



COMMISSION STATEMENT

April 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: ALTERNATIVE INVESTMENTS</u>								
03/23/2018	***-**-59IN - MORGAN, WILLIAM	GWG L BOND - 3YR BUY 10 Units @1000.0000	10,000.00	500.00	0.00	500.00	88.0	440.00
		* ALTERNATIVE INVESTMENTS SUBTOTAL *	\$10,000.00	\$500.00	\$0.00	\$500.00		\$440.00
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
03/19/2018	***-**-817I - WADSWORTH, ACCOUNT #: 04715332428	ALLIANCE BERNSTEIN LARGE-CAP GROWTH BUY 1 Units @37.3100	50.00	2.00	0.00	2.00	88.0	1.76
03/29/2018	***-**-779I - WILLIAMS, ACCOUNT #: LSR012443	AMERICAN GLOBAL BALANCED CL C BUY 387 Units @32.3100	12,500.00	143.00	18.00	125.00	88.0	110.00
03/26/2018	***-**-11IN - MOYLAN, TIMOTHY ACCOUNT #: 03222207458	CAPITAL APPRECIATION C BUY 0 Units @0.0000	6.56	0.07	0.00	0.07	88.0	0.06
04/05/2018	***-**-510I - PEREZ, STACEY ACCOUNT #: LSR011827	CAPITAL INCOME BUILDER CLASS C BUY 287 Units @60.9000	17,499.98	193.00	18.00	175.00	88.0	154.00
03/20/2018	***-**-58IN - CADY, GAIL ACCOUNT #: 08370389048	EQUITY INCOME FUND, INC. C BUY 0 Units @0.0000	24.00	0.24	0.00	0.24	88.0	0.21
03/20/2018	***-**-0457 - STAGLIANO, GINA ACCOUNT #: 08370450769	EQUITY INCOME FUND, INC. C BUY 0 Units @0.0000	5.44	0.05	0.00	0.05	88.0	0.04
03/21/2018	***-**-7473 - SCOTELLARO, ACCOUNT #: 08370720038	EQUITY INCOME FUND, INC. C BUY 0 Units @0.0000	25.00	0.25	0.00	0.25	88.0	0.22
03/26/2018	***-**-11IN - MOYLAN, TIMOTHY ACCOUNT #: 08370450780	EQUITY INCOME FUND, INC. C BUY 0 Units @0.0000	9.82	0.10	0.00	0.10	88.0	0.09
04/05/2018	***-**-510I - PEREZ, STACEY ACCOUNT #: LSR011827	FIRST EAGLE OVERSEAS CLASS I SELL 372 Units @25.0700	9,325.64	19.99	18.00	1.99	88.0	1.75
04/05/2018	***-**-762I - STORSBERG, ACCOUNT #: LSR011688	FUNDAMENTAL INVESTORS-C BUY 242 Units @61.8800	15,000.02	168.00	18.00	150.00	88.0	132.00
04/05/2018	***-**-510I - PEREZ, STACEY ACCOUNT #: LSR011827	FUNDAMENTAL INVESTORS-C BUY 283 Units @61.8800	17,499.97	193.00	18.00	175.00	88.0	154.00
03/20/2018	***-**-58IN - CADY, GAIL ACCOUNT #: 02171604031	GLOBAL OPPORTUNITIES FUND C BUY 0 Units @0.0000	16.00	0.16	0.00	0.16	88.0	0.14
03/20/2018	***-**-0457 - STAGLIANO, GINA ACCOUNT #: 02171646348	GLOBAL OPPORTUNITIES FUND C BUY 0 Units @0.0000	5.42	0.05	0.00	0.05	88.0	0.04
03/26/2018	***-**-11IN - MOYLAN, TIMOTHY ACCOUNT #: 02171646359	GLOBAL OPPORTUNITIES FUND C BUY 0 Units @0.0000	6.56	0.07	0.00	0.07	88.0	0.06



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUNDS (continued)								
04/02/2018	***-**-86IO - STRUMPFLER, MARK	INCOME FUND OF AMERICA CLASS C	20,000.00	218.00	18.00	200.00	88.0	176.00
	ACCOUNT #: LSR012376	BUY 901 Units @22.2000						
03/29/2018	***-**-779I - WILLIAMS,	MFS GLOBAL TOTAL RETURN FUND-B	14,000.00	578.00	18.00	560.00	88.0	492.80
	ACCOUNT #: LSR012443	BUY 762 Units @18.3700						
04/02/2018	***-**-400I - TEESDALE,	MFS GLOBAL TOTAL RETURN FUND-B	6,400.01	274.00	18.00	256.00	88.0	225.28
	ACCOUNT #: LSR012554	BUY 352 Units @18.1900						
04/02/2018	***-**-803I - TEESDALE,	MFS GLOBAL TOTAL RETURN FUND-B	6,400.01	274.00	18.00	256.00	88.0	225.28
	ACCOUNT #: LSR012555	BUY 352 Units @18.1900						
04/02/2018	***-**-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 @18.1900						
04/03/2018	***-**-169I - DUNN, CHRISTINE	MFS INTERNATIONAL DIVERSIFICATION F	9,000.00	378.00	18.00	360.00	88.0	316.80
	ACCOUNT #: LSR012417	BUY 467 Units @19.2800						
04/02/2018	***-**-762I - STORSBERG,	MFS TECHNOLOGY CLASS C	14,999.99	168.00	18.00	150.00	88.0	132.00
	ACCOUNT #: LSR011688	BUY 450 Units @33.3600						
04/02/2018	***-**-86IO - STRUMPFLER, MARK	MFS TECHNOLOGY CLASS C	14,999.99	168.00	18.00	150.00	88.0	132.00
	ACCOUNT #: LSR012376	BUY 450 Units @33.3600						
03/20/2018	***-**-91IN - RICHARDSON,	OPPENHEIMER CUSIP 68385X208	35.00	0.35	0.00	0.35	88.0	0.31
	ACCOUNT #: 00100011925	BUY 0 Units @0.0000						
03/20/2018	***-**-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						
03/20/2018	***-**-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						
03/20/2018	***-**-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						
03/20/2018	***-**-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						
03/21/2018	***-**-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						
03/20/2018	***-**-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						
03/26/2018	***-**-11IN - MOYLAN, TIMOTHY	OPPENHEIMER GLOBAL CLASS C	3.28	0.03	0.00	0.03	88.0	0.03
	ACCOUNT #: 03322653882	BUY 0 Units @0.0000						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUNDS (continued)								
03/20/2018	***-**-91IN - RICHARDSON, ACCOUNT #: 06890080641	OPPENHEIMER GLOBAL VALUE FUND CL C BUY 0 Units @0.0000	35.00	0.35	0.00	0.35	88.0	0.31
03/20/2018	***-**-58IN - CADY, GAIL ACCOUNT #: 01970799227	OPPENHEIMER INTERNATIONAL DIVERSIFI BUY 0 Units @0.0000	24.00	0.24	0.00	0.24	88.0	0.21
03/20/2018	***-**-0457 - STAGLIANO, GINA ACCOUNT #: 01970849112	OPPENHEIMER INTERNATIONAL DIVERSIFI BUY 0 Units @0.0000	8.14	0.08	0.00	0.08	88.0	0.07
03/21/2018	***-**-7473 - SCOTELLARO, ACCOUNT #: 01971001154	OPPENHEIMER INTERNATIONAL DIVERSIFI BUY 0 Units @0.0000	25.00	0.25	0.00	0.25	88.0	0.22
03/26/2018	***-**-11IN - MOYLAN, TIMOTHY ACCOUNT #: 01970849123	OPPENHEIMER INTERNATIONAL DIVERSIFI BUY 0 Units @0.0000	13.12	0.13	0.00	0.13	88.0	0.11
03/20/2018	***-**-58IN - CADY, GAIL ACCOUNT #: 02270806520	OPPENHEIMER RISING DIVIDENDS FUND C BUY 0 Units @0.0000	24.00	0.24	0.00	0.24	88.0	0.21
03/20/2018	***-**-0457 - STAGLIANO, GINA ACCOUNT #: 02270899492	OPPENHEIMER RISING DIVIDENDS FUND C BUY 0 Units @0.0000	8.14	0.08	0.00	0.08	88.0	0.07
03/26/2018	***-**-11IN - MOYLAN, TIMOTHY ACCOUNT #: 02270899503	OPPENHEIMER RISING DIVIDENDS FUND C BUY 0 Units @0.0000	13.12	0.13	0.00	0.13	88.0	0.11
03/26/2018	***-**-522I - RIEBEN, HENRY ACCOUNT #: 00551360517	PUTNAM CAPITAL SPECTRUM FUND CL C BUY 1 Units @31.3700	15.82	0.16	0.00	0.16	88.0	0.14
03/26/2018	***-**-522I - RIEBEN, HENRY ACCOUNT #: 00551360517	PUTNAM EQUITY SPECTRUM FD CL C BUY 0 Units @33.5400	15.82	0.16	0.00	0.16	88.0	0.14
03/26/2018	***-**-522I - RIEBEN, HENRY ACCOUNT #: 00551360517	PUTNAM GLOBAL UTILITIES CL C BUY 1 Units @12.9100	15.82	0.16	0.00	0.16	88.0	0.14
03/20/2018	***-**-58IN - CADY, GAIL ACCOUNT #: 02592245914	QUEST BALANCED FUND C BUY 0 Units @0.0000	24.00	0.24	0.00	0.24	88.0	0.21
03/20/2018	***-**-58IN - CADY, GAIL ACCOUNT #: 02560282953	QUEST INTERNATIONAL VALUE FUND, INC BUY 0 Units @0.0000	16.00	0.16	0.00	0.16	88.0	0.14
03/26/2018	***-**-11IN - MOYLAN, TIMOTHY ACCOUNT #: 02560289795	QUEST INTERNATIONAL VALUE FUND, INC BUY 0 Units @0.0000	6.56	0.07	0.00	0.07	88.0	0.06
03/20/2018	***-**-58IN - CADY, GAIL ACCOUNT #: 05920265584	REAL ESTATE FUND C BUY 0 Units @0.0000	16.00	0.16	0.00	0.16	88.0	0.14
03/20/2018	***-**-0457 - STAGLIANO, GINA ACCOUNT #: 05920286880	REAL ESTATE FUND C BUY 0 Units @0.0000	5.42	0.05	0.00	0.05	88.0	0.04



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUNDS (continued)								
03/26/2018	***-**-11IN - MOYLAN, TIMOTHY	REAL ESTATE FUND C	6.56	0.07	0.00	0.07	88.0	0.06
	ACCOUNT #: 05920286891	BUY 0 Units @0.0000						
04/03/2018	***-**-656I - SMOLA, STANLEY	RESOURCE CREDIT INCOME FUND C	18,000.00	198.00	18.00	180.00	88.0	158.40
	ACCOUNT #: LSR010868	BUY 1617 Units @11.1300						
04/03/2018	***-**-841J - DAMSKY, BARRY	RESOURCE CREDIT INCOME FUND C	8,000.00	98.00	18.00	80.00	88.0	70.40
	ACCOUNT #: LSR010907	BUY 719 Units @11.1300						
04/03/2018	***-**-510I - PEREZ, STACEY	RESOURCE CREDIT INCOME FUND C	22,500.00	243.00	18.00	225.00	88.0	198.00
	ACCOUNT #: LSR011827	BUY 2022 Units @11.1300						
04/03/2018	***-**-86IO - STRUMPFLER, MARK	RESOURCE CREDIT INCOME FUND C	20,000.00	218.00	18.00	200.00	88.0	176.00
	ACCOUNT #: LSR012376	BUY 1797 Units @11.1300						
03/20/2018	***-**-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						
03/20/2018	***-**-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						
03/20/2018	***-**-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						
03/21/2018	***-**-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						
* MUTUAL FUNDS SUBTOTAL *			\$226,852.89	\$3,543.00	\$288.00	\$3,255.00		\$2,864.36

PRODUCT CATEGORY: STOCKS

04/03/2018	***-**-24TR - SCOTELLARO, L	DENBURY RES INC DEL COM USD0.001	3,945.00	77.49	45.00	32.49	88.0	28.59
	ACCOUNT #: LSR010973	SELL 1500 Units @2.6300						
04/05/2018	***-**-762I - STORSBERG,	DENBURY RES INC DEL COM USD0.001	4,794.00	87.49	49.00	38.49	88.0	33.87
	ACCOUNT #: LSR011688	SELL 1700 Units @2.8200						
04/03/2018	***-**-24TR - SCOTELLARO, L	ISHARES MSCI BRAZIL ETF	7,501.91	137.49	18.38	119.11	88.0	104.82
	ACCOUNT #: LSR010973	SELL 169 Units @44.3900						
04/03/2018	***-**-679I - MURSCH JR,	NORDIC AMERICAN TANKERS LIMITE COM	2,457.00	49.99	41.00	8.99	88.0	7.91
	ACCOUNT #: LSR010888	BUY 1300 Units @1.8900						
04/03/2018	***-**-42IN - JENKINS, DAVID	NORDIC AMERICAN TANKERS LIMITE COM	2,805.00	49.99	45.00	4.99	88.0	4.39
	ACCOUNT #: LSR011776	BUY 1500 Units @1.8700						
04/05/2018	***-**-22IN - GRACIE, JULIA	NORDIC AMERICAN TANKERS LIMITE COM	3,366.00	49.99	51.00	-1.01	100.0	-1.01
	ACCOUNT #: LSR011019	BUY 1800 Units @1.8700						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: STOCKS (continued)								
04/02/2018	***-**-753I - SABANOSH, ALAN	PETROLEO BRASILEIRO SA PETROBRAS SP	3,180.00	57.49	20.00	37.49	88.0	32.99
	ACCOUNT #: LSR010909	SELL 250 Units @12.7200						
04/05/2018	***-**-59IN - MORGAN, WILLIAM	STEIN MART INC COM	3,775.00	49.99	18.00	31.99	88.0	28.15
	ACCOUNT #: LSR010842	BUY 2500 Units @1.5100						
04/05/2018	***-**-59IN - MORGAN, WILLIAM	VALE S.A. SPONS ADR REPR 1 COM NPV	3,220.00	49.99	20.00	29.99	88.0	26.39
	ACCOUNT #: LSR010842	SELL 250 Units @12.8800						
04/05/2018	***-**-59IN - MORGAN, WILLIAM	VICAL INC COM NEW	720.00	49.99	18.00	31.99	88.0	28.15
	ACCOUNT #: LSR010842	SELL 500 Units @1.4400						
* STOCKS SUBTOTAL *			\$35,763.91	\$659.90	\$325.38	\$334.52		\$294.25
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS								
04/09/2018	***-**-015P - SABANOSH, SHERYL	HARTFORD SMART 529	0.00	0.83	0.00	0.83	88.0	0.73
	ACCOUNT #: 66886699502	BUY 0 Units @0.0000						
03/28/2018	***-**-94IO - PERRITANO,	MFS GLOBAL MULTI ASSET FUND CLASS B	10,758.37	0.00	0.00	0.00	88.0	0.00
	ACCOUNT #: LSR011099	SELL 1181 Units @9.1060						
03/28/2018	***-**-57RI - DIPERNA, ROBERT	MFS TRAILS 552988610	300.00	3.00	0.00	3.00	88.0	2.64
	ACCOUNT #: 08189654783	BUY 20 Units @15.1600						
03/28/2018	***-**-51RI - DIPERNA, SANDRA	MFS TRAILS 552988610	300.00	3.00	0.00	3.00	88.0	2.64
	ACCOUNT #: 08191188649	BUY 20 Units @15.1600						
04/09/2018	***-**-679I - MURSCH JR,	NEW YORK 529 TRAILS	0.00	4.43	0.00	4.43	88.0	3.90
	ACCOUNT #: 77041375401	BUY 0 Units @0.0000						
04/09/2018	***-**-541I - ORSINO, LISA	NEW YORK 529 TRAILS	0.00	3.47	0.00	3.47	88.0	3.05
	ACCOUNT #: 77049971001	BUY 0 Units @0.0000						
04/09/2018	***-**-745P - SCOTELLARO,	NEW YORK 529 TRAILS	0.00	1.80	0.00	1.80	88.0	1.58
		BUY 0 Units @0.0000						
04/09/2018	***-**-225P - DAMSKY, CYNTHIA	NEW YORK 529 TRAILS	0.00	3.61	0.00	3.61	88.0	3.18
		BUY 0 Units @0.0000						
04/09/2018	***-**-0862 - REDMOND, EILEEN	NEW YORK 529 TRAILS	0.00	2.71	0.00	2.71	88.0	2.38
	ACCOUNT #: 77172702501	BUY 0 Units @0.0000						
04/09/2018	***-**-467I - PICKARD, BRIAN	NEW YORK 529 TRAILS	0.00	1.13	0.00	1.13	88.0	0.99
	ACCOUNT #: 77247884901	BUY 0 Units @0.0000						
04/09/2018	***-**-93JT - WADSWORTH,	NEW YORK 529 TRAILS	0.00	1.55	0.00	1.55	88.0	1.36
	ACCOUNT #: 77296639001	BUY 0 Units @0.0000						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
04/09/2018	***-**-21IN - DANIELS, JOHN	NEW YORK 529 TRAILS	0.00	9.25	0.00	9.25	88.0	8.14
	ACCOUNT #: 77376247101	BUY 0 Units @0.0000						
04/09/2018	***-**-0862 - REDMOND, EILEEN	NEW YORK 529 TRAILS	0.00	4.82	0.00	4.82	88.0	4.24
	ACCOUNT #: 77519113701	BUY 0 Units @0.0000						
04/09/2018	***-**-497I - MARTIN, KATHLEEN	NEW YORK 529 TRAILS	0.00	1.46	0.00	1.46	88.0	1.28
		BUY 0 Units @0.0000						
04/09/2018	***-**-015P - SABANOSH, SHERYL	NEW YORK 529 TRAILS	0.00	7.95	0.00	7.95	88.0	7.00
	ACCOUNT #: 77775742701	BUY 0 Units @0.0000						
04/09/2018	***-**-0862 - REDMOND, EILEEN	NEW YORK 529 TRAILS	0.00	-0.51	0.00	-0.51	88.0	-0.45
	ACCOUNT #: 77519113701	BUY 0 Units @0.0000						
04/09/2018	***-**-0862 - REDMOND, EILEEN	NEW YORK 529 TRAILS	0.00	1.02	0.00	1.02	88.0	0.90
	ACCOUNT #: 77519113701	BUY 0 Units @0.0000						
03/26/2018	***-**-522I - RIEBEN, HENRY	PUTNAM MF TRAILS 37252M306	15.82	0.16	0.00	0.16	88.0	0.14
	ACCOUNT #: 00551360517	BUY 1 Units @19.7200						
	* MUTUAL FUND 12B1 TRAILS SUBTOTAL *		\$11,374.19	\$49.68	\$0.00	\$49.68		\$43.70
PRODUCT CATEGORY: VARIABLE ANNUITY 12B1 TRAILS								
03/29/2018	***-**-03IN - BOSHART, PEGGY	AXA CUSIP 29452T645-NSCC	0.00	43.76	0.00	43.76	88.0	38.51
	ACCOUNT #: 303613057	BUY 0 Units @0.0000						
03/31/2018	***-**-69IN - DAVIS, BRUCE	LINCOLN FIN 533785564	0.00	31.37	0.00	31.37	88.0	27.61
	ACCOUNT #: 951030177	BUY 0 Units @0.0000						
03/31/2018	***-**-93JT - WADSWORTH,	LINCOLN FIN VA TRAILS 533785101	0.00	21.86	0.00	21.86	88.0	19.24
	ACCOUNT #: 951031290	BUY 0 Units @0.0000						
	* VARIABLE ANNUITY 12B1 TRAILS SUBTOTAL *		\$0.00	\$96.99	\$0.00	\$96.99		\$85.36
	*** BROKER TRANSACTIONS TOTAL ***		\$283,990.99	\$4,849.57	\$613.38	\$4,236.19		\$3,727.67



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<u> OVERRIDE TRANSACTIONS </u>								
<u>BROKER: KURT GRUENEWALD</u>								
03/29/2018	***-**-973I - LABAYEWSKI, ACCOUNT #: 712686815	41659Q159 BUY 0 Units @0.0000	0.00	67.63	0.00	67.63	88.0	59.51
03/29/2018	***-**-117I - LABAYEWSKI, ACCOUNT #: 712688346	41659Q159 BUY 0 Units @0.0000	0.00	83.12	0.00	83.12	88.0	73.15
03/29/2018	***-**-86IN - LEE, KEVIN ACCOUNT #: GAX00761	ALLIANZ TRAILS 018812727 BUY 0 Units @0.0000	0.00	68.49	0.00	68.49	88.0	60.27
04/03/2018	***-**-960J - MASTRANGELO, ACCOUNT #: LSR010966	APPLE INC UNSOLICITED ORDER SELL 52 Units @168.0880	8,740.58	149.49	0.00	149.49	88.0	131.55
04/05/2018	***-**-6604 - REYNOLDS, DIANE ACCOUNT #: 5290810273	BLACKROCK TRAILS BUY 0 Units @0.0000	0.00	4.23	0.00	4.23	88.0	3.72
03/20/2018	***-**-65CL - GRUENEWALD, K, ACCOUNT #: 03222414918	CAPITAL APPRECIATION C BUY 0 Units @0.0000	50.00	0.50	0.00	0.50	88.0	0.44
03/28/2018	***-**-72RI - GAVALO, JULIE ACCOUNT #: 00087231055	CAPITAL INCOME BUILDER-A BUY 53 Units @61.7600	3,250.00	65.00	0.00	65.00	88.0	57.20
03/20/2018	***-**-633J - ACCOUNT #: 08353229688	EQUITY INCOME FUND, INC. A BUY 0 Units @0.0000	175.00	8.31	0.00	8.31	88.0	7.31
03/26/2018	***-**-48JT - LEE, DARLENE ACCOUNT #: 08370750926	EQUITY INCOME FUND, INC. C BUY 0 Units @0.0000	50.00	0.50	0.00	0.50	88.0	0.44
03/26/2018	***-**-8901 - GURDO, ANTHONY ACCOUNT #: 00087491111	FUNDAMENTAL INVESTORS-C BUY 2 Units @61.8400	150.00	1.50	0.00	1.50	88.0	1.32
03/20/2018	***-**-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
03/14/2018	***-**-31IO - JOSEPH, ANN	GWG L BOND - 7 YR BUY 10 Units @1000.0000	10,000.00	600.00	0.00	600.00	88.0	528.00
03/20/2018	***-**-837O - BASEMENT	GWG L BOND - 7 YR BUY 15 Units @1000.0000	15,000.00	900.00	0.00	900.00	88.0	792.00
03/14/2018	***-**-31IO - JOSEPH, ANN	GWG L BOND - 2YR BUY 10 Units @1000.0000	10,000.00	400.00	0.00	400.00	88.0	352.00
03/14/2018	***-**-31IO - JOSEPH, ANN	GWG L BOND - 3YR BUY 10 Units @1000.0000	10,000.00	500.00	0.00	500.00	88.0	440.00
03/14/2018	***-**-31IO - JOSEPH, ANN	GWG L BOND - 5 YR BUY 15 Units @1000.0000	15,000.00	885.00	0.00	885.00	88.0	778.80



COMMISSION STATEMENT

April 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
 OVERRIDE TRANSACTIONS (continued)								
 <u>BROKER: KURT GRUENEWALD (continued)</u>								
03/20/2018	***-**-8370 - BASEMENT	GWG L BOND - 5 YR BUY 10 Units @1000.0000	10,000.00	590.00	0.00	590.00	88.0	519.20
03/31/2018	***-**-89IN - LEE, ROGER ACCOUNT #: 1200175188	JACKSON 468511480 BUY 0 Units @0.0000	0.00	23.44	0.00	23.44	88.0	20.63
03/31/2018	***-**-65IN - GRUENEWALD, KURT ACCOUNT #: 951030124	LINCOLN FIN 533785564 BUY 0 Units @0.0000	0.00	213.64	0.00	213.64	88.0	188.00
03/28/2018	***-**-13IN - RHYMESTINE, ACCOUNT #: 08191178476	MFS EMERGING MARKETS EQUITY FUND-B BUY 2 Units @32.7900	50.00	2.00	0.00	2.00	88.0	1.76
03/28/2018	***-**-13IN - RHYMESTINE, ACCOUNT #: 08191178476	MFS EMERGING MKT DEBT CL B BUY 3 Units @14.7300	50.00	2.00	0.00	2.00	88.0	1.76
03/29/2018	***-**-73IR - HUSTON, ACCOUNT #: LSR011864	MFS GLOBAL TOTAL RETURN FUND-B BUY 294 Units @18.3700	5,400.01	216.00	0.00	216.00	88.0	190.08
03/28/2018	***-**-13IN - RHYMESTINE, ACCOUNT #: 08191178476	MFS INTERNATIONAL VALUE FUND-B BUY 2 Units @40.3600	100.00	4.00	0.00	4.00	88.0	3.52
04/02/2018	***-**-53IN - EVANS, ANDREW ACCOUNT #: LSR011483	MFS TECHNOLOGY FUND-B BUY 1 Units @33.4200	50.00	2.00	0.00	2.00	88.0	1.76
03/28/2018	***-**-13IN - RHYMESTINE, ACCOUNT #: 08191178476	MFS TOTAL RETURN FUND-B BUY 3 Units @18.5200	50.00	2.00	0.00	2.00	88.0	1.76
04/02/2018	***-**-53IN - EVANS, ANDREW ACCOUNT #: LSR011483	MFS UTILITIES FUND-B BUY 5 Units @19.3400	100.01	4.00	0.00	4.00	88.0	3.52
03/30/2018	***-**-00IO - LEE, GARY ACCOUNT #: 016295228	NATIONWIDE CUSIP 63890A108-NSCC BUY 0 Units @0.0000	0.00	197.14	0.00	197.14	88.0	173.48
03/28/2018	***-**-72RI - GAVALO, JULIE ACCOUNT #: 00087231055	NEW PERSPECTIVE FUND-A BUY 73 Units @44.5900	3,250.00	65.00	0.00	65.00	88.0	57.20
04/09/2018	***-**-9440 - MAYO, DEBORAH ACCOUNT #: 77002217601	NEW YORK 529 TRAILS BUY 0 Units @0.0000	0.00	7.51	0.00	7.51	88.0	6.61
04/09/2018	***-**-80IN - COBB, JAMES ACCOUNT #: 77169961901	NEW YORK 529 TRAILS BUY 0 Units @0.0000	0.00	32.17	0.00	32.17	88.0	28.31
04/09/2018	***-**-665P - MCCLUSKY, YVONNE ACCOUNT #: 77237884701	NEW YORK 529 TRAILS BUY 0 Units @0.0000	0.00	0.81	0.00	0.81	88.0	0.71
04/09/2018	***-**-0069 - KRECIDLO, ACCOUNT #: 77308070501	NEW YORK 529 TRAILS BUY 0 Units @0.0000	0.00	2.03	0.00	2.03	88.0	1.79



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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>								
04/09/2018	***-**-614J - BUSHEY, MATTHEW	NEW YORK 529 TRAILS BUY 0 Units @0.0000	0.00	3.11	0.00	3.11	88.0	2.74
04/09/2018	***-**-5384 - GURDO, JESSICA	NEW YORK 529 TRAILS BUY 0 Units @0.0000	0.00	0.49	0.00	0.49	88.0	0.43
04/09/2018	***-**-0767 - DOVI, ACCOUNT #: 77579193101	NEW YORK 529 TRAILS BUY 0 Units @0.0000	0.00	0.84	0.00	0.84	88.0	0.74
04/09/2018	***-**-251I - SCALISE, MARY ACCOUNT #: 77691153101	NEW YORK 529 TRAILS BUY 0 Units @0.0000	0.00	35.46	0.00	35.46	88.0	31.20
04/09/2018	***-**-635P - LASCALA, DEBORAH ACCOUNT #: 77699193301	NEW YORK 529 TRAILS BUY 0 Units @0.0000	0.00	1.73	0.00	1.73	88.0	1.52
04/09/2018	***-**-065P - CAMPBELL, PAMELA ACCOUNT #: 77830931201	NEW YORK 529 TRAILS BUY 0 Units @0.0000	0.00	0.78	0.00	0.78	88.0	0.69
04/09/2018	***-**-473J - HUSTON, ACCOUNT #: 77852732401	NEW YORK 529 TRAILS BUY 0 Units @0.0000	0.00	13.84	0.00	13.84	88.0	12.18
04/09/2018	***-**-20IR - DEMETRI, AMELIA ACCOUNT #: 77854436501	NEW YORK 529 TRAILS BUY 0 Units @0.0000	0.00	0.97	0.00	0.97	88.0	0.85
04/09/2018	***-**-205P - RHYMESTINE, ERIC ACCOUNT #: 77885699801	NEW YORK 529 TRAILS BUY 0 Units @0.0000	0.00	0.50	0.00	0.50	88.0	0.44
04/03/2018	***-**-960J - MASTRANGELO, ACCOUNT #: LSR010966	NORDIC AMERICAN TANKERS LIMITE COM BUY 1500 Units @1.8900	2,835.00	4.99	0.00	4.99	88.0	4.39
03/20/2018	***-**-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
03/20/2018	***-**-775I - BLISS, APRIL ACCOUNT #: 05521022692	OPPENHEIMER ACTIVE ALLOCATION FUND BUY 0 Units @0.0000	90.98	0.91	0.00	0.91	88.0	0.80
03/26/2018	***-**-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
03/26/2018	***-**-48JT - LEE, DARLENE ACCOUNT #: 05521043603	OPPENHEIMER ACTIVE ALLOCATION FUND BUY 0 Units @0.0000	50.00	0.50	0.00	0.50	88.0	0.44
03/26/2018	***-**-48JT - LEE, DARLENE ACCOUNT #: 00100021715	OPPENHEIMER GLBL REAL ESTATE FUND C BUY 0 Units @0.0000	50.00	0.50	0.00	0.50	88.0	0.44
03/20/2018	***-**-633J - ACCOUNT #: 01953330426	OPPENHEIMER INTERNATIONAL DIVERSIFI BUY 0 Units @0.0000	175.00	8.31	0.00	8.31	88.0	7.31



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BROKER #: A76
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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> 								
03/26/2018	***-**-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						
03/20/2018	***-**-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						
04/02/2018	***-**-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						
04/02/2018	***-**-241I - DINITTO, ALLISYN	PACIFIC LIFE SE5-NYB DTCC	425.00	12.75	0.00	12.75	88.0	11.22
	ACCOUNT #: VP71079280	BUY 0 Units @0.0000						
04/03/2018	***-**-65CL - GRUENEWALD, K,	PACIFIC LIFE SE5-NYB DTCC	0.00	1.93	0.00	1.93	88.0	1.70
	ACCOUNT #: VP71063000	BUY 0 Units @0.0000						
04/03/2018	***-**-65CL - GRUENEWALD, K,	PACIFIC LIFE SE5-NYB DTCC	0.00	3.49	0.00	3.49	88.0	3.07
	ACCOUNT #: VP71062990	BUY 0 Units @0.0000						
04/04/2018	***-**-241I - DINITTO, ALLISYN	PACIFIC LIFE SE5-NYB DTCC	0.00	0.98	0.00	0.98	88.0	0.86
	ACCOUNT #: VP71079280	BUY 0 Units @0.0000						
04/06/2018	***-**-213I - GRUENEWALD,	PACIFIC LIFE SE5-NYB DTCC	139.61	4.19	0.00	4.19	88.0	3.69
	ACCOUNT #: VP71028580	BUY 0 Units @0.0000						
04/06/2018	***-**-213I - GRUENEWALD,	PACIFIC LIFE SE5-NYB DTCC	27.79	0.83	0.00	0.83	88.0	0.73
	ACCOUNT #: VP71028580	BUY 0 Units @0.0000						
04/02/2018	***-**-420T - DEMETRI, AMELIA	PAR TECHNOLOGY CORP	3,605.25	33.37	0.00	33.37	88.0	29.37
	ACCOUNT #: LSR010994	SELL 250 Units @14.4210						
03/31/2018	***-**-366I - GRUENEWALD,	PRUDENTIAL VA TRAILS 74429P110	0.00	150.38	0.00	150.38	88.0	132.33
	ACCOUNT #: E1407725	BUY 0 Units @0.0000						
04/03/2018	***-**-702I - KOCHEM, MICHAEL	RESOURCE CREDIT INCOME FUND C	24,999.99	250.00	0.00	250.00	88.0	220.00
	ACCOUNT #: LSR010954	BUY 2246 Units @11.1300						
04/03/2018	***-**-960J - MASTRANGELO,	STEIN MART INC COM	2,820.00	31.99	0.00	31.99	88.0	28.15
	ACCOUNT #: LSR010966	BUY 2000 Units @1.4100						
04/05/2018	***-**-89IN - LEE, ROGER	STEIN MART INC COM	7,450.00	79.49	0.00	79.49	88.0	69.95
	ACCOUNT #: LSR011166	BUY 5000 Units @1.4900						
03/26/2018	***-**-851I - BLAKE, JAMES	TERRA INCOME FUND 6, INC.	12,500.00	500.00	0.00	500.00	88.0	440.00
		BUY 1147 Units @10.9000						
* KURT GRUENEWALD SUBTOTAL *			\$147,195.14	\$6,259.29	\$0.00	\$6,259.29		\$5,508.15
*** OVERRIDE TRANSACTIONS TOTAL ***			\$147,195.14	\$6,259.29	\$0.00	\$6,259.29		\$5,508.15



BROKER #: A76
BRANCH #01047 - 47 - GRIFFITH

				GROSS	BROKER
DATE	CLIENT	INVESTMENT	AMOUNT	COMMISSION	COMMISSION
BROKER COMMISSION TOTALS					
					\$3,727.67
					\$0.00
					\$5,508.15
					\$0.00
					\$0.00
					\$0.00
					\$0.00
					\$0.00
					\$0.00
					\$0.00
					\$9,235.82
					\$73,275.67