



# COMMISSION STATEMENT

## February 19, 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>								
02/05/2018	***-**-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 @32.4600						
02/06/2018	***-**-817I - WADSWORTH,	AMERICAN GLOBAL BALANCED CL C	110.00	1.10	0.00	1.10	88.0	0.97
	ACCOUNT #: 00067441742	BUY 3 Units @32.6000						
02/05/2018	***-**-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 @50.7400						
02/06/2018	***-**-788I - ALBARRAN, CARLOS	FUNDAMENTAL INVESTORS-C	100.00	1.00	0.00	1.00	88.0	0.88
	ACCOUNT #: 00085186008	BUY 2 Units @62.7300						
02/09/2018	***-**-599I - MCCARTHY, DONNA	MFS GLOBAL TOTAL RETURN FUND-B	9,999.99	418.00	18.00	400.00	88.0	352.00
	ACCOUNT #: LSR011894	BUY 549 Units @18.2200						
02/13/2018	***-**-169I - DUNN, CHRISTINE	MFS GLOBAL TOTAL RETURN FUND-B	11,500.00	478.00	18.00	460.00	88.0	404.80
	ACCOUNT #: LSR012417	BUY 625 Units @18.3900						
02/06/2018	***-**-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 @23.8100						
02/06/2018	***-**-469I - HAUCK, JUDITH	THE INCOME FUND OF AMERICA-A	300.00	6.00	0.00	6.00	88.0	5.28
	ACCOUNT #: 00087147439	BUY 13 Units @23.8100						
<b>* MUTUAL FUNDS SUBTOTAL *</b>			<b>\$22,458.07</b>	<b>\$909.56</b>	<b>\$36.00</b>	<b>\$873.56</b>		<b>\$768.73</b>
<b><u>PRODUCT CATEGORY: STOCKS</u></b>								
02/09/2018	***-**-510I - PEREZ, STACEY	NATIONAL GRID SPON ADR EACH REP 5 O	10,525.00	147.49	19.00	128.49	88.0	113.07
	ACCOUNT #: LSR011827	BUY 200 Units @52.6250						
02/09/2018	***-**-510I - PEREZ, STACEY	NORDIC AMERICAN TANKERS LIMITE COM	3,932.00	67.49	55.00	12.49	88.0	10.99
	ACCOUNT #: LSR011827	BUY 2000 Units @1.9660						
<b>* STOCKS SUBTOTAL *</b>			<b>\$14,457.00</b>	<b>\$214.98</b>	<b>\$74.00</b>	<b>\$140.98</b>		<b>\$124.06</b>
<b><u>PRODUCT CATEGORY: 529 PLAN</u></b>								
02/14/2018	***-**-244I - BURTON, RICHARD	NYA JPM 529 EQUITY INCOME PORTF C	50.00	0.50	0.00	0.50	88.0	0.44
	ACCOUNT #: 77243486101	BUY 0 Units @0.0000						
<b>* 529 PLAN SUBTOTAL *</b>			<b>\$50.00</b>	<b>\$0.50</b>	<b>\$0.00</b>	<b>\$0.50</b>		<b>\$0.44</b>



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<b><u>BROKER TRANSACTIONS (continued)</u></b>								
<b><u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u></b>								
02/02/2018	***-**-794I - INGERSOLL, JOAN	HARTFORD BALANCED INCOME FD CL A	0.00	0.43	0.00	0.43	88.0	0.38
	ACCOUNT #: 00000871758	BUY 0 Units @0.0000						
02/02/2018	***-**-015P - SABANOSH, SHERYL	HARTFORD CHECKS AND BALANCED FUND C	0.00	0.53	0.00	0.53	88.0	0.47
	ACCOUNT #: 00000856950	BUY 0 Units @0.0000						
02/02/2018	***-**-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						
02/14/2018	***-**-015P - SABANOSH, SHERYL	HARTFORD SMART 529	0.00	0.86	0.00	0.86	88.0	0.76
		BUY 0 Units @0.0000						
02/14/2018	***-**-679I - MURSCH JR,	NEW YORK 529 TRAILS	0.00	4.52	0.00	4.52	88.0	3.98
	ACCOUNT #: 77041375401	BUY 0 Units @0.0000						
02/14/2018	***-**-541I - ORSINO, LISA	NEW YORK 529 TRAILS	0.00	3.54	0.00	3.54	88.0	3.12
	ACCOUNT #: 77049971001	BUY 0 Units @0.0000						
02/14/2018	***-**-745P - SCOTELLARO,	NEW YORK 529 TRAILS	0.00	1.87	0.00	1.87	88.0	1.65
		BUY 0 Units @0.0000						
02/14/2018	***-**-225P - DAMSKY, CYNTHIA	NEW YORK 529 TRAILS	0.00	3.62	0.00	3.62	88.0	3.19
		BUY 0 Units @0.0000						
02/14/2018	***-**-0862 - REDMOND, EILEEN	NEW YORK 529 TRAILS	0.00	2.66	0.00	2.66	88.0	2.34
	ACCOUNT #: 77172702501	BUY 0 Units @0.0000						
02/14/2018	***-**-467I - PICKARD, BRIAN	NEW YORK 529 TRAILS	0.00	1.16	0.00	1.16	88.0	1.02
	ACCOUNT #: 77247884901	BUY 0 Units @0.0000						
02/14/2018	***-**-93JT - WADSWORTH,	NEW YORK 529 TRAILS	0.00	1.53	0.00	1.53	88.0	1.35
	ACCOUNT #: 77296639001	BUY 0 Units @0.0000						
02/14/2018	***-**-21IN - DANIELS, JOHN	NEW YORK 529 TRAILS	0.00	9.65	0.00	9.65	88.0	8.49
	ACCOUNT #: 77376247101	BUY 0 Units @0.0000						
02/14/2018	***-**-0862 - REDMOND, EILEEN	NEW YORK 529 TRAILS	0.00	0.43	0.00	0.43	88.0	0.38
	ACCOUNT #: 77519113701	BUY 0 Units @0.0000						
02/14/2018	***-**-39IN - CLEARY, KAREN	NEW YORK 529 TRAILS	0.00	4.96	0.00	4.96	88.0	4.36
	ACCOUNT #: 77678090301	BUY 0 Units @0.0000						
02/14/2018	***-**-497I - MARTIN, KATHLEEN	NEW YORK 529 TRAILS	0.00	1.42	0.00	1.42	88.0	1.25
		BUY 0 Units @0.0000						
02/14/2018	***-**-015P - SABANOSH, SHERYL	NEW YORK 529 TRAILS	0.00	8.14	0.00	8.14	88.0	7.16
	ACCOUNT #: 77775742701	BUY 0 Units @0.0000						



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<b>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b>								
02/02/2018	***-**-794I - INGERSOLL, JOAN	THE HARTFORD EQUITY INCOME FUND - A	0.00	0.63	0.00	0.63	88.0	0.55
	ACCOUNT #: 00000871758	BUY 0 Units @0.0000						
02/02/2018	***-**-015P - SABANOSH, SHERYL	THE HARTFORD FLOATING RATE FUND - A	0.00	0.33	0.00	0.33	88.0	0.29
	ACCOUNT #: 00000856950	BUY 0 Units @0.0000						
02/02/2018	***-**-015P - SABANOSH, SHERYL	THE HARTFORD GLOBAL HEALTH FUND-A	0.00	0.94	0.00	0.94	88.0	0.83
	ACCOUNT #: 00000856950	BUY 0 Units @0.0000						
02/02/2018	***-**-015P - SABANOSH, SHERYL	THE HARTFORD VALUE OPPORTUNITIES FD	0.00	0.67	0.00	0.67	88.0	0.59
	ACCOUNT #: 00000856950	BUY 0 Units @0.0000						
<b>* MUTUAL FUND 12B1 TRAILS SUBTOTAL *</b>			<b>\$0.00</b>	<b>\$48.35</b>	<b>\$0.00</b>	<b>\$48.35</b>		<b>\$42.56</b>
<b>*** BROKER TRANSACTIONS TOTAL ***</b>			<b>\$36,965.07</b>	<b>\$1,173.39</b>	<b>\$110.00</b>	<b>\$1,063.39</b>		<b>\$935.79</b>

### VERRIDE TRANSACTIONS

#### BROKER: KURT GRUENEWALD

02/09/2018	***-**-959I - FRANZ, PAUL	AMAZON.COM INC UNSOLICITED ORDER	13,100.00	133.00	0.00	133.00	88.0	117.04
	ACCOUNT #: LSR010959	BUY 10 Units @1310.0000						
02/07/2018	***-**-480J - EVANS, RICHARD	AMERICAN BALANCED FUND-A	100.00	4.25	0.00	4.25	88.0	3.74
	ACCOUNT #: 00073288662	BUY 4 Units @28.4800						
02/13/2018	***-**-511R - BLAKE, JAMES	AMERICAN GLOBAL BALANCED CL C	9,999.99	100.00	0.00	100.00	88.0	88.00
	ACCOUNT #: LSR012391	BUY 310 Units @32.2600						
02/09/2018	***-**-15IN - PENDRAK, JOHN	NATIONAL GRID SPON ADR EACH REP 5 O	5,261.00	70.49	0.00	70.49	88.0	62.03
	ACCOUNT #: LSR010948	BUY 100 Units @52.6100						
02/14/2018	***-**-944O - MAYO, DEBORAH	NEW YORK 529 TRAILS	0.00	7.76	0.00	7.76	88.0	6.83
	ACCOUNT #: 77002217601	BUY 0 Units @0.0000						
02/14/2018	***-**-80IN - COBB, JAMES	NEW YORK 529 TRAILS	0.00	34.88	0.00	34.88	88.0	30.69
	ACCOUNT #: 77169961902	BUY 0 Units @0.0000						
02/14/2018	***-**-665P - MCCLUSKY, YVONNE	NEW YORK 529 TRAILS	0.00	0.83	0.00	0.83	88.0	0.73
	ACCOUNT #: 77237884701	BUY 0 Units @0.0000						
02/14/2018	***-**-0069 - KRECIDLO,	NEW YORK 529 TRAILS	0.00	2.09	0.00	2.09	88.0	1.84
	ACCOUNT #: 77308070501	BUY 0 Units @0.0000						
02/14/2018	***-**-614J - BUSHEY, MATTHEW	NEW YORK 529 TRAILS	0.00	3.17	0.00	3.17	88.0	2.79
		BUY 0 Units @0.0000						



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<b><u> OVERRIDE TRANSACTIONS (continued) </u></b>								
<b><u> BROKER: KURT GRUENEWALD (continued) </u></b>								
02/14/2018	***-**-5384 - GURDO, JESSICA	NEW YORK 529 TRAILS BUY 0 Units @0.0000	0.00	0.44	0.00	0.44	88.0	0.39
02/14/2018	***-**-0767 - DOVI, ACCOUNT #: 77579193101	NEW YORK 529 TRAILS BUY 0 Units @0.0000	0.00	0.81	0.00	0.81	88.0	0.71
02/14/2018	***-**-251I - SCALISE, MARY ACCOUNT #: 77691153101	NEW YORK 529 TRAILS BUY 0 Units @0.0000	0.00	36.72	0.00	36.72	88.0	32.31
02/14/2018	***-**-635P - LASCALA, DEBORAH ACCOUNT #: 77699193301	NEW YORK 529 TRAILS BUY 0 Units @0.0000	0.00	1.69	0.00	1.69	88.0	1.49
02/14/2018	***-**-065P - CAMPBELL, PAMELA ACCOUNT #: 77830931201	NEW YORK 529 TRAILS BUY 0 Units @0.0000	0.00	0.79	0.00	0.79	88.0	0.70
02/14/2018	***-**-473J - HUSTON, ACCOUNT #: 77852732401	NEW YORK 529 TRAILS BUY 0 Units @0.0000	0.00	13.48	0.00	13.48	88.0	11.86
02/14/2018	***-**-20IR - DEMETRI, AMELIA ACCOUNT #: 77854436501	NEW YORK 529 TRAILS BUY 0 Units @0.0000	0.00	0.98	0.00	0.98	88.0	0.86
02/14/2018	***-**-205P - RHYMESTINE, ERIC ACCOUNT #: 77885699801	NEW YORK 529 TRAILS BUY 0 Units @0.0000	0.00	0.52	0.00	0.52	88.0	0.46
02/09/2018	***-**-15IN - PENDRAK, JOHN ACCOUNT #: LSR010948	NORDIC AMERICAN TANKERS LIMITE COM BUY 100 Units @1.9590	195.90	1.83	0.00	1.83	88.0	1.61
02/09/2018	***-**-15IN - PENDRAK, JOHN ACCOUNT #: LSR010948	NORDIC AMERICAN TANKERS LIMITE COM BUY 100 Units @1.9590	195.90	1.83	0.00	1.83	88.0	1.61
02/09/2018	***-**-15IN - PENDRAK, JOHN ACCOUNT #: LSR010948	NORDIC AMERICAN TANKERS LIMITE COM BUY 100 Units @1.9590	195.90	1.83	0.00	1.83	88.0	1.61
02/09/2018	***-**-15IN - PENDRAK, JOHN ACCOUNT #: LSR010948	NORDIC AMERICAN TANKERS LIMITE COM BUY 100 Units @1.9590	195.90	1.83	0.00	1.83	88.0	1.61
02/09/2018	***-**-15IN - PENDRAK, JOHN ACCOUNT #: LSR010948	NORDIC AMERICAN TANKERS LIMITE COM BUY 100 Units @1.9590	195.90	1.83	0.00	1.83	88.0	1.61
02/09/2018	***-**-15IN - PENDRAK, JOHN ACCOUNT #: LSR010948	NORDIC AMERICAN TANKERS LIMITE COM BUY 100 Units @1.9590	195.90	1.83	0.00	1.83	88.0	1.61
02/09/2018	***-**-15IN - PENDRAK, JOHN ACCOUNT #: LSR010948	NORDIC AMERICAN TANKERS LIMITE COM BUY 300 Units @1.9590	587.70	5.50	0.00	5.50	88.0	4.84
02/09/2018	***-**-15IN - PENDRAK, JOHN ACCOUNT #: LSR010948	NORDIC AMERICAN TANKERS LIMITE COM BUY 200 Units @1.9590	391.80	3.67	0.00	3.67	88.0	3.23



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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>								
02/09/2018	***--15IN - PENDRAK, JOHN ACCOUNT #: LSR010948	NORDIC AMERICAN TANKERS LIMITE COM BUY 100 Units @1.9590	195.90	1.83	0.00	1.83	88.0	1.61
02/09/2018	***--15IN - PENDRAK, JOHN ACCOUNT #: LSR010948	NORDIC AMERICAN TANKERS LIMITE COM BUY 100 Units @1.9590	195.90	1.83	0.00	1.83	88.0	1.61
02/09/2018	***--15IN - PENDRAK, JOHN ACCOUNT #: LSR010948	NORDIC AMERICAN TANKERS LIMITE COM BUY 100 Units @1.9590	195.90	1.83	0.00	1.83	88.0	1.61
02/14/2018	***--614J - BUSHEY, MATTHEW	NYA JPM 529 EQUITY INCOME PORTF C BUY 0 Units @0.0000	100.00	4.75	0.00	4.75	88.0	4.18
02/09/2018	***--15IN - PENDRAK, JOHN ACCOUNT #: LSR010948	PORTFOLIO SERIES: CONS INV A SELL 267 Units @9.3600	2,500.00	1.99	0.00	1.99	88.0	1.75
02/09/2018	***--15IN - PENDRAK, JOHN ACCOUNT #: LSR010948	QUEST OPPORTUNITY VALUE A SELL 75 Units @26.8200	1,999.99	1.99	0.00	1.99	88.0	1.75
02/07/2018	***--480J - EVANS, RICHARD ACCOUNT #: 00073288662	THE GROWTH FUND OF AMERICA-A BUY 2 Units @53.8700	100.00	4.25	0.00	4.25	88.0	3.74
* KURT GRUENEWALD SUBTOTAL *			<u>\$35,903.58</u>	<u>\$450.52</u>	<u>\$0.00</u>	<u>\$450.52</u>		<u>\$396.45</u>
*** OVERRIDE TRANSACTIONS TOTAL ***			<u>\$35,903.58</u>	<u>\$450.52</u>	<u>\$0.00</u>	<u>\$450.52</u>		<u>\$396.45</u>
<b><u> ADJUSTMENTS </u></b>								
02/15/2018		MISCELLANEOUS: MISC - TRANSACTION F	0.00	0.00	0.00	0.00		-170.88
*** ADJUSTMENTS TOTAL ***			<u>\$0.00</u>	<u>\$0.00</u>	<u>\$0.00</u>	<u>\$0.00</u>		<u>\$-170.88</u>



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			INVESTMENT	GROSS	CLEARING	NET	BROKER	
DATE	CLIENT	INVESTMENT	AMOUNT	COMMISSION	CHARGE	COMMISSION	RATE	COMMISSION
<div>BROKER COMMISSION TOTALS</div>								
						Broker Transactions		\$935.79
						Split Transactions		\$0.00
						Override Transactions		\$396.45
						Adjustments		\$-170.88
						Payroll Draw		\$0.00
						Base Salary		\$0.00
						Prior Period Balance		\$0.00
						FINRA Assessment		\$0.00
						SIPC Assessment		\$0.00
						Net Commission Earned		\$1,161.36
						Year-to-date Earnings		\$0.00