

**COMMISSION STATEMENT****February 15, 2018**NATHANIEL, K134 KUHN  
612 S. Bristol LaneBROKER #: K134  
BRANCH: KUHN FINANCIAL, INC

Arlington Heights, IL 60005-

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b><u>DIRECT TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: PRIVATE PLACEMENT</u></b>								
01/18/2018	KUHN, NATHANIEL	BOURNE SENIORS HOUSING III	10,752.69	0.00	0.00	0.00	90.0	0.00
01/22/2018	KLABACHA TRUST	BOURNE SENIORS HOUSING III	25,000.00	1,750.00	0.00	1,750.00	90.0	1,575.00
01/29/2018	RITCHIE TRUST, SAMUEL	BOURNE SENIORS HOUSING III	25,000.00	1,750.00	0.00	1,750.00	90.0	1,575.00
* PRIVATE PLACEMENT SUBTOTAL *			<b>\$60,752.69</b>	<b>\$3,500.00</b>	<b>\$0.00</b>	<b>\$3,500.00</b>		<b>\$3,150.00</b>
<b><u>PRODUCT CATEGORY: OIL &amp; GAS</u></b>								
01/31/2018	CROW TRUST, ELISSA WISSOW	WAVELAND RESOURCE PARTNERS IV	25,000.00	1,750.00	0.00	1,750.00	90.0	1,575.00
* OIL & GAS SUBTOTAL *			<b>\$25,000.00</b>	<b>\$1,750.00</b>	<b>\$0.00</b>	<b>\$1,750.00</b>		<b>\$1,575.00</b>
<b><u>PRODUCT CATEGORY: 529 PLANS</u></b>								
02/01/2018	WILSON, JOE	FT GROWTH ALLOC A	50.00	2.50	0.00	2.50	90.0	2.25
/ /	VOLKBER, SUSAN	UB TRUST FUND 60 A	0.00	1.50	0.00	1.50	90.0	1.35
01/22/2018	VOLKBER, SUSAN	UB TRUST FUND 60 A	50.00	1.50	0.00	1.50	90.0	1.35
01/11/2018	REHMAN, AFSHAN	UB TRUST FUND 80 A	75.00	2.25	0.00	2.25	90.0	2.03
01/11/2018	REHMAN, AFSHAN	UB TRUST FUND 80 A	12.50	0.38	0.00	0.38	90.0	0.34
01/11/2018	REHMAN, AFSHAN	UB TRUST FUND 80 A	12.50	0.38	0.00	0.38	90.0	0.34
01/25/2018	REHMAN, AFSHAN	UB TRUST FUND 80 A	75.00	2.25	0.00	2.25	90.0	2.03
01/25/2018	REHMAN, AFSHAN	UB TRUST FUND 80 A	12.50	0.38	0.00	0.38	90.0	0.34
01/25/2018	REHMAN, AFSHAN	UB TRUST FUND 80 A	12.50	0.38	0.00	0.38	90.0	0.34
01/17/2018	MOLBERGER, KIMBERLY	UBT AGGRESSIVE AGE BASED 0-02-A	100.00	3.00	0.00	3.00	90.0	2.70
01/08/2018	ARATA, MATHEW	UBT AGGRESSIVE AGE BASED 03-05-A	111.00	3.33	0.00	3.33	90.0	3.00
01/17/2018	ARATA, MATHEW	UBT AGGRESSIVE AGE BASED 03-05-A	111.00	3.33	0.00	3.33	90.0	3.00
01/05/2018	SAAM, ROBERT	UBT AGGRESSIVE AGE BASED 06-08-A	200.00	6.00	0.00	6.00	90.0	5.40
01/16/2018	MOLBERGER, KIMBERLY	UBT AGGRESSIVE AGE BASED 06-08-A	100.00	3.00	0.00	3.00	90.0	2.70
01/16/2018	MOLBERGER, KIMBERLY	UBT AGGRESSIVE AGE BASED 09-10-A	100.00	3.00	0.00	3.00	90.0	2.70
01/22/2018	BAXTER, KIMBERLY	UBT AGGRESSIVE AGE BASED 09-10-A	25.00	0.75	0.00	0.75	90.0	0.68
01/22/2018	BAXTER, KIMBERLY	UBT AGGRESSIVE AGE BASED 11-12-A	25.00	0.75	0.00	0.75	90.0	0.68

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

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b><u>DIRECT TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: 529 PLANS</u></b>								
01/02/2018	BRANNAN, JESSE	UBT MODERATE AGE BASED 0-02-A	25.00	0.75	0.00	0.75	90.0	0.68
01/16/2018	LAMPI, KEITH	UBT MODERATE AGE BASED 0-02-A	166.00	4.98	0.00	4.98	90.0	4.48
01/16/2018	WASPI, GRANT	UBT MODERATE AGE BASED 0-02-A	50.00	1.50	0.00	1.50	90.0	1.35
01/17/2018	ARIAS, MELISSA	UBT MODERATE AGE BASED 0-02-A	300.00	9.00	0.00	9.00	90.0	8.10
01/17/2018	MARIQUINA, JACQUELINE	UBT MODERATE AGE BASED 0-02-A	10.00	0.30	0.00	0.30	90.0	0.27
01/17/2018	MACK, ALEXANDER	UBT MODERATE AGE BASED 0-02-A	250.00	7.50	0.00	7.50	90.0	6.75
01/17/2018	NORRIS, VALERIE	UBT MODERATE AGE BASED 0-02-A	150.00	4.50	0.00	4.50	90.0	4.05
01/17/2018	ROLLINGER, LAUREN	UBT MODERATE AGE BASED 0-02-A	30.00	0.90	0.00	0.90	90.0	0.81
01/17/2018	TUCCINI, MELISSA	UBT MODERATE AGE BASED 0-02-A	50.00	1.50	0.00	1.50	90.0	1.35
01/17/2018	TUCCINI, MELISSA	UBT MODERATE AGE BASED 0-02-A	50.00	1.50	0.00	1.50	90.0	1.35
01/17/2018	DEUTSCH, SCOTT	UBT MODERATE AGE BASED 0-02-A	385.00	11.55	0.00	11.55	90.0	10.40
01/17/2018	BRANNAN, JESSE	UBT MODERATE AGE BASED 0-02-A	250.00	7.50	0.00	7.50	90.0	6.75
01/29/2018	GASPER, JAYSON	UBT MODERATE AGE BASED 0-02-A	1,000.00	30.00	0.00	30.00	90.0	27.00
01/02/2018	BRANNAN, JESSE	UBT MODERATE AGE BASED 03-05-A	250.00	7.50	0.00	7.50	90.0	6.75
01/02/2018	NORRIS, VALERIE	UBT MODERATE AGE BASED 03-05-A	150.00	4.50	0.00	4.50	90.0	4.05
01/02/2018	CATANESE, JODY	UBT MODERATE AGE BASED 03-05-A	100.00	3.00	0.00	3.00	90.0	2.70
01/02/2018	COLAN, MICHAEL	UBT MODERATE AGE BASED 03-05-A	75.00	2.25	0.00	2.25	90.0	2.03
01/02/2018	ROLLINGER, LAUREN	UBT MODERATE AGE BASED 03-05-A	30.00	0.90	0.00	0.90	90.0	0.81
01/02/2018	WHITE, AMANDA	UBT MODERATE AGE BASED 03-05-A	100.00	3.00	0.00	3.00	90.0	2.70
01/02/2018	REIDY, TIFFANY	UBT MODERATE AGE BASED 03-05-A	150.00	4.50	0.00	4.50	90.0	4.05
01/02/2018	BRANNAN, JESSE	UBT MODERATE AGE BASED 03-05-A	250.00	7.50	0.00	7.50	90.0	6.75
01/11/2018	CATANESE, JODY	UBT MODERATE AGE BASED 03-05-A	100.00	3.00	0.00	3.00	90.0	2.70
01/11/2018	CATANESE, JODY	UBT MODERATE AGE BASED 03-05-A	100.00	3.00	0.00	3.00	90.0	2.70
01/11/2018	CATANESE, JODY	UBT MODERATE AGE BASED 03-05-A	100.00	3.00	0.00	3.00	90.0	2.70
01/16/2018	MARTIN, JOELLYN	UBT MODERATE AGE BASED 03-05-A	250.00	7.50	0.00	7.50	90.0	6.75
01/16/2018	ARIAS, MELISSA	UBT MODERATE AGE BASED 03-05-A	300.00	9.00	0.00	9.00	90.0	8.10
01/16/2018	GREINER, PAUL	UBT MODERATE AGE BASED 03-05-A	150.00	4.50	0.00	4.50	90.0	4.05
01/17/2018	WILSON, JOE	UBT MODERATE AGE BASED 03-05-A	30.00	0.90	0.00	0.90	90.0	0.81
01/17/2018	CATANESE, JODY	UBT MODERATE AGE BASED 03-05-A	100.00	3.00	0.00	3.00	90.0	2.70
01/17/2018	DEUTSCH, SCOTT	UBT MODERATE AGE BASED 03-05-A	385.00	11.55	0.00	11.55	90.0	10.40
01/17/2018	TUCKER, BRANDON	UBT MODERATE AGE BASED 03-05-A	250.00	7.50	0.00	7.50	90.0	6.75
01/17/2018	ROLLINGER, LAUREN	UBT MODERATE AGE BASED 03-05-A	30.00	0.90	0.00	0.90	90.0	0.81
01/17/2018	SILKAITIS, MYIA	UBT MODERATE AGE BASED 03-05-A	50.00	1.50	0.00	1.50	90.0	1.35

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b><u>DIRECT TRANSACTIONS</u></b>								
<b>PRODUCT CATEGORY: 529 PLANS</b>								
01/17/2018	MARIQUINA, JACQUELINE	UBT MODERATE AGE BASED 03-05-A	25.00	0.75	0.00	0.75	90.0	0.68
01/17/2018	MEGER, AMANDA	UBT MODERATE AGE BASED 03-05-A	100.00	3.00	0.00	3.00	90.0	2.70
01/19/2018	MARTIN, JOELLYN	UBT MODERATE AGE BASED 03-05-A	75.00	2.25	0.00	2.25	90.0	2.03
01/30/2018	COLAN, MICHAEL	UBT MODERATE AGE BASED 03-05-A	75.00	2.25	0.00	2.25	90.0	2.03
01/02/2018	KLABACHA, JASON	UBT MODERATE AGE BASED 06-08-A	300.00	9.00	0.00	9.00	90.0	8.10
01/02/2018	SILKAITIS, MYIA	UBT MODERATE AGE BASED 06-08-A	50.00	1.50	0.00	1.50	90.0	1.35
01/02/2018	LIM, SUSIE	UBT MODERATE AGE BASED 06-08-A	100.00	3.00	0.00	3.00	90.0	2.70
01/02/2018	KLABACHA, JASON	UBT MODERATE AGE BASED 06-08-A	300.00	9.00	0.00	9.00	90.0	8.10
01/02/2018	REIDY, TIFFANY	UBT MODERATE AGE BASED 06-08-A	150.00	4.50	0.00	4.50	90.0	4.05
01/02/2018	BATTAGLIA, MICHAEL	UBT MODERATE AGE BASED 06-08-A	50.00	1.50	0.00	1.50	90.0	1.35
01/02/2018	SAAM, ROBERT	UBT MODERATE AGE BASED 06-08-A	200.00	6.00	0.00	6.00	90.0	5.40
01/02/2018	COLAN, MICHAEL	UBT MODERATE AGE BASED 06-08-A	75.00	2.25	0.00	2.25	90.0	2.03
01/05/2018	WILKINS, AARON	UBT MODERATE AGE BASED 06-08-A	150.00	4.50	0.00	4.50	90.0	4.05
01/16/2018	MARTIN, JOELLYN	UBT MODERATE AGE BASED 06-08-A	250.00	7.50	0.00	7.50	90.0	6.75
01/16/2018	LAMPI, KEITH	UBT MODERATE AGE BASED 06-08-A	667.00	20.01	0.00	20.01	90.0	18.01
01/16/2018	GREINER, PAUL	UBT MODERATE AGE BASED 06-08-A	150.00	4.50	0.00	4.50	90.0	4.05
01/16/2018	LAMPI, KEITH	UBT MODERATE AGE BASED 06-08-A	833.00	24.99	0.00	24.99	90.0	22.49
01/17/2018	MEYER, ELIZABETH	UBT MODERATE AGE BASED 06-08-A	25.00	0.75	0.00	0.75	90.0	0.68
01/17/2018	CONTRERAS, ANDY	UBT MODERATE AGE BASED 06-08-A	50.00	1.50	0.00	1.50	90.0	1.35
01/17/2018	CONTRERAS, ANDY	UBT MODERATE AGE BASED 06-08-A	50.00	1.50	0.00	1.50	90.0	1.35
01/17/2018	SAYRE, MICHAEL	UBT MODERATE AGE BASED 06-08-A	50.00	1.50	0.00	1.50	90.0	1.35
01/17/2018	SAYRE, MICHAEL	UBT MODERATE AGE BASED 06-08-A	50.00	1.50	0.00	1.50	90.0	1.35
01/19/2018	MARTIN, JOELLYN	UBT MODERATE AGE BASED 06-08-A	75.00	2.25	0.00	2.25	90.0	2.03
01/22/2018	CATANESE, ERIN	UBT MODERATE AGE BASED 06-08-A	500.00	15.00	0.00	15.00	90.0	13.50
01/22/2018	CATANESE, ERIN	UBT MODERATE AGE BASED 06-08-A	500.00	15.00	0.00	15.00	90.0	13.50
01/30/2018	COLAN, MICHAEL	UBT MODERATE AGE BASED 06-08-A	75.00	2.25	0.00	2.25	90.0	2.03
01/02/2018	COLAN, MICHAEL	UBT MODERATE AGE BASED 09-10-A	75.00	2.25	0.00	2.25	90.0	2.03
01/02/2018	MUELLNER, MARK	UBT MODERATE AGE BASED 09-10-A	100.00	3.00	0.00	3.00	90.0	2.70
01/02/2018	MUELLNER, MARK	UBT MODERATE AGE BASED 09-10-A	100.00	3.00	0.00	3.00	90.0	2.70
01/16/2018	LIEBERMAN, DAVID	UBT MODERATE AGE BASED 09-10-A	833.00	24.99	0.00	24.99	90.0	22.49
01/16/2018	MUELLNER, MARK	UBT MODERATE AGE BASED 09-10-A	100.00	3.00	0.00	3.00	90.0	2.70
01/16/2018	MUELLNER, MARK	UBT MODERATE AGE BASED 09-10-A	150.00	4.50	0.00	4.50	90.0	4.05
01/17/2018	MEYER, ELIZABETH	UBT MODERATE AGE BASED 09-10-A	25.00	0.75	0.00	0.75	90.0	0.68

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<b><u>DIRECT TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: 529 PLANS</u></b>								
01/30/2018	COLAN, MICHAEL	UBT MODERATE AGE BASED 09-10-A	75.00	2.25	0.00	2.25	90.0	2.03
01/02/2018	BATTAGLIA, MICHAEL	UBT MODERATE AGE BASED 11-12-A	100.00	3.00	0.00	3.00	90.0	2.70
01/02/2018	HINTCH, ELIZABETH	UBT MODERATE AGE BASED 11-12-A	917.00	27.51	0.00	27.51	90.0	24.76
01/02/2018	STETTER, MARIA	UBT MODERATE AGE BASED 11-12-A	50.00	1.50	0.00	1.50	90.0	1.35
01/05/2018	WILKINS, AARON	UBT MODERATE AGE BASED 11-12-A	150.00	4.50	0.00	4.50	90.0	4.05
01/16/2018	LIEBERMAN, DAVID	UBT MODERATE AGE BASED 11-12-A	833.00	24.99	0.00	24.99	90.0	22.49
01/16/2018	WELLINGTON, ERICA	UBT MODERATE AGE BASED 11-12-A	250.00	7.50	0.00	7.50	90.0	6.75
01/17/2018	HIRSTIUS, KERRIE	UBT MODERATE AGE BASED 11-12-A	255.00	7.65	0.00	7.65	90.0	6.89
01/02/2018	MUELLNER, MARK	UBT MODERATE AGE BASED 13-14-A	100.00	3.00	0.00	3.00	90.0	2.70
01/16/2018	MUELLNER, MARK	UBT MODERATE AGE BASED 13-14-A	150.00	4.50	0.00	4.50	90.0	4.05
01/16/2018	WELLINGTON, ERICA	UBT MODERATE AGE BASED 13-14-A	250.00	7.50	0.00	7.50	90.0	6.75
01/05/2018	LOPEZ, JOSE	UBT MODERATE AGE BASED 15-16-A	50.00	1.50	0.00	1.50	90.0	1.35
01/22/2018	GUIRAGOSSIAN, BETSY	UBT MODERATE AGE BASED 15-16-A	100.00	3.00	0.00	3.00	90.0	2.70
01/04/2018	ROSALES-HARRIGAN, ESTELA	UBT MODERATE AGE BASED 17-18-A	150.00	4.50	0.00	4.50	90.0	4.05
01/05/2018	LOPEZ, JOSE	UBT MODERATE AGE BASED 17-18-A	50.00	1.50	0.00	1.50	90.0	1.35
01/16/2018	ROSALES-HARRIGAN, ESTELA	UBT MODERATE AGE BASED 17-18-A	50.00	1.50	0.00	1.50	90.0	1.35
01/22/2018	GUIRAGOSSIAN, BETSY	UBT MODERATE AGE BASED 17-18-A	100.00	3.00	0.00	3.00	90.0	2.70
01/05/2018	LOPEZ, JOSE	UBT MODERATE AGE BASED 19+-A	50.00	1.50	0.00	1.50	90.0	1.35
<b>* 529 PLANS SUBTOTAL *</b>			<b>\$16,726.00</b>	<b>\$504.30</b>	<b>\$0.00</b>	<b>\$504.30</b>		<b>\$453.96</b>
<b><u>PRODUCT CATEGORY: MUTUAL FUNDS</u></b>								
01/22/2018	STETTER, MARIA	AM FUNDS AMCAP A	50.00	1.88	0.00	1.88	90.0	1.69
02/01/2018	KOVACH, ERIC	AM FUNDS AMCAP A	25.00	0.94	0.00	0.94	90.0	0.85
01/22/2018	STETTER, MARIA	AM FUNDS AMERICAN BALANCED A	50.00	1.88	0.00	1.88	90.0	1.69
02/01/2018	SANTOS, LOURDES	AM FUNDS AMERICAN BALANCED C	100.00	1.00	0.00	1.00	90.0	0.90
02/01/2018	FUSCO, JAMES	AM FUNDS EUROPACIFIC GROWTH FUND A	150.00	5.63	0.00	5.63	90.0	5.07
02/01/2018	ROLLINGER, LAUREN	AM FUNDS FUNDAMENTAL INVESTORS A	50.00	2.50	0.00	2.50	90.0	2.25
01/23/2018	JOHNSON, LISA	AM FUNDS GROWTH FUND OF AMERICA A	50.00	2.50	0.00	2.50	90.0	2.25
02/01/2018	FUSCO, JAMES	AM FUNDS GROWTH FUND OF AMERICA A	50.00	1.88	0.00	1.88	90.0	1.69
02/01/2018	KOVACH, ERIC	AM FUNDS GROWTH FUND OF AMERICA A	25.00	0.94	0.00	0.94	90.0	0.85
02/01/2018	MANSKE, DONNA	AM FUNDS GROWTH FUND OF AMERICA A	50.00	2.13	0.00	2.13	90.0	1.92
02/01/2018	ROLLINGER, JOHN	AM FUNDS GROWTH FUND OF AMERICA A	50.00	2.50	0.00	2.50	90.0	2.25
02/01/2018	KOVACH, ERIC	AM FUNDS ICA A	25.00	0.94	0.00	0.94	90.0	0.85
02/01/2018	MANSKE, DONNA	AM FUNDS ICA A	50.00	2.13	0.00	2.13	90.0	1.92

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<b><u>DIRECT TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: MUTUAL FUNDS</u></b>								
02/01/2018	KOVACH, ERIC	AM FUNDS SMALLCAP WORLD A	25.00	0.94	0.00	0.94	90.0	0.85
02/01/2018	LADUCA, BRIAN	FT CONSERVATIVE ALLOCATION C	50.00	0.50	0.00	0.50	90.0	0.45
02/01/2018	CHASE, LINDA	FT MODERATE ALLOCATION FUND C	100.00	1.00	0.00	1.00	90.0	0.90
02/01/2018	SANTOS, LOURDES	HARTFORD DIVIDEND & GROWTH C	50.00	0.50	0.00	0.50	90.0	0.45
02/01/2018	SANTOS, LOURDES	HARTFORD TOTAL RETURN BOND FUND C	50.00	0.50	0.00	0.50	90.0	0.45
<b>* MUTUAL FUNDS SUBTOTAL *</b>			<b>\$1,000.00</b>	<b>\$30.29</b>	<b>\$0.00</b>	<b>\$30.29</b>		<b>\$27.28</b>
<b><u>PRODUCT CATEGORY: VARIABLE ANNUITIES</u></b>								
02/01/2018	GALLESE, ALLISON	JNL ELITE ACCESS	500.00	26.25	0.00	26.25	90.0	23.63
01/30/2018	LOIKA, GREGORY	SBL ADVISOR PROGRAM	7,470.05	6.21	0.00	6.21	90.0	5.59
01/30/2018	LOIKA, JENNIFER	SBL ADVISOR PROGRAM	7,474.60	6.21	0.00	6.21	90.0	5.59
01/31/0208	EDUCATION, BOARD OF	VOYA RETIREMENT & ANNUITY	0.00	45.21	0.00	45.21	90.0	40.69
<b>* VARIABLE ANNUITIES SUBTOTAL *</b>			<b>\$15,444.65</b>	<b>\$83.88</b>	<b>\$0.00</b>	<b>\$83.88</b>		<b>\$75.50</b>
<b><u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u></b>								
01/31/2018	LADUCA, BRIAN	FT CONSERVATIVE ALLOCATION C	0.00	2.77	0.00	2.77	90.0	2.49
01/31/2018	MANSKE, DONNA	FT FOUNDING FUNDS ALLOC A	0.00	37.01	0.00	37.01	90.0	33.31
01/31/2018	RUNDELL, MARK	FT GROWTH ALLOC A	0.00	4.93	0.00	4.93	90.0	4.44
01/31/2018	BIEGERT, LAUREN	FT GROWTH ALLOC A	0.00	44.03	0.00	44.03	90.0	39.63
01/31/2018	WEIDENFELLER, KIRSTEN	FT GROWTH ALLOC A	0.00	2.76	0.00	2.76	90.0	2.48
01/31/2018	GREINER, CARRIE	FT GROWTH ALLOC A	0.00	1.20	0.00	1.20	90.0	1.08
01/31/2018	WILSON, JOE	FT GROWTH ALLOC A	0.00	2.40	0.00	2.40	90.0	2.16
01/31/2018	CHASE, LINDA	FT MODERATE ALLOCATION FUND C	0.00	31.52	0.00	31.52	90.0	28.37
/ /	HOGLUND, KRISTEN	HARTFORD BALANCED ALLOCATION FUND C	0.00	0.16	0.00	0.16	90.0	0.14
/ /	WILLIS, JUDE	HARTFORD BALANCED ALLOCATION FUND C	0.00	5.94	0.00	5.94	90.0	5.35
/ /	SANTOS, LOURDES	HARTFORD CAPITAL APPRECIATION C	0.00	3.35	0.00	3.35	90.0	3.02
/ /	MEYER, WILLIAM	HARTFORD CHECKS AND BALANCES FUND A	0.00	6.32	0.00	6.32	90.0	5.69
/ /	LOPEZ, JOSE	HARTFORD CHECKS AND BALANCES FUND A	0.00	6.64	0.00	6.64	90.0	5.98
/ /	RAY, SCOTT	HARTFORD CONSERVATIVE ALLOC C	0.00	2.92	0.00	2.92	90.0	2.63
/ /	SANTOS, LOURDES	HARTFORD DIVIDEND & GROWTH C	0.00	6.94	0.00	6.94	90.0	6.25
/ /	SANTOS, JAIMEE	HARTFORD FLOATING RATE C	0.00	11.63	0.00	11.63	90.0	10.47
/ /	BAXTER, KIMBERLY	HARTFORD GROWTH ALLOCATION A	0.00	0.28	0.00	0.28	90.0	0.25
/ /	EAR, SIEV	HARTFORD GROWTH ALLOCATION A	0.00	2.54	0.00	2.54	90.0	2.29
/ /	STEFFEN, NATHAN	HARTFORD GROWTH ALLOCATION A	0.00	5.53	0.00	5.53	90.0	4.98

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

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b><u>DIRECT TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u></b>								
/ /	BIEGERT, LAUREN	HARTFORD GROWTH ALLOCATION A	0.00	14.16	0.00	14.16	90.0	12.74
/ /	FLORES, KARINA	HARTFORD GROWTH ALLOCATION A	0.00	0.78	0.00	0.78	90.0	0.70
/ /	STEFFEN, NATHAN	HARTFORD GROWTH OPP A	0.00	2.07	0.00	2.07	90.0	1.86
/ /	DELLAPORTAS, VASILIS	HARTFORD TOTAL RETURN BOND A	0.00	1.86	0.00	1.86	90.0	1.67
/ /	SANTOS, LOURDES	HARTFORD TOTAL RETURN BOND FUND C	0.00	4.66	0.00	4.66	90.0	4.19
/ /	VOLKOBBER, SUSAN	UB TRUST FUND 60 A	0.00	7.81	0.00	7.81	90.0	7.03
/ /	REHMAN, AFSHAN	UB TRUST FUND 80 A	0.00	2.28	0.00	2.28	90.0	2.05
/ /	REHMAN, AFSHAN	UB TRUST FUND 80 A	0.00	0.48	0.00	0.48	90.0	0.43
/ /	REHMAN, AFSHAN	UB TRUST FUND 80 A	0.00	0.48	0.00	0.48	90.0	0.43
/ /	GERALDS, PAMELA	UB TRUST FUND 80 A	0.00	0.65	0.00	0.65	90.0	0.59
/ /	CROW, ELISSA	UB&T MODERATE AGE BASED 09-10-C	0.00	7.38	0.00	7.38	90.0	6.64
/ /	MOLBERGER, KIMBERLY	UBT AGGRESSIVE AGE BASED 0-02-A	0.00	0.24	0.00	0.24	90.0	0.22
/ /	ARATA, MATHEW	UBT AGGRESSIVE AGE BASED 03-05-A	0.00	2.50	0.00	2.50	90.0	2.25
/ /	SAAM, ROBERT	UBT AGGRESSIVE AGE BASED 06-08-A	0.00	4.11	0.00	4.11	90.0	3.70
/ /	MOLBERGER, KIMBERLY	UBT AGGRESSIVE AGE BASED 06-08-A	0.00	2.09	0.00	2.09	90.0	1.88
/ /	SAAM, ROBERT	UBT AGGRESSIVE AGE BASED 09-10-A	0.00	4.49	0.00	4.49	90.0	4.04
/ /	BAXTER, KIMBERLY	UBT AGGRESSIVE AGE BASED 09-10-A	0.00	1.21	0.00	1.21	90.0	1.09
/ /	MOLBERGER, KIMBERLY	UBT AGGRESSIVE AGE BASED 09-10-A	0.00	3.37	0.00	3.37	90.0	3.03
/ /	BAXTER, KIMBERLY	UBT AGGRESSIVE AGE BASED 11-12-A	0.00	1.54	0.00	1.54	90.0	1.39
/ /	WIRTZ, GRETCHEN	UBT AGGRESSIVE AGE BASED 11-12-A	0.00	1.36	0.00	1.36	90.0	1.22
/ /	ARIAS, MELISSA	UBT MODERATE AGE BASED 0-02-A	0.00	2.17	0.00	2.17	90.0	1.95
/ /	LAMPI, KEITH	UBT MODERATE AGE BASED 0-02-A	0.00	1.75	0.00	1.75	90.0	1.58
/ /	MARIQUINA, JACQUELINE	UBT MODERATE AGE BASED 0-02-A	0.00	0.18	0.00	0.18	90.0	0.16
/ /	MACK, ALEXANDER	UBT MODERATE AGE BASED 0-02-A	0.00	1.11	0.00	1.11	90.0	1.00
/ /	NORRIS, VALERIE	UBT MODERATE AGE BASED 0-02-A	0.00	1.00	0.00	1.00	90.0	0.90
/ /	BUERSTATTE, BRANDI	UBT MODERATE AGE BASED 0-02-A	0.00	0.14	0.00	0.14	90.0	0.13
/ /	ROLLINGER, LAUREN	UBT MODERATE AGE BASED 0-02-A	0.00	0.07	0.00	0.07	90.0	0.06
/ /	WASPI, GRANT	UBT MODERATE AGE BASED 0-02-A	0.00	0.10	0.00	0.10	90.0	0.09
/ /	MEGER, AMANDA	UBT MODERATE AGE BASED 0-02-A	0.00	0.02	0.00	0.02	90.0	0.02
/ /	TUCCINI, MELISSA	UBT MODERATE AGE BASED 0-02-A	0.00	0.05	0.00	0.05	90.0	0.05
/ /	TUCCINI, MELISSA	UBT MODERATE AGE BASED 0-02-A	0.00	0.05	0.00	0.05	90.0	0.05
/ /	DEUTSCH, SCOTT	UBT MODERATE AGE BASED 0-02-A	0.00	0.21	0.00	0.21	90.0	0.19
/ /	BRANNAN, JESSE	UBT MODERATE AGE BASED 0-02-A	0.00	1.77	0.00	1.77	90.0	1.59

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b><u>DIRECT TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u></b>								
/ /	GASPER, JAYSON	UBT MODERATE AGE BASED 0-02-A	0.00	0.02	0.00	0.02	90.0	0.02
/ /	BRANNAN, JESSE	UBT MODERATE AGE BASED 03-05-A	0.00	8.05	0.00	8.05	90.0	7.25
/ /	SISON, MARYBETH	UBT MODERATE AGE BASED 03-05-A	0.00	0.88	0.00	0.88	90.0	0.79
/ /	NORRIS, VALERIE	UBT MODERATE AGE BASED 03-05-A	0.00	10.45	0.00	10.45	90.0	9.41
/ /	CATANESE, JODY	UBT MODERATE AGE BASED 03-05-A	0.00	2.19	0.00	2.19	90.0	1.97
/ /	MARTIN, JOELLYN	UBT MODERATE AGE BASED 03-05-A	0.00	2.79	0.00	2.79	90.0	2.51
/ /	COLAN, MICHAEL	UBT MODERATE AGE BASED 03-05-A	0.00	0.77	0.00	0.77	90.0	0.69
/ /	ROLLINGER, LAUREN	UBT MODERATE AGE BASED 03-05-A	0.00	0.50	0.00	0.50	90.0	0.45
/ /	KADLEC, SABA	UBT MODERATE AGE BASED 03-05-A	0.00	0.05	0.00	0.05	90.0	0.05
/ /	WHITE, AMANDA	UBT MODERATE AGE BASED 03-05-A	0.00	1.58	0.00	1.58	90.0	1.42
/ /	ARIAS, MELISSA	UBT MODERATE AGE BASED 03-05-A	0.00	3.54	0.00	3.54	90.0	3.19
/ /	SAYRE, ROSS	UBT MODERATE AGE BASED 03-05-A	0.00	1.05	0.00	1.05	90.0	0.95
/ /	WILSON, JOE	UBT MODERATE AGE BASED 03-05-A	0.00	0.41	0.00	0.41	90.0	0.37
/ /	HARRIS, KRISTOFER	UBT MODERATE AGE BASED 03-05-A	0.00	0.05	0.00	0.05	90.0	0.05
/ /	BATTAGLIA, JULIE	UBT MODERATE AGE BASED 03-05-A	0.00	0.06	0.00	0.06	90.0	0.05
/ /	GREINER, PAUL	UBT MODERATE AGE BASED 03-05-A	0.00	4.32	0.00	4.32	90.0	3.89
/ /	GREINER, PAUL	UBT MODERATE AGE BASED 03-05-A	0.00	1.09	0.00	1.09	90.0	0.98
/ /	CATANESE, JODY	UBT MODERATE AGE BASED 03-05-A	0.00	1.37	0.00	1.37	90.0	1.23
/ /	REIDY, TIFFANY	UBT MODERATE AGE BASED 03-05-A	0.00	3.10	0.00	3.10	90.0	2.79
/ /	DEUTSCH, SCOTT	UBT MODERATE AGE BASED 03-05-A	0.00	5.32	0.00	5.32	90.0	4.79
/ /	BRANNAN, JESSE	UBT MODERATE AGE BASED 03-05-A	0.00	6.04	0.00	6.04	90.0	5.44
/ /	ARATA, MATHEW	UBT MODERATE AGE BASED 03-05-A	0.00	0.16	0.00	0.16	90.0	0.14
/ /	KUHN, NATHANIEL	UBT MODERATE AGE BASED 03-05-A	0.00	3.68	0.00	3.68	90.0	3.31
/ /	TUCKER, BRANDON	UBT MODERATE AGE BASED 03-05-A	0.00	2.58	0.00	2.58	90.0	2.32
/ /	ROLLINGER, LAUREN	UBT MODERATE AGE BASED 03-05-A	0.00	0.27	0.00	0.27	90.0	0.24
/ /	BUERSTATTE, BRANDI	UBT MODERATE AGE BASED 03-05-A	0.00	0.34	0.00	0.34	90.0	0.31
/ /	SILKAITIS, MYIA	UBT MODERATE AGE BASED 03-05-A	0.00	0.37	0.00	0.37	90.0	0.33
/ /	MARIQUINA, JACQUELINE	UBT MODERATE AGE BASED 03-05-A	0.00	0.12	0.00	0.12	90.0	0.11
/ /	MEGER, AMANDA	UBT MODERATE AGE BASED 03-05-A	0.00	0.10	0.00	0.10	90.0	0.09
/ /	KLABACHA, JASON	UBT MODERATE AGE BASED 06-08-A	0.00	3.67	0.00	3.67	90.0	3.30
/ /	MARTIN, JOELLYN	UBT MODERATE AGE BASED 06-08-A	0.00	3.63	0.00	3.63	90.0	3.27
/ /	KUHN, NATHANIEL	UBT MODERATE AGE BASED 06-08-A	0.00	6.42	0.00	6.42	90.0	5.78
/ /	SISON, MARYBETH	UBT MODERATE AGE BASED 06-08-A	0.00	1.10	0.00	1.10	90.0	0.99

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b><u>DIRECT TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u></b>								
/ /	BUERSTATTE, BRANDI	UBT MODERATE AGE BASED 06-08-A	0.00	2.83	0.00	2.83	90.0	2.55
/ /	CATANESE, ERIN	UBT MODERATE AGE BASED 06-08-A	0.00	8.40	0.00	8.40	90.0	7.56
/ /	SILKAITIS, MYIA	UBT MODERATE AGE BASED 06-08-A	0.00	2.11	0.00	2.11	90.0	1.90
/ /	LIM, SUSIE	UBT MODERATE AGE BASED 06-08-A	0.00	3.35	0.00	3.35	90.0	3.02
/ /	KLABACHA, JASON	UBT MODERATE AGE BASED 06-08-A	0.00	3.37	0.00	3.37	90.0	3.03
/ /	REIDY, TIFFANY	UBT MODERATE AGE BASED 06-08-A	0.00	4.52	0.00	4.52	90.0	4.07
/ /	BATTAGLIA, MICHAEL	UBT MODERATE AGE BASED 06-08-A	0.00	1.08	0.00	1.08	90.0	0.97
/ /	WIRTZ, GRETCHEN	UBT MODERATE AGE BASED 06-08-A	0.00	0.54	0.00	0.54	90.0	0.49
/ /	SAAM, ROBERT	UBT MODERATE AGE BASED 06-08-A	0.00	4.04	0.00	4.04	90.0	3.64
/ /	LAMPI, KEITH	UBT MODERATE AGE BASED 06-08-A	0.00	5.08	0.00	5.08	90.0	4.57
/ /	CATANESE, ERIN	UBT MODERATE AGE BASED 06-08-A	0.00	8.22	0.00	8.22	90.0	7.40
/ /	COLAN, MICHAEL	UBT MODERATE AGE BASED 06-08-A	0.00	0.75	0.00	0.75	90.0	0.68
/ /	MEYER, ELIZABETH	UBT MODERATE AGE BASED 06-08-A	0.00	0.01	0.00	0.01	90.0	0.01
/ /	MEYER, ELIZABETH	UBT MODERATE AGE BASED 06-08-A	0.00	0.32	0.00	0.32	90.0	0.29
/ /	GREINER, PAUL	UBT MODERATE AGE BASED 06-08-A	0.00	3.22	0.00	3.22	90.0	2.90
/ /	LAWLESS, JENNIFER	UBT MODERATE AGE BASED 06-08-A	0.00	0.91	0.00	0.91	90.0	0.82
/ /	CONTRERAS, ANDY	UBT MODERATE AGE BASED 06-08-A	0.00	0.27	0.00	0.27	90.0	0.24
/ /	CONTRERAS, ANDY	UBT MODERATE AGE BASED 06-08-A	0.00	0.27	0.00	0.27	90.0	0.24
/ /	SAYRE, MICHAEL	UBT MODERATE AGE BASED 06-08-A	0.00	1.22	0.00	1.22	90.0	1.10
/ /	SAYRE, MICHAEL	UBT MODERATE AGE BASED 06-08-A	0.00	1.22	0.00	1.22	90.0	1.10
/ /	HARRIS, KRISTOFER	UBT MODERATE AGE BASED 06-08-A	0.00	3.10	0.00	3.10	90.0	2.79
/ /	WILKINS, AARON	UBT MODERATE AGE BASED 06-08-A	0.00	3.89	0.00	3.89	90.0	3.50
/ /	LAMPI, KEITH	UBT MODERATE AGE BASED 06-08-A	0.00	7.03	0.00	7.03	90.0	6.33
/ /	BUERSTATTE, BRANDI	UBT MODERATE AGE BASED 06-08-A	0.00	3.61	0.00	3.61	90.0	3.25
/ /	CROW, ELISSA	UBT MODERATE AGE BASED 06-08-C	0.00	7.58	0.00	7.58	90.0	6.82
/ /	COLAN, MICHAEL	UBT MODERATE AGE BASED 09-10-A	0.00	1.29	0.00	1.29	90.0	1.16
/ /	LIEBERMAN, DAVID	UBT MODERATE AGE BASED 09-10-A	0.00	6.30	0.00	6.30	90.0	5.67
/ /	MUELLNER, MARK	UBT MODERATE AGE BASED 09-10-A	0.00	2.43	0.00	2.43	90.0	2.19
/ /	MUELLNER, MARK	UBT MODERATE AGE BASED 09-10-A	0.00	1.28	0.00	1.28	90.0	1.15
/ /	MEYER, ELIZABETH	UBT MODERATE AGE BASED 09-10-A	0.00	0.30	0.00	0.30	90.0	0.27
/ /	HARRIS, KRISTOFER	UBT MODERATE AGE BASED 09-10-A	0.00	3.98	0.00	3.98	90.0	3.58
/ /	LIEBERMAN, DAVID	UBT MODERATE AGE BASED 11-12-A	0.00	5.16	0.00	5.16	90.0	4.64
/ /	BATTAGLIA, MICHAEL	UBT MODERATE AGE BASED 11-12-A	0.00	2.70	0.00	2.70	90.0	2.43

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b><u>DIRECT TRANSACTIONS</u></b>								
<b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</b>								
/ /	MUELLNER, MARK	UBT MODERATE AGE BASED 11-12-A	0.00	1.08	0.00	1.08	90.0	0.97
/ /	HINTCH, ELIZABETH	UBT MODERATE AGE BASED 11-12-A	0.00	13.74	0.00	13.74	90.0	12.37
/ /	HIRSTIUS, KERRIE	UBT MODERATE AGE BASED 11-12-A	0.00	1.22	0.00	1.22	90.0	1.10
/ /	HIRSTIUS, KERRIE	UBT MODERATE AGE BASED 11-12-A	0.00	12.01	0.00	12.01	90.0	10.81
/ /	WELLINGTON, ERICA	UBT MODERATE AGE BASED 11-12-A	0.00	4.35	0.00	4.35	90.0	3.92
/ /	WILKINS, AARON	UBT MODERATE AGE BASED 11-12-A	0.00	5.28	0.00	5.28	90.0	4.75
/ /	STETTER, MARIA	UBT MODERATE AGE BASED 11-12-A	0.00	1.84	0.00	1.84	90.0	1.66
/ /	CROW, ELISSA	UBT MODERATE AGE BASED 11-12-C	0.00	7.04	0.00	7.04	90.0	6.34
/ /	MUELLNER, MARK	UBT MODERATE AGE BASED 13-14-A	0.00	2.23	0.00	2.23	90.0	2.01
/ /	WELLINGTON, ERICA	UBT MODERATE AGE BASED 13-14-A	0.00	4.82	0.00	4.82	90.0	4.34
/ /	LOPEZ, JOSE	UBT MODERATE AGE BASED 15-16-A	0.00	1.78	0.00	1.78	90.0	1.60
/ /	CONDE, CATHERINE	UBT MODERATE AGE BASED 15-16-A	0.00	0.93	0.00	0.93	90.0	0.84
/ /	GUIRAGOSSIAN, BETSY	UBT MODERATE AGE BASED 15-16-A	0.00	4.63	0.00	4.63	90.0	4.17
/ /	LOPEZ, JOSE	UBT MODERATE AGE BASED 17-18-A	0.00	1.65	0.00	1.65	90.0	1.49
/ /	GUIRAGOSSIAN, BETSY	UBT MODERATE AGE BASED 17-18-A	0.00	1.98	0.00	1.98	90.0	1.78
/ /	ROSALES-HARRIGAN, ESTELA	UBT MODERATE AGE BASED 17-18-A	0.00	3.71	0.00	3.71	90.0	3.34
/ /	LOPEZ, JOSE	UBT MODERATE AGE BASED 19+-A	0.00	1.47	0.00	1.47	90.0	1.32
<b>* MUTUAL FUND 12B1 TRAILS SUBTOTAL *</b>			<b>\$0.00</b>	<b>\$497.22</b>	<b>\$0.00</b>	<b>\$497.22</b>		<b>\$447.58</b>
<b>*** DIRECT TRANSACTIONS TOTAL ***</b>			<b>\$118,923.34</b>	<b>\$6,365.69</b>	<b>\$0.00</b>	<b>\$6,365.69</b>		<b>\$5,729.32</b>

**ADJUSTMENTS**

02/15/2018	*AI INSIGHT: CURRENT MONTH	0.00	-7.00
02/15/2018	*ALBRIDGE: FULL USER	0.00	-176.00
02/15/2018	*CREDIT CARD PYT: CREDIT CARD PYT	0.00	1,101.00
02/15/2018	*E & O INSURANCE: CURRENT MONTH INS	0.00	-300.00
02/15/2018	*GLOBAL RELAY: WEBSITE	0.00	-15.00
02/15/2018	*LASER APP: CURRENT MONTH	0.00	-18.00
02/15/2018	*PERSHING: MANDITORY REORG - SAAM	0.00	-10.00
02/15/2018	*TECH: ADMIN-K JALOWIECKI	0.00	-130.00
02/15/2018	*TECH: ADMIN-W CLARK	0.00	-130.00
02/15/2018	*TECHNOLOGY: ADMIN - MATT KUHN	0.00	-135.00

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
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ADJUSTMENTS

02/15/2018		*TECHNOLOGY: CURRENT MONTH BASIC	0.00					-180.00
		*** ADJUSTMENTS TOTAL ***	\$0.00	\$0.00	\$0.00	\$0.00		\$0.00

BROKER COMMISSION TOTALS

Broker Transactions	\$5,729.32
Split Transactions	\$0.00
Override Transactions	\$0.00
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	\$5,729.32
Year-to-date Gross	\$50,683.92
Year-to-date Earnings	\$45,615.83

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