



Concorde Investment Services, LLC  
**COMMISSION STATEMENT**  
**August 15, 2018**

08/14/2018  
Page No. 1

MARC, L134 LINSKY  
104 B. Centre Blvd

BROKER #: L134 Terminated 07/25/2018  
BRANCH: E STREET FINANCIAL L

Marlton, NJ 08053

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b><u>CLEARING TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: STOCKS</u></b>								
07/31/2018	SPECTER, LINDSAY	APPLE INC COM	-95,851.70	22.00	22.75	-0.75	90.0	-0.68
08/06/2018	PRATOLA, PRESTON	NUSTAR ENERGY L P COM UNITS REPSTG	6,646.83	300.00	22.50	277.50	90.0	249.75
* STOCKS SUBTOTAL *			<b>\$-89,204.87</b>	<b>\$322.00</b>	<b>\$45.25</b>	<b>\$276.75</b>		<b>\$249.07</b>
*** CLEARING TRANSACTIONS TOTAL ***			<b>\$-89,204.87</b>	<b>\$322.00</b>	<b>\$45.25</b>	<b>\$276.75</b>		<b>\$249.07</b>

<b><u>DIRECT TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: 529 PLANS</u></b>								
08/01/2018	CHERRY, ADAM	AM FUNDS AMERICAN BALANCED 529C	1,000.00	10.00	0.00	10.00	90.0	9.00
08/01/2018	WALENCZYK, BRENDA	AM FUNDS CAPITAL WORLD GRTH & INC 5	400.00	15.00	0.00	15.00	90.0	13.50
08/01/2018	WALENCZYK, BRENDA	AM FUNDS WASHINGTON MUTUAL INVESTOR	400.00	15.00	0.00	15.00	90.0	13.50
/ /	GOLDBERG, SCOTT	WVA AGE-BASED PORTFOLIO 14-15 A	0.00	10.00	0.00	10.00	90.0	9.00
/ /	GOLDBERG, SCOTT	WVA AGE-BASED PORTFOLIO 18+ A	0.00	7.50	0.00	7.50	90.0	6.75
07/30/2018	GOLDBERG, SCOTT	WVA AGE-BASED PORTFOLIO 18+ A	150.00	3.75	0.00	3.75	90.0	3.38
* 529 PLANS SUBTOTAL *			<b>\$1,950.00</b>	<b>\$61.25</b>	<b>\$0.00</b>	<b>\$61.25</b>		<b>\$55.13</b>

<b><u>PRODUCT CATEGORY: MUTUAL FUNDS</u></b>								
08/01/2018	BENFER, ANDREW	AM FUNDS FUNDAMENTAL INVESTORS A	225.00	9.56	0.00	9.56	90.0	8.60
* MUTUAL FUNDS SUBTOTAL *			<b>\$225.00</b>	<b>\$9.56</b>	<b>\$0.00</b>	<b>\$9.56</b>		<b>\$8.60</b>

<b><u>PRODUCT CATEGORY: VARIABLE ANNUITIES</u></b>								
08/06/2018	CHEESEMAN, DIANE	JNL PERSPECTIVE II 04/14	300.00	21.00	0.00	21.00	90.0	18.90
* VARIABLE ANNUITIES SUBTOTAL *			<b>\$300.00</b>	<b>\$21.00</b>	<b>\$0.00</b>	<b>\$21.00</b>		<b>\$18.90</b>

<b><u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u></b>								
07/17/2018	CENTANNI, RICHARD	ALLIANCEBERNSTEIN SMALL/MID CAP VAL	0.00	0.95	0.00	0.95	90.0	0.86
07/17/2018	TRICHON, DONNA-LYNN	ALLIANCEBERNSTEIN SMALL/MID-CAP GRW	0.00	15.44	0.00	15.44	90.0	13.90
07/12/2018	CHIECO, DANIEL	AM CENT EQUITY INCOME	0.00	4.77	0.00	4.77	90.0	4.29

NOTES: \* - Indicates adjustment is not included in 1099 Earnings  
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^Date - Split Trade - full Investment Amount & Gross Commission displayed

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b><u>DIRECT TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u></b>								
07/17/2018	MEDIA ENTERPRISES	AM FUNDS AMCAP A	0.00	4.31	0.00	4.31	90.0	3.88
07/17/2018	GREENWELL, MARION	AM FUNDS AMCAP C	0.00	7.14	0.00	7.14	90.0	6.43
07/17/2018	GREENWELL, MARION	AM FUNDS AMCAP F1	0.00	0.47	0.00	0.47	90.0	0.42
07/17/2018	BERK, SHERRI	AM FUNDS AMERICAN BALANCED A	0.00	0.19	0.00	0.19	90.0	0.17
07/17/2018	MELVIN, MARY THOMPSON	AM FUNDS AMERICAN BALANCED A	0.00	1.51	0.00	1.51	90.0	1.36
07/17/2018	TAYLOR, THOMAS	AM FUNDS AMERICAN BALANCED A	0.00	0.49	0.00	0.49	90.0	0.44
07/17/2018	TAYLOR, DIANE	AM FUNDS AMERICAN BALANCED A	0.00	0.49	0.00	0.49	90.0	0.44
07/17/2018	APPLEGATE, PAMAELA	AM FUNDS AMERICAN BALANCED A	0.00	1.02	0.00	1.02	90.0	0.92
07/17/2018	RIZZO, DIANE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.96	0.00	0.96	90.0	0.86
07/17/2018	APPLEGATE, PAMAELA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.79	0.00	0.79	90.0	0.71
07/17/2018	LINSKY, LISA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	3.98	0.00	3.98	90.0	3.58
07/17/2018	MEDIA ENTERPRISES	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	3.17	0.00	3.17	90.0	2.85
07/17/2018	RIZZO, DIANE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.32	0.00	1.32	90.0	1.19
07/17/2018	MELVIN, GREG	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.75	0.00	0.75	90.0	0.68
07/17/2018	POLLAN, JACLYN	AM FUNDS CAPITAL WORLD GRTH & INC C	0.00	2.89	0.00	2.89	90.0	2.60
07/17/2018	FLEISCH, ROBERT	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	13.34	0.00	13.34	90.0	12.01
07/17/2018	MELVIN, MARY THOMPSON	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.63	0.00	1.63	90.0	1.47
07/17/2018	CHERRY, AYDEN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.01	0.00	1.01	90.0	0.91
07/17/2018	LINSKY, LISA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	5.15	0.00	5.15	90.0	4.64
07/17/2018	RIZZO, DIANE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.71	0.00	1.71	90.0	1.54
07/17/2018	OLIVETTI, FRANK	AM FUNDS GROWTH FUND OF AMERICA A	0.00	7.05	0.00	7.05	90.0	6.35
07/17/2018	BERK, SHERRI	AM FUNDS GROWTH FUND OF AMERICA A	0.00	4.78	0.00	4.78	90.0	4.30
07/17/2018	PERETTI, TERESA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	2.02	0.00	2.02	90.0	1.82
07/17/2018	CENTANNI, BETTY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.43	0.00	0.43	90.0	0.39
07/17/2018	CENTANNI, RICHARD	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.07	0.00	1.07	90.0	0.96
07/17/2018	AYES, NICOLE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	2.29	0.00	2.29	90.0	2.06
07/17/2018	NATHAN, EDWARD	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.73	0.00	0.73	90.0	0.66
07/17/2018	NATHAN, SUSAN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.73	0.00	0.73	90.0	0.66
07/17/2018	NATHAN, EDWARD	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.19	0.00	1.19	90.0	1.07
07/17/2018	SPECTER, LINDSAY	AM FUNDS GROWTH FUND OF AMERICA C	0.00	3.03	0.00	3.03	90.0	2.73
07/17/2018	POLLAN, JACLYN	AM FUNDS GROWTH FUND OF AMERICA F1	0.00	2.98	0.00	2.98	90.0	2.68
07/17/2018	SPECTER, LINDSAY	AM FUNDS GROWTH FUND OF AMERICA F1	0.00	6.11	0.00	6.11	90.0	5.50
07/17/2018	SPECTER, SHELBY	AM FUNDS GROWTH FUND OF AMERICA F1	0.00	6.21	0.00	6.21	90.0	5.59

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<b><u>DIRECT TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u></b>								
07/17/2018	RIZZO, DIANE	AM FUNDS ICA A	0.00	1.58	0.00	1.58	90.0	1.42
07/17/2018	FLEISCH, ROBERT	AM FUNDS ICA A	0.00	9.45	0.00	9.45	90.0	8.51
07/17/2018	BOND-HILTNER, LINDA	AM FUNDS ICA A	0.00	1.02	0.00	1.02	90.0	0.92
07/17/2018	LINSKY, MARC	AM FUNDS ICA A	0.00	2.53	0.00	2.53	90.0	2.28
07/17/2018	NATHAN, EDWARD	AM FUNDS ICA A	0.00	0.60	0.00	0.60	90.0	0.54
07/17/2018	NATHAN, SUSAN	AM FUNDS ICA A	0.00	0.60	0.00	0.60	90.0	0.54
07/17/2018	TAYLOR, THOMAS	AM FUNDS ICA A	0.00	0.61	0.00	0.61	90.0	0.55
07/17/2018	TAYLOR, DIANE	AM FUNDS ICA A	0.00	0.61	0.00	0.61	90.0	0.55
07/17/2018	APPLEGATE, PAMAELA	AM FUNDS ICA A	0.00	1.06	0.00	1.06	90.0	0.95
07/17/2018	NATHAN, EDWARD	AM FUNDS ICA A	0.00	0.98	0.00	0.98	90.0	0.88
07/17/2018	SPECTER, SHELBY	AM FUNDS ICA C	0.00	5.66	0.00	5.66	90.0	5.09
07/17/2018	SPECTER TRUST, STEPHANIE	AM FUNDS ICA F1	0.00	13.27	0.00	13.27	90.0	11.94
07/17/2018	SPECTER, LINDSAY	AM FUNDS ICA F1	0.00	5.15	0.00	5.15	90.0	4.64
07/17/2018	SPECTER, SHELBY	AM FUNDS ICA F1	0.00	4.93	0.00	4.93	90.0	4.44
07/17/2018	MEDIA ENTERPRISES	AM FUNDS INCOME FUND OF AMERICA A	0.00	3.11	0.00	3.11	90.0	2.80
07/17/2018	TAYLOR, THOMAS	AM FUNDS NEW PERSPECTIVE A	0.00	0.82	0.00	0.82	90.0	0.74
07/17/2018	TAYLOR, DIANE	AM FUNDS NEW PERSPECTIVE A	0.00	0.82	0.00	0.82	90.0	0.74
07/17/2018	APPLEGATE, PAMAELA	AM FUNDS NEW PERSPECTIVE A	0.00	1.16	0.00	1.16	90.0	1.04
07/17/2018	MELVIN, MARY THOMPSON	AM FUNDS SMALLCAP WORLD A	0.00	1.69	0.00	1.69	90.0	1.52
07/17/2018	OLIVETI, FRANK	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	6.08	0.00	6.08	90.0	5.47
07/17/2018	BOND-HILTNER, LINDA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.03	0.00	1.03	90.0	0.93
07/17/2018	PERETTI, TERESA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.53	0.00	1.53	90.0	1.38
07/17/2018	LINSKY, MARC	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	2.55	0.00	2.55	90.0	2.30
07/17/2018	NATHAN, EDWARD	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.60	0.00	0.60	90.0	0.54
07/17/2018	NATHAN, SUSAN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.60	0.00	0.60	90.0	0.54
07/17/2018	NATHAN, EDWARD	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.98	0.00	0.98	90.0	0.88
07/12/2018	O'DONNELL, PATRICIA	AMERICAN CENTURY STRATEGIC ALLOC MO	0.00	2.30	0.00	2.30	90.0	2.07
07/24/2018	PLEVAK, MICHAEL	BLACKROCK EQUITY DIVIDEND FUND CL C	0.00	18.56	0.00	18.56	90.0	16.70
07/16/2018	PETTI, JOHN	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	5.09	0.00	5.09	90.0	4.58
07/16/2018	PETTI, JOHN	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	15.28	0.00	15.28	90.0	13.75
07/19/2018	PERETTI, TERESA	CALAMOS GROWTH A	0.00	1.61	0.00	1.61	90.0	1.45
07/19/2018	DUBIN, JON	CALAMOS GROWTH A	0.00	5.06	0.00	5.06	90.0	4.55
07/16/2018	MEDIA ENTERPRISES	COLUMBIA ACORN A	0.00	1.23	0.00	1.23	90.0	1.11

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<b><u>DIRECT TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u></b>								
07/16/2018	FLEISCH, ROBERT	COLUMBIA ACORN A	0.00	16.69	0.00	16.69	90.0	15.02
07/16/2018	FLEISCH, ROBERT	COLUMBIA ACORN SELECT A	0.00	8.54	0.00	8.54	90.0	7.69
07/16/2018	MEDIA ENTERPRISES	COLUMBIA ACORN USA FUND CLASS A	0.00	3.26	0.00	3.26	90.0	2.93
07/16/2018	BOWERS, DORA	COLUMBIA DIVERSIFIED EQUITY INCOME	0.00	1.09	0.00	1.09	90.0	0.98
07/16/2018	MEDIA ENTERPRISES	COLUMBIA EQUITY VALUE A	0.00	0.30	0.00	0.30	90.0	0.27
07/16/2018	MEDIA ENTERPRISES	COLUMBIA LARGE CAP GROWTH A	0.00	0.37	0.00	0.37	90.0	0.33
07/16/2018	MELVIN, GREG	COLUMBIA MARSICO FOCUSED EQUITIES F	0.00	1.03	0.00	1.03	90.0	0.93
07/16/2018	MEDIA ENTERPRISES	COLUMBIA MIDCAP VALUE A	0.00	2.47	0.00	2.47	90.0	2.22
07/16/2018	BOWERS, DORA	COLUMBIA SELECT LARGE CAP GROWTH FU	0.00	1.14	0.00	1.14	90.0	1.03
07/16/2018	FLEISCH, ROBERT	COLUMBIA SMALL CAP INDEX FUND CLASS	0.00	13.04	0.00	13.04	90.0	11.74
07/16/2018	BOWERS, DORA	COLUMBIA SMALL CAP VALUE FUND II CL	0.00	0.20	0.00	0.20	90.0	0.18
07/16/2018	FLEISCH, ROBERT	COLUMBIA STRATEGIC INCOME A	0.00	2.35	0.00	2.35	90.0	2.12
07/16/2018	CENTANNI, BETTY	DAVIS NEW YORK VENTURE A	0.00	0.44	0.00	0.44	90.0	0.40
07/16/2018	CENTANNI, RICHARD	DAVIS NEW YORK VENTURE A	0.00	0.59	0.00	0.59	90.0	0.53
07/16/2018	BOWERS, DORA	DEUTSCHE GLOBAL RE	0.00	0.88	0.00	0.88	90.0	0.79
07/12/2018	GUERRIERI, CHARLES	DREYFUS CORE EQUITY FUND CLASS A	0.00	3.50	0.00	3.50	90.0	3.15
07/12/2018	COHEN, HARRIET	DREYFUS NEW JERSEY MUNICIPAL BOND F	0.00	61.27	0.00	61.27	90.0	55.14
07/16/2018	BOWERS, DORA	EATON VANCE LARGE-CAP VALUE FUND CL	0.00	0.76	0.00	0.76	90.0	0.68
07/19/2018	HANKINS, ROBERT	FEDERATED HIGH INCOME BOND FUND INC	0.00	1.06	0.00	1.06	90.0	0.95
07/19/2018	CENTANNI, BETTY	FEDERATED KAUFMANN FUND A	0.00	0.42	0.00	0.42	90.0	0.38
07/16/2018	FLEISCH, ROBERT	FIDELITY ADV FLOATING RATE HIGH INC	0.00	7.80	0.00	7.80	90.0	7.02
07/16/2018	FLEISCH, ROBERT	FIDELITY ADV STRATEGIC INCOME A	0.00	8.68	0.00	8.68	90.0	7.81
07/16/2018	CENTANNI, BETTY	FIDELITY ADV STRATEGIC INCOME C	0.00	1.47	0.00	1.47	90.0	1.32
07/16/2018	CENTANNI, RICHARD	FIDELITY ADV STRATEGIC INCOME C	0.00	5.91	0.00	5.91	90.0	5.32
07/16/2018	BOWERS, DORA	FIDELITY ADVISOR MID CAP II FUND CL	0.00	0.28	0.00	0.28	90.0	0.25
07/16/2018	BEYERLE, PATRICIA	FIDELITY MIDCAP II T	0.00	2.24	0.00	2.24	90.0	2.02
07/23/2018	FLEISCH, ROBERT	FRANKLIN DYNATECH A	0.00	15.07	0.00	15.07	90.0	13.56
07/23/2018	FLEISCH, ROBERT	FRANKLIN GOLD & PRECIOUS METALS A	0.00	2.78	0.00	2.78	90.0	2.50
07/23/2018	HASTINGS TRUST, OSCAR	FRANKLIN INCOME A	0.00	1.11	0.00	1.11	90.0	1.00
07/23/2018	FLEISCHMAN, RITA	FRANKLIN INCOME A	0.00	5.17	0.00	5.17	90.0	4.65
07/23/2018	COBB, DOROTHY	FRANKLIN INCOME A	0.00	0.76	0.00	0.76	90.0	0.68
07/23/2018	CENTANNI, RICHARD	FRANKLIN MUTUAL GLOBAL DISCOVERY A	0.00	0.57	0.00	0.57	90.0	0.51
07/23/2018	GREENWELL, MARION	FRNKLN FLOATING RATE DLY ACCESS FND	0.00	2.80	0.00	2.80	90.0	2.52

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<b><u>DIRECT TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u></b>								
07/24/2018	BOWERS, STEVEN	GOLDMAN SACHS CAPITAL GROWTH FUND C	0.00	17.76	0.00	17.76	90.0	15.98
07/24/2018	BOWERS, DORA	GOLDMAN SACHS MID CAP VALUE FD CLAS	0.00	0.23	0.00	0.23	90.0	0.21
07/24/2018	PARSONS, MICHELLE	GOLDMAN SACHS U.S. EQUITY INSIGHTS	0.00	0.69	0.00	0.69	90.0	0.62
07/16/2018	PRATOLA, PRESTON	GRIFFIN INST'L ACCESS R E FUND C	0.00	13.54	0.00	13.54	90.0	12.19
07/16/2018	PRATOLA, PRESTON	GRIFFIN INST'L ACCESS R E FUND C	0.00	40.61	0.00	40.61	90.0	36.55
07/16/2018	NANI, JOSEPH	GRIFFIN INST'L ACCESS R E FUND C	0.00	3.14	0.00	3.14	90.0	2.83
07/16/2018	NANI, JOSEPH	GRIFFIN INST'L ACCESS R E FUND C	0.00	9.42	0.00	9.42	90.0	8.48
07/16/2018	CHERRY, ADAM	GRIFFIN INST'L ACCESS R E FUND C	0.00	4.86	0.00	4.86	90.0	4.37
07/16/2018	CHERRY, ADAM	GRIFFIN INST'L ACCESS R E FUND C	0.00	14.59	0.00	14.59	90.0	13.13
07/16/2018	HASTINGS TRUST, OSCAR	GRIFFIN INST'L ACCESS R E FUND C	0.00	7.62	0.00	7.62	90.0	6.86
07/16/2018	HASTINGS TRUST, OSCAR	GRIFFIN INST'L ACCESS R E FUND C	0.00	22.87	0.00	22.87	90.0	20.58
07/16/2018	FLEISCHMAN, RITA	GRIFFIN INST'L ACCESS R E FUND C	0.00	10.49	0.00	10.49	90.0	9.44
07/16/2018	FLEISCHMAN, RITA	GRIFFIN INST'L ACCESS R E FUND C	0.00	31.48	0.00	31.48	90.0	28.33
07/16/2018	NIEMINEN, BARBARA	GRIFFIN INST'L ACCESS R E FUND C	0.00	2.33	0.00	2.33	90.0	2.10
07/16/2018	NIEMINEN, BARBARA	GRIFFIN INST'L ACCESS R E FUND C	0.00	6.99	0.00	6.99	90.0	6.29
07/16/2018	FENN, RONALD	GRIFFIN INST'L ACCESS R E FUND C	0.00	13.79	0.00	13.79	90.0	12.41
07/16/2018	FENN, RONALD	GRIFFIN INST'L ACCESS R E FUND C	0.00	41.38	0.00	41.38	90.0	37.24
07/16/2018	NAYAK, SHAILA	GRIFFIN INST'L ACCESS R E FUND C	0.00	14.87	0.00	14.87	90.0	13.38
07/16/2018	NAYAK, SHAILA	GRIFFIN INST'L ACCESS R E FUND C	0.00	44.60	0.00	44.60	90.0	40.14
07/16/2018	GALERMAN, ALAN	GRIFFIN INST'L ACCESS R E FUND C	0.00	6.30	0.00	6.30	90.0	5.67
07/16/2018	GALERMAN, ALAN	GRIFFIN INST'L ACCESS R E FUND C	0.00	18.89	0.00	18.89	90.0	17.00
07/16/2018	KLEIN, HOWARD	GRIFFIN INST'L ACCESS R E FUND C	0.00	45.05	0.00	45.05	90.0	40.55
07/16/2018	KLEIN, HOWARD	GRIFFIN INST'L ACCESS R E FUND C	0.00	135.15	0.00	135.15	90.0	121.64
07/16/2018	CAMARDO, DONNA	GRIFFIN INST'L ACCESS R E FUND C	0.00	4.59	0.00	4.59	90.0	4.13
07/16/2018	CAMARDO, DONNA	GRIFFIN INST'L ACCESS R E FUND C	0.00	13.77	0.00	13.77	90.0	12.39
07/16/2018	TOBIAS, DAVID	GRIFFIN INST'L ACCESS R E FUND C	0.00	1.45	0.00	1.45	90.0	1.31
07/16/2018	TOBIAS, DAVID	GRIFFIN INST'L ACCESS R E FUND C	0.00	4.35	0.00	4.35	90.0	3.92
07/16/2018	TOBIAS, DAVID	GRIFFIN INST'L ACCESS R E FUND C	0.00	11.36	0.00	11.36	90.0	10.22
07/16/2018	TOBIAS, DAVID	GRIFFIN INST'L ACCESS R E FUND C	0.00	34.09	0.00	34.09	90.0	30.68
07/16/2018	TOBIAS, NANCY	GRIFFIN INST'L ACCESS R E FUND C	0.00	2.89	0.00	2.89	90.0	2.60
07/16/2018	TOBIAS, NANCY	GRIFFIN INST'L ACCESS R E FUND C	0.00	8.68	0.00	8.68	90.0	7.81
07/16/2018	SPECTER, SHELBY	GRIFFIN INST'L ACCESS R E FUND C	0.00	2.07	0.00	2.07	90.0	1.86
07/16/2018	SPECTER, SHELBY	GRIFFIN INST'L ACCESS R E FUND C	0.00	6.22	0.00	6.22	90.0	5.60

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<b><u>DIRECT TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u></b>								
07/16/2018	FARBMAN, ERIC	GRIFFIN INST'L ACCESS R E FUND C	0.00	20.99	0.00	20.99	90.0	18.89
07/16/2018	FARBMAN, ERIC	GRIFFIN INST'L ACCESS R E FUND C	0.00	62.97	0.00	62.97	90.0	56.67
07/16/2018	NAYAK EX TRUST, VASUDER	GRIFFIN INST'L ACCESS R E FUND C	0.00	7.41	0.00	7.41	90.0	6.67
07/16/2018	NAYAK EX TRUST, VASUDER	GRIFFIN INST'L ACCESS R E FUND C	0.00	22.24	0.00	22.24	90.0	20.02
07/16/2018	CACCESE, LOUIS	GRIFFIN INST'L ACCESS R E FUND C	0.00	4.15	0.00	4.15	90.0	3.74
07/16/2018	CACCESE, LOUIS	GRIFFIN INST'L ACCESS R E FUND C	0.00	12.45	0.00	12.45	90.0	11.21
07/16/2018	MCLEAN, WAYNE	GRIFFIN INST'L ACCESS R E FUND C	0.00	3.78	0.00	3.78	90.0	3.40
07/16/2018	MCLEAN, WAYNE	GRIFFIN INST'L ACCESS R E FUND C	0.00	11.35	0.00	11.35	90.0	10.22
07/16/2018	PETTI, JOHN	GRIFFIN INST'L ACCESS R E FUND C	0.00	5.04	0.00	5.04	90.0	4.54
07/16/2018	PETTI, JOHN	GRIFFIN INST'L ACCESS R E FUND C	0.00	15.12	0.00	15.12	90.0	13.61
07/16/2018	FARBMAN TRUST, DANIEL & SANDRAGRIFFIN	INST'L ACCESS R E FUND C	0.00	10.29	0.00	10.29	90.0	9.26
07/16/2018	FARBMAN TRUST, DANIEL & SANDRAGRIFFIN	INST'L ACCESS R E FUND C	0.00	30.87	0.00	30.87	90.0	27.78
07/16/2018	BACHMAN, ALLEN	GRIFFIN INST'L ACCESS R E FUND C	0.00	4.91	0.00	4.91	90.0	4.42
07/16/2018	BACHMAN, ALLEN	GRIFFIN INST'L ACCESS R E FUND C	0.00	14.72	0.00	14.72	90.0	13.25
07/16/2018	KIM, CHUNG	GRIFFIN INST'L ACCESS R E FUND C	0.00	10.56	0.00	10.56	90.0	9.50
07/16/2018	KIM, CHUNG	GRIFFIN INST'L ACCESS R E FUND C	0.00	31.67	0.00	31.67	90.0	28.50
07/16/2018	ROESKE, CHARLES	GRIFFIN INSTITUTIONAL ACCESS REAL E	0.00	4.39	0.00	4.39	90.0	3.95
07/16/2018	ROESKE, CHARLES	GRIFFIN INSTITUTIONAL ACCESS REAL E	0.00	6.41	0.00	6.41	90.0	5.77
07/16/2018	PERETTI, FRANCES	GRIFFIN INSTITUTIONAL ACCESS REAL E	0.00	4.19	0.00	4.19	90.0	3.77
07/16/2018	LEVY, RONI	GRIFFIN INSTITUTIONAL ACCESS REAL E	0.00	5.22	0.00	5.22	90.0	4.70
07/09/2018	SPECTER TRUST, STEPHANIE	GUGGENHEIM INVERSE GOVT LONG BOND C	0.00	13.06	0.00	13.06	90.0	11.75
07/09/2018	LINSKY, MARC	GUGGENHEIM INVERSE GOVT LONG BOND C	0.00	4.44	0.00	4.44	90.0	4.00
07/20/2018	SPECTER TRUST, STEPHANIE	GUGGENHEIM INVERSE GOVT LONG BOND C	0.00	12.41	0.00	12.41	90.0	11.17
07/20/2018	LINSKY, MARC	GUGGENHEIM INVERSE GOVT LONG BOND C	0.00	4.22	0.00	4.22	90.0	3.80
07/17/2018	LINSKY, LISA	HARTFORD CAPITAL APPRECIATION A	0.00	4.09	0.00	4.09	90.0	3.68
07/17/2018	SPECTER TRUST, STEPHANIE	HARTFORD CAPITAL APPRECIATION C	0.00	92.80	0.00	92.80	90.0	83.52
07/17/2018	MEDIA ENTERPRISES	HARTFORD CAPITAL APPRECIATION C	0.00	44.64	0.00	44.64	90.0	40.18
07/17/2018	PERETTI JR, ANTHONY	HARTFORD CAPITAL APPRECIATION C	0.00	41.00	0.00	41.00	90.0	36.90
07/17/2018	KLEIN, HOWARD	HARTFORD CAPITAL APPRECIATION C	0.00	487.74	0.00	487.74	90.0	438.97
07/17/2018	CAMARDO, DONNA	HARTFORD CAPITAL APPRECIATION C	0.00	12.27	0.00	12.27	90.0	11.04
07/17/2018	GODLBERG, SHARON	HARTFORD CAPITAL APPRECIATION C	0.00	7.99	0.00	7.99	90.0	7.19
07/17/2018	BALZANO, AUGUSTUS	HARTFORD CAPITAL APPRECIATION C	0.00	8.52	0.00	8.52	90.0	7.67
07/17/2018	SPECTER, LINDSAY	HARTFORD CAPITAL APPRECIATION C	0.00	36.09	0.00	36.09	90.0	32.48

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<b><u>DIRECT TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u></b>								
07/17/2018	SPECTER, SHELBY	HARTFORD CAPITAL APPRECIATION C	0.00	33.69	0.00	33.69	90.0	30.32
07/17/2018	HARRIS, MORGAN	HARTFORD CAPITAL APPRECIATION C	0.00	12.27	0.00	12.27	90.0	11.04
07/17/2018	BUSLER, SCOTT	HARTFORD CAPITAL APPRECIATION C	0.00	25.81	0.00	25.81	90.0	23.23
07/17/2018	BUSLER, MARIANNE	HARTFORD CAPITAL APPRECIATION C	0.00	11.55	0.00	11.55	90.0	10.40
07/17/2018	OLIVETI, ANTHONY	HARTFORD CHECKS AND BALANCES FUND A	0.00	2.86	0.00	2.86	90.0	2.57
07/17/2018	OLIVETI, NICOLE	HARTFORD CHECKS AND BALANCES FUND A	0.00	2.86	0.00	2.86	90.0	2.57
07/17/2018	PISANI, NICHOLAS	HARTFORD CHECKS AND BALANCES FUND A	0.00	4.30	0.00	4.30	90.0	3.87
07/17/2018	SPECTER TRUST, STEPHANIE	HARTFORD DIVIDEND & GROWTH C	0.00	76.88	0.00	76.88	90.0	69.19
07/17/2018	MEDIA ENTERPRISES	HARTFORD DIVIDEND & GROWTH C	0.00	47.94	0.00	47.94	90.0	43.15
07/17/2018	CAMARDO, DONNA	HARTFORD DIVIDEND & GROWTH C	0.00	22.06	0.00	22.06	90.0	19.85
07/17/2018	BALZANO, AUGUSTUS	HARTFORD DIVIDEND & GROWTH C	0.00	15.16	0.00	15.16	90.0	13.64
07/17/2018	HARRIS, MORGAN	HARTFORD DIVIDEND & GROWTH C	0.00	22.07	0.00	22.07	90.0	19.86
07/17/2018	SANDERLIN, CATHERINE	HARTFORD DIVIDEND & GROWTH C	0.00	23.15	0.00	23.15	90.0	20.84
07/17/2018	WILSON, KEVIN	HARTFORD DIVIDEND & GROWTH C	0.00	4.64	0.00	4.64	90.0	4.18
07/17/2018	BUSLER, SCOTT	HARTFORD DIVIDEND & GROWTH C	0.00	45.48	0.00	45.48	90.0	40.93
07/17/2018	BUSLER, MARIANNE	HARTFORD DIVIDEND & GROWTH C	0.00	20.36	0.00	20.36	90.0	18.32
07/17/2018	CAMPAGNA, MARIE	HARTFORD FLOATING RATE C	0.00	10.71	0.00	10.71	90.0	9.64
07/17/2018	GODLBERG, SHARON	HARTFORD TOTAL RETURN BOND FUND C	0.00	4.10	0.00	4.10	90.0	3.69
07/23/2018	SIEMANOWSKI, JOHN	INVESCO AMERICAN FRANCHISE A	0.00	141.02	0.00	141.02	90.0	126.92
07/23/2018	CHERRY, THEO	INVESCO AMERICAN FRANCHISE A	0.00	4.52	0.00	4.52	90.0	4.07
07/23/2018	SIEMANOWSKI, JOHN	INVESCO AMERICAN FRANCHISE A	0.00	296.95	0.00	296.95	90.0	267.26
07/23/2018	FARBMAN, ERIC	INVESCO AMERICAN FRANCHISE A	0.00	10.75	0.00	10.75	90.0	9.68
07/23/2018	WALENCZYK, CHIRSTOPHER	INVESCO AMERICAN FRANCHISE A	0.00	0.56	0.00	0.56	90.0	0.50
07/23/2018	SIEMANOWSKI, JOHN	INVESCO CHARTER FUND A	0.00	60.08	0.00	60.08	90.0	54.07
07/23/2018	GUERRIERI, ANTHONY	INVESCO COMSTOCK A	0.00	1.65	0.00	1.65	90.0	1.49
07/23/2018	FARBMAN, ERIC	INVESCO HIGH YIELD FUND A	0.00	13.21	0.00	13.21	90.0	11.89
07/23/2018	SIEMANOWSKI, JOHN	INVESCO INTERNATIONAL GROWTH A	0.00	12.94	0.00	12.94	90.0	11.65
07/23/2018	SIEMANOWSKI, JOHN	INVESCO INTERNATIONAL GROWTH A	0.00	40.63	0.00	40.63	90.0	36.57
07/23/2018	WALENCZYK, BRENDA	INVESCO MIDCAP CORE EQUITY A	0.00	0.53	0.00	0.53	90.0	0.48
07/23/2018	WALENCZYK, CHIRSTOPHER	INVESCO MIDCAP CORE EQUITY A	0.00	1.07	0.00	1.07	90.0	0.96
07/23/2018	GOLDBERGER, ANNA	INVESCO SENIOR LOAN FUND IB	0.00	9.38	0.00	9.38	90.0	8.44
07/23/2018	BOWERS, DORA	INVESCO SMALL CAP DISCOVERY A	0.00	0.43	0.00	0.43	90.0	0.39
07/23/2018	FARBMAN, ERIC	INVESCO STRUCTURED CORE A	0.00	17.24	0.00	17.24	90.0	15.52

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<b><u>DIRECT TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u></b>								
07/23/2018	WALENCZYK, BRENDA	INVESCO VALUE OPP A	0.00	0.44	0.00	0.44	90.0	0.40
07/23/2018	WALENCZYK, CHIRSTOPHER	INVESCO VALUE OPP A	0.00	0.86	0.00	0.86	90.0	0.77
07/16/2018	BOWERS, DORA	JANUS RESEARCH FUND CLASS A	0.00	1.15	0.00	1.15	90.0	1.04
07/13/2018	BOWERS, DORA	JN DISCIPLINED VALUE INT'L A	0.00	0.17	0.00	0.17	90.0	0.15
07/19/2018	CENTANNI, RICHARD	JP MORGAN MID CAP VALUE FUND CLASS	0.00	0.65	0.00	0.65	90.0	0.59
07/23/2018	MEDIA ENTERPRISES	LORD ABBETT BOND DEBENTURE A	0.00	3.00	0.00	3.00	90.0	2.70
07/23/2018	MEDIA ENTERPRISES	LORD ABBETT BOND DEBENTURE A	0.00	2.10	0.00	2.10	90.0	1.89
07/23/2018	DEBRIELLE-HEALEY, ELIZABETH	LORD ABBETT BOND DEBENTURE A	0.00	2.79	0.00	2.79	90.0	2.51
07/23/2018	LAISO, MICHAEL	LORD ABBETT BOND DEBENTURE A	0.00	7.74	0.00	7.74	90.0	6.97
07/23/2018	STRAUS, KAREN	LORD ABBETT BOND DEBENTURE A	0.00	1.91	0.00	1.91	90.0	1.72
07/23/2018	CHERRY, ADAM	LORD ABBETT BOND DEBENTURE C	0.00	117.36	0.00	117.36	90.0	105.62
07/23/2018	HUDSON TRUST OF 2000, ROBERT	LORD ABBETT BOND DEBENTURE C	0.00	120.24	0.00	120.24	90.0	108.22
07/23/2018	TOBIAS, DAVID	LORD ABBETT BOND DEBENTURE C	0.00	19.35	0.00	19.35	90.0	17.42
07/23/2018	YANKOWITZ, HARRIETT	LORD ABBETT BOND DEBENTURE C	0.00	30.45	0.00	30.45	90.0	27.41
07/23/2018	LINSKY, LISA	LORD ABBETT FUNDAMENTAL EQUITY A	0.00	0.91	0.00	0.91	90.0	0.82
07/23/2018	MEDIA ENTERPRISES	LORD ABBETT FUNDAMENTAL EQUITY A	0.00	7.32	0.00	7.32	90.0	6.59
07/23/2018	MEDIA ENTERPRISES	LORD ABBETT FUNDAMENTAL EQUITY A	0.00	1.65	0.00	1.65	90.0	1.49
07/23/2018	MEDIA ENTERPRISES	LORD ABBETT FUNDAMENTAL EQUITY A	0.00	8.34	0.00	8.34	90.0	7.51
07/23/2018	MEDIA ENTERPRISES	LORD ABBETT FUNDAMENTAL EQUITY A	0.00	1.80	0.00	1.80	90.0	1.62
07/23/2018	OLIVETI, NICOLE	LORD ABBETT FUNDAMENTAL EQUITY A	0.00	0.58	0.00	0.58	90.0	0.52
07/23/2018	MEDIA ENTERPRISES	LORD ABBETT FUNDAMENTAL EQUITY A	0.00	1.44	0.00	1.44	90.0	1.30
07/23/2018	APPLEBAUM, RHEA	LORD ABBETT FUNDAMENTAL EQUITY A	0.00	3.43	0.00	3.43	90.0	3.09
07/23/2018	ROMERO, MARIA	LORD ABBETT FUNDAMENTAL EQUITY A	0.00	0.19	0.00	0.19	90.0	0.17
07/23/2018	TAROFF, DANIELLE	LORD ABBETT FUNDAMENTAL EQUITY CL C	0.00	5.72	0.00	5.72	90.0	5.15
07/23/2018	OLIVETI, NICOLE	LORD ABBETT FUNDAMENTAL EQUITY CL C	0.00	5.97	0.00	5.97	90.0	5.37
07/23/2018	YANKOWITZ, HARRIETT	LORD ABBETT FUNDAMENTAL EQUITY CL C	0.00	14.01	0.00	14.01	90.0	12.61
07/23/2018	LIBERTY, SUSAN	LORD ABBETT FUNDAMENTAL EQUITY CL C	0.00	0.01	0.00	0.01	90.0	0.01
07/23/2018	DIECKERT, DEBRA	LORD ABBETT FUNDAMENTAL EQUITY CL C	0.00	2.55	0.00	2.55	90.0	2.30
07/23/2018	TAROFF, DANIELLE	LORD ABBETT FUNDAMENTAL EQUITY CL C	0.00	10.52	0.00	10.52	90.0	9.47
07/23/2018	MEDIA ENTERPRISES	LORD ABBETT SHORT DURATION INCOME A	0.00	3.83	0.00	3.83	90.0	3.45
07/23/2018	MEDIA ENTERPRISES	LORD ABBETT SHORT DURATION INCOME A	0.00	1.00	0.00	1.00	90.0	0.90
07/23/2018	MEDIA ENTERPRISES	LORD ABBETT SHORT DURATION INCOME A	0.00	4.10	0.00	4.10	90.0	3.69
07/23/2018	MEDIA ENTERPRISES	LORD ABBETT SHORT DURATION INCOME A	0.00	0.88	0.00	0.88	90.0	0.79

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<b><u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u></b>								
07/23/2018	APPLEBAUM, RHEA	LORD ABBETT SHORT DURATION INCOME A	0.00	2.05	0.00	2.05	90.0	1.85
07/23/2018	BOWERS, DORA	LORD ABBETT SHORT DURATION INCOME F	0.00	20.04	0.00	20.04	90.0	18.04
07/23/2018	BOWERS, DORA	LORD ABBETT SHORT DURATION INCOME F	0.00	1.68	0.00	1.68	90.0	1.51
07/23/2018	BOWERS, STEVEN	LORD ABBETT SHORT DURATION INCOME F	0.00	2.71	0.00	2.71	90.0	2.44
07/23/2018	BOWERS, STEVEN	LORD ABBETT SHORT DURATION INCOME F	0.00	2.07	0.00	2.07	90.0	1.86
07/23/2018	CAMPAGNA, MARIE	LORD ABBETT SHORT DURATION INCOME F	0.00	10.74	0.00	10.74	90.0	9.67
07/23/2018	CHERRY, ADAM	LORD ABBETT SHORT DURATION INCOME F	0.00	97.23	0.00	97.23	90.0	87.51
07/23/2018	KRAMER, LESLIE	LORD ABBETT SHORT DURATION INCOME F	0.00	10.86	0.00	10.86	90.0	9.77
07/23/2018	DADINO, CAROLE	LORD ABBETT SHORT DURATION INCOME F	0.00	3.92	0.00	3.92	90.0	3.53
07/23/2018	BROSIUS JR, ARTHUR	LORD ABBETT SHORT DURATION INCOME F	0.00	6.30	0.00	6.30	90.0	5.67
07/23/2018	BUSLER, SCOTT	LORD ABBETT SHORT DURATION INCOME F	0.00	9.04	0.00	9.04	90.0	8.14
07/23/2018	BUSLER, SCOTT	LORD ABBETT SHORT DURATION INCOME F	0.00	4.58	0.00	4.58	90.0	4.12
07/23/2018	HARDING, LORETTA	LORD ABBETT SHORT DURATION INCOME F	0.00	12.78	0.00	12.78	90.0	11.50
07/27/2018	MURRY, YVONNE	MAINSTAY CUSHING MLP PREMIER FUND C	0.00	10.29	0.00	10.29	90.0	9.26
07/27/2018	FLEISCHMAN, RITA	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	2.96	0.00	2.96	90.0	2.66
07/27/2018	FARBMAN TRUST, DANIEL & SANDRA	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	2.06	0.00	2.06	90.0	1.85
07/27/2018	PAGLIA, DIANA	MAINSTAY FLOATING RATE FUND CLASS A	0.00	0.49	0.00	0.49	90.0	0.44
07/27/2018	PAGLIA, DIANA	MAINSTAY HIGH YIELD CORP BOND A	0.00	1.21	0.00	1.21	90.0	1.09
07/27/2018	PAGLIA, DIANA	MAINSTAY LARGE CAP GROWTH FUND A	0.00	0.83	0.00	0.83	90.0	0.75
07/19/2018	KROSNOWSKI, THOMAS	MFS CORE EQUITY A	0.00	1.76	0.00	1.76	90.0	1.58
07/19/2018	KROSNOWSKI, THOMAS	MFS EMERGING MARKETS EQUITY A	0.00	4.10	0.00	4.10	90.0	3.69
07/19/2018	CAMPAGNA, MARIE	MFS EMERGING MKTS DEBT FUND C	0.00	7.38	0.00	7.38	90.0	6.64
07/19/2018	SPECTER TRUST, STEPHANIE	MFS GROWTH A	0.00	4.50	0.00	4.50	90.0	4.05
07/19/2018	BOWERS, DORA	MFS INTERNATIONAL VALUE FUND CLASS	0.00	0.70	0.00	0.70	90.0	0.63
07/19/2018	KROSNOWSKI, THOMAS	MFS INTERNATIONAL VALUE FUND CLASS	0.00	4.00	0.00	4.00	90.0	3.60
07/19/2018	SPECTER TRUST, BRADLEY	MFS MID-CAP VALUE FUND CLASS A	0.00	2.42	0.00	2.42	90.0	2.18
07/19/2018	SPECTER TRUST, STEPHANIE	MFS MID-CAP VALUE FUND CLASS A	0.00	5.80	0.00	5.80	90.0	5.22
07/19/2018	SPECTER TRUST, BRADLEY	MFS MIDCAP GROWTH A	0.00	2.35	0.00	2.35	90.0	2.12
07/19/2018	SPECTER TRUST, STEPHANIE	MFS MIDCAP GROWTH A	0.00	5.55	0.00	5.55	90.0	5.00
07/19/2018	KROSNOWSKI, THOMAS	MFS MIDCAP GROWTH A	0.00	1.61	0.00	1.61	90.0	1.45
07/19/2018	KROSNOWSKI, THOMAS	MFS RESEARCH A	0.00	1.58	0.00	1.58	90.0	1.42
07/19/2018	SPECTER TRUST, STEPHANIE	MFS RESEARCH INTL A	0.00	6.92	0.00	6.92	90.0	6.23
07/19/2018	KROSNOWSKI, THOMAS	MFS TECHNOLOGY FUND A	0.00	3.49	0.00	3.49	90.0	3.14

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b><u>DIRECT TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u></b>								
07/19/2018	SPECTER TRUST, BRADLEY	MFS VALUE A	0.00	2.33	0.00	2.33	90.0	2.10
07/19/2018	SPECTER TRUST, STEPHANIE	MFS VALUE A	0.00	3.63	0.00	3.63	90.0	3.27
07/25/2018	SCARPIGNATO, ANTHONY	NUVEEN HIGH YIELD MUNI A	0.00	3.12	0.00	3.12	90.0	2.81
07/23/2018	KROSNOWSKI, THOMAS	OPPENHEIMER DISCOVERY A	0.00	1.44	0.00	1.44	90.0	1.30
07/23/2018	KROSNOWSKI, THOMAS	OPPENHEIMER GLOBAL OPPORTUNITIES A	0.00	1.23	0.00	1.23	90.0	1.11
07/23/2018	KROSNOWSKI, THOMAS	OPPENHEIMER GOLD & SPECIAL MINERALS	0.00	0.39	0.00	0.39	90.0	0.35
07/23/2018	BOWERS, DORA	OPPENHEIMER INTL GROWTH A	0.00	0.63	0.00	0.63	90.0	0.57
07/23/2018	STERR, ERIN	OPPENHEIMER MAIN STREET A	0.00	2.47	0.00	2.47	90.0	2.22
07/23/2018	KROSNOWSKI, THOMAS	OPPENHEIMER MAIN STREET A	0.00	3.19	0.00	3.19	90.0	2.87
07/23/2018	KROSNOWSKI, THOMAS	OPPENHEIMER QUEST OPP VALUE A	0.00	1.74	0.00	1.74	90.0	1.57
07/23/2018	CHERRY, LISA	OPPENHEIMER QUEST OPP VALUE A	0.00	2.57	0.00	2.57	90.0	2.31
07/23/2018	SCARPIGNATO, ANTHONY	OPPENHEIMER ROCHESTER NATIONAL MUNI	0.00	0.02	0.00	0.02	90.0	0.02
07/20/2018	CHERRY, ADAM	PAC LIFE FUNDS PRT OPT MOD	0.00	255.03	0.00	255.03	90.0	229.53
07/23/2018	TRICHON, DONNA-LYNN	PUTNAM GROWTH OPP A	0.00	15.22	0.00	15.22	90.0	13.70
07/23/2018	NIEMINEN, EUGENE	PUTNAM MULTI CAP GROWTH A	0.00	3.36	0.00	3.36	90.0	3.02
07/23/2018	FLEISCH, ROBERT	TEMPLETON GLOBAL BOND A	0.00	10.80	0.00	10.80	90.0	9.72
07/23/2018	GREENWELL, MARION	TEMPLETON GROWTH A	0.00	1.62	0.00	1.62	90.0	1.46
07/23/2018	CENTANNI, RICHARD	TEMPLETON GROWTH A	0.00	0.35	0.00	0.35	90.0	0.32
07/23/2018	FLEISCH, ROBERT	TEMPLETON WORLD A	0.00	11.04	0.00	11.04	90.0	9.94
07/23/2018	EHRET, WAYNE	VICTORY CAPITAL MANAGEMENT	0.00	0.50	0.00	0.50	90.0	0.45
07/31/2018	CHERRY, LISA	VIRTUS SMALL-CAP SUSTAINABLE GROWTH	0.00	7.47	0.00	7.47	90.0	6.72
07/13/2018	PISANI, NICHOLAS	WELLS FARGO ADVANTAGE OMEGA GROWTH	0.00	10.90	0.00	10.90	90.0	9.81
07/16/2018	PISANI, NICHOLAS	WELLS FARGO ADVANTAGE OMEGA GROWTH	0.00	-10.90	0.00	-10.90	90.0	-9.81
07/23/2018	PISANI, NICHOLAS	WELLS FARGO ADVANTAGE OMEGA GROWTH	0.00	10.90	0.00	10.90	90.0	9.81
07/13/2018	CAMPAGNA, MARIE	WELLS FARGO ADVTG DIVERSIFIED INCOM	0.00	22.41	0.00	22.41	90.0	20.17
07/13/2018	CAMPAGNA, MARIE	WELLS FARGO ADVTG DIVERSIFIED INCOM	0.00	10.62	0.00	10.62	90.0	9.56
07/13/2018	BOWERS, DORA	WELLS FARGO ADVTG EMERGING MARKETS	0.00	0.19	0.00	0.19	90.0	0.17
07/16/2018	BOWERS, DORA	WELLS FARGO ADVTG EMERGING MARKETS	0.00	-0.19	0.00	-0.19	90.0	-0.17
07/23/2018	BOWERS, DORA	WELLS FARGO ADVTG EMERGING MARKETS	0.00	0.19	0.00	0.19	90.0	0.17
07/13/2018	TRICHON, DONNA-LYNN	WELLS FARGO DIVERSIFIED CAPITAL BUI	0.00	18.57	0.00	18.57	90.0	16.71
07/16/2018	TRICHON, DONNA-LYNN	WELLS FARGO DIVERSIFIED CAPITAL BUI	0.00	-18.57	0.00	-18.57	90.0	-16.71
07/23/2018	TRICHON, DONNA-LYNN	WELLS FARGO DIVERSIFIED CAPITAL BUI	0.00	18.57	0.00	18.57	90.0	16.71
/ /	GOLDBERG, SCOTT	WVA AGE-BASED PORTFOLIO 14-15 A	0.00	8.64	0.00	8.64	90.0	7.78

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<b><u>DIRECT TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u></b>								
/ /	GOLDBERG, SCOTT	WVA AGE-BASED PORTFOLIO 18+ A	0.00	1.59	0.00	1.59	90.0	1.43
/ /	GOLDBERG, SCOTT	WVA AGE-BASED PORTFOLIO 18+ A	0.00	0.79	0.00	0.79	90.0	0.71
<b>* MUTUAL FUND 12B1 TRAILS SUBTOTAL *</b>			<b>\$0.00</b>	<b>\$4,093.58</b>	<b>\$0.00</b>	<b>\$4,093.58</b>		<b>\$3,684.36</b>
<b><u>PRODUCT CATEGORY: VARIABLE ANNUITY 12B1 TRAILS</u></b>								
07/21/2018	MCFADDEN, JOAN	ING LANDMARK	83,481.93	208.70	0.00	208.70	90.0	187.83
07/31/2018	BONESKI, MARGUERITE	JNL PERSPECTIVE II 05/05	0.00	233.16	0.00	233.16	90.0	209.84
07/31/2018	TROMBINO, CONSTANCE	JNL PERSPECTIVE L	0.00	248.25	0.00	248.25	90.0	223.43
07/31/2018	NANI, JOSEPH	JNL PERSPECTIVE L	0.00	346.90	0.00	346.90	90.0	312.21
07/31/2018	FELDNER, BARBARA	JNL PERSPECTIVE L	0.00	407.34	0.00	407.34	90.0	366.61
07/31/2018	STERR, CHRISTOPHER	JNL PERSPECTIVE L	0.00	95.25	0.00	95.25	90.0	85.73
07/31/2018	OTT, CAROL	JOHN HANCOCK VENTURE	0.00	2.91	0.00	2.91	90.0	2.62
07/31/2018	CAMPBELL, BARBARA	JOHN HANCOCK VENTURE III	0.00	167.69	0.00	167.69	90.0	150.92
07/27/2018	MEDIA ENTERPRISES	PAC LIFE INNOVATIVE SELECT	0.00	153.68	0.00	153.68	90.0	138.31
<b>* VARIABLE ANNUITY 12B1 TRAILS SUBTOTAL *</b>			<b>\$83,481.93</b>	<b>\$1,863.88</b>	<b>\$0.00</b>	<b>\$1,863.88</b>		<b>\$1,677.50</b>
<b>*** DIRECT TRANSACTIONS TOTAL ***</b>			<b>\$85,956.93</b>	<b>\$6,049.27</b>	<b>\$0.00</b>	<b>\$6,049.27</b>		<b>\$5,444.49</b>

**SPLIT TRANSACTIONS**

<b><u>BROKER: J30 MARC/MICHAEL LINSKY/FOX #266</u></b>								
07/17/2018	CLARKE, PHYLLIS	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	1.16	0.00	1.16	90.0	1.04
07/17/2018	CLARKE, PHYLLIS	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.08	0.00	0.08	90.0	0.07
07/17/2018	BERK, MICHAEL	AM FUNDS GROWTH FUND OF AMERICA A	0.00	2.29	0.00	2.29	90.0	2.06
07/23/2018	CLARKE, PHYLLIS	FRANKLIN GROWTH OPPORTUNITIES FUND	0.00	0.13	0.00	0.13	90.0	0.12
07/24/2018	SPOKANE, LOIS	GOLDMAN SACHS U.S. EQUITY INSIGHTS	0.00	0.69	0.00	0.69	90.0	0.62
07/17/2018	CLARKE, PHYLLIS	HARTFORD INFLATION PLUS FUIND C	0.00	3.20	0.00	3.20	90.0	2.88
07/23/2018	CLARKE, PHYLLIS	LORD ABBETT AFFILIATED A	0.00	1.15	0.00	1.15	90.0	1.04
07/23/2018	SPOKANE, LOIS	LORD ABBETT BOND DEBENTURE A	0.00	1.57	0.00	1.57	90.0	1.41
07/23/2018	SPOKANE, LOIS	LORD ABBETT FUNDAMENTAL EQUITY A	0.00	3.61	0.00	3.61	90.0	3.25
07/20/2018	CLARKE, PHYLLIS	PIMCO TOTAL RETURN C	0.00	13.46	0.00	13.46	90.0	12.11
07/23/2018	BELLO, JOSEPH	PUTNAM MULTI CAP GROWTH A	0.00	0.67	0.00	0.67	90.0	0.60
<b>* J30 MARC/MICHAEL LINSKY/FOX SUBTOTAL *</b>			<b>\$0.00</b>	<b>\$28.01</b>	<b>\$0.00</b>	<b>\$28.01</b>		<b>\$25.20</b>

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<b><u>SPLIT TRANSACTIONS</u></b>								
<b><u>BROKER: DAN/JEFF/JON P/ FT-R134 NY RAUPP/KI #272</u></b>								
07/19/2018	DAMONE, DENNIS	JP MORGAN INVESTOR GROWTH & INCOME	0.00	0.23	0.00	0.23	90.0	0.21
* DAN/JEFF/JON P/ FT-R134 NY RAUPP/KI SUBTOTAL *			<b>\$0.00</b>	<b>\$0.23</b>	<b>\$0.00</b>	<b>\$0.23</b>		<b>\$0.21</b>
<b><u>BROKER: DAN/MARC FT-C148 CHARLEY/LINS #315</u></b>								
07/17/2018	ANDERSON, WILLIAM	AM FUNDS BOND FUND OF AMERICA A	0.00	0.45	0.00	0.45	90.0	0.41
07/17/2018	NEELD, JUDEANN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.30	0.00	1.30	90.0	1.17
07/17/2018	NEELD, JUDEANN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	3.43	0.00	3.43	90.0	3.09
07/12/2018	ANDERSON, WILLIAM	AMERICAN CENTURY CORE PLUS FUND CLA	0.00	2.73	0.00	2.73	90.0	2.46
07/24/2018	ANDERSON, ELAINE	BLK GLOBAL ALLOCATION C	0.00	2.48	0.00	2.48	90.0	2.23
07/19/2018	ANDERSON, ELAINE	CALAMOS GROWTH & INCOME A	0.00	0.95	0.00	0.95	90.0	0.86
07/23/2018	ANDERSON, WILLIAM	CARILLON EAGLE GROWTH & INCOME FUND	0.00	6.42	0.00	6.42	90.0	5.78
07/16/2018	ANDERSON, WILLIAM	COLUMBIA BALANCED FUND CLASS C	0.00	3.46	0.00	3.46	90.0	3.11
07/16/2018	FIAMINGO, FRANK	DAVIS REAL ESTATE A	0.00	2.22	0.00	2.22	90.0	2.00
07/19/2018	ANDERSON, WILLIAM	FIRST EAGLE OVERSEAS FUND CLASS A	0.00	0.96	0.00	0.96	90.0	0.86
07/16/2018	FIAMINGO, NANCY	GRIFFIN INST'L ACCESS R E FUND C	0.00	10.59	0.00	10.59	90.0	9.53
07/16/2018	FIAMINGO, NANCY	GRIFFIN INST'L ACCESS R E FUND C	0.00	31.77	0.00	31.77	90.0	28.59
07/16/2018	FIAMINGO, FRANK	GRIFFIN INST'L ACCESS R E FUND C	0.00	13.77	0.00	13.77	90.0	12.39
07/16/2018	FIAMINGO, FRANK	GRIFFIN INST'L ACCESS R E FUND C	0.00	41.30	0.00	41.30	90.0	37.17
07/16/2018	GELFGAT, DAVID	GRIFFIN INST'L ACCESS R E FUND C	0.00	5.21	0.00	5.21	90.0	4.69
07/16/2018	GELFGAT, DAVID	GRIFFIN INST'L ACCESS R E FUND C	0.00	15.64	0.00	15.64	90.0	14.08
07/16/2018	BUTKUS, ROBERT	GRIFFIN INST'L ACCESS R E FUND C	0.00	5.16	0.00	5.16	90.0	4.64
07/16/2018	BUTKUS, ROBERT	GRIFFIN INST'L ACCESS R E FUND C	0.00	15.46	0.00	15.46	90.0	13.91
07/16/2018	CLARKE SR, JAMES	GRIFFIN INST'L ACCESS R E FUND C	0.00	4.68	0.00	4.68	90.0	4.21
07/16/2018	CLARKE SR, JAMES	GRIFFIN INST'L ACCESS R E FUND C	0.00	14.05	0.00	14.05	90.0	12.65
07/23/2018	FIAMINGO, FRANK	INVESCO TECHNOLOGY A	0.00	0.01	0.00	0.01	90.0	0.01
07/16/2018	ANDERSON, ELAINE	JANUS BALANCED FUND CLASS C	0.00	3.35	0.00	3.35	90.0	3.02
07/13/2018	ANDERSON, ELAINE	JH STRATEGIC INCOME A	0.00	0.42	0.00	0.42	90.0	0.38
07/23/2018	BOWERS, DORA	LORD ABBETT SHORT DURATION INCOME F	0.00	0.74	0.00	0.74	90.0	0.67
07/23/2018	FIAMINGO, FRANK	OPPENHEIMER CAPITAL INCOME A	0.00	0.01	0.00	0.01	90.0	0.01
07/20/2018	ANDERSON, WILLIAM	PIMCO REAL RETURN C	0.00	1.66	0.00	1.66	90.0	1.49
07/13/2018	RYNEX, CAROL	WELLS FARGO DOW JONES TARGET 2035 F	0.00	1.04	0.00	1.04	90.0	0.94
07/16/2018	RYNEX, CAROL	WELLS FARGO DOW JONES TARGET 2035 F	0.00	-1.04	0.00	-1.04	90.0	-0.94
07/23/2018	RYNEX, CAROL	WELLS FARGO DOW JONES TARGET 2035 F	0.00	1.04	0.00	1.04	90.0	0.94
07/13/2018	RYNEX, STEPHEN	WELLS FARGO PREMIER LG COMP GRWTH A	0.00	0.65	0.00	0.65	90.0	0.59

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<b><u>SPLIT TRANSACTIONS</u></b>								
<b><u>BROKER: DAN/MARC FT-C148 CHARLEY/LINS #315</u></b>								
07/16/2018	RYNEX, STEPHEN	WELLS FARGO PREMIER LG COMP GRWTH A	0.00	-0.65	0.00	-0.65	90.0	-0.59
07/23/2018	RYNEX, STEPHEN	WELLS FARGO PREMIER LG COMP GRWTH A	0.00	0.65	0.00	0.65	90.0	0.59
* DAN/MARC FT-C148 CHARLEY/LINS SUBTOTAL *			\$0.00	\$189.91	\$0.00	\$189.91		\$170.94
<b><u>BROKER: DA/MAR/JP/DA/JE FT- C157 CHA/LIN/CI #400</u></b>								
07/16/2018	CARROLLTON, DONNA	GRIFFIN INSTITUTIONAL ACCESS REAL E	0.00	1.70	0.00	1.70	90.0	1.53
07/16/2018	CARROLLTON, STEVE	GRIFFIN INSTITUTIONAL ACCESS REAL E	0.00	1.21	0.00	1.21	90.0	1.09
* DA/MAR/JP/DA/JE FT- C157 CHA/LIN/CI SUBTOTAL *			\$0.00	\$2.91	\$0.00	\$2.91		\$2.62
*** SPLIT TRANSACTIONS TOTAL ***			\$0.00	\$221.06	\$0.00	\$221.06		\$198.97

**ADJUSTMENTS**

08/15/2018	*EO INS: CURRENT MONTH INS	0.00	-300.00
08/15/2018	*FEDERAL EXPRESS: 6-255-05108 7-25-18	0.00	-58.27
08/15/2018	*MARKETING LIBRARY: MARKETING LIBRARY PRO	0.00	-45.00
08/15/2018	*PERSHING: MF PROSPECTUS MAILING	0.00	-1.00
08/15/2018	*PERSHING: MANDATORY REORG MERGER PNW099711	0.00	-5.00
08/15/2018	*PERSHING: MANDATORY REORG MERGER PNW100246	0.00	-10.00
08/15/2018	*PERSHING: MANDATORY REORG MERGER PNW102408	0.00	-10.00
08/15/2018	*PERSHING: STOP CHECK FEE PNW102671	0.00	-20.00
08/15/2018	*PERSHING: BOOKS & RECORDS	0.00	-224.67
08/15/2018	*PERSHING: BOOKS & RECORDS	0.00	-0.99
08/15/2018	*TECH: ADMIN-CHRISTINE GILMER	0.00	-100.00
08/15/2018	*TECH: ADMIN-LINDA BOND-HILTNER	0.00	-100.00
08/15/2018	*TECH: CURRENT MONTH TECH	0.00	-275.00
08/15/2018	*TECHNOLOGY: ADMIN - K KOVAL	0.00	-100.00
08/15/2018	*TERMINATION FEE: CHRISTINE GILMER TERM FEE	0.00	-100.00

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<b><u>ADJUSTMENTS</u></b>								
08/15/2018		*TERMINATION FEE: LINDA	0.00					-100.00
		BOND-HILTNER TERM FEE						
08/15/2018		*TERMINATION FEE: MARK LINSKY TERM	0.00					-100.00
		FEE						
*** ADJUSTMENTS TOTAL ***			\$0.00	\$0.00	\$0.00	\$0.00		\$-1,549.93

**BROKER COMMISSION TOTALS**

Broker Transactions	\$5,693.56
Split Transactions	\$198.97
Override Transactions	\$0.00
Adjustments	\$-1,549.93
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$0.00
FINRA Assessment	\$0.00
SIPC Assessment	\$0.00

Check Amount	\$4,342.60
Year-to-date Gross	\$247,565.57
Year-to-date Earnings	\$220,286.74

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