



COMMISSION STATEMENT

September 03, 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>								
09/03/2018	***-**-287X - HINCKLEY, ACCOUNT #: 20001035	TERRA INCOME FUND 6, INC. BUY 0 Units @0.0000	0.00	40.61	0.00	40.61	0.0	0.00
09/03/2018	***-**-930I - SANGER, KEVIN ACCOUNT #: 020001108	TERRA INCOME FUND 6, INC. BUY 0 Units @0.0000	0.00	107.34	0.00	107.34	0.0	0.00
09/03/2018	***-**-881I - EBERLEY, SUSAN ACCOUNT #: 020002359	TERRA INCOME FUND 6, INC. BUY 0 Units @0.0000	0.00	53.23	0.00	53.23	0.0	0.00
09/03/2018	***-**-837O - BASEMENT	TERRA INCOME FUND 6, INC. BUY 0 Units @0.0000	0.00	66.54	0.00	66.54	0.0	0.00
* ALTERNATIVE INVESTMENTS SUBTOTAL *			\$0.00	\$267.72	\$0.00	\$267.72		\$0.00
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
08/27/2018	***-**-805X - GATES, ROGER ACCOUNT #: LSR012690	AMERICAN EUROPACIFIC GR FND CL F2-N SELL 60 Units @53.8500	3,230.62	24.99	18.00	6.99	0.0	0.00
08/27/2018	***-**-261J - TRAVIS, HOLLY ACCOUNT #: LSR012772	AMERICAN FUNDS MORTGAGE FD CL C BUY 815 Units @9.8100	8,000.00	98.00	18.00	80.00	0.0	0.00
08/24/2018	***-**-805X - GATES, ROGER ACCOUNT #: LSR012690	AMERICAN GROWTH FND OF AMERICA CL F SELL 100 Units @55.5900	5,566.62	24.99	18.00	6.99	0.0	0.00
08/27/2018	***-**-805J - GATES, ROGER ACCOUNT #: LSR012733	BLACKROCK NEW YORK MUNI OPPORT CL A SELL 417 Units @11.2900	4,703.11	24.99	18.00	6.99	0.0	0.00
08/27/2018	***-**-579I - RHYMESTINE, ACCOUNT #: LSR011082	CION ARES DIVERSIFIED CREDIT C BUY 428 Units @25.7200	11,000.01	128.00	18.00	110.00	0.0	0.00
08/27/2018	***-**-376I - BERBEN, GAIL ACCOUNT #: LSR011380	CION ARES DIVERSIFIED CREDIT C BUY 583 Units @25.7200	15,000.01	168.00	18.00	150.00	0.0	0.00
08/27/2018	***-**-513I - RHYMESTINE, ACCOUNT #: LSR012457	CION ARES DIVERSIFIED CREDIT C BUY 389 Units @25.7200	9,999.99	118.00	18.00	100.00	0.0	0.00
08/27/2018	***-**-43IN - FRANZ, WAYNE ACCOUNT #: LSR012636	CION ARES DIVERSIFIED CREDIT C BUY 583 Units @25.7200	15,000.01	168.00	18.00	150.00	0.0	0.00
08/24/2018	***-**-805X - GATES, ROGER ACCOUNT #: LSR012690	DELAWARE VALUE FUND INSTITUTIONAL SELL 154 Units @22.9600	3,527.51	24.99	18.00	6.99	0.0	0.00
08/22/2018	***-**-06IN - SATTERLY, ACCOUNT #: 08191336006	MFS 08191336006 BUY 3 Units @32.5100	100.00	1.00	0.00	1.00	0.0	0.00
08/28/2018	***-**-13IN - RHYMESTINE, ACCOUNT #: 08191178476	MFS EMERGING MARKETS EQUITY FUND-B BUY 2 Units @31.2700	50.00	2.00	0.00	2.00	0.0	0.00



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUNDS (continued)								
08/28/2018	***-**-13IN - RHYMESTINE, ACCOUNT #: 08191178476	MFS EMERGING MKT DEBT CL B BUY 4 Units @14.0200	50.00	2.00	0.00	2.00	0.0	0.00
08/27/2018	***-**-094I - KATRENA L ACCOUNT #: 08191140345	MFS GLOBAL TOTAL RETURN FUND-B BUY 3 Units @18.2600	50.00	2.00	0.00	2.00	0.0	0.00
08/28/2018	***-**-13IN - RHYMESTINE, ACCOUNT #: 08191178476	MFS INTERNATIONAL VALUE FUND-B BUY 2 Units @42.0300	100.00	4.00	0.00	4.00	0.0	0.00
08/28/2018	***-**-13IN - RHYMESTINE, ACCOUNT #: 08191178476	MFS TOTAL RETURN FUND-B BUY 3 Units @19.1900	50.00	2.00	0.00	2.00	0.0	0.00
08/24/2018	***-**-094I - KATRENA L ACCOUNT #: LSR011188	OPPENHEIMER GLBL REAL ESTATE FUND C SELL 702 Units @9.0410	6,347.83	0.00	18.00	-18.00	100.0	-18.00
08/27/2018	***-**-805X - GATES, ROGER ACCOUNT #: LSR012690	RESOURCE CREDIT INCOME FUND C BUY 882 Units @11.3400	10,000.00	118.00	18.00	100.00	0.0	0.00
08/27/2018	***-**-513I - RHYMESTINE, ACCOUNT #: LSR012457	RESOURCE REAL ESTATE-NFS BUY 952 Units @10.5000	10,000.00	118.00	18.00	100.00	0.0	0.00
08/27/2018	***-**-805X - GATES, ROGER ACCOUNT #: LSR012690	RESOURCE REAL ESTATE-NFS BUY 952 Units @10.5000	10,000.00	118.00	18.00	100.00	0.0	0.00
08/24/2018	***-**-805X - GATES, ROGER ACCOUNT #: LSR012690	THE BOND FUND OF AMERICA-F2 SELL 332 Units @12.6100	4,180.92	24.99	18.00	6.99	0.0	0.00
08/30/2018	***-**-851J - BLAKE, JAMES ACCOUNT #: LSR012393	VANGUARD DIVIDEND GROWTH INVESTOR C SELL 62 Units @28.1300	1,750.00	19.99	18.00	1.99	0.0	0.00
08/30/2018	***-**-851I - BLAKE, JAMES ACCOUNT #: LSR012390	VANGUARD TARGET RETIREMENT 2050 INV SELL 331 Units @37.7800	12,500.00	19.99	18.00	1.99	0.0	0.00
08/30/2018	***-**-851J - BLAKE, JAMES ACCOUNT #: LSR012393	VANGUARD TOTAL STOCK MARKET INVESTO SELL 39 Units @72.9700	2,849.99	19.99	18.00	1.99	0.0	0.00
08/27/2018	***-**-805X - GATES, ROGER ACCOUNT #: LSR012690	WASHINGTON MUTUAL INVESTORS FUND-F2 SELL 136 Units @46.7000	6,368.62	24.99	18.00	6.99	0.0	0.00
* MUTUAL FUNDS SUBTOTAL *			\$140,425.24	\$1,256.91	\$324.00	\$932.91		\$-18.00



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<u>BROKER TRANSACTIONS (continued)</u>								
<u>PRODUCT CATEGORY: STOCKS</u>								
08/27/2018	***-**-513I - RHYMESTINE, ACCOUNT #: LSR012457	BERKSHIRE HATHAWAY INC DEL CL B NEW SELL 50 Units @210.3000	10,515.00	77.49	18.00	59.49	0.0	0.00
08/27/2018	***-**-579I - RHYMESTINE, ACCOUNT #: LSR011082	CORNING INC UNSOLICITED ORDER SELL 100 Units @33.6300	3,363.00	57.49	17.00	40.49	0.0	0.00
08/27/2018	***-**-579I - RHYMESTINE, ACCOUNT #: LSR011082	DENBURY RES INC DEL COM USD0.001 SELL 1000 Units @5.2900	5,290.00	77.49	35.00	42.49	0.0	0.00
08/27/2018	***-**-805J - GATES, ROGER ACCOUNT #: LSR012733	EASTMAN CHEMICAL CO SELL 48 Units @99.8700	4,793.76	67.49	15.96	51.53	0.0	0.00
08/27/2018	***-**-51IR - BLAKE, JAMES ACCOUNT #: LSR012391	MERCK & CO INC NEW COM SELL 1 Units @68.8000	68.80	0.77	15.02	-14.25	100.0	-14.25
08/27/2018	***-**-51IR - BLAKE, JAMES ACCOUNT #: LSR012391	MERCK & CO INC NEW COM SELL 99 Units @68.8000	6,811.20	76.72	1.98	74.74	0.0	0.00
08/24/2018	***-**-11IO - LYNN G. ACCOUNT #: LSR011239	STEIN MART INC COM BUY 3000 Units @2.2800	6,840.00	97.49	18.00	79.49	0.0	0.00
08/24/2018	***-**-43IN - FRANZ, WAYNE ACCOUNT #: LSR012636	STEIN MART INC COM BUY 2000 Units @2.2900	4,580.00	57.49	18.00	39.49	0.0	0.00
* STOCKS SUBTOTAL *			\$42,261.76	\$512.43	\$138.96	\$373.47		\$-14.25
<u>PRODUCT CATEGORY: UNIT INVESTMENT TRUSTS</u>								
08/27/2018	***-**-513I - RHYMESTINE, ACCOUNT #: LSR012457	IRON MOUNTAIN INC COM NPV UNSOLICIT SELL 90 Units @35.7000	3,213.00	51.74	24.00	27.74	0.0	0.00
08/27/2018	***-**-513I - RHYMESTINE, ACCOUNT #: LSR012457	IRON MOUNTAIN INC COM NPV UNSOLICIT SELL 10 Units @35.7000	357.00	5.75	0.00	5.75	0.0	0.00
* UNIT INVESTMENT TRUSTS SUBTOTAL *			\$3,570.00	\$57.49	\$24.00	\$33.49		\$0.00
<u>PRODUCT CATEGORY: 529 PLAN</u>								
09/03/2018	***-**-5384 - GURDO, JESSICA	NY 529 ADDITIONAL DEPOSIT BUY 0 Units @0.0000	198.00	2.00	0.00	2.00	0.0	0.00
09/03/2018	***-**-0767 - DOVI, ACCOUNT #: 77579193101	NY 529 ADDITIONAL DEPOSIT BUY 0 Units @0.0000	24.75	0.25	0.00	0.25	0.0	0.00
09/03/2018	***-**-756I - HUSTON, JOUANA ACCOUNT #: 778527324	NY 529 ADDITIONAL DEPOSIT BUY 0 Units @0.0000	396.00	4.00	0.00	4.00	0.0	0.00



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<u>BROKER TRANSACTIONS (continued)</u>								
<u>PRODUCT CATEGORY: 529 PLAN (continued)</u>								
09/03/2018	***--20IR - DEMETRI, AMELIA	NYA JPM 529 AGGR AGE-BASE A	50.00	2.38	0.00	2.38	0.0	0.00
	ACCOUNT #: 77854436501	BUY 0 Units @0.0000						
		* 529 PLAN SUBTOTAL *	\$668.75	\$8.63	\$0.00	\$8.63		\$0.00
		*** BROKER TRANSACTIONS TOTAL ***	\$186,925.75	\$2,103.18	\$486.96	\$1,616.22		\$-32.25

BROKER COMMISSION TOTALS

Broker Transactions	\$-32.25
Split Transactions	\$0.00
Override Transactions	\$0.00
Adjustments	\$0.00
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$-361.05
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