

**COMMISSION STATEMENT****February 28, 2018**

ROBERT, L117 LUCHSINGER
600 Johnson Ave.
Suite B5
Bohemia, NY 11716

BROKER #: L117
BRANCH: ROBERT LUCHSINGER

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>CLEARING TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: STOCKS</u>								
02/13/2018	HANDLER, EMMA	HEALTHCARE TR AMER INC CL A NEW	-2,562.08	30.00	22.50	7.50	95.0	7.13
02/13/2018	HANDLER, LOUIS	NEW YORK CMNTY BANCORP INC COM	-2,010.52	30.00	22.50	7.50	95.0	7.13
02/13/2018	HANDLER, EMMA	TIER REIT INC COM NEW	-10,636.02	75.00	22.91	52.09	95.0	49.49
02/13/2018	HANDLER, LOUIS	TIME WARNER INC NEW COM NEW	-1,216.46	30.00	22.50	7.50	95.0	7.13
* STOCKS SUBTOTAL *			\$-16,425.08	\$165.00	\$90.41	\$74.59		\$70.88
*** CLEARING TRANSACTIONS TOTAL ***			\$-16,425.08	\$165.00	\$90.41	\$74.59		\$70.88
<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
02/05/2018	PRYDETKO, WALTER	OPPENHEIMER CAPITAL APPRECIATION A	69.71	1.12	0.00	1.12	95.0	1.06
02/05/2018	PRYDETKO, WALTER	OPPENHEIMER CAPITAL APPRECIATION A	33.75	0.54	0.00	0.54	95.0	0.51
02/05/2018	PRYDETKO, WALTER	OPPENHEIMER GLOBAL A	69.71	1.12	0.00	1.12	95.0	1.06
02/05/2018	PRYDETKO, WALTER	OPPENHEIMER GLOBAL A	33.75	0.54	0.00	0.54	95.0	0.51
02/05/2018	PRYDETKO, WALTER	OPPENHEIMER GLOBAL ALLOCATION A	41.83	0.67	0.00	0.67	95.0	0.64
02/05/2018	PRYDETKO, WALTER	OPPENHEIMER GLOBAL ALLOCATION A	20.25	0.32	0.00	0.32	95.0	0.30
02/05/2018	PRYDETKO, WALTER	OPPENHEIMER GOLD & SPECIAL MINERALS	27.89	0.45	0.00	0.45	95.0	0.43
02/05/2018	PRYDETKO, WALTER	OPPENHEIMER GOLD & SPECIAL MINERALS	13.50	0.22	0.00	0.22	95.0	0.21
02/12/2018	ALBANESE, MICHAEL	OPPENHEIMER MAIN ST SMALL & MID CAP	100.00	1.00	0.00	1.00	95.0	0.95
02/05/2018	PRYDETKO, WALTER	OPPENHEIMER MAIN STREET SMALLCAP A	69.71	1.12	0.00	1.12	95.0	1.06
02/05/2018	PRYDETKO, WALTER	OPPENHEIMER MAIN STREET SMALLCAP A	33.75	0.54	0.00	0.54	95.0	0.51
01/29/2018	HAZEN, JAMES	PACIFIC LIFE	1,125.88	11.26	0.00	11.26	95.0	10.70
* MUTUAL FUNDS SUBTOTAL *			\$1,639.73	\$18.90	\$0.00	\$18.90		\$17.94

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>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: VARIABLE ANNUITIES</u>								
02/15/2018	FOURNIER, PETER	HARTFORD LEADERS OUTLOOK 2	20,000.00	1,000.00	0.00	1,000.00	95.0	950.00
02/12/2018	YETTER, DEBRA	JNL PERSPECTIVE II 04/14	1,500.00	82.50	0.00	82.50	95.0	78.38
02/15/2018	YETTER, DEBRA	JNL PERSPECTIVE II 04/14	11,000.00	605.00	0.00	605.00	95.0	574.75
02/16/2018	FLANAGAN, BARBARA	JNL PERSPECTIVE II 04/14	1,000.00	55.00	0.00	55.00	95.0	52.25
01/07/2018	SALANITRO, ISABEL	TRANSAMERICA LIBERTY	6,475.82	5.40	0.00	5.40	95.0	5.13
01/13/2018	PUMA, ANN	TRANSAMERICA LIBERTY	36,695.55	30.58	0.00	30.58	95.0	29.05
01/15/2018	MAZZA, JOSEPH	TRANSAMERICA LIBERTY	115,864.29	96.55	0.00	96.55	95.0	91.72
01/30/2018	LUCHSINGER, JANE	TRANSAMERICA LIBERTY	15,260.94	12.72	0.00	12.72	95.0	12.08
01/17/2018	KNAACK, PATRICIA	TRANSAMERICA LIFE 89353J666	792,334.46	165.07	0.00	165.07	95.0	156.82
* VARIABLE ANNUITIES SUBTOTAL *			\$1,000,131.06	\$2,052.82	\$0.00	\$2,052.82		\$1,950.18

PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS

02/05/2018	LUCHSINGER, ELIZABETH	COLUMBIA GREATER CHINA A	0.00	5.85	0.00	5.85	95.0	5.56
02/05/2018	532 COUNTY RT 111	COLUMBIA LG VALUE QUANTITATIVE T	0.00	0.00	0.00	0.00	95.0	0.00
02/05/2018	LUCHSINGER, ELIZABETH	COLUMBIA MIDCAP VALUE A	0.00	4.52	0.00	4.52	95.0	4.29
02/05/2018	BREITFELLER, CYNTHIA	COLUMBIA STRATEGIC INCOME A	0.00	0.42	0.00	0.42	95.0	0.40
02/10/2016	MCKENNA, STEPHANIE	EATON VANCE FLOATING RATE FUND CLAS	0.00	0.01	0.00	0.01	95.0	0.01
04/25/2016	MCKENNA, STEPHANIE	EATON VANCE FLOATING RATE FUND CLAS	0.00	0.01	0.00	0.01	95.0	0.01
05/13/2016	MCKENNA, STEPHANIE	EATON VANCE FLOATING RATE FUND CLAS	0.00	0.01	0.00	0.01	95.0	0.01
06/15/2016	MCKENNA, STEPHANIE	EATON VANCE FLOATING RATE FUND CLAS	0.00	0.01	0.00	0.01	95.0	0.01
07/20/2016	MCKENNA, STEPHANIE	EATON VANCE FLOATING RATE FUND CLAS	0.00	0.01	0.00	0.01	95.0	0.01
08/12/2016	MCKENNA, STEPHANIE	EATON VANCE FLOATING RATE FUND CLAS	0.00	0.01	0.00	0.01	95.0	0.01
09/13/2016	MCKENNA, STEPHANIE	EATON VANCE FLOATING RATE FUND CLAS	0.00	0.01	0.00	0.01	95.0	0.01
10/12/2016	MCKENNA, STEPHANIE	EATON VANCE FLOATING RATE FUND CLAS	0.00	0.01	0.00	0.01	95.0	0.01
11/15/2016	MCKENNA, STEPHANIE	EATON VANCE FLOATING RATE FUND CLAS	0.00	0.01	0.00	0.01	95.0	0.01
12/21/2016	MCKENNA, STEPHANIE	EATON VANCE FLOATING RATE FUND CLAS	0.00	0.01	0.00	0.01	95.0	0.01
01/31/2018	HANAK, EMMA	EATON VANCE NATIONAL MUNICIPAL INCO	0.00	36.50	0.00	36.50	95.0	34.68
02/09/2018	HAZEN, JAMES	PACIFIC LIFE	131.73	1.32	0.00	1.32	95.0	1.25
02/09/2018	HAZEN, JAMES	PACIFIC LIFE	147.29	1.47	0.00	1.47	95.0	1.40
02/09/2018	TIERNAN, JOAN	SUNAMERICA FOCUSED ALPHA GROWTH A	0.00	2.63	0.00	2.63	95.0	2.50
02/09/2018	MAZZA, JUSTIN	SUNAMERICA FOCUSED ALPHA GROWTH A	0.00	2.92	0.00	2.92	95.0	2.77
02/09/2018	MAZZA, DOMENICK	SUNAMERICA FOCUSED ALPHA GROWTH A	0.00	1.47	0.00	1.47	95.0	1.40
02/09/2018	TIERNAN, JOAN	SUNAMERICA FOCUSED ALPHA LARGE CAP A	0.00	2.32	0.00	2.32	95.0	2.20
02/09/2018	CHAPMAN, CLARENCE	SUNAMERICA FOCUSED ALPHA LARGE CAP A	0.00	0.29	0.00	0.29	95.0	0.28

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
02/09/2018	MAZZA, JUSTIN	SUNAMERICA FOCUSED ALPHA LARGE CAP A	0.00	1.45	0.00	1.45	95.0	1.38
02/09/2018	MAZZA, DOMENICK	SUNAMERICA FOCUSED ALPHA LARGE CAP A	0.00	1.78	0.00	1.78	95.0	1.69
02/09/2018	ROBERTO, JOSEPH	SUNAMERICA FOCUSED ALPHA LARGE CAP A	0.00	7.49	0.00	7.49	95.0	7.12
02/09/2018	BREITFELLER, CYNTHIA	SUNAMERICA FOCUSED ALPHA LARGE CAP A	0.00	0.22	0.00	0.22	95.0	0.21
02/09/2018	BREITFELLER, CYNTHIA	SUNAMERICA SENIOR FLOATING RATE A	0.00	0.81	0.00	0.81	95.0	0.77
02/09/2018	TIERNAN, JOAN	SUNAMERICA STRATEGIC BOND FUND CLAS	0.00	1.73	0.00	1.73	95.0	1.64
02/09/2018	TIERNAN, JOAN	SUNAMERICA STRATEGIC VALUE PORTFOLI	0.00	1.51	0.00	1.51	95.0	1.43
02/09/2018	SEAMAN, PATRICIA	SUNAMERICA US GOVT SECURITIES CL A	0.00	6.39	0.00	6.39	95.0	6.07
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *			\$279.02	\$81.19	\$0.00	\$81.19		\$77.14
<u>PRODUCT CATEGORY: VARIABLE ANNUITY 12B1 TRAILS</u>								
02/05/2018	PATTERSON, BARBARA	PAC LIFE INNOVATIVE SELECT	0.00	664.83	0.00	664.83	95.0	631.59
02/05/2018	OHNGEMACH, ROBERT	PAC LIFE INNOVATIVE SELECT	0.00	78.24	0.00	78.24	95.0	74.33
02/05/2018	HANDLER, EMMA	PAC LIFE INNOVATIVE SELECT	0.00	152.69	0.00	152.69	95.0	145.06
01/29/2018	NEVIN, NANCY	PAC LIFE INNOVATIVE SELECT NY	0.00	586.49	0.00	586.49	95.0	557.17
01/30/2018	DEITSCH, PAUL	PAC LIFE INNOVATIVE SELECT NY	0.00	297.27	0.00	297.27	95.0	282.41
02/01/2018	KUDLEK, ARTHUR	PAC LIFE INNOVATIVE SELECT NY	0.00	567.08	0.00	567.08	95.0	538.73
02/09/2018	MANNETTA, VIRGINIA	PAC LIFE INNOVATIVE SELECT NY	0.00	249.85	0.00	249.85	95.0	237.36
02/09/2018	BURKHARD, BARBARA	PAC LIFE INNOVATIVE SELECT NY	0.00	410.76	0.00	410.76	95.0	390.22
02/09/2018	FOURNIER, ELIZABETH	PAC LIFE INNOVATIVE SELECT NY	0.00	336.71	0.00	336.71	95.0	319.87
* VARIABLE ANNUITY 12B1 TRAILS SUBTOTAL *			\$0.00	\$3,343.92	\$0.00	\$3,343.92		\$3,176.74
*** DIRECT TRANSACTIONS TOTAL ***			\$1,002,049.81	\$5,496.83	\$0.00	\$5,496.83		\$5,222.00

OVERRIDE TRANSACTIONS**BROKER: L149-ROBERT LUCHSINGER #388**

02/22/2016	GARDNER, MARILYN	ALLIANZ NFJ DIVIDEND VALUE FUND CLA	0.00	3.19	0.00	3.19	0.0	1.28
03/21/2016	GARDNER, MARILYN	ALLIANZ NFJ DIVIDEND VALUE FUND CLA	0.00	2.99	0.00	2.99	0.0	1.20
04/21/2016	GARDNER, MARILYN	ALLIANZ NFJ DIVIDEND VALUE FUND CLA	0.00	3.44	0.00	3.44	0.0	1.38
05/24/2016	GARDNER, MARILYN	ALLIANZ NFJ DIVIDEND VALUE FUND CLA	0.00	3.40	0.00	3.40	0.0	1.36
06/21/2016	GARDNER, MARILYN	ALLIANZ NFJ DIVIDEND VALUE FUND CLA	0.00	3.49	0.00	3.49	0.0	1.40
07/21/2016	GARDNER, MARILYN	ALLIANZ NFJ DIVIDEND VALUE FUND CLA	0.00	3.39	0.00	3.39	0.0	1.36
08/22/2016	GARDNER, MARILYN	ALLIANZ NFJ DIVIDEND VALUE FUND CLA	0.00	3.60	0.00	3.60	0.0	1.44
09/21/2016	GARDNER, MARILYN	ALLIANZ NFJ DIVIDEND VALUE FUND CLA	0.00	3.62	0.00	3.62	0.0	1.45

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<u>VERRIDE TRANSACTIONS</u>								
BROKER: L149-ROBERT LUCHSINGER #388								
10/21/2016	GARDNER, MARILYN	ALLIANZ NFJ DIVIDEND VALUE FUND CLA	0.00	3.48	0.00	3.48	0.0	1.39
11/21/2016	GARDNER, MARILYN	ALLIANZ NFJ DIVIDEND VALUE FUND CLA	0.00	3.58	0.00	3.58	0.0	1.43
12/14/2016	GARDNER, MARILYN	ALLIANZ NFJ DIVIDEND VALUE FUND CLA	0.00	3.58	0.00	3.58	0.0	1.43
02/22/2016	GARDNER, MARILYN	ALLIANZ NFJ LARGE CAP VALUE A	0.00	2.49	0.00	2.49	0.0	1.00
03/21/2016	GARDNER, MARILYN	ALLIANZ NFJ LARGE CAP VALUE A	0.00	2.29	0.00	2.29	0.0	0.92
04/21/2016	GARDNER, MARILYN	ALLIANZ NFJ LARGE CAP VALUE A	0.00	2.61	0.00	2.61	0.0	1.04
05/24/2016	GARDNER, MARILYN	ALLIANZ NFJ LARGE CAP VALUE A	0.00	2.59	0.00	2.59	0.0	1.04
06/21/2016	GARDNER, MARILYN	ALLIANZ NFJ LARGE CAP VALUE A	0.00	2.67	0.00	2.67	0.0	1.07
07/21/2016	GARDNER, MARILYN	ALLIANZ NFJ LARGE CAP VALUE A	0.00	2.60	0.00	2.60	0.0	1.04
08/22/2016	GARDNER, MARILYN	ALLIANZ NFJ LARGE CAP VALUE A	0.00	2.76	0.00	2.76	0.0	1.10
09/21/2016	GARDNER, MARILYN	ALLIANZ NFJ LARGE CAP VALUE A	0.00	2.78	0.00	2.78	0.0	1.11
10/21/2016	GARDNER, MARILYN	ALLIANZ NFJ LARGE CAP VALUE A	0.00	2.67	0.00	2.67	0.0	1.07
11/21/2016	GARDNER, MARILYN	ALLIANZ NFJ LARGE CAP VALUE A	0.00	2.76	0.00	2.76	0.0	1.10
12/14/2016	GARDNER, MARILYN	ALLIANZ NFJ LARGE CAP VALUE A	0.00	2.77	0.00	2.77	0.0	1.11
02/10/2016	PANZZIE TRUST, FRANK	EATON VANCE TAX MANAGED GROWTH A	0.00	17.71	0.00	17.71	0.0	7.08
03/16/2016	PANZZIE TRUST, FRANK	EATON VANCE TAX MANAGED GROWTH A	0.00	16.22	0.00	16.22	0.0	6.49
04/25/2016	PANZZIE TRUST, FRANK	EATON VANCE TAX MANAGED GROWTH A	0.00	18.36	0.00	18.36	0.0	7.34
05/13/2016	PANZZIE TRUST, FRANK	EATON VANCE TAX MANAGED GROWTH A	0.00	18.25	0.00	18.25	0.0	7.30
06/15/2016	PANZZIE TRUST, FRANK	EATON VANCE TAX MANAGED GROWTH A	0.00	18.76	0.00	18.76	0.0	7.50
07/20/2016	PANZZIE TRUST, FRANK	EATON VANCE TAX MANAGED GROWTH A	0.00	18.22	0.00	18.22	0.0	7.29
08/12/2016	PANZZIE TRUST, FRANK	EATON VANCE TAX MANAGED GROWTH A	0.00	19.43	0.00	19.43	0.0	7.77
09/13/2016	PANZZIE TRUST, FRANK	EATON VANCE TAX MANAGED GROWTH A	0.00	19.81	0.00	19.81	0.0	7.92
10/12/2016	PANZZIE TRUST, FRANK	EATON VANCE TAX MANAGED GROWTH A	0.00	18.99	0.00	18.99	0.0	7.60
11/15/2016	PANZZIE TRUST, FRANK	EATON VANCE TAX MANAGED GROWTH A	0.00	19.50	0.00	19.50	0.0	7.80
12/21/2016	PANZZIE TRUST, FRANK	EATON VANCE TAX MANAGED GROWTH A	0.00	19.11	0.00	19.11	0.0	7.64
02/16/2016	GARDNER, MARILYN	FRANKLIN INCOME A	0.00	2.17	0.00	2.17	0.0	0.87
03/16/2016	GARDNER, MARILYN	FRANKLIN INCOME A	0.00	2.01	0.00	2.01	0.0	0.80
04/15/2016	GARDNER, MARILYN	FRANKLIN INCOME A	0.00	2.28	0.00	2.28	0.0	0.91
05/13/2016	GARDNER, MARILYN	FRANKLIN INCOME A	0.00	2.27	0.00	2.27	0.0	0.91
06/14/2016	GARDNER, MARILYN	FRANKLIN INCOME A	0.00	2.36	0.00	2.36	0.0	0.94
07/14/2016	GARDNER, MARILYN	FRANKLIN INCOME A	0.00	2.31	0.00	2.31	0.0	0.92
08/15/2016	GARDNER, MARILYN	FRANKLIN INCOME A	0.00	2.47	0.00	2.47	0.0	0.99
09/14/2016	GARDNER, MARILYN	FRANKLIN INCOME A	0.00	2.50	0.00	2.50	0.0	1.00

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<u> OVERRIDE TRANSACTIONS </u>								
<u> BROKER: L149-ROBERT LUCHSINGER #388 </u>								
10/18/2016	GARDNER, MARILYN	FRANKLIN INCOME A	0.00	2.42	0.00	2.42	0.0	0.97
11/15/2016	GARDNER, MARILYN	FRANKLIN INCOME A	0.00	2.52	0.00	2.52	0.0	1.01
12/16/2016	GARDNER, MARILYN	FRANKLIN INCOME A	0.00	2.44	0.00	2.44	0.0	0.98
02/10/2018	TIERNAN, JOAN	ING EMPIRE INNOVATIONS STD OPT A	100,351.76	250.88	0.00	250.88	0.0	100.35
02/22/2016	MANNETTA, VIRGINIA	OPPENHEIMER GLOBAL A	0.00	1.55	0.00	1.55	0.0	0.62
03/17/2016	MANNETTA, VIRGINIA	OPPENHEIMER GLOBAL A	0.00	1.38	0.00	1.38	0.0	0.55
04/21/2016	MANNETTA, VIRGINIA	OPPENHEIMER GLOBAL A	0.00	1.56	0.00	1.56	0.0	0.62
05/19/2016	MANNETTA, VIRGINIA	OPPENHEIMER GLOBAL A	0.00	1.55	0.00	1.55	0.0	0.62
06/30/2016	MANNETTA, VIRGINIA	OPPENHEIMER GLOBAL A	0.00	1.59	0.00	1.59	0.0	0.64
07/18/2016	MANNETTA, VIRGINIA	OPPENHEIMER GLOBAL A	0.00	1.52	0.00	1.52	0.0	0.61
08/24/2016	MANNETTA, VIRGINIA	OPPENHEIMER GLOBAL A	0.00	1.60	0.00	1.60	0.0	0.64
09/22/2016	MANNETTA, VIRGINIA	OPPENHEIMER GLOBAL A	0.00	1.67	0.00	1.67	0.0	0.67
10/21/2016	MANNETTA, VIRGINIA	OPPENHEIMER GLOBAL A	0.00	1.63	0.00	1.63	0.0	0.65
11/21/2016	MANNETTA, VIRGINIA	OPPENHEIMER GLOBAL A	0.00	1.68	0.00	1.68	0.0	0.67
12/19/2016	MANNETTA, VIRGINIA	OPPENHEIMER GLOBAL A	0.00	1.62	0.00	1.62	0.0	0.65
02/22/2016	HUNTE, SHEILA	OPPENHEIMER ROCHESTER MUNICIPALS A	0.00	3.26	0.00	3.26	0.0	1.30
02/22/2016	PANZZIE TRUST, FRANK	OPPENHEIMER ROCHESTER MUNICIPALS A	0.00	1.33	0.00	1.33	0.0	0.53
03/17/2016	HUNTE, SHEILA	OPPENHEIMER ROCHESTER MUNICIPALS A	0.00	3.08	0.00	3.08	0.0	1.23
03/17/2016	PANZZIE TRUST, FRANK	OPPENHEIMER ROCHESTER MUNICIPALS A	0.00	1.26	0.00	1.26	0.0	0.50
04/21/2016	HUNTE, SHEILA	OPPENHEIMER ROCHESTER MUNICIPALS A	0.00	3.30	0.00	3.30	0.0	1.32
04/21/2016	PANZZIE TRUST, FRANK	OPPENHEIMER ROCHESTER MUNICIPALS A	0.00	1.35	0.00	1.35	0.0	0.54
05/19/2016	HUNTE, SHEILA	OPPENHEIMER ROCHESTER MUNICIPALS A	0.00	3.22	0.00	3.22	0.0	1.29
05/19/2016	PANZZIE TRUST, FRANK	OPPENHEIMER ROCHESTER MUNICIPALS A	0.00	1.31	0.00	1.31	0.0	0.52
06/30/2016	HUNTE, SHEILA	OPPENHEIMER ROCHESTER MUNICIPALS A	0.00	3.35	0.00	3.35	0.0	1.34
06/30/2016	PANZZIE TRUST, FRANK	OPPENHEIMER ROCHESTER MUNICIPALS A	0.00	1.37	0.00	1.37	0.0	0.55
07/18/2016	HUNTE, SHEILA	OPPENHEIMER ROCHESTER MUNICIPALS A	0.00	3.33	0.00	3.33	0.0	1.33
07/18/2016	PANZZIE TRUST, FRANK	OPPENHEIMER ROCHESTER MUNICIPALS A	0.00	1.36	0.00	1.36	0.0	0.54
08/24/2016	HUNTE, SHEILA	OPPENHEIMER ROCHESTER MUNICIPALS A	0.00	3.52	0.00	3.52	0.0	1.41
08/24/2016	PANZZIE TRUST, FRANK	OPPENHEIMER ROCHESTER MUNICIPALS A	0.00	1.44	0.00	1.44	0.0	0.58
09/22/2016	HUNTE, SHEILA	OPPENHEIMER ROCHESTER MUNICIPALS A	0.00	3.54	0.00	3.54	0.0	1.42
09/22/2016	PANZZIE TRUST, FRANK	OPPENHEIMER ROCHESTER MUNICIPALS A	0.00	1.45	0.00	1.45	0.0	0.58
10/21/2016	HUNTE, SHEILA	OPPENHEIMER ROCHESTER MUNICIPALS A	0.00	3.44	0.00	3.44	0.0	1.38
10/21/2016	PANZZIE TRUST, FRANK	OPPENHEIMER ROCHESTER MUNICIPALS A	0.00	1.41	0.00	1.41	0.0	0.56

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u> OVERRIDE TRANSACTIONS </u>								
<u> BROKER: L149-ROBERT LUCHSINGER #388 </u>								
11/21/2016	HUNTE, SHEILA	OPPENHEIMER ROCHESTER MUNICIPALS A	0.00	3.56	0.00	3.56	0.0	1.42
11/21/2016	PANZZIE TRUST, FRANK	OPPENHEIMER ROCHESTER MUNICIPALS A	0.00	1.45	0.00	1.45	0.0	0.58
12/19/2016	HUNTE, SHEILA	OPPENHEIMER ROCHESTER MUNICIPALS A	0.00	3.39	0.00	3.39	0.0	1.36
12/19/2016	PANZZIE TRUST, FRANK	OPPENHEIMER ROCHESTER MUNICIPALS A	0.00	1.38	0.00	1.38	0.0	0.55
02/22/2016	GALLAS, AGNES	OPPENHEIMER STEELPATH MLP INCOME FU	0.00	2.56	0.00	2.56	0.0	1.02
03/17/2016	GALLAS, AGNES	OPPENHEIMER STEELPATH MLP INCOME FU	0.00	0.77	0.00	0.77	0.0	0.31
02/22/2016	QUIGLEY, BARBARA	PAC LIFE FLOATING RATE INCOME FUND	0.00	0.81	0.00	0.81	0.0	0.32
02/22/2016	VIONE, LESLEY	PAC LIFE FLOATING RATE INCOME FUND	0.00	0.95	0.00	0.95	0.0	0.38
02/22/2016	GARDNER, MARILYN	PAC LIFE FLOATING RATE INCOME FUND	0.00	1.20	0.00	1.20	0.0	0.48
02/22/2016	LEONARD JR, JOHN	PAC LIFE FLOATING RATE INCOME FUND	0.00	4.72	0.00	4.72	0.0	1.89
02/22/2016	PANZZIE TRUST, FRANK	PAC LIFE FLOATING RATE INCOME FUND	0.00	1.94	0.00	1.94	0.0	0.78
02/22/2016	KNAACK, PATRICIA	PAC LIFE FLOATING RATE INCOME FUND	0.00	0.57	0.00	0.57	0.0	0.23
03/18/2016	QUIGLEY, BARBARA	PAC LIFE FLOATING RATE INCOME FUND	0.00	0.75	0.00	0.75	0.0	0.30
03/18/2016	VIONE, LESLEY	PAC LIFE FLOATING RATE INCOME FUND	0.00	0.88	0.00	0.88	0.0	0.35
03/18/2016	GARDNER, MARILYN	PAC LIFE FLOATING RATE INCOME FUND	0.00	1.11	0.00	1.11	0.0	0.44
03/18/2016	LEONARD JR, JOHN	PAC LIFE FLOATING RATE INCOME FUND	0.00	4.39	0.00	4.39	0.0	1.76
03/18/2016	PANZZIE TRUST, FRANK	PAC LIFE FLOATING RATE INCOME FUND	0.00	1.80	0.00	1.80	0.0	0.72
03/18/2016	KNAACK, PATRICIA	PAC LIFE FLOATING RATE INCOME FUND	0.00	0.53	0.00	0.53	0.0	0.21
04/20/2016	QUIGLEY, BARBARA	PAC LIFE FLOATING RATE INCOME FUND	0.00	1.04	0.00	1.04	0.0	0.42
04/20/2016	VIONE, LESLEY	PAC LIFE FLOATING RATE INCOME FUND	0.00	0.96	0.00	0.96	0.0	0.38
04/20/2016	GARDNER, MARILYN	PAC LIFE FLOATING RATE INCOME FUND	0.00	1.21	0.00	1.21	0.0	0.48
04/20/2016	LEONARD JR, JOHN	PAC LIFE FLOATING RATE INCOME FUND	0.00	4.77	0.00	4.77	0.0	1.91
04/20/2016	PANZZIE TRUST, FRANK	PAC LIFE FLOATING RATE INCOME FUND	0.00	1.96	0.00	1.96	0.0	0.78
04/20/2016	KNAACK, PATRICIA	PAC LIFE FLOATING RATE INCOME FUND	0.00	0.57	0.00	0.57	0.0	0.23
05/24/2016	QUIGLEY, BARBARA	PAC LIFE FLOATING RATE INCOME FUND	0.00	1.10	0.00	1.10	0.0	0.44
05/24/2016	VIONE, LESLEY	PAC LIFE FLOATING RATE INCOME FUND	0.00	0.94	0.00	0.94	0.0	0.38
05/24/2016	GARDNER, MARILYN	PAC LIFE FLOATING RATE INCOME FUND	0.00	1.18	0.00	1.18	0.0	0.47
05/24/2016	LEONARD JR, JOHN	PAC LIFE FLOATING RATE INCOME FUND	0.00	4.67	0.00	4.67	0.0	1.87
05/24/2016	PANZZIE TRUST, FRANK	PAC LIFE FLOATING RATE INCOME FUND	0.00	1.92	0.00	1.92	0.0	0.77
05/24/2016	KNAACK, PATRICIA	PAC LIFE FLOATING RATE INCOME FUND	0.00	0.56	0.00	0.56	0.0	0.22
06/16/2016	QUIGLEY, BARBARA	PAC LIFE FLOATING RATE INCOME FUND	0.00	1.15	0.00	1.15	0.0	0.46
06/16/2016	VIONE, LESLEY	PAC LIFE FLOATING RATE INCOME FUND	0.00	0.98	0.00	0.98	0.0	0.39
06/16/2016	GARDNER, MARILYN	PAC LIFE FLOATING RATE INCOME FUND	0.00	1.24	0.00	1.24	0.0	0.50

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<u> OVERRIDE TRANSACTIONS </u>								
BROKER: L149-ROBERT LUCHSINGER #388								
06/16/2016	LEONARD JR, JOHN	PAC LIFE FLOATING RATE INCOME FUND	0.00	4.87	0.00	4.87	0.0	1.95
06/16/2016	PANZZIE TRUST, FRANK	PAC LIFE FLOATING RATE INCOME FUND	0.00	2.00	0.00	2.00	0.0	0.80
06/16/2016	KNAACK, PATRICIA	PAC LIFE FLOATING RATE INCOME FUND	0.00	0.58	0.00	0.58	0.0	0.23
07/19/2016	QUIGLEY, BARBARA	PAC LIFE FLOATING RATE INCOME FUND	0.00	1.12	0.00	1.12	0.0	0.45
07/19/2016	VIONE, LESLEY	PAC LIFE FLOATING RATE INCOME FUND	0.00	0.95	0.00	0.95	0.0	0.38
07/19/2016	GARDNER, MARILYN	PAC LIFE FLOATING RATE INCOME FUND	0.00	1.20	0.00	1.20	0.0	0.48
07/19/2016	LEONARD JR, JOHN	PAC LIFE FLOATING RATE INCOME FUND	0.00	4.73	0.00	4.73	0.0	1.89
07/19/2016	PANZZIE TRUST, FRANK	PAC LIFE FLOATING RATE INCOME FUND	0.00	1.95	0.00	1.95	0.0	0.78
07/19/2016	KNAACK, PATRICIA	PAC LIFE FLOATING RATE INCOME FUND	0.00	0.57	0.00	0.57	0.0	0.23
08/18/2016	QUIGLEY, BARBARA	PAC LIFE FLOATING RATE INCOME FUND	0.00	0.67	0.00	0.67	0.0	0.27
08/18/2016	VIONE, LESLEY	PAC LIFE FLOATING RATE INCOME FUND	0.00	0.99	0.00	0.99	0.0	0.40
08/18/2016	GARDNER, MARILYN	PAC LIFE FLOATING RATE INCOME FUND	0.00	1.25	0.00	1.25	0.0	0.50
08/18/2016	LEONARD JR, JOHN	PAC LIFE FLOATING RATE INCOME FUND	0.00	4.92	0.00	4.92	0.0	1.97
08/18/2016	PANZZIE TRUST, FRANK	PAC LIFE FLOATING RATE INCOME FUND	0.00	2.02	0.00	2.02	0.0	0.81
08/18/2016	KNAACK, PATRICIA	PAC LIFE FLOATING RATE INCOME FUND	0.00	0.59	0.00	0.59	0.0	0.24
09/22/2016	VIONE, LESLEY	PAC LIFE FLOATING RATE INCOME FUND	0.00	1.00	0.00	1.00	0.0	0.40
09/22/2016	GARDNER, MARILYN	PAC LIFE FLOATING RATE INCOME FUND	0.00	1.26	0.00	1.26	0.0	0.50
09/22/2016	LEONARD JR, JOHN	PAC LIFE FLOATING RATE INCOME FUND	0.00	4.95	0.00	4.95	0.0	1.98
09/22/2016	PANZZIE TRUST, FRANK	PAC LIFE FLOATING RATE INCOME FUND	0.00	2.04	0.00	2.04	0.0	0.82
09/22/2016	KNAACK, PATRICIA	PAC LIFE FLOATING RATE INCOME FUND	0.00	0.59	0.00	0.59	0.0	0.24
10/20/2016	VIONE, LESLEY	PAC LIFE FLOATING RATE INCOME FUND	0.00	0.97	0.00	0.97	0.0	0.39
10/20/2016	GARDNER, MARILYN	PAC LIFE FLOATING RATE INCOME FUND	0.00	1.22	0.00	1.22	0.0	0.49
10/20/2016	LEONARD JR, JOHN	PAC LIFE FLOATING RATE INCOME FUND	0.00	4.82	0.00	4.82	0.0	1.93
10/20/2016	PANZZIE TRUST, FRANK	PAC LIFE FLOATING RATE INCOME FUND	0.00	1.98	0.00	1.98	0.0	0.79
10/20/2016	KNAACK, PATRICIA	PAC LIFE FLOATING RATE INCOME FUND	0.00	0.58	0.00	0.58	0.0	0.23
11/25/2016	VIONE, LESLEY	PAC LIFE FLOATING RATE INCOME FUND	0.00	1.01	0.00	1.01	0.0	0.40
11/25/2016	GARDNER, MARILYN	PAC LIFE FLOATING RATE INCOME FUND	0.00	1.27	0.00	1.27	0.0	0.51
11/25/2016	LEONARD JR, JOHN	PAC LIFE FLOATING RATE INCOME FUND	0.00	5.02	0.00	5.02	0.0	2.01
11/25/2016	PANZZIE TRUST, FRANK	PAC LIFE FLOATING RATE INCOME FUND	0.00	2.06	0.00	2.06	0.0	0.82
11/25/2016	KNAACK, PATRICIA	PAC LIFE FLOATING RATE INCOME FUND	0.00	0.60	0.00	0.60	0.0	0.24
12/21/2016	VIONE, LESLEY	PAC LIFE FLOATING RATE INCOME FUND	0.00	0.98	0.00	0.98	0.0	0.39
12/21/2016	GARDNER, MARILYN	PAC LIFE FLOATING RATE INCOME FUND	0.00	1.24	0.00	1.24	0.0	0.50
12/21/2016	LEONARD JR, JOHN	PAC LIFE FLOATING RATE INCOME FUND	0.00	4.87	0.00	4.87	0.0	1.95

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<u> OVERRIDE TRANSACTIONS </u>								
BROKER: L149-ROBERT LUCHSINGER #388								
12/21/2016	PANZZIE TRUST, FRANK	PAC LIFE FLOATING RATE INCOME FUND	0.00	2.00	0.00	2.00	0.0	0.80
12/21/2016	KNAACK, PATRICIA	PAC LIFE FLOATING RATE INCOME FUND	0.00	0.58	0.00	0.58	0.0	0.23
02/22/2016	REILLY, JAMES	PAC LIFE PORT OPTIM MOD AGG	0.00	6.92	0.00	6.92	0.0	2.77
03/18/2016	REILLY, JAMES	PAC LIFE PORT OPTIM MOD AGG	0.00	6.33	0.00	6.33	0.0	2.53
04/20/2016	REILLY, JAMES	PAC LIFE PORT OPTIM MOD AGG	0.00	7.19	0.00	7.19	0.0	2.88
05/24/2016	REILLY, JAMES	PAC LIFE PORT OPTIM MOD AGG	0.00	7.13	0.00	7.13	0.0	2.85
06/16/2016	REILLY, JAMES	PAC LIFE PORT OPTIM MOD AGG	0.00	7.35	0.00	7.35	0.0	2.94
07/19/2016	REILLY, JAMES	PAC LIFE PORT OPTIM MOD AGG	0.00	7.16	0.00	7.16	0.0	2.86
08/18/2016	REILLY, JAMES	PAC LIFE PORT OPTIM MOD AGG	0.00	7.57	0.00	7.57	0.0	3.03
09/22/2016	REILLY, JAMES	PAC LIFE PORT OPTIM MOD AGG	0.00	7.72	0.00	7.72	0.0	3.09
10/20/2016	REILLY, JAMES	PAC LIFE PORT OPTIM MOD AGG	0.00	7.46	0.00	7.46	0.0	2.98
11/25/2016	REILLY, JAMES	PAC LIFE PORT OPTIM MOD AGG	0.00	7.69	0.00	7.69	0.0	3.08
12/21/2016	REILLY, JAMES	PAC LIFE PORT OPTIM MOD AGG	0.00	7.45	0.00	7.45	0.0	2.98
02/02/2018	CIOS, ANNA	PACIFIC LIFE	100.00	4.75	0.00	4.75	0.0	1.90
02/02/2018	TERMINE, MASON	PACIFIC LIFE	100.00	4.75	0.00	4.75	0.0	1.90
02/02/2018	CIOS, ROCCO	PACIFIC LIFE	100.00	4.75	0.00	4.75	0.0	1.90
02/02/2018	TERMINE, MILO	PACIFIC LIFE	100.00	4.75	0.00	4.75	0.0	1.90
02/22/2016	PANZZIE TRUST, FRANK	PACIFIC LIFE FUNDS STRATEGIC INCOME	0.00	0.98	0.00	0.98	0.0	0.39
02/22/2016	KNAACK, PATRICIA	PACIFIC LIFE FUNDS STRATEGIC INCOME	0.00	1.56	0.00	1.56	0.0	0.62
03/18/2016	PANZZIE TRUST, FRANK	PACIFIC LIFE FUNDS STRATEGIC INCOME	0.00	0.91	0.00	0.91	0.0	0.36
03/18/2016	KNAACK, PATRICIA	PACIFIC LIFE FUNDS STRATEGIC INCOME	0.00	1.45	0.00	1.45	0.0	0.58
04/20/2016	PANZZIE TRUST, FRANK	PACIFIC LIFE FUNDS STRATEGIC INCOME	0.00	1.01	0.00	1.01	0.0	0.40
04/20/2016	KNAACK, PATRICIA	PACIFIC LIFE FUNDS STRATEGIC INCOME	0.00	1.61	0.00	1.61	0.0	0.64
05/24/2016	PANZZIE TRUST, FRANK	PACIFIC LIFE FUNDS STRATEGIC INCOME	0.00	1.00	0.00	1.00	0.0	0.40
05/24/2016	KNAACK, PATRICIA	PACIFIC LIFE FUNDS STRATEGIC INCOME	0.00	1.59	0.00	1.59	0.0	0.64
06/16/2016	PANZZIE TRUST, FRANK	PACIFIC LIFE FUNDS STRATEGIC INCOME	0.00	1.05	0.00	1.05	0.0	0.42
06/16/2016	KNAACK, PATRICIA	PACIFIC LIFE FUNDS STRATEGIC INCOME	0.00	1.67	0.00	1.67	0.0	0.67
07/19/2016	PANZZIE TRUST, FRANK	PACIFIC LIFE FUNDS STRATEGIC INCOME	0.00	1.03	0.00	1.03	0.0	0.41
07/19/2016	KNAACK, PATRICIA	PACIFIC LIFE FUNDS STRATEGIC INCOME	0.00	1.63	0.00	1.63	0.0	0.65
08/18/2016	PANZZIE TRUST, FRANK	PACIFIC LIFE FUNDS STRATEGIC INCOME	0.00	1.08	0.00	1.08	0.0	0.43
08/18/2016	KNAACK, PATRICIA	PACIFIC LIFE FUNDS STRATEGIC INCOME	0.00	1.72	0.00	1.72	0.0	0.69
09/22/2016	PANZZIE TRUST, FRANK	PACIFIC LIFE FUNDS STRATEGIC INCOME	0.00	1.09	0.00	1.09	0.0	0.44
09/22/2016	KNAACK, PATRICIA	PACIFIC LIFE FUNDS STRATEGIC INCOME	0.00	1.74	0.00	1.74	0.0	0.70

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<u> OVERRIDE TRANSACTIONS </u>								
BROKER: L149-ROBERT LUCHSINGER #388								
10/20/2016	PANZZIE TRUST, FRANK	PACIFIC LIFE FUNDS STRATEGIC INCOME	0.00	1.06	0.00	1.06	0.0	0.42
10/20/2016	KNAACK, PATRICIA	PACIFIC LIFE FUNDS STRATEGIC INCOME	0.00	1.69	0.00	1.69	0.0	0.68
11/25/2016	PANZZIE TRUST, FRANK	PACIFIC LIFE FUNDS STRATEGIC INCOME	0.00	1.10	0.00	1.10	0.0	0.44
11/25/2016	KNAACK, PATRICIA	PACIFIC LIFE FUNDS STRATEGIC INCOME	0.00	1.76	0.00	1.76	0.0	0.70
12/21/2016	PANZZIE TRUST, FRANK	PACIFIC LIFE FUNDS STRATEGIC INCOME	0.00	1.06	0.00	1.06	0.0	0.42
12/21/2016	KNAACK, PATRICIA	PACIFIC LIFE FUNDS STRATEGIC INCOME	0.00	1.68	0.00	1.68	0.0	0.67
02/22/2016	MANNETTA, VIRGINIA	ROCHESTER LIMITED TERM NEW YORK MUN	0.00	5.32	0.00	5.32	0.0	2.13
03/17/2016	MANNETTA, VIRGINIA	ROCHESTER LIMITED TERM NEW YORK MUN	0.00	4.97	0.00	4.97	0.0	1.99
04/21/2016	MANNETTA, VIRGINIA	ROCHESTER LIMITED TERM NEW YORK MUN	0.00	5.30	0.00	5.30	0.0	2.12
05/19/2016	MANNETTA, VIRGINIA	ROCHESTER LIMITED TERM NEW YORK MUN	0.00	5.12	0.00	5.12	0.0	2.05
06/30/2016	MANNETTA, VIRGINIA	ROCHESTER LIMITED TERM NEW YORK MUN	0.00	5.28	0.00	5.28	0.0	2.11
07/18/2016	MANNETTA, VIRGINIA	ROCHESTER LIMITED TERM NEW YORK MUN	0.00	5.16	0.00	5.16	0.0	2.06
08/24/2016	MANNETTA, VIRGINIA	ROCHESTER LIMITED TERM NEW YORK MUN	0.00	5.36	0.00	5.36	0.0	2.14
09/22/2016	MANNETTA, VIRGINIA	ROCHESTER LIMITED TERM NEW YORK MUN	0.00	5.35	0.00	5.35	0.0	2.14
10/21/2016	MANNETTA, VIRGINIA	ROCHESTER LIMITED TERM NEW YORK MUN	0.00	5.18	0.00	5.18	0.0	2.07
11/21/2016	MANNETTA, VIRGINIA	ROCHESTER LIMITED TERM NEW YORK MUN	0.00	5.32	0.00	5.32	0.0	2.13
12/19/2016	MANNETTA, VIRGINIA	ROCHESTER LIMITED TERM NEW YORK MUN	0.00	5.10	0.00	5.10	0.0	2.04
/ /	KNAACK, JOHN	RYDEX GUGG MID CAP VALUE A	0.00	5.36	0.00	5.36	0.0	2.14
02/12/2016	VIONE, LESLEY	SUNAMERICA FOCUSED ALPHA GROWTH A	0.00	0.10	0.00	0.10	0.0	0.04
02/12/2016	CELENTANO, MAURA	SUNAMERICA FOCUSED ALPHA GROWTH A	0.00	0.39	0.00	0.39	0.0	0.16
03/15/2016	VIONE, LESLEY	SUNAMERICA FOCUSED ALPHA GROWTH A	0.00	0.09	0.00	0.09	0.0	0.04
03/15/2016	CELENTANO, MAURA	SUNAMERICA FOCUSED ALPHA GROWTH A	0.00	0.36	0.00	0.36	0.0	0.14
04/15/2016	VIONE, LESLEY	SUNAMERICA FOCUSED ALPHA GROWTH A	0.00	0.11	0.00	0.11	0.0	0.04
04/15/2016	CELENTANO, MAURA	SUNAMERICA FOCUSED ALPHA GROWTH A	0.00	0.41	0.00	0.41	0.0	0.16
05/19/2016	VIONE, LESLEY	SUNAMERICA FOCUSED ALPHA GROWTH A	0.00	0.10	0.00	0.10	0.0	0.04
05/19/2016	CELENTANO, MAURA	SUNAMERICA FOCUSED ALPHA GROWTH A	0.00	0.41	0.00	0.41	0.0	0.16
06/15/2016	VIONE, LESLEY	SUNAMERICA FOCUSED ALPHA GROWTH A	0.00	0.11	0.00	0.11	0.0	0.04
06/15/2016	CELENTANO, MAURA	SUNAMERICA FOCUSED ALPHA GROWTH A	0.00	0.42	0.00	0.42	0.0	0.17
07/14/2016	VIONE, LESLEY	SUNAMERICA FOCUSED ALPHA GROWTH A	0.00	0.10	0.00	0.10	0.0	0.04
07/14/2016	CELENTANO, MAURA	SUNAMERICA FOCUSED ALPHA GROWTH A	0.00	0.40	0.00	0.40	0.0	0.16
08/10/2016	VIONE, LESLEY	SUNAMERICA FOCUSED ALPHA GROWTH A	0.00	0.11	0.00	0.11	0.0	0.04
08/10/2016	CELENTANO, MAURA	SUNAMERICA FOCUSED ALPHA GROWTH A	0.00	0.43	0.00	0.43	0.0	0.17
09/16/2016	VIONE, LESLEY	SUNAMERICA FOCUSED ALPHA GROWTH A	0.00	0.11	0.00	0.11	0.0	0.04

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<u> OVERRIDE TRANSACTIONS </u>								
BROKER: L149-ROBERT LUCHSINGER #388								
09/16/2016	CELENTANO, MAURA	SUNAMERICA FOCUSED ALPHA GROWTH A	0.00	0.44	0.00	0.44	0.0	0.18
10/12/2016	VIONE, LESLEY	SUNAMERICA FOCUSED ALPHA GROWTH A	0.00	0.11	0.00	0.11	0.0	0.04
10/12/2016	CELENTANO, MAURA	SUNAMERICA FOCUSED ALPHA GROWTH A	0.00	0.43	0.00	0.43	0.0	0.17
11/11/2016	VIONE, LESLEY	SUNAMERICA FOCUSED ALPHA GROWTH A	0.00	0.11	0.00	0.11	0.0	0.04
11/11/2016	CELENTANO, MAURA	SUNAMERICA FOCUSED ALPHA GROWTH A	0.00	0.44	0.00	0.44	0.0	0.18
12/19/2016	VIONE, LESLEY	SUNAMERICA FOCUSED ALPHA GROWTH A	0.00	0.11	0.00	0.11	0.0	0.04
12/19/2016	CELENTANO, MAURA	SUNAMERICA FOCUSED ALPHA GROWTH A	0.00	0.41	0.00	0.41	0.0	0.16
02/12/2016	REILLY, JAMES	SUNAMERICA FOCUSED ALPHA LARGE CAP A	0.00	3.46	0.00	3.46	0.0	1.38
02/12/2016	CELENTANO, MAURA	SUNAMERICA FOCUSED ALPHA LARGE CAP A	0.00	1.44	0.00	1.44	0.0	0.58
03/15/2016	REILLY, JAMES	SUNAMERICA FOCUSED ALPHA LARGE CAP A	0.00	3.14	0.00	3.14	0.0	1.26
03/15/2016	CELENTANO, MAURA	SUNAMERICA FOCUSED ALPHA LARGE CAP A	0.00	1.31	0.00	1.31	0.0	0.52
04/15/2016	REILLY, JAMES	SUNAMERICA FOCUSED ALPHA LARGE CAP A	0.00	3.55	0.00	3.55	0.0	1.42
04/15/2016	CELENTANO, MAURA	SUNAMERICA FOCUSED ALPHA LARGE CAP A	0.00	1.48	0.00	1.48	0.0	0.59
05/19/2016	REILLY, JAMES	SUNAMERICA FOCUSED ALPHA LARGE CAP A	0.00	3.51	0.00	3.51	0.0	1.40
05/19/2016	CELENTANO, MAURA	SUNAMERICA FOCUSED ALPHA LARGE CAP A	0.00	1.46	0.00	1.46	0.0	0.58
06/15/2016	REILLY, JAMES	SUNAMERICA FOCUSED ALPHA LARGE CAP A	0.00	3.60	0.00	3.60	0.0	1.44
06/15/2016	CELENTANO, MAURA	SUNAMERICA FOCUSED ALPHA LARGE CAP A	0.00	1.50	0.00	1.50	0.0	0.60
07/14/2016	REILLY, JAMES	SUNAMERICA FOCUSED ALPHA LARGE CAP A	0.00	3.49	0.00	3.49	0.0	1.40
07/14/2016	CELENTANO, MAURA	SUNAMERICA FOCUSED ALPHA LARGE CAP A	0.00	1.45	0.00	1.45	0.0	0.58
08/10/2016	REILLY, JAMES	SUNAMERICA FOCUSED ALPHA LARGE CAP A	0.00	3.68	0.00	3.68	0.0	1.47
08/10/2016	CELENTANO, MAURA	SUNAMERICA FOCUSED ALPHA LARGE CAP A	0.00	1.53	0.00	1.53	0.0	0.61
09/16/2016	REILLY, JAMES	SUNAMERICA FOCUSED ALPHA LARGE CAP A	0.00	3.77	0.00	3.77	0.0	1.51
09/16/2016	CELENTANO, MAURA	SUNAMERICA FOCUSED ALPHA LARGE CAP A	0.00	1.57	0.00	1.57	0.0	0.63
10/12/2016	REILLY, JAMES	SUNAMERICA FOCUSED ALPHA LARGE CAP A	0.00	3.63	0.00	3.63	0.0	1.45
10/12/2016	CELENTANO, MAURA	SUNAMERICA FOCUSED ALPHA LARGE CAP A	0.00	1.51	0.00	1.51	0.0	0.60
11/11/2016	REILLY, JAMES	SUNAMERICA FOCUSED ALPHA LARGE CAP A	0.00	3.74	0.00	3.74	0.0	1.50
11/11/2016	CELENTANO, MAURA	SUNAMERICA FOCUSED ALPHA LARGE CAP A	0.00	1.56	0.00	1.56	0.0	0.62
12/19/2016	REILLY, JAMES	SUNAMERICA FOCUSED ALPHA LARGE CAP A	0.00	3.67	0.00	3.67	0.0	1.47
12/19/2016	CELENTANO, MAURA	SUNAMERICA FOCUSED ALPHA LARGE CAP A	0.00	1.53	0.00	1.53	0.0	0.61
02/09/2018	WESTRENN, SUSAN	SUNAMERICA FOCUSED ALPHA LARGE CAP A	0.00	1.62	0.00	1.62	0.0	0.65
02/09/2018	REILLY, MARGARET	SUNAMERICA FOCUSED MULTI ASSET A	0.00	12.86	0.00	12.86	0.0	5.14
02/09/2018	REILLY, MARGARET	SUNAMERICA FOCUSED MULTI ASSET B	0.00	4.13	0.00	4.13	0.0	1.65
02/12/2016	HUNTE, SHEILA	SUNAMERICA HIGH YIELD BOND A	0.00	0.69	0.00	0.69	0.0	0.28

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

** - Indicates adjustment is not included in Totals or Commissions

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

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u> OVERRIDE TRANSACTIONS </u>								
<u>BROKER: L149-ROBERT LUCHSINGER #388</u>								
03/15/2016	HUNTE, SHEILA	SUNAMERICA HIGH YIELD BOND A	0.00	0.64	0.00	0.64	0.0	0.26
04/15/2016	HUNTE, SHEILA	SUNAMERICA HIGH YIELD BOND A	0.00	0.70	0.00	0.70	0.0	0.28
05/19/2016	HUNTE, SHEILA	SUNAMERICA HIGH YIELD BOND A	0.00	0.69	0.00	0.69	0.0	0.28
06/15/2016	HUNTE, SHEILA	SUNAMERICA HIGH YIELD BOND A	0.00	0.71	0.00	0.71	0.0	0.28
07/14/2016	HUNTE, SHEILA	SUNAMERICA HIGH YIELD BOND A	0.00	0.69	0.00	0.69	0.0	0.28
08/10/2016	HUNTE, SHEILA	SUNAMERICA HIGH YIELD BOND A	0.00	0.72	0.00	0.72	0.0	0.29
09/16/2016	HUNTE, SHEILA	SUNAMERICA HIGH YIELD BOND A	0.00	0.73	0.00	0.73	0.0	0.29
10/12/2016	HUNTE, SHEILA	SUNAMERICA HIGH YIELD BOND A	0.00	0.71	0.00	0.71	0.0	0.28
11/11/2016	HUNTE, SHEILA	SUNAMERICA HIGH YIELD BOND A	0.00	0.73	0.00	0.73	0.0	0.29
12/19/2016	HUNTE, SHEILA	SUNAMERICA HIGH YIELD BOND A	0.00	0.70	0.00	0.70	0.0	0.28
02/12/2016	HUNTE, SHEILA	SUNAMERICA STRATEGIC BOND FUND CLAS	0.00	1.05	0.00	1.05	0.0	0.42
03/15/2016	HUNTE, SHEILA	SUNAMERICA STRATEGIC BOND FUND CLAS	0.00	0.97	0.00	0.97	0.0	0.39
04/15/2016	HUNTE, SHEILA	SUNAMERICA STRATEGIC BOND FUND CLAS	0.00	1.07	0.00	1.07	0.0	0.43
05/19/2016	HUNTE, SHEILA	SUNAMERICA STRATEGIC BOND FUND CLAS	0.00	1.05	0.00	1.05	0.0	0.42
06/15/2016	HUNTE, SHEILA	SUNAMERICA STRATEGIC BOND FUND CLAS	0.00	1.09	0.00	1.09	0.0	0.44
07/14/2016	HUNTE, SHEILA	SUNAMERICA STRATEGIC BOND FUND CLAS	0.00	1.07	0.00	1.07	0.0	0.43
08/10/2016	HUNTE, SHEILA	SUNAMERICA STRATEGIC BOND FUND CLAS	0.00	1.12	0.00	1.12	0.0	0.45
09/16/2016	HUNTE, SHEILA	SUNAMERICA STRATEGIC BOND FUND CLAS	0.00	1.13	0.00	1.13	0.0	0.45
10/12/2016	HUNTE, SHEILA	SUNAMERICA STRATEGIC BOND FUND CLAS	0.00	1.09	0.00	1.09	0.0	0.44
11/11/2016	HUNTE, SHEILA	SUNAMERICA STRATEGIC BOND FUND CLAS	0.00	1.13	0.00	1.13	0.0	0.45
12/19/2016	HUNTE, SHEILA	SUNAMERICA STRATEGIC BOND FUND CLAS	0.00	1.07	0.00	1.07	0.0	0.43
02/09/2018	WESTRENN, SUSAN	SUNAMERICA STRATEGIC VALUE PORTFOLI	0.00	1.57	0.00	1.57	0.0	0.63
* L149-ROBERT LUCHSINGER SUBTOTAL *			\$100,751.76	\$1,024.14	\$0.00	\$1,024.14		\$409.62
*** OVERRIDE TRANSACTIONS TOTAL ***			\$100,751.76	\$1,024.14	\$0.00	\$1,024.14		\$409.62

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

** - Indicates adjustment is not included in Totals or Commissions

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

BROKER COMMISSION TOTALS

Broker Transactions	\$5,292.88
Split Transactions	\$0.00
Override Transactions	\$409.62
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	\$5,702.50
Year-to-date Gross	\$44,077.83
Year-to-date Earnings	\$43,071.59