



# COMMISSION STATEMENT

## October 01, 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>								
09/26/2018	***-**-0802 - RHYMESTINE, ACCOUNT #: LSR012677	AMERICAN FUNDS MORTGAGE FD CL C BUY 1545 Units @9.7100	15,000.00	168.00	18.00	150.00	0.0	0.00
09/21/2018	***-**-881J - EBERLEY, SUSAN ACCOUNT #: LSR010856	AMERICAN GLOBAL BALANCED CL C SELL 78 Units @32.0400	2,499.99	18.00	18.00	0.00	0.0	0.00
09/25/2018	***-**-663I - LASCALA, DEBORAH ACCOUNT #: LSR012790	CAPITAL WORLD BOND FUND-C BUY 794 Units @18.9000	15,000.00	168.00	18.00	150.00	0.0	0.00
09/26/2018	***-**-805X - GATES, ROGER ACCOUNT #: LSR012690	CION ARES DIVERSIFIED CREDIT C BUY 388 Units @25.7900	10,000.00	118.00	18.00	100.00	0.0	0.00
09/26/2018	***-**-05IN - GATES, ROGER ACCOUNT #: LSR012771	CION ARES DIVERSIFIED CREDIT C BUY 775 Units @25.7900	19,999.99	218.00	18.00	200.00	0.0	0.00
09/26/2018	***-**-8901 - GURDO, ANTHONY ACCOUNT #: 00087491111	FUNDAMENTAL INVESTORS-C BUY 2 Units @64.9300	150.00	1.50	0.00	1.50	0.0	0.00
09/26/2018	***-**-15IN - PENDRAK, JOHN ACCOUNT #: LSR010948	LORD ABBETT GROWTH OPPORTUNITIES CL SELL 828 Units @16.9900	14,068.18	18.00	18.00	0.00	0.0	0.00
09/25/2018	***-**-7140 - LINES, JUDITH ACCOUNT #: LSR011763	MAIN STREET FUND C SELL 29 Units @51.4600	1,500.01	18.00	18.00	0.00	0.0	0.00
09/25/2018	***-**-663I - LASCALA, DEBORAH ACCOUNT #: LSR012790	MAIN STREET FUND C BUY 194 Units @51.4600	10,000.02	118.00	18.00	100.00	0.0	0.00
09/25/2018	***-**-15IN - PENDRAK, JOHN ACCOUNT #: LSR010948	MFS TECHNOLOGY FUND CLASS A SELL 66 Units @45.4100	3,000.01	18.00	18.00	0.00	0.0	0.00
09/25/2018	***-**-7140 - LINES, JUDITH ACCOUNT #: LSR011763	OPPENHEIMER GLOBAL VALUE FUND CL C SELL 29 Units @51.3900	1,500.02	18.00	18.00	0.00	0.0	0.00
09/25/2018	***-**-7140 - LINES, JUDITH ACCOUNT #: LSR011763	OPPENHEIMER INTERNATIONAL DIVERSIFI SELL 57 Units @17.5000	1,000.00	18.00	18.00	0.00	0.0	0.00
09/25/2018	***-**-663I - LASCALA, DEBORAH ACCOUNT #: LSR012790	OPPENHEIMER RISING DIVIDENDS FUND C BUY 678 Units @17.6900	11,999.99	138.00	18.00	120.00	0.0	0.00
09/26/2018	***-**-15IN - PENDRAK, JOHN ACCOUNT #: LSR010948	OPPENHEIMER SMALL & MID CAP VALUE F SELL 34 Units @58.1500	2,000.01	18.00	18.00	0.00	0.0	0.00
09/26/2018	***-**-63TR - EVANS, AUDREY J ACCOUNT #: LSR011036	PUTNAM GLOBAL SECTOR FUND CL A BUY 151 Units @13.2700	2,000.00	93.00	18.00	75.00	0.0	0.00
09/25/2018	***-**-7140 - LINES, JUDITH ACCOUNT #: LSR011763	QUEST BALANCED FUND C SELL 27 Units @18.6400	500.00	18.00	18.00	0.00	0.0	0.00



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<b>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: MUTUAL FUNDS (continued)</b>								
09/25/2018	***-**-43IN - FRANZ, WAYNE	RESOURCE CREDIT INCOME FUND C	22,500.00	243.00	18.00	225.00	0.0	0.00
	ACCOUNT #: LSR012636	BUY 2004 Units @11.2300						
09/26/2018	***-**-0802 - RHYMESTINE,	RESOURCE CREDIT INCOME FUND C	20,000.00	218.00	18.00	200.00	0.0	0.00
	ACCOUNT #: LSR012677	BUY 1781 Units @11.2300						
09/26/2018	***-**-851I - BLAKE, JAMES	RESOURCE REAL ESTATE-NFS	10,000.00	118.00	18.00	100.00	0.0	0.00
	ACCOUNT #: LSR012390	BUY 966 Units @10.3500						
09/26/2018	***-**-51IR - BLAKE, JAMES	RESOURCE REAL ESTATE-NFS	10,500.00	123.00	18.00	105.00	0.0	0.00
	ACCOUNT #: LSR012391	BUY 1014 Units @10.3500						
09/26/2018	***-**-0802 - RHYMESTINE,	RESOURCE REAL ESTATE-NFS	20,000.00	218.00	18.00	200.00	0.0	0.00
	ACCOUNT #: LSR012677	BUY 1932 Units @10.3500						
09/26/2018	***-**-851I - BLAKE, JAMES	VANGUARD TARGET RETIREMENT 2050 INV	8,986.96	19.99	18.00	1.99	0.0	0.00
	ACCOUNT #: LSR012390	SELL 237 Units @37.8400						
09/26/2018	***-**-851J - BLAKE, JAMES	VANGUARD TOTAL STOCK MARKET INVESTO	2,221.74	19.99	18.00	1.99	0.0	0.00
	ACCOUNT #: LSR012393	SELL 30 Units @72.9300						
* MUTUAL FUNDS SUBTOTAL *			\$204,426.92	\$2,126.48	\$396.00	\$1,730.48		\$0.00
<b>PRODUCT CATEGORY: STOCKS</b>								
09/26/2018	***-**-63TR - EVANS, AUDREY J	BRISTOL MYERS SQUIBB UNSOLICITED OR	5,066.78	77.49	16.64	60.85	0.0	0.00
	ACCOUNT #: LSR011036	SELL 82 Units @61.7900						
09/26/2018	***-**-15IN - PENDRAK, JOHN	GENESIS HEALTHCARE INC CL A COM ISI	3,990.00	67.49	75.00	-7.51	100.0	-7.51
	ACCOUNT #: LSR010948	BUY 3000 Units @1.3300						
09/26/2018	***-**-05IN - GATES, ROGER	GILEAD SCIENCES INC UNSOLICITED ORD	5,562.60	99.99	16.46	83.53	0.0	0.00
	ACCOUNT #: LSR012771	SELL 73 Units @76.2000						
09/26/2018	***-**-366I - GRUENEWALD,	INTEGRATED CANNABIS CO INC COM NPV	455.00	22.49	18.00	4.49	0.0	0.00
	ACCOUNT #: LSR010989	BUY 500 Units @0.9100						
09/26/2018	***-**-15IN - PENDRAK, JOHN	NATIONAL GRID SPON ADR EACH REP 5 O	5,089.00	58.33	17.00	41.33	0.0	0.00
	ACCOUNT #: LSR010948	BUY 100 Units @50.8900						
09/26/2018	***-**-15IN - PENDRAK, JOHN	NATIONAL GRID SPON ADR EACH REP 5 O	2,544.50	29.16	1.00	28.16	0.0	0.00
	ACCOUNT #: LSR010948	BUY 50 Units @50.8900						
09/26/2018	***-**-851J - BLAKE, JAMES	NATIONAL GRID SPON ADR EACH REP 5 O	5,066.80	67.49	17.00	50.49	0.0	0.00
	ACCOUNT #: LSR012393	BUY 100 Units @50.6680						
09/24/2018	***-**-366I - GRUENEWALD,	TILRAY INC COM USD0.0001 CLASS 2	1,999.14	38.10	15.38	22.72	0.0	0.00
	ACCOUNT #: LSR010989	SELL 19 Units @105.2180						



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<b><u>BROKER TRANSACTIONS (continued)</u></b>								
<b><u>PRODUCT CATEGORY: STOCKS (continued)</u></b>								
09/26/2018	***-**-05IN - GATES, ROGER ACCOUNT #: LSR012771	UNION PACIFIC CORP UNSOLICITED ORDE SELL 33 Units @163.5700	5,397.81	103.12	15.66	87.46	0.0	0.00
09/26/2018	***-**-05IN - GATES, ROGER ACCOUNT #: LSR012771	UNION PACIFIC CORP UNSOLICITED ORDE SELL 127 Units @163.5700	20,773.39	396.87	2.54	394.33	0.0	0.00
* STOCKS SUBTOTAL *			<u>\$55,945.02</u>	<u>\$960.53</u>	<u>\$194.68</u>	<u>\$765.85</u>		<u>\$-7.51</u>
<b><u>PRODUCT CATEGORY: 529 PLAN</u></b>								
09/28/2018	***-**-0767 - DOVI, ACCOUNT #: 77579193101	NY 529 ADDITIONAL DEPOSIT BUY 0 Units @0.0000	25.00	0.25	0.00	0.25	0.0	0.00
09/28/2018	***-**-473J - HUSTON, ACCOUNT #: 77852732401	NY 529 ADDITIONAL DEPOSIT BUY 0 Units @0.0000	400.00	4.00	0.00	4.00	0.0	0.00
* 529 PLAN SUBTOTAL *			<u>\$425.00</u>	<u>\$4.25</u>	<u>\$0.00</u>	<u>\$4.25</u>		<u>\$0.00</u>
<b><u>PRODUCT CATEGORY: VARIABLE ANNUITY 12B1 TRAILS</u></b>								
09/28/2018	***-**-86IN - LEE, KEVIN ACCOUNT #: GAX00761	ALLIANZ TRAILS 018812727 BUY 0 Units @0.0000	0.00	68.22	0.00	68.22	0.0	0.00
* VARIABLE ANNUITY 12B1 TRAILS SUBTOTAL *			<u>\$0.00</u>	<u>\$68.22</u>	<u>\$0.00</u>	<u>\$68.22</u>		<u>\$0.00</u>
*** BROKER TRANSACTIONS TOTAL ***			<u>\$260,796.94</u>	<u>\$3,159.48</u>	<u>\$590.68</u>	<u>\$2,568.80</u>		<u>\$-7.51</u>



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				GROSS	CLEARING	NET	BROKER
DATE	CLIENT	INVESTMENT	AMOUNT	COMMISSION	CHARGE	COMMISSION	RATE COMMISSION
						<u>BROKER COMMISSION TOTALS</u>	
						Broker Transactions	\$-7.51
						Split Transactions	\$0.00
						Override Transactions	\$0.00
						Adjustments	\$0.00
						Payroll Draw	\$0.00
						Base Salary	\$0.00
						Prior Period Balance	\$-393.30
						FINRA Assessment	\$0.00
						SIPC Assessment	\$0.00
Please Retain for Your Records THERE WILL BE NO PAYMENT THIS PERIOD						Balance Forward	\$-400.81
						Year-to-date Earnings	\$0.00