



COMMISSION STATEMENT

April 02, 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: ALTERNATIVE INVESTMENTS</u>								
03/07/2017	***-**-762I - STORSBERG,	TERRA INCOME FUND # 6 BUY 8250 Units @10.9000	90,000.00	610.60	0.00	610.60	88.0	537.33
		* ALTERNATIVE INVESTMENTS SUBTOTAL *	\$90,000.00	\$610.60	\$0.00	\$610.60		\$537.33
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
03/20/2018	***-**-817I - WADSWORTH, ACCOUNT #: 00067441742	AMERICAN GLOBAL BALANCED CL C BUY 3 Units @32.6100	110.00	1.10	0.00	1.10	88.0	0.97
03/20/2018	***-**-788I - ALBARRAN, CARLOS ACCOUNT #: 00085186008	FUNDAMENTAL INVESTORS-C BUY 2 Units @62.7000	100.00	1.00	0.00	1.00	88.0	0.88
03/26/2018	***-**-801T - HAGAN III, ACCOUNT #: 08191353848	MFS 552988628 BUY 130 Units @15.4200	2,000.00	80.00	0.00	80.00	88.0	70.40
03/26/2018	***-**-801T - HAGAN III, ACCOUNT #: 08191353848	MFS TECHNOLOGY FUND-B BUY 43 Units @35.1800	1,500.00	60.00	0.00	60.00	88.0	52.80
03/26/2018	***-**-801T - HAGAN III, ACCOUNT #: 08191353848	MFS UTILITIES FUND-B BUY 104 Units @19.2800	2,000.00	80.00	0.00	80.00	88.0	70.40
03/19/2018	***-**-469I - HAUCK, JUDITH ACCOUNT #: 00087147439	THE INCOME FUND OF AMERICA-A BUY 4 Units @23.4400	98.08	1.96	0.00	1.96	88.0	1.72
03/19/2018	***-**-469I - HAUCK, JUDITH ACCOUNT #: 00087147439	THE INCOME FUND OF AMERICA-A BUY 13 Units @23.4400	300.00	6.00	0.00	6.00	88.0	5.28
		* MUTUAL FUNDS SUBTOTAL *	\$6,108.08	\$230.06	\$0.00	\$230.06		\$202.45
<u>PRODUCT CATEGORY: STOCKS</u>								
03/28/2018	***-**-580I - GRIFFITH, DAVID ACCOUNT #: LSF000295	STEIN MART INC COM BUY 7000 Units @1.3200	9,240.00	9.00	8.99	0.01	88.0	0.01
03/28/2018	***-**-679I - MURSCH JR, ACCOUNT #: LSR010888	STEIN MART INC COM BUY 3500 Units @1.3200	4,620.00	57.49	18.00	39.49	88.0	34.75
03/28/2018	***-**-467J - PICKARD, BRIAN ACCOUNT #: LSR010943	STEIN MART INC COM BUY 6000 Units @1.3200	7,920.00	77.49	18.00	59.49	88.0	52.35
03/28/2018	***-**-22IN - GRACIE, JULIA ACCOUNT #: LSR011019	STEIN MART INC COM BUY 4000 Units @1.3200	5,280.00	67.49	18.00	49.49	88.0	43.55
		* STOCKS SUBTOTAL *	\$27,060.00	\$211.47	\$62.99	\$148.48		\$130.66



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: VARIABLE ANNUITIES								
03/28/2018	***-**-0770 - GAUTHIER, LOUIS	MASS MUTUAL VA	0.00	2.22	0.00	2.22	88.0	1.95
	ACCOUNT #: 828693	BUY 1 Units @0.0000						
03/28/2018	***-**-0770 - GAUTHIER, LOUIS	MASS MUTUAL VA	0.00	2.20	0.00	2.20	88.0	1.94
	ACCOUNT #: 828693	BUY 1 Units @0.0000						
03/28/2018	***-**-80IN - GRIFFITH, DAVID	MASS MUTUAL VA	0.00	1.10	0.00	1.10	88.0	0.97
	ACCOUNT #: 834388	BUY 1 Units @0.0000						
* VARIABLE ANNUITIES SUBTOTAL *			\$0.00	\$5.52	\$0.00	\$5.52		\$4.86
PRODUCT CATEGORY: UNIT INVESTMENT TRUSTS								
03/28/2018	***-**-580I - GRIFFITH, DAVID	STAR GAS PARTNERS L P SBI SOLICITED	3,265.50	9.00	21.00	-12.00	100.0	-12.00
	ACCOUNT #: LSF000295	SELL 350 Units @9.3300						
* UNIT INVESTMENT TRUSTS SUBTOTAL *			\$3,265.50	\$9.00	\$21.00	\$-12.00		\$-12.00
PRODUCT CATEGORY: 529 PLAN								
03/28/2018	***-**-93JT - WADSWORTH,	NYA JPM 529 ALL FIXED INCOME PO A	50.00	0.50	0.00	0.50	88.0	0.44
	ACCOUNT #: 77296639001	BUY 0 Units @0.0000						
03/28/2018	***-**-93JT - WADSWORTH,	NYA JPM 529 ALL FIXED INCOME PO A	50.00	3.55	0.00	3.55	88.0	3.12
	ACCOUNT #: 77296639001	BUY 0 Units @0.0000						
03/28/2018	***-**-93JT - WADSWORTH,	NYA JPM 529 ALL FIXED INCOME PO A	0.00	-0.50	0.00	-0.50	88.0	-0.44
	ACCOUNT #: 77296639001	BUY 0 Units @0.0000						
03/28/2018	***-**-29IO - LORUSSO, VINCENT	NYA JPM 529 EQUITY INCOME PORTF C	50.00	0.50	0.00	0.50	88.0	0.44
	ACCOUNT #: 77089153301	BUY 0 Units @0.0000						
03/28/2018	***-**-0862 - REDMOND, EILEEN	NYA JPM 529 EQUITY INCOME PORTF C	50.00	1.02	0.00	1.02	88.0	0.90
	ACCOUNT #: 77172702502	BUY 0 Units @0.0000						
03/28/2018	***-**-225P - DAMSKY, CYNTHIA	NYA JPM 529 EQUITY INCOME PORTF C	50.00	0.50	0.00	0.50	88.0	0.44
		BUY 0 Units @0.0000						
* 529 PLAN SUBTOTAL *			\$250.00	\$5.57	\$0.00	\$5.57		\$4.90
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS								
04/02/2018	***-**-580I - GRIFFITH, DAVID	FIDELITY GOVT MMKT CAPITAL RESERVES	0.00	0.00	0.00	0.00	88.0	0.00
	ACCOUNT #: LSF000292	BUY 1 Units @0.0000						
04/02/2018	***-**-0040 - GRIFFITH,	FIDELITY GOVT MMKT CAPITAL RESERVES	0.00	0.00	0.00	0.00	88.0	0.00
	ACCOUNT #: LSF000293	BUY 1 Units @0.0000						



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<u>BROKER TRANSACTIONS (continued)</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</u>								
04/02/2018	***-**-580I - GRIFFITH, DAVID	FIDELITY GOVT MMKT CAPITAL RESERVES	0.00	0.00	0.00	0.00	88.0	0.00
	ACCOUNT #: LSF000295	BUY 1 Units @0.0000						
04/02/2018	***-**-21IN - DANIELS, JOHN	FIDELITY GOVT MMKT CAPITAL RESERVES	0.00	0.00	0.00	0.00	88.0	0.00
	ACCOUNT #: LSR010967	BUY 1 Units @0.0000						
04/02/2018	***-**-54IN - THIBAUT, MS	FIDELITY GOVT MMKT CAPITAL RESERVES	0.00	0.00	0.00	0.00	88.0	0.00
	ACCOUNT #: LSR011080	BUY 1 Units @0.0000						
04/02/2018	***-**-29IN - THIBAUT,	FIDELITY GOVT MMKT CAPITAL RESERVES	0.00	0.00	0.00	0.00	88.0	0.00
	ACCOUNT #: LSR011094	BUY 1 Units @0.0000						
04/02/2018	***-**-698J - BAILEY, MR	FIDELITY GOVT MMKT CAPITAL RESERVES	0.00	0.00	0.00	0.00	88.0	0.00
	ACCOUNT #: LSR011097	BUY 1 Units @0.0000						
04/02/2018	***-**-77IR - MARRONE, FBO MR	FIDELITY GOVT MMKT CAPITAL RESERVES	0.00	0.00	0.00	0.00	88.0	0.00
	ACCOUNT #: LSR011158	BUY 1 Units @0.0000						
04/02/2018	***-**-244I - BURTON, RICHARD	PL PORTFOLIO OPTIMIZATION MODERATE	0.00	1.88	0.00	1.88	88.0	1.65
	ACCOUNT #: LSR011997	BUY 1 Units @0.0000						
	* MUTUAL FUND 12B1 TRAILS SUBTOTAL *		\$0.00	\$1.88	\$0.00	\$1.88		\$1.65
	*** BROKER TRANSACTIONS TOTAL ***		\$126,683.58	\$1,074.10	\$83.99	\$990.11		\$869.85

VERRIDE TRANSACTIONS

BROKER: KURT GRUENEWALD

03/26/2018	***-**-51IR - BLAKE, JAMES	TERRA INCOME FUND 6, INC.	-12,500.00	18.00	0.00	18.00	88.0	15.84
	ACCOUNT #: LSR012391	CANCEL 1268 Units @9.8600						
04/02/2018	***-**-959I - FRANZ, PAUL	BLACKROCK US OPPORT CL A	0.00	0.35	0.00	0.35	88.0	0.31
	ACCOUNT #: LSR010959	BUY 1 Units @0.0000						
03/23/2018	***-**-851I - BLAKE, JAMES	CAMECO CORP COM NPV ISIN #CA13321L1	2,715.00	28.99	0.00	28.99	88.0	25.51
	ACCOUNT #: LSR012390	BUY 300 Units @9.0500						
04/02/2018	***-**-32IO - WITT, DEBORAH	FIDELITY GOVT MMKT DAILY MONEY CLAS	0.00	0.97	0.00	0.97	88.0	0.85
	ACCOUNT #: LSR012285	BUY 1 Units @0.0000						
03/22/2018	***-**-06IN - SATTERLY,	MFS 08191336006	100.00	1.00	0.00	1.00	88.0	0.88
	ACCOUNT #: 08191336006	BUY 3 Units @30.9400						
03/26/2018	***-**-094I - KATRENA L	MFS GLOBAL TOTAL RETURN FUND-B	50.00	2.00	0.00	2.00	88.0	1.76
	ACCOUNT #: 08191140345	BUY 3 Units @18.3600						



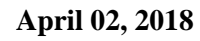
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 OVERRIDE TRANSACTIONS (continued) 								
 <u>BROKER: KURT GRUENEWALD (continued)</u> 								
03/23/2018	***-**-632I - LOWE, PAMELA ACCOUNT #: LSR012397	MFS TECHNOLOGY CLASS C BUY 177 Units @33.9700	5,999.99	60.00	0.00	60.00	88.0	52.80
03/23/2018	***-**-714O - LINES, JUDITH ACCOUNT #: LSR011763	MONEY MARKET SELL 2512 Units @1.0000	2,511.88	1.99	0.00	1.99	88.0	1.75
03/23/2018	***-**-851I - BLAKE, JAMES ACCOUNT #: LSR012390	NORDIC AMERICAN TANKERS LIMITE COM BUY 1800 Units @2.0800	3,744.00	6.49	0.00	6.49	88.0	5.71
03/28/2018	***-**-0767 - DOVI, ACCOUNT #: 77579193101	NYA JPM 529 AGGR PORTI C BUY 0 Units @0.0000	25.00	0.25	0.00	0.25	88.0	0.22
03/28/2018	***-**-635P - LASCALA, DEBORAH ACCOUNT #: 77699193301	NYA JPM 529 ALL FIXED INCOME PO A BUY 0 Units @0.0000	50.00	0.50	0.00	0.50	88.0	0.44
04/02/2018	***-**-20IR - DEMETRI, AMELIA ACCOUNT #: 77854436501	NYA JPM 529 MOD AGE-BASED A BUY 0 Units @0.0000	50.00	2.38	0.00	2.38	88.0	2.09
03/28/2018	***-**-473J - HUSTON, ACCOUNT #: 77852732401	NYA JPM 529 MOD GROWTH POR C BUY 0 Units @0.0000	400.00	4.00	0.00	4.00	88.0	3.52
03/23/2018	***-**-851I - BLAKE, JAMES ACCOUNT #: LSR012390	STEIN MART INC COM BUY 1500 Units @1.3900	2,085.00	31.99	0.00	31.99	88.0	28.15
03/20/2018	***-**-755P - SHEPPARD, ACCOUNT #: 00084018452	THE GROWTH FUND OF AMERICA-529C BUY 1 Units @48.9700	50.00	0.50	0.00	0.50	88.0	0.44
* KURT GRUENEWALD SUBTOTAL *			\$5,280.87	\$159.41	\$0.00	\$159.41		\$140.27
*** OVERRIDE TRANSACTIONS TOTAL ***			\$5,280.87	\$159.41	\$0.00	\$159.41		\$140.27



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				GROSS	CLEARING	NET	BROKER
DATE	CLIENT	INVESTMENT	AMOUNT	COMMISSION	CHARGE	COMMISSION	RATE COMMISSION
						<u>BROKER COMMISSION TOTALS</u>	
Broker Transactions						\$869.85	
Split Transactions						\$0.00	
Override Transactions						\$140.27	
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						\$1,010.12	
Year-to-date Earnings						\$64,039.85	