



COMMISSION STATEMENT

May 07, 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>								
04/23/2018	***-**-11IN - MOYLAN, TIMOTHY	CAPITAL APPRECIATION C	6.85	0.07	0.00	0.07	88.0	0.06
	ACCOUNT #: 03222207458	BUY 0 Units @0.0000						
04/16/2018	***-**-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						
04/18/2018	***-**-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						
04/18/2018	***-**-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						
04/23/2018	***-**-11IN - MOYLAN, TIMOTHY	EQUITY INCOME FUND, INC. C	10.27	0.10	0.00	0.10	88.0	0.09
	ACCOUNT #: 08370450780	BUY 0 Units @0.0000						
04/25/2018	***-**-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						
04/30/2018	***-**-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						
04/16/2018	***-**-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						
04/18/2018	***-**-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						
04/23/2018	***-**-11IN - MOYLAN, TIMOTHY	GLOBAL OPPORTUNITIES FUND C	6.85	0.07	0.00	0.07	88.0	0.06
	ACCOUNT #: 02171646359	BUY 0 Units @0.0000						
04/25/2018	***-**-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						
04/30/2018	***-**-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						
04/10/2018	***-**-015P - SABANOSH, SHERYL	HARTFORD CHECKS AND BALANCED FUND C	1,625.00	77.19	0.00	77.19	88.0	67.93
		BUY 0 Units @0.0000						
04/10/2018	***-**-015P - SABANOSH, SHERYL	HARTFORD HEALTHCARE FUND	1,625.00	77.19	0.00	77.19	88.0	67.93
		BUY 0 Units @0.0000						
04/10/2018	***-**-015P - SABANOSH, SHERYL	HARTFORD QUALITY VALUE FUND	1,625.00	77.19	0.00	77.19	88.0	67.93
		BUY 0 Units @0.0000						
04/13/2018	***-**-949I - SCOTELLARO III,	INTERNATIONAL VALUE FUND	5,990.00	299.50	0.00	299.50	88.0	263.56
		BUY 0 Units @0.0000						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUNDS (continued)								
05/01/2018	***-**-173I - SHELDON, ACCOUNT #: LSR011917	MFS GLOBAL TOTAL RETURN FUND-B BUY 552 Units @18.1000	10,000.00	418.00	18.00	400.00	88.0	352.00
05/01/2018	***-**-9922 - BOSHART-LOWE, ACCOUNT #: LSR012291	MFS GLOBAL TOTAL RETURN FUND-B BUY 276 Units @18.1000	5,000.00	218.00	18.00	200.00	88.0	176.00
05/01/2018	***-**-2776 - BOSHART-LOWE, ACCOUNT #: LSR012292	MFS GLOBAL TOTAL RETURN FUND-B BUY 276 Units @18.1000	5,000.00	218.00	18.00	200.00	88.0	176.00
05/01/2018	***-**-267I - HAMMILL, ELISE ACCOUNT #: 08191335171	MFS GLOBAL TOTAL RETURN FUND-B BUY 4 Units @18.1000	75.00	3.00	0.00	3.00	88.0	2.64
05/01/2018	***-**-86IR - DINITTO, JOE ACCOUNT #: LSR011874	MFS TECHNOLOGY FUND-B BUY 161 Units @34.9600	5,644.99	243.80	18.00	225.80	88.0	198.70
04/16/2018	***-**-497I - MARTIN, KATHLEEN ACCOUNT #: 05520998470	OPPENHEIMER ACTIVE ALLOCATION FUND BUY 0 Units @0.0000	50.00	0.50	0.00	0.50	88.0	0.44
04/16/2018	***-**-91IN - RICHARDSON, ACCOUNT #: 00100011925	OPPENHEIMER CUSIP 68385X208 BUY 0 Units @0.0000	35.00	0.35	0.00	0.35	88.0	0.31
04/23/2018	***-**-91IN - RICHARDSON, ACCOUNT #: 00100011925	OPPENHEIMER CUSIP 68385X208 BUY 0 Units @0.0000	35.00	0.35	0.00	0.35	88.0	0.31
04/16/2018	***-**-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
04/18/2018	***-**-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
04/23/2018	***-**-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
04/25/2018	***-**-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
04/16/2018	***-**-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
04/23/2018	***-**-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
04/16/2018	***-**-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
04/23/2018	***-**-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



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUNDS (continued)								
04/18/2018	***-**-7473 - SCOTELLARO, ACCOUNT #: 00100018140	OPPENHEIMER GBL REAL ESTATE FUND C BUY 0 Units @0.0000	25.00	0.25	0.00	0.25	88.0	0.22
04/18/2018	***-**-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
04/23/2018	***-**-11IN - MOYLAN, TIMOTHY ACCOUNT #: 03322653882	OPPENHEIMER GLOBAL CLASS C BUY 0 Units @0.0000	3.42	0.03	0.00	0.03	88.0	0.03
04/25/2018	***-**-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
04/16/2018	***-**-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
04/23/2018	***-**-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
04/16/2018	***-**-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
04/18/2018	***-**-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
04/18/2018	***-**-7473 - SCOTELLARO, ACCOUNT #: 01971001154	OPPENHEIMER INTERNATIONAL DIVERSIFI BUY 0 Units @0.0000	25.00	0.25	0.00	0.25	88.0	0.22
04/23/2018	***-**-11IN - MOYLAN, TIMOTHY ACCOUNT #: 01970849123	OPPENHEIMER INTERNATIONAL DIVERSIFI BUY 0 Units @0.0000	13.69	0.14	0.00	0.14	88.0	0.12
04/25/2018	***-**-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
04/30/2018	***-**-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
04/16/2018	***-**-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
04/18/2018	***-**-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
04/23/2018	***-**-11IN - MOYLAN, TIMOTHY ACCOUNT #: 02270899503	OPPENHEIMER RISING DIVIDENDS FUND C BUY 0 Units @0.0000	13.69	0.14	0.00	0.14	88.0	0.12
04/25/2018	***-**-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



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUNDS (continued)								
04/30/2018	***-**-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						
04/16/2018	***-**-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						
04/23/2018	***-**-522I - RIEBEN, HENRY	PUTNAM CAPITAL SPECTRUM FUND CL C	18.24	0.18	0.00	0.18	88.0	0.16
	ACCOUNT #: 00551360517	BUY 1 Units @31.8900						
04/23/2018	***-**-522I - RIEBEN, HENRY	PUTNAM EQUITY SPECTRUM FD CL C	18.24	0.18	0.00	0.18	88.0	0.16
	ACCOUNT #: 00551360517	BUY 1 Units @34.5200						
04/23/2018	***-**-522I - RIEBEN, HENRY	PUTNAM GLOBAL UTILITIES CL C	18.24	0.18	0.00	0.18	88.0	0.16
	ACCOUNT #: 00551360517	BUY 1 Units @13.1300						
04/16/2018	***-**-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						
04/30/2018	***-**-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						
04/16/2018	***-**-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						
04/23/2018	***-**-11IN - MOYLAN, TIMOTHY	QUEST INTERNATIONAL VALUE FUND, INC	6.85	0.07	0.00	0.07	88.0	0.06
	ACCOUNT #: 02560289795	BUY 0 Units @0.0000						
04/30/2018	***-**-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						
04/16/2018	***-**-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						
04/18/2018	***-**-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						
04/23/2018	***-**-11IN - MOYLAN, TIMOTHY	REAL ESTATE FUND C	6.85	0.07	0.00	0.07	88.0	0.06
	ACCOUNT #: 05920286891	BUY 0 Units @0.0000						
04/25/2018	***-**-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						
04/30/2018	***-**-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						
04/18/2018	***-**-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						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUNDS (continued)								
04/25/2018	***-**-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						
04/16/2018	***-**-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						
04/18/2018	***-**-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						
04/25/2018	***-**-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						
04/30/2018	***-**-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						
04/18/2018	***-**-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						
04/10/2018	***-**-015P - SABANOSH, SHERYL	THE HARTFORD FLOATING RATE FUND	1,625.00	40.63	0.00	40.63	88.0	35.75
		BUY 0 Units @0.0000						
* MUTUAL FUNDS SUBTOTAL *			\$39,311.66	\$1,683.45	\$72.00	\$1,611.45		\$1,418.02
PRODUCT CATEGORY: STOCKS								
05/01/2018	***-**-474J - HAGAN JR,	ENERGY FUELS INC COM NEW ISIN #CA29	1,302.00	49.99	29.00	20.99	88.0	18.47
	ACCOUNT #: LSR010993	BUY 700 Units @1.8600						
05/01/2018	***-**-319I - HILLEBRAND, JOAN	INTEL CORP SOLICITED ORDER	5,297.30	97.49	18.00	79.49	88.0	69.95
	ACCOUNT #: LSR011002	SELL 100 Units @52.9730						
05/01/2018	***-**-762I - STORSBERG,	MERCK & CO INC NEW COM	11,457.00	137.49	19.00	118.49	88.0	104.27
	ACCOUNT #: LSR011688	BUY 200 Units @57.2850						
05/01/2018	***-**-361J - ALOISIO,	NATIONAL GRID SPON ADR EACH REP 5 O	5,802.90	97.49	17.00	80.49	88.0	70.83
	ACCOUNT #: LSR010864	BUY 100 Units @58.0290						
05/01/2018	***-**-467J - PICKARD, BRIAN	NORDIC AMERICAN TANKERS LIMITE COM	4,888.00	77.49	67.00	10.49	88.0	9.23
	ACCOUNT #: LSR010943	BUY 2600 Units @1.8800						
05/01/2018	***-**-244I - BURTON, RICHARD	NORDIC AMERICAN TANKERS LIMITE COM	3,348.00	67.49	51.00	16.49	88.0	14.51
	ACCOUNT #: LSR011997	BUY 1800 Units @1.8600						
05/01/2018	***-**-450I - SPAETH, JACK	PETROLEO BRASILEIRO SA PETROBRAS SP	5,136.00	92.49	23.00	69.49	88.0	61.15
	ACCOUNT #: LSR011015	SELL 400 Units @12.8400						
05/01/2018	***-**-762I - STORSBERG,	SQUARE INC CL A	4,774.00	67.49	17.00	50.49	88.0	44.43
	ACCOUNT #: LSR011688	SELL 100 Units @47.7400						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: STOCKS (continued)								
05/01/2018	***-**-522I - RIEBEN, HENRY	STEIN MART INC COM	5,050.00	67.49	18.00	49.49	88.0	43.55
	ACCOUNT #: LSR010964	BUY 2500 Units @2.0200						
05/01/2018	***-**-555I - SPAETH, CARLA	STEIN MART INC COM	1,507.50	49.99	18.00	31.99	88.0	28.15
	ACCOUNT #: LSR011016	BUY 750 Units @2.0100						
05/01/2018	***-**-42IN - JENKINS, DAVID	STEIN MART INC COM	2,020.00	49.99	18.00	31.99	88.0	28.15
	ACCOUNT #: LSR011776	BUY 1000 Units @2.0200						
05/01/2018	***-**-76IN - BOSHART-LOWE,	STEIN MART INC COM	4,060.00	67.49	18.00	49.49	88.0	43.55
	ACCOUNT #: LSR011840	BUY 2000 Units @2.0300						
05/01/2018	***-**-86IO - STRUMPFLER, MARK	STEIN MART INC COM	3,960.00	77.49	18.00	59.49	88.0	52.35
	ACCOUNT #: LSR012376	BUY 2000 Units @1.9800						
* STOCKS SUBTOTAL *			\$58,602.70	\$999.87	\$331.00	\$668.87		\$588.59
PRODUCT CATEGORY: 529 PLAN								
05/07/2018	***-**-015P - SABANOSH, SHERYL	HARTFORD SMART 529	0.00	0.79	0.00	0.79	88.0	0.70
	ACCOUNT #: 66886699502	BUY 0 Units @0.0000						
05/07/2018	***-**-0862 - REDMOND, EILEEN	NEW YORK 529 TRAILS	0.00	3.59	0.00	3.59	88.0	3.16
	ACCOUNT #: 77172702501	BUY 0 Units @0.0000						
05/07/2018	***-**-679I - MURSCH JR,	NEW YORK 529 TRAILS	0.00	7.59	0.00	7.59	88.0	6.68
	ACCOUNT #: 77041375401	BUY 0 Units @0.0000						
05/07/2018	***-**-745P - SCOTELLARO,	NEW YORK 529 TRAILS	0.00	7.87	0.00	7.87	88.0	6.93
		BUY 0 Units @0.0000						
05/07/2018	***-**-21IN - DANIELS, JOHN	NEW YORK 529 TRAILS	0.00	8.88	0.00	8.88	88.0	7.81
	ACCOUNT #: 77376247101	BUY 0 Units @0.0000						
05/07/2018	***-**-39IN - CLEARY, KAREN	NEW YORK 529 TRAILS	0.00	6.05	0.00	6.05	88.0	5.32
	ACCOUNT #: 77678090301	BUY 0 Units @0.0000						
05/07/2018	***-**-015P - SABANOSH, SHERYL	NEW YORK 529 TRAILS	0.00	7.67	0.00	7.67	88.0	6.75
	ACCOUNT #: 77775742701	BUY 0 Units @0.0000						
* 529 PLAN SUBTOTAL *			\$0.00	\$42.44	\$0.00	\$42.44		\$37.35



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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								
04/30/2018	***-**-57RI - DIPERNA, ROBERT	MFS TRAILS 552988610	300.00	3.00	0.00	3.00	88.0	2.64
	ACCOUNT #: 08189654783	BUY 19 Units @15.4400						
04/30/2018	***-**-51RI - DIPERNA, SANDRA	MFS TRAILS 552988610	300.00	3.00	0.00	3.00	88.0	2.64
	ACCOUNT #: 08191188649	BUY 19 Units @15.4400						
04/23/2018	***-**-522I - RIEBEN, HENRY	PUTNAM MF TRAILS 37252M306	18.24	0.18	0.00	0.18	88.0	0.16
	ACCOUNT #: 00551360517	BUY 1 Units @19.7000						
05/04/2018	***-**-22IN - GRACIE, JULIA	RESOURCE REAL ESTATES-NFS	0.00	2.61	0.00	2.61	88.0	2.30
	ACCOUNT #: LSR011019	BUY 1 Units @0.0000						
05/04/2018	***-**-22IN - GRACIE, JULIA	RESOURCE REAL ESTATES-NFS	0.00	2.64	0.00	2.64	88.0	2.32
	ACCOUNT #: LSR011019	BUY 1 Units @0.0000						
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *			\$618.24	\$11.43	\$0.00	\$11.43		\$10.06
*** BROKER TRANSACTIONS TOTAL ***			\$98,532.60	\$2,737.19	\$403.00	\$2,334.19		\$2,054.02

OVERRIDE TRANSACTIONS

BROKER: KURT GRUENEWALD

03/23/2018	***-**-188I - BRADLEY, WAYNE	TERRA INCOME FUND 6, INC.	-15,000.00	18.00	0.00	18.00	88.0	15.84
	ACCOUNT #: LSR012484	CANCEL 1521 Units @9.8600						
04/20/2018	***-**-579J - RHYMESTINE,	TERRA INCOME FUND 6, INC.	-25,000.00	18.00	0.00	18.00	88.0	15.84
	ACCOUNT #: LSR011081	CANCEL 2535 Units @9.8600						
04/16/2018	***-**-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						
04/23/2018	***-**-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						
04/16/2018	***-**-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						
04/23/2018	***-**-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						
04/23/2018	***-**-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						
04/26/2018	***-**-8901 - GURDO, ANTHONY	FUNDAMENTAL INVESTORS-C	150.00	1.50	0.00	1.50	88.0	1.32
	ACCOUNT #: 00087491111	BUY 2 Units @61.9000						



COMMISSION STATEMENT

May 07, 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>								
04/16/2018	***-**-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
04/23/2018	***-**-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
04/18/2018	***-**-579J - RHYMESTINE,	GWG L BOND - 7 YR BUY 30 Units @1000.0000	30,000.00	1,800.00	0.00	1,800.00	88.0	1,584.00
04/18/2018	***-**-579J - RHYMESTINE,	GWG L BOND - 2YR BUY 10 Units @1000.0000	10,000.00	400.00	0.00	400.00	88.0	352.00
04/12/2018	***-**-653I - KOCHER, CLINTON	GWG L BOND - 3YR BUY 10 Units @1000.0000	10,000.00	500.00	0.00	500.00	88.0	440.00
04/18/2018	***-**-579J - RHYMESTINE,	GWG L BOND - 3YR BUY 10 Units @1000.0000	10,000.00	500.00	0.00	500.00	88.0	440.00
03/26/2018	***-**-851I - BLAKE, JAMES	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
04/12/2018	***-**-653I - KOCHER, CLINTON	GWG L BOND - 5 YR BUY 10 Units @1000.0000	10,000.00	590.00	0.00	590.00	88.0	519.20
04/18/2018	***-**-579J - RHYMESTINE,	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
04/30/2018	***-**-89IN - LEE, ROGER ACCOUNT #: 1200175188	JACKSON 468511480 BUY 0 Units @0.0000	0.00	23.94	0.00	23.94	88.0	21.07
05/01/2018	***-**-579J - RHYMESTINE, ACCOUNT #: LSR011081	MERCK & CO INC NEW COM BUY 100 Units @57.7650	5,776.50	60.49	0.00	60.49	88.0	53.23
05/01/2018	***-**-51IR - BLAKE, JAMES ACCOUNT #: LSR012391	MERCK & CO INC NEW COM BUY 100 Units @57.2850	5,728.50	50.49	0.00	50.49	88.0	44.43
04/30/2018	***-**-13IN - RHYMESTINE, ACCOUNT #: 08191178476	MFS EMERGING MARKETS EQUITY FUND-B BUY 2 Units @32.8500	50.00	2.00	0.00	2.00	88.0	1.76
04/30/2018	***-**-13IN - RHYMESTINE, ACCOUNT #: 08191178476	MFS EMERGING MKT DEBT CL B BUY 3 Units @14.5400	50.00	2.00	0.00	2.00	88.0	1.76
04/25/2018	***-**-094I - KATRENA L ACCOUNT #: 08191140345	MFS GLOBAL TOTAL RETURN FUND-B BUY 3 Units @18.1400	50.00	2.00	0.00	2.00	88.0	1.76
04/30/2018	***-**-13IN - RHYMESTINE, ACCOUNT #: 08191178476	MFS INTERNATIONAL VALUE FUND-B BUY 2 Units @40.7100	100.00	4.00	0.00	4.00	88.0	3.52



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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>								
05/01/2018	***-**-53IN - EVANS, ANDREW	MFS TECHNOLOGY FUND-B	49.99	2.00	0.00	2.00	88.0	1.76
	ACCOUNT #: LSR011483	BUY 1 Units @34.9600						
04/30/2018	***-**-13IN - RHYMESTINE,	MFS TOTAL RETURN FUND-B	50.00	2.00	0.00	2.00	88.0	1.76
	ACCOUNT #: 08191178476	BUY 3 Units @18.5500						
05/01/2018	***-**-53IN - EVANS, ANDREW	MFS UTILITIES FUND-B	100.01	4.00	0.00	4.00	88.0	3.52
	ACCOUNT #: LSR011483	BUY 5 Units @19.9900						
05/01/2018	***-**-31IO - JOSEPH, ANN	NATIONAL GRID SPON ADR EACH REP 5 O	5,810.00	50.49	0.00	50.49	88.0	44.43
	ACCOUNT #: LSR012337	BUY 100 Units @58.1000						
05/07/2018	***-**-80IN - COBB, JAMES	NEW YORK 529 TRAILS	0.00	30.19	0.00	30.19	88.0	26.57
	ACCOUNT #: 77169961901	BUY 0 Units @0.0000						
05/07/2018	***-**-473J - HUSTON,	NEW YORK 529 TRAILS	0.00	13.58	0.00	13.58	88.0	11.95
	ACCOUNT #: 77852732401	BUY 0 Units @0.0000						
05/07/2018	***-**-665P - MCCLUSKY, YVONNE	NEW YORK 529 TRAILS	0.00	4.03	0.00	4.03	88.0	3.55
	ACCOUNT #: 77237884701	BUY 0 Units @0.0000						
05/07/2018	***-**-944O - MAYO, DEBORAH	NEW YORK 529 TRAILS	0.00	7.18	0.00	7.18	88.0	6.32
	ACCOUNT #: 77002217601	BUY 0 Units @0.0000						
05/07/2018	***-**-251I - SCALISE, MARY	NEW YORK 529 TRAILS	0.00	37.39	0.00	37.39	88.0	32.90
	ACCOUNT #: 77691153101	BUY 0 Units @0.0000						
05/07/2018	***-**-065P - CAMPBELL, PAMELA	NEW YORK 529 TRAILS	0.00	3.41	0.00	3.41	88.0	3.00
	ACCOUNT #: 77830931201	BUY 0 Units @0.0000						
05/01/2018	***-**-31IO - JOSEPH, ANN	NORDIC AMERICAN TANKERS LIMITE COM	3,720.00	2.49	0.00	2.49	88.0	2.19
	ACCOUNT #: LSR012337	BUY 2000 Units @1.8600						
05/01/2018	***-**-51IR - BLAKE, JAMES	NORDIC AMERICAN TANKERS LIMITE COM	4,650.00	2.49	0.00	2.49	88.0	2.19
	ACCOUNT #: LSR012391	BUY 2500 Units @1.8600						
04/16/2018	***-**-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						
04/23/2018	***-**-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						
04/16/2018	***-**-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						
04/23/2018	***-**-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						



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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
 OVERRIDE TRANSACTIONS (continued) 								
 BROKER: KURT GRUENEWALD (continued) 								
04/23/2018	***-**-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						
04/30/2018	***-**-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						
04/23/2018	***-**-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						
04/16/2018	***-**-633J -	OPPENHEIMER INTERNATIONAL DIVERSIFI	175.00	8.31	0.00	8.31	88.0	7.31
	ACCOUNT #: 01953330426	BUY 0 Units @0.0000						
04/23/2018	***-**-633J -	OPPENHEIMER INTERNATIONAL DIVERSIFI	175.00	8.31	0.00	8.31	88.0	7.31
	ACCOUNT #: 01953330426	BUY 0 Units @0.0000						
04/23/2018	***-**-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						
04/16/2018	***-**-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						
04/23/2018	***-**-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						
05/01/2018	***-**-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						
04/16/2018	***-**-63IN - LASCALA, DEBORAH	PUTNAM GLOBAL UTILITIES CL C	100.00	1.00	0.00	1.00	88.0	0.88
	ACCOUNT #: 00426855622	BUY 8 Units @13.1500						
05/01/2018	***-**-22IO - CLINTON, STEPHEN	RESOURCE CREDIT INCOME FUND C	10,000.00	100.00	0.00	100.00	88.0	88.00
	ACCOUNT #: LSR011684	BUY 896 Units @11.1600						
05/01/2018	***-**-99IO - EDELMAN, TINA	RESOURCE CREDIT INCOME FUND C	8,500.00	85.00	0.00	85.00	88.0	74.80
	ACCOUNT #: LSR011955	BUY 762 Units @11.1600						
05/01/2018	***-**-31IO - JOSEPH, ANN	RESOURCE CREDIT INCOME FUND C	10,000.00	100.00	0.00	100.00	88.0	88.00
	ACCOUNT #: LSR012337	BUY 896 Units @11.1600						
05/03/2018	***-**-51IR - BLAKE, JAMES	RESOURCE CREDIT INCOME FUND C	5,000.00	50.00	0.00	50.00	88.0	44.00
	ACCOUNT #: LSR012391	BUY 448 Units @11.1700						
04/19/2018	***-**-579J - RHYMESTINE,	TERRA INCOME FUND 6, INC.	25,000.00	1,000.00	0.00	1,000.00	88.0	880.00
		BUY 2294 Units @10.9000						
* KURT GRUENEWALD SUBTOTAL *			\$156,977.88	\$7,901.80	\$0.00	\$7,901.80		\$6,953.56
*** OVERRIDE TRANSACTIONS TOTAL ***			\$156,977.88	\$7,901.80	\$0.00	\$7,901.80		\$6,953.56



BROKER #: A76
BRANCH #01047 - 47 - GRIFFITH

DATE	CLIENT	INVESTMENT	AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION	
						<u>BROKER COMMISSION TOTALS</u>			
						Broker Transactions		\$2,054.02	
						Split Transactions		\$0.00	
						Override Transactions		\$6,953.56	
						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		\$9,007.58	
						Year-to-date Earnings		\$101,997.01	