



Concorde Investment Services, LLC
COMMISSION STATEMENT
April 15, 2017

04/12/2017
 Page No. 1

NATHANIEL KUHN
 612 S. Bristol Lane

BROKER #: K134
 BRANCH: KUHN FINANCIAL, INC

Arlington Heights, IL 60005-

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
03/28/2017	WHITE, AMANDA	AM FUNDS AMCAP A	32.50	1.38	0.00	1.38	90.0	1.24
04/03/2017	KOVACH, ERIC	AM FUNDS AMCAP A	25.00	1.06	0.00	1.06	90.0	0.95
04/03/2017	RAPATA, DANIEL	AM FUNDS AMCAP A	50.00	1.38	0.00	1.38	90.0	1.24
04/03/2017	SANTOS, LOURDES	AM FUNDS AMERICAN BALANCED C	100.00	1.00	0.00	1.00	90.0	0.90
04/03/2017	FUSCO, JAMES	AM FUNDS EUROPACIFIC GROWTH FUND A	150.00	5.63	0.00	5.63	90.0	5.07
04/03/2017	RAPATA, DANIEL	AM FUNDS EUROPACIFIC GROWTH FUND A	50.00	1.38	0.00	1.38	90.0	1.24
03/28/2017	WHITE, AMANDA	AM FUNDS FUNDAMENTAL INVESTORS A	32.50	1.38	0.00	1.38	90.0	1.24
04/03/2017	RAPATA, DANIEL	AM FUNDS FUNDAMENTAL INVESTORS A	50.00	1.38	0.00	1.38	90.0	1.24
04/03/2017	WEIL, PAUL	AM FUNDS FUNDAMENTAL INVESTORS A	50.00	2.50	0.00	2.50	90.0	2.25
04/03/2017	TUCCINI, MELISSA	AM FUNDS FUNDAMENTAL INVESTORS A	50.00	2.50	0.00	2.50	90.0	2.25
04/03/2017	ROLLINGER, LAUREN	AM FUNDS FUNDAMENTAL INVESTORS A	50.00	2.50	0.00	2.50	90.0	2.25
04/03/2017	TOWNSEND, KATHERINE	AM FUNDS FUNDAMENTAL INVESTORS A	100.00	5.00	0.00	5.00	90.0	4.50
04/03/2017	WIRTZ, GRETCHEN	AM FUNDS GROWTH AND INCOME 529A	100.00	4.25	0.00	4.25	90.0	3.83
04/03/2017	ALICOT, IRENE	AM FUNDS GROWTH AND INCOME A	100.00	5.00	0.00	5.00	90.0	4.50
03/28/2017	WHITE, AMANDA	AM FUNDS GROWTH FUND OF AMERICA A	32.50	1.38	0.00	1.38	90.0	1.24
04/03/2017	FUSCO, JAMES	AM FUNDS GROWTH FUND OF AMERICA A	50.00	1.88	0.00	1.88	90.0	1.69
04/03/2017	LIEBERMAN, DAVID	AM FUNDS GROWTH FUND OF AMERICA A	50.00	1.88	0.00	1.88	90.0	1.69
04/03/2017	KOVACH, ERIC	AM FUNDS GROWTH FUND OF AMERICA A	25.00	1.06	0.00	1.06	90.0	0.95
04/03/2017	LIVERIS, NICHOLAS	AM FUNDS GROWTH FUND OF AMERICA A	50.00	2.50	0.00	2.50	90.0	2.25
04/03/2017	MANSKE, DONNA	AM FUNDS GROWTH FUND OF AMERICA A	50.00	2.50	0.00	2.50	90.0	2.25
04/03/2017	ROLLINGER, JOHN	AM FUNDS GROWTH FUND OF AMERICA A	50.00	2.50	0.00	2.50	90.0	2.25
04/03/2017	TOWNSEND, KATHERINE	AM FUNDS GROWTH FUND OF AMERICA A	100.00	5.00	0.00	5.00	90.0	4.50
03/28/2017	WHITE, AMANDA	AM FUNDS ICA A	32.50	1.38	0.00	1.38	90.0	1.24
04/03/2017	KOVACH, ERIC	AM FUNDS ICA A	25.00	1.06	0.00	1.06	90.0	0.95
04/03/2017	RAPATA, DANIEL	AM FUNDS ICA A	50.00	1.38	0.00	1.38	90.0	1.24
04/03/2017	MANSKE, DONNA	AM FUNDS ICA A	50.00	2.50	0.00	2.50	90.0	2.25

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>								
04/03/2017	LIEBERMAN, DAVID	AM FUNDS SMALLCAP WORLD A	50.00	1.88	0.00	1.88	90.0	1.69
04/03/2017	KOVACH, ERIC	AM FUNDS SMALLCAP WORLD A	25.00	1.06	0.00	1.06	90.0	0.95
04/03/2017	RAPATA, DANIEL	AM FUNDS SMALLCAP WORLD A	50.00	1.38	0.00	1.38	90.0	1.24
04/03/2017	LIVERIS, NICHOLAS	AM FUNDS SMALLCAP WORLD A	50.00	2.50	0.00	2.50	90.0	2.25
04/03/2017	LADUCA, BRIAN	FT CONSERVATIVE ALLOCATION C	50.00	0.50	0.00	0.50	90.0	0.45
04/03/2017	WILSON, JOE	FT GROWTH ALLOC A	50.00	2.50	0.00	2.50	90.0	2.25
04/03/2017	DOOGAN, RONALD	FT GROWTH ALLOC A	100.00	5.00	0.00	5.00	90.0	4.50
04/03/2017	CHASE, LINDA	FT MODERATE ALLOCATION FUND C	100.00	1.00	0.00	1.00	90.0	0.90
/ /	HOGLUND, KRISTEN	HARTFORD BALANCED ALLOCATION FUND C	0.00	0.16	0.00	0.16	90.0	0.14
/ /	LIVERIS, NICHOLAS	HARTFORD BALANCED ALLOCATION FUND C	0.00	14.99	0.00	14.99	90.0	13.49
/ /	WILLIS, JUDE	HARTFORD BALANCED ALLOCATION FUND C	0.00	4.85	0.00	4.85	90.0	4.37
04/03/2017	LIVERIS, NICHOLAS	HARTFORD BALANCED ALLOCATION FUND C	150.00	1.50	0.00	1.50	90.0	1.35
/ /	SMITH, PATRICK	HARTFORD CAPITAL APPRECIATION A	0.00	0.21	0.00	0.21	90.0	0.19
/ /	KENNEDY, RACHEL	HARTFORD CAPITAL APPRECIATION A	0.00	0.58	0.00	0.58	90.0	0.52
/ /	SANTOS, LOURDES	HARTFORD CAPITAL APPRECIATION C	0.00	2.91	0.00	2.91	90.0	2.62
/ /	MEYER, WILLIAM	HARTFORD CHECKS AND BALANCES FUND A	0.00	5.64	0.00	5.64	90.0	5.08
/ /	LOPEZ, JOSE	HARTFORD CHECKS AND BALANCES FUND A	0.00	5.92	0.00	5.92	90.0	5.33
/ /	RAY, SCOTT	HARTFORD CONSERVATIVE ALLOC C	0.00	2.73	0.00	2.73	90.0	2.46
/ /	SMITH, PATRICK	HARTFORD DIVIDEND & GROWTH A	0.00	0.22	0.00	0.22	90.0	0.20
/ /	SANTOS, LOURDES	HARTFORD DIVIDEND & GROWTH C	0.00	5.49	0.00	5.49	90.0	4.94
/ /	BORJA, AIDA	HARTFORD DIVIDEND & GROWTH C	0.00	8.34	0.00	8.34	90.0	7.51
04/03/2017	SANTOS, LOURDES	HARTFORD DIVIDEND & GROWTH C	50.00	0.50	0.00	0.50	90.0	0.45
04/03/2017	BORJA, AIDA	HARTFORD DIVIDEND & GROWTH C	50.00	0.50	0.00	0.50	90.0	0.45
/ /	SANTOS, JAIMEE	HARTFORD FLOATING RATE C	0.00	10.45	0.00	10.45	90.0	9.41
/ /	LIEBERMAN, SHARON	HARTFORD GROWTH ALLOCATION A	0.00	4.13	0.00	4.13	90.0	3.72
/ /	BAXTER, KIMBERLY	HARTFORD GROWTH ALLOCATION A	0.00	0.25	0.00	0.25	90.0	0.23
/ /	LAMPI, STEPHANIE	HARTFORD GROWTH ALLOCATION A	0.00	5.05	0.00	5.05	90.0	4.55
/ /	EAR, SIEV	HARTFORD GROWTH ALLOCATION A	0.00	2.18	0.00	2.18	90.0	1.96
/ /	STEFFEN, NATHAN	HARTFORD GROWTH ALLOCATION A	0.00	4.74	0.00	4.74	90.0	4.27
/ /	BIEGERT, LAUREN	HARTFORD GROWTH ALLOCATION A	0.00	12.11	0.00	12.11	90.0	10.90
/ /	CRYLEN, ANNE	HARTFORD GROWTH ALLOCATION A	0.00	0.94	0.00	0.94	90.0	0.85
/ /	FLORES, KARINA	HARTFORD GROWTH ALLOCATION A	0.00	0.67	0.00	0.67	90.0	0.60
04/03/2017	LIEBERMAN, SHARON	HARTFORD GROWTH ALLOCATION A	100.00	4.75	0.00	4.75	90.0	4.28

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<u>BROKER TRANSACTIONS</u>								
PRODUCT CATEGORY: MUTUAL FUNDS								
/ /	LIEBERMAN, SHARON	HARTFORD GROWTH ALLOCATION B	0.00	0.21	0.00	0.21	90.0	0.19
/ /	LAMPI, STEPHANIE	HARTFORD GROWTH ALLOCATION B	0.00	0.28	0.00	0.28	90.0	0.25
/ /	STEFFEN, NATHAN	HARTFORD GROWTH OPP A	0.00	1.65	0.00	1.65	90.0	1.49
/ /	KENNEDY, RACHEL	HARTFORD GROWTH OPP A	0.00	0.71	0.00	0.71	90.0	0.64
/ /	SMITH, PATRICK	HARTFORD MIDCAP A	0.00	0.31	0.00	0.31	90.0	0.28
/ /	SMITH, PATRICK	HARTFORD TOTAL RETURN BOND A	0.00	0.13	0.00	0.13	90.0	0.12
/ /	DELLAPORTAS, VASILIS	HARTFORD TOTAL RETURN BOND A	0.00	1.81	0.00	1.81	90.0	1.63
/ /	SANTOS, LOURDES	HARTFORD TOTAL RETURN BOND FUND C	0.00	4.12	0.00	4.12	90.0	3.71
/ /	BORJA, AIDA	HARTFORD TOTAL RETURN BOND FUND C	0.00	5.58	0.00	5.58	90.0	5.02
04/03/2017	SANTOS, LOURDES	HARTFORD TOTAL RETURN BOND FUND C	50.00	0.50	0.00	0.50	90.0	0.45
04/03/2017	BORJA, AIDA	HARTFORD TOTAL RETURN BOND FUND C	50.00	0.50	0.00	0.50	90.0	0.45
/ /	VOLKOBBER, SUSAN	UB TRUST FUND 60 A	0.00	1.50	0.00	1.50	90.0	1.35
/ /	VOLKOBBER, SUSAN	UB TRUST FUND 60 A	0.00	19.13	0.00	19.13	90.0	17.22
03/20/2017	VOLKOBBER, SUSAN	UB TRUST FUND 60 A	50.00	1.50	0.00	1.50	90.0	1.35
/ /	REHMAN, AFSHAN	UB TRUST FUND 80 A	0.00	4.61	0.00	4.61	90.0	4.15
/ /	REHMAN, AFSHAN	UB TRUST FUND 80 A	0.00	1.00	0.00	1.00	90.0	0.90
/ /	REHMAN, AFSHAN	UB TRUST FUND 80 A	0.00	1.00	0.00	1.00	90.0	0.90
/ /	GERALDS, PAMELA	UB TRUST FUND 80 A	0.00	1.58	0.00	1.58	90.0	1.42
03/13/2017	REHMAN, AFSHAN	UB TRUST FUND 80 A	75.00	2.25	0.00	2.25	90.0	2.03
03/13/2017	REHMAN, AFSHAN	UB TRUST FUND 80 A	12.50	0.38	0.00	0.38	90.0	0.34
03/13/2017	REHMAN, AFSHAN	UB TRUST FUND 80 A	12.50	0.38	0.00	0.38	90.0	0.34
03/27/2017	REHMAN, AFSHAN	UB TRUST FUND 80 A	75.00	2.25	0.00	2.25	90.0	2.03
03/27/2017	REHMAN, AFSHAN	UB TRUST FUND 80 A	12.50	0.38	0.00	0.38	90.0	0.34
03/27/2017	REHMAN, AFSHAN	UB TRUST FUND 80 A	12.50	0.38	0.00	0.38	90.0	0.34
/ /	CROW, ELISSA	UB&T MODERATE AGE BASED 09-10-C	0.00	8.14	0.00	8.14	90.0	7.33
/ /	MOLBERGER, KIMBERLY	UBT AGGRESSIVE AGE BASED 0-02-A	0.00	0.01	0.00	0.01	90.0	0.01
03/17/2017	MOLBERGER, KIMBERLY	UBT AGGRESSIVE AGE BASED 0-02-A	100.00	3.00	0.00	3.00	90.0	2.70
/ /	MOLBERGER, KIMBERLY	UBT AGGRESSIVE AGE BASED 03-05-A	0.00	1.73	0.00	1.73	90.0	1.56
/ /	SAAM, ROBERT	UBT AGGRESSIVE AGE BASED 06-08-A	0.00	19.64	0.00	19.64	90.0	17.68
/ /	BAXTER, KIMBERLY	UBT AGGRESSIVE AGE BASED 06-08-A	0.00	2.84	0.00	2.84	90.0	2.56
/ /	MOLBERGER, KIMBERLY	UBT AGGRESSIVE AGE BASED 06-08-A	0.00	2.73	0.00	2.73	90.0	2.46
/ /	MOLBERGER, KIMBERLY	UBT AGGRESSIVE AGE BASED 06-08-A	0.00	3.61	0.00	3.61	90.0	3.25
03/06/2017	SAAM, ROBERT	UBT AGGRESSIVE AGE BASED 06-08-A	200.00	6.00	0.00	6.00	90.0	5.40

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<u>BROKER TRANSACTIONS</u>								
PRODUCT CATEGORY: MUTUAL FUNDS								
03/15/2017	MOLBERGER, KIMBERLY	UBT AGGRESSIVE AGE BASED 06-08-A	100.00	3.00	0.00	3.00	90.0	2.70
03/20/2017	BAXTER, KIMBERLY	UBT AGGRESSIVE AGE BASED 06-08-A	25.00	0.75	0.00	0.75	90.0	0.68
/ /	BAXTER, KIMBERLY	UBT AGGRESSIVE AGE BASED 09-10-A	0.00	3.71	0.00	3.71	90.0	3.34
/ /	MOLBERGER, KIMBERLY	UBT AGGRESSIVE AGE BASED 09-10-A	0.00	4.10	0.00	4.10	90.0	3.69
03/15/2017	MOLBERGER, KIMBERLY	UBT AGGRESSIVE AGE BASED 09-10-A	100.00	3.00	0.00	3.00	90.0	2.70
03/20/2017	BAXTER, KIMBERLY	UBT AGGRESSIVE AGE BASED 09-10-A	25.00	0.75	0.00	0.75	90.0	0.68
/ /	WIRTZ, GRETCHEN	UBT AGGRESSIVE AGE BASED 11-12-A	0.00	3.43	0.00	3.43	90.0	3.09
/ /	REIDY, TIFFANY	UBT MODERATE AGE BASED 0-02-A	0.00	4.18	0.00	4.18	90.0	3.76
/ /	DEUTSCH, SCOTT	UBT MODERATE AGE BASED 0-02-A	0.00	10.01	0.00	10.01	90.0	9.01
/ /	BRANNAN, JESSE	UBT MODERATE AGE BASED 0-02-A	0.00	9.91	0.00	9.91	90.0	8.92
/ /	ARATA, MATHEW	UBT MODERATE AGE BASED 0-02-A	0.00	2.71	0.00	2.71	90.0	2.44
/ /	KUHN, NATHANIEL	UBT MODERATE AGE BASED 0-02-A	0.00	4.55	0.00	4.55	90.0	4.10
/ /	TUCKER, BRANDON	UBT MODERATE AGE BASED 0-02-A	0.00	4.66	0.00	4.66	90.0	4.19
/ /	ROLLINGER, LAUREN	UBT MODERATE AGE BASED 0-02-A	0.00	0.47	0.00	0.47	90.0	0.42
/ /	BUERSTATTE, BRANDI	UBT MODERATE AGE BASED 0-02-A	0.00	0.61	0.00	0.61	90.0	0.55
/ /	ARIAS, MELISSA	UBT MODERATE AGE BASED 0-02-A	0.00	3.27	0.00	3.27	90.0	2.94
/ /	SILKAITIS, MYIA	UBT MODERATE AGE BASED 0-02-A	0.00	0.32	0.00	0.32	90.0	0.29
/ /	LAMPI, KEITH	UBT MODERATE AGE BASED 0-02-A	0.00	3.20	0.00	3.20	90.0	2.88
/ /	MARIQUINA, JACQUELINE	UBT MODERATE AGE BASED 0-02-A	0.00	0.36	0.00	0.36	90.0	0.32
/ /	MACK, ALEXANDER	UBT MODERATE AGE BASED 0-02-A	0.00	1.04	0.00	1.04	90.0	0.94
/ /	NORRIS, VALERIE	UBT MODERATE AGE BASED 0-02-A	0.00	0.06	0.00	0.06	90.0	0.05
/ /	BUERSTATTE, BRANDI	UBT MODERATE AGE BASED 0-02-A	0.00	0.08	0.00	0.08	90.0	0.07
03/10/2017	MACK, ALEXANDER	UBT MODERATE AGE BASED 0-02-A	150.00	4.50	0.00	4.50	90.0	4.05
03/17/2017	DEUTSCH, SCOTT	UBT MODERATE AGE BASED 0-02-A	500.00	15.00	0.00	15.00	90.0	13.50
03/17/2017	TUCKER, BRANDON	UBT MODERATE AGE BASED 0-02-A	250.00	7.50	0.00	7.50	90.0	6.75
03/17/2017	ROLLINGER, LAUREN	UBT MODERATE AGE BASED 0-02-A	30.00	0.90	0.00	0.90	90.0	0.81
03/17/2017	ARIAS, MELISSA	UBT MODERATE AGE BASED 0-02-A	200.00	6.00	0.00	6.00	90.0	5.40
03/17/2017	LAMPI, KEITH	UBT MODERATE AGE BASED 0-02-A	250.00	7.50	0.00	7.50	90.0	6.75
03/17/2017	MARIQUINA, JACQUELINE	UBT MODERATE AGE BASED 0-02-A	10.00	0.30	0.00	0.30	90.0	0.27
03/17/2017	MACK, ALEXANDER	UBT MODERATE AGE BASED 0-02-A	250.00	7.50	0.00	7.50	90.0	6.75
03/17/2017	NORRIS, VALERIE	UBT MODERATE AGE BASED 0-02-A	150.00	4.50	0.00	4.50	90.0	4.05
03/17/2017	ROLLINGER, LAUREN	UBT MODERATE AGE BASED 0-02-A	30.00	0.90	0.00	0.90	90.0	0.81
03/23/2017	ARIAS, MELISSA	UBT MODERATE AGE BASED 0-02-A	250.00	7.50	0.00	7.50	90.0	6.75

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
03/28/2017	ARIAS, MELISSA	UBT MODERATE AGE BASED 0-02-A	70.00	2.10	0.00	2.10	90.0	1.89
/ /	BUERSTATTE, BRANDI	UBT MODERATE AGE BASED 03-05-A	0.00	2.22	0.00	2.22	90.0	2.00
/ /	KLABACHA, JASON	UBT MODERATE AGE BASED 03-05-A	0.00	6.46	0.00	6.46	90.0	5.81
/ /	REIDY, TIFFANY	UBT MODERATE AGE BASED 03-05-A	0.00	10.20	0.00	10.20	90.0	9.18
/ /	BATTAGLIA, MICHAEL	UBT MODERATE AGE BASED 03-05-A	0.00	0.10	0.00	0.10	90.0	0.09
/ /	WIRTZ, GRETCHEN	UBT MODERATE AGE BASED 03-05-A	0.00	1.33	0.00	1.33	90.0	1.20
/ /	SAAM, ROBERT	UBT MODERATE AGE BASED 03-05-A	0.00	8.73	0.00	8.73	90.0	7.86
/ /	LAMPI, KEITH	UBT MODERATE AGE BASED 03-05-A	0.00	8.15	0.00	8.15	90.0	7.34
/ /	CATANESE, ERIN	UBT MODERATE AGE BASED 03-05-A	0.00	17.04	0.00	17.04	90.0	15.34
/ /	BRANNAN, JESSE	UBT MODERATE AGE BASED 03-05-A	0.00	14.82	0.00	14.82	90.0	13.34
/ /	SISON, MARYBETH	UBT MODERATE AGE BASED 03-05-A	0.00	2.08	0.00	2.08	90.0	1.87
/ /	NORRIS, VALERIE	UBT MODERATE AGE BASED 03-05-A	0.00	22.98	0.00	22.98	90.0	20.68
/ /	CATANESE, JODY	UBT MODERATE AGE BASED 03-05-A	0.00	4.60	0.00	4.60	90.0	4.14
/ /	MARTIN, JOELLYN	UBT MODERATE AGE BASED 03-05-A	0.00	5.22	0.00	5.22	90.0	4.70
/ /	COLAN, MICHAEL	UBT MODERATE AGE BASED 03-05-A	0.00	1.42	0.00	1.42	90.0	1.28
/ /	ROLLINGER, LAUREN	UBT MODERATE AGE BASED 03-05-A	0.00	1.03	0.00	1.03	90.0	0.93
/ /	KADLEC, SABA	UBT MODERATE AGE BASED 03-05-A	0.00	0.12	0.00	0.12	90.0	0.11
/ /	WHITE, AMANDA	UBT MODERATE AGE BASED 03-05-A	0.00	3.22	0.00	3.22	90.0	2.90
/ /	ARIAS, MELISSA	UBT MODERATE AGE BASED 03-05-A	0.00	6.57	0.00	6.57	90.0	5.91
/ /	SAYRE, ROSS	UBT MODERATE AGE BASED 03-05-A	0.00	2.55	0.00	2.55	90.0	2.30
/ /	WILSON, JOE	UBT MODERATE AGE BASED 03-05-A	0.00	0.82	0.00	0.82	90.0	0.74
/ /	KARKI, TRISHA	UBT MODERATE AGE BASED 03-05-A	0.00	2.49	0.00	2.49	90.0	2.24
/ /	MEYER, ELIZABETH	UBT MODERATE AGE BASED 03-05-A	0.00	0.63	0.00	0.63	90.0	0.57
/ /	HARRIS, KRISTOFER	UBT MODERATE AGE BASED 03-05-A	0.00	0.11	0.00	0.11	90.0	0.10
/ /	BATTAGLIA, JULIE	UBT MODERATE AGE BASED 03-05-A	0.00	0.15	0.00	0.15	90.0	0.14
/ /	GREINER, PAUL	UBT MODERATE AGE BASED 03-05-A	0.00	8.73	0.00	8.73	90.0	7.86
/ /	GREINER, PAUL	UBT MODERATE AGE BASED 03-05-A	0.00	8.73	0.00	8.73	90.0	7.86
/ /	CATANESE, JODY	UBT MODERATE AGE BASED 03-05-A	0.00	2.63	0.00	2.63	90.0	2.37
/ /	REIDY, TIFFANY	UBT MODERATE AGE BASED 03-05-A	0.00	2.41	0.00	2.41	90.0	2.17
/ /	ARATA, MATHEW	UBT MODERATE AGE BASED 03-05-A	0.00	2.17	0.00	2.17	90.0	1.95
/ /	SILKAITIS, MYIA	UBT MODERATE AGE BASED 03-05-A	0.00	0.28	0.00	0.28	90.0	0.25
/ /	CONTRERAS, ANDY	UBT MODERATE AGE BASED 03-05-A	0.00	0.01	0.00	0.01	90.0	0.01
/ /	MARIQUINA, JACQUELINE	UBT MODERATE AGE BASED 03-05-A	0.00	0.13	0.00	0.13	90.0	0.12

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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: MUTUAL FUNDS</u>								
/ /	SAYRE, MICHAEL	UBT MODERATE AGE BASED 03-05-A	0.00	0.75	0.00	0.75	90.0	0.68
/ /	SAYRE, MICHAEL	UBT MODERATE AGE BASED 03-05-A	0.00	0.75	0.00	0.75	90.0	0.68
03/07/2017	ARATA, MATHEW	UBT MODERATE AGE BASED 03-05-A	111.00	3.33	0.00	3.33	90.0	3.00
03/15/2017	ARIAS, MELISSA	UBT MODERATE AGE BASED 03-05-A	200.00	6.00	0.00	6.00	90.0	5.40
03/15/2017	GREINER, PAUL	UBT MODERATE AGE BASED 03-05-A	150.00	4.50	0.00	4.50	90.0	4.05
03/15/2017	GREINER, PAUL	UBT MODERATE AGE BASED 03-05-A	150.00	4.50	0.00	4.50	90.0	4.05
03/16/2017	MARTIN, JOELLYN	UBT MODERATE AGE BASED 03-05-A	250.00	7.50	0.00	7.50	90.0	6.75
03/17/2017	WILSON, JOE	UBT MODERATE AGE BASED 03-05-A	30.00	0.90	0.00	0.90	90.0	0.81
03/17/2017	KARKI, TRISHA	UBT MODERATE AGE BASED 03-05-A	25.00	0.75	0.00	0.75	90.0	0.68
03/17/2017	MEYER, ELIZABETH	UBT MODERATE AGE BASED 03-05-A	25.00	0.75	0.00	0.75	90.0	0.68
03/17/2017	CATANESE, JODY	UBT MODERATE AGE BASED 03-05-A	100.00	3.00	0.00	3.00	90.0	2.70
03/17/2017	ARATA, MATHEW	UBT MODERATE AGE BASED 03-05-A	111.00	3.33	0.00	3.33	90.0	3.00
03/17/2017	SILKAITIS, MYIA	UBT MODERATE AGE BASED 03-05-A	50.00	1.50	0.00	1.50	90.0	1.35
03/17/2017	MARIQUINA, JACQUELINE	UBT MODERATE AGE BASED 03-05-A	25.00	0.75	0.00	0.75	90.0	0.68
03/17/2017	SAYRE, MICHAEL	UBT MODERATE AGE BASED 03-05-A	500.00	15.00	0.00	15.00	90.0	13.50
03/17/2017	SAYRE, MICHAEL	UBT MODERATE AGE BASED 03-05-A	500.00	15.00	0.00	15.00	90.0	13.50
03/20/2017	CATANESE, ERIN	UBT MODERATE AGE BASED 03-05-A	500.00	15.00	0.00	15.00	90.0	13.50
03/30/2017	COLAN, MICHAEL	UBT MODERATE AGE BASED 03-05-A	75.00	2.25	0.00	2.25	90.0	2.03
/ /	LIEBERMAN, DAVID	UBT MODERATE AGE BASED 06-08-A	0.00	10.14	0.00	10.14	90.0	9.13
/ /	KLABACHA, JASON	UBT MODERATE AGE BASED 06-08-A	0.00	7.24	0.00	7.24	90.0	6.52
/ /	MUELLNER, MARK	UBT MODERATE AGE BASED 06-08-A	0.00	5.43	0.00	5.43	90.0	4.89
/ /	MARTIN, JOELLYN	UBT MODERATE AGE BASED 06-08-A	0.00	7.42	0.00	7.42	90.0	6.68
/ /	KUHN, NATHANIEL	UBT MODERATE AGE BASED 06-08-A	0.00	11.26	0.00	11.26	90.0	10.13
/ /	SISON, MARYBETH	UBT MODERATE AGE BASED 06-08-A	0.00	2.66	0.00	2.66	90.0	2.39
/ /	BUERSTATTE, BRANDI	UBT MODERATE AGE BASED 06-08-A	0.00	4.63	0.00	4.63	90.0	4.17
/ /	CATANESE, ERIN	UBT MODERATE AGE BASED 06-08-A	0.00	17.74	0.00	17.74	90.0	15.97
/ /	SILKAITIS, MYIA	UBT MODERATE AGE BASED 06-08-A	0.00	4.91	0.00	4.91	90.0	4.42
/ /	LIM, SUSIE	UBT MODERATE AGE BASED 06-08-A	0.00	7.67	0.00	7.67	90.0	6.90
/ /	BATTAGLIA, MICHAEL	UBT MODERATE AGE BASED 06-08-A	0.00	2.26	0.00	2.26	90.0	2.03
/ /	KARKI, TRISHA	UBT MODERATE AGE BASED 06-08-A	0.00	2.63	0.00	2.63	90.0	2.37
/ /	COLAN, MICHAEL	UBT MODERATE AGE BASED 06-08-A	0.00	1.40	0.00	1.40	90.0	1.26
/ /	MEYER, ELIZABETH	UBT MODERATE AGE BASED 06-08-A	0.00	0.62	0.00	0.62	90.0	0.56
/ /	LAWLESS, JENNIFER	UBT MODERATE AGE BASED 06-08-A	0.00	2.26	0.00	2.26	90.0	2.03

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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: MUTUAL FUNDS</u>								
/ /	CONTRERAS, ANDY	UBT MODERATE AGE BASED 06-08-A	0.00	0.35	0.00	0.35	90.0	0.32
/ /	CONTRERAS, ANDY	UBT MODERATE AGE BASED 06-08-A	0.00	0.36	0.00	0.36	90.0	0.32
/ /	HARRIS, KRISTOFER	UBT MODERATE AGE BASED 06-08-A	0.00	7.67	0.00	7.67	90.0	6.90
/ /	WILKINS, AARON	UBT MODERATE AGE BASED 06-08-A	0.00	8.72	0.00	8.72	90.0	7.85
/ /	LAMPI, KEITH	UBT MODERATE AGE BASED 06-08-A	0.00	11.92	0.00	11.92	90.0	10.73
/ /	BUERSTATTE, BRANDI	UBT MODERATE AGE BASED 06-08-A	0.00	8.72	0.00	8.72	90.0	7.85
03/06/2017	WILKINS, AARON	UBT MODERATE AGE BASED 06-08-A	150.00	4.50	0.00	4.50	90.0	4.05
03/15/2017	LIEBERMAN, DAVID	UBT MODERATE AGE BASED 06-08-A	100.00	3.00	0.00	3.00	90.0	2.70
03/15/2017	LAMPI, KEITH	UBT MODERATE AGE BASED 06-08-A	250.00	7.50	0.00	7.50	90.0	6.75
03/16/2017	MARTIN, JOELLYN	UBT MODERATE AGE BASED 06-08-A	250.00	7.50	0.00	7.50	90.0	6.75
03/17/2017	MEYER, ELIZABETH	UBT MODERATE AGE BASED 06-08-A	25.00	0.75	0.00	0.75	90.0	0.68
03/17/2017	CONTRERAS, ANDY	UBT MODERATE AGE BASED 06-08-A	50.00	1.50	0.00	1.50	90.0	1.35
03/17/2017	CONTRERAS, ANDY	UBT MODERATE AGE BASED 06-08-A	50.00	1.50	0.00	1.50	90.0	1.35
03/20/2017	CATANESE, ERIN	UBT MODERATE AGE BASED 06-08-A	500.00	15.00	0.00	15.00	90.0	13.50
03/21/2017	KARKI, TRISHA	UBT MODERATE AGE BASED 06-08-A	25.00	0.75	0.00	0.75	90.0	0.68
03/30/2017	COLAN, MICHAEL	UBT MODERATE AGE BASED 06-08-A	75.00	2.25	0.00	2.25	90.0	2.03
/ /	CROW, ELISSA	UBT MODERATE AGE BASED 06-08-C	0.00	8.18	0.00	8.18	90.0	7.36
/ /	COLAN, MICHAEL	UBT MODERATE AGE BASED 09-10-A	0.00	2.81	0.00	2.81	90.0	2.53
/ /	LIEBERMAN, DAVID	UBT MODERATE AGE BASED 09-10-A	0.00	5.15	0.00	5.15	90.0	4.64
/ /	MUELLNER, MARK	UBT MODERATE AGE BASED 09-10-A	0.00	5.31	0.00	5.31	90.0	4.78
/ /	HINTCH, ELIZABETH	UBT MODERATE AGE BASED 09-10-A	0.00	16.73	0.00	16.73	90.0	15.06
/ /	HIRSTIUS, KERRIE	UBT MODERATE AGE BASED 09-10-A	0.00	1.73	0.00	1.73	90.0	1.56
/ /	HATCHER, JULIANA	UBT MODERATE AGE BASED 09-10-A	0.00	0.23	0.00	0.23	90.0	0.21
/ /	HIRSTIUS, KERRIE	UBT MODERATE AGE BASED 09-10-A	0.00	30.85	0.00	30.85	90.0	27.77
/ /	HARRIS, KRISTOFER	UBT MODERATE AGE BASED 09-10-A	0.00	10.07	0.00	10.07	90.0	9.06
/ /	WELLINGTON, ERICA	UBT MODERATE AGE BASED 09-10-A	0.00	5.89	0.00	5.89	90.0	5.30
/ /	WILKINS, AARON	UBT MODERATE AGE BASED 09-10-A	0.00	12.63	0.00	12.63	90.0	11.37
/ /	STETTER, MARIA	UBT MODERATE AGE BASED 09-10-A	0.00	4.44	0.00	4.44	90.0	4.00
03/06/2017	WILKINS, AARON	UBT MODERATE AGE BASED 09-10-A	150.00	4.50	0.00	4.50	90.0	4.05
03/15/2017	WELLINGTON, ERICA	UBT MODERATE AGE BASED 09-10-A	250.00	7.50	0.00	7.50	90.0	6.75
03/17/2017	HIRSTIUS, KERRIE	UBT MODERATE AGE BASED 09-10-A	175.00	5.25	0.00	5.25	90.0	4.73
03/30/2017	COLAN, MICHAEL	UBT MODERATE AGE BASED 09-10-A	75.00	2.25	0.00	2.25	90.0	2.03
/ /	LIEBERMAN, DAVID	UBT MODERATE AGE BASED 11-12-A	0.00	2.52	0.00	2.52	90.0	2.27

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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: MUTUAL FUNDS</u>								
/ /	BATTAGLIA, MICHAEL	UBT MODERATE AGE BASED 11-12-A	0.00	6.36	0.00	6.36	90.0	5.72
/ /	MUELLNER, MARK	UBT MODERATE AGE BASED 11-12-A	0.00	0.90	0.00	0.90	90.0	0.81
/ /	HINTCH, ELIZABETH	UBT MODERATE AGE BASED 11-12-A	0.00	13.35	0.00	13.35	90.0	12.02
03/15/2017	LIEBERMAN, DAVID	UBT MODERATE AGE BASED 11-12-A	100.00	3.00	0.00	3.00	90.0	2.70
/ /	CROW, ELISSA	UBT MODERATE AGE BASED 11-12-C	0.00	7.99	0.00	7.99	90.0	7.19
/ /	MUELLNER, MARK	UBT MODERATE AGE BASED 13-14-A	0.00	4.32	0.00	4.32	90.0	3.89
/ /	WELLINGTON, ERICA	UBT MODERATE AGE BASED 13-14-A	0.00	5.69	0.00	5.69	90.0	5.12
/ /	GUIRAGOSSIAN, BETSY	UBT MODERATE AGE BASED 13-14-A	0.00	7.60	0.00	7.60	90.0	6.84
03/15/2017	WELLINGTON, ERICA	UBT MODERATE AGE BASED 13-14-A	250.00	7.50	0.00	7.50	90.0	6.75
03/22/2017	WELLINGTON, ERICA	UBT MODERATE AGE BASED 13-14-A	3,200.00	96.00	0.00	96.00	90.0	86.40
/ /	LOPEZ, JOSE	UBT MODERATE AGE BASED 15-16-A	0.00	4.50	0.00	4.50	90.0	4.05
/ /	CONDE, CATHERINE	UBT MODERATE AGE BASED 15-16-A	0.00	2.51	0.00	2.51	90.0	2.26
/ /	GUIRAGOSSIAN, BETSY	UBT MODERATE AGE BASED 15-16-A	0.00	4.27	0.00	4.27	90.0	3.84
/ /	ROSALES-HARRIGAN, ESTELA	UBT MODERATE AGE BASED 15-16-A	0.00	9.09	0.00	9.09	90.0	8.18
03/06/2017	LOPEZ, JOSE	UBT MODERATE AGE BASED 15-16-A	50.00	1.50	0.00	1.50	90.0	1.35
03/06/2017	ROSALES-HARRIGAN, ESTELA	UBT MODERATE AGE BASED 15-16-A	150.00	4.50	0.00	4.50	90.0	4.05
03/20/2017	GUIRAGOSSIAN, BETSY	UBT MODERATE AGE BASED 15-16-A	100.00	3.00	0.00	3.00	90.0	2.70
/ /	LOPEZ, JOSE	UBT MODERATE AGE BASED 17-18-A	0.00	4.25	0.00	4.25	90.0	3.83
/ /	CONDE, CATHERINE	UBT MODERATE AGE BASED 17-18-A	0.00	1.71	0.00	1.71	90.0	1.54
/ /	GUIRAGOSSIAN, BETSY	UBT MODERATE AGE BASED 17-18-A	0.00	4.83	0.00	4.83	90.0	4.35
03/06/2017	LOPEZ, JOSE	UBT MODERATE AGE BASED 17-18-A	50.00	1.50	0.00	1.50	90.0	1.35
03/20/2017	GUIRAGOSSIAN, BETSY	UBT MODERATE AGE BASED 17-18-A	100.00	3.00	0.00	3.00	90.0	2.70
/ /	LOPEZ, JOSE	UBT MODERATE AGE BASED 19+-A	0.00	3.82	0.00	3.82	90.0	3.44
03/06/2017	LOPEZ, JOSE	UBT MODERATE AGE BASED 19+-A	50.00	1.50	0.00	1.50	90.0	1.35
* MUTUAL FUNDS SUBTOTAL *			\$14,347.00	\$1,137.88	\$0.00	\$1,137.88		\$1,024.29

PRODUCT CATEGORY: VARIABLE ANNUITIES

03/31/2017	KUHN, LINDA	HARTFORD DIRECTOR VII (HL)	17,706.20	11.07	0.00	11.07	90.0	9.96
04/03/2017	GALLESE, ALLISON	JNL ELITE ACCESS	500.00	26.25	0.00	26.25	90.0	23.63
04/01/2017	JOHNSON, LISA	NATIONWIDE BOA FUTURE II 32	48,281.62	30.18	0.00	30.18	90.0	27.16
04/01/2017	KUHN, THOMAS	NATIONWIDE BOA FUTURE II 32	424,080.91	265.05	0.00	265.05	90.0	238.55
03/31/2017	RITCHIE, KARREN	PRU AS ADVISOR PLAN III	73,707.76	46.07	0.00	46.07	90.0	41.46
03/31/2017	RITCHIE, KARREN	PRU AS ADVISOR PLAN III	73,707.76	46.07	0.00	46.07	90.0	41.46
03/31/2017	RITCHIE, KARREN	PRU AS ADVISOR PLAN III	102,179.42	63.86	0.00	63.86	90.0	57.47

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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: VARIABLE ANNUITIES</u>								
03/31/2017	RITCHIE, KARREN	PRU AS ADVISOR PLAN III	102,179.42	63.86	0.00	63.86	90.0	57.47
03/30/2017	LOIKA, GREGORY	SBL ADVISOR PROGRAM	4,760.36	3.95	0.00	3.95	90.0	3.56
03/30/2017	LOIKA, JENNIFER	SBL ADVISOR PROGRAM	4,764.60	3.95	0.00	3.95	90.0	3.56
03/31/2017	EDUCATION, BOARD OF	VOYA RETIREMENT & ANNUITY	0.00	68.83	0.00	68.83	90.0	61.95
* VARIABLE ANNUITIES SUBTOTAL *			\$851,868.05	\$629.14	\$0.00	\$629.14		\$566.23
*** BROKER TRANSACTIONS TOTAL ***			\$866,215.05	\$1,767.02	\$0.00	\$1,767.02		\$1,590.52
<u>ADJUSTMENTS</u>								
04/15/2017		*CREDIT CARD PYT: CREDIT CARD PYT	0.00					975.00
04/15/2017		*E & O INSURANCE: CURRENT MONTH INS	0.00					-300.00
04/15/2017		*TECH: ADMIN-K JALOWIECKI	0.00					-100.00
04/15/2017		*TECH: ADMIN-W CLARK	0.00					-100.00
04/15/2017		*TECH: ALBRIDGE FULL	0.00					-100.00
04/15/2017		*TECHNOLOGY: ADMIN - MATT KUHN	0.00					-100.00
04/15/2017		*TECHNOLOGY: CURRENT MONTH TECH	0.00					-275.00
*** ADJUSTMENTS TOTAL ***			\$0.00	\$0.00	\$0.00	\$0.00		\$0.00

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BROKER COMMISSION TOTALS

Broker Transactions	\$1,590.52
Split Transactions	\$0.00
Override Transactions	\$0.00
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	\$1,590.52
Year-to-date Gross	\$57,326.60
Year-to-date Earnings	\$51,594.74