



Concorde Investment Services, LLC
COMMISSION STATEMENT
April 15, 2018

04/17/2018
Page No. 1

MARC, L134 LINSKY
104 B. Centre Blvd

Marlton, NJ 08053

BROKER #: L134
BRANCH: E STREET FINANCIAL L

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>CLEARING TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
04/05/2018	BERK, SHERRI	AM FUNDS GROWTH FUND OF AMERICA A	-3,500.00	22.00	22.00	0.00	90.0	0.00
		* MUTUAL FUNDS SUBTOTAL *	\$-3,500.00	\$22.00	\$22.00	\$0.00		\$0.00
<u>PRODUCT CATEGORY: STOCKS</u>								
04/10/2018	BOND-HILTNER, LINDA	AMAZON COM INC	10,045.70	30.00	22.50	7.50	90.0	6.75
04/10/2018	APPLEBAUM, RHEA	APPLE INC COM	-54,471.53	30.00	22.50	7.50	90.0	6.75
		* STOCKS SUBTOTAL *	\$-44,425.83	\$60.00	\$45.00	\$15.00		\$13.50
		*** CLEARING TRANSACTIONS TOTAL ***	\$-47,925.83	\$82.00	\$67.00	\$15.00		\$13.50

<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: 529 PLANS</u>								
04/02/2018	WALENCZYK, BRENDA	AM FUNDS CAPITAL WORLD GRTH & INC 5	400.00	15.00	0.00	15.00	90.0	13.50
04/02/2018	CHERRY, ADAM	AM FUNDS CAPITAL WORLD GRTH & INC 5	1,000.00	10.00	0.00	10.00	90.0	9.00
04/02/2018	WALENCZYK, BRENDA	AM FUNDS WASHINGTON MUTUAL INVESTOR	400.00	15.00	0.00	15.00	90.0	13.50
03/28/2018	GOLDBERG, SCOTT	WVA AGE-BASED PORTFOLIO 14-15 A	400.00	10.00	0.00	10.00	90.0	9.00
03/28/2018	GOLDBERG, SCOTT	WVA AGE-BASED PORTFOLIO 18+ A	300.00	7.50	0.00	7.50	90.0	6.75
03/28/2018	GOLDBERG, SCOTT	WVA AGE-BASED PORTFOLIO 18+ A	150.00	3.75	0.00	3.75	90.0	3.38
		* 529 PLANS SUBTOTAL *	\$2,650.00	\$61.25	\$0.00	\$61.25		\$55.13
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
04/02/2018	BENFER, ANDREW	AM FUNDS FUNDAMENTAL INVESTORS A	225.00	11.25	0.00	11.25	90.0	10.13
		* MUTUAL FUNDS SUBTOTAL *	\$225.00	\$11.25	\$0.00	\$11.25		\$10.13

<u>PRODUCT CATEGORY: VARIABLE ANNUITIES</u>								
03/29/2018	LINSKY, MARC	ALLIANZ HIGH FIVE TRADITIONAL	121,047.89	302.62	0.00	302.62	90.0	272.36
03/29/2018	GALM, KATHLEEN	ALLIANZ HIGH FIVE TRADITIONAL	35,551.48	88.88	0.00	88.88	90.0	79.99
03/29/2018	HIRSHMAN, BETTY	ALLIANZ HIGH FIVE TRADITIONAL	277,355.95	693.39	0.00	693.39	90.0	624.05

NOTES: * - Indicates adjustment is not included in 1099 Earnings
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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: VARIABLE ANNUITIES</u>								
03/29/2018	HAMBLETON, JOHN	ALLIANZ HIGH FIVE TRADITIONAL	70,674.58	176.69	0.00	176.69	90.0	159.02
03/29/2018	YANKOWITZ, HARRIETT	ALLIANZ HIGH FIVE TRADITIONAL	21,185.73	52.96	0.00	52.96	90.0	47.66
03/29/2018	DOLIN, RHODA	ALLIANZ HIGH FIVE TRADITIONAL	138,266.15	345.67	0.00	345.67	90.0	311.10
03/29/2018	CIBELLI, JANE	AXA ACCUM 04 ELITE (RO IRA)	47,363.99	148.01	0.00	148.01	90.0	133.21
03/29/2018	CZERWONKA, REMIGIA	HARTFORD LEADERS OUTLOOK (ILA)	16,470.27	41.18	0.00	41.18	90.0	37.06
03/29/2018	KROSNOWSKI, LISA	HARTFORD PHCM V	6,692.64	6.69	0.00	6.69	90.0	6.02
04/04/2018	CHEESEMAN, DIANE	JNL PERSPECTIVE II 04/14	300.00	21.00	0.00	21.00	90.0	18.90
03/31/2018	BONESKI, MARGUERITE	JNL PERSPECTIVE II 05/05	264,759.89	220.63	0.00	220.63	90.0	198.57
03/31/2018	TROMBINO, CONSTANCE	JNL PERSPECTIVE L	277,924.72	231.60	0.00	231.60	90.0	208.44
03/31/2018	NANI, JOSEPH	JNL PERSPECTIVE L	407,803.20	339.84	0.00	339.84	90.0	305.86
03/31/2018	FELDNER, BARBARA	JNL PERSPECTIVE L	485,651.70	404.71	0.00	404.71	90.0	364.24
03/31/2018	STERR, CHRISTOPHER	JNL PERSPECTIVE L	106,499.52	88.75	0.00	88.75	90.0	79.88
03/31/2018	OTT, CAROL	JOHN HANCOCK VENTURE	13,997.12	2.92	0.00	2.92	90.0	2.63
03/31/2018	CAMPBELL, BARBARA	JOHN HANCOCK VENTURE III	198,096.31	165.08	0.00	165.08	90.0	148.57
03/24/2018	GALERMAN, ALAN	TRANSAMERICA LIBERTY	128,167.10	106.81	0.00	106.81	90.0	96.13
* VARIABLE ANNUITIES SUBTOTAL *			\$2,617,808.24	\$3,437.43	\$0.00	\$3,437.43		\$3,093.69
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
03/14/2018	CENTANNI, RICHARD	ALLIANCEBERNSTEIN SMALL/MID CAP VAL	0.00	0.83	0.00	0.83	90.0	0.75
03/14/2018	TRICHON, DONNA-LYNN	ALLIANCEBERNSTEIN SMALL/MID-CAP GRW	0.00	12.59	0.00	12.59	90.0	11.33
03/16/2018	CHIECO, DANIEL	AM CENT EQUITY INCOME	0.00	4.05	0.00	4.05	90.0	3.65
03/15/2018	MEDIA ENTERPRISES	AM FUNDS AMCAP A	0.00	3.83	0.00	3.83	90.0	3.45
03/15/2018	GREENWELL, MARION	AM FUNDS AMCAP C	0.00	6.37	0.00	6.37	90.0	5.73
03/15/2018	GREENWELL, MARION	AM FUNDS AMCAP F1	0.00	0.42	0.00	0.42	90.0	0.38
03/15/2018	BERK, SHERRI	AM FUNDS AMERICAN BALANCED A	0.00	0.17	0.00	0.17	90.0	0.15
03/15/2018	MELVIN, MARY THOMPSON	AM FUNDS AMERICAN BALANCED A	0.00	1.40	0.00	1.40	90.0	1.26
03/15/2018	TAYLOR, THOMAS	AM FUNDS AMERICAN BALANCED A	0.00	0.46	0.00	0.46	90.0	0.41
03/15/2018	TAYLOR, DIANE	AM FUNDS AMERICAN BALANCED A	0.00	0.46	0.00	0.46	90.0	0.41
03/15/2018	APPLEGATE, PAMAEALA	AM FUNDS AMERICAN BALANCED A	0.00	0.94	0.00	0.94	90.0	0.85
03/15/2018	RIZZO, DIANE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.91	0.00	0.91	90.0	0.82
03/15/2018	APPLEGATE, PAMAEALA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.75	0.00	0.75	90.0	0.68
03/15/2018	LINSKY, LISA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	3.72	0.00	3.72	90.0	3.35
03/15/2018	MEDIA ENTERPRISES	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.96	0.00	2.96	90.0	2.66
03/15/2018	RIZZO, DIANE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.24	0.00	1.24	90.0	1.12

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
03/15/2018	MELVIN, GREG	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.70	0.00	0.70	90.0	0.63
03/15/2018	POLLAN, JACLYN	AM FUNDS CAPITAL WORLD GRTH & INC C	0.00	2.71	0.00	2.71	90.0	2.44
03/15/2018	FLEISCH, ROBERT	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	12.68	0.00	12.68	90.0	11.41
03/15/2018	MELVIN, MARY THOMPSON	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.51	0.00	1.51	90.0	1.36
03/15/2018	CHERRY, AYDEN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.89	0.00	0.89	90.0	0.80
03/15/2018	LINSKY, LISA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	4.57	0.00	4.57	90.0	4.11
03/15/2018	RIZZO, DIANE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.51	0.00	1.51	90.0	1.36
03/15/2018	OLIVETI, FRANK	AM FUNDS GROWTH FUND OF AMERICA A	0.00	6.25	0.00	6.25	90.0	5.63
03/15/2018	BERK, SHERRI	AM FUNDS GROWTH FUND OF AMERICA A	0.00	4.77	0.00	4.77	90.0	4.29
03/15/2018	PERETTI, TERESA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.79	0.00	1.79	90.0	1.61
03/15/2018	CENTANNI, BETTY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.38	0.00	0.38	90.0	0.34
03/15/2018	CENTANNI, RICHARD	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.95	0.00	0.95	90.0	0.86
03/15/2018	AYES, NICOLE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.58	0.00	1.58	90.0	1.42
03/15/2018	NATHAN, EDWARD	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.65	0.00	0.65	90.0	0.59
03/15/2018	NATHAN, EDWARD	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.06	0.00	1.06	90.0	0.95
03/15/2018	NATHAN, SUSAN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.65	0.00	0.65	90.0	0.59
03/15/2018	SPECTER, LINDSAY	AM FUNDS GROWTH FUND OF AMERICA C	0.00	2.69	0.00	2.69	90.0	2.42
03/15/2018	POLLAN, JACLYN	AM FUNDS GROWTH FUND OF AMERICA F1	0.00	2.65	0.00	2.65	90.0	2.39
03/15/2018	SPECTER, LINDSAY	AM FUNDS GROWTH FUND OF AMERICA F1	0.00	5.42	0.00	5.42	90.0	4.88
03/15/2018	SPECTER, SHELBY	AM FUNDS GROWTH FUND OF AMERICA F1	0.00	5.51	0.00	5.51	90.0	4.96
03/15/2018	RIZZO, DIANE	AM FUNDS ICA A	0.00	1.47	0.00	1.47	90.0	1.32
03/15/2018	FLEISCH, ROBERT	AM FUNDS ICA A	0.00	8.78	0.00	8.78	90.0	7.90
03/15/2018	BOND-HILTNER, LINDA	AM FUNDS ICA A	0.00	0.43	0.00	0.43	90.0	0.39
03/15/2018	LINSKY, MARC	AM FUNDS ICA A	0.00	0.51	0.00	0.51	90.0	0.46
03/15/2018	NATHAN, EDWARD	AM FUNDS ICA A	0.00	0.56	0.00	0.56	90.0	0.50
03/15/2018	NATHAN, EDWARD	AM FUNDS ICA A	0.00	0.91	0.00	0.91	90.0	0.82
03/15/2018	NATHAN, SUSAN	AM FUNDS ICA A	0.00	0.55	0.00	0.55	90.0	0.50
03/15/2018	TAYLOR, THOMAS	AM FUNDS ICA A	0.00	0.56	0.00	0.56	90.0	0.50
03/15/2018	TAYLOR, DIANE	AM FUNDS ICA A	0.00	0.56	0.00	0.56	90.0	0.50
03/15/2018	APPLEGATE, PAMAELA	AM FUNDS ICA A	0.00	0.98	0.00	0.98	90.0	0.88
03/15/2018	SPECTER, SHELBY	AM FUNDS ICA C	0.00	5.27	0.00	5.27	90.0	4.74
03/15/2018	SPECTER TRUST, STEPHANIE	AM FUNDS ICA F1	0.00	12.33	0.00	12.33	90.0	11.10
03/15/2018	SPECTER, LINDSAY	AM FUNDS ICA F1	0.00	4.78	0.00	4.78	90.0	4.30

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
03/15/2018	SPECTER, SHELBY	AM FUNDS ICA F1	0.00	4.58	0.00	4.58	90.0	4.12
03/15/2018	GARAFOLA, MICHAEL	AM FUNDS INCOME FUND OF AMERICA A	0.00	4.64	0.00	4.64	90.0	4.18
03/15/2018	GARAFOLA, GRACE	AM FUNDS INCOME FUND OF AMERICA A	0.00	4.08	0.00	4.08	90.0	3.67
03/15/2018	GARAFOLA, MICHAEL	AM FUNDS INCOME FUND OF AMERICA A	0.00	19.06	0.00	19.06	90.0	17.15
03/15/2018	MEDIA ENTERPRISES	AM FUNDS INCOME FUND OF AMERICA A	0.00	2.91	0.00	2.91	90.0	2.62
03/15/2018	TAYLOR, THOMAS	AM FUNDS NEW PERSPECTIVE A	0.00	0.74	0.00	0.74	90.0	0.67
03/15/2018	TAYLOR, DIANE	AM FUNDS NEW PERSPECTIVE A	0.00	0.74	0.00	0.74	90.0	0.67
03/15/2018	APPLEGATE, PAMAELA	AM FUNDS NEW PERSPECTIVE A	0.00	1.06	0.00	1.06	90.0	0.95
03/15/2018	MELVIN, MARY THOMPSON	AM FUNDS SMALLCAP WORLD A	0.00	1.51	0.00	1.51	90.0	1.36
03/15/2018	OLIVETI, FRANK	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	5.59	0.00	5.59	90.0	5.03
03/15/2018	BOND-HILTNER, LINDA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.42	0.00	0.42	90.0	0.38
03/15/2018	PERETTI, TERESA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.41	0.00	1.41	90.0	1.27
03/15/2018	LINSKY, MARC	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.50	0.00	0.50	90.0	0.45
03/15/2018	NATHAN, EDWARD	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.55	0.00	0.55	90.0	0.50
03/15/2018	NATHAN, EDWARD	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.90	0.00	0.90	90.0	0.81
03/15/2018	NATHAN, SUSAN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.55	0.00	0.55	90.0	0.50
03/16/2018	O'DONNELL, PATRICIA	AMERICAN CENTURY STRATEGIC ALLOC MO	0.00	2.56	0.00	2.56	90.0	2.30
03/28/2018	PLEVAK, MICHAEL	BLACKROCK EQUITY DIVIDEND FUND CL C	0.00	17.38	0.00	17.38	90.0	15.64
03/22/2018	PERETTI, TERESA	CALAMOS GROWTH A	0.00	1.44	0.00	1.44	90.0	1.30
03/22/2018	DUBIN, JON	CALAMOS GROWTH A	0.00	4.54	0.00	4.54	90.0	4.09
03/19/2018	MEDIA ENTERPRISES	COLUMBIA ACORN A	0.00	1.04	0.00	1.04	90.0	0.94
03/19/2018	FLEISCH, ROBERT	COLUMBIA ACORN A	0.00	14.09	0.00	14.09	90.0	12.68
03/19/2018	FLEISCH, ROBERT	COLUMBIA ACORN SELECT A	0.00	7.28	0.00	7.28	90.0	6.55
03/19/2018	MEDIA ENTERPRISES	COLUMBIA ACORN USA FUND CLASS A	0.00	2.65	0.00	2.65	90.0	2.39
03/19/2018	BOWERS, DORA	COLUMBIA DIVERSIFIED EQUITY INCOME	0.00	1.04	0.00	1.04	90.0	0.94
03/19/2018	MEDIA ENTERPRISES	COLUMBIA EQUITY VALUE A	0.00	0.29	0.00	0.29	90.0	0.26
03/19/2018	MEDIA ENTERPRISES	COLUMBIA LARGE CAP GROWTH A	0.00	0.32	0.00	0.32	90.0	0.29
03/19/2018	MELVIN, GREG	COLUMBIA MARSICO FOCUSED EQUITIES F	0.00	0.91	0.00	0.91	90.0	0.82
03/19/2018	MEDIA ENTERPRISES	COLUMBIA MIDCAP VALUE A	0.00	2.26	0.00	2.26	90.0	2.03
03/19/2018	BOWERS, DORA	COLUMBIA SELECT LARGE CAP GROWTH FU	0.00	1.03	0.00	1.03	90.0	0.93
03/19/2018	FLEISCH, ROBERT	COLUMBIA SMALL CAP INDEX FUND CLASS	0.00	10.92	0.00	10.92	90.0	9.83
03/19/2018	BOWERS, DORA	COLUMBIA SMALL CAP VALUE FUND II CL	0.00	0.18	0.00	0.18	90.0	0.16
03/19/2018	FLEISCH, ROBERT	COLUMBIA STRATEGIC INCOME A	0.00	2.21	0.00	2.21	90.0	1.99

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
03/12/2018	CENTANNI, BETTY	DAVIS NEW YORK VENTURE A	0.00	0.40	0.00	0.40	90.0	0.36
03/12/2018	CENTANNI, RICHARD	DAVIS NEW YORK VENTURE A	0.00	0.54	0.00	0.54	90.0	0.49
03/13/2018	GUERRIERI, CHARLES	DREYFUS CORE EQUITY FUND CLASS A	0.00	3.23	0.00	3.23	90.0	2.91
03/13/2018	COHEN, HARRIET	DREYFUS NEW JERSEY MUNICIPAL BOND F	0.00	57.19	0.00	57.19	90.0	51.47
03/15/2018	BOWERS, DORA	EATON VANCE LARGE-CAP VALUE FUND CL	0.00	0.70	0.00	0.70	90.0	0.63
03/19/2018	HANKINS, ROBERT	FEDERATED HIGH INCOME BOND FUND INC	0.00	1.00	0.00	1.00	90.0	0.90
03/19/2018	CENTANNI, BETTY	FEDERATED KAUFMANN FUND A	0.00	0.35	0.00	0.35	90.0	0.32
03/20/2018	FLEISCH, ROBERT	FIDELITY ADV FLOATING RATE HIGH INC	0.00	7.21	0.00	7.21	90.0	6.49
03/20/2018	FLEISCH, ROBERT	FIDELITY ADV STRATEGIC INCOME A	0.00	8.14	0.00	8.14	90.0	7.33
03/20/2018	CENTANNI, BETTY	FIDELITY ADV STRATEGIC INCOME C	0.00	1.39	0.00	1.39	90.0	1.25
03/20/2018	CENTANNI, RICHARD	FIDELITY ADV STRATEGIC INCOME C	0.00	5.56	0.00	5.56	90.0	5.00
03/20/2018	BOWERS, DORA	FIDELITY ADVISOR MID CAP II FUND CL	0.00	0.26	0.00	0.26	90.0	0.23
03/20/2018	BEYERLE, PATRICIA	FIDELITY MIDCAP II T	0.00	2.04	0.00	2.04	90.0	1.84
03/15/2018	FLEISCH, ROBERT	FRANKLIN DYNATECH A	0.00	12.85	0.00	12.85	90.0	11.57
03/15/2018	FLEISCH, ROBERT	FRANKLIN GOLD & PRECIOUS METALS A	0.00	2.72	0.00	2.72	90.0	2.45
03/15/2018	HASTINGS TURST, OSCAR	FRANKLIN INCOME A	0.00	1.04	0.00	1.04	90.0	0.94
03/15/2018	FLEISCHMAN, RITA	FRANKLIN INCOME A	0.00	4.86	0.00	4.86	90.0	4.37
03/15/2018	COBB, DOROTHY	FRANKLIN INCOME A	0.00	0.72	0.00	0.72	90.0	0.65
03/15/2018	CENTANNI, RICHARD	FRANKLIN MUTUAL GLOBAL DISCOVERY A	0.00	0.53	0.00	0.53	90.0	0.48
03/15/2018	GREENWELL, MARION	FRNKLN FLOATING RATE DLY ACCESS FND	0.00	2.60	0.00	2.60	90.0	2.34
03/21/2018	BOWERS, STEVEN	GOLDMAN SACHS CAPITAL GROWTH FUND C	0.00	16.00	0.00	16.00	90.0	14.40
03/21/2018	BOWERS, DORA	GOLDMAN SACHS MID CAP VALUE FD CLAS	0.00	0.21	0.00	0.21	90.0	0.19
03/21/2018	PARSONS, MICHELLE	GOLDMAN SACHS U.S. EQUITY INSIGHTS	0.00	0.62	0.00	0.62	90.0	0.56
03/19/2018	NANI, JOSEPH	GRIFFIN INST'L ACCESS R E FUND C	0.00	2.85	0.00	2.85	90.0	2.57
03/19/2018	NANI, JOSEPH	GRIFFIN INST'L ACCESS R E FUND C	0.00	8.54	0.00	8.54	90.0	7.69
03/19/2018	CHERRY, ADAM	GRIFFIN INST'L ACCESS R E FUND C	0.00	4.41	0.00	4.41	90.0	3.97
03/19/2018	CHERRY, ADAM	GRIFFIN INST'L ACCESS R E FUND C	0.00	13.23	0.00	13.23	90.0	11.91
03/19/2018	HASTINGS TURST, OSCAR	GRIFFIN INST'L ACCESS R E FUND C	0.00	7.03	0.00	7.03	90.0	6.33
03/19/2018	HASTINGS TURST, OSCAR	GRIFFIN INST'L ACCESS R E FUND C	0.00	21.08	0.00	21.08	90.0	18.97
03/19/2018	FLEISCHMAN, RITA	GRIFFIN INST'L ACCESS R E FUND C	0.00	9.51	0.00	9.51	90.0	8.56
03/19/2018	FLEISCHMAN, RITA	GRIFFIN INST'L ACCESS R E FUND C	0.00	28.54	0.00	28.54	90.0	25.69
03/19/2018	NIEMINEN, BARBARA	GRIFFIN INST'L ACCESS R E FUND C	0.00	2.11	0.00	2.11	90.0	1.90
03/19/2018	NIEMINEN, BARBARA	GRIFFIN INST'L ACCESS R E FUND C	0.00	6.34	0.00	6.34	90.0	5.71

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
03/19/2018	NAYAK, SHAILA	GRIFFIN INST'L ACCESS R E FUND C	0.00	13.47	0.00	13.47	90.0	12.12
03/19/2018	NAYAK, SHAILA	GRIFFIN INST'L ACCESS R E FUND C	0.00	40.42	0.00	40.42	90.0	36.38
03/19/2018	BACHMAN, ALLEN	GRIFFIN INST'L ACCESS R E FUND C	0.00	1.04	0.00	1.04	90.0	0.94
03/19/2018	BACHMAN, ALLEN	GRIFFIN INST'L ACCESS R E FUND C	0.00	3.11	0.00	3.11	90.0	2.80
03/19/2018	GALERMAN, ALAN	GRIFFIN INST'L ACCESS R E FUND C	0.00	5.71	0.00	5.71	90.0	5.14
03/19/2018	GALERMAN, ALAN	GRIFFIN INST'L ACCESS R E FUND C	0.00	17.12	0.00	17.12	90.0	15.41
03/19/2018	KLEIN, HOWARD	GRIFFIN INST'L ACCESS R E FUND C	0.00	40.84	0.00	40.84	90.0	36.76
03/19/2018	KLEIN, HOWARD	GRIFFIN INST'L ACCESS R E FUND C	0.00	122.51	0.00	122.51	90.0	110.26
03/19/2018	FARBMAN, ERIC	GRIFFIN INST'L ACCESS R E FUND C	0.00	19.03	0.00	19.03	90.0	17.13
03/19/2018	FARBMAN, ERIC	GRIFFIN INST'L ACCESS R E FUND C	0.00	57.08	0.00	57.08	90.0	51.37
03/19/2018	NAYAK EX TRUST, VASUDER	GRIFFIN INST'L ACCESS R E FUND C	0.00	6.72	0.00	6.72	90.0	6.05
03/19/2018	NAYAK EX TRUST, VASUDER	GRIFFIN INST'L ACCESS R E FUND C	0.00	20.16	0.00	20.16	90.0	18.14
03/19/2018	FARBMAN TRUST, DANIEL & SANDRAGRIFFIN	INST'L ACCESS R E FUND C	0.00	9.48	0.00	9.48	90.0	8.53
03/19/2018	FARBMAN TRUST, DANIEL & SANDRAGRIFFIN	INST'L ACCESS R E FUND C	0.00	28.45	0.00	28.45	90.0	25.61
03/19/2018	ROESKE, CHARLES	GRIFFIN INSTITUTIONAL ACCESS REAL E	0.00	3.97	0.00	3.97	90.0	3.57
03/19/2018	ROESKE, CHARLES	GRIFFIN INSTITUTIONAL ACCESS REAL E	0.00	5.61	0.00	5.61	90.0	5.05
03/19/2018	PERETTI, FRANCES	GRIFFIN INSTITUTIONAL ACCESS REAL E	0.00	3.78	0.00	3.78	90.0	3.40
03/19/2018	LEVY, RONI	GRIFFIN INSTITUTIONAL ACCESS REAL E	0.00	4.72	0.00	4.72	90.0	4.25
03/21/2018	SPECTER TRUST, STEPHANIE	GUGGENHEIM INVERSE GOVT LONG BOND C	0.00	11.90	0.00	11.90	90.0	10.71
03/21/2018	LINSKY, MARC	GUGGENHEIM INVERSE GOVT LONG BOND C	0.00	4.04	0.00	4.04	90.0	3.64
03/19/2018	LINSKY, LISA	HARTFORD CAPITAL APPRECIATION A	0.00	3.65	0.00	3.65	90.0	3.29
03/19/2018	SPECTER TRUST, STEPHANIE	HARTFORD CAPITAL APPRECIATION C	0.00	83.17	0.00	83.17	90.0	74.85
03/19/2018	MEDIA ENTERPRISES	HARTFORD CAPITAL APPRECIATION C	0.00	40.00	0.00	40.00	90.0	36.00
03/19/2018	PERETTI JR, ANTHONY	HARTFORD CAPITAL APPRECIATION C	0.00	36.10	0.00	36.10	90.0	32.49
03/19/2018	KLEIN, HOWARD	HARTFORD CAPITAL APPRECIATION C	0.00	437.12	0.00	437.12	90.0	393.41
03/19/2018	CAMARDO, DONNA	HARTFORD CAPITAL APPRECIATION C	0.00	11.00	0.00	11.00	90.0	9.90
03/19/2018	GODLBERG, SHARON	HARTFORD CAPITAL APPRECIATION C	0.00	7.16	0.00	7.16	90.0	6.44
03/19/2018	BALZANO, AUGUSTUS	HARTFORD CAPITAL APPRECIATION C	0.00	7.64	0.00	7.64	90.0	6.88
03/19/2018	SPECTER, LINDSAY	HARTFORD CAPITAL APPRECIATION C	0.00	32.35	0.00	32.35	90.0	29.12
03/19/2018	SPECTER, SHELBY	HARTFORD CAPITAL APPRECIATION C	0.00	30.19	0.00	30.19	90.0	27.17
03/19/2018	HARRIS, MORGAN	HARTFORD CAPITAL APPRECIATION C	0.00	11.00	0.00	11.00	90.0	9.90
03/19/2018	BUSLER, SCOTT	HARTFORD CAPITAL APPRECIATION C	0.00	23.13	0.00	23.13	90.0	20.82
03/19/2018	BUSLER, MARIANNE	HARTFORD CAPITAL APPRECIATION C	0.00	10.36	0.00	10.36	90.0	9.32

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
03/19/2018	OLIVETI, ANTHONY	HARTFORD CHECKS AND BALANCES FUND A	0.00	2.63	0.00	2.63	90.0	2.37
03/19/2018	OLIVETI, NICOLE	HARTFORD CHECKS AND BALANCES FUND A	0.00	2.63	0.00	2.63	90.0	2.37
03/19/2018	PISANI, NICHOLAS	HARTFORD CHECKS AND BALANCES FUND A	0.00	3.94	0.00	3.94	90.0	3.55
03/19/2018	SPECTER TRUST, STEPHANIE	HARTFORD DIVIDEND & GROWTH C	0.00	71.49	0.00	71.49	90.0	64.34
03/19/2018	MEDIA ENTERPRISES	HARTFORD DIVIDEND & GROWTH C	0.00	44.59	0.00	44.59	90.0	40.13
03/19/2018	CAMARDO, DONNA	HARTFORD DIVIDEND & GROWTH C	0.00	20.51	0.00	20.51	90.0	18.46
03/19/2018	BALZANO, AUGUSTUS	HARTFORD DIVIDEND & GROWTH C	0.00	14.09	0.00	14.09	90.0	12.68
03/19/2018	HARRIS, MORGAN	HARTFORD DIVIDEND & GROWTH C	0.00	20.52	0.00	20.52	90.0	18.47
03/19/2018	SANDERLIN, CATHERINE	HARTFORD DIVIDEND & GROWTH C	0.00	2.20	0.00	2.20	90.0	1.98
03/19/2018	WILSON, KEVIN	HARTFORD DIVIDEND & GROWTH C	0.00	0.43	0.00	0.43	90.0	0.39
03/19/2018	BUSLER, SCOTT	HARTFORD DIVIDEND & GROWTH C	0.00	42.29	0.00	42.29	90.0	38.06
03/19/2018	BUSLER, MARIANNE	HARTFORD DIVIDEND & GROWTH C	0.00	18.93	0.00	18.93	90.0	17.04
03/19/2018	CAMPAGNA, MARIE	HARTFORD FLOATING RATE C	0.00	10.04	0.00	10.04	90.0	9.04
03/19/2018	GODLBERG, SHARON	HARTFORD TOTAL RETURN BOND FUND C	0.00	3.84	0.00	3.84	90.0	3.46
03/20/2018	BOWERS, DORA	JANUS RESEARCH FUND CLASS A	0.00	1.01	0.00	1.01	90.0	0.91
03/16/2018	BOWERS, DORA	JN DISCIPLINED VALUE INT'L A	0.00	0.16	0.00	0.16	90.0	0.14
03/19/2018	CENTANNI, RICHARD	JP MORGAN MID CAP VALUE FUND CLASS	0.00	0.59	0.00	0.59	90.0	0.53
03/19/2018	MEDIA ENTERPRISES	LORD ABBETT BOND DEBENTURE A	0.00	2.80	0.00	2.80	90.0	2.52
03/19/2018	MEDIA ENTERPRISES	LORD ABBETT BOND DEBENTURE A	0.00	1.96	0.00	1.96	90.0	1.76
03/19/2018	DEBRIELLE-HEALEY, ELIZABETH	LORD ABBETT BOND DEBENTURE A	0.00	2.60	0.00	2.60	90.0	2.34
03/19/2018	LAISO, MICHAEL	LORD ABBETT BOND DEBENTURE A	0.00	7.32	0.00	7.32	90.0	6.59
03/19/2018	STRAUS, KAREN	LORD ABBETT BOND DEBENTURE A	0.00	2.36	0.00	2.36	90.0	2.12
03/19/2018	CHERRY, ADAM	LORD ABBETT BOND DEBENTURE C	0.00	108.25	0.00	108.25	90.0	97.43
03/19/2018	HUDSON TRUST OF 2000, ROBERT	LORD ABBETT BOND DEBENTURE C	0.00	110.90	0.00	110.90	90.0	99.81
03/19/2018	YANKOWITZ, HARRIETT	LORD ABBETT BOND DEBENTURE C	0.00	26.65	0.00	26.65	90.0	23.99
03/19/2018	TOBIAS, DAVID	LORD ABBETT BOND DEBENTURE C	0.00	18.31	0.00	18.31	90.0	16.48
03/19/2018	LINSKY, LISA	LORD ABBETT FUNDAMENTAL EQUITY A	0.00	0.86	0.00	0.86	90.0	0.77
03/19/2018	MEDIA ENTERPRISES	LORD ABBETT FUNDAMENTAL EQUITY A	0.00	6.26	0.00	6.26	90.0	5.63
03/19/2018	MEDIA ENTERPRISES	LORD ABBETT FUNDAMENTAL EQUITY A	0.00	0.89	0.00	0.89	90.0	0.80
03/19/2018	MEDIA ENTERPRISES	LORD ABBETT FUNDAMENTAL EQUITY A	0.00	7.70	0.00	7.70	90.0	6.93
03/19/2018	MEDIA ENTERPRISES	LORD ABBETT FUNDAMENTAL EQUITY A	0.00	1.71	0.00	1.71	90.0	1.54
03/19/2018	MEDIA ENTERPRISES	LORD ABBETT FUNDAMENTAL EQUITY A	0.00	1.15	0.00	1.15	90.0	1.04
03/19/2018	APPLEBAUM, RHEA	LORD ABBETT FUNDAMENTAL EQUITY A	0.00	3.25	0.00	3.25	90.0	2.93

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
03/19/2018	ROMERO, MARIA	LORD ABBETT FUNDAMENTAL EQUITY A	0.00	0.05	0.00	0.05	90.0	0.05
03/19/2018	TAROFF, DANIELLE	LORD ABBETT FUNDAMENTAL EQUITY CL C	0.00	9.99	0.00	9.99	90.0	8.99
03/19/2018	TAROFF, DANIELLE	LORD ABBETT FUNDAMENTAL EQUITY CL C	0.00	5.43	0.00	5.43	90.0	4.89
03/19/2018	OLIVETI, NICOLE	LORD ABBETT FUNDAMENTAL EQUITY CL C	0.00	5.67	0.00	5.67	90.0	5.10
03/19/2018	YANKOWITZ, HARRIETT	LORD ABBETT FUNDAMENTAL EQUITY CL C	0.00	13.31	0.00	13.31	90.0	11.98
03/19/2018	LIBERTY, SUSAN	LORD ABBETT FUNDAMENTAL EQUITY CL C	0.00	0.01	0.00	0.01	90.0	0.01
03/19/2018	DIECKERT, DEBRA	LORD ABBETT FUNDAMENTAL EQUITY CL C	0.00	2.68	0.00	2.68	90.0	2.41
03/19/2018	MEDIA ENTERPRISES	LORD ABBETT SHORT DURATION INCOME A	0.00	3.15	0.00	3.15	90.0	2.84
03/19/2018	MEDIA ENTERPRISES	LORD ABBETT SHORT DURATION INCOME A	0.00	0.53	0.00	0.53	90.0	0.48
03/19/2018	MEDIA ENTERPRISES	LORD ABBETT SHORT DURATION INCOME A	0.00	3.69	0.00	3.69	90.0	3.32
03/19/2018	MEDIA ENTERPRISES	LORD ABBETT SHORT DURATION INCOME A	0.00	0.69	0.00	0.69	90.0	0.62
03/19/2018	APPLEBAUM, RHEA	LORD ABBETT SHORT DURATION INCOME A	0.00	1.91	0.00	1.91	90.0	1.72
03/19/2018	BOWERS, DORA	LORD ABBETT SHORT DURATION INCOME F	0.00	1.36	0.00	1.36	90.0	1.22
03/19/2018	BOWERS, DORA	LORD ABBETT SHORT DURATION INCOME F	0.00	18.46	0.00	18.46	90.0	16.61
03/19/2018	BOWERS, DORA	LORD ABBETT SHORT DURATION INCOME F	0.00	1.54	0.00	1.54	90.0	1.39
03/19/2018	BOWERS, STEVEN	LORD ABBETT SHORT DURATION INCOME F	0.00	2.49	0.00	2.49	90.0	2.24
03/19/2018	BOWERS, STEVEN	LORD ABBETT SHORT DURATION INCOME F	0.00	1.91	0.00	1.91	90.0	1.72
03/19/2018	CAMPAGNA, MARIE	LORD ABBETT SHORT DURATION INCOME F	0.00	10.11	0.00	10.11	90.0	9.10
03/19/2018	CHERRY, ADAM	LORD ABBETT SHORT DURATION INCOME F	0.00	89.58	0.00	89.58	90.0	80.62
03/19/2018	KRAMER, LESLIE	LORD ABBETT SHORT DURATION INCOME F	0.00	10.21	0.00	10.21	90.0	9.19
03/19/2018	DADINO, CAROLE	LORD ABBETT SHORT DURATION INCOME F	0.00	4.44	0.00	4.44	90.0	4.00
03/19/2018	BROSIUS JR, ARTHUR	LORD ABBETT SHORT DURATION INCOME F	0.00	5.80	0.00	5.80	90.0	5.22
03/19/2018	BUSLER, SCOTT	LORD ABBETT SHORT DURATION INCOME F	0.00	8.32	0.00	8.32	90.0	7.49
03/19/2018	BUSLER, SCOTT	LORD ABBETT SHORT DURATION INCOME F	0.00	4.22	0.00	4.22	90.0	3.80
03/19/2018	HARDING, LORETTA	LORD ABBETT SHORT DURATION INCOME F	0.00	11.77	0.00	11.77	90.0	10.59
03/23/2018	SKOLNICK, SHEILA	MAINSTAY CUSHING MLP PREMIER FUND C	0.00	15.16	0.00	15.16	90.0	13.64
03/23/2018	MURRY, YVONNE	MAINSTAY CUSHING MLP PREMIER FUND C	0.00	9.61	0.00	9.61	90.0	8.65
03/23/2018	FLEISCHMAN, RITA	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	2.65	0.00	2.65	90.0	2.39
03/23/2018	FARBMAN TRUST, DANIEL & SANDRA	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	1.82	0.00	1.82	90.0	1.64
03/23/2018	PAGLIA, DIANA	MAINSTAY FLOATING RATE FUND CLASS A	0.00	0.45	0.00	0.45	90.0	0.41
03/23/2018	PAGLIA, DIANA	MAINSTAY HIGH YIELD CORP BOND A	0.00	1.12	0.00	1.12	90.0	1.01
03/23/2018	PAGLIA, DIANA	MAINSTAY LARGE CAP GROWTH FUND A	0.00	0.71	0.00	0.71	90.0	0.64
03/13/2018	KROSNOWSKI, THOMAS	MFS CORE EQUITY C	0.00	6.35	0.00	6.35	90.0	5.72

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<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
03/13/2018	KROSNOWSKI, THOMAS	MFS EMERGINF MARKETS EQUITY FUND C	0.00	15.83	0.00	15.83	90.0	14.25
03/13/2018	CAMPAGNA, MARIE	MFS EMERGING MKTS DEBT FUND C	0.00	7.26	0.00	7.26	90.0	6.53
03/13/2018	SPECTER TRUST, STEPHANIE	MFS GROWTH C	0.00	15.68	0.00	15.68	90.0	14.11
03/13/2018	KROSNOWSKI, THOMAS	MFS INTERNATIONAL VALUE FUND C	0.00	14.80	0.00	14.80	90.0	13.32
03/13/2018	BOWERS, DORA	MFS INTERNATIONAL VALUE FUND CLASS	0.00	0.64	0.00	0.64	90.0	0.58
03/13/2018	SPECTER TRUST, BRADLEY	MFS MID-CAP VALUE FUND CLASS C	0.00	8.87	0.00	8.87	90.0	7.98
03/13/2018	SPECTER TRUST, STEPHANIE	MFS MID-CAP VALUE FUND CLASS C	0.00	21.22	0.00	21.22	90.0	19.10
03/13/2018	SPECTER TRUST, BRADLEY	MFS MIDCAP GROWTH C	0.00	8.07	0.00	8.07	90.0	7.26
03/13/2018	SPECTER TRUST, STEPHANIE	MFS MIDCAP GROWTH C	0.00	19.03	0.00	19.03	90.0	17.13
03/13/2018	KROSNOWSKI, THOMAS	MFS MIDCAP GROWTH C	0.00	5.52	0.00	5.52	90.0	4.97
03/13/2018	KROSNOWSKI, THOMAS	MFS RESEARCH FUND-C	0.00	5.77	0.00	5.77	90.0	5.19
03/13/2018	SPECTER TRUST, STEPHANIE	MFS RESEARCH INTL C	0.00	26.20	0.00	26.20	90.0	23.58
03/13/2018	KROSNOWSKI, THOMAS	MFS TECHNOLOGY FUND-C	0.00	11.69	0.00	11.69	90.0	10.52
03/13/2018	SPECTER TRUST, BRADLEY	MFS VALUE C	0.00	9.00	0.00	9.00	90.0	8.10
03/13/2018	SPECTER TRUST, STEPHANIE	MFS VALUE C	0.00	14.01	0.00	14.01	90.0	12.61
03/14/2018	SCARPIGNATO, ANTHONY	NUVEEN HIGH YIELD MUNI A	0.00	0.30	0.00	0.30	90.0	0.27
03/20/2018	KROSNOWSKI, THOMAS	OPPENHEIMER DISCOVERY A	0.00	1.20	0.00	1.20	90.0	1.08
03/20/2018	KROSNOWSKI, THOMAS	OPPENHEIMER GLOBAL OPPORTUNITIES A	0.00	1.16	0.00	1.16	90.0	1.04
03/20/2018	KROSNOWSKI, THOMAS	OPPENHEIMER GOLD & SPECIAL MINERALS	0.00	0.37	0.00	0.37	90.0	0.33
03/20/2018	BOWERS, DORA	OPPENHEIMER INTL GROWTH A	0.00	0.59	0.00	0.59	90.0	0.53
03/20/2018	STERR, ERIN	OPPENHEIMER MAIN STREET A	0.00	2.28	0.00	2.28	90.0	2.05
03/20/2018	KROSNOWSKI, THOMAS	OPPENHEIMER MAIN STREET A	0.00	2.94	0.00	2.94	90.0	2.65
03/20/2018	PERETTI, DANIEL	OPPENHEIMER PORTFOLIO SERIES EQ INV	0.00	0.92	0.00	0.92	90.0	0.83
03/20/2018	PERETTI, DANIEL	OPPENHEIMER PTF SERIES EQUITY INVES	0.00	37.61	0.00	37.61	90.0	33.85
03/20/2018	CHERRY, LISA	OPPENHEIMER QUEST OPP VALUE A	0.00	2.43	0.00	2.43	90.0	2.19
03/20/2018	KROSNOWSKI, THOMAS	OPPENHEIMER QUEST OPP VALUE A	0.00	1.64	0.00	1.64	90.0	1.48
03/21/2018	CHERRY, ADAM	PAC LIFE FUNDS PRT OPT MOD	0.00	237.93	0.00	237.93	90.0	214.14
04/02/2018	TRICHON, DOROTHY	PUTNAM AMERICAN GOVT INCOME-A	0.00	3.90	0.00	3.90	90.0	3.51
04/02/2018	TRICHON, DOROTHY	PUTNAM AMERICAN GOVT INCOME-A	0.00	6.00	0.00	6.00	90.0	5.40
03/21/2018	TRICHON, DONNA-LYNN	PUTNAM GROWTH OPP A	0.00	13.45	0.00	13.45	90.0	12.11
03/21/2018	NIEMINEN, EUGENE	PUTNAM MULTI CAP GROWTH A	0.00	2.99	0.00	2.99	90.0	2.69
03/05/2018	SPECTER, BRADLEY	RESOURCE R E DIVERSIFIED INC FUND A	0.00	13.33	0.00	13.33	90.0	12.00
03/05/2018	SPECTER, STEPHANIE	RESOURCE R E DIVERSIFIED INC FUND A	0.00	18.21	0.00	18.21	90.0	16.39

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
03/05/2018	TAROFF, MICHELLE	RESOURCE R E DIVERSIFIED INC FUND A	0.00	5.99	0.00	5.99	90.0	5.39
03/15/2018	SPECTER, BRADLEY	RESOURCE R E DIVERSIFIED INC FUND A	0.00	11.77	0.00	11.77	90.0	10.59
03/15/2018	SPECTER, STEPHANIE	RESOURCE R E DIVERSIFIED INC FUND A	0.00	16.08	0.00	16.08	90.0	14.47
03/15/2018	TAROFF, MICHELLE	RESOURCE R E DIVERSIFIED INC FUND A	0.00	5.29	0.00	5.29	90.0	4.76
03/05/2018	KLEIN, HOWARD	RESOURCE REAL ESTATE DIVERSIFIED IN	0.00	45.48	0.00	45.48	90.0	40.93
03/05/2018	KLEIN, HOWARD	RESOURCE REAL ESTATE DIVERSIFIED IN	0.00	136.45	0.00	136.45	90.0	122.81
03/15/2018	KLEIN, HOWARD	RESOURCE REAL ESTATE DIVERSIFIED IN	0.00	40.14	0.00	40.14	90.0	36.13
03/15/2018	KLEIN, HOWARD	RESOURCE REAL ESTATE DIVERSIFIED IN	0.00	120.43	0.00	120.43	90.0	108.39
03/15/2018	FLEISCH, ROBERT	TEMPLETON GLOBAL BOND A	0.00	10.24	0.00	10.24	90.0	9.22
03/15/2018	GREENWELL, MARION	TEMPLETON GROWTH A	0.00	1.54	0.00	1.54	90.0	1.39
03/15/2018	CENTANNI, RICHARD	TEMPLETON GROWTH A	0.00	0.33	0.00	0.33	90.0	0.30
03/15/2018	FLEISCH, ROBERT	TEMPLETON WORLD A	0.00	10.18	0.00	10.18	90.0	9.16
03/27/2018	PERETTI, DANIEL	TOUCHSTONE GROWTH OPP A	0.00	1.48	0.00	1.48	90.0	1.33
03/26/2018	EHRET, WAYNE	VICTORY CAPITAL MANAGEMENT	0.00	0.46	0.00	0.46	90.0	0.41
03/14/2018	CHERRY, LISA	VIRTUS SMALL-CAP SUSTAINABLE GROWTH	0.00	5.95	0.00	5.95	90.0	5.36
03/14/2018	PISANI, NICHOLAS	WELLS FARGO ADVANTAGE OMEGA GROWTH	0.00	9.49	0.00	9.49	90.0	8.54
03/14/2018	CAMPAGNA, MARIE	WELLS FARGO ADVTG DIVERSIFIED INCOM	0.00	20.83	0.00	20.83	90.0	18.75
03/14/2018	CAMPAGNA, MARIE	WELLS FARGO ADVTG DIVERSIFIED INCOM	0.00	9.97	0.00	9.97	90.0	8.97
03/14/2018	BOWERS, DORA	WELLS FARGO ADVTG EMERGING MARKETS	0.00	0.19	0.00	0.19	90.0	0.17
03/14/2018	TRICHON, DONNA-LYNN	WELLS FARGO DIVERSIFIED CAPITAL BUI	0.00	17.13	0.00	17.13	90.0	15.42
/ /	GOLDBERG, SCOTT	WVA AGE-BASED PORTFOLIO 14-15 A	0.00	7.95	0.00	7.95	90.0	7.16
/ /	GOLDBERG, SCOTT	WVA AGE-BASED PORTFOLIO 18+ A	0.00	0.82	0.00	0.82	90.0	0.74
/ /	GOLDBERG, SCOTT	WVA AGE-BASED PORTFOLIO 18+ A	0.00	0.67	0.00	0.67	90.0	0.60
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *			\$0.00	\$3,470.67	\$0.00	\$3,470.67		\$3,123.80

PRODUCT CATEGORY: VARIABLE ANNUITY 12B1 TRAILS

03/31/2018	CHERRY, ADAM	LINCOLN BENEFIT TRAIL RENEWALS	527,367.35	1,318.42	0.00	1,318.42	90.0	1,186.58
03/31/2018	PISANI, CARLA	LINCOLN BENEFIT TRAIL RENEWALS	121,105.73	75.69	0.00	75.69	90.0	68.12
03/31/2018	CARLINO, NANCY	LINCOLN BENEFIT TRAIL RENEWALS	69,557.20	173.89	0.00	173.89	90.0	156.50
03/31/2018	SAVASTANO, VICTOR	LINCOLN BENEFIT TRAIL RENEWALS	121,196.46	302.99	0.00	302.99	90.0	272.69
03/31/2018	ROSENBLUM, LUCILLE	LINCOLN BENEFIT TRAIL RENEWALS	679,392.75	1,698.48	0.00	1,698.48	90.0	1,528.63
03/31/2018	FLYNN, EDWARD	LINCOLN BENEFIT TRAIL RENEWALS	36,799.14	92.00	0.00	92.00	90.0	82.80
03/31/2018	TAROFF, SCOTT	LINCOLN BENEFIT TRAIL RENEWALS	339,488.14	848.52	0.00	848.52	90.0	763.67
03/31/2018	OLIVETI, FRANK	LINCOLN BENEFIT TRAIL RENEWALS	114,806.57	287.02	0.00	287.02	90.0	258.32

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>DIRECT TRANSACTIONS</u>								
PRODUCT CATEGORY: VARIABLE ANNUITY 12B1 TRAILS								
03/31/2018	MACDONALD, WILLIAM	LINCOLN BENEFIT TRAIL RENEWALS	159,480.02	398.70	0.00	398.70	90.0	358.83
03/31/2018	SMITH, BARBARA	LINCOLN BENEFIT TRAIL RENEWALS	277,824.05	694.56	0.00	694.56	90.0	625.10
03/31/2018	MURPHY, MARY	LINCOLN BENEFIT TRAIL RENEWALS	329,066.50	822.67	0.00	822.67	90.0	740.40
03/31/2018	DEBRIELLE-HEALEY, ELIZABETH	LINCOLN BENEFIT TRAIL RENEWALS	53,241.41	133.10	0.00	133.10	90.0	119.79
03/31/2018	MURPHY, MARY	LINCOLN BENEFIT TRAIL RENEWALS	33,968.99	84.92	0.00	84.92	90.0	76.43
03/31/2018	SMITH, BARBARA	LINCOLN BENEFIT TRAIL RENEWALS	678,692.19	1,696.73	0.00	1,696.73	90.0	1,527.06
03/31/2018	FELDNER, BARBARA	LINCOLN BENEFIT TRAIL RENEWALS	256,069.36	640.17	0.00	640.17	90.0	576.15
03/31/2018	KLEIN, HOWARD	LINCOLN BENEFIT TRAIL RENEWALS	1,624,366.11	4,060.92	0.00	4,060.92	90.0	3,654.83
03/31/2018	HUDSON TRUST, ROBERT	LINCOLN BENEFIT TRAIL RENEWALS	580,324.92	1,450.81	0.00	1,450.81	90.0	1,305.73
03/31/2018	GUERRIERI, ANTHONY	LINCOLN BENEFIT TRAIL RENEWALS	7,846.65	19.62	0.00	19.62	90.0	17.66
03/31/2018	CHERRY, ADAM	LINCOLN BENEFIT TRAIL RENEWALS	164,353.30	410.88	0.00	410.88	90.0	369.79
03/31/2018	FARBMAN, SANDRA	LINCOLN BENEFIT TRAIL RENEWALS	658,695.46	1,646.74	0.00	1,646.74	90.0	1,482.07
03/31/2018	BALZANO, AUGUSTUS	LINCOLN BENEFIT TRAIL RENEWALS	100,328.22	251.57	0.00	251.57	90.0	226.41
03/31/2018	PLEAT, LEAH	LINCOLN BENEFIT TRAIL RENEWALS	84,872.73	212.18	0.00	212.18	90.0	190.96
03/31/2018	BAUER, JOHN	LINCOLN BENEFIT TRAIL RENEWALS	130,450.56	326.13	0.00	326.13	90.0	293.52
03/31/2018	LA CORTE, CYNTHIA	LINCOLN BENEFIT TRAIL RENEWALS	103,684.96	259.21	0.00	259.21	90.0	233.29
03/31/2018	PERETTI JR, ANTHONY	LINCOLN BENEFIT TRAIL RENEWALS	42,436.86	106.09	0.00	106.09	90.0	95.48
03/31/2018	FELDNER, BARBARA	LINCOLN BENEFIT TRAIL RENEWALS	140,399.00	351.00	0.00	351.00	90.0	315.90
03/31/2018	FELDNER, BARBARA	LINCOLN BENEFIT TRAIL RENEWALS	229,983.64	574.96	0.00	574.96	90.0	517.46
03/31/2018	HARDING, LORETTA	LINCOLN BENEFIT TRAIL RENEWALS	178,767.23	446.92	0.00	446.92	90.0	402.23
03/31/2018	HARDING, HARRY	LINCOLN BENEFIT TRAIL RENEWALS	76,743.16	191.86	0.00	191.86	90.0	172.67
03/31/2018	LEVIN, JOYCE	LINCOLN BENEFIT TRAIL RENEWALS	54,719.97	136.80	0.00	136.80	90.0	123.12
03/31/2018	LEVIN, BARRY	LINCOLN BENEFIT TRAIL RENEWALS	482,935.19	1,207.34	0.00	1,207.34	90.0	1,086.61
03/31/2018	PISANI, NICHOLAS	LINCOLN BENEFIT TRAIL RENEWALS	267,202.03	668.01	0.00	668.01	90.0	601.21
03/31/2018	BECKETT, CHRISTINE	LINCOLN BENEFIT TRAIL RENEWALS	481,579.84	1,203.95	0.00	1,203.95	90.0	1,083.56
03/31/2018	SCARPIGNATO, ANTHONY	LINCOLN BENEFIT TRAIL RENEWALS	1,910.63	4.78	0.00	4.78	90.0	4.30
03/31/2018	SCARPIGNATO, ANTHONY	LINCOLN BENEFIT TRAIL RENEWALS	132,995.44	332.49	0.00	332.49	90.0	299.24
03/31/2018	LINSKY, LISA	LINCOLN BENEFIT TRAIL RENEWALS	101,324.99	253.31	0.00	253.31	90.0	227.98
03/31/2018	GALERMAN, ALAN	LINCOLN BENEFIT TRAIL RENEWALS	179,741.67	449.35	0.00	449.35	90.0	404.42
03/31/2018	GALERMAN, LIORA	LINCOLN BENEFIT TRAIL RENEWALS	26,344.67	65.86	0.00	65.86	90.0	59.27
03/31/2018	KIM, CHUNG	LINCOLN BENEFIT TRAIL RENEWALS	68,013.92	170.03	0.00	170.03	90.0	153.03
03/31/2018	CHERRY, ROBERTA	LINCOLN BENEFIT TRAIL RENEWALS	59,741.00	149.35	0.00	149.35	90.0	134.42
03/31/2018	CUNNINGHAM, EDWARD	LINCOLN BENEFIT TRAIL RENEWALS	65,226.77	163.07	0.00	163.07	90.0	146.76

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>DIRECT TRANSACTIONS</u>								
PRODUCT CATEGORY: VARIABLE ANNUITY 12B1 TRAILS								
03/31/2018	KRAMER, LARRY	LINCOLN BENEFIT TRAIL RENEWALS	638,081.75	1,595.20	0.00	1,595.20	90.0	1,435.68
03/31/2018	CRAMER, FRED	LINCOLN BENEFIT TRAIL RENEWALS	143,695.77	359.24	0.00	359.24	90.0	323.32
03/31/2018	NEELD, JOHN	LINCOLN BENEFIT TRAIL RENEWALS	77,758.14	194.40	0.00	194.40	90.0	174.96
03/31/2018	NEELD, JOHN	LINCOLN BENEFIT TRAIL RENEWALS	38,135.40	95.34	0.00	95.34	90.0	85.81
03/31/2018	NEELD, JUDEANN	LINCOLN BENEFIT TRAIL RENEWALS	31,942.32	79.86	0.00	79.86	90.0	71.87
03/27/2018	MEDIA ENTERPRISES	PAC LIFE INNOVATIVE SELECT	0.00	151.33	0.00	151.33	90.0	136.20
* VARIABLE ANNUITY 12B1 TRAILS SUBTOTAL *			\$10,772,658.16	\$26,856.46	\$0.00	\$26,856.46		\$24,170.83
*** DIRECT TRANSACTIONS TOTAL ***			\$13,393,341.40	\$33,837.06	\$0.00	\$33,837.06		\$30,453.58

SPLIT TRANSACTIONS**BROKER: J30 MARC/MICHAEL LINSKY/FOX #266**

03/15/2018	CLARKE, PHYLLIS	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	1.10	0.00	1.10	90.0	0.99
03/15/2018	CLARKE, PHYLLIS	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.08	0.00	0.08	90.0	0.07
03/15/2018	BERK, MICHAEL	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.58	0.00	1.58	90.0	1.42
03/15/2018	CLARKE, PHYLLIS	FRANKLIN GROWTH OPPORTUNITIES FUND	0.00	0.11	0.00	0.11	90.0	0.10
03/21/2018	SPOKANE, LOIS	GOLDMAN SACHS U.S. EQUITY INSIGHTS	0.00	0.62	0.00	0.62	90.0	0.56
03/19/2018	CLARKE, PHYLLIS	HARTFORD INFLATION PLUS FUIND C	0.00	2.96	0.00	2.96	90.0	2.66
03/19/2018	CLARKE, PHYLLIS	LORD ABBETT AFFILIATED A	0.00	1.08	0.00	1.08	90.0	0.97
03/19/2018	SPOKANE, LOIS	LORD ABBETT BOND DEBENTURE A	0.00	1.46	0.00	1.46	90.0	1.31
03/19/2018	SPOKANE, LOIS	LORD ABBETT FUNDAMENTAL EQUITY A	0.00	3.78	0.00	3.78	90.0	3.40
03/21/2018	CLARKE, PHYLLIS	PIMCO TOTAL RETURN C	0.00	12.73	0.00	12.73	90.0	11.46
03/21/2018	BELLO, JOSEPH	PUTNAM MULTI CAP GROWTH A	0.00	0.60	0.00	0.60	90.0	0.54
03/05/2018	LANUTI, CHERYL	RESOURCE R E DIVERSIFIED INC FUND A	0.00	9.12	0.00	9.12	90.0	8.21
03/15/2018	LANUTI, CHERYL	RESOURCE R E DIVERSIFIED INC FUND A	0.00	8.05	0.00	8.05	90.0	7.25
* J30 MARC/MICHAEL LINSKY/FOX SUBTOTAL *			\$0.00	\$43.27	\$0.00	\$43.27		\$38.94

BROKER: DAN/JEFF/JON P/ FT-R134 NY RAUPP/KI #272

03/19/2018	DAMONE, DENNIS	JP MORGAN INVESTOR GROWTH & INCOME	0.00	0.21	0.00	0.21	90.0	0.19
* DAN/JEFF/JON P/ FT-R134 NY RAUPP/KI SUBTOTAL *			\$0.00	\$0.21	\$0.00	\$0.21		\$0.19

BROKER: DAN/MARC FT-C148 CHARLEY/LINS #315

03/15/2018	ANDERSON, WILLIAM	AM FUNDS BOND FUND OF AMERICA A	0.00	0.42	0.00	0.42	90.0	0.38
03/15/2018	NEELD, JUDEANN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.24	0.00	1.24	90.0	1.12

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>SPLIT TRANSACTIONS</u>								
<u>BROKER: DAN/MARC FT-C148 CHARLEY/LINS #315</u>								
03/15/2018	NEELD, JUDEANN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	3.16	0.00	3.16	90.0	2.84
03/16/2018	ANDERSON, WILLIAM	AMERCIAN CENTURY CORE PLUS FUND CLA	0.00	2.57	0.00	2.57	90.0	2.31
03/28/2018	ANDERSON, ELAINE	BLK GLOBAL ALLOCATION C	0.00	2.35	0.00	2.35	90.0	2.12
03/22/2018	ANDERSON, ELAINE	CALAMOS GROWTH & INCOME A	0.00	0.87	0.00	0.87	90.0	0.78
03/20/2018	ANDERSON, WILLIAM	CARILLON EAGLE GROWTH & INCOME FUND	0.00	5.97	0.00	5.97	90.0	5.37
03/19/2018	ANDERSON, WILLIAM	COLUMBIA BALANCED FUND CLASS C	0.00	3.25	0.00	3.25	90.0	2.93
03/12/2018	FIAMINGO, FRANK	DAVIS REAL ESTATE A	0.00	1.89	0.00	1.89	90.0	1.70
03/21/2018	ANDERSON, WILLIAM	FIRST EAGLE OVERSEAS FUND CLASS A	0.00	0.91	0.00	0.91	90.0	0.82
03/19/2018	FIAMINGO, NANCY	GRIFFIN INST'L ACCESS R E FUND C	0.00	9.60	0.00	9.60	90.0	8.64
03/19/2018	FIAMINGO, NANCY	GRIFFIN INST'L ACCESS R E FUND C	0.00	28.80	0.00	28.80	90.0	25.92
03/19/2018	FIAMINGO, FRANK	GRIFFIN INST'L ACCESS R E FUND C	0.00	12.48	0.00	12.48	90.0	11.23
03/19/2018	FIAMINGO, FRANK	GRIFFIN INST'L ACCESS R E FUND C	0.00	37.44	0.00	37.44	90.0	33.70
03/19/2018	CLARKE SR, JAMES	GRIFFIN INST'L ACCESS R E FUND C	0.00	4.25	0.00	4.25	90.0	3.83
03/19/2018	CLARKE SR, JAMES	GRIFFIN INST'L ACCESS R E FUND C	0.00	12.73	0.00	12.73	90.0	11.46
03/19/2018	BUTKUS, ROBERT	GRIFFIN INST'L ACCESS R E FUND C	0.00	4.75	0.00	4.75	90.0	4.28
03/19/2018	BUTKUS, ROBERT	GRIFFIN INST'L ACCESS R E FUND C	0.00	14.25	0.00	14.25	90.0	12.83
03/20/2018	ANDERSON, ELAINE	JANUS BALANCED FUND CLASS C	0.00	3.05	0.00	3.05	90.0	2.75
03/16/2018	ANDERSON, ELAINE	JH STRATEGIC INCOME A	0.00	0.40	0.00	0.40	90.0	0.36
03/20/2018	FIAMINGO, FRANK	OPPENHEIMER CAPITAL INCOME A	0.00	0.01	0.00	0.01	90.0	0.01
03/21/2018	ANDERSON, WILLIAM	PIMCO REAL RETURN C	0.00	1.54	0.00	1.54	90.0	1.39
03/14/2018	RYNEX, CAROL	WELLS FARGO DOW JONES TARGET 2035 F	0.00	0.96	0.00	0.96	90.0	0.86
03/14/2018	RYNEX, STEPHEN	WELLS FARGO PREMIER LG COMP GRWTH A	0.00	0.56	0.00	0.56	90.0	0.50
* DAN/MARC FT-C148 CHARLEY/LINS SUBTOTAL *			\$0.00	\$153.45	\$0.00	\$153.45		\$138.13
<u>BROKER: DA/MAR/JP/DA/JE FT- C157 CHA/LIN/CI #400</u>								
03/19/2018	CARROLLTON, DONNA	GRIFFIN INSTITUTIONAL ACCESS REAL E	0.00	1.53	0.00	1.53	90.0	1.38
03/19/2018	CARROLLTON, STEVE	GRIFFIN INSTITUTIONAL ACCESS REAL E	0.00	1.10	0.00	1.10	90.0	0.99
* DA/MAR/JP/DA/JE FT- C157 CHA/LIN/CI SUBTOTAL *			\$0.00	\$2.63	\$0.00	\$2.63		\$2.37
*** SPLIT TRANSACTIONS TOTAL ***			\$0.00	\$199.56	\$0.00	\$199.56		\$179.63

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<u>ADJUSTMENTS</u>								
04/15/2018		*EO INS: CURRENT MONTH INS	0.00					-300.00
04/15/2018		*FEDERAL EXPRESS: 6-133-25866 3/28/18	0.00					-68.18
04/15/2018		*FEDERAL EXPRESS: 6-140-50242 4/4/18	0.00					-82.45
04/15/2018		*FINRA: CE TRACKED WEB FEE S101	0.00					-55.00
04/15/2018		*MARKETING LIBRARY: MARKETING LIBRARY PRO	0.00					-45.00
04/15/2018		*PERSHING: C MGR SNYDERS-FIAMINGO	0.00					-5.00
04/15/2018		*PERSHING: CALGON CARBON MGR-HILTNER	0.00					-10.00
04/15/2018		*PERSHING: MF PROSPECTUS MAILING	0.00					-1.55
04/15/2018		*PERSHING: SPECIAL PROD FEE - OTT	0.00					-280.00
04/15/2018		*PERSHING: SPECIAL PROD FEE - SCOZZAFAVE	0.00					-125.00
04/15/2018		*PERSHING: STOP CK FEE - KLEIN	0.00					-10.00
04/15/2018		*PERSHING: BOOKS & RECORDS	0.00					-1.50
04/15/2018		*TECH: ADMIN-CHRISTINE GILMER	0.00					-100.00
04/15/2018		*TECH: ADMIN-LINDA BOND-HILTNER	0.00					-100.00
04/15/2018		*TECH: CURRENT MONTH TECH	0.00					-275.00
04/15/2018		*TECHNOLOGY: ADMIN D. LINSKY	0.00					-135.00
*** ADJUSTMENTS TOTAL ***			\$0.00	\$0.00	\$0.00	\$0.00		\$-1,593.68

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BROKER COMMISSION TOTALS

Broker Transactions	\$30,467.08
Split Transactions	\$179.63
Override Transactions	\$0.00
Adjustments	\$-1,593.68
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$0.00
FINRA Assessment	\$0.00
SIPC Assessment	\$0.00

Check Amount	\$29,053.03
Year-to-date Gross	\$172,964.66
Year-to-date Earnings	\$154,595.58