



Concorde Investment Services, LLC

04/12/2017
Page No. 1

COMMISSION STATEMENT April 15, 2017

JOHN ROSS
7261 W. Central Ave.

Toledo, OH 43617

BROKER #: R119
BRANCH: INTEGRATED FINANCIAL

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>BROKER TRANSACTIONS</u>								
PRODUCT CATEGORY: MUTUAL FUNDS								
04/03/2017	WAGONER JR, JOHN	ALLIANCEBERNSTEIN GL THEMATIC GROWT	0.00	2.63	0.00	2.63	92.0	2.42
04/03/2017	WAGONER JR, JOHN	ALLIANCEBERNSTEIN LARGE CAP GROWTH	0.00	2.45	0.00	2.45	92.0	2.25
04/04/2017	MARTIN, RACHEL	AM FUNDS AMERICAN BALANCED A	105.00	3.94	0.00	3.94	92.0	3.62
04/03/2017	KRAUS, JENNIFER	AM FUNDS AMERICAN HIGH-INCOME TRUST	150.00	4.50	0.00	4.50	92.0	4.14
04/07/2017	SEYMOUR, DONALD	AM FUNDS AMERICAN MUTUAL C	250.00	2.50	0.00	2.50	92.0	2.30
04/03/2017	HUNTER, DEBORAH	AM FUNDS CAPITAL WORLD GRTH & INC 5	50.00	2.13	0.00	2.13	92.0	1.96
03/27/2017	RUMSCHLAG, DOUGLAS	AM FUNDS EUROPACIFIC GROWTH FUND A	116.46	4.37	0.00	4.37	92.0	4.02
04/04/2017	MARTIN, RACHEL	AM FUNDS FUNDAMENTAL INVESTORS A	105.00	3.94	0.00	3.94	92.0	3.62
03/27/2017	RUMSCHLAG, DOUGLAS	AM FUNDS GROWTH FUND OF AMERICA A	116.46	4.37	0.00	4.37	92.0	4.02
04/04/2017	MARTIN, RACHEL	AM FUNDS INCOME FUND OF AMERICA A	105.00	3.94	0.00	3.94	92.0	3.62
03/28/2017	HILKENS, CHRISTOPHER	AM FUNDS SHORT TERM BND FUND OF AM	65.00	1.30	0.00	1.30	92.0	1.20
04/04/2017	MARTIN, RACHEL	AM FUNDS SMALLCAP WORLD A	35.00	1.31	0.00	1.31	92.0	1.21
04/07/2017	SEYMOUR, DONALD	AM FUNDS SMALLCAP WORLD C	250.00	2.50	0.00	2.50	92.0	2.30
04/04/2017	COUSINO, NICHOLAS	AM FUNDS TAX-EXEMPT BOND FUND OF AM	5,500.00	165.00	0.00	165.00	92.0	151.80
04/03/2017	HUNTER, DEBORAH	AM FUNDS WASHINGTON MUTUAL INVESTOR	50.00	2.13	0.00	2.13	92.0	1.96
04/07/2017	SEYMOUR, DONALD	AM FUNDS WASHINGTON MUTUAL INVESTOR	193.49	1.93	0.00	1.93	92.0	1.78
03/30/2017	SEYMOUR, DONALD	AMERICAN HIGH-INCOME MUNI BOND FUND	250.00	2.50	0.00	2.50	92.0	2.30
/ /	WAGONER JR, JOHN	DELAWARE SMID CAP GROWTH A	0.00	1.90	0.00	1.90	92.0	1.75
/ /	SLAMAN, BRIAN	FIDELITY ADV NEW INSIGHTS C	0.00	1.29	0.00	1.29	92.0	1.19
/ /	SLAMAN, BRIAN	FIDELITY ADV NEW INSIGHTS C	0.00	0.87	0.00	0.87	92.0	0.80
/ /	SLAMAN, BRIAN	FIDELITY MIDCAP II C	0.00	1.29	0.00	1.29	92.0	1.19
/ /	SLAMAN, BRIAN	FIDELITY MIDCAP II C	0.00	1.08	0.00	1.08	92.0	0.99
/ /	MCLAUGHLIN, JAIME	FLEX MEEDER BALANCED FUND	0.00	0.72	0.00	0.72	92.0	0.66
/ /	HORN, DUSTIN	FLEX MEEDER BALANCED FUND	0.00	0.75	0.00	0.75	92.0	0.69
/ /	HILES, MARC	FLEX MEEDER BALANCED FUND	0.00	2.38	0.00	2.38	92.0	2.19
/ /	SCHOEN, JONATHAN	FLEX MEEDER BALANCED FUND	0.00	0.94	0.00	0.94	92.0	0.86

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
<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
/ /	BRAITHWAITE, JONI	FLEX MEEDER BALANCED FUND	0.00	0.75	0.00	0.75	92.0	0.69
/ /	IRWIN, JOHN	FLEX MEEDER BALANCED FUND	0.00	8.09	0.00	8.09	92.0	7.44
/ /	KELLER, ERIC	FLEX MEEDER BALANCED FUND	0.00	1.24	0.00	1.24	92.0	1.14
/ /	PEARSON, MARIANNE	FLEX MEEDER BALANCED FUND	0.00	0.05	0.00	0.05	92.0	0.05
/ /	MANN, JAMES	FLEX MEEDER BALANCED FUND	0.00	1.55	0.00	1.55	92.0	1.43
/ /	MANN, JAMES	FLEX MEEDER BALANCED FUND	0.00	5.02	0.00	5.02	92.0	4.62
/ /	MANN, SUNDAY	FLEX MEEDER BALANCED FUND	0.00	3.23	0.00	3.23	92.0	2.97
/ /	MANN, SUNDAY	FLEX MEEDER BALANCED FUND	0.00	0.20	0.00	0.20	92.0	0.18
/ /	DECKER, MARY BETH	FLEX MEEDER BALANCED FUND	0.00	1.90	0.00	1.90	92.0	1.75
/ /	COUSINO, SUSAN	FLEX MEEDER BALANCED FUND	0.00	2.17	0.00	2.17	92.0	2.00
/ /	GARDNER, SHARYL	FLEX MEEDER BALANCED FUND	0.00	2.65	0.00	2.65	92.0	2.44
/ /	GARDNER, MIKE (WILLIAM)	FLEX MEEDER BALANCED FUND	0.00	3.03	0.00	3.03	92.0	2.79
/ /	ORWIG, JOSEPH	FLEX MEEDER BALANCED FUND	0.00	1.68	0.00	1.68	92.0	1.55
/ /	SANDERSON, STEPHEN	FLEX MEEDER BALANCED FUND	0.00	0.75	0.00	0.75	92.0	0.69
/ /	HORN, DUSTIN	FLEX MEEDER DYNAMIC GROWTH FUND	0.00	0.77	0.00	0.77	92.0	0.71
/ /	HILES, MARC	FLEX MEEDER DYNAMIC GROWTH FUND	0.00	2.44	0.00	2.44	92.0	2.24
/ /	SCHOEN, JONATHAN	FLEX MEEDER DYNAMIC GROWTH FUND	0.00	0.97	0.00	0.97	92.0	0.89
/ /	BRAITHWAITE, JONI	FLEX MEEDER DYNAMIC GROWTH FUND	0.00	0.77	0.00	0.77	92.0	0.71
/ /	IRWIN, JOHN	FLEX MEEDER DYNAMIC GROWTH FUND	0.00	8.28	0.00	8.28	92.0	7.62
/ /	KELLER, ERIC	FLEX MEEDER DYNAMIC GROWTH FUND	0.00	1.27	0.00	1.27	92.0	1.17
/ /	PEARSON, MARIANNE	FLEX MEEDER DYNAMIC GROWTH FUND	0.00	0.05	0.00	0.05	92.0	0.05
/ /	COUSINO, SUSAN	FLEX MEEDER DYNAMIC GROWTH FUND	0.00	2.22	0.00	2.22	92.0	2.04
/ /	GARDNER, SHARYL	FLEX MEEDER DYNAMIC GROWTH FUND	0.00	2.72	0.00	2.72	92.0	2.50
/ /	GARDNER, MIKE (WILLIAM)	FLEX MEEDER DYNAMIC GROWTH FUND	0.00	3.10	0.00	3.10	92.0	2.85
/ /	ORWIG, JOSEPH	FLEX MEEDER DYNAMIC GROWTH FUND	0.00	1.72	0.00	1.72	92.0	1.58
/ /	SANDERSON, STEPHEN	FLEX MEEDER DYNAMIC GROWTH FUND	0.00	0.76	0.00	0.76	92.0	0.70
/ /	HORN, DUSTIN	FLEX MEEDER MUIRFELD FUND	0.00	2.96	0.00	2.96	92.0	2.72
/ /	HILES, MARC	FLEX MEEDER MUIRFELD FUND	0.00	9.35	0.00	9.35	92.0	8.60
/ /	SCHOEN, JONATHAN	FLEX MEEDER MUIRFELD FUND	0.00	3.70	0.00	3.70	92.0	3.40
/ /	BRAITHWAITE, JONI	FLEX MEEDER MUIRFELD FUND	0.00	2.94	0.00	2.94	92.0	2.70
/ /	IRWIN, JOHN	FLEX MEEDER MUIRFELD FUND	0.00	31.76	0.00	31.76	92.0	29.22
/ /	KELLER, ERIC	FLEX MEEDER MUIRFELD FUND	0.00	4.86	0.00	4.86	92.0	4.47
/ /	PEARSON, MARIANNE	FLEX MEEDER MUIRFELD FUND	0.00	0.20	0.00	0.20	92.0	0.18

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
/ /	MANN, JAMES	FLEX MEEDER MUIRFELD FUND	0.00	0.08	0.00	0.08	92.0	0.07
/ /	MANN, JAMES	FLEX MEEDER MUIRFELD FUND	0.00	0.58	0.00	0.58	92.0	0.53
/ /	MANN, SUNDAY	FLEX MEEDER MUIRFELD FUND	0.00	0.37	0.00	0.37	92.0	0.34
/ /	MANN, SUNDAY	FLEX MEEDER MUIRFELD FUND	0.00	0.01	0.00	0.01	92.0	0.01
/ /	DECKER, MARY BETH	FLEX MEEDER MUIRFELD FUND	0.00	0.10	0.00	0.10	92.0	0.09
/ /	COUSINO, SUSAN	FLEX MEEDER MUIRFELD FUND	0.00	8.50	0.00	8.50	92.0	7.82
/ /	GARDNER, SHARYL	FLEX MEEDER MUIRFELD FUND	0.00	10.42	0.00	10.42	92.0	9.59
/ /	GARDNER, MIKE (WILLIAM)	FLEX MEEDER MUIRFELD FUND	0.00	11.91	0.00	11.91	92.0	10.96
/ /	ORWIG, JOSEPH	FLEX MEEDER MUIRFELD FUND	0.00	6.58	0.00	6.58	92.0	6.05
/ /	SANDERSON, STEPHEN	FLEX MEEDER MUIRFELD FUND	0.00	2.93	0.00	2.93	92.0	2.70
/ /	HORN, DUSTIN	FLEX MEEDER QUANTEX FUND	0.00	0.25	0.00	0.25	92.0	0.23
/ /	HILES, MARC	FLEX MEEDER QUANTEX FUND	0.00	0.80	0.00	0.80	92.0	0.74
/ /	SCHOEN, JONATHAN	FLEX MEEDER QUANTEX FUND	0.00	0.32	0.00	0.32	92.0	0.29
/ /	BRAITHWAITE, JONI	FLEX MEEDER QUANTEX FUND	0.00	0.25	0.00	0.25	92.0	0.23
/ /	IRWIN, JOHN	FLEX MEEDER QUANTEX FUND	0.00	2.73	0.00	2.73	92.0	2.51
/ /	KELLER, ERIC	FLEX MEEDER QUANTEX FUND	0.00	0.42	0.00	0.42	92.0	0.39
/ /	PEARSON, MARIANNE	FLEX MEEDER QUANTEX FUND	0.00	0.02	0.00	0.02	92.0	0.02
/ /	COUSINO, SUSAN	FLEX MEEDER QUANTEX FUND	0.00	0.73	0.00	0.73	92.0	0.67
/ /	GARDNER, SHARYL	FLEX MEEDER QUANTEX FUND	0.00	0.90	0.00	0.90	92.0	0.83
/ /	GARDNER, MIKE (WILLIAM)	FLEX MEEDER QUANTEX FUND	0.00	1.02	0.00	1.02	92.0	0.94
/ /	ORWIG, JOSEPH	FLEX MEEDER QUANTEX FUND	0.00	0.57	0.00	0.57	92.0	0.52
/ /	SANDERSON, STEPHEN	FLEX MEEDER QUANTEX FUND	0.00	0.25	0.00	0.25	92.0	0.23
/ /	HORN, DUSTIN	FLEX MEEDER STRATEGIC GROWTH FUND	0.00	0.15	0.00	0.15	92.0	0.14
/ /	HILES, MARC	FLEX MEEDER STRATEGIC GROWTH FUND	0.00	0.48	0.00	0.48	92.0	0.44
/ /	SCHOEN, JONATHAN	FLEX MEEDER STRATEGIC GROWTH FUND	0.00	0.19	0.00	0.19	92.0	0.17
/ /	BRAITHWAITE, JONI	FLEX MEEDER STRATEGIC GROWTH FUND	0.00	0.15	0.00	0.15	92.0	0.14
/ /	IRWIN, JOHN	FLEX MEEDER STRATEGIC GROWTH FUND	0.00	1.64	0.00	1.64	92.0	1.51
/ /	KELLER, ERIC	FLEX MEEDER STRATEGIC GROWTH FUND	0.00	0.25	0.00	0.25	92.0	0.23
/ /	PEARSON, MARIANNE	FLEX MEEDER STRATEGIC GROWTH FUND	0.00	0.01	0.00	0.01	92.0	0.01
/ /	COUSINO, SUSAN	FLEX MEEDER STRATEGIC GROWTH FUND	0.00	0.44	0.00	0.44	92.0	0.40
/ /	GARDNER, SHARYL	FLEX MEEDER STRATEGIC GROWTH FUND	0.00	0.54	0.00	0.54	92.0	0.50
/ /	GARDNER, MIKE (WILLIAM)	FLEX MEEDER STRATEGIC GROWTH FUND	0.00	0.61	0.00	0.61	92.0	0.56
/ /	ORWIG, JOSEPH	FLEX MEEDER STRATEGIC GROWTH FUND	0.00	0.34	0.00	0.34	92.0	0.31

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
/ /	SANDERSON, STEPHEN	FLEX MEEDER STRATEGIC GROWTH FUND	0.00	0.15	0.00	0.15	92.0	0.14
/ /	MANN, JAMES	FLEX MEEDER TOTAL RETURN BOND FUND	0.00	2.65	0.00	2.65	92.0	2.44
/ /	MANN, JAMES	FLEX MEEDER TOTAL RETURN BOND FUND	0.00	3.33	0.00	3.33	92.0	3.06
/ /	MANN, SUNDAY	FLEX MEEDER TOTAL RETURN BOND FUND	0.00	2.14	0.00	2.14	92.0	1.97
/ /	MANN, SUNDAY	FLEX MEEDER TOTAL RETURN BOND FUND	0.00	0.33	0.00	0.33	92.0	0.30
/ /	DECKER, MARY BETH	FLEX MEEDER TOTAL RETURN BOND FUND	0.00	3.26	0.00	3.26	92.0	3.00
/ /	MCLAUGHLIN, JAIME	FLEX MEEDER UTILITIES AND INFRASTRU	0.00	0.75	0.00	0.75	92.0	0.69
/ /	HORN, DUSTIN	FLEX MEEDER UTILITIES AND INFRASTRU	0.00	0.07	0.00	0.07	92.0	0.06
/ /	HILES, MARC	FLEX MEEDER UTILITIES AND INFRASTRU	0.00	0.23	0.00	0.23	92.0	0.21
/ /	SCHOEN, JONATHAN	FLEX MEEDER UTILITIES AND INFRASTRU	0.00	0.09	0.00	0.09	92.0	0.08
/ /	BRAITHWAITE, JONI	FLEX MEEDER UTILITIES AND INFRASTRU	0.00	0.07	0.00	0.07	92.0	0.06
/ /	IRWIN, JOHN	FLEX MEEDER UTILITIES AND INFRASTRU	0.00	0.80	0.00	0.80	92.0	0.74
/ /	KELLER, ERIC	FLEX MEEDER UTILITIES AND INFRASTRU	0.00	0.12	0.00	0.12	92.0	0.11
/ /	PEARSON, MARIANNE	FLEX MEEDER UTILITIES AND INFRASTRU	0.00	0.01	0.00	0.01	92.0	0.01
/ /	MANN, JAMES	FLEX MEEDER UTILITIES AND INFRASTRU	0.00	0.10	0.00	0.10	92.0	0.09
/ /	MANN, SUNDAY	FLEX MEEDER UTILITIES AND INFRASTRU	0.00	0.06	0.00	0.06	92.0	0.06
/ /	COUSINO, SUSAN	FLEX MEEDER UTILITIES AND INFRASTRU	0.00	0.21	0.00	0.21	92.0	0.19
/ /	GARDNER, SHARYL	FLEX MEEDER UTILITIES AND INFRASTRU	0.00	0.26	0.00	0.26	92.0	0.24
/ /	GARDNER, MIKE (WILLIAM)	FLEX MEEDER UTILITIES AND INFRASTRU	0.00	0.30	0.00	0.30	92.0	0.28
/ /	ORWIG, JOSEPH	FLEX MEEDER UTILITIES AND INFRASTRU	0.00	0.16	0.00	0.16	92.0	0.15
/ /	SANDERSON, STEPHEN	FLEX MEEDER UTILITIES AND INFRASTRU	0.00	0.07	0.00	0.07	92.0	0.06
/ /	HORN, DUSTIN	FLEX/MEEDER FUNDS	0.00	0.39	0.00	0.39	92.0	0.36
/ /	HILES, MARC	FLEX/MEEDER FUNDS	0.00	1.23	0.00	1.23	92.0	1.13
/ /	SCHOEN, JONATHAN	FLEX/MEEDER FUNDS	0.00	0.49	0.00	0.49	92.0	0.45
/ /	BRAITHWAITE, JONI	FLEX/MEEDER FUNDS	0.00	0.39	0.00	0.39	92.0	0.36
/ /	IRWIN, JOHN	FLEX/MEEDER FUNDS	0.00	4.19	0.00	4.19	92.0	3.85
/ /	KELLER, ERIC	FLEX/MEEDER FUNDS	0.00	0.64	0.00	0.64	92.0	0.59
/ /	PEARSON, MARIANNE	FLEX/MEEDER FUNDS	0.00	0.03	0.00	0.03	92.0	0.03
/ /	MANN, JAMES	FLEX/MEEDER FUNDS	0.00	0.10	0.00	0.10	92.0	0.09
/ /	MANN, JAMES	FLEX/MEEDER FUNDS	0.00	0.21	0.00	0.21	92.0	0.19
/ /	MANN, SUNDAY	FLEX/MEEDER FUNDS	0.00	0.14	0.00	0.14	92.0	0.13
/ /	MANN, SUNDAY	FLEX/MEEDER FUNDS	0.00	0.01	0.00	0.01	92.0	0.01
/ /	DECKER, MARY BETH	FLEX/MEEDER FUNDS	0.00	0.12	0.00	0.12	92.0	0.11

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
/ /	COUSINO, SUSAN	FLEX/MEEDER FUNDS	0.00	1.12	0.00	1.12	92.0	1.03
/ /	GARDNER, SHARYL	FLEX/MEEDER FUNDS	0.00	1.38	0.00	1.38	92.0	1.27
/ /	GARDNER, MIKE (WILLIAM)	FLEX/MEEDER FUNDS	0.00	1.57	0.00	1.57	92.0	1.44
/ /	ORWIG, JOSEPH	FLEX/MEEDER FUNDS	0.00	0.87	0.00	0.87	92.0	0.80
/ /	SANDERSON, STEPHEN	FLEX/MEEDER FUNDS	0.00	0.39	0.00	0.39	92.0	0.36
/ /	HORN, DUSTIN	FLEX/MEEDER FUNDS 58510R408	0.00	1.56	0.00	1.56	92.0	1.44
/ /	HILES, MARC	FLEX/MEEDER FUNDS 58510R408	0.00	4.94	0.00	4.94	92.0	4.54
/ /	SCHOEN, JONATHAN	FLEX/MEEDER FUNDS 58510R408	0.00	1.96	0.00	1.96	92.0	1.80
/ /	BRAITHWAITE, JONI	FLEX/MEEDER FUNDS 58510R408	0.00	1.55	0.00	1.55	92.0	1.43
/ /	IRWIN, JOHN	FLEX/MEEDER FUNDS 58510R408	0.00	16.78	0.00	16.78	92.0	15.44
/ /	KELLER, ERIC	FLEX/MEEDER FUNDS 58510R408	0.00	2.57	0.00	2.57	92.0	2.36
/ /	PEARSON, MARIANNE	FLEX/MEEDER FUNDS 58510R408	0.00	0.11	0.00	0.11	92.0	0.10
/ /	MANN, JAMES	FLEX/MEEDER FUNDS 58510R408	0.00	0.15	0.00	0.15	92.0	0.14
/ /	MANN, JAMES	FLEX/MEEDER FUNDS 58510R408	0.00	0.53	0.00	0.53	92.0	0.49
/ /	MANN, SUNDAY	FLEX/MEEDER FUNDS 58510R408	0.00	0.34	0.00	0.34	92.0	0.31
/ /	MANN, SUNDAY	FLEX/MEEDER FUNDS 58510R408	0.00	0.02	0.00	0.02	92.0	0.02
/ /	DECKER, MARY BETH	FLEX/MEEDER FUNDS 58510R408	0.00	0.18	0.00	0.18	92.0	0.17
/ /	COUSINO, SUSAN	FLEX/MEEDER FUNDS 58510R408	0.00	4.49	0.00	4.49	92.0	4.13
/ /	GARDNER, SHARYL	FLEX/MEEDER FUNDS 58510R408	0.00	5.50	0.00	5.50	92.0	5.06
/ /	GARDNER, MIKE (WILLIAM)	FLEX/MEEDER FUNDS 58510R408	0.00	6.29	0.00	6.29	92.0	5.79
/ /	ORWIG, JOSEPH	FLEX/MEEDER FUNDS 58510R408	0.00	3.48	0.00	3.48	92.0	3.20
/ /	SANDERSON, STEPHEN	FLEX/MEEDER FUNDS 58510R408	0.00	1.55	0.00	1.55	92.0	1.43
04/01/2017	ZUCARELL, MARGARET	MFS HIGH INCOME A	0.00	6.49	0.00	6.49	92.0	5.97
/ /	MANN, JAMES	OPPENHEIMER EQUITY A	0.00	4.42	0.00	4.42	92.0	4.07
/ /	DUBOW, ERIC	OPPENHEIMER INTL SMALL CO A	0.00	6.47	0.00	6.47	92.0	5.95
/ /	ANDREW, JOHN	OPPENHEIMER MAIN STREET A	0.00	9.20	0.00	9.20	92.0	8.46
/ /	MANN, JAMES	OPPENHEIMER MAIN STREET A	0.00	0.86	0.00	0.86	92.0	0.79
04/03/2017	SLAMAN, BRIAN	PUTNAM CAPITAL OPPORTUNITIES C	0.00	1.08	0.00	1.08	92.0	0.99
04/03/2017	SLAMAN, BRIAN	PUTNAM EQUITY INCOME C	0.00	1.24	0.00	1.24	92.0	1.14
04/03/2017	DRAKE, ERIC	PUTNAM GROWTH OPP A	0.00	4.80	0.00	4.80	92.0	4.42
04/03/2017	SLAMAN, BRIAN	PUTNAM INTL CAPITAL OPPS-C	0.00	1.07	0.00	1.07	92.0	0.98
04/03/2017	WAGONER JR, JOHN	PUTNAM MULTI CAP GROWTH A	0.00	4.10	0.00	4.10	92.0	3.77
04/03/2017	DRAKE, ERIC	PUTNAM MULTI CAP GROWTH A	0.00	4.43	0.00	4.43	92.0	4.08

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
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BROKER TRANSACTIONS**PRODUCT CATEGORY: STOCKS**

* MUTUAL FUNDS SUBTOTAL *	\$7,341.41	\$514.94	\$0.00	\$514.94		\$473.71
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PRODUCT CATEGORY: STOCKS

04/04/2017	ROSS, JOHN	SPROTT PHYSICAL SILVER TR TR UNIT I	-6,509.50	0.00	23.41	-23.41	92.0	-21.54
* STOCKS SUBTOTAL *			\$-6,509.50	\$0.00	\$23.41	\$-23.41		\$-21.54

PRODUCT CATEGORY: VARIABLE ANNUITIES

03/31/2017	SMOOT, DOROTHY	ALLIANZ VALUEMARK II	122,300.11	76.44	0.00	76.44	92.0	70.32
03/31/2017	DULINSKY, SHERRY	ALLIANZ VALUEMARK III	3,854.11	2.41	0.00	2.41	92.0	2.22
03/31/2017	WALLS, DIANE	ALLIANZ VALUEMARK III	98,510.60	61.57	0.00	61.57	92.0	56.64
03/31/2017	BENSCH, ARLYN	ALLIANZ VALUEMARK III	834.47	0.52	0.00	0.52	92.0	0.48
03/31/2017	BENSCH, CANDACE	ALLIANZ VALUEMARK III	838.17	0.52	0.00	0.52	92.0	0.48
03/31/2017	KRALL, JERRY	ALLIANZ VALUEMARK IV	2,534.49	1.58	0.00	1.58	92.0	1.45
03/31/2017	BRAITHWAITE, MICHAEL	ALLIANZ VALUEMARK IV	8,215.38	5.13	0.00	5.13	92.0	4.72
03/31/2017	WASSERMAN, JULIE	ALLIANZ VALUEMARK IV	5,787.88	3.62	0.00	3.62	92.0	3.33
03/31/2017	DIXON, RANDALL	ALLIANZ VALUEMARK IV	34,811.05	21.76	0.00	21.76	92.0	20.02
03/31/2017	KRALL, GARY	ALLIANZ VALUEMARK IV	15,856.25	9.91	0.00	9.91	92.0	9.12
03/31/2017	AUBRY, PATRICIA	AXA ACCUM ELITE II (NQ)	20,188.49	50.47	0.00	50.47	92.0	46.43
03/31/2017	BRAGG, TYLER	HARTFORD LEADERS (ILA)	27,397.15	17.12	0.00	17.12	92.0	15.75
03/31/2017	JANICKI, KATHERINE	HARTFORD LEADERS (ILA)	18,334.86	11.46	0.00	11.46	92.0	10.54
03/31/2017	YOSHINO, KAREN	HARTFORD LEADERS OUTLOOK (ILA)	4,603.07	11.51	0.00	11.51	92.0	10.59
03/31/2017	AUBRY, PATRICIA	HARTFORD LEADERS OUTLOOK (ILA)	1,097.06	2.74	0.00	2.74	92.0	2.52
03/31/2017	IRWIN, JOHN	HARTFORD LEADERS OUTLOOK (ILA)	2,360.71	5.90	0.00	5.90	92.0	5.43
03/31/2017	KOZIARSKI, RICHARD	HARTFORD LEADERS OUTLOOK (ILA)	843.10	2.11	0.00	2.11	92.0	1.94
03/31/2017	YOSHINO, KAREN	HARTFORD LEADERS OUTLOOK (ILA)	7,570.28	18.93	0.00	18.93	92.0	17.42
03/31/2017	AUBRY, PATRICIA	HARTFORD LEADERS OUTLOOK (ILA)	1,117.41	2.79	0.00	2.79	92.0	2.57
03/31/2017	YOSHINO, DOUGLAS	HARTFORD LEADERS OUTLOOK (ILA)	6,527.90	16.32	0.00	16.32	92.0	15.01
03/31/2017	KIEHL, VERNON	HARTFORD LEADERS OUTLOOK 2	25,279.24	63.20	0.00	63.20	92.0	58.14
03/31/2017	MILLS, SARAH	HARTFORD LEADERS OUTLOOK 2	11,784.27	29.46	0.00	29.46	92.0	27.10
03/31/2017	ROSS, DANIEL	HARTFORD LEADERS OUTLOOK 2	52,890.24	132.23	0.00	132.23	92.0	121.65
03/31/2017	BARE III, HARRY	HARTFORD LEADERS OUTLOOK 2	18,776.40	46.94	0.00	46.94	92.0	43.18
03/31/2017	BARE, HELEN	HARTFORD LEADERS OUTLOOK 2	8,601.54	21.50	0.00	21.50	92.0	19.78
03/31/2017	IRWIN, JOHN	JNL ELITE ACCESS	138,857.96	28.93	0.00	28.93	92.0	26.62
03/31/2017	DEMKO, VERNA	JNL PERSPECTIVE	50,334.34	10.49	0.00	10.49	92.0	9.65

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: VARIABLE ANNUITIES</u>								
03/31/2017	LONG, PAUL	JNL PERSPECTIVE II 05/05	3,450.51	1.44	0.00	1.44	92.0	1.32
03/31/2017	LONG, LORI	JNL PERSPECTIVE L	14,676.42	12.23	0.00	12.23	92.0	11.25
03/31/2017	BENSCH, ARLYN	JNL PERSPECTIVE L	31,177.97	25.98	0.00	25.98	92.0	23.90
03/31/2017	BENSCH, CANDACE	JNL PERSPECTIVE L	26,503.04	22.09	0.00	22.09	92.0	20.32
03/31/2017	KRALL, JERRY	JOHN HANCOCK VENTURE III	42,746.64	35.62	0.00	35.62	92.0	32.77
03/31/2017	KEEFE, GERALD	JOHN HANCOCK VENTURE III	14,145.61	11.79	0.00	11.79	92.0	10.85
03/31/2017	HEINAMAN, ROBERT	JOHN HANCOCK VENTURE III	109,508.22	91.26	0.00	91.26	92.0	83.96
03/31/2017	KRAUS, JUDITH	JOHN HANCOCK VENTURE III	43,512.16	36.26	0.00	36.26	92.0	33.36
03/31/2017	GARDNER, WM	JOHN HANCOCK VENTURE III	121,379.91	101.15	0.00	101.15	92.0	93.06
03/31/2017	SILLIMAN, GRACE	JOHN HANCOCK VENTURE III	61,980.10	51.65	0.00	51.65	92.0	47.52
03/31/2017	CURSON, BEVERLY	JOHN HANCOCK VENTURE III	60,864.37	50.72	0.00	50.72	92.0	46.66
03/31/2017	JANICKI, KATHERINE	JOHN HANCOCK VENTURE III	106,942.40	89.12	0.00	89.12	92.0	81.99
03/31/2017	MOORE, GARY	JOHN HANCOCK VENTURE III	83,444.45	69.54	0.00	69.54	92.0	63.98
03/31/2017	IRWIN, JOHN	JOHN HANCOCK VENTURE III	70,759.94	58.97	0.00	58.97	92.0	54.25
03/31/2017	WAGONER JR, JOHN	JOHN HANCOCK VENTURE III	54,202.34	45.17	0.00	45.17	92.0	41.56
03/31/2017	WOODRUFF, STEPHANIE	JOHN HANCOCK VENTURE III	53,862.89	44.89	0.00	44.89	92.0	41.30
03/31/2017	AUBRY, PATRICIA	METLIFE SERIES L	56,046.03	140.12	0.00	140.12	92.0	128.91
03/31/2017	CURSON, FRANK	METLIFE SERIES L	120,173.40	300.43	0.00	300.43	92.0	276.40
03/31/2017	AUBRY, PATRICIA	METLIFE SERIES L	44,463.79	111.16	0.00	111.16	92.0	102.27
03/31/2017	SCHLIEVERT, LYLE	METLIFE SERIES L	66,203.99	165.51	0.00	165.51	92.0	152.27
03/31/2017	GERMAN, MARIANNE	METLIFE SERIES L	10,123.93	25.31	0.00	25.31	92.0	23.29
03/31/2017	VALIQUETTE, PAUL	METLIFE SERIES L	21,519.97	53.80	0.00	53.80	92.0	49.50
03/31/2017	MOORE, GARY	METLIFE SERIES L	117,235.79	293.09	0.00	293.09	92.0	269.64
03/31/2017	KRAUS, JUDITH	METLIFE SERIES L	62,023.48	155.06	0.00	155.06	92.0	142.66
03/31/2017	VALADE, JANET	METLIFE SERIES L	56,846.33	142.12	0.00	142.12	92.0	130.75
03/31/2017	VALIQUETTE, MYRNA	METLIFE SERIES L	20,397.15	50.99	0.00	50.99	92.0	46.91
03/31/2017	KOZLOWSKI, KENNETH	METLIFE SERIES L	30,522.95	76.31	0.00	76.31	92.0	70.21
03/31/2017	VALIQUETTE, MYRNA	METLIFE SERIES L	23,136.87	57.84	0.00	57.84	92.0	53.21
03/31/2017	CURSON, BEVERLY	METLIFE SERIES L	60,089.96	150.22	0.00	150.22	92.0	138.20
03/31/2017	HOLDINSKY, PATRICIA	METLIFE SERIES L	102,753.76	256.88	0.00	256.88	92.0	236.33
03/31/2017	COLEMAN, PARISS	METLIFE SERIES L	124,206.36	310.52	0.00	310.52	92.0	285.68
03/31/2017	WASSERMAN, RICHARD	METLIFE SERIES L	10,091.05	25.23	0.00	25.23	92.0	23.21
03/31/2017	SMITH, SUZANNE	METLIFE SERIES L	231,454.77	578.64	0.00	578.64	92.0	532.35

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: VARIABLE ANNUITIES</u>								
03/31/2017	KOZIARSKI, RICHARD	METLIFE SERIES L	54,324.72	135.81	0.00	135.81	92.0	124.95
03/31/2017	DRUCKENMILLER, CHRISTINA	METLIFE SERIES L	181,983.97	454.96	0.00	454.96	92.0	418.56
03/31/2017	BOWSER, DANIEL	METLIFE SERIES L	52,023.08	130.06	0.00	130.06	92.0	119.66
03/31/2017	IRWIN, JOHN	METLIFE SERIES L	122,834.01	307.09	0.00	307.09	92.0	282.52
03/31/2017	MOORE, LINDA	METLIFE SERIES L	12,041.75	30.10	0.00	30.10	92.0	27.69
03/31/2017	GARDNER, SHARYL	METLIFE SERIES L	117,150.68	292.88	0.00	292.88	92.0	269.45
03/31/2017	GARDNER, WM	METLIFE SERIES L	11,651.67	29.13	0.00	29.13	92.0	26.80
03/31/2017	KRALL, GARY	METLIFE SERIES L	20,828.87	52.07	0.00	52.07	92.0	47.90
03/31/2017	HELMINIAK, CAROLYN	METLIFE SERIES L	53,934.24	134.84	0.00	134.84	92.0	124.05
03/31/2017	SWINDLE, CYNTHIA	METLIFE SERIES L	11,704.58	29.26	0.00	29.26	92.0	26.92
03/31/2017	ROSS, DANIEL	METLIFE SERIES L	21,522.38	53.81	0.00	53.81	92.0	49.51
03/31/2017	SCHNITKEY, KAREN	METLIFE SERIES L	59,278.26	148.20	0.00	148.20	92.0	136.34
03/31/2017	HAMAKER, SCOTT	METLIFE SERIES L	56,749.76	141.87	0.00	141.87	92.0	130.52
03/31/2017	WAGONER JR, JOHN	METLIFE SERIES L	50,072.76	125.18	0.00	125.18	92.0	115.17
03/31/2017	WOODRUFF, STEPHANIE	METLIFE SERIES L	49,754.40	124.39	0.00	124.39	92.0	114.44
03/29/2017	REEVES, TERRENCE	MML ARTISTRY	140.00	7.70	0.00	7.70	92.0	7.08
04/01/2017	FISCHER, DAVID	NATIONWIDE BOA FUTURE II 32	202,918.77	253.65	0.00	253.65	92.0	233.36
04/01/2017	DOUGHERTY, RICO	NATIONWIDE DESTINATION L2 01	91,450.64	228.63	0.00	228.63	92.0	210.34
04/01/2017	ZINK, ROBERT	NATIONWIDE DESTINATION L2 01	328,909.57	822.27	0.00	822.27	92.0	756.49
04/01/2017	SCHNEIDER, MARGARET	NATIONWIDE DESTINATION LS 96	162,415.47	406.04	0.00	406.04	92.0	373.56
04/01/2017	HAUSFELD, DAVID	NATIONWIDE DESTINATION LS 96	165,270.39	413.18	0.00	413.18	92.0	380.13
04/01/2017	GERMAN, MARILYN	NATIONWIDE DESTINATION LS 96	126,721.39	316.80	0.00	316.80	92.0	291.46
04/01/2017	COUSINO TRUST, SUSAN	NATIONWIDE DESTINATION LS 96	358,281.58	895.70	0.00	895.70	92.0	824.04
04/01/2017	PEAKE, CAROL	NATIONWIDE DESTINATION LS 96	119,563.72	298.91	0.00	298.91	92.0	275.00
04/01/2017	MOORE, GARY	NATIONWIDE DESTINATION LS 96	87,622.54	219.06	0.00	219.06	92.0	201.54
04/01/2017	HEINAMAN, ROBERT	NATIONWIDE DESTINATION LS 96	113,352.15	283.38	0.00	283.38	92.0	260.71
04/01/2017	STEDCKE III, CLYDE	NATIONWIDE DESTINATION LS 96	151,165.15	377.91	0.00	377.91	92.0	347.68
04/01/2017	BRAUN, CHARLENE	NATIONWIDE DESTINATION LS 96	156,213.59	390.53	0.00	390.53	92.0	359.29
04/01/2017	IRWIN, JOHN	NATIONWIDE DESTINATION LS 96	126,494.26	316.24	0.00	316.24	92.0	290.94
04/01/2017	DUBENDORFER, SUSAN	NATIONWIDE DESTINATION LS 96	126,933.06	317.33	0.00	317.33	92.0	291.94
04/01/2017	MCBROOM, DENNIS	NATIONWIDE DESTINATION LS 96	125,536.89	313.84	0.00	313.84	92.0	288.73
04/01/2017	BRAUN, WILLIAM	NATIONWIDE DESTINATION LS 96	186,880.99	467.20	0.00	467.20	92.0	429.82
04/01/2017	SZABO, BONITA	NATIONWIDE DESTINATION LS 96	23,930.13	59.83	0.00	59.83	92.0	55.04

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<u>BROKER TRANSACTIONS</u>								
PRODUCT CATEGORY: VARIABLE ANNUITIES								
03/14/2017	CUMMINGS, BARBARA	TRANSAMERICA LIBERTY	146,177.17	121.81	0.00	121.81	92.0	112.07
03/20/2017	DOUGHERTY, RICO	TRANSAMERICA LIBERTY	100,500.34	83.75	0.00	83.75	92.0	77.05
03/21/2017	DEMKO, VERNA	TRANSAMERICA LIBERTY	79,289.44	66.07	0.00	66.07	92.0	60.78
03/22/2017	HOLLOWAY, LINDA	TRANSAMERICA LIBERTY	194,699.49	162.25	0.00	162.25	92.0	149.27
03/27/2017	ROSS, SUSAN	TRANSAMERICA LIBERTY	2,328.42	1.94	0.00	1.94	92.0	1.78
03/29/2017	DULINSKY, SHERRY	TRANSAMERICA LIBERTY	26,659.92	22.22	0.00	22.22	92.0	20.44
* VARIABLE ANNUITIES SUBTOTAL *			\$6,825,863.28	\$13,332.56	\$0.00	\$13,332.56		\$12,265.96
PRODUCT CATEGORY: VARIABLE ANNUITY 12B1 TRAILS								
03/31/2017	FOX, JOSEPH	LFG TRAILS	0.00	12.39	0.00	12.39	92.0	11.40
03/31/2017	SMOOT, C STEVEN	LFG TRAILS	0.00	159.55	0.00	159.55	92.0	146.79
03/31/2017	VALADE, JOHN	LFG TRAILS	0.00	7.68	0.00	7.68	92.0	7.07
03/31/2017	HUNTER, DEBORAH	LFG TRAILS	0.00	13.46	0.00	13.46	92.0	12.38
03/31/2017	KORAKAS, LARRY	LFG TRAILS	0.00	20.40	0.00	20.40	92.0	18.77
03/31/2017	VALADE, DEANNA	LFG TRAILS	0.00	69.02	0.00	69.02	92.0	63.50
03/31/2017	CURSON, BEVERLY	LFG TRAILS	0.00	27.08	0.00	27.08	92.0	24.91
03/26/2017	HEINAMAN, ROBERT	ING PREMIUM PLUS	0.00	211.56	0.00	211.56	92.0	194.64
* VARIABLE ANNUITY 12B1 TRAILS SUBTOTAL *			\$0.00	\$521.14	\$0.00	\$521.14		\$479.46
*** BROKER TRANSACTIONS TOTAL ***			\$6,826,695.19	\$14,368.64	\$23.41	\$14,345.23		\$13,197.59

OVERRIDE TRANSACTIONS**BROKER: THOMAS HALSEY #82**

03/28/2017	CANNON, BARBARA	AM FUNDS WASHINGTON MUTUAL INVESTOR	50.00	2.50	0.00	2.50	85.0	0.18
04/03/2017	DENHAM, CONSTANCE	AM FUNDS WASHINGTON MUTUAL INVESTOR	400.00	17.00	0.00	17.00	85.0	1.19
/ /	LEROUX, LAURA	BLK MOD 17+ AGE BASED A	0.00	11.25	0.00	11.25	85.0	0.79
/ /	BAKER, ELAINE	FIDELITY ADV GROWTH & INCOME C	0.00	7.32	0.00	7.32	85.0	0.51
/ /	EYLER, BARBARA	FIDELITY ADV GROWTH OPP A	0.00	3.10	0.00	3.10	85.0	0.22
/ /	BAKER, ELAINE	FIDELITY ADV GROWTH OPP C	0.00	4.35	0.00	4.35	85.0	0.30
/ /	KRAL, ADAM	FIDELITY ADV HEALTH CARE T	0.00	1.12	0.00	1.12	85.0	0.08
/ /	FRANTZ, CRAIG	FIDELITY ADV INTL CAP APP C	0.00	5.57	0.00	5.57	85.0	0.39
/ /	BAKER, ELAINE	FIDELITY ADV INTL SMALL CAP OPP C	0.00	3.77	0.00	3.77	85.0	0.26
/ /	BAKER, ELAINE	FIDELITY ADV OVERSEAS C	0.00	3.78	0.00	3.78	85.0	0.26
/ /	BAKER, ELAINE	FIDELITY ADV UTILITIES C	0.00	5.87	0.00	5.87	85.0	0.41

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<u>VERRIDE TRANSACTIONS</u>								
<u>BROKER: THOMAS HALSEY #82</u>								
/ /	BAKER, ELAINE	FIDELITY EQUITY GROWTH C	0.00	6.03	0.00	6.03	85.0	0.42
/ /	FRANTZ, CRAIG	FIDELITY EQUITY GROWTH C	0.00	8.00	0.00	8.00	85.0	0.56
/ /	MARKLEY, JUSTIN	FIDELITY EQUITY GROWTH T	0.00	3.02	0.00	3.02	85.0	0.21
/ /	MARKLEY, JUSTIN	FIDELITY EQUITY INCOME	0.00	5.14	0.00	5.14	85.0	0.36
/ /	EYLER, BARBARA	FIDELITY EQUITY INCOME A	0.00	6.11	0.00	6.11	85.0	0.43
/ /	BAKER, ELAINE	FIDELITY EQUITY INCOME C	0.00	6.02	0.00	6.02	85.0	0.42
/ /	KRAL, ADAM	FIDELITY MIDCAP T	0.00	0.94	0.00	0.94	85.0	0.07
/ /	FRANTZ, CRAIG	FIDELITY SMALL CAP C	0.00	13.88	0.00	13.88	85.0	0.97
/ /	BAKER, ELAINE	FIDELITY SMALL CAP VALUE C	0.00	6.53	0.00	6.53	85.0	0.46
/ /	FRANTZ, CRAIG	FIDELITY TECHNOLOGY C	0.00	5.68	0.00	5.68	85.0	0.40
03/31/2017	DREEZE, MARTIN	HARTFORD LEADERS OUTLOOK (ILA)	885.14	2.21	0.00	2.21	85.0	0.15
03/31/2017	BUEHRER, DANIEL	JNL PERSPECTIVE L	175,201.84	146.00	0.00	146.00	85.0	10.22
03/31/2017	NOWAK, DAVID	JOHN HANCOCK VENTURE III	17,966.73	14.97	0.00	14.97	85.0	1.05
03/31/2017	TANGERMAN, JEANETTE	JOHN HANCOCK VENTURE III	50,939.53	42.45	0.00	42.45	85.0	2.97
03/31/2017	DESELMS, EVELYN	JOHN HANCOCK VENTURE III	40,279.71	33.57	0.00	33.57	85.0	2.35
04/01/2017	DAY, JAMES	MFS MASS INVESTORS TRUST A	0.00	7.48	0.00	7.48	85.0	0.52
03/29/2017	FRANTZ, KIMBERLY	MML ARTISTRY	50.00	2.75	0.00	2.75	85.0	0.19
04/04/2017	PRZYBYLSKI, JEREMIAH	MML ARTISTRY	100.00	5.50	0.00	5.50	85.0	0.39
04/01/2017	PRZYBYLSKI, DIANA	NATIONWIDE DESTINATION LS 96	93,364.38	233.41	0.00	233.41	85.0	16.34
03/02/2017	PRZBYLSKI, MICHAEL	TRANSAMERICA LIBERTY	130,475.66	108.73	0.00	108.73	85.0	7.61
03/05/2017	BAUMGARTNER, DIANA	TRANSAMERICA LIBERTY	100,857.64	84.05	0.00	84.05	85.0	5.88
03/05/2017	FRANTZ, JUDITH	TRANSAMERICA LIBERTY	84,489.79	70.41	0.00	70.41	85.0	4.93
03/06/2017	BEISWENGER, RANDALL	TRANSAMERICA LIBERTY	222,835.16	185.70	0.00	185.70	85.0	13.00
03/07/2017	EYLER, BARBARA	TRANSAMERICA LIBERTY	95,435.02	79.53	0.00	79.53	85.0	5.57
03/07/2017	BUEHRER, SARAH	TRANSAMERICA LIBERTY	127,454.46	106.21	0.00	106.21	85.0	7.43
03/07/2017	BUEHRER, DANIEL	TRANSAMERICA LIBERTY	143,118.96	119.27	0.00	119.27	85.0	8.35
03/07/2017	LUCARELLI JR, VICTOR	TRANSAMERICA LIBERTY	183,284.83	152.74	0.00	152.74	85.0	10.69
03/08/2017	FERGUSON, MARK	TRANSAMERICA LIBERTY	216,324.75	180.27	0.00	180.27	85.0	12.62
03/08/2017	DE SELMS, KAREN	TRANSAMERICA LIBERTY	128,643.04	107.20	0.00	107.20	85.0	7.50
03/09/2017	KREMPEC, JEFFREY	TRANSAMERICA LIBERTY	174,433.90	145.36	0.00	145.36	85.0	10.18
03/10/2017	THANASIU, THOMAS	TRANSAMERICA LIBERTY	106,714.41	88.93	0.00	88.93	85.0	6.23
03/10/2017	HALSEY, WILLIAM	TRANSAMERICA LIBERTY	92,297.37	76.91	0.00	76.91	85.0	5.38
03/10/2017	RIEBE, MICHAEL	TRANSAMERICA LIBERTY	86,325.33	71.94	0.00	71.94	85.0	5.04

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u> OVERRIDE TRANSACTIONS </u>								
<u> BROKER: THOMAS HALSEY #82 </u>								
03/12/2017	DIENER, JUDITH	TRANSAMERICA LIBERTY	134,307.31	111.92	0.00	111.92	85.0	7.83
03/12/2017	RUCH, RONALD	TRANSAMERICA LIBERTY	65,009.19	54.17	0.00	54.17	85.0	3.79
03/13/2017	ZOLNER, MERIBETH	TRANSAMERICA LIBERTY	28,488.45	23.74	0.00	23.74	85.0	1.66
03/16/2017	BAKER, ELAINE	TRANSAMERICA LIBERTY	206,154.37	171.80	0.00	171.80	85.0	12.03
03/19/2017	KREMPEC, KAY	TRANSAMERICA LIBERTY	76,285.74	63.57	0.00	63.57	85.0	4.45
03/19/2017	KREMPEC, KAY	TRANSAMERICA LIBERTY	76,285.74	63.57	0.00	63.57	85.0	4.45
03/19/2017	KREMPEC, KAY	TRANSAMERICA LIBERTY	76,285.74	63.57	0.00	63.57	85.0	4.45
03/21/2017	DENHAM, CONSTANCE	TRANSAMERICA LIBERTY	185,395.09	154.50	0.00	154.50	85.0	10.82
03/22/2017	AUGUSTYNYIAK JR, ROGER	TRANSAMERICA LIBERTY	418,474.69	348.73	0.00	348.73	85.0	24.41
03/22/2017	NOWAK JR, ROBERT	TRANSAMERICA LIBERTY	91,299.53	76.08	0.00	76.08	85.0	5.33
03/25/2017	PERRY, ALAN	TRANSAMERICA LIBERTY	391,739.77	326.45	0.00	326.45	85.0	22.85
03/25/2017	TAYLOR, LILY	TRANSAMERICA LIBERTY	82,767.82	68.97	0.00	68.97	85.0	4.83
03/26/2017	ANNESSE, CAROL	TRANSAMERICA LIBERTY	127,940.17	106.62	0.00	106.62	85.0	7.46
03/27/2017	DESELMs, KAREN	TRANSAMERICA LIBERTY	117,073.44	97.56	0.00	97.56	85.0	6.83
03/27/2017	WRAY, JOCELYN	TRANSAMERICA LIBERTY	27,597.99	23.00	0.00	23.00	85.0	1.61
03/27/2017	WRAY, KIM	TRANSAMERICA LIBERTY	57,768.28	48.14	0.00	48.14	85.0	3.37
03/27/2017	KREMPEC, KAY	TRANSAMERICA LIBERTY	36,652.26	30.54	0.00	30.54	85.0	2.14
03/30/2017	LUCARELLI, KRISTY	TRANSAMERICA LIBERTY	46,765.13	38.97	0.00	38.97	85.0	2.73
04/03/2017	WRAY, KIM	TRANSAMERICA LIBERTY	6,500.00	260.00	0.00	260.00	85.0	18.20
* THOMAS HALSEY SUBTOTAL *			\$4,524,718.36	\$4,324.47	\$0.00	\$4,324.47		\$302.72
<u> BROKER: ROBERT THOMPSON #83 </u>								
03/31/2017	FLECK, MARTHA	ALLIANZ VALUEMARK II	26,266.74	16.42	0.00	16.42	90.0	0.33
03/31/2017	DEMPSEY, GLENN	AM FUNDS BOND FUND OF AMERICA A	14,124.61	423.74	0.00	423.74	90.0	8.47
04/03/2017	DEMPSEY, CAMERON	AM FUNDS BOND FUND OF AMERICA A	14,128.91	423.87	0.00	423.87	90.0	8.48
03/22/2017	RUTLEDGE, JOANNE	GOOD HARBOR TACTICAL CORE US FD A	0.00	4.36	0.00	4.36	90.0	0.09
03/29/2017	MICHALSKI, PAIGE	JNL PERSPECTIVE	150.00	10.13	0.00	10.13	90.0	0.20
03/31/2017	RICHARDS, MILDRED	JNL PERSPECTIVE	38,289.32	7.98	0.00	7.98	90.0	0.16
03/31/2017	FLECK, GERALD	JNL PERSPECTIVE II 05/05	2,127.14	1.33	0.00	1.33	90.0	0.03
03/31/2017	WENZ, PATRICIA	JOHN HANCOCK VENTURE III	41,850.36	34.88	0.00	34.88	90.0	0.70
03/31/2017	SMITH, FRANK	JOHN HANCOCK VENTURE III	100,834.05	84.03	0.00	84.03	90.0	1.68
03/31/2017	MURANYI, MARILYN	JOHN HANCOCK VENTURE III	26,774.40	22.31	0.00	22.31	90.0	0.45
03/31/2017	SCHUMACHER, EDWARD	JOHN HANCOCK VENTURE III	38,381.36	31.98	0.00	31.98	90.0	0.64
03/31/2017	MAXFIELD, DARALEE	JOHN HANCOCK VENTURE III	128,587.97	107.16	0.00	107.16	90.0	2.14

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u> OVERRIDE TRANSACTIONS </u>								
<u> BROKER: ROBERT THOMPSON #83 </u>								
03/31/2017	GRUBB, BEVERLY	JOHN HANCOCK VENTURE III	138,417.01	115.35	0.00	115.35	90.0	2.31
03/31/2017	GRAHAM, JUDY	JOHN HANCOCK VENTURE III	171,731.96	143.11	0.00	143.11	90.0	2.86
03/31/2017	HUBAY, BERNICE	JOHN HANCOCK VENTURE III	24,325.14	20.27	0.00	20.27	90.0	0.41
03/31/2017	LABERDEE, PAUL	JOHN HANCOCK VENTURE III	46,707.49	38.92	0.00	38.92	90.0	0.78
03/31/2017	SZAFAROWICZ, JOSEPH	JOHN HANCOCK VENTURE III	17,177.60	14.31	0.00	14.31	90.0	0.29
03/31/2017	MUIR TRUST, JOHN & JOANN	JOHN HANCOCK VENTURE III	24,761.03	20.63	0.00	20.63	90.0	0.41
03/31/2017	HILEMAN, RONALD	JOHN HANCOCK VENTURE III	169,108.46	140.92	0.00	140.92	90.0	2.82
03/31/2017	ELWING, LOUISE	JOHN HANCOCK VENTURE III	157,683.70	131.40	0.00	131.40	90.0	2.63
03/31/2017	DOUGHERTY, ELNORA	JOHN HANCOCK VENTURE III	154,349.51	128.62	0.00	128.62	90.0	2.57
03/31/2017	MAXFIELD, RICHARD	JOHN HANCOCK VENTURE III	215,929.58	179.94	0.00	179.94	90.0	3.60
03/31/2017	GAJEWSKI, WILLADEANE	JOHN HANCOCK VENTURE III	42,616.44	35.51	0.00	35.51	90.0	0.71
03/31/2017	BUEHLER, ARNOLD	JOHN HANCOCK VENTURE III	117,912.82	98.26	0.00	98.26	90.0	1.97
03/31/2017	RICE, PAMELA	JOHN HANCOCK VENTURE III	110,031.37	91.69	0.00	91.69	90.0	1.83
03/31/2017	RINGGER, LINDA	JOHN HANCOCK VENTURE III	119,739.64	99.78	0.00	99.78	90.0	2.00
03/31/2017	SEITZINGER, MARK	JOHN HANCOCK VENTURE III	23,791.90	19.83	0.00	19.83	90.0	0.40
03/31/2017	WODA, HELENE	JOHN HANCOCK VENTURE III	29,074.72	24.23	0.00	24.23	90.0	0.48
04/01/2017	BLADEL, JACQUELYN	NATIONWIDE DESTINATION L2 01	74,661.60	186.65	0.00	186.65	90.0	3.73
04/01/2017	OSTER, JOHN	NATIONWIDE DESTINATION L2 01	75,693.25	189.23	0.00	189.23	90.0	3.78
04/01/2017	SMITH, HELENE	NATIONWIDE DESTINATION LS 96	33,707.92	84.27	0.00	84.27	90.0	1.69
04/01/2017	RICE, SUSAN	NATIONWIDE DESTINATION LS 96	126,072.07	315.18	0.00	315.18	90.0	6.30
04/01/2017	MOORE, EILEEN	NATIONWIDE DESTINATION LS 96	91,593.20	228.98	0.00	228.98	90.0	4.58
04/01/2017	MOORE, EILEEN	NATIONWIDE DESTINATION LS 96	98,947.54	247.37	0.00	247.37	90.0	4.95
04/01/2017	MOORE, EILEEN	NATIONWIDE DESTINATION LS 96	94,341.69	235.85	0.00	235.85	90.0	4.72
04/01/2017	ROSSWURM, ELAINE	NATIONWIDE DESTINATION LS 96	211,147.11	527.87	0.00	527.87	90.0	10.56
04/01/2017	SHAFFER, EMILY	NATIONWIDE DESTINATION LS 96	91,850.95	229.63	0.00	229.63	90.0	4.59
04/01/2017	COOPER, MARK	NATIONWIDE DESTINATION LS 96	106,130.32	265.33	0.00	265.33	90.0	5.31
04/01/2017	JACOB, MARILYN	NATIONWIDE DESTINATION LS 96	92,929.42	232.32	0.00	232.32	90.0	4.65
04/01/2017	GRIM, SUSAN	NW DESTINATION B2 05	8,000.41	15.00	0.00	15.00	90.0	0.30
04/01/2017	GRUBB, BEVERLY	NWL DESTINATION EV2 01	75,891.95	47.43	0.00	47.43	90.0	0.95
/ /	FLECK, KATHRYN	OPPENHEIMER CAPITAL APPRECIATION A	0.00	1.78	0.00	1.78	90.0	0.04
/ /	FLECK, KATHRYN	OPPENHEIMER MAIN STREET A	0.00	2.37	0.00	2.37	90.0	0.05
/ /	FLECK, KATHRYN	OPPENHEIMER QUEST OPP VALUE A	0.00	1.57	0.00	1.57	90.0	0.03
/ /	FLECK, KATHRYN	OPPENHEIMER SMALL MID CAP VALUE A	0.00	4.18	0.00	4.18	90.0	0.08

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<u> OVERRIDE TRANSACTIONS </u>								
<u> BROKER: ROBERT THOMPSON #83 </u>								
03/29/2017	FLECK, GERALD	TRANSAMERICA FREEDOM 2008	55,316.77	57.62	0.00	57.62	90.0	1.15
03/02/2017	RINGGER, MARK	TRANSAMERICA LIBERTY	131,087.90	109.24	0.00	109.24	90.0	2.18
03/04/2017	SCHMIDBAUER, JOSEPH	TRANSAMERICA LIBERTY	4,445.98	3.70	0.00	3.70	90.0	0.07
03/05/2017	MOORE, EILEEN	TRANSAMERICA LIBERTY	246,781.23	205.65	0.00	205.65	90.0	4.11
03/05/2017	MERZ, JOYCE	TRANSAMERICA LIBERTY	23,527.59	19.61	0.00	19.61	90.0	0.39
03/07/2017	RECKNER, COURTNEY	TRANSAMERICA LIBERTY	6,036.51	5.03	0.00	5.03	90.0	0.10
03/08/2017	ROSSWURM, ELAINE	TRANSAMERICA LIBERTY	93,466.06	77.89	0.00	77.89	90.0	1.56
03/09/2017	MUIR TRUST, JOHN & JOANN	TRANSAMERICA LIBERTY	48,554.43	40.46	0.00	40.46	90.0	0.81
03/12/2017	LABERDEE, LARRY	TRANSAMERICA LIBERTY	30,784.79	25.65	0.00	25.65	90.0	0.51
03/13/2017	WODA, HELENE	TRANSAMERICA LIBERTY	39,181.53	32.65	0.00	32.65	90.0	0.65
03/13/2017	FURNEY, DANNY	TRANSAMERICA LIBERTY	253,963.01	211.64	0.00	211.64	90.0	4.23
03/13/2017	MERZ, EDWIN	TRANSAMERICA LIBERTY	156,232.46	130.19	0.00	130.19	90.0	2.60
03/13/2017	BLADEL, JACQUELYN	TRANSAMERICA LIBERTY	75,973.38	63.31	0.00	63.31	90.0	1.27
03/15/2017	THOMPSON, ROBERT	TRANSAMERICA LIBERTY	502.87	0.42	0.00	0.42	90.0	0.01
03/15/2017	RICE, CHERYL	TRANSAMERICA LIBERTY	2,544.35	2.12	0.00	2.12	90.0	0.04
03/15/2017	JACOB, MARILYN	TRANSAMERICA LIBERTY	226,763.28	188.97	0.00	188.97	90.0	3.78
03/16/2017	LABERDEE, JOYCE	TRANSAMERICA LIBERTY	115,835.18	96.53	0.00	96.53	90.0	1.93
03/16/2017	RICE SR, RUSSELL	TRANSAMERICA LIBERTY	2,585.78	2.15	0.00	2.15	90.0	0.04
03/16/2017	RICE, SUSAN	TRANSAMERICA LIBERTY	122,125.86	101.77	0.00	101.77	90.0	2.04
03/17/2017	OSTER, JENNIFER	TRANSAMERICA LIBERTY	26,451.71	22.04	0.00	22.04	90.0	0.44
03/21/2017	MERZ, JOYCE	TRANSAMERICA LIBERTY	98,071.21	81.73	0.00	81.73	90.0	1.63
03/22/2017	SEXTON TRUST, MARY LOU	TRANSAMERICA LIBERTY	83,078.93	69.23	0.00	69.23	90.0	1.38
03/22/2017	SCHWEINHAGEN, RITA	TRANSAMERICA LIBERTY	39,228.66	32.69	0.00	32.69	90.0	0.65
03/22/2017	JEFFERS, DAVID	TRANSAMERICA LIBERTY	108,936.66	90.78	0.00	90.78	90.0	1.82
03/23/2017	SEITZINGER, MARK	TRANSAMERICA LIBERTY	62,162.35	51.80	0.00	51.80	90.0	1.04
03/23/2017	MERZ, JOYCE	TRANSAMERICA LIBERTY	97,504.55	81.25	0.00	81.25	90.0	1.63
03/24/2017	HALL, WAYNE	TRANSAMERICA LIBERTY	173,120.01	144.27	0.00	144.27	90.0	2.89
03/24/2017	RUTLEDGE, JOANNE	TRANSAMERICA LIBERTY	215,770.88	179.81	0.00	179.81	90.0	3.60
03/26/2017	WENZ, JAMES	TRANSAMERICA LIBERTY	26,889.50	22.41	0.00	22.41	90.0	0.45
03/26/2017	FISH, SANDRA	TRANSAMERICA LIBERTY	77,851.22	64.88	0.00	64.88	90.0	1.30
03/26/2017	ZAWODNI, CAROL	TRANSAMERICA LIBERTY	150,037.29	125.03	0.00	125.03	90.0	2.50
03/26/2017	RICE, PAMELA	TRANSAMERICA LIBERTY	58,622.68	48.85	0.00	48.85	90.0	0.98
03/27/2017	DAVIS, HOWARD	TRANSAMERICA LIBERTY	32,311.15	26.93	0.00	26.93	90.0	0.54

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<u> OVERRIDE TRANSACTIONS </u>								
<u> BROKER: ROBERT THOMPSON #83 </u>								
03/28/2017	COOPER, MARK	TRANSAMERICA LIBERTY	109,766.33	91.47	0.00	91.47	90.0	1.83
03/29/2017	SHAFFER, EMILY	TRANSAMERICA LIBERTY	167,190.14	139.33	0.00	139.33	90.0	2.79
* ROBERT THOMPSON SUBTOTAL *			\$6,338,542.89	\$7,933.07	\$0.00	\$7,933.07		\$158.69
*** OVERRIDE TRANSACTIONS TOTAL ***			\$10,863,261.25	\$12,257.54	\$0.00	\$12,257.54		\$461.41

ADJUSTMENTS

04/15/2017	*E & O INSURANCE: CURRENT MONTH INS	0.00						-300.00
04/15/2017	*TECHNOLOGY: ADMIN - DEB RYAN	0.00						-100.00
04/15/2017	*TECHNOLOGY: ADMIN - J BOYERS	0.00						-100.00
04/15/2017	*TECHNOLOGY: CURRENT MONTH TECH	0.00						-275.00
*** ADJUSTMENTS TOTAL ***			\$0.00	\$0.00	\$0.00	\$0.00		\$-775.00

BROKER COMMISSION TOTALS

Broker Transactions	\$13,197.59
Split Transactions	\$0.00
Override Transactions	\$461.41
Adjustments	\$-775.00
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$0.00
FINRA Assessment	\$0.00
SIPC Assessment	\$0.00

Check Amount	\$12,884.00
Year-to-date Gross	\$45,087.88
Year-to-date Earnings	\$43,165.87

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