



COMMISSION STATEMENT

August 06, 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								
PRODUCT CATEGORY: ALTERNATIVE INVESTMENTS								
08/06/2018	***-**-469I - HAUCK, JUDITH	UNDERWRITER COMM	0.00	107.49	0.00	107.49	88.0	94.59
	ACCOUNT #: 020002294	BUY 0 Units @0.0000						
		* ALTERNATIVE INVESTMENTS SUBTOTAL *	\$0.00	\$107.49	\$0.00	\$107.49		\$94.59
PRODUCT CATEGORY: MUTUAL FUNDS								
07/17/2018	***-**-11IN - MOYLAN, TIMOTHY	CAPITAL APPRECIATION C	7.32	0.07	0.00	0.07	88.0	0.06
	ACCOUNT #: 03222207458	BUY 0 Units @0.0000						
07/31/2018	***-**-11IN - MOYLAN, TIMOTHY	CAPITAL APPRECIATION C	6.40	0.06	0.00	0.06	88.0	0.05
	ACCOUNT #: 03222207458	BUY 0 Units @0.0000						
08/02/2018	***-**-361J - ALOISIO,	CION ARES DIVERSIFIED CREDIT C	10,000.01	118.00	18.00	100.00	88.0	88.00
	ACCOUNT #: LSR010886	BUY 390 Units @25.6600						
07/17/2018	***-**-11IN - MOYLAN, TIMOTHY	EQUITY INCOME FUND, INC. C	11.00	0.11	0.00	0.11	88.0	0.10
	ACCOUNT #: 08370450780	BUY 0 Units @0.0000						
07/31/2018	***-**-11IN - MOYLAN, TIMOTHY	EQUITY INCOME FUND, INC. C	9.60	0.10	0.00	0.10	88.0	0.09
	ACCOUNT #: 08370450780	BUY 0 Units @0.0000						
07/17/2018	***-**-11IN - MOYLAN, TIMOTHY	GLOBAL OPPORTUNITIES FUND C	7.32	0.07	0.00	0.07	88.0	0.06
	ACCOUNT #: 02171646359	BUY 0 Units @0.0000						
07/31/2018	***-**-11IN - MOYLAN, TIMOTHY	GLOBAL OPPORTUNITIES FUND C	6.40	0.06	0.00	0.06	88.0	0.05
	ACCOUNT #: 02171646359	BUY 0 Units @0.0000						
07/20/2018	***-**-686I - STRUMPFLER, MARK	MFS GLOBAL TOTAL RETURN FUND-B	75.00	3.00	0.00	3.00	88.0	2.64
	ACCOUNT #: 00060352385	BUY 4 Units @18.0500						
07/30/2018	***-**-541I - ORSINO, LISA	MFS GLOBAL TOTAL RETURN FUND-B	6,000.00	240.00	0.00	240.00	88.0	211.20
	ACCOUNT #: 08191343489	BUY 330 Units @18.1700						
07/16/2018	***-**-497I - MARTIN, KATHLEEN	OPPENHEIMER ACTIVE ALLOCATION FUND	50.00	0.50	0.00	0.50	88.0	0.44
	ACCOUNT #: 05520998470	BUY 0 Units @0.0000						
07/17/2018	***-**-11IN - MOYLAN, TIMOTHY	OPPENHEIMER GLOBAL CLASS C	3.66	0.04	0.00	0.04	88.0	0.04
	ACCOUNT #: 03322653882	BUY 0 Units @0.0000						
07/31/2018	***-**-11IN - MOYLAN, TIMOTHY	OPPENHEIMER GLOBAL CLASS C	3.20	0.03	0.00	0.03	88.0	0.03
	ACCOUNT #: 03322653882	BUY 0 Units @0.0000						
07/17/2018	***-**-11IN - MOYLAN, TIMOTHY	OPPENHEIMER INTERNATIONAL DIVERSIFI	14.65	0.15	0.00	0.15	88.0	0.13
	ACCOUNT #: 01970849123	BUY 0 Units @0.0000						
07/31/2018	***-**-11IN - MOYLAN, TIMOTHY	OPPENHEIMER INTERNATIONAL DIVERSIFI	12.80	0.13	0.00	0.13	88.0	0.11
	ACCOUNT #: 01970849123	BUY 0 Units @0.0000						



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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)								
07/17/2018	***-**-11IN - MOYLAN, TIMOTHY	OPPENHEIMER RISING DIVIDENDS FUND C	14.65	0.15	0.00	0.15	88.0	0.13
	ACCOUNT #: 02270899503	BUY 0 Units @0.0000						
07/31/2018	***-**-11IN - MOYLAN, TIMOTHY	OPPENHEIMER RISING DIVIDENDS FUND C	12.80	0.13	0.00	0.13	88.0	0.11
	ACCOUNT #: 02270899503	BUY 0 Units @0.0000						
07/16/2018	***-**-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						
07/17/2018	***-**-11IN - MOYLAN, TIMOTHY	QUEST INTERNATIONAL VALUE FUND, INC	7.32	0.07	0.00	0.07	88.0	0.06
	ACCOUNT #: 02560289795	BUY 0 Units @0.0000						
07/31/2018	***-**-11IN - MOYLAN, TIMOTHY	QUEST INTERNATIONAL VALUE FUND, INC	6.40	0.06	0.00	0.06	88.0	0.05
	ACCOUNT #: 02560289795	BUY 0 Units @0.0000						
07/17/2018	***-**-11IN - MOYLAN, TIMOTHY	REAL ESTATE FUND C	7.32	0.07	0.00	0.07	88.0	0.06
	ACCOUNT #: 05920286891	BUY 0 Units @0.0000						
07/31/2018	***-**-11IN - MOYLAN, TIMOTHY	REAL ESTATE FUND C	6.40	0.06	0.00	0.06	88.0	0.05
	ACCOUNT #: 05920286891	BUY 0 Units @0.0000						
08/02/2018	***-**-361J - ALOISIO,	RESOURCE CREDIT INCOME FUND C	20,000.00	218.00	18.00	200.00	88.0	176.00
	ACCOUNT #: LSR010886	BUY 1771 Units @11.2900						
* MUTUAL FUNDS SUBTOTAL *			\$36,312.25	\$581.36	\$36.00	\$545.36		\$479.90
PRODUCT CATEGORY: STOCKS								
08/02/2018	***-**-369I - DAVIS, BRUCE	COVANTA HLDG CORP COM	3,482.20	67.49	19.00	48.49	88.0	42.67
	ACCOUNT #: LSR011029	SELL 200 Units @17.4110						
07/31/2018	***-**-80IN - GRIFFITH, DAVID	GENESIS HEALTHCARE INC CL A COM ISI	3,020.00	9.99	28.99	-19.00	100.0	-19.00
	ACCOUNT #: LSF000286	BUY 2000 Units @1.5100						
07/31/2018	***-**-580I - GRIFFITH, DAVID	GENESIS HEALTHCARE INC CL A COM ISI	2,107.00	9.99	22.99	-13.00	100.0	-13.00
	ACCOUNT #: LSF000295	BUY 1400 Units @1.5050						
07/31/2018	***-**-474J - HAGAN JR,	GENESIS HEALTHCARE INC CL A COM ISI	4,530.00	87.49	75.00	12.49	88.0	10.99
	ACCOUNT #: LSR010993	BUY 3000 Units @1.5100						
08/02/2018	***-**-361J - ALOISIO,	GENESIS HEALTHCARE INC CL A COM ISI	927.00	15.50	27.00	-11.50	100.0	-11.50
	ACCOUNT #: LSR010886	BUY 600 Units @1.5450						
08/02/2018	***-**-361J - ALOISIO,	GENESIS HEALTHCARE INC CL A COM ISI	154.50	2.58	2.00	0.58	88.0	0.51
	ACCOUNT #: LSR010886	BUY 100 Units @1.5450						
08/02/2018	***-**-361J - ALOISIO,	GENESIS HEALTHCARE INC CL A COM ISI	1,854.00	31.00	24.00	7.00	88.0	6.16
	ACCOUNT #: LSR010886	BUY 1200 Units @1.5450						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: STOCKS (continued)								
08/02/2018	***-**-361J - ALOISIO, ACCOUNT #: LSR010886	GENESIS HEALTHCARE INC CL A COM ISI BUY 100 Units @1.5450	154.50	2.58	2.00	0.58	88.0	0.51
08/02/2018	***-**-361J - ALOISIO, ACCOUNT #: LSR010886	GENESIS HEALTHCARE INC CL A COM ISI BUY 1000 Units @1.5450	1,545.00	25.83	20.00	5.83	88.0	5.13
07/30/2018	***-**-474J - HAGAN JR, ACCOUNT #: LSR010993	INTEL CORP SOLICITED ORDER BUY 100 Units @47.5490	4,754.90	77.49	18.00	59.49	88.0	52.35
07/30/2018	***-**-474J - HAGAN JR, ACCOUNT #: LSR010993	LILLY ELI & CO SOLICITED ORDER SELL 100 Units @97.2700	9,727.00	167.49	17.00	150.49	88.0	132.43
07/30/2018	***-**-98IN - FISH, MARGUERITE ACCOUNT #: LSR012767	NATIONAL GRID SPON ADR EACH REP 5 O BUY 50 Units @53.8000	2,690.00	57.49	16.00	41.49	88.0	36.51
07/31/2018	***-**-474J - HAGAN JR, ACCOUNT #: LSR010993	NATIONAL GRID SPON ADR EACH REP 5 O BUY 200 Units @54.0300	10,806.00	177.49	19.00	158.49	88.0	139.47
* STOCKS SUBTOTAL *			\$45,752.10	\$732.41	\$290.98	\$441.43		\$383.23
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS								
07/30/2018	***-**-57RI - DIPERNA, ROBERT ACCOUNT #: 08189654783	MFS TRAILS 552988610 BUY 19 Units @15.9300	300.00	3.00	0.00	3.00	88.0	2.64
07/30/2018	***-**-51RI - DIPERNA, SANDRA ACCOUNT #: 08191188649	MFS TRAILS 552988610 BUY 19 Units @15.9300	300.00	3.00	0.00	3.00	88.0	2.64
08/06/2018	***-**-679I - MURSCH JR, ACCOUNT #: 77041375401	NEW YORK 529 TRAILS BUY 0 Units @0.0000	0.00	4.42	0.00	4.42	88.0	3.89
08/06/2018	***-**-541I - ORSINO, LISA ACCOUNT #: 77049971001	NEW YORK 529 TRAILS BUY 0 Units @0.0000	0.00	3.09	0.00	3.09	88.0	2.72
08/06/2018	***-**-745P - SCOTELLARO, ACCOUNT #: 77049971001	NEW YORK 529 TRAILS BUY 0 Units @0.0000	0.00	2.82	0.00	2.82	88.0	2.48
08/06/2018	***-**-225P - DAMSKY, CYNTHIA ACCOUNT #: 77172702501	NEW YORK 529 TRAILS BUY 0 Units @0.0000	0.00	4.06	0.00	4.06	88.0	3.57
08/06/2018	***-**-0862 - REDMOND, EILEEN ACCOUNT #: 77172702501	NEW YORK 529 TRAILS BUY 0 Units @0.0000	0.00	2.97	0.00	2.97	88.0	2.61
08/06/2018	***-**-467I - PICKARD, BRIAN ACCOUNT #: 77247884901	NEW YORK 529 TRAILS BUY 0 Units @0.0000	0.00	1.14	0.00	1.14	88.0	1.00
08/06/2018	***-**-93JT - WADSWORTH, ACCOUNT #: 77296639001	NEW YORK 529 TRAILS BUY 0 Units @0.0000	0.00	1.61	0.00	1.61	88.0	1.42



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
08/06/2018	***-**-21IN - DANIELS, JOHN	NEW YORK 529 TRAILS	0.00	9.44	0.00	9.44	88.0	8.31
	ACCOUNT #: 77376247101	BUY 0 Units @0.0000						
08/06/2018	***-**-0862 - REDMOND, EILEEN	NEW YORK 529 TRAILS	0.00	0.68	0.00	0.68	88.0	0.60
	ACCOUNT #: 77519113701	BUY 0 Units @0.0000						
08/06/2018	***-**-39IN - CLEARY, KAREN	NEW YORK 529 TRAILS	0.00	4.83	0.00	4.83	88.0	4.25
	ACCOUNT #: 77678090301	BUY 0 Units @0.0000						
08/06/2018	***-**-497I - MARTIN, KATHLEEN	NEW YORK 529 TRAILS	0.00	1.67	0.00	1.67	88.0	1.47
		BUY 0 Units @0.0000						
08/06/2018	***-**-015P - SABANOSH, SHERYL	NEW YORK 529 TRAILS	0.00	8.08	0.00	8.08	88.0	7.11
	ACCOUNT #: 77775742701	BUY 0 Units @0.0000						
/ /	***-**-762I - STORSBERG,	RESOURCE CREDIT INCOME FUND C	0.00	56.44	0.00	56.44	88.0	49.67
	ACCOUNT #: LSR011688	BUY 1 Units @0.0000						
/ /	***-**-762I - STORSBERG,	RESOURCE CREDIT INCOME FUND C	0.00	18.81	0.00	18.81	88.0	16.55
	ACCOUNT #: LSR011688	BUY 1 Units @0.0000						
/ /	***-**-804I - RIEBEN, ANNE	RESOURCE REAL ESTATE-NFS	0.00	7.02	0.00	7.02	88.0	6.18
	ACCOUNT #: LSR010877	BUY 1 Units @0.0000						
/ /	***-**-423I - SAVICKI, RICHARD	RESOURCE REAL ESTATE-NFS	0.00	6.82	0.00	6.82	88.0	6.00
	ACCOUNT #: LSR010889	BUY 1 Units @0.0000						
/ /	***-**-423J - SAVICKI, RICHARD	RESOURCE REAL ESTATE-NFS	0.00	7.58	0.00	7.58	88.0	6.67
	ACCOUNT #: LSR010893	BUY 1 Units @0.0000						
/ /	***-**-077O - GAUTHIER, LOUIS	RESOURCE REAL ESTATE-NFS	0.00	6.45	0.00	6.45	88.0	5.68
	ACCOUNT #: LSR010905	BUY 1 Units @0.0000						
/ /	***-**-924J - FISH, ROY	RESOURCE REAL ESTATE-NFS	0.00	9.00	0.00	9.00	88.0	7.92
	ACCOUNT #: LSR010906	BUY 1 Units @0.0000						
/ /	***-**-753I - SABANOSH, ALAN	RESOURCE REAL ESTATE-NFS	0.00	9.73	0.00	9.73	88.0	8.56
	ACCOUNT #: LSR010909	BUY 1 Units @0.0000						
/ /	***-**-53TR - SABANOSH, ALAN R	RESOURCE REAL ESTATE-NFS	0.00	9.73	0.00	9.73	88.0	8.56
	ACCOUNT #: LSR010917	BUY 1 Units @0.0000						
/ /	***-**-425I - PERRITANO,	RESOURCE REAL ESTATE-NFS	0.00	12.47	0.00	12.47	88.0	10.97
	ACCOUNT #: LSR010922	BUY 1 Units @0.0000						
/ /	***-**-231J - MISHLANIE JR,	RESOURCE REAL ESTATE-NFS	0.00	4.58	0.00	4.58	88.0	4.03
	ACCOUNT #: LSR010927	BUY 1 Units @0.0000						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
/ /	***-**-522J - RIEBEN, HENRY	RESOURCE REAL ESTATE-NFS	0.00	16.82	0.00	16.82	88.0	14.80
	ACCOUNT #: LSR010938	BUY 1 Units @0.0000						
/ /	***-**-467I - PICKARD, BRIAN	RESOURCE REAL ESTATE-NFS	0.00	6.45	0.00	6.45	88.0	5.68
	ACCOUNT #: LSR010944	BUY 1 Units @0.0000						
/ /	***-**-290I - PICKARD, KAREN	RESOURCE REAL ESTATE-NFS	0.00	5.95	0.00	5.95	88.0	5.24
	ACCOUNT #: LSR010946	BUY 1 Units @0.0000						
/ /	***-**-24TR - SCOTELLARO, L	RESOURCE REAL ESTATE-NFS	0.00	11.29	0.00	11.29	88.0	9.94
	ACCOUNT #: LSR010973	BUY 1 Units @0.0000						
/ /	***-**-08TR - SCOTELLARO III,	RESOURCE REAL ESTATE-NFS	0.00	6.48	0.00	6.48	88.0	5.70
	ACCOUNT #: LSR010975	BUY 1 Units @0.0000						
/ /	***-**-474J - HAGAN JR,	RESOURCE REAL ESTATE-NFS	0.00	9.68	0.00	9.68	88.0	8.52
	ACCOUNT #: LSR010993	BUY 1 Units @0.0000						
/ /	***-**-319I - HILLEBRAND, JOAN	RESOURCE REAL ESTATE-NFS	0.00	7.13	0.00	7.13	88.0	6.27
	ACCOUNT #: LSR011002	BUY 1 Units @0.0000						
/ /	***-**-555I - SPAETH, CARLA	RESOURCE REAL ESTATE-NFS	0.00	9.54	0.00	9.54	88.0	8.40
	ACCOUNT #: LSR011016	BUY 1 Units @0.0000						
/ /	***-**-609J - CADY, PATRICK	RESOURCE REAL ESTATE-NFS	0.00	2.07	0.00	2.07	88.0	1.82
	ACCOUNT #: LSR011123	BUY 1 Units @0.0000						
/ /	***-**-698J - FEISTHAMEL, MR	RESOURCE REAL ESTATE-NFS	0.00	8.37	0.00	8.37	88.0	7.37
	ACCOUNT #: LSR011137	BUY 1 Units @0.0000						
/ /	***-**-05IN - HULL, JEFFERY	RESOURCE REAL ESTATE-NFS	0.00	8.10	0.00	8.10	88.0	7.13
	ACCOUNT #: LSR011187	BUY 1 Units @0.0000						
/ /	***-**-41TR - DAMSKY, BARRY	RESOURCE REAL ESTATE-NFS	0.00	4.54	0.00	4.54	88.0	4.00
	ACCOUNT #: LSR011340	BUY 1 Units @0.0000						
/ /	***-**-05IR - HULL, JEFF	RESOURCE REAL ESTATE-NFS	0.00	5.23	0.00	5.23	88.0	4.60
	ACCOUNT #: LSR011534	BUY 1 Units @0.0000						
/ /	***-**-901O - DRUMM, LOIS	RESOURCE REAL ESTATE-NFS	0.00	7.10	0.00	7.10	88.0	6.25
	ACCOUNT #: LSR011609	BUY 1 Units @0.0000						
/ /	***-**-49IN - SCOTELLARO III,	RESOURCE REAL ESTATE-NFS	0.00	3.89	0.00	3.89	88.0	3.42
	ACCOUNT #: LSR011680	BUY 1 Units @0.0000						
/ /	***-**-90IN - PICKARD, KAREN	RESOURCE REAL ESTATE-NFS	0.00	7.82	0.00	7.82	88.0	6.88
	ACCOUNT #: LSR011687	BUY 1 Units @0.0000						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
/ /	***-**-762I - STORSBERG, ACCOUNT #: LSR011688	RESOURCE REAL ESTATE-NFS BUY 1 Units @0.0000	0.00	44.84	0.00	44.84	88.0	39.46
/ /	***-**-61IN - FILEY, JOHN ACCOUNT #: LSR011723	RESOURCE REAL ESTATE-NFS BUY 1 Units @0.0000	0.00	13.54	0.00	13.54	88.0	11.92
/ /	***-**-469I - HAUCK, JUDITH ACCOUNT #: LSR011739	RESOURCE REAL ESTATE-NFS BUY 1 Units @0.0000	0.00	6.97	0.00	6.97	88.0	6.13
/ /	***-**-03TR - BOSHART, PEGGY ACCOUNT #: LSR011743	RESOURCE REAL ESTATE-NFS BUY 1 Units @0.0000	0.00	9.42	0.00	9.42	88.0	8.29
/ /	***-**-03IN - BOSHART, PEGGY ACCOUNT #: LSR011744	RESOURCE REAL ESTATE-NFS BUY 1 Units @0.0000	0.00	8.75	0.00	8.75	88.0	7.70
/ /	***-**-03IR - BOSHART, PEGGY ACCOUNT #: LSR011749	RESOURCE REAL ESTATE-NFS BUY 1 Units @0.0000	0.00	6.39	0.00	6.39	88.0	5.62
/ /	***-**-42IN - JENKINS, DAVID ACCOUNT #: LSR011776	RESOURCE REAL ESTATE-NFS BUY 1 Units @0.0000	0.00	6.34	0.00	6.34	88.0	5.58
/ /	***-**-974I - SCOTELLARO, ACCOUNT #: LSR011871	RESOURCE REAL ESTATE-NFS BUY 1 Units @0.0000	0.00	4.09	0.00	4.09	88.0	3.60
/ /	***-**-599I - MCCARTHY, DONNA ACCOUNT #: LSR011894	RESOURCE REAL ESTATE-NFS BUY 1 Units @0.0000	0.00	9.46	0.00	9.46	88.0	8.32
/ /	***-**-718J - LOWE, GREGORY ACCOUNT #: LSR011914	RESOURCE REAL ESTATE-NFS BUY 1 Units @0.0000	0.00	4.90	0.00	4.90	88.0	4.31
/ /	***-**-14TR - THE KALAMAS, ACCOUNT #: LSR012226	RESOURCE REAL ESTATE-NFS BUY 1 Units @0.0000	0.00	3.89	0.00	3.89	88.0	3.42
/ /	***-**-804I - RIEBEN, ANNE ACCOUNT #: LSR010877	RESOURCE REAL ESTATE-NFS BUY 1 Units @0.0000	0.00	2.34	0.00	2.34	88.0	2.06
/ /	***-**-423I - SAVICKI, RICHARD ACCOUNT #: LSR010889	RESOURCE REAL ESTATE-NFS BUY 1 Units @0.0000	0.00	2.27	0.00	2.27	88.0	2.00
/ /	***-**-423J - SAVICKI, RICHARD ACCOUNT #: LSR010893	RESOURCE REAL ESTATE-NFS BUY 1 Units @0.0000	0.00	2.53	0.00	2.53	88.0	2.23
/ /	***-**-077O - GAUTHIER, LOUIS ACCOUNT #: LSR010905	RESOURCE REAL ESTATE-NFS BUY 1 Units @0.0000	0.00	2.15	0.00	2.15	88.0	1.89
/ /	***-**-924J - FISH, ROY ACCOUNT #: LSR010906	RESOURCE REAL ESTATE-NFS BUY 1 Units @0.0000	0.00	3.00	0.00	3.00	88.0	2.64



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
/ /	***-**-753I - SABANOSH, ALAN	RESOURCE REAL ESTATE-NFS	0.00	3.24	0.00	3.24	88.0	2.85
	ACCOUNT #: LSR010909	BUY 1 Units @0.0000						
/ /	***-**-53TR - SABANOSH, ALAN R	RESOURCE REAL ESTATE-NFS	0.00	3.24	0.00	3.24	88.0	2.85
	ACCOUNT #: LSR010917	BUY 1 Units @0.0000						
/ /	***-**-425I - PERRITANO,	RESOURCE REAL ESTATE-NFS	0.00	4.16	0.00	4.16	88.0	3.66
	ACCOUNT #: LSR010922	BUY 1 Units @0.0000						
/ /	***-**-231J - MISHLANIE JR,	RESOURCE REAL ESTATE-NFS	0.00	1.53	0.00	1.53	88.0	1.35
	ACCOUNT #: LSR010927	BUY 1 Units @0.0000						
/ /	***-**-522J - RIEBEN, HENRY	RESOURCE REAL ESTATE-NFS	0.00	5.61	0.00	5.61	88.0	4.94
	ACCOUNT #: LSR010938	BUY 1 Units @0.0000						
/ /	***-**-467I - PICKARD, BRIAN	RESOURCE REAL ESTATE-NFS	0.00	2.15	0.00	2.15	88.0	1.89
	ACCOUNT #: LSR010944	BUY 1 Units @0.0000						
/ /	***-**-290I - PICKARD, KAREN	RESOURCE REAL ESTATE-NFS	0.00	1.98	0.00	1.98	88.0	1.74
	ACCOUNT #: LSR010946	BUY 1 Units @0.0000						
/ /	***-**-24TR - SCOTELLARO, L	RESOURCE REAL ESTATE-NFS	0.00	3.76	0.00	3.76	88.0	3.31
	ACCOUNT #: LSR010973	BUY 1 Units @0.0000						
/ /	***-**-08TR - SCOTELLARO III,	RESOURCE REAL ESTATE-NFS	0.00	2.16	0.00	2.16	88.0	1.90
	ACCOUNT #: LSR010975	BUY 1 Units @0.0000						
/ /	***-**-474J - HAGAN JR,	RESOURCE REAL ESTATE-NFS	0.00	3.23	0.00	3.23	88.0	2.84
	ACCOUNT #: LSR010993	BUY 1 Units @0.0000						
/ /	***-**-319I - HILLEBRAND, JOAN	RESOURCE REAL ESTATE-NFS	0.00	2.38	0.00	2.38	88.0	2.09
	ACCOUNT #: LSR011002	BUY 1 Units @0.0000						
/ /	***-**-555I - SPAETH, CARLA	RESOURCE REAL ESTATE-NFS	0.00	3.18	0.00	3.18	88.0	2.80
	ACCOUNT #: LSR011016	BUY 1 Units @0.0000						
/ /	***-**-609J - CADY, PATRICK	RESOURCE REAL ESTATE-NFS	0.00	0.69	0.00	0.69	88.0	0.61
	ACCOUNT #: LSR011123	BUY 1 Units @0.0000						
/ /	***-**-698J - FEISTHAMEL, MR	RESOURCE REAL ESTATE-NFS	0.00	2.79	0.00	2.79	88.0	2.46
	ACCOUNT #: LSR011137	BUY 1 Units @0.0000						
/ /	***-**-05IN - HULL, JEFFERY	RESOURCE REAL ESTATE-NFS	0.00	2.70	0.00	2.70	88.0	2.38
	ACCOUNT #: LSR011187	BUY 1 Units @0.0000						
/ /	***-**-41TR - DAMSKY, BARRY	RESOURCE REAL ESTATE-NFS	0.00	1.51	0.00	1.51	88.0	1.33
	ACCOUNT #: LSR011340	BUY 1 Units @0.0000						



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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 (continued)								
/ /	***--05IR - HULL, JEFF	RESOURCE REAL ESTATE-NFS	0.00	1.74	0.00	1.74	88.0	1.53
	ACCOUNT #: LSR011534	BUY 1 Units @0.0000						
/ /	***--9010 - DRUMM, LOIS	RESOURCE REAL ESTATE-NFS	0.00	2.37	0.00	2.37	88.0	2.09
	ACCOUNT #: LSR011609	BUY 1 Units @0.0000						
/ /	***--49IN - SCOTELLARO III,	RESOURCE REAL ESTATE-NFS	0.00	1.30	0.00	1.30	88.0	1.14
	ACCOUNT #: LSR011680	BUY 1 Units @0.0000						
/ /	***--90IN - PICKARD, KAREN	RESOURCE REAL ESTATE-NFS	0.00	2.61	0.00	2.61	88.0	2.30
	ACCOUNT #: LSR011687	BUY 1 Units @0.0000						
/ /	***--762I - STORSBERG,	RESOURCE REAL ESTATE-NFS	0.00	14.95	0.00	14.95	88.0	13.16
	ACCOUNT #: LSR011688	BUY 1 Units @0.0000						
/ /	***--61IN - FILEY, JOHN	RESOURCE REAL ESTATE-NFS	0.00	4.51	0.00	4.51	88.0	3.97
	ACCOUNT #: LSR011723	BUY 1 Units @0.0000						
/ /	***--469I - HAUCK, JUDITH	RESOURCE REAL ESTATE-NFS	0.00	2.32	0.00	2.32	88.0	2.04
	ACCOUNT #: LSR011739	BUY 1 Units @0.0000						
/ /	***--03TR - BOSHART, PEGGY	RESOURCE REAL ESTATE-NFS	0.00	3.14	0.00	3.14	88.0	2.76
	ACCOUNT #: LSR011743	BUY 1 Units @0.0000						
/ /	***--03IN - BOSHART, PEGGY	RESOURCE REAL ESTATE-NFS	0.00	2.92	0.00	2.92	88.0	2.57
	ACCOUNT #: LSR011744	BUY 1 Units @0.0000						
/ /	***--03IR - BOSHART, PEGGY	RESOURCE REAL ESTATE-NFS	0.00	2.13	0.00	2.13	88.0	1.87
	ACCOUNT #: LSR011749	BUY 1 Units @0.0000						
/ /	***--42IN - JENKINS, DAVID	RESOURCE REAL ESTATE-NFS	0.00	2.11	0.00	2.11	88.0	1.86
	ACCOUNT #: LSR011776	BUY 1 Units @0.0000						
/ /	***--974I - SCOTELLARO,	RESOURCE REAL ESTATE-NFS	0.00	1.36	0.00	1.36	88.0	1.20
	ACCOUNT #: LSR011871	BUY 1 Units @0.0000						
/ /	***--599I - MCCARTHY, DONNA	RESOURCE REAL ESTATE-NFS	0.00	3.15	0.00	3.15	88.0	2.77
	ACCOUNT #: LSR011894	BUY 1 Units @0.0000						
/ /	***--718J - LOWE, GREGORY	RESOURCE REAL ESTATE-NFS	0.00	1.63	0.00	1.63	88.0	1.43
	ACCOUNT #: LSR011914	BUY 1 Units @0.0000						
/ /	***--14TR - THE KALAMAS,	RESOURCE REAL ESTATE-NFS	0.00	1.30	0.00	1.30	88.0	1.14
	ACCOUNT #: LSR012226	BUY 1 Units @0.0000						
/ /	***--22IN - GRACIE, JULIA	RESOURCE REAL ESTATES-NFS	0.00	2.81	0.00	2.81	88.0	2.47
	ACCOUNT #: LSR011019	BUY 1 Units @0.0000						



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 OVERRIDE TRANSACTIONS (continued) 								
 <u>BROKER: KURT GRUENEWALD (continued)</u> 								
		* MUTUAL FUND 12B1 TRAILS SUBTOTAL *	\$600.00	\$545.44	\$0.00	\$545.44		\$479.99
		*** BROKER TRANSACTIONS TOTAL ***	\$82,664.35	\$1,966.70	\$326.98	\$1,639.72		\$1,437.71
07/31/2018	***-**-805X - GATES, ROGER ACCOUNT #: LSR012690	AMERICAN NEW WORLD FND CL F2-NFS SELL 50 Units @66.3700	3,333.70	1.99	0.00	1.99	88.0	1.75
08/02/2018	***-**-31IO - JOSEPH, ANN ACCOUNT #: LSR012337	CION ARES DIVERSIFIED CREDIT C BUY 331 Units @25.6600	8,500.00	85.00	0.00	85.00	88.0	74.80
08/02/2018	***-**-065I - LAZIO, THOMAS ACCOUNT #: LSR010979	CONOCOPHILLIPS UNSOLICITED ORDER SELL 50 Units @71.5600	3,578.00	51.49	0.00	51.49	88.0	45.31
07/12/2018	***-**-376I - BERBEN, GAIL	GWG L BOND - 2YR BUY 10 Units @1000.0000	10,000.00	400.00	0.00	400.00	88.0	352.00
08/07/2018	***-**-726I - YADDAW, DEBRA	GWG L BOND - 2YR BUY 10 Units @1000.0000	10,000.00	400.00	0.00	400.00	88.0	352.00
07/12/2018	***-**-376I - BERBEN, GAIL	GWG L BOND - 3YR BUY 10 Units @1000.0000	10,000.00	500.00	0.00	500.00	88.0	440.00
07/18/2018	***-**-031O - MCVOY, ROBERT	GWG L BOND - 3YR BUY 10 Units @1000.0000	10,000.00	500.00	0.00	500.00	88.0	440.00
08/07/2018	***-**-726I - YADDAW, DEBRA	GWG L BOND - 3YR BUY 11 Units @1000.0000	11,000.00	550.00	0.00	550.00	88.0	484.00
08/07/2018	***-**-726I - YADDAW, DEBRA	GWG L BOND - 5 YR BUY 15 Units @1000.0000	15,000.00	885.00	0.00	885.00	88.0	778.80
07/31/2018	***-**-805X - GATES, ROGER ACCOUNT #: LSR012690	HARBOR CAPITAL APPRECIAT INSTL SELL 47 Units @77.8700	3,648.99	1.99	0.00	1.99	88.0	1.75
07/31/2018	***-**-89IN - LEE, ROGER ACCOUNT #: 1200175188	JACKSON 468511480 BUY 0 Units @0.0000	0.00	24.31	0.00	24.31	88.0	21.39
07/06/2018	***-**-48IO - CLARK, PATRICK ACCOUNT #: 00079955487	MAINSTAY CORNERSTONE GROWTH FD INV BUY 0 Units @0.0000	0.00	3.52	0.00	3.52	88.0	3.10
07/06/2018	***-**-48IO - CLARK, PATRICK ACCOUNT #: 00079924809	MAINSTAY HGH YLD CRP BD INVESTOR CL BUY 0 Units @0.0000	0.00	3.49	0.00	3.49	88.0	3.07



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 OVERRIDE TRANSACTIONS (continued)								
 BROKER: KURT GRUENEWALD (continued)								
07/06/2018	***-**-48IO - CLARK, PATRICK	MAINSTAY MF TRAILS 56064B811	0.00	1.81	0.00	1.81	88.0	1.59
	ACCOUNT #: 00079955487	BUY 0 Units @0.0000						
07/23/2018	***-**-06IN - SATTERLY,	MFS 08191336006	100.00	1.00	0.00	1.00	88.0	0.88
	ACCOUNT #: 08191336006	BUY 3 Units @31.8900						
07/30/2018	***-**-13IN - RHYMESTINE,	MFS EMERGING MARKETS EQUITY FUND-B	50.00	2.00	0.00	2.00	88.0	1.76
	ACCOUNT #: 08191178476	BUY 2 Units @31.9900						
07/30/2018	***-**-13IN - RHYMESTINE,	MFS EMERGING MKT DEBT CL B	50.00	2.00	0.00	2.00	88.0	1.76
	ACCOUNT #: 08191178476	BUY 4 Units @14.2700						
07/20/2018	***-**-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 @18.0500						
07/25/2018	***-**-094I - KATRENA L	MFS GLOBAL TOTAL RETURN FUND-B	50.00	2.00	0.00	2.00	88.0	1.76
	ACCOUNT #: 08191140345	BUY 3 Units @18.1500						
07/20/2018	***-**-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 @34.2500						
07/30/2018	***-**-13IN - RHYMESTINE,	MFS INTERNATIONAL VALUE FUND-B	100.00	4.00	0.00	4.00	88.0	3.52
	ACCOUNT #: 08191178476	BUY 2 Units @41.6600						
07/20/2018	***-**-06IN - SATTERLY,	MFS TECHNOLOGY FUND-B	50.00	2.00	0.00	2.00	88.0	1.76
	ACCOUNT #: 08191173302	BUY 1 Units @38.8900						
08/01/2018	***-**-53IN - EVANS, ANDREW	MFS TECHNOLOGY FUND-B	50.01	2.00	0.00	2.00	88.0	1.76
	ACCOUNT #: LSR011483	BUY 1 Units @37.6300						
07/30/2018	***-**-13IN - RHYMESTINE,	MFS TOTAL RETURN FUND-B	50.00	2.00	0.00	2.00	88.0	1.76
	ACCOUNT #: 08191178476	BUY 3 Units @18.9800						
07/20/2018	***-**-7617 - ESCHE, BEVERLY	MFS UTILITIES FUND-B	50.00	2.00	0.00	2.00	88.0	1.76
	ACCOUNT #: 08191154979	BUY 2 Units @20.6000						
08/01/2018	***-**-53IN - EVANS, ANDREW	MFS UTILITIES FUND-B	100.00	4.00	0.00	4.00	88.0	3.52
	ACCOUNT #: LSR011483	BUY 5 Units @20.6400						
08/06/2018	***-**-944O - MAYO, DEBORAH	NEW YORK 529 TRAILS	0.00	7.57	0.00	7.57	88.0	6.66
	ACCOUNT #: 77002217601	BUY 0 Units @0.0000						
08/06/2018	***-**-80IN - COBB, JAMES	NEW YORK 529 TRAILS	0.00	30.83	0.00	30.83	88.0	27.13
	ACCOUNT #: 77169961901	BUY 0 Units @0.0000						
08/06/2018	***-**-665P - MCCLUSKY, YVONNE	NEW YORK 529 TRAILS	0.00	0.84	0.00	0.84	88.0	0.74
	ACCOUNT #: 77237884701	BUY 0 Units @0.0000						



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 OVERRIDE TRANSACTIONS (continued)								
 <u>BROKER: KURT GRUENEWALD (continued)</u>								
08/06/2018	***-**-0069 - KRECIDLO, ACCOUNT #: 77308070501	NEW YORK 529 TRAILS BUY 0 Units @0.0000	0.00	2.05	0.00	2.05	88.0	1.80
08/06/2018	***-**-614J - BUSHEY, MATTHEW	NEW YORK 529 TRAILS BUY 0 Units @0.0000	0.00	3.22	0.00	3.22	88.0	2.83
08/06/2018	***-**-5384 - GURDO, JESSICA	NEW YORK 529 TRAILS BUY 0 Units @0.0000	0.00	0.49	0.00	0.49	88.0	0.43
08/06/2018	***-**-0767 - DOVI, ACCOUNT #: 77579193101	NEW YORK 529 TRAILS BUY 0 Units @0.0000	0.00	0.92	0.00	0.92	88.0	0.81
08/06/2018	***-**-251I - SCALISE, MARY ACCOUNT #: 77691153101	NEW YORK 529 TRAILS BUY 0 Units @0.0000	0.00	35.68	0.00	35.68	88.0	31.40
08/06/2018	***-**-635P - LASCALA, DEBORAH ACCOUNT #: 77699193301	NEW YORK 529 TRAILS BUY 0 Units @0.0000	0.00	1.93	0.00	1.93	88.0	1.70
08/06/2018	***-**-065P - CAMPBELL, PAMELA ACCOUNT #: 77830931201	NEW YORK 529 TRAILS BUY 0 Units @0.0000	0.00	0.78	0.00	0.78	88.0	0.69
08/06/2018	***-**-473J - HUSTON, ACCOUNT #: 77852732401	NEW YORK 529 TRAILS BUY 0 Units @0.0000	0.00	15.40	0.00	15.40	88.0	13.55
08/06/2018	***-**-20IR - DEMETRI, AMELIA ACCOUNT #: 77854436501	NEW YORK 529 TRAILS BUY 0 Units @0.0000	0.00	1.02	0.00	1.02	88.0	0.90
08/06/2018	***-**-205P - RHYMESTINE, ERIC ACCOUNT #: 77885699801	NEW YORK 529 TRAILS BUY 0 Units @0.0000	0.00	0.51	0.00	0.51	88.0	0.45
07/17/2018	***-**-13IN - BLISS, PATRICK ACCOUNT #: 05521022681	OPPENHEIMER ACTIVE ALLOCATION FUND BUY 0 Units @0.0000	75.00	0.75	0.00	0.75	88.0	0.66
07/23/2018	***-**-775I - BLISS, APRIL ACCOUNT #: 05521022692	OPPENHEIMER ACTIVE ALLOCATION FUND BUY 0 Units @0.0000	90.98	0.91	0.00	0.91	88.0	0.80
07/31/2018	***-**-13IN - BLISS, PATRICK ACCOUNT #: 05521022681	OPPENHEIMER ACTIVE ALLOCATION FUND BUY 0 Units @0.0000	75.00	0.75	0.00	0.75	88.0	0.66
08/01/2018	***-**-8126 - MCCARTHY, BRIANN ACCOUNT #: VP71028570	PACIFIC LIFE SE5-NYB DTCC BUY 0 Units @0.0000	35.92	1.08	0.00	1.08	88.0	0.95
/ /	***-**-901I - SATTERLY, ANN ACCOUNT #: LSR010874	RESOURCE REAL ESTATE-NFS BUY 1 Units @0.0000	0.00	0.82	0.00	0.82	88.0	0.72
/ /	***-**-31IO - HARTZ, CLAUDIA ACCOUNT #: LSR010915	RESOURCE REAL ESTATE-NFS BUY 1 Units @0.0000	0.00	5.86	0.00	5.86	88.0	5.16



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 OVERRIDE TRANSACTIONS (continued)								
 BROKER: KURT GRUENEWALD (continued)								
/ /	***-**-72IN - GAVALO, JULIE	RESOURCE REAL ESTATE-NFS	0.00	3.89	0.00	3.89	88.0	3.42
	ACCOUNT #: LSR010921	BUY 1 Units @0.0000						
/ /	***-**-930I - SANGER, KEVIN	RESOURCE REAL ESTATE-NFS	0.00	12.93	0.00	12.93	88.0	11.38
	ACCOUNT #: LSR010941	BUY 1 Units @0.0000						
/ /	***-**-628I - SANGER, SANDRA	RESOURCE REAL ESTATE-NFS	0.00	5.52	0.00	5.52	88.0	4.86
	ACCOUNT #: LSR010942	BUY 1 Units @0.0000						
/ /	***-**-15IN - PENDRAK, JOHN	RESOURCE REAL ESTATE-NFS	0.00	6.34	0.00	6.34	88.0	5.58
	ACCOUNT #: LSR010948	BUY 1 Units @0.0000						
/ /	***-**-567I - FRANZ, ALICE	RESOURCE REAL ESTATE-NFS	0.00	6.45	0.00	6.45	88.0	5.68
	ACCOUNT #: LSR010960	BUY 1 Units @0.0000						
/ /	***-**-51IO - CAIN, TIMOTHY	RESOURCE REAL ESTATE-NFS	0.00	6.30	0.00	6.30	88.0	5.54
	ACCOUNT #: LSR011007	BUY 1 Units @0.0000						
/ /	***-**-761I - EVANS, DOLORES	RESOURCE REAL ESTATE-NFS	0.00	6.77	0.00	6.77	88.0	5.96
	ACCOUNT #: LSR011024	BUY 1 Units @0.0000						
/ /	***-**-63TR - EVANS, AUDREY J	RESOURCE REAL ESTATE-NFS	0.00	11.64	0.00	11.64	88.0	10.24
	ACCOUNT #: LSR011036	BUY 1 Units @0.0000						
/ /	***-**-44IO - MAYO, DEBORAH	RESOURCE REAL ESTATE-NFS	0.00	25.28	0.00	25.28	88.0	22.25
	ACCOUNT #: LSR011079	BUY 1 Units @0.0000						
/ /	***-**-579I - RHYMESTINE,	RESOURCE REAL ESTATE-NFS	0.00	6.34	0.00	6.34	88.0	5.58
	ACCOUNT #: LSR011082	BUY 1 Units @0.0000						
/ /	***-**-861I - SANGER, LAWRENCE	RESOURCE REAL ESTATE-NFS	0.00	7.75	0.00	7.75	88.0	6.82
	ACCOUNT #: LSR011095	BUY 1 Units @0.0000						
/ /	***-**-09IO - BATES, FBO MRS	RESOURCE REAL ESTATE-NFS	0.00	6.03	0.00	6.03	88.0	5.31
	ACCOUNT #: LSR011117	BUY 1 Units @0.0000						
/ /	***-**-89IN - LEE, ROGER	RESOURCE REAL ESTATE-NFS	0.00	14.52	0.00	14.52	88.0	12.78
	ACCOUNT #: LSR011166	BUY 1 Units @0.0000						
/ /	***-**-664J - PFAFF, GEORGE	RESOURCE REAL ESTATE-NFS	0.00	4.73	0.00	4.73	88.0	4.16
	ACCOUNT #: LSR011184	BUY 1 Units @0.0000						
/ /	***-**-29IO - MASSOUD,	RESOURCE REAL ESTATE-NFS	0.00	6.44	0.00	6.44	88.0	5.67
	ACCOUNT #: LSR011217	BUY 1 Units @0.0000						
/ /	***-**-473J - HUSTON,	RESOURCE REAL ESTATE-NFS	0.00	6.46	0.00	6.46	88.0	5.68
	ACCOUNT #: LSR011228	BUY 1 Units @0.0000						



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 OVERRIDE TRANSACTIONS (continued)								
 BROKER: KURT GRUENEWALD (continued)								
/ /	***--11IO - LYNN G. ACCOUNT #: LSR011239	RESOURCE REAL ESTATE-NFS BUY 1 Units @0.0000	0.00	3.16	0.00	3.16	88.0	2.78
/ /	***--653I - KOCHEM, CLINTON ACCOUNT #: LSR011300	RESOURCE REAL ESTATE-NFS BUY 1 Units @0.0000	0.00	6.44	0.00	6.44	88.0	5.67
/ /	***--14IO - BUSHEY, MATTHEW ACCOUNT #: LSR011498	RESOURCE REAL ESTATE-NFS BUY 1 Units @0.0000	0.00	2.81	0.00	2.81	88.0	2.47
/ /	***--448X - ANACKER, SUSAN ACCOUNT #: LSR011578	RESOURCE REAL ESTATE-NFS BUY 1 Units @0.0000	0.00	1.77	0.00	1.77	88.0	1.56
/ /	***--37IO - MCCLUSKY, MARK ACCOUNT #: LSR011579	RESOURCE REAL ESTATE-NFS BUY 1 Units @0.0000	0.00	3.25	0.00	3.25	88.0	2.86
/ /	***--86IN - LEE, KEVIN ACCOUNT #: LSR011613	RESOURCE REAL ESTATE-NFS BUY 1 Units @0.0000	0.00	6.41	0.00	6.41	88.0	5.64
/ /	***--531J - WILLIAMSON, ACCOUNT #: LSR011716	RESOURCE REAL ESTATE-NFS BUY 1 Units @0.0000	0.00	12.69	0.00	12.69	88.0	11.17
/ /	***--714O - LINES, JUDITH ACCOUNT #: LSR011763	RESOURCE REAL ESTATE-NFS BUY 1 Units @0.0000	0.00	5.10	0.00	5.10	88.0	4.49
/ /	***--901I - SATTERLY, ANN ACCOUNT #: LSR010874	RESOURCE REAL ESTATE-NFS BUY 1 Units @0.0000	0.00	0.27	0.00	0.27	88.0	0.24
/ /	***--31IO - HARTZ, CLAUDIA ACCOUNT #: LSR010915	RESOURCE REAL ESTATE-NFS BUY 1 Units @0.0000	0.00	1.95	0.00	1.95	88.0	1.72
/ /	***--72IN - GAVALO, JULIE ACCOUNT #: LSR010921	RESOURCE REAL ESTATE-NFS BUY 1 Units @0.0000	0.00	1.30	0.00	1.30	88.0	1.14
/ /	***--930I - SANGER, KEVIN ACCOUNT #: LSR010941	RESOURCE REAL ESTATE-NFS BUY 1 Units @0.0000	0.00	4.31	0.00	4.31	88.0	3.79
/ /	***--628I - SANGER, SANDRA ACCOUNT #: LSR010942	RESOURCE REAL ESTATE-NFS BUY 1 Units @0.0000	0.00	1.84	0.00	1.84	88.0	1.62
/ /	***--15IN - PENDRAK, JOHN ACCOUNT #: LSR010948	RESOURCE REAL ESTATE-NFS BUY 1 Units @0.0000	0.00	2.11	0.00	2.11	88.0	1.86
/ /	***--567I - FRANZ, ALICE ACCOUNT #: LSR010960	RESOURCE REAL ESTATE-NFS BUY 1 Units @0.0000	0.00	2.15	0.00	2.15	88.0	1.89
/ /	***--51IO - CAIN, TIMOTHY ACCOUNT #: LSR011007	RESOURCE REAL ESTATE-NFS BUY 1 Units @0.0000	0.00	2.10	0.00	2.10	88.0	1.85



COMMISSION STATEMENT

August 06, 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)								
BROKER: KURT GRUENEWALD (continued)								
/ /	***-**-761I - EVANS, DOLORES	RESOURCE REAL ESTATE-NFS	0.00	2.26	0.00	2.26	88.0	1.99
	ACCOUNT #: LSR011024	BUY 1 Units @0.0000						
/ /	***-**-63TR - EVANS, AUDREY J	RESOURCE REAL ESTATE-NFS	0.00	3.88	0.00	3.88	88.0	3.41
	ACCOUNT #: LSR011036	BUY 1 Units @0.0000						
/ /	***-**-44IO - MAYO, DEBORAH	RESOURCE REAL ESTATE-NFS	0.00	8.43	0.00	8.43	88.0	7.42
	ACCOUNT #: LSR011079	BUY 1 Units @0.0000						
/ /	***-**-579I - RHYMESTINE,	RESOURCE REAL ESTATE-NFS	0.00	2.11	0.00	2.11	88.0	1.86
	ACCOUNT #: LSR011082	BUY 1 Units @0.0000						
/ /	***-**-861I - SANGER, LAWRENCE	RESOURCE REAL ESTATE-NFS	0.00	2.58	0.00	2.58	88.0	2.27
	ACCOUNT #: LSR011095	BUY 1 Units @0.0000						
/ /	***-**-09IO - BATES, FBO MRS	RESOURCE REAL ESTATE-NFS	0.00	2.01	0.00	2.01	88.0	1.77
	ACCOUNT #: LSR011117	BUY 1 Units @0.0000						
/ /	***-**-89IN - LEE, ROGER	RESOURCE REAL ESTATE-NFS	0.00	4.84	0.00	4.84	88.0	4.26
	ACCOUNT #: LSR011166	BUY 1 Units @0.0000						
/ /	***-**-664J - PFAFF, GEORGE	RESOURCE REAL ESTATE-NFS	0.00	1.58	0.00	1.58	88.0	1.39
	ACCOUNT #: LSR011184	BUY 1 Units @0.0000						
/ /	***-**-29IO - MASSOUD,	RESOURCE REAL ESTATE-NFS	0.00	2.15	0.00	2.15	88.0	1.89
	ACCOUNT #: LSR011217	BUY 1 Units @0.0000						
/ /	***-**-473J - HUSTON,	RESOURCE REAL ESTATE-NFS	0.00	2.15	0.00	2.15	88.0	1.89
	ACCOUNT #: LSR011228	BUY 1 Units @0.0000						
/ /	***-**-11IO - LYNN G.	RESOURCE REAL ESTATE-NFS	0.00	1.05	0.00	1.05	88.0	0.92
	ACCOUNT #: LSR011239	BUY 1 Units @0.0000						
/ /	***-**-653I - KOCHER, CLINTON	RESOURCE REAL ESTATE-NFS	0.00	2.15	0.00	2.15	88.0	1.89
	ACCOUNT #: LSR011300	BUY 1 Units @0.0000						
/ /	***-**-14IO - BUSHEY, MATTHEW	RESOURCE REAL ESTATE-NFS	0.00	0.94	0.00	0.94	88.0	0.83
	ACCOUNT #: LSR011498	BUY 1 Units @0.0000						
/ /	***-**-448X - ANACKER, SUSAN	RESOURCE REAL ESTATE-NFS	0.00	0.59	0.00	0.59	88.0	0.52
	ACCOUNT #: LSR011578	BUY 1 Units @0.0000						
/ /	***-**-37IO - MCCLUSKY, MARK	RESOURCE REAL ESTATE-NFS	0.00	1.08	0.00	1.08	88.0	0.95
	ACCOUNT #: LSR011579	BUY 1 Units @0.0000						
/ /	***-**-86IN - LEE, KEVIN	RESOURCE REAL ESTATE-NFS	0.00	2.14	0.00	2.14	88.0	1.88
	ACCOUNT #: LSR011613	BUY 1 Units @0.0000						



COMMISSION STATEMENT

August 06, 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) 								
 BROKER: KURT GRUENEWALD (continued) 								
/ /	***-**-531J - WILLIAMSON,	RESOURCE REAL ESTATE-NFS	0.00	4.23	0.00	4.23	88.0	3.72
	ACCOUNT #: LSR011716	BUY 1 Units @0.0000						
/ /	***-**-7140 - LINES, JUDITH	RESOURCE REAL ESTATE-NFS	0.00	1.70	0.00	1.70	88.0	1.50
	ACCOUNT #: LSR011763	BUY 1 Units @0.0000						
06/28/2018	***-**-960J - MASTRANGELO,	STEIN MART INC COM	3,660.00	59.49	0.00	59.49	88.0	52.35
	ACCOUNT #: LSR010966	BUY 1500 Units @2.4400						
06/28/2018	***-**-960J - MASTRANGELO,	STEIN MART INC COM	-3,660.00	-994.35	0.00	-994.35	88.0	-875.03
	ACCOUNT #: LSR010966	CANCEL 1500 Units @2.4400						
08/06/2018	***-**-094I - CIRILLO, CARL	UNDERWRITER COMM	0.00	29.25	0.00	29.25	88.0	25.74
		BUY 0 Units @0.0000						
* KURT GRUENEWALD SUBTOTAL *			\$86,087.60	\$2,882.32	\$0.00	\$2,882.32		\$2,536.44
*** OVERRIDE TRANSACTIONS TOTAL ***			\$86,087.60	\$2,882.32	\$0.00	\$2,882.32		\$2,536.44

BROKER COMMISSION TOTALS

Broker Transactions	\$1,437.71
Split Transactions	\$0.00
Override Transactions	\$2,536.44
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	\$3,974.15
Year-to-date Earnings	\$158,006.29