



COMMISSION STATEMENT

May 07, 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>								
04/18/2018	***-**-579J - RHYMESTINE,	GWG L BOND - 7 YR BUY 30 Units @1000.0000	30,000.00	1,800.00	0.00	1,800.00	0.0	0.00
04/18/2018	***-**-579J - RHYMESTINE,	GWG L BOND - 2YR BUY 10 Units @1000.0000	10,000.00	400.00	0.00	400.00	0.0	0.00
04/12/2018	***-**-653I - KOCHER, CLINTON	GWG L BOND - 3YR BUY 10 Units @1000.0000	10,000.00	500.00	0.00	500.00	0.0	0.00
04/18/2018	***-**-579J - RHYMESTINE,	GWG L BOND - 3YR BUY 10 Units @1000.0000	10,000.00	500.00	0.00	500.00	0.0	0.00
03/26/2018	***-**-851I - BLAKE, JAMES	GWG L BOND - 5 YR BUY 20 Units @1000.0000	20,000.00	1,180.00	0.00	1,180.00	0.0	0.00
04/12/2018	***-**-653I - KOCHER, CLINTON	GWG L BOND - 5 YR BUY 10 Units @1000.0000	10,000.00	590.00	0.00	590.00	0.0	0.00
04/18/2018	***-**-579J - RHYMESTINE,	GWG L BOND - 5 YR BUY 20 Units @1000.0000	20,000.00	1,180.00	0.00	1,180.00	0.0	0.00
04/19/2018	***-**-579J - RHYMESTINE,	TERRA INCOME FUND 6, INC. BUY 2294 Units @10.9000	25,000.00	1,000.00	0.00	1,000.00	0.0	0.00
* ALTERNATIVE INVESTMENTS SUBTOTAL *			\$135,000.00	\$7,150.00	\$0.00	\$7,150.00		\$0.00
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
03/23/2018	***-**-188I - BRADLEY, WAYNE ACCOUNT #: LSR012484	TERRA INCOME FUND 6, INC. CANCEL 1521 Units @9.8600	-15,000.00	0.00	-18.00	18.00	0.0	0.00
04/20/2018	***-**-579J - RHYMESTINE, ACCOUNT #: LSR011081	TERRA INCOME FUND 6, INC. BUY 2294 Units @10.9000	25,000.00	0.00	18.00	-18.00	100.0	-18.00
04/20/2018	***-**-579J - RHYMESTINE, ACCOUNT #: LSR011081	TERRA INCOME FUND 6, INC. CANCEL 2535 Units @9.8600	-25,000.00	0.00	-18.00	18.00	0.0	0.00
04/16/2018	***-**-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
04/23/2018	***-**-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
04/16/2018	***-**-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
04/23/2018	***-**-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



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUNDS (continued)								
04/23/2018	***-**-48JT - LEE, DARLENE	EQUITY INCOME FUND, INC. C	50.00	0.50	0.00	0.50	0.0	0.00
	ACCOUNT #: 08370750926	BUY 0 Units @0.0000						
04/26/2018	***-**-8901 - GURDO, ANTHONY	FUNDAMENTAL INVESTORS-C	150.00	1.50	0.00	1.50	0.0	0.00
	ACCOUNT #: 00087491111	BUY 2 Units @61.9000						
04/16/2018	***-**-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						
04/23/2018	***-**-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						
04/30/2018	***-**-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 @32.8500						
04/30/2018	***-**-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 @14.5400						
04/25/2018	***-**-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 @18.1400						
04/30/2018	***-**-13IN - RHYMESTINE,	MFS INTERNATIONAL VALUE FUND-B	100.00	4.00	0.00	4.00	0.0	0.00
	ACCOUNT #: 08191178476	BUY 2 Units @40.7100						
05/01/2018	***-**-53IN - EVANS, ANDREW	MFS TECHNOLOGY FUND-B	49.99	2.00	0.00	2.00	0.0	0.00
	ACCOUNT #: LSR011483	BUY 1 Units @34.9600						
04/30/2018	***-**-13IN - RHYMESTINE,	MFS TOTAL RETURN FUND-B	50.00	2.00	0.00	2.00	0.0	0.00
	ACCOUNT #: 08191178476	BUY 3 Units @18.5500						
05/01/2018	***-**-53IN - EVANS, ANDREW	MFS UTILITIES FUND-B	100.01	4.00	0.00	4.00	0.0	0.00
	ACCOUNT #: LSR011483	BUY 5 Units @19.9900						
04/16/2018	***-**-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						
04/23/2018	***-**-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						
04/16/2018	***-**-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						
04/23/2018	***-**-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						
04/23/2018	***-**-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						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: MUTUAL FUNDS (continued)								
04/30/2018	***-**-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						
04/23/2018	***-**-48JT - LEE, DARLENE	OPPENHEIMER GBL REAL ESTATE FUND C	50.00	0.50	0.00	0.50	0.0	0.00
	ACCOUNT #: 00100021715	BUY 0 Units @0.0000						
04/16/2018	***-**-633J -	OPPENHEIMER INTERNATIONAL DIVERSIFI	175.00	8.31	0.00	8.31	0.0	0.00
	ACCOUNT #: 01953330426	BUY 0 Units @0.0000						
04/23/2018	***-**-633J -	OPPENHEIMER INTERNATIONAL DIVERSIFI	175.00	8.31	0.00	8.31	0.0	0.00
	ACCOUNT #: 01953330426	BUY 0 Units @0.0000						
04/23/2018	***-**-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						
04/16/2018	***-**-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						
04/23/2018	***-**-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						
04/16/2018	***-**-63IN - LASCALA, DEBORAH	PUTNAM GLOBAL UTILITIES CL C	100.00	1.00	0.00	1.00	0.0	0.00
	ACCOUNT #: 00426855622	BUY 8 Units @13.1500						
05/01/2018	***-**-22IO - CLINTON, STEPHEN	RESOURCE CREDIT INCOME FUND C	10,000.00	118.00	18.00	100.00	0.0	0.00
	ACCOUNT #: LSR011684	BUY 896 Units @11.1600						
05/01/2018	***-**-99IO - EDELMAN, TINA	RESOURCE CREDIT INCOME FUND C	8,500.00	103.00	18.00	85.00	0.0	0.00
	ACCOUNT #: LSR011955	BUY 762 Units @11.1600						
05/01/2018	***-**-31IO - JOSEPH, ANN	RESOURCE CREDIT INCOME FUND C	10,000.00	118.00	18.00	100.00	0.0	0.00
	ACCOUNT #: LSR012337	BUY 896 Units @11.1600						
05/03/2018	***-**-51IR - BLAKE, JAMES	RESOURCE CREDIT INCOME FUND C	5,000.00	68.00	18.00	50.00	0.0	0.00
	ACCOUNT #: LSR012391	BUY 448 Units @11.1700						
* MUTUAL FUNDS SUBTOTAL *			\$21,256.96	\$500.55	\$54.00	\$446.55		\$-18.00
PRODUCT CATEGORY: STOCKS								
05/01/2018	***-**-579J - RHYMESTINE,	MERCK & CO INC NEW COM	5,776.50	77.49	17.00	60.49	0.0	0.00
	ACCOUNT #: LSR011081	BUY 100 Units @57.7650						
05/01/2018	***-**-51IR - BLAKE, JAMES	MERCK & CO INC NEW COM	5,728.50	67.49	17.00	50.49	0.0	0.00
	ACCOUNT #: LSR012391	BUY 100 Units @57.2850						
05/01/2018	***-**-31IO - JOSEPH, ANN	NATIONAL GRID SPON ADR EACH REP 5 O	5,810.00	67.49	17.00	50.49	0.0	0.00
	ACCOUNT #: LSR012337	BUY 100 Units @58.1000						



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: STOCKS (continued)								
05/01/2018	***-**-579J - RHYMESTINE, ACCOUNT #: LSR011081	NORDIC AMERICAN TANKERS LIMITE COM BUY 7000 Units @1.8800	13,160.00	87.49	155.00	-67.51	100.0	-67.51
05/01/2018	***-**-31IO - JOSEPH, ANN ACCOUNT #: LSR012337	NORDIC AMERICAN TANKERS LIMITE COM BUY 2000 Units @1.8600	3,720.00	57.49	55.00	2.49	0.0	0.00
05/01/2018	***-**-51IR - BLAKE, JAMES ACCOUNT #: LSR012391	NORDIC AMERICAN TANKERS LIMITE COM BUY 2500 Units @1.8600	4,650.00	67.49	65.00	2.49	0.0	0.00
* STOCKS SUBTOTAL *			\$38,845.00	\$424.94	\$326.00	\$98.94		\$-67.51
PRODUCT CATEGORY: VARIABLE ANNUITIES								
05/01/2018	***-**-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
* VARIABLE ANNUITIES SUBTOTAL *			\$35.92	\$1.08	\$0.00	\$1.08		\$0.00
PRODUCT CATEGORY: 529 PLAN								
05/07/2018	***-**-80IN - COBB, JAMES ACCOUNT #: 77169961901	NEW YORK 529 TRAILS BUY 0 Units @0.0000	0.00	30.19	0.00	30.19	0.0	0.00
05/07/2018	***-**-473J - HUSTON, ACCOUNT #: 77852732401	NEW YORK 529 TRAILS BUY 0 Units @0.0000	0.00	13.58	0.00	13.58	0.0	0.00
05/07/2018	***-**-665P - MCCLUSKY, YVONNE ACCOUNT #: 77237884701	NEW YORK 529 TRAILS BUY 0 Units @0.0000	0.00	4.03	0.00	4.03	0.0	0.00
05/07/2018	***-**-944O - MAYO, DEBORAH ACCOUNT #: 77002217601	NEW YORK 529 TRAILS BUY 0 Units @0.0000	0.00	7.18	0.00	7.18	0.0	0.00
05/07/2018	***-**-251I - SCALISE, MARY ACCOUNT #: 77691153101	NEW YORK 529 TRAILS BUY 0 Units @0.0000	0.00	37.39	0.00	37.39	0.0	0.00
05/07/2018	***-**-065P - CAMPBELL, PAMELA ACCOUNT #: 77830931201	NEW YORK 529 TRAILS BUY 0 Units @0.0000	0.00	3.41	0.00	3.41	0.0	0.00
* 529 PLAN SUBTOTAL *			\$0.00	\$95.78	\$0.00	\$95.78		\$0.00
PRODUCT CATEGORY: VARIABLE ANNUITY 12B1 TRAILS								
04/30/2018	***-**-89IN - LEE, ROGER ACCOUNT #: 1200175188	JACKSON 468511480 BUY 0 Units @0.0000	0.00	23.94	0.00	23.94	0.0	0.00
* VARIABLE ANNUITY 12B1 TRAILS SUBTOTAL *			\$0.00	\$23.94	\$0.00	\$23.94		\$0.00



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TRANSACTIONS (continued)								
*** BROKER TRANSACTIONS TOTAL ***			\$195,137.88	\$8,196.29	\$380.00	\$7,816.29		\$-85.51
BROKER COMMISSION TOTALS								
Broker Transactions								\$-85.51
Split Transactions								\$0.00
Override Transactions								\$0.00
Adjustments								\$0.00
Payroll Draw								\$0.00
Base Salary								\$0.00
Prior Period Balance								\$-176.68
FINRA Assessment								\$0.00
SIPC Assessment								\$0.00
Please Retain for Your Records THERE WILL BE NO PAYMENT THIS PERIOD								
Balance Forward							\$-262.19	
Year-to-date Earnings							\$0.00	