



# COMMISSION STATEMENT

August 27, 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>								
08/20/2018	***-**-788I - ALBARRAN, CARLOS	FUNDAMENTAL INVESTORS-C	100.00	1.00	0.00	1.00	88.0	0.88
	ACCOUNT #: 00085186008	BUY 2 Units @63.6600						
08/24/2018	***-**-90IR - PICKARD, KAREN	MARSICO FOCUS	3,966.92	19.99	18.00	1.99	88.0	1.75
	ACCOUNT #: LSR010947	SELL 198 Units @20.0700						
08/20/2018	***-**-686I - STRUMPFLE, MARK	MFS GLOBAL TOTAL RETURN FUND-B	75.00	3.00	0.00	3.00	88.0	2.64
	ACCOUNT #: 00060352385	BUY 4 Units @18.1200						
08/21/2018	***-**-499X - LARA M TUR, SPS	MFS GLOBAL TOTAL RETURN FUND-B	2,000.01	18.00	18.00	0.00	88.0	0.00
	ACCOUNT #: LSR011400	SELL 110 Units @18.1700						
08/21/2018	***-**-423I - SAVICKI, RICHARD	RESOURCE CREDIT INCOME FUND C	25,000.00	268.00	18.00	250.00	88.0	220.00
	ACCOUNT #: LSR010889	BUY 2207 Units @11.3300						
08/24/2018	***-**-077I - GAUTHIER, LOUIS	RESOURCE CREDIT INCOME FUND C	15,000.00	168.00	18.00	150.00	88.0	132.00
	ACCOUNT #: LSR010901	BUY 1324 Units @11.3300						
08/24/2018	***-**-425I - PERRITANO,	RESOURCE CREDIT INCOME FUND C	15,000.00	168.00	18.00	150.00	88.0	132.00
	ACCOUNT #: LSR010922	BUY 1324 Units @11.3300						
08/24/2018	***-**-54IN - THIBAUT, MS	RESOURCE CREDIT INCOME FUND C	8,000.00	98.00	18.00	80.00	88.0	70.40
	ACCOUNT #: LSR011080	BUY 706 Units @11.3300						
08/24/2018	***-**-661I - GORCZYNSKI,	RESOURCE CREDIT INCOME FUND C	12,000.00	138.00	18.00	120.00	88.0	105.60
	ACCOUNT #: LSR011221	BUY 1059 Units @11.3300						
08/20/2018	***-**-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 @23.9000						
08/20/2018	***-**-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 @23.9000						
08/20/2018	***-**-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 @23.9000						
08/21/2018	***-**-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 @23.9100						
<b>* MUTUAL FUNDS SUBTOTAL *</b>			<b>\$82,038.09</b>	<b>\$899.91</b>	<b>\$126.00</b>	<b>\$773.91</b>		<b>\$681.03</b>



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<b><u>BROKER TRANSACTIONS (continued)</u></b>								
<b><u>PRODUCT CATEGORY: STOCKS</u></b>								
08/17/2018	***-**-59IN - MORGAN, WILLIAM ACCOUNT #: LSR010842	GENESIS HEALTHCARE INC CL A COM ISI BUY 1000 Units @1.5300	1,530.00	49.99	35.00	14.99	88.0	13.19
08/21/2018	***-**-76IN - BOSHART-LOWE, ACCOUNT #: LSR011840	GENESIS HEALTHCARE INC CL A COM ISI BUY 1300 Units @1.5600	2,028.00	49.99	41.00	8.99	88.0	7.91
08/17/2018	***-**-59IN - MORGAN, WILLIAM ACCOUNT #: LSR010842	NORDIC AMERICAN TANKERS LIMITE COM BUY 700 Units @2.0400	1,428.00	49.99	29.00	20.99	88.0	18.47
08/22/2018	***-**-361J - ALOISIO, ACCOUNT #: LSR010886	STEIN MART INC COM BUY 3000 Units @3.0000	9,000.00	177.49	18.00	159.49	88.0	140.35
08/22/2018	***-**-22IR - RIEBEN, HENRY ACCOUNT #: LSR010939	STEIN MART INC COM BUY 1500 Units @3.0100	4,515.00	77.49	18.00	59.49	88.0	52.35
08/22/2018	***-**-24TR - SCOTELLARO, L ACCOUNT #: LSR010973	STEIN MART INC COM BUY 1300 Units @3.0200	3,926.00	67.49	18.00	49.49	88.0	43.55
08/22/2018	***-**-474J - HAGAN JR, ACCOUNT #: LSR010993	STEIN MART INC COM BUY 2000 Units @3.0200	6,040.00	97.49	18.00	79.49	88.0	69.95
08/22/2018	***-**-01IN - HAGAN III, ACCOUNT #: LSR011014	STEIN MART INC COM BUY 1000 Units @3.0000	3,000.00	57.49	18.00	39.49	88.0	34.75
08/22/2018	***-**-450I - SPAETH, JACK ACCOUNT #: LSR011015	STEIN MART INC COM BUY 1100 Units @3.0200	3,322.00	67.49	18.00	49.49	88.0	43.55
08/22/2018	***-**-22IN - GRACIE, JULIA ACCOUNT #: LSR011019	STEIN MART INC COM BUY 2000 Units @3.0200	6,040.00	87.49	18.00	69.49	88.0	61.15
08/22/2018	***-**-94IN - MINER, MARY ACCOUNT #: LSR012743	STEIN MART INC COM BUY 3000 Units @3.0100	9,030.00	97.49	18.00	79.49	88.0	69.95
08/23/2018	***-**-94IN - MINER, MARY ACCOUNT #: LSR012743	UNITED TECHNOLOGIES CORP UNSOLICITE SELL 100 Units @132.4600	13,246.00	247.49	17.00	230.49	88.0	202.83
08/17/2018	***-**-59IN - MORGAN, WILLIAM ACCOUNT #: LSR010842	VALE S.A. SPONS ADR REPR 1 COM NPV SELL 200 Units @12.8400	2,568.00	49.99	19.00	30.99	88.0	27.27
08/23/2018	***-**-762I - STORSBERG, ACCOUNT #: LSR011688	VERIZON COMMUNICATIONS UNSOLICITED SELL 100 Units @54.1700	5,417.00	77.49	17.00	60.49	88.0	53.23
<b>* STOCKS SUBTOTAL *</b>			<b>\$71,090.00</b>	<b>\$1,254.86</b>	<b>\$302.00</b>	<b>\$952.86</b>		<b>\$838.50</b>



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<b>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</b>								
08/27/2018	***-**-753I - SABANOSH, ALAN	RESOURCE REAL ESTATE TRAILS	0.00	18.84	0.00	18.84	88.0	16.58
	ACCOUNT #: 20022581	BUY 0 Units @0.0000						
08/27/2018	***-**-61IN - FILEY, JOHN	RESOURCE REAL ESTATE TRAILS	0.00	19.45	0.00	19.45	88.0	17.12
		BUY 0 Units @0.0000						
08/27/2018	***-**-42IN - JENKINS, DAVID	RESOURCE REAL ESTATE TRAILS	0.00	8.95	0.00	8.95	88.0	7.88
	ACCOUNT #: 20032579	BUY 0 Units @0.0000						
08/27/2018	***-**-76IN - BOSHART-LOWE,	RESOURCE REAL ESTATE TRAILS	0.00	19.01	0.00	19.01	88.0	16.73
	ACCOUNT #: 20033053	BUY 0 Units @0.0000						
08/27/2018	***-**-599I - MCCARTHY, DONNA	RESOURCE REAL ESTATE TRAILS	0.00	10.64	0.00	10.64	88.0	9.36
	ACCOUNT #: 20033434	BUY 0 Units @0.0000						
08/27/2018	***-**-60IN - SCHRADER, KEVIN	RESOURCE REAL ESTATE TRAILS	0.00	14.37	0.00	14.37	88.0	12.65
	ACCOUNT #: 20021808	BUY 0 Units @0.0000						
08/27/2018	***-**-11IN - MOYLAN, TIMOTHY	RESOURCE REAL ESTATE TRAILS	0.00	10.77	0.00	10.77	88.0	9.48
	ACCOUNT #: 20022106	BUY 0 Units @0.0000						
08/27/2018	***-**-621I - DANIELS SR, JOHN	RESOURCE REAL ESTATE TRAILS	0.00	18.60	0.00	18.60	88.0	16.37
	ACCOUNT #: 20022107	BUY 0 Units @0.0000						
08/27/2018	***-**-01IN - HAGAN III,	RESOURCE REAL ESTATE TRAILS	0.00	18.60	0.00	18.60	88.0	16.37
	ACCOUNT #: 20022138	BUY 0 Units @0.0000						
08/27/2018	***-**-034J - NIKODEM, JOSEPH	RESOURCE REAL ESTATE TRAILS	0.00	23.52	0.00	23.52	88.0	20.70
		BUY 0 Units @0.0000						
<b>* MUTUAL FUND 12B1 TRAILS SUBTOTAL *</b>			<b>\$0.00</b>	<b>\$162.75</b>	<b>\$0.00</b>	<b>\$162.75</b>		<b>\$143.24</b>
<b>*** BROKER TRANSACTIONS TOTAL ***</b>			<b>\$153,128.09</b>	<b>\$2,317.52</b>	<b>\$428.00</b>	<b>\$1,889.52</b>		<b>\$1,662.77</b>

## OVERRIDE TRANSACTIONS

### BROKER: KURT GRUENEWALD

08/23/2018	***-**-43IN - FRANZ, WAYNE	ALTRIA GROUP INC COM	15,803.04	77.21	0.00	77.21	88.0	67.94
	ACCOUNT #: LSR012636	SELL 264 Units @59.8600						
08/17/2018	***-**-663I - LASCALA, DEBORAH	AMERICAN FUNDS MORTGAGE FD CL C	10,000.00	100.00	0.00	100.00	88.0	88.00
	ACCOUNT #: LSR012790	BUY 1020 Units @9.8000						
08/17/2018	***-**-663I - LASCALA, DEBORAH	AMERICAN MUTUAL FUND-C	9,999.99	100.00	0.00	100.00	88.0	88.00
	ACCOUNT #: LSR012790	BUY 240 Units @41.7000						



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<b> OVERRIDE TRANSACTIONS (continued)</b>								
<b> <u>BROKER: KURT GRUENEWALD (continued)</u></b>								
08/27/2018	***-**-6604 - REYNOLDS, DIANE	BLACKROCK TRAILS	0.00	4.07	0.00	4.07	88.0	3.58
	ACCOUNT #: 5290810273	BUY 0 Units @0.0000						
08/17/2018	***-**-663I - LASCALA, DEBORAH	EATON VANCE FLOATING RATE ADVANTAGE	10,000.00	100.00	0.00	100.00	88.0	88.00
	ACCOUNT #: LSR012790	BUY 915 Units @10.9300						
08/21/2018	***-**-366I - GRUENEWALD,	FORD MTR CO DEL COM UNSOLICITED ORD	985.00	10.85	0.00	10.85	88.0	9.55
	ACCOUNT #: LSR010989	SELL 100 Units @9.8500						
08/17/2018	***-**-663I - LASCALA, DEBORAH	INCOME FUND OF AMERICA CLASS C	10,000.00	100.00	0.00	100.00	88.0	88.00
	ACCOUNT #: LSR012790	BUY 436 Units @22.9200						
08/17/2018	***-**-663I - LASCALA, DEBORAH	LORD ABBETT SHORT DURATION INCOME C	15,000.00	150.00	0.00	150.00	88.0	132.00
	ACCOUNT #: LSR012790	BUY 3571 Units @4.2000						
08/15/2018	***-**-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 @19.5200						
08/17/2018	***-**-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 @18.0400						
08/20/2018	***-**-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 @18.1200						
08/20/2018	***-**-7617 - ESCHE, BEVERLY	MFS INTERNATIONAL NEW DISCOVERY FUN	50.00	2.00	0.00	2.00	88.0	1.76
	ACCOUNT #: 08191154979	BUY 1 Units @33.5800						
08/15/2018	***-**-213I - GRUENEWALD,	MFS NEW DISCOVERY FUND-B	100.00	4.00	0.00	4.00	88.0	3.52
	ACCOUNT #: 08190131132	BUY 4 Units @25.4600						
08/15/2018	***-**-213I - GRUENEWALD,	MFS TECHNOLOGY FUND-B	100.00	4.00	0.00	4.00	88.0	3.52
	ACCOUNT #: 08190131132	BUY 3 Units @38.0600						
08/20/2018	***-**-06IN - SATTERLY,	MFS TECHNOLOGY FUND-B	50.00	2.00	0.00	2.00	88.0	1.76
	ACCOUNT #: 08191173302	BUY 1 Units @38.1100						
08/15/2018	***-**-094I - CIRILLO, CARL	MFS UTILITIES FUND-B	35.00	1.40	0.00	1.40	88.0	1.23
	ACCOUNT #: 08190127967	BUY 2 Units @20.6000						
08/15/2018	***-**-606I - LEWIS, TAMARA	MFS UTILITIES FUND-B	50.00	2.00	0.00	2.00	88.0	1.76
	ACCOUNT #: 08191352846	BUY 2 Units @20.6000						
08/20/2018	***-**-7617 - ESCHE, BEVERLY	MFS UTILITIES FUND-B	50.00	2.00	0.00	2.00	88.0	1.76
	ACCOUNT #: 08191154979	BUY 2 Units @20.9400						
08/17/2018	***-**-663I - LASCALA, DEBORAH	MFS UTILITIES FUND-C	8,500.00	85.00	0.00	85.00	88.0	74.80
	ACCOUNT #: LSR012790	BUY 407 Units @20.8800						



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<b> OVERRIDE TRANSACTIONS (continued) </b>								
<b> <u>BROKER: KURT GRUENEWALD (continued)</u> </b>								
08/20/2018	***-**-366I - GRUENEWALD, ACCOUNT #: LSR010989	NETFLIX COM INC COM UNSOLICITED ORD SELL 50 Units @328.1000	16,405.00	164.05	0.00	164.05	88.0	144.36
08/20/2018	***-**-2663 - LASCALA, DEBORAH ACCOUNT #: LSR012791	PUTNAM ABSOLUTE RETURN 700 CL C BUY 657 Units @11.4100	7,500.00	75.00	0.00	75.00	88.0	66.00
08/20/2018	***-**-2663 - LASCALA, DEBORAH ACCOUNT #: LSR012791	PUTNAM CAPITAL SPECTRUM FUND CL C BUY 232 Units @32.3800	7,499.99	75.00	0.00	75.00	88.0	66.00
08/20/2018	***-**-2663 - LASCALA, DEBORAH ACCOUNT #: LSR012791	PUTNAM CONVERTIBLE SECURITIES CL C BUY 574 Units @26.1400	14,999.99	150.00	0.00	150.00	88.0	132.00
08/23/2018	***-**-43IN - FRANZ, WAYNE ACCOUNT #: LSR012636	PUTNAM CONVERTIBLE SECURITIES CL C BUY 454 Units @26.4100	11,999.99	120.00	0.00	120.00	88.0	105.60
08/20/2018	***-**-2663 - LASCALA, DEBORAH ACCOUNT #: LSR012791	PUTNAM EQUITY SPECTRUM FD CL C BUY 260 Units @38.4500	10,000.00	100.00	0.00	100.00	88.0	88.00
08/17/2018	***-**-2663 - LASCALA, DEBORAH ACCOUNT #: LSR012791	PUTNAM GROWTH OPPORTUNITIES FUND CL BUY 323 Units @30.9700	10,000.00	100.00	0.00	100.00	88.0	88.00
08/21/2018	***-**-261J - TRAVIS, HOLLY ACCOUNT #: LSR012772	RESOURCE CREDIT INCOME FUND C BUY 1765 Units @11.3300	20,000.00	200.00	0.00	200.00	88.0	176.00
08/27/2018	***-**-671I - EBERLEY, REID ACCOUNT #: 20021572	RESOURCE REAL ESTATE TRAILS BUY 0 Units @0.0000	0.00	14.12	0.00	14.12	88.0	12.43
08/27/2018	***-**-44IO - MAYO, DEBORAH ACCOUNT #: 020026000	RESOURCE REAL ESTATE TRAILS BUY 0 Units @0.0000	0.00	9.59	0.00	9.59	88.0	8.44
08/27/2018	***-**-524I - SCALISE, JOSEPH	RESOURCE REAL ESTATE TRAILS BUY 0 Units @0.0000	0.00	0.54	0.00	0.54	88.0	0.48
08/27/2018	***-**-15IN - PENDRAK, JOHN	RESOURCE REAL ESTATE TRAILS BUY 0 Units @0.0000	0.00	1.68	0.00	1.68	88.0	1.48
08/27/2018	***-**-960J - MASTRANGELO, ACCOUNT #: 20002467	RESOURCE REAL ESTATE TRAILS BUY 0 Units @0.0000	0.00	16.91	0.00	16.91	88.0	14.88
08/27/2018	***-**-44IO - MAYO, DEBORAH ACCOUNT #: 020026000	RESOURCE REAL ESTATE TRAILS BUY 0 Units @0.0000	0.00	25.64	0.00	25.64	88.0	22.56
08/27/2018	***-**-31IN - WARMUTH, ACCOUNT #: 20032739	RESOURCE REAL ESTATE TRAILS BUY 0 Units @0.0000	0.00	4.36	0.00	4.36	88.0	3.84
08/27/2018	***-**-531J - WILLIAMSON, ACCOUNT #: 20033096	RESOURCE REAL ESTATE TRAILS BUY 0 Units @0.0000	0.00	12.68	0.00	12.68	88.0	11.16



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<b> OVERRIDE TRANSACTIONS (continued) </b>								
<b> <u>BROKER: KURT GRUENEWALD (continued)</u> </b>								
08/27/2018	***-**-65IN - LAZIO, THOMAS	RESOURCE REAL ESTATE TRAILS	0.00	18.60	0.00	18.60	88.0	16.37
	ACCOUNT #: 20010459	BUY 0 Units @0.0000						
08/23/2018	***-**-43IN - FRANZ, WAYNE	RESOURCE REAL ESTATE-NFS	10,000.00	100.00	0.00	100.00	88.0	88.00
	ACCOUNT #: LSR012636	BUY 953 Units @10.4900						
08/22/2018	***-**-960J - MASTRANGELO,	STEIN MART INC COM	3,010.00	39.49	0.00	39.49	88.0	34.75
	ACCOUNT #: LSR010966	BUY 1000 Units @3.0100						
08/22/2018	***-**-31IO - WILLIAMSON, FBO	STEIN MART INC COM	6,040.00	59.49	0.00	59.49	88.0	52.35
	ACCOUNT #: LSR011172	BUY 2000 Units @3.0200						
08/20/2018	***-**-755P - SHEPPARD,	THE GROWTH FUND OF AMERICA-529C	50.00	0.50	0.00	0.50	88.0	0.44
	ACCOUNT #: 00084018452	BUY 1 Units @50.7700						
* KURT GRUENEWALD SUBTOTAL *			\$198,453.00	\$2,041.18	\$0.00	\$2,041.18		\$1,796.24
*** OVERRIDE TRANSACTIONS TOTAL ***			\$198,453.00	\$2,041.18	\$0.00	\$2,041.18		\$1,796.24

## BROKER COMMISSION TOTALS

Broker Transactions	\$1,662.77
Split Transactions	\$0.00
Override Transactions	\$1,796.24
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	\$3,459.01
Year-to-date Earnings	\$171,657.73