



Concorde Investment Services, LLC

03/13/2018

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**COMMISSION STATEMENT****March 15, 2018****ACCOUNT HOUSE**1120 E. LONG LAKE ROAD  
SUITE 207  
TROY, MI 48085-**BROKER #: G999**

BRANCH: FOXTROT SAMPLE

| DATE   | CLIENT            | INVESTMENT                          | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE  | BROKER<br>COMMISSION |
|--|-------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|-------|----------------------|
| <b><u>CLEARING TRANSACTIONS</u></b>          |                   |                                     |                      |                     |                    |                   |       |                      |
| <b><u>PRODUCT CATEGORY: MUTUAL FUNDS</u></b> |                   |                                     |                      |                     |                    |                   |       |                      |
| 03/05/2018                                   | CONCORDE, VARIOUS | AM FUNDS AMCAP A                    | 71.81                | 0.00                | 0.00               | 0.00              | 100.0 | 0.00                 |
| 03/05/2018                                   | CONCORDE, VARIOUS | AM FUNDS AMCAP A                    | -75.00               | 0.00                | 0.00               | 0.00              | 100.0 | 0.00                 |
| 03/05/2018                                   | CONCORDE, VARIOUS | AM FUNDS GROWTH FUND OF AMERICA A   | -75.00               | 0.00                | 0.00               | 0.00              | 100.0 | 0.00                 |
| 03/05/2018                                   | CONCORDE, VARIOUS | AM FUNDS GROWTH FUND OF AMERICA A   | 71.81                | 0.00                | 0.00               | 0.00              | 100.0 | 0.00                 |
| 02/28/2018                                   | CONCORDE, VARIOUS | AMERICAN CENTURY STRATEGIC ALLOC AG | 2,597.38             | 0.00                | 0.00               | 0.00              | 100.0 | 0.00                 |
| 02/28/2018                                   | CONCORDE, VARIOUS | AMERICAN CENTURY STRATEGIC ALLOC AG | -2,705.60            | 0.00                | 0.00               | 0.00              | 100.0 | 0.00                 |
| 02/28/2018                                   | CONCORDE, VARIOUS | AMERICAN CENTURY STRATEGIC ALLOC AG | 2,616.77             | 0.00                | 0.00               | 0.00              | 100.0 | 0.00                 |
| 02/28/2018                                   | CONCORDE, VARIOUS | AMERICAN CENTURY STRATEGIC ALLOC AG | -2,704.67            | 0.00                | 0.00               | 0.00              | 100.0 | 0.00                 |
| 03/01/2018                                   | CONCORDE, VARIOUS | JP MORGAN GROWTH ADV A              | 62,688.00            | 0.00                | 0.00               | 0.00              | 100.0 | 0.00                 |
| 03/01/2018                                   | CONCORDE, VARIOUS | JP MORGAN GROWTH ADV A              | -64,000.00           | 0.00                | 0.00               | 0.00              | 100.0 | 0.00                 |
| 03/01/2018                                   | CONCORDE, VARIOUS | JP MORGAN U.S. EQUITY FUND CLASS A  | 73,462.50            | 0.00                | 0.00               | 0.00              | 100.0 | 0.00                 |
| 03/01/2018                                   | CONCORDE, VARIOUS | JP MORGAN U.S. EQUITY FUND CLASS A  | -75,000.00           | 0.00                | 0.00               | 0.00              | 100.0 | 0.00                 |
| 03/01/2018                                   | CONCORDE, VARIOUS | JP MORGAN VALUE ADVANTAGE FUND CLAS | 49,954.50            | 0.00                | 0.00               | 0.00              | 100.0 | 0.00                 |
| 03/01/2018                                   | CONCORDE, VARIOUS | JP MORGAN VALUE ADVANTAGE FUND CLAS | -51,000.00           | 0.00                | 0.00               | 0.00              | 100.0 | 0.00                 |
| 03/08/2018                                   | CONCORDE, VARIOUS | LORD ABBETT FUNDAMENTAL EQUITY A    | 958.42               | 0.00                | 0.00               | 0.00              | 100.0 | 0.00                 |
| 03/08/2018                                   | CONCORDE, VARIOUS | LORD ABBETT FUNDAMENTAL EQUITY A    | -1,008.86            | 0.00                | 0.00               | 0.00              | 100.0 | 0.00                 |
| 02/28/2018                                   | CONCORDE, VARIOUS | LORD ABBETT SHORT DURATION INCOME A | -2,702.37            | 0.00                | 0.00               | 0.00              | 100.0 | 0.00                 |
| 02/28/2018                                   | CONCORDE, VARIOUS | LORD ABBETT SHORT DURATION INCOME A | 2,648.32             | 0.00                | 0.00               | 0.00              | 100.0 | 0.00                 |
| 02/28/2018                                   | CONCORDE, VARIOUS | LORD ABBETT SHORT DURATION INCOME A | -2,702.37            | 0.00                | 0.00               | 0.00              | 100.0 | 0.00                 |
| 02/28/2018                                   | CONCORDE, VARIOUS | LORD ABBETT SHORT DURATION INCOME A | 2,648.32             | 0.00                | 0.00               | 0.00              | 100.0 | 0.00                 |
| 03/01/2018                                   | CONCORDE, VARIOUS | MAINSTAY CUSHING MLP PREMIER FUND C | -24,000.00           | 0.00                | 0.00               | 0.00              | 100.0 | 0.00                 |
| 03/01/2018                                   | CONCORDE, VARIOUS | MAINSTAY CUSHING MLP PREMIER FUND C | 22,860.00            | 0.00                | 0.00               | 0.00              | 100.0 | 0.00                 |
| 03/05/2018                                   | CONCORDE, VARIOUS | PUTNAM CAPITAL SPECTRUM C           | -228.00              | 0.00                | 0.00               | 0.00              | 100.0 | 0.00                 |
| 03/05/2018                                   | CONCORDE, VARIOUS | PUTNAM CAPITAL SPECTRUM C           | 225.72               | 0.00                | 0.00               | 0.00              | 100.0 | 0.00                 |
| 03/05/2018                                   | CONCORDE, VARIOUS | PUTNAM EQUITY SPECTRUM C            | -227.00              | 0.00                | 0.00               | 0.00              | 100.0 | 0.00                 |
| 03/05/2018                                   | CONCORDE, VARIOUS | PUTNAM EQUITY SPECTRUM C            | 224.73               | 0.00                | 0.00               | 0.00              | 100.0 | 0.00                 |

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

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

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

| DATE   | CLIENT            | INVESTMENT                          | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE  | BROKER<br>COMMISSION |
|--|-------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|-------|----------------------|
| <b><u>CLEARING TRANSACTIONS</u></b>          |                   |                                     |                      |                     |                    |                   |       |                      |
| <b><u>PRODUCT CATEGORY: MUTUAL FUNDS</u></b> |                   |                                     |                      |                     |                    |                   |       |                      |
| 02/23/2018                                   | CONCORDE, VARIOUS | TRANSAMERICA AA GROWTH A            | -3,800.00            | 0.00                | 0.00               | 0.00              | 100.0 | 0.00                 |
| 02/23/2018                                   | CONCORDE, VARIOUS | TRANSAMERICA AA GROWTH A            | 3,648.00             | 0.00                | 0.00               | 0.00              | 100.0 | 0.00                 |
| 03/05/2018                                   | CONCORDE, VARIOUS | TRANSAMERICA AA GROWTH C            | -300.00              | 0.00                | 0.00               | 0.00              | 100.0 | 0.00                 |
| 03/05/2018                                   | CONCORDE, VARIOUS | TRANSAMERICA AA GROWTH C            | 297.00               | 0.00                | 0.00               | 0.00              | 100.0 | 0.00                 |
| * MUTUAL FUNDS SUBTOTAL *                    |                   |                                     | \$-5,555.59          | \$0.00              | \$0.00             | \$0.00            |       | \$0.00               |
| <b><u>PRODUCT CATEGORY: STOCKS</u></b>       |                   |                                     |                      |                     |                    |                   |       |                      |
| 03/06/2018                                   | CONCORDE, VARIOUS | ISHARES TR CORE S&P MID-CAP ETF     | -190.48              | 0.00                | 0.00               | 0.00              | 100.0 | 0.00                 |
| 03/06/2018                                   | CONCORDE, VARIOUS | ISHARES TR CORE S&P MID-CAP ETF     | 1,333.39             | 0.00                | 1.00               | -1.00             | 100.0 | -1.00                |
| 03/06/2018                                   | CONCORDE, VARIOUS | ISHARES TR CORE S&P MID-CAP ETF     | -190.48              | 0.00                | 0.00               | 0.00              | 100.0 | 0.00                 |
| 03/06/2018                                   | CONCORDE, VARIOUS | ISHARES TR CORE S&P MID-CAP ETF     | -190.48              | 0.00                | 0.00               | 0.00              | 100.0 | 0.00                 |
| 03/06/2018                                   | CONCORDE, VARIOUS | ISHARES TR CORE S&P MID-CAP ETF     | -190.48              | 0.00                | 0.00               | 0.00              | 100.0 | 0.00                 |
| 03/06/2018                                   | CONCORDE, VARIOUS | ISHARES TR CORE S&P MID-CAP ETF     | -190.48              | 0.00                | 0.00               | 0.00              | 100.0 | 0.00                 |
| 03/06/2018                                   | CONCORDE, VARIOUS | ISHARES TR CORE S&P MID-CAP ETF     | -190.48              | 0.00                | 0.00               | 0.00              | 100.0 | 0.00                 |
| 03/06/2018                                   | CONCORDE, VARIOUS | ISHARES TR S&P 500 INDEX FD         | 274.13               | 0.00                | 0.00               | 0.00              | 100.0 | 0.00                 |
| 03/06/2018                                   | CONCORDE, VARIOUS | ISHARES TR S&P 500 INDEX FD         | 274.13               | 0.00                | 0.00               | 0.00              | 100.0 | 0.00                 |
| 03/06/2018                                   | CONCORDE, VARIOUS | ISHARES TR S&P 500 INDEX FD         | -1,096.50            | 0.00                | 1.00               | -1.00             | 100.0 | -1.00                |
| 03/06/2018                                   | CONCORDE, VARIOUS | ISHARES TR S&P 500 INDEX FD         | 274.13               | 0.00                | 0.00               | 0.00              | 100.0 | 0.00                 |
| 03/06/2018                                   | CONCORDE, VARIOUS | ISHARES TR S&P 500 INDEX FD         | 274.13               | 0.00                | 0.00               | 0.00              | 100.0 | 0.00                 |
| 02/28/2018                                   | CONCORDE, VARIOUS | ONELIFE TECHNOLOGIES CORP           | 846.00               | 0.00                | 1.00               | -1.00             | 100.0 | -1.00                |
| 02/28/2018                                   | CONCORDE, VARIOUS | ONELIFE TECHNOLOGIES CORP           | 846.00               | 0.00                | 1.00               | -1.00             | 100.0 | -1.00                |
| 02/28/2018                                   | CONCORDE, VARIOUS | ONELIFE TECHNOLOGIES CORP           | 987.00               | 0.00                | 1.00               | -1.00             | 100.0 | -1.00                |
| 02/28/2018                                   | CONCORDE, VARIOUS | ONELIFE TECHNOLOGIES CORP           | 141.00               | 0.00                | 1.00               | -1.00             | 100.0 | -1.00                |
| 02/28/2018                                   | CONCORDE, VARIOUS | ONELIFE TECHNOLOGIES CORP           | -2,820.00            | 0.00                | 0.00               | 0.00              | 100.0 | 0.00                 |
| 03/06/2018                                   | CONCORDE, VARIOUS | POWERSHARES ACTIVELY MANAGED EXCHAN | -2,160.91            | 0.00                | 0.00               | 0.00              | 100.0 | 0.00                 |
| 03/06/2018                                   | CONCORDE, VARIOUS | POWERSHARES ACTIVELY MANAGED EXCHAN | -1,300.06            | 0.00                | 0.00               | 0.00              | 100.0 | 0.00                 |
| 03/06/2018                                   | CONCORDE, VARIOUS | POWERSHARES ACTIVELY MANAGED EXCHAN | -7,167.88            | 0.00                | 0.00               | 0.00              | 100.0 | 0.00                 |
| 03/06/2018                                   | CONCORDE, VARIOUS | POWERSHARES ACTIVELY MANAGED EXCHAN | -9,276.08            | 0.00                | 0.00               | 0.00              | 100.0 | 0.00                 |
| 03/06/2018                                   | CONCORDE, VARIOUS | POWERSHARES ACTIVELY MANAGED EXCHAN | -6,869.22            | 0.00                | 0.00               | 0.00              | 100.0 | 0.00                 |
| 03/06/2018                                   | CONCORDE, VARIOUS | POWERSHARES ACTIVELY MANAGED EXCHAN | -3,619.08            | 0.00                | 0.00               | 0.00              | 100.0 | 0.00                 |
| 03/06/2018                                   | CONCORDE, VARIOUS | POWERSHARES ACTIVELY MANAGED EXCHAN | -1,229.78            | 0.00                | 0.00               | 0.00              | 100.0 | 0.00                 |
| 03/06/2018                                   | CONCORDE, VARIOUS | POWERSHARES ACTIVELY MANAGED EXCHAN | -773.01              | 0.00                | 0.00               | 0.00              | 100.0 | 0.00                 |
| 03/06/2018                                   | CONCORDE, VARIOUS | POWERSHARES ACTIVELY MANAGED EXCHAN | -421.64              | 0.00                | 0.00               | 0.00              | 100.0 | 0.00                 |

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|-------------------------------------|-------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|-------|----------------------|
| <b><u>CLEARING TRANSACTIONS</u></b> |                   |                                     |                      |                     |                    |                   |       |                      |
| <b>PRODUCT CATEGORY: STOCKS</b>     |                   |                                     |                      |                     |                    |                   |       |                      |
| 03/06/2018                          | CONCORDE, VARIOUS | POWERSHARES ACTIVELY MANAGED EXCHAN | -1,458.17            | 0.00                | 0.00               | 0.00              | 100.0 | 0.00                 |
| 03/06/2018                          | CONCORDE, VARIOUS | POWERSHARES ACTIVELY MANAGED EXCHAN | -1,159.51            | 0.00                | 0.00               | 0.00              | 100.0 | 0.00                 |
| 03/06/2018                          | CONCORDE, VARIOUS | POWERSHARES ACTIVELY MANAGED EXCHAN | -1,739.27            | 0.00                | 0.00               | 0.00              | 100.0 | 0.00                 |
| 03/06/2018                          | CONCORDE, VARIOUS | POWERSHARES ACTIVELY MANAGED EXCHAN | -6,043.51            | 0.00                | 0.00               | 0.00              | 100.0 | 0.00                 |
| 03/06/2018                          | CONCORDE, VARIOUS | POWERSHARES ACTIVELY MANAGED EXCHAN | -562.19              | 0.00                | 0.00               | 0.00              | 100.0 | 0.00                 |
| 03/06/2018                          | CONCORDE, VARIOUS | POWERSHARES ACTIVELY MANAGED EXCHAN | 7,025.52             | 0.00                | 1.00               | -1.00             | 100.0 | -1.00                |
| 03/06/2018                          | CONCORDE, VARIOUS | POWERSHARES ACTIVELY MANAGED EXCHAN | 8,781.90             | 0.00                | 1.00               | -1.00             | 100.0 | -1.00                |
| 03/06/2018                          | CONCORDE, VARIOUS | POWERSHARES ACTIVELY MANAGED EXCHAN | 7,025.52             | 0.00                | 1.00               | -1.00             | 100.0 | -1.00                |
| 03/06/2018                          | CONCORDE, VARIOUS | POWERSHARES ACTIVELY MANAGED EXCHAN | 28,111.84            | 0.00                | 1.00               | -1.00             | 100.0 | -1.00                |
| 03/06/2018                          | CONCORDE, VARIOUS | POWERSHARES ACTIVELY MANAGED EXCHAN | 3,513.90             | 0.00                | 1.00               | -1.00             | 100.0 | -1.00                |
| 03/06/2018                          | CONCORDE, VARIOUS | POWERSHARES ACTIVELY MANAGED EXCHAN | 8,781.90             | 0.00                | 1.00               | -1.00             | 100.0 | -1.00                |
| 03/06/2018                          | CONCORDE, VARIOUS | POWERSHARES ACTIVELY MANAGED EXCHAN | 17,569.90            | 0.00                | 1.00               | -1.00             | 100.0 | -1.00                |
| 03/06/2018                          | CONCORDE, VARIOUS | POWERSHARES ACTIVELY MANAGED EXCHAN | 1,756.99             | 0.00                | 1.00               | -1.00             | 100.0 | -1.00                |
| 03/06/2018                          | CONCORDE, VARIOUS | POWERSHARES ACTIVELY MANAGED EXCHAN | 8,784.95             | 0.00                | 1.00               | -1.00             | 100.0 | -1.00                |
| 03/06/2018                          | CONCORDE, VARIOUS | POWERSHARES ACTIVELY MANAGED EXCHAN | 8,784.95             | 0.00                | 1.00               | -1.00             | 100.0 | -1.00                |
| 03/06/2018                          | CONCORDE, VARIOUS | POWERSHARES ACTIVELY MANAGED EXCHAN | 1,756.99             | 0.00                | 1.00               | -1.00             | 100.0 | -1.00                |
| 03/06/2018                          | CONCORDE, VARIOUS | POWERSHARES ACTIVELY MANAGED EXCHAN | 1,756.99             | 0.00                | 1.00               | -1.00             | 100.0 | -1.00                |
| 03/06/2018                          | CONCORDE, VARIOUS | POWERSHARES ACTIVELY MANAGED EXCHAN | 1,756.99             | 0.00                | 1.00               | -1.00             | 100.0 | -1.00                |
| 03/06/2018                          | CONCORDE, VARIOUS | POWERSHARES ACTIVELY MANAGED EXCHAN | 1,756.99             | 0.00                | 1.00               | -1.00             | 100.0 | -1.00                |
| 03/06/2018                          | CONCORDE, VARIOUS | POWERSHARES ACTIVELY MANAGED EXCHAN | 1,756.99             | 0.00                | 1.00               | -1.00             | 100.0 | -1.00                |
| 03/06/2018                          | CONCORDE, VARIOUS | POWERSHARES ACTIVELY MANAGED EXCHAN | 1,756.99             | 0.00                | 1.00               | -1.00             | 100.0 | -1.00                |
| 03/06/2018                          | CONCORDE, VARIOUS | POWERSHARES ACTIVELY MANAGED EXCHAN | 1,756.99             | 0.00                | 1.00               | -1.00             | 100.0 | -1.00                |
| 03/06/2018                          | CONCORDE, VARIOUS | POWERSHARES ACTIVELY MANAGED EXCHAN | 1,756.99             | 0.00                | 1.00               | -1.00             | 100.0 | -1.00                |
| 03/06/2018                          | CONCORDE, VARIOUS | POWERSHARES ACTIVELY MANAGED EXCHAN | 1,756.99             | 0.00                | 1.00               | -1.00             | 100.0 | -1.00                |
| 03/06/2018                          | CONCORDE, VARIOUS | POWERSHARES ACTIVELY MANAGED EXCHAN | 7,133.38             | 0.00                | 1.00               | -1.00             | 100.0 | -1.00                |
| 03/06/2018                          | CONCORDE, VARIOUS | POWERSHARES ACTIVELY MANAGED EXCHAN | 1,756.99             | 0.00                | 1.00               | -1.00             | 100.0 | -1.00                |
| 03/06/2018                          | CONCORDE, VARIOUS | POWERSHARES ACTIVELY MANAGED EXCHAN | -404.07              | 0.00                | 0.00               | 0.00              | 100.0 | 0.00                 |
| 03/06/2018                          | CONCORDE, VARIOUS | POWERSHARES ACTIVELY MANAGED EXCHAN | -597.32              | 0.00                | 0.00               | 0.00              | 100.0 | 0.00                 |
| 03/06/2018                          | CONCORDE, VARIOUS | POWERSHARES ACTIVELY MANAGED EXCHAN | -4,251.54            | 0.00                | 0.00               | 0.00              | 100.0 | 0.00                 |
| 03/06/2018                          | CONCORDE, VARIOUS | POWERSHARES ACTIVELY MANAGED EXCHAN | -18,569.74           | 0.00                | 0.00               | 0.00              | 100.0 | 0.00                 |
| 03/06/2018                          | CONCORDE, VARIOUS | POWERSHARES ACTIVELY MANAGED EXCHAN | -702.73              | 0.00                | 0.00               | 0.00              | 100.0 | 0.00                 |
| 03/06/2018                          | CONCORDE, VARIOUS | POWERSHARES ACTIVELY MANAGED EXCHAN | -614.89              | 0.00                | 0.00               | 0.00              | 100.0 | 0.00                 |
| 03/06/2018                          | CONCORDE, VARIOUS | POWERSHARES ACTIVELY MANAGED EXCHAN | -1,967.65            | 0.00                | 0.00               | 0.00              | 100.0 | 0.00                 |

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| DATE                                | CLIENT            | INVESTMENT                          | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE  | BROKER<br>COMMISSION |
|-------------------------------------|-------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|-------|----------------------|
| <b><u>CLEARING TRANSACTIONS</u></b> |                   |                                     |                      |                     |                    |                   |       |                      |
| <b>PRODUCT CATEGORY: STOCKS</b>     |                   |                                     |                      |                     |                    |                   |       |                      |
| 03/06/2018                          | CONCORDE, VARIOUS | POWERSHARES ACTIVELY MANAGED EXCHAN | -3,285.28            | 0.00                | 0.00               | 0.00              | 100.0 | 0.00                 |
| 03/06/2018                          | CONCORDE, VARIOUS | POWERSHARES ACTIVELY MANAGED EXCHAN | -1,405.47            | 0.00                | 0.00               | 0.00              | 100.0 | 0.00                 |
| 03/06/2018                          | CONCORDE, VARIOUS | POWERSHARES ACTIVELY MANAGED EXCHAN | -544.62              | 0.00                | 0.00               | 0.00              | 100.0 | 0.00                 |
| 03/06/2018                          | CONCORDE, VARIOUS | POWERSHARES ACTIVELY MANAGED EXCHAN | -7,466.54            | 0.00                | 0.00               | 0.00              | 100.0 | 0.00                 |
| 03/06/2018                          | CONCORDE, VARIOUS | POWERSHARES ACTIVELY MANAGED EXCHAN | -773.01              | 0.00                | 0.00               | 0.00              | 100.0 | 0.00                 |
| 03/06/2018                          | CONCORDE, VARIOUS | POWERSHARES ACTIVELY MANAGED EXCHAN | -2,793.37            | 0.00                | 0.00               | 0.00              | 100.0 | 0.00                 |
| 03/06/2018                          | CONCORDE, VARIOUS | POWERSHARES ACTIVELY MANAGED EXCHAN | -3,671.78            | 0.00                | 0.00               | 0.00              | 100.0 | 0.00                 |
| 03/06/2018                          | CONCORDE, VARIOUS | POWERSHARES ACTIVELY MANAGED EXCHAN | -1,177.08            | 0.00                | 0.00               | 0.00              | 100.0 | 0.00                 |
| 03/06/2018                          | CONCORDE, VARIOUS | POWERSHARES ACTIVELY MANAGED EXCHAN | -1,282.49            | 0.00                | 0.00               | 0.00              | 100.0 | 0.00                 |
| 03/06/2018                          | CONCORDE, VARIOUS | POWERSHARES ACTIVELY MANAGED EXCHAN | -4,673.18            | 0.00                | 0.00               | 0.00              | 100.0 | 0.00                 |
| 03/06/2018                          | CONCORDE, VARIOUS | POWERSHARES ACTIVELY MANAGED EXCHAN | -1,914.95            | 0.00                | 0.00               | 0.00              | 100.0 | 0.00                 |
| 03/06/2018                          | CONCORDE, VARIOUS | POWERSHARES ACTIVELY MANAGED EXCHAN | -1,177.08            | 0.00                | 0.00               | 0.00              | 100.0 | 0.00                 |
| 03/06/2018                          | CONCORDE, VARIOUS | POWERSHARES ACTIVELY MANAGED EXCHAN | -808.14              | 0.00                | 0.00               | 0.00              | 100.0 | 0.00                 |
| 03/06/2018                          | CONCORDE, VARIOUS | POWERSHARES ACTIVELY MANAGED EXCHAN | -702.73              | 0.00                | 0.00               | 0.00              | 100.0 | 0.00                 |
| 03/06/2018                          | CONCORDE, VARIOUS | POWERSHARES ACTIVELY MANAGED EXCHAN | -1,563.58            | 0.00                | 0.00               | 0.00              | 100.0 | 0.00                 |
| 03/06/2018                          | CONCORDE, VARIOUS | POWERSHARES ACTIVELY MANAGED EXCHAN | -1,950.09            | 0.00                | 0.00               | 0.00              | 100.0 | 0.00                 |
| 03/06/2018                          | CONCORDE, VARIOUS | POWERSHARES ACTIVELY MANAGED EXCHAN | -808.14              | 0.00                | 0.00               | 0.00              | 100.0 | 0.00                 |
| 03/06/2018                          | CONCORDE, VARIOUS | POWERSHARES ACTIVELY MANAGED EXCHAN | -6,113.78            | 0.00                | 0.00               | 0.00              | 100.0 | 0.00                 |
| 03/06/2018                          | CONCORDE, VARIOUS | POWERSHARES ACTIVELY MANAGED EXCHAN | -931.12              | 0.00                | 0.00               | 0.00              | 100.0 | 0.00                 |
| 03/06/2018                          | CONCORDE, VARIOUS | POWERSHARES ACTIVELY MANAGED EXCHAN | -4,163.70            | 0.00                | 0.00               | 0.00              | 100.0 | 0.00                 |
| 03/06/2018                          | CONCORDE, VARIOUS | POWERSHARES ACTIVELY MANAGED EXCHAN | -983.83              | 0.00                | 0.00               | 0.00              | 100.0 | 0.00                 |
| 03/06/2018                          | CONCORDE, VARIOUS | POWERSHARES ACTIVELY MANAGED EXCHAN | -3,337.98            | 0.00                | 0.00               | 0.00              | 100.0 | 0.00                 |
| 03/06/2018                          | CONCORDE, VARIOUS | POWERSHARES ACTIVELY MANAGED EXCHAN | -1,967.65            | 0.00                | 0.00               | 0.00              | 100.0 | 0.00                 |
| 03/06/2018                          | CONCORDE, VARIOUS | POWERSHARES ACTIVELY MANAGED EXCHAN | -298.66              | 0.00                | 0.00               | 0.00              | 100.0 | 0.00                 |
| 03/06/2018                          | CONCORDE, VARIOUS | POWERSHARES ACTIVELY MANAGED EXCHAN | -158.12              | 0.00                | 0.00               | 0.00              | 100.0 | 0.00                 |
| 03/06/2018                          | CONCORDE, VARIOUS | POWERSHARES DB COMMODITY INDEX TRAC | 822.32               | 0.00                | 0.00               | 0.00              | 100.0 | 0.00                 |
| 03/06/2018                          | CONCORDE, VARIOUS | POWERSHARES DB COMMODITY INDEX TRAC | -129,020.02          | 0.00                | 1.00               | -1.00             | 100.0 | -1.00                |
| 03/06/2018                          | CONCORDE, VARIOUS | POWERSHARES DB COMMODITY INDEX TRAC | 4,363.32             | 0.00                | 0.00               | 0.00              | 100.0 | 0.00                 |
| 03/06/2018                          | CONCORDE, VARIOUS | POWERSHARES DB COMMODITY INDEX TRAC | 587.37               | 0.00                | 0.00               | 0.00              | 100.0 | 0.00                 |
| 03/06/2018                          | CONCORDE, VARIOUS | POWERSHARES DB COMMODITY INDEX TRAC | 1,191.52             | 0.00                | 0.00               | 0.00              | 100.0 | 0.00                 |
| 03/06/2018                          | CONCORDE, VARIOUS | POWERSHARES DB COMMODITY INDEX TRAC | 3,423.53             | 0.00                | 0.00               | 0.00              | 100.0 | 0.00                 |
| 03/06/2018                          | CONCORDE, VARIOUS | POWERSHARES DB COMMODITY INDEX TRAC | 1,174.74             | 0.00                | 0.00               | 0.00              | 100.0 | 0.00                 |
| 03/06/2018                          | CONCORDE, VARIOUS | POWERSHARES DB COMMODITY INDEX TRAC | 2,030.62             | 0.00                | 0.00               | 0.00              | 100.0 | 0.00                 |

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

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

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

| DATE                                | CLIENT            | INVESTMENT                          | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE  | BROKER<br>COMMISSION |
|-------------------------------------|-------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|-------|----------------------|
| <b><u>CLEARING TRANSACTIONS</u></b> |                   |                                     |                      |                     |                    |                   |       |                      |
| <b>PRODUCT CATEGORY: STOCKS</b>     |                   |                                     |                      |                     |                    |                   |       |                      |
| 03/06/2018                          | CONCORDE, VARIOUS | POWERSHARES DB COMMODITY INDEX TRAC | 2,299.13             | 0.00                | 0.00               | 0.00              | 100.0 | 0.00                 |
| 03/06/2018                          | CONCORDE, VARIOUS | POWERSHARES DB COMMODITY INDEX TRAC | 2,936.85             | 0.00                | 0.00               | 0.00              | 100.0 | 0.00                 |
| 03/06/2018                          | CONCORDE, VARIOUS | POWERSHARES DB COMMODITY INDEX TRAC | 1,342.56             | 0.00                | 0.00               | 0.00              | 100.0 | 0.00                 |
| 03/06/2018                          | CONCORDE, VARIOUS | POWERSHARES DB COMMODITY INDEX TRAC | 6,175.78             | 0.00                | 0.00               | 0.00              | 100.0 | 0.00                 |
| 03/06/2018                          | CONCORDE, VARIOUS | POWERSHARES DB COMMODITY INDEX TRAC | 839.10               | 0.00                | 0.00               | 0.00              | 100.0 | 0.00                 |
| 03/06/2018                          | CONCORDE, VARIOUS | POWERSHARES DB COMMODITY INDEX TRAC | 553.81               | 0.00                | 0.00               | 0.00              | 100.0 | 0.00                 |
| 03/06/2018                          | CONCORDE, VARIOUS | POWERSHARES DB COMMODITY INDEX TRAC | 738.41               | 0.00                | 0.00               | 0.00              | 100.0 | 0.00                 |
| 03/06/2018                          | CONCORDE, VARIOUS | POWERSHARES DB COMMODITY INDEX TRAC | 436.33               | 0.00                | 0.00               | 0.00              | 100.0 | 0.00                 |
| 03/06/2018                          | CONCORDE, VARIOUS | POWERSHARES DB COMMODITY INDEX TRAC | 1,594.29             | 0.00                | 0.00               | 0.00              | 100.0 | 0.00                 |
| 03/06/2018                          | CONCORDE, VARIOUS | POWERSHARES DB COMMODITY INDEX TRAC | 7,333.73             | 0.00                | 0.00               | 0.00              | 100.0 | 0.00                 |
| 03/06/2018                          | CONCORDE, VARIOUS | POWERSHARES DB COMMODITY INDEX TRAC | 335.64               | 0.00                | 0.00               | 0.00              | 100.0 | 0.00                 |
| 03/06/2018                          | CONCORDE, VARIOUS | POWERSHARES DB COMMODITY INDEX TRAC | 4,799.65             | 0.00                | 0.00               | 0.00              | 100.0 | 0.00                 |
| 03/06/2018                          | CONCORDE, VARIOUS | POWERSHARES DB COMMODITY INDEX TRAC | 1,980.28             | 0.00                | 0.00               | 0.00              | 100.0 | 0.00                 |
| 03/06/2018                          | CONCORDE, VARIOUS | POWERSHARES DB COMMODITY INDEX TRAC | 788.75               | 0.00                | 0.00               | 0.00              | 100.0 | 0.00                 |
| 03/06/2018                          | CONCORDE, VARIOUS | POWERSHARES DB COMMODITY INDEX TRAC | 1,778.89             | 0.00                | 0.00               | 0.00              | 100.0 | 0.00                 |
| 03/06/2018                          | CONCORDE, VARIOUS | POWERSHARES DB COMMODITY INDEX TRAC | 9,582.52             | 0.00                | 0.00               | 0.00              | 100.0 | 0.00                 |
| 03/06/2018                          | CONCORDE, VARIOUS | POWERSHARES DB COMMODITY INDEX TRAC | 771.97               | 0.00                | 0.00               | 0.00              | 100.0 | 0.00                 |
| 03/06/2018                          | CONCORDE, VARIOUS | POWERSHARES DB COMMODITY INDEX TRAC | 1,006.92             | 0.00                | 0.00               | 0.00              | 100.0 | 0.00                 |
| 03/06/2018                          | CONCORDE, VARIOUS | POWERSHARES DB COMMODITY INDEX TRAC | 167.82               | 0.00                | 0.00               | 0.00              | 100.0 | 0.00                 |
| 03/06/2018                          | CONCORDE, VARIOUS | POWERSHARES DB COMMODITY INDEX TRAC | 1,258.65             | 0.00                | 0.00               | 0.00              | 100.0 | 0.00                 |
| 03/06/2018                          | CONCORDE, VARIOUS | POWERSHARES DB COMMODITY INDEX TRAC | 704.84               | 0.00                | 0.00               | 0.00              | 100.0 | 0.00                 |
| 03/06/2018                          | CONCORDE, VARIOUS | POWERSHARES DB COMMODITY INDEX TRAC | 822.32               | 0.00                | 0.00               | 0.00              | 100.0 | 0.00                 |
| 03/06/2018                          | CONCORDE, VARIOUS | POWERSHARES DB COMMODITY INDEX TRAC | 6,326.81             | 0.00                | 0.00               | 0.00              | 100.0 | 0.00                 |
| 03/06/2018                          | CONCORDE, VARIOUS | POWERSHARES DB COMMODITY INDEX TRAC | 1,342.56             | 0.00                | 0.00               | 0.00              | 100.0 | 0.00                 |
| 03/06/2018                          | CONCORDE, VARIOUS | POWERSHARES DB COMMODITY INDEX TRAC | 3,423.53             | 0.00                | 0.00               | 0.00              | 100.0 | 0.00                 |
| 03/06/2018                          | CONCORDE, VARIOUS | POWERSHARES DB COMMODITY INDEX TRAC | 1,493.60             | 0.00                | 0.00               | 0.00              | 100.0 | 0.00                 |
| 03/06/2018                          | CONCORDE, VARIOUS | POWERSHARES DB COMMODITY INDEX TRAC | 7,132.35             | 0.00                | 0.00               | 0.00              | 100.0 | 0.00                 |
| 03/06/2018                          | CONCORDE, VARIOUS | POWERSHARES DB COMMODITY INDEX TRAC | 1,476.82             | 0.00                | 0.00               | 0.00              | 100.0 | 0.00                 |
| 03/06/2018                          | CONCORDE, VARIOUS | POWERSHARES DB COMMODITY INDEX TRAC | 721.63               | 0.00                | 0.00               | 0.00              | 100.0 | 0.00                 |
| 03/06/2018                          | CONCORDE, VARIOUS | POWERSHARES DB COMMODITY INDEX TRAC | 402.77               | 0.00                | 0.00               | 0.00              | 100.0 | 0.00                 |
| 03/06/2018                          | CONCORDE, VARIOUS | POWERSHARES DB COMMODITY INDEX TRAC | 3,742.39             | 0.00                | 0.00               | 0.00              | 100.0 | 0.00                 |
| 03/06/2018                          | CONCORDE, VARIOUS | POWERSHARES DB COMMODITY INDEX TRAC | 1,208.30             | 0.00                | 0.00               | 0.00              | 100.0 | 0.00                 |
| 03/06/2018                          | CONCORDE, VARIOUS | POWERSHARES DB COMMODITY INDEX TRAC | 1,997.06             | 0.00                | 0.00               | 0.00              | 100.0 | 0.00                 |

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

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

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

| DATE                                | CLIENT            | INVESTMENT                          | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE  | BROKER<br>COMMISSION |
|-------------------------------------|-------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|-------|----------------------|
| <b><u>CLEARING TRANSACTIONS</u></b> |                   |                                     |                      |                     |                    |                   |       |                      |
| <b>PRODUCT CATEGORY: STOCKS</b>     |                   |                                     |                      |                     |                    |                   |       |                      |
| 03/06/2018                          | CONCORDE, VARIOUS | POWERSHARES DB COMMODITY INDEX TRAC | 4,480.79             | 0.00                | 0.00               | 0.00              | 100.0 | 0.00                 |
| 03/06/2018                          | CONCORDE, VARIOUS | POWERSHARES DB COMMODITY INDEX TRAC | 3,809.51             | 0.00                | 0.00               | 0.00              | 100.0 | 0.00                 |
| 03/06/2018                          | CONCORDE, VARIOUS | POWERSHARES DB COMMODITY INDEX TRAC | 956.57               | 0.00                | 0.00               | 0.00              | 100.0 | 0.00                 |
| 03/06/2018                          | CONCORDE, VARIOUS | POWERSHARES DB COMMODITY INDEX TRAC | 19,014.01            | 0.00                | 0.00               | 0.00              | 100.0 | 0.00                 |
| 03/06/2018                          | CONCORDE, VARIOUS | POWERSHARES DB COMMODITY INDEX TRAC | 7,652.59             | 0.00                | 0.00               | 0.00              | 100.0 | 0.00                 |
| 03/06/2018                          | CONCORDE, VARIOUS | POWERSHARES DB COMMODITY INDEX TRAC | 1,997.06             | 0.00                | 0.00               | 0.00              | 100.0 | 0.00                 |
| 03/06/2018                          | CONCORDE, VARIOUS | POWERSHARES EXCHANGE-TRADED FD TR I | 23.14                | 0.00                | 0.00               | 0.00              | 100.0 | 0.00                 |
| 03/06/2018                          | CONCORDE, VARIOUS | POWERSHARES EXCHANGE-TRADED FD TR I | 23.14                | 0.00                | 0.00               | 0.00              | 100.0 | 0.00                 |
| 03/06/2018                          | CONCORDE, VARIOUS | POWERSHARES EXCHANGE-TRADED FD TR I | 69.42                | 0.00                | 0.00               | 0.00              | 100.0 | 0.00                 |
| 03/06/2018                          | CONCORDE, VARIOUS | POWERSHARES EXCHANGE-TRADED FD TR I | -23.14               | 0.00                | 1.00               | -1.00             | 100.0 | -1.00                |
| 03/06/2018                          | CONCORDE, VARIOUS | POWERSHARES EXCHANGE-TRADED FD TR I | -254.54              | 0.00                | 1.00               | -1.00             | 100.0 | -1.00                |
| 03/06/2018                          | CONCORDE, VARIOUS | POWERSHARES EXCHANGE-TRADED FD TR I | 46.28                | 0.00                | 0.00               | 0.00              | 100.0 | 0.00                 |
| 03/06/2018                          | CONCORDE, VARIOUS | POWERSHARES EXCHANGE-TRADED FD TR I | 23.14                | 0.00                | 0.00               | 0.00              | 100.0 | 0.00                 |
| 03/06/2018                          | CONCORDE, VARIOUS | POWERSHARES EXCHANGE-TRADED FD TR I | 69.42                | 0.00                | 0.00               | 0.00              | 100.0 | 0.00                 |
| 03/06/2018                          | CONCORDE, VARIOUS | POWERSHARES EXCHANGE-TRADED FD TR I | 23.14                | 0.00                | 0.00               | 0.00              | 100.0 | 0.00                 |
| 03/06/2018                          | CONCORDE, VARIOUS | SPDR PORTFOLIO SMALL CAP ETF        | -90.99               | 0.00                | 0.00               | 0.00              | 100.0 | 0.00                 |
| 03/06/2018                          | CONCORDE, VARIOUS | SPDR PORTFOLIO SMALL CAP ETF        | -60.66               | 0.00                | 0.00               | 0.00              | 100.0 | 0.00                 |
| 03/06/2018                          | CONCORDE, VARIOUS | SPDR PORTFOLIO SMALL CAP ETF        | -90.99               | 0.00                | 0.00               | 0.00              | 100.0 | 0.00                 |
| 03/06/2018                          | CONCORDE, VARIOUS | SPDR PORTFOLIO SMALL CAP ETF        | -30.33               | 0.00                | 0.00               | 0.00              | 100.0 | 0.00                 |
| 03/06/2018                          | CONCORDE, VARIOUS | SPDR PORTFOLIO SMALL CAP ETF        | -30.33               | 0.00                | 0.00               | 0.00              | 100.0 | 0.00                 |
| 03/06/2018                          | CONCORDE, VARIOUS | SPDR PORTFOLIO SMALL CAP ETF        | -30.33               | 0.00                | 0.00               | 0.00              | 100.0 | 0.00                 |
| 03/06/2018                          | CONCORDE, VARIOUS | SPDR PORTFOLIO SMALL CAP ETF        | -30.33               | 0.00                | 0.00               | 0.00              | 100.0 | 0.00                 |
| 03/06/2018                          | CONCORDE, VARIOUS | SPDR PORTFOLIO SMALL CAP ETF        | -60.66               | 0.00                | 0.00               | 0.00              | 100.0 | 0.00                 |
| 03/06/2018                          | CONCORDE, VARIOUS | SPDR PORTFOLIO SMALL CAP ETF        | -30.33               | 0.00                | 0.00               | 0.00              | 100.0 | 0.00                 |
| 03/06/2018                          | CONCORDE, VARIOUS | SPDR PORTFOLIO SMALL CAP ETF        | -30.33               | 0.00                | 0.00               | 0.00              | 100.0 | 0.00                 |
| 03/06/2018                          | CONCORDE, VARIOUS | SPDR PORTFOLIO SMALL CAP ETF        | -30.33               | 0.00                | 0.00               | 0.00              | 100.0 | 0.00                 |
| 03/06/2018                          | CONCORDE, VARIOUS | SPDR PORTFOLIO SMALL CAP ETF        | -60.66               | 0.00                | 0.00               | 0.00              | 100.0 | 0.00                 |
| 03/06/2018                          | CONCORDE, VARIOUS | SPDR PORTFOLIO SMALL CAP ETF        | -30.33               | 0.00                | 0.00               | 0.00              | 100.0 | 0.00                 |
| 03/06/2018                          | CONCORDE, VARIOUS | SPDR PORTFOLIO SMALL CAP ETF        | -30.33               | 0.00                | 0.00               | 0.00              | 100.0 | 0.00                 |
| 03/06/2018                          | CONCORDE, VARIOUS | SPDR PORTFOLIO SMALL CAP ETF        | 879.57               | 0.00                | 1.00               | -1.00             | 100.0 | -1.00                |
| 03/06/2018                          | CONCORDE, VARIOUS | SPDR PORTFOLIO SMALL CAP ETF        | -60.66               | 0.00                | 0.00               | 0.00              | 100.0 | 0.00                 |
| 03/06/2018                          | CONCORDE, VARIOUS | SPDR PORTFOLIO SMALL CAP ETF        | -30.33               | 0.00                | 0.00               | 0.00              | 100.0 | 0.00                 |
| 03/06/2018                          | CONCORDE, VARIOUS | SPDR PORTFOLIO SMALL CAP ETF        | -30.33               | 0.00                | 0.00               | 0.00              | 100.0 | 0.00                 |

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

| DATE                                | CLIENT            | INVESTMENT                          | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE  | BROKER<br>COMMISSION |
|-------------------------------------|-------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|-------|----------------------|
| <b><u>CLEARING TRANSACTIONS</u></b> |                   |                                     |                      |                     |                    |                   |       |                      |
| <b>PRODUCT CATEGORY: STOCKS</b>     |                   |                                     |                      |                     |                    |                   |       |                      |
| 03/06/2018                          | CONCORDE, VARIOUS | SPDR PORTFOLIO SMALL CAP ETF        | -30.33               | 0.00                | 0.00               | 0.00              | 100.0 | 0.00                 |
| 03/06/2018                          | CONCORDE, VARIOUS | SPDR PORTFOLIO SMALL CAP ETF        | -60.66               | 0.00                | 0.00               | 0.00              | 100.0 | 0.00                 |
| 03/06/2018                          | CONCORDE, VARIOUS | SPDR PORTFOLIO SMALL CAP ETF        | -30.33               | 0.00                | 0.00               | 0.00              | 100.0 | 0.00                 |
| 03/06/2018                          | CONCORDE, VARIOUS | SPDR SER TR BARCLAYS HIGH YIELD BD  | -36.00               | 0.00                | 0.00               | 0.00              | 100.0 | 0.00                 |
| 03/06/2018                          | CONCORDE, VARIOUS | SPDR SER TR BARCLAYS HIGH YIELD BD  | -36.00               | 0.00                | 0.00               | 0.00              | 100.0 | 0.00                 |
| 03/06/2018                          | CONCORDE, VARIOUS | SPDR SER TR BARCLAYS HIGH YIELD BD  | 107.99               | 0.00                | 1.00               | -1.00             | 100.0 | -1.00                |
| 03/06/2018                          | CONCORDE, VARIOUS | SPDR SER TR BARCLAYS HIGH YIELD BD  | -36.00               | 0.00                | 0.00               | 0.00              | 100.0 | 0.00                 |
| 02/26/2018                          | CONCORDE, VARIOUS | TIER REIT INC COM NEW               | 23,842.12            | 0.00                | 0.00               | 0.00              | 100.0 | 0.00                 |
| 02/26/2018                          | CONCORDE, VARIOUS | TIER REIT INC COM NEW               | -5,745.03            | 0.00                | 1.00               | -1.00             | 100.0 | -1.00                |
| 02/26/2018                          | CONCORDE, VARIOUS | TIER REIT INC COM NEW               | -4,691.77            | 0.00                | 1.00               | -1.00             | 100.0 | -1.00                |
| 02/26/2018                          | CONCORDE, VARIOUS | TIER REIT INC COM NEW               | -13,405.28           | 0.00                | 1.00               | -1.00             | 100.0 | -1.00                |
| 02/26/2018                          | CONCORDE, VARIOUS | TWO HBRS INVT CORP COM NEW          | 997.74               | 0.00                | 1.00               | -1.00             | 100.0 | -1.00                |
| 02/26/2018                          | CONCORDE, VARIOUS | TWO HBRS INVT CORP COM NEW          | 8,977.70             | 0.00                | 1.00               | -1.00             | 100.0 | -1.00                |
| 02/26/2018                          | CONCORDE, VARIOUS | TWO HBRS INVT CORP COM NEW          | -9,975.42            | 0.00                | 0.00               | 0.00              | 100.0 | 0.00                 |
| 03/06/2018                          | CONCORDE, VARIOUS | VANGUARD INTL EQUITY INDEX FD INC F | -55.00               | 0.00                | 0.00               | 0.00              | 100.0 | 0.00                 |
| 03/06/2018                          | CONCORDE, VARIOUS | VANGUARD INTL EQUITY INDEX FD INC F | -55.00               | 0.00                | 0.00               | 0.00              | 100.0 | 0.00                 |
| 03/06/2018                          | CONCORDE, VARIOUS | VANGUARD INTL EQUITY INDEX FD INC F | -439.98              | 0.00                | 0.00               | 0.00              | 100.0 | 0.00                 |
| 03/06/2018                          | CONCORDE, VARIOUS | VANGUARD INTL EQUITY INDEX FD INC F | -109.99              | 0.00                | 0.00               | 0.00              | 100.0 | 0.00                 |
| 03/06/2018                          | CONCORDE, VARIOUS | VANGUARD INTL EQUITY INDEX FD INC F | -549.97              | 0.00                | 0.00               | 0.00              | 100.0 | 0.00                 |
| 03/06/2018                          | CONCORDE, VARIOUS | VANGUARD INTL EQUITY INDEX FD INC F | -274.99              | 0.00                | 0.00               | 0.00              | 100.0 | 0.00                 |
| 03/06/2018                          | CONCORDE, VARIOUS | VANGUARD INTL EQUITY INDEX FD INC F | -55.00               | 0.00                | 0.00               | 0.00              | 100.0 | 0.00                 |
| 03/06/2018                          | CONCORDE, VARIOUS | VANGUARD INTL EQUITY INDEX FD INC F | -55.00               | 0.00                | 0.00               | 0.00              | 100.0 | 0.00                 |
| 03/06/2018                          | CONCORDE, VARIOUS | VANGUARD INTL EQUITY INDEX FD INC F | -219.99              | 0.00                | 0.00               | 0.00              | 100.0 | 0.00                 |
| 03/06/2018                          | CONCORDE, VARIOUS | VANGUARD INTL EQUITY INDEX FD INC F | -1,429.93            | 0.00                | 0.00               | 0.00              | 100.0 | 0.00                 |
| 03/06/2018                          | CONCORDE, VARIOUS | VANGUARD INTL EQUITY INDEX FD INC F | -55.00               | 0.00                | 0.00               | 0.00              | 100.0 | 0.00                 |
| 03/06/2018                          | CONCORDE, VARIOUS | VANGUARD INTL EQUITY INDEX FD INC F | -55.00               | 0.00                | 0.00               | 0.00              | 100.0 | 0.00                 |
| 03/06/2018                          | CONCORDE, VARIOUS | VANGUARD INTL EQUITY INDEX FD INC F | -219.99              | 0.00                | 0.00               | 0.00              | 100.0 | 0.00                 |
| 03/06/2018                          | CONCORDE, VARIOUS | VANGUARD INTL EQUITY INDEX FD INC F | -55.00               | 0.00                | 0.00               | 0.00              | 100.0 | 0.00                 |
| 03/06/2018                          | CONCORDE, VARIOUS | VANGUARD INTL EQUITY INDEX FD INC F | -109.99              | 0.00                | 0.00               | 0.00              | 100.0 | 0.00                 |
| 03/06/2018                          | CONCORDE, VARIOUS | VANGUARD INTL EQUITY INDEX FD INC F | -219.99              | 0.00                | 0.00               | 0.00              | 100.0 | 0.00                 |
| 03/06/2018                          | CONCORDE, VARIOUS | VANGUARD INTL EQUITY INDEX FD INC F | -439.98              | 0.00                | 0.00               | 0.00              | 100.0 | 0.00                 |
| 03/06/2018                          | CONCORDE, VARIOUS | VANGUARD INTL EQUITY INDEX FD INC F | -109.99              | 0.00                | 0.00               | 0.00              | 100.0 | 0.00                 |
| 03/06/2018                          | CONCORDE, VARIOUS | VANGUARD INTL EQUITY INDEX FD INC F | -329.98              | 0.00                | 0.00               | 0.00              | 100.0 | 0.00                 |

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| DATE                                   | CLIENT            | INVESTMENT                          | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE  | BROKER<br>COMMISSION |
|--|-------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|-------|----------------------|
| <b><u>CLEARING TRANSACTIONS</u></b>    |                   |                                     |                      |                     |                    |                   |       |                      |
| <b><u>PRODUCT CATEGORY: STOCKS</u></b> |                   |                                     |                      |                     |                    |                   |       |                      |
| 03/06/2018                             | CONCORDE, VARIOUS | VANGUARD INTL EQUITY INDEX FD INC F | -55.00               | 0.00                | 0.00               | 0.00              | 100.0 | 0.00                 |
| 03/06/2018                             | CONCORDE, VARIOUS | VANGUARD INTL EQUITY INDEX FD INC F | -55.00               | 0.00                | 0.00               | 0.00              | 100.0 | 0.00                 |
| 03/06/2018                             | CONCORDE, VARIOUS | VANGUARD INTL EQUITY INDEX FD INC F | -219.99              | 0.00                | 0.00               | 0.00              | 100.0 | 0.00                 |
| 03/06/2018                             | CONCORDE, VARIOUS | VANGUARD INTL EQUITY INDEX FD INC F | -55.00               | 0.00                | 0.00               | 0.00              | 100.0 | 0.00                 |
| 03/06/2018                             | CONCORDE, VARIOUS | VANGUARD INTL EQUITY INDEX FD INC F | -274.99              | 0.00                | 0.00               | 0.00              | 100.0 | 0.00                 |
| 03/06/2018                             | CONCORDE, VARIOUS | VANGUARD INTL EQUITY INDEX FD INC F | -109.99              | 0.00                | 0.00               | 0.00              | 100.0 | 0.00                 |
| 03/06/2018                             | CONCORDE, VARIOUS | VANGUARD INTL EQUITY INDEX FD INC F | -219.99              | 0.00                | 0.00               | 0.00              | 100.0 | 0.00                 |
| 03/06/2018                             | CONCORDE, VARIOUS | VANGUARD INTL EQUITY INDEX FD INC F | -494.98              | 0.00                | 0.00               | 0.00              | 100.0 | 0.00                 |
| 03/06/2018                             | CONCORDE, VARIOUS | VANGUARD INTL EQUITY INDEX FD INC F | -714.96              | 0.00                | 0.00               | 0.00              | 100.0 | 0.00                 |
| 03/06/2018                             | CONCORDE, VARIOUS | VANGUARD INTL EQUITY INDEX FD INC F | -164.99              | 0.00                | 0.00               | 0.00              | 100.0 | 0.00                 |
| 03/06/2018                             | CONCORDE, VARIOUS | VANGUARD INTL EQUITY INDEX FD INC F | 7,919.61             | 0.00                | 1.00               | -1.00             | 100.0 | -1.00                |
| 03/06/2018                             | CONCORDE, VARIOUS | VANGUARD INTL EQUITY INDEX FD INC F | -549.97              | 0.00                | 0.00               | 0.00              | 100.0 | 0.00                 |
| 03/06/2018                             | CONCORDE, VARIOUS | VANGUARD INTL EQUITY INDEX FD INC F | -55.00               | 0.00                | 0.00               | 0.00              | 100.0 | 0.00                 |
| 03/06/2018                             | CONCORDE, VARIOUS | VANGUARD INTL EQUITY INDEX FD INC F | -109.99              | 0.00                | 0.00               | 0.00              | 100.0 | 0.00                 |
| 02/26/2018                             | CONCORDE, VARIOUS | WHITESTONE REIT CL B SHS BEN INT IS | 16,195.86            | 0.00                | 0.00               | 0.00              | 100.0 | 0.00                 |
| 02/26/2018                             | CONCORDE, VARIOUS | WHITESTONE REIT CL B SHS BEN INT IS | -651.04              | 0.00                | 1.00               | -1.00             | 100.0 | -1.00                |
| 02/26/2018                             | CONCORDE, VARIOUS | WHITESTONE REIT CL B SHS BEN INT IS | -15,544.77           | 0.00                | 1.00               | -1.00             | 100.0 | -1.00                |
| * STOCKS SUBTOTAL *                    |                   |                                     | \$0.16               | \$0.00              | \$40.00            | \$-40.00          |       | \$-40.00             |
| *** CLEARING TRANSACTIONS TOTAL ***    |                   |                                     | \$-5,555.43          | \$0.00              | \$40.00            | \$-40.00          |       | \$-40.00             |

**DIRECT TRANSACTIONS****PRODUCT CATEGORY: INTERVAL FUNDS**

|                             |                   |                                   |             |        |        |        |       |        |
|-----------------------------|-------------------|-----------------------------------|-------------|--------|--------|--------|-------|--------|
| 02/27/2018                  | HERNDON, TIMOTHY  | BR TOTAL INC & REAL ESTATE FUND A | 5,273.49    | 1.12   | 0.00   | 1.12   | 100.0 | 1.12   |
| 02/27/2018                  | CICONE, SISENANDA | BR TOTAL INC & REAL ESTATE FUND A | 6,807.53    | 1.45   | 0.00   | 1.45   | 100.0 | 1.45   |
| 02/27/2018                  | MCGINNIS TRUST    | BR TOTAL INC & REAL ESTATE FUND A | 34,305.22   | 7.28   | 0.00   | 7.28   | 100.0 | 7.28   |
| * INTERVAL FUNDS SUBTOTAL * |                   |                                   | \$46,386.24 | \$9.85 | \$0.00 | \$9.85 |       | \$9.85 |

**PRODUCT CATEGORY: 529 PLANS**

|            |                        |                                 |        |      |      |      |       |      |
|------------|------------------------|---------------------------------|--------|------|------|------|-------|------|
| 02/28/2018 | SOLORIO, ROQUE         | AM FUNDS AMERICAN BALANCED 529A | 125.00 | 5.31 | 0.00 | 5.31 | 100.0 | 5.31 |
| 03/01/2018 | BUI, VIVIAN            | AM FUNDS AMERICAN BALANCED 529A | 100.00 | 3.75 | 0.00 | 3.75 | 100.0 | 3.75 |
| 03/01/2018 | BUI, VIVIAN            | AM FUNDS AMERICAN BALANCED 529A | 100.00 | 3.75 | 0.00 | 3.75 | 100.0 | 3.75 |
| 03/02/2018 | RAINONE, TRISTINA DAWN | AM FUNDS AMERICAN BALANCED 529A | 100.00 | 4.25 | 0.00 | 4.25 | 100.0 | 4.25 |
| 03/02/2018 | RAINONE, MICHAEL       | AM FUNDS AMERICAN BALANCED 529A | 100.00 | 4.25 | 0.00 | 4.25 | 100.0 | 4.25 |

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

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



| DATE                                  | CLIENT                  | INVESTMENT                          | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE  | BROKER<br>COMMISSION |
|---------------------------------------|-------------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|-------|----------------------|
| <b><u>DIRECT TRANSACTIONS</u></b>     |                         |                                     |                      |                     |                    |                   |       |                      |
| <b>PRODUCT CATEGORY: 529 PLANS</b>    |                         |                                     |                      |                     |                    |                   |       |                      |
| 02/20/2018                            | HARRISON, DAVID         | AM FUNDS BOND FUND OF AMERICA 529A  | 50.00                | 1.00                | 0.00               | 1.00              | 100.0 | 1.00                 |
| 03/01/2018                            | RAMIREZ, MARCOS         | AM FUNDS CAPITAL INCOME BUILDER 529 | 150.00               | 6.38                | 0.00               | 6.38              | 100.0 | 6.38                 |
| 02/28/2018                            | GREEN, WILLIAM          | AM FUNDS COLLEGE 2030 FUND 529A     | 50.00                | 1.75                | 0.00               | 1.75              | 100.0 | 1.75                 |
| 02/20/2018                            | HARRISON, SHARON        | AM FUNDS FUNDAMENTAL INVESTORS 529A | 50.00                | 1.00                | 0.00               | 1.00              | 100.0 | 1.00                 |
| 02/20/2018                            | HARRISON, SHARON        | AM FUNDS GROWTH FUND OF AMERICA 529 | 50.00                | 1.00                | 0.00               | 1.00              | 100.0 | 1.00                 |
| 02/20/2018                            | HARRISON, DAVID         | AM FUNDS GROWTH FUND OF AMERICA 529 | 100.00               | 2.00                | 0.00               | 2.00              | 100.0 | 2.00                 |
| 02/20/2018                            | HARRISON, DAVID         | AM FUNDS GROWTH FUND OF AMERICA 529 | 50.00                | 1.00                | 0.00               | 1.00              | 100.0 | 1.00                 |
| 02/20/2018                            | HARRISON, SHARON        | AM FUNDS GROWTH FUND OF AMERICA 529 | 50.00                | 1.00                | 0.00               | 1.00              | 100.0 | 1.00                 |
| 02/20/2018                            | HARRISON, SHARON        | AM FUNDS NEW PERSPECTIVE 529A       | 50.00                | 1.00                | 0.00               | 1.00              | 100.0 | 1.00                 |
| 02/20/2018                            | HARRISON, DAVID         | AM FUNDS NEW PERSPECTIVE 529A       | 50.00                | 1.00                | 0.00               | 1.00              | 100.0 | 1.00                 |
| 03/02/2018                            | CHIECHA, MOLLY          | AM FUNDS WASHINGTON MUTUAL INVESTOR | 50.00                | 2.50                | 0.00               | 2.50              | 100.0 | 2.50                 |
| 03/01/2018                            | PANOS, VARIOUS          | FA 529 COLLEGE PORT OLD CL A        | 0.00                 | 0.22                | 0.00               | 0.22              | 100.0 | 0.22                 |
| <b>* 529 PLANS SUBTOTAL *</b>         |                         |                                     | <b>\$1,225.00</b>    | <b>\$41.16</b>      | <b>\$0.00</b>      | <b>\$41.16</b>    |       | <b>\$41.16</b>       |
| <b>PRODUCT CATEGORY: MUTUAL FUNDS</b> |                         |                                     |                      |                     |                    |                   |       |                      |
| 03/01/2018                            | DURR, LORENA            | AM FUNDS 2030 TARGET DATE-A         | 100.00               | 4.25                | 0.00               | 4.25              | 100.0 | 4.25                 |
| 03/01/2018                            | COLE, PAUL              | AM FUNDS AMERICAN BALANCED A        | 250.00               | 9.38                | 0.00               | 9.38              | 100.0 | 9.38                 |
| 03/01/2018                            | BUI, VIVIAN             | AM FUNDS AMERICAN BALANCED A        | 100.00               | 3.75                | 0.00               | 3.75              | 100.0 | 3.75                 |
| 03/01/2018                            | WAXHAM, HEATHER         | AM FUNDS AMERICAN BALANCED C        | 3,000.00             | 30.00               | 0.00               | 30.00             | 100.0 | 30.00                |
| 09/03/2013                            | DANGOVIAN TRUST, MARTIN | AM FUNDS AMERICAN MUTUAL A          | 0.00                 | 46.71               | 0.00               | 46.71             | 100.0 | 46.71                |
| 03/01/2018                            | BOOTZ, MATTHEW          | AM FUNDS AMERICAN MUTUAL A          | 50.00                | 2.50                | 0.00               | 2.50              | 100.0 | 2.50                 |
| 03/01/2018                            | CESARE, MARIA           | AM FUNDS CAPITAL INCOME BUILDER A   | 525.00               | 19.69               | 0.00               | 19.69             | 100.0 | 19.69                |
| 03/01/2018                            | DANG, DIEM CHAU LUONG   | AM FUNDS CAPITAL INCOME BUILDER A   | 100.00               | 5.00                | 0.00               | 5.00              | 100.0 | 5.00                 |
| 02/20/2018                            | SINGER, MICHELLE        | AM FUNDS CAPITAL WORLD GRTH & INC A | 50.00                | 1.38                | 0.00               | 1.38              | 100.0 | 1.38                 |
| 03/02/2018                            | SINGER, MICHELLE        | AM FUNDS CAPITAL WORLD GRTH & INC A | 50.00                | 1.38                | 0.00               | 1.38              | 100.0 | 1.38                 |
| 02/20/2018                            | SINGER, MICHELLE        | AM FUNDS EUROPACIFIC GROWTH FUND A  | 50.00                | 1.38                | 0.00               | 1.38              | 100.0 | 1.38                 |
| 03/01/2018                            | STUMP, DAVID            | AM FUNDS EUROPACIFIC GROWTH FUND A  | 50.00                | 2.50                | 0.00               | 2.50              | 100.0 | 2.50                 |
| 03/02/2018                            | SINGER, MICHELLE        | AM FUNDS EUROPACIFIC GROWTH FUND A  | 50.00                | 1.38                | 0.00               | 1.38              | 100.0 | 1.38                 |
| 02/20/2018                            | HERNANDEZ, HECTOR       | AM FUNDS GROWTH AND INCOME A        | 50.00                | 2.50                | 0.00               | 2.50              | 100.0 | 2.50                 |
| 03/01/2018                            | SAM, WINGO              | AM FUNDS GROWTH FUND OF AMERICA A   | 150.00               | 5.63                | 0.00               | 5.63              | 100.0 | 5.63                 |
| 03/01/2018                            | STUMP, DAVID            | AM FUNDS GROWTH FUND OF AMERICA A   | 50.00                | 2.50                | 0.00               | 2.50              | 100.0 | 2.50                 |
| 02/26/2018                            | PRATUS, LINDSEY         | AM FUNDS GROWTH FUND OF AMERICA C   | 150.00               | 1.50                | 0.00               | 1.50              | 100.0 | 1.50                 |
| 02/20/2018                            | WHEELER, PAUL           | AM FUNDS ICA C                      | 60.00                | 0.60                | 0.00               | 0.60              | 100.0 | 0.60                 |
| 02/20/2018                            | LOUDERMILK, SCOTT       | AM FUNDS ICA C                      | 320.00               | 3.20                | 0.00               | 3.20              | 100.0 | 3.20                 |

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| DATE   | CLIENT                      | INVESTMENT                          | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE  | BROKER<br>COMMISSION |
|--|-----------------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|-------|----------------------|
| <b><u>DIRECT TRANSACTIONS</u></b>            |                             |                                     |                      |                     |                    |                   |       |                      |
| <b><u>PRODUCT CATEGORY: MUTUAL FUNDS</u></b> |                             |                                     |                      |                     |                    |                   |       |                      |
| 02/20/2018                                   | LOCKHART, JOSEPH            | AM FUNDS ICA C                      | 480.00               | 4.80                | 0.00               | 4.80              | 100.0 | 4.80                 |
| 02/26/2018                                   | PRATUS, LINDSEY             | AM FUNDS ICA C                      | 150.00               | 1.50                | 0.00               | 1.50              | 100.0 | 1.50                 |
| 02/27/2018                                   | WHEELER, PAUL               | AM FUNDS ICA C                      | 75.00                | 0.75                | 0.00               | 0.75              | 100.0 | 0.75                 |
| 02/27/2018                                   | LOUDERMILK, SCOTT           | AM FUNDS ICA C                      | 400.00               | 4.00                | 0.00               | 4.00              | 100.0 | 4.00                 |
| 02/27/2018                                   | LOCKHART, JOSEPH            | AM FUNDS ICA C                      | 600.00               | 6.00                | 0.00               | 6.00              | 100.0 | 6.00                 |
| 10/24/2017                                   | MCKENZIE, JADA              | AM FUNDS NEW ECONOMY A              | 59.99                | 3.00                | 0.00               | 3.00              | 100.0 | 3.00                 |
| 04/30/2014                                   | HORNER, ESTATE OF, BONNIE   | FRANKLIN TEMPLETON MONEY C          | 0.00                 | 6.69                | 0.00               | 6.69              | 100.0 | 6.69                 |
| 11/05/2015                                   | SMITH REV TRUST #2, CHARLES | GRIFFIN INSTITUTIONAL ACCESS REAL E | 34,999.99            | 350.00              | 0.00               | 350.00            | 100.0 | 350.00               |
| 03/16/2016                                   | STRAITH LIV TRUST, JAMES    | GRIFFIN INSTITUTIONAL ACCESS REAL E | 49,999.99            | 500.00              | 0.00               | 500.00            | 100.0 | 500.00               |
| 09/16/2016                                   | BONGIOVANNI TOD, CLARICE    | TRANSAMERICA AA CONSERVATIVE A      | 249.99               | 11.88               | 0.00               | 11.88             | 100.0 | 11.88                |
| 03/04/2013                                   | LEDIN TRUST, ALICE          | TRANSAMERICA AA GROWTH C            | 0.00                 | 1.39                | 0.00               | 1.39              | 100.0 | 1.39                 |
| <b>* MUTUAL FUNDS SUBTOTAL *</b>             |                             |                                     | <b>\$92,169.96</b>   | <b>\$1,035.24</b>   | <b>\$0.00</b>      | <b>\$1,035.24</b> |       | <b>\$1,035.24</b>    |
| <b><u>PRODUCT CATEGORY: STOCKS</u></b>       |                             |                                     |                      |                     |                    |                   |       |                      |
| 02/05/2018                                   | CONCORDE IS                 | ISHARES CORE S&P SMALL CAP ETF      | 39,751.40            | 0.00                | 0.00               | 0.00              | 100.0 | 0.00                 |
| 02/05/2018                                   | CONCORDE IS                 | ISHARES CORE S&P SMALL CAP ETF      | 39,751.41            | 0.00                | 0.00               | 0.00              | 100.0 | 0.00                 |
| 02/05/2018                                   | CONCORDE IS                 | ISHARES CURRENCY HEDGED             | 96,363.27            | 0.00                | 0.00               | 0.00              | 100.0 | 0.00                 |
| 02/05/2018                                   | CONCORDE IS                 | ISHARES CURRENCY HEDGED             | 96,363.27            | 0.00                | 0.00               | 0.00              | 100.0 | 0.00                 |
| 02/05/2018                                   | CONCORDE IS                 | ISHARES S&P 500 VALUE ETF           | 55,681.15            | 0.00                | 0.00               | 0.00              | 100.0 | 0.00                 |
| 02/05/2018                                   | CONCORDE IS                 | ISHARES S&P 500 VALUE ETF           | 55,681.16            | 0.00                | 0.00               | 0.00              | 100.0 | 0.00                 |
| 02/05/2018                                   | CONCORDE IS                 | ISHARES TR                          | 34,556.00            | 0.00                | 0.00               | 0.00              | 100.0 | 0.00                 |
| 02/05/2018                                   | CONCORDE IS                 | ISHARES TR                          | 34,556.00            | 0.00                | 0.00               | 0.00              | 100.0 | 0.00                 |
| 02/05/2018                                   | CONCORDE IS                 | ISHARES TR                          | 65,045.01            | 0.00                | 0.00               | 0.00              | 100.0 | 0.00                 |
| 02/05/2018                                   | CONCORDE IS                 | ISHARES TR                          | 65,045.01            | 0.00                | 0.00               | 0.00              | 100.0 | 0.00                 |
| 02/05/2018                                   | CONCORDE IS                 | ISHARES TR BARCLAYS 1-3 YR TREAS BD | 43,610.50            | 0.00                | 0.00               | 0.00              | 100.0 | 0.00                 |
| 02/05/2018                                   | CONCORDE IS                 | ISHARES TR BARCLAYS 1-3 YR TREAS BD | 43,610.49            | 0.00                | 0.00               | 0.00              | 100.0 | 0.00                 |
| 02/05/2018                                   | CONCORDE IS                 | ISHARES TR BARCLAYS 20+ YR TREAS BD | 1,785.90             | 0.00                | 0.00               | 0.00              | 100.0 | 0.00                 |
| 02/05/2018                                   | CONCORDE IS                 | ISHARES TR BARCLAYS 20+ YR TREAS BD | 1,785.90             | 0.00                | 0.00               | 0.00              | 100.0 | 0.00                 |
| 02/05/2018                                   | CONCORDE IS                 | ISHARES TR BARCLAYS INTER CR BD FD  | 115,618.31           | 0.00                | 0.00               | 0.00              | 100.0 | 0.00                 |
| 02/05/2018                                   | CONCORDE IS                 | ISHARES TR BARCLAYS INTER CR BD FD  | 115,618.30           | 0.00                | 0.00               | 0.00              | 100.0 | 0.00                 |
| 02/05/2018                                   | CONCORDE IS                 | ISHARES TR CORE S&P MID-CAP ETF     | 56,585.81            | 0.00                | 0.00               | 0.00              | 100.0 | 0.00                 |
| 02/05/2018                                   | CONCORDE IS                 | ISHARES TR CORE S&P MID-CAP ETF     | 56,585.82            | 0.00                | 0.00               | 0.00              | 100.0 | 0.00                 |
| 02/22/2018                                   | CONCORDE IS                 | ISHARES TR CORE S&P MID-CAP ETF     | 22,584.99            | 0.00                | 0.00               | 0.00              | 100.0 | 0.00                 |
| 02/22/2018                                   | CONCORDE IS                 | ISHARES TR CORE S&P MID-CAP ETF     | 22,584.99            | 0.00                | 0.00               | 0.00              | 100.0 | 0.00                 |

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| DATE                              | CLIENT      | INVESTMENT                          | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE  | BROKER<br>COMMISSION |
|-----------------------------------|-------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|-------|----------------------|
| <b><u>DIRECT TRANSACTIONS</u></b> |             |                                     |                      |                     |                    |                   |       |                      |
| <b>PRODUCT CATEGORY: STOCKS</b>   |             |                                     |                      |                     |                    |                   |       |                      |
| 02/22/2018                        | CONCORDE IS | ISHARES TR CORE TOTAL U S BD MKT ET | 2,023.12             | 0.00                | 0.00               | 0.00              | 100.0 | 0.00                 |
| 02/22/2018                        | CONCORDE IS | ISHARES TR CORE TOTAL U S BD MKT ET | 2,023.12             | 0.00                | 0.00               | 0.00              | 100.0 | 0.00                 |
| 02/05/2018                        | CONCORDE IS | ISHARES TR IBOX USD INVT GRADE COR  | 47,933.79            | 0.00                | 0.00               | 0.00              | 100.0 | 0.00                 |
| 02/05/2018                        | CONCORDE IS | ISHARES TR IBOX USD INVT GRADE COR  | 47,933.78            | 0.00                | 0.00               | 0.00              | 100.0 | 0.00                 |
| 02/05/2018                        | CONCORDE IS | ISHARES TR JPMORGAN USD EMERGING MK | 39,046.47            | 0.00                | 0.00               | 0.00              | 100.0 | 0.00                 |
| 02/05/2018                        | CONCORDE IS | ISHARES TR JPMORGAN USD EMERGING MK | 39,046.47            | 0.00                | 0.00               | 0.00              | 100.0 | 0.00                 |
| 02/05/2018                        | CONCORDE IS | ISHARES TR RUSSELL 1000 GROWTH INDE | 35,403.38            | 0.00                | 0.00               | 0.00              | 100.0 | 0.00                 |
| 02/05/2018                        | CONCORDE IS | ISHARES TR RUSSELL 1000 GROWTH INDE | 35,403.38            | 0.00                | 0.00               | 0.00              | 100.0 | 0.00                 |
| 02/22/2018                        | CONCORDE IS | ISHARES TR RUSSELL 2000 INDEX FD    | 16,293.62            | 0.00                | 0.00               | 0.00              | 100.0 | 0.00                 |
| 02/22/2018                        | CONCORDE IS | ISHARES TR RUSSELL 2000 INDEX FD    | 16,293.62            | 0.00                | 0.00               | 0.00              | 100.0 | 0.00                 |
| 02/05/2018                        | CONCORDE IS | ISHARES TR S&P 500 GROWTH ETF       | 11,404.09            | 0.00                | 0.00               | 0.00              | 100.0 | 0.00                 |
| 02/05/2018                        | CONCORDE IS | ISHARES TR S&P 500 GROWTH ETF       | 11,404.09            | 0.00                | 0.00               | 0.00              | 100.0 | 0.00                 |
| 02/05/2018                        | CONCORDE IS | ISHARES TR S&P 500 INDEX FD         | 354,903.17           | 0.00                | 0.00               | 0.00              | 100.0 | 0.00                 |
| 02/05/2018                        | CONCORDE IS | ISHARES TR S&P 500 INDEX FD         | 354,903.17           | 0.00                | 0.00               | 0.00              | 100.0 | 0.00                 |
| 02/22/2018                        | CONCORDE IS | ISHARES TR S&P 500 INDEX FD         | 2,472.03             | 0.00                | 0.00               | 0.00              | 100.0 | 0.00                 |
| 02/22/2018                        | CONCORDE IS | ISHARES TR S&P 500 INDEX FD         | 2,472.03             | 0.00                | 0.00               | 0.00              | 100.0 | 0.00                 |
| 02/05/2018                        | CONCORDE IS | ISHARES TRUST                       | 39,021.94            | 0.00                | 0.00               | 0.00              | 100.0 | 0.00                 |
| 02/05/2018                        | CONCORDE IS | ISHARES TRUST                       | 39,021.95            | 0.00                | 0.00               | 0.00              | 100.0 | 0.00                 |
| 02/05/2018                        | CONCORDE IS | ISHARES U S ETF TR                  | 70,097.27            | 0.00                | 0.00               | 0.00              | 100.0 | 0.00                 |
| 02/05/2018                        | CONCORDE IS | ISHARES U S ETF TR                  | 70,097.27            | 0.00                | 0.00               | 0.00              | 100.0 | 0.00                 |
| 02/05/2018                        | CONCORDE IS | ISHARES U S TREASURY BOND           | 27,944.05            | 0.00                | 0.00               | 0.00              | 100.0 | 0.00                 |
| 02/05/2018                        | CONCORDE IS | ISHARES U S TREASURY BOND           | 27,944.05            | 0.00                | 0.00               | 0.00              | 100.0 | 0.00                 |
| 02/22/2018                        | CONCORDE IS | POWERSHARES DB COMMODITY INDEX TRAC | 737.11               | 0.00                | 0.00               | 0.00              | 100.0 | 0.00                 |
| 02/22/2018                        | CONCORDE IS | POWERSHARES DB COMMODITY INDEX TRAC | 737.11               | 0.00                | 0.00               | 0.00              | 100.0 | 0.00                 |
| 02/22/2018                        | CONCORDE IS | POWERSHARES EXCHANGE-TRADED FD TR I | 554.82               | 0.00                | 0.00               | 0.00              | 100.0 | 0.00                 |
| 02/22/2018                        | CONCORDE IS | POWERSHARES EXCHANGE-TRADED FD TR I | 554.83               | 0.00                | 0.00               | 0.00              | 100.0 | 0.00                 |
| 02/05/2018                        | CONCORDE IS | POWERSHARES GLOBAL EXCHANGE TRADED  | 43,121.32            | 0.00                | 0.00               | 0.00              | 100.0 | 0.00                 |
| 02/05/2018                        | CONCORDE IS | POWERSHARES GLOBAL EXCHANGE TRADED  | 43,121.33            | 0.00                | 0.00               | 0.00              | 100.0 | 0.00                 |
| 02/05/2018                        | CONCORDE IS | SPDR INDEX SHARES FUNDS             | 118,872.01           | 0.00                | 0.00               | 0.00              | 100.0 | 0.00                 |
| 02/05/2018                        | CONCORDE IS | SPDR INDEX SHARES FUNDS             | 118,872.01           | 0.00                | 0.00               | 0.00              | 100.0 | 0.00                 |
| 02/05/2018                        | CONCORDE IS | SPDR PORTFOLIO SMALL CAP ETF        | 39,815.51            | 0.00                | 0.00               | 0.00              | 100.0 | 0.00                 |
| 02/05/2018                        | CONCORDE IS | SPDR PORTFOLIO SMALL CAP ETF        | 39,815.51            | 0.00                | 0.00               | 0.00              | 100.0 | 0.00                 |
| 02/22/2018                        | CONCORDE IS | SPDR PORTFOLIO SMALL CAP ETF        | 16,102.04            | 0.00                | 0.00               | 0.00              | 100.0 | 0.00                 |

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| DATE                              | CLIENT      | INVESTMENT                          | INVESTMENT<br>AMOUNT  | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE  | BROKER<br>COMMISSION |
|-----------------------------------|-------------|-------------------------------------|-----------------------|---------------------|--------------------|-------------------|-------|----------------------|
| <b><u>DIRECT TRANSACTIONS</u></b> |             |                                     |                       |                     |                    |                   |       |                      |
| <b>PRODUCT CATEGORY: STOCKS</b>   |             |                                     |                       |                     |                    |                   |       |                      |
| 02/22/2018                        | CONCORDE IS | SPDR PORTFOLIO SMALL CAP ETF        | 16,102.04             | 0.00                | 0.00               | 0.00              | 100.0 | 0.00                 |
| 02/22/2018                        | CONCORDE IS | SPDR S&P MIDCAP 400 ETF TR UNIT SER | 23,479.21             | 0.00                | 0.00               | 0.00              | 100.0 | 0.00                 |
| 02/22/2018                        | CONCORDE IS | SPDR S&P MIDCAP 400 ETF TR UNIT SER | 23,479.21             | 0.00                | 0.00               | 0.00              | 100.0 | 0.00                 |
| 02/22/2018                        | CONCORDE IS | SPDR SER TR BARCLAYS HIGH YIELD BD  | 651.24                | 0.00                | 0.00               | 0.00              | 100.0 | 0.00                 |
| 02/22/2018                        | CONCORDE IS | SPDR SER TR BARCLAYS HIGH YIELD BD  | 651.24                | 0.00                | 0.00               | 0.00              | 100.0 | 0.00                 |
| 02/05/2018                        | CONCORDE IS | SPDR SERIES TRUST                   | 62,409.84             | 0.00                | 0.00               | 0.00              | 100.0 | 0.00                 |
| 02/05/2018                        | CONCORDE IS | SPDR SERIES TRUST                   | 62,409.84             | 0.00                | 0.00               | 0.00              | 100.0 | 0.00                 |
| 02/05/2018                        | CONCORDE IS | SPDR SERIES TRUST                   | 45,780.25             | 0.00                | 0.00               | 0.00              | 100.0 | 0.00                 |
| 02/05/2018                        | CONCORDE IS | SPDR SERIES TRUST                   | 45,780.27             | 0.00                | 0.00               | 0.00              | 100.0 | 0.00                 |
| 02/05/2018                        | CONCORDE IS | SPDR SERIES TRUST                   | 275,845.29            | 0.00                | 0.00               | 0.00              | 100.0 | 0.00                 |
| 02/05/2018                        | CONCORDE IS | SPDR SERIES TRUST                   | 275,845.38            | 0.00                | 0.00               | 0.00              | 100.0 | 0.00                 |
| 02/05/2018                        | CONCORDE IS | SPDR SERIES TRUST                   | 17,998.19             | 0.00                | 0.00               | 0.00              | 100.0 | 0.00                 |
| 02/05/2018                        | CONCORDE IS | SPDR SERIES TRUST                   | 17,998.20             | 0.00                | 0.00               | 0.00              | 100.0 | 0.00                 |
| 02/05/2018                        | CONCORDE IS | SPDR SERIES TRUST                   | 105,046.36            | 0.00                | 0.00               | 0.00              | 100.0 | 0.00                 |
| 02/05/2018                        | CONCORDE IS | SPDR SERIES TRUST                   | 105,046.35            | 0.00                | 0.00               | 0.00              | 100.0 | 0.00                 |
| 02/05/2018                        | CONCORDE IS | SPDR SERIES TRUST                   | 73,250.15             | 0.00                | 0.00               | 0.00              | 100.0 | 0.00                 |
| 02/05/2018                        | CONCORDE IS | SPDR SERIES TRUST                   | 73,250.15             | 0.00                | 0.00               | 0.00              | 100.0 | 0.00                 |
| 02/22/2018                        | CONCORDE IS | VANGUARD CHARLOTTE FDS TOTAL INTL B | 270.05                | 0.00                | 0.00               | 0.00              | 100.0 | 0.00                 |
| 02/22/2018                        | CONCORDE IS | VANGUARD CHARLOTTE FDS TOTAL INTL B | 270.05                | 0.00                | 0.00               | 0.00              | 100.0 | 0.00                 |
| 02/05/2018                        | CONCORDE IS | VANGUARD INDEX FDS VANGUARD GROWTH  | 31,372.62             | 0.00                | 0.00               | 0.00              | 100.0 | 0.00                 |
| 02/05/2018                        | CONCORDE IS | VANGUARD INDEX FDS VANGUARD GROWTH  | 31,372.62             | 0.00                | 0.00               | 0.00              | 100.0 | 0.00                 |
| 02/22/2018                        | CONCORDE IS | VANGUARD INDEX FDS VANGUARD REIT ET | 1,185.44              | 0.00                | 0.00               | 0.00              | 100.0 | 0.00                 |
| 02/22/2018                        | CONCORDE IS | VANGUARD INDEX FDS VANGUARD REIT ET | 1,185.44              | 0.00                | 0.00               | 0.00              | 100.0 | 0.00                 |
| 02/22/2018                        | CONCORDE IS | VANGUARD INTL EQUITY INDEX FD INC F | 1,556.80              | 0.00                | 0.00               | 0.00              | 100.0 | 0.00                 |
| 02/22/2018                        | CONCORDE IS | VANGUARD INTL EQUITY INDEX FD INC F | 1,556.80              | 0.00                | 0.00               | 0.00              | 100.0 | 0.00                 |
| 02/05/2018                        | CONCORDE IS | VANGUARD INTL EQUITY INDEX FDS MSCI | 71,659.55             | 0.00                | 0.00               | 0.00              | 100.0 | 0.00                 |
| 02/05/2018                        | CONCORDE IS | VANGUARD INTL EQUITY INDEX FDS MSCI | 71,659.55             | 0.00                | 0.00               | 0.00              | 100.0 | 0.00                 |
| 02/05/2018                        | CONCORDE IS | VANGUARD SCOTTSDALE FUNDS           | 47,010.96             | 0.00                | 0.00               | 0.00              | 100.0 | 0.00                 |
| 02/05/2018                        | CONCORDE IS | VANGUARD SCOTTSDALE FUNDS           | 47,010.96             | 0.00                | 0.00               | 0.00              | 100.0 | 0.00                 |
| 02/05/2018                        | CONCORDE IS | VANGUARD TAX-MANAGED INTL FD FTSE D | 160,513.26            | 0.00                | 0.00               | 0.00              | 100.0 | 0.00                 |
| 02/05/2018                        | CONCORDE IS | VANGUARD TAX-MANAGED INTL FD FTSE D | 160,513.25            | 0.00                | 0.00               | 0.00              | 100.0 | 0.00                 |
| <b>* STOCKS SUBTOTAL *</b>        |             |                                     | <b>\$4,630,714.71</b> | <b>\$0.00</b>       | <b>\$0.00</b>      | <b>\$0.00</b>     |       | <b>\$0.00</b>        |

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| DATE  | CLIENT              | INVESTMENT                         | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE  | BROKER<br>COMMISSION |
|---|---------------------|------------------------------------|----------------------|---------------------|--------------------|-------------------|-------|----------------------|
| <b><u>DIRECT TRANSACTIONS</u></b>                       |                     |                                    |                      |                     |                    |                   |       |                      |
| <b><u>PRODUCT CATEGORY: VARIABLE ANNUITIES</u></b>      |                     |                                    |                      |                     |                    |                   |       |                      |
| 11/30/2017  | LORENTZ, ANDREW     | METLIFE TRAILS                     | 0.00                 | 1.00                | 0.00               | 1.00              | 100.0 | 1.00                 |
| 02/28/2018  | LUND, VARIOUS       | ADV CENTURY                        | 0.00                 | 612.66              | 0.00               | 612.66            | 100.0 | 612.66               |
| 02/28/2018  | LUND, VARIOUS       | ADV CENTURY                        | 0.00                 | 36.75               | 0.00               | 36.75             | 100.0 | 36.75                |
| 02/16/2018  | FORMELLA, DAVID     | GENWORTH INS                       | 11,778.62            | 2.45                | 0.00               | 2.45              | 100.0 | 2.45                 |
| 02/16/2018  | FORMELLA, ANNETTE   | GENWORTH INS                       | 11,955.00            | 2.49                | 0.00               | 2.49              | 100.0 | 2.49                 |
| 02/28/2018  | PEEK, EUNICE        | JOHN HANCOCK VANTAGE               | 15,785.58            | 3.29                | 0.00               | 3.29              | 100.0 | 3.29                 |
| 02/28/2018  | PEEK LI, VASSIE     | JOHN HANCOCK VENTURE III           | 19,359.46            | 16.13               | 0.00               | 16.13             | 100.0 | 16.13                |
| 02/27/2018  | RIDDLEBARGE, DAWN   | SBL ADVISOR PROGRAM                | 849.44               | 0.16                | 0.00               | 0.16              | 100.0 | 0.16                 |
| 02/27/2018  | BURNSIDE, SHARON    | SBL ADVISOR PROGRAM                | 10,564.87            | 2.20                | 0.00               | 2.20              | 100.0 | 2.20                 |
| 02/27/2018  | LOOMIS, CATHERINE   | SBL ADVISOR PROGRAM                | 5,196.60             | 1.09                | 0.00               | 1.09              | 100.0 | 1.09                 |
| 02/02/2018  | BREWER, VARIOUS     | TRANSAMERICA EXTRA                 | 18,273.01            | 15.23               | 0.00               | 15.23             | 100.0 | 15.23                |
| 02/04/2018  | BELTRAN, RANDOLPH   | TRANSAMERICA EXTRA                 | 109,542.08           | 91.29               | 0.00               | 91.29             | 100.0 | 91.29                |
| 02/27/2018  | LEONARD, NITA       | TRANSAMERICA EXTRA                 | 48,482.94            | 40.40               | 0.00               | 40.40             | 100.0 | 40.40                |
| 02/12/2018  | WILLIAMS, JESSIE    | TRANSAMERICA LIBERTY               | 71,172.03            | 59.31               | 0.00               | 59.31             | 100.0 | 59.31                |
| 02/13/2018  | MOORE, WILLIAM      | TRANSAMERICA LIBERTY               | 10,388.09            | 8.66                | 0.00               | 8.66              | 100.0 | 8.66                 |
| 02/24/2018  | MORRISON, BARRETT   | TRANSAMERICA PRINCIPIUM            | 86,753.44            | 72.29               | 0.00               | 72.29             | 100.0 | 72.29                |
| <b>* VARIABLE ANNUITIES SUBTOTAL *</b>                  |                     |                                    | <b>\$420,101.16</b>  | <b>\$965.40</b>     | <b>\$0.00</b>      | <b>\$965.40</b>   |       | <b>\$965.40</b>      |
| <b><u>PRODUCT CATEGORY: VARIABLE UNIVERSAL LIFE</u></b> |                     |                                    |                      |                     |                    |                   |       |                      |
| 07/03/2017  | KENNARD, DEAN       | PAC LIFE VUL                       | 223.83               | 4.48                | 0.00               | 4.48              | 100.0 | 4.48                 |
| 10/09/2017  | PAI, YOGISH & ANITA | PAC LIFE VUL                       | 0.00                 | 14.00               | 0.00               | 14.00             | 100.0 | 14.00                |
| 11/09/2017  | PAI, YOGISH & ANITA | PAC LIFE VUL                       | 0.00                 | 14.00               | 0.00               | 14.00             | 100.0 | 14.00                |
| 02/20/2018  | GOVE, VARIOUS       | PAC LIFE VUL                       | 0.00                 | 12.96               | 0.00               | 12.96             | 100.0 | 12.96                |
| 03/01/2018  | GOVE, VARIOUS       | PAC LIFE VUL                       | 0.00                 | 6.27                | 0.00               | 6.27              | 100.0 | 6.27                 |
| <b>* VARIABLE UNIVERSAL LIFE SUBTOTAL *</b>             |                     |                                    | <b>\$223.83</b>      | <b>\$51.71</b>      | <b>\$0.00</b>      | <b>\$51.71</b>    |       | <b>\$51.71</b>       |
| <b><u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u></b> |                     |                                    |                      |                     |                    |                   |       |                      |
| 03/01/2018  | MORRISON, LINDSAY   | 529 AMCAP FUND CLASS A             | 0.00                 | 2.19                | 0.00               | 2.19              | 100.0 | 2.19                 |
| 03/01/2018  | MORRISON, KYLE      | 529 AMCAP FUND CLASS A             | 0.00                 | 0.32                | 0.00               | 0.32              | 100.0 | 0.32                 |
| 03/01/2018  | WELLS, GREG         | AF MODERATE GROWTH AND INCOME-529A | 0.00                 | 1.16                | 0.00               | 1.16              | 100.0 | 1.16                 |
| 03/01/2018  | WELLS, GREG         | AF MODERATE GROWTH AND INCOME-529A | 0.00                 | 1.16                | 0.00               | 1.16              | 100.0 | 1.16                 |
| 03/01/2018  | VIGILANT, KELLIE    | AM FUNDS 2025 TARGET DATE-A        | 0.00                 | 0.26                | 0.00               | 0.26              | 100.0 | 0.26                 |
| 03/01/2018  | LUND, STEVEN        | AM FUNDS 2030 TARGET DATE-A        | 0.00                 | 11.19               | 0.00               | 11.19             | 100.0 | 11.19                |
| 03/01/2018  | DURR, LORENA        | AM FUNDS 2030 TARGET DATE-A        | 0.00                 | 12.30               | 0.00               | 12.30             | 100.0 | 12.30                |

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|---|-------------------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|-------|----------------------|
| <b><u>DIRECT TRANSACTIONS</u></b>                       |                               |                                     |                      |                     |                    |                   |       |                      |
| <b><u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u></b> |                               |                                     |                      |                     |                    |                   |       |                      |
| 03/01/2018  | LUND, STEVEN                  | AM FUNDS 2035 TARGET DATE-A         | 0.00                 | 18.53               | 0.00               | 18.53             | 100.0 | 18.53                |
| 03/01/2018  | LARA, DYLAN                   | AM FUNDS 2035 TARGET DATE-A         | 0.00                 | 1.32                | 0.00               | 1.32              | 100.0 | 1.32                 |
| 03/01/2018  | LARA, DEREK                   | AM FUNDS 2035 TARGET DATE-A         | 0.00                 | 1.32                | 0.00               | 1.32              | 100.0 | 1.32                 |
| 03/01/2018  | LUND, STEVEN                  | AM FUNDS 2040 TARGET DATE-A         | 0.00                 | 2.34                | 0.00               | 2.34              | 100.0 | 2.34                 |
| 03/01/2018  | CLOSED-LADUKE-ROBSON, HEATHER | AM FUNDS AMCAP A                    | 0.00                 | 9.49                | 0.00               | 9.49              | 100.0 | 9.49                 |
| 03/01/2018  | MARSH, GARY                   | AM FUNDS AMCAP A                    | 0.00                 | 14.15               | 0.00               | 14.15             | 100.0 | 14.15                |
| 03/01/2018  | BUI, VIVIAN                   | AM FUNDS AMERICAN BALANCED 529A     | 0.00                 | 15.36               | 0.00               | 15.36             | 100.0 | 15.36                |
| 03/01/2018  | BUI, VIVIAN                   | AM FUNDS AMERICAN BALANCED 529A     | 0.00                 | 8.79                | 0.00               | 8.79              | 100.0 | 8.79                 |
| 03/01/2018  | FORSBERG, CHERYL              | AM FUNDS AMERICAN BALANCED 529A     | 0.00                 | 7.30                | 0.00               | 7.30              | 100.0 | 7.30                 |
| 03/01/2018  | SOLORIO, ROQUE                | AM FUNDS AMERICAN BALANCED 529A     | 0.00                 | 26.28               | 0.00               | 26.28             | 100.0 | 26.28                |
| 03/01/2018  | RAINONE, TRISTINA DAWN        | AM FUNDS AMERICAN BALANCED 529A     | 0.00                 | 6.36                | 0.00               | 6.36              | 100.0 | 6.36                 |
| 03/01/2018  | RAINONE, MICHAEL              | AM FUNDS AMERICAN BALANCED 529A     | 0.00                 | 7.57                | 0.00               | 7.57              | 100.0 | 7.57                 |
| 03/01/2018  | DIRMEYER, DAVID               | AM FUNDS AMERICAN BALANCED 529A     | 0.00                 | 3.30                | 0.00               | 3.30              | 100.0 | 3.30                 |
| 03/01/2018  | LENCZOWSKI, JANICE            | AM FUNDS AMERICAN BALANCED A        | 0.00                 | 4.73                | 0.00               | 4.73              | 100.0 | 4.73                 |
| 03/01/2018  | COOPER, FRANK                 | AM FUNDS AMERICAN BALANCED A        | 0.00                 | 47.86               | 0.00               | 47.86             | 100.0 | 47.86                |
| 03/01/2018  | JEZDIMIR, CAROLINE            | AM FUNDS AMERICAN BALANCED A        | 0.00                 | 30.69               | 0.00               | 30.69             | 100.0 | 30.69                |
| 03/01/2018  | BAUGHMAN/BENE, MICHELE        | AM FUNDS AMERICAN BALANCED A        | 0.00                 | 30.89               | 0.00               | 30.89             | 100.0 | 30.89                |
| 03/01/2018  | ALLOR, PATRICK                | AM FUNDS AMERICAN BALANCED A        | 0.00                 | 20.90               | 0.00               | 20.90             | 100.0 | 20.90                |
| 03/01/2018  | VANDEUSEN, STEPHEN            | AM FUNDS AMERICAN BALANCED A        | 0.00                 | 3.44                | 0.00               | 3.44              | 100.0 | 3.44                 |
| 03/01/2018  | COLE, PAUL                    | AM FUNDS AMERICAN BALANCED A        | 0.00                 | 54.87               | 0.00               | 54.87             | 100.0 | 54.87                |
| 03/01/2018  | SAGGAR, VADEESH               | AM FUNDS AMERICAN BALANCED A        | 0.00                 | 1.23                | 0.00               | 1.23              | 100.0 | 1.23                 |
| 03/01/2018  | BUI, VIVIAN                   | AM FUNDS AMERICAN BALANCED A        | 0.00                 | 26.90               | 0.00               | 26.90             | 100.0 | 26.90                |
| 03/01/2018  | GENZON, SERGIO                | AM FUNDS AMERICAN BALANCED A        | 0.00                 | 9.52                | 0.00               | 9.52              | 100.0 | 9.52                 |
| 03/01/2018  | SALAS FAMILY TRUST            | AM FUNDS AMERICAN BALANCED A        | 0.00                 | 115.39              | 0.00               | 115.39            | 100.0 | 115.39               |
| 03/01/2018  | LAWMASTER, LESLIE             | AM FUNDS AMERICAN BALANCED A        | 0.00                 | 9.80                | 0.00               | 9.80              | 100.0 | 9.80                 |
| 03/01/2018  | ERICKSON/BENE, THOMAS         | AM FUNDS AMERICAN BALANCED A        | 0.00                 | 5.51                | 0.00               | 5.51              | 100.0 | 5.51                 |
| 03/01/2018  | ERICKSON, THOMAS              | AM FUNDS AMERICAN BALANCED A        | 0.00                 | 11.59               | 0.00               | 11.59             | 100.0 | 11.59                |
| 03/01/2018  | STONE, COLEEN                 | AM FUNDS AMERICAN BALANCED C        | 0.00                 | 2.48                | 0.00               | 2.48              | 100.0 | 2.48                 |
| 03/01/2018  | ANDREWS, ASHLEY               | AM FUNDS AMERICAN BALANCED C        | 0.00                 | 25.60               | 0.00               | 25.60             | 100.0 | 25.60                |
| 03/01/2018  | WAXHAM, HEATHER               | AM FUNDS AMERICAN BALANCED C        | 0.00                 | 40.15               | 0.00               | 40.15             | 100.0 | 40.15                |
| 03/01/2018  | HAIDER, MARIAM                | AM FUNDS AMERICAN HIGH-INC MUNI BON | 0.00                 | 1.61                | 0.00               | 1.61              | 100.0 | 1.61                 |
| 03/01/2018  | HAIDER, HANNA                 | AM FUNDS AMERICAN HIGH-INC MUNI BON | 0.00                 | 0.43                | 0.00               | 0.43              | 100.0 | 0.43                 |
| 03/01/2018  | HERINGSHAUSEN, ERNESTING      | AM FUNDS AMERICAN HIGH-INC MUNI BON | 0.00                 | 1.41                | 0.00               | 1.41              | 100.0 | 1.41                 |

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|--|--------------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|-------|----------------------|
| <b><u>DIRECT TRANSACTIONS</u></b>                |                          |                                     |                      |                     |                    |                   |       |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</b> |                          |                                     |                      |                     |                    |                   |       |                      |
| 03/01/2018                                       | HERINGSHAUSEN, DENNIS    | AM FUNDS AMERICAN HIGH-INC MUNI BON | 0.00                 | 2.40                | 0.00               | 2.40              | 100.0 | 2.40                 |
| 03/01/2018                                       | HERINGSHAUSEN, DENNIS    | AM FUNDS AMERICAN HIGH-INC MUNI BON | 0.00                 | 5.79                | 0.00               | 5.79              | 100.0 | 5.79                 |
| 03/01/2018                                       | BURROWS, JOY             | AM FUNDS AMERICAN HIGH-INCOME TRUST | 0.00                 | 3.20                | 0.00               | 3.20              | 100.0 | 3.20                 |
| 03/01/2018                                       | JOY ORDIZ VANDEKERKHOVE, | AM FUNDS AMERICAN MUTUAL 529A       | 0.00                 | 0.73                | 0.00               | 0.73              | 100.0 | 0.73                 |
| 03/01/2018                                       | COOPER, FRANK            | AM FUNDS AMERICAN MUTUAL A          | 0.00                 | 34.33               | 0.00               | 34.33             | 100.0 | 34.33                |
| 03/01/2018                                       | JACKSON, RICHARD         | AM FUNDS AMERICAN MUTUAL A          | 0.00                 | 2.35                | 0.00               | 2.35              | 100.0 | 2.35                 |
| 03/01/2018                                       | LINDERMAN, DAVID         | AM FUNDS AMERICAN MUTUAL A          | 0.00                 | 130.94              | 0.00               | 130.94            | 100.0 | 130.94               |
| 03/01/2018                                       | BOOTZ, MATTHEW           | AM FUNDS AMERICAN MUTUAL A          | 0.00                 | 14.93               | 0.00               | 14.93             | 100.0 | 14.93                |
| 03/01/2018                                       | RUBLY, WILLIAM           | AM FUNDS AMERICAN MUTUAL A          | 0.00                 | 99.68               | 0.00               | 99.68             | 100.0 | 99.68                |
| 03/01/2018                                       | RUBLY, DELPHINE          | AM FUNDS AMERICAN MUTUAL A          | 0.00                 | 78.14               | 0.00               | 78.14             | 100.0 | 78.14                |
| 03/01/2018                                       | ESSARY, BRADLEY          | AM FUNDS AMERICAN MUTUAL A          | 0.00                 | 6.48                | 0.00               | 6.48              | 100.0 | 6.48                 |
| 03/01/2018                                       | ESSARY, MICHELLE         | AM FUNDS AMERICAN MUTUAL A          | 0.00                 | 1.55                | 0.00               | 1.55              | 100.0 | 1.55                 |
| 03/01/2018                                       | ESSARY, MICHELLE         | AM FUNDS AMERICAN MUTUAL A          | 0.00                 | 2.19                | 0.00               | 2.19              | 100.0 | 2.19                 |
| 03/01/2018                                       | HARRISON, DAVID          | AM FUNDS BOND FUND OF AMERICA 529A  | 0.00                 | 2.41                | 0.00               | 2.41              | 100.0 | 2.41                 |
| 03/01/2018                                       | HARRISON, SHARON         | AM FUNDS BOND FUND OF AMERICA 529A  | 0.00                 | 0.23                | 0.00               | 0.23              | 100.0 | 0.23                 |
| 03/01/2018                                       | HARRISON, SHARON         | AM FUNDS BOND FUND OF AMERICA 529A  | 0.00                 | 0.24                | 0.00               | 0.24              | 100.0 | 0.24                 |
| 03/01/2018                                       | KEENEY, DONALD           | AM FUNDS BOND FUND OF AMERICA A     | 0.00                 | 7.05                | 0.00               | 7.05              | 100.0 | 7.05                 |
| 03/01/2018                                       | HARRISON, DAVID          | AM FUNDS BOND FUND OF AMERICA A     | 0.00                 | 21.45               | 0.00               | 21.45             | 100.0 | 21.45                |
| 03/01/2018                                       | HARRISON, SHARON         | AM FUNDS BOND FUND OF AMERICA A     | 0.00                 | 0.97                | 0.00               | 0.97              | 100.0 | 0.97                 |
| 03/01/2018                                       | MAYVILLE, DANIEL         | AM FUNDS BOND FUND OF AMERICA A     | 0.00                 | 3.59                | 0.00               | 3.59              | 100.0 | 3.59                 |
| 03/01/2018                                       | CESUL, DAWN              | AM FUNDS CAPITAL INCOME BUILDER 529 | 0.00                 | 3.21                | 0.00               | 3.21              | 100.0 | 3.21                 |
| 03/01/2018                                       | CESUL, DAWN              | AM FUNDS CAPITAL INCOME BUILDER 529 | 0.00                 | 0.49                | 0.00               | 0.49              | 100.0 | 0.49                 |
| 03/01/2018                                       | CASSADY, JEFFREY         | AM FUNDS CAPITAL INCOME BUILDER 529 | 0.00                 | 3.21                | 0.00               | 3.21              | 100.0 | 3.21                 |
| 03/01/2018                                       | CALZADA, LARA            | AM FUNDS CAPITAL INCOME BUILDER 529 | 0.00                 | 9.34                | 0.00               | 9.34              | 100.0 | 9.34                 |
| 03/01/2018                                       | WILLIAMS, KATHLEEN       | AM FUNDS CAPITAL INCOME BUILDER 529 | 0.00                 | 13.27               | 0.00               | 13.27             | 100.0 | 13.27                |
| 03/01/2018                                       | RAMIREZ, MARCOS          | AM FUNDS CAPITAL INCOME BUILDER 529 | 0.00                 | 21.74               | 0.00               | 21.74             | 100.0 | 21.74                |
| 03/01/2018                                       | NEVILLE, KAREN           | AM FUNDS CAPITAL INCOME BUILDER 529 | 0.00                 | 2.11                | 0.00               | 2.11              | 100.0 | 2.11                 |
| 03/01/2018                                       | VITIELLO, MICHAEL        | AM FUNDS CAPITAL INCOME BUILDER 529 | 0.00                 | 5.84                | 0.00               | 5.84              | 100.0 | 5.84                 |
| 03/01/2018                                       | VITIELLO, MICHAEL        | AM FUNDS CAPITAL INCOME BUILDER 529 | 0.00                 | 8.80                | 0.00               | 8.80              | 100.0 | 8.80                 |
| 03/01/2018                                       | CALZADA, LARA            | AM FUNDS CAPITAL INCOME BUILDER 529 | 0.00                 | 5.63                | 0.00               | 5.63              | 100.0 | 5.63                 |
| 03/01/2018                                       | MARTINEZ, RICHARD        | AM FUNDS CAPITAL INCOME BUILDER 529 | 0.00                 | 3.89                | 0.00               | 3.89              | 100.0 | 3.89                 |
| 03/01/2018                                       | RAINONE, TRISTINA DAWN   | AM FUNDS CAPITAL INCOME BUILDER 529 | 0.00                 | 0.90                | 0.00               | 0.90              | 100.0 | 0.90                 |
| 03/01/2018                                       | RAINONE, MICHAEL         | AM FUNDS CAPITAL INCOME BUILDER 529 | 0.00                 | 2.16                | 0.00               | 2.16              | 100.0 | 2.16                 |

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

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

| DATE  | CLIENT                        | INVESTMENT                          | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE  | BROKER<br>COMMISSION |
|---|-------------------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|-------|----------------------|
| <b><u>DIRECT TRANSACTIONS</u></b>                       |                               |                                     |                      |                     |                    |                   |       |                      |
| <b><u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u></b> |                               |                                     |                      |                     |                    |                   |       |                      |
| 03/01/2018  | UPTON, TODD                   | AM FUNDS CAPITAL INCOME BUILDER 529 | 0.00                 | 1.86                | 0.00               | 1.86              | 100.0 | 1.86                 |
| 03/01/2018  | UPTON, TODD                   | AM FUNDS CAPITAL INCOME BUILDER 529 | 0.00                 | 2.35                | 0.00               | 2.35              | 100.0 | 2.35                 |
| 03/01/2018  | CHIMENTI, VINCENT             | AM FUNDS CAPITAL INCOME BUILDER A   | 0.00                 | 2.56                | 0.00               | 2.56              | 100.0 | 2.56                 |
| 03/01/2018  | CLOSED-LADUKE-ROBSON, HEATHER | AM FUNDS CAPITAL INCOME BUILDER A   | 0.00                 | 6.57                | 0.00               | 6.57              | 100.0 | 6.57                 |
| 03/01/2018  | CLOSED-MCSPARIN-GARD, CINDY   | AM FUNDS CAPITAL INCOME BUILDER A   | 0.00                 | 9.73                | 0.00               | 9.73              | 100.0 | 9.73                 |
| 03/01/2018  | LAMOUNTAIN, JENNIFER          | AM FUNDS CAPITAL INCOME BUILDER A   | 0.00                 | 1.70                | 0.00               | 1.70              | 100.0 | 1.70                 |
| 03/01/2018  | LINGEMANN TRUST, THOMAS       | AM FUNDS CAPITAL INCOME BUILDER A   | 0.00                 | 34.37               | 0.00               | 34.37             | 100.0 | 34.37                |
| 03/01/2018  | BREZA, DONICE                 | AM FUNDS CAPITAL INCOME BUILDER A   | 0.00                 | 0.71                | 0.00               | 0.71              | 100.0 | 0.71                 |
| 03/01/2018  | WOJTACHA, NEAL                | AM FUNDS CAPITAL INCOME BUILDER A   | 0.00                 | 8.14                | 0.00               | 8.14              | 100.0 | 8.14                 |
| 03/01/2018  | LUND, STEVEN                  | AM FUNDS CAPITAL INCOME BUILDER A   | 0.00                 | 4.86                | 0.00               | 4.86              | 100.0 | 4.86                 |
| 03/01/2018  | DURR, GEORGE                  | AM FUNDS CAPITAL INCOME BUILDER A   | 0.00                 | 7.75                | 0.00               | 7.75              | 100.0 | 7.75                 |
| 03/01/2018  | MENDOZA, ANA                  | AM FUNDS CAPITAL INCOME BUILDER A   | 0.00                 | 0.01                | 0.00               | 0.01              | 100.0 | 0.01                 |
| 03/01/2018  | CARTWRIGHT, MICHAELA          | AM FUNDS CAPITAL INCOME BUILDER A   | 0.00                 | 2.42                | 0.00               | 2.42              | 100.0 | 2.42                 |
| 03/01/2018  | VITIELLO, MICHAEL             | AM FUNDS CAPITAL INCOME BUILDER A   | 0.00                 | 25.89               | 0.00               | 25.89             | 100.0 | 25.89                |
| 03/01/2018  | LUND, STEVEN                  | AM FUNDS CAPITAL INCOME BUILDER A   | 0.00                 | 10.16               | 0.00               | 10.16             | 100.0 | 10.16                |
| 03/01/2018  | SUI-FILO, KRISTA              | AM FUNDS CAPITAL INCOME BUILDER A   | 0.00                 | 1.18                | 0.00               | 1.18              | 100.0 | 1.18                 |
| 03/01/2018  | ERFLE, VICTORIA               | AM FUNDS CAPITAL INCOME BUILDER A   | 0.00                 | 21.89               | 0.00               | 21.89             | 100.0 | 21.89                |
| 03/01/2018  | CESARE, MARIA                 | AM FUNDS CAPITAL INCOME BUILDER A   | 0.00                 | 0.84                | 0.00               | 0.84              | 100.0 | 0.84                 |
| 03/01/2018  | SLINKARD, LAURA               | AM FUNDS CAPITAL INCOME BUILDER A   | 0.00                 | 3.60                | 0.00               | 3.60              | 100.0 | 3.60                 |
| 03/01/2018  | DONADIO, JASON                | AM FUNDS CAPITAL INCOME BUILDER A   | 0.00                 | 0.01                | 0.00               | 0.01              | 100.0 | 0.01                 |
| 03/01/2018  | CESARE, MARIA                 | AM FUNDS CAPITAL INCOME BUILDER A   | 0.00                 | 36.62               | 0.00               | 36.62             | 100.0 | 36.62                |
| 03/01/2018  | DANG, DIEM CHAU LUONG         | AM FUNDS CAPITAL INCOME BUILDER A   | 0.00                 | 10.43               | 0.00               | 10.43             | 100.0 | 10.43                |
| 03/01/2018  | NUTT, MICHAEL                 | AM FUNDS CAPITAL INCOME BUILDER A   | 0.00                 | 5.29                | 0.00               | 5.29              | 100.0 | 5.29                 |
| 03/01/2018  | COX, DEBORAH                  | AM FUNDS CAPITAL INCOME BUILDER A   | 0.00                 | 3.41                | 0.00               | 3.41              | 100.0 | 3.41                 |
| 03/01/2018  | DONADIO, MICHELLE             | AM FUNDS CAPITAL INCOME BUILDER A   | 0.00                 | 0.47                | 0.00               | 0.47              | 100.0 | 0.47                 |
| 03/01/2018  | ERICKSON/BENE, THOMAS         | AM FUNDS CAPITAL INCOME BUILDER A   | 0.00                 | 2.28                | 0.00               | 2.28              | 100.0 | 2.28                 |
| 03/01/2018  | CAUL, KATHERINE               | AM FUNDS CAPITAL INCOME BUILDER C   | 0.00                 | 3.49                | 0.00               | 3.49              | 100.0 | 3.49                 |
| 03/01/2018  | VIVIANO, KAREN                | AM FUNDS CAPITAL INCOME BUILDER C   | 0.00                 | 69.36               | 0.00               | 69.36             | 100.0 | 69.36                |
| 03/01/2018  | MASTERSO, ALANNA              | AM FUNDS CAPITAL INCOME BUILDER C   | 0.00                 | 8.93                | 0.00               | 8.93              | 100.0 | 8.93                 |
| 03/01/2018  | REETZ, JANET                  | AM FUNDS CAPITAL WORLD GRTH & INC 5 | 0.00                 | 0.58                | 0.00               | 0.58              | 100.0 | 0.58                 |
| 03/01/2018  | CHIECHA, MOLLY                | AM FUNDS CAPITAL WORLD GRTH & INC 5 | 0.00                 | 5.17                | 0.00               | 5.17              | 100.0 | 5.17                 |
| 03/01/2018  | SINGER, MICHELLE              | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00                 | 12.74               | 0.00               | 12.74             | 100.0 | 12.74                |
| 03/01/2018  | LAMOUNTAIN, JENNIFER          | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00                 | 2.64                | 0.00               | 2.64              | 100.0 | 2.64                 |

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| DATE  | CLIENT                    | INVESTMENT                          | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE  | BROKER<br>COMMISSION |
|---|---------------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|-------|----------------------|
| <b><u>DIRECT TRANSACTIONS</u></b>                       |                           |                                     |                      |                     |                    |                   |       |                      |
| <b><u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u></b> |                           |                                     |                      |                     |                    |                   |       |                      |
| 03/01/2018  | SCHULER/SEP, ANN          | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00                 | 11.92               | 0.00               | 11.92             | 100.0 | 11.92                |
| 03/01/2018  | HARRISON, SHARON          | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00                 | 16.10               | 0.00               | 16.10             | 100.0 | 16.10                |
| 03/01/2018  | BAUGHMAN, MICHELE         | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00                 | 12.77               | 0.00               | 12.77             | 100.0 | 12.77                |
| 03/01/2018  | BREZA, DONICE             | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00                 | 0.82                | 0.00               | 0.82              | 100.0 | 0.82                 |
| 03/01/2018  | LISOWSKI, JULIE           | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00                 | 0.93                | 0.00               | 0.93              | 100.0 | 0.93                 |
| 03/01/2018  | O'CONNOR, ROSE            | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00                 | 50.29               | 0.00               | 50.29             | 100.0 | 50.29                |
| 03/01/2018  | BLINKE II, RONALD         | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00                 | 13.57               | 0.00               | 13.57             | 100.0 | 13.57                |
| 03/01/2018  | LUND, STEVEN              | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00                 | 4.90                | 0.00               | 4.90              | 100.0 | 4.90                 |
| 03/01/2018  | LUND, STEVEN              | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00                 | 11.57               | 0.00               | 11.57             | 100.0 | 11.57                |
| 03/01/2018  | LUND, STEVEN              | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00                 | 2.72                | 0.00               | 2.72              | 100.0 | 2.72                 |
| 03/01/2018  | ESSARY, BRADLEY           | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00                 | 5.43                | 0.00               | 5.43              | 100.0 | 5.43                 |
| 03/01/2018  | ESSARY, MICHELLE          | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00                 | 1.55                | 0.00               | 1.55              | 100.0 | 1.55                 |
| 03/01/2018  | ESSARY, MICHELLE          | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00                 | 1.93                | 0.00               | 1.93              | 100.0 | 1.93                 |
| 03/01/2018  | BEAUDETT, TIMOTHY         | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00                 | 0.31                | 0.00               | 0.31              | 100.0 | 0.31                 |
| 03/01/2018  | DOUGHTERY, LISA           | AM FUNDS CAPITAL WORLD GRTH & INC C | 0.00                 | 3.87                | 0.00               | 3.87              | 100.0 | 3.87                 |
| 03/01/2018  | NOWICKI, DAVID            | AM FUNDS COLLEGE 2030 FUND 529A     | 0.00                 | 4.97                | 0.00               | 4.97              | 100.0 | 4.97                 |
| 03/01/2018  | GREEN, WILLIAM            | AM FUNDS COLLEGE 2030 FUND 529A     | 0.00                 | 1.33                | 0.00               | 1.33              | 100.0 | 1.33                 |
| 03/01/2018  | STUMP, DAVID              | AM FUNDS EUROPACIFIC GROWTH FUND A  | 0.00                 | 6.06                | 0.00               | 6.06              | 100.0 | 6.06                 |
| 03/01/2018  | SINGER, MICHELLE          | AM FUNDS EUROPACIFIC GROWTH FUND A  | 0.00                 | 11.00               | 0.00               | 11.00             | 100.0 | 11.00                |
| 03/01/2018  | REED, CAROLINA            | AM FUNDS EUROPACIFIC GROWTH FUND A  | 0.00                 | 1.02                | 0.00               | 1.02              | 100.0 | 1.02                 |
| 03/01/2018  | DEEB, DANUTA              | AM FUNDS EUROPACIFIC GROWTH FUND A  | 0.00                 | 3.37                | 0.00               | 3.37              | 100.0 | 3.37                 |
| 03/01/2018  | SCHULER/SEP, ANN          | AM FUNDS EUROPACIFIC GROWTH FUND A  | 0.00                 | 6.55                | 0.00               | 6.55              | 100.0 | 6.55                 |
| 03/01/2018  | BLINKE II TRUST, RONALD   | AM FUNDS EUROPACIFIC GROWTH FUND A  | 0.00                 | 5.67                | 0.00               | 5.67              | 100.0 | 5.67                 |
| 03/01/2018  | BLINKE II, RONALD         | AM FUNDS EUROPACIFIC GROWTH FUND A  | 0.00                 | 1.70                | 0.00               | 1.70              | 100.0 | 1.70                 |
| 03/01/2018  | PALFFY, JOHN              | AM FUNDS EUROPACIFIC GROWTH FUND A  | 0.00                 | 9.22                | 0.00               | 9.22              | 100.0 | 9.22                 |
| 03/01/2018  | FOSTER, KIMBERLY          | AM FUNDS EUROPACIFIC GROWTH FUND A  | 0.00                 | 1.95                | 0.00               | 1.95              | 100.0 | 1.95                 |
| 03/01/2018  | PLANSCAPE, INC 401(K) P/S | AM FUNDS EUROPACIFIC GROWTH FUND-R3 | 0.00                 | 127.73              | 0.00               | 127.73            | 100.0 | 127.73               |
| 03/01/2018  | HARRISON, SHARON          | AM FUNDS FUNDAMENTAL INVESTORS 529A | 0.00                 | 0.79                | 0.00               | 0.79              | 100.0 | 0.79                 |
| 03/01/2018  | HARRISON, SHARON          | AM FUNDS FUNDAMENTAL INVESTORS 529A | 0.00                 | 6.73                | 0.00               | 6.73              | 100.0 | 6.73                 |
| 03/01/2018  | HARRISON, SHARON          | AM FUNDS FUNDAMENTAL INVESTORS 529A | 0.00                 | 4.76                | 0.00               | 4.76              | 100.0 | 4.76                 |
| 03/01/2018  | DIRMEYER, DAVID           | AM FUNDS FUNDAMENTAL INVESTORS 529A | 0.00                 | 3.69                | 0.00               | 3.69              | 100.0 | 3.69                 |
| 03/01/2018  | BLOOM, JANET              | AM FUNDS FUNDAMENTAL INVESTORS A    | 0.00                 | 6.53                | 0.00               | 6.53              | 100.0 | 6.53                 |
| 03/01/2018  | HARRISON, DAVID           | AM FUNDS FUNDAMENTAL INVESTORS A    | 0.00                 | 25.97               | 0.00               | 25.97             | 100.0 | 25.97                |

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|---|-------------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|-------|----------------------|
| <b><u>DIRECT TRANSACTIONS</u></b>                       |                         |                                     |                      |                     |                    |                   |       |                      |
| <b><u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u></b> |                         |                                     |                      |                     |                    |                   |       |                      |
| 03/01/2018  | PALFFY, JOHN            | AM FUNDS FUNDAMENTAL INVESTORS A    | 0.00                 | 12.40               | 0.00               | 12.40             | 100.0 | 12.40                |
| 03/01/2018  | GALVAN, ALEC            | AM FUNDS FUNDAMENTAL INVESTORS A    | 0.00                 | 5.62                | 0.00               | 5.62              | 100.0 | 5.62                 |
| 03/01/2018  | BEST, PAUL              | AM FUNDS GROWTH AND INCOME A        | 0.00                 | 138.64              | 0.00               | 138.64            | 100.0 | 138.64               |
| 03/01/2018  | BEST, ANN               | AM FUNDS GROWTH AND INCOME A        | 0.00                 | 52.00               | 0.00               | 52.00             | 100.0 | 52.00                |
| 03/01/2018  | RUBLY, WILLIAM          | AM FUNDS GROWTH AND INCOME A        | 0.00                 | 7.50                | 0.00               | 7.50              | 100.0 | 7.50                 |
| 03/01/2018  | HERNANDEZ, HECTOR       | AM FUNDS GROWTH AND INCOME A        | 0.00                 | 1.25                | 0.00               | 1.25              | 100.0 | 1.25                 |
| 03/01/2018  | RUBLY, ROBERT           | AM FUNDS GROWTH AND INCOME A        | 0.00                 | 0.98                | 0.00               | 0.98              | 100.0 | 0.98                 |
| 03/01/2018  | HO, PAULINA             | AM FUNDS GROWTH AND INCOME C        | 0.00                 | 19.57               | 0.00               | 19.57             | 100.0 | 19.57                |
| 03/01/2018  | REETZ, JANET            | AM FUNDS GROWTH FUND OF AMERICA 529 | 0.00                 | 0.71                | 0.00               | 0.71              | 100.0 | 0.71                 |
| 03/01/2018  | HARRISON, SHARON        | AM FUNDS GROWTH FUND OF AMERICA 529 | 0.00                 | 7.69                | 0.00               | 7.69              | 100.0 | 7.69                 |
| 03/01/2018  | HARRISON, DAVID         | AM FUNDS GROWTH FUND OF AMERICA 529 | 0.00                 | 7.80                | 0.00               | 7.80              | 100.0 | 7.80                 |
| 03/01/2018  | HARRISON, DAVID         | AM FUNDS GROWTH FUND OF AMERICA 529 | 0.00                 | 1.36                | 0.00               | 1.36              | 100.0 | 1.36                 |
| 03/01/2018  | HARRISON, SHARON        | AM FUNDS GROWTH FUND OF AMERICA 529 | 0.00                 | 6.79                | 0.00               | 6.79              | 100.0 | 6.79                 |
| 03/01/2018  | HARRISON, SHARON        | AM FUNDS GROWTH FUND OF AMERICA 529 | 0.00                 | 4.84                | 0.00               | 4.84              | 100.0 | 4.84                 |
| 03/01/2018  | CESUL, DAWN             | AM FUNDS GROWTH FUND OF AMERICA 529 | 0.00                 | 3.20                | 0.00               | 3.20              | 100.0 | 3.20                 |
| 03/01/2018  | CESUL, DAWN             | AM FUNDS GROWTH FUND OF AMERICA 529 | 0.00                 | 0.65                | 0.00               | 0.65              | 100.0 | 0.65                 |
| 03/01/2018  | DIRMEYER, DAVID         | AM FUNDS GROWTH FUND OF AMERICA 529 | 0.00                 | 3.69                | 0.00               | 3.69              | 100.0 | 3.69                 |
| 02/21/2018  | WHITING, DENISE         | AM FUNDS GROWTH FUND OF AMERICA A   | 0.00                 | 0.98                | 0.00               | 0.98              | 100.0 | 0.98                 |
| 02/21/2018  | WHITING, DENISE         | AM FUNDS GROWTH FUND OF AMERICA A   | 0.00                 | 0.49                | 0.00               | 0.49              | 100.0 | 0.49                 |
| 03/01/2018  | STUMP, DAVID            | AM FUNDS GROWTH FUND OF AMERICA A   | 0.00                 | 8.23                | 0.00               | 8.23              | 100.0 | 8.23                 |
| 03/01/2018  | HENRY, WYATT            | AM FUNDS GROWTH FUND OF AMERICA A   | 0.00                 | 5.70                | 0.00               | 5.70              | 100.0 | 5.70                 |
| 03/01/2018  | SINGER, MICHELLE        | AM FUNDS GROWTH FUND OF AMERICA A   | 0.00                 | 1.63                | 0.00               | 1.63              | 100.0 | 1.63                 |
| 03/01/2018  | PRATUS, LINDSEY         | AM FUNDS GROWTH FUND OF AMERICA A   | 0.00                 | 2.65                | 0.00               | 2.65              | 100.0 | 2.65                 |
| 03/01/2018  | KEMP, JEREMY            | AM FUNDS GROWTH FUND OF AMERICA A   | 0.00                 | 11.43               | 0.00               | 11.43             | 100.0 | 11.43                |
| 03/01/2018  | LAMOUNTAIN, JENNIFER    | AM FUNDS GROWTH FUND OF AMERICA A   | 0.00                 | 3.39                | 0.00               | 3.39              | 100.0 | 3.39                 |
| 03/01/2018  | SCHULER/SEP, ANN        | AM FUNDS GROWTH FUND OF AMERICA A   | 0.00                 | 12.84               | 0.00               | 12.84             | 100.0 | 12.84                |
| 03/01/2018  | JOHNSON, WILLIAM        | AM FUNDS GROWTH FUND OF AMERICA A   | 0.00                 | 4.53                | 0.00               | 4.53              | 100.0 | 4.53                 |
| 03/01/2018  | JOHNSON, BARBARA        | AM FUNDS GROWTH FUND OF AMERICA A   | 0.00                 | 9.67                | 0.00               | 9.67              | 100.0 | 9.67                 |
| 03/01/2018  | MEGGE, STEVE            | AM FUNDS GROWTH FUND OF AMERICA A   | 0.00                 | 1.74                | 0.00               | 1.74              | 100.0 | 1.74                 |
| 03/01/2018  | KAZMIROWSKI, THOMAS     | AM FUNDS GROWTH FUND OF AMERICA A   | 0.00                 | 3.17                | 0.00               | 3.17              | 100.0 | 3.17                 |
| 03/01/2018  | HARRISON, DAVID         | AM FUNDS GROWTH FUND OF AMERICA A   | 0.00                 | 17.87               | 0.00               | 17.87             | 100.0 | 17.87                |
| 03/01/2018  | KOZLOWSKI, MICHAEL      | AM FUNDS GROWTH FUND OF AMERICA A   | 0.00                 | 10.85               | 0.00               | 10.85             | 100.0 | 10.85                |
| 03/01/2018  | BLINKE II TRUST, RONALD | AM FUNDS GROWTH FUND OF AMERICA A   | 0.00                 | 40.46               | 0.00               | 40.46             | 100.0 | 40.46                |

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|---|-------------------------------|-----------------------------------|----------------------|---------------------|--------------------|-------------------|-------|----------------------|
| <b><u>DIRECT TRANSACTIONS</u></b>                       |                               |                                   |                      |                     |                    |                   |       |                      |
| <b><u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u></b> |                               |                                   |                      |                     |                    |                   |       |                      |
| 03/01/2018  | WOJTACHA, NEAL                | AM FUNDS GROWTH FUND OF AMERICA A | 0.00                 | 1.31                | 0.00               | 1.31              | 100.0 | 1.31                 |
| 03/01/2018  | BLINKE II, RONALD             | AM FUNDS GROWTH FUND OF AMERICA A | 0.00                 | 4.34                | 0.00               | 4.34              | 100.0 | 4.34                 |
| 03/01/2018  | SAM, WINGO                    | AM FUNDS GROWTH FUND OF AMERICA A | 0.00                 | 44.02               | 0.00               | 44.02             | 100.0 | 44.02                |
| 03/01/2018  | YU-DIPASQUALE, MEI-KIN MAGGIE | AM FUNDS GROWTH FUND OF AMERICA A | 0.00                 | 2.91                | 0.00               | 2.91              | 100.0 | 2.91                 |
| 03/01/2018  | DIRMEYER, DAVID               | AM FUNDS GROWTH FUND OF AMERICA A | 0.00                 | 4.39                | 0.00               | 4.39              | 100.0 | 4.39                 |
| 03/01/2018  | TSOUNIS, NICK                 | AM FUNDS GROWTH FUND OF AMERICA A | 0.00                 | 2.65                | 0.00               | 2.65              | 100.0 | 2.65                 |
| 03/01/2018  | DIRMEYER, KIMBERLY            | AM FUNDS GROWTH FUND OF AMERICA A | 0.00                 | 4.42                | 0.00               | 4.42              | 100.0 | 4.42                 |
| 03/01/2018  | ESSARY, BRADLEY               | AM FUNDS GROWTH FUND OF AMERICA A | 0.00                 | 7.69                | 0.00               | 7.69              | 100.0 | 7.69                 |
| 03/01/2018  | DIRMEYER, KIMBERLY            | AM FUNDS GROWTH FUND OF AMERICA A | 0.00                 | 2.61                | 0.00               | 2.61              | 100.0 | 2.61                 |
| 03/01/2018  | ESSARY, MICHELLE              | AM FUNDS GROWTH FUND OF AMERICA A | 0.00                 | 1.74                | 0.00               | 1.74              | 100.0 | 1.74                 |
| 03/01/2018  | ESSARY, MICHELLE              | AM FUNDS GROWTH FUND OF AMERICA A | 0.00                 | 2.53                | 0.00               | 2.53              | 100.0 | 2.53                 |
| 03/01/2018  | NARESKI, RUSSELL              | AM FUNDS GROWTH FUND OF AMERICA A | 0.00                 | 10.03               | 0.00               | 10.03             | 100.0 | 10.03                |
| 03/01/2018  | PRATUS, LINDSEY               | AM FUNDS GROWTH FUND OF AMERICA C | 0.00                 | 22.37               | 0.00               | 22.37             | 100.0 | 22.37                |
| 03/01/2018  | CAUL, KATHERINE               | AM FUNDS GROWTH FUND OF AMERICA C | 0.00                 | 5.60                | 0.00               | 5.60              | 100.0 | 5.60                 |
| 03/01/2018  | LARA, PHILIP                  | AM FUNDS GROWTH PORT A            | 0.00                 | 1.26                | 0.00               | 1.26              | 100.0 | 1.26                 |
| 03/01/2018  | MORRISON, LINDSAY             | AM FUNDS ICA 529A                 | 0.00                 | 3.61                | 0.00               | 3.61              | 100.0 | 3.61                 |
| 03/01/2018  | MORRISON, KYLE                | AM FUNDS ICA 529A                 | 0.00                 | 0.35                | 0.00               | 0.35              | 100.0 | 0.35                 |
| 03/01/2018  | CESUL, DAWN                   | AM FUNDS ICA 529A                 | 0.00                 | 2.80                | 0.00               | 2.80              | 100.0 | 2.80                 |
| 03/01/2018  | CESUL, DAWN                   | AM FUNDS ICA 529A                 | 0.00                 | 0.61                | 0.00               | 0.61              | 100.0 | 0.61                 |
| 03/01/2018  | CHIMENTI, VINCENT             | AM FUNDS ICA A                    | 0.00                 | 2.39                | 0.00               | 2.39              | 100.0 | 2.39                 |
| 03/01/2018  | VANDERKHOVE, SKYLAR           | AM FUNDS ICA A                    | 0.00                 | 0.60                | 0.00               | 0.60              | 100.0 | 0.60                 |
| 03/01/2018  | VANDERKHOVE, GAVIN            | AM FUNDS ICA A                    | 0.00                 | 1.47                | 0.00               | 1.47              | 100.0 | 1.47                 |
| 03/01/2018  | CLOSED-MCSPARIN-GARD, CINDY   | AM FUNDS ICA A                    | 0.00                 | 1.99                | 0.00               | 1.99              | 100.0 | 1.99                 |
| 03/01/2018  | COOPER, FRANK                 | AM FUNDS ICA A                    | 0.00                 | 35.14               | 0.00               | 35.14             | 100.0 | 35.14                |
| 03/01/2018  | PRATUS, LINDSEY               | AM FUNDS ICA A                    | 0.00                 | 1.32                | 0.00               | 1.32              | 100.0 | 1.32                 |
| 03/01/2018  | HORNER, KEVIN                 | AM FUNDS ICA A                    | 0.00                 | 8.83                | 0.00               | 8.83              | 100.0 | 8.83                 |
| 03/01/2018  | RIGGERT, HILARY               | AM FUNDS ICA A                    | 0.00                 | 0.06                | 0.00               | 0.06              | 100.0 | 0.06                 |
| 03/01/2018  | KEECH, SCOTT                  | AM FUNDS ICA A                    | 0.00                 | 14.01               | 0.00               | 14.01             | 100.0 | 14.01                |
| 03/01/2018  | ZECH, DONALD                  | AM FUNDS ICA A                    | 0.00                 | 12.86               | 0.00               | 12.86             | 100.0 | 12.86                |
| 03/01/2018  | KOLOVSKY, JEFFREY             | AM FUNDS ICA A                    | 0.00                 | 6.79                | 0.00               | 6.79              | 100.0 | 6.79                 |
| 03/01/2018  | COLLAR, VICKI                 | AM FUNDS ICA A                    | 0.00                 | 3.83                | 0.00               | 3.83              | 100.0 | 3.83                 |
| 03/01/2018  | MARSH, GARY                   | AM FUNDS ICA A                    | 0.00                 | 198.66              | 0.00               | 198.66            | 100.0 | 198.66               |
| 03/01/2018  | SCHULER/SEP, ANN              | AM FUNDS ICA A                    | 0.00                 | 15.47               | 0.00               | 15.47             | 100.0 | 15.47                |

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<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE  | BROKER<br>COMMISSION |
|---|-----------------------------|-----------------------------------|----------------------|---------------------|--------------------|-------------------|-------|----------------------|
| <b><u>DIRECT TRANSACTIONS</u></b>                       |                             |                                   |                      |                     |                    |                   |       |                      |
| <b><u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u></b> |                             |                                   |                      |                     |                    |                   |       |                      |
| 03/01/2018  | KULHANEK, CAROL             | AM FUNDS ICA A                    | 0.00                 | 0.72                | 0.00               | 0.72              | 100.0 | 0.72                 |
| 03/01/2018  | KULHANEK, MICHAEL           | AM FUNDS ICA A                    | 0.00                 | 4.01                | 0.00               | 4.01              | 100.0 | 4.01                 |
| 03/01/2018  | PERS, MICHAEL               | AM FUNDS ICA A                    | 0.00                 | 1.78                | 0.00               | 1.78              | 100.0 | 1.78                 |
| 03/01/2018  | KULHANEK, CAROL             | AM FUNDS ICA A                    | 0.00                 | 3.73                | 0.00               | 3.73              | 100.0 | 3.73                 |
| 03/01/2018  | HARRISON, DAVID             | AM FUNDS ICA A                    | 0.00                 | 28.25               | 0.00               | 28.25             | 100.0 | 28.25                |
| 03/01/2018  | KOZLOWSKI, MICHAEL          | AM FUNDS ICA A                    | 0.00                 | 7.30                | 0.00               | 7.30              | 100.0 | 7.30                 |
| 03/01/2018  | BURROWS, JOY                | AM FUNDS ICA A                    | 0.00                 | 6.05                | 0.00               | 6.05              | 100.0 | 6.05                 |
| 03/01/2018  | CONLIN, DANIEL              | AM FUNDS ICA A                    | 0.00                 | 3.85                | 0.00               | 3.85              | 100.0 | 3.85                 |
| 03/01/2018  | BREZA, DONICE               | AM FUNDS ICA A                    | 0.00                 | 0.85                | 0.00               | 0.85              | 100.0 | 0.85                 |
| 03/01/2018  | MAYVILLE, DANIEL            | AM FUNDS ICA A                    | 0.00                 | 7.86                | 0.00               | 7.86              | 100.0 | 7.86                 |
| 03/01/2018  | WOJTACHA, NEAL              | AM FUNDS ICA A                    | 0.00                 | 8.95                | 0.00               | 8.95              | 100.0 | 8.95                 |
| 03/01/2018  | ODOM, COLLEEN               | AM FUNDS ICA A                    | 0.00                 | 20.23               | 0.00               | 20.23             | 100.0 | 20.23                |
| 03/01/2018  | EQUITY TRUST CO             | AM FUNDS ICA A                    | 0.00                 | 11.10               | 0.00               | 11.10             | 100.0 | 11.10                |
| 03/01/2018  | KEHRES, RICHARD             | AM FUNDS ICA A                    | 0.00                 | 7.70                | 0.00               | 7.70              | 100.0 | 7.70                 |
| 03/01/2018  | ERICKSON/BENE, THOMAS       | AM FUNDS ICA A                    | 0.00                 | 2.85                | 0.00               | 2.85              | 100.0 | 2.85                 |
| 03/01/2018  | ERICKSON, THOMAS            | AM FUNDS ICA A                    | 0.00                 | 11.32               | 0.00               | 11.32             | 100.0 | 11.32                |
| 03/01/2018  | SCHURRER, JOHANNA           | AM FUNDS ICA A                    | 0.00                 | 9.48                | 0.00               | 9.48              | 100.0 | 9.48                 |
| 03/01/2018  | SCHURRER, JOHANNA           | AM FUNDS ICA A                    | 0.00                 | 10.91               | 0.00               | 10.91             | 100.0 | 10.91                |
| 03/01/2018  | KRYCIAN, JENNIFER           | AM FUNDS ICA A                    | 0.00                 | 0.50                | 0.00               | 0.50              | 100.0 | 0.50                 |
| 03/01/2018  | DALESSANDRO, COLLIN         | AM FUNDS ICA A                    | 0.00                 | 14.55               | 0.00               | 14.55             | 100.0 | 14.55                |
| 03/01/2018  | PRATUS, LINDSEY             | AM FUNDS ICA C                    | 0.00                 | 21.18               | 0.00               | 21.18             | 100.0 | 21.18                |
| 03/01/2018  | CAUL, KATHERINE             | AM FUNDS ICA C                    | 0.00                 | 4.74                | 0.00               | 4.74              | 100.0 | 4.74                 |
| 03/01/2018  | VIVIANO, KAREN              | AM FUNDS ICA C                    | 0.00                 | 80.11               | 0.00               | 80.11             | 100.0 | 80.11                |
| 03/01/2018  | WHEELER, PAUL               | AM FUNDS ICA C                    | 0.00                 | 2.74                | 0.00               | 2.74              | 100.0 | 2.74                 |
| 03/01/2018  | AFFER, RONALD               | AM FUNDS ICA C                    | 0.00                 | 4.56                | 0.00               | 4.56              | 100.0 | 4.56                 |
| 03/01/2018  | LOUDERMILK, SCOTT           | AM FUNDS ICA C                    | 0.00                 | 8.44                | 0.00               | 8.44              | 100.0 | 8.44                 |
| 03/01/2018  | LOCKHART, JOSEPH            | AM FUNDS ICA C                    | 0.00                 | 12.68               | 0.00               | 12.68             | 100.0 | 12.68                |
| 03/01/2018  | CLOSED-MCSPARIN-GARD, CINDY | AM FUNDS INCOME FUND OF AMERICA A | 0.00                 | 3.33                | 0.00               | 3.33              | 100.0 | 3.33                 |
| 03/01/2018  | COOPER, FRANK               | AM FUNDS INCOME FUND OF AMERICA A | 0.00                 | 52.95               | 0.00               | 52.95             | 100.0 | 52.95                |
| 03/01/2018  | REED, CAROLINA              | AM FUNDS INCOME FUND OF AMERICA A | 0.00                 | 1.02                | 0.00               | 1.02              | 100.0 | 1.02                 |
| 03/01/2018  | ROSEN, STANLEY              | AM FUNDS INCOME FUND OF AMERICA A | 0.00                 | 12.40               | 0.00               | 12.40             | 100.0 | 12.40                |
| 03/01/2018  | BREZA, DONICE               | AM FUNDS INCOME FUND OF AMERICA A | 0.00                 | 0.82                | 0.00               | 0.82              | 100.0 | 0.82                 |
| 03/01/2018  | JOHNSON, BARBARA            | AM FUNDS INCOME FUND OF AMERICA A | 0.00                 | 5.91                | 0.00               | 5.91              | 100.0 | 5.91                 |

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| DATE  | CLIENT                | INVESTMENT                         | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE  | BROKER<br>COMMISSION |
|---|-----------------------|------------------------------------|----------------------|---------------------|--------------------|-------------------|-------|----------------------|
| <b><u>DIRECT TRANSACTIONS</u></b>                       |                       |                                    |                      |                     |                    |                   |       |                      |
| <b><u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u></b> |                       |                                    |                      |                     |                    |                   |       |                      |
| 03/01/2018  | ROSEN, JUDITH         | AM FUNDS INCOME FUND OF AMERICA A  | 0.00                 | 26.16               | 0.00               | 26.16             | 100.0 | 26.16                |
| 03/01/2018  | MI/TOD                | AM FUNDS INCOME FUND OF AMERICA A  | 0.00                 | 45.56               | 0.00               | 45.56             | 100.0 | 45.56                |
| 03/01/2018  | SURMA/BENE, MARY      | AM FUNDS INCOME FUND OF AMERICA A  | 0.00                 | 11.22               | 0.00               | 11.22             | 100.0 | 11.22                |
| 03/01/2018  | GATNY/BENE, MARK      | AM FUNDS INCOME FUND OF AMERICA A  | 0.00                 | 11.22               | 0.00               | 11.22             | 100.0 | 11.22                |
| 03/01/2018  | GATNY/BENE, GARY      | AM FUNDS INCOME FUND OF AMERICA A  | 0.00                 | 11.22               | 0.00               | 11.22             | 100.0 | 11.22                |
| 03/01/2018  | ERICKSON/BENE, THOMAS | AM FUNDS INCOME FUND OF AMERICA A  | 0.00                 | 2.47                | 0.00               | 2.47              | 100.0 | 2.47                 |
| 03/01/2018  | ERICKSON, THOMAS      | AM FUNDS INCOME FUND OF AMERICA A  | 0.00                 | 11.04               | 0.00               | 11.04             | 100.0 | 11.04                |
| 03/01/2018  | HO, PAULINA           | AM FUNDS INCOME PORTFOLIO C        | 0.00                 | 18.23               | 0.00               | 18.23             | 100.0 | 18.23                |
| 03/01/2018  | BLOOM, JANET          | AM FUNDS INTERMEDIATE BOND FUND OF | 0.00                 | 2.05                | 0.00               | 2.05              | 100.0 | 2.05                 |
| 03/01/2018  | CASSADY, JEFFREY      | AM FUNDS NEW ECONOMY 529A          | 0.00                 | 24.03               | 0.00               | 24.03             | 100.0 | 24.03                |
| 03/01/2018  | AGUILAR, JOSE         | AM FUNDS NEW ECONOMY 529A          | 0.00                 | 1.31                | 0.00               | 1.31              | 100.0 | 1.31                 |
| 03/01/2018  | MARSH, KEITH          | AM FUNDS NEW ECONOMY A             | 0.00                 | 58.54               | 0.00               | 58.54             | 100.0 | 58.54                |
| 03/01/2018  | PALFFY, JOHN          | AM FUNDS NEW ECONOMY A             | 0.00                 | 9.35                | 0.00               | 9.35              | 100.0 | 9.35                 |
| 03/01/2018  | HARRISON, SHARON      | AM FUNDS NEW PERSPECTIVE 529A      | 0.00                 | 6.90                | 0.00               | 6.90              | 100.0 | 6.90                 |
| 03/01/2018  | HARRISON, DAVID       | AM FUNDS NEW PERSPECTIVE 529A      | 0.00                 | 6.64                | 0.00               | 6.64              | 100.0 | 6.64                 |
| 03/01/2018  | HARRISON, DAVID       | AM FUNDS NEW PERSPECTIVE 529A      | 0.00                 | 0.98                | 0.00               | 0.98              | 100.0 | 0.98                 |
| 03/01/2018  | HARRISON, SHARON      | AM FUNDS NEW PERSPECTIVE 529A      | 0.00                 | 0.50                | 0.00               | 0.50              | 100.0 | 0.50                 |
| 03/01/2018  | LAWRENCE, CURTIS      | AM FUNDS NEW PERSPECTIVE 529A      | 0.00                 | 1.85                | 0.00               | 1.85              | 100.0 | 1.85                 |
| 03/01/2018  | LAWRENCE, CURTIS      | AM FUNDS NEW PERSPECTIVE 529A      | 0.00                 | 1.85                | 0.00               | 1.85              | 100.0 | 1.85                 |
| 03/01/2018  | LAWRENCE, CURTIS      | AM FUNDS NEW PERSPECTIVE 529A      | 0.00                 | 1.89                | 0.00               | 1.89              | 100.0 | 1.89                 |
| 03/01/2018  | DIRMEYER, DAVID       | AM FUNDS NEW PERSPECTIVE 529A      | 0.00                 | 3.53                | 0.00               | 3.53              | 100.0 | 3.53                 |
| 02/21/2018  | WHITING, DENISE       | AM FUNDS NEW PERSPECTIVE A         | 0.00                 | 2.24                | 0.00               | 2.24              | 100.0 | 2.24                 |
| 03/01/2018  | SINGER, MICHELLE      | AM FUNDS NEW PERSPECTIVE A         | 0.00                 | 1.45                | 0.00               | 1.45              | 100.0 | 1.45                 |
| 03/01/2018  | LAMOUNTAIN, JENNIFER  | AM FUNDS NEW PERSPECTIVE A         | 0.00                 | 3.68                | 0.00               | 3.68              | 100.0 | 3.68                 |
| 03/01/2018  | KEENEY, DONALD        | AM FUNDS NEW PERSPECTIVE A         | 0.00                 | 25.14               | 0.00               | 25.14             | 100.0 | 25.14                |
| 03/01/2018  | RIGGERT, ANDREW       | AM FUNDS NEW PERSPECTIVE A         | 0.00                 | 12.52               | 0.00               | 12.52             | 100.0 | 12.52                |
| 03/01/2018  | HARRISON, DAVID       | AM FUNDS NEW PERSPECTIVE A         | 0.00                 | 15.75               | 0.00               | 15.75             | 100.0 | 15.75                |
| 03/01/2018  | LINGEMANN, HELEN      | AM FUNDS NEW PERSPECTIVE A         | 0.00                 | 48.49               | 0.00               | 48.49             | 100.0 | 48.49                |
| 03/01/2018  | MAYVILLE, DANIEL      | AM FUNDS NEW PERSPECTIVE A         | 0.00                 | 7.30                | 0.00               | 7.30              | 100.0 | 7.30                 |
| 03/01/2018  | ERICKSON/BENE, THOMAS | AM FUNDS NEW PERSPECTIVE A         | 0.00                 | 3.25                | 0.00               | 3.25              | 100.0 | 3.25                 |
| 03/01/2018  | TSOUNIS, NICK         | AM FUNDS NEW PERSPECTIVE A         | 0.00                 | 2.47                | 0.00               | 2.47              | 100.0 | 2.47                 |
| 03/01/2018  | ESSARY, BRADLEY       | AM FUNDS NEW PERSPECTIVE A         | 0.00                 | 6.43                | 0.00               | 6.43              | 100.0 | 6.43                 |
| 03/01/2018  | ESSARY, MICHELLE      | AM FUNDS NEW PERSPECTIVE A         | 0.00                 | 5.42                | 0.00               | 5.42              | 100.0 | 5.42                 |

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

| DATE  | CLIENT                        | INVESTMENT                          | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE  | BROKER<br>COMMISSION |
|---|-------------------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|-------|----------------------|
| <b><u>DIRECT TRANSACTIONS</u></b>                       |                               |                                     |                      |                     |                    |                   |       |                      |
| <b><u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u></b> |                               |                                     |                      |                     |                    |                   |       |                      |
| 03/01/2018  | ESSARY, MICHELLE              | AM FUNDS NEW PERSPECTIVE A          | 0.00                 | 2.09                | 0.00               | 2.09              | 100.0 | 2.09                 |
| 03/01/2018  | BUGGS, MICHELLE               | AM FUNDS NEW WORLD A                | 0.00                 | 0.11                | 0.00               | 0.11              | 100.0 | 0.11                 |
| 03/01/2018  | HAIDER, MARIAM                | AM FUNDS NEW WORLD A                | 0.00                 | 0.74                | 0.00               | 0.74              | 100.0 | 0.74                 |
| 03/01/2018  | SCHULER/SEP, ANN              | AM FUNDS NEW WORLD A                | 0.00                 | 7.47                | 0.00               | 7.47              | 100.0 | 7.47                 |
| 03/01/2018  | RIGGERT, ANDREW               | AM FUNDS NEW WORLD A                | 0.00                 | 10.09               | 0.00               | 10.09             | 100.0 | 10.09                |
| 03/01/2018  | BLINKE II TRUST, RONALD       | AM FUNDS NEW WORLD A                | 0.00                 | 5.24                | 0.00               | 5.24              | 100.0 | 5.24                 |
| 03/01/2018  | O'CONNOR, ROSE                | AM FUNDS NEW WORLD A                | 0.00                 | 41.46               | 0.00               | 41.46             | 100.0 | 41.46                |
| 03/01/2018  | GARBO, PAULETTE               | AM FUNDS NEW WORLD A                | 0.00                 | 1.49                | 0.00               | 1.49              | 100.0 | 1.49                 |
| 03/01/2018  | GARBO, PAUL                   | AM FUNDS NEW WORLD A                | 0.00                 | 1.42                | 0.00               | 1.42              | 100.0 | 1.42                 |
| 03/01/2018  | BLINKE II, RONALD             | AM FUNDS NEW WORLD A                | 0.00                 | 11.94               | 0.00               | 11.94             | 100.0 | 11.94                |
| 03/01/2018  | LUND, STEVEN                  | AM FUNDS NEW WORLD A                | 0.00                 | 3.32                | 0.00               | 3.32              | 100.0 | 3.32                 |
| 03/01/2018  | HORNER, KEVIN                 | AM FUNDS SMALLCAP WORLD A           | 0.00                 | 6.29                | 0.00               | 6.29              | 100.0 | 6.29                 |
| 03/01/2018  | SAGGAR, VADEESH               | AM FUNDS SMALLCAP WORLD A           | 0.00                 | 2.89                | 0.00               | 2.89              | 100.0 | 2.89                 |
| 03/01/2018  | CARTWRIGHT, MICHAELA          | AM FUNDS SMALLCAP WORLD A           | 0.00                 | 2.38                | 0.00               | 2.38              | 100.0 | 2.38                 |
| 03/01/2018  | VITIELLO, MICHAEL             | AM FUNDS SMALLCAP WORLD A           | 0.00                 | 27.68               | 0.00               | 27.68             | 100.0 | 27.68                |
| 03/01/2018  | YU-DIPASQUALE, MEI-KIN MAGGIE | AM FUNDS SMALLCAP WORLD A           | 0.00                 | 2.67                | 0.00               | 2.67              | 100.0 | 2.67                 |
| 03/01/2018  | COX, DEBORAH                  | AM FUNDS SMALLCAP WORLD A           | 0.00                 | 3.99                | 0.00               | 3.99              | 100.0 | 3.99                 |
| 03/01/2018  | CASSADY, JEFFREY              | AM FUNDS SMALLCAP WORLD-529A        | 0.00                 | 19.94               | 0.00               | 19.94             | 100.0 | 19.94                |
| 03/01/2018  | VITIELLO, MICHAEL             | AM FUNDS SMALLCAP WORLD-529A        | 0.00                 | 5.07                | 0.00               | 5.07              | 100.0 | 5.07                 |
| 03/01/2018  | VITIELLO, MICHAEL             | AM FUNDS SMALLCAP WORLD-529A        | 0.00                 | 7.59                | 0.00               | 7.59              | 100.0 | 7.59                 |
| 03/01/2018  | MARTINEZ, RICHARD             | AM FUNDS SMALLCAP WORLD-529A        | 0.00                 | 3.75                | 0.00               | 3.75              | 100.0 | 3.75                 |
| 03/01/2018  | HARRISON, DAVID               | AM FUNDS U.S. GOVERNMENT SECURITIES | 0.00                 | 20.73               | 0.00               | 20.73             | 100.0 | 20.73                |
| 03/01/2018  | MORRISON, LINDSAY             | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00                 | 3.12                | 0.00               | 3.12              | 100.0 | 3.12                 |
| 03/01/2018  | MORRISON, KYLE                | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00                 | 0.43                | 0.00               | 0.43              | 100.0 | 0.43                 |
| 03/01/2018  | CONKLIN, JOEL                 | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00                 | 0.72                | 0.00               | 0.72              | 100.0 | 0.72                 |
| 03/01/2018  | KEMP, JEREMY                  | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00                 | 15.72               | 0.00               | 15.72             | 100.0 | 15.72                |
| 03/01/2018  | LAMOUNTAIN, JENNIFER          | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00                 | 3.20                | 0.00               | 3.20              | 100.0 | 3.20                 |
| 03/01/2018  | REED, CAROLINA                | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00                 | 0.82                | 0.00               | 0.82              | 100.0 | 0.82                 |
| 03/01/2018  | TANNER, ALBERT                | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00                 | 2.29                | 0.00               | 2.29              | 100.0 | 2.29                 |
| 03/01/2018  | REETZ, NORMAN                 | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00                 | 44.02               | 0.00               | 44.02             | 100.0 | 44.02                |
| 03/01/2018  | SCHULER/SEP, ANN              | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00                 | 13.89               | 0.00               | 13.89             | 100.0 | 13.89                |
| 03/01/2018  | KEENEY, DONALD                | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00                 | 22.63               | 0.00               | 22.63             | 100.0 | 22.63                |
| 03/01/2018  | MOOSEKIAN/AUTH PER, BRYAN     | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00                 | 0.83                | 0.00               | 0.83              | 100.0 | 0.83                 |

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<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE  | BROKER<br>COMMISSION |
|---|----------------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|-------|----------------------|
| <b><u>DIRECT TRANSACTIONS</u></b>                       |                            |                                     |                      |                     |                    |                   |       |                      |
| <b><u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u></b> |                            |                                     |                      |                     |                    |                   |       |                      |
| 03/01/2018  | LAPLACA, FRANK             | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00                 | 3.44                | 0.00               | 3.44              | 100.0 | 3.44                 |
| 03/01/2018  | LAPLACA, FRANK             | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00                 | 3.42                | 0.00               | 3.42              | 100.0 | 3.42                 |
| 03/01/2018  | LAPLACA, BETTY             | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00                 | 3.54                | 0.00               | 3.54              | 100.0 | 3.54                 |
| 03/01/2018  | DZIALO, MARIE              | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00                 | 1.10                | 0.00               | 1.10              | 100.0 | 1.10                 |
| 03/01/2018  | ROSEN, STANLEY             | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00                 | 203.92              | 0.00               | 203.92            | 100.0 | 203.92               |
| 03/01/2018  | GAMICCHIA, RAYMOND         | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00                 | 21.35               | 0.00               | 21.35             | 100.0 | 21.35                |
| 03/01/2018  | KUSCH, KIMBERLY            | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00                 | 0.19                | 0.00               | 0.19              | 100.0 | 0.19                 |
| 03/01/2018  | KUSCH, CHRISTOPHER         | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00                 | 0.19                | 0.00               | 0.19              | 100.0 | 0.19                 |
| 03/01/2018  | LATOUR, KERRY              | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00                 | 2.16                | 0.00               | 2.16              | 100.0 | 2.16                 |
| 03/01/2018  | GAMICCHIA, RAYMOND         | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00                 | 9.96                | 0.00               | 9.96              | 100.0 | 9.96                 |
| 03/01/2018  | ROHLOFF, CARL              | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00                 | 32.88               | 0.00               | 32.88             | 100.0 | 32.88                |
| 03/01/2018  | HARRISON, DAVID            | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00                 | 30.45               | 0.00               | 30.45             | 100.0 | 30.45                |
| 03/01/2018  | JEZDIMIR, CAROLINE         | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00                 | 35.47               | 0.00               | 35.47             | 100.0 | 35.47                |
| 03/01/2018  | BLINKE II TRUST, RONALD    | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00                 | 35.12               | 0.00               | 35.12             | 100.0 | 35.12                |
| 03/01/2018  | WOJTACHA, DOROTHY          | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00                 | 129.36              | 0.00               | 129.36            | 100.0 | 129.36               |
| 03/01/2018  | LISOWSKI, JULIE            | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00                 | 1.60                | 0.00               | 1.60              | 100.0 | 1.60                 |
| 03/01/2018  | BLINKE II, RONALD          | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00                 | 2.08                | 0.00               | 2.08              | 100.0 | 2.08                 |
| 03/01/2018  | CHIECHA, MOLLY             | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00                 | 5.18                | 0.00               | 5.18              | 100.0 | 5.18                 |
| 03/01/2018  | ERICKSON/BENE, THOMAS      | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00                 | 2.81                | 0.00               | 2.81              | 100.0 | 2.81                 |
| 03/01/2018  | GALVAN, ALEC               | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00                 | 3.04                | 0.00               | 3.04              | 100.0 | 3.04                 |
| 03/01/2018  | DALESSANDRO/AUTH PER, ERIC | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00                 | 0.47                | 0.00               | 0.47              | 100.0 | 0.47                 |
| 03/01/2018  | KERN, KATHERINE            | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00                 | 4.61                | 0.00               | 4.61              | 100.0 | 4.61                 |
| 03/01/2018  | PLANSCAPE, INC 401(K) P/S  | AMERICAN FUNDS FUNDAMENTAL INVESTOR | 0.00                 | 849.69              | 0.00               | 849.69            | 100.0 | 849.69               |
| 03/01/2018  | PLANSCAPE, INC 401(K) P/S  | AMERICAN FUNDS NEW WORLD R3         | 0.00                 | 206.26              | 0.00               | 206.26            | 100.0 | 206.26               |
| 03/01/2018  | NOWICKI, DAVID             | COLLEGE 2021 FUND-529A              | 0.00                 | 8.13                | 0.00               | 8.13              | 100.0 | 8.13                 |
| 03/01/2018  | CALZADA, LARA              | COLLEGE 2027 FUND-529A              | 0.00                 | 1.51                | 0.00               | 1.51              | 100.0 | 1.51                 |
| 03/01/2018  | ROBINSON, SARAH            | COLLEGE 2033 FUND-529A              | 0.00                 | 2.86                | 0.00               | 2.86              | 100.0 | 2.86                 |
| 02/28/2018  | KLEMP, DANIAL              | DELAWARE VALUE A                    | 0.00                 | 7.48                | 0.00               | 7.48              | 100.0 | 7.48                 |
| 02/28/2018  | SIDLOBOG                   | DELAWARE VALUE A                    | 0.00                 | 32.45               | 0.00               | 32.45             | 100.0 | 32.45                |
| 02/22/2018  | LOHR, KIMBERLY             | FRANKLIN INCOME A                   | 0.00                 | 0.01                | 0.00               | 0.01              | 100.0 | 0.01                 |
| 02/22/2018  | MCCORKLE, ERIC             | FT FOUNDING FDS ALLOC C             | 0.00                 | 1.71                | 0.00               | 1.71              | 100.0 | 1.71                 |
| 03/01/2018  | WELLS, GREG                | GLOBAL GROWTH PORTFOLIO-529A        | 0.00                 | 1.31                | 0.00               | 1.31              | 100.0 | 1.31                 |
| 03/01/2018  | WELLS, GREG                | GLOBAL GROWTH PORTFOLIO-529A        | 0.00                 | 1.31                | 0.00               | 1.31              | 100.0 | 1.31                 |

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| DATE   | CLIENT                        | INVESTMENT                          | INVESTMENT<br>AMOUNT  | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE  | BROKER<br>COMMISSION |
|--|-------------------------------|-------------------------------------|-----------------------|---------------------|--------------------|-------------------|-------|----------------------|
| <b><u>DIRECT TRANSACTIONS</u></b>                            |                               |                                     |                       |                     |                    |                   |       |                      |
| <b><u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u></b>      |                               |                                     |                       |                     |                    |                   |       |                      |
| 02/22/2018   | RENEE TRUST (NEWTON), BEVERLY | JAMES ALPHA GLOBAL REAL ESTATE FUND | 1,673.48              | 0.36                | 0.00               | 0.36              | 100.0 | 0.36                 |
| 02/22/2018   | TWEED, VARIOUS                | JAMES ALPHA GLOBAL REAL ESTATE FUND | 12,362.97             | 2.63                | 0.00               | 2.63              | 100.0 | 2.63                 |
| <b>* MUTUAL FUND 12B1 TRAILS SUBTOTAL *</b>                  |                               |                                     | <b>\$14,036.45</b>    | <b>\$5,317.26</b>   | <b>\$0.00</b>      | <b>\$5,317.26</b> |       | <b>\$5,317.26</b>    |
| <b><u>PRODUCT CATEGORY: VARIABLE ANNUITY 12B1 TRAILS</u></b> |                               |                                     |                       |                     |                    |                   |       |                      |
| 03/31/2017   | STANTON, ELOISE               | LFG TRAILS                          | 0.00                  | 125.79              | 0.00               | 125.79            | 100.0 | 125.79               |
| 01/21/2017   | MCFADDEN, JOAN                | ING LANDMARK                        | 0.00                  | 201.45              | 0.00               | 201.45            | 100.0 | 201.45               |
| 01/30/2018   | JONES, GREGORY                | ING LANDMARK                        | 72,565.78             | 181.41              | 0.00               | 181.41            | 100.0 | 181.41               |
| 01/30/2018   | BROPHY, CHARLES               | ING LANDMARK                        | 297,326.97            | 743.32              | 0.00               | 743.32            | 100.0 | 743.32               |
| 02/17/2018   | GRIBBLE, MARGARET             | ING LANDMARK                        | 9,806.14              | 12.26               | 0.00               | 12.26             | 100.0 | 12.26                |
| 03/01/2018   | CHIDSEY, CYNTHIA              | ING PREMIUM PLUS                    | 8,343.33              | 5.21                | 0.00               | 5.21              | 100.0 | 5.21                 |
| 02/13/2018   | WARREN, DEBORAH               | PAC LIFE INNOVATIVE SELECT          | 0.00                  | 393.07              | 0.00               | 393.07            | 100.0 | 393.07               |
| <b>* VARIABLE ANNUITY 12B1 TRAILS SUBTOTAL *</b>             |                               |                                     | <b>\$388,042.22</b>   | <b>\$1,662.51</b>   | <b>\$0.00</b>      | <b>\$1,662.51</b> |       | <b>\$1,662.51</b>    |
| <b>*** DIRECT TRANSACTIONS TOTAL ***</b>                     |                               |                                     | <b>\$5,592,899.57</b> | <b>\$9,083.13</b>   | <b>\$0.00</b>      | <b>\$9,083.13</b> |       | <b>\$9,083.13</b>    |

**OVERRIDE TRANSACTIONS****BROKER: G118 GRECO #10**

|            |                     |                                     |       |       |      |       |     |       |
|------------|---------------------|-------------------------------------|-------|-------|------|-------|-----|-------|
| 02/20/2018 | GARZA, NATHAN       | AM FUNDS GROWTH FUND OF AMERICA 529 | 50.00 | 2.50  | 0.00 | 2.50  | 0.0 | 2.50  |
| 02/20/2018 | GARZA, NATHAN       | AM FUNDS NEW PERSPECTIVE 529A       | 50.00 | 2.50  | 0.00 | 2.50  | 0.0 | 2.50  |
| / /        | MACUCH, PAUL        | FA 529 COLLEGE PORT C               | 0.00  | 0.07  | 0.00 | 0.07  | 0.0 | 0.07  |
| / /        | KORNITSKY, KAYLA    | FA 529 DIVERSIFIED INTL PORT CL A   | 0.00  | 1.93  | 0.00 | 1.93  | 0.0 | 1.93  |
| / /        | KORNITSKY, MARK     | FA 529 DIVIDEND GRWTH PORT CL A     | 0.00  | 0.01  | 0.00 | 0.01  | 0.0 | 0.01  |
| / /        | KORNITSKY, KAYLA    | FA 529 DIVIDEND GRWTH PORT CL A     | 0.00  | 3.04  | 0.00 | 3.04  | 0.0 | 3.04  |
| / /        | KORNITSKY, MARK     | FA 529 EQUITY GROWTH PORT CL A      | 0.00  | 0.01  | 0.00 | 0.01  | 0.0 | 0.01  |
| / /        | KORNITSKY, KAYLA    | FA 529 EQUITY GROWTH PORT CL A      | 0.00  | 3.32  | 0.00 | 3.32  | 0.0 | 3.32  |
| / /        | KORNITSKY, MARK     | FA 529 NEW INSIGHTS PORT A          | 0.00  | 0.01  | 0.00 | 0.01  | 0.0 | 0.01  |
| / /        | KORNITSKY, KAYLA    | FA 529 NEW INSIGHTS PORT A          | 0.00  | 3.15  | 0.00 | 3.15  | 0.0 | 3.15  |
| / /        | YFANTOPULOS, GEORGE | FA 529 PORT 2019 A                  | 0.00  | 14.18 | 0.00 | 14.18 | 0.0 | 14.18 |
| / /        | MACUCH, PAUL        | FA 529 PORT 2019 A                  | 0.00  | 0.05  | 0.00 | 0.05  | 0.0 | 0.05  |
| / /        | DORAN, ANN MARIE    | FA 529 PORT 2019 A                  | 0.00  | 0.67  | 0.00 | 0.67  | 0.0 | 0.67  |
| / /        | DORAN, PATRICK      | FA 529 PORT 2019 A                  | 0.00  | 1.92  | 0.00 | 1.92  | 0.0 | 1.92  |
| / /        | MACUCH, PAUL        | FA 529 PORT 2019 C                  | 0.00  | 0.38  | 0.00 | 0.38  | 0.0 | 0.38  |
| / /        | DORAN, PATRICK      | FA 529 PORT 2019 C                  | 0.00  | 2.11  | 0.00 | 2.11  | 0.0 | 2.11  |

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|---------------------------------------|---------------------|-----------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u> OVERRIDE TRANSACTIONS </u></b> |                     |                       |                      |                     |                    |                   |      |                      |
| <b><u>BROKER: JAMES PANOS #10</u></b> |                     |                       |                      |                     |                    |                   |      |                      |
| / /                                   | LORA, MARCOS        | FA 529 PORT 2022 C    | 0.00                 | 6.60                | 0.00               | 6.60              | 0.0  | 6.60                 |
| / /                                   | LORA, CATALINA      | FA 529 PORT 2022 C    | 0.00                 | 6.60                | 0.00               | 6.60              | 0.0  | 6.60                 |
| / /                                   | DORAN, PATRICK      | FA 529 PORT 2022 C    | 0.00                 | 2.20                | 0.00               | 2.20              | 0.0  | 2.20                 |
| / /                                   | MACUCH, PAUL        | FA 529 PORT 2022 C    | 0.00                 | 0.40                | 0.00               | 0.40              | 0.0  | 0.40                 |
| / /                                   | MACUCH, PAUL        | FA 529 PORT 2022 C    | 0.00                 | 2.20                | 0.00               | 2.20              | 0.0  | 2.20                 |
| / /                                   | LORA, ROLANDO       | FA 529 PORT 2022 C    | 0.00                 | 6.60                | 0.00               | 6.60              | 0.0  | 6.60                 |
| / /                                   | YFANTOPULOS, GEORGE | FA 529 PORT 2022 CL A | 0.00                 | 14.73               | 0.00               | 14.73             | 0.0  | 14.73                |
| / /                                   | LORA, MARCOS        | FA 529 PORT 2022 CL A | 0.00                 | 8.67                | 0.00               | 8.67              | 0.0  | 8.67                 |
| / /                                   | LORA, CATALINA      | FA 529 PORT 2022 CL A | 0.00                 | 4.60                | 0.00               | 4.60              | 0.0  | 4.60                 |
| / /                                   | POWERS, GARY        | FA 529 PORT 2022 CL A | 0.00                 | 2.51                | 0.00               | 2.51              | 0.0  | 2.51                 |
| / /                                   | REMI, ALEX          | FA 529 PORT 2022 CL A | 0.00                 | 3.81                | 0.00               | 3.81              | 0.0  | 3.81                 |
| / /                                   | REMI, ALEX          | FA 529 PORT 2022 CL A | 0.00                 | 5.73                | 0.00               | 5.73              | 0.0  | 5.73                 |
| / /                                   | DORAN, PATRICK      | FA 529 PORT 2022 CL A | 0.00                 | 1.19                | 0.00               | 1.19              | 0.0  | 1.19                 |
| / /                                   | MACUCH, PAUL        | FA 529 PORT 2022 CL A | 0.00                 | 0.26                | 0.00               | 0.26              | 0.0  | 0.26                 |
| / /                                   | KORNITSKY, GAVIN    | FA 529 PORT 2022 CL A | 0.00                 | 6.59                | 0.00               | 6.59              | 0.0  | 6.59                 |
| / /                                   | MACUCH, PAUL        | FA 529 PORT 2022 CL A | 0.00                 | 1.43                | 0.00               | 1.43              | 0.0  | 1.43                 |
| / /                                   | DORAN, SHAWN        | FA 529 PORT 2022 CL A | 0.00                 | 0.78                | 0.00               | 0.78              | 0.0  | 0.78                 |
| / /                                   | LORA, ROLANDO       | FA 529 PORT 2022 CL A | 0.00                 | 3.54                | 0.00               | 3.54              | 0.0  | 3.54                 |
| / /                                   | DORAN, ANN MARIE    | FA 529 PORT 2022 CL A | 0.00                 | 0.71                | 0.00               | 0.71              | 0.0  | 0.71                 |
| / /                                   | YFANTOPULOS, GEORGE | FA 529 PORT 2022 CL A | 0.00                 | 9.29                | 0.00               | 9.29              | 0.0  | 9.29                 |
| / /                                   | STEINER, DANIEL     | FA 529 PORT 2025 A    | 0.00                 | 1.44                | 0.00               | 1.44              | 0.0  | 1.44                 |
| / /                                   | STEINER, DANIEL     | FA 529 PORT 2025 A    | 0.00                 | 1.44                | 0.00               | 1.44              | 0.0  | 1.44                 |
| / /                                   | MURPHY, CHRIS       | FA 529 PORT 2025 A    | 0.00                 | 4.37                | 0.00               | 4.37              | 0.0  | 4.37                 |
| / /                                   | MACK, NEIL          | FA 529 PORT 2025 A    | 0.00                 | 2.10                | 0.00               | 2.10              | 0.0  | 2.10                 |
| / /                                   | MURPHY, CHRIS       | FA 529 PORT 2025 C    | 0.00                 | 16.39               | 0.00               | 16.39             | 0.0  | 16.39                |
| / /                                   | MACK, NEIL          | FA 529 PORT 2025 C    | 0.00                 | 11.27               | 0.00               | 11.27             | 0.0  | 11.27                |
| 03/01/2018                            | MURPHY, CHRIS       | FA 529 PORT 2025 C    | 250.00               | 2.50                | 0.00               | 2.50              | 0.0  | 2.50                 |
| 03/01/2018                            | MACK, NEIL          | FA 529 PORT 2025 C    | 250.00               | 2.50                | 0.00               | 2.50              | 0.0  | 2.50                 |
| / /                                   | BRYAN, TRICIA       | FA 529 PORT 2028 A    | 0.00                 | 3.48                | 0.00               | 3.48              | 0.0  | 3.48                 |
| / /                                   | MACK, NEIL          | FA 529 PORT 2028 A    | 0.00                 | 1.01                | 0.00               | 1.01              | 0.0  | 1.01                 |
| / /                                   | LENGNING, DUSTIN    | FA 529 PORT 2028 C    | 0.00                 | 12.61               | 0.00               | 12.61             | 0.0  | 12.61                |
| / /                                   | MACK, NEIL          | FA 529 PORT 2028 C    | 0.00                 | 11.68               | 0.00               | 11.68             | 0.0  | 11.68                |
| 03/01/2018                            | MACK, NEIL          | FA 529 PORT 2028 C    | 250.00               | 2.50                | 0.00               | 2.50              | 0.0  | 2.50                 |

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|--|----------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u> OVERRIDE TRANSACTIONS </u></b>    |                      |                                     |                      |                     |                    |                   |      |                      |
| <b><u>BROKER: JIM LUND #10</u></b>       |                      |                                     |                      |                     |                    |                   |      |                      |
| / /                                      | SANTANA, NICOLE      | FA 529 PORT 2031 A                  | 0.00                 | 2.50                | 0.00               | 2.50              | 0.0  | 2.50                 |
| / /                                      | SANTANA, NICOLE      | FA 529 PORT 2031 A                  | 0.00                 | 0.63                | 0.00               | 0.63              | 0.0  | 0.63                 |
| / /                                      | BARBOUR, ELEANOR     | FIDELITY ADVISOR 529 COLLEGE PORT C | 0.00                 | 2.98                | 0.00               | 2.98              | 0.0  | 2.98                 |
| / /                                      | SOLORIO, ROSE        | FIDELITY ADVISOR 529 COLLEGE PORT C | 0.00                 | 1.64                | 0.00               | 1.64              | 0.0  | 1.64                 |
| / /                                      | FACADA, MANUEL       | FIDELITY ADVISOR 529 COLLEGE PORT C | 0.00                 | 6.51                | 0.00               | 6.51              | 0.0  | 6.51                 |
| / /                                      | FACADA, ANNA         | FIDELITY ADVISOR 529 COLLEGE PORT C | 0.00                 | 5.55                | 0.00               | 5.55              | 0.0  | 5.55                 |
| / /                                      | RADFORD, KIRK        | FIDELITY ADVISOR 529 COLLEGE PORT C | 0.00                 | 0.10                | 0.00               | 0.10              | 0.0  | 0.10                 |
| 03/01/2018                               | SOLORIO, ROSE        | FIDELITY ADVISOR 529 COLLEGE PORT C | 125.00               | 6.25                | 0.00               | 6.25              | 0.0  | 6.25                 |
| 02/26/2018                               | MOLNAR, JAMES        | FT GROWTH ALLOC A                   | 30.00                | 1.50                | 0.00               | 1.50              | 0.0  | 1.50                 |
| 02/26/2018                               | MOLNAR, JAMES        | FT GROWTH ALLOC A                   | 30.00                | 1.50                | 0.00               | 1.50              | 0.0  | 1.50                 |
| 02/26/2018                               | FISACKERLY, MARK     | FT GROWTH ALLOC A                   | 25.00                | 1.25                | 0.00               | 1.25              | 0.0  | 1.25                 |
| 02/26/2018                               | FISACKERLY, MARK     | FT GROWTH ALLOC A                   | 25.00                | 1.25                | 0.00               | 1.25              | 0.0  | 1.25                 |
| * DANIEL COLLINS SUBTOTAL *              |                      |                                     | \$1,085.00           | \$229.24            | \$0.00             | \$229.24          |      | \$229.24             |
| <b><u>BROKER: DANIEL WOLF #11</u></b>    |                      |                                     |                      |                     |                    |                   |      |                      |
| 02/26/2018                               | CARIGNAN, NANCY      | MML CM LIFE VUL                     | 58,487.55            | 7.31                | 0.00               | 7.31              | 0.0  | 7.31                 |
| * DANIEL WOLF SUBTOTAL *                 |                      |                                     | \$58,487.55          | \$7.31              | \$0.00             | \$7.31            |      | \$7.31               |
| <b><u>BROKER: ROBERT CHESTER #21</u></b> |                      |                                     |                      |                     |                    |                   |      |                      |
| 02/22/2018                               | MARVIN, CYNTHIA      | BLK GLOBAL ALLOCATION A             | 0.00                 | 0.44                | 0.00               | 0.44              | 0.0  | 0.44                 |
| 02/22/2018                               | DILTS, ERIC          | BLK MANAGED VOLATILITY A            | 0.00                 | 1.32                | 0.00               | 1.32              | 0.0  | 1.32                 |
| 02/13/2018                               | MARVIN, CYNTHIA      | SUNAMERICA FOCUSED DIVIDEND STRAT A | 0.00                 | 0.23                | 0.00               | 0.23              | 0.0  | 0.23                 |
| * ROBERT CHESTER SUBTOTAL *              |                      |                                     | \$0.00               | \$1.99              | \$0.00             | \$1.99            |      | \$1.99               |
| <b><u>BROKER: EDWARD MCMANUS #25</u></b> |                      |                                     |                      |                     |                    |                   |      |                      |
| 03/01/2018                               | HUDSON, SHELBY       | AM FUNDS EUROPACIFIC GROWTH FUND A  | 0.00                 | 3.44                | 0.00               | 3.44              | 0.0  | 3.44                 |
| 02/22/2018                               | REESE, BARBARA       | FRANKLIN HIGH INCOME C              | 0.00                 | 7.13                | 0.00               | 7.13              | 0.0  | 7.13                 |
| 02/22/2018                               | REESE, BARBARA       | FRANKLIN INCOME C                   | 0.00                 | 7.60                | 0.00               | 7.60              | 0.0  | 7.60                 |
| 02/20/2018                               | SPENCER FAMILY TRUST | PRINCIPAL FUNDS GLOBAL DIVERSIFIED  | 0.00                 | 1.36                | 0.00               | 1.36              | 0.0  | 1.36                 |
| 02/20/2018                               | MCGREW, JAMES        | PRINCIPAL FUNDS GLOBAL DIVERSIFIED  | 0.00                 | 2.35                | 0.00               | 2.35              | 0.0  | 2.35                 |
| 02/12/2018                               | REESE, BARBARA       | THE MULTI-STRATEGY GROWTH & INCOME  | 0.00                 | 22.43               | 0.00               | 22.43             | 0.0  | 22.43                |
| * EDWARD MCMANUS SUBTOTAL *              |                      |                                     | \$0.00               | \$44.31             | \$0.00             | \$44.31           |      | \$44.31              |

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| DATE  | CLIENT                | INVESTMENT                          | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|---|-----------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u> OVERRIDE TRANSACTIONS </u></b>           |                       |                                     |                      |                     |                    |                   |      |                      |
| <b><u> BROKER: ERIC HORNYAK #29 </u></b>        |                       |                                     |                      |                     |                    |                   |      |                      |
| 02/09/2018                                      | JOHNS, JOHN           | AM FUNDS CAPITAL INCOME BUILDER A   | 0.00                 | 28.62               | 0.00               | 28.62             | 0.0  | 28.62                |
| 02/09/2018                                      | GELOW, RENEE          | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00                 | 0.67                | 0.00               | 0.67              | 0.0  | 0.67                 |
| 02/09/2018                                      | GELOW, RENEE          | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00                 | 0.60                | 0.00               | 0.60              | 0.0  | 0.60                 |
| 02/09/2018                                      | CAUL, JEFFREY         | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00                 | 0.48                | 0.00               | 0.48              | 0.0  | 0.48                 |
| 02/09/2018                                      | PALFFY, CARLA         | AM FUNDS FUNDAMENTAL INVESTORS A    | 0.00                 | 5.19                | 0.00               | 5.19              | 0.0  | 5.19                 |
| 02/09/2018                                      | CAUL, JEFFREY         | AM FUNDS GROWTH FUND OF AMERICA A   | 0.00                 | 0.79                | 0.00               | 0.79              | 0.0  | 0.79                 |
| 02/09/2018                                      | JOHNS, JOHN           | AM FUNDS INCOME FUND OF AMERICA A   | 0.00                 | 14.82               | 0.00               | 14.82             | 0.0  | 14.82                |
| 02/09/2018                                      | JOHNS, JOHN           | BLK GLOBAL ALLOCATION A             | 0.00                 | 1.44                | 0.00               | 1.44              | 0.0  | 1.44                 |
| 01/31/2018                                      | MARSHALL, ANGELA      | BLK MODERATE PTF A                  | 0.00                 | 0.22                | 0.00               | 0.22              | 0.0  | 0.22                 |
| 01/31/2018                                      | MARSHALL, ANGELA      | BLK MODERATE PTF A                  | 0.00                 | 1.13                | 0.00               | 1.13              | 0.0  | 1.13                 |
| 02/12/2018                                      | CORCORAN, GAIL        | DISNEY WALT CO DISNEY COM           | 1,961.75             | 22.00               | 14.00              | 8.00              | 0.0  | 8.00                 |
| 02/09/2018                                      | HOWARD, JAMES         | FT TEMPLETON GLOBAL OPP TRUST C     | 0.00                 | 29.45               | 0.00               | 29.45             | 0.0  | 29.45                |
| / /   | CAUL, JEFFREY         | JH 529 PORT 2021-2024 A             | 0.00                 | 0.53                | 0.00               | 0.53              | 0.0  | 0.53                 |
| 02/09/2018                                      | BROUSE, SARAH         | OPPENHEIMER PORT SERIES ACTIVE ALLO | 0.00                 | 0.82                | 0.00               | 0.82              | 0.0  | 0.82                 |
| 02/09/2018                                      | HOWARD, JAMES         | TRANSAMERICA MULTI-MANAGED BAL C    | 0.00                 | 29.86               | 0.00               | 29.86             | 0.0  | 29.86                |
| 02/09/2018                                      | SIELSKI, OLA          | TRANSAMERICA SHORT-TERM BOND C      | 0.00                 | 9.21                | 0.00               | 9.21              | 0.0  | 9.21                 |
| 02/09/2018                                      | HOWARD, JAMES         | TRANSAMERICA SHORT-TERM BOND C      | 0.00                 | 21.94               | 0.00               | 21.94             | 0.0  | 21.94                |
| * ERIC HORNYAK SUBTOTAL *                       |                       |                                     | \$1,961.75           | \$167.77            | \$14.00            | \$153.77          |      | \$153.77             |
| <b><u> BROKER: THOMAS BOAKS #33 </u></b>        |                       |                                     |                      |                     |                    |                   |      |                      |
| 02/28/2018                                      | JACKSON, MATTHEW      | DAVIS NEW YORK VENTURE C            | 30.00                | 0.30                | 0.00               | 0.30              | 0.0  | 0.30                 |
| 02/28/2018                                      | PUDIL, HSIU CHIN      | GENWORTH VA                         | 497.05               | 0.08                | 0.00               | 0.08              | 0.0  | 0.08                 |
| 02/28/2018                                      | LASALLE, BARBARA      | GENWORTH VA                         | 348,768.59           | 290.64              | 0.00               | 290.64            | 0.0  | 290.64               |
| 02/28/2018                                      | GEORGE, CAROLE        | GENWORTH VA                         | 158,501.75           | 132.08              | 0.00               | 132.08            | 0.0  | 132.08               |
| * THOMAS BOAKS SUBTOTAL *                       |                       |                                     | \$507,797.39         | \$423.10            | \$0.00             | \$423.10          |      | \$423.10             |
| <b><u> BROKER: BARTHOLOMEW MACKLER #35 </u></b> |                       |                                     |                      |                     |                    |                   |      |                      |
| 02/09/2018                                      | DIX, DAVID            | ALLIANZ INCOME & GROWTH FND         | 0.00                 | 37.02               | 0.00               | 37.02             | 0.0  | 37.02                |
| 02/09/2018                                      | LINGEMANN, HELEN      | AM FUNDS CAPITAL INCOME BUILDER A   | 0.00                 | 14.17               | 0.00               | 14.17             | 0.0  | 14.17                |
| 02/09/2018                                      | KALOHN TRUST, RUTHANN | AM FUNDS GROWTH FUND OF AMERICA C   | 0.00                 | 21.49               | 0.00               | 21.49             | 0.0  | 21.49                |
| 02/09/2018                                      | BAUGHMAN, MICHELE     | AM FUNDS GROWTH FUND OF AMERICA C   | 0.00                 | 12.04               | 0.00               | 12.04             | 0.0  | 12.04                |
| 02/09/2018                                      | BAUGHMAN, MICHELE     | AM FUNDS GROWTH FUND OF AMERICA F1  | 0.00                 | 6.96                | 0.00               | 6.96              | 0.0  | 6.96                 |
| 02/09/2018                                      | ODOM, EDDIE           | AM FUNDS ICA A                      | 0.00                 | 1.72                | 0.00               | 1.72              | 0.0  | 1.72                 |
| 02/09/2018                                      | ODOM, EDDIE           | AM FUNDS INCOME FUND OF AMERICA A   | 0.00                 | 48.05               | 0.00               | 48.05             | 0.0  | 48.05                |

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| DATE  | CLIENT                  | INVESTMENT                        | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|---|-------------------------|-----------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u> OVERRIDE TRANSACTIONS </u></b>           |                         |                                   |                      |                     |                    |                   |      |                      |
| <b><u> BROKER: BARTHOLOMEW MACKLER #35 </u></b> |                         |                                   |                      |                     |                    |                   |      |                      |
| 02/09/2018                                      | LINGEMANN, HELEN        | AM FUNDS INCOME FUND OF AMERICA A | 0.00                 | 5.97                | 0.00               | 5.97              | 0.0  | 5.97                 |
| 03/01/2018                                      | MODZELEWSKI, DENNIS     | AM FUNDS INCOME FUND OF AMERICA A | 0.00                 | 21.77               | 0.00               | 21.77             | 0.0  | 21.77                |
| 02/09/2018                                      | MILLER, ROBERT          | BLK GLOBAL ALLOCATION A           | 0.00                 | 3.66                | 0.00               | 3.66              | 0.0  | 3.66                 |
| 02/09/2018                                      | MARSH, GARY             | COLUMBIA DIVIDEND OPP A           | 0.00                 | 4.76                | 0.00               | 4.76              | 0.0  | 4.76                 |
| 03/05/2018                                      | MUNACO, FRANK           | COLUMBIA SELIGMAN COMM AND INFO A | 0.00                 | 18.20               | 0.00               | 18.20             | 0.0  | 18.20                |
| 03/05/2018                                      | MARSH, JANICE           | COLUMBIA SELIGMAN COMM AND INFO A | 0.00                 | 8.01                | 0.00               | 8.01              | 0.0  | 8.01                 |
| 03/05/2018                                      | MARSH/SEP, GARY         | COLUMBIA SELIGMAN COMM AND INFO A | 0.00                 | 7.96                | 0.00               | 7.96              | 0.0  | 7.96                 |
| 02/22/2018                                      | MACKLER, BARTHOLOMEW    | CYTOSORBENTS CORPORATION          | 9,550.62             | 22.00               | 14.00              | 8.00              | 0.0  | 8.00                 |
| 02/26/2018                                      | ELIAS, JOHN             | DAVIS NEW YORK VENTURE A          | 500.00               | 20.00               | 0.00               | 20.00             | 0.0  | 20.00                |
| 02/09/2018                                      | PALFFY, AMANDA          | DAVIS NEW YORK VENTURE B          | 0.00                 | 2.63                | 0.00               | 2.63              | 0.0  | 2.63                 |
| 02/09/2018                                      | PALFFY, JESSICA         | DAVIS NEW YORK VENTURE B          | 0.00                 | 2.13                | 0.00               | 2.13              | 0.0  | 2.13                 |
| 02/09/2018                                      | PALFFY, VICTORIA        | DAVIS NEW YORK VENTURE B          | 0.00                 | 1.59                | 0.00               | 1.59              | 0.0  | 1.59                 |
| 02/09/2018                                      | PALFFY, AMANDA          | FEDERATED CAPITAL INCOME B        | 0.00                 | 0.13                | 0.00               | 0.13              | 0.0  | 0.13                 |
| 02/09/2018                                      | PALFFY, JESSICA         | FEDERATED CAPITAL INCOME B        | 0.00                 | 0.10                | 0.00               | 0.10              | 0.0  | 0.10                 |
| 02/09/2018                                      | PALFFY, VICTORIA        | FEDERATED CAPITAL INCOME B        | 0.00                 | 0.07                | 0.00               | 0.07              | 0.0  | 0.07                 |
| 02/09/2018                                      | QUENNEVILLE, JEROME     | FEDERATED CAPITAL INCOME B        | 0.00                 | 5.14                | 0.00               | 5.14              | 0.0  | 5.14                 |
| 02/09/2018                                      | ALLOR, PATRICK          | FIRST EAGLE GLOBAL FUND CL A      | 0.00                 | 4.42                | 0.00               | 4.42              | 0.0  | 4.42                 |
| 02/09/2018                                      | LINGEMANN TRUST, THOMAS | FRANKLIN MI TAX FR INCOME A       | 0.00                 | 0.83                | 0.00               | 0.83              | 0.0  | 0.83                 |
| 01/31/2018                                      | HORTON, RICHARD         | GRIFFIN INST'L ACCESS R E FUND    | 38,003.23            | 8.07                | 0.00               | 8.07              | 0.0  | 8.07                 |
| 01/31/2018                                      | JOHNSON, WILLIAM        | GRIFFIN INST'L ACCESS R E FUND    | 13,188.53            | 2.80                | 0.00               | 2.80              | 0.0  | 2.80                 |
| 01/31/2018                                      | CASGRAIN, GAYL          | GRIFFIN INST'L ACCESS R E FUND    | 23,956.98            | 5.09                | 0.00               | 5.09              | 0.0  | 5.09                 |
| 01/31/2018                                      | BORR, RUDOLPH           | GRIFFIN INST'L ACCESS R E FUND C  | 23,956.98            | 15.67               | 0.00               | 15.67             | 0.0  | 15.67                |
| 01/31/2018                                      | QUENNEVILLE, JEROME     | GRIFFIN INST'L ACCESS R E FUND C  | 38,547.66            | 32.73               | 0.00               | 32.73             | 0.0  | 32.73                |
| 01/31/2018                                      | LOWELL, THOMAS          | GRIFFIN INST'L ACCESS R E FUND C  | 53,569.30            | 45.49               | 0.00               | 45.49             | 0.0  | 45.49                |
| 01/31/2018                                      | LICHOROBIEC, RICHARD    | GRIFFIN INST'L ACCESS R E FUND C  | 42,697.51            | 36.27               | 0.00               | 36.27             | 0.0  | 36.27                |
| 01/31/2018                                      | PRICE, BONNIE           | GRIFFIN INST'L ACCESS R E FUND C  | 39,929.90            | 33.91               | 0.00               | 33.91             | 0.0  | 33.91                |
| 02/09/2018                                      | MILLER, ROBERT          | IVY ASSET STRATEGY FUND CLASS A   | 0.00                 | 3.14                | 0.00               | 3.14              | 0.0  | 3.14                 |
| 02/28/2018                                      | DAMRON, ROBERT          | JNL PERSPECTIVE                   | 298,173.34           | 62.12               | 0.00               | 62.12             | 0.0  | 62.12                |
| 02/28/2018                                      | JOHNSON, WILLIAM        | JNL PERSPECTIVE                   | 1,753.68             | 0.37                | 0.00               | 0.37              | 0.0  | 0.37                 |
| 02/28/2018                                      | MITCHELL, DONALD        | JNL PERSPECTIVE                   | 8,920.83             | 1.86                | 0.00               | 1.86              | 0.0  | 1.86                 |
| 02/28/2018                                      | ROHLOFF, CARL           | JNL PERSPECTIVE                   | 16,317.29            | 3.40                | 0.00               | 3.40              | 0.0  | 3.40                 |
| 02/28/2018                                      | SCHNELL, JAMES          | JNL PERSPECTIVE                   | 5,096.68             | 2.12                | 0.00               | 2.12              | 0.0  | 2.12                 |
| 02/28/2018                                      | ANTON, CAROLE           | JNL PERSPECTIVE II 04/14          | 24,150.36            | 10.06               | 0.00               | 10.06             | 0.0  | 10.06                |

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|---|-------------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u> OVERRIDE TRANSACTIONS </u></b>           |                         |                                     |                      |                     |                    |                   |      |                      |
| <b><u> BROKER: BARTHOLOMEW MACKLER #35 </u></b> |                         |                                     |                      |                     |                    |                   |      |                      |
| 02/28/2018                                      | RYAN, NANCY             | JNL PERSPECTIVE L                   | 62,502.01            | 52.09               | 0.00               | 52.09             | 0.0  | 52.09                |
| 02/28/2018                                      | MAZURKIEWICZ, JAMES     | JNL PERSPECTIVE L                   | 51,232.63            | 42.69               | 0.00               | 42.69             | 0.0  | 42.69                |
| 02/28/2018                                      | SNYDER, MICHAEL C       | JNL PERSPECTIVE L                   | 39,093.20            | 32.58               | 0.00               | 32.58             | 0.0  | 32.58                |
| 02/09/2018                                      | HORTON, RICHARD         | LEGG MASON CLEARBRIDGE TACTICAL DIV | 0.00                 | 3.84                | 0.00               | 3.84              | 0.0  | 3.84                 |
| 02/09/2018                                      | BECK III, FRANKLIN      | OPPENHEIMER GOLD & SPECIAL MINERALS | 0.00                 | 0.10                | 0.00               | 0.10              | 0.0  | 0.10                 |
| 02/09/2018                                      | NIPPA, BETTY            | OPPENHEIMER GOLD & SPECIAL MINERALS | 0.00                 | 0.78                | 0.00               | 0.78              | 0.0  | 0.78                 |
| 02/09/2018                                      | QUENNEVILLE, JEROME     | OPPENHEIMER GOLD & SPECIAL MINERALS | 0.00                 | 0.49                | 0.00               | 0.49              | 0.0  | 0.49                 |
| 02/09/2018                                      | LINGEMANN TRUST, THOMAS | OPPENHEIMER GOLD & SPECIAL MINERALS | 0.00                 | 1.01                | 0.00               | 1.01              | 0.0  | 1.01                 |
| 02/09/2018                                      | LAMARRA, BEN            | OPPENHEIMER GOLD & SPECIAL MINERALS | 0.00                 | 0.83                | 0.00               | 0.83              | 0.0  | 0.83                 |
| 02/09/2018                                      | MAPLEY, CRISSELLA       | OPPENHEIMER GOLD & SPECIAL MINERALS | 0.00                 | 1.41                | 0.00               | 1.41              | 0.0  | 1.41                 |
| 02/09/2018                                      | CURL, BRIAN K           | OPPENHEIMER GOLD & SPECIAL MINERALS | 0.00                 | 1.06                | 0.00               | 1.06              | 0.0  | 1.06                 |
| 02/09/2018                                      | LINGEMANN, HELEN        | OPPENHEIMER INTL DIVERSIFIED A      | 0.00                 | 7.99                | 0.00               | 7.99              | 0.0  | 7.99                 |
| 02/09/2018                                      | LINGEMANN, HELEN        | OPPENHEIMER LIMITED TERM MUNI A     | 0.00                 | 5.55                | 0.00               | 5.55              | 0.0  | 5.55                 |
| 02/09/2018                                      | TUMINO TRUST, RAPHAEL   | PUTNAM EQUITY INCOME A              | 0.00                 | 7.42                | 0.00               | 7.42              | 0.0  | 7.42                 |
| 02/09/2018                                      | TUMINO TRUST, RAPHAEL   | PUTNAM TAX EXEMPT INCOME-A          | 0.00                 | 1.72                | 0.00               | 1.72              | 0.0  | 1.72                 |
| 03/02/2018                                      | TERRELL, KATHLEEN       | TRANSAMERICA AA MODERATE C          | 0.00                 | 8.71                | 0.00               | 8.71              | 0.0  | 8.71                 |
| 03/02/2018                                      | KRSTOFF, LAURA          | TRANSAMERICA AA MODERATE C          | 0.00                 | 28.33               | 0.00               | 28.33             | 0.0  | 28.33                |
| * BARTHOLOMEW MACKLER SUBTOTAL *                |                         |                                     | <b>\$791,140.73</b>  | <b>\$730.52</b>     | <b>\$14.00</b>     | <b>\$716.52</b>   |      | <b>\$716.52</b>      |
| <b><u> BROKER: TIMOTHY BROWN #36 </u></b>       |                         |                                     |                      |                     |                    |                   |      |                      |
| / /   | APPLEBY, SCOTT          | PROFUNDS ULTRANASDAQ 100 SVC        | 0.00                 | 3.51                | 0.00               | 3.51              | 0.0  | 3.51                 |
| / /   | APPLEBY, SCOTT          | PROFUNDS ULTRANASDAQ 100 SVC        | 0.00                 | 10.52               | 0.00               | 10.52             | 0.0  | 10.52                |
| * TIMOTHY BROWN SUBTOTAL *                      |                         |                                     | <b>\$0.00</b>        | <b>\$14.03</b>      | <b>\$0.00</b>      | <b>\$14.03</b>    |      | <b>\$14.03</b>       |
| <b><u> BROKER: BRUCE BAXTER #38 </u></b>        |                         |                                     |                      |                     |                    |                   |      |                      |
| 02/15/2018                                      | LAMBERT, JOHN DOUGLAS   | ING ACCESS                          | 41,894.49            | 104.74              | 0.00               | 104.74            | 0.0  | 104.74               |
| 03/01/2018                                      | BROWN, IAN              | MFS AGGRESSIVE GROWTH ALLOCATION A  | 100.00               | 5.00                | 0.00               | 5.00              | 0.0  | 5.00                 |
| / /   | GOLSCH, LORI            | PROFUNDS ULTRA SMALLCAP SVC         | 0.00                 | 0.01                | 0.00               | 0.01              | 0.0  | 0.01                 |
| / /   | GEIGER, JACQUELYN       | PROFUNDS ULTRA SMALLCAP SVC         | 0.00                 | 0.02                | 0.00               | 0.02              | 0.0  | 0.02                 |
| / /   | DENNIS, MARK            | PROFUNDS ULTRA SMALLCAP SVC         | 0.00                 | 0.01                | 0.00               | 0.01              | 0.0  | 0.01                 |
| / /   | GOLSCH, LORI            | PROFUNDS ULTRA SMALLCAP SVC         | 0.00                 | 0.02                | 0.00               | 0.02              | 0.0  | 0.02                 |
| / /   | GEIGER, JACQUELYN       | PROFUNDS ULTRA SMALLCAP SVC         | 0.00                 | 0.05                | 0.00               | 0.05              | 0.0  | 0.05                 |
| / /   | HUFFMAN, JUSTIN         | PROFUNDS ULTRANASDAQ 100 SVC        | 0.00                 | 9.53                | 0.00               | 9.53              | 0.0  | 9.53                 |
| / /   | HUFFMAN, JUSTIN         | PROFUNDS ULTRANASDAQ 100 SVC        | 0.00                 | 28.60               | 0.00               | 28.60             | 0.0  | 28.60                |

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|---|-------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u> OVERRIDE TRANSACTIONS </u></b>       |                   |                                     |                      |                     |                    |                   |      |                      |
| <b><u> BROKER: BRUCE BAXTER #38 </u></b>    |                   |                                     |                      |                     |                    |                   |      |                      |
| / /   | DENNIS, MARK      | PROFUNDS ULTRASHORT SMALLCAP SVC    | 0.00                 | 0.01                | 0.00               | 0.01              | 0.0  | 0.01                 |
| / /   | GOLSCH, LORI      | PROFUNDS ULTRASHORT SMALLCAP SVC    | 0.00                 | 0.01                | 0.00               | 0.01              | 0.0  | 0.01                 |
| / /   | GEIGER, JACQUELYN | PROFUNDS ULTRASHORT SMALLCAP SVC    | 0.00                 | 0.03                | 0.00               | 0.03              | 0.0  | 0.03                 |
| / /   | DENNIS, MARK      | PROFUNDS ULTRASHORT SMALLCAP SVC    | 0.00                 | 0.02                | 0.00               | 0.02              | 0.0  | 0.02                 |
| / /   | GOLSCH, LORI      | PROFUNDS ULTRASHORT SMALLCAP SVC    | 0.00                 | 0.03                | 0.00               | 0.03              | 0.0  | 0.03                 |
| / /   | GEIGER, JACQUELYN | PROFUNDS ULTRASHORT SMALLCAP SVC    | 0.00                 | 0.10                | 0.00               | 0.10              | 0.0  | 0.10                 |
| 02/27/2018                                  | STAMBAUGH, GARY   | SBL ADVISORDESIGNS VA               | 15,510.69            | 5.82                | 0.00               | 5.82              | 0.0  | 5.82                 |
| * BRUCE BAXTER SUBTOTAL *                   |                   |                                     | \$57,505.18          | \$154.00            | \$0.00             | \$154.00          |      | \$154.00             |
| <b><u> BROKER: MELANIE DICENSO #43 </u></b> |                   |                                     |                      |                     |                    |                   |      |                      |
| 02/21/2018                                  | BEATTY, MATTHEW   | AM FUNDS BOND FUND OF AMERICA F1    | 0.00                 | 6.17                | 0.00               | 6.17              | 0.0  | 6.17                 |
| 02/21/2018                                  | BEATTY, MATTHEW   | AM FUNDS EUROPACIFIC GROWTH FUND F1 | 0.00                 | 4.07                | 0.00               | 4.07              | 0.0  | 4.07                 |
| / /   | BROTH, KRISTEN    | FIDELITY GROWTH & INCOME A          | 0.00                 | 1.05                | 0.00               | 1.05              | 0.0  | 1.05                 |
| 02/27/2018                                  | COLE, SUSAN       | SBL ADVISOR PROGRAM                 | 18,455.14            | 3.84                | 0.00               | 3.84              | 0.0  | 3.84                 |
| 03/01/2018                                  | COLE, SUSAN       | SBL ADVISOR PROGRAM                 | 2,501.12             | 100.04              | 0.00               | 100.04            | 0.0  | 100.04               |
| * MELANIE DICENSO SUBTOTAL *                |                   |                                     | \$20,956.26          | \$115.17            | \$0.00             | \$115.17          |      | \$115.17             |
| <b><u> BROKER: JOHN BEAN #45 </u></b>       |                   |                                     |                      |                     |                    |                   |      |                      |
| 02/21/2018                                  | HODGE, WENDY      | AM FUNDS CAPITAL INCOME BUILDER A   | 0.00                 | 0.37                | 0.00               | 0.37              | 0.0  | 0.37                 |
| 02/21/2018                                  | DANIEL, GREGORY   | AM FUNDS CAPITAL INCOME BUILDER A   | 0.00                 | 0.07                | 0.00               | 0.07              | 0.0  | 0.07                 |
| 02/21/2018                                  | DANIEL, MILLER    | AM FUNDS CAPITAL INCOME BUILDER A   | 0.00                 | 0.07                | 0.00               | 0.07              | 0.0  | 0.07                 |
| 02/21/2018                                  | DANIEL, GREGORY   | AM FUNDS CAPITAL INCOME BUILDER A   | 0.00                 | 0.07                | 0.00               | 0.07              | 0.0  | 0.07                 |
| 02/21/2018                                  | HODGE, WENDY      | AM FUNDS CAPITAL WORLD BOND A       | 0.00                 | 0.28                | 0.00               | 0.28              | 0.0  | 0.28                 |
| 02/21/2018                                  | DANIEL, GREGORY   | AM FUNDS CAPITAL WORLD BOND A       | 0.00                 | 0.06                | 0.00               | 0.06              | 0.0  | 0.06                 |
| 02/21/2018                                  | DANIEL, MILLER    | AM FUNDS CAPITAL WORLD BOND A       | 0.00                 | 0.06                | 0.00               | 0.06              | 0.0  | 0.06                 |
| 02/21/2018                                  | DANIEL, GREGORY   | AM FUNDS CAPITAL WORLD BOND A       | 0.00                 | 0.06                | 0.00               | 0.06              | 0.0  | 0.06                 |
| 02/21/2018                                  | HODGE, WENDY      | AM FUNDS NEW PERSPECTIVE A          | 0.00                 | 0.93                | 0.00               | 0.93              | 0.0  | 0.93                 |
| 02/21/2018                                  | DANIEL, GREGORY   | AM FUNDS NEW PERSPECTIVE A          | 0.00                 | 0.19                | 0.00               | 0.19              | 0.0  | 0.19                 |
| 02/21/2018                                  | DANIEL, MILLER    | AM FUNDS NEW PERSPECTIVE A          | 0.00                 | 0.19                | 0.00               | 0.19              | 0.0  | 0.19                 |
| 02/21/2018                                  | DANIEL, GREGORY   | AM FUNDS NEW PERSPECTIVE A          | 0.00                 | 0.19                | 0.00               | 0.19              | 0.0  | 0.19                 |
| 02/21/2018                                  | HASENAUER, CAROL  | CALAMOS EVOLVING WORLD GROWTH A     | 0.00                 | 0.26                | 0.00               | 0.26              | 0.0  | 0.26                 |
| 02/21/2018                                  | HASENAUER, CAROL  | CALAMOS HIGH INCOME A               | 0.00                 | 0.13                | 0.00               | 0.13              | 0.0  | 0.13                 |
| 02/21/2018                                  | HODGE, WENDY      | CALAMOS HIGH INCOME A               | 0.00                 | 0.18                | 0.00               | 0.18              | 0.0  | 0.18                 |
| 02/14/2018                                  | KING, TROY        | CALVERT EQUITY PORTFOLIO FUND CLASS | 0.00                 | 0.78                | 0.00               | 0.78              | 0.0  | 0.78                 |

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| DATE   | CLIENT                            | INVESTMENT                          | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|-----------------------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u> OVERRIDE TRANSACTIONS </u></b>            |                                   |                                     |                      |                     |                    |                   |      |                      |
| <b><u> BROKER: JOHN BEAN #45 </u></b>            |                                   |                                     |                      |                     |                    |                   |      |                      |
| 02/14/2018                                       | KING, JODY                        | CALVERT EQUITY PORTFOLIO FUND CLASS | 0.00                 | 0.65                | 0.00               | 0.65              | 0.0  | 0.65                 |
| 02/14/2018                                       | KING, TROY                        | CALVERT INCOME FUND CLASS A         | 0.00                 | 0.48                | 0.00               | 0.48              | 0.0  | 0.48                 |
| 02/14/2018                                       | KING, JODY                        | CALVERT INCOME FUND CLASS A         | 0.00                 | 0.44                | 0.00               | 0.44              | 0.0  | 0.44                 |
| 02/14/2018                                       | KING, JODY                        | CALVERT INTERNATIONAL EQUITY FUND C | 0.00                 | 0.09                | 0.00               | 0.09              | 0.0  | 0.09                 |
| 02/14/2018                                       | KING, TROY                        | CALVERT SMALL CAP FUND CLASS A      | 0.00                 | 0.36                | 0.00               | 0.36              | 0.0  | 0.36                 |
| 02/14/2018                                       | KING, JODY                        | CALVERT SMALL CAP FUND CLASS A      | 0.00                 | 0.17                | 0.00               | 0.17              | 0.0  | 0.17                 |
| 02/22/2018                                       | HASENAUER, CAROL                  | FRANKLIN INCOME A                   | 0.00                 | 0.09                | 0.00               | 0.09              | 0.0  | 0.09                 |
| 02/22/2018                                       | THOMAS, MARILYN                   | OPPENHEIMER GLOBAL STRATEGIC INC A  | 0.00                 | 1.09                | 0.00               | 1.09              | 0.0  | 1.09                 |
| 02/22/2018                                       | THOMAS, MARILYN                   | OPPENHEIMER MAIN STREET A           | 0.00                 | 5.57                | 0.00               | 5.57              | 0.0  | 5.57                 |
| * JOHN BEAN SUBTOTAL *                           |                                   |                                     | \$0.00               | \$12.83             | \$0.00             | \$12.83           |      | \$12.83              |
| <b><u> BROKER: ROBERT (RUSTY) TWEED #58 </u></b> |                                   |                                     |                      |                     |                    |                   |      |                      |
| 02/21/2018                                       | SMITH, REBECCA                    | AM FUNDS AMERICAN BALANCED C        | 0.00                 | 9.52                | 0.00               | 9.52              | 0.0  | 9.52                 |
| 03/05/2018                                       | ENGSTROM, COLEMAN                 | COLUMBIA ACORN INT'L A              | 0.00                 | 2.54                | 0.00               | 2.54              | 0.0  | 2.54                 |
| 03/05/2018                                       | PANTON, GARY T & DEBORA           | COLUMBIA CALIFORNIA TAX-EXEMPT FUND | 0.00                 | 0.80                | 0.00               | 0.80              | 0.0  | 0.80                 |
| 03/05/2018                                       | UMBRELLO, ALBERT                  | COLUMBIA LARGE CAP GROWTH A         | 0.00                 | 6.73                | 0.00               | 6.73              | 0.0  | 6.73                 |
| 03/05/2018                                       | UMBRELLO, ALBERT                  | COLUMBIA SELIGMAN COMM AND INFO A   | 0.00                 | 5.60                | 0.00               | 5.60              | 0.0  | 5.60                 |
| 02/22/2018                                       | SCIOLINI, ALDO                    | FRANKLIN INCOME A                   | 0.00                 | 2.36                | 0.00               | 2.36              | 0.0  | 2.36                 |
| 02/26/2018                                       | LEDWITZ TRUST, MARTIN & ELIZABETH | JAMES ALPHA GLOBAL REAL ESTATE FUND | 0.00                 | 1.05                | 0.00               | 1.05              | 0.0  | 1.05                 |
| 02/16/2018                                       | CHAVEZ, VICTOR                    | JH CLASSIC VALUE A                  | 0.00                 | 9.01                | 0.00               | 9.01              | 0.0  | 9.01                 |
| 02/28/2018                                       | ZAX TRUST                         | JNL PERSPECTIVE                     | 405.13               | 0.08                | 0.00               | 0.08              | 0.0  | 0.08                 |
| 02/28/2018                                       | STEPHENSON, STAR                  | JNL PERSPECTIVE II 04/14            | 8,972.07             | 3.74                | 0.00               | 3.74              | 0.0  | 3.74                 |
| 02/28/2018                                       | ANDERSON, DAVID LEE               | JNL PERSPECTIVE L                   | 64,668.16            | 70.06               | 0.00               | 70.06             | 0.0  | 70.06                |
| 02/28/2018                                       | WHITE, LINDA                      | JNL PERSPECTIVE L                   | 81,438.84            | 67.87               | 0.00               | 67.87             | 0.0  | 67.87                |
| 02/28/2018                                       | ENGSTROM, WAYNE                   | JNL PERSPECTIVE L                   | 34,766.72            | 28.97               | 0.00               | 28.97             | 0.0  | 28.97                |
| 02/28/2018                                       | AMIGLEO, MICHELLE                 | JNL PERSPECTIVE L                   | 15,126.87            | 12.61               | 0.00               | 12.61             | 0.0  | 12.61                |
| 02/22/2018                                       | DANIELS, PHILIP                   | OPPENHEIMER CA MUNICIPAL A          | 0.00                 | 11.31               | 0.00               | 11.31             | 0.0  | 11.31                |
| 02/26/2018                                       | PANTON, GARY                      | TIER REIT INC COM NEW               | -17,607.17           | 22.00               | 23.37              | -1.37             | 0.0  | -1.37                |
| 02/26/2018                                       | PANTON, DEBORAH LEE               | TIER REIT INC COM NEW               | -23,842.12           | 22.00               | 23.87              | -1.87             | 0.0  | -1.87                |
| 02/23/2018                                       | CHAVEZ, VICTOR                    | VICTORY INTEGRITY SMALL-CAP VALUE F | 0.00                 | 5.76                | 0.00               | 5.76              | 0.0  | 5.76                 |
| 02/26/2018                                       | PANTON, DEBORAH LEE               | WHITESTONE REIT CL B SHS BEN INT IS | -16,195.86           | 22.00               | 23.94              | -1.94             | 0.0  | -1.94                |
| * ROBERT (RUSTY) TWEED SUBTOTAL *                |                                   |                                     | \$147,732.64         | \$304.01            | \$71.18            | \$232.83          |      | \$232.83             |

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|--|--------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u> OVERRIDE TRANSACTIONS </u></b>      |                    |                                     |                      |                     |                    |                   |      |                      |
| <b><u>BROKER: JIM LUND #60</u></b>         |                    |                                     |                      |                     |                    |                   |      |                      |
| 03/01/2018                                 | ERTEL, KENNETH     | FT FOUNDING FDS ALLOC C             | 200.00               | 2.00                | 0.00               | 2.00              | 0.0  | 2.00                 |
| 02/21/2018                                 | CRAIG, JAMIE       | FT MODERATE ALLOCATION FUND C       | 120.00               | 1.20                | 0.00               | 1.20              | 0.0  | 1.20                 |
| * JIM LUND SUBTOTAL *                      |                    |                                     | <b>\$320.00</b>      | <b>\$3.20</b>       | <b>\$0.00</b>      | <b>\$3.20</b>     |      | <b>\$3.20</b>        |
| <b><u>BROKER: JAMES PANOS #61</u></b>      |                    |                                     |                      |                     |                    |                   |      |                      |
| 02/28/2018                                 | TATAROUNS, WILLIAM | JNL PERSPECTIVE L                   | 83,940.39            | 69.95               | 0.00               | 69.95             | 0.0  | 69.95                |
| 02/28/2018                                 | TATAROUNS, LELA    | JNL PERSPECTIVE REWARDS             | 214,117.01           | 89.22               | 0.00               | 89.22             | 0.0  | 89.22                |
| * JAMES PANOS SUBTOTAL *                   |                    |                                     | <b>\$298,057.40</b>  | <b>\$159.17</b>     | <b>\$0.00</b>      | <b>\$159.17</b>   |      | <b>\$159.17</b>      |
| <b><u>BROKER: JAMES AULENTI #101</u></b>   |                    |                                     |                      |                     |                    |                   |      |                      |
| 03/01/2018                                 | BAYLE, JOHN        | AM FUNDS AMCAP A                    | 0.00                 | 8.10                | 0.00               | 8.10              | 0.0  | 8.10                 |
| 03/01/2018                                 | BAYLE, JOHN        | AM FUNDS AMERICAN BALANCED A        | 0.00                 | 32.25               | 0.00               | 32.25             | 0.0  | 32.25                |
| 03/01/2018                                 | BAYLE, JOHN        | AM FUNDS BOND FUND OF AMERICA A     | 0.00                 | 33.52               | 0.00               | 33.52             | 0.0  | 33.52                |
| 03/01/2018                                 | MCCANDLESS, JAMES  | AM FUNDS CAPITAL INCOME BUILDER A   | 0.00                 | 13.34               | 0.00               | 13.34             | 0.0  | 13.34                |
| 03/01/2018                                 | SCHULTZ, WILLIAM   | AM FUNDS CAPITAL INCOME BUILDER A   | 0.00                 | 18.42               | 0.00               | 18.42             | 0.0  | 18.42                |
| 03/01/2018                                 | BAYLE, JOHN        | AM FUNDS CAPITAL INCOME BUILDER A   | 0.00                 | 31.01               | 0.00               | 31.01             | 0.0  | 31.01                |
| 03/01/2018                                 | MCCANDLESS, JAMES  | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00                 | 15.46               | 0.00               | 15.46             | 0.0  | 15.46                |
| 03/01/2018                                 | SPENCE, NANCY      | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00                 | 23.51               | 0.00               | 23.51             | 0.0  | 23.51                |
| 03/01/2018                                 | BAYLE, JOHN        | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00                 | 33.92               | 0.00               | 33.92             | 0.0  | 33.92                |
| 03/01/2018                                 | RODRIGUES, GEORGE  | AM FUNDS FUNDAMENTAL INVESTORS A    | 0.00                 | 5.80                | 0.00               | 5.80              | 0.0  | 5.80                 |
| 03/01/2018                                 | SPENCE, NANCY      | AM FUNDS FUNDAMENTAL INVESTORS A    | 0.00                 | 26.44               | 0.00               | 26.44             | 0.0  | 26.44                |
| 03/01/2018                                 | CALABRO, TREVER    | AM FUNDS GROWTH AND INCOME 529A     | 0.00                 | 59.23               | 0.00               | 59.23             | 0.0  | 59.23                |
| 03/01/2018                                 | CALABRO, TREVER    | AM FUNDS GROWTH PORT 529A           | 0.00                 | 83.65               | 0.00               | 83.65             | 0.0  | 83.65                |
| 03/01/2018                                 | BAYLE, JOHN        | AM FUNDS INCOME FUND OF AMERICA A   | 0.00                 | 16.05               | 0.00               | 16.05             | 0.0  | 16.05                |
| 03/01/2018                                 | CLISHAM, JOHN      | AM FUNDS TAX-EXEMPT BOND FUND OF AM | 0.00                 | 155.91              | 0.00               | 155.91            | 0.0  | 155.91               |
| 03/01/2018                                 | MCCANDLESS, JAMES  | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00                 | 19.10               | 0.00               | 19.10             | 0.0  | 19.10                |
| * JAMES AULENTI SUBTOTAL *                 |                    |                                     | <b>\$0.00</b>        | <b>\$575.71</b>     | <b>\$0.00</b>      | <b>\$575.71</b>   |      | <b>\$575.71</b>      |
| <b><u>BROKER: ERIK BLOOMFELDT #105</u></b> |                    |                                     |                      |                     |                    |                   |      |                      |
| 03/01/2018                                 | TOMLINSON, ELIJAH  | AM FUNDS COLLEGE 2030 FUND 529A     | 0.00                 | 4.87                | 0.00               | 4.87              | 0.0  | 4.87                 |
| * ERIK BLOOMFELDT SUBTOTAL *               |                    |                                     | <b>\$0.00</b>        | <b>\$4.87</b>       | <b>\$0.00</b>      | <b>\$4.87</b>     |      | <b>\$4.87</b>        |
| <b><u>BROKER: DANIEL COLLINS #106</u></b>  |                    |                                     |                      |                     |                    |                   |      |                      |
| 02/12/2018                                 | WHITE, JACKSON     | ALLIANCEBERNSTEIN BAL WEALTH STR A  | 0.00                 | 4.92                | 0.00               | 4.92              | 0.0  | 4.92                 |
| 02/12/2018                                 | WHITE, MARGARET    | ALLIANCEBERNSTEIN BAL WEALTH STR A  | 0.00                 | 12.00               | 0.00               | 12.00             | 0.0  | 12.00                |

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|---|----------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u> OVERRIDE TRANSACTIONS </u></b>       |                      |                                     |                      |                     |                    |                   |      |                      |
| <b><u> BROKER: DANIEL COLLINS #106 </u></b> |                      |                                     |                      |                     |                    |                   |      |                      |
| 02/12/2018                                  | PARSONS, VIRGINIA    | ALLIANCEBERNSTEIN BAL WEALTH STR A  | 0.00                 | 6.00                | 0.00               | 6.00              | 0.0  | 6.00                 |
| 02/12/2018                                  | PARSONS, VIRGINIA    | ALLIANCEBERNSTEIN BAL WEALTH STR A  | 0.00                 | 2.38                | 0.00               | 2.38              | 0.0  | 2.38                 |
| 02/21/2018                                  | JESTER, CATHERINE    | AM FUNDS ICA A                      | 0.00                 | 6.57                | 0.00               | 6.57              | 0.0  | 6.57                 |
| / /   | MORRISON, ISABELLA   | COLLEGE PORTFOLIO B                 | 0.00                 | 0.21                | 0.00               | 0.21              | 0.0  | 0.21                 |
| / /   | MORRISON, ALEXANDRA  | COLLEGE PORTFOLIO B                 | 0.00                 | 0.21                | 0.00               | 0.21              | 0.0  | 0.21                 |
| 02/16/2018                                  | JESTER, CATHERINE    | DAVIS NEW YORK VENTURE A            | 0.00                 | 4.01                | 0.00               | 4.01              | 0.0  | 4.01                 |
| 02/15/2018                                  | BEBEE, MARY          | DREYFUS AMT-FREE MUNICIPAL BOND FUN | 0.00                 | 4.26                | 0.00               | 4.26              | 0.0  | 4.26                 |
| 02/26/2018                                  | MOLNAR, JAMES        | FRANKLIN GROWTH OPP A               | 30.00                | 1.50                | 0.00               | 1.50              | 0.0  | 1.50                 |
| 02/26/2018                                  | MOLNAR, JAMES        | FRANKLIN GROWTH OPP A               | 30.00                | 1.50                | 0.00               | 1.50              | 0.0  | 1.50                 |
| 02/26/2018                                  | FISACKERLY, MARK     | FRANKLIN GROWTH OPP A               | 25.00                | 1.25                | 0.00               | 1.25              | 0.0  | 1.25                 |
| 02/26/2018                                  | FISACKERLY, MARK     | FRANKLIN GROWTH OPP A               | 25.00                | 1.25                | 0.00               | 1.25              | 0.0  | 1.25                 |
| 02/26/2018                                  | MOLNAR, JAMES        | FRANKLIN RISING DIVIDENDS A         | 30.00                | 1.50                | 0.00               | 1.50              | 0.0  | 1.50                 |
| 02/26/2018                                  | MOLNAR, JAMES        | FRANKLIN RISING DIVIDENDS A         | 30.00                | 1.50                | 0.00               | 1.50              | 0.0  | 1.50                 |
| 02/26/2018                                  | FISACKERLY, MARK     | FRANKLIN RISING DIVIDENDS A         | 25.00                | 1.25                | 0.00               | 1.25              | 0.0  | 1.25                 |
| 02/26/2018                                  | FISACKERLY, MARK     | FRANKLIN RISING DIVIDENDS A         | 25.00                | 1.25                | 0.00               | 1.25              | 0.0  | 1.25                 |
| 02/26/2018                                  | MOLNAR, JAMES        | FRANKLIN SMALL CAP VALUE A          | 30.00                | 1.50                | 0.00               | 1.50              | 0.0  | 1.50                 |
| 02/26/2018                                  | MOLNAR, JAMES        | FRANKLIN SMALL CAP VALUE A          | 30.00                | 1.50                | 0.00               | 1.50              | 0.0  | 1.50                 |
| 02/26/2018                                  | FISACKERLY, MARK     | FRANKLIN SMALL CAP VALUE A          | 25.00                | 1.25                | 0.00               | 1.25              | 0.0  | 1.25                 |
| 02/26/2018                                  | FISACKERLY, MARK     | FRANKLIN SMALL CAP VALUE A          | 25.00                | 1.25                | 0.00               | 1.25              | 0.0  | 1.25                 |
| 02/28/2018                                  | PLUTSCHAK, ERNEST    | GENWORTH VA                         | 71,332.69            | 11.89               | 0.00               | 11.89             | 0.0  | 11.89                |
| 02/28/2018                                  | PLUTSCHAK, ERNEST    | GENWORTH VA                         | 5,434.84             | 0.91                | 0.00               | 0.91              | 0.0  | 0.91                 |
| 02/22/2018                                  | WHITE, JACKSON       | OPPENHEIMER LIMITED TERM GOVERNMENT | 0.00                 | 2.71                | 0.00               | 2.71              | 0.0  | 2.71                 |
| 02/27/2018                                  | WHITE, MARGARET      | PIMCO REAL RETURN A                 | 0.00                 | 2.02                | 0.00               | 2.02              | 0.0  | 2.02                 |
| 02/21/2018                                  | PARSONS, VIRGINIA    | PUTNAM GLOBAL NAT RESOURCES-A       | 0.00                 | 1.05                | 0.00               | 1.05              | 0.0  | 1.05                 |
| 02/16/2018                                  | WHITE, JACKSON       | WELLS FARGO MUNICIPAL BOND A        | 0.00                 | 2.76                | 0.00               | 2.76              | 0.0  | 2.76                 |
| <b> * DANIEL COLLINS SUBTOTAL *</b>         |                      |                                     | <b>\$77,097.53</b>   | <b>\$78.40</b>      | <b>\$0.00</b>      | <b>\$78.40</b>    |      | <b>\$78.40</b>       |
| <b><u> BROKER: G118 GRECO #110 </u></b>     |                      |                                     |                      |                     |                    |                   |      |                      |
| 03/01/2018                                  | KING, KYLIE          | AM FUNDS AMERICAN BALANCED 529A     | 0.00                 | 0.38                | 0.00               | 0.38              | 0.0  | 0.38                 |
| 02/09/2018                                  | KLIMA, JANINA        | AM FUNDS AMERICAN BALANCED A        | 0.00                 | 8.36                | 0.00               | 8.36              | 0.0  | 8.36                 |
| 02/09/2018                                  | SOKOLNICKI, BRIAN    | AM FUNDS AMERICAN BALANCED A        | 0.00                 | 5.26                | 0.00               | 5.26              | 0.0  | 5.26                 |
| 02/09/2018                                  | AMENDOLA, KEITH      | AM FUNDS AMERICAN BALANCED A        | 0.00                 | 5.00                | 0.00               | 5.00              | 0.0  | 5.00                 |
| 02/09/2018                                  | O'DWYER, PATRICK     | AM FUNDS AMERICAN BALANCED A        | 0.00                 | 7.38                | 0.00               | 7.38              | 0.0  | 7.38                 |
| 02/09/2018                                  | BALDASSANO, DOMINICK | AM FUNDS AMERICAN BALANCED A        | 0.00                 | 7.38                | 0.00               | 7.38              | 0.0  | 7.38                 |

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|---------------------------------------|---------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u> OVERRIDE TRANSACTIONS </u></b> |                     |                                     |                      |                     |                    |                   |      |                      |
| <b>BROKER: G118 GRECO #110</b>        |                     |                                     |                      |                     |                    |                   |      |                      |
| 03/01/2018                            | GUZMAN, JUAN        | AM FUNDS AMERICAN BALANCED A        | 0.00                 | 2.17                | 0.00               | 2.17              | 0.0  | 2.17                 |
| 03/01/2018                            | DOBRICKY, ALAN      | AM FUNDS BOND FUND OF AMERICA A     | 0.00                 | 0.89                | 0.00               | 0.89              | 0.0  | 0.89                 |
| 02/09/2018                            | AMENDOLA, KEITH     | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00                 | 0.18                | 0.00               | 0.18              | 0.0  | 0.18                 |
| 03/01/2018                            | GUZMAN, JUAN        | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00                 | 1.97                | 0.00               | 1.97              | 0.0  | 1.97                 |
| 03/01/2018                            | GUZMAN, JUAN        | AM FUNDS EUROPACIFIC GROWTH FUND A  | 0.00                 | 1.73                | 0.00               | 1.73              | 0.0  | 1.73                 |
| 03/01/2018                            | GARZA, NATHAN       | AM FUNDS GROWTH FUND OF AMERICA 529 | 0.00                 | 0.20                | 0.00               | 0.20              | 0.0  | 0.20                 |
| 03/01/2018                            | PAOLI, ANGELA       | AM FUNDS GROWTH FUND OF AMERICA 529 | 0.00                 | 0.67                | 0.00               | 0.67              | 0.0  | 0.67                 |
| 03/01/2018                            | BALDASSANO, VINCENT | AM FUNDS GROWTH FUND OF AMERICA 529 | 0.00                 | 0.41                | 0.00               | 0.41              | 0.0  | 0.41                 |
| 03/01/2018                            | BLASSICK, RICHARD   | AM FUNDS GROWTH FUND OF AMERICA A   | 0.00                 | 3.92                | 0.00               | 3.92              | 0.0  | 3.92                 |
| 03/01/2018                            | GUZMAN, JUAN        | AM FUNDS GROWTH FUND OF AMERICA A   | 0.00                 | 2.35                | 0.00               | 2.35              | 0.0  | 2.35                 |
| 03/01/2018                            | GUZMAN, JUAN        | AM FUNDS GROWTH FUND OF AMERICA A   | 0.00                 | 5.58                | 0.00               | 5.58              | 0.0  | 5.58                 |
| 03/01/2018                            | PAOLI, ANGELA       | AM FUNDS ICA 529A                   | 0.00                 | 0.58                | 0.00               | 0.58              | 0.0  | 0.58                 |
| 03/01/2018                            | BALDASSANO, VINCENT | AM FUNDS ICA 529A                   | 0.00                 | 0.39                | 0.00               | 0.39              | 0.0  | 0.39                 |
| 02/09/2018                            | SOKOLNICKI, BRIAN   | AM FUNDS ICA A                      | 0.00                 | 5.94                | 0.00               | 5.94              | 0.0  | 5.94                 |
| 03/01/2018                            | GUZMAN, JUAN        | AM FUNDS ICA A                      | 0.00                 | 1.85                | 0.00               | 1.85              | 0.0  | 1.85                 |
| 03/01/2018                            | DOBRICKY, ALAN      | AM FUNDS ICA A                      | 0.00                 | 1.92                | 0.00               | 1.92              | 0.0  | 1.92                 |
| 03/01/2018                            | GUZMAN, JUAN        | AM FUNDS INCOME FUND OF AMERICA A   | 0.00                 | 1.70                | 0.00               | 1.70              | 0.0  | 1.70                 |
| 03/01/2018                            | DOBRICKY, ALAN      | AM FUNDS INCOME FUND OF AMERICA A   | 0.00                 | 2.20                | 0.00               | 2.20              | 0.0  | 2.20                 |
| 03/01/2018                            | GARZA, NATHAN       | AM FUNDS NEW PERSPECTIVE 529A       | 0.00                 | 0.21                | 0.00               | 0.21              | 0.0  | 0.21                 |
| 02/09/2018                            | SOKOLNICKI, BRIAN   | AM FUNDS NEW PERSPECTIVE A          | 0.00                 | 3.33                | 0.00               | 3.33              | 0.0  | 3.33                 |
| 03/01/2018                            | BLASSICK, RICHARD   | AM FUNDS NEW PERSPECTIVE A          | 0.00                 | 1.52                | 0.00               | 1.52              | 0.0  | 1.52                 |
| 03/01/2018                            | GUZMAN, JUAN        | AM FUNDS NEW PERSPECTIVE A          | 0.00                 | 2.33                | 0.00               | 2.33              | 0.0  | 2.33                 |
| 03/01/2018                            | GUZMAN, JUAN        | AM FUNDS NEW PERSPECTIVE A          | 0.00                 | 1.02                | 0.00               | 1.02              | 0.0  | 1.02                 |
| 03/01/2018                            | DOBRICKY, ALAN      | AM FUNDS NEW PERSPECTIVE A          | 0.00                 | 1.67                | 0.00               | 1.67              | 0.0  | 1.67                 |
| 03/01/2018                            | BLASSICK, RICHARD   | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00                 | 3.14                | 0.00               | 3.14              | 0.0  | 3.14                 |
| 03/01/2018                            | KING, KYLIE         | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00                 | 0.27                | 0.00               | 0.27              | 0.0  | 0.27                 |
| 02/09/2018                            | MAENTANIS, JOHN     | LEGG MASON CLEARBRIDGE APPRECIATION | 0.00                 | 18.20               | 0.00               | 18.20             | 0.0  | 18.20                |
| 02/08/2018                            | SOKOLNICKI, BRIAN   | MORGAN STANLEY INSTL FD INC GBL APP | 0.00                 | 7.56                | 0.00               | 7.56              | 0.0  | 7.56                 |
| 02/09/2018                            | MAENTANIS, JOHN     | TRANSAMERICA AA MODERATE C          | 0.00                 | 13.66               | 0.00               | 13.66             | 0.0  | 13.66                |
| <b>* G118 GRECO SUBTOTAL *</b>        |                     |                                     | <b>\$0.00</b>        | <b>\$121.32</b>     | <b>\$0.00</b>      | <b>\$121.32</b>   |      | <b>\$121.32</b>      |

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

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

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

| DATE  | CLIENT                      | INVESTMENT                          | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|---|-----------------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u> OVERRIDE TRANSACTIONS </u></b>         |                             |                                     |                      |                     |                    |                   |      |                      |
| <b><u> BROKER: JAY MCCLELLAN #120 </u></b>    |                             |                                     |                      |                     |                    |                   |      |                      |
| 03/01/2018                                    | SHEPARD, EARL               | AM FUNDS GROWTH FUND OF AMERICA F1  | 0.00                 | 11.03               | 0.00               | 11.03             | 0.0  | 11.03                |
| 02/15/2018                                    | ENGELHARDT, ELIZABETH       | COLUMBIA MARSICO FOCUSED EQUITIES F | 0.00                 | 0.76                | 0.00               | 0.76              | 0.0  | 0.76                 |
| 02/15/2018                                    | CRABTREE, ASHTYN            | COLUMBIA STRATEGIC INVESTOR A       | 50.00                | 2.50                | 0.00               | 2.50              | 0.0  | 2.50                 |
| 03/05/2018                                    | CRABTREE, ASHTYN            | COLUMBIA STRATEGIC INVESTOR A       | 0.00                 | 3.06                | 0.00               | 3.06              | 0.0  | 3.06                 |
| 02/16/2018                                    | ENGELHARDT, ELIZABETH       | DAVIS NEW YORK VENTURE A            | 0.00                 | 0.74                | 0.00               | 0.74              | 0.0  | 0.74                 |
| 02/28/2018                                    | ZEHRINGER, JAMES            | EATON VANCE GREATER CHINA GROWTH A  | 0.00                 | 2.66                | 0.00               | 2.66              | 0.0  | 2.66                 |
| 01/31/2018                                    | CIPRIAN, JOHN               | GRIFFIN INST'L ACCESS R E FUND      | 0.00                 | 6.61                | 0.00               | 6.61              | 0.0  | 6.61                 |
| 02/16/2018                                    | MAPLE TRUST, DENNIS & JOANN | GRIFFIN INSTITUTIONAL ACCESS REAL E | 0.00                 | 3.12                | 0.00               | 3.12              | 0.0  | 3.12                 |
| 02/16/2018                                    | KULBACK, SONDR              | GRIFFIN INSTITUTIONAL ACCESS REAL E | 0.00                 | 3.10                | 0.00               | 3.10              | 0.0  | 3.10                 |
| 02/16/2018                                    | KAMMER, CHARLES             | GRIFFIN INSTITUTIONAL ACCESS REAL E | 0.00                 | 2.34                | 0.00               | 2.34              | 0.0  | 2.34                 |
| 02/16/2018                                    | HAMANN, JOHN                | GRIFFIN INSTITUTIONAL ACCESS REAL E | 0.00                 | 3.58                | 0.00               | 3.58              | 0.0  | 3.58                 |
| 02/16/2018                                    | LUCKEY, CHARISSE            | GRIFFIN INSTITUTIONAL ACCESS REAL E | 0.00                 | 9.91                | 0.00               | 9.91              | 0.0  | 9.91                 |
| 02/28/2018                                    | MILLER, DOUGLAS             | MASS MUTUAL PANAMA PREMIER          | 20,874.32            | 6.96                | 0.00               | 6.96              | 0.0  | 6.96                 |
| 02/13/2018                                    | COTTONGIM, TERRI            | MFS MASS INVESTORS GROWTH STOCK A   | 0.00                 | 0.74                | 0.00               | 0.74              | 0.0  | 0.74                 |
| 02/13/2018                                    | COTTONGIM, TERRI            | MFS MASS INVESTORS GROWTH STOCK B   | 0.00                 | 0.28                | 0.00               | 0.28              | 0.0  | 0.28                 |
| 02/13/2018                                    | COTTONGIM, TERRI            | MFS MODERATE ALLOCATION A           | 0.00                 | 0.67                | 0.00               | 0.67              | 0.0  | 0.67                 |
| 01/31/2018                                    | MATTHIEU, PAUL              | RESOURCE R E DIVERSIFIED INC FUND A | 21,516.47            | 4.57                | 0.00               | 4.57              | 0.0  | 4.57                 |
| / /   | LEO, MICHAEL                | RYDEX GUGG UTILITIES C              | 0.00                 | 1.35                | 0.00               | 1.35              | 0.0  | 1.35                 |
| <b> * JAY MCCLELLAN SUBTOTAL * </b>           |                             |                                     | <b>\$42,440.79</b>   | <b>\$63.98</b>      | <b>\$0.00</b>      | <b>\$63.98</b>    |      | <b>\$63.98</b>       |
| <b><u> BROKER: TIMOTHY KULHANEK #145 </u></b> |                             |                                     |                      |                     |                    |                   |      |                      |
| 02/20/2018                                    | NORDHUES, RONOTTA           | AMERITAS MEDLEY                     | 41,392.82            | 25.87               | 0.00               | 25.87             | 0.0  | 25.87                |
| 02/20/2018                                    | KRESSER, JOSEPH             | FIDELITY ADVISOR LEVERAGED COMPANY  | 0.00                 | 0.97                | 0.00               | 0.97              | 0.0  | 0.97                 |
| 02/20/2018                                    | HACHTEL, SHARON             | FIDELITY ADVISOR LEVERAGED COMPANY  | 0.00                 | 0.34                | 0.00               | 0.34              | 0.0  | 0.34                 |
| 02/23/2018                                    | JACKSON, MARISSA            | FIRST EAGLE GLOBAL FUND CL A        | 0.00                 | 0.40                | 0.00               | 0.40              | 0.0  | 0.40                 |
| 02/23/2018                                    | JACKSON, TONI               | FIRST EAGLE GOLD FUND CL A          | 0.00                 | 0.39                | 0.00               | 0.39              | 0.0  | 0.39                 |
| 02/22/2018                                    | JACKSON, MARISSA            | TEMPLETON GLOBAL BOND A             | 0.00                 | 0.36                | 0.00               | 0.36              | 0.0  | 0.36                 |
| <b> * TIMOTHY KULHANEK SUBTOTAL * </b>        |                             |                                     | <b>\$41,392.82</b>   | <b>\$28.33</b>      | <b>\$0.00</b>      | <b>\$28.33</b>    |      | <b>\$28.33</b>       |
| <b><u> BROKER: DAVID KOTZ #179 </u></b>       |                             |                                     |                      |                     |                    |                   |      |                      |
| 03/01/2018                                    | SHELLEY, SUZANNE            | AM FUNDS CAPITAL INCOME BUILDER 529 | 0.00                 | 35.41               | 0.00               | 35.41             | 0.0  | 35.41                |
| 02/09/2018                                    | VIGH, AGNES                 | AM FUNDS CAPITAL WORLD GRTH & INC C | 0.00                 | 4.66                | 0.00               | 4.66              | 0.0  | 4.66                 |
| 02/09/2018                                    | NAGY, ZOLLAN                | AM FUNDS CAPITAL WORLD GRTH & INC C | 0.00                 | 1.04                | 0.00               | 1.04              | 0.0  | 1.04                 |
| 03/01/2018                                    | SHELLEY, SUZANNE            | AM FUNDS GROWTH FUND OF AMERICA 529 | 0.00                 | 219.17              | 0.00               | 219.17            | 0.0  | 219.17               |

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| DATE                                     | CLIENT              | INVESTMENT                          | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|---------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u> OVERRIDE TRANSACTIONS </u></b>    |                     |                                     |                      |                     |                    |                   |      |                      |
| <b><u>BROKER: DAVID KOTZ #179</u></b>    |                     |                                     |                      |                     |                    |                   |      |                      |
| 03/01/2018                               | SHELLEY, SUZANNE    | AM FUNDS GROWTH FUND OF AMERICA 529 | 0.00                 | 416.02              | 0.00               | 416.02            | 0.0  | 416.02               |
| 03/01/2018                               | MILESINICK, SCOTT   | AM FUNDS GROWTH FUND OF AMERICA 529 | 0.00                 | 120.63              | 0.00               | 120.63            | 0.0  | 120.63               |
| 03/01/2018                               | MILESINICK, SCOTT   | AM FUNDS GROWTH FUND OF AMERICA 529 | 0.00                 | 62.71               | 0.00               | 62.71             | 0.0  | 62.71                |
| 02/09/2018                               | MARGOLIN, BRUCE     | AM FUNDS GROWTH FUND OF AMERICA C   | 0.00                 | 10.65               | 0.00               | 10.65             | 0.0  | 10.65                |
| 02/09/2018                               | FRENCH, ELAINE      | AM FUNDS GROWTH FUND OF AMERICA C   | 0.00                 | 29.80               | 0.00               | 29.80             | 0.0  | 29.80                |
| 02/09/2018                               | VIGH, AGNES         | AM FUNDS GROWTH FUND OF AMERICA F1  | 0.00                 | 3.20                | 0.00               | 3.20              | 0.0  | 3.20                 |
| 02/09/2018                               | NAGY, ZOLLAN        | AM FUNDS GROWTH FUND OF AMERICA F1  | 0.00                 | 0.96                | 0.00               | 0.96              | 0.0  | 0.96                 |
| 02/09/2018                               | FRENCH, ELAINE      | AM FUNDS GROWTH FUND OF AMERICA F1  | 0.00                 | 3.05                | 0.00               | 3.05              | 0.0  | 3.05                 |
| 02/09/2018                               | VIGH, AGNES         | GABELLI SMALL CAP GROWTH FD CLASS C | 0.00                 | 1.86                | 0.00               | 1.86              | 0.0  | 1.86                 |
| 02/09/2018                               | NAGY, ZOLLAN        | GABELLI SMALL CAP GROWTH FD CLASS C | 0.00                 | 2.56                | 0.00               | 2.56              | 0.0  | 2.56                 |
| 02/09/2018                               | MARGOLIN, BRUCE     | PRU JENNISON GROWTH                 | 0.00                 | 2.22                | 0.00               | 2.22              | 0.0  | 2.22                 |
| <b>* DAVID KOTZ SUBTOTAL *</b>           |                     |                                     | <b>\$0.00</b>        | <b>\$913.94</b>     | <b>\$0.00</b>      | <b>\$913.94</b>   |      | <b>\$913.94</b>      |
| <b><u>BROKER: WILLIAM WALSH #187</u></b> |                     |                                     |                      |                     |                    |                   |      |                      |
| 02/13/2018                               | SENGSTOCK, KATHLEEN | **CALVER SMALL CAP FD               | 0.00                 | 3.68                | 0.00               | 3.68              | 0.0  | 3.68                 |
| 02/13/2018                               | SENGSTOCK, KATHLEEN | **CALVERT FD                        | 0.00                 | 0.42                | 0.00               | 0.42              | 0.0  | 0.42                 |
| 02/09/2018                               | SENGSTOCK, KATHLEEN | **PAX FDS SER TR I                  | 0.00                 | 0.92                | 0.00               | 0.92              | 0.0  | 0.92                 |
| 02/09/2018                               | WALSH, PATRICIA     | ALLIANCE SMALLCAP                   | 0.00                 | 0.07                | 0.00               | 0.07              | 0.0  | 0.07                 |
| 02/09/2018                               | WALSH, PATRICIA     | ALLIANCEBERNSTEIN GL THEMATIC GROWT | 0.00                 | 0.35                | 0.00               | 0.35              | 0.0  | 0.35                 |
| 02/09/2018                               | WALSH, MEGAN        | AM FUNDS GROWTH FUND OF AMERICA A   | 0.00                 | 0.13                | 0.00               | 0.13              | 0.0  | 0.13                 |
| 02/09/2018                               | MURPHY, DANIEL      | AM FUNDS GROWTH FUND OF AMERICA C   | 0.00                 | 18.29               | 0.00               | 18.29             | 0.0  | 18.29                |
| 02/09/2018                               | BAUER, MATTHEW      | AM FUNDS GROWTH FUND OF AMERICA F1  | 0.00                 | 0.44                | 0.00               | 0.44              | 0.0  | 0.44                 |
| 02/09/2018                               | MURPHY, DANIEL      | AM FUNDS GROWTH FUND OF AMERICA F1  | 0.00                 | 11.95               | 0.00               | 11.95             | 0.0  | 11.95                |
| 02/09/2018                               | MURPHY, DANIEL      | AM FUNDS GROWTH FUND OF AMERICA F1  | 0.00                 | 0.02                | 0.00               | 0.02              | 0.0  | 0.02                 |
| 02/09/2018                               | HAMM, MARK          | AM FUNDS GROWTH FUND OF AMERICA F1  | 0.00                 | 5.02                | 0.00               | 5.02              | 0.0  | 5.02                 |
| 02/01/2018                               | LEWANDOWSKI, ANDREW | BARON GROWTH FUND                   | 0.00                 | 3.07                | 0.00               | 3.07              | 0.0  | 3.07                 |
| 02/13/2018                               | SENGSTOCK, KATHLEEN | CALVERT BOND PORT A                 | 0.00                 | 1.21                | 0.00               | 1.21              | 0.0  | 1.21                 |
| 02/09/2018                               | WALSH, MARIANNE     | DAVIS NEW YORK VENTURE A            | 0.00                 | 1.24                | 0.00               | 1.24              | 0.0  | 1.24                 |
| 02/09/2018                               | MURPHY, DANIEL      | DAVIS NEW YORK VENTURE A            | 0.00                 | 11.95               | 0.00               | 11.95             | 0.0  | 11.95                |
| 02/09/2018                               | MURPHY, CAROL       | DAVIS NEW YORK VENTURE A            | 0.00                 | 1.51                | 0.00               | 1.51              | 0.0  | 1.51                 |
| 02/09/2018                               | WALSH, PATRICIA     | DAVIS NEW YORK VENTURE C            | 0.00                 | 2.12                | 0.00               | 2.12              | 0.0  | 2.12                 |
| 02/09/2018                               | BOARD, MONTE        | DAVIS NEW YORK VENTURE C            | 0.00                 | 2.82                | 0.00               | 2.82              | 0.0  | 2.82                 |
| 02/09/2018                               | HAMM, MARK          | DAVIS NEW YORK VENTURE C            | 0.00                 | 24.34               | 0.00               | 24.34             | 0.0  | 24.34                |
| 02/06/2018                               | SENGSTOCK, KATHLEEN | EVENTIDE GILEAD FUND CLASS A        | 0.00                 | 1.09                | 0.00               | 1.09              | 0.0  | 1.09                 |

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| DATE                                       | CLIENT            | INVESTMENT                          | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|-------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u> OVERRIDE TRANSACTIONS </u></b>      |                   |                                     |                      |                     |                    |                   |      |                      |
| <b><u> BROKER: WILLIAM WALSH #187 </u></b> |                   |                                     |                      |                     |                    |                   |      |                      |
| 02/09/2018                                 | WALSH, PATRICIA   | FRANKLIN TEMPLETON FUNDS CONV SECUR | 0.00                 | 1.18                | 0.00               | 1.18              | 0.0  | 1.18                 |
| 02/09/2018                                 | MURPHY, DANIEL    | IVY ASSET STRATEGY FUND CLASS A     | 0.00                 | 5.33                | 0.00               | 5.33              | 0.0  | 5.33                 |
| 02/09/2018                                 | MURPHY, DANIEL    | IVY ASSET STRATEGY FUND CLASS A     | 0.00                 | 6.40                | 0.00               | 6.40              | 0.0  | 6.40                 |
| / /  | DARGO, JILL       | JH 529 EQUITY PORT A                | 0.00                 | 0.01                | 0.00               | 0.01              | 0.0  | 0.01                 |
| 02/09/2018                                 | MURPHY, DANIEL    | JH REGIONAL BANK A                  | 0.00                 | 9.27                | 0.00               | 9.27              | 0.0  | 9.27                 |
| 02/09/2018                                 | WALSH, MARIANNE   | MFS MASS INVESTORS GROWTH STOCK A   | 0.00                 | 1.27                | 0.00               | 1.27              | 0.0  | 1.27                 |
| 02/09/2018                                 | HAMM, MARK        | OPPENHEIMER SMALL MID CAP VALUE C   | 0.00                 | 16.82               | 0.00               | 16.82             | 0.0  | 16.82                |
| 02/09/2018                                 | WALSH, PATRICIA   | THORNBURG INVT TR INTL VALUE FD CL  | 0.00                 | 0.57                | 0.00               | 0.57              | 0.0  | 0.57                 |
| 02/09/2018                                 | HAMM, MARK        | THORNBURG INVT TR INTL VALUE FD CL  | 0.00                 | 15.75               | 0.00               | 15.75             | 0.0  | 15.75                |
| 02/26/2018                                 | MURPHY, DANIEL    | VICTORY CAPITAL MANAGEMENT          | 0.00                 | 0.27                | 0.00               | 0.27              | 0.0  | 0.27                 |
| 02/26/2018                                 | MURPHY, DANIEL    | VICTORY CAPITAL MANAGEMENT          | 0.00                 | 0.59                | 0.00               | 0.59              | 0.0  | 0.59                 |
| 02/26/2018                                 | MURPHY, CAROL     | VICTORY CAPITAL MANAGEMENT          | 0.00                 | 1.41                | 0.00               | 1.41              | 0.0  | 1.41                 |
| 02/26/2018                                 | MURPHY, CAROL     | VICTORY CAPITAL MANAGEMENT          | 0.00                 | 0.28                | 0.00               | 0.28              | 0.0  | 0.28                 |
| <b> * WILLIAM WALSH SUBTOTAL * </b>        |                   |                                     | <b>\$0.00</b>        | <b>\$149.79</b>     | <b>\$0.00</b>      | <b>\$149.79</b>   |      | <b>\$149.79</b>      |
| <b><u> BROKER: MICHELE BOYER #189 </u></b> |                   |                                     |                      |                     |                    |                   |      |                      |
| 02/21/2018                                 | FORBES, JEANNE    | AM FUNDS AMCAP A                    | 0.00                 | 1.07                | 0.00               | 1.07              | 0.0  | 1.07                 |
| 02/21/2018                                 | FORBES, JEANNE    | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00                 | 0.69                | 0.00               | 0.69              | 0.0  | 0.69                 |
| 02/21/2018                                 | FORBES, JEANNE    | AM FUNDS EUROPACIFIC GROWTH FUND A  | 0.00                 | 0.92                | 0.00               | 0.92              | 0.0  | 0.92                 |
| 02/21/2018                                 | FORBES, JEANNE    | AM FUNDS GROWTH FUND OF AMERICA A   | 0.00                 | 1.22                | 0.00               | 1.22              | 0.0  | 1.22                 |
| 02/21/2018                                 | FORBES, JEANNE    | AM FUNDS NEW WORLD A                | 0.00                 | 0.76                | 0.00               | 0.76              | 0.0  | 0.76                 |
| 03/02/2018                                 | BARTELS, CHRIS    | INVESCO ALL CAP MARKET NEUTRAL FD - | 24.90                | 0.25                | 0.00               | 0.25              | 0.0  | 0.25                 |
| 03/02/2018                                 | HALLER, CRISSY    | INVESCO AMERICAN FRANCHISE C        | 25.80                | 0.26                | 0.00               | 0.26              | 0.0  | 0.26                 |
| 03/02/2018                                 | HALLER, CRISSY    | INVESCO AMERICAN FRANCHISE C        | 25.80                | 0.26                | 0.00               | 0.26              | 0.0  | 0.26                 |
| 03/02/2018                                 | HALLER, CRISSY    | INVESCO CHARTER FUND C              | 25.80                | 0.26                | 0.00               | 0.26              | 0.0  | 0.26                 |
| 03/02/2018                                 | HALLER, CRISSY    | INVESCO CHARTER FUND C              | 25.80                | 0.26                | 0.00               | 0.26              | 0.0  | 0.26                 |
| 03/02/2018                                 | COPPERNOLL, CRAIG | INVESCO CORE PLUS BOND FUND CL C    | 48.11                | 0.48                | 0.00               | 0.48              | 0.0  | 0.48                 |
| 03/02/2018                                 | COPPERNOLL, CRAIG | INVESCO CORE PLUS BOND FUND CL C    | 24.06                | 0.24                | 0.00               | 0.24              | 0.0  | 0.24                 |
| 03/02/2018                                 | BARTELS, CHRIS    | INVESCO GLOBAL INFRASTRUCTURE C     | 12.44                | 0.12                | 0.00               | 0.12              | 0.0  | 0.12                 |
| 03/02/2018                                 | COPPERNOLL, CRAIG | INVESCO GLOBAL REAL ESTATE C        | 36.08                | 0.36                | 0.00               | 0.36              | 0.0  | 0.36                 |
| 03/02/2018                                 | COPPERNOLL, CRAIG | INVESCO GLOBAL REAL ESTATE C        | 18.04                | 0.18                | 0.00               | 0.18              | 0.0  | 0.18                 |
| 03/02/2018                                 | COPPERNOLL, CRAIG | INVESCO GROWTH AND INCOME C         | 48.10                | 0.48                | 0.00               | 0.48              | 0.0  | 0.48                 |
| 03/02/2018                                 | COPPERNOLL, CRAIG | INVESCO GROWTH AND INCOME C         | 24.06                | 0.24                | 0.00               | 0.24              | 0.0  | 0.24                 |
| 03/02/2018                                 | COPPERNOLL, CRAIG | INVESCO INTERNATIONAL GROWTH C      | 36.08                | 0.36                | 0.00               | 0.36              | 0.0  | 0.36                 |

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

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

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| DATE  | CLIENT              | INVESTMENT                          | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|---|---------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u> OVERRIDE TRANSACTIONS </u></b>           |                     |                                     |                      |                     |                    |                   |      |                      |
| <b><u> BROKER: MICHELE BOYER #189 </u></b>      |                     |                                     |                      |                     |                    |                   |      |                      |
| 03/02/2018                                      | COPPERNOLL, CRAIG   | INVESCO INTERNATIONAL GROWTH C      | 18.04                | 0.18                | 0.00               | 0.18              | 0.0  | 0.18                 |
| 03/02/2018                                      | BARTELS, CHRIS      | INVESCO LONG/SHORT EQUITY FUND - CL | 24.90                | 0.25                | 0.00               | 0.25              | 0.0  | 0.25                 |
| 03/02/2018                                      | BARTELS, CHRIS      | INVESCO LOW VOLATILITY EMERG MKTS - | 37.34                | 0.37                | 0.00               | 0.37              | 0.0  | 0.37                 |
| 03/02/2018                                      | COPPERNOLL, CRAIG   | INVESCO MIDCAP CORE EQUITY C        | 36.08                | 0.36                | 0.00               | 0.36              | 0.0  | 0.36                 |
| 03/02/2018                                      | COPPERNOLL, CRAIG   | INVESCO MIDCAP CORE EQUITY C        | 18.04                | 0.18                | 0.00               | 0.18              | 0.0  | 0.18                 |
| 03/02/2018                                      | BARTELS, CHRIS      | INVESCO MLP FUND - CLASS C          | 24.90                | 0.25                | 0.00               | 0.25              | 0.0  | 0.25                 |
| 03/02/2018                                      | COPPERNOLL, CRAIG   | INVESCO SMALL CAP EQUITY FUND       | 36.08                | 0.36                | 0.00               | 0.36              | 0.0  | 0.36                 |
| 03/02/2018                                      | COPPERNOLL, CRAIG   | INVESCO SMALL CAP EQUITY FUND       | 18.04                | 0.18                | 0.00               | 0.18              | 0.0  | 0.18                 |
| 02/13/2018                                      | LILLIGRIDGE, PAMELA | MFS BOND A                          | 0.00                 | 0.16                | 0.00               | 0.16              | 0.0  | 0.16                 |
| 02/13/2018                                      | LILLIGRIDGE, PAMELA | MFS GOVERNMENT SECURITIES A         | 0.00                 | 0.11                | 0.00               | 0.11              | 0.0  | 0.11                 |
| 02/13/2018                                      | LILLIGRIDGE, PAMELA | MFS INTERNATIONAL DISCOVERY A       | 0.00                 | 0.07                | 0.00               | 0.07              | 0.0  | 0.07                 |
| 02/13/2018                                      | LILLIGRIDGE, PAMELA | MFS INTERNATIONAL VALUE FUND CLASS  | 0.00                 | 0.17                | 0.00               | 0.17              | 0.0  | 0.17                 |
| 02/13/2018                                      | LILLIGRIDGE, PAMELA | MFS MASS INVESTORS GROWTH STOCK A   | 0.00                 | 0.17                | 0.00               | 0.17              | 0.0  | 0.17                 |
| 02/13/2018                                      | LILLIGRIDGE, PAMELA | MFS MASS INVESTORS TRUST A          | 0.00                 | 0.09                | 0.00               | 0.09              | 0.0  | 0.09                 |
| 02/13/2018                                      | LILLIGRIDGE, PAMELA | MFS MID-CAP VALUE FUND CLASS A      | 0.00                 | 0.08                | 0.00               | 0.08              | 0.0  | 0.08                 |
| 02/13/2018                                      | LILLIGRIDGE, PAMELA | MFS TOTAL RETURN BOND FUND CLASS A  | 0.00                 | 0.17                | 0.00               | 0.17              | 0.0  | 0.17                 |
| 02/13/2018                                      | LILLIGRIDGE, PAMELA | MFS VALUE A                         | 0.00                 | 0.77                | 0.00               | 0.77              | 0.0  | 0.77                 |
| 02/27/2018                                      | BOETTGER, JENNIFER  | PIMCO INFLATION RESPONSE MULTI- ASS | 0.00                 | 10.45               | 0.00               | 10.45             | 0.0  | 10.45                |
| * MICHELE BOYER SUBTOTAL *                      |                     |                                     | <b>\$588.49</b>      | <b>\$22.78</b>      | <b>\$0.00</b>      | <b>\$22.78</b>    |      | <b>\$22.78</b>       |
| <b><u> BROKER: THOMAS JAHNCKE #193 </u></b>     |                     |                                     |                      |                     |                    |                   |      |                      |
| 02/21/2018                                      | LOTT FAMILY TRUST   | AM FUNDS CAPITAL INCOME BUILDER A   | 0.00                 | 1.29                | 0.00               | 1.29              | 0.0  | 1.29                 |
| 02/21/2018                                      | LOTT FAMILY TRUST   | AM FUNDS CAPITAL WORLD BOND A       | 0.00                 | 2.06                | 0.00               | 2.06              | 0.0  | 2.06                 |
| 02/21/2018                                      | LOTT FAMILY TRUST   | AM FUNDS INCOME FUND OF AMERICA A   | 0.00                 | 1.42                | 0.00               | 1.42              | 0.0  | 1.42                 |
| * THOMAS JAHNCKE SUBTOTAL *                     |                     |                                     | <b>\$0.00</b>        | <b>\$4.77</b>       | <b>\$0.00</b>      | <b>\$4.77</b>     |      | <b>\$4.77</b>        |
| <b><u> BROKER: MICHAEL PALMISANO #196 </u></b>  |                     |                                     |                      |                     |                    |                   |      |                      |
| 02/28/2018                                      | SUTTER, DANI-ANN    | JNL PERSPECTIVE L                   | 257,555.08           | 214.63              | 0.00               | 214.63            | 0.0  | 214.63               |
| * MICHAEL PALMISANO SUBTOTAL *                  |                     |                                     | <b>\$257,555.08</b>  | <b>\$214.63</b>     | <b>\$0.00</b>      | <b>\$214.63</b>   |      | <b>\$214.63</b>      |
| <b><u> BROKER: MEREDITH MCCUTCHEN #221 </u></b> |                     |                                     |                      |                     |                    |                   |      |                      |
| 03/01/2018                                      | CUSUMANO, DARLENE   | AM FUNDS AMERICAN MUTUAL 529A       | 0.00                 | 0.43                | 0.00               | 0.43              | 0.0  | 0.43                 |
| 03/01/2018                                      | PITT, PATRICIA      | AM FUNDS AMERICAN MUTUAL 529A       | 0.00                 | 6.65                | 0.00               | 6.65              | 0.0  | 6.65                 |
| 03/01/2018                                      | PITT, PATRICIA      | AM FUNDS AMERICAN MUTUAL 529A       | 0.00                 | 3.89                | 0.00               | 3.89              | 0.0  | 3.89                 |
| 02/21/2018                                      | MCCUTCHEN, JERRY    | AM FUNDS AMERICAN MUTUAL A          | 0.00                 | 5.35                | 0.00               | 5.35              | 0.0  | 5.35                 |

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| DATE  | CLIENT             | INVESTMENT                          | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|---|--------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u> OVERRIDE TRANSACTIONS </u></b>         |                    |                                     |                      |                     |                    |                   |      |                      |
| <b><u>BROKER: MEREDITH MCCUTCHEN #221</u></b> |                    |                                     |                      |                     |                    |                   |      |                      |
| 02/21/2018                                    | MCCUTCHEN, DEBORAH | AM FUNDS AMERICAN MUTUAL A          | 0.00                 | 5.47                | 0.00               | 5.47              | 0.0  | 5.47                 |
| 03/01/2018                                    | ROBINSON, SARAH    | AM FUNDS AMERICAN MUTUAL A          | 0.00                 | 4.08                | 0.00               | 4.08              | 0.0  | 4.08                 |
| 03/01/2018                                    | CUSUMANO, DARLENE  | AM FUNDS CAPITAL WORLD GRTH & INC 5 | 0.00                 | 0.41                | 0.00               | 0.41              | 0.0  | 0.41                 |
| 03/01/2018                                    | PITT, PATRICIA     | AM FUNDS CAPITAL WORLD GRTH & INC 5 | 0.00                 | 5.76                | 0.00               | 5.76              | 0.0  | 5.76                 |
| 03/01/2018                                    | PITT, PATRICIA     | AM FUNDS CAPITAL WORLD GRTH & INC 5 | 0.00                 | 3.04                | 0.00               | 3.04              | 0.0  | 3.04                 |
| 02/21/2018                                    | MCCUTCHEN, JERRY   | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00                 | 3.43                | 0.00               | 3.43              | 0.0  | 3.43                 |
| 02/21/2018                                    | MCCUTCHEN, DEBORAH | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00                 | 3.45                | 0.00               | 3.45              | 0.0  | 3.45                 |
| 03/01/2018                                    | ROBINSON, SARAH    | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00                 | 3.68                | 0.00               | 3.68              | 0.0  | 3.68                 |
| 03/01/2018                                    | CUSUMANO, DARLENE  | AM FUNDS GROWTH FUND OF AMERICA 529 | 0.00                 | 0.55                | 0.00               | 0.55              | 0.0  | 0.55                 |
| 03/01/2018                                    | PITT, PATRICIA     | AM FUNDS GROWTH FUND OF AMERICA 529 | 0.00                 | 7.95                | 0.00               | 7.95              | 0.0  | 7.95                 |
| 03/01/2018                                    | PITT, PATRICIA     | AM FUNDS GROWTH FUND OF AMERICA 529 | 0.00                 | 5.03                | 0.00               | 5.03              | 0.0  | 5.03                 |
| 02/21/2018                                    | MCCUTCHEN, JERRY   | AM FUNDS GROWTH FUND OF AMERICA A   | 0.00                 | 5.96                | 0.00               | 5.96              | 0.0  | 5.96                 |
| 02/21/2018                                    | MCCUTCHEN, DEBORAH | AM FUNDS GROWTH FUND OF AMERICA A   | 0.00                 | 6.11                | 0.00               | 6.11              | 0.0  | 6.11                 |
| 03/01/2018                                    | ROBINSON, SARAH    | AM FUNDS GROWTH FUND OF AMERICA A   | 0.00                 | 4.77                | 0.00               | 4.77              | 0.0  | 4.77                 |
| 03/01/2018                                    | CUSUMANO, DARLENE  | AM FUNDS NEW PERSPECTIVE 529A       | 0.00                 | 0.49                | 0.00               | 0.49              | 0.0  | 0.49                 |
| 03/01/2018                                    | PITT, PATRICIA     | AM FUNDS NEW PERSPECTIVE 529A       | 0.00                 | 6.86                | 0.00               | 6.86              | 0.0  | 6.86                 |
| 03/01/2018                                    | PITT, PATRICIA     | AM FUNDS NEW PERSPECTIVE 529A       | 0.00                 | 4.07                | 0.00               | 4.07              | 0.0  | 4.07                 |
| 02/21/2018                                    | MCCUTCHEN, JERRY   | AM FUNDS NEW PERSPECTIVE A          | 0.00                 | 3.96                | 0.00               | 3.96              | 0.0  | 3.96                 |
| 02/21/2018                                    | MCCUTCHEN, DEBORAH | AM FUNDS NEW PERSPECTIVE A          | 0.00                 | 3.98                | 0.00               | 3.98              | 0.0  | 3.98                 |
| 03/01/2018                                    | ROBINSON, SARAH    | AM FUNDS NEW PERSPECTIVE A          | 0.00                 | 4.05                | 0.00               | 4.05              | 0.0  | 4.05                 |
| 02/14/2018                                    | WEST, GLENDA       | CALVERT SHORT DURATION INCOME FUND  | 0.00                 | 4.69                | 0.00               | 4.69              | 0.0  | 4.69                 |
| 03/05/2018                                    | TALBERT, ANN       | COLUMBIA LARGE CAP GROWTH C         | 0.00                 | 8.18                | 0.00               | 8.18              | 0.0  | 8.18                 |
| 03/05/2018                                    | TALBERT, ANN       | COLUMBIA MIDCAP GROWTH FUND-C       | 0.00                 | 7.06                | 0.00               | 7.06              | 0.0  | 7.06                 |
| 02/16/2018                                    | MCCUTCHEN, JERRY   | DAVIS NEW YORK VENTURE A            | 0.00                 | 0.09                | 0.00               | 0.09              | 0.0  | 0.09                 |
| 03/01/2018                                    | HESTER, WAYMON     | EPR PPTYS COM SH BEN INT            | -22,191.12           | 30.00               | 22.61              | 7.39              | 0.0  | 7.39                 |
| 02/22/2018                                    | MCCUTCHEN, JERRY   | OPPENHEIMER GLOBAL A                | 0.00                 | 0.15                | 0.00               | 0.15              | 0.0  | 0.15                 |
| 02/22/2018                                    | MCCUTCHEN, JERRY   | OPPENHEIMER MAIN STREET OPP A       | 0.00                 | 0.22                | 0.00               | 0.22              | 0.0  | 0.22                 |
| 02/22/2018                                    | MCCUTCHEN, JERRY   | OPPENHEIMER SMALL & MIDCAP GROWTH A | 0.00                 | 0.23                | 0.00               | 0.23              | 0.0  | 0.23                 |
| <b>* MEREDITH MCCUTCHEN SUBTOTAL *</b>        |                    |                                     | <b>\$-22,191.12</b>  | <b>\$150.04</b>     | <b>\$22.61</b>     | <b>\$127.43</b>   |      | <b>\$127.43</b>      |
| <b><u>BROKER: GREGORY FRIEL #223</u></b>      |                    |                                     |                      |                     |                    |                   |      |                      |
| 02/15/2018                                    | GAWEL, IRENE       | COLUMBIA MARSICO FOCUSED EQUITIES F | 0.00                 | 0.61                | 0.00               | 0.61              | 0.0  | 0.61                 |
| 02/15/2018                                    | SAURMAN, PAMELA    | COLUMBIA MARSICO FOCUSED EQUITIES F | 0.00                 | 0.66                | 0.00               | 0.66              | 0.0  | 0.66                 |
| 02/14/2018                                    | GAWEL, IRENE       | EATON VANCE GREATER INDIA FUND CLAS | 0.00                 | 4.11                | 0.00               | 4.11              | 0.0  | 4.11                 |

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|--|--------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u> OVERRIDE TRANSACTIONS </u></b>        |                    |                                     |                      |                     |                    |                   |      |                      |
| <b><u> BROKER: GREGORY FRIEL #223 </u></b>   |                    |                                     |                      |                     |                    |                   |      |                      |
| 02/14/2018                                   | GAWEL, IRENE       | EATON VANCE GREATER INDIA FUND CLAS | 0.00                 | 1.98                | 0.00               | 1.98              | 0.0  | 1.98                 |
| 02/20/2018                                   | KNAPP TRUST, KEVIN | FIDELITY ADV STRATEGIC INCOME A     | 0.00                 | 5.11                | 0.00               | 5.11              | 0.0  | 5.11                 |
| 02/20/2018                                   | FOUST, KRISTIN     | FIDELITY ADV STRATEGIC INCOME A     | 0.00                 | 3.06                | 0.00               | 3.06              | 0.0  | 3.06                 |
| 02/20/2018                                   | GAWEL, IRENE       | FIDELITY ADV STRATEGIC INCOME A     | 0.00                 | 1.25                | 0.00               | 1.25              | 0.0  | 1.25                 |
| 02/20/2018                                   | GAWEL, IRENE       | FIDELITY ADV STRATEGIC INCOME A     | 0.00                 | 0.49                | 0.00               | 0.49              | 0.0  | 0.49                 |
| 02/13/2018                                   | FRIEL, JEREMY      | MFS BOND A                          | 0.00                 | 1.22                | 0.00               | 1.22              | 0.0  | 1.22                 |
| 02/13/2018                                   | FRIEL, SHELLEY     | MFS BOND A                          | 0.00                 | 0.23                | 0.00               | 0.23              | 0.0  | 0.23                 |
| 02/13/2018                                   | FRIEL, SHELLEY     | MFS DIVERSIFIED INCOME A            | 0.00                 | 0.84                | 0.00               | 0.84              | 0.0  | 0.84                 |
| 02/13/2018                                   | SAURMAN, PAMELA    | MFS DIVERSIFIED INCOME A            | 0.00                 | 0.49                | 0.00               | 0.49              | 0.0  | 0.49                 |
| 02/13/2018                                   | SAURMAN, PAMELA    | MFS EMERGING MARKETS DEBT FUND A    | 0.00                 | 0.48                | 0.00               | 0.48              | 0.0  | 0.48                 |
| 02/13/2018                                   | FRIEL, JEREMY      | MFS EQUITY OPPORTUNITIES A          | 0.00                 | 0.27                | 0.00               | 0.27              | 0.0  | 0.27                 |
| 02/13/2018                                   | FRIEL, JEREMY      | MFS INTERNATIONAL DIVERSIFICATION A | 0.00                 | 0.29                | 0.00               | 0.29              | 0.0  | 0.29                 |
| 02/13/2018                                   | FOUST, KRISTIN     | MFS INTERNATIONAL DIVERSIFICATION A | 0.00                 | 1.63                | 0.00               | 1.63              | 0.0  | 1.63                 |
| 02/13/2018                                   | GAWEL, IRENE       | MFS INTERNATIONAL DIVERSIFICATION A | 0.00                 | 5.67                | 0.00               | 5.67              | 0.0  | 5.67                 |
| 02/13/2018                                   | FRIEL, JEREMY      | MFS MODERATE ALLOCATION A           | 0.00                 | 9.38                | 0.00               | 9.38              | 0.0  | 9.38                 |
| 02/13/2018                                   | FRIEL, SHELLEY     | MFS MODERATE ALLOCATION A           | 0.00                 | 0.26                | 0.00               | 0.26              | 0.0  | 0.26                 |
| 02/13/2018                                   | FRIEL, SHELLEY     | MFS MODERATE ALLOCATION A           | 0.00                 | 11.91               | 0.00               | 11.91             | 0.0  | 11.91                |
| 02/13/2018                                   | GAWEL, IRENE       | MFS MODERATE ALLOCATION A           | 0.00                 | 3.56                | 0.00               | 3.56              | 0.0  | 3.56                 |
| 02/13/2018                                   | SAURMAN, J DOUGLAS | MFS MODERATE ALLOCATION A           | 0.00                 | 2.54                | 0.00               | 2.54              | 0.0  | 2.54                 |
| 02/13/2018                                   | SAURMAN, PAMELA    | MFS MODERATE ALLOCATION A           | 0.00                 | 0.66                | 0.00               | 0.66              | 0.0  | 0.66                 |
| * GREGORY FRIEL SUBTOTAL *                   |                    |                                     | \$0.00               | \$56.70             | \$0.00             | \$56.70           |      | \$56.70              |
| <b><u> BROKER: JAMES CRAWFORD #225 </u></b>  |                    |                                     |                      |                     |                    |                   |      |                      |
| 02/22/2018                                   | CARRIKER, AARON    | FRANKLIN MUTUAL BEACON C            | 0.00                 | 3.36                | 0.00               | 3.36              | 0.0  | 3.36                 |
| 02/28/2018                                   | ROBERTS, KERMIT    | JOHN HANCOCK VENTURE 2006           | 9,231.91             | 1.92                | 0.00               | 1.92              | 0.0  | 1.92                 |
| 02/28/2018                                   | ROBERTS, ELLEN     | JOHN HANCOCK VENTURE 2006           | 7,346.50             | 1.53                | 0.00               | 1.53              | 0.0  | 1.53                 |
| * JAMES CRAWFORD SUBTOTAL *                  |                    |                                     | \$16,578.41          | \$6.81              | \$0.00             | \$6.81            |      | \$6.81               |
| <b><u> BROKER: CARL WORDEN III #232 </u></b> |                    |                                     |                      |                     |                    |                   |      |                      |
| 02/28/2018                                   | ALVAREZ, ANTONIO   | JNL PERSPECTIVE II 05/05            | 10,813.68            | 9.01                | 0.00               | 9.01              | 0.0  | 9.01                 |
| * CARL WORDEN III SUBTOTAL *                 |                    |                                     | \$10,813.68          | \$9.01              | \$0.00             | \$9.01            |      | \$9.01               |

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| DATE  | CLIENT                | INVESTMENT                          | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|---|-----------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u> OVERRIDE TRANSACTIONS </u></b>                         |                       |                                     |                      |                     |                    |                   |      |                      |
| <b><u>BROKER: WILLIAM THOMAS #239</u></b>                     |                       |                                     |                      |                     |                    |                   |      |                      |
| 02/21/2018  | KUPPE, PATRICIA       | NWL BOA NG FP VUL                   | 200.00               | 4.00                | 0.00               | 4.00              | 0.0  | 4.00                 |
| 03/07/2018  | BROOKS, CHARLES       | NWL BOA NG FP VUL                   | 5,000.00             | 100.00              | 0.00               | 100.00            | 0.0  | 100.00               |
| 02/17/2018  | THOMAS, MARIA         | NWL NEXT GEN II FP VUL              | 250.00               | 5.00                | 0.00               | 5.00              | 0.0  | 5.00                 |
| 02/28/2018  | WOJCICKIJ, TARAS      | NWL NEXT GEN II FP VUL              | 300.00               | 6.00                | 0.00               | 6.00              | 0.0  | 6.00                 |
| * WILLIAM THOMAS SUBTOTAL *                                   |                       |                                     | <b>\$5,750.00</b>    | <b>\$115.00</b>     | <b>\$0.00</b>      | <b>\$115.00</b>   |      | <b>\$115.00</b>      |
| <b><u>BROKER: B151-JASON/MARIA BAIRD/BONGIOVANNI #240</u></b> |                       |                                     |                      |                     |                    |                   |      |                      |
| 03/01/2018  | GAGNON, JOHN          | AM FUNDS AMERICAN BALANCED C        | 0.00                 | 15.83               | 0.00               | 15.83             | 0.0  | 15.83                |
| 03/01/2018  | BRINICH, EVA          | AM FUNDS AMERICAN BALANCED C        | 0.00                 | 5.18                | 0.00               | 5.18              | 0.0  | 5.18                 |
| 03/01/2018  | ROMA, NANCY           | AM FUNDS CAPITAL INCOME BUILDER A   | 0.00                 | 23.20               | 0.00               | 23.20             | 0.0  | 23.20                |
| 03/01/2018  | SLACK, DONITA         | AM FUNDS CAPITAL WORLD GRTH & INC C | 0.00                 | 46.33               | 0.00               | 46.33             | 0.0  | 46.33                |
| 03/01/2018  | SLACK, DONITA         | AM FUNDS FUNDAMENTAL INVESTORS C    | 0.00                 | 53.68               | 0.00               | 53.68             | 0.0  | 53.68                |
| 03/01/2018  | GAGNON, JOHN          | AM FUNDS GROWTH FUND OF AMERICA C   | 0.00                 | 17.37               | 0.00               | 17.37             | 0.0  | 17.37                |
| 03/01/2018  | GAGNON, JOHN          | AM FUNDS GROWTH FUND OF AMERICA C   | 0.00                 | 20.01               | 0.00               | 20.01             | 0.0  | 20.01                |
| 03/01/2018  | GAGNON, JOHN          | AM FUNDS INCOME FUND OF AMERICA C   | 0.00                 | 13.11               | 0.00               | 13.11             | 0.0  | 13.11                |
| 01/31/2018  | WAX, LUBENA           | BLACKROCK 19452P735                 | 0.00                 | 2.70                | 0.00               | 2.70              | 0.0  | 2.70                 |
| 01/31/2018  | WAX, LUBENA           | BLACKROCK 19452P735                 | 0.00                 | 0.06                | 0.00               | 0.06              | 0.0  | 0.06                 |
| 01/31/2018  | WAX, LUBENA           | BLACKROCK 19452P735                 | 0.00                 | 0.04                | 0.00               | 0.04              | 0.0  | 0.04                 |
| 01/31/2018  | WAX, LUBENA           | BLK EQUITY DIVIDEND C               | 0.00                 | 27.52               | 0.00               | 27.52             | 0.0  | 27.52                |
| 01/31/2018  | WAX, LUBENA           | BLK EQUITY DIVIDEND C               | 0.00                 | 9.17                | 0.00               | 9.17              | 0.0  | 9.17                 |
| 01/31/2018  | WAX, LUBENA           | BLK EQUITY DIVIDEND C               | 0.00                 | 11.45               | 0.00               | 11.45             | 0.0  | 11.45                |
| 01/31/2018  | WAX, LUBENA           | BLK EQUITY DIVIDEND C               | 0.00                 | 2.80                | 0.00               | 2.80              | 0.0  | 2.80                 |
| 01/31/2018  | WAX, LUBENA           | BLK EQUITY DIVIDEND C               | 0.00                 | 8.40                | 0.00               | 8.40              | 0.0  | 8.40                 |
| 01/31/2018  | WAX, LUBENA           | BLK EQUITY DIVIDEND C               | 0.00                 | 34.34               | 0.00               | 34.34             | 0.0  | 34.34                |
| 03/07/2018  | BRINICH, EVA          | NW LA YOUR LIFE PROTECTION          | 100.00               | 1.00                | 0.00               | 1.00              | 0.0  | 1.00                 |
| 02/22/2018  | BAIRD, JASON          | NWL NEXT GEN II FP VUL              | 144.00               | 2.88                | 0.00               | 2.88              | 0.0  | 2.88                 |
| 02/28/2018  | GREENBLATT JR, ROLAND | NWL YOURLIFE ACCUM VUL              | 110.58               | 1.11                | 0.00               | 1.11              | 0.0  | 1.11                 |
| 02/28/2018  | GREENBLATT JR, ROLAND | NWL YOURLIFE ACCUM VUL              | 350.00               | 1.75                | 0.00               | 1.75              | 0.0  | 1.75                 |
| 03/03/2018  | ONDOSKEY, TARA        | NWL YOURLIFE ACCUM VUL              | 125.00               | 1.25                | 0.00               | 1.25              | 0.0  | 1.25                 |
| 02/20/2018  | JOHNSTONE, WILLIAM    | PAC LIFE VUL                        | 152.00               | 1.52                | 0.00               | 1.52              | 0.0  | 1.52                 |
| 03/02/2018  | CROCKETT, DAVID       | TRANSAMERICA AA MOD GROWTH C        | 0.00                 | 3.88                | 0.00               | 3.88              | 0.0  | 3.88                 |
| * B151-JASON/MARIA BAIRD/BONGIOVANNI SUBTOTAL *               |                       |                                     | <b>\$981.58</b>      | <b>\$304.58</b>     | <b>\$0.00</b>      | <b>\$304.58</b>   |      | <b>\$304.58</b>      |

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

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

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

| DATE  | CLIENT               | INVESTMENT                          | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|---|----------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u> OVERRIDE TRANSACTIONS </u></b>           |                      |                                     |                      |                     |                    |                   |      |                      |
| <b><u> BROKER: JAMES, B153 BREWER #291 </u></b> |                      |                                     |                      |                     |                    |                   |      |                      |
| 02/21/2018                                      | SELCER, RICHARD      | AM FUNDS AMCAP A                    | 0.00                 | 4.12                | 0.00               | 4.12              | 0.0  | 4.12                 |
| 02/21/2018                                      | BALE, RICHARD        | AM FUNDS AMCAP A                    | 0.00                 | 0.21                | 0.00               | 0.21              | 0.0  | 0.21                 |
| 02/21/2018                                      | VANDERGRIFF, CHARLES | AM FUNDS AMERICAN BALANCED A        | 0.00                 | 5.84                | 0.00               | 5.84              | 0.0  | 5.84                 |
| 02/21/2018                                      | ROWE, ERNEST         | AM FUNDS AMERICAN BALANCED A        | 0.00                 | 2.95                | 0.00               | 2.95              | 0.0  | 2.95                 |
| 02/21/2018                                      | BARNETT, ALVA        | AM FUNDS AMERICAN BALANCED A        | 0.00                 | 5.78                | 0.00               | 5.78              | 0.0  | 5.78                 |
| 02/21/2018                                      | CROSBY, RONALD       | AM FUNDS AMERICAN BALANCED A        | 0.00                 | 9.99                | 0.00               | 9.99              | 0.0  | 9.99                 |
| 02/21/2018                                      | LIMCHOC, OSCAR       | AM FUNDS AMERICAN BALANCED A        | 0.00                 | 5.71                | 0.00               | 5.71              | 0.0  | 5.71                 |
| 02/21/2018                                      | DUNCAN, DONALD       | AM FUNDS AMERICAN BALANCED A        | 0.00                 | 2.35                | 0.00               | 2.35              | 0.0  | 2.35                 |
| 02/21/2018                                      | LAWVER, DAVID        | AM FUNDS AMERICAN BALANCED A        | 0.00                 | 2.43                | 0.00               | 2.43              | 0.0  | 2.43                 |
| 02/21/2018                                      | COMPTON, SHARON      | AM FUNDS AMERICAN BALANCED A        | 0.00                 | 3.76                | 0.00               | 3.76              | 0.0  | 3.76                 |
| 02/21/2018                                      | ALLEN, THOMAS        | AM FUNDS AMERICAN BALANCED A        | 0.00                 | 4.22                | 0.00               | 4.22              | 0.0  | 4.22                 |
| 02/21/2018                                      | COMPTON, SHARON      | AM FUNDS CAPITAL INCOME BUILDER A   | 0.00                 | 3.75                | 0.00               | 3.75              | 0.0  | 3.75                 |
| 02/21/2018                                      | MYERS, GARY          | AM FUNDS CAPITAL INCOME BUILDER A   | 0.00                 | 0.27                | 0.00               | 0.27              | 0.0  | 0.27                 |
| 02/21/2018                                      | MYERS, GARY          | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00                 | 59.77               | 0.00               | 59.77             | 0.0  | 59.77                |
| 02/21/2018                                      | BEBOUT, DARRELL      | AM FUNDS INCOME FUND OF AMERICA A   | 0.00                 | 0.35                | 0.00               | 0.35              | 0.0  | 0.35                 |
| 02/21/2018                                      | VANDERGRIFF, CHARLES | AM FUNDS INTL GROWTH AND INCOME A   | 0.00                 | 4.13                | 0.00               | 4.13              | 0.0  | 4.13                 |
| 02/21/2018                                      | GOUDY, BEVERLY       | AM FUNDS NEW ECONOMY A              | 0.00                 | 12.51               | 0.00               | 12.51             | 0.0  | 12.51                |
| 02/21/2018                                      | GOUDY, BEVERLY       | AM FUNDS SMALLCAP WORLD A           | 0.00                 | 10.23               | 0.00               | 10.23             | 0.0  | 10.23                |
| 02/16/2018                                      | SCHOPPELREI, CLEMENT | AMERICAN CENTURY MID CAP VALUE FUND | 0.00                 | 0.06                | 0.00               | 0.06              | 0.0  | 0.06                 |
| 02/21/2018                                      | SELCER, RICHARD      | AMERICAN FUNDS RETIREMENT INCOME PO | 0.00                 | 7.04                | 0.00               | 7.04              | 0.0  | 7.04                 |
| 02/21/2018                                      | WESS, DONALD         | AMERICAN FUNDS RETIREMENT INCOME PO | 0.00                 | 3.62                | 0.00               | 3.62              | 0.0  | 3.62                 |
| 02/21/2018                                      | FALTER, THEODORE     | AMERICAN FUNDS RETIREMENT INCOME PO | 0.00                 | 3.79                | 0.00               | 3.79              | 0.0  | 3.79                 |
| 02/21/2018                                      | GOUDY, BEVERLY       | AMERICAN FUNDS RETIREMENT INCOME PO | 0.00                 | 2.26                | 0.00               | 2.26              | 0.0  | 2.26                 |
| 02/21/2018                                      | STEIN, JANICE        | AMERICAN FUNDS RETIREMENT INCOME PO | 0.00                 | 1.21                | 0.00               | 1.21              | 0.0  | 1.21                 |
| 02/21/2018                                      | SELCER, RICHARD      | AMERICAN FUNDS RETIREMENT INCOME PO | 0.00                 | 12.76               | 0.00               | 12.76             | 0.0  | 12.76                |
| 02/21/2018                                      | FALTER, THEODORE     | AMERICAN FUNDS RETIREMENT INCOME PO | 0.00                 | 3.64                | 0.00               | 3.64              | 0.0  | 3.64                 |
| 02/21/2018                                      | GOUDY, BEVERLY       | AMERICAN FUNDS RETIREMENT INCOME PO | 0.00                 | 2.18                | 0.00               | 2.18              | 0.0  | 2.18                 |
| 02/21/2018                                      | STEIN, JANICE        | AMERICAN FUNDS RETIREMENT INCOME PO | 0.00                 | 1.17                | 0.00               | 1.17              | 0.0  | 1.17                 |
| 02/22/2018                                      | MOORE, CHARLES       | BLACKROCK NATURAL RESOURCES TRUST F | 0.00                 | 3.97                | 0.00               | 3.97              | 0.0  | 3.97                 |
| 02/22/2018                                      | SCHOPPELREI, CLEMENT | BLACKROCK STRATEGIC INCOME OPPT POR | 0.00                 | 0.06                | 0.00               | 0.06              | 0.0  | 0.06                 |
| 02/05/2018                                      | ROWE, ERNEST         | CATALYST/MAP GLOBAL CAPITAL APPRECI | 0.00                 | 2.77                | 0.00               | 2.77              | 0.0  | 2.77                 |
| 02/05/2018                                      | SELCER, RICHARD      | CATALYST/MAP GLOBAL CAPITAL APPRECI | 0.00                 | 5.75                | 0.00               | 5.75              | 0.0  | 5.75                 |
| 02/05/2018                                      | DUNCAN, DONALD       | CATALYST/MAP GLOBAL TOTAL RETURN IN | 0.00                 | 2.12                | 0.00               | 2.12              | 0.0  | 2.12                 |

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| DATE  | CLIENT                    | INVESTMENT                          | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|---|---------------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u> OVERRIDE TRANSACTIONS </u></b>           |                           |                                     |                      |                     |                    |                   |      |                      |
| <b><u> BROKER: JAMES, B153 BREWER #291 </u></b> |                           |                                     |                      |                     |                    |                   |      |                      |
| 02/05/2018                                      | SELCER, RICHARD           | CATALYST/MAP GLOBAL TOTAL RETURN IN | 0.00                 | 10.04               | 0.00               | 10.04             | 0.0  | 10.04                |
| 02/05/2018                                      | LAWVER, DAVID             | CATALYST/MAP GLOBAL TOTAL RETURN IN | 0.00                 | 2.52                | 0.00               | 2.52              | 0.0  | 2.52                 |
| 02/15/2018                                      | SELCER, RICHARD           | COLUMBIA DIVIDEND INCOME A          | 0.00                 | 1.72                | 0.00               | 1.72              | 0.0  | 1.72                 |
| 02/15/2018                                      | MOORE, CHARLES            | COLUMBIA DIVIDEND INCOME A          | 0.00                 | 6.35                | 0.00               | 6.35              | 0.0  | 6.35                 |
| 02/15/2018                                      | BARNETT, ALVA             | COLUMBIA DIVIDEND INCOME A          | 0.00                 | 3.17                | 0.00               | 3.17              | 0.0  | 3.17                 |
| 02/15/2018                                      | CROSBY, RONALD            | COLUMBIA DIVIDEND INCOME A          | 0.00                 | 6.45                | 0.00               | 6.45              | 0.0  | 6.45                 |
| 02/15/2018                                      | FRESHLY, BEATRICE         | COLUMBIA DIVIDEND INCOME A          | 0.00                 | 6.44                | 0.00               | 6.44              | 0.0  | 6.44                 |
| 02/15/2018                                      | LIMCHOC, OSCAR            | COLUMBIA DIVIDEND INCOME A          | 0.00                 | 5.70                | 0.00               | 5.70              | 0.0  | 5.70                 |
| 02/15/2018                                      | WESS, DONALD              | COLUMBIA DIVIDEND INCOME A          | 0.00                 | 3.92                | 0.00               | 3.92              | 0.0  | 3.92                 |
| 02/15/2018                                      | SCHOPPELREI, CLEMENT      | COLUMBIA INCOME OPPORTUNITIES FUND  | 0.00                 | 0.05                | 0.00               | 0.05              | 0.0  | 0.05                 |
| 02/16/2018                                      | MOORE, CHARLES            | DELAWARE REAL ESTATE INVESTMENT TRU | 0.00                 | 3.89                | 0.00               | 3.89              | 0.0  | 3.89                 |
| 02/16/2018                                      | STEIN, JANICE             | DELAWARE SELECT GROWTH FUND CLASS A | 0.00                 | 0.34                | 0.00               | 0.34              | 0.0  | 0.34                 |
| 02/22/2018                                      | CROSBY, RONALD            | FRANKLIN INCOME A                   | 0.00                 | 2.49                | 0.00               | 2.49              | 0.0  | 2.49                 |
| 02/22/2018                                      | LIMCHOC, OSCAR            | FRANKLIN INCOME A                   | 0.00                 | 3.43                | 0.00               | 3.43              | 0.0  | 3.43                 |
| 02/22/2018                                      | COMPTON, SHARON           | FRANKLIN INCOME A                   | 0.00                 | 2.27                | 0.00               | 2.27              | 0.0  | 2.27                 |
| 02/22/2018                                      | FALTER, THEODORE          | FRANKLIN RISING DIVIDENDS A         | 0.00                 | 0.06                | 0.00               | 0.06              | 0.0  | 0.06                 |
| 02/22/2018                                      | FRESHLY, BEATRICE         | FRANKLIN UTILITIES A                | 0.00                 | 3.30                | 0.00               | 3.30              | 0.0  | 3.30                 |
| 02/20/2018                                      | DUNCAN, JAMES             | GOOD HARBOR US TACTICAL CORE FUND   | 0.00                 | 5.52                | 0.00               | 5.52              | 0.0  | 5.52                 |
| 02/20/2018                                      | SELCER, RICHARD           | HARTFORD HEALTHCARE A               | 0.00                 | 5.73                | 0.00               | 5.73              | 0.0  | 5.73                 |
| 02/20/2018                                      | GOUDY, BEVERLY            | HARTFORD HEALTHCARE A               | 0.00                 | 7.15                | 0.00               | 7.15              | 0.0  | 7.15                 |
| 02/20/2018                                      | FALTER, THEODORE          | HARTFORD HEALTHCARE A               | 0.00                 | 3.08                | 0.00               | 3.08              | 0.0  | 3.08                 |
| 02/20/2018                                      | SELCER, RICHARD           | ICON ENERGY FUND CLASS A            | 0.00                 | 3.95                | 0.00               | 3.95              | 0.0  | 3.95                 |
| 02/20/2018                                      | LAWVER, DAVID             | ICON LEISURE AND CONSUMER STAPLES F | 0.00                 | 1.79                | 0.00               | 1.79              | 0.0  | 1.79                 |
| 02/20/2018                                      | SELCER, RICHARD           | ICON UTILITIES FUND CLASS A         | 0.00                 | 3.23                | 0.00               | 3.23              | 0.0  | 3.23                 |
| 02/20/2018                                      | MCANINCH, JUDY            | ICON UTILITIES FUND CLASS A         | 0.00                 | 5.53                | 0.00               | 5.53              | 0.0  | 5.53                 |
| 02/28/2018                                      | KUSKOWSKI, MARK           | JNL PERSPECTIVE ADV II 5/05         | 17,347.97            | 14.46               | 0.00               | 14.46             | 0.0  | 14.46                |
| 02/28/2018                                      | MYERS MACHINERY MOVERS IN | JNL PERSPECTIVE L                   | 880,993.94           | 954.41              | 0.00               | 954.41            | 0.0  | 954.41               |
| 02/21/2018                                      | SCHOPPELREI, CLEMENT      | JP MORGAN LARGE-CAP GROWTH A        | 0.00                 | 0.06                | 0.00               | 0.06              | 0.0  | 0.06                 |
| 02/22/2018                                      | SCHOPPELREI, CLEMENT      | LORD ABBETT INFLATION FOCUSED FUND  | 0.00                 | 0.01                | 0.00               | 0.01              | 0.0  | 0.01                 |
| 02/13/2018                                      | GOUDY, BEVERLY            | MFS INTERNATIONAL DISCOVERY A       | 0.00                 | 8.50                | 0.00               | 8.50              | 0.0  | 8.50                 |
| 02/13/2018                                      | SCHOPPELREI, CLEMENT      | MFS INTERNATIONAL VALUE FUND CLASS  | 0.00                 | 0.03                | 0.00               | 0.03              | 0.0  | 0.03                 |
| 02/13/2018                                      | SCHOPPELREI, CLEMENT      | MFS VALUE A                         | 0.00                 | 0.06                | 0.00               | 0.06              | 0.0  | 0.06                 |
| 02/22/2018                                      | COMPTON, SHARON           | OPPENHEIMER GLOBAL A                | 0.00                 | 3.99                | 0.00               | 3.99              | 0.0  | 3.99                 |

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|---|-----------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u> OVERRIDE TRANSACTIONS </u></b>         |                       |                                     |                      |                     |                    |                   |      |                      |
| <b><u>BROKER: JAMES, B153 BREWER #291</u></b> |                       |                                     |                      |                     |                    |                   |      |                      |
| 02/22/2018                                    | MYERS, GARY           | OPPENHEIMER GLOBAL A                | 0.00                 | 61.14               | 0.00               | 61.14             | 0.0  | 61.14                |
| 02/22/2018                                    | SCHOPPELREI, CLEMENT  | OPPENHEIMER INTL GROWTH A           | 0.00                 | 0.03                | 0.00               | 0.03              | 0.0  | 0.03                 |
| 02/21/2018                                    | BALE, RICHARD         | PAC LIFE FUNDS PORTFOLIO OPTIMIZATI | 0.00                 | 0.10                | 0.00               | 0.10              | 0.0  | 0.10                 |
| 02/12/2018                                    | GOUDY, BEVERLY        | PRUDENTIAL QMA MID CAP VALUE FUND C | 0.00                 | 23.46               | 0.00               | 23.46             | 0.0  | 23.46                |
| 02/21/2018                                    | SELCER, RICHARD       | PUTNAM GLOBAL HEALTH CARE A         | 0.00                 | 2.64                | 0.00               | 2.64              | 0.0  | 2.64                 |
| 02/22/2018                                    | MYERS, GARY           | TEMPLETON GROWTH A                  | 0.00                 | 33.75               | 0.00               | 33.75             | 0.0  | 33.75                |
| 02/22/2018                                    | MYERS, GARY           | TEMPLETON WORLD A                   | 0.00                 | 0.47                | 0.00               | 0.47              | 0.0  | 0.47                 |
| 02/26/2018                                    | NIXON, CHARLENE       | TIMOTHY PLAN CONSERVATIVE GROWTH FU | 0.00                 | 4.48                | 0.00               | 4.48              | 0.0  | 4.48                 |
| 02/26/2018                                    | NIXON, CHARLENE       | TIMOTHY PLAN DEFENSIVE STRATEGY FUN | 0.00                 | 2.09                | 0.00               | 2.09              | 0.0  | 2.09                 |
| 02/16/2018                                    | SCHOPPELREI, CLEMENT  | WELLS FARGO ADVTG EMERGING MARKETS  | 0.00                 | 0.03                | 0.00               | 0.03              | 0.0  | 0.03                 |
| 02/16/2018                                    | MOORE, CHARLES        | WELLS FARGO INDEX ASSET ALLOCATION  | 0.00                 | 5.49                | 0.00               | 5.49              | 0.0  | 5.49                 |
| <b>* JAMES, B153 BREWER SUBTOTAL *</b>        |                       |                                     | <b>\$898,341.91</b>  | <b>\$1,404.09</b>   | <b>\$0.00</b>      | <b>\$1,404.09</b> |      | <b>\$1,404.09</b>    |
| <b><u>BROKER: MARTIN PROSHEK #355</u></b>     |                       |                                     |                      |                     |                    |                   |      |                      |
| 02/22/2018                                    | NERO, PATRICK         | ALLIANZGI FOCUSED GROWTH A          | 0.00                 | 7.10                | 0.00               | 7.10              | 0.0  | 7.10                 |
| 02/21/2018                                    | MABEE, SUSAN          | AM FUNDS CAPITAL INCOME BUILDER A   | 0.00                 | 1.48                | 0.00               | 1.48              | 0.0  | 1.48                 |
| 02/21/2018                                    | MABEE, SUSAN          | AM FUNDS CAPITAL INCOME BUILDER A   | 0.00                 | 0.25                | 0.00               | 0.25              | 0.0  | 0.25                 |
| 02/21/2018                                    | MABEE, SUSAN          | AM FUNDS NEW WORLD A                | 0.00                 | 0.57                | 0.00               | 0.57              | 0.0  | 0.57                 |
| 02/22/2018                                    | WILSON, LYNNE         | BLACKROCK ALL-CAP ENERGY & RESOURCE | 0.00                 | 0.41                | 0.00               | 0.41              | 0.0  | 0.41                 |
| 02/22/2018                                    | WILSON, LYNNE         | BLACKROCK ALL-CAP ENERGY & RESOURCE | 0.00                 | 0.09                | 0.00               | 0.09              | 0.0  | 0.09                 |
| 02/22/2018                                    | HORR, DIANE           | BLACKROCK ENERGY & RESOURCES PORTFO | 0.00                 | 0.47                | 0.00               | 0.47              | 0.0  | 0.47                 |
| 02/15/2018                                    | KODAT, JANICE         | COLUMBIA SELIGMAN GLOBAL TECH A     | 0.00                 | 5.54                | 0.00               | 5.54              | 0.0  | 5.54                 |
| 02/16/2018                                    | MCPARTLAND, BARBARA   | DAVIS APPRECIATION AND INCOME A     | 0.00                 | 1.70                | 0.00               | 1.70              | 0.0  | 1.70                 |
| 02/16/2018                                    | HENNINGER, DAROLD     | DELAWARE HEALTHCARE FUNDS CLASS A   | 0.00                 | 8.61                | 0.00               | 8.61              | 0.0  | 8.61                 |
| 02/20/2018                                    | MCPARTLAND, BARBARA   | FIDELITY ADVISOR BIOTECHNOLOGY FUND | 0.00                 | 3.73                | 0.00               | 3.73              | 0.0  | 3.73                 |
| 02/20/2018                                    | HENNINGER, DAROLD     | FIDELITY ADVISOR TELECOMMUNICATIONS | 0.00                 | 6.19                | 0.00               | 6.19              | 0.0  | 6.19                 |
| 02/23/2018                                    | FUQUA, CHARLES (C.K.) | FIRST EAGLE GLOBAL FUND CL A        | 0.00                 | 8.12                | 0.00               | 8.12              | 0.0  | 8.12                 |
| 02/23/2018                                    | HENNINGER, DAROLD     | FIRST EAGLE GLOBAL FUND CL A        | 0.00                 | 7.15                | 0.00               | 7.15              | 0.0  | 7.15                 |
| 02/23/2018                                    | MCPARTLAND, BARBARA   | FIRST EAGLE GLOBAL FUND CL A        | 0.00                 | 3.39                | 0.00               | 3.39              | 0.0  | 3.39                 |
| 02/22/2018                                    | NERO, PATRICK         | FRANKLIN BALANCED C                 | 0.00                 | 12.36               | 0.00               | 12.36             | 0.0  | 12.36                |
| 02/22/2018                                    | NERO, BARBARA         | FRANKLIN BALANCED C                 | 0.00                 | 6.00                | 0.00               | 6.00              | 0.0  | 6.00                 |
| 02/22/2018                                    | FUQUA, CHARLES (C.K.) | FRANKLIN CONV SEC A                 | 0.00                 | 5.91                | 0.00               | 5.91              | 0.0  | 5.91                 |
| 02/22/2018                                    | MCPARTLAND, BARBARA   | FRANKLIN INCOME A                   | 0.00                 | 1.11                | 0.00               | 1.11              | 0.0  | 1.11                 |
| 02/27/2018                                    | WARREN, KATHLEEN      | JANUS GLOBAL LIFE SCIENCES FUND CLA | 0.00                 | 1.43                | 0.00               | 1.43              | 0.0  | 1.43                 |

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

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

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

| DATE  | CLIENT                | INVESTMENT                          | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|---|-----------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u> OVERRIDE TRANSACTIONS </u></b>               |                       |                                     |                      |                     |                    |                   |      |                      |
| <b><u> BROKER: MARTIN PROSHEK #355 </u></b>         |                       |                                     |                      |                     |                    |                   |      |                      |
| 02/13/2018  | HORR, DIANE           | MFS EMERGING MARKETS DEBT FUND A    | 0.00                 | 2.95                | 0.00               | 2.95              | 0.0  | 2.95                 |
| 02/13/2018  | FUQUA, CHARLES (C.K.) | MFS GROWTH ALLOCATION A             | 0.00                 | 6.28                | 0.00               | 6.28              | 0.0  | 6.28                 |
| 02/12/2018  | HORR, DIANE           | NATIXIS LOOMIS STRATEGIC INCOME A   | 0.00                 | 1.92                | 0.00               | 1.92              | 0.0  | 1.92                 |
| 02/27/2018  | KODAT, JANICE         | PIMCO FUNDAMENTAL INDEXPLUS AR FUND | 0.00                 | 9.38                | 0.00               | 9.38              | 0.0  | 9.38                 |
| 02/13/2018  | FUQUA, CHARLES (C.K.) | SALIENT SELECT INCOME FUND CLASS A  | 0.00                 | 4.81                | 0.00               | 4.81              | 0.0  | 4.81                 |
| 02/13/2018  | MCPARTLAND, BARBARA   | SALIENT SELECT INCOME FUND CLASS A  | 0.00                 | 2.87                | 0.00               | 2.87              | 0.0  | 2.87                 |
| 02/13/2018  | KODAT, JANICE         | SUNAMERICA FOCUSED DIVIDEND STRAT A | 0.00                 | 8.99                | 0.00               | 8.99              | 0.0  | 8.99                 |
| 02/13/2018  | MORSE, PATRICIA       | SUNAMERICA FOCUSED DIVIDEND STRAT A | 0.00                 | 5.95                | 0.00               | 5.95              | 0.0  | 5.95                 |
| 02/13/2018  | FUQUA, CHARLES (C.K.) | SUNAMERICA FOCUSED DIVIDEND STRAT A | 0.00                 | 7.80                | 0.00               | 7.80              | 0.0  | 7.80                 |
| 02/13/2018  | HENNINGER, DAROLD     | SUNAMERICA FOCUSED DIVIDEND STRAT A | 0.00                 | 8.24                | 0.00               | 8.24              | 0.0  | 8.24                 |
| 02/14/2018  | MCPARTLAND, BARBARA   | TRANSAMERICA MULTI-MANAGED BAL A    | 0.00                 | 3.94                | 0.00               | 3.94              | 0.0  | 3.94                 |
| 02/14/2018  | MCPARTLAND, BARBARA   | TRANSAMERICA MULTI-MANAGED BAL A    | 0.00                 | 0.95                | 0.00               | 0.95              | 0.0  | 0.95                 |
| 02/14/2018  | NERO, PATRICK         | TRANSAMERICA MULTI-MANAGED BAL C    | 0.00                 | 13.19               | 0.00               | 13.19             | 0.0  | 13.19                |
| 02/14/2018  | NERO, BARBARA         | TRANSAMERICA MULTI-MANAGED BAL C    | 0.00                 | 9.19                | 0.00               | 9.19              | 0.0  | 9.19                 |
| 02/14/2018  | KODAT, JANICE         | TRANSAMERICA SMALL/MID CAP VALUE A  | 0.00                 | 8.21                | 0.00               | 8.21              | 0.0  | 8.21                 |
| 02/21/2018  | FUQUA, CHARLES (C.K.) | UNDISCOVERED MANAGERS BEHAVIORAL VA | 0.00                 | 11.22               | 0.00               | 11.22             | 0.0  | 11.22                |
| 02/16/2018  | FUQUA, CHARLES (C.K.) | WELLS FARGO SPECIAL MID CAP VALUE F | 0.00                 | 8.13                | 0.00               | 8.13              | 0.0  | 8.13                 |
| <b> * MARTIN PROSHEK SUBTOTAL * </b>                |                       |                                     | <b>\$0.00</b>        | <b>\$195.63</b>     | <b>\$0.00</b>      | <b>\$195.63</b>   |      | <b>\$195.63</b>      |
| <b><u> BROKER: L149-ROBERT LUCHSINGER #388 </u></b> |                       |                                     |                      |                     |                    |                   |      |                      |
| 02/28/2018  | MANNETTA, VIRGINIA    | JOHN HANCOCK LIFE INS CO            | 120,131.71           | 100.11              | 0.00               | 100.11            | 0.0  | 10.01                |
| 02/22/2018  | GARDNER, MARILYN      | ALLIANZ NFJ DIVIDEND VALUE FUND CLA | 0.00                 | 4.73                | 0.00               | 4.73              | 0.0  | 0.47                 |
| 02/22/2018  | GARDNER, MARILYN      | ALLIANZ NFJ LARGE CAP VALUE A       | 0.00                 | 3.82                | 0.00               | 3.82              | 0.0  | 0.38                 |
| 02/22/2018  | GARDNER, MARILYN      | FRANKLIN INCOME A                   | 0.00                 | 2.91                | 0.00               | 2.91              | 0.0  | 0.29                 |
| 02/19/2018  | MALIVA, JOAN          | ING EMPIRE INNOVATIONS STD OPT A    | 16,415.98            | 41.04               | 0.00               | 41.04             | 0.0  | 4.10                 |
| 02/22/2018  | HUNTE, SHEILA         | OPPENHEIMER ROCHESTER MUNICIPALS A  | 0.00                 | 6.01                | 0.00               | 6.01              | 0.0  | 0.60                 |
| 02/21/2018  | VIONE, LESLEY         | PAC LIFE FLOATING RATE INCOME FUND  | 0.00                 | 1.08                | 0.00               | 1.08              | 0.0  | 0.11                 |
| 02/21/2018  | GARDNER, MARILYN      | PAC LIFE FLOATING RATE INCOME FUND  | 0.00                 | 1.36                | 0.00               | 1.36              | 0.0  | 0.14                 |
| 02/21/2018  | KNAACK, PATRICIA      | PAC LIFE FLOATING RATE INCOME FUND  | 0.00                 | 0.64                | 0.00               | 0.64              | 0.0  | 0.06                 |
| 02/21/2018  | GARDNER, MARILYN      | PAC LIFE FUNDS PORT OPTIMIZATION CO | 0.00                 | 5.43                | 0.00               | 5.43              | 0.0  | 0.54                 |
| 02/21/2018  | HESS, RALPH           | PAC LIFE FUNDS PORT OPTIMIZATION CO | 0.00                 | 5.12                | 0.00               | 5.12              | 0.0  | 0.51                 |
| 02/21/2018  | CAPASSO, DEBRA        | PAC LIFE PORT OPT MOD AGGRESSIVE    | 3,250.00             | 130.00              | 0.00               | 130.00            | 0.0  | 13.00                |
| 02/21/2018  | CAPASSO, MICHAEL      | PAC LIFE PORT OPT MOD AGRESSIVE     | 3,250.00             | 130.00              | 0.00               | 130.00            | 0.0  | 13.00                |
| 02/21/2018  | CAPASSO, DEBRA        | PAC LIFE PORT OPT MOD CONSERVATIVE  | 3,250.00             | 130.00              | 0.00               | 130.00            | 0.0  | 13.00                |

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| DATE  | CLIENT             | INVESTMENT                           | INVESTMENT<br>AMOUNT  | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|---|--------------------|--------------------------------------|-----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u> OVERRIDE TRANSACTIONS </u></b>             |                    |                                      |                       |                     |                    |                   |      |                      |
| <b><u>BROKER: L149-ROBERT LUCHSINGER #388</u></b> |                    |                                      |                       |                     |                    |                   |      |                      |
| 02/21/2018  | CAPASSO, MICHAEL   | PAC LIFE PORT OPT MODERATE           | 3,250.00              | 130.00              | 0.00               | 130.00            | 0.0  | 13.00                |
| 02/21/2018  | REILLY, JAMES      | PAC LIFE PORT OPTIM MOD AGG          | 0.00                  | 9.54                | 0.00               | 9.54              | 0.0  | 0.95                 |
| 02/21/2018  | KNAACK, PATRICIA   | PACIFIC LIFE FUNDS STRATEGIC INCOME  | 0.00                  | 1.88                | 0.00               | 1.88              | 0.0  | 0.19                 |
| 02/22/2018  | MANNETTA, VIRGINIA | ROCHESTER LIMITED TERM NEW YORK MUN  | 0.00                  | 4.87                | 0.00               | 4.87              | 0.0  | 0.49                 |
| / /   | KNAACK, JOHN       | RYDEX GUGG MID CAP VALUE A           | 0.00                  | 4.63                | 0.00               | 4.63              | 0.0  | 0.46                 |
| 02/13/2018  | VIONE, LESLEY      | SUNAMERICA FOCUSED ALPHA GROWTH A    | 0.00                  | 0.16                | 0.00               | 0.16              | 0.0  | 0.02                 |
| 02/13/2018  | CELENTANO, MAURA   | SUNAMERICA FOCUSED ALPHA GROWTH A    | 0.00                  | 0.63                | 0.00               | 0.63              | 0.0  | 0.06                 |
| 02/13/2018  | REILLY, JAMES      | SUNAMERICA FOCUSED ALPHA LARGE CAP A | 0.00                  | 5.43                | 0.00               | 5.43              | 0.0  | 0.54                 |
| 02/13/2018  | CELENTANO, MAURA   | SUNAMERICA FOCUSED ALPHA LARGE CAP A | 0.00                  | 2.26                | 0.00               | 2.26              | 0.0  | 0.23                 |
| 02/13/2018  | HUNTE, SHEILA      | SUNAMERICA HIGH YIELD BOND A         | 0.00                  | 0.74                | 0.00               | 0.74              | 0.0  | 0.07                 |
| 02/13/2018  | HUNTE, SHEILA      | SUNAMERICA STRATEGIC BOND FUND CLAS  | 0.00                  | 1.14                | 0.00               | 1.14              | 0.0  | 0.11                 |
| <b>* L149-ROBERT LUCHSINGER SUBTOTAL *</b>        |                    |                                      | <b>\$149,547.69</b>   | <b>\$723.53</b>     | <b>\$0.00</b>      | <b>\$723.53</b>   |      | <b>\$72.33</b>       |
| <b><u>BROKER: DAVID EURTON #414</u></b>           |                    |                                      |                       |                     |                    |                   |      |                      |
| 02/09/2018  | SCHOLTEN TRUST, J  | CARTER VALIDUS MC REIT II CLASS T    | 0.00                  | 86.63               | 0.00               | 86.63             | 0.0  | 86.63                |
| 02/28/2018  | SCHOLTEN, JOANNE   | JNL PERSPECTIVE II 04/14             | 226,161.33            | 141.35              | 0.00               | 141.35            | 0.0  | 141.35               |
| 02/28/2018  | LUKSCH, GARY       | JNL PERSPECTIVE II 04/14             | 93,110.45             | 58.19               | 0.00               | 58.19             | 0.0  | 58.19                |
| 02/28/2018  | LUKSCH, MARY       | JNL PERSPECTIVE II 04/14             | 184,015.48            | 115.01              | 0.00               | 115.01            | 0.0  | 115.01               |
| 02/28/2018  | RICE, DORIS        | JNL PERSPECTIVE L                    | 290,752.81            | 242.29              | 0.00               | 242.29            | 0.0  | 242.29               |
| 02/10/2018  | SAHARA, IRENE      | TA LANDMARK VA                       | 198,720.66            | 165.60              | 0.00               | 165.60            | 0.0  | 165.60               |
| 02/23/2018  | SAHARA, IRENE      | TA LANDMARK VA                       | 122,872.17            | 102.39              | 0.00               | 102.39            | 0.0  | 102.39               |
| 02/28/2018  | DIXON REV, ROSE    | TA LANDMARK VA                       | 402,188.68            | 335.16              | 0.00               | 335.16            | 0.0  | 335.16               |
| 02/05/2018  | RICE, DORIS        | TRANSAMERICA B-SHARE                 | 93,644.33             | 78.04               | 0.00               | 78.04             | 0.0  | 78.04                |
| 02/12/2018  | SCHOLTEN, JOANNE   | TRANSAMERICA B-SHARE                 | 133,796.93            | 111.50              | 0.00               | 111.50            | 0.0  | 111.50               |
| 03/05/2018  | SCHOLTEN TRUST, J  | TRILINC GLOBAL IMPACT FUND C         | 0.00                  | 54.52               | 0.00               | 54.52             | 0.0  | 54.52                |
| <b>* DAVID EURTON SUBTOTAL *</b>                  |                    |                                      | <b>\$1,745,262.84</b> | <b>\$1,490.68</b>   | <b>\$0.00</b>      | <b>\$1,490.68</b> |      | <b>\$1,490.68</b>    |
| <b>*** OVERRIDE TRANSACTIONS TOTAL ***</b>        |                    |                                      | <b>\$5,109,203.60</b> | <b>\$9,001.24</b>   | <b>\$121.79</b>    | <b>\$8,879.45</b> |      | <b>\$8,228.25</b>    |

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**BROKER COMMISSION TOTALS**

|                       |            |
|-----------------------|------------|
| Broker Transactions   | \$9,043.13 |
| Split Transactions    | \$0.00     |
| Override Transactions | \$8,228.25 |
| Adjustments           | \$0.00     |
| Payroll Draw          | \$0.00     |
| Base Salary           | \$0.00     |
| Prior Period Balance  | \$0.00     |
| FINRA Assessment      | \$0.00     |
| SIPC Assessment       | \$0.00     |

|                       |             |
|-----------------------|-------------|
| Check Amount          | \$17,271.38 |
| Year-to-date Gross    | \$18,772.37 |
| Year-to-date Earnings | \$65,430.49 |