



COMMISSION STATEMENT

May 28, 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>								
05/15/2018	***-**-817I - WADSWORTH, ACCOUNT #: 00067441742	AMERICAN GLOBAL BALANCED CL C BUY 3 Units @32.5600	110.00	1.10	0.00	1.10	88.0	0.97
05/16/2018	***-**-801I - HAGAN III, ACCOUNT #: 00088485981	AMERICAN GLOBAL BALANCED CL C BUY 5 Units @32.5800	160.00	1.60	0.00	1.60	88.0	1.41
05/21/2018	***-**-361J - ALOISIO, ACCOUNT #: LSR010886	EATON VANCE FLOATING RATE ADVANTAGE SELL 183 Units @10.9400	2,000.00	0.00	0.00	0.00	88.0	0.00
05/21/2018	***-**-361J - ALOISIO, ACCOUNT #: LSR010886	EATON VANCE FLOATING RATE ADVANTAGE SELL 402 Units @10.9400	4,400.00	0.00	0.00	0.00	88.0	0.00
05/15/2018	***-**-5485 - GAETANO, ACCOUNT #: 00082975488	EUROPACIFIC GROWTH FUND-A BUY 1 Units @60.5800	33.00	1.40	0.00	1.40	88.0	1.23
05/15/2018	***-**-788I - ALBARRAN, CARLOS ACCOUNT #: 00085186008	FUNDAMENTAL INVESTORS-C BUY 2 Units @62.9300	100.00	1.00	0.00	1.00	88.0	0.88
05/21/2018	***-**-686I - STRUMPFLE, MARK ACCOUNT #: 00060352385	MFS GLOBAL TOTAL RETURN FUND-B BUY 4 Units @18.1900	75.00	3.00	0.00	3.00	88.0	2.64
05/15/2018	***-**-5485 - GAETANO, ACCOUNT #: 00082975488	SMALLCAP WORLD FUND-A BUY 1 Units @60.9500	33.00	1.40	0.00	1.40	88.0	1.23
05/15/2018	***-**-5485 - GAETANO, ACCOUNT #: 00082975488	THE GROWTH FUND OF AMERICA-A BUY 1 Units @55.7400	34.00	1.45	0.00	1.45	88.0	1.28
* MUTUAL FUNDS SUBTOTAL *			\$6,945.00	\$10.95	\$0.00	\$10.95		\$9.64
<u>PRODUCT CATEGORY: STOCKS</u>								
05/18/2018	***-**-10IN - PEREZ, STACEY ACCOUNT #: LSR011832	BLOCK H & R INC SELL 300 Units @27.7100	8,313.00	147.49	21.00	126.49	88.0	111.31
05/18/2018	***-**-10IN - PEREZ, STACEY ACCOUNT #: LSR011832	GLAXOSMITHKLINE ADR EACH CNV INTO 2 SELL 200 Units @40.1000	8,020.00	157.49	19.00	138.49	88.0	121.87
05/18/2018	***-**-60IN - SCHRADER, KEVIN ACCOUNT #: LSR010897	STEIN MART INC COM BUY 3000 Units @3.2600	9,780.00	167.49	18.00	149.49	88.0	131.55
05/21/2018	***-**-58IN - SCHRECK, RYAN ACCOUNT #: LSR010873	STEIN MART INC COM BUY 1200 Units @3.0900	3,708.00	77.49	18.00	59.49	88.0	52.35
05/21/2018	***-**-804I - RIEBEN, ANNE ACCOUNT #: LSR010877	STEIN MART INC COM BUY 1500 Units @2.8800	4,320.00	77.49	18.00	59.49	88.0	52.35
05/21/2018	***-**-679I - MURSCH JR, ACCOUNT #: LSR010888	STEIN MART INC COM BUY 5000 Units @2.8580	14,290.00	97.49	18.00	79.49	88.0	69.95



COMMISSION STATEMENT

May 28, 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: STOCKS (continued)								
05/21/2018	***-**-679I - MURSCH JR, ACCOUNT #: LSR010888	STEIN MART INC COM BUY 2700 Units @3.0690	8,286.30	157.49	18.00	139.49	88.0	122.75
05/21/2018	***-**-60IN - SCHRADER, KEVIN ACCOUNT #: LSR010897	STEIN MART INC COM BUY 2000 Units @2.7700	5,540.00	99.99	18.00	81.99	88.0	72.15
05/21/2018	***-**-53TR - SABANOSH, ALAN R ACCOUNT #: LSR010917	STEIN MART INC COM BUY 1000 Units @2.8650	2,865.00	57.49	18.00	39.49	88.0	34.75
05/21/2018	***-**-369I - DAVIS, BRUCE ACCOUNT #: LSR011029	STEIN MART INC COM BUY 1500 Units @2.8800	4,320.00	84.99	18.00	66.99	88.0	58.95
05/21/2018	***-**-698J - FEISTHAMEL, MR ACCOUNT #: LSR011137	STEIN MART INC COM BUY 1200 Units @2.8300	3,396.00	67.49	18.00	49.49	88.0	43.55
05/21/2018	***-**-510I - PEREZ, STACEY ACCOUNT #: LSR011827	STEIN MART INC COM BUY 9000 Units @3.0880	27,792.00	547.49	18.00	529.49	88.0	465.95
* STOCKS SUBTOTAL *			\$100,630.30	\$1,739.88	\$220.00	\$1,519.88		\$1,337.48
*** BROKER TRANSACTIONS TOTAL ***			\$107,575.30	\$1,750.83	\$220.00	\$1,530.83		\$1,347.12

VERRIDE TRANSACTIONS

BROKER: KURT GRUENEWALD

05/15/2018	***-**-5375 - CARTER, LISA ACCOUNT #: 00083996363	AMERICAN BALANCED FUND-529C BUY 11 Units @27.0000	300.00	3.00	0.00	3.00	88.0	2.64
05/21/2018	***-**-22IN - CLINTON, STEPHEN ACCOUNT #: LSR012432	AMERICAN GLOBAL BALANCED CL C BUY 107 Units @32.6700	3,500.00	35.00	0.00	35.00	88.0	30.80
05/28/2018	***-**-6604 - REYNOLDS, DIANE ACCOUNT #: 5290810273	BLACKROCK TRAILS BUY 0 Units @0.0000	0.00	4.54	0.00	4.54	88.0	4.00
05/15/2018	***-**-0069 - KRECIDLO, ACCOUNT #: 00083510637	CAPITAL WORLD GROWTH AND INCOME FUN BUY 1 Units @51.8400	75.00	0.75	0.00	0.75	88.0	0.66
05/15/2018	***-**-2855 - KRECIDLO, MARTA ACCOUNT #: 00083510745	CAPITAL WORLD GROWTH AND INCOME FUN BUY 1 Units @51.8400	75.00	0.75	0.00	0.75	88.0	0.66
05/15/2018	***-**-680I - HARRELL, DARYL ACCOUNT #: 00083996385	CAPITAL WORLD GROWTH AND INCOME FUN BUY 1 Units @51.8400	50.00	0.50	0.00	0.50	88.0	0.44
05/18/2018	***-**-31IO - JOSEPH, ANN ACCOUNT #: LSR012337	EATON VANCE LTD DURATION INCOME FD BUY 100 Units @12.7500	1,275.00	1.75	0.00	1.75	88.0	1.54



COMMISSION STATEMENT

May 28, 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>								
05/18/2018	***-**-31IO - JOSEPH, ANN ACCOUNT #: LSR012337	EATON VANCE LTD DURATION INCOME FD BUY 100 Units @12.7500	1,275.00	16.75	0.00	16.75	88.0	14.74
05/18/2018	***-**-31IO - JOSEPH, ANN ACCOUNT #: LSR012337	EATON VANCE LTD DURATION INCOME FD BUY 100 Units @12.7500	1,275.00	16.75	0.00	16.75	88.0	14.74
05/18/2018	***-**-513I - RHYMESTINE, ACCOUNT #: LSR012457	EATON VANCE LTD DURATION INCOME FD BUY 100 Units @12.7500	1,275.00	1.75	0.00	1.75	88.0	1.54
05/18/2018	***-**-513I - RHYMESTINE, ACCOUNT #: LSR012457	EATON VANCE LTD DURATION INCOME FD BUY 100 Units @12.7500	1,275.00	16.75	0.00	16.75	88.0	14.74
05/18/2018	***-**-513I - RHYMESTINE, ACCOUNT #: LSR012457	EATON VANCE LTD DURATION INCOME FD BUY 78 Units @12.7500	994.50	13.07	0.00	13.07	88.0	11.50
05/18/2018	***-**-513I - RHYMESTINE, ACCOUNT #: LSR012457	EATON VANCE LTD DURATION INCOME FD BUY 22 Units @12.7500	280.50	3.69	0.00	3.69	88.0	3.25
05/22/2018	***-**-22IN - CLINTON, STEPHEN ACCOUNT #: LSR012432	EATON VANCE LTD DURATION INCOME FD BUY 176 Units @12.7000	2,235.20	31.50	0.00	31.50	88.0	27.72
05/15/2018	***-**-680I - HARRELL, DARYL ACCOUNT #: 00083996385	FUNDAMENTAL INVESTORS-C BUY 1 Units @62.9300	50.00	0.50	0.00	0.50	88.0	0.44
05/17/2018	***-**-366O - GRUENEWALD, ACCOUNT #: LSR010987	LOXO ONCOLOGY INC BUY 12 Units @167.0730	2,004.88	22.86	0.00	22.86	88.0	20.12
05/22/2018	***-**-06IN - SATTERLY, ACCOUNT #: 08191336006	MFS 08191336006 BUY 3 Units @31.2700	100.00	1.00	0.00	1.00	88.0	0.88
05/17/2018	***-**-53RI - FALCHI, VALERIE ACCOUNT #: 08191172002	MFS GLOBAL TOTAL RETURN FUND-B BUY 4 Units @18.1600	75.00	3.00	0.00	3.00	88.0	2.64
05/21/2018	***-**-7617 - ESCHE, BEVERLY ACCOUNT #: 08191154979	MFS GLOBAL TOTAL RETURN FUND-B BUY 3 Units @18.1900	50.00	2.00	0.00	2.00	88.0	1.76
05/21/2018	***-**-7617 - ESCHE, BEVERLY ACCOUNT #: 08191154979	MFS INTERNATIONAL NEW DISCOVERY FUN BUY 1 Units @34.6800	50.00	2.00	0.00	2.00	88.0	1.76
05/21/2018	***-**-06IN - SATTERLY, ACCOUNT #: 08191173302	MFS TECHNOLOGY FUND-B BUY 1 Units @36.4000	50.00	2.00	0.00	2.00	88.0	1.76
05/21/2018	***-**-7617 - ESCHE, BEVERLY ACCOUNT #: 08191154979	MFS UTILITIES FUND-B BUY 3 Units @19.8400	50.00	2.00	0.00	2.00	88.0	1.76
05/15/2018	***-**-680I - HARRELL, DARYL ACCOUNT #: 00083996385	NEW WORLD FUND-C BUY 1 Units @65.3500	50.00	0.50	0.00	0.50	88.0	0.44



COMMISSION STATEMENT

May 28, 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 (continued) </u>								
<u>BROKER: KURT GRUENEWALD (continued)</u>								
05/17/2018	***-**-513I - RHYMESTINE, ACCOUNT #: LSR012457	PUTNAM GLOBAL CONSUMER FUND CL C BUY 355 Units @21.1100	7,500.00	75.00	0.00	75.00	88.0	66.00
05/21/2018	***-**-22IN - CLINTON, STEPHEN ACCOUNT #: LSR012432	PUTNAM GLOBAL CONSUMER FUND CL C BUY 142 Units @21.1900	3,000.00	30.00	0.00	30.00	88.0	26.40
05/18/2018	***-**-15IN - PENDRAK, JOHN ACCOUNT #: LSR010948	STEIN MART INC COM BUY 6000 Units @3.2400	19,440.00	326.14	0.00	326.14	88.0	287.00
05/21/2018	***-**-930I - SANGER, KEVIN ACCOUNT #: LSR010941	STEIN MART INC COM BUY 1000 Units @2.9300	2,930.00	79.49	0.00	79.49	88.0	69.95
05/21/2018	***-**-15IN - PENDRAK, JOHN ACCOUNT #: LSR010948	STEIN MART INC COM BUY 2000 Units @2.7500	5,500.00	79.99	0.00	79.99	88.0	70.39
05/21/2018	***-**-960J - MASTRANGELO, ACCOUNT #: LSR010966	STEIN MART INC COM BUY 1000 Units @2.8200	2,820.00	39.49	0.00	39.49	88.0	34.75
05/21/2018	***-**-579J - RHYMESTINE, ACCOUNT #: LSR011081	STEIN MART INC COM BUY 2000 Units @2.8700	5,740.00	49.49	0.00	49.49	88.0	43.55
05/15/2018	***-**-680I - HARRELL, DARYL ACCOUNT #: 00083996385	THE GROWTH FUND OF AMERICA-C BUY 1 Units @48.9700	50.00	0.50	0.00	0.50	88.0	0.44
* KURT GRUENEWALD SUBTOTAL *			\$63,345.08	\$862.51	\$0.00	\$862.51		\$759.01
*** OVERRIDE TRANSACTIONS TOTAL ***			\$63,345.08	\$862.51	\$0.00	\$862.51		\$759.01



BROKER #: A76
BRANCH #01047 - 47 - GRIFFITH

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<div>BROKER COMMISSION TOTALS</div>								
						Broker Transactions		\$1,347.12
						Split Transactions		\$0.00
						Override Transactions		\$759.01
						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		\$2,106.13
						Year-to-date Earnings		\$115,976.06