



COMMISSION STATEMENT

April 02, 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>								
03/26/2018	***-**-51IR - BLAKE, JAMES	TERRA INCOME FUND 6, INC.	12,500.00	0.00	18.00	-18.00	100.0	-18.00
	ACCOUNT #: LSR012391	BUY 1147 Units @10.9000						
03/26/2018	***-**-51IR - BLAKE, JAMES	TERRA INCOME FUND 6, INC.	-12,500.00	0.00	-18.00	18.00	0.0	0.00
	ACCOUNT #: LSR012391	CANCEL 1268 Units @9.8600						
03/27/2018	***-**-861I - SANGER, LAWRENCE	FUNDAMENTAL INVESTORS-C	396.75	0.00	0.00	0.00	0.0	0.00
	ACCOUNT #: LSR011095	SELL 7 Units @60.8700						
03/26/2018	***-**-7140 - LINES, JUDITH	MAIN STREET FUND C	1,000.01	18.00	18.00	0.00	0.0	0.00
	ACCOUNT #: LSR011763	SELL 21 Units @46.9600						
03/22/2018	***-**-06IN - SATTERLY,	MFS 08191336006	100.00	1.00	0.00	1.00	0.0	0.00
	ACCOUNT #: 08191336006	BUY 3 Units @30.9400						
03/26/2018	***-**-35IR - RUGGIERO, LAURIE	MFS GLOBAL EQUITY FUND-B	749.99	18.00	18.00	0.00	0.0	0.00
	ACCOUNT #: LSR012276	SELL 19 Units @39.3800						
03/26/2018	***-**-094I - KATRENA L	MFS GLOBAL TOTAL RETURN FUND-B	50.00	2.00	0.00	2.00	0.0	0.00
	ACCOUNT #: 08191140345	BUY 3 Units @18.3600						
03/23/2018	***-**-632I - LOWE, PAMELA	MFS TECHNOLOGY CLASS C	5,999.99	78.00	18.00	60.00	0.0	0.00
	ACCOUNT #: LSR012397	BUY 177 Units @33.9700						
03/23/2018	***-**-7140 - LINES, JUDITH	MONEY MARKET	2,511.88	19.99	18.00	1.99	0.0	0.00
	ACCOUNT #: LSR011763	SELL 2512 Units @1.0000						
03/26/2018	***-**-7140 - LINES, JUDITH	OPPENHEIMER GLOBAL VALUE FUND CL C	1,750.02	18.00	18.00	0.00	0.0	0.00
	ACCOUNT #: LSR011763	SELL 35 Units @49.8100						
03/26/2018	***-**-7140 - LINES, JUDITH	OPPENHEIMER INTERNATIONAL DIVERSIFI	2,000.01	18.00	18.00	0.00	0.0	0.00
	ACCOUNT #: LSR011763	SELL 111 Units @17.9500						
* MUTUAL FUNDS SUBTOTAL *			\$14,558.65	\$172.99	\$108.00	\$64.99		\$-18.00
<u>PRODUCT CATEGORY: STOCKS</u>								
03/23/2018	***-**-851I - BLAKE, JAMES	CAMECO CORP COM NPV ISIN #CA13321L1	2,715.00	49.99	21.00	28.99	0.0	0.00
	ACCOUNT #: LSR012390	BUY 300 Units @9.0500						
03/23/2018	***-**-851I - BLAKE, JAMES	NORDIC AMERICAN TANKERS LIMITE COM	3,744.00	57.49	51.00	6.49	0.0	0.00
	ACCOUNT #: LSR012390	BUY 1800 Units @2.0800						
03/23/2018	***-**-851I - BLAKE, JAMES	STEIN MART INC COM	2,085.00	49.99	18.00	31.99	0.0	0.00
	ACCOUNT #: LSR012390	BUY 1500 Units @1.3900						
* STOCKS SUBTOTAL *			\$8,544.00	\$157.47	\$90.00	\$67.47		\$0.00



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<u>BROKER TRANSACTIONS (continued)</u>								
<u>PRODUCT CATEGORY: 529 PLAN</u>								
03/28/2018	***-**-0767 - DOVI, ACCOUNT #: 77579193101	NYA JPM 529 AGGR PORTI C BUY 0 Units @0.0000	25.00	0.25	0.00	0.25	0.0	0.00
03/28/2018	***-**-635P - LASCALA, DEBORAH ACCOUNT #: 77699193301	NYA JPM 529 ALL FIXED INCOME PO A BUY 0 Units @0.0000	50.00	0.50	0.00	0.50	0.0	0.00
04/02/2018	***-**-20IR - DEMETRI, AMELIA ACCOUNT #: 77854436501	NYA JPM 529 MOD AGE-BASED A BUY 0 Units @0.0000	50.00	2.38	0.00	2.38	0.0	0.00
03/28/2018	***-**-473J - HUSTON, ACCOUNT #: 77852732401	NYA JPM 529 MOD GROWTH POR C BUY 0 Units @0.0000	400.00	4.00	0.00	4.00	0.0	0.00
03/20/2018	***-**-755P - SHEPPARD, ACCOUNT #: 00084018452	THE GROWTH FUND OF AMERICA-529C BUY 1 Units @48.9700	50.00	0.50	0.00	0.50	0.0	0.00
* 529 PLAN SUBTOTAL *			\$575.00	\$7.63	\$0.00	\$7.63		\$0.00
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
04/02/2018	***-**-959I - FRANZ, PAUL ACCOUNT #: LSR010959	BLACKROCK US OPPORT CL A BUY 1 Units @0.0000	0.00	0.35	0.00	0.35	0.0	0.00
04/02/2018	***-**-633J - ACCOUNT #: LSR011732	FIDELITY GOVT MMKT CAPITAL RESERVES BUY 1 Units @0.0000	0.00	0.00	0.00	0.00	0.0	0.00
04/02/2018	***-**-31IO - JOSEPH, ANN ACCOUNT #: LSR012337	FIDELITY GOVT MMKT CAPITAL RESERVES BUY 1 Units @0.0000	0.00	0.00	0.00	0.00	0.0	0.00
04/02/2018	***-**-52IN - ROBERTS, LILLIAN ACCOUNT #: LSR012352	FIDELITY GOVT MMKT CAPITAL RESERVES BUY 1 Units @0.0000	0.00	0.00	0.00	0.00	0.0	0.00
04/02/2018	***-**-188I - BRADLEY, WAYNE ACCOUNT #: LSR012484	FIDELITY GOVT MMKT CAPITAL RESERVES BUY 1 Units @0.0000	0.00	0.00	0.00	0.00	0.0	0.00
04/02/2018	***-**-287I - HINCKLEY, ACCOUNT #: LSR010843	FIDELITY GOVT MMKT CAPITAL RESERVES BUY 1 Units @0.0000	0.00	0.00	0.00	0.00	0.0	0.00
04/02/2018	***-**-00IO - LEE, GARY ACCOUNT #: LSR011059	FIDELITY GOVT MMKT CAPITAL RESERVES BUY 1 Units @0.0000	0.00	0.00	0.00	0.00	0.0	0.00
04/02/2018	***-**-132O - EVANS, THOMAS ACCOUNT #: LSR011074	FIDELITY GOVT MMKT CAPITAL RESERVES BUY 1 Units @0.0000	0.00	0.00	0.00	0.00	0.0	0.00
04/02/2018	***-**-579I - RHYMESTINE, ACCOUNT #: LSR011082	FIDELITY GOVT MMKT CAPITAL RESERVES BUY 1 Units @0.0000	0.00	0.00	0.00	0.00	0.0	0.00
04/02/2018	***-**-808J - GORMAN, RANDY ACCOUNT #: LSR011087	FIDELITY GOVT MMKT CAPITAL RESERVES BUY 1 Units @0.0000	0.00	0.00	0.00	0.00	0.0	0.00



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
04/02/2018	***-**-326J - GRANDE, MR	FIDELITY GOVT MMKT CAPITAL RESERVES	0.00	0.00	0.00	0.00	0.0	0.00
	ACCOUNT #: LSR011089	BUY 1 Units @0.0000						
04/02/2018	***-**-48IO - ANACKER, FBO MRS	FIDELITY GOVT MMKT CAPITAL RESERVES	0.00	0.00	0.00	0.00	0.0	0.00
	ACCOUNT #: LSR011164	BUY 1 Units @0.0000						
04/02/2018	***-**-664J - PFAFF, GEORGE	FIDELITY GOVT MMKT CAPITAL RESERVES	0.00	0.00	0.00	0.00	0.0	0.00
	ACCOUNT #: LSR011184	BUY 1 Units @0.0000						
04/02/2018	***-**-64IO - PFAFF, GEORGE	FIDELITY GOVT MMKT CAPITAL RESERVES	0.00	0.00	0.00	0.00	0.0	0.00
	ACCOUNT #: LSR011185	BUY 1 Units @0.0000						
04/02/2018	***-**-32IO - WITT, DEBORAH	FIDELITY GOVT MMKT DAILY MONEY CLAS	0.00	0.97	0.00	0.97	0.0	0.00
	ACCOUNT #: LSR012285	BUY 1 Units @0.0000						
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *			\$0.00	\$1.32	\$0.00	\$1.32		\$0.00
*** BROKER TRANSACTIONS TOTAL ***			\$23,677.65	\$339.41	\$198.00	\$141.41		\$-18.00

BROKER COMMISSION TOTALS

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	\$-55.17
FINRA Assessment	\$0.00
SIPC Assessment	\$0.00

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

Balance Forward	\$-73.17
Year-to-date Earnings	\$0.00