



Concorde Investment Services, LLC

01/13/2017
Page No. 1

COMMISSION STATEMENT

January 17, 2017

ROBERT LUCHSINGER
600 Johnson Ave.
Suite B5
Bohemia, NY 11716

BROKER #: L117
BRANCH: ROBERT LUCHSINGER

| DATE | CLIENT | INVESTMENT | INVESTMENT AMOUNT | GROSS COMMISSION | CLEARING CHARGE | NET COMMISSION | RATE | BROKER COMMISSION |
|--|--------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <u>BROKER TRANSACTIONS</u> | | | | | | | | |
| <u>PRODUCT CATEGORY: MUTUAL FUNDS</u> | | | | | | | | |
| 01/03/2017 | KAMPMANN, MURIEL | AM FUNDS ICA C | 250.00 | 2.50 | 0.00 | 2.50 | 95.0 | 2.38 |
| 01/03/2017 | KAMPMANN, MURIEL | AM FUNDS WASHINGTON MUTUAL INVESTOR | 250.00 | 2.50 | 0.00 | 2.50 | 95.0 | 2.38 |
| 12/31/2016 | HANAK, EMMA | EATON VANCE NATIONAL MUNICIPAL INCO | 0.00 | 15.88 | 0.00 | 15.88 | 95.0 | 15.09 |
| / / | GRECK, BRIAN | OPPENHEIMER CAPITAL APPRECIATION A | 0.00 | 3.10 | 0.00 | 3.10 | 95.0 | 2.95 |
| / / | GRECK, BRIAN | OPPENHEIMER CAPITAL APPRECIATION A | 0.00 | 12.01 | 0.00 | 12.01 | 95.0 | 11.41 |
| / / | PRYDETOKO, WALTER | OPPENHEIMER CAPITAL APPRECIATION A | 0.00 | 52.13 | 0.00 | 52.13 | 95.0 | 49.52 |
| 12/23/2016 | PRYDETOKO, WALTER | OPPENHEIMER CAPITAL APPRECIATION A | 69.71 | 1.39 | 0.00 | 1.39 | 95.0 | 1.32 |
| 12/23/2016 | PRYDETOKO, WALTER | OPPENHEIMER CAPITAL APPRECIATION A | 30.00 | 0.60 | 0.00 | 0.60 | 95.0 | 0.57 |
| 12/27/2016 | PRYDETOKO, WALTER | OPPENHEIMER CAPITAL APPRECIATION A | 69.71 | 1.39 | 0.00 | 1.39 | 95.0 | 1.32 |
| 12/27/2016 | PRYDETOKO, WALTER | OPPENHEIMER CAPITAL APPRECIATION A | 30.00 | 0.60 | 0.00 | 0.60 | 95.0 | 0.57 |
| / / | GRECK, BRIAN | OPPENHEIMER CAPITAL APPRECIATION B | 0.00 | 1.38 | 0.00 | 1.38 | 95.0 | 1.31 |
| / / | PRYDETOKO, WALTER | OPPENHEIMER CAPITAL APPRECIATION B | 0.00 | 7.35 | 0.00 | 7.35 | 95.0 | 6.98 |
| / / | ROBERTO, JOSEPH | OPPENHEIMER CAPITAL APPRECIATION C | 0.00 | 10.41 | 0.00 | 10.41 | 95.0 | 9.89 |
| / / | ROBERTO, JOSEPH | OPPENHEIMER DISCOVERY C | 0.00 | 16.67 | 0.00 | 16.67 | 95.0 | 15.84 |
| / / | GRECK, BRIAN | OPPENHEIMER EQUITY A | 0.00 | 11.50 | 0.00 | 11.50 | 95.0 | 10.93 |
| / / | SMITH, LUCILLE | OPPENHEIMER EQUITY A | 0.00 | 5.27 | 0.00 | 5.27 | 95.0 | 5.01 |
| / / | GRECK, BRIAN | OPPENHEIMER EQUITY B | 0.00 | 1.40 | 0.00 | 1.40 | 95.0 | 1.33 |
| / / | GUARINO, JOAN | OPPENHEIMER GLOBAL A | 0.00 | 2.98 | 0.00 | 2.98 | 95.0 | 2.83 |
| / / | GRECK, BRIAN | OPPENHEIMER GLOBAL A | 0.00 | 4.40 | 0.00 | 4.40 | 95.0 | 4.18 |
| / / | MCKENNA, STEPHANIE | OPPENHEIMER GLOBAL A | 0.00 | 46.00 | 0.00 | 46.00 | 95.0 | 43.70 |
| / / | PRYDETOKO, WALTER | OPPENHEIMER GLOBAL A | 0.00 | 58.26 | 0.00 | 58.26 | 95.0 | 55.35 |
| / / | PRYDETOKO, WALTER | OPPENHEIMER GLOBAL A | 0.00 | 10.86 | 0.00 | 10.86 | 95.0 | 10.32 |
| / / | SMITH, DAVID | OPPENHEIMER GLOBAL A | 0.00 | 38.53 | 0.00 | 38.53 | 95.0 | 36.60 |
| 12/23/2016 | PRYDETOKO, WALTER | OPPENHEIMER GLOBAL A | 69.71 | 1.39 | 0.00 | 1.39 | 95.0 | 1.32 |
| 12/23/2016 | PRYDETOKO, WALTER | OPPENHEIMER GLOBAL A | 30.00 | 0.60 | 0.00 | 0.60 | 95.0 | 0.57 |
| 12/27/2016 | PRYDETOKO, WALTER | OPPENHEIMER GLOBAL A | 69.71 | 1.39 | 0.00 | 1.39 | 95.0 | 1.32 |

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> | | | | | | | | |
| 12/27/2016 | PRYDETKO, WALTER | OPPENHEIMER GLOBAL A | 30.00 | 0.60 | 0.00 | 0.60 | 95.0 | 0.57 |
| / / | GRECK, BRIAN | OPPENHEIMER GLOBAL ALLOCATION A | 0.00 | 18.61 | 0.00 | 18.61 | 95.0 | 17.68 |
| / / | PRYDETKO, WALTER | OPPENHEIMER GLOBAL ALLOCATION A | 0.00 | 37.21 | 0.00 | 37.21 | 95.0 | 35.35 |
| 12/23/2016 | PRYDETKO, WALTER | OPPENHEIMER GLOBAL ALLOCATION A | 41.83 | 0.84 | 0.00 | 0.84 | 95.0 | 0.80 |
| 12/23/2016 | PRYDETKO, WALTER | OPPENHEIMER GLOBAL ALLOCATION A | 18.00 | 0.36 | 0.00 | 0.36 | 95.0 | 0.34 |
| 12/27/2016 | PRYDETKO, WALTER | OPPENHEIMER GLOBAL ALLOCATION A | 41.83 | 0.84 | 0.00 | 0.84 | 95.0 | 0.80 |
| 12/27/2016 | PRYDETKO, WALTER | OPPENHEIMER GLOBAL ALLOCATION A | 18.00 | 0.36 | 0.00 | 0.36 | 95.0 | 0.34 |
| / / | PRYDETKO, WALTER | OPPENHEIMER GLOBAL ALLOCATION B | 0.00 | 5.73 | 0.00 | 5.73 | 95.0 | 5.44 |
| / / | PRYDETKO, WALTER | OPPENHEIMER GLOBAL B | 0.00 | 6.67 | 0.00 | 6.67 | 95.0 | 6.34 |
| / / | ROBERTO, JOSEPH | OPPENHEIMER GLOBAL C | 0.00 | 33.31 | 0.00 | 33.31 | 95.0 | 31.64 |
| / / | GRECK, BRIAN | OPPENHEIMER GLOBAL STRATEGIC INC A | 0.00 | 2.41 | 0.00 | 2.41 | 95.0 | 2.29 |
| / / | GRECK, BRIAN | OPPENHEIMER GLOBAL STRATEGIC INC A | 0.00 | 10.73 | 0.00 | 10.73 | 95.0 | 10.19 |
| / / | GENNUSA, ANTHONY | OPPENHEIMER GLOBAL STRATEGIC INC A | 0.00 | 1.05 | 0.00 | 1.05 | 95.0 | 1.00 |
| / / | GRECK, BRIAN | OPPENHEIMER GLOBAL STRATEGIC INC B | 0.00 | 0.95 | 0.00 | 0.95 | 95.0 | 0.90 |
| / / | PRYDETKO, WALTER | OPPENHEIMER GOLD & SPECIAL MINERALS | 0.00 | 6.80 | 0.00 | 6.80 | 95.0 | 6.46 |
| / / | GRECK, BRIAN | OPPENHEIMER GOLD & SPECIAL MINERALS | 0.00 | 3.96 | 0.00 | 3.96 | 95.0 | 3.76 |
| 12/23/2016 | PRYDETKO, WALTER | OPPENHEIMER GOLD & SPECIAL MINERALS | 27.89 | 0.56 | 0.00 | 0.56 | 95.0 | 0.53 |
| 12/23/2016 | PRYDETKO, WALTER | OPPENHEIMER GOLD & SPECIAL MINERALS | 12.00 | 0.24 | 0.00 | 0.24 | 95.0 | 0.23 |
| 12/27/2016 | PRYDETKO, WALTER | OPPENHEIMER GOLD & SPECIAL MINERALS | 27.89 | 0.56 | 0.00 | 0.56 | 95.0 | 0.53 |
| 12/27/2016 | PRYDETKO, WALTER | OPPENHEIMER GOLD & SPECIAL MINERALS | 12.00 | 0.24 | 0.00 | 0.24 | 95.0 | 0.23 |
| / / | ALBANESE, MICHAEL | OPPENHEIMER MAIN ST SMALL & MID CAP | 0.00 | 12.39 | 0.00 | 12.39 | 95.0 | 11.77 |
| / / | SALANITRO, ISABEL | OPPENHEIMER MAIN STREET A | 0.00 | 4.65 | 0.00 | 4.65 | 95.0 | 4.42 |
| / / | SALANITRO, ALFRED | OPPENHEIMER MAIN STREET A | 0.00 | 4.65 | 0.00 | 4.65 | 95.0 | 4.42 |
| / / | GRECK, BRIAN | OPPENHEIMER MAIN STREET A | 0.00 | 14.18 | 0.00 | 14.18 | 95.0 | 13.47 |
| / / | SMITH, LUCILLE | OPPENHEIMER MAIN STREET A | 0.00 | 4.58 | 0.00 | 4.58 | 95.0 | 4.35 |
| / / | ALBANESE, MICHAEL | OPPENHEIMER MAIN STREET A | 0.00 | 14.09 | 0.00 | 14.09 | 95.0 | 13.39 |
| / / | SMITH, DAVID | OPPENHEIMER MAIN STREET A | 0.00 | 55.97 | 0.00 | 55.97 | 95.0 | 53.17 |
| / / | GRECK, BRIAN | OPPENHEIMER MAIN STREET B | 0.00 | 1.55 | 0.00 | 1.55 | 95.0 | 1.47 |
| / / | ROBERTO, JOSEPH | OPPENHEIMER MAIN STREET C | 0.00 | 28.23 | 0.00 | 28.23 | 95.0 | 26.82 |
| / / | GRECK, BRIAN | OPPENHEIMER MAIN STREET SMALLCAP A | 0.00 | 2.71 | 0.00 | 2.71 | 95.0 | 2.57 |
| / / | GRECK, BRIAN | OPPENHEIMER MAIN STREET SMALLCAP A | 0.00 | 15.53 | 0.00 | 15.53 | 95.0 | 14.75 |
| / / | PRYDETKO, WALTER | OPPENHEIMER MAIN STREET SMALLCAP A | 0.00 | 68.14 | 0.00 | 68.14 | 95.0 | 64.73 |
| 12/23/2016 | PRYDETKO, WALTER | OPPENHEIMER MAIN STREET SMALLCAP A | 69.71 | 1.39 | 0.00 | 1.39 | 95.0 | 1.32 |

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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> | | | | | | | | |
| 12/23/2016 | PRYDETKO, WALTER | OPPENHEIMER MAIN STREET SMALLCAP A | 30.00 | 0.60 | 0.00 | 0.60 | 95.0 | 0.57 |
| 12/27/2016 | PRYDETKO, WALTER | OPPENHEIMER MAIN STREET SMALLCAP A | 69.71 | 1.39 | 0.00 | 1.39 | 95.0 | 1.32 |
| 12/27/2016 | PRYDETKO, WALTER | OPPENHEIMER MAIN STREET SMALLCAP A | 30.00 | 0.60 | 0.00 | 0.60 | 95.0 | 0.57 |
| / / | GRECK, BRIAN | OPPENHEIMER MAIN STREET SMALLCAP B | 0.00 | 1.46 | 0.00 | 1.46 | 95.0 | 1.39 |
| / / | PRYDETKO, WALTER | OPPENHEIMER MAIN STREET SMALLCAP B | 0.00 | 7.79 | 0.00 | 7.79 | 95.0 | 7.40 |
| / / | FOURNIER, ELIZABETH | OPPENHEIMER ROCHESTER MUNICIPALS A | 0.00 | 8.19 | 0.00 | 8.19 | 95.0 | 7.78 |
| / / | GUARINO, JOAN | OPPENHEIMER US GOVT TRUST A | 0.00 | 3.73 | 0.00 | 3.73 | 95.0 | 3.54 |
| / / | ROBERTO, JOSEPH | OPPENHEIMER US GOVT TRUST C | 0.00 | 172.95 | 0.00 | 172.95 | 95.0 | 164.30 |
| 11/10/2016 | MAZZA, JUSTIN | SUNAMERICA FOCUSED ALPHA GROWTH A | 0.00 | 2.03 | 0.00 | 2.03 | 95.0 | 1.93 |
| 11/10/2016 | MAZZA, DOMENICK | SUNAMERICA FOCUSED ALPHA GROWTH A | 0.00 | 1.03 | 0.00 | 1.03 | 95.0 | 0.98 |
| 11/10/2016 | CHAPMAN, CLARENCE | SUNAMERICA FOCUSED ALPHA LARGE CAP A | 0.00 | 0.20 | 0.00 | 0.20 | 95.0 | 0.19 |
| 11/10/2016 | MAZZA, JUSTIN | SUNAMERICA FOCUSED ALPHA LARGE CAP A | 0.00 | 1.00 | 0.00 | 1.00 | 95.0 | 0.95 |
| 11/10/2016 | MAZZA, DOMENICK | SUNAMERICA FOCUSED ALPHA LARGE CAP A | 0.00 | 1.22 | 0.00 | 1.22 | 95.0 | 1.16 |
| 11/10/2016 | ROBERTO, JOSEPH | SUNAMERICA FOCUSED ALPHA LARGE CAP A | 0.00 | 5.44 | 0.00 | 5.44 | 95.0 | 5.17 |
| 11/10/2016 | BREITFELLER, CYNTHIA | SUNAMERICA FOCUSED ALPHA LARGE CAP A | 0.00 | 0.15 | 0.00 | 0.15 | 95.0 | 0.14 |
| 11/10/2016 | BREITFELLER, CYNTHIA | SUNAMERICA SENIOR FLOATING RATE A | 0.00 | 0.76 | 0.00 | 0.76 | 95.0 | 0.72 |
| 11/10/2016 | SEAMAN, PATRICIA | SUNAMERICA US GOVT SECURITIES CL A | 0.00 | 6.61 | 0.00 | 6.61 | 95.0 | 6.28 |
| * MUTUAL FUNDS SUBTOTAL * | | | \$1,297.70 | \$885.73 | \$0.00 | \$885.73 | | \$841.45 |

PRODUCT CATEGORY: STOCKS

| | | | | | | | | |
|----------------------------|--------------------|-------------------------------------|---------------------|-----------------|----------------|-----------------|------|-----------------|
| 12/28/2016 | LUCHSINGER, ROBERT | APPLIED MICRO CIRCUITS CORP COM NEW | -126.15 | 30.00 | 22.50 | 7.50 | 95.0 | 7.13 |
| 12/28/2016 | FRANCIONI, ANNA | DDR CORP COM ISIN#US23317H1023 | -946.05 | 60.00 | 22.50 | 37.50 | 95.0 | 35.63 |
| 12/28/2016 | FRANCIONI, ANNA | DDR CORP COM ISIN#US23317H1023 | 946.05 | -60.00 | -22.50 | -37.50 | 95.0 | -35.63 |
| 12/28/2016 | FRANCIONI, ANNA | DDR CORP COM ISIN#US23317H1023 | -946.05 | 35.00 | 22.50 | 12.50 | 95.0 | 11.88 |
| 12/28/2016 | FRANCIONI, ANNA | PRUDENTIAL FINL INC COM | -18,224.01 | 90.00 | 22.50 | 67.50 | 95.0 | 64.13 |
| 12/28/2016 | FRANCIONI, ANNA | TIER REIT INC COM NEW | -16,819.00 | 90.00 | 23.50 | 66.50 | 95.0 | 63.18 |
| * STOCKS SUBTOTAL * | | | \$-36,115.21 | \$245.00 | \$91.00 | \$154.00 | | \$146.32 |

PRODUCT CATEGORY: VARIABLE ANNUITIES

| | | | | | | | | |
|------------|---------------------|------------------------|------------|--------|------|--------|------|--------|
| 12/30/2016 | HANSON, JOSEPH | ALLIANZ LIFE NY VISION | 74,608.19 | 186.52 | 0.00 | 186.52 | 95.0 | 177.19 |
| 12/30/2016 | GIOVANNIELLO, LARRY | ALLIANZ LIFE NY VISION | 15,795.63 | 39.49 | 0.00 | 39.49 | 95.0 | 37.52 |
| 12/30/2016 | PRISCO, CLARA | ALLIANZ LIFE NY VISION | 82,765.74 | 206.91 | 0.00 | 206.91 | 95.0 | 196.56 |
| 12/30/2016 | YBAY, ERLINDA | ALLIANZ LIFE NY VISION | 245,826.32 | 614.57 | 0.00 | 614.57 | 95.0 | 583.84 |
| 12/30/2016 | GENNUSA, ANTHONY | ALLIANZ NY VISION | 24,796.92 | 31.00 | 0.00 | 31.00 | 95.0 | 29.45 |

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| <u>BROKER TRANSACTIONS</u> | | | | | | | | |
| <u>PRODUCT CATEGORY: VARIABLE ANNUITIES</u> | | | | | | | | |
| 12/30/2016 | FOURNIER, PETER | ALLIANZ NY VISION | 109,643.15 | 137.05 | 0.00 | 137.05 | 95.0 | 130.20 |
| 12/30/2016 | NOONAN, WILLIAM | ALLIANZ NY VISION | 24,709.65 | 30.89 | 0.00 | 30.89 | 95.0 | 29.35 |
| 12/30/2016 | GRANT, JOHN | ALLIANZ NY VISION | 36,532.88 | 45.67 | 0.00 | 45.67 | 95.0 | 43.39 |
| 12/30/2016 | HANDLER, EMMA | ALLIANZ VISION | 22,444.32 | 56.11 | 0.00 | 56.11 | 95.0 | 53.30 |
| 12/30/2016 | PATTERSON, BARBARA | ALLIANZ VISION BASIC | 123,727.43 | 154.66 | 0.00 | 154.66 | 95.0 | 146.93 |
| 12/30/2016 | GUARINO, CARMINE | HARTFORD LEADERS | 33,624.04 | 21.02 | 0.00 | 21.02 | 95.0 | 19.97 |
| 12/30/2016 | SARACINO, CAROLINE | HARTFORD LEADERS OUTLOOK | 100,562.85 | 251.41 | 0.00 | 251.41 | 95.0 | 238.84 |
| 12/30/2016 | FAY, JUNE | HARTFORD LEADERS OUTLOOK | 39,631.30 | 99.08 | 0.00 | 99.08 | 95.0 | 94.13 |
| 12/30/2016 | FAY, JUNE | HARTFORD LEADERS OUTLOOK | 121,546.78 | 303.87 | 0.00 | 303.87 | 95.0 | 288.68 |
| 12/30/2016 | LUCHSINGER, JANE | HARTFORD LEADERS OUTLOOK | 57,847.36 | 144.62 | 0.00 | 144.62 | 95.0 | 137.39 |
| 12/30/2016 | LENTINI, ANNA | HARTFORD LEADERS OUTLOOK (HL) | 63,297.56 | 158.24 | 0.00 | 158.24 | 95.0 | 150.33 |
| 12/30/2016 | HANDLER, EMMA | HARTFORD LEADERS OUTLOOK (HL) | 118,987.41 | 297.47 | 0.00 | 297.47 | 95.0 | 282.60 |
| 12/30/2016 | ROBERTO, RICHARD | HARTFORD LEADERS OUTLOOK (HL) | 7,968.79 | 19.92 | 0.00 | 19.92 | 95.0 | 18.92 |
| 12/30/2016 | GRANT, JOHN | HARTFORD LEADERS OUTLOOK (HL) | 71,403.39 | 178.51 | 0.00 | 178.51 | 95.0 | 169.58 |
| 12/30/2016 | FOURNIER, ELIZABETH | HARTFORD LEADERS OUTLOOK (HL) | 59,956.88 | 149.89 | 0.00 | 149.89 | 95.0 | 142.40 |
| 12/30/2016 | NOONAN, WILLIAM | HARTFORD LEADERS OUTLOOK (HL) | 4,306.98 | 10.77 | 0.00 | 10.77 | 95.0 | 10.23 |
| 12/30/2016 | ROBERTO, ROBERT | HARTFORD LEADERS OUTLOOK (HL) | 7,917.51 | 19.79 | 0.00 | 19.79 | 95.0 | 18.80 |
| 12/30/2016 | GRANT, JOHN | HARTFORD LEADERS OUTLOOK 2 | 68,468.45 | 171.17 | 0.00 | 171.17 | 95.0 | 162.61 |
| 12/30/2016 | FOURNIER, PETER | HARTFORD LEADERS OUTLOOK 2 | 32,265.96 | 80.66 | 0.00 | 80.66 | 95.0 | 76.63 |
| 12/30/2016 | HANAK TRUST, MARGARET | HARTFORD LEADERS OUTLOOK 2 | 94,228.71 | 235.57 | 0.00 | 235.57 | 95.0 | 223.79 |
| 12/30/2016 | MCKENNA, STEPHANIE | HARTFORD LEADERS OUTLOOK 2 | 96,870.89 | 242.18 | 0.00 | 242.18 | 95.0 | 230.07 |
| 12/30/2016 | CHAPMAN, CLARENCE | HARTFORD LEADERS OUTLOOK 2 | 47,073.15 | 117.68 | 0.00 | 117.68 | 95.0 | 111.80 |
| 12/30/2016 | YBAY, ERLINDA | HARTFORD LEADERS OUTLOOK 4 - HL | 21,295.39 | 53.24 | 0.00 | 53.24 | 95.0 | 50.58 |
| 12/30/2016 | SALANITRO, ISABEL | HARTFORD LEADERS OUTLOOK 4 - HL | 52,212.81 | 130.53 | 0.00 | 130.53 | 95.0 | 124.00 |
| 12/30/2016 | MOLNAR, J S KIP | HARTFORD LEADERS PLUS | 157,665.53 | 98.54 | 0.00 | 98.54 | 95.0 | 93.61 |
| 12/30/2016 | BELLAVITA, ANTOINETTE | HARTFORD LEADERS PLUS (HL) | 31,060.31 | 19.41 | 0.00 | 19.41 | 95.0 | 18.44 |
| 12/30/2016 | LENTINI, ANNA | HARTFORD LEADERS PLUS 2 | 313,073.10 | 195.67 | 0.00 | 195.67 | 95.0 | 185.89 |
| 01/03/2017 | MOLNAR, J S KIP | JNL 468511134 | 1,000.00 | 45.00 | 0.00 | 45.00 | 95.0 | 42.75 |
| 12/31/2016 | LUCHSINGER, ELIZABETH | JNL NY PERSPECTIVE L | 141,637.38 | 118.03 | 0.00 | 118.03 | 95.0 | 112.13 |
| 12/27/2016 | FLANAGAN, BARBARA | JNL PERSPECTIVE II 04/14 | 4,000.00 | 220.00 | 0.00 | 220.00 | 95.0 | 209.00 |
| 12/27/2016 | SMITH, GARY | JNL PERSPECTIVE II 04/14 | 10,000.00 | 700.00 | 0.00 | 700.00 | 95.0 | 665.00 |
| 12/31/2016 | LUCHSINGER, ROBERT | JNL PERSPECTIVE II 04/14 | 83,072.04 | 17.31 | 0.00 | 17.31 | 95.0 | 16.44 |
| 12/31/2016 | STOCCO, ROBERT | JNL PERSPECTIVE II 04/14 | 24,793.71 | 5.17 | 0.00 | 5.17 | 95.0 | 4.91 |

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|--|--------------------|-------------------------------|-----------------------|---------------------|--------------------|--------------------|------|----------------------|
| <u>BROKER TRANSACTIONS</u> | | | | | | | | |
| <u>PRODUCT CATEGORY: VARIABLE ANNUITIES</u> | | | | | | | | |
| 12/31/2016 | HANAK, SUSAN | JNL PERSPECTIVE II 04/14 | 360,865.49 | 75.18 | 0.00 | 75.18 | 95.0 | 71.42 |
| 12/31/2016 | DEITSCH, PAUL | JNL PERSPECTIVE II 04/14 | 56,812.78 | 11.84 | 0.00 | 11.84 | 95.0 | 11.25 |
| 12/31/2016 | GUARINO, CARMINE | JNL PERSPECTIVE II 04/14 | 177,221.42 | 36.92 | 0.00 | 36.92 | 95.0 | 35.07 |
| 12/31/2016 | FLANAGAN, BARBARA | JNL PERSPECTIVE II 04/14 | 24,403.17 | 5.08 | 0.00 | 5.08 | 95.0 | 4.83 |
| 12/31/2016 | KAMPMANN, ROBERT | JNL PERSPECTIVE II 04/14 | 319,597.07 | 66.58 | 0.00 | 66.58 | 95.0 | 63.25 |
| 12/31/2016 | KAMPMANN, ROBERT | JNL PERSPECTIVE II 04/14 | 200,538.27 | 41.78 | 0.00 | 41.78 | 95.0 | 39.69 |
| 12/19/2016 | CONNOR, BURTON | PAC LIFE INNOVATIVE SELECT | 0.00 | 75.84 | 0.00 | 75.84 | 95.0 | 72.05 |
| 12/19/2016 | NOONAN, WILLIAM | PAC LIFE INNOVATIVE SELECT NY | 0.00 | 91.68 | 0.00 | 91.68 | 95.0 | 87.10 |
| 12/19/2016 | MINARDI, LOUIS | PAC LIFE INNOVATIVE SELECT NY | 0.00 | 221.00 | 0.00 | 221.00 | 95.0 | 209.95 |
| 12/19/2016 | HANSON, ALEXANDRA | PAC LIFE INNOVATIVE SELECT NY | 0.00 | 141.35 | 0.00 | 141.35 | 95.0 | 134.28 |
| 12/21/2016 | PEREIRA, LUIS | PAC LIFE INNOVATIVE SELECT NY | 0.00 | 184.47 | 0.00 | 184.47 | 95.0 | 175.25 |
| 12/21/2016 | DECASTRO, NEUSA | PAC LIFE INNOVATIVE SELECT NY | 0.00 | 113.89 | 0.00 | 113.89 | 95.0 | 108.20 |
| 12/23/2016 | MCKENNA, STEPHANIE | PAC LIFE INNOVATIVE SELECT NY | 0.00 | 498.65 | 0.00 | 498.65 | 95.0 | 473.72 |
| 12/23/2016 | SMITH, GARY | PAC LIFE INNOVATIVE SELECT NY | 0.00 | 546.29 | 0.00 | 546.29 | 95.0 | 518.98 |
| 12/27/2016 | HANAK, SUSAN | PAC LIFE INNOVATIVE SELECT NY | 0.00 | 322.45 | 0.00 | 322.45 | 95.0 | 306.33 |
| 12/27/2016 | FOURNIER, PETER | PAC LIFE INNOVATIVE SELECT NY | 0.00 | 283.41 | 0.00 | 283.41 | 95.0 | 269.24 |
| 12/27/2016 | CORREIA, MARIA | PAC LIFE INNOVATIVE SELECT NY | 0.00 | 256.48 | 0.00 | 256.48 | 95.0 | 243.66 |
| 12/27/2016 | CORREIA, LUDOVINO | PAC LIFE INNOVATIVE SELECT NY | 0.00 | 352.42 | 0.00 | 352.42 | 95.0 | 334.80 |
| 12/27/2016 | GENNUSA, FRANCES | PAC LIFE INNOVATIVE SELECT NY | 0.00 | 27.39 | 0.00 | 27.39 | 95.0 | 26.02 |
| 12/27/2016 | LUCHSINGER, JANE | PAC LIFE INNOVATIVE SELECT NY | 0.00 | 307.25 | 0.00 | 307.25 | 95.0 | 291.89 |
| 12/29/2016 | LUCHSINGER, ANDREW | PAC LIFE INNOVATIVE SELECT NY | 0.00 | 161.51 | 0.00 | 161.51 | 95.0 | 153.43 |
| 12/31/2016 | FRANCIONI, ANNA | PAC LIFE INNOVATIVE SELECT NY | 0.00 | 499.65 | 0.00 | 499.65 | 95.0 | 474.67 |
| 12/27/2016 | FLANAGAN, BARBARA | PACIFIC CHOICE | 0.00 | 70.00 | 0.00 | 70.00 | 95.0 | 66.50 |
| 12/29/2016 | ROBERTO, RICHARD | SBL SECURE DESIGNS VA | 12,598.99 | 2.62 | 0.00 | 2.62 | 95.0 | 2.49 |
| 12/29/2016 | YBAY, ERLINDA | SBL SECURE DESIGNS VA | 83,035.27 | 69.20 | 0.00 | 69.20 | 95.0 | 65.74 |
| 12/29/2016 | ROBERTO, ROBERT | SBL SECURE DESIGNS VA | 12,555.81 | 2.62 | 0.00 | 2.62 | 95.0 | 2.49 |
| 12/07/2016 | SALANITRO, ISABEL | TRANSAMERICA LIBERTY | 5,783.57 | 4.82 | 0.00 | 4.82 | 95.0 | 4.58 |
| 12/15/2016 | MAZZA, JOSEPH | TRANSAMERICA LIBERTY | 100,040.98 | 83.37 | 0.00 | 83.37 | 95.0 | 79.20 |
| 12/28/2016 | LUCHSINGER, JANE | TRANSAMERICA LIBERTY | 13,402.37 | 11.17 | 0.00 | 11.17 | 95.0 | 10.61 |
| * VARIABLE ANNUITIES SUBTOTAL * | | | \$3,993,473.70 | \$10,172.53 | \$0.00 | \$10,172.53 | | \$9,663.94 |

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: VARIABLE ANNUITY 12B1 TRAILS</u> | | | | | | | | |
| 12/31/2016 | MAZZA, JOSEPH | LFG TRAILS | 0.00 | 1,422.73 | 0.00 | 1,422.73 | 95.0 | 1,351.59 |
| 12/24/2016 | MINARDI, LOUIS | ING EMPIRE INNOVATIONS STD OPT A | 0.00 | 481.27 | 0.00 | 481.27 | 95.0 | 457.21 |
| * VARIABLE ANNUITY 12B1 TRAILS SUBTOTAL * | | | \$0.00 | \$1,904.00 | \$0.00 | \$1,904.00 | | \$1,808.80 |
| *** BROKER TRANSACTIONS TOTAL *** | | | \$3,958,656.19 | \$13,207.26 | \$91.00 | \$13,116.26 | | \$12,460.51 |

ADJUSTMENTS

| | | | | | | | | |
|----------------------------------|-------------------------------------|------|---------------|---------------|---------------|---------------|--|-----------------|
| 01/17/2017 | *E & O INSURANCE: CURRENT MONTH INS | 0.00 | | | | | | -300.00 |
| 01/17/2017 | *REIMBURSEMENT: CT 5265827-MOODY | 0.00 | | | | | | 1,000.00 |
| 01/17/2017 | *TECHNOLOGY: CURRENT MONTH TECH | 0.00 | | | | | | -275.00 |
| *** ADJUSTMENTS TOTAL *** | | | \$0.00 | \$0.00 | \$0.00 | \$0.00 | | \$425.00 |

BROKER COMMISSION TOTALS

| | |
|-----------------------|-------------|
| Broker Transactions | \$12,460.51 |
| Split Transactions | \$0.00 |
| Override Transactions | \$0.00 |
| Adjustments | \$425.00 |
| Payroll Draw | \$0.00 |
| Base Salary | \$0.00 |
| Prior Period Balance | \$0.00 |
| FINRA Assessment | \$0.00 |
| SIPC Assessment | \$0.00 |

| | |
|------------------------------|--------------------|
| Check Amount | \$12,885.51 |
| Year-to-date Gross | \$13,207.26 |
| Year-to-date Earnings | \$12,460.51 |

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