



Concorde Investment Services, LLC

01/12/2018

Page No. 1

COMMISSION STATEMENT

January 15, 2018

DAVID KERN
4321 Flagstaff Cove

BROKER #: K123
BRANCH: DAVID KERN

Fort Wayne, IN 46815

| DATE | CLIENT | INVESTMENT | INVESTMENT AMOUNT | GROSS COMMISSION | CLEARING CHARGE | NET COMMISSION | RATE | BROKER COMMISSION |
|--|-------------------------------|----------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u>DIRECT TRANSACTIONS</u> | | | | | | | | |
| <u>PRODUCT CATEGORY: VARIABLE ANNUITIES</u> | | | | | | | | |
| 12/29/2017 | KNUTSON, SUSAN | ALLIANZ VISION | 151,324.03 | 378.31 | 0.00 | 378.31 | 90.0 | 340.48 |
| 12/29/2017 | GAGNON, DONALD | ALLIANZ VISION | 409,093.01 | 1,022.73 | 0.00 | 1,022.73 | 90.0 | 920.46 |
| 12/29/2017 | THEXTON, BARBARA | ALLIANZ VISION | 85,771.14 | 214.43 | 0.00 | 214.43 | 90.0 | 192.99 |
| 12/29/2017 | WILKENING, DAVID | ALLIANZ VISION | 76,805.90 | 192.01 | 0.00 | 192.01 | 90.0 | 172.81 |
| 12/29/2017 | SIMS, STEPHEN | ALLIANZ VISION | 540,902.97 | 1,352.26 | 0.00 | 1,352.26 | 90.0 | 1,217.03 |
| 12/29/2017 | REBMAN, VICTOR | ALLIANZ VISION | 125,870.73 | 314.68 | 0.00 | 314.68 | 90.0 | 283.21 |
| 12/29/2017 | STANFORD, JEFF | ALLIANZ VISION | 54,334.30 | 135.84 | 0.00 | 135.84 | 90.0 | 122.26 |
| 12/29/2017 | SOLLOWAY, SHARON | ALLIANZ VISION | 143,670.72 | 359.18 | 0.00 | 359.18 | 90.0 | 323.26 |
| 12/26/2017 | KERN, DAVID | AMERITAS LOWLOAD VUL | 10,270.88 | 0.85 | 0.00 | 0.85 | 90.0 | 0.77 |
| 12/27/2017 | KERN, BENJAMIN | AMERITAS LOWLOAD VUL | 16,942.18 | 1.41 | 0.00 | 1.41 | 90.0 | 1.27 |
| 01/02/2018 | KERN, BRIAN | AMERITAS LOWLOAD VUL | 568.06 | 0.05 | 0.00 | 0.05 | 90.0 | 0.05 |
| 01/04/2018 | SCHENKEL, JOHN | AMERITAS LOWLOAD VUL | 973.29 | 0.08 | 0.00 | 0.08 | 90.0 | 0.07 |
| 12/31/2017 | KERN, DAVID | JNL ELITE ACCESS | 18,564.45 | 3.87 | 0.00 | 3.87 | 90.0 | 3.48 |
| 12/31/2017 | KERN, DAVID | JNL ELITE ACCESS | 29,441.79 | 24.53 | 0.00 | 24.53 | 90.0 | 22.08 |
| 12/31/2017 | KERN, BENJAMIN | JNL ELITE ACCESS | 30,294.85 | 6.31 | 0.00 | 6.31 | 90.0 | 5.68 |
| 12/31/2017 | KERN, BENJAMIN | JNL ELITE ACCESS | 128,376.39 | 106.98 | 0.00 | 106.98 | 90.0 | 96.28 |
| 12/31/2017 | LINDQUIST FAMILY TRUST, MICAH | JNL ELITE ACCESS | 173,692.20 | 144.74 | 0.00 | 144.74 | 90.0 | 130.27 |
| 12/31/2017 | BUTCHER, JACK | JNL ELITE ACCESS | 837,772.61 | 698.14 | 0.00 | 698.14 | 90.0 | 628.33 |
| 12/31/2017 | KERN, BRIAN | JNL ELITE ACCESS | 48,280.98 | 40.23 | 0.00 | 40.23 | 90.0 | 36.21 |
| 12/31/2017 | RIEBE, PATRICIA | JNL ELITE ACCESS | 176,089.12 | 146.74 | 0.00 | 146.74 | 90.0 | 132.07 |
| 12/31/2017 | SVOBODA, JOYCE | JNL ELITE ACCESS | 37,319.16 | 31.10 | 0.00 | 31.10 | 90.0 | 27.99 |
| 12/31/2017 | MILLER, LAVERN | JNL ELITE ACCESS | 27,768.76 | 23.14 | 0.00 | 23.14 | 90.0 | 20.83 |
| 12/31/2017 | MILLER, JEAN | JNL ELITE ACCESS | 12,111.40 | 10.09 | 0.00 | 10.09 | 90.0 | 9.08 |
| 12/31/2017 | BRIEGEL, WILLIAM | JNL ELITE ACCESS | 17,807.37 | 14.84 | 0.00 | 14.84 | 90.0 | 13.36 |
| 12/31/2017 | JOHNSON, JULIE | JNL ELITE ACCESS | 16,914.90 | 14.10 | 0.00 | 14.10 | 90.0 | 12.69 |
| 12/31/2017 | FORTNEY, ELIZABETH | JNL ELITE ACCESS | 34,220.07 | 28.52 | 0.00 | 28.52 | 90.0 | 25.67 |

NOTES: * - Indicates adjustment is not included in 1099 Earnings

** - Indicates adjustment is not included in Totals or Commissions

^Date - Split Trade - full Investment Amount & Gross Commission displayed

| DATE | CLIENT | INVESTMENT | INVESTMENT AMOUNT | GROSS COMMISSION | CLEARING CHARGE | NET COMMISSION | RATE | BROKER COMMISSION |
|--|---------------------|-------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u>DIRECT TRANSACTIONS</u> | | | | | | | | |
| <u>PRODUCT CATEGORY: VARIABLE ANNUITIES</u> | | | | | | | | |
| 12/31/2017 | JOHNSON, MARGAUX | JNL ELITE ACCESS | 6,598.00 | 5.50 | 0.00 | 5.50 | 90.0 | 4.95 |
| 12/31/2017 | SMITH, STEPHANIE | JNL ELITE ACCESS | 20,826.76 | 17.36 | 0.00 | 17.36 | 90.0 | 15.62 |
| 12/31/2017 | FREISTROFFER, HENRY | JNL ELITE ACCESS | 7,875.05 | 6.56 | 0.00 | 6.56 | 90.0 | 5.90 |
| 12/31/2017 | COLLENTINE, CARYL | JNL ELITE ACCESS | 4,877.06 | 4.06 | 0.00 | 4.06 | 90.0 | 3.65 |
| 12/31/2017 | COLLENTINE, SEAN | JNL ELITE ACCESS | 4,888.53 | 4.07 | 0.00 | 4.07 | 90.0 | 3.66 |
| 12/31/2017 | ROY, SHARI | JNL ELITE ACCESS | 46,711.93 | 38.93 | 0.00 | 38.93 | 90.0 | 35.04 |
| 12/31/2017 | KERN, LEESA | JNL ELITE ACCESS | 41,588.31 | 34.66 | 0.00 | 34.66 | 90.0 | 31.19 |
| 12/31/2017 | CONNER, ANDREW | JNL ELITE ACCESS | 8,052.36 | 6.71 | 0.00 | 6.71 | 90.0 | 6.04 |
| 12/31/2017 | CONNER, ANDREW | JNL ELITE ACCESS | 9,851.18 | 8.21 | 0.00 | 8.21 | 90.0 | 7.39 |
| 12/31/2017 | HURLEY, JOHN | JNL ELITE ACCESS | 18,364.26 | 15.30 | 0.00 | 15.30 | 90.0 | 13.77 |
| 12/31/2017 | DELLINGER, EMMA | JNL ELITE ACCESS | 157,536.95 | 131.28 | 0.00 | 131.28 | 90.0 | 118.15 |
| 12/31/2017 | OBERLIN, DOUGLAS | JNL ELITE ACCESS | 24,470.53 | 20.39 | 0.00 | 20.39 | 90.0 | 18.35 |
| 12/31/2017 | SIMS, SUSAN | JNL ELITE ACCESS | 4,735.31 | 3.95 | 0.00 | 3.95 | 90.0 | 3.56 |
| 12/31/2017 | BLESSING, THOMAS | JNL ELITE ACCESS | 72,800.68 | 60.67 | 0.00 | 60.67 | 90.0 | 54.60 |
| 12/31/2017 | AKPABIO, UWEM | JNL ELITE ACCESS | 95,739.59 | 79.78 | 0.00 | 79.78 | 90.0 | 71.80 |
| 12/31/2017 | REBMAN, MONA | JNL ELITE ACCESS | 6,349.31 | 5.29 | 0.00 | 5.29 | 90.0 | 4.76 |
| 12/31/2017 | FREISTROFFER, HENRY | JNL ELITE ACCESS | 7,644.13 | 6.37 | 0.00 | 6.37 | 90.0 | 5.73 |
| 12/31/2017 | ROGERS, JOHN | JNL ELITE ACCESS | 12,565.49 | 10.47 | 0.00 | 10.47 | 90.0 | 9.42 |
| 12/31/2017 | ROGERS, ADRIENNE | JNL ELITE ACCESS | 12,565.51 | 10.47 | 0.00 | 10.47 | 90.0 | 9.42 |
| 12/31/2017 | ROGERS, ADRIENNE | JNL ELITE ACCESS | 178,242.33 | 148.54 | 0.00 | 148.54 | 90.0 | 133.69 |
| 12/31/2017 | WHITELEATHER, TRACY | JNL ELITE ACCESS | 118,022.03 | 98.35 | 0.00 | 98.35 | 90.0 | 88.52 |
| 12/31/2017 | WHITELEATHER, KEVIN | JNL ELITE ACCESS | 14,866.27 | 12.39 | 0.00 | 12.39 | 90.0 | 11.15 |
| 12/31/2017 | KELTY, SANDRA | JNL ELITE ACCESS | 23,322.27 | 19.44 | 0.00 | 19.44 | 90.0 | 17.50 |
| 12/31/2017 | RIEBE, PATRICIA | JNL ELITE ACCESS | 6,889.45 | 5.74 | 0.00 | 5.74 | 90.0 | 5.17 |
| 12/31/2017 | KELTY, SUSAN | JNL ELITE ACCESS | 427,398.03 | 356.17 | 0.00 | 356.17 | 90.0 | 320.55 |
| 12/31/2017 | HOVERMAN, ANDREA | JNL ELITE ACCESS | 10,439.40 | 8.70 | 0.00 | 8.70 | 90.0 | 7.83 |
| 12/31/2017 | HOVERMAN, BRYAN | JNL ELITE ACCESS | 12,765.56 | 10.64 | 0.00 | 10.64 | 90.0 | 9.58 |
| 12/31/2017 | FORTNEY, ELIZABETH | JNL ELITE ACCESS | 7,073.04 | 5.89 | 0.00 | 5.89 | 90.0 | 5.30 |
| 01/02/2018 | FORTNEY, ELIZABETH | JNL ELITE ACCESS | 400.00 | 5.00 | 0.00 | 5.00 | 90.0 | 4.50 |
| 12/31/2017 | KERN, DAVID | JNL ELITE ACCESS W/ LIQUIDITY | 40,385.96 | 33.65 | 0.00 | 33.65 | 90.0 | 30.29 |
| 12/31/2017 | WOODHAMS, JACK | JNL ELITE ACCESS W/ LIQUIDITY | 29,876.51 | 24.90 | 0.00 | 24.90 | 90.0 | 22.41 |
| 12/31/2017 | JOHNSON, THEODORE | JNL ELITE ACCESS W/ LIQUIDITY | 6,508.34 | 5.42 | 0.00 | 5.42 | 90.0 | 4.88 |
| 12/31/2017 | ROY, RICHARD | JNL ELITE ACCESS W/ LIQUIDITY | 26,666.00 | 22.22 | 0.00 | 22.22 | 90.0 | 20.00 |

NOTES: * - Indicates adjustment is not included in 1099 Earnings

** - Indicates adjustment is not included in Totals or Commissions

^Date - Split Trade - full Investment Amount & Gross Commission displayed

| DATE | CLIENT | INVESTMENT | INVESTMENT AMOUNT | GROSS COMMISSION | CLEARING CHARGE | NET COMMISSION | RATE | BROKER COMMISSION |
|--|------------------------|-------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u>DIRECT TRANSACTIONS</u> | | | | | | | | |
| <u>PRODUCT CATEGORY: VARIABLE ANNUITIES</u> | | | | | | | | |
| 12/31/2017 | PAYNE, MARTHA | JNL ELITE ACCESS W/ LIQUIDITY | 10,439.31 | 8.70 | 0.00 | 8.70 | 90.0 | 7.83 |
| 12/31/2017 | COLE, NANCY | JNL ELITE ACCESS W/ LIQUIDITY | 47,195.38 | 39.33 | 0.00 | 39.33 | 90.0 | 35.40 |
| 12/31/2017 | DETER, MARY | JNL ELITE ACCESS W/ LIQUIDITY | 2,563.71 | 2.14 | 0.00 | 2.14 | 90.0 | 1.93 |
| 12/31/2017 | HESTER, LEEANNE | JNL ELITE ACCESS W/ LIQUIDITY | 57,580.39 | 47.98 | 0.00 | 47.98 | 90.0 | 43.18 |
| 12/31/2017 | THEXTON, BARBARA | JNL ELITE ACCESS W/ LIQUIDITY | 13,200.09 | 11.00 | 0.00 | 11.00 | 90.0 | 9.90 |
| 12/31/2017 | WEIS, KIMBERLY | JNL ELITE ACCESS W/ LIQUIDITY | 92,606.82 | 77.17 | 0.00 | 77.17 | 90.0 | 69.45 |
| 12/31/2017 | HURLEY, JOHN | JNL ELITE ACCESS W/ LIQUIDITY | 92,606.81 | 77.17 | 0.00 | 77.17 | 90.0 | 69.45 |
| 12/31/2017 | FREISTROFFER, HENRY | JNL INVESTOR VUL | 8,684.95 | 3.26 | 0.00 | 3.26 | 90.0 | 2.93 |
| 12/31/2017 | FREISTROFFER, MERIDITH | JNL INVESTOR VUL | 6,962.88 | 2.61 | 0.00 | 2.61 | 90.0 | 2.35 |
| 12/31/2017 | DAVIS, GARY | JNL PERSPECTIVE L | 219,847.71 | 183.21 | 0.00 | 183.21 | 90.0 | 164.89 |
| 12/31/2017 | KELTY, RICHARD | JNL PERSPECTIVE L | 720,531.74 | 600.44 | 0.00 | 600.44 | 90.0 | 540.40 |
| 12/31/2017 | SOLLOWAY, WILLIAM | JNL PERSPECTIVE L | 130,498.29 | 108.75 | 0.00 | 108.75 | 90.0 | 97.88 |
| 12/31/2017 | BUTCHER, JACK | JNL PERSPECTIVE L | 377,197.97 | 314.33 | 0.00 | 314.33 | 90.0 | 282.90 |
| 12/31/2017 | DETER, MARY | JNL PERSPECTIVE L | 50,849.18 | 42.37 | 0.00 | 42.37 | 90.0 | 38.13 |
| 12/31/2017 | CROWLEY, HELEN | JNL PERSPECTIVE L | 43,239.89 | 36.03 | 0.00 | 36.03 | 90.0 | 32.43 |
| 12/31/2017 | FREISTROFFER, HENRY | JNL PERSPECTIVE L | 218,287.46 | 181.91 | 0.00 | 181.91 | 90.0 | 163.72 |
| 12/31/2017 | BOHNKE, LON | JNL PERSPECTIVE L | 60,059.94 | 50.05 | 0.00 | 50.05 | 90.0 | 45.05 |
| 12/31/2017 | ROGERS, ADRIENNE | JNL PERSPECTIVE L | 53,252.79 | 44.38 | 0.00 | 44.38 | 90.0 | 39.94 |
| 12/31/2017 | ROGERS, JOHN | JNL PERSPECTIVE L | 52,886.74 | 44.07 | 0.00 | 44.07 | 90.0 | 39.66 |
| 12/31/2017 | BUTCHER, JACK | JOHN HANCOCK VISION | 165,224.24 | 158.34 | 0.00 | 158.34 | 90.0 | 142.51 |
| 12/31/2017 | WEST, JOLAN | JOHN HANCOCK VISION | 126,093.85 | 120.84 | 0.00 | 120.84 | 90.0 | 108.76 |
| 12/30/2017 | PAYNE, MARTHA | NATIONWIDE MARKETFLEX BB | 15,389.34 | 38.47 | 0.00 | 38.47 | 90.0 | 34.62 |
| / / | MARATHON LABELS 401K | NWL FLEX ADVANTAGE | 320,594.41 | 70.27 | 0.00 | 70.27 | 90.0 | 63.24 |
| / / | NEW HAVEN PRINT & | NWL FLEX ADVANTAGE | 810,103.00 | 213.07 | 0.00 | 213.07 | 90.0 | 191.76 |
| / / | MARATHON LABELS 401K | NWL POOLED FXD | 52,009.32 | 11.40 | 0.00 | 11.40 | 90.0 | 10.26 |
| / / | NEW HAVEN PRINT & | NWL POOLED FXD | 3,203.97 | 0.84 | 0.00 | 0.84 | 90.0 | 0.76 |
| 12/31/2017 | SIMS, SUSAN | PRU AS APEX II | 70,888.65 | 132.92 | 0.00 | 132.92 | 90.0 | 119.63 |
| 12/31/2017 | SIMS, SUSAN | PRU AS APEX II | 70,888.65 | 44.31 | 0.00 | 44.31 | 90.0 | 39.88 |
| 12/31/2017 | ARCHER, GARY | PRU AS APEX II | 166,347.58 | 311.90 | 0.00 | 311.90 | 90.0 | 280.71 |
| 12/31/2017 | ARCHER, GARY | PRU AS APEX II | 166,347.58 | 103.97 | 0.00 | 103.97 | 90.0 | 93.57 |
| 12/31/2017 | RIEBE, ALAN | PRU AS APEX II | 125,619.48 | 235.54 | 0.00 | 235.54 | 90.0 | 211.99 |
| 12/31/2017 | RIEBE, ALAN | PRU AS APEX II | 125,619.48 | 78.51 | 0.00 | 78.51 | 90.0 | 70.66 |
| 12/31/2017 | BROWN, KENNETH | PRU AS APEX II | 109,474.49 | 205.26 | 0.00 | 205.26 | 90.0 | 184.73 |

NOTES: * - Indicates adjustment is not included in 1099 Earnings

** - Indicates adjustment is not included in Totals or Commissions

^Date - Split Trade - full Investment Amount & Gross Commission displayed

| DATE | CLIENT | INVESTMENT | INVESTMENT AMOUNT | GROSS COMMISSION | CLEARING CHARGE | NET COMMISSION | RATE | BROKER COMMISSION |
|--|-----------------------|--------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u>DIRECT TRANSACTIONS</u> | | | | | | | | |
| <u>PRODUCT CATEGORY: VARIABLE ANNUITIES</u> | | | | | | | | |
| 12/31/2017 | BROWN, KENNETH | PRU AS APEX II | 109,474.49 | 68.42 | 0.00 | 68.42 | 90.0 | 61.58 |
| 12/31/2017 | HEY, BYARD | PRU AS APEX II | 85,211.76 | 159.77 | 0.00 | 159.77 | 90.0 | 143.79 |
| 12/31/2017 | HEY, BYARD | PRU AS APEX II | 85,211.76 | 53.26 | 0.00 | 53.26 | 90.0 | 47.93 |
| 12/31/2017 | WEST, STEVEN | PRU AS APEX II | 267,845.93 | 502.21 | 0.00 | 502.21 | 90.0 | 451.99 |
| 12/31/2017 | WEST, STEVEN | PRU AS APEX II | 267,845.93 | 167.40 | 0.00 | 167.40 | 90.0 | 150.66 |
| 12/31/2017 | POORMAN, MAX | PRU AS LIFEVEST II | 40,800.41 | 25.50 | 0.00 | 25.50 | 90.0 | 22.95 |
| 12/31/2017 | POORMAN, MAX | PRU AS LIFEVEST II | 40,800.41 | 76.50 | 0.00 | 76.50 | 90.0 | 68.85 |
| 12/31/2017 | ZONAKIS, DELORES | PRU AS LIFEVEST II | 44,671.04 | 27.92 | 0.00 | 27.92 | 90.0 | 25.13 |
| 12/31/2017 | ZONAKIS, DELORES | PRU AS LIFEVEST II | 44,671.04 | 83.76 | 0.00 | 83.76 | 90.0 | 75.38 |
| 12/31/2017 | ZONAKIS, DELORES | PRU AS LIFEVEST II | 31,019.53 | 19.39 | 0.00 | 19.39 | 90.0 | 17.45 |
| 12/31/2017 | ZONAKIS, DELORES | PRU AS LIFEVEST II | 31,019.53 | 58.16 | 0.00 | 58.16 | 90.0 | 52.34 |
| 12/31/2017 | TEUBNER, KATHERINE | PRU AS LIFEVEST II | 43,143.15 | 80.89 | 0.00 | 80.89 | 90.0 | 72.80 |
| 12/31/2017 | TEUBNER, KATHERINE | PRU AS LIFEVEST II | 43,143.15 | 26.96 | 0.00 | 26.96 | 90.0 | 24.26 |
| 12/31/2017 | TEUBNER, KATHERINE | PRU AS LIFEVEST II | 49,405.99 | 92.64 | 0.00 | 92.64 | 90.0 | 83.38 |
| 12/31/2017 | TEUBNER, KATHERINE | PRU AS LIFEVEST II | 49,405.99 | 30.88 | 0.00 | 30.88 | 90.0 | 27.79 |
| 12/31/2017 | SVOBODA, JOYCE | PRU AS LIFEVEST II | 81,686.77 | 153.16 | 0.00 | 153.16 | 90.0 | 137.84 |
| 12/31/2017 | SVOBODA, JOYCE | PRU AS LIFEVEST II | 81,686.77 | 51.05 | 0.00 | 51.05 | 90.0 | 45.95 |
| 12/31/2017 | POORMAN, MAX | PRU AS LIFEVEST II | 66,609.85 | 41.63 | 0.00 | 41.63 | 90.0 | 37.47 |
| 12/31/2017 | POORMAN, MAX | PRU AS LIFEVEST II | 66,609.85 | 124.89 | 0.00 | 124.89 | 90.0 | 112.40 |
| 12/31/2017 | PICCIANO, DEAN | PRU AS XTRA CREDIT SIX | 168,656.17 | 105.41 | 0.00 | 105.41 | 90.0 | 94.87 |
| 12/31/2017 | PICCIANO, DEAN | PRU AS XTRA CREDIT SIX | 168,656.17 | 105.41 | 0.00 | 105.41 | 90.0 | 94.87 |
| 12/31/2017 | FULBRIGHT, SHERRY | PRU AS XTRA CREDIT SIX | 154,240.40 | 96.40 | 0.00 | 96.40 | 90.0 | 86.76 |
| 12/31/2017 | COLE, NANCY | PRU AS XTRA CREDIT SIX | 522,750.93 | 326.72 | 0.00 | 326.72 | 90.0 | 294.05 |
| 12/31/2017 | TEUBNER, KATHERINE | PRU AS XTRA CREDIT SIX | 77,085.91 | 48.18 | 0.00 | 48.18 | 90.0 | 43.36 |
| 12/31/2017 | TEUBNER, KATHERINE | PRU AS XTRA CREDIT SIX | 77,085.91 | 48.18 | 0.00 | 48.18 | 90.0 | 43.36 |
| 12/31/2017 | RIEBE, ALAN | PRU DEFINED INCOME | 167,934.64 | 419.84 | 0.00 | 419.84 | 90.0 | 377.86 |
| 12/31/2017 | BUTCHER, JACK | PRU PREMIER INVT A | 73,456.19 | 55.09 | 0.00 | 55.09 | 90.0 | 49.58 |
| 12/31/2017 | FREISTROFFER, HENRY | PRU PREMIER RETIREMENT L | 99,979.78 | 249.95 | 0.00 | 249.95 | 90.0 | 224.96 |
| 12/31/2017 | KELTY, RICHARD | PRU PREMIER RETIREMENT L | 288,897.30 | 722.24 | 0.00 | 722.24 | 90.0 | 650.02 |
| 12/31/2017 | KELTY, SANDRA | PRU PREMIER RETIREMENT L | 130,026.52 | 325.07 | 0.00 | 325.07 | 90.0 | 292.56 |
| 12/31/2017 | DOWNING, LYNETTE | PRU PREMIER RETIREMENT L | 157,849.83 | 394.62 | 0.00 | 394.62 | 90.0 | 355.16 |
| 12/31/2017 | WALKER-BLESSING, DAWN | PRU PREMIER RETIREMENT L | 196,090.10 | 490.23 | 0.00 | 490.23 | 90.0 | 441.21 |
| 12/31/2017 | SHAW, LORI | PRU PREMIER RETIREMENT L | 190,190.72 | 475.48 | 0.00 | 475.48 | 90.0 | 427.93 |

NOTES: * - Indicates adjustment is not included in 1099 Earnings

** - Indicates adjustment is not included in Totals or Commissions

^Date - Split Trade - full Investment Amount & Gross Commission displayed

| DATE | CLIENT | INVESTMENT | INVESTMENT AMOUNT | GROSS COMMISSION | CLEARING CHARGE | NET COMMISSION | RATE | BROKER COMMISSION |
|--|------------------------|------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u>DIRECT TRANSACTIONS</u> | | | | | | | | |
| PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS | | | | | | | | |
| * VARIABLE ANNUITIES SUBTOTAL * | | | \$13,261,537.40 | \$15,799.99 | \$0.00 | \$15,799.99 | | \$14,220.04 |
| PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS | | | | | | | | |
| / / | DAVIS, GARY | OPPENHEIMER AMT MUNICIPALS A | 0.00 | 0.83 | 0.00 | 0.83 | 90.0 | 0.75 |
| / / | HELMBERGER, GENEVIEVE | OPPENHEIMER AMT MUNICIPALS A | 0.00 | 2.87 | 0.00 | 2.87 | 90.0 | 2.58 |
| / / | TEUBNER, KATHERINE | OPPENHEIMER AMT MUNICIPALS A | 0.00 | 1.05 | 0.00 | 1.05 | 90.0 | 0.95 |
| / / | CROWLEY, HELEN | OPPENHEIMER AMT MUNICIPALS C | 0.00 | 26.52 | 0.00 | 26.52 | 90.0 | 23.87 |
| / / | SOLLOWAY, SHARON | OPPENHEIMER AMT MUNICIPALS C | 0.00 | 1.21 | 0.00 | 1.21 | 90.0 | 1.09 |
| / / | ANDERSON II, ROBERT | OPPENHEIMER AMT MUNICIPALS C | 0.00 | 124.69 | 0.00 | 124.69 | 90.0 | 112.22 |
| / / | AKPABIO, UWEM | OPPENHEIMER AMT MUNICIPALS C | 0.00 | 2.32 | 0.00 | 2.32 | 90.0 | 2.09 |
| / / | VAN DRUNEN, CATHERINE | OPPENHEIMER AMT MUNICIPALS C | 0.00 | 0.94 | 0.00 | 0.94 | 90.0 | 0.85 |
| / / | RIEBE, ALAN | OPPENHEIMER AMT MUNICIPALS C | 0.00 | 252.94 | 0.00 | 252.94 | 90.0 | 227.65 |
| / / | COLE, RANDY | OPPENHEIMER CAPITAL APPRECIATION A | 0.00 | 6.89 | 0.00 | 6.89 | 90.0 | 6.20 |
| / / | ARCHER, DEBORAH | OPPENHEIMER CORE BOND FUND C | 0.00 | 101.12 | 0.00 | 101.12 | 90.0 | 91.01 |
| / / | HURLEY, JOHN | OPPENHEIMER EQUITY INCOME A | 0.00 | 2.30 | 0.00 | 2.30 | 90.0 | 2.07 |
| / / | BONE, SAGE | OPPENHEIMER EQUITY INCOME C | 0.00 | 31.38 | 0.00 | 31.38 | 90.0 | 28.24 |
| / / | AKPABIO, UWEM | OPPENHEIMER EQUITY INCOME C | 0.00 | 28.72 | 0.00 | 28.72 | 90.0 | 25.85 |
| / / | FREISTROFFER, HENRY | OPPENHEIMER EQUITY INCOME C | 0.00 | 18.99 | 0.00 | 18.99 | 90.0 | 17.09 |
| / / | DEWITT, PAMELA | OPPENHEIMER GLOBAL ALLOCATION A | 0.00 | 1.23 | 0.00 | 1.23 | 90.0 | 1.11 |
| / / | COLE, RANDY | OPPENHEIMER GLOBAL OPPORTUNITIES A | 0.00 | 20.17 | 0.00 | 20.17 | 90.0 | 18.15 |
| / / | MILLER, WILLIAM | OPPENHEIMER GLOBAL OPPORTUNITIES A | 0.00 | 0.11 | 0.00 | 0.11 | 90.0 | 0.10 |
| / / | MILLER, NOAH | OPPENHEIMER GLOBAL OPPORTUNITIES A | 0.00 | 1.72 | 0.00 | 1.72 | 90.0 | 1.55 |
| / / | HORNBERGER, DEBORAH | OPPENHEIMER GLOBAL OPPORTUNITIES A | 0.00 | 24.35 | 0.00 | 24.35 | 90.0 | 21.92 |
| / / | LANGELIER, STEPHANE | OPPENHEIMER GLOBAL OPPORTUNITIES A | 0.00 | 1.54 | 0.00 | 1.54 | 90.0 | 1.39 |
| / / | KERN, FORD | OPPENHEIMER GLOBAL OPPORTUNITIES A | 0.00 | 1.41 | 0.00 | 1.41 | 90.0 | 1.27 |
| / / | KERN, RYDER | OPPENHEIMER GLOBAL OPPORTUNITIES A | 0.00 | 1.41 | 0.00 | 1.41 | 90.0 | 1.27 |
| / / | KERN, WESTON | OPPENHEIMER GLOBAL OPPORTUNITIES A | 0.00 | 1.41 | 0.00 | 1.41 | 90.0 | 1.27 |
| / / | KERN, ADELINE | OPPENHEIMER GLOBAL OPPORTUNITIES A | 0.00 | 0.70 | 0.00 | 0.70 | 90.0 | 0.63 |
| / / | KERN, BRADEY | OPPENHEIMER GLOBAL OPPORTUNITIES A | 0.00 | 0.70 | 0.00 | 0.70 | 90.0 | 0.63 |
| / / | FREISTROFFER, MERIDITH | OPPENHEIMER GLOBAL OPPORTUNITIES A | 0.00 | 6.39 | 0.00 | 6.39 | 90.0 | 5.75 |
| / / | HURLEY, JOHN | OPPENHEIMER GLOBAL OPPORTUNITIES A | 0.00 | 5.87 | 0.00 | 5.87 | 90.0 | 5.28 |
| / / | JOHNSON, MARGAUX | OPPENHEIMER GLOBAL OPPORTUNITIES A | 0.00 | 3.80 | 0.00 | 3.80 | 90.0 | 3.42 |
| / / | RIEBE, ALAN | OPPENHEIMER GLOBAL OPPORTUNITIES A | 0.00 | 1.00 | 0.00 | 1.00 | 90.0 | 0.90 |
| / / | FREISTROFFER, HENRY | OPPENHEIMER GLOBAL OPPORTUNITIES C | 0.00 | 13.55 | 0.00 | 13.55 | 90.0 | 12.20 |

NOTES: * - Indicates adjustment is not included in 1099 Earnings

** - Indicates adjustment is not included in Totals or Commissions

^Date - Split Trade - full Investment Amount & Gross Commission displayed

| DATE | CLIENT | INVESTMENT | INVESTMENT AMOUNT | GROSS COMMISSION | CLEARING CHARGE | NET COMMISSION | RATE | BROKER COMMISSION |
|---|------------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u>DIRECT TRANSACTIONS</u> | | | | | | | | |
| <u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u> | | | | | | | | |
| / / | AKPABIO, UWEM | OPPENHEIMER GLOBAL OPPORTUNITIES C | 0.00 | 28.10 | 0.00 | 28.10 | 90.0 | 25.29 |
| / / | OBERLIN, DOUGLAS | OPPENHEIMER GLOBAL OPPORTUNITIES C | 0.00 | 14.03 | 0.00 | 14.03 | 90.0 | 12.63 |
| / / | OBERLIN, DOUGLAS | OPPENHEIMER GLOBAL OPPORTUNITIES C | 0.00 | 5.60 | 0.00 | 5.60 | 90.0 | 5.04 |
| / / | DAVIS, GARY | OPPENHEIMER GLOBAL STRATEGIC INC A | 0.00 | 18.04 | 0.00 | 18.04 | 90.0 | 16.24 |
| / / | HELMBERGER, GENEVIEVE | OPPENHEIMER GLOBAL STRATEGIC INC A | 0.00 | 62.78 | 0.00 | 62.78 | 90.0 | 56.50 |
| / / | TEUBNER, KATHERINE | OPPENHEIMER GLOBAL STRATEGIC INC A | 0.00 | 23.02 | 0.00 | 23.02 | 90.0 | 20.72 |
| / / | ARCHER, GARY | OPPENHEIMER GLOBAL STRATEGIC INC C | 0.00 | 56.60 | 0.00 | 56.60 | 90.0 | 50.94 |
| / / | ANDERSON II, ROBERT | OPPENHEIMER GLOBAL STRATEGIC INC C | 0.00 | 115.43 | 0.00 | 115.43 | 90.0 | 103.89 |
| / / | SOLLOWAY, SHARON | OPPENHEIMER GLOBAL STRATEGIC INC C | 0.00 | 26.40 | 0.00 | 26.40 | 90.0 | 23.76 |
| / / | VAN DRUNEN, CATHERINE | OPPENHEIMER GLOBAL STRATEGIC INC C | 0.00 | 20.40 | 0.00 | 20.40 | 90.0 | 18.36 |
| / / | KERN, FORD | OPPENHEIMER GOLD & SPECIAL MINERALS | 0.00 | 1.18 | 0.00 | 1.18 | 90.0 | 1.06 |
| / / | KERN, RYDER | OPPENHEIMER GOLD & SPECIAL MINERALS | 0.00 | 1.18 | 0.00 | 1.18 | 90.0 | 1.06 |
| / / | KERN, WESTON | OPPENHEIMER GOLD & SPECIAL MINERALS | 0.00 | 1.18 | 0.00 | 1.18 | 90.0 | 1.06 |
| / / | KERN, ADELINE | OPPENHEIMER GOLD & SPECIAL MINERALS | 0.00 | 0.59 | 0.00 | 0.59 | 90.0 | 0.53 |
| / / | KERN, BRADEY | OPPENHEIMER GOLD & SPECIAL MINERALS | 0.00 | 0.59 | 0.00 | 0.59 | 90.0 | 0.53 |
| / / | AKPABIO, UWEM | OPPENHEIMER GOLD & SPECIAL MINERALS | 0.00 | 23.56 | 0.00 | 23.56 | 90.0 | 21.20 |
| / / | HORNBERGER, DEBORAH | OPPENHEIMER INTL DIVERSIFIED A | 0.00 | 21.25 | 0.00 | 21.25 | 90.0 | 19.13 |
| / / | JOHNSON, MARGAUX | OPPENHEIMER INTL DIVERSIFIED A | 0.00 | 3.33 | 0.00 | 3.33 | 90.0 | 3.00 |
| / / | LANGELIER, STEPHANE | OPPENHEIMER INTL DIVERSIFIED A | 0.00 | 1.34 | 0.00 | 1.34 | 90.0 | 1.21 |
| / / | AKPABIO, UWEM | OPPENHEIMER INTL DIVERSIFIED C | 0.00 | 51.61 | 0.00 | 51.61 | 90.0 | 46.45 |
| / / | OBERLIN, DOUGLAS | OPPENHEIMER INTL DIVERSIFIED C | 0.00 | 35.42 | 0.00 | 35.42 | 90.0 | 31.88 |
| / / | FREISTROFFER, HOLDEN | OPPENHEIMER INTL GROWTH A | 0.00 | 1.35 | 0.00 | 1.35 | 90.0 | 1.22 |
| / / | ANDERSON II, ROBERT | OPPENHEIMER PCHSTER INT TERM MUNI F | 0.00 | 36.74 | 0.00 | 36.74 | 90.0 | 33.07 |
| / / | AKPABIO, UWEM | OPPENHEIMER PTF SERIES EQUITY INVES | 0.00 | 30.84 | 0.00 | 30.84 | 90.0 | 27.76 |
| / / | AKPABIO, UWEM | OPPENHEIMER REAL ESTATE C | 0.00 | 9.45 | 0.00 | 9.45 | 90.0 | 8.51 |
| / / | AKPABIO, UWEM | OPPENHEIMER RISING DIVIDENDS C | 0.00 | 30.75 | 0.00 | 30.75 | 90.0 | 27.68 |
| / / | HELMBERGER, GENEVIEVE | OPPENHEIMER ROCHESTER INTERMEDIATE | 0.00 | 18.79 | 0.00 | 18.79 | 90.0 | 16.91 |
| / / | FREISTROFFER, MERIDITH | OPPENHEIMER SMALL MID CAP VALUE A | 0.00 | 5.38 | 0.00 | 5.38 | 90.0 | 4.84 |
| / / | KERN, ADELINE | OPPENHEIMER SMALL MID CAP VALUE A | 0.00 | 0.74 | 0.00 | 0.74 | 90.0 | 0.67 |
| / / | KERN, BRADEY | OPPENHEIMER SMALL MID CAP VALUE A | 0.00 | 0.74 | 0.00 | 0.74 | 90.0 | 0.67 |
| / / | KERN, FORD | OPPENHEIMER SMALL MID CAP VALUE A | 0.00 | 1.58 | 0.00 | 1.58 | 90.0 | 1.42 |
| / / | KERN, RYDER | OPPENHEIMER SMALL MID CAP VALUE A | 0.00 | 1.74 | 0.00 | 1.74 | 90.0 | 1.57 |
| / / | KERN, WESTON | OPPENHEIMER SMALL MID CAP VALUE A | 0.00 | 1.74 | 0.00 | 1.74 | 90.0 | 1.57 |

NOTES: * - Indicates adjustment is not included in 1099 Earnings

** - Indicates adjustment is not included in Totals or Commissions

^Date - Split Trade - full Investment Amount & Gross Commission displayed

| DATE | CLIENT | INVESTMENT | INVESTMENT AMOUNT | GROSS COMMISSION | CLEARING CHARGE | NET COMMISSION | RATE | BROKER COMMISSION |
|--|-------------------|-----------------------------------|------------------------|---------------------|--------------------|--------------------|------|----------------------|
| <u>DIRECT TRANSACTIONS</u> | | | | | | | | |
| PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS | | | | | | | | |
| / / | OBERLIN, DOUGLAS | OPPENHEIMER SMALL MID CAP VALUE C | 0.00 | 12.55 | 0.00 | 12.55 | 90.0 | 11.30 |
| 12/19/2017 | HELMBERGER, GENNA | SAMMONS MF TRAILS | 0.00 | 6.02 | 0.00 | 6.02 | 90.0 | 5.42 |
| 12/28/2017 | KERN, BRIAN | SAMMONS MF TRAILS | 0.00 | 12.19 | 0.00 | 12.19 | 90.0 | 10.97 |
| * MUTUAL FUND 12B1 TRAILS SUBTOTAL * | | | \$0.00 | \$1,370.36 | \$0.00 | \$1,370.36 | | \$1,233.41 |
| *** DIRECT TRANSACTIONS TOTAL *** | | | \$13,261,537.40 | \$17,170.35 | \$0.00 | \$17,170.35 | | \$15,453.45 |

ADJUSTMENTS

| | | | | | | | | |
|----------------------------------|-------------------------------------|------|---------------|---------------|---------------|---------------|--|------------------|
| 01/15/2018 | *E & O INSURANCE: CURRENT MONTH INS | 0.00 | | | | | | -300.00 |
| 01/15/2018 | *TECHNOLOGY: ADMIN - LEESA KERN | 0.00 | | | | | | -130.00 |
| 01/15/2018 | *TECHNOLOGY: CURRENT MONTH BASIC | 0.00 | | | | | | -180.00 |
| *** ADJUSTMENTS TOTAL *** | | | \$0.00 | \$0.00 | \$0.00 | \$0.00 | | \$-610.00 |

BROKER COMMISSION TOTALS

| | |
|-----------------------|-------------|
| Broker Transactions | \$15,453.45 |
| Split Transactions | \$0.00 |
| Override Transactions | \$0.00 |
| Adjustments | \$-610.00 |
| Payroll Draw | \$0.00 |
| Base Salary | \$0.00 |
| Prior Period Balance | \$0.00 |
| FINRA Assessment | \$0.00 |
| SIPC Assessment | \$0.00 |

| | |
|------------------------------|--------------------|
| Check Amount | \$14,843.45 |
| Year-to-date Gross | \$17,170.35 |
| Year-to-date Earnings | \$15,453.45 |

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