



COMMISSION STATEMENT

December 24, 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>								
12/20/2018	***-**-960J - MASTRANGELO, ACCOUNT #: LSR010966	AMERICAN FUNDS BALANCED PORT CL C SELL 255 Units @13.7000	3,499.99	18.00	18.00	0.00	0.0	0.00
12/18/2018	***-**-287J - HINCKLEY, ACCOUNT #: LSR010841	AMERICAN FUNDS MORTGAGE FD CL C SELL 51 Units @9.8100	500.00	18.00	18.00	0.00	0.0	0.00
12/17/2018	***-**-15IN - PENDRAK, JOHN ACCOUNT #: LSR010948	EQUITY INCOME FUND, INC. A SELL 309 Units @26.9000	8,325.25	19.99	18.00	1.99	0.0	0.00
12/20/2018	***-**-73TR - WESTCOTT IRRVOC ACCOUNT #: LSR011001	INCOME FUND OF AMERICA CLASS C SELL 92 Units @20.1600	1,864.32	18.00	18.00	0.00	0.0	0.00
12/17/2018	***-**-506J - CURRIERE JR, MR ACCOUNT #: 00088062946	INTERNATIONAL GROWTH AND INCOME-A BUY 2 Units @30.9500	62.50	2.66	0.00	2.66	0.0	0.00
12/17/2018	***-**-15IN - PENDRAK, JOHN ACCOUNT #: LSR010948	LORD ABBETT SHORT DURATION INCOME C SELL 1439 Units @4.1700	6,000.00	0.00	6.00	-6.00	100.0	-6.00
12/17/2018	***-**-15IN - PENDRAK, JOHN ACCOUNT #: LSR010948	LORD ABBETT VALUE OPPORTUNITY FD CL BUY 420 Units @14.2900	6,000.00	18.00	6.00	12.00	0.0	0.00
12/14/2018	***-**-439J - MCCARTHY, JAMES ACCOUNT #: LSR011205	MFS DIVERSIFIED INCOME FD CL C SELL 84 Units @11.9000	1,000.00	18.00	18.00	0.00	0.0	0.00
12/20/2018	***-**-73TR - WESTCOTT IRRVOC ACCOUNT #: LSR011008	MFS DIVERSIFIED INCOME FD CL C SELL 1293 Units @11.6600	15,081.72	18.00	18.00	0.00	0.0	0.00
12/20/2018	***-**-73TR - WESTCOTT IRRVOC ACCOUNT #: LSR011008	MFS HIGH YIELD OPPORTUNITIES FUND-C SELL 1832 Units @5.8000	10,623.56	18.00	18.00	0.00	0.0	0.00
12/17/2018	***-**-506J - CURRIERE JR, MR ACCOUNT #: 00088062946	NEW PERSPECTIVE FUND-A BUY 1 Units @42.9400	62.50	2.66	0.00	2.66	0.0	0.00
* MUTUAL FUNDS SUBTOTAL *			\$53,019.84	\$151.31	\$138.00	\$13.31		\$-6.00
<u>PRODUCT CATEGORY: STOCKS</u>								
12/14/2018	***-**-439J - MCCARTHY, JAMES ACCOUNT #: LSR011205	CHEVRON CORP NEW SOLICITED ORDER SELL 25 Units @113.9950	2,849.88	46.50	15.50	31.00	0.0	0.00
12/19/2018	***-**-15IN - PENDRAK, JOHN ACCOUNT #: LSR010948	DENBURY RES INC DEL COM USD0.001 BUY 2000 Units @1.7850	3,570.00	57.49	55.00	2.49	0.0	0.00
12/19/2018	***-**-287I - HINCKLEY, ACCOUNT #: LSR010843	STEIN MART INC COM BUY 2000 Units @1.0300	2,060.00	49.99	18.00	31.99	0.0	0.00
12/19/2018	***-**-382I - SATTERLY, NEIL ACCOUNT #: LSR010867	STEIN MART INC COM BUY 3000 Units @1.0300	3,090.00	49.99	18.00	31.99	0.0	0.00



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: STOCKS (continued)								
12/19/2018	***-**-48IO - CLARK, PATRICK	STEIN MART INC COM	4,120.00	49.99	18.00	31.99	0.0	0.00
	ACCOUNT #: LSR010911	BUY 4000 Units @1.0300						
12/19/2018	***-**-15IN - PENDRAK, JOHN	STEIN MART INC COM	4,635.00	49.99	18.00	31.99	0.0	0.00
	ACCOUNT #: LSR010948	BUY 4500 Units @1.0300						
12/19/2018	***-**-80IN - COBB, JAMES	STEIN MART INC COM	4,635.00	49.99	18.00	31.99	0.0	0.00
	ACCOUNT #: LSR011042	BUY 4500 Units @1.0300						
12/19/2018	***-**-09IO - BATES, FBO MRS	STEIN MART INC COM	4,472.00	67.49	18.00	49.49	0.0	0.00
	ACCOUNT #: LSR011117	BUY 4000 Units @1.1180						
12/19/2018	***-**-31IO - WILLIAMSON, FBO	STEIN MART INC COM	3,075.00	49.99	18.00	31.99	0.0	0.00
	ACCOUNT #: LSR011172	BUY 3000 Units @1.0250						
12/19/2018	***-**-653I - KOCHER, CLINTON	STEIN MART INC COM	2,800.00	49.99	18.00	31.99	0.0	0.00
	ACCOUNT #: LSR011300	BUY 2500 Units @1.1200						
12/19/2018	***-**-376I - BERBEN, GAIL	STEIN MART INC COM	3,300.00	57.49	18.00	39.49	0.0	0.00
	ACCOUNT #: LSR011380	BUY 3000 Units @1.1000						
12/19/2018	***-**-60IO - JOSEPH,	STEIN MART INC COM	2,642.50	49.99	18.00	31.99	0.0	0.00
	ACCOUNT #: LSR012336	BUY 2500 Units @1.0570						
12/19/2018	***-**-31IO - JOSEPH, ANN	STEIN MART INC COM	4,100.00	49.99	18.00	31.99	0.0	0.00
	ACCOUNT #: LSR012337	BUY 4000 Units @1.0250						
12/19/2018	***-**-851I - BLAKE, JAMES	STEIN MART INC COM	1,484.00	49.99	18.00	31.99	0.0	0.00
	ACCOUNT #: LSR012390	BUY 1400 Units @1.0600						
12/19/2018	***-**-188I - BRADLEY, WAYNE	STEIN MART INC COM	2,700.00	49.99	18.00	31.99	0.0	0.00
	ACCOUNT #: LSR012484	BUY 2500 Units @1.0800						
12/19/2018	***-**-79TR - OR CYNTHIA	STEIN MART INC COM	1,640.00	49.99	18.00	31.99	0.0	0.00
	ACCOUNT #: LSR012749	BUY 1600 Units @1.0250						
12/19/2018	***-**-2663 - LASCALA, DEBORAH	STEIN MART INC COM	3,168.00	49.99	18.00	31.99	0.0	0.00
	ACCOUNT #: LSR012791	BUY 3000 Units @1.0560						
* STOCKS SUBTOTAL *			\$54,341.38	\$878.84	\$340.50	\$538.34		\$0.00



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BROKER TRANSACTIONS (continued)								
PRODUCT CATEGORY: VARIABLE ANNUITIES								
12/17/2018	***-**-7918 - BAREFOOT, JOHN	PACIFIC LIFE SE5-NYB DTCC	108.00	3.24	0.00	3.24	0.0	0.00
	ACCOUNT #: VP71073430	BUY 0 Units @0.0000						
		* VARIABLE ANNUITIES SUBTOTAL *	\$108.00	\$3.24	\$0.00	\$3.24		\$0.00
PRODUCT CATEGORY: 529 PLAN								
12/24/2018	***-**-614J - BUSHEY, MATTHEW	NYA JPM 529 COLLEGE AGE-BASED P A	100.00	4.75	0.00	4.75	0.0	0.00
		BUY 0 Units @0.0000						
12/24/2018	***-**-5384 - GURDO, JESSICA	NYA JPM 529 COLLEGE AGE-BASED P A	200.00	2.00	0.00	2.00	0.0	0.00
		BUY 0 Units @0.0000						
12/24/2018	***-**-65CL - GRUENEWALD, K,	NYA JPM 529 MOD GROWTH POR C	400.00	4.00	0.00	4.00	0.0	0.00
		BUY 0 Units @0.0000						
12/20/2018	***-**-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 @43.5000						
		* 529 PLAN SUBTOTAL *	\$750.00	\$11.25	\$0.00	\$11.25		\$0.00
		*** BROKER TRANSACTIONS TOTAL ***	\$108,219.22	\$1,044.64	\$478.50	\$566.14		\$-6.00

BROKER COMMISSION TOTALS

Broker Transactions	\$-6.00
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

Balance Forward	\$-475.19
Year-to-date Earnings	\$0.00