



Concorde Investment Services, LLC
COMMISSION STATEMENT
February 28, 2018

02/27/2018
Page No. 1

HERBERT, A123 ALSTON
4200 Park Blvd
Suite 154
Oakland, CA 94602

BROKER #: A123
BRANCH: HERBERT ALSTON

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>CLEARING TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: STOCKS</u>								
02/13/2018	CHASALOW, FRED	TIER REIT INC COM NEW	-19,237.40	22.00	23.59	-1.59	75.0	-1.19
		* STOCKS SUBTOTAL *	\$-19,237.40	\$22.00	\$23.59	\$-1.59		\$-1.19
		*** CLEARING TRANSACTIONS TOTAL ***	\$-19,237.40	\$22.00	\$23.59	\$-1.59		\$-1.19

<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: NON-TRADED BDC</u>								
02/07/2018	BULKIN, CARLETON	FS INVESTMENT CORP IV CLASS T	0.00	220.36	0.00	220.36	75.0	165.27
		* NON-TRADED BDC SUBTOTAL *	\$0.00	\$220.36	\$0.00	\$220.36		\$165.27
		*** DIRECT TRANSACTIONS TOTAL ***	\$0.00	\$220.36	\$0.00	\$220.36		\$165.27

<u>SPLIT TRANSACTIONS</u>								
<u>BROKER: A132 - HERB/FRED ALSTON/CHASALOW #10</u>								
02/16/2018	COHEN, LORI PIERCE-	AM FUNDS GROWTH FUND OF AMERICA 529	100.00	0.67	0.00	0.67	75.0	0.50
02/16/2018	COHEN, LORI PIERCE-	AM FUNDS NEW PERSPECTIVE 529C	100.00	0.67	0.00	0.67	75.0	0.50
		* A132 - HERB/FRED ALSTON/CHASALOW SUBTOTAL *	\$200.00	\$1.34	\$0.00	\$1.34		\$1.00

<u>BROKER: A132 - HERB/FRED ALSTON/CHASALOW #413</u>								
02/11/2016	MISCHAK, RONALD	ASP ARROW DWA BALANCED A	0.00	4.28	0.00	4.28	75.0	3.21
02/11/2016	GASPAR, NICHOLAS	ASP ARROW DWA BALANCED A	0.00	0.63	0.00	0.63	75.0	0.47
03/14/2016	MISCHAK, RONALD	ASP ARROW DWA BALANCED A	0.00	4.48	0.00	4.48	75.0	3.36
03/14/2016	GASPAR, NICHOLAS	ASP ARROW DWA BALANCED A	0.00	0.66	0.00	0.66	75.0	0.50
04/13/2016	MISCHAK, RONALD	ASP ARROW DWA BALANCED A	0.00	4.64	0.00	4.64	75.0	3.48
04/13/2016	GASPAR, NICHOLAS	ASP ARROW DWA BALANCED A	0.00	0.69	0.00	0.69	75.0	0.52
05/11/2016	MISCHAK, RONALD	ASP ARROW DWA BALANCED A	0.00	4.41	0.00	4.41	75.0	3.31
05/11/2016	GASPAR, NICHOLAS	ASP ARROW DWA BALANCED A	0.00	0.65	0.00	0.65	75.0	0.49

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>SPLIT TRANSACTIONS</u>								
<u>BROKER: A132 - HERB/FRED ALSTON/CHASALOW #413</u>								
06/16/2016	MISCHAK, RONALD	ASP ARROW DWA BALANCED A	0.00	4.86	0.00	4.86	75.0	3.65
06/16/2016	GASPAR, NICHOLAS	ASP ARROW DWA BALANCED A	0.00	0.72	0.00	0.72	75.0	0.54
07/11/2016	MISCHAK, RONALD	ASP ARROW DWA BALANCED A	0.00	4.60	0.00	4.60	75.0	3.45
07/11/2016	GASPAR, NICHOLAS	ASP ARROW DWA BALANCED A	0.00	0.68	0.00	0.68	75.0	0.51
08/12/2016	MISCHAK, RONALD	ASP ARROW DWA BALANCED A	0.00	4.57	0.00	4.57	75.0	3.43
08/12/2016	GASPAR, NICHOLAS	ASP ARROW DWA BALANCED A	0.00	0.68	0.00	0.68	75.0	0.51
09/14/2016	MISCHAK, RONALD	ASP ARROW DWA BALANCED A	0.00	5.26	0.00	5.26	75.0	3.95
09/14/2016	GASPAR, NICHOLAS	ASP ARROW DWA BALANCED A	0.00	0.78	0.00	0.78	75.0	0.59
10/12/2016	MISCHAK, RONALD	ASP ARROW DWA BALANCED A	0.00	4.73	0.00	4.73	75.0	3.55
10/12/2016	GASPAR, NICHOLAS	ASP ARROW DWA BALANCED A	0.00	0.70	0.00	0.70	75.0	0.53
11/16/2016	MISCHAK, RONALD	ASP ARROW DWA BALANCED A	0.00	4.82	0.00	4.82	75.0	3.62
11/16/2016	GASPAR, NICHOLAS	ASP ARROW DWA BALANCED A	0.00	0.71	0.00	0.71	75.0	0.53
12/12/2016	MISCHAK, RONALD	ASP ARROW DWA BALANCED A	0.00	4.58	0.00	4.58	75.0	3.44
12/12/2016	GASPAR, NICHOLAS	ASP ARROW DWA BALANCED A	0.00	0.68	0.00	0.68	75.0	0.51
02/11/2016	WEBER, PENNY	ASP ARROW MAANGED FUTURES STRATEGY	0.00	3.21	0.00	3.21	75.0	2.41
03/14/2016	WEBER, PENNY	ASP ARROW MAANGED FUTURES STRATEGY	0.00	3.50	0.00	3.50	75.0	2.63
04/13/2016	WEBER, PENNY	ASP ARROW MAANGED FUTURES STRATEGY	0.00	3.37	0.00	3.37	75.0	2.53
05/11/2016	WEBER, PENNY	ASP ARROW MAANGED FUTURES STRATEGY	0.00	3.12	0.00	3.12	75.0	2.34
06/16/2016	WEBER, PENNY	ASP ARROW MAANGED FUTURES STRATEGY	0.00	3.41	0.00	3.41	75.0	2.56
07/11/2016	WEBER, PENNY	ASP ARROW MAANGED FUTURES STRATEGY	0.00	3.36	0.00	3.36	75.0	2.52
08/12/2016	WEBER, PENNY	ASP ARROW MAANGED FUTURES STRATEGY	0.00	3.40	0.00	3.40	75.0	2.55
09/14/2016	WEBER, PENNY	ASP ARROW MAANGED FUTURES STRATEGY	0.00	3.82	0.00	3.82	75.0	2.87
10/12/2016	WEBER, PENNY	ASP ARROW MAANGED FUTURES STRATEGY	0.00	3.38	0.00	3.38	75.0	2.54
11/16/2016	WEBER, PENNY	ASP ARROW MAANGED FUTURES STRATEGY	0.00	3.36	0.00	3.36	75.0	2.52
12/12/2016	WEBER, PENNY	ASP ARROW MAANGED FUTURES STRATEGY	0.00	2.94	0.00	2.94	75.0	2.21
02/08/2016	CHASALOW, SANDRA	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	7.92	0.00	7.92	75.0	5.94
02/08/2016	BRADY, JEANNE	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	3.16	0.00	3.16	75.0	2.37
02/08/2016	COHEN, JOYCE	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	3.93	0.00	3.93	75.0	2.95
02/08/2016	COHEN, JOEL	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	3.93	0.00	3.93	75.0	2.95
02/08/2016	KIM, SCARLET	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	2.23	0.00	2.23	75.0	1.67
02/08/2016	WEBER, PENNY	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	3.16	0.00	3.16	75.0	2.37
02/08/2016	FROST, CARRIE-ANN	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	1.05	0.00	1.05	75.0	0.79
02/08/2016	MCDONALD, MARY	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	1.59	0.00	1.59	75.0	1.19

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>SPLIT TRANSACTIONS</u>								
<u>BROKER: A132 - HERB/FRED ALSTON/CHASALOW #413</u>								
03/18/2016	CHASALOW, SANDRA	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	8.44	0.00	8.44	75.0	6.33
03/18/2016	BRADY, JEANNE	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	3.37	0.00	3.37	75.0	2.53
03/18/2016	COHEN, JOYCE	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	4.18	0.00	4.18	75.0	3.14
03/18/2016	COHEN, JOEL	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	4.18	0.00	4.18	75.0	3.14
03/18/2016	KIM, SCARLET	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	2.37	0.00	2.37	75.0	1.78
03/18/2016	WEBER, PENNY	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	3.37	0.00	3.37	75.0	2.53
03/18/2016	FROST, CARRIE-ANN	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	1.13	0.00	1.13	75.0	0.85
03/18/2016	MCDONALD, MARY	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	1.69	0.00	1.69	75.0	1.27
04/14/2016	CHASALOW, SANDRA	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	8.50	0.00	8.50	75.0	6.38
04/14/2016	BRADY, JEANNE	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	3.40	0.00	3.40	75.0	2.55
04/14/2016	COHEN, JOYCE	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	4.22	0.00	4.22	75.0	3.17
04/14/2016	COHEN, JOEL	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	4.22	0.00	4.22	75.0	3.17
04/14/2016	KIM, SCARLET	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	2.39	0.00	2.39	75.0	1.79
04/14/2016	WEBER, PENNY	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	3.40	0.00	3.40	75.0	2.55
04/14/2016	FROST, CARRIE-ANN	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	1.13	0.00	1.13	75.0	0.85
04/14/2016	MCDONALD, MARY	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	1.71	0.00	1.71	75.0	1.28
05/19/2016	CHASALOW, SANDRA	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	8.00	0.00	8.00	75.0	6.00
05/19/2016	BRADY, JEANNE	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	3.19	0.00	3.19	75.0	2.39
05/19/2016	COHEN, JOYCE	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	3.97	0.00	3.97	75.0	2.98
05/19/2016	COHEN, JOEL	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	3.97	0.00	3.97	75.0	2.98
05/19/2016	KIM, SCARLET	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	2.25	0.00	2.25	75.0	1.69
05/19/2016	WEBER, PENNY	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	3.19	0.00	3.19	75.0	2.39
05/19/2016	FROST, CARRIE-ANN	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	1.07	0.00	1.07	75.0	0.80
05/19/2016	MCDONALD, MARY	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	1.61	0.00	1.61	75.0	1.21
06/23/2016	CHASALOW, SANDRA	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	8.90	0.00	8.90	75.0	6.68
06/23/2016	BRADY, JEANNE	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	3.55	0.00	3.55	75.0	2.66
06/23/2016	COHEN, JOYCE	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	4.41	0.00	4.41	75.0	3.31
06/23/2016	COHEN, JOEL	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	4.41	0.00	4.41	75.0	3.31
06/23/2016	KIM, SCARLET	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	2.50	0.00	2.50	75.0	1.88
06/23/2016	WEBER, PENNY	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	3.55	0.00	3.55	75.0	2.66
06/23/2016	FROST, CARRIE-ANN	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	1.19	0.00	1.19	75.0	0.89
06/23/2016	MCDONALD, MARY	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	1.79	0.00	1.79	75.0	1.34
07/11/2016	CHASALOW, SANDRA	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	8.39	0.00	8.39	75.0	6.29

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>SPLIT TRANSACTIONS</u>								
<u>BROKER: A132 - HERB/FRED ALSTON/CHASALOW #413</u>								
07/11/2016	BRADY, JEANNE	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	2.34	0.00	2.34	75.0	1.76
07/11/2016	COHEN, JOYCE	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	4.16	0.00	4.16	75.0	3.12
07/11/2016	COHEN, JOEL	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	4.16	0.00	4.16	75.0	3.12
07/11/2016	KIM, SCARLET	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	2.36	0.00	2.36	75.0	1.77
07/11/2016	WEBER, PENNY	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	3.35	0.00	3.35	75.0	2.51
07/11/2016	FROST, CARRIE-ANN	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	1.12	0.00	1.12	75.0	0.84
07/11/2016	MCDONALD, MARY	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	1.69	0.00	1.69	75.0	1.27
08/15/2016	CHASALOW, SANDRA	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	8.74	0.00	8.74	75.0	6.56
08/15/2016	COHEN, JOYCE	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	4.34	0.00	4.34	75.0	3.26
08/15/2016	COHEN, JOEL	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	4.34	0.00	4.34	75.0	3.26
08/15/2016	KIM, SCARLET	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	2.46	0.00	2.46	75.0	1.85
08/15/2016	WEBER, PENNY	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	3.49	0.00	3.49	75.0	2.62
08/15/2016	FROST, CARRIE-ANN	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	1.17	0.00	1.17	75.0	0.88
08/15/2016	MCDONALD, MARY	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	1.75	0.00	1.75	75.0	1.31
09/12/2016	CHASALOW, SANDRA	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	8.76	0.00	8.76	75.0	6.57
09/12/2016	COHEN, JOYCE	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	4.34	0.00	4.34	75.0	3.26
09/12/2016	COHEN, JOEL	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	4.34	0.00	4.34	75.0	3.26
09/12/2016	KIM, SCARLET	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	2.46	0.00	2.46	75.0	1.85
09/12/2016	WEBER, PENNY	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	3.50	0.00	3.50	75.0	2.63
09/12/2016	FROST, CARRIE-ANN	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	1.17	0.00	1.17	75.0	0.88
09/12/2016	MCDONALD, MARY	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	1.76	0.00	1.76	75.0	1.32
10/14/2016	CHASALOW, SANDRA	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	8.49	0.00	8.49	75.0	6.37
10/14/2016	COHEN, JOYCE	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	4.21	0.00	4.21	75.0	3.16
10/14/2016	COHEN, JOEL	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	4.21	0.00	4.21	75.0	3.16
10/14/2016	KIM, SCARLET	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	2.39	0.00	2.39	75.0	1.79
10/14/2016	WEBER, PENNY	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	3.39	0.00	3.39	75.0	2.54
10/14/2016	FROST, CARRIE-ANN	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	1.13	0.00	1.13	75.0	0.85
10/14/2016	MCDONALD, MARY	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	1.71	0.00	1.71	75.0	1.28
11/17/2016	CHASALOW, SANDRA	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	8.82	0.00	8.82	75.0	6.62
11/17/2016	COHEN, JOYCE	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	4.37	0.00	4.37	75.0	3.28
11/17/2016	COHEN, JOEL	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	4.37	0.00	4.37	75.0	3.28
11/17/2016	KIM, SCARLET	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	2.48	0.00	2.48	75.0	1.86
11/17/2016	WEBER, PENNY	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	3.52	0.00	3.52	75.0	2.64

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<u>SPLIT TRANSACTIONS</u>								
<u>BROKER: A132 - HERB/FRED ALSTON/CHASALOW #413</u>								
11/17/2016	FROST, CARRIE-ANN	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	1.17	0.00	1.17	75.0	0.88
11/17/2016	MCDONALD, MARY	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	1.77	0.00	1.77	75.0	1.33
12/12/2016	CHASALOW, SANDRA	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	8.59	0.00	8.59	75.0	6.44
12/12/2016	COHEN, JOYCE	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	4.26	0.00	4.26	75.0	3.20
12/12/2016	COHEN, JOEL	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	4.26	0.00	4.26	75.0	3.20
12/12/2016	KIM, SCARLET	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	2.41	0.00	2.41	75.0	1.81
12/12/2016	WEBER, PENNY	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	3.43	0.00	3.43	75.0	2.57
12/12/2016	FROST, CARRIE-ANN	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	1.15	0.00	1.15	75.0	0.86
12/12/2016	MCDONALD, MARY	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	1.73	0.00	1.73	75.0	1.30
02/18/2016	MCDONALD, MARY	COHEN & STEERS INTERNATIONAL REALTY	0.00	0.65	0.00	0.65	75.0	0.49
03/22/2016	MCDONALD, MARY	COHEN & STEERS INTERNATIONAL REALTY	0.00	0.61	0.00	0.61	75.0	0.46
04/19/2016	MCDONALD, MARY	COHEN & STEERS INTERNATIONAL REALTY	0.00	0.70	0.00	0.70	75.0	0.53
05/18/2016	MCDONALD, MARY	COHEN & STEERS INTERNATIONAL REALTY	0.00	0.70	0.00	0.70	75.0	0.53
06/20/2016	MCDONALD, MARY	COHEN & STEERS INTERNATIONAL REALTY	0.00	0.72	0.00	0.72	75.0	0.54
07/20/2016	MCDONALD, MARY	COHEN & STEERS INTERNATIONAL REALTY	0.00	0.69	0.00	0.69	75.0	0.52
08/23/2016	MCDONALD, MARY	COHEN & STEERS INTERNATIONAL REALTY	0.00	0.73	0.00	0.73	75.0	0.55
09/27/2016	MCDONALD, MARY	COHEN & STEERS INTERNATIONAL REALTY	0.00	0.75	0.00	0.75	75.0	0.56
10/21/2016	MCDONALD, MARY	COHEN & STEERS INTERNATIONAL REALTY	0.00	0.72	0.00	0.72	75.0	0.54
11/23/2016	MCDONALD, MARY	COHEN & STEERS INTERNATIONAL REALTY	0.00	0.71	0.00	0.71	75.0	0.53
12/21/2016	MCDONALD, MARY	COHEN & STEERS INTERNATIONAL REALTY	0.00	0.67	0.00	0.67	75.0	0.50
02/10/2016	ROBERTSON, BARBARA	FEDERATED KAUFMANN SMALL CAP A	0.00	2.72	0.00	2.72	75.0	2.04
03/15/2016	ROBERTSON, BARBARA	FEDERATED KAUFMANN SMALL CAP A	0.00	2.29	0.00	2.29	75.0	1.72
04/20/2016	ROBERTSON, BARBARA	FEDERATED KAUFMANN SMALL CAP A	0.00	2.64	0.00	2.64	75.0	1.98
05/16/2016	ROBERTSON, BARBARA	FEDERATED KAUFMANN SMALL CAP A	0.00	2.70	0.00	2.70	75.0	2.03
06/15/2016	ROBERTSON, BARBARA	FEDERATED KAUFMANN SMALL CAP A	0.00	2.75	0.00	2.75	75.0	2.06
07/19/2016	ROBERTSON, BARBARA	FEDERATED KAUFMANN SMALL CAP A	0.00	2.80	0.00	2.80	75.0	2.10
08/12/2016	ROBERTSON, BARBARA	FEDERATED KAUFMANN SMALL CAP A	0.00	3.05	0.00	3.05	75.0	2.29
09/16/2016	ROBERTSON, BARBARA	FEDERATED KAUFMANN SMALL CAP A	0.00	3.18	0.00	3.18	75.0	2.39
10/21/2016	ROBERTSON, BARBARA	FEDERATED KAUFMANN SMALL CAP A	0.00	3.13	0.00	3.13	75.0	2.35
11/21/2016	ROBERTSON, BARBARA	FEDERATED KAUFMANN SMALL CAP A	0.00	0.95	0.00	0.95	75.0	0.71
02/19/2016	THEIN, CHRISTINE	JH GREATER CHINA OPP A	0.00	1.33	0.00	1.33	75.0	1.00
03/18/2016	THEIN, CHRISTINE	JH GREATER CHINA OPP A	0.00	1.21	0.00	1.21	75.0	0.91
04/15/2016	THEIN, CHRISTINE	JH GREATER CHINA OPP A	0.00	1.39	0.00	1.39	75.0	1.04

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>SPLIT TRANSACTIONS</u>								
<u>BROKER: A132 - HERB/FRED ALSTON/CHASALOW #413</u>								
05/23/2016	THEIN, CHRISTINE	JH GREATER CHINA OPP A	0.00	1.39	0.00	1.39	75.0	1.04
06/27/2016	THEIN, CHRISTINE	JH GREATER CHINA OPP A	0.00	1.38	0.00	1.38	75.0	1.04
07/15/2016	THEIN, CHRISTINE	JH GREATER CHINA OPP A	0.00	1.38	0.00	1.38	75.0	1.04
08/16/2016	THEIN, CHRISTINE	JH GREATER CHINA OPP A	0.00	1.49	0.00	1.49	75.0	1.12
09/16/2016	THEIN, CHRISTINE	JH GREATER CHINA OPP A	0.00	1.59	0.00	1.59	75.0	1.19
10/24/2016	THEIN, CHRISTINE	JH GREATER CHINA OPP A	0.00	1.59	0.00	1.59	75.0	1.19
11/18/2016	THEIN, CHRISTINE	JH GREATER CHINA OPP A	0.00	1.65	0.00	1.65	75.0	1.24
12/16/2016	THEIN, CHRISTINE	JH GREATER CHINA OPP A	0.00	1.51	0.00	1.51	75.0	1.13
02/19/2016	COHEN, JOYCE	JH GREATER CHINA OPP C	0.00	4.42	0.00	4.42	75.0	3.32
03/18/2016	COHEN, JOYCE	JH GREATER CHINA OPP C	0.00	4.04	0.00	4.04	75.0	3.03
04/15/2016	COHEN, JOYCE	JH GREATER CHINA OPP C	0.00	4.66	0.00	4.66	75.0	3.50
05/23/2016	COHEN, JOYCE	JH GREATER CHINA OPP C	0.00	4.64	0.00	4.64	75.0	3.48
06/27/2016	COHEN, JOYCE	JH GREATER CHINA OPP C	0.00	4.60	0.00	4.60	75.0	3.45
07/15/2016	COHEN, JOYCE	JH GREATER CHINA OPP C	0.00	4.60	0.00	4.60	75.0	3.45
08/16/2016	COHEN, JOYCE	JH GREATER CHINA OPP C	0.00	4.96	0.00	4.96	75.0	3.72
09/16/2016	COHEN, JOYCE	JH GREATER CHINA OPP C	0.00	5.27	0.00	5.27	75.0	3.95
10/24/2016	COHEN, JOYCE	JH GREATER CHINA OPP C	0.00	5.30	0.00	5.30	75.0	3.98
11/18/2016	COHEN, JOYCE	JH GREATER CHINA OPP C	0.00	5.48	0.00	5.48	75.0	4.11
12/16/2016	COHEN, JOYCE	JH GREATER CHINA OPP C	0.00	5.01	0.00	5.01	75.0	3.76
02/11/2016	ROBERTSON, BARBARA	RYDEX BIOTECHNOLOGY C	0.00	16.84	0.00	16.84	75.0	12.63
03/11/2016	ROBERTSON, BARBARA	RYDEX BIOTECHNOLOGY C	0.00	13.78	0.00	13.78	75.0	10.34
04/29/2016	ROBERTSON, BARBARA	RYDEX BIOTECHNOLOGY C	0.00	14.89	0.00	14.89	75.0	11.17
05/10/2016	ROBERTSON, BARBARA	RYDEX BIOTECHNOLOGY C	0.00	15.49	0.00	15.49	75.0	11.62
06/15/2016	ROBERTSON, BARBARA	RYDEX BIOTECHNOLOGY C	0.00	15.34	0.00	15.34	75.0	11.51
07/15/2016	ROBERTSON, BARBARA	RYDEX BIOTECHNOLOGY C	0.00	14.95	0.00	14.95	75.0	11.21
08/10/2016	ROBERTSON, BARBARA	RYDEX BIOTECHNOLOGY C	0.00	16.07	0.00	16.07	75.0	12.05
09/19/2016	ROBERTSON, BARBARA	RYDEX BIOTECHNOLOGY C	0.00	17.04	0.00	17.04	75.0	12.78
10/18/2016	ROBERTSON, BARBARA	RYDEX BIOTECHNOLOGY C	0.00	16.47	0.00	16.47	75.0	12.35
11/15/2016	ROBERTSON, BARBARA	RYDEX BIOTECHNOLOGY C	0.00	1.10	0.00	1.10	75.0	0.83
02/11/2016	ROBERTSON, BARBARA	RYDEX GUGG U.S. LONG SHORT MOMENTUM	0.00	12.89	0.00	12.89	75.0	9.67
02/11/2016	MCKEE, MARY L KLANCHNI	RYDEX GUGG U.S. LONG SHORT MOMENTUM	0.00	1.24	0.00	1.24	75.0	0.93
03/11/2016	ROBERTSON, BARBARA	RYDEX GUGG U.S. LONG SHORT MOMENTUM	0.00	11.77	0.00	11.77	75.0	8.83
03/11/2016	MCKEE, MARY L KLANCHNI	RYDEX GUGG U.S. LONG SHORT MOMENTUM	0.00	1.13	0.00	1.13	75.0	0.85

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>SPLIT TRANSACTIONS</u>								
BROKER: A132 - HERB/FRED ALSTON/CHASALOW #413								
04/29/2016	ROBERTSON, BARBARA	RYDEX GUGG U.S. LONG SHORT MOMENTUM	0.00	12.78	0.00	12.78	75.0	9.59
04/29/2016	MCKEE, MARY L KLANCHNI	RYDEX GUGG U.S. LONG SHORT MOMENTUM	0.00	1.23	0.00	1.23	75.0	0.92
05/10/2016	ROBERTSON, BARBARA	RYDEX GUGG U.S. LONG SHORT MOMENTUM	0.00	12.43	0.00	12.43	75.0	9.32
05/10/2016	MCKEE, MARY L KLANCHNI	RYDEX GUGG U.S. LONG SHORT MOMENTUM	0.00	1.20	0.00	1.20	75.0	0.90
06/15/2016	ROBERTSON, BARBARA	RYDEX GUGG U.S. LONG SHORT MOMENTUM	0.00	12.89	0.00	12.89	75.0	9.67
06/15/2016	MCKEE, MARY L KLANCHNI	RYDEX GUGG U.S. LONG SHORT MOMENTUM	0.00	1.25	0.00	1.25	75.0	0.94
07/15/2016	ROBERTSON, BARBARA	RYDEX GUGG U.S. LONG SHORT MOMENTUM	0.00	12.58	0.00	12.58	75.0	9.44
07/15/2016	MCKEE, MARY L KLANCHNI	RYDEX GUGG U.S. LONG SHORT MOMENTUM	0.00	1.21	0.00	1.21	75.0	0.91
08/10/2016	ROBERTSON, BARBARA	RYDEX GUGG U.S. LONG SHORT MOMENTUM	0.00	13.19	0.00	13.19	75.0	9.89
08/10/2016	MCKEE, MARY L KLANCHNI	RYDEX GUGG U.S. LONG SHORT MOMENTUM	0.00	1.27	0.00	1.27	75.0	0.95
09/19/2016	ROBERTSON, BARBARA	RYDEX GUGG U.S. LONG SHORT MOMENTUM	0.00	13.16	0.00	13.16	75.0	9.87
09/19/2016	MCKEE, MARY L KLANCHNI	RYDEX GUGG U.S. LONG SHORT MOMENTUM	0.00	1.27	0.00	1.27	75.0	0.95
10/18/2016	ROBERTSON, BARBARA	RYDEX GUGG U.S. LONG SHORT MOMENTUM	0.00	12.62	0.00	12.62	75.0	9.47
10/18/2016	MCKEE, MARY L KLANCHNI	RYDEX GUGG U.S. LONG SHORT MOMENTUM	0.00	1.22	0.00	1.22	75.0	0.92
11/15/2016	ROBERTSON, BARBARA	RYDEX GUGG U.S. LONG SHORT MOMENTUM	0.00	0.84	0.00	0.84	75.0	0.63
11/15/2016	MCKEE, MARY L KLANCHNI	RYDEX GUGG U.S. LONG SHORT MOMENTUM	0.00	1.24	0.00	1.24	75.0	0.93
12/14/2016	MCKEE, MARY L KLANCHNI	RYDEX GUGG U.S. LONG SHORT MOMENTUM	0.00	1.21	0.00	1.21	75.0	0.91
04/12/2016	BRADY, JEANNE	WILLISTON BASIN/MID- NORTH AMERICA	0.00	0.81	0.00	0.81	75.0	0.61
04/12/2016	COHEN, JOEL	WILLISTON BASIN/MID- NORTH AMERICA	0.00	5.75	0.00	5.75	75.0	4.31
04/12/2016	MCDONALD, MARY	WILLISTON BASIN/MID- NORTH AMERICA	0.00	2.97	0.00	2.97	75.0	2.23
07/13/2016	COHEN, JOEL	WILLISTON BASIN/MID- NORTH AMERICA	0.00	6.74	0.00	6.74	75.0	5.06
07/13/2016	MCDONALD, MARY	WILLISTON BASIN/MID- NORTH AMERICA	0.00	3.48	0.00	3.48	75.0	2.61
10/11/2016	COHEN, JOEL	WILLISTON BASIN/MID- NORTH AMERICA	0.00	7.34	0.00	7.34	75.0	5.51
10/11/2016	MCDONALD, MARY	WILLISTON BASIN/MID- NORTH AMERICA	0.00	3.79	0.00	3.79	75.0	2.84
* A132 - HERB/FRED ALSTON/CHASALOW SUBTOTAL *			\$0.00	\$800.17	\$0.00	\$800.17		\$600.41
*** SPLIT TRANSACTIONS TOTAL ***			\$200.00	\$801.51	\$0.00	\$801.51		\$601.41

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BROKER COMMISSION TOTALS

Broker Transactions	\$164.08
Split Transactions	\$601.41
Override Transactions	\$0.00
Adjustments	\$0.00
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$45.99
FINRA Assessment	\$0.00
SIPC Assessment	\$0.00

Check Amount	\$811.48
Year-to-date Gross	\$9,617.66
Year-to-date Earnings	\$7,184.56