



COMMISSION STATEMENT

October 29, 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: MUTUAL FUNDS</u>								
10/08/2018	***-**-480J - EVANS, RICHARD	AMERICAN BALANCED FUND-A	125.00	4.69	0.00	4.69	0.0	0.00
	ACCOUNT #: 00073288662	BUY 4 Units @29.0300						
10/19/2018	***-**-376I - BERBEN, GAIL	CAPITAL WORLD BOND FUND-C	14,999.99	168.00	18.00	150.00	0.0	0.00
	ACCOUNT #: LSR011380	BUY 802 Units @18.7100						
10/22/2018	***-**-851I - BLAKE, JAMES	CION ARES DIVERSIFIED CREDIT C	10,000.00	118.00	18.00	100.00	0.0	0.00
	ACCOUNT #: LSR012390	BUY 388 Units @25.8000						
10/26/2018	***-**-890I - GURDO, ANTHONY	FUNDAMENTAL INVESTORS-C	150.00	1.50	0.00	1.50	0.0	0.00
	ACCOUNT #: 00087491111	BUY 3 Units @59.2300						
10/22/2018	***-**-506J - CURRIERE JR, MR	INTERNATIONAL GROWTH AND INCOME-A	25.00	1.06	0.00	1.06	0.0	0.00
	ACCOUNT #: 00088062946	BUY 1 Units @32.6500						
10/26/2018	***-**-15IN - PENDRAK, JOHN	LORD ABBETT GROWTH LEADERS FUND CL	5,000.00	19.99	6.00	13.99	0.0	0.00
	ACCOUNT #: LSR010948	BUY 181 Units @27.6500						
10/26/2018	***-**-15IN - PENDRAK, JOHN	LORD ABBETT INTL DIVIDEND INC CL C	5,000.00	19.99	6.00	13.99	0.0	0.00
	ACCOUNT #: LSR010948	BUY 759 Units @6.5900						
10/25/2018	***-**-1320 - EVANS, THOMAS	LORD ABBETT SHORT DURATION INCOME C	4,500.00	18.00	18.00	0.00	0.0	0.00
	ACCOUNT #: LSR011074	SELL 1077 Units @4.1800						
10/26/2018	***-**-15IN - PENDRAK, JOHN	LORD ABBETT SHORT DURATION INCOME C	5,000.00	0.00	6.00	-6.00	100.0	-6.00
	ACCOUNT #: LSR010948	SELL 1196 Units @4.1800						
10/26/2018	***-**-15IN - PENDRAK, JOHN	LORD ABBETT SHORT DURATION INCOME C	5,000.00	0.00	6.00	-6.00	100.0	-6.00
	ACCOUNT #: LSR010948	SELL 1196 Units @4.1800						
10/26/2018	***-**-31IO - WILLIAMSON, FBO	MFS CONSERVATIVE ALLOCATION FUND-B	3,500.00	0.00	6.00	-6.00	100.0	-6.00
	ACCOUNT #: LSR011172	SELL 234 Units @14.9700						
10/25/2018	***-**-1320 - EVANS, THOMAS	MFS DIVERSIFIED INCOME FD CL C	4,000.00	18.00	18.00	0.00	0.0	0.00
	ACCOUNT #: LSR011074	SELL 335 Units @11.9300						
10/26/2018	***-**-31IO - WILLIAMSON, FBO	MFS INTERNATIONAL DIVERSIFICATION F	3,500.01	19.99	6.00	13.99	0.0	0.00
	ACCOUNT #: LSR011172	BUY 199 Units @17.5900						
10/15/2018	***-**-213I - GRUENEWALD,	MFS NEW DISCOVERY FUND-B	100.00	4.00	0.00	4.00	0.0	0.00
	ACCOUNT #: 08190131132	BUY 4 Units @23.8300						
10/25/2018	***-**-1320 - EVANS, THOMAS	MFS TECHNOLOGY CLASS C	4,000.02	18.00	18.00	0.00	0.0	0.00
	ACCOUNT #: LSR011074	SELL 113 Units @35.4200						
10/15/2018	***-**-213I - GRUENEWALD,	MFS TECHNOLOGY FUND-B	100.00	4.00	0.00	4.00	0.0	0.00
	ACCOUNT #: 08190131132	BUY 3 Units @35.9200						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUNDS (continued)								
10/15/2018	***-**-094I - CIRILLO, CARL	MFS UTILITIES FUND-B	35.00	1.40	0.00	1.40	0.0	0.00
	ACCOUNT #: 08190127967	BUY 2 Units @20.2200						
10/15/2018	***-**-606I - LEWIS, TAMARA	MFS UTILITIES FUND-B	50.00	2.00	0.00	2.00	0.0	0.00
	ACCOUNT #: 08191352846	BUY 2 Units @20.2200						
10/25/2018	***-**-21IO - RADELL, SANDRA	MFS UTILITIES FUND-B	800.01	18.00	18.00	0.00	0.0	0.00
	ACCOUNT #: LSR011392	SELL 40 Units @20.1300						
10/22/2018	***-**-506J - CURRIERE JR, MR	NEW PERSPECTIVE FUND-A	25.00	1.06	0.00	1.06	0.0	0.00
	ACCOUNT #: 00088062946	BUY 1 Units @45.7900						
10/19/2018	***-**-376I - BERBEN, GAIL	OPPENHEIMER GOLD & SPECIAL MINERALS	5,000.01	68.00	18.00	50.00	0.0	0.00
	ACCOUNT #: LSR011380	BUY 381 Units @13.1400						
10/08/2018	***-**-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 @57.6500						
* MUTUAL FUNDS SUBTOTAL *			\$71,035.04	\$510.37	\$162.00	\$348.37		\$-18.00
PRODUCT CATEGORY: STOCKS								
10/19/2018	***-**-376I - BERBEN, GAIL	AQUA AMERICA INC	3,765.00	55.65	17.00	38.65	0.0	0.00
	ACCOUNT #: LSR011380	BUY 100 Units @37.6500						
10/19/2018	***-**-663I - LASCALA, DEBORAH	AQUA AMERICA INC	3,765.00	55.65	17.00	38.65	0.0	0.00
	ACCOUNT #: LSR012790	BUY 100 Units @37.6500						
10/19/2018	***-**-376I - BERBEN, GAIL	REALTY INCOME CORP COMMON STOCK	5,845.00	76.45	17.00	59.45	0.0	0.00
	ACCOUNT #: LSR011380	BUY 100 Units @58.4500						
10/22/2018	***-**-663I - LASCALA, DEBORAH	REALTY INCOME CORP COMMON STOCK	1,746.00	22.86	15.60	7.26	0.0	0.00
	ACCOUNT #: LSR012790	BUY 30 Units @58.2000						
10/22/2018	***-**-663I - LASCALA, DEBORAH	REALTY INCOME CORP COMMON STOCK	4,074.00	53.34	1.40	51.94	0.0	0.00
	ACCOUNT #: LSR012790	BUY 70 Units @58.2000						
10/19/2018	***-**-930J - SANGER, KEVIN	STEIN MART INC COM	1,980.00	49.99	18.00	31.99	0.0	0.00
	ACCOUNT #: LSR010940	BUY 1000 Units @1.9800						
10/19/2018	***-**-15IN - PENDRAK, JOHN	STEIN MART INC COM	9,750.00	147.49	18.00	129.49	0.0	0.00
	ACCOUNT #: LSR010948	BUY 5000 Units @1.9500						
10/19/2018	***-**-960J - MASTRANGELO,	STEIN MART INC COM	1,950.00	49.99	18.00	31.99	0.0	0.00
	ACCOUNT #: LSR010966	BUY 1000 Units @1.9500						
10/19/2018	***-**-80IN - COBB, JAMES	STEIN MART INC COM	7,920.00	77.49	18.00	59.49	0.0	0.00
	ACCOUNT #: LSR011042	BUY 4000 Units @1.9800						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: STOCKS (continued)								
10/19/2018	***-**-473J - HUSTON, ACCOUNT #: LSR011228	STEIN MART INC COM BUY 2000 Units @1.9500	3,900.00	77.49	18.00	59.49	0.0	0.00
10/19/2018	***-**-30TR - AND SANDRA ACCOUNT #: LSR011939	STEIN MART INC COM BUY 1000 Units @1.9600	1,960.00	49.99	18.00	31.99	0.0	0.00
10/19/2018	***-**-31IO - JOSEPH, ANN ACCOUNT #: LSR012337	STEIN MART INC COM BUY 1500 Units @1.9500	2,925.00	57.49	18.00	39.49	0.0	0.00
10/19/2018	***-**-188I - BRADLEY, WAYNE ACCOUNT #: LSR012484	STEIN MART INC COM BUY 1500 Units @1.9600	2,940.00	49.99	18.00	31.99	0.0	0.00
10/19/2018	***-**-79TR - OR CYNTHIA ACCOUNT #: LSR012749	STEIN MART INC COM BUY 1500 Units @1.9500	2,925.00	57.49	18.00	39.49	0.0	0.00
10/22/2018	***-**-287I - HINCKLEY, ACCOUNT #: LSR010843	STEIN MART INC COM BUY 1500 Units @1.9600	2,940.00	57.49	18.00	39.49	0.0	0.00
10/22/2018	***-**-506J - CURRIERE JR, MR ACCOUNT #: LSR011121	STEIN MART INC COM BUY 1000 Units @1.9700	1,970.00	49.99	18.00	31.99	0.0	0.00
10/22/2018	***-**-376I - BERBEN, GAIL ACCOUNT #: LSR011380	STEIN MART INC COM BUY 3000 Units @1.9700	5,910.00	77.49	18.00	59.49	0.0	0.00
10/22/2018	***-**-22IO - CLINTON, STEPHEN ACCOUNT #: LSR011684	STEIN MART INC COM BUY 2000 Units @1.9700	3,940.00	67.49	18.00	49.49	0.0	0.00
* STOCKS SUBTOTAL *			\$70,205.00	\$1,133.82	\$302.00	\$831.82		\$0.00
PRODUCT CATEGORY: UNIT INVESTMENT TRUSTS								
10/19/2018	***-**-376I - BERBEN, GAIL ACCOUNT #: LSR011380	TANGER FACTORY OUTLET CTRS INC UNO BUY 100 Units @21.8500	2,185.00	30.85	24.00	6.85	0.0	0.00
10/19/2018	***-**-376I - BERBEN, GAIL ACCOUNT #: LSR011380	TANGER FACTORY OUTLET CTRS INC UNO BUY 100 Units @21.8500	2,185.00	30.85	0.00	30.85	0.0	0.00
10/22/2018	***-**-663I - LASCALA, DEBORAH ACCOUNT #: LSR012790	TANGER FACTORY OUTLET CTRS INC UNO BUY 100 Units @21.9800	2,198.00	30.98	24.00	6.98	0.0	0.00
10/22/2018	***-**-663I - LASCALA, DEBORAH ACCOUNT #: LSR012790	TANGER FACTORY OUTLET CTRS INC UNO BUY 100 Units @21.9800	2,198.00	30.98	0.00	30.98	0.0	0.00
* UNIT INVESTMENT TRUSTS SUBTOTAL *			\$8,766.00	\$123.66	\$48.00	\$75.66		\$0.00



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<u>BROKER TRANSACTIONS (continued)</u>								
<u>PRODUCT CATEGORY: 529 PLAN</u>								
10/22/2018	***-**-755P - SHEPPARD, ACCOUNT #: 00084018452	THE GROWTH FUND OF AMERICA-529C BUY 1 Units @48.6400	50.00	0.50	0.00	0.50	0.0	0.00
* 529 PLAN SUBTOTAL *			\$50.00	\$0.50	\$0.00	\$0.50		\$0.00
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
10/15/2018	***-**-213I - GRUENEWALD, ACCOUNT #: 08190131132	MFS GLOBAL NEW DISCOVERY FUND CL B BUY 5 Units @18.3800	100.00	4.00	0.00	4.00	0.0	0.00
10/29/2018	***-**-671I - EBERLEY, REID ACCOUNT #: 20021572	RESOURCE REAL ESTATE TRAILS BUY 0 Units @0.0000	0.00	13.85	0.00	13.85	0.0	0.00
10/29/2018	***-**-44IO - MAYO, DEBORAH ACCOUNT #: 020026000	RESOURCE REAL ESTATE TRAILS BUY 0 Units @0.0000	0.00	9.40	0.00	9.40	0.0	0.00
10/29/2018	***-**-524I - SCALISE, JOSEPH	RESOURCE REAL ESTATE TRAILS BUY 0 Units @0.0000	0.00	0.53	0.00	0.53	0.0	0.00
10/29/2018	***-**-15IN - PENDRAK, JOHN	RESOURCE REAL ESTATE TRAILS BUY 0 Units @0.0000	0.00	1.64	0.00	1.64	0.0	0.00
10/29/2018	***-**-960J - MASTRANGELO, ACCOUNT #: 20002467	RESOURCE REAL ESTATE TRAILS BUY 0 Units @0.0000	0.00	16.48	0.00	16.48	0.0	0.00
10/29/2018	***-**-44IO - MAYO, DEBORAH ACCOUNT #: 020026000	RESOURCE REAL ESTATE TRAILS BUY 0 Units @0.0000	0.00	25.11	0.00	25.11	0.0	0.00
10/29/2018	***-**-31IN - WARMUTH, ACCOUNT #: 20032739	RESOURCE REAL ESTATE TRAILS BUY 0 Units @0.0000	0.00	4.27	0.00	4.27	0.0	0.00
10/29/2018	***-**-531J - WILLIAMSON, ACCOUNT #: 20033096	RESOURCE REAL ESTATE TRAILS BUY 0 Units @0.0000	0.00	12.36	0.00	12.36	0.0	0.00
10/29/2018	***-**-65IN - LAZIO, THOMAS ACCOUNT #: 20010459	RESOURCE REAL ESTATE TRAILS BUY 0 Units @0.0000	0.00	18.25	0.00	18.25	0.0	0.00
10/29/2018	***-**-65IN - LAZIO, THOMAS ACCOUNT #: 20010459	RESOURCE REAL ESTATE TRAILS BUY 0 Units @0.0000	0.00	18.31	0.00	18.31	0.0	0.00
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *			\$100.00	\$124.20	\$0.00	\$124.20		\$0.00
*** BROKER TRANSACTIONS TOTAL ***			\$150,156.04	\$1,892.55	\$512.00	\$1,380.55		\$-18.00



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<div>BROKER COMMISSION TOTALS</div>								
					Broker Transactions			\$-18.00
					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					Balance Forward			\$-418.81
					Year-to-date Earnings			\$0.00