



COMMISSION STATEMENT

September 03, 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>								
09/03/2018	***-**-034J - NIKODEM, JOSEPH	TERRA INCOME FUND 6, INC.	0.00	58.02	0.00	58.02	88.0	51.06
	ACCOUNT #: 020001369	BUY 0 Units @0.0000						
09/03/2018	***-**-244I - BURTON, RICHARD	TERRA INCOME FUND 6, INC.	0.00	106.61	0.00	106.61	88.0	93.82
	ACCOUNT #: 020002336	BUY 0 Units @0.0000						
09/03/2018	***-**-423J - SAVICKI, RICHARD	TERRA INCOME FUND 6, INC.	0.00	106.61	0.00	106.61	88.0	93.82
		BUY 0 Units @0.0000						
* ALTERNATIVE INVESTMENTS SUBTOTAL *			\$0.00	\$271.24	\$0.00	\$271.24		\$238.70
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
08/27/2018	***-**-05IN - HULL, JEFFERY	AMERICAN FUNDS MORTGAGE FD CL C	15,000.00	168.00	18.00	150.00	88.0	132.00
	ACCOUNT #: LSR011187	BUY 1529 Units @9.8100						
08/30/2018	***-**-467J - PICKARD, BRIAN	AMERICAN FUNDS MORTGAGE FD CL C	3,000.00	18.00	6.00	12.00	88.0	10.56
	ACCOUNT #: LSR010943	BUY 306 Units @9.8000						
08/27/2018	***-**-05IR - HULL, JEFF	CION ARES DIVERSIFIED CREDIT C	4,999.99	68.00	18.00	50.00	88.0	44.00
	ACCOUNT #: LSR011534	BUY 194 Units @25.7200						
08/27/2018	***-**-974I - SCOTELLARO,	CION ARES DIVERSIFIED CREDIT C	5,999.99	78.00	18.00	60.00	88.0	52.80
	ACCOUNT #: LSR011871	BUY 233 Units @25.7200						
08/30/2018	***-**-467J - PICKARD, BRIAN	FUNDAMENTAL INVESTORS-C	3,000.01	0.00	6.00	-6.00	100.0	-6.00
	ACCOUNT #: LSR010943	SELL 46 Units @64.7000						
08/24/2018	***-**-762I - STORSBERG,	LORD ABBETT ALPHA STRATEGY CL C	7,499.99	18.00	18.00	0.00	88.0	0.00
	ACCOUNT #: LSR011688	SELL 298 Units @25.1800						
08/24/2018	***-**-762I - STORSBERG,	LORD ABBETT GROWTH OPPORTUNITIES CL	7,500.01	18.00	18.00	0.00	88.0	0.00
	ACCOUNT #: LSR011688	SELL 449 Units @16.7200						
08/24/2018	***-**-61IN - GORCZYNSKI,	OPPENHEIMER GLBL REAL ESTATE FUND C	16,405.09	0.00	18.00	-18.00	100.0	-18.00
	ACCOUNT #: LSR010844	SELL 1815 Units @9.0410						
08/24/2018	***-**-656I - SMOLA, STANLEY	OPPENHEIMER GLBL REAL ESTATE FUND C	4,109.12	0.00	18.00	-18.00	100.0	-18.00
	ACCOUNT #: LSR010868	SELL 454 Units @9.0410						
* MUTUAL FUNDS SUBTOTAL *			\$67,514.20	\$368.00	\$138.00	\$230.00		\$197.36



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: STOCKS								
08/27/2018	***-**-753I - SABANOSH, ALAN	CORNING INC UNSOLICITED ORDER	3,366.00	57.49	17.00	40.49	88.0	35.63
	ACCOUNT #: LSR010909	SELL 100 Units @33.6600						
08/27/2018	***-**-753I - SABANOSH, ALAN	COVANTA HLDG CORP COM	1,775.00	49.99	17.00	32.99	88.0	29.03
	ACCOUNT #: LSR010909	SELL 100 Units @17.7500						
08/27/2018	***-**-474J - HAGAN JR,	COVANTA HLDG CORP COM	3,570.00	69.99	19.00	50.99	88.0	44.87
	ACCOUNT #: LSR010993	SELL 200 Units @17.8500						
08/24/2018	***-**-077I - GAUTHIER, LOUIS	DENBURY RES INC DEL COM USD0.001	5,220.00	87.49	35.00	52.49	88.0	46.19
	ACCOUNT #: LSR010901	SELL 1000 Units @5.2200						
08/24/2018	***-**-425I - PERRITANO,	DENBURY RES INC DEL COM USD0.001	5,210.00	97.49	35.00	62.49	88.0	54.99
	ACCOUNT #: LSR010922	SELL 1000 Units @5.2100						
08/24/2018	***-**-762I - STORSBERG,	DENBURY RES INC DEL COM USD0.001	2,610.00	57.49	25.00	32.49	88.0	28.59
	ACCOUNT #: LSR011688	SELL 500 Units @5.2200						
08/27/2018	***-**-804I - RIEBEN, ANNE	DENBURY RES INC DEL COM USD0.001	3,174.00	57.49	27.00	30.49	88.0	26.83
	ACCOUNT #: LSR010877	SELL 600 Units @5.2900						
08/27/2018	***-**-361J - ALOISIO,	DENBURY RES INC DEL COM USD0.001	5,250.00	97.49	35.00	62.49	88.0	54.99
	ACCOUNT #: LSR010886	SELL 1000 Units @5.2500						
08/27/2018	***-**-679I - MURSCH JR,	DENBURY RES INC DEL COM USD0.001	2,645.00	57.49	25.00	32.49	88.0	28.59
	ACCOUNT #: LSR010888	SELL 500 Units @5.2900						
08/27/2018	***-**-077I - GAUTHIER, LOUIS	DENBURY RES INC DEL COM USD0.001	5,290.00	97.49	35.00	62.49	88.0	54.99
	ACCOUNT #: LSR010901	SELL 1000 Units @5.2900						
08/27/2018	***-**-753I - SABANOSH, ALAN	DENBURY RES INC DEL COM USD0.001	5,290.00	87.49	35.00	52.49	88.0	46.19
	ACCOUNT #: LSR010909	SELL 1000 Units @5.2900						
08/27/2018	***-**-425I - PERRITANO,	DENBURY RES INC DEL COM USD0.001	5,290.00	97.49	35.00	62.49	88.0	54.99
	ACCOUNT #: LSR010922	SELL 1000 Units @5.2900						
08/27/2018	***-**-474J - HAGAN JR,	DENBURY RES INC DEL COM USD0.001	5,260.00	97.49	35.00	62.49	88.0	54.99
	ACCOUNT #: LSR010993	SELL 1000 Units @5.2600						
08/27/2018	***-**-22IN - GRACIE, JULIA	DENBURY RES INC DEL COM USD0.001	3,696.00	67.49	29.00	38.49	88.0	33.87
	ACCOUNT #: LSR011019	SELL 700 Units @5.2800						
08/27/2018	***-**-57IN - DIPERNA, ROBERT	DENBURY RES INC DEL COM USD0.001	2,645.00	57.49	25.00	32.49	88.0	28.59
	ACCOUNT #: LSR011053	SELL 500 Units @5.2900						
08/24/2018	***-**-762I - STORSBERG,	MERCK & CO INC NEW COM	6,974.15	87.49	17.02	70.47	88.0	62.01
	ACCOUNT #: LSR011688	SELL 101 Units @69.0510						



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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: STOCKS (continued)								
08/27/2018	***-**-86IO - STRUMPFLE, MARK	MERCK & CO INC NEW COM	6,879.00	87.49	17.00	70.49	88.0	62.03
	ACCOUNT #: LSR012376	SELL 100 Units @68.7900						
08/27/2018	***-**-22IN - GRACIE, JULIA	ROYAL DUTCH SHELL ADR EA REP 2 CL A	6,601.20	97.49	17.00	80.49	88.0	70.83
	ACCOUNT #: LSR011019	SELL 100 Units @66.0120						
08/24/2018	***-**-53TR - SABANOSH, ALAN R	STEIN MART INC COM	3,420.00	67.49	18.00	49.49	88.0	43.55
	ACCOUNT #: LSR010917	BUY 1500 Units @2.2800						
08/24/2018	***-**-467J - PICKARD, BRIAN	STEIN MART INC COM	4,560.00	67.49	18.00	49.49	88.0	43.55
	ACCOUNT #: LSR010943	BUY 2000 Units @2.2800						
08/24/2018	***-**-61IN - HECK, GREGORY	STEIN MART INC COM	46.10	0.10	18.00	-17.90	100.0	-17.90
	ACCOUNT #: LSR012819	BUY 20 Units @2.3050						
08/24/2018	***-**-61IN - HECK, GREGORY	STEIN MART INC COM	231.00	0.50	0.00	0.50	88.0	0.44
	ACCOUNT #: LSR012819	BUY 100 Units @2.3100						
08/24/2018	***-**-61IN - HECK, GREGORY	STEIN MART INC COM	230.50	0.50	0.00	0.50	88.0	0.44
	ACCOUNT #: LSR012819	BUY 100 Units @2.3050						
08/24/2018	***-**-61IN - HECK, GREGORY	STEIN MART INC COM	231.00	0.50	0.00	0.50	88.0	0.44
	ACCOUNT #: LSR012819	BUY 100 Units @2.3100						
08/24/2018	***-**-61IN - HECK, GREGORY	STEIN MART INC COM	231.00	0.50	0.00	0.50	88.0	0.44
	ACCOUNT #: LSR012819	BUY 100 Units @2.3100						
08/24/2018	***-**-61IN - HECK, GREGORY	STEIN MART INC COM	924.00	2.00	0.00	2.00	88.0	1.76
	ACCOUNT #: LSR012819	BUY 400 Units @2.3100						
08/24/2018	***-**-61IN - HECK, GREGORY	STEIN MART INC COM	1,848.00	4.00	0.00	4.00	88.0	3.52
	ACCOUNT #: LSR012819	BUY 800 Units @2.3100						
08/24/2018	***-**-61IN - HECK, GREGORY	STEIN MART INC COM	1,386.00	3.00	0.00	3.00	88.0	2.64
	ACCOUNT #: LSR012819	BUY 600 Units @2.3100						
08/24/2018	***-**-61IN - HECK, GREGORY	STEIN MART INC COM	693.00	1.50	0.00	1.50	88.0	1.32
	ACCOUNT #: LSR012819	BUY 300 Units @2.3100						
08/24/2018	***-**-61IN - HECK, GREGORY	STEIN MART INC COM	1,155.00	2.50	0.00	2.50	88.0	2.20
	ACCOUNT #: LSR012819	BUY 500 Units @2.3100						
08/24/2018	***-**-61IN - HECK, GREGORY	STEIN MART INC COM	924.00	2.00	0.00	2.00	88.0	1.76
	ACCOUNT #: LSR012819	BUY 400 Units @2.3100						
08/24/2018	***-**-61IN - HECK, GREGORY	STEIN MART INC COM	231.00	0.50	0.00	0.50	88.0	0.44
	ACCOUNT #: LSR012819	BUY 100 Units @2.3100						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: STOCKS (continued)								
08/24/2018	***-**-61IN - HECK, GREGORY ACCOUNT #: LSR012819	STEIN MART INC COM BUY 500 Units @2.3100	1,155.00	2.50	0.00	2.50	88.0	2.20
08/24/2018	***-**-61IN - HECK, GREGORY ACCOUNT #: LSR012819	STEIN MART INC COM BUY 100 Units @2.3100	231.00	0.50	0.00	0.50	88.0	0.44
08/24/2018	***-**-61IN - HECK, GREGORY ACCOUNT #: LSR012819	STEIN MART INC COM BUY 100 Units @2.3100	231.00	0.50	0.00	0.50	88.0	0.44
08/24/2018	***-**-61IN - HECK, GREGORY ACCOUNT #: LSR012819	STEIN MART INC COM BUY 400 Units @2.3100	924.00	2.00	0.00	2.00	88.0	1.76
08/24/2018	***-**-61IN - HECK, GREGORY ACCOUNT #: LSR012819	STEIN MART INC COM BUY 400 Units @2.3100	924.00	2.00	0.00	2.00	88.0	1.76
08/24/2018	***-**-61IN - HECK, GREGORY ACCOUNT #: LSR012819	STEIN MART INC COM BUY 200 Units @2.3100	462.00	1.00	0.00	1.00	88.0	0.88
08/24/2018	***-**-61IN - HECK, GREGORY ACCOUNT #: LSR012819	STEIN MART INC COM BUY 100 Units @2.3100	231.00	0.50	0.00	0.50	88.0	0.44
08/24/2018	***-**-61IN - HECK, GREGORY ACCOUNT #: LSR012819	STEIN MART INC COM BUY 100 Units @2.3100	231.00	0.50	0.00	0.50	88.0	0.44
08/24/2018	***-**-61IN - HECK, GREGORY ACCOUNT #: LSR012819	STEIN MART INC COM BUY 80 Units @2.3100	184.80	0.40	0.00	0.40	88.0	0.35
08/24/2018	***-**-61IN - HECK, GREGORY ACCOUNT #: LSR012819	STEIN MART INC COM BUY 100 Units @2.3100	231.00	0.50	0.00	0.50	88.0	0.44
08/24/2018	***-**-61IN - HECK, GREGORY ACCOUNT #: LSR012819	STEIN MART INC COM BUY 100 Units @2.3100	231.00	0.50	0.00	0.50	88.0	0.44
08/24/2018	***-**-61IN - HECK, GREGORY ACCOUNT #: LSR012819	STEIN MART INC COM BUY 100 Units @2.3100	231.00	0.50	0.00	0.50	88.0	0.44
08/24/2018	***-**-61IN - HECK, GREGORY ACCOUNT #: LSR012819	STEIN MART INC COM BUY 100 Units @2.3100	231.00	0.50	0.00	0.50	88.0	0.44
08/24/2018	***-**-61IN - HECK, GREGORY ACCOUNT #: LSR012819	STEIN MART INC COM BUY 100 Units @2.3100	231.00	0.50	0.00	0.50	88.0	0.44
08/24/2018	***-**-61IN - HECK, GREGORY ACCOUNT #: LSR012819	STEIN MART INC COM BUY 3600 Units @2.3100	8,316.00	18.00	0.00	18.00	88.0	15.84
08/24/2018	***-**-61IN - HECK, GREGORY ACCOUNT #: LSR012819	STEIN MART INC COM BUY 100 Units @2.3100	231.00	0.50	0.00	0.50	88.0	0.44



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: STOCKS (continued)								
08/24/2018	***-**-61IN - HECK, GREGORY	STEIN MART INC COM	231.00	0.50	0.00	0.50	88.0	0.44
	ACCOUNT #: LSR012819	BUY 100 Units @2.3100						
08/24/2018	***-**-61IN - HECK, GREGORY	STEIN MART INC COM	231.00	0.50	0.00	0.50	88.0	0.44
	ACCOUNT #: LSR012819	BUY 100 Units @2.3100						
08/24/2018	***-**-61IN - HECK, GREGORY	STEIN MART INC COM	231.00	0.50	0.00	0.50	88.0	0.44
	ACCOUNT #: LSR012819	BUY 100 Units @2.3100						
08/24/2018	***-**-425I - PERRITANO,	VERIZON COMMUNICATIONS UNSOLICITED	4,763.25	67.42	16.74	50.68	88.0	44.60
	ACCOUNT #: LSR010922	SELL 87 Units @54.7500						
08/24/2018	***-**-425I - PERRITANO,	VERIZON COMMUNICATIONS UNSOLICITED	711.75	10.07	0.26	9.81	88.0	8.63
	ACCOUNT #: LSR010922	SELL 13 Units @54.7500						
08/27/2018	***-**-61IN - GORCZYNSKI,	VERIZON COMMUNICATIONS UNSOLICITED	8,200.50	157.49	18.00	139.49	88.0	122.75
	ACCOUNT #: LSR010844	SELL 150 Units @54.6700						
08/27/2018	***-**-22IN - GRACIE, JULIA	VERIZON COMMUNICATIONS UNSOLICITED	5,472.00	97.49	17.00	80.49	88.0	70.83
	ACCOUNT #: LSR011019	SELL 100 Units @54.7200						
* STOCKS SUBTOTAL *			\$130,972.25	\$1,927.27	\$586.02	\$1,341.25		\$1,178.12
PRODUCT CATEGORY: 529 PLAN								
09/03/2018	***-**-0862 - REDMOND, EILEEN	NY 529 ADDITIONAL DEPOSIT	24.75	0.25	0.00	0.25	88.0	0.22
	ACCOUNT #: 77172702501	BUY 0 Units @0.0000						
09/03/2018	***-**-0862 - REDMOND, EILEEN	NY 529 ADDITIONAL DEPOSIT	49.50	0.50	0.00	0.50	88.0	0.44
	ACCOUNT #: 77519113701	BUY 0 Units @0.0000						
09/03/2018	***-**-29IO - LORUSSO, VINCENT	NY 529 ADDITIONAL DEPOSIT	49.50	0.50	0.00	0.50	88.0	0.44
	ACCOUNT #: 77089153301	BUY 0 Units @0.0000						
09/03/2018	***-**-225P - DAMSKY, CYNTHIA	NY 529 ADDITIONAL DEPOSIT	49.50	0.50	0.00	0.50	88.0	0.44
		BUY 0 Units @0.0000						
09/03/2018	***-**-0862 - REDMOND, EILEEN	NY 529 ADDITIONAL DEPOSIT	49.48	0.52	0.00	0.52	88.0	0.46
	ACCOUNT #: 77172702501	BUY 0 Units @0.0000						
09/03/2018	***-**-93JT - WADSWORTH,	NY 529 ADDITIONAL DEPOSIT	95.49	4.05	0.00	4.05	88.0	3.56
	ACCOUNT #: 77296639001	BUY 0 Units @0.0000						
09/03/2018	***-**-804I - RIEBEN, ANNE	NY 529 ADDITIONAL DEPOSIT	49.50	0.50	0.00	0.50	88.0	0.44
	ACCOUNT #: 77923466801	BUY 0 Units @0.0000						
* 529 PLAN SUBTOTAL *			\$367.72	\$6.82	\$0.00	\$6.82		\$6.00



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS								
08/28/2018	***-**-57RI - DIPERNA, ROBERT	MFS TRAILS 552988610	300.00	3.00	0.00	3.00	88.0	2.64
	ACCOUNT #: 08189654783	BUY 18 Units @16.3100						
08/28/2018	***-**-51RI - DIPERNA, SANDRA	MFS TRAILS 552988610	300.00	3.00	0.00	3.00	88.0	2.64
	ACCOUNT #: 08191188649	BUY 18 Units @16.3100						
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *			\$600.00	\$6.00	\$0.00	\$6.00		\$5.28
*** BROKER TRANSACTIONS TOTAL ***			\$199,454.17	\$2,579.33	\$724.02	\$1,855.31		\$1,625.46

VERRIDE TRANSACTIONS

BROKER: KURT GRUENEWALD

08/27/2018	***-**-805X - GATES, ROGER	AMERICAN EUROPACIFIC GR FND CL F2-N	3,230.62	6.99	0.00	6.99	88.0	6.15
	ACCOUNT #: LSR012690	SELL 60 Units @53.8500						
08/27/2018	***-**-261J - TRAVIS, HOLLY	AMERICAN FUNDS MORTGAGE FD CL C	8,000.00	80.00	0.00	80.00	88.0	70.40
	ACCOUNT #: LSR012772	BUY 815 Units @9.8100						
08/24/2018	***-**-805X - GATES, ROGER	AMERICAN GROWTH FND OF AMERICA CL F	5,566.62	6.99	0.00	6.99	88.0	6.15
	ACCOUNT #: LSR012690	SELL 100 Units @55.5900						
08/27/2018	***-**-513I - RHYMESTINE,	BERKSHIRE HATHAWAY INC DEL CL B NEW	10,515.00	59.49	0.00	59.49	88.0	52.35
	ACCOUNT #: LSR012457	SELL 50 Units @210.3000						
08/27/2018	***-**-805J - GATES, ROGER	BLACKROCK NEW YORK MUNI OPPORT CL A	4,703.11	6.99	0.00	6.99	88.0	6.15
	ACCOUNT #: LSR012733	SELL 417 Units @11.2900						
08/27/2018	***-**-579I - RHYMESTINE,	CION ARES DIVERSIFIED CREDIT C	11,000.01	110.00	0.00	110.00	88.0	96.80
	ACCOUNT #: LSR011082	BUY 428 Units @25.7200						
08/27/2018	***-**-376I - BERBEN, GAIL	CION ARES DIVERSIFIED CREDIT C	15,000.01	150.00	0.00	150.00	88.0	132.00
	ACCOUNT #: LSR011380	BUY 583 Units @25.7200						
08/27/2018	***-**-513I - RHYMESTINE,	CION ARES DIVERSIFIED CREDIT C	9,999.99	100.00	0.00	100.00	88.0	88.00
	ACCOUNT #: LSR012457	BUY 389 Units @25.7200						
08/27/2018	***-**-43IN - FRANZ, WAYNE	CION ARES DIVERSIFIED CREDIT C	15,000.01	150.00	0.00	150.00	88.0	132.00
	ACCOUNT #: LSR012636	BUY 583 Units @25.7200						
08/27/2018	***-**-579I - RHYMESTINE,	CORNING INC UNSOLICITED ORDER	3,363.00	40.49	0.00	40.49	88.0	35.63
	ACCOUNT #: LSR011082	SELL 100 Units @33.6300						
08/24/2018	***-**-805X - GATES, ROGER	DELAWARE VALUE FUND INSTITUTIONAL	3,527.51	6.99	0.00	6.99	88.0	6.15
	ACCOUNT #: LSR012690	SELL 154 Units @22.9600						



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<u> OVERRIDE TRANSACTIONS (continued) </u>								
<u> BROKER: KURT GRUENEWALD (continued) </u>								
08/27/2018	***-**-579I - RHYMESTINE, ACCOUNT #: LSR011082	DENBURY RES INC DEL COM USD0.001 SELL 1000 Units @5.2900	5,290.00	42.49	0.00	42.49	88.0	37.39
08/27/2018	***-**-805J - GATES, ROGER ACCOUNT #: LSR012733	EASTMAN CHEMICAL CO SELL 48 Units @99.8700	4,793.76	51.53	0.00	51.53	88.0	45.35
08/27/2018	***-**-513I - RHYMESTINE, ACCOUNT #: LSR012457	IRON MOUNTAIN INC COM NPV UNSOLICIT SELL 90 Units @35.7000	3,213.00	27.74	0.00	27.74	88.0	24.41
08/27/2018	***-**-513I - RHYMESTINE, ACCOUNT #: LSR012457	IRON MOUNTAIN INC COM NPV UNSOLICIT SELL 10 Units @35.7000	357.00	5.75	0.00	5.75	88.0	5.06
08/27/2018	***-**-51IR - BLAKE, JAMES ACCOUNT #: LSR012391	MERCK & CO INC NEW COM SELL 99 Units @68.8000	6,811.20	74.74	0.00	74.74	88.0	65.77
08/22/2018	***-**-06IN - SATTERLY, ACCOUNT #: 08191336006	MFS 08191336006 BUY 3 Units @32.5100	100.00	1.00	0.00	1.00	88.0	0.88
08/28/2018	***-**-13IN - RHYMESTINE, ACCOUNT #: 08191178476	MFS EMERGING MARKETS EQUITY FUND-B BUY 2 Units @31.2700	50.00	2.00	0.00	2.00	88.0	1.76
08/28/2018	***-**-13IN - RHYMESTINE, ACCOUNT #: 08191178476	MFS EMERGING MKT DEBT CL B BUY 4 Units @14.0200	50.00	2.00	0.00	2.00	88.0	1.76
08/27/2018	***-**-094I - KATRENA L ACCOUNT #: 08191140345	MFS GLOBAL TOTAL RETURN FUND-B BUY 3 Units @18.2600	50.00	2.00	0.00	2.00	88.0	1.76
08/28/2018	***-**-13IN - RHYMESTINE, ACCOUNT #: 08191178476	MFS INTERNATIONAL VALUE FUND-B BUY 2 Units @42.0300	100.00	4.00	0.00	4.00	88.0	3.52
08/28/2018	***-**-13IN - RHYMESTINE, ACCOUNT #: 08191178476	MFS TOTAL RETURN FUND-B BUY 3 Units @19.1900	50.00	2.00	0.00	2.00	88.0	1.76
09/03/2018	***-**-5384 - GURDO, JESSICA	NY 529 ADDITIONAL DEPOSIT BUY 0 Units @0.0000	198.00	2.00	0.00	2.00	88.0	1.76
09/03/2018	***-**-0767 - DOVI, ACCOUNT #: 77579193101	NY 529 ADDITIONAL DEPOSIT BUY 0 Units @0.0000	24.75	0.25	0.00	0.25	88.0	0.22
09/03/2018	***-**-756I - HUSTON, JOUANA ACCOUNT #: 778527324	NY 529 ADDITIONAL DEPOSIT BUY 0 Units @0.0000	396.00	4.00	0.00	4.00	88.0	3.52
09/03/2018	***-**-20IR - DEMETRI, AMELIA ACCOUNT #: 77854436501	NYA JPM 529 AGGR AGE-BASE A BUY 0 Units @0.0000	50.00	2.38	0.00	2.38	88.0	2.09
08/27/2018	***-**-805X - GATES, ROGER ACCOUNT #: LSR012690	RESOURCE CREDIT INCOME FUND C BUY 882 Units @11.3400	10,000.00	100.00	0.00	100.00	88.0	88.00



COMMISSION STATEMENT

September 03, 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) 								
08/27/2018	***-**-513I - RHYMESTINE, ACCOUNT #: LSR012457	RESOURCE REAL ESTATE-NFS BUY 952 Units @10.5000	10,000.00	100.00	0.00	100.00	88.0	88.00
08/27/2018	***-**-805X - GATES, ROGER ACCOUNT #: LSR012690	RESOURCE REAL ESTATE-NFS BUY 952 Units @10.5000	10,000.00	100.00	0.00	100.00	88.0	88.00
08/24/2018	***-**-11IO - LYNN G. ACCOUNT #: LSR011239	STEIN MART INC COM BUY 3000 Units @2.2800	6,840.00	79.49	0.00	79.49	88.0	69.95
08/24/2018	***-**-43IN - FRANZ, WAYNE ACCOUNT #: LSR012636	STEIN MART INC COM BUY 2000 Units @2.2900	4,580.00	39.49	0.00	39.49	88.0	34.75
09/03/2018	***-**-287X - HINCKLEY, ACCOUNT #: 20001035	TERRA INCOME FUND 6, INC. BUY 0 Units @0.0000	0.00	40.61	0.00	40.61	88.0	35.74
09/03/2018	***-**-930I - SANGER, KEVIN ACCOUNT #: 020001108	TERRA INCOME FUND 6, INC. BUY 0 Units @0.0000	0.00	107.34	0.00	107.34	88.0	94.46
09/03/2018	***-**-881I - EBERLEY, SUSAN ACCOUNT #: 020002359	TERRA INCOME FUND 6, INC. BUY 0 Units @0.0000	0.00	53.23	0.00	53.23	88.0	46.84
09/03/2018	***-**-837O - BASEMENT	TERRA INCOME FUND 6, INC. BUY 0 Units @0.0000	0.00	66.54	0.00	66.54	88.0	58.56
08/24/2018	***-**-805X - GATES, ROGER ACCOUNT #: LSR012690	THE BOND FUND OF AMERICA-F2 SELL 332 Units @12.6100	4,180.92	6.99	0.00	6.99	88.0	6.15
08/30/2018	***-**-851J - BLAKE, JAMES ACCOUNT #: LSR012393	VANGUARD DIVIDEND GROWTH INVESTOR C SELL 62 Units @28.1300	1,750.00	1.99	0.00	1.99	88.0	1.75
08/30/2018	***-**-851I - BLAKE, JAMES ACCOUNT #: LSR012390	VANGUARD TARGET RETIREMENT 2050 INV SELL 331 Units @37.7800	12,500.00	1.99	0.00	1.99	88.0	1.75
08/30/2018	***-**-851J - BLAKE, JAMES ACCOUNT #: LSR012393	VANGUARD TOTAL STOCK MARKET INVESTO SELL 39 Units @72.9700	2,849.99	1.99	0.00	1.99	88.0	1.75
08/27/2018	***-**-805X - GATES, ROGER ACCOUNT #: LSR012690	WASHINGTON MUTUAL INVESTORS FUND-F2 SELL 136 Units @46.7000	6,368.62	6.99	0.00	6.99	88.0	6.15
* KURT GRUENEWALD SUBTOTAL *			\$180,509.12	\$1,648.47	\$0.00	\$1,648.47		\$1,450.64
*** OVERRIDE TRANSACTIONS TOTAL ***			\$180,509.12	\$1,648.47	\$0.00	\$1,648.47		\$1,450.64



BROKER #: A76
BRANCH #01047 - 47 - GRIFFITH

DATE	CLIENT	INVESTMENT	AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION	
						BROKER COMMISSION TOTALS			
						Broker Transactions		\$1,625.46	
						Split Transactions		\$0.00	
						Override Transactions		\$1,450.64	
						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		\$3,076.10	
						Year-to-date Earnings		\$174,733.83	