



COMMISSION STATEMENT

June 11, 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: ALTERNATIVE INVESTMENTS</u>								
05/22/2018	***-**-968J - THIBAUT, JOHN	CIION ARES DIVERSIFIED CREDIT FND -C BUY 7 Units @1000.0000	7,000.00	70.00	0.00	70.00	88.0	61.60
		* ALTERNATIVE INVESTMENTS SUBTOTAL *	\$7,000.00	\$70.00	\$0.00	\$70.00		\$61.60
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
05/29/2018	***-**-817I - WADSWORTH, ACCOUNT #: 00067441742	AMERICAN GLOBAL BALANCED CL C BUY 3 Units @32.0500	110.00	1.10	0.00	1.10	88.0	0.97
05/22/2018	***-**-11IN - MOYLAN, TIMOTHY ACCOUNT #: 03222207458	CAPITAL APPRECIATION C BUY 0 Units @0.0000	6.73	0.07	0.00	0.07	88.0	0.06
05/16/2018	***-**-0457 - STAGLIANO, GINA ACCOUNT #: 08370450769	EQUITY INCOME FUND, INC. C BUY 0 Units @0.0000	5.44	0.05	0.00	0.05	88.0	0.04
05/16/2018	***-**-7473 - SCOTELLARO, ACCOUNT #: 08370720038	EQUITY INCOME FUND, INC. C BUY 0 Units @0.0000	25.00	0.25	0.00	0.25	88.0	0.22
05/22/2018	***-**-11IN - MOYLAN, TIMOTHY ACCOUNT #: 08370450780	EQUITY INCOME FUND, INC. C BUY 0 Units @0.0000	10.10	0.10	0.00	0.10	88.0	0.09
05/29/2018	***-**-58IN - CADY, GAIL ACCOUNT #: 08370389048	EQUITY INCOME FUND, INC. C BUY 0 Units @0.0000	24.00	0.24	0.00	0.24	88.0	0.21
05/29/2018	***-**-0457 - STAGLIANO, GINA ACCOUNT #: 08370450769	EQUITY INCOME FUND, INC. C BUY 0 Units @0.0000	5.44	0.05	0.00	0.05	88.0	0.04
05/30/2018	***-**-7473 - SCOTELLARO, ACCOUNT #: 08370720038	EQUITY INCOME FUND, INC. C BUY 0 Units @0.0000	25.00	0.25	0.00	0.25	88.0	0.22
05/29/2018	***-**-788I - ALBARRAN, CARLOS ACCOUNT #: 00085186008	FUNDAMENTAL INVESTORS-C BUY 2 Units @61.9800	100.00	1.00	0.00	1.00	88.0	0.88
05/16/2018	***-**-0457 - STAGLIANO, GINA ACCOUNT #: 02171646348	GLOBAL OPPORTUNITIES FUND C BUY 0 Units @0.0000	5.42	0.05	0.00	0.05	88.0	0.04
05/22/2018	***-**-11IN - MOYLAN, TIMOTHY ACCOUNT #: 02171646359	GLOBAL OPPORTUNITIES FUND C BUY 0 Units @0.0000	6.73	0.07	0.00	0.07	88.0	0.06
05/29/2018	***-**-58IN - CADY, GAIL ACCOUNT #: 02171604031	GLOBAL OPPORTUNITIES FUND C BUY 0 Units @0.0000	16.00	0.16	0.00	0.16	88.0	0.14
05/29/2018	***-**-0457 - STAGLIANO, GINA ACCOUNT #: 02171646348	GLOBAL OPPORTUNITIES FUND C BUY 0 Units @0.0000	5.42	0.05	0.00	0.05	88.0	0.04
05/29/2018	***-**-91IN - RICHARDSON, ACCOUNT #: 00100011925	OPPENHEIMER CUSIP 68385X208 BUY 0 Units @0.0000	35.00	0.35	0.00	0.35	88.0	0.31



COMMISSION STATEMENT

June 11, 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 FUNDS (continued)								
05/16/2018	***-**-0457 - STAGLIANO, GINA	OPPENHEIMER DEV MARKETS FD CLASS C	5.42	0.05	0.00	0.05	88.0	0.04
	ACCOUNT #: 07871984301	BUY 0 Units @0.0000						
05/29/2018	***-**-0457 - STAGLIANO, GINA	OPPENHEIMER DEV MARKETS FD CLASS C	5.42	0.05	0.00	0.05	88.0	0.04
	ACCOUNT #: 07871984301	BUY 0 Units @0.0000						
05/29/2018	***-**-91IN - RICHARDSON,	OPPENHEIMER DEV MARKETS FD CLASS C	35.00	0.35	0.00	0.35	88.0	0.31
	ACCOUNT #: 07872241470	BUY 0 Units @0.0000						
05/29/2018	***-**-91IN - RICHARDSON,	OPPENHEIMER EMERG MKTS LOCAL DEBT F	35.00	0.35	0.00	0.35	88.0	0.31
	ACCOUNT #: 00100064439	BUY 0 Units @0.0000						
05/29/2018	***-**-91IN - RICHARDSON,	OPPENHEIMER GLBL HIGH YIELD FUND C	35.00	0.35	0.00	0.35	88.0	0.31
	ACCOUNT #: 00100025895	BUY 0 Units @0.0000						
05/16/2018	***-**-7473 - SCOTELLARO,	OPPENHEIMER GLBL REAL ESTATE FUND C	25.00	0.25	0.00	0.25	88.0	0.22
	ACCOUNT #: 00100018140	BUY 0 Units @0.0000						
05/30/2018	***-**-7473 - SCOTELLARO,	OPPENHEIMER GLBL REAL ESTATE FUND C	25.00	0.25	0.00	0.25	88.0	0.22
	ACCOUNT #: 00100018140	BUY 0 Units @0.0000						
05/16/2018	***-**-0457 - STAGLIANO, GINA	OPPENHEIMER GLOBAL CLASS C	5.42	0.05	0.00	0.05	88.0	0.04
	ACCOUNT #: 03322653871	BUY 0 Units @0.0000						
05/22/2018	***-**-11IN - MOYLAN, TIMOTHY	OPPENHEIMER GLOBAL CLASS C	3.37	0.03	0.00	0.03	88.0	0.03
	ACCOUNT #: 03322653882	BUY 0 Units @0.0000						
05/29/2018	***-**-0457 - STAGLIANO, GINA	OPPENHEIMER GLOBAL CLASS C	5.42	0.05	0.00	0.05	88.0	0.04
	ACCOUNT #: 03322653871	BUY 0 Units @0.0000						
05/29/2018	***-**-91IN - RICHARDSON,	OPPENHEIMER GLOBAL VALUE FUND CL C	35.00	0.35	0.00	0.35	88.0	0.31
	ACCOUNT #: 06890080641	BUY 0 Units @0.0000						
05/16/2018	***-**-0457 - STAGLIANO, GINA	OPPENHEIMER INTERNATIONAL DIVERSIFI	8.14	0.08	0.00	0.08	88.0	0.07
	ACCOUNT #: 01970849112	BUY 0 Units @0.0000						
05/16/2018	***-**-7473 - SCOTELLARO,	OPPENHEIMER INTERNATIONAL DIVERSIFI	25.00	0.25	0.00	0.25	88.0	0.22
	ACCOUNT #: 01971001154	BUY 0 Units @0.0000						
05/22/2018	***-**-11IN - MOYLAN, TIMOTHY	OPPENHEIMER INTERNATIONAL DIVERSIFI	13.46	0.13	0.00	0.13	88.0	0.11
	ACCOUNT #: 01970849123	BUY 0 Units @0.0000						
05/29/2018	***-**-58IN - CADY, GAIL	OPPENHEIMER INTERNATIONAL DIVERSIFI	24.00	0.24	0.00	0.24	88.0	0.21
	ACCOUNT #: 01970799227	BUY 0 Units @0.0000						
05/29/2018	***-**-0457 - STAGLIANO, GINA	OPPENHEIMER INTERNATIONAL DIVERSIFI	8.14	0.08	0.00	0.08	88.0	0.07
	ACCOUNT #: 01970849112	BUY 0 Units @0.0000						



COMMISSION STATEMENT

June 11, 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 FUNDS (continued)								
05/30/2018	***-**-7473 - SCOTELLARO, ACCOUNT #: 01971001154	OPPENHEIMER INTERNATIONAL DIVERSIFI BUY 0 Units @0.0000	25.00	0.25	0.00	0.25	88.0	0.22
05/16/2018	***-**-0457 - STAGLIANO, GINA ACCOUNT #: 02270899492	OPPENHEIMER RISING DIVIDENDS FUND C BUY 0 Units @0.0000	8.14	0.08	0.00	0.08	88.0	0.07
05/22/2018	***-**-11IN - MOYLAN, TIMOTHY ACCOUNT #: 02270899503	OPPENHEIMER RISING DIVIDENDS FUND C BUY 0 Units @0.0000	13.46	0.13	0.00	0.13	88.0	0.11
05/29/2018	***-**-58IN - CADY, GAIL ACCOUNT #: 02270806520	OPPENHEIMER RISING DIVIDENDS FUND C BUY 0 Units @0.0000	24.00	0.24	0.00	0.24	88.0	0.21
05/29/2018	***-**-0457 - STAGLIANO, GINA ACCOUNT #: 02270899492	OPPENHEIMER RISING DIVIDENDS FUND C BUY 0 Units @0.0000	8.14	0.08	0.00	0.08	88.0	0.07
05/29/2018	***-**-58IN - CADY, GAIL ACCOUNT #: 02592245914	QUEST BALANCED FUND C BUY 0 Units @0.0000	24.00	0.24	0.00	0.24	88.0	0.21
05/22/2018	***-**-11IN - MOYLAN, TIMOTHY ACCOUNT #: 02560289795	QUEST INTERNATIONAL VALUE FUND, INC BUY 0 Units @0.0000	6.73	0.07	0.00	0.07	88.0	0.06
05/29/2018	***-**-58IN - CADY, GAIL ACCOUNT #: 02560282953	QUEST INTERNATIONAL VALUE FUND, INC BUY 0 Units @0.0000	16.00	0.16	0.00	0.16	88.0	0.14
05/16/2018	***-**-0457 - STAGLIANO, GINA ACCOUNT #: 05920286880	REAL ESTATE FUND C BUY 0 Units @0.0000	5.42	0.05	0.00	0.05	88.0	0.04
05/22/2018	***-**-11IN - MOYLAN, TIMOTHY ACCOUNT #: 05920286891	REAL ESTATE FUND C BUY 0 Units @0.0000	6.73	0.07	0.00	0.07	88.0	0.06
05/29/2018	***-**-58IN - CADY, GAIL ACCOUNT #: 05920265584	REAL ESTATE FUND C BUY 0 Units @0.0000	16.00	0.16	0.00	0.16	88.0	0.14
05/29/2018	***-**-0457 - STAGLIANO, GINA ACCOUNT #: 05920286880	REAL ESTATE FUND C BUY 0 Units @0.0000	5.42	0.05	0.00	0.05	88.0	0.04
06/08/2018	***-**-05IN - HULL, JEFFERY ACCOUNT #: LSR011187	RESOURCE CREDIT INCOME FUND C BUY 1317 Units @11.3900	15,000.00	168.00	18.00	150.00	88.0	132.00
05/16/2018	***-**-0457 - STAGLIANO, GINA ACCOUNT #: 02931758372	SENIOR FLOATING RATE FUND C BUY 0 Units @0.0000	5.42	0.05	0.00	0.05	88.0	0.04
05/29/2018	***-**-0457 - STAGLIANO, GINA ACCOUNT #: 02931758372	SENIOR FLOATING RATE FUND C BUY 0 Units @0.0000	5.42	0.05	0.00	0.05	88.0	0.04
05/16/2018	***-**-0457 - STAGLIANO, GINA ACCOUNT #: 02531164735	SMALL- & MID- CAP VALUE FUND C BUY 0 Units @0.0000	5.42	0.05	0.00	0.05	88.0	0.04



COMMISSION STATEMENT

June 11, 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 FUNDS (continued)								
05/29/2018	***-**-58IN - CADY, GAIL	SMALL- & MID- CAP VALUE FUND C	16.00	0.16	0.00	0.16	88.0	0.14
	ACCOUNT #: 02531131966	BUY 0 Units @0.0000						
05/29/2018	***-**-0457 - STAGLIANO, GINA	SMALL- & MID- CAP VALUE FUND C	5.42	0.05	0.00	0.05	88.0	0.04
	ACCOUNT #: 02531164735	BUY 0 Units @0.0000						
05/16/2018	***-**-7473 - SCOTELLARO,	STRATEGIC INCOME FUND C	25.00	0.25	0.00	0.25	88.0	0.22
	ACCOUNT #: 02322945965	BUY 0 Units @0.0000						
05/30/2018	***-**-7473 - SCOTELLARO,	STRATEGIC INCOME FUND C	25.00	0.25	0.00	0.25	88.0	0.22
	ACCOUNT #: 02322945965	BUY 0 Units @0.0000						
06/07/2018	***-**-8410 - HULL, ELMINA	TRANSAMERICA MULT MAN ALT	16,421.09	19.99	18.00	1.99	88.0	1.75
	ACCOUNT #: LSR012377	SELL 1676 Units @9.8000						
* MUTUAL FUNDS SUBTOTAL *			\$32,341.88	\$197.13	\$36.00	\$161.13		\$141.73
PRODUCT CATEGORY: 529 PLAN								
06/11/2018	***-**-679I - MURSCH JR,	NEW YORK 529 TRAILS	0.00	4.42	0.00	4.42	88.0	3.89
	ACCOUNT #: 77041375401	BUY 0 Units @0.0000						
06/11/2018	***-**-541I - ORSINO, LISA	NEW YORK 529 TRAILS	0.00	3.01	0.00	3.01	88.0	2.65
	ACCOUNT #: 77049971001	BUY 0 Units @0.0000						
06/11/2018	***-**-745P - SCOTELLARO,	NEW YORK 529 TRAILS	0.00	2.74	0.00	2.74	88.0	2.41
		BUY 0 Units @0.0000						
06/11/2018	***-**-225P - DAMSKY, CYNTHIA	NEW YORK 529 TRAILS	0.00	3.79	0.00	3.79	88.0	3.34
		BUY 0 Units @0.0000						
06/11/2018	***-**-0862 - REDMOND, EILEEN	NEW YORK 529 TRAILS	0.00	2.81	0.00	2.81	88.0	2.47
	ACCOUNT #: 77172702501	BUY 0 Units @0.0000						
06/11/2018	***-**-467I - PICKARD, BRIAN	NEW YORK 529 TRAILS	0.00	1.13	0.00	1.13	88.0	0.99
	ACCOUNT #: 77247884901	BUY 0 Units @0.0000						
06/11/2018	***-**-93JT - WADSWORTH,	NEW YORK 529 TRAILS	0.00	1.58	0.00	1.58	88.0	1.39
	ACCOUNT #: 77296639001	BUY 0 Units @0.0000						
06/11/2018	***-**-21IN - DANIELS, JOHN	NEW YORK 529 TRAILS	0.00	9.26	0.00	9.26	88.0	8.15
	ACCOUNT #: 77376247101	BUY 0 Units @0.0000						
06/11/2018	***-**-0862 - REDMOND, EILEEN	NEW YORK 529 TRAILS	0.00	0.60	0.00	0.60	88.0	0.53
	ACCOUNT #: 77519113701	BUY 0 Units @0.0000						
06/11/2018	***-**-39IN - CLEARY, KAREN	NEW YORK 529 TRAILS	0.00	4.78	0.00	4.78	88.0	4.21
	ACCOUNT #: 77678090301	BUY 0 Units @0.0000						



COMMISSION STATEMENT

June 11, 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 (continued)</u>								
<u>PRODUCT CATEGORY: 529 PLAN (continued)</u>								
06/11/2018	***-**-497I - MARTIN, KATHLEEN	NEW YORK 529 TRAILS BUY 0 Units @0.0000	0.00	1.55	0.00	1.55	88.0	1.36
06/11/2018	***-**-015P - SABANOSH, SHERYL	NEW YORK 529 TRAILS ACCOUNT #: 77775742701 BUY 0 Units @0.0000	0.00	8.02	0.00	8.02	88.0	7.06
* 529 PLAN SUBTOTAL *			\$0.00	\$43.69	\$0.00	\$43.69		\$38.45
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
05/29/2018	***-**-57RI - DIPERNA, ROBERT	MFS TRAILS 552988610 ACCOUNT #: 08189654783 BUY 19 Units @15.4900	300.00	3.00	0.00	3.00	88.0	2.64
05/29/2018	***-**-51RI - DIPERNA, SANDRA	MFS TRAILS 552988610 ACCOUNT #: 08191188649 BUY 19 Units @15.4900	300.00	3.00	0.00	3.00	88.0	2.64
06/11/2018	***-**-244I - BURTON, RICHARD	NYA JPM 529 EQUITY INCOME PORTF C ACCOUNT #: 77243486101 BUY 0 Units @0.0000	50.00	0.50	0.00	0.50	88.0	0.44
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *			\$650.00	\$6.50	\$0.00	\$6.50		\$5.72
*** BROKER TRANSACTIONS TOTAL ***			\$39,991.88	\$317.32	\$36.00	\$281.32		\$247.50

OVERRIDE TRANSACTIONS

BROKER: KURT GRUENEWALD

06/01/2018	***-**-31IO - JOSEPH, ANN	AQUA AMERICA INC ACCOUNT #: LSR012337 BUY 200 Units @34.4000	6,880.00	67.90	0.00	67.90	88.0	59.75
06/04/2018	***-**-366I - GRUENEWALD,	AVISTA CORP ACCOUNT #: LSR010989 SELL 100 Units @52.4500	5,245.00	53.45	0.00	53.45	88.0	47.04
05/29/2018	***-**-65CL - GRUENEWALD, K,	CAPITAL APPRECIATION C ACCOUNT #: 03222414918 BUY 0 Units @0.0000	50.00	0.50	0.00	0.50	88.0	0.44
05/29/2018	***-**-633J -	EQUITY INCOME FUND, INC. A ACCOUNT #: 08353229688 BUY 0 Units @0.0000	175.00	8.31	0.00	8.31	88.0	7.31
05/22/2018	***-**-48JT - LEE, DARLENE	EQUITY INCOME FUND, INC. C ACCOUNT #: 08370750926 BUY 0 Units @0.0000	50.00	0.50	0.00	0.50	88.0	0.44
05/29/2018	***-**-8901 - GURDO, ANTHONY	FUNDAMENTAL INVESTORS-C ACCOUNT #: 00087491111 BUY 2 Units @61.9800	150.00	1.50	0.00	1.50	88.0	1.32



COMMISSION STATEMENT

June 11, 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>								
05/29/2018	***-**-65CL - GRUENEWALD, K, ACCOUNT #: 02171825219	GLOBAL OPPORTUNITIES FUND C BUY 0 Units @0.0000	50.00	0.50	0.00	0.50	88.0	0.44
05/31/2018	***-**-89IN - LEE, ROGER ACCOUNT #: 1200175188	JACKSON 468511480 BUY 0 Units @0.0000	0.00	23.99	0.00	23.99	88.0	21.11
05/29/2018	***-**-13IN - RHYMESTINE, ACCOUNT #: 08191178476	MFS EMERGING MARKETS EQUITY FUND-B BUY 2 Units @32.1400	50.00	2.00	0.00	2.00	88.0	1.76
05/29/2018	***-**-13IN - RHYMESTINE, ACCOUNT #: 08191178476	MFS EMERGING MKT DEBT CL B BUY 3 Units @14.3600	50.00	2.00	0.00	2.00	88.0	1.76
06/01/2018	***-**-31IO - JOSEPH, ANN ACCOUNT #: LSR012337	MFS GLOBAL NEW DISCOVERY FUND CL C BUY 431 Units @19.7300	8,500.00	85.00	0.00	85.00	88.0	74.80
05/25/2018	***-**-094I - KATRENA L ACCOUNT #: 08191140345	MFS GLOBAL TOTAL RETURN FUND-B BUY 3 Units @18.1100	50.00	2.00	0.00	2.00	88.0	1.76
05/29/2018	***-**-13IN - RHYMESTINE, ACCOUNT #: 08191178476	MFS INTERNATIONAL VALUE FUND-B BUY 2 Units @40.6300	100.00	4.00	0.00	4.00	88.0	3.52
06/01/2018	***-**-53IN - EVANS, ANDREW ACCOUNT #: LSR011483	MFS TECHNOLOGY FUND-B BUY 1 Units @37.4300	50.01	2.00	0.00	2.00	88.0	1.76
05/29/2018	***-**-13IN - RHYMESTINE, ACCOUNT #: 08191178476	MFS TOTAL RETURN FUND-B BUY 3 Units @18.5800	50.00	2.00	0.00	2.00	88.0	1.76
06/01/2018	***-**-53IN - EVANS, ANDREW ACCOUNT #: LSR011483	MFS UTILITIES FUND-B BUY 5 Units @19.8500	100.00	4.00	0.00	4.00	88.0	3.52
06/11/2018	***-**-944O - MAYO, DEBORAH ACCOUNT #: 77002217601	NEW YORK 529 TRAILS BUY 0 Units @0.0000	0.00	7.51	0.00	7.51	88.0	6.61
06/11/2018	***-**-80IN - COBB, JAMES ACCOUNT #: 77169961901	NEW YORK 529 TRAILS BUY 0 Units @0.0000	0.00	30.22	0.00	30.22	88.0	26.59
06/11/2018	***-**-665P - MCCLUSKY, YVONNE ACCOUNT #: 77237884701	NEW YORK 529 TRAILS BUY 0 Units @0.0000	0.00	0.82	0.00	0.82	88.0	0.72
06/11/2018	***-**-0069 - KRECIDLO, ACCOUNT #: 77308070501	NEW YORK 529 TRAILS BUY 0 Units @0.0000	0.00	2.03	0.00	2.03	88.0	1.79
06/11/2018	***-**-614J - BUSHEY, MATTHEW	NEW YORK 529 TRAILS BUY 0 Units @0.0000	0.00	3.15	0.00	3.15	88.0	2.77
06/11/2018	***-**-5384 - GURDO, JESSICA	NEW YORK 529 TRAILS BUY 0 Units @0.0000	0.00	0.49	0.00	0.49	88.0	0.43



COMMISSION STATEMENT

June 11, 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>								
06/11/2018	***-**-0767 - DOVI, ACCOUNT #: 77579193101	NEW YORK 529 TRAILS BUY 0 Units @0.0000	0.00	0.86	0.00	0.86	88.0	0.76
06/11/2018	***-**-251I - SCALISE, MARY ACCOUNT #: 77691153101	NEW YORK 529 TRAILS BUY 0 Units @0.0000	0.00	35.38	0.00	35.38	88.0	31.13
06/11/2018	***-**-635P - LASCALA, DEBORAH ACCOUNT #: 77699193301	NEW YORK 529 TRAILS BUY 0 Units @0.0000	0.00	1.83	0.00	1.83	88.0	1.61
06/11/2018	***-**-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
06/11/2018	***-**-473J - HUSTON, ACCOUNT #: 77852732401	NEW YORK 529 TRAILS BUY 0 Units @0.0000	0.00	14.56	0.00	14.56	88.0	12.81
06/11/2018	***-**-20IR - DEMETRI, AMELIA ACCOUNT #: 77854436501	NEW YORK 529 TRAILS BUY 0 Units @0.0000	0.00	0.99	0.00	0.99	88.0	0.87
06/11/2018	***-**-205P - RHYMESTINE, ERIC ACCOUNT #: 77885699801	NEW YORK 529 TRAILS BUY 0 Units @0.0000	0.00	0.50	0.00	0.50	88.0	0.44
06/11/2018	***-**-614J - BUSHEY, MATTHEW	NYA JPM 529 MOD AGE-BASED A BUY 0 Units @0.0000	100.00	4.75	0.00	4.75	88.0	4.18
05/29/2018	***-**-633J - ACCOUNT #: 05502871176	OPP PORT SERIES: ACTIVE ALLOC A BUY 0 Units @0.0000	175.00	8.31	0.00	8.31	88.0	7.31
05/22/2018	***-**-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
05/22/2018	***-**-48JT - LEE, DARLENE ACCOUNT #: 05521043603	OPPENHEIMER ACTIVE ALLOCATION FUND BUY 0 Units @0.0000	50.00	0.50	0.00	0.50	88.0	0.44
05/29/2018	***-**-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
05/22/2018	***-**-48JT - LEE, DARLENE ACCOUNT #: 00100021715	OPPENHEIMER GLBL REAL ESTATE FUND C BUY 0 Units @0.0000	50.00	0.50	0.00	0.50	88.0	0.44
05/22/2018	***-**-48JT - LEE, DARLENE ACCOUNT #: 01971019612	OPPENHEIMER INTERNATIONAL DIVERSIFI BUY 0 Units @0.0000	50.00	0.50	0.00	0.50	88.0	0.44
05/29/2018	***-**-633J - ACCOUNT #: 01953330426	OPPENHEIMER INTERNATIONAL DIVERSIFI BUY 0 Units @0.0000	175.00	8.31	0.00	8.31	88.0	7.31
05/29/2018	***-**-633J - ACCOUNT #: 02514987422	OPPENHEIMER SMALL & MID CAP VALUE F BUY 0 Units @0.0000	175.00	8.31	0.00	8.31	88.0	7.31



COMMISSION STATEMENT

June 11, 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> 								
06/01/2018	***-**-8126 - MCCARTHY, BRIANN	PACIFIC LIFE SE5-NYB DTCC	35.92	1.08	0.00	1.08	88.0	0.95
	ACCOUNT #: VP71028570	BUY 0 Units @0.0000						
06/08/2018	***-**-579J - RHYMESTINE,	RESOURCE REAL ESTATE-NFS	12,500.00	125.00	0.00	125.00	88.0	110.00
	ACCOUNT #: LSR011081	BUY 1205 Units @10.3700						
* KURT GRUENEWALD SUBTOTAL *			<u>\$35,026.91</u>	<u>\$517.69</u>	<u>\$0.00</u>	<u>\$517.69</u>		<u>\$455.55</u>
*** OVERRIDE TRANSACTIONS TOTAL ***			<u>\$35,026.91</u>	<u>\$517.69</u>	<u>\$0.00</u>	<u>\$517.69</u>		<u>\$455.55</u>

BROKER COMMISSION TOTALS

Broker Transactions	\$247.50
Split Transactions	\$0.00
Override Transactions	\$455.55
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	\$703.05
Year-to-date Earnings	\$117,819.95