



# COMMISSION STATEMENT

## December 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
<b><u>BROKER TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: ALTERNATIVE INVESTMENTS</u></b>								
12/10/2018	***-**-69IN - DAVIS, BRUCE	UNDERWRITER COMM	0.00	114.72	0.00	114.72	88.0	100.95
	ACCOUNT #: 20001613	BUY 0 Units @0.0000						
		<b>* ALTERNATIVE INVESTMENTS SUBTOTAL *</b>	<b>\$0.00</b>	<b>\$114.72</b>	<b>\$0.00</b>	<b>\$114.72</b>		<b>\$100.95</b>
<b><u>PRODUCT CATEGORY: MUTUAL FUNDS</u></b>								
12/06/2018	***-**-953I - DINITTO, NICOLE	AMERICAN GLOBAL BALANCED CL C	175.00	1.75	0.00	1.75	88.0	1.54
	ACCOUNT #: 00088593891	BUY 6 Units @30.4100						
12/06/2018	***-**-953I - DINITTO, NICOLE	CAPITAL WORLD GROWTH AND INCOME FUN	175.00	1.75	0.00	1.75	88.0	1.54
	ACCOUNT #: 00088593891	BUY 4 Units @46.2700						
12/06/2018	***-**-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 @22.9400						
12/06/2018	***-**-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 @22.9400						
		<b>* MUTUAL FUNDS SUBTOTAL *</b>	<b>\$798.08</b>	<b>\$12.46</b>	<b>\$0.00</b>	<b>\$12.46</b>		<b>\$10.96</b>
<b><u>PRODUCT CATEGORY: STOCKS</u></b>								
11/30/2018	***-**-656I - SMOLA, STANLEY	STEIN MART INC COM	2,720.00	57.49	18.00	39.49	88.0	34.75
	ACCOUNT #: LSR010868	BUY 2000 Units @1.3600						
11/30/2018	***-**-698J - FEISTHAMEL, MR	STEIN MART INC COM	3,400.00	57.49	18.00	39.49	88.0	34.75
	ACCOUNT #: LSR011137	BUY 2500 Units @1.3600						
12/03/2018	***-**-59IN - MORGAN, WILLIAM	STEIN MART INC COM	4,140.00	67.49	18.00	49.49	88.0	43.55
	ACCOUNT #: LSR010842	BUY 3000 Units @1.3800						
12/03/2018	***-**-757J - MATTHEWS,	STEIN MART INC COM	2,740.00	49.99	18.00	31.99	88.0	28.15
	ACCOUNT #: LSR012824	BUY 2000 Units @1.3700						
12/06/2018	***-**-580I - GRIFFITH, DAVID	STEIN MART INC COM	4,375.00	9.99	8.99	1.00	88.0	0.88
	ACCOUNT #: LSF000295	BUY 3500 Units @1.2500						
12/03/2018	***-**-59IN - MORGAN, WILLIAM	VALE S.A. SPONS ADR REPR 1 COM NPV	4,257.00	77.49	21.00	56.49	88.0	49.71
	ACCOUNT #: LSR010842	SELL 300 Units @14.1900						
		<b>* STOCKS SUBTOTAL *</b>	<b>\$21,632.00</b>	<b>\$319.94</b>	<b>\$101.99</b>	<b>\$217.95</b>		<b>\$191.79</b>



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<b><u>BROKER TRANSACTIONS (continued)</u></b>								
<b><u>PRODUCT CATEGORY: 529 PLAN</u></b>								
12/10/2018	***-**-0862 - REDMOND, EILEEN	NYA JPM 529 MOD GROWTH POR C	75.00	0.75	0.00	0.75	88.0	0.66
	ACCOUNT #: 77172702501	BUY 0 Units @0.0000						
		* 529 PLAN SUBTOTAL *	<u>\$75.00</u>	<u>\$0.75</u>	<u>\$0.00</u>	<u>\$0.75</u>		<u>\$0.66</u>
		*** BROKER TRANSACTIONS TOTAL ***	<u>\$22,505.08</u>	<u>\$447.87</u>	<u>\$101.99</u>	<u>\$345.88</u>		<u>\$304.36</u>

### OVERRIDE TRANSACTIONS

**BROKER: KURT GRUENEWALD**

12/07/2018	***-**-480J - EVANS, RICHARD	AMERICAN BALANCED FUND-A	125.00	5.31	0.00	5.31	88.0	4.67
	ACCOUNT #: 00073288662	BUY 4 Units @28.1100						
10/18/2018	***-**-51IO - CAIN, TIMOTHY	GWG L BOND - 2YR	10,000.00	400.00	0.00	400.00	88.0	352.00
		BUY 10 Units @1000.0000						
11/12/2018	***-**-60IO - JOSEPH,	GWG L BOND - 2YR	10,000.00	400.00	0.00	400.00	88.0	352.00
		BUY 10 Units @1000.0000						
10/18/2018	***-**-51IO - CAIN, TIMOTHY	GWG L BOND - 3YR	10,000.00	500.00	0.00	500.00	88.0	440.00
		BUY 10 Units @1000.0000						
11/12/2018	***-**-60IO - JOSEPH,	GWG L BOND - 3YR	10,000.00	500.00	0.00	500.00	88.0	440.00
		BUY 10 Units @1000.0000						
11/20/2018	***-**-480J - EVANS, RICHARD	GWG L BOND - 3YR	10,000.00	500.00	0.00	500.00	88.0	440.00
		BUY 10 Units @1000.0000						
10/18/2018	***-**-51IO - CAIN, TIMOTHY	GWG L BOND - 5 YR	10,000.00	590.00	0.00	590.00	88.0	519.20
		BUY 10 Units @1000.0000						
11/12/2018	***-**-60IO - JOSEPH,	GWG L BOND - 5 YR	10,000.00	590.00	0.00	590.00	88.0	519.20
		BUY 10 Units @1000.0000						
11/20/2018	***-**-480J - EVANS, RICHARD	GWG L BOND - 5 YR	10,000.00	590.00	0.00	590.00	88.0	519.20
		BUY 10 Units @1000.0000						
12/04/2018	***-**-506J - CURRIERE JR, MR	INTERNATIONAL GROWTH AND INCOME-A	62.50	2.66	0.00	2.66	88.0	2.34
	ACCOUNT #: 00088062946	BUY 2 Units @32.1300						
11/30/2018	***-**-89IN - LEE, ROGER	JACKSON 468511480	0.00	23.24	0.00	23.24	88.0	20.45
	ACCOUNT #: 1200175188	BUY 0 Units @0.0000						
12/03/2018	***-**-53IN - EVANS, ANDREW	MFS TECHNOLOGY FUND-B	50.00	2.00	0.00	2.00	88.0	1.76
	ACCOUNT #: LSR011483	BUY 1 Units @35.5100						



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<b> OVERRIDE TRANSACTIONS (continued) </b>								
<b> <u>BROKER: KURT GRUENEWALD (continued)</u> </b>								
12/03/2018	***-**-53IN - EVANS, ANDREW	MFS UTILITIES FUND-B	100.01	4.00	0.00	4.00	88.0	3.52
	ACCOUNT #: LSR011483	BUY 5 Units @20.6200						
12/04/2018	***-**-506J - CURRIERE JR, MR	NEW PERSPECTIVE FUND-A	62.50	2.66	0.00	2.66	88.0	2.34
	ACCOUNT #: 00088062946	BUY 1 Units @44.8700						
12/01/2018	***-**-8126 - MCCARTHY, BRIANN	PACIFIC LIFE SE5-NYB DTCC	35.92	1.08	0.00	1.08	88.0	0.95
	ACCOUNT #: VP71028570	BUY 0 Units @0.0000						
12/07/2018	***-**-213I - GRUENEWALD,	PACIFIC LIFE SE5-NYB DTCC	329.11	9.87	0.00	9.87	88.0	8.69
	ACCOUNT #: VP71028580	BUY 0 Units @0.0000						
12/07/2018	***-**-213I - GRUENEWALD,	PACIFIC LIFE SE5-NYB DTCC	215.89	6.48	0.00	6.48	88.0	5.70
	ACCOUNT #: VP71028580	BUY 0 Units @0.0000						
11/30/2018	***-**-382I - SATTERLY, NEIL	STEIN MART INC COM	2,720.00	31.99	0.00	31.99	88.0	28.15
	ACCOUNT #: LSR010867	BUY 2000 Units @1.3600						
11/30/2018	***-**-376I - BERBEN, GAIL	STEIN MART INC COM	2,720.00	31.99	0.00	31.99	88.0	28.15
	ACCOUNT #: LSR011380	BUY 2000 Units @1.3600						
11/30/2018	***-**-851J - BLAKE, JAMES	STEIN MART INC COM	2,047.50	31.99	0.00	31.99	88.0	28.15
	ACCOUNT #: LSR012393	BUY 1500 Units @1.3650						
12/07/2018	***-**-480J - EVANS, RICHARD	THE GROWTH FUND OF AMERICA-A	125.00	5.31	0.00	5.31	88.0	4.67
	ACCOUNT #: 00073288662	BUY 2 Units @52.5600						
* KURT GRUENEWALD SUBTOTAL *			<b>\$88,593.43</b>	<b>\$4,228.58</b>	<b>\$0.00</b>	<b>\$4,228.58</b>		<b>\$3,721.14</b>
*** OVERRIDE TRANSACTIONS TOTAL ***			<b>\$88,593.43</b>	<b>\$4,228.58</b>	<b>\$0.00</b>	<b>\$4,228.58</b>		<b>\$3,721.14</b>



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				INVESTMENT	GROSS	CLEARING	NET	BROKER	
DATE	CLIENT			AMOUNT	COMMISSION	CHARGE	COMMISSION	RATE	COMMISSION
						<u>BROKER COMMISSION TOTALS</u>			
						Broker Transactions			\$304.36
						Split Transactions			\$0.00
						Override Transactions			\$3,721.14
						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			\$4,025.50
						Year-to-date Earnings			\$252,736.00