



# COMMISSION STATEMENT

## October 01, 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><u>BROKER TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: MUTUAL FUNDS</u></b>								
09/17/2018	***-**-817I - WADSWORTH, ACCOUNT #: 04715332428	ALLIANCE BERNSTEIN LARGE-CAP GROWTH BUY 1 Units @40.4400	50.00	2.00	0.00	2.00	88.0	1.76
09/26/2018	***-**-57IO - MATTHEWS, ACCOUNT #: LSR012822	AMERICAN FUNDS MORTGAGE FD CL C BUY 1287 Units @9.7100	12,500.00	125.00	18.00	107.00	88.0	94.16
09/26/2018	***-**-892I - O'BRIEN, ANDREA ACCOUNT #: LSR012854	AMERICAN FUNDS MORTGAGE FD CL C BUY 628 Units @9.7100	6,100.00	79.00	18.00	61.00	88.0	53.68
09/25/2018	***-**-594I - MINER, MARY ACCOUNT #: LSR012744	AMERICAN HIGH-INCOME TRUST-C BUY 2439 Units @10.2500	25,000.00	268.00	18.00	250.00	88.0	220.00
09/27/2018	***-**-03TR - BOSHART, PEGGY ACCOUNT #: LSR011743	LORD ABBETT SHORT DURATION INCOME C SELL 239 Units @4.1900	1,000.00	18.00	18.00	0.00	88.0	0.00
09/26/2018	***-**-57IO - MATTHEWS, ACCOUNT #: LSR012822	RESOURCE REAL ESTATE-NFS BUY 1063 Units @10.3500	11,000.00	128.00	18.00	110.00	88.0	96.80
<b>* MUTUAL FUNDS SUBTOTAL *</b>			<b>\$55,650.00</b>	<b>\$620.00</b>	<b>\$90.00</b>	<b>\$530.00</b>		<b>\$466.40</b>
<b><u>PRODUCT CATEGORY: STOCKS</u></b>								
09/24/2018	***-**-580I - GRIFFITH, DAVID ACCOUNT #: LSF000295	DENBURY RES INC DEL COM USD0.001 SELL 500 Units @6.1400	3,070.00	9.90	13.99	-4.09	100.0	-4.09
09/25/2018	***-**-361J - ALOISIO, ACCOUNT #: LSR010886	DENBURY RES INC DEL COM USD0.001 SELL 600 Units @6.2200	3,732.00	72.49	27.00	45.49	88.0	40.03
09/25/2018	***-**-753I - SABANOSH, ALAN ACCOUNT #: LSR010909	DENBURY RES INC DEL COM USD0.001 SELL 1000 Units @6.2400	6,240.00	97.49	35.00	62.49	88.0	54.99
09/26/2018	***-**-474J - HAGAN JR, ACCOUNT #: LSR010993	DENBURY RES INC DEL COM USD0.001 SELL 500 Units @6.1800	3,090.00	57.49	25.00	32.49	88.0	28.59
09/26/2018	***-**-94IN - MINER, MARY ACCOUNT #: LSR012743	GENESIS HEALTHCARE INC CL A COM ISI BUY 2000 Units @1.3200	2,640.00	49.99	55.00	-5.01	100.0	-5.01
09/26/2018	***-**-24TR - SCOTELLARO, L ACCOUNT #: LSR010973	HESS CORP COM SELL 30 Units @70.6000	2,118.00	40.49	15.60	24.89	88.0	21.90
09/26/2018	***-**-24TR - SCOTELLARO, L ACCOUNT #: LSR010973	HESS CORP COM SELL 20 Units @70.6000	1,412.00	27.00	0.40	26.60	88.0	23.41
09/26/2018	***-**-94IN - MINER, MARY ACCOUNT #: LSR012743	NATIONAL GRID SPON ADR EACH REP 5 O BUY 100 Units @50.8900	5,089.00	67.49	17.00	50.49	88.0	44.43
09/26/2018	***-**-073I - WHITEFORD, DEBRA ACCOUNT #: LSR012810	NATIONAL GRID SPON ADR EACH REP 5 O BUY 100 Units @50.5580	5,055.80	57.49	17.00	40.49	88.0	35.63



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<b>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: STOCKS (continued)</b>								
09/26/2018	***-**-57IO - MATTHEWS, ACCOUNT #: LSR012822	NATIONAL GRID SPON ADR EACH REP 5 O BUY 50 Units @50.7150	2,535.75	29.16	16.00	13.16	88.0	11.58
09/26/2018	***-**-57IO - MATTHEWS, ACCOUNT #: LSR012822	NATIONAL GRID SPON ADR EACH REP 5 O BUY 100 Units @50.7150	5,071.50	58.33	2.00	56.33	88.0	49.57
09/26/2018	***-**-49IN - SCOTELLARO III, ACCOUNT #: LSR011680	STEIN MART INC COM BUY 2000 Units @2.1300	4,260.00	49.99	18.00	31.99	88.0	28.15
09/26/2018	***-**-474J - HAGAN JR, ACCOUNT #: LSR010993	VALE S.A. SPONS ADR REPR 1 COM NPV SELL 62 Units @15.1500	939.30	20.66	16.24	4.42	88.0	3.89
09/26/2018	***-**-474J - HAGAN JR, ACCOUNT #: LSR010993	VALE S.A. SPONS ADR REPR 1 COM NPV SELL 88 Units @15.1500	1,333.20	29.33	1.76	27.57	88.0	24.26
09/26/2018	***-**-94IN - MINER, MARY ACCOUNT #: LSR012743	WESTPAC BANKING CORPORATION ADR(EAC BUY 250 Units @20.0900	5,022.50	67.49	20.00	47.49	88.0	41.79
* STOCKS SUBTOTAL *			\$51,609.05	\$734.79	\$279.99	\$454.80		\$399.12
<b>PRODUCT CATEGORY: VARIABLE ANNUITIES</b>								
10/01/2018	***-**-201O - GAUTHIER, SHEET ACCOUNT #: MM828693	MASS MUTUAL VA RENEWALS BUY 1 Units @0.0000	0.00	24.53	0.00	24.53	88.0	21.59
10/01/2018	***-**-80IN - GRIFFITH, DAVID ACCOUNT #: MM834388	MASS MUTUAL VA RENEWALS BUY 1 Units @0.0000	0.00	2.72	0.00	2.72	88.0	2.39
* VARIABLE ANNUITIES SUBTOTAL *			\$0.00	\$27.25	\$0.00	\$27.25		\$23.98
<b>PRODUCT CATEGORY: 529 PLAN</b>								
09/28/2018	***-**-29IO - LORUSSO, VINCENT ACCOUNT #: 77089153301	NY 529 ADDITIONAL DEPOSIT BUY 0 Units @0.0000	50.00	0.50	0.00	0.50	88.0	0.44
09/28/2018	***-**-225P - DAMSKY, CYNTHIA	NY 529 ADDITIONAL DEPOSIT BUY 0 Units @0.0000	50.00	0.50	0.00	0.50	88.0	0.44
09/28/2018	***-**-0862 - REDMOND, EILEEN ACCOUNT #: 77172702501	NY 529 ADDITIONAL DEPOSIT BUY 0 Units @0.0000	75.00	0.77	0.00	0.77	88.0	0.68
09/28/2018	***-**-93JT - WADSWORTH, ACCOUNT #: 77296639001	NY 529 ADDITIONAL DEPOSIT BUY 0 Units @0.0000	100.00	4.05	0.00	4.05	88.0	3.56
09/28/2018	***-**-0862 - REDMOND, EILEEN ACCOUNT #: 77519113701	NY 529 ADDITIONAL DEPOSIT BUY 0 Units @0.0000	50.00	0.50	0.00	0.50	88.0	0.44



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<b><u>BROKER TRANSACTIONS (continued)</u></b>								
<b><u>PRODUCT CATEGORY: 529 PLAN (continued)</u></b>								
09/28/2018	***-**-804I - RIEBEN, ANNE	NY 529 ADDITIONAL DEPOSIT	50.00	0.50	0.00	0.50	88.0	0.44
	ACCOUNT #: 77923466801	BUY 0 Units @0.0000						
		<b>* 529 PLAN SUBTOTAL *</b>	<b>\$375.00</b>	<b>\$6.82</b>	<b>\$0.00</b>	<b>\$6.82</b>		<b>\$6.00</b>
		<b>*** BROKER TRANSACTIONS TOTAL ***</b>	<b>\$107,634.05</b>	<b>\$1,388.86</b>	<b>\$369.99</b>	<b>\$1,018.87</b>		<b>\$895.50</b>

### OVERRIDE TRANSACTIONS

#### **BROKER: KURT GRUENEWALD**

09/28/2018	***-**-86IN - LEE, KEVIN	ALLIANZ TRAILS 018812727	0.00	68.22	0.00	68.22	88.0	60.03
	ACCOUNT #: GAX00761	BUY 0 Units @0.0000						
09/26/2018	***-**-0802 - RHYMESTINE,	AMERICAN FUNDS MORTGAGE FD CL C	15,000.00	150.00	0.00	150.00	88.0	132.00
	ACCOUNT #: LSR012677	BUY 1545 Units @9.7100						
09/26/2018	***-**-63TR - EVANS, AUDREY J	BRISTOL MYERS SQUIBB UNSOLICITED OR	5,066.78	60.85	0.00	60.85	88.0	53.55
	ACCOUNT #: LSR011036	SELL 82 Units @61.7900						
09/25/2018	***-**-663I - LASCALA, DEBORAH	CAPITAL WORLD BOND FUND-C	15,000.00	150.00	0.00	150.00	88.0	132.00
	ACCOUNT #: LSR012790	BUY 794 Units @18.9000						
09/26/2018	***-**-805X - GATES, ROGER	CION ARES DIVERSIFIED CREDIT C	10,000.00	100.00	0.00	100.00	88.0	88.00
	ACCOUNT #: LSR012690	BUY 388 Units @25.7900						
09/26/2018	***-**-05IN - GATES, ROGER	CION ARES DIVERSIFIED CREDIT C	19,999.99	200.00	0.00	200.00	88.0	176.00
	ACCOUNT #: LSR012771	BUY 775 Units @25.7900						
09/26/2018	***-**-8901 - GURDO, ANTHONY	FUNDAMENTAL INVESTORS-C	150.00	1.50	0.00	1.50	88.0	1.32
	ACCOUNT #: 00087491111	BUY 2 Units @64.9300						
09/26/2018	***-**-05IN - GATES, ROGER	GILEAD SCIENCES INC UNSOLICITED ORD	5,562.60	83.53	0.00	83.53	88.0	73.51
	ACCOUNT #: LSR012771	SELL 73 Units @76.2000						
09/26/2018	***-**-366I - GRUENEWALD,	INTEGRATED CANNABIS CO INC COM NPV	455.00	4.49	0.00	4.49	88.0	3.95
	ACCOUNT #: LSR010989	BUY 500 Units @0.9100						
09/25/2018	***-**-663I - LASCALA, DEBORAH	MAIN STREET FUND C	10,000.02	100.00	0.00	100.00	88.0	88.00
	ACCOUNT #: LSR012790	BUY 194 Units @51.4600						
09/26/2018	***-**-15IN - PENDRAK, JOHN	NATIONAL GRID SPON ADR EACH REP 5 O	5,089.00	41.33	0.00	41.33	88.0	36.37
	ACCOUNT #: LSR010948	BUY 100 Units @50.8900						
09/26/2018	***-**-15IN - PENDRAK, JOHN	NATIONAL GRID SPON ADR EACH REP 5 O	2,544.50	28.16	0.00	28.16	88.0	24.78
	ACCOUNT #: LSR010948	BUY 50 Units @50.8900						



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<b> OVERRIDE TRANSACTIONS (continued) </b>								
<b> <u>BROKER: KURT GRUENEWALD (continued)</u> </b>								
09/26/2018	***-**-851J - BLAKE, JAMES	NATIONAL GRID SPON ADR EACH REP 5 O	5,066.80	50.49	0.00	50.49	88.0	44.43
	ACCOUNT #: LSR012393	BUY 100 Units @50.6680						
09/28/2018	***-**-0767 - DOVI,	NY 529 ADDITIONAL DEPOSIT	25.00	0.25	0.00	0.25	88.0	0.22
	ACCOUNT #: 77579193101	BUY 0 Units @0.0000						
09/28/2018	***-**-473J - HUSTON,	NY 529 ADDITIONAL DEPOSIT	400.00	4.00	0.00	4.00	88.0	3.52
	ACCOUNT #: 77852732401	BUY 0 Units @0.0000						
09/25/2018	***-**-663I - LASCALA, DEBORAH	OPPENHEIMER RISING DIVIDENDS FUND C	11,999.99	120.00	0.00	120.00	88.0	105.60
	ACCOUNT #: LSR012790	BUY 678 Units @17.6900						
09/26/2018	***-**-63TR - EVANS, AUDREY J	PUTNAM GLOBAL SECTOR FUND CL A	2,000.00	75.00	0.00	75.00	88.0	66.00
	ACCOUNT #: LSR011036	BUY 151 Units @13.2700						
09/25/2018	***-**-43IN - FRANZ, WAYNE	RESOURCE CREDIT INCOME FUND C	22,500.00	225.00	0.00	225.00	88.0	198.00
	ACCOUNT #: LSR012636	BUY 2004 Units @11.2300						
09/26/2018	***-**-0802 - RHYMESTINE,	RESOURCE CREDIT INCOME FUND C	20,000.00	200.00	0.00	200.00	88.0	176.00
	ACCOUNT #: LSR012677	BUY 1781 Units @11.2300						
09/26/2018	***-**-851I - BLAKE, JAMES	RESOURCE REAL ESTATE-NFS	10,000.00	100.00	0.00	100.00	88.0	88.00
	ACCOUNT #: LSR012390	BUY 966 Units @10.3500						
09/26/2018	***-**-51IR - BLAKE, JAMES	RESOURCE REAL ESTATE-NFS	10,500.00	105.00	0.00	105.00	88.0	92.40
	ACCOUNT #: LSR012391	BUY 1014 Units @10.3500						
09/26/2018	***-**-0802 - RHYMESTINE,	RESOURCE REAL ESTATE-NFS	20,000.00	200.00	0.00	200.00	88.0	176.00
	ACCOUNT #: LSR012677	BUY 1932 Units @10.3500						
09/24/2018	***-**-366I - GRUENEWALD,	TILRAY INC COM USD0.0001 CLASS 2	1,999.14	22.72	0.00	22.72	88.0	19.99
	ACCOUNT #: LSR010989	SELL 19 Units @105.2180						
09/26/2018	***-**-05IN - GATES, ROGER	UNION PACIFIC CORP UNSOLICITED ORDE	5,397.81	87.46	0.00	87.46	88.0	76.96
	ACCOUNT #: LSR012771	SELL 33 Units @163.5700						
09/26/2018	***-**-05IN - GATES, ROGER	UNION PACIFIC CORP UNSOLICITED ORDE	20,773.39	394.33	0.00	394.33	88.0	347.01
	ACCOUNT #: LSR012771	SELL 127 Units @163.5700						
09/26/2018	***-**-851I - BLAKE, JAMES	VANGUARD TARGET RETIREMENT 2050 INV	8,986.96	1.99	0.00	1.99	88.0	1.75
	ACCOUNT #: LSR012390	SELL 237 Units @37.8400						
09/26/2018	***-**-851J - BLAKE, JAMES	VANGUARD TOTAL STOCK MARKET INVESTO	2,221.74	1.99	0.00	1.99	88.0	1.75
	ACCOUNT #: LSR012393	SELL 30 Units @72.9300						
* KURT GRUENEWALD SUBTOTAL *			<b>\$230,738.72</b>	<b>\$2,576.31</b>	<b>\$0.00</b>	<b>\$2,576.31</b>		<b>\$2,267.14</b>
*** OVERRIDE TRANSACTIONS TOTAL ***			<b>\$230,738.72</b>	<b>\$2,576.31</b>	<b>\$0.00</b>	<b>\$2,576.31</b>		<b>\$2,267.14</b>



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<div>BROKER COMMISSION TOTALS</div>								
						Broker Transactions		\$895.50
						Split Transactions		\$0.00
						Override Transactions		\$2,267.14
						Adjustments		\$0.00
						Payroll Draw		\$0.00
						Base Salary		\$0.00
						Prior Period Balance		\$0.00
						FINRA Assessment		\$0.00
						SIPC Assessment		\$0.00
						Net Commission Earned		\$3,162.64
						Year-to-date Earnings		\$207,024.84