



Concorde Investment Services, LLC

11/13/2017

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**COMMISSION STATEMENT****November 15, 2017**DAVID ZUPEK  
1126 Bichara BlvdBROKER #: Z116  
BRANCH: TADA WEALTH ADVISORS

The Villages, FL 32159

| DATE   | CLIENT            | INVESTMENT                            | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|-------------------|---------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u>DIRECT TRANSACTIONS</u></b>                  |                   |                                       |                      |                     |                    |                   |      |                      |
| <b><u>PRODUCT CATEGORY: PRIVATE PLACEMENT</u></b>  |                   |                                       |                      |                     |                    |                   |      |                      |
| 11/10/2017   | STEPHENS, BARNEY  | TEI DIVERSIFIED INC & OPP FD 3        | 100,000.00           | 7,000.00            | 0.00               | 7,000.00          | 90.0 | 6,300.00             |
|  |                   | <b>* PRIVATE PLACEMENT SUBTOTAL *</b> | <b>\$100,000.00</b>  | <b>\$7,000.00</b>   | <b>\$0.00</b>      | <b>\$7,000.00</b> |      | <b>\$6,300.00</b>    |
| <b><u>PRODUCT CATEGORY: MUTUAL FUNDS</u></b>       |                   |                                       |                      |                     |                    |                   |      |                      |
| 10/30/2017   | THOMPSON, TERRY   | AM FUNDS 2015 TARGET DATE A           | 125.00               | 2.50                | 0.00               | 2.50              | 90.0 | 2.25                 |
| 10/30/2017   | VASSH, LYNN       | AM FUNDS FUNDAMENTAL INVESTORS C      | 17.00                | 0.17                | 0.00               | 0.17              | 90.0 | 0.15                 |
| 10/30/2017   | VASSH, LYNN       | AM FUNDS GROWTH FUND OF AMERICA C     | 16.50                | 0.17                | 0.00               | 0.17              | 90.0 | 0.15                 |
| 10/30/2017   | VASSH, LYNN       | AM FUNDS WASHINGTON MUTUAL INVESTOR   | 16.50                | 0.17                | 0.00               | 0.17              | 90.0 | 0.15                 |
|  |                   | <b>* MUTUAL FUNDS SUBTOTAL *</b>      | <b>\$175.00</b>      | <b>\$3.01</b>       | <b>\$0.00</b>      | <b>\$3.01</b>     |      | <b>\$2.70</b>        |
| <b><u>PRODUCT CATEGORY: VARIABLE ANNUITIES</u></b> |                   |                                       |                      |                     |                    |                   |      |                      |
| 11/02/2017   | MAASS EXCAVAT     | GWL NET ASSET VALUE 401K              | 1,486,255.85         | 631.15              | 0.00               | 631.15            | 90.0 | 568.04               |
| 10/31/2017   | SHELDON, MARK     | JNL PERSPECTIVE ADV II 5/05           | 15,274.42            | 15.91               | 0.00               | 15.91             | 90.0 | 14.32                |
| 10/31/2017   | DEHAHN, RAYMOND   | JNL PERSPECTIVE ADV II 5/05           | 49,367.96            | 41.14               | 0.00               | 41.14             | 90.0 | 37.03                |
| 10/31/2017   | JOHNSON, ROBERT   | JNL PERSPECTIVE FOCUS                 | 60,629.18            | 50.52               | 0.00               | 50.52             | 90.0 | 45.47                |
| 10/31/2017   | HARTGERINK, BRETT | JNL PERSPECTIVE II 04/14              | 115,195.11           | 24.00               | 0.00               | 24.00             | 90.0 | 21.60                |
| 10/31/2017   | ROST, DAVID       | JNL PERSPECTIVE II 04/14              | 786,710.71           | 655.59              | 0.00               | 655.59            | 90.0 | 590.03               |
| 10/31/2017   | INGHAM, LYNNE     | JNL PERSPECTIVE II 05/05              | 15,423.16            | 6.43                | 0.00               | 6.43              | 90.0 | 5.79                 |
| 10/31/2017   | BELLAIRE, THOMAS  | JNL PERSPECTIVE II 10/04              | 17,821.59            | 7.43                | 0.00               | 7.43              | 90.0 | 6.69                 |
| 10/31/2017   | DENNE, FRANCES    | JNL PERSPECTIVE II 10/04              | 11,855.51            | 4.94                | 0.00               | 4.94              | 90.0 | 4.45                 |
| 10/31/2017   | HOSS, GAIL        | JNL PERSPECTIVE L                     | 75,024.72            | 81.28               | 0.00               | 81.28             | 90.0 | 73.15                |
| 10/31/2017   | JEANQUART, ROBERT | JNL PERSPECTIVE L                     | 5,276.38             | 5.72                | 0.00               | 5.72              | 90.0 | 5.15                 |
| 10/31/2017   | PECKMAN, MARCIA   | JNL PERSPECTIVE L                     | 83,716.87            | 90.69               | 0.00               | 90.69             | 90.0 | 81.62                |
| 10/31/2017   | HOOTEN, ROBERT    | JNL PERSPECTIVE L                     | 34,112.37            | 36.96               | 0.00               | 36.96             | 90.0 | 33.26                |
| 10/31/2017   | KAEDING, HAROLD   | JNL PERSPECTIVE L                     | 65,246.56            | 54.37               | 0.00               | 54.37             | 90.0 | 48.93                |
| 10/31/2017   | BABICKY, SHERRY   | JNL PERSPECTIVE L                     | 54,696.37            | 63.81               | 0.00               | 63.81             | 90.0 | 57.43                |
| 10/31/2017   | MCFADDEN, JAMES   | JNL PERSPECTIVE L                     | 171,464.06           | 200.04              | 0.00               | 200.04            | 90.0 | 180.04               |

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|--|--------------------------|-------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u>DIRECT TRANSACTIONS</u></b>                  |                          |                   |                      |                     |                    |                   |      |                      |
| <b><u>PRODUCT CATEGORY: VARIABLE ANNUITIES</u></b> |                          |                   |                      |                     |                    |                   |      |                      |
| 10/31/2017   | TASKONIS, RICHARD        | JNL PERSPECTIVE L | 127,952.50           | 149.28              | 0.00               | 149.28            | 90.0 | 134.35               |
| 10/31/2017   | BABICKY, SHERRY          | JNL PERSPECTIVE L | 41,642.14            | 48.58               | 0.00               | 48.58             | 90.0 | 43.72                |
| 10/31/2017   | EDQUIST, BETTY           | JNL PERSPECTIVE L | 43,391.54            | 36.16               | 0.00               | 36.16             | 90.0 | 32.54                |
| 10/31/2017   | FLETCHER, JEWEL          | JNL PERSPECTIVE L | 26,562.54            | 22.14               | 0.00               | 22.14             | 90.0 | 19.93                |
| 10/31/2017   | SMITH, BETTY             | JNL PERSPECTIVE L | 37,401.31            | 43.63               | 0.00               | 43.63             | 90.0 | 39.27                |
| 10/31/2017   | NONDORF, DENNIS          | JNL PERSPECTIVE L | 8,124.09             | 6.77                | 0.00               | 6.77              | 90.0 | 6.09                 |
| 10/31/2017   | WILLIAMS, WARNER         | JNL PERSPECTIVE L | 34,015.90            | 28.35               | 0.00               | 28.35             | 90.0 | 25.52                |
| 10/31/2017   | ZUPFER, CHARLES          | JNL PERSPECTIVE L | 31,004.05            | 25.84               | 0.00               | 25.84             | 90.0 | 23.26                |
| 10/31/2017   | HUIZINGA, SHIRLEY        | JNL PERSPECTIVE L | 33,025.65            | 27.52               | 0.00               | 27.52             | 90.0 | 24.77                |
| 10/31/2017   | SPERER, MARION           | JNL PERSPECTIVE L | 24,308.41            | 20.26               | 0.00               | 20.26             | 90.0 | 18.23                |
| 10/31/2017   | VERBETEN, KAREN          | JNL PERSPECTIVE L | 9,702.42             | 11.32               | 0.00               | 11.32             | 90.0 | 10.19                |
| 10/31/2017   | BOLAND, TERRENCE         | JNL PERSPECTIVE L | 24,063.56            | 28.07               | 0.00               | 28.07             | 90.0 | 25.26                |
| 10/31/2017   | HARTGERINK, EDWARD       | JNL PERSPECTIVE L | 28,400.61            | 30.77               | 0.00               | 30.77             | 90.0 | 27.69                |
| 10/31/2017   | HARTGERINK, EDWARD       | JNL PERSPECTIVE L | 26,374.29            | 28.57               | 0.00               | 28.57             | 90.0 | 25.71                |
| 10/31/2017   | HARTGERINK, EDWARD       | JNL PERSPECTIVE L | 28,532.52            | 23.78               | 0.00               | 23.78             | 90.0 | 21.40                |
| 10/31/2017   | BODVEN, BRUCE            | JNL PERSPECTIVE L | 56,649.51            | 66.09               | 0.00               | 66.09             | 90.0 | 59.48                |
| 10/31/2017   | PAULICK, BERNARD         | JNL PERSPECTIVE L | 143,990.94           | 119.99              | 0.00               | 119.99            | 90.0 | 107.99               |
| 10/31/2017   | SORENSEN SR, ROBERT      | JNL PERSPECTIVE L | 142,143.32           | 118.45              | 0.00               | 118.45            | 90.0 | 106.61               |
| 10/31/2017   | RACK, JOAN               | JNL PERSPECTIVE L | 145,991.86           | 158.16              | 0.00               | 158.16            | 90.0 | 142.34               |
| 10/31/2017   | HUIZINGA, SHIRLEY        | JNL PERSPECTIVE L | 107,186.86           | 89.32               | 0.00               | 89.32             | 90.0 | 80.39                |
| 10/31/2017   | INGHAM, LYNNE            | JNL PERSPECTIVE L | 70,824.69            | 59.02               | 0.00               | 59.02             | 90.0 | 53.12                |
| 10/31/2017   | SORENSEN SR, ROBERT      | JNL PERSPECTIVE L | 173,357.93           | 144.46              | 0.00               | 144.46            | 90.0 | 130.01               |
| 10/31/2017   | CRAWFORD, TIMOTHY        | JNL PERSPECTIVE L | 209,678.62           | 174.73              | 0.00               | 174.73            | 90.0 | 157.26               |
| 10/31/2017   | WELLMAN, JAMES           | JNL PERSPECTIVE L | 58,252.05            | 67.96               | 0.00               | 67.96             | 90.0 | 61.16                |
| 10/31/2017   | CRAWFORD, JEANNE         | JNL PERSPECTIVE L | 102,754.56           | 119.88              | 0.00               | 119.88            | 90.0 | 107.89               |
| 10/31/2017   | THOMPSON, CAROL          | JNL PERSPECTIVE L | 79,371.42            | 66.14               | 0.00               | 66.14             | 90.0 | 59.53                |
| 10/31/2017   | SHELDON, SUSAN           | JNL PERSPECTIVE L | 49,225.94            | 41.02               | 0.00               | 41.02             | 90.0 | 36.92                |
| 10/31/2017   | SHELDON, MARK            | JNL PERSPECTIVE L | 95,712.55            | 111.66              | 0.00               | 111.66            | 90.0 | 100.49               |
| 10/31/2017   | FIEHWEG-CARTWRIGHT, LISA | JNL PERSPECTIVE L | 380,529.53           | 317.11              | 0.00               | 317.11            | 90.0 | 285.40               |
| 10/31/2017   | PERONE, PASQUALE         | JNL PERSPECTIVE L | 638,550.20           | 744.98              | 0.00               | 744.98            | 90.0 | 670.48               |
| 10/31/2017   | PECKMAN, ROGER           | JNL PERSPECTIVE L | 138,421.01           | 161.49              | 0.00               | 161.49            | 90.0 | 145.34               |
| 10/31/2017   | RUFFOLO, BENNY           | JNL PERSPECTIVE L | 105,561.45           | 123.16              | 0.00               | 123.16            | 90.0 | 110.84               |
| 10/31/2017   | ZUPEK, DAVID             | JNL PERSPECTIVE L | 228,810.24           | 266.95              | 0.00               | 266.95            | 90.0 | 240.26               |

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|---|--------------------|-------------------------------------|------------------------|---------------------|--------------------|--------------------|------|----------------------|
| <b><u>DIRECT TRANSACTIONS</u></b>                       |                    |                                     |                        |                     |                    |                    |      |                      |
| <b><u>PRODUCT CATEGORY: VARIABLE ANNUITIES</u></b>      |                    |                                     |                        |                     |                    |                    |      |                      |
| 10/31/2017  | FALBO, DIANE       | JNL PERSPECTIVE L                   | 678,635.12             | 791.74              | 0.00               | 791.74             | 90.0 | 712.57               |
| 10/31/2017  | GAFKA, PHILIP      | JNL PERSPECTIVE L                   | 197,153.08             | 230.01              | 0.00               | 230.01             | 90.0 | 207.01               |
| 10/31/2017  | GAFKA, PHILIP      | JNL PERSPECTIVE L                   | 368,974.69             | 430.47              | 0.00               | 430.47             | 90.0 | 387.42               |
| 10/31/2017  | HARRIS, BILLY      | JNL PERSPECTIVE L                   | 268,419.68             | 313.16              | 0.00               | 313.16             | 90.0 | 281.84               |
| 10/31/2017  | HEBERLING, DONALD  | JNL PERSPECTIVE L                   | 20,661.95              | 17.22               | 0.00               | 17.22              | 90.0 | 15.50                |
| 10/31/2017  | WAYO, DARLENE      | JNL PERSPECTIVE L                   | 68,933.26              | 57.44               | 0.00               | 57.44              | 90.0 | 51.70                |
| 10/31/2017  | HOSS, GAIL         | JNL PERSPECTIVE L                   | 72,730.06              | 84.85               | 0.00               | 84.85              | 90.0 | 76.37                |
| 10/31/2017  | MUELLER, ROMAYNE   | JNL PERSPECTIVE L                   | 56,778.57              | 47.32               | 0.00               | 47.32              | 90.0 | 42.59                |
| 10/31/2017  | STARK, GLORIA      | JNL PERSPECTIVE L                   | 61,195.84              | 51.00               | 0.00               | 51.00              | 90.0 | 45.90                |
| 10/31/2017  | SMITHANA, MARGARET | JNL PERSPECTIVE L                   | 247,524.74             | 206.27              | 0.00               | 206.27             | 90.0 | 185.64               |
| 10/31/2017  | GIBSON, ROBERT     | JNL PERSPECTIVE L                   | 315,396.37             | 262.83              | 0.00               | 262.83             | 90.0 | 236.55               |
| 10/31/2017  | MCFADDEN, JAMES    | JNL PERSPECTIVE L                   | 31,242.95              | 26.04               | 0.00               | 26.04              | 90.0 | 23.44                |
| 10/31/2017  | KELLOGG, MICHAEL   | JNL PERSPECTIVE L                   | 225,505.51             | 187.92              | 0.00               | 187.92             | 90.0 | 169.13               |
| 10/31/2017  | BIRKHOLZ, GAY      | JNL PERSPECTIVE L                   | 112,970.44             | 94.14               | 0.00               | 94.14              | 90.0 | 84.73                |
| 10/31/2017  | HORNACEK, JOSEPH   | JNL PERSPECTIVE L                   | 400,561.29             | 467.32              | 0.00               | 467.32             | 90.0 | 420.59               |
| 10/31/2017  | HALL, MICHAEL      | JNL PERSPECTIVE L                   | 132,058.42             | 110.05              | 0.00               | 110.05             | 90.0 | 99.05                |
| 10/31/2017  | BARRETT, PERRY     | JNL PERSPECTIVE L                   | 151,964.49             | 126.64              | 0.00               | 126.64             | 90.0 | 113.98               |
| 10/31/2017  | ZUPFER, JO         | JNL PERSPECTIVE L                   | 91,415.00              | 76.18               | 0.00               | 76.18              | 90.0 | 68.56                |
| 10/31/2017  | BECKER, JOHN       | JNL PERSPECTIVE L                   | 123,444.03             | 102.87              | 0.00               | 102.87             | 90.0 | 92.58                |
| 10/31/2017  | BECKER, JOHN       | JNL PERSPECTIVE L                   | 153,360.80             | 127.80              | 0.00               | 127.80             | 90.0 | 115.02               |
| 10/31/2017  | HALL, MICHAEL      | JNL PERSPECTIVE L                   | 133,761.83             | 111.47              | 0.00               | 111.47             | 90.0 | 100.32               |
| 10/31/2017  | BAHR, JEFFREY      | JNL PERSPECTIVE L                   | 123,767.71             | 103.14              | 0.00               | 103.14             | 90.0 | 92.83                |
| 10/31/2017  | STEPHENS, CAROL    | JNL PERSPECTIVE L                   | 364,075.89             | 303.40              | 0.00               | 303.40             | 90.0 | 273.06               |
| 10/31/2017  | GLENNAN, DONALD    | JNL PERSPECTIVE L                   | 346,483.64             | 288.74              | 0.00               | 288.74             | 90.0 | 259.87               |
| 10/31/2017  | CAPSTRAW, RONALD   | JNL PERSPECTIVE L                   | 387,006.94             | 322.51              | 0.00               | 322.51             | 90.0 | 290.26               |
| 10/31/2017  | CAPSTRAW, RONALD & | JNL PERSPECTIVE L                   | 225,944.90             | 188.29              | 0.00               | 188.29             | 90.0 | 169.46               |
| 10/23/2017  | ROGERS, WILMA      | RELIASTAR LIFE PROTECTOR ELITE      | 1,750.00               | 17.50               | 0.00               | 17.50              | 90.0 | 15.75                |
| 10/31/2017  | PECKMAN, MARCIA    | VOYA INVESTOR ELITE                 | 183,482.09             | 183.48              | 0.00               | 183.48             | 90.0 | 165.13               |
| <b>* VARIABLE ANNUITIES SUBTOTAL *</b>                  |                    |                                     | <b>\$12,044,784.32</b> | <b>\$10,781.39</b>  | <b>\$0.00</b>      | <b>\$10,781.39</b> |      | <b>\$9,703.29</b>    |
| <b><u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u></b> |                    |                                     |                        |                     |                    |                    |      |                      |
| 10/13/2017  | AULER, WILLIAM     | BLUEROCK TOTAL INC & REAL ESTATE FU | 0.00                   | 27.38               | 0.00               | 27.38              | 90.0 | 24.64                |
| 10/26/2017  | SIMMONS, JERRY     | JP MORGAN INVESTOR GROWTH & INCOME  | 0.00                   | 5.64                | 0.00               | 5.64               | 90.0 | 5.08                 |
| <b>* MUTUAL FUND 12B1 TRAILS SUBTOTAL *</b>             |                    |                                     | <b>\$0.00</b>          | <b>\$33.02</b>      | <b>\$0.00</b>      | <b>\$33.02</b>     |      | <b>\$29.72</b>       |

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|---|--------------------------|------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b> OVERRIDE TRANSACTIONS </b>              |                          |                                    |                      |                     |                    |                   |      |                      |
| *** DIRECT TRANSACTIONS TOTAL ***           |                          |                                    | \$12,144,959.32      | \$17,817.42         | \$0.00             | \$17,817.42       |      | \$16,035.71          |
| <b> OVERRIDE TRANSACTIONS </b>              |                          |                                    |                      |                     |                    |                   |      |                      |
| <b> BROKER: R121-RICHARD RODRIGUEZ #88 </b> |                          |                                    |                      |                     |                    |                   |      |                      |
| 10/31/2017                                  | ROSE, NIKKI              | JNL PERSPECTIVE II 04/14           | 78,049.07            | 65.04               | 0.00               | 65.04             | 0.0  | 58.54                |
| 10/31/2017                                  | ROSE, PETER              | JNL PERSPECTIVE L                  | 33,503.71            | 27.92               | 0.00               | 27.92             | 0.0  | 25.13                |
| * R121-RICHARD RODRIGUEZ SUBTOTAL *         |                          |                                    | \$111,552.78         | \$92.96             | \$0.00             | \$92.96           |      | \$83.67              |
| <b> BROKER: MARK HUBER #89 </b>             |                          |                                    |                      |                     |                    |                   |      |                      |
| 11/06/2017                                  | STELMASIAK, BERENIKA     | MFS AGGRESSIVE GROWTH ALLOCATION B | 100.00               | 4.00                | 0.00               | 4.00              | 0.0  | 3.60                 |
| 11/01/2017                                  | BECKER, KARINA           | MFS BLENDED RESEARCH CORE C        | 180.00               | 1.80                | 0.00               | 1.80              | 0.0  | 1.62                 |
| 11/02/2017                                  | KRELLER, KRISTYNA        | MFS BLENDED RESEARCH CORE C        | 40.00                | 0.40                | 0.00               | 0.40              | 0.0  | 0.36                 |
| 10/20/2017                                  | LOWISZ, WLADYSLAWA       | MFS CONSERVATIVE ALLOCATION B      | 108.00               | 4.32                | 0.00               | 4.32              | 0.0  | 3.89                 |
| 11/06/2017                                  | CHREPTOWICZ, MALGORZATA  | MFS CONSERVATIVE ALLOCATION B      | 100.00               | 4.00                | 0.00               | 4.00              | 0.0  | 3.60                 |
| 11/06/2017                                  | DANEK MD SEP PLAN, BEATA | MFS CONSERVATIVE ALLOCATION B      | 100.00               | 4.00                | 0.00               | 4.00              | 0.0  | 3.60                 |
| 11/06/2017                                  | JUSCINSKA, AGNIESZKA     | MFS CONSERVATIVE ALLOCATION B      | 700.00               | 28.00               | 0.00               | 28.00             | 0.0  | 25.20                |
| 11/06/2017                                  | JARZAREK, MAGDALENA      | MFS CONSERVATIVE ALLOCATION B      | 400.00               | 16.00               | 0.00               | 16.00             | 0.0  | 14.40                |
| 11/06/2017                                  | SZWEDO, MALGORZATA       | MFS CONSERVATIVE ALLOCATION B      | 100.00               | 4.00                | 0.00               | 4.00              | 0.0  | 3.60                 |
| 11/01/2017                                  | BECKER, KARINA           | MFS DIVERSIFIED INCOME FUND C      | 180.00               | 1.80                | 0.00               | 1.80              | 0.0  | 1.62                 |
| 10/20/2017                                  | LOWISZ, WLADYSLAWA       | MFS EMERGING MARKETS DEBT FUND B   | 108.00               | 4.32                | 0.00               | 4.32              | 0.0  | 3.89                 |
| 11/01/2017                                  | ZAREBA, GRZEGORZ         | MFS EMERGING MARKETS DEBT FUND B   | 50.00                | 2.00                | 0.00               | 2.00              | 0.0  | 1.80                 |
| 10/20/2017                                  | TYLMAN, PETER            | MFS EMERGING MKTS DEBT FUND C      | 50.00                | 0.50                | 0.00               | 0.50              | 0.0  | 0.45                 |
| 10/20/2017                                  | TYLMAN, JOANNA           | MFS EMERGING MKTS DEBT FUND C      | 50.00                | 0.50                | 0.00               | 0.50              | 0.0  | 0.45                 |
| 11/02/2017                                  | KRELLER, KRISTYNA        | MFS EMERGING MKTS DEBT FUND C      | 40.00                | 0.40                | 0.00               | 0.40              | 0.0  | 0.36                 |
| 11/06/2017                                  | CHOWANIEC, WOJCIECH      | MFS GROWTH ALLOCATION 529C         | 200.00               | 2.00                | 0.00               | 2.00              | 0.0  | 1.80                 |
| 11/06/2017                                  | SZWEDO, MALGORZATA       | MFS GROWTH ALLOCATION B            | 100.00               | 4.00                | 0.00               | 4.00              | 0.0  | 3.60                 |
| 11/01/2017                                  | ZAREBA, NATALIA          | MFS GROWTH ALLOCATION FUND -529B   | 50.00                | 2.00                | 0.00               | 2.00              | 0.0  | 1.80                 |
| 10/20/2017                                  | SWIDER, JULIA            | MFS LIMITED MATURITY FUND 529B     | 50.00                | 2.00                | 0.00               | 2.00              | 0.0  | 1.80                 |
| 10/23/2017                                  | GABEROV, VASIL           | MFS LOW VOLATILITY EQUITY FUND C   | 50.00                | 0.50                | 0.00               | 0.50              | 0.0  | 0.45                 |
| 10/23/2017                                  | GABEROVA, STELLA         | MFS LOW VOLATILITY EQUITY FUND C   | 50.00                | 0.50                | 0.00               | 0.50              | 0.0  | 0.45                 |
| 10/20/2017                                  | LOWISZ, WLADYSLAWA       | MFS MODERATE ALLOCATION B          | 108.00               | 4.32                | 0.00               | 4.32              | 0.0  | 3.89                 |
| 11/06/2017                                  | CHREPTOWICZ, MALGORZATA  | MFS MODERATE ALLOCATION B          | 200.00               | 8.00                | 0.00               | 8.00              | 0.0  | 7.20                 |
| 11/06/2017                                  | DANEK MD SEP PLAN, BEATA | MFS MODERATE ALLOCATION B          | 100.00               | 4.00                | 0.00               | 4.00              | 0.0  | 3.60                 |
| 11/06/2017                                  | JUSCINSKA, AGNIESZKA     | MFS MODERATE ALLOCATION B          | 700.00               | 28.00               | 0.00               | 28.00             | 0.0  | 25.20                |

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

| DATE                                   | CLIENT                   | INVESTMENT                      | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|--------------------------|---------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u> OVERRIDE TRANSACTIONS </u></b>  |                          |                                 |                      |                     |                    |                   |      |                      |
| <b><u> BROKER: MARK HUBER #89 </u></b> |                          |                                 |                      |                     |                    |                   |      |                      |
| 11/06/2017                             | JARZAREK, MAGDALENA      | MFS MODERATE ALLOCATION B       | 400.00               | 16.00               | 0.00               | 16.00             | 0.0  | 14.40                |
| 11/06/2017                             | DANEK MD SEP PLAN, BEATA | MFS MODERATE ALLOCATION B       | 100.00               | 4.00                | 0.00               | 4.00              | 0.0  | 3.60                 |
| 11/01/2017                             | WALUSZKO, SYLWIA         | MFS MODERATE ALLOCATION C       | 20.00                | 0.20                | 0.00               | 0.20              | 0.0  | 0.18                 |
| 11/02/2017                             | KRELLER, KRYSTYNA        | MFS MODERATE ALLOCATION C       | 40.00                | 0.40                | 0.00               | 0.40              | 0.0  | 0.36                 |
| 10/23/2017                             | GABEROV, VASIL           | MFS NEW DISCOVERY VALUE FUND C  | 50.00                | 0.50                | 0.00               | 0.50              | 0.0  | 0.45                 |
| 10/23/2017                             | GABEROVA, STELLA         | MFS NEW DISCOVERY VALUE FUND C  | 50.00                | 0.50                | 0.00               | 0.50              | 0.0  | 0.45                 |
| 11/02/2017                             | KRELLER, KRYSTYNA        | MFS RESEARCH BOND FUND C        | 40.00                | 0.40                | 0.00               | 0.40              | 0.0  | 0.36                 |
| 10/20/2017                             | LOWISZ, WLADYSLAWA       | MFS UTILITIES B                 | 108.00               | 4.32                | 0.00               | 4.32              | 0.0  | 3.89                 |
| 11/01/2017                             | ZAREBA, GRZEGORZ         | MFS UTILITIES B                 | 50.00                | 2.00                | 0.00               | 2.00              | 0.0  | 1.80                 |
| 11/06/2017                             | CHREPTOWICZ, MALGORZATA  | MFS UTILITIES B                 | 547.75               | 21.91               | 0.00               | 21.91             | 0.0  | 19.72                |
| 11/06/2017                             | DANEK MD SEP PLAN, BEATA | MFS UTILITIES B                 | 367.40               | 14.70               | 0.00               | 14.70             | 0.0  | 13.23                |
| 11/06/2017                             | JUSCINSKA, AGNIESZKA     | MFS UTILITIES B                 | 1,720.00             | 68.80               | 0.00               | 68.80             | 0.0  | 61.92                |
| 11/06/2017                             | JARZAREK, MAGDALENA      | MFS UTILITIES B                 | 1,097.12             | 43.88               | 0.00               | 43.88             | 0.0  | 39.49                |
| 11/06/2017                             | STELMASIAK, BERENIKA     | MFS UTILITIES B                 | 261.54               | 10.46               | 0.00               | 10.46             | 0.0  | 9.41                 |
| 11/06/2017                             | SZWEDO, MALGORZATA       | MFS UTILITIES B                 | 342.73               | 13.71               | 0.00               | 13.71             | 0.0  | 12.34                |
| 11/06/2017                             | DANEK MD SEP PLAN, BEATA | MFS UTILITIES B                 | 360.54               | 14.42               | 0.00               | 14.42             | 0.0  | 12.98                |
| 10/20/2017                             | TYLMAN, JOANNA           | MFS UTILITIES C                 | 50.00                | 0.50                | 0.00               | 0.50              | 0.0  | 0.45                 |
| 10/20/2017                             | TYLMAN, PETER            | MFS UTILITIES C                 | 50.00                | 0.50                | 0.00               | 0.50              | 0.0  | 0.45                 |
| 10/23/2017                             | GABEROV, VASIL           | MFS UTILITIES C                 | 70.00                | 0.70                | 0.00               | 0.70              | 0.0  | 0.63                 |
| 10/23/2017                             | GABEROVA, STELLA         | MFS UTILITIES C                 | 70.00                | 0.70                | 0.00               | 0.70              | 0.0  | 0.63                 |
| 11/01/2017                             | BECKER, KARINA           | MFS UTILITIES C                 | 180.00               | 1.80                | 0.00               | 1.80              | 0.0  | 1.62                 |
| 11/01/2017                             | WALUSZKO, SYLWIA         | MFS UTILITIES C                 | 20.00                | 0.20                | 0.00               | 0.20              | 0.0  | 0.18                 |
| 11/02/2017                             | KRELLER, KRYSTYNA        | MFS UTILITIES C                 | 40.00                | 0.40                | 0.00               | 0.40              | 0.0  | 0.36                 |
| 10/20/2017                             | LOWISZ, WLADYSLAWA       | MFS VALUE B                     | 108.00               | 4.32                | 0.00               | 4.32              | 0.0  | 3.89                 |
| 11/06/2017                             | STELMASIAK, BERENIKA     | MFS VALUE B                     | 200.00               | 8.00                | 0.00               | 8.00              | 0.0  | 7.20                 |
| 11/06/2017                             | DANEK MD SEP PLAN, BEATA | MFS VALUE B                     | 200.00               | 8.00                | 0.00               | 8.00              | 0.0  | 7.20                 |
| 10/20/2017                             | TYLMAN, PETER            | MFS VALUE C                     | 50.00                | 0.50                | 0.00               | 0.50              | 0.0  | 0.45                 |
| 10/20/2017                             | TYLMAN, JOANNA           | MFS VALUE C                     | 50.00                | 0.50                | 0.00               | 0.50              | 0.0  | 0.45                 |
| 11/01/2017                             | WALUSZKO, SYLWIA         | MFS VALUE C                     | 20.00                | 0.20                | 0.00               | 0.20              | 0.0  | 0.18                 |
| 10/16/2017                             | CHOWANIEC, WOJCIECH      | PUTNAM 529 AGE-BASED 2014-A     | 200.00               | 10.00               | 0.00               | 10.00             | 0.0  | 9.00                 |
| 10/09/2017                             | WIKAR, HALINA            | UBT AGGRESSIVE AGE BASED 0-02-A | 100.00               | 3.00                | 0.00               | 3.00              | 0.0  | 2.70                 |
| <b>* MARK HUBER SUBTOTAL *</b>         |                          |                                 | <b>\$10,877.08</b>   | <b>\$386.88</b>     | <b>\$0.00</b>      | <b>\$386.88</b>   |      | <b>\$348.20</b>      |

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| DATE  | CLIENT                       | INVESTMENT                          | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|---|------------------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u>VERRIDE TRANSACTIONS</u></b>                          |                              |                                     |                      |                     |                    |                   |      |                      |
| <b><u>BROKER: R122-RICHARD/MARK RODRIGUEZ/HUBER #90</u></b> |                              |                                     |                      |                     |                    |                   |      |                      |
| 10/18/2017  | WOLF, XANDER                 | ALGER SPECTRA A                     | 0.00                 | 0.95                | 0.00               | 0.95              | 0.0  | 0.86                 |
| 10/18/2017  | WOLF, AADRA                  | ALGER SPECTRA A                     | 0.00                 | 0.95                | 0.00               | 0.95              | 0.0  | 0.86                 |
| 10/19/2017  | WOLF, XANDER                 | ALLIANCEBERNSTEIN EQUITY INCOME A   | 0.00                 | 1.01                | 0.00               | 1.01              | 0.0  | 0.91                 |
| 10/19/2017  | WOLF, AADRA                  | ALLIANCEBERNSTEIN EQUITY INCOME A   | 0.00                 | 1.14                | 0.00               | 1.14              | 0.0  | 1.03                 |
| 10/19/2017  | BATIO, COURTNEY              | AM FUNDS AMERICAN BALANCED A        | 0.00                 | 0.34                | 0.00               | 0.34              | 0.0  | 0.31                 |
| 10/19/2017  | BATIO, COURTNEY              | AM FUNDS CAPITAL INCOME BUILDER A   | 0.00                 | 0.27                | 0.00               | 0.27              | 0.0  | 0.24                 |
| 10/19/2017  | BATIO, COURTNEY              | AM FUNDS FUNDAMENTAL INVESTORS A    | 0.00                 | 0.40                | 0.00               | 0.40              | 0.0  | 0.36                 |
| 10/19/2017  | BATIO, COURTNEY              | AM FUNDS ICA A                      | 0.00                 | 0.37                | 0.00               | 0.37              | 0.0  | 0.33                 |
| 10/19/2017  | BATIO, COURTNEY              | AM FUNDS INCOME FUND OF AMERICA A   | 0.00                 | 0.31                | 0.00               | 0.31              | 0.0  | 0.28                 |
| 10/13/2017  | WOLF, XANDER                 | AMERICAN CENTURY REAL ESTATE FUND C | 0.00                 | 0.50                | 0.00               | 0.50              | 0.0  | 0.45                 |
| 10/13/2017  | WOLF, AADRA                  | AMERICAN CENTURY REAL ESTATE FUND C | 0.00                 | 0.50                | 0.00               | 0.50              | 0.0  | 0.45                 |
| 10/27/2017  | WOLF, XANDER                 | BLACKROCK LARGE CAP GROWTH FUND CLA | 0.00                 | 1.15                | 0.00               | 1.15              | 0.0  | 1.04                 |
| 10/27/2017  | WOLF, AADRA                  | BLACKROCK LARGE CAP GROWTH FUND CLA | 0.00                 | 1.30                | 0.00               | 1.30              | 0.0  | 1.17                 |
| 10/27/2017  | WOLF, XANDER                 | BLK HEALTH SCIENCES A               | 0.00                 | 0.90                | 0.00               | 0.90              | 0.0  | 0.81                 |
| 10/27/2017  | WOLF, AADRA                  | BLK HEALTH SCIENCES A               | 0.00                 | 0.90                | 0.00               | 0.90              | 0.0  | 0.81                 |
| 10/13/2017  | FERN, SARAH                  | BLUEROCK TOTAL INC & REAL ESTATE FU | 0.00                 | 5.50                | 0.00               | 5.50              | 0.0  | 4.95                 |
| 10/13/2017  | UKRAINIAN CHURCH, ST ANDREWS | BLUEROCK TOTAL INC & REAL ESTATE FU | 0.00                 | 16.62               | 0.00               | 16.62             | 0.0  | 14.96                |
| 10/13/2017  | UKRAINIAN CHURCH, ST ANDREWS | BLUEROCK TOTAL INC & REAL ESTATE FU | 0.00                 | 23.96               | 0.00               | 23.96             | 0.0  | 21.56                |
| 10/13/2017  | TRIPP, MAXX                  | BLUEROCK TOTAL INC & REAL ESTATE FU | 0.00                 | 6.19                | 0.00               | 6.19              | 0.0  | 5.57                 |
| 10/13/2017  | TRIPP, MAXX                  | BLUEROCK TOTAL INC & REAL ESTATE FU | 0.00                 | 10.53               | 0.00               | 10.53             | 0.0  | 9.48                 |
| 10/13/2017  | TRIPP, ABBY                  | BLUEROCK TOTAL INC & REAL ESTATE FU | 0.00                 | 11.78               | 0.00               | 11.78             | 0.0  | 10.60                |
| 10/13/2017  | WOLF, XANDER                 | BLUEROCK TOTAL INC & REAL ESTATE FU | 0.00                 | 4.11                | 0.00               | 4.11              | 0.0  | 3.70                 |
| 10/13/2017  | WOLF, AADRA                  | BLUEROCK TOTAL INC & REAL ESTATE FU | 0.00                 | 4.11                | 0.00               | 4.11              | 0.0  | 3.70                 |
| 10/18/2017  | UDCHIK, DAVID                | GRIFFIN INSTITUTIONAL ACCESS REAL E | 0.00                 | 2.70                | 0.00               | 2.70              | 0.0  | 2.43                 |
| 10/11/2017  | WOLF, XANDER                 | IVY SCIENCE AND TECHNOLOGY FUND A   | 0.00                 | 1.80                | 0.00               | 1.80              | 0.0  | 1.62                 |
| 10/11/2017  | WOLF, AADRA                  | IVY SCIENCE AND TECHNOLOGY FUND A   | 0.00                 | 1.80                | 0.00               | 1.80              | 0.0  | 1.62                 |
| 10/24/2017  | WOLF, XANDER                 | RYDEX TRANSPORTATION FUND CLASS A   | 0.00                 | 0.55                | 0.00               | 0.55              | 0.0  | 0.50                 |
| 10/24/2017  | WOLF, AADRA                  | RYDEX TRANSPORTATION FUND CLASS A   | 0.00                 | 0.55                | 0.00               | 0.55              | 0.0  | 0.50                 |
| <b>* R122-RICHARD/MARK RODRIGUEZ/HUBER SUBTOTAL *</b>       |                              |                                     | <b>\$0.00</b>        | <b>\$101.19</b>     | <b>\$0.00</b>      | <b>\$101.19</b>   |      | <b>\$91.10</b>       |
| <b><u>BROKER: MICHAEL VENTURINI #127</u></b>                |                              |                                     |                      |                     |                    |                   |      |                      |
| 10/31/2017  | CAMPOLO, JON                 | JNL PERSPECTIVE L                   | 20,714.23            | 17.26               | 0.00               | 17.26             | 0.0  | 15.53                |
| 10/31/2017  | CAMPOLO, JUDITH              | JNL PERSPECTIVE L                   | 16,642.62            | 13.87               | 0.00               | 13.87             | 0.0  | 12.48                |
| <b>* MICHAEL VENTURINI SUBTOTAL *</b>                       |                              |                                     | <b>\$37,356.85</b>   | <b>\$31.13</b>      | <b>\$0.00</b>      | <b>\$31.13</b>    |      | <b>\$28.01</b>       |

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|--|-------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u> OVERRIDE TRANSACTIONS </u></b>                          |                   |                                     |                      |                     |                    |                   |      |                      |
| <b><u>BROKER: DAVE/MIKE ZUPEK/VENTURINI #129</u></b>           |                   |                                     |                      |                     |                    |                   |      |                      |
| 11/03/2017   | KISSH, BARBARA    | AM FUNDS AMERICAN BALANCED A        | 50.00                | 2.50                | 0.00               | 2.50              | 0.0  | 2.25                 |
| * DAVE/MIKE ZUPEK/VENTURINI SUBTOTAL *                         |                   |                                     | <b>\$50.00</b>       | <b>\$2.50</b>       | <b>\$0.00</b>      | <b>\$2.50</b>     |      | <b>\$2.25</b>        |
| <b><u>BROKER: WENDY GOODING #158</u></b>                       |                   |                                     |                      |                     |                    |                   |      |                      |
| 10/26/2017   | SCOTT, NATALIE    | JP MORGAN INVESTOR GROWTH & INCOME  | 0.00                 | 9.62                | 0.00               | 9.62              | 0.0  | 3.37                 |
| * WENDY GOODING SUBTOTAL *                                     |                   |                                     | <b>\$0.00</b>        | <b>\$9.62</b>       | <b>\$0.00</b>      | <b>\$9.62</b>     |      | <b>\$3.37</b>        |
| <b><u>BROKER: R133-RICH/MARK/DAVE RODRIGUEZ/HUBER #269</u></b> |                   |                                     |                      |                     |                    |                   |      |                      |
| 10/30/2017   | WEBER, SANDRA     | AM FUNDS 2020 TARGET DATE-A         | 25.00                | 0.50                | 0.00               | 0.50              | 0.0  | 0.45                 |
| 10/30/2017   | HEFT, SAMANTHA    | AM FUNDS 2035 TARGET DATE-A         | 50.00                | 1.00                | 0.00               | 1.00              | 0.0  | 0.90                 |
| 10/19/2017   | BATIO, KAREN      | AM FUNDS AMERICAN BALANCED A        | 0.00                 | 0.17                | 0.00               | 0.17              | 0.0  | 0.15                 |
| 10/19/2017   | BATIO, KAREN      | AM FUNDS CAPITAL INCOME BUILDER A   | 0.00                 | 0.14                | 0.00               | 0.14              | 0.0  | 0.13                 |
| 10/19/2017   | BATIO, KAREN      | AM FUNDS FUNDAMENTAL INVESTORS A    | 0.00                 | 0.20                | 0.00               | 0.20              | 0.0  | 0.18                 |
| 10/19/2017   | BATIO, KAREN      | AM FUNDS ICA A                      | 0.00                 | 0.19                | 0.00               | 0.19              | 0.0  | 0.17                 |
| 10/19/2017   | BATIO, KAREN      | AM FUNDS INCOME FUND OF AMERICA A   | 0.00                 | 0.14                | 0.00               | 0.14              | 0.0  | 0.13                 |
| 10/19/2017   | BATIO, KAREN      | AM FUNDS INCOME FUND OF AMERICA A   | 0.00                 | 0.16                | 0.00               | 0.16              | 0.0  | 0.14                 |
| 10/13/2017   | SHAYKIN, STEVEN   | BLUEROCK TOTAL INC & REAL ESTATE FU | 0.00                 | 12.53               | 0.00               | 12.53             | 0.0  | 11.28                |
| 10/13/2017   | BATIO, KAREN      | BLUEROCK TOTAL INC & REAL ESTATE FU | 0.00                 | 3.74                | 0.00               | 3.74              | 0.0  | 3.37                 |
| 10/13/2017   | HAMILTON, RANDALL | BLUEROCK TOTAL INC & REAL ESTATE FU | 0.00                 | 2.28                | 0.00               | 2.28              | 0.0  | 2.05                 |
| 10/13/2017   | HAMILTON, RANDALL | BLUEROCK TOTAL INC & REAL ESTATE FU | 0.00                 | 2.07                | 0.00               | 2.07              | 0.0  | 1.86                 |
| 10/13/2017   | WHEELER, THOMAS   | BLUEROCK TOTAL INC & REAL ESTATE FU | 0.00                 | 1.63                | 0.00               | 1.63              | 0.0  | 1.47                 |
| 10/13/2017   | WHEELER, MARSHA   | BLUEROCK TOTAL INC & REAL ESTATE FU | 0.00                 | 1.55                | 0.00               | 1.55              | 0.0  | 1.40                 |
| 10/13/2017   | ROSE, PETER       | CARTER VALIDUS MC REIT II CLASS T   | 0.00                 | 41.42               | 0.00               | 41.42             | 0.0  | 37.28                |
| 10/13/2017   | ALLEN, SUSAN      | CARTER VALIDUS MC REIT II CLASS T   | 0.00                 | 20.71               | 0.00               | 20.71             | 0.0  | 18.64                |
| 10/13/2017   | DURBANO, LAURA    | CARTER VALIDUS MC REIT II CLASS T   | 0.00                 | 16.57               | 0.00               | 16.57             | 0.0  | 14.91                |
| 10/13/2017   | MAY, ROBERT       | CARTER VALIDUS MC REIT II CLASS T   | 0.00                 | 57.53               | 0.00               | 57.53             | 0.0  | 51.78                |
| * R133-RICH/MARK/DAVE RODRIGUEZ/HUBER SUBTOTAL *               |                   |                                     | <b>\$75.00</b>       | <b>\$162.53</b>     | <b>\$0.00</b>      | <b>\$162.53</b>   |      | <b>\$146.29</b>      |
| <b><u>BROKER: R130-RICHARD RODRIGUEZ, JR. #397</u></b>         |                   |                                     |                      |                     |                    |                   |      |                      |
| 10/13/2017   | KANE, SUSAN       | CARTER VALIDUS MC REIT II CLASS T   | 0.00                 | 31.51               | 0.00               | 31.51             | 0.0  | 28.36                |
| * R130-RICHARD RODRIGUEZ, JR. SUBTOTAL *                       |                   |                                     | <b>\$0.00</b>        | <b>\$31.51</b>      | <b>\$0.00</b>      | <b>\$31.51</b>    |      | <b>\$28.36</b>       |
| *** OVERRIDE TRANSACTIONS TOTAL ***                            |                   |                                     | <b>\$159,911.71</b>  | <b>\$818.32</b>     | <b>\$0.00</b>      | <b>\$818.32</b>   |      | <b>\$731.25</b>      |

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|---------------------------|--------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u>ADJUSTMENTS</u></b> |        |                                     |                      |                     |                    |                   |      |                      |
| 11/15/2017                |        | *AI INSIGHT: AI INSIGHT             | 0.00                 |                     |                    |                   |      | -7.00                |
| 11/15/2017                |        | *AI INSIGHT: AI INSIGHT - MARK      | 0.00                 |                     |                    |                   |      | -7.00                |
| 11/15/2017                |        | *ALBRIDGE: LIGHT USER - DAVID       | 0.00                 |                     |                    |                   |      | -38.00               |
| 11/15/2017                |        | *ALBRIDGE: LIGHT USER - MARK        | 0.00                 |                     |                    |                   |      | -38.00               |
| 11/15/2017                |        | *E & O INSURANCE: CURRENT MONTH INS | 0.00                 |                     |                    |                   |      | -300.00              |
| 11/15/2017                |        | *E & O INSURANCE: CURRENT MONTH INS | 0.00                 |                     |                    |                   |      | -300.00              |
| 11/15/2017                |        | *GLOBAL RELAY: FACEBOOK - DAVID     | 0.00                 |                     |                    |                   |      | -2.50                |
| 11/15/2017                |        | *GLOBAL RELAY: FACEBOOK - MARK      | 0.00                 |                     |                    |                   |      | -2.50                |
| 11/15/2017                |        | *GLOBAL RELAY: WEBSITE - DAVID      | 0.00                 |                     |                    |                   |      | -7.50                |
| 11/15/2017                |        | *GLOBAL RELAY: WEBSITE - MARK       | 0.00                 |                     |                    |                   |      | -7.50                |
| 11/15/2017                |        | *LASER APP: LASER APP - MARK        | 0.00                 |                     |                    |                   |      | -18.00               |
| 11/15/2017                |        | *LASER APP: LASERAPP - DAVID        | 0.00                 |                     |                    |                   |      | -18.00               |
| 11/15/2017                |        | *MARKETING PRO: MARKETING PRO - DAV | 0.00                 |                     |                    |                   |      | -10.00               |
| 11/15/2017                |        | *MARKETING PRO: STANDARD - MARK     | 0.00                 |                     |                    |                   |      | -10.00               |
| 11/15/2017                |        | *PERSHING: MANDITORY REORGANIZATION | 0.00                 |                     |                    |                   |      | -10.00               |
| 11/15/2017                |        | *TECH: ADMIN - L JOCIUS             | 0.00                 |                     |                    |                   |      | -130.00              |
| 11/15/2017                |        | *TECH: ADMIN - RON HAMILTON         | 0.00                 |                     |                    |                   |      | -60.00               |
| 11/15/2017                |        | *TECH: ADMIN: JOHN ZUPEK            | 0.00                 |                     |                    |                   |      | -60.00               |
| 11/15/2017                |        | *TECHNOLOGY: ADMIN - AMANDA MOON    | 0.00                 |                     |                    |                   |      | -130.00              |
| 11/15/2017                |        | *TECHNOLOGY: BASIC - DAVID          | 0.00                 |                     |                    |                   |      | -180.00              |
| 11/15/2017                |        | *TECHNOLOGY: BASIC-MARK             | 0.00                 |                     |                    |                   |      | -180.00              |
| *** ADJUSTMENTS TOTAL *** |        |                                     | \$0.00               | \$0.00              | \$0.00             | \$0.00            |      | \$-1,516.00          |

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   | \$16,035.71 |
| Split Transactions    | \$0.00      |
| Override Transactions | \$731.25    |
| Adjustments           | \$-1,516.00 |
| Payroll Draw          | \$0.00      |
| Base Salary           | \$0.00      |
| Prior Period Balance  | \$0.00      |
| FINRA Assessment      | \$0.00      |
| SIPC Assessment       | \$0.00      |

|                       |              |
|-----------------------|--------------|
| Check Amount          | \$15,250.96  |
| Year-to-date Gross    | \$222,056.60 |
| Year-to-date Earnings | \$360,088.97 |