



COMMISSION STATEMENT

July 02, 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: ALTERNATIVE INVESTMENTS</u>								
06/29/2018	***-**-376I - BERBEN, GAIL	UNDERWRITER COMM	0.00	87.75	0.00	87.75	0.0	0.00
	ACCOUNT #: 020001194	BUY 0 Units @0.0000						
06/29/2018	***-**-211O - RADELL, SANDRA	UNDERWRITER COMM	0.00	87.75	0.00	87.75	0.0	0.00
		BUY 0 Units @0.0000						
06/29/2018	***-**-614J - BUSHEY, MATTHEW	UNDERWRITER COMM	0.00	87.75	0.00	87.75	0.0	0.00
		BUY 0 Units @0.0000						
06/29/2018	***-**-111O - LYNN G.	UNDERWRITER COMM	0.00	146.25	0.00	146.25	0.0	0.00
	ACCOUNT #: 20001164	BUY 0 Units @0.0000						
* ALTERNATIVE INVESTMENTS SUBTOTAL *			\$0.00	\$409.50	\$0.00	\$409.50		\$0.00
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
06/28/2018	***-**-73TR - WESTCOTT IRRVOC	AMERICAN FUNDS BALANCED PORT CL C	1,000.00	18.00	18.00	0.00	0.0	0.00
	ACCOUNT #: LSR011001	SELL 68 Units @14.6400						
06/22/2018	***-**-726I - YADDAW, DEBRA	AMERICAN GLOBAL BALANCED CL C	20,000.00	218.00	18.00	200.00	0.0	0.00
	ACCOUNT #: LSR012338	BUY 623 Units @32.0900						
06/28/2018	***-**-73TR - WESTCOTT IRRVOC	AMERICAN GLOBAL BALANCED CL C	3,000.01	18.00	18.00	0.00	0.0	0.00
	ACCOUNT #: LSR011001	SELL 95 Units @31.7300						
06/25/2018	***-**-726I - YADDAW, DEBRA	CAPITAL WORLD GROWTH AND INCOME FUN	12,500.00	143.00	18.00	125.00	0.0	0.00
	ACCOUNT #: LSR012338	BUY 250 Units @50.0000						
06/26/2018	***-**-726I - YADDAW, DEBRA	EATON VANCE FLOATING RATE ADVANTAGE	7,500.00	93.00	18.00	75.00	0.0	0.00
	ACCOUNT #: LSR012338	BUY 689 Units @10.8900						
06/28/2018	***-**-73TR - WESTCOTT IRRVOC	EATON VANCE FLOATING RATE ADVANTAGE	2,000.01	0.88	18.00	-17.12	100.0	-17.12
	ACCOUNT #: LSR011001	SELL 184 Units @10.8800						
06/25/2018	***-**-726I - YADDAW, DEBRA	FUNDAMENTAL INVESTORS-C	12,500.03	143.00	18.00	125.00	0.0	0.00
	ACCOUNT #: LSR012338	BUY 202 Units @61.8700						
06/22/2018	***-**-726I - YADDAW, DEBRA	GLOBAL OPPORTUNITIES FUND C	10,000.00	118.00	18.00	100.00	0.0	0.00
	ACCOUNT #: LSR012338	BUY 158 Units @63.4800						
06/27/2018	***-**-930J - SANGER, KEVIN	GLOBAL OPPORTUNITIES FUND C	10,000.00	118.00	18.00	100.00	0.0	0.00
	ACCOUNT #: LSR010940	BUY 164 Units @61.1400						
06/27/2018	***-**-35IN - RUGGIERO, LAURIE	GLOBAL OPPORTUNITIES FUND C	10,000.00	118.00	18.00	100.00	0.0	0.00
	ACCOUNT #: LSR012314	BUY 164 Units @61.1400						
06/25/2018	***-**-726I - YADDAW, DEBRA	INCOME FUND OF AMERICA CLASS C	14,999.99	168.00	18.00	150.00	0.0	0.00
	ACCOUNT #: LSR012338	BUY 671 Units @22.3400						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUNDS (continued)								
06/26/2018	***-**-726I - YADDAW, DEBRA	LORD ABBETT SHORT DURATION INCOME C	10,000.00	118.00	18.00	100.00	0.0	0.00
	ACCOUNT #: LSR012338	BUY 2375 Units @4.2100						
06/22/2018	***-**-06IN - SATTERLY,	MFS 08191336006	100.00	1.00	0.00	1.00	0.0	0.00
	ACCOUNT #: 08191336006	BUY 3 Units @31.5600						
06/22/2018	***-**-726I - YADDAW, DEBRA	MFS CONSERVATIVE ALLOCATION CL C	15,000.00	168.00	18.00	150.00	0.0	0.00
	ACCOUNT #: LSR012338	BUY 978 Units @15.3400						
06/25/2018	***-**-37IO - DAVIDSON,	MFS CONSERVATIVE ALLOCATION CL C	499.99	18.00	18.00	0.00	0.0	0.00
	ACCOUNT #: LSR012268	SELL 33 Units @15.2600						
06/28/2018	***-**-73TR - WESTCOTT IRRVOC	MFS CONSERVATIVE ALLOCATION CL C	1,000.00	18.00	18.00	0.00	0.0	0.00
	ACCOUNT #: LSR011001	SELL 66 Units @15.2100						
06/18/2018	***-**-53RI - FALCHI, VALERIE	MFS GLOBAL TOTAL RETURN FUND-B	75.00	3.00	0.00	3.00	0.0	0.00
	ACCOUNT #: 08191172002	BUY 4 Units @18.0400						
06/20/2018	***-**-7617 - ESCHE, BEVERLY	MFS GLOBAL TOTAL RETURN FUND-B	50.00	2.00	0.00	2.00	0.0	0.00
	ACCOUNT #: 08191154979	BUY 3 Units @17.9800						
06/25/2018	***-**-094I - KATRENA L	MFS GLOBAL TOTAL RETURN FUND-B	50.00	2.00	0.00	2.00	0.0	0.00
	ACCOUNT #: 08191140345	BUY 3 Units @17.9000						
06/20/2018	***-**-7617 - ESCHE, BEVERLY	MFS INTERNATIONAL NEW DISCOVERY FUN	50.00	2.00	0.00	2.00	0.0	0.00
	ACCOUNT #: 08191154979	BUY 1 Units @34.3400						
06/15/2018	***-**-213I - GRUENEWALD,	MFS NEW DISCOVERY FUND-B	100.00	4.00	0.00	4.00	0.0	0.00
	ACCOUNT #: 08190131132	BUY 4 Units @25.9300						
06/22/2018	***-**-726I - YADDAW, DEBRA	MFS TECHNOLOGY CLASS C	8,499.99	103.00	18.00	85.00	0.0	0.00
	ACCOUNT #: LSR012338	BUY 223 Units @38.0500						
06/25/2018	***-**-37IO - DAVIDSON,	MFS TECHNOLOGY CLASS C	1,250.00	18.00	18.00	0.00	0.0	0.00
	ACCOUNT #: LSR012268	SELL 34 Units @37.0600						
06/15/2018	***-**-213I - GRUENEWALD,	MFS TECHNOLOGY FUND-B	100.00	4.00	0.00	4.00	0.0	0.00
	ACCOUNT #: 08190131132	BUY 3 Units @38.5900						
06/20/2018	***-**-06IN - SATTERLY,	MFS TECHNOLOGY FUND-B	50.00	2.00	0.00	2.00	0.0	0.00
	ACCOUNT #: 08191173302	BUY 1 Units @38.8400						
06/15/2018	***-**-094I - CIRILLO, CARL	MFS UTILITIES FUND-B	35.00	1.40	0.00	1.40	0.0	0.00
	ACCOUNT #: 08190127967	BUY 2 Units @19.9500						
06/15/2018	***-**-606I - LEWIS, TAMARA	MFS UTILITIES FUND-B	50.00	2.00	0.00	2.00	0.0	0.00
	ACCOUNT #: 08191352846	BUY 3 Units @19.9500						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUNDS (continued)								
06/20/2018	***-**-7617 - ESCHE, BEVERLY	MFS UTILITIES FUND-B	50.00	2.00	0.00	2.00	0.0	0.00
	ACCOUNT #: 08191154979	BUY 2 Units @20.0300						
06/22/2018	***-**-726I - YADDAW, DEBRA	MFS UTILITIES FUND-C	7,500.00	93.00	18.00	75.00	0.0	0.00
	ACCOUNT #: LSR012338	BUY 372 Units @20.1400						
06/26/2018	***-**-726I - YADDAW, DEBRA	PUTNAM GLOBAL CONSUMER FUND CL C	8,499.99	103.00	18.00	85.00	0.0	0.00
	ACCOUNT #: LSR012338	BUY 393 Units @21.6100						
06/27/2018	***-**-930J - SANGER, KEVIN	PUTNAM GLOBAL CONSUMER FUND CL C	8,500.00	103.00	18.00	85.00	0.0	0.00
	ACCOUNT #: LSR010940	BUY 399 Units @21.3100						
06/27/2018	***-**-513I - RHYMESTINE,	PUTNAM GROWTH OPPORTUNITIES FUND CL	8,500.01	103.00	18.00	85.00	0.0	0.00
	ACCOUNT #: LSR012457	BUY 290 Units @29.2800						
06/28/2018	***-**-726I - YADDAW, DEBRA	PUTNAM GROWTH OPPORTUNITIES FUND CL	8,499.99	103.00	18.00	85.00	0.0	0.00
	ACCOUNT #: LSR012338	BUY 287 Units @29.6200						
06/25/2018	***-**-726I - YADDAW, DEBRA	RESOURCE CREDIT INCOME FUND C	15,000.00	168.00	18.00	150.00	0.0	0.00
	ACCOUNT #: LSR012338	BUY 1340 Units @11.1900						
06/28/2018	***-**-805X - GATES, ROGER	RESOURCE CREDIT INCOME FUND C	15,000.00	168.00	18.00	150.00	0.0	0.00
	ACCOUNT #: LSR012690	BUY 1343 Units @11.1700						
* MUTUAL FUNDS SUBTOTAL *			\$211,960.01	\$2,465.28	\$432.00	\$2,033.28		\$-17.12
PRODUCT CATEGORY: STOCKS								
06/26/2018	***-**-726I - YADDAW, DEBRA	BERKSHIRE HATHAWAY INC DEL CL B NEW	9,362.50	111.62	18.00	93.62	0.0	0.00
	ACCOUNT #: LSR012338	BUY 50 Units @187.2500						
06/28/2018	***-**-930J - SANGER, KEVIN	BLOCK H & R INC	4,554.00	77.49	19.00	58.49	0.0	0.00
	ACCOUNT #: LSR010940	BUY 200 Units @22.7700						
06/25/2018	***-**-960J - MASTRANGELO,	CREDIT SUISSE GROUP SPON ADR-REP 1	3,494.07	69.99	19.66	50.33	0.0	0.00
	ACCOUNT #: LSR010966	SELL 233 Units @14.9960						
06/27/2018	***-**-15IN - PENDRAK, JOHN	DENBURY RES INC DEL COM USD0.001	2,450.00	57.49	25.00	32.49	0.0	0.00
	ACCOUNT #: LSR010948	SELL 500 Units @4.9000						
06/28/2018	***-**-930J - SANGER, KEVIN	INTEL CORP SOLICITED ORDER	4,925.30	48.75	18.00	30.75	0.0	0.00
	ACCOUNT #: LSR010940	BUY 100 Units @49.2530						
06/28/2018	***-**-930J - SANGER, KEVIN	INTEL CORP SOLICITED ORDER	4,926.00	48.75	0.00	48.75	0.0	0.00
	ACCOUNT #: LSR010940	BUY 100 Units @49.2600						
06/28/2018	***-**-366I - GRUENEWALD,	LOXO ONCOLOGY INC	8,450.00	102.50	16.00	86.50	0.0	0.00
	ACCOUNT #: LSR010989	SELL 50 Units @169.0000						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: STOCKS (continued)								
06/22/2018	***-**-366I - GRUENEWALD, ACCOUNT #: LSR010989	NETFLIX COM INC COM UNSOLICITED ORD BUY 20 Units @416.0000	8,320.00	101.20	18.00	83.20	0.0	0.00
06/22/2018	***-**-366S - GRUENEWALD, ACCOUNT #: LSR010990	NETFLIX COM INC COM UNSOLICITED ORD BUY 25 Units @415.0000	10,375.00	121.86	18.00	103.86	0.0	0.00
06/28/2018	***-**-48IO - CLARK, PATRICK ACCOUNT #: LSR010911	NORDIC AMERICAN TANKERS LIMITE COM BUY 2500 Units @2.6200	6,550.00	97.49	65.00	32.49	0.0	0.00
06/28/2018	***-**-89IN - LEE, ROGER ACCOUNT #: LSR011166	NORDIC AMERICAN TANKERS LIMITE COM BUY 1000 Units @2.6200	2,620.00	49.99	35.00	14.99	0.0	0.00
06/28/2018	***-**-653I - KOCHEM, CLINTON ACCOUNT #: LSR011300	NORDIC AMERICAN TANKERS LIMITE COM BUY 1000 Units @2.6200	2,620.00	49.99	35.00	14.99	0.0	0.00
06/28/2018	***-**-31IO - JOSEPH, ANN ACCOUNT #: LSR012337	NORDIC AMERICAN TANKERS LIMITE COM BUY 1500 Units @2.6200	3,930.00	67.49	45.00	22.49	0.0	0.00
06/28/2018	***-**-653I - KOCHEM, CLINTON ACCOUNT #: LSR011300	SECTOR SPDR TR SHS BEN INT UTILITIE SELL 100 Units @51.8950	5,189.50	77.49	17.00	60.49	0.0	0.00
06/25/2018	***-**-960J - MASTRANGELO, ACCOUNT #: LSR010966	STEIN MART INC COM SELL 1000 Units @2.7400	2,740.00	59.99	18.00	41.99	0.0	0.00
06/28/2018	***-**-48IO - CLARK, PATRICK ACCOUNT #: LSR010911	STEIN MART INC COM BUY 2500 Units @2.4800	6,200.00	77.49	18.00	59.49	0.0	0.00
06/28/2018	***-**-930J - SANGER, KEVIN ACCOUNT #: LSR010940	STEIN MART INC COM BUY 2000 Units @2.5400	5,080.00	77.49	18.00	59.49	0.0	0.00
06/28/2018	***-**-960J - MASTRANGELO, ACCOUNT #: LSR010966	STEIN MART INC COM BUY 1500 Units @2.4400	3,660.00	1,012.35	18.00	994.35	0.0	0.00
06/28/2018	***-**-653I - KOCHEM, CLINTON ACCOUNT #: LSR011300	STEIN MART INC COM BUY 1500 Units @2.4300	3,645.00	57.49	18.00	39.49	0.0	0.00
06/28/2018	***-**-31IO - JOSEPH, ANN ACCOUNT #: LSR012337	STEIN MART INC COM BUY 1500 Units @2.4800	3,720.00	67.49	18.00	49.49	0.0	0.00
* STOCKS SUBTOTAL *			\$102,811.37	\$2,434.40	\$456.66	\$1,977.74		\$0.00



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: 529 PLAN								
06/29/2018	***-**-20IR - DEMETRI, AMELIA	NY 529 ADDITIONAL DEPOSIT	50.00	2.38	0.00	2.38	0.0	0.00
	ACCOUNT #: 77854436501	BUY 0 Units @0.0000						
		* 529 PLAN SUBTOTAL *	\$50.00	\$2.38	\$0.00	\$2.38		\$0.00
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS								
07/02/2018	***-**-6604 - REYNOLDS, DIANE	BLACKROCK TRAILS	0.00	4.72	0.00	4.72	0.0	0.00
	ACCOUNT #: 5290810273	BUY 0 Units @0.0000						
07/02/2018	***-**-959I - FRANZ, PAUL	BLACKROCK US OPPORT CL A	0.00	0.39	0.00	0.39	0.0	0.00
	ACCOUNT #: LSR010959	BUY 1 Units @0.0000						
07/02/2018	***-**-12IN - GRUENEWALD,	FIDELITY CASH MM	0.00	0.00	0.00	0.00	0.0	0.00
	ACCOUNT #: LSR011615	BUY 1 Units @0.0000						
07/02/2018	***-**-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						
07/02/2018	***-**-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						
07/02/2018	***-**-132O - 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						
07/02/2018	***-**-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						
07/02/2018	***-**-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						
07/02/2018	***-**-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						
07/02/2018	***-**-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						
07/02/2018	***-**-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						
07/02/2018	***-**-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						
07/02/2018	***-**-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						
07/02/2018	***-**-31IO - JOSEPH, ANN	FIDELITY GOVT MMKT CAPITAL RESERVES	0.00	0.00	0.00	0.00	0.0	0.00
	ACCOUNT #: LSR012337	BUY 1 Units @0.0000						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
07/02/2018	***-**-726I - YADDAW, DEBRA	FIDELITY GOVT MMKT CAPITAL RESERVES	0.00	0.00	0.00	0.00	0.0	0.00
	ACCOUNT #: LSR012338	BUY 1 Units @0.0000						
07/02/2018	***-**-52IN - ROBERTS, LILLIAN	FIDELITY GOVT MMKT CAPITAL RESERVES	0.00	0.00	0.00	0.00	0.0	0.00
	ACCOUNT #: LSR012352	BUY 1 Units @0.0000						
07/02/2018	***-**-22IN - CLINTON, STEPHEN	FIDELITY GOVT MMKT CAPITAL RESERVES	0.00	0.00	0.00	0.00	0.0	0.00
	ACCOUNT #: LSR012432	BUY 1 Units @0.0000						
07/02/2018	***-**-188I - BRADLEY, WAYNE	FIDELITY GOVT MMKT CAPITAL RESERVES	0.00	0.00	0.00	0.00	0.0	0.00
	ACCOUNT #: LSR012484	BUY 1 Units @0.0000						
07/02/2018	***-**-617I - ESCHE, BEVERLY	FIDELITY GOVT MMKT CAPITAL RESERVES	0.00	0.00	0.00	0.00	0.0	0.00
	ACCOUNT #: LSR012614	BUY 1 Units @0.0000						
07/02/2018	***-**-851K - LALLIER, JAMES	FIDELITY GOVT MMKT CAPITAL RESERVES	0.00	0.00	0.00	0.00	0.0	0.00
	ACCOUNT #: LSR012645	BUY 1 Units @0.0000						
07/02/2018	***-**-32IO - WITT, DEBORAH	FIDELITY GOVT MMKT DAILY MONEY CLAS	0.00	0.57	0.00	0.57	0.0	0.00
	ACCOUNT #: LSR012285	BUY 1 Units @0.0000						
06/15/2018	***-**-213I - GRUENEWALD,	MFS GLOBAL NEW DISCOVERY FUND CL B	100.00	4.00	0.00	4.00	0.0	0.00
	ACCOUNT #: 08190131132	BUY 5 Units @20.0200						
	* MUTUAL FUND 12B1 TRAILS SUBTOTAL *		\$100.00	\$9.68	\$0.00	\$9.68		\$0.00
PRODUCT CATEGORY: VARIABLE ANNUITY 12B1 TRAILS								
06/29/2018	***-**-86IN - LEE, KEVIN	ALLIANZ TRAILS 018812727	0.00	67.81	0.00	67.81	0.0	0.00
	ACCOUNT #: GAX00761	BUY 0 Units @0.0000						
	* VARIABLE ANNUITY 12B1 TRAILS SUBTOTAL *		\$0.00	\$67.81	\$0.00	\$67.81		\$0.00
	*** BROKER TRANSACTIONS TOTAL ***		\$314,921.38	\$5,389.05	\$888.66	\$4,500.39		\$-17.12



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		INVESTMENT	GROSS	CLEARING	NET	BROKER
DATE	CLIENT	AMOUNT	COMMISSION	CHARGE	COMMISSION	COMMISSION
<div></div>						
BROKER COMMISSION TOTALS						
				Broker Transactions		\$-17.12
				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		\$-293.06
THERE WILL BE NO PAYMENT THIS PERIOD				Year-to-date Earnings		\$0.00