



Concorde Investment Services, LLC
COMMISSION STATEMENT
January 15, 2018

01/12/2018
Page No. 1

DELMAR (BO)-M143 MCKINNEY
5 Red Bud Trail

BROKER #: M143
BRANCH: EAGLE WEALTH MANAGEM

Round Rock, TX 78655-

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>CLEARING TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
01/05/2018	ASPRA, TRISSA	AM FUNDS AMCAP A	75.00	3.19	12.00	-8.81	90.0	-7.93
01/05/2018	ASPRA, TRISSA	AM FUNDS GROWTH FUND OF AMERICA A	75.00	3.19	12.00	-8.81	90.0	-7.93
01/02/2018	LAWHON, JACKIE	AM FUNDS WASHINGTON MUTUAL INVESTOR	-500.00	0.00	12.00	-12.00	90.0	-10.80
* MUTUAL FUNDS SUBTOTAL *			\$-350.00	\$6.38	\$36.00	\$-29.62		\$-26.66
*** CLEARING TRANSACTIONS TOTAL ***			\$-350.00	\$6.38	\$36.00	\$-29.62		\$-26.66

<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: 1031 EXCHANGES</u>								
12/29/2017	FUESSEL HOLDINGS LLC	STARBOARD LEMON GROVE DST	69,610.00	4,177.11	0.00	4,177.11	90.0	3,759.40
* 1031 EXCHANGES SUBTOTAL *			\$69,610.00	\$4,177.11	\$0.00	\$4,177.11		\$3,759.40

<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
12/29/2017	ENOCHS, LELAND	AM FUNDS EUROPACIFIC GROWTH FUND A	105.00	2.10	0.00	2.10	90.0	1.89
12/29/2017	ENOCHS, LELAND	AM FUNDS EUROPACIFIC GROWTH FUND A	270.82	5.42	0.00	5.42	90.0	4.88
12/29/2017	ENOCHS, DONNA	AM FUNDS EUROPACIFIC GROWTH FUND A	8.25	0.17	0.00	0.17	90.0	0.15
12/29/2017	ENOCHS, DONNA	AM FUNDS EUROPACIFIC GROWTH FUND A	253.96	5.08	0.00	5.08	90.0	4.57
12/29/2017	ENOCHS, LELAND	AM FUNDS FUNDAMENTAL INVESTORS A	105.00	2.10	0.00	2.10	90.0	1.89
12/29/2017	ENOCHS, LELAND	AM FUNDS FUNDAMENTAL INVESTORS A	270.84	5.42	0.00	5.42	90.0	4.88
12/29/2017	ENOCHS, DONNA	AM FUNDS FUNDAMENTAL INVESTORS A	8.25	0.17	0.00	0.17	90.0	0.15
12/29/2017	ENOCHS, DONNA	AM FUNDS FUNDAMENTAL INVESTORS A	253.96	5.08	0.00	5.08	90.0	4.57
12/29/2017	ENOCHS, LELAND	AM FUNDS GROWTH FUND OF AMERICA A	105.00	2.10	0.00	2.10	90.0	1.89
12/29/2017	ENOCHS, LELAND	AM FUNDS GROWTH FUND OF AMERICA A	270.84	5.42	0.00	5.42	90.0	4.88
12/29/2017	BRUECKNER, KIMBERLY	AM FUNDS GROWTH FUND OF AMERICA A	325.00	3.90	0.00	3.90	90.0	3.51
12/29/2017	ENOCHS, DONNA	AM FUNDS GROWTH FUND OF AMERICA A	8.25	0.17	0.00	0.17	90.0	0.15
12/29/2017	ENOCHS, DONNA	AM FUNDS GROWTH FUND OF AMERICA A	253.96	5.08	0.00	5.08	90.0	4.57
12/29/2017	ENOCHS, LELAND	AM FUNDS WASHINGTON MUTUAL INVESTOR	105.00	2.10	0.00	2.10	90.0	1.89

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

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
12/29/2017	ENOCHS, LELAND	AM FUNDS WASHINGTON MUTUAL INVESTOR	270.84	5.42	0.00	5.42	90.0	4.88
12/29/2017	ENOCHS, DONNA	AM FUNDS WASHINGTON MUTUAL INVESTOR	8.25	0.17	0.00	0.17	90.0	0.15
12/29/2017	ENOCHS, DONNA	AM FUNDS WASHINGTON MUTUAL INVESTOR	253.97	5.08	0.00	5.08	90.0	4.57
* MUTUAL FUNDS SUBTOTAL *			\$2,877.19	\$54.98	\$0.00	\$54.98		\$49.47
<u>PRODUCT CATEGORY: VARIABLE ANNUITIES</u>								
12/31/2017	ESCHBERGER, AGNES	AM GEN POLIRIS II FLEXIBLE	280,983.79	280.98	0.00	280.98	90.0	252.88
01/01/2018	HERNANDEZ, JOHN	ANCHOR ADVISOR 11 FLEX	52,789.42	131.97	0.00	131.97	90.0	118.77
01/01/2018	BLAHA, TRONA	ANCHOR ADVISOR 11 FLEX	1,352,684.33	3,381.71	0.00	3,381.71	90.0	3,043.54
12/29/2017	LAWHON, JACKIE	DIRECTOR ACCESS 416588614	4,853.79	12.13	0.00	12.13	90.0	10.92
12/29/2017	CUMMINGS, ROBERT	DIRECTOR ACCESS 416588614	609,545.58	1,523.86	0.00	1,523.86	90.0	1,371.47
12/29/2017	STAGNER, JEAN	DIRECTOR V 416594521	3,361.19	3.36	0.00	3.36	90.0	3.02
12/29/2017	POTH, VIVIAN	FED TRIPLE CROWN VA	6,021.17	6.02	0.00	6.02	90.0	5.42
12/29/2017	LOGHRY, DORIS	FED TRIPLE CROWN VA	21,840.92	21.84	0.00	21.84	90.0	19.66
12/29/2017	NAIZER, JOHNNIE	FED TRIPLE CROWN VA 34956F786	9,374.62	9.37	0.00	9.37	90.0	8.43
12/29/2017	LUEDTKE, LOIS	HARTFORD DIRECTOR VI (ILA)	424,558.86	424.56	0.00	424.56	90.0	382.10
12/29/2017	FUESSEL, NORMAN	HARTFORD DIRECTOR VI (ILA)	213,474.43	213.47	0.00	213.47	90.0	192.12
12/29/2017	WILSON, MARY	HARTFORD DIRECTOR VI (ILA)	70,693.24	70.69	0.00	70.69	90.0	63.62
12/29/2017	TAISLER, JESSE	HARTFORD DIRECTOR VI (ILA)	7,910.80	7.91	0.00	7.91	90.0	7.12
12/29/2017	ROSIPAL, HERBERT	HARTFORD DIRECTOR VI (ILA)	2,541.70	2.54	0.00	2.54	90.0	2.29
12/29/2017	MASON, JOHN	HARTFORD DIRECTOR VI (ILA)	36,606.25	36.61	0.00	36.61	90.0	32.95
12/29/2017	LUEDTKE, LOIS	HARTFORD DIRECTOR VI (ILA)	212,866.13	212.87	0.00	212.87	90.0	191.58
12/29/2017	BARTOSH, PATRICIA	HARTFORD DIRECTOR VI (ILA)	2,742.37	2.74	0.00	2.74	90.0	2.47
12/29/2017	ROSIPAL, ADELE	HARTFORD DIRECTOR VI (ILA)	3,306.01	3.31	0.00	3.31	90.0	2.98
12/29/2017	CUMMINGS, ROBERT	HARTFORD DIRECTOR VII (ILA)	4,141.91	2.59	0.00	2.59	90.0	2.33
12/29/2017	NAIZER, JOHNNIE	HARTFORD DIRECTOR VII (ILA)	23,358.65	14.60	0.00	14.60	90.0	13.14
12/29/2017	ESCHBERGER, AGNES	HARTFORD DIRECTOR VII (ILA)	121,859.94	76.16	0.00	76.16	90.0	68.54
12/29/2017	ESCHBERGER, AGNES	HARTFORD DIRECTOR VII (ILA)	63,830.31	39.89	0.00	39.89	90.0	35.90
12/29/2017	SIMCIK, CHESTER	HARTFORD DIRECTOR VII (ILA)	102,433.30	64.02	0.00	64.02	90.0	57.62
12/29/2017	LAWHON, STEVEN	HARTFORD LEADERS	61,259.42	38.29	0.00	38.29	90.0	34.46
12/29/2017	MARKERT, DOROTHY	HARTFORD LEADERS	4,819.96	3.01	0.00	3.01	90.0	2.71
12/29/2017	PEKAR, DAVID	HARTFORD LEADERS	70,671.46	44.17	0.00	44.17	90.0	39.75
12/29/2017	STOLLE, KATHERINE	HARTFORD LEADERS	27,401.32	17.13	0.00	17.13	90.0	15.42
12/29/2017	FERGUSON, LINDA	HARTFORD LEADERS (ILA)	100,441.85	62.78	0.00	62.78	90.0	56.50

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: VARIABLE ANNUITIES</u>								
12/29/2017	ESCHBERGER, AGNES	HARTFORD LEADERS (ILA)	285,826.47	178.64	0.00	178.64	90.0	160.78
12/29/2017	SIMCIK, CHESTER	HARTFORD LEADERS (ILA)	98,014.47	61.26	0.00	61.26	90.0	55.13
12/29/2017	MORRIS, JANINE	HARTFORD LEADERS 2	113,303.86	70.81	0.00	70.81	90.0	63.73
12/29/2017	ROSIPAL, HERBERT	HARTFORD LEADERS 2	3,188.08	1.99	0.00	1.99	90.0	1.79
12/29/2017	STAGNER, JEAN	HARTFORD LEADERS 2	147,379.95	92.11	0.00	92.11	90.0	82.90
12/29/2017	KLEMT, WILLIAM	HARTFORD LEADERS 2	92,600.67	57.88	0.00	57.88	90.0	52.09
12/29/2017	KELLEY, DOLORES	HARTFORD LEADERS 2	3,709.84	2.32	0.00	2.32	90.0	2.09
12/29/2017	GORDON, HENRIETTA	HARTFORD LEADERS 2	181,128.63	113.21	0.00	113.21	90.0	101.89
12/29/2017	KORNEGAY, ALISA	HARTFORD LEADERS EDGE 41659Q324	406,897.96	254.31	0.00	254.31	90.0	228.88
12/29/2017	KORNEGAY, ALISA	HARTFORD LEADERS EDGE 41659Q324	79,015.99	49.38	0.00	49.38	90.0	44.44
12/29/2017	BLAHA, TRONA	HARTFORD LEADERS EDGE 41659Q324	136,483.92	85.30	0.00	85.30	90.0	76.77
12/29/2017	WILSON, MARY	HARTFORD LEADERS EDGE 41659Q324	240,383.55	150.24	0.00	150.24	90.0	135.22
12/29/2017	BARTOSH, PATRICIA	HARTFORD LEADERS EDGE 41659Q324	62,422.19	39.01	0.00	39.01	90.0	35.11
12/29/2017	DROMGOOLE, NONA	HARTFORD LEADERS OUTLOOK 2	443,695.99	1,109.24	0.00	1,109.24	90.0	998.32
12/29/2017	KLEMT, RUTH	HARTFORD LIFE DIRECTOR 8	159,198.97	99.50	0.00	99.50	90.0	89.55
12/31/2017	MASON, JOHN	JNL PERSPECTIVE ADV II 5/05	463,962.67	386.64	0.00	386.64	90.0	347.98
12/31/2017	MASON, JOHN	JNL PERSPECTIVE L	461,573.23	384.64	0.00	384.64	90.0	346.18
12/31/2017	PEMBERTON, PATRICIA	JOHN HANCOCK VENTURE	19,715.66	4.11	0.00	4.11	90.0	3.70
12/31/2017	MCKINNEY-BO, VARIOUS	LINCOLN BENEFIT LIFE	0.00	1,051.08	0.00	1,051.08	90.0	945.97
12/29/2017	NAIZER, JOHNNIE	PHCM VI 416588408	2,108.12	1.32	0.00	1.32	90.0	1.19
12/31/2017	PRAESEL, ARTHUR	PRU AS APEX II	276,231.55	172.64	0.00	172.64	90.0	155.38
12/31/2017	PRAESEL, ARTHUR	PRU AS APEX II	276,231.55	690.58	0.00	690.58	90.0	621.52
12/31/2017	MCRIGHT, WILLIAM	PRU AS XTRA CREDIT	3,109.82	1.94	0.00	1.94	90.0	1.75
12/31/2017	MCELROY, BENNETT	PRU PREMIER RETIREMENT L	77,102.51	192.76	0.00	192.76	90.0	173.48
12/31/2017	MCCALL, DONNA	PRU XTRA CREDIT EIGHT	663,341.20	414.59	0.00	414.59	90.0	373.13
12/29/2017	ESCHBERGER, AGNES	THE DIRECTOR M EDGE	277,497.86	173.44	0.00	173.44	90.0	156.10
12/29/2017	ESCHBERGER, AGNES	THE DIRECTOR M EDGE	250,477.98	156.55	0.00	156.55	90.0	140.90
* VARIABLE ANNUITIES SUBTOTAL *			\$9,120,975.41	\$12,704.07	\$0.00	\$12,704.07		\$11,433.68

PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS

12/11/2017	BUROW, PAUL	ALLIANCEBERNSTEIN INTL VALUE A	0.00	0.93	0.00	0.93	90.0	0.84
12/14/2017	WIESNER, BETTY	AM CENT EQUITY INCOME	0.00	3.04	0.00	3.04	90.0	2.74
12/15/2017	ROSENTHAL, LUCILLE	AM FUNDS AMCAP A	0.00	12.46	0.00	12.46	90.0	11.21
12/15/2017	LUEDTKE, LOIS	AM FUNDS AMCAP A	0.00	12.54	0.00	12.54	90.0	11.29

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
12/15/2017	ASPRA, TRISSA	AM FUNDS AMCAP A	0.00	2.74	0.00	2.74	90.0	2.47
12/15/2017	NMN & NJN MGMT TRUST	AM FUNDS AMCAP A	0.00	1.65	0.00	1.65	90.0	1.49
12/15/2017	MICHNA, RHYS	AM FUNDS AMCAP A	0.00	1.38	0.00	1.38	90.0	1.24
12/15/2017	SCOTT, MONYEAN	AM FUNDS AMCAP A	0.00	28.55	0.00	28.55	90.0	25.70
12/15/2017	GREER, GREGORY	AM FUNDS AMCAP A	0.00	5.91	0.00	5.91	90.0	5.32
12/15/2017	GREER, GREGORY	AM FUNDS AMCAP A	0.00	5.90	0.00	5.90	90.0	5.31
12/15/2017	SPECKELS, MELBA	AM FUNDS AMERICAN BALANCED A	0.00	1.26	0.00	1.26	90.0	1.13
12/15/2017	GREER, GREGORY	AM FUNDS AMERICAN BALANCED A	0.00	1.72	0.00	1.72	90.0	1.55
12/15/2017	GREER, GREGORY	AM FUNDS AMERICAN BALANCED A	0.00	2.00	0.00	2.00	90.0	1.80
12/15/2017	FUESSEL, NORMAN	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	3.28	0.00	3.28	90.0	2.95
12/15/2017	FUESSEL NE & NA TR, NORMAN	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	34.32	0.00	34.32	90.0	30.89
12/15/2017	SPECKELS, MELBA	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	1.60	0.00	1.60	90.0	1.44
12/15/2017	ROSENTHAL, LUCILLE	AM FUNDS AMERICAN MUTUAL A	0.00	18.68	0.00	18.68	90.0	16.81
12/15/2017	FUESSEL IRREV TR, NORMAN	AM FUNDS AMERICAN MUTUAL A	0.00	8.59	0.00	8.59	90.0	7.73
12/15/2017	NMN & NJN MGMT TRUST	AM FUNDS AMERICAN MUTUAL A	0.00	0.99	0.00	0.99	90.0	0.89
12/15/2017	SCOTT, MONYEAN	AM FUNDS AMERICAN MUTUAL A	0.00	24.11	0.00	24.11	90.0	21.70
12/15/2017	IVICIC, MARY	AM FUNDS AMERICAN MUTUAL A	0.00	2.85	0.00	2.85	90.0	2.57
12/15/2017	CHEATHAM, JIMMY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	11.18	0.00	11.18	90.0	10.06
12/15/2017	PRAESEL, ARTHUR	AM FUNDS CAPITAL INCOME BUILDER A	0.00	21.56	0.00	21.56	90.0	19.40
12/15/2017	ROSENTHAL, LUCILLE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	33.35	0.00	33.35	90.0	30.02
12/15/2017	FUESSEL, NORMAN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	20.55	0.00	20.55	90.0	18.50
12/15/2017	FUESSEL NE & NA TR, NORMAN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	18.78	0.00	18.78	90.0	16.90
12/15/2017	BRUECKNER, KIMBERLY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	5.37	0.00	5.37	90.0	4.83
12/15/2017	KELLEY, DOLORES	AM FUNDS CAPITAL INCOME BUILDER A	0.00	6.23	0.00	6.23	90.0	5.61
12/15/2017	LOGHRY, DORIS	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.06	0.00	0.06	90.0	0.05
12/15/2017	PEKAR, DAVID	AM FUNDS CAPITAL INCOME BUILDER A	0.00	7.71	0.00	7.71	90.0	6.94
12/15/2017	SPECKELS, WARREN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.37	0.00	1.37	90.0	1.23
12/15/2017	SPECKELS, MELBA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	2.04	0.00	2.04	90.0	1.84
12/15/2017	BRANSON, BARBARA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	3.25	0.00	3.25	90.0	2.93
12/15/2017	MORRIS, JANINE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	9.16	0.00	9.16	90.0	8.24
12/15/2017	SCOTT, MONYEAN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	21.31	0.00	21.31	90.0	19.18
12/15/2017	GREER, GREGORY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.39	0.00	1.39	90.0	1.25
12/15/2017	GREER, GREGORY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.62	0.00	1.62	90.0	1.46

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
12/15/2017	URBAN, LONNIE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.52	0.00	1.52	90.0	1.37
12/15/2017	MOORE, TERRY	AM FUNDS CAPITAL INCOME BUILDER C	0.00	33.05	0.00	33.05	90.0	29.75
12/15/2017	ROSENTHAL, LUCILLE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	31.86	0.00	31.86	90.0	28.67
12/15/2017	FUESSEL IRREV TR, NORMAN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	8.85	0.00	8.85	90.0	7.97
12/15/2017	BRUECKNER, KIMBERLY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	15.57	0.00	15.57	90.0	14.01
12/15/2017	KELLEY, DOLORES	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	5.21	0.00	5.21	90.0	4.69
12/15/2017	NMN & NJN MGMT TRUST	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.18	0.00	1.18	90.0	1.06
12/15/2017	SCOTT, MONYEAN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	31.87	0.00	31.87	90.0	28.68
12/15/2017	HOHMAN, JEROME	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	9.28	0.00	9.28	90.0	8.35
12/15/2017	DROMGOOLE, NONA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	6.38	0.00	6.38	90.0	5.74
12/15/2017	GREER, GREGORY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	4.56	0.00	4.56	90.0	4.10
12/15/2017	GREER, GREGORY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	4.56	0.00	4.56	90.0	4.10
12/15/2017	URBAN, LONNIE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.73	0.00	1.73	90.0	1.56
12/15/2017	IVICIC, MARY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.33	0.00	1.33	90.0	1.20
12/15/2017	FUESSEL NE & NA TR, NORMAN	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	19.19	0.00	19.19	90.0	17.27
12/15/2017	LUEDTKE, LOIS	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	18.08	0.00	18.08	90.0	16.27
12/15/2017	KELLEY, DOLORES	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	4.65	0.00	4.65	90.0	4.19
12/15/2017	GREER, GREGORY	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	1.33	0.00	1.33	90.0	1.20
12/15/2017	GREER, GREGORY	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	1.57	0.00	1.57	90.0	1.41
12/15/2017	ROSENTHAL, LUCILLE	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	39.89	0.00	39.89	90.0	35.90
12/15/2017	BRUECKNER, KIMBERLY	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	19.92	0.00	19.92	90.0	17.93
12/15/2017	NMN & NJN MGMT TRUST	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.61	0.00	1.61	90.0	1.45
12/15/2017	SCOTT, MONYEAN	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	40.37	0.00	40.37	90.0	36.33
12/15/2017	DROMGOOLE, NONA	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	7.59	0.00	7.59	90.0	6.83
12/15/2017	GREER, GREGORY	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	3.77	0.00	3.77	90.0	3.39
12/15/2017	GREER, GREGORY	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	3.94	0.00	3.94	90.0	3.55
12/15/2017	EWING LIVING TRUST, JACK &	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	7.23	0.00	7.23	90.0	6.51
12/15/2017	IVICIC, MARY	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	3.62	0.00	3.62	90.0	3.26
12/15/2017	ROSENTHAL, LUCILLE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	13.36	0.00	13.36	90.0	12.02
12/15/2017	FUESSEL IRREV TR, NORMAN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	53.33	0.00	53.33	90.0	48.00
12/15/2017	LUEDTKE, LOIS	AM FUNDS GROWTH FUND OF AMERICA A	0.00	39.13	0.00	39.13	90.0	35.22
12/15/2017	ASPRA, TRISSA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	2.99	0.00	2.99	90.0	2.69
12/15/2017	BRUECKNER, KIMBERLY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	20.45	0.00	20.45	90.0	18.41

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
12/15/2017	ROSIPAL, HERBERT	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.13	0.00	0.13	90.0	0.12
12/15/2017	KELLEY, DOLORES	AM FUNDS GROWTH FUND OF AMERICA A	0.00	6.02	0.00	6.02	90.0	5.42
12/15/2017	LAWHON, JACKIE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.40	0.00	0.40	90.0	0.36
12/15/2017	NMN & NJN MGMT TRUST	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.63	0.00	1.63	90.0	1.47
12/15/2017	BORGNE JR, ROBERT	AM FUNDS GROWTH FUND OF AMERICA A	0.00	7.00	0.00	7.00	90.0	6.30
12/15/2017	LAWHON, STEVEN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	7.10	0.00	7.10	90.0	6.39
12/15/2017	SPECKELS, WARREN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	2.14	0.00	2.14	90.0	1.93
12/15/2017	MICHNA, RHYS	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.36	0.00	1.36	90.0	1.22
12/15/2017	MORRIS, JANINE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	19.50	0.00	19.50	90.0	17.55
12/15/2017	SCOTT, MONYEAN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	41.89	0.00	41.89	90.0	37.70
12/15/2017	LAWHON, BRAEDEN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.89	0.00	0.89	90.0	0.80
12/15/2017	DROMGOOLE, NONA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	7.83	0.00	7.83	90.0	7.05
12/15/2017	GREER, GREGORY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	7.53	0.00	7.53	90.0	6.78
12/15/2017	GREER, GREGORY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	7.37	0.00	7.37	90.0	6.63
12/15/2017	MOORE, TERRY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	2.34	0.00	2.34	90.0	2.11
12/15/2017	OHE, DRAKE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.25	0.00	1.25	90.0	1.13
12/15/2017	OHE, EUGENIA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.83	0.00	0.83	90.0	0.75
12/15/2017	URBAN, LONNIE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	2.22	0.00	2.22	90.0	2.00
12/15/2017	LAWHON, MAISEN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.62	0.00	0.62	90.0	0.56
12/15/2017	IVICIC, MARY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	3.28	0.00	3.28	90.0	2.95
12/15/2017	DROMGOOLE, NONA	AM FUNDS ICA A	0.00	6.23	0.00	6.23	90.0	5.61
12/15/2017	EWING JR, JACK	AM FUNDS ICA A	0.00	9.05	0.00	9.05	90.0	8.15
12/15/2017	CHEATHAM, JIMMY	AM FUNDS INCOME FUND OF AMERICA A	0.00	10.84	0.00	10.84	90.0	9.76
12/15/2017	PRAESEL, ARTHUR	AM FUNDS INCOME FUND OF AMERICA A	0.00	26.09	0.00	26.09	90.0	23.48
12/15/2017	ROSENTHAL, LUCILLE	AM FUNDS INCOME FUND OF AMERICA A	0.00	39.05	0.00	39.05	90.0	35.15
12/15/2017	FUESSEL, NORMAN	AM FUNDS INCOME FUND OF AMERICA A	0.00	19.89	0.00	19.89	90.0	17.90
12/15/2017	FUESSEL NE & NA TR, NORMAN	AM FUNDS INCOME FUND OF AMERICA A	0.00	17.72	0.00	17.72	90.0	15.95
12/15/2017	BRUECKNER, KIMBERLY	AM FUNDS INCOME FUND OF AMERICA A	0.00	10.52	0.00	10.52	90.0	9.47
12/15/2017	KELLEY, DOLORES	AM FUNDS INCOME FUND OF AMERICA A	0.00	5.03	0.00	5.03	90.0	4.53
12/15/2017	SPECKELS, MELBA	AM FUNDS INCOME FUND OF AMERICA A	0.00	2.00	0.00	2.00	90.0	1.80
12/15/2017	FISCHER, HAROLD	AM FUNDS INCOME FUND OF AMERICA A	0.00	1.61	0.00	1.61	90.0	1.45
12/15/2017	HAMITER, DONNIE	AM FUNDS INCOME FUND OF AMERICA A	0.00	8.52	0.00	8.52	90.0	7.67
12/15/2017	MORRIS, JANINE	AM FUNDS INCOME FUND OF AMERICA A	0.00	13.67	0.00	13.67	90.0	12.30

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
12/15/2017	SCOTT, MONYAN	AM FUNDS INCOME FUND OF AMERICA A	0.00	28.27	0.00	28.27	90.0	25.44
12/15/2017	KLEMT, RUTH	AM FUNDS INCOME FUND OF AMERICA A	0.00	1.81	0.00	1.81	90.0	1.63
12/15/2017	WILSON, MARY	AM FUNDS INCOME FUND OF AMERICA A	0.00	5.04	0.00	5.04	90.0	4.54
12/15/2017	GREER, GREGORY	AM FUNDS INCOME FUND OF AMERICA A	0.00	1.57	0.00	1.57	90.0	1.41
12/15/2017	GREER, GREGORY	AM FUNDS INCOME FUND OF AMERICA A	0.00	1.83	0.00	1.83	90.0	1.65
12/15/2017	EWING LIVING TRUST, JACK &	AM FUNDS INCOME FUND OF AMERICA A	0.00	16.33	0.00	16.33	90.0	14.70
12/15/2017	KETTLE, MARVIN	AM FUNDS INCOME FUND OF AMERICA A	0.00	3.69	0.00	3.69	90.0	3.32
12/15/2017	NMN & NJN MGMT TRUST	AM FUNDS INTL GROWTH AND INCOME A	0.00	0.63	0.00	0.63	90.0	0.57
12/15/2017	DROMGOOLE, NONA	AM FUNDS INTL GROWTH AND INCOME A	0.00	4.92	0.00	4.92	90.0	4.43
12/15/2017	BRUECKNER, KIMBERLY	AM FUNDS NEW ECONOMY A	0.00	15.04	0.00	15.04	90.0	13.54
12/15/2017	WILSON, MARY	AM FUNDS NEW ECONOMY A	0.00	12.37	0.00	12.37	90.0	11.13
12/15/2017	BRUECKNER, KIMBERLY	AM FUNDS NEW PERSPECTIVE A	0.00	12.55	0.00	12.55	90.0	11.30
12/15/2017	MORRIS, JANINE	AM FUNDS NEW PERSPECTIVE A	0.00	21.26	0.00	21.26	90.0	19.13
12/15/2017	SCOTT, MONYAN	AM FUNDS NEW PERSPECTIVE A	0.00	37.82	0.00	37.82	90.0	34.04
12/15/2017	NMN & NJN MGMT TRUST	AM FUNDS NEW WORLD A	0.00	0.33	0.00	0.33	90.0	0.30
12/15/2017	DROMGOOLE, NONA	AM FUNDS NEW WORLD A	0.00	4.87	0.00	4.87	90.0	4.38
12/15/2017	BRUECKNER, KIMBERLY	AM FUNDS SMALLCAP WORLD A	0.00	11.00	0.00	11.00	90.0	9.90
12/15/2017	NMN & NJN MGMT TRUST	AM FUNDS SMALLCAP WORLD A	0.00	1.42	0.00	1.42	90.0	1.28
12/15/2017	DROMGOOLE, NONA	AM FUNDS SMALLCAP WORLD A	0.00	1.79	0.00	1.79	90.0	1.61
12/15/2017	GREER, GREGORY	AM FUNDS SMALLCAP WORLD A	0.00	1.64	0.00	1.64	90.0	1.48
12/15/2017	GREER, GREGORY	AM FUNDS SMALLCAP WORLD A	0.00	1.95	0.00	1.95	90.0	1.76
12/15/2017	FUESSEL, NORMAN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	15.76	0.00	15.76	90.0	14.18
12/15/2017	FUESSEL IRREV TR, NORMAN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	8.54	0.00	8.54	90.0	7.69
12/15/2017	FUESSEL NE & NA TR, NORMAN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	67.24	0.00	67.24	90.0	60.52
12/15/2017	BRUECKNER, KIMBERLY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	12.46	0.00	12.46	90.0	11.21
12/15/2017	KORNEGAY, ALISA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.31	0.00	0.31	90.0	0.28
12/15/2017	KELLEY, DOLORES	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	8.46	0.00	8.46	90.0	7.61
12/15/2017	LAWHON, JACKIE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	48.24	0.00	48.24	90.0	43.42
12/15/2017	SPECKELS, WARREN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	2.67	0.00	2.67	90.0	2.40
12/15/2017	SPECKELS, MELBA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.80	0.00	1.80	90.0	1.62
12/15/2017	SPECKELS, MELBA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.64	0.00	1.64	90.0	1.48
12/15/2017	GILLIGAN, DOROTHY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	7.48	0.00	7.48	90.0	6.73
12/15/2017	STOLTE, VERNALINE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.60	0.00	0.60	90.0	0.54

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
12/15/2017	MORRIS, JANINE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	20.17	0.00	20.17	90.0	18.15
12/15/2017	SMITH, MICHAEL	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.47	0.00	1.47	90.0	1.32
12/15/2017	BUROW, PAUL	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.44	0.00	1.44	90.0	1.30
12/15/2017	DALJO LTD PT	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	31.84	0.00	31.84	90.0	28.66
12/15/2017	HOHMAN, JEROME	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	5.76	0.00	5.76	90.0	5.18
12/15/2017	WILSON, MARY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	17.83	0.00	17.83	90.0	16.05
12/15/2017	WIESNER, BETTY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	3.67	0.00	3.67	90.0	3.30
12/15/2017	GREER, GREGORY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	5.39	0.00	5.39	90.0	4.85
12/15/2017	GREER, GREGORY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	5.37	0.00	5.37	90.0	4.83
12/15/2017	EWING LIVING TRUST, JACK &	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	24.63	0.00	24.63	90.0	22.17
12/15/2017	URBAN, LONNIE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.99	0.00	1.99	90.0	1.79
12/15/2017	IVICIC, MARY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	3.62	0.00	3.62	90.0	3.26
12/22/2017	EWING JR, JACK	BLK GLOBAL ALLOCATION C	0.00	16.12	0.00	16.12	90.0	14.51
12/22/2017	EWING LIVING TRUST, JACK &	BLK GLOBAL ALLOCATION C	0.00	57.78	0.00	57.78	90.0	52.00
12/22/2017	SMITH, JUDY	CALAMOS GROWTH C	0.00	36.58	0.00	36.58	90.0	32.92
12/14/2017	KETTLE, MARVIN	CLEARBRIDGE AGGRESSIVE	0.00	3.62	0.00	3.62	90.0	3.26
12/14/2017	KETTLE, MARVIN	CLEARBRIDGE APPRECIATION FUND CLASS	0.00	2.05	0.00	2.05	90.0	1.85
12/14/2017	PEMBERTON, PATRICIA	CLEARBRIDGE SMALL CAP GROWTH FUND C	0.00	4.26	0.00	4.26	90.0	3.83
12/13/2017	WIESNER, BETTY	COLUMBIA ACORN A	0.00	1.71	0.00	1.71	90.0	1.54
12/13/2017	MCELROY, BENNETT	COLUMBIA MARSICO FOCUSED EQUITIES F	0.00	9.41	0.00	9.41	90.0	8.47
12/14/2017	CHEATHAM, JIMMY	FEDERATED CLOVER VALUE A	0.00	1.88	0.00	1.88	90.0	1.69
12/14/2017	CHEATHAM, JIMMY	FEDERATED EQUITY INCOME A	0.00	10.08	0.00	10.08	90.0	9.07
12/14/2017	CHEATHAM, JIMMY	FEDERATED KAUFMANN FUND A	0.00	2.63	0.00	2.63	90.0	2.37
12/14/2017	CHEATHAM, JIMMY	FEDERATED MDT MID CAP GROWTH STRATE	0.00	3.28	0.00	3.28	90.0	2.95
12/15/2017	ESCHBERGER TRUST, JACK & AGNES	FIDELITY ADV NEW INSIGHTS-CL A	0.00	0.68	0.00	0.68	90.0	0.61
12/15/2017	NMN & NUN MGMT TRUST	FIDELITY ADV NEW INSIGHTS-CL A	0.00	1.57	0.00	1.57	90.0	1.41
12/15/2017	NAIZER TRUST, NOLAN	FIDELITY ADV NEW INSIGHTS-CL A	0.00	0.36	0.00	0.36	90.0	0.32
12/15/2017	NAIZER TRUST, NOEL	FIDELITY ADV NEW INSIGHTS-CL A	0.00	0.23	0.00	0.23	90.0	0.21
12/15/2017	WIESNER, BETTY	FIDELITY ADV NEW INSIGHTS-CL A	0.00	3.68	0.00	3.68	90.0	3.31
12/15/2017	MCELROY, BENNETT	FIDELITY ADV STRATEGIC INCOME A	0.00	4.01	0.00	4.01	90.0	3.61
12/21/2017	COOPER, ADAM	FRANKLIN MUTUAL GLOBAL DISCOVERY A	0.00	3.83	0.00	3.83	90.0	3.45
12/21/2017	COOPER, ADAM	FRANKLIN MUTUAL GLOBAL DISCOVERY A	0.00	5.57	0.00	5.57	90.0	5.01
12/21/2017	COOPER, ADAM	FRANKLIN MUTUAL QUEST A	0.00	5.41	0.00	5.41	90.0	4.87

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
12/21/2017	COOPER, ADAM	FRANKLIN RISING DIVIDENDS A	0.00	5.40	0.00	5.40	90.0	4.86
12/20/2017	ENOCHS, LELAND	GOLDMAN SACHS CAPITAL GROWTH FUND C	0.00	10.05	0.00	10.05	90.0	9.05
12/20/2017	ENOCHS, LELAND	GOLDMAN SACHS FOCUSED INTL EQUITY F	0.00	2.83	0.00	2.83	90.0	2.55
12/20/2017	HAMITER, DONNIE	GOLDMAN SACHS SMALL CAP VALUE FUND-	0.00	0.65	0.00	0.65	90.0	0.59
12/20/2017	STOLTE, VERNALINE	GOLDMAN SACHS U.S. EQUITY INSIGHTS	0.00	0.32	0.00	0.32	90.0	0.29
12/20/2017	BURKHART, KRISTI	GOLDMAN SACHS U.S. EQUITY INSIGHTS	0.00	1.69	0.00	1.69	90.0	1.52
12/18/2017	FUESSEL IRREV TR, NORMAN	GRIFFIN INSTITUTIONAL ACCESS REAL E	0.00	13.84	0.00	13.84	90.0	12.46
12/18/2017	MCRIGHT, WILLIAM	GRIFFIN INSTITUTIONAL ACCESS REAL E	0.00	1.55	0.00	1.55	90.0	1.40
12/18/2017	MCRIGHT, BETTY	GRIFFIN INSTITUTIONAL ACCESS REAL E	0.00	0.58	0.00	0.58	90.0	0.52
12/18/2017	BELL, EDDY	GRIFFIN INSTITUTIONAL ACCESS REAL E	0.00	3.01	0.00	3.01	90.0	2.71
12/18/2017	BELL, EDDY	GRIFFIN INSTITUTIONAL ACCESS REAL E	0.00	3.05	0.00	3.05	90.0	2.75
12/18/2017	BELL, PATTI	GRIFFIN INSTITUTIONAL ACCESS REAL E	0.00	1.38	0.00	1.38	90.0	1.24
12/18/2017	STAGNER TRUST, JAMES	GRIFFIN INSTITUTIONAL ACCESS REAL E	0.00	6.81	0.00	6.81	90.0	6.13
12/18/2017	PAULSEN, ROGER	GRIFFIN INSTITUTIONAL ACCESS REAL E	0.00	7.39	0.00	7.39	90.0	6.65
12/18/2017	BAGGETT, PETE	GRIFFIN INSTITUTIONAL ACCESS REAL E	0.00	7.20	0.00	7.20	90.0	6.48
12/18/2017	BAGGETT, JARROD	GRIFFIN INSTITUTIONAL ACCESS REAL E	0.00	3.10	0.00	3.10	90.0	2.79
12/18/2017	LUERSEN, JENNIFER	GRIFFIN INSTITUTIONAL ACCESS REAL E	0.00	10.32	0.00	10.32	90.0	9.29
12/18/2017	CHEATHAM, JIMMY	HARTFORD BALANCED A	0.00	0.92	0.00	0.92	90.0	0.83
12/18/2017	FLEMING, JERRY	HARTFORD BALANCED A	0.00	1.55	0.00	1.55	90.0	1.40
12/18/2017	RAESZ TTEE, BARBARA	HARTFORD BALANCED ALLOCATION A	0.00	4.01	0.00	4.01	90.0	3.61
12/18/2017	RAESZ TTEE, BARBARA	HARTFORD BALANCED ALLOCATION A	0.00	2.10	0.00	2.10	90.0	1.89
12/18/2017	TAISLER, JESSE	HARTFORD CAPITAL APP II A	0.00	1.73	0.00	1.73	90.0	1.56
12/18/2017	MASON, ELEANOR	HARTFORD CAPITAL APP II A	0.00	1.18	0.00	1.18	90.0	1.06
12/18/2017	SCOTT, MONYAN	HARTFORD CAPITAL APP II A	0.00	16.31	0.00	16.31	90.0	14.68
/ /	MICHNA JT TEN WROS, JIMMY	HARTFORD CAPITAL APPRECIATION A	0.00	3.11	0.00	3.11	90.0	2.80
12/18/2017	CHEATHAM, JIMMY	HARTFORD CAPITAL APPRECIATION A	0.00	9.95	0.00	9.95	90.0	8.96
12/18/2017	ROSENTHAL, LUCILLE	HARTFORD CAPITAL APPRECIATION A	0.00	11.66	0.00	11.66	90.0	10.49
12/18/2017	BRUECKNER, KIMBERLY	HARTFORD CAPITAL APPRECIATION A	0.00	13.24	0.00	13.24	90.0	11.92
12/18/2017	HAMANN, LARRY	HARTFORD CAPITAL APPRECIATION A	0.00	9.70	0.00	9.70	90.0	8.73
12/18/2017	FLEMING, JERRY	HARTFORD CAPITAL APPRECIATION A	0.00	5.94	0.00	5.94	90.0	5.35
12/18/2017	TAISLER, JESSE	HARTFORD CAPITAL APPRECIATION A	0.00	1.28	0.00	1.28	90.0	1.15
12/18/2017	MOORE, TERRY	HARTFORD CAPITAL APPRECIATION C	0.00	24.98	0.00	24.98	90.0	22.48
12/18/2017	CHEATHAM, JIMMY	HARTFORD DIVIDEND & GROWTH A	0.00	4.88	0.00	4.88	90.0	4.39

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
12/18/2017	BRUECKNER, KIMBERLY	HARTFORD DIVIDEND & GROWTH A	0.00	5.61	0.00	5.61	90.0	5.05
12/18/2017	HAMANN, LARRY	HARTFORD DIVIDEND & GROWTH A	0.00	4.25	0.00	4.25	90.0	3.83
12/18/2017	FLEMING, JERRY	HARTFORD DIVIDEND & GROWTH A	0.00	5.18	0.00	5.18	90.0	4.66
12/18/2017	TAISLER, JESSE	HARTFORD DIVIDEND & GROWTH A	0.00	1.95	0.00	1.95	90.0	1.76
/ /	EWING, JOHN	HARTFORD GROWTH ALLOCATION A	0.00	0.62	0.00	0.62	90.0	0.56
/ /	SMITH, MARLO	HARTFORD GROWTH ALLOCATION A	0.00	1.48	0.00	1.48	90.0	1.33
12/18/2017	RAESZ TTEE, BARBARA	HARTFORD GROWTH ALLOCATION A	0.00	3.93	0.00	3.93	90.0	3.54
12/18/2017	RAESZ TTEE, BARBARA	HARTFORD GROWTH ALLOCATION A	0.00	2.17	0.00	2.17	90.0	1.95
12/18/2017	EWING, JOHN	HARTFORD GROWTH ALLOCATION A	0.00	0.87	0.00	0.87	90.0	0.78
12/18/2017	ROSENTHAL, LUCILLE	HARTFORD GROWTH OPP A	0.00	11.52	0.00	11.52	90.0	10.37
12/18/2017	SCOTT, MONYUAN	HARTFORD GROWTH OPP A	0.00	20.06	0.00	20.06	90.0	18.05
12/18/2017	ROSENTHAL, LUCILLE	HARTFORD INT'L GROWTH A	0.00	7.48	0.00	7.48	90.0	6.73
/ /	MICHNA JT TEN WROS, JIMMY	HARTFORD MIDCAP A	0.00	0.48	0.00	0.48	90.0	0.43
12/18/2017	CHEATHAM, JIMMY	HARTFORD MIDCAP A	0.00	7.30	0.00	7.30	90.0	6.57
12/18/2017	FLEMING, JERRY	HARTFORD MIDCAP A	0.00	6.41	0.00	6.41	90.0	5.77
12/18/2017	ROSENTHAL, LUCILLE	HARTFORD MIDCAP VALUE A	0.00	12.80	0.00	12.80	90.0	11.52
12/18/2017	MASON, ELEANOR	HARTFORD MIDCAP VALUE A	0.00	0.77	0.00	0.77	90.0	0.69
12/18/2017	BRUECKNER, KIMBERLY	HARTFORD SMALL-COMPANY FUND CLASS A	0.00	5.73	0.00	5.73	90.0	5.16
12/18/2017	TAISLER, JESSE	HARTFORD VALUE OPPORTUNITY FUND CLA	0.00	1.89	0.00	1.89	90.0	1.70
12/18/2017	MASON, ELEANOR	HARTFUND EQUITY INCIME FUND A	0.00	0.67	0.00	0.67	90.0	0.60
12/13/2017	BEEMAN, MICHAEL	HIGHLAND FLOATING RATE OPPORTUNITIE	0.00	0.04	0.00	0.04	90.0	0.04
12/15/2017	ESCHBERGER TRUST, JACK & AGNESJH	DISCIPLINED VALUE A	0.00	1.25	0.00	1.25	90.0	1.13
12/15/2017	ROSENTHAL, LUCILLE	JH DISCIPLINED VALUE A	0.00	0.63	0.00	0.63	90.0	0.57
12/15/2017	SCARBOROUGH, ROBERT	JH DISCIPLINED VALUE A	0.00	0.99	0.00	0.99	90.0	0.89
12/15/2017	NMN & NUN MGMT TRUST	JH DISCIPLINED VALUE A	0.00	3.05	0.00	3.05	90.0	2.75
12/15/2017	NAIZER TRUST, NOLAN	JH DISCIPLINED VALUE A	0.00	0.57	0.00	0.57	90.0	0.51
12/15/2017	NAIZER TRUST, NOEL	JH DISCIPLINED VALUE A	0.00	0.42	0.00	0.42	90.0	0.38
12/15/2017	OLSON, DALE	JH DISCIPLINED VALUE A	0.00	2.44	0.00	2.44	90.0	2.20
12/15/2017	KETTLE, MARVIN	JH DISCIPLINED VALUE A	0.00	1.07	0.00	1.07	90.0	0.96
12/15/2017	MCELROY, BENNETT	JH STRATEGIC INCOME A	0.00	4.00	0.00	4.00	90.0	3.60
12/15/2017	SCARBOROUGH, ROBERT	JOHN HANCOCK GLOBAL ABSOLUTE RETURN	0.00	0.71	0.00	0.71	90.0	0.64
12/15/2017	NMN & NUN MGMT TRUST	JOHN HANCOCK GLOBAL ABSOLUTE RETURN	0.00	1.74	0.00	1.74	90.0	1.57
12/15/2017	NAIZER TRUST, NOLAN	JOHN HANCOCK GLOBAL ABSOLUTE RETURN	0.00	0.09	0.00	0.09	90.0	0.08

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
12/15/2017	NAIZER TRUST, NOEL	JOHN HANCOCK GLOBAL ABSOLUTE RETURN	0.00	0.18	0.00	0.18	90.0	0.16
12/15/2017	OLSON, DALE	JOHN HANCOCK GLOBAL ABSOLUTE RETURN	0.00	0.54	0.00	0.54	90.0	0.49
12/15/2017	MASON, JOHN	JOHN HANCOCK GLOBAL ABSOLUTE RETURN	0.00	5.95	0.00	5.95	90.0	5.36
12/15/2017	KETTLE, MARVIN	JOHN HANCOCK GLOBAL ABSOLUTE RETURN	0.00	0.35	0.00	0.35	90.0	0.32
12/14/2017	KETTLE, MARVIN	LEGG MASON CLEARBRIDGE FUNDAMENTAL	0.00	3.20	0.00	3.20	90.0	2.88
12/20/2017	CHEATHAM, JIMMY	LORD ABBETT AFFILIATED A	0.00	1.82	0.00	1.82	90.0	1.64
12/20/2017	SPECKELS, MELBA	LORD ABBETT AFFILIATED A	0.00	0.78	0.00	0.78	90.0	0.70
12/20/2017	CHEATHAM, JIMMY	LORD ABBETT ALPHA STRATEGY A	0.00	3.94	0.00	3.94	90.0	3.55
12/20/2017	FUESSEL NE & NA TR, NORMAN	LORD ABBETT BOND DEBENTURE A	0.00	6.11	0.00	6.11	90.0	5.50
12/20/2017	CHEATHAM, JIMMY	LORD ABBETT CALIBRATED DIVIDEND GRO	0.00	2.27	0.00	2.27	90.0	2.04
12/20/2017	FUESSEL IRREV TR, NORMAN	LORD ABBETT CALIBRATED DIVIDEND GRO	0.00	12.18	0.00	12.18	90.0	10.96
12/20/2017	BRUECKNER, KIMBERLY	LORD ABBETT CALIBRATED DIVIDEND GRO	0.00	8.02	0.00	8.02	90.0	7.22
12/20/2017	SPECKELS, MELBA	LORD ABBETT CALIBRATED DIVIDEND GRO	0.00	0.96	0.00	0.96	90.0	0.86
12/20/2017	CHEATHAM, JIMMY	LORD ABBETT DEVELOPING GROWTH A	0.00	3.93	0.00	3.93	90.0	3.54
12/20/2017	FUESSEL IRREV TR, NORMAN	LORD ABBETT DEVELOPING GROWTH A	0.00	14.31	0.00	14.31	90.0	12.88
12/20/2017	BRUECKNER, KIMBERLY	LORD ABBETT FUNDAMENTAL EQUITY A	0.00	10.37	0.00	10.37	90.0	9.33
12/20/2017	SPECKELS, MELBA	LORD ABBETT FUNDAMENTAL EQUITY A	0.00	0.77	0.00	0.77	90.0	0.69
12/20/2017	SPECKELS, MELBA	LORD ABBETT GROWTH OPPORTUNITIES FU	0.00	0.61	0.00	0.61	90.0	0.55
12/20/2017	STAGNER TRUST, JAMES	LORD ABBETT INVT TR FLTG RATE A	0.00	6.57	0.00	6.57	90.0	5.91
12/20/2017	CHEATHAM, JIMMY	LORD ABBETT MID CAP STOCK A	0.00	7.17	0.00	7.17	90.0	6.45
12/20/2017	FUESSEL IRREV TR, NORMAN	LORD ABBETT MID CAP STOCK A	0.00	17.00	0.00	17.00	90.0	15.30
12/20/2017	BRUECKNER, KIMBERLY	LORD ABBETT MID CAP STOCK A	0.00	10.14	0.00	10.14	90.0	9.13
12/15/2017	ROSENTHAL, LUCILLE	LTD TERM TAX-EX BOND FUND OF AMERIC	0.00	4.71	0.00	4.71	90.0	4.24
12/11/2017	PEARSON, GRANT	MFS LIFETIME RETIREMENT INCOME FUND	0.00	42.60	0.00	42.60	90.0	38.34
12/11/2017	MCELROY, BENNETT	MFS VALUE A	0.00	9.67	0.00	9.67	90.0	8.70
12/15/2017	MASON, JOHN	NEUBERGER BERMAN LONG SHORT FUND CL	0.00	5.11	0.00	5.11	90.0	4.60
12/21/2017	WIESNER, BETTY	OPPENHEIMER GLOBAL STRATEGIC INC A	0.00	1.56	0.00	1.56	90.0	1.40
12/15/2017	FUESSEL IRREV TR, NORMAN	PUTNAM ASSET ALLOC GROWTH A	0.00	17.43	0.00	17.43	90.0	15.69
12/14/2017	KETTLE, MARVIN	QS GROWTH FUND CLASS A	0.00	0.62	0.00	0.62	90.0	0.56
12/14/2017	FUESSEL IRREV TR, NORMAN	RESOURCE R E DIVERSIFIED INC FUND A	0.00	13.45	0.00	13.45	90.0	12.11
12/14/2017	FUESSEL IRREV TR, NORMAN	RESOURCE R E DIVERSIFIED INC FUND A	0.00	13.45	0.00	13.45	90.0	12.11
12/14/2017	BELL, EDDY	RESOURCE R E DIVERSIFIED INC FUND A	0.00	10.48	0.00	10.48	90.0	9.43
12/14/2017	BELL, EDDY	RESOURCE R E DIVERSIFIED INC FUND A	0.00	10.48	0.00	10.48	90.0	9.43

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
12/14/2017	STAGNER TRUST, JAMES	RESOURCE R E DIVERSIFIED INC FUND A	0.00	6.59	0.00	6.59	90.0	5.93
12/14/2017	STAGNER TRUST, JAMES	RESOURCE R E DIVERSIFIED INC FUND A	0.00	6.59	0.00	6.59	90.0	5.93
12/14/2017	LUERSEN, JENNIFER	RESOURCE R E DIVERSIFIED INC FUND A	0.00	9.41	0.00	9.41	90.0	8.47
12/14/2017	LUERSEN, JENNIFER	RESOURCE R E DIVERSIFIED INC FUND A	0.00	9.41	0.00	9.41	90.0	8.47
12/20/2017	FUESSEL IRREV TR, NORMAN	RESOURCE R E DIVERSIFIED INC FUND A	0.00	-13.45	0.00	-13.45	90.0	-12.11
12/20/2017	BELL, EDDY	RESOURCE R E DIVERSIFIED INC FUND A	0.00	-10.48	0.00	-10.48	90.0	-9.43
12/20/2017	STAGNER TRUST, JAMES	RESOURCE R E DIVERSIFIED INC FUND A	0.00	-6.59	0.00	-6.59	90.0	-5.93
12/20/2017	LUERSEN, JENNIFER	RESOURCE R E DIVERSIFIED INC FUND A	0.00	-9.41	0.00	-9.41	90.0	-8.47
12/14/2017	KURTH, KARIANNE	TRANSAMERICA AA GROWTH C	0.00	39.49	0.00	39.49	90.0	35.54
12/14/2017	KURTH, DEREK	TRANSAMERICA AA GROWTH C	0.00	47.28	0.00	47.28	90.0	42.55
12/14/2017	KURTH, DEREK	TRANSAMERICA AA GROWTH C	0.00	29.03	0.00	29.03	90.0	26.13
12/14/2017	KURTH, DEREK	TRANSAMERICA AA GROWTH C	0.00	2.01	0.00	2.01	90.0	1.81
12/14/2017	KURTH, DEREK	TRANSAMERICA AA GROWTH C	0.00	2.01	0.00	2.01	90.0	1.81
12/14/2017	HERNANDEZ-GAGE, VIRGINIA	TRANSAMERICA AA MOD GROWTH C	0.00	4.34	0.00	4.34	90.0	3.91
12/14/2017	KURTH, DEREK	TRANSAMERICA AA MOD GROWTH C	0.00	6.55	0.00	6.55	90.0	5.90
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *			\$0.00	\$2,428.59	\$0.00	\$2,428.59		\$2,185.90
<u>PRODUCT CATEGORY: VARIABLE ANNUITY 12B1 TRAILS</u>								
12/26/2017	MOORE, TERRY	PAC LIFE PORTFOLIOS	0.00	53.28	0.00	53.28	90.0	47.95
* VARIABLE ANNUITY 12B1 TRAILS SUBTOTAL *			\$0.00	\$53.28	\$0.00	\$53.28		\$47.95
*** DIRECT TRANSACTIONS TOTAL ***			\$9,193,462.60	\$19,418.03	\$0.00	\$19,418.03		\$17,476.40

SPLIT TRANSACTIONS**BROKER: BO/MO-M145 MCKINNEY #314**

12/26/2017	NOLEN PARTNERS, LTD	STARBOARD LEMON GROVE DST	975,380.00	29,261.69	0.00	29,261.69	90.0	26,335.52
* BO/MO-M145 MCKINNEY SUBTOTAL *			\$975,380.00	\$29,261.69	\$0.00	\$29,261.69		\$26,335.52
*** SPLIT TRANSACTIONS TOTAL ***			\$975,380.00	\$29,261.69	\$0.00	\$29,261.69		\$26,335.52

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>ADJUSTMENTS</u>								
01/15/2018		*AI INSIGHT: CURRENT MONTH	0.00					-7.00
01/15/2018		*ALBRIDGE: LIGHT USER	0.00					-76.00
01/15/2018		*CONCIERGE SVC: 205899 NOLAN-GENERA	0.00					-25.00
01/15/2018		*CONCIERGE SVC: 20625 NOLAN-GENERAL	0.00					-25.00
01/15/2018		*CONCIERGE SVC: 206295 FUESSEL-MANA	0.00					-50.00
01/15/2018		*DOCUSIGN: CURRENT MONTH	0.00					-18.00
01/15/2018		*EO INS: CURRENT MONTH INS	0.00					-300.00
01/15/2018		*GLOBAL RELAY: FACEBOOK	0.00					-5.00
01/15/2018		*GLOBAL RELAY: WEBSITE	0.00					-15.00
01/15/2018		*LASER APP: CURRENT MONTH	0.00					-18.00
01/15/2018		*PERSHING: MF PROSPECTUS	0.00					-1.55
01/15/2018		*PERSHING: UIT PROSPECTUS	0.00					-12.99
01/15/2018		*TECHNOLOGY: CURRENT MONTH BASIC	0.00					-180.00
*** ADJUSTMENTS TOTAL ***			\$0.00	\$0.00	\$0.00	\$0.00		\$-733.54

BROKER COMMISSION TOTALS

Broker Transactions	\$17,449.74
Split Transactions	\$26,335.52
Override Transactions	\$0.00
Adjustments	\$-733.54
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$0.00
FINRA Assessment	\$0.00
SIPC Assessment	\$0.00

Check Amount	\$43,051.72
Year-to-date Gross	\$48,686.10
Year-to-date Earnings	\$43,785.26

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