



COMMISSION STATEMENT

August 13, 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>								
08/07/2018	***-**-480J - EVANS, RICHARD	AMERICAN BALANCED FUND-A	125.00	4.69	0.00	4.69	0.0	0.00
	ACCOUNT #: 00073288662	BUY 4 Units @29.1200						
08/03/2018	***-**-065I - LAZIO, THOMAS	AMERICAN GLOBAL BALANCED CL C	2,000.00	18.00	18.00	0.00	0.0	0.00
	ACCOUNT #: LSR010979	SELL 62 Units @32.1900						
08/10/2018	***-**-663I - LASCALA, DEBORAH	CION ARES DIVERSIFIED CREDIT C	10,000.01	118.00	18.00	100.00	0.0	0.00
	ACCOUNT #: LSR012790	BUY 390 Units @25.6700						
08/03/2018	***-**-881J - EBERLEY, SUSAN	EQUITY INCOME FUND, INC. A	1,000.00	18.00	18.00	0.00	0.0	0.00
	ACCOUNT #: LSR010856	SELL 31 Units @32.4400						
08/03/2018	***-**-065I - LAZIO, THOMAS	FUNDAMENTAL INVESTORS-C	1,000.02	18.00	18.00	0.00	0.0	0.00
	ACCOUNT #: LSR010979	SELL 16 Units @64.0300						
08/03/2018	***-**-065I - LAZIO, THOMAS	MFS INTERNATIONAL NEW DISCOVERY CL	1,000.01	18.00	18.00	0.00	0.0	0.00
	ACCOUNT #: LSR010979	SELL 30 Units @33.5800						
08/03/2018	***-**-065I - LAZIO, THOMAS	MFS TECHNOLOGY CLASS C	1,000.01	18.00	18.00	0.00	0.0	0.00
	ACCOUNT #: LSR010979	SELL 26 Units @37.9900						
08/03/2018	***-**-881J - EBERLEY, SUSAN	MFS TOTAL RETURN FUND-B	999.99	18.00	18.00	0.00	0.0	0.00
	ACCOUNT #: LSR010856	SELL 52 Units @19.0500						
08/03/2018	***-**-065I - LAZIO, THOMAS	PUTNAM GLOBAL CONSUMER FUND CL C	1,000.01	18.00	18.00	0.00	0.0	0.00
	ACCOUNT #: LSR010979	SELL 46 Units @21.8100						
08/03/2018	***-**-881J - EBERLEY, SUSAN	PUTNAM UTILITIES GR & INC-B	999.99	18.00	18.00	0.00	0.0	0.00
	ACCOUNT #: LSR010856	SELL 74 Units @13.6000						
08/10/2018	***-**-702I - KOCHER, MICHAEL	RESOURCE CREDIT INCOME FUND C	15,000.00	168.00	18.00	150.00	0.0	0.00
	ACCOUNT #: LSR010954	BUY 1325 Units @11.3200						
08/10/2018	***-**-11IO - LYNN G.	RESOURCE CREDIT INCOME FUND C	19,999.99	218.00	18.00	200.00	0.0	0.00
	ACCOUNT #: LSR011239	BUY 1767 Units @11.3200						
08/10/2018	***-**-376I - BERBEN, GAIL	RESOURCE CREDIT INCOME FUND C	15,000.00	168.00	18.00	150.00	0.0	0.00
	ACCOUNT #: LSR011380	BUY 1325 Units @11.3200						
08/10/2018	***-**-376I - BERBEN, GAIL	RESOURCE REAL ESTATE-NFS	20,000.00	218.00	18.00	200.00	0.0	0.00
	ACCOUNT #: LSR011380	BUY 1921 Units @10.4100						
08/10/2018	***-**-726I - YADDAW, DEBRA	RESOURCE REAL ESTATE-NFS	12,499.99	143.00	18.00	125.00	0.0	0.00
	ACCOUNT #: LSR012338	BUY 1201 Units @10.4100						
08/03/2018	***-**-065I - LAZIO, THOMAS	SMALL- & MID- CAP VALUE FUND C	999.99	18.00	18.00	0.00	0.0	0.00
	ACCOUNT #: LSR010979	SELL 21 Units @47.4200						



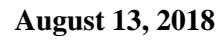
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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUNDS (continued)								
08/07/2018	***-**-480J - EVANS, RICHARD	THE GROWTH FUND OF AMERICA-A	125.00	4.69	0.00	4.69	0.0	0.00
	ACCOUNT #: 00073288662	BUY 2 Units @58.3900						
		* MUTUAL FUNDS SUBTOTAL *	\$102,750.01	\$1,204.38	\$270.00	\$934.38		\$0.00
PRODUCT CATEGORY: 529 PLAN								
08/13/2018	***-**-614J - BUSHEY, MATTHEW	NY 529 ADDITIONAL DEPOSIT	100.00	4.75	0.00	4.75	0.0	0.00
		BUY 0 Units @0.0000						
		* 529 PLAN SUBTOTAL *	\$100.00	\$4.75	\$0.00	\$4.75		\$0.00
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS								
08/13/2018	***-**-671I - EBERLEY, REID	RESOURCE REAL ESTATE TRAILS	0.00	13.53	0.00	13.53	0.0	0.00
	ACCOUNT #: 20021572	BUY 0 Units @0.0000						
08/13/2018	***-**-44IO - MAYO, DEBORAH	RESOURCE REAL ESTATE TRAILS	0.00	9.20	0.00	9.20	0.0	0.00
	ACCOUNT #: 020026000	BUY 0 Units @0.0000						
08/13/2018	***-**-524I - SCALISE, JOSEPH	RESOURCE REAL ESTATE TRAILS	0.00	0.52	0.00	0.52	0.0	0.00
		BUY 0 Units @0.0000						
08/13/2018	***-**-15IN - PENDRAK, JOHN	RESOURCE REAL ESTATE TRAILS	0.00	1.64	0.00	1.64	0.0	0.00
		BUY 0 Units @0.0000						
08/13/2018	***-**-44IO - MAYO, DEBORAH	RESOURCE REAL ESTATE TRAILS	0.00	24.73	0.00	24.73	0.0	0.00
	ACCOUNT #: 020026000	BUY 0 Units @0.0000						
08/13/2018	***-**-31IN - WARMUTH,	RESOURCE REAL ESTATE TRAILS	0.00	4.21	0.00	4.21	0.0	0.00
	ACCOUNT #: 20032739	BUY 0 Units @0.0000						
08/13/2018	***-**-531J - WILLIAMSON,	RESOURCE REAL ESTATE TRAILS	0.00	12.36	0.00	12.36	0.0	0.00
	ACCOUNT #: 20033096	BUY 0 Units @0.0000						
08/13/2018	***-**-65IN - LAZIO, THOMAS	RESOURCE REAL ESTATE TRAILS	0.00	17.83	0.00	17.83	0.0	0.00
	ACCOUNT #: 20010459	BUY 0 Units @0.0000						
08/13/2018	***-**-960J - MASTRANGELO,	RESOURCE REAL ESTATE TRAILS	0.00	16.48	0.00	16.48	0.0	0.00
	ACCOUNT #: 20002467	BUY 0 Units @0.0000						
		* MUTUAL FUND 12B1 TRAILS SUBTOTAL *	\$0.00	\$100.50	\$0.00	\$100.50		\$0.00
		*** BROKER TRANSACTIONS TOTAL ***	\$102,850.01	\$1,309.63	\$270.00	\$1,039.63		\$0.00



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<div>BROKER COMMISSION TOTALS</div> <div>Broker Transactions\$0.00</div> <div>Split Transactions\$0.00</div> <div>Override Transactions\$0.00</div> <div>Adjustments\$0.00</div> <div>Payroll Draw\$0.00</div> <div>Base Salary\$0.00</div> <div>Prior Period Balance\$-342.47</div> <div>FINRA Assessment\$0.00</div> <div>SIPC Assessment\$0.00</div> <div><div>Please Retain for Your Records THERE WILL BE NO PAYMENT THIS PERIOD</div><div><div>Balance Forward\$-342.47</div><div>Year-to-date Earnings\$0.00</div></div></div>								