



# COMMISSION STATEMENT

## December 10, 2018

KURT GRUENEWALD  
2108 Genesee St.  
Utica, NY 13502

BROKER #: A77  
BRANCH #01047 - 47 - GRIFFITH

| DATE  | CLIENT  | INVESTMENT  | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|---|---|---|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u>BROKER TRANSACTIONS</u></b>                       |   |   |                      |                     |                    |                   |      |                      |
| <b><u>PRODUCT CATEGORY: ALTERNATIVE INVESTMENTS</u></b> |   |   |                      |                     |                    |                   |      |                      |
| 10/18/2018  | ***-**-51IO - CAIN, TIMOTHY                             | GWG L BOND - 2YR<br>BUY 10 Units @1000.0000                     | 10,000.00            | 400.00              | 0.00               | 400.00            | 0.0  | 0.00                 |
| 11/12/2018  | ***-**-60IO - JOSEPH,                                   | GWG L BOND - 2YR<br>BUY 10 Units @1000.0000                     | 10,000.00            | 400.00              | 0.00               | 400.00            | 0.0  | 0.00                 |
| 10/18/2018  | ***-**-51IO - CAIN, TIMOTHY                             | GWG L BOND - 3YR<br>BUY 10 Units @1000.0000                     | 10,000.00            | 500.00              | 0.00               | 500.00            | 0.0  | 0.00                 |
| 11/12/2018  | ***-**-60IO - JOSEPH,                                   | GWG L BOND - 3YR<br>BUY 10 Units @1000.0000                     | 10,000.00            | 500.00              | 0.00               | 500.00            | 0.0  | 0.00                 |
| 11/20/2018  | ***-**-480J - EVANS, RICHARD                            | GWG L BOND - 3YR<br>BUY 10 Units @1000.0000                     | 10,000.00            | 500.00              | 0.00               | 500.00            | 0.0  | 0.00                 |
| 10/18/2018  | ***-**-51IO - CAIN, TIMOTHY                             | GWG L BOND - 5 YR<br>BUY 10 Units @1000.0000                    | 10,000.00            | 590.00              | 0.00               | 590.00            | 0.0  | 0.00                 |
| 11/12/2018  | ***-**-60IO - JOSEPH,                                   | GWG L BOND - 5 YR<br>BUY 10 Units @1000.0000                    | 10,000.00            | 590.00              | 0.00               | 590.00            | 0.0  | 0.00                 |
| 11/20/2018  | ***-**-480J - EVANS, RICHARD                            | GWG L BOND - 5 YR<br>BUY 10 Units @1000.0000                    | 10,000.00            | 590.00              | 0.00               | 590.00            | 0.0  | 0.00                 |
| <b>* ALTERNATIVE INVESTMENTS SUBTOTAL *</b>             |   |   | <b>\$80,000.00</b>   | <b>\$4,070.00</b>   | <b>\$0.00</b>      | <b>\$4,070.00</b> |      | <b>\$0.00</b>        |
| <b><u>PRODUCT CATEGORY: MUTUAL FUNDS</u></b>            |   |   |                      |                     |                    |                   |      |                      |
| 12/07/2018  | ***-**-480J - EVANS, RICHARD<br>ACCOUNT #: 00073288662  | AMERICAN BALANCED FUND-A<br>BUY 4 Units @28.1100                | 125.00               | 5.31                | 0.00               | 5.31              | 0.0  | 0.00                 |
| 12/04/2018  | ***-**-73TR - WESTCOTT IRRVOC<br>ACCOUNT #: LSR011001   | EATON VANCE FLOATING RATE ADVANTAGE<br>SELL 1012 Units @10.7600 | 10,890.41            | 18.00               | 18.00              | 0.00              | 0.0  | 0.00                 |
| 12/03/2018  | ***-**-653I - KOCHER, CLINTON<br>ACCOUNT #: LSR011300   | FUNDAMENTAL INVESTORS-C<br>SELL 32 Units @62.2600               | 1,999.98             | 18.00               | 18.00              | 0.00              | 0.0  | 0.00                 |
| 12/04/2018  | ***-**-506J - CURRIERE JR, MR<br>ACCOUNT #: 00088062946 | INTERNATIONAL GROWTH AND INCOME-A<br>BUY 2 Units @32.1300       | 62.50                | 2.66                | 0.00               | 2.66              | 0.0  | 0.00                 |
| 11/30/2018  | ***-**-9440 - MAYO, DEBORAH<br>ACCOUNT #: LSR011035     | MFS TECHNOLOGY FUND CLASS A<br>SELL 25 Units @40.3500           | 999.99               | 18.00               | 18.00              | 0.00              | 0.0  | 0.00                 |
| 12/03/2018  | ***-**-53IN - EVANS, ANDREW<br>ACCOUNT #: LSR011483     | MFS TECHNOLOGY FUND-B<br>BUY 1 Units @35.5100                   | 50.00                | 2.00                | 0.00               | 2.00              | 0.0  | 0.00                 |
| 12/03/2018  | ***-**-53IN - EVANS, ANDREW<br>ACCOUNT #: LSR011483     | MFS UTILITIES FUND-B<br>BUY 5 Units @20.6200                    | 100.01               | 4.00                | 0.00               | 4.00              | 0.0  | 0.00                 |



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| DATE  | CLIENT                         | INVESTMENT                          | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|---|--------------------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b>BROKER TRANSACTIONS (continued)</b>            |                                |                                     |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUNDS (continued)</b> |                                |                                     |                      |                     |                    |                   |      |                      |
| 12/04/2018  | ***-**-506J - CURRIERE JR, MR  | NEW PERSPECTIVE FUND-A              | 62.50                | 2.66                | 0.00               | 2.66              | 0.0  | 0.00                 |
|   | ACCOUNT #: 00088062946         | BUY 1 Units @44.8700                |                      |                     |                    |                   |      |                      |
| 11/30/2018  | ***-**-9440 - MAYO, DEBORAH    | PUTNAM GLOBAL CONSUMER FUND CL B    | 1,000.00             | 18.00               | 18.00              | 0.00              | 0.0  | 0.00                 |
|   | ACCOUNT #: LSR011035           | SELL 49 Units @20.4700              |                      |                     |                    |                   |      |                      |
| 12/03/2018  | ***-**-653I - KOCHER, CLINTON  | PUTNAM GLOBAL CONSUMER FUND CL B    | 2,500.00             | 18.00               | 18.00              | 0.00              | 0.0  | 0.00                 |
|   | ACCOUNT #: LSR011300           | SELL 120 Units @20.7700             |                      |                     |                    |                   |      |                      |
| 12/07/2018  | ***-**-480J - EVANS, RICHARD   | THE GROWTH FUND OF AMERICA-A        | 125.00               | 5.31                | 0.00               | 5.31              | 0.0  | 0.00                 |
|   | ACCOUNT #: 00073288662         | BUY 2 Units @52.5600                |                      |                     |                    |                   |      |                      |
| 12/04/2018  | ***-**-73TR - WESTCOTT IRRVOC  | TRANSAMERICA MLP & ENERGY INCOME CL | 7,051.46             | 18.00               | 18.00              | 0.00              | 0.0  | 0.00                 |
|   | ACCOUNT #: LSR011001           | SELL 1046 Units @6.7400             |                      |                     |                    |                   |      |                      |
| 12/04/2018  | ***-**-73TR - WESTCOTT IRRVOC  | TRANSAMERICA MLP & ENERGY INCOME CL | 6,791.93             | 18.00               | 18.00              | 0.00              | 0.0  | 0.00                 |
|   | ACCOUNT #: LSR011008           | SELL 1008 Units @6.7400             |                      |                     |                    |                   |      |                      |
| <b>* MUTUAL FUNDS SUBTOTAL *</b>                  |                                |                                     | <b>\$31,758.78</b>   | <b>\$147.94</b>     | <b>\$126.00</b>    | <b>\$21.94</b>    |      | <b>\$0.00</b>        |
| <b>PRODUCT CATEGORY: STOCKS</b>                   |                                |                                     |                      |                     |                    |                   |      |                      |
| 11/30/2018  | ***-**-382I - SATTERLY, NEIL   | STEIN MART INC COM                  | 2,720.00             | 49.99               | 18.00              | 31.99             | 0.0  | 0.00                 |
|   | ACCOUNT #: LSR010867           | BUY 2000 Units @1.3600              |                      |                     |                    |                   |      |                      |
| 11/30/2018  | ***-**-376I - BERBEN, GAIL     | STEIN MART INC COM                  | 2,720.00             | 49.99               | 18.00              | 31.99             | 0.0  | 0.00                 |
|   | ACCOUNT #: LSR011380           | BUY 2000 Units @1.3600              |                      |                     |                    |                   |      |                      |
| 11/30/2018  | ***-**-851J - BLAKE, JAMES     | STEIN MART INC COM                  | 2,047.50             | 49.99               | 18.00              | 31.99             | 0.0  | 0.00                 |
|   | ACCOUNT #: LSR012393           | BUY 1500 Units @1.3650              |                      |                     |                    |                   |      |                      |
| <b>* STOCKS SUBTOTAL *</b>                        |                                |                                     | <b>\$7,487.50</b>    | <b>\$149.97</b>     | <b>\$54.00</b>     | <b>\$95.97</b>    |      | <b>\$0.00</b>        |
| <b>PRODUCT CATEGORY: VARIABLE ANNUITIES</b>       |                                |                                     |                      |                     |                    |                   |      |                      |
| 12/01/2018  | ***-**-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                 |                      |                     |                    |                   |      |                      |
| 12/07/2018  | ***-**-213I - GRUENEWALD,      | PACIFIC LIFE SE5-NYB DTCC           | 329.11               | 9.87                | 0.00               | 9.87              | 0.0  | 0.00                 |
|   | ACCOUNT #: VP71028580          | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| 12/07/2018  | ***-**-213I - GRUENEWALD,      | PACIFIC LIFE SE5-NYB DTCC           | 215.89               | 6.48                | 0.00               | 6.48              | 0.0  | 0.00                 |
|   | ACCOUNT #: VP71028580          | BUY 0 Units @0.0000                 |                      |                     |                    |                   |      |                      |
| <b>* VARIABLE ANNUITIES SUBTOTAL *</b>            |                                |                                     | <b>\$580.92</b>      | <b>\$17.43</b>      | <b>\$0.00</b>      | <b>\$17.43</b>    |      | <b>\$0.00</b>        |



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|--|--------------------------|---|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u>BROKER TRANSACTIONS (continued)</u></b>                |                          |   |                      |                     |                    |                   |      |                      |
| <b><u>PRODUCT CATEGORY: VARIABLE ANNUITY 12B1 TRAILS</u></b> |                          |   |                      |                     |                    |                   |      |                      |
| 11/30/2018   | ***-**-89IN - LEE, ROGER | JACKSON 468511480                         | 0.00                 | 23.24               | 0.00               | 23.24             | 0.0  | 0.00                 |
|  | ACCOUNT #: 1200175188    | BUY 0 Units @0.0000                       |                      |                     |                    |                   |      |                      |
|  |                          | * VARIABLE ANNUITY 12B1 TRAILS SUBTOTAL * | <u>\$0.00</u>        | <u>\$23.24</u>      | <u>\$0.00</u>      | <u>\$23.24</u>    |      | <u>\$0.00</u>        |
|  |                          | *** BROKER TRANSACTIONS TOTAL ***         | <u>\$119,827.20</u>  | <u>\$4,408.58</u>   | <u>\$180.00</u>    | <u>\$4,228.58</u> |      | <u>\$0.00</u>        |

## **BROKER COMMISSION TOTALS**

|                       |           |
|-----------------------|-----------|
| Broker Transactions   | \$0.00    |
| Split Transactions    | \$0.00    |
| Override Transactions | \$0.00    |
| Adjustments           | \$0.00    |
| Payroll Draw          | \$0.00    |
| Base Salary           | \$0.00    |
| Prior Period Balance  | \$-469.19 |
| FINRA Assessment      | \$0.00    |
| SIPC Assessment       | \$0.00    |

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

|                              |                  |
|------------------------------|------------------|
| <b>Balance Forward</b>       | <b>\$-469.19</b> |
| <b>Year-to-date Earnings</b> | <b>\$0.00</b>    |