



COMMISSION STATEMENT

December 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: MUTUAL FUNDS</u>								
11/27/2018	***-**-58IO - CADY, GAIL	INCOME FUND OF AMERICA CLASS C	10,000.01	118.00	18.00	100.00	88.0	88.00
	ACCOUNT #: LSR012742	BUY 452 Units @22.1200						
11/20/2018	***-**-686I - STRUMPFLE, MARK	MFS GLOBAL TOTAL RETURN FUND-B	75.00	3.00	0.00	3.00	88.0	2.64
	ACCOUNT #: 00060352385	BUY 4 Units @17.2900						
11/19/2018	***-**-522I - RIEBEN, HENRY	PUTNAM CAPITAL SPECTRUM FUND CL C	15.63	0.16	0.00	0.16	88.0	0.14
	ACCOUNT #: 00551360517	BUY 1 Units @27.3300						
11/19/2018	***-**-522I - RIEBEN, HENRY	PUTNAM EQUITY SPECTRUM FD CL C	15.64	0.16	0.00	0.16	88.0	0.14
	ACCOUNT #: 00551360517	BUY 0 Units @32.5200						
11/19/2018	***-**-522I - RIEBEN, HENRY	PUTNAM GLOBAL UTILITIES CL C	15.63	0.16	0.00	0.16	88.0	0.14
	ACCOUNT #: 00551360517	BUY 1 Units @13.5300						
11/26/2018	***-**-469I - HAUCK, JUDITH	THE INCOME FUND OF AMERICA-A	98.08	1.96	0.00	1.96	88.0	1.72
	ACCOUNT #: 00087147439	BUY 4 Units @22.9700						
11/26/2018	***-**-469I - HAUCK, JUDITH	THE INCOME FUND OF AMERICA-A	350.00	7.00	0.00	7.00	88.0	6.16
	ACCOUNT #: 00087147439	BUY 15 Units @22.9700						
* MUTUAL FUNDS SUBTOTAL *			\$10,569.99	\$130.44	\$18.00	\$112.44		\$98.94
<u>PRODUCT CATEGORY: STOCKS</u>								
11/27/2018	***-**-354X - DANIELS, JOHN	CREE INC UNSOLICITED ORDER	1,498.04	49.99	18.00	31.99	88.0	28.15
	ACCOUNT #: LSR012340	SELL 34 Units @44.0600						
11/27/2018	***-**-54IN - DANIELS, JOHN	CREE INC UNSOLICITED ORDER	4,412.00	77.49	18.00	59.49	88.0	52.35
	ACCOUNT #: LSR012380	SELL 100 Units @44.1200						
11/27/2018	***-**-60IN - SCHRADER, KEVIN	DENBURY RES INC DEL COM USD0.001	4,533.19	77.49	54.94	22.55	88.0	19.84
	ACCOUNT #: LSR010897	BUY 1997 Units @2.2700						
11/27/2018	***-**-69IN - HAUCK, JUDITH	NORDIC AMERICAN TANKERS LIMITE COM	4,002.48	67.49	41.16	26.33	88.0	23.17
	ACCOUNT #: LSR010980	BUY 1308 Units @3.0600						
11/27/2018	***-**-05IN - HULL, JEFFERY	PFIZER INC UNSOLICITED ORDER	4,362.00	77.49	17.00	60.49	88.0	53.23
	ACCOUNT #: LSR011187	SELL 100 Units @43.6200						
11/27/2018	***-**-94IN - MINER, MARY	PUBLIC SVC ENTERPRISE GROUP INC COM	5,448.00	87.49	17.00	70.49	88.0	62.03
	ACCOUNT #: LSR012743	SELL 100 Units @54.4800						
11/27/2018	***-**-80IN - GRIFFITH, DAVID	STEIN MART INC COM	3,300.00	9.99	8.99	1.00	88.0	0.88
	ACCOUNT #: LSF000286	BUY 2000 Units @1.6500						
11/27/2018	***-**-656I - SMOLA, STANLEY	STEIN MART INC COM	4,980.00	67.49	18.00	49.49	88.0	43.55
	ACCOUNT #: LSR010868	BUY 3000 Units @1.6600						



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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)								
11/27/2018	***-**-804I - RIEBEN, ANNE	STEIN MART INC COM	3,520.00	57.49	18.00	39.49	88.0	34.75
	ACCOUNT #: LSR010877	BUY 2000 Units @1.7600						
11/27/2018	***-**-361J - ALOISIO,	STEIN MART INC COM	5,964.64	77.49	18.00	59.49	88.0	52.35
	ACCOUNT #: LSR010886	BUY 3389 Units @1.7600						
11/27/2018	***-**-60IN - SCHRADER, KEVIN	STEIN MART INC COM	3,560.00	57.49	18.00	39.49	88.0	34.75
	ACCOUNT #: LSR010897	BUY 2000 Units @1.7800						
11/27/2018	***-**-753I - SABANOSH, ALAN	STEIN MART INC COM	3,312.00	49.99	18.00	31.99	88.0	28.15
	ACCOUNT #: LSR010909	BUY 2000 Units @1.6560						
11/27/2018	***-**-53TR - SABANOSH, ALAN R	STEIN MART INC COM	3,520.00	57.49	18.00	39.49	88.0	34.75
	ACCOUNT #: LSR010917	BUY 2000 Units @1.7600						
11/27/2018	***-**-22IR - RIEBEN, HENRY	STEIN MART INC COM	2,484.00	49.99	18.00	31.99	88.0	28.15
	ACCOUNT #: LSR010939	BUY 1500 Units @1.6560						
11/27/2018	***-**-467J - PICKARD, BRIAN	STEIN MART INC COM	8,573.03	57.49	18.00	39.49	88.0	34.75
	ACCOUNT #: LSR010943	BUY 4849 Units @1.7680						
11/27/2018	***-**-88IN - PICKARD, ELAINE	STEIN MART INC COM	2,665.50	49.99	18.00	31.99	88.0	28.15
	ACCOUNT #: LSR010957	BUY 1500 Units @1.7770						
11/27/2018	***-**-69IN - HAUCK, JUDITH	STEIN MART INC COM	2,670.00	49.99	18.00	31.99	88.0	28.15
	ACCOUNT #: LSR010980	BUY 1500 Units @1.7800						
11/27/2018	***-**-474J - HAGAN JR,	STEIN MART INC COM	7,120.00	137.49	18.00	119.49	88.0	105.15
	ACCOUNT #: LSR010993	BUY 4000 Units @1.7800						
11/27/2018	***-**-369I - DAVIS, BRUCE	STEIN MART INC COM	4,965.00	87.49	18.00	69.49	88.0	61.15
	ACCOUNT #: LSR011029	BUY 3000 Units @1.6550						
11/27/2018	***-**-698J - BAILEY, MR	STEIN MART INC COM	3,560.00	67.49	18.00	49.49	88.0	43.55
	ACCOUNT #: LSR011097	BUY 2000 Units @1.7800						
11/27/2018	***-**-698J - FEISTHAMEL, MR	STEIN MART INC COM	2,670.00	49.99	18.00	31.99	88.0	28.15
	ACCOUNT #: LSR011137	BUY 1500 Units @1.7800						
11/27/2018	***-**-05IN - HULL, JEFFERY	STEIN MART INC COM	4,175.00	49.99	18.00	31.99	88.0	28.15
	ACCOUNT #: LSR011187	BUY 2500 Units @1.6700						
11/27/2018	***-**-762I - STORSBERG,	STEIN MART INC COM	5,310.00	49.99	18.00	31.99	88.0	28.15
	ACCOUNT #: LSR011688	BUY 3000 Units @1.7700						
11/27/2018	***-**-76IN - BOSHART-LOWE,	STEIN MART INC COM	1,770.00	49.99	18.00	31.99	88.0	28.15
	ACCOUNT #: LSR011840	BUY 1000 Units @1.7700						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: STOCKS (continued)								
11/27/2018	***-**-599I - MCCARTHY, DONNA	STEIN MART INC COM	2,670.00	49.99	18.00	31.99	88.0	28.15
	ACCOUNT #: LSR011894	BUY 1500 Units @1.7800						
11/27/2018	***-**-58IO - CADY, GAIL	STEIN MART INC COM	1,760.00	49.99	18.00	31.99	88.0	28.15
	ACCOUNT #: LSR012742	BUY 1000 Units @1.7600						
11/27/2018	***-**-94IN - MINER, MARY	STEIN MART INC COM	10,320.00	167.49	18.00	149.49	88.0	131.55
	ACCOUNT #: LSR012743	BUY 6000 Units @1.7200						
11/27/2018	***-**-594I - MINER, MARY	STEIN MART INC COM	8,650.00	97.49	18.00	79.49	88.0	69.95
	ACCOUNT #: LSR012744	BUY 5000 Units @1.7300						
11/27/2018	***-**-378J - WHITEFORD, GARY	STEIN MART INC COM	3,440.00	57.49	18.00	39.49	88.0	34.75
	ACCOUNT #: LSR012812	BUY 2000 Units @1.7200						
11/27/2018	***-**-757J - MATTHEWS,	STEIN MART INC COM	2,580.00	49.99	18.00	31.99	88.0	28.15
	ACCOUNT #: LSR012824	BUY 1500 Units @1.7200						
11/27/2018	***-**-94IR - MINER, MARY	STEIN MART INC COM	2,200.00	49.99	18.00	31.99	88.0	28.15
	ACCOUNT #: LSR012876	BUY 1250 Units @1.7600						
11/28/2018	***-**-80IN - GRIFFITH, DAVID	STEIN MART INC COM	4,170.00	9.99	8.99	1.00	88.0	0.88
	ACCOUNT #: LSF000286	BUY 3000 Units @1.3900						
11/27/2018	***-**-804I - RIEBEN, ANNE	VERIZON COMMUNICATIONS UNSOLICITED	6,058.00	87.49	17.00	70.49	88.0	62.03
	ACCOUNT #: LSR010877	SELL 100 Units @60.5800						
11/27/2018	***-**-698J - BAILEY, MR	VERIZON COMMUNICATIONS UNSOLICITED	3,024.00	57.49	16.00	41.49	88.0	36.51
	ACCOUNT #: LSR011097	SELL 50 Units @60.4800						
11/27/2018	***-**-762I - STORSBERG,	VERIZON COMMUNICATIONS UNSOLICITED	6,042.00	87.49	17.00	70.49	88.0	62.03
	ACCOUNT #: LSR011688	SELL 100 Units @60.4200						
11/27/2018	***-**-94IN - MINER, MARY	VERIZON COMMUNICATIONS UNSOLICITED	6,046.00	97.49	17.00	80.49	88.0	70.83
	ACCOUNT #: LSR012743	SELL 100 Units @60.4600						
* STOCKS SUBTOTAL *			\$155,334.88	\$2,377.14	\$683.08	\$1,694.06		\$1,490.73
PRODUCT CATEGORY: 529 PLAN								
10/31/2018	***-**-57IO - MATTHEWS,	JP MORGAN EQUITY INCOME PORTFOLIO C	1,000.00	10.00	0.00	10.00	88.0	8.80
		BUY 0 Units @0.0000						
12/03/2018	***-**-29IO - LORUSSO, VINCENT	NY 529 ADDITIONAL DEPOSIT	50.00	0.50	0.00	0.50	88.0	0.44
	ACCOUNT #: 77089153301	BUY 0 Units @0.0000						
12/03/2018	***-**-0862 - REDMOND, EILEEN	NY 529 ADDITIONAL DEPOSIT	50.00	0.52	0.00	0.52	88.0	0.46
	ACCOUNT #: 77172702502	BUY 0 Units @0.0000						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: 529 PLAN (continued)								
12/03/2018	***-**-804I - RIEBEN, ANNE	NY 529 ADDITIONAL DEPOSIT	25.00	0.25	0.00	0.25	88.0	0.22
	ACCOUNT #: 77923466801	BUY 0 Units @0.0000						
12/03/2018	***-**-804I - RIEBEN, ANNE	NY 529 ADDITIONAL DEPOSIT	25.00	0.25	0.00	0.25	88.0	0.22
	ACCOUNT #: 77923466802	BUY 0 Units @0.0000						
12/03/2018	***-**-225P - DAMSKY, CYNTHIA	NY 529 ADDITIONAL DEPOSIT	50.00	0.50	0.00	0.50	88.0	0.44
		BUY 0 Units @0.0000						
12/03/2018	***-**-93JT - WADSWORTH,	NY 529 ADDITIONAL DEPOSIT	100.00	3.25	0.00	3.25	88.0	2.86
	ACCOUNT #: 77296639001	BUY 0 Units @0.0000						
12/03/2018	***-**-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						
* 529 PLAN SUBTOTAL *			\$1,350.00	\$15.77	\$0.00	\$15.77		\$13.88
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS								
11/19/2018	***-**-522I - RIEBEN, HENRY	PUTNAM MF TRAILS 37252M306	15.63	0.16	0.00	0.16	88.0	0.14
	ACCOUNT #: 00551360517	BUY 1 Units @19.6000						
12/03/2018	***-**-753I - SABANOSH, ALAN	RESOURCE TRAILS	0.00	19.07	0.00	19.07	88.0	16.78
		BUY 0 Units @0.0000						
12/03/2018	***-**-61IN - FILEY, JOHN	RESOURCE TRAILS	0.00	19.28	0.00	19.28	88.0	16.97
	ACCOUNT #: 020032241	BUY 0 Units @0.0000						
12/03/2018	***-**-42IN - JENKINS, DAVID	RESOURCE TRAILS	0.00	8.99	0.00	8.99	88.0	7.91
		BUY 0 Units @0.0000						
12/03/2018	***-**-76IN - BOSHART-LOWE,	RESOURCE TRAILS	0.00	18.84	0.00	18.84	88.0	16.58
		BUY 0 Units @0.0000						
12/03/2018	***-**-599I - MCCARTHY, DONNA	RESOURCE TRAILS	0.00	10.55	0.00	10.55	88.0	9.28
		BUY 0 Units @0.0000						
12/03/2018	***-**-60IN - SCHRADER, KEVIN	RESOURCE TRAILS	0.00	14.55	0.00	14.55	88.0	12.80
		BUY 0 Units @0.0000						
12/03/2018	***-**-11IN - MOYLAN, TIMOTHY	RESOURCE TRAILS	0.00	10.89	0.00	10.89	88.0	9.58
		BUY 0 Units @0.0000						
12/03/2018	***-**-621I - DANIELS SR, JOHN	RESOURCE TRAILS	0.00	18.83	0.00	18.83	88.0	16.57
		BUY 0 Units @0.0000						
12/03/2018	***-**-01IN - HAGAN III,	RESOURCE TRAILS	0.00	18.83	0.00	18.83	88.0	16.57
		BUY 0 Units @0.0000						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
12/03/2018	***-**-034J - NIKODEM, JOSEPH	RESOURCE TRAILS	0.00	23.81	0.00	23.81	88.0	20.95
	ACCOUNT #: 20022533	BUY 0 Units @0.0000						
		* MUTUAL FUND 12B1 TRAILS SUBTOTAL *	\$15.63	\$163.80	\$0.00	\$163.80		\$144.13
		*** BROKER TRANSACTIONS TOTAL ***	\$167,270.50	\$2,687.15	\$701.08	\$1,986.07		\$1,747.68

OVERRIDE TRANSACTIONS

BROKER: KURT GRUENEWALD

11/29/2018	***-**-73TR - WESTCOTT IRRVOC	AMERICAN FUNDS BALANCED PORT CL C	9,143.65	1.99	0.00	1.99	88.0	1.75
	ACCOUNT #: LSR011001	SELL 636 Units @14.3700						
11/29/2018	***-**-448X - ANACKER, SUSAN	AMERICAN GLOBAL BALANCED CL C	5,499.99	55.00	0.00	55.00	88.0	48.40
	ACCOUNT #: LSR011578	BUY 179 Units @30.6700						
11/29/2018	***-**-73TR - WESTCOTT IRRVOC	APOLLO INVT CORP COM SH BEN INT SOL	3,426.72	45.49	0.00	45.49	88.0	40.03
	ACCOUNT #: LSR011001	SELL 649 Units @5.2800						
/ /	***-**-6604 - REYNOLDS, DIANE	BLACKROCK TRAILS	0.00	3.61	0.00	3.61	88.0	3.18
	ACCOUNT #: 5290810273	BUY 0 Units @0.0000						
11/27/2018	***-**-579I - RHYMESTINE,	BLOCK H & R INC	2,784.00	32.99	0.00	32.99	88.0	29.03
	ACCOUNT #: LSR011082	BUY 100 Units @27.8400						
11/27/2018	***-**-15IN - PENDRAK, JOHN	CAMECO CORP COM NPV ISIN #CA13321L1	1,854.72	37.02	0.00	37.02	88.0	32.58
	ACCOUNT #: LSR010948	SELL 161 Units @11.5200						
11/27/2018	***-**-11IO - LYNN G.	DIEBOLD NIXDORF INCORPORATED COM US	6,580.00	32.49	0.00	32.49	88.0	28.59
	ACCOUNT #: LSR011239	BUY 2000 Units @3.2900						
11/27/2018	***-**-653I - KOICHEM, CLINTON	DUKE ENERGY CORP COM USD0.001 ISIN	5,799.42	61.17	0.00	61.17	88.0	53.83
	ACCOUNT #: LSR011300	SELL 66 Units @87.8700						
11/27/2018	***-**-30TR - AND SANDRA	DUKE ENERGY CORP COM USD0.001 ISIN	3,337.54	44.23	0.00	44.23	88.0	38.92
	ACCOUNT #: LSR011939	SELL 38 Units @87.8300						
12/03/2018	***-**-9440 - MAYO, DEBORAH	EATON VANCE MF TRAILS	0.00	0.43	0.00	0.43	88.0	0.38
	ACCOUNT #: 5034930049	BUY 0 Units @0.0000						
11/29/2018	***-**-09IN - BATES, CHRISTINE	EXXON MOBIL CORP UNSOLICITED ORDER	3,962.50	41.62	0.00	41.62	88.0	36.63
	ACCOUNT #: LSR010929	BUY 50 Units @79.2500						
11/29/2018	***-**-376I - BERBEN, GAIL	EXXON MOBIL CORP UNSOLICITED ORDER	7,925.00	80.25	0.00	80.25	88.0	70.62
	ACCOUNT #: LSR011380	BUY 100 Units @79.2500						



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<u> OVERRIDE TRANSACTIONS (continued) </u>								
<u>BROKER: KURT GRUENEWALD (continued)</u>								
11/26/2018	***-**-8901 - GURDO, ANTHONY	FUNDAMENTAL INVESTORS-C	150.00	1.50	0.00	1.50	88.0	1.32
	ACCOUNT #: 00087491111	BUY 3 Units @59.7600						
11/15/2018	***-**-213I - GRUENEWALD,	MFS GLOBAL NEW DISCOVERY FUND CL B	100.00	4.00	0.00	4.00	88.0	3.52
	ACCOUNT #: 08190131132	BUY 6 Units @18.0500						
11/19/2018	***-**-53RI - FALCHI, VALERIE	MFS GLOBAL TOTAL RETURN FUND-B	75.00	3.00	0.00	3.00	88.0	2.64
	ACCOUNT #: 08191172002	BUY 4 Units @17.4300						
11/20/2018	***-**-7617 - ESCHE, BEVERLY	MFS GLOBAL TOTAL RETURN FUND-B	50.00	2.00	0.00	2.00	88.0	1.76
	ACCOUNT #: 08191154979	BUY 3 Units @17.2900						
11/20/2018	***-**-7617 - ESCHE, BEVERLY	MFS INTERNATIONAL NEW DISCOVERY FUN	50.00	2.00	0.00	2.00	88.0	1.76
	ACCOUNT #: 08191154979	BUY 2 Units @30.3800						
11/15/2018	***-**-213I - GRUENEWALD,	MFS NEW DISCOVERY FUND-B	100.00	4.00	0.00	4.00	88.0	3.52
	ACCOUNT #: 08190131132	BUY 4 Units @23.6400						
11/15/2018	***-**-213I - GRUENEWALD,	MFS TECHNOLOGY FUND-B	100.00	4.00	0.00	4.00	88.0	3.52
	ACCOUNT #: 08190131132	BUY 3 Units @34.4700						
11/20/2018	***-**-06IN - SATTERLY,	MFS TECHNOLOGY FUND-B	50.00	2.00	0.00	2.00	88.0	1.76
	ACCOUNT #: 08191173302	BUY 2 Units @32.3700						
11/15/2018	***-**-094I - CIRILLO, CARL	MFS UTILITIES FUND-B	35.00	1.40	0.00	1.40	88.0	1.23
	ACCOUNT #: 08190127967	BUY 2 Units @20.0700						
11/15/2018	***-**-606I - LEWIS, TAMARA	MFS UTILITIES FUND-B	50.00	2.00	0.00	2.00	88.0	1.76
	ACCOUNT #: 08191352846	BUY 2 Units @20.0700						
11/20/2018	***-**-7617 - ESCHE, BEVERLY	MFS UTILITIES FUND-B	50.00	2.00	0.00	2.00	88.0	1.76
	ACCOUNT #: 08191154979	BUY 2 Units @20.0100						
11/27/2018	***-**-89IN - LEE, ROGER	NORDIC AMERICAN TANKERS LIMITE COM	3,060.00	22.49	0.00	22.49	88.0	19.79
	ACCOUNT #: LSR011166	BUY 1000 Units @3.0600						
11/27/2018	***-**-653I - KOCHEM, CLINTON	NORDIC AMERICAN TANKERS LIMITE COM	4,620.00	22.49	0.00	22.49	88.0	19.79
	ACCOUNT #: LSR011300	BUY 1500 Units @3.0800						
/ /	***-**-0767 - DOVI,	NY 529 ADDITIONAL DEPOSIT	25.00	0.25	0.00	0.25	88.0	0.22
	ACCOUNT #: 77579193101	BUY 0 Units @0.0000						
/ /	***-**-473J - HUSTON,	NY 529 ADDITIONAL DEPOSIT	400.00	4.00	0.00	4.00	88.0	3.52
	ACCOUNT #: 77852732401	BUY 0 Units @0.0000						
12/03/2018	***-**-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						



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Utica, NY 13502

BROKER #: A76
BRANCH #01047 - 47 - GRIFFITH

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
 OVERRIDE TRANSACTIONS (continued)								
 <u>BROKER: KURT GRUENEWALD (continued)</u>								
11/26/2018	***-**-213I - GRUENEWALD, ACCOUNT #: VP71028580	PACIFIC LIFE SE5-NYB DTCC BUY 0 Units @0.0000	131.30	3.94	0.00	3.94	88.0	3.47
12/03/2018	***-**-671I - EBERLEY, REID	RESOURCE TRAILS BUY 0 Units @0.0000	0.00	14.29	0.00	14.29	88.0	12.58
12/03/2018	***-**-44IO - MAYO, DEBORAH	RESOURCE TRAILS BUY 0 Units @0.0000	0.00	9.69	0.00	9.69	88.0	8.53
12/03/2018	***-**-524I - SCALISE, JOSEPH ACCOUNT #: 020003970	RESOURCE TRAILS BUY 0 Units @0.0000	0.00	0.54	0.00	0.54	88.0	0.48
12/03/2018	***-**-15IN - PENDRAK, JOHN ACCOUNT #: 20005598	RESOURCE TRAILS BUY 0 Units @0.0000	0.00	1.67	0.00	1.67	88.0	1.47
12/03/2018	***-**-960J - MASTRANGELO,	RESOURCE TRAILS BUY 0 Units @0.0000	0.00	16.75	0.00	16.75	88.0	14.74
12/03/2018	***-**-44IO - MAYO, DEBORAH	RESOURCE TRAILS BUY 0 Units @0.0000	0.00	25.76	0.00	25.76	88.0	22.67
12/03/2018	***-**-31IN - WARMUTH,	RESOURCE TRAILS BUY 0 Units @0.0000	0.00	4.39	0.00	4.39	88.0	3.86
12/03/2018	***-**-531J - WILLIAMSON,	RESOURCE TRAILS BUY 0 Units @0.0000	0.00	12.56	0.00	12.56	88.0	11.05
12/03/2018	***-**-65IN - LAZIO, THOMAS	RESOURCE TRAILS BUY 0 Units @0.0000	0.00	18.83	0.00	18.83	88.0	16.57
11/27/2018	***-**-287I - HINCKLEY, ACCOUNT #: LSR010843	STEIN MART INC COM BUY 1500 Units @1.6600	2,490.00	31.99	0.00	31.99	88.0	28.15
11/27/2018	***-**-48IO - CLARK, PATRICK ACCOUNT #: LSR010911	STEIN MART INC COM BUY 2500 Units @1.6550	4,137.50	49.49	0.00	49.49	88.0	43.55
11/27/2018	***-**-15IN - PENDRAK, JOHN ACCOUNT #: LSR010948	STEIN MART INC COM BUY 1500 Units @1.7700	2,655.00	31.89	0.00	31.89	88.0	28.06
11/27/2018	***-**-960J - MASTRANGELO, ACCOUNT #: LSR010966	STEIN MART INC COM BUY 1500 Units @1.7800	2,670.00	31.99	0.00	31.99	88.0	28.15
11/27/2018	***-**-80IN - COBB, JAMES ACCOUNT #: LSR011042	STEIN MART INC COM BUY 2500 Units @1.6600	4,150.00	39.49	0.00	39.49	88.0	34.75
11/27/2018	***-**-44IO - MAYO, DEBORAH ACCOUNT #: LSR011079	STEIN MART INC COM BUY 2500 Units @1.6600	4,150.00	49.49	0.00	49.49	88.0	43.55



COMMISSION STATEMENT

December 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) 								
 <u>BROKER: KURT GRUENEWALD (continued)</u> 								
11/27/2018	***-**-579I - RHYMESTINE, ACCOUNT #: LSR011082	STEIN MART INC COM BUY 2000 Units @1.7600	3,520.00	39.49	0.00	39.49	88.0	34.75
11/27/2018	***-**-506J - CURRIERE JR, MR ACCOUNT #: LSR011121	STEIN MART INC COM BUY 500 Units @1.7500	875.00	31.99	0.00	31.99	88.0	28.15
11/27/2018	***-**-89IN - LEE, ROGER ACCOUNT #: LSR011166	STEIN MART INC COM BUY 2500 Units @1.7800	4,450.00	49.49	0.00	49.49	88.0	43.55
11/27/2018	***-**-31IO - WILLIAMSON, FBO ACCOUNT #: LSR011172	STEIN MART INC COM BUY 2000 Units @1.6600	3,320.00	39.49	0.00	39.49	88.0	34.75
11/27/2018	***-**-473J - HUSTON, ACCOUNT #: LSR011228	STEIN MART INC COM BUY 1500 Units @1.7700	2,655.00	31.99	0.00	31.99	88.0	28.15
11/27/2018	***-**-11IO - LYNN G. ACCOUNT #: LSR011239	STEIN MART INC COM BUY 3000 Units @1.7800	5,340.00	59.49	0.00	59.49	88.0	52.35
11/27/2018	***-**-653I - KOCHEM, CLINTON ACCOUNT #: LSR011300	STEIN MART INC COM BUY 1000 Units @1.7660	1,766.00	31.99	0.00	31.99	88.0	28.15
11/27/2018	***-**-376I - BERBEN, GAIL ACCOUNT #: LSR011380	STEIN MART INC COM BUY 2000 Units @1.7500	3,500.00	39.49	0.00	39.49	88.0	34.75
11/27/2018	***-**-22IO - CLINTON, STEPHEN ACCOUNT #: LSR011684	STEIN MART INC COM BUY 2000 Units @1.7200	3,440.00	41.99	0.00	41.99	88.0	36.95
11/27/2018	***-**-60IO - JOSEPH, ACCOUNT #: LSR012336	STEIN MART INC COM BUY 2500 Units @1.7410	4,352.50	49.49	0.00	49.49	88.0	43.55
11/27/2018	***-**-31IO - JOSEPH, ANN ACCOUNT #: LSR012337	STEIN MART INC COM BUY 1500 Units @1.7680	2,652.00	31.99	0.00	31.99	88.0	28.15
11/27/2018	***-**-43IN - FRANZ, WAYNE ACCOUNT #: LSR012636	STEIN MART INC COM BUY 2000 Units @1.7200	3,440.00	39.49	0.00	39.49	88.0	34.75
11/27/2018	***-**-79TR - OR CYNTHIA ACCOUNT #: LSR012749	STEIN MART INC COM BUY 1500 Units @1.7400	2,610.00	31.99	0.00	31.99	88.0	28.15
11/27/2018	***-**-2663 - LASCALA, DEBORAH ACCOUNT #: LSR012791	STEIN MART INC COM BUY 3000 Units @1.7700	5,310.00	59.49	0.00	59.49	88.0	52.35
11/29/2018	***-**-79TR - OR CYNTHIA ACCOUNT #: LSR012749	STEIN MART INC COM BUY 2500 Units @1.3700	3,425.00	31.99	0.00	31.99	88.0	28.15
* KURT GRUENEWALD SUBTOTAL *			\$130,367.84	\$1,470.78	\$0.00	\$1,470.78		\$1,294.27
*** OVERRIDE TRANSACTIONS TOTAL ***			\$130,367.84	\$1,470.78	\$0.00	\$1,470.78		\$1,294.27



BROKER #: A76
BRANCH #01047 - 47 - GRIFFITH

DATE	CLIENT	INVESTMENT	AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION	
BROKER COMMISSION TOTALS									
Broker Transactions								\$1,747.68	
Split Transactions								\$0.00	
Override Transactions								\$1,294.27	
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								\$3,041.95	
Year-to-date Earnings								\$248,710.50	