

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

**JACK, M137 MICHALETZ**  
 150 St. Andrews Ct.  
 Ste. 210  
 Mankato, MN 56001

**BROKER #: M137**  
 BRANCH: DISCIPLINE ADVISORS,

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b><u>CLEARING TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: MUTUAL FUNDS</u></b>								
02/14/2018	ZIEGLER, KRISTINE	PUTNAM ASSET ALLOC GROWTH A	50.00	2.50	12.00	-9.50	40.0	-3.80
02/15/2018	SIEBERG, KYLE	PUTNAM EQUITY SPECTRUM C	100.00	1.00	12.00	-11.00	40.0	-4.40
02/12/2018	HAGER, REBECCA	THE OSTERWEIS STRATEGIC INCOME FUND	-2,000.00	0.00	22.00	-22.00	40.0	-8.80
* MUTUAL FUNDS SUBTOTAL *			<b>\$-1,850.00</b>	<b>\$3.50</b>	<b>\$46.00</b>	<b>\$-42.50</b>		<b>\$-17.00</b>
*** CLEARING TRANSACTIONS TOTAL ***			<b>\$-1,850.00</b>	<b>\$3.50</b>	<b>\$46.00</b>	<b>\$-42.50</b>		<b>\$-17.00</b>

**DIRECT TRANSACTIONS****PRODUCT CATEGORY: PRIVATE PLACEMENT**

02/15/2018	MURRY, CHARLES	GPB AUTOMOTIVE PORTFOLIO LP	6,500.00	455.00	0.00	455.00	40.0	182.00
* PRIVATE PLACEMENT SUBTOTAL *			<b>\$6,500.00</b>	<b>\$455.00</b>	<b>\$0.00</b>	<b>\$455.00</b>		<b>\$182.00</b>

**PRODUCT CATEGORY: MUTUAL FUNDS**

02/05/2018	ROSE, REBECCA	TRANSAMERICA AA GROWTH C	250.00	2.50	0.00	2.50	40.0	1.00
02/05/2018	ROSE, ERIC	TRANSAMERICA AA GROWTH C	250.00	2.50	0.00	2.50	40.0	1.00
02/05/2018	DUMMER, NICOLE	TRANSAMERICA AA GROWTH C	50.00	0.50	0.00	0.50	40.0	0.20
02/05/2018	PEMBLE, JOCELYN	TRANSAMERICA AA GROWTH C	50.00	0.50	0.00	0.50	40.0	0.20
02/05/2018	EARLS, RUTH	TRANSAMERICA AA GROWTH C	28.75	0.29	0.00	0.29	40.0	0.12
02/05/2018	EARLS, RUTH	TRANSAMERICA AA GROWTH C	28.75	0.29	0.00	0.29	40.0	0.12
02/05/2018	SHOUTZ, PAIGE	TRANSAMERICA AA GROWTH C	41.39	0.41	0.00	0.41	40.0	0.16
02/05/2018	SHOUTZ, PAIGE	TRANSAMERICA AA GROWTH C	24.83	0.25	0.00	0.25	40.0	0.10
02/15/2018	WINTER, JANEAN	TRANSAMERICA AA GROWTH C	200.00	2.00	0.00	2.00	40.0	0.80
02/15/2018	WINTER, JANEAN	TRANSAMERICA AA GROWTH C	200.00	2.00	0.00	2.00	40.0	0.80
02/15/2018	HANSON, MICHAEL	TRANSAMERICA AA GROWTH C	50.00	0.50	0.00	0.50	40.0	0.20
02/16/2018	GRETCHEN L WENDT, SIM	TRANSAMERICA AA GROWTH C	59.59	0.60	0.00	0.60	40.0	0.24
02/16/2018	GRETCHEN L WENDT, SIM	TRANSAMERICA AA GROWTH C	59.59	0.60	0.00	0.60	40.0	0.24
02/16/2018	CONRAD, GARY	TRANSAMERICA AA GROWTH C	40.63	0.41	0.00	0.41	40.0	0.16

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

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b><u>DIRECT TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: MUTUAL FUNDS</u></b>								
02/16/2018	CONRAD, GARY	TRANSAMERICA AA GROWTH C	40.63	0.41	0.00	0.41	40.0	0.16
02/16/2018	JENSEN, MICHAEL	TRANSAMERICA AA GROWTH C	81.45	0.81	0.00	0.81	40.0	0.32
02/16/2018	JENSEN, MICHAEL	TRANSAMERICA AA GROWTH C	81.45	0.81	0.00	0.81	40.0	0.32
02/16/2018	FURST, KENNETH	TRANSAMERICA AA GROWTH C	71.48	0.71	0.00	0.71	40.0	0.28
02/16/2018	FURST, KENNETH	TRANSAMERICA AA GROWTH C	71.48	0.71	0.00	0.71	40.0	0.28
02/05/2018	VAN TOL, KATHERINE	TRANSAMERICA AA MOD GROWTH C	659.14	6.59	0.00	6.59	40.0	2.64
02/05/2018	VAN TOL, KATHERINE	TRANSAMERICA AA MOD GROWTH C	219.72	2.20	0.00	2.20	40.0	0.88
02/05/2018	JUDITH M ABDO, SIM	TRANSAMERICA AA MOD GROWTH C	109.94	1.10	0.00	1.10	40.0	0.44
02/05/2018	JUDITH M ABDO, SIM	TRANSAMERICA AA MOD GROWTH C	65.96	0.66	0.00	0.66	40.0	0.26
02/05/2018	SARAH M GILBERTO, SIM	TRANSAMERICA AA MOD GROWTH C	28.46	0.28	0.00	0.28	40.0	0.11
02/05/2018	SARAH M GILBERTO, SIM	TRANSAMERICA AA MOD GROWTH C	28.46	0.28	0.00	0.28	40.0	0.11
02/12/2018	GRUBER, DUSTIN	TRANSAMERICA AA MOD GROWTH C	90.38	0.90	0.00	0.90	40.0	0.36
02/12/2018	GRUBER, DUSTIN	TRANSAMERICA AA MOD GROWTH C	90.38	0.90	0.00	0.90	40.0	0.36
02/15/2018	ESLINGER, OWEN	TRANSAMERICA AA MOD GROWTH C	150.00	1.50	0.00	1.50	40.0	0.60
02/15/2018	ESLINGER, ELEANOR	TRANSAMERICA AA MOD GROWTH C	150.00	1.50	0.00	1.50	40.0	0.60
* MUTUAL FUNDS SUBTOTAL *			\$3,272.46	\$32.71	\$0.00	\$32.71		\$13.06
<b><u>PRODUCT CATEGORY: VARIABLE ANNUITIES</u></b>								
02/05/2018	GEHRKE, ROBERT	AMERITAS MEDLEY	53,519.34	33.45	0.00	33.45	40.0	13.38
02/08/2018	LYNAUGH, ARLENE	JNL PERSPECTIVE II 04/14	200,000.00	4,000.00	0.00	4,000.00	40.0	1,600.00
01/01/2018	GRONAU, ROLAND	TRANS LIFE LANDMARK 2003 VA	24,595.94	20.50	0.00	20.50	40.0	8.20
01/01/2018	STEVENS, DOUGLAS	TRANSAMERICA CLASSIC	12,956.99	2.70	0.00	2.70	40.0	1.08
01/24/2018	KIRCHNER, JACOB	TRANSAMERICA CLASSIC	19,313.07	4.02	0.00	4.02	40.0	1.61
01/08/2018	KIRCHNER, DUANE	TRANSAMERICA EXTRA	45,548.15	37.96	0.00	37.96	40.0	15.18
01/09/2018	DRESSEN, KATHRYN	TRANSAMERICA EXTRA	342,508.18	285.42	0.00	285.42	40.0	114.17
01/20/2018	GEWERTH, CHERYL	TRANSAMERICA EXTRA	20,466.07	17.06	0.00	17.06	40.0	6.82
01/21/2018	KRONBACK, EUGENE	TRANSAMERICA EXTRA	61,013.41	50.84	0.00	50.84	40.0	20.34
01/29/2018	BULLER, CAROL	TRANSAMERICA EXTRA	14,029.04	11.69	0.00	11.69	40.0	4.68
01/29/2018	KIRCHNER, JANET	TRANSAMERICA EXTRA	33,179.63	27.65	0.00	27.65	40.0	11.06
01/01/2018	IRELAND, DANIEL	TRANSAMERICA LANDMARK	109,013.76	90.84	0.00	90.84	40.0	36.34
01/16/2018	ZIEGLER, ERIC	TRANSAMERICA LANDMARK	19,252.53	16.04	0.00	16.04	40.0	6.42
01/16/2018	ZIEGLER, KRISTINE	TRANSAMERICA LANDMARK	19,784.86	16.49	0.00	16.49	40.0	6.60
01/25/2018	FITTERER, DELORIS	TRANSAMERICA LANDMARK	54,519.32	45.43	0.00	45.43	40.0	18.17
01/29/2018	ATKINSON, VONDA	TRANSAMERICA LANDMARK 89352F772	57,575.85	47.98	0.00	47.98	40.0	19.19

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<b><u>DIRECT TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: VARIABLE ANNUITIES</u></b>								
01/08/2018	BECKWITH, DOROTHY	TRANSAMERICA LIBERTY	88,793.89	73.99	0.00	73.99	40.0	29.60
01/13/2018	BECKWITH, ALTON	TRANSAMERICA LIBERTY	90,680.63	75.57	0.00	75.57	40.0	30.23
* VARIABLE ANNUITIES SUBTOTAL *			<b>\$1,266,750.66</b>	<b>\$4,857.63</b>	<b>\$0.00</b>	<b>\$4,857.63</b>		<b>\$1,943.07</b>
<b><u>PRODUCT CATEGORY: VARIABLE UNIVERSAL LIFE</u></b>								
02/06/2018	STRADTMAN, ROBERT	LBL VUL	110,608.36	55.31	0.00	55.31	40.0	22.12
02/04/2018	LORENTZ, ANDREW	METLIFE LIFE INS	200.00	1.00	0.00	1.00	40.0	0.40
* VARIABLE UNIVERSAL LIFE SUBTOTAL *			<b>\$110,808.36</b>	<b>\$56.31</b>	<b>\$0.00</b>	<b>\$56.31</b>		<b>\$22.52</b>
<b><u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u></b>								
02/16/2016	VAN TOL, KATHERINE	AM FUNDS FUNDAMENTAL INVESTORS C	0.00	23.02	0.00	23.02	40.0	9.21
03/15/2016	VAN TOL, KATHERINE	AM FUNDS FUNDAMENTAL INVESTORS C	0.00	21.18	0.00	21.18	40.0	8.47
04/20/2016	VAN TOL, KATHERINE	AM FUNDS FUNDAMENTAL INVESTORS C	0.00	24.15	0.00	24.15	40.0	9.66
05/16/2016	VAN TOL, KATHERINE	AM FUNDS FUNDAMENTAL INVESTORS C	0.00	24.03	0.00	24.03	40.0	9.61
06/15/2016	VAN TOL, KATHERINE	AM FUNDS FUNDAMENTAL INVESTORS C	0.00	24.87	0.00	24.87	40.0	9.95
07/18/2016	VAN TOL, KATHERINE	AM FUNDS FUNDAMENTAL INVESTORS C	0.00	24.34	0.00	24.34	40.0	9.74
08/15/2016	VAN TOL, KATHERINE	AM FUNDS FUNDAMENTAL INVESTORS C	0.00	25.80	0.00	25.80	40.0	10.32
09/16/2016	VAN TOL, KATHERINE	AM FUNDS FUNDAMENTAL INVESTORS C	0.00	26.24	0.00	26.24	40.0	10.50
10/17/2016	VAN TOL, KATHERINE	AM FUNDS FUNDAMENTAL INVESTORS C	0.00	25.20	0.00	25.20	40.0	10.08
11/18/2016	VAN TOL, KATHERINE	AM FUNDS FUNDAMENTAL INVESTORS C	0.00	26.15	0.00	26.15	40.0	10.46
12/15/2016	VAN TOL, KATHERINE	AM FUNDS FUNDAMENTAL INVESTORS C	0.00	25.63	0.00	25.63	40.0	10.25
11/17/2016	ATKINSON, VONDA	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	59.39	0.00	59.39	40.0	23.76
12/12/2016	ATKINSON, VONDA	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	57.85	0.00	57.85	40.0	23.14
02/16/2016	SMITH-GROVER, SUSAN	DAVIS NEW YORK VENTURE A	0.00	0.76	0.00	0.76	40.0	0.30
03/14/2016	SMITH-GROVER, SUSAN	DAVIS NEW YORK VENTURE A	0.00	0.68	0.00	0.68	40.0	0.27
04/20/2016	SMITH-GROVER, SUSAN	DAVIS NEW YORK VENTURE A	0.00	0.77	0.00	0.77	40.0	0.31
05/16/2016	SMITH-GROVER, SUSAN	DAVIS NEW YORK VENTURE A	0.00	0.78	0.00	0.78	40.0	0.31
06/16/2016	SMITH-GROVER, SUSAN	DAVIS NEW YORK VENTURE A	0.00	0.82	0.00	0.82	40.0	0.33
07/15/2016	SMITH-GROVER, SUSAN	DAVIS NEW YORK VENTURE A	0.00	0.80	0.00	0.80	40.0	0.32
08/15/2016	SMITH-GROVER, SUSAN	DAVIS NEW YORK VENTURE A	0.00	0.78	0.00	0.78	40.0	0.31
09/16/2016	SMITH-GROVER, SUSAN	DAVIS NEW YORK VENTURE A	0.00	0.81	0.00	0.81	40.0	0.32
10/17/2016	SMITH-GROVER, SUSAN	DAVIS NEW YORK VENTURE A	0.00	0.78	0.00	0.78	40.0	0.31
11/11/2016	SMITH-GROVER, SUSAN	DAVIS NEW YORK VENTURE A	0.00	0.81	0.00	0.81	40.0	0.32
12/16/2016	SMITH-GROVER, SUSAN	DAVIS NEW YORK VENTURE A	0.00	0.80	0.00	0.80	40.0	0.32

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<b><u>DIRECT TRANSACTIONS</u></b>								
<b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</b>								
02/11/2016	SMITH-GROVER, SUSAN	DELAWARE VALUE A	0.00	0.65	0.00	0.65	40.0	0.26
03/11/2016	SMITH-GROVER, SUSAN	DELAWARE VALUE A	0.00	0.61	0.00	0.61	40.0	0.24
04/14/2016	SMITH-GROVER, SUSAN	DELAWARE VALUE A	0.00	0.69	0.00	0.69	40.0	0.28
05/16/2016	SMITH-GROVER, SUSAN	DELAWARE VALUE A	0.00	0.69	0.00	0.69	40.0	0.28
06/15/2016	SMITH-GROVER, SUSAN	DELAWARE VALUE A	0.00	0.73	0.00	0.73	40.0	0.29
07/18/2016	SMITH-GROVER, SUSAN	DELAWARE VALUE A	0.00	0.72	0.00	0.72	40.0	0.29
08/11/2016	SMITH-GROVER, SUSAN	DELAWARE VALUE A	0.00	0.77	0.00	0.77	40.0	0.31
09/13/2016	SMITH-GROVER, SUSAN	DELAWARE VALUE A	0.00	0.77	0.00	0.77	40.0	0.31
10/19/2016	SMITH-GROVER, SUSAN	DELAWARE VALUE A	0.00	0.73	0.00	0.73	40.0	0.29
11/17/2016	SMITH-GROVER, SUSAN	DELAWARE VALUE A	0.00	0.75	0.00	0.75	40.0	0.30
12/29/2016	SMITH-GROVER, SUSAN	DELAWARE VALUE A	0.00	0.73	0.00	0.73	40.0	0.29
02/10/2016	ATKINSON, VONDA	DREYFUS WORLDWIDE GROWTH FUND CLASS	0.00	3.65	0.00	3.65	40.0	1.46
03/10/2016	ATKINSON, VONDA	DREYFUS WORLDWIDE GROWTH FUND CLASS	0.00	3.45	0.00	3.45	40.0	1.38
04/15/2016	ATKINSON, VONDA	DREYFUS WORLDWIDE GROWTH FUND CLASS	0.00	3.86	0.00	3.86	40.0	1.54
05/11/2016	ATKINSON, VONDA	DREYFUS WORLDWIDE GROWTH FUND CLASS	0.00	3.84	0.00	3.84	40.0	1.54
06/10/2016	ATKINSON, VONDA	DREYFUS WORLDWIDE GROWTH FUND CLASS	0.00	3.94	0.00	3.94	40.0	1.58
07/13/2016	ATKINSON, VONDA	DREYFUS WORLDWIDE GROWTH FUND CLASS	0.00	3.82	0.00	3.82	40.0	1.53
08/09/2016	ATKINSON, VONDA	DREYFUS WORLDWIDE GROWTH FUND CLASS	0.00	4.06	0.00	4.06	40.0	1.62
09/12/2016	ATKINSON, VONDA	DREYFUS WORLDWIDE GROWTH FUND CLASS	0.00	4.10	0.00	4.10	40.0	1.64
10/11/2016	ATKINSON, VONDA	DREYFUS WORLDWIDE GROWTH FUND CLASS	0.00	3.93	0.00	3.93	40.0	1.57
11/15/2016	ATKINSON, VONDA	DREYFUS WORLDWIDE GROWTH FUND CLASS	0.00	4.02	0.00	4.02	40.0	1.61
12/13/2016	ATKINSON, VONDA	DREYFUS WORLDWIDE GROWTH FUND CLASS	0.00	3.81	0.00	3.81	40.0	1.52
04/26/2016	SMITH-GROVER, SUSAN	DWS DEUTSCHE EQUITY DIVIDEND FUND-A	0.00	2.49	0.00	2.49	40.0	1.00
07/25/2016	SMITH-GROVER, SUSAN	DWS DEUTSCHE EQUITY DIVIDEND FUND-A	0.00	2.68	0.00	2.68	40.0	1.07
10/27/2016	SMITH-GROVER, SUSAN	DWS DEUTSCHE EQUITY DIVIDEND FUND-A	0.00	2.86	0.00	2.86	40.0	1.14
04/15/2016	GEHRKE, DEBORAH	FRANKLIN INCOME C	0.00	0.69	0.00	0.69	40.0	0.28
05/13/2016	GEHRKE, DEBORAH	FRANKLIN INCOME C	0.00	1.14	0.00	1.14	40.0	0.46
04/15/2016	GEHRKE, DEBORAH	FRANKLIN STRATEGIC INCOME C	0.00	0.67	0.00	0.67	40.0	0.27
05/13/2016	GEHRKE, DEBORAH	FRANKLIN STRATEGIC INCOME C	0.00	1.13	0.00	1.13	40.0	0.45
04/14/2016	ATKINSON, VONDA	INVESCO INTERNATIONAL GROWTH A	0.00	13.73	0.00	13.73	40.0	5.49
07/19/2016	ATKINSON, VONDA	INVESCO INTERNATIONAL GROWTH A	0.00	35.32	0.00	35.32	40.0	14.13
10/17/2016	ATKINSON, VONDA	INVESCO INTERNATIONAL GROWTH A	0.00	36.23	0.00	36.23	40.0	14.49
04/14/2016	ATKINSON, VONDA	INVESCO MIDCAP GROWTH A	0.00	13.64	0.00	13.64	40.0	5.46

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<b><u>DIRECT TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u></b>								
07/19/2016	ATKINSON, VONDA	INVESCO MIDCAP GROWTH A	0.00	14.67	0.00	14.67	40.0	5.87
10/17/2016	ATKINSON, VONDA	INVESCO MIDCAP GROWTH A	0.00	15.56	0.00	15.56	40.0	6.22
03/18/2016	GROMMERSCH, STACI	JH CLASSIC VALUE A	0.00	0.03	0.00	0.03	40.0	0.01
04/15/2016	GROMMERSCH, STACI	JH CLASSIC VALUE A	0.00	0.04	0.00	0.04	40.0	0.02
05/23/2016	GROMMERSCH, STACI	JH CLASSIC VALUE A	0.00	0.04	0.00	0.04	40.0	0.02
06/27/2016	GROMMERSCH, STACI	JH CLASSIC VALUE A	0.00	0.04	0.00	0.04	40.0	0.02
07/15/2016	GROMMERSCH, STACI	JH CLASSIC VALUE A	0.00	0.04	0.00	0.04	40.0	0.02
08/16/2016	GROMMERSCH, STACI	JH CLASSIC VALUE A	0.00	0.04	0.00	0.04	40.0	0.02
09/16/2016	GROMMERSCH, STACI	JH CLASSIC VALUE A	0.00	0.04	0.00	0.04	40.0	0.02
10/24/2016	GROMMERSCH, STACI	JH CLASSIC VALUE A	0.00	0.04	0.00	0.04	40.0	0.02
11/18/2016	GROMMERSCH, STACI	JH CLASSIC VALUE A	0.00	0.05	0.00	0.05	40.0	0.02
12/16/2016	GROMMERSCH, STACI	JH CLASSIC VALUE A	0.00	0.05	0.00	0.05	40.0	0.02
02/14/2018	BLOCK, EUGENE	JH DISCIPLINED VALUE INT'L C	0.00	1.43	0.00	1.43	40.0	0.57
02/14/2018	ROBERTS, MICHELLE	JH DISCIPLINED VALUE INT'L C	0.00	0.24	0.00	0.24	40.0	0.10
02/14/2018	WALLEM, HARRY	JH FINANCIAL INDUSTRIES A	0.00	2.68	0.00	2.68	40.0	1.07
02/14/2018	BLOCK, EUGENE	JH INCOME B	0.00	1.13	0.00	1.13	40.0	0.45
03/18/2016	GROMMERSCH, STACI	JH LARGE CAP EQUITY A	0.00	0.04	0.00	0.04	40.0	0.02
04/15/2016	GROMMERSCH, STACI	JH LARGE CAP EQUITY A	0.00	0.04	0.00	0.04	40.0	0.02
05/23/2016	GROMMERSCH, STACI	JH LARGE CAP EQUITY A	0.00	0.04	0.00	0.04	40.0	0.02
06/27/2016	GROMMERSCH, STACI	JH LARGE CAP EQUITY A	0.00	0.05	0.00	0.05	40.0	0.02
07/15/2016	GROMMERSCH, STACI	JH LARGE CAP EQUITY A	0.00	0.04	0.00	0.04	40.0	0.02
08/16/2016	GROMMERSCH, STACI	JH LARGE CAP EQUITY A	0.00	0.05	0.00	0.05	40.0	0.02
09/16/2016	GROMMERSCH, STACI	JH LARGE CAP EQUITY A	0.00	0.05	0.00	0.05	40.0	0.02
10/24/2016	GROMMERSCH, STACI	JH LARGE CAP EQUITY A	0.00	0.05	0.00	0.05	40.0	0.02
11/18/2016	GROMMERSCH, STACI	JH LARGE CAP EQUITY A	0.00	0.05	0.00	0.05	40.0	0.02
12/16/2016	GROMMERSCH, STACI	JH LARGE CAP EQUITY A	0.00	0.05	0.00	0.05	40.0	0.02
02/14/2018	WALLEM, HARRY	JH LARGE CAP EQUITY A	0.00	4.39	0.00	4.39	40.0	1.76
02/14/2018	BLOCK, EUGENE	JH LARGE CAP EQUITY A	0.00	1.88	0.00	1.88	40.0	0.75
02/14/2018	BLOCK, EUGENE	JH LARGE CAP EQUITY B	0.00	1.14	0.00	1.14	40.0	0.46
02/14/2018	BLOCK, EUGENE	JH LARGE CAP EQUITY C	0.00	2.02	0.00	2.02	40.0	0.81
02/14/2018	ROBERTS, MICHELLE	JH LARGE CAP EQUITY C	0.00	0.06	0.00	0.06	40.0	0.02
02/14/2018	TOLZMANN, RICHARD	JH LIFESTYLE AGGRESSIVE PORTFOLIO C	0.00	2.23	0.00	2.23	40.0	0.89
02/14/2018	SCHARMER, KEVIN	JH LIFESTYLE CONSERVATIVE PORT A	0.00	5.93	0.00	5.93	40.0	2.37

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b><u>DIRECT TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u></b>								
02/14/2018	SCHARMER, KEVIN	JH LIFESTYLE CONSERVATIVE PORT B	0.00	1.71	0.00	1.71	40.0	0.68
02/14/2018	OLSON, HARLAN	JH LIFESTYLE GROWTH PORTFOLIO C	0.00	3.34	0.00	3.34	40.0	1.34
02/14/2018	HERMEL, ROBERT	JH LIFESTYLE GROWTH PORTFOLIO C	0.00	5.23	0.00	5.23	40.0	2.09
02/14/2018	WALLEM, HARRY	JH NEW OPPORTUNITIES A	0.00	2.38	0.00	2.38	40.0	0.95
02/14/2018	BLOCK, EUGENE	JH NEW OPPORTUNITIES A	0.00	0.70	0.00	0.70	40.0	0.28
02/14/2018	BLOCK, EUGENE	JH NEW OPPORTUNITIES C	0.00	1.51	0.00	1.51	40.0	0.60
02/19/2016	STEFFL, CHRISTINE	JH RANIER GROWTH A	0.00	0.30	0.00	0.30	40.0	0.12
02/19/2016	STEFFL, JOSEPH	JH RANIER GROWTH A	0.00	0.39	0.00	0.39	40.0	0.16
03/18/2016	STEFFL, CHRISTINE	JH RANIER GROWTH A	0.00	0.27	0.00	0.27	40.0	0.11
03/18/2016	STEFFL, JOSEPH	JH RANIER GROWTH A	0.00	0.35	0.00	0.35	40.0	0.14
04/15/2016	STEFFL, CHRISTINE	JH RANIER GROWTH A	0.00	0.31	0.00	0.31	40.0	0.12
04/15/2016	STEFFL, JOSEPH	JH RANIER GROWTH A	0.00	0.40	0.00	0.40	40.0	0.16
05/23/2016	STEFFL, CHRISTINE	JH RANIER GROWTH A	0.00	0.22	0.00	0.22	40.0	0.09
05/23/2016	STEFFL, JOSEPH	JH RANIER GROWTH A	0.00	0.28	0.00	0.28	40.0	0.11
03/18/2016	ATKINSON, VONDA	JH RANIER GROWTH T	0.00	0.35	0.00	0.35	40.0	0.14
04/15/2016	ATKINSON, VONDA	JH RANIER GROWTH T	0.00	2.25	0.00	2.25	40.0	0.90
05/23/2016	ATKINSON, VONDA	JH RANIER GROWTH T	0.00	1.57	0.00	1.57	40.0	0.63
02/14/2018	ROBERTS, MICHELLE	JH SMALL COMPANY FUND A	0.00	0.08	0.00	0.08	40.0	0.03
05/23/2016	STEFFL, CHRISTINE	JH STRATEGIC GROWTH A	0.00	0.09	0.00	0.09	40.0	0.04
05/23/2016	STEFFL, JOSEPH	JH STRATEGIC GROWTH A	0.00	0.12	0.00	0.12	40.0	0.05
05/23/2016	ATKINSON, VONDA	JH STRATEGIC GROWTH A	0.00	0.64	0.00	0.64	40.0	0.26
06/27/2016	STEFFL, CHRISTINE	JH STRATEGIC GROWTH A	0.00	0.32	0.00	0.32	40.0	0.13
06/27/2016	STEFFL, JOSEPH	JH STRATEGIC GROWTH A	0.00	0.41	0.00	0.41	40.0	0.16
06/27/2016	ATKINSON, VONDA	JH STRATEGIC GROWTH A	0.00	2.20	0.00	2.20	40.0	0.88
07/15/2016	STEFFL, CHRISTINE	JH STRATEGIC GROWTH A	0.00	0.31	0.00	0.31	40.0	0.12
07/15/2016	STEFFL, JOSEPH	JH STRATEGIC GROWTH A	0.00	0.40	0.00	0.40	40.0	0.16
07/15/2016	ATKINSON, VONDA	JH STRATEGIC GROWTH A	0.00	2.14	0.00	2.14	40.0	0.86
08/16/2016	STEFFL, CHRISTINE	JH STRATEGIC GROWTH A	0.00	0.33	0.00	0.33	40.0	0.13
08/16/2016	STEFFL, JOSEPH	JH STRATEGIC GROWTH A	0.00	0.43	0.00	0.43	40.0	0.17
08/16/2016	ATKINSON, VONDA	JH STRATEGIC GROWTH A	0.00	2.27	0.00	2.27	40.0	0.91
09/16/2016	STEFFL, CHRISTINE	JH STRATEGIC GROWTH A	0.00	0.33	0.00	0.33	40.0	0.13
09/16/2016	STEFFL, JOSEPH	JH STRATEGIC GROWTH A	0.00	0.43	0.00	0.43	40.0	0.17
09/16/2016	ATKINSON, VONDA	JH STRATEGIC GROWTH A	0.00	2.31	0.00	2.31	40.0	0.92

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<b><u>DIRECT TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u></b>								
10/24/2016	STEFFL, CHRISTINE	JH STRATEGIC GROWTH A	0.00	0.32	0.00	0.32	40.0	0.13
10/24/2016	STEFFL, JOSEPH	JH STRATEGIC GROWTH A	0.00	0.42	0.00	0.42	40.0	0.17
10/24/2016	ATKINSON, VONDA	JH STRATEGIC GROWTH A	0.00	2.21	0.00	2.21	40.0	0.88
11/18/2016	STEFFL, CHRISTINE	JH STRATEGIC GROWTH A	0.00	0.33	0.00	0.33	40.0	0.13
11/18/2016	STEFFL, JOSEPH	JH STRATEGIC GROWTH A	0.00	0.43	0.00	0.43	40.0	0.17
11/18/2016	ATKINSON, VONDA	JH STRATEGIC GROWTH A	0.00	2.28	0.00	2.28	40.0	0.91
12/16/2016	STEFFL, CHRISTINE	JH STRATEGIC GROWTH A	0.00	0.32	0.00	0.32	40.0	0.13
12/16/2016	STEFFL, JOSEPH	JH STRATEGIC GROWTH A	0.00	0.41	0.00	0.41	40.0	0.16
12/16/2016	ATKINSON, VONDA	JH STRATEGIC GROWTH A	0.00	2.19	0.00	2.19	40.0	0.88
02/14/2018	BLOCK, EUGENE	JH STRATEGIC GROWTH A	0.00	1.28	0.00	1.28	40.0	0.51
02/14/2018	BLOCK, EUGENE	JH STRATEGIC GROWTH C	0.00	1.99	0.00	1.99	40.0	0.80
02/14/2018	WALLEM, HARRY	JH STRATEGIC INCOME A	0.00	2.70	0.00	2.70	40.0	1.08
02/14/2018	BLOCK, EUGENE	JH STRATEGIC INCOME A	0.00	0.50	0.00	0.50	40.0	0.20
02/14/2018	BLOCK, EUGENE	JH STRATEGIC INCOME C	0.00	1.34	0.00	1.34	40.0	0.54
02/14/2018	ROBERTS, MICHELLE	JH STRATEGIC INCOME C	0.00	0.85	0.00	0.85	40.0	0.34
02/14/2018	KUEHLWEIN, RICHARD	JH STRATEGIC INCOME C	0.00	7.96	0.00	7.96	40.0	3.18
02/14/2018	WALLEM, HARRY	JN DISCIPLINED VALUE INT'L A	0.00	2.07	0.00	2.07	40.0	0.83
02/14/2018	BLOCK, EUGENE	JN DISCIPLINED VALUE INT'L A	0.00	0.65	0.00	0.65	40.0	0.26
02/14/2018	KUEHLWEIN, RICHARD	JOHN HANCOCK CLASSIC VALUE C	0.00	9.06	0.00	9.06	40.0	3.62
02/14/2018	ROBERTS, MICHELLE	JOHN HANCOCK FOCUSED HIGH YIELD C	0.00	0.11	0.00	0.11	40.0	0.04
02/14/2018	KUEHLWEIN, RICHARD	JOHN HANCOCK FOCUSED HIGH YIELD C	0.00	7.07	0.00	7.07	40.0	2.83
02/14/2018	HENZE, DUANE	JOHN HANCOCK LIFESTYLE AGGR PORTFOL	0.00	0.02	0.00	0.02	40.0	0.01
03/18/2016	GROMMERSCH, STACI	JOHN HANCOCK LIFESTYLE BALANCED POR	0.00	0.03	0.00	0.03	40.0	0.01
04/15/2016	GROMMERSCH, STACI	JOHN HANCOCK LIFESTYLE BALANCED POR	0.00	0.04	0.00	0.04	40.0	0.02
05/23/2016	GROMMERSCH, STACI	JOHN HANCOCK LIFESTYLE BALANCED POR	0.00	0.04	0.00	0.04	40.0	0.02
06/27/2016	GROMMERSCH, STACI	JOHN HANCOCK LIFESTYLE BALANCED POR	0.00	0.04	0.00	0.04	40.0	0.02
07/15/2016	GROMMERSCH, STACI	JOHN HANCOCK LIFESTYLE BALANCED POR	0.00	0.04	0.00	0.04	40.0	0.02
08/16/2016	GROMMERSCH, STACI	JOHN HANCOCK LIFESTYLE BALANCED POR	0.00	0.04	0.00	0.04	40.0	0.02
09/16/2016	GROMMERSCH, STACI	JOHN HANCOCK LIFESTYLE BALANCED POR	0.00	0.04	0.00	0.04	40.0	0.02
10/24/2016	GROMMERSCH, STACI	JOHN HANCOCK LIFESTYLE BALANCED POR	0.00	0.04	0.00	0.04	40.0	0.02
11/18/2016	GROMMERSCH, STACI	JOHN HANCOCK LIFESTYLE BALANCED POR	0.00	0.04	0.00	0.04	40.0	0.02
12/16/2016	GROMMERSCH, STACI	JOHN HANCOCK LIFESTYLE BALANCED POR	0.00	0.04	0.00	0.04	40.0	0.02
02/14/2018	KUEHLWEIN, RICHARD	JOHN HANCOCK US GLOBAL LEADERS GRW	0.00	6.75	0.00	6.75	40.0	2.70

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<b><u>DIRECT TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u></b>								
02/08/2016	SWARD, KIM	MFS AGGRESSIVE GROWTH ALLOCATION C	0.00	1.24	0.00	1.24	40.0	0.50
03/14/2016	SWARD, KIM	MFS AGGRESSIVE GROWTH ALLOCATION C	0.00	1.14	0.00	1.14	40.0	0.46
04/15/2016	SWARD, KIM	MFS AGGRESSIVE GROWTH ALLOCATION C	0.00	1.29	0.00	1.29	40.0	0.52
05/17/2016	SWARD, KIM	MFS AGGRESSIVE GROWTH ALLOCATION C	0.00	1.29	0.00	1.29	40.0	0.52
06/16/2016	SWARD, KIM	MFS AGGRESSIVE GROWTH ALLOCATION C	0.00	1.34	0.00	1.34	40.0	0.54
07/20/2016	SWARD, KIM	MFS AGGRESSIVE GROWTH ALLOCATION C	0.00	30.27	0.00	30.27	40.0	12.11
08/16/2016	SWARD, KIM	MFS AGGRESSIVE GROWTH ALLOCATION C	0.00	32.03	0.00	32.03	40.0	12.81
09/15/2016	SWARD, KIM	MFS AGGRESSIVE GROWTH ALLOCATION C	0.00	32.65	0.00	32.65	40.0	13.06
10/20/2016	SWARD, KIM	MFS AGGRESSIVE GROWTH ALLOCATION C	0.00	31.42	0.00	31.42	40.0	12.57
11/14/2016	SWARD, KIM	MFS AGGRESSIVE GROWTH ALLOCATION C	0.00	32.13	0.00	32.13	40.0	12.85
12/19/2016	SWARD, KIM	MFS AGGRESSIVE GROWTH ALLOCATION C	0.00	30.72	0.00	30.72	40.0	12.29
02/08/2016	WHITE, STACEY	MFS GROWTH ALLOCATION C	0.00	0.37	0.00	0.37	40.0	0.15
03/14/2016	SORUM, JEFFREY	MFS GROWTH ALLOCATION C	0.00	0.12	0.00	0.12	40.0	0.05
03/14/2016	WHITE, STACEY	MFS GROWTH ALLOCATION C	0.00	0.34	0.00	0.34	40.0	0.14
04/15/2016	SORUM, JEFFREY	MFS GROWTH ALLOCATION C	0.00	0.14	0.00	0.14	40.0	0.06
04/15/2016	WHITE, STACEY	MFS GROWTH ALLOCATION C	0.00	0.39	0.00	0.39	40.0	0.16
05/17/2016	SORUM, JEFFREY	MFS GROWTH ALLOCATION C	0.00	0.14	0.00	0.14	40.0	0.06
05/17/2016	WHITE, STACEY	MFS GROWTH ALLOCATION C	0.00	0.38	0.00	0.38	40.0	0.15
06/16/2016	SORUM, JEFFREY	MFS GROWTH ALLOCATION C	0.00	0.15	0.00	0.15	40.0	0.06
06/16/2016	WHITE, STACEY	MFS GROWTH ALLOCATION C	0.00	0.40	0.00	0.40	40.0	0.16
07/20/2016	SORUM, JEFFREY	MFS GROWTH ALLOCATION C	0.00	3.69	0.00	3.69	40.0	1.48
07/20/2016	WHITE, STACEY	MFS GROWTH ALLOCATION C	0.00	9.88	0.00	9.88	40.0	3.95
08/16/2016	SORUM, JEFFREY	MFS GROWTH ALLOCATION C	0.00	3.90	0.00	3.90	40.0	1.56
08/16/2016	WHITE, STACEY	MFS GROWTH ALLOCATION C	0.00	10.44	0.00	10.44	40.0	4.18
09/15/2016	SORUM, JEFFREY	MFS GROWTH ALLOCATION C	0.00	3.97	0.00	3.97	40.0	1.59
09/15/2016	WHITE, STACEY	MFS GROWTH ALLOCATION C	0.00	10.61	0.00	10.61	40.0	4.24
10/20/2016	SORUM, JEFFREY	MFS GROWTH ALLOCATION C	0.00	3.82	0.00	3.82	40.0	1.53
10/20/2016	WHITE, STACEY	MFS GROWTH ALLOCATION C	0.00	10.22	0.00	10.22	40.0	4.09
11/14/2016	SORUM, JEFFREY	MFS GROWTH ALLOCATION C	0.00	3.92	0.00	3.92	40.0	1.57
11/14/2016	WHITE, STACEY	MFS GROWTH ALLOCATION C	0.00	10.48	0.00	10.48	40.0	4.19
12/19/2016	SORUM, JEFFREY	MFS GROWTH ALLOCATION C	0.00	3.75	0.00	3.75	40.0	1.50
12/19/2016	WHITE, STACEY	MFS GROWTH ALLOCATION C	0.00	10.03	0.00	10.03	40.0	4.01
02/22/2016	SORENSEN, JOSHUA	OPPENHEIMER CAPITAL APPRECIATION A	0.00	0.31	0.00	0.31	40.0	0.12

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<b><u>DIRECT TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u></b>								
03/17/2016	SORENSEN, JOSHUA	OPPENHEIMER CAPITAL APPRECIATION A	0.00	0.28	0.00	0.28	40.0	0.11
04/21/2016	SORENSEN, JOSHUA	OPPENHEIMER CAPITAL APPRECIATION A	0.00	0.31	0.00	0.31	40.0	0.12
05/19/2016	SORENSEN, JOSHUA	OPPENHEIMER CAPITAL APPRECIATION A	0.00	0.30	0.00	0.30	40.0	0.12
06/30/2016	SORENSEN, JOSHUA	OPPENHEIMER CAPITAL APPRECIATION A	0.00	0.31	0.00	0.31	40.0	0.12
07/18/2016	SORENSEN, JOSHUA	OPPENHEIMER CAPITAL APPRECIATION A	0.00	0.30	0.00	0.30	40.0	0.12
08/24/2016	SORENSEN, JOSHUA	OPPENHEIMER CAPITAL APPRECIATION A	0.00	0.32	0.00	0.32	40.0	0.13
09/22/2016	SORENSEN, JOSHUA	OPPENHEIMER CAPITAL APPRECIATION A	0.00	0.33	0.00	0.33	40.0	0.13
10/21/2016	SORENSEN, JOSHUA	OPPENHEIMER CAPITAL APPRECIATION A	0.00	0.32	0.00	0.32	40.0	0.13
11/21/2016	SORENSEN, JOSHUA	OPPENHEIMER CAPITAL APPRECIATION A	0.00	0.33	0.00	0.33	40.0	0.13
12/19/2016	SORENSEN, JOSHUA	OPPENHEIMER CAPITAL APPRECIATION A	0.00	0.31	0.00	0.31	40.0	0.12
04/21/2016	ZIEGLER, KRISTINE	PUTNAM ASSET ALLOC GROWTH A	0.00	0.81	0.00	0.81	40.0	0.32
05/26/2016	ZIEGLER, KRISTINE	PUTNAM ASSET ALLOC GROWTH A	0.00	1.76	0.00	1.76	40.0	0.70
06/23/2016	ZIEGLER, KRISTINE	PUTNAM ASSET ALLOC GROWTH A	0.00	1.81	0.00	1.81	40.0	0.72
07/26/2016	ZIEGLER, KRISTINE	PUTNAM ASSET ALLOC GROWTH A	0.00	1.88	0.00	1.88	40.0	0.75
08/19/2016	ZIEGLER, KRISTINE	PUTNAM ASSET ALLOC GROWTH A	0.00	2.06	0.00	2.06	40.0	0.82
09/20/2016	ZIEGLER, KRISTINE	PUTNAM ASSET ALLOC GROWTH A	0.00	2.11	0.00	2.11	40.0	0.84
10/25/2016	ZIEGLER, KRISTINE	PUTNAM ASSET ALLOC GROWTH A	0.00	2.04	0.00	2.04	40.0	0.82
11/23/2016	ZIEGLER, KRISTINE	PUTNAM ASSET ALLOC GROWTH A	0.00	2.11	0.00	2.11	40.0	0.84
12/23/2016	ZIEGLER, KRISTINE	PUTNAM ASSET ALLOC GROWTH A	0.00	2.06	0.00	2.06	40.0	0.82
02/22/2016	FLO, PAUL	PUTNAM CAPITAL SPECTRUM C	0.00	2.01	0.00	2.01	40.0	0.80
02/22/2016	FLO, PAUL	PUTNAM CAPITAL SPECTRUM C	0.00	1.86	0.00	1.86	40.0	0.74
02/22/2016	HAGER, PETER	PUTNAM CAPITAL SPECTRUM C	0.00	1.91	0.00	1.91	40.0	0.76
02/22/2016	LORENTZ, ANDREW	PUTNAM CAPITAL SPECTRUM C	0.00	0.09	0.00	0.09	40.0	0.04
02/22/2016	TANHOFF, ROBERT	PUTNAM CAPITAL SPECTRUM C	0.00	7.72	0.00	7.72	40.0	3.09
03/22/2016	FLO, PAUL	PUTNAM CAPITAL SPECTRUM C	0.00	1.80	0.00	1.80	40.0	0.72
03/22/2016	FLO, PAUL	PUTNAM CAPITAL SPECTRUM C	0.00	1.98	0.00	1.98	40.0	0.79
03/22/2016	HAGER, PETER	PUTNAM CAPITAL SPECTRUM C	0.00	1.72	0.00	1.72	40.0	0.69
03/22/2016	LORENTZ, ANDREW	PUTNAM CAPITAL SPECTRUM C	0.00	0.10	0.00	0.10	40.0	0.04
03/22/2016	TANHOFF, ROBERT	PUTNAM CAPITAL SPECTRUM C	0.00	6.93	0.00	6.93	40.0	2.77
04/21/2016	FLO, PAUL	PUTNAM CAPITAL SPECTRUM C	0.00	2.02	0.00	2.02	40.0	0.81
04/21/2016	FLO, PAUL	PUTNAM CAPITAL SPECTRUM C	0.00	2.31	0.00	2.31	40.0	0.92
04/21/2016	HAGER, PETER	PUTNAM CAPITAL SPECTRUM C	0.00	1.93	0.00	1.93	40.0	0.77
04/21/2016	LORENTZ, ANDREW	PUTNAM CAPITAL SPECTRUM C	0.00	0.11	0.00	0.11	40.0	0.04

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<b><u>DIRECT TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u></b>								
04/21/2016	TANHOFF, ROBERT	PUTNAM CAPITAL SPECTRUM C	0.00	7.78	0.00	7.78	40.0	3.11
05/26/2016	FLO, PAUL	PUTNAM CAPITAL SPECTRUM C	0.00	1.97	0.00	1.97	40.0	0.79
05/26/2016	FLO, PAUL	PUTNAM CAPITAL SPECTRUM C	0.00	2.51	0.00	2.51	40.0	1.00
05/26/2016	HAGER, PETER	PUTNAM CAPITAL SPECTRUM C	0.00	1.88	0.00	1.88	40.0	0.75
05/26/2016	LORENTZ, ANDREW	PUTNAM CAPITAL SPECTRUM C	0.00	0.11	0.00	0.11	40.0	0.04
05/26/2016	TANHOFF, ROBERT	PUTNAM CAPITAL SPECTRUM C	0.00	7.58	0.00	7.58	40.0	3.03
06/23/2016	FLO, PAUL	PUTNAM CAPITAL SPECTRUM C	0.00	2.01	0.00	2.01	40.0	0.80
06/23/2016	FLO, PAUL	PUTNAM CAPITAL SPECTRUM C	0.00	2.56	0.00	2.56	40.0	1.02
06/23/2016	HAGER, PETER	PUTNAM CAPITAL SPECTRUM C	0.00	1.92	0.00	1.92	40.0	0.77
06/23/2016	LORENTZ, ANDREW	PUTNAM CAPITAL SPECTRUM C	0.00	0.11	0.00	0.11	40.0	0.04
06/23/2016	TANHOFF, ROBERT	PUTNAM CAPITAL SPECTRUM C	0.00	3.74	0.00	3.74	40.0	1.50
07/26/2016	FLO, PAUL	PUTNAM CAPITAL SPECTRUM C	0.00	1.99	0.00	1.99	40.0	0.80
07/26/2016	FLO, PAUL	PUTNAM CAPITAL SPECTRUM C	0.00	2.72	0.00	2.72	40.0	1.09
07/26/2016	HAGER, PETER	PUTNAM CAPITAL SPECTRUM C	0.00	1.89	0.00	1.89	40.0	0.76
07/26/2016	LORENTZ, ANDREW	PUTNAM CAPITAL SPECTRUM C	0.00	1.94	0.00	1.94	40.0	0.78
08/19/2016	FLO, PAUL	PUTNAM CAPITAL SPECTRUM C	0.00	2.06	0.00	2.06	40.0	0.82
08/19/2016	FLO, PAUL	PUTNAM CAPITAL SPECTRUM C	0.00	2.82	0.00	2.82	40.0	1.13
08/19/2016	HAGER, PETER	PUTNAM CAPITAL SPECTRUM C	0.00	1.96	0.00	1.96	40.0	0.78
08/19/2016	LORENTZ, ANDREW	PUTNAM CAPITAL SPECTRUM C	0.00	2.02	0.00	2.02	40.0	0.81
09/20/2016	FLO, PAUL	PUTNAM CAPITAL SPECTRUM C	0.00	2.07	0.00	2.07	40.0	0.83
09/20/2016	FLO, PAUL	PUTNAM CAPITAL SPECTRUM C	0.00	2.83	0.00	2.83	40.0	1.13
09/20/2016	HAGER, PETER	PUTNAM CAPITAL SPECTRUM C	0.00	1.98	0.00	1.98	40.0	0.79
09/20/2016	LORENTZ, ANDREW	PUTNAM CAPITAL SPECTRUM C	0.00	2.03	0.00	2.03	40.0	0.81
10/25/2016	FLO, PAUL	PUTNAM CAPITAL SPECTRUM C	0.00	2.00	0.00	2.00	40.0	0.80
10/25/2016	FLO, PAUL	PUTNAM CAPITAL SPECTRUM C	0.00	2.74	0.00	2.74	40.0	1.10
10/25/2016	HAGER, PETER	PUTNAM CAPITAL SPECTRUM C	0.00	1.91	0.00	1.91	40.0	0.76
10/25/2016	LORENTZ, ANDREW	PUTNAM CAPITAL SPECTRUM C	0.00	1.96	0.00	1.96	40.0	0.78
11/23/2016	FLO, PAUL	PUTNAM CAPITAL SPECTRUM C	0.00	2.13	0.00	2.13	40.0	0.85
11/23/2016	FLO, PAUL	PUTNAM CAPITAL SPECTRUM C	0.00	2.91	0.00	2.91	40.0	1.16
11/23/2016	HAGER, PETER	PUTNAM CAPITAL SPECTRUM C	0.00	2.03	0.00	2.03	40.0	0.81
11/23/2016	LORENTZ, ANDREW	PUTNAM CAPITAL SPECTRUM C	0.00	2.08	0.00	2.08	40.0	0.83
12/23/2016	FLO, PAUL	PUTNAM CAPITAL SPECTRUM C	0.00	2.06	0.00	2.06	40.0	0.82
12/23/2016	FLO, PAUL	PUTNAM CAPITAL SPECTRUM C	0.00	2.82	0.00	2.82	40.0	1.13

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b><u>DIRECT TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u></b>								
12/23/2016	HAGER, PETER	PUTNAM CAPITAL SPECTRUM C	0.00	1.97	0.00	1.97	40.0	0.79
12/23/2016	LORENTZ, ANDREW	PUTNAM CAPITAL SPECTRUM C	0.00	2.02	0.00	2.02	40.0	0.81
02/22/2016	FLO, PAUL	PUTNAM EQUITY SPECTRUM C	0.00	1.87	0.00	1.87	40.0	0.75
02/22/2016	FLO, PAUL	PUTNAM EQUITY SPECTRUM C	0.00	1.76	0.00	1.76	40.0	0.70
02/22/2016	HAGER, PETER	PUTNAM EQUITY SPECTRUM C	0.00	1.76	0.00	1.76	40.0	0.70
02/22/2016	LORENTZ, ANDREW	PUTNAM EQUITY SPECTRUM C	0.00	0.12	0.00	0.12	40.0	0.05
02/22/2016	SIEBERG, KYLE	PUTNAM EQUITY SPECTRUM C	0.00	0.28	0.00	0.28	40.0	0.11
02/22/2016	TANHOFF, ROBERT	PUTNAM EQUITY SPECTRUM C	0.00	7.15	0.00	7.15	40.0	2.86
03/22/2016	FLO, PAUL	PUTNAM EQUITY SPECTRUM C	0.00	1.67	0.00	1.67	40.0	0.67
03/22/2016	FLO, PAUL	PUTNAM EQUITY SPECTRUM C	0.00	1.86	0.00	1.86	40.0	0.74
03/22/2016	HAGER, PETER	PUTNAM EQUITY SPECTRUM C	0.00	1.57	0.00	1.57	40.0	0.63
03/22/2016	LORENTZ, ANDREW	PUTNAM EQUITY SPECTRUM C	0.00	0.14	0.00	0.14	40.0	0.06
03/22/2016	SIEBERG, KYLE	PUTNAM EQUITY SPECTRUM C	0.00	0.47	0.00	0.47	40.0	0.19
03/22/2016	TANHOFF, ROBERT	PUTNAM EQUITY SPECTRUM C	0.00	6.37	0.00	6.37	40.0	2.55
04/21/2016	FLO, PAUL	PUTNAM EQUITY SPECTRUM C	0.00	1.89	0.00	1.89	40.0	0.76
04/21/2016	FLO, PAUL	PUTNAM EQUITY SPECTRUM C	0.00	2.19	0.00	2.19	40.0	0.88
04/21/2016	HAGER, PETER	PUTNAM EQUITY SPECTRUM C	0.00	1.78	0.00	1.78	40.0	0.71
04/21/2016	LORENTZ, ANDREW	PUTNAM EQUITY SPECTRUM C	0.00	0.15	0.00	0.15	40.0	0.06
04/21/2016	SIEBERG, KYLE	PUTNAM EQUITY SPECTRUM C	0.00	0.53	0.00	0.53	40.0	0.21
04/21/2016	TANHOFF, ROBERT	PUTNAM EQUITY SPECTRUM C	0.00	7.21	0.00	7.21	40.0	2.88
05/26/2016	FLO, PAUL	PUTNAM EQUITY SPECTRUM C	0.00	1.85	0.00	1.85	40.0	0.74
05/26/2016	FLO, PAUL	PUTNAM EQUITY SPECTRUM C	0.00	2.38	0.00	2.38	40.0	0.95
05/26/2016	HAGER, PETER	PUTNAM EQUITY SPECTRUM C	0.00	1.74	0.00	1.74	40.0	0.70
05/26/2016	LORENTZ, ANDREW	PUTNAM EQUITY SPECTRUM C	0.00	0.15	0.00	0.15	40.0	0.06
05/26/2016	SIEBERG, KYLE	PUTNAM EQUITY SPECTRUM C	0.00	0.52	0.00	0.52	40.0	0.21
05/26/2016	TANHOFF, ROBERT	PUTNAM EQUITY SPECTRUM C	0.00	7.07	0.00	7.07	40.0	2.83
06/23/2016	FLO, PAUL	PUTNAM EQUITY SPECTRUM C	0.00	1.88	0.00	1.88	40.0	0.75
06/23/2016	FLO, PAUL	PUTNAM EQUITY SPECTRUM C	0.00	2.41	0.00	2.41	40.0	0.96
06/23/2016	HAGER, PETER	PUTNAM EQUITY SPECTRUM C	0.00	1.77	0.00	1.77	40.0	0.71
06/23/2016	LORENTZ, ANDREW	PUTNAM EQUITY SPECTRUM C	0.00	0.15	0.00	0.15	40.0	0.06
06/23/2016	SIEBERG, KYLE	PUTNAM EQUITY SPECTRUM C	0.00	0.52	0.00	0.52	40.0	0.21
06/23/2016	TANHOFF, ROBERT	PUTNAM EQUITY SPECTRUM C	0.00	3.47	0.00	3.47	40.0	1.39
07/26/2016	FLO, PAUL	PUTNAM EQUITY SPECTRUM C	0.00	1.85	0.00	1.85	40.0	0.74

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<b><u>DIRECT TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u></b>								
07/26/2016	FLO, PAUL	PUTNAM EQUITY SPECTRUM C	0.00	2.54	0.00	2.54	40.0	1.02
07/26/2016	HAGER, PETER	PUTNAM EQUITY SPECTRUM C	0.00	1.74	0.00	1.74	40.0	0.70
07/26/2016	LORENTZ, ANDREW	PUTNAM EQUITY SPECTRUM C	0.00	1.83	0.00	1.83	40.0	0.73
07/26/2016	SIEBERG, KYLE	PUTNAM EQUITY SPECTRUM C	0.00	0.52	0.00	0.52	40.0	0.21
08/19/2016	FLO, PAUL	PUTNAM EQUITY SPECTRUM C	0.00	1.91	0.00	1.91	40.0	0.76
08/19/2016	FLO, PAUL	PUTNAM EQUITY SPECTRUM C	0.00	2.62	0.00	2.62	40.0	1.05
08/19/2016	HAGER, PETER	PUTNAM EQUITY SPECTRUM C	0.00	1.79	0.00	1.79	40.0	0.72
08/19/2016	LORENTZ, ANDREW	PUTNAM EQUITY SPECTRUM C	0.00	1.89	0.00	1.89	40.0	0.76
08/19/2016	SIEBERG, KYLE	PUTNAM EQUITY SPECTRUM C	0.00	0.53	0.00	0.53	40.0	0.21
09/20/2016	FLO, PAUL	PUTNAM EQUITY SPECTRUM C	0.00	1.93	0.00	1.93	40.0	0.77
09/20/2016	FLO, PAUL	PUTNAM EQUITY SPECTRUM C	0.00	2.66	0.00	2.66	40.0	1.06
09/20/2016	HAGER, PETER	PUTNAM EQUITY SPECTRUM C	0.00	1.82	0.00	1.82	40.0	0.73
09/20/2016	LORENTZ, ANDREW	PUTNAM EQUITY SPECTRUM C	0.00	1.92	0.00	1.92	40.0	0.77
09/20/2016	SIEBERG, KYLE	PUTNAM EQUITY SPECTRUM C	0.00	0.54	0.00	0.54	40.0	0.22
10/25/2016	FLO, PAUL	PUTNAM EQUITY SPECTRUM C	0.00	1.89	0.00	1.89	40.0	0.76
10/25/2016	FLO, PAUL	PUTNAM EQUITY SPECTRUM C	0.00	2.59	0.00	2.59	40.0	1.04
10/25/2016	HAGER, PETER	PUTNAM EQUITY SPECTRUM C	0.00	1.77	0.00	1.77	40.0	0.71
10/25/2016	LORENTZ, ANDREW	PUTNAM EQUITY SPECTRUM C	0.00	1.87	0.00	1.87	40.0	0.75
10/25/2016	SIEBERG, KYLE	PUTNAM EQUITY SPECTRUM C	0.00	2.08	0.00	2.08	40.0	0.83
11/23/2016	FLO, PAUL	PUTNAM EQUITY SPECTRUM C	0.00	2.02	0.00	2.02	40.0	0.81
11/23/2016	FLO, PAUL	PUTNAM EQUITY SPECTRUM C	0.00	2.77	0.00	2.77	40.0	1.11
11/23/2016	HAGER, PETER	PUTNAM EQUITY SPECTRUM C	0.00	1.90	0.00	1.90	40.0	0.76
11/23/2016	LORENTZ, ANDREW	PUTNAM EQUITY SPECTRUM C	0.00	2.00	0.00	2.00	40.0	0.80
11/23/2016	SIEBERG, KYLE	PUTNAM EQUITY SPECTRUM C	0.00	6.70	0.00	6.70	40.0	2.68
12/23/2016	FLO, PAUL	PUTNAM EQUITY SPECTRUM C	0.00	1.95	0.00	1.95	40.0	0.78
12/23/2016	FLO, PAUL	PUTNAM EQUITY SPECTRUM C	0.00	2.68	0.00	2.68	40.0	1.07
12/23/2016	HAGER, PETER	PUTNAM EQUITY SPECTRUM C	0.00	1.83	0.00	1.83	40.0	0.73
12/23/2016	LORENTZ, ANDREW	PUTNAM EQUITY SPECTRUM C	0.00	1.93	0.00	1.93	40.0	0.77
12/23/2016	SIEBERG, KYLE	PUTNAM EQUITY SPECTRUM C	0.00	6.56	0.00	6.56	40.0	2.62
03/22/2016	ATKINSON, VONDA	PUTNAM INTERNATIONAL GROWTH-A	0.00	1.23	0.00	1.23	40.0	0.49
04/21/2016	ATKINSON, VONDA	PUTNAM INTERNATIONAL GROWTH-A	0.00	7.95	0.00	7.95	40.0	3.18
05/26/2016	ATKINSON, VONDA	PUTNAM INTERNATIONAL GROWTH-A	0.00	7.87	0.00	7.87	40.0	3.15
06/23/2016	ATKINSON, VONDA	PUTNAM INTERNATIONAL GROWTH-A	0.00	8.07	0.00	8.07	40.0	3.23

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<b><u>DIRECT TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u></b>								
07/26/2016	ATKINSON, VONDA	PUTNAM INTERNATIONAL GROWTH-A	0.00	7.80	0.00	7.80	40.0	3.12
08/19/2016	ATKINSON, VONDA	PUTNAM INTERNATIONAL GROWTH-A	0.00	8.17	0.00	8.17	40.0	3.27
09/20/2016	ATKINSON, VONDA	PUTNAM INTERNATIONAL GROWTH-A	0.00	8.40	0.00	8.40	40.0	3.36
10/25/2016	ATKINSON, VONDA	PUTNAM INTERNATIONAL GROWTH-A	0.00	8.18	0.00	8.18	40.0	3.27
11/23/2016	ATKINSON, VONDA	PUTNAM INTERNATIONAL GROWTH-A	0.00	8.34	0.00	8.34	40.0	3.34
12/23/2016	ATKINSON, VONDA	PUTNAM INTERNATIONAL GROWTH-A	0.00	7.67	0.00	7.67	40.0	3.07
05/26/2016	SCHULLER, ALEC	PUTNAM MULTI CAP GROWTH A	0.00	0.21	0.00	0.21	40.0	0.08
06/23/2016	SCHULLER, ALEC	PUTNAM MULTI CAP GROWTH A	0.00	0.65	0.00	0.65	40.0	0.26
07/26/2016	SCHULLER, ALEC	PUTNAM MULTI CAP GROWTH A	0.00	0.64	0.00	0.64	40.0	0.26
08/19/2016	SCHULLER, ALEC	PUTNAM MULTI CAP GROWTH A	0.00	0.68	0.00	0.68	40.0	0.27
09/20/2016	SCHULLER, ALEC	PUTNAM MULTI CAP GROWTH A	0.00	0.70	0.00	0.70	40.0	0.28
10/25/2016	SCHULLER, ALEC	PUTNAM MULTI CAP GROWTH A	0.00	0.68	0.00	0.68	40.0	0.27
11/23/2016	SCHULLER, ALEC	PUTNAM MULTI CAP GROWTH A	0.00	0.70	0.00	0.70	40.0	0.28
12/23/2016	SCHULLER, ALEC	PUTNAM MULTI CAP GROWTH A	0.00	0.68	0.00	0.68	40.0	0.27
03/15/2016	ATKINSON, VONDA	SUNAMERICA FOCUSED ALPHA LARGE CAP A	0.00	2.70	0.00	2.70	40.0	1.08
04/15/2016	ATKINSON, VONDA	SUNAMERICA FOCUSED ALPHA LARGE CAP A	0.00	17.24	0.00	17.24	40.0	6.90
05/19/2016	ATKINSON, VONDA	SUNAMERICA FOCUSED ALPHA LARGE CAP A	0.00	17.04	0.00	17.04	40.0	6.82
06/15/2016	ATKINSON, VONDA	SUNAMERICA FOCUSED ALPHA LARGE CAP A	0.00	17.46	0.00	17.46	40.0	6.98
07/14/2016	ATKINSON, VONDA	SUNAMERICA FOCUSED ALPHA LARGE CAP A	0.00	16.94	0.00	16.94	40.0	6.78
08/10/2016	ATKINSON, VONDA	SUNAMERICA FOCUSED ALPHA LARGE CAP A	0.00	17.86	0.00	17.86	40.0	7.14
09/16/2016	ATKINSON, VONDA	SUNAMERICA FOCUSED ALPHA LARGE CAP A	0.00	18.28	0.00	18.28	40.0	7.31
10/12/2016	ATKINSON, VONDA	SUNAMERICA FOCUSED ALPHA LARGE CAP A	0.00	17.63	0.00	17.63	40.0	7.05
11/11/2016	ATKINSON, VONDA	SUNAMERICA FOCUSED ALPHA LARGE CAP A	0.00	18.16	0.00	18.16	40.0	7.26
12/19/2016	ATKINSON, VONDA	SUNAMERICA FOCUSED ALPHA LARGE CAP A	0.00	17.80	0.00	17.80	40.0	7.12
04/15/2016	GEHRKE, DEBORAH	TEMPLETON GLOBAL BOND C	0.00	0.67	0.00	0.67	40.0	0.27
05/13/2016	GEHRKE, DEBORAH	TEMPLETON GLOBAL BOND C	0.00	1.11	0.00	1.11	40.0	0.44
02/18/2016	LORENTZ, NICHOLAS	TRANSAMERICA AA GROWTH A	0.00	0.93	0.00	0.93	40.0	0.37
03/14/2016	LORENTZ, NICHOLAS	TRANSAMERICA AA GROWTH A	0.00	0.85	0.00	0.85	40.0	0.34
04/15/2016	LORENTZ, NICHOLAS	TRANSAMERICA AA GROWTH A	0.00	0.97	0.00	0.97	40.0	0.39
05/16/2016	LORENTZ, NICHOLAS	TRANSAMERICA AA GROWTH A	0.00	0.97	0.00	0.97	40.0	0.39
06/16/2016	LORENTZ, NICHOLAS	TRANSAMERICA AA GROWTH A	0.00	0.99	0.00	0.99	40.0	0.40
06/16/2016	GILBERTO, SARAH	TRANSAMERICA AA GROWTH A	0.00	2.27	0.00	2.27	40.0	0.91
07/18/2016	LORENTZ, NICHOLAS	TRANSAMERICA AA GROWTH A	0.00	0.97	0.00	0.97	40.0	0.39

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<b><u>DIRECT TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u></b>								
07/18/2016	GILBERTO, SARAH	TRANSAMERICA AA GROWTH A	0.00	3.11	0.00	3.11	40.0	1.24
07/18/2016	KOTTSCHADE, LAURA	TRANSAMERICA AA GROWTH A	0.00	0.72	0.00	0.72	40.0	0.29
08/17/2016	LORENTZ, NICHOLAS	TRANSAMERICA AA GROWTH A	0.00	1.03	0.00	1.03	40.0	0.41
08/17/2016	GILBERTO, SARAH	TRANSAMERICA AA GROWTH A	0.00	3.29	0.00	3.29	40.0	1.32
08/17/2016	KOTTSCHADE, LAURA	TRANSAMERICA AA GROWTH A	0.00	1.10	0.00	1.10	40.0	0.44
09/15/2016	LORENTZ, NICHOLAS	TRANSAMERICA AA GROWTH A	0.00	1.05	0.00	1.05	40.0	0.42
09/15/2016	GILBERTO, SARAH	TRANSAMERICA AA GROWTH A	0.00	3.38	0.00	3.38	40.0	1.35
09/15/2016	KOTTSCHADE, LAURA	TRANSAMERICA AA GROWTH A	0.00	1.13	0.00	1.13	40.0	0.45
10/20/2016	LORENTZ, NICHOLAS	TRANSAMERICA AA GROWTH A	0.00	1.02	0.00	1.02	40.0	0.41
10/20/2016	GILBERTO, SARAH	TRANSAMERICA AA GROWTH A	0.00	3.27	0.00	3.27	40.0	1.31
10/20/2016	KOTTSCHADE, LAURA	TRANSAMERICA AA GROWTH A	0.00	1.09	0.00	1.09	40.0	0.44
11/16/2016	LORENTZ, NICHOLAS	TRANSAMERICA AA GROWTH A	0.00	1.05	0.00	1.05	40.0	0.42
11/16/2016	GILBERTO, SARAH	TRANSAMERICA AA GROWTH A	0.00	3.36	0.00	3.36	40.0	1.34
11/16/2016	KOTTSCHADE, LAURA	TRANSAMERICA AA GROWTH A	0.00	1.12	0.00	1.12	40.0	0.45
12/16/2016	LORENTZ, NICHOLAS	TRANSAMERICA AA GROWTH A	0.00	1.01	0.00	1.01	40.0	0.40
12/16/2016	GILBERTO, SARAH	TRANSAMERICA AA GROWTH A	0.00	3.23	0.00	3.23	40.0	1.29
12/16/2016	KOTTSCHADE, LAURA	TRANSAMERICA AA GROWTH A	0.00	1.08	0.00	1.08	40.0	0.43
02/18/2016	LILLEVOLD, GRANT	TRANSAMERICA AA GROWTH C	0.00	4.57	0.00	4.57	40.0	1.83
03/14/2016	LILLEVOLD, GRANT	TRANSAMERICA AA GROWTH C	0.00	4.18	0.00	4.18	40.0	1.67
04/15/2016	LILLEVOLD, GRANT	TRANSAMERICA AA GROWTH C	0.00	4.75	0.00	4.75	40.0	1.90
05/16/2016	LILLEVOLD, GRANT	TRANSAMERICA AA GROWTH C	0.00	4.72	0.00	4.72	40.0	1.89
06/16/2016	LILLEVOLD, GRANT	TRANSAMERICA AA GROWTH C	0.00	4.85	0.00	4.85	40.0	1.94
07/18/2016	LORENTZ, ANDREW	TRANSAMERICA AA GROWTH C	0.00	0.72	0.00	0.72	40.0	0.29
07/18/2016	LILLEVOLD, GRANT	TRANSAMERICA AA GROWTH C	0.00	0.32	0.00	0.32	40.0	0.13
08/17/2016	LORENTZ, ANDREW	TRANSAMERICA AA GROWTH C	0.00	0.76	0.00	0.76	40.0	0.30
09/15/2016	LORENTZ, ANDREW	TRANSAMERICA AA GROWTH C	0.00	0.78	0.00	0.78	40.0	0.31
10/20/2016	LORENTZ, ANDREW	TRANSAMERICA AA GROWTH C	0.00	0.97	0.00	0.97	40.0	0.39
11/16/2016	LORENTZ, ANDREW	TRANSAMERICA AA GROWTH C	0.00	1.19	0.00	1.19	40.0	0.48
12/16/2016	LORENTZ, ANDREW	TRANSAMERICA AA GROWTH C	0.00	1.15	0.00	1.15	40.0	0.46
02/18/2016	STURM, KRISTINA	TRANSAMERICA AA MOD GROWTH C	0.00	45.52	0.00	45.52	40.0	18.21
02/18/2016	BRAAM, JOHN	TRANSAMERICA AA MOD GROWTH C	0.00	43.85	0.00	43.85	40.0	17.54
03/14/2016	STURM, KRISTINA	TRANSAMERICA AA MOD GROWTH C	0.00	41.84	0.00	41.84	40.0	16.74
03/14/2016	BRAAM, JOHN	TRANSAMERICA AA MOD GROWTH C	0.00	37.37	0.00	37.37	40.0	14.95

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b><u>DIRECT TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u></b>								
04/15/2016	STURM, KRISTINA	TRANSAMERICA AA MOD GROWTH C	0.00	47.11	0.00	47.11	40.0	18.84
04/15/2016	BRAAM, JOHN	TRANSAMERICA AA MOD GROWTH C	0.00	40.76	0.00	40.76	40.0	16.30
05/16/2016	STURM, KRISTINA	TRANSAMERICA AA MOD GROWTH C	0.00	46.67	0.00	46.67	40.0	18.67
05/16/2016	BRAAM, JOHN	TRANSAMERICA AA MOD GROWTH C	0.00	40.37	0.00	40.37	40.0	16.15
06/16/2016	STURM, KRISTINA	TRANSAMERICA AA MOD GROWTH C	0.00	48.15	0.00	48.15	40.0	19.26
06/16/2016	BRAAM, JOHN	TRANSAMERICA AA MOD GROWTH C	0.00	41.59	0.00	41.59	40.0	16.64
07/18/2016	STURM, KRISTINA	TRANSAMERICA AA MOD GROWTH C	0.00	51.17	0.00	51.17	40.0	20.47
07/18/2016	BRAAM, JOHN	TRANSAMERICA AA MOD GROWTH C	0.00	40.54	0.00	40.54	40.0	16.22
08/17/2016	STURM, KRISTINA	TRANSAMERICA AA MOD GROWTH C	0.00	54.02	0.00	54.02	40.0	21.61
08/17/2016	BRAAM, JOHN	TRANSAMERICA AA MOD GROWTH C	0.00	41.10	0.00	41.10	40.0	16.44
09/15/2016	STURM, KRISTINA	TRANSAMERICA AA MOD GROWTH C	0.00	55.08	0.00	55.08	40.0	22.03
09/15/2016	BRAAM, JOHN	TRANSAMERICA AA MOD GROWTH C	0.00	39.30	0.00	39.30	40.0	15.72
10/20/2016	BRAAM, JOHN	TRANSAMERICA AA MOD GROWTH C	0.00	38.02	0.00	38.02	40.0	15.21
11/16/2016	BRAAM, JOHN	TRANSAMERICA AA MOD GROWTH C	0.00	39.12	0.00	39.12	40.0	15.65
12/16/2016	BRAAM, JOHN	TRANSAMERICA AA MOD GROWTH C	0.00	37.52	0.00	37.52	40.0	15.01
02/18/2016	WESTERMAYER, CHARLES	TRANSAMERICA AA MODERATE C	0.00	5.21	0.00	5.21	40.0	2.08
03/14/2016	WESTERMAYER, CHARLES	TRANSAMERICA AA MODERATE C	0.00	4.81	0.00	4.81	40.0	1.92
04/15/2016	WESTERMAYER, CHARLES	TRANSAMERICA AA MODERATE C	0.00	5.34	0.00	5.34	40.0	2.14
05/16/2016	WESTERMAYER, CHARLES	TRANSAMERICA AA MODERATE C	0.00	5.28	0.00	5.28	40.0	2.11
06/16/2016	WESTERMAYER, CHARLES	TRANSAMERICA AA MODERATE C	0.00	5.45	0.00	5.45	40.0	2.18
07/18/2016	WESTERMAYER, CHARLES	TRANSAMERICA AA MODERATE C	0.00	5.31	0.00	5.31	40.0	2.12
08/17/2016	WESTERMAYER, CHARLES	TRANSAMERICA AA MODERATE C	0.00	5.59	0.00	5.59	40.0	2.24
09/15/2016	WESTERMAYER, CHARLES	TRANSAMERICA AA MODERATE C	0.00	5.67	0.00	5.67	40.0	2.27
10/20/2016	WESTERMAYER, CHARLES	TRANSAMERICA AA MODERATE C	0.00	5.48	0.00	5.48	40.0	2.19
11/16/2016	WESTERMAYER, CHARLES	TRANSAMERICA AA MODERATE C	0.00	5.65	0.00	5.65	40.0	2.26
12/16/2016	WESTERMAYER, CHARLES	TRANSAMERICA AA MODERATE C	0.00	5.41	0.00	5.41	40.0	2.16
02/18/2016	STEFFL, CHRISTINE	TRANSAMERICA CAPITAL GROWTH A	0.00	0.46	0.00	0.46	40.0	0.18
02/18/2016	STEFFL, JOSEPH	TRANSAMERICA CAPITAL GROWTH A	0.00	0.43	0.00	0.43	40.0	0.17
03/14/2016	STEFFL, CHRISTINE	TRANSAMERICA CAPITAL GROWTH A	0.00	0.39	0.00	0.39	40.0	0.16
03/14/2016	STEFFL, JOSEPH	TRANSAMERICA CAPITAL GROWTH A	0.00	0.37	0.00	0.37	40.0	0.15
04/15/2016	STEFFL, CHRISTINE	TRANSAMERICA CAPITAL GROWTH A	0.00	0.45	0.00	0.45	40.0	0.18
04/15/2016	STEFFL, JOSEPH	TRANSAMERICA CAPITAL GROWTH A	0.00	0.43	0.00	0.43	40.0	0.17
05/16/2016	STEFFL, CHRISTINE	TRANSAMERICA CAPITAL GROWTH A	0.00	0.46	0.00	0.46	40.0	0.18

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b><u>DIRECT TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u></b>								
05/16/2016	STEFFL, JOSEPH	TRANSAMERICA CAPITAL GROWTH A	0.00	0.43	0.00	0.43	40.0	0.17
06/16/2016	STEFFL, CHRISTINE	TRANSAMERICA CAPITAL GROWTH A	0.00	0.46	0.00	0.46	40.0	0.18
06/16/2016	STEFFL, JOSEPH	TRANSAMERICA CAPITAL GROWTH A	0.00	0.44	0.00	0.44	40.0	0.18
07/18/2016	STEFFL, CHRISTINE	TRANSAMERICA CAPITAL GROWTH A	0.00	0.46	0.00	0.46	40.0	0.18
07/18/2016	STEFFL, JOSEPH	TRANSAMERICA CAPITAL GROWTH A	0.00	0.43	0.00	0.43	40.0	0.17
08/17/2016	STEFFL, CHRISTINE	TRANSAMERICA CAPITAL GROWTH A	0.00	0.49	0.00	0.49	40.0	0.20
08/17/2016	STEFFL, JOSEPH	TRANSAMERICA CAPITAL GROWTH A	0.00	0.46	0.00	0.46	40.0	0.18
09/15/2016	STEFFL, CHRISTINE	TRANSAMERICA CAPITAL GROWTH A	0.00	0.51	0.00	0.51	40.0	0.20
09/15/2016	STEFFL, JOSEPH	TRANSAMERICA CAPITAL GROWTH A	0.00	0.48	0.00	0.48	40.0	0.19
10/20/2016	STEFFL, CHRISTINE	TRANSAMERICA CAPITAL GROWTH A	0.00	0.49	0.00	0.49	40.0	0.20
10/20/2016	STEFFL, JOSEPH	TRANSAMERICA CAPITAL GROWTH A	0.00	0.47	0.00	0.47	40.0	0.19
11/16/2016	STEFFL, CHRISTINE	TRANSAMERICA CAPITAL GROWTH A	0.00	0.51	0.00	0.51	40.0	0.20
11/16/2016	STEFFL, JOSEPH	TRANSAMERICA CAPITAL GROWTH A	0.00	0.48	0.00	0.48	40.0	0.19
12/16/2016	STEFFL, CHRISTINE	TRANSAMERICA CAPITAL GROWTH A	0.00	0.48	0.00	0.48	40.0	0.19
12/16/2016	STEFFL, JOSEPH	TRANSAMERICA CAPITAL GROWTH A	0.00	0.45	0.00	0.45	40.0	0.18
02/18/2016	STEFFL, CHRISTINE	TRANSAMERICA DIVERSIFIED EQUITY A	0.00	0.33	0.00	0.33	40.0	0.13
02/18/2016	STEFFL, JOSEPH	TRANSAMERICA DIVERSIFIED EQUITY A	0.00	0.29	0.00	0.29	40.0	0.12
03/14/2016	STEFFL, CHRISTINE	TRANSAMERICA DIVERSIFIED EQUITY A	0.00	0.30	0.00	0.30	40.0	0.12
03/14/2016	STEFFL, JOSEPH	TRANSAMERICA DIVERSIFIED EQUITY A	0.00	0.27	0.00	0.27	40.0	0.11
04/15/2016	STEFFL, CHRISTINE	TRANSAMERICA DIVERSIFIED EQUITY A	0.00	0.34	0.00	0.34	40.0	0.14
04/15/2016	STEFFL, JOSEPH	TRANSAMERICA DIVERSIFIED EQUITY A	0.00	0.30	0.00	0.30	40.0	0.12
05/16/2016	STEFFL, CHRISTINE	TRANSAMERICA DIVERSIFIED EQUITY A	0.00	0.34	0.00	0.34	40.0	0.14
05/16/2016	STEFFL, JOSEPH	TRANSAMERICA DIVERSIFIED EQUITY A	0.00	0.30	0.00	0.30	40.0	0.12
05/16/2016	SCHULLER, CORY	TRANSAMERICA DIVERSIFIED EQUITY A	0.00	0.38	0.00	0.38	40.0	0.15
06/16/2016	STEFFL, CHRISTINE	TRANSAMERICA DIVERSIFIED EQUITY A	0.00	0.35	0.00	0.35	40.0	0.14
06/16/2016	STEFFL, JOSEPH	TRANSAMERICA DIVERSIFIED EQUITY A	0.00	0.31	0.00	0.31	40.0	0.12
06/16/2016	SCHULLER, CORY	TRANSAMERICA DIVERSIFIED EQUITY A	0.00	1.17	0.00	1.17	40.0	0.47
07/18/2016	STEFFL, CHRISTINE	TRANSAMERICA DIVERSIFIED EQUITY A	0.00	0.34	0.00	0.34	40.0	0.14
07/18/2016	STEFFL, JOSEPH	TRANSAMERICA DIVERSIFIED EQUITY A	0.00	0.30	0.00	0.30	40.0	0.12
07/18/2016	SCHULLER, CORY	TRANSAMERICA DIVERSIFIED EQUITY A	0.00	1.14	0.00	1.14	40.0	0.46
08/17/2016	STEFFL, CHRISTINE	TRANSAMERICA DIVERSIFIED EQUITY A	0.00	0.37	0.00	0.37	40.0	0.15
08/17/2016	STEFFL, JOSEPH	TRANSAMERICA DIVERSIFIED EQUITY A	0.00	0.32	0.00	0.32	40.0	0.13
08/17/2016	SCHULLER, CORY	TRANSAMERICA DIVERSIFIED EQUITY A	0.00	1.21	0.00	1.21	40.0	0.48

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<b><u>DIRECT TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u></b>								
09/15/2016	STEFFL, CHRISTINE	TRANSAMERICA DIVERSIFIED EQUITY A	0.00	0.37	0.00	0.37	40.0	0.15
09/15/2016	STEFFL, JOSEPH	TRANSAMERICA DIVERSIFIED EQUITY A	0.00	0.33	0.00	0.33	40.0	0.13
09/15/2016	SCHULLER, CORY	TRANSAMERICA DIVERSIFIED EQUITY A	0.00	1.23	0.00	1.23	40.0	0.49
10/20/2016	STEFFL, CHRISTINE	TRANSAMERICA DIVERSIFIED EQUITY A	0.00	0.35	0.00	0.35	40.0	0.14
10/20/2016	STEFFL, JOSEPH	TRANSAMERICA DIVERSIFIED EQUITY A	0.00	0.31	0.00	0.31	40.0	0.12
10/20/2016	SCHULLER, CORY	TRANSAMERICA DIVERSIFIED EQUITY A	0.00	1.17	0.00	1.17	40.0	0.47
11/16/2016	STEFFL, CHRISTINE	TRANSAMERICA DIVERSIFIED EQUITY A	0.00	0.36	0.00	0.36	40.0	0.14
11/16/2016	STEFFL, JOSEPH	TRANSAMERICA DIVERSIFIED EQUITY A	0.00	0.32	0.00	0.32	40.0	0.13
11/16/2016	SCHULLER, CORY	TRANSAMERICA DIVERSIFIED EQUITY A	0.00	1.20	0.00	1.20	40.0	0.48
12/16/2016	STEFFL, CHRISTINE	TRANSAMERICA DIVERSIFIED EQUITY A	0.00	0.35	0.00	0.35	40.0	0.14
12/16/2016	STEFFL, JOSEPH	TRANSAMERICA DIVERSIFIED EQUITY A	0.00	0.31	0.00	0.31	40.0	0.12
12/16/2016	SCHULLER, CORY	TRANSAMERICA DIVERSIFIED EQUITY A	0.00	1.15	0.00	1.15	40.0	0.46
<b>* MUTUAL FUND 12B1 TRAILS SUBTOTAL *</b>			<b>\$0.00</b>	<b>\$2,470.82</b>	<b>\$0.00</b>	<b>\$2,470.82</b>		<b>\$988.38</b>
<b>*** DIRECT TRANSACTIONS TOTAL ***</b>			<b>\$1,387,331.48</b>	<b>\$7,872.47</b>	<b>\$0.00</b>	<b>\$7,872.47</b>		<b>\$3,149.03</b>

**SPLIT TRANSACTIONS****BROKER: 46G-JOE/JACK MICHALETZ #290**

11/17/2016	JANSEN, LOREN	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	16.76	0.00	16.76	40.0	6.70
12/12/2016	JANSEN, LOREN	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	16.32	0.00	16.32	40.0	6.53
02/22/2016	HART, JACOB	PUTNAM GROWTH & INCOME A	0.00	0.47	0.00	0.47	40.0	0.19
03/22/2016	HART, JACOB	PUTNAM GROWTH & INCOME A	0.00	0.43	0.00	0.43	40.0	0.17
04/21/2016	HART, JACOB	PUTNAM GROWTH & INCOME A	0.00	0.49	0.00	0.49	40.0	0.20
05/26/2016	HART, JACOB	PUTNAM GROWTH & INCOME A	0.00	0.18	0.00	0.18	40.0	0.07
02/22/2016	HART, JACOB	PUTNAM VOYAGER A	0.00	0.42	0.00	0.42	40.0	0.17
03/22/2016	HART, JACOB	PUTNAM VOYAGER A	0.00	0.38	0.00	0.38	40.0	0.15
04/21/2016	HART, JACOB	PUTNAM VOYAGER A	0.00	0.43	0.00	0.43	40.0	0.17
05/26/2016	HART, JACOB	PUTNAM VOYAGER A	0.00	0.16	0.00	0.16	40.0	0.06
<b>* 46G-JOE/JACK MICHALETZ SUBTOTAL *</b>			<b>\$0.00</b>	<b>\$36.04</b>	<b>\$0.00</b>	<b>\$36.04</b>		<b>\$14.41</b>
<b>*** SPLIT TRANSACTIONS TOTAL ***</b>			<b>\$0.00</b>	<b>\$36.04</b>	<b>\$0.00</b>	<b>\$36.04</b>		<b>\$14.41</b>

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**BROKER COMMISSION TOTALS**

Broker Transactions	\$3,132.03
Split Transactions	\$14.41
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	\$3,146.44
Year-to-date Gross	\$41,569.13
Year-to-date Earnings	\$16,613.90