



COMMISSION STATEMENT

November 12, 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>								
10/12/2018	***-**-802I - RHYMESTINE,	GWG L BOND - 2YR BUY 10 Units @1000.0000	10,000.00	400.00	0.00	400.00	0.0	0.00
10/12/2018	***-**-802I - RHYMESTINE,	GWG L BOND - 3YR BUY 10 Units @1000.0000	10,000.00	500.00	0.00	500.00	0.0	0.00
10/12/2018	***-**-802I - RHYMESTINE,	GWG L BOND - 5 YR BUY 10 Units @1000.0000	10,000.00	590.00	0.00	590.00	0.0	0.00
11/12/2018	***-**-473J - HUSTON, ACCOUNT #: 20001517	UNDERWRITER COMM BUY 0 Units @0.0000	0.00	58.02	0.00	58.02	0.0	0.00
11/12/2018	***-**-959I - FRANZ, PAUL ACCOUNT #: 20001536	UNDERWRITER COMM BUY 0 Units @0.0000	0.00	58.02	0.00	58.02	0.0	0.00
11/12/2018	***-**-99IO - EDELMAN, TINA	UNDERWRITER COMM BUY 0 Units @0.0000	0.00	66.54	0.00	66.54	0.0	0.00
* ALTERNATIVE INVESTMENTS SUBTOTAL *			\$30,000.00	\$1,672.58	\$0.00	\$1,672.58		\$0.00
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
10/29/2018	***-**-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
11/08/2018	***-**-60IO - JOSEPH, ACCOUNT #: LSR012336	CION ARES DIVERSIFIED CREDIT C BUY 329 Units @25.8000	8,499.99	103.00	18.00	85.00	0.0	0.00
10/22/2018	***-**-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
10/29/2018	***-**-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
11/02/2018	***-**-09IO - BATES, FBO MRS ACCOUNT #: LSR011117	INCOME FUND OF AMERICA CLASS C SELL 158 Units @22.1000	3,500.00	18.00	18.00	0.00	0.0	0.00
10/29/2018	***-**-13IN - RHYMESTINE, ACCOUNT #: 08191178476	MFS EMERGING MARKETS EQUITY FUND-B BUY 2 Units @26.9300	50.00	2.00	0.00	2.00	0.0	0.00
10/29/2018	***-**-13IN - RHYMESTINE, ACCOUNT #: 08191178476	MFS EMERGING MKT DEBT CL B BUY 4 Units @13.8300	50.00	2.00	0.00	2.00	0.0	0.00
10/25/2018	***-**-094I - KATRENA L ACCOUNT #: 08191140345	MFS GLOBAL TOTAL RETURN FUND-B BUY 3 Units @17.2700	50.00	2.00	0.00	2.00	0.0	0.00
10/29/2018	***-**-13IN - RHYMESTINE, ACCOUNT #: 08191178476	MFS INTERNATIONAL VALUE FUND-B BUY 3 Units @37.4200	100.00	4.00	0.00	4.00	0.0	0.00



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUNDS (continued)								
10/29/2018	***-**-13IN - RHYMESTINE, ACCOUNT #: 08191178476	MFS TOTAL RETURN FUND-B BUY 3 Units @18.1400	50.00	2.00	0.00	2.00	0.0	0.00
11/06/2018	***-**-21IO - RADELL, SANDRA ACCOUNT #: LSR011392	MFS UTILITIES FUND-B SELL 49 Units @20.3000	1,000.00	18.00	18.00	0.00	0.0	0.00
10/22/2018	***-**-13IN - BLISS, PATRICK ACCOUNT #: 05521022681	OPPENHEIMER ACTIVE ALLOCATION FUND BUY 0 Units @0.0000	75.00	0.75	0.00	0.75	0.0	0.00
10/22/2018	***-**-48JT - LEE, DARLENE ACCOUNT #: 05521043603	OPPENHEIMER ACTIVE ALLOCATION FUND BUY 0 Units @0.0000	50.00	0.50	0.00	0.50	0.0	0.00
10/29/2018	***-**-775I - BLISS, APRIL ACCOUNT #: 05521022692	OPPENHEIMER ACTIVE ALLOCATION FUND BUY 0 Units @0.0000	93.71	0.94	0.00	0.94	0.0	0.00
11/02/2018	***-**-09IO - BATES, FBO MRS ACCOUNT #: LSR011117	OPPENHEIMER ACTIVE ALLOCATION FUND SELL 146 Units @13.6700	2,000.00	18.00	18.00	0.00	0.0	0.00
10/22/2018	***-**-48JT - LEE, DARLENE ACCOUNT #: 01971019612	OPPENHEIMER INTERNATIONAL DIVERSIFI BUY 0 Units @0.0000	50.00	0.50	0.00	0.50	0.0	0.00
11/02/2018	***-**-960J - MASTRANGELO, ACCOUNT #: LSR010966	PUTNAM EQUITY INCOME FUND-B SELL 83 Units @24.0500	2,000.00	18.00	18.00	0.00	0.0	0.00
11/02/2018	***-**-960J - MASTRANGELO, ACCOUNT #: LSR010966	PUTNAM UTILITIES GR & INC-B SELL 151 Units @13.2400	1,999.99	18.00	18.00	0.00	0.0	0.00
11/08/2018	***-**-60IO - JOSEPH, ACCOUNT #: LSR012336	RESOURCE CREDIT INCOME FUND C BUY 760 Units @11.1900	8,500.00	103.00	18.00	85.00	0.0	0.00
* MUTUAL FUNDS SUBTOTAL *			\$28,318.69	\$313.19	\$126.00	\$187.19		\$0.00
PRODUCT CATEGORY: STOCKS								
11/05/2018	***-**-15IN - PENDRAK, JOHN ACCOUNT #: LSR010948	CAMECO CORP COM NPV ISIN #CA13321L1 SELL 300 Units @12.0400	3,612.00	67.49	21.00	46.49	0.0	0.00
11/06/2018	***-**-15IN - PENDRAK, JOHN ACCOUNT #: LSR010948	GENERAL ELECTRIC CO UNSOLICITED ORD BUY 400 Units @9.4400	3,776.00	57.49	23.00	34.49	0.0	0.00
11/07/2018	***-**-726I - YADDAW, DEBRA ACCOUNT #: LSR012338	REALTY INCOME CORP COMMON STOCK BUY 100 Units @61.8000	6,180.00	79.80	17.00	62.80	0.0	0.00
* STOCKS SUBTOTAL *			\$13,568.00	\$204.78	\$61.00	\$143.78		\$0.00



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<u>BROKER TRANSACTIONS (continued)</u>								
<u>PRODUCT CATEGORY: UNIT INVESTMENT TRUSTS</u>								
11/07/2018	***-**-726I - YADDAW, DEBRA	TANGER FACTORY OUTLET CTRS INC UNSO	1,240.20	17.17	24.00	-6.83	100.0	-6.83
	ACCOUNT #: LSR012338	BUY 53 Units @23.4000						
11/07/2018	***-**-726I - YADDAW, DEBRA	TANGER FACTORY OUTLET CTRS INC UNSO	2,340.00	32.40	0.00	32.40	0.0	0.00
	ACCOUNT #: LSR012338	BUY 100 Units @23.4000						
11/07/2018	***-**-726I - YADDAW, DEBRA	TANGER FACTORY OUTLET CTRS INC UNSO	1,099.80	15.23	0.00	15.23	0.0	0.00
	ACCOUNT #: LSR012338	BUY 47 Units @23.4000						
11/02/2018	***-**-663I - LASCALA, DEBORAH	VENTAS INC UNSOLICITED ORDER	5,620.00	74.20	24.00	50.20	0.0	0.00
	ACCOUNT #: LSR012790	BUY 100 Units @56.2000						
		* UNIT INVESTMENT TRUSTS SUBTOTAL *	\$10,300.00	\$139.00	\$48.00	\$91.00		\$-6.83
<u>PRODUCT CATEGORY: 529 PLAN</u>								
11/12/2018	***-**-0767 - DOVI,	NY 529 ADDITIONAL DEPOSIT	24.75	0.25	0.00	0.25	0.0	0.00
	ACCOUNT #: 77579193101	BUY 0 Units @0.0000						
11/12/2018	***-**-473J - HUSTON,	NY 529 ADDITIONAL DEPOSIT	396.00	4.00	0.00	4.00	0.0	0.00
	ACCOUNT #: 77852732401	BUY 0 Units @0.0000						
11/12/2018	***-**-20IR - DEMETRI, AMELIA	NY 529 ADDITIONAL DEPOSIT	47.37	2.38	0.00	2.38	0.0	0.00
	ACCOUNT #: 77854436501	BUY 0 Units @0.0000						
		* 529 PLAN SUBTOTAL *	\$468.12	\$6.63	\$0.00	\$6.63		\$0.00
		*** BROKER TRANSACTIONS TOTAL ***	\$82,654.81	\$2,336.18	\$235.00	\$2,101.18		\$-6.83



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				GROSS	CLEARING	NET	BROKER	
DATE	CLIENT	INVESTMENT	AMOUNT	COMMISSION	CHARGE	COMMISSION	RATE	COMMISSION
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