



# COMMISSION STATEMENT

October 08, 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
<b>BROKER TRANSACTIONS</b>								
<b>PRODUCT CATEGORY: ALTERNATIVE INVESTMENTS</b>								
09/06/2018	***-**-073I - WHITEFORD, DEBRA	GWG L BOND - 7 YR BUY 10 Units @1000.0000	10,000.00	600.00	0.00	600.00	88.0	528.00
09/06/2018	***-**-073I - WHITEFORD, DEBRA	GWG L BOND - 3YR BUY 10 Units @1000.0000	10,000.00	500.00	0.00	500.00	88.0	440.00
09/06/2018	***-**-073I - WHITEFORD, DEBRA	GWG L BOND - 5 YR BUY 25 Units @1000.0000	25,000.00	1,475.00	0.00	1,475.00	88.0	1,298.00
<b>* ALTERNATIVE INVESTMENTS SUBTOTAL *</b>			<b>\$45,000.00</b>	<b>\$2,575.00</b>	<b>\$0.00</b>	<b>\$2,575.00</b>		<b>\$2,266.00</b>
<b>PRODUCT CATEGORY: MUTUAL FUNDS</b>								
10/01/2018	***-**-22IN - BOSHART-LOWE, ACCOUNT #: LSR011937	AMERICAN FUNDS MORTGAGE FD CL C BUY 1030 Units @9.7100	10,000.00	118.00	18.00	100.00	88.0	88.00
10/02/2018	***-**-817I - WADSWORTH, ACCOUNT #: 00067441742	AMERICAN GLOBAL BALANCED CL C BUY 3 Units @31.8900	110.00	1.10	0.00	1.10	88.0	0.97
10/02/2018	***-**-2642 - BROWN, JEFFERY ACCOUNT #: 04000870734	AMERICAN GLOBAL BALANCED CL C BUY 2 Units @31.8900	75.00	0.75	0.00	0.75	88.0	0.66
10/05/2018	***-**-953I - DINITTO, NICOLE ACCOUNT #: 00088593891	AMERICAN GLOBAL BALANCED CL C BUY 6 Units @31.5200	175.00	1.75	0.00	1.75	88.0	1.54
10/05/2018	***-**-953I - DINITTO, NICOLE ACCOUNT #: 00088593891	CAPITAL WORLD GROWTH AND INCOME FUN BUY 4 Units @49.6000	175.00	1.75	0.00	1.75	88.0	1.54
10/01/2018	***-**-073I - WHITEFORD, DEBRA ACCOUNT #: LSR012810	CION ARES DIVERSIFIED CREDIT C BUY 581 Units @25.8000	14,999.99	168.00	18.00	150.00	88.0	132.00
10/02/2018	***-**-804I - RIEBEN, ANNE ACCOUNT #: LSR010877	CION ARES DIVERSIFIED CREDIT C BUY 388 Units @25.8000	10,000.00	118.00	18.00	100.00	88.0	88.00
10/02/2018	***-**-425I - PERRITANO, ACCOUNT #: LSR010922	CION ARES DIVERSIFIED CREDIT C BUY 581 Units @25.8000	14,999.99	168.00	18.00	150.00	88.0	132.00
10/01/2018	***-**-718J - LOWE, GREGORY ACCOUNT #: LSR011914	EQUITY INCOME FUND, INC. A SELL 0 Units @32.9600	5.74	0.74	18.00	-17.26	100.0	-17.26
10/02/2018	***-**-788I - ALBARRAN, CARLOS ACCOUNT #: 00085186008	FUNDAMENTAL INVESTORS-C BUY 2 Units @65.1300	100.00	1.00	0.00	1.00	88.0	0.88
09/20/2018	***-**-686I - STRUMPFLER, MARK ACCOUNT #: 00060352385	MFS GLOBAL TOTAL RETURN FUND-B BUY 4 Units @18.3300	75.00	3.00	0.00	3.00	88.0	2.64
10/02/2018	***-**-319I - HILLEBRAND, JOAN ACCOUNT #: LSR011002	OPPENHEIMER INTERNATIONAL DIVERSIFI SELL 336 Units @17.8700	6,000.00	18.00	18.00	0.00	88.0	0.00



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<b>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: MUTUAL FUNDS (continued)</b>								
10/02/2018	***-**-80IN - GRIFFITH, DAVID	SMALLCAP WORLD FUND-A	799.98	18.00	18.00	0.00	88.0	0.00
	ACCOUNT #: LSF000286	SELL 13 Units @59.2800						
10/02/2018	***-**-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 @23.8500						
10/02/2018	***-**-469I - HAUCK, JUDITH	THE INCOME FUND OF AMERICA-A	350.00	7.00	0.00	7.00	88.0	6.16
	ACCOUNT #: 00087147439	BUY 15 Units @23.8500						
* MUTUAL FUNDS SUBTOTAL *			<b>\$57,963.78</b>	<b>\$627.05</b>	<b>\$126.00</b>	<b>\$501.05</b>		<b>\$438.85</b>
<b>PRODUCT CATEGORY: STOCKS</b>								
10/01/2018	***-**-59IN - MORGAN, WILLIAM	B2GOLD CORP COM ISIN #CA11777Q2099	2,280.00	49.99	35.00	14.99	88.0	13.19
	ACCOUNT #: LSR010842	BUY 1000 Units @2.2800						
10/02/2018	***-**-59IN - MORGAN, WILLIAM	BIOLINE RX LTD SPON ADR EACH REPR 1	2,280.00	49.99	55.00	-5.01	100.0	-5.01
	ACCOUNT #: LSR010842	BUY 2000 Units @1.1400						
10/01/2018	***-**-467J - PICKARD, BRIAN	COVANTA HLDG CORP COM	2,372.85	49.99	18.00	31.99	88.0	28.15
	ACCOUNT #: LSR010943	BUY 150 Units @15.8190						
10/01/2018	***-**-467I - PICKARD, BRIAN	COVANTA HLDG CORP COM	2,377.35	49.99	18.00	31.99	88.0	28.15
	ACCOUNT #: LSR010944	BUY 150 Units @15.8490						
10/01/2018	***-**-58IN - SCHRECK, RYAN	DENBURY RES INC DEL COM USD0.001	3,065.00	57.49	25.00	32.49	88.0	28.59
	ACCOUNT #: LSR010873	SELL 500 Units @6.1300						
10/02/2018	***-**-59IN - MORGAN, WILLIAM	DENBURY RES INC DEL COM USD0.001	4,150.30	77.49	28.72	48.77	88.0	42.92
	ACCOUNT #: LSR010842	SELL 686 Units @6.0500						
10/02/2018	***-**-425I - PERRITANO,	DENBURY RES INC DEL COM USD0.001	3,065.00	57.49	25.00	32.49	88.0	28.59
	ACCOUNT #: LSR010922	SELL 500 Units @6.1300						
10/02/2018	***-**-580I - GRIFFITH, DAVID	DOWDUPONT INC COM	906.78	9.99	9.13	0.86	88.0	0.76
	ACCOUNT #: LSF000295	SELL 14 Units @64.7700						
10/02/2018	***-**-580I - GRIFFITH, DAVID	GENESIS HEALTHCARE INC CL A COM ISI	2,025.00	9.99	23.99	-14.00	100.0	-14.00
	ACCOUNT #: LSF000295	BUY 1500 Units @1.3500						
10/02/2018	***-**-59IN - MORGAN, WILLIAM	GENESIS HEALTHCARE INC CL A COM ISI	1,950.00	49.99	45.00	4.99	88.0	4.39
	ACCOUNT #: LSR010842	BUY 1500 Units @1.3000						
10/02/2018	***-**-073I - WHITEFORD, DEBRA	GENESIS HEALTHCARE INC CL A COM ISI	2,600.00	57.49	55.00	2.49	88.0	2.19
	ACCOUNT #: LSR012810	BUY 2000 Units @1.3000						
10/02/2018	***-**-59IN - MORGAN, WILLIAM	GERDAU SA SPONS ADR EACH REP 1 PRF	4,343.00	77.49	35.20	42.29	88.0	37.22
	ACCOUNT #: LSR010842	SELL 1010 Units @4.3000						



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<b>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: STOCKS (continued)</b>								
10/02/2018	***-**-22IN - GRACIE, JULIA	HESS CORP COM	1,843.75	24.37	15.50	8.87	88.0	7.81
	ACCOUNT #: LSR011019	SELL 25 Units @73.7500						
10/02/2018	***-**-22IN - GRACIE, JULIA	HESS CORP COM	3,982.50	52.64	1.08	51.56	88.0	45.37
	ACCOUNT #: LSR011019	SELL 54 Units @73.7500						
10/02/2018	***-**-22IN - GRACIE, JULIA	HESS CORP COM	1,548.75	20.47	0.42	20.05	88.0	17.64
	ACCOUNT #: LSR011019	SELL 21 Units @73.7500						
10/02/2018	***-**-59IN - MORGAN, WILLIAM	NOKIA OYJ ADR EACH REPR 1 ORD NPV S	5,808.00	67.49	36.12	31.37	88.0	27.61
	ACCOUNT #: LSR010842	SELL 1056 Units @5.5000						
10/01/2018	***-**-718J - LOWE, GREGORY	NORDIC AMERICAN OFFSHORE LTD(BM) CO	31.79	26.77	15.68	11.09	88.0	9.76
	ACCOUNT #: LSR011914	SELL 34 Units @0.9350						
10/01/2018	***-**-76IN - BOSHART-LOWE,	NORDIC AMERICAN TANKERS LIMITE COM	3,604.00	67.49	49.00	18.49	88.0	16.27
	ACCOUNT #: LSR011840	BUY 1700 Units @2.1200						
10/02/2018	***-**-679I - MURSCH JR,	NORDIC AMERICAN TANKERS LIMITE COM	3,180.00	59.99	45.00	14.99	88.0	13.19
	ACCOUNT #: LSR010888	BUY 1500 Units @2.1200						
10/02/2018	***-**-319I - HILLEBRAND, JOAN	NORDIC AMERICAN TANKERS LIMITE COM	2,332.00	49.99	37.00	12.99	88.0	11.43
	ACCOUNT #: LSR011002	BUY 1100 Units @2.1200						
10/01/2018	***-**-467I - PICKARD, BRIAN	ROYAL DUTCH SHELL ADR EA REP 2 CL A	1,731.50	16.87	15.50	1.37	88.0	1.21
	ACCOUNT #: LSR010944	SELL 25 Units @69.2600						
10/01/2018	***-**-467I - PICKARD, BRIAN	ROYAL DUTCH SHELL ADR EA REP 2 CL A	1,731.50	16.87	0.50	16.37	88.0	14.41
	ACCOUNT #: LSR010944	SELL 25 Units @69.2600						
10/02/2018	***-**-61IN - GORCZYNSKI,	ROYAL DUTCH SHELL ADR EA REP 2 CL A	3,462.00	67.49	16.00	51.49	88.0	45.31
	ACCOUNT #: LSR010844	SELL 50 Units @69.2400						
10/02/2018	***-**-59IN - MORGAN, WILLIAM	SMART SAND INC COM	4,460.00	67.49	35.00	32.49	88.0	28.59
	ACCOUNT #: LSR010842	BUY 1000 Units @4.4600						
10/01/2018	***-**-01IN - HAGAN III,	STEIN MART INC COM	1,800.00	49.99	18.00	31.99	88.0	28.15
	ACCOUNT #: LSR011014	BUY 800 Units @2.2500						
10/01/2018	***-**-073I - WHITEFORD, DEBRA	STEIN MART INC COM	4,500.00	67.49	18.00	49.49	88.0	43.55
	ACCOUNT #: LSR012810	BUY 2000 Units @2.2500						
10/01/2018	***-**-378J - WHITEFORD, GARY	STEIN MART INC COM	3,360.00	57.49	18.00	39.49	88.0	34.75
	ACCOUNT #: LSR012812	BUY 1500 Units @2.2400						
10/02/2018	***-**-59IN - MORGAN, WILLIAM	STEIN MART INC COM	2,220.00	49.99	18.00	31.99	88.0	28.15
	ACCOUNT #: LSR010842	BUY 1000 Units @2.2200						



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<b>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: STOCKS (continued)</b>								
10/02/2018	***-**-656I - SMOLA, STANLEY	STEIN MART INC COM	4,440.00	67.49	18.00	49.49	88.0	43.55
	ACCOUNT #: LSR010868	BUY 2000 Units @2.2200						
10/03/2018	***-**-58IN - SCHRECK, RYAN	STEIN MART INC COM	3,300.00	18.00	18.00	0.00	88.0	0.00
	ACCOUNT #: LSR010873	BUY 1500 Units @2.2000						
10/02/2018	***-**-59IN - MORGAN, WILLIAM	VALE S.A. SPONS ADR REPR 1 COM NPV	3,145.40	57.49	19.00	38.49	88.0	33.87
	ACCOUNT #: LSR010842	BUY 200 Units @15.7270						
10/02/2018	***-**-91IN - RICHARDSON,	VALE S.A. SPONS ADR REPR 1 COM NPV	1,578.20	49.99	17.00	32.99	88.0	29.03
	ACCOUNT #: LSR010900	SELL 100 Units @15.7820						
10/02/2018	***-**-25IR - PERRITANO,	VALE S.A. SPONS ADR REPR 1 COM NPV	8,683.76	157.49	26.02	131.47	88.0	115.69
	ACCOUNT #: LSR010923	SELL 551 Units @15.7600						
10/02/2018	***-**-474J - HAGAN JR,	VALE S.A. SPONS ADR REPR 1 COM NPV	2,361.00	49.99	18.00	31.99	88.0	28.15
	ACCOUNT #: LSR010993	SELL 150 Units @15.7400						
10/02/2018	***-**-369I - DAVIS, BRUCE	VALE S.A. SPONS ADR REPR 1 COM NPV	6,268.00	97.49	23.00	74.49	88.0	65.55
	ACCOUNT #: LSR011029	SELL 400 Units @15.6700						
10/02/2018	***-**-698J - FEISTHAMEL, MR	VALE S.A. SPONS ADR REPR 1 COM NPV	4,722.00	77.49	21.00	56.49	88.0	49.71
	ACCOUNT #: LSR011137	SELL 300 Units @15.7400						
10/02/2018	***-**-14TR - THE KALAMAS,	VALE S.A. SPONS ADR REPR 1 COM NPV	3,136.00	59.99	19.00	40.99	88.0	36.07
	ACCOUNT #: LSR012226	SELL 200 Units @15.6800						
10/01/2018	***-**-94IN - MINER, MARY	WESTPAC BANKING CORPORATION ADR(EAC	4,960.00	67.49	20.00	47.49	88.0	41.79
	ACCOUNT #: LSR012743	BUY 250 Units @19.8400						
10/01/2018	***-**-073I - WHITEFORD, DEBRA	WESTPAC BANKING CORPORATION ADR(EAC	4,957.50	67.49	20.00	47.49	88.0	41.79
	ACCOUNT #: LSR012810	BUY 250 Units @19.8300						
<b>* STOCKS SUBTOTAL *</b>			<b>\$124,562.93</b>	<b>\$2,130.67</b>	<b>\$930.86</b>	<b>\$1,199.81</b>		<b>\$1,053.54</b>

### PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS

09/30/2018	***-**-400K - TEESDALE,	CAPITAL APPRECIATION A	0.00	0.93	0.00	0.93	88.0	0.82
	ACCOUNT #: 03211187880	BUY 0 Units @0.0000						
09/30/2018	***-**-28IN - ALOISIO, IRENE	CAPITAL APPRECIATION A	0.00	0.13	0.00	0.13	88.0	0.11
	ACCOUNT #: 03211621390	BUY 0 Units @0.0000						
09/30/2018	***-**-61IN - ALOISIO,	CAPITAL APPRECIATION A	0.00	0.41	0.00	0.41	88.0	0.36
	ACCOUNT #: 03211621401	BUY 0 Units @0.0000						
09/30/2018	***-**-91IN - RICHARDSON,	CAPITAL APPRECIATION A	0.00	0.57	0.00	0.57	88.0	0.50
	ACCOUNT #: 03211693572	BUY 0 Units @0.0000						



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<b>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b>								
09/30/2018	***-**-59IN - MORGAN, WILLIAM	CAPITAL APPRECIATION A	0.00	0.49	0.00	0.49	88.0	0.43
	ACCOUNT #: 03211817322	BUY 0 Units @0.0000						
09/30/2018	***-**-91IN - RICHARDSON,	CAPITAL APPRECIATION A	0.00	4.34	0.00	4.34	88.0	3.82
	ACCOUNT #: 03211844382	BUY 0 Units @0.0000						
09/30/2018	***-**-1588 - FOLEY, JOHN	CAPITAL APPRECIATION A	0.00	2.36	0.00	2.36	88.0	2.08
	ACCOUNT #: 03211940115	BUY 0 Units @0.0000						
09/30/2018	***-**-872I - GORCZYNSKI,	CAPITAL APPRECIATION A	0.00	0.44	0.00	0.44	88.0	0.39
	ACCOUNT #: 03211940203	BUY 0 Units @0.0000						
09/30/2018	***-**-231I - MISHLANIE JR,	CAPITAL APPRECIATION A	0.00	2.48	0.00	2.48	88.0	2.18
	ACCOUNT #: 03212005587	BUY 0 Units @0.0000						
09/30/2018	***-**-11IN - MOYLAN, TIMOTHY	CAPITAL APPRECIATION A	0.00	0.10	0.00	0.10	88.0	0.09
	ACCOUNT #: 03212072973	BUY 0 Units @0.0000						
09/30/2018	***-**-69IR - PERRITANO, SUSAN	CAPITAL APPRECIATION A	0.00	0.50	0.00	0.50	88.0	0.44
	ACCOUNT #: 03212172160	BUY 0 Units @0.0000						
09/30/2018	***-**-91IN - RICHARDSON,	CAPITAL APPRECIATION C	0.00	7.00	0.00	7.00	88.0	6.16
	ACCOUNT #: 03222207403	BUY 0 Units @0.0000						
09/30/2018	***-**-11IN - MOYLAN, TIMOTHY	CAPITAL APPRECIATION C	0.00	3.02	0.00	3.02	88.0	2.66
	ACCOUNT #: 03222207458	BUY 0 Units @0.0000						
09/30/2018	***-**-090I - RASPANTE, JOHN	CAPITAL APPRECIATION C	0.00	12.59	0.00	12.59	88.0	11.08
	ACCOUNT #: 03222260687	BUY 0 Units @0.0000						
09/30/2018	***-**-400K - TEESDALE,	CAPITAL INCOME A	0.00	0.72	0.00	0.72	88.0	0.63
	ACCOUNT #: 03008767088	BUY 0 Units @0.0000						
09/30/2018	***-**-480I - SCOTELLARO,	CAPITAL INCOME FUND C	0.00	8.45	0.00	8.45	88.0	7.44
	ACCOUNT #: 03020531751	BUY 0 Units @0.0000						
09/30/2018	***-**-8027 - MAXWELL, COLLEEN	CASH RESERVES C	0.00	0.00	0.00	0.00	88.0	0.00
	ACCOUNT #: 07621429626	BUY 0 Units @0.0000						
09/30/2018	***-**-178I - DAVIS, MARILYN	EQUITY INCOME FUND, INC. A	0.00	1.41	0.00	1.41	88.0	1.24
	ACCOUNT #: 08352306436	BUY 0 Units @0.0000						
09/30/2018	***-**-91IN - RICHARDSON,	EQUITY INCOME FUND, INC. A	0.00	3.48	0.00	3.48	88.0	3.06
	ACCOUNT #: 08352350304	BUY 0 Units @0.0000						
09/30/2018	***-**-400K - TEESDALE,	EQUITY INCOME FUND, INC. A	0.00	3.10	0.00	3.10	88.0	2.73
	ACCOUNT #: 08352478410	BUY 0 Units @0.0000						



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<b>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b>								
09/30/2018	***-**-59IN - MORGAN, WILLIAM	EQUITY INCOME FUND, INC. A	0.00	3.20	0.00	3.20	88.0	2.82
	ACCOUNT #: 08353141534	BUY 0 Units @0.0000						
09/30/2018	***-**-59IN - MORGAN, WILLIAM	EQUITY INCOME FUND, INC. A	0.00	1.38	0.00	1.38	88.0	1.21
	ACCOUNT #: 08353154470	BUY 0 Units @0.0000						
09/30/2018	***-**-1588 - FOLEY, JOHN	EQUITY INCOME FUND, INC. A	0.00	1.90	0.00	1.90	88.0	1.67
	ACCOUNT #: 08353253679	BUY 0 Units @0.0000						
09/30/2018	***-**-5851 - GLEESON, BARBARA	EQUITY INCOME FUND, INC. A	0.00	0.19	0.00	0.19	88.0	0.17
	ACCOUNT #: 08353265449	BUY 0 Units @0.0000						
09/30/2018	***-**-053I - INGERSOLL, ROY	EQUITY INCOME FUND, INC. A	0.00	0.45	0.00	0.45	88.0	0.40
	ACCOUNT #: 08353266252	BUY 0 Units @0.0000						
09/30/2018	***-**-718I - LOWE, GREGORY	EQUITY INCOME FUND, INC. A	0.00	1.11	0.00	1.11	88.0	0.98
	ACCOUNT #: 08353299516	BUY 0 Units @0.0000						
09/30/2018	***-**-231I - MISHLANIE JR,	EQUITY INCOME FUND, INC. A	0.00	4.44	0.00	4.44	88.0	3.91
	ACCOUNT #: 08353299615	BUY 0 Units @0.0000						
09/30/2018	***-**-11IN - MOYLAN, TIMOTHY	EQUITY INCOME FUND, INC. A	0.00	0.14	0.00	0.14	88.0	0.12
	ACCOUNT #: 08353338456	BUY 0 Units @0.0000						
09/30/2018	***-**-0457 - STAGLIANO, GINA	EQUITY INCOME FUND, INC. A	0.00	0.08	0.00	0.08	88.0	0.07
	ACCOUNT #: 08353346332	BUY 0 Units @0.0000						
09/30/2018	***-**-69IR - PERRITANO, SUSAN	EQUITY INCOME FUND, INC. A	0.00	1.67	0.00	1.67	88.0	1.47
	ACCOUNT #: 08353395128	BUY 0 Units @0.0000						
09/30/2018	***-**-58IN - CADY, GAIL	EQUITY INCOME FUND, INC. C	0.00	4.96	0.00	4.96	88.0	4.36
	ACCOUNT #: 08370389048	BUY 0 Units @0.0000						
09/30/2018	***-**-480I - SCOTELLARO,	EQUITY INCOME FUND, INC. C	0.00	17.44	0.00	17.44	88.0	15.35
	ACCOUNT #: 08370428549	BUY 0 Units @0.0000						
09/30/2018	***-**-0457 - STAGLIANO, GINA	EQUITY INCOME FUND, INC. C	0.00	1.71	0.00	1.71	88.0	1.50
	ACCOUNT #: 08370450769	BUY 0 Units @0.0000						
09/30/2018	***-**-11IN - MOYLAN, TIMOTHY	EQUITY INCOME FUND, INC. C	0.00	3.84	0.00	3.84	88.0	3.38
	ACCOUNT #: 08370450780	BUY 0 Units @0.0000						
09/30/2018	***-**-090I - RASPANTE, JOHN	EQUITY INCOME FUND, INC. C	0.00	19.00	0.00	19.00	88.0	16.72
	ACCOUNT #: 08370585871	BUY 0 Units @0.0000						
09/30/2018	***-**-7473 - SCOTELLARO,	EQUITY INCOME FUND, INC. C	0.00	2.67	0.00	2.67	88.0	2.35
	ACCOUNT #: 08370720038	BUY 0 Units @0.0000						



# COMMISSION STATEMENT

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DAVID GRIFFITH  
2108 Genesee St.  
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BROKER #: A76  
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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b>								
09/30/2018	***-**-400K - TEESDALE, ACCOUNT #: 03307121688	GLOBAL FUND A BUY 0 Units @0.0000	0.00	0.89	0.00	0.89	88.0	0.78
09/30/2018	***-**-59IN - MORGAN, WILLIAM ACCOUNT #: 03307729361	GLOBAL FUND A BUY 0 Units @0.0000	0.00	2.84	0.00	2.84	88.0	2.50
09/30/2018	***-**-0457 - STAGLIANO, GINA ACCOUNT #: 03307968457	GLOBAL FUND A BUY 0 Units @0.0000	0.00	0.09	0.00	0.09	88.0	0.08
09/30/2018	***-**-69IR - PERRITANO, SUSAN ACCOUNT #: 03308043840	GLOBAL FUND A BUY 0 Units @0.0000	0.00	2.59	0.00	2.59	88.0	2.28
09/30/2018	***-**-91IN - RICHARDSON, ACCOUNT #: 02156650930	GLOBAL OPPORTUNITIES A BUY 0 Units @0.0000	0.00	1.72	0.00	1.72	88.0	1.51
09/30/2018	***-**-400K - TEESDALE, ACCOUNT #: 02156694050	GLOBAL OPPORTUNITIES A BUY 0 Units @0.0000	0.00	1.36	0.00	1.36	88.0	1.20
09/30/2018	***-**-59IN - MORGAN, WILLIAM ACCOUNT #: 02157784128	GLOBAL OPPORTUNITIES A BUY 0 Units @0.0000	0.00	1.79	0.00	1.79	88.0	1.58
09/30/2018	***-**-5851 - GLEESON, BARBARA ACCOUNT #: 02157915479	GLOBAL OPPORTUNITIES A BUY 0 Units @0.0000	0.00	2.50	0.00	2.50	88.0	2.20
09/30/2018	***-**-718I - LOWE, GREGORY ACCOUNT #: 02158044575	GLOBAL OPPORTUNITIES A BUY 0 Units @0.0000	0.00	0.77	0.00	0.77	88.0	0.68
09/30/2018	***-**-231I - MISHLANIE JR, ACCOUNT #: 02158044630	GLOBAL OPPORTUNITIES A BUY 0 Units @0.0000	0.00	1.41	0.00	1.41	88.0	1.24
09/30/2018	***-**-0457 - STAGLIANO, GINA ACCOUNT #: 02158142464	GLOBAL OPPORTUNITIES A BUY 0 Units @0.0000	0.00	0.10	0.00	0.10	88.0	0.09
09/30/2018	***-**-69IR - PERRITANO, SUSAN ACCOUNT #: 02158226482	GLOBAL OPPORTUNITIES A BUY 0 Units @0.0000	0.00	1.50	0.00	1.50	88.0	1.32
09/30/2018	***-**-58IN - CADY, GAIL ACCOUNT #: 02171604031	GLOBAL OPPORTUNITIES FUND C BUY 0 Units @0.0000	0.00	6.71	0.00	6.71	88.0	5.90
09/30/2018	***-**-0457 - STAGLIANO, GINA ACCOUNT #: 02171646348	GLOBAL OPPORTUNITIES FUND C BUY 0 Units @0.0000	0.00	2.64	0.00	2.64	88.0	2.32
09/30/2018	***-**-11IN - MOYLAN, TIMOTHY ACCOUNT #: 02171646359	GLOBAL OPPORTUNITIES FUND C BUY 0 Units @0.0000	0.00	3.92	0.00	3.92	88.0	3.45
09/30/2018	***-**-090I - RASPANTE, JOHN ACCOUNT #: 02171696112	GLOBAL OPPORTUNITIES FUND C BUY 0 Units @0.0000	0.00	18.96	0.00	18.96	88.0	16.68



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<b>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b>								
09/30/2018	***-**-400K - TEESDALE, ACCOUNT #: 04104445650	GOLD & SPECIAL MINERALS A BUY 0 Units @0.0000	0.00	0.30	0.00	0.30	88.0	0.26
09/30/2018	***-**-5851 - GLEESON, BARBARA ACCOUNT #: 04104657961	GOLD & SPECIAL MINERALS A BUY 0 Units @0.0000	0.00	0.28	0.00	0.28	88.0	0.25
09/30/2018	***-**-053I - INGERSOLL, ROY ACCOUNT #: 04104670886	GOLD & SPECIAL MINERALS A BUY 0 Units @0.0000	0.00	0.09	0.00	0.09	88.0	0.08
09/30/2018	***-**-59IN - MORGAN, WILLIAM ACCOUNT #: 04104693766	GOLD & SPECIAL MINERALS A BUY 0 Units @0.0000	0.00	0.29	0.00	0.29	88.0	0.26
09/30/2018	***-**-59IN - MORGAN, WILLIAM ACCOUNT #: 04104693777	GOLD & SPECIAL MINERALS A BUY 0 Units @0.0000	0.00	0.46	0.00	0.46	88.0	0.40
09/30/2018	***-**-69IR - PERRITANO, SUSAN ACCOUNT #: 04104712543	GOLD & SPECIAL MINERALS A BUY 0 Units @0.0000	0.00	0.17	0.00	0.17	88.0	0.15
09/30/2018	***-**-400K - TEESDALE, ACCOUNT #: 08810000177	INTERNATIONAL BOND A BUY 0 Units @0.0000	0.00	0.66	0.00	0.66	88.0	0.58
09/30/2018	***-**-69IR - PERRITANO, SUSAN ACCOUNT #: 08260237788	INTERNATIONAL GROWTH FUND A BUY 0 Units @0.0000	0.00	0.48	0.00	0.48	88.0	0.42
09/30/2018	***-**-400K - TEESDALE, ACCOUNT #: 08553754388	LIMITED TERM GOVERNMENT A BUY 0 Units @0.0000	0.00	0.53	0.00	0.53	88.0	0.47
09/30/2018	***-**-59IN - MORGAN, WILLIAM ACCOUNT #: 07006083663	MAIN STREET FUND A BUY 0 Units @0.0000	0.00	1.57	0.00	1.57	88.0	1.38
09/30/2018	***-**-480I - SCOTELLARO, ACCOUNT #: 05520857714	OPPENHEIMER ACTIVE ALLOCATION FUND BUY 0 Units @0.0000	0.00	3.60	0.00	3.60	88.0	3.17
09/30/2018	***-**-090I - RASPANTE, JOHN ACCOUNT #: 05520946924	OPPENHEIMER ACTIVE ALLOCATION FUND BUY 0 Units @0.0000	0.00	14.78	0.00	14.78	88.0	13.01
09/30/2018	***-**-497I - MARTIN, KATHLEEN ACCOUNT #: 05520998470	OPPENHEIMER ACTIVE ALLOCATION FUND BUY 0 Units @0.0000	0.00	4.89	0.00	4.89	88.0	4.30
09/30/2018	***-**-91IN - RICHARDSON, ACCOUNT #: 00100011925	OPPENHEIMER CUSIP 68385X208 BUY 0 Units @0.0000	0.00	0.00	0.00	0.00	88.0	0.00
09/30/2018	***-**-0457 - STAGLIANO, GINA ACCOUNT #: 07871984301	OPPENHEIMER DEV MARKETS FD CLASS C BUY 0 Units @0.0000	0.00	1.61	0.00	1.61	88.0	1.42
09/30/2018	***-**-91IN - RICHARDSON, ACCOUNT #: 07872241470	OPPENHEIMER DEV MARKETS FD CLASS C BUY 0 Units @0.0000	0.00	0.00	0.00	0.00	88.0	0.00





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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b>								
09/30/2018	***-**-4580 - GRIFFITH, ACCOUNT #: 07861977724	OPPENHEIMER DEVELOPING MARKETS CLAS BUY 0 Units @0.0000	0.00	2.62	0.00	2.62	88.0	2.31
09/30/2018	***-**-872I - GORCZYNSKI, ACCOUNT #: 07862887006	OPPENHEIMER DEVELOPING MARKETS CLAS BUY 0 Units @0.0000	0.00	0.18	0.00	0.18	88.0	0.16
09/30/2018	***-**-69IR - PERRITANO, SUSAN ACCOUNT #: 07862977371	OPPENHEIMER DEVELOPING MARKETS CLAS BUY 0 Units @0.0000	0.00	0.81	0.00	0.81	88.0	0.71
09/30/2018	***-**-91IN - RICHARDSON, ACCOUNT #: 00100064439	OPPENHEIMER EMERG MKTS LOCAL DEBT F BUY 0 Units @0.0000	0.00	1.38	0.00	1.38	88.0	1.21
09/30/2018	***-**-91IN - RICHARDSON, ACCOUNT #: 00100025895	OPPENHEIMER GLBL HIGH YIELD FUND C BUY 0 Units @0.0000	0.00	0.00	0.00	0.00	88.0	0.00
09/30/2018	***-**-7473 - SCOTELLARO, ACCOUNT #: 00100018140	OPPENHEIMER GLBL REAL ESTATE FUND C BUY 0 Units @0.0000	0.00	1.40	0.00	1.40	88.0	1.23
09/30/2018	***-**-58IN - SCHRECK, RYAN ACCOUNT #: 00100018393	OPPENHEIMER GLBL REAL ESTATE FUND C BUY 0 Units @0.0000	0.00	2.74	0.00	2.74	88.0	2.41
09/30/2018	***-**-0457 - STAGLIANO, GINA ACCOUNT #: 03322653871	OPPENHEIMER GLOBAL CLASS C BUY 0 Units @0.0000	0.00	1.97	0.00	1.97	88.0	1.73
09/30/2018	***-**-11IN - MOYLAN, TIMOTHY ACCOUNT #: 03322653882	OPPENHEIMER GLOBAL CLASS C BUY 0 Units @0.0000	0.00	1.32	0.00	1.32	88.0	1.16
09/30/2018	***-**-090I - RASPANTE, JOHN ACCOUNT #: 03322722456	OPPENHEIMER GLOBAL CLASS C BUY 0 Units @0.0000	0.00	16.67	0.00	16.67	88.0	14.67
09/30/2018	***-**-91IN - RICHARDSON, ACCOUNT #: 06890080641	OPPENHEIMER GLOBAL VALUE FUND CL C BUY 0 Units @0.0000	0.00	0.00	0.00	0.00	88.0	0.00
09/30/2018	***-**-480I - SCOTELLARO, ACCOUNT #: 04120782331	OPPENHEIMER GOLD & SPECIAL MINERALS BUY 0 Units @0.0000	0.00	1.12	0.00	1.12	88.0	0.99
09/30/2018	***-**-090I - RASPANTE, JOHN ACCOUNT #: 04120841819	OPPENHEIMER GOLD & SPECIAL MINERALS BUY 0 Units @0.0000	0.00	3.37	0.00	3.37	88.0	2.97
09/30/2018	***-**-0457 - STAGLIANO, GINA ACCOUNT #: 04120907192	OPPENHEIMER GOLD & SPECIAL MINERALS BUY 0 Units @0.0000	0.00	1.58	0.00	1.58	88.0	1.39
09/30/2018	***-**-91IN - RICHARDSON, ACCOUNT #: 04120907203	OPPENHEIMER GOLD & SPECIAL MINERALS BUY 0 Units @0.0000	0.00	1.37	0.00	1.37	88.0	1.21
09/30/2018	***-**-400K - TEESDALE, ACCOUNT #: 01952759669	OPPENHEIMER INTERNATIONAL DIVERSIFI BUY 0 Units @0.0000	0.00	0.70	0.00	0.70	88.0	0.62



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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b>								
09/30/2018	***-**-59IN - MORGAN, WILLIAM	OPPENHEIMER INTERNATIONAL DIVERSIFI	0.00	3.17	0.00	3.17	88.0	2.79
	ACCOUNT #: 01953266648	BUY 0 Units @0.0000						
09/30/2018	***-**-1588 - FOLEY, JOHN	OPPENHEIMER INTERNATIONAL DIVERSIFI	0.00	1.49	0.00	1.49	88.0	1.31
	ACCOUNT #: 01953346959	BUY 0 Units @0.0000						
09/30/2018	***-**-053I - INGERSOLL, ROY	OPPENHEIMER INTERNATIONAL DIVERSIFI	0.00	0.46	0.00	0.46	88.0	0.40
	ACCOUNT #: 01953356210	BUY 0 Units @0.0000						
09/30/2018	***-**-718I - LOWE, GREGORY	OPPENHEIMER INTERNATIONAL DIVERSIFI	0.00	0.45	0.00	0.45	88.0	0.40
	ACCOUNT #: 01953382599	BUY 0 Units @0.0000						
09/30/2018	***-**-231I - MISHLANIE JR,	OPPENHEIMER INTERNATIONAL DIVERSIFI	0.00	1.65	0.00	1.65	88.0	1.45
	ACCOUNT #: 01953382632	BUY 0 Units @0.0000						
09/30/2018	***-**-11IN - MOYLAN, TIMOTHY	OPPENHEIMER INTERNATIONAL DIVERSIFI	0.00	0.16	0.00	0.16	88.0	0.14
	ACCOUNT #: 01953416908	BUY 0 Units @0.0000						
09/30/2018	***-**-0457 - STAGLIANO, GINA	OPPENHEIMER INTERNATIONAL DIVERSIFI	0.00	0.13	0.00	0.13	88.0	0.11
	ACCOUNT #: 01953424179	BUY 0 Units @0.0000						
09/30/2018	***-**-69IR - PERRITANO, SUSAN	OPPENHEIMER INTERNATIONAL DIVERSIFI	0.00	1.84	0.00	1.84	88.0	1.62
	ACCOUNT #: 01953471072	BUY 0 Units @0.0000						
09/30/2018	***-**-58IN - CADY, GAIL	OPPENHEIMER INTERNATIONAL DIVERSIFI	0.00	7.23	0.00	7.23	88.0	6.36
	ACCOUNT #: 01970799227	BUY 0 Units @0.0000						
09/30/2018	***-**-0457 - STAGLIANO, GINA	OPPENHEIMER INTERNATIONAL DIVERSIFI	0.00	2.61	0.00	2.61	88.0	2.30
	ACCOUNT #: 01970849112	BUY 0 Units @0.0000						
09/30/2018	***-**-11IN - MOYLAN, TIMOTHY	OPPENHEIMER INTERNATIONAL DIVERSIFI	0.00	5.22	0.00	5.22	88.0	4.59
	ACCOUNT #: 01970849123	BUY 0 Units @0.0000						
09/30/2018	***-**-090I - RASPANTE, JOHN	OPPENHEIMER INTERNATIONAL DIVERSIFI	0.00	14.85	0.00	14.85	88.0	13.07
	ACCOUNT #: 01970928730	BUY 0 Units @0.0000						
09/30/2018	***-**-7473 - SCOTELLARO,	OPPENHEIMER INTERNATIONAL DIVERSIFI	0.00	2.91	0.00	2.91	88.0	2.56
	ACCOUNT #: 01971001154	BUY 0 Units @0.0000						
09/30/2018	***-**-58IN - SCHRECK, RYAN	OPPENHEIMER INTERNATIONAL DIVERSIFI	0.00	5.75	0.00	5.75	88.0	5.06
	ACCOUNT #: 01971002232	BUY 0 Units @0.0000						
09/30/2018	***-**-090I - RASPANTE, JOHN	OPPENHEIMER INTERNATIONAL SMALL COM	0.00	4.03	0.00	4.03	88.0	3.55
	ACCOUNT #: 08170386485	BUY 0 Units @0.0000						
09/30/2018	***-**-69IR - PERRITANO, SUSAN	OPPENHEIMER MAIN STREET SMALL CAP F	0.00	24.89	0.00	24.89	88.0	21.90
	ACCOUNT #: 08491046331	BUY 0 Units @0.0000						



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<b>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b>								
09/30/2018	***-**-178I - DAVIS, MARILYN	OPPENHEIMER MAIN STREET SMALL CAP F	0.00	1.74	0.00	1.74	88.0	1.53
	ACCOUNT #: 08477115867	BUY 0 Units @0.0000						
09/30/2018	***-**-59IN - MORGAN, WILLIAM	OPPENHEIMER MAIN STREET SMALL CAP F	0.00	1.46	0.00	1.46	88.0	1.28
	ACCOUNT #: 08477517323	BUY 0 Units @0.0000						
09/30/2018	***-**-58IN - CADY, GAIL	OPPENHEIMER RISING DIVIDENDS FUND C	0.00	2.84	0.00	2.84	88.0	2.50
	ACCOUNT #: 02270806520	BUY 0 Units @0.0000						
09/30/2018	***-**-480I - SCOTELLARO,	OPPENHEIMER RISING DIVIDENDS FUND C	0.00	8.16	0.00	8.16	88.0	7.18
	ACCOUNT #: 02270869044	BUY 0 Units @0.0000						
09/30/2018	***-**-91IN - RICHARDSON,	OPPENHEIMER RISING DIVIDENDS FUND C	0.00	3.93	0.00	3.93	88.0	3.46
	ACCOUNT #: 02270899404	BUY 0 Units @0.0000						
09/30/2018	***-**-0457 - STAGLIANO, GINA	OPPENHEIMER RISING DIVIDENDS FUND C	0.00	0.71	0.00	0.71	88.0	0.62
	ACCOUNT #: 02270899492	BUY 0 Units @0.0000						
09/30/2018	***-**-11IN - MOYLAN, TIMOTHY	OPPENHEIMER RISING DIVIDENDS FUND C	0.00	5.52	0.00	5.52	88.0	4.86
	ACCOUNT #: 02270899503	BUY 0 Units @0.0000						
09/30/2018	***-**-090I - RASPANTE, JOHN	OPPENHEIMER RISING DIVIDENDS FUND C	0.00	18.84	0.00	18.84	88.0	16.58
	ACCOUNT #: 02271018369	BUY 0 Units @0.0000						
09/30/2018	***-**-58IN - SCHRECK, RYAN	OPPENHEIMER RISING DIVIDENDS FUND C	0.00	5.74	0.00	5.74	88.0	5.05
	ACCOUNT #: 02271130536	BUY 0 Units @0.0000						
09/30/2018	***-**-91IN - RICHARDSON,	OPPENHEIMER SENIOR FLOATING RATE CL	0.00	1.73	0.00	1.73	88.0	1.52
	ACCOUNT #: 02913583470	BUY 0 Units @0.0000						
09/30/2018	***-**-59IN - MORGAN, WILLIAM	OPPENHEIMER SENIOR FLOATING RATE CL	0.00	0.12	0.00	0.12	88.0	0.11
	ACCOUNT #: 02913593766	BUY 0 Units @0.0000						
09/30/2018	***-**-59IN - MORGAN, WILLIAM	OPPENHEIMER SENIOR FLOATING RATE CL	0.00	0.65	0.00	0.65	88.0	0.57
	ACCOUNT #: 02913604436	BUY 0 Units @0.0000						
09/30/2018	***-**-231I - MISHLANIE JR,	OPPENHEIMER SENIOR FLOATING RATE CL	0.00	0.08	0.00	0.08	88.0	0.07
	ACCOUNT #: 02913818639	BUY 0 Units @0.0000						
09/30/2018	***-**-985I - MCAUSLAN,	OPPENHEIMER SENIOR FLOATING RATE CL	0.00	4.24	0.00	4.24	88.0	3.73
	ACCOUNT #: 02913853707	BUY 0 Units @0.0000						
09/30/2018	***-**-69IR - PERRITANO, SUSAN	OPPENHEIMER SENIOR FLOATING RATE CL	0.00	1.95	0.00	1.95	88.0	1.72
	ACCOUNT #: 02913897080	BUY 0 Units @0.0000						
09/30/2018	***-**-0457 - STAGLIANO, GINA	OPPENHEIMER SENIOR FLOATING RATE CL	0.00	0.00	0.00	0.00	88.0	0.00
	ACCOUNT #: 02913904373	BUY 0 Units @0.0000						



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<b>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b>								
09/30/2018	***-**-178I - DAVIS, MARILYN	OPPENHEIMER SENIOR FLOATING RATE PL	0.00	1.35	0.00	1.35	88.0	1.19
	ACCOUNT #: 00100033958	BUY 0 Units @0.0000						
09/30/2018	***-**-609J - CADY, PATRICK	OPPENHEIMER SMALL & MID CAP VALUE F	0.00	2.07	0.00	2.07	88.0	1.82
	ACCOUNT #: 02514647841	BUY 0 Units @0.0000						
09/30/2018	***-**-91IN - RICHARDSON,	OPPENHEIMER SMALL & MID CAP VALUE F	0.00	0.48	0.00	0.48	88.0	0.42
	ACCOUNT #: 02514902667	BUY 0 Units @0.0000						
09/30/2018	***-**-585I - GLEESON, BARBARA	OPPENHEIMER SMALL & MID CAP VALUE F	0.00	1.84	0.00	1.84	88.0	1.62
	ACCOUNT #: 02514983528	BUY 0 Units @0.0000						
09/30/2018	***-**-718I - LOWE, GREGORY	OPPENHEIMER SMALL & MID CAP VALUE F	0.00	0.25	0.00	0.25	88.0	0.22
	ACCOUNT #: 02515029761	BUY 0 Units @0.0000						
09/30/2018	***-**-0457 - STAGLIANO, GINA	OPPENHEIMER SMALL & MID CAP VALUE F	0.00	0.08	0.00	0.08	88.0	0.07
	ACCOUNT #: 02515060099	BUY 0 Units @0.0000						
09/30/2018	***-**-59IN - MORGAN, WILLIAM	OPPENHEIMER STRATEGIC INCOME FD CL	0.00	0.27	0.00	0.27	88.0	0.24
	ACCOUNT #: 02307128993	BUY 0 Units @0.0000						
09/30/2018	***-**-053I - INGERSOLL, ROY	OPPENHEIMER STRATEGIC INCOME FD CL	0.00	0.00	0.00	0.00	88.0	0.00
	ACCOUNT #: 02307448587	BUY 0 Units @0.0000						
10/08/2018	***-**-2687 -	OPPENHEIMER TRAILS	0.00	15.95	0.00	15.95	88.0	14.04
	ACCOUNT #: 02592232010	BUY 0 Units @0.0000						
10/08/2018	***-**-2687 -	OPPENHEIMER TRAILS	0.00	0.51	0.00	0.51	88.0	0.45
	ACCOUNT #: 07006234286	BUY 0 Units @0.0000						
09/30/2018	***-**-400K - TEESDALE,	OPPENHEIMER U.S. GOVT TR CLASS A	0.00	0.57	0.00	0.57	88.0	0.50
	ACCOUNT #: 02203670117	BUY 0 Units @0.0000						
09/30/2018	***-**-497I - MARTIN, KATHLEEN	PORT SERIES: CONS INV C	0.00	4.47	0.00	4.47	88.0	3.93
	ACCOUNT #: 05420240427	BUY 0 Units @0.0000						
09/30/2018	***-**-178I - DAVIS, MARILYN	PORTFOLIO SERIES: CONS INV A	0.00	1.24	0.00	1.24	88.0	1.09
	ACCOUNT #: 05400618409	BUY 0 Units @0.0000						
09/30/2018	***-**-178I - DAVIS, MARILYN	QUEST BALANCED A	0.00	2.38	0.00	2.38	88.0	2.09
	ACCOUNT #: 02577442831	BUY 0 Units @0.0000						
09/30/2018	***-**-400K - TEESDALE,	QUEST BALANCED A	0.00	0.61	0.00	0.61	88.0	0.54
	ACCOUNT #: 02577487458	BUY 0 Units @0.0000						
09/30/2018	***-**-718I - LOWE, GREGORY	QUEST BALANCED A	0.00	0.62	0.00	0.62	88.0	0.55
	ACCOUNT #: 02577784733	BUY 0 Units @0.0000						



# COMMISSION STATEMENT

## October 08, 2018

DAVID GRIFFITH  
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BROKER #: A76  
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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b>								
09/30/2018	***-**-231I - MISHLANIE JR, ACCOUNT #: 02577784744	QUEST BALANCED A BUY 0 Units @0.0000	0.00	1.49	0.00	1.49	88.0	1.31
09/30/2018	***-**-69IR - PERRITANO, SUSAN ACCOUNT #: 02577849897	QUEST BALANCED A BUY 0 Units @0.0000	0.00	0.90	0.00	0.90	88.0	0.79
09/30/2018	***-**-58IN - CADY, GAIL ACCOUNT #: 02592245914	QUEST BALANCED FUND C BUY 0 Units @0.0000	0.00	6.54	0.00	6.54	88.0	5.76
09/30/2018	***-**-480I - SCOTELLARO, ACCOUNT #: 02592262469	QUEST BALANCED FUND C BUY 0 Units @0.0000	0.00	24.27	0.00	24.27	88.0	21.36
09/30/2018	***-**-090I - RASPANTE, JOHN ACCOUNT #: 02592315709	QUEST BALANCED FUND C BUY 0 Units @0.0000	0.00	3.70	0.00	3.70	88.0	3.26
09/30/2018	***-**-91IN - RICHARDSON, ACCOUNT #: 02592394447	QUEST BALANCED FUND C BUY 0 Units @0.0000	0.00	3.78	0.00	3.78	88.0	3.33
09/30/2018	***-**-400K - TEESDALE, ACCOUNT #: 02541113409	QUEST INTERNATIONAL VALUE FUND, INC BUY 0 Units @0.0000	0.00	1.51	0.00	1.51	88.0	1.33
09/30/2018	***-**-718I - LOWE, GREGORY ACCOUNT #: 02541186669	QUEST INTERNATIONAL VALUE FUND, INC BUY 0 Units @0.0000	0.00	0.06	0.00	0.06	88.0	0.05
09/30/2018	***-**-231I - MISHLANIE JR, ACCOUNT #: 02541186680	QUEST INTERNATIONAL VALUE FUND, INC BUY 0 Units @0.0000	0.00	1.44	0.00	1.44	88.0	1.27
09/30/2018	***-**-11IN - MOYLAN, TIMOTHY ACCOUNT #: 02541195997	QUEST INTERNATIONAL VALUE FUND, INC BUY 0 Units @0.0000	0.00	0.06	0.00	0.06	88.0	0.05
09/30/2018	***-**-69IR - PERRITANO, SUSAN ACCOUNT #: 02541205072	QUEST INTERNATIONAL VALUE FUND, INC BUY 0 Units @0.0000	0.00	1.54	0.00	1.54	88.0	1.36
09/30/2018	***-**-58IN - CADY, GAIL ACCOUNT #: 02560282953	QUEST INTERNATIONAL VALUE FUND, INC BUY 0 Units @0.0000	0.00	4.35	0.00	4.35	88.0	3.83
09/30/2018	***-**-11IN - MOYLAN, TIMOTHY ACCOUNT #: 02560289795	QUEST INTERNATIONAL VALUE FUND, INC BUY 0 Units @0.0000	0.00	2.44	0.00	2.44	88.0	2.15
09/30/2018	***-**-090I - RASPANTE, JOHN ACCOUNT #: 02381154945	QUEST OPPORTUNITY VALUE FUND C BUY 0 Units @0.0000	0.00	6.18	0.00	6.18	88.0	5.44
09/30/2018	***-**-91IN - RICHARDSON, ACCOUNT #: 05900979550	REAL ESTATE FUND A BUY 0 Units @0.0000	0.00	3.00	0.00	3.00	88.0	2.64
09/30/2018	***-**-400K - TEESDALE, ACCOUNT #: 05901017676	REAL ESTATE FUND A BUY 0 Units @0.0000	0.00	0.88	0.00	0.88	88.0	0.77



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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b>								
09/30/2018	***-**-59IN - MORGAN, WILLIAM	REAL ESTATE FUND A	0.00	2.18	0.00	2.18	88.0	1.92
	ACCOUNT #: 05901205897	BUY 0 Units @0.0000						
09/30/2018	***-**-59IN - MORGAN, WILLIAM	REAL ESTATE FUND A	0.00	1.86	0.00	1.86	88.0	1.64
	ACCOUNT #: 05901212926	BUY 0 Units @0.0000						
09/30/2018	***-**-053I - INGERSOLL, ROY	REAL ESTATE FUND A	0.00	0.04	0.00	0.04	88.0	0.04
	ACCOUNT #: 05901278970	BUY 0 Units @0.0000						
09/30/2018	***-**-718I - LOWE, GREGORY	REAL ESTATE FUND A	0.00	0.52	0.00	0.52	88.0	0.46
	ACCOUNT #: 05901291235	BUY 0 Units @0.0000						
09/30/2018	***-**-231I - MISHLANIE JR,	REAL ESTATE FUND A	0.00	1.90	0.00	1.90	88.0	1.67
	ACCOUNT #: 05901291268	BUY 0 Units @0.0000						
09/30/2018	***-**-968I - THIBAUT JR,	REAL ESTATE FUND A	0.00	1.19	0.00	1.19	88.0	1.05
	ACCOUNT #: 05901293765	BUY 0 Units @0.0000						
09/30/2018	***-**-11IN - MOYLAN, TIMOTHY	REAL ESTATE FUND A	0.00	0.08	0.00	0.08	88.0	0.07
	ACCOUNT #: 05901303610	BUY 0 Units @0.0000						
09/30/2018	***-**-0457 - STAGLIANO, GINA	REAL ESTATE FUND A	0.00	0.06	0.00	0.06	88.0	0.05
	ACCOUNT #: 05901305623	BUY 0 Units @0.0000						
09/30/2018	***-**-69IR - PERRITANO, SUSAN	REAL ESTATE FUND A	0.00	0.95	0.00	0.95	88.0	0.84
	ACCOUNT #: 05901319813	BUY 0 Units @0.0000						
09/30/2018	***-**-58IN - CADY, GAIL	REAL ESTATE FUND C	0.00	4.25	0.00	4.25	88.0	3.74
	ACCOUNT #: 05920265584	BUY 0 Units @0.0000						
09/30/2018	***-**-480I - SCOTELLARO,	REAL ESTATE FUND C	0.00	6.86	0.00	6.86	88.0	6.04
	ACCOUNT #: 05920279081	BUY 0 Units @0.0000						
09/30/2018	***-**-29IN - THIBAUT,	REAL ESTATE FUND C	0.00	18.94	0.00	18.94	88.0	16.67
	ACCOUNT #: 05920285846	BUY 0 Units @0.0000						
09/30/2018	***-**-0457 - STAGLIANO, GINA	REAL ESTATE FUND C	0.00	1.50	0.00	1.50	88.0	1.32
	ACCOUNT #: 05920286880	BUY 0 Units @0.0000						
09/30/2018	***-**-11IN - MOYLAN, TIMOTHY	REAL ESTATE FUND C	0.00	2.40	0.00	2.40	88.0	2.11
	ACCOUNT #: 05920286891	BUY 0 Units @0.0000						
09/30/2018	***-**-090I - RASPANTE, JOHN	REAL ESTATE FUND C	0.00	9.24	0.00	9.24	88.0	8.13
	ACCOUNT #: 05920332673	BUY 0 Units @0.0000						
09/30/2018	***-**-4580 - GRIFFITH,	RISING DIVIDENDS FUND A	0.00	5.65	0.00	5.65	88.0	4.97
	ACCOUNT #: 02252428624	BUY 0 Units @0.0000						



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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b>								
09/30/2018	***-**-25IN - PERRITANO, ACCOUNT #: 02252885421	RISING DIVIDENDS FUND A BUY 0 Units @0.0000	0.00	2.15	0.00	2.15	88.0	1.89
09/30/2018	***-**-91IN - RICHARDSON, ACCOUNT #: 02253970175	RISING DIVIDENDS FUND A BUY 0 Units @0.0000	0.00	4.28	0.00	4.28	88.0	3.77
09/30/2018	***-**-400K - TEESDALE, ACCOUNT #: 02254058263	RISING DIVIDENDS FUND A BUY 0 Units @0.0000	0.00	1.21	0.00	1.21	88.0	1.06
09/30/2018	***-**-28IN - ALOISIO, IRENE ACCOUNT #: 02254466484	RISING DIVIDENDS FUND A BUY 0 Units @0.0000	0.00	0.11	0.00	0.11	88.0	0.10
09/30/2018	***-**-61IN - ALOISIO, ACCOUNT #: 02254466495	RISING DIVIDENDS FUND A BUY 0 Units @0.0000	0.00	0.36	0.00	0.36	88.0	0.32
09/30/2018	***-**-91IN - RICHARDSON, ACCOUNT #: 02254515654	RISING DIVIDENDS FUND A BUY 0 Units @0.0000	0.00	0.49	0.00	0.49	88.0	0.43
09/30/2018	***-**-59IN - MORGAN, WILLIAM ACCOUNT #: 02254589255	RISING DIVIDENDS FUND A BUY 0 Units @0.0000	0.00	2.42	0.00	2.42	88.0	2.13
09/30/2018	***-**-59IN - MORGAN, WILLIAM ACCOUNT #: 02254603511	RISING DIVIDENDS FUND A BUY 0 Units @0.0000	0.00	3.76	0.00	3.76	88.0	3.31
09/30/2018	***-**-5851 - GLEESON, BARBARA ACCOUNT #: 02254680148	RISING DIVIDENDS FUND A BUY 0 Units @0.0000	0.00	1.95	0.00	1.95	88.0	1.72
09/30/2018	***-**-1588 - FOLEY, JOHN ACCOUNT #: 02254704744	RISING DIVIDENDS FUND A BUY 0 Units @0.0000	0.00	2.10	0.00	2.10	88.0	1.85
09/30/2018	***-**-794I - INGERSOLL, JOAN ACCOUNT #: 02254716448	RISING DIVIDENDS FUND A BUY 0 Units @0.0000	0.00	1.41	0.00	1.41	88.0	1.24
09/30/2018	***-**-718I - LOWE, GREGORY ACCOUNT #: 02254747468	RISING DIVIDENDS FUND A BUY 0 Units @0.0000	0.00	1.49	0.00	1.49	88.0	1.31
09/30/2018	***-**-231I - MISHLANIE JR, ACCOUNT #: 02254747534	RISING DIVIDENDS FUND A BUY 0 Units @0.0000	0.00	13.89	0.00	13.89	88.0	12.22
09/30/2018	***-**-11IN - MOYLAN, TIMOTHY ACCOUNT #: 02254790082	RISING DIVIDENDS FUND A BUY 0 Units @0.0000	0.00	0.19	0.00	0.19	88.0	0.17
09/30/2018	***-**-0457 - STAGLIANO, GINA ACCOUNT #: 02254799135	RISING DIVIDENDS FUND A BUY 0 Units @0.0000	0.00	0.14	0.00	0.14	88.0	0.12
09/30/2018	***-**-609J - CADY, PATRICK ACCOUNT #: 02254799212	RISING DIVIDENDS FUND A BUY 0 Units @0.0000	0.00	3.27	0.00	3.27	88.0	2.88



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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b>								
09/30/2018	***-**-053I - INGERSOLL, ROY	RISING DIVIDENDS FUND A	0.00	0.14	0.00	0.14	88.0	0.12
	ACCOUNT #: 02254843487	BUY 0 Units @0.0000						
09/30/2018	***-**-69IR - PERRITANO, SUSAN	RISING DIVIDENDS FUND A	0.00	1.98	0.00	1.98	88.0	1.74
	ACCOUNT #: 02254853717	BUY 0 Units @0.0000						
09/30/2018	***-**-59IN - MORGAN, WILLIAM	ROCH. LIMITED TERM NEW YORK MUNICI	0.00	0.75	0.00	0.75	88.0	0.66
	ACCOUNT #: 03551379004	BUY 0 Units @0.0000						
09/30/2018	***-**-59IN - MORGAN, WILLIAM	ROCHESTER FUND MUNICIPALS A	0.00	0.96	0.00	0.96	88.0	0.84
	ACCOUNT #: 03653494722	BUY 0 Units @0.0000						
09/30/2018	***-**-91IN - RICHARDSON,	SELECT VALUE C	0.00	6.08	0.00	6.08	88.0	5.35
	ACCOUNT #: 06020193534	BUY 0 Units @0.0000						
09/30/2018	***-**-28IN - ALOISIO, IRENE	SELECT VALUE FUND A	0.00	0.02	0.00	0.02	88.0	0.02
	ACCOUNT #: 06000750266	BUY 0 Units @0.0000						
09/30/2018	***-**-61IN - ALOISIO,	SELECT VALUE FUND A	0.00	0.31	0.00	0.31	88.0	0.27
	ACCOUNT #: 06000750277	BUY 0 Units @0.0000						
09/30/2018	***-**-91IN - RICHARDSON,	SELECT VALUE FUND A	0.00	0.24	0.00	0.24	88.0	0.21
	ACCOUNT #: 06000790262	BUY 0 Units @0.0000						
09/30/2018	***-**-480I - SCOTELLARO,	SENIOR FLOATING RATE FUND C	0.00	1.32	0.00	1.32	88.0	1.16
	ACCOUNT #: 02931730520	BUY 0 Units @0.0000						
09/30/2018	***-**-0457 - STAGLIANO, GINA	SENIOR FLOATING RATE FUND C	0.00	1.52	0.00	1.52	88.0	1.34
	ACCOUNT #: 02931758372	BUY 0 Units @0.0000						
09/30/2018	***-**-090I - RASPANTE, JOHN	SENIOR FLOATING RATE FUND C	0.00	2.47	0.00	2.47	88.0	2.17
	ACCOUNT #: 02932007225	BUY 0 Units @0.0000						
09/30/2018	***-**-58IN - CADY, GAIL	SENIOR FLOATING RATE FUND-CL C	0.00	4.60	0.00	4.60	88.0	4.05
	ACCOUNT #: 00100027853	BUY 0 Units @0.0000						
09/30/2018	***-**-58IN - CADY, GAIL	SMALL- & MID- CAP VALUE FUND C	0.00	4.98	0.00	4.98	88.0	4.38
	ACCOUNT #: 02531131966	BUY 0 Units @0.0000						
09/30/2018	***-**-91IN - RICHARDSON,	SMALL- & MID- CAP VALUE FUND C	0.00	8.04	0.00	8.04	88.0	7.08
	ACCOUNT #: 02531164691	BUY 0 Units @0.0000						
09/30/2018	***-**-0457 - STAGLIANO, GINA	SMALL- & MID- CAP VALUE FUND C	0.00	1.84	0.00	1.84	88.0	1.62
	ACCOUNT #: 02531164735	BUY 0 Units @0.0000						
09/30/2018	***-**-090I - RASPANTE, JOHN	SMALL- & MID- CAP VALUE FUND C	0.00	3.23	0.00	3.23	88.0	2.84
	ACCOUNT #: 02531206898	BUY 0 Units @0.0000						





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<b><u>BROKER TRANSACTIONS (continued)</u></b>								
<b><u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</u></b>								
09/30/2018	***-**-69IR - PERRITANO, SUSAN SMALL- & MID-CAP GROWTH FUND A		0.00	0.66	0.00	0.66	88.0	0.58
	ACCOUNT #: 07211148323	BUY 0 Units @0.0000						
09/30/2018	***-**-480I - SCOTELLARO, STRATEGIC INCOME FUND C		0.00	7.39	0.00	7.39	88.0	6.50
	ACCOUNT #: 02322654102	BUY 0 Units @0.0000						
09/30/2018	***-**-7473 - SCOTELLARO, STRATEGIC INCOME FUND C		0.00	2.35	0.00	2.35	88.0	2.07
	ACCOUNT #: 02322945965	BUY 0 Units @0.0000						
09/30/2018	***-**-58IN - CADY, GAIL U.S. GOVERNMENT TRUST C		0.00	1.87	0.00	1.87	88.0	1.65
	ACCOUNT #: 02220682638	BUY 0 Units @0.0000						
	<b>* MUTUAL FUND 12B1 TRAILS SUBTOTAL *</b>		<b>\$0.00</b>	<b>\$610.40</b>	<b>\$0.00</b>	<b>\$610.40</b>		<b>\$537.18</b>
<b><u>PRODUCT CATEGORY: VARIABLE ANNUITY 12B1 TRAILS</u></b>								
09/30/2018	***-**-69IN - DAVIS, BRUCE LINCOLN FIN 533785564		0.00	32.50	0.00	32.50	88.0	28.60
	ACCOUNT #: 951030177	BUY 0 Units @0.0000						
09/30/2018	***-**-93JT - WADSWORTH, LINCOLN FIN VA TRAILS 533785101		0.00	22.48	0.00	22.48	88.0	19.78
	ACCOUNT #: 951031290	BUY 0 Units @0.0000						
	<b>* VARIABLE ANNUITY 12B1 TRAILS SUBTOTAL *</b>		<b>\$0.00</b>	<b>\$54.98</b>	<b>\$0.00</b>	<b>\$54.98</b>		<b>\$48.38</b>
	<b>*** BROKER TRANSACTIONS TOTAL ***</b>		<b>\$227,526.71</b>	<b>\$5,998.10</b>	<b>\$1,056.86</b>	<b>\$4,941.24</b>		<b>\$4,343.95</b>

## OVERRIDE TRANSACTIONS

### **BROKER: KURT GRUENEWALD**

09/28/2018	***-**-973I - LABAYEWSKI, 41659Q159		0.00	68.96	0.00	68.96	88.0	60.68
	ACCOUNT #: 712686815	BUY 0 Units @0.0000						
09/28/2018	***-**-117I - LABAYEWSKI, 41659Q159		0.00	85.07	0.00	85.07	88.0	74.86
	ACCOUNT #: 712688346	BUY 0 Units @0.0000						
10/01/2018	***-**-05IN - GATES, ROGER AMERICAN FUNDS MORTGAGE FD CL C		25,000.00	250.00	0.00	250.00	88.0	220.00
	ACCOUNT #: LSR012771	BUY 2575 Units @9.7100						
10/01/2018	***-**-0802 - RHYMESTINE, AMERICAN GLOBAL BALANCED CL C		15,000.01	150.00	0.00	150.00	88.0	132.00
	ACCOUNT #: LSR012677	BUY 469 Units @31.9500						
10/01/2018	***-**-05IN - GATES, ROGER ANADARKO PETE CORP		4,194.06	61.27	0.00	61.27	88.0	53.92
	ACCOUNT #: LSR012771	SELL 61 Units @68.7550						



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<b> OVERRIDE TRANSACTIONS (continued)</b>								
<b> <u>BROKER: KURT GRUENEWALD (continued)</u></b>								
10/02/2018	***-**-614J - BUSHEY, MATTHEW	AT&T INC COM	4,903.90	59.59	0.00	59.59	88.0	52.44
	ACCOUNT #: LSR011256	SELL 145 Units @33.8200						
10/01/2018	***-**-366I - GRUENEWALD,	AURORA CANNABIS INC COM NPV ISIN #C	497.75	5.00	0.00	5.00	88.0	4.40
	ACCOUNT #: LSR010989	BUY 50 Units @9.9550						
10/02/2018	***-**-188I - BRADLEY, WAYNE	BERKSHIRE HATHAWAY INC DEL CL B NEW	10,763.75	39.49	0.00	39.49	88.0	34.75
	ACCOUNT #: LSR012484	SELL 50 Units @215.2750						
09/30/2018	***-**-84IN - WARMUTH, ERIC	CAPITAL APPRECIATION A	0.00	5.75	0.00	5.75	88.0	5.06
	ACCOUNT #: 02703492687	BUY 0 Units @0.0000						
09/30/2018	***-**-65CL - GRUENEWALD, K,	CAPITAL APPRECIATION C	0.00	0.83	0.00	0.83	88.0	0.73
	ACCOUNT #: 03222414918	BUY 0 Units @0.0000						
09/30/2018	***-**-84IN - WARMUTH, ERIC	CAPITAL INCOME A	0.00	4.42	0.00	4.42	88.0	3.89
	ACCOUNT #: 03450098560	BUY 0 Units @0.0000						
09/30/2018	***-**-96IN - NESSIA, BONNIE	DISCOVERY FUND C	0.00	12.40	0.00	12.40	88.0	10.91
	ACCOUNT #: 05020467148	BUY 0 Units @0.0000						
09/30/2018	***-**-973I - LABAYEWSKI,	EQUITY INCOME FUND, INC. A	0.00	1.93	0.00	1.93	88.0	1.70
	ACCOUNT #: 08352638471	BUY 0 Units @0.0000						
09/30/2018	***-**-633J -	EQUITY INCOME FUND, INC. A	0.00	3.39	0.00	3.39	88.0	2.98
	ACCOUNT #: 08353229688	BUY 0 Units @0.0000						
09/30/2018	***-**-0767 - DOVI,	EQUITY INCOME FUND, INC. A	0.00	3.84	0.00	3.84	88.0	3.38
	ACCOUNT #: 08353253965	BUY 0 Units @0.0000						
09/30/2018	***-**-0069 - KRECIDLO,	EQUITY INCOME FUND, INC. A	0.00	2.75	0.00	2.75	88.0	2.42
	ACCOUNT #: 08353280112	BUY 0 Units @0.0000						
09/30/2018	***-**-391I - MASTRANGELO,	EQUITY INCOME FUND, INC. A	0.00	12.15	0.00	12.15	88.0	10.69
	ACCOUNT #: 08353280530	BUY 0 Units @0.0000						
09/30/2018	***-**-09IN - BATES, CHRISTINE	EQUITY INCOME FUND, INC. A	0.00	12.29	0.00	12.29	88.0	10.82
	ACCOUNT #: 08353313343	BUY 0 Units @0.0000						
09/30/2018	***-**-31IR - HARTZ, CLAUDIA	EQUITY INCOME FUND, INC. A	0.00	2.40	0.00	2.40	88.0	2.11
	ACCOUNT #: 08353346563	BUY 0 Units @0.0000						
09/30/2018	***-**-5375 - CARTER, LISA	EQUITY INCOME FUND, INC. A	0.00	2.20	0.00	2.20	88.0	1.94
	ACCOUNT #: 08353359136	BUY 0 Units @0.0000						
09/30/2018	***-**-78IN - FALES, JOAN	EQUITY INCOME FUND, INC. C	0.00	1.28	0.00	1.28	88.0	1.13
	ACCOUNT #: 08370484165	BUY 0 Units @0.0000						



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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b> OVERRIDE TRANSACTIONS (continued)</b>								
<b> <u>BROKER: KURT GRUENEWALD (continued)</u></b>								
09/30/2018	***-**-96IN - NESSIA, BONNIE ACCOUNT #: 08370494010	EQUITY INCOME FUND, INC. C BUY 0 Units @0.0000	0.00	21.03	0.00	21.03	88.0	18.51
09/30/2018	***-**-31IR - HARTZ, CLAUDIA ACCOUNT #: 08370502436	EQUITY INCOME FUND, INC. C BUY 0 Units @0.0000	0.00	8.62	0.00	8.62	88.0	7.59
09/30/2018	***-**-48JT - LEE, DARLENE ACCOUNT #: 08370750926	EQUITY INCOME FUND, INC. C BUY 0 Units @0.0000	0.00	5.58	0.00	5.58	88.0	4.91
10/03/2018	***-**-05IN - GATES, ROGER ACCOUNT #: LSR012771	EXXON MOBIL CORP UNSOLICITED ORDER SELL 100 Units @86.7700	8,677.00	80.49	0.00	80.49	88.0	70.83
10/01/2018	***-**-0802 - RHYMESTINE, ACCOUNT #: LSR012677	FUNDAMENTAL INVESTORS-C BUY 153 Units @65.1700	10,000.01	100.00	0.00	100.00	88.0	88.00
10/02/2018	***-**-31IO - JOSEPH, ANN ACCOUNT #: LSR012337	GENESIS HEALTHCARE INC CL A COM ISI BUY 1500 Units @1.2800	1,920.00	4.99	0.00	4.99	88.0	4.39
10/03/2018	***-**-930I - SANGER, KEVIN ACCOUNT #: LSR010941	GENESIS HEALTHCARE INC CL A COM ISI BUY 1100 Units @1.2800	1,408.00	12.99	0.00	12.99	88.0	11.43
09/30/2018	***-**-0069 - KRECIDLO, ACCOUNT #: 03307873373	GLOBAL FUND A BUY 0 Units @0.0000	0.00	3.85	0.00	3.85	88.0	3.39
09/30/2018	***-**-960I - MASTRANGELO, ACCOUNT #: 02158012400	GLOBAL OPPORTUNITIES A BUY 0 Units @0.0000	0.00	1.93	0.00	1.93	88.0	1.70
09/30/2018	***-**-1491 - GUNN, EDWARD ACCOUNT #: 02158058303	GLOBAL OPPORTUNITIES A BUY 0 Units @0.0000	0.00	5.56	0.00	5.56	88.0	4.89
09/30/2018	***-**-09IN - BATES, CHRISTINE ACCOUNT #: 02158069743	GLOBAL OPPORTUNITIES A BUY 0 Units @0.0000	0.00	17.16	0.00	17.16	88.0	15.10
09/30/2018	***-**-65CL - GRUENEWALD, K, ACCOUNT #: 02171825219	GLOBAL OPPORTUNITIES FUND C BUY 0 Units @0.0000	0.00	1.06	0.00	1.06	88.0	0.93
09/30/2018	***-**-84IN - WARMUTH, ERIC ACCOUNT #: 04103537149	GOLD & SPECIAL MINERALS A BUY 0 Units @0.0000	0.00	1.34	0.00	1.34	88.0	1.18
09/30/2018	***-**-237I - MCCLUSKY, MARK ACCOUNT #: 04104653792	GOLD & SPECIAL MINERALS A BUY 0 Units @0.0000	0.00	0.31	0.00	0.31	88.0	0.27
09/30/2018	***-**-3749 - DEPEYSTER, ACCOUNT #: 04104658049	GOLD & SPECIAL MINERALS A BUY 0 Units @0.0000	0.00	0.20	0.00	0.20	88.0	0.18
09/30/2018	***-**-0767 - DOVI, ACCOUNT #: 04104666585	GOLD & SPECIAL MINERALS A BUY 0 Units @0.0000	0.00	0.16	0.00	0.16	88.0	0.14



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<b> OVERRIDE TRANSACTIONS (continued)</b>								
<b> <u>BROKER: KURT GRUENEWALD (continued)</u></b>								
09/30/2018	***-**-0069 - KRECIDLO, ACCOUNT #: 04104675077	GOLD & SPECIAL MINERALS A BUY 0 Units @0.0000	0.00	0.30	0.00	0.30	88.0	0.26
09/30/2018	***-**-391I - MASTRANGELO, ACCOUNT #: 04104675297	GOLD & SPECIAL MINERALS A BUY 0 Units @0.0000	0.00	0.60	0.00	0.60	88.0	0.53
09/30/2018	***-**-1491 - GUNN, EDWARD ACCOUNT #: 04104683217	GOLD & SPECIAL MINERALS A BUY 0 Units @0.0000	0.00	0.16	0.00	0.16	88.0	0.14
09/30/2018	***-**-09IN - BATES, CHRISTINE ACCOUNT #: 04104685582	GOLD & SPECIAL MINERALS A BUY 0 Units @0.0000	0.00	1.12	0.00	1.12	88.0	0.99
09/30/2018	***-**-2603 - MASTRANGELO, ACCOUNT #: 04104688728	GOLD & SPECIAL MINERALS A BUY 0 Units @0.0000	0.00	0.21	0.00	0.21	88.0	0.18
09/30/2018	***-**-31IR - HARTZ, CLAUDIA ACCOUNT #: 04104696516	GOLD & SPECIAL MINERALS A BUY 0 Units @0.0000	0.00	0.42	0.00	0.42	88.0	0.37
09/30/2018	***-**-5375 - CARTER, LISA ACCOUNT #: 04104700355	GOLD & SPECIAL MINERALS A BUY 0 Units @0.0000	0.00	0.23	0.00	0.23	88.0	0.20
09/04/2018	***-**-382I - SATTERLY, NEIL	GWG L BOND - 7 YR BUY 10 Units @1000.0000	10,000.00	600.00	0.00	600.00	88.0	528.00
09/04/2018	***-**-382I - SATTERLY, NEIL	GWG L BOND - 3YR BUY 10 Units @1000.0000	10,000.00	500.00	0.00	500.00	88.0	440.00
09/30/2018	***-**-0767 - DOVI, ACCOUNT #: 08810326811	INTERNATIONAL BOND A BUY 0 Units @0.0000	0.00	1.34	0.00	1.34	88.0	1.18
09/30/2018	***-**-960I - MASTRANGELO, ACCOUNT #: 08810337228	INTERNATIONAL BOND A BUY 0 Units @0.0000	0.00	0.38	0.00	0.38	88.0	0.33
09/30/2018	***-**-1491 - GUNN, EDWARD ACCOUNT #: 08810347513	INTERNATIONAL BOND A BUY 0 Units @0.0000	0.00	1.53	0.00	1.53	88.0	1.35
09/30/2018	***-**-09IN - BATES, CHRISTINE ACCOUNT #: 08810351011	INTERNATIONAL BOND A BUY 0 Units @0.0000	0.00	4.18	0.00	4.18	88.0	3.68
09/30/2018	***-**-2603 - MASTRANGELO, ACCOUNT #: 08810354960	INTERNATIONAL BOND A BUY 0 Units @0.0000	0.00	0.67	0.00	0.67	88.0	0.59
09/30/2018	***-**-5375 - CARTER, LISA ACCOUNT #: 08810370888	INTERNATIONAL BOND A BUY 0 Units @0.0000	0.00	0.97	0.00	0.97	88.0	0.85
09/30/2018	***-**-391I - MASTRANGELO, ACCOUNT #: 08810370954	INTERNATIONAL BOND A BUY 0 Units @0.0000	0.00	4.12	0.00	4.12	88.0	3.63



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<b> OVERRIDE TRANSACTIONS (continued)</b>								
<b> <u>BROKER: KURT GRUENEWALD (continued)</u></b>								
09/30/2018	***-**-84IN - WARMUTH, ERIC	INTERNATIONAL GROWTH FUND A	0.00	5.98	0.00	5.98	88.0	5.26
	ACCOUNT #: 08250106216	BUY 0 Units @0.0000						
09/30/2018	***-**-69IN - EVANS, PAUL	INTERNATIONAL SMALL COMPANY A	0.00	1.81	0.00	1.81	88.0	1.59
	ACCOUNT #: 08152454089	BUY 0 Units @0.0000						
09/30/2018	***-**-31IO - HARTZ, CLAUDIA	INTERNATIONAL SMALL COMPANY A	0.00	1.78	0.00	1.78	88.0	1.57
	ACCOUNT #: 08152458467	BUY 0 Units @0.0000						
09/30/2018	***-**-89IN - LEE, ROGER	JACKSON 468511480	0.00	24.43	0.00	24.43	88.0	21.50
	ACCOUNT #: 1200175188	BUY 0 Units @0.0000						
10/01/2018	***-**-43IN - FRANZ, WAYNE	JACKSON NAT VA TRAILS 468511134	62,763.08	784.54	0.00	784.54	88.0	690.40
	ACCOUNT #: 1201785768	BUY 0 Units @0.0000						
10/03/2018	***-**-43IN - FRANZ, WAYNE	JACKSON NAT VA TRAILS 468511134	37,775.62	472.20	0.00	472.20	88.0	415.54
	ACCOUNT #: 1201785768	BUY 0 Units @0.0000						
10/01/2018	***-**-366I - GRUENEWALD,	LIBERTY HEALTH SCIENCES INC COM NPV	626.50	7.00	0.00	7.00	88.0	6.16
	ACCOUNT #: LSR010989	BUY 500 Units @1.2530						
09/30/2018	***-**-1944 - BEHA, JAMES	LIMITED-TERM GOVERNMENT FUND C	0.00	2.78	0.00	2.78	88.0	2.45
	ACCOUNT #: 08571144451	BUY 0 Units @0.0000						
09/30/2018	***-**-65IN - GRUENEWALD, KURT	LINCOLN FIN 533785564	0.00	219.80	0.00	219.80	88.0	193.42
	ACCOUNT #: 951030124	BUY 0 Units @0.0000						
09/30/2018	***-**-84IN - WARMUTH, ERIC	MAIN STREET FUND A	0.00	9.19	0.00	9.19	88.0	8.09
	ACCOUNT #: 07005442085	BUY 0 Units @0.0000						
09/30/2018	***-**-960I - MASTRANGELO,	MAIN STREET FUND A	0.00	1.78	0.00	1.78	88.0	1.57
	ACCOUNT #: 07006358641	BUY 0 Units @0.0000						
09/30/2018	***-**-1491 - GUNN, EDWARD	MAIN STREET FUND A	0.00	6.78	0.00	6.78	88.0	5.97
	ACCOUNT #: 07006432891	BUY 0 Units @0.0000						
09/24/2018	***-**-06IN - SATTERLY,	MFS 08191336006	100.00	1.00	0.00	1.00	88.0	0.88
	ACCOUNT #: 08191336006	BUY 3 Units @32.5800						
09/17/2018	***-**-213I - GRUENEWALD,	MFS GLOBAL NEW DISCOVERY FUND CL B	100.00	4.00	0.00	4.00	88.0	3.52
	ACCOUNT #: 08190131132	BUY 5 Units @20.0000						
09/17/2018	***-**-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 @18.1800						
09/20/2018	***-**-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 @18.3300						



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<b> OVERRIDE TRANSACTIONS (continued)</b>								
<b> <u>BROKER: KURT GRUENEWALD (continued)</u></b>								
09/25/2018	***-**-094I - KATRENA L ACCOUNT #: 08191140345	MFS GLOBAL TOTAL RETURN FUND-B BUY 3 Units @18.2400	50.00	2.00	0.00	2.00	88.0	1.76
09/20/2018	***-**-7617 - ESCHE, BEVERLY ACCOUNT #: 08191154979	MFS INTERNATIONAL NEW DISCOVERY FUN BUY 1 Units @34.1900	50.00	2.00	0.00	2.00	88.0	1.76
10/02/2018	***-**-861I - SANGER, LAWRENCE ACCOUNT #: LSR011095	MFS INTERNATIONAL NEW DISCOVERY FUN SELL 114 Units @34.9100	3,977.40	1.99	0.00	1.99	88.0	1.75
09/17/2018	***-**-213I - GRUENEWALD, ACCOUNT #: 08190131132	MFS NEW DISCOVERY FUND-B BUY 4 Units @26.4000	100.00	4.00	0.00	4.00	88.0	3.52
10/01/2018	***-**-0802 - RHYMESTINE, ACCOUNT #: LSR012677	MFS TECHNOLOGY CLASS C BUY 191 Units @39.3200	7,500.01	75.00	0.00	75.00	88.0	66.00
09/17/2018	***-**-213I - GRUENEWALD, ACCOUNT #: 08190131132	MFS TECHNOLOGY FUND-B BUY 3 Units @38.6600	100.00	4.00	0.00	4.00	88.0	3.52
09/20/2018	***-**-06IN - SATTERLY, ACCOUNT #: 08191173302	MFS TECHNOLOGY FUND-B BUY 1 Units @39.1600	50.00	2.00	0.00	2.00	88.0	1.76
10/01/2018	***-**-53IN - EVANS, ANDREW ACCOUNT #: LSR011483	MFS TECHNOLOGY FUND-B BUY 1 Units @39.4000	50.00	2.00	0.00	2.00	88.0	1.76
09/17/2018	***-**-094I - CIRILLO, CARL ACCOUNT #: 08190127967	MFS UTILITIES FUND-B BUY 2 Units @20.8000	35.00	1.40	0.00	1.40	88.0	1.23
09/17/2018	***-**-606I - LEWIS, TAMARA ACCOUNT #: 08191352846	MFS UTILITIES FUND-B BUY 2 Units @20.8000	50.00	2.00	0.00	2.00	88.0	1.76
09/20/2018	***-**-7617 - ESCHE, BEVERLY ACCOUNT #: 08191154979	MFS UTILITIES FUND-B BUY 2 Units @20.7000	50.00	2.00	0.00	2.00	88.0	1.76
10/01/2018	***-**-53IN - EVANS, ANDREW ACCOUNT #: LSR011483	MFS UTILITIES FUND-B BUY 5 Units @20.4800	100.00	4.00	0.00	4.00	88.0	3.52
10/01/2018	***-**-959J - FRANZ, PAUL ACCOUNT #: LSR010958	NATIONAL GRID SPON ADR EACH REP 5 O BUY 100 Units @51.6060	5,160.60	50.49	0.00	50.49	88.0	44.43
09/30/2018	***-**-633J - ACCOUNT #: 05502871176	OPP PORT SERIES: ACTIVE ALLOC A BUY 0 Units @0.0000	0.00	3.45	0.00	3.45	88.0	3.04
09/30/2018	***-**-13IN - BLISS, PATRICK ACCOUNT #: 05521022681	OPPENHEIMER ACTIVE ALLOCATION FUND BUY 0 Units @0.0000	0.00	12.38	0.00	12.38	88.0	10.89
09/30/2018	***-**-775I - BLISS, APRIL ACCOUNT #: 05521022692	OPPENHEIMER ACTIVE ALLOCATION FUND BUY 0 Units @0.0000	0.00	14.68	0.00	14.68	88.0	12.92



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<b> OVERRIDE TRANSACTIONS (continued)</b>								
<b> <u>BROKER: KURT GRUENEWALD (continued)</u></b>								
09/30/2018	***-**-48JT - LEE, DARLENE	OPPENHEIMER ACTIVE ALLOCATION FUND	0.00	5.69	0.00	5.69	88.0	5.01
	ACCOUNT #: 05521043603	BUY 0 Units @0.0000						
09/30/2018	***-**-1944 - BEHA, JAMES	OPPENHEIMER DEV MARKETS FD CLASS C	0.00	5.33	0.00	5.33	88.0	4.69
	ACCOUNT #: 07871306525	BUY 0 Units @0.0000						
09/30/2018	***-**-524I - SCALISE, JOSEPH	OPPENHEIMER DEV MARKETS FD CLASS C	0.00	5.24	0.00	5.24	88.0	4.61
	ACCOUNT #: 07872061521	BUY 0 Units @0.0000						
09/30/2018	***-**-31IR - HARTZ, CLAUDIA	OPPENHEIMER DEV MARKETS FD CLASS C	0.00	2.90	0.00	2.90	88.0	2.55
	ACCOUNT #: 07872093014	BUY 0 Units @0.0000						
09/30/2018	***-**-3749 - DEPEYSTER,	OPPENHEIMER DEVELOPING MARKETS CLAS	0.00	0.75	0.00	0.75	88.0	0.66
	ACCOUNT #: 07862860001	BUY 0 Units @0.0000						
09/30/2018	***-**-0767 - DOVI,	OPPENHEIMER DEVELOPING MARKETS CLAS	0.00	2.74	0.00	2.74	88.0	2.41
	ACCOUNT #: 07862886753	BUY 0 Units @0.0000						
09/30/2018	***-**-1491 - GUNN, EDWARD	OPPENHEIMER DEVELOPING MARKETS CLAS	0.00	2.58	0.00	2.58	88.0	2.27
	ACCOUNT #: 07862938926	BUY 0 Units @0.0000						
09/30/2018	***-**-09IN - BATES, CHRISTINE	OPPENHEIMER DEVELOPING MARKETS CLAS	0.00	10.86	0.00	10.86	88.0	9.56
	ACCOUNT #: 07862942457	BUY 0 Units @0.0000						
09/30/2018	***-**-2603 - MASTRANGELO,	OPPENHEIMER DEVELOPING MARKETS CLAS	0.00	0.86	0.00	0.86	88.0	0.76
	ACCOUNT #: 07862947055	BUY 0 Units @0.0000						
09/30/2018	***-**-524I - SCALISE, JOSEPH	OPPENHEIMER DEVELOPING MARKETS CLAS	0.00	1.19	0.00	1.19	88.0	1.05
	ACCOUNT #: 07862950586	BUY 0 Units @0.0000						
09/30/2018	***-**-69IN - EVANS, PAUL	OPPENHEIMER DEVELOPING MARKETS CLAS	0.00	1.31	0.00	1.31	88.0	1.15
	ACCOUNT #: 07862954403	BUY 0 Units @0.0000						
09/30/2018	***-**-31IR - HARTZ, CLAUDIA	OPPENHEIMER DEVELOPING MARKETS CLAS	0.00	1.76	0.00	1.76	88.0	1.55
	ACCOUNT #: 07862957439	BUY 0 Units @0.0000						
09/30/2018	***-**-5375 - CARTER, LISA	OPPENHEIMER DEVELOPING MARKETS CLAS	0.00	1.22	0.00	1.22	88.0	1.07
	ACCOUNT #: 07862962213	BUY 0 Units @0.0000						
09/30/2018	***-**-0069 - KRECIDLO,	OPPENHEIMER DISCOVERY CLASS A	0.00	2.06	0.00	2.06	88.0	1.81
	ACCOUNT #: 05005738601	BUY 0 Units @0.0000						
09/30/2018	***-**-391I - MASTRANGELO,	OPPENHEIMER DISCOVERY CLASS A	0.00	7.94	0.00	7.94	88.0	6.99
	ACCOUNT #: 05005977620	BUY 0 Units @0.0000						
09/30/2018	***-**-1491 - GUNN, EDWARD	OPPENHEIMER DISCOVERY CLASS A	0.00	3.21	0.00	3.21	88.0	2.82
	ACCOUNT #: 05005989148	BUY 0 Units @0.0000						



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<b> OVERRIDE TRANSACTIONS (continued)</b>								
<b> <u>BROKER: KURT GRUENEWALD (continued)</u></b>								
09/30/2018	***-**-48JT - LEE, DARLENE ACCOUNT #: 00100021715	OPPENHEIMER GBL REAL ESTATE FUND C BUY 0 Units @0.0000	0.00	2.85	0.00	2.85	88.0	2.51
09/30/2018	***-**-973I - LABAYEWSKI, ACCOUNT #: 06870116919	OPPENHEIMER GLOBAL VALUE FUND CL A BUY 0 Units @0.0000	0.00	1.82	0.00	1.82	88.0	1.60
09/30/2018	***-**-1944 - BEHA, JAMES ACCOUNT #: 04120615032	OPPENHEIMER GOLD & SPECIAL MINERALS BUY 0 Units @0.0000	0.00	1.37	0.00	1.37	88.0	1.21
09/30/2018	***-**-31IR - HARTZ, CLAUDIA ACCOUNT #: 04120821381	OPPENHEIMER GOLD & SPECIAL MINERALS BUY 0 Units @0.0000	0.00	0.28	0.00	0.28	88.0	0.25
09/30/2018	***-**-96IN - NESSIA, BONNIE ACCOUNT #: 08822034824	OPPENHEIMER INT'L BOND CLASS C BUY 0 Units @0.0000	0.00	5.01	0.00	5.01	88.0	4.41
09/30/2018	***-**-973I - LABAYEWSKI, ACCOUNT #: 01952877039	OPPENHEIMER INTERNATIONAL DIVERSIFI BUY 0 Units @0.0000	0.00	2.17	0.00	2.17	88.0	1.91
09/30/2018	***-**-633J - ACCOUNT #: 01953330426	OPPENHEIMER INTERNATIONAL DIVERSIFI BUY 0 Units @0.0000	0.00	3.41	0.00	3.41	88.0	3.00
09/30/2018	***-**-48JT - LEE, DARLENE ACCOUNT #: 01971019612	OPPENHEIMER INTERNATIONAL DIVERSIFI BUY 0 Units @0.0000	0.00	5.91	0.00	5.91	88.0	5.20
09/30/2018	***-**-96IN - NESSIA, BONNIE ACCOUNT #: 08170371459	OPPENHEIMER INTERNATIONAL SMALL COM BUY 0 Units @0.0000	0.00	20.22	0.00	20.22	88.0	17.79
09/30/2018	***-**-31IR - HARTZ, CLAUDIA ACCOUNT #: 08170372680	OPPENHEIMER INTERNATIONAL SMALL COM BUY 0 Units @0.0000	0.00	11.85	0.00	11.85	88.0	10.43
09/30/2018	***-**-31IO - WILLIAMSON, FBO ACCOUNT #: 08170406615	OPPENHEIMER INTERNATIONAL SMALL COM BUY 0 Units @0.0000	0.00	3.90	0.00	3.90	88.0	3.43
09/30/2018	***-**-0767 - DOVI, ACCOUNT #: 08477584335	OPPENHEIMER MAIN STREET SMALL CAP F BUY 0 Units @0.0000	0.00	0.72	0.00	0.72	88.0	0.63
09/30/2018	***-**-973I - LABAYEWSKI, ACCOUNT #: 08477272342	OPPENHEIMER MAIN STREET SMALL CAP F BUY 0 Units @0.0000	0.00	1.50	0.00	1.50	88.0	1.32
09/30/2018	***-**-0767 - DOVI, ACCOUNT #: 08477584467	OPPENHEIMER MAIN STREET SMALL CAP F BUY 0 Units @0.0000	0.00	4.01	0.00	4.01	88.0	3.53
09/30/2018	***-**-391I - MASTRANGELO, ACCOUNT #: 08477604212	OPPENHEIMER MAIN STREET SMALL CAP F BUY 0 Units @0.0000	0.00	11.74	0.00	11.74	88.0	10.33
09/30/2018	***-**-31IR - HARTZ, CLAUDIA ACCOUNT #: 08477648025	OPPENHEIMER MAIN STREET SMALL CAP F BUY 0 Units @0.0000	0.00	2.68	0.00	2.68	88.0	2.36





# COMMISSION STATEMENT

## October 08, 2018

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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
<b> OVERRIDE TRANSACTIONS (continued)</b>								
<b> <u>BROKER: KURT GRUENEWALD (continued)</u></b>								
09/30/2018	***-**-5375 - CARTER, LISA ACCOUNT #: 08477656715	OPPENHEIMER MAIN STREET SMALL CAP F BUY 0 Units @0.0000	0.00	2.44	0.00	2.44	88.0	2.15
09/30/2018	***-**-311R - HARTZ, CLAUDIA ACCOUNT #: 08491519782	OPPENHEIMER MAIN STREET SMALL CAP F BUY 0 Units @0.0000	0.00	9.77	0.00	9.77	88.0	8.60
09/30/2018	***-**-1944 - BEHA, JAMES ACCOUNT #: 02270678062	OPPENHEIMER RISING DIVIDENDS FUND C BUY 0 Units @0.0000	0.00	17.27	0.00	17.27	88.0	15.20
09/30/2018	***-**-78IN - FALES, JOAN ACCOUNT #: 02270934868	OPPENHEIMER RISING DIVIDENDS FUND C BUY 0 Units @0.0000	0.00	2.58	0.00	2.58	88.0	2.27
09/30/2018	***-**-524I - SCALISE, JOSEPH ACCOUNT #: 02270938278	OPPENHEIMER RISING DIVIDENDS FUND C BUY 0 Units @0.0000	0.00	7.67	0.00	7.67	88.0	6.75
09/30/2018	***-**-311R - HARTZ, CLAUDIA ACCOUNT #: 02270952072	OPPENHEIMER RISING DIVIDENDS FUND C BUY 0 Units @0.0000	0.00	13.34	0.00	13.34	88.0	11.74
09/30/2018	***-**-96IN - NESSIA, BONNIE ACCOUNT #: 02271140183	OPPENHEIMER RISING DIVIDENDS FUND C BUY 0 Units @0.0000	0.00	2.85	0.00	2.85	88.0	2.51
10/01/2018	***-**-0802 - RHYMESTINE, ACCOUNT #: LSR012677	OPPENHEIMER RISING DIVIDENDS FUND C BUY 423 Units @17.7100	7,500.01	75.00	0.00	75.00	88.0	66.00
09/30/2018	***-**-69IN - EVANS, PAUL ACCOUNT #: 02913850561	OPPENHEIMER SENIOR FLOATING RATE CL BUY 0 Units @0.0000	0.00	1.25	0.00	1.25	88.0	1.10
09/30/2018	***-**-84IN - WARMUTH, ERIC ACCOUNT #: 02510094556	OPPENHEIMER SMALL & MID CAP VALUE F BUY 0 Units @0.0000	0.00	11.06	0.00	11.06	88.0	9.73
09/30/2018	***-**-237I - MCCLUSKY, MARK ACCOUNT #: 02514976004	OPPENHEIMER SMALL & MID CAP VALUE F BUY 0 Units @0.0000	0.00	2.90	0.00	2.90	88.0	2.55
09/30/2018	***-**-3749 - DEPEYSTER, ACCOUNT #: 02514983539	OPPENHEIMER SMALL & MID CAP VALUE F BUY 0 Units @0.0000	0.00	1.22	0.00	1.22	88.0	1.07
09/30/2018	***-**-633J - ACCOUNT #: 02514987422	OPPENHEIMER SMALL & MID CAP VALUE F BUY 0 Units @0.0000	0.00	3.43	0.00	3.43	88.0	3.02
09/30/2018	***-**-0767 - DOVI, ACCOUNT #: 02515003240	OPPENHEIMER SMALL & MID CAP VALUE F BUY 0 Units @0.0000	0.00	1.19	0.00	1.19	88.0	1.05
09/30/2018	***-**-0069 - KRECIDLO, ACCOUNT #: 02515019080	OPPENHEIMER SMALL & MID CAP VALUE F BUY 0 Units @0.0000	0.00	3.66	0.00	3.66	88.0	3.22
09/30/2018	***-**-960I - MASTRANGELO, ACCOUNT #: 02515019168	OPPENHEIMER SMALL & MID CAP VALUE F BUY 0 Units @0.0000	0.00	1.00	0.00	1.00	88.0	0.88



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## October 08, 2018

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b><u> OVERRIDE TRANSACTIONS (continued) </u></b>								
<b><u> BROKER: KURT GRUENEWALD (continued) </u></b>								
09/30/2018	***-**-1491 - GUNN, EDWARD	OPPENHEIMER SMALL & MID CAP VALUE F	0.00	3.83	0.00	3.83	88.0	3.37
	ACCOUNT #: 02515033226	BUY 0 Units @0.0000						
09/30/2018	***-**-09IN - BATES, CHRISTINE	OPPENHEIMER SMALL & MID CAP VALUE F	0.00	8.50	0.00	8.50	88.0	7.48
	ACCOUNT #: 02515036889	BUY 0 Units @0.0000						
09/30/2018	***-**-2603 - MASTRANGELO,	OPPENHEIMER SMALL & MID CAP VALUE F	0.00	1.29	0.00	1.29	88.0	1.14
	ACCOUNT #: 02515041168	BUY 0 Units @0.0000						
09/30/2018	***-**-69IN - EVANS, PAUL	OPPENHEIMER SMALL & MID CAP VALUE F	0.00	1.30	0.00	1.30	88.0	1.14
	ACCOUNT #: 02515049715	BUY 0 Units @0.0000						
09/30/2018	***-**-5375 - CARTER, LISA	OPPENHEIMER SMALL & MID CAP VALUE F	0.00	1.77	0.00	1.77	88.0	1.56
	ACCOUNT #: 02515060110	BUY 0 Units @0.0000						
09/30/2018	***-**-973I - LABAYEWSKI,	OPPENHEIMER STEELPATH MLP INC.FND C	0.00	0.92	0.00	0.92	88.0	0.81
	ACCOUNT #: 00100661541	BUY 0 Units @0.0000						
09/30/2018	***-**-391I - MASTRANGELO,	OPPENHEIMER STRATEGIC INCOME FD CL	0.00	6.01	0.00	6.01	88.0	5.29
	ACCOUNT #: 02307298712	BUY 0 Units @0.0000						
10/08/2018	***-**-2687 -	OPPENHEIMER TRAILS	0.00	5.02	0.00	5.02	88.0	4.42
	ACCOUNT #: 07006234286	BUY 0 Units @0.0000						
09/30/2018	***-**-0767 - DOVI,	OPPENHEIMER U.S. GOVT TR CLASS A	0.00	1.11	0.00	1.11	88.0	0.98
	ACCOUNT #: 02203626810	BUY 0 Units @0.0000						
09/30/2018	***-**-524I - SCALISE, JOSEPH	OPPENHEIMER U.S. GOVT TR CLASS A	0.00	0.65	0.00	0.65	88.0	0.57
	ACCOUNT #: 02203662824	BUY 0 Units @0.0000						
09/30/2018	***-**-5375 - CARTER, LISA	OPPENHEIMER U.S. GOVT TR CLASS A	0.00	0.61	0.00	0.61	88.0	0.54
	ACCOUNT #: 02203678653	BUY 0 Units @0.0000						
09/30/2018	***-**-31IO - WILLIAMSON, FBO	OPPENHEIMERSTEELPATH MLP INCOME CL	0.00	2.95	0.00	2.95	88.0	2.60
	ACCOUNT #: 00100355609	BUY 0 Units @0.0000						
09/30/2018	***-**-31IO - WILLIAMSON, FBO	PORT SERIES: CONS INV C	0.00	4.25	0.00	4.25	88.0	3.74
	ACCOUNT #: 05420233365	BUY 0 Units @0.0000						
09/30/2018	***-**-366I - GRUENEWALD,	PRUDENTIAL VA TRAILS 74429P110	0.00	146.06	0.00	146.06	88.0	128.53
	ACCOUNT #: E1407725	BUY 0 Units @0.0000						
10/02/2018	***-**-861I - SANGER, LAWRENCE	PUTNAM UTILITIES GROWTH AND INCOME	1,499.99	1.99	0.00	1.99	88.0	1.75
	ACCOUNT #: LSR011095	SELL 111 Units @13.5600						
09/30/2018	***-**-0069 - KRECIDLO,	QUEST BALANCED A	0.00	1.51	0.00	1.51	88.0	1.33
	ACCOUNT #: 02577505531	BUY 0 Units @0.0000						



# COMMISSION STATEMENT

## October 08, 2018

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b> OVERRIDE TRANSACTIONS (continued)</b>								
<b> <u>BROKER: KURT GRUENEWALD (continued)</u></b>								
09/30/2018	***-**-69IN - EVANS, PAUL	QUEST BALANCED A	0.00	0.92	0.00	0.92	88.0	0.81
	ACCOUNT #: 02577810451	BUY 0 Units @0.0000						
09/30/2018	***-**-78IN - FALES, JOAN	QUEST BALANCED FUND C	0.00	2.07	0.00	2.07	88.0	1.82
	ACCOUNT #: 02592293104	BUY 0 Units @0.0000						
09/30/2018	***-**-84IN - WARMUTH, ERIC	QUEST INTERNATIONAL VALUE FUND, INC	0.00	6.19	0.00	6.19	88.0	5.45
	ACCOUNT #: 02540085811	BUY 0 Units @0.0000						
09/30/2018	***-**-84IN - WARMUTH, ERIC	QUEST OPPORTUNITY VALUE A	0.00	8.40	0.00	8.40	88.0	7.39
	ACCOUNT #: 02361010152	BUY 0 Units @0.0000						
09/30/2018	***-**-973I - LABAYEWSKI,	REAL ESTATE FUND A	0.00	0.51	0.00	0.51	88.0	0.45
	ACCOUNT #: 05901046408	BUY 0 Units @0.0000						
09/30/2018	***-**-237I - MCCLUSKY, MARK	REAL ESTATE FUND A	0.00	2.77	0.00	2.77	88.0	2.44
	ACCOUNT #: 05901256948	BUY 0 Units @0.0000						
09/30/2018	***-**-3749 - DEPEYSTER,	REAL ESTATE FUND A	0.00	1.19	0.00	1.19	88.0	1.05
	ACCOUNT #: 05901261997	BUY 0 Units @0.0000						
09/30/2018	***-**-0767 - DOVI,	REAL ESTATE FUND A	0.00	1.08	0.00	1.08	88.0	0.95
	ACCOUNT #: 05901273712	BUY 0 Units @0.0000						
09/30/2018	***-**-0069 - KRECIDLO,	REAL ESTATE FUND A	0.00	1.35	0.00	1.35	88.0	1.19
	ACCOUNT #: 05901284228	BUY 0 Units @0.0000						
09/30/2018	***-**-960I - MASTRANGELO,	REAL ESTATE FUND A	0.00	0.63	0.00	0.63	88.0	0.55
	ACCOUNT #: 05901284382	BUY 0 Units @0.0000						
09/30/2018	***-**-1491 - GUNN, EDWARD	REAL ESTATE FUND A	0.00	1.18	0.00	1.18	88.0	1.04
	ACCOUNT #: 05901293732	BUY 0 Units @0.0000						
09/30/2018	***-**-09IN - BATES, CHRISTINE	REAL ESTATE FUND A	0.00	5.15	0.00	5.15	88.0	4.53
	ACCOUNT #: 05901296141	BUY 0 Units @0.0000						
09/30/2018	***-**-2603 - MASTRANGELO,	REAL ESTATE FUND A	0.00	1.14	0.00	1.14	88.0	1.00
	ACCOUNT #: 05901298583	BUY 0 Units @0.0000						
09/30/2018	***-**-69IN - EVANS, PAUL	REAL ESTATE FUND A	0.00	1.14	0.00	1.14	88.0	1.00
	ACCOUNT #: 05901303665	BUY 0 Units @0.0000						
09/30/2018	***-**-5375 - CARTER, LISA	REAL ESTATE FUND A	0.00	1.01	0.00	1.01	88.0	0.89
	ACCOUNT #: 05901309693	BUY 0 Units @0.0000						
09/30/2018	***-**-391I - MASTRANGELO,	REAL ESTATE FUND A	0.00	4.28	0.00	4.28	88.0	3.77
	ACCOUNT #: 05901309748	BUY 0 Units @0.0000						



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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b> OVERRIDE TRANSACTIONS (continued)</b>								
<b> <u>BROKER: KURT GRUENEWALD (continued)</u></b>								
10/02/2018	***-**-861I - SANGER, LAWRENCE	REAL ESTATE FUND A	2,200.00	1.99	0.00	1.99	88.0	1.75
	ACCOUNT #: LSR011095	SELL 90 Units @24.4100						
09/30/2018	***-**-1944 - BEHA, JAMES	REAL ESTATE FUND C	0.00	5.59	0.00	5.59	88.0	4.92
	ACCOUNT #: 05920222255	BUY 0 Units @0.0000						
09/30/2018	***-**-78IN - FALES, JOAN	REAL ESTATE FUND C	0.00	1.18	0.00	1.18	88.0	1.04
	ACCOUNT #: 05920299178	BUY 0 Units @0.0000						
10/01/2018	***-**-959I - FRANZ, PAUL	RESOURCE CREDIT INCOME FUND C	15,000.00	150.00	0.00	150.00	88.0	132.00
	ACCOUNT #: LSR010959	BUY 1337 Units @11.2200						
10/03/2018	***-**-861I - SANGER, LAWRENCE	RESOURCE CREDIT INCOME FUND C	6,000.00	42.00	0.00	42.00	88.0	36.96
	ACCOUNT #: LSR011095	BUY 535 Units @11.2200						
10/01/2018	***-**-959I - FRANZ, PAUL	RESOURCE REAL ESTATE-NFS	14,000.00	140.00	0.00	140.00	88.0	123.20
	ACCOUNT #: LSR010959	BUY 1347 Units @10.3900						
09/30/2018	***-**-84IN - WARMUTH, ERIC	RISING DIVIDENDS FUND A	0.00	3.74	0.00	3.74	88.0	3.29
	ACCOUNT #: 02252765829	BUY 0 Units @0.0000						
09/30/2018	***-**-973I - LABAYEWSKI,	RISING DIVIDENDS FUND A	0.00	1.45	0.00	1.45	88.0	1.28
	ACCOUNT #: 02254172036	BUY 0 Units @0.0000						
09/30/2018	***-**-237I - MCCLUSKY, MARK	RISING DIVIDENDS FUND A	0.00	3.60	0.00	3.60	88.0	3.17
	ACCOUNT #: 02254670435	BUY 0 Units @0.0000						
09/30/2018	***-**-3749 - DEPEYSTER,	RISING DIVIDENDS FUND A	0.00	1.29	0.00	1.29	88.0	1.14
	ACCOUNT #: 02254680236	BUY 0 Units @0.0000						
09/30/2018	***-**-0767 - DOVI,	RISING DIVIDENDS FUND A	0.00	1.64	0.00	1.64	88.0	1.44
	ACCOUNT #: 02254705239	BUY 0 Units @0.0000						
09/30/2018	***-**-0069 - KRECIDL0,	RISING DIVIDENDS FUND A	0.00	1.49	0.00	1.49	88.0	1.31
	ACCOUNT #: 02254728647	BUY 0 Units @0.0000						
09/30/2018	***-**-960I - MASTRANGELO,	RISING DIVIDENDS FUND A	0.00	1.43	0.00	1.43	88.0	1.26
	ACCOUNT #: 02254729032	BUY 0 Units @0.0000						
09/30/2018	***-**-09IN - BATES, CHRISTINE	RISING DIVIDENDS FUND A	0.00	12.65	0.00	12.65	88.0	11.13
	ACCOUNT #: 02254763429	BUY 0 Units @0.0000						
09/30/2018	***-**-2603 - MASTRANGELO,	RISING DIVIDENDS FUND A	0.00	1.29	0.00	1.29	88.0	1.14
	ACCOUNT #: 02254772636	BUY 0 Units @0.0000						
09/30/2018	***-**-524I - SCALISE, JOSEPH	RISING DIVIDENDS FUND A	0.00	2.83	0.00	2.83	88.0	2.49
	ACCOUNT #: 02254781183	BUY 0 Units @0.0000						



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<b> OVERRIDE TRANSACTIONS (continued) </b>								
<b> <u>BROKER: KURT GRUENEWALD (continued)</u> </b>								
09/30/2018	***-**-391I - MASTRANGELO, ACCOUNT #: 02254799399	RISING DIVIDENDS FUND A BUY 0 Units @0.0000	0.00	12.86	0.00	12.86	88.0	11.32
09/30/2018	***-**-31IR - HARTZ, CLAUDIA ACCOUNT #: 02254799421	RISING DIVIDENDS FUND A BUY 0 Units @0.0000	0.00	4.28	0.00	4.28	88.0	3.77
09/30/2018	***-**-5375 - CARTER, LISA ACCOUNT #: 02254813776	RISING DIVIDENDS FUND A BUY 0 Units @0.0000	0.00	2.83	0.00	2.83	88.0	2.49
10/02/2018	***-**-861I - SANGER, LAWRENCE ACCOUNT #: LSR011095	RISING DIVIDENDS FUND A SELL 52 Units @20.9600	1,100.00	1.99	0.00	1.99	88.0	1.75
09/30/2018	***-**-53RI - FALCHI, VALERIE ACCOUNT #: 03551357917	ROCH. LIMITED TERM NEW YORK MUNICI BUY 0 Units @0.0000	0.00	0.74	0.00	0.74	88.0	0.65
09/30/2018	***-**-3749 - DEPEYSTER, ACCOUNT #: 03551386715	ROCH. LIMITED TERM NEW YORK MUNICI BUY 0 Units @0.0000	0.00	0.71	0.00	0.71	88.0	0.62
09/30/2018	***-**-78IN - FALES, JOAN ACCOUNT #: 03570632181	ROCH. LIMITED TERM NEW YORK MUNICI BUY 0 Units @0.0000	0.00	1.55	0.00	1.55	88.0	1.36
09/30/2018	***-**-78IN - FALES, JOAN ACCOUNT #: 02931809830	SENIOR FLOATING RATE FUND C BUY 0 Units @0.0000	0.00	1.34	0.00	1.34	88.0	1.18
09/30/2018	***-**-96IN - NESSIA, BONNIE ACCOUNT #: 02931827254	SENIOR FLOATING RATE FUND C BUY 0 Units @0.0000	0.00	6.67	0.00	6.67	88.0	5.87
09/30/2018	***-**-31IO - WILLIAMSON, FBO ACCOUNT #: 07230230516	SMALL & MID-CAP GRWTH FND C BUY 0 Units @0.0000	0.00	4.01	0.00	4.01	88.0	3.53
09/30/2018	***-**-1944 - BEHA, JAMES ACCOUNT #: 02531057771	SMALL- & MID- CAP VALUE FUND C BUY 0 Units @0.0000	0.00	15.16	0.00	15.16	88.0	13.34
09/30/2018	***-**-78IN - FALES, JOAN ACCOUNT #: 02322752145	STRATEGIC INCOME FUND C BUY 0 Units @0.0000	0.00	1.60	0.00	1.60	88.0	1.41
09/30/2018	***-**-524I - SCALISE, JOSEPH ACCOUNT #: 02220585310	U.S. GOVERNMENT TRUST C BUY 0 Units @0.0000	0.00	4.30	0.00	4.30	88.0	3.78
10/02/2018	***-**-614J - BUSHEY, MATTHEW ACCOUNT #: LSR011256	UNILEVER PLC ADS-EA REPR 1 ORD GPB0 SELL 67 Units @54.6900	3,664.23	41.15	0.00	41.15	88.0	36.21
* KURT GRUENEWALD SUBTOTAL *			\$272,091.92	\$4,887.82	\$0.00	\$4,887.82		\$4,301.32
*** OVERRIDE TRANSACTIONS TOTAL ***			\$272,091.92	\$4,887.82	\$0.00	\$4,887.82		\$4,301.32



**BROKER #: A76**  
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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
BROKER COMMISSION TOTALS								
						Broker Transactions		\$4,343.95
						Split Transactions		\$0.00
						Override Transactions		\$4,301.32
						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		\$8,645.27
						Year-to-date Earnings		\$215,670.11