



COMMISSION STATEMENT

September 10, 2018

DAVID GRIFFITH
2108 Genesee St.
Utica, NY 13502

BROKER #: A76
BRANCH #01047 - 47 - GRIFFITH

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
09/06/2018	***-**-675P - PICKARD, BRIAN ACCOUNT #: 00088359310	AMERICAN FNDS MORTGAGE FUND-529C BUY 14 Units @9.7900	140.40	1.40	0.00	1.40	88.0	1.23
09/06/2018	***-**-675P - PICKARD, BRIAN ACCOUNT #: 00088359310	AMERICAN FNDS MORTGAGE FUND-529C BUY 276 Units @9.7900	2,700.00	27.00	0.00	27.00	88.0	23.76
09/06/2018	***-**-675P - PICKARD, BRIAN ACCOUNT #: 00088359322	AMERICAN FNDS MORTGAGE FUND-529C BUY 27 Units @9.7900	261.55	2.62	0.00	2.62	88.0	2.31
09/06/2018	***-**-675P - PICKARD, BRIAN ACCOUNT #: 00088359322	AMERICAN FNDS MORTGAGE FUND-529C BUY 266 Units @9.7900	2,600.00	26.00	0.00	26.00	88.0	22.88
09/05/2018	***-**-073I - WHITEFORD, DEBRA ACCOUNT #: LSR012810	AMERICAN FUNDS MORTGAGE FD CL C BUY 2554 Units @9.7900	25,000.00	268.00	18.00	250.00	88.0	220.00
09/06/2018	***-**-94IN - MINER, MARY ACCOUNT #: LSR012743	AMERICAN FUNDS MORTGAGE FD CL C BUY 2551 Units @9.8000	25,000.00	268.00	18.00	250.00	88.0	220.00
09/06/2018	***-**-594I - MINER, MARY ACCOUNT #: LSR012744	AMERICAN FUNDS MORTGAGE FD CL C BUY 2551 Units @9.8000	25,000.00	268.00	18.00	250.00	88.0	220.00
09/05/2018	***-**-953I - DINITTO, NICOLE ACCOUNT #: 00088593891	AMERICAN GLOBAL BALANCED CL C BUY 6 Units @31.5400	175.00	1.75	0.00	1.75	88.0	1.54
08/27/2018	***-**-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
09/05/2018	***-**-953I - DINITTO, NICOLE ACCOUNT #: 00088593891	CAPITAL WORLD GROWTH AND INCOME FUN BUY 4 Units @49.8500	175.00	1.75	0.00	1.75	88.0	1.54
09/06/2018	***-**-94IN - MINER, MARY ACCOUNT #: LSR012743	CION ARES DIVERSIFIED CREDIT C BUY 583 Units @25.7500	14,999.99	168.00	18.00	150.00	88.0	132.00
09/06/2018	***-**-594I - MINER, MARY ACCOUNT #: LSR012744	CION ARES DIVERSIFIED CREDIT C BUY 777 Units @25.7500	20,000.00	218.00	18.00	200.00	88.0	176.00
08/27/2018	***-**-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
09/04/2018	***-**-788I - ALBARRAN, CARLOS ACCOUNT #: 00085186008	FUNDAMENTAL INVESTORS-C BUY 2 Units @64.2600	100.00	1.00	0.00	1.00	88.0	0.88
08/27/2018	***-**-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
09/04/2018	***-**-267I - HAMMILL, ELISE ACCOUNT #: 08191335171	MFS GLOBAL TOTAL RETURN FUND-B BUY 4 Units @18.1200	75.00	3.00	0.00	3.00	88.0	2.64



COMMISSION STATEMENT

September 10, 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
BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUNDS (continued)								
08/27/2018	***-**-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						
08/27/2018	***-**-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						
08/27/2018	***-**-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						
08/27/2018	***-**-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						
08/27/2018	***-**-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						
09/04/2018	***-**-073I - WHITEFORD, DEBRA	RESOURCE CREDIT INCOME FUND C	20,000.01	218.00	18.00	200.00	88.0	176.00
	ACCOUNT #: LSR012810	BUY 1762 Units @11.3500						
09/06/2018	***-**-594I - MINER, MARY	RESOURCE CREDIT INCOME FUND C	25,000.00	268.00	18.00	250.00	88.0	220.00
	ACCOUNT #: LSR012744	BUY 2203 Units @11.3500						
09/06/2018	***-**-22IN - GRACIE, JULIA	RESOURCE REAL ESTATE-NFS	22,500.00	243.00	18.00	225.00	88.0	198.00
	ACCOUNT #: LSR011019	BUY 2145 Units @10.4900						
09/06/2018	***-**-594I - MINER, MARY	RESOURCE REAL ESTATE-NFS	25,000.00	268.00	18.00	250.00	88.0	220.00
	ACCOUNT #: LSR012744	BUY 2383 Units @10.4900						
09/05/2018	***-**-01IN - HAGAN III,	RISING DIVIDENDS FUND A	3,499.99	18.00	18.00	0.00	88.0	0.00
	ACCOUNT #: LSR011014	SELL 169 Units @20.7700						
* MUTUAL FUNDS SUBTOTAL *			\$212,290.94	\$2,270.15	\$180.00	\$2,090.15		\$1,839.32
PRODUCT CATEGORY: STOCKS								
08/30/2018	***-**-22IR - RIEBEN, HENRY	DENBURY RES INC DEL COM USD0.001	2,765.00	54.99	25.00	29.99	88.0	26.39
	ACCOUNT #: LSR010939	SELL 500 Units @5.5300						
08/30/2018	***-**-467J - PICKARD, BRIAN	DENBURY RES INC DEL COM USD0.001	2,770.00	57.49	25.00	32.49	88.0	28.59
	ACCOUNT #: LSR010943	SELL 500 Units @5.5400						
09/05/2018	***-**-467J - PICKARD, BRIAN	DIEBOLD NIXDORF INCORPORATED COM US	2,414.00	49.99	25.00	24.99	88.0	21.99
	ACCOUNT #: LSR010943	BUY 500 Units @4.8280						
09/05/2018	***-**-762I - STORSBERG,	DIEBOLD NIXDORF INCORPORATED COM US	4,840.00	77.49	35.00	42.49	88.0	37.39
	ACCOUNT #: LSR011688	BUY 1000 Units @4.8400						
09/05/2018	***-**-378J - WHITEFORD, GARY	GOPRO INC. COM USD0.0001 CL A	647.50	25.00	18.00	7.00	88.0	6.16
	ACCOUNT #: LSR012812	SELL 100 Units @6.4750						



COMMISSION STATEMENT

September 10, 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
BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: STOCKS (continued)								
09/05/2018	***-**-378J - WHITEFORD, GARY	GOPRO INC. COM USD0.0001 CL A	647.50	25.00	0.00	25.00	88.0	22.00
	ACCOUNT #: LSR012812	SELL 100 Units @6.4750						
09/05/2018	***-**-378J - WHITEFORD, GARY	GRUBHUB INC COM USD0.0001	6,865.20	87.49	16.00	71.49	88.0	62.91
	ACCOUNT #: LSR012812	SELL 50 Units @137.3040						
09/05/2018	***-**-378J - WHITEFORD, GARY	SONY CORP ADR-EACH CNV INTO 1 ORD N	5,555.00	67.49	17.00	50.49	88.0	44.43
	ACCOUNT #: LSR012812	SELL 100 Units @55.5500						
08/30/2018	***-**-467J - PICKARD, BRIAN	VERIZON COMMUNICATIONS UNSOLICITED	5,466.00	87.49	17.00	70.49	88.0	62.03
	ACCOUNT #: LSR010943	SELL 100 Units @54.6600						
08/30/2018	***-**-762I - STORSBERG,	VERIZON COMMUNICATIONS UNSOLICITED	5,469.00	67.49	17.00	50.49	88.0	44.43
	ACCOUNT #: LSR011688	SELL 100 Units @54.6900						
* STOCKS SUBTOTAL *			\$37,439.20	\$599.92	\$195.00	\$404.92		\$356.32
*** BROKER TRANSACTIONS TOTAL ***			\$249,730.14	\$2,870.07	\$375.00	\$2,495.07		\$2,195.64

OVERRIDE TRANSACTIONS

BROKER: KURT GRUENEWALD

09/05/2018	***-**-366I - GRUENEWALD,	ADVANCED MICRO DEVICES INC SOLICITE	5,620.00	53.26	0.00	53.26	88.0	46.87
	ACCOUNT #: LSR010989	BUY 200 Units @28.1000						
09/05/2018	***-**-366I - GRUENEWALD,	AMAZON.COM INC UNSOLICITED ORDER	8,034.00	80.00	0.00	80.00	88.0	70.40
	ACCOUNT #: LSR010989	BUY 4 Units @2008.5000						
09/07/2018	***-**-480J - EVANS, RICHARD	AMERICAN BALANCED FUND-A	125.00	4.69	0.00	4.69	88.0	4.13
	ACCOUNT #: 00073288662	BUY 4 Units @29.0700						
08/30/2018	***-**-51IR - BLAKE, JAMES	AMERICAN FUNDS MORTGAGE FD CL C	11,000.00	110.00	0.00	110.00	88.0	96.80
	ACCOUNT #: LSR012391	BUY 1122 Units @9.8000						
09/06/2018	***-**-959I - FRANZ, PAUL	AMERICAN FUNDS MORTGAGE FD CL C	20,000.00	200.00	0.00	200.00	88.0	176.00
	ACCOUNT #: LSR010959	BUY 2041 Units @9.8000						
09/06/2018	***-**-43IN - FRANZ, WAYNE	AMERICAN FUNDS MORTGAGE FD CL C	27,500.00	275.00	0.00	275.00	88.0	242.00
	ACCOUNT #: LSR012636	BUY 2806 Units @9.8000						
08/31/2018	***-**-376I - BERBEN, GAIL	AMERICAN GLOBAL BALANCED CL C	10,000.00	100.00	0.00	100.00	88.0	88.00
	ACCOUNT #: LSR011380	BUY 314 Units @31.8300						
09/06/2018	***-**-31IO - JOSEPH, ANN	BERKSHIRE HATHAWAY INC DEL CL B NEW	3,611.82	11.75	0.00	11.75	88.0	10.34
	ACCOUNT #: LSR012337	SELL 17 Units @212.4600						



COMMISSION STATEMENT

September 10, 2018

DAVID GRIFFITH
2108 Genesee St.
Utica, NY 13502

BROKER #: A76
BRANCH #01047 - 47 - GRIFFITH

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u> OVERRIDE TRANSACTIONS (continued) </u>								
<u> BROKER: KURT GRUENEWALD (continued) </u>								
09/06/2018	***-**-31IO - JOSEPH, ANN ACCOUNT #: LSR012337	BERKSHIRE HATHAWAY INC DEL CL B NEW SELL 18 Units @212.4600	3,824.28	31.50	0.00	31.50	88.0	27.72
09/06/2018	***-**-31IO - JOSEPH, ANN ACCOUNT #: LSR012337	BERKSHIRE HATHAWAY INC DEL CL B NEW SELL 15 Units @212.4600	3,186.90	26.25	0.00	26.25	88.0	23.10
09/06/2018	***-**-51IR - BLAKE, JAMES ACCOUNT #: LSR012391	BERKSHIRE HATHAWAY INC DEL CL B NEW SELL 50 Units @212.3900	10,619.50	39.49	0.00	39.49	88.0	34.75
08/31/2018	***-**-959I - FRANZ, PAUL ACCOUNT #: LSR010959	CION ARES DIVERSIFIED CREDIT C BUY 466 Units @25.7300	12,000.01	120.00	0.00	120.00	88.0	105.60
09/05/2018	***-**-959I - FRANZ, PAUL ACCOUNT #: LSR010959	CREE INC UNSOLICITED ORDER BUY 100 Units @45.6500	4,565.00	45.65	0.00	45.65	88.0	40.17
09/05/2018	***-**-366I - GRUENEWALD, ACCOUNT #: LSR010989	CRONOS GROUP INC COM NPV ISIN #CA22 BUY 200 Units @11.9900	2,398.00	23.22	0.00	23.22	88.0	20.43
08/31/2018	***-**-663I - LASCALA, DEBORAH ACCOUNT #: LSR012790	FRANKLIN INCOME FUND CLASS C BUY 6329 Units @2.3700	15,000.00	150.00	0.00	150.00	88.0	132.00
08/27/2018	***-**-8901 - GURDO, ANTHONY ACCOUNT #: 00087491111	FUNDAMENTAL INVESTORS-C BUY 2 Units @64.6000	150.00	1.50	0.00	1.50	88.0	1.32
08/09/2018	***-**-663I - LASCALA, DEBORAH	GWG L BOND - 7 YR BUY 15 Units @1000.0000	15,000.00	900.00	0.00	900.00	88.0	792.00
08/21/2018	***-**-43IR - FRANZ, WAYNE	GWG L BOND - 7 YR BUY 15 Units @1000.0000	15,000.00	900.00	0.00	900.00	88.0	792.00
08/09/2018	***-**-663I - LASCALA, DEBORAH	GWG L BOND - 2YR BUY 15 Units @1000.0000	15,000.00	600.00	0.00	600.00	88.0	528.00
08/21/2018	***-**-43IR - FRANZ, WAYNE	GWG L BOND - 2YR BUY 15 Units @1000.0000	15,000.00	600.00	0.00	600.00	88.0	528.00
08/09/2018	***-**-663I - LASCALA, DEBORAH	GWG L BOND - 3YR BUY 20 Units @1000.0000	20,000.00	1,000.00	0.00	1,000.00	88.0	880.00
08/21/2018	***-**-43IR - FRANZ, WAYNE	GWG L BOND - 3YR BUY 20 Units @1000.0000	20,000.00	1,000.00	0.00	1,000.00	88.0	880.00
08/09/2018	***-**-663I - LASCALA, DEBORAH	GWG L BOND - 5 YR BUY 20 Units @1000.0000	20,000.00	1,180.00	0.00	1,180.00	88.0	1,038.40
08/21/2018	***-**-43IR - FRANZ, WAYNE	GWG L BOND - 5 YR BUY 15 Units @1000.0000	15,000.00	885.00	0.00	885.00	88.0	778.80



COMMISSION STATEMENT

September 10, 2018

DAVID GRIFFITH
2108 Genesee St.
Utica, NY 13502

BROKER #: A76
BRANCH #01047 - 47 - GRIFFITH

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u> OVERRIDE TRANSACTIONS (continued) </u>								
<u>BROKER: KURT GRUENEWALD (continued)</u>								
09/06/2018	***-**-15IN - PENDRAK, JOHN	INTERNATIONAL SMALL COMPANY A	7,416.95	1.99	0.00	1.99	88.0	1.75
	ACCOUNT #: LSR010948	SELL 139 Units @53.2200						
08/31/2018	***-**-89IN - LEE, ROGER	JACKSON 468511480	0.00	24.39	0.00	24.39	88.0	21.46
	ACCOUNT #: 1200175188	BUY 0 Units @0.0000						
08/20/2018	***-**-775I - BLISS, APRIL	OPPENHEIMER ACTIVE ALLOCATION FUND	90.98	0.91	0.00	0.91	88.0	0.80
	ACCOUNT #: 05521022692	BUY 0 Units @0.0000						
08/27/2018	***-**-13IN - BLISS, PATRICK	OPPENHEIMER ACTIVE ALLOCATION FUND	75.00	0.75	0.00	0.75	88.0	0.66
	ACCOUNT #: 05521022681	BUY 0 Units @0.0000						
08/31/2018	***-**-663I - LASCALA, DEBORAH	OPPENHEIMER ACTIVE ALLOCATION FUND	10,000.00	100.00	0.00	100.00	88.0	88.00
	ACCOUNT #: LSR012790	BUY 684 Units @14.6300						
08/27/2018	***-**-213I - GRUENEWALD,	PACIFIC LIFE SE5-NYB DTCC	0.00	0.13	0.00	0.13	88.0	0.11
	ACCOUNT #: VP71028580	BUY 0 Units @0.0000						
09/01/2018	***-**-8126 - MCCARTHY, BRIANN	PACIFIC LIFE SE5-NYB DTCC	35.84	1.08	0.00	1.08	88.0	0.95
	ACCOUNT #: VP71028570	BUY 0 Units @0.0000						
09/04/2018	***-**-7918 - BAREFOOT, JOHN	PACIFIC LIFE SE5-NYB DTCC	108.00	3.24	0.00	3.24	88.0	2.85
	ACCOUNT #: VP71073430	BUY 0 Units @0.0000						
08/30/2018	***-**-43IN - FRANZ, WAYNE	PHILIP MORRIS INTL INC COM SOLICITE	7,850.30	80.49	0.00	80.49	88.0	70.83
	ACCOUNT #: LSR012636	SELL 100 Units @78.5030						
08/30/2018	***-**-43IN - FRANZ, WAYNE	PRUDENTIAL FINL INC UNSOLICITED ORD	8,986.71	80.67	0.00	80.67	88.0	70.99
	ACCOUNT #: LSR012636	SELL 91 Units @98.7550						
09/04/2018	***-**-05IN - GATES, ROGER	RESOURCE CREDIT INCOME FUND C	20,000.01	200.00	0.00	200.00	88.0	176.00
	ACCOUNT #: LSR012771	BUY 1762 Units @11.3500						
09/04/2018	***-**-05IN - GATES, ROGER	RESOURCE REAL ESTATE-NFS	15,000.00	150.00	0.00	150.00	88.0	132.00
	ACCOUNT #: LSR012771	BUY 1427 Units @10.5100						
08/31/2018	***-**-663I - LASCALA, DEBORAH	SMALLCAP WORLD FUND-C	11,999.99	120.00	0.00	120.00	88.0	105.60
	ACCOUNT #: LSR012790	BUY 225 Units @53.3900						
08/31/2018	***-**-959I - FRANZ, PAUL	TESLA MOTORS INC COM USD0.001 UNSOL	15,075.00	152.75	0.00	152.75	88.0	134.42
	ACCOUNT #: LSR010959	SELL 50 Units @301.5000						
09/07/2018	***-**-480J - EVANS, RICHARD	THE GROWTH FUND OF AMERICA-A	125.00	4.69	0.00	4.69	88.0	4.13
	ACCOUNT #: 00073288662	BUY 2 Units @57.7400						
08/30/2018	***-**-43IN - FRANZ, WAYNE	U.S. GOVERNMENT SECURITIES FUND CLA	9,500.00	1.99	0.00	1.99	88.0	1.75
	ACCOUNT #: LSR012636	SELL 711 Units @13.3700						



COMMISSION STATEMENT

September 10, 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
BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: ALTERNATIVE INVESTMENTS (continued)								
		* KURT GRUENEWALD SUBTOTAL *	\$378,898.29	\$9,260.39	\$0.00	\$9,260.39		\$8,149.13
		*** OVERRIDE TRANSACTIONS TOTAL ***	\$378,898.29	\$9,260.39	\$0.00	\$9,260.39		\$8,149.13

BROKER COMMISSION TOTALS

Broker Transactions	\$2,195.64
Split Transactions	\$0.00
Override Transactions	\$8,149.13
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	\$10,344.77
Year-to-date Earnings	\$185,078.60