



COMMISSION STATEMENT

November 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: MUTUAL FUNDS</u>								
10/26/2018	***-**-49IO - RICHARDSON, ACCOUNT #: LSR012872	AMERICAN GLOBAL BALANCED CL C BUY 331 Units @30.2100	9,999.99	118.00	18.00	100.00	88.0	88.00
10/29/2018	***-**-594I - MINER, MARY ACCOUNT #: LSR012744	AMERICAN GLOBAL BALANCED CL C BUY 833 Units @30.0300	25,000.01	268.00	18.00	250.00	88.0	220.00
10/26/2018	***-**-073I - WHITEFORD, DEBRA ACCOUNT #: LSR012810	CAPITAL WORLD GROWTH AND INCOME FUN BUY 217 Units @46.0200	10,000.01	118.00	18.00	100.00	88.0	88.00
10/26/2018	***-**-49IO - RICHARDSON, ACCOUNT #: LSR012872	CAPITAL WORLD GROWTH AND INCOME FUN BUY 217 Units @46.0200	10,000.01	118.00	18.00	100.00	88.0	88.00
10/30/2018	***-**-762I - STORSBERG, ACCOUNT #: LSR011688	EATON VANCE FLOATING RATE ADVANTAGE SELL 549 Units @10.9300	6,000.00	0.00	6.00	-6.00	100.0	-6.00
10/30/2018	***-**-762I - STORSBERG, ACCOUNT #: LSR011688	EATON VANCE GLOBAL INCOME BUILDER C BUY 711 Units @8.4400	6,000.00	19.99	6.00	13.99	88.0	12.31
10/29/2018	***-**-594I - MINER, MARY ACCOUNT #: LSR012744	FUNDAMENTAL INVESTORS-C BUY 256 Units @58.6900	14,999.99	168.00	18.00	150.00	88.0	132.00
10/29/2018	***-**-244I - BURTON, RICHARD ACCOUNT #: LSR011997	INCOME FUND OF AMERICA CLASS C BUY 689 Units @21.7600	14,999.99	168.00	18.00	150.00	88.0	132.00
10/29/2018	***-**-94IN - MINER, MARY ACCOUNT #: LSR012743	INCOME FUND OF AMERICA CLASS C BUY 1149 Units @21.7600	25,000.00	268.00	18.00	250.00	88.0	220.00
10/29/2018	***-**-594I - MINER, MARY ACCOUNT #: LSR012744	INCOME FUND OF AMERICA CLASS C BUY 1149 Units @21.7600	25,000.00	268.00	18.00	250.00	88.0	220.00
10/30/2018	***-**-94IR - MINER, MARY ACCOUNT #: LSR012876	INCOME FUND OF AMERICA CLASS C BUY 274 Units @21.9300	6,000.00	78.00	18.00	60.00	88.0	52.80
10/29/2018	***-**-244I - BURTON, RICHARD ACCOUNT #: LSR011997	INTERNATIONAL GROWTH AND INCOME-C BUY 337 Units @29.7100	10,000.00	118.00	18.00	100.00	88.0	88.00
10/29/2018	***-**-594I - MINER, MARY ACCOUNT #: LSR012744	INTERNATIONAL GROWTH AND INCOME-C BUY 841 Units @29.7100	25,000.01	268.00	18.00	250.00	88.0	220.00
10/30/2018	***-**-762I - STORSBERG, ACCOUNT #: LSR011688	LORD ABBETT CONVERT FUND CL C BUY 543 Units @12.8800	7,000.00	19.99	6.00	13.99	88.0	12.31
10/30/2018	***-**-762I - STORSBERG, ACCOUNT #: LSR011688	LORD ABBETT FNDAMNTL EQUITY FD CL C BUY 717 Units @11.1500	8,000.00	19.99	6.00	13.99	88.0	12.31
10/30/2018	***-**-762I - STORSBERG, ACCOUNT #: LSR011688	LORD ABBETT SHORT DURATION INCOME C SELL 1914 Units @4.1800	8,000.00	0.00	6.00	-6.00	100.0	-6.00



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUNDS (continued)								
10/30/2018	***-**-762I - STORSBERG, ACCOUNT #: LSR011688	LORD ABBETT SHORT DURATION INCOME C SELL 1675 Units @4.1800	7,000.00	0.00	6.00	-6.00	100.0	-6.00
10/30/2018	***-**-762I - STORSBERG, ACCOUNT #: LSR011688	LORD ABBETT SHORT DURATION INCOME C SELL 3589 Units @4.1800	15,000.00	0.00	6.00	-6.00	100.0	-6.00
10/22/2018	***-**-686I - STRUMPFLER, MARK ACCOUNT #: 00060352385	MFS GLOBAL TOTAL RETURN FUND-B BUY 4 Units @17.4900	75.00	3.00	0.00	3.00	88.0	2.64
10/22/2018	***-**-522I - RIEBEN, HENRY ACCOUNT #: 00551360517	PUTNAM CAPITAL SPECTRUM FUND CL C BUY 1 Units @29.9400	16.81	0.17	0.00	0.17	88.0	0.15
10/22/2018	***-**-522I - RIEBEN, HENRY ACCOUNT #: 00551360517	PUTNAM EQUITY SPECTRUM FD CL C BUY 0 Units @35.4200	16.79	0.17	0.00	0.17	88.0	0.15
10/22/2018	***-**-522I - RIEBEN, HENRY ACCOUNT #: 00551360517	PUTNAM GLOBAL UTILITIES CL C BUY 1 Units @13.4300	16.81	0.17	0.00	0.17	88.0	0.15
10/29/2018	***-**-244I - BURTON, RICHARD ACCOUNT #: LSR011997	RESOURCE CREDIT INCOME FUND C BUY 1356 Units @11.0600	15,000.00	168.00	18.00	150.00	88.0	132.00
10/29/2018	***-**-594I - MINER, MARY ACCOUNT #: LSR012744	SMALLCAP WORLD FUND-C BUY 219 Units @45.6900	9,999.99	118.00	18.00	100.00	88.0	88.00
10/31/2018	***-**-244I - BURTON, RICHARD ACCOUNT #: LSR011997	SMALLCAP WORLD FUND-C BUY 106 Units @47.0200	5,000.01	68.00	18.00	50.00	88.0	44.00
* MUTUAL FUNDS SUBTOTAL *			\$263,125.42	\$2,375.48	\$294.00	\$2,081.48		\$1,828.82
PRODUCT CATEGORY: STOCKS								
10/30/2018	***-**-762I - STORSBERG, ACCOUNT #: LSR011688	COVANTA HLDG CORP COM BUY 260 Units @14.5800	3,790.80	57.49	20.20	37.29	88.0	32.82
10/30/2018	***-**-762I - STORSBERG, ACCOUNT #: LSR011688	DENBURY RES INC DEL COM USD0.001 BUY 1400 Units @3.3500	4,690.00	57.49	43.00	14.49	88.0	12.75
10/26/2018	***-**-22IR - RIEBEN, HENRY ACCOUNT #: LSR010939	STEIN MART INC COM BUY 1500 Units @1.7000	2,550.00	49.99	18.00	31.99	88.0	28.15
10/26/2018	***-**-94IN - MINER, MARY ACCOUNT #: LSR012743	STEIN MART INC COM BUY 5000 Units @1.7080	8,540.00	117.49	18.00	99.49	88.0	87.55
10/26/2018	***-**-49IO - RICHARDSON, ACCOUNT #: LSR012872	STEIN MART INC COM BUY 2000 Units @1.7100	3,420.00	49.99	18.00	31.99	88.0	28.15
10/26/2018	***-**-94IR - MINER, MARY ACCOUNT #: LSR012876	STEIN MART INC COM BUY 1500 Units @1.7000	2,550.00	49.99	18.00	31.99	88.0	28.15



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<u>BROKER TRANSACTIONS (continued)</u>								
<u>PRODUCT CATEGORY: STOCKS (continued)</u>								
10/26/2018	***-**-94IN - MINER, MARY ACCOUNT #: LSR012743	VERIZON COMMUNICATIONS UNSOLICITED SELL 200 Units @56.4300	11,286.00	177.49	19.00	158.49	88.0	139.47
10/29/2018	***-**-94IN - MINER, MARY ACCOUNT #: LSR012743	VERIZON COMMUNICATIONS UNSOLICITED SELL 200 Units @56.5640	11,312.80	137.49	19.00	118.49	88.0	104.27
10/30/2018	***-**-762I - STORSBERG, ACCOUNT #: LSR011688	VERIZON COMMUNICATIONS UNSOLICITED SELL 100 Units @57.7900	5,779.00	77.49	17.00	60.49	88.0	53.23
* STOCKS SUBTOTAL *			\$53,918.60	\$774.91	\$190.20	\$584.71		\$514.54
<u>PRODUCT CATEGORY: 529 PLAN</u>								
11/05/2018	***-**-745P - SCOTELLARO,	NY 529 ADDITIONAL DEPOSIT BUY 0 Units @0.0000	1,980.00	20.00	0.00	20.00	88.0	17.60
11/05/2018	***-**-0862 - REDMOND, EILEEN ACCOUNT #: 77172702501	NY 529 ADDITIONAL DEPOSIT BUY 0 Units @0.0000	24.75	0.25	0.00	0.25	88.0	0.22
11/05/2018	***-**-0862 - REDMOND, EILEEN ACCOUNT #: 77519113701	NY 529 ADDITIONAL DEPOSIT BUY 0 Units @0.0000	49.50	0.50	0.00	0.50	88.0	0.44
* 529 PLAN SUBTOTAL *			\$2,054.25	\$20.75	\$0.00	\$20.75		\$18.26
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
10/30/2018	***-**-762I - STORSBERG, ACCOUNT #: LSR011688	INTERNATIONAL CORE EQUITY C BUY 1268 Units @11.8300	15,000.00	19.99	6.00	13.99	88.0	12.31
10/22/2018	***-**-522I - RIEBEN, HENRY ACCOUNT #: 00551360517	PUTNAM MF TRAILS 37252M306 BUY 1 Units @19.9500	16.81	0.17	0.00	0.17	88.0	0.15
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *			\$15,016.81	\$20.16	\$6.00	\$14.16		\$12.46
*** BROKER TRANSACTIONS TOTAL ***			\$334,115.08	\$3,191.30	\$490.20	\$2,701.10		\$2,374.08



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<u> OVERRIDE TRANSACTIONS </u>								
<u>BROKER: KURT GRUENEWALD</u>								
10/26/2018	***-**-05IN - GATES, ROGER	AMERICAN GLOBAL BALANCED CL C	14,999.99	150.00	0.00	150.00	88.0	132.00
	ACCOUNT #: LSR012771	BUY 497 Units @30.2100						
10/29/2018	***-**-22IO - CLINTON, STEPHEN	AQUA AMERICA INC	3,310.00	34.10	0.00	34.10	88.0	30.01
	ACCOUNT #: LSR011684	BUY 100 Units @33.1000						
11/05/2018	***-**-6604 - REYNOLDS, DIANE	BLACKROCK TRAILS	0.00	3.49	0.00	3.49	88.0	3.07
	ACCOUNT #: 5290810273	BUY 0 Units @0.0000						
10/29/2018	***-**-448X - ANACKER, SUSAN	CAPITAL WORLD BOND FUND-C	5,000.00	50.00	0.00	50.00	88.0	44.00
	ACCOUNT #: LSR011578	BUY 268 Units @18.6900						
10/29/2018	***-**-22IO - CLINTON, STEPHEN	CAPITAL WORLD BOND FUND-C	7,500.00	75.00	0.00	75.00	88.0	66.00
	ACCOUNT #: LSR011684	BUY 401 Units @18.6900						
10/29/2018	***-**-448X - ANACKER, SUSAN	CION ARES DIVERSIFIED CREDIT C	4,999.99	50.00	0.00	50.00	88.0	44.00
	ACCOUNT #: LSR011578	BUY 194 Units @25.8000						
10/30/2018	***-**-15IN - PENDRAK, JOHN	DENBURY RES INC DEL COM USD0.001	3,350.00	14.99	0.00	14.99	88.0	13.19
	ACCOUNT #: LSR010948	BUY 1000 Units @3.3500						
10/30/2018	***-**-11IO - LYNN G.	DIEBOLD NIXDORF INCORPORATED COM US	3,590.00	32.49	0.00	32.49	88.0	28.59
	ACCOUNT #: LSR011239	BUY 1000 Units @3.5900						
10/29/2018	***-**-376I - BERBEN, GAIL	DUKE ENERGY CORP COM USD0.001 ISIN	8,281.50	83.83	0.00	83.83	88.0	73.77
	ACCOUNT #: LSR011380	BUY 100 Units @82.8150						
10/29/2018	***-**-663I - LASCALE, DEBORAH	DUKE ENERGY CORP COM USD0.001 ISIN	8,320.00	84.20	0.00	84.20	88.0	74.10
	ACCOUNT #: LSR012790	BUY 100 Units @83.2000						
10/26/2018	***-**-05IN - GATES, ROGER	INCOME FUND OF AMERICA CLASS C	15,000.01	150.00	0.00	150.00	88.0	132.00
	ACCOUNT #: LSR012771	BUY 689 Units @21.7700						
10/30/2018	***-**-15IR - PENDRACK, JACK	INTERNATIONAL CORE EQUITY C	5,000.00	13.99	0.00	13.99	88.0	12.31
	ACCOUNT #: LSR012043	BUY 423 Units @11.8300						
10/31/2018	***-**-89IN - LEE, ROGER	JACKSON 468511480	0.00	23.01	0.00	23.01	88.0	20.25
	ACCOUNT #: 1200175188	BUY 0 Units @0.0000						
10/22/2018	***-**-06IN - SATTERLY,	MFS 08191336006	100.00	1.00	0.00	1.00	88.0	0.88
	ACCOUNT #: 08191336006	BUY 3 Units @30.5300						
10/17/2018	***-**-53RI - FALCHI, VALERIE	MFS GLOBAL TOTAL RETURN FUND-B	75.00	3.00	0.00	3.00	88.0	2.64
	ACCOUNT #: 08191172002	BUY 4 Units @17.6500						
10/22/2018	***-**-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 @17.4900						



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 OVERRIDE TRANSACTIONS (continued) 								
 <u>BROKER: KURT GRUENEWALD (continued)</u> 								
10/22/2018	***-**-7617 - ESCHE, BEVERLY	MFS INTERNATIONAL NEW DISCOVERY FUN	50.00	2.00	0.00	2.00	88.0	1.76
	ACCOUNT #: 08191154979	BUY 2 Units @31.5900						
10/22/2018	***-**-06IN - SATTERLY,	MFS TECHNOLOGY FUND-B	50.00	2.00	0.00	2.00	88.0	1.76
	ACCOUNT #: 08191173302	BUY 1 Units @36.2800						
11/01/2018	***-**-53IN - EVANS, ANDREW	MFS TECHNOLOGY FUND-B	50.01	2.00	0.00	2.00	88.0	1.76
	ACCOUNT #: LSR011483	BUY 1 Units @35.3400						
10/22/2018	***-**-7617 - ESCHE, BEVERLY	MFS UTILITIES FUND-B	50.00	2.00	0.00	2.00	88.0	1.76
	ACCOUNT #: 08191154979	BUY 2 Units @20.4100						
11/01/2018	***-**-53IN - EVANS, ANDREW	MFS UTILITIES FUND-B	100.00	4.00	0.00	4.00	88.0	3.52
	ACCOUNT #: LSR011483	BUY 5 Units @20.0600						
10/30/2018	***-**-420T - DEMETRI, AMELIA	OPPENHEIMER GOLD & SPECIAL MINERALS	1,000.00	10.00	0.00	10.00	88.0	8.80
	ACCOUNT #: LSR010994	BUY 81 Units @12.3200						
10/29/2018	***-**-889I - FRANZ, JONATHAN	PACIFIC LIFE SE5-NYB DTCC	300.00	9.00	0.00	9.00	88.0	7.92
	ACCOUNT #: VP71081770	BUY 0 Units @0.0000						
11/01/2018	***-**-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						
10/30/2018	***-**-254I - AUGUSTINE, LINDA	PORTFOLIO SERIES: CONS INV A	4,500.00	1.99	0.00	1.99	88.0	1.75
	ACCOUNT #: LSR010846	SELL 486 Units @9.2600						
10/26/2018	***-**-31IO - WILLIAMSON, FBO	REAL ESTATE FUND A	3,999.99	1.99	0.00	1.99	88.0	1.75
	ACCOUNT #: LSR011172	SELL 169 Units @23.7000						
10/26/2018	***-**-31IO - WILLIAMSON, FBO	STEIN MART INC COM	2,550.00	31.99	0.00	31.99	88.0	28.15
	ACCOUNT #: LSR011172	BUY 1500 Units @1.7000						
10/26/2018	***-**-79TR - OR CYNTHIA	STEIN MART INC COM	4,275.00	31.99	0.00	31.99	88.0	28.15
	ACCOUNT #: LSR012749	BUY 2500 Units @1.7100						
10/30/2018	***-**-44IO - MAYO, DEBORAH	VERIZON COMMUNICATIONS UNSOLICITED	5,784.00	70.49	0.00	70.49	88.0	62.03
	ACCOUNT #: LSR011079	SELL 100 Units @57.8400						
10/30/2018	***-**-15IN - PENDRAK, JOHN	WESTPAC BANKING CORPORATION ADR(EAC	5,676.00	56.49	0.00	56.49	88.0	49.71
	ACCOUNT #: LSR010948	BUY 300 Units @18.9200						
* KURT GRUENEWALD SUBTOTAL *			\$107,997.41	\$998.12	\$0.00	\$998.12		\$878.34
*** OVERRIDE TRANSACTIONS TOTAL ***			\$107,997.41	\$998.12	\$0.00	\$998.12		\$878.34



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<div>BROKER COMMISSION TOTALS</div>								
						Broker Transactions		\$2,374.08
						Split Transactions		\$0.00
						Override Transactions		\$878.34
						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		\$3,252.42
						Year-to-date Earnings		\$231,143.94