



COMMISSION STATEMENT

October 22, 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>								
09/26/2018	***-**-244J - BURTON, RICHARD	GWG L BOND - 5 YR BUY 15 Units @1000.0000	15,000.00	885.00	0.00	885.00	88.0	778.80
10/01/2018	***-**-61IN - HECK, GREGORY	GWG L BOND - 5 YR BUY 50 Units @1000.0000	50,000.00	2,950.00	0.00	2,950.00	88.0	2,596.00
* ALTERNATIVE INVESTMENTS SUBTOTAL *			\$65,000.00	\$3,835.00	\$0.00	\$3,835.00		\$3,374.80
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
10/15/2018	***-**-817I - WADSWORTH, ACCOUNT #: 00067441742	AMERICAN GLOBAL BALANCED CL C BUY 4 Units @30.8100	110.00	1.10	0.00	1.10	88.0	0.97
10/16/2018	***-**-801I - HAGAN III, ACCOUNT #: 00088485981	AMERICAN GLOBAL BALANCED CL C BUY 5 Units @31.1700	160.00	1.60	0.00	1.60	88.0	1.41
10/17/2018	***-**-2642 - BROWN, JEFFERY ACCOUNT #: 04000870734	AMERICAN GLOBAL BALANCED CL C BUY 2 Units @31.1000	75.00	0.75	0.00	0.75	88.0	0.66
10/16/2018	***-**-244I - BURTON, RICHARD ACCOUNT #: LSR011997	AMERICAN MONEY MARKET CLASS A SELL 5285 Units @1.0000	5,284.87	19.99	18.00	1.99	88.0	1.75
10/09/2018	***-**-11IN - MOYLAN, TIMOTHY ACCOUNT #: 03222207458	CAPITAL APPRECIATION C BUY 0 Units @0.0000	7.12	0.07	0.00	0.07	88.0	0.06
10/01/2018	***-**-8027 - MAXWELL, COLLEEN ACCOUNT #: 07621429626	CASH RESERVES C BUY 0 Units @0.0000	330.25	0.83	0.00	0.83	88.0	0.73
10/04/2018	***-**-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
10/09/2018	***-**-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
10/09/2018	***-**-11IN - MOYLAN, TIMOTHY ACCOUNT #: 08370450780	EQUITY INCOME FUND, INC. C BUY 0 Units @0.0000	10.68	0.11	0.00	0.11	88.0	0.10
10/15/2018	***-**-5485 - GAETANO, ACCOUNT #: 00082975488	EUROPACIFIC GROWTH FUND-A BUY 1 Units @51.7800	33.00	1.40	0.00	1.40	88.0	1.23
10/15/2018	***-**-788I - ALBARRAN, CARLOS ACCOUNT #: 00085186008	FUNDAMENTAL INVESTORS-C BUY 2 Units @61.3900	100.00	1.00	0.00	1.00	88.0	0.88
10/09/2018	***-**-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
10/09/2018	***-**-11IN - MOYLAN, TIMOTHY ACCOUNT #: 02171646359	GLOBAL OPPORTUNITIES FUND C BUY 0 Units @0.0000	7.12	0.07	0.00	0.07	88.0	0.06



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUNDS (continued)								
10/09/2018	***-**-2687 -	MAIN STREET FUND A	25.00	1.19	0.00	1.19	88.0	1.05
	ACCOUNT #: 07006234286	BUY 0 Units @0.0000						
10/15/2018	***-**-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						
10/09/2018	***-**-2687 -	OPPENHEIMER CORE BOND FUND A	25.00	1.00	0.00	1.00	88.0	0.88
	ACCOUNT #: 02852477816	BUY 0 Units @0.0000						
10/02/2018	***-**-91IN - RICHARDSON,	OPPENHEIMER CUSIP 68385X208	35.00	0.35	0.00	0.35	88.0	0.31
	ACCOUNT #: 00100011925	BUY 0 Units @0.0000						
10/15/2018	***-**-91IN - RICHARDSON,	OPPENHEIMER CUSIP 68385X208	35.00	0.35	0.00	0.35	88.0	0.31
	ACCOUNT #: 00100011925	BUY 0 Units @0.0000						
10/02/2018	***-**-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						
10/09/2018	***-**-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						
10/15/2018	***-**-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						
10/02/2018	***-**-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						
10/15/2018	***-**-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						
10/02/2018	***-**-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						
10/15/2018	***-**-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						
10/09/2018	***-**-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						
10/09/2018	***-**-11IN - MOYLAN, TIMOTHY	OPPENHEIMER GLOBAL CLASS C	3.56	0.04	0.00	0.04	88.0	0.04
	ACCOUNT #: 03322653882	BUY 0 Units @0.0000						
10/02/2018	***-**-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						
10/15/2018	***-**-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						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUNDS (continued)								
10/04/2018	***-**-7473 - SCOTELLARO, ACCOUNT #: 01971001154	OPPENHEIMER INTERNATIONAL DIVERSIFI BUY 0 Units @0.0000	25.00	0.25	0.00	0.25	88.0	0.22
10/09/2018	***-**-0457 - STAGLIANO, GINA ACCOUNT #: 01970849112	OPPENHEIMER INTERNATIONAL DIVERSIFI BUY 0 Units @0.0000	8.14	0.08	0.00	0.08	88.0	0.07
10/09/2018	***-**-11IN - MOYLAN, TIMOTHY ACCOUNT #: 01970849123	OPPENHEIMER INTERNATIONAL DIVERSIFI BUY 0 Units @0.0000	14.24	0.14	0.00	0.14	88.0	0.12
10/09/2018	***-**-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
10/09/2018	***-**-11IN - MOYLAN, TIMOTHY ACCOUNT #: 02270899503	OPPENHEIMER RISING DIVIDENDS FUND C BUY 0 Units @0.0000	14.24	0.14	0.00	0.14	88.0	0.12
10/15/2018	***-**-497I - MARTIN, KATHLEEN ACCOUNT #: 05420240427	PORT SERIES: CONS INV C BUY 0 Units @0.0000	50.00	0.50	0.00	0.50	88.0	0.44
10/09/2018	***-**-522I - RIEBEN, HENRY ACCOUNT #: 00551360517	PUTNAM CAPITAL SPECTRUM FUND CL C BUY 1 Units @30.8800	18.31	0.18	0.00	0.18	88.0	0.16
10/09/2018	***-**-522I - RIEBEN, HENRY ACCOUNT #: 00551360517	PUTNAM EQUITY SPECTRUM FD CL C BUY 1 Units @36.5500	18.31	0.18	0.00	0.18	88.0	0.16
10/09/2018	***-**-522I - RIEBEN, HENRY ACCOUNT #: 00551360517	PUTNAM GLOBAL UTILITIES CL C BUY 1 Units @13.5700	18.31	0.18	0.00	0.18	88.0	0.16
10/09/2018	***-**-11IN - MOYLAN, TIMOTHY ACCOUNT #: 02560289795	QUEST INTERNATIONAL VALUE FUND, INC BUY 0 Units @0.0000	7.12	0.07	0.00	0.07	88.0	0.06
10/09/2018	***-**-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
10/09/2018	***-**-11IN - MOYLAN, TIMOTHY ACCOUNT #: 05920286891	REAL ESTATE FUND C BUY 0 Units @0.0000	7.12	0.07	0.00	0.07	88.0	0.06
10/10/2018	***-**-29IN - THIBAUT, PATRICK ACCOUNT #: 05920285846	REAL ESTATE FUND C BUY 0 Units @0.0000	100.00	1.00	0.00	1.00	88.0	0.88
10/17/2018	***-**-74IN - DRUMM, PATRICK ACCOUNT #: LSR012775	RESOURCE REAL ESTATE-NFS SELL 590 Units @10.3800	6,124.20	19.99	18.00	1.99	88.0	1.75
10/09/2018	***-**-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
10/09/2018	***-**-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



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUNDS (continued)								
10/15/2018	***-**-5485 - GAETANO, ACCOUNT #: 00082975488	SMALLCAP WORLD FUND-A BUY 1 Units @58.1900	33.00	1.40	0.00	1.40	88.0	1.23
10/04/2018	***-**-7473 - SCOTELLARO, ACCOUNT #: 02322945965	STRATEGIC INCOME FUND C BUY 0 Units @0.0000	25.00	0.25	0.00	0.25	88.0	0.22
10/15/2018	***-**-5485 - GAETANO, ACCOUNT #: 00082975488	THE GROWTH FUND OF AMERICA-A BUY 1 Units @55.5700	34.00	1.45	0.00	1.45	88.0	1.28
* MUTUAL FUNDS SUBTOTAL *			\$13,139.69	\$59.71	\$36.00	\$23.71		\$20.86
PRODUCT CATEGORY: STOCKS								
10/17/2018	***-**-467J - PICKARD, BRIAN ACCOUNT #: LSR010943	DIEBOLD NIXDORF INCORPORATED COM US BUY 1000 Units @3.9500	3,950.00	49.99	35.00	14.99	88.0	13.19
10/17/2018	***-**-762I - STORSBERG, ACCOUNT #: LSR011688	NORDIC AMERICAN TANKERS LIMITE COM BUY 2500 Units @2.2990	5,747.50	87.49	65.00	22.49	88.0	19.79
10/17/2018	***-**-594I - MINER, MARY ACCOUNT #: LSR012744	NORDIC AMERICAN TANKERS LIMITE COM BUY 5000 Units @2.3000	11,500.00	137.49	115.00	22.49	88.0	19.79
10/17/2018	***-**-425I - PERRITANO, ACCOUNT #: LSR010922	PETROLEO BRASILEIRO SA PETROBRAS AD SELL 300 Units @16.0400	4,812.00	87.49	21.00	66.49	88.0	58.51
10/12/2018	***-**-61IN - FILEY, JOHN ACCOUNT #: LSR011723	STEIN MART INC COM BUY 1300 Units @2.2400	2,912.00	59.99	18.00	41.99	88.0	36.95
10/17/2018	***-**-88IN - PICKARD, ELAINE ACCOUNT #: LSR010957	VERIZON COMMUNICATIONS UNSOLICITED SELL 108 Units @54.2400	5,857.92	87.49	17.16	70.33	88.0	61.89
* STOCKS SUBTOTAL *			\$34,779.42	\$509.94	\$271.16	\$238.78		\$210.12
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS								
10/16/2018	***-**-244I - BURTON, RICHARD ACCOUNT #: LSR011997	AMERICAN FUNDS U.S. GOV MONEY MKT SELL 9193 Units @1.0000	9,193.10	19.99	0.00	19.99	88.0	17.59
10/01/2018	***-**-794I - INGERSOLL, JOAN ACCOUNT #: 00000871758	HARTFORD BALANCED INCOME FD CL A BUY 0 Units @0.0000	0.00	0.41	0.00	0.41	88.0	0.36
10/01/2018	***-**-015P - SABANOSH, SHERYL ACCOUNT #: 00000856950	HARTFORD CHECKS AND BALANCED FUND C BUY 0 Units @0.0000	0.00	0.86	0.00	0.86	88.0	0.76
10/01/2018	***-**-794I - INGERSOLL, JOAN ACCOUNT #: 00000871758	HARTFORD CHECKS AND BALANCED FUND C BUY 0 Units @0.0000	0.00	0.46	0.00	0.46	88.0	0.40



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
10/09/2018	***-**-522I - RIEBEN, HENRY	PUTNAM MF TRAILS 37252M306	18.31	0.18	0.00	0.18	88.0	0.16
	ACCOUNT #: 00551360517	BUY 1 Units @20.5300						
10/01/2018	***-**-794I - INGERSOLL, JOAN	THE HARTFORD EQUITY INCOME FUND - A	0.00	0.61	0.00	0.61	88.0	0.54
	ACCOUNT #: 00000871758	BUY 0 Units @0.0000						
10/01/2018	***-**-015P - SABANOSH, SHERYL	THE HARTFORD FLOATING RATE FUND - A	0.00	0.65	0.00	0.65	88.0	0.57
	ACCOUNT #: 00000856950	BUY 0 Units @0.0000						
10/01/2018	***-**-015P - SABANOSH, SHERYL	THE HARTFORD GLOBAL HEALTH FUND-A	0.00	1.33	0.00	1.33	88.0	1.17
	ACCOUNT #: 00000856950	BUY 0 Units @0.0000						
10/01/2018	***-**-015P - SABANOSH, SHERYL	THE HARTFORD VALUE OPPORTUNITIES FD	0.00	0.99	0.00	0.99	88.0	0.87
	ACCOUNT #: 00000856950	BUY 0 Units @0.0000						
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *			\$9,211.41	\$25.48	\$0.00	\$25.48		\$22.42
*** BROKER TRANSACTIONS TOTAL ***			\$122,130.52	\$4,430.13	\$307.16	\$4,122.97		\$3,628.20

VERRIDE TRANSACTIONS

BROKER: KURT GRUENEWALD

10/15/2018	***-**-366O - GRUENEWALD,	AMAZON.COM INC UNSOLICITED ORDER	1,765.15	17.69	0.00	17.69	88.0	15.57
	ACCOUNT #: LSR010987	BUY 1 Units @1765.1510						
10/15/2018	***-**-5375 - CARTER, LISA	AMERICAN BALANCED FUND-529C	500.00	5.00	0.00	5.00	88.0	4.40
	ACCOUNT #: 00083996363	BUY 19 Units @26.9800						
10/22/2018	***-**-6604 - REYNOLDS, DIANE	BLACKROCK TRAILS	0.00	4.00	0.00	4.00	88.0	3.52
	ACCOUNT #: 5290810273	BUY 0 Units @0.0000						
10/22/2018	***-**-48IO - CLARK, PATRICK	BRIGHTHOUSE VA TRAILS	0.00	75.11	0.00	75.11	88.0	66.10
		BUY 1 Units @0.0000						
10/02/2018	***-**-65CL - GRUENEWALD, K,	CAPITAL APPRECIATION C	50.00	0.50	0.00	0.50	88.0	0.44
	ACCOUNT #: 03222414918	BUY 0 Units @0.0000						
10/15/2018	***-**-65CL - GRUENEWALD, K,	CAPITAL APPRECIATION C	50.00	0.50	0.00	0.50	88.0	0.44
	ACCOUNT #: 03222414918	BUY 0 Units @0.0000						
10/17/2018	***-**-79TR - OR CYNTHIA	CAPITAL INCOME BUILDER-A	5,000.02	1.99	0.00	1.99	88.0	1.75
	ACCOUNT #: LSR012749	SELL 85 Units @58.9500						
10/15/2018	***-**-2855 - KRECIDLO, MARTA	CAPITAL WORLD GROWTH AND INCOME FUN	75.00	0.75	0.00	0.75	88.0	0.66
	ACCOUNT #: 00083510745	BUY 2 Units @47.6700						



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 OVERRIDE TRANSACTIONS (continued)								
 <u>BROKER: KURT GRUENEWALD (continued)</u>								
10/15/2018	***-**-0069 - KRECIDLO, ACCOUNT #: 00083510637	CAPITAL WORLD GROWTH AND INCOME FUN BUY 2 Units @47.6700	75.00	0.75	0.00	0.75	88.0	0.66
10/12/2018	***-**-065I - LAZIO, THOMAS ACCOUNT #: LSR010979	CHEVRON CORP NEW SOLICITED ORDER SELL 50 Units @118.3000	5,915.00	71.49	0.00	71.49	88.0	62.91
10/15/2018	***-**-09IO - BATES, FBO MRS ACCOUNT #: LSR011117	CION ARES DIVERSIFIED CREDIT C BUY 504 Units @25.8100	13,000.01	130.00	0.00	130.00	88.0	114.40
10/17/2018	***-**-579I - RHYMESTINE, ACCOUNT #: LSR011082	CION ARES DIVERSIFIED CREDIT C BUY 581 Units @25.8100	15,000.00	150.00	0.00	150.00	88.0	132.00
10/22/2018	***-**-944O - MAYO, DEBORAH ACCOUNT #: 5034930049	EATON VANCE MF TRAILS BUY 0 Units @0.0000	0.00	0.19	0.00	0.19	88.0	0.17
10/22/2018	***-**-944O - MAYO, DEBORAH ACCOUNT #: 5034930049	EATON VANCE MF TRAILS BUY 0 Units @0.0000	0.00	0.23	0.00	0.23	88.0	0.20
10/09/2018	***-**-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
10/12/2018	***-**-05IN - GATES, ROGER ACCOUNT #: LSR012771	FOOT LOCKER INC COM SELL 400 Units @49.3300	19,732.00	364.49	0.00	364.49	88.0	320.75
10/17/2018	***-**-79TR - OR CYNTHIA ACCOUNT #: LSR012749	FUNDAMENTAL INVESTORS-A SELL 86 Units @62.8700	5,391.92	1.99	0.00	1.99	88.0	1.75
10/17/2018	***-**-79TR - OR CYNTHIA ACCOUNT #: LSR012749	GLOBAL GROWTH PORTFOLIO-A SELL 245 Units @16.6700	4,080.00	1.99	0.00	1.99	88.0	1.75
10/02/2018	***-**-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
10/15/2018	***-**-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
10/12/2018	***-**-366O - GRUENEWALD, ACCOUNT #: LSR010987	LOXO ONCOLOGY INC SELL 12 Units @162.3300	1,947.96	22.20	0.00	22.20	88.0	19.54
10/04/2018	***-**-48IO - CLARK, PATRICK ACCOUNT #: 00079955487	MAINSTAY CORNERSTONE GROWTH FD INV BUY 0 Units @0.0000	0.00	3.94	0.00	3.94	88.0	3.47
10/04/2018	***-**-48IO - CLARK, PATRICK ACCOUNT #: 00079924809	MAINSTAY HGH YLD CRP BD INVESTOR CL BUY 0 Units @0.0000	0.00	3.58	0.00	3.58	88.0	3.15
10/04/2018	***-**-48IO - CLARK, PATRICK ACCOUNT #: 00079955487	MAINSTAY MF TRAILS 56064B811 BUY 0 Units @0.0000	0.00	1.84	0.00	1.84	88.0	1.62



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 OVERRIDE TRANSACTIONS (continued) 								
 <u>BROKER: KURT GRUENEWALD (continued)</u> 								
10/17/2018	***-**-79TR - OR CYNTHIA	MERCK & CO INC NEW COM	7,213.42	70.47	0.00	70.47	88.0	62.01
	ACCOUNT #: LSR012749	SELL 101 Units @71.4200						
10/17/2018	***-**-579I - RHYMESTINE,	NORDIC AMERICAN TANKERS LIMITE COM	4,660.00	2.49	0.00	2.49	88.0	2.19
	ACCOUNT #: LSR011082	BUY 2000 Units @2.3300						
10/17/2018	***-**-513I - RHYMESTINE,	NORDIC AMERICAN TANKERS LIMITE COM	3,450.00	9.99	0.00	9.99	88.0	8.79
	ACCOUNT #: LSR012457	BUY 1500 Units @2.3000						
10/18/2018	***-**-306X - COBB, CHERRYL	NORDIC AMERICAN TANKERS LIMITE COM	2,350.00	14.99	0.00	14.99	88.0	13.19
	ACCOUNT #: LSR011037	BUY 1000 Units @2.3500						
10/18/2018	***-**-80IN - COBB, JAMES	NORDIC AMERICAN TANKERS LIMITE COM	2,350.00	14.99	0.00	14.99	88.0	13.19
	ACCOUNT #: LSR011042	BUY 1000 Units @2.3500						
10/18/2018	***-**-213J - GRUENEWALD,	NRG ENERGY INC COM NEW	3,684.00	37.50	0.00	37.50	88.0	33.00
	ACCOUNT #: LSR011616	SELL 100 Units @36.8400						
10/04/2018	***-**-775I - BLISS, APRIL	OPPENHEIMER ACTIVE ALLOCATION FUND	90.98	0.91	0.00	0.91	88.0	0.80
	ACCOUNT #: 05521022692	BUY 0 Units @0.0000						
10/09/2018	***-**-13IN - BLISS, PATRICK	OPPENHEIMER ACTIVE ALLOCATION FUND	75.00	0.75	0.00	0.75	88.0	0.66
	ACCOUNT #: 05521022681	BUY 0 Units @0.0000						
10/09/2018	***-**-48JT - LEE, DARLENE	OPPENHEIMER ACTIVE ALLOCATION FUND	50.00	0.50	0.00	0.50	88.0	0.44
	ACCOUNT #: 05521043603	BUY 0 Units @0.0000						
10/15/2018	***-**-775I - BLISS, APRIL	OPPENHEIMER ACTIVE ALLOCATION FUND	93.71	0.94	0.00	0.94	88.0	0.83
	ACCOUNT #: 05521022692	BUY 0 Units @0.0000						
10/17/2018	***-**-663I - LASCALA, DEBORAH	OPPENHEIMER GOLD & SPECIAL MINERALS	5,000.00	50.00	0.00	50.00	88.0	44.00
	ACCOUNT #: LSR012790	BUY 380 Units @13.1500						
10/09/2018	***-**-48JT - LEE, DARLENE	OPPENHEIMER INTERNATIONAL DIVERSIFI	50.00	0.50	0.00	0.50	88.0	0.44
	ACCOUNT #: 01971019612	BUY 0 Units @0.0000						
10/18/2018	***-**-80IN - COBB, JAMES	ROCHESTER NATIONAL MUNICIPALS A	12,961.46	1.99	0.00	1.99	88.0	1.75
	ACCOUNT #: LSR011042	SELL 1790 Units @7.2400						
10/17/2018	***-**-79TR - OR CYNTHIA	VERIZON COMMUNICATIONS UNSOLICITED	5,418.00	60.49	0.00	60.49	88.0	53.23
	ACCOUNT #: LSR012749	SELL 100 Units @54.1800						
10/17/2018	***-**-79TR - OR CYNTHIA	WALMART STORES INC UNSOLICITED ORDE	9,628.00	130.49	0.00	130.49	88.0	114.83
	ACCOUNT #: LSR012749	SELL 100 Units @96.2800						
* KURT GRUENEWALD SUBTOTAL *			\$129,806.63	\$1,256.73	\$0.00	\$1,256.73		\$1,105.92
*** OVERRIDE TRANSACTIONS TOTAL ***			\$129,806.63	\$1,256.73	\$0.00	\$1,256.73		\$1,105.92



BROKER #: A76
BRANCH #01047 - 47 - GRIFFITH

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<div>BROKER COMMISSION TOTALS</div>								
						Broker Transactions		\$3,628.20
						Split Transactions		\$0.00
						Override Transactions		\$1,105.92
						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		\$4,734.12
						Year-to-date Earnings		\$224,976.88