



COMMISSION STATEMENT

September 24, 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>								
09/24/2018	***-**-86IN - LEE, KEVIN	UNDERWRITER COMM	0.00	75.43	0.00	75.43	0.0	0.00
	ACCOUNT #: 20001477	BUY 0 Units @0.0000						
		* ALTERNATIVE INVESTMENTS SUBTOTAL *	\$0.00	\$75.43	\$0.00	\$75.43		\$0.00
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
09/20/2018	***-**-287J - HINCKLEY,	AMERICAN FUNDS MORTGAGE FD CL C	4,000.00	18.00	18.00	0.00	0.0	0.00
	ACCOUNT #: LSR010841	SELL 412 Units @9.7000						
09/20/2018	***-**-287J - HINCKLEY,	AMERICAN GLOBAL BALANCED CL C	4,250.00	18.00	18.00	0.00	0.0	0.00
	ACCOUNT #: LSR010841	SELL 133 Units @32.0300						
09/18/2018	***-**-05IN - GATES, ROGER	CAPITAL WORLD BOND FUND-C	20,000.00	218.00	18.00	200.00	0.0	0.00
	ACCOUNT #: LSR012771	BUY 1055 Units @18.9500						
09/17/2018	***-**-2855 - KRECIDLO, MARTA	CAPITAL WORLD GROWTH AND INCOME FUN	75.00	0.75	0.00	0.75	0.0	0.00
	ACCOUNT #: 00083510745	BUY 2 Units @49.7600						
09/17/2018	***-**-0069 - KRECIDLO,	CAPITAL WORLD GROWTH AND INCOME FUN	75.00	0.75	0.00	0.75	0.0	0.00
	ACCOUNT #: 00083510637	BUY 2 Units @49.7600						
09/18/2018	***-**-287J - HINCKLEY,	EQUITY INCOME FUND, INC. A	2,939.07	19.99	18.00	1.99	0.0	0.00
	ACCOUNT #: LSR010841	SELL 89 Units @32.9500						
09/10/2018	***-**-48JT - LEE, DARLENE	EQUITY INCOME FUND, INC. C	50.00	0.50	0.00	0.50	0.0	0.00
	ACCOUNT #: 08370750926	BUY 0 Units @0.0000						
09/19/2018	***-**-32IO - WITT, DEBORAH	MFS TECHNOLOGY CLASS C	5,345.41	18.00	18.00	0.00	0.0	0.00
	ACCOUNT #: LSR012285	SELL 138 Units @38.6900						
09/10/2018	***-**-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						
09/10/2018	***-**-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						
09/10/2018	***-**-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						
09/18/2018	***-**-287J - HINCKLEY,	OPPENHEIMER ROCHEST AMT-FREE NY MUN	3,835.03	18.00	18.00	0.00	0.0	0.00
	ACCOUNT #: LSR010841	SELL 341 Units @11.2600						
09/18/2018	***-**-287J - HINCKLEY,	RISEING DIVIDENDS FUND A	2,845.39	19.99	18.00	1.99	0.0	0.00
	ACCOUNT #: LSR010841	SELL 136 Units @20.9000						
09/18/2018	***-**-287J - HINCKLEY,	TRANSAMERICA SHORT TERM BOND CL C	10,824.00	18.00	18.00	0.00	0.0	0.00
	ACCOUNT #: LSR010841	SELL 1076 Units @10.0600						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: STOCKS (continued)								
* MUTUAL FUNDS SUBTOTAL *			\$54,413.90	\$351.73	\$144.00	\$207.73		\$0.00
PRODUCT CATEGORY: STOCKS								
09/17/2018	***-**-05IN - GATES, ROGER ACCOUNT #: LSR012771	MICROSOFT CORP UNSOLICITED ORDER EX SELL 115 Units @112.5350	12,941.53	247.49	18.00	229.49	0.0	0.00
09/17/2018	***-**-20IO - DEMETRI, AMELIA ACCOUNT #: LSR010995	THE SCOTTS MIRACLE GRO COMPANY CL A BUY 75 Units @78.6650	5,899.88	77.00	16.50	60.50	0.0	0.00
09/17/2018	***-**-366I - GRUENEWALD, ACCOUNT #: LSR010989	TILRAY INC COM USD0.0001 CLASS 2 BUY 17 Units @117.6760	2,000.49	37.95	15.34	22.61	0.0	0.00
09/20/2018	***-**-930J - SANGER, KEVIN ACCOUNT #: LSR010940	WESTPAC BANKING CORPORATION ADR(EAC BUY 200 Units @20.4470	4,089.40	49.99	19.00	30.99	0.0	0.00
* STOCKS SUBTOTAL *			\$24,931.30	\$412.43	\$68.84	\$343.59		\$0.00
PRODUCT CATEGORY: 529 PLAN								
09/17/2018	***-**-5375 - CARTER, LISA ACCOUNT #: 00083996363	AMERICAN BALANCED FUND-529C BUY 18 Units @27.7600	500.00	5.00	0.00	5.00	0.0	0.00
09/24/2018	***-**-614J - BUSHEY, MATTHEW	NY 529 ADDITIONAL DEPOSIT BUY 0 Units @0.0000	100.00	4.75	0.00	4.75	0.0	0.00
09/24/2018	***-**-20IR - DEMETRI, AMELIA ACCOUNT #: 77854436501	NY 529 ADDITIONAL DEPOSIT BUY 0 Units @0.0000	50.00	2.42	0.00	2.42	0.0	0.00
09/20/2018	***-**-755P - SHEPPARD, ACCOUNT #: 00084018452	THE GROWTH FUND OF AMERICA-529C BUY 1 Units @52.2600	50.00	0.50	0.00	0.50	0.0	0.00
* 529 PLAN SUBTOTAL *			\$700.00	\$12.67	\$0.00	\$12.67		\$0.00
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS								
09/24/2018	***-**-9440 - MAYO, DEBORAH ACCOUNT #: 5034930049	EATON VANCE MF TRAILS BUY 0 Units @0.0000	0.00	0.43	0.00	0.43	0.0	0.00
09/24/2018	***-**-9440 - MAYO, DEBORAH ACCOUNT #: 5034930049	EATON VANCE MF TRAILS BUY 0 Units @0.0000	0.00	0.42	0.00	0.42	0.0	0.00
09/24/2018	***-**-9440 - MAYO, DEBORAH ACCOUNT #: 5034930049	EATON VANCE MF TRAILS BUY 0 Units @0.0000	0.00	0.19	0.00	0.19	0.0	0.00
09/24/2018	***-**-9440 - MAYO, DEBORAH ACCOUNT #: 5034930049	EATON VANCE MF TRAILS BUY 0 Units @0.0000	0.00	0.24	0.00	0.24	0.0	0.00



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
09/24/2018	***-**-9440 - MAYO, DEBORAH	NEW YORK 529 TRAILS	0.00	7.64	0.00	7.64	0.0	0.00
	ACCOUNT #: 77002217601	BUY 0 Units @0.0000						
09/24/2018	***-**-80IN - COBB, JAMES	NEW YORK 529 TRAILS	0.00	30.73	0.00	30.73	0.0	0.00
	ACCOUNT #: 77169961901	BUY 0 Units @0.0000						
09/24/2018	***-**-665P - MCCLUSKY, YVONNE	NEW YORK 529 TRAILS	0.00	0.84	0.00	0.84	0.0	0.00
	ACCOUNT #: 77237884701	BUY 0 Units @0.0000						
09/24/2018	***-**-0069 - KRECIDL0,	NEW YORK 529 TRAILS	0.00	2.07	0.00	2.07	0.0	0.00
	ACCOUNT #: 77308070501	BUY 0 Units @0.0000						
09/24/2018	***-**-614J - BUSHEY, MATTHEW	NEW YORK 529 TRAILS	0.00	3.27	0.00	3.27	0.0	0.00
		BUY 0 Units @0.0000						
09/24/2018	***-**-5384 - GURDO, JESSICA	NEW YORK 529 TRAILS	0.00	0.50	0.00	0.50	0.0	0.00
		BUY 0 Units @0.0000						
09/24/2018	***-**-0767 - DOVI,	NEW YORK 529 TRAILS	0.00	0.95	0.00	0.95	0.0	0.00
	ACCOUNT #: 77579193101	BUY 0 Units @0.0000						
09/24/2018	***-**-251I - SCALISE, MARY	NEW YORK 529 TRAILS	0.00	35.99	0.00	35.99	0.0	0.00
	ACCOUNT #: 77691153101	BUY 0 Units @0.0000						
09/24/2018	***-**-635P - LASCALA, DEBORAH	NEW YORK 529 TRAILS	0.00	2.00	0.00	2.00	0.0	0.00
	ACCOUNT #: 77699193301	BUY 0 Units @0.0000						
09/24/2018	***-**-065P - CAMPBELL, PAMELA	NEW YORK 529 TRAILS	0.00	0.78	0.00	0.78	0.0	0.00
	ACCOUNT #: 77830931201	BUY 0 Units @0.0000						
09/24/2018	***-**-473J - HUSTON,	NEW YORK 529 TRAILS	0.00	15.93	0.00	15.93	0.0	0.00
	ACCOUNT #: 77852732401	BUY 0 Units @0.0000						
09/24/2018	***-**-20IR - DEMETRI, AMELIA	NEW YORK 529 TRAILS	0.00	1.04	0.00	1.04	0.0	0.00
	ACCOUNT #: 77854436501	BUY 0 Units @0.0000						
09/24/2018	***-**-205P - RHYMESTINE, ERIC	NEW YORK 529 TRAILS	0.00	0.51	0.00	0.51	0.0	0.00
	ACCOUNT #: 77885699801	BUY 0 Units @0.0000						
09/24/2018	***-**-671I - EBERLEY, REID	RESOURCE REAL ESTATE TRAILS	0.00	14.24	0.00	14.24	0.0	0.00
	ACCOUNT #: 20021572	BUY 0 Units @0.0000						
09/24/2018	***-**-44IO - MAYO, DEBORAH	RESOURCE REAL ESTATE TRAILS	0.00	9.67	0.00	9.67	0.0	0.00
	ACCOUNT #: 020026000	BUY 0 Units @0.0000						
09/24/2018	***-**-524I - SCALISE, JOSEPH	RESOURCE REAL ESTATE TRAILS	0.00	0.54	0.00	0.54	0.0	0.00
		BUY 0 Units @0.0000						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
09/24/2018	***-**-44IO - MAYO, DEBORAH	RESOURCE REAL ESTATE TRAILS	0.00	9.67	0.00	9.67	0.0	0.00
	ACCOUNT #: 020026000	BUY 0 Units @0.0000						
09/24/2018	***-**-524I - SCALISE, JOSEPH	RESOURCE REAL ESTATE TRAILS	0.00	0.54	0.00	0.54	0.0	0.00
		BUY 0 Units @0.0000						
09/24/2018	***-**-15IN - PENDRAK, JOHN	RESOURCE REAL ESTATE TRAILS	0.00	1.70	0.00	1.70	0.0	0.00
		BUY 0 Units @0.0000						
09/24/2018	***-**-960J - MASTRANGELO,	RESOURCE REAL ESTATE TRAILS	0.00	17.04	0.00	17.04	0.0	0.00
	ACCOUNT #: 20002467	BUY 0 Units @0.0000						
09/24/2018	***-**-44IO - MAYO, DEBORAH	RESOURCE REAL ESTATE TRAILS	0.00	25.84	0.00	25.84	0.0	0.00
	ACCOUNT #: 020026000	BUY 0 Units @0.0000						
09/24/2018	***-**-31IN - WARMUTH,	RESOURCE REAL ESTATE TRAILS	0.00	4.40	0.00	4.40	0.0	0.00
	ACCOUNT #: 20032739	BUY 0 Units @0.0000						
09/24/2018	***-**-531J - WILLIAMSON,	RESOURCE REAL ESTATE TRAILS	0.00	12.77	0.00	12.77	0.0	0.00
	ACCOUNT #: 20033096	BUY 0 Units @0.0000						
09/24/2018	***-**-65IN - LAZIO, THOMAS	RESOURCE REAL ESTATE TRAILS	0.00	18.75	0.00	18.75	0.0	0.00
	ACCOUNT #: 20010459	BUY 0 Units @0.0000						
09/24/2018	***-**-44IO - MAYO, DEBORAH	RESOURCE REAL ESTATE TRAILS	0.00	-9.67	0.00	-9.67	0.0	0.00
	ACCOUNT #: 020026000	BUY 0 Units @0.0000						
09/24/2018	***-**-524I - SCALISE, JOSEPH	RESOURCE REAL ESTATE TRAILS	0.00	-0.54	0.00	-0.54	0.0	0.00
		BUY 0 Units @0.0000						
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *			\$0.00	\$208.48	\$0.00	\$208.48		\$0.00
*** BROKER TRANSACTIONS TOTAL ***			\$80,045.20	\$1,060.74	\$212.84	\$847.90		\$0.00



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		INVESTMENT	GROSS	CLEARING	NET	BROKER
DATE	CLIENT	AMOUNT	COMMISSION	CHARGE	COMMISSION	COMMISSION
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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		\$-393.30
				FINRA Assessment		\$0.00
				SIPC Assessment		\$0.00
Please Retain for Your Records				Balance Forward		\$-393.30
THERE WILL BE NO PAYMENT THIS PERIOD				Year-to-date Earnings		\$0.00