



# COMMISSION STATEMENT

January 08, 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
<b><u>BROKER TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: MUTUAL FUNDS</u></b>								
12/27/2017	***-**-6762 - MISHLANIE, ACCOUNT #: 00551362260	37252M108 BUY 5 Units @21.2600	115.00	5.75	0.00	5.75	88.0	5.06
12/18/2017	***-**-817I - WADSWORTH, ACCOUNT #: 04715332428	ALLIANCE BERNSTEIN LARGE-CAP GROWTH BUY 1 Units @36.1700	50.00	2.00	0.00	2.00	88.0	1.76
12/18/2017	***-**-801I - HAGAN III, ACCOUNT #: 00088485981	AMERICAN GLOBAL BALANCED CL C BUY 5 Units @32.9000	160.00	1.60	0.00	1.60	88.0	1.41
12/27/2017	***-**-817I - WADSWORTH, ACCOUNT #: 00067441742	AMERICAN GLOBAL BALANCED CL C BUY 3 Units @32.3400	110.00	1.10	0.00	1.10	88.0	0.97
12/18/2017	***-**-11IN - MOYLAN, TIMOTHY ACCOUNT #: 03222207458	CAPITAL APPRECIATION C BUY 0 Units @0.0000	6.15	0.06	0.00	0.06	88.0	0.05
12/18/2017	***-**-11IN - MOYLAN, TIMOTHY ACCOUNT #: 08370450780	EQUITY INCOME FUND, INC. C BUY 0 Units @0.0000	9.24	0.09	0.00	0.09	88.0	0.08
12/27/2017	***-**-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
12/29/2017	***-**-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
12/29/2017	***-**-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
12/27/2017	***-**-788I - ALBARRAN, CARLOS ACCOUNT #: 00085186008	FUNDAMENTAL INVESTORS-C BUY 2 Units @61.9500	100.00	1.00	0.00	1.00	88.0	0.88
12/18/2017	***-**-11IN - MOYLAN, TIMOTHY ACCOUNT #: 02171646359	GLOBAL OPPORTUNITIES FUND C BUY 0 Units @0.0000	6.15	0.06	0.00	0.06	88.0	0.05
12/27/2017	***-**-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
12/29/2017	***-**-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
12/20/2017	***-**-686I - STRUMPFLE, MARK ACCOUNT #: 00060352385	MFS GLOBAL TOTAL RETURN FUND-B BUY 4 Units @18.6800	75.00	3.00	0.00	3.00	88.0	2.64
01/04/2018	***-**-29IO - LORUSSO, VINCENT ACCOUNT #: 77089153301	NYA JPM 529 EQUITY INCOME PORTF C BUY 0 Units @0.0000	50.00	0.50	0.00	0.50	88.0	0.44
01/04/2018	***-**-0862 - REDMOND, EILEEN ACCOUNT #: 77172702502	NYA JPM 529 EQUITY INCOME PORTF C BUY 0 Units @0.0000	50.00	0.52	0.00	0.52	88.0	0.46



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<b>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: MUTUAL FUNDS (continued)</b>								
12/27/2017	***-**-91IN - RICHARDSON, ACCOUNT #: 00100011925	OPPENHEIMER CUSIP 68385X208 BUY 0 Units @0.0000	35.00	0.35	0.00	0.35	88.0	0.31
12/27/2017	***-**-91IN - RICHARDSON, ACCOUNT #: 07872241470	OPPENHEIMER DEV MARKETS FD CLASS C BUY 0 Units @0.0000	35.00	0.35	0.00	0.35	88.0	0.31
12/29/2017	***-**-0457 - STAGLIANO, GINA ACCOUNT #: 07871984301	OPPENHEIMER DEV MARKETS FD CLASS C BUY 0 Units @0.0000	5.42	0.05	0.00	0.05	88.0	0.04
12/27/2017	***-**-91IN - RICHARDSON, ACCOUNT #: 00100064439	OPPENHEIMER EMERG MKTS LOCAL DEBT F BUY 0 Units @0.0000	35.00	0.35	0.00	0.35	88.0	0.31
12/27/2017	***-**-91IN - RICHARDSON, ACCOUNT #: 00100025895	OPPENHEIMER GLBL HIGH YIELD FUND C BUY 0 Units @0.0000	35.00	0.35	0.00	0.35	88.0	0.31
12/29/2017	***-**-7473 - SCOTELLARO, ACCOUNT #: 00100018140	OPPENHEIMER GLBL REAL ESTATE FUND C BUY 0 Units @0.0000	25.00	0.25	0.00	0.25	88.0	0.22
12/18/2017	***-**-11IN - MOYLAN, TIMOTHY ACCOUNT #: 03322653882	OPPENHEIMER GLOBAL CLASS C BUY 0 Units @0.0000	3.08	0.03	0.00	0.03	88.0	0.03
12/29/2017	***-**-0457 - STAGLIANO, GINA ACCOUNT #: 03322653871	OPPENHEIMER GLOBAL CLASS C BUY 0 Units @0.0000	5.42	0.05	0.00	0.05	88.0	0.04
12/27/2017	***-**-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
12/18/2017	***-**-11IN - MOYLAN, TIMOTHY ACCOUNT #: 01970849123	OPPENHEIMER INTERNATIONAL DIVERSIFI BUY 0 Units @0.0000	12.31	0.12	0.00	0.12	88.0	0.11
12/27/2017	***-**-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
12/29/2017	***-**-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
12/29/2017	***-**-7473 - SCOTELLARO, ACCOUNT #: 01971001154	OPPENHEIMER INTERNATIONAL DIVERSIFI BUY 0 Units @0.0000	25.00	0.25	0.00	0.25	88.0	0.22
12/18/2017	***-**-11IN - MOYLAN, TIMOTHY ACCOUNT #: 02270899503	OPPENHEIMER RISING DIVIDENDS FUND C BUY 0 Units @0.0000	12.31	0.12	0.00	0.12	88.0	0.11
12/27/2017	***-**-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
12/29/2017	***-**-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



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<b>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: MUTUAL FUNDS (continued)</b>								
12/18/2017	***-**-522I - RIEBEN, HENRY	PUTNAM CAPITAL SPECTRUM FUND CL C	18.04	0.18	0.00	0.18	88.0	0.16
	ACCOUNT #: 00551360517	BUY 1 Units @32.9200						
12/18/2017	***-**-522I - RIEBEN, HENRY	PUTNAM EQUITY SPECTRUM FD CL C	18.04	0.18	0.00	0.18	88.0	0.16
	ACCOUNT #: 00551360517	BUY 0 Units @36.3100						
12/18/2017	***-**-522I - RIEBEN, HENRY	PUTNAM GLOBAL UTILITIES CL C	18.04	0.18	0.00	0.18	88.0	0.16
	ACCOUNT #: 00551360517	BUY 1 Units @13.7600						
01/03/2018	***-**-231J - MISHLANIE JR,	PUTNAM UTILITIES GR & INC-B	2,899.99	24.99	18.00	6.99	88.0	6.15
	ACCOUNT #: LSR010927	SELL 216 Units @13.4200						
12/27/2017	***-**-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						
12/18/2017	***-**-11IN - MOYLAN, TIMOTHY	QUEST INTERNATIONAL VALUE FUND, INC	6.15	0.06	0.00	0.06	88.0	0.05
	ACCOUNT #: 02560289795	BUY 0 Units @0.0000						
12/27/2017	***-**-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						
12/18/2017	***-**-11IN - MOYLAN, TIMOTHY	REAL ESTATE FUND C	6.15	0.06	0.00	0.06	88.0	0.05
	ACCOUNT #: 05920286891	BUY 0 Units @0.0000						
12/27/2017	***-**-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						
12/29/2017	***-**-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						
12/29/2017	***-**-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						
12/27/2017	***-**-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						
12/29/2017	***-**-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						
12/29/2017	***-**-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						
12/21/2017	***-**-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 @23.8800						
12/21/2017	***-**-469I - HAUCK, JUDITH	THE INCOME FUND OF AMERICA-A	250.00	5.00	0.00	5.00	88.0	4.40
	ACCOUNT #: 00087147439	BUY 10 Units @23.8800						
<b>* MUTUAL FUNDS SUBTOTAL *</b>			<b>\$4,562.97</b>	<b>\$53.42</b>	<b>\$18.00</b>	<b>\$35.42</b>		<b>\$31.15</b>



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<b>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: STOCKS</b>								
12/29/2017	***-**-467J - PICKARD, BRIAN ACCOUNT #: LSR010943	ARES CAPITAL CORP COM STK USD0.001 SELL 328 Units @15.7300	5,159.44	67.49	21.56	45.93	88.0	40.42
01/03/2018	***-**-231J - MISHLANIE JR, ACCOUNT #: LSR010927	GENERAL ELECTRIC CO UNSOLICITED ORD SELL 112 Units @18.2910	2,048.59	57.49	17.24	40.25	88.0	35.42
12/29/2017	***-**-61IN - GORCZYNSKI, ACCOUNT #: LSR010844	NORDIC AMERICAN TANKERS LIMITE COM SELL 500 Units @2.4700	1,235.00	49.99	25.00	24.99	88.0	21.99
12/29/2017	***-**-467J - PICKARD, BRIAN ACCOUNT #: LSR010943	NORDIC AMERICAN TANKERS LIMITE COM SELL 1000 Units @2.4700	2,470.00	39.99	35.00	4.99	88.0	4.39
12/29/2017	***-**-22IN - GRACIE, JULIA ACCOUNT #: LSR011019	NORDIC AMERICAN TANKERS LIMITE COM SELL 1000 Units @2.4700	2,470.00	49.99	35.00	14.99	88.0	13.19
01/03/2018	***-**-231J - MISHLANIE JR, ACCOUNT #: LSR010927	VALE S.A. SPONS ADR REPR 1 COM NPV SELL 121 Units @12.7950	1,548.20	57.49	17.42	40.07	88.0	35.26
* STOCKS SUBTOTAL *			<b>\$14,931.23</b>	<b>\$322.44</b>	<b>\$151.22</b>	<b>\$171.22</b>		<b>\$150.67</b>
<b>PRODUCT CATEGORY: 529 PLAN</b>								
01/08/2018	***-**-015P - SABANOSH, SHERYL ACCOUNT #: 66886699502	HARTFORD SMART 529 BUY 0 Units @0.0000	0.00	0.84	0.00	0.84	88.0	0.74
01/04/2018	***-**-225P - DAMSKY, CYNTHIA	NYA JPM 529 EQUITY INCOME PORTF C BUY 0 Units @0.0000	50.00	0.50	0.00	0.50	88.0	0.44
01/04/2018	***-**-93JT - WADSWORTH, ACCOUNT #: 77296639001	NYA JPM 529 EQUITY INCOME PORTF C BUY 0 Units @0.0000	100.00	4.05	0.00	4.05	88.0	3.56
01/04/2018	***-**-497I - MARTIN, KATHLEEN ACCOUNT #: 77699133301	NYA JPM 529 EQUITY INCOME PORTF C BUY 0 Units @0.0000	50.00	0.50	0.00	0.50	88.0	0.44
01/04/2018	***-**-225P - DAMSKY, CYNTHIA	NYA JPM 529 EQUITY INCOME PORTF C BUY 0 Units @0.0000	25.00	0.25	0.00	0.25	88.0	0.22
01/04/2018	***-**-0862 - REDMOND, EILEEN ACCOUNT #: 77172702501	NYA JPM 529 MOD GROWTH POR C BUY 0 Units @0.0000	75.00	0.75	0.00	0.75	88.0	0.66
* 529 PLAN SUBTOTAL *			<b>\$300.00</b>	<b>\$6.89</b>	<b>\$0.00</b>	<b>\$6.89</b>		<b>\$6.06</b>



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<b>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</b>								
01/02/2018	***-**-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						
01/02/2018	***-**-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						
01/02/2018	***-**-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						
01/02/2018	***-**-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						
01/02/2018	***-**-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						
01/02/2018	***-**-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						
01/02/2018	***-**-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						
01/02/2018	***-**-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						
12/18/2017	***-**-522I - RIEBEN, HENRY	PUTNAM MF TRAILS 37252M306	18.04	0.18	0.00	0.18	88.0	0.16
	ACCOUNT #: 00551360517	BUY 1 Units @19.9300						
<b>* MUTUAL FUND 12B1 TRAILS SUBTOTAL *</b>			<b>\$18.04</b>	<b>\$0.18</b>	<b>\$0.00</b>	<b>\$0.18</b>		<b>\$0.16</b>
<b>PRODUCT CATEGORY: VARIABLE ANNUITY 12B1 TRAILS</b>								
12/29/2017	***-**-03IN - BOSHART, PEGGY	AXA CUSIP 29452T645-NSCC	0.00	61.42	0.00	61.42	88.0	54.05
	ACCOUNT #: 303613057	BUY 0 Units @0.0000						
12/31/2017	***-**-93JT - WADSWORTH,	LINCOLN NATIONAL LIFE CUSIP 5337851	0.00	31.00	0.00	31.00	88.0	27.28
	ACCOUNT #: 951031290	BUY 0 Units @0.0000						
12/31/2017	***-**-69IN - DAVIS, BRUCE	LINCOLN NATIONAL LIFE CUSIP 5337855	0.00	31.29	0.00	31.29	88.0	27.54
	ACCOUNT #: 951030177	BUY 0 Units @0.0000						
<b>* VARIABLE ANNUITY 12B1 TRAILS SUBTOTAL *</b>			<b>\$0.00</b>	<b>\$123.71</b>	<b>\$0.00</b>	<b>\$123.71</b>		<b>\$108.87</b>
<b>*** BROKER TRANSACTIONS TOTAL ***</b>			<b>\$19,812.24</b>	<b>\$506.64</b>	<b>\$169.22</b>	<b>\$337.42</b>		<b>\$296.91</b>



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<b><u> OVERRIDE TRANSACTIONS </u></b>								
<b><u>BROKER: KURT GRUENEWALD</u></b>								
12/29/2017	***-**-86IN - LEE, KEVIN ACCOUNT #: GAX00761	ALLIANZ TRAILS 018812727 BUY 0 Units @0.0000	0.00	69.38	0.00	69.38	88.0	61.05
01/04/2018	***-**-6604 - REYNOLDS, DIANE ACCOUNT #: 5290810273	BLACKROCK FUNDS BUY 0 Units @0.0000	0.00	4.53	0.00	4.53	88.0	3.99
12/27/2017	***-**-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
12/27/2017	***-**-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
12/18/2017	***-**-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
12/26/2017	***-**-8901 - GURDO, ANTHONY ACCOUNT #: 00087491111	FUNDAMENTAL INVESTORS-C BUY 2 Units @61.8500	150.00	1.50	0.00	1.50	88.0	1.32
12/29/2017	***-**-20IO - DEMETRI, AMELIA ACCOUNT #: LSR010995	GENERAL ELECTRIC CO UNSOLICITED ORD BUY 40 Units @17.4500	698.00	10.95	0.00	10.95	88.0	9.64
12/27/2017	***-**-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
12/08/2017	***-**-531J - WILLIAMSON,	GWG L BOND - 7 YR BUY 15 Units @1000.0000	15,000.00	900.00	0.00	900.00	88.0	792.00
12/28/2017	***-**-63TR - EVANS, AUDREY J	GWG L BOND - 2YR BUY 10 Units @1000.0000	10,000.00	400.00	0.00	400.00	88.0	352.00
12/08/2017	***-**-531J - WILLIAMSON,	GWG L BOND - 5 YR BUY 10 Units @1000.0000	10,000.00	590.00	0.00	590.00	88.0	519.20
12/19/2017	***-**-72IN - GAVALO, JULIE	GWG L BOND - 5 YR BUY 5 Units @1000.0000	5,000.00	295.00	0.00	295.00	88.0	259.60
12/28/2017	***-**-63TR - EVANS, AUDREY J	GWG L BOND - 5 YR BUY 15 Units @1000.0000	15,000.00	885.00	0.00	885.00	88.0	778.80
12/08/2017	***-**-531J - WILLIAMSON,	GWG PREFERRED STOCK BUY 10 Units @1000.0000	10,000.00	660.00	0.00	660.00	88.0	580.80
12/19/2017	***-**-72IN - GAVALO, JULIE	GWG PREFERRED STOCK BUY 10 Units @1000.0000	10,000.00	660.00	0.00	660.00	88.0	580.80
12/29/2017	***-**-973I - LABAYEWSKI, ACCOUNT #: 712686815	HARTFORD LIFE CUSIP 41659Q159-NFS BUY 0 Units @0.0000	0.00	68.53	0.00	68.53	88.0	60.31



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BRANCH #01047 - 47 - GRIFFITH

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b><u> OVERRIDE TRANSACTIONS (continued) </u></b>								
<b><u> BROKER: KURT GRUENEWALD (continued) </u></b>								
12/29/2017	***-**-117I - LABAYEWSKI, ACCOUNT #: 712688346	HARTFORD LIFE CUSIP 41659Q159-NFS BUY 0 Units @0.0000	0.00	89.44	0.00	89.44	88.0	78.71
12/31/2017	***-**-89IN - LEE, ROGER ACCOUNT #: 1200175188	JACKSON 468511480 BUY 0 Units @0.0000	0.00	24.23	0.00	24.23	88.0	21.32
12/31/2017	***-**-65IN - GRUENEWALD, KURT ACCOUNT #: 951030124	LINCOLN NATIONAL LIFE CUSIP 5337855 BUY 0 Units @0.0000	0.00	212.05	0.00	212.05	88.0	186.60
12/22/2017	***-**-06IN - SATTERLY, ACCOUNT #: 08191336006	MFS 08191336006 BUY 3 Units @32.1600	100.00	1.00	0.00	1.00	88.0	0.88
12/26/2017	***-**-09IN - BATES, CHRISTINE ACCOUNT #: 08191196034	MFS EMERGING MARKETS EQUITY FUND-B BUY 23 Units @32.0100	750.00	30.00	0.00	30.00	88.0	26.40
12/20/2017	***-**-617I - ESCHE, BEVERLY ACCOUNT #: 08191154979	MFS GLOBAL TOTAL RETURN FUND-B BUY 3 Units @18.6800	50.00	2.00	0.00	2.00	88.0	1.76
12/26/2017	***-**-094I - KATRENA L ACCOUNT #: 08191140345	MFS GLOBAL TOTAL RETURN FUND-B BUY 3 Units @18.4500	50.00	2.00	0.00	2.00	88.0	1.76
12/20/2017	***-**-617I - ESCHE, BEVERLY ACCOUNT #: 08191154979	MFS INTERNATIONAL NEW DISCOVERY FUN BUY 2 Units @33.3400	50.00	2.00	0.00	2.00	88.0	1.76
12/26/2017	***-**-09IN - BATES, CHRISTINE ACCOUNT #: 08191196034	MFS INTERNATIONAL VALUE FUND-B BUY 18 Units @40.9100	750.00	30.00	0.00	30.00	88.0	26.40
12/26/2017	***-**-09IN - BATES, CHRISTINE ACCOUNT #: 08191196034	MFS NEW DISCOVERY FUND-B BUY 68 Units @22.0700	1,500.00	60.00	0.00	60.00	88.0	52.80
12/20/2017	***-**-06IN - SATTERLY, ACCOUNT #: 08191173302	MFS TECHNOLOGY FUND-B BUY 2 Units @32.1900	50.00	2.00	0.00	2.00	88.0	1.76
12/26/2017	***-**-09IN - BATES, CHRISTINE ACCOUNT #: 08191196034	MFS TOTAL RETURN FUND-B BUY 130 Units @19.1600	2,500.00	100.00	0.00	100.00	88.0	88.00
12/20/2017	***-**-617I - ESCHE, BEVERLY ACCOUNT #: 08191154979	MFS UTILITIES FUND-B BUY 2 Units @20.0300	50.00	2.00	0.00	2.00	88.0	1.76
12/26/2017	***-**-09IN - BATES, CHRISTINE ACCOUNT #: 08191196034	MFS UTILITIES FUND-B BUY 50 Units @19.9500	1,000.00	40.00	0.00	40.00	88.0	35.20
12/30/2017	***-**-00IO - LEE, GARY ACCOUNT #: 016295228	NATIONWIDE CUSIP 63890A108-NSCC BUY 0 Units @0.0000	0.00	199.82	0.00	199.82	88.0	175.84
01/04/2018	***-**-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



# COMMISSION STATEMENT

## January 08, 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
<b><u> OVERRIDE TRANSACTIONS (continued) </u></b>								
<b><u> BROKER: KURT GRUENEWALD (continued) </u></b>								
01/04/2018	***-**-635P - LASCALA, DEBORAH	NYA JPM 529 AGGR PORTI C	50.00	0.50	0.00	0.50	88.0	0.44
	ACCOUNT #: 77699193301	BUY 0 Units @0.0000						
01/04/2018	***-**-473J - HUSTON,	NYA JPM 529 MOD GROWTH POR C	400.00	4.00	0.00	4.00	88.0	3.52
	ACCOUNT #: 77852732401	BUY 0 Units @0.0000						
12/27/2017	***-**-633J -	OPP PORT SERIES: ACTIVE ALLOC A	175.00	8.31	0.00	8.31	88.0	7.31
	ACCOUNT #: 05502871176	BUY 0 Units @0.0000						
12/18/2017	***-**-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						
12/18/2017	***-**-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						
12/27/2017	***-**-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						
12/18/2017	***-**-48JT - LEE, DARLENE	OPPENHEIMER GLBL REAL ESTATE FUND C	50.00	0.50	0.00	0.50	88.0	0.44
	ACCOUNT #: 00100021715	BUY 0 Units @0.0000						
12/18/2017	***-**-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						
12/27/2017	***-**-633J -	OPPENHEIMER INTERNATIONAL DIVERSIFI	175.00	8.31	0.00	8.31	88.0	7.31
	ACCOUNT #: 01953330426	BUY 0 Units @0.0000						
12/27/2017	***-**-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						
12/26/2017	***-**-135I - LAWRENCE, ANDREW	PACIFIC LIFE SE5-NYB DTCC	344.07	10.32	0.00	10.32	88.0	9.08
	ACCOUNT #: VP71062850	BUY 0 Units @0.0000						
12/26/2017	***-**-135I - LAWRENCE, ANDREW	PACIFIC LIFE SE5-NYB DTCC	97.93	2.94	0.00	2.94	88.0	2.59
	ACCOUNT #: VP71062850	BUY 0 Units @0.0000						
01/02/2018	***-**-213I - GRUENEWALD,	PACIFIC LIFE SE5-NYB DTCC	171.59	5.15	0.00	5.15	88.0	4.53
	ACCOUNT #: VP71028580	BUY 0 Units @0.0000						
01/02/2018	***-**-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						
01/04/2018	***-**-135I - LAWRENCE, ANDREW	PACIFIC LIFE SE5-NYB DTCC	0.00	0.90	0.00	0.90	88.0	0.79
	ACCOUNT #: VP71062850	BUY 0 Units @0.0000						
12/31/2017	***-**-366I - GRUENEWALD,	PRUDENTIAL VA TRAILS 74429P110	0.00	148.62	0.00	148.62	88.0	130.79
	ACCOUNT #: E1407725	BUY 0 Units @0.0000						





# COMMISSION STATEMENT

January 08, 2018

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2108 Genesee St.  
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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b><u> OVERRIDE TRANSACTIONS (continued) </u></b>								
<b><u> BROKER: KURT GRUENEWALD (continued) </u></b>								
01/05/2018	***-**-35IN - RUGGIERO, LAURIE	RESOURCE REAL ESTATE-NFS	8,000.00	80.00	0.00	80.00	88.0	70.40
	ACCOUNT #: LSR012314	BUY 795 Units @10.0600						
12/20/2017	***-**-755P - SHEPPARD,	THE GROWTH FUND OF AMERICA-529C	50.00	0.50	0.00	0.50	88.0	0.44
	ACCOUNT #: 00084018452	BUY 1 Units @46.0500						
		* KURT GRUENEWALD SUBTOTAL *	<u>\$93,038.49</u>	<u>\$5,633.59</u>	<u>\$0.00</u>	<u>\$5,633.59</u>		<u>\$4,957.55</u>
		*** OVERRIDE TRANSACTIONS TOTAL ***	<u>\$93,038.49</u>	<u>\$5,633.59</u>	<u>\$0.00</u>	<u>\$5,633.59</u>		<u>\$4,957.55</u>

## **BROKER COMMISSION TOTALS**

Broker Transactions	\$296.91
Split Transactions	\$0.00
Override Transactions	\$4,957.55
Adjustments	\$0.00
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$0.00
FINRA Assessment	\$0.00
SIPC Assessment	\$0.00

<b>Net Commission Earned</b>	<b>\$5,254.46</b>
<b>Year-to-date Earnings</b>	<b>\$8,293.19</b>