



# COMMISSION STATEMENT

## December 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
<b><u>BROKER TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: MUTUAL FUNDS</u></b>								
12/19/2018	***-**-892I - O'BRIEN, ANDREA	AMERICAN FUNDS 2040 TARGET DATE-A	3,774.38	19.99	18.00	1.99	88.0	1.75
	ACCOUNT #: LSR012854	SELL 265 Units @14.2300						
12/17/2018	***-**-801I - HAGAN III,	AMERICAN GLOBAL BALANCED CL C	160.00	1.60	0.00	1.60	88.0	1.41
	ACCOUNT #: 00088485981	BUY 5 Units @29.9100						
12/17/2018	***-**-80IN - GRIFFITH, DAVID	EUROPACIFIC GROWTH FUND-A	1,500.02	1.99	18.00	-16.01	100.0	-16.01
	ACCOUNT #: LSF000286	SELL 32 Units @46.4200						
12/17/2018	***-**-5485 - GAETANO,	EUROPACIFIC GROWTH FUND-A	33.00	1.40	0.00	1.40	88.0	1.23
	ACCOUNT #: 00082975488	BUY 1 Units @48.8600						
12/20/2018	***-**-80IN - GRIFFITH, DAVID	EUROPACIFIC GROWTH FUND-A	1,500.01	9.99	18.00	-8.01	100.0	-8.01
	ACCOUNT #: LSF000286	SELL 34 Units @44.6100						
12/20/2018	***-**-686I - STRUMPFLER, MARK	MFS UTILITIES FUND-B	75.00	3.00	0.00	3.00	88.0	2.64
	ACCOUNT #: 00060352385	BUY 4 Units @20.3800						
12/17/2018	***-**-5485 - GAETANO,	SMALLCAP WORLD FUND-A	33.00	1.40	0.00	1.40	88.0	1.23
	ACCOUNT #: 00082975488	BUY 1 Units @53.1200						
12/18/2018	***-**-80IN - GRIFFITH, DAVID	SMALLCAP WORLD FUND-A	2,000.02	19.99	18.00	1.99	88.0	1.75
	ACCOUNT #: LSF000286	SELL 40 Units @50.4800						
12/17/2018	***-**-5485 - GAETANO,	THE GROWTH FUND OF AMERICA-A	34.00	1.45	0.00	1.45	88.0	1.28
	ACCOUNT #: 00082975488	BUY 1 Units @51.1600						
* MUTUAL FUNDS SUBTOTAL *			<b>\$9,109.43</b>	<b>\$60.81</b>	<b>\$72.00</b>	<b>\$-11.19</b>		<b>\$-12.73</b>
<b><u>PRODUCT CATEGORY: STOCKS</u></b>								
12/14/2018	***-**-59IN - MORGAN, WILLIAM	B2GOLD CORP COM ISIN #CA11777Q2099	2,630.00	49.99	35.00	14.99	88.0	13.19
	ACCOUNT #: LSR010842	SELL 1000 Units @2.6300						
12/14/2018	***-**-59IN - MORGAN, WILLIAM	BIOLINE RX LTD SPON ADR EACH REPR 1	1,920.00	49.99	75.00	-25.01	100.0	-25.01
	ACCOUNT #: LSR010842	BUY 3000 Units @0.6400						
12/14/2018	***-**-59IN - MORGAN, WILLIAM	DENBURY RES INC DEL COM USD0.001	4,280.00	49.99	55.00	-5.01	100.0	-5.01
	ACCOUNT #: LSR010842	BUY 2000 Units @2.1400						
12/14/2018	***-**-467J - PICKARD, BRIAN	DENBURY RES INC DEL COM USD0.001	3,165.00	49.99	45.00	4.99	88.0	4.39
	ACCOUNT #: LSR010943	BUY 1500 Units @2.1100						
12/19/2018	***-**-361J - ALOISIO,	DENBURY RES INC DEL COM USD0.001	8,800.00	147.49	115.00	32.49	88.0	28.59
	ACCOUNT #: LSR010886	BUY 5000 Units @1.7600						
12/14/2018	***-**-59IN - MORGAN, WILLIAM	DHT HOLDINGS INC SHS NEW	4,210.00	49.99	35.00	14.99	88.0	13.19
	ACCOUNT #: LSR010842	SELL 1000 Units @4.2100						



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<b>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: STOCKS (continued)</b>								
12/14/2018	***-**-467J - PICKARD, BRIAN ACCOUNT #: LSR010943	DIEBOLD NIXDORF INCORPORATED COM US BUY 1000 Units @2.6600	2,660.00	49.99	35.00	14.99	88.0	13.19
12/14/2018	***-**-59IN - MORGAN, WILLIAM ACCOUNT #: LSR010842	GENESIS HEALTHCARE INC CL A COM ISI SELL 4500 Units @1.6400	7,380.00	49.99	105.00	-55.01	100.0	-55.01
12/14/2018	***-**-59IN - MORGAN, WILLIAM ACCOUNT #: LSR010842	STEIN MART INC COM BUY 4000 Units @1.1600	4,640.00	49.99	18.00	31.99	88.0	28.15
12/14/2018	***-**-467J - PICKARD, BRIAN ACCOUNT #: LSR010943	STEIN MART INC COM BUY 5000 Units @1.1700	5,850.00	49.99	18.00	31.99	88.0	28.15
12/14/2018	***-**-90IN - PICKARD, KAREN ACCOUNT #: LSR011687	STEIN MART INC COM BUY 1700 Units @1.1700	1,989.00	49.99	18.00	31.99	88.0	28.15
12/14/2018	***-**-94IN - MINER, MARY ACCOUNT #: LSR012743	STEIN MART INC COM BUY 4000 Units @1.1700	4,680.00	67.49	18.00	49.49	88.0	43.55
12/14/2018	***-**-594I - MINER, MARY ACCOUNT #: LSR012744	STEIN MART INC COM BUY 5000 Units @1.1700	5,850.00	77.49	18.00	59.49	88.0	52.35
12/19/2018	***-**-59IN - MORGAN, WILLIAM ACCOUNT #: LSR010842	STEIN MART INC COM BUY 2500 Units @1.0100	2,525.00	49.99	18.00	31.99	88.0	28.15
12/19/2018	***-**-804I - RIEBEN, ANNE ACCOUNT #: LSR010877	STEIN MART INC COM BUY 2500 Units @1.0100	2,525.00	49.99	18.00	31.99	88.0	28.15
12/19/2018	***-**-361J - ALOISIO, ACCOUNT #: LSR010886	STEIN MART INC COM BUY 10000 Units @1.0250	10,250.00	167.49	18.00	149.49	88.0	131.55
12/19/2018	***-**-22IN - GRACIE, JULIA ACCOUNT #: LSR011019	STEIN MART INC COM BUY 8000 Units @1.0300	8,240.00	147.49	18.00	129.49	88.0	113.95
12/19/2018	***-**-90IN - PICKARD, KAREN ACCOUNT #: LSR011687	STEIN MART INC COM BUY 2500 Units @1.0900	2,725.00	49.99	18.00	31.99	88.0	28.15
12/19/2018	***-**-2010 - GAUTHIER, SHEET ACCOUNT #: LSR011692	STEIN MART INC COM BUY 850 Units @1.1200	952.00	49.99	18.00	31.99	88.0	28.15
12/19/2018	***-**-510I - PEREZ, STACEY ACCOUNT #: LSR011827	STEIN MART INC COM BUY 2000 Units @1.0790	2,158.00	49.99	18.00	31.99	88.0	28.15
12/19/2018	***-**-76IN - BOSHART-LOWE, ACCOUNT #: LSR011840	STEIN MART INC COM BUY 1500 Units @1.0800	1,620.00	49.99	18.00	31.99	88.0	28.15
12/19/2018	***-**-599I - MCCARTHY, DONNA ACCOUNT #: LSR011894	STEIN MART INC COM BUY 2500 Units @1.0800	2,700.00	49.99	18.00	31.99	88.0	28.15



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<b>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: STOCKS (continued)</b>								
12/19/2018	***-**-94IN - MINER, MARY	STEIN MART INC COM	10,280.00	147.49	18.00	129.49	88.0	113.95
	ACCOUNT #: LSR012743	BUY 10000 Units @1.0280						
12/19/2018	***-**-073I - WHITEFORD, DEBRA	STEIN MART INC COM	5,280.00	77.49	18.00	59.49	88.0	52.35
	ACCOUNT #: LSR012810	BUY 5000 Units @1.0560						
12/19/2018	***-**-378J - WHITEFORD, GARY	STEIN MART INC COM	3,699.50	49.99	18.00	31.99	88.0	28.15
	ACCOUNT #: LSR012812	BUY 3500 Units @1.0570						
12/19/2018	***-**-757J - MATTHEWS,	STEIN MART INC COM	3,234.00	49.99	18.00	31.99	88.0	28.15
	ACCOUNT #: LSR012824	BUY 3000 Units @1.0780						
12/19/2018	***-**-49IO - RICHARDSON,	STEIN MART INC COM	3,180.00	49.99	18.00	31.99	88.0	28.15
	ACCOUNT #: LSR012872	BUY 3000 Units @1.0600						
12/20/2018	***-**-61IN - GORCZYNSKI,	STEIN MART INC COM	11,000.00	147.49	18.00	129.49	88.0	113.95
	ACCOUNT #: LSR010844	BUY 10000 Units @1.1000						
12/20/2018	***-**-679I - MURSCH JR,	STEIN MART INC COM	1,210.00	49.99	18.00	31.99	88.0	28.15
	ACCOUNT #: LSR010888	BUY 1100 Units @1.1000						
12/20/2018	***-**-53TR - SABANOSH, ALAN R	STEIN MART INC COM	4,995.00	49.99	18.00	31.99	88.0	28.15
	ACCOUNT #: LSR010917	BUY 4500 Units @1.1100						
12/20/2018	***-**-425I - PERRITANO,	STEIN MART INC COM	5,500.00	87.49	18.00	69.49	88.0	61.15
	ACCOUNT #: LSR010922	BUY 5000 Units @1.1000						
12/20/2018	***-**-24TR - SCOTELLARO, L	STEIN MART INC COM	2,475.00	49.99	18.00	31.99	88.0	28.15
	ACCOUNT #: LSR010973	BUY 2250 Units @1.1000						
12/20/2018	***-**-892I - O'BRIEN, ANDREA	STEIN MART INC COM	3,240.00	49.99	18.00	31.99	88.0	28.15
	ACCOUNT #: LSR012854	BUY 3000 Units @1.0800						
<b>* STOCKS SUBTOTAL *</b>			<b>\$145,842.50</b>	<b>\$2,267.17</b>	<b>\$950.00</b>	<b>\$1,317.17</b>		<b>\$1,148.87</b>
<b>PRODUCT CATEGORY: UNIT INVESTMENT TRUSTS</b>								
12/14/2018	***-**-90IN - PICKARD, KAREN	W P CAREY INC COM UNSOLICITED ORDER	14,094.00	247.49	24.00	223.49	88.0	196.67
	ACCOUNT #: LSR011687	SELL 200 Units @70.4700						
<b>* UNIT INVESTMENT TRUSTS SUBTOTAL *</b>			<b>\$14,094.00</b>	<b>\$247.49</b>	<b>\$24.00</b>	<b>\$223.49</b>		<b>\$196.67</b>



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<b><u>BROKER TRANSACTIONS (continued)</u></b>								
<b><u>PRODUCT CATEGORY: 529 PLAN</u></b>								
12/24/2018	***-**-244I - BURTON, RICHARD	NYA JPM 529 COLLEGE AGE-BASED P A	50.00	0.50	0.00	0.50	88.0	0.44
	ACCOUNT #: 77243486101	BUY 0 Units @0.0000						
12/24/2018	***-**-497I - MARTIN, KATHLEEN	NYA JPM 529 MOD GROWTH POR C	100.00	1.00	0.00	1.00	88.0	0.88
		BUY 0 Units @0.0000						
		<b>* 529 PLAN SUBTOTAL *</b>	<b>\$150.00</b>	<b>\$1.50</b>	<b>\$0.00</b>	<b>\$1.50</b>		<b>\$1.32</b>
		<b>*** BROKER TRANSACTIONS TOTAL ***</b>	<b>\$169,195.93</b>	<b>\$2,576.97</b>	<b>\$1,046.00</b>	<b>\$1,530.97</b>		<b>\$1,334.13</b>

### VERRIDE TRANSACTIONS

#### **BROKER: KURT GRUENEWALD**

12/14/2018	***-**-439J - MCCARTHY, JAMES	CHEVRON CORP NEW SOLICITED ORDER	2,849.88	31.00	0.00	31.00	88.0	27.28
	ACCOUNT #: LSR011205	SELL 25 Units @113.9950						
12/19/2018	***-**-15IN - PENDRAK, JOHN	DENBURY RES INC DEL COM USD0.001	3,570.00	2.49	0.00	2.49	88.0	2.19
	ACCOUNT #: LSR010948	BUY 2000 Units @1.7850						
12/17/2018	***-**-15IN - PENDRAK, JOHN	EQUITY INCOME FUND, INC. A	8,325.25	1.99	0.00	1.99	88.0	1.75
	ACCOUNT #: LSR010948	SELL 309 Units @26.9000						
12/17/2018	***-**-506J - CURRIERE JR, MR	INTERNATIONAL GROWTH AND INCOME-A	62.50	2.66	0.00	2.66	88.0	2.34
	ACCOUNT #: 00088062946	BUY 2 Units @30.9500						
12/17/2018	***-**-15IN - PENDRAK, JOHN	LORD ABBETT VALUE OPPORTUNITY FD CL	6,000.00	12.00	0.00	12.00	88.0	10.56
	ACCOUNT #: LSR010948	BUY 420 Units @14.2900						
12/17/2018	***-**-506J - CURRIERE JR, MR	NEW PERSPECTIVE FUND-A	62.50	2.66	0.00	2.66	88.0	2.34
	ACCOUNT #: 00088062946	BUY 1 Units @42.9400						
12/24/2018	***-**-614J - BUSHEY, MATTHEW	NYA JPM 529 COLLEGE AGE-BASED P A	100.00	4.75	0.00	4.75	88.0	4.18
		BUY 0 Units @0.0000						
12/24/2018	***-**-5384 - GURDO, JESSICA	NYA JPM 529 COLLEGE AGE-BASED P A	200.00	2.00	0.00	2.00	88.0	1.76
		BUY 0 Units @0.0000						
12/24/2018	***-**-65CL - GRUENEWALD, K,	NYA JPM 529 MOD GROWTH POR C	400.00	4.00	0.00	4.00	88.0	3.52
		BUY 0 Units @0.0000						
12/17/2018	***-**-7918 - BAREFOOT, JOHN	PACIFIC LIFE SE5-NYB DTCC	108.00	3.24	0.00	3.24	88.0	2.85
	ACCOUNT #: VP71073430	BUY 0 Units @0.0000						
12/19/2018	***-**-287I - HINCKLEY,	STEIN MART INC COM	2,060.00	31.99	0.00	31.99	88.0	28.15
	ACCOUNT #: LSR010843	BUY 2000 Units @1.0300						



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<b> OVERRIDE TRANSACTIONS (continued) </b>								
<b> <u>BROKER: KURT GRUENEWALD (continued)</u> </b>								
12/19/2018	***-**-382I - SATTERLY, NEIL	STEIN MART INC COM	3,090.00	31.99	0.00	31.99	88.0	28.15
	ACCOUNT #: LSR010867	BUY 3000 Units @1.0300						
12/19/2018	***-**-48IO - CLARK, PATRICK	STEIN MART INC COM	4,120.00	31.99	0.00	31.99	88.0	28.15
	ACCOUNT #: LSR010911	BUY 4000 Units @1.0300						
12/19/2018	***-**-15IN - PENDRAK, JOHN	STEIN MART INC COM	4,635.00	31.99	0.00	31.99	88.0	28.15
	ACCOUNT #: LSR010948	BUY 4500 Units @1.0300						
12/19/2018	***-**-80IN - COBB, JAMES	STEIN MART INC COM	4,635.00	31.99	0.00	31.99	88.0	28.15
	ACCOUNT #: LSR011042	BUY 4500 Units @1.0300						
12/19/2018	***-**-09IO - BATES, FBO MRS	STEIN MART INC COM	4,472.00	49.49	0.00	49.49	88.0	43.55
	ACCOUNT #: LSR011117	BUY 4000 Units @1.1180						
12/19/2018	***-**-31IO - WILLIAMSON, FBO	STEIN MART INC COM	3,075.00	31.99	0.00	31.99	88.0	28.15
	ACCOUNT #: LSR011172	BUY 3000 Units @1.0250						
12/19/2018	***-**-653I - KOCHER, CLINTON	STEIN MART INC COM	2,800.00	31.99	0.00	31.99	88.0	28.15
	ACCOUNT #: LSR011300	BUY 2500 Units @1.1200						
12/19/2018	***-**-376I - BERBEN, GAIL	STEIN MART INC COM	3,300.00	39.49	0.00	39.49	88.0	34.75
	ACCOUNT #: LSR011380	BUY 3000 Units @1.1000						
12/19/2018	***-**-60IO - JOSEPH,	STEIN MART INC COM	2,642.50	31.99	0.00	31.99	88.0	28.15
	ACCOUNT #: LSR012336	BUY 2500 Units @1.0570						
12/19/2018	***-**-31IO - JOSEPH, ANN	STEIN MART INC COM	4,100.00	31.99	0.00	31.99	88.0	28.15
	ACCOUNT #: LSR012337	BUY 4000 Units @1.0250						
12/19/2018	***-**-851I - BLAKE, JAMES	STEIN MART INC COM	1,484.00	31.99	0.00	31.99	88.0	28.15
	ACCOUNT #: LSR012390	BUY 1400 Units @1.0600						
12/19/2018	***-**-188I - BRADLEY, WAYNE	STEIN MART INC COM	2,700.00	31.99	0.00	31.99	88.0	28.15
	ACCOUNT #: LSR012484	BUY 2500 Units @1.0800						
12/19/2018	***-**-79TR - OR CYNTHIA	STEIN MART INC COM	1,640.00	31.99	0.00	31.99	88.0	28.15
	ACCOUNT #: LSR012749	BUY 1600 Units @1.0250						
12/19/2018	***-**-2663 - LASCALA, DEBORAH	STEIN MART INC COM	3,168.00	31.99	0.00	31.99	88.0	28.15
	ACCOUNT #: LSR012791	BUY 3000 Units @1.0560						
12/20/2018	***-**-755P - SHEPPARD,	THE GROWTH FUND OF AMERICA-529C	50.00	0.50	0.00	0.50	88.0	0.44
	ACCOUNT #: 00084018452	BUY 1 Units @43.5000						
* KURT GRUENEWALD SUBTOTAL *			\$69,649.63	\$572.14	\$0.00	\$572.14		\$503.46
*** OVERRIDE TRANSACTIONS TOTAL ***			\$69,649.63	\$572.14	\$0.00	\$572.14		\$503.46



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BROKER COMMISSION TOTALS								
						Broker Transactions		\$1,334.13
						Split Transactions		\$0.00
						Override Transactions		\$503.46
						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		\$1,837.59
						Year-to-date Earnings		\$256,312.80