



COMMISSION STATEMENT

April 09, 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>								
03/14/2018	***-**-31IO - JOSEPH, ANN	GWG L BOND - 7 YR BUY 10 Units @1000.0000	10,000.00	600.00	0.00	600.00	0.0	0.00
03/20/2018	***-**-837O - BASEMENT	GWG L BOND - 7 YR BUY 15 Units @1000.0000	15,000.00	900.00	0.00	900.00	0.0	0.00
03/14/2018	***-**-31IO - JOSEPH, ANN	GWG L BOND - 2YR BUY 10 Units @1000.0000	10,000.00	400.00	0.00	400.00	0.0	0.00
03/14/2018	***-**-31IO - JOSEPH, ANN	GWG L BOND - 3YR BUY 10 Units @1000.0000	10,000.00	500.00	0.00	500.00	0.0	0.00
03/14/2018	***-**-31IO - JOSEPH, ANN	GWG L BOND - 5 YR BUY 15 Units @1000.0000	15,000.00	885.00	0.00	885.00	0.0	0.00
03/20/2018	***-**-837O - BASEMENT	GWG L BOND - 5 YR BUY 10 Units @1000.0000	10,000.00	590.00	0.00	590.00	0.0	0.00
03/26/2018	***-**-851I - BLAKE, JAMES	TERRA INCOME FUND 6, INC. BUY 1147 Units @10.9000	12,500.00	500.00	0.00	500.00	0.0	0.00
* ALTERNATIVE INVESTMENTS SUBTOTAL *			\$82,500.00	\$4,375.00	\$0.00	\$4,375.00		\$0.00
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
04/05/2018	***-**-31IO - JOSEPH, ANN ACCOUNT #: LSR012337	TERRA INCOME FUND 6, INC. BUY 1521 Units @9.8600	15,000.00	0.00	18.00	-18.00	100.0	-18.00
04/05/2018	***-**-633J - ACCOUNT #: LSR011732	TERRA INCOME FUND 6, INC. SELL 504 Units @9.8600	4,967.85	0.00	18.00	-18.00	100.0	-18.00
04/02/2018	***-**-73TR - WESTCOTT IRRVOC ACCOUNT #: LSR011001	AMERICAN FUNDS BALANCED PORT CL C SELL 104 Units @14.4600	1,499.99	18.00	18.00	0.00	0.0	0.00
04/02/2018	***-**-73TR - WESTCOTT IRRVOC ACCOUNT #: LSR011001	AMERICAN GLOBAL BALANCED CL C SELL 47 Units @32.0000	1,500.00	18.00	18.00	0.00	0.0	0.00
03/20/2018	***-**-65CL - GRUENEWALD, K, ACCOUNT #: 03222414918	CAPITAL APPRECIATION C BUY 0 Units @0.0000	50.00	0.50	0.00	0.50	0.0	0.00
03/28/2018	***-**-72RI - GAVALO, JULIE ACCOUNT #: 00087231055	CAPITAL INCOME BUILDER-A BUY 53 Units @61.7600	3,250.00	65.00	0.00	65.00	0.0	0.00
03/20/2018	***-**-633J - ACCOUNT #: 08353229688	EQUITY INCOME FUND, INC. A BUY 0 Units @0.0000	175.00	8.31	0.00	8.31	0.0	0.00
03/26/2018	***-**-48JT - LEE, DARLENE ACCOUNT #: 08370750926	EQUITY INCOME FUND, INC. C BUY 0 Units @0.0000	50.00	0.50	0.00	0.50	0.0	0.00



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUNDS (continued)								
03/26/2018	***-**-8901 - GURDO, ANTHONY	FUNDAMENTAL INVESTORS-C	150.00	1.50	0.00	1.50	0.0	0.00
	ACCOUNT #: 00087491111	BUY 2 Units @61.8400						
04/04/2018	***-**-653I - KOCHER, CLINTON	FUNDAMENTAL INVESTORS-C	3,000.01	18.00	18.00	0.00	0.0	0.00
	ACCOUNT #: LSR011300	SELL 49 Units @61.3900						
03/20/2018	***-**-65CL - GRUENEWALD, K,	GLOBAL OPPORTUNITIES FUND C	50.00	0.50	0.00	0.50	0.0	0.00
	ACCOUNT #: 02171825219	BUY 0 Units @0.0000						
03/28/2018	***-**-065I - LAZIO, THOMAS	MFS ABSOLUTE RETURN FUND CLASS C	3,922.53	0.00	18.00	-18.00	100.0	-18.00
	ACCOUNT #: LSR010979	SELL 417 Units @9.3990						
04/02/2018	***-**-73TR - WESTCOTT IRRVOC	MFS CONSERVATIVE ALLOCATION CL C	1,500.01	18.00	18.00	0.00	0.0	0.00
	ACCOUNT #: LSR011001	SELL 99 Units @15.0900						
03/28/2018	***-**-13IN - RHYMESTINE,	MFS EMERGING MARKETS EQUITY FUND-B	50.00	2.00	0.00	2.00	0.0	0.00
	ACCOUNT #: 08191178476	BUY 2 Units @32.7900						
03/28/2018	***-**-13IN - RHYMESTINE,	MFS EMERGING MKT DEBT CL B	50.00	2.00	0.00	2.00	0.0	0.00
	ACCOUNT #: 08191178476	BUY 3 Units @14.7300						
03/29/2018	***-**-73IR - HUSTON,	MFS GLOBAL TOTAL RETURN FUND-B	5,400.01	234.00	18.00	216.00	0.0	0.00
	ACCOUNT #: LSR011864	BUY 294 Units @18.3700						
04/04/2018	***-**-653I - KOCHER, CLINTON	MFS GLOBAL TOTAL RETURN FUND-B	2,000.00	18.00	18.00	0.00	0.0	0.00
	ACCOUNT #: LSR011300	SELL 109 Units @18.3400						
04/02/2018	***-**-73TR - WESTCOTT IRRVOC	MFS HIGH YIELD OPPORTUNITIES FUND-C	1,500.00	18.00	18.00	0.00	0.0	0.00
	ACCOUNT #: LSR011001	SELL 246 Units @6.0900						
03/28/2018	***-**-13IN - RHYMESTINE,	MFS INTERNATIONAL VALUE FUND-B	100.00	4.00	0.00	4.00	0.0	0.00
	ACCOUNT #: 08191178476	BUY 2 Units @40.3600						
04/02/2018	***-**-53IN - EVANS, ANDREW	MFS TECHNOLOGY FUND-B	50.00	2.00	0.00	2.00	0.0	0.00
	ACCOUNT #: LSR011483	BUY 1 Units @33.4200						
04/04/2018	***-**-653I - KOCHER, CLINTON	MFS TECHNOLOGY FUND-B	5,000.01	18.00	18.00	0.00	0.0	0.00
	ACCOUNT #: LSR011300	SELL 147 Units @34.0800						
03/28/2018	***-**-13IN - RHYMESTINE,	MFS TOTAL RETURN FUND-B	50.00	2.00	0.00	2.00	0.0	0.00
	ACCOUNT #: 08191178476	BUY 3 Units @18.5200						
04/02/2018	***-**-53IN - EVANS, ANDREW	MFS UTILITIES FUND-B	100.01	4.00	0.00	4.00	0.0	0.00
	ACCOUNT #: LSR011483	BUY 5 Units @19.3400						
03/28/2018	***-**-72RI - GAVALO, JULIE	NEW PERSPECTIVE FUND-A	3,250.00	65.00	0.00	65.00	0.0	0.00
	ACCOUNT #: 00087231055	BUY 73 Units @44.5900						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUNDS (continued)								
03/20/2018	***-**-633J -	OPP PORT SERIES: ACTIVE ALLOC A	175.00	8.31	0.00	8.31	0.0	0.00
	ACCOUNT #: 05502871176	BUY 0 Units @0.0000						
03/20/2018	***-**-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						
03/26/2018	***-**-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						
03/26/2018	***-**-48JT - LEE, DARLENE	OPPENHEIMER ACTIVE ALLOCATION FUND	50.00	0.50	0.00	0.50	0.0	0.00
	ACCOUNT #: 05521043603	BUY 0 Units @0.0000						
04/04/2018	***-**-653I - KOCHEM, CLINTON	OPPENHEIMER DEVELOPING MARKETS CLAS	1,500.00	18.00	18.00	0.00	0.0	0.00
	ACCOUNT #: LSR011300	SELL 33 Units @44.8900						
03/26/2018	***-**-48JT - LEE, DARLENE	OPPENHEIMER GLBL REAL ESTATE FUND C	50.00	0.50	0.00	0.50	0.0	0.00
	ACCOUNT #: 00100021715	BUY 0 Units @0.0000						
03/20/2018	***-**-633J -	OPPENHEIMER INTERNATIONAL DIVERSIFI	175.00	8.31	0.00	8.31	0.0	0.00
	ACCOUNT #: 01953330426	BUY 0 Units @0.0000						
03/26/2018	***-**-48JT - LEE, DARLENE	OPPENHEIMER INTERNATIONAL DIVERSIFI	50.00	0.50	0.00	0.50	0.0	0.00
	ACCOUNT #: 01971019612	BUY 0 Units @0.0000						
03/20/2018	***-**-633J -	OPPENHEIMER SMALL & MID CAP VALUE F	175.00	8.31	0.00	8.31	0.0	0.00
	ACCOUNT #: 02514987422	BUY 0 Units @0.0000						
04/04/2018	***-**-653I - KOCHEM, CLINTON	PUTNAM CONV INCOME-GROWTH-B	1,500.00	18.00	18.00	0.00	0.0	0.00
	ACCOUNT #: LSR011300	SELL 59 Units @25.2500						
04/04/2018	***-**-653I - KOCHEM, CLINTON	PUTNAM GLOBAL CONSUMER FUND CL B	3,500.00	18.00	18.00	0.00	0.0	0.00
	ACCOUNT #: LSR011300	SELL 167 Units @20.9100						
04/03/2018	***-**-702I - KOCHEM, MICHAEL	RESOURCE CREDIT INCOME FUND C	24,999.99	268.00	18.00	250.00	0.0	0.00
	ACCOUNT #: LSR010954	BUY 2246 Units @11.1300						
* MUTUAL FUNDS SUBTOTAL *			\$85,006.39	\$867.40	\$270.00	\$597.40		\$-54.00
PRODUCT CATEGORY: STOCKS								
04/03/2018	***-**-960J - MASTRANGELO,	APPLE INC UNSOLICITED ORDER	8,740.58	167.49	18.00	149.49	0.0	0.00
	ACCOUNT #: LSR010966	SELL 52 Units @168.0880						
04/03/2018	***-**-960J - MASTRANGELO,	NORDIC AMERICAN TANKERS LIMITE COM	2,835.00	49.99	45.00	4.99	0.0	0.00
	ACCOUNT #: LSR010966	BUY 1500 Units @1.8900						
04/02/2018	***-**-420T - DEMETRI, AMELIA	PAR TECHNOLOGY CORP	3,605.25	53.37	20.00	33.37	0.0	0.00
	ACCOUNT #: LSR010994	SELL 250 Units @14.4210						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: STOCKS (continued)								
04/03/2018	***-**-960J - MASTRANGELO, ACCOUNT #: LSR010966	STEIN MART INC COM BUY 2000 Units @1.4100	2,820.00	49.99	18.00	31.99	0.0	0.00
04/05/2018	***-**-89IN - LEE, ROGER ACCOUNT #: LSR011166	STEIN MART INC COM BUY 5000 Units @1.4900	7,450.00	97.49	18.00	79.49	0.0	0.00
* STOCKS SUBTOTAL *			\$25,450.83	\$418.33	\$119.00	\$299.33		\$0.00
PRODUCT CATEGORY: VARIABLE ANNUITIES								
04/02/2018	***-**-8126 - MCCARTHY, BRIANN ACCOUNT #: VP71028570	PACIFIC LIFE SE5-NYB DTCC BUY 0 Units @0.0000	35.92	1.08	0.00	1.08	0.0	0.00
04/02/2018	***-**-241I - DINITTO, ALLISYN ACCOUNT #: VP71079280	PACIFIC LIFE SE5-NYB DTCC BUY 0 Units @0.0000	425.00	12.75	0.00	12.75	0.0	0.00
04/06/2018	***-**-213I - GRUENEWALD, ACCOUNT #: VP71028580	PACIFIC LIFE SE5-NYB DTCC BUY 0 Units @0.0000	139.61	4.19	0.00	4.19	0.0	0.00
04/06/2018	***-**-213I - GRUENEWALD, ACCOUNT #: VP71028580	PACIFIC LIFE SE5-NYB DTCC BUY 0 Units @0.0000	27.79	0.83	0.00	0.83	0.0	0.00
* VARIABLE ANNUITIES SUBTOTAL *			\$628.32	\$18.85	\$0.00	\$18.85		\$0.00
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS								
04/05/2018	***-**-6604 - REYNOLDS, DIANE ACCOUNT #: 5290810273	BLACKROCK TRAILS BUY 0 Units @0.0000	0.00	4.23	0.00	4.23	0.0	0.00
04/09/2018	***-**-9440 - MAYO, DEBORAH ACCOUNT #: 77002217601	NEW YORK 529 TRAILS BUY 0 Units @0.0000	0.00	7.51	0.00	7.51	0.0	0.00
04/09/2018	***-**-80IN - COBB, JAMES ACCOUNT #: 77169961901	NEW YORK 529 TRAILS BUY 0 Units @0.0000	0.00	32.17	0.00	32.17	0.0	0.00
04/09/2018	***-**-665P - MCCLUSKY, YVONNE ACCOUNT #: 77237884701	NEW YORK 529 TRAILS BUY 0 Units @0.0000	0.00	0.81	0.00	0.81	0.0	0.00
04/09/2018	***-**-0069 - KRECIDLO, ACCOUNT #: 77308070501	NEW YORK 529 TRAILS BUY 0 Units @0.0000	0.00	2.03	0.00	2.03	0.0	0.00
04/09/2018	***-**-614J - BUSHEY, MATTHEW BUY 0 Units @0.0000	NEW YORK 529 TRAILS BUY 0 Units @0.0000	0.00	3.11	0.00	3.11	0.0	0.00
04/09/2018	***-**-5384 - GURDO, JESSICA BUY 0 Units @0.0000	NEW YORK 529 TRAILS BUY 0 Units @0.0000	0.00	0.49	0.00	0.49	0.0	0.00



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)								
04/09/2018	***-**-0767 - DOVI,	NEW YORK 529 TRAILS	0.00	0.84	0.00	0.84	0.0	0.00
	ACCOUNT #: 77579193101	BUY 0 Units @0.0000						
04/09/2018	***-**-251I - SCALISE, MARY	NEW YORK 529 TRAILS	0.00	35.46	0.00	35.46	0.0	0.00
	ACCOUNT #: 77691153101	BUY 0 Units @0.0000						
04/09/2018	***-**-635P - LASCALA, DEBORAH	NEW YORK 529 TRAILS	0.00	1.73	0.00	1.73	0.0	0.00
	ACCOUNT #: 77699193301	BUY 0 Units @0.0000						
04/09/2018	***-**-065P - CAMPBELL, PAMELA	NEW YORK 529 TRAILS	0.00	0.78	0.00	0.78	0.0	0.00
	ACCOUNT #: 77830931201	BUY 0 Units @0.0000						
04/09/2018	***-**-473J - HUSTON,	NEW YORK 529 TRAILS	0.00	13.84	0.00	13.84	0.0	0.00
	ACCOUNT #: 77852732401	BUY 0 Units @0.0000						
04/09/2018	***-**-20IR - DEMETRI, AMELIA	NEW YORK 529 TRAILS	0.00	0.97	0.00	0.97	0.0	0.00
	ACCOUNT #: 77854436501	BUY 0 Units @0.0000						
04/09/2018	***-**-205P - RHYMESTINE, ERIC	NEW YORK 529 TRAILS	0.00	0.50	0.00	0.50	0.0	0.00
	ACCOUNT #: 77885699801	BUY 0 Units @0.0000						
	* MUTUAL FUND 12B1 TRAILS SUBTOTAL *		\$0.00	\$104.47	\$0.00	\$104.47		\$0.00
PRODUCT CATEGORY: VARIABLE ANNUITY 12B1 TRAILS								
03/29/2018	***-**-973I - LABAYEWSKI,	41659Q159	0.00	67.63	0.00	67.63	0.0	0.00
	ACCOUNT #: 712686815	BUY 0 Units @0.0000						
03/29/2018	***-**-117I - LABAYEWSKI,	41659Q159	0.00	83.12	0.00	83.12	0.0	0.00
	ACCOUNT #: 712688346	BUY 0 Units @0.0000						
03/29/2018	***-**-86IN - LEE, KEVIN	ALLIANZ TRAILS 018812727	0.00	68.49	0.00	68.49	0.0	0.00
	ACCOUNT #: GAX00761	BUY 0 Units @0.0000						
03/31/2018	***-**-89IN - LEE, ROGER	JACKSON 468511480	0.00	23.44	0.00	23.44	0.0	0.00
	ACCOUNT #: 1200175188	BUY 0 Units @0.0000						
03/31/2018	***-**-65IN - GRUENEWALD, KURT	LINCOLN FIN 533785564	0.00	213.64	0.00	213.64	0.0	0.00
	ACCOUNT #: 951030124	BUY 0 Units @0.0000						
03/30/2018	***-**-00IO - LEE, GARY	NATIONWIDE CUSIP 63890A108-NSCC	0.00	197.14	0.00	197.14	0.0	0.00
	ACCOUNT #: 016295228	BUY 0 Units @0.0000						
04/03/2018	***-**-65CL - GRUENEWALD, K,	PACIFIC LIFE SE5-NYB DTCC	0.00	1.93	0.00	1.93	0.0	0.00
	ACCOUNT #: VP71063000	BUY 0 Units @0.0000						
04/03/2018	***-**-65CL - GRUENEWALD, K,	PACIFIC LIFE SE5-NYB DTCC	0.00	3.49	0.00	3.49	0.0	0.00
	ACCOUNT #: VP71062990	BUY 0 Units @0.0000						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: VARIABLE ANNUITY 12B1 TRAILS (continued)								
04/04/2018	***-**-241I - DINITTO, ALLISYN PACIFIC LIFE SE5-NYB DTCC		0.00	0.98	0.00	0.98	0.0	0.00
	ACCOUNT #: VP71079280	BUY 0 Units @0.0000						
03/31/2018	***-**-366I - GRUENEWALD, PRUDENTIAL VA TRAILS 74429P110		0.00	150.38	0.00	150.38	0.0	0.00
	ACCOUNT #: E1407725	BUY 0 Units @0.0000						
* VARIABLE ANNUITY 12B1 TRAILS SUBTOTAL *			\$0.00	\$810.24	\$0.00	\$810.24		\$0.00
*** BROKER TRANSACTIONS TOTAL ***			\$193,585.54	\$6,594.29	\$389.00	\$6,205.29		\$-54.00

BROKER COMMISSION TOTALS

Broker Transactions	\$-54.00
Split Transactions	\$0.00
Override Transactions	\$0.00
Adjustments	\$0.00
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$-73.17
FINRA Assessment	\$0.00
SIPC Assessment	\$0.00

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

Balance Forward	\$-127.17
Year-to-date Earnings	\$0.00