



COMMISSION STATEMENT

June 11, 2018

KURT GRUENEWALD
2108 Genesee St.
Utica, NY 13502

BROKER #: A77
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>								
06/04/2018	***-**-366I - GRUENEWALD, ACCOUNT #: LSR010989	AF MODERATE GROWTH AND INCOME-A SELL 67 Units @14.9700	1,000.00	18.00	18.00	0.00	0.0	0.00
05/29/2018	***-**-65CL - GRUENEWALD, K, ACCOUNT #: 03222414918	CAPITAL APPRECIATION C BUY 0 Units @0.0000	50.00	0.50	0.00	0.50	0.0	0.00
05/29/2018	***-**-633J - ACCOUNT #: 08353229688	EQUITY INCOME FUND, INC. A BUY 0 Units @0.0000	175.00	8.31	0.00	8.31	0.0	0.00
06/04/2018	***-**-366I - GRUENEWALD, ACCOUNT #: LSR010989	EQUITY INCOME FUND, INC. A SELL 47 Units @31.9800	1,499.99	18.00	18.00	0.00	0.0	0.00
06/04/2018	***-**-761I - EVANS, DOLORES ACCOUNT #: LSR011024	EQUITY INCOME FUND, INC. A SELL 63 Units @31.9800	2,000.00	18.00	18.00	0.00	0.0	0.00
05/22/2018	***-**-48JT - LEE, DARLENE ACCOUNT #: 08370750926	EQUITY INCOME FUND, INC. C BUY 0 Units @0.0000	50.00	0.50	0.00	0.50	0.0	0.00
06/04/2018	***-**-366I - GRUENEWALD, ACCOUNT #: LSR010989	FUNDAMENTAL INVESTORS-A SELL 90 Units @63.7800	5,752.83	18.00	18.00	0.00	0.0	0.00
05/29/2018	***-**-890I - GURDO, ANTHONY ACCOUNT #: 00087491111	FUNDAMENTAL INVESTORS-C BUY 2 Units @61.9800	150.00	1.50	0.00	1.50	0.0	0.00
06/04/2018	***-**-761I - EVANS, DOLORES ACCOUNT #: LSR011024	FUNDAMENTAL INVESTORS-C SELL 79 Units @63.3500	5,000.03	18.00	18.00	0.00	0.0	0.00
05/29/2018	***-**-65CL - GRUENEWALD, K, ACCOUNT #: 02171825219	GLOBAL OPPORTUNITIES FUND C BUY 0 Units @0.0000	50.00	0.50	0.00	0.50	0.0	0.00
05/29/2018	***-**-13IN - RHYMESTINE, ACCOUNT #: 08191178476	MFS EMERGING MARKETS EQUITY FUND-B BUY 2 Units @32.1400	50.00	2.00	0.00	2.00	0.0	0.00
05/29/2018	***-**-13IN - RHYMESTINE, ACCOUNT #: 08191178476	MFS EMERGING MKT DEBT CL B BUY 3 Units @14.3600	50.00	2.00	0.00	2.00	0.0	0.00
06/01/2018	***-**-31IO - JOSEPH, ANN ACCOUNT #: LSR012337	MFS GLOBAL NEW DISCOVERY FUND CL C BUY 431 Units @19.7300	8,500.00	103.00	18.00	85.00	0.0	0.00
05/25/2018	***-**-094I - KATRENA L ACCOUNT #: 08191140345	MFS GLOBAL TOTAL RETURN FUND-B BUY 3 Units @18.1100	50.00	2.00	0.00	2.00	0.0	0.00
06/04/2018	***-**-761I - EVANS, DOLORES ACCOUNT #: LSR011024	MFS GLOBAL TOTAL RETURN FUND-B SELL 221 Units @18.1200	4,000.01	18.00	18.00	0.00	0.0	0.00
06/04/2018	***-**-761I - EVANS, DOLORES ACCOUNT #: LSR011024	MFS INTERNATIONAL NEW DISCOVERY FUN SELL 229 Units @34.8600	7,999.99	18.00	18.00	0.00	0.0	0.00



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUNDS (continued)								
05/29/2018	***-**-13IN - RHYMESTINE, ACCOUNT #: 08191178476	MFS INTERNATIONAL VALUE FUND-B BUY 2 Units @40.6300	100.00	4.00	0.00	4.00	0.0	0.00
06/04/2018	***-**-366I - GRUENEWALD, ACCOUNT #: LSR010989	MFS TECHNOLOGY CLASS C SELL 27 Units @37.7000	999.99	18.00	18.00	0.00	0.0	0.00
06/01/2018	***-**-53IN - EVANS, ANDREW ACCOUNT #: LSR011483	MFS TECHNOLOGY FUND-B BUY 1 Units @37.4300	50.01	2.00	0.00	2.00	0.0	0.00
05/29/2018	***-**-13IN - RHYMESTINE, ACCOUNT #: 08191178476	MFS TOTAL RETURN FUND-B BUY 3 Units @18.5800	50.00	2.00	0.00	2.00	0.0	0.00
06/01/2018	***-**-53IN - EVANS, ANDREW ACCOUNT #: LSR011483	MFS UTILITIES FUND-B BUY 5 Units @19.8500	100.00	4.00	0.00	4.00	0.0	0.00
05/29/2018	***-**-633J - ACCOUNT #: 05502871176	OPP PORT SERIES: ACTIVE ALLOC A BUY 0 Units @0.0000	175.00	8.31	0.00	8.31	0.0	0.00
05/22/2018	***-**-13IN - BLISS, PATRICK ACCOUNT #: 05521022681	OPPENHEIMER ACTIVE ALLOCATION FUND BUY 0 Units @0.0000	75.00	0.75	0.00	0.75	0.0	0.00
05/22/2018	***-**-48JT - LEE, DARLENE ACCOUNT #: 05521043603	OPPENHEIMER ACTIVE ALLOCATION FUND BUY 0 Units @0.0000	50.00	0.50	0.00	0.50	0.0	0.00
05/29/2018	***-**-775I - BLISS, APRIL ACCOUNT #: 05521022692	OPPENHEIMER ACTIVE ALLOCATION FUND BUY 0 Units @0.0000	90.98	0.91	0.00	0.91	0.0	0.00
05/22/2018	***-**-48JT - LEE, DARLENE ACCOUNT #: 00100021715	OPPENHEIMER GLBL REAL ESTATE FUND C BUY 0 Units @0.0000	50.00	0.50	0.00	0.50	0.0	0.00
05/22/2018	***-**-48JT - LEE, DARLENE ACCOUNT #: 01971019612	OPPENHEIMER INTERNATIONAL DIVERSIFI BUY 0 Units @0.0000	50.00	0.50	0.00	0.50	0.0	0.00
05/29/2018	***-**-633J - ACCOUNT #: 01953330426	OPPENHEIMER INTERNATIONAL DIVERSIFI BUY 0 Units @0.0000	175.00	8.31	0.00	8.31	0.0	0.00
05/29/2018	***-**-633J - ACCOUNT #: 02514987422	OPPENHEIMER SMALL & MID CAP VALUE F BUY 0 Units @0.0000	175.00	8.31	0.00	8.31	0.0	0.00
06/04/2018	***-**-761I - EVANS, DOLORES ACCOUNT #: LSR011024	PUTNAM DIVERSIFIED INCOME-B SELL 714 Units @7.0000	5,000.00	18.00	18.00	0.00	0.0	0.00
06/04/2018	***-**-366I - GRUENEWALD, ACCOUNT #: LSR010989	PUTNAM GLOBAL CONSUMER FUND CL B SELL 70 Units @21.3700	1,500.00	18.00	18.00	0.00	0.0	0.00
06/08/2018	***-**-579J - RHYMESTINE, ACCOUNT #: LSR011081	RESOURCE REAL ESTATE-NFS BUY 1205 Units @10.3700	12,500.00	143.00	18.00	125.00	0.0	0.00



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BROKER TRANSACTIONS (continued)								
<u>PRODUCT CATEGORY: MUTUAL FUNDS (continued)</u>								
06/04/2018	***-**-761I - EVANS, DOLORES	RISING DIVIDENDS FUND A	4,000.00	18.00	18.00	0.00	0.0	0.00
	ACCOUNT #: LSR011024	SELL 200 Units @20.0000						
06/04/2018	***-**-366I - GRUENEWALD,	THE GROWTH FUND OF AMERICA-A	2,000.01	18.00	18.00	0.00	0.0	0.00
	ACCOUNT #: LSR010989	SELL 37 Units @54.0500						
* MUTUAL FUNDS SUBTOTAL *			\$63,518.84	\$519.40	\$252.00	\$267.40		\$0.00
<u>PRODUCT CATEGORY: STOCKS</u>								
06/01/2018	***-**-31IO - JOSEPH, ANN	AQUA AMERICA INC	6,880.00	86.90	19.00	67.90	0.0	0.00
	ACCOUNT #: LSR012337	BUY 200 Units @34.4000						
06/04/2018	***-**-366I - GRUENEWALD,	AVISTA CORP	5,245.00	70.45	17.00	53.45	0.0	0.00
	ACCOUNT #: LSR010989	SELL 100 Units @52.4500						
* STOCKS SUBTOTAL *			\$12,125.00	\$157.35	\$36.00	\$121.35		\$0.00
<u>PRODUCT CATEGORY: VARIABLE ANNUITIES</u>								
06/01/2018	***-**-8126 - MCCARTHY, BRIANN	PACIFIC LIFE SE5-NYB DTCC	35.92	1.08	0.00	1.08	0.0	0.00
	ACCOUNT #: VP71028570	BUY 0 Units @0.0000						
* VARIABLE ANNUITIES SUBTOTAL *			\$35.92	\$1.08	\$0.00	\$1.08		\$0.00
<u>PRODUCT CATEGORY: 529 PLAN</u>								
06/11/2018	***-**-944O - MAYO, DEBORAH	NEW YORK 529 TRAILS	0.00	7.51	0.00	7.51	0.0	0.00
	ACCOUNT #: 77002217601	BUY 0 Units @0.0000						
06/11/2018	***-**-80IN - COBB, JAMES	NEW YORK 529 TRAILS	0.00	30.22	0.00	30.22	0.0	0.00
	ACCOUNT #: 77169961901	BUY 0 Units @0.0000						
06/11/2018	***-**-665P - MCCLUSKY, YVONNE	NEW YORK 529 TRAILS	0.00	0.82	0.00	0.82	0.0	0.00
	ACCOUNT #: 77237884701	BUY 0 Units @0.0000						
06/11/2018	***-**-0069 - KRECIDLO,	NEW YORK 529 TRAILS	0.00	2.03	0.00	2.03	0.0	0.00
	ACCOUNT #: 77308070501	BUY 0 Units @0.0000						
06/11/2018	***-**-614J - BUSHEY, MATTHEW	NEW YORK 529 TRAILS	0.00	3.15	0.00	3.15	0.0	0.00
		BUY 0 Units @0.0000						
06/11/2018	***-**-614J - BUSHEY, MATTHEW	NYA JPM 529 MOD AGE-BASED A	100.00	4.75	0.00	4.75	0.0	0.00
		BUY 0 Units @0.0000						
* 529 PLAN SUBTOTAL *			\$100.00	\$48.48	\$0.00	\$48.48		\$0.00



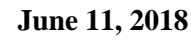
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<u>BROKER TRANSACTIONS (continued)</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
06/11/2018	***-**-5384 - GURDO, JESSICA	NEW YORK 529 TRAILS BUY 0 Units @0.0000	0.00	0.49	0.00	0.49	0.0	0.00
06/11/2018	***-**-0767 - DOVI, ACCOUNT #: 77579193101	NEW YORK 529 TRAILS BUY 0 Units @0.0000	0.00	0.86	0.00	0.86	0.0	0.00
06/11/2018	***-**-251I - SCALISE, MARY ACCOUNT #: 77691153101	NEW YORK 529 TRAILS BUY 0 Units @0.0000	0.00	35.38	0.00	35.38	0.0	0.00
06/11/2018	***-**-635P - LASCALA, DEBORAH ACCOUNT #: 77699193301	NEW YORK 529 TRAILS BUY 0 Units @0.0000	0.00	1.83	0.00	1.83	0.0	0.00
06/11/2018	***-**-065P - CAMPBELL, PAMELA ACCOUNT #: 77830931201	NEW YORK 529 TRAILS BUY 0 Units @0.0000	0.00	0.78	0.00	0.78	0.0	0.00
06/11/2018	***-**-473J - HUSTON, ACCOUNT #: 77852732401	NEW YORK 529 TRAILS BUY 0 Units @0.0000	0.00	14.56	0.00	14.56	0.0	0.00
06/11/2018	***-**-20IR - DEMETRI, AMELIA ACCOUNT #: 77854436501	NEW YORK 529 TRAILS BUY 0 Units @0.0000	0.00	0.99	0.00	0.99	0.0	0.00
06/11/2018	***-**-205P - RHYMESTINE, ERIC ACCOUNT #: 77885699801	NEW YORK 529 TRAILS BUY 0 Units @0.0000	0.00	0.50	0.00	0.50	0.0	0.00
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *			\$0.00	\$55.39	\$0.00	\$55.39		\$0.00
<u>PRODUCT CATEGORY: VARIABLE ANNUITY 12B1 TRAILS</u>								
05/31/2018	***-**-89IN - LEE, ROGER ACCOUNT #: 1200175188	JACKSON 468511480 BUY 0 Units @0.0000	0.00	23.99	0.00	23.99	0.0	0.00
* VARIABLE ANNUITY 12B1 TRAILS SUBTOTAL *			\$0.00	\$23.99	\$0.00	\$23.99		\$0.00
*** BROKER TRANSACTIONS TOTAL ***			\$75,779.76	\$805.69	\$288.00	\$517.69		\$0.00



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				GROSS	CLEARING	NET	BROKER	
DATE	CLIENT	INVESTMENT	AMOUNT	COMMISSION	CHARGE	COMMISSION	RATE	COMMISSION
						<u>BROKER COMMISSION TOTALS</u>		
						Broker Transactions		\$0.00
						Split Transactions		\$0.00
						Override Transactions		\$0.00
						Adjustments		\$0.00
						Payroll Draw		\$0.00
						Base Salary		\$0.00
						Prior Period Balance		\$-275.94
						FINRA Assessment		\$0.00
						SIPC Assessment		\$0.00
Please Retain for Your Records						Balance Forward		\$-275.94
THERE WILL BE NO PAYMENT THIS PERIOD								
						Year-to-date Earnings		\$0.00