



Concorde Investment Services, LLC  
**COMMISSION STATEMENT**  
**March 15, 2018**

03/13/2018  
Page No. 1

DELMAR (BO)-M143 MCKINNEY  
5 Red Bud Trail

BROKER #: M143  
BRANCH: EAGLE WEALTH MANAGEM

Round Rock, TX 78655-

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>								
03/05/2018	ASPRA, TRISSA	AM FUNDS AMCAP A	75.00	3.19	12.00	-8.81	90.0	-7.93
03/05/2018	ASPRA, TRISSA	AM FUNDS GROWTH FUND OF AMERICA A	75.00	3.19	12.00	-8.81	90.0	-7.93
02/27/2018	HAMITER, DONNIE	AM FUNDS INCOME FUND OF AMERICA A	-10,000.00	22.00	22.00	0.00	90.0	0.00
03/02/2018	LAWHON, JACKIE	AM FUNDS WASHINGTON MUTUAL INVESTOR	-500.00	0.00	12.00	-12.00	90.0	-10.80
* MUTUAL FUNDS SUBTOTAL *			\$-10,350.00	\$28.38	\$58.00	\$-29.62		\$-26.66
*** CLEARING TRANSACTIONS TOTAL ***			\$-10,350.00	\$28.38	\$58.00	\$-29.62		\$-26.66
<b><u>DIRECT TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: 529 PLANS</u></b>								
02/20/2018	BRUECKNER, MICHAEL	AM FUNDS GROWTH FUND OF AMERICA 529	100.00	1.20	0.00	1.20	90.0	1.08
02/20/2018	BRUECKNER, MICHAEL	AM FUNDS WASHINGTON MUTUAL INVESTOR	100.00	1.20	0.00	1.20	90.0	1.08
* 529 PLANS SUBTOTAL *			\$200.00	\$2.40	\$0.00	\$2.40		\$2.16
<b><u>PRODUCT CATEGORY: MUTUAL FUNDS</u></b>								
02/28/2018	BRUECKNER, KIMBERLY	AM FUNDS GROWTH FUND OF AMERICA A	325.00	3.90	0.00	3.90	90.0	3.51
* MUTUAL FUNDS SUBTOTAL *			\$325.00	\$3.90	\$0.00	\$3.90		\$3.51
<b><u>PRODUCT CATEGORY: VARIABLE ANNUITIES</u></b>								
03/09/2018	CHEATHAM, JIMMY	AMER GEN POLARIS II	38,746.59	24.22	0.00	24.22	90.0	21.80
02/28/2018	MASON, JOHN	JNL PERSPECTIVE ADV II 5/05	458,775.30	382.31	0.00	382.31	90.0	344.08
02/28/2018	MASON, JOHN	JNL PERSPECTIVE L	456,348.10	380.29	0.00	380.29	90.0	342.26
02/28/2018	PEMBERTON, PATRICIA	JOHN HANCOCK VENTURE	20,309.13	4.23	0.00	4.23	90.0	3.81
* VARIABLE ANNUITIES SUBTOTAL *			\$974,179.12	\$791.05	\$0.00	\$791.05		\$711.95

NOTES: \* - Indicates adjustment is not included in 1099 Earnings  
\*\* - Indicates adjustment is not included in Totals or Commissions  
^Date - Split Trade - full Investment Amount & Gross Commission displayed

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b><u>DIRECT TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u></b>								
03/01/2018	NAIZER, ROSANNE	529 AMCAP FUND CLASS A	0.00	2.88	0.00	2.88	90.0	2.59
03/01/2018	NAIZER, JOHNNIE	529 AMCAP FUND CLASS A	0.00	2.00	0.00	2.00	90.0	1.80
02/12/2018	BUROW, PAUL	ALLIANCEBERNSTEIN INTL VALUE A	0.00	1.03	0.00	1.03	90.0	0.93
02/16/2018	WIESNER, BETTY	AM CENT EQUITY INCOME	0.00	3.31	0.00	3.31	90.0	2.98
02/21/2018	ROSENTHAL, LUCILLE	AM FUNDS AMCAP A	0.00	13.88	0.00	13.88	90.0	12.49
02/21/2018	LUEDTKE, LOIS	AM FUNDS AMCAP A	0.00	13.97	0.00	13.97	90.0	12.57
02/21/2018	ASPRA, TRISSA	AM FUNDS AMCAP A	0.00	3.09	0.00	3.09	90.0	2.78
02/21/2018	NMN & NJN MGMT TRUST	AM FUNDS AMCAP A	0.00	1.83	0.00	1.83	90.0	1.65
02/21/2018	MICHNA, RHYS	AM FUNDS AMCAP A	0.00	1.53	0.00	1.53	90.0	1.38
02/21/2018	SCOTT, MONYAN	AM FUNDS AMCAP A	0.00	31.67	0.00	31.67	90.0	28.50
02/21/2018	GREER, GREGORY	AM FUNDS AMCAP A	0.00	6.58	0.00	6.58	90.0	5.92
02/21/2018	GREER, GREGORY	AM FUNDS AMCAP A	0.00	6.57	0.00	6.57	90.0	5.91
03/01/2018	PRAESEL, ARTHUR	AM FUNDS AMCAP A	0.00	225.23	0.00	225.23	90.0	202.71
02/21/2018	SPECKELS, MELBA	AM FUNDS AMERICAN BALANCED A	0.00	1.37	0.00	1.37	90.0	1.23
02/21/2018	GREER, GREGORY	AM FUNDS AMERICAN BALANCED A	0.00	1.86	0.00	1.86	90.0	1.67
02/21/2018	GREER, GREGORY	AM FUNDS AMERICAN BALANCED A	0.00	2.17	0.00	2.17	90.0	1.95
02/21/2018	FUESSEL NE & NA TR, NORMAN	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	35.89	0.00	35.89	90.0	32.30
02/21/2018	SPECKELS, MELBA	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	1.67	0.00	1.67	90.0	1.50
03/01/2018	NAIZER, ROSANNE	AM FUNDS AMERICAN MUTUAL 529A	0.00	1.66	0.00	1.66	90.0	1.49
03/01/2018	NAIZER, JOHNNIE	AM FUNDS AMERICAN MUTUAL 529A	0.00	1.27	0.00	1.27	90.0	1.14
02/21/2018	ROSENTHAL, LUCILLE	AM FUNDS AMERICAN MUTUAL A	0.00	20.64	0.00	20.64	90.0	18.58
02/21/2018	FUESSEL IRREV TR, NORMAN	AM FUNDS AMERICAN MUTUAL A	0.00	9.44	0.00	9.44	90.0	8.50
02/21/2018	NMN & NJN MGMT TRUST	AM FUNDS AMERICAN MUTUAL A	0.00	1.09	0.00	1.09	90.0	0.98
02/21/2018	SCOTT, MONYAN	AM FUNDS AMERICAN MUTUAL A	0.00	26.49	0.00	26.49	90.0	23.84
02/21/2018	IVICIC, MARY	AM FUNDS AMERICAN MUTUAL A	0.00	3.14	0.00	3.14	90.0	2.83
03/01/2018	MCKINNON, BROOKE	AM FUNDS CAPITAL INCOME BUILDER 529	0.00	0.97	0.00	0.97	90.0	0.87
02/21/2018	CHEATHAM, JIMMY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	12.01	0.00	12.01	90.0	10.81
02/21/2018	PRAESEL, ARTHUR	AM FUNDS CAPITAL INCOME BUILDER A	0.00	22.65	0.00	22.65	90.0	20.39
02/21/2018	ROSENTHAL, LUCILLE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	35.84	0.00	35.84	90.0	32.26
02/21/2018	FUESSEL, NORMAN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	22.08	0.00	22.08	90.0	19.87
02/21/2018	FUESSEL NE & NA TR, NORMAN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	20.18	0.00	20.18	90.0	18.16
02/21/2018	BRUECKNER, KIMBERLY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	5.78	0.00	5.78	90.0	5.20
02/21/2018	KELLEY, DOLORES	AM FUNDS CAPITAL INCOME BUILDER A	0.00	6.71	0.00	6.71	90.0	6.04

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

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

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

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b><u>DIRECT TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u></b>								
02/21/2018	LOGHRY, DORIS	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.08	0.00	0.08	90.0	0.07
02/21/2018	PEKAR, DAVID	AM FUNDS CAPITAL INCOME BUILDER A	0.00	8.28	0.00	8.28	90.0	7.45
02/21/2018	SPECKELS, WARREN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.48	0.00	1.48	90.0	1.33
02/21/2018	SPECKELS, MELBA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	2.19	0.00	2.19	90.0	1.97
02/21/2018	BRANSON, BARBARA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	3.49	0.00	3.49	90.0	3.14
02/21/2018	MORRIS, JANINE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	9.84	0.00	9.84	90.0	8.86
02/21/2018	SCOTT, MONYEAN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	22.68	0.00	22.68	90.0	20.41
02/21/2018	GREER, GREGORY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.50	0.00	1.50	90.0	1.35
02/21/2018	GREER, GREGORY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.74	0.00	1.74	90.0	1.57
02/21/2018	URBAN, LONNIE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.63	0.00	1.63	90.0	1.47
03/01/2018	OHE, EUGENIA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	6.74	0.00	6.74	90.0	6.07
03/01/2018	PEKAR, DAVID	AM FUNDS CAPITAL INCOME BUILDER A	0.00	24.95	0.00	24.95	90.0	22.46
03/01/2018	PRAESEL, ARTHUR	AM FUNDS CAPITAL INCOME BUILDER A	0.00	59.85	0.00	59.85	90.0	53.87
02/21/2018	MOORE, TERRY	AM FUNDS CAPITAL INCOME BUILDER C	0.00	35.47	0.00	35.47	90.0	31.92
03/01/2018	NAIZER, ROSANNE	AM FUNDS CAPITAL WORLD GRTH & INC 5	0.00	1.95	0.00	1.95	90.0	1.76
03/01/2018	NAIZER, JOHNNIE	AM FUNDS CAPITAL WORLD GRTH & INC 5	0.00	0.08	0.00	0.08	90.0	0.07
02/21/2018	ROSENTHAL, LUCILLE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	35.16	0.00	35.16	90.0	31.64
02/21/2018	FUESSEL IRREV TR, NORMAN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	9.74	0.00	9.74	90.0	8.77
02/21/2018	BRUECKNER, KIMBERLY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	17.19	0.00	17.19	90.0	15.47
02/21/2018	KELLEY, DOLORES	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	5.75	0.00	5.75	90.0	5.18
02/21/2018	NMN & NJN MGMT TRUST	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.30	0.00	1.30	90.0	1.17
02/21/2018	SCOTT, MONYEAN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	35.06	0.00	35.06	90.0	31.55
02/21/2018	HOHMAN, JEROME	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	10.25	0.00	10.25	90.0	9.23
02/21/2018	DROMGOOLE, NONA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	7.05	0.00	7.05	90.0	6.35
02/21/2018	GREER, GREGORY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	5.03	0.00	5.03	90.0	4.53
02/21/2018	GREER, GREGORY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	5.03	0.00	5.03	90.0	4.53
02/21/2018	URBAN, LONNIE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.91	0.00	1.91	90.0	1.72
02/21/2018	IVICIC, MARY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.48	0.00	1.48	90.0	1.33
02/21/2018	FUESSEL NE & NA TR, NORMAN	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	20.85	0.00	20.85	90.0	18.77
02/21/2018	LUEDTKE, LOIS	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	19.64	0.00	19.64	90.0	17.68
02/21/2018	KELLEY, DOLORES	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	5.06	0.00	5.06	90.0	4.55
02/21/2018	GREER, GREGORY	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	1.44	0.00	1.44	90.0	1.30
02/21/2018	GREER, GREGORY	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	1.71	0.00	1.71	90.0	1.54

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

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

^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 FUND 12B1 TRAILS</u></b>								
03/01/2018	KORNEGAY, ALISA	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	16.90	0.00	16.90	90.0	15.21
03/01/2018	ENOCHS, DONNA	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	15.37	0.00	15.37	90.0	13.83
03/01/2018	ENOCHS, LELAND	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	43.09	0.00	43.09	90.0	38.78
03/01/2018	OHE, EUGENIA	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	7.46	0.00	7.46	90.0	6.71
03/01/2018	ENOCHS, DONNA	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	7.45	0.00	7.45	90.0	6.71
03/01/2018	NAIZER, ROSANNE	AM FUNDS FUNDAMENTAL INVESTORS 529A	0.00	2.88	0.00	2.88	90.0	2.59
03/01/2018	NAIZER, JOHNNIE	AM FUNDS FUNDAMENTAL INVESTORS 529A	0.00	0.19	0.00	0.19	90.0	0.17
02/21/2018	ROSENTHAL, LUCILLE	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	44.54	0.00	44.54	90.0	40.09
02/21/2018	BRUECKNER, KIMBERLY	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	22.25	0.00	22.25	90.0	20.03
02/21/2018	NMN & NJN MGMT TRUST	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.79	0.00	1.79	90.0	1.61
02/21/2018	SCOTT, MONYAN	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	44.77	0.00	44.77	90.0	40.29
02/21/2018	DROMGOOLE, NONA	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	8.48	0.00	8.48	90.0	7.63
02/21/2018	GREER, GREGORY	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	4.21	0.00	4.21	90.0	3.79
02/21/2018	GREER, GREGORY	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	4.40	0.00	4.40	90.0	3.96
02/21/2018	EWING LIVING TRUST, JACK &	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	8.08	0.00	8.08	90.0	7.27
02/21/2018	IVICIC, MARY	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	4.04	0.00	4.04	90.0	3.64
03/01/2018	ENOCHS, LELAND	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	60.41	0.00	60.41	90.0	54.37
03/01/2018	ENOCHS, DONNA	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	8.09	0.00	8.09	90.0	7.28
03/01/2018	BRUECKNER, MICHAEL	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	18.66	0.00	18.66	90.0	16.79
03/01/2018	NAIZER, ROSANNE	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	3.50	0.00	3.50	90.0	3.15
03/01/2018	NAIZER, JOHNNIE	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	1.84	0.00	1.84	90.0	1.66
03/01/2018	OHE, EUGENIA	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	11.07	0.00	11.07	90.0	9.96
03/01/2018	OHE, EUGENIA	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	11.07	0.00	11.07	90.0	9.96
02/21/2018	ROSENTHAL, LUCILLE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	14.92	0.00	14.92	90.0	13.43
02/21/2018	FUESSEL IRREV TR, NORMAN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	59.27	0.00	59.27	90.0	53.34
02/21/2018	LUEDTKE, LOIS	AM FUNDS GROWTH FUND OF AMERICA A	0.00	43.70	0.00	43.70	90.0	39.33
02/21/2018	ASPRA, TRISSA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	3.37	0.00	3.37	90.0	3.03
02/21/2018	BRUECKNER, KIMBERLY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	22.84	0.00	22.84	90.0	20.56
02/21/2018	ROSIPAL, HERBERT	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.15	0.00	0.15	90.0	0.14
02/21/2018	KELLEY, DOLORES	AM FUNDS GROWTH FUND OF AMERICA A	0.00	6.72	0.00	6.72	90.0	6.05
02/21/2018	LAWHON, JACKIE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.45	0.00	0.45	90.0	0.41
02/21/2018	NMN & NJN MGMT TRUST	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.82	0.00	1.82	90.0	1.64
02/21/2018	BORGNE JR, ROBERT	AM FUNDS GROWTH FUND OF AMERICA A	0.00	7.82	0.00	7.82	90.0	7.04

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

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

^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 FUND 12B1 TRAILS</u></b>								
02/21/2018	LAWHON, STEVEN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	7.93	0.00	7.93	90.0	7.14
02/21/2018	SPECKELS, WARREN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	2.39	0.00	2.39	90.0	2.15
02/21/2018	MICHNA, RHYS	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.53	0.00	1.53	90.0	1.38
02/21/2018	MORRIS, JANINE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	21.76	0.00	21.76	90.0	19.58
02/21/2018	SCOTT, MONYAN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	46.56	0.00	46.56	90.0	41.90
02/21/2018	LAWHON, BRAEDEN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.99	0.00	0.99	90.0	0.89
02/21/2018	DROMGOOLE, NONA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	8.74	0.00	8.74	90.0	7.87
02/21/2018	GREER, GREGORY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	8.41	0.00	8.41	90.0	7.57
02/21/2018	GREER, GREGORY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	8.23	0.00	8.23	90.0	7.41
02/21/2018	MOORE, TERRY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	2.62	0.00	2.62	90.0	2.36
02/21/2018	OHE, DRAKE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.39	0.00	1.39	90.0	1.25
02/21/2018	OHE, EUGENIA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.93	0.00	0.93	90.0	0.84
02/21/2018	URBAN, LONNIE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	2.47	0.00	2.47	90.0	2.22
02/21/2018	LAWHON, MAISEN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.69	0.00	0.69	90.0	0.62
02/21/2018	IVICIC, MARY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	3.66	0.00	3.66	90.0	3.29
03/01/2018	PRAESEL, ARTHUR	AM FUNDS GROWTH FUND OF AMERICA A	0.00	281.17	0.00	281.17	90.0	253.05
03/01/2018	KORNEGAY, ALISA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	25.38	0.00	25.38	90.0	22.84
03/01/2018	ENOCHS, LELAND	AM FUNDS GROWTH FUND OF AMERICA A	0.00	58.83	0.00	58.83	90.0	52.95
03/01/2018	OHE, EUGENIA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	21.25	0.00	21.25	90.0	19.13
03/01/2018	BRUECKNER, MICHAEL	AM FUNDS GROWTH FUND OF AMERICA A	0.00	40.30	0.00	40.30	90.0	36.27
03/01/2018	BRUECKNER, KIMBERLY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	36.64	0.00	36.64	90.0	32.98
03/01/2018	ENOCHS, DONNA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	8.18	0.00	8.18	90.0	7.36
03/01/2018	GILLEY, BEVERLY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	198.72	0.00	198.72	90.0	178.85
03/01/2018	JAMES, BRITTNEY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.60	0.00	0.60	90.0	0.54
02/21/2018	DROMGOOLE, NONA	AM FUNDS ICA A	0.00	6.97	0.00	6.97	90.0	6.27
02/21/2018	EWING JR, JACK	AM FUNDS ICA A	0.00	10.13	0.00	10.13	90.0	9.12
03/01/2018	KORNEGAY, ALISA	AM FUNDS ICA A	0.00	23.04	0.00	23.04	90.0	20.74
02/21/2018	CHEATHAM, JIMMY	AM FUNDS INCOME FUND OF AMERICA A	0.00	11.74	0.00	11.74	90.0	10.57
02/21/2018	PRAESEL, ARTHUR	AM FUNDS INCOME FUND OF AMERICA A	0.00	27.49	0.00	27.49	90.0	24.74
02/21/2018	ROSENTHAL, LUCILLE	AM FUNDS INCOME FUND OF AMERICA A	0.00	42.33	0.00	42.33	90.0	38.10
02/21/2018	FUESSEL, NORMAN	AM FUNDS INCOME FUND OF AMERICA A	0.00	19.80	0.00	19.80	90.0	17.82
02/21/2018	FUESSEL NE & NA TR, NORMAN	AM FUNDS INCOME FUND OF AMERICA A	0.00	19.21	0.00	19.21	90.0	17.29
02/21/2018	BRUECKNER, KIMBERLY	AM FUNDS INCOME FUND OF AMERICA A	0.00	11.40	0.00	11.40	90.0	10.26

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

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

^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 FUND 12B1 TRAILS</u></b>								
02/21/2018	KELLEY, DOLORES	AM FUNDS INCOME FUND OF AMERICA A	0.00	5.46	0.00	5.46	90.0	4.91
02/21/2018	SPECKELS, MELBA	AM FUNDS INCOME FUND OF AMERICA A	0.00	2.17	0.00	2.17	90.0	1.95
02/21/2018	FISCHER, HAROLD	AM FUNDS INCOME FUND OF AMERICA A	0.00	1.74	0.00	1.74	90.0	1.57
02/21/2018	HAMITER, DONNIE	AM FUNDS INCOME FUND OF AMERICA A	0.00	9.23	0.00	9.23	90.0	8.31
02/21/2018	MORRIS, JANINE	AM FUNDS INCOME FUND OF AMERICA A	0.00	14.82	0.00	14.82	90.0	13.34
02/21/2018	SCOTT, MONYAN	AM FUNDS INCOME FUND OF AMERICA A	0.00	30.43	0.00	30.43	90.0	27.39
02/21/2018	KLEMT, RUTH	AM FUNDS INCOME FUND OF AMERICA A	0.00	1.96	0.00	1.96	90.0	1.76
02/21/2018	WILSON, MARY	AM FUNDS INCOME FUND OF AMERICA A	0.00	5.46	0.00	5.46	90.0	4.91
02/21/2018	GREER, GREGORY	AM FUNDS INCOME FUND OF AMERICA A	0.00	1.71	0.00	1.71	90.0	1.54
02/21/2018	GREER, GREGORY	AM FUNDS INCOME FUND OF AMERICA A	0.00	1.98	0.00	1.98	90.0	1.78
02/21/2018	EWING LIVING TRUST, JACK &	AM FUNDS INCOME FUND OF AMERICA A	0.00	17.71	0.00	17.71	90.0	15.94
03/01/2018	PRAESEL, ARTHUR	AM FUNDS INCOME FUND OF AMERICA A	0.00	71.12	0.00	71.12	90.0	64.01
03/01/2018	NAIZER, ROSANNE	AM FUNDS INTL GROWTH AND INCOME 529	0.00	0.99	0.00	0.99	90.0	0.89
03/01/2018	NAIZER, JOHNNIE	AM FUNDS INTL GROWTH AND INCOME 529	0.00	1.30	0.00	1.30	90.0	1.17
02/21/2018	NMN & NJN MGMT TRUST	AM FUNDS INTL GROWTH AND INCOME A	0.00	0.70	0.00	0.70	90.0	0.63
02/21/2018	DROMGOOLE, NONA	AM FUNDS INTL GROWTH AND INCOME A	0.00	5.41	0.00	5.41	90.0	4.87
02/21/2018	BRUECKNER, KIMBERLY	AM FUNDS NEW ECONOMY A	0.00	16.48	0.00	16.48	90.0	14.83
02/21/2018	WILSON, MARY	AM FUNDS NEW ECONOMY A	0.00	13.55	0.00	13.55	90.0	12.20
03/01/2018	ENOCHS, DONNA	AM FUNDS NEW ECONOMY A	0.00	21.31	0.00	21.31	90.0	19.18
03/01/2018	OHE, EUGENIA	AM FUNDS NEW ECONOMY A	0.00	9.19	0.00	9.19	90.0	8.27
02/21/2018	BRUECKNER, KIMBERLY	AM FUNDS NEW PERSPECTIVE A	0.00	13.73	0.00	13.73	90.0	12.36
02/21/2018	MORRIS, JANINE	AM FUNDS NEW PERSPECTIVE A	0.00	23.25	0.00	23.25	90.0	20.93
02/21/2018	SCOTT, MONYAN	AM FUNDS NEW PERSPECTIVE A	0.00	41.18	0.00	41.18	90.0	37.06
03/01/2018	PRAESEL, ARTHUR	AM FUNDS NEW PERSPECTIVE A	0.00	234.20	0.00	234.20	90.0	210.78
03/01/2018	OHE, EUGENIA	AM FUNDS NEW PERSPECTIVE A	0.00	8.87	0.00	8.87	90.0	7.98
03/01/2018	NAIZER, ROSANNE	AM FUNDS NEW WORLD 529A	0.00	0.07	0.00	0.07	90.0	0.06
03/01/2018	NAIZER, JOHNNIE	AM FUNDS NEW WORLD 529A	0.00	0.14	0.00	0.14	90.0	0.13
02/21/2018	NMN & NJN MGMT TRUST	AM FUNDS NEW WORLD A	0.00	0.36	0.00	0.36	90.0	0.32
02/21/2018	DROMGOOLE, NONA	AM FUNDS NEW WORLD A	0.00	5.34	0.00	5.34	90.0	4.81
02/21/2018	BRUECKNER, KIMBERLY	AM FUNDS SMALLCAP WORLD A	0.00	12.13	0.00	12.13	90.0	10.92
02/21/2018	NMN & NJN MGMT TRUST	AM FUNDS SMALLCAP WORLD A	0.00	1.57	0.00	1.57	90.0	1.41
02/21/2018	DROMGOOLE, NONA	AM FUNDS SMALLCAP WORLD A	0.00	1.98	0.00	1.98	90.0	1.78
02/21/2018	GREER, GREGORY	AM FUNDS SMALLCAP WORLD A	0.00	1.80	0.00	1.80	90.0	1.62

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

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

^Date - Split Trade - full Investment Amount &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 FUND 12B1 TRAILS</u></b>								
02/21/2018	GREER, GREGORY	AM FUNDS SMALLCAP WORLD A	0.00	2.15	0.00	2.15	90.0	1.94
03/01/2018	OHE, EUGENIA	AM FUNDS SMALLCAP WORLD A	0.00	9.47	0.00	9.47	90.0	8.52
03/01/2018	NAIZER, ROSANNE	AM FUNDS SMALLCAP WORLD-529A	0.00	2.58	0.00	2.58	90.0	2.32
03/01/2018	NAIZER, JOHNNIE	AM FUNDS SMALLCAP WORLD-529A	0.00	1.64	0.00	1.64	90.0	1.48
02/21/2018	FUESSEL, NORMAN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	17.65	0.00	17.65	90.0	15.89
02/21/2018	FUESSEL IRREV TR, NORMAN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	9.50	0.00	9.50	90.0	8.55
02/21/2018	FUESSEL NE & NA TR, NORMAN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	75.28	0.00	75.28	90.0	67.75
02/21/2018	BRUECKNER, KIMBERLY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	13.95	0.00	13.95	90.0	12.56
02/21/2018	KORNEGAY, ALISA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.35	0.00	0.35	90.0	0.32
02/21/2018	KELLEY, DOLORES	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	9.48	0.00	9.48	90.0	8.53
02/21/2018	LAWHON, JACKIE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	53.78	0.00	53.78	90.0	48.40
02/21/2018	SPECKELS, WARREN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	2.99	0.00	2.99	90.0	2.69
02/21/2018	SPECKELS, MELBA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	2.02	0.00	2.02	90.0	1.82
02/21/2018	SPECKELS, MELBA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.84	0.00	1.84	90.0	1.66
02/21/2018	GILLIGAN, DOROTHY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	8.46	0.00	8.46	90.0	7.61
02/21/2018	STOLTE, VERNALINE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.68	0.00	0.68	90.0	0.61
02/21/2018	MORRIS, JANINE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	22.58	0.00	22.58	90.0	20.32
02/21/2018	SMITH, MICHAEL	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.65	0.00	1.65	90.0	1.49
02/21/2018	BUROW, PAUL	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.62	0.00	1.62	90.0	1.46
02/21/2018	DALJO LTD PT	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	35.66	0.00	35.66	90.0	32.09
02/21/2018	HOHMAN, JEROME	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	6.44	0.00	6.44	90.0	5.80
02/21/2018	WILSON, MARY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	15.63	0.00	15.63	90.0	14.07
02/21/2018	WIESNER, BETTY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	4.09	0.00	4.09	90.0	3.68
02/21/2018	GREER, GREGORY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	6.03	0.00	6.03	90.0	5.43
02/21/2018	GREER, GREGORY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	6.01	0.00	6.01	90.0	5.41
02/21/2018	EWING LIVING TRUST, JACK &	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	27.58	0.00	27.58	90.0	24.82
02/21/2018	URBAN, LONNIE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	2.23	0.00	2.23	90.0	2.01
02/21/2018	IVICIC, MARY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	4.05	0.00	4.05	90.0	3.65
03/01/2018	FISCHER, DOROTHY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	16.77	0.00	16.77	90.0	15.09
03/01/2018	HAMITER, DONNIE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	15.86	0.00	15.86	90.0	14.27
03/01/2018	LOGHRY, DORIS	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	22.18	0.00	22.18	90.0	19.96
03/01/2018	JAMES, JERRI	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	5.84	0.00	5.84	90.0	5.26
03/01/2018	ENOCHS, LELAND	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	51.32	0.00	51.32	90.0	46.19

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

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

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

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b><u>DIRECT TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u></b>								
03/01/2018	JAMES, JERRI	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	5.95	0.00	5.95	90.0	5.36
03/01/2018	OHE, EUGENIA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	18.47	0.00	18.47	90.0	16.62
03/01/2018	ENOCHS, DONNA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	7.80	0.00	7.80	90.0	7.02
03/01/2018	MEYER, KATHY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.91	0.00	1.91	90.0	1.72
03/01/2018	SPECKELS, WARREN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	2.23	0.00	2.23	90.0	2.01
03/01/2018	MICHNA, DENISE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	3.24	0.00	3.24	90.0	2.92
03/01/2018	KRIEGEL, ROBERT	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.85	0.00	1.85	90.0	1.67
03/01/2018	LAWHON, STEVEN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	39.11	0.00	39.11	90.0	35.20
03/01/2018	GILLEY, BEVERLY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	141.79	0.00	141.79	90.0	127.61
03/01/2018	COLLINS, TYLER	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.02	0.00	0.02	90.0	0.02
03/01/2018	BRUECKNER, MICHAEL	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	16.84	0.00	16.84	90.0	15.16
01/31/2018	NAIZER, JOHNNIE	BLACKROCK 19452W490	0.00	2.08	0.00	2.08	90.0	1.87
01/31/2018	SMITH, MARLO	BLACKROCK 19452W490	0.00	0.50	0.00	0.50	90.0	0.45
01/31/2018	KORNEGAY, ALISA	BLACKROCK 19452W490	0.00	1.30	0.00	1.30	90.0	1.17
01/31/2018	SMITH, MARLO	BLK AGG GROWTH A	0.00	0.41	0.00	0.41	90.0	0.37
02/22/2018	EWING JR, JACK	BLK GLOBAL ALLOCATION C	0.00	17.34	0.00	17.34	90.0	15.61
02/22/2018	EWING LIVING TRUST, JACK &	BLK GLOBAL ALLOCATION C	0.00	62.15	0.00	62.15	90.0	55.94
02/21/2018	SMITH, JUDY	CALAMOS GROWTH C	0.00	41.02	0.00	41.02	90.0	36.92
02/15/2018	PEMBERTON, PATRICIA	CLEARBRIDGE SMALL CAP GROWTH FUND C	0.00	4.42	0.00	4.42	90.0	3.98
02/15/2018	WIESNER, BETTY	COLUMBIA ACORN A	0.00	1.53	0.00	1.53	90.0	1.38
02/15/2018	MCELROY, BENNETT	COLUMBIA MARSICO FOCUSED EQUITIES F	0.00	10.39	0.00	10.39	90.0	9.35
02/16/2018	CHEATHAM, JIMMY	FEDERATED EQUITY INCOME A	0.00	5.91	0.00	5.91	90.0	5.32
02/16/2018	CHEATHAM, JIMMY	FEDERATED KAUFMANN FUND A	0.00	2.97	0.00	2.97	90.0	2.67
02/16/2018	CHEATHAM, JIMMY	FEDERATED MDT LARGE CAP VALUE FUND	0.00	2.09	0.00	2.09	90.0	1.88
02/16/2018	CHEATHAM, JIMMY	FEDERATED MDT MID CAP GROWTH STRATE	0.00	3.67	0.00	3.67	90.0	3.30
02/20/2018	ESCHBERGER TRUST, JACK & AGNES	FIDELITY ADV NEW INSIGHTS-CL A	0.00	0.75	0.00	0.75	90.0	0.68
02/20/2018	NMN & NUN MGMT TRUST	FIDELITY ADV NEW INSIGHTS-CL A	0.00	1.75	0.00	1.75	90.0	1.58
02/20/2018	NAIZER TRUST, NOLAN	FIDELITY ADV NEW INSIGHTS-CL A	0.00	0.40	0.00	0.40	90.0	0.36
02/20/2018	NAIZER TRUST, NOEL	FIDELITY ADV NEW INSIGHTS-CL A	0.00	0.25	0.00	0.25	90.0	0.23
02/20/2018	WIESNER, BETTY	FIDELITY ADV NEW INSIGHTS-CL A	0.00	4.09	0.00	4.09	90.0	3.68
02/20/2018	MCELROY, BENNETT	FIDELITY ADV STRATEGIC INCOME A	0.00	4.19	0.00	4.19	90.0	3.77
02/22/2018	COOPER, ADAM	FRANKLIN MUTUAL GLOBAL DISCOVERY A	0.00	4.20	0.00	4.20	90.0	3.78
02/22/2018	COOPER, ADAM	FRANKLIN MUTUAL GLOBAL DISCOVERY A	0.00	6.10	0.00	6.10	90.0	5.49

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

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

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



DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<b><u>DIRECT TRANSACTIONS</u></b>								
<b><u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u></b>								
02/22/2018	COOPER, ADAM	FRANKLIN MUTUAL QUEST A	0.00	5.33	0.00	5.33	90.0	4.80
02/22/2018	COOPER, ADAM	FRANKLIN RISING DIVIDENDS A	0.00	5.97	0.00	5.97	90.0	5.37
02/16/2018	ENOCHS, LELAND	GOLDMAN SACHS CAPITAL GROWTH FUND C	0.00	11.18	0.00	11.18	90.0	10.06
02/16/2018	ENOCHS, LELAND	GOLDMAN SACHS FOCUSED INTL EQUITY F	0.00	3.14	0.00	3.14	90.0	2.83
02/16/2018	HAMITER, DONNIE	GOLDMAN SACHS SMALL CAP VALUE FUND-	0.00	0.71	0.00	0.71	90.0	0.64
02/16/2018	STOLTE, VERNALINE	GOLDMAN SACHS U.S. EQUITY INSIGHTS	0.00	0.36	0.00	0.36	90.0	0.32
02/16/2018	BURKHART, KRISTI	GOLDMAN SACHS U.S. EQUITY INSIGHTS	0.00	1.88	0.00	1.88	90.0	1.69
02/16/2018	FUESSEL IRREV TR, NORMAN	GRIFFIN INSTITUTIONAL ACCESS REAL E	0.00	14.37	0.00	14.37	90.0	12.93
02/16/2018	MCRIGHT, WILLIAM	GRIFFIN INSTITUTIONAL ACCESS REAL E	0.00	1.59	0.00	1.59	90.0	1.43
02/16/2018	MCRIGHT, BETTY	GRIFFIN INSTITUTIONAL ACCESS REAL E	0.00	0.60	0.00	0.60	90.0	0.54
02/16/2018	BELL, EDDY	GRIFFIN INSTITUTIONAL ACCESS REAL E	0.00	3.13	0.00	3.13	90.0	2.82
02/16/2018	BELL, EDDY	GRIFFIN INSTITUTIONAL ACCESS REAL E	0.00	3.17	0.00	3.17	90.0	2.85
02/16/2018	BELL, PATTI	GRIFFIN INSTITUTIONAL ACCESS REAL E	0.00	1.43	0.00	1.43	90.0	1.29
02/16/2018	STAGNER TRUST, JAMES	GRIFFIN INSTITUTIONAL ACCESS REAL E	0.00	6.98	0.00	6.98	90.0	6.28
02/16/2018	PAULSEN, ROGER	GRIFFIN INSTITUTIONAL ACCESS REAL E	0.00	7.58	0.00	7.58	90.0	6.82
02/16/2018	BAGGETT, PETE	GRIFFIN INSTITUTIONAL ACCESS REAL E	0.00	7.48	0.00	7.48	90.0	6.73
02/16/2018	BAGGETT, JARROD	GRIFFIN INSTITUTIONAL ACCESS REAL E	0.00	3.22	0.00	3.22	90.0	2.90
02/16/2018	LUERSEN, JENNIFER	GRIFFIN INSTITUTIONAL ACCESS REAL E	0.00	10.72	0.00	10.72	90.0	9.65
02/20/2018	CHEATHAM, JIMMY	HARTFORD BALANCED A	0.00	1.00	0.00	1.00	90.0	0.90
02/20/2018	FLEMING, JERRY	HARTFORD BALANCED A	0.00	1.68	0.00	1.68	90.0	1.51
02/20/2018	RAESZ TTEE, BARBARA	HARTFORD BALANCED ALLOCATION A	0.00	4.32	0.00	4.32	90.0	3.89
02/20/2018	RAESZ TTEE, BARBARA	HARTFORD BALANCED ALLOCATION A	0.00	2.26	0.00	2.26	90.0	2.03
02/20/2018	TAISLER, JESSE	HARTFORD CAPITAL APP II A	0.00	1.89	0.00	1.89	90.0	1.70
02/20/2018	MASON, ELEANOR	HARTFORD CAPITAL APP II A	0.00	1.29	0.00	1.29	90.0	1.16
02/20/2018	SCOTT, MONYUAN	HARTFORD CAPITAL APP II A	0.00	17.84	0.00	17.84	90.0	16.06
/ /	MICHNA JT TEN WROS, JIMMY	HARTFORD CAPITAL APPRECIATION A	0.00	2.88	0.00	2.88	90.0	2.59
02/20/2018	CHEATHAM, JIMMY	HARTFORD CAPITAL APPRECIATION A	0.00	10.98	0.00	10.98	90.0	9.88
02/20/2018	ROSENTHAL, LUCILLE	HARTFORD CAPITAL APPRECIATION A	0.00	12.87	0.00	12.87	90.0	11.58
02/20/2018	BRUECKNER, KIMBERLY	HARTFORD CAPITAL APPRECIATION A	0.00	14.61	0.00	14.61	90.0	13.15
02/20/2018	HAMANN, LARRY	HARTFORD CAPITAL APPRECIATION A	0.00	10.71	0.00	10.71	90.0	9.64
02/20/2018	FLEMING, JERRY	HARTFORD CAPITAL APPRECIATION A	0.00	6.55	0.00	6.55	90.0	5.90
02/20/2018	TAISLER, JESSE	HARTFORD CAPITAL APPRECIATION A	0.00	1.41	0.00	1.41	90.0	1.27
02/20/2018	MOORE, TERRY	HARTFORD CAPITAL APPRECIATION C	0.00	27.53	0.00	27.53	90.0	24.78

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

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

^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 FUND 12B1 TRAILS</u></b>								
02/20/2018	CHEATHAM, JIMMY	HARTFORD DIVIDEND & GROWTH A	0.00	5.41	0.00	5.41	90.0	4.87
02/20/2018	BRUECKNER, KIMBERLY	HARTFORD DIVIDEND & GROWTH A	0.00	6.23	0.00	6.23	90.0	5.61
02/20/2018	HAMANN, LARRY	HARTFORD DIVIDEND & GROWTH A	0.00	4.72	0.00	4.72	90.0	4.25
02/20/2018	FLEMING, JERRY	HARTFORD DIVIDEND & GROWTH A	0.00	5.75	0.00	5.75	90.0	5.18
02/20/2018	TAISLER, JESSE	HARTFORD DIVIDEND & GROWTH A	0.00	2.16	0.00	2.16	90.0	1.94
/ /	EWING, JOHN	HARTFORD GROWTH ALLOCATION A	0.00	0.57	0.00	0.57	90.0	0.51
/ /	SMITH, MARLO	HARTFORD GROWTH ALLOCATION A	0.00	1.36	0.00	1.36	90.0	1.22
02/20/2018	RAESZ TTEE, BARBARA	HARTFORD GROWTH ALLOCATION A	0.00	4.29	0.00	4.29	90.0	3.86
02/20/2018	RAESZ TTEE, BARBARA	HARTFORD GROWTH ALLOCATION A	0.00	2.37	0.00	2.37	90.0	2.13
02/20/2018	EWING, JOHN	HARTFORD GROWTH ALLOCATION A	0.00	0.95	0.00	0.95	90.0	0.86
02/20/2018	ROSENTHAL, LUCILLE	HARTFORD GROWTH OPP A	0.00	12.57	0.00	12.57	90.0	11.31
02/20/2018	SCOTT, MONYAN	HARTFORD GROWTH OPP A	0.00	21.89	0.00	21.89	90.0	19.70
02/20/2018	ROSENTHAL, LUCILLE	HARTFORD INT'L GROWTH A	0.00	8.14	0.00	8.14	90.0	7.33
/ /	MICHNA JT TEN WROS, JIMMY	HARTFORD MIDCAP A	0.00	0.44	0.00	0.44	90.0	0.40
02/20/2018	CHEATHAM, JIMMY	HARTFORD MIDCAP A	0.00	8.08	0.00	8.08	90.0	7.27
02/20/2018	FLEMING, JERRY	HARTFORD MIDCAP A	0.00	5.99	0.00	5.99	90.0	5.39
02/20/2018	ROSENTHAL, LUCILLE	HARTFORD MIDCAP VALUE A	0.00	14.02	0.00	14.02	90.0	12.62
02/20/2018	MASON, ELEANOR	HARTFORD MIDCAP VALUE A	0.00	0.85	0.00	0.85	90.0	0.77
02/20/2018	BRUECKNER, KIMBERLY	HARTFORD SMALL-COMPANY FUND CLASS A	0.00	6.36	0.00	6.36	90.0	5.72
02/20/2018	TAISLER, JESSE	HARTFORD VALUE OPPORTUNITY FUND CLA	0.00	2.10	0.00	2.10	90.0	1.89
02/20/2018	MASON, ELEANOR	HARTFUND EQUITY INCIME FUND A	0.00	0.74	0.00	0.74	90.0	0.67
02/16/2018	ESCHBERGER TRUST, JACK & AGNESJH	DISCIPLINED VALUE A	0.00	1.42	0.00	1.42	90.0	1.28
02/16/2018	ROSENTHAL, LUCILLE	JH DISCIPLINED VALUE A	0.00	0.72	0.00	0.72	90.0	0.65
02/16/2018	SCARBOROUGH, ROBERT	JH DISCIPLINED VALUE A	0.00	1.12	0.00	1.12	90.0	1.01
02/16/2018	NMN & NUN MGMT TRUST	JH DISCIPLINED VALUE A	0.00	3.45	0.00	3.45	90.0	3.11
02/16/2018	NAIZER TRUST, NOLAN	JH DISCIPLINED VALUE A	0.00	0.65	0.00	0.65	90.0	0.59
02/16/2018	NAIZER TRUST, NOEL	JH DISCIPLINED VALUE A	0.00	0.47	0.00	0.47	90.0	0.42
02/16/2018	OLSON, DALE	JH DISCIPLINED VALUE A	0.00	2.77	0.00	2.77	90.0	2.49
02/16/2018	MCELROY, BENNETT	JH STRATEGIC INCOME A	0.00	4.15	0.00	4.15	90.0	3.74
02/16/2018	SCARBOROUGH, ROBERT	JOHN HANCOCK GLOBAL ABSOLUTE RETURN	0.00	0.75	0.00	0.75	90.0	0.68
02/16/2018	NMN & NUN MGMT TRUST	JOHN HANCOCK GLOBAL ABSOLUTE RETURN	0.00	1.83	0.00	1.83	90.0	1.65
02/16/2018	NAIZER TRUST, NOLAN	JOHN HANCOCK GLOBAL ABSOLUTE RETURN	0.00	0.10	0.00	0.10	90.0	0.09
02/16/2018	NAIZER TRUST, NOEL	JOHN HANCOCK GLOBAL ABSOLUTE RETURN	0.00	0.19	0.00	0.19	90.0	0.17

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

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

^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 FUND 12B1 TRAILS</u></b>								
02/16/2018	OLSON, DALE	JOHN HANCOCK GLOBAL ABSOLUTE RETURN	0.00	0.57	0.00	0.57	90.0	0.51
02/16/2018	MASON, JOHN	JOHN HANCOCK GLOBAL ABSOLUTE RETURN	0.00	6.27	0.00	6.27	90.0	5.64
02/22/2018	CHEATHAM, JIMMY	LORD ABBETT AFFILIATED A	0.00	2.03	0.00	2.03	90.0	1.83
02/22/2018	SPECKELS, MELBA	LORD ABBETT AFFILIATED A	0.00	0.87	0.00	0.87	90.0	0.78
02/22/2018	CHEATHAM, JIMMY	LORD ABBETT ALPHA STRATEGY A	0.00	4.35	0.00	4.35	90.0	3.92
02/22/2018	FUESSEL NE & NA TR, NORMAN	LORD ABBETT BOND DEBENTURE A	0.00	6.42	0.00	6.42	90.0	5.78
02/22/2018	CHEATHAM, JIMMY	LORD ABBETT CALIBRATED DIVIDEND GRO	0.00	2.54	0.00	2.54	90.0	2.29
02/22/2018	FUESSEL IRREV TR, NORMAN	LORD ABBETT CALIBRATED DIVIDEND GRO	0.00	13.53	0.00	13.53	90.0	12.18
02/22/2018	BRUECKNER, KIMBERLY	LORD ABBETT CALIBRATED DIVIDEND GRO	0.00	8.94	0.00	8.94	90.0	8.05
02/22/2018	SPECKELS, MELBA	LORD ABBETT CALIBRATED DIVIDEND GRO	0.00	1.07	0.00	1.07	90.0	0.96
02/22/2018	CHEATHAM, JIMMY	LORD ABBETT DEVELOPING GROWTH A	0.00	4.37	0.00	4.37	90.0	3.93
02/22/2018	FUESSEL IRREV TR, NORMAN	LORD ABBETT DEVELOPING GROWTH A	0.00	15.91	0.00	15.91	90.0	14.32
02/22/2018	BRUECKNER, KIMBERLY	LORD ABBETT FUNDAMENTAL EQUITY A	0.00	11.56	0.00	11.56	90.0	10.40
02/22/2018	SPECKELS, MELBA	LORD ABBETT FUNDAMENTAL EQUITY A	0.00	0.86	0.00	0.86	90.0	0.77
02/22/2018	SPECKELS, MELBA	LORD ABBETT GROWTH OPPORTUNITIES FU	0.00	0.67	0.00	0.67	90.0	0.60
02/22/2018	STAGNER TRUST, JAMES	LORD ABBETT INVT TR FLTG RATE A	0.00	6.87	0.00	6.87	90.0	6.18
02/22/2018	CHEATHAM, JIMMY	LORD ABBETT MID CAP STOCK A	0.00	7.75	0.00	7.75	90.0	6.98
02/22/2018	FUESSEL IRREV TR, NORMAN	LORD ABBETT MID CAP STOCK A	0.00	18.23	0.00	18.23	90.0	16.41
02/22/2018	BRUECKNER, KIMBERLY	LORD ABBETT MID CAP STOCK A	0.00	10.96	0.00	10.96	90.0	9.86
02/21/2018	ROSENTHAL, LUCILLE	LTD TERM TAX-EX BOND FUND OF AMERIC	0.00	4.86	0.00	4.86	90.0	4.37
02/13/2018	PEARSON, GRANT	MFS LIFETIME RETIREMENT INCOME FUND	0.00	44.77	0.00	44.77	90.0	40.29
02/13/2018	MCELROY, BENNETT	MFS VALUE A	0.00	10.42	0.00	10.42	90.0	9.38
02/21/2018	MASON, JOHN	NEUBERGER BERMAN LONG SHORT FUND CL	0.00	5.34	0.00	5.34	90.0	4.81
02/22/2018	WIESNER, BETTY	OPPENHEIMER GLOBAL STRATEGIC INC A	0.00	1.64	0.00	1.64	90.0	1.48
02/21/2018	FUESSEL IRREV TR, NORMAN	PUTNAM ASSET ALLOC GROWTH A	0.00	18.84	0.00	18.84	90.0	16.96
02/14/2018	KURTH, KARIANNE	TRANSAMERICA AA GROWTH C	0.00	42.45	0.00	42.45	90.0	38.21
02/14/2018	KURTH, DEREK	TRANSAMERICA AA GROWTH C	0.00	50.83	0.00	50.83	90.0	45.75
02/14/2018	KURTH, DEREK	TRANSAMERICA AA GROWTH C	0.00	31.21	0.00	31.21	90.0	28.09
02/14/2018	KURTH, DEREK	TRANSAMERICA AA GROWTH C	0.00	2.16	0.00	2.16	90.0	1.94
02/14/2018	KURTH, DEREK	TRANSAMERICA AA GROWTH C	0.00	2.16	0.00	2.16	90.0	1.94
02/14/2018	HERNANDEZ-GAGE, VIRGINIA	TRANSAMERICA AA MOD GROWTH C	0.00	4.58	0.00	4.58	90.0	4.12
02/14/2018	KURTH, DEREK	TRANSAMERICA AA MOD GROWTH C	0.00	6.92	0.00	6.92	90.0	6.23
<b>* MUTUAL FUND 12B1 TRAILS SUBTOTAL *</b>			<b>\$0.00</b>	<b>\$4,525.80</b>	<b>\$0.00</b>	<b>\$4,525.80</b>		<b>\$4,073.38</b>

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

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

^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: VARIABLE ANNUITY 12B1 TRAILS</u></b>								
02/23/2018	MCRIGHT, BETTY	PAC LIFE VALUE	0.00	20.46	0.00	20.46	90.0	18.41
* VARIABLE ANNUITY 12B1 TRAILS SUBTOTAL *			\$0.00	\$20.46	\$0.00	\$20.46		\$18.41
*** DIRECT TRANSACTIONS TOTAL ***			\$974,704.12	\$5,343.61	\$0.00	\$5,343.61		\$4,809.41

**ADJUSTMENTS**

03/15/2018	*AI INSIGHT: CURRENT MONTH	0.00						-7.00
03/15/2018	*ALBRIDGE: LIGHT USER	0.00						-76.00
03/15/2018	*DOCUSIGN: CURRENT MONTH	0.00						-18.00
03/15/2018	*EO INS: CURRENT MONTH INS	0.00						-300.00
03/15/2018	*GLOBAL RELAY: FACEBOOK	0.00						-5.00
03/15/2018	*GLOBAL RELAY: WEBSITE	0.00						-15.00
03/15/2018	*LASER APP: CURRENT MONTH	0.00						-18.00
03/15/2018	*PERSHING: MANDATORY REORG - WE	0.00						-10.00
03/15/2018	*PERSHING: MANDATORY REORG - OHE	0.00						-10.00
03/15/2018	*PERSHING: BASIS TRACKING 234 ACCTS	0.00						-234.00
03/15/2018	*PERSHING: MF PROSPECTUS MAILING	0.00						-8.43
03/15/2018	*PERSHING: MANDATORY REORG - LIMMER	0.00						-10.00
03/15/2018	*TECHNOLOGY: CURRENT MONTH BASIC	0.00						-180.00
*** ADJUSTMENTS TOTAL ***			\$0.00	\$0.00	\$0.00	\$0.00		\$-891.43

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

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

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

**BROKER COMMISSION TOTALS**

Broker Transactions	\$4,782.75
Split Transactions	\$0.00
Override Transactions	\$0.00
Adjustments	\$-891.43
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$0.00
FINRA Assessment	\$0.00
SIPC Assessment	\$0.00

Check Amount	\$3,891.32
Year-to-date Gross	\$114,420.62
Year-to-date Earnings	\$102,816.54