



# COMMISSION STATEMENT

## January 08, 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
<b><u>BROKER TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: ALTERNATIVE INVESTMENTS</u></b>								
12/08/2017	***-**-531J - WILLIAMSON,	GWG L BOND - 7 YR BUY 15 Units @1000.0000	15,000.00	900.00	0.00	900.00	0.0	0.00
12/28/2017	***-**-63TR - EVANS, AUDREY J	GWG L BOND - 2YR BUY 10 Units @1000.0000	10,000.00	400.00	0.00	400.00	0.0	0.00
12/08/2017	***-**-531J - WILLIAMSON,	GWG L BOND - 5 YR BUY 10 Units @1000.0000	10,000.00	590.00	0.00	590.00	0.0	0.00
12/19/2017	***-**-72IN - GAVALO, JULIE	GWG L BOND - 5 YR BUY 5 Units @1000.0000	5,000.00	295.00	0.00	295.00	0.0	0.00
12/28/2017	***-**-63TR - EVANS, AUDREY J	GWG L BOND - 5 YR BUY 15 Units @1000.0000	15,000.00	885.00	0.00	885.00	0.0	0.00
12/08/2017	***-**-531J - WILLIAMSON,	GWG PREFERRED STOCK BUY 10 Units @1000.0000	10,000.00	660.00	0.00	660.00	0.0	0.00
12/19/2017	***-**-72IN - GAVALO, JULIE	GWG PREFERRED STOCK BUY 10 Units @1000.0000	10,000.00	660.00	0.00	660.00	0.0	0.00
<b>* ALTERNATIVE INVESTMENTS SUBTOTAL *</b>			<b>\$75,000.00</b>	<b>\$4,390.00</b>	<b>\$0.00</b>	<b>\$4,390.00</b>		<b>\$0.00</b>
<b><u>PRODUCT CATEGORY: MUTUAL FUNDS</u></b>								
01/03/2018	***-**-45IO - JOHNSON, GREGORY	AMERICAN GLOBAL BALANCED CL C ACCOUNT #: LSR011421 SELL 92 Units @32.7300	3,000.00	18.00	18.00	0.00	0.0	0.00
12/27/2017	***-**-65CL - GRUENEWALD, K,	CAPITAL APPRECIATION C ACCOUNT #: 03222414918 BUY 0 Units @0.0000	50.00	0.50	0.00	0.50	0.0	0.00
12/27/2017	***-**-633J -	EQUITY INCOME FUND, INC. A ACCOUNT #: 08353229688 BUY 0 Units @0.0000	175.00	8.31	0.00	8.31	0.0	0.00
12/18/2017	***-**-48JT - LEE, DARLENE	EQUITY INCOME FUND, INC. C ACCOUNT #: 08370750926 BUY 0 Units @0.0000	50.00	0.50	0.00	0.50	0.0	0.00
12/26/2017	***-**-8901 - GURDO, ANTHONY	FUNDAMENTAL INVESTORS-C ACCOUNT #: 00087491111 BUY 2 Units @61.8500	150.00	1.50	0.00	1.50	0.0	0.00
12/28/2017	***-**-861I - SANGER, LAWRENCE	FUNDAMENTAL INVESTORS-C ACCOUNT #: LSR011095 SELL 6 Units @62.1200	399.93	0.00	0.00	0.00	0.0	0.00
12/27/2017	***-**-65CL - GRUENEWALD, K,	GLOBAL OPPORTUNITIES FUND C ACCOUNT #: 02171825219 BUY 0 Units @0.0000	50.00	0.50	0.00	0.50	0.0	0.00
01/03/2018	***-**-45IO - JOHNSON, GREGORY	INCOME FUND OF AMERICA CLASS C ACCOUNT #: LSR011421 SELL 216 Units @23.1900	5,000.00	18.00	18.00	0.00	0.0	0.00



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<b>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: MUTUAL FUNDS (continued)</b>								
12/22/2017	***--06IN - SATTERLY, ACCOUNT #: 08191336006	MFS 08191336006 BUY 3 Units @32.1600	100.00	1.00	0.00	1.00	0.0	0.00
01/03/2018	***--45IO - JOHNSON, GREGORY ACCOUNT #: LSR011421	MFS CONSERVATIVE ALLOCATION CL C SELL 326 Units @15.3400	5,000.00	18.00	18.00	0.00	0.0	0.00
12/26/2017	***--09IN - BATES, CHRISTINE ACCOUNT #: 08191196034	MFS EMERGING MARKETS EQUITY FUND-B BUY 23 Units @32.0100	750.00	30.00	0.00	30.00	0.0	0.00
12/20/2017	***--617I - ESCHE, BEVERLY ACCOUNT #: 08191154979	MFS GLOBAL TOTAL RETURN FUND-B BUY 3 Units @18.6800	50.00	2.00	0.00	2.00	0.0	0.00
12/26/2017	***--094I - KATRENA L ACCOUNT #: 08191140345	MFS GLOBAL TOTAL RETURN FUND-B BUY 3 Units @18.4500	50.00	2.00	0.00	2.00	0.0	0.00
01/03/2018	***--45IO - JOHNSON, GREGORY ACCOUNT #: LSR011421	MFS GLOBAL TOTAL RETURN FUND-C SELL 109 Units @18.3500	2,000.00	18.00	18.00	0.00	0.0	0.00
12/20/2017	***--617I - ESCHE, BEVERLY ACCOUNT #: 08191154979	MFS INTERNATIONAL NEW DISCOVERY FUN BUY 2 Units @33.3400	50.00	2.00	0.00	2.00	0.0	0.00
12/26/2017	***--09IN - BATES, CHRISTINE ACCOUNT #: 08191196034	MFS INTERNATIONAL VALUE FUND-B BUY 18 Units @40.9100	750.00	30.00	0.00	30.00	0.0	0.00
12/26/2017	***--09IN - BATES, CHRISTINE ACCOUNT #: 08191196034	MFS NEW DISCOVERY FUND-B BUY 68 Units @22.0700	1,500.00	60.00	0.00	60.00	0.0	0.00
12/20/2017	***--06IN - SATTERLY, ACCOUNT #: 08191173302	MFS TECHNOLOGY FUND-B BUY 2 Units @32.1900	50.00	2.00	0.00	2.00	0.0	0.00
12/26/2017	***--09IN - BATES, CHRISTINE ACCOUNT #: 08191196034	MFS TOTAL RETURN FUND-B BUY 130 Units @19.1600	2,500.00	100.00	0.00	100.00	0.0	0.00
12/20/2017	***--617I - ESCHE, BEVERLY ACCOUNT #: 08191154979	MFS UTILITIES FUND-B BUY 2 Units @20.0300	50.00	2.00	0.00	2.00	0.0	0.00
12/26/2017	***--09IN - BATES, CHRISTINE ACCOUNT #: 08191196034	MFS UTILITIES FUND-B BUY 50 Units @19.9500	1,000.00	40.00	0.00	40.00	0.0	0.00
01/04/2018	***--0767 - DOVI, ACCOUNT #: 77579193101	NYA JPM 529 AGGR PORTI C BUY 0 Units @0.0000	25.00	0.25	0.00	0.25	0.0	0.00
12/27/2017	***--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
12/18/2017	***--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



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<b><u>BROKER TRANSACTIONS (continued)</u></b>								
<b><u>PRODUCT CATEGORY: MUTUAL FUNDS (continued)</u></b>								
12/18/2017	***-**-48JT - LEE, DARLENE	OPPENHEIMER ACTIVE ALLOCATION FUND	50.00	0.50	0.00	0.50	0.0	0.00
	ACCOUNT #: 05521043603	BUY 0 Units @0.0000						
12/27/2017	***-**-775I - BLISS, APRIL	OPPENHEIMER ACTIVE ALLOCATION FUND	90.98	0.91	0.00	0.91	0.0	0.00
	ACCOUNT #: 05521022692	BUY 0 Units @0.0000						
01/03/2018	***-**-45IO - JOHNSON, GREGORY	OPPENHEIMER ACTIVE ALLOCATION FUND	2,000.00	18.00	18.00	0.00	0.0	0.00
	ACCOUNT #: LSR011421	SELL 138 Units @14.4500						
12/18/2017	***-**-48JT - LEE, DARLENE	OPPENHEIMER GLBL REAL ESTATE FUND C	50.00	0.50	0.00	0.50	0.0	0.00
	ACCOUNT #: 00100021715	BUY 0 Units @0.0000						
12/18/2017	***-**-48JT - LEE, DARLENE	OPPENHEIMER INTERNATIONAL DIVERSIFI	50.00	0.50	0.00	0.50	0.0	0.00
	ACCOUNT #: 01971019612	BUY 0 Units @0.0000						
12/27/2017	***-**-633J -	OPPENHEIMER INTERNATIONAL DIVERSIFI	175.00	8.31	0.00	8.31	0.0	0.00
	ACCOUNT #: 01953330426	BUY 0 Units @0.0000						
12/27/2017	***-**-633J -	OPPENHEIMER SMALL & MID CAP VALUE F	175.00	8.31	0.00	8.31	0.0	0.00
	ACCOUNT #: 02514987422	BUY 0 Units @0.0000						
01/05/2018	***-**-35IN - RUGGIERO, LAURIE	RESOURCE REAL ESTATE-NFS	8,000.00	98.00	18.00	80.00	0.0	0.00
	ACCOUNT #: LSR012314	BUY 795 Units @10.0600						
<b>* MUTUAL FUNDS SUBTOTAL *</b>			<b>\$33,590.91</b>	<b>\$498.65</b>	<b>\$108.00</b>	<b>\$390.65</b>		<b>\$0.00</b>
<b><u>PRODUCT CATEGORY: STOCKS</u></b>								
12/29/2017	***-**-20IO - DEMETRI, AMELIA	GENERAL ELECTRIC CO UNSOLICITED ORD	698.00	26.75	15.80	10.95	0.0	0.00
	ACCOUNT #: LSR010995	BUY 40 Units @17.4500						
<b>* STOCKS SUBTOTAL *</b>			<b>\$698.00</b>	<b>\$26.75</b>	<b>\$15.80</b>	<b>\$10.95</b>		<b>\$0.00</b>
<b><u>PRODUCT CATEGORY: VARIABLE ANNUITIES</u></b>								
12/26/2017	***-**-1351 - LAWRENCE, ANDREW	PACIFIC LIFE SE5-NYB DTCC	344.07	10.32	0.00	10.32	0.0	0.00
	ACCOUNT #: VP71062850	BUY 0 Units @0.0000						
12/26/2017	***-**-1351 - LAWRENCE, ANDREW	PACIFIC LIFE SE5-NYB DTCC	97.93	2.94	0.00	2.94	0.0	0.00
	ACCOUNT #: VP71062850	BUY 0 Units @0.0000						
01/02/2018	***-**-213I - GRUENEWALD,	PACIFIC LIFE SE5-NYB DTCC	171.59	5.15	0.00	5.15	0.0	0.00
	ACCOUNT #: VP71028580	BUY 0 Units @0.0000						
01/02/2018	***-**-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						
<b>* VARIABLE ANNUITIES SUBTOTAL *</b>			<b>\$649.51</b>	<b>\$19.49</b>	<b>\$0.00</b>	<b>\$19.49</b>		<b>\$0.00</b>



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<b>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: 529 PLAN</b>								
01/04/2018	***-**-635P - LASCALA, DEBORAH NYA	JPM 529 AGGR PORTI C	50.00	0.50	0.00	0.50	0.0	0.00
	ACCOUNT #: 77699193301	BUY 0 Units @0.0000						
01/04/2018	***-**-473J - HUSTON,	NYA JPM 529 MOD GROWTH POR C	400.00	4.00	0.00	4.00	0.0	0.00
	ACCOUNT #: 77852732401	BUY 0 Units @0.0000						
12/20/2017	***-**-755P - SHEPPARD,	THE GROWTH FUND OF AMERICA-529C	50.00	0.50	0.00	0.50	0.0	0.00
	ACCOUNT #: 00084018452	BUY 1 Units @46.0500						
<b>* 529 PLAN SUBTOTAL *</b>			<b>\$500.00</b>	<b>\$5.00</b>	<b>\$0.00</b>	<b>\$5.00</b>		<b>\$0.00</b>
<b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</b>								
01/04/2018	***-**-6604 - REYNOLDS, DIANE	BLACKROCK FUNDS	0.00	4.53	0.00	4.53	0.0	0.00
	ACCOUNT #: 5290810273	BUY 0 Units @0.0000						
01/02/2018	***-**-287I - HINCKLEY,	FIDELITY GOVT MMKT CAPITAL RESERVES	0.00	0.00	0.00	0.00	0.0	0.00
	ACCOUNT #: LSR010843	BUY 1 Units @0.0000						
01/02/2018	***-**-00IO - LEE, GARY	FIDELITY GOVT MMKT CAPITAL RESERVES	0.00	0.00	0.00	0.00	0.0	0.00
	ACCOUNT #: LSR011059	BUY 1 Units @0.0000						
01/02/2018	***-**-1320 - EVANS, THOMAS	FIDELITY GOVT MMKT CAPITAL RESERVES	0.00	0.00	0.00	0.00	0.0	0.00
	ACCOUNT #: LSR011074	BUY 1 Units @0.0000						
01/02/2018	***-**-579I - RHYMESTINE,	FIDELITY GOVT MMKT CAPITAL RESERVES	0.00	0.00	0.00	0.00	0.0	0.00
	ACCOUNT #: LSR011082	BUY 1 Units @0.0000						
01/02/2018	***-**-808J - GORMAN, RANDY	FIDELITY GOVT MMKT CAPITAL RESERVES	0.00	0.00	0.00	0.00	0.0	0.00
	ACCOUNT #: LSR011087	BUY 1 Units @0.0000						
01/02/2018	***-**-326J - GRANDE, MR	FIDELITY GOVT MMKT CAPITAL RESERVES	0.00	0.00	0.00	0.00	0.0	0.00
	ACCOUNT #: LSR011089	BUY 1 Units @0.0000						
01/02/2018	***-**-48IO - ANACKER, FBO MRS	FIDELITY GOVT MMKT CAPITAL RESERVES	0.00	0.00	0.00	0.00	0.0	0.00
	ACCOUNT #: LSR011164	BUY 1 Units @0.0000						
01/02/2018	***-**-664J - PFAFF, GEORGE	FIDELITY GOVT MMKT CAPITAL RESERVES	0.00	0.00	0.00	0.00	0.0	0.00
	ACCOUNT #: LSR011184	BUY 1 Units @0.0000						
01/02/2018	***-**-64IO - PFAFF, GEORGE	FIDELITY GOVT MMKT CAPITAL RESERVES	0.00	0.00	0.00	0.00	0.0	0.00
	ACCOUNT #: LSR011185	BUY 1 Units @0.0000						
01/02/2018	***-**-633J -	FIDELITY GOVT MMKT CAPITAL RESERVES	0.00	0.00	0.00	0.00	0.0	0.00
	ACCOUNT #: LSR011732	BUY 1 Units @0.0000						
<b>* MUTUAL FUND 12B1 TRAILS SUBTOTAL *</b>			<b>\$0.00</b>	<b>\$4.53</b>	<b>\$0.00</b>	<b>\$4.53</b>		<b>\$0.00</b>



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<b><u>BROKER TRANSACTIONS (continued)</u></b>								
<b><u>PRODUCT CATEGORY: VARIABLE ANNUITY 12B1 TRAILS</u></b>								
12/29/2017	***-**-86IN - LEE, KEVIN	ALLIANZ TRAILS 018812727	0.00	69.38	0.00	69.38	0.0	0.00
	ACCOUNT #: GAX00761	BUY 0 Units @0.0000						
12/29/2017	***-**-973I - LABAYEWSKI,	HARTFORD LIFE CUSIP 41659Q159-NFS	0.00	68.53	0.00	68.53	0.0	0.00
	ACCOUNT #: 712686815	BUY 0 Units @0.0000						
12/29/2017	***-**-117I - LABAYEWSKI,	HARTFORD LIFE CUSIP 41659Q159-NFS	0.00	89.44	0.00	89.44	0.0	0.00
	ACCOUNT #: 712688346	BUY 0 Units @0.0000						
12/31/2017	***-**-89IN - LEE, ROGER	JACKSON 468511480	0.00	24.23	0.00	24.23	0.0	0.00
	ACCOUNT #: 1200175188	BUY 0 Units @0.0000						
12/31/2017	***-**-65IN - GRUENEWALD, KURT	LINCOLN NATIONAL LIFE CUSIP 5337855	0.00	212.05	0.00	212.05	0.0	0.00
	ACCOUNT #: 951030124	BUY 0 Units @0.0000						
12/30/2017	***-**-00IO - LEE, GARY	NATIONWIDE CUSIP 63890A108-NSCC	0.00	199.82	0.00	199.82	0.0	0.00
	ACCOUNT #: 016295228	BUY 0 Units @0.0000						
01/04/2018	***-**-135I - LAWRENCE, ANDREW	PACIFIC LIFE SE5-NYB DTCC	0.00	0.90	0.00	0.90	0.0	0.00
	ACCOUNT #: VP71062850	BUY 0 Units @0.0000						
12/31/2017	***-**-366I - GRUENEWALD,	PRUDENTIAL VA TRAILS 74429P110	0.00	148.62	0.00	148.62	0.0	0.00
	ACCOUNT #: E1407725	BUY 0 Units @0.0000						
* VARIABLE ANNUITY 12B1 TRAILS SUBTOTAL *			\$0.00	\$812.97	\$0.00	\$812.97		\$0.00
*** BROKER TRANSACTIONS TOTAL ***			\$110,438.42	\$5,757.39	\$123.80	\$5,633.59		\$0.00



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		INVESTMENT	GROSS	CLEARING	NET	BROKER	
DATE	CLIENT	AMOUNT	COMMISSION	CHARGE	COMMISSION	RATE	COMMISSION
BROKER COMMISSION TOTALS							
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							\$-90.82
FINRA Assessment							\$0.00
SIPC Assessment							\$0.00
Please Retain for Your Records							
THERE WILL BE NO PAYMENT THIS PERIOD							
Balance Forward							\$-90.82
Year-to-date Earnings							\$-90.82