



COMMISSION STATEMENT

August 27, 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>								
08/20/2018	***-**-31IO - WILLIAMSON, FBO	AMERICAN FUNDS BALANCED PORT CL C	2,000.01	18.00	18.00	0.00	0.0	0.00
	ACCOUNT #: LSR011172	SELL 135 Units @14.8600						
08/17/2018	***-**-663I - LASCALA, DEBORAH	AMERICAN FUNDS MORTGAGE FD CL C	10,000.00	118.00	18.00	100.00	0.0	0.00
	ACCOUNT #: LSR012790	BUY 1020 Units @9.8000						
08/17/2018	***-**-663I - LASCALA, DEBORAH	AMERICAN MUTUAL FUND-C	9,999.99	118.00	18.00	100.00	0.0	0.00
	ACCOUNT #: LSR012790	BUY 240 Units @41.7000						
08/20/2018	***-**-31IO - WILLIAMSON, FBO	CAPITAL INCOME BUILDER CLASS C	2,000.03	18.00	18.00	0.00	0.0	0.00
	ACCOUNT #: LSR011172	SELL 33 Units @60.7800						
08/17/2018	***-**-663I - LASCALA, DEBORAH	EATON VANCE FLOATING RATE ADVANTAGE	10,000.00	118.00	18.00	100.00	0.0	0.00
	ACCOUNT #: LSR012790	BUY 915 Units @10.9300						
08/17/2018	***-**-663I - LASCALA, DEBORAH	INCOME FUND OF AMERICA CLASS C	10,000.00	118.00	18.00	100.00	0.0	0.00
	ACCOUNT #: LSR012790	BUY 436 Units @22.9200						
08/17/2018	***-**-663I - LASCALA, DEBORAH	LORD ABBETT SHORT DURATION INCOME C	15,000.00	168.00	18.00	150.00	0.0	0.00
	ACCOUNT #: LSR012790	BUY 3571 Units @4.2000						
08/17/2018	***-**-53RI - FALCHI, VALERIE	MFS GLOBAL TOTAL RETURN FUND-B	75.00	3.00	0.00	3.00	0.0	0.00
	ACCOUNT #: 08191172002	BUY 4 Units @18.0400						
08/20/2018	***-**-31IO - WILLIAMSON, FBO	MFS GLOBAL TOTAL RETURN FUND-B	2,000.00	18.00	18.00	0.00	0.0	0.00
	ACCOUNT #: LSR011172	SELL 110 Units @18.1200						
08/20/2018	***-**-7617 - ESCHE, BEVERLY	MFS GLOBAL TOTAL RETURN FUND-B	50.00	2.00	0.00	2.00	0.0	0.00
	ACCOUNT #: 08191154979	BUY 3 Units @18.1200						
08/20/2018	***-**-31IO - WILLIAMSON, FBO	MFS INTERNATIONAL NEW DISCOVERY FUN	1,999.99	18.00	18.00	0.00	0.0	0.00
	ACCOUNT #: LSR011172	SELL 60 Units @33.5800						
08/20/2018	***-**-7617 - ESCHE, BEVERLY	MFS INTERNATIONAL NEW DISCOVERY FUN	50.00	2.00	0.00	2.00	0.0	0.00
	ACCOUNT #: 08191154979	BUY 1 Units @33.5800						
08/15/2018	***-**-213I - GRUENEWALD,	MFS NEW DISCOVERY FUND-B	100.00	4.00	0.00	4.00	0.0	0.00
	ACCOUNT #: 08190131132	BUY 4 Units @25.4600						
08/15/2018	***-**-213I - GRUENEWALD,	MFS TECHNOLOGY FUND-B	100.00	4.00	0.00	4.00	0.0	0.00
	ACCOUNT #: 08190131132	BUY 3 Units @38.0600						
08/20/2018	***-**-06IN - SATTERLY,	MFS TECHNOLOGY FUND-B	50.00	2.00	0.00	2.00	0.0	0.00
	ACCOUNT #: 08191173302	BUY 1 Units @38.1100						
08/20/2018	***-**-31IO - WILLIAMSON, FBO	MFS TOTAL RETURN FUND-B	2,000.00	18.00	18.00	0.00	0.0	0.00
	ACCOUNT #: LSR011172	SELL 105 Units @19.1100						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUNDS (continued)								
08/15/2018	***-**-094I - CIRILLO, CARL	MFS UTILITIES FUND-B	35.00	1.40	0.00	1.40	0.0	0.00
	ACCOUNT #: 08190127967	BUY 2 Units @20.6000						
08/15/2018	***-**-606I - LEWIS, TAMARA	MFS UTILITIES FUND-B	50.00	2.00	0.00	2.00	0.0	0.00
	ACCOUNT #: 08191352846	BUY 2 Units @20.6000						
08/20/2018	***-**-7617 - ESCHE, BEVERLY	MFS UTILITIES FUND-B	50.00	2.00	0.00	2.00	0.0	0.00
	ACCOUNT #: 08191154979	BUY 2 Units @20.9400						
08/17/2018	***-**-663I - LASCALA, DEBORAH	MFS UTILITIES FUND-C	8,500.00	103.00	18.00	85.00	0.0	0.00
	ACCOUNT #: LSR012790	BUY 407 Units @20.8800						
08/20/2018	***-**-2663 - LASCALA, DEBORAH	PUTNAM ABSOLUTE RETURN 700 CL C	7,500.00	93.00	18.00	75.00	0.0	0.00
	ACCOUNT #: LSR012791	BUY 657 Units @11.4100						
08/20/2018	***-**-2663 - LASCALA, DEBORAH	PUTNAM CAPITAL SPECTRUM FUND CL C	7,499.99	93.00	18.00	75.00	0.0	0.00
	ACCOUNT #: LSR012791	BUY 232 Units @32.3800						
08/20/2018	***-**-2663 - LASCALA, DEBORAH	PUTNAM CONVERTIBLE SECURITIES CL C	14,999.99	168.00	18.00	150.00	0.0	0.00
	ACCOUNT #: LSR012791	BUY 574 Units @26.1400						
08/23/2018	***-**-43IN - FRANZ, WAYNE	PUTNAM CONVERTIBLE SECURITIES CL C	11,999.99	138.00	18.00	120.00	0.0	0.00
	ACCOUNT #: LSR012636	BUY 454 Units @26.4100						
08/20/2018	***-**-2663 - LASCALA, DEBORAH	PUTNAM EQUITY SPECTRUM FD CL C	10,000.00	118.00	18.00	100.00	0.0	0.00
	ACCOUNT #: LSR012791	BUY 260 Units @38.4500						
08/17/2018	***-**-2663 - LASCALA, DEBORAH	PUTNAM GROWTH OPPORTUNITIES FUND CL	10,000.00	118.00	18.00	100.00	0.0	0.00
	ACCOUNT #: LSR012791	BUY 323 Units @30.9700						
08/20/2018	***-**-31IO - WILLIAMSON, FBO	PUTNAM UTILITIES GR & INC-B	999.99	18.00	18.00	0.00	0.0	0.00
	ACCOUNT #: LSR011172	SELL 73 Units @13.6600						
08/20/2018	***-**-31IO - WILLIAMSON, FBO	REAL ESTATE FUND A	1,000.00	18.00	18.00	0.00	0.0	0.00
	ACCOUNT #: LSR011172	SELL 39 Units @25.4000						
08/21/2018	***-**-261J - TRAVIS, HOLLY	RESOURCE CREDIT INCOME FUND C	20,000.00	218.00	18.00	200.00	0.0	0.00
	ACCOUNT #: LSR012772	BUY 1765 Units @11.3300						
08/23/2018	***-**-43IN - FRANZ, WAYNE	RESOURCE REAL ESTATE-NFS	10,000.00	118.00	18.00	100.00	0.0	0.00
	ACCOUNT #: LSR012636	BUY 953 Units @10.4900						
* MUTUAL FUNDS SUBTOTAL *			\$168,059.98	\$1,955.40	\$378.00	\$1,577.40		\$0.00



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<u>BROKER TRANSACTIONS (continued)</u>								
<u>PRODUCT CATEGORY: STOCKS</u>								
08/23/2018	***-**-43IN - FRANZ, WAYNE	ALTRIA GROUP INC COM	15,803.04	97.49	20.28	77.21	0.0	0.00
	ACCOUNT #: LSR012636	SELL 264 Units @59.8600						
08/21/2018	***-**-366I - GRUENEWALD,	FORD MTR CO DEL COM UNSOLICITED ORD	985.00	27.85	17.00	10.85	0.0	0.00
	ACCOUNT #: LSR010989	SELL 100 Units @9.8500						
08/20/2018	***-**-366I - GRUENEWALD,	NETFLIX COM INC COM UNSOLICITED ORD	16,405.00	182.05	18.00	164.05	0.0	0.00
	ACCOUNT #: LSR010989	SELL 50 Units @328.1000						
08/22/2018	***-**-960J - MASTRANGELO,	STEIN MART INC COM	3,010.00	57.49	18.00	39.49	0.0	0.00
	ACCOUNT #: LSR010966	BUY 1000 Units @3.0100						
08/22/2018	***-**-31IO - WILLIAMSON, FBO	STEIN MART INC COM	6,040.00	77.49	18.00	59.49	0.0	0.00
	ACCOUNT #: LSR011172	BUY 2000 Units @3.0200						
* STOCKS SUBTOTAL *			\$42,243.04	\$442.37	\$91.28	\$351.09		\$0.00
<u>PRODUCT CATEGORY: 529 PLAN</u>								
08/20/2018	***-**-755P - SHEPPARD,	THE GROWTH FUND OF AMERICA-529C	50.00	0.50	0.00	0.50	0.0	0.00
	ACCOUNT #: 00084018452	BUY 1 Units @50.7700						
* 529 PLAN SUBTOTAL *			\$50.00	\$0.50	\$0.00	\$0.50		\$0.00
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
08/27/2018	***-**-6604 - REYNOLDS, DIANE	BLACKROCK TRAILS	0.00	4.07	0.00	4.07	0.0	0.00
	ACCOUNT #: 5290810273	BUY 0 Units @0.0000						
08/15/2018	***-**-213I - GRUENEWALD,	MFS GLOBAL NEW DISCOVERY FUND CL B	100.00	4.00	0.00	4.00	0.0	0.00
	ACCOUNT #: 08190131132	BUY 5 Units @19.5200						
08/27/2018	***-**-671I - EBERLEY, REID	RESOURCE REAL ESTATE TRAILS	0.00	14.12	0.00	14.12	0.0	0.00
	ACCOUNT #: 20021572	BUY 0 Units @0.0000						
08/27/2018	***-**-44IO - MAYO, DEBORAH	RESOURCE REAL ESTATE TRAILS	0.00	9.59	0.00	9.59	0.0	0.00
	ACCOUNT #: 020026000	BUY 0 Units @0.0000						
08/27/2018	***-**-524I - SCALISE, JOSEPH	RESOURCE REAL ESTATE TRAILS	0.00	0.54	0.00	0.54	0.0	0.00
		BUY 0 Units @0.0000						
08/27/2018	***-**-15IN - PENDRAK, JOHN	RESOURCE REAL ESTATE TRAILS	0.00	1.68	0.00	1.68	0.0	0.00
		BUY 0 Units @0.0000						
08/27/2018	***-**-960J - MASTRANGELO,	RESOURCE REAL ESTATE TRAILS	0.00	16.91	0.00	16.91	0.0	0.00
	ACCOUNT #: 20002467	BUY 0 Units @0.0000						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
08/27/2018	***-**-44IO - MAYO, DEBORAH	RESOURCE REAL ESTATE TRAILS	0.00	25.64	0.00	25.64	0.0	0.00
	ACCOUNT #: 020026000	BUY 0 Units @0.0000						
08/27/2018	***-**-31IN - WARMUTH,	RESOURCE REAL ESTATE TRAILS	0.00	4.36	0.00	4.36	0.0	0.00
	ACCOUNT #: 20032739	BUY 0 Units @0.0000						
08/27/2018	***-**-531J - WILLIAMSON,	RESOURCE REAL ESTATE TRAILS	0.00	12.68	0.00	12.68	0.0	0.00
	ACCOUNT #: 20033096	BUY 0 Units @0.0000						
08/27/2018	***-**-65IN - LAZIO, THOMAS	RESOURCE REAL ESTATE TRAILS	0.00	18.60	0.00	18.60	0.0	0.00
	ACCOUNT #: 20010459	BUY 0 Units @0.0000						
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *			\$100.00	\$112.19	\$0.00	\$112.19		\$0.00
*** BROKER TRANSACTIONS TOTAL ***			\$210,453.02	\$2,510.46	\$469.28	\$2,041.18		\$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	\$-361.05
FINRA Assessment	\$0.00
SIPC Assessment	\$0.00

Please Retain for Your Records
THERE WILL BE NO PAYMENT THIS PERIOD

Balance Forward	\$-361.05
Year-to-date Earnings	\$0.00