



COMMISSION STATEMENT

April 30, 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>								
04/16/2018	***-**-817I - WADSWORTH, ACCOUNT #: 00067441742	AMERICAN GLOBAL BALANCED CL C BUY 3 Units @32.7200	110.00	1.10	0.00	1.10	88.0	0.97
04/16/2018	***-**-801I - HAGAN III, ACCOUNT #: 00088485981	AMERICAN GLOBAL BALANCED CL C BUY 5 Units @32.7200	160.00	1.60	0.00	1.60	88.0	1.41
04/05/2018	***-**-953I - DINITTO, NICOLE ACCOUNT #: 00088593891	CAPITAL WORLD GROWTH AND INCOME FUN BUY 1 Units @50.7600	75.00	0.75	0.00	0.75	88.0	0.66
04/05/2018	***-**-953I - DINITTO, NICOLE ACCOUNT #: 00088593891	CAPITAL WORLD GROWTH AND INCOME FUN BUY 2 Units @50.7600	100.00	1.00	0.00	1.00	88.0	0.88
04/05/2018	***-**-953I - DINITTO, NICOLE ACCOUNT #: 00088593891	CAPITAL WORLD GROWTH AND INCOME FUN BUY 3 Units @50.7600	-175.00	-1.75	0.00	-1.75	88.0	-1.54
04/26/2018	***-**-510I - PEREZ, STACEY ACCOUNT #: LSR011827	CAPITAL WORLD GROWTH AND INCOME FUN BUY 390 Units @51.2400	20,000.00	218.00	18.00	200.00	88.0	176.00
04/16/2018	***-**-5485 - GAETANO, ACCOUNT #: 00082975488	EUROPACIFIC GROWTH FUND-A BUY 1 Units @60.0900	33.00	1.40	0.00	1.40	88.0	1.23
04/16/2018	***-**-788I - ALBARRAN, CARLOS ACCOUNT #: 00085186008	FUNDAMENTAL INVESTORS-C BUY 2 Units @62.4400	100.00	1.00	0.00	1.00	88.0	0.88
04/24/2018	***-**-762I - STORSBERG, ACCOUNT #: LSR011688	LORD ABBETT INTL DIVIDEND INC CL C BUY 1038 Units @7.7100	8,000.00	19.99	6.00	13.99	88.0	12.31
04/24/2018	***-**-762I - STORSBERG, ACCOUNT #: LSR011688	LORD ABBETT MULTI ASSET BALANCED OP BUY 433 Units @11.5600	5,000.00	19.99	6.00	13.99	88.0	12.31
04/24/2018	***-**-762I - STORSBERG, ACCOUNT #: LSR011688	LORD ABBETT MULTI ASSET GLOBAL OPP BUY 682 Units @10.2700	7,000.00	19.99	6.00	13.99	88.0	12.31
04/24/2018	***-**-762I - STORSBERG, ACCOUNT #: LSR011688	LORD ABBETT SHORT DURATION INCOME C SELL 1185 Units @4.2200	5,000.00	0.00	6.00	-6.00	100.0	-6.00
04/24/2018	***-**-762I - STORSBERG, ACCOUNT #: LSR011688	LORD ABBETT SHORT DURATION INCOME C SELL 1896 Units @4.2200	8,000.00	0.00	6.00	-6.00	100.0	-6.00
04/24/2018	***-**-762I - STORSBERG, ACCOUNT #: LSR011688	LORD ABBETT SHORT DURATION INCOME C SELL 1659 Units @4.2200	7,000.00	0.00	6.00	-6.00	100.0	-6.00
04/20/2018	***-**-686I - STRUMPFLER, MARK ACCOUNT #: 00060352385	MFS GLOBAL TOTAL RETURN FUND-B BUY 4 Units @18.3200	75.00	3.00	0.00	3.00	88.0	2.64
04/09/2018	***-**-522I - RIEBEN, HENRY ACCOUNT #: 00551360517	PUTNAM CAPITAL SPECTRUM FUND CL C BUY 1 Units @31.4200	18.04	0.18	0.00	0.18	88.0	0.16



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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUNDS (continued)								
04/09/2018	***-**-522I - RIEBEN, HENRY	PUTNAM EQUITY SPECTRUM FD CL C	18.04	0.18	0.00	0.18	88.0	0.16
	ACCOUNT #: 00551360517	BUY 1 Units @33.6100						
04/09/2018	***-**-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 @13.0800						
04/16/2018	***-**-5485 - GAETANO,	SMALLCAP WORLD FUND-A	33.00	1.40	0.00	1.40	88.0	1.23
	ACCOUNT #: 00082975488	BUY 1 Units @60.1300						
04/16/2018	***-**-5485 - GAETANO,	THE GROWTH FUND OF AMERICA-A	34.00	1.45	0.00	1.45	88.0	1.28
	ACCOUNT #: 00082975488	BUY 1 Units @54.4900						
* MUTUAL FUNDS SUBTOTAL *			\$60,599.12	\$289.46	\$54.00	\$235.46		\$205.05
PRODUCT CATEGORY: STOCKS								
04/26/2018	***-**-22IN - GRACIE, JULIA	ENERGY FUELS INC COM NEW ISIN #CA29	4,186.00	77.49	61.00	16.49	88.0	14.51
	ACCOUNT #: LSR011019	BUY 2300 Units @1.8200						
04/26/2018	***-**-77IR - MARRONE, FBO MR	STEIN MART INC COM	6,790.00	77.49	18.00	59.49	88.0	52.35
	ACCOUNT #: LSR011158	BUY 3500 Units @1.9400						
04/26/2018	***-**-77TR - MARRONE TTEE	STEIN MART INC COM	11,640.00	117.49	18.00	99.49	88.0	87.55
	ACCOUNT #: LSR011159	BUY 6000 Units @1.9400						
* STOCKS SUBTOTAL *			\$22,616.00	\$272.47	\$97.00	\$175.47		\$154.41
PRODUCT CATEGORY: 529 PLAN								
04/30/2018	***-**-93JT - WADSWORTH,	NYA JPM 529 ALL FIXED INCOME PO A	100.00	4.05	0.00	4.05	88.0	3.56
	ACCOUNT #: 77296639001	BUY 0 Units @0.0000						
04/26/2018	***-**-497I - MARTIN, KATHLEEN	NYA JPM 529 CONSV GROWTH A	25.00	0.25	0.00	0.25	88.0	0.22
		BUY 0 Units @0.0000						
04/30/2018	***-**-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						
04/30/2018	***-**-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						
04/30/2018	***-**-0862 - REDMOND, EILEEN	NYA JPM 529 MOD GROWTH POR C	125.00	1.27	0.00	1.27	88.0	1.12
	ACCOUNT #: 77172702501	BUY 0 Units @0.0000						
* 529 PLAN SUBTOTAL *			\$350.00	\$6.57	\$0.00	\$6.57		\$5.78



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS								
04/30/2018	***-**-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						
04/30/2018	***-**-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						
04/30/2018	***-**-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						
04/30/2018	***-**-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						
04/30/2018	***-**-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						
04/30/2018	***-**-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						
04/30/2018	***-**-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						
04/30/2018	***-**-762I - STORSBERG,	LORD ABBETT FNDAMNTL EQUITY FD CL C	0.00	1.60	0.00	1.60	88.0	1.41
	ACCOUNT #: LSR011688	BUY 1 Units @0.0000						
04/30/2018	***-**-762I - STORSBERG,	LORD ABBETT GROWTH OPPORTUNITIES CL	0.00	1.71	0.00	1.71	88.0	1.50
	ACCOUNT #: LSR011688	BUY 1 Units @0.0000						
04/30/2018	***-**-762I - STORSBERG,	LORD ABBETT SHORT DURATION INCOME C	0.00	4.35	0.00	4.35	88.0	3.83
	ACCOUNT #: LSR011688	BUY 1 Units @0.0000						
04/30/2018	***-**-61IN - FILEY, JOHN	LORD ABBETT SHORT DURATION INCOME C	0.00	1.45	0.00	1.45	88.0	1.28
	ACCOUNT #: LSR011723	BUY 1 Units @0.0000						
04/30/2018	***-**-762I - STORSBERG,	LORD ABBETT VALUE OPPORTUNITY FD CL	0.00	2.17	0.00	2.17	88.0	1.91
	ACCOUNT #: LSR011688	BUY 1 Units @0.0000						
04/30/2018	***-**-244I - BURTON, RICHARD	PL PORTFOLIO OPTIMIZATION MODERATE	0.00	1.35	0.00	1.35	88.0	1.19
	ACCOUNT #: LSR011997	BUY 1 Units @0.0000						
04/09/2018	***-**-522I - RIEBEN, HENRY	PUTNAM MF TRAILS 37252M306	18.04	0.18	0.00	0.18	88.0	0.16
	ACCOUNT #: 00551360517	BUY 1 Units @19.5100						
04/30/2018	***-**-25IN - PERRITANO,	TA ASSET ALLOC MODERATE PORT CL A	0.00	1.89	0.00	1.89	88.0	1.66
	ACCOUNT #: LSR010924	BUY 1 Units @0.0000						
04/30/2018	***-**-94UT - MISHLANIE,	TRANSAMERICA BALANCED - A	0.00	4.55	0.00	4.55	88.0	4.00
	ACCOUNT #: LSR010931	BUY 1 Units @0.0000						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
04/30/2018	***-**-41IN - HULL, ELMINA	TRANSAMERICA MLP & ENERGY INCOME CL	0.00	4.00	0.00	4.00	88.0	3.52
	ACCOUNT #: LSR010999	BUY 1 Units @0.0000						
04/30/2018	***-**-41IN - HULL, ELMINA	TRANSAMERICA MULT MAN ALT	0.00	3.52	0.00	3.52	88.0	3.10
	ACCOUNT #: LSR010999	BUY 1 Units @0.0000						
04/30/2018	***-**-656I - SMOLA, STANLEY	VOYA GLOBAL REAL ESTATE CLASS C	0.00	5.35	0.00	5.35	88.0	4.71
	ACCOUNT #: LSR010868	BUY 1 Units @0.0000						
		* MUTUAL FUND 12B1 TRAILS SUBTOTAL *	\$18.04	\$32.12	\$0.00	\$32.12		\$28.27
		*** BROKER TRANSACTIONS TOTAL ***	\$83,583.16	\$600.62	\$151.00	\$449.62		\$393.51

OVERRIDE TRANSACTIONS

BROKER: KURT GRUENEWALD

04/16/2018	***-**-5375 - CARTER, LISA	AMERICAN BALANCED FUND-529C	300.00	3.00	0.00	3.00	88.0	2.64
	ACCOUNT #: 00083996363	BUY 11 Units @26.9700						
04/23/2018	***-**-579J - RHYMESTINE,	AMERICAN FUNDS MORTGAGE FD CL C	15,000.00	150.00	0.00	150.00	88.0	132.00
	ACCOUNT #: LSR011081	BUY 1538 Units @9.7500						
04/23/2018	***-**-43IR - FRANZ, WAYNE	AMERICAN GLOBAL BALANCED CL C	5,000.02	50.00	0.00	50.00	88.0	44.00
	ACCOUNT #: LSR012602	BUY 154 Units @32.4900						
04/24/2018	***-**-382K - SATTERLY, NEIL	AMERICAN GLOBAL BALANCED CL C	5,000.01	50.00	0.00	50.00	88.0	44.00
	ACCOUNT #: LSR010875	BUY 155 Units @32.3600						
04/26/2018	***-**-6604 - REYNOLDS, DIANE	BLACKROCK FUNDS	0.00	4.69	0.00	4.69	88.0	4.13
	ACCOUNT #: 5290810273	BUY 0 Units @0.0000						
04/24/2018	***-**-579J - RHYMESTINE,	CAMECO CORP COM NPV ISIN #CA13321L1	6,102.00	70.49	0.00	70.49	88.0	62.03
	ACCOUNT #: LSR011081	BUY 600 Units @10.1700						
04/16/2018	***-**-0069 - KRECIDLO,	CAPITAL WORLD GROWTH AND INCOME FUN	75.00	0.75	0.00	0.75	88.0	0.66
	ACCOUNT #: 00083510637	BUY 1 Units @51.2400						
04/16/2018	***-**-2855 - KRECIDLO, MARTA	CAPITAL WORLD GROWTH AND INCOME FUN	75.00	0.75	0.00	0.75	88.0	0.66
	ACCOUNT #: 00083510745	BUY 1 Units @51.2400						
04/16/2018	***-**-680I - HARRELL, DARYL	CAPITAL WORLD GROWTH AND INCOME FUN	50.00	0.50	0.00	0.50	88.0	0.44
	ACCOUNT #: 00083996385	BUY 1 Units @51.2400						
04/23/2018	***-**-579J - RHYMESTINE,	EATON VANCE FLOATING RATE ADVANTAGE	15,000.00	150.00	0.00	150.00	88.0	132.00
	ACCOUNT #: LSR011081	BUY 1370 Units @10.9500						



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 OVERRIDE TRANSACTIONS (continued)								
 <u>BROKER: KURT GRUENEWALD (continued)</u>								
04/26/2018	***-**-9440 - MAYO, DEBORAH	EATON VANCE MF TRAILS	0.00	0.19	0.00	0.19	88.0	0.17
	ACCOUNT #: 5034930049	BUY 0 Units @0.0000						
04/26/2018	***-**-9440 - MAYO, DEBORAH	EATON VANCE MF TRAILS	0.00	0.24	0.00	0.24	88.0	0.21
	ACCOUNT #: 5034930049	BUY 0 Units @0.0000						
04/26/2018	***-**-579J - RHYMESTINE,	ENERGY FUELS INC COM NEW ISIN #CA29	4,550.00	2.49	0.00	2.49	88.0	2.19
	ACCOUNT #: LSR011081	BUY 2500 Units @1.8200						
04/30/2018	***-**-32IO - WITT, DEBORAH	FIDELITY GOVT MMKT DAILY MONEY CLAS	0.00	0.67	0.00	0.67	88.0	0.59
	ACCOUNT #: LSR012285	BUY 1 Units @0.0000						
04/16/2018	***-**-680I - HARRELL, DARYL	FUNDAMENTAL INVESTORS-C	50.00	0.50	0.00	0.50	88.0	0.44
	ACCOUNT #: 00083996385	BUY 1 Units @62.4400						
04/23/2018	***-**-579J - RHYMESTINE,	GENERAL ELECTRIC CO UNSOLICITED ORD	3,625.00	34.25	0.00	34.25	88.0	30.14
	ACCOUNT #: LSR011081	BUY 250 Units @14.5000						
04/25/2018	***-**-579J - RHYMESTINE,	GLAXOSMITHKLINE ADR EACH CNV INTO 2	7,820.00	58.49	0.00	58.49	88.0	51.47
	ACCOUNT #: LSR011081	BUY 200 Units @39.1000						
04/24/2018	***-**-15IN - PENDRAK, JOHN	LORD ABBETT MULTI ASSET BALANCED OP	5,000.00	13.99	0.00	13.99	88.0	12.31
	ACCOUNT #: LSR010948	BUY 433 Units @11.5600						
04/23/2018	***-**-43IR - FRANZ, WAYNE	LORD ABBETT SHORT DURATION INCOME C	3,000.00	30.00	0.00	30.00	88.0	26.40
	ACCOUNT #: LSR012602	BUY 711 Units @4.2200						
04/24/2018	***-**-579J - RHYMESTINE,	LORD ABBETT SHORT DURATION INCOME C	80,000.00	800.00	0.00	800.00	88.0	704.00
	ACCOUNT #: LSR011081	BUY 18957 Units @4.2200						
04/30/2018	***-**-44IO - MAYO, DEBORAH	LORD ABBETT SHORT DURATION INCOME C	0.00	19.03	0.00	19.03	88.0	16.75
	ACCOUNT #: LSR011079	BUY 1 Units @0.0000						
04/30/2018	***-**-579J - RHYMESTINE,	LORD ABBETT SHORT DURATION INCOME C	0.00	9.68	0.00	9.68	88.0	8.52
	ACCOUNT #: LSR011081	BUY 1 Units @0.0000						
04/30/2018	***-**-09IO - BATES, FBO MRS	LORD ABBETT SHORT DURATION INCOME C	0.00	12.82	0.00	12.82	88.0	11.28
	ACCOUNT #: LSR011117	BUY 1 Units @0.0000						
04/30/2018	***-**-89IN - LEE, ROGER	LORD ABBETT SHORT DURATION INCOME C	0.00	24.41	0.00	24.41	88.0	21.48
	ACCOUNT #: LSR011166	BUY 1 Units @0.0000						
04/30/2018	***-**-439J - MCCARTHY, JAMES	LORD ABBETT SHORT DURATION INCOME C	0.00	1.90	0.00	1.90	88.0	1.67
	ACCOUNT #: LSR011205	BUY 1 Units @0.0000						
04/30/2018	***-**-45IO - JOHNSON, GREGORY	LORD ABBETT SHORT DURATION INCOME C	0.00	12.77	0.00	12.77	88.0	11.24
	ACCOUNT #: LSR011421	BUY 1 Units @0.0000						



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 OVERRIDE TRANSACTIONS (continued)								
 <u>BROKER: KURT GRUENEWALD (continued)</u>								
04/30/2018	***-**-14IO - BUSHEY, MATTHEW	LORD ABBETT SHORT DURATION INCOME C	0.00	9.51	0.00	9.51	88.0	8.37
	ACCOUNT #: LSR011498	BUY 1 Units @0.0000						
04/23/2018	***-**-06IN - SATTERLY,	MFS 08191336006	100.00	1.00	0.00	1.00	88.0	0.88
	ACCOUNT #: 08191336006	BUY 3 Units @31.1900						
04/24/2018	***-**-382K - SATTERLY, NEIL	MFS CONSERVATIVE ALLOCATION CL C	5,000.00	50.00	0.00	50.00	88.0	44.00
	ACCOUNT #: LSR010875	BUY 331 Units @15.1200						
04/16/2018	***-**-213I - GRUENEWALD,	MFS GLOBAL NEW DISCOVERY FUND CL B	100.00	4.00	0.00	4.00	88.0	3.52
	ACCOUNT #: 08190131132	BUY 5 Units @19.2400						
04/17/2018	***-**-53RI - FALCHI, VALERIE	MFS GLOBAL TOTAL RETURN FUND-B	75.00	3.00	0.00	3.00	88.0	2.64
	ACCOUNT #: 08191172002	BUY 4 Units @18.5400						
04/20/2018	***-**-7617 - ESCHE, BEVERLY	MFS GLOBAL TOTAL RETURN FUND-B	50.00	2.00	0.00	2.00	88.0	1.76
	ACCOUNT #: 08191154979	BUY 3 Units @18.3200						
04/20/2018	***-**-7617 - ESCHE, BEVERLY	MFS INTERNATIONAL NEW DISCOVERY FUN	50.00	2.00	0.00	2.00	88.0	1.76
	ACCOUNT #: 08191154979	BUY 1 Units @34.7100						
04/16/2018	***-**-213I - GRUENEWALD,	MFS NEW DISCOVERY FUND-B	100.00	4.00	0.00	4.00	88.0	3.52
	ACCOUNT #: 08190131132	BUY 4 Units @23.4000						
04/23/2018	***-**-43IR - FRANZ, WAYNE	MFS TECHNOLOGY CLASS C	4,500.01	45.00	0.00	45.00	88.0	39.60
	ACCOUNT #: LSR012602	BUY 129 Units @34.8600						
04/16/2018	***-**-213I - GRUENEWALD,	MFS TECHNOLOGY FUND-B	100.00	4.00	0.00	4.00	88.0	3.52
	ACCOUNT #: 08190131132	BUY 3 Units @34.7900						
04/20/2018	***-**-06IN - SATTERLY,	MFS TECHNOLOGY FUND-B	50.00	2.00	0.00	2.00	88.0	1.76
	ACCOUNT #: 08191173302	BUY 1 Units @35.0900						
04/16/2018	***-**-094I - CIRILLO, CARL	MFS UTILITIES FUND-B	35.00	1.40	0.00	1.40	88.0	1.23
	ACCOUNT #: 08190127967	BUY 2 Units @19.8400						
04/16/2018	***-**-606I - LEWIS, TAMARA	MFS UTILITIES FUND-B	50.00	2.00	0.00	2.00	88.0	1.76
	ACCOUNT #: 08191352846	BUY 3 Units @19.8400						
04/20/2018	***-**-7617 - ESCHE, BEVERLY	MFS UTILITIES FUND-B	50.00	2.00	0.00	2.00	88.0	1.76
	ACCOUNT #: 08191154979	BUY 3 Units @19.8200						
04/23/2018	***-**-579J - RHYMESTINE,	NATIONAL GRID SPON ADR EACH REP 5 O	16,800.00	165.00	0.00	165.00	88.0	145.20
	ACCOUNT #: LSR011081	BUY 300 Units @56.0000						
04/16/2018	***-**-680I - HARRELL, DARYL	NEW WORLD FUND-C	50.00	0.50	0.00	0.50	88.0	0.44
	ACCOUNT #: 00083996385	BUY 1 Units @65.2100						



COMMISSION STATEMENT

April 30, 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>								
04/30/2018	***-**-473J - HUSTON, ACCOUNT #: 77852732401	NYA JPM 529 AGGR PORTI C BUY 0 Units @0.0000	-132.52	-1.39	0.00	-1.39	88.0	-1.22
04/30/2018	***-**-473J - HUSTON, ACCOUNT #: 77852732401	NYA JPM 529 AGGR PORTI C BUY 0 Units @0.0000	400.00	4.00	0.00	4.00	88.0	3.52
04/30/2018	***-**-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
04/30/2018	***-**-20IR - DEMETRI, AMELIA ACCOUNT #: 77854436501	NYA JPM 529 ALL FIXED INCOME PO A BUY 0 Units @0.0000	50.00	2.38	0.00	2.38	88.0	2.09
04/30/2018	***-**-0767 - DOVI, ACCOUNT #: 77579193101	NYA JPM 529 MOD GROWTH POR C BUY 0 Units @0.0000	25.00	0.25	0.00	0.25	88.0	0.22
04/30/2018	***-**-473J - HUSTON, ACCOUNT #: 77852732401	NYA JPM 529 MOD GROWTH POR C BUY 0 Units @0.0000	138.52	1.39	0.00	1.39	88.0	1.22
04/30/2018	***-**-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
04/30/2018	***-**-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
04/26/2018	***-**-579J - RHYMESTINE, ACCOUNT #: LSR011081	RESOURCE CREDIT INCOME FUND C BUY 2686 Units @11.1700	30,000.00	300.00	0.00	300.00	88.0	264.00
04/20/2018	***-**-755P - SHEPPARD, ACCOUNT #: 00084018452	THE GROWTH FUND OF AMERICA-529C BUY 1 Units @48.4800	50.00	0.50	0.00	0.50	88.0	0.44
04/16/2018	***-**-680I - HARRELL, DARYL ACCOUNT #: 00083996385	THE GROWTH FUND OF AMERICA-C BUY 1 Units @47.9100	50.00	0.50	0.00	0.50	88.0	0.44
04/30/2018	***-**-235I - AUGUSTINE III, ACCOUNT #: LSR010845	TRANSAMERICA MLP & ENERGY INCOME CL BUY 1 Units @0.0000	0.00	5.87	0.00	5.87	88.0	5.17
04/30/2018	***-**-881J - EBERLEY, SUSAN ACCOUNT #: LSR010856	TRANSAMERICA MLP & ENERGY INCOME CL BUY 1 Units @0.0000	0.00	6.93	0.00	6.93	88.0	6.10
04/30/2018	***-**-980I - ACEE, ELIZABETH ACCOUNT #: LSR010885	TRANSAMERICA MLP & ENERGY INCOME CL BUY 1 Units @0.0000	0.00	5.05	0.00	5.05	88.0	4.44
04/30/2018	***-**-031O - MCVOY, ROBERT ACCOUNT #: LSR010916	TRANSAMERICA MLP & ENERGY INCOME CL BUY 1 Units @0.0000	0.00	6.51	0.00	6.51	88.0	5.73
04/30/2018	***-**-959I - FRANZ, PAUL ACCOUNT #: LSR010959	TRANSAMERICA MLP & ENERGY INCOME CL BUY 1 Units @0.0000	0.00	11.65	0.00	11.65	88.0	10.25



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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)								
04/30/2018	***-**-73TR - WESTCOTT IRRVOC ACCOUNT #: LSR011001	TRANSAMERICA MLP & ENERGY INCOME CL BUY 1 Units @0.0000	0.00	5.65	0.00	5.65	88.0	4.97
04/30/2018	***-**-73TR - WESTCOTT IRRVOC ACCOUNT #: LSR011008	TRANSAMERICA MLP & ENERGY INCOME CL BUY 1 Units @0.0000	0.00	5.44	0.00	5.44	88.0	4.79
04/30/2018	***-**-44IO - MAYO, DEBORAH ACCOUNT #: LSR011079	TRANSAMERICA MLP & ENERGY INCOME CL BUY 1 Units @0.0000	0.00	6.70	0.00	6.70	88.0	5.90
04/30/2018	***-**-09IO - BATES, FBO MRS ACCOUNT #: LSR011117	TRANSAMERICA MLP & ENERGY INCOME CL BUY 1 Units @0.0000	0.00	10.78	0.00	10.78	88.0	9.49
04/30/2018	***-**-89IN - LEE, ROGER ACCOUNT #: LSR011166	TRANSAMERICA MLP & ENERGY INCOME CL BUY 1 Units @0.0000	0.00	12.22	0.00	12.22	88.0	10.75
04/30/2018	***-**-11IO - LYNN G. ACCOUNT #: LSR011239	TRANSAMERICA MLP & ENERGY INCOME CL BUY 1 Units @0.0000	0.00	10.38	0.00	10.38	88.0	9.13
04/30/2018	***-**-80IO - EVANS, RICHARD ACCOUNT #: LSR011276	TRANSAMERICA MLP & ENERGY INCOME CL BUY 1 Units @0.0000	0.00	6.95	0.00	6.95	88.0	6.12
04/30/2018	***-**-45IO - JOHNSON, GREGORY ACCOUNT #: LSR011421	TRANSAMERICA MLP & ENERGY INCOME CL BUY 1 Units @0.0000	0.00	8.77	0.00	8.77	88.0	7.72
04/30/2018	***-**-14IO - BUSHEY, MATTHEW ACCOUNT #: LSR011498	TRANSAMERICA MLP & ENERGY INCOME CL BUY 1 Units @0.0000	0.00	9.94	0.00	9.94	88.0	8.75
04/30/2018	***-**-287J - HINCKLEY, ACCOUNT #: LSR010841	TRANSAMERICA SHORT TERM BOND CL C BUY 1 Units @0.0000	0.00	13.23	0.00	13.23	88.0	11.64
04/30/2018	***-**-48IO - CLARK, PATRICK ACCOUNT #: LSR010911	TRANSAMERICA SHORT TERM BOND CL C BUY 1 Units @0.0000	0.00	10.30	0.00	10.30	88.0	9.06
04/30/2018	***-**-11IO - LYNN G. ACCOUNT #: LSR011239	TRANSAMERICA SHORT TERM BOND CL C BUY 1 Units @0.0000	0.00	15.35	0.00	15.35	88.0	13.51
04/30/2018	***-**-680I - HARRELL, DARYL ACCOUNT #: LSR011321	VOYA GLOBAL EQUITY DIVIDEND CLASS A BUY 1 Units @0.0000	0.00	1.86	0.00	1.86	88.0	1.64
04/30/2018	***-**-702I - KOCHEM, MICHAEL ACCOUNT #: LSR010954	VOYA GLOBAL REAL ESTATE CLASS A BUY 1 Units @0.0000	0.00	0.93	0.00	0.93	88.0	0.82
04/30/2018	***-**-959I - FRANZ, PAUL ACCOUNT #: LSR010959	VOYA GLOBAL REAL ESTATE CLASS A BUY 1 Units @0.0000	0.00	0.09	0.00	0.09	88.0	0.08
04/30/2018	***-**-30TR - AND SANDRA ACCOUNT #: LSR011939	VOYA GLOBAL REAL ESTATE CLASS A BUY 1 Units @0.0000	0.00	0.79	0.00	0.79	88.0	0.70



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<u> OVERRIDE TRANSACTIONS (continued) </u>								
<u>BROKER: KURT GRUENEWALD (continued)</u>								
04/30/2018	***-**-13IN - RHYMESTINE, ACCOUNT #: LSR011106	VOYA REAL ESTATE CLASS C BUY 1 Units @0.0000	0.00	4.49	0.00	4.49	88.0	3.95
04/23/2018	***-**-420T - DEMETRI, AMELIA ACCOUNT #: LSR010994	WEIGHT WATCHERS INTL INC NEW SELL 50 Units @70.4610	3,523.05	37.67	0.00	37.67	88.0	33.15
* KURT GRUENEWALD SUBTOTAL *			<u>\$211,911.09</u>	<u>\$2,304.70</u>	<u>\$0.00</u>	<u>\$2,304.70</u>		<u>\$2,028.15</u>
*** OVERRIDE TRANSACTIONS TOTAL ***			<u>\$211,911.09</u>	<u>\$2,304.70</u>	<u>\$0.00</u>	<u>\$2,304.70</u>		<u>\$2,028.15</u>

BROKER COMMISSION TOTALS

Broker Transactions	\$393.51
Split Transactions	\$0.00
Override Transactions	\$2,028.15
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	\$2,421.66
Year-to-date Earnings	\$92,989.43