



Concorde Investment Services, LLC

09/13/2017  
Page No. 1

## COMMISSION STATEMENT

September 15, 2017

DANIEL RAUPP  
417 E. Main Street  
3rd Floor  
Port Jefferson, NY 11777

BROKER #: R132  
BRANCH: FORTITUDE INVESTMENT

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b><u>BROKER TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: PRIVATE PLACEMENT</u></b>								
08/17/2017	RAUPP, DANIEL	GPB AUTOMOTIVE PORTFOLIO LP	93,000.00	0.00	0.00	0.00	100.0	0.00
09/12/2017	FORREST, DAVID	GPB AUTOMOTIVE PORTFOLIO LP	150,000.00	10,500.00	0.00	10,500.00	100.0	10,500.00
* PRIVATE PLACEMENT SUBTOTAL *			\$243,000.00	\$10,500.00	\$0.00	\$10,500.00		\$10,500.00
<b><u>PRODUCT CATEGORY: 1031 EXCHANGES</u></b>								
09/11/2017	THEODIVA REALTY CORP	HIGHLAND CAPITAL NREA GARDENS DST	276,637.47	16,598.25	0.00	16,598.25	100.0	16,598.25
* 1031 EXCHANGES SUBTOTAL *			\$276,637.47	\$16,598.25	\$0.00	\$16,598.25		\$16,598.25
<b><u>PRODUCT CATEGORY: VARIABLE ANNUITIES</u></b>								
09/05/2017	K BELL ASSOC PENSION	GWL GRP ANNUITY 401K	630,912.17	535.84	0.00	535.84	100.0	535.84
08/31/2017	TRAINOR, EDWARD	JNL PERSPECTIVE L	64,598.13	53.83	0.00	53.83	100.0	53.83
08/29/2017	TRAINOR, EDWARD	TRANSAMERICA LIBERTY	55,759.21	46.47	0.00	46.47	100.0	46.47
* VARIABLE ANNUITIES SUBTOTAL *			\$751,269.51	\$636.14	\$0.00	\$636.14		\$636.14
<b><u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u></b>								
08/07/2017	DOLCE, JENNIFER	CATALYST/MILLBURN HEDGE STRATEGY FU	0.00	110.63	0.00	110.63	100.0	110.63
08/17/2017	RAUPP, DANIEL	MAINSTAY CUSHING MLP PREMIER FUND C	0.00	2.98	0.00	2.98	100.0	2.98
08/17/2017	LACASSE, RAYMOND	MAINSTAY CUSHING MLP PREMIER FUND C	0.00	4.81	0.00	4.81	100.0	4.81
08/14/2017	LACASSE, CHRISTINE	WELLS FARGO ADVANTAGE ABSOLUTE RETU	0.00	2.12	0.00	2.12	100.0	2.12
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *			\$0.00	\$120.54	\$0.00	\$120.54		\$120.54
*** BROKER TRANSACTIONS TOTAL ***			\$1,270,906.98	\$27,854.93	\$0.00	\$27,854.93		\$27,854.93

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>SPLIT TRANSACTIONS</u></b>								
<b><u>BROKER: 1AF-DAN/JON P/JEFF FT-NY RAUPP/CIRE #251</u></b>								
09/11/2017	TK MARSHALL INC	CANTOR CF NET LEASE PF 9 DST	500,000.00	10,200.00	0.00	10,200.00	100.0	10,200.00
08/07/2017	MARKLEW, IAN	CATALYST/MILLBURN HEDGE STRATEGY FU	0.00	2.61	0.00	2.61	100.0	2.61
09/11/2017	TK MARSHALL INC	HIGHLAND CAPITAL NREA GARDENS DST	1,091,261.59	22,261.74	0.00	22,261.74	100.0	22,261.74
* 1AF-DAN/JON P/JEFF FT-NY RAUPP/CIRE SUBTOTAL *			<b>\$1,591,261.59</b>	<b>\$32,464.35</b>	<b>\$0.00</b>	<b>\$32,464.35</b>		<b>\$32,464.35</b>
<b><u>BROKER: 1JR-DAN/JEFFREY FT-NY RAUPP/KIESNOS #252</u></b>								
08/07/2017	PARILLO, DOMINICK	CATALYST/MILLBURN HEDGE STRATEGY FU	0.00	1.26	0.00	1.26	100.0	1.26
08/07/2017	RENEGAR, ROBERT	CATALYST/MILLBURN HEDGE STRATEGY FU	0.00	3.01	0.00	3.01	100.0	3.01
08/07/2017	WYFFELS, ALAN	CATALYST/MILLBURN HEDGE STRATEGY FU	0.00	3.64	0.00	3.64	100.0	3.64
08/07/2017	PARILLO, RALPH	CATALYST/MILLBURN HEDGE STRATEGY FU	0.00	1.26	0.00	1.26	100.0	1.26
08/17/2017	WOLD, ALEXANDRA	MAINSTAY CUSHING MLP PREMIER FUND C	0.00	0.26	0.00	0.26	100.0	0.26
08/17/2017	RENEGAR, ROBERT	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	0.21	0.00	0.21	100.0	0.21
08/17/2017	WYFFELS, ALAN	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	1.19	0.00	1.19	100.0	1.19
08/17/2017	WYFFELS, ALAN	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	0.28	0.00	0.28	100.0	0.28
08/17/2017	LUBIN, GLENN	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	0.31	0.00	0.31	100.0	0.31
08/17/2017	WOLD, JOHN	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	0.15	0.00	0.15	100.0	0.15
08/29/2017	WOLD, JOHN	VOYA MID-CAP OPPORTUNITIES FUND CLA	0.00	0.11	0.00	0.11	100.0	0.11
* 1JR-DAN/JEFFREY FT-NY RAUPP/KIESNOS SUBTOTAL *			<b>\$0.00</b>	<b>\$11.68</b>	<b>\$0.00</b>	<b>\$11.68</b>		<b>\$11.68</b>
<b><u>BROKER: BUM-JEFFREY/DAN FT-NY KIESNOSKI/RAU #253</u></b>								
08/07/2017	CRESPO, ALEJANDRO	CATALYST/MILLBURN HEDGE STRATEGY FU	0.00	0.91	0.00	0.91	100.0	0.91
08/07/2017	BARBER, STEVE	CATALYST/MILLBURN HEDGE STRATEGY FU	0.00	0.40	0.00	0.40	100.0	0.40
08/07/2017	CHEW, ROLAND	CATALYST/MILLBURN HEDGE STRATEGY FU	0.00	0.97	0.00	0.97	100.0	0.97
08/17/2017	FIVE STAR BUS 401K	COLUMBIA INCOME OPPORTUNITIES FUND	0.00	0.53	0.00	0.53	100.0	0.53
08/17/2017	PRECISION INTERIORS	COLUMBIA INCOME OPPORTUNITIES FUND	0.00	2.13	0.00	2.13	100.0	2.13
08/14/2017	FIVE STAR BUS 401K	FORWARD GROWTH ALLOCATION FUND CLAS	0.00	1.27	0.00	1.27	100.0	1.27
08/16/2017	CAPOBIANCO, PETER	HARTFORD CAPITAL APPRECIATION A	0.00	0.50	0.00	0.50	100.0	0.50
08/16/2017	DEGREGORIO, JOHN	HARTFORD CAPITAL APPRECIATION A	0.00	0.83	0.00	0.83	100.0	0.83
08/15/2017	BARBER, STEVE	JP MORGAN VALUE ADVANTAGE FUND CLAS	0.00	0.33	0.00	0.33	100.0	0.33
08/17/2017	BARBER, STEVE	MAINSTAY CUSHING MLP PREMIER FUND C	0.00	0.47	0.00	0.47	100.0	0.47
08/17/2017	KURTZ, MICHAEL	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	0.26	0.00	0.26	100.0	0.26
08/17/2017	CRESPO, ALEJANDRO	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	0.71	0.00	0.71	100.0	0.71
08/17/2017	AXELROD, ALAN	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	0.09	0.00	0.09	100.0	0.09
08/17/2017	RABETZ, WILLIAM	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	0.55	0.00	0.55	100.0	0.55

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<b><u>SPLIT TRANSACTIONS</u></b>								
<b><u>BROKER: BUM-JEFFREY/DAN FT-NY KIESNOSKI/RAU #253</u></b>								
08/17/2017	IAQUINTO, JOSEPH	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	0.35	0.00	0.35	100.0	0.35
08/17/2017	FIVE STAR BUS 401K	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	0.20	0.00	0.20	100.0	0.20
08/17/2017	PRECISION INTERIORS	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	0.44	0.00	0.44	100.0	0.44
08/17/2017	AXELROD, ALAN	TRANSAMERICA SHORT-TERM BOND C	0.00	5.32	0.00	5.32	100.0	5.32
* BUM-JEFFREY/DAN FT-NY KIESNOSKI/RAU SUBTOTAL *			\$0.00	\$16.26	\$0.00	\$16.26		\$16.26
<b><u>BROKER: G3G-DAN/ROY/JEFF/JON FT-NY RAUPP/PF #254</u></b>								
08/17/2017	FENELON, DICKENS	FA 529 PORT 2030 T	0.00	0.09	0.00	0.09	100.0	0.09
08/16/2017	MCCLARNON, BRENDAN	GRIFFIN INSTITUTIONAL ACCESS REAL E	0.00	0.22	0.00	0.22	100.0	0.22
08/16/2017	DAVID, RUDOLPH	GRIFFIN INSTITUTIONAL ACCESS REAL E	0.00	0.37	0.00	0.37	100.0	0.37
08/15/2017	NICASTRO, JOSEPH	JP MORGAN EQUITY INCOME FUND CLASS	0.00	0.63	0.00	0.63	100.0	0.63
08/15/2017	LALAMA, MARY	JP MORGAN EQUITY INCOME FUND CLASS	0.00	0.57	0.00	0.57	100.0	0.57
08/15/2017	DAVID, RUDOLPH	JP MORGAN EQUITY INCOME FUND CLASS	0.00	0.24	0.00	0.24	100.0	0.24
08/15/2017	DAVID, RUDOLPH	JP MORGAN GROWTH ADV A	0.00	0.24	0.00	0.24	100.0	0.24
08/15/2017	CIMMINO, VICTORIA	JP MORGAN GROWTH ADV A	0.00	0.47	0.00	0.47	100.0	0.47
08/15/2017	KEYSER, LISA	JP MORGAN INVESTOR GROWTH FUND CLAS	0.00	3.00	0.00	3.00	100.0	3.00
08/15/2017	PLUME, KRISTA	JP MORGAN INVESTOR GROWTH FUND CLAS	0.00	2.67	0.00	2.67	100.0	2.67
08/15/2017	DAVID, RUDOLPH	JP MORGAN U.S. EQUITY FUND CLASS A	0.00	0.26	0.00	0.26	100.0	0.26
08/15/2017	DAVID, RUDOLPH	JP MORGAN VALUE ADVANTAGE FUND CLAS	0.00	0.29	0.00	0.29	100.0	0.29
08/15/2017	CIMMINO, VICTORIA	JP MORGAN VALUE ADVANTAGE FUND CLAS	0.00	0.20	0.00	0.20	100.0	0.20
08/17/2017	DAVID, RUDOLPH	MAINSTAY CUSHING MLP PREMIER FUND C	0.00	0.17	0.00	0.17	100.0	0.17
08/10/2017	LALAMA, MARY	MILLER CONVERTIBLE BOND FUND CLASS	0.00	0.36	0.00	0.36	100.0	0.36
08/10/2017	KEYSER, LISA	MILLER CONVERTIBLE BOND FUND CLASS	0.00	1.64	0.00	1.64	100.0	1.64
08/18/2017	BARRY, ROBERT	THE GABELLI UTILITIES FUND CLASS A	0.00	0.76	0.00	0.76	100.0	0.76
* G3G-DAN/ROY/JEFF/JON FT-NY RAUPP/PF SUBTOTAL *			\$0.00	\$12.18	\$0.00	\$12.18		\$12.18
<b><u>BROKER: J1D-DAN/JON PAUL FT-NY RAUPP/CIRELL #255</u></b>								
08/25/2017	BENAVENTE, BENJAMIN	BLACKROCK MULTI-ASSET INCOME PORTFO	0.00	2.22	0.00	2.22	100.0	2.22
08/09/2017	KLANSKY, ARTHUR	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	6.53	0.00	6.53	100.0	6.53
08/09/2017	KLANSKY, ARTHUR	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	5.53	0.00	5.53	100.0	5.53
08/09/2017	KLANSKY, ARTHUR	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	16.59	0.00	16.59	100.0	16.59
08/09/2017	MALONEY, JOHN	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	5.31	0.00	5.31	100.0	5.31
08/09/2017	MALONEY, JOHN	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	15.94	0.00	15.94	100.0	15.94
09/12/2017	KLANSKY, ARTHUR	GPB AUTOMOTIVE PORTFOLIO LP	50,000.00	1,750.00	0.00	1,750.00	100.0	1,750.00

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<b><u>SPLIT TRANSACTIONS</u></b>								
<b><u>BROKER: J1D-DAN/JON PAUL FT-NY RAUPP/CIRELL #255</u></b>								
08/16/2017	MALONEY, JOHN	GRIFFIN INST'L ACCESS R E FUND C	0.00	5.30	0.00	5.30	100.0	5.30
08/16/2017	MALONEY, JOHN	GRIFFIN INST'L ACCESS R E FUND C	0.00	15.89	0.00	15.89	100.0	15.89
08/16/2017	KLANSKY, ARTHUR	GRIFFIN INSTITUTIONAL ACCESS REAL E	0.00	2.17	0.00	2.17	100.0	2.17
08/15/2017	OXFORD INS CO-CL E	JP MORGAN GROWTH ADV A	0.00	1.80	0.00	1.80	100.0	1.80
08/15/2017	OXFORD INS CO-CL E	JP MORGAN U.S. EQUITY FUND CLASS A	0.00	2.25	0.00	2.25	100.0	2.25
08/15/2017	OXFORD INS CO-CL E	JP MORGAN VALUE ADVANTAGE FUND CLAS	0.00	1.61	0.00	1.61	100.0	1.61
08/17/2017	OXFORD INS CO-CL E	MAINSTAY CUSHING MLP PREMIER FUND C	0.00	0.43	0.00	0.43	100.0	0.43
08/17/2017	MALONEY, JOHN	MAINSTAY CUSHING MLP PREMIER FUND C	0.00	9.25	0.00	9.25	100.0	9.25
08/17/2017	OXFORD INS CO-CL E	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	0.33	0.00	0.33	100.0	0.33
08/10/2017	MALONEY, JOHN	MILLER CONVERTIBLE BOND FUND CLASS	0.00	68.81	0.00	68.81	100.0	68.81
* J1D-DAN/JON PAUL FT-NY RAUPP/CIRELL SUBTOTAL *			\$50,000.00	\$1,909.96	\$0.00	\$1,909.96		\$1,909.96
<b><u>BROKER: G0B-DAN/JON P/JEFF FT-NY RAUPP/CIRE #256</u></b>								
08/07/2017	DOLCE, CHARLES	CATALYST/MILLBURN HEDGE STRATEGY FU	0.00	27.45	0.00	27.45	100.0	27.45
08/07/2017	MAKRIDES, MARIE	CATALYST/MILLBURN HEDGE STRATEGY FU	0.00	2.64	0.00	2.64	100.0	2.64
09/01/2017	SKOLNICK, SHEILA	GPB AUTOMOTIVE PORTFOLIO LP	100,000.00	3,500.00	0.00	3,500.00	100.0	3,500.00
08/16/2017	JOHNSON, JAMES	GRIFFIN INSTITUTIONAL ACCESS REAL E	0.00	1.00	0.00	1.00	100.0	1.00
08/17/2017	CAPUTO, PHILIP	MAINSTAY CUSHING MLP PREMIER FUND C	0.00	6.53	0.00	6.53	100.0	6.53
08/17/2017	DIDOMENICO, JOHN	MAINSTAY CUSHING MLP PREMIER FUND C	0.00	2.66	0.00	2.66	100.0	2.66
08/17/2017	MARSH, LAURIE	MAINSTAY CUSHING MLP PREMIER FUND C	0.00	1.41	0.00	1.41	100.0	1.41
08/17/2017	LOYE, DEDRA	MAINSTAY CUSHING MLP PREMIER FUND C	0.00	4.54	0.00	4.54	100.0	4.54
08/17/2017	MAZZATTI, LEONARD	MAINSTAY CUSHING MLP PREMIER FUND C	0.00	1.19	0.00	1.19	100.0	1.19
08/17/2017	PAVIS FAMILY TRUST	MAINSTAY CUSHING MLP PREMIER FUND C	0.00	5.37	0.00	5.37	100.0	5.37
08/17/2017	JOHNSON, LYNN	MAINSTAY CUSHING MLP PREMIER FUND C	0.00	1.65	0.00	1.65	100.0	1.65
08/17/2017	SKOLNICK, SHEILA	MAINSTAY CUSHING MLP PREMIER FUND C	0.00	4.04	0.00	4.04	100.0	4.04
08/17/2017	JOHNSON FAMILY TRUST	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	2.73	0.00	2.73	100.0	2.73
08/17/2017	STARK, LINDA	MAINSTAY MAP A	0.00	0.94	0.00	0.94	100.0	0.94
08/17/2017	RASMUSSEN, MELANIE	MAINSTAY MODERATE GROWTH ALLOCATION	0.00	0.89	0.00	0.89	100.0	0.89
08/10/2017	RASMUSSEN, MELANIE	MILLER CONVERTIBLE BOND FUND CLASS	0.00	4.28	0.00	4.28	100.0	4.28
08/21/2017	JOHNSON, JAMES	OPPENHEIMER ROCHESTER MUNICIPALS A	0.00	5.20	0.00	5.20	100.0	5.20
08/15/2017	DOBUCKI, CHARLES	PASSCO HAVEN DST	185,000.00	5,550.00	0.00	5,550.00	100.0	5,550.00
08/09/2017	RASMUSSEN, MELANIE	PIONEER FUND A	0.00	0.17	0.00	0.17	100.0	0.17
08/09/2017	RASMUSSEN, MELANIE	PIONEER FUNDAMENTAL GROWTH A	0.00	0.43	0.00	0.43	100.0	0.43
08/18/2017	RASMUSSEN, MELANIE	THE GABELLI UTILITIES FUND CLASS A	0.00	0.40	0.00	0.40	100.0	0.40

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<b><u>SPLIT TRANSACTIONS</u></b>								
<b><u>BROKER: G0C-JEFF/DAN/JON PAU FT-NY KIESNO/R #257</u></b>								
* G0B-DAN/JON P/JEFF FT-NY RAUPP/CIRE SUBTOTAL *			\$285,000.00	\$9,123.52	\$0.00	\$9,123.52		\$9,123.52
<b><u>BROKER: G0C-JEFF/DAN/JON PAU FT-NY KIESNO/R #257</u></b>								
08/15/2017	FORRAI, MICHAEL	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.07	0.00	0.07	100.0	0.07
08/07/2017	FORRAI, GERALDINE	CATALYST/MILLBURN HEDGE STRATEGY FU	0.00	2.16	0.00	2.16	100.0	2.16
08/07/2017	FORRAI FAMILY TRUST, LESLIE	CATALYST/MILLBURN HEDGE STRATEGY FU	0.00	0.35	0.00	0.35	100.0	0.35
08/07/2017	GALGANO, ROBERT	CATALYST/MILLBURN HEDGE STRATEGY FU	0.00	1.16	0.00	1.16	100.0	1.16
08/07/2017	BRANDT, ROSEMARY	CATALYST/MILLBURN HEDGE STRATEGY FU	0.00	1.60	0.00	1.60	100.0	1.60
08/21/2017	GALGANO, ROBERT	FIRST EAGLE GOLD FUND CLASS C	0.00	0.82	0.00	0.82	100.0	0.82
08/17/2017	FORRAI FAMILY TRUST, LESLIE	MAINSTAY CUSHING MLP PREMIER FUND C	0.00	1.06	0.00	1.06	100.0	1.06
08/17/2017	GALGANO, ROBERT	MAINSTAY CUSHING MLP PREMIER FUND C	0.00	2.35	0.00	2.35	100.0	2.35
08/17/2017	FORRAI, MICHAEL	MAINSTAY CUSHING MLP PREMIER FUND C	0.00	0.13	0.00	0.13	100.0	0.13
08/17/2017	FORRAI FAMILY TRUST, LESLIE	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	1.34	0.00	1.34	100.0	1.34
08/17/2017	BRANDT, ROSEMARY	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	0.92	0.00	0.92	100.0	0.92
08/10/2017	BRANDT, ROSEMARY	MILLER CONVERTIBLE BOND FUND CLASS	0.00	2.41	0.00	2.41	100.0	2.41
08/14/2017	GALGANO, ROBERT	WELLS FARGO ADVANTAGE GOVT SECURITI	0.00	0.75	0.00	0.75	100.0	0.75
08/14/2017	GALGANO, ROBERT	WELLS FARGO ADVTG EMERGING MARKETS	0.00	0.72	0.00	0.72	100.0	0.72
* G0C-JEFF/DAN/JON PAU FT-NY KIESNO/R SUBTOTAL *			\$0.00	\$15.84	\$0.00	\$15.84		\$15.84
<b><u>BROKER: G0E-DAN/JON P/JEFF FT-NY RAUPP/CIRE #259</u></b>								
08/07/2017	SEITZ, CRAIG	CATALYST/MILLBURN HEDGE STRATEGY FU	0.00	3.52	0.00	3.52	100.0	3.52
08/17/2017	SEITZ, CRAIG	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	0.68	0.00	0.68	100.0	0.68
* G0E-DAN/JON P/JEFF FT-NY RAUPP/CIRE SUBTOTAL *			\$0.00	\$4.20	\$0.00	\$4.20		\$4.20
<b><u>BROKER: R134-DAN/JEFF/JON P/ FT-NY RAUPP/KI #272</u></b>								
08/15/2017	DAMONE, DENNIS	JP MORGAN INVESTOR GROWTH & INCOME	0.00	0.50	0.00	0.50	100.0	0.50
* R134-DAN/JEFF/JON P/ FT-NY RAUPP/KI SUBTOTAL *			\$0.00	\$0.50	\$0.00	\$0.50		\$0.50
<b><u>BROKER: P124-JONP/MARC/DAN/J FT-FL JUNO CIR #273</u></b>								
08/15/2017	FLAHERTY, STEPHEN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.03	0.00	0.03	100.0	0.03
08/17/2017	WILKINSKY, KARA-JANE	AMERICAN CENTURY STRATEGIC ALLOC AG	0.00	0.65	0.00	0.65	100.0	0.65
08/17/2017	WILKINSKY, KARA-JANE	AMERICAN CENTURY STRATEGIC ALLOC AG	0.00	2.10	0.00	2.10	100.0	2.10
08/17/2017	WILKINSKY, MATTHEW	AMERICAN CENTURY STRATEGIC ALLOC AG	0.00	1.39	0.00	1.39	100.0	1.39
08/17/2017	LEEN, RANDY	AMERICAN CENTURY STRATEGIC ALLOC AG	0.00	1.01	0.00	1.01	100.0	1.01
08/09/2017	ROMAN, ROSA	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	0.16	0.00	0.16	100.0	0.16

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b><u>SPLIT TRANSACTIONS</u></b>								
<b><u>BROKER: P124-JONP/MARC/DAN/J FT-FL JUNO CIR #273</u></b>								
08/09/2017	ABRAMS, RAFAEL	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	0.39	0.00	0.39	100.0	0.39
08/09/2017	JA, WILLIAM	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	0.02	0.00	0.02	100.0	0.02
08/09/2017	JA, WILLIAM	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	0.06	0.00	0.06	100.0	0.06
08/16/2017	MORONEY, PHYLLIS	GRIFFIN INST'L ACCESS R E FUND C	0.00	0.39	0.00	0.39	100.0	0.39
08/16/2017	MORONEY, PHYLLIS	GRIFFIN INST'L ACCESS R E FUND C	0.00	1.18	0.00	1.18	100.0	1.18
08/16/2017	MORONEY, PHYLLIS	GRIFFIN INST'L ACCESS R E FUND C	0.00	0.49	0.00	0.49	100.0	0.49
08/16/2017	MORONEY, PHYLLIS	GRIFFIN INST'L ACCESS R E FUND C	0.00	1.48	0.00	1.48	100.0	1.48
08/16/2017	MORONEY JR, JOHN	GRIFFIN INST'L ACCESS R E FUND C	0.00	0.33	0.00	0.33	100.0	0.33
08/16/2017	MORONEY JR, JOHN	GRIFFIN INST'L ACCESS R E FUND C	0.00	0.98	0.00	0.98	100.0	0.98
08/16/2017	MORONEY JR, JOHN	GRIFFIN INST'L ACCESS R E FUND C	0.00	0.39	0.00	0.39	100.0	0.39
08/16/2017	MORONEY JR, JOHN	GRIFFIN INST'L ACCESS R E FUND C	0.00	1.18	0.00	1.18	100.0	1.18
08/16/2017	ROMAN, ROSA	GRIFFIN INSTITUTIONAL ACCESS REAL E	0.00	0.25	0.00	0.25	100.0	0.25
08/16/2017	ABRAMS, RAFAEL	GRIFFIN INSTITUTIONAL ACCESS REAL E	0.00	0.39	0.00	0.39	100.0	0.39
08/16/2017	WILKINSKY, KARA-JANE	GRIFFIN INSTITUTIONAL ACCESS REAL E	0.00	0.67	0.00	0.67	100.0	0.67
08/16/2017	WILKINSKY, MATTHEW	GRIFFIN INSTITUTIONAL ACCESS REAL E	0.00	0.54	0.00	0.54	100.0	0.54
08/16/2017	KELLY, GORDON	GRIFFIN INSTITUTIONAL ACCESS REAL E	0.00	0.64	0.00	0.64	100.0	0.64
08/16/2017	SCHENONE, LORI	GRIFFIN INSTITUTIONAL ACCESS REAL E	0.00	1.95	0.00	1.95	100.0	1.95
<b>* P124-JONP/MARC/DAN/J FT-FL JUNO CIR SUBTOTAL *</b>			<b>\$0.00</b>	<b>\$16.67</b>	<b>\$0.00</b>	<b>\$16.67</b>		<b>\$16.67</b>
<b><u>BROKER: M136-JAY/JONP/JEFF/D FT-FL MCPH/CIR #277</u></b>								
08/09/2017	KISSIL, GEORGE	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	0.63	0.00	0.63	100.0	0.63
08/09/2017	LAROCHE, LAURIE	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	1.32	0.00	1.32	100.0	1.32
08/09/2017	LAROCHE, LAURIE	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	3.96	0.00	3.96	100.0	3.96
<b>* M136-JAY/JONP/JEFF/D FT-FL MCPH/CIR SUBTOTAL *</b>			<b>\$0.00</b>	<b>\$5.91</b>	<b>\$0.00</b>	<b>\$5.91</b>		<b>\$5.91</b>
<b><u>BROKER: R138 DAN/JON PAUL FT-RAUPP/CIRELLI #350</u></b>								
09/01/2017	DAN ADAM LLC	BOURNE POCONO DST	200,000.00	9,750.00	0.00	9,750.00	100.0	9,750.00
08/29/2017	LEONARD, THOMAS	GPB AUTOMOTIVE PORTFOLIO LP	100,000.00	5,250.00	0.00	5,250.00	100.0	5,250.00
08/31/2017	LEONARD, THOMAS	GPB AUTOMOTIVE PORTFOLIO LP	100,000.00	0.00	0.00	0.00	100.0	0.00
09/01/2017	DAN ADAM LLC	HIGHLAND CAPITAL NREA GARDENS DST	342,000.00	15,390.00	0.00	15,390.00	100.0	15,390.00
09/01/2017	DAN ADAM LLC	PASSCO VOYAGER DST	200,000.00	9,000.00	0.00	9,000.00	100.0	9,000.00
<b>* R138 DAN/JON PAUL FT-RAUPP/CIRELLI SUBTOTAL *</b>			<b>\$942,000.00</b>	<b>\$39,390.00</b>	<b>\$0.00</b>	<b>\$39,390.00</b>		<b>\$39,390.00</b>

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b><u>SPLIT TRANSACTIONS</u></b>								
<b>BROKER: P128-ROB/DAN/JON PAU FT-PECHA/RAUPP #379</b>								
09/05/2017	KRESLAVSKAYA, YEVGENIYA	GPB AUTOMOTIVE PORTFOLIO LP	40,000.00	700.00	0.00	700.00	100.0	700.00
* P128-ROB/DAN/JON PAU FT-PECHA/RAUPP SUBTOTAL *			<b>\$40,000.00</b>	<b>\$700.00</b>	<b>\$0.00</b>	<b>\$700.00</b>		<b>\$700.00</b>
<b>BROKER: R141-DAN/ROY/JEFF/JP FT-RAU/PFLEG/K #381</b>								
08/25/2017	CSD FAIRWAYS HLDGS	BLUEROCK SONOMA POINTE DST	2,000,000.00	29,131.36	0.00	29,131.36	100.0	29,131.36
08/28/2017	CSD PARK CRESCENT TH	BLUEROCK SONOMA POINTE DST	721,570.00	10,501.84	0.00	10,501.84	100.0	10,501.84
08/29/2017	CSD MAIDEN HLDGS	BLUEROCK SONOMA POINTE DST	2,000,000.00	29,131.36	0.00	29,131.36	100.0	29,131.36
09/01/2017	CSD ERIE HOLDINGS	BLUEROCK SONOMA POINTE DST	373,316.00	5,437.59	0.00	5,437.59	100.0	5,437.59
08/25/2017	FHL PARK CRESCENT	INLAND DENVER MSA MULTIFAM'Y II DST	1,000,000.00	11,000.00	0.00	11,000.00	100.0	11,000.00
08/25/2017	CSD FAIRWAYS HLDGS	INLAND DENVER MSA MULTIFAM'Y II DST	500,000.00	5,500.00	0.00	5,500.00	100.0	5,500.00
08/28/2017	CSD PARKLANDS	INLAND DENVER MSA MULTIFAM'Y II DST	500,000.00	5,500.00	0.00	5,500.00	100.0	5,500.00
08/30/2017	FHL WILLOW POND	INLAND DENVER MSA MULTIFAM'Y II DST	500,000.00	5,500.00	0.00	5,500.00	100.0	5,500.00
08/28/2017	CSD PARK CRESCENT TH	INLAND GULF COAST IND'L DST	308,118.00	3,389.29	0.00	3,389.29	100.0	3,389.29
09/01/2017	CSD ERIE HOLDINGS	INLAND GULF COAST IND'L DST	1,490,646.00	16,397.10	0.00	16,397.10	100.0	16,397.10
08/25/2017	FHL PARK CRESCENT	INLAND SELF STORAGE PF V DST	2,000,000.00	22,000.00	0.00	22,000.00	100.0	22,000.00
08/25/2017	CSD FAIRWAYS HLDGS	INLAND SELF STORAGE PF V DST	505,000.00	5,555.00	0.00	5,555.00	100.0	5,555.00
08/25/2017	AMD GV HOLDINGS LLC	INLAND SELF STORAGE PF V DST	1,500,000.00	16,500.00	0.00	16,500.00	100.0	16,500.00
08/28/2017	CSD PARKLANDS	INLAND SELF STORAGE PF V DST	755,000.00	8,305.00	0.00	8,305.00	100.0	8,305.00
08/29/2017	CSD MAIDEN HLDGS	INLAND SELF STORAGE PF V DST	1,010,000.00	11,110.00	0.00	11,110.00	100.0	11,110.00
08/30/2017	FHL WILLOW POND	INLAND SELF STORAGE PF V DST	863,960.00	9,503.56	0.00	9,503.56	100.0	9,503.56
08/25/2017	AMD GV HOLDINGS LLC	INLAND TEXAS HEALTHCARE PF II DST	2,125,000.00	23,375.00	0.00	23,375.00	100.0	23,375.00
08/30/2017	FHL WILLOW POND	INLAND TEXAS HEALTHCARE PF II DST	700,000.00	7,700.00	0.00	7,700.00	100.0	7,700.00
* R141-DAN/ROY/JEFF/JP FT-RAU/PFLEG/K SUBTOTAL *			<b>\$18,852,610.00</b>	<b>\$225,537.10</b>	<b>\$0.00</b>	<b>\$225,537.10</b>		<b>\$225,537.10</b>
*** SPLIT TRANSACTIONS TOTAL ***			<b>\$21,760,871.59</b>	<b>\$309,208.17</b>	<b>\$0.00</b>	<b>\$309,208.17</b>		<b>\$309,208.17</b>

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b><u> OVERRIDE TRANSACTIONS </u></b>								
<b><u>BROKER: JON PAUL CIRELLI #246</u></b>								
08/18/2017	BELKE FAMILY HOLDING	GPB AUTOMOTIVE PORTFOLIO LP	45,000.00	3,150.00	0.00	3,150.00	95.0	157.50
		* JON PAUL CIRELLI SUBTOTAL *	\$45,000.00	\$3,150.00	\$0.00	\$3,150.00		\$157.50
<b><u>BROKER: MARC LINSKY #263</u></b>								
09/07/2017	LINSKY, VARIOUS	TRANSAMERICA	0.00	37.15	0.00	37.15	90.0	0.63
09/01/2017	CHERRY, ADAM	AM FUNDS AMERICAN MUTUAL 529C	1,000.00	10.00	0.00	10.00	90.0	0.17
09/01/2017	WALENCZYK, BRENDA	AM FUNDS CAPITAL WORLD GRTH & INC 5	400.00	17.00	0.00	17.00	90.0	0.29
09/01/2017	BENFER, ANDREW	AM FUNDS FUNDAMENTAL INVESTORS A	225.00	11.25	0.00	11.25	90.0	0.19
08/15/2017	GARAFOLA, MICHAEL	AM FUNDS INCOME FUND OF AMERICA A	0.00	5.11	0.00	5.11	90.0	0.09
08/15/2017	GARAFOLA, MICHAEL	AM FUNDS INCOME FUND OF AMERICA A	0.00	20.60	0.00	20.60	90.0	0.35
09/01/2017	WALENCZYK, BRENDA	AM FUNDS WASHINGTON MUTUAL INVESTOR	400.00	17.00	0.00	17.00	90.0	0.29
08/03/2017	KIM, CHUNG	GRIFFIN INST'L ACCESS R E FUND C	-2,482.25	22.00	0.00	22.00	90.0	0.37
08/25/2017	CHERRY, ADAM	GRIFFIN INST'L ACCESS R E FUND C	100,003.20	1,000.03	0.00	1,000.03	90.0	17.00
08/29/2017	ROSENBLUM, LUCILLE	GRIFFIN INST'L ACCESS R E FUND C	25,025.13	250.25	0.00	250.25	90.0	4.25
09/08/2017	KRAMER, LARRY	GRIFFIN INST'L ACCESS R E FUND C	28,005.26	280.05	0.00	280.05	90.0	4.76
08/16/2017	LEVY, RONI	GRIFFIN INSTITUTIONAL ACCESS REAL E	0.00	5.11	0.00	5.11	90.0	0.09
08/31/2017	BONESKI, MARGUERITE	JNL PERSPECTIVE II 05/05	259,259.05	216.05	0.00	216.05	90.0	3.67
08/31/2017	TROMBINO, CONSTANCE	JNL PERSPECTIVE L	265,503.80	221.25	0.00	221.25	90.0	3.76
08/31/2017	NANI, JOSEPH	JNL PERSPECTIVE L	408,064.44	340.05	0.00	340.05	90.0	5.78
08/31/2017	FELDNER, BARBARA	JNL PERSPECTIVE L	509,774.84	424.81	0.00	424.81	90.0	7.22
08/31/2017	STERR, CHRISTOPHER	JNL PERSPECTIVE L	105,803.17	88.17	0.00	88.17	90.0	1.50
08/31/2017	OTT, CAROL	JOHN HANCOCK VENTURE	14,034.24	2.92	0.00	2.92	90.0	0.05
08/31/2017	CAMPBELL, BARBARA	JOHN HANCOCK VENTURE III	208,983.82	174.15	0.00	174.15	90.0	2.96
09/01/2017	PISANI, NICHOLAS	LFG LNCTV679U	250.00	10.00	0.00	10.00	90.0	0.17
09/01/2017	PISANI, CARLA	LFG LNDEV679U	541.00	25.70	0.00	25.70	90.0	0.44
08/21/2017	YANKOWITZ, HARRIETT	LORD ABBETT BOND DEBENTURE C	0.00	28.80	0.00	28.80	90.0	0.49
08/29/2017	MEDIA ENTERPRISES	LORD ABBETT FUNDAMENTAL EQUITY A	4,197.80	136.43	22.00	114.43	90.0	1.95
08/29/2017	MEDIA ENTERPRISES	LORD ABBETT FUNDAMENTAL EQUITY A	3,002.40	97.58	22.00	75.58	90.0	1.28
08/21/2017	YANKOWITZ, HARRIETT	LORD ABBETT FUNDAMENTAL EQUITY CL C	0.00	15.66	0.00	15.66	90.0	0.27
08/29/2017	MEDIA ENTERPRISES	LORD ABBETT SHORT DURATION INCOME A	3,002.19	45.03	22.00	23.03	90.0	0.39
09/05/2017	CARROLLTON, DONNA	METLIFE SHIELD LEVEL SELECT 6 YR	50,000.00	3,000.00	0.00	3,000.00	90.0	51.00
08/28/2017	MEDIA ENTERPRISES	PAC LIFE INNOVATIVE SELECT	0.00	147.24	0.00	147.24	90.0	2.50
08/29/2017	KRAMER, LARRY	SELECT INCOME REIT COM SH BEN INT	-19,311.43	30.00	23.28	6.72	90.0	0.11
08/24/2017	GALERMAN, ALAN	TRANSAMERICA LIBERTY	115,822.09	96.52	0.00	96.52	90.0	1.64

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<b><u> OVERRIDE TRANSACTIONS </u></b>								
<b><u>BROKER: MARC LINSKY #263</u></b>								
/ /	GOLDBERG, SCOTT	WVA AGE-BASED PORTFOLIO 18+ A	0.00	4.64	0.00	4.64	90.0	0.08
/ /	GOLDBERG, SCOTT	WVA AGE-BASED PORTFOLIO 18+ A	0.00	0.44	0.00	0.44	90.0	0.01
08/28/2017	GOLDBERG, SCOTT	WVA AGE-BASED PORTFOLIO 18+ A	300.00	7.50	0.00	7.50	90.0	0.13
08/28/2017	GOLDBERG, SCOTT	WVA AGE-BASED PORTFOLIO 18+ A	150.00	3.75	0.00	3.75	90.0	0.06
/ /	GOLDBERG, SCOTT	WVA AGED-BASED PORTFOLIO 9-13 A	0.00	6.98	0.00	6.98	90.0	0.12
08/28/2017	GOLDBERG, SCOTT	WVA AGED-BASED PORTFOLIO 9-13 A	200.00	5.00	0.00	5.00	90.0	0.09
<b>* MARC LINSKY SUBTOTAL *</b>			<b>\$2,082,153.75</b>	<b>\$6,804.22</b>	<b>\$89.28</b>	<b>\$6,714.94</b>		<b>\$114.15</b>
<b><u>BROKER: ANDREW (ANDREAS) ZIGOURAS #282</u></b>								
09/05/2017	DILLON, ROBERT	BIODELIVERY SCIENCES INTL INC COM	8,985.00	90.00	26.50	63.50	90.0	2.16
09/08/2017	KWO, RITA	EATON VANCE TAX ADVANTAGED GLO GLOB	74,823.65	747.83	27.00	720.83	90.0	24.51
09/08/2017	KWO, RITA	EATON VANCE TAX ADVANTAGED GLO GLOB	-844.55	0.00	22.50	-22.50	90.0	-0.77
09/08/2017	KWO, RITA	EATON VANCE TAX ADVANTAGED GLO GLOB	11,832.24	89.29	23.05	66.24	90.0	2.25
09/08/2017	KWO, RITA	MONDELEZ INTL INC CL A	-42,239.75	422.36	23.56	398.80	90.0	13.56
09/08/2017	KWO, RITA	PJT PARTNERS INC CL A COM	-1,328.39	50.00	22.50	27.50	90.0	0.94
09/08/2017	KWO, RITA	TCW STRATEGIC INCOME FD INC COM	-25,139.71	251.26	27.00	224.26	90.0	7.62
<b>* ANDREW (ANDREAS) ZIGOURAS SUBTOTAL *</b>			<b>\$26,088.49</b>	<b>\$1,650.74</b>	<b>\$172.11</b>	<b>\$1,478.63</b>		<b>\$50.27</b>
<b>*** OVERRIDE TRANSACTIONS TOTAL ***</b>			<b>\$2,153,242.24</b>	<b>\$11,604.96</b>	<b>\$261.39</b>	<b>\$11,343.57</b>		<b>\$321.92</b>

**ADJUSTMENTS**

09/15/2017	*EO INS: CURRENT MONTH INS	0.00	-75.00
09/15/2017	*EO INS: CURRENT MONTH INS	0.00	-45.00
09/15/2017	*EO INS: CURRENT MONTH-T THOMPSON	0.00	-45.00
09/15/2017	*EO INS: N ELIAS	0.00	-45.00
09/15/2017	*FEDERAL EXPRESS: 5-920-79549 9/6/1	0.00	-67.51
09/15/2017	*MARKETING LIBRARY: MARKETING LIBRA	0.00	-45.00
09/15/2017	*MISC: 8-31 OVERNIGHT FEE	0.00	-20.00
09/15/2017	*MISC: ADJUSTMENT FROM C141	0.00	11,500.00
09/15/2017	*MISC: C FULMER, A LEEDS K141	0.00	540.00
09/15/2017	*MISC: C FULMER, A LEEDS C141	0.00	540.00
09/15/2017	*MISC: ROY AFLAC 1031DST	0.00	1,126.00
09/15/2017	*MISC: ROY, AFLAC, 1031DST	0.00	1,326.00

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<b><u>ADJUSTMENTS</u></b>								
09/15/2017		*MISC: ZIGOURAS FIA ADJ	0.00					300.00
09/15/2017		*MISC: ZIGOURAS FIA ADJ	0.00					-100.00
09/15/2017		*OVERRIDE: BRANCH ADJ-CIRELLI	0.00					1,034.58
09/15/2017		*OVERRIDE: BRANCH ADJ-KIESNOSKI	0.00					876.29
09/15/2017		*OVERRIDE: LINSKY ADJUSTMENT	0.00					163.50
09/15/2017		*PERSHING: MF PROSPECTUS MAILING	0.00					-0.23
09/15/2017		*PERSHING: STREAMING QUOTES	0.00					-68.00
09/15/2017		*SPLIT PAYOUT/OVERRIDE: SPLIT-CIREL	0.00					5,169.29
09/15/2017		*SPLIT PAYOUT/OVERRIDE: SPLIT-KIESN	0.00					5,255.35
09/15/2017		*TECH: ADMIN FULMER	0.00					-50.00
09/15/2017		*TECH: ADMIN-AMY LEEDS	0.00					-34.00
09/15/2017		*TECH: CURRENT MONTH TECH	0.00					-68.75
09/15/2017		*TECH: CURRENT MONTH TECH	0.00					-41.25
09/15/2017		*TECH: CURRENT MONTH-T THOMPSON	0.00					-41.25
09/15/2017		*TECH: N ELIAS	0.00					-41.25
*** ADJUSTMENTS TOTAL ***			\$0.00	\$0.00	\$0.00	\$0.00		\$27,043.77

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**BROKER COMMISSION TOTALS**

Broker Transactions	\$27,854.93
Split Transactions	\$309,208.17
Override Transactions	\$321.92
Adjustments	\$27,043.77
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$0.00
FINRA Assessment	\$0.00
SIPC Assessment	\$0.00

Check Amount	\$364,428.79
Year-to-date Gross	\$981,348.08
Year-to-date Earnings	\$997,039.71