



Concorde Investment Services, LLC

01/13/2017
Page No. 1

COMMISSION STATEMENT

January 17, 2017

BARTHOLOMEW MACKLER
1120 E. Long Lake Road
Suite 250
Troy, MI 48085

BROKER #: M121
BRANCH: CONCORDE FINANCIAL G

| DATE | CLIENT | INVESTMENT | INVESTMENT AMOUNT | GROSS COMMISSION | CLEARING CHARGE | NET COMMISSION | RATE | BROKER COMMISSION |
|---|-----------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u>BROKER TRANSACTIONS</u> | | | | | | | | |
| <u>PRODUCT CATEGORY: REIT</u> | | | | | | | | |
| 01/03/2017 | HERRADA, ROBERT | MOODY NATIONAL REIT II | 25,000.00 | 1,750.00 | 0.00 | 1,750.00 | 90.0 | 1,575.00 |
| 12/20/2016 | JOHNSON, WILLIAM | PREFERRED APARTMENT COMMUNITIES | 19,000.00 | 1,330.00 | 0.00 | 1,330.00 | 90.0 | 1,197.00 |
| * REIT SUBTOTAL * | | | \$44,000.00 | \$3,080.00 | \$0.00 | \$3,080.00 | | \$2,772.00 |
| <u>PRODUCT CATEGORY: FIXED INDEX ANNUITIES</u> | | | | | | | | |
| 01/01/2017 | LAW, KEVIN | ALLIANZ 360 FIXED | 0.00 | 105.38 | 0.00 | 105.38 | 90.0 | 94.84 |
| 01/06/2017 | MACKLER, CYNTHIA | NATIONWIDE NEW HEIGHTS FIA | 20,000.00 | 1,300.00 | 0.00 | 1,300.00 | 90.0 | 1,170.00 |
| * FIXED INDEX ANNUITIES SUBTOTAL * | | | \$20,000.00 | \$1,405.38 | \$0.00 | \$1,405.38 | | \$1,264.84 |
| <u>PRODUCT CATEGORY: MUTUAL FUNDS</u> | | | | | | | | |
| 12/15/2016 | HORTON, RICHARD | ALLIANZ INCOME & GROWTH FND | 7,000.00 | 50.00 | 0.00 | 50.00 | 90.0 | 45.00 |
| 12/09/2016 | LINGEMANN, HELEN | AM FUNDS CAPITAL INCOME BUILDER A | 0.00 | 35.44 | 0.00 | 35.44 | 90.0 | 31.90 |
| 12/09/2016 | KALOHN TRUST, RUTHANN | AM FUNDS GROWTH FUND OF AMERICA C | 0.00 | 46.58 | 0.00 | 46.58 | 90.0 | 41.92 |
| 12/09/2016 | BAUGHMAN, MICHELE | AM FUNDS GROWTH FUND OF AMERICA C | 0.00 | 26.09 | 0.00 | 26.09 | 90.0 | 23.48 |
| 12/09/2016 | BAUGHMAN, MICHELE | AM FUNDS GROWTH FUND OF AMERICA F1 | 0.00 | 14.95 | 0.00 | 14.95 | 90.0 | 13.46 |
| 12/09/2016 | MODZELEWSKI, ERIK | AM FUNDS ICA A | 0.00 | 0.15 | 0.00 | 0.15 | 90.0 | 0.14 |
| 12/09/2016 | ODOM, EDDIE | AM FUNDS ICA A | 0.00 | 3.33 | 0.00 | 3.33 | 90.0 | 3.00 |
| 01/03/2017 | WHEELER, PAUL | AM FUNDS ICA C | 60.00 | 0.60 | 0.00 | 0.60 | 90.0 | 0.54 |
| 01/03/2017 | AFFER, RONALD | AM FUNDS ICA C | 100.00 | 1.00 | 0.00 | 1.00 | 90.0 | 0.90 |
| 01/03/2017 | LOUDERMILK, SCOTT | AM FUNDS ICA C | 320.00 | 3.20 | 0.00 | 3.20 | 90.0 | 2.88 |
| 01/03/2017 | LOCKHART, JOSEPH | AM FUNDS ICA C | 480.00 | 4.80 | 0.00 | 4.80 | 90.0 | 4.32 |
| 12/09/2016 | LINGEMANN, HELEN | AM FUNDS INCOME FUND OF AMERICA A | 0.00 | 14.70 | 0.00 | 14.70 | 90.0 | 13.23 |
| 12/09/2016 | ODOM, EDDIE | AM FUNDS INCOME FUND OF AMERICA A | 0.00 | 27.62 | 0.00 | 27.62 | 90.0 | 24.86 |
| 12/09/2016 | PUSHIES, SUE | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00 | 10.05 | 0.00 | 10.05 | 90.0 | 9.05 |
| 01/03/2017 | CHIECHA, MOLLY | AM FUNDS WASHINGTON MUTUAL INVESTOR | 50.00 | 2.50 | 0.00 | 2.50 | 90.0 | 2.25 |
| 12/09/2016 | MILLER, ROBERT | BLK GLOBAL ALLOCATION B | 0.00 | 3.00 | 0.00 | 3.00 | 90.0 | 2.70 |
| 12/09/2016 | MARSH, GARY | COLUMBIA DIVIDEND OPP A | 0.00 | 4.25 | 0.00 | 4.25 | 90.0 | 3.83 |

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

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|---------------------------------------|-----------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u>BROKER TRANSACTIONS</u> | | | | | | | | |
| PRODUCT CATEGORY: MUTUAL FUNDS | | | | | | | | |
| 12/12/2016 | BAUGHMAN, MICHELE | CREDIT SUISSE COMMODITY RETURN STRA | 3,807.22 | 50.00 | 15.00 | 35.00 | 90.0 | 31.50 |
| 12/09/2016 | JOHNSON, WILLIAM | FEDERATED CAPITAL INCOME B | 15,000.00 | 50.00 | 0.00 | 50.00 | 90.0 | 45.00 |
| 12/08/2016 | HORTON, RICHARD | FEDERATED GLOBAL ALLOCATION B | 16,000.00 | 50.00 | 0.00 | 50.00 | 90.0 | 45.00 |
| 12/21/2016 | WATERMAN, SHARON | INVESCO CHARTER FUND A | 1,000.00 | 50.00 | 0.00 | 50.00 | 90.0 | 45.00 |
| 12/12/2016 | BAUGHMAN, MICHELE | LAZARD EMERGING MARKETS INST | 3,780.04 | 50.00 | 0.00 | 50.00 | 90.0 | 45.00 |
| 12/09/2016 | HORTON, RICHARD | LEGG MASON CLEARBRIDGE TACTICAL DIV | 0.00 | 3.48 | 0.00 | 3.48 | 90.0 | 3.13 |
| / / | GAFFNEY, PAUL | OPPENHEIMER EQUITY A | 0.00 | 3.01 | 0.00 | 3.01 | 90.0 | 2.71 |
| / / | BORR, DIANE | OPPENHEIMER EQUITY INCOME B | 0.00 | 19.86 | 0.00 | 19.86 | 90.0 | 17.87 |
| / / | LOWELL, CATHY | OPPENHEIMER GLOBAL A | 0.00 | 7.31 | 0.00 | 7.31 | 90.0 | 6.58 |
| / / | GAFFNEY, PAUL | OPPENHEIMER GLOBAL OPPORTUNITIES A | 0.00 | 0.77 | 0.00 | 0.77 | 90.0 | 0.69 |
| / / | MAPLEY, CRISSELLA | OPPENHEIMER GLOBAL STRATEGIC INC A | 0.00 | 8.62 | 0.00 | 8.62 | 90.0 | 7.76 |
| / / | WAGNER, CHARLES | OPPENHEIMER GOLD & SPECIAL MINERALS | 0.00 | 12.66 | 0.00 | 12.66 | 90.0 | 11.39 |
| / / | BORR, RUDOLPH | OPPENHEIMER GOLD & SPECIAL MINERALS | 0.00 | 4.74 | 0.00 | 4.74 | 90.0 | 4.27 |
| / / | BORR, DIANE | OPPENHEIMER INTL DIVERSIFIED B | 0.00 | 10.31 | 0.00 | 10.31 | 90.0 | 9.28 |
| / / | CHATTULANI, DIANA | OPPENHEIMER MAIN STREET A | 0.00 | 11.22 | 0.00 | 11.22 | 90.0 | 10.10 |
| 12/09/2016 | TUMINO TRUST, RAPHAEL | PUTNAM EQUITY INCOME A | 0.00 | 5.31 | 0.00 | 5.31 | 90.0 | 4.78 |
| 12/09/2016 | TUMINO TRUST, RAPHAEL | PUTNAM MI TAX EXEMPT INCOME A | 0.00 | 1.39 | 0.00 | 1.39 | 90.0 | 1.25 |
| 01/04/2017 | MACKLER, PATRICK | TRANSAMERICA AA MODERATE A | 0.00 | 1.07 | 0.00 | 1.07 | 90.0 | 0.96 |
| 01/04/2017 | TERRELL, KATHLEEN | TRANSAMERICA AA MODERATE C | 0.00 | 8.63 | 0.00 | 8.63 | 90.0 | 7.77 |
| 01/04/2017 | KRYSTOFF, LAURA | TRANSAMERICA AA MODERATE C | 0.00 | 28.95 | 0.00 | 28.95 | 90.0 | 26.06 |
| 01/04/2017 | MACKLER, PATRICK | TRANSAMERICA MULTI MGR INTL A | 0.00 | 0.81 | 0.00 | 0.81 | 90.0 | 0.73 |
| * MUTUAL FUNDS SUBTOTAL * | | | \$47,597.26 | \$626.40 | \$15.00 | \$611.40 | | \$550.29 |
| PRODUCT CATEGORY: STOCKS | | | | | | | | |
| 12/15/2016 | GEDIGIAN, NARSEES | ***DAIMLER AG | 1,091.70 | 40.00 | 14.00 | 26.00 | 90.0 | 23.40 |
| 12/05/2016 | MAZURKIEWICZ, JOHN | ***NEOVASC INC | 4,914.80 | 50.00 | 14.00 | 36.00 | 90.0 | 32.40 |
| 12/06/2016 | MAZURKIEWICZ, JOHN | ***NEOVASC INC | 7,603.04 | 292.00 | 14.00 | 278.00 | 90.0 | 250.20 |
| 12/07/2016 | MAZURKIEWICZ, JOHN | ***NEOVASC INC | 10,040.00 | 82.00 | 14.00 | 68.00 | 90.0 | 61.20 |
| 12/13/2016 | MAZURKIEWICZ, JOHN | ***NEOVASC INC | 10,360.80 | 192.00 | 14.00 | 178.00 | 90.0 | 160.20 |
| 12/05/2016 | JOHNSON, WILLIAM | AMERICAN WOODMARK CORP | 18,994.50 | 125.00 | 14.00 | 111.00 | 90.0 | 99.90 |
| 12/07/2016 | JOHNSON, WILLIAM | AMERICAN WOODMARK CORP | 19,305.63 | 50.00 | 14.00 | 36.00 | 90.0 | 32.40 |
| 12/09/2016 | LAMARRA, BEN | BANK AMER CORP COM | 2,300.66 | 50.00 | 14.00 | 36.00 | 90.0 | 32.40 |
| 12/13/2016 | WAGNER, MARGARET | CMS ENERGY CORP | 6,446.98 | 22.00 | 14.00 | 8.00 | 90.0 | 7.20 |
| 12/16/2016 | BECK III, FRANKLIN | COEUR D ALENE MINES CORP IDAHO COM | 7,293.60 | 50.00 | 14.00 | 36.00 | 90.0 | 32.40 |

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|--|---------------------|------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u>BROKER TRANSACTIONS</u> | | | | | | | | |
| <u>PRODUCT CATEGORY: STOCKS</u> | | | | | | | | |
| 12/21/2016 | HERRADA, ROBERT | COEUR D ALENE MINES CORP IDAHO COM | 8,873.00 | 50.00 | 14.00 | 36.00 | 90.0 | 32.40 |
| 12/21/2016 | BECK III, FRANKLIN | COEUR D ALENE MINES CORP IDAHO COM | 7,114.40 | 30.00 | 14.00 | 16.00 | 90.0 | 14.40 |
| 12/21/2016 | MAZURKIEWICZ, JOHN | COEUR D ALENE MINES CORP IDAHO COM | 7,122.40 | 50.00 | 14.00 | 36.00 | 90.0 | 32.40 |
| 12/05/2016 | LOWELL, THOMAS | CYTOSORBENTS CORPORATION | 3,675.00 | 50.00 | 14.00 | 36.00 | 90.0 | 32.40 |
| 12/14/2016 | JOHNSON, WILLIAM | CYTOSORBENTS CORPORATION | 2,527.82 | 50.00 | 14.00 | 36.00 | 90.0 | 32.40 |
| 12/07/2016 | JOHNSON, WILLIAM | DRIL-QUIP INC | 18,087.75 | 172.00 | 14.00 | 158.00 | 90.0 | 142.20 |
| 12/07/2016 | WAGNER, MARGARET | DRIL-QUIP INC | 6,760.88 | 92.00 | 14.00 | 78.00 | 90.0 | 70.20 |
| 12/09/2016 | HORTON, NANCY | DRIL-QUIP INC | 18,774.42 | 242.00 | 14.00 | 228.00 | 90.0 | 205.20 |
| 12/09/2016 | HERRADA, ROBERT | DRIL-QUIP INC | 18,741.24 | 282.00 | 14.00 | 268.00 | 90.0 | 241.20 |
| 12/12/2016 | GEDIGIAN, NARSEES | DRIL-QUIP INC | 8,428.38 | 75.00 | 14.00 | 61.00 | 90.0 | 54.90 |
| 12/13/2016 | WAGNER, MARGARET | DRIL-QUIP INC | 6,392.65 | 50.00 | 14.00 | 36.00 | 90.0 | 32.40 |
| 12/16/2016 | QUENNEVILLE, JEROME | DRIL-QUIP INC | 11,242.49 | 142.00 | 14.00 | 128.00 | 90.0 | 115.20 |
| 12/16/2016 | LEIGH, WILLIAM | DRIL-QUIP INC | 5,932.76 | 92.00 | 14.00 | 78.00 | 90.0 | 70.20 |
| 12/21/2016 | JOHNSON, WILLIAM | DRIL-QUIP INC | 18,362.28 | 50.00 | 14.00 | 36.00 | 90.0 | 32.40 |
| 12/09/2016 | LAMARRA, BEN | FIRSTENERGY CORP COM | 3,106.01 | 50.00 | 14.00 | 36.00 | 90.0 | 32.40 |
| 12/21/2016 | QUENNEVILLE, JEROME | HECLA MINING COMPANY | 7,354.20 | 50.00 | 14.00 | 36.00 | 90.0 | 32.40 |
| 12/08/2016 | ROGERS, PAUL | INTERPACE DIAGNOSTICS GROUP | 1,203.24 | 40.00 | 14.00 | 26.00 | 90.0 | 23.40 |
| 12/13/2016 | ROGERS, PAUL | INTERPACE DIAGNOSTICS GROUP | 1,388.24 | 40.00 | 14.00 | 26.00 | 90.0 | 23.40 |
| 12/21/2016 | HERRADA, ROBERT | KAYNE ANDERSON MLP INVT CO COM | 17,745.33 | 142.00 | 14.00 | 128.00 | 90.0 | 115.20 |
| 12/27/2016 | HORTON, RICHARD | MARTIN MIDSTREAM PARTNERS L P UNIT | 16,704.00 | 144.00 | 14.00 | 130.00 | 90.0 | 117.00 |
| 12/27/2016 | QUENNEVILLE, JEROME | MARTIN MIDSTREAM PARTNERS L P UNIT | 13,785.50 | 92.00 | 14.00 | 78.00 | 90.0 | 70.20 |
| 12/09/2016 | HORTON, RICHARD | MEDTRONIC INC | 9,862.21 | 50.00 | 14.00 | 36.00 | 90.0 | 32.40 |
| 12/12/2016 | GEDIGIAN, NARSEES | MEDTRONIC INC | 8,094.17 | 50.00 | 14.00 | 36.00 | 90.0 | 32.40 |
| 12/01/2016 | QUENNEVILLE, JEROME | MGM RESORTS INTL COM | 12,826.53 | 50.00 | 14.00 | 36.00 | 90.0 | 32.40 |
| 12/01/2016 | MACKLER, PATRICK | MGM RESORTS INTL COM | 7,421.28 | 50.00 | 14.00 | 36.00 | 90.0 | 32.40 |
| 12/02/2016 | ECKERT'S GREENHOUSE | MGM RESORTS INTL COM | 4,067.48 | 50.00 | 14.00 | 36.00 | 90.0 | 32.40 |
| 12/02/2016 | JOHNSON, WILLIAM | MGM RESORTS INTL COM | 17,437.80 | 50.00 | 14.00 | 36.00 | 90.0 | 32.40 |
| 12/20/2016 | QUENNEVILLE, JEROME | PAN AMERN SILVER CORP COM FORMERLY | 1,733.21 | 50.00 | 14.00 | 36.00 | 90.0 | 32.40 |
| 12/21/2016 | BORR, RUDOLPH | PAN AMERN SILVER CORP COM FORMERLY | 14,403.00 | 50.00 | 14.00 | 36.00 | 90.0 | 32.40 |
| 12/21/2016 | BORR, RUDOLPH | PAN AMERN SILVER CORP COM FORMERLY | -14,403.00 | -50.00 | -14.00 | -36.00 | 90.0 | -32.40 |
| 12/21/2016 | HERRADA, ROBERT | PIMCO DYNAMIC INCOME FUND | 8,727.96 | 80.00 | 14.00 | 66.00 | 90.0 | 59.40 |
| 12/21/2016 | MAZURKIEWICZ, JOHN | PIMCO DYNAMIC INCOME FUND | 18,175.63 | 192.00 | 14.00 | 178.00 | 90.0 | 160.20 |
| 12/21/2016 | DIX, DAVID | PIMCO DYNAMIC INCOME FUND | 10,034.88 | 65.00 | 14.00 | 51.00 | 90.0 | 45.90 |

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| <u>BROKER TRANSACTIONS</u> | | | | | | | | |
| <u>PRODUCT CATEGORY: STOCKS</u> | | | | | | | | |
| 12/21/2016 | QUENNEVILLE, JEROME | PIMCO DYNAMIC INCOME FUND | 8,433.14 | 75.00 | 14.00 | 61.00 | 90.0 | 54.90 |
| 12/21/2016 | JOHNSON, WILLIAM | PIMCO DYNAMIC INCOME FUND | 18,175.63 | 140.00 | 14.00 | 126.00 | 90.0 | 113.40 |
| 12/21/2016 | BORR, RUDOLPH | PIMCO DYNAMIC INCOME FUND | 14,542.00 | 92.00 | 14.00 | 78.00 | 90.0 | 70.20 |
| 12/21/2016 | BORR, RUDOLPH | PIMCO DYNAMIC INCOME FUND | -14,542.00 | -92.00 | -14.00 | -78.00 | 90.0 | -70.20 |
| 12/21/2016 | LOWELL, THOMAS | PIMCO DYNAMIC INCOME FUND | 18,920.20 | 125.00 | 14.00 | 111.00 | 90.0 | 99.90 |
| 12/21/2016 | QUENNEVILLE, JEROME | SILVER WHEATON CORP COM ISIN#CA8283 | 1,302.19 | 50.00 | 14.00 | 36.00 | 90.0 | 32.40 |
| 12/20/2016 | QUENNEVILLE, JEROME | SQUARE INC | 13,762.65 | 93.00 | 14.00 | 79.00 | 90.0 | 71.10 |
| 12/20/2016 | HERRADA, ROBERT | SQUARE INC | 14,487.00 | 172.00 | 14.00 | 158.00 | 90.0 | 142.20 |
| 12/20/2016 | LEIGH, WILLIAM | SQUARE INC | 5,070.31 | 92.00 | 14.00 | 78.00 | 90.0 | 70.20 |
| 12/21/2016 | ECKERT'S GREENHOUSE | SQUARE INC | 3,895.18 | 50.00 | 14.00 | 36.00 | 90.0 | 32.40 |
| 12/21/2016 | HORTON, NANCY | SQUARE INC | 19,449.45 | 152.00 | 14.00 | 138.00 | 90.0 | 124.20 |
| 12/09/2016 | HORTON, RICHARD | STEELCASE INC CL A | 16,291.60 | 132.00 | 14.00 | 118.00 | 90.0 | 106.20 |
| 12/09/2016 | HORTON, NANCY | STEELCASE INC CL A | 19,439.40 | 152.00 | 14.00 | 138.00 | 90.0 | 124.20 |
| 12/09/2016 | HERRADA, ROBERT | STEELCASE INC CL A | 16,292.00 | 142.00 | 14.00 | 128.00 | 90.0 | 115.20 |
| 12/21/2016 | HORTON, NANCY | STEELCASE INC CL A | 21,307.68 | 242.00 | 14.00 | 228.00 | 90.0 | 205.20 |
| 12/21/2016 | HERRADA, ROBERT | STEELCASE INC CL A | 17,756.40 | 192.00 | 14.00 | 178.00 | 90.0 | 160.20 |
| 12/27/2016 | HORTON, RICHARD | STEELCASE INC CL A | 17,770.90 | 202.00 | 14.00 | 188.00 | 90.0 | 169.20 |
| 12/01/2016 | QUENNEVILLE, JEROME | SUNOCO LP COM UNIT REPSTG LTD PARTN | 12,543.50 | 92.00 | 14.00 | 78.00 | 90.0 | 70.20 |
| 12/27/2016 | QUENNEVILLE, JEROME | SUNOCO LP COM UNIT REPSTG LTD PARTN | 13,943.00 | 142.00 | 14.00 | 128.00 | 90.0 | 115.20 |
| 12/21/2016 | LOWELL, THOMAS | YUM BRANDS INC COM | 9,661.79 | 50.00 | 14.00 | 36.00 | 90.0 | 32.40 |
| 12/21/2016 | LOWELL, THOMAS | YUM CHINA HOLDINGS INC | 4,022.37 | 50.00 | 14.00 | 36.00 | 90.0 | 32.40 |
| * STOCKS SUBTOTAL * | | | \$642,579.24 | \$5,970.00 | \$840.00 | \$5,130.00 | | \$4,617.00 |
| <u>PRODUCT CATEGORY: VARIABLE ANNUITIES</u> | | | | | | | | |
| 12/30/2016 | MEDIODIA, GIL | ALLIANZ ALTERITY OPTIONS | 47,080.84 | 58.85 | 0.00 | 58.85 | 90.0 | 52.97 |
| 12/31/2016 | DAMRON, ROBERT | JNL PERSPECTIVE | 250,242.12 | 52.13 | 0.00 | 52.13 | 90.0 | 46.92 |
| 12/31/2016 | JOHNSON, WILLIAM | JNL PERSPECTIVE | 1,729.11 | 0.36 | 0.00 | 0.36 | 90.0 | 0.32 |
| 12/31/2016 | MITCHELL, DONALD | JNL PERSPECTIVE | 7,744.27 | 1.61 | 0.00 | 1.61 | 90.0 | 1.45 |
| 12/31/2016 | ROHLOFF, CARL | JNL PERSPECTIVE | 12,470.48 | 2.60 | 0.00 | 2.60 | 90.0 | 2.34 |
| 12/31/2016 | SCHNELL, JAMES | JNL PERSPECTIVE | 4,993.52 | 2.08 | 0.00 | 2.08 | 90.0 | 1.87 |
| 12/31/2016 | ANTON, CAROLE | JNL PERSPECTIVE II 04/14 | 25,455.85 | 10.61 | 0.00 | 10.61 | 90.0 | 9.55 |
| 12/31/2016 | COLEMAN, BOBBY | JNL PERSPECTIVE II 05/05 | 59,288.93 | 24.70 | 0.00 | 24.70 | 90.0 | 22.23 |
| 12/31/2016 | RYAN, NANCY | JNL PERSPECTIVE L | 64,875.01 | 54.06 | 0.00 | 54.06 | 90.0 | 48.65 |
| 12/31/2016 | HOUESHELL, DARLENE | JNL PERSPECTIVE L | 130,044.84 | 108.37 | 0.00 | 108.37 | 90.0 | 97.53 |

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|--|---------------------|--------------------------|-----------------------|---------------------|--------------------|--------------------|------|----------------------|
| <u>BROKER TRANSACTIONS</u> | | | | | | | | |
| <u>PRODUCT CATEGORY: VARIABLE ANNUITIES</u> | | | | | | | | |
| 12/31/2016 | LOWELL, CATHY | JNL PERSPECTIVE L | 45,170.09 | 37.64 | 0.00 | 37.64 | 90.0 | 33.88 |
| 12/31/2016 | MAZURKIEWICZ, JAMES | JNL PERSPECTIVE L | 51,348.79 | 42.79 | 0.00 | 42.79 | 90.0 | 38.51 |
| 12/31/2016 | CASGRAIN, GAYL | JNL PERSPECTIVE L | 283,064.46 | 235.89 | 0.00 | 235.89 | 90.0 | 212.30 |
| 12/31/2016 | SNYDER, MICHAEL C | JNL PERSPECTIVE L | 37,498.81 | 31.25 | 0.00 | 31.25 | 90.0 | 28.13 |
| 12/31/2016 | JOHNSON, WILLIAM | JNL PERSPECTIVE L | 68,641.82 | 57.20 | 0.00 | 57.20 | 90.0 | 51.48 |
| 12/27/2016 | WAGNER, CHARLES | PAC LIFE | 0.00 | 211.77 | 0.00 | 211.77 | 90.0 | 190.59 |
| 12/19/2016 | BRAMER, GEORGE | PAC LIFE PORTFOLIOS | 0.00 | 60.52 | 0.00 | 60.52 | 90.0 | 54.47 |
| 12/31/2016 | O'BRIEN, ROBERT | PRU AS ADVISOR PLAN III | 98,109.89 | 61.32 | 0.00 | 61.32 | 90.0 | 55.19 |
| 12/31/2016 | KAZMIROWSKI, THOMAS | PRU AS XTRA CREDIT SIX | 27,873.40 | 17.42 | 0.00 | 17.42 | 90.0 | 15.68 |
| 12/31/2016 | KAZMIROWSKI, THOMAS | PRU AS XTRA CREDIT SIX | 27,873.40 | 17.42 | 0.00 | 17.42 | 90.0 | 15.68 |
| 12/31/2016 | KIDD-LOVE, RHONDA | PRU PREMIER RETIREMENT B | 23,268.56 | 14.54 | 0.00 | 14.54 | 90.0 | 13.09 |
| * VARIABLE ANNUITIES SUBTOTAL * | | | \$1,266,774.19 | \$1,103.13 | \$0.00 | \$1,103.13 | | \$992.83 |
| *** BROKER TRANSACTIONS TOTAL *** | | | \$2,020,950.69 | \$12,184.91 | \$855.00 | \$11,329.91 | | \$10,196.96 |

ADJUSTMENTS

| | | | | | | | | |
|----------------------------------|-------------------------------------|------|---------------|---------------|---------------|---------------|--|------------------|
| 01/17/2017 | *E & O INSURANCE: CURRENT MONTH INS | 0.00 | | | | | | -300.00 |
| 01/17/2017 | *TECHNOLOGY: CURRENT MONTH TECH | 0.00 | | | | | | -50.00 |
| *** ADJUSTMENTS TOTAL *** | | | \$0.00 | \$0.00 | \$0.00 | \$0.00 | | \$-350.00 |

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

BROKER COMMISSION TOTALS

| | |
|-----------------------|-------------|
| Broker Transactions | \$10,196.96 |
| Split Transactions | \$0.00 |
| Override Transactions | \$0.00 |
| Adjustments | \$-350.00 |
| Payroll Draw | \$0.00 |
| Base Salary | \$0.00 |
| Prior Period Balance | \$5.36 |
| FINRA Assessment | \$0.00 |
| SIPC Assessment | \$0.00 |

| | |
|-----------------------|-------------|
| Check Amount | \$9,852.32 |
| Year-to-date Gross | \$10,779.53 |
| Year-to-date Earnings | \$10,196.96 |