

**COMMISSION STATEMENT****November 15, 2017**

MARC 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>								
11/01/2017	MELVIN, MARY THOMPSON	AM FUNDS AMERICAN BALANCED A	-1,550.00	22.00	22.00	0.00	90.0	0.00
		* MUTUAL FUNDS SUBTOTAL *	\$-1,550.00	\$22.00	\$22.00	\$0.00		\$0.00
		*** CLEARING TRANSACTIONS TOTAL ***	\$-1,550.00	\$22.00	\$22.00	\$0.00		\$0.00

<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
11/01/2017	CHERRY, ADAM	AM FUNDS AMERICAN BALANCED 529C	1,000.00	10.00	0.00	10.00	90.0	9.00
11/01/2017	WALENCZYK, BRENDA	AM FUNDS CAPITAL WORLD GRTH & INC 5	400.00	15.00	0.00	15.00	90.0	13.50
11/01/2017	BENFER, ANDREW	AM FUNDS FUNDAMENTAL INVESTORS A	225.00	11.25	0.00	11.25	90.0	10.13
11/01/2017	WALENCZYK, BRENDA	AM FUNDS WASHINGTON MUTUAL INVESTOR	400.00	15.00	0.00	15.00	90.0	13.50
/ /	GOLDBERG, SCOTT	ASCENSUS WVA AGE-BASED PF 12-13 A	0.00	7.26	0.00	7.26	90.0	6.53
10/30/2017	GOLDBERG, SCOTT	ASCENSUS WVA AGE-BASED PF 12-13 A	400.00	10.00	0.00	10.00	90.0	9.00
/ /	GOLDBERG, SCOTT	WVA AGE-BASED PORTFOLIO 18+ A	0.00	4.80	0.00	4.80	90.0	4.32
/ /	GOLDBERG, SCOTT	WVA AGE-BASED PORTFOLIO 18+ A	0.00	0.51	0.00	0.51	90.0	0.46
10/30/2017	GOLDBERG, SCOTT	WVA AGE-BASED PORTFOLIO 18+ A	300.00	7.50	0.00	7.50	90.0	6.75
10/30/2017	GOLDBERG, SCOTT	WVA AGE-BASED PORTFOLIO 18+ A	150.00	3.75	0.00	3.75	90.0	3.38
		* MUTUAL FUNDS SUBTOTAL *	\$2,875.00	\$85.07	\$0.00	\$85.07		\$76.57

<u>PRODUCT CATEGORY: VARIABLE ANNUITIES</u>								
11/06/2017	CHEESEMAN, DIANE	JNL PERSPECTIVE II 04/14	300.00	21.00	0.00	21.00	90.0	18.90
10/31/2017	BONESKI, MARGUERITE	JNL PERSPECTIVE II 05/05	268,353.82	223.63	0.00	223.63	90.0	201.27
10/31/2017	TROMBINO, CONSTANCE	JNL PERSPECTIVE L	279,881.78	233.23	0.00	233.23	90.0	209.91
10/31/2017	NANI, JOSEPH	JNL PERSPECTIVE L	411,371.43	342.81	0.00	342.81	90.0	308.53
10/31/2017	FELDNER, BARBARA	JNL PERSPECTIVE L	503,831.15	419.86	0.00	419.86	90.0	377.87
10/31/2017	STERR, CHRISTOPHER	JNL PERSPECTIVE L	109,587.81	91.32	0.00	91.32	90.0	82.19
10/31/2017	OTT, CAROL	JOHN HANCOCK VENTURE	14,019.45	2.92	0.00	2.92	90.0	2.63

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: VARIABLE ANNUITIES</u>								
10/31/2017	CAMPBELL, BARBARA	JOHN HANCOCK VENTURE III	213,428.97	177.86	0.00	177.86	90.0	160.07
10/27/2017	MEDIA ENTERPRISES	PAC LIFE INNOVATIVE SELECT	0.00	151.25	0.00	151.25	90.0	136.13
11/03/2017	HAMMOND, HAROLD	PAC LIFE INNOVATIVE SELECT	0.00	82.18	0.00	82.18	90.0	73.96
* VARIABLE ANNUITIES SUBTOTAL *			\$1,800,774.41	\$1,746.06	\$0.00	\$1,746.06		\$1,571.46
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
09/30/2017	CAMARDO, DONNA	ASCENSUS 529 TRAILS	0.00	17.01	0.00	17.01	90.0	15.31
10/19/2017	CENTANNI, RICHARD	ALLIANCEBERNSTEIN SMALL/MID CAP VAL	0.00	0.83	0.00	0.83	90.0	0.75
10/19/2017	TRICHON, DONNA-LYNN	ALLIANCEBERNSTEIN SMALL/MID-CAP GRW	0.00	11.71	0.00	11.71	90.0	10.54
10/13/2017	CHIECO, DANIEL	AM CENT EQUITY INCOME	0.00	3.94	0.00	3.94	90.0	3.55
10/19/2017	MEDIA ENTERPRISES	AM FUNDS AMCAP A	0.00	3.66	0.00	3.66	90.0	3.29
10/19/2017	GREENWELL, MARION	AM FUNDS AMCAP C	0.00	6.10	0.00	6.10	90.0	5.49
10/19/2017	GREENWELL, MARION	AM FUNDS AMCAP F1	0.00	0.40	0.00	0.40	90.0	0.36
10/19/2017	BERK, SHERRI	AM FUNDS AMERICAN BALANCED A	0.00	0.17	0.00	0.17	90.0	0.15
10/19/2017	MELVIN, MARY THOMPSON	AM FUNDS AMERICAN BALANCED A	0.00	1.73	0.00	1.73	90.0	1.56
10/19/2017	TAYLOR, THOMAS	AM FUNDS AMERICAN BALANCED A	0.00	0.46	0.00	0.46	90.0	0.41
10/19/2017	TAYLOR, DIANE	AM FUNDS AMERICAN BALANCED A	0.00	0.46	0.00	0.46	90.0	0.41
10/19/2017	APPLEGATE, PAMAELA	AM FUNDS AMERICAN BALANCED A	0.00	0.95	0.00	0.95	90.0	0.86
10/19/2017	RIZZO, DIANE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.96	0.00	0.96	90.0	0.86
10/19/2017	APPLEGATE, PAMAELA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.79	0.00	0.79	90.0	0.71
10/19/2017	LINSKY, LISA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	3.68	0.00	3.68	90.0	3.31
10/19/2017	MEDIA ENTERPRISES	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.93	0.00	2.93	90.0	2.64
10/19/2017	RIZZO, DIANE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.39	0.00	1.39	90.0	1.25
10/19/2017	MELVIN, GREG	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.69	0.00	0.69	90.0	0.62
10/19/2017	POLLAN, JACLYN	AM FUNDS CAPITAL WORLD GRTH & INC C	0.00	2.68	0.00	2.68	90.0	2.41
10/19/2017	FLEISCH, ROBERT	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	14.14	0.00	14.14	90.0	12.73
10/19/2017	MELVIN, MARY THOMPSON	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.47	0.00	1.47	90.0	1.32
10/19/2017	CHERRY, AYDEN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.85	0.00	0.85	90.0	0.77
10/19/2017	LINSKY, LISA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	4.34	0.00	4.34	90.0	3.91
10/19/2017	RIZZO, DIANE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.56	0.00	1.56	90.0	1.40
10/19/2017	OLIVETI, FRANK	AM FUNDS GROWTH FUND OF AMERICA A	0.00	5.94	0.00	5.94	90.0	5.35
10/19/2017	BERK, SHERRI	AM FUNDS GROWTH FUND OF AMERICA A	0.00	4.31	0.00	4.31	90.0	3.88
10/19/2017	PERETTI, TERESA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.70	0.00	1.70	90.0	1.53
10/19/2017	CENTANNI, BETTY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.36	0.00	0.36	90.0	0.32

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
10/19/2017	CENTANNI, RICHARD	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.90	0.00	0.90	90.0	0.81
10/19/2017	AYES, NICOLE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.33	0.00	1.33	90.0	1.20
10/19/2017	NATHAN, EDWARD	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.62	0.00	0.62	90.0	0.56
10/19/2017	NATHAN, EDWARD	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.01	0.00	1.01	90.0	0.91
10/19/2017	NATHAN, SUSAN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.61	0.00	0.61	90.0	0.55
10/19/2017	SPECTER, LINDSAY	AM FUNDS GROWTH FUND OF AMERICA C	0.00	2.57	0.00	2.57	90.0	2.31
10/19/2017	POLLAN, JACLYN	AM FUNDS GROWTH FUND OF AMERICA F1	0.00	2.52	0.00	2.52	90.0	2.27
10/19/2017	SPECTER, LINDSAY	AM FUNDS GROWTH FUND OF AMERICA F1	0.00	5.16	0.00	5.16	90.0	4.64
10/19/2017	SPECTER, SHELBY	AM FUNDS GROWTH FUND OF AMERICA F1	0.00	5.24	0.00	5.24	90.0	4.72
10/19/2017	RIZZO, DIANE	AM FUNDS ICA A	0.00	1.43	0.00	1.43	90.0	1.29
10/19/2017	FLEISCH, ROBERT	AM FUNDS ICA A	0.00	8.56	0.00	8.56	90.0	7.70
10/19/2017	BOND-HILTNER, LINDA	AM FUNDS ICA A	0.00	0.11	0.00	0.11	90.0	0.10
10/19/2017	LINSKY, MARC	AM FUNDS ICA A	0.00	0.40	0.00	0.40	90.0	0.36
10/19/2017	NATHAN, EDWARD	AM FUNDS ICA A	0.00	0.54	0.00	0.54	90.0	0.49
10/19/2017	NATHAN, EDWARD	AM FUNDS ICA A	0.00	0.88	0.00	0.88	90.0	0.79
10/19/2017	NATHAN, SUSAN	AM FUNDS ICA A	0.00	0.54	0.00	0.54	90.0	0.49
10/19/2017	TAYLOR, THOMAS	AM FUNDS ICA A	0.00	0.55	0.00	0.55	90.0	0.50
10/19/2017	TAYLOR, DIANE	AM FUNDS ICA A	0.00	0.55	0.00	0.55	90.0	0.50
10/19/2017	APPLEGATE, PAMAELA	AM FUNDS ICA A	0.00	0.96	0.00	0.96	90.0	0.86
10/19/2017	SPECTER, SHELBY	AM FUNDS ICA C	0.00	5.15	0.00	5.15	90.0	4.64
10/19/2017	SPECTER TRUST, STEPHANIE	AM FUNDS ICA F1	0.00	12.02	0.00	12.02	90.0	10.82
10/19/2017	SPECTER, LINDSAY	AM FUNDS ICA F1	0.00	4.66	0.00	4.66	90.0	4.19
10/19/2017	SPECTER, SHELBY	AM FUNDS ICA F1	0.00	4.47	0.00	4.47	90.0	4.02
10/19/2017	GARAFOLA, MICHAEL	AM FUNDS INCOME FUND OF AMERICA A	0.00	4.99	0.00	4.99	90.0	4.49
10/19/2017	GARAFOLA, GRACE	AM FUNDS INCOME FUND OF AMERICA A	0.00	4.20	0.00	4.20	90.0	3.78
10/19/2017	GARAFOLA, MICHAEL	AM FUNDS INCOME FUND OF AMERICA A	0.00	20.26	0.00	20.26	90.0	18.23
10/19/2017	MEDIA ENTERPRISES	AM FUNDS INCOME FUND OF AMERICA A	0.00	3.00	0.00	3.00	90.0	2.70
10/19/2017	TAYLOR, THOMAS	AM FUNDS NEW PERSPECTIVE A	0.00	0.73	0.00	0.73	90.0	0.66
10/19/2017	TAYLOR, DIANE	AM FUNDS NEW PERSPECTIVE A	0.00	0.73	0.00	0.73	90.0	0.66
10/19/2017	APPLEGATE, PAMAELA	AM FUNDS NEW PERSPECTIVE A	0.00	1.04	0.00	1.04	90.0	0.94
10/19/2017	MELVIN, MARY THOMPSON	AM FUNDS SMALLCAP WORLD A	0.00	1.49	0.00	1.49	90.0	1.34
10/19/2017	OLIVETI, FRANK	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	5.48	0.00	5.48	90.0	4.93
10/19/2017	BOND-HILTNER, LINDA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.11	0.00	0.11	90.0	0.10

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
10/19/2017	PERETTI, TERESA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.38	0.00	1.38	90.0	1.24
10/19/2017	COHEN, PAUL	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	3.12	0.00	3.12	90.0	2.81
10/19/2017	LINSKY, MARC	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.40	0.00	0.40	90.0	0.36
10/19/2017	NATHAN, EDWARD	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.54	0.00	0.54	90.0	0.49
10/19/2017	NATHAN, EDWARD	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.88	0.00	0.88	90.0	0.79
10/19/2017	NATHAN, SUSAN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.54	0.00	0.54	90.0	0.49
10/13/2017	O'DONNELL, PATRICIA	AMERICAN CENTURY STRATEGIC ALLOC MO	0.00	3.63	0.00	3.63	90.0	3.27
10/27/2017	PLEVAK, MICHAEL	BLACKROCK EQUITY DIVIDEND FUND CL C	0.00	17.31	0.00	17.31	90.0	15.58
10/20/2017	PERETTI, TERESA	CALAMOS GROWTH A	0.00	1.38	0.00	1.38	90.0	1.24
10/20/2017	DUBIN, JON	CALAMOS GROWTH A	0.00	4.35	0.00	4.35	90.0	3.92
10/17/2017	MEDIA ENTERPRISES	COLUMBIA ACORN A	0.00	1.01	0.00	1.01	90.0	0.91
10/17/2017	FLEISCH, ROBERT	COLUMBIA ACORN A	0.00	14.50	0.00	14.50	90.0	13.05
10/17/2017	FLEISCH, ROBERT	COLUMBIA ACORN SELECT A	0.00	7.49	0.00	7.49	90.0	6.74
10/17/2017	MEDIA ENTERPRISES	COLUMBIA ACORN USA FUND CLASS A	0.00	2.63	0.00	2.63	90.0	2.37
10/17/2017	BOWERS, DORA	COLUMBIA DIVERSIFIED EQUITY INCOME	0.00	1.11	0.00	1.11	90.0	1.00
10/17/2017	MEDIA ENTERPRISES	COLUMBIA EQUITY VALUE A	0.00	0.28	0.00	0.28	90.0	0.25
10/17/2017	MEDIA ENTERPRISES	COLUMBIA LARGE CAP GROWTH A	0.00	0.32	0.00	0.32	90.0	0.29
10/17/2017	MELVIN, GREG	COLUMBIA MARSICO FOCUSED EQUITIES F	0.00	0.90	0.00	0.90	90.0	0.81
10/17/2017	MEDIA ENTERPRISES	COLUMBIA MIDCAP VALUE A	0.00	2.30	0.00	2.30	90.0	2.07
10/17/2017	BOWERS, DORA	COLUMBIA SELECT LARGE CAP GROWTH FU	0.00	1.06	0.00	1.06	90.0	0.95
10/17/2017	FLEISCH, ROBERT	COLUMBIA SMALL CAP INDEX FUND CLASS	0.00	10.81	0.00	10.81	90.0	9.73
10/17/2017	BOWERS, DORA	COLUMBIA SMALL CAP VALUE FUND II CL	0.00	0.19	0.00	0.19	90.0	0.17
10/17/2017	FLEISCH, ROBERT	COLUMBIA STRATEGIC INCOME A	0.00	2.36	0.00	2.36	90.0	2.12
10/16/2017	CENTANNI, BETTY	DAVIS NEW YORK VENTURE A	0.00	0.39	0.00	0.39	90.0	0.35
10/16/2017	CENTANNI, RICHARD	DAVIS NEW YORK VENTURE A	0.00	0.68	0.00	0.68	90.0	0.61
10/13/2017	BOWERS, DORA	DEUTSCHE GLOBAL RE	0.00	0.89	0.00	0.89	90.0	0.80
10/16/2017	GUERRIERI, CHARLES	DREYFUS CORE EQUITY FUND CLASS A	0.00	3.16	0.00	3.16	90.0	2.84
10/16/2017	GUERRIERI, CHARLES	DREYFUS HIGH YIELD FUND CLASS C	0.00	0.01	0.00	0.01	90.0	0.01
10/16/2017	COHEN, HARRIET	DREYFUS NEW JERSEY MUNICIPAL BOND F	0.00	61.86	0.00	61.86	90.0	55.67
10/16/2017	BOWERS, DORA	EATON VANCE LARGE-CAP VALUE FUND CL	0.00	0.73	0.00	0.73	90.0	0.66
10/17/2017	HANKINS, ROBERT	FEDERATED HIGH INCOME BOND FUND INC	0.00	1.10	0.00	1.10	90.0	0.99
10/17/2017	CENTANNI, BETTY	FEDERATED KAUFMANN FUND A	0.00	0.33	0.00	0.33	90.0	0.30
10/20/2017	FLEISCH, ROBERT	FIDELITY ADV FLOATING RATE HIGH INC	0.00	7.59	0.00	7.59	90.0	6.83

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
10/20/2017	FLEISCH, ROBERT	FIDELITY ADV STRATEGIC INCOME A	0.00	8.70	0.00	8.70	90.0	7.83
10/20/2017	CENTANNI, BETTY	FIDELITY ADV STRATEGIC INCOME C	0.00	1.51	0.00	1.51	90.0	1.36
10/20/2017	CENTANNI, RICHARD	FIDELITY ADV STRATEGIC INCOME C	0.00	5.94	0.00	5.94	90.0	5.35
10/20/2017	BOWERS, DORA	FIDELITY ADVISOR MID CAP II FUND CL	0.00	0.27	0.00	0.27	90.0	0.24
10/20/2017	BEYERLE, PATRICIA	FIDELITY MIDCAP II T	0.00	2.71	0.00	2.71	90.0	2.44
10/23/2017	FLEISCH, ROBERT	FRANKLIN DYNATECH A	0.00	13.94	0.00	13.94	90.0	12.55
10/23/2017	FLEISCH, ROBERT	FRANKLIN GOLD & PRECIOUS METALS A	0.00	3.24	0.00	3.24	90.0	2.92
10/23/2017	HASTINGS TURST, OSCAR	FRANKLIN INCOME A	0.00	1.13	0.00	1.13	90.0	1.02
10/23/2017	FLEISCHMAN, RITA	FRANKLIN INCOME A	0.00	5.29	0.00	5.29	90.0	4.76
10/23/2017	COBB, DOROTHY	FRANKLIN INCOME A	0.00	0.78	0.00	0.78	90.0	0.70
10/23/2017	CENTANNI, RICHARD	FRANKLIN MUTUAL GLOBAL DISCOVERY A	0.00	0.56	0.00	0.56	90.0	0.50
10/23/2017	GREENWELL, MARION	FRNKLN FLOATING RATE DLY ACCESS FND	0.00	2.74	0.00	2.74	90.0	2.47
10/18/2017	BOWERS, STEVEN	GOLDMAN SACHS CAPITAL GROWTH FUND C	0.00	15.30	0.00	15.30	90.0	13.77
10/18/2017	CHERRY, ANDREW	GOLDMAN SACHS GROWTH OPPORT FD CLAS	0.00	3.40	0.00	3.40	90.0	3.06
10/18/2017	CHERRY, ANDREW	GOLDMAN SACHS GROWTH OPPORT FD CLAS	0.00	1.74	0.00	1.74	90.0	1.57
10/18/2017	BOWERS, DORA	GOLDMAN SACHS MID CAP VALUE FD CLAS	0.00	0.25	0.00	0.25	90.0	0.23
10/18/2017	PARSONS, MICHELLE	GOLDMAN SACHS U.S. EQUITY INSIGHTS	0.00	0.61	0.00	0.61	90.0	0.55
10/18/2017	CHERRY, ADAM	GRIFFIN INST'L ACCESS R E FUND C	0.00	0.47	0.00	0.47	90.0	0.42
10/18/2017	CHERRY, ADAM	GRIFFIN INST'L ACCESS R E FUND C	0.00	1.40	0.00	1.40	90.0	1.26
10/18/2017	KLEIN, HOWARD	GRIFFIN INST'L ACCESS R E FUND C	0.00	43.23	0.00	43.23	90.0	38.91
10/18/2017	KLEIN, HOWARD	GRIFFIN INST'L ACCESS R E FUND C	0.00	129.70	0.00	129.70	90.0	116.73
10/18/2017	ROESKE, CHARLES	GRIFFIN INSTITUTIONAL ACCESS REAL E	0.00	4.19	0.00	4.19	90.0	3.77
10/18/2017	ROESKE, CHARLES	GRIFFIN INSTITUTIONAL ACCESS REAL E	0.00	5.93	0.00	5.93	90.0	5.34
10/18/2017	LEVY, RONI	GRIFFIN INSTITUTIONAL ACCESS REAL E	0.00	4.98	0.00	4.98	90.0	4.48
10/24/2017	SPECTER TRUST, STEPHANIE	GUGGENHEIM INVERSE GOVT LONG BOND C	0.00	12.05	0.00	12.05	90.0	10.85
10/24/2017	LINSKY, MARC	GUGGENHEIM INVERSE GOVT LONG BOND C	0.00	4.09	0.00	4.09	90.0	3.68
10/17/2017	LINSKY, LISA	HARTFORD CAPITAL APPRECIATION A	0.00	3.62	0.00	3.62	90.0	3.26
10/17/2017	SPECTER TRUST, STEPHANIE	HARTFORD CAPITAL APPRECIATION C	0.00	82.76	0.00	82.76	90.0	74.48
10/17/2017	MEDIA ENTERPRISES	HARTFORD CAPITAL APPRECIATION C	0.00	39.81	0.00	39.81	90.0	35.83
10/17/2017	PERETTI JR, ANTHONY	HARTFORD CAPITAL APPRECIATION C	0.00	34.65	0.00	34.65	90.0	31.19
10/17/2017	KLEIN, HOWARD	HARTFORD CAPITAL APPRECIATION C	0.00	434.98	0.00	434.98	90.0	391.48
10/17/2017	CAMARDO, DONNA	HARTFORD CAPITAL APPRECIATION C	0.00	10.94	0.00	10.94	90.0	9.85
10/17/2017	GODLBERG, SHARON	HARTFORD CAPITAL APPRECIATION C	0.00	7.13	0.00	7.13	90.0	6.42

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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>								
10/17/2017	BALZANO, AUGUSTUS	HARTFORD CAPITAL APPRECIATION C	0.00	7.60	0.00	7.60	90.0	6.84
10/17/2017	SPECTER, LINDSAY	HARTFORD CAPITAL APPRECIATION C	0.00	32.19	0.00	32.19	90.0	28.97
10/17/2017	SPECTER, SHELBY	HARTFORD CAPITAL APPRECIATION C	0.00	30.04	0.00	30.04	90.0	27.04
10/17/2017	HARRIS, MORGAN	HARTFORD CAPITAL APPRECIATION C	0.00	10.95	0.00	10.95	90.0	9.86
10/17/2017	BUSLER, SCOTT	HARTFORD CAPITAL APPRECIATION C	0.00	23.02	0.00	23.02	90.0	20.72
10/17/2017	BUSLER, MARIANNE	HARTFORD CAPITAL APPRECIATION C	0.00	10.30	0.00	10.30	90.0	9.27
10/17/2017	OLIVETI, ANTHONY	HARTFORD CHECKS AND BALANCES FUND A	0.00	2.69	0.00	2.69	90.0	2.42
10/17/2017	OLIVETI, NICOLE	HARTFORD CHECKS AND BALANCES FUND A	0.00	2.69	0.00	2.69	90.0	2.42
10/17/2017	PISANI, NICHOLAS	HARTFORD CHECKS AND BALANCES FUND A	0.00	4.04	0.00	4.04	90.0	3.64
10/17/2017	SPECTER TRUST, STEPHANIE	HARTFORD DIVIDEND & GROWTH C	0.00	71.31	0.00	71.31	90.0	64.18
10/17/2017	MEDIA ENTERPRISES	HARTFORD DIVIDEND & GROWTH C	0.00	44.47	0.00	44.47	90.0	40.02
10/17/2017	CAMARDO, DONNA	HARTFORD DIVIDEND & GROWTH C	0.00	20.46	0.00	20.46	90.0	18.41
10/17/2017	BALZANO, AUGUSTUS	HARTFORD DIVIDEND & GROWTH C	0.00	14.06	0.00	14.06	90.0	12.65
10/17/2017	HARRIS, MORGAN	HARTFORD DIVIDEND & GROWTH C	0.00	20.47	0.00	20.47	90.0	18.42
10/17/2017	SANDERLIN, CATHERINE	HARTFORD DIVIDEND & GROWTH C	0.00	0.08	0.00	0.08	90.0	0.07
10/17/2017	WILSON, KEVIN	HARTFORD DIVIDEND & GROWTH C	0.00	0.01	0.00	0.01	90.0	0.01
10/17/2017	BUSLER, SCOTT	HARTFORD DIVIDEND & GROWTH C	0.00	42.18	0.00	42.18	90.0	37.96
10/17/2017	BUSLER, MARIANNE	HARTFORD DIVIDEND & GROWTH C	0.00	18.88	0.00	18.88	90.0	16.99
10/17/2017	CAMPAGNA, MARIE	HARTFORD FLOATING RATE C	0.00	10.69	0.00	10.69	90.0	9.62
10/17/2017	GODLBERG, SHARON	HARTFORD TOTAL RETURN BOND FUND C	0.00	4.20	0.00	4.20	90.0	3.78
10/04/2017	APPLEGATE, PAMAELA	HIGHLAND FLOATING RATE OPPORTUNITIE	0.00	0.28	0.00	0.28	90.0	0.25
10/18/2017	APPLEGATE, PAMAELA	HIGHLAND FLOATING RATE OPPORTUNITIE	0.00	0.28	0.00	0.28	90.0	0.25
10/31/2017	CHERRY, ANDREW	HOTCHKIS & WILEY SMALL-CAP VALUE FU	0.00	2.26	0.00	2.26	90.0	2.03
10/31/2017	CHERRY, ANDREW	HOTCHKIS & WILEY SMALL-CAP VALUE FU	0.00	2.26	0.00	2.26	90.0	2.03
10/30/2017	SIEMANOWSKI, JOHN	INVESCO AMERICAN FRANCHISE A	0.00	126.54	0.00	126.54	90.0	113.89
10/30/2017	CHERRY, ANDREW	INVESCO AMERICAN FRANCHISE A	0.00	0.06	0.00	0.06	90.0	0.05
10/30/2017	CHERRY, ANDREW	INVESCO AMERICAN FRANCHISE A	0.00	0.04	0.00	0.04	90.0	0.04
10/30/2017	CHERRY, THEO	INVESCO AMERICAN FRANCHISE A	0.00	4.05	0.00	4.05	90.0	3.65
10/30/2017	SIEMANOWSKI, JOHN	INVESCO AMERICAN FRANCHISE A	0.00	266.46	0.00	266.46	90.0	239.81
10/30/2017	FARBMAN, ERIC	INVESCO AMERICAN FRANCHISE A	0.00	9.64	0.00	9.64	90.0	8.68
10/30/2017	WALENCZYK, CHIRSTOPHER	INVESCO AMERICAN FRANCHISE A	0.00	0.50	0.00	0.50	90.0	0.45
10/30/2017	SIEMANOWSKI, JOHN	INVESCO CHARTER FUND A	0.00	58.11	0.00	58.11	90.0	52.30
10/30/2017	GUERRIERI, ANTHONY	INVESCO COMSTOCK A	0.00	1.48	0.00	1.48	90.0	1.33

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
10/30/2017	FARBMAN, ERIC	INVESCO HIGH YIELD FUND A	0.00	13.24	0.00	13.24	90.0	11.92
10/30/2017	SIEMANOWSKI, JOHN	INVESCO INTERNATIONAL GROWTH A	0.00	12.79	0.00	12.79	90.0	11.51
10/30/2017	SIEMANOWSKI, JOHN	INVESCO INTERNATIONAL GROWTH A	0.00	40.14	0.00	40.14	90.0	36.13
10/30/2017	WALENCZYK, BRENDA	INVESCO MIDCAP CORE EQUITY A	0.00	0.51	0.00	0.51	90.0	0.46
10/30/2017	WALENCZYK, CHIRSTOPHER	INVESCO MIDCAP CORE EQUITY A	0.00	1.03	0.00	1.03	90.0	0.93
10/30/2017	GOLDBERGER, ANNA	INVESCO SENIOR LOAN FUND IB	0.00	9.38	0.00	9.38	90.0	8.44
10/30/2017	BOWERS, DORA	INVESCO SMALL CAP DISCOVERY A	0.00	0.43	0.00	0.43	90.0	0.39
10/30/2017	FARBMAN, ERIC	INVESCO STRUCTURED CORE A	0.00	16.21	0.00	16.21	90.0	14.59
10/30/2017	WALENCZYK, BRENDA	INVESCO VALUE OPP A	0.00	0.41	0.00	0.41	90.0	0.37
10/30/2017	WALENCZYK, CHIRSTOPHER	INVESCO VALUE OPP A	0.00	0.80	0.00	0.80	90.0	0.72
10/12/2017	BOWERS, DORA	JANUS RESEARCH FUND CLASS A	0.00	1.04	0.00	1.04	90.0	0.94
10/13/2017	BOWERS, DORA	JN DISCIPLINED VALUE INT'L A	0.00	0.17	0.00	0.17	90.0	0.15
10/26/2017	CENTANNI, RICHARD	JP MORGAN MID CAP VALUE FUND CLASS	0.00	0.61	0.00	0.61	90.0	0.55
10/20/2017	MEDIA ENTERPRISES	LORD ABBETT BOND DEBENTURE A	0.00	2.95	0.00	2.95	90.0	2.66
10/20/2017	MEDIA ENTERPRISES	LORD ABBETT BOND DEBENTURE A	0.00	2.06	0.00	2.06	90.0	1.85
10/20/2017	LA CORTE, CYNTHIA	LORD ABBETT BOND DEBENTURE A	0.00	0.11	0.00	0.11	90.0	0.10
10/20/2017	DEBRIELLE-HEALEY, ELIZABETH	LORD ABBETT BOND DEBENTURE A	0.00	2.74	0.00	2.74	90.0	2.47
10/20/2017	LAISO, MICHAEL	LORD ABBETT BOND DEBENTURE A	0.00	7.85	0.00	7.85	90.0	7.07
10/20/2017	STRAUS, KAREN	LORD ABBETT BOND DEBENTURE A	0.00	2.60	0.00	2.60	90.0	2.34
10/20/2017	CHERRY, ADAM	LORD ABBETT BOND DEBENTURE C	0.00	114.86	0.00	114.86	90.0	103.37
10/20/2017	HUDSON TRUST OF 2000, ROBERT	LORD ABBETT BOND DEBENTURE C	0.00	117.67	0.00	117.67	90.0	105.90
10/20/2017	YANKOWITZ, HARRIETT	LORD ABBETT BOND DEBENTURE C	0.00	28.27	0.00	28.27	90.0	25.44
10/20/2017	TOBIAS, DAVID	LORD ABBETT BOND DEBENTURE C	0.00	19.75	0.00	19.75	90.0	17.78
10/20/2017	LINSKY, LISA	LORD ABBETT FUNDAMENTAL EQUITY A	0.00	0.86	0.00	0.86	90.0	0.77
10/20/2017	MEDIA ENTERPRISES	LORD ABBETT FUNDAMENTAL EQUITY A	0.00	5.35	0.00	5.35	90.0	4.82
10/20/2017	MEDIA ENTERPRISES	LORD ABBETT FUNDAMENTAL EQUITY A	0.00	7.17	0.00	7.17	90.0	6.45
10/20/2017	MEDIA ENTERPRISES	LORD ABBETT FUNDAMENTAL EQUITY A	0.00	1.13	0.00	1.13	90.0	1.02
10/20/2017	APPLEBAUM, ALVIN	LORD ABBETT FUNDAMENTAL EQUITY A	0.00	0.22	0.00	0.22	90.0	0.20
10/20/2017	MEDIA ENTERPRISES	LORD ABBETT FUNDAMENTAL EQUITY A	0.00	0.75	0.00	0.75	90.0	0.68
10/20/2017	TAROFF, DANIELLE	LORD ABBETT FUNDAMENTAL EQUITY CL C	0.00	10.80	0.00	10.80	90.0	9.72
10/20/2017	TAROFF, DANIELLE	LORD ABBETT FUNDAMENTAL EQUITY CL C	0.00	5.87	0.00	5.87	90.0	5.28
10/20/2017	OLIVETI, NICOLE	LORD ABBETT FUNDAMENTAL EQUITY CL C	0.00	6.13	0.00	6.13	90.0	5.52
10/20/2017	YANKOWITZ, HARRIETT	LORD ABBETT FUNDAMENTAL EQUITY CL C	0.00	15.11	0.00	15.11	90.0	13.60

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
10/20/2017	LIBERTY, SUSAN	LORD ABBETT FUNDAMENTAL EQUITY CL C	0.00	0.01	0.00	0.01	90.0	0.01
10/20/2017	DIECKERT, DEBRA	LORD ABBETT FUNDAMENTAL EQUITY CL C	0.00	3.04	0.00	3.04	90.0	2.74
10/20/2017	MEDIA ENTERPRISES	LORD ABBETT SHORT DURATION INCOME A	0.00	2.81	0.00	2.81	90.0	2.53
10/20/2017	MEDIA ENTERPRISES	LORD ABBETT SHORT DURATION INCOME A	0.00	3.64	0.00	3.64	90.0	3.28
10/20/2017	APPLEBAUM, ALVIN	LORD ABBETT SHORT DURATION INCOME A	0.00	0.14	0.00	0.14	90.0	0.13
10/20/2017	MEDIA ENTERPRISES	LORD ABBETT SHORT DURATION INCOME A	0.00	0.45	0.00	0.45	90.0	0.41
10/20/2017	BOWERS, DORA	LORD ABBETT SHORT DURATION INCOME F	0.00	1.47	0.00	1.47	90.0	1.32
10/20/2017	BOWERS, DORA	LORD ABBETT SHORT DURATION INCOME F	0.00	19.84	0.00	19.84	90.0	17.86
10/20/2017	BOWERS, DORA	LORD ABBETT SHORT DURATION INCOME F	0.00	1.66	0.00	1.66	90.0	1.49
10/20/2017	BOWERS, STEVEN	LORD ABBETT SHORT DURATION INCOME F	0.00	2.68	0.00	2.68	90.0	2.41
10/20/2017	BOWERS, STEVEN	LORD ABBETT SHORT DURATION INCOME F	0.00	2.05	0.00	2.05	90.0	1.85
10/20/2017	CAMPAGNA, MARIE	LORD ABBETT SHORT DURATION INCOME F	0.00	11.01	0.00	11.01	90.0	9.91
10/20/2017	CHERRY, ADAM	LORD ABBETT SHORT DURATION INCOME F	0.00	96.24	0.00	96.24	90.0	86.62
10/20/2017	KRAMER, LESLIE	LORD ABBETT SHORT DURATION INCOME F	0.00	11.28	0.00	11.28	90.0	10.15
10/20/2017	DADINO, CAROLE	LORD ABBETT SHORT DURATION INCOME F	0.00	5.55	0.00	5.55	90.0	5.00
10/20/2017	BROSIUS JR, ARTHUR	LORD ABBETT SHORT DURATION INCOME F	0.00	6.24	0.00	6.24	90.0	5.62
10/20/2017	HARDING, LORETTA	LORD ABBETT SHORT DURATION INCOME F	0.00	12.65	0.00	12.65	90.0	11.39
10/20/2017	BUSLER, SCOTT	LORD ABBETT SHORT DURATION INCOME F	0.00	8.94	0.00	8.94	90.0	8.05
10/20/2017	BUSLER, SCOTT	LORD ABBETT SHORT DURATION INCOME F	0.00	4.54	0.00	4.54	90.0	4.09
10/24/2017	MURRY, YVONNE	MAINSTAY CUSHING MLP PREMIER FUND C	0.00	10.15	0.00	10.15	90.0	9.14
10/24/2017	FLEISCHMAN, RITA	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	2.70	0.00	2.70	90.0	2.43
10/24/2017	FARBMAN TRUST, DANIEL & SANDRA	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	1.81	0.00	1.81	90.0	1.63
10/24/2017	PAGLIA, DIANA	MAINSTAY FLOATING RATE FUND CLASS A	0.00	0.48	0.00	0.48	90.0	0.43
10/24/2017	PAGLIA, DIANA	MAINSTAY HIGH YIELD CORP BOND A	0.00	1.19	0.00	1.19	90.0	1.07
10/24/2017	PAGLIA, DIANA	MAINSTAY LARGE CAP GROWTH FUND A	0.00	0.70	0.00	0.70	90.0	0.63
10/16/2017	KROSNOWSKI, THOMAS	MFS CORE EQUITY C	0.00	6.26	0.00	6.26	90.0	5.63
10/16/2017	KROSNOWSKI, THOMAS	MFS EMERGINF MARKETS EQUITY FUND C	0.00	15.62	0.00	15.62	90.0	14.06
10/16/2017	CAMPAGNA, MARIE	MFS EMERGING MKTS DEBT FUND C	0.00	7.98	0.00	7.98	90.0	7.18
10/16/2017	SPECTER TRUST, STEPHANIE	MFS GROWTH C	0.00	14.92	0.00	14.92	90.0	13.43
10/16/2017	KROSNOWSKI, THOMAS	MFS INTERNATIONAL VALUE FUND C	0.00	15.01	0.00	15.01	90.0	13.51
10/16/2017	BOWERS, DORA	MFS INTERNATIONAL VALUE FUND CLASS	0.00	0.67	0.00	0.67	90.0	0.60
10/16/2017	SPECTER TRUST, BRADLEY	MFS MID-CAP VALUE FUND CLASS C	0.00	9.03	0.00	9.03	90.0	8.13
10/16/2017	SPECTER TRUST, STEPHANIE	MFS MID-CAP VALUE FUND CLASS C	0.00	21.61	0.00	21.61	90.0	19.45

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<u>DIRECT TRANSACTIONS</u>								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS								
10/16/2017	SPECTER TRUST, BRADLEY	MFS MIDCAP GROWTH C	0.00	7.88	0.00	7.88	90.0	7.09
10/16/2017	SPECTER TRUST, STEPHANIE	MFS MIDCAP GROWTH C	0.00	18.57	0.00	18.57	90.0	16.71
10/16/2017	KROSNOWSKI, THOMAS	MFS MIDCAP GROWTH C	0.00	5.39	0.00	5.39	90.0	4.85
10/16/2017	KROSNOWSKI, THOMAS	MFS RESEARCH FUND-C	0.00	5.68	0.00	5.68	90.0	5.11
10/16/2017	SPECTER TRUST, STEPHANIE	MFS RESEARCH INTL C	0.00	26.36	0.00	26.36	90.0	23.72
10/16/2017	KROSNOWSKI, THOMAS	MFS TECHNOLOGY FUND-C	0.00	10.99	0.00	10.99	90.0	9.89
10/16/2017	SPECTER TRUST, BRADLEY	MFS VALUE C	0.00	9.04	0.00	9.04	90.0	8.14
10/16/2017	SPECTER TRUST, STEPHANIE	MFS VALUE C	0.00	14.06	0.00	14.06	90.0	12.65
10/19/2017	KROSNOWSKI, THOMAS	OPPENHEIMER DISCOVERY A	0.00	1.14	0.00	1.14	90.0	1.03
10/19/2017	KROSNOWSKI, THOMAS	OPPENHEIMER GLOBAL OPPORTUNITIES A	0.00	1.00	0.00	1.00	90.0	0.90
10/19/2017	KROSNOWSKI, THOMAS	OPPENHEIMER GOLD & SPECIAL MINERALS	0.00	0.43	0.00	0.43	90.0	0.39
10/19/2017	BOWERS, DORA	OPPENHEIMER INTL GROWTH A	0.00	0.60	0.00	0.60	90.0	0.54
10/19/2017	STERR, ERIN	OPPENHEIMER MAIN STREET A	0.00	2.36	0.00	2.36	90.0	2.12
10/19/2017	KROSNOWSKI, THOMAS	OPPENHEIMER MAIN STREET A	0.00	3.04	0.00	3.04	90.0	2.74
10/19/2017	PERETTI, DANIEL	OPPENHEIMER PORTFOLIO SERIES EQ INV	0.00	0.92	0.00	0.92	90.0	0.83
10/19/2017	PERETTI, DANIEL	OPPENHEIMER PORTFOLIO SERIRES: MOD	0.00	38.05	0.00	38.05	90.0	34.25
10/19/2017	CHERRY, LISA	OPPENHEIMER QUEST OPP VALUE A	0.00	2.59	0.00	2.59	90.0	2.33
10/19/2017	KROSNOWSKI, THOMAS	OPPENHEIMER QUEST OPP VALUE A	0.00	1.75	0.00	1.75	90.0	1.58
10/23/2017	CHERRY, ADAM	PAC LIFE FUNDS PRT OPT MOD	0.00	242.14	0.00	242.14	90.0	217.93
10/18/2017	TRICHON, DONNA-LYNN	PUTNAM GROWTH OPP A	0.00	12.79	0.00	12.79	90.0	11.51
10/18/2017	NIEMINEN, EUGENE	PUTNAM MULTI CAP GROWTH A	0.00	2.88	0.00	2.88	90.0	2.59
10/16/2017	SPECTER, BRADLEY	RESOURCE R E DIVERSIFIED INC FUND A	0.00	12.77	0.00	12.77	90.0	11.49
10/16/2017	SPECTER, STEPHANIE	RESOURCE R E DIVERSIFIED INC FUND A	0.00	17.44	0.00	17.44	90.0	15.70
10/16/2017	TAROFF, MICHELLE	RESOURCE R E DIVERSIFIED INC FUND A	0.00	5.74	0.00	5.74	90.0	5.17
10/16/2017	KLEIN, HOWARD	RESOURCE REAL ESTATE DIVERSIFIED IN	0.00	43.42	0.00	43.42	90.0	39.08
10/16/2017	KLEIN, HOWARD	RESOURCE REAL ESTATE DIVERSIFIED IN	0.00	130.26	0.00	130.26	90.0	117.23
10/23/2017	FLEISCH, ROBERT	TEMPLETON GLOBAL BOND A	0.00	11.75	0.00	11.75	90.0	10.58
10/23/2017	GREENWELL, MARION	TEMPLETON GROWTH A	0.00	1.57	0.00	1.57	90.0	1.41
10/23/2017	CENTANNI, RICHARD	TEMPLETON GROWTH A	0.00	0.34	0.00	0.34	90.0	0.31
10/23/2017	FLEISCH, ROBERT	TEMPLETON WORLD A	0.00	11.21	0.00	11.21	90.0	10.09
10/05/2017	PERETTI, DANIEL	TOUCHSTONE GROWTH OPP A	0.00	1.44	0.00	1.44	90.0	1.30
10/25/2017	PERETTI, DANIEL	TOUCHSTONE GROWTH OPP A	0.00	1.48	0.00	1.48	90.0	1.33
10/24/2017	EHRET, WAYNE	VICTORY CAPITAL MANAGEMENT	0.00	0.44	0.00	0.44	90.0	0.40

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
10/18/2017	CHERRY, LISA	VIRTUS SMALL-CAP SUSTAINABLE GROWTH	0.00	5.55	0.00	5.55	90.0	5.00
10/12/2017	PISANI, NICHOLAS	WELLS FARGO ADVANTAGE OMEGA GROWTH	0.00	8.88	0.00	8.88	90.0	7.99
10/12/2017	CAMPAGNA, MARIE	WELLS FARGO ADVTG DIVERSIFIED INCOM	0.00	22.21	0.00	22.21	90.0	19.99
10/12/2017	CAMPAGNA, MARIE	WELLS FARGO ADVTG DIVERSIFIED INCOM	0.00	10.82	0.00	10.82	90.0	9.74
10/12/2017	BOWERS, DORA	WELLS FARGO ADVTG EMERGING MARKETS	0.00	0.19	0.00	0.19	90.0	0.17
10/12/2017	TRICHON, DONNA-LYNN	WELLS FARGO DIVERSIFIED CAPITAL BUI	0.00	17.22	0.00	17.22	90.0	15.50
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *			\$0.00	\$3,545.35	\$0.00	\$3,545.35		\$3,190.97
<u>PRODUCT CATEGORY: VARIABLE ANNUITY 12B1 TRAILS</u>								
11/01/2017	PISANI, CARLA	LFG TRAILS	0.00	25.70	0.00	25.70	90.0	23.13
11/01/2017	PISANI, NICHOLAS	LFG TRAILS	0.00	10.00	0.00	10.00	90.0	9.00
11/02/2017	LINSKY, VARIOUS	TRANSAMERICA	0.00	3.68	0.00	3.68	90.0	3.31
10/21/2017	MCFADDEN, JOAN	LANDMARK 2002	0.00	212.09	0.00	212.09	90.0	190.88
* VARIABLE ANNUITY 12B1 TRAILS SUBTOTAL *			\$0.00	\$251.47	\$0.00	\$251.47		\$226.32
*** DIRECT TRANSACTIONS TOTAL ***			\$1,803,649.41	\$5,627.95	\$0.00	\$5,627.95		\$5,065.32

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

10/19/2017	CLARKE, PHYLLIS	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	1.19	0.00	1.19	90.0	1.07
10/19/2017	CLARKE, PHYLLIS	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.08	0.00	0.08	90.0	0.07
10/19/2017	BERK, MICHAEL	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.33	0.00	1.33	90.0	1.20
10/23/2017	CLARKE, PHYLLIS	FRANKLIN GROWTH OPPORTUNITIES FUND	0.00	0.11	0.00	0.11	90.0	0.10
10/18/2017	SPOKANE, LOIS	GOLDMAN SACHS U.S. EQUITY INSIGHTS	0.00	0.61	0.00	0.61	90.0	0.55
10/17/2017	CLARKE, PHYLLIS	HARTFORD INFLATION PLUS FUIND C	0.00	3.37	0.00	3.37	90.0	3.03
10/20/2017	CLARKE, PHYLLIS	LORD ABBETT AFFILIATED A	0.00	1.09	0.00	1.09	90.0	0.98
10/20/2017	SPOKANE, LOIS	LORD ABBETT BOND DEBENTURE A	0.00	2.15	0.00	2.15	90.0	1.94
10/20/2017	SPOKANE, LOIS	LORD ABBETT FUNDAMENTAL EQUITY A	0.00	3.77	0.00	3.77	90.0	3.39
10/23/2017	CLARKE, PHYLLIS	PIMCO TOTAL RETURN C	0.00	14.02	0.00	14.02	90.0	12.62
10/18/2017	BELLO, JOSEPH	PUTNAM MULTI CAP GROWTH A	0.00	0.58	0.00	0.58	90.0	0.52
10/16/2017	LANUTI, CHERYL	RESOURCE R E DIVERSIFIED INC FUND A	0.00	8.96	0.00	8.96	90.0	8.06
10/13/2017	MAHONEY, MARIA	SENTINEL GOVERNMENT SECURITIES FUND	0.00	5.02	0.00	5.02	90.0	4.52
10/13/2017	MAHONEY, MARIA	SENTINEL MULTI- ASSET INCOME FUND A	0.00	4.83	0.00	4.83	90.0	4.35
11/01/2017	MAHONEY, MARIA	TOUCHSTONE ACTIVE BOND FUND A	-60,808.97	0.00	0.00	0.00	90.0	0.00

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>SPLIT TRANSACTIONS</u>								
<u>BROKER: J30 MARC/MICHAEL LINSKY/FOX #266</u>								
11/01/2017	MAHONEY, MARIA	TOUCHSTONE FLEXIBLE INCOME FUND CLA	-29,501.79	0.00	0.00	0.00	90.0	0.00
* J30 MARC/MICHAEL LINSKY/FOX SUBTOTAL *			\$-90,310.76	\$47.11	\$0.00	\$47.11		\$42.40
<u>BROKER: R134-DAN/JEFF/JON P/ FT-NY RAUPP/KI #272</u>								
10/26/2017	DAMONE, DENNIS	JP MORGAN INVESTOR GROWTH & INCOME	0.00	0.21	0.00	0.21	90.0	0.19
* R134-DAN/JEFF/JON P/ FT-NY RAUPP/KI SUBTOTAL *			\$0.00	\$0.21	\$0.00	\$0.21		\$0.19
<u>BROKER: P124-JONP/MARC/DAN/J FT-FL JUNO CIR #273</u>								
10/19/2017	FLAHERTY, STEPHEN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.06	0.00	0.06	90.0	0.05
10/13/2017	WILKINSKY, KARA-JANE	AMERICAN CENTURY STRATEGIC ALLOC AG	0.00	1.60	0.00	1.60	90.0	1.44
10/13/2017	WILKINSKY, KARA-JANE	AMERICAN CENTURY STRATEGIC ALLOC AG	0.00	4.85	0.00	4.85	90.0	4.37
10/13/2017	WILKINSKY, MATTHEW	AMERICAN CENTURY STRATEGIC ALLOC AG	0.00	3.20	0.00	3.20	90.0	2.88
10/13/2017	LEEN, RANDY	AMERICAN CENTURY STRATEGIC ALLOC AG	0.00	2.32	0.00	2.32	90.0	2.09
10/27/2017	WILKINSKY, MATTHEW	AMERICAN CENTURY STRATEGIC ALLOC AG	2,708.42	47.40	7.70	39.70	90.0	35.73
10/27/2017	WILKINSKY, KARA-JANE	AMERICAN CENTURY STRATEGIC ALLOC AG	2,701.44	37.82	7.70	30.12	90.0	27.11
10/13/2017	ROMAN, ROSA	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	0.36	0.00	0.36	90.0	0.32
10/13/2017	ABRAMS, RAFAEL	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	0.89	0.00	0.89	90.0	0.80
10/13/2017	JA, WILLIAM	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	2.00	0.00	2.00	90.0	1.80
10/13/2017	JA, WILLIAM	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	5.99	0.00	5.99	90.0	5.39
10/18/2017	MORONEY, PHYLLIS	GRIFFIN INST'L ACCESS R E FUND C	0.00	0.89	0.00	0.89	90.0	0.80
10/18/2017	MORONEY, PHYLLIS	GRIFFIN INST'L ACCESS R E FUND C	0.00	2.68	0.00	2.68	90.0	2.41
10/18/2017	MORONEY, PHYLLIS	GRIFFIN INST'L ACCESS R E FUND C	0.00	1.12	0.00	1.12	90.0	1.01
10/18/2017	MORONEY, PHYLLIS	GRIFFIN INST'L ACCESS R E FUND C	0.00	3.35	0.00	3.35	90.0	3.02
10/18/2017	MORONEY JR, JOHN	GRIFFIN INST'L ACCESS R E FUND C	0.00	0.75	0.00	0.75	90.0	0.68
10/18/2017	MORONEY JR, JOHN	GRIFFIN INST'L ACCESS R E FUND C	0.00	2.23	0.00	2.23	90.0	2.01
10/18/2017	MORONEY JR, JOHN	GRIFFIN INST'L ACCESS R E FUND C	0.00	0.89	0.00	0.89	90.0	0.80
10/18/2017	MORONEY JR, JOHN	GRIFFIN INST'L ACCESS R E FUND C	0.00	2.68	0.00	2.68	90.0	2.41
10/18/2017	JA, WILLIAM	GRIFFIN INST'L ACCESS R E FUND C	0.00	2.02	0.00	2.02	90.0	1.82
10/18/2017	JA, WILLIAM	GRIFFIN INST'L ACCESS R E FUND C	0.00	6.07	0.00	6.07	90.0	5.46
10/18/2017	ROMAN, ROSA	GRIFFIN INSTITUTIONAL ACCESS REAL E	0.00	0.57	0.00	0.57	90.0	0.51
10/18/2017	ABRAMS, RAFAEL	GRIFFIN INSTITUTIONAL ACCESS REAL E	0.00	0.88	0.00	0.88	90.0	0.79
10/18/2017	WILKINSKY, KARA-JANE	GRIFFIN INSTITUTIONAL ACCESS REAL E	0.00	1.52	0.00	1.52	90.0	1.37
10/18/2017	WILKINSKY, MATTHEW	GRIFFIN INSTITUTIONAL ACCESS REAL E	0.00	1.22	0.00	1.22	90.0	1.10
10/18/2017	FLAHERTY, CAITLIN	GRIFFIN INSTITUTIONAL ACCESS REAL E	0.00	1.02	0.00	1.02	90.0	0.92

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>SPLIT TRANSACTIONS</u>								
<u>BROKER: P124-JONP/MARC/DAN/J FT-FL JUNO CIR #273</u>								
10/18/2017	KELLY, GORDON	GRIFFIN INSTITUTIONAL ACCESS REAL E	0.00	1.45	0.00	1.45	90.0	1.31
10/18/2017	SCHENONE, LORI	GRIFFIN INSTITUTIONAL ACCESS REAL E	0.00	4.42	0.00	4.42	90.0	3.98
10/30/2017	GRISALES, CARMEN	INVESCO EQUALLY WEIGHTED S&P 500 A	0.00	0.71	0.00	0.71	90.0	0.64
10/30/2017	GRISALES, CARMEN	INVESCO EQUITY AND INCOME A	0.00	0.67	0.00	0.67	90.0	0.60
10/30/2017	CAMPBELL, VICTORIA	INVESCO HIGH YIELD FUND A	0.00	0.20	0.00	0.20	90.0	0.18
10/30/2017	CAMPBELL, CHARLES	INVESCO HIGH YIELD FUND A	0.00	0.03	0.00	0.03	90.0	0.03
10/27/2017	WILKINSKY, MATTHEW	LORD ABBETT SHORT DURATION INCOME A	2,700.66	18.90	7.70	11.20	90.0	10.08
10/27/2017	WILKINSKY, KARA-JANE	LORD ABBETT SHORT DURATION INCOME A	2,700.66	18.90	7.70	11.20	90.0	10.08
10/18/2017	CAMPBELL, CHARLES	NEUBERGER BERMAN HIGH INCOME BOND F	0.00	0.03	0.00	0.03	90.0	0.03
10/30/2017	CAMPBELL, VICTORIA	PIMCO HIGH YIELD SPECTRUM FUND CLAS	0.00	0.03	0.00	0.03	90.0	0.03
10/30/2017	CAMPBELL, CHARLES	PIMCO HIGH YIELD SPECTRUM FUND CLAS	0.00	0.00	0.00	0.00	90.0	0.00
10/17/2017	CAMPBELL, VICTORIA	PRINCIPAL FUNDS HIGH YIELD II A	0.00	0.20	0.00	0.20	90.0	0.18
10/17/2017	CAMPBELL, CHARLES	PRINCIPAL FUNDS HIGH YIELD II A	0.00	0.03	0.00	0.03	90.0	0.03
11/06/2017	ROULHAC, JAMES	SACRAMENTO CNTY CALIF ARPT SYS REV	-51,149.00	9.80	9.45	0.35	90.0	0.32
* P124-JONP/MARC/DAN/J FT-FL JUNO CIR SUBTOTAL *			\$-40,337.82	\$189.75	\$40.25	\$149.50		\$134.58
<u>BROKER: C148 DAN/MARC FT-CHARLEY/LINSKY #315</u>								
10/19/2017	ANDERSON, WILLIAM	AM FUNDS BOND FUND OF AMERICA A	0.00	0.46	0.00	0.46	90.0	0.41
10/13/2017	ANDERSON, WILLIAM	AMERICAN CENTURY CORE PLUS FUND CLA	0.00	2.80	0.00	2.80	90.0	2.52
10/27/2017	ANDERSON, ELAINE	BLK GLOBAL ALLOCATION C	0.00	2.45	0.00	2.45	90.0	2.21
11/01/2017	NEELD, JOHN	BLUEROCK TOTAL INC & REAL ESTATE FU	26,000.00	130.00	0.00	130.00	90.0	117.00
10/20/2017	ANDERSON, ELAINE	CALAMOS GROWTH & INCOME A	0.00	0.87	0.00	0.87	90.0	0.78
10/17/2017	ANDERSON, WILLIAM	COLUMBIA BALANCED FUND CLASS C	0.00	3.40	0.00	3.40	90.0	3.06
10/16/2017	MENZ, COLLEEN	COTTONWOOD RESIDENTIAL 2016 PREFR'D	200,000.00	7,000.00	0.00	7,000.00	90.0	6,300.00
10/16/2017	FIAMINGO, FRANK	DAVIS REAL ESTATE A	0.00	2.16	0.00	2.16	90.0	1.94
10/20/2017	ANDERSON, WILLIAM	EAGLE GROWTH AND INCOME FUND CLASS	0.00	5.92	0.00	5.92	90.0	5.33
10/23/2017	ANDERSON, WILLIAM	FIRST EAGLE OVERSEAS FUND CLASS A	0.00	0.96	0.00	0.96	90.0	0.86
10/18/2017	FIAMINGO, NANCY	GRIFFIN INST'L ACCESS R E FUND C	0.00	3.05	0.00	3.05	90.0	2.75
10/18/2017	FIAMINGO, NANCY	GRIFFIN INST'L ACCESS R E FUND C	0.00	9.14	0.00	9.14	90.0	8.23
10/18/2017	FIAMINGO, FRANK	GRIFFIN INST'L ACCESS R E FUND C	0.00	3.53	0.00	3.53	90.0	3.18
10/18/2017	FIAMINGO, FRANK	GRIFFIN INST'L ACCESS R E FUND C	0.00	10.58	0.00	10.58	90.0	9.52
10/30/2017	FIAMINGO, FRANK	INVESCO TECHNOLOGY A	0.00	1.57	0.00	1.57	90.0	1.41
10/12/2017	ANDERSON, ELAINE	JANUS BALANCED FUND CLASS C	0.00	3.10	0.00	3.10	90.0	2.79
10/13/2017	ANDERSON, ELAINE	JH STRATEGIC INCOME A	0.00	0.43	0.00	0.43	90.0	0.39

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<u>SPLIT TRANSACTIONS</u>								
<u>BROKER: C148 DAN/MARC FT-CHARLEY/LINSKY #315</u>								
10/19/2017	FIAMINGO, FRANK	OPPENHEIMER CAPITAL INCOME A	0.00	0.01	0.00	0.01	90.0	0.01
10/23/2017	ANDERSON, WILLIAM	PIMCO REAL RETURN C	0.00	1.68	0.00	1.68	90.0	1.51
10/12/2017	RYNEX, CAROL	WELLS FARGO DOW JONES TARGET 2035 F	0.00	0.98	0.00	0.98	90.0	0.88
10/12/2017	RYNEX, STEPHEN	WELLS FARGO PREMIER LG COMP GRWTH A	0.00	0.53	0.00	0.53	90.0	0.48
10/12/2017	RYNEX, ANDREW	WELLS FARGO PREMIER LG COMP GRWTH A	0.00	0.17	0.00	0.17	90.0	0.15
* C148 DAN/MARC FT-CHARLEY/LINSKY SUBTOTAL *			\$226,000.00	\$7,183.79	\$0.00	\$7,183.79		\$6,465.41
<u>BROKER: C157-DA/MAR/JP/DA/JE FT-CHA/LIN/CIR #400</u>								
11/06/2017	ROULHAC, DEBRA	ALABAMA ST UNIV REV TAXABLE-GEN TUI	-58,237.85	9.24	8.91	0.33	90.0	0.30
10/19/2017	ROULHAC, DEBRA	AM FUNDS AMERICAN BALANCED A	0.00	1.08	0.00	1.08	90.0	0.97
11/06/2017	ROULHAC, DEBRA	AM FUNDS AMERICAN BALANCED A	-27,253.89	7.26	7.26	0.00	90.0	0.00
10/19/2017	ROULHAC, DEBRA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.38	0.00	0.38	90.0	0.34
11/06/2017	ROULHAC, DEBRA	AM FUNDS CAPITAL WORLD GRTH & INC A	-9,686.58	7.26	7.26	0.00	90.0	0.00
11/06/2017	ROULHAC, JAMES	AMERICAN FUNDS BALANCED FUND F2	-5,671.51	0.00	0.00	0.00	90.0	0.00
11/06/2017	ROULHAC, JAMES	BLACKROCK MULTI-ASSET INCOME PORTFO	-7,114.35	0.00	0.00	0.00	90.0	0.00
10/23/2017	ROULHAC, DEBRA	CENTER COAST MLP FOCUS FUND CLASS A	0.00	0.20	0.00	0.20	90.0	0.18
11/06/2017	ROULHAC, DEBRA	CENTER COAST MLP FOCUS FUND CLASS A	-4,685.75	0.00	0.00	0.00	90.0	0.00
11/06/2017	ROULHAC, JAMES	CENTER COAST MLP FOCUS FUND CLASS I	-6,037.96	0.00	7.26	-7.26	90.0	-6.53
11/06/2017	ROULHAC, JAMES	FIDELITY ADVISOR LATIN AMERICA FUND	-2,055.73	0.00	7.26	-7.26	90.0	-6.53
10/18/2017	CARROLLTON, DONNA	GRIFFIN INSTITUTIONAL ACCESS REAL E	0.00	1.62	0.00	1.62	90.0	1.46
10/18/2017	CARROLLTON, STEVE	GRIFFIN INSTITUTIONAL ACCESS REAL E	0.00	1.16	0.00	1.16	90.0	1.04
11/06/2017	ROULHAC, DEBRA	LAKE CNTY ILL CMNTY UNIT SCH DIST N	-63,425.40	9.24	8.91	0.33	90.0	0.30
11/06/2017	ROULHAC, DEBRA	LORD ABBETT BOND DEBENTURE A	-8.30	0.00	0.00	0.00	90.0	0.00
11/06/2017	ROULHAC, DEBRA	NORTHERN ILL UNIV REVS TAXABLE-AUXI	-49,488.75	9.24	8.91	0.33	90.0	0.30
11/06/2017	ROULHAC, DEBRA	WOONSOCKET R I PENSION 6.290% 07/15	-45,474.00	9.24	8.91	0.33	90.0	0.30
* C157-DA/MAR/JP/DA/JE FT-CHA/LIN/CIR SUBTOTAL *			\$-279,140.07	\$55.92	\$64.68	\$-8.76		\$-7.87
*** SPLIT TRANSACTIONS TOTAL ***			\$-183,788.65	\$7,476.78	\$104.93	\$7,371.85		\$6,634.71

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>ADJUSTMENTS</u>								
11/15/2017		*AI INSIGHT: AI INSIGHT - T THOMPSO	0.00					-2.45
11/15/2017		*EO INS: CURRENT MONTH INS	0.00					-300.00
11/15/2017		*EO INS: CURRENT MONTH INS	0.00					-105.00
11/15/2017		*EO INS: CURRENT MONTH-T THOMPSON	0.00					-105.00
11/15/2017		*FEDERAL EXPRESS: 5-973-09991 10/25	0.00					-121.56
11/15/2017		*FEDERAL EXPRESS: 5-980-12441 11/01	0.00					-31.21
11/15/2017		*MARKETING LIBRARY: MARKETING LIBRA	0.00					-45.00
11/15/2017		*PERSHING: BOOKS AND RECORDS	0.00					-1.50
11/15/2017		*PERSHING: BOOKS AND RECORDS	0.00					-2.25
11/15/2017		*PERSHING: ETF PROSPECTUS	0.00					-4.33
11/15/2017		*PERSHING: MARK UPS	0.00					52.50
11/15/2017		*PERSHING: MF PROSPECTUS	0.00					-4.40
11/15/2017		*PERSHING: PNW099695	0.00					-12.00
11/15/2017		*PERSHING: PNW100006	0.00					-50.00
11/15/2017		*PERSHING: PNW100014	0.00					-50.00
11/15/2017		*TECH: ADMIN-CHRISTINE GILMER	0.00					-100.00
11/15/2017		*TECH: ADMIN-LINDA BOND-HILTNER	0.00					-100.00
11/15/2017		*TECH: CURRENT MONTH TECH	0.00					-275.00
11/15/2017		*TECH: CURRENT MONTH TECH	0.00					-96.25
11/15/2017		*TECHNOLOGY: BASIC - T THOMPSON	0.00					-63.00
*** ADJUSTMENTS TOTAL ***			\$0.00	\$0.00	\$0.00	\$0.00		\$-1,416.45

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BROKER COMMISSION TOTALS

Broker Transactions	\$5,065.32
Split Transactions	\$6,634.71
Override Transactions	\$0.00
Adjustments	\$-1,416.45
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$0.00
FINRA Assessment	\$0.00
SIPC Assessment	\$0.00

Check Amount	\$10,283.58
Year-to-date Gross	\$597,137.41
Year-to-date Earnings	\$535,786.45