



COMMISSION STATEMENT

November 12, 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>								
10/29/2018	***-**-817I - WADSWORTH, ACCOUNT #: 00067441742	AMERICAN GLOBAL BALANCED CL C BUY 4 Units @30.0300	110.00	1.10	0.00	1.10	88.0	0.97
10/29/2018	***-**-2642 - BROWN, JEFFERY ACCOUNT #: 04000870734	AMERICAN GLOBAL BALANCED CL C BUY 2 Units @30.0300	75.00	0.75	0.00	0.75	88.0	0.66
10/22/2018	***-**-11IN - MOYLAN, TIMOTHY ACCOUNT #: 03222207458	CAPITAL APPRECIATION C BUY 0 Units @0.0000	7.24	0.07	0.00	0.07	88.0	0.06
11/06/2018	***-**-244I - BURTON, RICHARD ACCOUNT #: LSR011997	CION ARES DIVERSIFIED CREDIT C BUY 581 Units @25.8000	14,999.99	168.00	18.00	150.00	88.0	132.00
10/17/2018	***-**-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
10/17/2018	***-**-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
10/22/2018	***-**-11IN - MOYLAN, TIMOTHY ACCOUNT #: 08370450780	EQUITY INCOME FUND, INC. C BUY 0 Units @0.0000	10.86	0.11	0.00	0.11	88.0	0.10
10/29/2018	***-**-788I - ALBARRAN, CARLOS ACCOUNT #: 00085186008	FUNDAMENTAL INVESTORS-C BUY 2 Units @58.6900	100.00	1.00	0.00	1.00	88.0	0.88
10/17/2018	***-**-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
10/22/2018	***-**-11IN - MOYLAN, TIMOTHY ACCOUNT #: 02171646359	GLOBAL OPPORTUNITIES FUND C BUY 0 Units @0.0000	7.24	0.07	0.00	0.07	88.0	0.06
10/29/2018	***-**-91IN - RICHARDSON, ACCOUNT #: 00100011925	OPPENHEIMER CUSIP 68385X208 BUY 0 Units @0.0000	35.00	0.35	0.00	0.35	88.0	0.31
10/17/2018	***-**-0457 - STAGLIANO, GINA ACCOUNT #: 07871984301	OPPENHEIMER DEV MARKETS FD CLASS C BUY 0 Units @0.0000	5.42	0.05	0.00	0.05	88.0	0.04
10/29/2018	***-**-91IN - RICHARDSON, ACCOUNT #: 07872241470	OPPENHEIMER DEV MARKETS FD CLASS C BUY 0 Units @0.0000	35.00	0.35	0.00	0.35	88.0	0.31
10/29/2018	***-**-91IN - RICHARDSON, ACCOUNT #: 00100064439	OPPENHEIMER EMERG MKTS LOCAL DEBT F BUY 0 Units @0.0000	35.00	0.35	0.00	0.35	88.0	0.31
10/29/2018	***-**-91IN - RICHARDSON, ACCOUNT #: 00100025895	OPPENHEIMER GLBL HIGH YIELD FUND C BUY 0 Units @0.0000	35.00	0.35	0.00	0.35	88.0	0.31
10/17/2018	***-**-0457 - STAGLIANO, GINA ACCOUNT #: 03322653871	OPPENHEIMER GLOBAL CLASS 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)								
10/22/2018	***-**-11IN - MOYLAN, TIMOTHY	OPPENHEIMER GLOBAL CLASS C	3.62	0.04	0.00	0.04	88.0	0.04
	ACCOUNT #: 03322653882	BUY 0 Units @0.0000						
10/29/2018	***-**-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						
10/17/2018	***-**-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						
10/17/2018	***-**-7473 - SCOTELLARO,	OPPENHEIMER INTERNATIONAL DIVERSIFI	25.00	0.25	0.00	0.25	88.0	0.22
	ACCOUNT #: 01971001154	BUY 0 Units @0.0000						
10/22/2018	***-**-11IN - MOYLAN, TIMOTHY	OPPENHEIMER INTERNATIONAL DIVERSIFI	14.48	0.14	0.00	0.14	88.0	0.12
	ACCOUNT #: 01970849123	BUY 0 Units @0.0000						
10/17/2018	***-**-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						
10/22/2018	***-**-11IN - MOYLAN, TIMOTHY	OPPENHEIMER RISING DIVIDENDS FUND C	14.48	0.14	0.00	0.14	88.0	0.12
	ACCOUNT #: 02270899503	BUY 0 Units @0.0000						
10/22/2018	***-**-11IN - MOYLAN, TIMOTHY	QUEST INTERNATIONAL VALUE FUND, INC	7.24	0.07	0.00	0.07	88.0	0.06
	ACCOUNT #: 02560289795	BUY 0 Units @0.0000						
10/17/2018	***-**-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						
10/22/2018	***-**-11IN - MOYLAN, TIMOTHY	REAL ESTATE FUND C	7.24	0.07	0.00	0.07	88.0	0.06
	ACCOUNT #: 05920286891	BUY 0 Units @0.0000						
10/17/2018	***-**-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						
10/17/2018	***-**-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						
10/17/2018	***-**-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						
* MUTUAL FUNDS SUBTOTAL *			\$15,661.63	\$174.57	\$18.00	\$156.57		\$137.76



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<u>BROKER TRANSACTIONS (continued)</u>								
<u>PRODUCT CATEGORY: STOCKS</u>								
11/05/2018	***-**-762I - STORSBERG, ACCOUNT #: LSR011688	BLOCK H & R INC BUY 100 Units @27.0300	2,703.00	49.99	17.00	32.99	88.0	29.03
11/05/2018	***-**-425I - PERRITANO, ACCOUNT #: LSR010922	PETROLEO BRASILEIRO SA PETROBRAS AD SELL 300 Units @16.2300	4,869.00	87.49	21.00	66.49	88.0	58.51
11/05/2018	***-**-425I - PERRITANO, ACCOUNT #: LSR010922	VALE S.A. SPONS ADR REPR 1 COM NPV SELL 300 Units @15.3900	4,617.00	87.49	21.00	66.49	88.0	58.51
* STOCKS SUBTOTAL *			\$12,189.00	\$224.97	\$59.00	\$165.97		\$146.05
<u>PRODUCT CATEGORY: 529 PLAN</u>								
11/12/2018	***-**-29IO - LORUSSO, VINCENT ACCOUNT #: 77089153301	NY 529 ADDITIONAL DEPOSIT BUY 0 Units @0.0000	49.50	0.50	0.00	0.50	88.0	0.44
11/12/2018	***-**-225P - DAMSKY, CYNTHIA	NY 529 ADDITIONAL DEPOSIT BUY 0 Units @0.0000	49.50	0.50	0.00	0.50	88.0	0.44
11/12/2018	***-**-0862 - REDMOND, EILEEN ACCOUNT #: 77172702501	NY 529 ADDITIONAL DEPOSIT BUY 0 Units @0.0000	49.48	0.52	0.00	0.52	88.0	0.46
11/12/2018	***-**-93JT - WADSWORTH, ACCOUNT #: 77296639001	NY 529 ADDITIONAL DEPOSIT BUY 0 Units @0.0000	96.23	3.25	0.00	3.25	88.0	2.86
11/12/2018	***-**-804I - RIEBEN, ANNE ACCOUNT #: 77923466801	NY 529 ADDITIONAL DEPOSIT BUY 0 Units @0.0000	49.50	0.50	0.00	0.50	88.0	0.44
* 529 PLAN SUBTOTAL *			\$294.21	\$5.27	\$0.00	\$5.27		\$4.64
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
10/29/2018	***-**-57RI - DIPERNA, ROBERT ACCOUNT #: 08189654783	MFS TRAILS 552988610 BUY 20 Units @14.9800	300.00	3.00	0.00	3.00	88.0	2.64
10/29/2018	***-**-51RI - DIPERNA, SANDRA ACCOUNT #: 08191188649	MFS TRAILS 552988610 BUY 20 Units @14.9800	300.00	3.00	0.00	3.00	88.0	2.64
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *			\$600.00	\$6.00	\$0.00	\$6.00		\$5.28
*** BROKER TRANSACTIONS TOTAL ***			\$28,744.84	\$410.81	\$77.00	\$333.81		\$293.73



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<u> OVERRIDE TRANSACTIONS </u>								
<u>BROKER: KURT GRUENEWALD</u>								
11/05/2018	***-**-15IN - PENDRAK, JOHN ACCOUNT #: LSR010948	CAMECO CORP COM NPV ISIN #CA13321L1 SELL 300 Units @12.0400	3,612.00	46.49	0.00	46.49	88.0	40.91
10/29/2018	***-**-65CL - GRUENEWALD, K, ACCOUNT #: 03222414918	CAPITAL APPRECIATION C BUY 0 Units @0.0000	100.00	1.00	0.00	1.00	88.0	0.88
11/08/2018	***-**-60IO - JOSEPH, ACCOUNT #: LSR012336	CION ARES DIVERSIFIED CREDIT C BUY 329 Units @25.8000	8,499.99	85.00	0.00	85.00	88.0	74.80
10/22/2018	***-**-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
11/06/2018	***-**-15IN - PENDRAK, JOHN ACCOUNT #: LSR010948	GENERAL ELECTRIC CO UNSOLICITED ORD BUY 400 Units @9.4400	3,776.00	34.49	0.00	34.49	88.0	30.35
10/29/2018	***-**-65CL - GRUENEWALD, K, ACCOUNT #: 02171825219	GLOBAL OPPORTUNITIES FUND C BUY 0 Units @0.0000	100.00	1.00	0.00	1.00	88.0	0.88
10/12/2018	***-**-802I - RHYMESTINE,	GWG L BOND - 2YR BUY 10 Units @1000.0000	10,000.00	400.00	0.00	400.00	88.0	352.00
10/12/2018	***-**-802I - RHYMESTINE,	GWG L BOND - 3YR BUY 10 Units @1000.0000	10,000.00	500.00	0.00	500.00	88.0	440.00
10/12/2018	***-**-802I - RHYMESTINE,	GWG L BOND - 5 YR BUY 10 Units @1000.0000	10,000.00	590.00	0.00	590.00	88.0	519.20
10/29/2018	***-**-13IN - RHYMESTINE, ACCOUNT #: 08191178476	MFS EMERGING MARKETS EQUITY FUND-B BUY 2 Units @26.9300	50.00	2.00	0.00	2.00	88.0	1.76
10/29/2018	***-**-13IN - RHYMESTINE, ACCOUNT #: 08191178476	MFS EMERGING MKT DEBT CL B BUY 4 Units @13.8300	50.00	2.00	0.00	2.00	88.0	1.76
10/25/2018	***-**-094I - KATRENA L ACCOUNT #: 08191140345	MFS GLOBAL TOTAL RETURN FUND-B BUY 3 Units @17.2700	50.00	2.00	0.00	2.00	88.0	1.76
10/29/2018	***-**-13IN - RHYMESTINE, ACCOUNT #: 08191178476	MFS INTERNATIONAL VALUE FUND-B BUY 3 Units @37.4200	100.00	4.00	0.00	4.00	88.0	3.52
10/29/2018	***-**-13IN - RHYMESTINE, ACCOUNT #: 08191178476	MFS TOTAL RETURN FUND-B BUY 3 Units @18.1400	50.00	2.00	0.00	2.00	88.0	1.76
11/12/2018	***-**-0767 - DOVI, ACCOUNT #: 77579193101	NY 529 ADDITIONAL DEPOSIT BUY 0 Units @0.0000	24.75	0.25	0.00	0.25	88.0	0.22
11/12/2018	***-**-473J - HUSTON, ACCOUNT #: 77852732401	NY 529 ADDITIONAL DEPOSIT BUY 0 Units @0.0000	396.00	4.00	0.00	4.00	88.0	3.52



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<u> OVERRIDE TRANSACTIONS (continued) </u>								
<u> BROKER: KURT GRUENEWALD (continued) </u>								
11/12/2018	***-**-20IR - DEMETRI, AMELIA	NY 529 ADDITIONAL DEPOSIT	47.37	2.38	0.00	2.38	88.0	2.09
	ACCOUNT #: 77854436501	BUY 0 Units @0.0000						
10/22/2018	***-**-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						
10/22/2018	***-**-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						
10/29/2018	***-**-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						
10/22/2018	***-**-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						
11/07/2018	***-**-726I - YADDAW, DEBRA	REALTY INCOME CORP COMMON STOCK	6,180.00	62.80	0.00	62.80	88.0	55.26
	ACCOUNT #: LSR012338	BUY 100 Units @61.8000						
11/08/2018	***-**-60IO - JOSEPH,	RESOURCE CREDIT INCOME FUND C	8,500.00	85.00	0.00	85.00	88.0	74.80
	ACCOUNT #: LSR012336	BUY 760 Units @11.1900						
11/07/2018	***-**-726I - YADDAW, DEBRA	TANGER FACTORY OUTLET CTRS INC UNSO	2,340.00	32.40	0.00	32.40	88.0	28.51
	ACCOUNT #: LSR012338	BUY 100 Units @23.4000						
11/07/2018	***-**-726I - YADDAW, DEBRA	TANGER FACTORY OUTLET CTRS INC UNSO	1,099.80	15.23	0.00	15.23	88.0	13.40
	ACCOUNT #: LSR012338	BUY 47 Units @23.4000						
11/12/2018	***-**-473J - HUSTON,	UNDERWRITER COMM	0.00	58.02	0.00	58.02	88.0	51.06
	ACCOUNT #: 20001517	BUY 0 Units @0.0000						
11/12/2018	***-**-959I - FRANZ, PAUL	UNDERWRITER COMM	0.00	58.02	0.00	58.02	88.0	51.06
	ACCOUNT #: 20001536	BUY 0 Units @0.0000						
11/12/2018	***-**-99IO - EDELMAN, TINA	UNDERWRITER COMM	0.00	66.54	0.00	66.54	88.0	58.56
		BUY 0 Units @0.0000						
11/02/2018	***-**-663I - LASCALA, DEBORAH	VENTAS INC UNSOLICITED ORDER	5,620.00	50.20	0.00	50.20	88.0	44.18
	ACCOUNT #: LSR012790	BUY 100 Units @56.2000						
* KURT GRUENEWALD SUBTOTAL *			\$70,914.62	\$2,108.01	\$0.00	\$2,108.01		\$1,855.05
*** OVERRIDE TRANSACTIONS TOTAL ***			\$70,914.62	\$2,108.01	\$0.00	\$2,108.01		\$1,855.05



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BROKER COMMISSION TOTALS									
Broker Transactions \$293.73									
Split Transactions \$0.00									
Override Transactions \$1,855.05									
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 \$2,148.78									
Year-to-date Earnings \$233,292.72									