



Concorde Investment Services, LLC

05/11/2017
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COMMISSION STATEMENT **May 15, 2017**

DAVID ZUPEK
6226 Bankers Rd.
Ste. 4
Racine, WI 53403

BROKER #: Z116
BRANCH: TADA WEALTH ADVISORS

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>BROKER TRANSACTIONS</u>								
PRODUCT CATEGORY: VARIABLE ANNUITIES								
05/02/2017	MAASS EXCAVAT	GWL NET ASSET VALUE 401K	1,375,858.71	565.42	0.00	565.42	90.0	508.88
04/30/2017	SHELDON, MARK	JNL PERSPECTIVE ADV II 5/05	15,135.15	15.77	0.00	15.77	90.0	14.19
04/30/2017	DEHAHN, RAYMOND	JNL PERSPECTIVE ADV II 5/05	47,595.60	39.66	0.00	39.66	90.0	35.69
04/30/2017	JOHNSON, ROBERT	JNL PERSPECTIVE FOCUS	58,239.99	48.53	0.00	48.53	90.0	43.68
04/30/2017	HARTGERINK, BRETT	JNL PERSPECTIVE II 04/14	110,741.05	23.07	0.00	23.07	90.0	20.76
04/30/2017	INGHAM, LYNNE	JNL PERSPECTIVE II 05/05	14,828.36	6.18	0.00	6.18	90.0	5.56
04/30/2017	BELLAIRE, THOMAS	JNL PERSPECTIVE II 10/04	20,025.69	8.34	0.00	8.34	90.0	7.51
04/30/2017	DENNE, FRANCES	JNL PERSPECTIVE II 10/04	11,344.04	4.73	0.00	4.73	90.0	4.26
04/30/2017	HOSS, GAIL	JNL PERSPECTIVE L	71,609.01	77.58	0.00	77.58	90.0	69.82
04/30/2017	JEANQUART, ROBERT	JNL PERSPECTIVE L	6,197.35	6.71	0.00	6.71	90.0	6.04
04/30/2017	PECKMAN, MARCIA	JNL PERSPECTIVE L	86,498.33	93.71	0.00	93.71	90.0	84.34
04/30/2017	HOOTEN, ROBERT	JNL PERSPECTIVE L	32,915.97	35.66	0.00	35.66	90.0	32.09
04/30/2017	KAEDING, HAROLD	JNL PERSPECTIVE L	67,691.71	56.41	0.00	56.41	90.0	50.77
04/30/2017	BABICKY, SHERRY	JNL PERSPECTIVE L	54,198.75	63.23	0.00	63.23	90.0	56.91
04/30/2017	MCFADDEN, JAMES	JNL PERSPECTIVE L	164,294.80	191.68	0.00	191.68	90.0	172.51
04/30/2017	TASKONIS, RICHARD	JNL PERSPECTIVE L	126,988.71	148.15	0.00	148.15	90.0	133.34
04/30/2017	BABICKY, SHERRY	JNL PERSPECTIVE L	42,110.06	49.13	0.00	49.13	90.0	44.22
04/30/2017	EDQUIST, BETTY	JNL PERSPECTIVE L	43,880.10	36.57	0.00	36.57	90.0	32.91
04/30/2017	FLETCHER, JEWEL	JNL PERSPECTIVE L	25,682.68	21.40	0.00	21.40	90.0	19.26
04/30/2017	SMITH, BETTY	JNL PERSPECTIVE L	36,260.82	42.30	0.00	42.30	90.0	38.07
04/30/2017	NONDORF, DENNIS	JNL PERSPECTIVE L	13,419.29	11.18	0.00	11.18	90.0	10.06
04/30/2017	WILLIAMS, WARNER	JNL PERSPECTIVE L	33,038.00	27.53	0.00	27.53	90.0	24.78
04/30/2017	ZUPFER, CHARLES	JNL PERSPECTIVE L	31,183.96	25.99	0.00	25.99	90.0	23.39
04/30/2017	HUIZINGA, SHIRLEY	JNL PERSPECTIVE L	31,902.94	26.59	0.00	26.59	90.0	23.93
04/30/2017	SPERER, MARION	JNL PERSPECTIVE L	23,461.88	19.55	0.00	19.55	90.0	17.60
04/30/2017	VERBETEN, KAREN	JNL PERSPECTIVE L	9,031.04	10.54	0.00	10.54	90.0	9.49

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<u>BROKER TRANSACTIONS</u>								
PRODUCT CATEGORY: VARIABLE ANNUITIES								
04/30/2017	BOLAND, TERRENCE	JNL PERSPECTIVE L	23,197.06	27.06	0.00	27.06	90.0	24.35
04/30/2017	HARTGERINK, EDWARD	JNL PERSPECTIVE L	30,744.78	33.31	0.00	33.31	90.0	29.98
04/30/2017	HARTGERINK, EDWARD	JNL PERSPECTIVE L	28,810.02	31.21	0.00	31.21	90.0	28.09
04/30/2017	HARTGERINK, EDWARD	JNL PERSPECTIVE L	29,974.30	24.98	0.00	24.98	90.0	22.48
04/30/2017	BODVEN, BRUCE	JNL PERSPECTIVE L	54,389.77	63.45	0.00	63.45	90.0	57.11
04/30/2017	PAULICK, BERNARD	JNL PERSPECTIVE L	142,895.72	119.08	0.00	119.08	90.0	107.17
04/30/2017	SORENSEN SR, ROBERT	JNL PERSPECTIVE L	136,934.44	114.11	0.00	114.11	90.0	102.70
04/30/2017	RACK, JOAN	JNL PERSPECTIVE L	139,981.81	151.65	0.00	151.65	90.0	136.49
04/30/2017	HUIZINGA, SHIRLEY	JNL PERSPECTIVE L	103,296.59	86.08	0.00	86.08	90.0	77.47
04/30/2017	INGHAM, LYNNE	JNL PERSPECTIVE L	70,602.20	58.84	0.00	58.84	90.0	52.96
04/30/2017	SORENSEN SR, ROBERT	JNL PERSPECTIVE L	166,560.39	138.80	0.00	138.80	90.0	124.92
04/30/2017	CRAWFORD, TIMOTHY	JNL PERSPECTIVE L	201,423.48	167.85	0.00	167.85	90.0	151.07
04/30/2017	WELLMAN, JAMES	JNL PERSPECTIVE L	56,247.65	65.62	0.00	65.62	90.0	59.06
04/30/2017	CRAWFORD, JEANNE	JNL PERSPECTIVE L	98,715.16	115.17	0.00	115.17	90.0	103.65
04/30/2017	THOMPSON, CAROL	JNL PERSPECTIVE L	76,719.96	63.93	0.00	63.93	90.0	57.54
04/30/2017	SHELDON, SUSAN	JNL PERSPECTIVE L	48,753.01	40.63	0.00	40.63	90.0	36.57
04/30/2017	SHELDON, MARK	JNL PERSPECTIVE L	94,780.58	110.58	0.00	110.58	90.0	99.52
04/30/2017	FIEHWEG-CARTWRIGHT, LISA	JNL PERSPECTIVE L	379,761.74	316.47	0.00	316.47	90.0	284.82
04/30/2017	PERONE, PASQUALE	JNL PERSPECTIVE L	627,628.67	732.23	0.00	732.23	90.0	659.01
04/30/2017	PECKMAN, ROGER	JNL PERSPECTIVE L	137,675.13	160.62	0.00	160.62	90.0	144.56
04/30/2017	RUFFOLO, BENNY	JNL PERSPECTIVE L	104,481.22	121.89	0.00	121.89	90.0	109.70
04/30/2017	ZUPEK, DAVID	JNL PERSPECTIVE L	219,862.22	256.51	0.00	256.51	90.0	230.86
04/30/2017	FALBO, DIANE	JNL PERSPECTIVE L	652,189.02	760.89	0.00	760.89	90.0	684.80
04/30/2017	GAFKA, PHILIP	JNL PERSPECTIVE L	189,048.96	220.56	0.00	220.56	90.0	198.50
04/30/2017	GAFKA, PHILIP	JNL PERSPECTIVE L	353,888.33	412.87	0.00	412.87	90.0	371.58
04/30/2017	HARRIS, BILLY	JNL PERSPECTIVE L	273,921.77	319.58	0.00	319.58	90.0	287.62
04/30/2017	HEBERLING, DONALD	JNL PERSPECTIVE L	21,981.27	18.32	0.00	18.32	90.0	16.49
04/30/2017	WAYO, DARLENE	JNL PERSPECTIVE L	68,986.72	57.49	0.00	57.49	90.0	51.74
04/30/2017	HOSS, GAIL	JNL PERSPECTIVE L	73,733.52	86.02	0.00	86.02	90.0	77.42
04/30/2017	ELMER, HARVEY	JNL PERSPECTIVE L	67,580.05	56.32	0.00	56.32	90.0	50.69
04/30/2017	MUELLER, ROMAYNE	JNL PERSPECTIVE L	58,127.40	48.44	0.00	48.44	90.0	43.60
04/30/2017	PETERSEN, THOMAS	JNL PERSPECTIVE L	104,895.45	87.41	0.00	87.41	90.0	78.67
04/30/2017	STARK, GLORIA	JNL PERSPECTIVE L	60,806.64	50.67	0.00	50.67	90.0	45.60

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: VARIABLE ANNUITIES</u>								
04/30/2017	SMITHANA, MARGARET	JNL PERSPECTIVE L	237,981.51	198.32	0.00	198.32	90.0	178.49
04/30/2017	GIBSON, ROBERT	JNL PERSPECTIVE L	303,512.75	252.93	0.00	252.93	90.0	227.64
04/30/2017	MCFADDEN, JAMES	JNL PERSPECTIVE L	30,048.26	25.04	0.00	25.04	90.0	22.54
04/30/2017	KELLOGG, MICHAEL	JNL PERSPECTIVE L	217,215.20	181.01	0.00	181.01	90.0	162.91
04/30/2017	COTE, WILLIAM	JNL PERSPECTIVE L	91,633.04	76.36	0.00	76.36	90.0	68.72
04/30/2017	BIRKHOLZ, GAY	JNL PERSPECTIVE L	108,796.53	90.66	0.00	90.66	90.0	81.59
04/30/2017	HORNACEK, JOSEPH	JNL PERSPECTIVE L	385,573.11	449.84	0.00	449.84	90.0	404.86
04/30/2017	HALL, MICHAEL	JNL PERSPECTIVE L	127,081.11	105.90	0.00	105.90	90.0	95.31
04/30/2017	BARRETT, PERRY	JNL PERSPECTIVE L	148,335.45	123.61	0.00	123.61	90.0	111.25
04/30/2017	ZUPFER, JO	JNL PERSPECTIVE L	89,966.37	74.97	0.00	74.97	90.0	67.47
04/30/2017	BECKER, JOHN	JNL PERSPECTIVE L	118,769.62	98.97	0.00	98.97	90.0	89.07
04/30/2017	BECKER, JOHN	JNL PERSPECTIVE L	147,575.61	122.98	0.00	122.98	90.0	110.68
04/30/2017	HALL, MICHAEL	JNL PERSPECTIVE L	128,710.90	107.26	0.00	107.26	90.0	96.53
04/30/2017	BAHR, JEFFREY	JNL PERSPECTIVE L	119,106.64	99.26	0.00	99.26	90.0	89.33
04/30/2017	STEPHENS, CAROL	JNL PERSPECTIVE L	354,119.53	295.10	0.00	295.10	90.0	265.59
04/30/2017	GLENNAN, DONALD	JNL PERSPECTIVE L	341,076.38	284.23	0.00	284.23	90.0	255.81
04/24/2017	ROGERS, WILMA	RELIASTAR LIFE PROTECTOR ELITE	1,750.00	35.00	0.00	35.00	90.0	31.50
05/05/2017	BABICKY, THOMAS	SECURITY LIFE OF DENVER VUL-DB	888.00	22.20	0.00	22.20	90.0	19.98
04/03/2017	KOBER, GARY	TRANSAMERICA LIBERTY	208,802.24	174.00	0.00	174.00	90.0	156.60
04/05/2017	RACK, JOAN	TRANSAMERICA LIBERTY	162,719.87	135.60	0.00	135.60	90.0	122.04
04/12/2017	KLUENDER, MARK	TRANSAMERICA LIBERTY	131,131.47	109.28	0.00	109.28	90.0	98.35
04/12/2017	BERNHARDT, ROBERT	TRANSAMERICA LIBERTY	154,281.96	128.57	0.00	128.57	90.0	115.71
04/12/2017	KLUENDER, KURT	TRANSAMERICA LIBERTY	123,813.32	103.18	0.00	103.18	90.0	92.86
04/13/2017	SOENS, JAMES	TRANSAMERICA LIBERTY	107,702.64	89.75	0.00	89.75	90.0	80.78
04/13/2017	HARTGERINK, EDWARD	TRANSAMERICA LIBERTY	307,589.57	256.32	0.00	256.32	90.0	230.69
04/15/2017	FRAID, JEROME	TRANSAMERICA LIBERTY	77,281.30	64.40	0.00	64.40	90.0	57.96
04/17/2017	MANDLI, JODI	TRANSAMERICA LIBERTY	33,558.90	27.97	0.00	27.97	90.0	25.17
04/21/2017	LUDWIG, DEBORA	TRANSAMERICA LIBERTY	32,007.31	26.67	0.00	26.67	90.0	24.00
04/23/2017	STARK, GLORIA	TRANSAMERICA LIBERTY	38,824.44	32.35	0.00	32.35	90.0	29.12
04/23/2017	DENNE, THOMAS	TRANSAMERICA LIBERTY	38,999.32	32.50	0.00	32.50	90.0	29.25
04/23/2017	ZUPEK TRUST	TRANSAMERICA LIBERTY	1,017.54	0.85	0.00	0.85	90.0	0.77
04/23/2017	ZUPEK TRUST	TRANSAMERICA LIBERTY	1,170.93	0.98	0.00	0.98	90.0	0.88
04/24/2017	HAMILTON, RONALD	TRANSAMERICA LIBERTY	175,927.77	146.61	0.00	146.61	90.0	131.95

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<u>BROKER TRANSACTIONS</u>								
PRODUCT CATEGORY: VARIABLE ANNUITIES								
04/24/2017	KASDORF, LINDA	TRANSAMERICA LIBERTY	63,846.62	53.21	0.00	53.21	90.0	47.89
04/26/2017	WAYO, DARLENE	TRANSAMERICA LIBERTY	154,804.73	129.00	0.00	129.00	90.0	116.10
04/27/2017	KIELPINSKI, ANTHONY	TRANSAMERICA LIBERTY	176,558.85	147.13	0.00	147.13	90.0	132.42
* VARIABLE ANNUITIES SUBTOTAL *			\$12,394,907.81	\$11,076.26	\$0.00	\$11,076.26		\$9,968.66
PRODUCT CATEGORY: VARIABLE ANNUITY 12B1 TRAILS								
04/26/2017	PELLIZZARI, FRANK	ING LANDMARK	0.00	67.06	0.00	67.06	90.0	60.35
* VARIABLE ANNUITY 12B1 TRAILS SUBTOTAL *			\$0.00	\$67.06	\$0.00	\$67.06		\$60.35
*** BROKER TRANSACTIONS TOTAL ***			\$12,394,907.81	\$11,143.32	\$0.00	\$11,143.32		\$10,029.01

SPLIT TRANSACTIONS**BROKER: R127-RICH/MARK/HALIN RODRIG/HUBER/W #172**

04/20/2017	LOWISZ, WLADYSLAWA	MFS CONSERVATIVE ALLOCATION B	108.00	1.51	0.00	1.51	90.0	1.36
04/20/2017	LOWISZ, WLADYSLAWA	MFS EMERGING MARKETS DEBT FUND B	108.00	1.51	0.00	1.51	90.0	1.36
05/01/2017	MEI, JENNIFER	MFS GROWTH ALLOCATION B	80.00	1.12	0.00	1.12	90.0	1.01
05/01/2017	MEI, JENNIFER	MFS LIFETIME 2045 FUND B	80.00	1.12	0.00	1.12	90.0	1.01
05/01/2017	MEI, JENNIFER	MFS MASS INVESTORS TRUST B	80.00	1.12	0.00	1.12	90.0	1.01
04/20/2017	LOWISZ, WLADYSLAWA	MFS MODERATE ALLOCATION B	108.00	1.51	0.00	1.51	90.0	1.36
05/01/2017	MEI, JENNIFER	MFS RESEARCH B	80.00	1.12	0.00	1.12	90.0	1.01
04/20/2017	LOWISZ, WLADYSLAWA	MFS UTILITIES B	108.00	1.51	0.00	1.51	90.0	1.36
05/01/2017	MEI, JENNIFER	MFS UTILITIES B	80.00	1.12	0.00	1.12	90.0	1.01
04/20/2017	LOWISZ, WLADYSLAWA	MFS VALUE B	108.00	1.51	0.00	1.51	90.0	1.36
04/17/2017	CHOWANIEC, WOJCIECH	PUTNAM 529 AGE-BASED 2014-A	200.00	3.50	0.00	3.50	90.0	3.15
04/10/2017	WIKAR, HALINA	UBT AGGRESSIVE AGE BASED 0-02-A	100.00	1.05	0.00	1.05	90.0	0.95
04/05/2017	MROCZKOWSKI, AGNES	UBT AGGRESSIVE AGE BASED 09-10-A	100.00	1.05	0.00	1.05	90.0	0.95
* R127-RICH/MARK/HALIN RODRIG/HUBER/W SUBTOTAL *			\$1,340.00	\$18.75	\$0.00	\$18.75		\$16.90
*** SPLIT TRANSACTIONS TOTAL ***			\$1,340.00	\$18.75	\$0.00	\$18.75		\$16.90

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<u> OVERRIDE TRANSACTIONS </u>								
<u>BROKER: MICHAEL VENTURINI #127</u>								
04/30/2017	CAMPOLO, JON	JNL PERSPECTIVE L	20,781.98	17.32	0.00	17.32	0.0	15.59
04/30/2017	CAMPOLO, JUDITH	JNL PERSPECTIVE L	16,708.31	13.92	0.00	13.92	0.0	12.53
* MICHAEL VENTURINI SUBTOTAL *			\$37,490.29	\$31.24	\$0.00	\$31.24		\$28.12
<u>BROKER: DAVE/MIKE ZUPEK/VENTURINI #129</u>								
05/01/2017	THOMPSON, TERRY	AM FUNDS 2015 TARGET DATE A	125.00	2.50	0.00	2.50	0.0	2.25
05/01/2017	KISSH, BARBARA	AM FUNDS AMERICAN BALANCED A	50.00	2.50	0.00	2.50	0.0	2.25
05/01/2017	VASSH, LYNN	AM FUNDS FUNDAMENTAL INVESTORS C	17.00	0.17	0.00	0.17	0.0	0.15
05/01/2017	VASSH, LYNN	AM FUNDS GROWTH FUND OF AMERICA C	16.50	0.17	0.00	0.17	0.0	0.15
05/01/2017	VASSH, LYNN	AM FUNDS WASHINGTON MUTUAL INVESTOR	16.50	0.17	0.00	0.17	0.0	0.15
* DAVE/MIKE ZUPEK/VENTURINI SUBTOTAL *			\$225.00	\$5.51	\$0.00	\$5.51		\$4.95
<u>BROKER: WENDY GOODING #158</u>								
04/17/2017	WALLACE, STEVEN	JP MORGAN INVESTOR GRTH & INC C	100.00	1.00	0.00	1.00	0.0	0.35
* WENDY GOODING SUBTOTAL *			\$100.00	\$1.00	\$0.00	\$1.00		\$0.35
<u>BROKER: HALINA WIKAR #171</u>								
03/31/2017	KOZIOL SIMPLE PLAN,	BLK GROWTH PORT C1	0.00	8.76	0.00	8.76	55.0	3.07
03/31/2017	KOZIOL SIMPLE PLAN,	BLK GROWTH PORT C1	0.00	8.76	0.00	8.76	55.0	3.07
03/31/2017	KOZIOL SIMPLE PLAN,	BLK MOD 13-16 AGE BASED C1	0.00	6.40	0.00	6.40	55.0	2.24
03/31/2017	KOZIOL SIMPLE PLAN,	BLK MOD 13-16 AGE BASED C1	0.00	6.40	0.00	6.40	55.0	2.24
05/01/2017	RACZKA, PHILLIP	MFS AGGRESS GROWTH ALLOCATION 529A	175.00	8.75	0.00	8.75	55.0	3.06
05/01/2017	BECKER, KARINA	MFS BLENDED RESEARCH CORE C	180.00	1.80	0.00	1.80	55.0	0.63
05/02/2017	KRELLER, KRISTYNA	MFS BLENDED RESEARCH CORE C	40.00	0.40	0.00	0.40	55.0	0.14
04/20/2017	DZIEWIECKA, TERESA	MFS DIVERSIFIED INCOME FUND C	20.00	0.20	0.00	0.20	55.0	0.07
04/27/2017	DZIEWIECKA, TERESA	MFS DIVERSIFIED INCOME FUND C	20.00	0.20	0.00	0.20	55.0	0.07
05/01/2017	BECKER, KARINA	MFS DIVERSIFIED INCOME FUND C	180.00	1.80	0.00	1.80	55.0	0.63
05/01/2017	ZAREBA, GRZEGORZ	MFS EMERGING MARKETS DEBT FUND B	50.00	2.00	0.00	2.00	55.0	0.70
04/20/2017	TYLMAN, PETER	MFS EMERGING MKTS DEBT FUND C	50.00	0.50	0.00	0.50	55.0	0.18
04/20/2017	TYLMAN, JOANNA	MFS EMERGING MKTS DEBT FUND C	50.00	0.50	0.00	0.50	55.0	0.18
04/24/2017	DZIEWIECKA, TERESA	MFS EMERGING MKTS DEBT FUND C	30.00	0.30	0.00	0.30	55.0	0.11
05/01/2017	DZIEWIECKA, TERESA	MFS EMERGING MKTS DEBT FUND C	30.00	0.30	0.00	0.30	55.0	0.11
05/02/2017	KRELLER, KRISTYNA	MFS EMERGING MKTS DEBT FUND C	40.00	0.40	0.00	0.40	55.0	0.14
04/25/2017	DZIEWIECKA, TERESA	MFS GLOBAL REAL ESTATE FUND -C	20.00	0.20	0.00	0.20	55.0	0.07
05/01/2017	ZAREBA, NATALIA	MFS GROWTH ALLOCATION FUND -529B	50.00	2.00	0.00	2.00	55.0	0.70

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<u> OVERRIDE TRANSACTIONS </u>								
<u> BROKER: HALINA WIKAR #171 </u>								
04/20/2017	SWIDER, JULIA	MFS LIMITED MATURITY FUND 529B	50.00	2.00	0.00	2.00	55.0	0.70
04/28/2017	DZIEWIECKA, TERESA	MFS LOW VOLATILITY GLOBAL EQUITY F	20.00	0.20	0.00	0.20	55.0	0.07
04/21/2017	GABEROV, VASIL	MFS LOW VOLATILITY EQUITY FUND C	50.00	0.50	0.00	0.50	55.0	0.18
04/21/2017	GABEROVA, STELLA	MFS LOW VOLATILITY EQUITY FUND C	50.00	0.50	0.00	0.50	55.0	0.18
05/02/2017	KRELLER, KRYSTYNA	MFS MODERATE ALLOCATION C	40.00	0.40	0.00	0.40	55.0	0.14
04/21/2017	GABEROV, VASIL	MFS NEW DISCOVERY VALUE FUND C	50.00	0.50	0.00	0.50	55.0	0.18
04/21/2017	GABEROVA, STELLA	MFS NEW DISCOVERY VALUE FUND C	50.00	0.50	0.00	0.50	55.0	0.18
05/02/2017	KRELLER, KRYSTYNA	MFS RESEARCH BOND FUND C	40.00	0.40	0.00	0.40	55.0	0.14
05/01/2017	RACZKA, PHILLIP	MFS RESEARCH INTERNATIONAL FUND 529	175.00	8.75	0.00	8.75	55.0	3.06
05/01/2017	ZAREBA, GRZEGORZ	MFS UTILITIES B	50.00	2.00	0.00	2.00	55.0	0.70
04/20/2017	TYLMAN, JOANNA	MFS UTILITIES C	50.00	0.50	0.00	0.50	55.0	0.18
04/20/2017	TYLMAN, PETER	MFS UTILITIES C	50.00	0.50	0.00	0.50	55.0	0.18
04/21/2017	GABEROV, VASIL	MFS UTILITIES C	70.00	0.70	0.00	0.70	55.0	0.25
04/21/2017	GABEROVA, STELLA	MFS UTILITIES C	70.00	0.70	0.00	0.70	55.0	0.25
04/24/2017	DZIEWIECKA, TERESA	MFS UTILITIES C	25.00	0.25	0.00	0.25	55.0	0.09
05/01/2017	DZIEWIECKA, TERESA	MFS UTILITIES C	25.00	0.25	0.00	0.25	55.0	0.09
05/01/2017	BECKER, KARINA	MFS UTILITIES C	180.00	1.80	0.00	1.80	55.0	0.63
05/02/2017	KRELLER, KRYSTYNA	MFS UTILITIES C	40.00	0.40	0.00	0.40	55.0	0.14
04/20/2017	TYLMAN, PETER	MFS VALUE C	50.00	0.50	0.00	0.50	55.0	0.18
04/20/2017	TYLMAN, JOANNA	MFS VALUE C	50.00	0.50	0.00	0.50	55.0	0.18
* HALINA WIKAR SUBTOTAL *			\$2,120.00	\$71.52	\$0.00	\$71.52		\$25.11
<u> BROKER: R127-RICH/MARK/HALIN RODRIG/HUBER/W #172 </u>								
05/01/2017	WALUSZKO, SYLWIA	MFS MODERATE ALLOCATION C	20.00	0.20	0.00	0.20	0.0	0.07
05/01/2017	WALUSZKO, SYLWIA	MFS UTILITIES C	20.00	0.20	0.00	0.20	0.0	0.07
05/01/2017	WALUSZKO, SYLWIA	MFS VALUE C	20.00	0.20	0.00	0.20	0.0	0.07
* R127-RICH/MARK/HALIN RODRIG/HUBER/W SUBTOTAL *			\$60.00	\$0.60	\$0.00	\$0.60		\$0.21
<u> BROKER: R133-RICH/MARK/DAVE RODRIGUEZ/HUBER #269 </u>								
05/01/2017	WEBER, SANDRA	AM FUNDS 2020 TARGET DATE-A	25.00	0.50	0.00	0.50	0.0	0.45
05/01/2017	HEFT, SAMANTHA	AM FUNDS 2035 TARGET DATE-A	50.00	1.00	0.00	1.00	0.0	0.90
03/31/2017	SWAFFORD, WILLIAM	BLK MOD 13-16 AGE BASED A	0.00	1.56	0.00	1.56	0.0	1.40
03/31/2017	SWAFFORD, WILLIAM	BLK MOD 13-16 AGE BASED A	0.00	1.37	0.00	1.37	0.0	1.23
03/31/2017	ROSE, PETER	CARTER VALIDUS MC REIT II CLASS T	0.00	42.80	0.00	42.80	0.0	38.52

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>VERRIDE TRANSACTIONS</u>								
BROKER: R133-RICH/MARK/DAVE RODRIGUEZ/HUBER #269								
03/31/2017	ALLEN, SUSAN	CARTER VALIDUS MC REIT II CLASS T	0.00	21.40	0.00	21.40	0.0	19.26
03/31/2017	DURBANO, LAURA	CARTER VALIDUS MC REIT II CLASS T	0.00	17.12	0.00	17.12	0.0	15.41
04/19/2017	HOEY, SANDRA	HPI FUND V	50,000.00	3,000.00	0.00	3,000.00	0.0	2,700.00
* R133-RICH/MARK/DAVE RODRIGUEZ/HUBER SUBTOTAL *			\$50,075.00	\$3,085.75	\$0.00	\$3,085.75		\$2,777.17
*** OVERRIDE TRANSACTIONS TOTAL ***			\$90,070.29	\$3,195.62	\$0.00	\$3,195.62		\$2,835.91
<u>ADJUSTMENTS</u>								
05/15/2017		*AUDIT FEE: FINRA EXAM	0.00					-3,050.63
05/15/2017		*E & O INSURANCE: CURRENT MONTH INS	0.00					-300.00
05/15/2017		*E & O INSURANCE: CURRENT MONTH INS	0.00					-300.00
05/15/2017		*E & O INSURANCE: CURRENT MONTH INS	0.00					-300.00
05/15/2017		*MARKETING LIBRARY: MARKETING LIBRA	0.00					-20.00
05/15/2017		*PERSHING: BOOKS AND RECORDS R29	0.00					-1.98
05/15/2017		*TECH: ADMIN - L JOCIUS	0.00					-100.00
05/15/2017		*TECH: ADMIN - RON HAMILTON	0.00					-100.00
05/15/2017		*TECH: ADMIN: JOHN ZUPEK	0.00					-100.00
05/15/2017		*TECHNOLOGY: ADMIN - AMANDA MOON	0.00					-100.00
05/15/2017		*TECHNOLOGY: ALBRIDGE FULL	0.00					-100.00
05/15/2017		*TECHNOLOGY: CURRENT MONTH TECH	0.00					-275.00
05/15/2017		*TECHNOLOGY: CURRENT MONTH TECH-MAR	0.00					-275.00
05/15/2017		*TECHNOLOGY: CURRENT MONTH TECH-RIC	0.00					-275.00
*** ADJUSTMENTS TOTAL ***			\$0.00	\$0.00	\$0.00	\$0.00		\$-5,297.61

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	\$10,029.01
Split Transactions	\$16.90
Override Transactions	\$2,835.91
Adjustments	\$-5,297.61
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$0.00
FINRA Assessment	\$0.00
SIPC Assessment	\$0.00

Check Amount	\$7,584.21
Year-to-date Gross	\$76,387.21
Year-to-date Earnings	\$114,967.60