



COMMISSION STATEMENT

September 17, 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>								
09/13/2018	***-**-073I - WHITEFORD, DEBRA	AMERICAN GLOBAL BALANCED CL C	19,999.99	218.00	18.00	200.00	88.0	176.00
	ACCOUNT #: LSR012810	BUY 632 Units @31.6700						
09/11/2018	***-**-757J - MATTHEWS,	COLUMBIA LARGE CAP GROWTH FUND CLAS	6,499.99	19.99	18.00	1.99	88.0	1.75
	ACCOUNT #: LSR012824	SELL 143 Units @45.3100						
09/12/2018	***-**-01IN - HAGAN III,	RISING DIVIDENDS FUND A	4,518.25	19.99	18.00	1.99	88.0	1.75
	ACCOUNT #: LSR011014	SELL 218 Units @20.7600						
09/11/2018	***-**-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 @23.7500						
09/11/2018	***-**-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 @23.7500						
09/11/2018	***-**-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 @23.7500						
09/11/2018	***-**-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 @23.7500						
* MUTUAL FUNDS SUBTOTAL *			\$31,914.39	\$275.90	\$54.00	\$221.90		\$195.26
<u>PRODUCT CATEGORY: STOCKS</u>								
09/11/2018	***-**-94IN - MINER, MARY	AT&T INC COM	3,595.90	57.49	17.20	40.29	88.0	35.46
	ACCOUNT #: LSR012743	SELL 110 Units @32.6900						
09/11/2018	***-**-94IN - MINER, MARY	FRONTIER COMMUNICATIONS CORP COM NE	138.88	39.99	15.50	24.49	88.0	21.55
	ACCOUNT #: LSR012743	SELL 25 Units @5.5550						
09/12/2018	***-**-01IN - HAGAN III,	STEIN MART INC COM	3,075.00	49.99	18.00	31.99	88.0	28.15
	ACCOUNT #: LSR011014	BUY 1500 Units @2.0500						
09/11/2018	***-**-94IN - MINER, MARY	UNITED TECHNOLOGIES CORP UNSOLICITE	13,379.00	177.49	17.00	160.49	88.0	141.23
	ACCOUNT #: LSR012743	SELL 100 Units @133.7900						
09/12/2018	***-**-01IN - HAGAN III,	VALE S.A. SPONS ADR REPR 1 COM NPV	1,293.00	19.16	17.00	2.16	88.0	1.90
	ACCOUNT #: LSR011014	SELL 100 Units @12.9300						
09/12/2018	***-**-01IN - HAGAN III,	VALE S.A. SPONS ADR REPR 1 COM NPV	129.30	1.92	0.20	1.72	88.0	1.51
	ACCOUNT #: LSR011014	SELL 10 Units @12.9300						
09/12/2018	***-**-01IN - HAGAN III,	VALE S.A. SPONS ADR REPR 1 COM NPV	1,848.99	27.40	2.86	24.54	88.0	21.60
	ACCOUNT #: LSR011014	SELL 143 Units @12.9300						
09/12/2018	***-**-01IN - HAGAN III,	VALE S.A. SPONS ADR REPR 1 COM NPV	607.71	9.01	0.94	8.07	88.0	7.10
	ACCOUNT #: LSR011014	SELL 47 Units @12.9300						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
* STOCKS SUBTOTAL *			\$24,067.78	\$382.45	\$88.70	\$293.75		\$258.50
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS								
09/04/2018	***-**-9156 - SIMPSON, PATRICK	AMCAP FUND-A	0.00	16.90	0.00	16.90	88.0	14.87
	ACCOUNT #: 00074686908	BUY 0 Units @0.0000						
09/04/2018	***-**-64IN - KIO, EVELYN	AMERICAN BALANCED FUND-A	0.00	1.43	0.00	1.43	88.0	1.26
	ACCOUNT #: 00067349392	BUY 0 Units @0.0000						
09/04/2018	***-**-968I - THIBAUT JR,	AMERICAN BALANCED FUND-A	0.00	2.03	0.00	2.03	88.0	1.79
	ACCOUNT #: 00064875131	BUY 0 Units @0.0000						
09/04/2018	***-**-225P - DAMSKY, CYNTHIA	AMERICAN BALANCED FUND-A	0.00	4.45	0.00	4.45	88.0	3.92
	ACCOUNT #: 00068200312	BUY 0 Units @0.0000						
09/04/2018	***-**-25IR - SCOTELLARO,	AMERICAN BALANCED FUND-A	0.00	1.74	0.00	1.74	88.0	1.53
	ACCOUNT #: 00081400337	BUY 0 Units @0.0000						
09/04/2018	***-**-26IR - BROWN, MARISSA	AMERICAN BALANCED FUND-A	0.00	0.81	0.00	0.81	88.0	0.71
	ACCOUNT #: 00081497402	BUY 0 Units @0.0000						
09/04/2018	***-**-924J - FISH, ROY	AMERICAN BALANCED FUND-A	0.00	0.97	0.00	0.97	88.0	0.85
	ACCOUNT #: 00083431914	BUY 0 Units @0.0000						
09/04/2018	***-**-073I - WHITEFORD, DEBRA	AMERICAN BALANCED FUND-A	0.00	1.54	0.00	1.54	88.0	1.36
	ACCOUNT #: 00074303925	BUY 0 Units @0.0000						
09/04/2018	***-**-244I - BURTON, RICHARD	AMERICAN BALANCED FUND-C	0.00	8.18	0.00	8.18	88.0	7.20
	ACCOUNT #: 00065159109	BUY 0 Units @0.0000						
09/04/2018	***-**-675P - PICKARD, BRIAN	AMERICAN FNDS MORTGAGE FUND-529C	0.00	4.04	0.00	4.04	88.0	3.56
	ACCOUNT #: 00088359310	BUY 0 Units @0.0000						
09/04/2018	***-**-675P - PICKARD, BRIAN	AMERICAN FNDS MORTGAGE FUND-529C	0.00	5.18	0.00	5.18	88.0	4.56
	ACCOUNT #: 00088359322	BUY 0 Units @0.0000						
09/04/2018	***-**-675P - PICKARD, BRIAN	AMERICAN FUNDDS PRESERVATION PORTFO	0.00	7.95	0.00	7.95	88.0	7.00
	ACCOUNT #: 00088359310	BUY 0 Units @0.0000						
09/04/2018	***-**-244I - BURTON, RICHARD	AMERICAN FUNDS 02631F307	0.00	6.44	0.00	6.44	88.0	5.67
	ACCOUNT #: 00065159109	BUY 0 Units @0.0000						
09/04/2018	***-**-36IN - GAUTHIER,	AMERICAN FUNDS 2035 TARGET DATE-A	0.00	0.24	0.00	0.24	88.0	0.21
	ACCOUNT #: 00084124769	BUY 0 Units @0.0000						
09/04/2018	***-**-675P - PICKARD, BRIAN	AMERICAN FUNDS INFLATION LINKED BON	0.00	18.90	0.00	18.90	88.0	16.63
	ACCOUNT #: 00088359310	BUY 0 Units @0.0000						



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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
09/04/2018	***-**-244I - BURTON, RICHARD	AMERICAN FUNDS INFLT LINKED BOND CL	0.00	13.60	0.00	13.60	88.0	11.97
	ACCOUNT #: 00065159109	BUY 0 Units @0.0000						
09/04/2018	***-**-244I - BURTON, RICHARD	AMERICAN FUNDS MORTGAGE FD CL C	0.00	19.62	0.00	19.62	88.0	17.27
	ACCOUNT #: 00065159109	BUY 0 Units @0.0000						
09/04/2018	***-**-7473 - SCOTELLARO,	AMERICAN FUNDS MORTGAGE FD CL C	0.00	2.54	0.00	2.54	88.0	2.24
	ACCOUNT #: 00073919652	BUY 0 Units @0.0000						
09/04/2018	***-**-60IN - SCHRADER, KEVIN	AMERICAN FUNDS MORTGAGE FD CL C	0.00	4.18	0.00	4.18	88.0	3.68
	ACCOUNT #: 00088507883	BUY 0 Units @0.0000						
09/04/2018	***-**-953I - DINITTO, NICOLE	AMERICAN FUNDS MORTGAGE FD CL C	0.00	1.52	0.00	1.52	88.0	1.34
	ACCOUNT #: 00088593891	BUY 0 Units @0.0000						
09/04/2018	***-**-04IN - CLEARY, STEPHEN	AMERICAN FUNDS MORTGAGE FD CL C	0.00	2.84	0.00	2.84	88.0	2.50
	ACCOUNT #: 00088608566	BUY 0 Units @0.0000						
09/04/2018	***-**-39IN - CLEARY, KAREN	AMERICAN FUNDS MORTGAGE FD CL C	0.00	2.08	0.00	2.08	88.0	1.83
	ACCOUNT #: 00088635688	BUY 0 Units @0.0000						
09/04/2018	***-**-675P - PICKARD, BRIAN	AMERICAN FUNDS SHORT-TERM BOND FUND	0.00	3.75	0.00	3.75	88.0	3.30
	ACCOUNT #: 00088359310	BUY 0 Units @0.0000						
09/04/2018	***-**-90IN - SPINA, MARK	AMERICAN GLOBAL BALANCED CL C	0.00	17.19	0.00	17.19	88.0	15.13
	ACCOUNT #: 00088527332	BUY 0 Units @0.0000						
09/04/2018	***-**-244I - BURTON, RICHARD	AMERICAN GLOBAL BALANCED CL C	0.00	30.08	0.00	30.08	88.0	26.47
	ACCOUNT #: 00065159109	BUY 0 Units @0.0000						
09/04/2018	***-**-817I - WADSWORTH,	AMERICAN GLOBAL BALANCED CL C	0.00	15.00	0.00	15.00	88.0	13.20
	ACCOUNT #: 00067441742	BUY 0 Units @0.0000						
09/04/2018	***-**-801I - HAGAN III,	AMERICAN GLOBAL BALANCED CL C	0.00	14.10	0.00	14.10	88.0	12.41
	ACCOUNT #: 00088485981	BUY 0 Units @0.0000						
09/04/2018	***-**-60IN - SCHRADER, KEVIN	AMERICAN GLOBAL BALANCED CL C	0.00	12.85	0.00	12.85	88.0	11.31
	ACCOUNT #: 00088507883	BUY 0 Units @0.0000						
09/04/2018	***-**-953I - DINITTO, NICOLE	AMERICAN GLOBAL BALANCED CL C	0.00	12.15	0.00	12.15	88.0	10.69
	ACCOUNT #: 00088593891	BUY 0 Units @0.0000						
09/04/2018	***-**-04IN - CLEARY, STEPHEN	AMERICAN GLOBAL BALANCED CL C	0.00	7.96	0.00	7.96	88.0	7.00
	ACCOUNT #: 00088608566	BUY 0 Units @0.0000						
09/04/2018	***-**-39IN - CLEARY, KAREN	AMERICAN GLOBAL BALANCED CL C	0.00	3.71	0.00	3.71	88.0	3.26
	ACCOUNT #: 00088635688	BUY 0 Units @0.0000						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
09/04/2018	***-**-58IN - SCHRECK, RYAN	AMERICAN GLOBAL BALANCED CL C	0.00	7.77	0.00	7.77	88.0	6.84
	ACCOUNT #: 00088659742	BUY 0 Units @0.0000						
09/04/2018	***-**-9156 - SIMPSON, PATRICK	AMERICAN GLOBAL BALANCED CLASS A	0.00	9.43	0.00	9.43	88.0	8.30
	ACCOUNT #: 00074686908	BUY 0 Units @0.0000						
09/04/2018	***-**-0040 - GRIFFITH,	AMERICAN GLOBAL BALANCED CLASS A	0.00	1.45	0.00	1.45	88.0	1.28
	ACCOUNT #: 00083176630	BUY 0 Units @0.0000						
09/04/2018	***-**-225P - DAMSKY, CYNTHIA	AMERICAN GLOBAL BALANCED CLASS A	0.00	0.90	0.00	0.90	88.0	0.79
	ACCOUNT #: 00068200312	BUY 0 Units @0.0000						
09/04/2018	***-**-924J - FISH, ROY	AMERICAN GLOBAL BALANCED CLASS A	0.00	6.98	0.00	6.98	88.0	6.14
	ACCOUNT #: 00083431914	BUY 0 Units @0.0000						
09/04/2018	***-**-716I - BUCZEK, DENISE	AMERICAN GLOBAL BALANCED CLASS A	0.00	6.39	0.00	6.39	88.0	5.62
	ACCOUNT #: 00088176764	BUY 0 Units @0.0000						
09/04/2018	***-**-88IN - PICKARD, ELAINE	AMERICAN GLOBAL BALANCED CLASS A	0.00	5.32	0.00	5.32	88.0	4.68
	ACCOUNT #: 00088242778	BUY 0 Units @0.0000						
09/04/2018	***-**-64IN - KIO, EVELYN	AMERICAN HIGH-INCOME TRUST-A	0.00	1.27	0.00	1.27	88.0	1.12
	ACCOUNT #: 00067349392	BUY 0 Units @0.0000						
09/04/2018	***-**-244I - BURTON, RICHARD	AMERICAN HIGH-INCOME TRUST-C	0.00	7.72	0.00	7.72	88.0	6.79
	ACCOUNT #: 00065159109	BUY 0 Units @0.0000						
09/04/2018	***-**-225P - DAMSKY, CYNTHIA	AMERICAN MORTGAGE FUND CL A	0.00	0.79	0.00	0.79	88.0	0.70
	ACCOUNT #: 00068200312	BUY 0 Units @0.0000						
09/04/2018	***-**-716I - BUCZEK, DENISE	AMERICAN MORTGAGE FUND CL A	0.00	1.99	0.00	1.99	88.0	1.75
	ACCOUNT #: 00088176764	BUY 0 Units @0.0000						
09/04/2018	***-**-225P - DAMSKY, CYNTHIA	AMERICAN MUTUAL FUND-A	0.00	2.36	0.00	2.36	88.0	2.08
	ACCOUNT #: 00068200312	BUY 0 Units @0.0000						
09/04/2018	***-**-244I - BURTON, RICHARD	AMERICAN MUTUAL FUND-F1	0.00	0.35	0.00	0.35	88.0	0.31
	ACCOUNT #: 00065159109	BUY 0 Units @0.0000						
09/04/2018	***-**-90IN - SPINA, MARK	CAPITAL INCOME BUILDER CLASS C	0.00	6.79	0.00	6.79	88.0	5.98
	ACCOUNT #: 00088527332	BUY 0 Units @0.0000						
09/04/2018	***-**-675P - PICKARD, BRIAN	CAPITAL INCOME BUILDER-529C	0.00	8.23	0.00	8.23	88.0	7.24
	ACCOUNT #: 00088359310	BUY 0 Units @0.0000						
09/04/2018	***-**-675P - PICKARD, BRIAN	CAPITAL INCOME BUILDER-529C	0.00	5.03	0.00	5.03	88.0	4.43
	ACCOUNT #: 00088359322	BUY 0 Units @0.0000						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
09/04/2018	***-**-817I - WADSWORTH, ACCOUNT #: 00067441742	CAPITAL INCOME BUILDER-A BUY 0 Units @0.0000	0.00	6.88	0.00	6.88	88.0	6.05
09/04/2018	***-**-716I - BUCZEK, DENISE ACCOUNT #: 00088176764	CAPITAL INCOME BUILDER-A BUY 0 Units @0.0000	0.00	2.93	0.00	2.93	88.0	2.58
09/04/2018	***-**-244I - BURTON, RICHARD ACCOUNT #: 00065159109	CAPITAL INCOME BUILDER-F1 BUY 0 Units @0.0000	0.00	1.93	0.00	1.93	88.0	1.70
09/04/2018	***-**-244I - BURTON, RICHARD ACCOUNT #: 00065159109	CAPITAL WORLD BOND FUND-C BUY 0 Units @0.0000	0.00	8.56	0.00	8.56	88.0	7.53
09/04/2018	***-**-39IN - CLEARY, KAREN ACCOUNT #: 00088635688	CAPITAL WORLD BOND FUND-C BUY 0 Units @0.0000	0.00	2.07	0.00	2.07	88.0	1.82
09/04/2018	***-**-58IN - SCHRECK, RYAN ACCOUNT #: 00088659742	CAPITAL WORLD BOND FUND-C BUY 0 Units @0.0000	0.00	6.96	0.00	6.96	88.0	6.12
09/04/2018	***-**-64IN - KIO, EVELYN ACCOUNT #: 00067349392	CAPITAL WORLD GROWTH AND INCOME FUN BUY 0 Units @0.0000	0.00	2.27	0.00	2.27	88.0	2.00
09/04/2018	***-**-72IN - THIBAUT, JOHN ACCOUNT #: 00073188948	CAPITAL WORLD GROWTH AND INCOME FUN BUY 0 Units @0.0000	0.00	1.55	0.00	1.55	88.0	1.36
09/04/2018	***-**-7704 - AYRES, JENNIFER ACCOUNT #: 00073769241	CAPITAL WORLD GROWTH AND INCOME FUN BUY 0 Units @0.0000	0.00	0.75	0.00	0.75	88.0	0.66
09/04/2018	***-**-9156 - SIMPSON, PATRICK ACCOUNT #: 00074686908	CAPITAL WORLD GROWTH AND INCOME FUN BUY 0 Units @0.0000	0.00	13.89	0.00	13.89	88.0	12.22
09/04/2018	***-**-0040 - GRIFFITH, ACCOUNT #: 00083176630	CAPITAL WORLD GROWTH AND INCOME FUN BUY 0 Units @0.0000	0.00	4.28	0.00	4.28	88.0	3.77
09/04/2018	***-**-90IN - SPINA, MARK ACCOUNT #: 00088527332	CAPITAL WORLD GROWTH AND INCOME FUN BUY 0 Units @0.0000	0.00	21.72	0.00	21.72	88.0	19.11
09/04/2018	***-**-968I - THIBAUT JR, ACCOUNT #: 00064875131	CAPITAL WORLD GROWTH AND INCOME FUN BUY 0 Units @0.0000	0.00	4.31	0.00	4.31	88.0	3.79
09/04/2018	***-**-225P - DAMSKY, CYNTHIA ACCOUNT #: 00068200312	CAPITAL WORLD GROWTH AND INCOME FUN BUY 0 Units @0.0000	0.00	5.96	0.00	5.96	88.0	5.24
09/04/2018	***-**-36IN - GAUTHIER, ACCOUNT #: 00068814424	CAPITAL WORLD GROWTH AND INCOME FUN BUY 0 Units @0.0000	0.00	8.13	0.00	8.13	88.0	7.15
09/04/2018	***-**-7473 - SCOTELLARO, ACCOUNT #: 00073919652	CAPITAL WORLD GROWTH AND INCOME FUN BUY 0 Units @0.0000	0.00	5.40	0.00	5.40	88.0	4.75



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
09/04/2018	***-**-25IR - SCOTELLARO, ACCOUNT #: 00081400337	CAPITAL WORLD GROWTH AND INCOME FUN BUY 0 Units @0.0000	0.00	1.58	0.00	1.58	88.0	1.39
09/04/2018	***-**-26IR - BROWN, MARISSA ACCOUNT #: 00081497402	CAPITAL WORLD GROWTH AND INCOME FUN BUY 0 Units @0.0000	0.00	1.50	0.00	1.50	88.0	1.32
09/04/2018	***-**-924J - FISH, ROY ACCOUNT #: 00083431914	CAPITAL WORLD GROWTH AND INCOME FUN BUY 0 Units @0.0000	0.00	0.82	0.00	0.82	88.0	0.72
09/04/2018	***-**-25IR - REDMOND, SEAN ACCOUNT #: 00088078685	CAPITAL WORLD GROWTH AND INCOME FUN BUY 0 Units @0.0000	0.00	2.02	0.00	2.02	88.0	1.78
09/04/2018	***-**-716I - BUCZEK, DENISE ACCOUNT #: 00088176764	CAPITAL WORLD GROWTH AND INCOME FUN BUY 0 Units @0.0000	0.00	3.95	0.00	3.95	88.0	3.48
09/04/2018	***-**-244I - BURTON, RICHARD ACCOUNT #: 00065159109	CAPITAL WORLD GROWTH AND INCOME FUN BUY 0 Units @0.0000	0.00	8.26	0.00	8.26	88.0	7.27
09/04/2018	***-**-60IN - SCHRADER, KEVIN ACCOUNT #: 00088507883	CAPITAL WORLD GROWTH AND INCOME FUN BUY 0 Units @0.0000	0.00	14.43	0.00	14.43	88.0	12.70
09/04/2018	***-**-953I - DINITTO, NICOLE ACCOUNT #: 00088593891	CAPITAL WORLD GROWTH AND INCOME FUN BUY 0 Units @0.0000	0.00	23.62	0.00	23.62	88.0	20.79
09/04/2018	***-**-04IN - CLEARY, STEPHEN ACCOUNT #: 00088608566	CAPITAL WORLD GROWTH AND INCOME FUN BUY 0 Units @0.0000	0.00	8.91	0.00	8.91	88.0	7.84
09/04/2018	***-**-39IN - CLEARY, KAREN ACCOUNT #: 00088635688	CAPITAL WORLD GROWTH AND INCOME FUN BUY 0 Units @0.0000	0.00	3.48	0.00	3.48	88.0	3.06
09/04/2018	***-**-58IN - SCHRECK, RYAN ACCOUNT #: 00088659742	CAPITAL WORLD GROWTH AND INCOME FUN BUY 0 Units @0.0000	0.00	8.61	0.00	8.61	88.0	7.58
09/04/2018	***-**-675P - PICKARD, BRIAN ACCOUNT #: 00088359310	CAPITAL WORLD GROWTH AND INCOME-529 BUY 0 Units @0.0000	0.00	11.79	0.00	11.79	88.0	10.38
09/04/2018	***-**-675P - PICKARD, BRIAN ACCOUNT #: 00088359322	CAPITAL WORLD GROWTH AND INCOME-529 BUY 0 Units @0.0000	0.00	8.97	0.00	8.97	88.0	7.89
09/04/2018	***-**-595P - MUTH, MARIA ACCOUNT #: 00088943357	CAPITAL WORLD GROWTH AND INCOME-529 BUY 0 Units @0.0000	0.00	6.20	0.00	6.20	88.0	5.46
09/04/2018	***-**-244I - BURTON, RICHARD ACCOUNT #: 00065159109	DEVELOPING WORLD GROWTH & INCOME-C BUY 0 Units @0.0000	0.00	7.33	0.00	7.33	88.0	6.45
09/04/2018	***-**-953I - DINITTO, NICOLE ACCOUNT #: 00088593891	EUROPACIFIC GROWTH FUND CLASS C BUY 0 Units @0.0000	0.00	7.30	0.00	7.30	88.0	6.42



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DAVID GRIFFITH
2108 Genesee St.
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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
09/04/2018	***-**-675P - PICKARD, BRIAN	EUROPACIFIC GROWTH FUND-529C	0.00	1.60	0.00	1.60	88.0	1.41
	ACCOUNT #: 00088359310	BUY 0 Units @0.0000						
09/04/2018	***-**-675P - PICKARD, BRIAN	EUROPACIFIC GROWTH FUND-529C	0.00	1.60	0.00	1.60	88.0	1.41
	ACCOUNT #: 00088359322	BUY 0 Units @0.0000						
09/04/2018	***-**-595P - MUTH, MARIA	EUROPACIFIC GROWTH FUND-529C	0.00	2.95	0.00	2.95	88.0	2.60
	ACCOUNT #: 00088943357	BUY 0 Units @0.0000						
09/04/2018	***-**-5485 - GAETANO,	EUROPACIFIC GROWTH FUND-A	0.00	4.67	0.00	4.67	88.0	4.11
	ACCOUNT #: 00082975488	BUY 0 Units @0.0000						
09/04/2018	***-**-0040 - GRIFFITH,	EUROPACIFIC GROWTH FUND-A	0.00	2.92	0.00	2.92	88.0	2.57
	ACCOUNT #: 00083176630	BUY 0 Units @0.0000						
09/04/2018	***-**-225P - DAMSKY, CYNTHIA	EUROPACIFIC GROWTH FUND-A	0.00	2.51	0.00	2.51	88.0	2.21
	ACCOUNT #: 00068200312	BUY 0 Units @0.0000						
09/04/2018	***-**-36IN - GAUTHIER,	EUROPACIFIC GROWTH FUND-A	0.00	7.29	0.00	7.29	88.0	6.42
	ACCOUNT #: 00068814424	BUY 0 Units @0.0000						
09/04/2018	***-**-25IR - REDMOND, SEAN	EUROPACIFIC GROWTH FUND-A	0.00	1.91	0.00	1.91	88.0	1.68
	ACCOUNT #: 00088078685	BUY 0 Units @0.0000						
09/04/2018	***-**-675P - PICKARD, BRIAN	FUNDAMENTAL INVESTORS-529C	0.00	3.73	0.00	3.73	88.0	3.28
	ACCOUNT #: 00088359310	BUY 0 Units @0.0000						
09/04/2018	***-**-595P - MUTH, MARIA	FUNDAMENTAL INVESTORS-529C	0.00	3.51	0.00	3.51	88.0	3.09
	ACCOUNT #: 00088943357	BUY 0 Units @0.0000						
09/04/2018	***-**-72IN - THIBAUT, JOHN	FUNDAMENTAL INVESTORS-A	0.00	1.38	0.00	1.38	88.0	1.21
	ACCOUNT #: 00073188948	BUY 0 Units @0.0000						
09/04/2018	***-**-7704 - AYRES, JENNIFER	FUNDAMENTAL INVESTORS-A	0.00	0.72	0.00	0.72	88.0	0.63
	ACCOUNT #: 00073769241	BUY 0 Units @0.0000						
09/04/2018	***-**-9156 - SIMPSON, PATRICK	FUNDAMENTAL INVESTORS-A	0.00	17.56	0.00	17.56	88.0	15.45
	ACCOUNT #: 00074686908	BUY 0 Units @0.0000						
09/04/2018	***-**-968I - THIBAUT JR,	FUNDAMENTAL INVESTORS-A	0.00	4.03	0.00	4.03	88.0	3.55
	ACCOUNT #: 00064875131	BUY 0 Units @0.0000						
09/04/2018	***-**-225P - DAMSKY, CYNTHIA	FUNDAMENTAL INVESTORS-A	0.00	2.49	0.00	2.49	88.0	2.19
	ACCOUNT #: 00068200312	BUY 0 Units @0.0000						
09/04/2018	***-**-36IN - GAUTHIER,	FUNDAMENTAL INVESTORS-A	0.00	9.40	0.00	9.40	88.0	8.27
	ACCOUNT #: 00068814424	BUY 0 Units @0.0000						



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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
09/04/2018	***-**-7473 - SCOTELLARO, ACCOUNT #: 00073919652	FUNDAMENTAL INVESTORS-A BUY 0 Units @0.0000	0.00	2.25	0.00	2.25	88.0	1.98
09/04/2018	***-**-251R - SCOTELLARO, ACCOUNT #: 00081400337	FUNDAMENTAL INVESTORS-A BUY 0 Units @0.0000	0.00	2.67	0.00	2.67	88.0	2.35
09/04/2018	***-**-261R - BROWN, MARISSA ACCOUNT #: 00081497402	FUNDAMENTAL INVESTORS-A BUY 0 Units @0.0000	0.00	3.71	0.00	3.71	88.0	3.26
09/04/2018	***-**-924J - FISH, ROY ACCOUNT #: 00083431914	FUNDAMENTAL INVESTORS-A BUY 0 Units @0.0000	0.00	0.96	0.00	0.96	88.0	0.84
09/04/2018	***-**-251R - REDMOND, SEAN ACCOUNT #: 00088078685	FUNDAMENTAL INVESTORS-A BUY 0 Units @0.0000	0.00	2.38	0.00	2.38	88.0	2.09
09/04/2018	***-**-004O - GRIFFITH, ACCOUNT #: 00083322888	FUNDAMENTAL INVESTORS-C BUY 0 Units @0.0000	0.00	16.18	0.00	16.18	88.0	14.24
09/04/2018	***-**-788I - ALBARRAN, CARLOS ACCOUNT #: 00085186008	FUNDAMENTAL INVESTORS-C BUY 0 Units @0.0000	0.00	66.96	0.00	66.96	88.0	58.92
09/04/2018	***-**-601N - SCHRADER, KEVIN ACCOUNT #: 00088507883	FUNDAMENTAL INVESTORS-C BUY 0 Units @0.0000	0.00	6.07	0.00	6.07	88.0	5.34
09/04/2018	***-**-953I - DINITTO, NICOLE ACCOUNT #: 00088593891	FUNDAMENTAL INVESTORS-C BUY 0 Units @0.0000	0.00	2.36	0.00	2.36	88.0	2.08
09/04/2018	***-**-041N - CLEARY, STEPHEN ACCOUNT #: 00088608566	FUNDAMENTAL INVESTORS-C BUY 0 Units @0.0000	0.00	6.15	0.00	6.15	88.0	5.41
09/04/2018	***-**-675P - PICKARD, BRIAN ACCOUNT #: 00088359310	GLOBAL BALANCED FUND-529C BUY 0 Units @0.0000	0.00	18.68	0.00	18.68	88.0	16.44
09/04/2018	***-**-675P - PICKARD, BRIAN ACCOUNT #: 00088359322	GLOBAL BALANCED FUND-529C BUY 0 Units @0.0000	0.00	8.80	0.00	8.80	88.0	7.74
09/04/2018	***-**-595P - MUTH, MARIA ACCOUNT #: 00088943357	GLOBAL BALANCED FUND-529C BUY 0 Units @0.0000	0.00	8.51	0.00	8.51	88.0	7.49
09/05/2018	***-**-794I - INGERSOLL, JOAN ACCOUNT #: 00000871758	HARTFORD BALANCED INCOME FD CL A BUY 0 Units @0.0000	0.00	0.42	0.00	0.42	88.0	0.37
09/05/2018	***-**-015P - SABANOSH, SHERYL ACCOUNT #: 00000856950	HARTFORD CHECKS AND BALANCED FUND C BUY 0 Units @0.0000	0.00	0.88	0.00	0.88	88.0	0.77
09/05/2018	***-**-794I - INGERSOLL, JOAN ACCOUNT #: 00000871758	HARTFORD CHECKS AND BALANCED FUND C BUY 0 Units @0.0000	0.00	0.47	0.00	0.47	88.0	0.41



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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
09/04/2018	***-**-90IN - SPINA, MARK	INCOME FUND OF AMERICA CLASS C	0.00	13.77	0.00	13.77	88.0	12.12
	ACCOUNT #: 00088527332	BUY 0 Units @0.0000						
09/04/2018	***-**-60IN - SCHRADER, KEVIN	INCOME FUND OF AMERICA CLASS C	0.00	5.16	0.00	5.16	88.0	4.54
	ACCOUNT #: 00088507883	BUY 0 Units @0.0000						
09/04/2018	***-**-953I - DINITTO, NICOLE	INCOME FUND OF AMERICA CLASS C	0.00	5.41	0.00	5.41	88.0	4.76
	ACCOUNT #: 00088593891	BUY 0 Units @0.0000						
09/04/2018	***-**-04IN - CLEARY, STEPHEN	INCOME FUND OF AMERICA CLASS C	0.00	4.93	0.00	4.93	88.0	4.34
	ACCOUNT #: 00088608566	BUY 0 Units @0.0000						
09/04/2018	***-**-39IN - CLEARY, KAREN	INCOME FUND OF AMERICA CLASS C	0.00	2.35	0.00	2.35	88.0	2.07
	ACCOUNT #: 00088635688	BUY 0 Units @0.0000						
09/04/2018	***-**-58IN - SCHRECK, RYAN	INCOME FUND OF AMERICA CLASS C	0.00	4.77	0.00	4.77	88.0	4.20
	ACCOUNT #: 00088659742	BUY 0 Units @0.0000						
09/04/2018	***-**-675P - PICKARD, BRIAN	INTERMEDIATE BOND FUND OF AMERICA-5	0.00	18.82	0.00	18.82	88.0	16.56
	ACCOUNT #: 00088359322	BUY 0 Units @0.0000						
09/04/2018	***-**-244I - BURTON, RICHARD	INTERMEDIATE BOND FUND OF AMERICA-C	0.00	9.88	0.00	9.88	88.0	8.69
	ACCOUNT #: 00065159109	BUY 0 Units @0.0000						
09/04/2018	***-**-72IN - THIBAUT, JOHN	NEW PERSPECTIVE FUND-A	0.00	1.10	0.00	1.10	88.0	0.97
	ACCOUNT #: 00073188948	BUY 0 Units @0.0000						
09/04/2018	***-**-244I - BURTON, RICHARD	NEW PERSPECTIVE FUND-A	0.00	1.59	0.00	1.59	88.0	1.40
	ACCOUNT #: 00065159109	BUY 0 Units @0.0000						
09/04/2018	***-**-7473 - SCOTELLARO,	NEW PERSPECTIVE FUND-A	0.00	6.34	0.00	6.34	88.0	5.58
	ACCOUNT #: 00073919652	BUY 0 Units @0.0000						
09/04/2018	***-**-26IR - BROWN, MARISSA	NEW PERSPECTIVE FUND-A	0.00	1.73	0.00	1.73	88.0	1.52
	ACCOUNT #: 00081497402	BUY 0 Units @0.0000						
09/04/2018	***-**-244I - BURTON, RICHARD	NEW PERSPECTIVE FUND-C	0.00	10.93	0.00	10.93	88.0	9.62
	ACCOUNT #: 00065159109	BUY 0 Units @0.0000						
09/04/2018	***-**-9156 - SIMPSON, PATRICK	NEW WORLD FUND-A	0.00	10.72	0.00	10.72	88.0	9.43
	ACCOUNT #: 00074686908	BUY 0 Units @0.0000						
09/04/2018	***-**-25IR - SCOTELLARO,	NEW WORLD FUND-A	0.00	1.50	0.00	1.50	88.0	1.32
	ACCOUNT #: 00081400337	BUY 0 Units @0.0000						
09/04/2018	***-**-924J - FISH, ROY	NEW WORLD FUND-A	0.00	0.65	0.00	0.65	88.0	0.57
	ACCOUNT #: 00083431914	BUY 0 Units @0.0000						



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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
09/04/2018	***-**-60IN - SCHRADER, KEVIN	NEW WORLD FUND-C	0.00	3.42	0.00	3.42	88.0	3.01
	ACCOUNT #: 00088507883	BUY 0 Units @0.0000						
09/04/2018	***-**-244I - BURTON, RICHARD	RTMT INCOME PORTFOLIO CONSERVATIVE-	0.00	8.96	0.00	8.96	88.0	7.88
	ACCOUNT #: 00065159109	BUY 0 Units @0.0000						
09/04/2018	***-**-595P - MUTH, MARIA	SMALLCAP WORLD FUND-529C	0.00	3.21	0.00	3.21	88.0	2.82
	ACCOUNT #: 00088943357	BUY 0 Units @0.0000						
09/04/2018	***-**-9156 - SIMPSON, PATRICK	SMALLCAP WORLD FUND-A	0.00	12.75	0.00	12.75	88.0	11.22
	ACCOUNT #: 00074686908	BUY 0 Units @0.0000						
09/04/2018	***-**-5485 - GAETANO,	SMALLCAP WORLD FUND-A	0.00	3.69	0.00	3.69	88.0	3.25
	ACCOUNT #: 00082975488	BUY 0 Units @0.0000						
09/04/2018	***-**-004O - GRIFFITH,	SMALLCAP WORLD FUND-A	0.00	4.16	0.00	4.16	88.0	3.66
	ACCOUNT #: 00083176630	BUY 0 Units @0.0000						
09/04/2018	***-**-968I - THIBAUT JR,	SMALLCAP WORLD FUND-A	0.00	2.70	0.00	2.70	88.0	2.38
	ACCOUNT #: 00064875131	BUY 0 Units @0.0000						
09/04/2018	***-**-36IN - GAUTHIER,	SMALLCAP WORLD FUND-A	0.00	9.62	0.00	9.62	88.0	8.47
	ACCOUNT #: 00068814424	BUY 0 Units @0.0000						
09/04/2018	***-**-26IR - BROWN, MARISSA	SMALLCAP WORLD FUND-A	0.00	1.18	0.00	1.18	88.0	1.04
	ACCOUNT #: 00081497402	BUY 0 Units @0.0000						
09/04/2018	***-**-25IR - REDMOND, SEAN	SMALLCAP WORLD FUND-A	0.00	1.70	0.00	1.70	88.0	1.50
	ACCOUNT #: 00088078685	BUY 0 Units @0.0000						
09/04/2018	***-**-90IN - SPINA, MARK	SMALLCAP WORLD FUND-C	0.00	8.66	0.00	8.66	88.0	7.62
	ACCOUNT #: 00088527332	BUY 0 Units @0.0000						
09/04/2018	***-**-244I - BURTON, RICHARD	SMALLCAP WORLD FUND-C	0.00	11.73	0.00	11.73	88.0	10.32
	ACCOUNT #: 00065159109	BUY 0 Units @0.0000						
09/04/2018	***-**-60IN - SCHRADER, KEVIN	SMALLCAP WORLD FUND-C	0.00	10.21	0.00	10.21	88.0	8.98
	ACCOUNT #: 00088507883	BUY 0 Units @0.0000						
09/04/2018	***-**-953I - DINITTO, NICOLE	SMALLCAP WORLD FUND-C	0.00	1.45	0.00	1.45	88.0	1.28
	ACCOUNT #: 00088593891	BUY 0 Units @0.0000						
09/04/2018	***-**-04IN - CLEARY, STEPHEN	SMALLCAP WORLD FUND-C	0.00	4.01	0.00	4.01	88.0	3.53
	ACCOUNT #: 00088608566	BUY 0 Units @0.0000						
09/04/2018	***-**-58IN - SCHRECK, RYAN	SMALLCAP WORLD FUND-C	0.00	3.85	0.00	3.85	88.0	3.39
	ACCOUNT #: 00088659742	BUY 0 Units @0.0000						



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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
09/04/2018	***-**-817I - WADSWORTH, ACCOUNT #: 00067441742	THE BOND FUND OF AMERICA-A BUY 0 Units @0.0000	0.00	4.61	0.00	4.61	88.0	4.06
09/04/2018	***-**-244I - BURTON, RICHARD ACCOUNT #: 00065159109	THE BOND FUND OF AMERICA-C BUY 0 Units @0.0000	0.00	5.87	0.00	5.87	88.0	5.17
09/04/2018	***-**-244I - BURTON, RICHARD ACCOUNT #: 00065159109	THE BOND FUND OF AMERICA-F1 BUY 0 Units @0.0000	0.00	0.37	0.00	0.37	88.0	0.33
09/04/2018	***-**-675P - PICKARD, BRIAN ACCOUNT #: 00088359310	THE GROWTH FUND OF AMERICA-529C BUY 0 Units @0.0000	0.00	5.69	0.00	5.69	88.0	5.01
09/04/2018	***-**-675P - PICKARD, BRIAN ACCOUNT #: 00088359322	THE GROWTH FUND OF AMERICA-529C BUY 0 Units @0.0000	0.00	2.57	0.00	2.57	88.0	2.26
09/04/2018	***-**-5485 - GAETANO, ACCOUNT #: 00082975488	THE GROWTH FUND OF AMERICA-A BUY 0 Units @0.0000	0.00	22.14	0.00	22.14	88.0	19.48
09/04/2018	***-**-0040 - GRIFFITH, ACCOUNT #: 00083176630	THE GROWTH FUND OF AMERICA-A BUY 0 Units @0.0000	0.00	2.49	0.00	2.49	88.0	2.19
09/04/2018	***-**-817I - WADSWORTH, ACCOUNT #: 00067441742	THE GROWTH FUND OF AMERICA-A BUY 0 Units @0.0000	0.00	11.52	0.00	11.52	88.0	10.14
09/04/2018	***-**-225P - DAMSKY, CYNTHIA ACCOUNT #: 00068200312	THE GROWTH FUND OF AMERICA-A BUY 0 Units @0.0000	0.00	1.94	0.00	1.94	88.0	1.71
09/04/2018	***-**-36IN - GAUTHIER, ACCOUNT #: 00068814424	THE GROWTH FUND OF AMERICA-A BUY 0 Units @0.0000	0.00	8.77	0.00	8.77	88.0	7.72
09/04/2018	***-**-25IR - REDMOND, SEAN ACCOUNT #: 00088078685	THE GROWTH FUND OF AMERICA-A BUY 0 Units @0.0000	0.00	3.14	0.00	3.14	88.0	2.76
09/05/2018	***-**-794I - INGERSOLL, JOAN ACCOUNT #: 00000871758	THE HARTFORD EQUITY INCOME FUND - A BUY 0 Units @0.0000	0.00	0.63	0.00	0.63	88.0	0.55
09/05/2018	***-**-015P - SABANOSH, SHERYL ACCOUNT #: 00000856950	THE HARTFORD FLOATING RATE FUND - A BUY 0 Units @0.0000	0.00	0.67	0.00	0.67	88.0	0.59
09/05/2018	***-**-015P - SABANOSH, SHERYL ACCOUNT #: 00000856950	THE HARTFORD GLOBAL HEALTH FUND-A BUY 0 Units @0.0000	0.00	1.35	0.00	1.35	88.0	1.19
09/05/2018	***-**-015P - SABANOSH, SHERYL ACCOUNT #: 00000856950	THE HARTFORD VALUE OPPORTUNITIES FD BUY 0 Units @0.0000	0.00	1.01	0.00	1.01	88.0	0.89
09/04/2018	***-**-675P - PICKARD, BRIAN ACCOUNT #: 00088359310	THE INCOME FUND OF AMERICA-529C BUY 0 Units @0.0000	0.00	6.91	0.00	6.91	88.0	6.08



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
09/04/2018	***-**-675P - PICKARD, BRIAN	THE INCOME FUND OF AMERICA-529C	0.00	5.79	0.00	5.79	88.0	5.10
	ACCOUNT #: 00088359322	BUY 0 Units @0.0000						
09/04/2018	***-**-595P - MUTH, MARIA	THE INCOME FUND OF AMERICA-529C	0.00	5.99	0.00	5.99	88.0	5.27
	ACCOUNT #: 00088943357	BUY 0 Units @0.0000						
09/04/2018	***-**-64IN - KIO, EVELYN	THE INCOME FUND OF AMERICA-A	0.00	1.39	0.00	1.39	88.0	1.22
	ACCOUNT #: 00067349392	BUY 0 Units @0.0000						
09/04/2018	***-**-225P - DAMSKY, CYNTHIA	THE INCOME FUND OF AMERICA-A	0.00	1.41	0.00	1.41	88.0	1.24
	ACCOUNT #: 00068200312	BUY 0 Units @0.0000						
09/04/2018	***-**-469I - HAUCK, JUDITH	THE INCOME FUND OF AMERICA-A	0.00	26.95	0.00	26.95	88.0	23.72
	ACCOUNT #: 00087147439	BUY 0 Units @0.0000						
09/04/2018	***-**-716I - BUCZEK, DENISE	THE INCOME FUND OF AMERICA-A	0.00	4.05	0.00	4.05	88.0	3.56
	ACCOUNT #: 00088176764	BUY 0 Units @0.0000						
09/04/2018	***-**-244I - BURTON, RICHARD	THE INCOME FUND OF AMERICA-F1	0.00	2.01	0.00	2.01	88.0	1.77
	ACCOUNT #: 00065159109	BUY 0 Units @0.0000						
09/04/2018	***-**-58IN - CADY, GAIL	THE INVESTMENT COMPANY OF AMERICA-A	0.00	2.85	0.00	2.85	88.0	2.51
	ACCOUNT #: 00064492350	BUY 0 Units @0.0000						
09/04/2018	***-**-3429 - ALOISIO, NATHAN	THE INVESTMENT COMPANY OF AMERICA-A	0.00	2.51	0.00	2.51	88.0	2.21
	ACCOUNT #: 00084955932	BUY 0 Units @0.0000						
09/04/2018	***-**-073I - WHITEFORD, DEBRA	THE INVESTMENT COMPANY OF AMERICA-A	0.00	3.23	0.00	3.23	88.0	2.84
	ACCOUNT #: 00074303925	BUY 0 Units @0.0000						
09/04/2018	***-**-9156 - SIMPSON, PATRICK	THE NEW ECONOMY FUND-A	0.00	10.12	0.00	10.12	88.0	8.91
	ACCOUNT #: 00074686908	BUY 0 Units @0.0000						
09/04/2018	***-**-244I - BURTON, RICHARD	THE NEW ECONOMY FUND-A	0.00	1.70	0.00	1.70	88.0	1.50
	ACCOUNT #: 00065159109	BUY 0 Units @0.0000						
09/04/2018	***-**-244I - BURTON, RICHARD	THE NEW ECONOMY FUND-C	0.00	14.29	0.00	14.29	88.0	12.58
	ACCOUNT #: 00065159109	BUY 0 Units @0.0000						
09/04/2018	***-**-64IN - KIO, EVELYN	U.S. GOVERNMENT SECURITIES FUND CLA	0.00	0.25	0.00	0.25	88.0	0.22
	ACCOUNT #: 00067349392	BUY 0 Units @0.0000						
09/04/2018	***-**-39IN - CLEARY, KAREN	U.S. GOVERNMENT SECURITIES FUND-C	0.00	2.04	0.00	2.04	88.0	1.80
	ACCOUNT #: 00088635688	BUY 0 Units @0.0000						
09/04/2018	***-**-0040 - GRIFFITH,	WASHINGTON MUTUAL INVESTORS FUND-A	0.00	5.75	0.00	5.75	88.0	5.06
	ACCOUNT #: 00083176630	BUY 0 Units @0.0000						



COMMISSION STATEMENT

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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 FUND 12B1 TRAILS (continued)								
09/04/2018	***-**-817I - WADSWORTH, ACCOUNT #: 00067441742	WASHINGTON MUTUAL INVESTORS FUND-A BUY 0 Units @0.0000	0.00	18.36	0.00	18.36	88.0	16.16
		* MUTUAL FUND 12B1 TRAILS SUBTOTAL *	\$0.00	\$1,128.14	\$0.00	\$1,128.14		\$992.80
		*** BROKER TRANSACTIONS TOTAL ***	\$55,982.17	\$1,786.49	\$142.70	\$1,643.79		\$1,446.56

VERRIDE TRANSACTIONS

BROKER: KURT GRUENEWALD

09/04/2018	***-**-78IR - FALES, JOAN ACCOUNT #: 00088082227	AF MODERATE GROWTH AND INCOME-A BUY 0 Units @0.0000	0.00	4.83	0.00	4.83	88.0	4.25
09/04/2018	***-**-72TD - GAVALO, JULIE ACCOUNT #: 00087169935	AF SHORT-TERM TAX-EXEMPT BOND FUND- BUY 0 Units @0.0000	0.00	6.84	0.00	6.84	88.0	6.02
09/10/2018	***-**-366S - GRUENEWALD, ACCOUNT #: LSR010990	AMAZON.COM INC UNSOLICITED ORDER BUY 3 Units @1938.4000	5,815.20	58.11	0.00	58.11	88.0	51.14
09/04/2018	***-**-169I - EVANS, PAUL ACCOUNT #: 00083808354	AMCAP FUND-C BUY 0 Units @0.0000	0.00	7.02	0.00	7.02	88.0	6.18
09/04/2018	***-**-5375 - CARTER, LISA ACCOUNT #: 00083849497	AMERICAN BALANCED FUND-529C BUY 0 Units @0.0000	0.00	0.19	0.00	0.19	88.0	0.17
09/04/2018	***-**-72IN - GAVALO, JULIE ACCOUNT #: 00068530007	AMERICAN BALANCED FUND-529E BUY 0 Units @0.0000	0.00	1.24	0.00	1.24	88.0	1.09
09/04/2018	***-**-72IN - GAVALO, JULIE ACCOUNT #: 00068530008	AMERICAN BALANCED FUND-529E BUY 0 Units @0.0000	0.00	1.24	0.00	1.24	88.0	1.09
09/04/2018	***-**-72IN - GAVALO, JULIE ACCOUNT #: 00068530009	AMERICAN BALANCED FUND-529E BUY 0 Units @0.0000	0.00	5.42	0.00	5.42	88.0	4.77
09/04/2018	***-**-755P - SHEPPARD, ACCOUNT #: 00084218264	AMERICAN BALANCED FUND-A BUY 0 Units @0.0000	0.00	2.17	0.00	2.17	88.0	1.91
09/04/2018	***-**-0462 - FRIOT, MICHAEL ACCOUNT #: 00084291287	AMERICAN BALANCED FUND-A BUY 0 Units @0.0000	0.00	5.74	0.00	5.74	88.0	5.05
09/04/2018	***-**-480J - EVANS, RICHARD ACCOUNT #: 00073288662	AMERICAN BALANCED FUND-A BUY 0 Units @0.0000	0.00	2.93	0.00	2.93	88.0	2.58
09/04/2018	***-**-81IR - CAMPBELL, ACCOUNT #: 00073375822	AMERICAN BALANCED FUND-A BUY 0 Units @0.0000	0.00	6.96	0.00	6.96	88.0	6.12



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 OVERRIDE TRANSACTIONS (continued)								
 <u>BROKER: KURT GRUENEWALD (continued)</u>								
09/04/2018	***-**-20IR - DEMETRI, AMELIA	AMERICAN BALANCED FUND-A	0.00	3.69	0.00	3.69	88.0	3.25
	ACCOUNT #: 00074234451	BUY 0 Units @0.0000						
09/04/2018	***-**-643I - PELLETIER, MARY	AMERICAN BALANCED FUND-A	0.00	5.12	0.00	5.12	88.0	4.51
	ACCOUNT #: 00083385810	BUY 0 Units @0.0000						
09/04/2018	***-**-265J - MEEKINS, TIMOTHY	AMERICAN BALANCED FUND-A	0.00	1.13	0.00	1.13	88.0	0.99
	ACCOUNT #: 00083811335	BUY 0 Units @0.0000						
09/04/2018	***-**-901I - SATTERLY, ANN	AMERICAN BALANCED FUND-A	0.00	0.56	0.00	0.56	88.0	0.49
	ACCOUNT #: 00084301189	BUY 0 Units @0.0000						
09/04/2018	***-**-382I - SATTERLY, NEIL	AMERICAN BALANCED FUND-A	0.00	0.88	0.00	0.88	88.0	0.77
	ACCOUNT #: 00084301242	BUY 0 Units @0.0000						
09/04/2018	***-**-753J - FALCHI, VALERIE	AMERICAN BALANCED FUND-A	0.00	0.66	0.00	0.66	88.0	0.58
	ACCOUNT #: 00084317946	BUY 0 Units @0.0000						
09/04/2018	***-**-753J - FALCHI, VALERIE	AMERICAN BALANCED FUND-C	0.00	6.00	0.00	6.00	88.0	5.28
	ACCOUNT #: 00084317946	BUY 0 Units @0.0000						
09/04/2018	***-**-5375 - CARTER, LISA	AMERICAN FUNDS 45956T808	0.00	5.31	0.00	5.31	88.0	4.67
	ACCOUNT #: 00083849497	BUY 0 Units @0.0000						
09/04/2018	***-**-72TD - GAVALO, JULIE	AMERICAN HIGH-INCOME MUNI BOND FUND	0.00	13.85	0.00	13.85	88.0	12.19
	ACCOUNT #: 00087169935	BUY 0 Units @0.0000						
09/04/2018	***-**-072I - GAVALO, JULIE	AMERICAN HIGH-INCOME TRUST-A	0.00	19.98	0.00	19.98	88.0	17.58
	ACCOUNT #: 00087112294	BUY 0 Units @0.0000						
09/04/2018	***-**-81IR - CAMPBELL,	AMERICAN HIGH-INCOME TRUST-A	0.00	4.29	0.00	4.29	88.0	3.78
	ACCOUNT #: 00073375822	BUY 0 Units @0.0000						
09/04/2018	***-**-20JT - KOICHEM, DENISE	AMERICAN HIGH-INCOME TRUST-A	0.00	1.36	0.00	1.36	88.0	1.20
	ACCOUNT #: 00083988898	BUY 0 Units @0.0000						
09/04/2018	***-**-72IN - GAVALO, JULIE	AMERICAN MUTUAL FUND-529E	0.00	5.69	0.00	5.69	88.0	5.01
	ACCOUNT #: 00068530009	BUY 0 Units @0.0000						
09/04/2018	***-**-072I - GAVALO, JULIE	AMERICAN MUTUAL FUND-A	0.00	10.87	0.00	10.87	88.0	9.57
	ACCOUNT #: 00087112294	BUY 0 Units @0.0000						
09/04/2018	***-**-20JT - KOICHEM, DENISE	AMERICAN MUTUAL FUND-A	0.00	0.90	0.00	0.90	88.0	0.79
	ACCOUNT #: 00083988898	BUY 0 Units @0.0000						
09/04/2018	***-**-755P - SHEPPARD,	CAPITAL INCOME BUILDER-529A	0.00	0.59	0.00	0.59	88.0	0.52
	ACCOUNT #: 00084018452	BUY 0 Units @0.0000						



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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
 OVERRIDE TRANSACTIONS (continued)								
 <u>BROKER: KURT GRUENEWALD (continued)</u>								
09/04/2018	***-**-2855 - KRECIDLO, MARTA	CAPITAL INCOME BUILDER-A	0.00	0.50	0.00	0.50	88.0	0.44
	ACCOUNT #: 00083946447	BUY 0 Units @0.0000						
09/04/2018	***-**-0462 - FRIOT, MICHAEL	CAPITAL INCOME BUILDER-A	0.00	3.27	0.00	3.27	88.0	2.88
	ACCOUNT #: 00084291287	BUY 0 Units @0.0000						
09/04/2018	***-**-072I - GAVALO, JULIE	CAPITAL INCOME BUILDER-A	0.00	21.74	0.00	21.74	88.0	19.13
	ACCOUNT #: 00087112294	BUY 0 Units @0.0000						
09/04/2018	***-**-72RI - GAVALO, JULIE	CAPITAL INCOME BUILDER-A	0.00	12.36	0.00	12.36	88.0	10.88
	ACCOUNT #: 00087231055	BUY 0 Units @0.0000						
09/04/2018	***-**-8158 - BEHA, DEBORAH	CAPITAL INCOME BUILDER-A	0.00	3.78	0.00	3.78	88.0	3.33
	ACCOUNT #: 00058770149	BUY 0 Units @0.0000						
09/04/2018	***-**-643I - PELLETIER, MARY	CAPITAL INCOME BUILDER-A	0.00	4.46	0.00	4.46	88.0	3.92
	ACCOUNT #: 00083385810	BUY 0 Units @0.0000						
09/04/2018	***-**-86IR - MEEKINS, LISA	CAPITAL INCOME BUILDER-A	0.00	0.90	0.00	0.90	88.0	0.79
	ACCOUNT #: 00083811211	BUY 0 Units @0.0000						
09/04/2018	***-**-265I - MEEKINS, TIMOTHY	CAPITAL INCOME BUILDER-A	0.00	0.81	0.00	0.81	88.0	0.71
	ACCOUNT #: 00083811243	BUY 0 Units @0.0000						
09/04/2018	***-**-265J - MEEKINS, TIMOTHY	CAPITAL INCOME BUILDER-A	0.00	1.00	0.00	1.00	88.0	0.88
	ACCOUNT #: 00083811335	BUY 0 Units @0.0000						
09/04/2018	***-**-443I - LATUS, FREDERICK	CAPITAL INCOME BUILDER-A	0.00	0.43	0.00	0.43	88.0	0.38
	ACCOUNT #: 00083932986	BUY 0 Units @0.0000						
09/04/2018	***-**-20JT - KOCHER, DENISE	CAPITAL INCOME BUILDER-A	0.00	1.82	0.00	1.82	88.0	1.60
	ACCOUNT #: 00083988898	BUY 0 Units @0.0000						
09/04/2018	***-**-5375 - CARTER, LISA	CAPITAL INCOME BUILDER-A	0.00	0.17	0.00	0.17	88.0	0.15
	ACCOUNT #: 00084131722	BUY 0 Units @0.0000						
09/04/2018	***-**-901I - SATTERLY, ANN	CAPITAL INCOME BUILDER-A	0.00	0.43	0.00	0.43	88.0	0.38
	ACCOUNT #: 00084301189	BUY 0 Units @0.0000						
09/04/2018	***-**-382I - SATTERLY, NEIL	CAPITAL INCOME BUILDER-A	0.00	0.68	0.00	0.68	88.0	0.60
	ACCOUNT #: 00084301242	BUY 0 Units @0.0000						
09/04/2018	***-**-753J - FALCHI, VALERIE	CAPITAL INCOME BUILDER-A	0.00	0.77	0.00	0.77	88.0	0.68
	ACCOUNT #: 00084317946	BUY 0 Units @0.0000						
09/04/2018	***-**-094I - KATRENA L	CAPITAL INCOME BUILDER-A	0.00	0.38	0.00	0.38	88.0	0.33
	ACCOUNT #: 00084459807	BUY 0 Units @0.0000						



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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
 OVERRIDE TRANSACTIONS (continued)								
 <u>BROKER: KURT GRUENEWALD (continued)</u>								
09/04/2018	***-**-5414 - KARAM, SEGEAN	CAPITAL INCOME BUILDER-A	0.00	0.46	0.00	0.46	88.0	0.40
	ACCOUNT #: 00084545682	BUY 0 Units @0.0000						
09/04/2018	***-**-6981 - KARAM, MARY ANN	CAPITAL INCOME BUILDER-A	0.00	0.47	0.00	0.47	88.0	0.41
	ACCOUNT #: 00084545771	BUY 0 Units @0.0000						
09/04/2018	***-**-0462 - FRIOT, MICHAEL	CAPITAL WORLD BOND FUND-A	0.00	0.38	0.00	0.38	88.0	0.33
	ACCOUNT #: 00084291287	BUY 0 Units @0.0000						
09/04/2018	***-**-072I - GAVALO, JULIE	CAPITAL WORLD BOND FUND-A	0.00	3.55	0.00	3.55	88.0	3.12
	ACCOUNT #: 00087112294	BUY 0 Units @0.0000						
09/04/2018	***-**-8158 - BEHA, DEBORAH	CAPITAL WORLD BOND FUND-A	0.00	1.90	0.00	1.90	88.0	1.67
	ACCOUNT #: 00058770149	BUY 0 Units @0.0000						
09/04/2018	***-**-643I - PELLETIER, MARY	CAPITAL WORLD BOND FUND-A	0.00	0.07	0.00	0.07	88.0	0.06
	ACCOUNT #: 00083385757	BUY 0 Units @0.0000						
09/04/2018	***-**-265J - MEEKINS, TIMOTHY	CAPITAL WORLD BOND FUND-A	0.00	0.66	0.00	0.66	88.0	0.58
	ACCOUNT #: 00083811335	BUY 0 Units @0.0000						
09/04/2018	***-**-094I - KATRENA L	CAPITAL WORLD BOND FUND-A	0.00	0.24	0.00	0.24	88.0	0.21
	ACCOUNT #: 00084459807	BUY 0 Units @0.0000						
09/04/2018	***-**-5414 - KARAM, SEGEAN	CAPITAL WORLD BOND FUND-A	0.00	0.43	0.00	0.43	88.0	0.38
	ACCOUNT #: 00084545682	BUY 0 Units @0.0000						
09/04/2018	***-**-6981 - KARAM, MARY ANN	CAPITAL WORLD BOND FUND-A	0.00	0.44	0.00	0.44	88.0	0.39
	ACCOUNT #: 00084545771	BUY 0 Units @0.0000						
09/04/2018	***-**-643I - PELLETIER, MARY	CAPITAL WORLD BOND FUND-C	0.00	0.67	0.00	0.67	88.0	0.59
	ACCOUNT #: 00083385757	BUY 0 Units @0.0000						
09/04/2018	***-**-0069 - KRECIDLO,	CAPITAL WORLD GROWTH AND INCOME FUN	0.00	1.30	0.00	1.30	88.0	1.14
	ACCOUNT #: 00083510637	BUY 0 Units @0.0000						
09/04/2018	***-**-2855 - KRECIDLO, MARTA	CAPITAL WORLD GROWTH AND INCOME FUN	0.00	1.30	0.00	1.30	88.0	1.14
	ACCOUNT #: 00083510745	BUY 0 Units @0.0000						
09/04/2018	***-**-2855 - KRECIDLO, MARTA	CAPITAL WORLD GROWTH AND INCOME FUN	0.00	0.76	0.00	0.76	88.0	0.67
	ACCOUNT #: 00083946447	BUY 0 Units @0.0000						
09/04/2018	***-**-755P - SHEPPARD,	CAPITAL WORLD GROWTH AND INCOME FUN	0.00	2.80	0.00	2.80	88.0	2.46
	ACCOUNT #: 00084218264	BUY 0 Units @0.0000						
09/04/2018	***-**-20IN - DEMETRI, AMELIA	CAPITAL WORLD GROWTH AND INCOME FUN	0.00	0.31	0.00	0.31	88.0	0.27
	ACCOUNT #: 00085948151	BUY 0 Units @0.0000						



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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
 OVERRIDE TRANSACTIONS (continued)								
 BROKER: KURT GRUENEWALD (continued)								
09/04/2018	***-**-18IR - MEEKINS, KAIDEN	CAPITAL WORLD GROWTH AND INCOME FUN	0.00	0.52	0.00	0.52	88.0	0.46
	ACCOUNT #: 00087145992	BUY 0 Units @0.0000						
09/04/2018	***-**-0069 - KRECIDLO,	CAPITAL WORLD GROWTH AND INCOME FUN	0.00	26.18	0.00	26.18	88.0	23.04
	ACCOUNT #: 00083510637	BUY 0 Units @0.0000						
09/04/2018	***-**-2855 - KRECIDLO, MARTA	CAPITAL WORLD GROWTH AND INCOME FUN	0.00	26.18	0.00	26.18	88.0	23.04
	ACCOUNT #: 00083510745	BUY 0 Units @0.0000						
09/04/2018	***-**-18IR - MEEKINS, KAIDEN	CAPITAL WORLD GROWTH AND INCOME FUN	0.00	3.98	0.00	3.98	88.0	3.50
	ACCOUNT #: 00087145992	BUY 0 Units @0.0000						
09/04/2018	***-**-20IR - DEMETRI, AMELIA	CAPITAL WORLD GROWTH AND INCOME FUN	0.00	4.15	0.00	4.15	88.0	3.65
	ACCOUNT #: 00074234451	BUY 0 Units @0.0000						
09/04/2018	***-**-643I - PELLETIER, MARY	CAPITAL WORLD GROWTH AND INCOME FUN	0.00	0.12	0.00	0.12	88.0	0.11
	ACCOUNT #: 00083385757	BUY 0 Units @0.0000						
09/04/2018	***-**-643I - PELLETIER, MARY	CAPITAL WORLD GROWTH AND INCOME FUN	0.00	3.71	0.00	3.71	88.0	3.26
	ACCOUNT #: 00083385810	BUY 0 Units @0.0000						
09/04/2018	***-**-86IR - MEEKINS, LISA	CAPITAL WORLD GROWTH AND INCOME FUN	0.00	1.00	0.00	1.00	88.0	0.88
	ACCOUNT #: 00083811211	BUY 0 Units @0.0000						
09/04/2018	***-**-265I - MEEKINS, TIMOTHY	CAPITAL WORLD GROWTH AND INCOME FUN	0.00	1.20	0.00	1.20	88.0	1.06
	ACCOUNT #: 00083811243	BUY 0 Units @0.0000						
09/04/2018	***-**-443I - LATUS, FREDERICK	CAPITAL WORLD GROWTH AND INCOME FUN	0.00	0.56	0.00	0.56	88.0	0.49
	ACCOUNT #: 00083932986	BUY 0 Units @0.0000						
09/04/2018	***-**-20JT - KOCHER, DENISE	CAPITAL WORLD GROWTH AND INCOME FUN	0.00	4.11	0.00	4.11	88.0	3.62
	ACCOUNT #: 00083988898	BUY 0 Units @0.0000						
09/04/2018	***-**-5375 - CARTER, LISA	CAPITAL WORLD GROWTH AND INCOME FUN	0.00	0.59	0.00	0.59	88.0	0.52
	ACCOUNT #: 00084131722	BUY 0 Units @0.0000						
09/04/2018	***-**-753J - FALCHI, VALERIE	CAPITAL WORLD GROWTH AND INCOME FUN	0.00	1.61	0.00	1.61	88.0	1.42
	ACCOUNT #: 00084317946	BUY 0 Units @0.0000						
09/04/2018	***-**-094I - KATRENA L	CAPITAL WORLD GROWTH AND INCOME FUN	0.00	0.63	0.00	0.63	88.0	0.55
	ACCOUNT #: 00084459807	BUY 0 Units @0.0000						
09/04/2018	***-**-643I - PELLETIER, MARY	CAPITAL WORLD GROWTH AND INCOME FUN	0.00	1.21	0.00	1.21	88.0	1.06
	ACCOUNT #: 00083385757	BUY 0 Units @0.0000						
09/04/2018	***-**-86IR - MEEKINS, LISA	CAPITAL WORLD GROWTH AND INCOME FUN	0.00	1.38	0.00	1.38	88.0	1.21
	ACCOUNT #: 00083811211	BUY 0 Units @0.0000						



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 OVERRIDE TRANSACTIONS (continued)								
 BROKER: KURT GRUENEWALD (continued)								
09/04/2018	***-**-680I - HARRELL, DARYL ACCOUNT #: 00083996385	CAPITAL WORLD GROWTH AND INCOME FUN BUY 0 Units @0.0000	0.00	1.89	0.00	1.89	88.0	1.66
09/04/2018	***-**-382I - SATTERLY, NEIL ACCOUNT #: 00084301242	CAPITAL WORLD GROWTH AND INCOME FUN BUY 0 Units @0.0000	0.00	30.08	0.00	30.08	88.0	26.47
09/04/2018	***-**-755P - SHEPPARD, ACCOUNT #: 00084018452	CAPITAL WORLD GROWTH AND INCOME-529 BUY 0 Units @0.0000	0.00	0.88	0.00	0.88	88.0	0.77
09/04/2018	***-**-84IN - WARMUTH, ERIC ACCOUNT #: 00075086418	CAPITAL WORLD GROWTH AND INCOME-529 BUY 0 Units @0.0000	0.00	6.13	0.00	6.13	88.0	5.39
09/04/2018	***-**-84IN - WARMUTH, ERIC ACCOUNT #: 00075086546	CAPITAL WORLD GROWTH AND INCOME-529 BUY 0 Units @0.0000	0.00	6.13	0.00	6.13	88.0	5.39
09/04/2018	***-**-5375 - CARTER, LISA ACCOUNT #: 00083849497	CAPITAL WORLD GROWTH AND INCOME-529 BUY 0 Units @0.0000	0.00	0.86	0.00	0.86	88.0	0.76
09/04/2018	***-**-5375 - CARTER, LISA ACCOUNT #: 00083849497	CAPITAL WORLD GROWTH AND INCOME-529 BUY 0 Units @0.0000	0.00	2.46	0.00	2.46	88.0	2.16
09/04/2018	***-**-72IN - GAVALO, JULIE ACCOUNT #: 00068530007	CAPITAL WORLD GROWTH AND INCOME-529 BUY 0 Units @0.0000	0.00	8.15	0.00	8.15	88.0	7.17
09/13/2018	***-**-366I - GRUENEWALD, ACCOUNT #: LSR010989	CRONOS GROUP INC COM NPV ISIN #CA22 SELL 200 Units @10.6030	2,120.60	20.50	0.00	20.50	88.0	18.04
09/04/2018	***-**-753J - FALCHI, VALERIE ACCOUNT #: 00084317946	EUROPACIFIC GROWTH FUND CLASS C BUY 0 Units @0.0000	0.00	5.32	0.00	5.32	88.0	4.68
09/04/2018	***-**-72IN - GAVALO, JULIE ACCOUNT #: 00068530008	EUROPACIFIC GROWTH FUND-529E BUY 0 Units @0.0000	0.00	6.95	0.00	6.95	88.0	6.12
09/04/2018	***-**-169I - EVANS, PAUL ACCOUNT #: 00083808354	EUROPACIFIC GROWTH FUND-A BUY 0 Units @0.0000	0.00	1.77	0.00	1.77	88.0	1.56
09/04/2018	***-**-506J - CURRIERE JR, MR ACCOUNT #: 00083609136	EUROPACIFIC GROWTH FUND-A BUY 0 Units @0.0000	0.00	5.37	0.00	5.37	88.0	4.73
09/04/2018	***-**-753J - FALCHI, VALERIE ACCOUNT #: 00084317946	EUROPACIFIC GROWTH FUND-A BUY 0 Units @0.0000	0.00	0.39	0.00	0.39	88.0	0.34
09/04/2018	***-**-094I - KATRENA L ACCOUNT #: 00084459807	EUROPACIFIC GROWTH FUND-A BUY 0 Units @0.0000	0.00	0.41	0.00	0.41	88.0	0.36
09/04/2018	***-**-84IN - WARMUTH, ERIC ACCOUNT #: 00075086418	FUNDAMENTAL INVESTORS-529A BUY 0 Units @0.0000	0.00	1.52	0.00	1.52	88.0	1.34



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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
 OVERRIDE TRANSACTIONS (continued)								
 <u>BROKER: KURT GRUENEWALD (continued)</u>								
09/04/2018	***-**-84IN - WARMUTH, ERIC	FUNDAMENTAL INVESTORS-529A	0.00	1.52	0.00	1.52	88.0	1.34
	ACCOUNT #: 00075086546	BUY 0 Units @0.0000						
09/04/2018	***-**-84IN - WARMUTH, ERIC	FUNDAMENTAL INVESTORS-529C	0.00	11.37	0.00	11.37	88.0	10.01
	ACCOUNT #: 00075086418	BUY 0 Units @0.0000						
09/04/2018	***-**-84IN - WARMUTH, ERIC	FUNDAMENTAL INVESTORS-529C	0.00	11.37	0.00	11.37	88.0	10.01
	ACCOUNT #: 00075086546	BUY 0 Units @0.0000						
09/04/2018	***-**-5375 - CARTER, LISA	FUNDAMENTAL INVESTORS-529C	0.00	4.04	0.00	4.04	88.0	3.56
	ACCOUNT #: 00083849497	BUY 0 Units @0.0000						
09/04/2018	***-**-2855 - KRECIDLO, MARTA	FUNDAMENTAL INVESTORS-A	0.00	1.25	0.00	1.25	88.0	1.10
	ACCOUNT #: 00083946447	BUY 0 Units @0.0000						
09/04/2018	***-**-755P - SHEPPARD,	FUNDAMENTAL INVESTORS-A	0.00	3.90	0.00	3.90	88.0	3.43
	ACCOUNT #: 00084218264	BUY 0 Units @0.0000						
09/04/2018	***-**-0462 - FRIOT, MICHAEL	FUNDAMENTAL INVESTORS-A	0.00	6.23	0.00	6.23	88.0	5.48
	ACCOUNT #: 00084291287	BUY 0 Units @0.0000						
09/04/2018	***-**-20IN - DEMETRI, AMELIA	FUNDAMENTAL INVESTORS-A	0.00	0.38	0.00	0.38	88.0	0.33
	ACCOUNT #: 00085948151	BUY 0 Units @0.0000						
09/04/2018	***-**-072I - GAVALO, JULIE	FUNDAMENTAL INVESTORS-A	0.00	11.86	0.00	11.86	88.0	10.44
	ACCOUNT #: 00087112294	BUY 0 Units @0.0000						
09/04/2018	***-**-8901 - GURDO, ANTHONY	FUNDAMENTAL INVESTORS-A	0.00	0.62	0.00	0.62	88.0	0.55
	ACCOUNT #: 00087491111	BUY 0 Units @0.0000						
09/04/2018	***-**-8158 - BEHA, DEBORAH	FUNDAMENTAL INVESTORS-A	0.00	7.88	0.00	7.88	88.0	6.93
	ACCOUNT #: 00058770149	BUY 0 Units @0.0000						
09/04/2018	***-**-643I - PELLETIER, MARY	FUNDAMENTAL INVESTORS-A	0.00	0.02	0.00	0.02	88.0	0.02
	ACCOUNT #: 00083385757	BUY 0 Units @0.0000						
09/04/2018	***-**-643I - PELLETIER, MARY	FUNDAMENTAL INVESTORS-A	0.00	6.33	0.00	6.33	88.0	5.57
	ACCOUNT #: 00083385810	BUY 0 Units @0.0000						
09/04/2018	***-**-86IR - MEEKINS, LISA	FUNDAMENTAL INVESTORS-A	0.00	1.33	0.00	1.33	88.0	1.17
	ACCOUNT #: 00083811211	BUY 0 Units @0.0000						
09/04/2018	***-**-265I - MEEKINS, TIMOTHY	FUNDAMENTAL INVESTORS-A	0.00	1.20	0.00	1.20	88.0	1.06
	ACCOUNT #: 00083811243	BUY 0 Units @0.0000						
09/04/2018	***-**-265J - MEEKINS, TIMOTHY	FUNDAMENTAL INVESTORS-A	0.00	1.34	0.00	1.34	88.0	1.18
	ACCOUNT #: 00083811335	BUY 0 Units @0.0000						



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BROKER #: A76
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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
 OVERRIDE TRANSACTIONS (continued)								
 <u>BROKER: KURT GRUENEWALD (continued)</u>								
09/04/2018	***-**-443I - LATUS, FREDERICK	FUNDAMENTAL INVESTORS-A	0.00	0.25	0.00	0.25	88.0	0.22
	ACCOUNT #: 00083932986	BUY 0 Units @0.0000						
09/04/2018	***-**-20JT - KOCHER, DENISE	FUNDAMENTAL INVESTORS-A	0.00	2.75	0.00	2.75	88.0	2.42
	ACCOUNT #: 00083988898	BUY 0 Units @0.0000						
09/04/2018	***-**-5375 - CARTER, LISA	FUNDAMENTAL INVESTORS-A	0.00	0.26	0.00	0.26	88.0	0.23
	ACCOUNT #: 00084131722	BUY 0 Units @0.0000						
09/04/2018	***-**-382I - SATTERLY, NEIL	FUNDAMENTAL INVESTORS-A	0.00	0.58	0.00	0.58	88.0	0.51
	ACCOUNT #: 00084301242	BUY 0 Units @0.0000						
09/04/2018	***-**-753J - FALCHI, VALERIE	FUNDAMENTAL INVESTORS-A	0.00	1.77	0.00	1.77	88.0	1.56
	ACCOUNT #: 00084317946	BUY 0 Units @0.0000						
09/04/2018	***-**-094I - KATRENA L	FUNDAMENTAL INVESTORS-A	0.00	0.92	0.00	0.92	88.0	0.81
	ACCOUNT #: 00084459807	BUY 0 Units @0.0000						
09/04/2018	***-**-5414 - KARAM, SEGEAN	FUNDAMENTAL INVESTORS-A	0.00	0.75	0.00	0.75	88.0	0.66
	ACCOUNT #: 00084545682	BUY 0 Units @0.0000						
09/04/2018	***-**-6981 - KARAM, MARY ANN	FUNDAMENTAL INVESTORS-A	0.00	0.78	0.00	0.78	88.0	0.69
	ACCOUNT #: 00084545771	BUY 0 Units @0.0000						
09/04/2018	***-**-169I - EVANS, PAUL	FUNDAMENTAL INVESTORS-C	0.00	6.56	0.00	6.56	88.0	5.77
	ACCOUNT #: 00083808354	BUY 0 Units @0.0000						
09/04/2018	***-**-18IR - MEEKINS, KAIDEN	FUNDAMENTAL INVESTORS-C	0.00	2.96	0.00	2.96	88.0	2.60
	ACCOUNT #: 00087145992	BUY 0 Units @0.0000						
09/04/2018	***-**-890I - GURDO, ANTHONY	FUNDAMENTAL INVESTORS-C	0.00	25.99	0.00	25.99	88.0	22.87
	ACCOUNT #: 00087491111	BUY 0 Units @0.0000						
09/04/2018	***-**-643I - PELLETIER, MARY	FUNDAMENTAL INVESTORS-C	0.00	1.64	0.00	1.64	88.0	1.44
	ACCOUNT #: 00083385757	BUY 0 Units @0.0000						
09/04/2018	***-**-265J - MEEKINS, TIMOTHY	FUNDAMENTAL INVESTORS-C	0.00	14.95	0.00	14.95	88.0	13.16
	ACCOUNT #: 00083811335	BUY 0 Units @0.0000						
09/04/2018	***-**-680I - HARRELL, DARYL	FUNDAMENTAL INVESTORS-C	0.00	2.42	0.00	2.42	88.0	2.13
	ACCOUNT #: 00083996385	BUY 0 Units @0.0000						
09/04/2018	***-**-753J - FALCHI, VALERIE	FUNDAMENTAL INVESTORS-C	0.00	6.76	0.00	6.76	88.0	5.95
	ACCOUNT #: 00084317946	BUY 0 Units @0.0000						
09/04/2018	***-**-84IN - WARMUTH, ERIC	GLOBAL BALANCED FUND-529A	0.00	3.43	0.00	3.43	88.0	3.02
	ACCOUNT #: 00075086418	BUY 0 Units @0.0000						



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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>								
09/04/2018	***-**-84IN - WARMUTH, ERIC	GLOBAL BALANCED FUND-529A	0.00	3.43	0.00	3.43	88.0	3.02
	ACCOUNT #: 00075086546	BUY 0 Units @0.0000						
09/04/2018	***-**-0462 - FRIOT, MICHAEL	INTERMEDIATE BOND FUND OF AMERICA-A	0.00	0.82	0.00	0.82	88.0	0.72
	ACCOUNT #: 00084291287	BUY 0 Units @0.0000						
09/04/2018	***-**-8158 - BEHA, DEBORAH	INTERMEDIATE BOND FUND OF AMERICA-A	0.00	1.57	0.00	1.57	88.0	1.38
	ACCOUNT #: 00058770149	BUY 0 Units @0.0000						
09/04/2018	***-**-5414 - KARAM, SEGEAN	INTERMEDIATE BOND FUND OF AMERICA-A	0.00	0.31	0.00	0.31	88.0	0.27
	ACCOUNT #: 00084545682	BUY 0 Units @0.0000						
09/04/2018	***-**-6981 - KARAM, MARY ANN	INTERMEDIATE BOND FUND OF AMERICA-A	0.00	0.34	0.00	0.34	88.0	0.30
	ACCOUNT #: 00084545771	BUY 0 Units @0.0000						
09/04/2018	***-**-0462 - FRIOT, MICHAEL	INTERNATIONAL GROWTH AND INCOME-A	0.00	3.13	0.00	3.13	88.0	2.75
	ACCOUNT #: 00084291287	BUY 0 Units @0.0000						
09/04/2018	***-**-072I - GAVALO, JULIE	INTERNATIONAL GROWTH AND INCOME-A	0.00	11.90	0.00	11.90	88.0	10.47
	ACCOUNT #: 00087112294	BUY 0 Units @0.0000						
09/04/2018	***-**-8901 - GURDO, ANTHONY	INTERNATIONAL GROWTH AND INCOME-A	0.00	0.33	0.00	0.33	88.0	0.29
	ACCOUNT #: 00087491111	BUY 0 Units @0.0000						
09/04/2018	***-**-8158 - BEHA, DEBORAH	INTERNATIONAL GROWTH AND INCOME-A	0.00	4.97	0.00	4.97	88.0	4.37
	ACCOUNT #: 00058770149	BUY 0 Units @0.0000						
09/04/2018	***-**-901I - SATTERLY, ANN	INTERNATIONAL GROWTH AND INCOME-A	0.00	0.42	0.00	0.42	88.0	0.37
	ACCOUNT #: 00084301189	BUY 0 Units @0.0000						
09/04/2018	***-**-382I - SATTERLY, NEIL	INTERNATIONAL GROWTH AND INCOME-A	0.00	0.33	0.00	0.33	88.0	0.29
	ACCOUNT #: 00084301242	BUY 0 Units @0.0000						
09/04/2018	***-**-753J - FALCHI, VALERIE	INTERNATIONAL GROWTH AND INCOME-A	0.00	0.69	0.00	0.69	88.0	0.61
	ACCOUNT #: 00084317946	BUY 0 Units @0.0000						
09/04/2018	***-**-094I - KATRENA L	INTERNATIONAL GROWTH AND INCOME-A	0.00	0.25	0.00	0.25	88.0	0.22
	ACCOUNT #: 00084459807	BUY 0 Units @0.0000						
09/04/2018	***-**-5414 - KARAM, SEGEAN	INTERNATIONAL GROWTH AND INCOME-A	0.00	0.31	0.00	0.31	88.0	0.27
	ACCOUNT #: 00084545682	BUY 0 Units @0.0000						
09/04/2018	***-**-6981 - KARAM, MARY ANN	INTERNATIONAL GROWTH AND INCOME-A	0.00	0.33	0.00	0.33	88.0	0.29
	ACCOUNT #: 00084545771	BUY 0 Units @0.0000						
09/04/2018	***-**-265J - MEEKINS, TIMOTHY	INTERNATIONAL GROWTH AND INCOME-C	0.00	7.13	0.00	7.13	88.0	6.27
	ACCOUNT #: 00083811335	BUY 0 Units @0.0000						



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BROKER #: A76
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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
 OVERRIDE TRANSACTIONS (continued)								
 BROKER: KURT GRUENEWALD (continued)								
09/04/2018	***-**-753J - FALCHI, VALERIE	INTERNATIONAL GROWTH AND INCOME-C	0.00	4.16	0.00	4.16	88.0	3.66
	ACCOUNT #: 00084317946	BUY 0 Units @0.0000						
09/11/2018	***-**-805X - GATES, ROGER	JANUS HENDERSON SMALL CAP VALUE I	3,438.41	1.99	0.00	1.99	88.0	1.75
	ACCOUNT #: LSR012690	SELL 145 Units @23.7500						
09/04/2018	***-**-0462 - FRIOT, MICHAEL	LIMITED TERM TAX- EXEMPT BOND FUND	0.00	0.95	0.00	0.95	88.0	0.84
	ACCOUNT #: 00084291287	BUY 0 Units @0.0000						
09/04/2018	***-**-72TD - GAVALO, JULIE	LIMITED TERM TAX- EXEMPT BOND FUND	0.00	11.84	0.00	11.84	88.0	10.42
	ACCOUNT #: 00087169935	BUY 0 Units @0.0000						
09/11/2018	***-**-05IN - GATES, ROGER	MERIDIAN CONTRATIAN FUND	20,000.01	1,000.00	0.00	1,000.00	88.0	880.00
	ACCOUNT #: LSR012771	BUY 407 Units @49.1600						
09/04/2018	***-**-5375 - CARTER, LISA	NEW PERSPECTIVE FUND-529C	0.00	0.20	0.00	0.20	88.0	0.18
	ACCOUNT #: 00083849497	BUY 0 Units @0.0000						
09/04/2018	***-**-169I - EVANS, PAUL	NEW PERSPECTIVE FUND-A	0.00	2.44	0.00	2.44	88.0	2.15
	ACCOUNT #: 00083808354	BUY 0 Units @0.0000						
09/04/2018	***-**-072I - GAVALO, JULIE	NEW PERSPECTIVE FUND-A	0.00	16.71	0.00	16.71	88.0	14.70
	ACCOUNT #: 00087112294	BUY 0 Units @0.0000						
09/04/2018	***-**-72RI - GAVALO, JULIE	NEW PERSPECTIVE FUND-A	0.00	12.97	0.00	12.97	88.0	11.41
	ACCOUNT #: 00087231055	BUY 0 Units @0.0000						
09/04/2018	***-**-643I - PELLETIER, MARY	NEW PERSPECTIVE FUND-A	0.00	3.50	0.00	3.50	88.0	3.08
	ACCOUNT #: 00083385810	BUY 0 Units @0.0000						
09/04/2018	***-**-86IR - MEEKINS, LISA	NEW PERSPECTIVE FUND-A	0.00	0.50	0.00	0.50	88.0	0.44
	ACCOUNT #: 00083811211	BUY 0 Units @0.0000						
09/04/2018	***-**-20JT - KOHEM, DENISE	NEW PERSPECTIVE FUND-A	0.00	1.71	0.00	1.71	88.0	1.50
	ACCOUNT #: 00083988898	BUY 0 Units @0.0000						
09/04/2018	***-**-0462 - FRIOT, MICHAEL	NEW PERSPECTIVE FUND-C	0.00	4.57	0.00	4.57	88.0	4.02
	ACCOUNT #: 00084291287	BUY 0 Units @0.0000						
09/04/2018	***-**-5375 - CARTER, LISA	NEW WORLD FUND-529C	0.00	1.20	0.00	1.20	88.0	1.06
	ACCOUNT #: 00083849497	BUY 0 Units @0.0000						
09/04/2018	***-**-2855 - KRECIDLO, MARTA	NEW WORLD FUND-A	0.00	0.44	0.00	0.44	88.0	0.39
	ACCOUNT #: 00083946447	BUY 0 Units @0.0000						
09/04/2018	***-**-755P - SHEPPARD,	NEW WORLD FUND-A	0.00	1.90	0.00	1.90	88.0	1.67
	ACCOUNT #: 00084218264	BUY 0 Units @0.0000						



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 OVERRIDE TRANSACTIONS (continued) 								
 <u>BROKER: KURT GRUENEWALD (continued)</u> 								
09/04/2018	***-**-20IR - DEMETRI, AMELIA	NEW WORLD FUND-A	0.00	4.39	0.00	4.39	88.0	3.86
	ACCOUNT #: 00074234451	BUY 0 Units @0.0000						
09/04/2018	***-**-643I - PELLETIER, MARY	NEW WORLD FUND-A	0.00	2.24	0.00	2.24	88.0	1.97
	ACCOUNT #: 00083385810	BUY 0 Units @0.0000						
09/04/2018	***-**-86IR - MEEKINS, LISA	NEW WORLD FUND-A	0.00	0.59	0.00	0.59	88.0	0.52
	ACCOUNT #: 00083811211	BUY 0 Units @0.0000						
09/04/2018	***-**-265I - MEEKINS, TIMOTHY	NEW WORLD FUND-A	0.00	0.71	0.00	0.71	88.0	0.62
	ACCOUNT #: 00083811243	BUY 0 Units @0.0000						
09/04/2018	***-**-443I - LATUS, FREDERICK	NEW WORLD FUND-A	0.00	0.64	0.00	0.64	88.0	0.56
	ACCOUNT #: 00083932986	BUY 0 Units @0.0000						
09/04/2018	***-**-20JT - KOCHER, DENISE	NEW WORLD FUND-A	0.00	1.08	0.00	1.08	88.0	0.95
	ACCOUNT #: 00083988898	BUY 0 Units @0.0000						
09/04/2018	***-**-5375 - CARTER, LISA	NEW WORLD FUND-A	0.00	0.25	0.00	0.25	88.0	0.22
	ACCOUNT #: 00084131722	BUY 0 Units @0.0000						
09/04/2018	***-**-753J - FALCHI, VALERIE	NEW WORLD FUND-A	0.00	0.78	0.00	0.78	88.0	0.69
	ACCOUNT #: 00084317946	BUY 0 Units @0.0000						
09/04/2018	***-**-5414 - KARAM, SEGEAN	NEW WORLD FUND-A	0.00	0.27	0.00	0.27	88.0	0.24
	ACCOUNT #: 00084545682	BUY 0 Units @0.0000						
09/04/2018	***-**-6981 - KARAM, MARY ANN	NEW WORLD FUND-A	0.00	0.28	0.00	0.28	88.0	0.25
	ACCOUNT #: 00084545771	BUY 0 Units @0.0000						
09/04/2018	***-**-0462 - FRIOT, MICHAEL	NEW WORLD FUND-C	0.00	3.04	0.00	3.04	88.0	2.68
	ACCOUNT #: 00084291287	BUY 0 Units @0.0000						
09/04/2018	***-**-680I - HARRELL, DARYL	NEW WORLD FUND-C	0.00	1.49	0.00	1.49	88.0	1.31
	ACCOUNT #: 00083996385	BUY 0 Units @0.0000						
09/04/2018	***-**-753J - FALCHI, VALERIE	NEW WORLD FUND-C	0.00	3.80	0.00	3.80	88.0	3.34
	ACCOUNT #: 00084317946	BUY 0 Units @0.0000						
09/13/2018	***-**-7918 - BAREFOOT, JOHN	PACIFIC LIFE SE5-NYB DTCC	0.00	0.84	0.00	0.84	88.0	0.74
	ACCOUNT #: VP71073430	BUY 0 Units @0.0000						
09/04/2018	***-**-0462 - FRIOT, MICHAEL	SHORT-TERM BOND FUND OF AMERICA - A	0.00	1.03	0.00	1.03	88.0	0.91
	ACCOUNT #: 00084291287	BUY 0 Units @0.0000						
09/04/2018	***-**-8158 - BEHA, DEBORAH	SHORT-TERM BOND FUND OF AMERICA - A	0.00	1.50	0.00	1.50	88.0	1.32
	ACCOUNT #: 00058770149	BUY 0 Units @0.0000						



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<u> OVERRIDE TRANSACTIONS (continued) </u>								
<u> BROKER: KURT GRUENEWALD (continued) </u>								
09/04/2018	***-**-753J - FALCHI, VALERIE	SHORT-TERM BOND FUND OF AMERICA - A	0.00	0.70	0.00	0.70	88.0	0.62
	ACCOUNT #: 00084317946	BUY 0 Units @0.0000						
09/04/2018	***-**-5414 - KARAM, SEGEAN	SHORT-TERM BOND FUND OF AMERICA - A	0.00	0.32	0.00	0.32	88.0	0.28
	ACCOUNT #: 00084545682	BUY 0 Units @0.0000						
09/04/2018	***-**-6981 - KARAM, MARY ANN	SHORT-TERM BOND FUND OF AMERICA - A	0.00	0.33	0.00	0.33	88.0	0.29
	ACCOUNT #: 00084545771	BUY 0 Units @0.0000						
09/04/2018	***-**-2855 - KRECIDL0, MARTA	SMALLCAP WORLD FUND-A	0.00	0.48	0.00	0.48	88.0	0.42
	ACCOUNT #: 00083946447	BUY 0 Units @0.0000						
09/04/2018	***-**-755P - SHEPPARD,	SMALLCAP WORLD FUND-A	0.00	3.04	0.00	3.04	88.0	2.68
	ACCOUNT #: 00084218264	BUY 0 Units @0.0000						
09/04/2018	***-**-8158 - BEHA, DEBORAH	SMALLCAP WORLD FUND-A	0.00	1.82	0.00	1.82	88.0	1.60
	ACCOUNT #: 00058770149	BUY 0 Units @0.0000						
09/04/2018	***-**-265I - MEEKINS, TIMOTHY	SMALLCAP WORLD FUND-A	0.00	1.48	0.00	1.48	88.0	1.30
	ACCOUNT #: 00083811243	BUY 0 Units @0.0000						
09/04/2018	***-**-443I - LATUS, FREDERICK	SMALLCAP WORLD FUND-A	0.00	0.29	0.00	0.29	88.0	0.26
	ACCOUNT #: 00083932986	BUY 0 Units @0.0000						
09/04/2018	***-**-5375 - CARTER, LISA	SMALLCAP WORLD FUND-A	0.00	0.38	0.00	0.38	88.0	0.33
	ACCOUNT #: 00084131722	BUY 0 Units @0.0000						
09/04/2018	***-**-753J - FALCHI, VALERIE	SMALLCAP WORLD FUND-A	0.00	0.47	0.00	0.47	88.0	0.41
	ACCOUNT #: 00084317946	BUY 0 Units @0.0000						
09/04/2018	***-**-5414 - KARAM, SEGEAN	SMALLCAP WORLD FUND-A	0.00	0.44	0.00	0.44	88.0	0.39
	ACCOUNT #: 00084545682	BUY 0 Units @0.0000						
09/04/2018	***-**-6981 - KARAM, MARY ANN	SMALLCAP WORLD FUND-A	0.00	0.46	0.00	0.46	88.0	0.40
	ACCOUNT #: 00084545771	BUY 0 Units @0.0000						
09/04/2018	***-**-169I - EVANS, PAUL	SMALLCAP WORLD FUND-C	0.00	2.77	0.00	2.77	88.0	2.44
	ACCOUNT #: 00083808354	BUY 0 Units @0.0000						
09/04/2018	***-**-72TD - GAVALO, JULIE	TAX-EXEMPT BOND FUND OF AMERICA	0.00	15.00	0.00	15.00	88.0	13.20
	ACCOUNT #: 00087169935	BUY 0 Units @0.0000						
09/04/2018	***-**-072I - GAVALO, JULIE	THE BOND FUND OF AMERICA-A	0.00	16.72	0.00	16.72	88.0	14.71
	ACCOUNT #: 00087112294	BUY 0 Units @0.0000						
09/04/2018	***-**-81IR - CAMPBELL,	THE BOND FUND OF AMERICA-A	0.00	1.52	0.00	1.52	88.0	1.34
	ACCOUNT #: 00073375822	BUY 0 Units @0.0000						



COMMISSION STATEMENT

September 17, 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
 OVERRIDE TRANSACTIONS (continued)								
 BROKER: KURT GRUENEWALD (continued)								
09/04/2018	***-**-43IR - FRANZ, WAYNE	THE BOND FUND OF AMERICA-A	0.00	5.13	0.00	5.13	88.0	4.51
	ACCOUNT #: 00089261490	BUY 0 Units @0.0000						
09/04/2018	***-**-755P - SHEPPARD,	THE GROWTH FUND OF AMERICA-529A	0.00	0.84	0.00	0.84	88.0	0.74
	ACCOUNT #: 00084018452	BUY 0 Units @0.0000						
09/04/2018	***-**-755P - SHEPPARD,	THE GROWTH FUND OF AMERICA-529C	0.00	24.38	0.00	24.38	88.0	21.45
	ACCOUNT #: 00084018452	BUY 0 Units @0.0000						
09/04/2018	***-**-72IN - GAVALO, JULIE	THE GROWTH FUND OF AMERICA-529E	0.00	10.41	0.00	10.41	88.0	9.16
	ACCOUNT #: 00068530007	BUY 0 Units @0.0000						
09/04/2018	***-**-169I - EVANS, PAUL	THE GROWTH FUND OF AMERICA-A	0.00	1.77	0.00	1.77	88.0	1.56
	ACCOUNT #: 00083808354	BUY 0 Units @0.0000						
09/04/2018	***-**-480J - EVANS, RICHARD	THE GROWTH FUND OF AMERICA-A	0.00	3.45	0.00	3.45	88.0	3.04
	ACCOUNT #: 00073288662	BUY 0 Units @0.0000						
09/04/2018	***-**-81IR - CAMPBELL,	THE GROWTH FUND OF AMERICA-A	0.00	3.06	0.00	3.06	88.0	2.69
	ACCOUNT #: 00073375822	BUY 0 Units @0.0000						
09/04/2018	***-**-506J - CURRIERE JR, MR	THE GROWTH FUND OF AMERICA-A	0.00	8.88	0.00	8.88	88.0	7.81
	ACCOUNT #: 00083609136	BUY 0 Units @0.0000						
09/04/2018	***-**-5375 - CARTER, LISA	THE GROWTH FUND OF AMERICA-A	0.00	0.41	0.00	0.41	88.0	0.36
	ACCOUNT #: 00084131722	BUY 0 Units @0.0000						
09/04/2018	***-**-753J - FALCHI, VALERIE	THE GROWTH FUND OF AMERICA-A	0.00	1.08	0.00	1.08	88.0	0.95
	ACCOUNT #: 00084317946	BUY 0 Units @0.0000						
09/04/2018	***-**-0462 - FRIOT, MICHAEL	THE GROWTH FUND OF AMERICA-C	0.00	5.73	0.00	5.73	88.0	5.04
	ACCOUNT #: 00084291287	BUY 0 Units @0.0000						
09/04/2018	***-**-680I - HARRELL, DARYL	THE GROWTH FUND OF AMERICA-C	0.00	2.62	0.00	2.62	88.0	2.31
	ACCOUNT #: 00083996385	BUY 0 Units @0.0000						
09/04/2018	***-**-2855 - KRECIDLO, MARTA	THE INCOME FUND OF AMERICA-A	0.00	0.52	0.00	0.52	88.0	0.46
	ACCOUNT #: 00083946447	BUY 0 Units @0.0000						
09/04/2018	***-**-755P - SHEPPARD,	THE INCOME FUND OF AMERICA-A	0.00	1.93	0.00	1.93	88.0	1.70
	ACCOUNT #: 00084218264	BUY 0 Units @0.0000						
09/04/2018	***-**-0462 - FRIOT, MICHAEL	THE INCOME FUND OF AMERICA-A	0.00	3.97	0.00	3.97	88.0	3.49
	ACCOUNT #: 00084291287	BUY 0 Units @0.0000						
09/04/2018	***-**-81IR - CAMPBELL,	THE INCOME FUND OF AMERICA-A	0.00	5.35	0.00	5.35	88.0	4.71
	ACCOUNT #: 00073375822	BUY 0 Units @0.0000						



COMMISSION STATEMENT

September 17, 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
 OVERRIDE TRANSACTIONS (continued)								
 BROKER: KURT GRUENEWALD (continued)								
09/04/2018	***-**-643I - PELLETIER, MARY	THE INCOME FUND OF AMERICA-A	0.00	4.54	0.00	4.54	88.0	4.00
	ACCOUNT #: 00083385810	BUY 0 Units @0.0000						
09/04/2018	***-**-265I - MEEKINS, TIMOTHY	THE INCOME FUND OF AMERICA-A	0.00	0.91	0.00	0.91	88.0	0.80
	ACCOUNT #: 00083811243	BUY 0 Units @0.0000						
09/04/2018	***-**-265J - MEEKINS, TIMOTHY	THE INCOME FUND OF AMERICA-A	0.00	1.01	0.00	1.01	88.0	0.89
	ACCOUNT #: 00083811335	BUY 0 Units @0.0000						
09/04/2018	***-**-443I - LATUS, FREDERICK	THE INCOME FUND OF AMERICA-A	0.00	0.49	0.00	0.49	88.0	0.43
	ACCOUNT #: 00083932986	BUY 0 Units @0.0000						
09/04/2018	***-**-901I - SATTERLY, ANN	THE INCOME FUND OF AMERICA-A	0.00	0.42	0.00	0.42	88.0	0.37
	ACCOUNT #: 00084301189	BUY 0 Units @0.0000						
09/04/2018	***-**-382I - SATTERLY, NEIL	THE INCOME FUND OF AMERICA-A	0.00	0.73	0.00	0.73	88.0	0.64
	ACCOUNT #: 00084301242	BUY 0 Units @0.0000						
09/04/2018	***-**-753J - FALCHI, VALERIE	THE INCOME FUND OF AMERICA-A	0.00	1.86	0.00	1.86	88.0	1.64
	ACCOUNT #: 00084317946	BUY 0 Units @0.0000						
09/04/2018	***-**-78IR - FALES, JOAN	THE INCOME FUND OF AMERICA-A	0.00	4.63	0.00	4.63	88.0	4.07
	ACCOUNT #: 00088082227	BUY 0 Units @0.0000						
09/04/2018	***-**-43IR - FRANZ, WAYNE	THE INCOME FUND OF AMERICA-A	0.00	7.88	0.00	7.88	88.0	6.93
	ACCOUNT #: 00089261490	BUY 0 Units @0.0000						
09/04/2018	***-**-443I - LATUS, FREDERICK	THE INVESTMENT COMPANY OF AMERICA-A	0.00	0.73	0.00	0.73	88.0	0.64
	ACCOUNT #: 00083932986	BUY 0 Units @0.0000						
09/04/2018	***-**-643I - PELLETIER, MARY	THE NEW ECONOMY FUND-A	0.00	0.19	0.00	0.19	88.0	0.17
	ACCOUNT #: 00083385757	BUY 0 Units @0.0000						
09/04/2018	***-**-86IR - MEEKINS, LISA	THE NEW ECONOMY FUND-A	0.00	1.27	0.00	1.27	88.0	1.12
	ACCOUNT #: 00083811211	BUY 0 Units @0.0000						
09/04/2018	***-**-20JT - KOCHER, DENISE	THE NEW ECONOMY FUND-A	0.00	1.15	0.00	1.15	88.0	1.01
	ACCOUNT #: 00083988898	BUY 0 Units @0.0000						
09/04/2018	***-**-169I - EVANS, PAUL	THE NEW ECONOMY FUND-C	0.00	6.11	0.00	6.11	88.0	5.38
	ACCOUNT #: 00083808354	BUY 0 Units @0.0000						
09/04/2018	***-**-643I - PELLETIER, MARY	THE NEW ECONOMY FUND-C	0.00	1.83	0.00	1.83	88.0	1.61
	ACCOUNT #: 00083385757	BUY 0 Units @0.0000						
09/12/2018	***-**-366I - GRUENEWALD,	TILRAY INC COM USD0.0001 CLASS 2	1,358.24	16.74	0.00	16.74	88.0	14.73
	ACCOUNT #: LSR010989	BUY 13 Units @104.4800						



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BROKER #: A76
BRANCH #01047 - 47 - GRIFFITH

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
 OVERRIDE TRANSACTIONS (continued) 								
 BROKER: KURT GRUENEWALD (continued) 								
09/12/2018	***-**-366S - GRUENEWALD, ACCOUNT #: LSR010990	TILRAY INC COM USD0.0001 CLASS 2 BUY 6 Units @105.2150	631.29	9.88	0.00	9.88	88.0	8.69
09/04/2018	***-**-0462 - FRIOT, MICHAEL ACCOUNT #: 00084291287	U.S. GOVERNMENT SECURITIES FUND CLA BUY 0 Units @0.0000	0.00	0.26	0.00	0.26	88.0	0.23
09/04/2018	***-**-901I - SATTERLY, ANN ACCOUNT #: 00084301189	U.S. GOVERNMENT SECURITIES FUND CLA BUY 0 Units @0.0000	0.00	0.24	0.00	0.24	88.0	0.21
09/04/2018	***-**-382I - SATTERLY, NEIL ACCOUNT #: 00084301242	U.S. GOVERNMENT SECURITIES FUND CLA BUY 0 Units @0.0000	0.00	0.39	0.00	0.39	88.0	0.34
09/04/2018	***-**-43IR - FRANZ, WAYNE ACCOUNT #: 00089261490	U.S. GOVERNMENT SECURITIES FUND CLA BUY 0 Units @0.0000	0.00	4.92	0.00	4.92	88.0	4.33
09/11/2018	***-**-805X - GATES, ROGER ACCOUNT #: LSR012690	VOYA SMALL CAP OPPORTUNITIES SELL 35 Units @70.6300	2,463.50	1.99	0.00	1.99	88.0	1.75
09/04/2018	***-**-72IN - GAVALO, JULIE ACCOUNT #: 00068530008	WASHINGTON MUTUAL INVESTORS FUND-52 BUY 0 Units @0.0000	0.00	9.06	0.00	9.06	88.0	7.97
09/04/2018	***-**-169I - EVANS, PAUL ACCOUNT #: 00083808354	WASHINGTON MUTUAL INVESTORS FUND-A BUY 0 Units @0.0000	0.00	1.42	0.00	1.42	88.0	1.25
09/04/2018	***-**-443I - LATUS, FREDERICK ACCOUNT #: 00083932986	WASHINGTON MUTUAL INVESTORS FUND-A BUY 0 Units @0.0000	0.00	0.62	0.00	0.62	88.0	0.55
09/04/2018	***-**-753J - FALCHI, VALERIE ACCOUNT #: 00084317946	WASHINGTON MUTUAL INVESTORS FUND-A BUY 0 Units @0.0000	0.00	0.73	0.00	0.73	88.0	0.64
* KURT GRUENEWALD SUBTOTAL *			\$35,827.25	\$1,902.18	\$0.00	\$1,902.18		\$1,673.86
*** OVERRIDE TRANSACTIONS TOTAL ***			\$35,827.25	\$1,902.18	\$0.00	\$1,902.18		\$1,673.86



BROKER #: A76
BRANCH #01047 - 47 - GRIFFITH

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
BROKER COMMISSION TOTALS								
						Broker Transactions		\$1,446.56
						Split Transactions		\$0.00
						Override Transactions		\$1,673.86
						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		\$3,120.42
						Year-to-date Earnings		\$188,199.02