



Concorde Investment Services, LLC
COMMISSION STATEMENT
 January 31, 2017

01/27/2017
 Page No. 1

MATT BRANSTETTER
 PO Box 250
 111 S. Main Street
 Noble, OK 73068

BROKER #: B116
 BRANCH: BRAEVEST

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	RATE	NET COMMISSION	CLEARING CHARGE	BROKER COMMISSION
<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: PRIVATE PLACEMENT</u>								
01/13/2017	MOORE, TONI	WPC CORP PROP ASSOC 18 GBL INC CL	4,224.60	10.62	80.0	8.50	0.00	8.50
01/13/2017	CASTLE, DAVID	WPC CORP PROP ASSOC 18 GBL INC CL	4,224.60	10.62	80.0	8.50	0.00	8.50
01/13/2017	MANSFIELD, PHILLIP	WPC CORP PROP ASSOC 18 GBL INC CL	5,914.44	14.87	80.0	11.90	0.00	11.90
* PRIVATE PLACEMENT SUBTOTAL *			\$14,363.64	\$36.11		\$28.90	\$0.00	\$28.90
<u>PRODUCT CATEGORY: REIT</u>								
12/31/2016	MILLER, MARGA	GRIFFIN CAPITAL ESST'L ASSET II T	0.00	125.68	80.0	100.54	0.00	100.54
* REIT SUBTOTAL *			\$0.00	\$125.68		\$100.54	\$0.00	\$100.54
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
01/17/2017	DOBELBOWER, MARY	AM FUNDS EUROPACIFIC GROWTH FUND A	50.00	2.50	80.0	2.00	0.00	2.00
01/20/2017	MILLER, RILEY	AM FUNDS NEW PERSPECTIVE C	50.00	0.50	80.0	0.40	0.00	0.40
01/17/2017	BENNETT, MARLA	AM FUNDS WASHINGTON MUTUAL	100.00	3.75	80.0	3.00	0.00	3.00
12/31/2016	ROWE-BRANF	BLK CAPITAL APPRECIATION A	0.00	0.21	80.0	0.17	0.00	0.17
12/31/2016	ROWE-BRANF	BLK CAPITAL APPRECIATION A	0.00	0.83	80.0	0.66	0.00	0.66
12/31/2016	ROWE-BRANF	BLK MOD 13-16 AGE BASED A	0.00	0.16	80.0	0.13	0.00	0.13
01/01/2017	MCKINNEY, E KIM	INVESCO AMERICAN FRANCHISE A	0.00	4.11	80.0	3.29	0.00	3.29
01/01/2017	WHITE, JOANNE	INVESCO AMERICAN FRANCHISE A	0.00	5.97	80.0	4.78	0.00	4.78
01/01/2017	CRETSINGER, DON	INVESCO AMERICAN FRANCHISE A	0.00	4.46	80.0	3.57	0.00	3.57
01/01/2017	MCFERRON, LINDA	INVESCO EMERGING MARKETS EQUITY	0.00	0.33	80.0	0.26	0.00	0.26
01/01/2017	MCFERRON, LINDA	INVESCO ENDEAVOR FUND A	0.00	0.49	80.0	0.39	0.00	0.39
01/01/2017	MCFERRON, LINDA	INVESCO GLOBAL OPPORTUNITIES FUND	0.00	0.23	80.0	0.18	0.00	0.18
01/01/2017	MCKINNEY, E KIM	INVESCO HIGH YIELD FUND A	0.00	0.57	80.0	0.46	0.00	0.46
01/01/2017	MCFERRON, LINDA	INVESCO HIGH YIELD FUND A	0.00	0.37	80.0	0.30	0.00	0.30
01/01/2017	MCKINNEY, E KIM	INVESCO INTERNATIONAL GROWTH A	0.00	1.82	80.0	1.46	0.00	1.46
01/01/2017	MCFERRON, LINDA	INVESCO MLP FUND - CLASS A	0.00	0.24	80.0	0.19	0.00	0.19
01/01/2017	MCFERRON, LINDA	INVESCO MULTI-ASSET 00888W395	0.00	0.21	80.0	0.17	0.00	0.17

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

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
01/01/2017	MCFERRON, LINDA	INVESCO SMALL COMPANIES FD -A	0.00	0.34	80.0	0.27	0.00	0.27
01/01/2017	MCFERRON, LINDA	INVESCO TECHNOLOGY A	0.00	0.32	80.0	0.26	0.00	0.26
01/01/2017	MCFERRON, LINDA	INVESCO VALUE OPP A	0.00	0.44	80.0	0.35	0.00	0.35
01/03/2017	LLTD INVESTMENTS LLC	PUTNAM ABSOLUTE RETURN 100-A	0.00	0.39	80.0	0.31	0.00	0.31
01/03/2017	LLTD INVESTMENTS LLC	PUTNAM ABSOLUTE RETURN 300-A	0.00	0.38	80.0	0.30	0.00	0.30
01/03/2017	LLTD INVESTMENTS LLC	PUTNAM ABSOLUTE RETURN 500-A	0.00	0.56	80.0	0.45	0.00	0.45
01/03/2017	LLTD INVESTMENTS LLC	PUTNAM ABSOLUTE RETURN 700-A	0.00	0.53	80.0	0.42	0.00	0.42
01/03/2017	MORIELS, FELICIA	PUTNAM AMERICAN GOVT INCOME-M	0.00	0.53	80.0	0.42	0.00	0.42
01/03/2017	POORE, NANCY	PUTNAM ASIA PACIFIC C	0.00	0.02	80.0	0.02	0.00	0.02
01/03/2017	NEWTON, GEORGE	PUTNAM EQUITY INCOME A	0.00	7.08	80.0	5.66	0.00	5.66
01/03/2017	CASTLE, DAVID	PUTNAM EQUITY SPECTRUM A	0.00	1.27	80.0	1.02	0.00	1.02
01/03/2017	TREADWAY, TOMMY	PUTNAM EQUITY SPECTRUM A	0.00	3.11	80.0	2.49	0.00	2.49
01/03/2017	FAIRLESS, BENJAMIN	PUTNAM EQUITY SPECTRUM A	0.00	3.50	80.0	2.80	0.00	2.80
01/03/2017	YOSS, JAY	PUTNAM EQUITY SPECTRUM A	0.00	2.33	80.0	1.86	0.00	1.86
01/03/2017	HIPP, DEBRA	PUTNAM EQUITY SPECTRUM A	0.00	0.57	80.0	0.46	0.00	0.46
01/03/2017	HIPP, RONALD	PUTNAM EQUITY SPECTRUM A	0.00	1.78	80.0	1.42	0.00	1.42
01/03/2017	DOWDY, LINDA	PUTNAM EQUITY SPECTRUM A	0.00	0.59	80.0	0.47	0.00	0.47
01/03/2017	DOWNING, JOHN	PUTNAM EQUITY SPECTRUM A	0.00	1.53	80.0	1.22	0.00	1.22
01/03/2017	GREGORY, MANDY	PUTNAM EQUITY SPECTRUM A	0.00	1.52	80.0	1.22	0.00	1.22
01/03/2017	MOORE, TONI	PUTNAM EQUITY SPECTRUM A	0.00	1.19	80.0	0.95	0.00	0.95
01/03/2017	MICHENER, DAVID	PUTNAM EQUITY SPECTRUM A	0.00	1.19	80.0	0.95	0.00	0.95
01/03/2017	HOUSE, CONNIE	PUTNAM EQUITY SPECTRUM A	0.00	1.18	80.0	0.94	0.00	0.94
01/03/2017	GREGORY, ERIC	PUTNAM EQUITY SPECTRUM A	0.00	0.70	80.0	0.56	0.00	0.56
01/03/2017	MELTON, JOY	PUTNAM EQUITY SPECTRUM A	0.00	0.73	80.0	0.58	0.00	0.58
01/03/2017	HIPP, DEBRA	PUTNAM EQUITY SPECTRUM B	0.00	0.91	80.0	0.73	0.00	0.73
01/03/2017	CASTLE, DAVID	PUTNAM EQUITY SPECTRUM B	0.00	1.28	80.0	1.02	0.00	1.02
01/03/2017	DOWDY, JIMMIE	PUTNAM EQUITY SPECTRUM C	0.00	4.75	80.0	3.80	0.00	3.80
01/03/2017	SMIT, CONRAD	PUTNAM EQUITY SPECTRUM C	0.00	7.02	80.0	5.62	0.00	5.62
01/03/2017	CANFIELD, LORI	PUTNAM EQUITY SPECTRUM C	0.00	1.90	80.0	1.52	0.00	1.52
01/03/2017	POORE, NANCY	PUTNAM EQUITY SPECTRUM C	0.00	3.25	80.0	2.60	0.00	2.60
01/03/2017	GREGORY, ERIC	PUTNAM GLOBAL ENERGY B	0.00	0.28	80.0	0.22	0.00	0.22
01/03/2017	DOWNING, JOHN	PUTNAM GLOBAL ENERGY M	0.00	3.11	80.0	2.49	0.00	2.49
01/03/2017	CASTLE, DAVID	PUTNAM GLOBAL FINANCIALS A	0.00	0.72	80.0	0.58	0.00	0.58

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
01/03/2017	TREADWAY, TOMMY	PUTNAM GLOBAL FINANCIALS A	0.00	1.59	80.0	1.27	0.00	1.27
01/03/2017	FAIRLESS, BENJAMIN	PUTNAM GLOBAL FINANCIALS A	0.00	1.87	80.0	1.50	0.00	1.50
01/03/2017	YOSS, JAY	PUTNAM GLOBAL FINANCIALS A	0.00	1.16	80.0	0.93	0.00	0.93
01/03/2017	HIPP, DEBRA	PUTNAM GLOBAL FINANCIALS A	0.00	0.58	80.0	0.46	0.00	0.46
01/03/2017	DOWDY, JIMMIE	PUTNAM GLOBAL FINANCIALS A	0.00	0.62	80.0	0.50	0.00	0.50
01/03/2017	MOORE, TONI	PUTNAM GLOBAL FINANCIALS A	0.00	0.53	80.0	0.42	0.00	0.42
01/03/2017	MICHENER, DAVID	PUTNAM GLOBAL FINANCIALS A	0.00	0.39	80.0	0.31	0.00	0.31
01/03/2017	HOUSE, CONNIE	PUTNAM GLOBAL FINANCIALS A	0.00	0.80	80.0	0.64	0.00	0.64
01/03/2017	MELTON, JOY	PUTNAM GLOBAL FINANCIALS A	0.00	0.57	80.0	0.46	0.00	0.46
01/03/2017	HIPP, RONALD	PUTNAM GLOBAL FINANCIALS B	0.00	1.17	80.0	0.94	0.00	0.94
01/03/2017	CASTLE, DAVID	PUTNAM GLOBAL FINANCIALS B	0.00	0.66	80.0	0.53	0.00	0.53
01/03/2017	DOWNING, JOHN	PUTNAM GLOBAL FINANCIALS M	0.00	4.33	80.0	3.46	0.00	3.46
01/03/2017	CASTLE, DAVID	PUTNAM GLOBAL TECH A	0.00	1.97	80.0	1.58	0.00	1.58
01/03/2017	TREADWAY, TOMMY	PUTNAM GLOBAL TECH A	0.00	3.28	80.0	2.62	0.00	2.62
01/03/2017	FAIRLESS, BENJAMIN	PUTNAM GLOBAL TECH A	0.00	3.75	80.0	3.00	0.00	3.00
01/03/2017	YOSS, JAY	PUTNAM GLOBAL TECH A	0.00	2.49	80.0	1.99	0.00	1.99
01/03/2017	HIPP, DEBRA	PUTNAM GLOBAL TECH A	0.00	0.57	80.0	0.46	0.00	0.46
01/03/2017	DOWDY, JIMMIE	PUTNAM GLOBAL TECH A	0.00	0.60	80.0	0.48	0.00	0.48
01/03/2017	MOORE, TONI	PUTNAM GLOBAL TECH A	0.00	0.66	80.0	0.53	0.00	0.53
01/03/2017	MICHENER, DAVID	PUTNAM GLOBAL TECH A	0.00	1.01	80.0	0.81	0.00	0.81
01/03/2017	HOUSE, CONNIE	PUTNAM GLOBAL TECH A	0.00	0.78	80.0	0.62	0.00	0.62
01/03/2017	GREGORY, ERIC	PUTNAM GLOBAL TECH A	0.00	0.58	80.0	0.46	0.00	0.46
01/03/2017	MELTON, JOY	PUTNAM GLOBAL TECH A	0.00	0.57	80.0	0.46	0.00	0.46
01/03/2017	HIPP, RONALD	PUTNAM GLOBAL TECH B	0.00	1.15	80.0	0.92	0.00	0.92
01/03/2017	CASTLE, DAVID	PUTNAM GLOBAL TECH B	0.00	0.65	80.0	0.52	0.00	0.52
01/03/2017	DOWNING, JOHN	PUTNAM GLOBAL TECH M	0.00	0.06	80.0	0.05	0.00	0.05
01/03/2017	KING, REPAULA	PUTNAM GROWTH OPP A	0.00	0.62	80.0	0.50	0.00	0.50
01/03/2017	KING, REPAULA	PUTNAM GROWTH OPP A	0.00	0.62	80.0	0.50	0.00	0.50
01/03/2017	CASTLE, DAVID	PUTNAM GROWTH OPP A	0.00	0.74	80.0	0.59	0.00	0.59
01/03/2017	TREADWAY, TOMMY	PUTNAM GROWTH OPP A	0.00	1.67	80.0	1.34	0.00	1.34
01/03/2017	FAIRLESS, BENJAMIN	PUTNAM GROWTH OPP A	0.00	1.82	80.0	1.46	0.00	1.46
01/03/2017	YOSS, JAY	PUTNAM GROWTH OPP A	0.00	1.21	80.0	0.97	0.00	0.97
01/03/2017	HIPP, DEBRA	PUTNAM GROWTH OPP A	0.00	0.91	80.0	0.73	0.00	0.73

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
01/03/2017	HIPP, RONALD	PUTNAM GROWTH OPP A	0.00	1.19	80.0	0.95	0.00	0.95
01/03/2017	HERNDON, JAMES	PUTNAM GROWTH OPP A	0.00	0.58	80.0	0.46	0.00	0.46
01/03/2017	DOWNING, JOHN	PUTNAM GROWTH OPP A	0.00	0.54	80.0	0.43	0.00	0.43
01/03/2017	STANFORD, DAVID	PUTNAM GROWTH OPP A	0.00	0.04	80.0	0.03	0.00	0.03
01/03/2017	MOORE, TONI	PUTNAM GROWTH OPP A	0.00	0.58	80.0	0.46	0.00	0.46
01/03/2017	HOUSE, CONNIE	PUTNAM GROWTH OPP A	0.00	1.11	80.0	0.89	0.00	0.89
01/03/2017	MELTON, JOY	PUTNAM GROWTH OPP A	0.00	0.55	80.0	0.44	0.00	0.44
01/03/2017	DOWDY, JIMMIE	PUTNAM GROWTH OPP C	0.00	2.68	80.0	2.14	0.00	2.14
01/03/2017	POORE, NANCY	PUTNAM GROWTH OPP C	0.00	0.04	80.0	0.03	0.00	0.03
01/03/2017	HYER, LISA	PUTNAM GROWTH OPP C	0.00	4.75	80.0	3.80	0.00	3.80
01/03/2017	NEWTON, GEORGE	PUTNAM HIGH YIELD ADVANTAGE A	0.00	4.62	80.0	3.70	0.00	3.70
01/03/2017	CASTLE, DAVID	PUTNAM HIGH YIELD TRUST A	0.00	1.02	80.0	0.82	0.00	0.82
01/03/2017	TREADWAY, TOMMY	PUTNAM HIGH YIELD TRUST A	0.00	1.56	80.0	1.25	0.00	1.25
01/03/2017	FAIRLESS, BENJAMIN	PUTNAM HIGH YIELD TRUST A	0.00	1.83	80.0	1.46	0.00	1.46
01/03/2017	YOSS, JAY	PUTNAM HIGH YIELD TRUST A	0.00	1.14	80.0	0.91	0.00	0.91
01/03/2017	DOWNING, JOHN	PUTNAM HIGH YIELD TRUST A	0.00	0.63	80.0	0.50	0.00	0.50
01/03/2017	MICHENER, DAVID	PUTNAM HIGH YIELD TRUST A	0.00	0.38	80.0	0.30	0.00	0.30
01/03/2017	CASTLE, DAVID	PUTNAM HIGH YIELD TRUST B	0.00	0.66	80.0	0.53	0.00	0.53
01/03/2017	BRANCH, MARY	PUTNAM INCOME A	0.00	0.02	80.0	0.02	0.00	0.02
01/03/2017	NEWTON, MAX	PUTNAM INTL CAPITAL OPPS-A	0.00	0.28	80.0	0.22	0.00	0.22
01/03/2017	COLE, CHRISTOPHER	PUTNAM INTL CAPITAL OPPS-A	0.00	0.03	80.0	0.02	0.00	0.02
01/03/2017	BRANSTETTER, MATT	PUTNAM INTL CAPITAL OPPS-A	0.00	0.24	80.0	0.19	0.00	0.19
01/03/2017	CASTLE, DAVID	PUTNAM INTL CAPITAL OPPS-B	0.00	0.65	80.0	0.52	0.00	0.52
01/03/2017	WALL-POLLAN, LEAH	PUTNAM INTL CAPITAL OPPS-C	0.00	0.25	80.0	0.20	0.00	0.20
01/03/2017	MYERS, JON	PUTNAM INTL CAPITAL OPPS-C	0.00	35.12	80.0	28.10	0.00	28.10
01/03/2017	MYERS, AMANDA	PUTNAM INTL CAPITAL OPPS-C	0.00	41.15	80.0	32.92	0.00	32.92
01/03/2017	DOCTORMAN, SHANA	PUTNAM INTL CAPITAL OPPS-C	0.00	3.26	80.0	2.61	0.00	2.61
01/03/2017	DOCTORMAN, SHANA	PUTNAM INTL CAPITAL OPPS-C	0.00	3.20	80.0	2.56	0.00	2.56
01/03/2017	DOCTORMAN, EDGE	PUTNAM INTL CAPITAL OPPS-C	0.00	0.72	80.0	0.58	0.00	0.58
01/03/2017	DOCTORMAN, AIMES	PUTNAM INTL CAPITAL OPPS-C	0.00	0.72	80.0	0.58	0.00	0.58
01/03/2017	DOCTORMAN, SHANA	PUTNAM INTL CAPITAL OPPS-C	0.00	6.01	80.0	4.81	0.00	4.81
01/03/2017	DOCTORMAN, SHANA	PUTNAM INTL CAPITAL OPPS-C	0.00	6.01	80.0	4.81	0.00	4.81
01/03/2017	NOBLE PUBLIC SCHOOLS,	PUTNAM INTL CAPITAL OPPS-C	0.00	0.02	80.0	0.02	0.00	0.02

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
01/03/2017	HYER, LISA	PUTNAM INTL CAPITAL OPPS-C	0.00	2.14	80.0	1.71	0.00	1.71
01/03/2017	HYER, LISA	PUTNAM INTL CAPITAL OPPS-C	0.00	0.41	80.0	0.33	0.00	0.33
01/03/2017	HYER, LISA	PUTNAM INTL CAPITAL OPPS-C	0.00	0.23	80.0	0.18	0.00	0.18
01/05/2017	MYERS, JON	PUTNAM INTL CAPITAL OPPS-C	100.00	1.00	80.0	0.80	0.00	0.80
01/03/2017	COLE, CHRISTOPHER	PUTNAM INTL CAPITAL OPPS-M	0.00	0.30	80.0	0.24	0.00	0.24
01/03/2017	POORE, NANCY	PUTNAM MONEY MARKET C	0.00	0.01	80.0	0.01	0.00	0.01
01/03/2017	DOWNING, JOHN	PUTNAM MONEY MARKET M	0.00	0.02	80.0	0.02	0.00	0.02
01/03/2017	HUFFMAN, KRISTOPHER	PUTNAM MONEY MARKET M	0.00	0.10	80.0	0.08	0.00	0.08
01/03/2017	SIMPSON, CHRIS	PUTNAM MONEY MARKET M	0.00	0.02	80.0	0.02	0.00	0.02
01/03/2017	LLTD INVESTMENTS LLC	PUTNAM MULTI CAP GROWTH A	0.00	0.38	80.0	0.30	0.00	0.30
01/03/2017	BRANCH, MARY	PUTNAM MULTI CAP GROWTH A	0.00	0.72	80.0	0.58	0.00	0.58
01/03/2017	GERHARDT, LEE	PUTNAM MULTI-CAP GROWTH C	0.00	32.55	80.0	26.04	0.00	26.04
01/03/2017	BRANCH, MARY	PUTNAM MULTI-CAP GROWTH C	0.00	1.62	80.0	1.30	0.00	1.30
01/03/2017	DOWNING, JOHN	PUTNAM MULTI-CAP GROWTH M	0.00	0.99	80.0	0.79	0.00	0.79
01/03/2017	MCFERRON, LARRY	PUTNAM MULTI-CAP GROWTH M	0.00	1.29	80.0	1.03	0.00	1.03
01/03/2017	HUFFMAN, KRISTOPHER	PUTNAM MULTI-CAP GROWTH M	0.00	0.70	80.0	0.56	0.00	0.56
01/03/2017	STANFORD, DAVID	PUTNAM MULTI-CAP GROWTH M	0.00	2.39	80.0	1.91	0.00	1.91
01/03/2017	BRANSTETTER, MATT	PUTNAM SHORT DURATION INCOME A	0.00	0.30	80.0	0.24	0.00	0.24
01/03/2017	STANFORD, DAVID	PUTNAM SHORT DURATION INCOME A	0.00	0.16	80.0	0.13	0.00	0.13
01/03/2017	RIPLEY, ANTHONY	PUTNAM SMALL CAP GROWTH-A	0.00	0.03	80.0	0.02	0.00	0.02
01/03/2017	SNYDER, LESTER	PUTNAM SMALL CAP GROWTH-C	0.00	46.34	80.0	37.07	0.00	37.07
01/03/2017	VANDEBURG, JENNY	PUTNAM SMALL CAP GROWTH-C	0.00	2.81	80.0	2.25	0.00	2.25
01/03/2017	BRANCH, MARY	PUTNAM SMALL CAP GROWTH-C	0.00	0.62	80.0	0.50	0.00	0.50
01/03/2017	POORE, NANCY	PUTNAM SMALL CAP GROWTH-C	0.00	0.12	80.0	0.10	0.00	0.10
01/03/2017	HYER, LISA	PUTNAM SMALL CAP GROWTH-C	0.00	0.48	80.0	0.38	0.00	0.38
01/06/2017	SNYDER, LESTER	PUTNAM SMALL CAP GROWTH-C	100.00	1.00	80.0	0.80	0.00	0.80
01/03/2017	CASTLE, DAVID	PUTNAM SMALL CAP VALUE A	0.00	1.06	80.0	0.85	0.00	0.85
01/03/2017	TREADWAY, TOMMY	PUTNAM SMALL CAP VALUE A	0.00	1.76	80.0	1.41	0.00	1.41
01/03/2017	FAIRLESS, BENJAMIN	PUTNAM SMALL CAP VALUE A	0.00	1.90	80.0	1.52	0.00	1.52
01/03/2017	YOSS, JAY	PUTNAM SMALL CAP VALUE A	0.00	1.26	80.0	1.01	0.00	1.01
01/03/2017	HIPP, DEBRA	PUTNAM SMALL CAP VALUE A	0.00	0.95	80.0	0.76	0.00	0.76
01/03/2017	HIPP, RONALD	PUTNAM SMALL CAP VALUE A	0.00	1.24	80.0	0.99	0.00	0.99
01/03/2017	DOWNING, JOHN	PUTNAM SMALL CAP VALUE A	0.00	1.21	80.0	0.97	0.00	0.97

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	RATE	NET COMMISSION	CLEARING CHARGE	BROKER COMMISSION
<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
01/03/2017	MOORE, TONI	PUTNAM SMALL CAP VALUE A	0.00	0.69	80.0	0.55	0.00	0.55
01/03/2017	MICHENER, DAVID	PUTNAM SMALL CAP VALUE A	0.00	1.05	80.0	0.84	0.00	0.84
01/03/2017	HOUSE, CONNIE	PUTNAM SMALL CAP VALUE A	0.00	1.17	80.0	0.94	0.00	0.94
01/03/2017	GREGORY, ERIC	PUTNAM SMALL CAP VALUE A	0.00	0.61	80.0	0.49	0.00	0.49
01/03/2017	MELTON, JOY	PUTNAM SMALL CAP VALUE A	0.00	0.59	80.0	0.47	0.00	0.47
01/03/2017	CASTLE, DAVID	PUTNAM SMALL CAP VALUE B	0.00	1.01	80.0	0.81	0.00	0.81
01/03/2017	GREGORY, ERIC	PUTNAM SMALL CAP VALUE B	0.00	0.29	80.0	0.23	0.00	0.23
01/03/2017	DOWDY, JIMMIE	PUTNAM SMALL CAP VALUE C	0.00	2.82	80.0	2.26	0.00	2.26
01/03/2017	CANFIELD, LORI	PUTNAM SMALL CAP VALUE C	0.00	2.03	80.0	1.62	0.00	1.62
01/03/2017	POORE, NANCY	PUTNAM SMALL CAP VALUE C	0.00	1.28	80.0	1.02	0.00	1.02
01/03/2017	KING, REPAULA	PUTNAM VOYAGER A	0.00	0.17	80.0	0.14	0.00	0.14
01/03/2017	KING, REPAULA	PUTNAM VOYAGER A	0.00	0.17	80.0	0.14	0.00	0.14
01/03/2017	HERNDON, JAMES	PUTNAM VOYAGER A	0.00	0.16	80.0	0.13	0.00	0.13
01/03/2017	STANFORD, DAVID	PUTNAM VOYAGER A	0.00	0.02	80.0	0.02	0.00	0.02
/ /	VOCI, ROBERTO	RYDEX GUGG NASDAQ 100 2X STRATEGY	0.00	0.20	80.0	0.16	0.00	0.16
01/17/2017	DOWNING, JOHN	RYDEX GUGG NASDAQ 100 2X STRATEGY	300.00	3.00	80.0	2.40	0.00	2.40
01/20/2017	ARRINGTON, NANCY	RYDEX GUGG NASDAQ 100 2X STRATEGY	100.00	1.00	80.0	0.80	0.00	0.80
* MUTUAL FUNDS SUBTOTAL *			\$800.00	\$365.68		\$292.58	\$0.00	\$292.58
<u>PRODUCT CATEGORY: STOCKS</u>								
01/25/2017	ACOSTA, ANNA	DIREXION SHS ETF TR DIREXION DAILY	12,868.80	49.00	80.0	39.20	22.50	16.70
01/12/2017	STANFORD, DAVID	DIREXION SHS ETF TR SMALL CAP BULL	-9,813.00	49.00	80.0	39.20	22.50	16.70
01/12/2017	ACOSTA, ANNA	DIREXION SHS ETF TR SMALL CAP BULL	-9,812.20	49.00	80.0	39.20	22.50	16.70
* STOCKS SUBTOTAL *			\$-6,756.40	\$147.00		\$117.60	\$67.50	\$50.10
<u>PRODUCT CATEGORY: VARIABLE ANNUITIES</u>								
01/20/2017	ARRINGTON, NANCY	JNL ELITE ACCESS	100.00	5.25	80.0	4.20	0.00	4.20
01/17/2017	FRANKS, MARTHA	JNL PERSPECTIVE L	12.48	0.74	80.0	0.59	0.00	0.59
01/23/2017	FRANKS, MARTHA	JNL PERSPECTIVE L	25.30	1.51	80.0	1.21	0.00	1.21
01/03/2017	STINSON, BRADLEY	PAC LIFE INNOVATIVE SELECT	0.00	5.00	80.0	4.00	0.00	4.00
01/04/2017	ROLLINS, LISA	PAC LIFE VALUE	0.00	43.48	80.0	34.78	0.00	34.78
01/06/2017	ROSENFELT, PHYLIS	PAC LIFE VALUE	0.00	5.24	80.0	4.19	0.00	4.19
* VARIABLE ANNUITIES SUBTOTAL *			\$137.78	\$61.22		\$48.97	\$0.00	\$48.97

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	RATE	NET COMMISSION	CLEARING CHARGE	BROKER COMMISSION
<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
12/30/2016	BRANSTETTER, VARIOUS	PACIFIC LIFE FUNDS	0.00	440.60	80.0	352.48	0.00	352.48
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *			\$0.00	\$440.60		\$352.48	\$0.00	\$352.48
<u>PRODUCT CATEGORY: VARIABLE ANNUITY 12B1 TRAILS</u>								
12/13/2016	STANFORD, DAVID	ING VOYA MARATHON PLUS	0.00	0.91	80.0	0.73	0.00	0.73
01/13/2017	STANFORD, DAVID	ING VOYA MARATHON PLUS	0.00	0.92	80.0	0.74	0.00	0.74
01/10/2017	STANFORD, ELAINE	PAC LIFE INNOVATIVE SELECT	0.00	73.42	80.0	58.74	0.00	58.74
01/11/2017	NEWBERN, BRENDA	PAC LIFE INNOVATIVE SELECT	0.00	4.66	80.0	3.73	0.00	3.73
01/09/2017	BRANCH, MARY	PAC LIFE PORTFOLIOS	0.00	210.04	80.0	168.03	0.00	168.03
01/09/2017	HAYES, GARY	PAC LIFE VALUE	0.00	6.55	80.0	5.24	0.00	5.24
01/17/2017	CARROLL, ARDITH	PAC LIFE VALUE	0.00	7.16	80.0	5.73	0.00	5.73
* VARIABLE ANNUITY 12B1 TRAILS SUBTOTAL *			\$0.00	\$303.66		\$242.94	\$0.00	\$242.94
*** BROKER TRANSACTIONS TOTAL ***			\$8,545.02	\$1,479.95		\$1,184.01	\$67.50	\$1,116.51

BROKER COMMISSION TOTALS

Broker Transactions	\$1,116.51
Split Transactions	\$0.00
Override Transactions	\$0.00
Adjustments	\$0.00
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$-166.13
FINRA Assessment	\$0.00
SIPC Assessment	\$0.00

Check Amount	\$950.38
Year-to-date Gross	\$3,128.18
Year-to-date Earnings	\$2,412.67

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