

## COMMISSION STATEMENT

September 29, 2017

VAN DREGGE OLMSTEAD

10 RICHARDS DRIVE

BROKER #: 68

BRANCH: HOME OFFICE

WILMINGTON, DE 19810

## COMMISSION STATEMENT for VAN DREGGE OLMSTEAD

TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b>BROKER TRANSACTIONS</b>									
<b>PRODUCT CATEGORY: MUTUAL FUNDS</b>									
09/25/2017 (None)	VARIOUS, OLMSTEAD	AC ALTERNATIVES DISCIPLINED LONG SH B		0.00	1.00	0.00	1.00	70.0	0.00
09/05/2017 75501770	CHRISTIAN, SARA	CAPITAL WORLD GROWTH AND INCOME FUN S		800.00	0.00	0.00	0.00	70.0	0.00
09/05/2017 75501770	CHRISTIAN, SARA	EUROPACIFIC GROWTH FUND-A	S	7,400.00	0.00	0.00	0.00	70.0	0.00
09/05/2017 75501770	CHRISTIAN, SARA	THE GROWTH FUND OF AMERICA-A	S	2,000.00	0.00	0.00	0.00	70.0	0.00
09/20/2017 75501776	DERR, LEROY	**VIRTUS GLOBAL OPPORTUNITIES	S	49,763.13	0.00	0.00	0.00	70.0	0.00
09/20/2017 75501776	DERR, LEROY	**VIRTUS MULTI SECTOR SHORT	S	2,737.20	0.00	0.00	0.00	70.0	0.00
<b>* MUTUAL FUNDS SUBTOTAL *</b>				<b>\$62,700.33</b>	<b>\$1.00</b>	<b>\$0.00</b>	<b>\$1.00</b>		<b>\$0.00</b>

**PRODUCT CATEGORY: STOCKS**

08/01/2017 75501475	PETRONIS, GEORGE	VIEWRAY INC COM	B	2,430.00	121.39	0.00	121.39	70.0	84.97
09/19/2017 75501727	PENN, SHELDON	REGENERON PHARMACEUTICALS INC	S	6,434.53	0.00	0.00	0.00	70.0	0.00
09/19/2017 75501727	PENN, SHELDON	THOR INDS INC	B	6,823.80	0.00	0.00	0.00	70.0	0.00
09/21/2017 75501727	PENN, SHELDON	BROADCOM LIMITED SHS	S	3,597.46	0.00	0.00	0.00	70.0	0.00
09/21/2017 75501727	PENN, SHELDON	THOR INDS INC	B	3,487.41	0.00	0.00	0.00	70.0	0.00
09/19/2017 75501773	SMITH, GLENN	REGENERON PHARMACEUTICALS INC	S	4,289.68	0.00	0.00	0.00	70.0	0.00
09/19/2017 75501773	SMITH, GLENN	THOR INDS INC	B	3,980.55	0.00	0.00	0.00	70.0	0.00
09/21/2017 75501773	SMITH, GLENN	BROADCOM LIMITED SHS	S	2,398.30	0.00	0.00	0.00	70.0	0.00
09/21/2017 75501773	SMITH, GLENN	THOR INDS INC	B	2,324.94	0.00	0.00	0.00	70.0	0.00
09/19/2017 75501778	VORMWALD, G ROBERT	REGENERON PHARMACEUTICALS INC	S	10,724.21	0.00	0.00	0.00	70.0	0.00
09/19/2017 75501778	VORMWALD, G ROBERT	THOR INDS INC	B	10,804.35	0.00	0.00	0.00	70.0	0.00
09/21/2017 75501778	VORMWALD, G ROBERT	BROADCOM LIMITED SHS	S	7,194.91	0.00	0.00	0.00	70.0	0.00
09/21/2017 75501778	VORMWALD, G ROBERT	THOR INDS INC	B	5,231.12	0.00	0.00	0.00	70.0	0.00
09/19/2017 75501779	OLMSTEAD, VAN	REGENERON PHARMACEUTICALS INC	S	4,289.68	0.00	0.00	0.00	70.0	0.00
09/19/2017 75501779	OLMSTEAD, VAN	THOR INDS INC	B	3,980.55	0.00	0.00	0.00	70.0	0.00
09/21/2017 75501779	OLMSTEAD, VAN	BROADCOM LIMITED SHS	S	3,597.46	0.00	0.00	0.00	70.0	0.00
09/21/2017 75501779	OLMSTEAD, VAN	THOR INDS INC	B	2,324.94	0.00	0.00	0.00	70.0	0.00
09/19/2017 75501783	HALLAM, DONALD	REGENERON PHARMACEUTICALS INC	S	17,158.74	0.00	0.00	0.00	70.0	0.00
09/19/2017 75501783	HALLAM, DONALD	THOR INDS INC	B	17,059.50	0.00	0.00	0.00	70.0	0.00
09/21/2017 75501783	HALLAM, DONALD	BROADCOM LIMITED SHS	S	11,991.52	0.00	0.00	0.00	70.0	0.00
09/21/2017 75501783	HALLAM, DONALD	THOR INDS INC	B	8,718.53	0.00	0.00	0.00	70.0	0.00
09/22/2017 75501787	PETRONIS, GEORGE	DR PEPPER SNAPPLE GROUP INC COM ISI B		4,428.50	98.62	0.00	98.62	70.0	69.03

COMMISSION STATEMENT for VAN DREGGE OLMSTEAD

TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION	
BROKER TRANSACTIONS										
PRODUCT CATEGORY: STOCKS										
09/19/2017	75501790	SZANTO, PETER	REGENERON PHARMACEUTICALS INC	S	6,434.53	0.00	0.00	0.00	70.0	0.00
09/19/2017	75501790	SZANTO, PETER	THOR INDS INC	B	5,686.50	0.00	0.00	0.00	70.0	0.00
09/21/2017	75501790	SZANTO, PETER	BROADCOM LIMITED SHS	S	3,597.46	0.00	0.00	0.00	70.0	0.00
09/21/2017	75501790	SZANTO, PETER	THOR INDS INC	B	2,906.18	0.00	0.00	0.00	70.0	0.00
09/18/2017	75501791	SZANTO, PETER	ISHARES 7 TO 10 YEAR TREASURY BOND	B	2,144.96	0.00	0.00	0.00	70.0	0.00
09/18/2017	75501791	SZANTO, PETER	ISHARES FLOATING RATE BOND ETF	B	1,627.84	0.00	0.00	0.00	70.0	0.00
09/18/2017	75501791	SZANTO, PETER	ISHARES IBOXX \$ INVESTMENT GRADE CO B		1,691.48	0.00	0.00	0.00	70.0	0.00
09/18/2017	75501791	SZANTO, PETER	ISHARES INC MSCI EUROZONE ETF	S	5,120.58	0.00	0.00	0.00	70.0	0.00
09/18/2017	75501791	SZANTO, PETER	ISHARES MSCI EMERGING MARKETS ETF	S	4,628.08	0.00	0.00	0.00	70.0	0.00
09/18/2017	75501791	SZANTO, PETER	ISHARES TRUST ISHARES MSCI UNITED K B		9,242.41	0.00	0.00	0.00	70.0	0.00
09/19/2017	75501793	WITMAN, RUSSELL	REGENERON PHARMACEUTICALS INC	S	2,144.84	0.00	0.00	0.00	70.0	0.00
09/19/2017	75501793	WITMAN, RUSSELL	THOR INDS INC	B	2,274.60	0.00	0.00	0.00	70.0	0.00
09/21/2017	75501793	WITMAN, RUSSELL	BROADCOM LIMITED SHS	S	1,199.15	0.00	0.00	0.00	70.0	0.00
09/21/2017	75501793	WITMAN, RUSSELL	THOR INDS INC	B	1,162.47	0.00	0.00	0.00	70.0	0.00
09/19/2017	75501794	WITMAN, RUSSELL	REGENERON PHARMACEUTICALS INC	S	4,289.68	0.00	0.00	0.00	70.0	0.00
09/19/2017	75501794	WITMAN, RUSSELL	THOR INDS INC	B	4,549.20	0.00	0.00	0.00	70.0	0.00
09/21/2017	75501794	WITMAN, RUSSELL	BROADCOM LIMITED SHS	S	3,597.46	0.00	0.00	0.00	70.0	0.00
09/21/2017	75501794	WITMAN, RUSSELL	THOR INDS INC	B	2,324.94	0.00	0.00	0.00	70.0	0.00
09/19/2017	75501805	BARBARAS, GLEN	REGENERON PHARMACEUTICALS INC	S	4,289.68	0.00	0.00	0.00	70.0	0.00
09/19/2017	75501805	BARBARAS, GLEN	THOR INDS INC	B	4,549.20	0.00	0.00	0.00	70.0	0.00
09/21/2017	75501805	BARBARAS, GLEN	BROADCOM LIMITED SHS	S	2,398.30	0.00	0.00	0.00	70.0	0.00
09/21/2017	75501805	BARBARAS, GLEN	THOR INDS INC	B	1,743.71	0.00	0.00	0.00	70.0	0.00
09/19/2017	75501808	WRIGHT, PAMELA	REGENERON PHARMACEUTICALS INC	S	4,289.68	0.00	0.00	0.00	70.0	0.00
09/19/2017	75501808	WRIGHT, PAMELA	THOR INDS INC	B	2,843.25	0.00	0.00	0.00	70.0	0.00
09/21/2017	75501808	WRIGHT, PAMELA	BROADCOM LIMITED SHS	S	2,398.30	0.00	0.00	0.00	70.0	0.00
09/21/2017	75501808	WRIGHT, PAMELA	THOR INDS INC	B	1,743.71	0.00	0.00	0.00	70.0	0.00
09/19/2017	75501817	GELLIS, HOWARD	REGENERON PHARMACEUTICALS INC	S	23,593.26	0.00	0.00	0.00	70.0	0.00
09/19/2017	75501817	GELLIS, HOWARD	THOR INDS INC	B	23,314.65	0.00	0.00	0.00	70.0	0.00
09/21/2017	75501817	GELLIS, HOWARD	BROADCOM LIMITED SHS	S	15,588.98	0.00	0.00	0.00	70.0	0.00
09/21/2017	75501817	GELLIS, HOWARD	THOR INDS INC	B	11,043.47	0.00	0.00	0.00	70.0	0.00
09/19/2017	75501822	KLAHN, ROBERT	REGENERON PHARMACEUTICALS INC	S	4,289.68	0.00	0.00	0.00	70.0	0.00
09/19/2017	75501822	KLAHN, ROBERT	THOR INDS INC	B	4,549.20	0.00	0.00	0.00	70.0	0.00
09/21/2017	75501822	KLAHN, ROBERT	BROADCOM LIMITED SHS	S	3,597.46	0.00	0.00	0.00	70.0	0.00
09/21/2017	75501822	KLAHN, ROBERT	THOR INDS INC	B	2,324.94	0.00	0.00	0.00	70.0	0.00
09/19/2017	75501858	REMINGTON, THOMAS	REGENERON PHARMACEUTICALS INC	S	10,724.21	0.00	0.00	0.00	70.0	0.00
09/19/2017	75501858	REMINGTON, THOMAS	THOR INDS INC	B	10,804.35	0.00	0.00	0.00	70.0	0.00
09/21/2017	75501858	REMINGTON, THOMAS	BROADCOM LIMITED SHS	S	5,995.76	0.00	0.00	0.00	70.0	0.00
09/21/2017	75501858	REMINGTON, THOMAS	THOR INDS INC	B	5,231.12	0.00	0.00	0.00	70.0	0.00
09/19/2017	75501861	BENJAMIN, WAYNE	REGENERON PHARMACEUTICALS INC	S	4,289.68	0.00	0.00	0.00	70.0	0.00
09/19/2017	75501861	BENJAMIN, WAYNE	THOR INDS INC	B	5,117.85	0.00	0.00	0.00	70.0	0.00

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<b><u>BROKER TRANSACTIONS</u></b>									
<b><u>PRODUCT CATEGORY: STOCKS</u></b>									
09/21/2017	75501861 BENJAMIN, WAYNE	BROADCOM LIMITED SHS	S	3,597.46	0.00	0.00	0.00	70.0	0.00
09/21/2017	75501861 BENJAMIN, WAYNE	THOR INDS INC	B	2,324.94	0.00	0.00	0.00	70.0	0.00
09/19/2017	75501870 ESKENAZI, PHOEBE	REGENERON PHARMACEUTICALS INC	S	2,144.84	0.00	0.00	0.00	70.0	0.00
09/19/2017	75501870 ESKENAZI, PHOEBE	THOR INDS INC	B	2,843.25	0.00	0.00	0.00	70.0	0.00
09/21/2017	75501870 ESKENAZI, PHOEBE	BROADCOM LIMITED SHS	S	2,398.30	0.00	0.00	0.00	70.0	0.00
09/21/2017	75501870 ESKENAZI, PHOEBE	THOR INDS INC	B	1,162.47	0.00	0.00	0.00	70.0	0.00
09/19/2017	75501884 MARTIN, KATHY	REGENERON PHARMACEUTICALS INC	S	8,579.37	0.00	0.00	0.00	70.0	0.00
09/19/2017	75501884 MARTIN, KATHY	THOR INDS INC	B	7,392.45	0.00	0.00	0.00	70.0	0.00
09/21/2017	75501884 MARTIN, KATHY	BROADCOM LIMITED SHS	S	4,796.61	0.00	0.00	0.00	70.0	0.00
09/21/2017	75501884 MARTIN, KATHY	THOR INDS INC	B	4,068.65	0.00	0.00	0.00	70.0	0.00
09/19/2017	75501888 KAYLOR, KEVIN	REGENERON PHARMACEUTICALS INC	S	2,144.84	0.00	0.00	0.00	70.0	0.00
09/19/2017	75501888 KAYLOR, KEVIN	THOR INDS INC	B	1,705.95	0.00	0.00	0.00	70.0	0.00
09/20/2017	75501888 KAYLOR, KEVIN	AGRIUM INC	S	539.85	0.00	0.00	0.00	70.0	0.00
09/20/2017	75501888 KAYLOR, KEVIN	CELANESE CORPORATION SERIES A	S	521.35	0.00	0.00	0.00	70.0	0.00
09/20/2017	75501888 KAYLOR, KEVIN	HEICO CORPORATION	S	444.25	0.00	0.00	0.00	70.0	0.00
09/20/2017	75501888 KAYLOR, KEVIN	LAM RESEARCH CORP	S	863.10	0.00	0.00	0.00	70.0	0.00
09/20/2017	75501888 KAYLOR, KEVIN	NORTHROP GRUMMAN CORP	S	1,400.90	0.00	0.00	0.00	70.0	0.00
09/21/2017	75501888 KAYLOR, KEVIN	BROADCOM LIMITED SHS	S	1,199.15	0.00	0.00	0.00	70.0	0.00
09/19/2017	75501890 KAYLOR, KEVIN	REGENERON PHARMACEUTICALS INC	S	10,724.21	0.00	0.00	0.00	70.0	0.00
09/19/2017	75501890 KAYLOR, KEVIN	THOR INDS INC	B	9,667.05	0.00	0.00	0.00	70.0	0.00
09/21/2017	75501890 KAYLOR, KEVIN	BROADCOM LIMITED SHS	S	5,995.76	0.00	0.00	0.00	70.0	0.00
09/21/2017	75501890 KAYLOR, KEVIN	THOR INDS INC	B	4,649.88	0.00	0.00	0.00	70.0	0.00
09/19/2017	75501914 NATASHA RAJ AHUJA	REGENERON PHARMACEUTICALS INC	S	4,289.68	0.00	0.00	0.00	70.0	0.00
09/19/2017	75501914 NATASHA RAJ AHUJA	THOR INDS INC	B	4,549.20	0.00	0.00	0.00	70.0	0.00
09/21/2017	75501914 NATASHA RAJ AHUJA	BROADCOM LIMITED SHS	S	3,597.46	0.00	0.00	0.00	70.0	0.00
09/21/2017	75501914 NATASHA RAJ AHUJA	THOR INDS INC	B	2,324.94	0.00	0.00	0.00	70.0	0.00
09/19/2017	75501946 ANYA P AHUJA 1999	REGENERON PHARMACEUTICALS INC	S	4,289.68	0.00	0.00	0.00	70.0	0.00
09/19/2017	75501946 ANYA P AHUJA 1999	THOR INDS INC	B	4,549.20	0.00	0.00	0.00	70.0	0.00
09/21/2017	75501946 ANYA P AHUJA 1999	BROADCOM LIMITED SHS	S	3,597.46	0.00	0.00	0.00	70.0	0.00
09/21/2017	75501946 ANYA P AHUJA 1999	THOR INDS INC	B	2,324.94	0.00	0.00	0.00	70.0	0.00
09/19/2017	75501953 MCCRAY, ROBIN	REGENERON PHARMACEUTICALS INC	S	4,289.68	0.00	0.00	0.00	70.0	0.00
09/19/2017	75501953 MCCRAY, ROBIN	THOR INDS INC	B	3,411.90	0.00	0.00	0.00	70.0	0.00
09/21/2017	75501953 MCCRAY, ROBIN	BROADCOM LIMITED SHS	S	2,398.30	0.00	0.00	0.00	70.0	0.00
09/21/2017	75501953 MCCRAY, ROBIN	THOR INDS INC	B	1,743.71	0.00	0.00	0.00	70.0	0.00
09/19/2017	75501960 BLUE PELICAN LLC	REGENERON PHARMACEUTICALS INC	S	17,158.74	0.00	0.00	0.00	70.0	0.00
09/19/2017	75501960 BLUE PELICAN LLC	THOR INDS INC	B	17,628.15	0.00	0.00	0.00	70.0	0.00
09/21/2017	75501960 BLUE PELICAN LLC	BROADCOM LIMITED SHS	S	11,991.52	0.00	0.00	0.00	70.0	0.00
09/21/2017	75501960 BLUE PELICAN LLC	THOR INDS INC	B	8,718.53	0.00	0.00	0.00	70.0	0.00
<b>* STOCKS SUBTOTAL *</b>				<b>\$538,641.20</b>	<b>\$220.01</b>	<b>\$0.00</b>	<b>\$220.01</b>		<b>\$154.00</b>

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TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION		
BROKER TRANSACTIONS											
PRODUCT CATEGORY: OPTIONS											
09/01/2017	75501726 PENN, SHELDON	CALL DLPH	11/17/17	82.50	S	4,800.00	96.38	0.00	96.38	70.0	67.47
09/01/2017	75501726 PENN, SHELDON	CALL FSLR	09/01/17	47	S	54.00	27.00	0.00	27.00	70.0	0.00
09/05/2017	75501726 PENN, SHELDON	PUT APC	11/17/17	50	S	2,520.00	72.62	0.00	72.62	70.0	50.83
09/05/2017	75501726 PENN, SHELDON	PUT DIS	01/19/18	105	B	1,977.00	64.53	0.00	64.53	70.0	45.17
09/05/2017	75501726 PENN, SHELDON	PUT GILD	11/17/17	77.50	S	456.00	37.50	0.00	37.50	70.0	0.00
09/11/2017	75501726 PENN, SHELDON	CALL DRI	01/19/18	80	S	1,200.00	45.00	0.00	45.00	70.0	0.00
09/11/2017	75501726 PENN, SHELDON	CALL SYMC	01/19/18	29	B	2,050.00	76.88	0.00	76.88	70.0	53.82
09/11/2017	75501726 PENN, SHELDON	CALL VFC	11/17/17	57.50	S	1,770.00	61.41	0.00	61.41	70.0	42.99
09/18/2017	75501726 PENN, SHELDON	CALL DPZ	01/19/18	185	B	5,562.00	109.06	0.00	109.06	70.0	76.34
09/18/2017	75501726 PENN, SHELDON	CALL INFO	10/20/17	40	S	2,190.00	67.74	0.00	67.74	70.0	47.42
09/21/2017	75501726 PENN, SHELDON	PUT ALNY	12/15/17	105	S	3,550.00	97.26	0.00	97.26	70.0	68.08
09/25/2017	75501726 PENN, SHELDON	CALL EXPE	01/19/18	140	B	3,900.00	87.00	0.00	87.00	70.0	60.90
09/28/2017	75501726 PENN, SHELDON	PUT PSX	02/16/18	82.50	S	420.00	37.50	0.00	37.50	70.0	0.00
* OPTIONS SUBTOTAL *						\$30,449.00	\$879.88	\$0.00	\$879.88		\$513.02
PRODUCT CATEGORY: VARIABLE ANNUITIES											
09/05/2017	(None) VARIOUS, OLMSTEAD	JACKSON			B	0.00	137.07	0.00	137.07	70.0	95.95
09/08/2017	(None) VARIOUS, OLMSTEAD	LINCOLN			B	0.00	107.23	0.00	107.23	70.0	75.06
09/12/2017	(None) VARIOUS, OLMSTEAD	JOHN HANCOCK			B	0.00	290.02	0.00	290.02	70.0	203.01
* VARIABLE ANNUITIES SUBTOTAL *						\$0.00	\$534.32	\$0.00	\$534.32		\$374.02
PRODUCT CATEGORY: MISCELLANEOUS											
09/29/2017	VARIOUS, OLMSTEAD	ADVISORY INCOME			B	0.00	19,474.00	0.00	19,474.00	70.0	13,631.80
* MISCELLANEOUS SUBTOTAL *						\$0.00	\$19,474.00	\$0.00	\$19,474.00		\$13,631.80
PRODUCT CATEGORY: RIA											
09/21/2017	75501769 CHRISTIAN, SARA	FAS FEES			B	41.44	-41.44	0.00	-41.44	70.0	0.00
* RIA SUBTOTAL *						\$41.44	\$-41.44	\$0.00	\$-41.44		\$0.00
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS											
09/12/2017	75501393 BORISH, MURIEL	**VIRTUS MULTI SECTOR SHORT			B	0.00	18.68	0.00	18.68	70.0	13.08
09/12/2017	75501461 OLMSTEAD, ELIZABETH	**VIRTUS GLOBAL OPPORTUNITIES			B	0.00	2.33	0.00	2.33	70.0	1.63
09/12/2017	75501462 OLMSTEAD, ELIZABETH	**VIRTUS GLOBAL OPPORTUNITIES			B	0.00	0.80	0.00	0.80	70.0	0.00
09/12/2017	75501463 ZWASKIS, CAROLYN	**VIRTUS GLOBAL OPPORTUNITIES			B	0.00	0.88	0.00	0.88	70.0	0.00
09/12/2017	75501474 PETRONIS, GEORGE	**VIRTUS MULTI SECTOR SHORT			B	0.00	17.38	0.00	17.38	70.0	12.17
09/12/2017	75501498 LESTARDO, AVON	**VIRTUS GLOBAL OPPORTUNITIES			B	0.00	8.94	0.00	8.94	70.0	6.26
09/12/2017	75501498 LESTARDO, AVON	**VIRTUS MULTI ASSET TREND			B	0.00	1.03	0.00	1.03	70.0	0.72
09/12/2017	75501498 LESTARDO, AVON	CAPITAL WORLD GROWTH AND INCOME FUN	B			0.00	2.68	0.00	2.68	70.0	1.88
09/12/2017	75501498 LESTARDO, AVON	FRANKLIN INCOME FUND CLASS A			B	0.00	0.05	0.00	0.05	70.0	0.00
09/12/2017	75501499 LESTARDO, AVON	**VIRTUS GLOBAL OPPORTUNITIES			B	0.00	0.48	0.00	0.48	70.0	0.00
09/12/2017	75501499 LESTARDO, AVON	**VIRTUS MULTI SECTOR SHORT			B	0.00	2.06	0.00	2.06	70.0	1.44

COMMISSION STATEMENT for VAN DREGGE OLMSTEAD

TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>BROKER TRANSACTIONS</u>									
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>									
09/12/2017	75501499	LESTARDO, AVON		CAPITAL WORLD GROWTH AND INCOME FUN B	0.00	2.03	0.00	2.03	70.0 1.42
09/12/2017	75501499	LESTARDO, AVON		FEDERATED WORLD INVT SER INC INTL S B	0.00	10.86	0.00	10.86	70.0 7.60
09/12/2017	75501499	LESTARDO, AVON		FRANKLIN INCOME FUND CLASS A B	0.00	1.74	0.00	1.74	70.0 1.22
09/12/2017	75501502	MATHEUS, JEANMARIE		**VIRTUS GLOBAL OPPORTUNITIES B	0.00	3.56	0.00	3.56	70.0 2.49
09/12/2017	75501610	VORMWALD, G ROBERT		**VIRTUS EQUITY TREND FUND B	0.00	4.20	0.00	4.20	70.0 2.94
09/12/2017	75501610	VORMWALD, G ROBERT		FRK UTIL FND - CL A B	0.00	2.63	0.00	2.63	70.0 1.84
09/12/2017	75501611	VORMWALD, G ROBERT		**VIRTUS EQUITY TREND FUND B	0.00	1.40	0.00	1.40	70.0 0.98
09/12/2017	75501612	VORMWALD, KATHLEEN		**VIRTUS EQUITY TREND FUND B	0.00	3.36	0.00	3.36	70.0 2.35
09/12/2017	75501613	VORMWALD, KATHLEEN		**VIRTUS EQUITY TREND FUND B	0.00	1.12	0.00	1.12	70.0 0.78
09/12/2017	75501614	VORMWALD, KATHLEEN		**VIRTUS EQUITY TREND FUND B	0.00	8.39	0.00	8.39	70.0 5.87
09/12/2017	75501614	VORMWALD, KATHLEEN		CAPITAL WORLD GROWTH AND INCOME FUN B	0.00	12.37	0.00	12.37	70.0 8.66
09/12/2017	75501726	PENN, SHELDON		**VIRTUS MULTI SECTOR SHORT B	0.00	22.78	0.00	22.78	70.0 15.95
09/12/2017	75501726	PENN, SHELDON		JANUS GLOBAL UNCONSTRAINED BOND FUN B	0.00	4.33	0.00	4.33	70.0 3.03
09/12/2017	75501729	PENN, ELAYNE		**VIRTUS EQUITY TREND FUND B	0.00	4.12	0.00	4.12	70.0 2.88
09/12/2017	75501729	PENN, ELAYNE		**VIRTUS MULTI SECTOR SHORT B	0.00	6.57	0.00	6.57	70.0 4.60
09/12/2017	75501729	PENN, ELAYNE		GOLDMAN SACHS TR RISING DIVIDEND GR B	0.00	1.73	0.00	1.73	70.0 1.21
09/12/2017	75501729	PENN, ELAYNE		LORD ABBETT MID CAP STOCK FUND INC B	0.00	24.24	0.00	24.24	70.0 16.97
09/12/2017	75501730	PENN, ELAYNE		FRANKLIN INCOME FUND CLASS C B	0.00	1.35	0.00	1.35	70.0 0.95
09/12/2017	75501735	GARNETT, ALFRED		DAVIS NEW YORK VENTURE CLASS A B	0.00	3.12	0.00	3.12	70.0 2.18
09/12/2017	75501770	CHRISTIAN, SARA		CAPITAL WORLD GROWTH AND INCOME FUN B	0.00	7.90	0.00	7.90	70.0 5.53
09/12/2017	75501770	CHRISTIAN, SARA		EUROPACIFIC GROWTH FUND-A B	0.00	74.59	0.00	74.59	70.0 52.21
09/12/2017	75501770	CHRISTIAN, SARA		THE GROWTH FUND OF AMERICA-A B	0.00	20.34	0.00	20.34	70.0 14.24
09/12/2017	75501775	SMITH, GLENN		**VIRTUS EQUITY TREND FUND B	0.00	5.49	0.00	5.49	70.0 3.84
09/12/2017	75501776	DERR, LEROY		**VIRTUS GLOBAL OPPORTUNITIES B	0.00	10.40	0.00	10.40	70.0 7.28
09/12/2017	75501776	DERR, LEROY		**VIRTUS MULTI SECTOR SHORT B	0.00	0.68	0.00	0.68	70.0 0.00
09/12/2017	75501787	PETRONIS, GEORGE		**VIRTUS GLOBAL OPPORTUNITIES B	0.00	20.47	0.00	20.47	70.0 14.33
09/12/2017	75501792	WITMAN, RUSSELL		**VIRTUS MULTI SECTOR SHORT B	0.00	1.82	0.00	1.82	70.0 1.27
09/12/2017	75501806	BARBARAS, GLEN		**VIRTUS MULTI ASSET TREND B	0.00	47.86	0.00	47.86	70.0 33.50
09/12/2017	75501806	BARBARAS, GLEN		BLACKROCK GLOBAL ALLOCATION FUND IN B	0.00	29.62	0.00	29.62	70.0 20.73
09/12/2017	75501809	WRIGHT, PAMELA		**VIRTUS GLOBAL OPPORTUNITIES B	0.00	26.51	0.00	26.51	70.0 18.56
09/12/2017	75501819	KLAHN, ROBERT		**VIRTUS EQUITY TREND FUND B	0.00	19.81	0.00	19.81	70.0 13.87
09/12/2017	75501819	KLAHN, ROBERT		**VIRTUS GLOBAL OPPORTUNITIES B	0.00	54.47	0.00	54.47	70.0 38.13
09/12/2017	75501819	KLAHN, ROBERT		**VIRTUS MULTI SECTOR SHORT B	0.00	23.75	0.00	23.75	70.0 16.63
09/12/2017	75501819	KLAHN, ROBERT		FEDERATED GLOBAL ALLOCATION FUND CL B	0.00	4.22	0.00	4.22	70.0 2.95
09/12/2017	75501819	KLAHN, ROBERT		JANUS GLOBAL UNCONSTRAINED BOND FUN B	0.00	64.94	0.00	64.94	70.0 45.46
09/12/2017	75501831	COLACINO, JOSEPH		**VIRTUS GLOBAL OPPORTUNITIES B	0.00	9.81	0.00	9.81	70.0 6.87
09/12/2017	75501842	STRAUGHN, SARAH		**GUGGENHEIM FDS TR B	0.00	3.12	0.00	3.12	70.0 2.18
09/12/2017	75501842	STRAUGHN, SARAH		**VIRTUS EQUITY TREND FUND B	0.00	6.83	0.00	6.83	70.0 4.78
09/12/2017	75501842	STRAUGHN, SARAH		**VIRTUS MULTI ASSET TREND B	0.00	9.33	0.00	9.33	70.0 6.53
09/12/2017	75501842	STRAUGHN, SARAH		**VIRTUS MULTI SECTOR SHORT B	0.00	38.33	0.00	38.33	70.0 26.83

COMMISSION STATEMENT for VAN DREGGE OLMSTEAD

TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION	
BROKER TRANSACTIONS										
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS										
09/12/2017	75501842	STRAUGHN, SARAH		FEDERATED MUN SECS INCOME TR HIGH Y B	0.00	5.13	0.00	5.13	70.0	3.59
09/12/2017	75501842	STRAUGHN, SARAH		JANUS GLOBAL UNCONSTRAINED BOND FUN B	0.00	12.99	0.00	12.99	70.0	9.09
09/12/2017	75501844	STRAUGHN, SARAH		**VIRTUS EQUITY TREND FUND B	0.00	0.81	0.00	0.81	70.0	0.00
09/12/2017	75501844	STRAUGHN, SARAH		LORD ABBETT MID CAP STOCK FUND INC B	0.00	60.42	0.00	60.42	70.0	42.29
09/12/2017	75501844	STRAUGHN, SARAH		LORD ABBETT AFFILIATED FUND INC-CL B	0.00	42.33	0.00	42.33	70.0	29.63
09/12/2017	75501846	STRAUGHN, SARAH		TEMP WORLD FND - CL A B	0.00	7.19	0.00	7.19	70.0	5.03
09/12/2017	75501846	STRAUGHN, SARAH		THE GROWTH FUND OF AMERICA-A B	0.00	16.12	0.00	16.12	70.0	11.28
09/12/2017	75501846	STRAUGHN, SARAH		THE INVESTMENT COMPANY OF AMERICA-A B	0.00	16.77	0.00	16.77	70.0	11.74
09/12/2017	75501863	BENJAMIN, WAYNE		**VIRTUS EQUITY TREND FUND B	0.00	9.76	0.00	9.76	70.0	6.83
09/12/2017	75501863	BENJAMIN, WAYNE		CAPITAL WORLD GROWTH AND INCOME FUN B	0.00	28.09	0.00	28.09	70.0	19.66
09/12/2017	75501863	BENJAMIN, WAYNE		RYDEX SER FDS S&P 500 2X STRATEGY C B	0.00	35.60	0.00	35.60	70.0	24.92
09/12/2017	75501864	BENJAMIN, WAYNE		**VIRTUS EQUITY TREND FUND B	0.00	2.19	0.00	2.19	70.0	1.53
09/12/2017	75501864	BENJAMIN, WAYNE		CAPITAL WORLD GROWTH AND INCOME FUN B	0.00	6.92	0.00	6.92	70.0	4.84
09/12/2017	75501864	BENJAMIN, WAYNE		RYDEX SECTOR ROTATION FUND CLASS C B	0.00	3.50	0.00	3.50	70.0	2.45
09/12/2017	75501864	BENJAMIN, WAYNE		RYDEX SER FDS S&P 500 2X STRATEGY C B	0.00	20.17	0.00	20.17	70.0	14.12
09/12/2017	75501864	BENJAMIN, WAYNE		RYDEX SER FDS NOVA FD CL C B	0.00	5.30	0.00	5.30	70.0	3.71
09/12/2017	75501865	BENJAMIN, WAYNE		AMCAP FUND-A B	0.00	5.93	0.00	5.93	70.0	4.15
09/12/2017	75501865	BENJAMIN, WAYNE		RYDEX SECTOR ROTATION FUND CLASS C B	0.00	0.34	0.00	0.34	70.0	0.00
09/12/2017	75501871	ESKENAZI, PHOEBE		**VIRTUS GLOBAL OPPORTUNITIES B	0.00	3.98	0.00	3.98	70.0	2.79
09/12/2017	75501871	ESKENAZI, PHOEBE		CAPITAL WORLD GROWTH AND INCOME FUN B	0.00	3.10	0.00	3.10	70.0	2.17
09/12/2017	75501871	ESKENAZI, PHOEBE		LORD ABBETT MID CAP STOCK FUND INC B	0.00	66.09	0.00	66.09	70.0	46.26
09/08/2017	75501872	ESKENAZI, PHOEBE		DELAWARE GROUP HIGH YIELD OPPORTUNI B	0.00	0.83	0.00	0.83	70.0	0.00
09/12/2017	75501872	ESKENAZI, PHOEBE		**VIRTUS EQUITY TREND FUND B	0.00	3.22	0.00	3.22	70.0	2.25
09/12/2017	75501872	ESKENAZI, PHOEBE		AMCAP FUND-A B	0.00	3.31	0.00	3.31	70.0	2.32
09/12/2017	75501872	ESKENAZI, PHOEBE		CAPITAL WORLD GROWTH AND INCOME FUN B	0.00	1.04	0.00	1.04	70.0	0.73
09/12/2017	75501872	ESKENAZI, PHOEBE		FUNDAMENTAL INVESTORS-A B	0.00	3.16	0.00	3.16	70.0	2.21
09/12/2017	75501880	WINDETT, ROSE		**VIRTUS EQUITY TREND FUND B	0.00	0.68	0.00	0.68	70.0	0.00
09/12/2017	75501881	MARTIN, KATHY		JANUS INVT FD BALANCED FD CL C B	0.00	41.75	0.00	41.75	70.0	29.23
09/12/2017	75501882	MARTIN, KATHY		**VIRTUS GLOBAL OPPORTUNITIES B	0.00	6.79	0.00	6.79	70.0	4.75
09/12/2017	75501886	MARTIN, KATHY		**VIRTUS GLOBAL OPPORTUNITIES B	0.00	9.72	0.00	9.72	70.0	6.80
09/12/2017	75501886	MARTIN, KATHY		**VIRTUS MULTI ASSET TREND B	0.00	10.35	0.00	10.35	70.0	7.25
09/12/2017	75501891	KAYLOR, KEVIN		**VIRTUS GLOBAL OPPORTUNITIES B	0.00	11.76	0.00	11.76	70.0	8.23
09/12/2017	75501891	KAYLOR, KEVIN		LORD ABBETT MID CAP STOCK FUND INC B	0.00	10.93	0.00	10.93	70.0	7.65
09/12/2017	75501892	KAYLOR, KRISTENE		**VIRTUS GLOBAL OPPORTUNITIES B	0.00	4.56	0.00	4.56	70.0	3.19
09/12/2017	75501893	KLAHN, ROBERT		**VIRTUS EQUITY TREND FUND B	0.00	2.28	0.00	2.28	70.0	1.60
09/12/2017	75501910	RUTTER, DOUGLAS		**VIRTUS GLOBAL OPPORTUNITIES B	0.00	5.04	0.00	5.04	70.0	3.53
09/12/2017	75501911	RUTTER, KENNETH		**VIRTUS GLOBAL OPPORTUNITIES B	0.00	5.06	0.00	5.06	70.0	3.54
09/12/2017	75501915	SPARRE, GERI		**VIRTUS GLOBAL OPPORTUNITIES B	0.00	9.37	0.00	9.37	70.0	6.56
09/12/2017	75501927	VASSALOTTI, MARYANN		JANUS INVT FD BALANCED FD CL C B	0.00	18.48	0.00	18.48	70.0	12.94
09/12/2017	75501928	GELLIS, HOWARD		**VIRTUS GLOBAL OPPORTUNITIES B	0.00	10.24	0.00	10.24	70.0	7.17

COMMISSION STATEMENT for VAN DREGGE OLMSTEAD

TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION		
BROKER TRANSACTIONS											
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS											
09/12/2017	75501935	STAUFFER, EDWARD		RYDEX SERIES FDS EUROPE 1.25X STRAT B	0.00	0.60	0.00	0.60	70.0	0.00	
09/20/2017	75501935	STAUFFER, EDWARD		**KINETICS PARADIGM FUND	B	0.00	1.21	0.00	1.21	70.0	0.85
09/12/2017	75501938	ROSENBERG, DAVID		**VIRTUS EQUITY TREND FUND	B	0.00	2.70	0.00	2.70	70.0	1.89
09/12/2017	75501938	ROSENBERG, DAVID		**VIRTUS MULTI ASSET TREND	B	0.00	10.13	0.00	10.13	70.0	7.09
09/12/2017	75501938	ROSENBERG, DAVID		AMERICAN MUTUAL FUND-A	B	0.00	38.58	0.00	38.58	70.0	27.01
09/12/2017	75501939	ROSENBERG, ELAINE		**VIRTUS MULTI ASSET TREND	B	0.00	1.50	0.00	1.50	70.0	1.05
09/12/2017	75501940	ROSENBERG, ELAINE		**VIRTUS EQUITY TREND FUND	B	0.00	6.76	0.00	6.76	70.0	4.73
09/12/2017	75501940	ROSENBERG, ELAINE		**VIRTUS MULTI ASSET TREND	B	0.00	4.63	0.00	4.63	70.0	3.24
09/12/2017	75501941	GIBBS, REBECCA		**VIRTUS EQUITY TREND FUND	B	0.00	2.38	0.00	2.38	70.0	1.67
09/12/2017	75501943	GIBBS, REBECCA		**VIRTUS EQUITY TREND FUND	B	0.00	4.20	0.00	4.20	70.0	2.94
09/12/2017	75501943	GIBBS, REBECCA		TEMPLETON GROWTH FUND CLASS A	B	0.00	2.29	0.00	2.29	70.0	1.60
09/12/2017	75501955	PENN, EVA		**GUGGENHEIM FDS TR	B	0.00	0.93	0.00	0.93	70.0	0.00
09/12/2017	75501955	PENN, EVA		**VIRTUS MULTI SECTOR SHORT	B	0.00	4.89	0.00	4.89	70.0	3.42
09/12/2017	75501955	PENN, EVA		FRANKLIN INCOME FUND CLASS A	B	0.00	2.42	0.00	2.42	70.0	1.69
09/12/2017	75501955	PENN, EVA		LORD ABBETT MID CAP STOCK FUND INC	B	0.00	24.96	0.00	24.96	70.0	17.47
09/12/2017	75501955	PENN, EVA		LORD ABBETT AFFILIATED FUND INC-CL	B	0.00	17.38	0.00	17.38	70.0	12.17
09/12/2017	75501955	PENN, EVA		ROCHESTER NATIONAL MUNICIPALS A	B	0.00	2.48	0.00	2.48	70.0	1.74
09/12/2017	75501956	PENN, EVA		**VIRTUS EQUITY TREND FUND	B	0.00	5.49	0.00	5.49	70.0	3.84
09/12/2017	75501956	PENN, EVA		LORD ABBETT MID CAP STOCK FUND INC	B	0.00	25.67	0.00	25.67	70.0	17.97
09/12/2017	75501956	PENN, EVA		LORD ABBETT AFFILIATED FUND INC-CL	B	0.00	9.99	0.00	9.99	70.0	6.99
09/12/2017	75501956	PENN, EVA		RYDEX SECTOR ROTATION FUND CLASS C	B	0.00	8.37	0.00	8.37	70.0	5.86
09/12/2017	75501957	PENN, EVA		**VIRTUS MULTI ASSET TREND	B	0.00	1.20	0.00	1.20	70.0	0.84
09/12/2017	75501967	BENJAMIN, WAYNE		**VIRTUS GLOBAL OPPORTUNITIES	B	0.00	6.58	0.00	6.58	70.0	4.61
09/12/2017	75501997	LESTARDO, EUGENE		**VIRTUS GLOBAL OPPORTUNITIES	B	0.00	3.56	0.00	3.56	70.0	2.49
09/12/2017	75501997	LESTARDO, EUGENE		CAPITAL WORLD GROWTH AND INCOME FUN	B	0.00	3.31	0.00	3.31	70.0	2.32
09/12/2017	75502039	SMITH, DAYNE		**VIRTUS MULTI ASSET TREND	B	0.00	57.52	0.00	57.52	70.0	40.26
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *					\$0.00	\$1,416.53	\$0.00	\$1,416.53		\$986.59	
*** BROKER TRANSACTIONS TOTAL ***					\$631,831.97	\$22,484.30	\$0.00	\$22,484.30		\$15,659.43	

COMMISSION STATEMENT for VAN DREGGE OLMSTEAD

TRADE DATE	CLIENT	INVESTMENT	B/S	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
ADJUSTMENTS									
09/29/2017		DEUNC:UNBUNDLED NEW ACCT FEE (LPCM)		0.00	0.00	0.00	0.00		11.88
09/29/2017		OTHER: OTHER--RBC		0.00	0.00	0.00	0.00		-2,777.06
09/29/2017		OTHER: OTHER--AAM		0.00	0.00	0.00	0.00		-4,061.58
09/29/2017		OTHER: OTHER--ERROR		0.00	0.00	0.00	0.00		-434.00
09/29/2017		OTHER: OTHER--ADJUSTMENT MADE BY RB		0.00	0.00	0.00	0.00		-29.01
*** ADJUSTMENTS TOTAL ***				\$0.00	\$0.00	\$0.00	\$0.00		\$-7,289.77

BROKER COMMISSION TOTALS

Broker Transactions	\$15,659.43
Split Transactions	\$0.00
Override Transactions	\$0.00
Adjustments	\$-7,289.77
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$0.00
FINRA Assessment	\$-3.76
SIPC Assessment	\$-7.53

Check Amount	\$8,358.37
Year-to-date Earnings	\$60,443.65