



COMMISSION STATEMENT

December 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>								
12/10/2018	***-**-2642 - BROWN, JEFFERY	AMERICAN GLOBAL BALANCED CL C	75.00	0.75	0.00	0.75	88.0	0.66
	ACCOUNT #: 04000870734	BUY 2 Units @30.1000						
12/10/2018	***-**-817I - WADSWORTH,	AMERICAN GLOBAL BALANCED CL C	110.00	1.10	0.00	1.10	88.0	0.97
	ACCOUNT #: 00067441742	BUY 4 Units @30.1000						
12/10/2018	***-**-788I - ALBARRAN, CARLOS	FUNDAMENTAL INVESTORS-C	100.00	1.00	0.00	1.00	88.0	0.88
	ACCOUNT #: 00085186008	BUY 2 Units @58.9900						
11/15/2018	***-**-7892 - GORCZYNSKI, LISA	PUTNAM 74677Q307	150.00	1.50	0.00	1.50	88.0	1.32
	ACCOUNT #: 00551338349	BUY 13 Units @11.4200						
* MUTUAL FUNDS SUBTOTAL *			\$435.00	\$4.35	\$0.00	\$4.35		\$3.83
<u>PRODUCT CATEGORY: STOCKS</u>								
12/10/2018	***-**-034J - NIKODEM, JOSEPH	BLOCK H & R INC	5,526.00	77.49	19.00	58.49	88.0	51.47
	ACCOUNT #: LSR010887	SELL 200 Units @27.6300						
12/07/2018	***-**-80IN - GRIFFITH, DAVID	STEIN MART INC COM	1,837.50	9.99	8.99	1.00	88.0	0.88
	ACCOUNT #: LSF000286	BUY 1500 Units @1.2250						
* STOCKS SUBTOTAL *			\$7,363.50	\$87.48	\$27.99	\$59.49		\$52.35
<u>PRODUCT CATEGORY: 529 PLAN</u>								
12/17/2018	***-**-0862 - REDMOND, EILEEN	NEW YORK 529 TRAILS	0.00	3.85	0.00	3.85	88.0	3.39
	ACCOUNT #: 77172702501	BUY 0 Units @0.0000						
12/17/2018	***-**-29IO - LORUSSO, VINCENT	NEW YORK 529 TRAILS	0.00	0.14	0.00	0.14	88.0	0.12
	ACCOUNT #: 77089153301	BUY 0 Units @0.0000						
12/17/2018	***-**-4580 - GRIFFITH,	NEW YORK 529 TRAILS	0.00	0.93	0.00	0.93	88.0	0.82
		BUY 0 Units @0.0000						
12/17/2018	***-**-244I - BURTON, RICHARD	NEW YORK 529 TRAILS	0.00	0.16	0.00	0.16	88.0	0.14
	ACCOUNT #: 77243486101	BUY 0 Units @0.0000						
12/17/2018	***-**-679I - MURSCH JR,	NEW YORK 529 TRAILS	0.00	4.00	0.00	4.00	88.0	3.52
	ACCOUNT #: 77041375401	BUY 0 Units @0.0000						
12/17/2018	***-**-541I - ORSINO, LISA	NEW YORK 529 TRAILS	0.00	1.88	0.00	1.88	88.0	1.65
	ACCOUNT #: 77049971001	BUY 0 Units @0.0000						
12/17/2018	***-**-745P - SCOTELLARO,	NEW YORK 529 TRAILS	0.00	1.77	0.00	1.77	88.0	1.56
		BUY 0 Units @0.0000						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: 529 PLAN (continued)								
12/17/2018	***-**-225P - DAMSKY, CYNTHIA	NEW YORK 529 TRAILS BUY 0 Units @0.0000	0.00	4.29	0.00	4.29	88.0	3.78
12/17/2018	***-**-467I - PICKARD, BRIAN ACCOUNT #: 77247884901	NEW YORK 529 TRAILS BUY 0 Units @0.0000	0.00	1.05	0.00	1.05	88.0	0.92
12/17/2018	***-**-93JT - WADSWORTH, ACCOUNT #: 77296639001	NEW YORK 529 TRAILS BUY 0 Units @0.0000	0.00	1.08	0.00	1.08	88.0	0.95
12/17/2018	***-**-39IN - CLEARY, KAREN ACCOUNT #: 77678090301	NEW YORK 529 TRAILS BUY 0 Units @0.0000	0.00	4.58	0.00	4.58	88.0	4.03
12/17/2018	***-**-497I - MARTIN, KATHLEEN	NEW YORK 529 TRAILS BUY 0 Units @0.0000	0.00	1.81	0.00	1.81	88.0	1.59
12/17/2018	***-**-015P - SABANOSH, SHERYL ACCOUNT #: 77775742701	NEW YORK 529 TRAILS BUY 0 Units @0.0000	0.00	7.11	0.00	7.11	88.0	6.26
* 529 PLAN SUBTOTAL *			\$0.00	\$32.65	\$0.00	\$32.65		\$28.73
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS								
12/03/2018	***-**-9156 - SIMPSON, PATRICK ACCOUNT #: 00074686908	AMCAP FUND-A BUY 0 Units @0.0000	0.00	16.44	0.00	16.44	88.0	14.47
12/03/2018	***-**-64IN - KIO, EVELYN ACCOUNT #: 00067349392	AMERICAN BALANCED FUND-A BUY 0 Units @0.0000	0.00	1.04	0.00	1.04	88.0	0.92
12/03/2018	***-**-073I - WHITEFORD, DEBRA ACCOUNT #: 00074303925	AMERICAN BALANCED FUND-A BUY 0 Units @0.0000	0.00	1.22	0.00	1.22	88.0	1.07
12/03/2018	***-**-968I - THIBAUT JR, ACCOUNT #: 00064875131	AMERICAN BALANCED FUND-A BUY 0 Units @0.0000	0.00	2.00	0.00	2.00	88.0	1.76
12/03/2018	***-**-225P - DAMSKY, CYNTHIA ACCOUNT #: 00068200312	AMERICAN BALANCED FUND-A BUY 0 Units @0.0000	0.00	4.39	0.00	4.39	88.0	3.86
12/03/2018	***-**-25IR - SCOTELLARO, ACCOUNT #: 00081400337	AMERICAN BALANCED FUND-A BUY 0 Units @0.0000	0.00	1.71	0.00	1.71	88.0	1.50
12/03/2018	***-**-26IR - BROWN, MARISSA ACCOUNT #: 00081497402	AMERICAN BALANCED FUND-A BUY 0 Units @0.0000	0.00	0.80	0.00	0.80	88.0	0.70
12/03/2018	***-**-924J - FISH, ROY ACCOUNT #: 00083431914	AMERICAN BALANCED FUND-A BUY 0 Units @0.0000	0.00	0.96	0.00	0.96	88.0	0.84
12/03/2018	***-**-244I - BURTON, RICHARD ACCOUNT #: 00065159109	AMERICAN BALANCED FUND-C BUY 0 Units @0.0000	0.00	2.16	0.00	2.16	88.0	1.90



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
12/03/2018	***-**-675P - PICKARD, BRIAN	AMERICAN FNDS MORTGAGE FUND-529C	0.00	3.97	0.00	3.97	88.0	3.49
	ACCOUNT #: 00088359310	BUY 0 Units @0.0000						
12/03/2018	***-**-675P - PICKARD, BRIAN	AMERICAN FNDS MORTGAGE FUND-529C	0.00	5.09	0.00	5.09	88.0	4.48
	ACCOUNT #: 00088359322	BUY 0 Units @0.0000						
12/03/2018	***-**-675P - PICKARD, BRIAN	AMERICAN FUNDDS PRESERVATION PORTFO	0.00	7.86	0.00	7.86	88.0	6.92
	ACCOUNT #: 00088359310	BUY 0 Units @0.0000						
12/03/2018	***-**-244I - BURTON, RICHARD	AMERICAN FUNDS 02631F307	0.00	2.13	0.00	2.13	88.0	1.87
	ACCOUNT #: 00065159109	BUY 0 Units @0.0000						
12/03/2018	***-**-36IN - GAUTHIER,	AMERICAN FUNDS 2035 TARGET DATE-A	0.00	0.23	0.00	0.23	88.0	0.20
	ACCOUNT #: 00084124769	BUY 0 Units @0.0000						
12/03/2018	***-**-675P - PICKARD, BRIAN	AMERICAN FUNDS INFLATION LINKED BON	0.00	18.45	0.00	18.45	88.0	16.24
	ACCOUNT #: 00088359310	BUY 0 Units @0.0000						
12/03/2018	***-**-244I - BURTON, RICHARD	AMERICAN FUNDS INFLT LINKED BOND CL	0.00	3.59	0.00	3.59	88.0	3.16
	ACCOUNT #: 00065159109	BUY 0 Units @0.0000						
12/17/2018	***-**-892I - O'BRIEN, ANDREA	AMERICAN FUNDS MF TRAILS	0.00	0.72	0.00	0.72	88.0	0.63
	ACCOUNT #: 00086999144	BUY 0 Units @0.0000						
12/03/2018	***-**-244I - BURTON, RICHARD	AMERICAN FUNDS MORTGAGE FD CL C	0.00	5.11	0.00	5.11	88.0	4.50
	ACCOUNT #: 00065159109	BUY 0 Units @0.0000						
12/03/2018	***-**-7473 - SCOTELLARO,	AMERICAN FUNDS MORTGAGE FD CL C	0.00	2.50	0.00	2.50	88.0	2.20
	ACCOUNT #: 00073919652	BUY 0 Units @0.0000						
12/03/2018	***-**-60IN - SCHRADER, KEVIN	AMERICAN FUNDS MORTGAGE FD CL C	0.00	4.11	0.00	4.11	88.0	3.62
	ACCOUNT #: 00088507883	BUY 0 Units @0.0000						
12/03/2018	***-**-953I - DINITTO, NICOLE	AMERICAN FUNDS MORTGAGE FD CL C	0.00	1.49	0.00	1.49	88.0	1.31
	ACCOUNT #: 00088593891	BUY 0 Units @0.0000						
12/03/2018	***-**-04IN - CLEARY, STEPHEN	AMERICAN FUNDS MORTGAGE FD CL C	0.00	2.79	0.00	2.79	88.0	2.46
	ACCOUNT #: 00088608566	BUY 0 Units @0.0000						
12/03/2018	***-**-39IN - CLEARY, KAREN	AMERICAN FUNDS MORTGAGE FD CL C	0.00	2.04	0.00	2.04	88.0	1.80
	ACCOUNT #: 00088635688	BUY 0 Units @0.0000						
12/03/2018	***-**-675P - PICKARD, BRIAN	AMERICAN FUNDS SHORT-TERM BOND FUND	0.00	3.71	0.00	3.71	88.0	3.26
	ACCOUNT #: 00088359310	BUY 0 Units @0.0000						
12/03/2018	***-**-244I - BURTON, RICHARD	AMERICAN FUNDS U.S. GOV MONEY MRKT	0.00	0.88	0.00	0.88	88.0	0.77
	ACCOUNT #: 00065159109	BUY 0 Units @0.0000						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
12/03/2018	***-**-90IN - SPINA, MARK	AMERICAN GLOBAL BALANCED CL C	0.00	16.49	0.00	16.49	88.0	14.51
	ACCOUNT #: 00088527332	BUY 0 Units @0.0000						
12/03/2018	***-**-244I - BURTON, RICHARD	AMERICAN GLOBAL BALANCED CL C	0.00	7.76	0.00	7.76	88.0	6.83
	ACCOUNT #: 00065159109	BUY 0 Units @0.0000						
12/03/2018	***-**-817I - WADSWORTH,	AMERICAN GLOBAL BALANCED CL C	0.00	15.08	0.00	15.08	88.0	13.27
	ACCOUNT #: 00067441742	BUY 0 Units @0.0000						
12/03/2018	***-**-801I - HAGAN III,	AMERICAN GLOBAL BALANCED CL C	0.00	13.66	0.00	13.66	88.0	12.02
	ACCOUNT #: 00088485981	BUY 0 Units @0.0000						
12/03/2018	***-**-60IN - SCHRADER, KEVIN	AMERICAN GLOBAL BALANCED CL C	0.00	12.33	0.00	12.33	88.0	10.85
	ACCOUNT #: 00088507883	BUY 0 Units @0.0000						
12/03/2018	***-**-953I - DINITTO, NICOLE	AMERICAN GLOBAL BALANCED CL C	0.00	12.96	0.00	12.96	88.0	11.40
	ACCOUNT #: 00088593891	BUY 0 Units @0.0000						
12/03/2018	***-**-04IN - CLEARY, STEPHEN	AMERICAN GLOBAL BALANCED CL C	0.00	7.63	0.00	7.63	88.0	6.71
	ACCOUNT #: 00088608566	BUY 0 Units @0.0000						
12/03/2018	***-**-39IN - CLEARY, KAREN	AMERICAN GLOBAL BALANCED CL C	0.00	3.56	0.00	3.56	88.0	3.13
	ACCOUNT #: 00088635688	BUY 0 Units @0.0000						
12/03/2018	***-**-58IN - SCHRECK, RYAN	AMERICAN GLOBAL BALANCED CL C	0.00	7.46	0.00	7.46	88.0	6.56
	ACCOUNT #: 00088659742	BUY 0 Units @0.0000						
12/03/2018	***-**-9156 - SIMPSON, PATRICK	AMERICAN GLOBAL BALANCED CLASS A	0.00	9.06	0.00	9.06	88.0	7.97
	ACCOUNT #: 00074686908	BUY 0 Units @0.0000						
12/03/2018	***-**-0040 - GRIFFITH,	AMERICAN GLOBAL BALANCED CLASS A	0.00	1.40	0.00	1.40	88.0	1.23
	ACCOUNT #: 00083176630	BUY 0 Units @0.0000						
12/03/2018	***-**-225P - DAMSKY, CYNTHIA	AMERICAN GLOBAL BALANCED CLASS A	0.00	0.87	0.00	0.87	88.0	0.77
	ACCOUNT #: 00068200312	BUY 0 Units @0.0000						
12/03/2018	***-**-924J - FISH, ROY	AMERICAN GLOBAL BALANCED CLASS A	0.00	6.71	0.00	6.71	88.0	5.90
	ACCOUNT #: 00083431914	BUY 0 Units @0.0000						
12/03/2018	***-**-716I - BUCZEK, DENISE	AMERICAN GLOBAL BALANCED CLASS A	0.00	6.15	0.00	6.15	88.0	5.41
	ACCOUNT #: 00088176764	BUY 0 Units @0.0000						
12/03/2018	***-**-88IN - PICKARD, ELAINE	AMERICAN GLOBAL BALANCED CLASS A	0.00	4.80	0.00	4.80	88.0	4.22
	ACCOUNT #: 00088242778	BUY 0 Units @0.0000						
12/03/2018	***-**-64IN - KIO, EVELYN	AMERICAN HIGH-INCOME TRUST-A	0.00	0.92	0.00	0.92	88.0	0.81
	ACCOUNT #: 00067349392	BUY 0 Units @0.0000						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
12/03/2018	***-**-244I - BURTON, RICHARD	AMERICAN HIGH-INCOME TRUST-C	0.00	2.04	0.00	2.04	88.0	1.80
	ACCOUNT #: 00065159109	BUY 0 Units @0.0000						
12/03/2018	***-**-225P - DAMSKY, CYNTHIA	AMERICAN MORTGAGE FUND CL A	0.00	0.78	0.00	0.78	88.0	0.69
	ACCOUNT #: 00068200312	BUY 0 Units @0.0000						
12/03/2018	***-**-716I - BUCZEK, DENISE	AMERICAN MORTGAGE FUND CL A	0.00	1.96	0.00	1.96	88.0	1.72
	ACCOUNT #: 00088176764	BUY 0 Units @0.0000						
12/03/2018	***-**-225P - DAMSKY, CYNTHIA	AMERICAN MUTUAL FUND-A	0.00	2.37	0.00	2.37	88.0	2.09
	ACCOUNT #: 00068200312	BUY 0 Units @0.0000						
12/03/2018	***-**-244I - BURTON, RICHARD	AMERICAN MUTUAL FUND-F1	0.00	0.09	0.00	0.09	88.0	0.08
	ACCOUNT #: 00065159109	BUY 0 Units @0.0000						
12/03/2018	***-**-90IN - SPINA, MARK	CAPITAL INCOME BUILDER CLASS C	0.00	6.61	0.00	6.61	88.0	5.82
	ACCOUNT #: 00088527332	BUY 0 Units @0.0000						
12/03/2018	***-**-675P - PICKARD, BRIAN	CAPITAL INCOME BUILDER-529C	0.00	8.01	0.00	8.01	88.0	7.05
	ACCOUNT #: 00088359310	BUY 0 Units @0.0000						
12/03/2018	***-**-675P - PICKARD, BRIAN	CAPITAL INCOME BUILDER-529C	0.00	4.89	0.00	4.89	88.0	4.30
	ACCOUNT #: 00088359322	BUY 0 Units @0.0000						
12/03/2018	***-**-817I - WADSWORTH,	CAPITAL INCOME BUILDER-A	0.00	6.71	0.00	6.71	88.0	5.90
	ACCOUNT #: 00067441742	BUY 0 Units @0.0000						
12/03/2018	***-**-716I - BUCZEK, DENISE	CAPITAL INCOME BUILDER-A	0.00	2.86	0.00	2.86	88.0	2.52
	ACCOUNT #: 00088176764	BUY 0 Units @0.0000						
12/03/2018	***-**-244I - BURTON, RICHARD	CAPITAL INCOME BUILDER-F1	0.00	0.50	0.00	0.50	88.0	0.44
	ACCOUNT #: 00065159109	BUY 0 Units @0.0000						
12/03/2018	***-**-244I - BURTON, RICHARD	CAPITAL WORLD BOND FUND-C	0.00	2.22	0.00	2.22	88.0	1.95
	ACCOUNT #: 00065159109	BUY 0 Units @0.0000						
12/03/2018	***-**-39IN - CLEARY, KAREN	CAPITAL WORLD BOND FUND-C	0.00	2.01	0.00	2.01	88.0	1.77
	ACCOUNT #: 00088635688	BUY 0 Units @0.0000						
12/03/2018	***-**-58IN - SCHRECK, RYAN	CAPITAL WORLD BOND FUND-C	0.00	6.78	0.00	6.78	88.0	5.97
	ACCOUNT #: 00088659742	BUY 0 Units @0.0000						
12/03/2018	***-**-64IN - KIO, EVELYN	CAPITAL WORLD GROWTH AND INCOME FUN	0.00	1.64	0.00	1.64	88.0	1.44
	ACCOUNT #: 00067349392	BUY 0 Units @0.0000						
12/03/2018	***-**-72IN - THIBAUT, JOHN	CAPITAL WORLD GROWTH AND INCOME FUN	0.00	1.46	0.00	1.46	88.0	1.28
	ACCOUNT #: 00073188948	BUY 0 Units @0.0000						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
12/03/2018	***-**-7704 - AYRES, JENNIFER	CAPITAL WORLD GROWTH AND INCOME FUN	0.00	0.71	0.00	0.71	88.0	0.62
	ACCOUNT #: 00073769241	BUY 0 Units @0.0000						
12/03/2018	***-**-9156 - SIMPSON, PATRICK	CAPITAL WORLD GROWTH AND INCOME FUN	0.00	13.12	0.00	13.12	88.0	11.55
	ACCOUNT #: 00074686908	BUY 0 Units @0.0000						
12/03/2018	***-**-0040 - GRIFFITH,	CAPITAL WORLD GROWTH AND INCOME FUN	0.00	4.04	0.00	4.04	88.0	3.56
	ACCOUNT #: 00083176630	BUY 0 Units @0.0000						
12/03/2018	***-**-90IN - SPINA, MARK	CAPITAL WORLD GROWTH AND INCOME FUN	0.00	15.49	0.00	15.49	88.0	13.63
	ACCOUNT #: 00088527332	BUY 0 Units @0.0000						
12/03/2018	***-**-968I - THIBAUT JR,	CAPITAL WORLD GROWTH AND INCOME FUN	0.00	4.07	0.00	4.07	88.0	3.58
	ACCOUNT #: 00064875131	BUY 0 Units @0.0000						
12/03/2018	***-**-225P - DAMSKY, CYNTHIA	CAPITAL WORLD GROWTH AND INCOME FUN	0.00	5.63	0.00	5.63	88.0	4.95
	ACCOUNT #: 00068200312	BUY 0 Units @0.0000						
12/03/2018	***-**-36IN - GAUTHIER,	CAPITAL WORLD GROWTH AND INCOME FUN	0.00	7.69	0.00	7.69	88.0	6.77
	ACCOUNT #: 00068814424	BUY 0 Units @0.0000						
12/03/2018	***-**-7473 - SCOTELLARO,	CAPITAL WORLD GROWTH AND INCOME FUN	0.00	5.10	0.00	5.10	88.0	4.49
	ACCOUNT #: 00073919652	BUY 0 Units @0.0000						
12/03/2018	***-**-25IR - SCOTELLARO,	CAPITAL WORLD GROWTH AND INCOME FUN	0.00	1.49	0.00	1.49	88.0	1.31
	ACCOUNT #: 00081400337	BUY 0 Units @0.0000						
12/03/2018	***-**-26IR - BROWN, MARISSA	CAPITAL WORLD GROWTH AND INCOME FUN	0.00	1.42	0.00	1.42	88.0	1.25
	ACCOUNT #: 00081497402	BUY 0 Units @0.0000						
12/03/2018	***-**-924J - FISH, ROY	CAPITAL WORLD GROWTH AND INCOME FUN	0.00	0.77	0.00	0.77	88.0	0.68
	ACCOUNT #: 00083431914	BUY 0 Units @0.0000						
12/03/2018	***-**-25IR - REDMOND, SEAN	CAPITAL WORLD GROWTH AND INCOME FUN	0.00	1.91	0.00	1.91	88.0	1.68
	ACCOUNT #: 00088078685	BUY 0 Units @0.0000						
12/03/2018	***-**-716I - BUCZEK, DENISE	CAPITAL WORLD GROWTH AND INCOME FUN	0.00	3.73	0.00	3.73	88.0	3.28
	ACCOUNT #: 00088176764	BUY 0 Units @0.0000						
12/03/2018	***-**-244I - BURTON, RICHARD	CAPITAL WORLD GROWTH AND INCOME FUN	0.00	2.13	0.00	2.13	88.0	1.87
	ACCOUNT #: 00065159109	BUY 0 Units @0.0000						
12/03/2018	***-**-60IN - SCHRADER, KEVIN	CAPITAL WORLD GROWTH AND INCOME FUN	0.00	13.61	0.00	13.61	88.0	11.98
	ACCOUNT #: 00088507883	BUY 0 Units @0.0000						
12/03/2018	***-**-953I - DINITTO, NICOLE	CAPITAL WORLD GROWTH AND INCOME FUN	0.00	23.61	0.00	23.61	88.0	20.78
	ACCOUNT #: 00088593891	BUY 0 Units @0.0000						



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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)								
12/03/2018	***-**-04IN - CLEARY, STEPHEN	CAPITAL WORLD GROWTH AND INCOME FUN	0.00	8.40	0.00	8.40	88.0	7.39
	ACCOUNT #: 00088608566	BUY 0 Units @0.0000						
12/03/2018	***-**-39IN - CLEARY, KAREN	CAPITAL WORLD GROWTH AND INCOME FUN	0.00	3.28	0.00	3.28	88.0	2.89
	ACCOUNT #: 00088635688	BUY 0 Units @0.0000						
12/03/2018	***-**-58IN - SCHRECK, RYAN	CAPITAL WORLD GROWTH AND INCOME FUN	0.00	8.12	0.00	8.12	88.0	7.15
	ACCOUNT #: 00088659742	BUY 0 Units @0.0000						
12/03/2018	***-**-675P - PICKARD, BRIAN	CAPITAL WORLD GROWTH AND INCOME-529	0.00	11.11	0.00	11.11	88.0	9.78
	ACCOUNT #: 00088359310	BUY 0 Units @0.0000						
12/03/2018	***-**-675P - PICKARD, BRIAN	CAPITAL WORLD GROWTH AND INCOME-529	0.00	8.46	0.00	8.46	88.0	7.44
	ACCOUNT #: 00088359322	BUY 0 Units @0.0000						
12/03/2018	***-**-595P - MUTH, MARIA	CAPITAL WORLD GROWTH AND INCOME-529	0.00	5.85	0.00	5.85	88.0	5.15
	ACCOUNT #: 00088943357	BUY 0 Units @0.0000						
12/03/2018	***-**-244I - BURTON, RICHARD	DEVELOPING WORLD GROWTH & INCOME-C	0.00	1.83	0.00	1.83	88.0	1.61
	ACCOUNT #: 00065159109	BUY 0 Units @0.0000						
12/03/2018	***-**-953I - DINITTO, NICOLE	EUROPACIFIC GROWTH FUND CLASS C	0.00	6.70	0.00	6.70	88.0	5.90
	ACCOUNT #: 00088593891	BUY 0 Units @0.0000						
12/03/2018	***-**-675P - PICKARD, BRIAN	EUROPACIFIC GROWTH FUND-529C	0.00	1.47	0.00	1.47	88.0	1.29
	ACCOUNT #: 00088359310	BUY 0 Units @0.0000						
12/03/2018	***-**-675P - PICKARD, BRIAN	EUROPACIFIC GROWTH FUND-529C	0.00	1.47	0.00	1.47	88.0	1.29
	ACCOUNT #: 00088359322	BUY 0 Units @0.0000						
12/03/2018	***-**-595P - MUTH, MARIA	EUROPACIFIC GROWTH FUND-529C	0.00	2.71	0.00	2.71	88.0	2.38
	ACCOUNT #: 00088943357	BUY 0 Units @0.0000						
12/03/2018	***-**-5485 - GAETANO,	EUROPACIFIC GROWTH FUND-A	0.00	4.36	0.00	4.36	88.0	3.84
	ACCOUNT #: 00082975488	BUY 0 Units @0.0000						
12/03/2018	***-**-004O - GRIFFITH,	EUROPACIFIC GROWTH FUND-A	0.00	2.68	0.00	2.68	88.0	2.36
	ACCOUNT #: 00083176630	BUY 0 Units @0.0000						
12/03/2018	***-**-225P - DAMSKY, CYNTHIA	EUROPACIFIC GROWTH FUND-A	0.00	2.31	0.00	2.31	88.0	2.03
	ACCOUNT #: 00068200312	BUY 0 Units @0.0000						
12/03/2018	***-**-36IN - GAUTHIER,	EUROPACIFIC GROWTH FUND-A	0.00	6.71	0.00	6.71	88.0	5.90
	ACCOUNT #: 00068814424	BUY 0 Units @0.0000						
12/03/2018	***-**-25IR - REDMOND, SEAN	EUROPACIFIC GROWTH FUND-A	0.00	1.76	0.00	1.76	88.0	1.55
	ACCOUNT #: 00088078685	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)								
12/03/2018	***-**-675P - PICKARD, BRIAN	FUNDAMENTAL INVESTORS-529C	0.00	3.62	0.00	3.62	88.0	3.19
	ACCOUNT #: 00088359310	BUY 0 Units @0.0000						
12/03/2018	***-**-595P - MUTH, MARIA	FUNDAMENTAL INVESTORS-529C	0.00	3.41	0.00	3.41	88.0	3.00
	ACCOUNT #: 00088943357	BUY 0 Units @0.0000						
12/03/2018	***-**-72IN - THIBAUT, JOHN	FUNDAMENTAL INVESTORS-A	0.00	1.35	0.00	1.35	88.0	1.19
	ACCOUNT #: 00073188948	BUY 0 Units @0.0000						
12/03/2018	***-**-7704 - AYRES, JENNIFER	FUNDAMENTAL INVESTORS-A	0.00	0.70	0.00	0.70	88.0	0.62
	ACCOUNT #: 00073769241	BUY 0 Units @0.0000						
12/03/2018	***-**-9156 - SIMPSON, PATRICK	FUNDAMENTAL INVESTORS-A	0.00	17.11	0.00	17.11	88.0	15.06
	ACCOUNT #: 00074686908	BUY 0 Units @0.0000						
12/03/2018	***-**-968I - THIBAUT JR,	FUNDAMENTAL INVESTORS-A	0.00	3.93	0.00	3.93	88.0	3.46
	ACCOUNT #: 00064875131	BUY 0 Units @0.0000						
12/03/2018	***-**-225P - DAMSKY, CYNTHIA	FUNDAMENTAL INVESTORS-A	0.00	2.42	0.00	2.42	88.0	2.13
	ACCOUNT #: 00068200312	BUY 0 Units @0.0000						
12/03/2018	***-**-36IN - GAUTHIER,	FUNDAMENTAL INVESTORS-A	0.00	9.16	0.00	9.16	88.0	8.06
	ACCOUNT #: 00068814424	BUY 0 Units @0.0000						
12/03/2018	***-**-7473 - SCOTELLARO,	FUNDAMENTAL INVESTORS-A	0.00	2.19	0.00	2.19	88.0	1.93
	ACCOUNT #: 00073919652	BUY 0 Units @0.0000						
12/03/2018	***-**-25IR - SCOTELLARO,	FUNDAMENTAL INVESTORS-A	0.00	2.60	0.00	2.60	88.0	2.29
	ACCOUNT #: 00081400337	BUY 0 Units @0.0000						
12/03/2018	***-**-26IR - BROWN, MARISSA	FUNDAMENTAL INVESTORS-A	0.00	3.61	0.00	3.61	88.0	3.18
	ACCOUNT #: 00081497402	BUY 0 Units @0.0000						
12/03/2018	***-**-924J - FISH, ROY	FUNDAMENTAL INVESTORS-A	0.00	0.94	0.00	0.94	88.0	0.83
	ACCOUNT #: 00083431914	BUY 0 Units @0.0000						
12/03/2018	***-**-25IR - REDMOND, SEAN	FUNDAMENTAL INVESTORS-A	0.00	2.32	0.00	2.32	88.0	2.04
	ACCOUNT #: 00088078685	BUY 0 Units @0.0000						
12/03/2018	***-**-004O - GRIFFITH,	FUNDAMENTAL INVESTORS-C	0.00	15.73	0.00	15.73	88.0	13.84
	ACCOUNT #: 00083322888	BUY 0 Units @0.0000						
12/03/2018	***-**-788I - ALBARRAN, CARLOS	FUNDAMENTAL INVESTORS-C	0.00	66.89	0.00	66.89	88.0	58.86
	ACCOUNT #: 00085186008	BUY 0 Units @0.0000						
12/03/2018	***-**-60IN - SCHRADER, KEVIN	FUNDAMENTAL INVESTORS-C	0.00	5.90	0.00	5.90	88.0	5.19
	ACCOUNT #: 00088507883	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)								
12/03/2018	***-**-953I - DINITTO, NICOLE	FUNDAMENTAL INVESTORS-C	0.00	2.29	0.00	2.29	88.0	2.02
	ACCOUNT #: 00088593891	BUY 0 Units @0.0000						
12/03/2018	***-**-04IN - CLEARY, STEPHEN	FUNDAMENTAL INVESTORS-C	0.00	5.98	0.00	5.98	88.0	5.26
	ACCOUNT #: 00088608566	BUY 0 Units @0.0000						
12/03/2018	***-**-675P - PICKARD, BRIAN	GLOBAL BALANCED FUND-529C	0.00	17.92	0.00	17.92	88.0	15.77
	ACCOUNT #: 00088359310	BUY 0 Units @0.0000						
12/03/2018	***-**-675P - PICKARD, BRIAN	GLOBAL BALANCED FUND-529C	0.00	8.44	0.00	8.44	88.0	7.43
	ACCOUNT #: 00088359322	BUY 0 Units @0.0000						
12/03/2018	***-**-595P - MUTH, MARIA	GLOBAL BALANCED FUND-529C	0.00	8.16	0.00	8.16	88.0	7.18
	ACCOUNT #: 00088943357	BUY 0 Units @0.0000						
12/04/2018	***-**-794I - INGERSOLL, JOAN	HARTFORD BALANCED INCOME FD CL A	0.00	0.40	0.00	0.40	88.0	0.35
	ACCOUNT #: 00000871758	BUY 0 Units @0.0000						
12/04/2018	***-**-015P - SABANOSH, SHERYL	HARTFORD CHECKS AND BALANCED FUND C	0.00	0.82	0.00	0.82	88.0	0.72
	ACCOUNT #: 00000856950	BUY 0 Units @0.0000						
12/04/2018	***-**-794I - INGERSOLL, JOAN	HARTFORD CHECKS AND BALANCED FUND C	0.00	0.44	0.00	0.44	88.0	0.39
	ACCOUNT #: 00000871758	BUY 0 Units @0.0000						
12/03/2018	***-**-90IN - SPINA, MARK	INCOME FUND OF AMERICA CLASS C	0.00	12.97	0.00	12.97	88.0	11.41
	ACCOUNT #: 00088527332	BUY 0 Units @0.0000						
12/03/2018	***-**-60IN - SCHRADER, KEVIN	INCOME FUND OF AMERICA CLASS C	0.00	5.06	0.00	5.06	88.0	4.45
	ACCOUNT #: 00088507883	BUY 0 Units @0.0000						
12/03/2018	***-**-953I - DINITTO, NICOLE	INCOME FUND OF AMERICA CLASS C	0.00	5.32	0.00	5.32	88.0	4.68
	ACCOUNT #: 00088593891	BUY 0 Units @0.0000						
12/03/2018	***-**-04IN - CLEARY, STEPHEN	INCOME FUND OF AMERICA CLASS C	0.00	4.85	0.00	4.85	88.0	4.27
	ACCOUNT #: 00088608566	BUY 0 Units @0.0000						
12/03/2018	***-**-39IN - CLEARY, KAREN	INCOME FUND OF AMERICA CLASS C	0.00	2.31	0.00	2.31	88.0	2.03
	ACCOUNT #: 00088635688	BUY 0 Units @0.0000						
12/03/2018	***-**-58IN - SCHRECK, RYAN	INCOME FUND OF AMERICA CLASS C	0.00	4.69	0.00	4.69	88.0	4.13
	ACCOUNT #: 00088659742	BUY 0 Units @0.0000						
12/03/2018	***-**-675P - PICKARD, BRIAN	INTERMEDIATE BOND FUND OF AMERICA-5	0.00	18.59	0.00	18.59	88.0	16.36
	ACCOUNT #: 00088359322	BUY 0 Units @0.0000						
12/03/2018	***-**-244I - BURTON, RICHARD	INTERMEDIATE BOND FUND OF AMERICA-C	0.00	2.58	0.00	2.58	88.0	2.27
	ACCOUNT #: 00065159109	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)								
11/28/2018	***-**-51RI - DIPERNA, SANDRA	MFS TRAILS 552988610	300.00	3.00	0.00	3.00	88.0	2.64
	ACCOUNT #: 08191188649	BUY 19 Units @15.5500						
11/28/2018	***-**-57RI - DIPERNA, ROBERT	MFS TRAILS 552988610	300.00	3.00	0.00	3.00	88.0	2.64
	ACCOUNT #: 08189654783	BUY 19 Units @15.5500						
12/03/2018	***-**-72IN - THIBAUT, JOHN	NEW PERSPECTIVE FUND-A	0.00	1.05	0.00	1.05	88.0	0.92
	ACCOUNT #: 00073188948	BUY 0 Units @0.0000						
12/03/2018	***-**-244I - BURTON, RICHARD	NEW PERSPECTIVE FUND-A	0.00	0.42	0.00	0.42	88.0	0.37
	ACCOUNT #: 00065159109	BUY 0 Units @0.0000						
12/03/2018	***-**-7473 - SCOTELLARO,	NEW PERSPECTIVE FUND-A	0.00	6.04	0.00	6.04	88.0	5.32
	ACCOUNT #: 00073919652	BUY 0 Units @0.0000						
12/03/2018	***-**-26IR - BROWN, MARISSA	NEW PERSPECTIVE FUND-A	0.00	1.65	0.00	1.65	88.0	1.45
	ACCOUNT #: 00081497402	BUY 0 Units @0.0000						
12/03/2018	***-**-244I - BURTON, RICHARD	NEW PERSPECTIVE FUND-C	0.00	3.09	0.00	3.09	88.0	2.72
	ACCOUNT #: 00065159109	BUY 0 Units @0.0000						
12/03/2018	***-**-9156 - SIMPSON, PATRICK	NEW WORLD FUND-A	0.00	9.90	0.00	9.90	88.0	8.71
	ACCOUNT #: 00074686908	BUY 0 Units @0.0000						
12/03/2018	***-**-25IR - SCOTELLARO,	NEW WORLD FUND-A	0.00	1.38	0.00	1.38	88.0	1.21
	ACCOUNT #: 00081400337	BUY 0 Units @0.0000						
12/03/2018	***-**-924J - FISH, ROY	NEW WORLD FUND-A	0.00	0.60	0.00	0.60	88.0	0.53
	ACCOUNT #: 00083431914	BUY 0 Units @0.0000						
12/03/2018	***-**-60IN - SCHRADER, KEVIN	NEW WORLD FUND-C	0.00	3.16	0.00	3.16	88.0	2.78
	ACCOUNT #: 00088507883	BUY 0 Units @0.0000						
12/03/2018	***-**-244I - BURTON, RICHARD	RTMT INCOME PORTFOLIO CONSERVATIVE-	0.00	2.35	0.00	2.35	88.0	2.07
	ACCOUNT #: 00065159109	BUY 0 Units @0.0000						
12/03/2018	***-**-595P - MUTH, MARIA	SMALLCAP WORLD FUND-529C	0.00	3.01	0.00	3.01	88.0	2.65
	ACCOUNT #: 00088943357	BUY 0 Units @0.0000						
12/03/2018	***-**-9156 - SIMPSON, PATRICK	SMALLCAP WORLD FUND-A	0.00	12.02	0.00	12.02	88.0	10.58
	ACCOUNT #: 00074686908	BUY 0 Units @0.0000						
12/03/2018	***-**-5485 - GAETANO,	SMALLCAP WORLD FUND-A	0.00	3.55	0.00	3.55	88.0	3.12
	ACCOUNT #: 00082975488	BUY 0 Units @0.0000						
12/03/2018	***-**-004O - GRIFFITH,	SMALLCAP WORLD FUND-A	0.00	3.92	0.00	3.92	88.0	3.45
	ACCOUNT #: 00083176630	BUY 0 Units @0.0000						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
12/03/2018	***-**-968I - THIBAUT JR, ACCOUNT #: 00064875131	SMALLCAP WORLD FUND-A BUY 0 Units @0.0000	0.00	2.54	0.00	2.54	88.0	2.24
12/03/2018	***-**-36IN - GAUTHIER, ACCOUNT #: 00068814424	SMALLCAP WORLD FUND-A BUY 0 Units @0.0000	0.00	9.07	0.00	9.07	88.0	7.98
12/03/2018	***-**-26IR - BROWN, MARISSA ACCOUNT #: 00081497402	SMALLCAP WORLD FUND-A BUY 0 Units @0.0000	0.00	1.11	0.00	1.11	88.0	0.98
12/03/2018	***-**-25IR - REDMOND, SEAN ACCOUNT #: 00088078685	SMALLCAP WORLD FUND-A BUY 0 Units @0.0000	0.00	1.60	0.00	1.60	88.0	1.41
12/03/2018	***-**-90IN - SPINA, MARK ACCOUNT #: 00088527332	SMALLCAP WORLD FUND-C BUY 0 Units @0.0000	0.00	8.14	0.00	8.14	88.0	7.16
12/03/2018	***-**-244I - BURTON, RICHARD ACCOUNT #: 00065159109	SMALLCAP WORLD FUND-C BUY 0 Units @0.0000	0.00	3.09	0.00	3.09	88.0	2.72
12/03/2018	***-**-60IN - SCHRADER, KEVIN ACCOUNT #: 00088507883	SMALLCAP WORLD FUND-C BUY 0 Units @0.0000	0.00	9.60	0.00	9.60	88.0	8.45
12/03/2018	***-**-953I - DINITTO, NICOLE ACCOUNT #: 00088593891	SMALLCAP WORLD FUND-C BUY 0 Units @0.0000	0.00	1.36	0.00	1.36	88.0	1.20
12/03/2018	***-**-04IN - CLEARY, STEPHEN ACCOUNT #: 00088608566	SMALLCAP WORLD FUND-C BUY 0 Units @0.0000	0.00	3.77	0.00	3.77	88.0	3.32
12/03/2018	***-**-58IN - SCHRECK, RYAN ACCOUNT #: 00088659742	SMALLCAP WORLD FUND-C BUY 0 Units @0.0000	0.00	3.62	0.00	3.62	88.0	3.19
12/03/2018	***-**-817I - WADSWORTH, ACCOUNT #: 00067441742	THE BOND FUND OF AMERICA-A BUY 0 Units @0.0000	0.00	4.54	0.00	4.54	88.0	4.00
12/03/2018	***-**-244I - BURTON, RICHARD ACCOUNT #: 00065159109	THE BOND FUND OF AMERICA-C BUY 0 Units @0.0000	0.00	0.60	0.00	0.60	88.0	0.53
12/03/2018	***-**-244I - BURTON, RICHARD ACCOUNT #: 00065159109	THE BOND FUND OF AMERICA-F1 BUY 0 Units @0.0000	0.00	0.33	0.00	0.33	88.0	0.29
12/03/2018	***-**-675P - PICKARD, BRIAN ACCOUNT #: 00088359310	THE GROWTH FUND OF AMERICA-529C BUY 0 Units @0.0000	0.00	5.47	0.00	5.47	88.0	4.81
12/03/2018	***-**-675P - PICKARD, BRIAN ACCOUNT #: 00088359322	THE GROWTH FUND OF AMERICA-529C BUY 0 Units @0.0000	0.00	2.46	0.00	2.46	88.0	2.16
12/03/2018	***-**-5485 - GAETANO, ACCOUNT #: 00082975488	THE GROWTH FUND OF AMERICA-A BUY 0 Units @0.0000	0.00	21.38	0.00	21.38	88.0	18.81



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
12/03/2018	***-**-0040 - GRIFFITH, ACCOUNT #: 00083176630	THE GROWTH FUND OF AMERICA-A BUY 0 Units @0.0000	0.00	2.39	0.00	2.39	88.0	2.10
12/03/2018	***-**-817I - WADSWORTH, ACCOUNT #: 00067441742	THE GROWTH FUND OF AMERICA-A BUY 0 Units @0.0000	0.00	11.09	0.00	11.09	88.0	9.76
12/03/2018	***-**-225P - DAMSKY, CYNTHIA ACCOUNT #: 00068200312	THE GROWTH FUND OF AMERICA-A BUY 0 Units @0.0000	0.00	1.86	0.00	1.86	88.0	1.64
12/03/2018	***-**-36IN - GAUTHIER, ACCOUNT #: 00068814424	THE GROWTH FUND OF AMERICA-A BUY 0 Units @0.0000	0.00	8.44	0.00	8.44	88.0	7.43
12/03/2018	***-**-25IR - REDMOND, SEAN ACCOUNT #: 00088078685	THE GROWTH FUND OF AMERICA-A BUY 0 Units @0.0000	0.00	3.02	0.00	3.02	88.0	2.66
12/04/2018	***-**-794I - INGERSOLL, JOAN ACCOUNT #: 00000871758	THE HARTFORD EQUITY INCOME FUND - A BUY 0 Units @0.0000	0.00	0.59	0.00	0.59	88.0	0.52
12/04/2018	***-**-015P - SABANOSH, SHERYL ACCOUNT #: 00000856950	THE HARTFORD FLOATING RATE FUND - A BUY 0 Units @0.0000	0.00	0.65	0.00	0.65	88.0	0.57
12/04/2018	***-**-015P - SABANOSH, SHERYL ACCOUNT #: 00000856950	THE HARTFORD GLOBAL HEALTH FUND-A BUY 0 Units @0.0000	0.00	1.23	0.00	1.23	88.0	1.08
12/04/2018	***-**-015P - SABANOSH, SHERYL ACCOUNT #: 00000856950	THE HARTFORD VALUE OPPORTUNITIES FD BUY 0 Units @0.0000	0.00	0.94	0.00	0.94	88.0	0.83
12/03/2018	***-**-675P - PICKARD, BRIAN ACCOUNT #: 00088359310	THE INCOME FUND OF AMERICA-529C BUY 0 Units @0.0000	0.00	6.79	0.00	6.79	88.0	5.98
12/03/2018	***-**-675P - PICKARD, BRIAN ACCOUNT #: 00088359322	THE INCOME FUND OF AMERICA-529C BUY 0 Units @0.0000	0.00	5.69	0.00	5.69	88.0	5.01
12/03/2018	***-**-595P - MUTH, MARIA ACCOUNT #: 00088943357	THE INCOME FUND OF AMERICA-529C BUY 0 Units @0.0000	0.00	5.88	0.00	5.88	88.0	5.17
12/03/2018	***-**-64IN - KIO, EVELYN ACCOUNT #: 00067349392	THE INCOME FUND OF AMERICA-A BUY 0 Units @0.0000	0.00	1.00	0.00	1.00	88.0	0.88
12/03/2018	***-**-225P - DAMSKY, CYNTHIA ACCOUNT #: 00068200312	THE INCOME FUND OF AMERICA-A BUY 0 Units @0.0000	0.00	1.39	0.00	1.39	88.0	1.22
12/03/2018	***-**-469I - HAUCK, JUDITH ACCOUNT #: 00087147439	THE INCOME FUND OF AMERICA-A BUY 0 Units @0.0000	0.00	28.91	0.00	28.91	88.0	25.44
12/03/2018	***-**-716I - BUCZEK, DENISE ACCOUNT #: 00088176764	THE INCOME FUND OF AMERICA-A BUY 0 Units @0.0000	0.00	3.98	0.00	3.98	88.0	3.50



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)								
12/03/2018	***-**-244I - BURTON, RICHARD	THE INCOME FUND OF AMERICA-F1	0.00	0.53	0.00	0.53	88.0	0.47
	ACCOUNT #: 00065159109	BUY 0 Units @0.0000						
12/03/2018	***-**-073I - WHITEFORD, DEBRA	THE INVESTMENT COMPANY OF AMERICA-A	0.00	2.56	0.00	2.56	88.0	2.25
	ACCOUNT #: 00074303925	BUY 0 Units @0.0000						
12/03/2018	***-**-58IN - CADY, GAIL	THE INVESTMENT COMPANY OF AMERICA-A	0.00	2.78	0.00	2.78	88.0	2.45
	ACCOUNT #: 00064492350	BUY 0 Units @0.0000						
12/03/2018	***-**-3429 - ALOISIO, NATHAN	THE INVESTMENT COMPANY OF AMERICA-A	0.00	2.45	0.00	2.45	88.0	2.16
	ACCOUNT #: 00084955932	BUY 0 Units @0.0000						
12/03/2018	***-**-9156 - SIMPSON, PATRICK	THE NEW ECONOMY FUND-A	0.00	9.49	0.00	9.49	88.0	8.35
	ACCOUNT #: 00074686908	BUY 0 Units @0.0000						
12/03/2018	***-**-244I - BURTON, RICHARD	THE NEW ECONOMY FUND-A	0.00	0.44	0.00	0.44	88.0	0.39
	ACCOUNT #: 00065159109	BUY 0 Units @0.0000						
12/03/2018	***-**-244I - BURTON, RICHARD	THE NEW ECONOMY FUND-C	0.00	3.93	0.00	3.93	88.0	3.46
	ACCOUNT #: 00065159109	BUY 0 Units @0.0000						
12/03/2018	***-**-64IN - KIO, EVELYN	U.S. GOVERNMENT SECURITIES FUND CLA	0.00	0.10	0.00	0.10	88.0	0.09
	ACCOUNT #: 00067349392	BUY 0 Units @0.0000						
12/03/2018	***-**-39IN - CLEARY, KAREN	U.S. GOVERNMENT SECURITIES FUND-C	0.00	2.00	0.00	2.00	88.0	1.76
	ACCOUNT #: 00088635688	BUY 0 Units @0.0000						
12/03/2018	***-**-0040 - GRIFFITH,	WASHINGTON MUTUAL INVESTORS FUND-A	0.00	5.73	0.00	5.73	88.0	5.04
	ACCOUNT #: 00083176630	BUY 0 Units @0.0000						
12/03/2018	***-**-817I - WADSWORTH,	WASHINGTON MUTUAL INVESTORS FUND-A	0.00	18.28	0.00	18.28	88.0	16.09
	ACCOUNT #: 00067441742	BUY 0 Units @0.0000						
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *			\$600.00	\$966.56	\$0.00	\$966.56		\$850.57
*** BROKER TRANSACTIONS TOTAL ***			\$8,398.50	\$1,091.04	\$27.99	\$1,063.05		\$935.48



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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u> OVERRIDE TRANSACTIONS </u>								
<u>BROKER: KURT GRUENEWALD</u>								
12/03/2018	***-**-78IR - FALES, JOAN	AF MODERATE GROWTH AND INCOME-A	0.00	4.69	0.00	4.69	88.0	4.13
	ACCOUNT #: 00088082227	BUY 0 Units @0.0000						
12/03/2018	***-**-72TD - GAVALO, JULIE	AF SHORT-TERM TAX-EXEMPT BOND FUND-	0.00	6.75	0.00	6.75	88.0	5.94
	ACCOUNT #: 00087169935	BUY 0 Units @0.0000						
12/03/2018	***-**-169I - EVANS, PAUL	AMCAP FUND-C	0.00	6.81	0.00	6.81	88.0	5.99
	ACCOUNT #: 00083808354	BUY 0 Units @0.0000						
12/03/2018	***-**-5375 - CARTER, LISA	AMERICAN BALANCED FUND-529C	0.00	0.89	0.00	0.89	88.0	0.78
	ACCOUNT #: 00083849497	BUY 0 Units @0.0000						
12/03/2018	***-**-72IN - GAVALO, JULIE	AMERICAN BALANCED FUND-529E	0.00	1.22	0.00	1.22	88.0	1.07
	ACCOUNT #: 00068530007	BUY 0 Units @0.0000						
12/03/2018	***-**-72IN - GAVALO, JULIE	AMERICAN BALANCED FUND-529E	0.00	1.22	0.00	1.22	88.0	1.07
	ACCOUNT #: 00068530008	BUY 0 Units @0.0000						
12/03/2018	***-**-72IN - GAVALO, JULIE	AMERICAN BALANCED FUND-529E	0.00	5.34	0.00	5.34	88.0	4.70
	ACCOUNT #: 00068530009	BUY 0 Units @0.0000						
12/03/2018	***-**-755P - SHEPPARD,	AMERICAN BALANCED FUND-A	0.00	2.14	0.00	2.14	88.0	1.88
	ACCOUNT #: 00084218264	BUY 0 Units @0.0000						
12/03/2018	***-**-0462 - FRIOT, MICHAEL	AMERICAN BALANCED FUND-A	0.00	5.66	0.00	5.66	88.0	4.98
	ACCOUNT #: 00084291287	BUY 0 Units @0.0000						
12/03/2018	***-**-480J - EVANS, RICHARD	AMERICAN BALANCED FUND-A	0.00	3.13	0.00	3.13	88.0	2.75
	ACCOUNT #: 00073288662	BUY 0 Units @0.0000						
12/03/2018	***-**-81IR - CAMPBELL,	AMERICAN BALANCED FUND-A	0.00	6.86	0.00	6.86	88.0	6.04
	ACCOUNT #: 00073375822	BUY 0 Units @0.0000						
12/03/2018	***-**-20IR - DEMETRI, AMELIA	AMERICAN BALANCED FUND-A	0.00	3.64	0.00	3.64	88.0	3.20
	ACCOUNT #: 00074234451	BUY 0 Units @0.0000						
12/03/2018	***-**-643I - PELLETIER, MARY	AMERICAN BALANCED FUND-A	0.00	5.05	0.00	5.05	88.0	4.44
	ACCOUNT #: 00083385810	BUY 0 Units @0.0000						
12/03/2018	***-**-265J - MEEKINS, TIMOTHY	AMERICAN BALANCED FUND-A	0.00	1.11	0.00	1.11	88.0	0.98
	ACCOUNT #: 00083811335	BUY 0 Units @0.0000						
12/03/2018	***-**-901I - SATTERLY, ANN	AMERICAN BALANCED FUND-A	0.00	0.55	0.00	0.55	88.0	0.48
	ACCOUNT #: 00084301189	BUY 0 Units @0.0000						
12/03/2018	***-**-382I - SATTERLY, NEIL	AMERICAN BALANCED FUND-A	0.00	0.87	0.00	0.87	88.0	0.77
	ACCOUNT #: 00084301242	BUY 0 Units @0.0000						



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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)								
 <u>BROKER: KURT GRUENEWALD (continued)</u>								
12/03/2018	***-**-753J - FALCHI, VALERIE	AMERICAN BALANCED FUND-A	0.00	0.65	0.00	0.65	88.0	0.57
	ACCOUNT #: 00084317946	BUY 0 Units @0.0000						
12/03/2018	***-**-753J - FALCHI, VALERIE	AMERICAN BALANCED FUND-C	0.00	5.90	0.00	5.90	88.0	5.19
	ACCOUNT #: 00084317946	BUY 0 Units @0.0000						
12/03/2018	***-**-5375 - CARTER, LISA	AMERICAN FUNDS 45956T808	0.00	4.96	0.00	4.96	88.0	4.36
	ACCOUNT #: 00083849497	BUY 0 Units @0.0000						
12/03/2018	***-**-72TD - GAVALO, JULIE	AMERICAN HIGH-INCOME MUNI BOND FUND	0.00	13.65	0.00	13.65	88.0	12.01
	ACCOUNT #: 00087169935	BUY 0 Units @0.0000						
12/03/2018	***-**-072I - GAVALO, JULIE	AMERICAN HIGH-INCOME TRUST-A	0.00	19.92	0.00	19.92	88.0	17.53
	ACCOUNT #: 00087112294	BUY 0 Units @0.0000						
12/03/2018	***-**-81IR - CAMPBELL,	AMERICAN HIGH-INCOME TRUST-A	0.00	4.28	0.00	4.28	88.0	3.77
	ACCOUNT #: 00073375822	BUY 0 Units @0.0000						
12/03/2018	***-**-20JT - KOCHER, DENISE	AMERICAN HIGH-INCOME TRUST-A	0.00	1.35	0.00	1.35	88.0	1.19
	ACCOUNT #: 00083988898	BUY 0 Units @0.0000						
12/03/2018	***-**-72IN - GAVALO, JULIE	AMERICAN MUTUAL FUND-529E	0.00	5.71	0.00	5.71	88.0	5.02
	ACCOUNT #: 00068530009	BUY 0 Units @0.0000						
12/03/2018	***-**-072I - GAVALO, JULIE	AMERICAN MUTUAL FUND-A	0.00	10.92	0.00	10.92	88.0	9.61
	ACCOUNT #: 00087112294	BUY 0 Units @0.0000						
12/03/2018	***-**-20JT - KOCHER, DENISE	AMERICAN MUTUAL FUND-A	0.00	0.90	0.00	0.90	88.0	0.79
	ACCOUNT #: 00083988898	BUY 0 Units @0.0000						
12/03/2018	***-**-755P - SHEPPARD,	CAPITAL INCOME BUILDER-529A	0.00	0.58	0.00	0.58	88.0	0.51
	ACCOUNT #: 00084018452	BUY 0 Units @0.0000						
12/03/2018	***-**-2855 - KRECIDL, MARTA	CAPITAL INCOME BUILDER-A	0.00	0.49	0.00	0.49	88.0	0.43
	ACCOUNT #: 00083946447	BUY 0 Units @0.0000						
12/03/2018	***-**-0462 - FRIOT, MICHAEL	CAPITAL INCOME BUILDER-A	0.00	3.19	0.00	3.19	88.0	2.81
	ACCOUNT #: 00084291287	BUY 0 Units @0.0000						
12/03/2018	***-**-072I - GAVALO, JULIE	CAPITAL INCOME BUILDER-A	0.00	21.20	0.00	21.20	88.0	18.66
	ACCOUNT #: 00087112294	BUY 0 Units @0.0000						
12/03/2018	***-**-72RI - GAVALO, JULIE	CAPITAL INCOME BUILDER-A	0.00	12.06	0.00	12.06	88.0	10.61
	ACCOUNT #: 00087231055	BUY 0 Units @0.0000						
12/03/2018	***-**-8158 - BEHA, DEBORAH	CAPITAL INCOME BUILDER-A	0.00	3.69	0.00	3.69	88.0	3.25
	ACCOUNT #: 00058770149	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>								
12/03/2018	***-**-643I - PELLETIER, MARY	CAPITAL INCOME BUILDER-A	0.00	4.35	0.00	4.35	88.0	3.83
	ACCOUNT #: 00083385810	BUY 0 Units @0.0000						
12/03/2018	***-**-86IR - MEEKINS, LISA	CAPITAL INCOME BUILDER-A	0.00	0.88	0.00	0.88	88.0	0.77
	ACCOUNT #: 00083811211	BUY 0 Units @0.0000						
12/03/2018	***-**-265I - MEEKINS, TIMOTHY	CAPITAL INCOME BUILDER-A	0.00	0.79	0.00	0.79	88.0	0.70
	ACCOUNT #: 00083811243	BUY 0 Units @0.0000						
12/03/2018	***-**-265J - MEEKINS, TIMOTHY	CAPITAL INCOME BUILDER-A	0.00	0.98	0.00	0.98	88.0	0.86
	ACCOUNT #: 00083811335	BUY 0 Units @0.0000						
12/03/2018	***-**-443I - LATUS, FREDERICK	CAPITAL INCOME BUILDER-A	0.00	0.42	0.00	0.42	88.0	0.37
	ACCOUNT #: 00083932986	BUY 0 Units @0.0000						
12/03/2018	***-**-20JT - KOCHER, DENISE	CAPITAL INCOME BUILDER-A	0.00	1.77	0.00	1.77	88.0	1.56
	ACCOUNT #: 00083988898	BUY 0 Units @0.0000						
12/03/2018	***-**-5375 - CARTER, LISA	CAPITAL INCOME BUILDER-A	0.00	0.16	0.00	0.16	88.0	0.14
	ACCOUNT #: 00084131722	BUY 0 Units @0.0000						
12/03/2018	***-**-901I - SATTERLY, ANN	CAPITAL INCOME BUILDER-A	0.00	0.41	0.00	0.41	88.0	0.36
	ACCOUNT #: 00084301189	BUY 0 Units @0.0000						
12/03/2018	***-**-382I - SATTERLY, NEIL	CAPITAL INCOME BUILDER-A	0.00	0.66	0.00	0.66	88.0	0.58
	ACCOUNT #: 00084301242	BUY 0 Units @0.0000						
12/03/2018	***-**-753J - FALCHI, VALERIE	CAPITAL INCOME BUILDER-A	0.00	0.75	0.00	0.75	88.0	0.66
	ACCOUNT #: 00084317946	BUY 0 Units @0.0000						
12/03/2018	***-**-094I - KATRENA L	CAPITAL INCOME BUILDER-A	0.00	0.37	0.00	0.37	88.0	0.33
	ACCOUNT #: 00084459807	BUY 0 Units @0.0000						
12/03/2018	***-**-5414 - KARAM, SEGEAN	CAPITAL INCOME BUILDER-A	0.00	0.45	0.00	0.45	88.0	0.40
	ACCOUNT #: 00084545682	BUY 0 Units @0.0000						
12/03/2018	***-**-6981 - KARAM, MARY ANN	CAPITAL INCOME BUILDER-A	0.00	0.46	0.00	0.46	88.0	0.40
	ACCOUNT #: 00084545771	BUY 0 Units @0.0000						
12/03/2018	***-**-0462 - FRIOT, MICHAEL	CAPITAL WORLD BOND FUND-A	0.00	0.37	0.00	0.37	88.0	0.33
	ACCOUNT #: 00084291287	BUY 0 Units @0.0000						
12/03/2018	***-**-072I - GAVALO, JULIE	CAPITAL WORLD BOND FUND-A	0.00	3.46	0.00	3.46	88.0	3.04
	ACCOUNT #: 00087112294	BUY 0 Units @0.0000						
12/03/2018	***-**-8158 - BEHA, DEBORAH	CAPITAL WORLD BOND FUND-A	0.00	1.85	0.00	1.85	88.0	1.63
	ACCOUNT #: 00058770149	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> 								
12/03/2018	***-**-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						
12/03/2018	***-**-265J - MEEKINS, TIMOTHY	CAPITAL WORLD BOND FUND-A	0.00	0.64	0.00	0.64	88.0	0.56
	ACCOUNT #: 00083811335	BUY 0 Units @0.0000						
12/03/2018	***-**-094I - KATRENA L	CAPITAL WORLD BOND FUND-A	0.00	0.23	0.00	0.23	88.0	0.20
	ACCOUNT #: 00084459807	BUY 0 Units @0.0000						
12/03/2018	***-**-5414 - KARAM, SEGEAN	CAPITAL WORLD BOND FUND-A	0.00	0.42	0.00	0.42	88.0	0.37
	ACCOUNT #: 00084545682	BUY 0 Units @0.0000						
12/03/2018	***-**-6981 - KARAM, MARY ANN	CAPITAL WORLD BOND FUND-A	0.00	0.43	0.00	0.43	88.0	0.38
	ACCOUNT #: 00084545771	BUY 0 Units @0.0000						
12/03/2018	***-**-643I - PELLETIER, MARY	CAPITAL WORLD BOND FUND-C	0.00	0.65	0.00	0.65	88.0	0.57
	ACCOUNT #: 00083385757	BUY 0 Units @0.0000						
12/03/2018	***-**-0069 - KRECIDLO,	CAPITAL WORLD GROWTH AND INCOME FUN	0.00	1.23	0.00	1.23	88.0	1.08
	ACCOUNT #: 00083510637	BUY 0 Units @0.0000						
12/03/2018	***-**-2855 - KRECIDLO, MARTA	CAPITAL WORLD GROWTH AND INCOME FUN	0.00	1.23	0.00	1.23	88.0	1.08
	ACCOUNT #: 00083510745	BUY 0 Units @0.0000						
12/03/2018	***-**-2855 - KRECIDLO, MARTA	CAPITAL WORLD GROWTH AND INCOME FUN	0.00	0.72	0.00	0.72	88.0	0.63
	ACCOUNT #: 00083946447	BUY 0 Units @0.0000						
12/03/2018	***-**-755P - SHEPPARD,	CAPITAL WORLD GROWTH AND INCOME FUN	0.00	2.65	0.00	2.65	88.0	2.33
	ACCOUNT #: 00084218264	BUY 0 Units @0.0000						
12/03/2018	***-**-20IN - DEMETRI, AMELIA	CAPITAL WORLD GROWTH AND INCOME FUN	0.00	0.29	0.00	0.29	88.0	0.26
	ACCOUNT #: 00085948151	BUY 0 Units @0.0000						
12/03/2018	***-**-18IR - MEEKINS, KAIDEN	CAPITAL WORLD GROWTH AND INCOME FUN	0.00	0.49	0.00	0.49	88.0	0.43
	ACCOUNT #: 00087145992	BUY 0 Units @0.0000						
12/03/2018	***-**-0069 - KRECIDLO,	CAPITAL WORLD GROWTH AND INCOME FUN	0.00	25.26	0.00	25.26	88.0	22.23
	ACCOUNT #: 00083510637	BUY 0 Units @0.0000						
12/03/2018	***-**-2855 - KRECIDLO, MARTA	CAPITAL WORLD GROWTH AND INCOME FUN	0.00	25.26	0.00	25.26	88.0	22.23
	ACCOUNT #: 00083510745	BUY 0 Units @0.0000						
12/03/2018	***-**-18IR - MEEKINS, KAIDEN	CAPITAL WORLD GROWTH AND INCOME FUN	0.00	3.75	0.00	3.75	88.0	3.30
	ACCOUNT #: 00087145992	BUY 0 Units @0.0000						
12/03/2018	***-**-20IR - DEMETRI, AMELIA	CAPITAL WORLD GROWTH AND INCOME FUN	0.00	3.92	0.00	3.92	88.0	3.45
	ACCOUNT #: 00074234451	BUY 0 Units @0.0000						



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 OVERRIDE TRANSACTIONS (continued) 								
 BROKER: KURT GRUENEWALD (continued) 								
12/03/2018	***-**-643I - PELLETIER, MARY ACCOUNT #: 00083385757	CAPITAL WORLD GROWTH AND INCOME FUN BUY 0 Units @0.0000	0.00	0.11	0.00	0.11	88.0	0.10
12/03/2018	***-**-643I - PELLETIER, MARY ACCOUNT #: 00083385810	CAPITAL WORLD GROWTH AND INCOME FUN BUY 0 Units @0.0000	0.00	3.51	0.00	3.51	88.0	3.09
12/03/2018	***-**-86IR - MEEKINS, LISA ACCOUNT #: 00083811211	CAPITAL WORLD GROWTH AND INCOME FUN BUY 0 Units @0.0000	0.00	0.94	0.00	0.94	88.0	0.83
12/03/2018	***-**-265I - MEEKINS, TIMOTHY ACCOUNT #: 00083811243	CAPITAL WORLD GROWTH AND INCOME FUN BUY 0 Units @0.0000	0.00	1.13	0.00	1.13	88.0	0.99
12/03/2018	***-**-443I - LATUS, FREDERICK ACCOUNT #: 00083932986	CAPITAL WORLD GROWTH AND INCOME FUN BUY 0 Units @0.0000	0.00	0.53	0.00	0.53	88.0	0.47
12/03/2018	***-**-20JT - KOCHER, DENISE ACCOUNT #: 00083988898	CAPITAL WORLD GROWTH AND INCOME FUN BUY 0 Units @0.0000	0.00	3.89	0.00	3.89	88.0	3.42
12/03/2018	***-**-5375 - CARTER, LISA ACCOUNT #: 00084131722	CAPITAL WORLD GROWTH AND INCOME FUN BUY 0 Units @0.0000	0.00	0.56	0.00	0.56	88.0	0.49
12/03/2018	***-**-753J - FALCHI, VALERIE ACCOUNT #: 00084317946	CAPITAL WORLD GROWTH AND INCOME FUN BUY 0 Units @0.0000	0.00	1.52	0.00	1.52	88.0	1.34
12/03/2018	***-**-094I - KATRENA L ACCOUNT #: 00084459807	CAPITAL WORLD GROWTH AND INCOME FUN BUY 0 Units @0.0000	0.00	0.60	0.00	0.60	88.0	0.53
12/03/2018	***-**-643I - PELLETIER, MARY ACCOUNT #: 00083385757	CAPITAL WORLD GROWTH AND INCOME FUN BUY 0 Units @0.0000	0.00	1.14	0.00	1.14	88.0	1.00
12/03/2018	***-**-86IR - MEEKINS, LISA ACCOUNT #: 00083811211	CAPITAL WORLD GROWTH AND INCOME FUN BUY 0 Units @0.0000	0.00	1.30	0.00	1.30	88.0	1.14
12/03/2018	***-**-680I - HARRELL, DARYL ACCOUNT #: 00083996385	CAPITAL WORLD GROWTH AND INCOME FUN BUY 0 Units @0.0000	0.00	0.12	0.00	0.12	88.0	0.11
12/03/2018	***-**-382I - SATTERLY, NEIL ACCOUNT #: 00084301242	CAPITAL WORLD GROWTH AND INCOME FUN BUY 0 Units @0.0000	0.00	28.37	0.00	28.37	88.0	24.97
12/03/2018	***-**-755P - SHEPPARD, ACCOUNT #: 00084018452	CAPITAL WORLD GROWTH AND INCOME-529 BUY 0 Units @0.0000	0.00	0.83	0.00	0.83	88.0	0.73
12/03/2018	***-**-84IN - WARMUTH, ERIC ACCOUNT #: 00075086418	CAPITAL WORLD GROWTH AND INCOME-529 BUY 0 Units @0.0000	0.00	3.22	0.00	3.22	88.0	2.83
12/03/2018	***-**-84IN - WARMUTH, ERIC ACCOUNT #: 00075086546	CAPITAL WORLD GROWTH AND INCOME-529 BUY 0 Units @0.0000	0.00	3.22	0.00	3.22	88.0	2.83



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DAVID GRIFFITH
2108 Genesee St.
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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)								
12/03/2018	***-**-5375 - CARTER, LISA ACCOUNT #: 00083849497	CAPITAL WORLD GROWTH AND INCOME-529 BUY 0 Units @0.0000	0.00	0.82	0.00	0.82	88.0	0.72
12/03/2018	***-**-5375 - CARTER, LISA ACCOUNT #: 00083849497	CAPITAL WORLD GROWTH AND INCOME-529 BUY 0 Units @0.0000	0.00	2.32	0.00	2.32	88.0	2.04
12/03/2018	***-**-72IN - GAVALO, JULIE ACCOUNT #: 00068530007	CAPITAL WORLD GROWTH AND INCOME-529 BUY 0 Units @0.0000	0.00	7.70	0.00	7.70	88.0	6.78
12/07/2018	***-**-326J - GRANDE, MR ACCOUNT #: LSR011089	ENERGY TRANSFER EQUITY L P COM UNIT SELL 267 Units @14.5120	3,874.70	32.72	0.00	32.72	88.0	28.79
12/03/2018	***-**-753J - FALCHI, VALERIE ACCOUNT #: 00084317946	EUROPACIFIC GROWTH FUND CLASS C BUY 0 Units @0.0000	0.00	4.88	0.00	4.88	88.0	4.29
12/03/2018	***-**-72IN - GAVALO, JULIE ACCOUNT #: 00068530008	EUROPACIFIC GROWTH FUND-529E BUY 0 Units @0.0000	0.00	6.38	0.00	6.38	88.0	5.61
12/03/2018	***-**-169I - EVANS, PAUL ACCOUNT #: 00083808354	EUROPACIFIC GROWTH FUND-A BUY 0 Units @0.0000	0.00	1.63	0.00	1.63	88.0	1.43
12/03/2018	***-**-506J - CURRIERE JR, MR ACCOUNT #: 00083609136	EUROPACIFIC GROWTH FUND-A BUY 0 Units @0.0000	0.00	4.94	0.00	4.94	88.0	4.35
12/03/2018	***-**-753J - FALCHI, VALERIE ACCOUNT #: 00084317946	EUROPACIFIC GROWTH FUND-A BUY 0 Units @0.0000	0.00	0.36	0.00	0.36	88.0	0.32
12/03/2018	***-**-094I - KATRENA L ACCOUNT #: 00084459807	EUROPACIFIC GROWTH FUND-A BUY 0 Units @0.0000	0.00	0.37	0.00	0.37	88.0	0.33
12/03/2018	***-**-84IN - WARMUTH, ERIC ACCOUNT #: 00075086418	FUNDAMENTAL INVESTORS-529A BUY 0 Units @0.0000	0.00	1.48	0.00	1.48	88.0	1.30
12/03/2018	***-**-84IN - WARMUTH, ERIC ACCOUNT #: 00075086546	FUNDAMENTAL INVESTORS-529A BUY 0 Units @0.0000	0.00	1.48	0.00	1.48	88.0	1.30
12/03/2018	***-**-84IN - WARMUTH, ERIC ACCOUNT #: 00075086418	FUNDAMENTAL INVESTORS-529C BUY 0 Units @0.0000	0.00	11.05	0.00	11.05	88.0	9.72
12/03/2018	***-**-84IN - WARMUTH, ERIC ACCOUNT #: 00075086546	FUNDAMENTAL INVESTORS-529C BUY 0 Units @0.0000	0.00	11.05	0.00	11.05	88.0	9.72
12/03/2018	***-**-5375 - CARTER, LISA ACCOUNT #: 00083849497	FUNDAMENTAL INVESTORS-529C BUY 0 Units @0.0000	0.00	3.93	0.00	3.93	88.0	3.46
12/03/2018	***-**-2855 - KRECIDLO, MARTA ACCOUNT #: 00083946447	FUNDAMENTAL INVESTORS-A BUY 0 Units @0.0000	0.00	1.22	0.00	1.22	88.0	1.07



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 OVERRIDE TRANSACTIONS (continued)								
 <u>BROKER: KURT GRUENEWALD (continued)</u>								
12/03/2018	***-**-755P - SHEPPARD, ACCOUNT #: 00084218264	FUNDAMENTAL INVESTORS-A BUY 0 Units @0.0000	0.00	3.80	0.00	3.80	88.0	3.34
12/03/2018	***-**-0462 - FRIOT, MICHAEL ACCOUNT #: 00084291287	FUNDAMENTAL INVESTORS-A BUY 0 Units @0.0000	0.00	6.07	0.00	6.07	88.0	5.34
12/03/2018	***-**-20IN - DEMETRI, AMELIA ACCOUNT #: 00085948151	FUNDAMENTAL INVESTORS-A BUY 0 Units @0.0000	0.00	0.37	0.00	0.37	88.0	0.33
12/03/2018	***-**-072I - GAVALO, JULIE ACCOUNT #: 00087112294	FUNDAMENTAL INVESTORS-A BUY 0 Units @0.0000	0.00	11.56	0.00	11.56	88.0	10.17
12/03/2018	***-**-8901 - GURDO, ANTHONY ACCOUNT #: 00087491111	FUNDAMENTAL INVESTORS-A BUY 0 Units @0.0000	0.00	0.60	0.00	0.60	88.0	0.53
12/03/2018	***-**-8158 - BEHA, DEBORAH ACCOUNT #: 00058770149	FUNDAMENTAL INVESTORS-A BUY 0 Units @0.0000	0.00	7.67	0.00	7.67	88.0	6.75
12/03/2018	***-**-643I - PELLETIER, MARY ACCOUNT #: 00083385757	FUNDAMENTAL INVESTORS-A BUY 0 Units @0.0000	0.00	0.02	0.00	0.02	88.0	0.02
12/03/2018	***-**-643I - PELLETIER, MARY ACCOUNT #: 00083385810	FUNDAMENTAL INVESTORS-A BUY 0 Units @0.0000	0.00	6.17	0.00	6.17	88.0	5.43
12/03/2018	***-**-86IR - MEEKINS, LISA ACCOUNT #: 00083811211	FUNDAMENTAL INVESTORS-A BUY 0 Units @0.0000	0.00	1.30	0.00	1.30	88.0	1.14
12/03/2018	***-**-265I - MEEKINS, TIMOTHY ACCOUNT #: 00083811243	FUNDAMENTAL INVESTORS-A BUY 0 Units @0.0000	0.00	1.17	0.00	1.17	88.0	1.03
12/03/2018	***-**-265J - MEEKINS, TIMOTHY ACCOUNT #: 00083811335	FUNDAMENTAL INVESTORS-A BUY 0 Units @0.0000	0.00	1.31	0.00	1.31	88.0	1.15
12/03/2018	***-**-443I - LATUS, FREDERICK ACCOUNT #: 00083932986	FUNDAMENTAL INVESTORS-A BUY 0 Units @0.0000	0.00	0.24	0.00	0.24	88.0	0.21
12/03/2018	***-**-20JT - KOCHER, DENISE ACCOUNT #: 00083988898	FUNDAMENTAL INVESTORS-A BUY 0 Units @0.0000	0.00	2.68	0.00	2.68	88.0	2.36
12/03/2018	***-**-5375 - CARTER, LISA ACCOUNT #: 00084131722	FUNDAMENTAL INVESTORS-A BUY 0 Units @0.0000	0.00	0.25	0.00	0.25	88.0	0.22
12/03/2018	***-**-382I - SATTERLY, NEIL ACCOUNT #: 00084301242	FUNDAMENTAL INVESTORS-A BUY 0 Units @0.0000	0.00	0.57	0.00	0.57	88.0	0.50
12/03/2018	***-**-753J - FALCHI, VALERIE ACCOUNT #: 00084317946	FUNDAMENTAL INVESTORS-A BUY 0 Units @0.0000	0.00	1.73	0.00	1.73	88.0	1.52



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 OVERRIDE TRANSACTIONS (continued)								
 <u>BROKER: KURT GRUENEWALD (continued)</u>								
12/03/2018	***-**-094I - KATRENA L ACCOUNT #: 00084459807	FUNDAMENTAL INVESTORS-A BUY 0 Units @0.0000	0.00	0.90	0.00	0.90	88.0	0.79
12/03/2018	***-**-5414 - KARAM, SEGEAN ACCOUNT #: 00084545682	FUNDAMENTAL INVESTORS-A BUY 0 Units @0.0000	0.00	0.74	0.00	0.74	88.0	0.65
12/03/2018	***-**-6981 - KARAM, MARY ANN ACCOUNT #: 00084545771	FUNDAMENTAL INVESTORS-A BUY 0 Units @0.0000	0.00	0.76	0.00	0.76	88.0	0.67
12/03/2018	***-**-169I - EVANS, PAUL ACCOUNT #: 00083808354	FUNDAMENTAL INVESTORS-C BUY 0 Units @0.0000	0.00	6.38	0.00	6.38	88.0	5.61
12/03/2018	***-**-18IR - MEEKINS, KAIDEN ACCOUNT #: 00087145992	FUNDAMENTAL INVESTORS-C BUY 0 Units @0.0000	0.00	2.88	0.00	2.88	88.0	2.53
12/03/2018	***-**-8901 - GURDO, ANTHONY ACCOUNT #: 00087491111	FUNDAMENTAL INVESTORS-C BUY 0 Units @0.0000	0.00	26.49	0.00	26.49	88.0	23.31
12/03/2018	***-**-643I - PELLETIER, MARY ACCOUNT #: 00083385757	FUNDAMENTAL INVESTORS-C BUY 0 Units @0.0000	0.00	1.59	0.00	1.59	88.0	1.40
12/03/2018	***-**-265J - MEEKINS, TIMOTHY ACCOUNT #: 00083811335	FUNDAMENTAL INVESTORS-C BUY 0 Units @0.0000	0.00	14.54	0.00	14.54	88.0	12.80
12/03/2018	***-**-680I - HARRELL, DARYL ACCOUNT #: 00083996385	FUNDAMENTAL INVESTORS-C BUY 0 Units @0.0000	0.00	0.12	0.00	0.12	88.0	0.11
12/03/2018	***-**-753J - FALCHI, VALERIE ACCOUNT #: 00084317946	FUNDAMENTAL INVESTORS-C BUY 0 Units @0.0000	0.00	6.57	0.00	6.57	88.0	5.78
12/03/2018	***-**-84IN - WARMUTH, ERIC ACCOUNT #: 00075086418	GLOBAL BALANCED FUND-529A BUY 0 Units @0.0000	0.00	3.30	0.00	3.30	88.0	2.90
12/03/2018	***-**-84IN - WARMUTH, ERIC ACCOUNT #: 00075086546	GLOBAL BALANCED FUND-529A BUY 0 Units @0.0000	0.00	3.30	0.00	3.30	88.0	2.90
12/03/2018	***-**-0462 - FRIOT, MICHAEL ACCOUNT #: 00084291287	INTERMEDIATE BOND FUND OF AMERICA-A BUY 0 Units @0.0000	0.00	0.81	0.00	0.81	88.0	0.71
12/03/2018	***-**-8158 - BEHA, DEBORAH ACCOUNT #: 00058770149	INTERMEDIATE BOND FUND OF AMERICA-A BUY 0 Units @0.0000	0.00	1.55	0.00	1.55	88.0	1.36
12/03/2018	***-**-5414 - KARAM, SEGEAN ACCOUNT #: 00084545682	INTERMEDIATE BOND FUND OF AMERICA-A BUY 0 Units @0.0000	0.00	0.28	0.00	0.28	88.0	0.25
12/03/2018	***-**-6981 - KARAM, MARY ANN ACCOUNT #: 00084545771	INTERMEDIATE BOND FUND OF AMERICA-A BUY 0 Units @0.0000	0.00	0.34	0.00	0.34	88.0	0.30



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 OVERRIDE TRANSACTIONS (continued)								
 BROKER: KURT GRUENEWALD (continued)								
12/03/2018	***-**-0462 - FRIOT, MICHAEL ACCOUNT #: 00084291287	INTERNATIONAL GROWTH AND INCOME-A BUY 0 Units @0.0000	0.00	2.93	0.00	2.93	88.0	2.58
12/03/2018	***-**-072I - GAVALO, JULIE ACCOUNT #: 00087112294	INTERNATIONAL GROWTH AND INCOME-A BUY 0 Units @0.0000	0.00	11.12	0.00	11.12	88.0	9.79
12/03/2018	***-**-8901 - GURDO, ANTHONY ACCOUNT #: 00087491111	INTERNATIONAL GROWTH AND INCOME-A BUY 0 Units @0.0000	0.00	0.31	0.00	0.31	88.0	0.27
12/03/2018	***-**-8158 - BEHA, DEBORAH ACCOUNT #: 00058770149	INTERNATIONAL GROWTH AND INCOME-A BUY 0 Units @0.0000	0.00	4.64	0.00	4.64	88.0	4.08
12/03/2018	***-**-901I - SATTERLY, ANN ACCOUNT #: 00084301189	INTERNATIONAL GROWTH AND INCOME-A BUY 0 Units @0.0000	0.00	0.39	0.00	0.39	88.0	0.34
12/03/2018	***-**-382I - SATTERLY, NEIL ACCOUNT #: 00084301242	INTERNATIONAL GROWTH AND INCOME-A BUY 0 Units @0.0000	0.00	0.31	0.00	0.31	88.0	0.27
12/03/2018	***-**-753J - FALCHI, VALERIE ACCOUNT #: 00084317946	INTERNATIONAL GROWTH AND INCOME-A BUY 0 Units @0.0000	0.00	0.65	0.00	0.65	88.0	0.57
12/03/2018	***-**-094I - KATRENA L ACCOUNT #: 00084459807	INTERNATIONAL GROWTH AND INCOME-A BUY 0 Units @0.0000	0.00	0.23	0.00	0.23	88.0	0.20
12/03/2018	***-**-5414 - KARAM, SEGEAN ACCOUNT #: 00084545682	INTERNATIONAL GROWTH AND INCOME-A BUY 0 Units @0.0000	0.00	0.29	0.00	0.29	88.0	0.26
12/03/2018	***-**-6981 - KARAM, MARY ANN ACCOUNT #: 00084545771	INTERNATIONAL GROWTH AND INCOME-A BUY 0 Units @0.0000	0.00	0.30	0.00	0.30	88.0	0.26
12/03/2018	***-**-506J - CURRIERE JR, MR ACCOUNT #: 00088062946	INTERNATIONAL GROWTH AND INCOME-A BUY 0 Units @0.0000	0.00	1.38	0.00	1.38	88.0	1.21
12/03/2018	***-**-265J - MEEKINS, TIMOTHY ACCOUNT #: 00083811335	INTERNATIONAL GROWTH AND INCOME-C BUY 0 Units @0.0000	0.00	6.65	0.00	6.65	88.0	5.85
12/03/2018	***-**-753J - FALCHI, VALERIE ACCOUNT #: 00084317946	INTERNATIONAL GROWTH AND INCOME-C BUY 0 Units @0.0000	0.00	3.88	0.00	3.88	88.0	3.41
12/03/2018	***-**-0462 - FRIOT, MICHAEL ACCOUNT #: 00084291287	LIMITED TERM TAX- EXEMPT BOND FUND BUY 0 Units @0.0000	0.00	0.94	0.00	0.94	88.0	0.83
12/03/2018	***-**-72TD - GAVALO, JULIE ACCOUNT #: 00087169935	LIMITED TERM TAX- EXEMPT BOND FUND BUY 0 Units @0.0000	0.00	11.68	0.00	11.68	88.0	10.28
11/23/2018	***-**-06IN - SATTERLY, ACCOUNT #: 08191336006	MFS 08191336006 BUY 3 Units @29.2200	100.00	1.00	0.00	1.00	88.0	0.88



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 OVERRIDE TRANSACTIONS (continued)								
 BROKER: KURT GRUENEWALD (continued)								
11/28/2018	***-**-13IN - RHYMESTINE, ACCOUNT #: 08191178476	MFS EMERGING MARKETS EQUITY FUND-B BUY 2 Units @28.5600	50.00	2.00	0.00	2.00	88.0	1.76
11/28/2018	***-**-13IN - RHYMESTINE, ACCOUNT #: 08191178476	MFS EMERGING MKT DEBT CL B BUY 4 Units @13.5800	50.00	2.00	0.00	2.00	88.0	1.76
11/26/2018	***-**-094I - KATRENA L ACCOUNT #: 08191140345	MFS GLOBAL TOTAL RETURN FUND-B BUY 3 Units @17.4100	50.00	2.00	0.00	2.00	88.0	1.76
11/28/2018	***-**-13IN - RHYMESTINE, ACCOUNT #: 08191178476	MFS INTERNATIONAL VALUE FUND-B BUY 3 Units @39.0400	100.00	4.00	0.00	4.00	88.0	3.52
11/28/2018	***-**-13IN - RHYMESTINE, ACCOUNT #: 08191178476	MFS TOTAL RETURN FUND-B BUY 3 Units @18.6300	50.00	2.00	0.00	2.00	88.0	1.76
12/03/2018	***-**-5375 - CARTER, LISA ACCOUNT #: 00083849497	NEW PERSPECTIVE FUND-529C BUY 0 Units @0.0000	0.00	0.89	0.00	0.89	88.0	0.78
12/03/2018	***-**-169I - EVANS, PAUL ACCOUNT #: 00083808354	NEW PERSPECTIVE FUND-A BUY 0 Units @0.0000	0.00	2.33	0.00	2.33	88.0	2.05
12/03/2018	***-**-072I - GAVALO, JULIE ACCOUNT #: 00087112294	NEW PERSPECTIVE FUND-A BUY 0 Units @0.0000	0.00	15.93	0.00	15.93	88.0	14.02
12/03/2018	***-**-72RI - GAVALO, JULIE ACCOUNT #: 00087231055	NEW PERSPECTIVE FUND-A BUY 0 Units @0.0000	0.00	12.36	0.00	12.36	88.0	10.88
12/03/2018	***-**-643I - PELLETIER, MARY ACCOUNT #: 00083385810	NEW PERSPECTIVE FUND-A BUY 0 Units @0.0000	0.00	3.33	0.00	3.33	88.0	2.93
12/03/2018	***-**-86IR - MEEKINS, LISA ACCOUNT #: 00083811211	NEW PERSPECTIVE FUND-A BUY 0 Units @0.0000	0.00	0.47	0.00	0.47	88.0	0.41
12/03/2018	***-**-20JT - KOHEM, DENISE ACCOUNT #: 00083988898	NEW PERSPECTIVE FUND-A BUY 0 Units @0.0000	0.00	1.63	0.00	1.63	88.0	1.43
12/03/2018	***-**-506J - CURRIERE JR, MR ACCOUNT #: 00088062946	NEW PERSPECTIVE FUND-A BUY 0 Units @0.0000	0.00	1.59	0.00	1.59	88.0	1.40
12/03/2018	***-**-0462 - FRIOT, MICHAEL ACCOUNT #: 00084291287	NEW PERSPECTIVE FUND-C BUY 0 Units @0.0000	0.00	4.35	0.00	4.35	88.0	3.83
12/03/2018	***-**-5375 - CARTER, LISA ACCOUNT #: 00083849497	NEW WORLD FUND-529C BUY 0 Units @0.0000	0.00	1.11	0.00	1.11	88.0	0.98
12/03/2018	***-**-2855 - KRECIDLO, MARTA ACCOUNT #: 00083946447	NEW WORLD FUND-A BUY 0 Units @0.0000	0.00	0.41	0.00	0.41	88.0	0.36



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<u> OVERRIDE TRANSACTIONS (continued) </u>								
<u> BROKER: KURT GRUENEWALD (continued) </u>								
12/03/2018	***-**-755P - SHEPPARD, ACCOUNT #: 00084218264	NEW WORLD FUND-A BUY 0 Units @0.0000	0.00	1.76	0.00	1.76	88.0	1.55
12/03/2018	***-**-20IR - DEMETRI, AMELIA ACCOUNT #: 00074234451	NEW WORLD FUND-A BUY 0 Units @0.0000	0.00	4.06	0.00	4.06	88.0	3.57
12/03/2018	***-**-643I - PELLETIER, MARY ACCOUNT #: 00083385810	NEW WORLD FUND-A BUY 0 Units @0.0000	0.00	2.07	0.00	2.07	88.0	1.82
12/03/2018	***-**-86IR - MEEKINS, LISA ACCOUNT #: 00083811211	NEW WORLD FUND-A BUY 0 Units @0.0000	0.00	0.55	0.00	0.55	88.0	0.48
12/03/2018	***-**-265I - MEEKINS, TIMOTHY ACCOUNT #: 00083811243	NEW WORLD FUND-A BUY 0 Units @0.0000	0.00	0.66	0.00	0.66	88.0	0.58
12/03/2018	***-**-443I - LATUS, FREDERICK ACCOUNT #: 00083932986	NEW WORLD FUND-A BUY 0 Units @0.0000	0.00	0.59	0.00	0.59	88.0	0.52
12/03/2018	***-**-20JT - KOCHER, DENISE ACCOUNT #: 00083988898	NEW WORLD FUND-A BUY 0 Units @0.0000	0.00	1.00	0.00	1.00	88.0	0.88
12/03/2018	***-**-5375 - CARTER, LISA ACCOUNT #: 00084131722	NEW WORLD FUND-A BUY 0 Units @0.0000	0.00	0.23	0.00	0.23	88.0	0.20
12/03/2018	***-**-753J - FALCHI, VALERIE ACCOUNT #: 00084317946	NEW WORLD FUND-A BUY 0 Units @0.0000	0.00	0.72	0.00	0.72	88.0	0.63
12/03/2018	***-**-5414 - KARAM, SEGEAN ACCOUNT #: 00084545682	NEW WORLD FUND-A BUY 0 Units @0.0000	0.00	0.25	0.00	0.25	88.0	0.22
12/03/2018	***-**-6981 - KARAM, MARY ANN ACCOUNT #: 00084545771	NEW WORLD FUND-A BUY 0 Units @0.0000	0.00	0.26	0.00	0.26	88.0	0.23
12/03/2018	***-**-0462 - FRIOT, MICHAEL ACCOUNT #: 00084291287	NEW WORLD FUND-C BUY 0 Units @0.0000	0.00	2.80	0.00	2.80	88.0	2.46
12/03/2018	***-**-680I - HARRELL, DARYL ACCOUNT #: 00083996385	NEW WORLD FUND-C BUY 0 Units @0.0000	0.00	0.11	0.00	0.11	88.0	0.10
12/03/2018	***-**-753J - FALCHI, VALERIE ACCOUNT #: 00084317946	NEW WORLD FUND-C BUY 0 Units @0.0000	0.00	3.50	0.00	3.50	88.0	3.08
12/17/2018	***-**-80IN - COBB, JAMES ACCOUNT #: 77169961902	NEW YORK 529 TRAILS BUY 0 Units @0.0000	0.00	13.83	0.00	13.83	88.0	12.17
12/17/2018	***-**-665P - MCCLUSKY, YVONNE ACCOUNT #: 77237884701	NEW YORK 529 TRAILS BUY 0 Units @0.0000	0.00	0.79	0.00	0.79	88.0	0.70



COMMISSION STATEMENT

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DAVID GRIFFITH
2108 Genesee St.
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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)								
 <u>BROKER: KURT GRUENEWALD (continued)</u>								
12/17/2018	***-**-0069 - KRECIDLO, ACCOUNT #: 77308070501	NEW YORK 529 TRAILS BUY 0 Units @0.0000	0.00	1.91	0.00	1.91	88.0	1.68
12/17/2018	***-**-0767 - DOVI, ACCOUNT #: 77579193101	NEW YORK 529 TRAILS BUY 0 Units @0.0000	0.00	0.93	0.00	0.93	88.0	0.82
12/17/2018	***-**-473J - HUSTON, ACCOUNT #: 77852732401	NEW YORK 529 TRAILS BUY 0 Units @0.0000	0.00	15.53	0.00	15.53	88.0	13.67
12/17/2018	***-**-205P - RHYMESTINE, ERIC ACCOUNT #: 77885699801	NEW YORK 529 TRAILS BUY 0 Units @0.0000	0.00	0.50	0.00	0.50	88.0	0.44
12/17/2018	***-**-944O - MAYO, DEBORAH ACCOUNT #: 77002217601	NEW YORK 529 TRAILS BUY 0 Units @0.0000	0.00	5.96	0.00	5.96	88.0	5.24
12/17/2018	***-**-614J - BUSHEY, MATTHEW BUY 0 Units @0.0000	NEW YORK 529 TRAILS BUY 0 Units @0.0000	0.00	3.09	0.00	3.09	88.0	2.72
12/17/2018	***-**-5384 - GURDO, JESSICA BUY 0 Units @0.0000	NEW YORK 529 TRAILS BUY 0 Units @0.0000	0.00	0.62	0.00	0.62	88.0	0.55
12/17/2018	***-**-251I - SCALISE, MARY ACCOUNT #: 77691153101	NEW YORK 529 TRAILS BUY 0 Units @0.0000	0.00	27.99	0.00	27.99	88.0	24.63
12/17/2018	***-**-635P - LASCALA, DEBORAH ACCOUNT #: 77699193301	NEW YORK 529 TRAILS BUY 0 Units @0.0000	0.00	1.95	0.00	1.95	88.0	1.72
12/17/2018	***-**-065P - CAMPBELL, PAMELA ACCOUNT #: 77830931201	NEW YORK 529 TRAILS BUY 0 Units @0.0000	0.00	0.73	0.00	0.73	88.0	0.64
12/17/2018	***-**-20IR - DEMETRI, AMELIA ACCOUNT #: 77854436501	NEW YORK 529 TRAILS BUY 0 Units @0.0000	0.00	0.98	0.00	0.98	88.0	0.86
12/17/2018	***-**-80IN - COBB, JAMES ACCOUNT #: 77169961901	NEW YORK 529 TRAILS BUY 0 Units @0.0000	0.00	13.88	0.00	13.88	88.0	12.21
12/10/2018	***-**-326J - GRANDE, MR ACCOUNT #: LSR011089	NOBLE CORP PLC COM USD0.01 SELL 155 Units @3.5160	544.98	5.83	0.00	5.83	88.0	5.13
12/03/2018	***-**-0462 - FRIOT, MICHAEL ACCOUNT #: 00084291287	SHORT-TERM BOND FUND OF AMERICA - A BUY 0 Units @0.0000	0.00	1.03	0.00	1.03	88.0	0.91
12/03/2018	***-**-8158 - BEHA, DEBORAH ACCOUNT #: 00058770149	SHORT-TERM BOND FUND OF AMERICA - A BUY 0 Units @0.0000	0.00	1.49	0.00	1.49	88.0	1.31
12/03/2018	***-**-753J - FALCHI, VALERIE ACCOUNT #: 00084317946	SHORT-TERM BOND FUND OF AMERICA - A BUY 0 Units @0.0000	0.00	0.69	0.00	0.69	88.0	0.61



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<u> OVERRIDE TRANSACTIONS (continued) </u>								
<u> BROKER: KURT GRUENEWALD (continued) </u>								
12/03/2018	***-**-5414 - KARAM, SEGEAN	SHORT-TERM BOND FUND OF AMERICA - A	0.00	0.30	0.00	0.30	88.0	0.26
	ACCOUNT #: 00084545682	BUY 0 Units @0.0000						
12/03/2018	***-**-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						
12/03/2018	***-**-2855 - KRECIDLO, MARTA	SMALLCAP WORLD FUND-A	0.00	0.45	0.00	0.45	88.0	0.40
	ACCOUNT #: 00083946447	BUY 0 Units @0.0000						
12/03/2018	***-**-755P - SHEPPARD,	SMALLCAP WORLD FUND-A	0.00	2.86	0.00	2.86	88.0	2.52
	ACCOUNT #: 00084218264	BUY 0 Units @0.0000						
12/03/2018	***-**-8158 - BEHA, DEBORAH	SMALLCAP WORLD FUND-A	0.00	1.72	0.00	1.72	88.0	1.51
	ACCOUNT #: 00058770149	BUY 0 Units @0.0000						
12/03/2018	***-**-265I - MEEKINS, TIMOTHY	SMALLCAP WORLD FUND-A	0.00	1.40	0.00	1.40	88.0	1.23
	ACCOUNT #: 00083811243	BUY 0 Units @0.0000						
12/03/2018	***-**-443I - LATUS, FREDERICK	SMALLCAP WORLD FUND-A	0.00	0.28	0.00	0.28	88.0	0.25
	ACCOUNT #: 00083932986	BUY 0 Units @0.0000						
12/03/2018	***-**-5375 - CARTER, LISA	SMALLCAP WORLD FUND-A	0.00	0.35	0.00	0.35	88.0	0.31
	ACCOUNT #: 00084131722	BUY 0 Units @0.0000						
12/03/2018	***-**-753J - FALCHI, VALERIE	SMALLCAP WORLD FUND-A	0.00	0.44	0.00	0.44	88.0	0.39
	ACCOUNT #: 00084317946	BUY 0 Units @0.0000						
12/03/2018	***-**-5414 - KARAM, SEGEAN	SMALLCAP WORLD FUND-A	0.00	0.42	0.00	0.42	88.0	0.37
	ACCOUNT #: 00084545682	BUY 0 Units @0.0000						
12/03/2018	***-**-6981 - KARAM, MARY ANN	SMALLCAP WORLD FUND-A	0.00	0.43	0.00	0.43	88.0	0.38
	ACCOUNT #: 00084545771	BUY 0 Units @0.0000						
12/03/2018	***-**-169I - EVANS, PAUL	SMALLCAP WORLD FUND-C	0.00	2.61	0.00	2.61	88.0	2.30
	ACCOUNT #: 00083808354	BUY 0 Units @0.0000						
12/07/2018	***-**-30TR - AND SANDRA	STEIN MART INC COM	2,460.00	31.99	0.00	31.99	88.0	28.15
	ACCOUNT #: LSR011939	BUY 2000 Units @1.2300						
12/03/2018	***-**-72TD - GAVALO, JULIE	TAX-EXEMPT BOND FUND OF AMERICA	0.00	14.75	0.00	14.75	88.0	12.98
	ACCOUNT #: 00087169935	BUY 0 Units @0.0000						
12/03/2018	***-**-072I - GAVALO, JULIE	THE BOND FUND OF AMERICA-A	0.00	16.46	0.00	16.46	88.0	14.48
	ACCOUNT #: 00087112294	BUY 0 Units @0.0000						
12/03/2018	***-**-81IR - CAMPBELL,	THE BOND FUND OF AMERICA-A	0.00	1.49	0.00	1.49	88.0	1.31
	ACCOUNT #: 00073375822	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>								
12/03/2018	***-**-755P - SHEPPARD, ACCOUNT #: 00084018452	THE GROWTH FUND OF AMERICA-529A BUY 0 Units @0.0000	0.00	0.81	0.00	0.81	88.0	0.71
12/03/2018	***-**-755P - SHEPPARD, ACCOUNT #: 00084018452	THE GROWTH FUND OF AMERICA-529C BUY 0 Units @0.0000	0.00	23.84	0.00	23.84	88.0	20.98
12/03/2018	***-**-72IN - GAVALO, JULIE ACCOUNT #: 00068530007	THE GROWTH FUND OF AMERICA-529E BUY 0 Units @0.0000	0.00	10.01	0.00	10.01	88.0	8.81
12/03/2018	***-**-169I - EVANS, PAUL ACCOUNT #: 00083808354	THE GROWTH FUND OF AMERICA-A BUY 0 Units @0.0000	0.00	1.70	0.00	1.70	88.0	1.50
12/03/2018	***-**-480J - EVANS, RICHARD ACCOUNT #: 00073288662	THE GROWTH FUND OF AMERICA-A BUY 0 Units @0.0000	0.00	3.56	0.00	3.56	88.0	3.13
12/03/2018	***-**-81IR - CAMPBELL, ACCOUNT #: 00073375822	THE GROWTH FUND OF AMERICA-A BUY 0 Units @0.0000	0.00	2.94	0.00	2.94	88.0	2.59
12/03/2018	***-**-506J - CURRIERE JR, MR ACCOUNT #: 00083609136	THE GROWTH FUND OF AMERICA-A BUY 0 Units @0.0000	0.00	8.55	0.00	8.55	88.0	7.52
12/03/2018	***-**-5375 - CARTER, LISA ACCOUNT #: 00084131722	THE GROWTH FUND OF AMERICA-A BUY 0 Units @0.0000	0.00	0.39	0.00	0.39	88.0	0.34
12/03/2018	***-**-753J - FALCHI, VALERIE ACCOUNT #: 00084317946	THE GROWTH FUND OF AMERICA-A BUY 0 Units @0.0000	0.00	1.04	0.00	1.04	88.0	0.92
12/03/2018	***-**-0462 - FRIOT, MICHAEL ACCOUNT #: 00084291287	THE GROWTH FUND OF AMERICA-C BUY 0 Units @0.0000	0.00	5.50	0.00	5.50	88.0	4.84
12/03/2018	***-**-680I - HARRELL, DARYL ACCOUNT #: 00083996385	THE GROWTH FUND OF AMERICA-C BUY 0 Units @0.0000	0.00	0.12	0.00	0.12	88.0	0.11
12/03/2018	***-**-2855 - KRECIDLO, MARTA ACCOUNT #: 00083946447	THE INCOME FUND OF AMERICA-A BUY 0 Units @0.0000	0.00	0.51	0.00	0.51	88.0	0.45
12/03/2018	***-**-755P - SHEPPARD, ACCOUNT #: 00084218264	THE INCOME FUND OF AMERICA-A BUY 0 Units @0.0000	0.00	1.90	0.00	1.90	88.0	1.67
12/03/2018	***-**-0462 - FRIOT, MICHAEL ACCOUNT #: 00084291287	THE INCOME FUND OF AMERICA-A BUY 0 Units @0.0000	0.00	3.91	0.00	3.91	88.0	3.44
12/03/2018	***-**-81IR - CAMPBELL, ACCOUNT #: 00073375822	THE INCOME FUND OF AMERICA-A BUY 0 Units @0.0000	0.00	5.26	0.00	5.26	88.0	4.63
12/03/2018	***-**-643I - PELLETIER, MARY ACCOUNT #: 00083385810	THE INCOME FUND OF AMERICA-A BUY 0 Units @0.0000	0.00	4.47	0.00	4.47	88.0	3.93



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<u> OVERRIDE TRANSACTIONS (continued) </u>								
<u> BROKER: KURT GRUENEWALD (continued) </u>								
12/03/2018	***-**-265I - MEEKINS, TIMOTHY	THE INCOME FUND OF AMERICA-A	0.00	0.89	0.00	0.89	88.0	0.78
	ACCOUNT #: 00083811243	BUY 0 Units @0.0000						
12/03/2018	***-**-265J - MEEKINS, TIMOTHY	THE INCOME FUND OF AMERICA-A	0.00	0.99	0.00	0.99	88.0	0.87
	ACCOUNT #: 00083811335	BUY 0 Units @0.0000						
12/03/2018	***-**-443I - LATUS, FREDERICK	THE INCOME FUND OF AMERICA-A	0.00	0.48	0.00	0.48	88.0	0.42
	ACCOUNT #: 00083932986	BUY 0 Units @0.0000						
12/03/2018	***-**-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						
12/03/2018	***-**-382I - SATTERLY, NEIL	THE INCOME FUND OF AMERICA-A	0.00	0.72	0.00	0.72	88.0	0.63
	ACCOUNT #: 00084301242	BUY 0 Units @0.0000						
12/03/2018	***-**-753J - FALCHI, VALERIE	THE INCOME FUND OF AMERICA-A	0.00	1.83	0.00	1.83	88.0	1.61
	ACCOUNT #: 00084317946	BUY 0 Units @0.0000						
12/03/2018	***-**-78IR - FALES, JOAN	THE INCOME FUND OF AMERICA-A	0.00	4.56	0.00	4.56	88.0	4.01
	ACCOUNT #: 00088082227	BUY 0 Units @0.0000						
12/03/2018	***-**-443I - LATUS, FREDERICK	THE INVESTMENT COMPANY OF AMERICA-A	0.00	0.71	0.00	0.71	88.0	0.62
	ACCOUNT #: 00083932986	BUY 0 Units @0.0000						
12/03/2018	***-**-643I - PELLETIER, MARY	THE NEW ECONOMY FUND-A	0.00	0.18	0.00	0.18	88.0	0.16
	ACCOUNT #: 00083385757	BUY 0 Units @0.0000						
12/03/2018	***-**-86IR - MEEKINS, LISA	THE NEW ECONOMY FUND-A	0.00	1.19	0.00	1.19	88.0	1.05
	ACCOUNT #: 00083811211	BUY 0 Units @0.0000						
12/03/2018	***-**-20JT - KOCHER, DENISE	THE NEW ECONOMY FUND-A	0.00	1.08	0.00	1.08	88.0	0.95
	ACCOUNT #: 00083988898	BUY 0 Units @0.0000						
12/03/2018	***-**-169I - EVANS, PAUL	THE NEW ECONOMY FUND-C	0.00	5.71	0.00	5.71	88.0	5.02
	ACCOUNT #: 00083808354	BUY 0 Units @0.0000						
12/03/2018	***-**-643I - PELLETIER, MARY	THE NEW ECONOMY FUND-C	0.00	1.71	0.00	1.71	88.0	1.50
	ACCOUNT #: 00083385757	BUY 0 Units @0.0000						
12/03/2018	***-**-0462 - FRIOT, MICHAEL	U.S. GOVERNMENT SECURITIES FUND CLA	0.00	0.26	0.00	0.26	88.0	0.23
	ACCOUNT #: 00084291287	BUY 0 Units @0.0000						
12/03/2018	***-**-901I - SATTERLY, ANN	U.S. GOVERNMENT SECURITIES FUND CLA	0.00	0.24	0.00	0.24	88.0	0.21
	ACCOUNT #: 00084301189	BUY 0 Units @0.0000						
12/03/2018	***-**-382I - SATTERLY, NEIL	U.S. GOVERNMENT SECURITIES FUND CLA	0.00	0.39	0.00	0.39	88.0	0.34
	ACCOUNT #: 00084301242	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>								
12/03/2018	***-**-72IN - GAVALO, JULIE	WASHINGTON MUTUAL INVESTORS FUND-52	0.00	9.02	0.00	9.02	88.0	7.94
	ACCOUNT #: 00068530008	BUY 0 Units @0.0000						
12/03/2018	***-**-169I - EVANS, PAUL	WASHINGTON MUTUAL INVESTORS FUND-A	0.00	1.42	0.00	1.42	88.0	1.25
	ACCOUNT #: 00083808354	BUY 0 Units @0.0000						
12/03/2018	***-**-443I - LATUS, FREDERICK	WASHINGTON MUTUAL INVESTORS FUND-A	0.00	0.62	0.00	0.62	88.0	0.55
	ACCOUNT #: 00083932986	BUY 0 Units @0.0000						
12/03/2018	***-**-753J - FALCHI, VALERIE	WASHINGTON MUTUAL INVESTORS FUND-A	0.00	0.73	0.00	0.73	88.0	0.64
	ACCOUNT #: 00084317946	BUY 0 Units @0.0000						
* KURT GRUENEWALD SUBTOTAL *			\$7,279.68	\$913.46	\$0.00	\$913.46		\$803.73
*** OVERRIDE TRANSACTIONS TOTAL ***			\$7,279.68	\$913.46	\$0.00	\$913.46		\$803.73

BROKER COMMISSION TOTALS

Broker Transactions	\$935.48
Split Transactions	\$0.00
Override Transactions	\$803.73
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	\$1,739.21
Year-to-date Earnings	\$254,475.21