



Concorde Investment Services, LLC

07/12/2017
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COMMISSION STATEMENT July 15, 2017

DELMAR (BO)-M143 MCKINNEY
5 Red Bud Trail

BROKER #: M143
BRANCH: EAGLE WEALTH MANAGEM

Round Rock, TX 78655-

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
07/05/2017	ASPRA, TRISSA	AM FUNDS AMCAP A	75.00	3.19	12.00	-8.81	90.0	-7.93
06/30/2017	ENOCHS, LELAND	AM FUNDS EUROPACIFIC GROWTH FUND A	105.00	2.10	0.00	2.10	90.0	1.89
06/30/2017	ENOCHS, LELAND	AM FUNDS EUROPACIFIC GROWTH FUND A	270.82	5.42	0.00	5.42	90.0	4.88
06/30/2017	ENOCHS, DONNA	AM FUNDS EUROPACIFIC GROWTH FUND A	8.25	0.17	0.00	0.17	90.0	0.15
06/30/2017	ENOCHS, DONNA	AM FUNDS EUROPACIFIC GROWTH FUND A	253.96	5.08	0.00	5.08	90.0	4.57
06/30/2017	ENOCHS, LELAND	AM FUNDS FUNDAMENTAL INVESTORS A	105.00	2.10	0.00	2.10	90.0	1.89
06/30/2017	ENOCHS, LELAND	AM FUNDS FUNDAMENTAL INVESTORS A	270.84	5.42	0.00	5.42	90.0	4.88
06/30/2017	ENOCHS, DONNA	AM FUNDS FUNDAMENTAL INVESTORS A	8.25	0.17	0.00	0.17	90.0	0.15
06/30/2017	ENOCHS, DONNA	AM FUNDS FUNDAMENTAL INVESTORS A	253.96	5.08	0.00	5.08	90.0	4.57
06/26/2017	OHE, EUGENIA	AM FUNDS GROWTH FUND OF AMERICA 529	100.00	2.75	0.00	2.75	90.0	2.48
06/26/2017	OHE, EUGENIA	AM FUNDS GROWTH FUND OF AMERICA 529	100.00	2.75	0.00	2.75	90.0	2.48
06/30/2017	ENOCHS, LELAND	AM FUNDS GROWTH FUND OF AMERICA A	105.00	2.10	0.00	2.10	90.0	1.89
06/30/2017	ENOCHS, LELAND	AM FUNDS GROWTH FUND OF AMERICA A	270.84	5.42	0.00	5.42	90.0	4.88
06/30/2017	BRUECKNER, KIMBERLY	AM FUNDS GROWTH FUND OF AMERICA A	325.00	5.20	0.00	5.20	90.0	4.68
06/30/2017	ENOCHS, DONNA	AM FUNDS GROWTH FUND OF AMERICA A	8.25	0.17	0.00	0.17	90.0	0.15
06/30/2017	ENOCHS, DONNA	AM FUNDS GROWTH FUND OF AMERICA A	253.96	5.08	0.00	5.08	90.0	4.57
07/05/2017	ASPRA, TRISSA	AM FUNDS GROWTH FUND OF AMERICA A	75.00	3.19	12.00	-8.81	90.0	-7.93
06/30/2017	STOLTE, VERNALINE	AM FUNDS WASHINGTON MUTUAL INVESTOR	-3,000.00	22.00	22.00	0.00	90.0	0.00
06/30/2017	ENOCHS, LELAND	AM FUNDS WASHINGTON MUTUAL INVESTOR	105.00	2.10	0.00	2.10	90.0	1.89
06/30/2017	ENOCHS, LELAND	AM FUNDS WASHINGTON MUTUAL INVESTOR	270.84	5.42	0.00	5.42	90.0	4.88
06/30/2017	ENOCHS, DONNA	AM FUNDS WASHINGTON MUTUAL INVESTOR	8.25	0.17	0.00	0.17	90.0	0.15
06/30/2017	ENOCHS, DONNA	AM FUNDS WASHINGTON MUTUAL INVESTOR	253.97	5.08	0.00	5.08	90.0	4.57
07/03/2017	LAWHON, JACKIE	AM FUNDS WASHINGTON MUTUAL INVESTOR	-500.00	0.00	12.00	-12.00	90.0	-10.80
06/27/2017	ESCHBERGER TRUST, JACK & AGNES	AQR MANAGED FUTURES STRATEGY FUND C	-2,563.29	0.00	22.00	-22.00	90.0	-19.80
06/27/2017	ESCHBERGER TRUST, JACK & AGNES	JOHN HANCOCK GLOBAL ABSOLUTE RETURN	-3,626.04	0.00	0.00	0.00	90.0	0.00
07/01/2017	HAMANN, LARRY	MFS MASS INVESTORS GROWTH STOCK A	0.00	6.64	0.00	6.64	90.0	5.98

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
07/03/2017	PLAN	PUTNAM MULTI CAP GROWTH A	0.00	2.26	0.00	2.26	90.0	2.03
* MUTUAL FUNDS SUBTOTAL *			\$-6,462.14	\$99.06	\$80.00	\$19.06		\$17.15
<u>PRODUCT CATEGORY: VARIABLE ANNUITIES</u>								
07/01/2017	ESCHBERGER, AGNES	AM GEN POLIRIS II FLEXIBLE	255,889.69	255.89	0.00	255.89	90.0	230.30
07/01/2017	HERNANDEZ, JOHN	ANCHOR ADVISOR 11 FLEX	48,083.67	120.21	0.00	120.21	90.0	108.19
07/01/2017	BLAHA, TRONA	ANCHOR ADVISOR 11 FLEX	1,252,264.59	3,130.66	0.00	3,130.66	90.0	2,817.59
06/30/2017	LAWHON, JACKIE	DIRECTOR ACCESS 416588614	4,889.17	12.22	0.00	12.22	90.0	11.00
06/30/2017	CUMMINGS, ROBERT	DIRECTOR ACCESS 416588614	562,297.18	1,405.74	0.00	1,405.74	90.0	1,265.17
06/30/2017	STAGNER, JEAN	DIRECTOR V 416594521	3,475.27	3.48	0.00	3.48	90.0	3.13
06/30/2017	POTH, VIVIAN	FED TRIPLE CROWN VA	5,620.71	5.62	0.00	5.62	90.0	5.06
06/30/2017	LOGHRY, DORIS	FED TRIPLE CROWN VA	20,310.06	20.31	0.00	20.31	90.0	18.28
06/30/2017	NAIZER, JOHNNIE	FED TRIPLE CROWN VA 34956F786	8,880.40	8.88	0.00	8.88	90.0	7.99
06/30/2017	LUEDTKE, LOIS	HARTFORD DIRECTOR VI (ILA)	392,218.27	392.22	0.00	392.22	90.0	353.00
06/30/2017	FUESSEL, NORMAN	HARTFORD DIRECTOR VI (ILA)	195,818.05	195.82	0.00	195.82	90.0	176.24
06/30/2017	WILSON, MARY	HARTFORD DIRECTOR VI (ILA)	68,683.45	68.68	0.00	68.68	90.0	61.81
06/30/2017	TAISLER, JESSE	HARTFORD DIRECTOR VI (ILA)	9,510.19	9.51	0.00	9.51	90.0	8.56
06/30/2017	ROSIPAL, HERBERT	HARTFORD DIRECTOR VI (ILA)	2,384.94	2.38	0.00	2.38	90.0	2.14
06/30/2017	MASON, JOHN	HARTFORD DIRECTOR VI (ILA)	33,377.86	33.38	0.00	33.38	90.0	30.04
06/30/2017	LUEDTKE, LOIS	HARTFORD DIRECTOR VI (ILA)	195,308.39	195.31	0.00	195.31	90.0	175.78
06/30/2017	BARTOSH, PATRICIA	HARTFORD DIRECTOR VI (ILA)	2,805.08	2.81	0.00	2.81	90.0	2.53
06/30/2017	ROSIPAL, ADELE	HARTFORD DIRECTOR VI (ILA)	3,130.45	3.13	0.00	3.13	90.0	2.82
06/30/2017	CUMMINGS, ROBERT	HARTFORD DIRECTOR VII (ILA)	3,801.22	2.38	0.00	2.38	90.0	2.14
06/30/2017	NAIZER, JOHNNIE	HARTFORD DIRECTOR VII (ILA)	21,370.97	13.36	0.00	13.36	90.0	12.02
06/30/2017	ESCHBERGER, AGNES	HARTFORD DIRECTOR VII (ILA)	117,973.72	73.73	0.00	73.73	90.0	66.36
06/30/2017	ESCHBERGER, AGNES	HARTFORD DIRECTOR VII (ILA)	61,799.53	38.62	0.00	38.62	90.0	34.76
06/30/2017	SIMCIK, CHESTER	HARTFORD DIRECTOR VII (ILA)	102,053.20	63.78	0.00	63.78	90.0	57.40
06/30/2017	LAWHON, STEVEN	HARTFORD LEADERS	56,906.04	35.57	0.00	35.57	90.0	32.01
06/30/2017	MARKERT, DOROTHY	HARTFORD LEADERS	5,370.14	3.36	0.00	3.36	90.0	3.02
06/30/2017	PEKAR, DAVID	HARTFORD LEADERS	66,607.66	41.63	0.00	41.63	90.0	37.47
06/30/2017	STOLLE, KATHERINE	HARTFORD LEADERS	26,709.33	16.69	0.00	16.69	90.0	15.02
06/30/2017	FERGUSON, LINDA	HARTFORD LEADERS (ILA)	93,158.47	58.22	0.00	58.22	90.0	52.40
06/30/2017	ESCHBERGER, AGNES	HARTFORD LEADERS (ILA)	263,298.42	164.56	0.00	164.56	90.0	148.10
06/30/2017	SIMCIK, CHESTER	HARTFORD LEADERS (ILA)	97,612.77	61.01	0.00	61.01	90.0	54.91

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: VARIABLE ANNUITIES</u>								
06/30/2017	MORRIS, JANINE	HARTFORD LEADERS 2	104,310.36	65.19	0.00	65.19	90.0	58.67
06/30/2017	ROSIPAL, HERBERT	HARTFORD LEADERS 2	3,124.96	1.95	0.00	1.95	90.0	1.76
06/30/2017	STAGNER, JEAN	HARTFORD LEADERS 2	136,577.83	85.36	0.00	85.36	90.0	76.82
06/30/2017	KLEMT, WILLIAM	HARTFORD LEADERS 2	87,749.00	54.84	0.00	54.84	90.0	49.36
06/30/2017	KELLEY, DOLORES	HARTFORD LEADERS 2	3,496.55	2.19	0.00	2.19	90.0	1.97
06/30/2017	KORNEGAY, ALISA	HARTFORD LEADERS EDGE 41659Q324	382,540.34	239.09	0.00	239.09	90.0	215.18
06/30/2017	KORNEGAY, ALISA	HARTFORD LEADERS EDGE 41659Q324	74,285.93	46.43	0.00	46.43	90.0	41.79
06/30/2017	BLAHA, TRONA	HARTFORD LEADERS EDGE 41659Q324	128,313.78	80.20	0.00	80.20	90.0	72.18
06/30/2017	WILSON, MARY	HARTFORD LEADERS EDGE 41659Q324	237,370.15	148.36	0.00	148.36	90.0	133.52
06/30/2017	BARTOSH, PATRICIA	HARTFORD LEADERS EDGE 41659Q324	60,731.30	37.96	0.00	37.96	90.0	34.16
06/30/2017	DROMGOOLE, NONA	HARTFORD LEADERS OUTLOOK 2	409,777.82	1,024.44	0.00	1,024.44	90.0	922.00
06/30/2017	KLEMT, RUTH	HARTFORD LIFE DIRECTOR 8	149,680.11	93.55	0.00	93.55	90.0	84.20
06/30/2017	MASON, JOHN	JNL PERSPECTIVE ADV II 5/05	438,116.50	365.10	0.00	365.10	90.0	328.59
06/30/2017	MASON, JOHN	JNL PERSPECTIVE L	435,667.40	363.06	0.00	363.06	90.0	326.75
06/30/2017	PEMBERTON, PATRICIA	JOHN HANCOCK VENTURE	17,796.25	3.71	0.00	3.71	90.0	3.34
06/30/2017	EWING LIVING TRUST, JACK &	METLIFE INVESTORS USA XTRA PRODUCRT	40,546.34	25.34	0.00	25.34	90.0	22.81
06/30/2017	EWING JR, JACK	METLIFE INVESTORS USA XTRA PRODUCRT	472,214.37	295.13	0.00	295.13	90.0	265.62
06/30/2017	LAWHON, PAMELA	METLIFE INVESTORS USA XTRA PRODUCRT	115,489.63	72.18	0.00	72.18	90.0	64.96
06/30/2017	STAGNER TRUST, JAMES	METLIFE INVESTORS USA XTRA PRODUCRT	171,605.21	107.25	0.00	107.25	90.0	96.53
06/30/2017	EWING, MARGARET	METLIFE INVESTORS USA XTRA PRODUCRT	39,640.61	24.78	0.00	24.78	90.0	22.30
06/30/2017	MOELLER, DENNIS	METLIFE INVESTORS USA XTRA PRODUCRT	99,605.12	62.25	0.00	62.25	90.0	56.03
06/30/2017	MOORE, TERRY	METLIFE INVESTORS USA XTRA PRODUCRT	100,436.92	62.77	0.00	62.77	90.0	56.49
06/30/2017	SCARBOROUGH, ROBERT	METLIFE INVESTORS USA XTRA PRODUCRT	329,712.02	206.07	0.00	206.07	90.0	185.46
06/30/2017	GILLEY, BEVERLY	METLIFE INVESTORS USA XTRA PRODUCRT	131,375.21	82.11	0.00	82.11	90.0	73.90
06/30/2017	GILLEY, EARL	METLIFE INVESTORS USA XTRA PRODUCRT	90,315.64	56.45	0.00	56.45	90.0	50.81
06/30/2017	BELL, EDDY	METLIFE INVESTORS USA XTRA PRODUCRT	448,215.10	280.13	0.00	280.13	90.0	252.12
06/30/2017	HEINER, HARVEY	METLIFE INVESTORS USA XTRA PRODUCRT	77,346.60	48.34	0.00	48.34	90.0	43.51
06/30/2017	POTH, VIVIAN	METLIFE SERIES L	1,282,064.34	3,205.16	0.00	3,205.16	90.0	2,884.64
06/30/2017	JOHNSON JR, EDWARD	METLIFE SERIES L	83,554.41	208.89	0.00	208.89	90.0	188.00
06/30/2017	FERGUSON, VIRGIL	METLIFE SERIES L	46,663.23	116.66	0.00	116.66	90.0	104.99
06/30/2017	FERGUSON, LINDA	METLIFE SERIES L	90,512.76	226.28	0.00	226.28	90.0	203.65
06/30/2017	NAIZER, ROSANNE	METLIFE SERIES L	192,247.30	480.62	0.00	480.62	90.0	432.56
06/30/2017	HELTON, CLYDE	METLIFE SERIES L	45,391.79	113.48	0.00	113.48	90.0	102.13

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: VARIABLE ANNUITIES</u>								
06/30/2017	WERCHAN, SHIRLEY	METLIFE SERIES L	86,487.24	216.22	0.00	216.22	90.0	194.60
06/30/2017	SPECKELS, WARREN	METLIFE SERIES L	31,584.01	78.96	0.00	78.96	90.0	71.06
06/30/2017	KELLEY, DOLORES	METLIFE SERIES L	200,394.33	500.99	0.00	500.99	90.0	450.89
06/30/2017	WERCHAN, SHIRLEY	METLIFE SERIES L	62,975.03	157.44	0.00	157.44	90.0	141.70
06/30/2017	EWING, MARGARET	METLIFE SERIES L	36,554.26	91.39	0.00	91.39	90.0	82.25
06/30/2017	LOGHRY, DORIS	METLIFE SERIES XC	248,979.54	155.61	0.00	155.61	90.0	140.05
06/30/2017	NAIZER, JOHNNIE	METLIFE SERIES XC	79,349.33	49.59	0.00	49.59	90.0	44.63
06/30/2017	CHEATHAM, JIMMY	METLIFE SERIES XC	1,197,204.38	748.25	0.00	748.25	90.0	673.43
06/30/2017	MAREK, RODNEY	METLIFE SERIES XC	154,255.63	96.41	0.00	96.41	90.0	86.77
06/30/2017	MAREK, GAYLE	METLIFE SERIES XC	21,238.46	13.27	0.00	13.27	90.0	11.94
06/30/2017	DAWSON, SIDNEY	METLIFE SERIES XC	20,391.63	12.74	0.00	12.74	90.0	11.47
06/30/2017	MAREK, GAYLE	METLIFE SERIES XC	292,147.17	182.59	0.00	182.59	90.0	164.33
06/30/2017	LAWHON, JACKIE	METLIFE SERIES XC	160,569.36	100.36	0.00	100.36	90.0	90.32
06/30/2017	NAIZER, JOHNNIE	METLIFE SERIES XC	66,862.83	41.79	0.00	41.79	90.0	37.61
06/30/2017	ROSIPAL, HERBERT	METLIFE SERIES XC	85,429.08	53.39	0.00	53.39	90.0	48.05
06/30/2017	DAWSON, SUANNE	METLIFE SERIES XC	79,985.24	49.99	0.00	49.99	90.0	44.99
06/30/2017	ROSIPAL, ADELE	METLIFE SERIES XC	62,382.64	38.99	0.00	38.99	90.0	35.09
06/30/2017	NIXON, JAMES	METLIFE SERIES XC	24,983.40	15.61	0.00	15.61	90.0	14.05
06/30/2017	MICHNA, JIMMY	METLIFE SERIES XC	404,149.03	252.59	0.00	252.59	90.0	227.33
06/30/2017	STAGNER TRUST, JAMES	METLIFE SERIES XC	390,371.77	243.98	0.00	243.98	90.0	219.58
06/30/2017	ROSIPAL, HERBERT	METLIFE SERIES XC	163,970.16	102.48	0.00	102.48	90.0	92.23
06/30/2017	MAREK, RODNEY	METLIFE SERIES XC	19,799.08	12.37	0.00	12.37	90.0	11.13
06/30/2017	STAGNER, JEAN	METLIFE SERIES XC	79,347.17	49.59	0.00	49.59	90.0	44.63
06/30/2017	SOWELL, SCOTT	METLIFE USA SERIES VA	34,658.53	86.65	0.00	86.65	90.0	77.99
06/30/2017	JACKSON, CAROLYN	METLIFE USA SERIES VA	27,758.63	69.40	0.00	69.40	90.0	62.46
06/30/2017	WHITLOW III, WILLIAM	METLIFE USA SERIES VA	3,769.99	9.42	0.00	9.42	90.0	8.48
06/30/2017	ENOCHS, LELAND	METLIFE USA SERIES VA	425,802.19	266.13	0.00	266.13	90.0	239.52
06/30/2017	ENOCHS, DONNA	METLIFE USA SERIES VA	197,164.99	123.23	0.00	123.23	90.0	110.91
06/30/2017	BEEMAN, MICHAEL	METLIFE USA SERIES VA	173,163.19	108.23	0.00	108.23	90.0	97.41
06/30/2017	IVINS, BEVERLY	METLIFE USA SERIES VA	29,812.34	29.81	0.00	29.81	90.0	26.83
06/26/2017	MOORE, TERRY	PAC LIFE PORTFOLIOS	0.00	50.86	0.00	50.86	90.0	45.77
06/30/2017	NAIZER, JOHNNIE	PHCM VI 416588408	2,077.28	1.30	0.00	1.30	90.0	1.17
06/30/2017	PRAESEL, ARTHUR	PRU AS APEX II	261,270.73	653.18	0.00	653.18	90.0	587.86

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: VARIABLE ANNUITIES</u>								
06/30/2017	PRAESEL, ARTHUR	PRU AS APEX II	261,270.73	163.29	0.00	163.29	90.0	146.96
06/30/2017	MCRIGHT, WILLIAM	PRU AS XTRA CREDIT	2,889.33	1.81	0.00	1.81	90.0	1.63
06/30/2017	MCELROY, BENNETT	PRU PREMIER RETIREMENT L	72,984.58	182.46	0.00	182.46	90.0	164.21
06/30/2017	MCCALL, DONNA	PRU XTRA CREDIT EIGHT	666,873.08	277.86	0.00	277.86	90.0	250.07
06/30/2017	ESCHBERGER, AGNES	THE DIRECTOR M EDGE	262,601.42	164.13	0.00	164.13	90.0	147.72
06/30/2017	ESCHBERGER, AGNES	THE DIRECTOR M EDGE	237,706.73	148.57	0.00	148.57	90.0	133.71
* VARIABLE ANNUITIES SUBTOTAL *			\$17,137,298.28	\$20,325.41	\$0.00	\$20,325.41		\$18,292.87
<u>PRODUCT CATEGORY: UNIT INVESTMENT TRUSTS</u>								
06/28/2017	ESCHBERGER TRUST, JACK & AGNES	SFT UNIT 6386 INNOVATIVE TECHNOLOGY	23,510.37	622.94	0.00	622.94	90.0	560.65
06/28/2017	ESCHBERGER TRUST, JACK & AGNES	SFT UNIT 6539 HOMEBUILDERS RECOVERY	23,505.57	622.94	0.00	622.94	90.0	560.65
06/28/2017	ESCHBERGER TRUST, JACK & AGNES	SFT UNIT 6552 U S REV PORTFOLIO SER	23,503.33	622.85	0.00	622.85	90.0	560.57
06/28/2017	ESCHBERGER TRUST, JACK & AGNES	SFT UNIT 6691 US EQTY CLOSD END	23,504.38	622.81	0.00	622.81	90.0	560.53
* UNIT INVESTMENT TRUSTS SUBTOTAL *			\$94,023.65	\$2,491.54	\$0.00	\$2,491.54		\$2,242.40
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
06/12/2017	BUROW, PAUL	ALLIANCEBERNSTEIN INTL VALUE A	0.00	0.90	0.00	0.90	90.0	0.81
06/21/2017	WIESNER, BETTY	AM CENT EQUITY INCOME	0.00	2.98	0.00	2.98	90.0	2.68
06/20/2017	ROSENTHAL, LUCILLE	AM FUNDS AMCAP A	0.00	11.38	0.00	11.38	90.0	10.24
06/20/2017	LESCHBER, PAMELA	AM FUNDS AMCAP A	0.00	0.96	0.00	0.96	90.0	0.86
06/20/2017	LUEDTKE, LOIS	AM FUNDS AMCAP A	0.00	11.46	0.00	11.46	90.0	10.31
06/20/2017	ASPRA, TRISSA	AM FUNDS AMCAP A	0.00	2.53	0.00	2.53	90.0	2.28
06/20/2017	NMN & NJN MGMT TRUST	AM FUNDS AMCAP A	0.00	1.54	0.00	1.54	90.0	1.39
06/20/2017	MICHNA, RHYS	AM FUNDS AMCAP A	0.00	1.25	0.00	1.25	90.0	1.13
06/20/2017	SCOTT, MONYAN	AM FUNDS AMCAP A	0.00	25.36	0.00	25.36	90.0	22.82
06/20/2017	SPECKELS, MELBA	AM FUNDS AMERICAN BALANCED A	0.00	1.23	0.00	1.23	90.0	1.11
06/20/2017	FUESSEL, NORMAN	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	3.31	0.00	3.31	90.0	2.98
06/20/2017	FUESSEL NE & NA TR, NORMAN	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	34.66	0.00	34.66	90.0	31.19
06/20/2017	SPECKELS, MELBA	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	1.62	0.00	1.62	90.0	1.46
06/20/2017	ROSENTHAL, LUCILLE	AM FUNDS AMERICAN MUTUAL A	0.00	16.95	0.00	16.95	90.0	15.26
06/20/2017	FUESSEL IRREV TR, NORMAN	AM FUNDS AMERICAN MUTUAL A	0.00	8.29	0.00	8.29	90.0	7.46
06/20/2017	NMN & NJN MGMT TRUST	AM FUNDS AMERICAN MUTUAL A	0.00	0.95	0.00	0.95	90.0	0.86
06/20/2017	SCOTT, MONYAN	AM FUNDS AMERICAN MUTUAL A	0.00	22.09	0.00	22.09	90.0	19.88
06/20/2017	IVICIC, MARY	AM FUNDS AMERICAN MUTUAL A	0.00	2.60	0.00	2.60	90.0	2.34

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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 FUND 12B1 TRAILS</u>								
06/20/2017	CHEATHAM, JIMMY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	11.03	0.00	11.03	90.0	9.93
06/20/2017	PRAESEL, ARTHUR	AM FUNDS CAPITAL INCOME BUILDER A	0.00	21.62	0.00	21.62	90.0	19.46
06/20/2017	ROSENTHAL, LUCILLE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	32.90	0.00	32.90	90.0	29.61
06/20/2017	FUESSEL, NORMAN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	20.28	0.00	20.28	90.0	18.25
06/20/2017	FUESSEL NE & NA TR, NORMAN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	18.53	0.00	18.53	90.0	16.68
06/20/2017	BRUECKNER, KIMBERLY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	5.30	0.00	5.30	90.0	4.77
06/20/2017	KELLEY, DOLORES	AM FUNDS CAPITAL INCOME BUILDER A	0.00	6.15	0.00	6.15	90.0	5.54
06/20/2017	LOGHRY, DORIS	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.06	0.00	0.06	90.0	0.05
06/20/2017	PEKAR, DAVID	AM FUNDS CAPITAL INCOME BUILDER A	0.00	7.61	0.00	7.61	90.0	6.85
06/20/2017	SPECKELS, WARREN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.36	0.00	1.36	90.0	1.22
06/20/2017	SPECKELS, MELBA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	2.01	0.00	2.01	90.0	1.81
06/20/2017	BRANSON, BARBARA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	3.20	0.00	3.20	90.0	2.88
06/20/2017	MORRIS, JANINE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	9.04	0.00	9.04	90.0	8.14
06/20/2017	SCOTT, MONYUAN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	21.37	0.00	21.37	90.0	19.23
06/20/2017	URBAN, LONNIE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.50	0.00	1.50	90.0	1.35
06/20/2017	MOORE, TERRY	AM FUNDS CAPITAL INCOME BUILDER C	0.00	32.74	0.00	32.74	90.0	29.47
06/20/2017	ROSENTHAL, LUCILLE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	30.09	0.00	30.09	90.0	27.08
06/20/2017	LESCHBER, LARRY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.28	0.00	2.28	90.0	2.05
06/20/2017	FUESSEL IRREV TR, NORMAN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	8.45	0.00	8.45	90.0	7.61
06/20/2017	BRUECKNER, KIMBERLY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	14.71	0.00	14.71	90.0	13.24
06/20/2017	KELLEY, DOLORES	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	4.92	0.00	4.92	90.0	4.43
06/20/2017	NMN & NJN MGMT TRUST	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.11	0.00	1.11	90.0	1.00
06/20/2017	SCOTT, MONYUAN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	30.44	0.00	30.44	90.0	27.40
06/20/2017	HOHMAN, JEROME	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	8.77	0.00	8.77	90.0	7.89
06/20/2017	DROMGOOLE, NONA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	6.03	0.00	6.03	90.0	5.43
06/20/2017	URBAN, LONNIE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.64	0.00	1.64	90.0	1.48
06/20/2017	IVICIC, MARY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.26	0.00	1.26	90.0	1.13
06/20/2017	FUESSEL NE & NA TR, NORMAN	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	17.61	0.00	17.61	90.0	15.85
06/20/2017	LUEDTKE, LOIS	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	16.59	0.00	16.59	90.0	14.93
06/20/2017	KELLEY, DOLORES	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	4.26	0.00	4.26	90.0	3.83
06/20/2017	ROSENTHAL, LUCILLE	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	37.35	0.00	37.35	90.0	33.62
06/20/2017	LESCHBER, PAMELA	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.50	0.00	1.50	90.0	1.35
06/20/2017	BRUECKNER, KIMBERLY	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	18.82	0.00	18.82	90.0	16.94

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
06/20/2017	NMN & NJN MGMT TRUST	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.52	0.00	1.52	90.0	1.37
06/20/2017	SCOTT, MONYUAN	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	37.88	0.00	37.88	90.0	34.09
06/20/2017	DROMGOOLE, NONA	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	7.17	0.00	7.17	90.0	6.45
06/20/2017	EWING LIVING TRUST, JACK &	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	6.78	0.00	6.78	90.0	6.10
06/20/2017	IVICIC, MARY	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	3.38	0.00	3.38	90.0	3.04
06/20/2017	ROSENTHAL, LUCILLE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	12.40	0.00	12.40	90.0	11.16
06/20/2017	FUESSEL IRREV TR, NORMAN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	49.90	0.00	49.90	90.0	44.91
06/20/2017	LUEDTKE, LOIS	AM FUNDS GROWTH FUND OF AMERICA A	0.00	36.62	0.00	36.62	90.0	32.96
06/20/2017	ASPRA, TRISSA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	2.76	0.00	2.76	90.0	2.48
06/20/2017	BRUECKNER, KIMBERLY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	19.14	0.00	19.14	90.0	17.23
06/20/2017	ROSIPAL, HERBERT	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.07	0.00	0.07	90.0	0.06
06/20/2017	KELLEY, DOLORES	AM FUNDS GROWTH FUND OF AMERICA A	0.00	5.58	0.00	5.58	90.0	5.02
06/20/2017	LAWHON, JACKIE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.24	0.00	0.24	90.0	0.22
06/20/2017	NMN & NJN MGMT TRUST	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.53	0.00	1.53	90.0	1.38
06/20/2017	BORGNE JR, ROBERT	AM FUNDS GROWTH FUND OF AMERICA A	0.00	6.37	0.00	6.37	90.0	5.73
06/20/2017	LAWHON, STEVEN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	6.65	0.00	6.65	90.0	5.99
06/20/2017	SPECKELS, WARREN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	2.00	0.00	2.00	90.0	1.80
06/20/2017	MICHNA, RHYS	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.27	0.00	1.27	90.0	1.14
06/20/2017	MORRIS, JANINE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	17.99	0.00	17.99	90.0	16.19
06/20/2017	SCOTT, MONYUAN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	40.85	0.00	40.85	90.0	36.77
06/20/2017	LAWHON, BRAEDEN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.83	0.00	0.83	90.0	0.75
06/20/2017	DROMGOOLE, NONA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	7.32	0.00	7.32	90.0	6.59
06/20/2017	MOORE, TERRY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	2.19	0.00	2.19	90.0	1.97
06/20/2017	OHE, DRAKE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.17	0.00	1.17	90.0	1.05
06/20/2017	OHE, EUGENIA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.78	0.00	0.78	90.0	0.70
06/20/2017	URBAN, LONNIE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	2.06	0.00	2.06	90.0	1.85
06/20/2017	LAWHON, MAISEN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.58	0.00	0.58	90.0	0.52
06/20/2017	IVICIC, MARY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	2.99	0.00	2.99	90.0	2.69
06/20/2017	LESCHBER, LARRY	AM FUNDS ICA A	0.00	0.81	0.00	0.81	90.0	0.73
06/20/2017	DROMGOOLE, NONA	AM FUNDS ICA A	0.00	5.98	0.00	5.98	90.0	5.38
06/20/2017	EWING JR, JACK	AM FUNDS ICA A	0.00	8.43	0.00	8.43	90.0	7.59
06/20/2017	CHEATHAM, JIMMY	AM FUNDS INCOME FUND OF AMERICA A	0.00	10.49	0.00	10.49	90.0	9.44
06/20/2017	PRAESEL, ARTHUR	AM FUNDS INCOME FUND OF AMERICA A	0.00	25.93	0.00	25.93	90.0	23.34

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
06/20/2017	ROSENTHAL, LUCILLE	AM FUNDS INCOME FUND OF AMERICA A	0.00	38.04	0.00	38.04	90.0	34.24
06/20/2017	LESCHBER, PAMELA	AM FUNDS INCOME FUND OF AMERICA A	0.00	3.84	0.00	3.84	90.0	3.46
06/20/2017	FUESSEL, NORMAN	AM FUNDS INCOME FUND OF AMERICA A	0.00	19.49	0.00	19.49	90.0	17.54
06/20/2017	FUESSEL NE & NA TR, NORMAN	AM FUNDS INCOME FUND OF AMERICA A	0.00	17.36	0.00	17.36	90.0	15.62
06/20/2017	BRUECKNER, KIMBERLY	AM FUNDS INCOME FUND OF AMERICA A	0.00	10.31	0.00	10.31	90.0	9.28
06/20/2017	KELLEY, DOLORES	AM FUNDS INCOME FUND OF AMERICA A	0.00	4.91	0.00	4.91	90.0	4.42
06/20/2017	SPECKELS, MELBA	AM FUNDS INCOME FUND OF AMERICA A	0.00	1.96	0.00	1.96	90.0	1.76
06/20/2017	FISCHER, HAROLD	AM FUNDS INCOME FUND OF AMERICA A	0.00	1.60	0.00	1.60	90.0	1.44
06/20/2017	HAMITER, DONNIE	AM FUNDS INCOME FUND OF AMERICA A	0.00	10.32	0.00	10.32	90.0	9.29
06/20/2017	MORRIS, JANINE	AM FUNDS INCOME FUND OF AMERICA A	0.00	13.33	0.00	13.33	90.0	12.00
06/20/2017	SCOTT, MONYAN	AM FUNDS INCOME FUND OF AMERICA A	0.00	27.98	0.00	27.98	90.0	25.18
06/20/2017	KLEMT, RUTH	AM FUNDS INCOME FUND OF AMERICA A	0.00	1.77	0.00	1.77	90.0	1.59
06/20/2017	WILSON, MARY	AM FUNDS INCOME FUND OF AMERICA A	0.00	4.91	0.00	4.91	90.0	4.42
06/20/2017	EWING LIVING TRUST, JACK &	AM FUNDS INCOME FUND OF AMERICA A	0.00	15.94	0.00	15.94	90.0	14.35
06/20/2017	KETTLE, MARVIN	AM FUNDS INCOME FUND OF AMERICA A	0.00	3.61	0.00	3.61	90.0	3.25
06/20/2017	NMN & NJN MGMT TRUST	AM FUNDS INTL GROWTH AND INCOME A	0.00	0.60	0.00	0.60	90.0	0.54
06/20/2017	DROMGOOLE, NONA	AM FUNDS INTL GROWTH AND INCOME A	0.00	4.64	0.00	4.64	90.0	4.18
06/20/2017	BRUECKNER, KIMBERLY	AM FUNDS NEW ECONOMY A	0.00	13.35	0.00	13.35	90.0	12.02
06/20/2017	WILSON, MARY	AM FUNDS NEW ECONOMY A	0.00	10.79	0.00	10.79	90.0	9.71
06/20/2017	LESCHBER, LARRY	AM FUNDS NEW PERSPECTIVE A	0.00	1.23	0.00	1.23	90.0	1.11
06/20/2017	BRUECKNER, KIMBERLY	AM FUNDS NEW PERSPECTIVE A	0.00	11.65	0.00	11.65	90.0	10.49
06/20/2017	MORRIS, JANINE	AM FUNDS NEW PERSPECTIVE A	0.00	19.47	0.00	19.47	90.0	17.52
06/20/2017	SCOTT, MONYAN	AM FUNDS NEW PERSPECTIVE A	0.00	34.62	0.00	34.62	90.0	31.16
06/20/2017	NMN & NJN MGMT TRUST	AM FUNDS NEW WORLD A	0.00	0.30	0.00	0.30	90.0	0.27
06/20/2017	DROMGOOLE, NONA	AM FUNDS NEW WORLD A	0.00	4.48	0.00	4.48	90.0	4.03
06/20/2017	BRUECKNER, KIMBERLY	AM FUNDS SMALLCAP WORLD A	0.00	10.36	0.00	10.36	90.0	9.32
06/20/2017	NMN & NJN MGMT TRUST	AM FUNDS SMALLCAP WORLD A	0.00	1.34	0.00	1.34	90.0	1.21
06/20/2017	DROMGOOLE, NONA	AM FUNDS SMALLCAP WORLD A	0.00	1.69	0.00	1.69	90.0	1.52
06/20/2017	LESCHBER, PAMELA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.94	0.00	0.94	90.0	0.85
06/20/2017	FUESSEL, NORMAN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	14.95	0.00	14.95	90.0	13.46
06/20/2017	FUESSEL IRREV TR, NORMAN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	8.17	0.00	8.17	90.0	7.35
06/20/2017	FUESSEL NE & NA TR, NORMAN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	63.79	0.00	63.79	90.0	57.41
06/20/2017	BRUECKNER, KIMBERLY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	11.82	0.00	11.82	90.0	10.64

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
06/20/2017	KORNEGAY, ALISA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.29	0.00	0.29	90.0	0.26
06/20/2017	KELLEY, DOLORES	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	7.89	0.00	7.89	90.0	7.10
06/20/2017	LAWHON, JACKIE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	44.91	0.00	44.91	90.0	40.42
06/20/2017	SPECKELS, WARREN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	2.54	0.00	2.54	90.0	2.29
06/20/2017	SPECKELS, MELBA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.71	0.00	1.71	90.0	1.54
06/20/2017	SPECKELS, MELBA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.56	0.00	1.56	90.0	1.40
06/20/2017	GILLIGAN, DOROTHY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	7.10	0.00	7.10	90.0	6.39
06/20/2017	STOLTE, VERNALINE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.20	0.00	1.20	90.0	1.08
06/20/2017	MORRIS, JANINE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	18.73	0.00	18.73	90.0	16.86
06/20/2017	SMITH, MICHAEL	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.36	0.00	1.36	90.0	1.22
06/20/2017	BUROW, PAUL	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.35	0.00	1.35	90.0	1.22
06/20/2017	DALJO LTD PT	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	32.22	0.00	32.22	90.0	29.00
06/20/2017	HOHMAN, JEROME	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	5.46	0.00	5.46	90.0	4.91
06/20/2017	WILSON, MARY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	16.42	0.00	16.42	90.0	14.78
06/20/2017	WIESNER, BETTY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	3.36	0.00	3.36	90.0	3.02
06/20/2017	EWING LIVING TRUST, JACK &	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	22.90	0.00	22.90	90.0	20.61
06/20/2017	URBAN, LONNIE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.86	0.00	1.86	90.0	1.67
06/20/2017	IVICIC, MARY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	3.37	0.00	3.37	90.0	3.03
06/27/2017	EWING JR, JACK	BLK GLOBAL ALLOCATION C	0.00	15.96	0.00	15.96	90.0	14.36
06/27/2017	EWING LIVING TRUST, JACK &	BLK GLOBAL ALLOCATION C	0.00	57.20	0.00	57.20	90.0	51.48
06/21/2017	SMITH, JUDY	CALAMOS GROWTH C	0.00	34.72	0.00	34.72	90.0	31.25
06/13/2017	KETTLE, MARVIN	CLEARBRIDGE AGGRESSIVE	0.00	3.61	0.00	3.61	90.0	3.25
06/13/2017	KETTLE, MARVIN	CLEARBRIDGE APPRECIATION FUND CLASS	0.00	1.96	0.00	1.96	90.0	1.76
06/13/2017	PEMBERTON, PATRICIA	CLEARBRIDGE SMALL CAP GROWTH FUND C	0.00	3.97	0.00	3.97	90.0	3.57
06/13/2017	WIESNER, BETTY	COLUMBIA ACORN A	0.00	1.65	0.00	1.65	90.0	1.49
06/13/2017	MCELROY, BENNETT	COLUMBIA MARSICO FOCUSED EQUITIES F	0.00	8.85	0.00	8.85	90.0	7.97
06/15/2017	CHEATHAM, JIMMY	FEDERATED CLOVER VALUE A	0.00	1.78	0.00	1.78	90.0	1.60
06/15/2017	CHEATHAM, JIMMY	FEDERATED EQUITY INCOME A	0.00	9.66	0.00	9.66	90.0	8.69
06/15/2017	CHEATHAM, JIMMY	FEDERATED KAUFMANN FUND A	0.00	2.45	0.00	2.45	90.0	2.21
06/15/2017	CHEATHAM, JIMMY	FEDERATED MDT MID CAP GROWTH STRATE	0.00	3.06	0.00	3.06	90.0	2.75
06/16/2017	ESCHBERGER TRUST, JACK & AGNES	FIDELITY ADV NEW INSIGHTS-CL A	0.00	0.63	0.00	0.63	90.0	0.57
06/16/2017	NMN & NUN MGMT TRUST	FIDELITY ADV NEW INSIGHTS-CL A	0.00	1.45	0.00	1.45	90.0	1.31
06/16/2017	NAIZER TRUST, NOLAN	FIDELITY ADV NEW INSIGHTS-CL A	0.00	0.33	0.00	0.33	90.0	0.30

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
06/16/2017	NAIZER TRUST, NOEL	FIDELITY ADV NEW INSIGHTS-CL A	0.00	0.21	0.00	0.21	90.0	0.19
06/16/2017	WIESNER, BETTY	FIDELITY ADV NEW INSIGHTS-CL A	0.00	3.41	0.00	3.41	90.0	3.07
06/16/2017	MCELROY, BENNETT	FIDELITY ADV STRATEGIC INCOME A	0.00	4.01	0.00	4.01	90.0	3.61
06/13/2017	COOPER, ADAM	FRANKLIN MUTUAL GLOBAL DISCOVERY A	0.00	3.92	0.00	3.92	90.0	3.53
06/13/2017	COOPER, ADAM	FRANKLIN MUTUAL GLOBAL DISCOVERY A	0.00	5.70	0.00	5.70	90.0	5.13
06/13/2017	COOPER, ADAM	FRANKLIN MUTUAL QUEST A	0.00	5.44	0.00	5.44	90.0	4.90
06/13/2017	COOPER, ADAM	FRANKLIN RISING DIVIDENDS A	0.00	5.09	0.00	5.09	90.0	4.58
06/19/2017	ENOCHS, LELAND	GOLDMAN SACHS CAPITAL GROWTH FUND C	0.00	9.37	0.00	9.37	90.0	8.43
06/19/2017	ENOCHS, LELAND	GOLDMAN SACHS FOCUSED INTL EQUITY F	0.00	2.72	0.00	2.72	90.0	2.45
06/19/2017	HAMITER, DONNIE	GOLDMAN SACHS SMALL CAP VALUE FUND-	0.00	0.62	0.00	0.62	90.0	0.56
06/19/2017	STOLTE, VERNALINE	GOLDMAN SACHS U.S. EQUITY INSIGHTS	0.00	0.35	0.00	0.35	90.0	0.32
06/19/2017	BURKHART, KRISTI	GOLDMAN SACHS U.S. EQUITY INSIGHTS	0.00	1.58	0.00	1.58	90.0	1.42
06/16/2017	CHEATHAM, JIMMY	HARTFORD BALANCED A	0.00	0.89	0.00	0.89	90.0	0.80
06/16/2017	FLEMING, JERRY	HARTFORD BALANCED A	0.00	1.51	0.00	1.51	90.0	1.36
06/16/2017	RAESZ TTEE, BARBARA	HARTFORD BALANCED ALLOCATION A	0.00	3.90	0.00	3.90	90.0	3.51
06/16/2017	RAESZ TTEE, BARBARA	HARTFORD BALANCED ALLOCATION A	0.00	2.04	0.00	2.04	90.0	1.84
06/16/2017	TAISLER, JESSE	HARTFORD CAPITAL APP II A	0.00	1.67	0.00	1.67	90.0	1.50
06/16/2017	MASON, ELEANOR	HARTFORD CAPITAL APP II A	0.00	1.14	0.00	1.14	90.0	1.03
06/16/2017	SCOTT, MONYUAN	HARTFORD CAPITAL APP II A	0.00	15.75	0.00	15.75	90.0	14.18
06/16/2017	CHEATHAM, JIMMY	HARTFORD CAPITAL APPRECIATION A	0.00	9.59	0.00	9.59	90.0	8.63
06/16/2017	ROSENTHAL, LUCILLE	HARTFORD CAPITAL APPRECIATION A	0.00	11.24	0.00	11.24	90.0	10.12
06/16/2017	LESCHBER, LARRY	HARTFORD CAPITAL APPRECIATION A	0.00	17.87	0.00	17.87	90.0	16.08
06/16/2017	BRUECKNER, KIMBERLY	HARTFORD CAPITAL APPRECIATION A	0.00	12.77	0.00	12.77	90.0	11.49
06/16/2017	HAMANN, LARRY	HARTFORD CAPITAL APPRECIATION A	0.00	9.36	0.00	9.36	90.0	8.42
06/16/2017	FLEMING, JERRY	HARTFORD CAPITAL APPRECIATION A	0.00	5.72	0.00	5.72	90.0	5.15
06/16/2017	TAISLER, JESSE	HARTFORD CAPITAL APPRECIATION A	0.00	1.86	0.00	1.86	90.0	1.67
06/16/2017	MOORE, TERRY	HARTFORD CAPITAL APPRECIATION C	0.00	24.18	0.00	24.18	90.0	21.76
06/16/2017	LESCHBER, LARRY	HARTFORD DISCIPLINED EQUITY A	0.00	4.97	0.00	4.97	90.0	4.47
06/16/2017	CHEATHAM, JIMMY	HARTFORD DIVIDEND & GROWTH A	0.00	4.65	0.00	4.65	90.0	4.19
06/16/2017	BRUECKNER, KIMBERLY	HARTFORD DIVIDEND & GROWTH A	0.00	5.35	0.00	5.35	90.0	4.82
06/16/2017	HAMANN, LARRY	HARTFORD DIVIDEND & GROWTH A	0.00	4.05	0.00	4.05	90.0	3.65
06/16/2017	FLEMING, JERRY	HARTFORD DIVIDEND & GROWTH A	0.00	4.94	0.00	4.94	90.0	4.45
06/16/2017	TAISLER, JESSE	HARTFORD DIVIDEND & GROWTH A	0.00	1.86	0.00	1.86	90.0	1.67

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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 FUND 12B1 TRAILS</u>								
06/16/2017	RAESZ TTEE, BARBARA	HARTFORD GROWTH ALLOCATION A	0.00	3.77	0.00	3.77	90.0	3.39
06/16/2017	RAESZ TTEE, BARBARA	HARTFORD GROWTH ALLOCATION A	0.00	2.08	0.00	2.08	90.0	1.87
06/16/2017	EWING, JOHN	HARTFORD GROWTH ALLOCATION A	0.00	0.84	0.00	0.84	90.0	0.76
06/16/2017	ROSENTHAL, LUCILLE	HARTFORD GROWTH OPP A	0.00	10.50	0.00	10.50	90.0	9.45
06/16/2017	SCOTT, MONYAN	HARTFORD GROWTH OPP A	0.00	18.29	0.00	18.29	90.0	16.46
06/16/2017	ROSENTHAL, LUCILLE	HARTFORD INT'L GROWTH A	0.00	6.82	0.00	6.82	90.0	6.14
06/16/2017	CHEATHAM, JIMMY	HARTFORD MIDCAP A	0.00	6.78	0.00	6.78	90.0	6.10
06/16/2017	LESCHBER, LARRY	HARTFORD MIDCAP A	0.00	19.58	0.00	19.58	90.0	17.62
06/16/2017	FLEMING, JERRY	HARTFORD MIDCAP A	0.00	5.95	0.00	5.95	90.0	5.36
06/16/2017	ROSENTHAL, LUCILLE	HARTFORD MIDCAP VALUE A	0.00	12.33	0.00	12.33	90.0	11.10
06/16/2017	MASON, ELEANOR	HARTFORD MIDCAP VALUE A	0.00	0.74	0.00	0.74	90.0	0.67
06/16/2017	LESCHBER, LARRY	HARTFORD SMALL-COMPANY FUND CLASS A	0.00	12.49	0.00	12.49	90.0	11.24
06/16/2017	BRUECKNER, KIMBERLY	HARTFORD SMALL-COMPANY FUND CLASS A	0.00	5.35	0.00	5.35	90.0	4.82
06/16/2017	TAISLER, JESSE	HARTFORD VALUE OPPORTUNITY FUND CLA	0.00	1.88	0.00	1.88	90.0	1.69
06/16/2017	MASON, ELEANOR	HARTFUND EQUITY INCIME FUND A	0.00	0.65	0.00	0.65	90.0	0.59
06/21/2017	BEEMAN, MICHAEL	HIGHLAND FLOATING RATE OPPORTUNITIE	0.00	0.63	0.00	0.63	90.0	0.57
06/19/2017	ESCHBERGER TRUST, JACK & AGNES	JH DISCIPLINED VALUE A	0.00	1.19	0.00	1.19	90.0	1.07
06/19/2017	ROSENTHAL, LUCILLE	JH DISCIPLINED VALUE A	0.00	0.60	0.00	0.60	90.0	0.54
06/19/2017	SCARBOROUGH, ROBERT	JH DISCIPLINED VALUE A	0.00	0.94	0.00	0.94	90.0	0.85
06/19/2017	NMN & NUN MGMT TRUST	JH DISCIPLINED VALUE A	0.00	2.90	0.00	2.90	90.0	2.61
06/19/2017	NAIZER TRUST, NOLAN	JH DISCIPLINED VALUE A	0.00	0.55	0.00	0.55	90.0	0.50
06/19/2017	NAIZER TRUST, NOEL	JH DISCIPLINED VALUE A	0.00	0.40	0.00	0.40	90.0	0.36
06/19/2017	OLSON, DALE	JH DISCIPLINED VALUE A	0.00	2.32	0.00	2.32	90.0	2.09
06/19/2017	KETTLE, MARVIN	JH DISCIPLINED VALUE A	0.00	1.02	0.00	1.02	90.0	0.92
06/19/2017	MCELROY, BENNETT	JH STRATEGIC INCOME A	0.00	4.07	0.00	4.07	90.0	3.66
06/19/2017	ESCHBERGER TRUST, JACK & AGNES	JOHN HANCOCK GLOBAL ABSOLUTE RETURN	0.00	0.77	0.00	0.77	90.0	0.69
06/19/2017	ROSENTHAL, LUCILLE	JOHN HANCOCK GLOBAL ABSOLUTE RETURN	0.00	0.20	0.00	0.20	90.0	0.18
06/19/2017	SCARBOROUGH, ROBERT	JOHN HANCOCK GLOBAL ABSOLUTE RETURN	0.00	0.72	0.00	0.72	90.0	0.65
06/19/2017	NMN & NUN MGMT TRUST	JOHN HANCOCK GLOBAL ABSOLUTE RETURN	0.00	1.77	0.00	1.77	90.0	1.59
06/19/2017	NAIZER TRUST, NOLAN	JOHN HANCOCK GLOBAL ABSOLUTE RETURN	0.00	0.10	0.00	0.10	90.0	0.09
06/19/2017	NAIZER TRUST, NOEL	JOHN HANCOCK GLOBAL ABSOLUTE RETURN	0.00	0.18	0.00	0.18	90.0	0.16
06/19/2017	OLSON, DALE	JOHN HANCOCK GLOBAL ABSOLUTE RETURN	0.00	0.55	0.00	0.55	90.0	0.50
06/19/2017	MASON, JOHN	JOHN HANCOCK GLOBAL ABSOLUTE RETURN	0.00	6.09	0.00	6.09	90.0	5.48

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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 FUND 12B1 TRAILS</u>								
06/19/2017	KETTLE, MARVIN	JOHN HANCOCK GLOBAL ABSOLUTE RETURN	0.00	0.36	0.00	0.36	90.0	0.32
06/13/2017	KETTLE, MARVIN	LEGG MASON CLEARBRIDGE FUNDAMENTAL	0.00	3.10	0.00	3.10	90.0	2.79
06/21/2017	CHEATHAM, JIMMY	LORD ABBETT AFFILIATED A	0.00	1.77	0.00	1.77	90.0	1.59
06/21/2017	SPECKELS, MELBA	LORD ABBETT AFFILIATED A	0.00	0.76	0.00	0.76	90.0	0.68
06/21/2017	CHEATHAM, JIMMY	LORD ABBETT ALPHA STRATEGY A	0.00	3.71	0.00	3.71	90.0	3.34
06/21/2017	FUESSEL NE & NA TR, NORMAN	LORD ABBETT BOND DEBENTURE A	0.00	6.06	0.00	6.06	90.0	5.45
06/21/2017	CHEATHAM, JIMMY	LORD ABBETT CALIBRATED DIVIDEND GRO	0.00	2.18	0.00	2.18	90.0	1.96
06/21/2017	FUESSEL IRREV TR, NORMAN	LORD ABBETT CALIBRATED DIVIDEND GRO	0.00	11.76	0.00	11.76	90.0	10.58
06/21/2017	BRUECKNER, KIMBERLY	LORD ABBETT CALIBRATED DIVIDEND GRO	0.00	7.68	0.00	7.68	90.0	6.91
06/21/2017	SPECKELS, MELBA	LORD ABBETT CALIBRATED DIVIDEND GRO	0.00	0.92	0.00	0.92	90.0	0.83
06/21/2017	CHEATHAM, JIMMY	LORD ABBETT DEVELOPING GROWTH A	0.00	3.58	0.00	3.58	90.0	3.22
06/21/2017	FUESSEL IRREV TR, NORMAN	LORD ABBETT DEVELOPING GROWTH A	0.00	13.06	0.00	13.06	90.0	11.75
06/21/2017	BRUECKNER, KIMBERLY	LORD ABBETT FUNDAMENTAL EQUITY A	0.00	10.07	0.00	10.07	90.0	9.06
06/21/2017	SPECKELS, MELBA	LORD ABBETT FUNDAMENTAL EQUITY A	0.00	0.75	0.00	0.75	90.0	0.68
06/21/2017	SPECKELS, MELBA	LORD ABBETT GROWTH OPPORTUNITIES FU	0.00	0.58	0.00	0.58	90.0	0.52
06/21/2017	STAGNER TRUST, JAMES	LORD ABBETT INVT TR FLTG RATE A	0.00	6.67	0.00	6.67	90.0	6.00
06/21/2017	CHEATHAM, JIMMY	LORD ABBETT MID CAP STOCK A	0.00	7.30	0.00	7.30	90.0	6.57
06/21/2017	FUESSEL IRREV TR, NORMAN	LORD ABBETT MID CAP STOCK A	0.00	17.33	0.00	17.33	90.0	15.60
06/21/2017	BRUECKNER, KIMBERLY	LORD ABBETT MID CAP STOCK A	0.00	10.33	0.00	10.33	90.0	9.30
06/20/2017	ROSENTHAL, LUCILLE	LTD TERM TAX-EX BOND FUND OF AMERIC	0.00	4.82	0.00	4.82	90.0	4.34
06/14/2017	PEARSON, GRANT	MFS LIFETIME RETIREMENT INCOME FUND	0.00	42.79	0.00	42.79	90.0	38.51
06/14/2017	MCELROY, BENNETT	MFS VALUE A	0.00	9.42	0.00	9.42	90.0	8.48
06/19/2017	MASON, JOHN	NEUBERGER BERMAN LONG SHORT FUND CL	0.00	4.92	0.00	4.92	90.0	4.43
06/19/2017	WIESNER, BETTY	OPPENHEIMER GLOBAL STRATEGIC INC A	0.00	1.59	0.00	1.59	90.0	1.43
06/21/2017	FUESSEL IRREV TR, NORMAN	PUTNAM ASSET ALLOC GROWTH A	0.00	16.59	0.00	16.59	90.0	14.93
06/13/2017	KETTLE, MARVIN	QS GROWTH FUND CLASS A	0.00	0.60	0.00	0.60	90.0	0.54
06/16/2017	BELL, EDDY	RESOURCE R E DIVERSIFIED INC FUND A	0.00	10.64	0.00	10.64	90.0	9.58
06/16/2017	LUERSEN, JENNIFER	RESOURCE R E DIVERSIFIED INC FUND A	0.00	9.84	0.00	9.84	90.0	8.86
06/16/2017	LESCHBER, LARRY	THE HARTFORD GLOBAL EQUITY INCOME F	0.00	8.59	0.00	8.59	90.0	7.73
06/16/2017	KURTH, KARIANNE	TRANSAMERICA AA GROWTH C	0.00	38.14	0.00	38.14	90.0	34.33
06/16/2017	KURTH, DEREK	TRANSAMERICA AA GROWTH C	0.00	45.67	0.00	45.67	90.0	41.10
06/16/2017	KURTH, DEREK	TRANSAMERICA AA GROWTH C	0.00	28.04	0.00	28.04	90.0	25.24
06/16/2017	KURTH, DEREK	TRANSAMERICA AA GROWTH C	0.00	1.94	0.00	1.94	90.0	1.75

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
06/16/2017	KURTH, DEREK	TRANSAMERICA AA GROWTH C	0.00	1.94	0.00	1.94	90.0	1.75
06/16/2017	HERNANDEZ-GAGE, VIRGINIA	TRANSAMERICA AA MOD GROWTH C	0.00	4.25	0.00	4.25	90.0	3.83
06/16/2017	KURTH, DEREK	TRANSAMERICA AA MOD GROWTH C	0.00	6.42	0.00	6.42	90.0	5.78
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *			\$0.00	\$2,256.27	\$0.00	\$2,256.27		\$2,030.75
<u>PRODUCT CATEGORY: VARIABLE ANNUITY 12B1 TRAILS</u>								
06/30/2017	MCKINNEY-BO, VARIOUS	LFG TRAILS	0.00	970.23	0.00	970.23	90.0	873.21
09/30/2016	NAIZER, JOHNNIE	PROTECTIVE LIFE TRAILS	0.00	13.53	0.00	13.53	90.0	12.18
12/31/2016	NAIZER, JOHNNIE	PROTECTIVE LIFE TRAILS	0.00	14.18	0.00	14.18	90.0	12.76
03/31/2017	NAIZER, JOHNNIE	PROTECTIVE LIFE TRAILS	0.00	15.03	0.00	15.03	90.0	13.53
06/30/2017	NAIZER, JOHNNIE	PROTECTIVE LIFE TRAILS	0.00	15.65	0.00	15.65	90.0	14.09
* VARIABLE ANNUITY 12B1 TRAILS SUBTOTAL *			\$0.00	\$1,028.62	\$0.00	\$1,028.62		\$925.77
*** BROKER TRANSACTIONS TOTAL ***			\$17,224,859.79	\$26,200.90	\$80.00	\$26,120.90		\$23,508.94
<u>ADJUSTMENTS</u>								
07/15/2017		*EO INS: CURRENT MONTH INS	0.00					-300.00
07/15/2017		*PERSHING: PROSPECTUS	0.00					-5.46
07/15/2017		*PERSHING: PROSPECTUS	0.00					-18.43
07/15/2017		*PERSHING: PROSPECTUS	0.00					-1.96
07/15/2017		*TECH: CURRENT MONTH TECH	0.00					-275.00
*** ADJUSTMENTS TOTAL ***			\$0.00	\$0.00	\$0.00	\$0.00		\$-600.85

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BROKER COMMISSION TOTALS

Broker Transactions	\$23,508.94
Split Transactions	\$0.00
Override Transactions	\$0.00
Adjustments	\$-600.85
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$0.00
FINRA Assessment	\$0.00
SIPC Assessment	\$0.00

Check Amount	\$22,908.09
Year-to-date Gross	\$143,277.62
Year-to-date Earnings	\$126,009.61