 0.49 | 0.00 | 0.49 | 0.0 | 0.00 |
| | ACCOUNT #: 08191173305 | BUY 0 Units @0.0000 | | | | | | |
| 10/01/2018 | ***-**-094I - CIRILLO, CARL | MFS GLOBAL TOTAL RETURN FUND-B | 0.00 | 5.58 | 0.00 | 5.58 | 0.0 | 0.00 |
| | ACCOUNT #: 08191173445 | BUY 0 Units @0.0000 | | | | | | |
| 10/01/2018 | ***-**-671I - EBERLEY, REID | MFS GLOBAL TOTAL RETURN FUND-B | 0.00 | 4.23 | 0.00 | 4.23 | 0.0 | 0.00 |
| | ACCOUNT #: 08191175793 | BUY 0 Units @0.0000 | | | | | | |
| 10/01/2018 | ***-**-9839 - YADDAW, DAVID | MFS GLOBAL TOTAL RETURN FUND-B | 0.00 | 4.63 | 0.00 | 4.63 | 0.0 | 0.00 |
| | ACCOUNT #: 08191183793 | BUY 0 Units @0.0000 | | | | | | |
| 10/01/2018 | ***-**-844I - ROSS, VALERIE | MFS GLOBAL TOTAL RETURN FUND-B | 0.00 | 7.07 | 0.00 | 7.07 | 0.0 | 0.00 |
| | ACCOUNT #: 08191197798 | BUY 0 Units @0.0000 | | | | | | |
| 10/01/2018 | ***-**-524I - SCALISE, JOSEPH | MFS GLOBAL TOTAL RETURN FUND-B | 0.00 | 0.81 | 0.00 | 0.81 | 0.0 | 0.00 |
| | ACCOUNT #: 08191202574 | BUY 0 Units @0.0000 | | | | | | |
| 10/01/2018 | ***-**-80IN - CURRIERE, LAURA | MFS GLOBAL TOTAL RETURN FUND-B | 0.00 | 0.47 | 0.00 | 0.47 | 0.0 | 0.00 |
| | ACCOUNT #: 08191216642 | BUY 0 Units @0.0000 | | | | | | |
| 10/01/2018 | ***-**-6988 - TOOKE, LISA | MFS GLOBAL TOTAL RETURN FUND-B | 0.00 | 2.04 | 0.00 | 2.04 | 0.0 | 0.00 |
| | ACCOUNT #: 08191218269 | BUY 0 Units @0.0000 | | | | | | |
| 10/01/2018 | ***-**-48IO - ANACKER, FBO MRS | MFS GLOBAL TOTAL RETURN FUND-B | 0.00 | 1.30 | 0.00 | 1.30 | 0.0 | 0.00 |
| | ACCOUNT #: 08191221209 | BUY 0 Units @0.0000 | | | | | | |
| 10/01/2018 | ***-**-728I - BYWATER, KIM | MFS GLOBAL TOTAL RETURN FUND-B | 0.00 | 0.26 | 0.00 | 0.26 | 0.0 | 0.00 |
| | ACCOUNT #: 08191226548 | BUY 0 Units @0.0000 | | | | | | |



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| DATE | CLIENT | INVESTMENT | INVESTMENT AMOUNT | GROSS COMMISSION | CLEARING CHARGE | NET COMMISSION | RATE | BROKER COMMISSION |
|--|--------------------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| BROKER TRANSACTIONS (continued) | | | | | | | | |
| PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued) | | | | | | | | |
| 10/01/2018 | ***-**-49IN - GUARDI, LINDA | MFS GLOBAL TOTAL RETURN FUND-B | 0.00 | 3.16 | 0.00 | 3.16 | 0.0 | 0.00 |
| | ACCOUNT #: 08191237797 | BUY 0 Units @0.0000 | | | | | | |
| 10/01/2018 | ***-**-83UT - FALCHI, ISABELLE | MFS GLOBAL TOTAL RETURN FUND-B | 0.00 | 1.73 | 0.00 | 1.73 | 0.0 | 0.00 |
| | ACCOUNT #: 08191247393 | BUY 0 Units @0.0000 | | | | | | |
| 10/01/2018 | ***-**-473I - HUSTON, | MFS GLOBAL TOTAL RETURN FUND-B | 0.00 | 0.74 | 0.00 | 0.74 | 0.0 | 0.00 |
| | ACCOUNT #: 08191353972 | BUY 0 Units @0.0000 | | | | | | |
| 10/01/2018 | ***-**-881I - EBERLEY, SUSAN | MFS GLOBAL TOTAL RETURN FUND-C | 0.00 | 3.80 | 0.00 | 3.80 | 0.0 | 0.00 |
| | ACCOUNT #: 08191326411 | BUY 0 Units @0.0000 | | | | | | |
| 10/01/2018 | ***-**-7116 - PREVOST, SANDRA | MFS GOVERNMENT SECS CLASS C | 0.00 | 3.46 | 0.00 | 3.46 | 0.0 | 0.00 |
| | ACCOUNT #: 08191191385 | BUY 0 Units @0.0000 | | | | | | |
| 10/01/2018 | ***-**-3749 - DEPEYSTER, | MFS GOVERNMENT SECURITIES FUND-B | 0.00 | 0.31 | 0.00 | 0.31 | 0.0 | 0.00 |
| | ACCOUNT #: 08190127726 | BUY 0 Units @0.0000 | | | | | | |
| 10/01/2018 | ***-**-75IN - MANNING, JEFFREY | MFS GOVERNMENT SECURITIES FUND-B | 0.00 | 4.67 | 0.00 | 4.67 | 0.0 | 0.00 |
| | ACCOUNT #: 08190129582 | BUY 0 Units @0.0000 | | | | | | |
| 10/01/2018 | ***-**-3749 - DEPEYSTER, | MFS HIGH YIELD OPPORTUNITIES FUND-B | 0.00 | 0.80 | 0.00 | 0.80 | 0.0 | 0.00 |
| | ACCOUNT #: 08190127726 | BUY 0 Units @0.0000 | | | | | | |
| 10/01/2018 | ***-**-39IO - GUARNIERO, FBO | MFS HIGH YIELD OPPORTUNITIES FUND-B | 0.00 | 0.15 | 0.00 | 0.15 | 0.0 | 0.00 |
| | ACCOUNT #: 08191309494 | BUY 0 Units @0.0000 | | | | | | |
| 10/01/2018 | ***-**-1855 - WILLIAMSON, | MFS HIGH YIELD OPPORTUNITIES FUND-C | 0.00 | 1.35 | 0.00 | 1.35 | 0.0 | 0.00 |
| | ACCOUNT #: 08191308008 | BUY 0 Units @0.0000 | | | | | | |
| 10/01/2018 | ***-**-75IN - MANNING, JEFFREY | MFS INFLATION ADJUSTED BOND CL B | 0.00 | 0.90 | 0.00 | 0.90 | 0.0 | 0.00 |
| | ACCOUNT #: 08190129582 | BUY 0 Units @0.0000 | | | | | | |
| 10/01/2018 | ***-**-213I - GRUENEWALD, | MFS INFLATION ADJUSTED BOND CL B | 0.00 | 0.82 | 0.00 | 0.82 | 0.0 | 0.00 |
| | ACCOUNT #: 08190131132 | BUY 0 Units @0.0000 | | | | | | |
| 10/01/2018 | ***-**-7116 - PREVOST, SANDRA | MFS INFLATION ADJUSTED BOND CL B | 0.00 | 0.97 | 0.00 | 0.97 | 0.0 | 0.00 |
| | ACCOUNT #: 08191191385 | BUY 0 Units @0.0000 | | | | | | |
| 10/01/2018 | ***-**-844I - ROSS, VALERIE | MFS INFLATION ADJUSTED BOND CL B | 0.00 | 1.68 | 0.00 | 1.68 | 0.0 | 0.00 |
| | ACCOUNT #: 08191197798 | BUY 0 Units @0.0000 | | | | | | |
| 10/01/2018 | ***-**-524I - SCALISE, JOSEPH | MFS INFLATION ADJUSTED BOND CL B | 0.00 | 0.29 | 0.00 | 0.29 | 0.0 | 0.00 |
| | ACCOUNT #: 08191202574 | BUY 0 Units @0.0000 | | | | | | |
| 10/01/2018 | ***-**-80IN - CURRIERE, LAURA | MFS INFLATION ADJUSTED BOND CL B | 0.00 | 0.08 | 0.00 | 0.08 | 0.0 | 0.00 |
| | ACCOUNT #: 08191216642 | BUY 0 Units @0.0000 | | | | | | |



COMMISSION STATEMENT

October 15, 2018

KURT GRUENEWALD
2108 Genesee St.
Utica, NY 13502

BROKER #: A77
BRANCH #01047 - 47 - GRIFFITH

| DATE | CLIENT | INVESTMENT | INVESTMENT AMOUNT | GROSS COMMISSION | CLEARING CHARGE | NET COMMISSION | RATE | BROKER COMMISSION |
|--|--------------------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| BROKER TRANSACTIONS (continued) | | | | | | | | |
| PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued) | | | | | | | | |
| 10/01/2018 | ***-**-6988 - TOOKE, LISA | MFS INFLATION ADJUSTED BOND CL B | 0.00 | 0.45 | 0.00 | 0.45 | 0.0 | 0.00 |
| | ACCOUNT #: 08191218269 | BUY 0 Units @0.0000 | | | | | | |
| 10/01/2018 | ***-**-4810 - ANACKER, FBO MRS | MFS INFLATION ADJUSTED BOND CL B | 0.00 | 0.17 | 0.00 | 0.17 | 0.0 | 0.00 |
| | ACCOUNT #: 08191221209 | BUY 0 Units @0.0000 | | | | | | |
| 10/01/2018 | ***-**-728I - BYWATER, KIM | MFS INFLATION ADJUSTED BOND CL B | 0.00 | 0.10 | 0.00 | 0.10 | 0.0 | 0.00 |
| | ACCOUNT #: 08191226548 | BUY 0 Units @0.0000 | | | | | | |
| 10/01/2018 | ***-**-473I - HUSTON, | MFS INFLATION ADJUSTED BOND CL B | 0.00 | 0.59 | 0.00 | 0.59 | 0.0 | 0.00 |
| | ACCOUNT #: 08191353972 | BUY 0 Units @0.0000 | | | | | | |
| 10/01/2018 | ***-**-439I - MCCARTHY, JAMES | MFS INFLATION ADJUSTED BOND CL C | 0.00 | 3.10 | 0.00 | 3.10 | 0.0 | 0.00 |
| | ACCOUNT #: 08190124895 | BUY 0 Units @0.0000 | | | | | | |
| 10/01/2018 | ***-**-84IN - WARMUTH, ERIC | MFS INFLATION ADJUSTED BOND FUND-A | 0.00 | 1.11 | 0.00 | 1.11 | 0.0 | 0.00 |
| | ACCOUNT #: 00060639189 | BUY 0 Units @0.0000 | | | | | | |
| 10/01/2018 | ***-**-26IN - GRANDE, MR | MFS INTERNATIONAL NEW DISCOVERY CL | 0.00 | 3.47 | 0.00 | 3.47 | 0.0 | 0.00 |
| | ACCOUNT #: 08191260232 | BUY 0 Units @0.0000 | | | | | | |
| 10/01/2018 | ***-**-0767 - DOVI, | MFS INTERNATIONAL NEW DISCOVERY FUN | 0.00 | 0.92 | 0.00 | 0.92 | 0.0 | 0.00 |
| | ACCOUNT #: 00060641009 | BUY 0 Units @0.0000 | | | | | | |
| 10/01/2018 | ***-**-2483 - TURNBULL, | MFS INTERNATIONAL NEW DISCOVERY FUN | 0.00 | 2.26 | 0.00 | 2.26 | 0.0 | 0.00 |
| | ACCOUNT #: 00060641010 | BUY 0 Units @0.0000 | | | | | | |
| 10/01/2018 | ***-**-7617 - ESCHE, BEVERLY | MFS INTERNATIONAL NEW DISCOVERY FUN | 0.00 | 0.25 | 0.00 | 0.25 | 0.0 | 0.00 |
| | ACCOUNT #: 00060641013 | BUY 0 Units @0.0000 | | | | | | |
| 10/01/2018 | ***-**-111J - NESSIA, JAMES | MFS INTERNATIONAL NEW DISCOVERY FUN | 0.00 | 2.18 | 0.00 | 2.18 | 0.0 | 0.00 |
| | ACCOUNT #: 08190126843 | BUY 0 Units @0.0000 | | | | | | |
| 10/01/2018 | ***-**-7617 - ESCHE, BEVERLY | MFS INTERNATIONAL NEW DISCOVERY FUN | 0.00 | 1.35 | 0.00 | 1.35 | 0.0 | 0.00 |
| | ACCOUNT #: 08191154979 | BUY 0 Units @0.0000 | | | | | | |
| 10/01/2018 | ***-**-06IN - SATTERLY, | MFS INTERNATIONAL NEW DISCOVERY FUN | 0.00 | 0.29 | 0.00 | 0.29 | 0.0 | 0.00 |
| | ACCOUNT #: 08191173302 | BUY 0 Units @0.0000 | | | | | | |
| 10/01/2018 | ***-**-21IR - SATTERLY, ANDREW | MFS INTERNATIONAL NEW DISCOVERY FUN | 0.00 | 0.30 | 0.00 | 0.30 | 0.0 | 0.00 |
| | ACCOUNT #: 08191173305 | BUY 0 Units @0.0000 | | | | | | |
| 10/01/2018 | ***-**-094I - CIRILLO, CARL | MFS INTERNATIONAL NEW DISCOVERY FUN | 0.00 | 2.46 | 0.00 | 2.46 | 0.0 | 0.00 |
| | ACCOUNT #: 08191173445 | BUY 0 Units @0.0000 | | | | | | |
| 10/01/2018 | ***-**-671I - EBERLEY, REID | MFS INTERNATIONAL NEW DISCOVERY FUN | 0.00 | 2.11 | 0.00 | 2.11 | 0.0 | 0.00 |
| | ACCOUNT #: 08191175793 | BUY 0 Units @0.0000 | | | | | | |



COMMISSION STATEMENT

October 15, 2018

KURT GRUENEWALD
2108 Genesee St.
Utica, NY 13502

BROKER #: A77
BRANCH #01047 - 47 - GRIFFITH

| DATE | CLIENT | INVESTMENT | INVESTMENT AMOUNT | GROSS COMMISSION | CLEARING CHARGE | NET COMMISSION | RATE | BROKER COMMISSION |
|--|--------------------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| BROKER TRANSACTIONS (continued) | | | | | | | | |
| PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued) | | | | | | | | |
| 10/01/2018 | ***-**-9839 - YADDAW, DAVID | MFS INTERNATIONAL NEW DISCOVERY FUN | 0.00 | 2.06 | 0.00 | 2.06 | 0.0 | 0.00 |
| | ACCOUNT #: 08191183793 | BUY 0 Units @0.0000 | | | | | | |
| 10/01/2018 | ***-**-844I - ROSS, VALERIE | MFS INTERNATIONAL NEW DISCOVERY FUN | 0.00 | 4.89 | 0.00 | 4.89 | 0.0 | 0.00 |
| | ACCOUNT #: 08191197798 | BUY 0 Units @0.0000 | | | | | | |
| 10/01/2018 | ***-**-728I - BYWATER, KIM | MFS INTERNATIONAL NEW DISCOVERY FUN | 0.00 | 0.32 | 0.00 | 0.32 | 0.0 | 0.00 |
| | ACCOUNT #: 08191226548 | BUY 0 Units @0.0000 | | | | | | |
| 10/01/2018 | ***-**-49IN - GUARDI, LINDA | MFS INTERNATIONAL NEW DISCOVERY FUN | 0.00 | 3.18 | 0.00 | 3.18 | 0.0 | 0.00 |
| | ACCOUNT #: 08191237797 | BUY 0 Units @0.0000 | | | | | | |
| 10/01/2018 | ***-**-058I - ROBBIANO, SARAH | MFS INTERNATIONAL NEW DISCOVERY FUN | 0.00 | 0.18 | 0.00 | 0.18 | 0.0 | 0.00 |
| | ACCOUNT #: 08191291666 | BUY 0 Units @0.0000 | | | | | | |
| 10/01/2018 | ***-**-14IN - LINES, JUDITH | MFS INTERNATIONAL NEW DISCOVERY FUN | 0.00 | 0.82 | 0.00 | 0.82 | 0.0 | 0.00 |
| | ACCOUNT #: 08191291668 | BUY 0 Units @0.0000 | | | | | | |
| 10/01/2018 | ***-**-39IO - GUARNIERO, FBO | MFS INTERNATIONAL NEW DISCOVERY FUN | 0.00 | 0.36 | 0.00 | 0.36 | 0.0 | 0.00 |
| | ACCOUNT #: 08191309494 | BUY 0 Units @0.0000 | | | | | | |
| 10/01/2018 | ***-**-111J - NESSIA, JAMES | MFS INTERNATIONAL NEW DISCOVERY FUN | 0.00 | 1.10 | 0.00 | 1.10 | 0.0 | 0.00 |
| | ACCOUNT #: 00060671044 | BUY 0 Units @0.0000 | | | | | | |
| 10/01/2018 | ***-**-466I - MCCLUSKY, YVONNE | MFS INTERNATIONAL VALUE FUND-A | 0.00 | 1.41 | 0.00 | 1.41 | 0.0 | 0.00 |
| | ACCOUNT #: 00060670711 | BUY 0 Units @0.0000 | | | | | | |
| 10/01/2018 | ***-**-4193 - VAN BAALEN, GUY | MFS INTERNATIONAL VALUE FUND-A | 0.00 | 1.44 | 0.00 | 1.44 | 0.0 | 0.00 |
| | ACCOUNT #: 08191310030 | BUY 0 Units @0.0000 | | | | | | |
| 10/01/2018 | ***-**-3932 - CARSON, DAVID | MFS INTERNATIONAL VALUE FUND-A | 0.00 | 0.06 | 0.00 | 0.06 | 0.0 | 0.00 |
| | ACCOUNT #: 00060671658 | BUY 0 Units @0.0000 | | | | | | |
| 10/01/2018 | ***-**-439I - MCCARTHY, JAMES | MFS INTERNATIONAL VALUE FUND-B | 0.00 | 0.83 | 0.00 | 0.83 | 0.0 | 0.00 |
| | ACCOUNT #: 08190124895 | BUY 0 Units @0.0000 | | | | | | |
| 10/01/2018 | ***-**-3932 - CARSON, DAVID | MFS INTERNATIONAL VALUE FUND-B | 0.00 | 2.74 | 0.00 | 2.74 | 0.0 | 0.00 |
| | ACCOUNT #: 08191168388 | BUY 0 Units @0.0000 | | | | | | |
| 10/01/2018 | ***-**-13IN - RHYMESTINE, | MFS INTERNATIONAL VALUE FUND-B | 0.00 | 9.00 | 0.00 | 9.00 | 0.0 | 0.00 |
| | ACCOUNT #: 08191178476 | BUY 0 Units @0.0000 | | | | | | |
| 10/01/2018 | ***-**-3420 - KOICHEM, DENISE | MFS INTERNATIONAL VALUE FUND-B | 0.00 | 1.18 | 0.00 | 1.18 | 0.0 | 0.00 |
| | ACCOUNT #: 08191179076 | BUY 0 Units @0.0000 | | | | | | |
| 10/01/2018 | ***-**-7116 - PREVOST, SANDRA | MFS INTERNATIONAL VALUE FUND-B | 0.00 | 2.68 | 0.00 | 2.68 | 0.0 | 0.00 |
| | ACCOUNT #: 08191191385 | BUY 0 Units @0.0000 | | | | | | |



COMMISSION STATEMENT

October 15, 2018

KURT GRUENEWALD
2108 Genesee St.
Utica, NY 13502

BROKER #: A77
BRANCH #01047 - 47 - GRIFFITH

| DATE | CLIENT | INVESTMENT | INVESTMENT AMOUNT | GROSS COMMISSION | CLEARING CHARGE | NET COMMISSION | RATE | BROKER COMMISSION |
|--|--------------------------------|--------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| BROKER TRANSACTIONS (continued) | | | | | | | | |
| PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued) | | | | | | | | |
| 10/01/2018 | ***-**-09IN - BATES, CHRISTINE | MFS INTERNATIONAL VALUE FUND-B | 0.00 | 4.92 | 0.00 | 4.92 | 0.0 | 0.00 |
| | ACCOUNT #: 08191196034 | BUY 0 Units @0.0000 | | | | | | |
| 10/01/2018 | ***-**-37IN - PFAFF, JOAN | MFS INTERNATIONAL VALUE FUND-B | 0.00 | 7.12 | 0.00 | 7.12 | 0.0 | 0.00 |
| | ACCOUNT #: 08191218057 | BUY 0 Units @0.0000 | | | | | | |
| 10/01/2018 | ***-**-466I - MCCLUSKY, YVONNE | MFS LIMITED MATURITY FUND-C | 0.00 | 3.22 | 0.00 | 3.22 | 0.0 | 0.00 |
| | ACCOUNT #: 08191161825 | BUY 0 Units @0.0000 | | | | | | |
| 10/01/2018 | ***-**-1855 - WILLIAMSON, | MFS MID CAP VALUE CLASS C | 0.00 | 1.67 | 0.00 | 1.67 | 0.0 | 0.00 |
| | ACCOUNT #: 08191308008 | BUY 0 Units @0.0000 | | | | | | |
| 10/01/2018 | ***-**-49IN - GUARDI, LINDA | MFS MID CAP VALUE FUND-B | 0.00 | 3.93 | 0.00 | 3.93 | 0.0 | 0.00 |
| | ACCOUNT #: 08191237797 | BUY 0 Units @0.0000 | | | | | | |
| 10/01/2018 | ***-**-02IN - BUSHEY, MELISSA | MFS NEW DISCOVERY FUND-A | 0.00 | 1.48 | 0.00 | 1.48 | 0.0 | 0.00 |
| | ACCOUNT #: 00060640713 | BUY 0 Units @0.0000 | | | | | | |
| 10/01/2018 | ***-**-8440 - PREVOST, PIERRE | MFS NEW DISCOVERY FUND-A | 0.00 | 1.21 | 0.00 | 1.21 | 0.0 | 0.00 |
| | ACCOUNT #: 00060670723 | BUY 0 Units @0.0000 | | | | | | |
| 10/01/2018 | ***-**-237I - MCCLUSKY, MARK | MFS NEW DISCOVERY FUND-A | 0.00 | 1.22 | 0.00 | 1.22 | 0.0 | 0.00 |
| | ACCOUNT #: 00060670725 | BUY 0 Units @0.0000 | | | | | | |
| 10/01/2018 | ***-**-4193 - VAN BAALEN, GUY | MFS NEW DISCOVERY FUND-A | 0.00 | 1.56 | 0.00 | 1.56 | 0.0 | 0.00 |
| | ACCOUNT #: 08191310030 | BUY 0 Units @0.0000 | | | | | | |
| 10/01/2018 | ***-**-2603 - MASTRANGELO, | MFS NEW DISCOVERY FUND-B | 0.00 | 0.35 | 0.00 | 0.35 | 0.0 | 0.00 |
| | ACCOUNT #: 08190129168 | BUY 0 Units @0.0000 | | | | | | |
| 10/01/2018 | ***-**-889I - FRANZ, JONATHAN | MFS NEW DISCOVERY FUND-B | 0.00 | 0.55 | 0.00 | 0.55 | 0.0 | 0.00 |
| | ACCOUNT #: 08190130131 | BUY 0 Units @0.0000 | | | | | | |
| 10/01/2018 | ***-**-213I - GRUENEWALD, | MFS NEW DISCOVERY FUND-B | 0.00 | 1.38 | 0.00 | 1.38 | 0.0 | 0.00 |
| | ACCOUNT #: 08190131132 | BUY 0 Units @0.0000 | | | | | | |
| 10/01/2018 | ***-**-7116 - PREVOST, SANDRA | MFS NEW DISCOVERY FUND-B | 0.00 | 1.50 | 0.00 | 1.50 | 0.0 | 0.00 |
| | ACCOUNT #: 08191191385 | BUY 0 Units @0.0000 | | | | | | |
| 10/01/2018 | ***-**-09IN - BATES, CHRISTINE | MFS NEW DISCOVERY FUND-B | 0.00 | 5.43 | 0.00 | 5.43 | 0.0 | 0.00 |
| | ACCOUNT #: 08191196034 | BUY 0 Units @0.0000 | | | | | | |
| 10/01/2018 | ***-**-524I - SCALISE, JOSEPH | MFS NEW DISCOVERY FUND-B | 0.00 | 0.31 | 0.00 | 0.31 | 0.0 | 0.00 |
| | ACCOUNT #: 08191202574 | BUY 0 Units @0.0000 | | | | | | |
| 10/01/2018 | ***-**-37IN - PFAFF, JOAN | MFS NEW DISCOVERY FUND-B | 0.00 | 7.44 | 0.00 | 7.44 | 0.0 | 0.00 |
| | ACCOUNT #: 08191218057 | BUY 0 Units @0.0000 | | | | | | |



COMMISSION STATEMENT

October 15, 2018

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2108 Genesee St.
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BROKER #: A77
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| DATE | CLIENT | INVESTMENT | INVESTMENT AMOUNT | GROSS COMMISSION | CLEARING CHARGE | NET COMMISSION | RATE | BROKER COMMISSION |
|--|--------------------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| BROKER TRANSACTIONS (continued) | | | | | | | | |
| PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued) | | | | | | | | |
| 10/01/2018 | ***-**-48IO - ANACKER, FBO MRS | MFS NEW DISCOVERY FUND-B | 0.00 | 1.76 | 0.00 | 1.76 | 0.0 | 0.00 |
| | ACCOUNT #: 08191221209 | BUY 0 Units @0.0000 | | | | | | |
| 10/01/2018 | ***-**-058I - ROBBIANO, SARAH | MFS NEW DISCOVERY FUND-B | 0.00 | 0.19 | 0.00 | 0.19 | 0.0 | 0.00 |
| | ACCOUNT #: 08191291666 | BUY 0 Units @0.0000 | | | | | | |
| 10/01/2018 | ***-**-84IN - WARMUTH, ERIC | MFS NEW YORK MUNICIPAL BOND FUND CL | 0.00 | 2.11 | 0.00 | 2.11 | 0.0 | 0.00 |
| | ACCOUNT #: 00060639106 | BUY 0 Units @0.0000 | | | | | | |
| 10/01/2018 | ***-**-02IN - BUSHEY, MELISSA | MFS RESEARCH BOND FUND CLASS A | 0.00 | 0.40 | 0.00 | 0.40 | 0.0 | 0.00 |
| | ACCOUNT #: 00060640647 | BUY 0 Units @0.0000 | | | | | | |
| 10/01/2018 | ***-**-0767 - DOVI, | MFS RESEARCH BOND FUND CLASS A | 0.00 | 0.36 | 0.00 | 0.36 | 0.0 | 0.00 |
| | ACCOUNT #: 00060641022 | BUY 0 Units @0.0000 | | | | | | |
| 10/01/2018 | ***-**-237I - MCCLUSKY, MARK | MFS RESEARCH BOND FUND CLASS A | 0.00 | 0.60 | 0.00 | 0.60 | 0.0 | 0.00 |
| | ACCOUNT #: 00060670695 | BUY 0 Units @0.0000 | | | | | | |
| 10/01/2018 | ***-**-111J - NESSIA, JAMES | MFS RESEARCH BOND FUND CLASS A | 0.00 | 0.19 | 0.00 | 0.19 | 0.0 | 0.00 |
| | ACCOUNT #: 00060671047 | BUY 0 Units @0.0000 | | | | | | |
| 10/01/2018 | ***-**-3932 - CARSON, DAVID | MFS RESEARCH BOND FUND CLASS A | 0.00 | 0.01 | 0.00 | 0.01 | 0.0 | 0.00 |
| | ACCOUNT #: 00060671649 | BUY 0 Units @0.0000 | | | | | | |
| 10/01/2018 | ***-**-111J - NESSIA, JAMES | MFS RESEARCH BOND FUND-B | 0.00 | 0.26 | 0.00 | 0.26 | 0.0 | 0.00 |
| | ACCOUNT #: 08190126843 | BUY 0 Units @0.0000 | | | | | | |
| 10/01/2018 | ***-**-3932 - CARSON, DAVID | MFS RESEARCH BOND FUND-B | 0.00 | 0.74 | 0.00 | 0.74 | 0.0 | 0.00 |
| | ACCOUNT #: 08191168388 | BUY 0 Units @0.0000 | | | | | | |
| 10/01/2018 | ***-**-094I - CIRILLO, CARL | MFS RESEARCH BOND FUND-B | 0.00 | 1.09 | 0.00 | 1.09 | 0.0 | 0.00 |
| | ACCOUNT #: 08191173445 | BUY 0 Units @0.0000 | | | | | | |
| 10/01/2018 | ***-**-671I - EBERLEY, REID | MFS RESEARCH BOND FUND-B | 0.00 | 0.89 | 0.00 | 0.89 | 0.0 | 0.00 |
| | ACCOUNT #: 08191175793 | BUY 0 Units @0.0000 | | | | | | |
| 10/01/2018 | ***-**-13IN - RHYMESTINE, | MFS RESEARCH BOND FUND-B | 0.00 | 0.34 | 0.00 | 0.34 | 0.0 | 0.00 |
| | ACCOUNT #: 08191178476 | BUY 0 Units @0.0000 | | | | | | |
| 10/01/2018 | ***-**-3420 - KOCHER, DENISE | MFS RESEARCH BOND FUND-B | 0.00 | 0.21 | 0.00 | 0.21 | 0.0 | 0.00 |
| | ACCOUNT #: 08191179076 | BUY 0 Units @0.0000 | | | | | | |
| 10/01/2018 | ***-**-9839 - YADDAW, DAVID | MFS RESEARCH BOND FUND-B | 0.00 | 0.89 | 0.00 | 0.89 | 0.0 | 0.00 |
| | ACCOUNT #: 08191183793 | BUY 0 Units @0.0000 | | | | | | |
| 10/01/2018 | ***-**-844I - ROSS, VALERIE | MFS RESEARCH BOND FUND-B | 0.00 | 1.94 | 0.00 | 1.94 | 0.0 | 0.00 |
| | ACCOUNT #: 08191197798 | BUY 0 Units @0.0000 | | | | | | |



COMMISSION STATEMENT

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| DATE | CLIENT | INVESTMENT | INVESTMENT AMOUNT | GROSS COMMISSION | CLEARING CHARGE | NET COMMISSION | RATE | BROKER COMMISSION |
|--|--------------------------------|-----------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| BROKER TRANSACTIONS (continued) | | | | | | | | |
| PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued) | | | | | | | | |
| 10/01/2018 | ***-**-466I - MCCLUSKY, YVONNE | MFS RESEARCH FUND-A | 0.00 | 0.84 | 0.00 | 0.84 | 0.0 | 0.00 |
| | ACCOUNT #: 00060670643 | BUY 0 Units @0.0000 | | | | | | |
| 10/01/2018 | ***-**-3932 - CARSON, DAVID | MFS RESEARCH FUND-A | 0.00 | 0.03 | 0.00 | 0.03 | 0.0 | 0.00 |
| | ACCOUNT #: 00060671605 | BUY 0 Units @0.0000 | | | | | | |
| 10/01/2018 | ***-**-094I - CIRILLO, CARL | MFS RESEARCH FUND-B | 0.00 | 1.32 | 0.00 | 1.32 | 0.0 | 0.00 |
| | ACCOUNT #: 08190127967 | BUY 0 Units @0.0000 | | | | | | |
| 10/01/2018 | ***-**-3932 - CARSON, DAVID | MFS RESEARCH FUND-B | 0.00 | 1.55 | 0.00 | 1.55 | 0.0 | 0.00 |
| | ACCOUNT #: 08191168388 | BUY 0 Units @0.0000 | | | | | | |
| 10/01/2018 | ***-**-13IN - RHYMESTINE, | MFS RESEARCH FUND-B | 0.00 | 1.04 | 0.00 | 1.04 | 0.0 | 0.00 |
| | ACCOUNT #: 08191178476 | BUY 0 Units @0.0000 | | | | | | |
| 10/01/2018 | ***-**-3420 - KOCHEM, DENISE | MFS RESEARCH FUND-B | 0.00 | 0.63 | 0.00 | 0.63 | 0.0 | 0.00 |
| | ACCOUNT #: 08191179076 | BUY 0 Units @0.0000 | | | | | | |
| 10/01/2018 | ***-**-7116 - PREVOST, SANDRA | MFS RESEARCH FUND-B | 0.00 | 1.33 | 0.00 | 1.33 | 0.0 | 0.00 |
| | ACCOUNT #: 08191191385 | BUY 0 Units @0.0000 | | | | | | |
| 10/01/2018 | ***-**-26IN - GRANDE, MR | MFS STRATEGIC INCOME FUND-B | 0.00 | 1.26 | 0.00 | 1.26 | 0.0 | 0.00 |
| | ACCOUNT #: 08191260232 | BUY 0 Units @0.0000 | | | | | | |
| 10/01/2018 | ***-**-26IN - GRANDE, MR | MFS TECHNOLOGY CLASS C | 0.00 | 4.93 | 0.00 | 4.93 | 0.0 | 0.00 |
| | ACCOUNT #: 08191260232 | BUY 0 Units @0.0000 | | | | | | |
| 10/01/2018 | ***-**-4193 - VAN BAALEN, GUY | MFS TECHNOLOGY FUND CLASS A | 0.00 | 2.23 | 0.00 | 2.23 | 0.0 | 0.00 |
| | ACCOUNT #: 08191310030 | BUY 0 Units @0.0000 | | | | | | |
| 10/01/2018 | ***-**-49IN - GUARDI, LINDA | MFS TECHNOLOGY FUND-B | 0.00 | 3.13 | 0.00 | 3.13 | 0.0 | 0.00 |
| | ACCOUNT #: 05566055028 | BUY 0 Units @0.0000 | | | | | | |
| 10/01/2018 | ***-**-439I - MCCARTHY, JAMES | MFS TECHNOLOGY FUND-B | 0.00 | 1.65 | 0.00 | 1.65 | 0.0 | 0.00 |
| | ACCOUNT #: 08190124895 | BUY 0 Units @0.0000 | | | | | | |
| 10/01/2018 | ***-**-111J - NESSIA, JAMES | MFS TECHNOLOGY FUND-B | 0.00 | 2.53 | 0.00 | 2.53 | 0.0 | 0.00 |
| | ACCOUNT #: 08190126843 | BUY 0 Units @0.0000 | | | | | | |
| 10/01/2018 | ***-**-2603 - MASTRANGELO, | MFS TECHNOLOGY FUND-B | 0.00 | 0.83 | 0.00 | 0.83 | 0.0 | 0.00 |
| | ACCOUNT #: 08190129168 | BUY 0 Units @0.0000 | | | | | | |
| 10/01/2018 | ***-**-889I - FRANZ, JONATHAN | MFS TECHNOLOGY FUND-B | 0.00 | 1.77 | 0.00 | 1.77 | 0.0 | 0.00 |
| | ACCOUNT #: 08190130131 | BUY 0 Units @0.0000 | | | | | | |
| 10/01/2018 | ***-**-213I - GRUENEWALD, | MFS TECHNOLOGY FUND-B | 0.00 | 3.20 | 0.00 | 3.20 | 0.0 | 0.00 |
| | ACCOUNT #: 08190131132 | BUY 0 Units @0.0000 | | | | | | |



COMMISSION STATEMENT

October 15, 2018

KURT GRUENEWALD
2108 Genesee St.
Utica, NY 13502

BROKER #: A77
BRANCH #01047 - 47 - GRIFFITH

| DATE | CLIENT | INVESTMENT | INVESTMENT AMOUNT | GROSS COMMISSION | CLEARING CHARGE | NET COMMISSION | RATE | BROKER COMMISSION |
|--|--|--|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| BROKER TRANSACTIONS (continued) | | | | | | | | |
| PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued) | | | | | | | | |
| 10/01/2018 | ***-**-06IN - SATTERLY, ACCOUNT #: 08191173302 | MFS TECHNOLOGY FUND-B BUY 0 Units @0.0000 | 0.00 | 0.99 | 0.00 | 0.99 | 0.0 | 0.00 |
| 10/01/2018 | ***-**-094I - CIRILLO, CARL ACCOUNT #: 08191173445 | MFS TECHNOLOGY FUND-B BUY 0 Units @0.0000 | 0.00 | 3.70 | 0.00 | 3.70 | 0.0 | 0.00 |
| 10/01/2018 | ***-**-80IN - CURRIERE, LAURA ACCOUNT #: 08191216642 | MFS TECHNOLOGY FUND-B BUY 0 Units @0.0000 | 0.00 | 0.56 | 0.00 | 0.56 | 0.0 | 0.00 |
| 10/01/2018 | ***-**-6988 - TOOKE, LISA ACCOUNT #: 08191218269 | MFS TECHNOLOGY FUND-B BUY 0 Units @0.0000 | 0.00 | 2.89 | 0.00 | 2.89 | 0.0 | 0.00 |
| 10/01/2018 | ***-**-48IO - ANACKER, FBO MRS ACCOUNT #: 08191221209 | MFS TECHNOLOGY FUND-B BUY 0 Units @0.0000 | 0.00 | 1.66 | 0.00 | 1.66 | 0.0 | 0.00 |
| 10/01/2018 | ***-**-5384 - GURDO, JESSICA ACCOUNT #: 08191233759 | MFS TECHNOLOGY FUND-B BUY 0 Units @0.0000 | 0.00 | 0.82 | 0.00 | 0.82 | 0.0 | 0.00 |
| 10/01/2018 | ***-**-058I - ROBBIANO, SARAH ACCOUNT #: 08191291666 | MFS TECHNOLOGY FUND-B BUY 0 Units @0.0000 | 0.00 | 0.67 | 0.00 | 0.67 | 0.0 | 0.00 |
| 10/01/2018 | ***-**-14IN - LINES, JUDITH ACCOUNT #: 08191291668 | MFS TECHNOLOGY FUND-B BUY 0 Units @0.0000 | 0.00 | 1.42 | 0.00 | 1.42 | 0.0 | 0.00 |
| 10/01/2018 | ***-**-39IO - GUARNIERO, FBO ACCOUNT #: 08191309494 | MFS TECHNOLOGY FUND-B BUY 0 Units @0.0000 | 0.00 | 0.87 | 0.00 | 0.87 | 0.0 | 0.00 |
| 10/01/2018 | ***-**-724I - BLISS, RYAN ACCOUNT #: 08191352733 | MFS TECHNOLOGY FUND-B BUY 0 Units @0.0000 | 0.00 | 5.40 | 0.00 | 5.40 | 0.0 | 0.00 |
| 10/01/2018 | ***-**-606I - LEWIS, TAMARA ACCOUNT #: 08191352846 | MFS TECHNOLOGY FUND-B BUY 0 Units @0.0000 | 0.00 | 0.54 | 0.00 | 0.54 | 0.0 | 0.00 |
| 10/01/2018 | ***-**-439J - MCCARTHY, JAMES ACCOUNT #: 00060638905 | MFS TOTAL RETURN FUND-A BUY 0 Units @0.0000 | 0.00 | 0.26 | 0.00 | 0.26 | 0.0 | 0.00 |
| 10/01/2018 | ***-**-861I - SANGER, LAWRENCE ACCOUNT #: 00060640581 | MFS TOTAL RETURN FUND-A BUY 0 Units @0.0000 | 0.00 | 0.30 | 0.00 | 0.30 | 0.0 | 0.00 |
| 10/01/2018 | ***-**-0767 - DOVI, ACCOUNT #: 00060640926 | MFS TOTAL RETURN FUND-A BUY 0 Units @0.0000 | 0.00 | 1.73 | 0.00 | 1.73 | 0.0 | 0.00 |
| 10/01/2018 | ***-**-2483 - TURNBULL, ACCOUNT #: 00060640928 | MFS TOTAL RETURN FUND-A BUY 0 Units @0.0000 | 0.00 | 1.03 | 0.00 | 1.03 | 0.0 | 0.00 |
| 10/01/2018 | ***-**-237I - MCCLUSKY, MARK ACCOUNT #: 00060670657 | MFS TOTAL RETURN FUND-A BUY 0 Units @0.0000 | 0.00 | 2.19 | 0.00 | 2.19 | 0.0 | 0.00 |



COMMISSION STATEMENT

October 15, 2018

KURT GRUENEWALD
2108 Genesee St.
Utica, NY 13502

BROKER #: A77
BRANCH #01047 - 47 - GRIFFITH

| DATE | CLIENT | INVESTMENT | INVESTMENT AMOUNT | GROSS COMMISSION | CLEARING CHARGE | NET COMMISSION | RATE | BROKER COMMISSION |
|--|--------------------------------|-------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| BROKER TRANSACTIONS (continued) | | | | | | | | |
| PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued) | | | | | | | | |
| 10/01/2018 | ***-**-111J - NESSIA, JAMES | MFS TOTAL RETURN FUND-A | 0.00 | 1.53 | 0.00 | 1.53 | 0.0 | 0.00 |
| | ACCOUNT #: 00060671014 | BUY 0 Units @0.0000 | | | | | | |
| 10/01/2018 | ***-**-439I - MCCARTHY, JAMES | MFS TOTAL RETURN FUND-B | 0.00 | 1.59 | 0.00 | 1.59 | 0.0 | 0.00 |
| | ACCOUNT #: 08190124895 | BUY 0 Units @0.0000 | | | | | | |
| 10/01/2018 | ***-**-111J - NESSIA, JAMES | MFS TOTAL RETURN FUND-B | 0.00 | 2.21 | 0.00 | 2.21 | 0.0 | 0.00 |
| | ACCOUNT #: 08190126843 | BUY 0 Units @0.0000 | | | | | | |
| 10/01/2018 | ***-**-861I - SANGER, LAWRENCE | MFS TOTAL RETURN FUND-B | 0.00 | 0.13 | 0.00 | 0.13 | 0.0 | 0.00 |
| | ACCOUNT #: 08191153495 | BUY 0 Units @0.0000 | | | | | | |
| 10/01/2018 | ***-**-094I - CIRILLO, CARL | MFS TOTAL RETURN FUND-B | 0.00 | 4.88 | 0.00 | 4.88 | 0.0 | 0.00 |
| | ACCOUNT #: 08191173445 | BUY 0 Units @0.0000 | | | | | | |
| 10/01/2018 | ***-**-671I - EBERLEY, REID | MFS TOTAL RETURN FUND-B | 0.00 | 3.54 | 0.00 | 3.54 | 0.0 | 0.00 |
| | ACCOUNT #: 08191175793 | BUY 0 Units @0.0000 | | | | | | |
| 10/01/2018 | ***-**-13IN - RHYMESTINE, | MFS TOTAL RETURN FUND-B | 0.00 | 4.65 | 0.00 | 4.65 | 0.0 | 0.00 |
| | ACCOUNT #: 08191178476 | BUY 0 Units @0.0000 | | | | | | |
| 10/01/2018 | ***-**-3420 - KOCHER, DENISE | MFS TOTAL RETURN FUND-B | 0.00 | 0.98 | 0.00 | 0.98 | 0.0 | 0.00 |
| | ACCOUNT #: 08191179076 | BUY 0 Units @0.0000 | | | | | | |
| 10/01/2018 | ***-**-9839 - YADDAW, DAVID | MFS TOTAL RETURN FUND-B | 0.00 | 4.01 | 0.00 | 4.01 | 0.0 | 0.00 |
| | ACCOUNT #: 08191183793 | BUY 0 Units @0.0000 | | | | | | |
| 10/01/2018 | ***-**-1491 - GUNN, EDWARD | MFS TOTAL RETURN FUND-B | 0.00 | 0.97 | 0.00 | 0.97 | 0.0 | 0.00 |
| | ACCOUNT #: 08191184927 | BUY 0 Units @0.0000 | | | | | | |
| 10/01/2018 | ***-**-7116 - PREVOST, SANDRA | MFS TOTAL RETURN FUND-B | 0.00 | 1.67 | 0.00 | 1.67 | 0.0 | 0.00 |
| | ACCOUNT #: 08191191385 | BUY 0 Units @0.0000 | | | | | | |
| 10/01/2018 | ***-**-09IN - BATES, CHRISTINE | MFS TOTAL RETURN FUND-B | 0.00 | 4.50 | 0.00 | 4.50 | 0.0 | 0.00 |
| | ACCOUNT #: 08191196034 | BUY 0 Units @0.0000 | | | | | | |
| 10/01/2018 | ***-**-844I - ROSS, VALERIE | MFS TOTAL RETURN FUND-B | 0.00 | 6.25 | 0.00 | 6.25 | 0.0 | 0.00 |
| | ACCOUNT #: 08191197798 | BUY 0 Units @0.0000 | | | | | | |
| 10/01/2018 | ***-**-37IN - PFAFF, JOAN | MFS TOTAL RETURN FUND-B | 0.00 | 6.26 | 0.00 | 6.26 | 0.0 | 0.00 |
| | ACCOUNT #: 08191218057 | BUY 0 Units @0.0000 | | | | | | |
| 10/01/2018 | ***-**-5384 - GURDO, JESSICA | MFS TOTAL RETURN FUND-B | 0.00 | 0.37 | 0.00 | 0.37 | 0.0 | 0.00 |
| | ACCOUNT #: 08191233759 | BUY 0 Units @0.0000 | | | | | | |
| 10/01/2018 | ***-**-14IN - LINES, JUDITH | MFS TOTAL RETURN FUND-B | 0.00 | 0.79 | 0.00 | 0.79 | 0.0 | 0.00 |
| | ACCOUNT #: 08191291668 | BUY 0 Units @0.0000 | | | | | | |



COMMISSION STATEMENT

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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) | | | | | | | | |
| 10/01/2018 | ***-**-1855 - WILLIAMSON, ACCOUNT #: 08191308008 | MFS TRAILS 55273G710 BUY 0 Units @0.0000 | 0.00 | 4.95 | 0.00 | 4.95 | 0.0 | 0.00 |
| 10/01/2018 | ***-**-881I - EBERLEY, SUSAN ACCOUNT #: 08191326411 | MFS TRAILS 552988610 BUY 0 Units @0.0000 | 0.00 | 2.85 | 0.00 | 2.85 | 0.0 | 0.00 |
| 10/01/2018 | ***-**-881I - EBERLEY, SUSAN ACCOUNT #: 08191326411 | MFS TRAILS 552989600 BUY 0 Units @0.0000 | 0.00 | 2.31 | 0.00 | 2.31 | 0.0 | 0.00 |
| 10/01/2018 | ***-**-439J - MCCARTHY, JAMES ACCOUNT #: 00060638930 | MFS UTILITIES FUND-A BUY 0 Units @0.0000 | 0.00 | 0.71 | 0.00 | 0.71 | 0.0 | 0.00 |
| 10/01/2018 | ***-**-84IN - WARMUTH, ERIC ACCOUNT #: 00060639103 | MFS UTILITIES FUND-A BUY 0 Units @0.0000 | 0.00 | 3.41 | 0.00 | 3.41 | 0.0 | 0.00 |
| 10/01/2018 | ***-**-02IN - BUSHEY, MELISSA ACCOUNT #: 00060640627 | MFS UTILITIES FUND-A BUY 0 Units @0.0000 | 0.00 | 1.08 | 0.00 | 1.08 | 0.0 | 0.00 |
| 10/01/2018 | ***-**-861I - SANGER, LAWRENCE ACCOUNT #: 00060640636 | MFS UTILITIES FUND-A BUY 0 Units @0.0000 | 0.00 | 0.56 | 0.00 | 0.56 | 0.0 | 0.00 |
| 10/01/2018 | ***-**-0767 - DOVI, ACCOUNT #: 00060640984 | MFS UTILITIES FUND-A BUY 0 Units @0.0000 | 0.00 | 0.96 | 0.00 | 0.96 | 0.0 | 0.00 |
| 10/01/2018 | ***-**-2483 - TURNBULL, ACCOUNT #: 00060640985 | MFS UTILITIES FUND-A BUY 0 Units @0.0000 | 0.00 | 1.73 | 0.00 | 1.73 | 0.0 | 0.00 |
| 10/01/2018 | ***-**-7617 - ESCHE, BEVERLY ACCOUNT #: 00060640993 | MFS UTILITIES FUND-A BUY 0 Units @0.0000 | 0.00 | 0.47 | 0.00 | 0.47 | 0.0 | 0.00 |
| 10/01/2018 | ***-**-8440 - PREVOST, PIERRE ACCOUNT #: 00060670685 | MFS UTILITIES FUND-A BUY 0 Units @0.0000 | 0.00 | 1.17 | 0.00 | 1.17 | 0.0 | 0.00 |
| 10/01/2018 | ***-**-237I - MCCLUSKY, MARK ACCOUNT #: 00060670687 | MFS UTILITIES FUND-A BUY 0 Units @0.0000 | 0.00 | 1.62 | 0.00 | 1.62 | 0.0 | 0.00 |
| 10/01/2018 | ***-**-466I - MCCLUSKY, YVONNE ACCOUNT #: 00060670688 | MFS UTILITIES FUND-A BUY 0 Units @0.0000 | 0.00 | 0.62 | 0.00 | 0.62 | 0.0 | 0.00 |
| 10/01/2018 | ***-**-4193 - VAN BAALEN, GUY ACCOUNT #: 08191310030 | MFS UTILITIES FUND-A BUY 0 Units @0.0000 | 0.00 | 0.89 | 0.00 | 0.89 | 0.0 | 0.00 |
| 10/01/2018 | ***-**-111J - NESSIA, JAMES ACCOUNT #: 00060671037 | MFS UTILITIES FUND-A BUY 0 Units @0.0000 | 0.00 | 0.81 | 0.00 | 0.81 | 0.0 | 0.00 |
| 10/01/2018 | ***-**-3932 - CARSON, DAVID ACCOUNT #: 00060671642 | MFS UTILITIES FUND-A BUY 0 Units @0.0000 | 0.00 | 0.06 | 0.00 | 0.06 | 0.0 | 0.00 |



COMMISSION STATEMENT

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BROKER #: A77
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) | | | | | | | | |
| 10/01/2018 | ***-**-439I - MCCARTHY, JAMES | MFS UTILITIES FUND-B | 0.00 | 1.38 | 0.00 | 1.38 | 0.0 | 0.00 |
| | ACCOUNT #: 08190124895 | BUY 0 Units @0.0000 | | | | | | |
| 10/01/2018 | ***-**-111J - NESSIA, JAMES | MFS UTILITIES FUND-B | 0.00 | 1.16 | 0.00 | 1.16 | 0.0 | 0.00 |
| | ACCOUNT #: 08190126843 | BUY 0 Units @0.0000 | | | | | | |
| 10/01/2018 | ***-**-094I - CIRILLO, CARL | MFS UTILITIES FUND-B | 0.00 | 2.78 | 0.00 | 2.78 | 0.0 | 0.00 |
| | ACCOUNT #: 08190127967 | BUY 0 Units @0.0000 | | | | | | |
| 10/01/2018 | ***-**-2603 - MASTRANGELO, | MFS UTILITIES FUND-B | 0.00 | 0.42 | 0.00 | 0.42 | 0.0 | 0.00 |
| | ACCOUNT #: 08190129168 | BUY 0 Units @0.0000 | | | | | | |
| 10/01/2018 | ***-**-889I - FRANZ, JONATHAN | MFS UTILITIES FUND-B | 0.00 | 1.23 | 0.00 | 1.23 | 0.0 | 0.00 |
| | ACCOUNT #: 08190130131 | BUY 0 Units @0.0000 | | | | | | |
| 10/01/2018 | ***-**-31IN - WARMUTH, | MFS UTILITIES FUND-B | 0.00 | 1.79 | 0.00 | 1.79 | 0.0 | 0.00 |
| | ACCOUNT #: 08191131006 | BUY 0 Units @0.0000 | | | | | | |
| 10/01/2018 | ***-**-861I - SANGER, LAWRENCE | MFS UTILITIES FUND-B | 0.00 | 0.23 | 0.00 | 0.23 | 0.0 | 0.00 |
| | ACCOUNT #: 08191153495 | BUY 0 Units @0.0000 | | | | | | |
| 10/01/2018 | ***-**-7617 - ESCHE, BEVERLY | MFS UTILITIES FUND-B | 0.00 | 3.57 | 0.00 | 3.57 | 0.0 | 0.00 |
| | ACCOUNT #: 08191154979 | BUY 0 Units @0.0000 | | | | | | |
| 10/01/2018 | ***-**-237I - MCCLUSKY, MARK | MFS UTILITIES FUND-B | 0.00 | 0.06 | 0.00 | 0.06 | 0.0 | 0.00 |
| | ACCOUNT #: 08191161591 | BUY 0 Units @0.0000 | | | | | | |
| 10/01/2018 | ***-**-3932 - CARSON, DAVID | MFS UTILITIES FUND-B | 0.00 | 3.32 | 0.00 | 3.32 | 0.0 | 0.00 |
| | ACCOUNT #: 08191168388 | BUY 0 Units @0.0000 | | | | | | |
| 10/01/2018 | ***-**-06IN - SATTERLY, | MFS UTILITIES FUND-B | 0.00 | 0.31 | 0.00 | 0.31 | 0.0 | 0.00 |
| | ACCOUNT #: 08191173302 | BUY 0 Units @0.0000 | | | | | | |
| 10/01/2018 | ***-**-094I - CIRILLO, CARL | MFS UTILITIES FUND-B | 0.00 | 0.70 | 0.00 | 0.70 | 0.0 | 0.00 |
| | ACCOUNT #: 08191173445 | BUY 0 Units @0.0000 | | | | | | |
| 10/01/2018 | ***-**-671I - EBERLEY, REID | MFS UTILITIES FUND-B | 0.00 | 3.44 | 0.00 | 3.44 | 0.0 | 0.00 |
| | ACCOUNT #: 08191175793 | BUY 0 Units @0.0000 | | | | | | |
| 10/01/2018 | ***-**-9839 - YADDAW, DAVID | MFS UTILITIES FUND-B | 0.00 | 2.08 | 0.00 | 2.08 | 0.0 | 0.00 |
| | ACCOUNT #: 08191183793 | BUY 0 Units @0.0000 | | | | | | |
| 10/01/2018 | ***-**-7116 - PREVOST, SANDRA | MFS UTILITIES FUND-B | 0.00 | 1.84 | 0.00 | 1.84 | 0.0 | 0.00 |
| | ACCOUNT #: 08191191385 | BUY 0 Units @0.0000 | | | | | | |
| 10/01/2018 | ***-**-09IN - BATES, CHRISTINE | MFS UTILITIES FUND-B | 0.00 | 4.46 | 0.00 | 4.46 | 0.0 | 0.00 |
| | ACCOUNT #: 08191196034 | BUY 0 Units @0.0000 | | | | | | |



COMMISSION STATEMENT

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| DATE | CLIENT | INVESTMENT | INVESTMENT AMOUNT | GROSS COMMISSION | CLEARING CHARGE | NET COMMISSION | RATE | BROKER COMMISSION |
|--|--------------------------------|----------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| BROKER TRANSACTIONS (continued) | | | | | | | | |
| PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued) | | | | | | | | |
| 10/01/2018 | ***-**-844I - ROSS, VALERIE | MFS UTILITIES FUND-B | 0.00 | 8.01 | 0.00 | 8.01 | 0.0 | 0.00 |
| | ACCOUNT #: 08191197798 | BUY 0 Units @0.0000 | | | | | | |
| 10/01/2018 | ***-**-524I - SCALISE, JOSEPH | MFS UTILITIES FUND-B | 0.00 | 0.72 | 0.00 | 0.72 | 0.0 | 0.00 |
| | ACCOUNT #: 08191202574 | BUY 0 Units @0.0000 | | | | | | |
| 10/01/2018 | ***-**-80IN - CURRIERE, LAURA | MFS UTILITIES FUND-B | 0.00 | 0.53 | 0.00 | 0.53 | 0.0 | 0.00 |
| | ACCOUNT #: 08191216642 | BUY 0 Units @0.0000 | | | | | | |
| 10/01/2018 | ***-**-37IN - PFAFF, JOAN | MFS UTILITIES FUND-B | 0.00 | 6.61 | 0.00 | 6.61 | 0.0 | 0.00 |
| | ACCOUNT #: 08191218057 | BUY 0 Units @0.0000 | | | | | | |
| 10/01/2018 | ***-**-6988 - TOOKE, LISA | MFS UTILITIES FUND-B | 0.00 | 1.35 | 0.00 | 1.35 | 0.0 | 0.00 |
| | ACCOUNT #: 08191218269 | BUY 0 Units @0.0000 | | | | | | |
| 10/01/2018 | ***-**-48IO - ANACKER, FBO MRS | MFS UTILITIES FUND-B | 0.00 | 0.98 | 0.00 | 0.98 | 0.0 | 0.00 |
| | ACCOUNT #: 08191221209 | BUY 0 Units @0.0000 | | | | | | |
| 10/01/2018 | ***-**-728I - BYWATER, KIM | MFS UTILITIES FUND-B | 0.00 | 0.30 | 0.00 | 0.30 | 0.0 | 0.00 |
| | ACCOUNT #: 08191226548 | BUY 0 Units @0.0000 | | | | | | |
| 10/01/2018 | ***-**-213I - GRUENEWALD, | MFS UTILITIES FUND-B | 0.00 | 0.81 | 0.00 | 0.81 | 0.0 | 0.00 |
| | ACCOUNT #: 08191229521 | BUY 0 Units @0.0000 | | | | | | |
| 10/01/2018 | ***-**-5384 - GURDO, JESSICA | MFS UTILITIES FUND-B | 0.00 | 0.14 | 0.00 | 0.14 | 0.0 | 0.00 |
| | ACCOUNT #: 08191233759 | BUY 0 Units @0.0000 | | | | | | |
| 10/01/2018 | ***-**-49IN - GUARDI, LINDA | MFS UTILITIES FUND-B | 0.00 | 3.31 | 0.00 | 3.31 | 0.0 | 0.00 |
| | ACCOUNT #: 08191237797 | BUY 0 Units @0.0000 | | | | | | |
| 10/01/2018 | ***-**-058I - ROBBIANO, SARAH | MFS UTILITIES FUND-B | 0.00 | 0.17 | 0.00 | 0.17 | 0.0 | 0.00 |
| | ACCOUNT #: 08191291666 | BUY 0 Units @0.0000 | | | | | | |
| 10/01/2018 | ***-**-39IO - GUARNIERO, FBO | MFS UTILITIES FUND-B | 0.00 | 0.36 | 0.00 | 0.36 | 0.0 | 0.00 |
| | ACCOUNT #: 08191309494 | BUY 0 Units @0.0000 | | | | | | |
| 10/01/2018 | ***-**-606I - LEWIS, TAMARA | MFS UTILITIES FUND-B | 0.00 | 0.89 | 0.00 | 0.89 | 0.0 | 0.00 |
| | ACCOUNT #: 08191352846 | BUY 0 Units @0.0000 | | | | | | |
| 10/01/2018 | ***-**-473I - HUSTON, | MFS UTILITIES FUND-B | 0.00 | 1.08 | 0.00 | 1.08 | 0.0 | 0.00 |
| | ACCOUNT #: 08191353972 | BUY 0 Units @0.0000 | | | | | | |
| 10/01/2018 | ***-**-26IN - GRANDE, MR | MFS UTILITIES FUND-C | 0.00 | 4.07 | 0.00 | 4.07 | 0.0 | 0.00 |
| | ACCOUNT #: 08191260232 | BUY 0 Units @0.0000 | | | | | | |
| 10/01/2018 | ***-**-881I - EBERLEY, SUSAN | MFS UTILITIES FUND-C | 0.00 | 3.57 | 0.00 | 3.57 | 0.0 | 0.00 |
| | ACCOUNT #: 08191326411 | BUY 0 Units @0.0000 | | | | | | |



COMMISSION STATEMENT

October 15, 2018

KURT GRUENEWALD
2108 Genesee St.
Utica, NY 13502

BROKER #: A77
BRANCH #01047 - 47 - GRIFFITH

| DATE | CLIENT | INVESTMENT | INVESTMENT AMOUNT | GROSS COMMISSION | CLEARING CHARGE | NET COMMISSION | RATE | BROKER COMMISSION |
|--|--------------------------------|---------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| BROKER TRANSACTIONS (continued) | | | | | | | | |
| PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued) | | | | | | | | |
| 10/15/2018 | ***-**-9440 - MAYO, DEBORAH | NEW YORK 529 TRAILS | 0.00 | 7.42 | 0.00 | 7.42 | 0.0 | 0.00 |
| | ACCOUNT #: 77002217601 | BUY 0 Units @0.0000 | | | | | | |
| 10/15/2018 | ***-**-80IN - COBB, JAMES | NEW YORK 529 TRAILS | 0.00 | 28.73 | 0.00 | 28.73 | 0.0 | 0.00 |
| | ACCOUNT #: 77169961901 | BUY 0 Units @0.0000 | | | | | | |
| 10/15/2018 | ***-**-665P - MCCLUSKY, YVONNE | NEW YORK 529 TRAILS | 0.00 | 0.81 | 0.00 | 0.81 | 0.0 | 0.00 |
| | ACCOUNT #: 77237884701 | BUY 0 Units @0.0000 | | | | | | |
| 10/15/2018 | ***-**-0069 - KRECIDL0, | NEW YORK 529 TRAILS | 0.00 | 2.01 | 0.00 | 2.01 | 0.0 | 0.00 |
| | ACCOUNT #: 77308070501 | BUY 0 Units @0.0000 | | | | | | |
| 10/15/2018 | ***-**-614J - BUSHEY, MATTHEW | NEW YORK 529 TRAILS | 0.00 | 3.19 | 0.00 | 3.19 | 0.0 | 0.00 |
| | | BUY 0 Units @0.0000 | | | | | | |
| 10/15/2018 | ***-**-5384 - GURDO, JESSICA | NEW YORK 529 TRAILS | 0.00 | 0.48 | 0.00 | 0.48 | 0.0 | 0.00 |
| | | BUY 0 Units @0.0000 | | | | | | |
| 10/15/2018 | ***-**-0767 - DOVI, | NEW YORK 529 TRAILS | 0.00 | 0.94 | 0.00 | 0.94 | 0.0 | 0.00 |
| | ACCOUNT #: 77579193101 | BUY 0 Units @0.0000 | | | | | | |
| 10/15/2018 | ***-**-251I - SCALISE, MARY | NEW YORK 529 TRAILS | 0.00 | 35.01 | 0.00 | 35.01 | 0.0 | 0.00 |
| | ACCOUNT #: 77691153101 | BUY 0 Units @0.0000 | | | | | | |
| 10/15/2018 | ***-**-635P - LASCALA, DEBORAH | NEW YORK 529 TRAILS | 0.00 | 1.99 | 0.00 | 1.99 | 0.0 | 0.00 |
| | ACCOUNT #: 77699193301 | BUY 0 Units @0.0000 | | | | | | |
| 10/15/2018 | ***-**-065P - CAMPBELL, PAMELA | NEW YORK 529 TRAILS | 0.00 | 0.76 | 0.00 | 0.76 | 0.0 | 0.00 |
| | ACCOUNT #: 77830931201 | BUY 0 Units @0.0000 | | | | | | |
| 10/15/2018 | ***-**-473J - HUSTON, | NEW YORK 529 TRAILS | 0.00 | 15.85 | 0.00 | 15.85 | 0.0 | 0.00 |
| | ACCOUNT #: 77852732401 | BUY 0 Units @0.0000 | | | | | | |
| 10/15/2018 | ***-**-20IR - DEMETRI, AMELIA | NEW YORK 529 TRAILS | 0.00 | 1.02 | 0.00 | 1.02 | 0.0 | 0.00 |
| | ACCOUNT #: 77854436501 | BUY 0 Units @0.0000 | | | | | | |
| 10/15/2018 | ***-**-205P - RHYMESTINE, ERIC | NEW YORK 529 TRAILS | 0.00 | 0.50 | 0.00 | 0.50 | 0.0 | 0.00 |
| | ACCOUNT #: 77885699801 | BUY 0 Units @0.0000 | | | | | | |
| 10/01/2018 | ***-**-111J - NESSIA, JAMES | PUTNAM 1 | 0.00 | 1.09 | 0.00 | 1.09 | 0.0 | 0.00 |
| | ACCOUNT #: 00551414554 | BUY 0 Units @0.0000 | | | | | | |
| 10/01/2018 | ***-**-12IN - GORMAN, MELINDA | PUTNAM 746764554 | 0.00 | 2.78 | 0.00 | 2.78 | 0.0 | 0.00 |
| | ACCOUNT #: 00551376109 | BUY 0 Units @0.0000 | | | | | | |
| 10/01/2018 | ***-**-12IN - GORMAN, MELINDA | PUTNAM ABSOLUTE RETURN 700 CL B | 0.00 | 0.11 | 0.00 | 0.11 | 0.0 | 0.00 |
| | ACCOUNT #: 00551376109 | BUY 0 Units @0.0000 | | | | | | |



COMMISSION STATEMENT

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

| DATE | CLIENT | INVESTMENT | INVESTMENT AMOUNT | GROSS COMMISSION | CLEARING CHARGE | NET COMMISSION | RATE | BROKER COMMISSION |
|--|--------------------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| BROKER TRANSACTIONS (continued) | | | | | | | | |
| PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued) | | | | | | | | |
| 10/01/2018 | ***-**-63IN - LASCALA, DEBORAH | PUTNAM ABSOLUTE RETURN 700-A | 0.00 | 1.50 | 0.00 | 1.50 | 0.0 | 0.00 |
| | ACCOUNT #: 00426855622 | BUY 0 Units @0.0000 | | | | | | |
| 10/01/2018 | ***-**-49IN - GUARDI, LINDA | PUTNAM ABSOLUTE RETURN 700-A | 0.00 | 0.50 | 0.00 | 0.50 | 0.0 | 0.00 |
| | ACCOUNT #: 00551372654 | BUY 0 Units @0.0000 | | | | | | |
| 10/01/2018 | ***-**-756I - HUSTON, JOUANA | PUTNAM ASSET ALLOC GROWTH-A | 0.00 | 11.55 | 0.00 | 11.55 | 0.0 | 0.00 |
| | ACCOUNT #: 00550220530 | BUY 0 Units @0.0000 | | | | | | |
| 10/01/2018 | ***-**-12IN - GORMAN, MELINDA | PUTNAM CAPITAL SPECTRUM FD CL B | 0.00 | 0.21 | 0.00 | 0.21 | 0.0 | 0.00 |
| | ACCOUNT #: 00551376109 | BUY 0 Units @0.0000 | | | | | | |
| 10/01/2018 | ***-**-111J - NESSIA, JAMES | PUTNAM CAPITAL SPECTRUM FD CL B | 0.00 | 1.17 | 0.00 | 1.17 | 0.0 | 0.00 |
| | ACCOUNT #: 00551414554 | BUY 0 Units @0.0000 | | | | | | |
| 10/01/2018 | ***-**-49IN - GUARDI, LINDA | PUTNAM CAPITAL SPECTRUM FUND CL A | 0.00 | 0.94 | 0.00 | 0.94 | 0.0 | 0.00 |
| | ACCOUNT #: 00551372654 | BUY 0 Units @0.0000 | | | | | | |
| 10/01/2018 | ***-**-49IN - GUARDI, LINDA | PUTNAM DIVERSIFIED INCOME FUND CLAS | 0.00 | 0.67 | 0.00 | 0.67 | 0.0 | 0.00 |
| | ACCOUNT #: 00551372654 | BUY 0 Units @0.0000 | | | | | | |
| 10/01/2018 | ***-**-63IN - LASCALA, DEBORAH | PUTNAM EQUITY INCOME FUND-A | 0.00 | 2.64 | 0.00 | 2.64 | 0.0 | 0.00 |
| | ACCOUNT #: 00426855622 | BUY 0 Units @0.0000 | | | | | | |
| 10/01/2018 | ***-**-111J - NESSIA, JAMES | PUTNAM GLOBAL CONSUMER FUND CL B | 0.00 | 0.83 | 0.00 | 0.83 | 0.0 | 0.00 |
| | ACCOUNT #: 00551414554 | BUY 0 Units @0.0000 | | | | | | |
| 10/01/2018 | ***-**-63IN - LASCALA, DEBORAH | PUTNAM GLOBAL EQUITY FUND CLASS A | 0.00 | 2.36 | 0.00 | 2.36 | 0.0 | 0.00 |
| | ACCOUNT #: 00426855622 | BUY 0 Units @0.0000 | | | | | | |
| 10/01/2018 | ***-**-49IN - GUARDI, LINDA | PUTNAM GLOBAL HEALTH CARE FD-A | 0.00 | 0.81 | 0.00 | 0.81 | 0.0 | 0.00 |
| | ACCOUNT #: 00551372654 | BUY 0 Units @0.0000 | | | | | | |
| 10/01/2018 | ***-**-12IN - GORMAN, MELINDA | PUTNAM GLOBAL TECHNOLOGY CL B | 0.00 | 0.36 | 0.00 | 0.36 | 0.0 | 0.00 |
| | ACCOUNT #: 00551376109 | BUY 0 Units @0.0000 | | | | | | |
| 10/01/2018 | ***-**-49IN - GUARDI, LINDA | PUTNAM GLOBAL TECHNOLOGY FUND CL A | 0.00 | 1.47 | 0.00 | 1.47 | 0.0 | 0.00 |
| | ACCOUNT #: 00551372654 | BUY 0 Units @0.0000 | | | | | | |
| 10/01/2018 | ***-**-63IN - LASCALA, DEBORAH | PUTNAM GLOBAL UTILITIES CL C | 0.00 | 9.80 | 0.00 | 9.80 | 0.0 | 0.00 |
| | ACCOUNT #: 00426855622 | BUY 0 Units @0.0000 | | | | | | |
| 10/01/2018 | ***-**-28IN - BYWATER, KIM | PUTNAM GROWTH OPPORTUNITIES FD CL A | 0.00 | 7.13 | 0.00 | 7.13 | 0.0 | 0.00 |
| | ACCOUNT #: 00392501050 | BUY 0 Units @0.0000 | | | | | | |
| 10/01/2018 | ***-**-12IN - GORMAN, MELINDA | PUTNAM HEALTH SCIENCES TR-B | 0.00 | 0.21 | 0.00 | 0.21 | 0.0 | 0.00 |
| | ACCOUNT #: 00551376109 | BUY 0 Units @0.0000 | | | | | | |



COMMISSION STATEMENT

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| DATE | CLIENT | INVESTMENT | INVESTMENT AMOUNT | GROSS COMMISSION | CLEARING CHARGE | NET COMMISSION | RATE | BROKER COMMISSION |
|--|--------------------------------|---------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| BROKER TRANSACTIONS (continued) | | | | | | | | |
| PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued) | | | | | | | | |
| 10/01/2018 | ***-**-111J - NESSIA, JAMES | PUTNAM HEALTH SCIENCES TR-B | 0.00 | 0.65 | 0.00 | 0.65 | 0.0 | 0.00 |
| | ACCOUNT #: 00551414554 | BUY 0 Units @0.0000 | | | | | | |
| 10/01/2018 | ***-**-49IN - GUARDI, LINDA | PUTNAM INTL GROWTH & INC-A | 0.00 | 0.32 | 0.00 | 0.32 | 0.0 | 0.00 |
| | ACCOUNT #: 00551372654 | BUY 0 Units @0.0000 | | | | | | |
| 10/01/2018 | ***-**-12IN - GORMAN, MELINDA | PUTNAM INTL GROWTH & INC-B | 0.00 | 0.22 | 0.00 | 0.22 | 0.0 | 0.00 |
| | ACCOUNT #: 00551376109 | BUY 0 Units @0.0000 | | | | | | |
| 10/01/2018 | ***-**-12IN - GORMAN, MELINDA | PUTNAM MF COMP | 0.00 | 1.37 | 0.00 | 1.37 | 0.0 | 0.00 |
| | ACCOUNT #: 00551376109 | BUY 0 Units @0.0000 | | | | | | |
| 10/01/2018 | ***-**-63IN - LASCALA, DEBORAH | PUTNAM MID-CAP VALUE FUND-A | 0.00 | 2.77 | 0.00 | 2.77 | 0.0 | 0.00 |
| | ACCOUNT #: 00426855622 | BUY 0 Units @0.0000 | | | | | | |
| 10/01/2018 | ***-**-91UT - BYWATER, CAROLYN | PUTNAM MULTI-CAP CORE FUND CL A | 0.00 | 0.86 | 0.00 | 0.86 | 0.0 | 0.00 |
| | ACCOUNT #: 00234174436 | BUY 0 Units @0.0000 | | | | | | |
| 10/01/2018 | ***-**-79UT - BYWATER, | PUTNAM MULTI-CAP CORE FUND CL A | 0.00 | 0.87 | 0.00 | 0.87 | 0.0 | 0.00 |
| | ACCOUNT #: 00234227769 | BUY 0 Units @0.0000 | | | | | | |
| 10/01/2018 | ***-**-28IN - BYWATER, KIM | PUTNAM MULTI-CAP CORE FUND CL A | 0.00 | 6.61 | 0.00 | 6.61 | 0.0 | 0.00 |
| | ACCOUNT #: 00392501050 | BUY 0 Units @0.0000 | | | | | | |
| 10/01/2018 | ***-**-49IN - GUARDI, LINDA | PUTNAM SMALL CAP VALUE FUND-A | 0.00 | 0.84 | 0.00 | 0.84 | 0.0 | 0.00 |
| | ACCOUNT #: 00551372654 | BUY 0 Units @0.0000 | | | | | | |
| 10/01/2018 | ***-**-12IN - GORMAN, MELINDA | PUTNAM SMALL CAP VALUE FUND-B | 0.00 | 0.22 | 0.00 | 0.22 | 0.0 | 0.00 |
| | ACCOUNT #: 00551376109 | BUY 0 Units @0.0000 | | | | | | |
| 10/01/2018 | ***-**-49IN - GUARDI, LINDA | PUTNAM U.S. GOVT INCOME TR-A | 0.00 | 0.47 | 0.00 | 0.47 | 0.0 | 0.00 |
| | ACCOUNT #: 00551372654 | BUY 0 Units @0.0000 | | | | | | |
| 10/01/2018 | ***-**-12IN - GORMAN, MELINDA | PUTNAM U.S. GOVT INCOME TR-B | 0.00 | 0.57 | 0.00 | 0.57 | 0.0 | 0.00 |
| | ACCOUNT #: 00551376109 | BUY 0 Units @0.0000 | | | | | | |
| 10/01/2018 | ***-**-12IN - GORMAN, MELINDA | PUTNAM U.S. GOVT INCOME TR-C | 0.00 | 1.45 | 0.00 | 1.45 | 0.0 | 0.00 |
| | ACCOUNT #: 00551376109 | BUY 0 Units @0.0000 | | | | | | |
| 10/15/2018 | ***-**-6404 - ASHRAF, MIRZA | QUALIFIED PLAN SUMMARY | 0.00 | 217.65 | 0.00 | 217.65 | 0.0 | 0.00 |
| | ACCOUNT #: IRK129327 | BUY 0 Units @0.0000 | | | | | | |
| * MUTUAL FUND 12B1 TRAILS SUBTOTAL * | | | \$2,405.89 | \$1,521.86 | \$0.00 | \$1,521.86 | | \$0.00 |



COMMISSION STATEMENT

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| DATE | CLIENT | INVESTMENT | INVESTMENT AMOUNT | GROSS COMMISSION | CLEARING CHARGE | NET COMMISSION | RATE | BROKER COMMISSION |
|--|--------------------------------|---------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u>BROKER TRANSACTIONS (continued)</u> | | | | | | | | |
| <u>PRODUCT CATEGORY: VARIABLE ANNUITY 12B1 TRAILS</u> | | | | | | | | |
| 09/29/2018 | ***-**-00IO - LEE, GARY | NATIONWIDE CUSIP 63890A108-NSCC | 0.00 | 198.89 | 0.00 | 198.89 | 0.0 | 0.00 |
| | ACCOUNT #: 016295228 | BUY 0 Units @0.0000 | | | | | | |
| 10/02/2018 | ***-**-8126 - MCCARTHY, BRIANN | PACIFIC LIFE SE5-NYB DTCC | 0.00 | 0.57 | 0.00 | 0.57 | 0.0 | 0.00 |
| | ACCOUNT #: VP71028570 | BUY 0 Units @0.0000 | | | | | | |
| * VARIABLE ANNUITY 12B1 TRAILS SUBTOTAL * | | | \$0.00 | \$199.46 | \$0.00 | \$199.46 | | \$0.00 |
| *** BROKER TRANSACTIONS TOTAL *** | | | \$27,015.55 | \$2,361.99 | \$54.00 | \$2,307.99 | | \$0.00 |

BROKER COMMISSION TOTALS

| | |
|-----------------------|-----------|
| Broker Transactions | \$0.00 |
| Split Transactions | \$0.00 |
| Override Transactions | \$0.00 |
| Adjustments | \$0.00 |
| Payroll Draw | \$0.00 |
| Base Salary | \$0.00 |
| Prior Period Balance | \$-400.81 |
| FINRA Assessment | \$0.00 |
| SIPC Assessment | \$0.00 |

Please Retain for Your Records
THERE WILL BE NO PAYMENT THIS PERIOD

| | |
|-----------------------|-----------|
| Balance Forward | \$-400.81 |
| Year-to-date Earnings | \$0.00 |