



Concorde Investment Services, LLC

10/11/2017

Page No. 1

COMMISSION STATEMENT**October 15, 2017****ACCOUNT HOUSE**1120 E. LONG LAKE ROAD
SUITE 207
TROY, MI 48085-**BROKER #: G999**

BRANCH: FOXTROT SAMPLE

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: INTERVAL FUNDS</u>								
08/31/2017	CONCORDE, VARIOUS	GRIFFIN INST'L ACCESS R E FUND	0.00	6.45	0.00	6.45	0.0	0.00
10/03/2017	CONCORDE, VARIOUS	GRIFFIN INST'L ACCESS R E FUND C	-23,021.01	0.00	0.00	0.00	0.0	0.00
10/03/2017	CONCORDE, VARIOUS	GRIFFIN INST'L ACCESS R E FUND C	22,790.80	0.00	0.00	0.00	0.0	0.00
* INTERVAL FUNDS SUBTOTAL *			\$-230.21	\$6.45	\$0.00	\$6.45		\$0.00
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
10/02/2017	DURR, LORENA	AM FUNDS 2030 TARGET DATE-A	100.00	4.25	0.00	4.25	100.0	4.25
10/05/2017	CONCORDE, VARIOUS	AM FUNDS AMCAP A	71.81	0.00	0.00	0.00	100.0	0.00
10/05/2017	CONCORDE, VARIOUS	AM FUNDS AMCAP A	-75.00	0.00	0.00	0.00	100.0	0.00
09/28/2017	SOLORIO, ROQUE	AM FUNDS AMERICAN BALANCED 529A	125.00	5.31	0.00	5.31	100.0	5.31
10/02/2017	BUI, VIVIAN	AM FUNDS AMERICAN BALANCED 529A	100.00	3.75	0.00	3.75	100.0	3.75
10/02/2017	BUI, VIVIAN	AM FUNDS AMERICAN BALANCED 529A	100.00	3.75	0.00	3.75	100.0	3.75
10/02/2017	RAINONE, TRISTINA DAWN	AM FUNDS AMERICAN BALANCED 529A	100.00	4.25	0.00	4.25	100.0	4.25
10/02/2017	RAINONE, MICHAEL	AM FUNDS AMERICAN BALANCED 529A	100.00	4.25	0.00	4.25	100.0	4.25
10/02/2017	COLE, PAUL	AM FUNDS AMERICAN BALANCED A	250.00	9.38	0.00	9.38	100.0	9.38
10/02/2017	BUI, VIVIAN	AM FUNDS AMERICAN BALANCED A	100.00	3.75	0.00	3.75	100.0	3.75
10/06/2017	SAGGAR, VADEESH	AM FUNDS AMERICAN BALANCED A	50.00	2.50	0.00	2.50	100.0	2.50
10/02/2017	BOOTZ, MATTHEW	AM FUNDS AMERICAN MUTUAL A	50.00	2.50	0.00	2.50	100.0	2.50
10/02/2017	RAMIREZ, MARCOS	AM FUNDS CAPITAL INCOME BUILDER 529	150.00	6.38	0.00	6.38	100.0	6.38
10/02/2017	CESARE, MARIA	AM FUNDS CAPITAL INCOME BUILDER A	525.00	19.69	0.00	19.69	100.0	19.69
10/02/2017	DANG, DIEM CHAU LUONG	AM FUNDS CAPITAL INCOME BUILDER A	100.00	5.00	0.00	5.00	100.0	5.00
10/03/2017	SEMRAU, SHELLY	AM FUNDS CAPITAL INCOME BUILDER A	30.00	1.28	0.00	1.28	100.0	1.28
10/05/2017	COX, DEBORAH	AM FUNDS CAPITAL INCOME BUILDER A	75.00	3.75	0.00	3.75	100.0	3.75
10/02/2017	SINGER, MICHELLE	AM FUNDS CAPITAL WORLD GRTH & INC A	50.00	1.38	0.00	1.38	100.0	1.38
09/28/2017	GREEN, WILLIAM	AM FUNDS COLLEGE 2030 FUND 529A	50.00	1.75	0.00	1.75	100.0	1.75
10/02/2017	STUMP, DAVID	AM FUNDS EUROPACIFIC GROWTH FUND A	50.00	2.50	0.00	2.50	100.0	2.50
10/02/2017	SINGER, MICHELLE	AM FUNDS EUROPACIFIC GROWTH FUND A	50.00	1.38	0.00	1.38	100.0	1.38

NOTES: * - Indicates adjustment is not included in 1099 Earnings

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^Date - Split Trade - full Investment Amount & Gross Commission displayed

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
10/06/2017	HO, PAULINA	AM FUNDS GROWTH AND INCOME C	200.00	2.00	0.00	2.00	100.0	2.00
09/28/2017	COHEN, LORI PIERCE-	AM FUNDS GROWTH FUND OF AMERICA 529	100.00	1.00	0.00	1.00	100.0	1.00
10/02/2017	SAM, WINGO	AM FUNDS GROWTH FUND OF AMERICA A	150.00	5.63	0.00	5.63	100.0	5.63
10/02/2017	STUMP, DAVID	AM FUNDS GROWTH FUND OF AMERICA A	50.00	2.50	0.00	2.50	100.0	2.50
10/03/2017	SEMRAU, SHELLY	AM FUNDS GROWTH FUND OF AMERICA A	30.00	1.28	0.00	1.28	100.0	1.28
10/05/2017	CONCORDE, VARIOUS	AM FUNDS GROWTH FUND OF AMERICA A	71.81	0.00	0.00	0.00	100.0	0.00
10/05/2017	CONCORDE, VARIOUS	AM FUNDS GROWTH FUND OF AMERICA A	-75.00	0.00	0.00	0.00	100.0	0.00
09/25/2017	PRATUS, LINDSEY	AM FUNDS GROWTH FUND OF AMERICA C	150.00	1.50	0.00	1.50	100.0	1.50
09/25/2017	PRATUS, LINDSEY	AM FUNDS ICA C	150.00	1.50	0.00	1.50	100.0	1.50
10/06/2017	HO, PAULINA	AM FUNDS INCOME PORTFOLIO C	200.00	2.00	0.00	2.00	100.0	2.00
10/03/2017	SEMRAU, SHELLY	AM FUNDS INTL GROWTH AND INCOME A	30.00	1.28	0.00	1.28	100.0	1.28
10/05/2017	AGUILAR, JOSE	AM FUNDS NEW ECONOMY 529A	50.00	2.50	0.00	2.50	100.0	2.50
09/28/2017	COHEN, LORI PIERCE-	AM FUNDS NEW PERSPECTIVE 529C	100.00	1.00	0.00	1.00	100.0	1.00
10/03/2017	SEMRAU, SHELLY	AM FUNDS NEW WORLD A	30.00	1.28	0.00	1.28	100.0	1.28
10/05/2017	COX, DEBORAH	AM FUNDS SMALLCAP WORLD A	75.00	3.75	0.00	3.75	100.0	3.75
10/06/2017	SAGGAR, VADEESH	AM FUNDS SMALLCAP WORLD A	100.00	5.00	0.00	5.00	100.0	5.00
10/03/2017	SEMRAU, SHELLY	AM FUNDS WASHINGTON MUTUAL INVESTOR	30.00	1.28	0.00	1.28	100.0	1.28
10/06/2017	CONCORDE, VARIOUS	COLUMBIA DIVIDEND INCOME A	-30,000.00	0.00	0.00	0.00	100.0	0.00
10/06/2017	CONCORDE, VARIOUS	COLUMBIA DIVIDEND INCOME A	-15,000.00	0.00	0.00	0.00	100.0	0.00
10/06/2017	CONCORDE, VARIOUS	COLUMBIA DIVIDEND INCOME A	28,500.00	0.00	0.00	0.00	100.0	0.00
10/06/2017	CONCORDE, VARIOUS	COLUMBIA DIVIDEND INCOME A	14,250.00	0.00	0.00	0.00	100.0	0.00
09/30/2017	KLEMP, DANIAL	DELAWARE VALUE A	0.00	7.37	0.00	7.37	100.0	7.37
09/30/2017	SIDLOROBEG	DELAWARE VALUE A	0.00	32.04	0.00	32.04	100.0	32.04
09/29/2017	CONCORDE, VARIOUS	LORD ABBETT FUNDAMENTAL EQUITY A	16,160.47	0.00	0.00	0.00	100.0	0.00
09/29/2017	CONCORDE, VARIOUS	LORD ABBETT FUNDAMENTAL EQUITY A	-17,011.02	0.00	0.00	0.00	100.0	0.00
09/29/2017	CONCORDE, VARIOUS	LORD ABBETT SHORT DURATION INCOME A	-17,003.16	0.00	0.00	0.00	100.0	0.00
09/29/2017	CONCORDE, VARIOUS	LORD ABBETT SHORT DURATION INCOME A	16,663.10	0.00	0.00	0.00	100.0	0.00
10/05/2017	CONCORDE, VARIOUS	PUTNAM CAPITAL SPECTRUM C	-228.00	0.00	0.00	0.00	100.0	0.00
10/05/2017	CONCORDE, VARIOUS	PUTNAM CAPITAL SPECTRUM C	225.72	0.00	0.00	0.00	100.0	0.00
10/05/2017	CONCORDE, VARIOUS	PUTNAM EQUITY SPECTRUM C	-227.00	0.00	0.00	0.00	100.0	0.00
10/05/2017	CONCORDE, VARIOUS	PUTNAM EQUITY SPECTRUM C	224.73	0.00	0.00	0.00	100.0	0.00
10/05/2017	CONCORDE, VARIOUS	TRANSAMERICA AA GROWTH C	-300.00	0.00	0.00	0.00	100.0	0.00
10/05/2017	CONCORDE, VARIOUS	TRANSAMERICA AA GROWTH C	297.00	0.00	0.00	0.00	100.0	0.00

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
10/10/2017	CONCORDE, VARIOUS	TRANSAMERICA AA GROWTH C	-200.00	0.00	0.00	0.00	100.0	0.00
10/10/2017	CONCORDE, VARIOUS	TRANSAMERICA AA GROWTH C	198.00	0.00	0.00	0.00	100.0	0.00
* MUTUAL FUNDS SUBTOTAL *			\$143.46	\$159.71	\$0.00	\$159.71		\$159.71
<u>PRODUCT CATEGORY: STOCKS</u>								
10/03/2017	CONCORDE, VARIOUS	BIODELIVERY SCIENCES INTL INC COM	-6,150.00	0.00	0.00	0.00	100.0	0.00
10/03/2017	CONCORDE, VARIOUS	BIODELIVERY SCIENCES INTL INC COM	1,230.00	0.00	1.00	-1.00	100.0	-1.00
10/03/2017	CONCORDE, VARIOUS	BIODELIVERY SCIENCES INTL INC COM	1,230.00	0.00	1.00	-1.00	100.0	-1.00
10/03/2017	CONCORDE, VARIOUS	BIODELIVERY SCIENCES INTL INC COM	922.50	0.00	1.00	-1.00	100.0	-1.00
10/03/2017	CONCORDE, VARIOUS	BIODELIVERY SCIENCES INTL INC COM	307.50	0.00	1.00	-1.00	100.0	-1.00
10/03/2017	CONCORDE, VARIOUS	BIODELIVERY SCIENCES INTL INC COM	922.50	0.00	1.00	-1.00	100.0	-1.00
10/03/2017	CONCORDE, VARIOUS	BIODELIVERY SCIENCES INTL INC COM	615.00	0.00	1.00	-1.00	100.0	-1.00
10/03/2017	CONCORDE, VARIOUS	BIODELIVERY SCIENCES INTL INC COM	922.50	0.00	1.00	-1.00	100.0	-1.00
10/02/2017	CONCORDE, VARIOUS	CHICAGO BRIDGE & IRON CO NV	-4,165.00	0.00	1.00	-1.00	100.0	-1.00
10/02/2017	CONCORDE, VARIOUS	CHICAGO BRIDGE & IRON CO NV	-6,800.00	0.00	1.00	-1.00	100.0	-1.00
10/02/2017	CONCORDE, VARIOUS	CHICAGO BRIDGE & IRON CO NV	-6,035.00	0.00	1.00	-1.00	100.0	-1.00
10/02/2017	CONCORDE, VARIOUS	CHICAGO BRIDGE & IRON CO NV	17,000.00	0.00	0.00	0.00	100.0	0.00
10/04/2017	CONCORDE, VARIOUS	GLOBAL NET LEASE INC COM	15,776.49	0.00	0.00	0.00	100.0	0.00
10/04/2017	CONCORDE, VARIOUS	GLOBAL NET LEASE INC COM	-2,204.00	0.00	1.00	-1.00	100.0	-1.00
10/04/2017	CONCORDE, VARIOUS	GLOBAL NET LEASE INC COM	-2,204.00	0.00	1.00	-1.00	100.0	-1.00
10/04/2017	CONCORDE, VARIOUS	GLOBAL NET LEASE INC COM	-2,204.00	0.00	1.00	-1.00	100.0	-1.00
10/04/2017	CONCORDE, VARIOUS	GLOBAL NET LEASE INC COM	-4,406.00	0.00	1.00	-1.00	100.0	-1.00
10/04/2017	CONCORDE, VARIOUS	GLOBAL NET LEASE INC COM	-2,203.00	0.00	1.00	-1.00	100.0	-1.00
10/04/2017	CONCORDE, VARIOUS	GLOBAL NET LEASE INC COM	-2,203.00	0.00	1.00	-1.00	100.0	-1.00
10/04/2017	CONCORDE, VARIOUS	GLOBAL NET LEASE INC COM	-352.48	0.00	1.00	-1.00	100.0	-1.00
09/28/2017	CONCORDE, VARIOUS	IMMUNOMEDICS INC COM	13,000.00	0.00	0.00	0.00	100.0	0.00
09/28/2017	CONCORDE, VARIOUS	IMMUNOMEDICS INC COM	-4,537.00	0.00	1.00	-1.00	100.0	-1.00
09/28/2017	CONCORDE, VARIOUS	IMMUNOMEDICS INC COM	-8,463.00	0.00	1.00	-1.00	100.0	-1.00
10/06/2017	CONCORDE, VARIOUS	ISHARES TR CORE TOTAL U S BD MKT ET	-327.93	0.00	0.00	0.00	100.0	0.00
10/06/2017	CONCORDE, VARIOUS	ISHARES TR CORE TOTAL U S BD MKT ET	-109.31	0.00	0.00	0.00	100.0	0.00
10/06/2017	CONCORDE, VARIOUS	ISHARES TR CORE TOTAL U S BD MKT ET	-109.31	0.00	0.00	0.00	100.0	0.00
10/06/2017	CONCORDE, VARIOUS	ISHARES TR CORE TOTAL U S BD MKT ET	-218.62	0.00	0.00	0.00	100.0	0.00
10/06/2017	CONCORDE, VARIOUS	ISHARES TR CORE TOTAL U S BD MKT ET	-1,202.41	0.00	0.00	0.00	100.0	0.00
10/06/2017	CONCORDE, VARIOUS	ISHARES TR CORE TOTAL U S BD MKT ET	-765.17	0.00	0.00	0.00	100.0	0.00

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<u>BROKER TRANSACTIONS</u>								
PRODUCT CATEGORY: STOCKS								
10/06/2017	CONCORDE, VARIOUS	ISHARES TR CORE TOTAL U S BD MKT ET	-765.17	0.00	0.00	0.00	100.0	0.00
10/06/2017	CONCORDE, VARIOUS	ISHARES TR CORE TOTAL U S BD MKT ET	3,497.92	0.00	1.00	-1.00	100.0	-1.00
09/28/2017	CONCORDE, VARIOUS	ISHARES TR IBOXX \$ HIGH YIELD CORP	30,664.25	0.00	0.00	0.00	100.0	0.00
09/28/2017	CONCORDE, VARIOUS	ISHARES TR IBOXX \$ HIGH YIELD CORP	-8,862.50	0.00	1.00	-1.00	100.0	-1.00
09/28/2017	CONCORDE, VARIOUS	ISHARES TR IBOXX \$ HIGH YIELD CORP	-13,293.75	0.00	1.00	-1.00	100.0	-1.00
09/28/2017	CONCORDE, VARIOUS	ISHARES TR IBOXX \$ HIGH YIELD CORP	-5,317.50	0.00	1.00	-1.00	100.0	-1.00
09/28/2017	CONCORDE, VARIOUS	ISHARES TR IBOXX \$ HIGH YIELD CORP	-3,190.50	0.00	1.00	-1.00	100.0	-1.00
09/27/2017	CONCORDE, VARIOUS	ISHARES TR RUSSELL 2000 INDEX FD	-6,197.10	0.00	0.00	0.00	100.0	0.00
09/27/2017	CONCORDE, VARIOUS	ISHARES TR RUSSELL 2000 INDEX FD	6,492.20	0.00	1.00	-1.00	100.0	-1.00
09/27/2017	CONCORDE, VARIOUS	ISHARES TR RUSSELL 2000 INDEX FD	-295.10	0.00	0.00	0.00	100.0	0.00
10/06/2017	CONCORDE, VARIOUS	ISHARES TR RUSSELL 2000 INDEX FD	149.80	0.00	0.00	0.00	100.0	0.00
10/06/2017	CONCORDE, VARIOUS	ISHARES TR RUSSELL 2000 INDEX FD	299.60	0.00	0.00	0.00	100.0	0.00
10/06/2017	CONCORDE, VARIOUS	ISHARES TR RUSSELL 2000 INDEX FD	-5,392.80	0.00	1.00	-1.00	100.0	-1.00
10/06/2017	CONCORDE, VARIOUS	ISHARES TR RUSSELL 2000 INDEX FD	599.20	0.00	0.00	0.00	100.0	0.00
10/06/2017	CONCORDE, VARIOUS	ISHARES TR RUSSELL 2000 INDEX FD	1,947.40	0.00	0.00	0.00	100.0	0.00
10/06/2017	CONCORDE, VARIOUS	ISHARES TR RUSSELL 2000 INDEX FD	2,396.80	0.00	0.00	0.00	100.0	0.00
09/27/2017	CONCORDE, VARIOUS	ISHARES TR S&P 500 INDEX FD	-19,640.99	0.00	0.00	0.00	100.0	0.00
09/27/2017	CONCORDE, VARIOUS	ISHARES TR S&P 500 INDEX FD	20,900.02	0.00	1.00	-1.00	100.0	-1.00
09/27/2017	CONCORDE, VARIOUS	ISHARES TR S&P 500 INDEX FD	-1,259.04	0.00	0.00	0.00	100.0	0.00
10/06/2017	CONCORDE, VARIOUS	ISHARES TR S&P 500 INDEX FD	511.52	0.00	0.00	0.00	100.0	0.00
10/06/2017	CONCORDE, VARIOUS	ISHARES TR S&P 500 INDEX FD	255.76	0.00	0.00	0.00	100.0	0.00
10/06/2017	CONCORDE, VARIOUS	ISHARES TR S&P 500 INDEX FD	2,046.08	0.00	0.00	0.00	100.0	0.00
10/06/2017	CONCORDE, VARIOUS	ISHARES TR S&P 500 INDEX FD	-14,322.57	0.00	1.00	-1.00	100.0	-1.00
10/06/2017	CONCORDE, VARIOUS	ISHARES TR S&P 500 INDEX FD	4,859.44	0.00	0.00	0.00	100.0	0.00
10/06/2017	CONCORDE, VARIOUS	ISHARES TR S&P 500 INDEX FD	1,278.80	0.00	0.00	0.00	100.0	0.00
10/06/2017	CONCORDE, VARIOUS	ISHARES TR S&P 500 INDEX FD	511.52	0.00	0.00	0.00	100.0	0.00
10/06/2017	CONCORDE, VARIOUS	ISHARES TR S&P 500 INDEX FD	4,347.92	0.00	0.00	0.00	100.0	0.00
10/06/2017	CONCORDE, VARIOUS	ISHARES TR S&P 500 INDEX FD	511.52	0.00	0.00	0.00	100.0	0.00
10/10/2017	CONCORDE, VARIOUS	ISHARES TR S&P 500 INDEX FD	51,211.78	0.00	1.00	-1.00	100.0	-1.00
10/10/2017	CONCORDE, VARIOUS	ISHARES TR S&P 500 INDEX FD	15,875.50	0.00	1.00	-1.00	100.0	-1.00
10/10/2017	CONCORDE, VARIOUS	ISHARES TR S&P 500 INDEX FD	-67,087.27	0.00	0.00	0.00	100.0	0.00
10/04/2017	CONCORDE, VARIOUS	JOHNSON CTLS INTL PLC SHS ISIN#IE00	-14,828.64	0.00	1.00	-1.00	100.0	-1.00
10/04/2017	CONCORDE, VARIOUS	JOHNSON CTLS INTL PLC SHS ISIN#IE00	-12,123.00	0.00	1.00	-1.00	100.0	-1.00

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<u>BROKER TRANSACTIONS</u>								
PRODUCT CATEGORY: STOCKS								
10/04/2017	CONCORDE, VARIOUS	JOHNSON CTLS INTL PLC SHS ISIN#IE00	26,951.67	0.00	0.00	0.00	100.0	0.00
09/27/2017	CONCORDE, VARIOUS	NEW YORK REIT INC COM	10,673.74	0.00	0.00	0.00	100.0	0.00
09/27/2017	CONCORDE, VARIOUS	NEW YORK REIT INC COM	-1,548.18	0.00	1.00	-1.00	100.0	-1.00
09/27/2017	CONCORDE, VARIOUS	NEW YORK REIT INC COM	-1,385.48	0.00	1.00	-1.00	100.0	-1.00
09/27/2017	CONCORDE, VARIOUS	NEW YORK REIT INC COM	-7,740.10	0.00	1.00	-1.00	100.0	-1.00
09/29/2017	CONCORDE, VARIOUS	NEW YORK REIT INC COM	16,861.63	0.00	0.00	0.00	100.0	0.00
09/29/2017	CONCORDE, VARIOUS	NEW YORK REIT INC COM	-4,680.36	0.00	1.00	-1.00	100.0	-1.00
09/29/2017	CONCORDE, VARIOUS	NEW YORK REIT INC COM	-12,181.26	0.00	1.00	-1.00	100.0	-1.00
10/10/2017	CONCORDE, VARIOUS	NEW YORK REIT INC COM	-3,885.40	0.00	1.00	-1.00	100.0	-1.00
10/10/2017	CONCORDE, VARIOUS	NEW YORK REIT INC COM	-8,154.40	0.00	1.00	-1.00	100.0	-1.00
10/10/2017	CONCORDE, VARIOUS	NEW YORK REIT INC COM	12,039.76	0.00	0.00	0.00	100.0	0.00
10/09/2017	CONCORDE, VARIOUS	PITNEY BOWES INC	-920.70	0.00	1.00	-1.00	100.0	-1.00
10/09/2017	CONCORDE, VARIOUS	PITNEY BOWES INC	-4,311.63	0.00	1.00	-1.00	100.0	-1.00
10/09/2017	CONCORDE, VARIOUS	PITNEY BOWES INC	5,232.34	0.00	0.00	0.00	100.0	0.00
09/27/2017	CONCORDE, VARIOUS	POWERSHARES DB COMMODITY INDEX TRAC	-232.77	0.00	0.00	0.00	100.0	0.00
09/27/2017	CONCORDE, VARIOUS	POWERSHARES DB COMMODITY INDEX TRAC	-3,569.12	0.00	0.00	0.00	100.0	0.00
09/27/2017	CONCORDE, VARIOUS	POWERSHARES DB COMMODITY INDEX TRAC	3,801.89	0.00	1.00	-1.00	100.0	-1.00
10/06/2017	CONCORDE, VARIOUS	POWERSHARES DB COMMODITY INDEX TRAC	106.42	0.00	0.00	0.00	100.0	0.00
10/06/2017	CONCORDE, VARIOUS	POWERSHARES DB COMMODITY INDEX TRAC	-212.85	0.00	1.00	-1.00	100.0	-1.00
10/06/2017	CONCORDE, VARIOUS	POWERSHARES DB COMMODITY INDEX TRAC	15.20	0.00	0.00	0.00	100.0	0.00
10/06/2017	CONCORDE, VARIOUS	POWERSHARES DB COMMODITY INDEX TRAC	91.22	0.00	0.00	0.00	100.0	0.00
09/27/2017	CONCORDE, VARIOUS	POWERSHARES EXCHANGE-TRADED FD TR I	-2,541.72	0.00	0.00	0.00	100.0	0.00
09/27/2017	CONCORDE, VARIOUS	POWERSHARES EXCHANGE-TRADED FD TR I	2,703.46	0.00	1.00	-1.00	100.0	-1.00
09/27/2017	CONCORDE, VARIOUS	POWERSHARES EXCHANGE-TRADED FD TR I	-161.75	0.00	0.00	0.00	100.0	0.00
10/06/2017	CONCORDE, VARIOUS	POWERSHARES EXCHANGE-TRADED FD TR I	1,297.32	0.00	1.00	-1.00	100.0	-1.00
10/06/2017	CONCORDE, VARIOUS	POWERSHARES EXCHANGE-TRADED FD TR I	-23.17	0.00	0.00	0.00	100.0	0.00
10/06/2017	CONCORDE, VARIOUS	POWERSHARES EXCHANGE-TRADED FD TR I	-486.50	0.00	0.00	0.00	100.0	0.00
10/06/2017	CONCORDE, VARIOUS	POWERSHARES EXCHANGE-TRADED FD TR I	-23.17	0.00	0.00	0.00	100.0	0.00
10/06/2017	CONCORDE, VARIOUS	POWERSHARES EXCHANGE-TRADED FD TR I	-46.33	0.00	0.00	0.00	100.0	0.00
10/06/2017	CONCORDE, VARIOUS	POWERSHARES EXCHANGE-TRADED FD TR I	-185.33	0.00	0.00	0.00	100.0	0.00
10/06/2017	CONCORDE, VARIOUS	POWERSHARES EXCHANGE-TRADED FD TR I	-23.17	0.00	0.00	0.00	100.0	0.00
10/06/2017	CONCORDE, VARIOUS	POWERSHARES EXCHANGE-TRADED FD TR I	-347.50	0.00	0.00	0.00	100.0	0.00
10/06/2017	CONCORDE, VARIOUS	POWERSHARES EXCHANGE-TRADED FD TR I	-115.83	0.00	0.00	0.00	100.0	0.00

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>BROKER TRANSACTIONS</u>								
PRODUCT CATEGORY: STOCKS								
10/06/2017	CONCORDE, VARIOUS	POWERSHARES EXCHANGE-TRADED FD TR I	-46.33	0.00	0.00	0.00	100.0	0.00
09/27/2017	CONCORDE, VARIOUS	SPDR S&P MIDCAP 400 ETF TR UNIT SER	-8,128.53	0.00	0.00	0.00	100.0	0.00
09/27/2017	CONCORDE, VARIOUS	SPDR S&P MIDCAP 400 ETF TR UNIT SER	-325.14	0.00	0.00	0.00	100.0	0.00
09/27/2017	CONCORDE, VARIOUS	SPDR S&P MIDCAP 400 ETF TR UNIT SER	8,453.67	0.00	1.00	-1.00	100.0	-1.00
10/06/2017	CONCORDE, VARIOUS	SPDR S&P MIDCAP 400 ETF TR UNIT SER	-3,631.54	0.00	1.00	-1.00	100.0	-1.00
10/06/2017	CONCORDE, VARIOUS	SPDR S&P MIDCAP 400 ETF TR UNIT SER	330.14	0.00	0.00	0.00	100.0	0.00
10/06/2017	CONCORDE, VARIOUS	SPDR S&P MIDCAP 400 ETF TR UNIT SER	660.28	0.00	0.00	0.00	100.0	0.00
10/06/2017	CONCORDE, VARIOUS	SPDR S&P MIDCAP 400 ETF TR UNIT SER	1,320.56	0.00	0.00	0.00	100.0	0.00
10/06/2017	CONCORDE, VARIOUS	SPDR S&P MIDCAP 400 ETF TR UNIT SER	1,320.56	0.00	0.00	0.00	100.0	0.00
09/27/2017	CONCORDE, VARIOUS	SPDR SER TR BARCLAYS HIGH YIELD BD	-7,123.63	0.00	0.00	0.00	100.0	0.00
09/27/2017	CONCORDE, VARIOUS	SPDR SER TR BARCLAYS HIGH YIELD BD	-484.85	0.00	0.00	0.00	100.0	0.00
09/27/2017	CONCORDE, VARIOUS	SPDR SER TR BARCLAYS HIGH YIELD BD	7,608.49	0.00	1.00	-1.00	100.0	-1.00
10/06/2017	CONCORDE, VARIOUS	SPDR SER TR BARCLAYS HIGH YIELD BD	-148.68	0.00	0.00	0.00	100.0	0.00
10/06/2017	CONCORDE, VARIOUS	SPDR SER TR BARCLAYS HIGH YIELD BD	-111.51	0.00	0.00	0.00	100.0	0.00
10/06/2017	CONCORDE, VARIOUS	SPDR SER TR BARCLAYS HIGH YIELD BD	-37.17	0.00	0.00	0.00	100.0	0.00
10/06/2017	CONCORDE, VARIOUS	SPDR SER TR BARCLAYS HIGH YIELD BD	-37.17	0.00	0.00	0.00	100.0	0.00
10/06/2017	CONCORDE, VARIOUS	SPDR SER TR BARCLAYS HIGH YIELD BD	408.86	0.00	1.00	-1.00	100.0	-1.00
10/06/2017	CONCORDE, VARIOUS	SPDR SER TR BARCLAYS HIGH YIELD BD	-74.34	0.00	0.00	0.00	100.0	0.00
09/28/2017	CONCORDE, VARIOUS	TIER REIT INC COM NEW	29,431.35	0.00	0.00	0.00	100.0	0.00
09/28/2017	CONCORDE, VARIOUS	TIER REIT INC COM NEW	-3,870.00	0.00	1.00	-1.00	100.0	-1.00
09/28/2017	CONCORDE, VARIOUS	TIER REIT INC COM NEW	-25,561.35	0.00	1.00	-1.00	100.0	-1.00
10/04/2017	CONCORDE, VARIOUS	TIER REIT INC COM NEW	-971.00	0.00	1.00	-1.00	100.0	-1.00
10/04/2017	CONCORDE, VARIOUS	TIER REIT INC COM NEW	-5,817.06	0.00	1.00	-1.00	100.0	-1.00
10/04/2017	CONCORDE, VARIOUS	TIER REIT INC COM NEW	6,788.08	0.00	0.00	0.00	100.0	0.00
10/06/2017	CONCORDE, VARIOUS	UNITED DEV FDG IV	-2,080.00	0.00	1.00	-1.00	100.0	-1.00
10/06/2017	CONCORDE, VARIOUS	UNITED DEV FDG IV	-1,406.08	0.00	1.00	-1.00	100.0	-1.00
10/06/2017	CONCORDE, VARIOUS	UNITED DEV FDG IV	3,486.08	0.00	0.00	0.00	100.0	0.00
10/06/2017	CONCORDE, VARIOUS	VANGUARD CHARLOTTE FDS TOTAL INTL B	-54.47	0.00	0.00	0.00	100.0	0.00
10/06/2017	CONCORDE, VARIOUS	VANGUARD CHARLOTTE FDS TOTAL INTL B	-108.93	0.00	0.00	0.00	100.0	0.00
10/06/2017	CONCORDE, VARIOUS	VANGUARD CHARLOTTE FDS TOTAL INTL B	435.73	0.00	1.00	-1.00	100.0	-1.00
10/06/2017	CONCORDE, VARIOUS	VANGUARD CHARLOTTE FDS TOTAL INTL B	-108.93	0.00	0.00	0.00	100.0	0.00
10/06/2017	CONCORDE, VARIOUS	VANGUARD CHARLOTTE FDS TOTAL INTL B	-163.40	0.00	0.00	0.00	100.0	0.00
09/27/2017	CONCORDE, VARIOUS	VANGUARD INDEX FDS VANGUARD REIT ET	-2,551.30	0.00	0.00	0.00	100.0	0.00

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: STOCKS</u>								
09/27/2017	CONCORDE, VARIOUS	VANGUARD INDEX FDS VANGUARD REIT ET	-164.60	0.00	0.00	0.00	100.0	0.00
09/27/2017	CONCORDE, VARIOUS	VANGUARD INDEX FDS VANGUARD REIT ET	2,715.90	0.00	1.00	-1.00	100.0	-1.00
10/06/2017	CONCORDE, VARIOUS	VANGUARD INDEX FDS VANGUARD REIT ET	-83.10	0.00	0.00	0.00	100.0	0.00
10/06/2017	CONCORDE, VARIOUS	VANGUARD INDEX FDS VANGUARD REIT ET	166.20	0.00	1.00	-1.00	100.0	-1.00
10/06/2017	CONCORDE, VARIOUS	VANGUARD INDEX FDS VANGUARD REIT ET	-83.10	0.00	0.00	0.00	100.0	0.00
09/27/2017	CONCORDE, VARIOUS	VANGUARD INTL EQUITY INDEX FD INC F	-3,451.77	0.00	0.00	0.00	100.0	0.00
09/27/2017	CONCORDE, VARIOUS	VANGUARD INTL EQUITY INDEX FD INC F	36,609.93	0.00	1.00	-1.00	100.0	-1.00
09/27/2017	CONCORDE, VARIOUS	VANGUARD INTL EQUITY INDEX FD INC F	5,229.88	0.00	1.00	-1.00	100.0	-1.00
09/27/2017	CONCORDE, VARIOUS	VANGUARD INTL EQUITY INDEX FD INC F	11,715.00	0.00	1.00	-1.00	100.0	-1.00
09/27/2017	CONCORDE, VARIOUS	VANGUARD INTL EQUITY INDEX FD INC F	-50,103.04	0.00	0.00	0.00	100.0	0.00
09/28/2017	CONCORDE, VARIOUS	VANGUARD INTL EQUITY INDEX FD INC F	-7,597.51	0.00	0.00	0.00	100.0	0.00
09/28/2017	CONCORDE, VARIOUS	VANGUARD INTL EQUITY INDEX FD INC F	2,358.00	0.00	1.00	-1.00	100.0	-1.00
09/28/2017	CONCORDE, VARIOUS	VANGUARD INTL EQUITY INDEX FD INC F	5,239.50	0.00	1.00	-1.00	100.0	-1.00
10/06/2017	CONCORDE, VARIOUS	VANGUARD INTL EQUITY INDEX FD INC F	-316.66	0.00	0.00	0.00	100.0	0.00
10/06/2017	CONCORDE, VARIOUS	VANGUARD INTL EQUITY INDEX FD INC F	16,519.04	0.00	1.00	-1.00	100.0	-1.00
10/06/2017	CONCORDE, VARIOUS	VANGUARD INTL EQUITY INDEX FD INC F	-4,644.33	0.00	0.00	0.00	100.0	0.00
10/06/2017	CONCORDE, VARIOUS	VANGUARD INTL EQUITY INDEX FD INC F	-6,544.29	0.00	0.00	0.00	100.0	0.00
10/06/2017	CONCORDE, VARIOUS	VANGUARD INTL EQUITY INDEX FD INC F	-1,899.95	0.00	0.00	0.00	100.0	0.00
10/06/2017	CONCORDE, VARIOUS	VANGUARD INTL EQUITY INDEX FD INC F	-369.44	0.00	0.00	0.00	100.0	0.00
10/06/2017	CONCORDE, VARIOUS	VANGUARD INTL EQUITY INDEX FD INC F	-369.44	0.00	0.00	0.00	100.0	0.00
10/06/2017	CONCORDE, VARIOUS	VANGUARD INTL EQUITY INDEX FD INC F	-263.88	0.00	0.00	0.00	100.0	0.00
10/06/2017	CONCORDE, VARIOUS	VANGUARD INTL EQUITY INDEX FD INC F	-1,636.07	0.00	0.00	0.00	100.0	0.00
10/06/2017	CONCORDE, VARIOUS	VANGUARD INTL EQUITY INDEX FD INC F	-474.99	0.00	0.00	0.00	100.0	0.00
10/10/2017	CONCORDE, VARIOUS	VANGUARD INTL EQUITY INDEX FDS MSCI	4,500.06	0.00	1.00	-1.00	100.0	-1.00
10/10/2017	CONCORDE, VARIOUS	VANGUARD INTL EQUITY INDEX FDS MSCI	8,911.00	0.00	1.00	-1.00	100.0	-1.00
10/10/2017	CONCORDE, VARIOUS	VANGUARD INTL EQUITY INDEX FDS MSCI	-13,411.06	0.00	0.00	0.00	100.0	0.00
* STOCKS SUBTOTAL *			\$-0.04	\$0.00	\$66.00	\$-66.00		\$-66.00
<u>PRODUCT CATEGORY: BONDS</u>								
09/07/2017	CONCORDE IS	***ROYAL BANK OF CANADA	8,407.00	0.00	0.00	0.00	100.0	0.00
09/07/2017	CONCORDE IS	***ROYAL BANK OF CANADA	8,435.00	0.00	0.00	0.00	100.0	0.00
09/11/2017	CONCORDE, VARIOUS	HSBC USA INC NEW SR IDX ZRO	9,230.08	0.00	0.00	0.00	100.0	0.00
09/11/2017	CONCORDE, VARIOUS	HSBC USA INC NEW SR IDX ZRO	9,230.08	0.00	0.00	0.00	100.0	0.00
* BONDS SUBTOTAL *			\$35,302.16	\$0.00	\$0.00	\$0.00		\$0.00

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: VARIABLE ANNUITIES</u>								
09/30/2017	LUND, VARIOUS	ING RELIASTAR	0.00	14.50	0.00	14.50	100.0	14.50
10/04/2017	LUND, VARIOUS	ING RELIASTAR	0.00	193.25	0.00	193.25	100.0	193.25
09/29/2017	LI, YUAN	HARTFORD LEADERS ILA	44,165.97	27.60	0.00	27.60	100.0	27.60
09/29/2017	PIROZZO, KATHLEEN	HARTFORD LEADERS OUTLOOK	34,323.78	85.81	0.00	85.81	100.0	85.81
09/29/2017	PIROZZO, PETER	HARTFORD LEADERS PLUS	147,803.72	92.38	0.00	92.38	100.0	92.38
09/29/2017	WHITE, CATHLEEN	HARTFORD LEADERS PLUS	22,408.27	14.01	0.00	14.01	100.0	14.01
09/29/2017	HUGGINS, STEVE	HARTFORD LIFE DIRECTOR 8	25,739.58	16.09	0.00	16.09	100.0	16.09
09/30/2017	GULA, LAVON	JNL ELITE ANNUAL RESET INDEX	415,167.01	259.48	0.00	259.48	100.0	259.48
09/30/2017	PEEK, EUNICE	JOHN HANCOCK VANTAGE	15,313.06	3.19	0.00	3.19	100.0	3.19
09/30/2017	PEEK LI, VASSIE	JOHN HANCOCK VENTURE III	18,904.21	15.75	0.00	15.75	100.0	15.75
09/22/2017	MOXON, HAROLD	OHIO NATL ONCORE PREMIER	22,338.54	55.85	0.00	55.85	100.0	55.85
09/28/2017	HALES, WILLIAM	PAC LIFE INNOVATIVE SELECT	0.00	71.66	0.00	71.66	100.0	71.66
09/25/2017	WEST, JERRY	PAC LIFE ONE	0.00	15.45	0.00	15.45	100.0	15.45
09/30/2017	LI, WEIXING	PRU AS ADVISOR PLAN - 1993	53,089.31	33.18	0.00	33.18	100.0	33.18
09/30/2017	LANE, JOAN	PRU AS APEX II	26,394.43	65.99	0.00	65.99	100.0	65.99
09/30/2017	LANE, JOAN	PRU AS APEX II	26,394.43	16.50	0.00	16.50	100.0	16.50
09/30/2017	DAILEY, SUZANNE	PRU AS APEX II	17,859.60	11.16	0.00	11.16	100.0	11.16
09/30/2017	DAILEY, SUZANNE	PRU AS APEX II	17,859.60	44.65	0.00	44.65	100.0	44.65
09/30/2017	BOOTS, ROBERTA	PRU AS APEX II	21,108.50	13.19	0.00	13.19	100.0	13.19
09/30/2017	BOOTS, ROBERTA	PRU AS APEX II	21,108.50	39.58	0.00	39.58	100.0	39.58
09/30/2017	DUSSEAU, KEITH	PRU AS APEX II	8,727.58	5.45	0.00	5.45	100.0	5.45
09/30/2017	DUSSEAU, KEITH	PRU AS APEX II	8,727.58	21.82	0.00	21.82	100.0	21.82
09/30/2017	GUINN, MARGARET	PRU AS LIFEVEST II	48,786.89	30.49	0.00	30.49	100.0	30.49
09/30/2017	GUINN, MARGARET	PRU AS LIFEVEST II	48,786.89	91.48	0.00	91.48	100.0	91.48
09/30/2017	HARTONG CR TRUST	PRU AS XTRA CREDIT	71,759.37	44.85	0.00	44.85	100.0	44.85
09/30/2017	GREENE, DAVID	PRU AS XTRA CREDIT	27,702.19	17.31	0.00	17.31	100.0	17.31
09/30/2017	SHELTON, PAUL	PRU AS XTRA CREDIT SIX	15,575.05	9.73	0.00	9.73	100.0	9.73
09/30/2017	MORSE, MARK	PRU AS XTRA CREDIT SIX	24,081.55	15.05	0.00	15.05	100.0	15.05
09/30/2017	SCHRITZ, BRYAN	PRU AS XTRA CREDIT SIX	37,613.95	23.51	0.00	23.51	100.0	23.51
09/30/2017	MCDONALD, CRAIG	PRU AS XTRA CREDIT VI	16,056.01	10.04	0.00	10.04	100.0	10.04
09/30/2017	HIGLEY, LIN	PRU DEFINED INCOME	285,535.26	713.84	0.00	713.84	100.0	713.84
09/30/2017	TAMER, FIDAA	PRU PREMIER INVT A	13,389.11	10.04	0.00	10.04	100.0	10.04
09/30/2017	LORENCZ, MARY	PRU PREMIER INVT A	22,714.47	17.04	0.00	17.04	100.0	17.04

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: VARIABLE ANNUITIES</u>								
09/30/2017	MITCHELL, JAMES	PRU PREMIER INVT A	61,144.32	45.86	0.00	45.86	100.0	45.86
09/25/2017	THOMAS, JILLIAN	PRU PREMIER RETIREMENT B	150.00	10.50	0.00	10.50	100.0	10.50
09/30/2017	COOPER, FRANK	PRU PREMIER RETIREMENT B	71,954.65	44.97	0.00	44.97	100.0	44.97
09/30/2017	ANNONI, LINDA	PRU PREMIER RETIREMENT B	46,127.38	28.83	0.00	28.83	100.0	28.83
09/30/2017	THURM, ANITA	PRU PREMIER RETIREMENT B	106,325.71	66.45	0.00	66.45	100.0	66.45
09/30/2017	ALBERT, ALLISON	PRU PREMIER RETIREMENT B	5,739.85	3.59	0.00	3.59	100.0	3.59
09/30/2017	SEMENIK, EMILY	PRU PREMIER RETIREMENT B	170,096.38	106.31	0.00	106.31	100.0	106.31
09/30/2017	SCHECK, VICTORIA	PRU PREMIER RETIREMENT B	29,487.68	18.43	0.00	18.43	100.0	18.43
09/30/2017	SEMENIK, JOHN	PRU PREMIER RETIREMENT B	81,534.10	50.96	0.00	50.96	100.0	50.96
09/30/2017	JENSEN, DANIEL	PRU PREMIER RETIREMENT L	3,451.47	8.63	0.00	8.63	100.0	8.63
09/30/2017	GAVIN, LINDA	PRU PREMIER RETIREMENT L	127,986.28	319.97	0.00	319.97	100.0	319.97
09/30/2017	GAVIN, GARY	PRU PREMIER RETIREMENT L	129,244.21	323.11	0.00	323.11	100.0	323.11
09/30/2017	REA, DIANA	PRU PREMIER RETIREMENT L	104,569.41	261.42	0.00	261.42	100.0	261.42
09/30/2017	PERSCHKE, WILMA	PRU PREMIER RETIREMENT L	120,385.65	300.96	0.00	300.96	100.0	300.96
09/30/2017	BACHTELL, JAMES	PRU PREMIER RETIREMENT X	33,978.12	21.24	0.00	21.24	100.0	21.24
09/28/2017	RIDDLEBARGE, DAWN	SBL ADVISOR PROGRAM	798.49	0.16	0.00	0.16	100.0	0.16
09/28/2017	BURNSIDE, SHARON	SBL ADVISOR PROGRAM	10,300.57	2.14	0.00	2.14	100.0	2.14
09/28/2017	LOOMIS, CATHERINE	SBL ADVISOR PROGRAM	5,090.72	1.07	0.00	1.07	100.0	1.07
09/02/2017	MCALLISTER, JEAN	TRANSAMERICA EXTRA	99,512.31	82.93	0.00	82.93	100.0	82.93
09/04/2017	BELTRAN, RANDOLPH	TRANSAMERICA EXTRA	110,778.37	92.32	0.00	92.32	100.0	92.32
09/27/2017	LEONARD, NITA	TRANSAMERICA EXTRA	48,585.15	40.49	0.00	40.49	100.0	40.49
09/12/2017	WILLIAMS, JESSIE	TRANSAMERICA LIBERTY	68,897.68	57.41	0.00	57.41	100.0	57.41
09/13/2017	MOORE, WILLIAM	TRANSAMERICA LIBERTY	9,999.17	8.33	0.00	8.33	100.0	8.33
09/24/2017	MORRISON, BARRETT	TRANSAMERICA PRINCIPIUM	79,468.69	66.22	0.00	66.22	100.0	66.22
* VARIABLE ANNUITIES SUBTOTAL *			\$3,085,040.77	\$4,062.22	\$0.00	\$4,062.22		\$4,062.22
<u>PRODUCT CATEGORY: CERTIFICATES OF DEPOSIT</u>								
09/25/2017	CONCORDE, VARIOUS	HSBC BANK USA NA	5,450.00	0.00	0.00	0.00	100.0	0.00
09/25/2017	CONCORDE, VARIOUS	HSBC BANK USA NA	5,450.00	0.00	0.00	0.00	100.0	0.00
* CERTIFICATES OF DEPOSIT SUBTOTAL *			\$10,900.00	\$0.00	\$0.00	\$0.00		\$0.00
<u>PRODUCT CATEGORY: UNIT INVESTMENT TRUSTS</u>								
10/09/2017	CONCORDE, VARIOUS	FT UNIT 6783 U.S. INFRASTRUCTURE PO	-16,502.39	0.00	17.50	-17.50	100.0	-17.50
10/09/2017	CONCORDE, VARIOUS	FT UNIT 6783 U.S. INFRASTRUCTURE PO	16,172.40	0.00	17.50	-17.50	100.0	-17.50

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: UNIT INVESTMENT TRUSTS</u>								
10/09/2017	CONCORDE, VARIOUS	FT UNIT 6846 CAP STRENGTH PORTFOLIO	16,662.62	0.00	17.50	-17.50	100.0	-17.50
10/09/2017	CONCORDE, VARIOUS	FT UNIT 6846 CAP STRENGTH PORTFOLIO	-17,002.69	0.00	17.50	-17.50	100.0	-17.50
10/09/2017	CONCORDE, VARIOUS	FT UNIT 6926 EMERGING MARKETS STREN	-16,508.33	0.00	17.50	-17.50	100.0	-17.50
10/09/2017	CONCORDE, VARIOUS	FT UNIT 6926 EMERGING MARKETS STREN	16,178.19	0.00	17.50	-17.50	100.0	-17.50
* UNIT INVESTMENT TRUSTS SUBTOTAL *			\$-1,000.20	\$0.00	\$105.00	\$-105.00		\$-105.00
<u>PRODUCT CATEGORY: VARIABLE UNIVERSAL LIFE</u>								
09/22/2017	GOVE, VARIOUS	PAC LIFE VUL	0.00	2.96	0.00	2.96	100.0	2.96
09/22/2017	GOVE, VARIOUS	PAC LIFE VUL	0.00	0.14	0.00	0.14	100.0	0.14
09/29/2017	GOVE, VARIOUS	PAC LIFE VUL	0.00	15.50	0.00	15.50	100.0	15.50
09/29/2017	GOVE, VARIOUS	PAC LIFE VUL	0.00	3.10	0.00	3.10	100.0	3.10
* VARIABLE UNIVERSAL LIFE SUBTOTAL *			\$0.00	\$21.70	\$0.00	\$21.70		\$21.70
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
09/18/2017	WHITING, DENISE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.85	0.00	0.85	100.0	0.85
09/18/2017	WHITING, DENISE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.42	0.00	0.42	100.0	0.42
09/18/2017	WHITING, DENISE	AM FUNDS NEW PERSPECTIVE A	0.00	1.98	0.00	1.98	100.0	1.98
09/14/2017	LOHR, KIMBERLY	FRANKLIN INCOME A	0.00	0.01	0.00	0.01	100.0	0.01
09/14/2017	MCCORKLE, ERIC	FT FOUNDING FDS ALLOC C	0.00	1.59	0.00	1.59	100.0	1.59
09/26/2017	RENEE TRUST (NEWTON), BEVERLY	SARATOGA/JAMES FUND TRAILS	0.00	0.36	0.00	0.36	100.0	0.36
09/26/2017	TWEED, VARIOUS	SARATOGA/JAMES FUND TRAILS	0.00	2.59	0.00	2.59	100.0	2.59
08/31/2017	ARRINGTON, VARIOUS	VOYA TRAILS	0.00	3.01	0.00	3.01	100.0	3.01
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *			\$0.00	\$10.81	\$0.00	\$10.81		\$10.81
<u>PRODUCT CATEGORY: VARIABLE ANNUITY 12B1 TRAILS</u>								
09/30/2017	LUND, VARIOUS	ING RELIASTAR	0.00	524.88	0.00	524.88	100.0	524.88
09/17/2017	WALSH, JAMES	ING PREMIUM PLUS	0.00	78.39	0.00	78.39	100.0	78.39
09/28/2017	LIGON, NANCY	LANDMARK 2002	0.00	131.25	0.00	131.25	100.0	131.25
* VARIABLE ANNUITY 12B1 TRAILS SUBTOTAL *			\$0.00	\$734.52	\$0.00	\$734.52		\$734.52
*** BROKER TRANSACTIONS TOTAL ***			\$3,130,155.94	\$4,995.41	\$171.00	\$4,824.41		\$4,817.96

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<u> OVERRIDE TRANSACTIONS </u>								
<u> BROKER: ACCOUNT HOUSE #1 </u>								
10/02/2017	DURR, LORENA	AM FUNDS 2030 TARGET DATE-A	100.00	4.25	0.00	4.25	100.0	4.25
09/28/2017	SOLORIO, ROQUE	AM FUNDS AMERICAN BALANCED 529A	125.00	5.31	0.00	5.31	100.0	5.31
10/02/2017	BUI, VIVIAN	AM FUNDS AMERICAN BALANCED 529A	100.00	3.75	0.00	3.75	100.0	3.75
10/02/2017	BUI, VIVIAN	AM FUNDS AMERICAN BALANCED 529A	100.00	3.75	0.00	3.75	100.0	3.75
10/02/2017	RAINONE, TRISTINA DAWN	AM FUNDS AMERICAN BALANCED 529A	100.00	4.25	0.00	4.25	100.0	4.25
10/02/2017	RAINONE, MICHAEL	AM FUNDS AMERICAN BALANCED 529A	100.00	4.25	0.00	4.25	100.0	4.25
10/02/2017	COLE, PAUL	AM FUNDS AMERICAN BALANCED A	250.00	9.38	0.00	9.38	100.0	9.38
10/02/2017	BUI, VIVIAN	AM FUNDS AMERICAN BALANCED A	100.00	3.75	0.00	3.75	100.0	3.75
10/06/2017	SAGGAR, VADEESH	AM FUNDS AMERICAN BALANCED A	50.00	2.50	0.00	2.50	100.0	2.50
10/02/2017	BOOTZ, MATTHEW	AM FUNDS AMERICAN MUTUAL A	50.00	2.50	0.00	2.50	100.0	2.50
10/02/2017	RAMIREZ, MARCOS	AM FUNDS CAPITAL INCOME BUILDER 529	150.00	6.38	0.00	6.38	100.0	6.38
10/02/2017	CESARE, MARIA	AM FUNDS CAPITAL INCOME BUILDER A	525.00	19.69	0.00	19.69	100.0	19.69
10/02/2017	DANG, DIEM CHAU LUONG	AM FUNDS CAPITAL INCOME BUILDER A	100.00	5.00	0.00	5.00	100.0	5.00
10/05/2017	COX, DEBORAH	AM FUNDS CAPITAL INCOME BUILDER A	75.00	3.75	0.00	3.75	100.0	3.75
09/28/2017	GREEN, WILLIAM	AM FUNDS COLLEGE 2030 FUND 529A	50.00	1.75	0.00	1.75	100.0	1.75
10/02/2017	STUMP, DAVID	AM FUNDS EUROPACIFIC GROWTH FUND A	50.00	2.50	0.00	2.50	100.0	2.50
10/06/2017	HO, PAULINA	AM FUNDS GROWTH AND INCOME C	200.00	2.00	0.00	2.00	100.0	2.00
09/28/2017	COHEN, LORI PIERCE-	AM FUNDS GROWTH FUND OF AMERICA 529	100.00	1.00	0.00	1.00	100.0	1.00
10/02/2017	SAM, WINGO	AM FUNDS GROWTH FUND OF AMERICA A	150.00	5.63	0.00	5.63	100.0	5.63
10/02/2017	STUMP, DAVID	AM FUNDS GROWTH FUND OF AMERICA A	50.00	2.50	0.00	2.50	100.0	2.50
09/25/2017	PRATUS, LINDSEY	AM FUNDS GROWTH FUND OF AMERICA C	150.00	1.50	0.00	1.50	100.0	1.50
09/25/2017	PRATUS, LINDSEY	AM FUNDS ICA C	150.00	1.50	0.00	1.50	100.0	1.50
10/06/2017	HO, PAULINA	AM FUNDS INCOME PORTFOLIO C	200.00	2.00	0.00	2.00	100.0	2.00
10/05/2017	AGUILAR, JOSE	AM FUNDS NEW ECONOMY 529A	50.00	2.50	0.00	2.50	100.0	2.50
09/28/2017	COHEN, LORI PIERCE-	AM FUNDS NEW PERSPECTIVE 529C	100.00	1.00	0.00	1.00	100.0	1.00
10/05/2017	COX, DEBORAH	AM FUNDS SMALLCAP WORLD A	75.00	3.75	0.00	3.75	100.0	3.75
10/06/2017	SAGGAR, VADEESH	AM FUNDS SMALLCAP WORLD A	100.00	5.00	0.00	5.00	100.0	5.00
 * ACCOUNT HOUSE SUBTOTAL *			\$3,350.00	\$111.14	\$0.00	\$111.14		\$111.14
<u> BROKER: DANIEL WOLF #11 </u>								
09/26/2017	CARIGNAN, NANCY	MML CM LIFE VUL	53,062.56	6.63	0.00	6.63	0.0	6.63
09/30/2017	MARTIN, RONALD	NW DESTINATION B2 05	17,929.63	33.62	0.00	33.62	0.0	33.62
09/30/2017	CARIGNAN, JAMES	NW DESTINATION B2 05	188,200.03	352.88	0.00	352.88	0.0	352.88
 * DANIEL WOLF SUBTOTAL *			\$259,192.22	\$393.13	\$0.00	\$393.13		\$393.13

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<u> OVERRIDE TRANSACTIONS </u>								
<u> BROKER: EDWARD MCMANUS #25 </u>								
09/29/2017	GRIBBLE, MARGARET	ALLIANZ VISION BASIC	27,320.15	68.30	0.00	68.30	0.0	68.30
09/30/2017	KINCAID, LINDA	NATIONWIDE MARKETFLEX BB	40,698.91	25.44	0.00	25.44	0.0	25.44
10/02/2017	COLVARD, DAVID	PUTNAM EUROPE EQUITY A	0.00	0.26	0.00	0.26	0.0	0.26
10/02/2017	COLVARD, DAVID	PUTNAM GLOBAL EQUITY A	0.00	0.04	0.00	0.04	0.0	0.04
10/02/2017	COLVARD, DAVID	PUTNAM INTERNATIONAL EQUITY-A	0.00	0.17	0.00	0.17	0.0	0.17
10/02/2017	COLVARD, DAVID	PUTNAM MULTI CAP GROWTH A	0.00	0.45	0.00	0.45	0.0	0.45
* EDWARD MCMANUS SUBTOTAL *			\$68,019.06	\$94.66	\$0.00	\$94.66		\$94.66
<u> BROKER: STEPHEN WHITING #26 </u>								
10/06/2017	ADAMS, RHONDA	UNITED DEV FDG IV	-3,486.08	22.00	23.26	-1.26	0.0	-1.26
* STEPHEN WHITING SUBTOTAL *			\$-3,486.08	\$22.00	\$23.26	\$-1.26		\$-1.26
<u> BROKER: ERIC HORNYAK #29 </u>								
09/12/2017	JOHNS, JOHN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	26.88	0.00	26.88	0.0	26.88
09/12/2017	GELOW, RENEE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.60	0.00	0.60	0.0	0.60
09/12/2017	GELOW, RENEE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.53	0.00	0.53	0.0	0.53
09/12/2017	CAUL, JEFFREY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.42	0.00	0.42	0.0	0.42
09/12/2017	PALFFY, CARLA	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	4.52	0.00	4.52	0.0	4.52
09/12/2017	CAUL, JEFFREY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.68	0.00	0.68	0.0	0.68
09/12/2017	JOHNS, JOHN	AM FUNDS INCOME FUND OF AMERICA A	0.00	13.64	0.00	13.64	0.0	13.64
09/12/2017	JOHNS, JOHN	BLK GLOBAL ALLOCATION A	0.00	1.36	0.00	1.36	0.0	1.36
/ /	CROSSFIRE GROUP Q3AM	BLK HEALTH SCIENCES A	0.00	0.28	0.00	0.28	0.0	0.28
08/31/2017	MARSHALL, ANGELA	BLK MODERATE PTF A	0.00	1.05	0.00	1.05	0.0	1.05
08/31/2017	MARSHALL, ANGELA	BLK MODERATE PTF A	0.00	0.20	0.00	0.20	0.0	0.20
09/12/2017	HOWARD, JAMES	FT TEMPLETON GLOBAL OPP TRUST C	0.00	25.85	0.00	25.85	0.0	25.85
/ /	CAUL, JEFFREY	JH 529 PORT 2021-2024 A	0.00	0.55	0.00	0.55	0.0	0.55
09/12/2017	HOWARD, JAMES	TRANSAMERICA MULTI-MANAGED BAL C	0.00	28.14	0.00	28.14	0.0	28.14
09/12/2017	SIELSKI, OLA	TRANSAMERICA SHORT-TERM BOND C	0.00	9.22	0.00	9.22	0.0	9.22
09/12/2017	HOWARD, JAMES	TRANSAMERICA SHORT-TERM BOND C	0.00	21.96	0.00	21.96	0.0	21.96
* ERIC HORNYAK SUBTOTAL *			\$0.00	\$135.88	\$0.00	\$135.88		\$135.88
<u> BROKER: THOMAS BOAKS #33 </u>								
08/31/2017	WITT-AMANS	BLK GLOBAL ALLOCATION A	0.00	0.33	0.00	0.33	0.0	0.33
08/31/2017	SKIBA, TODD	BLK GLOBAL ALLOCATION A	0.00	6.45	0.00	6.45	0.0	6.45
08/31/2017	PITTE, JOELA	BLK GLOBAL ALLOCATION A	0.00	2.19	0.00	2.19	0.0	2.19

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<u> OVERRIDE TRANSACTIONS </u>								
<u> BROKER: TIMOTHY BROWN #36 </u>								
		* THOMAS BOAKS SUBTOTAL *	\$0.00	\$8.97	\$0.00	\$8.97		\$8.97
<u> BROKER: TIMOTHY BROWN #36 </u>								
/ /	APPLEBY, SCOTT	PROFUNDS ULTRANASDAQ 100 SVC	0.00	2.67	0.00	2.67	0.0	2.67
/ /	APPLEBY, SCOTT	PROFUNDS ULTRANASDAQ 100 SVC	0.00	8.00	0.00	8.00	0.0	8.00
		* TIMOTHY BROWN SUBTOTAL *	\$0.00	\$10.67	\$0.00	\$10.67		\$10.67
<u> BROKER: BRUCE BAXTER #38 </u>								
09/27/2017	GOLSCH, INVESTMENT LTD	ING ACCESS	0.00	54.11	0.00	54.11	0.0	54.11
10/02/2017	BROWN, IAN	MFS AGGRESSIVE GROWTH ALLOCATION A	100.00	5.00	0.00	5.00	0.0	5.00
/ /	GOLSCH, LORI	PROFUNDS RISING RATES SVC	0.00	0.01	0.00	0.01	0.0	0.01
/ /	GEIGER, JACQUELYN	PROFUNDS RISING RATES SVC	0.00	0.02	0.00	0.02	0.0	0.02
/ /	DENNIS, MARK	PROFUNDS RISING RATES SVC	0.00	0.01	0.00	0.01	0.0	0.01
/ /	GOLSCH, LORI	PROFUNDS RISING RATES SVC	0.00	0.02	0.00	0.02	0.0	0.02
/ /	GEIGER, JACQUELYN	PROFUNDS RISING RATES SVC	0.00	0.07	0.00	0.07	0.0	0.07
/ /	DENNIS, MARK	PROFUNDS ULTRA SMALLCAP SVC	0.00	0.05	0.00	0.05	0.0	0.05
/ /	BAXTER, MEGAN	PROFUNDS ULTRA SMALLCAP SVC	0.00	0.01	0.00	0.01	0.0	0.01
/ /	GOLSCH, LORI	PROFUNDS ULTRA SMALLCAP SVC	0.00	0.08	0.00	0.08	0.0	0.08
/ /	GEIGER, JACQUELYN	PROFUNDS ULTRA SMALLCAP SVC	0.00	0.25	0.00	0.25	0.0	0.25
/ /	DENNIS, MARK	PROFUNDS ULTRA SMALLCAP SVC	0.00	0.14	0.00	0.14	0.0	0.14
/ /	BAXTER, MEGAN	PROFUNDS ULTRA SMALLCAP SVC	0.00	0.03	0.00	0.03	0.0	0.03
/ /	GOLSCH, LORI	PROFUNDS ULTRA SMALLCAP SVC	0.00	0.25	0.00	0.25	0.0	0.25
/ /	GEIGER, JACQUELYN	PROFUNDS ULTRA SMALLCAP SVC	0.00	0.75	0.00	0.75	0.0	0.75
/ /	HUFFMAN, JUSTIN	PROFUNDS ULTRANASDAQ 100 SVC	0.00	7.25	0.00	7.25	0.0	7.25
/ /	HUFFMAN, JUSTIN	PROFUNDS ULTRANASDAQ 100 SVC	0.00	21.75	0.00	21.75	0.0	21.75
/ /	DENNIS, MARK	PROFUNDS ULTRASHORT SMALLCAP SVC	0.00	0.01	0.00	0.01	0.0	0.01
/ /	GOLSCH, LORI	PROFUNDS ULTRASHORT SMALLCAP SVC	0.00	0.02	0.00	0.02	0.0	0.02
/ /	GEIGER, JACQUELYN	PROFUNDS ULTRASHORT SMALLCAP SVC	0.00	0.05	0.00	0.05	0.0	0.05
/ /	DENNIS, MARK	PROFUNDS ULTRASHORT SMALLCAP SVC	0.00	0.03	0.00	0.03	0.0	0.03
/ /	BAXTER, MEGAN	PROFUNDS ULTRASHORT SMALLCAP SVC	0.00	0.01	0.00	0.01	0.0	0.01
/ /	GOLSCH, LORI	PROFUNDS ULTRASHORT SMALLCAP SVC	0.00	0.05	0.00	0.05	0.0	0.05
/ /	GEIGER, JACQUELYN	PROFUNDS ULTRASHORT SMALLCAP SVC	0.00	0.16	0.00	0.16	0.0	0.16
09/30/2017	KNEPPER, MAX	PRU AS ADVISOR PLAN III	26,972.28	16.86	0.00	16.86	0.0	16.86
09/30/2017	KNEPPER, MAX	PRU AS ADVISOR PLAN III	26,972.28	16.86	0.00	16.86	0.0	16.86

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<u> OVERRIDE TRANSACTIONS </u>								
<u> BROKER: BRUCE BAXTER #38 </u>								
09/30/2017	QUELETTE, KAREN	PRU AS XTRA CREDIT SIX	71,919.45	44.95	0.00	44.95	0.0	44.95
09/30/2017	QUELETTE, KAREN	PRU AS XTRA CREDIT SIX	71,919.45	44.95	0.00	44.95	0.0	44.95
09/30/2017	MCGINNIS, KATHLEEN	PRU AS XTRA CREDIT SIX	221,039.56	138.15	0.00	138.15	0.0	138.15
09/30/2017	BUCKEYE, ALEN	PRU AS XTRA CREDIT SIX	62,616.21	39.14	0.00	39.14	0.0	39.14
09/30/2017	GORDON, DAVID	PRU AS XTRA CREDIT SIX	459,231.94	287.02	0.00	287.02	0.0	287.02
09/28/2017	STAMBAUGH, GARY	SBL ADVISORDESIGNS VA	15,685.39	5.88	0.00	5.88	0.0	5.88
09/28/2017	BAXTER, VARIOUS	TRANSAMERICA LIFE	0.00	945.71	0.00	945.71	0.0	945.71
* BRUCE BAXTER SUBTOTAL *			\$956,456.56	\$1,629.65	\$0.00	\$1,629.65		\$1,629.65
<u> BROKER: MELANIE DICENSO #43 </u>								
/ /	BROTH, KRISTEN	FIDELITY GROWTH & INCOME A	0.00	1.04	0.00	1.04	0.0	1.04
10/03/2017	DAYTON, ROBERT	PIONEER FUND A	0.00	0.85	0.00	0.85	0.0	0.85
10/02/2017	JOSEPH, CATHERINE	PUTNAM EUROPE EQUITY A	0.00	0.10	0.00	0.10	0.0	0.10
10/02/2017	JOSEPH, CATHERINE	PUTNAM GROWTH OPP A	0.00	0.35	0.00	0.35	0.0	0.35
10/02/2017	JOSEPH, CATHERINE	PUTNAM INTERNATIONAL EQUITY-A	0.00	0.16	0.00	0.16	0.0	0.16
10/02/2017	WRIGHT, ANGELA	PUTNAM MULTI CAP GROWTH A	0.00	20.55	0.00	20.55	0.0	20.55
10/02/2017	JOSEPH, CATHERINE	PUTNAM MULTI CAP GROWTH A	0.00	0.05	0.00	0.05	0.0	0.05
10/02/2017	WRIGHT, ANGELA	PUTNAM MULTI-CAP VALUE A	0.00	4.00	0.00	4.00	0.0	4.00
09/26/2017	COLE, SUSAN	SBL ADVISOR PROGRAM	50.00	2.00	0.00	2.00	0.0	2.00
09/28/2017	COLE, SUSAN	SBL ADVISOR PROGRAM	16,890.11	3.52	0.00	3.52	0.0	3.52
* MELANIE DICENSO SUBTOTAL *			\$16,940.11	\$32.62	\$0.00	\$32.62		\$32.62
<u> BROKER: JOHN BEAN #45 </u>								
09/29/2017	ENRIGHT, MYRA	MINNESOTA LIFE MULTIOPTION ADV B	459,574.04	1,148.94	0.00	1,148.94	0.0	1,148.94
09/30/2017	MAST, DEBORAH	NATIONWIDE DESTINATION L2 01	97,038.41	242.60	0.00	242.60	0.0	242.60
* JOHN BEAN SUBTOTAL *			\$556,612.45	\$1,391.54	\$0.00	\$1,391.54		\$1,391.54
<u> BROKER: ROBERT (RUSTY) TWEED #58 </u>								
09/29/2017	BURTON, MIKE	AXA ACCUM 04 ELITE (RO IRA)	55,640.67	173.88	0.00	173.88	0.0	173.88
09/29/2017	BURTON, CATHERINE	AXA ACCUM 04 ELITE (RO IRA)	46,142.61	144.20	0.00	144.20	0.0	144.20
09/29/2017	BRANIK, ROBERT	AXA ACCUM 04 ELITE (RO IRA)	17,524.25	54.76	0.00	54.76	0.0	54.76
09/29/2017	CRAIG, WILMA	AXA ACCUM 04 ELITE (RO IRA)	115,597.83	361.24	0.00	361.24	0.0	361.24
09/29/2017	CLARK, JEAN MARIE	AXA ACCUM 07 ELITE (RO IRA)	11,892.74	29.73	0.00	29.73	0.0	29.73
09/30/2017	ZAX TRUST	JNL PERSPECTIVE	378.51	0.08	0.00	0.08	0.0	0.08
09/30/2017	STEPHENSON, STAR	JNL PERSPECTIVE II 04/14	8,702.26	3.63	0.00	3.63	0.0	3.63

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<u> OVERRIDE TRANSACTIONS </u>								
<u> BROKER: ROBERT (RUSTY) TWEED #58 </u>								
09/30/2017	ANDERSON, DAVID LEE	JNL PERSPECTIVE L	61,633.62	66.77	0.00	66.77	0.0	66.77
09/30/2017	WHITE, LINDA	JNL PERSPECTIVE L	77,238.83	64.37	0.00	64.37	0.0	64.37
09/30/2017	ENGSTROM, WAYNE	JNL PERSPECTIVE L	34,345.90	28.62	0.00	28.62	0.0	28.62
09/30/2017	AMIGLEO, MICHELLE	JNL PERSPECTIVE L	15,670.58	13.06	0.00	13.06	0.0	13.06
10/03/2017	MYERS, BARBARA	PIONEER EQUITY INCOME A	0.00	3.70	0.00	3.70	0.0	3.70
10/03/2017	MYERS, BARBARA	PIONEER MID CAP VALUE A	0.00	0.71	0.00	0.71	0.0	0.71
10/03/2017	ENGSTROM, NOAH	TRANSAMERICA MORGAN STANLEY GRTH OP	0.00	4.56	0.00	4.56	0.0	4.56
 * ROBERT (RUSTY) TWEED SUBTOTAL * 			\$444,767.80	\$949.31	\$0.00	\$949.31		\$949.31
<u> BROKER: JIM LUND #60 </u>								
09/29/2017	DOBBINS, BARBARA	AXA RETIREMENT CORNERSTONE 13 B	109,815.30	68.63	0.00	68.63	0.0	68.63
09/29/2017	HAIGH, PEGGY	AXA RETIREMENT CORNERSTONE 13 B	94,508.32	59.07	0.00	59.07	0.0	59.07
/ /	BARBOUR, ELEANOR	FA 529 PORT 2016 C	0.00	2.98	0.00	2.98	0.0	2.98
/ /	SOLORIO, ROSE	FA 529 PORT 2016 C	0.00	1.63	0.00	1.63	0.0	1.63
10/02/2017	SOLORIO, ROSE	FA 529 PORT 2016 C	125.00	6.25	0.00	6.25	0.0	6.25
/ /	STEINER, DANIEL	FA 529 PORT 2025 A	0.00	1.40	0.00	1.40	0.0	1.40
/ /	STEINER, DANIEL	FA 529 PORT 2025 A	0.00	1.40	0.00	1.40	0.0	1.40
10/05/2017	STEINER, DANIEL	FA 529 PORT 2025 A	100.00	5.00	0.00	5.00	0.0	5.00
10/05/2017	STEINER, DANIEL	FA 529 PORT 2025 A	100.00	5.00	0.00	5.00	0.0	5.00
/ /	BRYAN, TRICIA	FA 529 PORT 2028 A	0.00	3.45	0.00	3.45	0.0	3.45
10/05/2017	BRYAN, TRICIA	FA 529 PORT 2028 A	120.00	6.00	0.00	6.00	0.0	6.00
/ /	LENGNING, DUSTIN	FA 529 PORT 2028 C	0.00	12.97	0.00	12.97	0.0	12.97
/ /	SANTANA, NICOLE	FA 529 PORT 2031 A	0.00	0.60	0.00	0.60	0.0	0.60
10/02/2017	SANTANA, NICOLE	FA 529 PORT 2031 A	50.00	2.50	0.00	2.50	0.0	2.50
09/19/2017	CRAIG, JAMIE	FT MODERATE ALLOCATION FUND C	120.00	1.20	0.00	1.20	0.0	1.20
/ /	ELLSWORTH, CAROL	OPPENHEIMER GOLD & SPECIAL MINERALS	0.00	15.54	0.00	15.54	0.0	15.54
/ /	HOLZINGER, DIANE	OPPENHEIMER MAIN STREET A	0.00	29.81	0.00	29.81	0.0	29.81
/ /	YUGE, SEAN	OPPENHEIMER PORT SERIES ACTIVE ALLO	0.00	8.85	0.00	8.85	0.0	8.85
/ /	CIESLIK, CHAD	OPPENHEIMER QUEST OPP VALUE A	0.00	16.42	0.00	16.42	0.0	16.42
/ /	CIESLIK, CHAD	OPPENHEIMER QUEST OPP VALUE A	0.00	1.47	0.00	1.47	0.0	1.47
/ /	CIESLIK, CHAD	OPPENHEIMER SMALL MID CAP VALUE A	0.00	8.08	0.00	8.08	0.0	8.08
/ /	CIESLIK, CHAD	OPPENHEIMER SMALL MID CAP VALUE A	0.00	0.48	0.00	0.48	0.0	0.48
 * JIM LUND SUBTOTAL * 			\$204,938.62	\$258.73	\$0.00	\$258.73		\$258.73

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u> OVERRIDE TRANSACTIONS </u>								
<u> BROKER: JAMES PANOS #61 </u>								
/ /	FACADA, MANUEL	FA 529 COLLEGE PORT C	0.00	27.76	0.00	27.76	0.0	27.76
/ /	FACADA, ANNA	FA 529 COLLEGE PORT C	0.00	23.68	0.00	23.68	0.0	23.68
/ /	KORNITSKY, KAYLA	FA 529 DIVERSIFIED INTL PORT C	0.00	7.89	0.00	7.89	0.0	7.89
/ /	FITZGIBBON, EDMUND	FA 529 DIVERSIFIED INTL PORT C	0.00	11.08	0.00	11.08	0.0	11.08
/ /	KORNITSKY, MARK	FA 529 DIVIDEND GROWTH PORT C	0.00	5.93	0.00	5.93	0.0	5.93
/ /	KORNITSKY, KAYLA	FA 529 DIVIDEND GROWTH PORT C	0.00	11.92	0.00	11.92	0.0	11.92
/ /	KORNITSKY, MARK	FA 529 EQUITY GROWTH PORT C	0.00	6.33	0.00	6.33	0.0	6.33
/ /	KORNITSKY, KAYLA	FA 529 EQUITY GROWTH PORT C	0.00	12.87	0.00	12.87	0.0	12.87
/ /	FITZGIBBON, EDMUND	FA 529 EQUITY GROWTH PORT C	0.00	28.37	0.00	28.37	0.0	28.37
/ /	KORNITSKY, MARK	FA 529 NEW INSIGHTS PORT C	0.00	6.36	0.00	6.36	0.0	6.36
/ /	KORNITSKY, KAYLA	FA 529 NEW INSIGHTS PORT C	0.00	12.06	0.00	12.06	0.0	12.06
/ /	FITZGIBBON, EDMUND	FA 529 NEW INSIGHTS PORT C	0.00	4.20	0.00	4.20	0.0	4.20
/ /	YFANTOPULOS, GEORGE	FA 529 PORT 2019 C	0.00	60.12	0.00	60.12	0.0	60.12
/ /	MACUCH, PAUL	FA 529 PORT 2019 C	0.00	4.36	0.00	4.36	0.0	4.36
/ /	DORAN, ANN MARIE	FA 529 PORT 2019 C	0.00	2.84	0.00	2.84	0.0	2.84
/ /	DORAN, PATRICK	FA 529 PORT 2019 C	0.00	10.16	0.00	10.16	0.0	10.16
/ /	YFANTOPULOS, GEORGE	FA 529 PORT 2022 C	0.00	61.77	0.00	61.77	0.0	61.77
/ /	LORA, MARCOS	FA 529 PORT 2022 C	0.00	42.63	0.00	42.63	0.0	42.63
/ /	LORA, CATALINA	FA 529 PORT 2022 C	0.00	25.55	0.00	25.55	0.0	25.55
/ /	POWERS, GARY	FA 529 PORT 2022 C	0.00	10.54	0.00	10.54	0.0	10.54
/ /	REMI, ALEX	FA 529 PORT 2022 C	0.00	15.98	0.00	15.98	0.0	15.98
/ /	REMI, ALEX	FA 529 PORT 2022 C	0.00	24.03	0.00	24.03	0.0	24.03
/ /	DORAN, PATRICK	FA 529 PORT 2022 C	0.00	7.09	0.00	7.09	0.0	7.09
/ /	MACUCH, PAUL	FA 529 PORT 2022 C	0.00	9.80	0.00	9.80	0.0	9.80
/ /	MACUCH, PAUL	FA 529 PORT 2022 C	0.00	11.60	0.00	11.60	0.0	11.60
/ /	KORNITSKY, GAVIN	FA 529 PORT 2022 C	0.00	27.65	0.00	27.65	0.0	27.65
/ /	MACUCH, PAUL	FA 529 PORT 2022 C	0.00	8.11	0.00	8.11	0.0	8.11
/ /	FRENCH, KRISTEN	FA 529 PORT 2022 C	0.00	10.69	0.00	10.69	0.0	10.69
/ /	AHERN, KEVIN	FA 529 PORT 2022 C	0.00	32.04	0.00	32.04	0.0	32.04
/ /	DORAN, SHAWN	FA 529 PORT 2022 C	0.00	3.28	0.00	3.28	0.0	3.28
/ /	LORA, ROLANDO	FA 529 PORT 2022 C	0.00	21.11	0.00	21.11	0.0	21.11
/ /	DORAN, ANN MARIE	FA 529 PORT 2022 C	0.00	2.99	0.00	2.99	0.0	2.99
/ /	YFANTOPULOS, GEORGE	FA 529 PORT 2022 C	0.00	38.97	0.00	38.97	0.0	38.97

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<u> OVERRIDE TRANSACTIONS </u>								
<u> BROKER: JAMES PANOS #61 </u>								
/ /	AHERN, KEVIN	FA 529 PORT 2025 C	0.00	18.74	0.00	18.74	0.0	18.74
/ /	AHERN, KEVIN	FA 529 PORT 2025 C	0.00	14.58	0.00	14.58	0.0	14.58
/ /	MURPHY, CHRIS	FA 529 PORT 2025 C	0.00	34.04	0.00	34.04	0.0	34.04
/ /	FITZGIBBON, EDMUND	FA 529 PORT 2025 C	0.00	22.79	0.00	22.79	0.0	22.79
/ /	MACK, NEIL	FA 529 PORT 2025 C	0.00	19.31	0.00	19.31	0.0	19.31
10/02/2017	MURPHY, CHRIS	FA 529 PORT 2025 C	250.00	2.50	0.00	2.50	0.0	2.50
10/02/2017	FITZGIBBON, EDMUND	FA 529 PORT 2025 C	200.00	2.00	0.00	2.00	0.0	2.00
10/02/2017	MACK, NEIL	FA 529 PORT 2025 C	250.00	2.50	0.00	2.50	0.0	2.50
/ /	MACK, NEIL	FA 529 PORT 2028 C	0.00	15.02	0.00	15.02	0.0	15.02
/ /	MACUCH, PAUL	FA 529 PORT 2028 C	0.00	5.29	0.00	5.29	0.0	5.29
10/02/2017	MACK, NEIL	FA 529 PORT 2028 C	250.00	2.50	0.00	2.50	0.0	2.50
09/30/2017	TATAROUNS, WILLIAM	JNL PERSPECTIVE L	85,261.07	71.05	0.00	71.05	0.0	71.05
09/30/2017	TATAROUNS, LELA	JNL PERSPECTIVE REWARDS	214,659.44	89.44	0.00	89.44	0.0	89.44
* JAMES PANOS SUBTOTAL *			\$300,870.51	\$889.52	\$0.00	\$889.52		\$889.52
<u> BROKER: JEFFREY BUTLER #93 </u>								
09/30/2017	CRAWFORD, ROBERT	LFG TRAILS	0.00	38.76	0.00	38.76	0.0	38.76
09/29/2017	HOLLIDAY SHOPPING CT, 401K	HARTFORD RETIREMENT PLANS	458,732.84	573.42	0.00	573.42	0.0	573.42
* JEFFREY BUTLER SUBTOTAL *			\$458,732.84	\$612.18	\$0.00	\$612.18		\$612.18
<u> BROKER: JAMES AULENTI #101 </u>								
09/30/2017	VANDAL, DONALD	PRU AS XTRA CREDIT SIX	38,241.17	23.90	0.00	23.90	0.0	23.90
09/30/2017	EVANS, SHARON	PRU AS XTRA CREDIT SIX	52,358.19	32.72	0.00	32.72	0.0	32.72
09/30/2017	MCCANDLESS, JAMES	PRU PREMIER RETIREMENT X	406,683.79	254.18	0.00	254.18	0.0	254.18
09/30/2017	WILLS, KAREN	PRU PREMIER RETIREMENT X	516,765.03	322.98	0.00	322.98	0.0	322.98
09/30/2017	LUCIER, ROBERT	PRU PREMIER RETIREMENT X	155,482.50	97.18	0.00	97.18	0.0	97.18
09/30/2017	LUCIER, LYNN	PRU PREMIER RETIREMENT X	58,577.62	36.61	0.00	36.61	0.0	36.61
* JAMES AULENTI SUBTOTAL *			\$1,228,108.30	\$767.57	\$0.00	\$767.57		\$767.57
<u> BROKER: FRED CHASALOW #103 </u>								
09/29/2017	CHASALOW, FRED	ALLIANZ ALTERITY OPTIONS	104,123.47	260.31	0.00	260.31	0.0	260.31
09/29/2017	CHASALOW, SANDRA	ALLIANZ ALTERITY OPTIONS	218,051.39	545.13	0.00	545.13	0.0	545.13
09/29/2017	MCKEE, MARY	ALLIANZ ALTERITY OPTIONS	259,482.59	648.71	0.00	648.71	0.0	648.71
09/29/2017	CHASALOW, SANDRA	ALLIANZ HIGH FIVE ENHANCED	99,531.67	124.41	0.00	124.41	0.0	124.41
10/04/2017	THEIN, CHRISTINE	ROYCE OPPORTUNITY FUND INVESTMENT C	-2,500.00	0.00	22.00	-22.00	0.0	-22.00

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<u> OVERRIDE TRANSACTIONS </u>								
<u>BROKER: ERIK BLOOMFELDT #105</u>								
		* FRED CHASALOW SUBTOTAL *	\$678,689.12	\$1,578.56	\$22.00	\$1,556.56		\$1,556.56
<u>BROKER: ERIK BLOOMFELDT #105</u>								
09/30/2017	DEACON, GALE	JNL PERSPECTIVE L	7,591.94	6.33	0.00	6.33	0.0	6.33
/ /	FREER, JADA	OPPENHEIMER GLOBAL STRATEGIC INC A	0.00	4.12	0.00	4.12	0.0	4.12
		* ERIK BLOOMFELDT SUBTOTAL *	\$7,591.94	\$10.45	\$0.00	\$10.45		\$10.45
<u>BROKER: DANIEL COLLINS #106</u>								
/ /	MORRISON, ISABELLA	COLLEGE PORTFOLIO B	0.00	0.22	0.00	0.22	0.0	0.22
/ /	MORRISON, ALEXANDRA	COLLEGE PORTFOLIO B	0.00	0.22	0.00	0.22	0.0	0.22
		* DANIEL COLLINS SUBTOTAL *	\$0.00	\$0.44	\$0.00	\$0.44		\$0.44
<u>BROKER: G118 GRECO #110</u>								
09/12/2017	KLIMA, JANINA	AM FUNDS AMERICAN BALANCED A	0.00	7.67	0.00	7.67	0.0	7.67
09/12/2017	SOKOLNICKI, BRIAN	AM FUNDS AMERICAN BALANCED A	0.00	4.83	0.00	4.83	0.0	4.83
09/12/2017	AMENDOLA, KEITH	AM FUNDS AMERICAN BALANCED A	0.00	4.59	0.00	4.59	0.0	4.59
09/12/2017	O'DWYER, PATRICK	AM FUNDS AMERICAN BALANCED A	0.00	6.77	0.00	6.77	0.0	6.77
09/12/2017	BALDASSANO, DOMINICK	AM FUNDS AMERICAN BALANCED A	0.00	6.77	0.00	6.77	0.0	6.77
09/12/2017	KENNEDY, WENDY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.10	0.00	1.10	0.0	1.10
09/12/2017	AMENDOLA, KEITH	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.17	0.00	0.17	0.0	0.17
09/12/2017	KENNEDY, WENDY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.12	0.00	1.12	0.0	1.12
09/12/2017	KENNEDY, WENDY	AM FUNDS ICA A	0.00	1.02	0.00	1.02	0.0	1.02
09/12/2017	SOKOLNICKI, BRIAN	AM FUNDS ICA A	0.00	5.18	0.00	5.18	0.0	5.18
09/12/2017	KENNEDY, WENDY	AM FUNDS NEW PERSPECTIVE A	0.00	0.98	0.00	0.98	0.0	0.98
09/12/2017	SOKOLNICKI, BRIAN	AM FUNDS NEW PERSPECTIVE A	0.00	2.96	0.00	2.96	0.0	2.96
09/12/2017	MAENTANIS, JOHN	LEGG MASON CLEARBRIDGE APPRECIATION	0.00	16.12	0.00	16.12	0.0	16.12
09/14/2017	SOKOLNICKI, BRIAN	MORGAN STANLEY INSTL FD INC GBL APP	0.00	6.51	0.00	6.51	0.0	6.51
09/12/2017	MAENTANIS, JOHN	TRANSAMERICA AA MODERATE C	0.00	13.17	0.00	13.17	0.0	13.17
		* G118 GRECO SUBTOTAL *	\$0.00	\$78.96	\$0.00	\$78.96		\$78.96
<u>BROKER: JAMES KOESTER #117</u>								
/ /	RADFORD, KIRK	FIDELITY ADVISOR 529 COLLEGE PORT C	0.00	0.11	0.00	0.11	0.0	0.11
		* JAMES KOESTER SUBTOTAL *	\$0.00	\$0.11	\$0.00	\$0.11		\$0.11

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<u> OVERRIDE TRANSACTIONS </u>								
<u> BROKER: JAY MCCLELLAN #120 </u>								
/ /	ZEHRINGER, JAMES	EATON VANCE GREATER CHINA GROWTH A	0.00	2.76	0.00	2.76	0.0	2.76
09/30/2017	MILLER, DOUGLAS	MASS MUTUAL PANAMA PREMIER	19,663.35	6.55	0.00	6.55	0.0	6.55
/ /	WEST, PAMELA	OPPENHEIMER DEVELOPING MARKETS A	0.00	1.43	0.00	1.43	0.0	1.43
/ /	WEST, PAMELA	OPPENHEIMER GLOBAL A	0.00	6.08	0.00	6.08	0.0	6.08
/ /	WEST, PAMELA	OPPENHEIMER INTL BOND A	0.00	1.80	0.00	1.80	0.0	1.80
/ /	WEST, PAMELA	OPPENHEIMER MAIN STREET A	0.00	3.10	0.00	3.10	0.0	3.10
10/03/2017	PEACOCK, RICHARD	PIIONEER BOND FUND A	0.00	4.96	0.00	4.96	0.0	4.96
10/03/2017	DEXTER, ROCHELLE	PIIONEER BOND FUND A	0.00	2.61	0.00	2.61	0.0	2.61
10/03/2017	ZEHRINGER, JAMES	PIIONEER BOND FUND A	0.00	1.40	0.00	1.40	0.0	1.40
10/03/2017	WEHRKAMP, REBECCA	PIIONEER CLASSIC BALANCED FUND A	0.00	11.08	0.00	11.08	0.0	11.08
10/03/2017	MATHENEY, DONNA	PIIONEER CLASSIC BALANCED FUND A	0.00	4.92	0.00	4.92	0.0	4.92
10/03/2017	WEHRKAMP, KENNETH	PIIONEER CLASSIC BALANCED FUND A	0.00	2.13	0.00	2.13	0.0	2.13
10/03/2017	KEY, LARRY	PIIONEER CLASSIC BALANCED FUND A	0.00	2.00	0.00	2.00	0.0	2.00
10/03/2017	PRICE, JOYCE	PIIONEER CLASSIC BALANCED FUND A	0.00	3.95	0.00	3.95	0.0	3.95
10/03/2017	WEHRKAMP, REBECCA	PIIONEER CULLEN VALUE FUND A	0.00	4.57	0.00	4.57	0.0	4.57
10/03/2017	MINIX, DEBORAH	PIIONEER CULLEN VALUE FUND A	0.00	11.87	0.00	11.87	0.0	11.87
10/03/2017	RATLIFF, DONNA	PIIONEER CULLEN VALUE FUND A	0.00	5.55	0.00	5.55	0.0	5.55
10/03/2017	ZEHRINGER, JAMES	PIIONEER CULLEN VALUE FUND A	0.00	9.63	0.00	9.63	0.0	9.63
10/03/2017	MATHENEY, DONNA	PIIONEER EMERGING MARKETS A	0.00	0.72	0.00	0.72	0.0	0.72
10/03/2017	RATLIFF, DONNA	PIIONEER EMERGING MARKETS A	0.00	0.76	0.00	0.76	0.0	0.76
10/03/2017	KEY, LARRY	PIIONEER EMERGING MARKETS A	0.00	3.52	0.00	3.52	0.0	3.52
10/03/2017	MINIX, DEBORAH	PIIONEER EMERGING MARKETS A	0.00	1.54	0.00	1.54	0.0	1.54
10/03/2017	THOMPSON REYNOLDS JT TEN,	PIIONEER EMERGING MARKETS A	0.00	2.05	0.00	2.05	0.0	2.05
10/03/2017	MCCLELLAN, JAY	PIIONEER EMERGING MARKETS A	0.00	4.79	0.00	4.79	0.0	4.79
10/03/2017	STARNES, EDDIE	PIIONEER EQUITY INCOME A	0.00	0.39	0.00	0.39	0.0	0.39
10/03/2017	ZEHRINGER, SHARON	PIIONEER EQUITY INCOME A	0.00	6.62	0.00	6.62	0.0	6.62
10/03/2017	ZEHRINGER, JAMES	PIIONEER EQUITY INCOME A	0.00	5.60	0.00	5.60	0.0	5.60
10/03/2017	JONES, JACQUELINE	PIIONEER EQUITY INCOME A	0.00	2.36	0.00	2.36	0.0	2.36
10/03/2017	MILLER, MYRNA	PIIONEER FLOATING RATE A	0.00	11.31	0.00	11.31	0.0	11.31
10/03/2017	MCCABE VA/UTMA, ELIZABETH	PIIONEER FUND A	0.00	1.59	0.00	1.59	0.0	1.59
10/03/2017	WATKINS OH/UTMA, ALEXI	PIIONEER FUND A	0.00	1.64	0.00	1.64	0.0	1.64
10/03/2017	HUTTON JT TEN, JANET	PIIONEER FUND A	0.00	6.80	0.00	6.80	0.0	6.80
10/03/2017	MINIX, DEBORAH	PIIONEER FUND A	0.00	1.74	0.00	1.74	0.0	1.74

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<u> OVERRIDE TRANSACTIONS </u>								
<u>BROKER: JAY MCCLELLAN #120</u>								
10/03/2017	CURTIS, RAY	PIONEER FUND A	0.00	3.21	0.00	3.21	0.0	3.21
10/03/2017	JONES, JACQUELINE	PIONEER FUND A	0.00	1.70	0.00	1.70	0.0	1.70
10/03/2017	RUSH, KAREN	PIONEER FUND A	0.00	12.98	0.00	12.98	0.0	12.98
10/03/2017	CRABTREE, GARY	PIONEER FUND C	0.00	9.94	0.00	9.94	0.0	9.94
10/03/2017	GREGONCZA, RONALD	PIONEER FUND C	0.00	29.44	0.00	29.44	0.0	29.44
10/03/2017	THOMPSON REYNOLDS JT TEN,	PIONEER FUNDAMENTAL GROWTH A	0.00	7.98	0.00	7.98	0.0	7.98
10/03/2017	RATLIFF, DONNA	PIONEER GLOBAL EQUITY A	0.00	1.36	0.00	1.36	0.0	1.36
10/03/2017	MINIX, DEBORAH	PIONEER GLOBAL EQUITY A	0.00	1.50	0.00	1.50	0.0	1.50
10/03/2017	MCCLELLAN, JAY	PIONEER GLOBAL EQUITY A	0.00	2.11	0.00	2.11	0.0	2.11
10/03/2017	PEACOCK, RICHARD	PIONEER GLOBAL HIGH YIELD A	0.00	4.24	0.00	4.24	0.0	4.24
10/03/2017	MINIX, DEBORAH	PIONEER GLOBAL HIGH YIELD A	0.00	2.08	0.00	2.08	0.0	2.08
10/03/2017	MATHENEY, DONNA	PIONEER GLOBAL HIGH YIELD A	0.00	1.30	0.00	1.30	0.0	1.30
10/03/2017	HUTTON JT TEN, JANET	PIONEER GLOBAL HIGH YIELD A	0.00	2.18	0.00	2.18	0.0	2.18
10/03/2017	RATLIFF, DONNA	PIONEER GLOBAL HIGH YIELD A	0.00	1.03	0.00	1.03	0.0	1.03
10/03/2017	MAYBERRY, JEFFREY	PIONEER GLOBAL HIGH YIELD A	0.00	2.33	0.00	2.33	0.0	2.33
10/03/2017	ZEHRINGER, JAMES	PIONEER GLOBAL HIGH YIELD A	0.00	1.09	0.00	1.09	0.0	1.09
10/03/2017	WONDERLY, MEGAN	PIONEER GROWTH OPPORTUNITIES A	0.00	1.11	0.00	1.11	0.0	1.11
10/03/2017	MONG, TRACY	PIONEER GROWTH OPPORTUNITIES A	0.00	4.44	0.00	4.44	0.0	4.44
10/03/2017	WEHRKAMP, KENNETH	PIONEER HIGH INCOME MUNICIPAL A	0.00	0.58	0.00	0.58	0.0	0.58
10/03/2017	WEHRKAMP, REBECCA	PIONEER HIGH YIELD A	0.00	6.50	0.00	6.50	0.0	6.50
10/03/2017	STARNES, EDDIE	PIONEER HIGH YIELD A	0.00	1.44	0.00	1.44	0.0	1.44
10/03/2017	MATTHIEU, PAUL	PIONEER HIGH YIELD A	0.00	1.05	0.00	1.05	0.0	1.05
10/03/2017	JONES, JACQUELINE	PIONEER HIGH YIELD A	0.00	1.84	0.00	1.84	0.0	1.84
10/03/2017	MONG, TRACY	PIONEER HIGH YIELD A	0.00	3.21	0.00	3.21	0.0	3.21
10/03/2017	O'NEAL, KELLY	PIONEER IBBOTSON MODERATE ALLOC A	0.00	0.58	0.00	0.58	0.0	0.58
10/03/2017	ZEHRINGER, SHARON	PIONEER INDEPENDENCE A	0.00	1.92	0.00	1.92	0.0	1.92
10/03/2017	DICKEY, CYNTHIA	PIONEER INDEPENDENCE A	0.00	4.60	0.00	4.60	0.0	4.60
10/03/2017	MONG, TRACY	PIONEER INDEPENDENCE A	0.00	6.19	0.00	6.19	0.0	6.19
10/03/2017	THOMPSON REYNOLDS JT TEN,	PIONEER INTERNATIONAL VALUE A	0.00	4.12	0.00	4.12	0.0	4.12
10/03/2017	ZEHRINGER, JAMES	PIONEER MID CAP VALUE A	0.00	3.33	0.00	3.33	0.0	3.33
10/03/2017	ARMSTRONG, TODD	PIONEER MULTI ASSET ULTRASHORT INCO	0.00	2.57	0.00	2.57	0.0	2.57
10/03/2017	DEAN, DUANE	PIONEER MULTI ASSET ULTRASHORT INCO	0.00	1.59	0.00	1.59	0.0	1.59
10/03/2017	MCCLELLAN, JAY	PIONEER MULTI-ASSET INC FUND A	0.00	1.05	0.00	1.05	0.0	1.05

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<u> OVERRIDE TRANSACTIONS </u>								
<u> BROKER: JAY MCCLELLAN #120 </u>								
10/03/2017	HOLTMAN, MICHAEL	PIONEER MULTI-ASSET REAL RETURN A	0.00	5.53	0.00	5.53	0.0	5.53
10/03/2017	MATTHIEU, PAUL	PIONEER MULTI-ASSET REAL RETURN A	0.00	14.91	0.00	14.91	0.0	14.91
10/03/2017	COOVER, GARY	PIONEER MULTI-ASSET REAL RETURN A	0.00	0.80	0.00	0.80	0.0	0.80
10/03/2017	WEHRKAMP, KENNETH	PIONEER MULTI-ASSET REAL RETURN A	0.00	2.02	0.00	2.02	0.0	2.02
10/03/2017	MAYBERRY, JEFFREY	PIONEER MULTI-ASSET REAL RETURN A	0.00	5.77	0.00	5.77	0.0	5.77
10/03/2017	KEY, LARRY	PIONEER MULTI-ASSET REAL RETURN A	0.00	3.59	0.00	3.59	0.0	3.59
10/03/2017	PRICE, JOYCE	PIONEER MULTI-ASSET REAL RETURN A	0.00	4.13	0.00	4.13	0.0	4.13
10/03/2017	MINIX, DEBORAH	PIONEER MULTI-ASSET REAL RETURN A	0.00	1.42	0.00	1.42	0.0	1.42
10/03/2017	ZHAO, WENJUN	PIONEER MULTI-ASSET REAL RETURN A	0.00	0.81	0.00	0.81	0.0	0.81
10/03/2017	WEHRKAMP, REBECCA	PIONEER REAL ESTATE SHARES A	0.00	3.71	0.00	3.71	0.0	3.71
10/03/2017	DEXTER, ROCHELLE	PIONEER REAL ESTATE SHARES A	0.00	1.78	0.00	1.78	0.0	1.78
10/03/2017	JONES, JACQUELINE	PIONEER REAL ESTATE SHARES A	0.00	1.48	0.00	1.48	0.0	1.48
10/03/2017	O'NEAL, DEAN	PIONEER SOLUTIONS-GROWTH FUND A	0.00	0.61	0.00	0.61	0.0	0.61
09/30/2017	REVOCABLE, TRUST, SONDR	PRU AS ADVISOR PLAN II - 1996	142,417.19	89.01	0.00	89.01	0.0	89.01
09/30/2017	REVOCABLE, TRUST, SONDR	PRU AS ADVISOR PLAN II - 1996	142,417.19	267.03	0.00	267.03	0.0	267.03
09/30/2017	FORTKAMP, MARY	PRU AS XTRA CREDIT SIX	40,873.17	25.55	0.00	25.55	0.0	25.55
10/03/2017	ZEHRINGER, JAMES	TRANSAMERICA DIVERSIFIED EQUITY A	0.00	12.04	0.00	12.04	0.0	12.04
10/03/2017	ZEHRINGER, JAMES	TRANSAMERICA DIVERSIFIED EQUITY A	0.00	7.35	0.00	7.35	0.0	7.35
 * JAY MCCLELLAN SUBTOTAL * 			\$345,370.90	\$715.95	\$0.00	\$715.95		\$715.95
<u> BROKER: TIMOTHY KULHANEK #145 </u>								
10/02/2017	CARLSON, JEANNE	OHIO NATL ONCORE LITE	16,412.79	41.03	0.00	41.03	0.0	41.03
10/03/2017	DAVIS, AUSTIN	PIONEER FUND A	0.00	1.71	0.00	1.71	0.0	1.71
 * TIMOTHY KULHANEK SUBTOTAL * 			\$16,412.79	\$42.74	\$0.00	\$42.74		\$42.74
<u> BROKER: DAVID KOTZ #179 </u>								
09/12/2017	VIGH, AGNES	AM FUNDS CAPITAL WORLD GRTH & INC C	0.00	4.37	0.00	4.37	0.0	4.37
09/12/2017	NAGY, ZOLLAN	AM FUNDS CAPITAL WORLD GRTH & INC C	0.00	0.97	0.00	0.97	0.0	0.97
09/12/2017	MARGOLIN, BRUCE	AM FUNDS GROWTH FUND OF AMERICA C	0.00	9.85	0.00	9.85	0.0	9.85
09/12/2017	WHITTLESEY, FRANK	AM FUNDS GROWTH FUND OF AMERICA C	0.00	9.08	0.00	9.08	0.0	9.08
09/12/2017	FRENCH, ELAINE	AM FUNDS GROWTH FUND OF AMERICA C	0.00	25.76	0.00	25.76	0.0	25.76
09/12/2017	VIGH, AGNES	AM FUNDS GROWTH FUND OF AMERICA F1	0.00	2.95	0.00	2.95	0.0	2.95
09/12/2017	NAGY, ZOLLAN	AM FUNDS GROWTH FUND OF AMERICA F1	0.00	0.89	0.00	0.89	0.0	0.89
09/12/2017	FRENCH, ELAINE	AM FUNDS GROWTH FUND OF AMERICA F1	0.00	2.63	0.00	2.63	0.0	2.63

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<u> OVERRIDE TRANSACTIONS </u>								
<u> BROKER: DAVID KOTZ #179 </u>								
09/12/2017	VIGH, AGNES	GABELLI SMALL CAP GROWTH FD CLASS C	0.00	1.73	0.00	1.73	0.0	1.73
09/12/2017	NAGY, ZOLLAN	GABELLI SMALL CAP GROWTH FD CLASS C	0.00	2.38	0.00	2.38	0.0	2.38
09/12/2017	MARGOLIN, BRUCE	PRU JENNISON GROWTH	0.00	1.99	0.00	1.99	0.0	1.99
* DAVID KOTZ SUBTOTAL *			\$0.00	\$62.60	\$0.00	\$62.60		\$62.60
<u> BROKER: WILLIAM WALSH #187 </u>								
09/13/2017	SENGSTOCK, KATHLEEN	**CALVER SMALL CAP FD	0.00	29.65	0.00	29.65	0.0	29.65
09/13/2017	SENGSTOCK, KATHLEEN	**CALVERT FD	0.00	3.22	0.00	3.22	0.0	3.22
09/12/2017	SENGSTOCK, KATHLEEN	**PAX FDS SER TR I	0.00	6.42	0.00	6.42	0.0	6.42
09/12/2017	WALSH, PATRICIA	ALLIANCE SMALLCAP	0.00	0.06	0.00	0.06	0.0	0.06
09/12/2017	WALSH, DAWN ERIN	ALLIANCEBERNSTEIN GL THEMATIC GROWT	0.00	1.35	0.00	1.35	0.0	1.35
09/12/2017	WALSH, PATRICIA	ALLIANCEBERNSTEIN GL THEMATIC GROWT	0.00	0.31	0.00	0.31	0.0	0.31
09/12/2017	WALSH, DAWN ERIN	ALLIANCEBERNSTEIN LARGE CAP GROWTH	0.00	8.98	0.00	8.98	0.0	8.98
09/12/2017	HANSZ, THOMAS	AM FUNDS AMERICAN BALANCED A	0.00	29.69	0.00	29.69	0.0	29.69
09/12/2017	HANSZ, KIMBERLY	AM FUNDS AMERICAN BALANCED A	0.00	14.15	0.00	14.15	0.0	14.15
09/12/2017	WALSH, MEGAN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.11	0.00	0.11	0.0	0.11
09/12/2017	DARGO, JILL	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.14	0.00	1.14	0.0	1.14
09/12/2017	SENGSTOCK, JODIE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	14.09	0.00	14.09	0.0	14.09
09/12/2017	CHAWLA, MAHINDER	AM FUNDS GROWTH FUND OF AMERICA C	0.00	34.92	0.00	34.92	0.0	34.92
09/12/2017	CHAWLA, SUVIRA	AM FUNDS GROWTH FUND OF AMERICA C	0.00	52.43	0.00	52.43	0.0	52.43
09/12/2017	SENGSTOCK, JODIE	AM FUNDS GROWTH FUND OF AMERICA C	0.00	14.66	0.00	14.66	0.0	14.66
09/12/2017	SENGSTOCK, DAVID	AM FUNDS GROWTH FUND OF AMERICA C	0.00	13.42	0.00	13.42	0.0	13.42
09/12/2017	MURPHY, DANIEL	AM FUNDS GROWTH FUND OF AMERICA C	0.00	41.22	0.00	41.22	0.0	41.22
09/12/2017	MURPHY, DANIEL	AM FUNDS GROWTH FUND OF AMERICA C	0.00	15.86	0.00	15.86	0.0	15.86
09/12/2017	CHAWLA, SUVIRA	AM FUNDS GROWTH FUND OF AMERICA F1	0.00	6.80	0.00	6.80	0.0	6.80
09/12/2017	LEWANDOWSKI, ANDREW	AM FUNDS GROWTH FUND OF AMERICA F1	0.00	74.28	0.00	74.28	0.0	74.28
09/12/2017	SPELLMAN, HENRY	AM FUNDS GROWTH FUND OF AMERICA F1	0.00	70.77	0.00	70.77	0.0	70.77
09/12/2017	HAMM, MARK	AM FUNDS GROWTH FUND OF AMERICA F1	0.00	4.32	0.00	4.32	0.0	4.32
09/12/2017	BAUER, MATTHEW	AM FUNDS GROWTH FUND OF AMERICA F1	0.00	0.38	0.00	0.38	0.0	0.38
09/12/2017	CHAWLA, SUVIRA	AM FUNDS SMALLCAP WORLD A	0.00	4.67	0.00	4.67	0.0	4.67
09/12/2017	WALSH, DAWN ERIN	BLACKROCK FUNDS FLEXIBLE EQUITY FUN	0.00	3.88	0.00	3.88	0.0	3.88
09/13/2017	SENGSTOCK, KATHLEEN	CALVERT BOND PORT A	0.00	9.39	0.00	9.39	0.0	9.39
09/12/2017	DARGO, JILL	DAVIS NEW YORK VENTURE A	0.00	1.10	0.00	1.10	0.0	1.10
09/12/2017	WALSH, DAWN ERIN	DAVIS NEW YORK VENTURE A	0.00	10.00	0.00	10.00	0.0	10.00

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<u> OVERRIDE TRANSACTIONS </u>								
<u> BROKER: WILLIAM WALSH #187 </u>								
09/12/2017	WALSH, MARIANNE	DAVIS NEW YORK VENTURE A	0.00	1.06	0.00	1.06	0.0	1.06
09/12/2017	MURPHY, DANIEL	DAVIS NEW YORK VENTURE A	0.00	10.17	0.00	10.17	0.0	10.17
09/12/2017	MURPHY, CAROL	DAVIS NEW YORK VENTURE A	0.00	1.28	0.00	1.28	0.0	1.28
09/12/2017	SENGSTOCK, JODIE	DAVIS NEW YORK VENTURE C	0.00	13.85	0.00	13.85	0.0	13.85
09/12/2017	BOARD, MONTE	DAVIS NEW YORK VENTURE C	0.00	2.41	0.00	2.41	0.0	2.41
09/12/2017	SENGSTOCK, DAVID	DAVIS NEW YORK VENTURE C	0.00	13.27	0.00	13.27	0.0	13.27
09/12/2017	HAMM, MARK	DAVIS NEW YORK VENTURE C	0.00	20.78	0.00	20.78	0.0	20.78
09/12/2017	WALSH, PATRICIA	DAVIS NEW YORK VENTURE C	0.00	1.81	0.00	1.81	0.0	1.81
09/08/2017	SENGSTOCK, KATHLEEN	EVENTIDE GILEAD FUND CLASS A	0.00	7.24	0.00	7.24	0.0	7.24
09/12/2017	CHAWLA, SUVIRA	FIRST EAGLE GLOBAL C	0.00	45.56	0.00	45.56	0.0	45.56
09/12/2017	WALSH, DAWN ERIN	FRANKLIN SMALL CAP GROWTH A	0.00	6.08	0.00	6.08	0.0	6.08
09/12/2017	WALSH, PATRICIA	FRANKLIN TEMPLETON FUNDS CONV SECUR	0.00	1.09	0.00	1.09	0.0	1.09
10/03/2017	MCCLAIN, SMITH & WENZ	GWL GRP ANNUITY 401K	1,329,985.23	546.57	0.00	546.57	0.0	546.57
10/03/2017	JACKSON ASSOCIATES, 401K	GWL GRP ANNUITY 401K	446,423.65	183.46	0.00	183.46	0.0	183.46
10/03/2017	INDUSTRIAL FLUID	GWL GRP ANNUITY 401K	542,073.86	222.77	0.00	222.77	0.0	222.77
10/03/2017	WESTSHORE GOLF, RET PLAN	GWL GRP ANNUITY 401K	362,284.93	148.88	0.00	148.88	0.0	148.88
10/04/2017	JACKSON ASSOCIATES, 401K	GWL GRP ANNUITY 401K	446,423.65	-183.46	0.00	-183.46	0.0	-183.46
10/04/2017	INDUSTRIAL FLUID	GWL GRP ANNUITY 401K	542,073.86	-222.77	0.00	-222.77	0.0	-222.77
09/26/2017	LEWANDOWSKI, ANDREW	HEARTLAND VALUE FUND	0.00	25.43	0.00	25.43	0.0	25.43
09/12/2017	MURPHY, DANIEL	IVY ASSET STRATEGY FUND CLASS A	0.00	4.72	0.00	4.72	0.0	4.72
09/12/2017	MURPHY, DANIEL	IVY ASSET STRATEGY FUND CLASS A	0.00	5.66	0.00	5.66	0.0	5.66
/ /	DARGO, JILL	JH 529 EQUITY PORT A	0.00	0.01	0.00	0.01	0.0	0.01
09/12/2017	WALSH, DAWN ERIN	JH FINANCIAL INDUSTRIES A	0.00	1.40	0.00	1.40	0.0	1.40
09/12/2017	MURPHY, DANIEL	JH REGIONAL BANK A	0.00	7.96	0.00	7.96	0.0	7.96
09/12/2017	DARGO, JILL	LORD ABBETT DEVELOPING GROWTH A	0.00	0.44	0.00	0.44	0.0	0.44
09/12/2017	CHAWLA, MAHINDER	LORD ABBETT DEVELOPING GROWTH FUND	0.00	25.82	0.00	25.82	0.0	25.82
09/12/2017	CHAWLA, SUVIRA	LORD ABBETT DEVELOPING GROWTH FUND	0.00	52.85	0.00	52.85	0.0	52.85
09/12/2017	SENGSTOCK, JODIE	LORD ABBETT DEVELOPING GROWTH FUND	0.00	10.26	0.00	10.26	0.0	10.26
09/12/2017	SENGSTOCK, DAVID	LORD ABBETT DEVELOPING GROWTH FUND	0.00	10.35	0.00	10.35	0.0	10.35
09/12/2017	WALSH, MARIANNE	MFS MASS INVESTORS GROWTH STOCK A	0.00	1.10	0.00	1.10	0.0	1.10
09/12/2017	SENGSTOCK, FRANK	MFS MASSACHUSETTS INVESTORS TRUST C	0.00	1.69	0.00	1.69	0.0	1.69
/ /	ACADEMY MANAGEMENT	NW RETIREMENT CLR ADVANTAGE	1,056,310.40	217.05	0.00	217.05	0.0	217.05
/ /	SHAW & SLAVSKY	NWL FLEX ADVANTAGE	2,984,893.29	613.33	0.00	613.33	0.0	613.33

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<u> OVERRIDE TRANSACTIONS </u>								
<u> BROKER: WILLIAM WALSH #187 </u>								
/ /	MARYSVILLE ETHANOL	NWL FLEX ADVANTAGE	1,760,967.70	361.84	0.00	361.84	0.0	361.84
/ /	MARYSVILLE ETHANOL	NWL FLEX ADVANTAGE	611,788.73	125.71	0.00	125.71	0.0	125.71
/ /	COMMUNITY HOUSE	NWL FLEX ADVANTAGE	56,452.29	11.60	0.00	11.60	0.0	11.60
/ /	SHAW & SLAVSKY	NWL POOLED FXD	14,482.12	2.98	0.00	2.98	0.0	2.98
/ /	COMMUNITY HOUSE	NWL POOLED FXD	374.82	0.08	0.00	0.08	0.0	0.08
/ /	DETROIT CONNECTION	NWL RETIREMENT INNOVATOR	497,896.84	122.77	0.00	122.77	0.0	122.77
/ /	DETROIT CONNECTION	NWL SELF DIRECTED BROKERAGE GRP	49,615.03	12.23	0.00	12.23	0.0	12.23
/ /	MARYSVILLE ETHANOL	NWL SELF DIRECTED BROKERAGE GRP	94,005.58	19.32	0.00	19.32	0.0	19.32
09/12/2017	HAMM, MARK	OPPENHEIMER SMALL MID CAP VALUE C	0.00	14.93	0.00	14.93	0.0	14.93
10/05/2017	WILLIAMS, JUDITH	PAC LIFE INNOVATIVE SELECT	0.00	1,628.07	0.00	1,628.07	0.0	1,628.07
09/30/2017	BOMSTA, MERIANNE	PRU AS ADVISOR PLAN II - 1996	9,945.52	6.22	0.00	6.22	0.0	6.22
09/30/2017	BOMSTA, MERIANNE	PRU AS ADVISOR PLAN II - 1996	9,945.52	6.22	0.00	6.22	0.0	6.22
09/30/2017	ORMISTON, BARBARA	PRU AS APEX II	55,817.93	139.54	0.00	139.54	0.0	139.54
09/30/2017	ORMISTON, BARBARA	PRU AS APEX II	55,817.93	34.89	0.00	34.89	0.0	34.89
09/30/2017	BJEDOV, MARK	PRU AS APEX II	14,647.43	36.62	0.00	36.62	0.0	36.62
09/30/2017	BJEDOV, MARK	PRU AS APEX II	14,647.43	9.15	0.00	9.15	0.0	9.15
09/30/2017	BOMSTA, MERIANNE	PRU AS XTRA CREDIT	51,826.09	32.39	0.00	32.39	0.0	32.39
09/12/2017	DARGO, JILL	THORNBURG INT'L VALUE A	0.00	0.31	0.00	0.31	0.0	0.31
09/12/2017	WALSH, DAWN ERIN	THORNBURG INT'L VALUE A	0.00	4.82	0.00	4.82	0.0	4.82
09/12/2017	SENGSTOCK, JODIE	THORNBURG INVT TR INTL VALUE FD CL	0.00	7.54	0.00	7.54	0.0	7.54
09/12/2017	SENGSTOCK, DAVID	THORNBURG INVT TR INTL VALUE FD CL	0.00	9.19	0.00	9.19	0.0	9.19
09/12/2017	HAMM, MARK	THORNBURG INVT TR INTL VALUE FD CL	0.00	14.23	0.00	14.23	0.0	14.23
09/12/2017	WALSH, PATRICIA	THORNBURG INVT TR INTL VALUE FD CL	0.00	0.51	0.00	0.51	0.0	0.51
09/26/2017	MURPHY, DANIEL	VICTORY CAPITAL MANAGEMENT	0.00	0.22	0.00	0.22	0.0	0.22
09/26/2017	MURPHY, DANIEL	VICTORY CAPITAL MANAGEMENT	0.00	0.49	0.00	0.49	0.0	0.49
09/26/2017	MURPHY, CAROL	VICTORY CAPITAL MANAGEMENT	0.00	1.17	0.00	1.17	0.0	1.17
09/26/2017	MURPHY, CAROL	VICTORY CAPITAL MANAGEMENT	0.00	0.23	0.00	0.23	0.0	0.23
09/30/2017	DETROIT GOLF	VOYA RETIREMENT & ANNUITY	0.00	590.03	0.00	590.03	0.0	590.03
09/30/2017	DETROIT GOLF	VOYA RETIREMENT & ANNUITY	0.00	68.02	0.00	68.02	0.0	68.02
 * WILLIAM WALSH SUBTOTAL * 			\$11,008,699.83	\$5,526.71	\$0.00	\$5,526.71		\$5,526.71

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u> OVERRIDE TRANSACTIONS </u>								
<u>BROKER: MICHAEL PALMISANO #196</u>								
/ /	HOFFMANN, DARLENE	FIDELITY ADV UTILITIES C	0.00	0.89	0.00	0.89	0.0	0.89
09/12/2017	VINCENT, JUDITH	FIDELITY BALANCED C	0.00	2.43	0.00	2.43	0.0	2.43
/ /	HOFFMANN, DARLENE	FIDELITY DIVIDEND GROWTH C	0.00	0.91	0.00	0.91	0.0	0.91
09/12/2017	VINCENT, JUDITH	FIDELITY INTL CAP APP C	0.00	8.54	0.00	8.54	0.0	8.54
* MICHAEL PALMISANO SUBTOTAL *			\$0.00	\$12.77	\$0.00	\$12.77		\$12.77
<u>BROKER: JAMES CRAWFORD #225</u>								
09/30/2017	ROBERTS, KERMIT	JOHN HANCOCK VENTURE 2006	9,243.38	1.93	0.00	1.93	0.0	1.93
09/30/2017	ROBERTS, ELLEN	JOHN HANCOCK VENTURE 2006	7,355.62	1.53	0.00	1.53	0.0	1.53
* JAMES CRAWFORD SUBTOTAL *			\$16,599.00	\$3.46	\$0.00	\$3.46		\$3.46
<u>BROKER: CARL WORDEN III #232</u>								
09/30/2017	ALVAREZ, ANTONIO	JNL PERSPECTIVE II 05/05	10,416.65	8.68	0.00	8.68	0.0	8.68
* CARL WORDEN III SUBTOTAL *			\$10,416.65	\$8.68	\$0.00	\$8.68		\$8.68
<u>BROKER: WILLIAM THOMAS #239</u>								
09/30/2017	LUKE, CECILIA	LFG TRAILS	0.00	267.65	0.00	267.65	0.0	267.65
09/16/2017	KUPPE, MARK	NWL BOA NG FP VUL	200.00	4.00	0.00	4.00	0.0	4.00
09/21/2017	KUPPE, PATRICIA	NWL BOA NG FP VUL	200.00	4.00	0.00	4.00	0.0	4.00
09/17/2017	THOMAS, MARIA	NWL NEXT GEN II FP VUL	250.00	5.00	0.00	5.00	0.0	5.00
09/28/2017	WOJCICKIJ, TARAS	NWL NEXT GEN II FP VUL	300.00	6.00	0.00	6.00	0.0	6.00
10/03/2017	GILSON, ANN	PIONEER VALUE A	0.00	29.12	0.00	29.12	0.0	29.12
* WILLIAM THOMAS SUBTOTAL *			\$950.00	\$315.77	\$0.00	\$315.77		\$315.77
<u>BROKER: B151-JASON/MARIA BAIRD/BONGIOVANNI #240</u>								
09/29/2017	POLL, KELLY	ALLIANZ VISION BASIC	78,250.46	97.81	0.00	97.81	0.0	97.81
08/31/2017	WAX, LUBENA	BLACKROCK 19452P735	0.00	0.02	0.00	0.02	0.0	0.02
08/31/2017	WAX, LUBENA	BLACKROCK 19452P735	0.00	0.04	0.00	0.04	0.0	0.04
08/31/2017	WAX, LUBENA	BLACKROCK 19452P735	0.00	1.91	0.00	1.91	0.0	1.91
08/31/2017	WAX, LUBENA	BLK EQUITY DIVIDEND C	0.00	6.42	0.00	6.42	0.0	6.42
08/31/2017	WAX, LUBENA	BLK EQUITY DIVIDEND C	0.00	2.14	0.00	2.14	0.0	2.14
08/31/2017	WAX, LUBENA	BLK EQUITY DIVIDEND C	0.00	23.44	0.00	23.44	0.0	23.44
08/31/2017	WAX, LUBENA	BLK EQUITY DIVIDEND C	0.00	30.58	0.00	30.58	0.0	30.58
08/31/2017	WAX, LUBENA	BLK EQUITY DIVIDEND C	0.00	10.19	0.00	10.19	0.0	10.19
08/31/2017	WAX, LUBENA	BLK EQUITY DIVIDEND C	0.00	7.81	0.00	7.81	0.0	7.81

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<u> OVERRIDE TRANSACTIONS </u>								
<u> BROKER: B151-JASON/MARIA BAIRD/BONGIOVANNI #240 </u>								
/ /	CHISHOLM, DANIEL	JH 529 PORT 2029-2032 A	0.00	3.36	0.00	3.36	0.0	3.36
09/30/2017	REYNOLDS, BARBARA	NW DESTINATION B2 05	52,415.47	65.52	0.00	65.52	0.0	65.52
09/16/2017	BAIRD, KATHRYN	NWL NEXT GEN II FP VUL	142.00	2.84	0.00	2.84	0.0	2.84
09/22/2017	BAIRD, JASON	NWL NEXT GEN II FP VUL	144.00	2.88	0.00	2.88	0.0	2.88
09/16/2017	RICCI, SARAH	NWL YOURLIFE ACCUM VUL	88.83	0.89	0.00	0.89	0.0	0.89
10/02/2017	GREENBLATT JR, ROLAND	NWL YOURLIFE ACCUM VUL	350.00	1.75	0.00	1.75	0.0	1.75
10/03/2017	ONDOSKEY, TARA	NWL YOURLIFE ACCUM VUL	125.00	1.25	0.00	1.25	0.0	1.25
/ /	CROCKETT, DAVID	OPPENHEIMER DEVELOPING MARKETS C	0.00	8.57	0.00	8.57	0.0	8.57
/ /	REICH, MICHELLE	OPPENHEIMER FUND 68385E200	0.00	78.84	0.00	78.84	0.0	78.84
09/26/2017	REICH, MICHELLE	OPPENHEIMER FUND 68385E200	50.00	0.50	0.00	0.50	0.0	0.50
/ /	CROCKETT, DAVID	OPPENHEIMER GLOBAL OPPORTUNITIES C	0.00	17.80	0.00	17.80	0.0	17.80
/ /	REICH, MICHELLE	OPPENHEIMER PTF SERIES EQUITY INVES	0.00	73.86	0.00	73.86	0.0	73.86
09/26/2017	REICH, MICHELLE	OPPENHEIMER PTF SERIES EQUITY INVES	50.00	0.50	0.00	0.50	0.0	0.50
09/18/2017	JOHNSTONE, WILLIAM	PAC LIFE VUL	152.00	1.52	0.00	1.52	0.0	1.52
10/03/2017	BAIRD, ALEX	TRANSAMERICA AA GROWTH A	0.00	13.72	0.00	13.72	0.0	13.72
10/03/2017	COCHRILL, NATHAN	TRANSAMERICA AA GROWTH A	0.00	3.47	0.00	3.47	0.0	3.47
10/03/2017	PUVALOWSKI, WILLIAM	TRANSAMERICA AA GROWTH A	0.00	2.40	0.00	2.40	0.0	2.40
09/18/2017	HINCHLIFFE, ERIC	TRANSAMERICA AA MOD GROWTH A	25.00	1.19	0.00	1.19	0.0	1.19
10/03/2017	BAIRD, NATHAN	TRANSAMERICA AA MOD GROWTH A	0.00	18.79	0.00	18.79	0.0	18.79
10/03/2017	COCHRILL, MELANIE	TRANSAMERICA AA MOD GROWTH A	0.00	9.49	0.00	9.49	0.0	9.49
10/03/2017	HINCHLIFFE, ERIC	TRANSAMERICA AA MOD GROWTH A	0.00	9.36	0.00	9.36	0.0	9.36
10/03/2017	COCHRILL, MELANIE	TRANSAMERICA AA MOD GROWTH A	0.00	3.37	0.00	3.37	0.0	3.37
10/03/2017	CROCKETT, DAVID	TRANSAMERICA AA MOD GROWTH C	0.00	4.09	0.00	4.09	0.0	4.09
* B151-JASON/MARIA BAIRD/BONGIOVANNI SUBTOTAL *			\$131,792.76	\$506.32	\$0.00	\$506.32		\$506.32
<u> BROKER: MICHAEL O'CALLAGHAN #305 </u>								
09/30/2017	MODRELL, ROBERT	JNL ELITE ACCESS W/ LIQUIDITY	84,465.52	70.39	0.00	70.39	0.0	70.39
* MICHAEL O'CALLAGHAN SUBTOTAL *			\$84,465.52	\$70.39	\$0.00	\$70.39		\$70.39
<u> BROKER: L149-ROBERT LUCHSINGER #388 </u>								
09/24/2017	LOITSCH, ROBERT	ING EMPIRE INNOVATIONS STD OPT A	0.00	356.30	0.00	356.30	0.0	35.63
09/29/2017	BELLOMO, DIANE	ING EMPIRE INNOVATIONS STD OPT A	0.00	202.37	0.00	202.37	0.0	20.24
09/14/2017	ROARKE, MARY ELIZABETH	ING EMPIRE INNOVATIONS STD OPT B	0.00	133.02	0.00	133.02	0.0	13.30
09/30/2017	NEVIN, NANCY	JNL NY PERSPECTIVE L	232,411.68	193.68	0.00	193.68	0.0	19.37

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BROKER TRANSACTIONSPRODUCT CATEGORY: REIT

* L149-ROBERT LUCHSINGER SUBTOTAL *	\$232,411.68	\$885.37	\$0.00	\$885.37	\$88.54
*** OVERRIDE TRANSACTIONS TOTAL ***	\$17,027,902.58	\$17,126.85	\$45.26	\$17,081.59	\$16,284.76

BROKER COMMISSION TOTALS

Broker Transactions	\$4,817.96
Split Transactions	\$0.00
Override Transactions	\$16,284.76
Adjustments	\$0.00
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$0.00
FINRA Assessment	\$0.00
SIPC Assessment	\$0.00

Check Amount	\$21,102.72
Year-to-date Gross	\$69,223.43
Year-to-date Earnings	\$196,913.47

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