



# COMMISSION STATEMENT

## November 26, 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>								
11/19/2018	***-**-425I - PERRITANO, ACCOUNT #: LSR010922	AMERICAN FUNDS MORTGAGE FD CL C BUY 1543 Units @9.7200	15,000.00	168.00	18.00	150.00	88.0	132.00
11/23/2018	***-**-817I - WADSWORTH, ACCOUNT #: 00067441742	AMERICAN GLOBAL BALANCED CL C BUY 4 Units @30.0800	110.00	1.10	0.00	1.10	88.0	0.97
11/23/2018	***-**-2642 - BROWN, JEFFERY ACCOUNT #: 04000870734	AMERICAN GLOBAL BALANCED CL C BUY 2 Units @30.0800	75.00	0.75	0.00	0.75	88.0	0.66
11/05/2018	***-**-11IN - MOYLAN, TIMOTHY ACCOUNT #: 03222207458	CAPITAL APPRECIATION C BUY 0 Units @0.0000	6.40	0.06	0.00	0.06	88.0	0.05
11/19/2018	***-**-94IN - MINER, MARY ACCOUNT #: LSR012743	CAPITAL INCOME BUILDER CLASS C BUY 427 Units @58.6100	24,999.98	268.00	18.00	250.00	88.0	220.00
11/01/2018	***-**-8027 - MAXWELL, COLLEEN ACCOUNT #: 07621429626	CASH RESERVES C BUY 0 Units @0.0000	330.25	0.83	0.00	0.83	88.0	0.73
11/01/2018	***-**-7473 - SCOTELLARO, ACCOUNT #: 08370720038	EQUITY INCOME FUND, INC. C BUY 0 Units @0.0000	25.00	0.25	0.00	0.25	88.0	0.22
11/05/2018	***-**-0457 - STAGLIANO, GINA ACCOUNT #: 08370450769	EQUITY INCOME FUND, INC. C BUY 0 Units @0.0000	5.44	0.05	0.00	0.05	88.0	0.04
11/05/2018	***-**-11IN - MOYLAN, TIMOTHY ACCOUNT #: 08370450780	EQUITY INCOME FUND, INC. C BUY 0 Units @0.0000	9.60	0.10	0.00	0.10	88.0	0.09
11/14/2018	***-**-0457 - STAGLIANO, GINA ACCOUNT #: 08370450769	EQUITY INCOME FUND, INC. C BUY 0 Units @0.0000	5.44	0.05	0.00	0.05	88.0	0.04
11/14/2018	***-**-7473 - SCOTELLARO, ACCOUNT #: 08370720038	EQUITY INCOME FUND, INC. C BUY 0 Units @0.0000	25.00	0.25	0.00	0.25	88.0	0.22
11/20/2018	***-**-73IR - WHITEFORD, DEBRA ACCOUNT #: LSR012802	FRK STRAT INC FND - CL A SELL 427 Units @9.3900	4,008.01	19.99	18.00	1.99	88.0	1.75
11/23/2018	***-**-788I - ALBARRAN, CARLOS ACCOUNT #: 00085186008	FUNDAMENTAL INVESTORS-C BUY 2 Units @58.8300	100.00	1.00	0.00	1.00	88.0	0.88
11/05/2018	***-**-0457 - STAGLIANO, GINA ACCOUNT #: 02171646348	GLOBAL OPPORTUNITIES FUND C BUY 0 Units @0.0000	5.42	0.05	0.00	0.05	88.0	0.04
11/05/2018	***-**-11IN - MOYLAN, TIMOTHY ACCOUNT #: 02171646359	GLOBAL OPPORTUNITIES FUND C BUY 0 Units @0.0000	6.40	0.06	0.00	0.06	88.0	0.05
11/14/2018	***-**-0457 - STAGLIANO, GINA ACCOUNT #: 02171646348	GLOBAL OPPORTUNITIES FUND C BUY 0 Units @0.0000	5.42	0.05	0.00	0.05	88.0	0.04



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<b>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: MUTUAL FUNDS (continued)</b>								
11/20/2018	***-**-073I - WHITEFORD, DEBRA	INCOME FUND OF AMERICA CLASS C	15,000.00	168.00	18.00	150.00	88.0	132.00
	ACCOUNT #: LSR012810	BUY 683 Units @21.9700						
11/12/2018	***-**-686I - STRUMPFLER, MARK	MFS UTILITIES FUND-B	75.00	3.00	0.00	3.00	88.0	2.64
	ACCOUNT #: 00060352385	BUY 4 Units @20.2900						
11/15/2018	***-**-497I - MARTIN, KATHLEEN	OPPENHEIMER ACTIVE ALLOCATION FUND	50.00	0.50	0.00	0.50	88.0	0.44
	ACCOUNT #: 05520998470	BUY 0 Units @0.0000						
11/13/2018	***-**-91IN - RICHARDSON,	OPPENHEIMER CUSIP 68385X208	35.00	0.35	0.00	0.35	88.0	0.31
	ACCOUNT #: 00100011925	BUY 0 Units @0.0000						
11/05/2018	***-**-0457 - STAGLIANO, GINA	OPPENHEIMER DEV MARKETS FD CLASS C	5.42	0.05	0.00	0.05	88.0	0.04
	ACCOUNT #: 07871984301	BUY 0 Units @0.0000						
11/13/2018	***-**-91IN - RICHARDSON,	OPPENHEIMER DEV MARKETS FD CLASS C	35.00	0.35	0.00	0.35	88.0	0.31
	ACCOUNT #: 07872241470	BUY 0 Units @0.0000						
11/14/2018	***-**-0457 - STAGLIANO, GINA	OPPENHEIMER DEV MARKETS FD CLASS C	5.42	0.05	0.00	0.05	88.0	0.04
	ACCOUNT #: 07871984301	BUY 0 Units @0.0000						
11/13/2018	***-**-91IN - RICHARDSON,	OPPENHEIMER EMERG MKTS LOCAL DEBT F	35.00	0.35	0.00	0.35	88.0	0.31
	ACCOUNT #: 00100064439	BUY 0 Units @0.0000						
11/13/2018	***-**-91IN - RICHARDSON,	OPPENHEIMER GLBL HIGH YIELD FUND C	35.00	0.35	0.00	0.35	88.0	0.31
	ACCOUNT #: 00100025895	BUY 0 Units @0.0000						
11/05/2018	***-**-0457 - STAGLIANO, GINA	OPPENHEIMER GLOBAL CLASS C	5.42	0.05	0.00	0.05	88.0	0.04
	ACCOUNT #: 03322653871	BUY 0 Units @0.0000						
11/05/2018	***-**-11IN - MOYLAN, TIMOTHY	OPPENHEIMER GLOBAL CLASS C	3.20	0.03	0.00	0.03	88.0	0.03
	ACCOUNT #: 03322653882	BUY 0 Units @0.0000						
11/14/2018	***-**-0457 - STAGLIANO, GINA	OPPENHEIMER GLOBAL CLASS C	5.42	0.05	0.00	0.05	88.0	0.04
	ACCOUNT #: 03322653871	BUY 0 Units @0.0000						
11/13/2018	***-**-91IN - RICHARDSON,	OPPENHEIMER GLOBAL VALUE FUND CL C	35.00	0.35	0.00	0.35	88.0	0.31
	ACCOUNT #: 06890080641	BUY 0 Units @0.0000						
11/01/2018	***-**-7473 - SCOTELLARO,	OPPENHEIMER INTERNATIONAL DIVERSIFI	25.00	0.25	0.00	0.25	88.0	0.22
	ACCOUNT #: 01971001154	BUY 0 Units @0.0000						
11/05/2018	***-**-0457 - STAGLIANO, GINA	OPPENHEIMER INTERNATIONAL DIVERSIFI	8.14	0.08	0.00	0.08	88.0	0.07
	ACCOUNT #: 01970849112	BUY 0 Units @0.0000						
11/05/2018	***-**-11IN - MOYLAN, TIMOTHY	OPPENHEIMER INTERNATIONAL DIVERSIFI	12.80	0.13	0.00	0.13	88.0	0.11
	ACCOUNT #: 01970849123	BUY 0 Units @0.0000						



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<b>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: MUTUAL FUNDS (continued)</b>								
11/14/2018	***-**-0457 - STAGLIANO, GINA	OPPENHEIMER INTERNATIONAL DIVERSIFI	8.14	0.08	0.00	0.08	88.0	0.07
	ACCOUNT #: 01970849112	BUY 0 Units @0.0000						
11/14/2018	***-**-7473 - SCOTELLARO,	OPPENHEIMER INTERNATIONAL DIVERSIFI	25.00	0.25	0.00	0.25	88.0	0.22
	ACCOUNT #: 01971001154	BUY 0 Units @0.0000						
11/05/2018	***-**-0457 - STAGLIANO, GINA	OPPENHEIMER RISING DIVIDENDS FUND C	8.14	0.08	0.00	0.08	88.0	0.07
	ACCOUNT #: 02270899492	BUY 0 Units @0.0000						
11/05/2018	***-**-11IN - MOYLAN, TIMOTHY	OPPENHEIMER RISING DIVIDENDS FUND C	12.80	0.13	0.00	0.13	88.0	0.11
	ACCOUNT #: 02270899503	BUY 0 Units @0.0000						
11/14/2018	***-**-0457 - STAGLIANO, GINA	OPPENHEIMER RISING DIVIDENDS FUND C	8.14	0.08	0.00	0.08	88.0	0.07
	ACCOUNT #: 02270899492	BUY 0 Units @0.0000						
11/15/2018	***-**-497I - MARTIN, KATHLEEN	PORT SERIES: CONS INV C	50.00	0.50	0.00	0.50	88.0	0.44
	ACCOUNT #: 05420240427	BUY 0 Units @0.0000						
11/05/2018	***-**-11IN - MOYLAN, TIMOTHY	QUEST INTERNATIONAL VALUE FUND, INC	6.40	0.06	0.00	0.06	88.0	0.05
	ACCOUNT #: 02560289795	BUY 0 Units @0.0000						
11/05/2018	***-**-0457 - STAGLIANO, GINA	REAL ESTATE FUND C	5.42	0.05	0.00	0.05	88.0	0.04
	ACCOUNT #: 05920286880	BUY 0 Units @0.0000						
11/05/2018	***-**-11IN - MOYLAN, TIMOTHY	REAL ESTATE FUND C	6.40	0.06	0.00	0.06	88.0	0.05
	ACCOUNT #: 05920286891	BUY 0 Units @0.0000						
11/12/2018	***-**-29IN - THIBAUT,	REAL ESTATE FUND C	100.00	1.00	0.00	1.00	88.0	0.88
	ACCOUNT #: 05920285846	BUY 0 Units @0.0000						
11/14/2018	***-**-0457 - STAGLIANO, GINA	REAL ESTATE FUND C	5.42	0.05	0.00	0.05	88.0	0.04
	ACCOUNT #: 05920286880	BUY 0 Units @0.0000						
11/05/2018	***-**-0457 - STAGLIANO, GINA	SENIOR FLOATING RATE FUND C	5.42	0.05	0.00	0.05	88.0	0.04
	ACCOUNT #: 02931758372	BUY 0 Units @0.0000						
11/14/2018	***-**-0457 - STAGLIANO, GINA	SENIOR FLOATING RATE FUND C	5.42	0.05	0.00	0.05	88.0	0.04
	ACCOUNT #: 02931758372	BUY 0 Units @0.0000						
11/05/2018	***-**-0457 - STAGLIANO, GINA	SMALL- & MID- CAP VALUE FUND C	5.42	0.05	0.00	0.05	88.0	0.04
	ACCOUNT #: 02531164735	BUY 0 Units @0.0000						
11/14/2018	***-**-0457 - STAGLIANO, GINA	SMALL- & MID- CAP VALUE FUND C	5.42	0.05	0.00	0.05	88.0	0.04
	ACCOUNT #: 02531164735	BUY 0 Units @0.0000						
11/01/2018	***-**-7473 - SCOTELLARO,	STRATEGIC INCOME FUND C	25.00	0.25	0.00	0.25	88.0	0.22
	ACCOUNT #: 02322945965	BUY 0 Units @0.0000						



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<b>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: MUTUAL FUNDS (continued)</b>								
11/14/2018	***-**-7473 - SCOTELLARO, ACCOUNT #: 02322945965	STRATEGIC INCOME FUND C BUY 0 Units @0.0000	25.00	0.25	0.00	0.25	88.0	0.22
* MUTUAL FUNDS SUBTOTAL *			<b>\$60,395.72</b>	<b>\$637.57</b>	<b>\$72.00</b>	<b>\$565.57</b>		<b>\$497.64</b>
<b>PRODUCT CATEGORY: STOCKS</b>								
11/19/2018	***-**-580I - GRIFFITH, DAVID ACCOUNT #: LSF000295	CENTRAIS ELETR BRAS SA - ELETROBRAS SELL 700 Units @6.5300	4,571.00	9.99	15.99	-6.00	100.0	-6.00
11/19/2018	***-**-522I - RIEBEN, HENRY ACCOUNT #: LSR010964	CENTRAIS ELETR BRAS SA - ELETROBRAS SELL 400 Units @6.5300	2,612.00	49.99	23.00	26.99	88.0	23.75
11/20/2018	***-**-467J - PICKARD, BRIAN ACCOUNT #: LSR010943	DENBURY RES INC DEL COM USD0.001 BUY 900 Units @2.1900	1,971.00	49.99	33.00	16.99	88.0	14.95
11/20/2018	***-**-467I - PICKARD, BRIAN ACCOUNT #: LSR010944	DENBURY RES INC DEL COM USD0.001 BUY 1000 Units @2.1900	2,190.00	49.99	35.00	14.99	88.0	13.19
11/20/2018	***-**-762I - STORSBERG, ACCOUNT #: LSR011688	DENBURY RES INC DEL COM USD0.001 BUY 1500 Units @2.1700	3,255.00	49.99	45.00	4.99	88.0	4.39
11/19/2018	***-**-522J - RIEBEN, HENRY ACCOUNT #: LSR010938	NORDIC AMERICAN TANKERS LIMITE COM BUY 1006 Units @3.0500	3,068.30	57.49	35.12	22.37	88.0	19.69
11/19/2018	***-**-425I - PERRITANO, ACCOUNT #: LSR010922	VALE S.A. SPONS ADR REPR 1 COM NPV SELL 500 Units @14.7000	7,350.00	107.49	25.00	82.49	88.0	72.59
11/19/2018	***-**-361J - ALOISIO, ACCOUNT #: LSR010886	VERIZON COMMUNICATIONS UNSOLICITED SELL 109 Units @60.5000	6,594.50	117.49	17.18	100.31	88.0	88.27
11/19/2018	***-**-034J - NIKODEM, JOSEPH ACCOUNT #: LSR010887	VERIZON COMMUNICATIONS UNSOLICITED SELL 51 Units @60.7150	3,096.47	57.49	16.02	41.47	88.0	36.49
11/19/2018	***-**-423I - SAVICKI, RICHARD ACCOUNT #: LSR010889	VERIZON COMMUNICATIONS UNSOLICITED SELL 100 Units @60.5310	6,053.10	97.49	17.00	80.49	88.0	70.83
11/19/2018	***-**-077O - GAUTHIER, LOUIS ACCOUNT #: LSR010905	VERIZON COMMUNICATIONS UNSOLICITED SELL 100 Units @60.5010	6,050.10	108.04	17.00	91.04	88.0	80.12
11/19/2018	***-**-077O - GAUTHIER, LOUIS ACCOUNT #: LSR010905	VERIZON COMMUNICATIONS UNSOLICITED SELL 18 Units @60.5010	1,089.02	19.45	0.36	19.09	88.0	16.80
11/19/2018	***-**-753I - SABANOSH, ALAN ACCOUNT #: LSR010909	VERIZON COMMUNICATIONS UNSOLICITED SELL 75 Units @60.4810	4,536.08	73.12	16.50	56.62	88.0	49.83
11/19/2018	***-**-753I - SABANOSH, ALAN ACCOUNT #: LSR010909	VERIZON COMMUNICATIONS UNSOLICITED SELL 25 Units @60.4900	1,512.25	24.37	0.50	23.87	88.0	21.01



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<b>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: STOCKS (continued)</b>								
11/19/2018	***-**-53TR - SABANOSH, ALAN R	VERIZON COMMUNICATIONS UNSOLICITED	3,025.00	57.49	16.00	41.49	88.0	36.51
	ACCOUNT #: LSR010917	SELL 50 Units @60.5000						
11/19/2018	***-**-522J - RIEBEN, HENRY	VERIZON COMMUNICATIONS UNSOLICITED	6,379.80	97.49	17.10	80.39	88.0	70.74
	ACCOUNT #: LSR010938	SELL 105 Units @60.7600						
11/19/2018	***-**-467J - PICKARD, BRIAN	VERIZON COMMUNICATIONS UNSOLICITED	3,028.50	57.49	16.00	41.49	88.0	36.51
	ACCOUNT #: LSR010943	SELL 50 Units @60.5700						
11/19/2018	***-**-69IN - HAUCK, JUDITH	VERIZON COMMUNICATIONS UNSOLICITED	7,090.32	97.49	17.34	80.15	88.0	70.53
	ACCOUNT #: LSR010980	SELL 117 Units @60.6010						
11/19/2018	***-**-22IN - GRACIE, JULIA	VERIZON COMMUNICATIONS UNSOLICITED	6,052.00	97.49	17.00	80.49	88.0	70.83
	ACCOUNT #: LSR011019	SELL 100 Units @60.5200						
11/19/2018	***-**-94IN - MINER, MARY	VERIZON COMMUNICATIONS UNSOLICITED	6,066.00	77.49	17.00	60.49	88.0	53.23
	ACCOUNT #: LSR012743	SELL 100 Units @60.6600						
* STOCKS SUBTOTAL *			<b>\$85,590.44</b>	<b>\$1,357.32</b>	<b>\$397.11</b>	<b>\$960.21</b>		<b>\$844.26</b>
*** BROKER TRANSACTIONS TOTAL ***			<b>\$145,986.16</b>	<b>\$1,994.89</b>	<b>\$469.11</b>	<b>\$1,525.78</b>		<b>\$1,341.90</b>

### VERRIDE TRANSACTIONS

#### BROKER: KURT GRUENEWALD

11/19/2018	***-**-44IO - MAYO, DEBORAH	BERKSHIRE HATHAWAY INC DEL CL B NEW	10,794.00	129.49	0.00	129.49	88.0	113.95
	ACCOUNT #: LSR011079	SELL 50 Units @215.8800						
11/13/2018	***-**-65CL - GRUENEWALD, K,	CAPITAL APPRECIATION C	100.00	1.00	0.00	1.00	88.0	0.88
	ACCOUNT #: 03222414918	BUY 0 Units @0.0000						
11/19/2018	***-**-44IO - MAYO, DEBORAH	CION ARES DIVERSIFIED CREDIT C	20,000.00	200.00	0.00	200.00	88.0	176.00
	ACCOUNT #: LSR011079	BUY 778 Units @25.7000						
11/20/2018	***-**-30TR - AND SANDRA	DENBURY RES INC DEL COM USD0.001	2,180.00	14.99	0.00	14.99	88.0	13.19
	ACCOUNT #: LSR011939	BUY 1000 Units @2.1800						
11/19/2018	***-**-09IN - BATES, CHRISTINE	DUKE ENERGY CORP COM USD0.001 ISIN	3,660.30	51.65	0.00	51.65	88.0	45.45
	ACCOUNT #: LSR010929	SELL 42 Units @87.1500						
11/05/2018	***-**-48JT - LEE, DARLENE	EQUITY INCOME FUND, INC. C	50.00	0.50	0.00	0.50	88.0	0.44
	ACCOUNT #: 08370750926	BUY 0 Units @0.0000						
11/19/2018	***-**-663I - LASCALA, DEBORAH	EXTRA SPACE STORAGE INC UNSOLICITED	9,455.00	88.55	0.00	88.55	88.0	77.92
	ACCOUNT #: LSR012790	BUY 100 Units @94.5500						



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<b> OVERRIDE TRANSACTIONS (continued)</b>								
<b> <u>BROKER: KURT GRUENEWALD (continued)</u></b>								
11/13/2018	***-**-65CL - GRUENEWALD, K, ACCOUNT #: 02171825219	GLOBAL OPPORTUNITIES FUND C BUY 0 Units @0.0000	100.00	1.00	0.00	1.00	88.0	0.88
11/05/2018	***-**-9140 - BEJIAN, DONNA	GWG L BOND - 7 YR BUY 10 Units @1000.0000	10,000.00	600.00	0.00	600.00	88.0	528.00
11/05/2018	***-**-9140 - BEJIAN, DONNA	GWG L BOND - 2YR BUY 15 Units @1000.0000	15,000.00	600.00	0.00	600.00	88.0	528.00
11/05/2018	***-**-9140 - BEJIAN, DONNA	GWG L BOND - 3YR BUY 15 Units @1000.0000	15,000.00	750.00	0.00	750.00	88.0	660.00
11/05/2018	***-**-9140 - BEJIAN, DONNA	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
11/19/2018	***-**-506J - CURRIERE JR, MR ACCOUNT #: 00088062946	INTERNATIONAL GROWTH AND INCOME-A BUY 2 Units @31.9300	62.50	2.66	0.00	2.66	88.0	2.34
11/19/2018	***-**-44IO - MAYO, DEBORAH ACCOUNT #: LSR011079	LORD ABBETT FNDAMNTL EQUITY FD CL C BUY 704 Units @11.3700	8,000.00	13.99	0.00	13.99	88.0	12.31
11/19/2018	***-**-44IO - MAYO, DEBORAH ACCOUNT #: LSR011079	LORD ABBETT INTL DIVIDEND INC CL C BUY 1048 Units @6.6800	7,000.00	13.99	0.00	13.99	88.0	12.31
11/19/2018	***-**-506J - CURRIERE JR, MR ACCOUNT #: 00088062946	NEW PERSPECTIVE FUND-A BUY 1 Units @44.2200	62.50	2.66	0.00	2.66	88.0	2.34
11/05/2018	***-**-13IN - BLISS, PATRICK ACCOUNT #: 05521022681	OPPENHEIMER ACTIVE ALLOCATION FUND BUY 0 Units @0.0000	75.00	0.75	0.00	0.75	88.0	0.66
11/05/2018	***-**-48JT - LEE, DARLENE ACCOUNT #: 05521043603	OPPENHEIMER ACTIVE ALLOCATION FUND BUY 0 Units @0.0000	50.00	0.50	0.00	0.50	88.0	0.44
11/13/2018	***-**-775I - BLISS, APRIL ACCOUNT #: 05521022692	OPPENHEIMER ACTIVE ALLOCATION FUND BUY 0 Units @0.0000	93.71	0.94	0.00	0.94	88.0	0.83
11/16/2018	***-**-420T - DEMETRI, AMELIA ACCOUNT #: LSR010994	OPPENHEIMER GOLD & SPECIAL MINERALS BUY 163 Units @12.2900	2,000.00	20.00	0.00	20.00	88.0	17.60
11/05/2018	***-**-48JT - LEE, DARLENE ACCOUNT #: 01971019612	OPPENHEIMER INTERNATIONAL DIVERSIFI BUY 0 Units @0.0000	50.00	0.50	0.00	0.50	88.0	0.44
11/19/2018	***-**-44IO - MAYO, DEBORAH ACCOUNT #: LSR011079	REALTY INCOME CORP COMMON STOCK SELL 100 Units @63.8010	6,380.10	81.75	0.00	81.75	88.0	71.94
11/19/2018	***-**-44IO - MAYO, DEBORAH ACCOUNT #: LSR011079	REALTY INCOME CORP COMMON STOCK SELL 100 Units @63.8020	6,380.20	96.75	0.00	96.75	88.0	85.14



# COMMISSION STATEMENT

November 26, 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> OVERRIDE TRANSACTIONS (continued) </u></b>								
<b><u>BROKER: KURT GRUENEWALD (continued)</u></b>								
11/19/2018	***-**-513I - RHYMESTINE, ACCOUNT #: LSR012457	REALTY INCOME CORP COMMON STOCK SELL 100 Units @63.8400	6,384.00	60.49	0.00	60.49	88.0	53.23
11/19/2018	***-**-79TR - OR CYNTHIA ACCOUNT #: LSR012749	REALTY INCOME CORP COMMON STOCK SELL 100 Units @63.7600	6,376.00	73.97	0.00	73.97	88.0	65.09
11/20/2018	***-**-755P - SHEPPARD, ACCOUNT #: 00084018452	THE GROWTH FUND OF AMERICA-529C BUY 1 Units @45.7900	50.00	0.50	0.00	0.50	88.0	0.44
11/19/2018	***-**-44IO - MAYO, DEBORAH ACCOUNT #: LSR011079	VERIZON COMMUNICATIONS UNSOLICITED SELL 100 Units @60.8200	6,082.00	80.49	0.00	80.49	88.0	70.83
11/19/2018	***-**-31IO - JOSEPH, ANN ACCOUNT #: LSR012337	VERIZON COMMUNICATIONS UNSOLICITED SELL 100 Units @60.5600	6,056.00	50.49	0.00	50.49	88.0	44.43
* KURT GRUENEWALD SUBTOTAL *			<u>\$166,441.31</u>	<u>\$4,412.61</u>	<u>\$0.00</u>	<u>\$4,412.61</u>		<u>\$3,883.08</u>
*** OVERRIDE TRANSACTIONS TOTAL ***			<u>\$166,441.31</u>	<u>\$4,412.61</u>	<u>\$0.00</u>	<u>\$4,412.61</u>		<u>\$3,883.08</u>

## **BROKER COMMISSION TOTALS**

Broker Transactions	\$1,341.90
Split Transactions	\$0.00
Override Transactions	\$3,883.08
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	<b>\$5,224.98</b>
Year-to-date Earnings	<b>\$245,668.55</b>