



# COMMISSION STATEMENT

## May 28, 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: MUTUAL FUNDS</u></b>								
05/21/2018	***-**-22IN - CLINTON, STEPHEN	AMERICAN GLOBAL BALANCED CL C	3,500.00	53.00	18.00	35.00	0.0	0.00
	ACCOUNT #: LSR012432	BUY 107 Units @32.6700						
05/21/2018	***-**-851K - LALLIER, JAMES	CAPITAL INCOME BUILDER-A	6,402.48	18.00	18.00	0.00	0.0	0.00
	ACCOUNT #: LSR012645	SELL 104 Units @61.3100						
05/15/2018	***-**-0069 - KRECIDLO,	CAPITAL WORLD GROWTH AND INCOME FUN	75.00	0.75	0.00	0.75	0.0	0.00
	ACCOUNT #: 00083510637	BUY 1 Units @51.8400						
05/15/2018	***-**-2855 - KRECIDLO, MARTA	CAPITAL WORLD GROWTH AND INCOME FUN	75.00	0.75	0.00	0.75	0.0	0.00
	ACCOUNT #: 00083510745	BUY 1 Units @51.8400						
05/15/2018	***-**-680I - HARRELL, DARYL	CAPITAL WORLD GROWTH AND INCOME FUN	50.00	0.50	0.00	0.50	0.0	0.00
	ACCOUNT #: 00083996385	BUY 1 Units @51.8400						
05/21/2018	***-**-851K - LALLIER, JAMES	FUNDAMENTAL INVESTORS-A	8,006.77	18.00	18.00	0.00	0.0	0.00
	ACCOUNT #: LSR012645	SELL 125 Units @63.8000						
05/15/2018	***-**-680I - HARRELL, DARYL	FUNDAMENTAL INVESTORS-C	50.00	0.50	0.00	0.50	0.0	0.00
	ACCOUNT #: 00083996385	BUY 1 Units @62.9300						
05/21/2018	***-**-851K - LALLIER, JAMES	INTERNATIONAL GROWTH AND INCOME-A	4,698.88	18.00	18.00	0.00	0.0	0.00
	ACCOUNT #: LSR012645	SELL 133 Units @35.2000						
05/22/2018	***-**-06IN - SATTERLY,	MFS 08191336006	100.00	1.00	0.00	1.00	0.0	0.00
	ACCOUNT #: 08191336006	BUY 3 Units @31.2700						
05/17/2018	***-**-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 @18.1600						
05/21/2018	***-**-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 @18.1900						
05/21/2018	***-**-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 @34.6800						
05/21/2018	***-**-06IN - SATTERLY,	MFS TECHNOLOGY FUND-B	50.00	2.00	0.00	2.00	0.0	0.00
	ACCOUNT #: 08191173302	BUY 1 Units @36.4000						
05/21/2018	***-**-7617 - ESCHE, BEVERLY	MFS UTILITIES FUND-B	50.00	2.00	0.00	2.00	0.0	0.00
	ACCOUNT #: 08191154979	BUY 3 Units @19.8400						
05/15/2018	***-**-680I - HARRELL, DARYL	NEW WORLD FUND-C	50.00	0.50	0.00	0.50	0.0	0.00
	ACCOUNT #: 00083996385	BUY 1 Units @65.3500						
05/17/2018	***-**-513I - RHYMESTINE,	PUTNAM GLOBAL CONSUMER FUND CL C	7,500.00	93.00	18.00	75.00	0.0	0.00
	ACCOUNT #: LSR012457	BUY 355 Units @21.1100						



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<b>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: MUTUAL FUNDS (continued)</b>								
05/21/2018	***-**-22IN - CLINTON, STEPHEN	PUTNAM GLOBAL CONSUMER FUND CL C	3,000.00	48.00	18.00	30.00	0.0	0.00
	ACCOUNT #: LSR012432	BUY 142 Units @21.1900						
05/15/2018	***-**-680I - HARRELL, DARYL	THE GROWTH FUND OF AMERICA-C	50.00	0.50	0.00	0.50	0.0	0.00
	ACCOUNT #: 00083996385	BUY 1 Units @48.9700						
05/21/2018	***-**-851K - LALLIER, JAMES	THE INCOME FUND OF AMERICA-A	4,947.20	18.00	18.00	0.00	0.0	0.00
	ACCOUNT #: LSR012645	SELL 214 Units @23.0700						
<b>* MUTUAL FUNDS SUBTOTAL *</b>			<b>\$38,780.33</b>	<b>\$281.50</b>	<b>\$126.00</b>	<b>\$155.50</b>		<b>\$0.00</b>
<b>PRODUCT CATEGORY: STOCKS</b>								
05/18/2018	***-**-31IO - JOSEPH, ANN	EATON VANCE LTD DURATION INCOME FD	1,275.00	18.75	17.00	1.75	0.0	0.00
	ACCOUNT #: LSR012337	BUY 100 Units @12.7500						
05/18/2018	***-**-31IO - JOSEPH, ANN	EATON VANCE LTD DURATION INCOME FD	1,275.00	18.75	2.00	16.75	0.0	0.00
	ACCOUNT #: LSR012337	BUY 100 Units @12.7500						
05/18/2018	***-**-31IO - JOSEPH, ANN	EATON VANCE LTD DURATION INCOME FD	1,275.00	18.75	2.00	16.75	0.0	0.00
	ACCOUNT #: LSR012337	BUY 100 Units @12.7500						
05/18/2018	***-**-513I - RHYMESTINE,	EATON VANCE LTD DURATION INCOME FD	1,275.00	18.75	17.00	1.75	0.0	0.00
	ACCOUNT #: LSR012457	BUY 100 Units @12.7500						
05/18/2018	***-**-513I - RHYMESTINE,	EATON VANCE LTD DURATION INCOME FD	1,275.00	18.75	2.00	16.75	0.0	0.00
	ACCOUNT #: LSR012457	BUY 100 Units @12.7500						
05/18/2018	***-**-513I - RHYMESTINE,	EATON VANCE LTD DURATION INCOME FD	994.50	14.63	1.56	13.07	0.0	0.00
	ACCOUNT #: LSR012457	BUY 78 Units @12.7500						
05/18/2018	***-**-513I - RHYMESTINE,	EATON VANCE LTD DURATION INCOME FD	280.50	4.13	0.44	3.69	0.0	0.00
	ACCOUNT #: LSR012457	BUY 22 Units @12.7500						
05/22/2018	***-**-22IN - CLINTON, STEPHEN	EATON VANCE LTD DURATION INCOME FD	939.80	14.73	16.48	-1.75	100.0	-1.75
	ACCOUNT #: LSR012432	BUY 74 Units @12.7000						
05/22/2018	***-**-22IN - CLINTON, STEPHEN	EATON VANCE LTD DURATION INCOME FD	2,235.20	35.02	3.52	31.50	0.0	0.00
	ACCOUNT #: LSR012432	BUY 176 Units @12.7000						
05/17/2018	***-**-366O - GRUENEWALD,	LOXO ONCOLOGY INC	2,004.88	38.10	15.24	22.86	0.0	0.00
	ACCOUNT #: LSR010987	BUY 12 Units @167.0730						
05/18/2018	***-**-15IN - PENDRAK, JOHN	STEIN MART INC COM	19,440.00	344.14	18.00	326.14	0.0	0.00
	ACCOUNT #: LSR010948	BUY 6000 Units @3.2400						
05/21/2018	***-**-930I - SANGER, KEVIN	STEIN MART INC COM	2,930.00	97.49	18.00	79.49	0.0	0.00
	ACCOUNT #: LSR010941	BUY 1000 Units @2.9300						



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<b><u>BROKER TRANSACTIONS (continued)</u></b>								
<b><u>PRODUCT CATEGORY: STOCKS (continued)</u></b>								
05/21/2018	***-**-15IN - PENDRAK, JOHN	STEIN MART INC COM	5,500.00	97.99	18.00	79.99	0.0	0.00
	ACCOUNT #: LSR010948	BUY 2000 Units @2.7500						
05/21/2018	***-**-960J - MASTRANGELO,	STEIN MART INC COM	2,820.00	57.49	18.00	39.49	0.0	0.00
	ACCOUNT #: LSR010966	BUY 1000 Units @2.8200						
05/21/2018	***-**-579J - RHYMESTINE,	STEIN MART INC COM	5,740.00	67.49	18.00	49.49	0.0	0.00
	ACCOUNT #: LSR011081	BUY 2000 Units @2.8700						
		<b>* STOCKS SUBTOTAL *</b>	<b>\$49,259.88</b>	<b>\$864.96</b>	<b>\$167.24</b>	<b>\$697.72</b>		<b>\$-1.75</b>
<b><u>PRODUCT CATEGORY: 529 PLAN</u></b>								
05/15/2018	***-**-5375 - CARTER, LISA	AMERICAN BALANCED FUND-529C	300.00	3.00	0.00	3.00	0.0	0.00
	ACCOUNT #: 00083996363	BUY 11 Units @27.0000						
		<b>* 529 PLAN SUBTOTAL *</b>	<b>\$300.00</b>	<b>\$3.00</b>	<b>\$0.00</b>	<b>\$3.00</b>		<b>\$0.00</b>
<b><u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u></b>								
05/28/2018	***-**-6604 - REYNOLDS, DIANE	BLACKROCK TRAILS	0.00	4.54	0.00	4.54	0.0	0.00
	ACCOUNT #: 5290810273	BUY 0 Units @0.0000						
		<b>* MUTUAL FUND 12B1 TRAILS SUBTOTAL *</b>	<b>\$0.00</b>	<b>\$4.54</b>	<b>\$0.00</b>	<b>\$4.54</b>		<b>\$0.00</b>
		<b>*** BROKER TRANSACTIONS TOTAL ***</b>	<b>\$88,340.21</b>	<b>\$1,154.00</b>	<b>\$293.24</b>	<b>\$860.76</b>		<b>\$-1.75</b>



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		INVESTMENT	GROSS	CLEARING	NET	BROKER		
DATE	CLIENT		AMOUNT	COMMISSION	CHARGE	COMMISSION	RATE	COMMISSION
<b><u>BROKER COMMISSION TOTALS</u></b>								
				Broker Transactions		\$-1.75		
				Split Transactions		\$0.00		
				Override Transactions		\$0.00		
				Adjustments		\$0.00		
				Payroll Draw		\$0.00		
				Base Salary		\$0.00		
				Prior Period Balance		\$-268.19		
				FINRA Assessment		\$0.00		
				SIPC Assessment		\$0.00		
				Please Retain for Your Records				
				THERE WILL BE NO PAYMENT THIS PERIOD				
				Balance Forward		\$-269.94		
				Year-to-date Earnings		\$0.00		