



COMMISSION STATEMENT

February 19, 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>								
02/07/2018	***-**-480J - EVANS, RICHARD	AMERICAN BALANCED FUND-A	100.00	4.25	0.00	4.25	0.0	0.00
	ACCOUNT #: 00073288662	BUY 4 Units @28.4800						
02/13/2018	***-**-51IR - BLAKE, JAMES	AMERICAN GLOBAL BALANCED CL C	9,999.99	118.00	18.00	100.00	0.0	0.00
	ACCOUNT #: LSR012391	BUY 310 Units @32.2600						
02/09/2018	***-**-15IN - PENDRAK, JOHN	PORTFOLIO SERIES: CONS INV A	2,500.00	19.99	18.00	1.99	0.0	0.00
	ACCOUNT #: LSR010948	SELL 267 Units @9.3600						
02/09/2018	***-**-15IN - PENDRAK, JOHN	QUEST OPPORTUNITY VALUE A	1,999.99	19.99	18.00	1.99	0.0	0.00
	ACCOUNT #: LSR010948	SELL 75 Units @26.8200						
02/07/2018	***-**-480J - EVANS, RICHARD	THE GROWTH FUND OF AMERICA-A	100.00	4.25	0.00	4.25	0.0	0.00
	ACCOUNT #: 00073288662	BUY 2 Units @53.8700						
* MUTUAL FUNDS SUBTOTAL *			\$14,699.98	\$166.48	\$54.00	\$112.48		\$0.00
<u>PRODUCT CATEGORY: STOCKS</u>								
02/09/2018	***-**-959I - FRANZ, PAUL	AMAZON.COM INC UNSOLICITED ORDER	13,100.00	151.00	18.00	133.00	0.0	0.00
	ACCOUNT #: LSR010959	BUY 10 Units @1310.0000						
02/09/2018	***-**-15IN - PENDRAK, JOHN	NATIONAL GRID SPON ADR EACH REP 5 O	5,261.00	87.49	17.00	70.49	0.0	0.00
	ACCOUNT #: LSR010948	BUY 100 Units @52.6100						
02/09/2018	***-**-15IN - PENDRAK, JOHN	NORDIC AMERICAN TANKERS LIMITE COM	195.90	3.83	17.00	-13.17	100.0	-13.17
	ACCOUNT #: LSR010948	BUY 100 Units @1.9590						
02/09/2018	***-**-15IN - PENDRAK, JOHN	NORDIC AMERICAN TANKERS LIMITE COM	195.90	3.83	2.00	1.83	0.0	0.00
	ACCOUNT #: LSR010948	BUY 100 Units @1.9590						
02/09/2018	***-**-15IN - PENDRAK, JOHN	NORDIC AMERICAN TANKERS LIMITE COM	195.90	3.83	2.00	1.83	0.0	0.00
	ACCOUNT #: LSR010948	BUY 100 Units @1.9590						
02/09/2018	***-**-15IN - PENDRAK, JOHN	NORDIC AMERICAN TANKERS LIMITE COM	195.90	3.83	2.00	1.83	0.0	0.00
	ACCOUNT #: LSR010948	BUY 100 Units @1.9590						
02/09/2018	***-**-15IN - PENDRAK, JOHN	NORDIC AMERICAN TANKERS LIMITE COM	195.90	3.83	2.00	1.83	0.0	0.00
	ACCOUNT #: LSR010948	BUY 100 Units @1.9590						
02/09/2018	***-**-15IN - PENDRAK, JOHN	NORDIC AMERICAN TANKERS LIMITE COM	195.90	3.83	2.00	1.83	0.0	0.00
	ACCOUNT #: LSR010948	BUY 100 Units @1.9590						
02/09/2018	***-**-15IN - PENDRAK, JOHN	NORDIC AMERICAN TANKERS LIMITE COM	587.70	11.50	6.00	5.50	0.0	0.00
	ACCOUNT #: LSR010948	BUY 300 Units @1.9590						



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<u>BROKER TRANSACTIONS (continued)</u>								
<u>PRODUCT CATEGORY: STOCKS (continued)</u>								
02/09/2018	***-**-15IN - PENDRAK, JOHN ACCOUNT #: LSR010948	NORDIC AMERICAN TANKERS LIMITE COM BUY 200 Units @1.9590	391.80	7.67	4.00	3.67	0.0	0.00
02/09/2018	***-**-15IN - PENDRAK, JOHN ACCOUNT #: LSR010948	NORDIC AMERICAN TANKERS LIMITE COM BUY 100 Units @1.9590	195.90	3.83	2.00	1.83	0.0	0.00
02/09/2018	***-**-15IN - PENDRAK, JOHN ACCOUNT #: LSR010948	NORDIC AMERICAN TANKERS LIMITE COM BUY 100 Units @1.9590	195.90	3.83	2.00	1.83	0.0	0.00
02/09/2018	***-**-15IN - PENDRAK, JOHN ACCOUNT #: LSR010948	NORDIC AMERICAN TANKERS LIMITE COM BUY 100 Units @1.9590	195.90	3.83	2.00	1.83	0.0	0.00
* STOCKS SUBTOTAL *			\$21,299.50	\$295.96	\$80.00	\$215.96		\$-13.17
<u>PRODUCT CATEGORY: 529 PLAN</u>								
02/14/2018	***-**-614J - BUSHEY, MATTHEW	NYA JPM 529 EQUITY INCOME PORTF C BUY 0 Units @0.0000	100.00	4.75	0.00	4.75	0.0	0.00
* 529 PLAN SUBTOTAL *			\$100.00	\$4.75	\$0.00	\$4.75		\$0.00
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
02/14/2018	***-**-9440 - MAYO, DEBORAH ACCOUNT #: 77002217601	NEW YORK 529 TRAILS BUY 0 Units @0.0000	0.00	7.76	0.00	7.76	0.0	0.00
02/14/2018	***-**-80IN - COBB, JAMES ACCOUNT #: 77169961902	NEW YORK 529 TRAILS BUY 0 Units @0.0000	0.00	34.88	0.00	34.88	0.0	0.00
02/14/2018	***-**-665P - MCCLUSKY, YVONNE ACCOUNT #: 77237884701	NEW YORK 529 TRAILS BUY 0 Units @0.0000	0.00	0.83	0.00	0.83	0.0	0.00
02/14/2018	***-**-0069 - KRECIDLO, ACCOUNT #: 77308070501	NEW YORK 529 TRAILS BUY 0 Units @0.0000	0.00	2.09	0.00	2.09	0.0	0.00
02/14/2018	***-**-614J - BUSHEY, MATTHEW	NEW YORK 529 TRAILS BUY 0 Units @0.0000	0.00	3.17	0.00	3.17	0.0	0.00
02/14/2018	***-**-5384 - GURDO, JESSICA	NEW YORK 529 TRAILS BUY 0 Units @0.0000	0.00	0.44	0.00	0.44	0.0	0.00
02/14/2018	***-**-0767 - DOVI, ACCOUNT #: 77579193101	NEW YORK 529 TRAILS BUY 0 Units @0.0000	0.00	0.81	0.00	0.81	0.0	0.00
02/14/2018	***-**-251I - SCALISE, MARY ACCOUNT #: 77691153101	NEW YORK 529 TRAILS BUY 0 Units @0.0000	0.00	36.72	0.00	36.72	0.0	0.00



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<u>BROKER TRANSACTIONS (continued)</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</u>								
02/14/2018	***-**-635P - LASCALA, DEBORAH NEW YORK 529 TRAILS		0.00	1.69	0.00	1.69	0.0	0.00
	ACCOUNT #: 77699193301 BUY 0 Units @0.0000							
02/14/2018	***-**-065P - CAMPBELL, PAMELA NEW YORK 529 TRAILS		0.00	0.79	0.00	0.79	0.0	0.00
	ACCOUNT #: 77830931201 BUY 0 Units @0.0000							
02/14/2018	***-**-473J - HUSTON, NEW YORK 529 TRAILS		0.00	13.48	0.00	13.48	0.0	0.00
	ACCOUNT #: 77852732401 BUY 0 Units @0.0000							
02/14/2018	***-**-20IR - DEMETRI, AMELIA NEW YORK 529 TRAILS		0.00	0.98	0.00	0.98	0.0	0.00
	ACCOUNT #: 77854436501 BUY 0 Units @0.0000							
02/14/2018	***-**-205P - RHYMESTINE, ERIC NEW YORK 529 TRAILS		0.00	0.52	0.00	0.52	0.0	0.00
	ACCOUNT #: 77885699801 BUY 0 Units @0.0000							
	* MUTUAL FUND 12B1 TRAILS SUBTOTAL *		\$0.00	\$104.16	\$0.00	\$104.16		\$0.00
	*** BROKER TRANSACTIONS TOTAL ***		\$36,099.48	\$571.35	\$134.00	\$437.35		\$-13.17
<u>ADJUSTMENTS</u>								
02/15/2018	MISCELLANEOUS: MISC - TRANSACTION F		0.00	0.00	0.00	0.00		170.88
	*** ADJUSTMENTS TOTAL ***		\$0.00	\$0.00	\$0.00	\$0.00		\$170.88



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<div>BROKER COMMISSION TOTALS</div>								
						Broker Transactions		\$-13.17
						Split Transactions		\$0.00
						Override Transactions		\$0.00
						Adjustments		\$170.88
						Payroll Draw		\$0.00
						Base Salary		\$0.00
						Prior Period Balance		\$-170.88
						FINRA Assessment		\$0.00
						SIPC Assessment		\$0.00
Please Retain for Your Records THERE WILL BE NO PAYMENT THIS PERIOD						Balance Forward		\$-13.17
						Year-to-date Earnings		\$0.00