



# COMMISSION STATEMENT

## July 09, 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>								
06/19/2018	***-**-930J - SANGER, KEVIN	CION ARES DIVERSIFIED CREDIT FND -C BUY 10 Units @1000.0000	10,000.00	100.00	0.00	100.00	0.0	0.00
06/19/2018	***-**-930J - SANGER, KEVIN	GWG L BOND - 7 YR BUY 25 Units @1000.0000	25,000.00	1,500.00	0.00	1,500.00	0.0	0.00
06/19/2018	***-**-930J - SANGER, KEVIN	GWG L BOND - 2YR BUY 15 Units @1000.0000	15,000.00	600.00	0.00	600.00	0.0	0.00
06/19/2018	***-**-930J - SANGER, KEVIN	GWG L BOND - 3YR BUY 20 Units @1000.0000	20,000.00	1,000.00	0.00	1,000.00	0.0	0.00
06/19/2018	***-**-930J - SANGER, KEVIN	GWG L BOND - 5 YR BUY 20 Units @1000.0000	20,000.00	1,180.00	0.00	1,180.00	0.0	0.00
<b>* ALTERNATIVE INVESTMENTS SUBTOTAL *</b>			<b>\$90,000.00</b>	<b>\$4,380.00</b>	<b>\$0.00</b>	<b>\$4,380.00</b>		<b>\$0.00</b>
<b><u>PRODUCT CATEGORY: MUTUAL FUNDS</u></b>								
07/02/2018	***-**-31IO - JOSEPH, ANN ACCOUNT #: LSR012337	AMERICAN MUTUAL FUND-C BUY 212 Units @40.0900	8,500.00	103.00	18.00	85.00	0.0	0.00
07/02/2018	***-**-726I - YADDAW, DEBRA ACCOUNT #: LSR012338	AMERICAN MUTUAL FUND-C BUY 249 Units @40.0900	10,000.01	118.00	18.00	100.00	0.0	0.00
07/02/2018	***-**-513I - RHYMESTINE, ACCOUNT #: LSR012457	AMERICAN MUTUAL FUND-C BUY 212 Units @40.0900	8,500.00	103.00	18.00	85.00	0.0	0.00
06/26/2018	***-**-65CL - GRUENEWALD, K, ACCOUNT #: 03222414918	CAPITAL APPRECIATION C BUY 0 Units @0.0000	50.00	0.50	0.00	0.50	0.0	0.00
07/05/2018	***-**-376I - BERBEN, GAIL ACCOUNT #: LSR011380	EATON VANCE FLOATING RATE ADVANTAGE BUY 919 Units @10.8800	10,000.00	118.00	18.00	100.00	0.0	0.00
06/26/2018	***-**-633J - ACCOUNT #: 08353229688	EQUITY INCOME FUND, INC. A BUY 0 Units @0.0000	175.00	8.31	0.00	8.31	0.0	0.00
06/26/2018	***-**-890I - GURDO, ANTHONY ACCOUNT #: 00087491111	FUNDAMENTAL INVESTORS-C BUY 2 Units @61.9900	150.00	1.50	0.00	1.50	0.0	0.00
06/26/2018	***-**-65CL - GRUENEWALD, K, ACCOUNT #: 02171825219	GLOBAL OPPORTUNITIES FUND C BUY 0 Units @0.0000	50.00	0.50	0.00	0.50	0.0	0.00
06/29/2018	***-**-714O - LINES, JUDITH ACCOUNT #: LSR011763	LORD ABBETT SHORT DURATION INCOME C SELL 475 Units @4.2100	2,000.00	18.00	18.00	0.00	0.0	0.00
07/05/2018	***-**-376I - BERBEN, GAIL ACCOUNT #: LSR011380	LORD ABBETT SHORT DURATION INCOME C BUY 3571 Units @4.2000	15,000.00	168.00	18.00	150.00	0.0	0.00



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<b>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: MUTUAL FUNDS (continued)</b>								
06/29/2018	***-**-7140 - LINES, JUDITH	MAIN STREET FUND C	1,000.02	18.00	18.00	0.00	0.0	0.00
	ACCOUNT #: LSR011763	SELL 21 Units @48.1800						
07/05/2018	***-**-376I - BERBEN, GAIL	MFS TECHNOLOGY CLASS C	10,000.01	118.00	18.00	100.00	0.0	0.00
	ACCOUNT #: LSR011380	BUY 267 Units @37.4900						
07/02/2018	***-**-53IN - EVANS, ANDREW	MFS TECHNOLOGY FUND-B	49.99	2.00	0.00	2.00	0.0	0.00
	ACCOUNT #: LSR011483	BUY 1 Units @37.5300						
07/02/2018	***-**-53IN - EVANS, ANDREW	MFS UTILITIES FUND-B	100.01	4.00	0.00	4.00	0.0	0.00
	ACCOUNT #: LSR011483	BUY 5 Units @20.3100						
06/26/2018	***-**-633J -	OPP PORT SERIES: ACTIVE ALLOC A	175.00	8.31	0.00	8.31	0.0	0.00
	ACCOUNT #: 05502871176	BUY 0 Units @0.0000						
06/19/2018	***-**-13IN - BLISS, PATRICK	OPPENHEIMER ACTIVE ALLOCATION FUND	75.00	0.75	0.00	0.75	0.0	0.00
	ACCOUNT #: 05521022681	BUY 0 Units @0.0000						
06/26/2018	***-**-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						
06/29/2018	***-**-7140 - LINES, JUDITH	OPPENHEIMER GLOBAL VALUE FUND CL C	1,000.00	18.00	18.00	0.00	0.0	0.00
	ACCOUNT #: LSR011763	SELL 20 Units @49.9800						
06/26/2018	***-**-633J -	OPPENHEIMER INTERNATIONAL DIVERSIFI	175.00	8.31	0.00	8.31	0.0	0.00
	ACCOUNT #: 01953330426	BUY 0 Units @0.0000						
06/29/2018	***-**-7140 - LINES, JUDITH	OPPENHEIMER INTERNATIONAL DIVERSIFI	1,000.00	18.00	18.00	0.00	0.0	0.00
	ACCOUNT #: LSR011763	SELL 57 Units @17.5700						
06/26/2018	***-**-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						
07/05/2018	***-**-376I - BERBEN, GAIL	RESOURCE CREDIT INCOME FUND C	10,000.00	118.00	18.00	100.00	0.0	0.00
	ACCOUNT #: LSR011380	BUY 892 Units @11.2100						
<b>* MUTUAL FUNDS SUBTOTAL *</b>			<b>\$78,266.02</b>	<b>\$961.40</b>	<b>\$198.00</b>	<b>\$763.40</b>		<b>\$0.00</b>
<b>PRODUCT CATEGORY: STOCKS</b>								
06/29/2018	***-**-930J - SANGER, KEVIN	GENESIS HEALTHCARE INC CL A COM ISI	3,442.50	54.99	45.00	9.99	0.0	0.00
	ACCOUNT #: LSR010940	BUY 1500 Units @2.2950						
07/02/2018	***-**-366I - GRUENEWALD,	NETFLIX COM INC COM UNSOLICITED ORD	7,800.00	86.00	18.00	68.00	0.0	0.00
	ACCOUNT #: LSR010989	BUY 20 Units @390.0000						
<b>* STOCKS SUBTOTAL *</b>			<b>\$11,242.50</b>	<b>\$140.99</b>	<b>\$63.00</b>	<b>\$77.99</b>		<b>\$0.00</b>



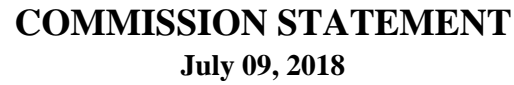
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<b>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: VARIABLE ANNUITIES</b>								
07/01/2018	***-**-8126 - MCCARTHY, BRIANN	PACIFIC LIFE SE5-NYB DTCC	35.92	1.08	0.00	1.08	0.0	0.00
	ACCOUNT #: VP71028570	BUY 0 Units @0.0000						
		<b>* VARIABLE ANNUITIES SUBTOTAL *</b>	<b>\$35.92</b>	<b>\$1.08</b>	<b>\$0.00</b>	<b>\$1.08</b>		<b>\$0.00</b>
<b>PRODUCT CATEGORY: VARIABLE ANNUITY 12B1 TRAILS</b>								
06/29/2018	***-**-973I - LABAYEWSKI,	41659Q159	0.00	68.54	0.00	68.54	0.0	0.00
	ACCOUNT #: 712686815	BUY 0 Units @0.0000						
06/29/2018	***-**-117I - LABAYEWSKI,	41659Q159	0.00	84.57	0.00	84.57	0.0	0.00
	ACCOUNT #: 712688346	BUY 0 Units @0.0000						
06/30/2018	***-**-89IN - LEE, ROGER	JACKSON 468511480	0.00	23.87	0.00	23.87	0.0	0.00
	ACCOUNT #: 1200175188	BUY 0 Units @0.0000						
06/30/2018	***-**-65IN - GRUENEWALD, KURT	LINCOLN FIN 533785564	0.00	214.70	0.00	214.70	0.0	0.00
	ACCOUNT #: 951030124	BUY 0 Units @0.0000						
06/30/2018	***-**-00IO - LEE, GARY	NATIONWIDE CUSIP 63890A108-NSCC	0.00	198.21	0.00	198.21	0.0	0.00
	ACCOUNT #: 016295228	BUY 0 Units @0.0000						
06/30/2018	***-**-366I - GRUENEWALD,	PRUDENTIAL VA TRAILS 74429P110	0.00	147.07	0.00	147.07	0.0	0.00
	ACCOUNT #: E1407725	BUY 0 Units @0.0000						
		<b>* VARIABLE ANNUITY 12B1 TRAILS SUBTOTAL *</b>	<b>\$0.00</b>	<b>\$736.96</b>	<b>\$0.00</b>	<b>\$736.96</b>		<b>\$0.00</b>
		<b>*** BROKER TRANSACTIONS TOTAL ***</b>	<b>\$179,544.44</b>	<b>\$6,220.43</b>	<b>\$261.00</b>	<b>\$5,959.43</b>		<b>\$0.00</b>



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<div>BROKER COMMISSION TOTALS</div>								
					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			\$-293.06
					FINRA Assessment			\$0.00
					SIPC Assessment			\$0.00
Please Retain for Your Records THERE WILL BE NO PAYMENT THIS PERIOD					<div>Balance Forward\$-293.06</div> <div>Year-to-date Earnings\$0.00</div>			