



Concorde Investment Services, LLC

01/27/2017  
Page No. 1

# COMMISSION STATEMENT

January 31, 2017

101 CFGROUP/KOSANKE  
1120 E. Long Lake Road  
Suite 250  
Troy, MI 48085

BROKER #: 101  
BRANCH: CONCORDE FINANCIAL G

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b><u>BROKER TRANSACTIONS</u></b>								
<b>PRODUCT CATEGORY: INTERVAL FUNDS</b>								
12/31/2016	ORTAGO, PAULA	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	1.32	0.00	1.32	95.0	1.25
12/31/2016	MCKENZIE TRUST, ROBERT & DONNA	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	2.69	0.00	2.69	95.0	2.56
12/31/2016	KOPCZYK TRUST, LAWRENCE & PATR	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	1.71	0.00	1.71	95.0	1.62
12/31/2016	MODRYCKI, MARGUERITE	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	0.08	0.00	0.08	95.0	0.08
12/31/2016	MODRYCKI, DONALD	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	0.09	0.00	0.09	95.0	0.09
12/30/2016	EQUITY TRUST CO	GRIFFIN INST ACCESS R E FUND C	115,000.00	1,150.00	0.00	1,150.00	95.0	1,092.50
^01/11/2017	OLSON, MELINDA	GRIFFIN INST ACCESS R E FUND C	15,000.00	150.00	0.00	150.00	95.0	0.00
^01/11/2017	OLSON, MELINDA	GRIFFIN INST ACCESS R E FUND C	18,039.25	180.39	0.00	180.39	95.0	0.00
01/17/2017	KAWALA, CHRISTINA	GRIFFIN INST ACCESS R E FUND C	25,000.00	250.00	0.00	250.00	95.0	237.50
01/18/2017	SUTTON, TIMOTHY	GRIFFIN INST ACCESS R E FUND C	19,564.89	195.65	0.00	195.65	95.0	185.87
* INTERVAL FUNDS SUBTOTAL *			<b>\$192,604.14</b>	<b>\$1,931.93</b>	<b>\$0.00</b>	<b>\$1,931.93</b>		<b>\$1,521.47</b>

<b>PRODUCT CATEGORY: MUTUAL FUNDS</b>								
01/05/2017	ZERILLI, SALVATORE	ALGER CAPITAL APPRECIATION A	0.00	5.61	0.00	5.61	95.0	5.33
01/05/2017	COOPER, IAN	ALGER CAPITAL APPRECIATION A	0.00	22.92	0.00	22.92	95.0	21.77
01/05/2017	RICHARDS, JAKOB	ALGER CAPITAL APPRECIATION C	0.00	2.39	0.00	2.39	95.0	2.27
01/05/2017	RICHARDS, JAKOB	ALGER CAPITAL APPRECIATION C	0.00	0.86	0.00	0.86	95.0	0.82
01/05/2017	RICHARDS, JAKOB	ALGER HEALTH SCIENCES C	0.00	1.90	0.00	1.90	95.0	1.81
01/05/2017	RICHARDS, JAKOB	ALGER HEALTH SCIENCES C	0.00	0.74	0.00	0.74	95.0	0.70
01/05/2017	ZERILLI, SALVATORE	ALGER LARGECAP GROWTH A	0.00	2.63	0.00	2.63	95.0	2.50
01/05/2017	SEKULA, MICHAEL	ALGER LARGECAP GROWTH A	0.00	0.89	0.00	0.89	95.0	0.85
01/05/2017	SEKULA, MICHAEL	ALGER LARGECAP GROWTH A	0.00	0.89	0.00	0.89	95.0	0.85
01/05/2017	SEKULA, KRISTINA	ALGER LARGECAP GROWTH A	0.00	0.89	0.00	0.89	95.0	0.85
01/05/2017	SEGARRA, AMY	ALGER LARGECAP GROWTH A	0.00	0.03	0.00	0.03	95.0	0.03
01/05/2017	NEUER-MIHALAK, LORIE	ALGER LARGECAP GROWTH A	0.00	3.36	0.00	3.36	95.0	3.19
01/05/2017	BRUGLIO, JULIA	ALGER LARGECAP GROWTH A	0.00	0.04	0.00	0.04	95.0	0.04
01/05/2017	RICHARDS, JAKOB	ALGER LARGECAP GROWTH C	0.00	2.29	0.00	2.29	95.0	2.18

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
<b><u>BROKER TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: MUTUAL FUNDS</u></b>								
01/05/2017	RICHARDS, JAKOB	ALGER LARGE CAP GROWTH C	0.00	0.77	0.00	0.77	95.0	0.73
01/05/2017	NEUER-MIHALAK, LORIE	ALGER MIDCAP GROWTH A	0.00	4.65	0.00	4.65	95.0	4.42
01/05/2017	MUNTEANU, RADU	ALGER MIDCAP GROWTH A	0.00	17.46	0.00	17.46	95.0	16.59
01/05/2017	MORSE, TRACY	ALGER MIDCAP GROWTH A	0.00	0.13	0.00	0.13	95.0	0.12
01/05/2017	KUCHAREK, PAUL	ALGER MIDCAP GROWTH A	0.00	3.27	0.00	3.27	95.0	3.11
01/05/2017	NEUER-MIHALAK, LORIE	ALGER MIDCAP GROWTH B	0.00	0.76	0.00	0.76	95.0	0.72
01/05/2017	RICHARDS, JAKOB	ALGER MIDCAP GROWTH C	0.00	2.29	0.00	2.29	95.0	2.18
01/05/2017	RICHARDS, JAKOB	ALGER MIDCAP GROWTH C	0.00	0.91	0.00	0.91	95.0	0.86
01/05/2017	HUANG, CONNIE LING	ALGER SMALLCAP GROWTH A	0.00	0.34	0.00	0.34	95.0	0.32
01/04/2017	MIKLEVICH, MICHAEL	ALLIANZ NFJ MIDCAP VALUE C	0.00	37.03	0.00	37.03	95.0	35.18
01/04/2017	MIKLEVICH, MICHAEL	ALLIANZ NFJ MIDCAP VALUE C	0.00	101.87	0.00	101.87	95.0	96.78
01/09/2017	BOWEN, ED	AM FUNDS CAPITAL WORLD GRTH & INC 5	100.00	4.25	0.00	4.25	95.0	4.04
^01/10/2017	NANAS, DAVID	AM FUNDS CAPITAL WORLD GRTH & INC A	100.00	5.00	0.00	5.00	95.0	0.00
01/20/2017	SARNACKI, PAUL	AM FUNDS CAPITAL WORLD GRTH & INC A	100.00	4.25	0.00	4.25	95.0	4.04
01/20/2017	MICHON, ERIK	AM FUNDS EUROPACIFIC GROWTH FUND 52	67.00	3.35	0.00	3.35	95.0	3.18
01/20/2017	SARNACKI, PAUL	AM FUNDS EUROPACIFIC GROWTH FUND A	100.00	4.25	0.00	4.25	95.0	4.04
01/09/2017	BOWEN, ED	AM FUNDS GROWTH FUND OF AMERICA 529	100.00	4.25	0.00	4.25	95.0	4.04
01/13/2017	SOBIESKI, JOYCE	AM FUNDS GROWTH FUND OF AMERICA C	37.50	0.38	0.00	0.38	95.0	0.36
01/17/2017	SCHNEIDER, DEBORAH	AM FUNDS GROWTH FUND OF AMERICA C	50.00	0.50	0.00	0.50	95.0	0.48
01/17/2017	WONCH, ELIZABETH	AM FUNDS ICA A	200.00	10.00	0.00	10.00	95.0	9.50
01/20/2017	MICHON, ERIK	AM FUNDS NEW ECONOMY 529A	67.00	3.35	0.00	3.35	95.0	3.18
01/10/2017	IVEZAJ, GYSTE	AM FUNDS WASHINGTON MUTUAL INVESTOR	50.00	1.88	0.00	1.88	95.0	1.79
01/13/2017	SOBIESKI, JOYCE	AM FUNDS WASHINGTON MUTUAL INVESTOR	37.50	0.38	0.00	0.38	95.0	0.36
01/17/2017	KEMP, JEREMY	AM FUNDS WASHINGTON MUTUAL INVESTOR	50.00	2.13	0.00	2.13	95.0	2.02
01/17/2017	BEHNKE, DANIEL	AM FUNDS WASHINGTON MUTUAL INVESTOR	50.00	2.50	0.00	2.50	95.0	2.38
12/31/2016	BURKE, KIMBERLY	BLACKROCK FUND 19452P594	0.00	2.49	0.00	2.49	95.0	2.37
12/31/2016	BURKE, KIMBERLY	BLACKROCK FUND 19452P594	0.00	7.47	0.00	7.47	95.0	7.10
12/31/2016	BURKE, KIMBERLY	BLACKROCK FUND 19452P610	0.00	2.02	0.00	2.02	95.0	1.92
12/31/2016	BURKE, KIMBERLY	BLACKROCK FUND 19452P628	0.00	2.03	0.00	2.03	95.0	1.93
12/31/2016	BURKE, KIMBERLY	BLACKROCK FUND 19452P628	0.00	2.06	0.00	2.06	95.0	1.96
12/31/2016	BURKE, KIMBERLY	BLACKROCK FUND 19452P628	0.00	6.09	0.00	6.09	95.0	5.79
12/31/2016	BURKE, KIMBERLY	BLACKROCK FUND 19452P628	0.00	6.17	0.00	6.17	95.0	5.86
12/31/2016	BURKE, KIMBERLY	BLACKROCK FUND 19452P636	0.00	5.93	0.00	5.93	95.0	5.63

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<b><u>BROKER TRANSACTIONS</u></b>								
<b>PRODUCT CATEGORY: MUTUAL FUNDS</b>								
12/31/2016	BURKE, KIMBERLY	BLACKROCK FUND 19452P636	0.00	6.28	0.00	6.28	95.0	5.97
12/31/2016	BAKER, JEAN-ANNE	BLK AGG 10-12 AGE BASED A	0.00	1.62	0.00	1.62	95.0	1.54
12/31/2016	MODRYCKI, DONALD	BLK AGG 10-12 AGE BASED A	0.00	0.47	0.00	0.47	95.0	0.45
12/31/2016	MERRITT, GREGORY	BLK AGG 10-12 AGE BASED A	0.00	4.06	0.00	4.06	95.0	3.86
12/31/2016	BAKER, JEAN-ANNE	BLK AGG 10-12 AGE BASED A	0.00	0.69	0.00	0.69	95.0	0.66
12/31/2016	YASCH, KEN	BLK AGG 13-16 AGE BASED A	0.00	0.56	0.00	0.56	95.0	0.53
12/31/2016	YASCH, SANDY	BLK AGG 6-9 AGE BASED A	0.00	0.57	0.00	0.57	95.0	0.54
12/31/2016	WILLIT	BLK AGG GROWTH A	0.00	4.15	0.00	4.15	95.0	3.94
12/31/2016	BAKER, JEAN-ANNE	BLK COLLEGE ADVANTAGE 529 PLAN	0.00	0.03	0.00	0.03	95.0	0.03
12/31/2016	BAKER, JEAN-ANNE	BLK COLLEGE ADVANTAGE 529 PLAN	0.00	0.09	0.00	0.09	95.0	0.09
12/31/2016	KING, DAVID	BLK EQUITY DIVIDEND C	0.00	0.47	0.00	0.47	95.0	0.45
12/31/2016	KING, DAVID	BLK EQUITY DIVIDEND C	0.00	0.16	0.00	0.16	95.0	0.15
12/31/2016	WETZEL, DIANNE	BLK MOD 0-5 AGE BASED C	0.00	2.20	0.00	2.20	95.0	2.09
12/31/2016	CFGROUP, VARIOUS	BLK MOD 0-5 AGE BASED C	0.00	2.95	0.00	2.95	95.0	2.80
12/31/2016	BUSZEK, RICHARD	BLK MOD 0-5 AGE BASED C	0.00	0.57	0.00	0.57	95.0	0.54
12/31/2016	WETZEL, DIANNE	BLK MOD 0-5 AGE BASED C	0.00	1.98	0.00	1.98	95.0	1.88
12/31/2016	WETZEL, DIANNE	BLK MOD 0-5 AGE BASED C	0.00	0.66	0.00	0.66	95.0	0.63
12/31/2016	BAKER, JEAN-ANNE	BLK MOD 0-5 AGE BASED C	0.00	0.09	0.00	0.09	95.0	0.09
12/31/2016	WETZEL, DIANNE	BLK MOD 0-5 AGE BASED C	0.00	0.73	0.00	0.73	95.0	0.69
12/31/2016	BUSZEK, RICHARD	BLK MOD 0-5 AGE BASED C	0.00	3.04	0.00	3.04	95.0	2.89
12/31/2016	BUSZEK, RICHARD	BLK MOD 0-5 AGE BASED C	0.00	1.01	0.00	1.01	95.0	0.96
12/31/2016	CFGROUP, VARIOUS	BLK MOD 0-5 AGE BASED C	0.00	0.98	0.00	0.98	95.0	0.93
12/31/2016	GAWTHROP, NANCY	BLK MOD 0-5 AGE BASED C	0.00	0.01	0.00	0.01	95.0	0.01
12/31/2016	GAWTHROP, NANCY	BLK MOD 0-5 AGE BASED C	0.00	0.02	0.00	0.02	95.0	0.02
12/31/2016	GAWTHROP, NANCY	BLK MOD 0-5 AGE BASED C	0.00	0.72	0.00	0.72	95.0	0.68
12/31/2016	GAWTHROP, NANCY	BLK MOD 0-5 AGE BASED C	0.00	0.24	0.00	0.24	95.0	0.23
12/31/2016	BAKER, JEAN-ANNE	BLK MOD 0-5 AGE BASED C	0.00	0.03	0.00	0.03	95.0	0.03
12/31/2016	BUSZEK, RICHARD	BLK MOD 0-5 AGE BASED C	0.00	1.71	0.00	1.71	95.0	1.62
12/31/2016	COOPER, LISA	BLK MOD 10-12 AGE BASED A	0.00	3.09	0.00	3.09	95.0	2.94
12/31/2016	GAWTHROP, NANCY	BLK MOD 10-12 AGE BASED A	0.00	0.93	0.00	0.93	95.0	0.88
12/31/2016	HOOTNER-JONES, ANN	BLK MOD 10-12 AGE BASED A	0.00	2.99	0.00	2.99	95.0	2.84
12/31/2016	HOOTNER-JONES, ANN	BLK MOD 10-12 AGE BASED A	0.00	2.99	0.00	2.99	95.0	2.84
01/17/2017	HOOTNER-JONES, ANN	BLK MOD 10-12 AGE BASED A	100.00	3.75	0.00	3.75	95.0	3.56

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<b><u>BROKER TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: MUTUAL FUNDS</u></b>								
01/17/2017	HOOTNER-JONES, ANN	BLK MOD 10-12 AGE BASED A	100.00	3.75	0.00	3.75	95.0	3.56
12/31/2016	COOPER, LISA	BLK MOD 10-12 AGE BASED C	0.00	1.86	0.00	1.86	95.0	1.77
12/31/2016	COOPER, LISA	BLK MOD 10-12 AGE BASED C	0.00	0.62	0.00	0.62	95.0	0.59
12/31/2016	BARENTS, SUZANNE	BLK MOD 10-12 AGE BASED C	0.00	1.04	0.00	1.04	95.0	0.99
12/31/2016	BARENTS, SUZANNE	BLK MOD 10-12 AGE BASED C	0.00	3.12	0.00	3.12	95.0	2.96
12/31/2016	NIZIO, MARGARET	BLK MOD 10-12 AGE BASED C	0.00	6.82	0.00	6.82	95.0	6.48
12/31/2016	GAWTHROP, NANCY	BLK MOD 10-12 AGE BASED C	0.00	0.67	0.00	0.67	95.0	0.64
12/31/2016	GAWTHROP, NANCY	BLK MOD 10-12 AGE BASED C	0.00	2.00	0.00	2.00	95.0	1.90
12/31/2016	MOELLER, RICHARD	BLK MOD 10-12 AGE BASED C	0.00	0.24	0.00	0.24	95.0	0.23
12/31/2016	MOELLER, RICHARD	BLK MOD 10-12 AGE BASED C	0.00	0.08	0.00	0.08	95.0	0.08
12/31/2016	NIZIO, EDMUND	BLK MOD 10-12 AGE BASED C	0.00	2.27	0.00	2.27	95.0	2.16
12/31/2016	NIZIO, EDMUND	BLK MOD 10-12 AGE BASED C	0.00	6.82	0.00	6.82	95.0	6.48
12/31/2016	NIZIO, MARGARET	BLK MOD 10-12 AGE BASED C	0.00	2.27	0.00	2.27	95.0	2.16
01/03/2017	NIZIO, MARGARET	BLK MOD 10-12 AGE BASED C	50.00	0.50	0.00	0.50	95.0	0.48
01/03/2017	NIZIO, EDMUND	BLK MOD 10-12 AGE BASED C	50.00	0.50	0.00	0.50	95.0	0.48
12/31/2016	KUCHAREK, PAUL	BLK MOD 13-16 AGE BASED A	0.00	2.26	0.00	2.26	95.0	2.15
12/31/2016	NIK, YASCH	BLK MOD 13-16 AGE BASED A	0.00	0.53	0.00	0.53	95.0	0.50
12/31/2016	GAWTHROP, NANCY	BLK MOD 13-16 AGE BASED A	0.00	1.36	0.00	1.36	95.0	1.29
12/31/2016	MERRITT, GREGORY	BLK MOD 13-16 AGE BASED A	0.00	1.95	0.00	1.95	95.0	1.85
12/31/2016	KUCHAREK, PAUL	BLK MOD 13-16 AGE BASED A	0.00	4.06	0.00	4.06	95.0	3.86
12/31/2016	MODRYCKI, DONALD	BLK MOD 13-16 AGE BASED A	0.00	1.07	0.00	1.07	95.0	1.02
12/31/2016	COOPER, LISA	BLK MOD 13-16 AGE BASED A	0.00	2.82	0.00	2.82	95.0	2.68
12/31/2016	HOOTNER-JONES, ANN	BLK MOD 13-16 AGE BASED A	0.00	4.70	0.00	4.70	95.0	4.47
01/17/2017	HOOTNER-JONES, ANN	BLK MOD 13-16 AGE BASED A	100.00	3.75	0.00	3.75	95.0	3.56
12/31/2016	COOPER, LISA	BLK MOD 13-16 AGE BASED C	0.00	0.57	0.00	0.57	95.0	0.54
12/31/2016	COOPER, LISA	BLK MOD 13-16 AGE BASED C	0.00	1.72	0.00	1.72	95.0	1.63
12/31/2016	GAWTHROP, NANCY	BLK MOD 13-16 AGE BASED C	0.00	0.55	0.00	0.55	95.0	0.52
12/31/2016	GAWTHROP, NANCY	BLK MOD 13-16 AGE BASED C	0.00	1.66	0.00	1.66	95.0	1.58
12/31/2016	TRYNAN, SHELLY	BLK MOD 13-16 AGE BASED C	0.00	0.90	0.00	0.90	95.0	0.86
12/31/2016	TRYNAN, SHELLY	BLK MOD 13-16 AGE BASED C	0.00	2.70	0.00	2.70	95.0	2.57
12/31/2016	TRYNAN, SHELLY	BLK MOD 13-16 AGE BASED C	0.00	0.47	0.00	0.47	95.0	0.45
12/31/2016	TRYNAN, SHELLY	BLK MOD 13-16 AGE BASED C	0.00	1.41	0.00	1.41	95.0	1.34
12/31/2016	MODRYCKI, DONALD	BLK MOD 17+ AGE BASED A	0.00	0.55	0.00	0.55	95.0	0.52

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<b><u>BROKER TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: MUTUAL FUNDS</u></b>								
12/31/2016	MODRYCKI, DONALD	BLK MOD 17+ AGE BASED A	0.00	0.06	0.00	0.06	95.0	0.06
12/31/2016	KUCHAREK, PAUL	BLK MOD 17+ AGE BASED A	0.00	2.13	0.00	2.13	95.0	2.02
12/31/2016	KUCHAREK, PAUL	BLK MOD 17+ AGE BASED A	0.00	3.77	0.00	3.77	95.0	3.58
12/31/2016	MERRITT, GREGORY	BLK MOD 17+ AGE BASED A	0.00	0.71	0.00	0.71	95.0	0.67
12/31/2016	MUENCH, DANIEL	BLK MOD 17+ AGE BASED A	0.00	2.31	0.00	2.31	95.0	2.19
12/31/2016	MUENCH, DANIEL	BLK MOD 17+ AGE BASED A	0.00	0.85	0.00	0.85	95.0	0.81
12/31/2016	MERRITT, GREGORY	BLK MOD 6-9 AGE BASED A	0.00	3.55	0.00	3.55	95.0	3.37
12/31/2016	GAWTHROP, NANCY	BLK MOD 6-9 AGE BASED A	0.00	0.35	0.00	0.35	95.0	0.33
12/31/2016	MOELLER, RICHARD	BLK MOD 6-9 AGE BASED C	0.00	0.11	0.00	0.11	95.0	0.10
12/31/2016	MOELLER, RICHARD	BLK MOD 6-9 AGE BASED C	0.00	0.04	0.00	0.04	95.0	0.04
12/31/2016	MOELLER, RICHARD	BLK MOD 6-9 AGE BASED C	0.00	0.04	0.00	0.04	95.0	0.04
12/31/2016	GAWTHROP, NANCY	BLK MOD 6-9 AGE BASED C	0.00	0.66	0.00	0.66	95.0	0.63
12/31/2016	BUSZEK, RICHARD	BLK MOD 6-9 AGE BASED C	0.00	3.03	0.00	3.03	95.0	2.88
12/31/2016	BUSZEK, RICHARD	BLK MOD 6-9 AGE BASED C	0.00	1.01	0.00	1.01	95.0	0.96
12/31/2016	GAWTHROP, NANCY	BLK MOD 6-9 AGE BASED C	0.00	0.66	0.00	0.66	95.0	0.63
12/31/2016	GAWTHROP, NANCY	BLK MOD 6-9 AGE BASED C	0.00	1.97	0.00	1.97	95.0	1.87
12/31/2016	MOELLER, RICHARD	BLK MOD 6-9 AGE BASED C	0.00	0.01	0.00	0.01	95.0	0.01
12/31/2016	BARENTS, SUZANNE	BLK MOD 6-9 AGE BASED C	0.00	1.05	0.00	1.05	95.0	1.00
12/31/2016	BARENTS, SUZANNE	BLK MOD 6-9 AGE BASED C	0.00	3.16	0.00	3.16	95.0	3.00
12/31/2016	COOPER, LISA	BLK MOD 6-9 AGE BASED C	0.00	6.21	0.00	6.21	95.0	5.90
12/31/2016	COOPER, LISA	BLK MOD 6-9 AGE BASED C	0.00	2.07	0.00	2.07	95.0	1.97
12/31/2016	GAWTHROP, NANCY	BLK MOD 6-9 AGE BASED C	0.00	1.99	0.00	1.99	95.0	1.89
/ /	SOLDAN-, MATTHEW	CALAMOS GROWTH & INCOME A	0.00	2.65	0.00	2.65	95.0	2.52
/ /	GRAVES, ANNE	CALAMOS GROWTH A	0.00	10.14	0.00	10.14	95.0	9.63
/ /	SOLDAN-, MATTHEW	CALAMOS GROWTH A	0.00	2.35	0.00	2.35	95.0	2.23
/ /	SOBIESKI, JOYCE	CALAMOS GROWTH C	0.00	28.80	0.00	28.80	95.0	27.36
01/05/2017	MERRITT, KATHY	COLUMBIA ACORN A	0.00	8.67	0.00	8.67	95.0	8.24
01/05/2017	EQUITY TRUST CO	COLUMBIA ACORN A	0.00	5.26	0.00	5.26	95.0	5.00
01/05/2017	SMARK, CHARLES	COLUMBIA ACORN A	0.00	5.91	0.00	5.91	95.0	5.61
01/05/2017	KUCHAREK, PAUL	COLUMBIA ACORN A	0.00	1.30	0.00	1.30	95.0	1.24
01/05/2017	MOORE, DONYELLE	COLUMBIA EQUITY VALUE A	0.00	0.85	0.00	0.85	95.0	0.81
01/05/2017	MUNTEANU, RADU	COLUMBIA GREATER CHINA A	0.00	5.90	0.00	5.90	95.0	5.61
01/05/2017	KLEMPNER TRUST, VLADIMIR	COLUMBIA INCOME BUILDER FUND A	0.00	8.84	0.00	8.84	95.0	8.40

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<b><u>BROKER TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: MUTUAL FUNDS</u></b>								
01/05/2017	SMYTH, DAVID	COLUMBIA LARGE CAP GROWTH A	0.00	2.81	0.00	2.81	95.0	2.67
01/05/2017	MOORE, DONYELLE	COLUMBIA MIDCAP VALUE A	0.00	8.39	0.00	8.39	95.0	7.97
01/05/2017	KULA, THOMAS	COLUMBIA SELIGMAN COMM AND INFO A	0.00	2.31	0.00	2.31	95.0	2.19
01/05/2017	HOSKIN, JOHN	COLUMBIA SELIGMAN COMM AND INFO A	0.00	4.66	0.00	4.66	95.0	4.43
01/05/2017	SWIDER, ROB	COLUMBIA SELIGMAN COMM AND INFO A	0.00	4.81	0.00	4.81	95.0	4.57
01/05/2017	VANMEER, MICHAEL	COLUMBIA SELIGMAN COMM AND INFO A	0.00	2.86	0.00	2.86	95.0	2.72
01/05/2017	SCULLY, DOROTHY	COLUMBIA SELIGMAN COMM AND INFO C	0.00	36.07	0.00	36.07	95.0	34.27
01/05/2017	NICHOLAOU, TIMO	COLUMBIA SELIGMAN GLOBAL TECH A	0.00	0.00	0.00	0.00	95.0	0.00
01/05/2017	MOORE, DONYELLE	COLUMBIA SMALL CAP VALUE I A	0.00	4.73	0.00	4.73	95.0	4.49
01/05/2017	KOSUTH, SARA	COLUMBIA STRATEGIC INVESTOR A	100.00	5.00	0.00	5.00	95.0	4.75
01/05/2017	KOSUTH, SARA	COLUMBIA STRATEGIC INVESTOR A	0.00	5.93	0.00	5.93	95.0	5.63
01/05/2017	KUCHAREK, EMMA	COLUMBIA STRATEGIC INVESTOR A	0.00	0.17	0.00	0.17	95.0	0.16
01/05/2017	KUCHAREK, PETER	COLUMBIA STRATEGIC INVESTOR A	0.00	0.17	0.00	0.17	95.0	0.16
01/05/2017	KUCHAREK, GILLIAN	COLUMBIA STRATEGIC INVESTOR A	0.00	0.17	0.00	0.17	95.0	0.16
01/05/2017	KUCHAREK, SARAH	COLUMBIA STRATEGIC INVESTOR A	0.00	0.17	0.00	0.17	95.0	0.16
01/05/2017	KINGSLEY, BRIAN GENE	COLUMBIA STRATEGIC INVESTOR A	0.00	2.45	0.00	2.45	95.0	2.33
01/05/2017	KUCHAREK, MIRIAM	COLUMBIA STRATEGIC INVESTOR A	0.00	0.18	0.00	0.18	95.0	0.17
01/03/2017	VARTABEDIAN, ROBERT	DAVIS FINANCIAL A	0.00	5.63	0.00	5.63	95.0	5.35
01/03/2017	ROY, JACKIE	DAVIS FINANCIAL A	0.00	6.17	0.00	6.17	95.0	5.86
01/03/2017	ROY, LORAIN	DAVIS FINANCIAL A	0.00	3.71	0.00	3.71	95.0	3.52
01/03/2017	SZETO, CHOWN	DAVIS FINANCIAL A	0.00	1.32	0.00	1.32	95.0	1.25
01/03/2017	MICHON, ERIK	DAVIS FINANCIAL A	0.00	1.64	0.00	1.64	95.0	1.56
01/03/2017	ROCCA, HELEN	DAVIS FINANCIAL A	0.00	5.19	0.00	5.19	95.0	4.93
01/03/2017	ROCCA, JOHN	DAVIS FINANCIAL A	0.00	8.89	0.00	8.89	95.0	8.45
01/03/2017	SMITH, DENNIS	DAVIS FINANCIAL A	0.00	3.71	0.00	3.71	95.0	3.52
01/03/2017	DUDZIK, ELZBIETA	DAVIS FINANCIAL A	0.00	3.49	0.00	3.49	95.0	3.32
01/03/2017	ROCCA, HELEN	DAVIS FINANCIAL A	0.00	3.99	0.00	3.99	95.0	3.79
01/03/2017	KEDZIERSKI, JERI	DAVIS FINANCIAL A	0.00	24.85	0.00	24.85	95.0	23.61
01/03/2017	ROCCA, JOHN	DAVIS FINANCIAL A	0.00	0.68	0.00	0.68	95.0	0.65
01/03/2017	TSANGANOS, OURANIA	DAVIS GLOBAL A	0.00	13.06	0.00	13.06	95.0	12.41
01/03/2017	TSANGANOS, NICHOLAOS	DAVIS GLOBAL A	0.00	13.06	0.00	13.06	95.0	12.41
01/03/2017	SELVAGGIO, VINCENZA	DAVIS GLOBAL A	0.00	3.82	0.00	3.82	95.0	3.63
01/03/2017	FRAZE, BILL	DAVIS GLOBAL A	0.00	4.22	0.00	4.22	95.0	4.01

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<b><u>BROKER TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: MUTUAL FUNDS</u></b>								
01/03/2017	VANDERMEER, BRETT	DAVIS GLOBAL A	0.00	7.55	0.00	7.55	95.0	7.17
01/03/2017	VANDERMEER, PAIGE	DAVIS GLOBAL A	0.00	7.55	0.00	7.55	95.0	7.17
01/03/2017	VARTABEDIAN, ROBERT	DAVIS GLOBAL A	0.00	4.63	0.00	4.63	95.0	4.40
01/03/2017	TSANGANOS, LEONIDAS	DAVIS GLOBAL A	0.00	8.37	0.00	8.37	95.0	7.95
01/03/2017	MITSOPOULOS, GEORGIA	DAVIS GLOBAL A	0.00	1.45	0.00	1.45	95.0	1.38
01/03/2017	MITSOPOULOS, GEORGIA	DAVIS GLOBAL A	0.00	1.82	0.00	1.82	95.0	1.73
01/03/2017	HINTZE, MICHAEL	DAVIS GLOBAL A	0.00	1.92	0.00	1.92	95.0	1.82
01/03/2017	DUDZIK, ELZBIETA	DAVIS GLOBAL A	0.00	1.75	0.00	1.75	95.0	1.66
01/03/2017	TSANGANOS, LEONIDAS	DAVIS GLOBAL A	0.00	4.92	0.00	4.92	95.0	4.67
01/03/2017	MCCARTNEY, JOHN	DAVIS GLOBAL A	0.00	0.70	0.00	0.70	95.0	0.67
01/03/2017	SCHEFFLER, NEAL	DAVIS GLOBAL A	0.00	4.00	0.00	4.00	95.0	3.80
01/03/2017	MCCARTNEY, JOHN	DAVIS GLOBAL A	0.00	0.51	0.00	0.51	95.0	0.48
01/03/2017	PISTOLESI, LEIGH	DAVIS GLOBAL A	0.00	2.20	0.00	2.20	95.0	2.09
01/03/2017	PISTOLESI, VAUGHN	DAVIS GLOBAL A	0.00	8.09	0.00	8.09	95.0	7.69
01/03/2017	SMITH, AMELIA	DAVIS GLOBAL A	0.00	0.94	0.00	0.94	95.0	0.89
01/03/2017	KIRSCHLING UTMA-MI, ANNA	DAVIS GLOBAL A	0.00	0.84	0.00	0.84	95.0	0.80
01/03/2017	ROCCA, HELEN	DAVIS GLOBAL A	0.00	2.40	0.00	2.40	95.0	2.28
01/03/2017	DANNIS, DIANE	DAVIS GLOBAL A	0.00	2.87	0.00	2.87	95.0	2.73
01/03/2017	SELVAGGIO, STEVE	DAVIS GLOBAL A	0.00	2.30	0.00	2.30	95.0	2.19
01/03/2017	VANDERMEER, SANDRA	DAVIS GLOBAL A	0.00	3.51	0.00	3.51	95.0	3.33
01/03/2017	KEDZIERSKI, JERI	DAVIS GLOBAL A	0.00	66.25	0.00	66.25	95.0	62.94
01/03/2017	VARTABEDIAN, ROBERT	DAVIS GOVERNMENT MONEY MARKET A	0.00	0.00	0.00	0.00	95.0	0.00
01/03/2017	ROCCA, HELEN	DAVIS GOVERNMENT MONEY MARKET A	0.00	0.00	0.00	0.00	95.0	0.00
01/03/2017	ROCCA, JOHN	DAVIS GOVERNMENT MONEY MARKET A	0.00	0.00	0.00	0.00	95.0	0.00
01/03/2017	GRUENER, ELEANOR	DAVIS GOVERNMENT MONEY MARKET A	0.00	0.00	0.00	0.00	95.0	0.00
^12/27/2016	CUDNIK, LEONARD	DAVIS NEW YORK VENTURE A	500.00	20.00	0.00	20.00	95.0	0.00
01/03/2017	PARTALIS, CHRISTINE	DAVIS NEW YORK VENTURE A	75.00	3.00	0.00	3.00	95.0	2.85
01/03/2017	HARRIS TRUST, JACOB	DAVIS NEW YORK VENTURE A	0.00	2.43	0.00	2.43	95.0	2.31
01/03/2017	PAPPAS, LARRY	DAVIS NEW YORK VENTURE A	0.00	123.58	0.00	123.58	95.0	117.40
01/03/2017	POLYZOIS, ALEX	DAVIS NEW YORK VENTURE A	0.00	4.28	0.00	4.28	95.0	4.07
01/03/2017	MURPHY, SEAN	DAVIS NEW YORK VENTURE A	0.00	14.58	0.00	14.58	95.0	13.85
01/03/2017	LUSK, AMY	DAVIS NEW YORK VENTURE A	0.00	3.33	0.00	3.33	95.0	3.16
01/03/2017	COMAIANNI, KATHLEEN	DAVIS NEW YORK VENTURE A	0.00	14.87	0.00	14.87	95.0	14.13

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<b><u>BROKER TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: MUTUAL FUNDS</u></b>								
01/03/2017	PESSINA, GAIL	DAVIS NEW YORK VENTURE A	0.00	68.62	0.00	68.62	95.0	65.19
01/03/2017	VARTABEDIAN, MARGARET	DAVIS NEW YORK VENTURE A	0.00	9.93	0.00	9.93	95.0	9.43
01/03/2017	TSEREGOUNIS, SPYROS	DAVIS NEW YORK VENTURE A	0.00	50.56	0.00	50.56	95.0	48.03
01/03/2017	CIAGLO, BETTY	DAVIS NEW YORK VENTURE A	0.00	83.54	0.00	83.54	95.0	79.36
01/03/2017	ANASTASIOU, BASILE	DAVIS NEW YORK VENTURE A	0.00	8.15	0.00	8.15	95.0	7.74
01/03/2017	TRU-LINE METAL PRODUCTS C	DAVIS NEW YORK VENTURE A	0.00	6.08	0.00	6.08	95.0	5.78
01/03/2017	ARVANT, PETER	DAVIS NEW YORK VENTURE A	0.00	160.79	0.00	160.79	95.0	152.75
01/03/2017	VARTABEDIAN, ROBERT	DAVIS NEW YORK VENTURE A	0.00	5.66	0.00	5.66	95.0	5.38
01/03/2017	REYNOLDS, DONALD	DAVIS NEW YORK VENTURE A	0.00	59.81	0.00	59.81	95.0	56.82
01/03/2017	YET, CHARLES	DAVIS NEW YORK VENTURE A	0.00	3.80	0.00	3.80	95.0	3.61
01/03/2017	TSANGANOS, NICHOLAOS	DAVIS NEW YORK VENTURE A	0.00	50.56	0.00	50.56	95.0	48.03
01/03/2017	PSIHOPEDAS, VLASSIS	DAVIS NEW YORK VENTURE A	0.00	125.25	0.00	125.25	95.0	118.99
01/03/2017	RUFFINO, ERNESTINE	DAVIS NEW YORK VENTURE A	0.00	42.23	0.00	42.23	95.0	40.12
01/03/2017	VARTABEDIAN, ARTHUR	DAVIS NEW YORK VENTURE A	0.00	3.80	0.00	3.80	95.0	3.61
01/03/2017	PESSINA, JAMES	DAVIS NEW YORK VENTURE A	0.00	1.52	0.00	1.52	95.0	1.44
01/03/2017	KNOWLES, SHANA	DAVIS NEW YORK VENTURE A	0.00	1.01	0.00	1.01	95.0	0.96
01/03/2017	PISTOLESI, VAUGHN	DAVIS NEW YORK VENTURE A	0.00	22.57	0.00	22.57	95.0	21.44
01/03/2017	PISTOLESI, LEIGH	DAVIS NEW YORK VENTURE A	0.00	1.17	0.00	1.17	95.0	1.11
01/03/2017	CISSELL, MICHELLE	DAVIS NEW YORK VENTURE A	0.00	17.50	0.00	17.50	95.0	16.63
01/03/2017	SUCHYITZ, DAVID	DAVIS NEW YORK VENTURE A	0.00	15.37	0.00	15.37	95.0	14.60
01/03/2017	RICCHIUTI, HERMAN	DAVIS NEW YORK VENTURE A	0.00	0.18	0.00	0.18	95.0	0.17
01/03/2017	ANDREAPOULOS, FOTINI	DAVIS NEW YORK VENTURE A	0.00	10.57	0.00	10.57	95.0	10.04
01/03/2017	ROY, JACKIE	DAVIS NEW YORK VENTURE A	0.00	4.60	0.00	4.60	95.0	4.37
01/03/2017	ROY, LORAINÉ	DAVIS NEW YORK VENTURE A	0.00	5.48	0.00	5.48	95.0	5.21
01/03/2017	SZETO, CHOWN	DAVIS NEW YORK VENTURE A	0.00	1.16	0.00	1.16	95.0	1.10
01/03/2017	DOUTSAS, FREIDA	DAVIS NEW YORK VENTURE A	0.00	53.74	0.00	53.74	95.0	51.05
01/03/2017	POTTS, JEFFERY	DAVIS NEW YORK VENTURE A	0.00	15.19	0.00	15.19	95.0	14.43
01/03/2017	SHERMAN, SCOTT	DAVIS NEW YORK VENTURE A	0.00	2.77	0.00	2.77	95.0	2.63
01/03/2017	MILLER-TAMM/AUTH PER, MARY	DAVIS NEW YORK VENTURE A	0.00	1.99	0.00	1.99	95.0	1.89
01/03/2017	PARTALIS, CHRISTINE	DAVIS NEW YORK VENTURE A	0.00	3.49	0.00	3.49	95.0	3.32
01/03/2017	CISSELL, EVAN	DAVIS NEW YORK VENTURE A	0.00	33.99	0.00	33.99	95.0	32.29
01/03/2017	GRUENBURG, ROY	DAVIS NEW YORK VENTURE A	0.00	26.79	0.00	26.79	95.0	25.45
01/03/2017	ROCCA, HELEN	DAVIS NEW YORK VENTURE A	0.00	17.55	0.00	17.55	95.0	16.67

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<b><u>BROKER TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: MUTUAL FUNDS</u></b>								
01/03/2017	ROCCA, JOHN	DAVIS NEW YORK VENTURE A	0.00	22.40	0.00	22.40	95.0	21.28
01/03/2017	SELVAGGIO, VINCENZA	DAVIS NEW YORK VENTURE A	0.00	1.02	0.00	1.02	95.0	0.97
01/03/2017	TSANGANOS, LEONIDAS	DAVIS NEW YORK VENTURE A	0.00	9.91	0.00	9.91	95.0	9.41
01/03/2017	SELVAGGIO, STEVE	DAVIS NEW YORK VENTURE A	0.00	1.07	0.00	1.07	95.0	1.02
01/03/2017	SMITH, DENNIS	DAVIS NEW YORK VENTURE A	0.00	3.82	0.00	3.82	95.0	3.63
01/03/2017	HINTZE, MICHAEL	DAVIS NEW YORK VENTURE A	0.00	8.86	0.00	8.86	95.0	8.42
01/03/2017	FRAZHO, JENNIFER	DAVIS NEW YORK VENTURE A	0.00	1.84	0.00	1.84	95.0	1.75
01/03/2017	TSOUKALAS, IOANNIS	DAVIS NEW YORK VENTURE A	0.00	3.43	0.00	3.43	95.0	3.26
01/03/2017	BECKER, ADRIANNA	DAVIS NEW YORK VENTURE A	0.00	0.89	0.00	0.89	95.0	0.85
01/03/2017	DUDZIK, ELZBIETA	DAVIS NEW YORK VENTURE A	0.00	23.38	0.00	23.38	95.0	22.21
01/03/2017	MCCARTNEY, JOHN	DAVIS NEW YORK VENTURE A	0.00	17.90	0.00	17.90	95.0	17.01
01/03/2017	VARTABEDIAN, TED	DAVIS NEW YORK VENTURE A	0.00	32.52	0.00	32.52	95.0	30.89
01/03/2017	PAVLIK, SUZANNE	DAVIS NEW YORK VENTURE A	0.00	6.39	0.00	6.39	95.0	6.07
01/03/2017	KOECHIG, CHRISTOPHER	DAVIS NEW YORK VENTURE A	0.00	0.73	0.00	0.73	95.0	0.69
01/03/2017	RAPER, LORRAINE	DAVIS NEW YORK VENTURE A	0.00	6.66	0.00	6.66	95.0	6.33
01/03/2017	MORICI, MICHELLE	DAVIS NEW YORK VENTURE A	0.00	24.95	0.00	24.95	95.0	23.70
01/03/2017	RITTER, WILLIAM	DAVIS NEW YORK VENTURE A	0.00	8.18	0.00	8.18	95.0	7.77
01/03/2017	SCHEFFLER, NEAL	DAVIS NEW YORK VENTURE A	0.00	27.19	0.00	27.19	95.0	25.83
01/03/2017	ZAWACKI, SANDY	DAVIS NEW YORK VENTURE A	0.00	65.90	0.00	65.90	95.0	62.61
01/03/2017	KEMPERMAN, MICHELLE	DAVIS NEW YORK VENTURE A	0.00	7.40	0.00	7.40	95.0	7.03
01/03/2017	BROSHEAR, SHARON	DAVIS NEW YORK VENTURE A	0.00	22.00	0.00	22.00	95.0	20.90
01/03/2017	BROSHEAR, ALEXANDER	DAVIS NEW YORK VENTURE A	0.00	10.09	0.00	10.09	95.0	9.59
01/03/2017	SCULLY, KATHLEEN	DAVIS NEW YORK VENTURE A	0.00	11.70	0.00	11.70	95.0	11.12
01/03/2017	BROSHEAR, KARA	DAVIS NEW YORK VENTURE A	0.00	11.98	0.00	11.98	95.0	11.38
01/03/2017	BROSHEAR, MARK	DAVIS NEW YORK VENTURE A	0.00	13.40	0.00	13.40	95.0	12.73
01/03/2017	PETRO, PAUL	DAVIS NEW YORK VENTURE A	0.00	30.46	0.00	30.46	95.0	28.94
01/03/2017	PISTOLESI, MORGAN	DAVIS NEW YORK VENTURE A	0.00	4.16	0.00	4.16	95.0	3.95
01/03/2017	GARLAND, DAWN	DAVIS NEW YORK VENTURE A	0.00	7.56	0.00	7.56	95.0	7.18
01/03/2017	KISH, VIVIAN	DAVIS NEW YORK VENTURE A	0.00	26.37	0.00	26.37	95.0	25.05
01/03/2017	KISH, VIVIAN	DAVIS NEW YORK VENTURE A	0.00	42.33	0.00	42.33	95.0	40.21
01/03/2017	LAPORTE, NATANIAL	DAVIS NEW YORK VENTURE A	0.00	2.03	0.00	2.03	95.0	1.93
01/03/2017	CUDNIK, LEONARD	DAVIS NEW YORK VENTURE A	0.00	14.54	0.00	14.54	95.0	13.81
01/03/2017	GABRAIL, JALAL	DAVIS NEW YORK VENTURE A	0.00	2.47	0.00	2.47	95.0	2.35

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<b><u>BROKER TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: MUTUAL FUNDS</u></b>								
01/03/2017	MCCARTNEY, JOHN	DAVIS NEW YORK VENTURE A	0.00	0.56	0.00	0.56	95.0	0.53
01/03/2017	MANSOUR, EVA	DAVIS NEW YORK VENTURE A	0.00	1.18	0.00	1.18	95.0	1.12
01/03/2017	MOELLER, RICHARD	DAVIS NEW YORK VENTURE A	0.00	8.42	0.00	8.42	95.0	8.00
01/03/2017	NICOLOSI, ROSE	DAVIS NEW YORK VENTURE A	0.00	12.47	0.00	12.47	95.0	11.85
01/03/2017	PISTOLESI, VAUGHN	DAVIS NEW YORK VENTURE A	0.00	9.64	0.00	9.64	95.0	9.16
01/03/2017	MORELLI, MARY	DAVIS NEW YORK VENTURE A	0.00	105.66	0.00	105.66	95.0	100.38
01/03/2017	MORELLI, MARY	DAVIS NEW YORK VENTURE A	0.00	27.05	0.00	27.05	95.0	25.70
01/03/2017	ANDREOPOULOS, KOULA	DAVIS NEW YORK VENTURE A	0.00	20.85	0.00	20.85	95.0	19.81
01/03/2017	BARBER, IAN	DAVIS NEW YORK VENTURE A	0.00	5.21	0.00	5.21	95.0	4.95
01/03/2017	BANKS, VICTORIA	DAVIS NEW YORK VENTURE A	0.00	15.63	0.00	15.63	95.0	14.85
01/03/2017	NIKOU, JIMMY	DAVIS NEW YORK VENTURE A	0.00	48.40	0.00	48.40	95.0	45.98
01/03/2017	ANASTASIOU, DESPINA	DAVIS NEW YORK VENTURE A	0.00	28.80	0.00	28.80	95.0	27.36
01/03/2017	ANASTASIOU, BASILE	DAVIS NEW YORK VENTURE A	0.00	62.02	0.00	62.02	95.0	58.92
01/03/2017	ALEXOPOULOS, PAUL	DAVIS NEW YORK VENTURE A	0.00	14.41	0.00	14.41	95.0	13.69
01/03/2017	NIKOU, JIMMY	DAVIS NEW YORK VENTURE A	0.00	61.85	0.00	61.85	95.0	58.76
01/03/2017	CISSELL, EVAN	DAVIS NEW YORK VENTURE A	0.00	15.62	0.00	15.62	95.0	14.84
01/03/2017	CISSELL, PATRICIA	DAVIS NEW YORK VENTURE A	0.00	79.49	0.00	79.49	95.0	75.52
01/03/2017	WALSH, MICHAEL	DAVIS NEW YORK VENTURE A	0.00	2.24	0.00	2.24	95.0	2.13
01/03/2017	SUCHYTA, DENNIS	DAVIS NEW YORK VENTURE A	0.00	3.44	0.00	3.44	95.0	3.27
01/03/2017	TASCH, MARTIN	DAVIS NEW YORK VENTURE A	0.00	8.26	0.00	8.26	95.0	7.85
01/03/2017	ARVANT, PETER	DAVIS NEW YORK VENTURE A	0.00	133.36	0.00	133.36	95.0	126.69
01/03/2017	FRAZE, BILL	DAVIS NEW YORK VENTURE A	0.00	86.43	0.00	86.43	95.0	82.11
01/03/2017	ROBINETTE, JANET	DAVIS NEW YORK VENTURE A	0.00	16.89	0.00	16.89	95.0	16.05
01/03/2017	HOWARD, LISA	DAVIS NEW YORK VENTURE A	0.00	6.13	0.00	6.13	95.0	5.82
01/03/2017	ROCCA, ALEX	DAVIS NEW YORK VENTURE A	0.00	1.94	0.00	1.94	95.0	1.84
01/03/2017	ROCCA, AARON	DAVIS NEW YORK VENTURE A	0.00	1.94	0.00	1.94	95.0	1.84
01/03/2017	ROCCA, JACQUELYN	DAVIS NEW YORK VENTURE A	0.00	1.94	0.00	1.94	95.0	1.84
01/03/2017	ROCCA, HELEN	DAVIS NEW YORK VENTURE A	0.00	8.23	0.00	8.23	95.0	7.82
01/03/2017	TSANGANOS, LABRENE	DAVIS NEW YORK VENTURE A	0.00	21.04	0.00	21.04	95.0	19.99
01/03/2017	PESSINA, GAIL	DAVIS NEW YORK VENTURE A	0.00	83.79	0.00	83.79	95.0	79.60
01/03/2017	MASTERSON, ANNA	DAVIS NEW YORK VENTURE A	0.00	0.71	0.00	0.71	95.0	0.67
01/03/2017	DOOTSAS, CHRIS	DAVIS NEW YORK VENTURE A	0.00	21.33	0.00	21.33	95.0	20.26
01/03/2017	REDDEN, TODD	DAVIS NEW YORK VENTURE A	0.00	3.38	0.00	3.38	95.0	3.21

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b><u>BROKER TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: MUTUAL FUNDS</u></b>								
01/03/2017	DOUMAS, IRENE	DAVIS NEW YORK VENTURE A	0.00	20.17	0.00	20.17	95.0	19.16
01/03/2017	DANNIS, DIANE	DAVIS NEW YORK VENTURE A	0.00	16.62	0.00	16.62	95.0	15.79
01/03/2017	OVERMYER, SUSAN	DAVIS NEW YORK VENTURE A	0.00	141.51	0.00	141.51	95.0	134.43
01/03/2017	GRUENER, ELEANOR	DAVIS NEW YORK VENTURE A	0.00	84.93	0.00	84.93	95.0	80.68
01/03/2017	DAVIS, JAMES	DAVIS NEW YORK VENTURE A	0.00	21.19	0.00	21.19	95.0	20.13
01/03/2017	HENKIN TRUST, RAYMOND & EDEN	DAVIS NEW YORK VENTURE A	0.00	34.37	0.00	34.37	95.0	32.65
01/03/2017	MAVRIKAKIS, MARIA	DAVIS NEW YORK VENTURE A	0.00	0.34	0.00	0.34	95.0	0.32
01/03/2017	KOPRINCE, RYAN	DAVIS NEW YORK VENTURE A	0.00	1.42	0.00	1.42	95.0	1.35
01/03/2017	COMAIANNI, KATHLEEN	DAVIS NEW YORK VENTURE A	0.00	18.00	0.00	18.00	95.0	17.10
01/03/2017	DOUTSAS, MICHAEL	DAVIS NEW YORK VENTURE A	0.00	12.01	0.00	12.01	95.0	11.41
01/03/2017	SUCHER, ADAM	DAVIS NEW YORK VENTURE A	0.00	2.89	0.00	2.89	95.0	2.75
01/03/2017	SCULLY, DOROTHY	DAVIS NEW YORK VENTURE A	0.00	170.04	0.00	170.04	95.0	161.54
01/03/2017	STUDAKER, RICHARD	DAVIS NEW YORK VENTURE A	0.00	60.33	0.00	60.33	95.0	57.31
01/03/2017	POLYZOIS, ELLIE	DAVIS NEW YORK VENTURE A	0.00	44.10	0.00	44.10	95.0	41.90
01/03/2017	PSIHOPEDAS, NICHOLAS	DAVIS NEW YORK VENTURE A	0.00	5.38	0.00	5.38	95.0	5.11
01/03/2017	DOUTSAS, DANNIE	DAVIS NEW YORK VENTURE A	0.00	7.00	0.00	7.00	95.0	6.65
01/03/2017	SELVAGGIO, ANTHONY	DAVIS NEW YORK VENTURE A	0.00	3.57	0.00	3.57	95.0	3.39
01/03/2017	SELVAGGIO, STEVE	DAVIS NEW YORK VENTURE A	0.00	1.36	0.00	1.36	95.0	1.29
01/03/2017	SELVAGGIO, VINCENZA	DAVIS NEW YORK VENTURE A	0.00	12.36	0.00	12.36	95.0	11.74
01/03/2017	PSIHOPEDAS, STAPHANIE	DAVIS NEW YORK VENTURE A	0.00	4.50	0.00	4.50	95.0	4.28
01/03/2017	HATSIOS, DEMETRIUS	DAVIS NEW YORK VENTURE A	0.00	3.96	0.00	3.96	95.0	3.76
01/03/2017	VANDERMEER, SANDRA	DAVIS NEW YORK VENTURE A	0.00	87.11	0.00	87.11	95.0	82.75
01/03/2017	FEINBERG, MARK	DAVIS NEW YORK VENTURE A	0.00	6.27	0.00	6.27	95.0	5.96
01/03/2017	LEMPINEN, DIANE	DAVIS NEW YORK VENTURE A	0.00	113.90	0.00	113.90	95.0	108.21
01/03/2017	SUCHER, ALLIE	DAVIS NEW YORK VENTURE A	0.00	2.72	0.00	2.72	95.0	2.58
01/03/2017	SUCHER, ERIK	DAVIS NEW YORK VENTURE A	0.00	2.72	0.00	2.72	95.0	2.58
01/03/2017	FUGARO, SOPHIA	DAVIS NEW YORK VENTURE A	0.00	18.98	0.00	18.98	95.0	18.03
01/03/2017	PAPPAS, JOHN	DAVIS NEW YORK VENTURE A	0.00	7.63	0.00	7.63	95.0	7.25
01/03/2017	BOLOGNA, ADAM	DAVIS NEW YORK VENTURE A	0.00	13.70	0.00	13.70	95.0	13.02
01/03/2017	PRATER-MANOR, AMY	DAVIS NEW YORK VENTURE A	0.00	56.68	0.00	56.68	95.0	53.85
01/03/2017	PRATER-MANOR, SARAH	DAVIS NEW YORK VENTURE A	0.00	57.30	0.00	57.30	95.0	54.44
01/03/2017	PESSINA, JOHN	DAVIS NEW YORK VENTURE A	0.00	13.02	0.00	13.02	95.0	12.37
01/03/2017	RICCHIUTI, HERMAN	DAVIS NEW YORK VENTURE A	0.00	78.02	0.00	78.02	95.0	74.12

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<b><u>BROKER TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: MUTUAL FUNDS</u></b>								
01/03/2017	OVERMYER, EMILY	DAVIS NEW YORK VENTURE A	0.00	14.00	0.00	14.00	95.0	13.30
01/03/2017	OVERMYER, STEVEN	DAVIS NEW YORK VENTURE A	0.00	46.19	0.00	46.19	95.0	43.88
01/03/2017	PAPPAS, JOHN	DAVIS NEW YORK VENTURE A	0.00	30.14	0.00	30.14	95.0	28.63
01/03/2017	KEDZIERSKI, JERI	DAVIS NEW YORK VENTURE A	0.00	104.39	0.00	104.39	95.0	99.17
01/03/2017	YET, BETTY	DAVIS NEW YORK VENTURE A	0.00	123.53	0.00	123.53	95.0	117.35
01/03/2017	OVERMYER, STEVEN	DAVIS NEW YORK VENTURE A	0.00	15.42	0.00	15.42	95.0	14.65
01/03/2017	GIARRATANO, LAUREN	DAVIS NEW YORK VENTURE A	0.00	2.00	0.00	2.00	95.0	1.90
01/03/2017	ROCCA, JOHN	DAVIS NEW YORK VENTURE A	0.00	1.83	0.00	1.83	95.0	1.74
01/03/2017	POTEMPA TRUST	DAVIS NEW YORK VENTURE A	0.00	18.81	0.00	18.81	95.0	17.87
01/03/2017	KRAUSE, BARBARA	DAVIS NEW YORK VENTURE A	0.00	30.72	0.00	30.72	95.0	29.18
12/28/2016	RITTER, WILLIAM	DAVIS NEW YORK VENTURE B	25.00	1.00	0.00	1.00	95.0	0.95
12/29/2016	PISTOLESI, VAUGHN	DAVIS NEW YORK VENTURE B	200.00	8.00	0.00	8.00	95.0	7.60
12/29/2016	PISTOLESI, MORGAN	DAVIS NEW YORK VENTURE B	100.00	4.00	0.00	4.00	95.0	3.80
01/03/2017	PISTOLESI, VAUGHN	DAVIS NEW YORK VENTURE B	0.00	6.82	0.00	6.82	95.0	6.48
01/03/2017	PISTOLESI, LEIGH	DAVIS NEW YORK VENTURE B	0.00	2.40	0.00	2.40	95.0	2.28
01/03/2017	BROSHEAR, SHARON	DAVIS NEW YORK VENTURE B	0.00	11.29	0.00	11.29	95.0	10.73
01/03/2017	MORICI, MICHELLE	DAVIS NEW YORK VENTURE B	0.00	2.30	0.00	2.30	95.0	2.19
01/03/2017	RITTER, WILLIAM	DAVIS NEW YORK VENTURE B	0.00	1.14	0.00	1.14	95.0	1.08
01/03/2017	GARLAND, DAWN	DAVIS NEW YORK VENTURE B	0.00	1.38	0.00	1.38	95.0	1.31
01/03/2017	PISTOLESI, MORGAN	DAVIS NEW YORK VENTURE B	0.00	6.84	0.00	6.84	95.0	6.50
01/03/2017	LIEN, CONNIE	DAVIS NEW YORK VENTURE C	0.00	30.41	0.00	30.41	95.0	28.89
01/03/2017	CISSELL, JOHN	DAVIS NEW YORK VENTURE C	0.00	355.56	0.00	355.56	95.0	337.78
01/03/2017	CISSELL, PATRICIA	DAVIS NEW YORK VENTURE C	0.00	355.56	0.00	355.56	95.0	337.78
01/03/2017	SALES, THOMAS	DAVIS OPPORTUNITY A	0.00	8.67	0.00	8.67	95.0	8.24
01/03/2017	BEDROSS, HELEN	DAVIS OPPORTUNITY A	0.00	7.69	0.00	7.69	95.0	7.31
01/03/2017	TSANGANOS, OURANIA	DAVIS OPPORTUNITY A	0.00	27.29	0.00	27.29	95.0	25.93
01/03/2017	TSANGANOS, NICHOLAOS	DAVIS OPPORTUNITY A	0.00	27.29	0.00	27.29	95.0	25.93
01/03/2017	CISSELL, JOHN	DAVIS OPPORTUNITY A	0.00	143.45	0.00	143.45	95.0	136.28
01/03/2017	SELVAGGIO, VINCENZA	DAVIS OPPORTUNITY A	0.00	13.40	0.00	13.40	95.0	12.73
01/03/2017	SELVAGGIO, STEVE	DAVIS OPPORTUNITY A	0.00	24.88	0.00	24.88	95.0	23.64
01/03/2017	TRU-LINE METAL PRODUCTS C	DAVIS OPPORTUNITY A	0.00	12.61	0.00	12.61	95.0	11.98
01/03/2017	CIAGLO, BETTY	DAVIS OPPORTUNITY A	0.00	21.59	0.00	21.59	95.0	20.51
01/03/2017	KOVACH, KATHLEEN	DAVIS OPPORTUNITY A	0.00	43.47	0.00	43.47	95.0	41.30

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<b><u>BROKER TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: MUTUAL FUNDS</u></b>								
01/03/2017	VAUGHN INVESTMENT CL	DAVIS OPPORTUNITY A	0.00	7.42	0.00	7.42	95.0	7.05
01/03/2017	BANKS, VICTORIA	DAVIS OPPORTUNITY A	0.00	15.88	0.00	15.88	95.0	15.09
01/03/2017	PRATER-MANOR, SARAH	DAVIS OPPORTUNITY A	0.00	13.53	0.00	13.53	95.0	12.85
01/03/2017	PRATER-MANOR, AMY	DAVIS OPPORTUNITY A	0.00	14.63	0.00	14.63	95.0	13.90
01/03/2017	ROCCA, HELEN	DAVIS OPPORTUNITY A	0.00	3.70	0.00	3.70	95.0	3.52
01/03/2017	ROCCA, JOHN	DAVIS OPPORTUNITY A	0.00	7.87	0.00	7.87	95.0	7.48
01/03/2017	TSANGANOS, LEONIDAS	DAVIS OPPORTUNITY A	0.00	5.47	0.00	5.47	95.0	5.20
01/03/2017	MCCARTNEY, JOHN	DAVIS OPPORTUNITY A	0.00	3.95	0.00	3.95	95.0	3.75
01/03/2017	TSANGANOS, LEONIDAS	DAVIS OPPORTUNITY A	0.00	18.58	0.00	18.58	95.0	17.65
01/03/2017	AMERMAN, LORI	DAVIS OPPORTUNITY A	0.00	2.95	0.00	2.95	95.0	2.80
01/03/2017	ROCCA, HELEN	DAVIS OPPORTUNITY A	0.00	0.17	0.00	0.17	95.0	0.16
01/03/2017	VANDERMEER, BRYON	DAVIS OPPORTUNITY A	0.00	54.07	0.00	54.07	95.0	51.37
01/03/2017	DOUTSAS, DANNIE	DAVIS OPPORTUNITY A	0.00	10.04	0.00	10.04	95.0	9.54
01/03/2017	VANDERMEER, SANDRA	DAVIS OPPORTUNITY A	0.00	9.75	0.00	9.75	95.0	9.26
01/03/2017	KEDZIERSKI, JERI	DAVIS OPPORTUNITY A	0.00	37.57	0.00	37.57	95.0	35.69
01/03/2017	SELVAGGIO, VINCENZA	DAVIS REAL ESTATE A	0.00	2.63	0.00	2.63	95.0	2.50
01/03/2017	SELVAGGIO, STEVE	DAVIS REAL ESTATE A	0.00	7.21	0.00	7.21	95.0	6.85
01/03/2017	VARTABEDIAN, ROBERT	DAVIS REAL ESTATE A	0.00	5.59	0.00	5.59	95.0	5.31
01/03/2017	ROY, JACKIE	DAVIS REAL ESTATE A	0.00	5.36	0.00	5.36	95.0	5.09
01/03/2017	ROY, LORAIN	DAVIS REAL ESTATE A	0.00	4.86	0.00	4.86	95.0	4.62
01/03/2017	SZETO, CHOWN	DAVIS REAL ESTATE A	0.00	1.24	0.00	1.24	95.0	1.18
01/03/2017	MICHON, ERIK	DAVIS REAL ESTATE A	0.00	1.92	0.00	1.92	95.0	1.82
01/03/2017	ROCCA, HELEN	DAVIS REAL ESTATE A	0.00	0.21	0.00	0.21	95.0	0.20
01/03/2017	ROCCA, JOHN	DAVIS REAL ESTATE A	0.00	2.05	0.00	2.05	95.0	1.95
01/03/2017	SMITH, DENNIS	DAVIS REAL ESTATE A	0.00	4.51	0.00	4.51	95.0	4.28
01/03/2017	MITSOPOULOS, GEORGIA	DAVIS REAL ESTATE A	0.00	2.93	0.00	2.93	95.0	2.78
01/03/2017	DUDZIK, ELZBIETA	DAVIS REAL ESTATE A	0.00	4.36	0.00	4.36	95.0	4.14
01/03/2017	VANDERMEER, SANDRA	DAVIS REAL ESTATE A	0.00	4.38	0.00	4.38	95.0	4.16
01/11/2017	DAVIS, LYNN	DWS CORE EQUITY FUND A	0.00	0.94	0.00	0.94	95.0	0.89
01/11/2017	ENDLICH, RICHARD	DWS DEUTSCHE CAPITAL GROWTH FUND-A	0.00	91.86	0.00	91.86	95.0	87.27
01/11/2017	DAVIS, LYNN	DWS DEUTSCHE CAPITAL GROWTH FUND-A	0.00	0.82	0.00	0.82	95.0	0.78
01/11/2017	DAVENPORT, JOHN	DWS DEUTSCHE CORE PLUS INCOME FUND-	0.00	0.03	0.00	0.03	95.0	0.03
01/11/2017	HENDERSON, OSCAR	DWS DEUTSCHE GLOBAL GROWTH FUND-A	0.00	12.85	0.00	12.85	95.0	12.21

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<b><u>BROKER TRANSACTIONS</u></b>								
<b>PRODUCT CATEGORY: MUTUAL FUNDS</b>								
01/11/2017	ROLLINS, DOLORES	DWS DEUTSCHE HIGH INCOME FUND A	0.00	5.10	0.00	5.10	95.0	4.85
01/11/2017	GRINNELL TRUST, BRYAN	DWS DEUTSCHE HIGH INCOME FUND A	0.00	2.52	0.00	2.52	95.0	2.39
01/11/2017	REVITZER, SANDRA	DWS DEUTSCHE HIGH INCOME FUND A	0.00	48.96	0.00	48.96	95.0	46.51
01/11/2017	ROSS, DAVID	DWS DEUTSCHE HIGH INCOME FUND A	0.00	74.69	0.00	74.69	95.0	70.96
01/11/2017	WARMANN TRUST, WALTER	DWS DEUTSCHE HIGH INCOME FUND A	0.00	26.96	0.00	26.96	95.0	25.61
01/11/2017	JAGGER, ALBERT	DWS DEUTSCHE HIGH INCOME FUND A	0.00	91.70	0.00	91.70	95.0	87.12
01/11/2017	ADRAGNA, NICOLE	DWS DEUTSCHE HIGH INCOME FUND A	0.00	2.28	0.00	2.28	95.0	2.17
01/11/2017	CIAGLO, BETTY	DWS DEUTSCHE HIGH INCOME FUND A	0.00	6.68	0.00	6.68	95.0	6.35
01/11/2017	OLWEEAN, ADAM	DWS DEUTSCHE HIGH INCOME FUND A	0.00	33.92	0.00	33.92	95.0	32.22
01/11/2017	HOSLEY, KATHLEEN	DWS DEUTSCHE HIGH INCOME FUND A	0.00	0.59	0.00	0.59	95.0	0.56
01/11/2017	BAKEWELL, RALPH	DWS DEUTSCHE HIGH INCOME FUND A	0.00	10.88	0.00	10.88	95.0	10.34
01/11/2017	GRINNELL TRUST, BRYAN	DWS DEUTSCHE HIGH INCOME FUND A	0.00	4.50	0.00	4.50	95.0	4.28
01/11/2017	WARMANN TRUST, WALTER	DWS DEUTSCHE UNCONSTRAINED INCOME F	0.00	2.15	0.00	2.15	95.0	2.04
01/11/2017	WARMANN TRUST, RUTH	DWS DEUTSCHE UNCONSTRAINED INCOME F	0.00	2.15	0.00	2.15	95.0	2.04
01/11/2017	PATINOS, GLORIA	DWS GLOBAL INCOME BUILDER A	0.00	25.86	0.00	25.86	95.0	24.57
01/11/2017	DOBROTH, THERESA	DWS GLOBAL INCOME BUILDER A	0.00	15.71	0.00	15.71	95.0	14.92
01/11/2017	RILEY, ROBERT	DWS SEUTSCHE MANAGED MUNICIPAL BOND	0.00	23.03	0.00	23.03	95.0	21.88
01/11/2017	GRINNELL TRUST, BRYAN	DWS STRATEGIC GOVERNMENT SECURITIES	0.00	7.34	0.00	7.34	95.0	6.97
01/11/2017	CISSELL, PATRICIA	DWSE HIGH INCOME FUND C	0.00	294.63	0.00	294.63	95.0	279.90
01/10/2017	TYSZKIEWICZ, KURT	FRANKLIN GROWTH C	100.00	1.00	0.00	1.00	95.0	0.95
01/01/2017	SABOL, NICHOLAS	INVESCO AMERICAN FRANCHISE A	0.00	3.12	0.00	3.12	95.0	2.96
01/01/2017	WATSON, WILLIAM	INVESCO AMERICAN FRANCHISE A	0.00	11.21	0.00	11.21	95.0	10.65
01/01/2017	HENDERSON JT TEN, CAROLYN	INVESCO AMERICAN FRANCHISE A	0.00	2.22	0.00	2.22	95.0	2.11
01/01/2017	SABOL, MAXWELLA	INVESCO AMERICAN FRANCHISE A	0.00	16.95	0.00	16.95	95.0	16.10
01/01/2017	PELC TOD ACCOUNT, RODERICK	INVESCO AMERICAN FRANCHISE A	0.00	0.53	0.00	0.53	95.0	0.50
01/01/2017	DANDRON, JAY	INVESCO AMERICAN FRANCHISE A	0.00	4.99	0.00	4.99	95.0	4.74
01/01/2017	MOYER-GUSE, EMILY	INVESCO AMERICAN FRANCHISE A	0.00	5.23	0.00	5.23	95.0	4.97
01/01/2017	VANDAELE, JENNIFER	INVESCO AMERICAN FRANCHISE A	0.00	0.74	0.00	0.74	95.0	0.70
01/01/2017	VAN DAELE, JILLIAN	INVESCO AMERICAN FRANCHISE A	0.00	0.31	0.00	0.31	95.0	0.29
01/01/2017	VAN DAELE, JANE	INVESCO AMERICAN FRANCHISE A	0.00	0.13	0.00	0.13	95.0	0.12
01/01/2017	GRUBER, ALYSSA	INVESCO AMERICAN FRANCHISE A	0.00	0.37	0.00	0.37	95.0	0.35
01/01/2017	SCHROETER, RICHARD	INVESCO AMERICAN FRANCHISE A	0.00	0.79	0.00	0.79	95.0	0.75
01/01/2017	SALLEY, MATTHEW	INVESCO AMERICAN FRANCHISE A	0.00	0.37	0.00	0.37	95.0	0.35

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<b><u>BROKER TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: MUTUAL FUNDS</u></b>								
01/01/2017	SALLEY, TERENCE	INVESCO AMERICAN FRANCHISE A	0.00	0.23	0.00	0.23	95.0	0.22
01/01/2017	ELBERT UTMA/MI, NICHOLAS	INVESCO AMERICAN FRANCHISE A	0.00	0.40	0.00	0.40	95.0	0.38
01/01/2017	MCINTYRE, SCOTT	INVESCO AMERICAN FRANCHISE A	0.00	0.14	0.00	0.14	95.0	0.13
01/01/2017	NOWACKI, MICHAEL	INVESCO AMERICAN FRANCHISE A	0.00	1.00	0.00	1.00	95.0	0.95
01/01/2017	WILLIAMS, PAUL	INVESCO AMERICAN FRANCHISE A	0.00	1.45	0.00	1.45	95.0	1.38
01/01/2017	SCHROETER, MARY	INVESCO AMERICAN FRANCHISE A	0.00	0.79	0.00	0.79	95.0	0.75
01/01/2017	MCINTYRE, SCOTT	INVESCO AMERICAN FRANCHISE A	0.00	0.12	0.00	0.12	95.0	0.11
01/01/2017	BUTLER, PAUL	INVESCO AMERICAN FRANCHISE A	0.00	1.38	0.00	1.38	95.0	1.31
01/01/2017	GILLESPIE, SCOTT	INVESCO AMERICAN FRANCHISE A	0.00	0.14	0.00	0.14	95.0	0.13
01/01/2017	HUNTER UGMA/MI, NICOLE	INVESCO AMERICAN FRANCHISE A	0.00	1.51	0.00	1.51	95.0	1.43
01/01/2017	KOWAL UGMA/MI, ALEXANDER	INVESCO AMERICAN FRANCHISE A	0.00	9.68	0.00	9.68	95.0	9.20
01/01/2017	MARSH/SEP, GARY	INVESCO AMERICAN FRANCHISE A	0.00	7.70	0.00	7.70	95.0	7.32
01/01/2017	O'BRIEN, AMY	INVESCO AMERICAN FRANCHISE A	0.00	3.50	0.00	3.50	95.0	3.33
01/01/2017	RUSSEL O'BRIEN UGMA/MI, JOHN	INVESCO AMERICAN FRANCHISE A	0.00	4.30	0.00	4.30	95.0	4.09
01/01/2017	JARZEBOSKI, DIANE	INVESCO AMERICAN FRANCHISE A	0.00	1.76	0.00	1.76	95.0	1.67
01/01/2017	BERGLUND, KRIS	INVESCO AMERICAN FRANCHISE A	0.00	1.69	0.00	1.69	95.0	1.61
01/01/2017	KOWAL UGMA/MI, ALEXANDER	INVESCO AMERICAN FRANCHISE FUND CL-	0.00	6.71	0.00	6.71	95.0	6.37
01/01/2017	SALLEY, TERENCE	INVESCO ASIA PACIFIC GROWTH A	0.00	0.55	0.00	0.55	95.0	0.52
01/01/2017	MCINTYRE, SCOTT	INVESCO ASIA PACIFIC GROWTH A	0.00	0.05	0.00	0.05	95.0	0.05
01/01/2017	ELBERT UTMA/MI, NATHANIEL	INVESCO ASIA PACIFIC GROWTH A	0.00	1.16	0.00	1.16	95.0	1.10
01/01/2017	PRZYBYLOWICZ, NORBERT	INVESCO ASIA PACIFIC GROWTH A	0.00	4.12	0.00	4.12	95.0	3.91
01/01/2017	HARRINGTON, KAY	INVESCO ASIA PACIFIC GROWTH A	0.00	3.92	0.00	3.92	95.0	3.72
01/01/2017	WOLAK SEP, SHARON	INVESCO ASIA PACIFIC GROWTH A	0.00	2.48	0.00	2.48	95.0	2.36
01/01/2017	SHEARIN, APRIL	INVESCO CHARTER FUND A	0.00	11.73	0.00	11.73	95.0	11.14
01/01/2017	MOWINSKI, NATASHIA	INVESCO CHARTER FUND A	0.00	2.59	0.00	2.59	95.0	2.46
01/01/2017	PITRAGO, ALEX	INVESCO CHARTER FUND A	0.00	5.67	0.00	5.67	95.0	5.39
01/01/2017	KRENGEL, KATHERINE	INVESCO CHARTER FUND A	0.00	4.24	0.00	4.24	95.0	4.03
01/01/2017	NEIKO SFERRO UTMA/FL, DOMINIC	INVESCO CHARTER FUND A	0.00	11.24	0.00	11.24	95.0	10.68
01/01/2017	DANDRON, JAY	INVESCO CHARTER FUND A	0.00	17.39	0.00	17.39	95.0	16.52
01/01/2017	RAYMOND O'CONNOR UGMA/MI,	INVESCO CHARTER FUND A	0.00	2.09	0.00	2.09	95.0	1.99
01/01/2017	CRONENWETT, JULIE	INVESCO CHARTER FUND A	0.00	2.02	0.00	2.02	95.0	1.92
01/01/2017	SHERMAN, SCOTT	INVESCO CHARTER FUND A	0.00	2.67	0.00	2.67	95.0	2.54
01/01/2017	SMYTH, DAVID	INVESCO CHARTER FUND A	0.00	6.52	0.00	6.52	95.0	6.19

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<b><u>BROKER TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: MUTUAL FUNDS</u></b>								
01/01/2017	SALLEY, TERENCE	INVESCO CHARTER FUND A	0.00	0.14	0.00	0.14	95.0	0.13
01/01/2017	ROCK ST PIERRE UGMA/MI,	INVESCO CHARTER FUND A	0.00	0.16	0.00	0.16	95.0	0.15
01/01/2017	JACKOVIK, GLORIA	INVESCO CHARTER FUND A	0.00	0.02	0.00	0.02	95.0	0.02
01/01/2017	DAIZA, PHILLIP	INVESCO CHARTER FUND A	0.00	10.88	0.00	10.88	95.0	10.34
01/01/2017	MCINTYRE, SCOTT	INVESCO CHARTER FUND A	0.00	0.04	0.00	0.04	95.0	0.04
01/01/2017	ANN GERMAIN UGMA/MI, ALISON	INVESCO CHARTER FUND A	0.00	3.88	0.00	3.88	95.0	3.69
01/01/2017	WILLIAMS, PAUL	INVESCO CHARTER FUND A	0.00	0.74	0.00	0.74	95.0	0.70
01/01/2017	SALLEY UGMA/MI, NATHAN	INVESCO CHARTER FUND A	0.00	1.44	0.00	1.44	95.0	1.37
01/01/2017	LECIK, TONIA	INVESCO CHARTER FUND A	0.00	0.12	0.00	0.12	95.0	0.11
01/01/2017	SANGMEISTER, GINA	INVESCO CHARTER FUND A	0.00	0.65	0.00	0.65	95.0	0.62
01/01/2017	WEAVER, TAMMY	INVESCO CHARTER FUND A	0.00	6.29	0.00	6.29	95.0	5.98
01/01/2017	BUCKINGHAM MIN, GEORGE	INVESCO CHARTER FUND A	0.00	0.13	0.00	0.13	95.0	0.12
01/01/2017	O'BRIEN, AMY	INVESCO CHARTER FUND A	0.00	5.34	0.00	5.34	95.0	5.07
01/01/2017	RUSSEL O'BRIEN UGMA/MI, JOHN	INVESCO CHARTER FUND A	0.00	0.50	0.00	0.50	95.0	0.48
01/01/2017	JOSEPH SUCHER UGMA/MI, ADAM	INVESCO CHARTER FUND A	0.00	1.34	0.00	1.34	95.0	1.27
01/01/2017	DAIZA, PHILLIP	INVESCO CHARTER FUND B	0.00	1.54	0.00	1.54	95.0	1.46
01/01/2017	DAIZA, PHILLIP	INVESCO CHARTER FUND C	0.00	9.34	0.00	9.34	95.0	8.87
01/01/2017	HENDERSON JT TEN, CAROLYN	INVESCO CONVERTIBLE SECURITIES A	0.00	2.34	0.00	2.34	95.0	2.22
01/01/2017	HENDERSON, OSCAR	INVESCO CONVERTIBLE SECURITIES A	0.00	17.27	0.00	17.27	95.0	16.41
01/01/2017	PELC TOD ACCOUNT, RODERICK	INVESCO CORPORATE BOND A	0.00	1.55	0.00	1.55	95.0	1.47
01/01/2017	MOWINSKI, NATASHIA	INVESCO DEVELOPING MARKETS A	0.00	0.30	0.00	0.30	95.0	0.29
01/01/2017	VAN DAELE, JACOB	INVESCO DEVELOPING MARKETS A	0.00	0.54	0.00	0.54	95.0	0.51
01/01/2017	MUNTEANU, DACIA	INVESCO DEVELOPING MARKETS A	0.00	8.63	0.00	8.63	95.0	8.20
01/01/2017	PITRAGO, ALEX	INVESCO DEVELOPING MARKETS A	0.00	1.59	0.00	1.59	95.0	1.51
01/01/2017	MCINTYRE, SCOTT	INVESCO DEVELOPING MARKETS A	0.00	0.04	0.00	0.04	95.0	0.04
01/01/2017	MCINTYRE, SCOTT	INVESCO EUROPEAN GROWTH FUND A	0.00	0.05	0.00	0.05	95.0	0.05
01/01/2017	SOUTHWORTH, STEPHANIE	INVESCO EUROPEAN GROWTH FUND A	0.00	0.37	0.00	0.37	95.0	0.35
01/01/2017	LEE, LESLIE	INVESCO EUROPEAN GROWTH FUND A	0.00	1.06	0.00	1.06	95.0	1.01
01/01/2017	WASHINGTON, PAULA	INVESCO EUROPEAN GROWTH FUND A	0.00	2.51	0.00	2.51	95.0	2.38
01/01/2017	VANDAELE, JENNIFER	INVESCO EUROPEAN SMALL COMPANY A	0.00	0.58	0.00	0.58	95.0	0.55
01/01/2017	VAN DAELE, JILLIAN	INVESCO EUROPEAN SMALL COMPANY A	0.00	0.91	0.00	0.91	95.0	0.86
01/01/2017	VAN DAELE UGMA/MI, JANE	INVESCO GBL SMALL & MID CAP GROWTH	0.00	0.90	0.00	0.90	95.0	0.86
01/01/2017	VAN DAELE, JENNA	INVESCO GBL SMALL & MID CAP GROWTH	0.00	0.57	0.00	0.57	95.0	0.54

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<b><u>BROKER TRANSACTIONS</u></b>								
<b>PRODUCT CATEGORY: MUTUAL FUNDS</b>								
01/01/2017	ELBERT UTMA/MI, NICHOLAS	INVESCO GBL SMALL & MID CAP GROWTH	0.00	0.56	0.00	0.56	95.0	0.53
01/01/2017	FISHER, NATHAN	INVESCO GBL SMALL & MID CAP GROWTH	0.00	6.35	0.00	6.35	95.0	6.03
01/01/2017	PELC TOD ACCOUNT, RODERICK	INVESCO GLOBAL GROWTH A	0.00	1.14	0.00	1.14	95.0	1.08
01/01/2017	VANDAELE, JENNIFER	INVESCO GLOBAL HEALTH CARE A	0.00	0.51	0.00	0.51	95.0	0.48
01/01/2017	VAN DAELE, JANE	INVESCO GLOBAL HEALTH CARE A	0.00	0.39	0.00	0.39	95.0	0.37
01/01/2017	HARRINGTON, KAY	INVESCO GLOBAL HEALTH CARE A	0.00	2.42	0.00	2.42	95.0	2.30
01/01/2017	MANKO, MARGARET	INVESCO HIGH YIELD FUND A	0.00	5.61	0.00	5.61	95.0	5.33
01/01/2017	COOPER, BENNETT	INVESCO MIDCAP GROWTH A	0.00	1.47	0.00	1.47	95.0	1.40
01/01/2017	COOPER, MADISON	INVESCO MIDCAP GROWTH A	0.00	1.80	0.00	1.80	95.0	1.71
01/01/2017	SCHROETER, RICHARD	INVESCO MIDCAP GROWTH A	0.00	0.89	0.00	0.89	95.0	0.85
01/01/2017	PALAZZOLO UTMA/MI, JULIA	INVESCO MIDCAP GROWTH A	0.00	1.58	0.00	1.58	95.0	1.50
01/01/2017	ELBERT UTMA/MI, NATHANIEL	INVESCO MIDCAP GROWTH A	0.00	0.74	0.00	0.74	95.0	0.70
01/01/2017	SCHROETER, MARY	INVESCO MIDCAP GROWTH A	0.00	0.89	0.00	0.89	95.0	0.85
01/01/2017	DUDZIK, ELZBIETA	INVESCO SENIOR LOAN FUND IB	0.00	32.70	0.00	32.70	95.0	31.07
01/01/2017	CEBALT, THOMAS	INVESCO SMALL CAP EQUITY A	0.00	0.07	0.00	0.07	95.0	0.07
01/01/2017	PELC TOD ACCOUNT, RODERICK	INVESCO TECHNOLOGY A	0.00	0.99	0.00	0.99	95.0	0.94
01/01/2017	VAN DAELE, JACOB	INVESCO TECHNOLOGY A	0.00	0.24	0.00	0.24	95.0	0.23
01/01/2017	CRONENWETT, JULIE	INVESCO TECHNOLOGY A	0.00	0.28	0.00	0.28	95.0	0.27
01/01/2017	WILSON, GARRETT	INVESCO TECHNOLOGY A	0.00	8.58	0.00	8.58	95.0	8.15
01/01/2017	ELBERT UTMA/MI, NICHOLAS	INVESCO TECHNOLOGY A	0.00	0.10	0.00	0.10	95.0	0.10
01/01/2017	SEMKE, DEANNA	INVESCO TECHNOLOGY A	0.00	0.15	0.00	0.15	95.0	0.14
01/01/2017	ELBERT UTMA/MI, NATHANIEL	INVESCO TECHNOLOGY A	0.00	0.10	0.00	0.10	95.0	0.10
01/01/2017	NIXON, NORMA	INVESCO TECHNOLOGY A	0.00	3.13	0.00	3.13	95.0	2.97
01/01/2017	CELANI TRUST, VINCENZO	INVESCO US GOVT A	0.00	8.17	0.00	8.17	95.0	7.76
01/01/2017	MOORE, FRED	INVESCO US GOVT A	0.00	37.28	0.00	37.28	95.0	35.42
01/01/2017	CRONIN, LISA	INVESCO US GOVT A	0.00	1.93	0.00	1.93	95.0	1.83
01/01/2017	WATSON, WILLIAM	INVESCO US GOVT A	0.00	5.07	0.00	5.07	95.0	4.82
01/01/2017	OBIE, THOMAS	INVESCO US GOVT A	0.00	18.02	0.00	18.02	95.0	17.12
01/17/2017	LAI, MICHAEL	JH FINANCIAL INDUSTRIES A	0.00	1.14	0.00	1.14	95.0	1.08
01/17/2017	MALINAK, FRANCES	JH FINANCIAL INDUSTRIES A	0.00	7.14	0.00	7.14	95.0	6.78
01/17/2017	BOHACEK, STEVE	JH LARGE CAP EQUITY A	0.00	4.72	0.00	4.72	95.0	4.48
01/17/2017	RACK, ROBERT	JH LARGE CAP EQUITY A	0.00	5.19	0.00	5.19	95.0	4.93
01/17/2017	ENGLEBERT, JAMES	JH REGIONAL BANK A	0.00	4.66	0.00	4.66	95.0	4.43

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<b><u>BROKER TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: MUTUAL FUNDS</u></b>								
01/17/2017	HELTSLEY, MARTHA	JH REGIONAL BANK A	0.00	1.80	0.00	1.80	95.0	1.71
01/17/2017	BOZELKA, KEVIN	JH REGIONAL BANK A	0.00	1.85	0.00	1.85	95.0	1.76
01/17/2017	JAHNKE, DENNIS	JH REGIONAL BANK A	0.00	4.36	0.00	4.36	95.0	4.14
01/17/2017	MIKLEVICH, MICHAEL	JH REGIONAL BANK A	0.00	6.50	0.00	6.50	95.0	6.18
01/17/2017	EIS (MINOR), MARGO	JH STRATEGIC GROWTH A	0.00	0.38	0.00	0.38	95.0	0.36
01/17/2017	MIKLEVICH, MICHAEL	JH STRATEGIC GROWTH A	0.00	0.43	0.00	0.43	95.0	0.41
01/17/2017	EIS (MINOR), AUSTIN	JH STRATEGIC GROWTH A	0.00	0.61	0.00	0.61	95.0	0.58
01/17/2017	EIS (MINOR), STEFANIE	JH STRATEGIC GROWTH A	0.00	0.61	0.00	0.61	95.0	0.58
01/17/2017	EIS, AUSTIN	JN DISCIPLINED VALUE INT'L A	0.00	1.42	0.00	1.42	95.0	1.35
01/17/2017	EIS, STEFANIE	JN DISCIPLINED VALUE INT'L A	0.00	1.42	0.00	1.42	95.0	1.35
01/05/2017	ERKFITZ, ELAINE	MAINSTAY HIGH YIELD CORP BOND A	0.00	21.83	0.00	21.83	95.0	20.74
01/03/2017	MUNTEANU, RADU	MFS EMERGING MARKETS EQUITY A	0.00	10.89	0.00	10.89	95.0	10.35
01/03/2017	HOWARD, ANNE	MFS GROWTH A	0.00	9.96	0.00	9.96	95.0	9.46
01/03/2017	RITTER, KYLE	MFS GROWTH A	0.00	2.77	0.00	2.77	95.0	2.63
01/03/2017	HOWARD, ANNE	MFS GROWTH B	0.00	0.15	0.00	0.15	95.0	0.14
01/03/2017	LLOYD, HEATHER	MFS HIGH INCOME A	0.00	1.58	0.00	1.58	95.0	1.50
01/03/2017	OEHMKE, ALEXANDER	MFS MASS INVESTORS GROWTH STOCK A	0.00	3.44	0.00	3.44	95.0	3.27
01/03/2017	CHESNEY TRUST, CHRISTINE	MFS MASS INVESTORS GROWTH STOCK A	0.00	0.85	0.00	0.85	95.0	0.81
01/03/2017	RITTER, KYLE	MFS MASS INVESTORS TRUST A	0.00	3.91	0.00	3.91	95.0	3.71
01/03/2017	ENDRESS, ROBERT	MFS MUNICIPAL INCOME A	0.00	13.22	0.00	13.22	95.0	12.56
01/03/2017	HOWARD, ANNE	MFS RESEARCH A	0.00	9.73	0.00	9.73	95.0	9.24
01/03/2017	LAI, DOROTHY	MFS RESEARCH A	0.00	10.08	0.00	10.08	95.0	9.58
01/03/2017	ZYREK, THOMAS	MFS RESEARCH A	0.00	7.18	0.00	7.18	95.0	6.82
01/03/2017	ENDRESS, ROBERT	MFS RESEARCH A	0.00	46.51	0.00	46.51	95.0	44.18
01/03/2017	RITTER, KYLE	MFS RESEARCH A	0.00	3.14	0.00	3.14	95.0	2.98
01/03/2017	HOWARD, ANNE	MFS RESEARCH B	0.00	0.12	0.00	0.12	95.0	0.11
01/03/2017	DUPNACK, JESSICA	MFS TOTAL RETURN A	0.00	2.02	0.00	2.02	95.0	1.92
01/03/2017	MELLIS, STEVEN	MFS TOTAL RETURN A	0.00	4.51	0.00	4.51	95.0	4.28
01/03/2017	SARKISIAN, NORAY	MFS TOTAL RETURN A	0.00	16.76	0.00	16.76	95.0	15.92
01/03/2017	KING, VICTORIA	MFS TOTAL RETURN A	0.00	46.10	0.00	46.10	95.0	43.80
01/03/2017	DUPNACK, JESSICA	MFS TOTAL RETURN B	0.00	3.86	0.00	3.86	95.0	3.67
01/03/2017	MELLIS, STEVEN	MFS VALUE A	0.00	5.31	0.00	5.31	95.0	5.04
/ /	KLEIN, ANNA	NUVEEN HIGH INCOME A	0.00	39.62	0.00	39.62	95.0	37.64

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<b><u>BROKER TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: MUTUAL FUNDS</u></b>								
01/09/2017	HICKS, MELISSA	OPPENHEIMER CAPITAL APPRECIATION C	37.50	0.38	0.00	0.38	95.0	0.36
01/09/2017	HICKS, MELISSA	OPPENHEIMER CAPITAL APPRECIATION C	37.50	0.38	0.00	0.38	95.0	0.36
01/09/2017	HICKS, MELISSA	OPPENHEIMER CAPITAL APPRECIATION C	25.00	0.25	0.00	0.25	95.0	0.24
01/09/2017	HICKS, MELISSA	OPPENHEIMER CAPITAL APPRECIATION C	25.00	0.25	0.00	0.25	95.0	0.24
01/09/2017	DINKA, JOHN	OPPENHEIMER CAPITAL APPRECIATION C	5,000.00	50.00	0.00	50.00	95.0	47.50
01/09/2017	DINKA, JOHN	OPPENHEIMER CAPITAL APPRECIATION C	912.42	9.12	0.00	9.12	95.0	8.66
01/09/2017	SCHULTZ, DEBRA	OPPENHEIMER CAPITAL APPRECIATION C	220.00	2.20	0.00	2.20	95.0	2.09
01/09/2017	SCHULTZ, DEBRA	OPPENHEIMER CAPITAL APPRECIATION C	72.29	0.72	0.00	0.72	95.0	0.68
01/09/2017	SCHULTZ, DEBRA	OPPENHEIMER CAPITAL APPRECIATION C	200.00	2.00	0.00	2.00	95.0	1.90
01/09/2017	SCHULTZ, DEBRA	OPPENHEIMER CAPITAL APPRECIATION C	44.33	0.44	0.00	0.44	95.0	0.42
01/09/2017	SCHULTZ, DEBRA	OPPENHEIMER DEVELOPING MARKETS C	110.00	1.10	0.00	1.10	95.0	1.05
01/09/2017	SCHULTZ, DEBRA	OPPENHEIMER DEVELOPING MARKETS C	36.15	0.36	0.00	0.36	95.0	0.34
01/09/2017	SCHULTZ, DEBRA	OPPENHEIMER DEVELOPING MARKETS C	100.00	1.00	0.00	1.00	95.0	0.95
01/09/2017	SCHULTZ, DEBRA	OPPENHEIMER DEVELOPING MARKETS C	22.17	0.22	0.00	0.22	95.0	0.21
01/03/2017	LABAZA, LYNN	OPPENHEIMER DISCOVERY C	3,875.00	38.75	0.00	38.75	95.0	36.81
01/03/2017	LABAZA, LYNN	OPPENHEIMER DISCOVERY C	116.25	1.16	0.00	1.16	95.0	1.10
01/03/2017	LABAZA, JOHN	OPPENHEIMER DISCOVERY C	3,875.00	38.75	0.00	38.75	95.0	36.81
01/03/2017	LABAZA, JOHN	OPPENHEIMER DISCOVERY C	116.25	1.16	0.00	1.16	95.0	1.10
01/09/2017	DINKA, CATHERINE	OPPENHEIMER EQUITY C	3,750.00	37.50	0.00	37.50	95.0	35.63
01/09/2017	DINKA, CATHERINE	OPPENHEIMER EQUITY C	909.32	9.09	0.00	9.09	95.0	8.64
01/09/2017	DINKA, CATHERINE	OPPENHEIMER GLOBAL OPPORTUNITIES C	1,250.00	12.50	0.00	12.50	95.0	11.88
01/09/2017	DINKA, CATHERINE	OPPENHEIMER GLOBAL OPPORTUNITIES C	303.11	3.03	0.00	3.03	95.0	2.88
01/09/2017	DINKA, JOHN	OPPENHEIMER GLOBAL OPPORTUNITIES C	2,500.00	25.00	0.00	25.00	95.0	23.75
01/09/2017	DINKA, JOHN	OPPENHEIMER GLOBAL OPPORTUNITIES C	456.21	4.56	0.00	4.56	95.0	4.33
01/09/2017	SCHULTZ, DEBRA	OPPENHEIMER GLOBAL OPPORTUNITIES C	220.00	2.20	0.00	2.20	95.0	2.09
01/09/2017	SCHULTZ, DEBRA	OPPENHEIMER GLOBAL OPPORTUNITIES C	72.30	0.72	0.00	0.72	95.0	0.68
01/09/2017	SCHULTZ, DEBRA	OPPENHEIMER GLOBAL OPPORTUNITIES C	200.00	2.00	0.00	2.00	95.0	1.90
01/09/2017	SCHULTZ, DEBRA	OPPENHEIMER GLOBAL OPPORTUNITIES C	44.34	0.44	0.00	0.44	95.0	0.42
01/09/2017	HICKS, MELISSA	OPPENHEIMER MAIN ST SELECT C	37.50	0.38	0.00	0.38	95.0	0.36
01/09/2017	HICKS, MELISSA	OPPENHEIMER MAIN ST SELECT C	37.50	0.38	0.00	0.38	95.0	0.36
01/09/2017	HICKS, MELISSA	OPPENHEIMER MAIN ST SELECT C	25.00	0.25	0.00	0.25	95.0	0.24
01/09/2017	HICKS, MELISSA	OPPENHEIMER MAIN ST SELECT C	25.00	0.25	0.00	0.25	95.0	0.24
01/09/2017	DINKA, CATHERINE	OPPENHEIMER MAIN ST SELECT C	3,750.00	37.50	0.00	37.50	95.0	35.63

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b><u>BROKER TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: MUTUAL FUNDS</u></b>								
01/09/2017	DINKA, CATHERINE	OPPENHEIMER MAIN ST SELECT C	909.32	9.09	0.00	9.09	95.0	8.64
01/09/2017	DINKA, CATHERINE	OPPENHEIMER MAIN ST SMALL & MID CAP	3,750.00	37.50	0.00	37.50	95.0	35.63
01/09/2017	DINKA, CATHERINE	OPPENHEIMER MAIN ST SMALL & MID CAP	909.31	9.09	0.00	9.09	95.0	8.64
01/09/2017	SMOLAREK, CHERYL	OPPENHEIMER PTF SERIES EQUITY INVES	150.00	1.50	0.00	1.50	95.0	1.43
01/09/2017	SMOLAREK, CHERYL	OPPENHEIMER PTF SERIES EQUITY INVES	150.00	1.50	0.00	1.50	95.0	1.43
01/09/2017	SMOLAREK, CHERYL	OPPENHEIMER PTF SERIES EQUITY INVES	100.00	1.00	0.00	1.00	95.0	0.95
01/09/2017	SMOLAREK, CHERYL	OPPENHEIMER PTF SERIES EQUITY INVES	100.00	1.00	0.00	1.00	95.0	0.95
01/09/2017	TERPSTRA, SANDRA	OPPENHEIMER QUEST OPP VALUE C	900.00	9.00	0.00	9.00	95.0	8.55
01/09/2017	TERPSTRA, SANDRA	OPPENHEIMER QUEST OPP VALUE C	600.00	6.00	0.00	6.00	95.0	5.70
01/09/2017	TERPSTRA, SANDRA	OPPENHEIMER QUEST OPP VALUE C	120.36	1.20	0.00	1.20	95.0	1.14
01/09/2017	TERPSTRA, SANDRA	OPPENHEIMER QUEST OPP VALUE C	83.72	0.84	0.00	0.84	95.0	0.80
01/09/2017	TORRICE, PAULA	OPPENHEIMER QUEST OPP VALUE C	100.00	1.00	0.00	1.00	95.0	0.95
01/09/2017	TORRICE, PAULA	OPPENHEIMER QUEST OPP VALUE C	100.00	1.00	0.00	1.00	95.0	0.95
01/09/2017	TORRICE, PAULA	OPPENHEIMER QUEST OPP VALUE C	100.00	1.00	0.00	1.00	95.0	0.95
01/09/2017	TORRICE, PAULA	OPPENHEIMER QUEST OPP VALUE C	100.00	1.00	0.00	1.00	95.0	0.95
01/03/2017	LABAZA, LYNN	OPPENHEIMER SMALL & MIDCAP GROWTH C	3,875.00	38.75	0.00	38.75	95.0	36.81
01/03/2017	LABAZA, LYNN	OPPENHEIMER SMALL & MIDCAP GROWTH C	116.25	1.16	0.00	1.16	95.0	1.10
01/03/2017	LABAZA, JOHN	OPPENHEIMER SMALL & MIDCAP GROWTH C	3,875.00	38.75	0.00	38.75	95.0	36.81
01/03/2017	LABAZA, JOHN	OPPENHEIMER SMALL & MIDCAP GROWTH C	116.25	1.16	0.00	1.16	95.0	1.10
01/09/2017	DINKA, JOHN	OPPENHEIMER VALUE C	5,000.00	50.00	0.00	50.00	95.0	47.50
01/09/2017	DINKA, JOHN	OPPENHEIMER VALUE C	912.43	9.12	0.00	9.12	95.0	8.66
01/06/2017	CROSSFIRE GROUP Q3AM	PIMCO LONG TERM US GOVERNMENT A	0.00	0.33	0.00	0.33	95.0	0.31
01/04/2017	RASP, LINDA	PIONEER AMT FREE MUNICIPAL A	0.00	85.75	0.00	85.75	95.0	81.46
01/04/2017	RASP, EVELYN	PIONEER AMT FREE MUNICIPAL A	0.00	93.19	0.00	93.19	95.0	88.53
01/03/2017	RAJKOVICH, TONI	PUTNAM ASSET ALLOC GROWTH A	0.00	1.15	0.00	1.15	95.0	1.09
01/03/2017	BEDORE, CHARLES	PUTNAM CAPITAL OPPORTUNITIES A	0.00	2.17	0.00	2.17	95.0	2.06
01/03/2017	ALLEGRIANA, JULIE	PUTNAM CAPITAL OPPORTUNITIES A	0.00	2.69	0.00	2.69	95.0	2.56
01/03/2017	SZOCINSKI, CASIMER	PUTNAM DIVERSIFIED INCOME A	0.00	9.78	0.00	9.78	95.0	9.29
01/03/2017	JAKUBOWSKI, LORRAINE	PUTNAM EQUITY INCOME A	0.00	9.61	0.00	9.61	95.0	9.13
01/03/2017	RUSHLOW, LAWRENCE	PUTNAM EQUITY INCOME A	0.00	25.42	0.00	25.42	95.0	24.15
01/03/2017	KING, DAVID	PUTNAM EQUITY INCOME A	0.00	5.86	0.00	5.86	95.0	5.57
01/03/2017	CAMERON, KATHRYN	PUTNAM GEORGE PUTNAM BALANCED A	0.00	11.44	0.00	11.44	95.0	10.87
01/03/2017	SELLECK, GREGORY	PUTNAM GEORGE PUTNAM BALANCED A	0.00	0.17	0.00	0.17	95.0	0.16

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<b><u>BROKER TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: MUTUAL FUNDS</u></b>								
01/03/2017	SCULLY, DOROTHY	PUTNAM GLOBAL EQUITY A	0.00	18.67	0.00	18.67	95.0	17.74
01/03/2017	JOHNSON, ABEN MARTIN	PUTNAM GLOBAL EQUITY A	0.00	7.66	0.00	7.66	95.0	7.28
01/03/2017	WILLISON, VICTORIA	PUTNAM GLOBAL EQUITY A	0.00	4.71	0.00	4.71	95.0	4.47
01/03/2017	MORRISON, JOY KUNKLER-	PUTNAM GLOBAL HEALTH CARE A	0.00	4.58	0.00	4.58	95.0	4.35
01/03/2017	KEELER, MARSHA	PUTNAM GLOBAL HEALTH CARE A	0.00	12.98	0.00	12.98	95.0	12.33
01/03/2017	TUCKER, LINDA	PUTNAM GLOBAL HEALTH CARE A	0.00	0.71	0.00	0.71	95.0	0.67
01/03/2017	DEMERJIAN, CARL	PUTNAM GLOBAL HEALTH CARE A	0.00	1.88	0.00	1.88	95.0	1.79
01/03/2017	MEHLER, BENE	PUTNAM GROWTH & INCOME A	0.00	5.67	0.00	5.67	95.0	5.39
01/03/2017	LORI RUTH THOMASSY, BENE	PUTNAM GROWTH & INCOME A	0.00	6.74	0.00	6.74	95.0	6.40
01/03/2017	SCULLY, DOROTHY	PUTNAM GROWTH & INCOME A	0.00	35.26	0.00	35.26	95.0	33.50
01/03/2017	BOGLE, DAVID	PUTNAM GROWTH & INCOME A	0.00	0.81	0.00	0.81	95.0	0.77
01/03/2017	BATES, LEE	PUTNAM GROWTH & INCOME A	0.00	0.67	0.00	0.67	95.0	0.64
01/03/2017	BARNETT, MARK	PUTNAM GROWTH & INCOME A	0.00	1.08	0.00	1.08	95.0	1.03
01/03/2017	GUTMAN, THERESE ANNE	PUTNAM GROWTH & INCOME A	0.00	10.12	0.00	10.12	95.0	9.61
01/03/2017	JAKUBOWSKI, LORRAINE	PUTNAM GROWTH & INCOME A	0.00	65.21	0.00	65.21	95.0	61.95
01/03/2017	SZOCINSKI, CASIMER	PUTNAM GROWTH & INCOME A	0.00	12.82	0.00	12.82	95.0	12.18
01/03/2017	JENDRUSINA, ROGER	PUTNAM GROWTH & INCOME A	0.00	67.35	0.00	67.35	95.0	63.98
01/03/2017	CATES, CALVIN	PUTNAM GROWTH & INCOME A	0.00	0.31	0.00	0.31	95.0	0.29
01/03/2017	RANCOURT, RICHARD	PUTNAM GROWTH & INCOME A	0.00	10.87	0.00	10.87	95.0	10.33
01/03/2017	HOSKIN, LAUREN	PUTNAM GROWTH & INCOME A	0.00	0.57	0.00	0.57	95.0	0.54
01/03/2017	HOSKIN, LAUREN	PUTNAM GROWTH & INCOME B	0.00	0.08	0.00	0.08	95.0	0.08
01/03/2017	SCULLY, DOROTHY	PUTNAM GROWTH OPP A	0.00	20.21	0.00	20.21	95.0	19.20
01/03/2017	BLAIR, PATRICIA	PUTNAM GROWTH OPP A	0.00	6.35	0.00	6.35	95.0	6.03
01/03/2017	VERSTRAETE, GEORGE	PUTNAM GROWTH OPP A	0.00	8.55	0.00	8.55	95.0	8.12
01/03/2017	ELLWOOD, JOHN	PUTNAM GROWTH OPP A	0.00	0.24	0.00	0.24	95.0	0.23
01/03/2017	BUCHANAN, JAMIE	PUTNAM GROWTH OPP A	0.00	6.58	0.00	6.58	95.0	6.25
01/03/2017	MORRISON, JOY KUNKLER-	PUTNAM GROWTH OPP A	0.00	2.02	0.00	2.02	95.0	1.92
01/03/2017	KACIR, EVA	PUTNAM GROWTH OPP A	0.00	5.59	0.00	5.59	95.0	5.31
01/03/2017	KOSANKE, JOHN	PUTNAM GROWTH OPP A	0.00	5.45	0.00	5.45	95.0	5.18
01/03/2017	KOSANKE, JOHN	PUTNAM GROWTH OPP A	0.00	5.10	0.00	5.10	95.0	4.85
01/03/2017	BRADLEY, SARAH	PUTNAM GROWTH OPP A	0.00	2.74	0.00	2.74	95.0	2.60
01/03/2017	PROKROPOWICZ, EMILY	PUTNAM GROWTH OPP A	0.00	0.84	0.00	0.84	95.0	0.80
01/03/2017	CARLSON, TYLER	PUTNAM GROWTH OPP A	0.00	0.36	0.00	0.36	95.0	0.34

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<b><u>BROKER TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: MUTUAL FUNDS</u></b>								
01/03/2017	CARNAHAN, BRUCE	PUTNAM GROWTH OPP A	0.00	3.37	0.00	3.37	95.0	3.20
01/03/2017	MIKLEVICH, MICHAEL	PUTNAM GROWTH OPP A	0.00	4.48	0.00	4.48	95.0	4.26
01/03/2017	LAI, JOHN	PUTNAM GROWTH OPP A	0.00	2.07	0.00	2.07	95.0	1.97
01/03/2017	LAI, ANGIE	PUTNAM GROWTH OPP A	0.00	2.07	0.00	2.07	95.0	1.97
01/03/2017	POKROPOWICZ, MEGAN	PUTNAM GROWTH OPP A	0.00	0.67	0.00	0.67	95.0	0.64
01/03/2017	BUTLER, PAUL	PUTNAM GROWTH OPP A	0.00	5.83	0.00	5.83	95.0	5.54
01/03/2017	BUTLER, PAUL	PUTNAM GROWTH OPP A	0.00	4.56	0.00	4.56	95.0	4.33
01/03/2017	BUTLER, KATHLEEN	PUTNAM GROWTH OPP A	0.00	1.79	0.00	1.79	95.0	1.70
01/03/2017	BUTLER, KATHLEEN	PUTNAM GROWTH OPP A	0.00	6.12	0.00	6.12	95.0	5.81
01/03/2017	TUCKER, LINDA	PUTNAM GROWTH OPP A	0.00	2.68	0.00	2.68	95.0	2.55
01/03/2017	WEAVER, RONALD	PUTNAM GROWTH OPP A	0.00	6.03	0.00	6.03	95.0	5.73
01/03/2017	ALLEGRIANA, JULIE	PUTNAM GROWTH OPP A	0.00	2.24	0.00	2.24	95.0	2.13
01/03/2017	KOSANKE, JOHN	PUTNAM GROWTH OPPORTUNITIES B	0.00	1.60	0.00	1.60	95.0	1.52
01/03/2017	KOSANKE, JOHN	PUTNAM GROWTH OPPORTUNITIES B	0.00	5.06	0.00	5.06	95.0	4.81
01/03/2017	BRADLEY, SARAH	PUTNAM GROWTH OPPORTUNITIES B	0.00	0.78	0.00	0.78	95.0	0.74
01/04/2017	KOSANKE, JOHN	PUTNAM GROWTH OPPORTUNITIES B	100.00	4.00	0.00	4.00	95.0	3.80
01/03/2017	MEHLER, BENE	PUTNAM HIGH YIELD ADVANTAGE A	0.00	4.62	0.00	4.62	95.0	4.39
01/03/2017	LORI RUTH THOMASSY, BENE	PUTNAM HIGH YIELD ADVANTAGE A	0.00	5.44	0.00	5.44	95.0	5.17
01/03/2017	SCULLY, DOROTHY	PUTNAM HIGH YIELD TRUST A	0.00	28.28	0.00	28.28	95.0	26.87
01/03/2017	CIAGLO, BETTY	PUTNAM HIGH YIELD TRUST A	0.00	3.74	0.00	3.74	95.0	3.55
01/03/2017	MASTALSKI, JOLEEN	PUTNAM HIGH YIELD TRUST A	0.00	23.66	0.00	23.66	95.0	22.48
01/03/2017	BAKEWELL, RALPH	PUTNAM HIGH YIELD TRUST A	0.00	28.56	0.00	28.56	95.0	27.13
01/03/2017	BARR, BETTY	PUTNAM HIGH YIELD TRUST A	0.00	2.48	0.00	2.48	95.0	2.36
01/03/2017	DEGRANDCHAMP, PAUL	PUTNAM HIGH YIELD TRUST A	0.00	0.21	0.00	0.21	95.0	0.20
01/03/2017	MASTALSKI, JOLEEN	PUTNAM HIGH YIELD TRUST A	0.00	7.38	0.00	7.38	95.0	7.01
01/03/2017	MASTALSKI, JOLEEN	PUTNAM HIGH YIELD TRUST A	0.00	4.16	0.00	4.16	95.0	3.95
01/03/2017	BARR, BETTY	PUTNAM HIGH YIELD TRUST A	0.00	5.33	0.00	5.33	95.0	5.06
01/03/2017	KIVELA, BERNICE	PUTNAM HIGH YIELD TRUST A	0.00	8.65	0.00	8.65	95.0	8.22
01/03/2017	RUSHLOW, JEAN	PUTNAM HIGH YIELD TRUST A	0.00	8.57	0.00	8.57	95.0	8.14
01/03/2017	MANNING, JOHN	PUTNAM HIGH YIELD TRUST A	0.00	62.27	0.00	62.27	95.0	59.16
01/03/2017	KRAUSE, BARBARA	PUTNAM HIGH YIELD TRUST A	0.00	111.16	0.00	111.16	95.0	105.60
01/03/2017	CIAGLO, BETTY	PUTNAM HIGH YIELD TRUST A	0.00	4.06	0.00	4.06	95.0	3.86
01/03/2017	WEBB, TODD	PUTNAM INCOME A	0.00	0.10	0.00	0.10	95.0	0.10

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<b><u>BROKER TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: MUTUAL FUNDS</u></b>								
01/03/2017	RUSHLOW, JEAN	PUTNAM INTERNATIONAL EQUITY-A	0.00	2.99	0.00	2.99	95.0	2.84
01/03/2017	RUSHLOW, LAWRENCE	PUTNAM INTERNATIONAL EQUITY-A	0.00	3.13	0.00	3.13	95.0	2.97
01/03/2017	MORRISON, JOY KUNKLER-	PUTNAM INTERNATIONAL GROWTH-A	0.00	1.90	0.00	1.90	95.0	1.81
01/03/2017	WEAVER, RONALD	PUTNAM INTERNATIONAL GROWTH-A	0.00	5.81	0.00	5.81	95.0	5.52
01/03/2017	BEDORE, CHARLES	PUTNAM INTERNATIONAL GROWTH-A	0.00	1.29	0.00	1.29	95.0	1.23
01/03/2017	SCULLY, DOROTHY	PUTNAM INTERNATIONAL VALUE-A	0.00	17.78	0.00	17.78	95.0	16.89
01/03/2017	SCULLY, DOROTHY	PUTNAM INTL CAPITAL OPPS-A	0.00	46.95	0.00	46.95	95.0	44.60
01/03/2017	BEDORE, CHARLES	PUTNAM INTL CAPITAL OPPS-A	0.00	2.12	0.00	2.12	95.0	2.01
01/03/2017	MORRISON, JOY KUNKLER-	PUTNAM INVESTORS A	0.00	2.52	0.00	2.52	95.0	2.39
01/03/2017	HOSKIN, LAUREN	PUTNAM INVESTORS A	0.00	0.29	0.00	0.29	95.0	0.28
01/03/2017	WONCH, LIZ	PUTNAM INVESTORS A	0.00	2.75	0.00	2.75	95.0	2.61
01/03/2017	WONCH, LIZ	PUTNAM INVESTORS B	25.00	1.00	0.00	1.00	95.0	0.95
01/03/2017	WONCH, LIZ	PUTNAM INVESTORS B	0.00	2.43	0.00	2.43	95.0	2.31
01/03/2017	TUCKER, LINDA	PUTNAM MULTI CAP GROWTH A	0.00	1.70	0.00	1.70	95.0	1.62
01/03/2017	JAKUBOWSKI, LORRAINE	PUTNAM MULTI CAP GROWTH A	0.00	24.90	0.00	24.90	95.0	23.66
01/03/2017	MORRISON, JOY KUNKLER-	PUTNAM MULTI CAP GROWTH A	0.00	0.93	0.00	0.93	95.0	0.88
01/03/2017	KACIR, EVA	PUTNAM MULTI CAP GROWTH A	0.00	11.84	0.00	11.84	95.0	11.25
01/03/2017	STEWART, DAVID	PUTNAM MULTI CAP GROWTH A	0.00	27.12	0.00	27.12	95.0	25.76
01/03/2017	STEWART, ANN	PUTNAM MULTI CAP GROWTH A	0.00	15.61	0.00	15.61	95.0	14.83
01/03/2017	LINDROS, FILOMENA	PUTNAM MULTI CAP GROWTH A	0.00	3.57	0.00	3.57	95.0	3.39
01/03/2017	SZOCINSKI, CASIMER	PUTNAM MULTI CAP GROWTH A	0.00	8.85	0.00	8.85	95.0	8.41
01/03/2017	SZOCINSKI, BILLIE	PUTNAM MULTI CAP GROWTH A	0.00	8.54	0.00	8.54	95.0	8.11
01/03/2017	JENDRUSINA, ROGER	PUTNAM MULTI CAP GROWTH A	0.00	40.88	0.00	40.88	95.0	38.84
01/03/2017	MIKLEVICH, MICHAEL	PUTNAM MULTI CAP GROWTH A	0.00	28.98	0.00	28.98	95.0	27.53
01/03/2017	RANCOURT, RICHARD	PUTNAM MULTI CAP GROWTH A	0.00	10.10	0.00	10.10	95.0	9.60
01/03/2017	RANCOURT, RICHARD	PUTNAM MULTI CAP GROWTH A	0.00	5.64	0.00	5.64	95.0	5.36
01/03/2017	TUCKER, LINDA	PUTNAM MULTI CAP GROWTH A	0.00	1.20	0.00	1.20	95.0	1.14
01/03/2017	HARRISON, EDWARD	PUTNAM MULTI CAP GROWTH A	0.00	0.52	0.00	0.52	95.0	0.49
01/03/2017	DEMERJIAN, CARL	PUTNAM MULTI CAP GROWTH A	0.00	0.81	0.00	0.81	95.0	0.77
01/03/2017	JOUPPI, JEFFREY	PUTNAM MULTI CAP GROWTH A	0.00	4.10	0.00	4.10	95.0	3.90
01/03/2017	WEAVER, RONALD	PUTNAM MULTI CAP GROWTH A	0.00	3.37	0.00	3.37	95.0	3.20
01/03/2017	WEAVER, RONALD	PUTNAM MULTI CAP GROWTH A	0.00	1.60	0.00	1.60	95.0	1.52
01/03/2017	BEDORE, CHARLES	PUTNAM MULTI CAP GROWTH A	0.00	14.75	0.00	14.75	95.0	14.01

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<b><u>BROKER TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: MUTUAL FUNDS</u></b>								
01/03/2017	PLAN, CONVERSION	PUTNAM MULTI CAP GROWTH A	0.00	1.08	0.00	1.08	95.0	1.03
01/03/2017	MOUSSA, PATRICK	PUTNAM MULTI-CAP GROWTH B	0.00	1.31	0.00	1.31	95.0	1.24
01/03/2017	TUCKER, LINDA	PUTNAM RESEARCH A	0.00	1.31	0.00	1.31	95.0	1.24
01/03/2017	ALLEGRIANA, JULIE	PUTNAM RETIREMENT READY 746859602	0.00	2.10	0.00	2.10	95.0	2.00
01/03/2017	VIVIANO, SAM	PUTNAM TAX-FREE HIGH YIELD-A	0.00	5.12	0.00	5.12	95.0	4.86
01/03/2017	KRAUSE, BARBARA	PUTNAM TAX-FREE HIGH YIELD-A	0.00	115.79	0.00	115.79	95.0	110.00
01/03/2017	SCULLY, DOROTHY	PUTNAM VOYAGER A	0.00	5.75	0.00	5.75	95.0	5.46
01/03/2017	BLAIR, PATRICIA	PUTNAM VOYAGER A	0.00	1.74	0.00	1.74	95.0	1.65
01/03/2017	VERSTRAETE, GEORGE	PUTNAM VOYAGER A	0.00	2.37	0.00	2.37	95.0	2.25
01/03/2017	ELLWOOD, JOHN	PUTNAM VOYAGER A	0.00	0.07	0.00	0.07	95.0	0.07
01/03/2017	BUCHANAN, JAMIE	PUTNAM VOYAGER A	0.00	1.82	0.00	1.82	95.0	1.73
01/03/2017	MORRISON, JOY KUNKLER-	PUTNAM VOYAGER A	0.00	0.56	0.00	0.56	95.0	0.53
01/03/2017	KACIR, EVA	PUTNAM VOYAGER A	0.00	1.55	0.00	1.55	95.0	1.47
01/03/2017	KOSANKE, JOHN	PUTNAM VOYAGER A	0.00	1.49	0.00	1.49	95.0	1.42
01/03/2017	KOSANKE, JOHN	PUTNAM VOYAGER A	0.00	1.39	0.00	1.39	95.0	1.32
01/03/2017	BRADLEY, SARAH	PUTNAM VOYAGER A	0.00	0.74	0.00	0.74	95.0	0.70
01/03/2017	PROKROPOWICZ, EMILY	PUTNAM VOYAGER A	0.00	0.23	0.00	0.23	95.0	0.22
01/03/2017	CARLSON, TYLER	PUTNAM VOYAGER A	0.00	0.10	0.00	0.10	95.0	0.10
01/03/2017	CARNAHAN, BRUCE	PUTNAM VOYAGER A	0.00	0.93	0.00	0.93	95.0	0.88
01/03/2017	LAI, JOHN	PUTNAM VOYAGER A	0.00	0.57	0.00	0.57	95.0	0.54
01/03/2017	LAI, ANGIE	PUTNAM VOYAGER A	0.00	0.57	0.00	0.57	95.0	0.54
01/03/2017	POKROPOWICZ, MEGAN	PUTNAM VOYAGER A	0.00	0.18	0.00	0.18	95.0	0.17
01/03/2017	BUTLER, PAUL	PUTNAM VOYAGER A	0.00	1.61	0.00	1.61	95.0	1.53
01/03/2017	BUTLER, PAUL	PUTNAM VOYAGER A	0.00	1.26	0.00	1.26	95.0	1.20
01/03/2017	BUTLER, KATHLEEN	PUTNAM VOYAGER A	0.00	0.50	0.00	0.50	95.0	0.48
01/03/2017	BUTLER, KATHLEEN	PUTNAM VOYAGER A	0.00	1.70	0.00	1.70	95.0	1.62
01/03/2017	KOSANKE, JOHN	PUTNAM VOYAGER B	0.00	0.47	0.00	0.47	95.0	0.45
01/03/2017	KOSANKE, JOHN	PUTNAM VOYAGER B	0.00	1.41	0.00	1.41	95.0	1.34
01/03/2017	BRADLEY, SARAH	PUTNAM VOYAGER B	0.00	0.24	0.00	0.24	95.0	0.23
01/09/2017	LOPICCOLO, CATHERINE	TRANSAMERICA AA GROWTH C	128.03	1.28	0.00	1.28	95.0	1.22
01/09/2017	ROWAN, CHRISTINE	TRANSAMERICA AA GROWTH C	11,583.57	115.84	0.00	115.84	95.0	110.05
01/17/2017	KUCHAREK, MARK	TRANSAMERICA AA GROWTH C	100.00	1.00	0.00	1.00	95.0	0.95
01/17/2017	TOBEY, TIMOTHY	TRANSAMERICA AA GROWTH C	100.00	1.00	0.00	1.00	95.0	0.95

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<b><u>BROKER TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: MUTUAL FUNDS</u></b>								
01/17/2017	KUCHAREK, PAUL	TRANSAMERICA AA MOD GROWTH A	250.00	10.00	0.00	10.00	95.0	9.50
01/20/2017	BARTOI, JOHN	TRANSAMERICA AA MODERATE C	976.02	9.76	0.00	9.76	95.0	9.27
01/17/2017	EICHENLAUB, TRACEY	TRANSAMERICA MULTI-MANAGED BAL C	400.00	4.00	0.00	4.00	95.0	3.80
01/17/2017	WEYCKER, ROBERT	TRANSAMERICA MULTI-MANAGED BAL C	300.00	3.00	0.00	3.00	95.0	2.85
01/04/2017	BUSSELL REV LV TRUST, SHARON	WELLS FARGO 100% TREASURY MMKT-A	0.00	7.36	0.00	7.36	95.0	6.99
01/04/2017	DAMIANO, MAURICE	WELLS FARGO HIGH YIELD BOND A	0.00	56.97	0.00	56.97	95.0	54.12
01/04/2017	WERNER, DOROTHY	WELLS FARGO INCOME PLUS A	0.00	10.05	0.00	10.05	95.0	9.55
01/04/2017	THOMAS, HENRY	WELLS FARGO INCOME PLUS A	0.00	3.41	0.00	3.41	95.0	3.24
01/04/2017	THOMAS, SYBIL	WELLS FARGO INCOME PLUS A	0.00	2.64	0.00	2.64	95.0	2.51
01/04/2017	TOTEFF, JESSIE	WELLS FARGO INCOME PLUS A	0.00	3.24	0.00	3.24	95.0	3.08
01/04/2017	SPEAROT, ALAN	WELLS FARGO INCOME PLUS A	0.00	0.86	0.00	0.86	95.0	0.82
01/04/2017	SPEAROT, DOUGLAS	WELLS FARGO INCOME PLUS A	0.00	0.86	0.00	0.86	95.0	0.82
01/04/2017	DAMIANO, MAURICE	WELLS FARGO INTL BOND A	0.00	16.62	0.00	16.62	95.0	15.79
01/04/2017	GUTMAN, KENNETH	WELLS FARGO INTL BOND A	0.00	1.96	0.00	1.96	95.0	1.86
01/04/2017	GUTMAN, MATHEW	WELLS FARGO INTL BOND A	0.00	1.96	0.00	1.96	95.0	1.86
01/04/2017	JAGGER, ALBERT	WELLS FARGO INTL BOND A	0.00	26.61	0.00	26.61	95.0	25.28
01/04/2017	BUSSELL REV LIV TRST, GEROGE	&WELLS FARGO MONEY MKT A	0.00	30.49	0.00	30.49	95.0	28.97
01/04/2017	STEBBINS, DAVID	WELLS FARGO OPP A	0.00	0.57	0.00	0.57	95.0	0.54
01/04/2017	BASILE, NINO	WELLS FARGO OPP A	0.00	0.85	0.00	0.85	95.0	0.81
01/04/2017	DUDLEY, CHERYL	WELLS FARGO OPP A	0.00	1.04	0.00	1.04	95.0	0.99
01/04/2017	BASILE, ANNA	WELLS FARGO OPP A	0.00	0.73	0.00	0.73	95.0	0.69
01/04/2017	KISH, VIVIAN	WELLS FARGO STRATEGIC MUNI A	0.00	0.96	0.00	0.96	95.0	0.91
01/04/2017	ROEHRIG, RITA	WELLS FARGO STRATEGIC MUNI A	0.00	2.65	0.00	2.65	95.0	2.52
01/04/2017	JAGGER, ALBERT	WELLS FARGO STRATEGIC MUNI A	0.00	24.49	0.00	24.49	95.0	23.27
01/04/2017	PER, MARIANNE	WELLS FARGO STRATEGIC MUNI A	0.00	0.59	0.00	0.59	95.0	0.56
01/04/2017	TSEREGOUNIS, SPYROS	WELLS FARGO STRATEGIC MUNI A	0.00	5.12	0.00	5.12	95.0	4.86
01/04/2017	ALEXOPOULOS, PAUL	WELLS FARGO STRATEGIC MUNI A	0.00	5.62	0.00	5.62	95.0	5.34
01/04/2017	REBNER, WALDEMAR	WELLS FARGO STRATEGIC MUNI A	0.00	9.09	0.00	9.09	95.0	8.64
01/04/2017	DAMIANO, MAURICE	WELLS FARGO STRATEGIC MUNI A	0.00	11.88	0.00	11.88	95.0	11.29
01/04/2017	SPEAROT, REBECCA	WELLS FARGO STRATEGIC MUNI A	0.00	1.62	0.00	1.62	95.0	1.54
01/04/2017	CLEMAK, CHARLES	WELLS FARGO STRATEGIC MUNI A	0.00	27.48	0.00	27.48	95.0	26.11
01/04/2017	MUGLIA, DOMINIC	WELLS FARGO STRATEGIC MUNI A	0.00	36.44	0.00	36.44	95.0	34.62
01/04/2017	MCLUCAS, ROBERT	WELLS FARGO STRATEGIC MUNI A	0.00	53.48	0.00	53.48	95.0	50.81

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<b><u>BROKER TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: MUTUAL FUNDS</u></b>								
01/04/2017	KATEHI, PISTI	WELLS FARGO TOTAL RETURN BOND A	0.00	1.12	0.00	1.12	95.0	1.06
01/04/2017	TSEREGOUNIS, SPYROS	WELLS FARGO TOTAL RETURN BOND A	0.00	1.06	0.00	1.06	95.0	1.01
01/04/2017	SNYDER, SHIRLEY	WELLS FARGO TOTAL RETURN BOND A	0.00	0.57	0.00	0.57	95.0	0.54
01/04/2017	BAYS, MARVIN	WELLS FARGO UTILITY AND TELECOM A	0.00	10.03	0.00	10.03	95.0	9.53
* MUTUAL FUNDS SUBTOTAL *			\$67,044.40	\$10,115.73	\$0.00	\$10,115.73		\$9,586.49
<b><u>PRODUCT CATEGORY: LIFE INSURANCE</u></b>								
01/06/2017	DINKA, JOHN	PAC LIFE VUL	2,500.00	50.00	0.00	50.00	95.0	47.50
* LIFE INSURANCE SUBTOTAL *			\$2,500.00	\$50.00	\$0.00	\$50.00		\$47.50
<b><u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u></b>								
12/31/2016	LUMETTA, SEBASTIANO	ASCENSUS 529 TRAILS	0.00	8.93	0.00	8.93	95.0	8.48
12/31/2016	LUMETTA, SEBASTIANO	ASCENSUS 529 TRAILS	0.00	8.90	0.00	8.90	95.0	8.46
12/31/2016	LUMETTA, SEBASTIANO	ASCENSUS 529 TRAILS	0.00	8.93	0.00	8.93	95.0	8.48
12/31/2016	DINKA, JOHN	ASCENSUS 529 TRAILS	0.00	129.13	0.00	129.13	95.0	122.67
12/31/2016	DINKA, JOHN	ASCENSUS 529 TRAILS	0.00	125.40	0.00	125.40	95.0	119.13
12/31/2016	DINKA, JOHN	ASCENSUS 529 TRAILS	0.00	85.23	0.00	85.23	95.0	80.97
12/31/2016	CFGROUP, VARIOUS	DREYFUS	0.00	99.69	0.00	99.69	95.0	94.71
12/31/2016	CFGROUP, VARIOUS	DREYFUS	0.00	0.19	0.00	0.19	95.0	0.18
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *			\$0.00	\$466.40	\$0.00	\$466.40		\$443.08
<b><u>PRODUCT CATEGORY: VARIABLE ANNUITY 12B1 TRAILS</u></b>								
01/11/2017	WEYCKER, EDWARD	ING PREMIUM PLUS	0.00	31.64	0.00	31.64	95.0	30.06
* VARIABLE ANNUITY 12B1 TRAILS SUBTOTAL *			\$0.00	\$31.64	\$0.00	\$31.64		\$30.06
*** BROKER TRANSACTIONS TOTAL ***			\$262,148.54	\$12,595.70	\$0.00	\$12,595.70		\$11,628.60

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<b><u>SPLIT TRANSACTIONS</u></b>								
<b><u>BROKER: MARK KOSANKE #3</u></b>								
01/03/2017	TO BFDS TOD RULES, SUBECT	DAVIS NEW YORK VENTURE A	0.00	6.37	0.00	6.37	95.0	6.05
01/11/2017	KRAUSE, BARBARA	DWS SEUTSCHE MANAGED MUNICIPAL BOND	0.00	93.45	0.00	93.45	95.0	88.78
01/10/2017	MCCLAIN, DOROTHY	GENWORTH CHOICE 03 (UNBUN GUAR 1.5)	85,431.87	71.19	0.00	71.19	95.0	67.63
01/10/2017	HARTOUNIAN, HAGOB	GENWORTH CHOICE VA	10,213.58	8.51	0.00	8.51	95.0	8.08
01/10/2017	SCHMIDT, MARION	GENWORTH CHOICE VA	17,537.73	14.61	0.00	14.61	95.0	13.88
01/10/2017	EMBACH, KEVIN	GENWORTH CHOICE VA	66,503.23	55.42	0.00	55.42	95.0	52.65
01/10/2017	EMBACH, JAMES	GENWORTH CHOICE VA	66,503.25	55.42	0.00	55.42	95.0	52.65
01/10/2017	ZACK, MAUREEN	GENWORTH CHOICE VA	66,503.25	55.42	0.00	55.42	95.0	52.65
01/10/2017	BYERS, SHARRON	GENWORTH COMMONWEALTH VA 1994 (NON-	90,367.43	15.06	0.00	15.06	95.0	14.31
01/28/2017	STEFFES, MARTIN	JNL REWARD 10 YR TERM	32.61	0.16	0.00	0.16	95.0	0.15
01/09/2017	DEREY, DENISE	OPPENHEIMER SMALL MID CAP VALUE C	120.00	1.20	0.00	1.20	95.0	1.14
01/09/2017	DEREY, DENISE	OPPENHEIMER SMALL MID CAP VALUE C	120.00	1.20	0.00	1.20	95.0	1.14
01/09/2017	DEREY, DENISE	OPPENHEIMER SMALL MID CAP VALUE C	80.00	0.80	0.00	0.80	95.0	0.76
01/09/2017	DEREY, DENISE	OPPENHEIMER SMALL MID CAP VALUE C	80.00	0.80	0.00	0.80	95.0	0.76
01/04/2017	RIMKUS, MARILYN	WELLS FARGO ENTERPRISE A	0.00	3.63	0.00	3.63	95.0	3.45
01/04/2017	ALEXANDER, JEAN	WELLS FARGO STRATEGIC MUNI A	0.00	0.88	0.00	0.88	95.0	0.84
01/04/2017	EMMER, ILENE	WELLS FARGO TOTAL RETURN BOND A	0.00	0.17	0.00	0.17	95.0	0.16
01/04/2017	DANIELS, KATHLEEN	WELLS FARGO TOTAL RETURN BOND A	0.00	2.93	0.00	2.93	95.0	2.78
01/04/2017	SMOLBOSKI, BARBARA	WELLS FARGO TOTAL RETURN BOND A	0.00	0.24	0.00	0.24	95.0	0.23
<b>* MARK KOSANKE SUBTOTAL *</b>			<b>\$403,492.95</b>	<b>\$387.46</b>	<b>\$0.00</b>	<b>\$387.46</b>		<b>\$368.09</b>
<b><u>BROKER: 101 CFGROUP/KOSANKE #9</u></b>								
01/10/2017	NANAS, DAVID	AM FUNDS CAPITAL WORLD GRTH & INC A	100.00	5.00	0.00	5.00	95.0	4.75
12/27/2016	CUDNIK, LEONARD	DAVIS NEW YORK VENTURE A	500.00	20.00	0.00	20.00	95.0	19.00
01/11/2017	OLSON, MELINDA	GRIFFIN INST ACCESS R E FUND C	15,000.00	150.00	0.00	150.00	95.0	142.50
01/11/2017	OLSON, MELINDA	GRIFFIN INST ACCESS R E FUND C	18,039.25	180.39	0.00	180.39	95.0	171.37
<b>* 101 CFGROUP/KOSANKE SUBTOTAL *</b>			<b>\$33,639.25</b>	<b>\$355.39</b>	<b>\$0.00</b>	<b>\$355.39</b>		<b>\$337.62</b>
<b><u>BROKER: J117-PETE/JOAN JOHNSON/FLAM #19</u></b>								
01/05/2017	FEINBERG, MARK	ALGER LARGE CAP GROWTH A	0.00	6.47	0.00	6.47	95.0	6.15
01/05/2017	WILSON, EMILEE	ALGER LARGE CAP GROWTH A	0.00	0.03	0.00	0.03	95.0	0.03
01/05/2017	DRABCZYK, FRANK	ALGER LARGE CAP GROWTH A	0.00	0.49	0.00	0.49	95.0	0.47
01/05/2017	FEINBERG, JENNIFER	ALGER LARGE CAP GROWTH A	0.00	3.19	0.00	3.19	95.0	3.03
01/05/2017	FEINBERG, JULIE	ALGER LARGE CAP GROWTH A	0.00	3.65	0.00	3.65	95.0	3.47

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<b><u>SPLIT TRANSACTIONS</u></b>								
<b><u>BROKER: J117-PETE/JOAN JOHNSON/FLAM #19</u></b>								
01/05/2017	FEINBERG, MARK	ALGER LARGE CAP GROWTH B	0.00	1.82	0.00	1.82	95.0	1.73
01/05/2017	FEINBERG, JULIE	ALGER MIDCAP GROWTH A	0.00	1.54	0.00	1.54	95.0	1.46
01/05/2017	FEINBERG, JENNIFER	ALGER SMALLCAP GROWTH A	0.00	5.32	0.00	5.32	95.0	5.05
01/05/2017	FEINBERG, JULIE	ALGER SMALLCAP GROWTH A	0.00	1.45	0.00	1.45	95.0	1.38
12/31/2016	HARNE, DEXTL	TOUCHSTONE GROWTH OPP A	0.00	0.04	0.00	0.04	95.0	0.04
12/31/2016	HARNE, DEXTL	TOUCHSTONE MID CAP GROWTH A	0.00	0.06	0.00	0.06	95.0	0.06
<b>* J117-PETE/JOAN JOHNSON/FLAM SUBTOTAL *</b>			<b>\$0.00</b>	<b>\$24.06</b>	<b>\$0.00</b>	<b>\$24.06</b>		<b>\$22.87</b>
<b><u>BROKER: MEGHA GROUP #41</u></b>								
01/05/2017	VARTANIAN, ALEXANDER	ALGER CAPITAL APPRECIATION A	0.00	1.73	0.00	1.73	95.0	1.64
01/05/2017	VARTANIAN, NICHOLAS	ALGER CAPITAL APPRECIATION A	0.00	1.73	0.00	1.73	95.0	1.64
01/05/2017	MEHLBERG, GREYSON	ALGER CAPITAL APPRECIATION A	0.00	1.96	0.00	1.96	95.0	1.86
01/05/2017	MATHEWS, DOUG	ALGER MIDCAP GROWTH A	0.00	5.38	0.00	5.38	95.0	5.11
<b>* MEGHA GROUP SUBTOTAL *</b>			<b>\$0.00</b>	<b>\$10.80</b>	<b>\$0.00</b>	<b>\$10.80</b>		<b>\$10.25</b>
<b>*** SPLIT TRANSACTIONS TOTAL ***</b>			<b>\$437,132.20</b>	<b>\$777.71</b>	<b>\$0.00</b>	<b>\$777.71</b>		<b>\$738.83</b>

**VERRIDE TRANSACTIONS**

<b><u>BROKER: FRANK DUNN #7</u></b>								
12/31/2016	WETHINGTON JR, ROBERT	GRIFFIN CAPITAL ESST'L ASSET II T	0.00	263.93	0.00	263.93	90.0	13.20
12/31/2016	REIFMAN FAMILY TRUST	GRIFFIN CAPITAL ESST'L ASSET II T	0.00	201.09	0.00	201.09	90.0	10.05
12/31/2016	WETHINGTON, JUDITH	GRIFFIN CAPITAL ESST'L ASSET II T	0.00	87.98	0.00	87.98	90.0	4.40
01/18/2017	KRAMER, LISA	HPI REAL ESTATE OPP FUND IV LLC	200,000.00	14,000.00	0.00	14,000.00	90.0	700.00
<b>* FRANK DUNN SUBTOTAL *</b>			<b>\$200,000.00</b>	<b>\$14,553.00</b>	<b>\$0.00</b>	<b>\$14,553.00</b>		<b>\$727.65</b>
<b>*** OVERRIDE TRANSACTIONS TOTAL ***</b>			<b>\$200,000.00</b>	<b>\$14,553.00</b>	<b>\$0.00</b>	<b>\$14,553.00</b>		<b>\$727.65</b>

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

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b><u>ADJUSTMENTS</u></b>								
01/31/2017		*DUE DILIGENCE: DD-HPI FD DUNN-L KR	0.00					2,000.00
		*** ADJUSTMENTS TOTAL ***	\$0.00	\$0.00	\$0.00	\$0.00		\$2,000.00

**BROKER COMMISSION TOTALS**

Broker Transactions	\$11,628.60
Split Transactions	\$738.83
Override Transactions	\$727.65
Adjustments	\$2,000.00
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$0.00
FINRA Assessment	\$0.00
SIPC Assessment	\$0.00

Check Amount	\$15,095.08
Year-to-date Gross	\$33,854.70
Year-to-date Earnings	\$33,955.42

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