



COMMISSION STATEMENT

July 09, 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>								
06/27/2018	***-**-2642 - BROWN, JEFFERY	AMERICAN GLOBAL BALANCED CL C	75.00	0.75	0.00	0.75	88.0	0.66
	ACCOUNT #: 04000870734	BUY 2 Units @31.6200						
06/19/2018	***-**-11IN - MOYLAN, TIMOTHY	CAPITAL APPRECIATION C	6.76	0.07	0.00	0.07	88.0	0.06
	ACCOUNT #: 03222207458	BUY 0 Units @0.0000						
06/19/2018	***-**-11IN - MOYLAN, TIMOTHY	EQUITY INCOME FUND, INC. C	10.14	0.10	0.00	0.10	88.0	0.09
	ACCOUNT #: 08370450780	BUY 0 Units @0.0000						
06/26/2018	***-**-58IN - CADY, GAIL	EQUITY INCOME FUND, INC. C	24.00	0.24	0.00	0.24	88.0	0.21
	ACCOUNT #: 08370389048	BUY 0 Units @0.0000						
06/27/2018	***-**-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						
06/26/2018	***-**-788I - ALBARRAN, CARLOS	FUNDAMENTAL INVESTORS-C	100.00	1.00	0.00	1.00	88.0	0.88
	ACCOUNT #: 00085186008	BUY 2 Units @61.9900						
06/19/2018	***-**-11IN - MOYLAN, TIMOTHY	GLOBAL OPPORTUNITIES FUND C	6.76	0.07	0.00	0.07	88.0	0.06
	ACCOUNT #: 02171646359	BUY 0 Units @0.0000						
06/26/2018	***-**-58IN - CADY, GAIL	GLOBAL OPPORTUNITIES FUND C	16.00	0.16	0.00	0.16	88.0	0.14
	ACCOUNT #: 02171604031	BUY 0 Units @0.0000						
06/26/2018	***-**-91IN - RICHARDSON,	OPPENHEIMER CUSIP 68385X208	35.00	0.35	0.00	0.35	88.0	0.31
	ACCOUNT #: 00100011925	BUY 0 Units @0.0000						
06/26/2018	***-**-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						
06/26/2018	***-**-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						
06/26/2018	***-**-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						
06/27/2018	***-**-7473 - SCOTELLARO,	OPPENHEIMER GLBL REAL ESTATE FUND C	25.00	0.25	0.00	0.25	88.0	0.22
	ACCOUNT #: 00100018140	BUY 0 Units @0.0000						
06/19/2018	***-**-11IN - MOYLAN, TIMOTHY	OPPENHEIMER GLOBAL CLASS C	3.38	0.03	0.00	0.03	88.0	0.03
	ACCOUNT #: 03322653882	BUY 0 Units @0.0000						
06/26/2018	***-**-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						
06/19/2018	***-**-11IN - MOYLAN, TIMOTHY	OPPENHEIMER INTERNATIONAL DIVERSIFI	13.52	0.14	0.00	0.14	88.0	0.12
	ACCOUNT #: 01970849123	BUY 0 Units @0.0000						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUNDS (continued)								
06/26/2018	***-**-58IN - CADY, GAIL	OPPENHEIMER INTERNATIONAL DIVERSIFI	24.00	0.24	0.00	0.24	88.0	0.21
	ACCOUNT #: 01970799227	BUY 0 Units @0.0000						
06/27/2018	***-**-7473 - SCOTELLARO,	OPPENHEIMER INTERNATIONAL DIVERSIFI	25.00	0.25	0.00	0.25	88.0	0.22
	ACCOUNT #: 01971001154	BUY 0 Units @0.0000						
06/19/2018	***-**-11IN - MOYLAN, TIMOTHY	OPPENHEIMER RISING DIVIDENDS FUND C	13.52	0.14	0.00	0.14	88.0	0.12
	ACCOUNT #: 02270899503	BUY 0 Units @0.0000						
06/26/2018	***-**-58IN - CADY, GAIL	OPPENHEIMER RISING DIVIDENDS FUND C	24.00	0.24	0.00	0.24	88.0	0.21
	ACCOUNT #: 02270806520	BUY 0 Units @0.0000						
06/26/2018	***-**-58IN - CADY, GAIL	QUEST BALANCED FUND C	24.00	0.24	0.00	0.24	88.0	0.21
	ACCOUNT #: 02592245914	BUY 0 Units @0.0000						
06/19/2018	***-**-11IN - MOYLAN, TIMOTHY	QUEST INTERNATIONAL VALUE FUND, INC	6.76	0.07	0.00	0.07	88.0	0.06
	ACCOUNT #: 02560289795	BUY 0 Units @0.0000						
06/26/2018	***-**-58IN - CADY, GAIL	QUEST INTERNATIONAL VALUE FUND, INC	16.00	0.16	0.00	0.16	88.0	0.14
	ACCOUNT #: 02560282953	BUY 0 Units @0.0000						
06/19/2018	***-**-11IN - MOYLAN, TIMOTHY	REAL ESTATE FUND C	6.76	0.07	0.00	0.07	88.0	0.06
	ACCOUNT #: 05920286891	BUY 0 Units @0.0000						
06/26/2018	***-**-58IN - CADY, GAIL	REAL ESTATE FUND C	16.00	0.16	0.00	0.16	88.0	0.14
	ACCOUNT #: 05920265584	BUY 0 Units @0.0000						
06/26/2018	***-**-58IN - CADY, GAIL	SMALL- & MID- CAP VALUE FUND C	16.00	0.16	0.00	0.16	88.0	0.14
	ACCOUNT #: 02531131966	BUY 0 Units @0.0000						
06/27/2018	***-**-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						
06/25/2018	***-**-469I - HAUCK, JUDITH	THE INCOME FUND OF AMERICA-A	350.00	7.00	0.00	7.00	88.0	6.16
	ACCOUNT #: 00087147439	BUY 15 Units @23.2000						
06/25/2018	***-**-469I - HAUCK, JUDITH	THE INCOME FUND OF AMERICA-A	98.08	1.96	0.00	1.96	88.0	1.72
	ACCOUNT #: 00087147439	BUY 4 Units @23.2000						
06/28/2018	***-**-469I - HAUCK, JUDITH	THE INCOME FUND OF AMERICA-A	350.00	7.00	0.00	7.00	88.0	6.16
	ACCOUNT #: 00087147439	BUY 15 Units @23.2100						
06/28/2018	***-**-469I - HAUCK, JUDITH	THE INCOME FUND OF AMERICA-A	98.08	1.96	0.00	1.96	88.0	1.72
	ACCOUNT #: 00087147439	BUY 4 Units @23.2100						
* MUTUAL FUNDS SUBTOTAL *			\$1,573.76	\$24.71	\$0.00	\$24.71		\$21.73



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<u>BROKER TRANSACTIONS (continued)</u>								
<u>PRODUCT CATEGORY: VARIABLE ANNUITY 12B1 TRAILS</u>								
06/29/2018	***-**-03IN - BOSHART, PEGGY	AXA CUSIP 29452T645-NSCC	0.00	44.18	0.00	44.18	88.0	38.88
	ACCOUNT #: 303613057	BUY 0 Units @0.0000						
06/30/2018	***-**-69IN - DAVIS, BRUCE	LINCOLN FIN 533785564	0.00	31.70	0.00	31.70	88.0	27.90
	ACCOUNT #: 951030177	BUY 0 Units @0.0000						
06/30/2018	***-**-93JT - WADSWORTH,	LINCOLN FIN VA TRAILS 533785101	0.00	22.13	0.00	22.13	88.0	19.47
	ACCOUNT #: 951031290	BUY 0 Units @0.0000						
* VARIABLE ANNUITY 12B1 TRAILS SUBTOTAL *			\$0.00	\$98.01	\$0.00	\$98.01		\$86.25
*** BROKER TRANSACTIONS TOTAL ***			\$1,573.76	\$122.72	\$0.00	\$122.72		\$107.98

VERRIDE TRANSACTIONS

BROKER: KURT GRUENEWALD

06/29/2018	***-**-973I - LABAYEWSKI,	41659Q159	0.00	68.54	0.00	68.54	88.0	60.32
	ACCOUNT #: 712686815	BUY 0 Units @0.0000						
06/29/2018	***-**-117I - LABAYEWSKI,	41659Q159	0.00	84.57	0.00	84.57	88.0	74.42
	ACCOUNT #: 712688346	BUY 0 Units @0.0000						
07/02/2018	***-**-31IO - JOSEPH, ANN	AMERICAN MUTUAL FUND-C	8,500.00	85.00	0.00	85.00	88.0	74.80
	ACCOUNT #: LSR012337	BUY 212 Units @40.0900						
07/02/2018	***-**-726I - YADDAW, DEBRA	AMERICAN MUTUAL FUND-C	10,000.01	100.00	0.00	100.00	88.0	88.00
	ACCOUNT #: LSR012338	BUY 249 Units @40.0900						
07/02/2018	***-**-513I - RHYMESTINE,	AMERICAN MUTUAL FUND-C	8,500.00	85.00	0.00	85.00	88.0	74.80
	ACCOUNT #: LSR012457	BUY 212 Units @40.0900						
06/26/2018	***-**-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						
06/19/2018	***-**-930J - SANGER, KEVIN	CION ARES DIVERSIFIED CREDIT FND -C	10,000.00	100.00	0.00	100.00	88.0	88.00
		BUY 10 Units @1000.0000						
07/05/2018	***-**-376I - BERBEN, GAIL	EATON VANCE FLOATING RATE ADVANTAGE	10,000.00	100.00	0.00	100.00	88.0	88.00
	ACCOUNT #: LSR011380	BUY 919 Units @10.8800						
06/26/2018	***-**-633J -	EQUITY INCOME FUND, INC. A	175.00	8.31	0.00	8.31	88.0	7.31
	ACCOUNT #: 08353229688	BUY 0 Units @0.0000						
06/26/2018	***-**-8901 - GURDO, ANTHONY	FUNDAMENTAL INVESTORS-C	150.00	1.50	0.00	1.50	88.0	1.32
	ACCOUNT #: 00087491111	BUY 2 Units @61.9900						



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 OVERRIDE TRANSACTIONS (continued)								
 <u>BROKER: KURT GRUENEWALD (continued)</u>								
06/29/2018	***-**-930J - SANGER, KEVIN ACCOUNT #: LSR010940	GENESIS HEALTHCARE INC CL A COM ISI BUY 1500 Units @2.2950	3,442.50	9.99	0.00	9.99	88.0	8.79
06/26/2018	***-**-65CL - GRUENEWALD, K, ACCOUNT #: 02171825219	GLOBAL OPPORTUNITIES FUND C BUY 0 Units @0.0000	50.00	0.50	0.00	0.50	88.0	0.44
06/19/2018	***-**-930J - SANGER, KEVIN	GWG L BOND - 7 YR BUY 25 Units @1000.0000	25,000.00	1,500.00	0.00	1,500.00	88.0	1,320.00
06/19/2018	***-**-930J - SANGER, KEVIN	GWG L BOND - 2YR BUY 15 Units @1000.0000	15,000.00	600.00	0.00	600.00	88.0	528.00
06/19/2018	***-**-930J - SANGER, KEVIN	GWG L BOND - 3YR BUY 20 Units @1000.0000	20,000.00	1,000.00	0.00	1,000.00	88.0	880.00
06/19/2018	***-**-930J - SANGER, KEVIN	GWG L BOND - 5 YR BUY 20 Units @1000.0000	20,000.00	1,180.00	0.00	1,180.00	88.0	1,038.40
06/30/2018	***-**-89IN - LEE, ROGER ACCOUNT #: 1200175188	JACKSON 468511480 BUY 0 Units @0.0000	0.00	23.87	0.00	23.87	88.0	21.01
06/30/2018	***-**-65IN - GRUENEWALD, KURT ACCOUNT #: 951030124	LINCOLN FIN 533785564 BUY 0 Units @0.0000	0.00	214.70	0.00	214.70	88.0	188.94
07/05/2018	***-**-376I - BERBEN, GAIL ACCOUNT #: LSR011380	LORD ABBETT SHORT DURATION INCOME C BUY 3571 Units @4.2000	15,000.00	150.00	0.00	150.00	88.0	132.00
07/05/2018	***-**-376I - BERBEN, GAIL ACCOUNT #: LSR011380	MFS TECHNOLOGY CLASS C BUY 267 Units @37.4900	10,000.01	100.00	0.00	100.00	88.0	88.00
07/02/2018	***-**-53IN - EVANS, ANDREW ACCOUNT #: LSR011483	MFS TECHNOLOGY FUND-B BUY 1 Units @37.5300	49.99	2.00	0.00	2.00	88.0	1.76
07/02/2018	***-**-53IN - EVANS, ANDREW ACCOUNT #: LSR011483	MFS UTILITIES FUND-B BUY 5 Units @20.3100	100.01	4.00	0.00	4.00	88.0	3.52
06/30/2018	***-**-00IO - LEE, GARY ACCOUNT #: 016295228	NATIONWIDE CUSIP 63890A108-NSCC BUY 0 Units @0.0000	0.00	198.21	0.00	198.21	88.0	174.42
07/02/2018	***-**-366I - GRUENEWALD, ACCOUNT #: LSR010989	NETFLIX COM INC COM UNSOLICITED ORD BUY 20 Units @390.0000	7,800.00	68.00	0.00	68.00	88.0	59.84
06/26/2018	***-**-633J - ACCOUNT #: 05502871176	OPP PORT SERIES: ACTIVE ALLOC A BUY 0 Units @0.0000	175.00	8.31	0.00	8.31	88.0	7.31
06/19/2018	***-**-13IN - BLISS, PATRICK ACCOUNT #: 05521022681	OPPENHEIMER ACTIVE ALLOCATION FUND BUY 0 Units @0.0000	75.00	0.75	0.00	0.75	88.0	0.66



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<u> OVERRIDE TRANSACTIONS (continued) </u>								
<u>BROKER: KURT GRUENEWALD (continued)</u>								
06/26/2018	***-**-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						
06/26/2018	***-**-633J -	OPPENHEIMER INTERNATIONAL DIVERSIFI	175.00	8.31	0.00	8.31	88.0	7.31
	ACCOUNT #: 01953330426	BUY 0 Units @0.0000						
06/26/2018	***-**-633J -	OPPENHEIMER SMALL & MID CAP VALUE F	175.00	8.31	0.00	8.31	88.0	7.31
	ACCOUNT #: 02514987422	BUY 0 Units @0.0000						
07/01/2018	***-**-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						
06/30/2018	***-**-366I - GRUENEWALD,	PRUDENTIAL VA TRAILS 74429P110	0.00	147.07	0.00	147.07	88.0	129.42
	ACCOUNT #: E1407725	BUY 0 Units @0.0000						
07/05/2018	***-**-376I - BERBEN, GAIL	RESOURCE CREDIT INCOME FUND C	10,000.00	100.00	0.00	100.00	88.0	88.00
	ACCOUNT #: LSR011380	BUY 892 Units @11.2100						
		* KURT GRUENEWALD SUBTOTAL *	\$174,544.42	\$5,959.43	\$0.00	\$5,959.43		\$5,244.29
		*** OVERRIDE TRANSACTIONS TOTAL ***	\$174,544.42	\$5,959.43	\$0.00	\$5,959.43		\$5,244.29

BROKER COMMISSION TOTALS

Broker Transactions	\$107.98
Split Transactions	\$0.00
Override Transactions	\$5,244.29
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	\$5,352.27
Year-to-date Earnings	\$142,308.99