



COMMISSION STATEMENT

February 05, 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>								
01/26/2018	***-**-69IR - PERRITANO, SUSAN	GWG L BOND - 3YR BUY 10 Units @1000.0000	10,000.00	500.00	0.00	500.00	88.0	440.00
01/12/2018	***-**-968I - THIBAUT JR,	GWG L BOND - 5 YR BUY 10 Units @1000.0000	10,000.00	590.00	0.00	590.00	88.0	519.20
01/26/2018	***-**-69IR - PERRITANO, SUSAN	GWG L BOND - 5 YR BUY 15 Units @1000.0000	15,000.00	885.00	0.00	885.00	88.0	778.80
* ALTERNATIVE INVESTMENTS SUBTOTAL *			\$35,000.00	\$1,975.00	\$0.00	\$1,975.00		\$1,738.00
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
01/22/2018	***-**-6762 - MISHLANIE, ACCOUNT #: 00551362260	37252M108 BUY 5 Units @21.9400	115.00	5.75	0.00	5.75	88.0	5.06
01/22/2018	***-**-817I - WADSWORTH, ACCOUNT #: 00067441742	AMERICAN GLOBAL BALANCED CL C BUY 3 Units @33.5700	110.00	1.10	0.00	1.10	88.0	0.97
01/17/2018	***-**-11IN - MOYLAN, TIMOTHY ACCOUNT #: 03222207458	CAPITAL APPRECIATION C BUY 0 Units @0.0000	6.76	0.07	0.00	0.07	88.0	0.06
01/29/2018	***-**-11IN - MOYLAN, TIMOTHY ACCOUNT #: 03222207458	CAPITAL APPRECIATION C BUY 0 Units @0.0000	6.79	0.07	0.00	0.07	88.0	0.06
01/17/2018	***-**-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
01/17/2018	***-**-11IN - MOYLAN, TIMOTHY ACCOUNT #: 08370450780	EQUITY INCOME FUND, INC. C BUY 0 Units @0.0000	10.14	0.10	0.00	0.10	88.0	0.09
01/22/2018	***-**-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
01/24/2018	***-**-58IN - CADY, GAIL ACCOUNT #: 08370389048	EQUITY INCOME FUND, INC. C BUY 0 Units @0.0000	33.75	0.34	0.00	0.34	88.0	0.30
01/24/2018	***-**-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
01/24/2018	***-**-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
01/29/2018	***-**-11IN - MOYLAN, TIMOTHY ACCOUNT #: 08370450780	EQUITY INCOME FUND, INC. C BUY 0 Units @0.0000	10.18	0.10	0.00	0.10	88.0	0.09
01/22/2018	***-**-788I - ALBARRAN, CARLOS ACCOUNT #: 00085186008	FUNDAMENTAL INVESTORS-C BUY 2 Units @65.7900	100.00	1.00	0.00	1.00	88.0	0.88



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUNDS (continued)								
01/17/2018	***-**-0457 - STAGLIANO, GINA	GLOBAL OPPORTUNITIES FUND C	5.42	0.05	0.00	0.05	88.0	0.04
	ACCOUNT #: 02171646348	BUY 0 Units @0.0000						
01/17/2018	***-**-11IN - MOYLAN, TIMOTHY	GLOBAL OPPORTUNITIES FUND C	6.76	0.07	0.00	0.07	88.0	0.06
	ACCOUNT #: 02171646359	BUY 0 Units @0.0000						
01/22/2018	***-**-58IN - CADY, GAIL	GLOBAL OPPORTUNITIES FUND C	16.00	0.16	0.00	0.16	88.0	0.14
	ACCOUNT #: 02171604031	BUY 0 Units @0.0000						
01/24/2018	***-**-58IN - CADY, GAIL	GLOBAL OPPORTUNITIES FUND C	22.50	0.23	0.00	0.23	88.0	0.20
	ACCOUNT #: 02171604031	BUY 0 Units @0.0000						
01/24/2018	***-**-0457 - STAGLIANO, GINA	GLOBAL OPPORTUNITIES FUND C	5.42	0.05	0.00	0.05	88.0	0.04
	ACCOUNT #: 02171646348	BUY 0 Units @0.0000						
01/29/2018	***-**-11IN - MOYLAN, TIMOTHY	GLOBAL OPPORTUNITIES FUND C	6.79	0.07	0.00	0.07	88.0	0.06
	ACCOUNT #: 02171646359	BUY 0 Units @0.0000						
01/22/2018	***-**-686I - STRUMPFLE, MARK	MFS GLOBAL TOTAL RETURN FUND-B	75.00	3.00	0.00	3.00	88.0	2.64
	ACCOUNT #: 00060352385	BUY 4 Units @19.1100						
02/05/2018	***-**-0862 - REDMOND, EILEEN	NYA JPM 529 MOD GROWTH POR C	75.00	0.75	0.00	0.75	88.0	0.66
	ACCOUNT #: 77172702501	BUY 0 Units @0.0000						
01/16/2018	***-**-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						
01/22/2018	***-**-91IN - RICHARDSON,	OPPENHEIMER CUSIP 68385X208	35.00	0.35	0.00	0.35	88.0	0.31
	ACCOUNT #: 00100011925	BUY 0 Units @0.0000						
01/17/2018	***-**-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						
01/22/2018	***-**-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						
01/24/2018	***-**-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						
01/22/2018	***-**-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						
01/22/2018	***-**-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						
01/24/2018	***-**-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						



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<u>BROKER TRANSACTIONS (continued)</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS (continued)</u>								
01/17/2018	***-**-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						
01/17/2018	***-**-11IN - MOYLAN, TIMOTHY	OPPENHEIMER GLOBAL CLASS C	3.38	0.03	0.00	0.03	88.0	0.03
	ACCOUNT #: 03322653882	BUY 0 Units @0.0000						
01/24/2018	***-**-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						
01/29/2018	***-**-11IN - MOYLAN, TIMOTHY	OPPENHEIMER GLOBAL CLASS C	3.39	0.03	0.00	0.03	88.0	0.03
	ACCOUNT #: 03322653882	BUY 0 Units @0.0000						
01/22/2018	***-**-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						
01/17/2018	***-**-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						
01/17/2018	***-**-11IN - MOYLAN, TIMOTHY	OPPENHEIMER INTERNATIONAL DIVERSIFI	13.52	0.14	0.00	0.14	88.0	0.12
	ACCOUNT #: 01970849123	BUY 0 Units @0.0000						
01/22/2018	***-**-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						
01/24/2018	***-**-58IN - CADY, GAIL	OPPENHEIMER INTERNATIONAL DIVERSIFI	33.75	0.34	0.00	0.34	88.0	0.30
	ACCOUNT #: 01970799227	BUY 0 Units @0.0000						
01/24/2018	***-**-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						
01/24/2018	***-**-7473 - SCOTELLARO,	OPPENHEIMER INTERNATIONAL DIVERSIFI	25.00	0.25	0.00	0.25	88.0	0.22
	ACCOUNT #: 01971001154	BUY 0 Units @0.0000						
01/29/2018	***-**-11IN - MOYLAN, TIMOTHY	OPPENHEIMER INTERNATIONAL DIVERSIFI	13.58	0.14	0.00	0.14	88.0	0.12
	ACCOUNT #: 01970849123	BUY 0 Units @0.0000						
01/17/2018	***-**-0457 - STAGLIANO, GINA	OPPENHEIMER RISING DIVIDENDS FUND C	8.14	0.08	0.00	0.08	88.0	0.07
	ACCOUNT #: 02270899492	BUY 0 Units @0.0000						
01/17/2018	***-**-11IN - MOYLAN, TIMOTHY	OPPENHEIMER RISING DIVIDENDS FUND C	13.52	0.14	0.00	0.14	88.0	0.12
	ACCOUNT #: 02270899503	BUY 0 Units @0.0000						
01/22/2018	***-**-58IN - CADY, GAIL	OPPENHEIMER RISING DIVIDENDS FUND C	24.00	0.24	0.00	0.24	88.0	0.21
	ACCOUNT #: 02270806520	BUY 0 Units @0.0000						
01/24/2018	***-**-58IN - CADY, GAIL	OPPENHEIMER RISING DIVIDENDS FUND C	33.75	0.34	0.00	0.34	88.0	0.30
	ACCOUNT #: 02270806520	BUY 0 Units @0.0000						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUNDS (continued)								
01/24/2018	***-**-0457 - STAGLIANO, GINA	OPPENHEIMER RISING DIVIDENDS FUND C	8.14	0.08	0.00	0.08	88.0	0.07
	ACCOUNT #: 02270899492	BUY 0 Units @0.0000						
01/29/2018	***-**-11IN - MOYLAN, TIMOTHY	OPPENHEIMER RISING DIVIDENDS FUND C	13.58	0.14	0.00	0.14	88.0	0.12
	ACCOUNT #: 02270899503	BUY 0 Units @0.0000						
01/16/2018	***-**-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						
01/22/2018	***-**-58IN - CADY, GAIL	QUEST BALANCED FUND C	24.00	0.24	0.00	0.24	88.0	0.21
	ACCOUNT #: 02592245914	BUY 0 Units @0.0000						
01/24/2018	***-**-58IN - CADY, GAIL	QUEST BALANCED FUND C	33.75	0.34	0.00	0.34	88.0	0.30
	ACCOUNT #: 02592245914	BUY 0 Units @0.0000						
01/17/2018	***-**-11IN - MOYLAN, TIMOTHY	QUEST INTERNATIONAL VALUE FUND, INC	6.76	0.07	0.00	0.07	88.0	0.06
	ACCOUNT #: 02560289795	BUY 0 Units @0.0000						
01/22/2018	***-**-58IN - CADY, GAIL	QUEST INTERNATIONAL VALUE FUND, INC	16.00	0.16	0.00	0.16	88.0	0.14
	ACCOUNT #: 02560282953	BUY 0 Units @0.0000						
01/24/2018	***-**-58IN - CADY, GAIL	QUEST INTERNATIONAL VALUE FUND, INC	22.50	0.23	0.00	0.23	88.0	0.20
	ACCOUNT #: 02560282953	BUY 0 Units @0.0000						
01/29/2018	***-**-11IN - MOYLAN, TIMOTHY	QUEST INTERNATIONAL VALUE FUND, INC	6.79	0.07	0.00	0.07	88.0	0.06
	ACCOUNT #: 02560289795	BUY 0 Units @0.0000						
01/17/2018	***-**-0457 - STAGLIANO, GINA	REAL ESTATE FUND C	5.42	0.05	0.00	0.05	88.0	0.04
	ACCOUNT #: 05920286880	BUY 0 Units @0.0000						
01/17/2018	***-**-11IN - MOYLAN, TIMOTHY	REAL ESTATE FUND C	6.76	0.07	0.00	0.07	88.0	0.06
	ACCOUNT #: 05920286891	BUY 0 Units @0.0000						
01/22/2018	***-**-58IN - CADY, GAIL	REAL ESTATE FUND C	16.00	0.16	0.00	0.16	88.0	0.14
	ACCOUNT #: 05920265584	BUY 0 Units @0.0000						
01/24/2018	***-**-58IN - CADY, GAIL	REAL ESTATE FUND C	22.50	0.23	0.00	0.23	88.0	0.20
	ACCOUNT #: 05920265584	BUY 0 Units @0.0000						
01/24/2018	***-**-0457 - STAGLIANO, GINA	REAL ESTATE FUND C	5.42	0.05	0.00	0.05	88.0	0.04
	ACCOUNT #: 05920286880	BUY 0 Units @0.0000						
01/29/2018	***-**-11IN - MOYLAN, TIMOTHY	REAL ESTATE FUND C	6.79	0.07	0.00	0.07	88.0	0.06
	ACCOUNT #: 05920286891	BUY 0 Units @0.0000						
01/17/2018	***-**-0457 - STAGLIANO, GINA	SENIOR FLOATING RATE FUND C	5.42	0.05	0.00	0.05	88.0	0.04
	ACCOUNT #: 02931758372	BUY 0 Units @0.0000						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUNDS (continued)								
01/24/2018	***-**-0457 - STAGLIANO, GINA	SENIOR FLOATING RATE FUND C	5.42	0.05	0.00	0.05	88.0	0.04
	ACCOUNT #: 02931758372	BUY 0 Units @0.0000						
01/17/2018	***-**-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						
01/22/2018	***-**-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						
01/24/2018	***-**-58IN - CADY, GAIL	SMALL- & MID- CAP VALUE FUND C	22.50	0.23	0.00	0.23	88.0	0.20
	ACCOUNT #: 02531131966	BUY 0 Units @0.0000						
01/24/2018	***-**-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						
01/24/2018	***-**-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						
01/22/2018	***-**-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 @24.7500						
01/22/2018	***-**-469I - HAUCK, JUDITH	THE INCOME FUND OF AMERICA-A	300.00	6.00	0.00	6.00	88.0	5.28
	ACCOUNT #: 00087147439	BUY 12 Units @24.7500						
* MUTUAL FUNDS SUBTOTAL *			\$1,877.05	\$29.59	\$0.00	\$29.59		\$25.96

PRODUCT CATEGORY: STOCKS

01/30/2018	***-**-59IN - MORGAN, WILLIAM	COMTECH TELECOMMUNICATIONS CORP COM	4,983.87	77.49	19.66	57.83	88.0	50.89
	ACCOUNT #: LSR010842	SELL 233 Units @21.3900						
02/01/2018	***-**-034J - NIKODEM, JOSEPH	CREDIT SUISSE GROUP SPON ADR-REP 1	7,892.00	97.49	23.00	74.49	88.0	65.55
	ACCOUNT #: LSR010887	SELL 400 Units @19.7300						
01/30/2018	***-**-59IN - MORGAN, WILLIAM	DENBURY RES INC DEL COM USD0.001	1,896.00	49.99	31.00	18.99	88.0	16.71
	ACCOUNT #: LSR010842	SELL 800 Units @2.3700						
01/30/2018	***-**-59IN - MORGAN, WILLIAM	FS INVT CORP COM	3,845.00	49.99	25.00	24.99	88.0	21.99
	ACCOUNT #: LSR010842	BUY 500 Units @7.6900						
01/30/2018	***-**-59IN - MORGAN, WILLIAM	GENESIS HEALTHCARE INC CL A COM ISI	930.00	49.99	35.00	14.99	88.0	13.19
	ACCOUNT #: LSR010842	BUY 1000 Units @0.9300						
01/30/2018	***-**-59IN - MORGAN, WILLIAM	GERDAU SA SPONS ADR EACH REP 1 PRF	4,488.00	57.49	35.00	22.49	88.0	19.79
	ACCOUNT #: LSR010842	BUY 1000 Units @4.4880						
01/26/2018	***-**-762I - STORSBERG,	GILEAD SCIENCES INC UNSOLICITED ORD	4,237.00	48.75	16.00	32.75	88.0	28.82
	ACCOUNT #: LSR011688	SELL 50 Units @84.7400						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: STOCKS (continued)								
01/26/2018	***-**-762I - STORSBERG, ACCOUNT #: LSR011688	GILEAD SCIENCES INC UNSOLICITED ORD SELL 40 Units @84.7400	3,389.60	39.00	0.80	38.20	88.0	33.62
01/26/2018	***-**-762I - STORSBERG, ACCOUNT #: LSR011688	GILEAD SCIENCES INC UNSOLICITED ORD SELL 10 Units @84.7400	847.40	9.75	0.20	9.55	88.0	8.40
01/26/2018	***-**-804I - RIEBEN, ANNE ACCOUNT #: LSR010877	NATIONAL GRID SPON ADR EACH REP 5 O BUY 100 Units @57.6250	5,762.50	67.49	17.00	50.49	88.0	44.43
01/26/2018	***-**-762I - STORSBERG, ACCOUNT #: LSR011688	NATIONAL GRID SPON ADR EACH REP 5 O BUY 150 Units @57.5470	8,632.05	87.49	18.00	69.49	88.0	61.15
01/30/2018	***-**-59IN - MORGAN, WILLIAM ACCOUNT #: LSR010842	VALE S.A. SPONS ADR REPR 1 COM NPV SELL 500 Units @12.9700	6,485.00	87.49	25.00	62.49	88.0	54.99
01/26/2018	***-**-762I - STORSBERG, ACCOUNT #: LSR011688	WESTPAC BANKING CORPORATION ADR(EAC BUY 300 Units @25.1500	7,545.00	87.49	21.00	66.49	88.0	58.51
* STOCKS SUBTOTAL *			\$60,933.42	\$809.90	\$266.66	\$543.24		\$478.04
PRODUCT CATEGORY: 529 PLAN								
02/01/2018	***-**-93JT - WADSWORTH, ACCOUNT #: 77296639001	NYA JPM 529 ALL FIXED INCOME PO A BUY 0 Units @0.0000	100.00	4.05	0.00	4.05	88.0	3.56
02/01/2018	***-**-93JT - WADSWORTH, ACCOUNT #: 77296639001	NYA JPM 529 ALL FIXED INCOME PO A BUY 0 Units @0.0000	200.00	2.00	0.00	2.00	88.0	1.76
02/01/2018	***-**-29IO - LORUSSO, VINCENT ACCOUNT #: 77089153301	NYA JPM 529 EQUITY INCOME PORTF C BUY 0 Units @0.0000	50.00	0.50	0.00	0.50	88.0	0.44
02/01/2018	***-**-0862 - REDMOND, EILEEN ACCOUNT #: 77172702502	NYA JPM 529 EQUITY INCOME PORTF C BUY 0 Units @0.0000	50.00	0.52	0.00	0.52	88.0	0.46
02/01/2018	***-**-225P - DAMSKY, CYNTHIA ACCOUNT #: 77172702502	NYA JPM 529 EQUITY INCOME PORTF C BUY 0 Units @0.0000	50.00	0.50	0.00	0.50	88.0	0.44
* 529 PLAN SUBTOTAL *			\$450.00	\$7.57	\$0.00	\$7.57		\$6.66
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS								
01/29/2018	***-**-57RI - DIPERNA, ROBERT ACCOUNT #: 08189654783	MFS TRAILS 552988610 BUY 18 Units @16.6800	300.00	3.00	0.00	3.00	88.0	2.64
01/29/2018	***-**-51RI - DIPERNA, SANDRA ACCOUNT #: 08191188649	MFS TRAILS 552988610 BUY 18 Units @16.6800	300.00	3.00	0.00	3.00	88.0	2.64



COMMISSION STATEMENT

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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 FUND 12B1 TRAILS (continued)								
02/05/2018	***-**-41TR - DAMSKY, BARRY	RESOURCE REAL ESTATE-NFS	0.00	0.43	0.00	0.43	88.0	0.38
	ACCOUNT #: LSR011340	BUY 1 Units @0.0000						
02/05/2018	***-**-41TR - DAMSKY, BARRY	RESOURCE REAL ESTATE-NFS	0.00	0.14	0.00	0.14	88.0	0.12
	ACCOUNT #: LSR011340	BUY 1 Units @0.0000						
02/05/2018	***-**-609J - CADY, PATRICK	RESOURCE REAL ESTATE-NFS	0.00	0.20	0.00	0.20	88.0	0.18
	ACCOUNT #: LSR011123	BUY 1 Units @0.0000						
02/05/2018	***-**-609J - CADY, PATRICK	RESOURCE REAL ESTATE-NFS	0.00	0.07	0.00	0.07	88.0	0.06
	ACCOUNT #: LSR011123	BUY 1 Units @0.0000						
02/05/2018	***-**-05IN - HULL, JEFFERY	RESOURCE REAL ESTATE-NFS	0.00	0.77	0.00	0.77	88.0	0.68
	ACCOUNT #: LSR011187	BUY 1 Units @0.0000						
02/05/2018	***-**-05IN - HULL, JEFFERY	RESOURCE REAL ESTATE-NFS	0.00	0.26	0.00	0.26	88.0	0.23
	ACCOUNT #: LSR011187	BUY 1 Units @0.0000						
02/05/2018	***-**-08TR - SCOTELLARO III,	RESOURCE REAL ESTATE-NFS	0.00	0.62	0.00	0.62	88.0	0.55
	ACCOUNT #: LSR010975	BUY 1 Units @0.0000						
02/05/2018	***-**-08TR - SCOTELLARO III,	RESOURCE REAL ESTATE-NFS	0.00	0.21	0.00	0.21	88.0	0.18
	ACCOUNT #: LSR010975	BUY 1 Units @0.0000						
02/05/2018	***-**-319I - HILLEBRAND, JOAN	RESOURCE REAL ESTATE-NFS	0.00	0.68	0.00	0.68	88.0	0.60
	ACCOUNT #: LSR011002	BUY 1 Units @0.0000						
02/05/2018	***-**-319I - HILLEBRAND, JOAN	RESOURCE REAL ESTATE-NFS	0.00	0.23	0.00	0.23	88.0	0.20
	ACCOUNT #: LSR011002	BUY 1 Units @0.0000						
02/05/2018	***-**-914J - KALAMAS, SHIRLEY	RESOURCE REAL ESTATE-NFS	0.00	0.37	0.00	0.37	88.0	0.33
	ACCOUNT #: LSR010904	BUY 1 Units @0.0000						
02/05/2018	***-**-914J - KALAMAS, SHIRLEY	RESOURCE REAL ESTATE-NFS	0.00	0.12	0.00	0.12	88.0	0.11
	ACCOUNT #: LSR010904	BUY 1 Units @0.0000						
02/05/2018	***-**-53TR - SABANOSH, ALAN R	RESOURCE REAL ESTATE-NFS	0.00	0.93	0.00	0.93	88.0	0.82
	ACCOUNT #: LSR010917	BUY 1 Units @0.0000						
02/05/2018	***-**-53TR - SABANOSH, ALAN R	RESOURCE REAL ESTATE-NFS	0.00	0.31	0.00	0.31	88.0	0.27
	ACCOUNT #: LSR010917	BUY 1 Units @0.0000						
02/05/2018	***-**-804I - RIEBEN, ANNE	RESOURCE REAL ESTATE-NFS	0.00	0.68	0.00	0.68	88.0	0.60
	ACCOUNT #: LSR010877	BUY 1 Units @0.0000						
02/05/2018	***-**-804I - RIEBEN, ANNE	RESOURCE REAL ESTATE-NFS	0.00	0.23	0.00	0.23	88.0	0.20
	ACCOUNT #: LSR010877	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)								
02/05/2018	***-**-423I - SAVICKI, RICHARD	RESOURCE REAL ESTATE-NFS	0.00	0.68	0.00	0.68	88.0	0.60
	ACCOUNT #: LSR010889	BUY 1 Units @0.0000						
02/05/2018	***-**-423I - SAVICKI, RICHARD	RESOURCE REAL ESTATE-NFS	0.00	0.23	0.00	0.23	88.0	0.20
	ACCOUNT #: LSR010889	BUY 1 Units @0.0000						
02/05/2018	***-**-753I - SABANOSH, ALAN	RESOURCE REAL ESTATE-NFS	0.00	0.93	0.00	0.93	88.0	0.82
	ACCOUNT #: LSR010909	BUY 1 Units @0.0000						
02/05/2018	***-**-753I - SABANOSH, ALAN	RESOURCE REAL ESTATE-NFS	0.00	0.31	0.00	0.31	88.0	0.27
	ACCOUNT #: LSR010909	BUY 1 Units @0.0000						
02/05/2018	***-**-718J - LOWE, GREGORY	RESOURCE REAL ESTATE-NFS	0.00	3.55	0.00	3.55	88.0	3.12
	ACCOUNT #: LSR011914	BUY 1 Units @0.0000						
02/05/2018	***-**-718J - LOWE, GREGORY	RESOURCE REAL ESTATE-NFS	0.00	1.18	0.00	1.18	88.0	1.04
	ACCOUNT #: LSR011914	BUY 1 Units @0.0000						
02/05/2018	***-**-14TR - THE KALAMAS,	RESOURCE REAL ESTATE-NFS	0.00	3.66	0.00	3.66	88.0	3.22
	ACCOUNT #: LSR012226	BUY 1 Units @0.0000						
02/05/2018	***-**-14TR - THE KALAMAS,	RESOURCE REAL ESTATE-NFS	0.00	1.22	0.00	1.22	88.0	1.07
	ACCOUNT #: LSR012226	BUY 1 Units @0.0000						
02/05/2018	***-**-41TR - DAMSKY, BARRY	RESOURCE REAL ESTATE-NFS	0.00	4.27	0.00	4.27	88.0	3.76
	ACCOUNT #: LSR011340	BUY 1 Units @0.0000						
02/05/2018	***-**-41TR - DAMSKY, BARRY	RESOURCE REAL ESTATE-NFS	0.00	1.42	0.00	1.42	88.0	1.25
	ACCOUNT #: LSR011340	BUY 1 Units @0.0000						
02/05/2018	***-**-609J - CADY, PATRICK	RESOURCE REAL ESTATE-NFS	0.00	1.95	0.00	1.95	88.0	1.72
	ACCOUNT #: LSR011123	BUY 1 Units @0.0000						
02/05/2018	***-**-609J - CADY, PATRICK	RESOURCE REAL ESTATE-NFS	0.00	0.65	0.00	0.65	88.0	0.57
	ACCOUNT #: LSR011123	BUY 1 Units @0.0000						
02/05/2018	***-**-05IN - HULL, JEFFERY	RESOURCE REAL ESTATE-NFS	0.00	7.63	0.00	7.63	88.0	6.71
	ACCOUNT #: LSR011187	BUY 1 Units @0.0000						
02/05/2018	***-**-05IN - HULL, JEFFERY	RESOURCE REAL ESTATE-NFS	0.00	2.54	0.00	2.54	88.0	2.24
	ACCOUNT #: LSR011187	BUY 1 Units @0.0000						
02/05/2018	***-**-08TR - SCOTELLARO III,	RESOURCE REAL ESTATE-NFS	0.00	6.10	0.00	6.10	88.0	5.37
	ACCOUNT #: LSR010975	BUY 1 Units @0.0000						
02/05/2018	***-**-08TR - SCOTELLARO III,	RESOURCE REAL ESTATE-NFS	0.00	2.03	0.00	2.03	88.0	1.79
	ACCOUNT #: LSR010975	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)								
02/05/2018	***-**-319I - HILLEBRAND, JOAN	RESOURCE REAL ESTATE-NFS	0.00	6.71	0.00	6.71	88.0	5.90
	ACCOUNT #: LSR011002	BUY 1 Units @0.0000						
02/05/2018	***-**-319I - HILLEBRAND, JOAN	RESOURCE REAL ESTATE-NFS	0.00	2.24	0.00	2.24	88.0	1.97
	ACCOUNT #: LSR011002	BUY 1 Units @0.0000						
02/05/2018	***-**-53TR - SABANOSH, ALAN R	RESOURCE REAL ESTATE-NFS	0.00	9.15	0.00	9.15	88.0	8.05
	ACCOUNT #: LSR010917	BUY 1 Units @0.0000						
02/05/2018	***-**-53TR - SABANOSH, ALAN R	RESOURCE REAL ESTATE-NFS	0.00	3.05	0.00	3.05	88.0	2.68
	ACCOUNT #: LSR010917	BUY 1 Units @0.0000						
02/05/2018	***-**-804I - RIEBEN, ANNE	RESOURCE REAL ESTATE-NFS	0.00	6.71	0.00	6.71	88.0	5.90
	ACCOUNT #: LSR010877	BUY 1 Units @0.0000						
02/05/2018	***-**-804I - RIEBEN, ANNE	RESOURCE REAL ESTATE-NFS	0.00	2.24	0.00	2.24	88.0	1.97
	ACCOUNT #: LSR010877	BUY 1 Units @0.0000						
02/05/2018	***-**-423I - SAVICKI, RICHARD	RESOURCE REAL ESTATE-NFS	0.00	6.63	0.00	6.63	88.0	5.83
	ACCOUNT #: LSR010889	BUY 1 Units @0.0000						
02/05/2018	***-**-423I - SAVICKI, RICHARD	RESOURCE REAL ESTATE-NFS	0.00	2.21	0.00	2.21	88.0	1.94
	ACCOUNT #: LSR010889	BUY 1 Units @0.0000						
02/05/2018	***-**-753I - SABANOSH, ALAN	RESOURCE REAL ESTATE-NFS	0.00	9.15	0.00	9.15	88.0	8.05
	ACCOUNT #: LSR010909	BUY 1 Units @0.0000						
02/05/2018	***-**-753I - SABANOSH, ALAN	RESOURCE REAL ESTATE-NFS	0.00	3.05	0.00	3.05	88.0	2.68
	ACCOUNT #: LSR010909	BUY 1 Units @0.0000						
02/05/2018	***-**-698J - FEISTHAMEL, MR	RESOURCE REAL ESTATE-NFS	0.00	7.88	0.00	7.88	88.0	6.93
	ACCOUNT #: LSR011137	BUY 1 Units @0.0000						
02/05/2018	***-**-698J - FEISTHAMEL, MR	RESOURCE REAL ESTATE-NFS	0.00	2.63	0.00	2.63	88.0	2.31
	ACCOUNT #: LSR011137	BUY 1 Units @0.0000						
02/05/2018	***-**-9010 - DRUMM, LOIS	RESOURCE REAL ESTATE-NFS	0.00	6.68	0.00	6.68	88.0	5.88
	ACCOUNT #: LSR011609	BUY 1 Units @0.0000						
02/05/2018	***-**-9010 - DRUMM, LOIS	RESOURCE REAL ESTATE-NFS	0.00	2.23	0.00	2.23	88.0	1.96
	ACCOUNT #: LSR011609	BUY 1 Units @0.0000						
02/05/2018	***-**-231J - MISHLANIE JR,	RESOURCE REAL ESTATE-NFS	0.00	4.31	0.00	4.31	88.0	3.79
	ACCOUNT #: LSR010927	BUY 1 Units @0.0000						
02/05/2018	***-**-231J - MISHLANIE JR,	RESOURCE REAL ESTATE-NFS	0.00	1.44	0.00	1.44	88.0	1.27
	ACCOUNT #: LSR010927	BUY 1 Units @0.0000						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
02/05/2018	***-**-24TR - SCOTELLARO, L	RESOURCE REAL ESTATE-NFS	0.00	10.63	0.00	10.63	88.0	9.35
	ACCOUNT #: LSR010973	BUY 1 Units @0.0000						
02/05/2018	***-**-24TR - SCOTELLARO, L	RESOURCE REAL ESTATE-NFS	0.00	3.54	0.00	3.54	88.0	3.12
	ACCOUNT #: LSR010973	BUY 1 Units @0.0000						
02/05/2018	***-**-467I - PICKARD, BRIAN	RESOURCE REAL ESTATE-NFS	0.00	6.07	0.00	6.07	88.0	5.34
	ACCOUNT #: LSR010944	BUY 1 Units @0.0000						
02/05/2018	***-**-467I - PICKARD, BRIAN	RESOURCE REAL ESTATE-NFS	0.00	2.02	0.00	2.02	88.0	1.78
	ACCOUNT #: LSR010944	BUY 1 Units @0.0000						
02/05/2018	***-**-474J - HAGAN JR,	RESOURCE REAL ESTATE-NFS	0.00	9.11	0.00	9.11	88.0	8.02
	ACCOUNT #: LSR010993	BUY 1 Units @0.0000						
02/05/2018	***-**-474J - HAGAN JR,	RESOURCE REAL ESTATE-NFS	0.00	3.04	0.00	3.04	88.0	2.68
	ACCOUNT #: LSR010993	BUY 1 Units @0.0000						
02/05/2018	***-**-077O - GAUTHIER, LOUIS	RESOURCE REAL ESTATE-NFS	0.00	6.07	0.00	6.07	88.0	5.34
	ACCOUNT #: LSR010905	BUY 1 Units @0.0000						
02/05/2018	***-**-077O - GAUTHIER, LOUIS	RESOURCE REAL ESTATE-NFS	0.00	2.02	0.00	2.02	88.0	1.78
	ACCOUNT #: LSR010905	BUY 1 Units @0.0000						
02/05/2018	***-**-522J - RIEBEN, HENRY	RESOURCE REAL ESTATE-NFS	0.00	16.35	0.00	16.35	88.0	14.39
	ACCOUNT #: LSR010938	BUY 1 Units @0.0000						
02/05/2018	***-**-522J - RIEBEN, HENRY	RESOURCE REAL ESTATE-NFS	0.00	5.45	0.00	5.45	88.0	4.80
	ACCOUNT #: LSR010938	BUY 1 Units @0.0000						
02/05/2018	***-**-05IR - HULL, JEFF	RESOURCE REAL ESTATE-NFS	0.00	4.92	0.00	4.92	88.0	4.33
	ACCOUNT #: LSR011534	BUY 1 Units @0.0000						
02/05/2018	***-**-05IR - HULL, JEFF	RESOURCE REAL ESTATE-NFS	0.00	1.64	0.00	1.64	88.0	1.44
	ACCOUNT #: LSR011534	BUY 1 Units @0.0000						
02/05/2018	***-**-924J - FISH, ROY	RESOURCE REAL ESTATE-NFS	0.00	8.47	0.00	8.47	88.0	7.45
	ACCOUNT #: LSR010906	BUY 1 Units @0.0000						
02/05/2018	***-**-924J - FISH, ROY	RESOURCE REAL ESTATE-NFS	0.00	2.82	0.00	2.82	88.0	2.48
	ACCOUNT #: LSR010906	BUY 1 Units @0.0000						
02/05/2018	***-**-49IN - SCOTELLARO III,	RESOURCE REAL ESTATE-NFS	0.00	3.67	0.00	3.67	88.0	3.23
	ACCOUNT #: LSR011680	BUY 1 Units @0.0000						
02/05/2018	***-**-49IN - SCOTELLARO III,	RESOURCE REAL ESTATE-NFS	0.00	1.22	0.00	1.22	88.0	1.07
	ACCOUNT #: LSR011680	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)								
02/05/2018	***-**-423J - SAVICKI, RICHARD	RESOURCE REAL ESTATE-NFS	0.00	5.00	0.00	5.00	88.0	4.40
	ACCOUNT #: LSR010893	BUY 1 Units @0.0000						
02/05/2018	***-**-423J - SAVICKI, RICHARD	RESOURCE REAL ESTATE-NFS	0.00	1.67	0.00	1.67	88.0	1.47
	ACCOUNT #: LSR010893	BUY 1 Units @0.0000						
02/05/2018	***-**-22IN - GRACIE, JULIA	RESOURCE REAL ESTATES-NFS	0.00	2.74	0.00	2.74	88.0	2.41
	ACCOUNT #: LSR011019	BUY 1 Units @0.0000						
02/05/2018	***-**-22IN - GRACIE, JULIA	RESOURCE REAL ESTATES-NFS	0.00	2.64	0.00	2.64	88.0	2.32
	ACCOUNT #: LSR011019	BUY 1 Units @0.0000						
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *			\$600.00	\$226.00	\$0.00	\$226.00		\$198.85
*** BROKER TRANSACTIONS TOTAL ***			\$98,860.47	\$3,048.06	\$266.66	\$2,781.40		\$2,447.51

VERRIDE TRANSACTIONS

BROKER: KURT GRUENEWALD

01/22/2018	***-**-22IO - CLINTON, STEPHEN	TERRA INCOME FUND 6, INC.	-10,000.00	18.00	0.00	18.00	88.0	15.84
	ACCOUNT #: LSR011684	CANCEL 1000 Units @10.0000						
02/01/2018	***-**-169I - EVANS, PAUL	AEROVIRNMENT INC	3,920.93	39.00	0.00	39.00	88.0	34.32
	ACCOUNT #: LSR011026	SELL 75 Units @52.2790						
01/26/2018	***-**-366S - GRUENEWALD,	ALPS ETF TR ALERIAN MLP ETF	4,730.40	42.24	0.00	42.24	88.0	37.17
	ACCOUNT #: LSR010990	SELL 400 Units @11.8260						
01/29/2018	***-**-366S - GRUENEWALD,	AMAZON.COM INC UNSOLICITED ORDER	28,168.00	280.40	0.00	280.40	88.0	246.75
	ACCOUNT #: LSR010990	BUY 20 Units @1408.4000						
01/31/2018	***-**-366S - GRUENEWALD,	AMAZON.COM INC UNSOLICITED ORDER	21,927.47	219.00	0.00	219.00	88.0	192.72
	ACCOUNT #: LSR010990	BUY 15 Units @1461.8310						
01/26/2018	***-**-366S - GRUENEWALD,	ANNALY CAP MANGEMENT INC	4,362.00	38.60	0.00	38.60	88.0	33.97
	ACCOUNT #: LSR010990	SELL 400 Units @10.9050						
01/30/2018	***-**-366S - GRUENEWALD,	APPLE INC UNSOLICITED ORDER	21,710.00	217.10	0.00	217.10	88.0	191.05
	ACCOUNT #: LSR010990	SELL 130 Units @167.0000						
01/26/2018	***-**-366S - GRUENEWALD,	BLACKROCK ENHANCED DIVID ACHIEVERS	4,797.50	41.00	0.00	41.00	88.0	36.08
	ACCOUNT #: LSR010990	SELL 500 Units @9.5950						
02/05/2018	***-**-6604 - REYNOLDS, DIANE	BLACKROCK TRAILS	0.00	4.68	0.00	4.68	88.0	4.12
	ACCOUNT #: 5290810273	BUY 0 Units @0.0000						



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 OVERRIDE TRANSACTIONS (continued)								
 BROKER: KURT GRUENEWALD (continued)								
01/22/2018	***-**-65CL - GRUENEWALD, K, ACCOUNT #: 03222414918	CAPITAL APPRECIATION C BUY 0 Units @0.0000	50.00	0.50	0.00	0.50	88.0	0.44
01/26/2018	***-**-366S - GRUENEWALD, ACCOUNT #: LSR010990	DENBURY RES INC DEL COM USD0.001 SELL 1100 Units @2.5610	2,817.10	6.39	0.00	6.39	88.0	5.62
01/26/2018	***-**-366S - GRUENEWALD, ACCOUNT #: LSR010990	DENBURY RES INC DEL COM USD0.001 SELL 200 Units @2.5650	513.00	3.89	0.00	3.89	88.0	3.42
01/22/2018	***-**-633J - ACCOUNT #: 08353229688	EQUITY INCOME FUND, INC. A BUY 0 Units @0.0000	175.00	8.31	0.00	8.31	88.0	7.31
01/17/2018	***-**-48JT - LEE, DARLENE ACCOUNT #: 08370750926	EQUITY INCOME FUND, INC. C BUY 0 Units @0.0000	50.00	0.50	0.00	0.50	88.0	0.44
01/29/2018	***-**-48JT - LEE, DARLENE ACCOUNT #: 08370750926	EQUITY INCOME FUND, INC. C BUY 0 Units @0.0000	50.00	0.50	0.00	0.50	88.0	0.44
02/01/2018	***-**-702I - KOCHER, MICHAEL ACCOUNT #: LSR010954	FORD MTR CO DEL COM UNSOLICITED ORD BUY 100 Units @10.9190	1,091.90	1.15	0.00	1.15	88.0	1.01
02/01/2018	***-**-702I - KOCHER, MICHAEL ACCOUNT #: LSR010954	FORD MTR CO DEL COM UNSOLICITED ORD BUY 44 Units @10.9190	480.44	7.11	0.00	7.11	88.0	6.26
02/01/2018	***-**-702I - KOCHER, MICHAEL ACCOUNT #: LSR010954	FORD MTR CO DEL COM UNSOLICITED ORD BUY 106 Units @10.9190	1,157.41	17.12	0.00	17.12	88.0	15.07
01/26/2018	***-**-8901 - GURDO, ANTHONY ACCOUNT #: 00087491111	FUNDAMENTAL INVESTORS-C BUY 2 Units @66.5400	150.00	1.50	0.00	1.50	88.0	1.32
01/22/2018	***-**-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
01/16/2018	***-**-35IN - RUGGIERO, LAURIE	GWG L BOND - 7 YR BUY 10 Units @1000.0000	10,000.00	600.00	0.00	600.00	88.0	528.00
01/16/2018	***-**-35IN - RUGGIERO, LAURIE	GWG L BOND - 5 YR BUY 10 Units @1000.0000	10,000.00	590.00	0.00	590.00	88.0	519.20
01/31/2018	***-**-89IN - LEE, ROGER ACCOUNT #: 1200175188	JACKSON 468511480 BUY 0 Units @0.0000	0.00	25.10	0.00	25.10	88.0	22.09
01/22/2018	***-**-06IN - SATTERLY, ACCOUNT #: 08191336006	MFS 08191336006 BUY 3 Units @33.6900	100.00	1.00	0.00	1.00	88.0	0.88
01/29/2018	***-**-13IN - RHYMESTINE, ACCOUNT #: 08191178476	MFS EMERGING MARKETS EQUITY FUND-B BUY 1 Units @35.1200	50.00	2.00	0.00	2.00	88.0	1.76



COMMISSION STATEMENT

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DAVID GRIFFITH
2108 Genesee St.
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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>								
01/29/2018	***-**-13IN - RHYMESTINE, ACCOUNT #: 08191178476	MFS EMERGING MKT DEBT CL B BUY 3 Units @15.1500	50.00	2.00	0.00	2.00	88.0	1.76
01/17/2018	***-**-53RI - FALCHI, VALERIE ACCOUNT #: 08191172002	MFS GLOBAL TOTAL RETURN FUND-B BUY 3 Units @19.0000	50.00	2.00	0.00	2.00	88.0	1.76
01/22/2018	***-**-617I - ESCHE, BEVERLY ACCOUNT #: 08191154979	MFS GLOBAL TOTAL RETURN FUND-B BUY 3 Units @19.1100	50.00	2.00	0.00	2.00	88.0	1.76
01/25/2018	***-**-094I - KATRENA L ACCOUNT #: 08191140345	MFS GLOBAL TOTAL RETURN FUND-B BUY 3 Units @19.2000	50.00	2.00	0.00	2.00	88.0	1.76
01/22/2018	***-**-617I - ESCHE, BEVERLY ACCOUNT #: 08191154979	MFS INTERNATIONAL NEW DISCOVERY FUN BUY 1 Units @35.2300	50.00	2.00	0.00	2.00	88.0	1.76
01/29/2018	***-**-13IN - RHYMESTINE, ACCOUNT #: 08191178476	MFS INTERNATIONAL VALUE FUND-B BUY 2 Units @42.7500	100.00	4.00	0.00	4.00	88.0	3.52
01/22/2018	***-**-06IN - SATTERLY, ACCOUNT #: 08191173302	MFS TECHNOLOGY FUND-B BUY 1 Units @34.5700	50.00	2.00	0.00	2.00	88.0	1.76
01/29/2018	***-**-13IN - RHYMESTINE, ACCOUNT #: 08191178476	MFS TOTAL RETURN FUND-B BUY 3 Units @19.7700	50.00	2.00	0.00	2.00	88.0	1.76
01/22/2018	***-**-617I - ESCHE, BEVERLY ACCOUNT #: 08191154979	MFS UTILITIES FUND-B BUY 2 Units @20.2800	50.00	2.00	0.00	2.00	88.0	1.76
01/26/2018	***-**-366I - GRUENEWALD, ACCOUNT #: LSR010989	NETFLIX COM INC COM UNSOLICITED ORD BUY 50 Units @270.0000	13,500.00	135.00	0.00	135.00	88.0	118.80
02/01/2018	***-**-635P - LASCALA, DEBORAH ACCOUNT #: 77699193301	NYA JPM 529 AGGR PORTI C BUY 0 Units @0.0000	50.00	0.50	0.00	0.50	88.0	0.44
02/01/2018	***-**-0767 - DOVI, ACCOUNT #: 77579193101	NYA JPM 529 EQUITY INCOME PORTF C BUY 0 Units @0.0000	25.00	0.25	0.00	0.25	88.0	0.22
02/01/2018	***-**-473J - HUSTON, ACCOUNT #: 77852732401	NYA JPM 529 EQUITY INCOME PORTF C BUY 0 Units @0.0000	200.00	2.00	0.00	2.00	88.0	1.76
02/01/2018	***-**-473J - HUSTON, ACCOUNT #: 77852732402	NYA JPM 529 EQUITY INCOME PORTF C BUY 0 Units @0.0000	200.00	2.00	0.00	2.00	88.0	1.76
02/05/2018	***-**-20IR - DEMETRI, AMELIA ACCOUNT #: 77854436501	NYA JPM 529 MOD AGE-BASED A BUY 0 Units @0.0000	50.00	2.38	0.00	2.38	88.0	2.09
02/05/2018	***-**-665P - MCCLUSKY, YVONNE ACCOUNT #: 77237884701	NYA JPM 529 REALTY INCOME PORTF C BUY 0 Units @0.0000	300.00	3.00	0.00	3.00	88.0	2.64



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<u> OVERRIDE TRANSACTIONS (continued) </u>								
<u> BROKER: KURT GRUENEWALD (continued) </u>								
01/22/2018	***-**-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
01/17/2018	***-**-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
01/17/2018	***-**-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
01/22/2018	***-**-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
01/29/2018	***-**-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
01/29/2018	***-**-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
01/17/2018	***-**-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
01/29/2018	***-**-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
01/17/2018	***-**-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
01/22/2018	***-**-633J - ACCOUNT #: 01953330426	OPPENHEIMER INTERNATIONAL DIVERSIFI BUY 0 Units @0.0000	175.00	8.31	0.00	8.31	88.0	7.31
01/29/2018	***-**-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
01/22/2018	***-**-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
02/01/2018	***-**-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
02/05/2018	***-**-63TR - EVANS, AUDREY J ACCOUNT #: LSR011036	RESOURCE REAL ESTATE-NFS BUY 1 Units @0.0000	0.00	0.43	0.00	0.43	88.0	0.38
02/05/2018	***-**-63TR - EVANS, AUDREY J ACCOUNT #: LSR011036	RESOURCE REAL ESTATE-NFS BUY 1 Units @0.0000	0.00	0.14	0.00	0.14	88.0	0.12
02/05/2018	***-**-72IN - GAVALO, JULIE ACCOUNT #: LSR010921	RESOURCE REAL ESTATE-NFS BUY 1 Units @0.0000	0.00	0.37	0.00	0.37	88.0	0.33



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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>								
02/05/2018	***-**-72IN - GAVALO, JULIE ACCOUNT #: LSR010921	RESOURCE REAL ESTATE-NFS BUY 1 Units @0.0000	0.00	0.12	0.00	0.12	88.0	0.11
02/05/2018	***-**-63TR - EVANS, AUDREY J ACCOUNT #: LSR011036	RESOURCE REAL ESTATE-NFS BUY 1 Units @0.0000	0.00	10.95	0.00	10.95	88.0	9.64
02/05/2018	***-**-63TR - EVANS, AUDREY J ACCOUNT #: LSR011036	RESOURCE REAL ESTATE-NFS BUY 1 Units @0.0000	0.00	3.65	0.00	3.65	88.0	3.21
02/05/2018	***-**-72IN - GAVALO, JULIE ACCOUNT #: LSR010921	RESOURCE REAL ESTATE-NFS BUY 1 Units @0.0000	0.00	3.66	0.00	3.66	88.0	3.22
02/05/2018	***-**-72IN - GAVALO, JULIE ACCOUNT #: LSR010921	RESOURCE REAL ESTATE-NFS BUY 1 Units @0.0000	0.00	1.22	0.00	1.22	88.0	1.07
02/05/2018	***-**-930I - SANGER, KEVIN ACCOUNT #: LSR010941	RESOURCE REAL ESTATE-NFS BUY 1 Units @0.0000	0.00	12.17	0.00	12.17	88.0	10.71
02/05/2018	***-**-930I - SANGER, KEVIN ACCOUNT #: LSR010941	RESOURCE REAL ESTATE-NFS BUY 1 Units @0.0000	0.00	4.06	0.00	4.06	88.0	3.57
02/05/2018	***-**-29IO - MASSOUD, ACCOUNT #: LSR011217	RESOURCE REAL ESTATE-NFS BUY 1 Units @0.0000	0.00	6.06	0.00	6.06	88.0	5.33
02/05/2018	***-**-29IO - MASSOUD, ACCOUNT #: LSR011217	RESOURCE REAL ESTATE-NFS BUY 1 Units @0.0000	0.00	2.02	0.00	2.02	88.0	1.78
02/05/2018	***-**-89IN - LEE, ROGER ACCOUNT #: LSR011166	RESOURCE REAL ESTATE-NFS BUY 1 Units @0.0000	0.00	13.67	0.00	13.67	88.0	12.03
02/05/2018	***-**-89IN - LEE, ROGER ACCOUNT #: LSR011166	RESOURCE REAL ESTATE-NFS BUY 1 Units @0.0000	0.00	4.56	0.00	4.56	88.0	4.01
02/05/2018	***-**-761I - EVANS, DOLORES ACCOUNT #: LSR011024	RESOURCE REAL ESTATE-NFS BUY 1 Units @0.0000	0.00	6.38	0.00	6.38	88.0	5.61
02/05/2018	***-**-761I - EVANS, DOLORES ACCOUNT #: LSR011024	RESOURCE REAL ESTATE-NFS BUY 1 Units @0.0000	0.00	2.13	0.00	2.13	88.0	1.87
02/05/2018	***-**-567I - FRANZ, ALICE ACCOUNT #: LSR010960	RESOURCE REAL ESTATE-NFS BUY 1 Units @0.0000	0.00	6.07	0.00	6.07	88.0	5.34
02/05/2018	***-**-567I - FRANZ, ALICE ACCOUNT #: LSR010960	RESOURCE REAL ESTATE-NFS BUY 1 Units @0.0000	0.00	2.02	0.00	2.02	88.0	1.78
02/05/2018	***-**-653I - KOCHER, CLINTON ACCOUNT #: LSR011300	RESOURCE REAL ESTATE-NFS BUY 1 Units @0.0000	0.00	6.06	0.00	6.06	88.0	5.33



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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) 								
02/05/2018	***-**-653I - KOCHER, CLINTON	RESOURCE REAL ESTATE-NFS	0.00	2.02	0.00	2.02	88.0	1.78
	ACCOUNT #: LSR011300	BUY 1 Units @0.0000						
02/05/2018	***-**-861I - SANGER, LAWRENCE	RESOURCE REAL ESTATE-NFS	0.00	7.30	0.00	7.30	88.0	6.42
	ACCOUNT #: LSR011095	BUY 1 Units @0.0000						
02/05/2018	***-**-861I - SANGER, LAWRENCE	RESOURCE REAL ESTATE-NFS	0.00	2.43	0.00	2.43	88.0	2.14
	ACCOUNT #: LSR011095	BUY 1 Units @0.0000						
02/05/2018	***-**-473J - HUSTON,	RESOURCE REAL ESTATE-NFS	0.00	6.08	0.00	6.08	88.0	5.35
	ACCOUNT #: LSR011228	BUY 1 Units @0.0000						
02/05/2018	***-**-473J - HUSTON,	RESOURCE REAL ESTATE-NFS	0.00	2.03	0.00	2.03	88.0	1.79
	ACCOUNT #: LSR011228	BUY 1 Units @0.0000						
02/05/2018	***-**-86IN - LEE, KEVIN	RESOURCE REAL ESTATE-NFS	0.00	6.03	0.00	6.03	88.0	5.31
	ACCOUNT #: LSR011613	BUY 1 Units @0.0000						
02/05/2018	***-**-86IN - LEE, KEVIN	RESOURCE REAL ESTATE-NFS	0.00	2.01	0.00	2.01	88.0	1.77
	ACCOUNT #: LSR011613	BUY 1 Units @0.0000						
02/05/2018	***-**-628I - SANGER, SANDRA	RESOURCE REAL ESTATE-NFS	0.00	5.20	0.00	5.20	88.0	4.58
	ACCOUNT #: LSR010942	BUY 1 Units @0.0000						
02/05/2018	***-**-628I - SANGER, SANDRA	RESOURCE REAL ESTATE-NFS	0.00	1.73	0.00	1.73	88.0	1.52
	ACCOUNT #: LSR010942	BUY 1 Units @0.0000						
02/05/2018	***-**-37IO - MCCLUSKY, MARK	RESOURCE REAL ESTATE-NFS	0.00	3.06	0.00	3.06	88.0	2.69
	ACCOUNT #: LSR011579	BUY 1 Units @0.0000						
02/05/2018	***-**-37IO - MCCLUSKY, MARK	RESOURCE REAL ESTATE-NFS	0.00	1.02	0.00	1.02	88.0	0.90
	ACCOUNT #: LSR011579	BUY 1 Units @0.0000						
01/26/2018	***-**-366S - GRUENEWALD,	T C PIPELINES SOLICITED ORDER	5,645.30	50.33	0.00	50.33	88.0	44.29
	ACCOUNT #: LSR010990	SELL 100 Units @56.4530						
01/22/2018	***-**-755P - SHEPPARD,	THE GROWTH FUND OF AMERICA-529C	50.00	0.50	0.00	0.50	88.0	0.44
	ACCOUNT #: 00084018452	BUY 1 Units @49.4200						
01/26/2018	***-**-366S - GRUENEWALD,	TORTOISE ENERGY INFRSTRCTR CP COM I	2,377.25	25.26	0.00	25.26	88.0	22.23
	ACCOUNT #: LSR010990	SELL 74 Units @32.1250						
01/26/2018	***-**-366S - GRUENEWALD,	TRANSOCEAN LIMITED COM CHF15 UNSOLI	560.80	7.62	0.00	7.62	88.0	6.71
	ACCOUNT #: LSR010990	SELL 50 Units @11.2160						
* KURT GRUENEWALD SUBTOTAL *			\$130,911.40	\$2,570.50	\$0.00	\$2,570.50		\$2,262.03
*** OVERRIDE TRANSACTIONS TOTAL ***			\$130,911.40	\$2,570.50	\$0.00	\$2,570.50		\$2,262.03



BROKER #: A76
BRANCH #01047 - 47 - GRIFFITH

			INVESTMENT	GROSS	CLEARING	NET	BROKER	
DATE	CLIENT		AMOUNT	COMMISSION	CHARGE	COMMISSION	RATE	COMMISSION
<div>BROKER COMMISSION TOTALS</div>								
						Broker Transactions		\$2,447.51
						Split Transactions		\$0.00
						Override Transactions		\$2,262.03
						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		\$4,709.54
						Year-to-date Earnings		\$2,447.51