



COMMISSION STATEMENT

August 13, 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>								
08/06/2018	***-**-953I - DINITTO, NICOLE	AMERICAN GLOBAL BALANCED CL C	175.00	1.75	0.00	1.75	88.0	1.54
	ACCOUNT #: 00088593891	BUY 5 Units @32.1600						
08/06/2018	***-**-953I - DINITTO, NICOLE	CAPITAL WORLD GROWTH AND INCOME FUN	175.00	1.75	0.00	1.75	88.0	1.54
	ACCOUNT #: 00088593891	BUY 3 Units @50.8700						
08/07/2018	***-**-788I - ALBARRAN, CARLOS	FUNDAMENTAL INVESTORS-C	100.00	1.00	0.00	1.00	88.0	0.88
	ACCOUNT #: 00085186008	BUY 2 Units @64.3800						
08/01/2018	***-**-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 @18.1400						
08/10/2018	***-**-58IO - CADY, GAIL	RESOURCE CREDIT INCOME FUND C	12,500.00	143.00	18.00	125.00	88.0	110.00
	ACCOUNT #: LSR012742	BUY 1104 Units @11.3200						
		* MUTUAL FUNDS SUBTOTAL *	\$13,025.00	\$150.50	\$18.00	\$132.50		\$116.60
<u>PRODUCT CATEGORY: STOCKS</u>								
08/07/2018	***-**-53TR - SABANOSH, ALAN R	GLAXOSMITHKLINE ADR EACH CNV INTO 2	4,143.00	67.49	17.00	50.49	88.0	44.43
	ACCOUNT #: LSR010917	SELL 100 Units @41.4300						
08/07/2018	***-**-53TR - SABANOSH, ALAN R	HESS CORP COM	5,512.29	87.49	16.64	70.85	88.0	62.35
	ACCOUNT #: LSR010917	SELL 82 Units @67.2230						
		* STOCKS SUBTOTAL *	\$9,655.29	\$154.98	\$33.64	\$121.34		\$106.78
<u>PRODUCT CATEGORY: 529 PLAN</u>								
08/13/2018	***-**-244I - BURTON, RICHARD	NY 529 ADDITIONAL DEPOSIT	50.00	0.50	0.00	0.50	88.0	0.44
	ACCOUNT #: 77243486101	BUY 0 Units @0.0000						
		* 529 PLAN SUBTOTAL *	\$50.00	\$0.50	\$0.00	\$0.50		\$0.44
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
08/02/2018	***-**-794I - INGERSOLL, JOAN	HARTFORD BALANCED INCOME FD CL A	0.00	0.41	0.00	0.41	88.0	0.36
	ACCOUNT #: 00000871758	BUY 0 Units @0.0000						
08/02/2018	***-**-015P - SABANOSH, SHERYL	HARTFORD CHECKS AND BALANCED FUND C	0.00	0.87	0.00	0.87	88.0	0.77
	ACCOUNT #: 00000856950	BUY 0 Units @0.0000						
08/02/2018	***-**-794I - INGERSOLL, JOAN	HARTFORD CHECKS AND BALANCED FUND C	0.00	0.46	0.00	0.46	88.0	0.40
	ACCOUNT #: 00000871758	BUY 0 Units @0.0000						
08/13/2018	***-**-753I - SABANOSH, ALAN	RESOURCE REAL ESTATE TRAILS	0.00	18.05	0.00	18.05	88.0	15.88
	ACCOUNT #: 20022581	BUY 0 Units @0.0000						



COMMISSION STATEMENT

August 13, 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
BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
08/13/2018	***-**-61IN - FILEY, JOHN	RESOURCE REAL ESTATE TRAILS BUY 0 Units @0.0000	0.00	18.97	0.00	18.97	88.0	16.69
08/13/2018	***-**-42IN - JENKINS, DAVID ACCOUNT #: 20032579	RESOURCE REAL ESTATE TRAILS BUY 0 Units @0.0000	0.00	8.63	0.00	8.63	88.0	7.59
08/13/2018	***-**-76IN - BOSHART-LOWE, ACCOUNT #: 20033053	RESOURCE REAL ESTATE TRAILS BUY 0 Units @0.0000	0.00	18.55	0.00	18.55	88.0	16.32
08/13/2018	***-**-599I - MCCARTHY, DONNA ACCOUNT #: 20033434	RESOURCE REAL ESTATE TRAILS BUY 0 Units @0.0000	0.00	0.35	0.00	0.35	88.0	0.31
08/13/2018	***-**-60IN - SCHRADER, KEVIN ACCOUNT #: 20021808	RESOURCE REAL ESTATE TRAILS BUY 0 Units @0.0000	0.00	13.79	0.00	13.79	88.0	12.14
08/13/2018	***-**-11IN - MOYLAN, TIMOTHY ACCOUNT #: 20022106	RESOURCE REAL ESTATE TRAILS BUY 0 Units @0.0000	0.00	10.33	0.00	10.33	88.0	9.09
08/13/2018	***-**-621I - DANIELS SR, JOHN ACCOUNT #: 20022107	RESOURCE REAL ESTATE TRAILS BUY 0 Units @0.0000	0.00	17.83	0.00	17.83	88.0	15.69
08/13/2018	***-**-01IN - HAGAN III, ACCOUNT #: 20022138	RESOURCE REAL ESTATE TRAILS BUY 0 Units @0.0000	0.00	17.83	0.00	17.83	88.0	15.69
08/13/2018	***-**-034J - NIKODEM, JOSEPH	RESOURCE REAL ESTATE TRAILS BUY 0 Units @0.0000	0.00	22.55	0.00	22.55	88.0	19.84
08/02/2018	***-**-794I - INGERSOLL, JOAN ACCOUNT #: 00000871758	THE HARTFORD EQUITY INCOME FUND - A BUY 0 Units @0.0000	0.00	0.61	0.00	0.61	88.0	0.54
08/02/2018	***-**-015P - SABANOSH, SHERYL ACCOUNT #: 00000856950	THE HARTFORD FLOATING RATE FUND - A BUY 0 Units @0.0000	0.00	0.67	0.00	0.67	88.0	0.59
08/02/2018	***-**-015P - SABANOSH, SHERYL ACCOUNT #: 00000856950	THE HARTFORD GLOBAL HEALTH FUND-A BUY 0 Units @0.0000	0.00	1.32	0.00	1.32	88.0	1.16
08/02/2018	***-**-015P - SABANOSH, SHERYL ACCOUNT #: 00000856950	THE HARTFORD VALUE OPPORTUNITIES FD BUY 0 Units @0.0000	0.00	0.99	0.00	0.99	88.0	0.87
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *			\$0.00	\$152.21	\$0.00	\$152.21		\$133.93
*** BROKER TRANSACTIONS TOTAL ***			\$22,730.29	\$458.19	\$51.64	\$406.55		\$357.75



COMMISSION STATEMENT

August 13, 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> OVERRIDE TRANSACTIONS </u>								
<u>BROKER: KURT GRUENEWALD</u>								
08/07/2018	***-**-480J - EVANS, RICHARD	AMERICAN BALANCED FUND-A	125.00	4.69	0.00	4.69	88.0	4.13
	ACCOUNT #: 00073288662	BUY 4 Units @29.1200						
08/10/2018	***-**-663I - LASCALA, DEBORAH	CIION ARES DIVERSIFIED CREDIT C	10,000.01	100.00	0.00	100.00	88.0	88.00
	ACCOUNT #: LSR012790	BUY 390 Units @25.6700						
08/13/2018	***-**-614J - BUSHEY, MATTHEW	NY 529 ADDITIONAL DEPOSIT	100.00	4.75	0.00	4.75	88.0	4.18
		BUY 0 Units @0.0000						
08/10/2018	***-**-702I - KOCHEM, MICHAEL	RESOURCE CREDIT INCOME FUND C	15,000.00	150.00	0.00	150.00	88.0	132.00
	ACCOUNT #: LSR010954	BUY 1325 Units @11.3200						
08/10/2018	***-**-11IO - LYNN G.	RESOURCE CREDIT INCOME FUND C	19,999.99	200.00	0.00	200.00	88.0	176.00
	ACCOUNT #: LSR011239	BUY 1767 Units @11.3200						
08/10/2018	***-**-376I - BERBEN, GAIL	RESOURCE CREDIT INCOME FUND C	15,000.00	150.00	0.00	150.00	88.0	132.00
	ACCOUNT #: LSR011380	BUY 1325 Units @11.3200						
08/13/2018	***-**-671I - EBERLEY, REID	RESOURCE REAL ESTATE TRAILS	0.00	13.53	0.00	13.53	88.0	11.91
	ACCOUNT #: 20021572	BUY 0 Units @0.0000						
08/13/2018	***-**-44IO - MAYO, DEBORAH	RESOURCE REAL ESTATE TRAILS	0.00	9.20	0.00	9.20	88.0	8.10
	ACCOUNT #: 020026000	BUY 0 Units @0.0000						
08/13/2018	***-**-524I - SCALISE, JOSEPH	RESOURCE REAL ESTATE TRAILS	0.00	0.52	0.00	0.52	88.0	0.46
		BUY 0 Units @0.0000						
08/13/2018	***-**-15IN - PENDRAK, JOHN	RESOURCE REAL ESTATE TRAILS	0.00	1.64	0.00	1.64	88.0	1.44
		BUY 0 Units @0.0000						
08/13/2018	***-**-44IO - MAYO, DEBORAH	RESOURCE REAL ESTATE TRAILS	0.00	24.73	0.00	24.73	88.0	21.76
	ACCOUNT #: 020026000	BUY 0 Units @0.0000						
08/13/2018	***-**-31IN - WARMUTH,	RESOURCE REAL ESTATE TRAILS	0.00	4.21	0.00	4.21	88.0	3.70
	ACCOUNT #: 20032739	BUY 0 Units @0.0000						
08/13/2018	***-**-531J - WILLIAMSON,	RESOURCE REAL ESTATE TRAILS	0.00	12.36	0.00	12.36	88.0	10.88
	ACCOUNT #: 20033096	BUY 0 Units @0.0000						
08/13/2018	***-**-65IN - LAZIO, THOMAS	RESOURCE REAL ESTATE TRAILS	0.00	17.83	0.00	17.83	88.0	15.69
	ACCOUNT #: 20010459	BUY 0 Units @0.0000						
08/13/2018	***-**-960J - MASTRANGELO,	RESOURCE REAL ESTATE TRAILS	0.00	16.48	0.00	16.48	88.0	14.50
	ACCOUNT #: 20002467	BUY 0 Units @0.0000						
08/10/2018	***-**-376I - BERBEN, GAIL	RESOURCE REAL ESTATE-NFS	20,000.00	200.00	0.00	200.00	88.0	176.00
	ACCOUNT #: LSR011380	BUY 1921 Units @10.4100						



COMMISSION STATEMENT

August 13, 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> 								
08/10/2018	***-**-726I - YADDAW, DEBRA	RESOURCE REAL ESTATE-NFS	12,499.99	125.00	0.00	125.00	88.0	110.00
	ACCOUNT #: LSR012338	BUY 1201 Units @10.4100						
08/07/2018	***-**-480J - EVANS, RICHARD	THE GROWTH FUND OF AMERICA-A	125.00	4.69	0.00	4.69	88.0	4.13
	ACCOUNT #: 00073288662	BUY 2 Units @58.3900						
* KURT GRUENEWALD SUBTOTAL *			\$92,849.99	\$1,039.63	\$0.00	\$1,039.63		\$914.88
*** OVERRIDE TRANSACTIONS TOTAL ***			\$92,849.99	\$1,039.63	\$0.00	\$1,039.63		\$914.88

BROKER COMMISSION TOTALS

Broker Transactions	\$357.75
Split Transactions	\$0.00
Override Transactions	\$914.88
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	\$1,272.63
Year-to-date Earnings	\$159,278.92