



COMMISSION STATEMENT

October 29, 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>								
10/24/2018	***-**-656I - SMOLA, STANLEY ACCOUNT #: LSR010868	AMERICAN FUNDS MORTGAGE CL F1 SELL 828 Units @9.7200	8,045.59	19.99	18.00	1.99	88.0	1.75
10/19/2018	***-**-244I - BURTON, RICHARD ACCOUNT #: LSR011997	AMERICAN MONEY MARKET CLASS C SELL 68391 Units @1.0000	68,391.11	19.99	18.00	1.99	88.0	1.75
10/23/2018	***-**-656I - SMOLA, STANLEY ACCOUNT #: LSR010868	CAPITAL INCOME BUILDER-F1 SELL 202 Units @58.3300	11,770.12	24.99	18.00	6.99	88.0	6.15
10/26/2018	***-**-762I - STORSBERG, ACCOUNT #: LSR011688	LORD ABBETT GROWTH LEADERS FUND CL BUY 181 Units @27.6500	5,000.00	0.00	6.00	-6.00	100.0	-6.00
10/26/2018	***-**-762I - STORSBERG, ACCOUNT #: LSR011688	LORD ABBETT INTL DIVIDEND INC CL C BUY 1138 Units @6.5900	7,500.00	19.99	6.00	13.99	88.0	12.31
10/26/2018	***-**-762I - STORSBERG, ACCOUNT #: LSR011688	LORD ABBETT SHORT DURATION INCOME C SELL 1196 Units @4.1800	5,000.00	0.00	6.00	-6.00	100.0	-6.00
10/26/2018	***-**-762I - STORSBERG, ACCOUNT #: LSR011688	LORD ABBETT SHORT DURATION INCOME C SELL 1196 Units @4.1800	5,000.00	0.00	6.00	-6.00	100.0	-6.00
10/26/2018	***-**-762I - STORSBERG, ACCOUNT #: LSR011688	LORD ABBETT SHORT DURATION INCOME C SELL 1794 Units @4.1800	7,500.00	0.00	6.00	-6.00	100.0	-6.00
10/26/2018	***-**-762I - STORSBERG, ACCOUNT #: LSR011688	LORD ABBETT VALUE OPPORTUNITY FD CL BUY 293 Units @17.0600	5,000.00	19.99	6.00	13.99	88.0	12.31
10/10/2018	***-**-686I - STRUMPFLE, MARK ACCOUNT #: 00060352385	MFS UTILITIES FUND-B BUY 4 Units @20.3900	75.00	3.00	0.00	3.00	88.0	2.64
10/15/2018	***-**-7892 - GORCZYNSKI, LISA ACCOUNT #: 00551338349	PUTNAM 74677Q307 BUY 13 Units @11.5600	150.00	1.50	0.00	1.50	88.0	1.32
10/24/2018	***-**-656I - SMOLA, STANLEY ACCOUNT #: LSR010868	SMALLCAP WORLD FUND-F1 SELL 170 Units @52.0000	8,830.33	19.99	18.00	1.99	88.0	1.75
10/12/2018	***-**-469I - HAUCK, JUDITH ACCOUNT #: 00087147439	THE INCOME FUND OF AMERICA-A BUY 15 Units @23.0700	350.00	7.00	0.00	7.00	88.0	6.16
10/12/2018	***-**-469I - HAUCK, JUDITH ACCOUNT #: 00087147439	THE INCOME FUND OF AMERICA-A BUY 4 Units @23.0700	98.08	1.96	0.00	1.96	88.0	1.72
10/25/2018	***-**-469I - HAUCK, JUDITH ACCOUNT #: 00087147439	THE INCOME FUND OF AMERICA-A BUY 15 Units @22.7700	350.00	7.00	0.00	7.00	88.0	6.16
10/25/2018	***-**-469I - HAUCK, JUDITH ACCOUNT #: 00087147439	THE INCOME FUND OF AMERICA-A BUY 4 Units @22.7700	98.08	1.96	0.00	1.96	88.0	1.72



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: STOCKS (continued)								
* MUTUAL FUNDS SUBTOTAL *			\$133,158.31	\$147.36	\$108.00	\$39.36		\$31.74
PRODUCT CATEGORY: STOCKS								
10/24/2018	***-**-621I - DANIELS SR, JOHN	ALCOA CORP COM	389.84	49.99	15.22	34.77	88.0	30.60
	ACCOUNT #: LSR010950	SELL 11 Units @35.4400						
10/24/2018	***-**-621I - DANIELS SR, JOHN	ARCONIC INC COM	686.12	49.99	15.68	34.31	88.0	30.19
	ACCOUNT #: LSR010950	SELL 34 Units @20.1800						
10/19/2018	***-**-753I - SABANOSH, ALAN	NORDIC AMERICAN TANKERS LIMITE COM	2,832.00	57.49	39.00	18.49	88.0	16.27
	ACCOUNT #: LSR010909	BUY 1200 Units @2.3600						
10/19/2018	***-**-244I - BURTON, RICHARD	NORDIC AMERICAN TANKERS LIMITE COM	4,740.00	67.49	55.00	12.49	88.0	10.99
	ACCOUNT #: LSR011997	BUY 2000 Units @2.3700						
10/19/2018	***-**-073I - WHITEFORD, DEBRA	NORDIC AMERICAN TANKERS LIMITE COM	4,720.00	67.49	55.00	12.49	88.0	10.99
	ACCOUNT #: LSR012810	BUY 2000 Units @2.3600						
10/24/2018	***-**-54IN - DANIELS, JOHN	PETROLEO BRASILEIRO SA PETROBRAS SP	1,825.20	49.99	17.60	32.39	88.0	28.50
	ACCOUNT #: LSR012380	SELL 130 Units @14.0400						
10/24/2018	***-**-54IN - DANIELS, JOHN	ROYAL DUTCH SHELL ADR EA REP 2 CL A	3,866.32	57.49	16.24	41.25	88.0	36.30
	ACCOUNT #: LSR012380	SELL 62 Units @62.3600						
10/19/2018	***-**-80IN - GRIFFITH, DAVID	STEIN MART INC COM	3,890.00	9.99	8.99	1.00	88.0	0.88
	ACCOUNT #: LSF000286	BUY 2000 Units @1.9450						
10/19/2018	***-**-580I - GRIFFITH, DAVID	STEIN MART INC COM	1,950.00	9.99	8.99	1.00	88.0	0.88
	ACCOUNT #: LSF000295	BUY 1000 Units @1.9500						
10/19/2018	***-**-91IN - RICHARDSON,	STEIN MART INC COM	1,960.00	49.99	18.00	31.99	88.0	28.15
	ACCOUNT #: LSR010900	BUY 1000 Units @1.9600						
10/19/2018	***-**-753I - SABANOSH, ALAN	STEIN MART INC COM	2,925.00	49.99	18.00	31.99	88.0	28.15
	ACCOUNT #: LSR010909	BUY 1500 Units @1.9500						
10/19/2018	***-**-53TR - SABANOSH, ALAN R	STEIN MART INC COM	2,535.00	49.82	18.00	31.82	88.0	28.00
	ACCOUNT #: LSR010917	BUY 1300 Units @1.9500						
10/19/2018	***-**-53TR - SABANOSH, ALAN R	STEIN MART INC COM	390.00	7.67	0.00	7.67	88.0	6.75
	ACCOUNT #: LSR010917	BUY 200 Units @1.9500						
10/19/2018	***-**-425I - PERRITANO,	STEIN MART INC COM	4,900.00	77.49	18.00	59.49	88.0	52.35
	ACCOUNT #: LSR010922	BUY 2500 Units @1.9600						
10/19/2018	***-**-467J - PICKARD, BRIAN	STEIN MART INC COM	5,850.00	77.49	18.00	59.49	88.0	52.35
	ACCOUNT #: LSR010943	BUY 3000 Units @1.9500						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: STOCKS (continued)								
10/19/2018	***-**-01IN - HAGAN III, ACCOUNT #: LSR011014	STEIN MART INC COM BUY 1000 Units @1.9500	1,950.00	49.99	18.00	31.99	88.0	28.15
10/19/2018	***-**-698J - BAILEY, MR ACCOUNT #: LSR011097	STEIN MART INC COM BUY 1500 Units @1.9560	2,934.00	57.49	18.00	39.49	88.0	34.75
10/19/2018	***-**-05IN - HULL, JEFFERY ACCOUNT #: LSR011187	STEIN MART INC COM BUY 1000 Units @1.9500	1,950.00	49.99	18.00	31.99	88.0	28.15
10/19/2018	***-**-762I - STORSBERG, ACCOUNT #: LSR011688	STEIN MART INC COM BUY 3000 Units @1.9690	5,907.00	67.49	18.00	49.49	88.0	43.55
10/19/2018	***-**-201O - GAUTHIER, SHEET ACCOUNT #: LSR011692	STEIN MART INC COM BUY 2000 Units @1.9600	3,920.00	67.49	18.00	49.49	88.0	43.55
10/19/2018	***-**-599I - MCCARTHY, DONNA ACCOUNT #: LSR011894	STEIN MART INC COM BUY 1500 Units @1.9500	2,925.00	57.49	18.00	39.49	88.0	34.75
10/19/2018	***-**-244I - BURTON, RICHARD ACCOUNT #: LSR011997	STEIN MART INC COM BUY 3000 Units @1.9500	5,850.00	87.49	18.00	69.49	88.0	61.15
10/19/2018	***-**-58IO - CADY, GAIL ACCOUNT #: LSR012742	STEIN MART INC COM BUY 1500 Units @1.9500	2,925.00	49.99	18.00	31.99	88.0	28.15
10/19/2018	***-**-94IN - MINER, MARY ACCOUNT #: LSR012743	STEIN MART INC COM BUY 5000 Units @1.9800	9,900.00	97.49	18.00	79.49	88.0	69.95
10/19/2018	***-**-594I - MINER, MARY ACCOUNT #: LSR012744	STEIN MART INC COM BUY 5000 Units @1.9800	9,900.00	117.49	18.00	99.49	88.0	87.55
10/19/2018	***-**-073I - WHITEFORD, DEBRA ACCOUNT #: LSR012810	STEIN MART INC COM BUY 2000 Units @1.9520	3,904.00	67.49	18.00	49.49	88.0	43.55
10/19/2018	***-**-378J - WHITEFORD, GARY ACCOUNT #: LSR012812	STEIN MART INC COM BUY 1500 Units @1.9530	2,929.50	57.49	18.00	39.49	88.0	34.75
10/19/2018	***-**-61IN - HECK, GREGORY ACCOUNT #: LSR012819	STEIN MART INC COM BUY 10000 Units @1.9700	19,700.00	57.49	18.00	39.49	88.0	34.75
10/19/2018	***-**-57IO - MATTHEWS, ACCOUNT #: LSR012822	STEIN MART INC COM BUY 1500 Units @1.9600	2,940.00	49.99	18.00	31.99	88.0	28.15
10/19/2018	***-**-757J - MATTHEWS, ACCOUNT #: LSR012824	STEIN MART INC COM BUY 1500 Units @1.9500	2,925.00	57.49	18.00	39.49	88.0	34.75
10/19/2018	***-**-892I - O'BRIEN, ANDREA ACCOUNT #: LSR012854	STEIN MART INC COM BUY 2000 Units @1.9600	3,920.00	57.49	18.00	39.49	88.0	34.75



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: STOCKS (continued)								
10/19/2018	***-**-94IR - MINER, MARY	STEIN MART INC COM	2,926.50	49.99	18.00	31.99	88.0	28.15
	ACCOUNT #: LSR012876	BUY 1500 Units @1.9510						
10/22/2018	***-**-679I - MURSCH JR,	STEIN MART INC COM	2,940.00	49.99	18.00	31.99	88.0	28.15
	ACCOUNT #: LSR010888	BUY 1500 Units @1.9600						
10/22/2018	***-**-88IN - PICKARD, ELAINE	STEIN MART INC COM	1,970.00	49.99	18.00	31.99	88.0	28.15
	ACCOUNT #: LSR010957	BUY 1000 Units @1.9700						
10/22/2018	***-**-698J - FEISTHAMEL, MR	STEIN MART INC COM	2,548.00	49.99	18.00	31.99	88.0	28.15
	ACCOUNT #: LSR011137	BUY 1300 Units @1.9600						
10/22/2018	***-**-469I - HAUCK, JUDITH	STEIN MART INC COM	3,920.00	67.49	18.00	49.49	88.0	43.55
	ACCOUNT #: LSR011739	BUY 2000 Units @1.9600						
10/25/2018	***-**-073I - WHITEFORD, DEBRA	STEIN MART INC COM	1,840.00	49.99	18.00	31.99	88.0	28.15
	ACCOUNT #: LSR012810	BUY 1000 Units @1.8400						
10/25/2018	***-**-892I - O'BRIEN, ANDREA	STEIN MART INC COM	1,830.00	49.99	18.00	31.99	88.0	28.15
	ACCOUNT #: LSR012854	BUY 1000 Units @1.8300						
10/19/2018	***-**-679I - MURSCH JR,	VALE S.A. SPONS ADR REPR 1 COM NPV	2,273.25	49.99	18.00	31.99	88.0	28.15
	ACCOUNT #: LSR010888	SELL 150 Units @15.1550						
10/24/2018	***-**-656I - SMOLA, STANLEY	VALE S.A. SPONS ADR REPR 1 COM NPV	16,360.20	327.49	36.96	290.53	88.0	255.67
	ACCOUNT #: LSR010868	SELL 1098 Units @14.9000						
* STOCKS SUBTOTAL *			\$164,546.93	\$2,527.11	\$790.68	\$1,736.43		\$1,528.02

PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS

10/29/2018	***-**-753I - SABANOSH, ALAN	RESOURCE REAL ESTATE TRAILS	0.00	18.49	0.00	18.49	88.0	16.27
	ACCOUNT #: 20022581	BUY 0 Units @0.0000						
10/29/2018	***-**-61IN - FILEY, JOHN	RESOURCE REAL ESTATE TRAILS	0.00	18.91	0.00	18.91	88.0	16.64
		BUY 0 Units @0.0000						
10/29/2018	***-**-42IN - JENKINS, DAVID	RESOURCE REAL ESTATE TRAILS	0.00	8.76	0.00	8.76	88.0	7.71
	ACCOUNT #: 20032579	BUY 0 Units @0.0000						
10/29/2018	***-**-76IN - BOSHART-LOWE,	RESOURCE REAL ESTATE TRAILS	0.00	18.55	0.00	18.55	88.0	16.32
	ACCOUNT #: 20033053	BUY 0 Units @0.0000						
10/29/2018	***-**-599I - MCCARTHY, DONNA	RESOURCE REAL ESTATE TRAILS	0.00	10.37	0.00	10.37	88.0	9.13
	ACCOUNT #: 20033434	BUY 0 Units @0.0000						
10/29/2018	***-**-60IN - SCHRADER, KEVIN	RESOURCE REAL ESTATE TRAILS	0.00	14.11	0.00	14.11	88.0	12.42
	ACCOUNT #: 20021808	BUY 0 Units @0.0000						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
10/29/2018	***-**-11IN - MOYLAN, TIMOTHY	RESOURCE REAL ESTATE TRAILS	0.00	10.57	0.00	10.57	88.0	9.30
	ACCOUNT #: 20022106	BUY 0 Units @0.0000						
10/29/2018	***-**-01IN - HAGAN III,	RESOURCE REAL ESTATE TRAILS	0.00	18.25	0.00	18.25	88.0	16.06
	ACCOUNT #: 20022138	BUY 0 Units @0.0000						
10/29/2018	***-**-034J - NIKODEM, JOSEPH	RESOURCE REAL ESTATE TRAILS	0.00	23.09	0.00	23.09	88.0	20.32
		BUY 0 Units @0.0000						
		* MUTUAL FUND 12B1 TRAILS SUBTOTAL *	\$0.00	\$141.10	\$0.00	\$141.10		\$124.17
		*** BROKER TRANSACTIONS TOTAL ***	\$297,705.24	\$2,815.57	\$898.68	\$1,916.89		\$1,683.93

VERRIDE TRANSACTIONS

BROKER: KURT GRUENEWALD

10/08/2018	***-**-480J - EVANS, RICHARD	AMERICAN BALANCED FUND-A	125.00	4.69	0.00	4.69	88.0	4.13
	ACCOUNT #: 00073288662	BUY 4 Units @29.0300						
10/19/2018	***-**-376I - BERBEN, GAIL	AQUA AMERICA INC	3,765.00	38.65	0.00	38.65	88.0	34.01
	ACCOUNT #: LSR011380	BUY 100 Units @37.6500						
10/19/2018	***-**-663I - LASCALA, DEBORAH	AQUA AMERICA INC	3,765.00	38.65	0.00	38.65	88.0	34.01
	ACCOUNT #: LSR012790	BUY 100 Units @37.6500						
10/19/2018	***-**-376I - BERBEN, GAIL	CAPITAL WORLD BOND FUND-C	14,999.99	150.00	0.00	150.00	88.0	132.00
	ACCOUNT #: LSR011380	BUY 802 Units @18.7100						
10/22/2018	***-**-851I - BLAKE, JAMES	CION ARES DIVERSIFIED CREDIT C	10,000.00	100.00	0.00	100.00	88.0	88.00
	ACCOUNT #: LSR012390	BUY 388 Units @25.8000						
10/26/2018	***-**-8901 - GURDO, ANTHONY	FUNDAMENTAL INVESTORS-C	150.00	1.50	0.00	1.50	88.0	1.32
	ACCOUNT #: 00087491111	BUY 3 Units @59.2300						
10/22/2018	***-**-506J - CURRIERE JR, MR	INTERNATIONAL GROWTH AND INCOME-A	25.00	1.06	0.00	1.06	88.0	0.93
	ACCOUNT #: 00088062946	BUY 1 Units @32.6500						
10/26/2018	***-**-15IN - PENDRAK, JOHN	LORD ABBETT GROWTH LEADERS FUND CL	5,000.00	13.99	0.00	13.99	88.0	12.31
	ACCOUNT #: LSR010948	BUY 181 Units @27.6500						
10/26/2018	***-**-15IN - PENDRAK, JOHN	LORD ABBETT INTL DIVIDEND INC CL C	5,000.00	13.99	0.00	13.99	88.0	12.31
	ACCOUNT #: LSR010948	BUY 759 Units @6.5900						
10/15/2018	***-**-213I - GRUENEWALD,	MFS GLOBAL NEW DISCOVERY FUND CL B	100.00	4.00	0.00	4.00	88.0	3.52
	ACCOUNT #: 08190131132	BUY 5 Units @18.3800						



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<u> OVERRIDE TRANSACTIONS (continued) </u>								
<u> BROKER: KURT GRUENEWALD (continued) </u>								
10/26/2018	***-**-31IO - WILLIAMSON, FBO	MFS INTERNATIONAL DIVERSIFICATION F	3,500.01	13.99	0.00	13.99	88.0	12.31
	ACCOUNT #: LSR011172	BUY 199 Units @17.5900						
10/15/2018	***-**-213I - GRUENEWALD,	MFS NEW DISCOVERY FUND-B	100.00	4.00	0.00	4.00	88.0	3.52
	ACCOUNT #: 08190131132	BUY 4 Units @23.8300						
10/15/2018	***-**-213I - GRUENEWALD,	MFS TECHNOLOGY FUND-B	100.00	4.00	0.00	4.00	88.0	3.52
	ACCOUNT #: 08190131132	BUY 3 Units @35.9200						
10/15/2018	***-**-094I - CIRILLO, CARL	MFS UTILITIES FUND-B	35.00	1.40	0.00	1.40	88.0	1.23
	ACCOUNT #: 08190127967	BUY 2 Units @20.2200						
10/15/2018	***-**-606I - LEWIS, TAMARA	MFS UTILITIES FUND-B	50.00	2.00	0.00	2.00	88.0	1.76
	ACCOUNT #: 08191352846	BUY 2 Units @20.2200						
10/22/2018	***-**-506J - CURRIERE JR, MR	NEW PERSPECTIVE FUND-A	25.00	1.06	0.00	1.06	88.0	0.93
	ACCOUNT #: 00088062946	BUY 1 Units @45.7900						
10/19/2018	***-**-376I - BERBEN, GAIL	OPPENHEIMER GOLD & SPECIAL MINERALS	5,000.01	50.00	0.00	50.00	88.0	44.00
	ACCOUNT #: LSR011380	BUY 381 Units @13.1400						
10/19/2018	***-**-376I - BERBEN, GAIL	REALTY INCOME CORP COMMON STOCK	5,845.00	59.45	0.00	59.45	88.0	52.32
	ACCOUNT #: LSR011380	BUY 100 Units @58.4500						
10/22/2018	***-**-663I - LASCALA, DEBORAH	REALTY INCOME CORP COMMON STOCK	1,746.00	7.26	0.00	7.26	88.0	6.39
	ACCOUNT #: LSR012790	BUY 30 Units @58.2000						
10/22/2018	***-**-663I - LASCALA, DEBORAH	REALTY INCOME CORP COMMON STOCK	4,074.00	51.94	0.00	51.94	88.0	45.71
	ACCOUNT #: LSR012790	BUY 70 Units @58.2000						
10/29/2018	***-**-671I - EBERLEY, REID	RESOURCE REAL ESTATE TRAILS	0.00	13.85	0.00	13.85	88.0	12.19
	ACCOUNT #: 20021572	BUY 0 Units @0.0000						
10/29/2018	***-**-44IO - MAYO, DEBORAH	RESOURCE REAL ESTATE TRAILS	0.00	9.40	0.00	9.40	88.0	8.27
	ACCOUNT #: 020026000	BUY 0 Units @0.0000						
10/29/2018	***-**-524I - SCALISE, JOSEPH	RESOURCE REAL ESTATE TRAILS	0.00	0.53	0.00	0.53	88.0	0.47
		BUY 0 Units @0.0000						
10/29/2018	***-**-15IN - PENDRAK, JOHN	RESOURCE REAL ESTATE TRAILS	0.00	1.64	0.00	1.64	88.0	1.44
		BUY 0 Units @0.0000						
10/29/2018	***-**-960J - MASTRANGELO,	RESOURCE REAL ESTATE TRAILS	0.00	16.48	0.00	16.48	88.0	14.50
	ACCOUNT #: 20002467	BUY 0 Units @0.0000						
10/29/2018	***-**-44IO - MAYO, DEBORAH	RESOURCE REAL ESTATE TRAILS	0.00	25.11	0.00	25.11	88.0	22.10
	ACCOUNT #: 020026000	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>								
10/29/2018	***-**-31IN - WARMUTH, ACCOUNT #: 20032739	RESOURCE REAL ESTATE TRAILS BUY 0 Units @0.0000	0.00	4.27	0.00	4.27	88.0	3.76
10/29/2018	***-**-531J - WILLIAMSON, ACCOUNT #: 20033096	RESOURCE REAL ESTATE TRAILS BUY 0 Units @0.0000	0.00	12.36	0.00	12.36	88.0	10.88
10/29/2018	***-**-65IN - LAZIO, THOMAS ACCOUNT #: 20010459	RESOURCE REAL ESTATE TRAILS BUY 0 Units @0.0000	0.00	18.25	0.00	18.25	88.0	16.06
10/29/2018	***-**-65IN - LAZIO, THOMAS ACCOUNT #: 20010459	RESOURCE REAL ESTATE TRAILS BUY 0 Units @0.0000	0.00	18.31	0.00	18.31	88.0	16.11
10/19/2018	***-**-930J - SANGER, KEVIN ACCOUNT #: LSR010940	STEIN MART INC COM BUY 1000 Units @1.9800	1,980.00	31.99	0.00	31.99	88.0	28.15
10/19/2018	***-**-15IN - PENDRAK, JOHN ACCOUNT #: LSR010948	STEIN MART INC COM BUY 5000 Units @1.9500	9,750.00	129.49	0.00	129.49	88.0	113.95
10/19/2018	***-**-960J - MASTRANGELO, ACCOUNT #: LSR010966	STEIN MART INC COM BUY 1000 Units @1.9500	1,950.00	31.99	0.00	31.99	88.0	28.15
10/19/2018	***-**-80IN - COBB, JAMES ACCOUNT #: LSR011042	STEIN MART INC COM BUY 4000 Units @1.9800	7,920.00	59.49	0.00	59.49	88.0	52.35
10/19/2018	***-**-473J - HUSTON, ACCOUNT #: LSR011228	STEIN MART INC COM BUY 2000 Units @1.9500	3,900.00	59.49	0.00	59.49	88.0	52.35
10/19/2018	***-**-30TR - AND SANDRA ACCOUNT #: LSR011939	STEIN MART INC COM BUY 1000 Units @1.9600	1,960.00	31.99	0.00	31.99	88.0	28.15
10/19/2018	***-**-31IO - JOSEPH, ANN ACCOUNT #: LSR012337	STEIN MART INC COM BUY 1500 Units @1.9500	2,925.00	39.49	0.00	39.49	88.0	34.75
10/19/2018	***-**-188I - BRADLEY, WAYNE ACCOUNT #: LSR012484	STEIN MART INC COM BUY 1500 Units @1.9600	2,940.00	31.99	0.00	31.99	88.0	28.15
10/19/2018	***-**-79TR - OR CYNTHIA ACCOUNT #: LSR012749	STEIN MART INC COM BUY 1500 Units @1.9500	2,925.00	39.49	0.00	39.49	88.0	34.75
10/22/2018	***-**-287I - HINCKLEY, ACCOUNT #: LSR010843	STEIN MART INC COM BUY 1500 Units @1.9600	2,940.00	39.49	0.00	39.49	88.0	34.75
10/22/2018	***-**-506J - CURRIERE JR, MR ACCOUNT #: LSR011121	STEIN MART INC COM BUY 1000 Units @1.9700	1,970.00	31.99	0.00	31.99	88.0	28.15
10/22/2018	***-**-376I - BERBEN, GAIL ACCOUNT #: LSR011380	STEIN MART INC COM BUY 3000 Units @1.9700	5,910.00	59.49	0.00	59.49	88.0	52.35



COMMISSION STATEMENT

October 29, 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) 								
10/22/2018	***-**-22IO - CLINTON, STEPHEN	STEIN MART INC COM	3,940.00	49.49	0.00	49.49	88.0	43.55
	ACCOUNT #: LSR011684	BUY 2000 Units @1.9700						
10/19/2018	***-**-376I - BERBEN, GAIL	TANGER FACTORY OUTLET CTRS INC UNO	2,185.00	6.85	0.00	6.85	88.0	6.03
	ACCOUNT #: LSR011380	BUY 100 Units @21.8500						
10/19/2018	***-**-376I - BERBEN, GAIL	TANGER FACTORY OUTLET CTRS INC UNO	2,185.00	30.85	0.00	30.85	88.0	27.15
	ACCOUNT #: LSR011380	BUY 100 Units @21.8500						
10/22/2018	***-**-663I - LASCALA, DEBORAH	TANGER FACTORY OUTLET CTRS INC UNO	2,198.00	6.98	0.00	6.98	88.0	6.14
	ACCOUNT #: LSR012790	BUY 100 Units @21.9800						
10/22/2018	***-**-663I - LASCALA, DEBORAH	TANGER FACTORY OUTLET CTRS INC UNO	2,198.00	30.98	0.00	30.98	88.0	27.26
	ACCOUNT #: LSR012790	BUY 100 Units @21.9800						
10/22/2018	***-**-755P - SHEPPARD,	THE GROWTH FUND OF AMERICA-529C	50.00	0.50	0.00	0.50	88.0	0.44
	ACCOUNT #: 00084018452	BUY 1 Units @48.6400						
10/08/2018	***-**-480J - EVANS, RICHARD	THE GROWTH FUND OF AMERICA-A	125.00	4.69	0.00	4.69	88.0	4.13
	ACCOUNT #: 00073288662	BUY 2 Units @57.6500						
	* KURT GRUENEWALD SUBTOTAL *		\$123,356.01	\$1,398.55	\$0.00	\$1,398.55		\$1,230.71
	*** OVERRIDE TRANSACTIONS TOTAL ***		\$123,356.01	\$1,398.55	\$0.00	\$1,398.55		\$1,230.71



BROKER #: A76
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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<div>BROKER COMMISSION TOTALS</div>								
						Broker Transactions		\$1,683.93
						Split Transactions		\$0.00
						Override Transactions		\$1,230.71
						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		\$2,914.64
						Year-to-date Earnings		\$227,891.52