



# COMMISSION STATEMENT

## November 05, 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>								
10/29/2018	***-**-80IO - EVANS, RICHARD	AMERICAN BALANCED FUND-C	1,499.99	18.00	18.00	0.00	0.0	0.00
	ACCOUNT #: LSR011276	SELL 57 Units @26.2200						
10/29/2018	***-**-48IO - CLARK, PATRICK	AMERICAN FUNDS BALANCED PORT CL C	2,499.99	18.00	18.00	0.00	0.0	0.00
	ACCOUNT #: LSR010911	SELL 179 Units @14.0000						
10/26/2018	***-**-05IN - GATES, ROGER	AMERICAN GLOBAL BALANCED CL C	14,999.99	168.00	18.00	150.00	0.0	0.00
	ACCOUNT #: LSR012771	BUY 497 Units @30.2100						
10/29/2018	***-**-448X - ANACKER, SUSAN	CAPITAL WORLD BOND FUND-C	5,000.00	68.00	18.00	50.00	0.0	0.00
	ACCOUNT #: LSR011578	BUY 268 Units @18.6900						
10/29/2018	***-**-22IO - CLINTON, STEPHEN	CAPITAL WORLD BOND FUND-C	7,500.00	93.00	18.00	75.00	0.0	0.00
	ACCOUNT #: LSR011684	BUY 401 Units @18.6900						
10/29/2018	***-**-448X - ANACKER, SUSAN	CION ARES DIVERSIFIED CREDIT C	4,999.99	68.00	18.00	50.00	0.0	0.00
	ACCOUNT #: LSR011578	BUY 194 Units @25.8000						
10/29/2018	***-**-567I - FRANZ, ALICE	EQUITY INCOME FUND, INC. A	2,500.00	18.00	18.00	0.00	0.0	0.00
	ACCOUNT #: LSR010960	SELL 82 Units @30.3700						
10/26/2018	***-**-05IN - GATES, ROGER	INCOME FUND OF AMERICA CLASS C	15,000.01	168.00	18.00	150.00	0.0	0.00
	ACCOUNT #: LSR012771	BUY 689 Units @21.7700						
10/29/2018	***-**-367J - WAGNER, MRS LANT	INTERNATIONAL SMALL COMPANY A	2,999.99	18.00	18.00	0.00	0.0	0.00
	ACCOUNT #: LSR011134	SELL 63 Units @47.6400						
10/30/2018	***-**-15IR - PENDRACK, JACK	LORD ABBETT SHORT DURATION INCOME C	5,000.00	0.00	6.00	-6.00	100.0	-6.00
	ACCOUNT #: LSR012043	SELL 1196 Units @4.1800						
10/22/2018	***-**-06IN - SATTERLY,	MFS 08191336006	100.00	1.00	0.00	1.00	0.0	0.00
	ACCOUNT #: 08191336006	BUY 3 Units @30.5300						
10/17/2018	***-**-53RI - FALCHI, VALERIE	MFS GLOBAL TOTAL RETURN FUND-B	75.00	3.00	0.00	3.00	0.0	0.00
	ACCOUNT #: 08191172002	BUY 4 Units @17.6500						
10/22/2018	***-**-7617 - ESCHE, BEVERLY	MFS GLOBAL TOTAL RETURN FUND-B	50.00	2.00	0.00	2.00	0.0	0.00
	ACCOUNT #: 08191154979	BUY 3 Units @17.4900						
10/29/2018	***-**-761I - EVANS, DOLORES	MFS GLOBAL TOTAL RETURN FUND-B	3,500.00	18.00	18.00	0.00	0.0	0.00
	ACCOUNT #: LSR011024	SELL 204 Units @17.1800						
10/22/2018	***-**-7617 - ESCHE, BEVERLY	MFS INTERNATIONAL NEW DISCOVERY FUN	50.00	2.00	0.00	2.00	0.0	0.00
	ACCOUNT #: 08191154979	BUY 2 Units @31.5900						
10/29/2018	***-**-761I - EVANS, DOLORES	MFS INTERNATIONAL NEW DISCOVERY FUN	4,000.01	18.00	18.00	0.00	0.0	0.00
	ACCOUNT #: LSR011024	SELL 132 Units @30.3300						



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<b>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: MUTUAL FUNDS (continued)</b>								
10/29/2018	***-**-86IN - LEE, KEVIN	MFS MODERATE ALLOCATION CL C	5,000.00	18.00	18.00	0.00	0.0	0.00
	ACCOUNT #: LSR011613	SELL 297 Units @16.8400						
10/22/2018	***-**-06IN - SATTERLY,	MFS TECHNOLOGY FUND-B	50.00	2.00	0.00	2.00	0.0	0.00
	ACCOUNT #: 08191173302	BUY 1 Units @36.2800						
11/01/2018	***-**-53IN - EVANS, ANDREW	MFS TECHNOLOGY FUND-B	50.01	2.00	0.00	2.00	0.0	0.00
	ACCOUNT #: LSR011483	BUY 1 Units @35.3400						
10/22/2018	***-**-7617 - ESCHE, BEVERLY	MFS UTILITIES FUND-B	50.00	2.00	0.00	2.00	0.0	0.00
	ACCOUNT #: 08191154979	BUY 2 Units @20.4100						
11/01/2018	***-**-53IN - EVANS, ANDREW	MFS UTILITIES FUND-B	100.00	4.00	0.00	4.00	0.0	0.00
	ACCOUNT #: LSR011483	BUY 5 Units @20.0600						
10/30/2018	***-**-420T - DEMETRI, AMELIA	OPPENHEIMER GOLD & SPECIAL MINERALS	1,000.00	28.00	18.00	10.00	0.0	0.00
	ACCOUNT #: LSR010994	BUY 81 Units @12.3200						
10/29/2018	***-**-567I - FRANZ, ALICE	OPPENHEIMER SMALL & MID CAP VALUE F	2,999.98	18.00	18.00	0.00	0.0	0.00
	ACCOUNT #: LSR010960	SELL 58 Units @51.5700						
10/29/2018	***-**-579I - RHYMESTINE,	OPPENHEIMER SMALL & MID CAP VALUE F	2,999.98	18.00	18.00	0.00	0.0	0.00
	ACCOUNT #: LSR011082	SELL 58 Units @51.5700						
10/30/2018	***-**-254I - AUGUSTINE, LINDA	PORTFOLIO SERIES: CONS INV A	4,500.00	19.99	18.00	1.99	0.0	0.00
	ACCOUNT #: LSR010846	SELL 486 Units @9.2600						
10/29/2018	***-**-31IO - WILLIAMSON, FBO	PUTNAM UTILITIES GR & INC-B	1,000.00	18.00	18.00	0.00	0.0	0.00
	ACCOUNT #: LSR011172	SELL 75 Units @13.3500						
10/26/2018	***-**-31IO - WILLIAMSON, FBO	REAL ESTATE FUND A	3,999.99	19.99	18.00	1.99	0.0	0.00
	ACCOUNT #: LSR011172	SELL 169 Units @23.7000						
10/29/2018	***-**-80IO - EVANS, RICHARD	THE NEW ECONOMY FUND-C	1,499.99	18.00	18.00	0.00	0.0	0.00
	ACCOUNT #: LSR011276	SELL 39 Units @38.5900						
<b>* MUTUAL FUNDS SUBTOTAL *</b>			<b>\$93,024.92</b>	<b>\$848.98</b>	<b>\$348.00</b>	<b>\$500.98</b>		<b>\$-6.00</b>
<b>PRODUCT CATEGORY: STOCKS</b>								
10/29/2018	***-**-22IO - CLINTON, STEPHEN	AQUA AMERICA INC	3,310.00	51.10	17.00	34.10	0.0	0.00
	ACCOUNT #: LSR011684	BUY 100 Units @33.1000						
10/30/2018	***-**-15IN - PENDRAK, JOHN	DENBURY RES INC DEL COM USD0.001	3,350.00	49.99	35.00	14.99	0.0	0.00
	ACCOUNT #: LSR010948	BUY 1000 Units @3.3500						
10/30/2018	***-**-11IO - LYNN G.	DIEBOLD NIXDORF INCORPORATED COM US	3,590.00	67.49	35.00	32.49	0.0	0.00
	ACCOUNT #: LSR011239	BUY 1000 Units @3.5900						



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<b>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: STOCKS (continued)</b>								
10/29/2018	***-**-376I - BERBEN, GAIL	DUKE ENERGY CORP COM USD0.001 ISIN	8,281.50	100.83	17.00	83.83	0.0	0.00
	ACCOUNT #: LSR011380	BUY 100 Units @82.8150						
10/29/2018	***-**-663I - LASCALA, DEBORAH	DUKE ENERGY CORP COM USD0.001 ISIN	8,320.00	101.20	17.00	84.20	0.0	0.00
	ACCOUNT #: LSR012790	BUY 100 Units @83.2000						
10/26/2018	***-**-31IO - WILLIAMSON, FBO	STEIN MART INC COM	2,550.00	49.99	18.00	31.99	0.0	0.00
	ACCOUNT #: LSR011172	BUY 1500 Units @1.7000						
10/26/2018	***-**-79TR - OR CYNTHIA	STEIN MART INC COM	4,275.00	49.99	18.00	31.99	0.0	0.00
	ACCOUNT #: LSR012749	BUY 2500 Units @1.7100						
10/30/2018	***-**-44IO - MAYO, DEBORAH	VERIZON COMMUNICATIONS UNSOLICITED	5,784.00	87.49	17.00	70.49	0.0	0.00
	ACCOUNT #: LSR011079	SELL 100 Units @57.8400						
10/30/2018	***-**-15IN - PENDRAK, JOHN	WESTPAC BANKING CORPORATION ADR(EAC	5,676.00	77.49	21.00	56.49	0.0	0.00
	ACCOUNT #: LSR010948	BUY 300 Units @18.9200						
<b>* STOCKS SUBTOTAL *</b>			<b>\$45,136.50</b>	<b>\$635.57</b>	<b>\$195.00</b>	<b>\$440.57</b>		<b>\$0.00</b>
<b>PRODUCT CATEGORY: VARIABLE ANNUITIES</b>								
10/29/2018	***-**-889I - FRANZ, JONATHAN	PACIFIC LIFE SE5-NYB DTCC	300.00	9.00	0.00	9.00	0.0	0.00
	ACCOUNT #: VP71081770	BUY 0 Units @0.0000						
11/01/2018	***-**-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>\$335.92</b>	<b>\$10.08</b>	<b>\$0.00</b>	<b>\$10.08</b>		<b>\$0.00</b>
<b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</b>								
11/05/2018	***-**-6604 - REYNOLDS, DIANE	BLACKROCK TRAILS	0.00	3.49	0.00	3.49	0.0	0.00
	ACCOUNT #: 5290810273	BUY 0 Units @0.0000						
10/30/2018	***-**-15IR - PENDRACK, JACK	INTERNATIONAL CORE EQUITY C	5,000.00	19.99	6.00	13.99	0.0	0.00
	ACCOUNT #: LSR012043	BUY 423 Units @11.8300						
<b>* MUTUAL FUND 12B1 TRAILS SUBTOTAL *</b>			<b>\$5,000.00</b>	<b>\$23.48</b>	<b>\$6.00</b>	<b>\$17.48</b>		<b>\$0.00</b>
<b>PRODUCT CATEGORY: VARIABLE ANNUITY 12B1 TRAILS</b>								
10/31/2018	***-**-89IN - LEE, ROGER	JACKSON 468511480	0.00	23.01	0.00	23.01	0.0	0.00
	ACCOUNT #: 1200175188	BUY 0 Units @0.0000						
<b>* VARIABLE ANNUITY 12B1 TRAILS SUBTOTAL *</b>			<b>\$0.00</b>	<b>\$23.01</b>	<b>\$0.00</b>	<b>\$23.01</b>		<b>\$0.00</b>



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<b>TRANSACTIONS (continued)</b>								
*** BROKER TRANSACTIONS TOTAL ***			\$143,497.34	\$1,541.12	\$549.00	\$992.12		\$-6.00

## BROKER COMMISSION TOTALS

Broker Transactions	\$-6.00
Split Transactions	\$0.00
Override Transactions	\$0.00
Adjustments	\$0.00
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$-418.81
FINRA Assessment	\$0.00
SIPC Assessment	\$0.00

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

Balance Forward	\$-424.81
Year-to-date Earnings	\$0.00