



# COMMISSION STATEMENT

## October 22, 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>								
10/18/2018	***-**-51IO - CAIN, TIMOTHY ACCOUNT #: LSR011007	AMERICAN FUNDS BALANCED PORT CL C SELL 418 Units @14.3700	6,000.01	18.00	18.00	0.00	0.0	0.00
10/02/2018	***-**-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
10/15/2018	***-**-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
10/17/2018	***-**-79TR - OR CYNTHIA ACCOUNT #: LSR012749	CAPITAL INCOME BUILDER-A SELL 85 Units @58.9500	5,000.02	19.99	18.00	1.99	0.0	0.00
10/15/2018	***-**-2855 - KRECIDLO, MARTA ACCOUNT #: 00083510745	CAPITAL WORLD GROWTH AND INCOME FUN BUY 2 Units @47.6700	75.00	0.75	0.00	0.75	0.0	0.00
10/15/2018	***-**-0069 - KRECIDLO, ACCOUNT #: 00083510637	CAPITAL WORLD GROWTH AND INCOME FUN BUY 2 Units @47.6700	75.00	0.75	0.00	0.75	0.0	0.00
10/15/2018	***-**-09IO - BATES, FBO MRS ACCOUNT #: LSR011117	CION ARES DIVERSIFIED CREDIT C BUY 504 Units @25.8100	13,000.01	148.00	18.00	130.00	0.0	0.00
10/17/2018	***-**-579I - RHYMESTINE, ACCOUNT #: LSR011082	CION ARES DIVERSIFIED CREDIT C BUY 581 Units @25.8100	15,000.00	168.00	18.00	150.00	0.0	0.00
10/17/2018	***-**-64IO - PFAFF, GEORGE ACCOUNT #: LSR011185	EQUITY INCOME FUND, INC. A SELL 125 Units @31.8900	3,999.99	18.00	18.00	0.00	0.0	0.00
10/18/2018	***-**-51IO - CAIN, TIMOTHY ACCOUNT #: LSR011007	EQUITY INCOME FUND, INC. A SELL 158 Units @31.5700	4,999.99	18.00	18.00	0.00	0.0	0.00
10/09/2018	***-**-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
10/17/2018	***-**-79TR - OR CYNTHIA ACCOUNT #: LSR012749	FUNDAMENTAL INVESTORS-A SELL 86 Units @62.8700	5,391.92	19.99	18.00	1.99	0.0	0.00
10/17/2018	***-**-79TR - OR CYNTHIA ACCOUNT #: LSR012749	GLOBAL GROWTH PORTFOLIO-A SELL 245 Units @16.6700	4,080.00	19.99	18.00	1.99	0.0	0.00
10/02/2018	***-**-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
10/15/2018	***-**-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
10/17/2018	***-**-64IO - PFAFF, GEORGE ACCOUNT #: LSR011185	MFS UTILITIES FUND-B SELL 98 Units @20.4200	2,000.00	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>								
10/04/2018	***-**-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						
10/09/2018	***-**-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						
10/09/2018	***-**-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						
10/15/2018	***-**-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						
10/17/2018	***-**-663I - LASCALA, DEBORAH	OPPENHEIMER GOLD & SPECIAL MINERALS	5,000.00	68.00	18.00	50.00	0.0	0.00
	ACCOUNT #: LSR012790	BUY 380 Units @13.1500						
10/09/2018	***-**-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						
10/18/2018	***-**-51IO - CAIN, TIMOTHY	PUTNAM GROWTH OPPORTUNITIES FUND CL	5,000.00	18.00	18.00	0.00	0.0	0.00
	ACCOUNT #: LSR011007	SELL 168 Units @29.7000						
10/18/2018	***-**-80IN - COBB, JAMES	ROCHESTER NATIONAL MUNICIPALS A	12,961.46	19.99	18.00	1.99	0.0	0.00
	ACCOUNT #: LSR011042	SELL 1790 Units @7.2400						
<b>* MUTUAL FUNDS SUBTOTAL *</b>			<b>\$83,193.09</b>	<b>\$561.56</b>	<b>\$216.00</b>	<b>\$345.56</b>		<b>\$0.00</b>
<b>PRODUCT CATEGORY: STOCKS</b>								
10/15/2018	***-**-3660 - GRUENEWALD,	AMAZON.COM INC UNSOLICITED ORDER	1,765.15	35.69	18.00	17.69	0.0	0.00
	ACCOUNT #: LSR010987	BUY 1 Units @1765.1510						
10/12/2018	***-**-065I - LAZIO, THOMAS	CHEVRON CORP NEW SOLICITED ORDER	5,915.00	87.49	16.00	71.49	0.0	0.00
	ACCOUNT #: LSR010979	SELL 50 Units @118.3000						
10/12/2018	***-**-05IN - GATES, ROGER	FOOT LOCKER INC COM	19,732.00	387.49	23.00	364.49	0.0	0.00
	ACCOUNT #: LSR012771	SELL 400 Units @49.3300						
10/12/2018	***-**-3660 - GRUENEWALD,	LOXO ONCOLOGY INC	1,947.96	37.44	15.24	22.20	0.0	0.00
	ACCOUNT #: LSR010987	SELL 12 Units @162.3300						
10/17/2018	***-**-79TR - OR CYNTHIA	MERCK & CO INC NEW COM	7,213.42	87.49	17.02	70.47	0.0	0.00
	ACCOUNT #: LSR012749	SELL 101 Units @71.4200						
10/17/2018	***-**-579I - RHYMESTINE,	NORDIC AMERICAN TANKERS LIMITE COM	4,660.00	57.49	55.00	2.49	0.0	0.00
	ACCOUNT #: LSR011082	BUY 2000 Units @2.3300						
10/17/2018	***-**-513I - RHYMESTINE,	NORDIC AMERICAN TANKERS LIMITE COM	3,450.00	54.99	45.00	9.99	0.0	0.00
	ACCOUNT #: LSR012457	BUY 1500 Units @2.3000						



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<b>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: STOCKS (continued)</b>								
10/18/2018	***-**-306X - COBB, CHERRYL	NORDIC AMERICAN TANKERS LIMITE COM	2,350.00	49.99	35.00	14.99	0.0	0.00
	ACCOUNT #: LSR011037	BUY 1000 Units @2.3500						
10/18/2018	***-**-80IN - COBB, JAMES	NORDIC AMERICAN TANKERS LIMITE COM	2,350.00	49.99	35.00	14.99	0.0	0.00
	ACCOUNT #: LSR011042	BUY 1000 Units @2.3500						
10/18/2018	***-**-213J - GRUENEWALD,	NRG ENERGY INC COM NEW	3,684.00	54.50	17.00	37.50	0.0	0.00
	ACCOUNT #: LSR011616	SELL 100 Units @36.8400						
10/17/2018	***-**-79TR - OR CYNTHIA	VERIZON COMMUNICATIONS UNSOLICITED	5,418.00	77.49	17.00	60.49	0.0	0.00
	ACCOUNT #: LSR012749	SELL 100 Units @54.1800						
10/17/2018	***-**-79TR - OR CYNTHIA	WALMART STORES INC UNSOLICITED ORDE	9,628.00	147.49	17.00	130.49	0.0	0.00
	ACCOUNT #: LSR012749	SELL 100 Units @96.2800						
		<b>* STOCKS SUBTOTAL *</b>	<b>\$68,113.53</b>	<b>\$1,127.54</b>	<b>\$310.26</b>	<b>\$817.28</b>		<b>\$0.00</b>
<b>PRODUCT CATEGORY: VARIABLE ANNUITIES</b>								
10/22/2018	***-**-48IO - CLARK, PATRICK	BRIGHTHOUSE VA TRAILS	0.00	75.11	0.00	75.11	0.0	0.00
		BUY 1 Units @0.0000						
		<b>* VARIABLE ANNUITIES SUBTOTAL *</b>	<b>\$0.00</b>	<b>\$75.11</b>	<b>\$0.00</b>	<b>\$75.11</b>		<b>\$0.00</b>
<b>PRODUCT CATEGORY: 529 PLAN</b>								
10/15/2018	***-**-5375 - CARTER, LISA	AMERICAN BALANCED FUND-529C	500.00	5.00	0.00	5.00	0.0	0.00
	ACCOUNT #: 00083996363	BUY 19 Units @26.9800						
		<b>* 529 PLAN SUBTOTAL *</b>	<b>\$500.00</b>	<b>\$5.00</b>	<b>\$0.00</b>	<b>\$5.00</b>		<b>\$0.00</b>
<b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</b>								
10/22/2018	***-**-6604 - REYNOLDS, DIANE	BLACKROCK TRAILS	0.00	4.00	0.00	4.00	0.0	0.00
	ACCOUNT #: 5290810273	BUY 0 Units @0.0000						
10/22/2018	***-**-9440 - MAYO, DEBORAH	EATON VANCE MF TRAILS	0.00	0.19	0.00	0.19	0.0	0.00
	ACCOUNT #: 5034930049	BUY 0 Units @0.0000						
10/22/2018	***-**-9440 - MAYO, DEBORAH	EATON VANCE MF TRAILS	0.00	0.23	0.00	0.23	0.0	0.00
	ACCOUNT #: 5034930049	BUY 0 Units @0.0000						
10/04/2018	***-**-48IO - CLARK, PATRICK	MAINSTAY CORNERSTONE GROWTH FD INV	0.00	3.94	0.00	3.94	0.0	0.00
	ACCOUNT #: 00079955487	BUY 0 Units @0.0000						
10/04/2018	***-**-48IO - CLARK, PATRICK	MAINSTAY HGH YLD CRP BD INVESTOR CL	0.00	3.58	0.00	3.58	0.0	0.00
	ACCOUNT #: 00079924809	BUY 0 Units @0.0000						



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<b>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b>								
10/04/2018	***--48IO - CLARK, PATRICK	MAINSTAY MF TRAILS 56064B811	0.00	1.84	0.00	1.84	0.0	0.00
	ACCOUNT #: 00079955487	BUY 0 Units @0.0000						
		<b>* MUTUAL FUND 12B1 TRAILS SUBTOTAL *</b>	<b>\$0.00</b>	<b>\$13.78</b>	<b>\$0.00</b>	<b>\$13.78</b>		<b>\$0.00</b>
		<b>*** BROKER TRANSACTIONS TOTAL ***</b>	<b>\$151,806.62</b>	<b>\$1,782.99</b>	<b>\$526.26</b>	<b>\$1,256.73</b>		<b>\$0.00</b>

## BROKER COMMISSION TOTALS

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	\$-400.81
FINRA Assessment	\$0.00
SIPC Assessment	\$0.00

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

<b>Balance Forward</b>	<b>\$-400.81</b>
<b>Year-to-date Earnings</b>	<b>\$0.00</b>