



COMMISSION STATEMENT

September 24, 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: ALTERNATIVE INVESTMENTS</u>								
08/28/2018	***-**-594I - MINER, MARY	GWG L BOND - 7 YR BUY 20 Units @1000.0000	20,000.00	1,200.00	0.00	1,200.00	88.0	1,056.00
08/28/2018	***-**-94IN - MINER, MARY	GWG L BOND - 7 YR BUY 45 Units @1000.0000	45,000.00	2,700.00	0.00	2,700.00	88.0	2,376.00
08/28/2018	***-**-594I - MINER, MARY	GWG L BOND - 2YR BUY 40 Units @1000.0000	40,000.00	1,600.00	0.00	1,600.00	88.0	1,408.00
08/28/2018	***-**-594I - MINER, MARY	GWG L BOND - 3YR BUY 40 Units @1000.0000	40,000.00	2,000.00	0.00	2,000.00	88.0	1,760.00
08/28/2018	***-**-594I - MINER, MARY	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
08/28/2018	***-**-94IN - MINER, MARY	GWG L BOND - 5 YR BUY 40 Units @1000.0000	40,000.00	2,360.00	0.00	2,360.00	88.0	2,076.80
09/24/2018	***-**-522J - RIEBEN, HENRY	GWG L-BOND 2 YR RENEWAL BUY 0 Units @0.0000	15,000.00	600.00	0.00	600.00	88.0	528.00
09/24/2018	***-**-901O - DRUMM, LOIS ACCOUNT #: 20001409	UNDERWRITER COMM BUY 0 Units @0.0000	0.00	145.05	0.00	145.05	88.0	127.64
09/24/2018	***-**-034J - NIKODEM, JOSEPH ACCOUNT #: 20001410	UNDERWRITER COMM BUY 0 Units @0.0000	0.00	319.11	0.00	319.11	88.0	280.82
09/24/2018	***-**-522J - RIEBEN, HENRY ACCOUNT #: 20001414	UNDERWRITER COMM BUY 0 Units @0.0000	0.00	333.62	0.00	333.62	88.0	293.59
09/24/2018	***-**-753I - SABANOSH, ALAN ACCOUNT #: 20001424	UNDERWRITER COMM BUY 0 Units @0.0000	0.00	336.52	0.00	336.52	88.0	296.14
09/24/2018	***-**-425I - PERRITANO, ACCOUNT #: 20001471	UNDERWRITER COMM BUY 0 Units @0.0000	0.00	203.07	0.00	203.07	88.0	178.70
09/24/2018	***-**-510I - PEREZ, STACEY ACCOUNT #: 020002436	UNDERWRITER COMM BUY 0 Units @0.0000	0.00	166.44	0.00	166.44	88.0	146.47
* ALTERNATIVE INVESTMENTS SUBTOTAL *			\$220,000.00	\$13,143.81	\$0.00	\$13,143.81		\$11,566.56



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<u>BROKER TRANSACTIONS (continued)</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
09/17/2018	***-**-801I - HAGAN III, ACCOUNT #: 00088485981	AMERICAN GLOBAL BALANCED CL C BUY 5 Units @31.6400	160.00	1.60	0.00	1.60	88.0	1.41
09/18/2018	***-**-2642 - BROWN, JEFFERY ACCOUNT #: 04000870734	AMERICAN GLOBAL BALANCED CL C BUY 2 Units @31.7900	75.00	0.75	0.00	0.75	88.0	0.66
09/18/2018	***-**-817I - WADSWORTH, ACCOUNT #: 00067441742	AMERICAN GLOBAL BALANCED CL C BUY 3 Units @31.7900	110.00	1.10	0.00	1.10	88.0	0.97
09/19/2018	***-**-94IN - MINER, MARY ACCOUNT #: LSR012743	AMERICAN HIGH-INCOME TRUST-C BUY 1949 Units @10.2600	20,000.00	218.00	18.00	200.00	88.0	176.00
09/10/2018	***-**-11IN - MOYLAN, TIMOTHY ACCOUNT #: 03222207458	CAPITAL APPRECIATION C BUY 0 Units @0.0000	7.06	0.07	0.00	0.07	88.0	0.06
09/17/2018	***-**-762I - STORSBERG, ACCOUNT #: LSR011688	CAPITAL WORLD BOND FUND-C BUY 263 Units @18.9900	4,999.99	19.99	6.00	13.99	88.0	12.31
09/17/2018	***-**-94IN - MINER, MARY ACCOUNT #: LSR012743	CAPITAL WORLD BOND FUND-C BUY 2370 Units @18.9900	45,000.00	468.00	18.00	450.00	88.0	396.00
09/17/2018	***-**-073I - WHITEFORD, DEBRA ACCOUNT #: LSR012810	CAPITAL WORLD BOND FUND-C BUY 527 Units @18.9900	10,000.00	118.00	18.00	100.00	88.0	88.00
09/17/2018	***-**-57IO - MATTHEWS, ACCOUNT #: LSR012822	CAPITAL WORLD BOND FUND-C BUY 421 Units @18.9900	7,999.99	98.00	18.00	80.00	88.0	70.40
09/18/2018	***-**-594I - MINER, MARY ACCOUNT #: LSR012744	CAPITAL WORLD BOND FUND-C BUY 1319 Units @18.9500	25,000.00	268.00	18.00	250.00	88.0	220.00
09/04/2018	***-**-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
09/19/2018	***-**-757J - MATTHEWS, ACCOUNT #: LSR012824	COLUMBIA LARGE CAP GROWTH FUND CLAS SELL 99 Units @45.3600	4,499.98	18.00	18.00	0.00	88.0	0.00
09/20/2018	***-**-757J - MATTHEWS, ACCOUNT #: LSR012824	COLUMBIA LARGE CAP GROWTH FUND CLAS SELL 175 Units @45.7600	7,999.99	18.00	18.00	0.00	88.0	0.00
09/10/2018	***-**-11IN - MOYLAN, TIMOTHY ACCOUNT #: 08370450780	EQUITY INCOME FUND, INC. C BUY 0 Units @0.0000	10.59	0.11	0.00	0.11	88.0	0.10
09/17/2018	***-**-5485 - GAETANO, ACCOUNT #: 00082975488	EUROPACIFIC GROWTH FUND-A BUY 1 Units @54.8500	33.00	1.40	0.00	1.40	88.0	1.23
09/18/2018	***-**-788I - ALBARRAN, CARLOS ACCOUNT #: 00085186008	FUNDAMENTAL INVESTORS-C BUY 2 Units @64.5600	100.00	1.00	0.00	1.00	88.0	0.88



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUNDS (continued)								
09/10/2018	***-**-11IN - MOYLAN, TIMOTHY	GLOBAL OPPORTUNITIES FUND C	7.06	0.07	0.00	0.07	88.0	0.06
	ACCOUNT #: 02171646359	BUY 0 Units @0.0000						
09/17/2018	***-**-74IN - DRUMM, PATRICK	INCOME FUND OF AMERICA CLASS C	4,914.90	18.00	18.00	0.00	88.0	0.00
	ACCOUNT #: LSR012775	SELL 215 Units @22.8600						
09/17/2018	***-**-94IN - MINER, MARY	INTERNATIONAL GROWTH AND INCOME-C	40,000.01	418.00	18.00	400.00	88.0	352.00
	ACCOUNT #: LSR012743	BUY 1229 Units @32.5500						
09/17/2018	***-**-073I - WHITEFORD, DEBRA	INTERNATIONAL GROWTH AND INCOME-C	14,999.98	168.00	18.00	150.00	88.0	132.00
	ACCOUNT #: LSR012810	BUY 461 Units @32.5500						
09/17/2018	***-**-762I - STORSBERG,	LORD ABBETT ALPHA STRATEGY CL C	17,210.81	18.00	18.00	0.00	88.0	0.00
	ACCOUNT #: LSR011688	SELL 677 Units @25.4200						
09/17/2018	***-**-762I - STORSBERG,	LORD ABBETT GROWTH OPPORTUNITIES CL	14,162.66	18.00	18.00	0.00	88.0	0.00
	ACCOUNT #: LSR011688	SELL 838 Units @16.9000						
09/17/2018	***-**-74IN - DRUMM, PATRICK	LORD ABBETT SHORT DURATION INCOME C	5,241.69	18.00	18.00	0.00	88.0	0.00
	ACCOUNT #: LSR012775	SELL 1251 Units @4.1900						
09/17/2018	***-**-74IN - DRUMM, PATRICK	MFS GLOBAL TOTAL RETURN FUND-B	9,799.02	18.00	18.00	0.00	88.0	0.00
	ACCOUNT #: LSR012775	SELL 539 Units @18.1800						
09/10/2018	***-**-686I - STRUMPFLER, MARK	MFS UTILITIES FUND-B	75.00	3.00	0.00	3.00	88.0	2.64
	ACCOUNT #: 00060352385	BUY 4 Units @20.7600						
09/10/2018	***-**-11IN - MOYLAN, TIMOTHY	OPPENHEIMER GLOBAL CLASS C	3.53	0.04	0.00	0.04	88.0	0.04
	ACCOUNT #: 03322653882	BUY 0 Units @0.0000						
09/10/2018	***-**-11IN - MOYLAN, TIMOTHY	OPPENHEIMER INTERNATIONAL DIVERSIFI	14.12	0.14	0.00	0.14	88.0	0.12
	ACCOUNT #: 01970849123	BUY 0 Units @0.0000						
09/10/2018	***-**-11IN - MOYLAN, TIMOTHY	OPPENHEIMER RISING DIVIDENDS FUND C	14.12	0.14	0.00	0.14	88.0	0.12
	ACCOUNT #: 02270899503	BUY 0 Units @0.0000						
09/10/2018	***-**-11IN - MOYLAN, TIMOTHY	QUEST INTERNATIONAL VALUE FUND, INC	7.06	0.07	0.00	0.07	88.0	0.06
	ACCOUNT #: 02560289795	BUY 0 Units @0.0000						
09/10/2018	***-**-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						
09/10/2018	***-**-11IN - MOYLAN, TIMOTHY	REAL ESTATE FUND C	7.06	0.07	0.00	0.07	88.0	0.06
	ACCOUNT #: 05920286891	BUY 0 Units @0.0000						
09/17/2018	***-**-57IO - MATTHEWS,	RESOURCE CREDIT INCOME FUND C	12,500.00	143.00	18.00	125.00	88.0	110.00
	ACCOUNT #: LSR012822	BUY 1097 Units @11.3900						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUNDS (continued)								
09/17/2018	***-**-5485 - GAETANO, ACCOUNT #: 00082975488	SMALLCAP WORLD FUND-A BUY 1 Units @62.8300	33.00	1.40	0.00	1.40	88.0	1.23
09/17/2018	***-**-762I - STORSBERG, ACCOUNT #: LSR011688	SMALLCAP WORLD FUND-C SELL 96 Units @52.2100	5,000.00	0.00	6.00	-6.00	100.0	-6.00
09/17/2018	***-**-5485 - GAETANO, ACCOUNT #: 00082975488	THE GROWTH FUND OF AMERICA-A BUY 1 Units @58.4200	34.00	1.45	0.00	1.45	88.0	1.28
09/17/2018	***-**-14IR - MATTHEWS, HOLLY ACCOUNT #: LSR012823	VANGUARD MONEY MKT PRIME PORTFOLIO SELL 3077 Units @1.0000	3,077.06	18.00	18.00	0.00	88.0	0.00
* MUTUAL FUNDS SUBTOTAL *			\$253,526.93	\$2,077.23	\$300.00	\$1,777.23		\$1,563.24
PRODUCT CATEGORY: STOCKS								
09/14/2018	***-**-59IN - MORGAN, WILLIAM ACCOUNT #: LSR010842	AMARIN CORP ADR EACH REP 1 ORD GBP0 BUY 100 Units @2.8600	286.00	3.33	17.00	-13.67	100.0	-13.67
09/14/2018	***-**-59IN - MORGAN, WILLIAM ACCOUNT #: LSR010842	AMARIN CORP ADR EACH REP 1 ORD GBP0 BUY 400 Units @2.8590	1,143.60	13.33	8.00	5.33	88.0	4.69
09/14/2018	***-**-59IN - MORGAN, WILLIAM ACCOUNT #: LSR010842	AMARIN CORP ADR EACH REP 1 ORD GBP0 BUY 100 Units @2.8600	286.00	3.33	2.00	1.33	88.0	1.17
09/14/2018	***-**-59IN - MORGAN, WILLIAM ACCOUNT #: LSR010842	AMARIN CORP ADR EACH REP 1 ORD GBP0 BUY 900 Units @2.8590	2,573.10	29.99	18.00	11.99	88.0	10.55
09/17/2018	***-**-74IN - DRUMM, PATRICK ACCOUNT #: LSR012775	AT&T INC COM SELL 90 Units @33.5340	3,018.06	59.99	16.80	43.19	88.0	38.01
09/17/2018	***-**-74IN - DRUMM, PATRICK ACCOUNT #: LSR012775	COMCAST CORP NEW CL A UNSOLICITED O SELL 4 Units @37.0970	148.39	49.99	18.00	31.99	88.0	28.15
09/17/2018	***-**-94IN - MINER, MARY ACCOUNT #: LSR012743	EVERSOURCE ENERGY COM SELL 186 Units @63.5900	11,827.74	137.49	18.72	118.77	88.0	104.52
09/19/2018	***-**-94IN - MINER, MARY ACCOUNT #: LSR012743	EXXON MOBIL CORP UNSOLICITED ORDER SELL 300 Units @84.4900	25,347.00	397.49	21.00	376.49	88.0	331.31
09/17/2018	***-**-94IN - MINER, MARY ACCOUNT #: LSR012743	JPMORGAN CHASE & CO SOLICITED ORDER SELL 200 Units @113.5600	22,712.00	337.49	19.00	318.49	88.0	280.27
09/17/2018	***-**-74IN - DRUMM, PATRICK ACCOUNT #: LSR012775	PROGRESS ENERGY INC CONTINGENT VALU SELL 3 Units @0.5380	1.61	0.00	18.00	-18.00	100.0	-18.00
09/19/2018	***-**-94IN - MINER, MARY ACCOUNT #: LSR012743	RAYTHEON CO COM NEW SOLICITED ORDER SELL 50 Units @207.5500	10,377.50	177.49	16.00	161.49	88.0	142.11



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: STOCKS (continued)								
09/18/2018	***-**-94IN - MINER, MARY	STEIN MART INC COM	4,950.00	49.99	18.00	31.99	88.0	28.15
	ACCOUNT #: LSR012743	BUY 2500 Units @1.9800						
09/19/2018	***-**-94IN - MINER, MARY	STEIN MART INC COM	5,100.00	57.49	18.00	39.49	88.0	34.75
	ACCOUNT #: LSR012743	BUY 2500 Units @2.0400						
09/18/2018	***-**-94IN - MINER, MARY	UNITED TECHNOLOGIES CORP UNSOLICITE	27,940.00	487.49	19.00	468.49	88.0	412.27
	ACCOUNT #: LSR012743	SELL 200 Units @139.7000						
09/17/2018	***-**-369I - DAVIS, BRUCE	VERIZON COMMUNICATIONS UNSOLICITED	5,514.60	77.49	17.02	60.47	88.0	53.21
	ACCOUNT #: LSR011029	SELL 101 Units @54.6000						
09/17/2018	***-**-94IN - MINER, MARY	VERIZON COMMUNICATIONS UNSOLICITED	10,936.00	97.49	19.00	78.49	88.0	69.07
	ACCOUNT #: LSR012743	SELL 200 Units @54.6800						
09/17/2018	***-**-74IN - DRUMM, PATRICK	VERIZON COMMUNICATIONS UNSOLICITED	983.56	49.99	15.36	34.63	88.0	30.47
	ACCOUNT #: LSR012775	SELL 18 Units @54.6420						
09/17/2018	***-**-762I - STORSBERG,	WESTPAC BANKING CORPORATION ADR(EAC	8,016.00	97.49	23.00	74.49	88.0	65.55
	ACCOUNT #: LSR011688	BUY 400 Units @20.0400						
* STOCKS SUBTOTAL *			\$141,161.16	\$2,127.35	\$301.90	\$1,825.45		\$1,602.58
PRODUCT CATEGORY: 529 PLAN								
09/24/2018	***-**-244I - BURTON, RICHARD	NY 529 ADDITIONAL DEPOSIT	50.00	0.50	0.00	0.50	88.0	0.44
	ACCOUNT #: 77243486101	BUY 0 Units @0.0000						
* 529 PLAN SUBTOTAL *			\$50.00	\$0.50	\$0.00	\$0.50		\$0.44
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS								
09/24/2018	***-**-015P - SABANOSH, SHERYL	HARTFORD SMART 529 TRAILS	0.00	0.25	0.00	0.25	88.0	0.22
		BUY 0 Units @0.0000						
09/24/2018	***-**-015P - SABANOSH, SHERYL	HARTFORD SMART 529 TRAILS	0.00	0.85	0.00	0.85	88.0	0.75
		BUY 0 Units @0.0000						
09/24/2018	***-**-679I - MURSCH JR,	NEW YORK 529 TRAILS	0.00	4.44	0.00	4.44	88.0	3.91
	ACCOUNT #: 77041375401	BUY 0 Units @0.0000						
09/24/2018	***-**-541I - ORSINO, LISA	NEW YORK 529 TRAILS	0.00	2.37	0.00	2.37	88.0	2.09
	ACCOUNT #: 77049971001	BUY 0 Units @0.0000						
09/24/2018	***-**-29IO - LORUSSO, VINCENT	NEW YORK 529 TRAILS	0.00	0.02	0.00	0.02	88.0	0.02
	ACCOUNT #: 77089153301	BUY 0 Units @0.0000						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
09/24/2018	***-**-745P - SCOTELLARO,	NEW YORK 529 TRAILS BUY 0 Units @0.0000	0.00	2.89	0.00	2.89	88.0	2.54
09/24/2018	***-**-225P - DAMSKY, CYNTHIA	NEW YORK 529 TRAILS BUY 0 Units @0.0000	0.00	4.27	0.00	4.27	88.0	3.76
09/24/2018	***-**-0862 - REDMOND, EILEEN ACCOUNT #: 77172702501	NEW YORK 529 TRAILS BUY 0 Units @0.0000	0.00	3.08	0.00	3.08	88.0	2.71
09/24/2018	***-**-244I - BURTON, RICHARD ACCOUNT #: 77243486101	NEW YORK 529 TRAILS BUY 0 Units @0.0000	0.00	0.04	0.00	0.04	88.0	0.04
09/24/2018	***-**-467I - PICKARD, BRIAN ACCOUNT #: 77247884901	NEW YORK 529 TRAILS BUY 0 Units @0.0000	0.00	1.14	0.00	1.14	88.0	1.00
09/24/2018	***-**-93JT - WADSWORTH, ACCOUNT #: 77296639001	NEW YORK 529 TRAILS BUY 0 Units @0.0000	0.00	1.07	0.00	1.07	88.0	0.94
09/24/2018	***-**-21IN - DANIELS, JOHN ACCOUNT #: 77376247101	NEW YORK 529 TRAILS BUY 0 Units @0.0000	0.00	9.55	0.00	9.55	88.0	8.40
09/24/2018	***-**-0862 - REDMOND, EILEEN ACCOUNT #: 77519113701	NEW YORK 529 TRAILS BUY 0 Units @0.0000	0.00	0.73	0.00	0.73	88.0	0.64
09/24/2018	***-**-39IN - CLEARY, KAREN ACCOUNT #: 77678090301	NEW YORK 529 TRAILS BUY 0 Units @0.0000	0.00	4.88	0.00	4.88	88.0	4.29
09/24/2018	***-**-497I - MARTIN, KATHLEEN	NEW YORK 529 TRAILS BUY 0 Units @0.0000	0.00	1.77	0.00	1.77	88.0	1.56
09/24/2018	***-**-015P - SABANOSH, SHERYL ACCOUNT #: 77775742701	NEW YORK 529 TRAILS BUY 0 Units @0.0000	0.00	7.90	0.00	7.90	88.0	6.95
09/24/2018	***-**-753I - SABANOSH, ALAN ACCOUNT #: 20022581	RESOURCE REAL ESTATE TRAILS BUY 0 Units @0.0000	0.00	18.99	0.00	18.99	88.0	16.71
09/24/2018	***-**-61IN - FILEY, JOHN	RESOURCE REAL ESTATE TRAILS BUY 0 Units @0.0000	0.00	19.61	0.00	19.61	88.0	17.26
09/24/2018	***-**-42IN - JENKINS, DAVID ACCOUNT #: 20032579	RESOURCE REAL ESTATE TRAILS BUY 0 Units @0.0000	0.00	9.01	0.00	9.01	88.0	7.93
09/24/2018	***-**-76IN - BOSHART-LOWE, ACCOUNT #: 20033053	RESOURCE REAL ESTATE TRAILS BUY 0 Units @0.0000	0.00	19.16	0.00	19.16	88.0	16.86
09/24/2018	***-**-599I - MCCARTHY, DONNA ACCOUNT #: 20033434	RESOURCE REAL ESTATE TRAILS BUY 0 Units @0.0000	0.00	10.72	0.00	10.72	88.0	9.43



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
09/24/2018	***-**-60IN - SCHRADER, KEVIN	RESOURCE REAL ESTATE TRAILS	0.00	14.49	0.00	14.49	88.0	12.75
	ACCOUNT #: 20021808	BUY 0 Units @0.0000						
09/24/2018	***-**-11IN - MOYLAN, TIMOTHY	RESOURCE REAL ESTATE TRAILS	0.00	10.85	0.00	10.85	88.0	9.55
	ACCOUNT #: 20022106	BUY 0 Units @0.0000						
09/24/2018	***-**-01IN - HAGAN III,	RESOURCE REAL ESTATE TRAILS	0.00	18.75	0.00	18.75	88.0	16.50
	ACCOUNT #: 20022138	BUY 0 Units @0.0000						
09/24/2018	***-**-034J - NIKODEM, JOSEPH	RESOURCE REAL ESTATE TRAILS	0.00	18.75	0.00	18.75	88.0	16.50
		BUY 0 Units @0.0000						
09/24/2018	***-**-034J - NIKODEM, JOSEPH	RESOURCE REAL ESTATE TRAILS	0.00	-18.75	0.00	-18.75	88.0	-16.50
		BUY 0 Units @0.0000						
09/24/2018	***-**-034J - NIKODEM, JOSEPH	RESOURCE REAL ESTATE TRAILS	0.00	23.72	0.00	23.72	88.0	20.87
		BUY 0 Units @0.0000						
09/24/2018	***-**-621I - DANIELS SR, JOHN	RESOURCE REAL ESTATE TRAILS	0.00	18.75	0.00	18.75	88.0	16.50
	ACCOUNT #: 20022107	BUY 0 Units @0.0000						
	* MUTUAL FUND 12B1 TRAILS SUBTOTAL *		\$0.00	\$209.30	\$0.00	\$209.30		\$184.18
	*** BROKER TRANSACTIONS TOTAL ***		\$614,738.09	\$17,558.19	\$601.90	\$16,956.29		\$14,917.00

OVERRIDE TRANSACTIONS

BROKER: KURT GRUENEWALD

09/17/2018	***-**-5375 - CARTER, LISA	AMERICAN BALANCED FUND-529C	500.00	5.00	0.00	5.00	88.0	4.40
	ACCOUNT #: 00083996363	BUY 18 Units @27.7600						
09/18/2018	***-**-05IN - GATES, ROGER	CAPITAL WORLD BOND FUND-C	20,000.00	200.00	0.00	200.00	88.0	176.00
	ACCOUNT #: LSR012771	BUY 1055 Units @18.9500						
09/17/2018	***-**-2855 - KRECIDLO, MARTA	CAPITAL WORLD GROWTH AND INCOME FUN	75.00	0.75	0.00	0.75	88.0	0.66
	ACCOUNT #: 00083510745	BUY 2 Units @49.7600						
09/17/2018	***-**-0069 - KRECIDLO,	CAPITAL WORLD GROWTH AND INCOME FUN	75.00	0.75	0.00	0.75	88.0	0.66
	ACCOUNT #: 00083510637	BUY 2 Units @49.7600						
09/24/2018	***-**-9440 - MAYO, DEBORAH	EATON VANCE MF TRAILS	0.00	0.43	0.00	0.43	88.0	0.38
	ACCOUNT #: 5034930049	BUY 0 Units @0.0000						
09/24/2018	***-**-9440 - MAYO, DEBORAH	EATON VANCE MF TRAILS	0.00	0.42	0.00	0.42	88.0	0.37
	ACCOUNT #: 5034930049	BUY 0 Units @0.0000						



COMMISSION STATEMENT

September 24, 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)								
 <u>BROKER: KURT GRUENEWALD (continued)</u>								
09/24/2018	***-**-9440 - MAYO, DEBORAH	EATON VANCE MF TRAILS	0.00	0.19	0.00	0.19	88.0	0.17
	ACCOUNT #: 5034930049	BUY 0 Units @0.0000						
09/24/2018	***-**-9440 - MAYO, DEBORAH	EATON VANCE MF TRAILS	0.00	0.24	0.00	0.24	88.0	0.21
	ACCOUNT #: 5034930049	BUY 0 Units @0.0000						
09/18/2018	***-**-287J - HINCKLEY,	EQUITY INCOME FUND, INC. A	2,939.07	1.99	0.00	1.99	88.0	1.75
	ACCOUNT #: LSR010841	SELL 89 Units @32.9500						
09/10/2018	***-**-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						
09/17/2018	***-**-05IN - GATES, ROGER	MICROSOFT CORP UNSOLICITED ORDER EX	12,941.53	229.49	0.00	229.49	88.0	201.95
	ACCOUNT #: LSR012771	SELL 115 Units @112.5350						
09/24/2018	***-**-9440 - MAYO, DEBORAH	NEW YORK 529 TRAILS	0.00	7.64	0.00	7.64	88.0	6.72
	ACCOUNT #: 77002217601	BUY 0 Units @0.0000						
09/24/2018	***-**-80IN - COBB, JAMES	NEW YORK 529 TRAILS	0.00	30.73	0.00	30.73	88.0	27.04
	ACCOUNT #: 77169961901	BUY 0 Units @0.0000						
09/24/2018	***-**-665P - MCCLUSKY, YVONNE	NEW YORK 529 TRAILS	0.00	0.84	0.00	0.84	88.0	0.74
	ACCOUNT #: 77237884701	BUY 0 Units @0.0000						
09/24/2018	***-**-0069 - KRECIDLO,	NEW YORK 529 TRAILS	0.00	2.07	0.00	2.07	88.0	1.82
	ACCOUNT #: 77308070501	BUY 0 Units @0.0000						
09/24/2018	***-**-614J - BUSHEY, MATTHEW	NEW YORK 529 TRAILS	0.00	3.27	0.00	3.27	88.0	2.88
		BUY 0 Units @0.0000						
09/24/2018	***-**-5384 - GURDO, JESSICA	NEW YORK 529 TRAILS	0.00	0.50	0.00	0.50	88.0	0.44
		BUY 0 Units @0.0000						
09/24/2018	***-**-0767 - DOVI,	NEW YORK 529 TRAILS	0.00	0.95	0.00	0.95	88.0	0.84
	ACCOUNT #: 77579193101	BUY 0 Units @0.0000						
09/24/2018	***-**-251I - SCALISE, MARY	NEW YORK 529 TRAILS	0.00	35.99	0.00	35.99	88.0	31.67
	ACCOUNT #: 77691153101	BUY 0 Units @0.0000						
09/24/2018	***-**-635P - LASCALA, DEBORAH	NEW YORK 529 TRAILS	0.00	2.00	0.00	2.00	88.0	1.76
	ACCOUNT #: 77699193301	BUY 0 Units @0.0000						
09/24/2018	***-**-065P - CAMPBELL, PAMELA	NEW YORK 529 TRAILS	0.00	0.78	0.00	0.78	88.0	0.69
	ACCOUNT #: 77830931201	BUY 0 Units @0.0000						
09/24/2018	***-**-473J - HUSTON,	NEW YORK 529 TRAILS	0.00	15.93	0.00	15.93	88.0	14.02
	ACCOUNT #: 77852732401	BUY 0 Units @0.0000						



COMMISSION STATEMENT

September 24, 2018

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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>								
09/24/2018	***-**-20IR - DEMETRI, AMELIA	NEW YORK 529 TRAILS	0.00	1.04	0.00	1.04	88.0	0.92
	ACCOUNT #: 77854436501	BUY 0 Units @0.0000						
09/24/2018	***-**-205P - RHYMESTINE, ERIC	NEW YORK 529 TRAILS	0.00	0.51	0.00	0.51	88.0	0.45
	ACCOUNT #: 77885699801	BUY 0 Units @0.0000						
09/24/2018	***-**-614J - BUSHEY, MATTHEW	NY 529 ADDITIONAL DEPOSIT	100.00	4.75	0.00	4.75	88.0	4.18
		BUY 0 Units @0.0000						
09/24/2018	***-**-20IR - DEMETRI, AMELIA	NY 529 ADDITIONAL DEPOSIT	50.00	2.42	0.00	2.42	88.0	2.13
	ACCOUNT #: 77854436501	BUY 0 Units @0.0000						
09/10/2018	***-**-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						
09/10/2018	***-**-48JT - LEE, DARLENE	OPPENHEIMER ACTIVE ALLOCATION FUND	50.00	0.50	0.00	0.50	88.0	0.44
	ACCOUNT #: 05521043603	BUY 0 Units @0.0000						
09/10/2018	***-**-48JT - LEE, DARLENE	OPPENHEIMER INTERNATIONAL DIVERSIFI	50.00	0.50	0.00	0.50	88.0	0.44
	ACCOUNT #: 01971019612	BUY 0 Units @0.0000						
09/24/2018	***-**-671I - EBERLEY, REID	RESOURCE REAL ESTATE TRAILS	0.00	14.24	0.00	14.24	88.0	12.53
	ACCOUNT #: 20021572	BUY 0 Units @0.0000						
09/24/2018	***-**-44IO - MAYO, DEBORAH	RESOURCE REAL ESTATE TRAILS	0.00	9.67	0.00	9.67	88.0	8.51
	ACCOUNT #: 020026000	BUY 0 Units @0.0000						
09/24/2018	***-**-524I - SCALISE, JOSEPH	RESOURCE REAL ESTATE TRAILS	0.00	0.54	0.00	0.54	88.0	0.48
		BUY 0 Units @0.0000						
09/24/2018	***-**-44IO - MAYO, DEBORAH	RESOURCE REAL ESTATE TRAILS	0.00	9.67	0.00	9.67	88.0	8.51
	ACCOUNT #: 020026000	BUY 0 Units @0.0000						
09/24/2018	***-**-524I - SCALISE, JOSEPH	RESOURCE REAL ESTATE TRAILS	0.00	0.54	0.00	0.54	88.0	0.48
		BUY 0 Units @0.0000						
09/24/2018	***-**-15IN - PENDRAK, JOHN	RESOURCE REAL ESTATE TRAILS	0.00	1.70	0.00	1.70	88.0	1.50
		BUY 0 Units @0.0000						
09/24/2018	***-**-960J - MASTRANGELO,	RESOURCE REAL ESTATE TRAILS	0.00	17.04	0.00	17.04	88.0	15.00
	ACCOUNT #: 20002467	BUY 0 Units @0.0000						
09/24/2018	***-**-44IO - MAYO, DEBORAH	RESOURCE REAL ESTATE TRAILS	0.00	25.84	0.00	25.84	88.0	22.74
	ACCOUNT #: 020026000	BUY 0 Units @0.0000						
09/24/2018	***-**-31IN - WARMUTH,	RESOURCE REAL ESTATE TRAILS	0.00	4.40	0.00	4.40	88.0	3.87
	ACCOUNT #: 20032739	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> 								
09/24/2018	***-**-531J - WILLIAMSON, ACCOUNT #: 20033096	RESOURCE REAL ESTATE TRAILS BUY 0 Units @0.0000	0.00	12.77	0.00	12.77	88.0	11.24
09/24/2018	***-**-65IN - LAZIO, THOMAS ACCOUNT #: 20010459	RESOURCE REAL ESTATE TRAILS BUY 0 Units @0.0000	0.00	18.75	0.00	18.75	88.0	16.50
09/24/2018	***-**-44IO - MAYO, DEBORAH ACCOUNT #: 020026000	RESOURCE REAL ESTATE TRAILS BUY 0 Units @0.0000	0.00	-9.67	0.00	-9.67	88.0	-8.51
09/24/2018	***-**-524I - SCALISE, JOSEPH	RESOURCE REAL ESTATE TRAILS BUY 0 Units @0.0000	0.00	-0.54	0.00	-0.54	88.0	-0.48
09/18/2018	***-**-287J - HINCKLEY, ACCOUNT #: LSR010841	RISING DIVIDENDS FUND A SELL 136 Units @20.9000	2,845.39	1.99	0.00	1.99	88.0	1.75
09/20/2018	***-**-755P - SHEPPARD, ACCOUNT #: 00084018452	THE GROWTH FUND OF AMERICA-529C BUY 1 Units @52.2600	50.00	0.50	0.00	0.50	88.0	0.44
09/17/2018	***-**-20IO - DEMETRI, AMELIA ACCOUNT #: LSR010995	THE SCOTTS MIRACLE GRO COMPANY CL A BUY 75 Units @78.6650	5,899.88	60.50	0.00	60.50	88.0	53.24
09/17/2018	***-**-366I - GRUENEWALD, ACCOUNT #: LSR010989	TILRAY INC COM USD0.0001 CLASS 2 BUY 17 Units @117.6760	2,000.49	22.61	0.00	22.61	88.0	19.90
09/24/2018	***-**-86IN - LEE, KEVIN ACCOUNT #: 20001477	UNDERWRITER COMM BUY 0 Units @0.0000	0.00	75.43	0.00	75.43	88.0	66.38
09/20/2018	***-**-930J - SANGER, KEVIN ACCOUNT #: LSR010940	WESTPAC BANKING CORPORATION ADR(EAC BUY 200 Units @20.4470	4,089.40	30.99	0.00	30.99	88.0	27.27
* KURT GRUENEWALD SUBTOTAL *			\$51,790.76	\$847.90	\$0.00	\$847.90		\$746.18
*** OVERRIDE TRANSACTIONS TOTAL ***			\$51,790.76	\$847.90	\$0.00	\$847.90		\$746.18



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		\$14,917.00
						Split Transactions		\$0.00
						Override Transactions		\$746.18
						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		\$15,663.18
						Year-to-date Earnings		\$203,862.20