



Concorde Investment Services, LLC
COMMISSION STATEMENT
January 17, 2017

01/13/2017
 Page No. 1

101 CFGROUP/KOSANKE
 1120 E. Long Lake Road
 Suite 250
 Troy, MI 48085

BROKER #: 101
BRANCH: CONCORDE FINANCIAL G

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
12/20/2016	BRADEN, TERRI	ALLIANCEBERNSTEIN GROWTH B	50.00	2.00	0.00	2.00	95.0	1.90
12/27/2016	SILVERSTEIN, MICHAEL	AM FUNDS AMCAP A	50.00	2.13	0.00	2.13	95.0	2.02
^01/03/2017	FROMM, MARY	AM FUNDS CAPITAL INCOME BUILDER 529	50.00	2.50	0.00	2.50	95.0	0.00
^01/03/2017	FROMM, MARY	AM FUNDS CAPITAL INCOME BUILDER 529	50.00	2.50	0.00	2.50	95.0	0.00
^01/03/2017	FROMM, MARY	AM FUNDS CAPITAL INCOME BUILDER 529	50.00	2.50	0.00	2.50	95.0	0.00
01/03/2017	JOHNSON, RODNEY	AM FUNDS CAPITAL INCOME BUILDER C	100.00	1.00	0.00	1.00	95.0	0.95
01/03/2017	JOHNSON, RODNEY	AM FUNDS CAPITAL INCOME BUILDER C	100.00	1.00	0.00	1.00	95.0	0.95
12/27/2016	LUMETTA II, SALVATORE	AM FUNDS CAPITAL WORLD BOND 529A	100.00	2.75	0.00	2.75	95.0	2.61
12/27/2016	LUMETTA II, SALVATORE	AM FUNDS CAPITAL WORLD BOND 529A	100.00	2.75	0.00	2.75	95.0	2.61
12/27/2016	LUMETTA, AMY	AM FUNDS CAPITAL WORLD BOND A	100.00	2.75	0.00	2.75	95.0	2.61
01/03/2017	SAWYER, ALONZO	AM FUNDS GROWTH FUND OF AMERICA 529	50.00	2.13	0.00	2.13	95.0	2.02
01/03/2017	SAWYER, ALONZO	AM FUNDS GROWTH FUND OF AMERICA 529	50.00	2.13	0.00	2.13	95.0	2.02
01/03/2017	SAWYER, ALONZO	AM FUNDS GROWTH FUND OF AMERICA 529	50.00	2.13	0.00	2.13	95.0	2.02
01/03/2017	BAILEY, STEVEN	AM FUNDS GROWTH FUND OF AMERICA A	50.00	2.50	0.00	2.50	95.0	2.38
01/03/2017	KEMP, JEREMY	AM FUNDS GROWTH FUND OF AMERICA A	50.00	2.13	0.00	2.13	95.0	2.02
12/29/2016	SOBIESKI, JOYCE	AM FUNDS GROWTH FUND OF AMERICA C	37.50	0.38	0.00	0.38	95.0	0.36
12/30/2016	WONCH, ELIZABETH	AM FUNDS ICA A	200.00	10.00	0.00	10.00	95.0	9.50
01/03/2017	BAILEY, STEVEN	AM FUNDS ICA A	50.00	2.50	0.00	2.50	95.0	2.38
^01/03/2017	MCLAUGHLIN, TRACY	AM FUNDS ICA A	150.00	7.50	0.00	7.50	95.0	0.00
^01/03/2017	FOLLETT, JACOB	AM FUNDS NEW ECONOMY 529A	100.00	5.00	0.00	5.00	95.0	0.00
^01/03/2017	FOLLETT, JACOB	AM FUNDS NEW ECONOMY 529A	100.00	5.00	0.00	5.00	95.0	0.00
01/03/2017	RICHARDS, COLE	AM FUNDS NEW WORLD 529A	100.00	5.00	0.00	5.00	95.0	4.75
^01/03/2017	MOWINSKI, VINCENZO	AM FUNDS NEW WORLD C	150.00	1.50	0.00	1.50	95.0	0.00
01/03/2017	MOWINSKI, SERGIO	AM FUNDS NEW WORLD C	150.00	1.50	0.00	1.50	95.0	1.43
12/29/2016	SOBIESKI, JOYCE	AM FUNDS WASHINGTON MUTUAL INVESTOR	37.50	0.38	0.00	0.38	95.0	0.36
12/29/2016	BAKER, JEAN-ANNE	BLK AGG 10-12 AGE BASED A	100.00	0.50	0.00	0.50	95.0	0.48

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

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
12/29/2016	BAKER, JEAN-ANNE	BLK AGG 10-12 AGE BASED A	100.00	0.50	0.00	0.50	95.0	0.48
12/27/2016	GAWTHROP, NANCY	BLK MOD 0-5 AGE BASED C	500.00	5.00	0.00	5.00	95.0	4.75
12/27/2016	GAWTHROP, NANCY	BLK MOD 0-5 AGE BASED C	500.00	5.00	0.00	5.00	95.0	4.75
12/27/2016	WETZEL, DIANNE	BLK MOD 0-5 AGE BASED C	50.00	0.50	0.00	0.50	95.0	0.48
12/29/2016	BAKER, JEAN-ANNE	BLK MOD 0-5 AGE BASED C	100.00	1.00	0.00	1.00	95.0	0.95
12/30/2016	WETZEL, DIANNE	BLK MOD 0-5 AGE BASED C	50.00	0.50	0.00	0.50	95.0	0.48
12/30/2016	CFGROUP, VARIOUS	BLK MOD 0-5 AGE BASED C	50.00	0.50	0.00	0.50	95.0	0.48
12/16/2016	HOOTNER-JONES, ANN	BLK MOD 10-12 AGE BASED A	100.00	3.75	0.00	3.75	95.0	3.56
12/16/2016	HOOTNER-JONES, ANN	BLK MOD 10-12 AGE BASED A	100.00	3.75	0.00	3.75	95.0	3.56
12/27/2016	GAWTHROP, NANCY	BLK MOD 10-12 AGE BASED C	500.00	5.00	0.00	5.00	95.0	4.75
12/30/2016	MOELLER, RICHARD	BLK MOD 10-12 AGE BASED C	50.00	0.50	0.00	0.50	95.0	0.48
12/16/2016	HOOTNER-JONES, ANN	BLK MOD 13-16 AGE BASED A	100.00	3.75	0.00	3.75	95.0	3.56
12/27/2016	GAWTHROP, NANCY	BLK MOD 13-16 AGE BASED C	500.00	5.00	0.00	5.00	95.0	4.75
12/27/2016	GAWTHROP, NANCY	BLK MOD 6-9 AGE BASED C	500.00	5.00	0.00	5.00	95.0	4.75
12/27/2016	GAWTHROP, NANCY	BLK MOD 6-9 AGE BASED C	500.00	5.00	0.00	5.00	95.0	4.75
12/30/2016	MOELLER, RICHARD	BLK MOD 6-9 AGE BASED C	50.00	0.50	0.00	0.50	95.0	0.48
12/30/2016	MOELLER, RICHARD	BLK MOD 6-9 AGE BASED C	50.00	0.50	0.00	0.50	95.0	0.48
/ /	BLEIL, STEPHEN	FIDELITY ADV GOLD	0.00	0.08	0.00	0.08	95.0	0.08
/ /	ROCCA, JACQUELYN	FIDELITY ADV GROWTH OPP	0.00	0.42	0.00	0.42	95.0	0.40
/ /	ROCCA, ALEX	FIDELITY ADV GROWTH OPP	0.00	0.53	0.00	0.53	95.0	0.50
/ /	ROCCA, AARON	FIDELITY ADV GROWTH OPP	0.00	0.53	0.00	0.53	95.0	0.50
/ /	MCQUEENEY, JULIE	FIDELITY ADV GROWTH OPP	0.00	0.86	0.00	0.86	95.0	0.82
/ /	FELIS-ROSS, CAROL	FIDELITY ADV GROWTH OPP	0.00	0.10	0.00	0.10	95.0	0.10
/ /	SCALISE, CYNTHIA	FIDELITY ADV GROWTH OPP	0.00	1.00	0.00	1.00	95.0	0.95
/ /	DUDZIK, ELZBIETA	FIDELITY ADV GROWTH OPP	0.00	23.15	0.00	23.15	95.0	21.99
/ /	KULBACK, WILLIAM	FIDELITY ADV GROWTH OPP A	0.00	3.19	0.00	3.19	95.0	3.03
/ /	VIVIANO, JASON	FIDELITY ADV GROWTH OPP A	0.00	1.42	0.00	1.42	95.0	1.35
/ /	MCCALPIN, ROBERT JOHN	FIDELITY ADV HEALTH CARE T	0.00	10.64	0.00	10.64	95.0	10.11
/ /	MCCALPIN, ROBERT JOHN	FIDELITY ADV LARGE CAP	0.00	8.61	0.00	8.61	95.0	8.18
/ /	KULBACK, WILLIAM	FIDELITY ADV LARGE CAP A	0.00	4.84	0.00	4.84	95.0	4.60
/ /	HERWARTH, CHARLES	FIDELITY ADV LARGE CAP A	0.00	1.71	0.00	1.71	95.0	1.62
/ /	FELIS-ROSS, CAROL	FIDELITY ADV MORTGAGE SECURITIES T	0.00	0.16	0.00	0.16	95.0	0.15
/ /	SCALISE, CYNTHIA	FIDELITY ADV MORTGAGE SECURITIES T	0.00	1.61	0.00	1.61	95.0	1.53

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
/ /	KULBACK, WILLIAM	FIDELITY ADV STOCK SELECTOR ALLCAP	0.00	3.54	0.00	3.54	95.0	3.36
/ /	HERWARTH, CHARLES	FIDELITY ADV STOCK SELECTOR ALLCAP	0.00	1.79	0.00	1.79	95.0	1.70
/ /	DUDZIK, ELZBIETA	FIDELITY BALANCED T	0.00	19.23	0.00	19.23	95.0	18.27
/ /	ROCCA, JACQUELYN	FIDELITY EMERGING MARKETS	0.00	0.10	0.00	0.10	95.0	0.10
/ /	ROCCA, ALEX	FIDELITY EMERGING MARKETS	0.00	0.08	0.00	0.08	95.0	0.08
/ /	ROCCA, AARON	FIDELITY EMERGING MARKETS	0.00	0.08	0.00	0.08	95.0	0.08
/ /	DUDZIK, ELZBIETA	FIDELITY EMERGING MARKETS	0.00	3.36	0.00	3.36	95.0	3.19
/ /	ROCCA, JACQUELYN	FIDELITY EMERGING MKTS T	0.00	0.20	0.00	0.20	95.0	0.19
/ /	ROCCA, ALEX	FIDELITY EMERGING MKTS T	0.00	0.12	0.00	0.12	95.0	0.11
/ /	ROCCA, AARON	FIDELITY EMERGING MKTS T	0.00	0.12	0.00	0.12	95.0	0.11
/ /	DUDZIK, ELZBIETA	FIDELITY EMERGING MKTS T	0.00	5.17	0.00	5.17	95.0	4.91
/ /	KULBACK, WILLIAM	FIDELITY EQUITY GROWTH A	0.00	4.09	0.00	4.09	95.0	3.89
/ /	HERWARTH, CHARLES	FIDELITY EQUITY GROWTH A	0.00	1.47	0.00	1.47	95.0	1.40
/ /	BESS, JAMES	FIDELITY EQUITY GROWTH A	0.00	2.23	0.00	2.23	95.0	2.12
/ /	ZOBOSKI, JAYNE	FIDELITY EQUITY INCOME A	0.00	3.36	0.00	3.36	95.0	3.19
/ /	FRINTNER, SEAN EDWARD	FIDELITY EQUITY INCOME A	0.00	1.17	0.00	1.17	95.0	1.11
/ /	ZERILLI, ROSA	FIDELITY GROWTH & INCOME A	0.00	1.41	0.00	1.41	95.0	1.34
/ /	HERWARTH, CHARLES	FIDELITY TECHNOLOGY A	0.00	1.07	0.00	1.07	95.0	1.02
/ /	ZERILLI, ROSA	FIDELITY TECHNOLOGY A	0.00	1.29	0.00	1.29	95.0	1.23
/ /	ROHLOFF, SHARON	FIDELITY TECHNOLOGY A	0.00	0.45	0.00	0.45	95.0	0.43
/ /	BEARD, LATOYA	FIDELITY TECHNOLOGY A	0.00	0.02	0.00	0.02	95.0	0.02
/ /	KRAUSE, BARBARA	FIRST INVESTORS MULTI STATE INSD TA	0.00	101.53	0.00	101.53	95.0	96.45
12/22/2016	TYSZKIEWICZ, KURT	FRANKLIN GROWTH C	100.00	1.00	0.00	1.00	95.0	0.95
/ /	BERDESKI, AUDREY	GUGGENHEIM NASDAQ 100-H	0.00	0.91	0.00	0.91	95.0	0.86
/ /	KANAKRI, JOSEPH	GUGGENHEIM NASDAQ 100-H	0.00	0.41	0.00	0.41	95.0	0.39
/ /	WAGNER, SHARON	GUGGENHEIM NASDAQ 100-H	0.00	0.30	0.00	0.30	95.0	0.29
/ /	OVERMYER, SUSAN	HARTFORD CAPITAL APP II A	0.00	7.16	0.00	7.16	95.0	6.80
/ /	ROCCA, HELEN	HARTFORD CAPITAL APPRECIATION A	0.00	0.57	0.00	0.57	95.0	0.54
/ /	HARTMAN, GREGORY	HARTFORD CAPITAL APPRECIATION A	0.00	1.15	0.00	1.15	95.0	1.09
/ /	GARON-NOWACZYK TRUST, KIM	HARTFORD CAPITAL APPRECIATION C	0.00	4.75	0.00	4.75	95.0	4.51
/ /	OVERMYER, SUSAN	HARTFORD DIVIDEND & GROWTH A	0.00	21.17	0.00	21.17	95.0	20.11
/ /	COLE, JAMES WILLIAM	HARTFORD DIVIDEND & GROWTH C	0.00	12.05	0.00	12.05	95.0	11.45
/ /	HARTMAN, GREGORY	HARTFORD HEALTHCARE A	0.00	0.96	0.00	0.96	95.0	0.91

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
/ /	OVERMYER, SUSAN	HARTFORD HEALTHCARE A	0.00	33.76	0.00	33.76	95.0	32.07
/ /	RUFFINO, ERNESTINE	HARTFORD HEALTHCARE A	0.00	18.03	0.00	18.03	95.0	17.13
/ /	GARON-NOWACZYK TRUST, KIM	HARTFORD HEALTHCARE C	0.00	4.21	0.00	4.21	95.0	4.00
/ /	HARTMAN, GREGORY	HARTFORD MIDCAP A	0.00	1.83	0.00	1.83	95.0	1.74
/ /	OVERMYER, SUSAN	HARTFORD MIDCAP A	0.00	22.92	0.00	22.92	95.0	21.77
/ /	GARON-NOWACZYK TRUST, KIM	HARTFORD MIDCAP C	0.00	4.11	0.00	4.11	95.0	3.90
/ /	HARTMAN, GREGORY	HARTFORD MIDCAP VALUE A	0.00	1.11	0.00	1.11	95.0	1.05
/ /	HARTMAN, GREGORY	HARTFORD SCHRDRS US SM MD CAP OPP-A	0.00	0.94	0.00	0.94	95.0	0.89
/ /	HARTMAN, GREGORY	HARTFORD SMALLCAP GROWTH A	0.00	3.59	0.00	3.59	95.0	3.41
/ /	HARTMAN, GREGORY	HARTFUND EQUITY INCIME FUND A	0.00	1.35	0.00	1.35	95.0	1.28
01/05/2017	BERGLUND, KRIS	INVESCO AMERICAN FRANCHISE A	50.00	2.50	0.00	2.50	95.0	2.38
12/27/2016	DAIZA, PHILLIP	INVESCO CHARTER FUND C	50.00	0.50	0.00	0.50	95.0	0.48
/ /	KOSANKE, LORI	OPPENHEIMER CAPITAL APPRECIATION A	0.00	4.06	0.00	4.06	95.0	3.86
/ /	HOLT, DEBBIE	OPPENHEIMER CAPITAL APPRECIATION A	0.00	56.33	0.00	56.33	95.0	53.51
/ /	POOLEY, TATIANA	OPPENHEIMER CAPITAL APPRECIATION A	0.00	0.03	0.00	0.03	95.0	0.03
/ /	KRAYDICH, KELLIE	OPPENHEIMER CAPITAL APPRECIATION A	0.00	0.12	0.00	0.12	95.0	0.11
/ /	TRINH, CHRISTINE	OPPENHEIMER CAPITAL APPRECIATION A	0.00	2.24	0.00	2.24	95.0	2.13
/ /	LEPPEK, JUDITH	OPPENHEIMER CAPITAL APPRECIATION A	0.00	12.50	0.00	12.50	95.0	11.88
/ /	KEECH, SCOTT	OPPENHEIMER CAPITAL APPRECIATION A	0.00	8.16	0.00	8.16	95.0	7.75
/ /	KOSANKE, MARK	OPPENHEIMER CAPITAL APPRECIATION A	0.00	3.44	0.00	3.44	95.0	3.27
/ /	MAYNARD, JULIE	OPPENHEIMER CAPITAL APPRECIATION A	0.00	12.23	0.00	12.23	95.0	11.62
/ /	SOLDAN, JULIE	OPPENHEIMER CAPITAL APPRECIATION A	0.00	11.85	0.00	11.85	95.0	11.26
/ /	WATKINS, KATHRYN	OPPENHEIMER CAPITAL APPRECIATION A	0.00	6.31	0.00	6.31	95.0	5.99
/ /	RUFFIN, JOHN	OPPENHEIMER CAPITAL APPRECIATION A	0.00	12.11	0.00	12.11	95.0	11.50
/ /	YOUNG, RICK	OPPENHEIMER CAPITAL APPRECIATION A	0.00	2.95	0.00	2.95	95.0	2.80
/ /	NEUER-MIHALAK, LORIE	OPPENHEIMER CAPITAL APPRECIATION A	0.00	3.29	0.00	3.29	95.0	3.13
/ /	CAPWELL, MARK	OPPENHEIMER CAPITAL APPRECIATION A	0.00	10.15	0.00	10.15	95.0	9.64
/ /	SCHULTZ, DEBRA	OPPENHEIMER CAPITAL APPRECIATION A	0.00	17.00	0.00	17.00	95.0	16.15
/ /	TAKACS, RYAN	OPPENHEIMER CAPITAL APPRECIATION A	0.00	3.72	0.00	3.72	95.0	3.53
/ /	HICKS, MELISSA	OPPENHEIMER CAPITAL APPRECIATION A	0.00	0.18	0.00	0.18	95.0	0.17
/ /	BUTLER, SANDRA	OPPENHEIMER CAPITAL APPRECIATION A	0.00	0.04	0.00	0.04	95.0	0.04
/ /	JOUPPI, SHARON	OPPENHEIMER CAPITAL APPRECIATION A	0.00	14.41	0.00	14.41	95.0	13.69
12/20/2016	KRAYDICH, KELLIE	OPPENHEIMER CAPITAL APPRECIATION A	30.00	1.43	0.00	1.43	95.0	1.36

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
12/20/2016	KRAYDICH, KELLIE	OPPENHEIMER CAPITAL APPRECIATION A	27.02	1.28	0.00	1.28	95.0	1.22
12/20/2016	LEPPEK, JUDITH	OPPENHEIMER CAPITAL APPRECIATION A	50.00	2.00	0.00	2.00	95.0	1.90
12/20/2016	LEPPEK, JUDITH	OPPENHEIMER CAPITAL APPRECIATION A	43.74	1.75	0.00	1.75	95.0	1.66
/ /	WATKINS, KATHRYN	OPPENHEIMER CAPITAL APPRECIATION B	0.00	0.36	0.00	0.36	95.0	0.34
/ /	BUTLER, MICHAEL	OPPENHEIMER CAPITAL APPRECIATION B	0.00	0.15	0.00	0.15	95.0	0.14
/ /	SCHULTZ, DEBRA	OPPENHEIMER CAPITAL APPRECIATION B	0.00	3.19	0.00	3.19	95.0	3.03
/ /	HICKS, MELISSA	OPPENHEIMER CAPITAL APPRECIATION B	0.00	0.06	0.00	0.06	95.0	0.06
/ /	BAKER, STEVEN	OPPENHEIMER CAPITAL APPRECIATION B	0.00	1.31	0.00	1.31	95.0	1.24
/ /	GALLAS, MICHAEL	OPPENHEIMER CAPITAL APPRECIATION C	0.00	11.87	0.00	11.87	95.0	11.28
/ /	YOUNG, RICK	OPPENHEIMER CAPITAL APPRECIATION C	0.00	5.30	0.00	5.30	95.0	5.04
/ /	RENTROP, GARRETT	OPPENHEIMER CAPITAL APPRECIATION C	0.00	16.60	0.00	16.60	95.0	15.77
/ /	DITRI, ANN	OPPENHEIMER CAPITAL APPRECIATION C	0.00	9.40	0.00	9.40	95.0	8.93
/ /	DINKA, JOHN	OPPENHEIMER CAPITAL APPRECIATION C	0.00	64.79	0.00	64.79	95.0	61.55
/ /	BUTLER, MICHAEL	OPPENHEIMER CAPITAL APPRECIATION C	0.00	0.61	0.00	0.61	95.0	0.58
/ /	SCHULTZ, DEBRA	OPPENHEIMER CAPITAL APPRECIATION C	0.00	23.39	0.00	23.39	95.0	22.22
/ /	HICKS, MELISSA	OPPENHEIMER CAPITAL APPRECIATION C	0.00	5.20	0.00	5.20	95.0	4.94
/ /	BAKER, STEVEN	OPPENHEIMER CAPITAL APPRECIATION C	0.00	14.35	0.00	14.35	95.0	13.63
/ /	HENRY, JACQUELINE	OPPENHEIMER CAPITAL APPRECIATION C	0.00	4.13	0.00	4.13	95.0	3.92
/ /	JOHNSTON, HEATHER	OPPENHEIMER CAPITAL APPRECIATION C	0.00	2.30	0.00	2.30	95.0	2.19
/ /	KOGUT, MONICA	OPPENHEIMER CAPITAL APPRECIATION C	0.00	2.27	0.00	2.27	95.0	2.16
/ /	HOWEY, JESSICA	OPPENHEIMER CAPITAL APPRECIATION C	0.00	0.04	0.00	0.04	95.0	0.04
12/20/2016	RENTROP, GARRETT	OPPENHEIMER CAPITAL APPRECIATION C	32.30	0.32	0.00	0.32	95.0	0.30
12/20/2016	RENTROP, GARRETT	OPPENHEIMER CAPITAL APPRECIATION C	32.30	0.32	0.00	0.32	95.0	0.30
12/20/2016	DITRI, ANN	OPPENHEIMER CAPITAL APPRECIATION C	204.00	2.04	0.00	2.04	95.0	1.94
12/20/2016	DITRI, ANN	OPPENHEIMER CAPITAL APPRECIATION C	87.87	0.88	0.00	0.88	95.0	0.84
12/20/2016	BAKER, STEVEN	OPPENHEIMER CAPITAL APPRECIATION C	58.12	0.58	0.00	0.58	95.0	0.55
12/20/2016	BAKER, STEVEN	OPPENHEIMER CAPITAL APPRECIATION C	59.24	0.59	0.00	0.59	95.0	0.56
12/27/2016	ELIAS, JANICE	OPPENHEIMER CAPITAL APPRECIATION C	23.50	0.24	0.00	0.24	95.0	0.23
12/27/2016	ELIAS, JANICE	OPPENHEIMER CAPITAL APPRECIATION C	21.27	0.21	0.00	0.21	95.0	0.20
12/27/2016	ELIAS, JANICE	OPPENHEIMER CAPITAL APPRECIATION C	14.10	0.14	0.00	0.14	95.0	0.13
12/27/2016	ELIAS, JANICE	OPPENHEIMER CAPITAL APPRECIATION C	12.77	0.13	0.00	0.13	95.0	0.12
/ /	KRAYDICH, KELLIE	OPPENHEIMER CAPITAL INCOME A	0.00	0.15	0.00	0.15	95.0	0.14
/ /	LEPPEK, JUDITH	OPPENHEIMER CAPITAL INCOME A	0.00	10.24	0.00	10.24	95.0	9.73

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
12/20/2016	KRAYDICH, KELLIE	OPPENHEIMER CAPITAL INCOME A	30.00	1.43	0.00	1.43	95.0	1.36
12/20/2016	KRAYDICH, KELLIE	OPPENHEIMER CAPITAL INCOME A	27.02	1.28	0.00	1.28	95.0	1.22
12/20/2016	LEPPEK, JUDITH	OPPENHEIMER CAPITAL INCOME A	50.00	2.00	0.00	2.00	95.0	1.90
12/20/2016	LEPPEK, JUDITH	OPPENHEIMER CAPITAL INCOME A	43.74	1.75	0.00	1.75	95.0	1.66
/ /	SCHULTZ, DEBRA	OPPENHEIMER DEVELOPING MARKETS A	0.00	8.33	0.00	8.33	95.0	7.91
/ /	SCHULTZ, DEBRA	OPPENHEIMER DEVELOPING MARKETS B	0.00	1.00	0.00	1.00	95.0	0.95
/ /	DAMORE, MONICA	OPPENHEIMER DEVELOPING MARKETS C	0.00	2.50	0.00	2.50	95.0	2.38
/ /	SCHULTZ, DEBRA	OPPENHEIMER DEVELOPING MARKETS C	0.00	9.10	0.00	9.10	95.0	8.65
12/27/2016	DAMORE, MONICA	OPPENHEIMER DEVELOPING MARKETS C	54.40	0.54	0.00	0.54	95.0	0.51
12/27/2016	DAMORE, MONICA	OPPENHEIMER DEVELOPING MARKETS C	38.12	0.38	0.00	0.38	95.0	0.36
12/27/2016	DAMORE, MONICA	OPPENHEIMER DEVELOPING MARKETS C	9.60	0.10	0.00	0.10	95.0	0.10
12/27/2016	DAMORE, MONICA	OPPENHEIMER DEVELOPING MARKETS C	6.73	0.07	0.00	0.07	95.0	0.07
/ /	BOYD, SONYA	OPPENHEIMER DISCOVERY A	0.00	0.75	0.00	0.75	95.0	0.71
/ /	KEECH, SCOTT	OPPENHEIMER DISCOVERY A	0.00	3.25	0.00	3.25	95.0	3.09
/ /	KOLDERMAN, ETHAN	OPPENHEIMER DISCOVERY A	0.00	3.56	0.00	3.56	95.0	3.38
/ /	KOLDERMAN, NATHAN	OPPENHEIMER DISCOVERY A	0.00	4.06	0.00	4.06	95.0	3.86
/ /	YOUNG, RICK	OPPENHEIMER DISCOVERY A	0.00	7.92	0.00	7.92	95.0	7.52
/ /	LABAZA, LYNN	OPPENHEIMER DISCOVERY A	0.00	4.34	0.00	4.34	95.0	4.12
/ /	LABAZA, JOHN	OPPENHEIMER DISCOVERY A	0.00	4.34	0.00	4.34	95.0	4.12
/ /	KOSANKE, MARK	OPPENHEIMER DISCOVERY A	0.00	2.97	0.00	2.97	95.0	2.82
/ /	YOUNG, RICK	OPPENHEIMER DISCOVERY C	0.00	13.26	0.00	13.26	95.0	12.60
/ /	DAMORE, MONICA	OPPENHEIMER DISCOVERY C	0.00	3.13	0.00	3.13	95.0	2.97
/ /	LABAZA, LYNN	OPPENHEIMER DISCOVERY C	0.00	35.72	0.00	35.72	95.0	33.93
/ /	LABAZA, JOHN	OPPENHEIMER DISCOVERY C	0.00	35.72	0.00	35.72	95.0	33.93
12/27/2016	DAMORE, MONICA	OPPENHEIMER DISCOVERY C	54.40	0.54	0.00	0.54	95.0	0.51
12/27/2016	DAMORE, MONICA	OPPENHEIMER DISCOVERY C	38.12	0.38	0.00	0.38	95.0	0.36
12/27/2016	DAMORE, MONICA	OPPENHEIMER DISCOVERY C	9.60	0.10	0.00	0.10	95.0	0.10
12/27/2016	DAMORE, MONICA	OPPENHEIMER DISCOVERY C	6.73	0.07	0.00	0.07	95.0	0.07
/ /	TATUM, PATICIA	OPPENHEIMER EQUITY A	0.00	0.52	0.00	0.52	95.0	0.49
/ /	DINKA, CATHERINE	OPPENHEIMER EQUITY A	0.00	4.51	0.00	4.51	95.0	4.28
/ /	GOLD, LORNE	OPPENHEIMER EQUITY A	0.00	10.17	0.00	10.17	95.0	9.66
/ /	KOSANKE, MARK	OPPENHEIMER EQUITY A	0.00	2.75	0.00	2.75	95.0	2.61
/ /	DINKA, CATHERINE	OPPENHEIMER EQUITY B	0.00	5.14	0.00	5.14	95.0	4.88

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
/ /	NEED, GREGORY	OPPENHEIMER EQUITY C	0.00	31.89	0.00	31.89	95.0	30.30
/ /	DINKA, CATHERINE	OPPENHEIMER EQUITY C	0.00	44.83	0.00	44.83	95.0	42.59
/ /	KOSANKE, LORI	OPPENHEIMER EQUITY INCOME A	0.00	4.30	0.00	4.30	95.0	4.09
/ /	POOLEY, TATIANA	OPPENHEIMER EQUITY INCOME A	0.00	0.03	0.00	0.03	95.0	0.03
/ /	GOLD, LORNE	OPPENHEIMER EQUITY INCOME A	0.00	4.72	0.00	4.72	95.0	4.48
/ /	DAMORE, MONICA	OPPENHEIMER EQUITY INCOME C	0.00	6.16	0.00	6.16	95.0	5.85
/ /	JOHNSTON, HEATHER	OPPENHEIMER EQUITY INCOME C	0.00	2.17	0.00	2.17	95.0	2.06
/ /	KOGUT, MONICA	OPPENHEIMER EQUITY INCOME C	0.00	2.16	0.00	2.16	95.0	2.05
12/27/2016	DAMORE, MONICA	OPPENHEIMER EQUITY INCOME C	108.81	1.09	0.00	1.09	95.0	1.04
12/27/2016	DAMORE, MONICA	OPPENHEIMER EQUITY INCOME C	76.24	0.76	0.00	0.76	95.0	0.72
12/27/2016	DAMORE, MONICA	OPPENHEIMER EQUITY INCOME C	19.20	0.19	0.00	0.19	95.0	0.18
12/27/2016	DAMORE, MONICA	OPPENHEIMER EQUITY INCOME C	13.45	0.13	0.00	0.13	95.0	0.12
/ /	SMOLAREK, CHERYL	OPPENHEIMER EQUITY INVESTOR B	0.00	3.24	0.00	3.24	95.0	3.08
/ /	PURCELL, JOSHUA	OPPENHEIMER GLOBAL A	0.00	0.49	0.00	0.49	95.0	0.47
/ /	ROSENBERG, MARCY	OPPENHEIMER GLOBAL A	0.00	12.53	0.00	12.53	95.0	11.90
/ /	GOLD, LORNE	OPPENHEIMER GLOBAL A	0.00	5.83	0.00	5.83	95.0	5.54
/ /	STIRSMAN, MATTHEW	OPPENHEIMER GLOBAL A	0.00	17.01	0.00	17.01	95.0	16.16
/ /	TAKACS, RYAN	OPPENHEIMER GLOBAL A	0.00	3.60	0.00	3.60	95.0	3.42
/ /	CRANDALL, MEGAN	OPPENHEIMER GLOBAL ALLOCATION A	0.00	0.11	0.00	0.11	95.0	0.10
/ /	MAYNARD, JULIE	OPPENHEIMER GLOBAL ALLOCATION A	0.00	9.88	0.00	9.88	95.0	9.39
/ /	SOLDAN, JULIE	OPPENHEIMER GLOBAL ALLOCATION A	0.00	9.09	0.00	9.09	95.0	8.64
/ /	MICHAELS, CHRISTINA	OPPENHEIMER GLOBAL ALLOCATION A	0.00	3.63	0.00	3.63	95.0	3.45
/ /	DITRI, ANN	OPPENHEIMER GLOBAL C	0.00	8.96	0.00	8.96	95.0	8.51
/ /	HENRY, JACQUELINE	OPPENHEIMER GLOBAL C	0.00	3.75	0.00	3.75	95.0	3.56
12/20/2016	DITRI, ANN	OPPENHEIMER GLOBAL C	198.00	1.98	0.00	1.98	95.0	1.88
12/20/2016	DITRI, ANN	OPPENHEIMER GLOBAL C	85.28	0.85	0.00	0.85	95.0	0.81
12/27/2016	ELIAS, JANICE	OPPENHEIMER GLOBAL C	22.81	0.23	0.00	0.23	95.0	0.22
12/27/2016	ELIAS, JANICE	OPPENHEIMER GLOBAL C	20.65	0.21	0.00	0.21	95.0	0.20
12/27/2016	ELIAS, JANICE	OPPENHEIMER GLOBAL C	13.69	0.14	0.00	0.14	95.0	0.13
12/27/2016	ELIAS, JANICE	OPPENHEIMER GLOBAL C	12.39	0.12	0.00	0.12	95.0	0.11
/ /	KOSANKE, MARK	OPPENHEIMER GLOBAL OPPORTUNITIES A	0.00	3.24	0.00	3.24	95.0	3.08
/ /	MIKLEVICH, MICHAEL	OPPENHEIMER GLOBAL OPPORTUNITIES A	0.00	15.60	0.00	15.60	95.0	14.82
/ /	MAYNARD, JULIE	OPPENHEIMER GLOBAL OPPORTUNITIES A	0.00	13.13	0.00	13.13	95.0	12.47

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
/ /	ZYREK, DARLENE	OPPENHEIMER GLOBAL OPPORTUNITIES A	0.00	40.86	0.00	40.86	95.0	38.82
/ /	MERRITT, MARY LOU	OPPENHEIMER GLOBAL OPPORTUNITIES A	0.00	13.26	0.00	13.26	95.0	12.60
/ /	MCCOLLEY, SHEA	OPPENHEIMER GLOBAL OPPORTUNITIES A	0.00	19.15	0.00	19.15	95.0	18.19
/ /	DINKA, CATHERINE	OPPENHEIMER GLOBAL OPPORTUNITIES A	0.00	1.48	0.00	1.48	95.0	1.41
/ /	TRINH, CHRISTINE	OPPENHEIMER GLOBAL OPPORTUNITIES A	0.00	2.28	0.00	2.28	95.0	2.17
/ /	FERRARI, JACQUELINE	OPPENHEIMER GLOBAL OPPORTUNITIES A	0.00	4.68	0.00	4.68	95.0	4.45
/ /	NEUER-MIHALAK, LORIE	OPPENHEIMER GLOBAL OPPORTUNITIES A	0.00	6.07	0.00	6.07	95.0	5.77
/ /	YOUNG, RICK	OPPENHEIMER GLOBAL OPPORTUNITIES A	0.00	3.20	0.00	3.20	95.0	3.04
/ /	CAPWELL, MARK	OPPENHEIMER GLOBAL OPPORTUNITIES A	0.00	13.71	0.00	13.71	95.0	13.02
/ /	BUTLER, MICHAEL	OPPENHEIMER GLOBAL OPPORTUNITIES A	0.00	0.01	0.00	0.01	95.0	0.01
/ /	DEW, DESIREE	OPPENHEIMER GLOBAL OPPORTUNITIES A	0.00	13.27	0.00	13.27	95.0	12.61
/ /	SCHULTZ, DEBRA	OPPENHEIMER GLOBAL OPPORTUNITIES A	0.00	22.16	0.00	22.16	95.0	21.05
/ /	TRBOVICH, HEATHER	OPPENHEIMER GLOBAL OPPORTUNITIES A	0.00	0.44	0.00	0.44	95.0	0.42
/ /	HOWEY, JESSICA	OPPENHEIMER GLOBAL OPPORTUNITIES A	0.00	0.17	0.00	0.17	95.0	0.16
/ /	MCCOLLEY, SHEA	OPPENHEIMER GLOBAL OPPORTUNITIES B	0.00	0.81	0.00	0.81	95.0	0.77
/ /	DINKA, CATHERINE	OPPENHEIMER GLOBAL OPPORTUNITIES B	0.00	1.74	0.00	1.74	95.0	1.65
/ /	DEW, DESIREE	OPPENHEIMER GLOBAL OPPORTUNITIES B	0.00	0.49	0.00	0.49	95.0	0.47
/ /	BUTLER, MICHAEL	OPPENHEIMER GLOBAL OPPORTUNITIES B	0.00	0.34	0.00	0.34	95.0	0.32
/ /	SCHULTZ, DEBRA	OPPENHEIMER GLOBAL OPPORTUNITIES B	0.00	3.33	0.00	3.33	95.0	3.16
/ /	NEED, GREGORY	OPPENHEIMER GLOBAL OPPORTUNITIES C	0.00	16.29	0.00	16.29	95.0	15.48
/ /	GALLAS, MICHAEL	OPPENHEIMER GLOBAL OPPORTUNITIES C	0.00	2.80	0.00	2.80	95.0	2.66
/ /	YOUNG, RICK	OPPENHEIMER GLOBAL OPPORTUNITIES C	0.00	6.15	0.00	6.15	95.0	5.84
/ /	RENTROP, GARRETT	OPPENHEIMER GLOBAL OPPORTUNITIES C	0.00	17.89	0.00	17.89	95.0	17.00
/ /	MCCOLLEY, SHEA	OPPENHEIMER GLOBAL OPPORTUNITIES C	0.00	8.58	0.00	8.58	95.0	8.15
/ /	DINKA, CATHERINE	OPPENHEIMER GLOBAL OPPORTUNITIES C	0.00	16.77	0.00	16.77	95.0	15.93
/ /	DINKA, JOHN	OPPENHEIMER GLOBAL OPPORTUNITIES C	0.00	34.91	0.00	34.91	95.0	33.16
/ /	DAMORE, MONICA	OPPENHEIMER GLOBAL OPPORTUNITIES C	0.00	11.01	0.00	11.01	95.0	10.46
/ /	BUTLER, MICHAEL	OPPENHEIMER GLOBAL OPPORTUNITIES C	0.00	1.40	0.00	1.40	95.0	1.33
/ /	SCHULTZ, DEBRA	OPPENHEIMER GLOBAL OPPORTUNITIES C	0.00	26.54	0.00	26.54	95.0	25.21
12/20/2016	RENTROP, GARRETT	OPPENHEIMER GLOBAL OPPORTUNITIES C	32.30	0.32	0.00	0.32	95.0	0.30
12/20/2016	RENTROP, GARRETT	OPPENHEIMER GLOBAL OPPORTUNITIES C	32.30	0.32	0.00	0.32	95.0	0.30
12/20/2016	MCCOLLEY, SHEA	OPPENHEIMER GLOBAL OPPORTUNITIES C	30.00	0.30	0.00	0.30	95.0	0.29
12/20/2016	MCCOLLEY, SHEA	OPPENHEIMER GLOBAL OPPORTUNITIES C	41.88	0.42	0.00	0.42	95.0	0.40

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
12/27/2016	DAMORE, MONICA	OPPENHEIMER GLOBAL OPPORTUNITIES C	163.21	1.63	0.00	1.63	95.0	1.55
12/27/2016	DAMORE, MONICA	OPPENHEIMER GLOBAL OPPORTUNITIES C	114.36	1.14	0.00	1.14	95.0	1.08
12/27/2016	DAMORE, MONICA	OPPENHEIMER GLOBAL OPPORTUNITIES C	28.80	0.29	0.00	0.29	95.0	0.28
12/27/2016	DAMORE, MONICA	OPPENHEIMER GLOBAL OPPORTUNITIES C	20.18	0.20	0.00	0.20	95.0	0.19
/ /	BOYD, SONYA	OPPENHEIMER GLOBAL STRATEGIC INC A	0.00	0.57	0.00	0.57	95.0	0.54
/ /	TATUM, PATICIA	OPPENHEIMER GLOBAL STRATEGIC INC A	0.00	1.07	0.00	1.07	95.0	1.02
/ /	CRANDALL, MEGAN	OPPENHEIMER GLOBAL STRATEGIC INC A	0.00	0.33	0.00	0.33	95.0	0.31
/ /	GOLD, LORNE	OPPENHEIMER GLOBAL STRATEGIC INC A	0.00	0.75	0.00	0.75	95.0	0.71
/ /	MICHAELS, CHRISTINA	OPPENHEIMER GLOBAL STRATEGIC INC A	0.00	4.54	0.00	4.54	95.0	4.31
/ /	RENTROP, GARRETT	OPPENHEIMER GLOBAL STRATEGIC INC C	0.00	13.10	0.00	13.10	95.0	12.45
/ /	HENRY, JACQUELINE	OPPENHEIMER GLOBAL STRATEGIC INC C	0.00	3.77	0.00	3.77	95.0	3.58
12/20/2016	RENTROP, GARRETT	OPPENHEIMER GLOBAL STRATEGIC INC C	32.30	0.32	0.00	0.32	95.0	0.30
12/20/2016	RENTROP, GARRETT	OPPENHEIMER GLOBAL STRATEGIC INC C	32.30	0.32	0.00	0.32	95.0	0.30
/ /	HENRY, JACQUELINE	OPPENHEIMER GOLD & SPECIAL MINERALS	0.00	3.39	0.00	3.39	95.0	3.22
/ /	GOLD, LORNE	OPPENHEIMER INTL BOND A	0.00	1.33	0.00	1.33	95.0	1.26
/ /	BAKER, STEVEN	OPPENHEIMER INTL BOND B	0.00	0.82	0.00	0.82	95.0	0.78
/ /	DAMORE, MONICA	OPPENHEIMER INTL BOND C	0.00	11.59	0.00	11.59	95.0	11.01
/ /	BAKER, STEVEN	OPPENHEIMER INTL BOND C	0.00	12.34	0.00	12.34	95.0	11.72
/ /	HALSEY, DEBRA	OPPENHEIMER INTL BOND C	0.00	3.81	0.00	3.81	95.0	3.62
12/20/2016	BAKER, STEVEN	OPPENHEIMER INTL BOND C	58.13	0.58	0.00	0.58	95.0	0.55
12/20/2016	BAKER, STEVEN	OPPENHEIMER INTL BOND C	59.22	0.59	0.00	0.59	95.0	0.56
12/27/2016	DAMORE, MONICA	OPPENHEIMER INTL BOND C	217.60	2.18	0.00	2.18	95.0	2.07
12/27/2016	DAMORE, MONICA	OPPENHEIMER INTL BOND C	152.45	1.52	0.00	1.52	95.0	1.44
12/27/2016	DAMORE, MONICA	OPPENHEIMER INTL BOND C	38.41	0.38	0.00	0.38	95.0	0.36
12/27/2016	DAMORE, MONICA	OPPENHEIMER INTL BOND C	26.92	0.27	0.00	0.27	95.0	0.26
/ /	BAKER, STEVEN	OPPENHEIMER INTL DIVERSIFIED B	0.00	1.05	0.00	1.05	95.0	1.00
/ /	DAMORE, MONICA	OPPENHEIMER INTL DIVERSIFIED C	0.00	5.79	0.00	5.79	95.0	5.50
/ /	BAKER, STEVEN	OPPENHEIMER INTL DIVERSIFIED C	0.00	12.73	0.00	12.73	95.0	12.09
12/20/2016	BAKER, STEVEN	OPPENHEIMER INTL DIVERSIFIED C	58.12	0.58	0.00	0.58	95.0	0.55
12/20/2016	BAKER, STEVEN	OPPENHEIMER INTL DIVERSIFIED C	59.24	0.59	0.00	0.59	95.0	0.56
12/27/2016	DAMORE, MONICA	OPPENHEIMER INTL DIVERSIFIED C	108.81	1.09	0.00	1.09	95.0	1.04
12/27/2016	DAMORE, MONICA	OPPENHEIMER INTL DIVERSIFIED C	76.24	0.76	0.00	0.76	95.0	0.72
12/27/2016	DAMORE, MONICA	OPPENHEIMER INTL DIVERSIFIED C	19.20	0.19	0.00	0.19	95.0	0.18

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
12/27/2016	DAMORE, MONICA	OPPENHEIMER INTL DIVERSIFIED C	13.45	0.13	0.00	0.13	95.0	0.12
/ /	GOLD, LORNE	OPPENHEIMER INTL GROWTH A	0.00	1.35	0.00	1.35	95.0	1.28
/ /	MUNTEANU, RADU	OPPENHEIMER INTL GROWTH A	0.00	0.94	0.00	0.94	95.0	0.89
/ /	CAPWELL, MARK	OPPENHEIMER INTL GROWTH A	0.00	1.74	0.00	1.74	95.0	1.65
/ /	NEED, GREGORY	OPPENHEIMER INTL GROWTH C	0.00	21.99	0.00	21.99	95.0	20.89
/ /	OWENS, JEAN	OPPENHEIMER INTL SMALL CO A	0.00	3.91	0.00	3.91	95.0	3.71
/ /	KRAYDICH, KELLIE	OPPENHEIMER INTL SMALL CO A	0.00	0.17	0.00	0.17	95.0	0.16
/ /	LEPPEK, JUDITH	OPPENHEIMER INTL SMALL CO A	0.00	16.11	0.00	16.11	95.0	15.30
12/20/2016	KRAYDICH, KELLIE	OPPENHEIMER INTL SMALL CO A	30.00	1.43	0.00	1.43	95.0	1.36
12/20/2016	KRAYDICH, KELLIE	OPPENHEIMER INTL SMALL CO A	27.00	1.28	0.00	1.28	95.0	1.22
12/20/2016	LEPPEK, JUDITH	OPPENHEIMER INTL SMALL CO A	50.00	2.00	0.00	2.00	95.0	1.90
12/20/2016	LEPPEK, JUDITH	OPPENHEIMER INTL SMALL CO A	43.75	1.75	0.00	1.75	95.0	1.66
/ /	DEREY, DENISE	OPPENHEIMER MAIN ST SELECT C	0.00	0.24	0.00	0.24	95.0	0.23
/ /	DINKA, CATHERINE	OPPENHEIMER MAIN ST SELECT C	0.00	44.09	0.00	44.09	95.0	41.89
/ /	HICKS, MELISSA	OPPENHEIMER MAIN ST SELECT C	0.00	5.52	0.00	5.52	95.0	5.24
/ /	HOWEY, JESSICA	OPPENHEIMER MAIN ST SELECT C	0.00	0.06	0.00	0.06	95.0	0.06
12/27/2016	ELIAS, JANICE	OPPENHEIMER MAIN ST SELECT C	22.81	0.23	0.00	0.23	95.0	0.22
12/27/2016	ELIAS, JANICE	OPPENHEIMER MAIN ST SELECT C	20.65	0.21	0.00	0.21	95.0	0.20
12/27/2016	ELIAS, JANICE	OPPENHEIMER MAIN ST SELECT C	13.69	0.14	0.00	0.14	95.0	0.13
12/27/2016	ELIAS, JANICE	OPPENHEIMER MAIN ST SELECT C	12.39	0.12	0.00	0.12	95.0	0.11
/ /	NEED, GREGORY	OPPENHEIMER MAIN ST SMALL & MID CAP	0.00	15.45	0.00	15.45	95.0	14.68
/ /	RENTROP, GARRETT	OPPENHEIMER MAIN ST SMALL & MID CAP	0.00	17.32	0.00	17.32	95.0	16.45
/ /	DINKA, CATHERINE	OPPENHEIMER MAIN ST SMALL & MID CAP	0.00	45.48	0.00	45.48	95.0	43.21
/ /	DAMORE, MONICA	OPPENHEIMER MAIN ST SMALL & MID CAP	0.00	6.48	0.00	6.48	95.0	6.16
/ /	HENRY, JACQUELINE	OPPENHEIMER MAIN ST SMALL & MID CAP	0.00	4.12	0.00	4.12	95.0	3.91
12/20/2016	RENTROP, GARRETT	OPPENHEIMER MAIN ST SMALL & MID CAP	32.32	0.32	0.00	0.32	95.0	0.30
12/20/2016	RENTROP, GARRETT	OPPENHEIMER MAIN ST SMALL & MID CAP	32.32	0.32	0.00	0.32	95.0	0.30
12/27/2016	DAMORE, MONICA	OPPENHEIMER MAIN ST SMALL & MID CAP	108.81	1.09	0.00	1.09	95.0	1.04
12/27/2016	DAMORE, MONICA	OPPENHEIMER MAIN ST SMALL & MID CAP	76.24	0.76	0.00	0.76	95.0	0.72
12/27/2016	DAMORE, MONICA	OPPENHEIMER MAIN ST SMALL & MID CAP	19.20	0.19	0.00	0.19	95.0	0.18
12/27/2016	DAMORE, MONICA	OPPENHEIMER MAIN ST SMALL & MID CAP	13.45	0.13	0.00	0.13	95.0	0.12
/ /	BARRY, MEGAN	OPPENHEIMER MAIN STREET A	0.00	5.28	0.00	5.28	95.0	5.02
/ /	BOYD, SONYA	OPPENHEIMER MAIN STREET A	0.00	0.97	0.00	0.97	95.0	0.92

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
/ /	VISAN, JAMES	OPPENHEIMER MAIN STREET A	0.00	0.23	0.00	0.23	95.0	0.22
/ /	CRANDALL, MEGAN	OPPENHEIMER MAIN STREET A	0.00	0.98	0.00	0.98	95.0	0.93
/ /	POOLEY, TATIANA	OPPENHEIMER MAIN STREET A	0.00	0.03	0.00	0.03	95.0	0.03
/ /	KOSANKE, MARK	OPPENHEIMER MAIN STREET A	0.00	2.80	0.00	2.80	95.0	2.66
/ /	MAYNARD, JULIE	OPPENHEIMER MAIN STREET A	0.00	9.54	0.00	9.54	95.0	9.06
/ /	MCDONALD, VICKI	OPPENHEIMER MAIN STREET A	0.00	8.01	0.00	8.01	95.0	7.61
/ /	PALAZZOLO, GABRIELLA	OPPENHEIMER MAIN STREET A	0.00	6.43	0.00	6.43	95.0	6.11
/ /	PALAZZOLO, JUSTINA	OPPENHEIMER MAIN STREET A	0.00	5.56	0.00	5.56	95.0	5.28
/ /	BUTLER, SANDRA	OPPENHEIMER MAIN STREET A	0.00	0.10	0.00	0.10	95.0	0.10
/ /	MCCOLLEY, SHEA	OPPENHEIMER MAIN STREET A	0.00	11.10	0.00	11.10	95.0	10.55
/ /	JOUPPI, SHARON	OPPENHEIMER MAIN STREET A	0.00	12.46	0.00	12.46	95.0	11.84
/ /	COWAN, KEVIN	OPPENHEIMER MAIN STREET A	0.00	0.59	0.00	0.59	95.0	0.56
/ /	TRBOVICH, HEATHER	OPPENHEIMER MAIN STREET A	0.00	0.43	0.00	0.43	95.0	0.41
/ /	HOWEY, JESSICA	OPPENHEIMER MAIN STREET A	0.00	0.17	0.00	0.17	95.0	0.16
/ /	BARRY, MEGAN	OPPENHEIMER MAIN STREET B	0.00	0.89	0.00	0.89	95.0	0.85
/ /	BUTLER, MICHAEL	OPPENHEIMER MAIN STREET B	0.00	0.17	0.00	0.17	95.0	0.16
/ /	MCCOLLEY, SHEA	OPPENHEIMER MAIN STREET B	0.00	0.87	0.00	0.87	95.0	0.83
/ /	BARRY, MEGAN	OPPENHEIMER MAIN STREET C	0.00	6.56	0.00	6.56	95.0	6.23
/ /	GRIFFIN, JAMES	OPPENHEIMER MAIN STREET C	0.00	0.37	0.00	0.37	95.0	0.35
/ /	GRIFFIN, ALAN	OPPENHEIMER MAIN STREET C	0.00	12.09	0.00	12.09	95.0	11.49
/ /	GALLAS, MICHAEL	OPPENHEIMER MAIN STREET C	0.00	13.80	0.00	13.80	95.0	13.11
/ /	MCCOLLEY, SHEA	OPPENHEIMER MAIN STREET C	0.00	8.31	0.00	8.31	95.0	7.89
/ /	BUTLER, MICHAEL	OPPENHEIMER MAIN STREET C	0.00	0.64	0.00	0.64	95.0	0.61
/ /	HENRY, JACQUELINE	OPPENHEIMER MAIN STREET C	0.00	5.88	0.00	5.88	95.0	5.59
/ /	JOHNSTON, HEATHER	OPPENHEIMER MAIN STREET C	0.00	2.50	0.00	2.50	95.0	2.38
/ /	KOGUT, MONICA	OPPENHEIMER MAIN STREET C	0.00	2.49	0.00	2.49	95.0	2.37
12/20/2016	MCCOLLEY, SHEA	OPPENHEIMER MAIN STREET C	30.00	0.30	0.00	0.30	95.0	0.29
12/20/2016	MCCOLLEY, SHEA	OPPENHEIMER MAIN STREET C	41.88	0.42	0.00	0.42	95.0	0.40
/ /	KOSANKE, LORI	OPPENHEIMER MAIN STREET OPP A	0.00	4.24	0.00	4.24	95.0	4.03
/ /	CAPWELL, MARK	OPPENHEIMER MAIN STREET OPP A	0.00	11.56	0.00	11.56	95.0	10.98
/ /	TAKACS, RYAN	OPPENHEIMER MAIN STREET OPP A	0.00	3.90	0.00	3.90	95.0	3.71
/ /	HICKS, MELISSA	OPPENHEIMER MAIN STREET OPP A	0.00	0.09	0.00	0.09	95.0	0.09
/ /	HICKS, MELISSA	OPPENHEIMER MAIN STREET OPP B	0.00	0.09	0.00	0.09	95.0	0.09

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
/ /	SOLDAN, JULIE	OPPENHEIMER MAIN STREET SMALLCAP A	0.00	14.03	0.00	14.03	95.0	13.33
/ /	DITRI, ANN	OPPENHEIMER MAIN STREET SMALLCAP A	0.00	2.08	0.00	2.08	95.0	1.98
/ /	MICHAELS, CHRISTINA	OPPENHEIMER MAIN STREET SMALLCAP A	0.00	5.27	0.00	5.27	95.0	5.01
/ /	GOLD, LORNE	OPPENHEIMER MAIN STREET SMALLCAP A	0.00	7.28	0.00	7.28	95.0	6.92
/ /	DINKA, CATHERINE	OPPENHEIMER MAIN STREET SMALLCAP A	0.00	4.90	0.00	4.90	95.0	4.66
/ /	CAPWELL, MARK	OPPENHEIMER MAIN STREET SMALLCAP A	0.00	10.25	0.00	10.25	95.0	9.74
/ /	DINKA, CATHERINE	OPPENHEIMER MAIN STREET SMALLCAP B	0.00	5.67	0.00	5.67	95.0	5.39
/ /	SMOLAREK, CHERYL	OPPENHEIMER PORTFOLIO SERIES EQ INV	0.00	7.16	0.00	7.16	95.0	6.80
/ /	CZARNECKI, THERESA	OPPENHEIMER PORTFOLIO SERIRES: MOD	0.00	10.92	0.00	10.92	95.0	10.37
/ /	SMOLAREK, CHERYL	OPPENHEIMER PTF SERIES EQUITY INVES	0.00	23.39	0.00	23.39	95.0	22.22
/ /	MICHAELS, CHRISTINA	OPPENHEIMER QUEST INT'L VALUE A	0.00	3.13	0.00	3.13	95.0	2.97
/ /	TRINH, CHRISTINE	OPPENHEIMER QUEST INT'L VALUE A	0.00	1.33	0.00	1.33	95.0	1.26
/ /	LEPPEK, JUDITH	OPPENHEIMER QUEST INT'L VALUE A	0.00	9.69	0.00	9.69	95.0	9.21
12/20/2016	LEPPEK, JUDITH	OPPENHEIMER QUEST INT'L VALUE A	50.00	2.00	0.00	2.00	95.0	1.90
12/20/2016	LEPPEK, JUDITH	OPPENHEIMER QUEST INT'L VALUE A	43.74	1.75	0.00	1.75	95.0	1.66
/ /	MCCOLLEY, SHEA	OPPENHEIMER QUEST OPP VALUE A	0.00	15.65	0.00	15.65	95.0	14.87
/ /	TERPSTRA, SANDRA	OPPENHEIMER QUEST OPP VALUE A	0.00	42.39	0.00	42.39	95.0	40.27
/ /	MCCOLLEY, SHEA	OPPENHEIMER QUEST OPP VALUE B	0.00	1.08	0.00	1.08	95.0	1.03
/ /	TERPSTRA, SANDRA	OPPENHEIMER QUEST OPP VALUE B	0.00	9.36	0.00	9.36	95.0	8.89
/ /	BAKER, STEVEN	OPPENHEIMER QUEST OPP VALUE B	0.00	0.94	0.00	0.94	95.0	0.89
/ /	MCCOLLEY, SHEA	OPPENHEIMER QUEST OPP VALUE C	0.00	13.78	0.00	13.78	95.0	13.09
/ /	TERPSTRA, SANDRA	OPPENHEIMER QUEST OPP VALUE C	0.00	79.66	0.00	79.66	95.0	75.68
/ /	BAKER, STEVEN	OPPENHEIMER QUEST OPP VALUE C	0.00	12.96	0.00	12.96	95.0	12.31
12/20/2016	MCCOLLEY, SHEA	OPPENHEIMER QUEST OPP VALUE C	83.75	0.84	0.00	0.84	95.0	0.80
12/20/2016	MCCOLLEY, SHEA	OPPENHEIMER QUEST OPP VALUE C	60.00	0.60	0.00	0.60	95.0	0.57
12/20/2016	BAKER, STEVEN	OPPENHEIMER QUEST OPP VALUE C	58.12	0.58	0.00	0.58	95.0	0.55
12/20/2016	BAKER, STEVEN	OPPENHEIMER QUEST OPP VALUE C	59.24	0.59	0.00	0.59	95.0	0.56
/ /	TRBOVICH, HEATHER	OPPENHEIMER REAL ESTATE A	0.00	0.40	0.00	0.40	95.0	0.38
/ /	HOWEY, JESSICA	OPPENHEIMER REAL ESTATE A	0.00	0.16	0.00	0.16	95.0	0.15
/ /	KOSANKE, LORI	OPPENHEIMER RISING DIVIDENDS A	0.00	4.11	0.00	4.11	95.0	3.90
/ /	POOLEY, TATIANA	OPPENHEIMER RISING DIVIDENDS A	0.00	0.03	0.00	0.03	95.0	0.03
/ /	NEED, GREGORY	OPPENHEIMER RISING DIVIDENDS C	0.00	20.73	0.00	20.73	95.0	19.69
/ /	GALLAS, MICHAEL	OPPENHEIMER RISING DIVIDENDS C	0.00	10.08	0.00	10.08	95.0	9.58

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
/ /	DAMORE, MONICA	OPPENHEIMER RISING DIVIDENDS C	0.00	9.41	0.00	9.41	95.0	8.94
/ /	HENRY, JACQUELINE	OPPENHEIMER RISING DIVIDENDS C	0.00	4.02	0.00	4.02	95.0	3.82
/ /	JOHNSTON, HEATHER	OPPENHEIMER RISING DIVIDENDS C	0.00	2.32	0.00	2.32	95.0	2.20
/ /	KOGUT, MONICA	OPPENHEIMER RISING DIVIDENDS C	0.00	2.31	0.00	2.31	95.0	2.19
/ /	HOWEY, JESSICA	OPPENHEIMER RISING DIVIDENDS C	0.00	0.06	0.00	0.06	95.0	0.06
12/27/2016	DAMORE, MONICA	OPPENHEIMER RISING DIVIDENDS C	163.21	1.63	0.00	1.63	95.0	1.55
12/27/2016	DAMORE, MONICA	OPPENHEIMER RISING DIVIDENDS C	114.36	1.14	0.00	1.14	95.0	1.08
12/27/2016	DAMORE, MONICA	OPPENHEIMER RISING DIVIDENDS C	28.80	0.29	0.00	0.29	95.0	0.28
12/27/2016	DAMORE, MONICA	OPPENHEIMER RISING DIVIDENDS C	20.18	0.20	0.00	0.20	95.0	0.19
/ /	CAPWELL, MARK	OPPENHEIMER SELECT VALUE A	0.00	3.57	0.00	3.57	95.0	3.39
/ /	NEED, GREGORY	OPPENHEIMER SELECT VALUE C	0.00	21.42	0.00	21.42	95.0	20.35
/ /	LABAZA, LYNN	OPPENHEIMER SMALL & MIDCAP GROWTH A	0.00	4.37	0.00	4.37	95.0	4.15
/ /	LABAZA, JOHN	OPPENHEIMER SMALL & MIDCAP GROWTH A	0.00	4.37	0.00	4.37	95.0	4.15
/ /	LABAZA, LYNN	OPPENHEIMER SMALL & MIDCAP GROWTH C	0.00	37.97	0.00	37.97	95.0	36.07
/ /	LABAZA, JOHN	OPPENHEIMER SMALL & MIDCAP GROWTH C	0.00	37.97	0.00	37.97	95.0	36.07
12/27/2016	WOUDSTRA, KAREN	OPPENHEIMER SMALL & MIDCAP GROWTH C	100.00	1.00	0.00	1.00	95.0	0.95
12/27/2016	WOUDSTRA, KAREN	OPPENHEIMER SMALL & MIDCAP GROWTH C	100.00	1.00	0.00	1.00	95.0	0.95
12/27/2016	WOUDSTRA, KAREN	OPPENHEIMER SMALL & MIDCAP GROWTH C	61.40	0.61	0.00	0.61	95.0	0.58
12/27/2016	WOUDSTRA, KAREN	OPPENHEIMER SMALL & MIDCAP GROWTH C	51.65	0.52	0.00	0.52	95.0	0.49
/ /	BOYD, SONYA	OPPENHEIMER SMALL MID CAP VALUE A	0.00	1.28	0.00	1.28	95.0	1.22
/ /	DEREY, DENISE	OPPENHEIMER SMALL MID CAP VALUE C	0.00	64.41	0.00	64.41	95.0	61.19
/ /	CARMODY, WILLIAM	OPPENHEIMER US GOVT TRUST C	0.00	39.48	0.00	39.48	95.0	37.51
/ /	MICHAELS, CHRISTINA	OPPENHEIMER VALUE A	0.00	4.66	0.00	4.66	95.0	4.43
/ /	GOLD, LORNE	OPPENHEIMER VALUE A	0.00	7.95	0.00	7.95	95.0	7.55
/ /	DINKA, JOHN	OPPENHEIMER VALUE A	0.00	4.08	0.00	4.08	95.0	3.88
/ /	TAKACS, RYAN	OPPENHEIMER VALUE A	0.00	3.68	0.00	3.68	95.0	3.50
/ /	TRBOVICH, HEATHER	OPPENHEIMER VALUE A	0.00	0.44	0.00	0.44	95.0	0.42
/ /	HOWEY, JESSICA	OPPENHEIMER VALUE A	0.00	0.17	0.00	0.17	95.0	0.16
/ /	DINKA, JOHN	OPPENHEIMER VALUE B	0.00	9.63	0.00	9.63	95.0	9.15
/ /	DEREY, DENISE	OPPENHEIMER VALUE C	0.00	0.07	0.00	0.07	95.0	0.07
/ /	DITRI, ANN	OPPENHEIMER VALUE C	0.00	9.47	0.00	9.47	95.0	9.00
/ /	DINKA, JOHN	OPPENHEIMER VALUE C	0.00	65.56	0.00	65.56	95.0	62.28
/ /	DAMORE, MONICA	OPPENHEIMER VALUE C	0.00	6.49	0.00	6.49	95.0	6.17

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
12/20/2016	DITRI, ANN	OPPENHEIMER VALUE C	198.00	1.98	0.00	1.98	95.0	1.88
12/20/2016	DITRI, ANN	OPPENHEIMER VALUE C	85.28	0.85	0.00	0.85	95.0	0.81
12/27/2016	DAMORE, MONICA	OPPENHEIMER VALUE C	108.81	1.09	0.00	1.09	95.0	1.04
12/27/2016	DAMORE, MONICA	OPPENHEIMER VALUE C	76.24	0.76	0.00	0.76	95.0	0.72
12/27/2016	DAMORE, MONICA	OPPENHEIMER VALUE C	19.20	0.19	0.00	0.19	95.0	0.18
12/27/2016	DAMORE, MONICA	OPPENHEIMER VALUE C	13.45	0.13	0.00	0.13	95.0	0.12
/ /	RENTROP, GARRETT	OPPENHEIMIER QUEST BALANCED C	0.00	14.20	0.00	14.20	95.0	13.49
/ /	HENRY, JACQUELINE	OPPENHEIMIER QUEST BALANCED C	0.00	3.75	0.00	3.75	95.0	3.56
12/20/2016	RENTROP, GARRETT	OPPENHEIMIER QUEST BALANCED C	32.30	0.32	0.00	0.32	95.0	0.30
12/20/2016	RENTROP, GARRETT	OPPENHEIMIER QUEST BALANCED C	32.30	0.32	0.00	0.32	95.0	0.30
/ /	BERDESKI, AUDREY	RYDEX GUGG S&P 500 H	0.00	0.29	0.00	0.29	95.0	0.28
/ /	KANAKRI, JOSEPH	RYDEX GUGG S&P 500 H	0.00	0.13	0.00	0.13	95.0	0.12
/ /	WAGNER, SHARON	RYDEX GUGG S&P 500 H	0.00	0.09	0.00	0.09	95.0	0.09
/ /	BERDESKI, AUDREY	RYDEXGUGGENHEIM INVERSE NASDAQ 100	0.00	0.51	0.00	0.51	95.0	0.48
/ /	KANAKRI, JOSEPH	RYDEXGUGGENHEIM INVERSE NASDAQ 100	0.00	0.23	0.00	0.23	95.0	0.22
/ /	WAGNER, SHARON	RYDEXGUGGENHEIM INVERSE NASDAQ 100	0.00	0.17	0.00	0.17	95.0	0.16
/ /	BERDESKI, AUDREY	RYDEXGUGGENHEIM INVERSE S&P 500 STG	0.00	0.17	0.00	0.17	95.0	0.16
/ /	KANAKRI, JOSEPH	RYDEXGUGGENHEIM INVERSE S&P 500 STG	0.00	0.08	0.00	0.08	95.0	0.08
/ /	WAGNER, SHARON	RYDEXGUGGENHEIM INVERSE S&P 500 STG	0.00	0.06	0.00	0.06	95.0	0.06
01/04/2017	PETERSON, ALEXA	TRANSAMERICA AA CONSERVATIVE C	0.00	31.60	0.00	31.60	95.0	30.02
01/04/2017	PETERSON, TREY	TRANSAMERICA AA CONSERVATIVE C	0.00	31.60	0.00	31.60	95.0	30.02
01/04/2017	KING, ALEXANDER	TRANSAMERICA AA GROWTH A	0.00	7.61	0.00	7.61	95.0	7.23
01/04/2017	MOORE, MICHELLE	TRANSAMERICA AA GROWTH A	0.00	11.18	0.00	11.18	95.0	10.62
01/04/2017	KUCHAREK, MARK	TRANSAMERICA AA GROWTH A	0.00	16.99	0.00	16.99	95.0	16.14
01/04/2017	HESTER, RICHARD	TRANSAMERICA AA GROWTH A	0.00	5.28	0.00	5.28	95.0	5.02
01/04/2017	SOLDAN, JULIE	TRANSAMERICA AA GROWTH A	0.00	9.07	0.00	9.07	95.0	8.62
01/04/2017	RYAN, KIMBERLY	TRANSAMERICA AA GROWTH A	0.00	3.25	0.00	3.25	95.0	3.09
01/04/2017	KING, NATHAN	TRANSAMERICA AA GROWTH A	0.00	3.32	0.00	3.32	95.0	3.15
01/04/2017	RYAN, JONATHON	TRANSAMERICA AA GROWTH A	0.00	8.26	0.00	8.26	95.0	7.85
01/04/2017	MALAVOLTI, KURT	TRANSAMERICA AA GROWTH A	0.00	9.75	0.00	9.75	95.0	9.26
01/04/2017	KUCHAREK, MARK	TRANSAMERICA AA GROWTH B	0.00	12.08	0.00	12.08	95.0	11.48
01/04/2017	HESTER, RICHARD	TRANSAMERICA AA GROWTH B	0.00	2.96	0.00	2.96	95.0	2.81
12/28/2016	KUCHAREK, NORMA	TRANSAMERICA AA GROWTH C	50.00	0.50	0.00	0.50	95.0	0.48

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
01/04/2017	RICE, STEPHANIE	TRANSAMERICA AA GROWTH C	0.00	4.28	0.00	4.28	95.0	4.07
01/04/2017	TAMM, JAMES	TRANSAMERICA AA GROWTH C	0.00	36.28	0.00	36.28	95.0	34.47
01/04/2017	KUCHAREK, MARK	TRANSAMERICA AA GROWTH C	0.00	3.88	0.00	3.88	95.0	3.69
01/04/2017	HESTER, RICHARD	TRANSAMERICA AA GROWTH C	0.00	14.41	0.00	14.41	95.0	13.69
01/04/2017	SULLIVAN, MICHAEL	TRANSAMERICA AA GROWTH C	0.00	18.12	0.00	18.12	95.0	17.21
01/04/2017	MAYNARD, TRAVIS	TRANSAMERICA AA GROWTH C	0.00	1.43	0.00	1.43	95.0	1.36
01/04/2017	DUMOND, PHYLLIS	TRANSAMERICA AA GROWTH C	0.00	8.65	0.00	8.65	95.0	8.22
01/04/2017	COOPER, LISA	TRANSAMERICA AA GROWTH C	0.00	0.41	0.00	0.41	95.0	0.39
01/04/2017	WEBSTER, BRIAN	TRANSAMERICA AA GROWTH C	0.00	0.88	0.00	0.88	95.0	0.84
01/04/2017	JOUPPI, JEFFREY	TRANSAMERICA AA GROWTH C	0.00	74.99	0.00	74.99	95.0	71.24
01/04/2017	SCALF, MARSHA	TRANSAMERICA AA GROWTH C	0.00	30.15	0.00	30.15	95.0	28.64
01/04/2017	COMAN, RONALD	TRANSAMERICA AA GROWTH C	0.00	17.79	0.00	17.79	95.0	16.90
01/04/2017	PALAZZOLO, SALATORE	TRANSAMERICA AA GROWTH C	0.00	10.54	0.00	10.54	95.0	10.01
01/04/2017	BARTOI, MIKAELA	TRANSAMERICA AA GROWTH C	0.00	3.55	0.00	3.55	95.0	3.37
01/04/2017	ROWAN, CHRISTINE	TRANSAMERICA AA GROWTH C	0.00	24.11	0.00	24.11	95.0	22.90
01/04/2017	KUCHAREK, NORMA	TRANSAMERICA AA GROWTH C	0.00	7.29	0.00	7.29	95.0	6.93
01/04/2017	NEIRINCK, DONNA	TRANSAMERICA AA GROWTH C	0.00	15.12	0.00	15.12	95.0	14.36
01/04/2017	OLSEN, MARTHA	TRANSAMERICA AA GROWTH C	0.00	9.05	0.00	9.05	95.0	8.60
01/04/2017	HESSLER, GARY	TRANSAMERICA AA GROWTH C	0.00	35.24	0.00	35.24	95.0	33.48
01/04/2017	BLANKENSHIP, JANET	TRANSAMERICA AA GROWTH C	0.00	10.29	0.00	10.29	95.0	9.78
01/04/2017	RONDO, DENISE	TRANSAMERICA AA GROWTH C	0.00	10.71	0.00	10.71	95.0	10.17
01/04/2017	PALAZZOLO, ANNA	TRANSAMERICA AA GROWTH C	0.00	16.54	0.00	16.54	95.0	15.71
01/04/2017	LINDOW, RONALD	TRANSAMERICA AA GROWTH C	0.00	1.33	0.00	1.33	95.0	1.26
01/04/2017	WILMAN, ANN	TRANSAMERICA AA GROWTH C	0.00	50.71	0.00	50.71	95.0	48.17
01/04/2017	KUCHAREK, MARK	TRANSAMERICA AA GROWTH C	0.00	32.78	0.00	32.78	95.0	31.14
01/04/2017	LOPICCOLO, CATHERINE	TRANSAMERICA AA GROWTH C	0.00	34.52	0.00	34.52	95.0	32.79
01/04/2017	WATKINS, KATHRYN	TRANSAMERICA AA GROWTH C	0.00	7.15	0.00	7.15	95.0	6.79
01/04/2017	DUMOND, PHYLLIS	TRANSAMERICA AA GROWTH C	0.00	19.47	0.00	19.47	95.0	18.50
01/04/2017	LINDOW, RYAN	TRANSAMERICA AA GROWTH C	0.00	1.41	0.00	1.41	95.0	1.34
01/04/2017	RIOS-DORIA, H. WALTER	TRANSAMERICA AA GROWTH C	0.00	42.45	0.00	42.45	95.0	40.33
01/04/2017	WATKINS, KATHRYN	TRANSAMERICA AA GROWTH C	0.00	5.05	0.00	5.05	95.0	4.80
01/04/2017	WETZEL, TIFFANY	TRANSAMERICA AA GROWTH C	0.00	11.61	0.00	11.61	95.0	11.03
01/04/2017	KEELER, DAVID	TRANSAMERICA AA GROWTH C	0.00	42.81	0.00	42.81	95.0	40.67

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
01/04/2017	HILDEBRAND, JOSEPH	TRANSAMERICA AA GROWTH C	0.00	23.92	0.00	23.92	95.0	22.72
01/04/2017	DEHEM, GARY	TRANSAMERICA AA GROWTH C	0.00	33.68	0.00	33.68	95.0	32.00
01/04/2017	LINDOW, RICHARD	TRANSAMERICA AA GROWTH C	0.00	20.63	0.00	20.63	95.0	19.60
01/04/2017	MULDOON, SHEILA	TRANSAMERICA AA GROWTH C	0.00	21.14	0.00	21.14	95.0	20.08
01/04/2017	KUCHAREK, SARAH	TRANSAMERICA AA GROWTH C	0.00	4.27	0.00	4.27	95.0	4.06
01/04/2017	HECKER, GENE	TRANSAMERICA AA GROWTH C	0.00	8.90	0.00	8.90	95.0	8.46
01/04/2017	WATERS, SALLY	TRANSAMERICA AA GROWTH C	0.00	11.60	0.00	11.60	95.0	11.02
01/04/2017	WATERS, WILLIAM	TRANSAMERICA AA GROWTH C	0.00	4.50	0.00	4.50	95.0	4.28
01/04/2017	TOBEY, TIMOTHY	TRANSAMERICA AA GROWTH C	0.00	10.93	0.00	10.93	95.0	10.38
01/04/2017	FARRAR, CHARLES	TRANSAMERICA AA GROWTH C	0.00	13.58	0.00	13.58	95.0	12.90
01/04/2017	BUSZEK, PAUL	TRANSAMERICA AA GROWTH C	0.00	2.82	0.00	2.82	95.0	2.68
01/04/2017	PALAZZOLO, SALVATORE	TRANSAMERICA AA GROWTH C	0.00	11.59	0.00	11.59	95.0	11.01
01/04/2017	BASTIN, TIFFANY	TRANSAMERICA AA GROWTH C	0.00	0.79	0.00	0.79	95.0	0.75
01/04/2017	RICE, STEPHANIE	TRANSAMERICA AA GROWTH C	0.00	0.79	0.00	0.79	95.0	0.75
01/04/2017	KAWALA, CHRISTINA	TRANSAMERICA AA GROWTH C	0.00	41.04	0.00	41.04	95.0	38.99
01/04/2017	KING, DAVID	TRANSAMERICA AA MOD GROWTH A	0.00	4.85	0.00	4.85	95.0	4.61
01/04/2017	KUCHAREK, PAUL	TRANSAMERICA AA MOD GROWTH A	0.00	35.14	0.00	35.14	95.0	33.38
01/04/2017	MERRITT TRUST, LEO	TRANSAMERICA AA MOD GROWTH A	0.00	43.35	0.00	43.35	95.0	41.18
01/04/2017	KUCHAREK, PAUL	TRANSAMERICA AA MOD GROWTH B	0.00	10.77	0.00	10.77	95.0	10.23
12/30/2016	O'CONNOR, FRANCIS	TRANSAMERICA AA MOD GROWTH C	3,707.97	37.08	0.00	37.08	95.0	35.23
01/04/2017	KOLLINGER, ROBERT	TRANSAMERICA AA MOD GROWTH C	0.00	0.84	0.00	0.84	95.0	0.80
01/04/2017	HOVIS, MARJORIE	TRANSAMERICA AA MOD GROWTH C	0.00	3.25	0.00	3.25	95.0	3.09
01/04/2017	BELLINGER, VICKIE	TRANSAMERICA AA MOD GROWTH C	0.00	32.62	0.00	32.62	95.0	30.99
01/04/2017	BELLINGER, GEORGE	TRANSAMERICA AA MOD GROWTH C	0.00	26.24	0.00	26.24	95.0	24.93
01/04/2017	POLENYCHKO, SHIRLEY	TRANSAMERICA AA MOD GROWTH C	0.00	8.31	0.00	8.31	95.0	7.89
01/04/2017	AUGUSTYN, PATRICIA	TRANSAMERICA AA MOD GROWTH C	0.00	10.58	0.00	10.58	95.0	10.05
01/04/2017	BLANKENSHIP, JANET	TRANSAMERICA AA MOD GROWTH C	0.00	187.13	0.00	187.13	95.0	177.77
01/04/2017	KOLLINGER, CINDY	TRANSAMERICA AA MOD GROWTH C	0.00	8.56	0.00	8.56	95.0	8.13
01/04/2017	KEELER, DAVID	TRANSAMERICA AA MOD GROWTH C	0.00	19.63	0.00	19.63	95.0	18.65
01/04/2017	TYSZKIEWICZ, KURT	TRANSAMERICA AA MOD GROWTH C	0.00	21.38	0.00	21.38	95.0	20.31
01/04/2017	KUCHAREK, MARCIA	TRANSAMERICA AA MOD GROWTH C	0.00	11.06	0.00	11.06	95.0	10.51
01/04/2017	MCGUIRE, MARY	TRANSAMERICA AA MOD GROWTH C	0.00	14.33	0.00	14.33	95.0	13.61
01/04/2017	LEHMAN, JEFFREY	TRANSAMERICA AA MOD GROWTH C	0.00	0.10	0.00	0.10	95.0	0.10

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
01/04/2017	COOPER, LISA	TRANSAMERICA AA MOD GROWTH C	0.00	29.47	0.00	29.47	95.0	28.00
01/04/2017	HENRY, JACQUELINE	TRANSAMERICA AA MOD GROWTH C	0.00	27.79	0.00	27.79	95.0	26.40
01/04/2017	O'CONNOR, FRANCIS	TRANSAMERICA AA MOD GROWTH C	0.00	46.27	0.00	46.27	95.0	43.96
01/04/2017	SEISSER, JAMES	TRANSAMERICA AA MOD GROWTH C	0.00	5.13	0.00	5.13	95.0	4.87
01/04/2017	BAKER, JEAN-ANNE	TRANSAMERICA AA MOD GROWTH C	0.00	34.42	0.00	34.42	95.0	32.70
01/04/2017	KOSANKE, BARBARA	TRANSAMERICA AA MOD GROWTH C	0.00	29.00	0.00	29.00	95.0	27.55
01/04/2017	DEW, DESIREE	TRANSAMERICA AA MOD GROWTH C	0.00	39.96	0.00	39.96	95.0	37.96
01/04/2017	FRANKS, JACQUELINE	TRANSAMERICA AA MOD GROWTH C	0.00	3.94	0.00	3.94	95.0	3.74
01/04/2017	MODRYCKI, DONALD	TRANSAMERICA AA MOD GROWTH C	0.00	6.86	0.00	6.86	95.0	6.52
01/04/2017	CYRULEWSKI TRUST, LOIS	TRANSAMERICA AA MOD GROWTH C	0.00	11.01	0.00	11.01	95.0	10.46
01/04/2017	NIZIO, EDMUND	TRANSAMERICA AA MOD GROWTH C	0.00	3.24	0.00	3.24	95.0	3.08
01/04/2017	PALAZZOLO, SALATORE	TRANSAMERICA AA MOD GROWTH C	0.00	8.76	0.00	8.76	95.0	8.32
01/04/2017	KOSANKE, CHARLES W	TRANSAMERICA AA MOD GROWTH C	0.00	14.93	0.00	14.93	95.0	14.18
01/04/2017	MERRITT, MARY LOU	TRANSAMERICA AA MOD GROWTH C	0.00	104.81	0.00	104.81	95.0	99.57
01/04/2017	GROBAR TRUST, MARVIN & MARY	TRANSAMERICA AA MOD GROWTH C	0.00	5.51	0.00	5.51	95.0	5.23
01/04/2017	OLSEN, MARTHA	TRANSAMERICA AA MOD GROWTH C	0.00	8.87	0.00	8.87	95.0	8.43
01/04/2017	SARKISIAN, NORAY	TRANSAMERICA AA MOD GROWTH C	0.00	9.09	0.00	9.09	95.0	8.64
01/04/2017	SARKISIAN, NORAY	TRANSAMERICA AA MOD GROWTH C	0.00	4.59	0.00	4.59	95.0	4.36
01/04/2017	CARLSON, PATRICIA	TRANSAMERICA AA MOD GROWTH C	0.00	2.45	0.00	2.45	95.0	2.33
01/04/2017	RIOS-DORIA, H. WALTER	TRANSAMERICA AA MOD GROWTH C	0.00	40.12	0.00	40.12	95.0	38.11
01/04/2017	RYAN, VICKI	TRANSAMERICA AA MOD GROWTH C	0.00	3.16	0.00	3.16	95.0	3.00
01/04/2017	RYAN, KAREN	TRANSAMERICA AA MOD GROWTH C	0.00	3.50	0.00	3.50	95.0	3.33
01/04/2017	WEAVER, BARABARA	TRANSAMERICA AA MOD GROWTH C	0.00	2.57	0.00	2.57	95.0	2.44
01/04/2017	TYSZKIEWICZ TRUST, RONALD &	TRANSAMERICA AA MOD GROWTH C	0.00	3.67	0.00	3.67	95.0	3.49
01/04/2017	THOMAS, DEBORAH	TRANSAMERICA AA MOD GROWTH C	0.00	8.73	0.00	8.73	95.0	8.29
01/04/2017	BARTOI, MIKAELA	TRANSAMERICA AA MOD GROWTH C	0.00	137.14	0.00	137.14	95.0	130.28
01/04/2017	BUTLER, SANDRA	TRANSAMERICA AA MOD GROWTH C	0.00	48.92	0.00	48.92	95.0	46.47
01/04/2017	KANAKRI, JOSEPH	TRANSAMERICA AA MOD GROWTH C	0.00	1.91	0.00	1.91	95.0	1.81
01/04/2017	KANAKRI, MARIA	TRANSAMERICA AA MOD GROWTH C	0.00	2.99	0.00	2.99	95.0	2.84
01/04/2017	BUSZEK, PAUL	TRANSAMERICA AA MOD GROWTH C	0.00	23.57	0.00	23.57	95.0	22.39
01/04/2017	KAWALA, CHRISTINA	TRANSAMERICA AA MOD GROWTH C	0.00	43.20	0.00	43.20	95.0	41.04
01/04/2017	KAWALA, CHRISTINA	TRANSAMERICA AA MOD GROWTH C	0.00	101.60	0.00	101.60	95.0	96.52
01/04/2017	DUMOND, PHYLLIS	TRANSAMERICA AA MODERATE A	0.00	10.16	0.00	10.16	95.0	9.65

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
01/04/2017	MIJAL, SHARON	TRANSAMERICA AA MODERATE A	0.00	12.47	0.00	12.47	95.0	11.85
01/04/2017	SARKISIAN, NORAY	TRANSAMERICA AA MODERATE C	0.00	21.28	0.00	21.28	95.0	20.22
01/04/2017	SIMONY, JOAN	TRANSAMERICA AA MODERATE C	0.00	64.71	0.00	64.71	95.0	61.47
01/04/2017	SARKISIAN, NORAY	TRANSAMERICA AA MODERATE C	0.00	0.71	0.00	0.71	95.0	0.67
01/04/2017	MOORE, LOUIS	TRANSAMERICA AA MODERATE C	0.00	79.07	0.00	79.07	95.0	75.12
01/04/2017	MADIGAN, JOHN	TRANSAMERICA CAPITAL GROWTH A	0.00	0.51	0.00	0.51	95.0	0.48
01/04/2017	BOYER, KENNETH	TRANSAMERICA DIVERSIFIED EQUITY A	0.00	11.63	0.00	11.63	95.0	11.05
01/04/2017	CHATTULANI, DIANA	TRANSAMERICA DIVERSIFIED EQUITY A	0.00	7.76	0.00	7.76	95.0	7.37
01/04/2017	HORTON, RICHARD	TRANSAMERICA DIVERSIFIED EQUITY A	0.00	5.29	0.00	5.29	95.0	5.03
01/04/2017	WONCH, ELIZABETH	TRANSAMERICA DIVERSIFIED EQUITY A	0.00	0.83	0.00	0.83	95.0	0.79
01/04/2017	WILLIAMS, DAVID	TRANSAMERICA DIVERSIFIED EQUITY A	0.00	1.94	0.00	1.94	95.0	1.84
01/04/2017	WILLIAMS, DAVID	TRANSAMERICA DIVERSIFIED EQUITY A	0.00	6.89	0.00	6.89	95.0	6.55
01/04/2017	DOYLE, CHRISTINE	TRANSAMERICA MULTI MGR ALT STRATEGI	0.00	1.27	0.00	1.27	95.0	1.21
01/04/2017	HILDEBRAND, JOSEPH	TRANSAMERICA MULTI MGR ALT STRATEGI	0.00	9.24	0.00	9.24	95.0	8.78
01/04/2017	COOPER, IAN	TRANSAMERICA MULTI MGR INTL A	0.00	4.11	0.00	4.11	95.0	3.90
01/04/2017	PALAZZOLO, SALATORE	TRANSAMERICA MULTI MGR INTL C	0.00	0.28	0.00	0.28	95.0	0.27
01/04/2017	BARTOI, JOHN	TRANSAMERICA MULTI MGR INTL C	0.00	10.94	0.00	10.94	95.0	10.39
01/04/2017	BARTOI, MIKAELA	TRANSAMERICA MULTI MGR INTL C	0.00	7.68	0.00	7.68	95.0	7.30
01/04/2017	FARRAR, CHARLES	TRANSAMERICA MULTI MGR INTL C	0.00	29.51	0.00	29.51	95.0	28.03
01/04/2017	WILMAN, ANN	TRANSAMERICA MULTI MGR INTL C	0.00	21.31	0.00	21.31	95.0	20.24
01/04/2017	KUCHAREK, MARK	TRANSAMERICA MULTI MGR INTL C	0.00	8.94	0.00	8.94	95.0	8.49
01/04/2017	DUMOND, PHYLLIS	TRANSAMERICA MULTI MGR INTL C	0.00	4.31	0.00	4.31	95.0	4.09
01/04/2017	KEELER, DAVID	TRANSAMERICA MULTI MGR INTL C	0.00	11.96	0.00	11.96	95.0	11.36
01/04/2017	HILDEBRAND, JOSEPH	TRANSAMERICA MULTI MGR INTL C	0.00	10.36	0.00	10.36	95.0	9.84
01/04/2017	DEHEM, GARY	TRANSAMERICA MULTI MGR INTL C	0.00	12.59	0.00	12.59	95.0	11.96
01/04/2017	MATT, GERALD	TRANSAMERICA MULTI MGR INTL C	0.00	23.00	0.00	23.00	95.0	21.85
01/04/2017	KAWALA, CHRISTINA	TRANSAMERICA MULTI MGR INTL C	0.00	12.10	0.00	12.10	95.0	11.50
01/04/2017	JOHNSTON, HEATHER	TRANSAMERICA MULTI-MANAGED BAL A	0.00	0.82	0.00	0.82	95.0	0.78
01/04/2017	MERRITT, GREGORY	TRANSAMERICA MULTI-MANAGED BAL A	0.00	10.95	0.00	10.95	95.0	10.40
01/04/2017	KOGUT, MONICA	TRANSAMERICA MULTI-MANAGED BAL A	0.00	1.98	0.00	1.98	95.0	1.88
12/29/2016	BELLINGER, VICKIE	TRANSAMERICA MULTI-MANAGED BAL C	2,046.53	20.47	0.00	20.47	95.0	19.45
01/04/2017	ALLEN, BRADLEY	TRANSAMERICA MULTI-MANAGED BAL C	0.00	28.77	0.00	28.77	95.0	27.33
01/04/2017	WAGNER, MALLORY	TRANSAMERICA MULTI-MANAGED BAL C	0.00	2.76	0.00	2.76	95.0	2.62

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
01/04/2017	EVANS, SANDRA	TRANSAMERICA MULTI-MANAGED BAL C	0.00	5.79	0.00	5.79	95.0	5.50
01/04/2017	EVANS, ROBERT	TRANSAMERICA MULTI-MANAGED BAL C	0.00	6.94	0.00	6.94	95.0	6.59
01/04/2017	GRECH, ROSALIE	TRANSAMERICA MULTI-MANAGED BAL C	0.00	31.58	0.00	31.58	95.0	30.00
01/04/2017	CANNON TRUST, HENRY & BARBARA	TRANSAMERICA MULTI-MANAGED BAL C	0.00	103.00	0.00	103.00	95.0	97.85
01/04/2017	WEYCKER, AARON	TRANSAMERICA MULTI-MANAGED BAL C	0.00	37.76	0.00	37.76	95.0	35.87
01/04/2017	WEYCKER, AARON	TRANSAMERICA MULTI-MANAGED BAL C	0.00	6.43	0.00	6.43	95.0	6.11
01/04/2017	DOUTSAS, MADELYN	TRANSAMERICA MULTI-MANAGED BAL C	0.00	2.84	0.00	2.84	95.0	2.70
01/04/2017	HOOTNER-JONES, ANN	TRANSAMERICA MULTI-MANAGED BAL C	0.00	2.53	0.00	2.53	95.0	2.40
01/04/2017	ORTAGO, PAULA	TRANSAMERICA MULTI-MANAGED BAL C	0.00	14.61	0.00	14.61	95.0	13.88
01/04/2017	WEYCKER, ROBERT	TRANSAMERICA MULTI-MANAGED BAL C	0.00	8.42	0.00	8.42	95.0	8.00
01/04/2017	RICHARDSON, SHANE	TRANSAMERICA MULTI-MANAGED BAL C	0.00	1.12	0.00	1.12	95.0	1.06
01/04/2017	MAGGARD, LORETTA	TRANSAMERICA MULTI-MANAGED BAL C	0.00	12.51	0.00	12.51	95.0	11.88
01/04/2017	KAWALA, CHRISTINA	TRANSAMERICA MULTI-MANAGED BAL C	0.00	15.87	0.00	15.87	95.0	15.08
01/04/2017	EICHENLAUB, TRACEY	TRANSAMERICA MULTI-MANAGED BAL C	0.00	31.24	0.00	31.24	95.0	29.68
01/04/2017	OLSEN, MARTHA	TRANSAMERICA MULTI-MANAGED BAL C	0.00	9.79	0.00	9.79	95.0	9.30
01/04/2017	JOHNSON, DONNA	TRANSAMERICA MULTI-MANAGED BAL C	0.00	2.72	0.00	2.72	95.0	2.58
01/04/2017	MOORE, SUSAN ANN PRIES	TRANSAMERICA MULTI-MANAGED BAL C	0.00	59.05	0.00	59.05	95.0	56.10
01/04/2017	YOUNG, RICK	TRANSAMERICA MULTI-MANAGED BAL C	0.00	124.56	0.00	124.56	95.0	118.33
01/04/2017	MATT, GERALD	TRANSAMERICA MULTI-MANAGED BAL C	0.00	18.99	0.00	18.99	95.0	18.04
01/04/2017	JOHNSON, DONNA	TRANSAMERICA MULTI-MANAGED BAL C	0.00	23.91	0.00	23.91	95.0	22.71
01/04/2017	DINKA, CATHERINE	TRANSAMERICA MULTI-MANAGED BAL C	0.00	73.49	0.00	73.49	95.0	69.82
01/04/2017	PARKE, DEBORAH	TRANSAMERICA MULTI-MANAGED BAL C	0.00	1.29	0.00	1.29	95.0	1.23
01/04/2017	SMITH, MARTHA	TRANSAMERICA MULTI-MANAGED BAL C	0.00	93.61	0.00	93.61	95.0	88.93
01/04/2017	FARRAR, KAREN	TRANSAMERICA MULTI-MANAGED BAL C	0.00	40.33	0.00	40.33	95.0	38.31
01/04/2017	EICHENLAUB, TRACEY	TRANSAMERICA MULTI-MANAGED BAL C	0.00	19.24	0.00	19.24	95.0	18.28
01/04/2017	ROLLINGS, DEBORAH	TRANSAMERICA MULTI-MANAGED BAL C	0.00	27.03	0.00	27.03	95.0	25.68
01/04/2017	ALLEN, BRADLEY	TRANSAMERICA MULTI-MANAGED BAL C	0.00	27.03	0.00	27.03	95.0	25.68
01/04/2017	DOUTSAS, MADELYN	TRANSAMERICA MULTI-MANAGED BAL C	0.00	22.03	0.00	22.03	95.0	20.93
01/04/2017	DOUTSAS, ALEXANDER	TRANSAMERICA MULTI-MANAGED BAL C	0.00	6.01	0.00	6.01	95.0	5.71
01/04/2017	CROSSFIRE GROUP Q3AM	TRANSAMERICA SHORT-TERM BOND A	0.00	0.81	0.00	0.81	95.0	0.77
01/04/2017	GRAMMATICO, DENNIS	TRANSAMERICA SHORT-TERM BOND C	0.00	7.18	0.00	7.18	95.0	6.82
01/04/2017	GRAMMATICO, SHARON	TRANSAMERICA SHORT-TERM BOND C	0.00	7.19	0.00	7.19	95.0	6.83
01/04/2017	SARKISIAN, NORAY	TRANSAMERICA SHORT-TERM BOND C	0.00	29.53	0.00	29.53	95.0	28.05

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
01/04/2017	MERRITT, MARY LOU	TRANSAMERICA SHORT-TERM BOND C	0.00	22.34	0.00	22.34	95.0	21.22
01/04/2017	KNIGHT, SHARON	TRANSAMERICA SHORT-TERM BOND C	0.00	3.21	0.00	3.21	95.0	3.05
01/04/2017	O'CONNOR, FRANCIS	TRANSAMERICA SHORT-TERM BOND C	0.00	64.30	0.00	64.30	95.0	61.09
01/04/2017	CHRONOWSKI, THEODORA	TRANSAMERICA SHORT-TERM BOND C	0.00	16.12	0.00	16.12	95.0	15.31
01/04/2017	HOOTNER-JONES, ANN	TRANSAMERICA SHORT-TERM BOND C	0.00	8.03	0.00	8.03	95.0	7.63
01/04/2017	RYAN, JACK	TRANSAMERICA SHORT-TERM BOND C	0.00	8.60	0.00	8.60	95.0	8.17
01/04/2017	RYAN, KAREN	TRANSAMERICA SHORT-TERM BOND C	0.00	8.24	0.00	8.24	95.0	7.83
01/04/2017	KNIGHT, SHARON	TRANSAMERICA SMALL/MID CAP VALUE C	0.00	8.90	0.00	8.90	95.0	8.46
01/04/2017	EVANS, SANDRA	TRANSAMERICA TACTICAL INCOME C	0.00	4.50	0.00	4.50	95.0	4.28
01/04/2017	EVANS, ROBERT	TRANSAMERICA TACTICAL INCOME C	0.00	5.40	0.00	5.40	95.0	5.13
01/04/2017	KAWALA, CHRISTINA	TRANSAMERICA TACTICAL INCOME C	0.00	3.00	0.00	3.00	95.0	2.85
01/04/2017	PIZZO, ROSOLINO	TRANSAMERICA WMC DIV EQUITY C	0.00	1.73	0.00	1.73	95.0	1.64
* MUTUAL FUNDS SUBTOTAL *			\$17,164.67	\$6,386.16	\$0.00	\$6,386.16		\$6,041.72
<u>PRODUCT CATEGORY: STOCKS</u>								
12/20/2016	YOUNG TRUST, RICK & DENISE	MAXWELL RESOURCES INC	123.00	50.00	14.00	36.00	95.0	34.20
12/20/2016	YOUNG TRUST, RICK & DENISE	MAXWELL RESOURCES INC	-123.00	-50.00	-14.00	-36.00	95.0	-34.20
12/20/2016	YOUNG TRUST, RICK & DENISE	MAXWELL RESOURCES INC	123.00	22.00	14.00	8.00	95.0	7.60
* STOCKS SUBTOTAL *			\$123.00	\$22.00	\$14.00	\$8.00		\$7.60
<u>PRODUCT CATEGORY: VARIABLE ANNUITIES</u>								
12/31/2016	BERTRAND, C JERRY	JNL ELITE ACCESS	58,000.26	24.17	0.00	24.17	95.0	22.96
12/31/2016	MELTZER, CLARENCE	JNL PERSPECTIVE ADVANTAGE	20,893.34	17.41	0.00	17.41	95.0	16.54
12/31/2016	COVYEAU, FREDERICK J & B	JNL PERSPECTIVE II	90,375.33	37.66	0.00	37.66	95.0	35.78
12/31/2016	JEANNETTE, JUSTIN	JNL PERSPECTIVE II 05/05	470.00	0.39	0.00	0.39	95.0	0.37
12/31/2016	KOSCIELSKI, RONALD	JNL PERSPECTIVE II 05/05	24,781.07	10.33	0.00	10.33	95.0	9.81
12/31/2016	CROSS, LINDA	JNL PERSPECTIVE II 05/05	5,522.31	2.30	0.00	2.30	95.0	2.19
12/31/2016	MAGGARD, LORETTA	JNL PERSPECTIVE II 05/05	42,484.74	17.70	0.00	17.70	95.0	16.82
12/31/2016	RANG, MARILYN	JNL PERSPECTIVE II 05/05	70,454.29	29.36	0.00	29.36	95.0	27.89
12/31/2016	MCDONALD, GLENN	JNL PERSPECTIVE II 05/05	167,906.30	69.96	0.00	69.96	95.0	66.46
12/31/2016	KEELER, SUSAN	JNL PERSPECTIVE II 05/05	121,797.45	50.75	0.00	50.75	95.0	48.21
12/31/2016	PIROZZO, PETER	JNL PERSPECTIVE L	47,916.37	51.91	0.00	51.91	95.0	49.31
12/31/2016	DIEM, LINDA	JOHN HANCOCK VENTURE	570.41	0.12	0.00	0.12	95.0	0.11
12/31/2016	SCERBAK, EILEEN	JOHN HANCOCK VENTURE	42,503.14	8.85	0.00	8.85	95.0	8.41

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: VARIABLE ANNUITIES</u>								
12/31/2016	TYMCZY, MARY JANE	JOHN HANCOCK VENTURE	6,398.53	1.33	0.00	1.33	95.0	1.26
12/31/2016	DANIEL, SABRINA	JOHN HANCOCK VENTURE	280.67	0.06	0.00	0.06	95.0	0.06
12/31/2016	MIKLEVICH, JOYTHUN	JOHN HANCOCK VENTURE	75,873.08	15.81	0.00	15.81	95.0	15.02
12/31/2016	ZUPP, ELEANOR	NATIONWIDE BOA FUTURE II 32	19,702.64	49.26	0.00	49.26	95.0	46.80
12/31/2016	WEHLER, MARY ANN	PRU AS ADVISOR PLAN - 1993	42,952.45	26.85	0.00	26.85	95.0	25.51
12/31/2016	HILDEBRAND, JOSEPH	PRU AS ADVISOR PLAN - 1993	18,568.57	11.61	0.00	11.61	95.0	11.03
12/31/2016	O'CONNOR, FRANCIS	PRU AS ADVISOR PLAN - 1993	11,656.94	7.29	0.00	7.29	95.0	6.93
12/31/2016	MIKLEVICH, MICHAEL	PRU AS ADVISOR PLAN - 1993	62,315.62	38.95	0.00	38.95	95.0	37.00
12/31/2016	HATHAWAY, DEBORAH	PRU AS ADVISOR PLAN II - 1996	2,621.14	1.64	0.00	1.64	95.0	1.56
12/31/2016	CAVERLY, KEVIN	PRU AS ADVISOR PLAN II - 1996	3,395.08	2.12	0.00	2.12	95.0	2.01
12/31/2016	AVOURIS, TIMOTHY	PRU AS ADVISOR PLAN II - 1996	47,677.37	29.80	0.00	29.80	95.0	28.31
12/31/2016	HAZARD, JOHN	PRU AS APEX II	84,029.00	52.52	0.00	52.52	95.0	49.89
12/31/2016	HAZARD, JOHN	PRU AS APEX II	84,029.00	210.07	0.00	210.07	95.0	199.57
12/31/2016	POLENYCHKO, SHIRLEY	PRU AS APEX II	16,286.44	10.18	0.00	10.18	95.0	9.67
12/31/2016	POLENYCHKO, SHIRLEY	PRU AS APEX II	16,286.44	40.72	0.00	40.72	95.0	38.68
12/31/2016	JOUPPI, SHARON	PRU AS LIFEVEST II	227,838.22	427.20	0.00	427.20	95.0	405.84
12/31/2016	JOUPPI, SHARON	PRU AS LIFEVEST II	227,838.22	142.40	0.00	142.40	95.0	135.28
12/31/2016	SARKISIAN, NORAY	PRU AS LIFEVEST II	66,068.94	123.88	0.00	123.88	95.0	117.69
12/31/2016	SARKISIAN, NORAY	PRU AS LIFEVEST II	66,068.94	41.29	0.00	41.29	95.0	39.23
12/31/2016	MERRITT, MARY LOU	PRU AS LIFEVEST II	109,342.40	205.02	0.00	205.02	95.0	194.77
12/31/2016	MERRITT, MARY LOU	PRU AS LIFEVEST II	109,342.40	68.34	0.00	68.34	95.0	64.92
12/31/2016	LOURIA, PHYLLIS	PRU AS LIFEVEST II	37,018.69	69.41	0.00	69.41	95.0	65.94
12/31/2016	LOURIA, PHYLLIS	PRU AS LIFEVEST II	37,018.69	23.14	0.00	23.14	95.0	21.98
12/31/2016	BLANKENSHIP, JANET	PRU AS LIFEVEST II	207,049.46	388.22	0.00	388.22	95.0	368.81
12/31/2016	BLANKENSHIP, JANET	PRU AS LIFEVEST II	207,049.46	129.41	0.00	129.41	95.0	122.94
12/31/2016	HOVIS, BARBARA	PRU AS LIFEVEST II	11,588.34	21.73	0.00	21.73	95.0	20.64
12/31/2016	HOVIS, BARBARA	PRU AS LIFEVEST II	11,588.34	7.24	0.00	7.24	95.0	6.88
12/31/2016	WETZEL, WILLIAM	PRU AS LIFEVEST II	32,086.41	60.16	0.00	60.16	95.0	57.15
12/31/2016	WETZEL, WILLIAM	PRU AS LIFEVEST II	32,086.41	20.05	0.00	20.05	95.0	19.05
12/31/2016	ELLIOT, JAMES	PRU AS LIFEVEST II	208,184.41	390.35	0.00	390.35	95.0	370.83
12/31/2016	ELLIOT, JAMES	PRU AS LIFEVEST II	208,184.41	130.12	0.00	130.12	95.0	123.61
12/31/2016	KRAUSS, IRENE	PRU AS LIFEVEST II	222,662.86	417.49	0.00	417.49	95.0	396.62
12/31/2016	KRAUSS, IRENE	PRU AS LIFEVEST II	222,662.86	139.16	0.00	139.16	95.0	132.20

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: VARIABLE ANNUITIES</u>								
12/31/2016	YANIS, ROSANN	PRU AS LIFEVEST II	43,193.01	80.99	0.00	80.99	95.0	76.94
12/31/2016	YANIS, ROSANN	PRU AS LIFEVEST II	43,193.01	27.00	0.00	27.00	95.0	25.65
12/31/2016	SOBIESKI, JOYCE	PRU AS LIFEVEST II	19,539.73	36.64	0.00	36.64	95.0	34.81
12/31/2016	SOBIESKI, JOYCE	PRU AS LIFEVEST II	19,539.73	12.21	0.00	12.21	95.0	11.60
12/31/2016	SIMONY, JOAN	PRU AS XTRA CREDIT SIX	132,703.51	82.94	0.00	82.94	95.0	78.79
12/31/2016	SIMONY, JOAN	PRU AS XTRA CREDIT SIX	132,703.51	82.94	0.00	82.94	95.0	78.79
12/31/2016	AMMAN, KATHLEEN	PRU AS XTRA CREDIT SIX	83,555.09	52.22	0.00	52.22	95.0	49.61
12/31/2016	AMMAN, KATHLEEN	PRU AS XTRA CREDIT SIX	83,555.09	52.22	0.00	52.22	95.0	49.61
12/31/2016	THOMSON, DOUGLAS	PRU AS XTRA CREDIT SIX	56,771.29	35.48	0.00	35.48	95.0	33.71
12/31/2016	THOMSON, DOUGLAS	PRU AS XTRA CREDIT SIX	56,771.29	35.48	0.00	35.48	95.0	33.71
12/31/2016	KAWALA, CHRISTINA	PRU AS XTRA CREDIT SIX	117,828.43	73.64	0.00	73.64	95.0	69.96
12/31/2016	KAWALA, CHRISTINA	PRU AS XTRA CREDIT SIX	117,828.43	73.64	0.00	73.64	95.0	69.96
12/31/2016	CHEUNG, EDWARD	PRU AS XTRA CREDIT SIX	296,666.63	185.42	0.00	185.42	95.0	176.15
12/31/2016	CHEUNG, EDWARD	PRU AS XTRA CREDIT SIX	296,666.63	185.42	0.00	185.42	95.0	176.15
12/31/2016	BAKER, GENE	PRU AS XTRA CREDIT SIX	212,317.43	132.70	0.00	132.70	95.0	126.07
12/31/2016	BAKER, GENE	PRU AS XTRA CREDIT SIX	212,317.43	132.70	0.00	132.70	95.0	126.07
12/31/2016	TAMM, JAMES	PRU AS XTRA CREDIT SIX	10,381.76	6.49	0.00	6.49	95.0	6.17
12/31/2016	TAMM, JAMES	PRU AS XTRA CREDIT SIX	10,381.76	6.49	0.00	6.49	95.0	6.17
12/31/2016	BUSZEK, PAUL	PRU AS XTRA CREDIT SIX	30,409.16	19.01	0.00	19.01	95.0	18.06
12/31/2016	BUSZEK, PAUL	PRU AS XTRA CREDIT SIX	30,409.16	19.01	0.00	19.01	95.0	18.06
12/31/2016	RIOS-DORIA, H	PRU AS XTRA CREDIT SIX	57,325.01	35.83	0.00	35.83	95.0	34.04
12/31/2016	RIOS-DORIA, H	PRU AS XTRA CREDIT SIX	57,325.01	35.83	0.00	35.83	95.0	34.04
12/31/2016	O'CONNOR, FRANCIS	PRU AS XTRA CREDIT SIX	25,280.23	15.80	0.00	15.80	95.0	15.01
12/31/2016	O'CONNOR, FRANCIS	PRU AS XTRA CREDIT SIX	25,280.23	15.80	0.00	15.80	95.0	15.01
12/31/2016	MCDONALD, CRAIG	PRU AS XTRA CREDIT SIX	21,316.71	13.32	0.00	13.32	95.0	12.65
12/31/2016	MCDONALD, CRAIG	PRU AS XTRA CREDIT SIX	21,316.71	13.32	0.00	13.32	95.0	12.65
12/31/2016	MCDONALD, VICKI	PRU AS XTRA CREDIT SIX	26,043.01	16.28	0.00	16.28	95.0	15.47
12/31/2016	MCDONALD, VICKI	PRU AS XTRA CREDIT SIX	26,043.01	16.28	0.00	16.28	95.0	15.47
12/31/2016	BAUMGART, ROY MARK	PRU AS XTRA CREDIT SIX	151,188.75	94.49	0.00	94.49	95.0	89.77
12/31/2016	BAUMGART, ROY MARK	PRU AS XTRA CREDIT SIX	151,188.75	94.49	0.00	94.49	95.0	89.77
12/31/2016	VOGEL, KEITH	PRU AS XTRA CREDIT SIX	38,111.60	23.82	0.00	23.82	95.0	22.63
12/31/2016	VOGEL, KEITH	PRU AS XTRA CREDIT SIX	38,111.60	23.82	0.00	23.82	95.0	22.63
12/31/2016	BELLINGER, VICKIE	PRU AS XTRA CREDIT SIX	337,730.79	211.08	0.00	211.08	95.0	200.53

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: VARIABLE ANNUITIES</u>								
12/31/2016	BELLINGER, VICKIE	PRU AS XTRA CREDIT SIX	337,730.79	211.08	0.00	211.08	95.0	200.53
12/31/2016	HOOTNER-JONES, ANN	PRU AS XTRA CREDIT SIX	140,615.71	87.88	0.00	87.88	95.0	83.49
12/31/2016	HOOTNER-JONES, ANN	PRU AS XTRA CREDIT SIX	140,615.71	87.88	0.00	87.88	95.0	83.49
12/31/2016	DALTON, GRACE	PRU AS XTRA CREDIT SIX	88,101.19	55.06	0.00	55.06	95.0	52.31
12/31/2016	DALTON, GRACE	PRU AS XTRA CREDIT SIX	88,101.19	55.06	0.00	55.06	95.0	52.31
12/31/2016	JEFFRIES, BARBARA	PRU AS XTRA CREDIT SIX	169,023.39	105.64	0.00	105.64	95.0	100.36
12/31/2016	JEFFRIES, BARBARA	PRU AS XTRA CREDIT SIX	169,023.39	105.64	0.00	105.64	95.0	100.36
12/31/2016	KOZIKOWSKI, TERRY	PRU AS XTRA CREDIT SIX	118,741.04	74.21	0.00	74.21	95.0	70.50
12/31/2016	KOZIKOWSKI, TERRY	PRU AS XTRA CREDIT SIX	118,741.04	74.21	0.00	74.21	95.0	70.50
12/31/2016	ANDERSON, JUDITH	PRU PREMIER RETIREMENT B	167,332.81	104.58	0.00	104.58	95.0	99.35
12/31/2016	GRAMMATICO, DENNIS	PRU PREMIER RETIREMENT B	613,061.73	383.16	0.00	383.16	95.0	364.00
12/31/2016	HANSEN, SUSAN	PRU PREMIER RETIREMENT B	215,753.31	134.85	0.00	134.85	95.0	128.11
12/31/2016	POLANCE, BARBARA	PRU PREMIER RETIREMENT B	247,930.99	154.96	0.00	154.96	95.0	147.21
12/31/2016	MURPHY, PHILIP	PRU PREMIER RETIREMENT B	85,873.44	53.67	0.00	53.67	95.0	50.99
12/31/2016	KEELER, SUSAN	PRU PREMIER RETIREMENT B	126,119.95	78.82	0.00	78.82	95.0	74.88
12/31/2016	PARKE, WALTER	PRU PREMIER RETIREMENT B	102,868.46	64.29	0.00	64.29	95.0	61.08
12/31/2016	WILLS, KELLEY	PRU PREMIER RETIREMENT B	140,806.26	88.00	0.00	88.00	95.0	83.60
12/31/2016	GEISLER, JUDY	PRU PREMIER RETIREMENT B	20,373.09	12.73	0.00	12.73	95.0	12.09
12/31/2016	WAGNER II, HARRY	PRU PREMIER RETIREMENT L	339,948.57	849.87	0.00	849.87	95.0	807.38
12/31/2016	WAGNER, SHARON	PRU PREMIER RETIREMENT L	341,932.56	854.83	0.00	854.83	95.0	812.09
12/31/2016	MULRATH, JOHN	PRU PREMIER RETIREMENT L	145,492.53	363.73	0.00	363.73	95.0	345.54
12/31/2016	NICOLOSI, ROSE	PRU PREMIER RETIREMENT L	471,633.27	1,179.08	0.00	1,179.08	95.0	1,120.13
12/31/2016	SCHROETER, MARY KAY	PRU PREMIER RETIREMENT L	152,938.26	382.35	0.00	382.35	95.0	363.23
12/31/2016	RAONA, GARY	PRU PREMIER RETIREMENT L	9,434.94	23.59	0.00	23.59	95.0	22.41
12/31/2016	SPEARY, LISA	PRU PREMIER RETIREMENT L	90,796.47	226.99	0.00	226.99	95.0	215.64
12/31/2016	FEWLESS, SCOTT	PRU PREMIER RETIREMENT X	18,781.65	11.74	0.00	11.74	95.0	11.15
12/31/2016	JOHNSON, RODNEY	PRU PREMIER RETIREMENT X	184,196.81	115.12	0.00	115.12	95.0	109.36
12/31/2016	KNIGHT, SHARON	PRU PREMIER RETIREMENT X	90,045.22	56.28	0.00	56.28	95.0	53.47
12/31/2016	DEMAN, KENNETH	PRU PREMIER RETIREMENT X	82,764.11	51.73	0.00	51.73	95.0	49.14
12/31/2016	TYNAN, SHELLEY	PRU PREMIER RETIREMENT X	79,688.61	49.81	0.00	49.81	95.0	47.32
12/31/2016	VOGEL, KEITH	PRU PREMIER RETIREMENT X	112,671.91	70.42	0.00	70.42	95.0	66.90
12/31/2016	DUNK, KATHLEEN	PRU PREMIER RETIREMENT X	37,333.29	23.33	0.00	23.33	95.0	22.16
12/31/2016	HENRY, JACQUELINE	PRU PREMIER RETIREMENT X	60,864.08	38.04	0.00	38.04	95.0	36.14

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: VARIABLE ANNUITIES</u>								
12/31/2016	OLSON, MELINDA	PRU PREMIER RETIREMENT X	123,771.81	77.36	0.00	77.36	95.0	73.49
12/31/2016	NACHAZEL, THOMAS	PRU XTRA CREDIT EIGHT	43,633.42	54.54	0.00	54.54	95.0	51.81
12/31/2016	NACHAZEL, THOMAS	PRU XTRA CREDIT EIGHT	43,633.42	27.27	0.00	27.27	95.0	25.91
12/31/2016	RYAN, JACK	PRU XTRA CREDIT EIGHT	55,876.00	69.85	0.00	69.85	95.0	66.36
12/31/2016	RYAN, JACK	PRU XTRA CREDIT EIGHT	55,876.00	34.92	0.00	34.92	95.0	33.17
12/31/2016	RANG, JAMES	PRU XTRA CREDIT EIGHT	96,538.78	120.67	0.00	120.67	95.0	114.64
12/31/2016	RANG, JAMES	PRU XTRA CREDIT EIGHT	96,538.78	60.34	0.00	60.34	95.0	57.32
12/04/2016	SCHROETER, RICHARD	TRANSAMERICA EXTRA	32,856.49	27.38	0.00	27.38	95.0	26.01
12/14/2016	GRUSH, ERNEST	TRANSAMERICA LANDMARK	131,705.71	109.75	0.00	109.75	95.0	104.26
12/28/2016	MADSEN, JOYCE	TRANSAMERICA LANDMARK	4,331.80	3.61	0.00	3.61	95.0	3.43
* VARIABLE ANNUITIES SUBTOTAL *			\$12,406,518.91	\$12,380.85	\$0.00	\$12,380.85		\$11,761.87
<u>PRODUCT CATEGORY: LIFE INSURANCE</u>								
12/19/2016	DINKA, JENNA	PAC LIFE VUL	0.00	100.31	0.00	100.31	95.0	95.29
* LIFE INSURANCE SUBTOTAL *			\$0.00	\$100.31	\$0.00	\$100.31		\$95.29
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
11/30/2016	CFGROUP, VARIOUS	VOYA TRAILS	0.00	2.83	0.00	2.83	95.0	2.69
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *			\$0.00	\$2.83	\$0.00	\$2.83		\$2.69
<u>PRODUCT CATEGORY: VARIABLE ANNUITY 12B1 TRAILS</u>								
12/31/2016	BAYLE, SUSAN	LFG TRAILS	0.00	14.33	0.00	14.33	95.0	13.61
12/31/2016	MORELLI, MARY	LFG TRAILS	0.00	130.90	0.00	130.90	95.0	124.36
12/30/2016	CFGROUP, VARIOUS	GENWORTH VA	0.00	19.06	0.00	19.06	95.0	18.11
* VARIABLE ANNUITY 12B1 TRAILS SUBTOTAL *			\$0.00	\$164.29	\$0.00	\$164.29		\$156.08
*** BROKER TRANSACTIONS TOTAL ***			\$12,423,806.58	\$19,056.44	\$14.00	\$19,042.44		\$18,065.25

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<u>SPLIT TRANSACTIONS</u>								
<u>BROKER: MARK KOSANKE #3</u>								
12/30/2016	ABULNAR, FRANK	ALLIANZ ALTERITY OPTIONS	97,065.17	121.33	0.00	121.33	95.0	115.26
12/30/2016	FORKIN, JOHN	ALLIANZ HIGH FIVE BONUS	177,429.97	221.79	0.00	221.79	95.0	210.70
12/30/2016	ROCCA, MARIA	ALLIANZ REWARDS TRADITIONAL	15,920.25	19.90	0.00	19.90	95.0	18.91
12/30/2016	LOPICCOLO, ARLENE	ALLIANZ VALUEMARK II	46,496.57	29.06	0.00	29.06	95.0	27.61
12/30/2016	LEVERETT, MONA	ALLIANZ VALUEMARK II	56,965.33	35.60	0.00	35.60	95.0	33.82
12/30/2016	SCAGLIONE, DIANA	ALLIANZ VALUEMARK III	102,704.50	64.19	0.00	64.19	95.0	60.98
12/30/2016	KRACHENFELS, EUGENE	ALLIANZ VISION BASIC	13,909.16	17.39	0.00	17.39	95.0	16.52
12/09/2016	CAUL, MARTINA	AM FUNDS AMERICAN BALANCED A	0.00	0.55	0.00	0.55	95.0	0.52
12/09/2016	CAUL, MARTINA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.45	0.00	0.45	95.0	0.43
12/09/2016	GOOSSENS, LORI	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	6.30	0.00	6.30	95.0	5.99
12/09/2016	CAUL, MARTINA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.15	0.00	1.15	95.0	1.09
12/09/2016	SCULLY, DOROTHY	AM FUNDS ICA A	0.00	31.14	0.00	31.14	95.0	29.58
12/09/2016	MCCALL, JEFFREY	AM FUNDS SMALLCAP WORLD A	0.00	3.10	0.00	3.10	95.0	2.95
12/09/2016	DENNIS, STEVEN	AM FUNDS SMALLCAP WORLD A	0.00	16.38	0.00	16.38	95.0	15.56
12/09/2016	MILLER, JOSEPH	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	3.96	0.00	3.96	95.0	3.76
12/09/2016	MILLER, JOSEPH	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	3.96	0.00	3.96	95.0	3.76
12/09/2016	DENNIS, STEVEN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	13.21	0.00	13.21	95.0	12.55
12/19/2016	KNIGHT, SHARON	BLUEROCK RESIDENTIAL GROWTH REIT IN	2,445.72	100.00	14.00	86.00	95.0	81.70
12/09/2016	NICOLOSI, ROSE	COLUMBIA SELIGMAN COMM AND INFO A	0.00	1.87	0.00	1.87	95.0	1.78
12/09/2016	HENKEL, JAMES	DREYFUS HIGH YIELD A	0.00	1.02	0.00	1.02	95.0	0.97
12/09/2016	WERNER, DOROTHY	DREYFUS HIGH YIELD A	0.00	2.21	0.00	2.21	95.0	2.10
12/09/2016	HENKEL, JAMES	EATON VANCE HIGH INCOME OPPORTUNITI	0.00	1.25	0.00	1.25	95.0	1.19
12/09/2016	GREEN, RICHARD	EATON VANCE TAX MANAGED GROWTH FD 1	0.00	5.25	0.00	5.25	95.0	4.99
12/31/2016	KRASS, DELORES	JNL PERSPECTIVE REWARDS	17,755.29	3.70	0.00	3.70	95.0	3.52
12/31/2016	PRITCHETT, EARL	NATIONWIDE MARKETFLEX	46,876.08	29.30	0.00	29.30	95.0	27.84
12/31/2016	MOSIER, JOHN	NATIONWIDE MARKETFLEX	285.48	0.18	0.00	0.18	95.0	0.17
01/06/2017	MOSIER, JOHN	NATIONWIDE MARKETFLEX	200.00	4.00	0.00	4.00	95.0	3.80
12/09/2016	ADAMS, TONJA	PUTNAM INTERNATIONAL VALUE-A	0.00	0.23	0.00	0.23	95.0	0.22
11/29/2016	POLENYCHKO, SHIRLEY	RETAIL PPTYS AMER INC CL A	17,535.13	500.00	14.00	486.00	95.0	461.70
12/09/2016	KNIGHT, SHARON	TRANSAMERICA TACTICAL INCOME C	0.00	12.47	0.00	12.47	95.0	11.85
12/21/2016	CHRONOWSKI, THEODORA	VANGUARD HIGH YIELD CORPORATE BOND	582.00	30.00	15.00	15.00	95.0	14.25
12/30/2016	HOSKIN, JOHN	VICTORY CAPITAL MANAGEMENT	0.00	0.55	0.00	0.55	95.0	0.52
12/30/2016	MARCOLA, ERIKA	VICTORY CAPITAL MANAGEMENT	0.00	0.94	0.00	0.94	95.0	0.89

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<u>SPLIT TRANSACTIONS</u>								
<u>BROKER: MARK KOSANKE #3</u>								
12/09/2016	WERNER, DOROTHY	WELLS FARGO INCOME PLUS A	0.00	2.07	0.00	2.07	95.0	1.97
12/02/2016	MATT, GERALD	XENIA HOTELS & RESORTS INC COM	7,205.28	325.00	14.00	311.00	95.0	295.45
* MARK KOSANKE SUBTOTAL *			\$603,375.93	\$1,609.50	\$57.00	\$1,552.50		\$1,474.90
<u>BROKER: 101 CFGROUP/KOSANKE #9</u>								
01/03/2017	FROMM, MARY	AM FUNDS CAPITAL INCOME BUILDER 529	50.00	2.50	0.00	2.50	95.0	2.38
01/03/2017	FROMM, MARY	AM FUNDS CAPITAL INCOME BUILDER 529	50.00	2.50	0.00	2.50	95.0	2.38
01/03/2017	FROMM, MARY	AM FUNDS CAPITAL INCOME BUILDER 529	50.00	2.50	0.00	2.50	95.0	2.38
01/03/2017	MCLAUGHLIN, TRACY	AM FUNDS ICA A	150.00	7.50	0.00	7.50	95.0	7.13
01/03/2017	FOLLETT, JACOB	AM FUNDS NEW ECONOMY 529A	100.00	5.00	0.00	5.00	95.0	4.75
01/03/2017	FOLLETT, JACOB	AM FUNDS NEW ECONOMY 529A	100.00	5.00	0.00	5.00	95.0	4.75
01/03/2017	MOWINSKI, VINCENZO	AM FUNDS NEW WORLD C	150.00	1.50	0.00	1.50	95.0	1.43
* 101 CFGROUP/KOSANKE SUBTOTAL *			\$650.00	\$26.50	\$0.00	\$26.50		\$25.20
<u>BROKER: J117-PETE/JOAN JOHNSON/FLAM #19</u>								
/ /	PRICOPIO, VANESSA	JH 529 COLLEGE PORT A	0.00	2.46	0.00	2.46	95.0	2.34
* J117-PETE/JOAN JOHNSON/FLAM SUBTOTAL *			\$0.00	\$2.46	\$0.00	\$2.46		\$2.34
<u>BROKER: GROUP FLAM/BUSSELL #32</u>								
12/31/2016	M, OSIP	DELAWARE VALUE A	0.00	1.33	0.00	1.33	95.0	1.26
* GROUP FLAM/BUSSELL SUBTOTAL *			\$0.00	\$1.33	\$0.00	\$1.33		\$1.26
<u>BROKER: PETER JOHNSON #63</u>								
12/30/2016	SUCHYTA, MARY LEE	ALLIANZ VALUEMARK III	389,366.00	243.35	0.00	243.35	95.0	231.18
12/31/2016	ROSS, DAVID	DELAWARE HIGH YIELD OPP A	0.00	26.11	0.00	26.11	95.0	24.80
12/31/2016	KAPELN, J	DELAWARE TAX FREE USA A	0.00	8.61	0.00	8.61	95.0	8.18
12/31/2016	PAPPAS, JANE	DELAWARE VALUE A	0.00	6.24	0.00	6.24	95.0	5.93
12/31/2016	PAPPAS, LARRY	DELAWARE VALUE A	0.00	32.95	0.00	32.95	95.0	31.30
* PETER JOHNSON SUBTOTAL *			\$389,366.00	\$317.26	\$0.00	\$317.26		\$301.39
*** SPLIT TRANSACTIONS TOTAL ***			\$993,391.93	\$1,957.05	\$57.00	\$1,900.05		\$1,805.09

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<u>VERRIDE TRANSACTIONS</u>								
<u>BROKER: FRANK DUNN #7</u>								
12/22/2016	RATZLAF INVESTMENTS, W	PASSCO PARKCREST DST	330,000.00	19,800.00	0.00	19,800.00	90.0	990.00
		* FRANK DUNN SUBTOTAL *	\$330,000.00	\$19,800.00	\$0.00	\$19,800.00		\$990.00
		*** OVERRIDE TRANSACTIONS TOTAL ***	\$330,000.00	\$19,800.00	\$0.00	\$19,800.00		\$990.00

ADJUSTMENTS

01/17/2017		*DUE DILIGENCE: DD-PASSCO-F DUNN	0.00					3,300.00
		*** ADJUSTMENTS TOTAL ***	\$0.00	\$0.00	\$0.00	\$0.00		\$3,300.00

BROKER COMMISSION TOTALS

Broker Transactions	\$18,065.25
Split Transactions	\$1,805.09
Override Transactions	\$990.00
Adjustments	\$3,300.00
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$0.00
FINRA Assessment	\$0.00
SIPC Assessment	\$0.00

Check Amount	\$24,160.34
Year-to-date Gross	\$20,886.68
Year-to-date Earnings	\$20,860.34

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