



COMMISSION STATEMENT

September 10, 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>								
08/09/2018	***-**-663I - LASCALA, DEBORAH	GWG L BOND - 7 YR BUY 15 Units @1000.0000	15,000.00	900.00	0.00	900.00	0.0	0.00
08/21/2018	***-**-43IR - FRANZ, WAYNE	GWG L BOND - 7 YR BUY 15 Units @1000.0000	15,000.00	900.00	0.00	900.00	0.0	0.00
08/09/2018	***-**-663I - LASCALA, DEBORAH	GWG L BOND - 2YR BUY 15 Units @1000.0000	15,000.00	600.00	0.00	600.00	0.0	0.00
08/21/2018	***-**-43IR - FRANZ, WAYNE	GWG L BOND - 2YR BUY 15 Units @1000.0000	15,000.00	600.00	0.00	600.00	0.0	0.00
08/09/2018	***-**-663I - LASCALA, DEBORAH	GWG L BOND - 3YR BUY 20 Units @1000.0000	20,000.00	1,000.00	0.00	1,000.00	0.0	0.00
08/21/2018	***-**-43IR - FRANZ, WAYNE	GWG L BOND - 3YR BUY 20 Units @1000.0000	20,000.00	1,000.00	0.00	1,000.00	0.0	0.00
08/09/2018	***-**-663I - LASCALA, DEBORAH	GWG L BOND - 5 YR BUY 20 Units @1000.0000	20,000.00	1,180.00	0.00	1,180.00	0.0	0.00
08/21/2018	***-**-43IR - FRANZ, WAYNE	GWG L BOND - 5 YR BUY 15 Units @1000.0000	15,000.00	885.00	0.00	885.00	0.0	0.00
* ALTERNATIVE INVESTMENTS SUBTOTAL *			\$135,000.00	\$7,065.00	\$0.00	\$7,065.00		\$0.00
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
09/07/2018	***-**-480J - EVANS, RICHARD	AMERICAN BALANCED FUND-A ACCOUNT #: 00073288662 BUY 4 Units @29.0700	125.00	4.69	0.00	4.69	0.0	0.00
08/30/2018	***-**-51IR - BLAKE, JAMES	AMERICAN FUNDS MORTGAGE FD CL C ACCOUNT #: LSR012391 BUY 1122 Units @9.8000	11,000.00	128.00	18.00	110.00	0.0	0.00
09/06/2018	***-**-959I - FRANZ, PAUL	AMERICAN FUNDS MORTGAGE FD CL C ACCOUNT #: LSR010959 BUY 2041 Units @9.8000	20,000.00	218.00	18.00	200.00	0.0	0.00
09/06/2018	***-**-43IN - FRANZ, WAYNE	AMERICAN FUNDS MORTGAGE FD CL C ACCOUNT #: LSR012636 BUY 2806 Units @9.8000	27,500.00	293.00	18.00	275.00	0.0	0.00
08/31/2018	***-**-376I - BERBEN, GAIL	AMERICAN GLOBAL BALANCED CL C ACCOUNT #: LSR011380 BUY 314 Units @31.8300	10,000.00	118.00	18.00	100.00	0.0	0.00
08/31/2018	***-**-959I - FRANZ, PAUL	CION ARES DIVERSIFIED CREDIT C ACCOUNT #: LSR010959 BUY 466 Units @25.7300	12,000.01	138.00	18.00	120.00	0.0	0.00
08/31/2018	***-**-663I - LASCALA, DEBORAH	FRANKLIN INCOME FUND CLASS C ACCOUNT #: LSR012790 BUY 6329 Units @2.3700	15,000.00	168.00	18.00	150.00	0.0	0.00



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUNDS (continued)								
08/27/2018	***-**-8901 - GURDO, ANTHONY	FUNDAMENTAL INVESTORS-C	150.00	1.50	0.00	1.50	0.0	0.00
	ACCOUNT #: 00087491111	BUY 2 Units @64.6000						
09/06/2018	***-**-15IN - PENDRAK, JOHN	INTERNATIONAL SMALL COMPANY A	7,416.95	19.99	18.00	1.99	0.0	0.00
	ACCOUNT #: LSR010948	SELL 139 Units @53.2200						
09/05/2018	***-**-76IO - MCALLISTER, FBO	MFS GLOBAL TOTAL RETURN FUND-B	1,000.01	18.00	18.00	0.00	0.0	0.00
	ACCOUNT #: LSR011107	SELL 55 Units @18.1000						
09/05/2018	***-**-76IO - MCALLISTER, FBO	MFS INFLATION ADJUSTED BOND CL B	1,000.00	18.00	18.00	0.00	0.0	0.00
	ACCOUNT #: LSR011107	SELL 99 Units @10.0700						
09/05/2018	***-**-76IO - MCALLISTER, FBO	MFS RESEARCH BOND FUND-B	1,000.00	18.00	18.00	0.00	0.0	0.00
	ACCOUNT #: LSR011107	SELL 96 Units @10.3900						
09/05/2018	***-**-76IO - MCALLISTER, FBO	MFS UTILITIES FUND-B	1,000.00	18.00	18.00	0.00	0.0	0.00
	ACCOUNT #: LSR011107	SELL 48 Units @20.7500						
08/31/2018	***-**-20IO - DEMETRI, AMELIA	MUTUAL GLOBAL DISCOVERY FUND - CLAS	2,000.01	18.00	18.00	0.00	0.0	0.00
	ACCOUNT #: LSR010995	SELL 62 Units @32.1700						
08/31/2018	***-**-20IO - DEMETRI, AMELIA	NEW PERSPECTIVE FUND-A	3,000.02	18.00	18.00	0.00	0.0	0.00
	ACCOUNT #: LSR010995	SELL 64 Units @46.8900						
08/20/2018	***-**-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						
08/27/2018	***-**-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						
08/31/2018	***-**-663I - LASCALA, DEBORAH	OPPENHEIMER ACTIVE ALLOCATION FUND	10,000.00	118.00	18.00	100.00	0.0	0.00
	ACCOUNT #: LSR012790	BUY 684 Units @14.6300						
09/04/2018	***-**-05IN - GATES, ROGER	RESOURCE CREDIT INCOME FUND C	20,000.01	218.00	18.00	200.00	0.0	0.00
	ACCOUNT #: LSR012771	BUY 1762 Units @11.3500						
09/04/2018	***-**-05IN - GATES, ROGER	RESOURCE REAL ESTATE-NFS	15,000.00	168.00	18.00	150.00	0.0	0.00
	ACCOUNT #: LSR012771	BUY 1427 Units @10.5100						
08/31/2018	***-**-663I - LASCALA, DEBORAH	SMALLCAP WORLD FUND-C	11,999.99	138.00	18.00	120.00	0.0	0.00
	ACCOUNT #: LSR012790	BUY 225 Units @53.3900						
09/07/2018	***-**-480J - EVANS, RICHARD	THE GROWTH FUND OF AMERICA-A	125.00	4.69	0.00	4.69	0.0	0.00
	ACCOUNT #: 00073288662	BUY 2 Units @57.7400						
08/30/2018	***-**-43IN - FRANZ, WAYNE	U.S. GOVERNMENT SECURITIES FUND CLA	9,500.00	19.99	18.00	1.99	0.0	0.00
	ACCOUNT #: LSR012636	SELL 711 Units @13.3700						



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<u>BROKER TRANSACTIONS (continued)</u>								
<u>PRODUCT CATEGORY: STOCKS (continued)</u>								
* MUTUAL FUNDS SUBTOTAL *			\$178,982.98	\$1,865.52	\$324.00	\$1,541.52		\$0.00
<u>PRODUCT CATEGORY: STOCKS</u>								
09/05/2018	***-**-366I - GRUENEWALD, ACCOUNT #: LSR010989	ADVANCED MICRO DEVICES INC SOLICITE BUY 200 Units @28.1000	5,620.00	72.26	19.00	53.26	0.0	0.00
09/05/2018	***-**-366I - GRUENEWALD, ACCOUNT #: LSR010989	AMAZON.COM INC UNSOLICITED ORDER BUY 4 Units @2008.5000	8,034.00	98.00	18.00	80.00	0.0	0.00
09/06/2018	***-**-31IO - JOSEPH, ANN ACCOUNT #: LSR012337	BERKSHIRE HATHAWAY INC DEL CL B NEW SELL 17 Units @212.4600	3,611.82	29.75	18.00	11.75	0.0	0.00
09/06/2018	***-**-31IO - JOSEPH, ANN ACCOUNT #: LSR012337	BERKSHIRE HATHAWAY INC DEL CL B NEW SELL 18 Units @212.4600	3,824.28	31.50	0.00	31.50	0.0	0.00
09/06/2018	***-**-31IO - JOSEPH, ANN ACCOUNT #: LSR012337	BERKSHIRE HATHAWAY INC DEL CL B NEW SELL 15 Units @212.4600	3,186.90	26.25	0.00	26.25	0.0	0.00
09/06/2018	***-**-51IR - BLAKE, JAMES ACCOUNT #: LSR012391	BERKSHIRE HATHAWAY INC DEL CL B NEW SELL 50 Units @212.3900	10,619.50	57.49	18.00	39.49	0.0	0.00
09/05/2018	***-**-959I - FRANZ, PAUL ACCOUNT #: LSR010959	CREE INC UNSOLICITED ORDER BUY 100 Units @45.6500	4,565.00	63.65	18.00	45.65	0.0	0.00
09/05/2018	***-**-366I - GRUENEWALD, ACCOUNT #: LSR010989	CRONOS GROUP INC COM NPV ISIN #CA22 BUY 200 Units @11.9900	2,398.00	42.22	19.00	23.22	0.0	0.00
08/30/2018	***-**-43IN - FRANZ, WAYNE ACCOUNT #: LSR012636	PHILIP MORRIS INTL INC COM SOLICITE SELL 100 Units @78.5030	7,850.30	97.49	17.00	80.49	0.0	0.00
08/30/2018	***-**-43IN - FRANZ, WAYNE ACCOUNT #: LSR012636	PRUDENTIAL FINL INC UNSOLICITED ORD SELL 91 Units @98.7550	8,986.71	97.49	16.82	80.67	0.0	0.00
08/31/2018	***-**-959I - FRANZ, PAUL ACCOUNT #: LSR010959	TESLA MOTORS INC COM USD0.001 UNSOL SELL 50 Units @301.5000	15,075.00	168.75	16.00	152.75	0.0	0.00
* STOCKS SUBTOTAL *			\$73,771.51	\$784.85	\$159.82	\$625.03		\$0.00
<u>PRODUCT CATEGORY: VARIABLE ANNUITIES</u>								
09/01/2018	***-**-8126 - MCCARTHY, BRIANN ACCOUNT #: VP71028570	PACIFIC LIFE SE5-NYB DTCC BUY 0 Units @0.0000	35.84	1.08	0.00	1.08	0.0	0.00
09/04/2018	***-**-7918 - BAREFOOT, JOHN ACCOUNT #: VP71073430	PACIFIC LIFE SE5-NYB DTCC BUY 0 Units @0.0000	108.00	3.24	0.00	3.24	0.0	0.00
* VARIABLE ANNUITIES SUBTOTAL *			\$143.84	\$4.32	\$0.00	\$4.32		\$0.00



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<u>BROKER TRANSACTIONS (continued)</u>								
<u>PRODUCT CATEGORY: VARIABLE ANNUITY 12B1 TRAILS</u>								
08/31/2018	***-**-89IN - LEE, ROGER	JACKSON 468511480	0.00	24.39	0.00	24.39	0.0	0.00
	ACCOUNT #: 1200175188	BUY 0 Units @0.0000						
08/27/2018	***-**-213I - GRUENEWALD,	PACIFIC LIFE SE5-NYB DTCC	0.00	0.13	0.00	0.13	0.0	0.00
	ACCOUNT #: VP71028580	BUY 0 Units @0.0000						
* VARIABLE ANNUITY 12B1 TRAILS SUBTOTAL *			\$0.00	\$24.52	\$0.00	\$24.52		\$0.00
*** BROKER TRANSACTIONS TOTAL ***			\$387,898.33	\$9,744.21	\$483.82	\$9,260.39		\$0.00

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
THERE WILL BE NO PAYMENT THIS PERIOD

Balance Forward	\$-393.30
Year-to-date Earnings	\$0.00