



Concorde Investment Services, LLC
COMMISSION STATEMENT
May 15, 2018

05/11/2018
Page No. 1

MARC, L134 LINSKY
104 B. Centre Blvd

Marlton, NJ 08053

BROKER #: L134
BRANCH: E STREET FINANCIAL L

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>CLEARING TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
04/30/2018	STRAUS, KAREN	LORD ABBETT BOND DEBENTURE A	-5,000.00	0.00	0.00	0.00	90.0	0.00
		* MUTUAL FUNDS SUBTOTAL *	\$-5,000.00	\$0.00	\$0.00	\$0.00		\$0.00
<u>PRODUCT CATEGORY: STOCKS</u>								
05/10/2018	KRAMER, LARRY	CISCO SYSTEMS INC	-8,138.84	30.00	22.50	7.50	90.0	6.75
		* STOCKS SUBTOTAL *	\$-8,138.84	\$30.00	\$22.50	\$7.50		\$6.75
		*** CLEARING TRANSACTIONS TOTAL ***	\$-13,138.84	\$30.00	\$22.50	\$7.50		\$6.75

<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: 529 PLANS</u>								
05/01/2018	CHERRY, ADAM	AM FUNDS AMERICAN BALANCED 529C	1,000.00	10.00	0.00	10.00	90.0	9.00
05/01/2018	WALENCZYK, BRENDA	AM FUNDS CAPITAL WORLD GRTH & INC 5	400.00	15.00	0.00	15.00	90.0	13.50
05/01/2018	WALENCZYK, BRENDA	AM FUNDS WASHINGTON MUTUAL INVESTOR	400.00	15.00	0.00	15.00	90.0	13.50
/ /	GOLDBERG, SCOTT	WVA AGE-BASED PORTFOLIO 14-15 A	0.00	10.00	0.00	10.00	90.0	9.00
/ /	GOLDBERG, SCOTT	WVA AGE-BASED PORTFOLIO 18+ A	0.00	7.50	0.00	7.50	90.0	6.75
04/30/2018	GOLDBERG, SCOTT	WVA AGE-BASED PORTFOLIO 18+ A	150.00	3.75	0.00	3.75	90.0	3.38
		* 529 PLANS SUBTOTAL *	\$1,950.00	\$61.25	\$0.00	\$61.25		\$55.13
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
05/01/2018	BENFER, ANDREW	AM FUNDS FUNDAMENTAL INVESTORS A	225.00	9.56	0.00	9.56	90.0	8.60
		* MUTUAL FUNDS SUBTOTAL *	\$225.00	\$9.56	\$0.00	\$9.56		\$8.60

<u>PRODUCT CATEGORY: VARIABLE ANNUITIES</u>								
05/04/2018	CHEESEMAN, DIANE	JNL PERSPECTIVE II 04/14	300.00	21.00	0.00	21.00	90.0	18.90
04/30/2018	OTT, CAROL	JOHN HANCOCK VENTURE	13,965.97	2.91	0.00	2.91	90.0	2.62
04/30/2018	CAMPBELL, BARBARA	JOHN HANCOCK VENTURE III	197,696.15	164.75	0.00	164.75	90.0	148.28

NOTES: * - Indicates adjustment is not included in 1099 Earnings
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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>DIRECT TRANSACTIONS</u>								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS								
* VARIABLE ANNUITIES SUBTOTAL *			\$211,962.12	\$188.66	\$0.00	\$188.66		\$169.80
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS								
04/17/2018	CENTANNI, RICHARD	ALLIANCEBERNSTEIN SMALL/MID CAP VAL	0.00	0.93	0.00	0.93	90.0	0.84
04/17/2018	TRICHON, DONNA-LYNN	ALLIANCEBERNSTEIN SMALL/MID-CAP GRW	0.00	14.61	0.00	14.61	90.0	13.15
04/12/2018	CHIECO, DANIEL	AM CENT EQUITY INCOME	0.00	4.62	0.00	4.62	90.0	4.16
04/19/2018	MEDIA ENTERPRISES	AM FUNDS AMCAP A	0.00	4.30	0.00	4.30	90.0	3.87
04/19/2018	GREENWELL, MARION	AM FUNDS AMCAP C	0.00	7.14	0.00	7.14	90.0	6.43
04/19/2018	GREENWELL, MARION	AM FUNDS AMCAP F1	0.00	0.47	0.00	0.47	90.0	0.42
04/19/2018	BERK, SHERRI	AM FUNDS AMERICAN BALANCED A	0.00	0.19	0.00	0.19	90.0	0.17
04/19/2018	MELVIN, MARY THOMPSON	AM FUNDS AMERICAN BALANCED A	0.00	1.54	0.00	1.54	90.0	1.39
04/19/2018	TAYLOR, THOMAS	AM FUNDS AMERICAN BALANCED A	0.00	0.50	0.00	0.50	90.0	0.45
04/19/2018	TAYLOR, DIANE	AM FUNDS AMERICAN BALANCED A	0.00	0.50	0.00	0.50	90.0	0.45
04/19/2018	APPLEGATE, PAMAEALA	AM FUNDS AMERICAN BALANCED A	0.00	1.03	0.00	1.03	90.0	0.93
04/19/2018	RIZZO, DIANE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.00	0.00	1.00	90.0	0.90
04/19/2018	APPLEGATE, PAMAEALA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.82	0.00	0.82	90.0	0.74
04/19/2018	LINSKY, LISA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	4.11	0.00	4.11	90.0	3.70
04/19/2018	MEDIA ENTERPRISES	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	3.27	0.00	3.27	90.0	2.94
04/19/2018	RIZZO, DIANE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.37	0.00	1.37	90.0	1.23
04/19/2018	MELVIN, GREG	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.78	0.00	0.78	90.0	0.70
04/19/2018	POLLAN, JACLYN	AM FUNDS CAPITAL WORLD GRTH & INC C	0.00	2.99	0.00	2.99	90.0	2.69
04/19/2018	FLEISCH, ROBERT	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	14.01	0.00	14.01	90.0	12.61
04/19/2018	MELVIN, MARY THOMPSON	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.66	0.00	1.66	90.0	1.49
04/19/2018	CHERRY, AYDEN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.00	0.00	1.00	90.0	0.90
04/19/2018	LINSKY, LISA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	5.11	0.00	5.11	90.0	4.60
04/19/2018	RIZZO, DIANE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.69	0.00	1.69	90.0	1.52
04/19/2018	OLIVETI, FRANK	AM FUNDS GROWTH FUND OF AMERICA A	0.00	6.99	0.00	6.99	90.0	6.29
04/19/2018	BERK, SHERRI	AM FUNDS GROWTH FUND OF AMERICA A	0.00	5.35	0.00	5.35	90.0	4.82
04/19/2018	PERETTI, TERESA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	2.00	0.00	2.00	90.0	1.80
04/19/2018	CENTANNI, BETTY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.43	0.00	0.43	90.0	0.39
04/19/2018	CENTANNI, RICHARD	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.06	0.00	1.06	90.0	0.95
04/19/2018	AYES, NICOLE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.77	0.00	1.77	90.0	1.59
04/19/2018	NATHAN, EDWARD	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.73	0.00	0.73	90.0	0.66
04/19/2018	NATHAN, EDWARD	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.18	0.00	1.18	90.0	1.06

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
04/19/2018	NATHAN, SUSAN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.72	0.00	0.72	90.0	0.65
04/19/2018	SPECTER, LINDSAY	AM FUNDS GROWTH FUND OF AMERICA C	0.00	3.01	0.00	3.01	90.0	2.71
04/19/2018	POLLAN, JACLYN	AM FUNDS GROWTH FUND OF AMERICA F1	0.00	2.96	0.00	2.96	90.0	2.66
04/19/2018	SPECTER, LINDSAY	AM FUNDS GROWTH FUND OF AMERICA F1	0.00	6.07	0.00	6.07	90.0	5.46
04/19/2018	SPECTER, SHELBY	AM FUNDS GROWTH FUND OF AMERICA F1	0.00	6.16	0.00	6.16	90.0	5.54
04/19/2018	RIZZO, DIANE	AM FUNDS ICA A	0.00	1.61	0.00	1.61	90.0	1.45
04/19/2018	FLEISCH, ROBERT	AM FUNDS ICA A	0.00	9.63	0.00	9.63	90.0	8.67
04/19/2018	BOND-HILTNER, LINDA	AM FUNDS ICA A	0.00	0.72	0.00	0.72	90.0	0.65
04/19/2018	LINSKY, MARC	AM FUNDS ICA A	0.00	1.17	0.00	1.17	90.0	1.05
04/19/2018	NATHAN, EDWARD	AM FUNDS ICA A	0.00	0.61	0.00	0.61	90.0	0.55
04/19/2018	NATHAN, EDWARD	AM FUNDS ICA A	0.00	1.00	0.00	1.00	90.0	0.90
04/19/2018	NATHAN, SUSAN	AM FUNDS ICA A	0.00	0.61	0.00	0.61	90.0	0.55
04/19/2018	TAYLOR, THOMAS	AM FUNDS ICA A	0.00	0.62	0.00	0.62	90.0	0.56
04/19/2018	TAYLOR, DIANE	AM FUNDS ICA A	0.00	0.62	0.00	0.62	90.0	0.56
04/19/2018	APPLEGATE, PAMAELA	AM FUNDS ICA A	0.00	1.08	0.00	1.08	90.0	0.97
04/19/2018	SPECTER, SHELBY	AM FUNDS ICA C	0.00	5.77	0.00	5.77	90.0	5.19
04/19/2018	SPECTER TRUST, STEPHANIE	AM FUNDS ICA F1	0.00	13.52	0.00	13.52	90.0	12.17
04/19/2018	SPECTER, LINDSAY	AM FUNDS ICA F1	0.00	5.24	0.00	5.24	90.0	4.72
04/19/2018	SPECTER, SHELBY	AM FUNDS ICA F1	0.00	5.02	0.00	5.02	90.0	4.52
04/19/2018	GARAFOLA, MICHAEL	AM FUNDS INCOME FUND OF AMERICA A	0.00	5.09	0.00	5.09	90.0	4.58
04/19/2018	GARAFOLA, GRACE	AM FUNDS INCOME FUND OF AMERICA A	0.00	4.46	0.00	4.46	90.0	4.01
04/19/2018	GARAFOLA, MICHAEL	AM FUNDS INCOME FUND OF AMERICA A	0.00	20.80	0.00	20.80	90.0	18.72
04/19/2018	MEDIA ENTERPRISES	AM FUNDS INCOME FUND OF AMERICA A	0.00	3.19	0.00	3.19	90.0	2.87
04/19/2018	TAYLOR, THOMAS	AM FUNDS NEW PERSPECTIVE A	0.00	0.83	0.00	0.83	90.0	0.75
04/19/2018	TAYLOR, DIANE	AM FUNDS NEW PERSPECTIVE A	0.00	0.83	0.00	0.83	90.0	0.75
04/19/2018	APPLEGATE, PAMAELA	AM FUNDS NEW PERSPECTIVE A	0.00	1.18	0.00	1.18	90.0	1.06
04/19/2018	MELVIN, MARY THOMPSON	AM FUNDS SMALLCAP WORLD A	0.00	1.68	0.00	1.68	90.0	1.51
04/19/2018	OLIVETI, FRANK	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	6.13	0.00	6.13	90.0	5.52
04/19/2018	BOND-HILTNER, LINDA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.72	0.00	0.72	90.0	0.65
04/19/2018	PERETTI, TERESA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.54	0.00	1.54	90.0	1.39
04/19/2018	LINSKY, MARC	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.16	0.00	1.16	90.0	1.04
04/19/2018	NATHAN, EDWARD	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.60	0.00	0.60	90.0	0.54
04/19/2018	NATHAN, EDWARD	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.99	0.00	0.99	90.0	0.89

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
04/19/2018	NATHAN, SUSAN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.60	0.00	0.60	90.0	0.54
04/12/2018	O'DONNELL, PATRICIA	AMERICAN CENTURY STRATEGIC ALLOC MO	0.00	2.84	0.00	2.84	90.0	2.56
04/19/2018	PLEVAK, MICHAEL	BLACKROCK EQUITY DIVIDEND FUND CL C	0.00	18.91	0.00	18.91	90.0	17.02
04/20/2018	PERETTI, TERESA	CALAMOS GROWTH A	0.00	1.62	0.00	1.62	90.0	1.46
04/20/2018	DUBIN, JON	CALAMOS GROWTH A	0.00	5.07	0.00	5.07	90.0	4.56
04/24/2018	MEDIA ENTERPRISES	COLUMBIA ACORN A	0.00	1.19	0.00	1.19	90.0	1.07
04/24/2018	FLEISCH, ROBERT	COLUMBIA ACORN A	0.00	16.13	0.00	16.13	90.0	14.52
04/24/2018	FLEISCH, ROBERT	COLUMBIA ACORN SELECT A	0.00	8.16	0.00	8.16	90.0	7.34
04/24/2018	MEDIA ENTERPRISES	COLUMBIA ACORN USA FUND CLASS A	0.00	3.04	0.00	3.04	90.0	2.74
04/24/2018	BOWERS, DORA	COLUMBIA DIVERSIFIED EQUITY INCOME	0.00	1.14	0.00	1.14	90.0	1.03
04/24/2018	MEDIA ENTERPRISES	COLUMBIA EQUITY VALUE A	0.00	0.31	0.00	0.31	90.0	0.28
04/24/2018	MEDIA ENTERPRISES	COLUMBIA LARGE CAP GROWTH A	0.00	0.36	0.00	0.36	90.0	0.32
04/24/2018	MELVIN, GREG	COLUMBIA MARSICO FOCUSED EQUITIES F	0.00	1.03	0.00	1.03	90.0	0.93
04/24/2018	MEDIA ENTERPRISES	COLUMBIA MIDCAP VALUE A	0.00	2.51	0.00	2.51	90.0	2.26
04/24/2018	BOWERS, DORA	COLUMBIA SELECT LARGE CAP GROWTH FU	0.00	1.18	0.00	1.18	90.0	1.06
04/24/2018	FLEISCH, ROBERT	COLUMBIA SMALL CAP INDEX FUND CLASS	0.00	12.34	0.00	12.34	90.0	11.11
04/24/2018	BOWERS, DORA	COLUMBIA SMALL CAP VALUE FUND II CL	0.00	0.20	0.00	0.20	90.0	0.18
04/24/2018	FLEISCH, ROBERT	COLUMBIA STRATEGIC INCOME A	0.00	2.44	0.00	2.44	90.0	2.20
04/23/2018	CENTANNI, BETTY	DAVIS NEW YORK VENTURE A	0.00	0.44	0.00	0.44	90.0	0.40
04/23/2018	CENTANNI, RICHARD	DAVIS NEW YORK VENTURE A	0.00	0.59	0.00	0.59	90.0	0.53
04/13/2018	BOWERS, DORA	DEUTSCHE GLOBAL RE	0.00	0.86	0.00	0.86	90.0	0.77
04/12/2018	GUERRIERI, CHARLES	DREYFUS CORE EQUITY FUND CLASS A	0.00	3.56	0.00	3.56	90.0	3.20
04/12/2018	COHEN, HARRIET	DREYFUS NEW JERSEY MUNICIPAL BOND F	0.00	63.21	0.00	63.21	90.0	56.89
04/12/2018	BOWERS, DORA	EATON VANCE LARGE-CAP VALUE FUND CL	0.00	0.77	0.00	0.77	90.0	0.69
04/18/2018	HANKINS, ROBERT	FEDERATED HIGH INCOME BOND FUND INC	0.00	1.10	0.00	1.10	90.0	0.99
04/18/2018	CENTANNI, BETTY	FEDERATED KAUFMANN FUND A	0.00	0.41	0.00	0.41	90.0	0.37
04/20/2018	FLEISCH, ROBERT	FIDELITY ADV FLOATING RATE HIGH INC	0.00	8.00	0.00	8.00	90.0	7.20
04/20/2018	FLEISCH, ROBERT	FIDELITY ADV STRATEGIC INCOME A	0.00	9.01	0.00	9.01	90.0	8.11
04/20/2018	CENTANNI, BETTY	FIDELITY ADV STRATEGIC INCOME C	0.00	1.54	0.00	1.54	90.0	1.39
04/20/2018	CENTANNI, RICHARD	FIDELITY ADV STRATEGIC INCOME C	0.00	6.15	0.00	6.15	90.0	5.54
04/20/2018	BOWERS, DORA	FIDELITY ADVISOR MID CAP II FUND CL	0.00	0.28	0.00	0.28	90.0	0.25
04/20/2018	BEYERLE, PATRICIA	FIDELITY MIDCAP II T	0.00	2.27	0.00	2.27	90.0	2.04
04/19/2018	FLEISCH, ROBERT	FRANKLIN DYNATECH A	0.00	14.72	0.00	14.72	90.0	13.25

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
04/19/2018	FLEISCH, ROBERT	FRANKLIN GOLD & PRECIOUS METALS A	0.00	2.91	0.00	2.91	90.0	2.62
04/19/2018	HASTINGS TRUST, OSCAR	FRANKLIN INCOME A	0.00	1.14	0.00	1.14	90.0	1.03
04/19/2018	FLEISCHMAN, RITA	FRANKLIN INCOME A	0.00	5.31	0.00	5.31	90.0	4.78
04/19/2018	COBB, DOROTHY	FRANKLIN INCOME A	0.00	0.78	0.00	0.78	90.0	0.70
04/19/2018	CENTANNI, RICHARD	FRANKLIN MUTUAL GLOBAL DISCOVERY A	0.00	0.58	0.00	0.58	90.0	0.52
04/19/2018	GREENWELL, MARION	FRNKLN FLOATING RATE DLY ACCESS FND	0.00	2.87	0.00	2.87	90.0	2.58
04/19/2018	BOWERS, STEVEN	GOLDMAN SACHS CAPITAL GROWTH FUND C	0.00	17.91	0.00	17.91	90.0	16.12
04/19/2018	BOWERS, DORA	GOLDMAN SACHS MID CAP VALUE FD CLAS	0.00	0.23	0.00	0.23	90.0	0.21
04/19/2018	PARSONS, MICHELLE	GOLDMAN SACHS U.S. EQUITY INSIGHTS	0.00	0.69	0.00	0.69	90.0	0.62
04/18/2018	PRATOLA, PRESTON	GRIFFIN INST'L ACCESS R E FUND C	0.00	1.33	0.00	1.33	90.0	1.20
04/18/2018	PRATOLA, PRESTON	GRIFFIN INST'L ACCESS R E FUND C	0.00	3.99	0.00	3.99	90.0	3.59
04/18/2018	NANI, JOSEPH	GRIFFIN INST'L ACCESS R E FUND C	0.00	3.17	0.00	3.17	90.0	2.85
04/18/2018	NANI, JOSEPH	GRIFFIN INST'L ACCESS R E FUND C	0.00	9.51	0.00	9.51	90.0	8.56
04/18/2018	CHERRY, ADAM	GRIFFIN INST'L ACCESS R E FUND C	0.00	4.91	0.00	4.91	90.0	4.42
04/18/2018	CHERRY, ADAM	GRIFFIN INST'L ACCESS R E FUND C	0.00	14.73	0.00	14.73	90.0	13.26
04/18/2018	HASTINGS TRUST, OSCAR	GRIFFIN INST'L ACCESS R E FUND C	0.00	7.80	0.00	7.80	90.0	7.02
04/18/2018	HASTINGS TRUST, OSCAR	GRIFFIN INST'L ACCESS R E FUND C	0.00	23.40	0.00	23.40	90.0	21.06
04/18/2018	FLEISCHMAN, RITA	GRIFFIN INST'L ACCESS R E FUND C	0.00	10.59	0.00	10.59	90.0	9.53
04/18/2018	FLEISCHMAN, RITA	GRIFFIN INST'L ACCESS R E FUND C	0.00	31.78	0.00	31.78	90.0	28.60
04/18/2018	NIEMINEN, BARBARA	GRIFFIN INST'L ACCESS R E FUND C	0.00	2.35	0.00	2.35	90.0	2.12
04/18/2018	NIEMINEN, BARBARA	GRIFFIN INST'L ACCESS R E FUND C	0.00	7.06	0.00	7.06	90.0	6.35
04/18/2018	FENN, RONALD	GRIFFIN INST'L ACCESS R E FUND C	0.00	4.04	0.00	4.04	90.0	3.64
04/18/2018	FENN, RONALD	GRIFFIN INST'L ACCESS R E FUND C	0.00	12.13	0.00	12.13	90.0	10.92
04/18/2018	NAYAK, SHAILA	GRIFFIN INST'L ACCESS R E FUND C	0.00	15.01	0.00	15.01	90.0	13.51
04/18/2018	NAYAK, SHAILA	GRIFFIN INST'L ACCESS R E FUND C	0.00	45.02	0.00	45.02	90.0	40.52
04/18/2018	GALERMAN, ALAN	GRIFFIN INST'L ACCESS R E FUND C	0.00	6.36	0.00	6.36	90.0	5.72
04/18/2018	GALERMAN, ALAN	GRIFFIN INST'L ACCESS R E FUND C	0.00	19.07	0.00	19.07	90.0	17.16
04/18/2018	KLEIN, HOWARD	GRIFFIN INST'L ACCESS R E FUND C	0.00	45.48	0.00	45.48	90.0	40.93
04/18/2018	KLEIN, HOWARD	GRIFFIN INST'L ACCESS R E FUND C	0.00	136.44	0.00	136.44	90.0	122.80
04/18/2018	CAMARDO, DONNA	GRIFFIN INST'L ACCESS R E FUND C	0.00	2.25	0.00	2.25	90.0	2.03
04/18/2018	CAMARDO, DONNA	GRIFFIN INST'L ACCESS R E FUND C	0.00	6.74	0.00	6.74	90.0	6.07
04/18/2018	FARBMAN, ERIC	GRIFFIN INST'L ACCESS R E FUND C	0.00	21.19	0.00	21.19	90.0	19.07
04/18/2018	FARBMAN, ERIC	GRIFFIN INST'L ACCESS R E FUND C	0.00	63.57	0.00	63.57	90.0	57.21

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
04/18/2018	NAYAK EX TRUST, VASUDER	GRIFFIN INST'L ACCESS R E FUND C	0.00	7.48	0.00	7.48	90.0	6.73
04/18/2018	NAYAK EX TRUST, VASUDER	GRIFFIN INST'L ACCESS R E FUND C	0.00	22.45	0.00	22.45	90.0	20.21
04/18/2018	KIM, CHUNG	GRIFFIN INST'L ACCESS R E FUND C	0.00	8.29	0.00	8.29	90.0	7.46
04/18/2018	KIM, CHUNG	GRIFFIN INST'L ACCESS R E FUND C	0.00	24.86	0.00	24.86	90.0	22.37
04/18/2018	CACCESE, LOUIS	GRIFFIN INST'L ACCESS R E FUND C	0.00	0.68	0.00	0.68	90.0	0.61
04/18/2018	CACCESE, LOUIS	GRIFFIN INST'L ACCESS R E FUND C	0.00	2.05	0.00	2.05	90.0	1.85
04/18/2018	FARBMAN TRUST, DANIEL & SANDRAGRIFFIN	INST'L ACCESS R E FUND C	0.00	10.53	0.00	10.53	90.0	9.48
04/18/2018	FARBMAN TRUST, DANIEL & SANDRAGRIFFIN	INST'L ACCESS R E FUND C	0.00	31.58	0.00	31.58	90.0	28.42
04/18/2018	ROESKE, CHARLES	GRIFFIN INSTITUTIONAL ACCESS REAL E	0.00	4.43	0.00	4.43	90.0	3.99
04/18/2018	ROESKE, CHARLES	GRIFFIN INSTITUTIONAL ACCESS REAL E	0.00	6.26	0.00	6.26	90.0	5.63
04/18/2018	PERETTI, FRANCES	GRIFFIN INSTITUTIONAL ACCESS REAL E	0.00	4.22	0.00	4.22	90.0	3.80
04/18/2018	LEVY, RONI	GRIFFIN INSTITUTIONAL ACCESS REAL E	0.00	5.26	0.00	5.26	90.0	4.73
04/24/2018	SPECTER TRUST, STEPHANIE	GUGGENHEIM INVERSE GOVT LONG BOND C	0.00	13.02	0.00	13.02	90.0	11.72
04/24/2018	LINSKY, MARC	GUGGENHEIM INVERSE GOVT LONG BOND C	0.00	4.42	0.00	4.42	90.0	3.98
04/17/2018	LINSKY, LISA	HARTFORD CAPITAL APPRECIATION A	0.00	4.08	0.00	4.08	90.0	3.67
04/17/2018	SPECTER TRUST, STEPHANIE	HARTFORD CAPITAL APPRECIATION C	0.00	92.76	0.00	92.76	90.0	83.48
04/17/2018	MEDIA ENTERPRISES	HARTFORD CAPITAL APPRECIATION C	0.00	44.62	0.00	44.62	90.0	40.16
04/17/2018	PERETTI JR, ANTHONY	HARTFORD CAPITAL APPRECIATION C	0.00	40.45	0.00	40.45	90.0	36.41
04/17/2018	KLEIN, HOWARD	HARTFORD CAPITAL APPRECIATION C	0.00	487.53	0.00	487.53	90.0	438.78
04/17/2018	CAMARDO, DONNA	HARTFORD CAPITAL APPRECIATION C	0.00	12.26	0.00	12.26	90.0	11.03
04/17/2018	GODLBERG, SHARON	HARTFORD CAPITAL APPRECIATION C	0.00	7.99	0.00	7.99	90.0	7.19
04/17/2018	BALZANO, AUGUSTUS	HARTFORD CAPITAL APPRECIATION C	0.00	8.52	0.00	8.52	90.0	7.67
04/17/2018	SPECTER, LINDSAY	HARTFORD CAPITAL APPRECIATION C	0.00	36.08	0.00	36.08	90.0	32.47
04/17/2018	SPECTER, SHELBY	HARTFORD CAPITAL APPRECIATION C	0.00	33.67	0.00	33.67	90.0	30.30
04/17/2018	HARRIS, MORGAN	HARTFORD CAPITAL APPRECIATION C	0.00	12.27	0.00	12.27	90.0	11.04
04/17/2018	BUSLER, SCOTT	HARTFORD CAPITAL APPRECIATION C	0.00	25.80	0.00	25.80	90.0	23.22
04/17/2018	BUSLER, MARIANNE	HARTFORD CAPITAL APPRECIATION C	0.00	11.55	0.00	11.55	90.0	10.40
04/17/2018	OLIVETI, ANTHONY	HARTFORD CHECKS AND BALANCES FUND A	0.00	2.91	0.00	2.91	90.0	2.62
04/17/2018	OLIVETI, NICOLE	HARTFORD CHECKS AND BALANCES FUND A	0.00	2.91	0.00	2.91	90.0	2.62
04/17/2018	PISANI, NICHOLAS	HARTFORD CHECKS AND BALANCES FUND A	0.00	4.37	0.00	4.37	90.0	3.93
04/17/2018	SPECTER TRUST, STEPHANIE	HARTFORD DIVIDEND & GROWTH C	0.00	78.59	0.00	78.59	90.0	70.73
04/17/2018	MEDIA ENTERPRISES	HARTFORD DIVIDEND & GROWTH C	0.00	49.01	0.00	49.01	90.0	44.11
04/17/2018	CAMARDO, DONNA	HARTFORD DIVIDEND & GROWTH C	0.00	22.55	0.00	22.55	90.0	20.30

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
04/17/2018	BALZANO, AUGUSTUS	HARTFORD DIVIDEND & GROWTH C	0.00	15.49	0.00	15.49	90.0	13.94
04/17/2018	HARRIS, MORGAN	HARTFORD DIVIDEND & GROWTH C	0.00	22.56	0.00	22.56	90.0	20.30
04/17/2018	SANDERLIN, CATHERINE	HARTFORD DIVIDEND & GROWTH C	0.00	5.11	0.00	5.11	90.0	4.60
04/17/2018	WILSON, KEVIN	HARTFORD DIVIDEND & GROWTH C	0.00	0.48	0.00	0.48	90.0	0.43
04/17/2018	BUSLER, SCOTT	HARTFORD DIVIDEND & GROWTH C	0.00	46.49	0.00	46.49	90.0	41.84
04/17/2018	BUSLER, MARIANNE	HARTFORD DIVIDEND & GROWTH C	0.00	20.81	0.00	20.81	90.0	18.73
04/17/2018	CAMPAGNA, MARIE	HARTFORD FLOATING RATE C	0.00	11.11	0.00	11.11	90.0	10.00
04/17/2018	GODLBERG, SHARON	HARTFORD TOTAL RETURN BOND FUND C	0.00	4.25	0.00	4.25	90.0	3.83
04/18/2018	SIEMANOWSKI, JOHN	INVESCO AMERICAN FRANCHISE A	0.00	137.46	0.00	137.46	90.0	123.71
04/18/2018	CHERRY, THEO	INVESCO AMERICAN FRANCHISE A	0.00	4.40	0.00	4.40	90.0	3.96
04/18/2018	SIEMANOWSKI, JOHN	INVESCO AMERICAN FRANCHISE A	0.00	289.45	0.00	289.45	90.0	260.51
04/18/2018	FARBMAN, ERIC	INVESCO AMERICAN FRANCHISE A	0.00	10.47	0.00	10.47	90.0	9.42
04/18/2018	WALENCZYK, CHIRSTOPHER	INVESCO AMERICAN FRANCHISE A	0.00	0.55	0.00	0.55	90.0	0.50
04/18/2018	SIEMANOWSKI, JOHN	INVESCO CHARTER FUND A	0.00	60.22	0.00	60.22	90.0	54.20
04/18/2018	GUERRIERI, ANTHONY	INVESCO COMSTOCK A	0.00	1.65	0.00	1.65	90.0	1.49
04/18/2018	FARBMAN, ERIC	INVESCO HIGH YIELD FUND A	0.00	13.07	0.00	13.07	90.0	11.76
04/18/2018	SIEMANOWSKI, JOHN	INVESCO INTERNATIONAL GROWTH A	0.00	13.31	0.00	13.31	90.0	11.98
04/18/2018	SIEMANOWSKI, JOHN	INVESCO INTERNATIONAL GROWTH A	0.00	41.79	0.00	41.79	90.0	37.61
04/18/2018	WALENCZYK, BRENDA	INVESCO MIDCAP CORE EQUITY A	0.00	0.54	0.00	0.54	90.0	0.49
04/18/2018	WALENCZYK, CHIRSTOPHER	INVESCO MIDCAP CORE EQUITY A	0.00	1.08	0.00	1.08	90.0	0.97
04/18/2018	GOLDBERGER, ANNA	INVESCO SENIOR LOAN FUND IB	0.00	9.28	0.00	9.28	90.0	8.35
04/18/2018	BOWERS, DORA	INVESCO SMALL CAP DISCOVERY A	0.00	0.40	0.00	0.40	90.0	0.36
04/18/2018	FARBMAN, ERIC	INVESCO STRUCTURED CORE A	0.00	16.74	0.00	16.74	90.0	15.07
04/18/2018	WALENCZYK, BRENDA	INVESCO VALUE OPP A	0.00	0.45	0.00	0.45	90.0	0.41
04/18/2018	WALENCZYK, CHIRSTOPHER	INVESCO VALUE OPP A	0.00	0.88	0.00	0.88	90.0	0.79
04/17/2018	BOWERS, DORA	JANUS RESEARCH FUND CLASS A	0.00	1.14	0.00	1.14	90.0	1.03
04/20/2018	BOWERS, DORA	JN DISCIPLINED VALUE INT'L A	0.00	0.18	0.00	0.18	90.0	0.16
04/16/2018	CENTANNI, RICHARD	JP MORGAN MID CAP VALUE FUND CLASS	0.00	0.66	0.00	0.66	90.0	0.59
04/23/2018	MEDIA ENTERPRISES	LORD ABBETT BOND DEBENTURE A	0.00	3.10	0.00	3.10	90.0	2.79
04/23/2018	MEDIA ENTERPRISES	LORD ABBETT BOND DEBENTURE A	0.00	2.16	0.00	2.16	90.0	1.94
04/23/2018	DEBRIELLE-HEALEY, ELIZABETH	LORD ABBETT BOND DEBENTURE A	0.00	2.88	0.00	2.88	90.0	2.59
04/23/2018	LAISO, MICHAEL	LORD ABBETT BOND DEBENTURE A	0.00	8.07	0.00	8.07	90.0	7.26
04/23/2018	STRAUS, KAREN	LORD ABBETT BOND DEBENTURE A	0.00	2.61	0.00	2.61	90.0	2.35

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
04/23/2018	CHERRY, ADAM	LORD ABBETT BOND DEBENTURE C	0.00	120.09	0.00	120.09	90.0	108.08
04/23/2018	HUDSON TRUST OF 2000, ROBERT	LORD ABBETT BOND DEBENTURE C	0.00	123.03	0.00	123.03	90.0	110.73
04/23/2018	YANKOWITZ, HARRIETT	LORD ABBETT BOND DEBENTURE C	0.00	29.56	0.00	29.56	90.0	26.60
04/23/2018	TOBIAS, DAVID	LORD ABBETT BOND DEBENTURE C	0.00	20.17	0.00	20.17	90.0	18.15
04/23/2018	LINSKY, LISA	LORD ABBETT FUNDAMENTAL EQUITY A	0.00	0.95	0.00	0.95	90.0	0.86
04/23/2018	MEDIA ENTERPRISES	LORD ABBETT FUNDAMENTAL EQUITY A	0.00	7.12	0.00	7.12	90.0	6.41
04/23/2018	MEDIA ENTERPRISES	LORD ABBETT FUNDAMENTAL EQUITY A	0.00	1.19	0.00	1.19	90.0	1.07
04/23/2018	MEDIA ENTERPRISES	LORD ABBETT FUNDAMENTAL EQUITY A	0.00	8.53	0.00	8.53	90.0	7.68
04/23/2018	MEDIA ENTERPRISES	LORD ABBETT FUNDAMENTAL EQUITY A	0.00	1.87	0.00	1.87	90.0	1.68
04/23/2018	OLIVETI, NICOLE	LORD ABBETT FUNDAMENTAL EQUITY A	0.00	0.26	0.00	0.26	90.0	0.23
04/23/2018	MEDIA ENTERPRISES	LORD ABBETT FUNDAMENTAL EQUITY A	0.00	1.33	0.00	1.33	90.0	1.20
04/23/2018	APPLEBAUM, RHEA	LORD ABBETT FUNDAMENTAL EQUITY A	0.00	3.56	0.00	3.56	90.0	3.20
04/23/2018	ROMERO, MARIA	LORD ABBETT FUNDAMENTAL EQUITY A	0.00	0.20	0.00	0.20	90.0	0.18
04/23/2018	TAROFF, DANIELLE	LORD ABBETT FUNDAMENTAL EQUITY CL C	0.00	10.97	0.00	10.97	90.0	9.87
04/23/2018	TAROFF, DANIELLE	LORD ABBETT FUNDAMENTAL EQUITY CL C	0.00	5.96	0.00	5.96	90.0	5.36
04/23/2018	OLIVETI, NICOLE	LORD ABBETT FUNDAMENTAL EQUITY CL C	0.00	6.22	0.00	6.22	90.0	5.60
04/23/2018	YANKOWITZ, HARRIETT	LORD ABBETT FUNDAMENTAL EQUITY CL C	0.00	14.60	0.00	14.60	90.0	13.14
04/23/2018	LIBERTY, SUSAN	LORD ABBETT FUNDAMENTAL EQUITY CL C	0.00	0.01	0.00	0.01	90.0	0.01
04/23/2018	DIECKERT, DEBRA	LORD ABBETT FUNDAMENTAL EQUITY CL C	0.00	2.94	0.00	2.94	90.0	2.65
04/23/2018	MEDIA ENTERPRISES	LORD ABBETT SHORT DURATION INCOME A	0.00	3.64	0.00	3.64	90.0	3.28
04/23/2018	MEDIA ENTERPRISES	LORD ABBETT SHORT DURATION INCOME A	0.00	0.71	0.00	0.71	90.0	0.64
04/23/2018	MEDIA ENTERPRISES	LORD ABBETT SHORT DURATION INCOME A	0.00	4.14	0.00	4.14	90.0	3.73
04/23/2018	MEDIA ENTERPRISES	LORD ABBETT SHORT DURATION INCOME A	0.00	0.81	0.00	0.81	90.0	0.73
04/23/2018	APPLEBAUM, RHEA	LORD ABBETT SHORT DURATION INCOME A	0.00	2.11	0.00	2.11	90.0	1.90
04/23/2018	BOWERS, DORA	LORD ABBETT SHORT DURATION INCOME F	0.00	1.52	0.00	1.52	90.0	1.37
04/23/2018	BOWERS, DORA	LORD ABBETT SHORT DURATION INCOME F	0.00	20.50	0.00	20.50	90.0	18.45
04/23/2018	BOWERS, DORA	LORD ABBETT SHORT DURATION INCOME F	0.00	1.72	0.00	1.72	90.0	1.55
04/23/2018	BOWERS, STEVEN	LORD ABBETT SHORT DURATION INCOME F	0.00	2.77	0.00	2.77	90.0	2.49
04/23/2018	BOWERS, STEVEN	LORD ABBETT SHORT DURATION INCOME F	0.00	2.12	0.00	2.12	90.0	1.91
04/23/2018	CAMPAGNA, MARIE	LORD ABBETT SHORT DURATION INCOME F	0.00	11.16	0.00	11.16	90.0	10.04
04/23/2018	CHERRY, ADAM	LORD ABBETT SHORT DURATION INCOME F	0.00	99.47	0.00	99.47	90.0	89.52
04/23/2018	KRAMER, LESLIE	LORD ABBETT SHORT DURATION INCOME F	0.00	11.28	0.00	11.28	90.0	10.15
04/23/2018	DADINO, CAROLE	LORD ABBETT SHORT DURATION INCOME F	0.00	4.42	0.00	4.42	90.0	3.98

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<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
04/23/2018	BROSIUS JR, ARTHUR	LORD ABBETT SHORT DURATION INCOME F	0.00	6.44	0.00	6.44	90.0	5.80
04/23/2018	BUSLER, SCOTT	LORD ABBETT SHORT DURATION INCOME F	0.00	9.24	0.00	9.24	90.0	8.32
04/23/2018	BUSLER, SCOTT	LORD ABBETT SHORT DURATION INCOME F	0.00	4.69	0.00	4.69	90.0	4.22
04/23/2018	HARDING, LORETTA	LORD ABBETT SHORT DURATION INCOME F	0.00	13.07	0.00	13.07	90.0	11.76
04/11/2018	MURRY, YVONNE	MAINSTAY CUSHING MLP PREMIER FUND C	0.00	9.84	0.00	9.84	90.0	8.86
04/11/2018	FLEISCHMAN, RITA	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	2.87	0.00	2.87	90.0	2.58
04/11/2018	FARBMAN TRUST, DANIEL & SANDRA	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	1.97	0.00	1.97	90.0	1.77
04/11/2018	PAGLIA, DIANA	MAINSTAY FLOATING RATE FUND CLASS A	0.00	0.50	0.00	0.50	90.0	0.45
04/11/2018	PAGLIA, DIANA	MAINSTAY HIGH YIELD CORP BOND A	0.00	1.24	0.00	1.24	90.0	1.12
04/11/2018	PAGLIA, DIANA	MAINSTAY LARGE CAP GROWTH FUND A	0.00	0.80	0.00	0.80	90.0	0.72
04/17/2018	KROSNOWSKI, THOMAS	MFS CORE EQUITY C	0.00	7.07	0.00	7.07	90.0	6.36
04/17/2018	KROSNOWSKI, THOMAS	MFS EMERGINF MARKETS EQUITY FUND C	0.00	17.62	0.00	17.62	90.0	15.86
04/17/2018	CAMPAGNA, MARIE	MFS EMERGING MKTS DEBT FUND C	0.00	7.97	0.00	7.97	90.0	7.17
04/17/2018	SPECTER TRUST, STEPHANIE	MFS GROWTH C	0.00	17.68	0.00	17.68	90.0	15.91
04/17/2018	KROSNOWSKI, THOMAS	MFS INTERNATIONAL VALUE FUND C	0.00	16.25	0.00	16.25	90.0	14.63
04/17/2018	BOWERS, DORA	MFS INTERNATIONAL VALUE FUND CLASS	0.00	0.71	0.00	0.71	90.0	0.64
04/17/2018	SPECTER TRUST, BRADLEY	MFS MID-CAP VALUE FUND CLASS C	0.00	9.82	0.00	9.82	90.0	8.84
04/17/2018	SPECTER TRUST, STEPHANIE	MFS MID-CAP VALUE FUND CLASS C	0.00	23.52	0.00	23.52	90.0	21.17
04/17/2018	SPECTER TRUST, BRADLEY	MFS MIDCAP GROWTH C	0.00	9.15	0.00	9.15	90.0	8.24
04/17/2018	SPECTER TRUST, STEPHANIE	MFS MIDCAP GROWTH C	0.00	21.59	0.00	21.59	90.0	19.43
04/17/2018	KROSNOWSKI, THOMAS	MFS MIDCAP GROWTH C	0.00	6.26	0.00	6.26	90.0	5.63
04/17/2018	KROSNOWSKI, THOMAS	MFS RESEARCH FUND-C	0.00	6.40	0.00	6.40	90.0	5.76
04/17/2018	SPECTER TRUST, STEPHANIE	MFS RESEARCH INTL C	0.00	28.63	0.00	28.63	90.0	25.77
04/17/2018	KROSNOWSKI, THOMAS	MFS TECHNOLOGY FUND-C	0.00	13.43	0.00	13.43	90.0	12.09
04/17/2018	SPECTER TRUST, BRADLEY	MFS VALUE C	0.00	9.79	0.00	9.79	90.0	8.81
04/17/2018	SPECTER TRUST, STEPHANIE	MFS VALUE C	0.00	15.24	0.00	15.24	90.0	13.72
04/17/2018	SCARPIGNATO, ANTHONY	NUVEEN HIGH YIELD MUNI A	0.00	3.16	0.00	3.16	90.0	2.84
04/16/2018	KROSNOWSKI, THOMAS	OPPENHEIMER DISCOVERY A	0.00	1.38	0.00	1.38	90.0	1.24
04/16/2018	KROSNOWSKI, THOMAS	OPPENHEIMER GLOBAL OPPORTUNITIES A	0.00	1.33	0.00	1.33	90.0	1.20
04/16/2018	KROSNOWSKI, THOMAS	OPPENHEIMER GOLD & SPECIAL MINERALS	0.00	0.40	0.00	0.40	90.0	0.36
04/16/2018	BOWERS, DORA	OPPENHEIMER INTL GROWTH A	0.00	0.65	0.00	0.65	90.0	0.59
04/16/2018	STERR, ERIN	OPPENHEIMER MAIN STREET A	0.00	2.50	0.00	2.50	90.0	2.25
04/16/2018	KROSNOWSKI, THOMAS	OPPENHEIMER MAIN STREET A	0.00	3.22	0.00	3.22	90.0	2.90

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<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
04/16/2018	PERETTI, DANIEL	OPPENHEIMER PORTFOLIO SERIES EQ INV	0.00	0.20	0.00	0.20	90.0	0.18
04/16/2018	PERETTI, DANIEL	OPPENHEIMER PTF SERIES EQUITY INVES	0.00	7.98	0.00	7.98	90.0	7.18
04/16/2018	CHERRY, LISA	OPPENHEIMER QUEST OPP VALUE A	0.00	2.68	0.00	2.68	90.0	2.41
04/16/2018	KROSNOWSKI, THOMAS	OPPENHEIMER QUEST OPP VALUE A	0.00	1.81	0.00	1.81	90.0	1.63
04/16/2018	SCARPIGNATO, ANTHONY	OPPENHEIMER ROCHESTER NATIONAL MUNI	0.00	0.02	0.00	0.02	90.0	0.02
04/25/2018	CHERRY, ADAM	PAC LIFE FUNDS PRT OPT MOD	0.00	262.36	0.00	262.36	90.0	236.12
04/23/2018	TRICHON, DONNA-LYNN	PUTNAM GROWTH OPP A	0.00	15.03	0.00	15.03	90.0	13.53
04/23/2018	NIEMINEN, EUGENE	PUTNAM MULTI CAP GROWTH A	0.00	3.36	0.00	3.36	90.0	3.02
04/18/2018	SPECTER, BRADLEY	RESOURCE R E DIVERSIFIED INC FUND A	0.00	13.11	0.00	13.11	90.0	11.80
04/18/2018	SPECTER, STEPHANIE	RESOURCE R E DIVERSIFIED INC FUND A	0.00	17.91	0.00	17.91	90.0	16.12
04/18/2018	TAROFF, MICHELLE	RESOURCE R E DIVERSIFIED INC FUND A	0.00	5.89	0.00	5.89	90.0	5.30
04/18/2018	KLEIN, HOWARD	RESOURCE REAL ESTATE DIVERSIFIED IN	0.00	44.66	0.00	44.66	90.0	40.19
04/18/2018	KLEIN, HOWARD	RESOURCE REAL ESTATE DIVERSIFIED IN	0.00	133.98	0.00	133.98	90.0	120.58
04/19/2018	FLEISCH, ROBERT	TEMPLETON GLOBAL BOND A	0.00	11.28	0.00	11.28	90.0	10.15
04/19/2018	GREENWELL, MARION	TEMPLETON GROWTH A	0.00	1.68	0.00	1.68	90.0	1.51
04/19/2018	CENTANNI, RICHARD	TEMPLETON GROWTH A	0.00	0.36	0.00	0.36	90.0	0.32
04/19/2018	FLEISCH, ROBERT	TEMPLETON WORLD A	0.00	11.08	0.00	11.08	90.0	9.97
04/25/2018	PERETTI, DANIEL	TOUCHSTONE GROWTH OPP A	0.00	0.32	0.00	0.32	90.0	0.29
04/23/2018	EHRET, WAYNE	VICTORY CAPITAL MANAGEMENT	0.00	0.51	0.00	0.51	90.0	0.46
04/10/2018	CHERRY, LISA	VIRTUS SMALL-CAP SUSTAINABLE GROWTH	0.00	6.82	0.00	6.82	90.0	6.14
04/11/2018	PISANI, NICHOLAS	WELLS FARGO ADVANTAGE OMEGA GROWTH	0.00	10.67	0.00	10.67	90.0	9.60
04/11/2018	CAMPAGNA, MARIE	WELLS FARGO ADVTG DIVERSIFIED INCOM	0.00	22.98	0.00	22.98	90.0	20.68
04/11/2018	CAMPAGNA, MARIE	WELLS FARGO ADVTG DIVERSIFIED INCOM	0.00	10.96	0.00	10.96	90.0	9.86
04/11/2018	BOWERS, DORA	WELLS FARGO ADVTG EMERGING MARKETS	0.00	0.21	0.00	0.21	90.0	0.19
04/11/2018	TRICHON, DONNA-LYNN	WELLS FARGO DIVERSIFIED CAPITAL BUI	0.00	19.06	0.00	19.06	90.0	17.15
/ /	GOLDBERG, SCOTT	WVA AGE-BASED PORTFOLIO 14-15 A	0.00	7.85	0.00	7.85	90.0	7.07
/ /	GOLDBERG, SCOTT	WVA AGE-BASED PORTFOLIO 18+ A	0.00	0.95	0.00	0.95	90.0	0.86
/ /	GOLDBERG, SCOTT	WVA AGE-BASED PORTFOLIO 18+ A	0.00	0.67	0.00	0.67	90.0	0.60
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *			\$0.00	\$4,216.85	\$0.00	\$4,216.85		\$3,795.22
<u>PRODUCT CATEGORY: VARIABLE ANNUITY 12B1 TRAILS</u>								
04/21/2018	MCFADDEN, JOAN	ING LANDMARK	82,582.08	206.46	0.00	206.46	90.0	185.81
04/30/2018	BONESKI, MARGUERITE	JNL PERSPECTIVE II 05/05	0.00	226.27	0.00	226.27	90.0	203.64
04/30/2018	TROMBINO, CONSTANCE	JNL PERSPECTIVE L	0.00	238.95	0.00	238.95	90.0	215.06

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>DIRECT TRANSACTIONS</u>								
PRODUCT CATEGORY: VARIABLE ANNUITY 12B1 TRAILS								
04/30/2018	NANI, JOSEPH	JNL PERSPECTIVE L	0.00	342.29	0.00	342.29	90.0	308.06
04/30/2018	FELDNER, BARBARA	JNL PERSPECTIVE L	0.00	405.78	0.00	405.78	90.0	365.20
04/30/2018	STERR, CHRISTOPHER	JNL PERSPECTIVE L	0.00	91.38	0.00	91.38	90.0	82.24
04/27/2018	MEDIA ENTERPRISES	PAC LIFE INNOVATIVE SELECT	0.00	152.40	0.00	152.40	90.0	137.16
* VARIABLE ANNUITY 12B1 TRAILS SUBTOTAL *			\$82,582.08	\$1,663.53	\$0.00	\$1,663.53		\$1,497.17
*** DIRECT TRANSACTIONS TOTAL ***			\$296,719.20	\$6,139.85	\$0.00	\$6,139.85		\$5,525.92

SPLIT TRANSACTIONS**BROKER: J30 MARC/MICHAEL LINSKY/FOX #266**

04/19/2018	CLARKE, PHYLLIS	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	1.21	0.00	1.21	90.0	1.09
04/19/2018	CLARKE, PHYLLIS	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.08	0.00	0.08	90.0	0.07
04/19/2018	BERK, MICHAEL	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.77	0.00	1.77	90.0	1.59
04/19/2018	CLARKE, PHYLLIS	FRANKLIN GROWTH OPPORTUNITIES FUND	0.00	0.13	0.00	0.13	90.0	0.12
04/19/2018	SPOKANE, LOIS	GOLDMAN SACHS U.S. EQUITY INSIGHTS	0.00	0.69	0.00	0.69	90.0	0.62
04/17/2018	CLARKE, PHYLLIS	HARTFORD INFLATION PLUS FUIND C	0.00	3.28	0.00	3.28	90.0	2.95
04/23/2018	CLARKE, PHYLLIS	LORD ABBETT AFFILIATED A	0.00	1.19	0.00	1.19	90.0	1.07
04/23/2018	SPOKANE, LOIS	LORD ABBETT BOND DEBENTURE A	0.00	1.62	0.00	1.62	90.0	1.46
04/23/2018	SPOKANE, LOIS	LORD ABBETT FUNDAMENTAL EQUITY A	0.00	4.15	0.00	4.15	90.0	3.74
04/20/2018	CLARKE, PHYLLIS	PIMCO TOTAL RETURN C	0.00	14.06	0.00	14.06	90.0	12.65
04/23/2018	BELLO, JOSEPH	PUTNAM MULTI CAP GROWTH A	0.00	0.67	0.00	0.67	90.0	0.60
04/18/2018	LANUTI, CHERYL	RESOURCE R E DIVERSIFIED INC FUND A	0.00	8.93	0.00	8.93	90.0	8.04
* J30 MARC/MICHAEL LINSKY/FOX SUBTOTAL *			\$0.00	\$37.78	\$0.00	\$37.78		\$34.00

BROKER: DAN/JEFF/JON P/ FT-R134 NY RAUPP/KI #272

04/16/2018	DAMONE, DENNIS	JP MORGAN INVESTOR GROWTH & INCOME	0.00	0.23	0.00	0.23	90.0	0.21
* DAN/JEFF/JON P/ FT-R134 NY RAUPP/KI SUBTOTAL *			\$0.00	\$0.23	\$0.00	\$0.23		\$0.21

BROKER: DAN/MARC FT-C148 CHARLEY/LINS #315

04/19/2018	ANDERSON, WILLIAM	AM FUNDS BOND FUND OF AMERICA A	0.00	0.47	0.00	0.47	90.0	0.42
04/19/2018	NEELD, JUDEANN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.35	0.00	1.35	90.0	1.22
04/19/2018	NEELD, JUDEANN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	3.46	0.00	3.46	90.0	3.11
04/12/2018	ANDERSON, WILLIAM	AMERICAN CENTURY CORE PLUS FUND CLA	0.00	2.83	0.00	2.83	90.0	2.55
04/19/2018	ANDERSON, ELAINE	BLK GLOBAL ALLOCATION C	0.00	2.59	0.00	2.59	90.0	2.33

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>SPLIT TRANSACTIONS</u>								
<u>BROKER: DAN/MARC FT-C148 CHARLEY/LINS #315</u>								
04/20/2018	ANDERSON, ELAINE	CALAMOS GROWTH & INCOME A	0.00	0.97	0.00	0.97	90.0	0.87
04/19/2018	ANDERSON, WILLIAM	CARILLON EAGLE GROWTH & INCOME FUND	0.00	6.56	0.00	6.56	90.0	5.90
04/24/2018	ANDERSON, WILLIAM	COLUMBIA BALANCED FUND CLASS C	0.00	3.57	0.00	3.57	90.0	3.21
04/23/2018	FIAMINGO, FRANK	DAVIS REAL ESTATE A	0.00	2.12	0.00	2.12	90.0	1.91
04/19/2018	ANDERSON, WILLIAM	FIRST EAGLE OVERSEAS FUND CLASS A	0.00	1.00	0.00	1.00	90.0	0.90
04/18/2018	FIAMINGO, NANCY	GRIFFIN INST'L ACCESS R E FUND C	0.00	10.69	0.00	10.69	90.0	9.62
04/18/2018	FIAMINGO, NANCY	GRIFFIN INST'L ACCESS R E FUND C	0.00	32.07	0.00	32.07	90.0	28.86
04/18/2018	FIAMINGO, FRANK	GRIFFIN INST'L ACCESS R E FUND C	0.00	13.90	0.00	13.90	90.0	12.51
04/18/2018	FIAMINGO, FRANK	GRIFFIN INST'L ACCESS R E FUND C	0.00	41.70	0.00	41.70	90.0	37.53
04/18/2018	GELFGAT, DAVID	GRIFFIN INST'L ACCESS R E FUND C	0.00	1.36	0.00	1.36	90.0	1.22
04/18/2018	GELFGAT, DAVID	GRIFFIN INST'L ACCESS R E FUND C	0.00	4.09	0.00	4.09	90.0	3.68
04/18/2018	CLARKE SR, JAMES	GRIFFIN INST'L ACCESS R E FUND C	0.00	4.73	0.00	4.73	90.0	4.26
04/18/2018	CLARKE SR, JAMES	GRIFFIN INST'L ACCESS R E FUND C	0.00	14.18	0.00	14.18	90.0	12.76
04/18/2018	BUTKUS, ROBERT	GRIFFIN INST'L ACCESS R E FUND C	0.00	5.27	0.00	5.27	90.0	4.74
04/18/2018	BUTKUS, ROBERT	GRIFFIN INST'L ACCESS R E FUND C	0.00	15.82	0.00	15.82	90.0	14.24
04/18/2018	FIAMINGO, FRANK	INVESCO TECHNOLOGY A	0.00	0.01	0.00	0.01	90.0	0.01
04/17/2018	ANDERSON, ELAINE	JANUS BALANCED FUND CLASS C	0.00	3.37	0.00	3.37	90.0	3.03
04/20/2018	ANDERSON, ELAINE	JH STRATEGIC INCOME A	0.00	0.44	0.00	0.44	90.0	0.40
04/16/2018	FIAMINGO, FRANK	OPPENHEIMER CAPITAL INCOME A	0.00	0.01	0.00	0.01	90.0	0.01
04/20/2018	ANDERSON, WILLIAM	PIMCO REAL RETURN C	0.00	1.71	0.00	1.71	90.0	1.54
04/11/2018	RYNEX, CAROL	WELLS FARGO DOW JONES TARGET 2035 F	0.00	1.06	0.00	1.06	90.0	0.95
04/11/2018	RYNEX, STEPHEN	WELLS FARGO PREMIER LG COMP GRWTH A	0.00	0.64	0.00	0.64	90.0	0.58
* DAN/MARC FT-C148 CHARLEY/LINS SUBTOTAL *			\$0.00	\$175.97	\$0.00	\$175.97		\$158.36
<u>BROKER: TOM/MARC/JP/DA FT-T125 THO/LINS/CIR #384</u>								
04/27/2018	SIMPSON TRUST, GERARD & CYNTHISPD	R GOLD TR GOLD SHS	75,162.16	0.00	6.87	-6.87	90.0	-6.18
* TOM/MARC/JP/DA FT-T125 THO/LINS/CIR SUBTOTAL *			\$75,162.16	\$0.00	\$6.87	\$-6.87		\$-6.18
<u>BROKER: DA/MAR/JP/DA/JE FT- C157 CHA/LIN/CI #400</u>								
04/18/2018	CARROLLTON, DONNA	GRIFFIN INSTITUTIONAL ACCESS REAL E	0.00	1.71	0.00	1.71	90.0	1.54
04/18/2018	CARROLLTON, STEVE	GRIFFIN INSTITUTIONAL ACCESS REAL E	0.00	1.22	0.00	1.22	90.0	1.10
* DA/MAR/JP/DA/JE FT- C157 CHA/LIN/CI SUBTOTAL *			\$0.00	\$2.93	\$0.00	\$2.93		\$2.64
*** SPLIT TRANSACTIONS TOTAL ***			\$75,162.16	\$216.91	\$6.87	\$210.04		\$189.03

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>ADJUSTMENTS</u>								
05/15/2018		*EO INS: CURRENT MONTH INS	0.00					-300.00
05/15/2018		*MARKETING LIBRARY: MARKETING LIBRARY PRO	0.00					-45.00
05/15/2018		*PERSHING: ADDRESS VERIFICATION LETTERS - PNW100303	0.00					-1.50
05/15/2018		*PERSHING: ADDRESS VERIFICATION LETTERS - PNW100311.	0.00					-1.50
05/15/2018		*PERSHING: ADDRESS VERIFICATION LETTERS - PNW100329	0.00					-1.50
05/15/2018		*PERSHING: MF PROSPECTUS MAILING	0.00					-13.22
05/15/2018		*PERSHING: PERSHING MARKUP	0.00					9.00
05/15/2018		*PERSHING: PNW019453 THOMAS OTT	0.00					-285.00
05/15/2018		*PERSHING: PNW100006 ELLIOTT BRONNER INACTIVE FEE	0.00					-50.00
05/15/2018		*PERSHING: PNW100014 JOSHUA BRONNER INACTIVE FEE	0.00					-50.00
05/15/2018		*PERSHING: PNW104487 FARBMAN TRUST	0.00					-125.00
05/15/2018		*PERSHING: PNW104701 HENRY SCOZZAFAVE	0.00					-125.00
05/15/2018		*PERSHING: SPECIAL PRODUCT FEE	0.00					-250.00
05/15/2018		*PERSHING: SPECIAL PRODUCT FEE	0.00					-250.00
05/15/2018		*PERSHING: BOOKS & RECORDS	0.00					-4.50
05/15/2018		*PERSHING: BOOKS & RECORDS	0.00					-0.75
05/15/2018		*TECH: ADMIN-CHRISTINE GILMER	0.00					-100.00
05/15/2018		*TECH: ADMIN-LINDA BOND-HILTNER	0.00					-100.00
05/15/2018		*TECH: CURRENT MONTH TECH	0.00					-275.00
05/15/2018		*TECHNOLOGY: ADMIN D. LINSKY	0.00					-135.00
*** ADJUSTMENTS TOTAL ***			\$0.00	\$0.00	\$0.00	\$0.00		\$-2,103.97

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BROKER COMMISSION TOTALS

Broker Transactions	\$5,532.67
Split Transactions	\$189.03
Override Transactions	\$0.00
Adjustments	\$-2,103.97
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$0.00
FINRA Assessment	\$0.00
SIPC Assessment	\$0.00

Check Amount	\$3,617.73
Year-to-date Gross	\$191,490.57
Year-to-date Earnings	\$170,948.67