



COMMISSION STATEMENT

December 03, 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>								
11/29/2018	***-**-73TR - WESTCOTT IRRVOC ACCOUNT #: LSR011001	AMERICAN FUNDS BALANCED PORT CL C SELL 636 Units @14.3700	9,143.65	19.99	18.00	1.99	0.0	0.00
11/29/2018	***-**-448X - ANACKER, SUSAN ACCOUNT #: LSR011578	AMERICAN GLOBAL BALANCED CL C BUY 179 Units @30.6700	5,499.99	73.00	18.00	55.00	0.0	0.00
/ /	***-**-6604 - REYNOLDS, DIANE ACCOUNT #: 5290810273	BLACKROCK TRAILS BUY 0 Units @0.0000	0.00	3.61	0.00	3.61	0.0	0.00
11/26/2018	***-**-8901 - GURDO, ANTHONY ACCOUNT #: 00087491111	FUNDAMENTAL INVESTORS-C BUY 3 Units @59.7600	150.00	1.50	0.00	1.50	0.0	0.00
11/19/2018	***-**-53RI - FALCHI, VALERIE ACCOUNT #: 08191172002	MFS GLOBAL TOTAL RETURN FUND-B BUY 4 Units @17.4300	75.00	3.00	0.00	3.00	0.0	0.00
11/20/2018	***-**-7617 - ESCHE, BEVERLY ACCOUNT #: 08191154979	MFS GLOBAL TOTAL RETURN FUND-B BUY 3 Units @17.2900	50.00	2.00	0.00	2.00	0.0	0.00
11/20/2018	***-**-7617 - ESCHE, BEVERLY ACCOUNT #: 08191154979	MFS INTERNATIONAL NEW DISCOVERY FUN BUY 2 Units @30.3800	50.00	2.00	0.00	2.00	0.0	0.00
11/15/2018	***-**-213I - GRUENEWALD, ACCOUNT #: 08190131132	MFS NEW DISCOVERY FUND-B BUY 4 Units @23.6400	100.00	4.00	0.00	4.00	0.0	0.00
11/15/2018	***-**-213I - GRUENEWALD, ACCOUNT #: 08190131132	MFS TECHNOLOGY FUND-B BUY 3 Units @34.4700	100.00	4.00	0.00	4.00	0.0	0.00
11/20/2018	***-**-06IN - SATTERLY, ACCOUNT #: 08191173302	MFS TECHNOLOGY FUND-B BUY 2 Units @32.3700	50.00	2.00	0.00	2.00	0.0	0.00
11/15/2018	***-**-094I - CIRILLO, CARL ACCOUNT #: 08190127967	MFS UTILITIES FUND-B BUY 2 Units @20.0700	35.00	1.40	0.00	1.40	0.0	0.00
11/15/2018	***-**-606I - LEWIS, TAMARA ACCOUNT #: 08191352846	MFS UTILITIES FUND-B BUY 2 Units @20.0700	50.00	2.00	0.00	2.00	0.0	0.00
11/20/2018	***-**-7617 - ESCHE, BEVERLY ACCOUNT #: 08191154979	MFS UTILITIES FUND-B BUY 2 Units @20.0100	50.00	2.00	0.00	2.00	0.0	0.00
11/29/2018	***-**-63TR - EVANS, AUDREY J ACCOUNT #: LSR011036	PUTNAM GLOBAL CONSUMER FUND CL B SELL 49 Units @20.5100	1,000.01	18.00	18.00	0.00	0.0	0.00
11/29/2018	***-**-506J - CURRIERE JR, MR ACCOUNT #: LSR011121	PUTNAM GLOBAL CONSUMER FUND CL B SELL 49 Units @20.5100	1,000.01	18.00	18.00	0.00	0.0	0.00
11/29/2018	***-**-48IO - ANACKER, FBO MRS ACCOUNT #: LSR011164	PUTNAM GLOBAL CONSUMER FUND CL B SELL 73 Units @20.5100	1,500.00	18.00	18.00	0.00	0.0	0.00



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUNDS (continued)								
11/28/2018	***-**-22IO - CLINTON, STEPHEN	PUTNAM GLOBAL HEALTH CARE FD-A	1,000.02	18.00	18.00	0.00	0.0	0.00
	ACCOUNT #: LSR011684	SELL 19 Units @52.7300						
11/29/2018	***-**-80IN - COBB, JAMES	PUTNAM GROWTH OPPORTUNITIES FUND CL	1,500.00	18.00	18.00	0.00	0.0	0.00
	ACCOUNT #: LSR011042	SELL 50 Units @29.7200						
11/28/2018	***-**-22IO - CLINTON, STEPHEN	PUTNAM SMALL CAP VALUE FUND-A	1,500.00	18.00	18.00	0.00	0.0	0.00
	ACCOUNT #: LSR011684	SELL 120 Units @12.5200						
* MUTUAL FUNDS SUBTOTAL *			\$22,853.68	\$228.50	\$144.00	\$84.50		\$0.00
PRODUCT CATEGORY: STOCKS								
11/29/2018	***-**-73TR - WESTCOTT IRRVOC	APOLLO INVT CORP COM SH BEN INT SOL	3,426.72	63.49	18.00	45.49	0.0	0.00
	ACCOUNT #: LSR011001	SELL 649 Units @5.2800						
11/27/2018	***-**-579I - RHYMESTINE,	BLOCK H & R INC	2,784.00	49.99	17.00	32.99	0.0	0.00
	ACCOUNT #: LSR011082	BUY 100 Units @27.8400						
11/27/2018	***-**-15IN - PENDRAK, JOHN	CAMECO CORP COM NPV ISIN #CA13321L1	449.28	9.75	15.78	-6.03	100.0	-6.03
	ACCOUNT #: LSR010948	SELL 39 Units @11.5200						
11/27/2018	***-**-15IN - PENDRAK, JOHN	CAMECO CORP COM NPV ISIN #CA13321L1	1,854.72	40.24	3.22	37.02	0.0	0.00
	ACCOUNT #: LSR010948	SELL 161 Units @11.5200						
11/27/2018	***-**-11IO - LYNN G.	DIEBOLD NIXDORF INCORPORATED COM US	6,580.00	87.49	55.00	32.49	0.0	0.00
	ACCOUNT #: LSR011239	BUY 2000 Units @3.2900						
11/27/2018	***-**-653I - KOCHEM, CLINTON	DUKE ENERGY CORP COM USD0.001 ISIN	5,799.42	77.49	16.32	61.17	0.0	0.00
	ACCOUNT #: LSR011300	SELL 66 Units @87.8700						
11/27/2018	***-**-30TR - AND SANDRA	DUKE ENERGY CORP COM USD0.001 ISIN	3,337.54	59.99	15.76	44.23	0.0	0.00
	ACCOUNT #: LSR011939	SELL 38 Units @87.8300						
11/29/2018	***-**-09IN - BATES, CHRISTINE	EXXON MOBIL CORP UNSOLICITED ORDER	3,962.50	57.62	16.00	41.62	0.0	0.00
	ACCOUNT #: LSR010929	BUY 50 Units @79.2500						
11/29/2018	***-**-376I - BERBEN, GAIL	EXXON MOBIL CORP UNSOLICITED ORDER	7,925.00	97.25	17.00	80.25	0.0	0.00
	ACCOUNT #: LSR011380	BUY 100 Units @79.2500						
11/27/2018	***-**-89IN - LEE, ROGER	NORDIC AMERICAN TANKERS LIMITE COM	3,060.00	57.49	35.00	22.49	0.0	0.00
	ACCOUNT #: LSR011166	BUY 1000 Units @3.0600						
11/27/2018	***-**-653I - KOCHEM, CLINTON	NORDIC AMERICAN TANKERS LIMITE COM	4,620.00	67.49	45.00	22.49	0.0	0.00
	ACCOUNT #: LSR011300	BUY 1500 Units @3.0800						
11/27/2018	***-**-287I - HINCKLEY,	STEIN MART INC COM	2,490.00	49.99	18.00	31.99	0.0	0.00
	ACCOUNT #: LSR010843	BUY 1500 Units @1.6600						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: STOCKS (continued)								
11/27/2018	***-**-48IO - CLARK, PATRICK	STEIN MART INC COM	4,137.50	67.49	18.00	49.49	0.0	0.00
	ACCOUNT #: LSR010911	BUY 2500 Units @1.6550						
11/27/2018	***-**-15IN - PENDRAK, JOHN	STEIN MART INC COM	2,655.00	49.89	18.00	31.89	0.0	0.00
	ACCOUNT #: LSR010948	BUY 1500 Units @1.7700						
11/27/2018	***-**-960J - MASTRANGELO,	STEIN MART INC COM	2,670.00	49.99	18.00	31.99	0.0	0.00
	ACCOUNT #: LSR010966	BUY 1500 Units @1.7800						
11/27/2018	***-**-80IN - COBB, JAMES	STEIN MART INC COM	4,150.00	57.49	18.00	39.49	0.0	0.00
	ACCOUNT #: LSR011042	BUY 2500 Units @1.6600						
11/27/2018	***-**-44IO - MAYO, DEBORAH	STEIN MART INC COM	4,150.00	67.49	18.00	49.49	0.0	0.00
	ACCOUNT #: LSR011079	BUY 2500 Units @1.6600						
11/27/2018	***-**-579I - RHYMESTINE,	STEIN MART INC COM	3,520.00	57.49	18.00	39.49	0.0	0.00
	ACCOUNT #: LSR011082	BUY 2000 Units @1.7600						
11/27/2018	***-**-506J - CURRIERE JR, MR	STEIN MART INC COM	875.00	49.99	18.00	31.99	0.0	0.00
	ACCOUNT #: LSR011121	BUY 500 Units @1.7500						
11/27/2018	***-**-89IN - LEE, ROGER	STEIN MART INC COM	4,450.00	67.49	18.00	49.49	0.0	0.00
	ACCOUNT #: LSR011166	BUY 2500 Units @1.7800						
11/27/2018	***-**-31IO - WILLIAMSON, FBO	STEIN MART INC COM	3,320.00	57.49	18.00	39.49	0.0	0.00
	ACCOUNT #: LSR011172	BUY 2000 Units @1.6600						
11/27/2018	***-**-473J - HUSTON,	STEIN MART INC COM	2,655.00	49.99	18.00	31.99	0.0	0.00
	ACCOUNT #: LSR011228	BUY 1500 Units @1.7700						
11/27/2018	***-**-11IO - LYNN G.	STEIN MART INC COM	5,340.00	77.49	18.00	59.49	0.0	0.00
	ACCOUNT #: LSR011239	BUY 3000 Units @1.7800						
11/27/2018	***-**-653I - KOCHEM, CLINTON	STEIN MART INC COM	1,766.00	49.99	18.00	31.99	0.0	0.00
	ACCOUNT #: LSR011300	BUY 1000 Units @1.7660						
11/27/2018	***-**-376I - BERBEN, GAIL	STEIN MART INC COM	3,500.00	57.49	18.00	39.49	0.0	0.00
	ACCOUNT #: LSR011380	BUY 2000 Units @1.7500						
11/27/2018	***-**-22IO - CLINTON, STEPHEN	STEIN MART INC COM	3,440.00	59.99	18.00	41.99	0.0	0.00
	ACCOUNT #: LSR011684	BUY 2000 Units @1.7200						
11/27/2018	***-**-60IO - JOSEPH,	STEIN MART INC COM	4,352.50	67.49	18.00	49.49	0.0	0.00
	ACCOUNT #: LSR012336	BUY 2500 Units @1.7410						
11/27/2018	***-**-31IO - JOSEPH, ANN	STEIN MART INC COM	2,652.00	49.99	18.00	31.99	0.0	0.00
	ACCOUNT #: LSR012337	BUY 1500 Units @1.7680						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: STOCKS (continued)								
11/27/2018	***-**-43IN - FRANZ, WAYNE	STEIN MART INC COM	3,440.00	57.49	18.00	39.49	0.0	0.00
	ACCOUNT #: LSR012636	BUY 2000 Units @1.7200						
11/27/2018	***-**-79TR - OR CYNTHIA	STEIN MART INC COM	2,610.00	49.99	18.00	31.99	0.0	0.00
	ACCOUNT #: LSR012749	BUY 1500 Units @1.7400						
11/27/2018	***-**-2663 - LASCALA, DEBORAH	STEIN MART INC COM	5,310.00	77.49	18.00	59.49	0.0	0.00
	ACCOUNT #: LSR012791	BUY 3000 Units @1.7700						
11/29/2018	***-**-79TR - OR CYNTHIA	STEIN MART INC COM	3,425.00	49.99	18.00	31.99	0.0	0.00
	ACCOUNT #: LSR012749	BUY 2500 Units @1.3700						
* STOCKS SUBTOTAL *			\$114,707.18	\$1,890.48	\$632.08	\$1,258.40		\$-6.03
PRODUCT CATEGORY: VARIABLE ANNUITIES								
11/26/2018	***-**-213I - GRUENEWALD,	PACIFIC LIFE SE5-NYB DTCC	131.30	3.94	0.00	3.94	0.0	0.00
	ACCOUNT #: VP71028580	BUY 0 Units @0.0000						
* VARIABLE ANNUITIES SUBTOTAL *			\$131.30	\$3.94	\$0.00	\$3.94		\$0.00
PRODUCT CATEGORY: 529 PLAN								
/ /	***-**-0767 - DOVI,	NY 529 ADDITIONAL DEPOSIT	25.00	0.25	0.00	0.25	0.0	0.00
	ACCOUNT #: 77579193101	BUY 0 Units @0.0000						
/ /	***-**-473J - HUSTON,	NY 529 ADDITIONAL DEPOSIT	400.00	4.00	0.00	4.00	0.0	0.00
	ACCOUNT #: 77852732401	BUY 0 Units @0.0000						
12/03/2018	***-**-614J - BUSHEY, MATTHEW	NYA JPM 529 COLLEGE AGE-BASED P A	100.00	4.75	0.00	4.75	0.0	0.00
		BUY 0 Units @0.0000						
* 529 PLAN SUBTOTAL *			\$525.00	\$9.00	\$0.00	\$9.00		\$0.00
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS								
12/03/2018	***-**-944O - MAYO, DEBORAH	EATON VANCE MF TRAILS	0.00	0.43	0.00	0.43	0.0	0.00
	ACCOUNT #: 5034930049	BUY 0 Units @0.0000						
11/15/2018	***-**-213I - GRUENEWALD,	MFS GLOBAL NEW DISCOVERY FUND CL B	100.00	4.00	0.00	4.00	0.0	0.00
	ACCOUNT #: 08190131132	BUY 6 Units @18.0500						
12/03/2018	***-**-671I - EBERLEY, REID	RESOURCE TRAILS	0.00	14.29	0.00	14.29	0.0	0.00
		BUY 0 Units @0.0000						
12/03/2018	***-**-44IO - MAYO, DEBORAH	RESOURCE TRAILS	0.00	9.69	0.00	9.69	0.0	0.00
		BUY 0 Units @0.0000						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
12/03/2018	***-**-524I - SCALISE, JOSEPH	RESOURCE TRAILS	0.00	0.54	0.00	0.54	0.0	0.00
	ACCOUNT #: 020003970	BUY 0 Units @0.0000						
12/03/2018	***-**-15IN - PENDRAK, JOHN	RESOURCE TRAILS	0.00	1.67	0.00	1.67	0.0	0.00
	ACCOUNT #: 20005598	BUY 0 Units @0.0000						
12/03/2018	***-**-960J - MASTRANGELO,	RESOURCE TRAILS	0.00	16.75	0.00	16.75	0.0	0.00
		BUY 0 Units @0.0000						
12/03/2018	***-**-44IO - MAYO, DEBORAH	RESOURCE TRAILS	0.00	25.76	0.00	25.76	0.0	0.00
		BUY 0 Units @0.0000						
12/03/2018	***-**-31IN - WARMUTH,	RESOURCE TRAILS	0.00	4.39	0.00	4.39	0.0	0.00
		BUY 0 Units @0.0000						
12/03/2018	***-**-531J - WILLIAMSON,	RESOURCE TRAILS	0.00	12.56	0.00	12.56	0.0	0.00
		BUY 0 Units @0.0000						
12/03/2018	***-**-65IN - LAZIO, THOMAS	RESOURCE TRAILS	0.00	18.83	0.00	18.83	0.0	0.00
		BUY 0 Units @0.0000						
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *			\$100.00	\$108.91	\$0.00	\$108.91		\$0.00
*** BROKER TRANSACTIONS TOTAL ***			\$138,317.16	\$2,240.83	\$776.08	\$1,464.75		\$-6.03



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				GROSS	CLEARING	NET	BROKER	
DATE	CLIENT	INVESTMENT	AMOUNT	COMMISSION	CHARGE	COMMISSION	RATE	COMMISSION