



COMMISSION STATEMENT

October 15, 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>								
10/10/2018	***-**-14IR - MATTHEWS, HOLLY	AMERICAN FUNDS MORTGAGE FD CL C	3,000.00	48.00	18.00	30.00	88.0	26.40
	ACCOUNT #: LSR012823	BUY 311 Units @9.6600						
10/05/2018	***-**-892I - O'BRIEN, ANDREA	AMERICAN GLOBAL BALANCED CL C	14,999.99	168.00	18.00	150.00	88.0	132.00
	ACCOUNT #: LSR012854	BUY 476 Units @31.5200						
09/24/2018	***-**-11IN - MOYLAN, TIMOTHY	CAPITAL APPRECIATION C	7.42	0.07	0.00	0.07	88.0	0.06
	ACCOUNT #: 03222207458	BUY 0 Units @0.0000						
10/05/2018	***-**-892I - O'BRIEN, ANDREA	CAPITAL WORLD BOND FUND-C	10,000.01	118.00	18.00	100.00	88.0	88.00
	ACCOUNT #: LSR012854	BUY 536 Units @18.6700						
10/09/2018	***-**-57IO - MATTHEWS,	CION ARES DIVERSIFIED CREDIT C	12,000.00	138.00	18.00	120.00	88.0	105.60
	ACCOUNT #: LSR012822	BUY 465 Units @25.8200						
10/10/2018	***-**-94IN - MINER, MARY	CION ARES DIVERSIFIED CREDIT C	25,000.00	268.00	18.00	250.00	88.0	220.00
	ACCOUNT #: LSR012743	BUY 969 Units @25.8100						
10/09/2018	***-**-757J - MATTHEWS,	COLUMBIA LARGE CAP GROWTH FUND CLAS	5,000.01	19.99	18.00	1.99	88.0	1.75
	ACCOUNT #: LSR012824	SELL 112 Units @44.4900						
09/19/2018	***-**-7473 - SCOTELLARO,	EQUITY INCOME FUND, INC. C	25.00	0.25	0.00	0.25	88.0	0.22
	ACCOUNT #: 08370720038	BUY 0 Units @0.0000						
09/24/2018	***-**-0457 - STAGLIANO, GINA	EQUITY INCOME FUND, INC. C	5.44	0.05	0.00	0.05	88.0	0.04
	ACCOUNT #: 08370450769	BUY 0 Units @0.0000						
09/24/2018	***-**-11IN - MOYLAN, TIMOTHY	EQUITY INCOME FUND, INC. C	11.13	0.11	0.00	0.11	88.0	0.10
	ACCOUNT #: 08370450780	BUY 0 Units @0.0000						
09/24/2018	***-**-0457 - STAGLIANO, GINA	GLOBAL OPPORTUNITIES FUND C	5.42	0.05	0.00	0.05	88.0	0.04
	ACCOUNT #: 02171646348	BUY 0 Units @0.0000						
09/24/2018	***-**-11IN - MOYLAN, TIMOTHY	GLOBAL OPPORTUNITIES FUND C	7.42	0.07	0.00	0.07	88.0	0.06
	ACCOUNT #: 02171646359	BUY 0 Units @0.0000						
09/24/2018	***-**-2687 -	MAIN STREET FUND A	25.00	1.19	0.00	1.19	88.0	1.05
	ACCOUNT #: 07006234286	BUY 0 Units @0.0000						
10/01/2018	***-**-267I - HAMMILL, ELISE	MFS GLOBAL TOTAL RETURN FUND-B	75.00	3.00	0.00	3.00	88.0	2.64
	ACCOUNT #: 08191335171	BUY 4 Units @18.1500						
10/01/2018	***-**-267I - HAMMILL, ELISE	MFS GLOBAL TOTAL RETURN FUND-B	-75.00	-3.00	0.00	-3.00	88.0	-2.64
	ACCOUNT #: 08191335171	BUY 4 Units @18.1500						
10/05/2018	***-**-892I - O'BRIEN, ANDREA	MFS GLOBAL TOTAL RETURN FUND-B	12,500.00	518.00	18.00	500.00	88.0	440.00
	ACCOUNT #: LSR012854	BUY 696 Units @17.9500						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUNDS (continued)								
09/17/2018	***-**-497I - MARTIN, KATHLEEN	OPPENHEIMER ACTIVE ALLOCATION FUND	50.00	0.50	0.00	0.50	88.0	0.44
	ACCOUNT #: 05520998470	BUY 0 Units @0.0000						
09/24/2018	***-**-2687 -	OPPENHEIMER CORE BOND FUND A	25.00	1.00	0.00	1.00	88.0	0.88
	ACCOUNT #: 02852477816	BUY 0 Units @0.0000						
09/19/2018	***-**-91IN - RICHARDSON,	OPPENHEIMER CUSIP 68385X208	35.00	0.35	0.00	0.35	88.0	0.31
	ACCOUNT #: 00100011925	BUY 0 Units @0.0000						
09/19/2018	***-**-91IN - RICHARDSON,	OPPENHEIMER DEV MARKETS FD CLASS C	35.00	0.35	0.00	0.35	88.0	0.31
	ACCOUNT #: 07872241470	BUY 0 Units @0.0000						
09/24/2018	***-**-0457 - STAGLIANO, GINA	OPPENHEIMER DEV MARKETS FD CLASS C	5.42	0.05	0.00	0.05	88.0	0.04
	ACCOUNT #: 07871984301	BUY 0 Units @0.0000						
09/19/2018	***-**-91IN - RICHARDSON,	OPPENHEIMER EMERG MKTS LOCAL DEBT F	35.00	0.35	0.00	0.35	88.0	0.31
	ACCOUNT #: 00100064439	BUY 0 Units @0.0000						
09/19/2018	***-**-91IN - RICHARDSON,	OPPENHEIMER GLBL HIGH YIELD FUND C	35.00	0.35	0.00	0.35	88.0	0.31
	ACCOUNT #: 00100025895	BUY 0 Units @0.0000						
09/24/2018	***-**-0457 - STAGLIANO, GINA	OPPENHEIMER GLOBAL CLASS C	5.42	0.05	0.00	0.05	88.0	0.04
	ACCOUNT #: 03322653871	BUY 0 Units @0.0000						
09/24/2018	***-**-11IN - MOYLAN, TIMOTHY	OPPENHEIMER GLOBAL CLASS C	3.71	0.04	0.00	0.04	88.0	0.04
	ACCOUNT #: 03322653882	BUY 0 Units @0.0000						
09/19/2018	***-**-91IN - RICHARDSON,	OPPENHEIMER GLOBAL VALUE FUND CL C	35.00	0.35	0.00	0.35	88.0	0.31
	ACCOUNT #: 06890080641	BUY 0 Units @0.0000						
09/19/2018	***-**-7473 - SCOTELLARO,	OPPENHEIMER INTERNATIONAL DIVERSIFI	25.00	0.25	0.00	0.25	88.0	0.22
	ACCOUNT #: 01971001154	BUY 0 Units @0.0000						
09/24/2018	***-**-0457 - STAGLIANO, GINA	OPPENHEIMER INTERNATIONAL DIVERSIFI	8.14	0.08	0.00	0.08	88.0	0.07
	ACCOUNT #: 01970849112	BUY 0 Units @0.0000						
09/24/2018	***-**-11IN - MOYLAN, TIMOTHY	OPPENHEIMER INTERNATIONAL DIVERSIFI	14.84	0.15	0.00	0.15	88.0	0.13
	ACCOUNT #: 01970849123	BUY 0 Units @0.0000						
09/24/2018	***-**-0457 - STAGLIANO, GINA	OPPENHEIMER RISING DIVIDENDS FUND C	8.14	0.08	0.00	0.08	88.0	0.07
	ACCOUNT #: 02270899492	BUY 0 Units @0.0000						
09/24/2018	***-**-11IN - MOYLAN, TIMOTHY	OPPENHEIMER RISING DIVIDENDS FUND C	14.84	0.15	0.00	0.15	88.0	0.13
	ACCOUNT #: 02270899503	BUY 0 Units @0.0000						
09/17/2018	***-**-497I - MARTIN, KATHLEEN	PORT SERIES: CONS INV C	50.00	0.50	0.00	0.50	88.0	0.44
	ACCOUNT #: 05420240427	BUY 0 Units @0.0000						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUNDS (continued)								
09/24/2018	***-**-522I - RIEBEN, HENRY	PUTNAM CAPITAL SPECTRUM FUND CL C	13.41	0.13	0.00	0.13	88.0	0.11
	ACCOUNT #: 00551360517	BUY 0 Units @31.4700						
09/24/2018	***-**-522I - RIEBEN, HENRY	PUTNAM EQUITY SPECTRUM FD CL C	13.39	0.13	0.00	0.13	88.0	0.11
	ACCOUNT #: 00551360517	BUY 0 Units @37.7400						
09/24/2018	***-**-522I - RIEBEN, HENRY	PUTNAM GLOBAL UTILITIES CL C	13.41	0.13	0.00	0.13	88.0	0.11
	ACCOUNT #: 00551360517	BUY 1 Units @13.4600						
09/24/2018	***-**-11IN - MOYLAN, TIMOTHY	QUEST INTERNATIONAL VALUE FUND, INC	7.42	0.07	0.00	0.07	88.0	0.06
	ACCOUNT #: 02560289795	BUY 0 Units @0.0000						
09/24/2018	***-**-0457 - STAGLIANO, GINA	REAL ESTATE FUND C	5.42	0.05	0.00	0.05	88.0	0.04
	ACCOUNT #: 05920286880	BUY 0 Units @0.0000						
09/24/2018	***-**-11IN - MOYLAN, TIMOTHY	REAL ESTATE FUND C	7.42	0.07	0.00	0.07	88.0	0.06
	ACCOUNT #: 05920286891	BUY 0 Units @0.0000						
09/24/2018	***-**-0457 - STAGLIANO, GINA	SENIOR FLOATING RATE FUND C	5.42	0.05	0.00	0.05	88.0	0.04
	ACCOUNT #: 02931758372	BUY 0 Units @0.0000						
09/24/2018	***-**-0457 - STAGLIANO, GINA	SMALL- & MID- CAP VALUE FUND C	5.42	0.05	0.00	0.05	88.0	0.04
	ACCOUNT #: 02531164735	BUY 0 Units @0.0000						
09/19/2018	***-**-7473 - SCOTELLARO,	STRATEGIC INCOME FUND C	25.00	0.25	0.00	0.25	88.0	0.22
	ACCOUNT #: 02322945965	BUY 0 Units @0.0000						
10/10/2018	***-**-94IN - MINER, MARY	THE BOND FUND OF AMERICA-C	20,000.00	218.00	18.00	200.00	88.0	176.00
	ACCOUNT #: LSR012743	BUY 1617 Units @12.3700						
10/10/2018	***-**-594I - MINER, MARY	THE BOND FUND OF AMERICA-C	25,000.01	268.00	18.00	250.00	88.0	220.00
	ACCOUNT #: LSR012744	BUY 2021 Units @12.3700						
* MUTUAL FUNDS SUBTOTAL *			\$128,068.67	\$1,771.31	\$162.00	\$1,609.31		\$1,416.16
PRODUCT CATEGORY: STOCKS								
10/09/2018	***-**-61IN - GORCZYNSKI,	HESS CORP COM	7,243.90	107.49	17.00	90.49	88.0	79.63
	ACCOUNT #: LSR010844	SELL 100 Units @72.4390						
10/10/2018	***-**-762I - STORSBERG,	INTEL CORP SOLICITED ORDER	4,566.00	67.49	18.00	49.49	88.0	43.55
	ACCOUNT #: LSR011688	BUY 100 Units @45.6600						
10/09/2018	***-**-57IN - DIPERNA, ROBERT	STEIN MART INC COM	3,893.00	67.49	18.00	49.49	88.0	43.55
	ACCOUNT #: LSR011053	BUY 1700 Units @2.2900						
10/09/2018	***-**-57IO - MATTHEWS,	STEIN MART INC COM	4,540.00	67.49	18.00	49.49	88.0	43.55
	ACCOUNT #: LSR012822	BUY 2000 Units @2.2700						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: STOCKS (continued)								
10/09/2018	***-**-369I - DAVIS, BRUCE	VALE S.A. SPONS ADR REPR 1 COM NPV	10,054.38	177.49	27.94	149.55	88.0	131.60
	ACCOUNT #: LSR011029	SELL 647 Units @15.5400						
10/09/2018	***-**-61IN - GORCZYNSKI,	VERIZON COMMUNICATIONS UNSOLICITED	6,055.50	97.49	17.20	80.29	88.0	70.66
	ACCOUNT #: LSR010844	SELL 110 Units @55.0500						
10/09/2018	***-**-57IO - MATTHEWS,	WESTPAC BANKING CORPORATION ADR(EAC	4,792.50	67.49	20.00	47.49	88.0	41.79
	ACCOUNT #: LSR012822	BUY 250 Units @19.1700						
		* STOCKS SUBTOTAL *	\$41,145.28	\$652.43	\$136.14	\$516.29		\$454.33
PRODUCT CATEGORY: VARIABLE ANNUITIES								
10/15/2018	***-**-077O - GAUTHIER, LOUIS	MASS MUTUAL VA	0.00	88.68	0.00	88.68	88.0	78.04
	ACCOUNT #: 828693	BUY 1 Units @0.0000						
10/15/2018	***-**-80IN - GRIFFITH, DAVID	MASS MUTUAL VA	0.00	5.63	0.00	5.63	88.0	4.95
	ACCOUNT #: 834388	BUY 1 Units @0.0000						
		* VARIABLE ANNUITIES SUBTOTAL *	\$0.00	\$94.31	\$0.00	\$94.31		\$82.99
PRODUCT CATEGORY: 529 PLAN								
10/15/2018	***-**-244I - BURTON, RICHARD	NY 529 ADDITIONAL DEPOSIT	49.50	0.50	0.00	0.50	88.0	0.44
	ACCOUNT #: 77243486101	BUY 0 Units @0.0000						
		* 529 PLAN SUBTOTAL *	\$49.50	\$0.50	\$0.00	\$0.50		\$0.44
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS								
10/08/2018	***-**-817I - WADSWORTH,	ALLIANCE BERNSTEIN LARGE-CAP GROWTH	0.00	2.07	0.00	2.07	88.0	1.82
	ACCOUNT #: 04715332428	BUY 0 Units @0.0000						
10/08/2018	***-**-817I - WADSWORTH,	ALLIANCEBERNSTEIN LARGE-CAP GROWTH	0.00	0.88	0.00	0.88	88.0	0.77
	ACCOUNT #: 04715332428	BUY 0 Units @0.0000						
10/15/2018	***-**-698J - BAILEY, MR	GRIFFIN CAPITAL ESS ASSET II TRAILS	0.00	31.51	0.00	31.51	88.0	27.73
	ACCOUNT #: 091124603	BUY 0 Units @0.0000						
10/15/2018	***-**-41TR - DAMSKY, BARRY	GRIFFIN CAPITAL ESS ASSET II TRAILS	0.00	12.12	0.00	12.12	88.0	10.67
	ACCOUNT #: 091128030	BUY 0 Units @0.0000						
10/15/2018	***-**-901O - DRUMM, LOIS	GRIFFIN CAPITAL ESS ASSET II TRAILS	0.00	17.90	0.00	17.90	88.0	15.75
	ACCOUNT #: 091135944	BUY 0 Units @0.0000						
10/15/2018	***-**-522J - RIEBEN, HENRY	GRIFFIN CAPITAL ESS ASSET II TRAILS	0.00	36.36	0.00	36.36	88.0	32.00
	ACCOUNT #: 091135947	BUY 0 Units @0.0000						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
10/15/2018	***-**-425I - PERRITANO, ACCOUNT #: 091137511	GRIFFIN CAPITAL ESS ASSET II TRAILS BUY 0 Units @0.0000	0.00	29.09	0.00	29.09	88.0	25.60
10/15/2018	***-**-4580 - GRIFFITH,	GRIFFIN CAPITAL ESS ASSET II TRAILS BUY 0 Units @0.0000	0.00	45.13	0.00	45.13	88.0	39.71
10/01/2018	***-**-51RI - DIPERNA, SANDRA ACCOUNT #: 08189654779	MFS 55273E871 BUY 0 Units @0.0000	0.00	6.54	0.00	6.54	88.0	5.76
10/01/2018	***-**-57RI - DIPERNA, ROBERT ACCOUNT #: 08189654783	MFS 55273E871 BUY 0 Units @0.0000	0.00	8.06	0.00	8.06	88.0	7.09
10/01/2018	***-**-73IN - MELLACE, ACCOUNT #: 08191356365	MFS 55273E871 BUY 0 Units @0.0000	0.00	1.37	0.00	1.37	88.0	1.21
10/01/2018	***-**-29RI - THIBAUT, ACCOUNT #: 08191346905	MFS 55273G314 BUY 0 Units @0.0000	0.00	4.17	0.00	4.17	88.0	3.67
10/01/2018	***-**-57RI - DIPERNA, ROBERT ACCOUNT #: 08189654783	MFS 552988628 BUY 0 Units @0.0000	0.00	12.16	0.00	12.16	88.0	10.70
10/01/2018	***-**-51RI - DIPERNA, SANDRA ACCOUNT #: 08191188649	MFS 552988628 BUY 0 Units @0.0000	0.00	9.04	0.00	9.04	88.0	7.96
10/01/2018	***-**-541I - ORSINO, LISA ACCOUNT #: 08191343489	MFS 552988628 BUY 0 Units @0.0000	0.00	4.01	0.00	4.01	88.0	3.53
10/01/2018	***-**-311I - MOYLAN, COLLEEN ACCOUNT #: 08191349249	MFS 552988628 BUY 0 Units @0.0000	0.00	0.17	0.00	0.17	88.0	0.15
10/01/2018	***-**-801T - HAGAN III, ACCOUNT #: 08191353848	MFS 552988628 BUY 0 Units @0.0000	0.00	2.36	0.00	2.36	88.0	2.08
10/01/2018	***-**-755J - MISHLANIE, ACCOUNT #: 08191444446	MFS BLENDED RESEARCH CORE EQUITY FD BUY 0 Units @0.0000	0.00	3.47	0.00	3.47	88.0	3.05
10/01/2018	***-**-93JT - WADSWORTH, ACCOUNT #: 08191339712	MFS DIVERSIFIED INCOME FD CL C BUY 0 Units @0.0000	0.00	18.83	0.00	18.83	88.0	16.57
10/01/2018	***-**-1121 - JONES, REBECCA ACCOUNT #: 00060637004	MFS EMERGING GROWTH FUND CLASS A BUY 0 Units @0.0000	0.00	0.70	0.00	0.70	88.0	0.62
10/01/2018	***-**-686I - STRUMPFLE, MARK ACCOUNT #: 00060352385	MFS EMERGING GROWTH FUND-B BUY 0 Units @0.0000	0.00	2.21	0.00	2.21	88.0	1.94
10/01/2018	***-**-541I - ORSINO, LISA ACCOUNT #: 08191343489	MFS EMERGING GROWTH FUND-B BUY 0 Units @0.0000	0.00	1.94	0.00	1.94	88.0	1.71



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
10/01/2018	***-**-88IN - PICKARD, ELAINE	MFS GLOBAL ALTERNATIVE STRAT C	0.00	3.52	0.00	3.52	88.0	3.10
	ACCOUNT #: 08191321451	BUY 0 Units @0.0000						
10/01/2018	***-**-51RI - DIPERNA, SANDRA	MFS GLOBAL BOND FUND CLASS C	0.00	2.26	0.00	2.26	88.0	1.99
	ACCOUNT #: 08189654779	BUY 0 Units @0.0000						
10/01/2018	***-**-51RI - DIPERNA, SANDRA	MFS GLOBAL BOND FUND-A	0.00	0.61	0.00	0.61	88.0	0.54
	ACCOUNT #: 00060668662	BUY 0 Units @0.0000						
10/01/2018	***-**-29RI - THIBAUT, ELAINE	MFS GLOBAL REAL ESTATE FUND CL C	0.00	3.98	0.00	3.98	88.0	3.50
	ACCOUNT #: 08191346905	BUY 0 Units @0.0000						
10/01/2018	***-**-686I - STRUMPFLER, MARK	MFS GLOBAL TOTAL RETURN FUND-A	0.00	2.19	0.00	2.19	88.0	1.93
	ACCOUNT #: 00060352385	BUY 0 Units @0.0000						
10/01/2018	***-**-914J - KALAMAS, SHIRLEY	MFS GLOBAL TOTAL RETURN FUND-A	0.00	0.96	0.00	0.96	88.0	0.84
	ACCOUNT #: 08191281493	BUY 0 Units @0.0000						
10/01/2018	***-**-686I - STRUMPFLER, MARK	MFS GLOBAL TOTAL RETURN FUND-B	0.00	0.98	0.00	0.98	88.0	0.86
	ACCOUNT #: 00060352385	BUY 0 Units @0.0000						
10/01/2018	***-**-57RI - DIPERNA, ROBERT	MFS GLOBAL TOTAL RETURN FUND-B	0.00	2.12	0.00	2.12	88.0	1.87
	ACCOUNT #: 08189654783	BUY 0 Units @0.0000						
10/01/2018	***-**-51RI - DIPERNA, SANDRA	MFS GLOBAL TOTAL RETURN FUND-B	0.00	4.80	0.00	4.80	88.0	4.22
	ACCOUNT #: 08191188649	BUY 0 Units @0.0000						
10/01/2018	***-**-25IR - SCOTELLARO, ROBERT	MFS GLOBAL TOTAL RETURN FUND-B	0.00	1.29	0.00	1.29	88.0	1.14
	ACCOUNT #: 08191235544	BUY 0 Units @0.0000						
10/01/2018	***-**-244J - BURTON, RICHARD	MFS GLOBAL TOTAL RETURN FUND-B	0.00	0.39	0.00	0.39	88.0	0.34
	ACCOUNT #: 08191250134	BUY 0 Units @0.0000						
10/01/2018	***-**-957I - VELARDI, ANTHONY	MFS GLOBAL TOTAL RETURN FUND-B	0.00	3.88	0.00	3.88	88.0	3.41
	ACCOUNT #: 08191316407	BUY 0 Units @0.0000						
10/01/2018	***-**-267I - HAMMILL, ELISE	MFS GLOBAL TOTAL RETURN FUND-B	0.00	1.45	0.00	1.45	88.0	1.28
	ACCOUNT #: 08191335171	BUY 0 Units @0.0000						
10/01/2018	***-**-440I - HAMMILL, MATTHEW	MFS GLOBAL TOTAL RETURN FUND-B	0.00	1.48	0.00	1.48	88.0	1.30
	ACCOUNT #: 08191335450	BUY 0 Units @0.0000						
10/01/2018	***-**-541I - ORSINO, LISA	MFS GLOBAL TOTAL RETURN FUND-B	0.00	3.51	0.00	3.51	88.0	3.09
	ACCOUNT #: 08191343489	BUY 0 Units @0.0000						
10/01/2018	***-**-311I - MOYLAN, COLLEEN	MFS GLOBAL TOTAL RETURN FUND-B	0.00	2.23	0.00	2.23	88.0	1.96
	ACCOUNT #: 08191349249	BUY 0 Units @0.0000						



COMMISSION STATEMENT

October 15, 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)								
10/01/2018	***-**-801T - HAGAN III, ACCOUNT #: 08191353848	MFS GLOBAL TOTAL RETURN FUND-B BUY 0 Units @0.0000	0.00	1.02	0.00	1.02	88.0	0.90
10/01/2018	***-**-88IN - PICKARD, ELAINE ACCOUNT #: 08191321451	MFS GLOBAL TOTAL RETURN FUND-C BUY 0 Units @0.0000	0.00	11.42	0.00	11.42	88.0	10.05
10/01/2018	***-**-93JT - WADSWORTH, ACCOUNT #: 08191339712	MFS GLOBAL TOTAL RETURN FUND-C BUY 0 Units @0.0000	0.00	19.42	0.00	19.42	88.0	17.09
10/01/2018	***-**-29RI - THIBAUT, ACCOUNT #: 08191346905	MFS GLOBAL TOTAL RETURN FUND-C BUY 0 Units @0.0000	0.00	3.84	0.00	3.84	88.0	3.38
10/01/2018	***-**-801T - HAGAN III, ACCOUNT #: 08191353848	MFS GLOBAL TOTAL RETURN FUND-C BUY 0 Units @0.0000	0.00	11.09	0.00	11.09	88.0	9.76
10/01/2018	***-**-73IN - MELLACE, ACCOUNT #: 08191356365	MFS GLOBAL TOTAL RETURN FUND-C BUY 0 Units @0.0000	0.00	2.51	0.00	2.51	88.0	2.21
10/01/2018	***-**-51RI - DIPERNA, SANDRA ACCOUNT #: 00060665554	MFS GROWTH ALLOCATION FUND-A BUY 0 Units @0.0000	0.00	4.20	0.00	4.20	88.0	3.70
10/01/2018	***-**-957I - VELARDI, ANTHONY ACCOUNT #: 08191316407	MFS INFLATION ADJUSTED BOND CL B BUY 0 Units @0.0000	0.00	0.54	0.00	0.54	88.0	0.48
10/01/2018	***-**-541I - ORSINO, LISA ACCOUNT #: 08191343489	MFS INFLATION ADJUSTED BOND CL B BUY 0 Units @0.0000	0.00	0.70	0.00	0.70	88.0	0.62
10/01/2018	***-**-51RI - DIPERNA, SANDRA ACCOUNT #: 08189654779	MFS INFLATION ADJUSTED BOND CL C BUY 0 Units @0.0000	0.00	2.37	0.00	2.37	88.0	2.09
10/01/2018	***-**-57RI - DIPERNA, ROBERT ACCOUNT #: 08189654783	MFS INFLATION ADJUSTED BOND CL C BUY 0 Units @0.0000	0.00	5.86	0.00	5.86	88.0	5.16
10/01/2018	***-**-51RI - DIPERNA, SANDRA ACCOUNT #: 00060667595	MFS INFLATION ADJUSTED BOND FUND-A BUY 0 Units @0.0000	0.00	0.39	0.00	0.39	88.0	0.34
10/01/2018	***-**-57IN - DIPERNA, ROBERT ACCOUNT #: 00060667596	MFS INFLATION ADJUSTED BOND FUND-A BUY 0 Units @0.0000	0.00	0.96	0.00	0.96	88.0	0.84
10/01/2018	***-**-914J - KALAMAS, SHIRLEY ACCOUNT #: 08191281493	MFS INFLATION ADJUSTED BOND FUND-A BUY 0 Units @0.0000	0.00	0.55	0.00	0.55	88.0	0.48
10/01/2018	***-**-25IR - SCOTELLARO, ACCOUNT #: 08191235544	MFS INTERNATIONAL DIVERSIFICATION F BUY 0 Units @0.0000	0.00	0.80	0.00	0.80	88.0	0.70
10/01/2018	***-**-957I - VELARDI, ANTHONY ACCOUNT #: 08191316407	MFS INTERNATIONAL DIVERSIFICATION F BUY 0 Units @0.0000	0.00	0.75	0.00	0.75	88.0	0.66



COMMISSION STATEMENT

October 15, 2018

DAVID GRIFFITH
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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)								
10/01/2018	***-**-311I - MOYLAN, COLLEEN	MFS INTERNATIONAL DIVERSIFICATION F	0.00	0.17	0.00	0.17	88.0	0.15
	ACCOUNT #: 08191349249	BUY 0 Units @0.0000						
10/01/2018	***-**-51RI - DIPERNA, SANDRA	MFS INTERNATIONAL VALUE FUND-A	0.00	1.79	0.00	1.79	88.0	1.58
	ACCOUNT #: 00060657974	BUY 0 Units @0.0000						
10/01/2018	***-**-57IN - DIPERNA, ROBERT	MFS INTERNATIONAL VALUE FUND-A	0.00	2.21	0.00	2.21	88.0	1.94
	ACCOUNT #: 00060657975	BUY 0 Units @0.0000						
10/01/2018	***-**-112I - JONES, REBECCA	MFS INTERNTL DIVERSIFICATION FUND-A	0.00	0.46	0.00	0.46	88.0	0.40
	ACCOUNT #: 00060637175	BUY 0 Units @0.0000						
10/01/2018	***-**-51RI - DIPERNA, SANDRA	MFS LIMITED MATURITY FUND-A	0.00	0.39	0.00	0.39	88.0	0.34
	ACCOUNT #: 00060655912	BUY 0 Units @0.0000						
10/01/2018	***-**-57IN - DIPERNA, ROBERT	MFS LIMITED MATURITY FUND-A	0.00	0.97	0.00	0.97	88.0	0.85
	ACCOUNT #: 00060655913	BUY 0 Units @0.0000						
10/01/2018	***-**-51RI - DIPERNA, SANDRA	MFS LIMITED MATURITY FUND-C	0.00	2.40	0.00	2.40	88.0	2.11
	ACCOUNT #: 08189654779	BUY 0 Units @0.0000						
10/01/2018	***-**-57RI - DIPERNA, ROBERT	MFS LIMITED MATURITY FUND-C	0.00	5.92	0.00	5.92	88.0	5.21
	ACCOUNT #: 08189654783	BUY 0 Units @0.0000						
10/01/2018	***-**-541I - ORSINO, LISA	MFS STRATEGIC INCOME FUND-B	0.00	2.11	0.00	2.11	88.0	1.86
	ACCOUNT #: 08191343489	BUY 0 Units @0.0000						
10/01/2018	***-**-755J - MISHLANIE,	MFS TECHNOLOGY FUND-B	0.00	4.74	0.00	4.74	88.0	4.17
	ACCOUNT #: 08191444446	BUY 0 Units @0.0000						
10/01/2018	***-**-25IR - SCOTELLARO,	MFS TOTAL RETURN FUND-B	0.00	0.29	0.00	0.29	88.0	0.26
	ACCOUNT #: 08191235544	BUY 0 Units @0.0000						
10/01/2018	***-**-51RI - DIPERNA, SANDRA	MFS TRAILS 55273G710	0.00	15.33	0.00	15.33	88.0	13.49
	ACCOUNT #: 08189654779	BUY 0 Units @0.0000						
09/28/2018	***-**-51RI - DIPERNA, SANDRA	MFS TRAILS 552988610	300.00	3.00	0.00	3.00	88.0	2.64
	ACCOUNT #: 08191188649	BUY 18 Units @16.3500						
09/28/2018	***-**-57RI - DIPERNA, ROBERT	MFS TRAILS 552988610	300.00	3.00	0.00	3.00	88.0	2.64
	ACCOUNT #: 08189654783	BUY 18 Units @16.3500						
10/01/2018	***-**-57RI - DIPERNA, ROBERT	MFS TRAILS 552988610	0.00	0.06	0.00	0.06	88.0	0.05
	ACCOUNT #: 08189654783	BUY 0 Units @0.0000						
10/01/2018	***-**-51RI - DIPERNA, SANDRA	MFS TRAILS 552988610	0.00	0.06	0.00	0.06	88.0	0.05
	ACCOUNT #: 08191188649	BUY 0 Units @0.0000						



COMMISSION STATEMENT

October 15, 2018

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BROKER #: A76
BRANCH #01047 - 47 - GRIFFITH

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
10/01/2018	***-**-88IN - PICKARD, ELAINE	MFS TRAILS 552988610	0.00	10.73	0.00	10.73	88.0	9.44
	ACCOUNT #: 08191321451	BUY 0 Units @0.0000						
10/01/2018	***-**-93JT - WADSWORTH,	MFS TRAILS 552988610	0.00	22.24	0.00	22.24	88.0	19.57
	ACCOUNT #: 08191339712	BUY 0 Units @0.0000						
10/01/2018	***-**-1121 - JONES, REBECCA	MFS UTILITIES FUND-A	0.00	0.51	0.00	0.51	88.0	0.45
	ACCOUNT #: 00060637062	BUY 0 Units @0.0000						
10/01/2018	***-**-57IN - DIPERNA, ROBERT	MFS UTILITIES FUND-A	0.00	1.83	0.00	1.83	88.0	1.61
	ACCOUNT #: 00060655296	BUY 0 Units @0.0000						
10/01/2018	***-**-686I - STRUMPFLER, MARK	MFS UTILITIES FUND-B	0.00	0.79	0.00	0.79	88.0	0.70
	ACCOUNT #: 00060352385	BUY 0 Units @0.0000						
10/01/2018	***-**-51RI - DIPERNA, SANDRA	MFS UTILITIES FUND-B	0.00	2.78	0.00	2.78	88.0	2.45
	ACCOUNT #: 08191188649	BUY 0 Units @0.0000						
10/01/2018	***-**-25IR - SCOTELLARO,	MFS UTILITIES FUND-B	0.00	0.31	0.00	0.31	88.0	0.27
	ACCOUNT #: 08191235544	BUY 0 Units @0.0000						
10/01/2018	***-**-244J - BURTON, RICHARD	MFS UTILITIES FUND-B	0.00	2.01	0.00	2.01	88.0	1.77
	ACCOUNT #: 08191250134	BUY 0 Units @0.0000						
10/01/2018	***-**-541I - ORSINO, LISA	MFS UTILITIES FUND-B	0.00	1.74	0.00	1.74	88.0	1.53
	ACCOUNT #: 08191343489	BUY 0 Units @0.0000						
10/01/2018	***-**-311I - MOYLAN, COLLEEN	MFS UTILITIES FUND-B	0.00	0.15	0.00	0.15	88.0	0.13
	ACCOUNT #: 08191349249	BUY 0 Units @0.0000						
10/01/2018	***-**-755J - MISHLANIE,	MFS UTILITIES FUND-B	0.00	2.60	0.00	2.60	88.0	2.29
	ACCOUNT #: 08191444446	BUY 0 Units @0.0000						
10/01/2018	***-**-57RI - DIPERNA, ROBERT	MFS UTILITIES FUND-C	0.00	6.69	0.00	6.69	88.0	5.89
	ACCOUNT #: 08189654783	BUY 0 Units @0.0000						
10/01/2018	***-**-88IN - PICKARD, ELAINE	MFS UTILITIES FUND-C	0.00	11.21	0.00	11.21	88.0	9.86
	ACCOUNT #: 08191321451	BUY 0 Units @0.0000						
10/01/2018	***-**-93JT - WADSWORTH,	MFS UTILITIES FUND-C	0.00	18.58	0.00	18.58	88.0	16.35
	ACCOUNT #: 08191339712	BUY 0 Units @0.0000						
10/01/2018	***-**-29RI - THIBAUT,	MFS UTILITIES FUND-C	0.00	3.74	0.00	3.74	88.0	3.29
	ACCOUNT #: 08191346905	BUY 0 Units @0.0000						
10/01/2018	***-**-73IN - MELLACE,	MFS UTILITIES FUND-C	0.00	1.19	0.00	1.19	88.0	1.05
	ACCOUNT #: 08191356365	BUY 0 Units @0.0000						



COMMISSION STATEMENT

October 15, 2018

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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)								
10/15/2018	***-**-679I - MURSCH JR, ACCOUNT #: 77041375401	NEW YORK 529 TRAILS BUY 0 Units @0.0000	0.00	4.22	0.00	4.22	88.0	3.71
10/15/2018	***-**-541I - ORSINO, LISA ACCOUNT #: 77049971001	NEW YORK 529 TRAILS BUY 0 Units @0.0000	0.00	2.03	0.00	2.03	88.0	1.79
10/15/2018	***-**-29IO - LORUSSO, VINCENT ACCOUNT #: 77089153301	NEW YORK 529 TRAILS BUY 0 Units @0.0000	0.00	0.05	0.00	0.05	88.0	0.04
10/15/2018	***-**-745P - SCOTELLARO, ACCOUNT #: 77296639001	NEW YORK 529 TRAILS BUY 0 Units @0.0000	0.00	2.81	0.00	2.81	88.0	2.47
10/15/2018	***-**-225P - DAMSKY, CYNTHIA ACCOUNT #: 77172702501	NEW YORK 529 TRAILS BUY 0 Units @0.0000	0.00	4.28	0.00	4.28	88.0	3.77
10/15/2018	***-**-0862 - REDMOND, EILEEN ACCOUNT #: 77172702501	NEW YORK 529 TRAILS BUY 0 Units @0.0000	0.00	3.08	0.00	3.08	88.0	2.71
10/15/2018	***-**-244I - BURTON, RICHARD ACCOUNT #: 77243486101	NEW YORK 529 TRAILS BUY 0 Units @0.0000	0.00	0.07	0.00	0.07	88.0	0.06
10/15/2018	***-**-467I - PICKARD, BRIAN ACCOUNT #: 77247884901	NEW YORK 529 TRAILS BUY 0 Units @0.0000	0.00	1.10	0.00	1.10	88.0	0.97
10/15/2018	***-**-93JT - WADSWORTH, ACCOUNT #: 77296639001	NEW YORK 529 TRAILS BUY 0 Units @0.0000	0.00	1.05	0.00	1.05	88.0	0.92
10/15/2018	***-**-21IN - DANIELS, JOHN ACCOUNT #: 77376247101	NEW YORK 529 TRAILS BUY 0 Units @0.0000	0.00	9.30	0.00	9.30	88.0	8.18
10/15/2018	***-**-0862 - REDMOND, EILEEN ACCOUNT #: 77519113701	NEW YORK 529 TRAILS BUY 0 Units @0.0000	0.00	0.76	0.00	0.76	88.0	0.67
10/15/2018	***-**-39IN - CLEARY, KAREN ACCOUNT #: 77678090301	NEW YORK 529 TRAILS BUY 0 Units @0.0000	0.00	4.74	0.00	4.74	88.0	4.17
10/15/2018	***-**-497I - MARTIN, KATHLEEN ACCOUNT #: 77775742701	NEW YORK 529 TRAILS BUY 0 Units @0.0000	0.00	1.78	0.00	1.78	88.0	1.57
10/15/2018	***-**-015P - SABANOSH, SHERYL ACCOUNT #: 77775742701	NEW YORK 529 TRAILS BUY 0 Units @0.0000	0.00	7.53	0.00	7.53	88.0	6.63
10/01/2018	***-**-372I - BURTON, KAREN ACCOUNT #: 00551321848	PUTNAM 1 BUY 0 Units @0.0000	0.00	0.99	0.00	0.99	88.0	0.87
10/01/2018	***-**-72RI - BURTON, KAREN ACCOUNT #: 00551321851	PUTNAM 1 BUY 0 Units @0.0000	0.00	3.42	0.00	3.42	88.0	3.01



COMMISSION STATEMENT

October 15, 2018

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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
10/01/2018	***-**-7892 - GORCZYNSKI, LISA	PUTNAM 1	0.00	2.05	0.00	2.05	88.0	1.80
	ACCOUNT #: 00551333364	BUY 0 Units @0.0000						
10/01/2018	***-**-54IN - THIBAUT, MS	PUTNAM 1	0.00	0.37	0.00	0.37	88.0	0.33
	ACCOUNT #: 00551358602	BUY 0 Units @0.0000						
10/01/2018	***-**-522I - RIEBEN, HENRY	PUTNAM 1	0.00	0.67	0.00	0.67	88.0	0.59
	ACCOUNT #: 00551360517	BUY 0 Units @0.0000						
10/01/2018	***-**-05UT - MISHLANIE CUST,	PUTNAM 1	0.00	1.26	0.00	1.26	88.0	1.11
	ACCOUNT #: 00551376948	BUY 0 Units @0.0000						
10/01/2018	***-**-924J - FISH, ROY	PUTNAM 1	0.00	1.41	0.00	1.41	88.0	1.24
	ACCOUNT #: 00551401046	BUY 0 Units @0.0000						
10/01/2018	***-**-949I - SCOTELLARO III,	PUTNAM ASSET ALLOC BALANCED-C	0.00	13.48	0.00	13.48	88.0	11.86
	ACCOUNT #: 00551408844	BUY 0 Units @0.0000						
10/01/2018	***-**-372I - BURTON, KAREN	PUTNAM CAPITAL SPECTRUM FD CL B	0.00	0.87	0.00	0.87	88.0	0.77
	ACCOUNT #: 00551321848	BUY 0 Units @0.0000						
10/01/2018	***-**-54IN - THIBAUT, MS	PUTNAM CAPITAL SPECTRUM FD CL B	0.00	0.50	0.00	0.50	88.0	0.44
	ACCOUNT #: 00551358602	BUY 0 Units @0.0000						
10/01/2018	***-**-522I - RIEBEN, HENRY	PUTNAM CAPITAL SPECTRUM FD CL B	0.00	0.57	0.00	0.57	88.0	0.50
	ACCOUNT #: 00551360517	BUY 0 Units @0.0000						
10/01/2018	***-**-05UT - MISHLANIE CUST,	PUTNAM CAPITAL SPECTRUM FD CL B	0.00	0.97	0.00	0.97	88.0	0.85
	ACCOUNT #: 00551376948	BUY 0 Units @0.0000						
10/01/2018	***-**-924J - FISH, ROY	PUTNAM CAPITAL SPECTRUM FD CL B	0.00	1.10	0.00	1.10	88.0	0.97
	ACCOUNT #: 00551401046	BUY 0 Units @0.0000						
10/01/2018	***-**-522I - RIEBEN, HENRY	PUTNAM CAPITAL SPECTRUM FUND CL C	0.00	0.14	0.00	0.14	88.0	0.12
	ACCOUNT #: 00551360517	BUY 0 Units @0.0000						
10/01/2018	***-**-372I - BURTON, KAREN	PUTNAM CONV INCOME-GROWTH-B	0.00	0.98	0.00	0.98	88.0	0.86
	ACCOUNT #: 00551321848	BUY 0 Units @0.0000						
10/01/2018	***-**-54IN - THIBAUT, MS	PUTNAM CONV INCOME-GROWTH-B	0.00	0.62	0.00	0.62	88.0	0.55
	ACCOUNT #: 00551358602	BUY 0 Units @0.0000						
10/01/2018	***-**-05UT - MISHLANIE CUST,	PUTNAM CONV INCOME-GROWTH-B	0.00	1.59	0.00	1.59	88.0	1.40
	ACCOUNT #: 00551376948	BUY 0 Units @0.0000						
10/01/2018	***-**-372I - BURTON, KAREN	PUTNAM EQUITY INCOME FUND-B	0.00	2.99	0.00	2.99	88.0	2.63
	ACCOUNT #: 00551321848	BUY 0 Units @0.0000						



COMMISSION STATEMENT

October 15, 2018

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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
10/01/2018	***-**-72RI - BURTON, KAREN	PUTNAM EQUITY INCOME FUND-B	0.00	4.50	0.00	4.50	88.0	3.96
	ACCOUNT #: 00551321851	BUY 0 Units @0.0000						
10/01/2018	***-**-7892 - GORCZYNSKI, LISA	PUTNAM EQUITY INCOME FUND-B	0.00	2.46	0.00	2.46	88.0	2.16
	ACCOUNT #: 00551333364	BUY 0 Units @0.0000						
10/01/2018	***-**-7892 - GORCZYNSKI, LISA	PUTNAM EQUITY SPECTRUM FD CL B	0.00	1.33	0.00	1.33	88.0	1.17
	ACCOUNT #: 00551333364	BUY 0 Units @0.0000						
10/01/2018	***-**-522I - RIEBEN, HENRY	PUTNAM EQUITY SPECTRUM FD CL B	0.00	0.63	0.00	0.63	88.0	0.55
	ACCOUNT #: 00551360517	BUY 0 Units @0.0000						
10/01/2018	***-**-522I - RIEBEN, HENRY	PUTNAM EQUITY SPECTRUM FD CL C	0.00	0.16	0.00	0.16	88.0	0.14
	ACCOUNT #: 00551360517	BUY 0 Units @0.0000						
10/01/2018	***-**-949I - SCOTELLARO III,	PUTNAM EUROPE EQUITY CLASS C	0.00	3.99	0.00	3.99	88.0	3.51
	ACCOUNT #: 00551408844	BUY 0 Units @0.0000						
10/01/2018	***-**-372I - BURTON, KAREN	PUTNAM EUROPE EQUITY FUND-B	0.00	0.85	0.00	0.85	88.0	0.75
	ACCOUNT #: 00551321848	BUY 0 Units @0.0000						
10/01/2018	***-**-7892 - GORCZYNSKI, LISA	PUTNAM EUROPE EQUITY FUND-B	0.00	1.24	0.00	1.24	88.0	1.09
	ACCOUNT #: 00551333364	BUY 0 Units @0.0000						
10/01/2018	***-**-54IN - THIBAUT, MS	PUTNAM EUROPE EQUITY FUND-B	0.00	1.46	0.00	1.46	88.0	1.28
	ACCOUNT #: 00551358602	BUY 0 Units @0.0000						
10/01/2018	***-**-72RI - BURTON, KAREN	PUTNAM GLOBAL EQUITY FUND CLASS B	0.00	0.90	0.00	0.90	88.0	0.79
	ACCOUNT #: 00551321851	BUY 0 Units @0.0000						
10/01/2018	***-**-54IN - THIBAUT, MS	PUTNAM GLOBAL INCOME TRUST-B	0.00	0.33	0.00	0.33	88.0	0.29
	ACCOUNT #: 00551358602	BUY 0 Units @0.0000						
10/01/2018	***-**-372I - BURTON, KAREN	PUTNAM GLOBAL NAT RESOURCES-B	0.00	0.25	0.00	0.25	88.0	0.22
	ACCOUNT #: 00551321848	BUY 0 Units @0.0000						
10/01/2018	***-**-54IN - THIBAUT, MS	PUTNAM GLOBAL NAT RESOURCES-B	0.00	0.71	0.00	0.71	88.0	0.62
	ACCOUNT #: 00551358602	BUY 0 Units @0.0000						
10/01/2018	***-**-05UT - MISHLANIE CUST,	PUTNAM GLOBAL NAT RESOURCES-B	0.00	0.44	0.00	0.44	88.0	0.39
	ACCOUNT #: 00551376948	BUY 0 Units @0.0000						
10/01/2018	***-**-924J - FISH, ROY	PUTNAM GLOBAL NAT RESOURCES-B	0.00	0.80	0.00	0.80	88.0	0.70
	ACCOUNT #: 00551401046	BUY 0 Units @0.0000						
10/01/2018	***-**-949I - SCOTELLARO III,	PUTNAM GLOBAL NATURAL RESOURCE C	0.00	3.11	0.00	3.11	88.0	2.74
	ACCOUNT #: 00551408844	BUY 0 Units @0.0000						



COMMISSION STATEMENT

October 15, 2018

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

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
10/01/2018	***-**-522I - RIEBEN, HENRY	PUTNAM GLOBAL UTILITIES CL C	0.00	0.22	0.00	0.22	88.0	0.19
	ACCOUNT #: 00551360517	BUY 0 Units @0.0000						
10/01/2018	***-**-949I - SCOTELLARO III,	PUTNAM GLOBAL UTILITIES CL C	0.00	17.73	0.00	17.73	88.0	15.60
	ACCOUNT #: 00551408844	BUY 0 Units @0.0000						
10/01/2018	***-**-372I - BURTON, KAREN	PUTNAM GROWTH OPPORTUNITIES FUND CL	0.00	1.09	0.00	1.09	88.0	0.96
	ACCOUNT #: 00551321848	BUY 0 Units @0.0000						
10/01/2018	***-**-54IN - THIBAUT, MS	PUTNAM INTERNATIONAL GROWTH-B	0.00	0.38	0.00	0.38	88.0	0.33
	ACCOUNT #: 00551358602	BUY 0 Units @0.0000						
10/01/2018	***-**-7892 - GORCZYNSKI, LISA	PUTNAM INTL CAPITAL OPPS-B	0.00	1.79	0.00	1.79	88.0	1.58
	ACCOUNT #: 00551333364	BUY 0 Units @0.0000						
10/01/2018	***-**-949I - SCOTELLARO III,	PUTNAM INTL GROWTH & INC-A	0.00	3.36	0.00	3.36	88.0	2.96
	ACCOUNT #: 00551408844	BUY 0 Units @0.0000						
10/01/2018	***-**-72RI - BURTON, KAREN	PUTNAM INTL GROWTH & INC-B	0.00	0.27	0.00	0.27	88.0	0.24
	ACCOUNT #: 00551321851	BUY 0 Units @0.0000						
09/24/2018	***-**-522I - RIEBEN, HENRY	PUTNAM MF TRAILS 37252M306	13.41	0.13	0.00	0.13	88.0	0.11
	ACCOUNT #: 00551360517	BUY 1 Units @20.8300						
10/01/2018	***-**-522I - RIEBEN, HENRY	PUTNAM MF TRAILS 37252M306	0.00	0.18	0.00	0.18	88.0	0.16
	ACCOUNT #: 00551360517	BUY 0 Units @0.0000						
10/01/2018	***-**-72RI - BURTON, KAREN	PUTNAM MF TRAILS 74676P870	0.00	0.71	0.00	0.71	88.0	0.62
	ACCOUNT #: 00551321851	BUY 0 Units @0.0000						
10/01/2018	***-**-54IN - THIBAUT, MS	PUTNAM MF TRAILS 74677R206	0.00	1.97	0.00	1.97	88.0	1.73
	ACCOUNT #: 00551358602	BUY 0 Units @0.0000						
10/01/2018	***-**-522I - RIEBEN, HENRY	PUTNAM MF TRAILS 74677R206	0.00	0.73	0.00	0.73	88.0	0.64
	ACCOUNT #: 00551360517	BUY 0 Units @0.0000						
10/01/2018	***-**-05UT - MISHLANIE CUST,	PUTNAM MF TRAILS 74677R206	0.00	1.58	0.00	1.58	88.0	1.39
	ACCOUNT #: 00551376948	BUY 0 Units @0.0000						
10/01/2018	***-**-7892 - GORCZYNSKI, LISA	PUTNAM MID-CAP VALUE FUND-A	0.00	2.46	0.00	2.46	88.0	2.16
	ACCOUNT #: 00551333364	BUY 0 Units @0.0000						
10/01/2018	***-**-372I - BURTON, KAREN	PUTNAM RESEARCH FUND CLASS B	0.00	0.65	0.00	0.65	88.0	0.57
	ACCOUNT #: 00551321848	BUY 0 Units @0.0000						
10/01/2018	***-**-72RI - BURTON, KAREN	PUTNAM RESEARCH FUND CLASS B	0.00	0.68	0.00	0.68	88.0	0.60
	ACCOUNT #: 00551321851	BUY 0 Units @0.0000						



COMMISSION STATEMENT

October 15, 2018

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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	***-**-54IN - THIBAUT, MS	PUTNAM RESEARCH FUND CLASS B	0.00	0.51	0.00	0.51	88.0	0.45
	ACCOUNT #: 00551358602	BUY 0 Units @0.0000						
10/01/2018	***-**-372I - BURTON, KAREN	PUTNAM SMALL CAP GROWTH-B	0.00	0.95	0.00	0.95	88.0	0.84
	ACCOUNT #: 00551321848	BUY 0 Units @0.0000						
10/01/2018	***-**-72RI - BURTON, KAREN	PUTNAM SMALL CAP GROWTH-B	0.00	0.47	0.00	0.47	88.0	0.41
	ACCOUNT #: 00551321851	BUY 0 Units @0.0000						
10/01/2018	***-**-7892 - GORCZYNSKI, LISA	PUTNAM SMALL CAP GROWTH-B	0.00	1.51	0.00	1.51	88.0	1.33
	ACCOUNT #: 00551333364	BUY 0 Units @0.0000						
10/01/2018	***-**-372I - BURTON, KAREN	PUTNAM UTILITIES GR & INC-B	0.00	0.90	0.00	0.90	88.0	0.79
	ACCOUNT #: 00551321848	BUY 0 Units @0.0000						
10/01/2018	***-**-72RI - BURTON, KAREN	PUTNAM UTILITIES GR & INC-B	0.00	1.25	0.00	1.25	88.0	1.10
	ACCOUNT #: 00551321851	BUY 0 Units @0.0000						
10/01/2018	***-**-7892 - GORCZYNSKI, LISA	PUTNAM UTILITIES GR & INC-B	0.00	1.45	0.00	1.45	88.0	1.28
	ACCOUNT #: 00551333364	BUY 0 Units @0.0000						
10/01/2018	***-**-7892 - GORCZYNSKI, LISA	PUTNAM UTILITIES GR & INC-B	0.00	5.15	0.00	5.15	88.0	4.53
	ACCOUNT #: 00551338349	BUY 0 Units @0.0000						
10/01/2018	***-**-54IN - THIBAUT, MS	PUTNAM UTILITIES GR & INC-B	0.00	0.60	0.00	0.60	88.0	0.53
	ACCOUNT #: 00551358602	BUY 0 Units @0.0000						
10/01/2018	***-**-05UT - MISHLANIE CUST,	PUTNAM UTILITIES GR & INC-B	0.00	1.42	0.00	1.42	88.0	1.25
	ACCOUNT #: 00551376948	BUY 0 Units @0.0000						
10/01/2018	***-**-924J - FISH, ROY	PUTNAM UTILITIES GR & INC-B	0.00	1.31	0.00	1.31	88.0	1.15
	ACCOUNT #: 00551401046	BUY 0 Units @0.0000						
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *			\$613.41	\$631.55	\$0.00	\$631.55		\$555.73
PRODUCT CATEGORY: VARIABLE ANNUITY 12B1 TRAILS								
09/28/2018	***-**-03IN - BOSHART, PEGGY	AXA CUSIP 29452T645-NSCC	0.00	36.40	0.00	36.40	88.0	32.03
	ACCOUNT #: 303613057	BUY 0 Units @0.0000						
* VARIABLE ANNUITY 12B1 TRAILS SUBTOTAL *			\$0.00	\$36.40	\$0.00	\$36.40		\$32.03
*** BROKER TRANSACTIONS TOTAL ***			\$169,876.86	\$3,186.50	\$298.14	\$2,888.36		\$2,541.68



COMMISSION STATEMENT

October 15, 2018

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u> OVERRIDE TRANSACTIONS </u>								
<u>BROKER: KURT GRUENEWALD</u>								
10/01/2018	***-**-91UT - BYWATER, CAROLYN	37252M108	0.00	0.77	0.00	0.77	88.0	0.68
	ACCOUNT #: 00234174436	BUY 0 Units @0.0000						
10/01/2018	***-**-79UT - BYWATER,	37252M108	0.00	0.79	0.00	0.79	88.0	0.70
	ACCOUNT #: 00234227769	BUY 0 Units @0.0000						
10/04/2018	***-**-6404 - ASHRAF, MIRZA	AMERICAN FUNDS 401K TRAILS	0.00	217.65	0.00	217.65	88.0	191.53
	ACCOUNT #: IRK129327	BUY 0 Units @0.0000						
10/09/2018	***-**-09IO - BATES, FBO MRS	BERKSHIRE HATHAWAY INC DEL CL B NEW	11,189.50	79.49	0.00	79.49	88.0	69.95
	ACCOUNT #: LSR011117	SELL 50 Units @223.7900						
09/19/2018	***-**-65CL - GRUENEWALD, K,	CAPITAL APPRECIATION C	50.00	0.50	0.00	0.50	88.0	0.44
	ACCOUNT #: 03222414918	BUY 0 Units @0.0000						
09/26/2018	***-**-633J -	EQUITY INCOME FUND, INC. A	2,395.88	113.80	0.00	113.80	88.0	100.14
	ACCOUNT #: 08353229688	BUY 0 Units @0.0000						
09/24/2018	***-**-48JT - LEE, DARLENE	EQUITY INCOME FUND, INC. C	50.00	0.50	0.00	0.50	88.0	0.44
	ACCOUNT #: 08370750926	BUY 0 Units @0.0000						
09/19/2018	***-**-65CL - GRUENEWALD, K,	GLOBAL OPPORTUNITIES FUND C	50.00	0.50	0.00	0.50	88.0	0.44
	ACCOUNT #: 02171825219	BUY 0 Units @0.0000						
10/15/2018	***-**-89IN - LEE, ROGER	GRIFFIN CAPITAL ESS ASSET II TRAILS	0.00	48.48	0.00	48.48	88.0	42.66
	ACCOUNT #: 091123534	BUY 0 Units @0.0000						
10/15/2018	***-**-09IO - BATES, FBO MRS	GRIFFIN CAPITAL ESS ASSET II TRAILS	0.00	60.60	0.00	60.60	88.0	53.33
	ACCOUNT #: 091125944	BUY 0 Units @0.0000						
10/15/2018	***-**-287X - HINCKLEY,	GRIFFIN CAPITAL ESS ASSET II TRAILS	0.00	21.82	0.00	21.82	88.0	19.20
	ACCOUNT #: 091129238	BUY 0 Units @0.0000						
10/15/2018	***-**-45IO - JOHNSON, GREGORY	GRIFFIN CAPITAL ESS ASSET II TRAILS	0.00	48.48	0.00	48.48	88.0	42.66
	ACCOUNT #: 091129288	BUY 0 Units @0.0000						
10/15/2018	***-**-11IN - MCCARTHY, LYNN	GRIFFIN CAPITAL ESS ASSET II TRAILS	0.00	24.24	0.00	24.24	88.0	21.33
	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	88.0	10.67
	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	88.0	10.67
	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	88.0	63.99
	ACCOUNT #: 091140076	BUY 0 Units @0.0000						



COMMISSION STATEMENT

October 15, 2018

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
 OVERRIDE TRANSACTIONS (continued)								
 <u>BROKER: KURT GRUENEWALD (continued)</u>								
10/15/2018	***-**-930I - SANGER, KEVIN ACCOUNT #: 00091130813	GRIFFIN CAPITAL ESS ASSET II TRAILS BUY 0 Units @0.0000	0.00	12.67	0.00	12.67	88.0	11.15
10/15/2018	***-**-11IN - MCCARTHY, LYNN ACCOUNT #: 091131292	GRIFFIN CAPITAL ESS ASSET II TRAILS BUY 0 Units @0.0000	0.00	38.00	0.00	38.00	88.0	33.44
10/15/2018	***-**-376I - BERBEN, GAIL ACCOUNT #: 00091131725	GRIFFIN CAPITAL ESS ASSET II TRAILS BUY 0 Units @0.0000	0.00	12.67	0.00	12.67	88.0	11.15
10/15/2018	***-**-21IO - RADELL, SANDRA ACCOUNT #: 091131984	GRIFFIN CAPITAL ESS ASSET II TRAILS BUY 0 Units @0.0000	0.00	25.33	0.00	25.33	88.0	22.29
10/15/2018	***-**-49IN - DEPEYSTER, ACCOUNT #: 091132017	GRIFFIN CAPITAL ESS ASSET II TRAILS BUY 0 Units @0.0000	0.00	12.67	0.00	12.67	88.0	11.15
10/15/2018	***-**-14IO - BUSHEY, MATTHEW ACCOUNT #: 00091132551	GRIFFIN CAPITAL ESS ASSET II TRAILS BUY 0 Units @0.0000	0.00	12.67	0.00	12.67	88.0	11.15
10/15/2018	***-**-09IN - BATES, CHRISTINE ACCOUNT #: 00091133853	GRIFFIN CAPITAL ESS ASSET II TRAILS BUY 0 Units @0.0000	0.00	25.33	0.00	25.33	88.0	22.29
10/15/2018	***-**-29IN - MASSOUD, ACCOUNT #: 91134730	GRIFFIN CAPITAL ESS ASSET II TRAILS BUY 0 Units @0.0000	0.00	12.67	0.00	12.67	88.0	11.15
10/15/2018	***-**-579I - RHYMESTINE, ACCOUNT #: 91134731	GRIFFIN CAPITAL ESS ASSET II TRAILS BUY 0 Units @0.0000	0.00	15.20	0.00	15.20	88.0	13.38
10/15/2018	***-**-959I - FRANZ, PAUL ACCOUNT #: 91134733	GRIFFIN CAPITAL ESS ASSET II TRAILS BUY 0 Units @0.0000	0.00	15.20	0.00	15.20	88.0	13.38
10/15/2018	***-**-723I - WARMUTH, ACCOUNT #: 91134733	GRIFFIN CAPITAL ESS ASSET II TRAILS BUY 0 Units @0.0000	0.00	12.67	0.00	12.67	88.0	11.15
10/15/2018	***-**-15IN - PENDRAK, JOHN ACCOUNT #: 091136021	GRIFFIN CAPITAL ESS ASSET II TRAILS BUY 0 Units @0.0000	0.00	12.67	0.00	12.67	88.0	11.15
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	88.0	11.15
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	88.0	11.15
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	88.0	22.29
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	88.0	66.87



COMMISSION STATEMENT

October 15, 2018

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 OVERRIDE TRANSACTIONS (continued)								
 <u>BROKER: KURT GRUENEWALD (continued)</u>								
10/15/2018	***-**-65CL - GRUENEWALD, K,	GRIFFIN CAPITAL ESS ASSET II TRAILS BUY 0 Units @0.0000	0.00	12.67	0.00	12.67	88.0	11.15
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	88.0	17.59
10/01/2018	***-**-1855 - WILLIAMSON, ACCOUNT #: 08191308008	MASSACHUSETTS INVESTORS TRUST CLASS BUY 0 Units @0.0000	0.00	3.78	0.00	3.78	88.0	3.33
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	88.0	0.35
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	88.0	1.71
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	88.0	0.37
10/01/2018	***-**-0767 - DOVI, ACCOUNT #: 00060640882	MASSACHUSETTS INVESTORS TRUST-A BUY 0 Units @0.0000	0.00	1.17	0.00	1.17	88.0	1.03
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	88.0	0.99
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	88.0	1.87
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	88.0	1.36
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	88.0	0.16
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	88.0	2.85
10/01/2018	***-**-671I - EBERLEY, REID ACCOUNT #: 08191175793	MASSACHUSETTS INVESTORS TRUST-B BUY 0 Units @0.0000	0.00	2.22	0.00	2.22	88.0	1.95
10/01/2018	***-**-13IN - RHYMESTINE, ACCOUNT #: 08191178476	MASSACHUSETTS INVESTORS TRUST-B BUY 0 Units @0.0000	0.00	1.05	0.00	1.05	88.0	0.92
10/01/2018	***-**-3420 - KOCHEM, DENISE ACCOUNT #: 08191179076	MASSACHUSETTS INVESTORS TRUST-B BUY 0 Units @0.0000	0.00	0.64	0.00	0.64	88.0	0.56
10/01/2018	***-**-9839 - YADDAW, DAVID ACCOUNT #: 08191183793	MASSACHUSETTS INVESTORS TRUST-B BUY 0 Units @0.0000	0.00	2.69	0.00	2.69	88.0	2.37



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 OVERRIDE TRANSACTIONS (continued)								
 <u>BROKER: KURT GRUENEWALD (continued)</u>								
10/01/2018	***--1855 - WILLIAMSON, ACCOUNT #: 08191308008	MFS GROWTH PORT CLASS C BUY 0 Units @0.0000	0.00	4.34	0.00	4.34	88.0	3.82
10/01/2018	***--06IN - SATTERLY, ACCOUNT #: 08191336006	MFS 08191336006 BUY 0 Units @0.0000	0.00	5.01	0.00	5.01	88.0	4.41
10/01/2018	***--1855 - WILLIAMSON, ACCOUNT #: 08191308008	MFS 55273E871 BUY 0 Units @0.0000	0.00	1.72	0.00	1.72	88.0	1.51
10/01/2018	***--4193 - VAN BAALEN, GUY ACCOUNT #: 08191310030	MFS 552987646 BUY 0 Units @0.0000	0.00	1.85	0.00	1.85	88.0	1.63
10/01/2018	***--058I - ROBBIANO, SARAH ACCOUNT #: 08191291666	MFS AGGRESS GROWTH ALLOCATION FD-B BUY 0 Units @0.0000	0.00	0.20	0.00	0.20	88.0	0.18
10/01/2018	***--2603 - MASTRANGELO, ACCOUNT #: 08190129168	MFS BLENDED RESEARCH CORE EQUITY FD BUY 0 Units @0.0000	0.00	0.83	0.00	0.83	88.0	0.73
10/01/2018	***--3749 - DEPEYSTER, ACCOUNT #: 08190127726	MFS BOND FUND CLASS B BUY 0 Units @0.0000	0.00	0.56	0.00	0.56	88.0	0.49
10/01/2018	***--2603 - MASTRANGELO, ACCOUNT #: 08190129168	MFS BOND FUND CLASS B BUY 0 Units @0.0000	0.00	0.16	0.00	0.16	88.0	0.14
10/01/2018	***--606I - LEWIS, TAMARA ACCOUNT #: 08191352847	MFS BOND FUND-C BUY 0 Units @0.0000	0.00	1.37	0.00	1.37	88.0	1.21
10/01/2018	***--606I - LEWIS, TAMARA ACCOUNT #: 08191352846	MFS CORE EQUITY FUND-B BUY 0 Units @0.0000	0.00	0.80	0.00	0.80	88.0	0.70
10/01/2018	***--3749 - DEPEYSTER, ACCOUNT #: 08190127726	MFS EMERGING GROWTH FUND-B BUY 0 Units @0.0000	0.00	2.38	0.00	2.38	88.0	2.09
10/01/2018	***--5384 - GURDO, JESSICA ACCOUNT #: 08191233759	MFS EMERGING GROWTH FUND-B BUY 0 Units @0.0000	0.00	0.21	0.00	0.21	88.0	0.18
10/01/2018	***--439J - MCCARTHY, JAMES ACCOUNT #: 00060638917	MFS EMERGING MARKETS DEBT FUND-A BUY 0 Units @0.0000	0.00	0.48	0.00	0.48	88.0	0.42
10/01/2018	***--861I - SANGER, LAWRENCE ACCOUNT #: 00060640608	MFS EMERGING MARKETS DEBT FUND-A BUY 0 Units @0.0000	0.00	0.23	0.00	0.23	88.0	0.20
10/01/2018	***--0767 - DOVI, ACCOUNT #: 00060640958	MFS EMERGING MARKETS DEBT FUND-A BUY 0 Units @0.0000	0.00	1.00	0.00	1.00	88.0	0.88
10/01/2018	***--237I - MCCLUSKY, MARK ACCOUNT #: 00060670677	MFS EMERGING MARKETS DEBT FUND-A BUY 0 Units @0.0000	0.00	1.35	0.00	1.35	88.0	1.19



COMMISSION STATEMENT

October 15, 2018

DAVID GRIFFITH
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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>								
10/01/2018	***-**-111J - NESSIA, JAMES	MFS EMERGING MARKETS DEBT FUND-A	0.00	0.35	0.00	0.35	88.0	0.31
	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	88.0	0.02
	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	88.0	0.25
	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	88.0	0.28
	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	88.0	0.12
	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	88.0	0.68
	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	88.0	1.19
	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	88.0	0.43
	ACCOUNT #: 00060671051	BUY 0 Units @0.0000						
09/28/2018	***-**-13IN - RHYMESTINE,	MFS EMERGING MARKETS EQUITY FUND-B	50.00	2.00	0.00	2.00	88.0	1.76
	ACCOUNT #: 08191178476	BUY 2 Units @30.5200						
10/01/2018	***-**-111J - NESSIA, JAMES	MFS EMERGING MARKETS EQUITY FUND-B	0.00	0.83	0.00	0.83	88.0	0.73
	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	88.0	0.70
	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	88.0	0.28
	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	88.0	4.60
	ACCOUNT #: 08190131132	BUY 0 Units @0.0000						
10/01/2018	***-**-861I - SANGER, LAWRENCE	MFS EMERGING MARKETS EQUITY FUND-B	0.00	0.14	0.00	0.14	88.0	0.12
	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	88.0	3.19
	ACCOUNT #: 08191178476	BUY 0 Units @0.0000						
10/01/2018	***-**-3420 - KOCHER, DENISE	MFS EMERGING MARKETS EQUITY FUND-B	0.00	0.48	0.00	0.48	88.0	0.42
	ACCOUNT #: 08191179076	BUY 0 Units @0.0000						



COMMISSION STATEMENT

October 15, 2018

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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)								
10/01/2018	***-**-09IN - BATES, CHRISTINE	MFS EMERGING MARKETS EQUITY FUND-B	0.00	2.37	0.00	2.37	88.0	2.09
	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	88.0	0.30
	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	88.0	0.14
	ACCOUNT #: 08191233759	BUY 0 Units @0.0000						
09/28/2018	***-**-13IN - RHYMESTINE,	MFS EMERGING MKT DEBT CL B	50.00	2.00	0.00	2.00	88.0	1.76
	ACCOUNT #: 08191178476	BUY 4 Units @14.0800						
10/01/2018	***-**-111J - NESSIA, JAMES	MFS EMERGING MKT DEBT CL B	0.00	0.44	0.00	0.44	88.0	0.39
	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	88.0	0.15
	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	88.0	0.09
	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	88.0	0.90
	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	88.0	0.18
	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	88.0	2.60
	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	88.0	2.15
	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	88.0	3.11
	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	88.0	0.53
	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	88.0	2.11
	ACCOUNT #: 08191183793	BUY 0 Units @0.0000						
10/01/2018	***-**-1491 - GUNN, EDWARD	MFS EMERGING MKT DEBT CL B	0.00	0.79	0.00	0.79	88.0	0.70
	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	88.0	1.15
	ACCOUNT #: 08191191385	BUY 0 Units @0.0000						



COMMISSION STATEMENT

October 15, 2018

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Utica, NY 13502

BROKER #: A76
BRANCH #01047 - 47 - GRIFFITH

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 OVERRIDE TRANSACTIONS (continued) 								
 <u>BROKER: KURT GRUENEWALD (continued)</u> 								
10/01/2018	***-**-844I - ROSS, VALERIE	MFS EMERGING MKT DEBT CL B	0.00	4.57	0.00	4.57	88.0	4.02
	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	88.0	0.37
	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	88.0	0.30
	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	88.0	0.30
	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	88.0	0.09
	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	88.0	1.90
	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	88.0	1.49
	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	88.0	1.72
	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	88.0	1.10
	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	88.0	2.77
	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	88.0	1.44
	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	88.0	1.54
	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	88.0	0.42
	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	88.0	0.77
	ACCOUNT #: 00060640588	BUY 0 Units @0.0000						
10/01/2018	***-**-02IN - BUSHEY, MELISSA	MFS GLOBAL TOTAL RETURN FUND-A	0.00	1.09	0.00	1.09	88.0	0.96
	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	88.0	0.53
	ACCOUNT #: 00060640593	BUY 0 Units @0.0000						



COMMISSION STATEMENT

October 15, 2018

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 OVERRIDE TRANSACTIONS (continued)								
 <u>BROKER: KURT GRUENEWALD (continued)</u>								
10/01/2018	***-**-0767 - DOVI, ACCOUNT #: 00060640945	MFS GLOBAL TOTAL RETURN FUND-A BUY 0 Units @0.0000	0.00	1.95	0.00	1.95	88.0	1.72
10/01/2018	***-**-2483 - TURNBULL, ACCOUNT #: 00060640946	MFS GLOBAL TOTAL RETURN FUND-A BUY 0 Units @0.0000	0.00	2.36	0.00	2.36	88.0	2.08
10/01/2018	***-**-7617 - ESCHE, BEVERLY ACCOUNT #: 00060640947	MFS GLOBAL TOTAL RETURN FUND-A BUY 0 Units @0.0000	0.00	0.41	0.00	0.41	88.0	0.36
10/01/2018	***-**-8440 - PREVOST, PIERRE ACCOUNT #: 00060670665	MFS GLOBAL TOTAL RETURN FUND-A BUY 0 Units @0.0000	0.00	0.90	0.00	0.90	88.0	0.79
10/01/2018	***-**-237I - MCCLUSKY, MARK ACCOUNT #: 00060670667	MFS GLOBAL TOTAL RETURN FUND-A BUY 0 Units @0.0000	0.00	1.59	0.00	1.59	88.0	1.40
10/01/2018	***-**-3932 - CARSON, DAVID ACCOUNT #: 00060671625	MFS GLOBAL TOTAL RETURN FUND-A BUY 0 Units @0.0000	0.00	0.04	0.00	0.04	88.0	0.04
10/01/2018	***-**-439I - MCCARTHY, JAMES ACCOUNT #: 08190124895	MFS GLOBAL TOTAL RETURN FUND-B BUY 0 Units @0.0000	0.00	0.82	0.00	0.82	88.0	0.72
10/01/2018	***-**-111J - NESSIA, JAMES ACCOUNT #: 08190126843	MFS GLOBAL TOTAL RETURN FUND-B BUY 0 Units @0.0000	0.00	1.22	0.00	1.22	88.0	1.07
10/01/2018	***-**-3749 - DEPEYSTER, ACCOUNT #: 08190127726	MFS GLOBAL TOTAL RETURN FUND-B BUY 0 Units @0.0000	0.00	0.88	0.00	0.88	88.0	0.77
10/01/2018	***-**-2603 - MASTRANGELO, ACCOUNT #: 08190129168	MFS GLOBAL TOTAL RETURN FUND-B BUY 0 Units @0.0000	0.00	0.20	0.00	0.20	88.0	0.18
10/01/2018	***-**-889I - FRANZ, JONATHAN ACCOUNT #: 08190130131	MFS GLOBAL TOTAL RETURN FUND-B BUY 0 Units @0.0000	0.00	0.64	0.00	0.64	88.0	0.56
10/01/2018	***-**-8126 - MCCARTHY, BRIANN ACCOUNT #: 08191126031	MFS GLOBAL TOTAL RETURN FUND-B BUY 0 Units @0.0000	0.00	2.67	0.00	2.67	88.0	2.35
10/01/2018	***-**-094I - KATRENA L ACCOUNT #: 08191140345	MFS GLOBAL TOTAL RETURN FUND-B BUY 0 Units @0.0000	0.00	3.26	0.00	3.26	88.0	2.87
10/01/2018	***-**-6538 - BROWN, TYLER ACCOUNT #: 08191150212	MFS GLOBAL TOTAL RETURN FUND-B BUY 0 Units @0.0000	0.00	0.72	0.00	0.72	88.0	0.63
10/01/2018	***-**-861I - SANGER, LAWRENCE ACCOUNT #: 08191153495	MFS GLOBAL TOTAL RETURN FUND-B BUY 0 Units @0.0000	0.00	0.27	0.00	0.27	88.0	0.24
10/01/2018	***-**-7617 - ESCHE, BEVERLY ACCOUNT #: 08191154979	MFS GLOBAL TOTAL RETURN FUND-B BUY 0 Units @0.0000	0.00	3.28	0.00	3.28	88.0	2.89



COMMISSION STATEMENT

October 15, 2018

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BRANCH #01047 - 47 - GRIFFITH

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 OVERRIDE TRANSACTIONS (continued)								
 <u>BROKER: KURT GRUENEWALD (continued)</u>								
10/01/2018	***-**-237I - MCCLUSKY, MARK	MFS GLOBAL TOTAL RETURN FUND-B	0.00	0.03	0.00	0.03	88.0	0.03
	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	88.0	2.01
	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	88.0	2.82
	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	88.0	0.79
	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	88.0	0.43
	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	88.0	4.91
	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	88.0	3.72
	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	88.0	4.07
	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	88.0	6.22
	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	88.0	0.71
	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	88.0	0.41
	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	88.0	1.80
	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	88.0	1.14
	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	88.0	0.23
	ACCOUNT #: 08191226548	BUY 0 Units @0.0000						
10/01/2018	***-**-49IN - GUARDI, LINDA	MFS GLOBAL TOTAL RETURN FUND-B	0.00	3.16	0.00	3.16	88.0	2.78
	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	88.0	1.52
	ACCOUNT #: 08191247393	BUY 0 Units @0.0000						



COMMISSION STATEMENT

October 15, 2018

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 OVERRIDE TRANSACTIONS (continued)								
 BROKER: KURT GRUENEWALD (continued)								
10/01/2018	***-**-473I - HUSTON, ACCOUNT #: 08191353972	MFS GLOBAL TOTAL RETURN FUND-B BUY 0 Units @0.0000	0.00	0.74	0.00	0.74	88.0	0.65
10/01/2018	***-**-881I - EBERLEY, SUSAN ACCOUNT #: 08191326411	MFS GLOBAL TOTAL RETURN FUND-C BUY 0 Units @0.0000	0.00	3.80	0.00	3.80	88.0	3.34
10/01/2018	***-**-7116 - PREVOST, SANDRA ACCOUNT #: 08191191385	MFS GOVERNMENT SECS CLASS C BUY 0 Units @0.0000	0.00	3.46	0.00	3.46	88.0	3.04
10/01/2018	***-**-3749 - DEPEYSTER, ACCOUNT #: 08190127726	MFS GOVERNMENT SECURITIES FUND-B BUY 0 Units @0.0000	0.00	0.31	0.00	0.31	88.0	0.27
10/01/2018	***-**-75IN - MANNING, JEFFREY ACCOUNT #: 08190129582	MFS GOVERNMENT SECURITIES FUND-B BUY 0 Units @0.0000	0.00	4.67	0.00	4.67	88.0	4.11
10/01/2018	***-**-3749 - DEPEYSTER, ACCOUNT #: 08190127726	MFS HIGH YIELD OPPORTUNITIES FUND-B BUY 0 Units @0.0000	0.00	0.80	0.00	0.80	88.0	0.70
10/01/2018	***-**-39IO - GUARNIERO, FBO ACCOUNT #: 08191309494	MFS HIGH YIELD OPPORTUNITIES FUND-B BUY 0 Units @0.0000	0.00	0.15	0.00	0.15	88.0	0.13
10/01/2018	***-**-1855 - WILLIAMSON, ACCOUNT #: 08191308008	MFS HIGH YIELD OPPORTUNITIES FUND-C BUY 0 Units @0.0000	0.00	1.35	0.00	1.35	88.0	1.19
10/01/2018	***-**-75IN - MANNING, JEFFREY ACCOUNT #: 08190129582	MFS INFLATION ADJUSTED BOND CL B BUY 0 Units @0.0000	0.00	0.90	0.00	0.90	88.0	0.79
10/01/2018	***-**-213I - GRUENEWALD, ACCOUNT #: 08190131132	MFS INFLATION ADJUSTED BOND CL B BUY 0 Units @0.0000	0.00	0.82	0.00	0.82	88.0	0.72
10/01/2018	***-**-7116 - PREVOST, SANDRA ACCOUNT #: 08191191385	MFS INFLATION ADJUSTED BOND CL B BUY 0 Units @0.0000	0.00	0.97	0.00	0.97	88.0	0.85
10/01/2018	***-**-844I - ROSS, VALERIE ACCOUNT #: 08191197798	MFS INFLATION ADJUSTED BOND CL B BUY 0 Units @0.0000	0.00	1.68	0.00	1.68	88.0	1.48
10/01/2018	***-**-524I - SCALISE, JOSEPH ACCOUNT #: 08191202574	MFS INFLATION ADJUSTED BOND CL B BUY 0 Units @0.0000	0.00	0.29	0.00	0.29	88.0	0.26
10/01/2018	***-**-80IN - CURRIERE, LAURA ACCOUNT #: 08191216642	MFS INFLATION ADJUSTED BOND CL B BUY 0 Units @0.0000	0.00	0.08	0.00	0.08	88.0	0.07
10/01/2018	***-**-6988 - TOOKE, LISA ACCOUNT #: 08191218269	MFS INFLATION ADJUSTED BOND CL B BUY 0 Units @0.0000	0.00	0.45	0.00	0.45	88.0	0.40
10/01/2018	***-**-48IO - ANACKER, FBO MRS ACCOUNT #: 08191221209	MFS INFLATION ADJUSTED BOND CL B BUY 0 Units @0.0000	0.00	0.17	0.00	0.17	88.0	0.15



COMMISSION STATEMENT

October 15, 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)								
10/01/2018	***-**-728I - BYWATER, KIM ACCOUNT #: 08191226548	MFS INFLATION ADJUSTED BOND CL B BUY 0 Units @0.0000	0.00	0.10	0.00	0.10	88.0	0.09
10/01/2018	***-**-473I - HUSTON, ACCOUNT #: 08191353972	MFS INFLATION ADJUSTED BOND CL B BUY 0 Units @0.0000	0.00	0.59	0.00	0.59	88.0	0.52
10/01/2018	***-**-439I - MCCARTHY, JAMES ACCOUNT #: 08190124895	MFS INFLATION ADJUSTED BOND CL C BUY 0 Units @0.0000	0.00	3.10	0.00	3.10	88.0	2.73
10/01/2018	***-**-84IN - WARMUTH, ERIC ACCOUNT #: 00060639189	MFS INFLATION ADJUSTED BOND FUND-A BUY 0 Units @0.0000	0.00	1.11	0.00	1.11	88.0	0.98
10/01/2018	***-**-26IN - GRANDE, MR ACCOUNT #: 08191260232	MFS INTERNATIONAL NEW DISCOVERY CL BUY 0 Units @0.0000	0.00	3.47	0.00	3.47	88.0	3.05
10/01/2018	***-**-0767 - DOVI, ACCOUNT #: 00060641009	MFS INTERNATIONAL NEW DISCOVERY FUN BUY 0 Units @0.0000	0.00	0.92	0.00	0.92	88.0	0.81
10/01/2018	***-**-2483 - TURNBULL, ACCOUNT #: 00060641010	MFS INTERNATIONAL NEW DISCOVERY FUN BUY 0 Units @0.0000	0.00	2.26	0.00	2.26	88.0	1.99
10/01/2018	***-**-7617 - ESCHE, BEVERLY ACCOUNT #: 00060641013	MFS INTERNATIONAL NEW DISCOVERY FUN BUY 0 Units @0.0000	0.00	0.25	0.00	0.25	88.0	0.22
10/01/2018	***-**-111J - NESSIA, JAMES ACCOUNT #: 08190126843	MFS INTERNATIONAL NEW DISCOVERY FUN BUY 0 Units @0.0000	0.00	2.18	0.00	2.18	88.0	1.92
10/01/2018	***-**-7617 - ESCHE, BEVERLY ACCOUNT #: 08191154979	MFS INTERNATIONAL NEW DISCOVERY FUN BUY 0 Units @0.0000	0.00	1.35	0.00	1.35	88.0	1.19
10/01/2018	***-**-06IN - SATTERLY, ACCOUNT #: 08191173302	MFS INTERNATIONAL NEW DISCOVERY FUN BUY 0 Units @0.0000	0.00	0.29	0.00	0.29	88.0	0.26
10/01/2018	***-**-21IR - SATTERLY, ANDREW ACCOUNT #: 08191173305	MFS INTERNATIONAL NEW DISCOVERY FUN BUY 0 Units @0.0000	0.00	0.30	0.00	0.30	88.0	0.26
10/01/2018	***-**-094I - CIRILLO, CARL ACCOUNT #: 08191173445	MFS INTERNATIONAL NEW DISCOVERY FUN BUY 0 Units @0.0000	0.00	2.46	0.00	2.46	88.0	2.16
10/01/2018	***-**-671I - EBERLEY, REID ACCOUNT #: 08191175793	MFS INTERNATIONAL NEW DISCOVERY FUN BUY 0 Units @0.0000	0.00	2.11	0.00	2.11	88.0	1.86
10/01/2018	***-**-9839 - YADDAW, DAVID ACCOUNT #: 08191183793	MFS INTERNATIONAL NEW DISCOVERY FUN BUY 0 Units @0.0000	0.00	2.06	0.00	2.06	88.0	1.81
10/01/2018	***-**-844I - ROSS, VALERIE ACCOUNT #: 08191197798	MFS INTERNATIONAL NEW DISCOVERY FUN BUY 0 Units @0.0000	0.00	4.89	0.00	4.89	88.0	4.30



COMMISSION STATEMENT

October 15, 2018

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BRANCH #01047 - 47 - GRIFFITH

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 OVERRIDE TRANSACTIONS (continued) 								
 BROKER: KURT GRUENEWALD (continued) 								
10/01/2018	***-**-728I - BYWATER, KIM	MFS INTERNATIONAL NEW DISCOVERY FUN	0.00	0.32	0.00	0.32	88.0	0.28
	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	88.0	2.80
	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	88.0	0.16
	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	88.0	0.72
	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	88.0	0.32
	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	88.0	0.97
	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	88.0	1.24
	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	88.0	1.27
	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	88.0	0.05
	ACCOUNT #: 00060671658	BUY 0 Units @0.0000						
09/28/2018	***-**-13IN - RHYMESTINE,	MFS INTERNATIONAL VALUE FUND-B	100.00	4.00	0.00	4.00	88.0	3.52
	ACCOUNT #: 08191178476	BUY 2 Units @41.7200						
10/01/2018	***-**-439I - MCCARTHY, JAMES	MFS INTERNATIONAL VALUE FUND-B	0.00	0.83	0.00	0.83	88.0	0.73
	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	88.0	2.41
	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	88.0	7.92
	ACCOUNT #: 08191178476	BUY 0 Units @0.0000						
10/01/2018	***-**-3420 - KOCHER, DENISE	MFS INTERNATIONAL VALUE FUND-B	0.00	1.18	0.00	1.18	88.0	1.04
	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	88.0	2.36
	ACCOUNT #: 08191191385	BUY 0 Units @0.0000						
10/01/2018	***-**-09IN - BATES, CHRISTINE	MFS INTERNATIONAL VALUE FUND-B	0.00	4.92	0.00	4.92	88.0	4.33
	ACCOUNT #: 08191196034	BUY 0 Units @0.0000						



COMMISSION STATEMENT

October 15, 2018

DAVID GRIFFITH
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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>								
10/01/2018	***-**-37IN - PFAFF, JOAN	MFS INTERNATIONAL VALUE FUND-B	0.00	7.12	0.00	7.12	88.0	6.27
	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	88.0	2.83
	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	88.0	1.47
	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	88.0	3.46
	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	88.0	1.30
	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	88.0	1.06
	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	88.0	1.07
	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	88.0	1.37
	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	88.0	0.31
	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	88.0	0.48
	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	88.0	1.21
	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	88.0	1.32
	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	88.0	4.78
	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	88.0	0.27
	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	88.0	6.55
	ACCOUNT #: 08191218057	BUY 0 Units @0.0000						
10/01/2018	***-**-48IO - ANACKER, FBO MRS	MFS NEW DISCOVERY FUND-B	0.00	1.76	0.00	1.76	88.0	1.55
	ACCOUNT #: 08191221209	BUY 0 Units @0.0000						



COMMISSION STATEMENT

October 15, 2018

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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> 								
10/01/2018	***-**-058I - ROBBIANO, SARAH	MFS NEW DISCOVERY FUND-B	0.00	0.19	0.00	0.19	88.0	0.17
	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	88.0	1.86
	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	88.0	0.35
	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	88.0	0.32
	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	88.0	0.53
	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	88.0	0.17
	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	88.0	0.01
	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	88.0	0.23
	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	88.0	0.65
	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	88.0	0.96
	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	88.0	0.78
	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	88.0	0.30
	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	88.0	0.18
	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	88.0	0.78
	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	88.0	1.71
	ACCOUNT #: 08191197798	BUY 0 Units @0.0000						
10/01/2018	***-**-466I - MCCLUSKY, YVONNE	MFS RESEARCH FUND-A	0.00	0.84	0.00	0.84	88.0	0.74
	ACCOUNT #: 00060670643	BUY 0 Units @0.0000						



COMMISSION STATEMENT

October 15, 2018

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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>								
10/01/2018	***-**-3932 - CARSON, DAVID	MFS RESEARCH FUND-A	0.00	0.03	0.00	0.03	88.0	0.03
	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	88.0	1.16
	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	88.0	1.36
	ACCOUNT #: 08191168388	BUY 0 Units @0.0000						
10/01/2018	***-**-13IN - RHYMESTINE,	MFS RESEARCH FUND-B	0.00	1.04	0.00	1.04	88.0	0.92
	ACCOUNT #: 08191178476	BUY 0 Units @0.0000						
10/01/2018	***-**-3420 - KOICHEM, DENISE	MFS RESEARCH FUND-B	0.00	0.63	0.00	0.63	88.0	0.55
	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	88.0	1.17
	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	88.0	1.11
	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	88.0	4.34
	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	88.0	1.96
	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	88.0	2.75
	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	88.0	1.45
	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	88.0	2.23
	ACCOUNT #: 08190126843	BUY 0 Units @0.0000						
10/01/2018	***-**-2603 - MASTRANGELO,	MFS TECHNOLOGY FUND-B	0.00	0.83	0.00	0.83	88.0	0.73
	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	88.0	1.56
	ACCOUNT #: 08190130131	BUY 0 Units @0.0000						
10/01/2018	***-**-213I - GRUENEWALD,	MFS TECHNOLOGY FUND-B	0.00	3.20	0.00	3.20	88.0	2.82
	ACCOUNT #: 08190131132	BUY 0 Units @0.0000						
10/01/2018	***-**-06IN - SATTERLY,	MFS TECHNOLOGY FUND-B	0.00	0.99	0.00	0.99	88.0	0.87
	ACCOUNT #: 08191173302	BUY 0 Units @0.0000						



COMMISSION STATEMENT

October 15, 2018

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 OVERRIDE TRANSACTIONS (continued)								
 <u>BROKER: KURT GRUENEWALD (continued)</u>								
10/01/2018	***-**-094I - CIRILLO, CARL	MFS TECHNOLOGY FUND-B	0.00	3.70	0.00	3.70	88.0	3.26
	ACCOUNT #: 08191173445	BUY 0 Units @0.0000						
10/01/2018	***-**-80IN - CURRIERE, LAURA	MFS TECHNOLOGY FUND-B	0.00	0.56	0.00	0.56	88.0	0.49
	ACCOUNT #: 08191216642	BUY 0 Units @0.0000						
10/01/2018	***-**-6988 - TOOKE, LISA	MFS TECHNOLOGY FUND-B	0.00	2.89	0.00	2.89	88.0	2.54
	ACCOUNT #: 08191218269	BUY 0 Units @0.0000						
10/01/2018	***-**-48IO - ANACKER, FBO MRS	MFS TECHNOLOGY FUND-B	0.00	1.66	0.00	1.66	88.0	1.46
	ACCOUNT #: 08191221209	BUY 0 Units @0.0000						
10/01/2018	***-**-5384 - GURDO, JESSICA	MFS TECHNOLOGY FUND-B	0.00	0.82	0.00	0.82	88.0	0.72
	ACCOUNT #: 08191233759	BUY 0 Units @0.0000						
10/01/2018	***-**-058I - ROBBIANO, SARAH	MFS TECHNOLOGY FUND-B	0.00	0.67	0.00	0.67	88.0	0.59
	ACCOUNT #: 08191291666	BUY 0 Units @0.0000						
10/01/2018	***-**-14IN - LINES, JUDITH	MFS TECHNOLOGY FUND-B	0.00	1.42	0.00	1.42	88.0	1.25
	ACCOUNT #: 08191291668	BUY 0 Units @0.0000						
10/01/2018	***-**-39IO - GUARNIERO, FBO	MFS TECHNOLOGY FUND-B	0.00	0.87	0.00	0.87	88.0	0.77
	ACCOUNT #: 08191309494	BUY 0 Units @0.0000						
10/01/2018	***-**-724I - BLISS, RYAN	MFS TECHNOLOGY FUND-B	0.00	5.40	0.00	5.40	88.0	4.75
	ACCOUNT #: 08191352733	BUY 0 Units @0.0000						
10/01/2018	***-**-606I - LEWIS, TAMARA	MFS TECHNOLOGY FUND-B	0.00	0.54	0.00	0.54	88.0	0.48
	ACCOUNT #: 08191352846	BUY 0 Units @0.0000						
10/01/2018	***-**-439J - MCCARTHY, JAMES	MFS TOTAL RETURN FUND-A	0.00	0.26	0.00	0.26	88.0	0.23
	ACCOUNT #: 00060638905	BUY 0 Units @0.0000						
10/01/2018	***-**-861I - SANGER, LAWRENCE	MFS TOTAL RETURN FUND-A	0.00	0.30	0.00	0.30	88.0	0.26
	ACCOUNT #: 00060640581	BUY 0 Units @0.0000						
10/01/2018	***-**-0767 - DOVI,	MFS TOTAL RETURN FUND-A	0.00	1.73	0.00	1.73	88.0	1.52
	ACCOUNT #: 00060640926	BUY 0 Units @0.0000						
10/01/2018	***-**-2483 - TURNBULL,	MFS TOTAL RETURN FUND-A	0.00	1.03	0.00	1.03	88.0	0.91
	ACCOUNT #: 00060640928	BUY 0 Units @0.0000						
10/01/2018	***-**-237I - MCCLUSKY, MARK	MFS TOTAL RETURN FUND-A	0.00	2.19	0.00	2.19	88.0	1.93
	ACCOUNT #: 00060670657	BUY 0 Units @0.0000						
10/01/2018	***-**-111J - NESSIA, JAMES	MFS TOTAL RETURN FUND-A	0.00	1.53	0.00	1.53	88.0	1.35
	ACCOUNT #: 00060671014	BUY 0 Units @0.0000						



COMMISSION STATEMENT

October 15, 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>								
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	88.0	1.76
10/01/2018	***-**-439I - MCCARTHY, JAMES ACCOUNT #: 08190124895	MFS TOTAL RETURN FUND-B BUY 0 Units @0.0000	0.00	1.59	0.00	1.59	88.0	1.40
10/01/2018	***-**-111J - NESSIA, JAMES ACCOUNT #: 08190126843	MFS TOTAL RETURN FUND-B BUY 0 Units @0.0000	0.00	2.21	0.00	2.21	88.0	1.94
10/01/2018	***-**-861I - SANGER, LAWRENCE ACCOUNT #: 08191153495	MFS TOTAL RETURN FUND-B BUY 0 Units @0.0000	0.00	0.13	0.00	0.13	88.0	0.11
10/01/2018	***-**-094I - CIRILLO, CARL ACCOUNT #: 08191173445	MFS TOTAL RETURN FUND-B BUY 0 Units @0.0000	0.00	4.88	0.00	4.88	88.0	4.29
10/01/2018	***-**-671I - EBERLEY, REID ACCOUNT #: 08191175793	MFS TOTAL RETURN FUND-B BUY 0 Units @0.0000	0.00	3.54	0.00	3.54	88.0	3.12
10/01/2018	***-**-13IN - RHYMESTINE, ACCOUNT #: 08191178476	MFS TOTAL RETURN FUND-B BUY 0 Units @0.0000	0.00	4.65	0.00	4.65	88.0	4.09
10/01/2018	***-**-3420 - KOCHER, DENISE ACCOUNT #: 08191179076	MFS TOTAL RETURN FUND-B BUY 0 Units @0.0000	0.00	0.98	0.00	0.98	88.0	0.86
10/01/2018	***-**-9839 - YADDAW, DAVID ACCOUNT #: 08191183793	MFS TOTAL RETURN FUND-B BUY 0 Units @0.0000	0.00	4.01	0.00	4.01	88.0	3.53
10/01/2018	***-**-1491 - GUNN, EDWARD ACCOUNT #: 08191184927	MFS TOTAL RETURN FUND-B BUY 0 Units @0.0000	0.00	0.97	0.00	0.97	88.0	0.85
10/01/2018	***-**-7116 - PREVOST, SANDRA ACCOUNT #: 08191191385	MFS TOTAL RETURN FUND-B BUY 0 Units @0.0000	0.00	1.67	0.00	1.67	88.0	1.47
10/01/2018	***-**-09IN - BATES, CHRISTINE ACCOUNT #: 08191196034	MFS TOTAL RETURN FUND-B BUY 0 Units @0.0000	0.00	4.50	0.00	4.50	88.0	3.96
10/01/2018	***-**-844I - ROSS, VALERIE ACCOUNT #: 08191197798	MFS TOTAL RETURN FUND-B BUY 0 Units @0.0000	0.00	6.25	0.00	6.25	88.0	5.50
10/01/2018	***-**-37IN - PFAFF, JOAN ACCOUNT #: 08191218057	MFS TOTAL RETURN FUND-B BUY 0 Units @0.0000	0.00	6.26	0.00	6.26	88.0	5.51
10/01/2018	***-**-5384 - GURDO, JESSICA ACCOUNT #: 08191233759	MFS TOTAL RETURN FUND-B BUY 0 Units @0.0000	0.00	0.37	0.00	0.37	88.0	0.33
10/01/2018	***-**-14IN - LINES, JUDITH ACCOUNT #: 08191291668	MFS TOTAL RETURN FUND-B BUY 0 Units @0.0000	0.00	0.79	0.00	0.79	88.0	0.70



COMMISSION STATEMENT

October 15, 2018

DAVID GRIFFITH
2108 Genesee St.
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BRANCH #01047 - 47 - GRIFFITH

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 OVERRIDE TRANSACTIONS (continued)								
 <u>BROKER: KURT GRUENEWALD (continued)</u>								
10/01/2018	***-**-1855 - WILLIAMSON, ACCOUNT #: 08191308008	MFS TRAILS 55273G710 BUY 0 Units @0.0000	0.00	4.95	0.00	4.95	88.0	4.36
10/01/2018	***-**-881I - EBERLEY, SUSAN ACCOUNT #: 08191326411	MFS TRAILS 552988610 BUY 0 Units @0.0000	0.00	2.85	0.00	2.85	88.0	2.51
10/01/2018	***-**-881I - EBERLEY, SUSAN ACCOUNT #: 08191326411	MFS TRAILS 552989600 BUY 0 Units @0.0000	0.00	2.31	0.00	2.31	88.0	2.03
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	88.0	0.62
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	88.0	3.00
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	88.0	0.95
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	88.0	0.49
10/01/2018	***-**-0767 - DOVI, ACCOUNT #: 00060640984	MFS UTILITIES FUND-A BUY 0 Units @0.0000	0.00	0.96	0.00	0.96	88.0	0.84
10/01/2018	***-**-2483 - TURNBULL, ACCOUNT #: 00060640985	MFS UTILITIES FUND-A BUY 0 Units @0.0000	0.00	1.73	0.00	1.73	88.0	1.52
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	88.0	0.41
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	88.0	1.03
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	88.0	1.43
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	88.0	0.55
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	88.0	0.78
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	88.0	0.71
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	88.0	0.05



COMMISSION STATEMENT

October 15, 2018

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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> 								
10/01/2018	***-**-439I - MCCARTHY, JAMES	MFS UTILITIES FUND-B	0.00	1.38	0.00	1.38	88.0	1.21
	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	88.0	1.02
	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	88.0	2.45
	ACCOUNT #: 08190127967	BUY 0 Units @0.0000						
10/01/2018	***-**-2603 - MASTRANGELO,	MFS UTILITIES FUND-B	0.00	0.42	0.00	0.42	88.0	0.37
	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	88.0	1.08
	ACCOUNT #: 08190130131	BUY 0 Units @0.0000						
10/01/2018	***-**-31IN - WARMUTH,	MFS UTILITIES FUND-B	0.00	1.79	0.00	1.79	88.0	1.58
	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	88.0	0.20
	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	88.0	3.14
	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	88.0	0.05
	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	88.0	2.92
	ACCOUNT #: 08191168388	BUY 0 Units @0.0000						
10/01/2018	***-**-06IN - SATTERLY,	MFS UTILITIES FUND-B	0.00	0.31	0.00	0.31	88.0	0.27
	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	88.0	0.62
	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	88.0	3.03
	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	88.0	1.83
	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	88.0	1.62
	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	88.0	3.92
	ACCOUNT #: 08191196034	BUY 0 Units @0.0000						



COMMISSION STATEMENT

October 15, 2018

DAVID GRIFFITH
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Utica, NY 13502

BROKER #: A76
BRANCH #01047 - 47 - GRIFFITH

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 OVERRIDE TRANSACTIONS (continued)								
 <u>BROKER: KURT GRUENEWALD (continued)</u>								
10/01/2018	***-**-844I - ROSS, VALERIE	MFS UTILITIES FUND-B	0.00	8.01	0.00	8.01	88.0	7.05
	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	88.0	0.63
	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	88.0	0.47
	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	88.0	5.82
	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	88.0	1.19
	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	88.0	0.86
	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	88.0	0.26
	ACCOUNT #: 08191226548	BUY 0 Units @0.0000						
10/01/2018	***-**-213I - GRUENEWALD,	MFS UTILITIES FUND-B	0.00	0.81	0.00	0.81	88.0	0.71
	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	88.0	0.12
	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	88.0	2.91
	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	88.0	0.15
	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	88.0	0.32
	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	88.0	0.78
	ACCOUNT #: 08191352846	BUY 0 Units @0.0000						
10/01/2018	***-**-473I - HUSTON,	MFS UTILITIES FUND-B	0.00	1.08	0.00	1.08	88.0	0.95
	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	88.0	3.58
	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	88.0	3.14
	ACCOUNT #: 08191326411	BUY 0 Units @0.0000						



COMMISSION STATEMENT

October 15, 2018

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Utica, NY 13502

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BRANCH #01047 - 47 - GRIFFITH

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<u> OVERRIDE TRANSACTIONS (continued) </u>								
<u> BROKER: KURT GRUENEWALD (continued) </u>								
09/29/2018	***-**-00IO - LEE, GARY	NATIONWIDE CUSIP 63890A108-NSCC	0.00	198.89	0.00	198.89	88.0	175.02
	ACCOUNT #: 016295228	BUY 0 Units @0.0000						
10/15/2018	***-**-944O - MAYO, DEBORAH	NEW YORK 529 TRAILS	0.00	7.42	0.00	7.42	88.0	6.53
	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	88.0	25.28
	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	88.0	0.71
	ACCOUNT #: 77237884701	BUY 0 Units @0.0000						
10/15/2018	***-**-0069 - KRECIDLO,	NEW YORK 529 TRAILS	0.00	2.01	0.00	2.01	88.0	1.77
	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	88.0	2.81
		BUY 0 Units @0.0000						
10/15/2018	***-**-5384 - GURDO, JESSICA	NEW YORK 529 TRAILS	0.00	0.48	0.00	0.48	88.0	0.42
		BUY 0 Units @0.0000						
10/15/2018	***-**-0767 - DOVI,	NEW YORK 529 TRAILS	0.00	0.94	0.00	0.94	88.0	0.83
	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	88.0	30.81
	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	88.0	1.75
	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	88.0	0.67
	ACCOUNT #: 77830931201	BUY 0 Units @0.0000						
10/15/2018	***-**-473J - HUSTON,	NEW YORK 529 TRAILS	0.00	15.85	0.00	15.85	88.0	13.95
	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	88.0	0.90
	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	88.0	0.44
	ACCOUNT #: 77885699801	BUY 0 Units @0.0000						
10/15/2018	***-**-614J - BUSHEY, MATTHEW	NY 529 ADDITIONAL DEPOSIT	94.77	4.75	0.00	4.75	88.0	4.18
		BUY 0 Units @0.0000						
09/26/2018	***-**-633J -	OPP PORT SERIES: ACTIVE ALLOC A	2,395.87	113.80	0.00	113.80	88.0	100.14
	ACCOUNT #: 05502871176	BUY 0 Units @0.0000						



COMMISSION STATEMENT

October 15, 2018

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 OVERRIDE TRANSACTIONS (continued)								
 <u>BROKER: KURT GRUENEWALD (continued)</u>								
09/18/2018	***-**-775I - BLISS, APRIL	OPPENHEIMER ACTIVE ALLOCATION FUND	90.98	0.91	0.00	0.91	88.0	0.80
	ACCOUNT #: 05521022692	BUY 0 Units @0.0000						
09/24/2018	***-**-13IN - BLISS, PATRICK	OPPENHEIMER ACTIVE ALLOCATION FUND	75.00	0.75	0.00	0.75	88.0	0.66
	ACCOUNT #: 05521022681	BUY 0 Units @0.0000						
09/24/2018	***-**-48JT - LEE, DARLENE	OPPENHEIMER ACTIVE ALLOCATION FUND	50.00	0.50	0.00	0.50	88.0	0.44
	ACCOUNT #: 05521043603	BUY 0 Units @0.0000						
09/24/2018	***-**-48JT - LEE, DARLENE	OPPENHEIMER INTERNATIONAL DIVERSIFI	50.00	0.50	0.00	0.50	88.0	0.44
	ACCOUNT #: 01971019612	BUY 0 Units @0.0000						
09/26/2018	***-**-633J -	OPPENHEIMER INTERNATIONAL DIVERSIFI	2,395.87	113.80	0.00	113.80	88.0	100.14
	ACCOUNT #: 01953330426	BUY 0 Units @0.0000						
09/26/2018	***-**-633J -	OPPENHEIMER SMALL & MID CAP VALUE F	2,395.87	113.80	0.00	113.80	88.0	100.14
	ACCOUNT #: 02514987422	BUY 0 Units @0.0000						
10/01/2018	***-**-8126 - MCCARTHY, BRIANN	PACIFIC LIFE SE5-NYB DTCC	35.92	1.08	0.00	1.08	88.0	0.95
	ACCOUNT #: VP71028570	BUY 0 Units @0.0000						
10/02/2018	***-**-8126 - MCCARTHY, BRIANN	PACIFIC LIFE SE5-NYB DTCC	0.00	0.57	0.00	0.57	88.0	0.50
	ACCOUNT #: VP71028570	BUY 0 Units @0.0000						
10/01/2018	***-**-111J - NESSIA, JAMES	PUTNAM 1	0.00	1.09	0.00	1.09	88.0	0.96
	ACCOUNT #: 00551414554	BUY 0 Units @0.0000						
10/01/2018	***-**-12IN - GORMAN, MELINDA	PUTNAM 746764554	0.00	2.78	0.00	2.78	88.0	2.45
	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	88.0	0.10
	ACCOUNT #: 00551376109	BUY 0 Units @0.0000						
10/01/2018	***-**-63IN - LASCALA, DEBORAH	PUTNAM ABSOLUTE RETURN 700-A	0.00	1.50	0.00	1.50	88.0	1.32
	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	88.0	0.44
	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	88.0	10.16
	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	88.0	0.18
	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	88.0	1.03
	ACCOUNT #: 00551414554	BUY 0 Units @0.0000						



COMMISSION STATEMENT

October 15, 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> 								
10/01/2018	***-**-49IN - GUARDI, LINDA	PUTNAM CAPITAL SPECTRUM FUND CL A	0.00	0.94	0.00	0.94	88.0	0.83
	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	88.0	0.59
	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	88.0	2.32
	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	88.0	0.73
	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	88.0	2.08
	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	88.0	0.71
	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	88.0	0.32
	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	88.0	1.29
	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	88.0	8.62
	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	88.0	6.27
	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	88.0	0.18
	ACCOUNT #: 00551376109	BUY 0 Units @0.0000						
10/01/2018	***-**-111J - NESSIA, JAMES	PUTNAM HEALTH SCIENCES TR-B	0.00	0.65	0.00	0.65	88.0	0.57
	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	88.0	0.28
	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	88.0	0.19
	ACCOUNT #: 00551376109	BUY 0 Units @0.0000						
10/01/2018	***-**-12IN - GORMAN, MELINDA	PUTNAM MF COMP	0.00	1.37	0.00	1.37	88.0	1.21
	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	88.0	2.44
	ACCOUNT #: 00426855622	BUY 0 Units @0.0000						



COMMISSION STATEMENT

October 15, 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> 								
10/01/2018	***-**-91UT - BYWATER, CAROLYN	PUTNAM MULTI-CAP CORE FUND CL A	0.00	0.86	0.00	0.86	88.0	0.76
	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	88.0	0.77
	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	88.0	5.82
	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	88.0	0.74
	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	88.0	0.19
	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	88.0	0.41
	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	88.0	0.50
	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	88.0	1.28
	ACCOUNT #: 00551376109	BUY 0 Units @0.0000						
10/09/2018	***-**-79TR - OR CYNTHIA	STEIN MART INC COM	2,290.00	31.99	0.00	31.99	88.0	28.15
	ACCOUNT #: LSR012749	BUY 1000 Units @2.2900						
* KURT GRUENEWALD SUBTOTAL *			<u>\$26,265.55</u>	<u>\$2,307.99</u>	<u>\$0.00</u>	<u>\$2,307.99</u>		<u>\$2,030.97</u>
*** OVERRIDE TRANSACTIONS TOTAL ***			<u>\$26,265.55</u>	<u>\$2,307.99</u>	<u>\$0.00</u>	<u>\$2,307.99</u>		<u>\$2,030.97</u>



BROKER #: A76
BRANCH #01047 - 47 - GRIFFITH

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
BROKER COMMISSION TOTALS								
						Broker Transactions		\$2,541.68
						Split Transactions		\$0.00
						Override Transactions		\$2,030.97
						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		\$4,572.65
						Year-to-date Earnings		\$220,242.76