



# COMMISSION STATEMENT

## February 05, 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
<b><u>BROKER TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: ALTERNATIVE INVESTMENTS</u></b>								
01/16/2018	***-**-35IN - RUGGIERO, LAURIE	GWG L BOND - 7 YR BUY 10 Units @1000.0000	10,000.00	600.00	0.00	600.00	0.0	0.00
01/16/2018	***-**-35IN - RUGGIERO, LAURIE	GWG L BOND - 5 YR BUY 10 Units @1000.0000	10,000.00	590.00	0.00	590.00	0.0	0.00
* ALTERNATIVE INVESTMENTS SUBTOTAL *			\$20,000.00	\$1,190.00	\$0.00	\$1,190.00		\$0.00
<b><u>PRODUCT CATEGORY: MUTUAL FUNDS</u></b>								
01/22/2018	***-**-22IO - CLINTON, STEPHEN	TERRA INCOME FUND 6, INC. ACCOUNT #: LSR011684 BUY 917 Units @10.9000	10,000.00	0.00	18.00	-18.00	100.0	-18.00
01/22/2018	***-**-22IO - CLINTON, STEPHEN	TERRA INCOME FUND 6, INC. ACCOUNT #: LSR011684 CANCEL 1000 Units @10.0000	-10,000.00	0.00	-18.00	18.00	0.0	0.00
01/31/2018	***-**-169I - EVANS, PAUL	AMERICAN FUNDS BALANCED PORT CL C ACCOUNT #: LSR011026 SELL 66 Units @15.2600	1,000.00	18.00	18.00	0.00	0.0	0.00
01/22/2018	***-**-65CL - GRUENEWALD, K,	CAPITAL APPRECIATION C ACCOUNT #: 03222414918 BUY 0 Units @0.0000	50.00	0.50	0.00	0.50	0.0	0.00
01/31/2018	***-**-31IO - WILLIAMSON, FBO	CAPITAL INCOME BUILDER CLASS C ACCOUNT #: LSR011172 SELL 47 Units @64.4700	2,999.98	18.00	18.00	0.00	0.0	0.00
02/01/2018	***-**-37IO - DAVIDSON,	EATON VANCE FLOATING RATE ADVANTAGE ACCOUNT #: LSR012268 SELL 183 Units @10.9500	2,000.00	18.00	18.00	0.00	0.0	0.00
01/22/2018	***-**-633J -	EQUITY INCOME FUND, INC. A ACCOUNT #: 08353229688 BUY 0 Units @0.0000	175.00	8.31	0.00	8.31	0.0	0.00
01/17/2018	***-**-48JT - LEE, DARLENE	EQUITY INCOME FUND, INC. C ACCOUNT #: 08370750926 BUY 0 Units @0.0000	50.00	0.50	0.00	0.50	0.0	0.00
01/29/2018	***-**-48JT - LEE, DARLENE	EQUITY INCOME FUND, INC. C ACCOUNT #: 08370750926 BUY 0 Units @0.0000	50.00	0.50	0.00	0.50	0.0	0.00
01/26/2018	***-**-366S - GRUENEWALD,	FUNDAMENTAL INVESTORS-A ACCOUNT #: LSR010990 SELL 30 Units @66.9300	2,000.00	18.00	18.00	0.00	0.0	0.00
01/26/2018	***-**-8901 - GURDO, ANTHONY	FUNDAMENTAL INVESTORS-C ACCOUNT #: 00087491111 BUY 2 Units @66.5400	150.00	1.50	0.00	1.50	0.0	0.00
01/30/2018	***-**-861I - SANGER, LAWRENCE	FUNDAMENTAL INVESTORS-C ACCOUNT #: LSR011095 SELL 6 Units @65.4400	399.97	0.00	0.00	0.00	0.0	0.00
01/22/2018	***-**-65CL - GRUENEWALD, K,	GLOBAL OPPORTUNITIES FUND C ACCOUNT #: 02171825219 BUY 0 Units @0.0000	50.00	0.50	0.00	0.50	0.0	0.00



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<b>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: MUTUAL FUNDS (continued)</b>								
02/01/2018	***-**-37IO - DAVIDSON, ACCOUNT #: LSR012268	LORD ABBETT SHORT DURATION INCOME C SELL 1995 Units @4.2600	8,500.00	18.00	18.00	0.00	0.0	0.00
01/22/2018	***-**-06IN - SATTERLY, ACCOUNT #: 08191336006	MFS 08191336006 BUY 3 Units @33.6900	100.00	1.00	0.00	1.00	0.0	0.00
01/29/2018	***-**-13IN - RHYMESTINE, ACCOUNT #: 08191178476	MFS EMERGING MARKETS EQUITY FUND-B BUY 1 Units @35.1200	50.00	2.00	0.00	2.00	0.0	0.00
01/29/2018	***-**-13IN - RHYMESTINE, ACCOUNT #: 08191178476	MFS EMERGING MKT DEBT CL B BUY 3 Units @15.1500	50.00	2.00	0.00	2.00	0.0	0.00
01/17/2018	***-**-53RI - FALCHI, VALERIE ACCOUNT #: 08191172002	MFS GLOBAL TOTAL RETURN FUND-B BUY 3 Units @19.0000	50.00	2.00	0.00	2.00	0.0	0.00
01/22/2018	***-**-617I - ESCHE, BEVERLY ACCOUNT #: 08191154979	MFS GLOBAL TOTAL RETURN FUND-B BUY 3 Units @19.1100	50.00	2.00	0.00	2.00	0.0	0.00
01/25/2018	***-**-094I - KATRENA L ACCOUNT #: 08191140345	MFS GLOBAL TOTAL RETURN FUND-B BUY 3 Units @19.2000	50.00	2.00	0.00	2.00	0.0	0.00
01/31/2018	***-**-31IO - WILLIAMSON, FBO ACCOUNT #: LSR011172	MFS GLOBAL TOTAL RETURN FUND-B SELL 209 Units @19.1000	4,000.00	18.00	18.00	0.00	0.0	0.00
01/22/2018	***-**-617I - ESCHE, BEVERLY ACCOUNT #: 08191154979	MFS INTERNATIONAL NEW DISCOVERY FUN BUY 1 Units @35.2300	50.00	2.00	0.00	2.00	0.0	0.00
01/31/2018	***-**-31IO - WILLIAMSON, FBO ACCOUNT #: LSR011172	MFS INTERNATIONAL NEW DISCOVERY FUN SELL 85 Units @35.2700	3,000.00	18.00	18.00	0.00	0.0	0.00
01/29/2018	***-**-13IN - RHYMESTINE, ACCOUNT #: 08191178476	MFS INTERNATIONAL VALUE FUND-B BUY 2 Units @42.7500	100.00	4.00	0.00	4.00	0.0	0.00
01/22/2018	***-**-06IN - SATTERLY, ACCOUNT #: 08191173302	MFS TECHNOLOGY FUND-B BUY 1 Units @34.5700	50.00	2.00	0.00	2.00	0.0	0.00
01/31/2018	***-**-169I - EVANS, PAUL ACCOUNT #: LSR011026	MFS TECHNOLOGY FUND-B SELL 28 Units @35.1500	1,000.02	18.00	18.00	0.00	0.0	0.00
01/31/2018	***-**-31IO - WILLIAMSON, FBO ACCOUNT #: LSR011172	MFS TECHNOLOGY FUND-B SELL 28 Units @35.1500	1,000.02	18.00	18.00	0.00	0.0	0.00
01/29/2018	***-**-13IN - RHYMESTINE, ACCOUNT #: 08191178476	MFS TOTAL RETURN FUND-B BUY 3 Units @19.7700	50.00	2.00	0.00	2.00	0.0	0.00
01/31/2018	***-**-31IO - WILLIAMSON, FBO ACCOUNT #: LSR011172	MFS TOTAL RETURN FUND-B SELL 153 Units @19.5800	3,000.01	18.00	18.00	0.00	0.0	0.00



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<b>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: MUTUAL FUNDS (continued)</b>								
01/22/2018	***-**-617I - ESCHE, BEVERLY	MFS UTILITIES FUND-B	50.00	2.00	0.00	2.00	0.0	0.00
	ACCOUNT #: 08191154979	BUY 2 Units @20.2800						
02/05/2018	***-**-20IR - DEMETRI, AMELIA	NYA JPM 529 MOD AGE-BASED A	50.00	2.38	0.00	2.38	0.0	0.00
	ACCOUNT #: 77854436501	BUY 0 Units @0.0000						
02/05/2018	***-**-665P - MCCLUSKY, YVONNE	NYA JPM 529 REALTY INCOME PORTF C	300.00	3.00	0.00	3.00	0.0	0.00
	ACCOUNT #: 77237884701	BUY 0 Units @0.0000						
01/22/2018	***-**-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						
01/17/2018	***-**-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						
01/17/2018	***-**-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						
01/22/2018	***-**-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						
01/29/2018	***-**-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						
01/29/2018	***-**-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						
01/17/2018	***-**-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						
01/29/2018	***-**-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						
01/17/2018	***-**-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						
01/22/2018	***-**-633J -	OPPENHEIMER INTERNATIONAL DIVERSIFI	175.00	8.31	0.00	8.31	0.0	0.00
	ACCOUNT #: 01953330426	BUY 0 Units @0.0000						
01/29/2018	***-**-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						
01/22/2018	***-**-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						
01/31/2018	***-**-169I - EVANS, PAUL	PUTNAM GROWTH OPPORTUNITIES FUND CL	2,500.01	18.00	18.00	0.00	0.0	0.00
	ACCOUNT #: LSR011026	SELL 84 Units @29.6600						
* MUTUAL FUNDS SUBTOTAL *			\$33,990.99	\$268.53	\$198.00	\$70.53		\$-18.00



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<b>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: STOCKS</b>								
02/01/2018	***-**-169I - EVANS, PAUL ACCOUNT #: LSR011026	AEROVIRNMENT INC SELL 75 Units @52.2790	3,920.93	57.00	18.00	39.00	0.0	0.00
01/26/2018	***-**-366S - GRUENEWALD, ACCOUNT #: LSR010990	ALPS ETF TR ALERIAN MLP ETF SELL 400 Units @11.8260	4,730.40	65.24	23.00	42.24	0.0	0.00
01/29/2018	***-**-366S - GRUENEWALD, ACCOUNT #: LSR010990	AMAZON.COM INC UNSOLICITED ORDER BUY 20 Units @1408.4000	28,168.00	298.40	18.00	280.40	0.0	0.00
01/31/2018	***-**-366S - GRUENEWALD, ACCOUNT #: LSR010990	AMAZON.COM INC UNSOLICITED ORDER BUY 15 Units @1461.8310	21,927.47	237.00	18.00	219.00	0.0	0.00
01/26/2018	***-**-366S - GRUENEWALD, ACCOUNT #: LSR010990	ANNALY CAP MANGEMENT INC SELL 400 Units @10.9050	4,362.00	61.60	23.00	38.60	0.0	0.00
01/30/2018	***-**-366S - GRUENEWALD, ACCOUNT #: LSR010990	APPLE INC UNSOLICITED ORDER SELL 130 Units @167.0000	21,710.00	235.10	18.00	217.10	0.0	0.00
01/26/2018	***-**-366S - GRUENEWALD, ACCOUNT #: LSR010990	BLACKROCK ENHANCED DIVID ACHIEVERS SELL 500 Units @9.5950	4,797.50	66.00	25.00	41.00	0.0	0.00
01/26/2018	***-**-366S - GRUENEWALD, ACCOUNT #: LSR010990	DENBURY RES INC DEL COM USD0.001 SELL 1100 Units @2.5610	2,817.10	43.39	37.00	6.39	0.0	0.00
01/26/2018	***-**-366S - GRUENEWALD, ACCOUNT #: LSR010990	DENBURY RES INC DEL COM USD0.001 SELL 200 Units @2.5650	513.00	7.89	4.00	3.89	0.0	0.00
02/01/2018	***-**-702I - KOCHEM, MICHAEL ACCOUNT #: LSR010954	FORD MTR CO DEL COM UNSOLICITED ORD BUY 100 Units @10.9190	1,091.90	18.15	17.00	1.15	0.0	0.00
02/01/2018	***-**-702I - KOCHEM, MICHAEL ACCOUNT #: LSR010954	FORD MTR CO DEL COM UNSOLICITED ORD BUY 44 Units @10.9190	480.44	7.99	0.88	7.11	0.0	0.00
02/01/2018	***-**-702I - KOCHEM, MICHAEL ACCOUNT #: LSR010954	FORD MTR CO DEL COM UNSOLICITED ORD BUY 106 Units @10.9190	1,157.41	19.24	2.12	17.12	0.0	0.00
01/26/2018	***-**-366I - GRUENEWALD, ACCOUNT #: LSR010989	NETFLIX COM INC COM UNSOLICITED ORD BUY 50 Units @270.0000	13,500.00	153.00	18.00	135.00	0.0	0.00
01/26/2018	***-**-366S - GRUENEWALD, ACCOUNT #: LSR010990	TORTOISE ENERGY INFRSTRCTR CP COM I SELL 74 Units @32.1250	2,377.25	41.74	16.48	25.26	0.0	0.00
01/26/2018	***-**-366S - GRUENEWALD, ACCOUNT #: LSR010990	TRANSOCEAN LIMITED COM CHF15 UNSOLI SELL 50 Units @11.2160	560.80	23.62	16.00	7.62	0.0	0.00
<b>* STOCKS SUBTOTAL *</b>			<b>\$112,114.20</b>	<b>\$1,335.36</b>	<b>\$254.48</b>	<b>\$1,080.88</b>		<b>\$0.00</b>



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<b><u>BROKER TRANSACTIONS (continued)</u></b>								
<b><u>PRODUCT CATEGORY: VARIABLE ANNUITIES</u></b>								
02/01/2018	***-**-8126 - MCCARTHY, BRIANN	PACIFIC LIFE SE5-NYB DTCC	35.92	1.08	0.00	1.08	0.0	0.00
	ACCOUNT #: VP71028570	BUY 0 Units @0.0000						
		<b>* VARIABLE ANNUITIES SUBTOTAL *</b>	<b>\$35.92</b>	<b>\$1.08</b>	<b>\$0.00</b>	<b>\$1.08</b>		<b>\$0.00</b>
<b><u>PRODUCT CATEGORY: UNIT INVESTMENT TRUSTS</u></b>								
01/26/2018	***-**-366S - GRUENEWALD,	T C PIPELINES SOLICITED ORDER	5,645.30	74.33	24.00	50.33	0.0	0.00
	ACCOUNT #: LSR010990	SELL 100 Units @56.4530						
		<b>* UNIT INVESTMENT TRUSTS SUBTOTAL *</b>	<b>\$5,645.30</b>	<b>\$74.33</b>	<b>\$24.00</b>	<b>\$50.33</b>		<b>\$0.00</b>
<b><u>PRODUCT CATEGORY: 529 PLAN</u></b>								
02/01/2018	***-**-635P - LASCALA, DEBORAH	NYA JPM 529 AGGR PORTI C	50.00	0.50	0.00	0.50	0.0	0.00
	ACCOUNT #: 77699193301	BUY 0 Units @0.0000						
02/01/2018	***-**-0767 - DOVI,	NYA JPM 529 EQUITY INCOME PORTF C	25.00	0.25	0.00	0.25	0.0	0.00
	ACCOUNT #: 77579193101	BUY 0 Units @0.0000						
02/01/2018	***-**-473J - HUSTON,	NYA JPM 529 EQUITY INCOME PORTF C	200.00	2.00	0.00	2.00	0.0	0.00
	ACCOUNT #: 77852732401	BUY 0 Units @0.0000						
02/01/2018	***-**-473J - HUSTON,	NYA JPM 529 EQUITY INCOME PORTF C	200.00	2.00	0.00	2.00	0.0	0.00
	ACCOUNT #: 77852732402	BUY 0 Units @0.0000						
01/22/2018	***-**-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 @49.4200						
		<b>* 529 PLAN SUBTOTAL *</b>	<b>\$525.00</b>	<b>\$5.25</b>	<b>\$0.00</b>	<b>\$5.25</b>		<b>\$0.00</b>
<b><u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u></b>								
02/05/2018	***-**-6604 - REYNOLDS, DIANE	BLACKROCK TRAILS	0.00	4.68	0.00	4.68	0.0	0.00
	ACCOUNT #: 5290810273	BUY 0 Units @0.0000						
02/05/2018	***-**-63TR - EVANS, AUDREY J	RESOURCE REAL ESTATE-NFS	0.00	0.43	0.00	0.43	0.0	0.00
	ACCOUNT #: LSR011036	BUY 1 Units @0.0000						
02/05/2018	***-**-63TR - EVANS, AUDREY J	RESOURCE REAL ESTATE-NFS	0.00	0.14	0.00	0.14	0.0	0.00
	ACCOUNT #: LSR011036	BUY 1 Units @0.0000						
02/05/2018	***-**-72IN - GAVALO, JULIE	RESOURCE REAL ESTATE-NFS	0.00	0.37	0.00	0.37	0.0	0.00
	ACCOUNT #: LSR010921	BUY 1 Units @0.0000						
02/05/2018	***-**-72IN - GAVALO, JULIE	RESOURCE REAL ESTATE-NFS	0.00	0.12	0.00	0.12	0.0	0.00
	ACCOUNT #: LSR010921	BUY 1 Units @0.0000						



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<b>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b>								
02/05/2018	***-**-63TR - EVANS, AUDREY J	RESOURCE REAL ESTATE-NFS	0.00	10.95	0.00	10.95	0.0	0.00
	ACCOUNT #: LSR011036	BUY 1 Units @0.0000						
02/05/2018	***-**-63TR - EVANS, AUDREY J	RESOURCE REAL ESTATE-NFS	0.00	3.65	0.00	3.65	0.0	0.00
	ACCOUNT #: LSR011036	BUY 1 Units @0.0000						
02/05/2018	***-**-72IN - GAVALO, JULIE	RESOURCE REAL ESTATE-NFS	0.00	3.66	0.00	3.66	0.0	0.00
	ACCOUNT #: LSR010921	BUY 1 Units @0.0000						
02/05/2018	***-**-72IN - GAVALO, JULIE	RESOURCE REAL ESTATE-NFS	0.00	1.22	0.00	1.22	0.0	0.00
	ACCOUNT #: LSR010921	BUY 1 Units @0.0000						
02/05/2018	***-**-930I - SANGER, KEVIN	RESOURCE REAL ESTATE-NFS	0.00	12.17	0.00	12.17	0.0	0.00
	ACCOUNT #: LSR010941	BUY 1 Units @0.0000						
02/05/2018	***-**-930I - SANGER, KEVIN	RESOURCE REAL ESTATE-NFS	0.00	4.06	0.00	4.06	0.0	0.00
	ACCOUNT #: LSR010941	BUY 1 Units @0.0000						
02/05/2018	***-**-29IO - MASSOUD,	RESOURCE REAL ESTATE-NFS	0.00	6.06	0.00	6.06	0.0	0.00
	ACCOUNT #: LSR011217	BUY 1 Units @0.0000						
02/05/2018	***-**-29IO - MASSOUD,	RESOURCE REAL ESTATE-NFS	0.00	2.02	0.00	2.02	0.0	0.00
	ACCOUNT #: LSR011217	BUY 1 Units @0.0000						
02/05/2018	***-**-89IN - LEE, ROGER	RESOURCE REAL ESTATE-NFS	0.00	13.67	0.00	13.67	0.0	0.00
	ACCOUNT #: LSR011166	BUY 1 Units @0.0000						
02/05/2018	***-**-89IN - LEE, ROGER	RESOURCE REAL ESTATE-NFS	0.00	4.56	0.00	4.56	0.0	0.00
	ACCOUNT #: LSR011166	BUY 1 Units @0.0000						
02/05/2018	***-**-761I - EVANS, DOLORES	RESOURCE REAL ESTATE-NFS	0.00	6.38	0.00	6.38	0.0	0.00
	ACCOUNT #: LSR011024	BUY 1 Units @0.0000						
02/05/2018	***-**-761I - EVANS, DOLORES	RESOURCE REAL ESTATE-NFS	0.00	2.13	0.00	2.13	0.0	0.00
	ACCOUNT #: LSR011024	BUY 1 Units @0.0000						
02/05/2018	***-**-567I - FRANZ, ALICE	RESOURCE REAL ESTATE-NFS	0.00	6.07	0.00	6.07	0.0	0.00
	ACCOUNT #: LSR010960	BUY 1 Units @0.0000						
02/05/2018	***-**-567I - FRANZ, ALICE	RESOURCE REAL ESTATE-NFS	0.00	2.02	0.00	2.02	0.0	0.00
	ACCOUNT #: LSR010960	BUY 1 Units @0.0000						
02/05/2018	***-**-653I - KOCHER, CLINTON	RESOURCE REAL ESTATE-NFS	0.00	6.06	0.00	6.06	0.0	0.00
	ACCOUNT #: LSR011300	BUY 1 Units @0.0000						
02/05/2018	***-**-653I - KOCHER, CLINTON	RESOURCE REAL ESTATE-NFS	0.00	2.02	0.00	2.02	0.0	0.00
	ACCOUNT #: LSR011300	BUY 1 Units @0.0000						



# COMMISSION STATEMENT

February 05, 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
<b>BROKER TRANSACTIONS (continued)</b>								
<b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS (continued)</b>								
02/05/2018	***-**-861I - SANGER, LAWRENCE	RESOURCE REAL ESTATE-NFS	0.00	7.30	0.00	7.30	0.0	0.00
	ACCOUNT #: LSR011095	BUY 1 Units @0.0000						
02/05/2018	***-**-861I - SANGER, LAWRENCE	RESOURCE REAL ESTATE-NFS	0.00	2.43	0.00	2.43	0.0	0.00
	ACCOUNT #: LSR011095	BUY 1 Units @0.0000						
02/05/2018	***-**-473J - HUSTON,	RESOURCE REAL ESTATE-NFS	0.00	6.08	0.00	6.08	0.0	0.00
	ACCOUNT #: LSR011228	BUY 1 Units @0.0000						
02/05/2018	***-**-473J - HUSTON,	RESOURCE REAL ESTATE-NFS	0.00	2.03	0.00	2.03	0.0	0.00
	ACCOUNT #: LSR011228	BUY 1 Units @0.0000						
02/05/2018	***-**-86IN - LEE, KEVIN	RESOURCE REAL ESTATE-NFS	0.00	6.03	0.00	6.03	0.0	0.00
	ACCOUNT #: LSR011613	BUY 1 Units @0.0000						
02/05/2018	***-**-86IN - LEE, KEVIN	RESOURCE REAL ESTATE-NFS	0.00	2.01	0.00	2.01	0.0	0.00
	ACCOUNT #: LSR011613	BUY 1 Units @0.0000						
02/05/2018	***-**-628I - SANGER, SANDRA	RESOURCE REAL ESTATE-NFS	0.00	5.20	0.00	5.20	0.0	0.00
	ACCOUNT #: LSR010942	BUY 1 Units @0.0000						
02/05/2018	***-**-628I - SANGER, SANDRA	RESOURCE REAL ESTATE-NFS	0.00	1.73	0.00	1.73	0.0	0.00
	ACCOUNT #: LSR010942	BUY 1 Units @0.0000						
02/05/2018	***-**-37IO - MCCLUSKY, MARK	RESOURCE REAL ESTATE-NFS	0.00	3.06	0.00	3.06	0.0	0.00
	ACCOUNT #: LSR011579	BUY 1 Units @0.0000						
02/05/2018	***-**-37IO - MCCLUSKY, MARK	RESOURCE REAL ESTATE-NFS	0.00	1.02	0.00	1.02	0.0	0.00
	ACCOUNT #: LSR011579	BUY 1 Units @0.0000						
<b>* MUTUAL FUND 12B1 TRAILS SUBTOTAL *</b>			<b>\$0.00</b>	<b>\$129.33</b>	<b>\$0.00</b>	<b>\$129.33</b>		<b>\$0.00</b>
<b>PRODUCT CATEGORY: VARIABLE ANNUITY 12B1 TRAILS</b>								
01/31/2018	***-**-89IN - LEE, ROGER	JACKSON 468511480	0.00	25.10	0.00	25.10	0.0	0.00
	ACCOUNT #: 1200175188	BUY 0 Units @0.0000						
<b>* VARIABLE ANNUITY 12B1 TRAILS SUBTOTAL *</b>			<b>\$0.00</b>	<b>\$25.10</b>	<b>\$0.00</b>	<b>\$25.10</b>		<b>\$0.00</b>
<b>*** BROKER TRANSACTIONS TOTAL ***</b>			<b>\$172,311.41</b>	<b>\$3,028.98</b>	<b>\$476.48</b>	<b>\$2,552.50</b>		<b>\$-18.00</b>



**BROKER #: A77**  
BRANCH #01047 - 47 - GRIFFITH

DATE	CLIENT	INVESTMENT	AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<div>BROKER COMMISSION TOTALS</div>								
				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				\$-146.88
				FINRA Assessment				\$0.00
				SIPC Assessment				\$0.00
Please Retain for Your Records								
THERE WILL BE NO PAYMENT THIS PERIOD								
				Balance Forward				\$-164.88
				Year-to-date Earnings				\$-18.00