



COMMISSION STATEMENT

November 26, 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>								
11/05/2018	***-**-9140 - BEJIAN, DONNA	GWG L BOND - 7 YR BUY 10 Units @1000.0000	10,000.00	600.00	0.00	600.00	0.0	0.00
11/05/2018	***-**-9140 - BEJIAN, DONNA	GWG L BOND - 2YR BUY 15 Units @1000.0000	15,000.00	600.00	0.00	600.00	0.0	0.00
11/05/2018	***-**-9140 - BEJIAN, DONNA	GWG L BOND - 3YR BUY 15 Units @1000.0000	15,000.00	750.00	0.00	750.00	0.0	0.00
11/05/2018	***-**-9140 - BEJIAN, DONNA	GWG L BOND - 5 YR BUY 25 Units @1000.0000	25,000.00	1,475.00	0.00	1,475.00	0.0	0.00
* ALTERNATIVE INVESTMENTS SUBTOTAL *			\$65,000.00	\$3,425.00	\$0.00	\$3,425.00		\$0.00
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
11/13/2018	***-**-65CL - GRUENEWALD, K, ACCOUNT #: 03222414918	CAPITAL APPRECIATION C BUY 0 Units @0.0000	100.00	1.00	0.00	1.00	0.0	0.00
11/19/2018	***-**-44IO - MAYO, DEBORAH ACCOUNT #: LSR011079	CIION ARES DIVERSIFIED CREDIT C BUY 778 Units @25.7000	20,000.00	218.00	18.00	200.00	0.0	0.00
11/05/2018	***-**-48JT - LEE, DARLENE ACCOUNT #: 08370750926	EQUITY INCOME FUND, INC. C BUY 0 Units @0.0000	50.00	0.50	0.00	0.50	0.0	0.00
11/13/2018	***-**-65CL - GRUENEWALD, K, ACCOUNT #: 02171825219	GLOBAL OPPORTUNITIES FUND C BUY 0 Units @0.0000	100.00	1.00	0.00	1.00	0.0	0.00
11/19/2018	***-**-09IO - BATES, FBO MRS ACCOUNT #: LSR011117	INCOME FUND OF AMERICA CLASS C SELL 135 Units @22.2600	3,000.00	18.00	18.00	0.00	0.0	0.00
11/19/2018	***-**-506J - CURRIERE JR, MR ACCOUNT #: 00088062946	INTERNATIONAL GROWTH AND INCOME-A BUY 2 Units @31.9300	62.50	2.66	0.00	2.66	0.0	0.00
11/19/2018	***-**-44IO - MAYO, DEBORAH ACCOUNT #: LSR011079	LORD ABBETT FNDAMNTL EQUITY FD CL C BUY 704 Units @11.3700	8,000.00	19.99	6.00	13.99	0.0	0.00
11/19/2018	***-**-44IO - MAYO, DEBORAH ACCOUNT #: LSR011079	LORD ABBETT INTL DIVIDEND INC CL C BUY 1048 Units @6.6800	7,000.00	19.99	6.00	13.99	0.0	0.00
11/19/2018	***-**-44IO - MAYO, DEBORAH ACCOUNT #: LSR011079	LORD ABBETT SHORT DURATION INCOME C SELL 1679 Units @4.1700	7,000.00	0.00	6.00	-6.00	100.0	-6.00
11/19/2018	***-**-44IO - MAYO, DEBORAH ACCOUNT #: LSR011079	LORD ABBETT SHORT DURATION INCOME C SELL 1918 Units @4.1700	8,000.00	0.00	6.00	-6.00	100.0	-6.00
11/16/2018	***-**-065I - LAZIO, THOMAS ACCOUNT #: LSR010979	MFS UTILITIES FUND-C SELL 148 Units @20.2800	3,000.00	18.00	18.00	0.00	0.0	0.00



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUNDS (continued)								
11/19/2018	***-**-506J - CURRIERE JR, MR	NEW PERSPECTIVE FUND-A	62.50	2.66	0.00	2.66	0.0	0.00
	ACCOUNT #: 00088062946	BUY 1 Units @44.2200						
11/05/2018	***-**-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						
11/05/2018	***-**-48JT - LEE, DARLENE	OPPENHEIMER ACTIVE ALLOCATION FUND	50.00	0.50	0.00	0.50	0.0	0.00
	ACCOUNT #: 05521043603	BUY 0 Units @0.0000						
11/13/2018	***-**-775I - BLISS, APRIL	OPPENHEIMER ACTIVE ALLOCATION FUND	93.71	0.94	0.00	0.94	0.0	0.00
	ACCOUNT #: 05521022692	BUY 0 Units @0.0000						
11/16/2018	***-**-420T - DEMETRI, AMELIA	OPPENHEIMER GOLD & SPECIAL MINERALS	2,000.00	38.00	18.00	20.00	0.0	0.00
	ACCOUNT #: LSR010994	BUY 163 Units @12.2900						
11/05/2018	***-**-48JT - LEE, DARLENE	OPPENHEIMER INTERNATIONAL DIVERSIFI	50.00	0.50	0.00	0.50	0.0	0.00
	ACCOUNT #: 01971019612	BUY 0 Units @0.0000						
11/19/2018	***-**-11IO - LYNN G.	PUTNAM CONVERTIBLE SECURITIES CL C	2,000.01	18.00	18.00	0.00	0.0	0.00
	ACCOUNT #: LSR011239	SELL 82 Units @24.3500						
* MUTUAL FUNDS SUBTOTAL *			\$60,643.72	\$360.49	\$114.00	\$246.49		\$-12.00
PRODUCT CATEGORY: STOCKS								
11/19/2018	***-**-44IO - MAYO, DEBORAH	BERKSHIRE HATHAWAY INC DEL CL B NEW	10,794.00	147.49	18.00	129.49	0.0	0.00
	ACCOUNT #: LSR011079	SELL 50 Units @215.8800						
11/20/2018	***-**-30TR - AND SANDRA	DENBURY RES INC DEL COM USD0.001	2,180.00	49.99	35.00	14.99	0.0	0.00
	ACCOUNT #: LSR011939	BUY 1000 Units @2.1800						
11/19/2018	***-**-09IN - BATES, CHRISTINE	DUKE ENERGY CORP COM USD0.001 ISIN	3,660.30	67.49	15.84	51.65	0.0	0.00
	ACCOUNT #: LSR010929	SELL 42 Units @87.1500						
11/19/2018	***-**-44IO - MAYO, DEBORAH	REALTY INCOME CORP COMMON STOCK	6,380.10	98.75	17.00	81.75	0.0	0.00
	ACCOUNT #: LSR011079	SELL 100 Units @63.8010						
11/19/2018	***-**-44IO - MAYO, DEBORAH	REALTY INCOME CORP COMMON STOCK	6,380.20	98.75	2.00	96.75	0.0	0.00
	ACCOUNT #: LSR011079	SELL 100 Units @63.8020						
11/19/2018	***-**-513I - RHYMESTINE,	REALTY INCOME CORP COMMON STOCK	6,384.00	77.49	17.00	60.49	0.0	0.00
	ACCOUNT #: LSR012457	SELL 100 Units @63.8400						
11/19/2018	***-**-79TR - OR CYNTHIA	REALTY INCOME CORP COMMON STOCK	127.52	1.52	15.04	-13.52	100.0	-13.52
	ACCOUNT #: LSR012749	SELL 2 Units @63.7600						
11/19/2018	***-**-79TR - OR CYNTHIA	REALTY INCOME CORP COMMON STOCK	6,376.00	75.97	2.00	73.97	0.0	0.00
	ACCOUNT #: LSR012749	SELL 100 Units @63.7600						



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<u>BROKER TRANSACTIONS (continued)</u>								
<u>PRODUCT CATEGORY: STOCKS (continued)</u>								
11/19/2018	***-**-44IO - MAYO, DEBORAH	VERIZON COMMUNICATIONS UNSOLICITED	6,082.00	97.49	17.00	80.49	0.0	0.00
	ACCOUNT #: LSR011079	SELL 100 Units @60.8200						
11/19/2018	***-**-31IO - JOSEPH, ANN	VERIZON COMMUNICATIONS UNSOLICITED	6,056.00	67.49	17.00	50.49	0.0	0.00
	ACCOUNT #: LSR012337	SELL 100 Units @60.5600						
* STOCKS SUBTOTAL *			<u>\$54,420.12</u>	<u>\$782.43</u>	<u>\$155.88</u>	<u>\$626.55</u>		<u>\$-13.52</u>
<u>PRODUCT CATEGORY: UNIT INVESTMENT TRUSTS</u>								
11/19/2018	***-**-663I - LASCALA, DEBORAH	EXTRA SPACE STORAGE INC UNSOLICITED	9,455.00	112.55	24.00	88.55	0.0	0.00
	ACCOUNT #: LSR012790	BUY 100 Units @94.5500						
* UNIT INVESTMENT TRUSTS SUBTOTAL *			<u>\$9,455.00</u>	<u>\$112.55</u>	<u>\$24.00</u>	<u>\$88.55</u>		<u>\$0.00</u>
<u>PRODUCT CATEGORY: 529 PLAN</u>								
11/20/2018	***-**-755P - SHEPPARD,	THE GROWTH FUND OF AMERICA-529C	50.00	0.50	0.00	0.50	0.0	0.00
	ACCOUNT #: 00084018452	BUY 1 Units @45.7900						
* 529 PLAN SUBTOTAL *			<u>\$50.00</u>	<u>\$0.50</u>	<u>\$0.00</u>	<u>\$0.50</u>		<u>\$0.00</u>
*** BROKER TRANSACTIONS TOTAL ***			<u>\$189,568.84</u>	<u>\$4,680.97</u>	<u>\$293.88</u>	<u>\$4,387.09</u>		<u>\$-25.52</u>

BROKER COMMISSION TOTALS

Broker Transactions	\$-25.52
Split Transactions	\$0.00
Override Transactions	\$0.00
Adjustments	\$0.00
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$-437.64
FINRA Assessment	\$0.00
SIPC Assessment	\$0.00

Please Retain for Your Records
THERE WILL BE NO PAYMENT THIS PERIOD

Balance Forward	\$-463.16
Year-to-date Earnings	\$0.00