

**COMMISSION STATEMENT****July 31, 2018**

101 CFGROUP/KOSANKE
1120 E. Long Lake Road
Suite 250
Troy, MI 48085

BROKER #: 101
BRANCH: CONCORDE FINANCIAL G

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: INTERVAL FUNDS</u>								
06/30/2018	ORTAGO, PAULA	BR TOTAL INC & REAL ESTATE FUND C	41,671.02	34.25	0.00	34.25	95.0	32.54
06/30/2018	MCKENZIE TRUST, ROBERT & DONNABR	TOTAL INC & REAL ESTATE FUND C	126,957.56	104.35	0.00	104.35	95.0	99.13
06/30/2018	MERRITT REVOCABLE TRUST, KATHYBR	TOTAL INC & REAL ESTATE FUND C	50,941.33	41.87	0.00	41.87	95.0	39.78
06/30/2018	KOPCZYK TRUST, LAWRENCE & PATRBR	TOTAL INC & REAL ESTATE FUND C	80,712.96	66.33	0.00	66.33	95.0	63.01
06/30/2018	SPEARY, ROBERT	BR TOTAL INC & REAL ESTATE FUND C	76,787.48	63.11	0.00	63.11	95.0	59.95
06/30/2018	SUTTON, LYNETTE	BR TOTAL INC & REAL ESTATE FUND C	51,957.33	42.71	0.00	42.71	95.0	40.57
06/30/2018	WEYCKER, AARON	GRIFFIN INST'L ACCESS R E FUND C	35,887.65	29.49	0.00	29.49	95.0	28.02
06/30/2018	BAKER, GENE	GRIFFIN INST'L ACCESS R E FUND C	54,572.36	44.85	0.00	44.85	95.0	42.61
06/30/2018	THOMSON, DOUGLAS	GRIFFIN INST'L ACCESS R E FUND C	105,019.80	86.32	0.00	86.32	95.0	82.00
06/30/2018	MILLER, RAYMOND	GRIFFIN INST'L ACCESS R E FUND C	31,505.64	25.89	0.00	25.89	95.0	24.60
06/30/2018	SUTTON, TIMOTHY	GRIFFIN INST'L ACCESS R E FUND C	140,112.72	115.16	0.00	115.16	95.0	109.40
06/30/2018	WAGNER II, HARRY	GRIFFIN INST'L ACCESS R E FUND C	310,298.21	255.04	0.00	255.04	95.0	242.29
06/30/2018	MIERAS-HESSLER, DEBORAH	GRIFFIN INST'L ACCESS R E FUND C	36,038.82	29.63	0.00	29.63	95.0	28.15
06/30/2018	CANNER, JULIE	GRIFFIN INST'L ACCESS R E FUND C	42,832.42	35.20	0.00	35.20	95.0	33.44
06/30/2018	CYRULEWSKI TRUST, LOIS	GRIFFIN INST'L ACCESS R E FUND C	150,541.17	123.73	0.00	123.73	95.0	117.54
06/30/2018	CYRULEWSKI, JIM	GRIFFIN INST'L ACCESS R E FUND C	114,390.93	94.01	0.00	94.01	95.0	89.31
06/30/2018	CYRULEWSKI TRUST, JIM	GRIFFIN INST'L ACCESS R E FUND C	123,735.00	101.69	0.00	101.69	95.0	96.61
06/30/2018	BEAUDETTE, FLOYD	GRIFFIN INST'L ACCESS R E FUND C	51,721.78	42.51	0.00	42.51	95.0	40.38
06/30/2018	YANIS, MATTHEW	GRIFFIN INST'L ACCESS R E FUND C	129,320.39	106.29	0.00	106.29	95.0	100.98
06/30/2018	GALLO, ANTHONY	GRIFFIN INST'L ACCESS R E FUND C	41,003.13	33.71	0.00	33.71	95.0	32.02
06/30/2018	QUICK, ELAINE	GRIFFIN INST'L ACCESS R E FUND C	51,478.35	42.31	0.00	42.31	95.0	40.19
06/30/2018	FERRARI, JACQUELINE	GRIFFIN INST'L ACCESS R E FUND C	71,833.85	59.04	0.00	59.04	95.0	56.09
06/30/2018	CARMODY, WILLIAM	GRIFFIN INST'L ACCESS R E FUND C	42,776.36	35.16	0.00	35.16	95.0	33.40
06/30/2018	SIMONY TRUST, JOSEPH & REGINA	GRIFFIN INST'L ACCESS R E FUND C	25,863.02	21.25	0.00	21.25	95.0	20.19
06/30/2018	SIMONY, RICHARD	GRIFFIN INST'L ACCESS R E FUND C	20,737.74	17.04	0.00	17.04	95.0	16.19
06/30/2018	SPEARY, ROBERT	GRIFFIN INST'L ACCESS R E FUND C	25,104.55	20.64	0.00	20.64	95.0	19.61

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: INTERVAL FUNDS</u>								
06/30/2018	KING, DAVID	GRIFFIN INST'L ACCESS R E FUND C	5,074.74	4.17	0.00	4.17	95.0	3.96
06/30/2018	ROBERTS, PATRICIA	GRIFFIN INST'L ACCESS R E FUND C	40,361.13	33.17	0.00	33.17	95.0	31.51
06/30/2018	EQUITY TRUST CO	GRIFFIN INST'L ACCESS R E FUND C	9,242.66	7.60	0.00	7.60	95.0	7.22
06/30/2018	EQUITY TRUST CO	GRIFFIN INST'L ACCESS R E FUND C	117,507.71	96.59	0.00	96.59	95.0	91.76
06/30/2018	BADALAMENT, ROBERT	GRIFFIN INST'L ACCESS R E FUND C	88,546.19	72.77	0.00	72.77	95.0	69.13
06/30/2018	ANDERSON TRUST, JUDITH	GRIFFIN INST'L ACCESS R E FUND C	190,851.15	156.87	0.00	156.87	95.0	149.03
06/30/2018	DEMAN, KENNETH	GRIFFIN INST'L ACCESS R E FUND C	54,061.32	44.44	0.00	44.44	95.0	42.22
06/30/2018	KEELER, DAVID	GRIFFIN INST'L ACCESS R E FUND C	26,795.30	22.03	0.00	22.03	95.0	20.93
06/30/2018	BUSZEK, PAUL	GRIFFIN INST'L ACCESS R E FUND C	26,529.58	21.80	0.00	21.80	95.0	20.71
06/30/2018	WETZEL, WILLIAM	GRIFFIN INST'L ACCESS R E FUND C	10,505.23	8.64	0.00	8.64	95.0	8.21
06/30/2018	ELLIOT, JAMES	GRIFFIN INST'L ACCESS R E FUND C	100,770.91	82.83	0.00	82.83	95.0	78.69
06/30/2018	ELLIOT, PATRICIA	GRIFFIN INST'L ACCESS R E FUND C	67,971.36	55.87	0.00	55.87	95.0	53.08
06/30/2018	JOUPPI, SHARON	GRIFFIN INST'L ACCESS R E FUND C	56,491.29	46.43	0.00	46.43	95.0	44.11
06/30/2018	JOUPPI, SHARON	GRIFFIN INST'L ACCESS R E FUND C	25,271.38	20.77	0.00	20.77	95.0	19.73
06/30/2018	FEWLESS, SCOTT	GRIFFIN INST'L ACCESS R E FUND C	15,777.94	12.97	0.00	12.97	95.0	12.32
06/30/2018	BARTOI, JOHN	GRIFFIN INST'L ACCESS R E FUND C	84,875.22	69.76	0.00	69.76	95.0	66.27
06/30/2018	MERRITT REVOCABLE TRUST, KATHY	GRIFFIN INST'L ACCESS R E FUND C	49,642.85	40.80	0.00	40.80	95.0	38.76
06/30/2018	AMMAN, KATHLEEN	GRIFFIN INST'L ACCESS R E FUND C	20,648.64	16.97	0.00	16.97	95.0	16.12
06/30/2018	BAUMGART, ROY MARK	GRIFFIN INST'L ACCESS R E FUND C	75,486.94	62.04	0.00	62.04	95.0	58.94
06/30/2018	SMITH, MARTHA	GRIFFIN INST'L ACCESS R E FUND C	76,007.95	62.47	0.00	62.47	95.0	59.35
06/30/2018	SPEARY, LISA	GRIFFIN INST'L ACCESS R E FUND C	51,702.35	42.49	0.00	42.49	95.0	40.37
06/30/2018	VOGEL, KEITH	GRIFFIN INST'L ACCESS R E FUND C	156,964.60	129.01	0.00	129.01	95.0	122.56
06/30/2018	THOMSON TRUST, DOUGLAS & NANCY	GRIFFIN INST'L ACCESS R E FUND C	105,563.44	86.76	0.00	86.76	95.0	82.42
06/30/2018	STRAITH LIV TRUST, JAMES	GRIFFIN INST'L ACCESS R E FUND C	49,876.10	41.00	0.00	41.00	95.0	38.95
06/30/2018	WILMAN, ANN ELAINE	GRIFFIN INST'L ACCESS R E FUND C	28,108.75	23.11	0.00	23.11	95.0	21.95
06/30/2018	GRUSH, ERNEST	GRIFFIN INST'L ACCESS R E FUND C	103,372.40	84.96	0.00	84.96	95.0	80.71
06/30/2018	ETHIER, WILLIAM	GRIFFIN INST'L ACCESS R E FUND C	46,185.15	37.96	0.00	37.96	95.0	36.06
06/30/2018	SMITH REV TRUST #2, CHARLES	GRIFFIN INST'L ACCESS R E FUND C	38,150.47	31.36	0.00	31.36	95.0	29.79
06/30/2018	MCKENZIE TRUST, ROBERT & DONNA	GRIFFIN INST'L ACCESS R E FUND C	12,205.21	100.32	0.00	100.32	95.0	95.30
06/30/2018	STAHL, CURTIS	GRIFFIN INST'L ACCESS R E FUND C	27,467.52	22.57	0.00	22.57	95.0	21.44
06/30/2018	BERNARDI TRUST, DONALD &	GRIFFIN INST'L ACCESS R E FUND C	50,906.37	41.84	0.00	41.84	95.0	39.75
06/30/2018	ORTAGO, PAULA	GRIFFIN INST'L ACCESS R E FUND C	43,250.68	35.55	0.00	35.55	95.0	33.77
06/30/2018	KOSANKE, CHARLES W	GRIFFIN INST'L ACCESS R E FUND C	25,989.05	21.36	0.00	21.36	95.0	20.29

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: INTERVAL FUNDS</u>								
06/30/2018	DINKA, JOHN	GRIFFIN INST'L ACCESS R E FUND C	116,493.03	95.75	0.00	95.75	95.0	90.96
06/30/2018	DINKA, CATHERINE	GRIFFIN INST'L ACCESS R E FUND C	109,459.30	89.96	0.00	89.96	95.0	85.46
06/30/2018	BELLINGE, GEORGE	GRIFFIN INST'L ACCESS R E FUND C	87,785.96	72.15	0.00	72.15	95.0	68.54
06/30/2018	CANNON TRUST, HENRY & BARBARA	GRIFFIN INST'L ACCESS R E FUND C	130,957.45	107.64	0.00	107.64	95.0	102.26
06/30/2018	KRONNER, DAVID	GRIFFIN INST'L ACCESS R E FUND C	51,458.85	42.29	0.00	42.29	95.0	40.18
06/30/2018	RANG, JAMES S & MARIL	GRIFFIN INST'L ACCESS R E FUND C	17,546.62	14.43	0.00	14.43	95.0	13.71
06/30/2018	OLSON, MELINDA	GRIFFIN INST'L ACCESS R E FUND C	33,746.88	27.73	0.00	27.73	95.0	26.34
06/30/2018	HARWOOD TRUST, SHARON	GRIFFIN INST'L ACCESS R E FUND C	25,323.51	20.81	0.00	20.81	95.0	19.77
06/30/2018	PUTZ TRUST, MARILYNN	GRIFFIN INST'L ACCESS R E FUND C	84,775.19	69.68	0.00	69.68	95.0	66.20
06/30/2018	WETZEL, ROBERT	GRIFFIN INST'L ACCESS R E FUND C	10,032.32	8.24	0.00	8.24	95.0	7.83
06/30/2018	KNIGHT TRUST, SHARON	GRIFFIN INST'L ACCESS R E FUND C	10,733.71	8.83	0.00	8.83	95.0	8.39
06/30/2018	EQUITY TRUST CO	GRIFFIN INST'L ACCESS R E FUND C	43,856.74	36.04	0.00	36.04	95.0	34.24
* INTERVAL FUNDS SUBTOTAL *			\$4,638,132.71	\$3,902.41	\$0.00	\$3,902.41		\$3,707.29

PRODUCT CATEGORY: 529 PLANS

07/02/2018	NIZIO, MARGARET	BLACKROCK 67776G493	50.00	0.50	0.00	0.50	95.0	0.48
07/02/2018	NIZIO, EDMUND	BLACKROCK 67776G493	50.00	0.50	0.00	0.50	95.0	0.48
/ /	KUCHAREK, PAUL	BLACKROCK 67776G469	0.00	1.75	0.00	1.75	95.0	1.66
07/02/2018	KUCHAREK, PAUL	BLACKROCK 67776G469	50.00	1.75	0.00	1.75	95.0	1.66
07/16/2018	KUCHAREK, PAUL	BLACKROCK 67776G469	50.00	1.75	0.00	1.75	95.0	1.66
* 529 PLANS SUBTOTAL *			\$200.00	\$6.25	\$0.00	\$6.25		\$5.94

PRODUCT CATEGORY: MUTUAL FUNDS

07/11/2018	CERIMELE, NICHOLAS	AM FUNDS AMERICAN BALANCED A	60.00	2.55	0.00	2.55	95.0	2.42
07/11/2018	ULFIG TRUST, GERALD & PATRIC	AM FUNDS AMERICAN MUTUAL A	9,157.56	457.88	0.00	457.88	95.0	434.99
07/16/2018	DURHAM, JEREMY	AM FUNDS AMERICAN MUTUAL C	250.00	2.50	0.00	2.50	95.0	2.38
07/16/2018	HOLLAND, JENNIFER	AM FUNDS CAPITAL INCOME BUILDER A	400.00	17.00	0.00	17.00	95.0	16.15
07/20/2018	BUTT, DENNIS	AM FUNDS CAPITAL INCOME BUILDER A	28.00	1.40	0.00	1.40	95.0	1.33
07/20/2018	BUTT, DENNIS	AM FUNDS CAPITAL INCOME BUILDER A	28.00	1.40	0.00	1.40	95.0	1.33
07/10/2018	GINGELL, PAUL	AM FUNDS CAPITAL WORLD GRTH & INC A	600.00	12.00	0.00	12.00	95.0	11.40
07/10/2018	ALVEY, SHERRIE	AM FUNDS CAPITAL WORLD GRTH & INC A	187.50	3.75	0.00	3.75	95.0	3.56
07/20/2018	NAGEOTTE, NIKOLAUS	AM FUNDS CAPITAL WORLD GRTH & INC A	100.00	5.00	0.00	5.00	95.0	4.75
07/10/2018	GINGELL, PAUL	AM FUNDS EUROPACIFIC GROWTH FUND A	600.00	12.00	0.00	12.00	95.0	11.40
07/10/2018	GINGELL, PAUL	AM FUNDS GROWTH FUND OF AMERICA A	640.00	12.80	0.00	12.80	95.0	12.16

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
07/10/2018	ALVEY, SHERRIE	AM FUNDS GROWTH FUND OF AMERICA A	187.50	3.75	0.00	3.75	95.0	3.56
07/13/2018	SOBIESKI, JOYCE	AM FUNDS GROWTH FUND OF AMERICA C	37.50	0.38	0.00	0.38	95.0	0.36
07/10/2018	GINGELL, PAUL	AM FUNDS ICA A	640.00	12.80	0.00	12.80	95.0	12.16
07/10/2018	ALVEY, SHERRIE	AM FUNDS ICA A	187.50	3.75	0.00	3.75	95.0	3.56
07/16/2018	HOLLAND, JENNIFER	AM FUNDS ICA A	400.00	17.00	0.00	17.00	95.0	16.15
07/16/2018	WONCH, ELIZABETH	AM FUNDS ICA A	200.00	10.00	0.00	10.00	95.0	9.50
07/10/2018	GINGELL, PAUL	AM FUNDS NEW PERSPECTIVE A	640.00	12.80	0.00	12.80	95.0	12.16
07/10/2018	HAWK, CYNTHIA	AM FUNDS NEW PERSPECTIVE A	100.00	5.00	0.00	5.00	95.0	4.75
07/20/2018	BUTT, DENNIS	AM FUNDS NEW WORLD A	84.00	4.20	0.00	4.20	95.0	3.99
07/20/2018	BUTT, DENNIS	AM FUNDS NEW WORLD A	84.00	4.20	0.00	4.20	95.0	3.99
07/10/2018	ALVEY, SHERRIE	AM FUNDS SMALLCAP WORLD A	187.50	3.75	0.00	3.75	95.0	3.56
07/10/2018	IVEZAJ, GYSTE	AM FUNDS WASHINGTON MUTUAL INVESTOR	50.00	1.88	0.00	1.88	95.0	1.79
07/13/2018	SOBIESKI, JOYCE	AM FUNDS WASHINGTON MUTUAL INVESTOR	37.50	0.38	0.00	0.38	95.0	0.36
07/16/2018	KEMP, JEREMY	AM FUNDS WASHINGTON MUTUAL INVESTOR	50.00	2.13	0.00	2.13	95.0	2.02
07/16/2018	BEHNKE, DANIEL	AM FUNDS WASHINGTON MUTUAL INVESTOR	50.00	2.13	0.00	2.13	95.0	2.02
07/16/2018	BEHNKE, MARK	AM FUNDS WASHINGTON MUTUAL INVESTOR	100.00	5.00	0.00	5.00	95.0	4.75
07/02/2018	PARTALIS, CHRISTINE	DAVIS NEW YORK VENTURE A	25.00	1.00	0.00	1.00	95.0	0.95
06/28/2018	RITTER, WILLIAM	DAVIS NEW YORK VENTURE B	25.00	1.00	0.00	1.00	95.0	0.95
06/29/2018	PISTOLESI, VAUGHN	DAVIS NEW YORK VENTURE B	200.00	8.00	0.00	8.00	95.0	7.60
07/10/2018	TYSZKIEWICZ, KURT	FRANKLIN GROWTH C	100.00	1.00	0.00	1.00	95.0	0.95
/ /	KUCHAREK, PAUL	GLOBAL ALLOCATION FUND	0.00	1.88	0.00	1.88	95.0	1.79
07/05/2018	BERGLUND, KRIS	INVESCO AMERICAN FRANCHISE A	50.00	2.50	0.00	2.50	95.0	2.38
/ /	DITRI, ANN	OPPENHEIMER CAPITAL APPRECIATION C	0.00	2.04	0.00	2.04	95.0	1.94
07/03/2018	ELIAS, JANICE	OPPENHEIMER CAPITAL APPRECIATION C	22.27	0.22	0.00	0.22	95.0	0.21
07/03/2018	ELIAS, JANICE	OPPENHEIMER CAPITAL APPRECIATION C	13.37	0.13	0.00	0.13	95.0	0.12
07/11/2018	DITRI, ANN	OPPENHEIMER CAPITAL APPRECIATION C	36.72	0.37	0.00	0.37	95.0	0.35
07/11/2018	BAKER, STEVEN	OPPENHEIMER CAPITAL APPRECIATION C	67.26	0.67	0.00	0.67	95.0	0.64
07/11/2018	BAKER, STEVEN	OPPENHEIMER CAPITAL APPRECIATION C	45.10	0.45	0.00	0.45	95.0	0.43
07/03/2018	DAMORE, MONICA	OPPENHEIMER DISCOVERY C	214.52	2.15	0.00	2.15	95.0	2.04
07/03/2018	DAMORE, MONICA	OPPENHEIMER DISCOVERY C	37.86	0.38	0.00	0.38	95.0	0.36
/ /	DITRI, ANN	OPPENHEIMER GLOBAL C	0.00	1.98	0.00	1.98	95.0	1.88
07/03/2018	ELIAS, JANICE	OPPENHEIMER GLOBAL C	21.62	0.22	0.00	0.22	95.0	0.21
07/03/2018	ELIAS, JANICE	OPPENHEIMER GLOBAL C	12.97	0.13	0.00	0.13	95.0	0.12

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
07/11/2018	DITRI, ANN	OPPENHEIMER GLOBAL C	35.64	0.36	0.00	0.36	95.0	0.34
/ /	TRBOVICH, NICK	OPPENHEIMER GLOBAL OPPORTUNITIES A	0.00	72.00	0.00	72.00	95.0	68.40
07/02/2018	TRBOVICH, NICK	OPPENHEIMER GLOBAL OPPORTUNITIES A	270.00	10.80	0.00	10.80	95.0	10.26
07/02/2018	TRBOVICH, MARY	OPPENHEIMER GLOBAL OPPORTUNITIES A	900.00	36.00	0.00	36.00	95.0	34.20
07/02/2018	TRBOVICH, MARY	OPPENHEIMER GLOBAL OPPORTUNITIES A	135.00	5.40	0.00	5.40	95.0	5.13
/ /	MCCOLLEY, SHEA	OPPENHEIMER GLOBAL OPPORTUNITIES C	0.00	0.30	0.00	0.30	95.0	0.29
07/03/2018	DAMORE, MONICA	OPPENHEIMER GLOBAL OPPORTUNITIES C	214.52	2.15	0.00	2.15	95.0	2.04
07/03/2018	DAMORE, MONICA	OPPENHEIMER GLOBAL OPPORTUNITIES C	37.86	0.38	0.00	0.38	95.0	0.36
07/11/2018	MCCOLLEY, SHEA	OPPENHEIMER GLOBAL OPPORTUNITIES C	28.61	0.29	0.00	0.29	95.0	0.28
/ /	BAKER, STEVEN	OPPENHEIMER INTL BOND C	0.00	0.67	0.00	0.67	95.0	0.64
07/11/2018	BAKER, STEVEN	OPPENHEIMER INTL BOND C	45.10	0.45	0.00	0.45	95.0	0.43
/ /	BAKER, STEVEN	OPPENHEIMER INTL DIVERSIFIED C	0.00	0.67	0.00	0.67	95.0	0.64
07/11/2018	BAKER, STEVEN	OPPENHEIMER INTL DIVERSIFIED C	45.10	0.45	0.00	0.45	95.0	0.43
/ /	DAMORE, MONICA	OPPENHEIMER INTL SMALL CO C	0.00	2.21	0.00	2.21	95.0	2.10
07/03/2018	DAMORE, MONICA	OPPENHEIMER INTL SMALL CO C	39.00	0.39	0.00	0.39	95.0	0.37
/ /	ELIAS, JANICE	OPPENHEIMER MAIN ST SELECT C	0.00	0.22	0.00	0.22	95.0	0.21
07/03/2018	ELIAS, JANICE	OPPENHEIMER MAIN ST SELECT C	12.97	0.13	0.00	0.13	95.0	0.12
/ /	MCCOLLEY, SHEA	OPPENHEIMER MAIN STREET C	0.00	0.30	0.00	0.30	95.0	0.29
07/11/2018	MCCOLLEY, SHEA	OPPENHEIMER MAIN STREET C	28.61	0.29	0.00	0.29	95.0	0.28
07/11/2018	MCCOLLEY, SHEA	OPPENHEIMER QUEST OPP VALUE C	57.22	0.57	0.00	0.57	95.0	0.54
07/11/2018	MCCOLLEY, SHEA	OPPENHEIMER QUEST OPP VALUE C	247.50	0.60	0.00	0.60	95.0	0.57
07/11/2018	BAKER, STEVEN	OPPENHEIMER QUEST OPP VALUE C	67.26	0.67	0.00	0.67	95.0	0.64
07/11/2018	BAKER, STEVEN	OPPENHEIMER QUEST OPP VALUE C	45.10	0.45	0.00	0.45	95.0	0.43
/ /	WOUDSTRA, KAREN	OPPENHEIMER SMALL & MIDCAP GROWTH C	0.00	1.00	0.00	1.00	95.0	0.95
07/03/2018	WOUDSTRA, KAREN	OPPENHEIMER SMALL & MIDCAP GROWTH C	54.87	0.55	0.00	0.55	95.0	0.52
07/11/2018	DITRI, ANN	OPPENHEIMER VALUE C	82.50	1.98	0.00	1.98	95.0	1.88
07/11/2018	DITRI, ANN	OPPENHEIMER VALUE C	35.64	0.36	0.00	0.36	95.0	0.34
07/02/2018	WONCH, LIZ	PUTNAM MULTI-CAP CORE FUND A	50.00	2.50	0.00	2.50	95.0	2.38
07/06/2018	WETZEL, TIFFANY	TRANSAMERICA AA GROWTH C	100.00	1.00	0.00	1.00	95.0	0.95
07/09/2018	LOPICCOLO, CATHERINE	TRANSAMERICA AA GROWTH C	106.50	1.07	0.00	1.07	95.0	1.02
07/16/2018	TOBEY, TIMOTHY	TRANSAMERICA AA GROWTH C	100.00	1.00	0.00	1.00	95.0	0.95
07/09/2018	BARTOI, JOHN	TRANSAMERICA AA MODERATE C	1,002.91	10.03	0.00	10.03	95.0	9.53
07/16/2018	EICHENLAUB, TRACEY	TRANSAMERICA MULTI-MANAGED BAL C	450.00	4.50	0.00	4.50	95.0	4.28

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
07/16/2018	WEYCKER, ROBERT	TRANSAMERICA MULTI-MANAGED BAL C	300.00	3.00	0.00	3.00	95.0	2.85
* MUTUAL FUNDS SUBTOTAL *			\$20,450.16	\$804.29	\$0.00	\$804.29		\$764.11
<u>PRODUCT CATEGORY: VARIABLE UNIVERSAL LIFE</u>								
07/06/2018	DINKA, JOHN	PAC LIFE VUL	2,500.00	50.00	0.00	50.00	95.0	47.50
06/01/2018	CFGROUP, VARIOUS	TRANSAMERICA LIFE	9,294.09	184.99	0.00	184.99	95.0	175.74
* VARIABLE UNIVERSAL LIFE SUBTOTAL *			\$11,794.09	\$234.99	\$0.00	\$234.99		\$223.24
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
07/09/2018	HARTOUNIAN, HAGOB BEN	ALLIANCE SMALLCAP	0.00	1.96	0.00	1.96	95.0	1.86
07/09/2018	GEORGE, RONALD	ALLIANCEBERNSTEIN GL THEMATIC GROWT	0.00	1.67	0.00	1.67	95.0	1.59
07/09/2018	PINKOS, CHRISTINE	ALLIANCEBERNSTEIN GL THEMATIC GROWT	0.00	0.04	0.00	0.04	95.0	0.04
07/09/2018	SEBLANI, MUSTAPHA	ALLIANCEBERNSTEIN GL THEMATIC GROWT	0.00	5.42	0.00	5.42	95.0	5.15
07/09/2018	FLANNERY, CHRISTIAN	ALLIANCEBERNSTEIN GL THEMATIC GROWT	0.00	0.40	0.00	0.40	95.0	0.38
07/09/2018	KIEFHABER, JEAN	ALLIANCEBERNSTEIN GLOBAL BOND A	0.00	5.29	0.00	5.29	95.0	5.03
07/09/2018	BRADEN, TERRI	ALLIANCEBERNSTEIN GROWTH A	0.00	16.53	0.00	16.53	95.0	15.70
07/09/2018	HARTOUNIAN, HAGOB BEN	ALLIANCEBERNSTEIN GROWTH AND INC A	0.00	1.67	0.00	1.67	95.0	1.59
07/09/2018	BRADEN, TERRI	ALLIANCEBERNSTEIN GROWTH B	0.00	6.01	0.00	6.01	95.0	5.71
07/09/2018	MOILANEN, STEPHEN	ALLIANCEBERNSTEIN HIGH INCOME A	0.00	2.28	0.00	2.28	95.0	2.17
07/09/2018	GEORGE, RONALD	ALLIANCEBERNSTEIN LARGE CAP GROWTH	0.00	2.07	0.00	2.07	95.0	1.97
07/09/2018	SEBLANI, MUSTAPHA	ALLIANCEBERNSTEIN LARGE CAP GROWTH	0.00	7.36	0.00	7.36	95.0	6.99
07/09/2018	OPALESKI, SCOTT	ALLIANCEBERNSTEIN SMALL/MID-CAP GRW	0.00	1.32	0.00	1.32	95.0	1.25
07/09/2018	LYNN GOODRICH JT TEN, CHERIL	ALLIANCEBERNSTEIN SMALL/MID-CAP GRW	0.00	1.22	0.00	1.22	95.0	1.16
07/09/2018	KING, RITA	ALLIANCEBERNSTEIN SMALL/MID-CAP GRW	0.00	1.50	0.00	1.50	95.0	1.43
07/09/2018	KING, COURTNEY	ALLIANCEBERNSTEIN SMALL/MID-CAP GRW	0.00	1.54	0.00	1.54	95.0	1.46
07/03/2018	MIKLEVICH, MICHAEL	ALLIANZ NFJ MIDCAP VALUE C	0.00	44.06	0.00	44.06	95.0	41.86
07/03/2018	MIKLEVICH, MICHAEL	ALLIANZ NFJ MIDCAP VALUE C	0.00	122.76	0.00	122.76	95.0	116.62
07/09/2018	CFGROUP, VARIOUS	AMERICAN FUNDS 8504AFRKD	0.00	69.66	0.00	69.66	95.0	66.18
/ /	CFGROUP, VARIOUS	BLACK ROCK 67776G527	0.00	1.36	0.00	1.36	95.0	1.29
06/30/2018	CFGROUP, VARIOUS	BLACK ROCK 67776G527	0.00	4.08	0.00	4.08	95.0	3.88
06/30/2018	COOPER, LISA	BLACK ROCK 67776G527	0.00	1.51	0.00	1.51	95.0	1.43
06/30/2018	BUSZEK, RICHARD	BLACK ROCK 67776G527	0.00	3.48	0.00	3.48	95.0	3.31
06/30/2018	BUSZEK, RICHARD	BLACK ROCK 67776G527	0.00	1.16	0.00	1.16	95.0	1.10
06/30/2018	BUSZEK, RICHARD	BLACK ROCK 67776G527	0.00	1.16	0.00	1.16	95.0	1.10

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
06/30/2018	BUSZEK, RICHARD	BLACK ROCK 67776G527	0.00	3.49	0.00	3.49	95.0	3.32
06/30/2018	MOELLER, RICHARD	BLACK ROCK 67776G527	0.00	0.23	0.00	0.23	95.0	0.22
06/30/2018	MOELLER, RICHARD	BLACK ROCK 67776G527	0.00	0.68	0.00	0.68	95.0	0.65
06/30/2018	COOPER, LISA	BLACK ROCK 67776G527	0.00	4.54	0.00	4.54	95.0	4.31
/ /	BAKER, JEAN-ANNE	BLACK ROCK 67776G543	0.00	0.11	0.00	0.11	95.0	0.10
06/30/2018	BUSZEK, RICHARD	BLACK ROCK 67776G543	0.00	1.97	0.00	1.97	95.0	1.87
06/30/2018	BUSZEK, RICHARD	BLACK ROCK 67776G543	0.00	0.66	0.00	0.66	95.0	0.63
06/30/2018	BAKER, JEAN-ANNE	BLACK ROCK 67776G543	0.00	0.32	0.00	0.32	95.0	0.30
06/30/2018	WETZEL, DIANNE	BLACK ROCK 67776G543	0.00	2.99	0.00	2.99	95.0	2.84
06/30/2018	WETZEL, DIANNE	BLACK ROCK 67776G543	0.00	3.23	0.00	3.23	95.0	3.07
06/30/2018	WETZEL, DIANNE	BLACK ROCK 67776G543	0.00	1.08	0.00	1.08	95.0	1.03
06/30/2018	WETZEL, DIANNE	BLACK ROCK 67776G543	0.00	1.00	0.00	1.00	95.0	0.95
/ /	BAKER, JEAN-ANNE	BLACKROCK 67776G493	0.00	0.13	0.00	0.13	95.0	0.12
06/30/2018	BAKER, JEAN-ANNE	BLACKROCK 67776G493	0.00	0.04	0.00	0.04	95.0	0.04
06/30/2018	MOELLER, RICHARD	BLACKROCK 67776G493	0.00	0.73	0.00	0.73	95.0	0.69
06/30/2018	MOELLER, RICHARD	BLACKROCK 67776G493	0.00	0.24	0.00	0.24	95.0	0.23
06/30/2018	NIZIO, EDMUND	BLACKROCK 67776G493	0.00	6.33	0.00	6.33	95.0	6.01
06/30/2018	NIZIO, EDMUND	BLACKROCK 67776G493	0.00	2.11	0.00	2.11	95.0	2.00
06/30/2018	NIZIO, MARGARET	BLACKROCK 67776G493	0.00	2.11	0.00	2.11	95.0	2.00
06/30/2018	NIZIO, MARGARET	BLACKROCK 67776G493	0.00	6.33	0.00	6.33	95.0	6.01
06/30/2018	GALLAS, JAMES L & ANN M	BLACKROCK 19452P743	0.00	7.30	0.00	7.30	95.0	6.94
06/30/2018	BURKE, KIMBERLY	BLACKROCK 67776G469	0.00	5.99	0.00	5.99	95.0	5.69
06/30/2018	KUCHAREK, PAUL	BLACKROCK 67776G469	0.00	4.00	0.00	4.00	95.0	3.80
06/30/2018	KUCHAREK, PAUL	BLACKROCK 67776G469	0.00	1.77	0.00	1.77	95.0	1.68
06/30/2018	KUCHAREK, PAUL	BLACKROCK 67776G469	0.00	4.02	0.00	4.02	95.0	3.82
06/30/2018	MUENCH, DANIEL	BLACKROCK 67776G469	0.00	2.42	0.00	2.42	95.0	2.30
06/30/2018	BURKE, KIMBERLY	BLACKROCK 67776G469	0.00	1.45	0.00	1.45	95.0	1.38
06/30/2018	COOPER, LISA	BLACKROCK 67776G477	0.00	0.40	0.00	0.40	95.0	0.38
06/30/2018	COOPER, LISA	BLACKROCK 67776G477	0.00	1.19	0.00	1.19	95.0	1.13
06/30/2018	COOPER, LISA	BLACKROCK 67776G477	0.00	1.08	0.00	1.08	95.0	1.03
06/30/2018	TRYNAN, SHELLY	BLACKROCK 67776G477	0.00	1.45	0.00	1.45	95.0	1.38
06/30/2018	BURKE, KIMBERLY	BLACKROCK 67776G477	0.00	6.30	0.00	6.30	95.0	5.99
06/30/2018	BURKE, KIMBERLY	BLACKROCK 67776G477	0.00	2.10	0.00	2.10	95.0	2.00

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<u>DIRECT TRANSACTIONS</u>								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS								
06/30/2018	MOELLER, RICHARD	BLACKROCK 67776G477	0.00	0.81	0.00	0.81	95.0	0.77
06/30/2018	TRYNAN, SHELLY	BLACKROCK 67776G477	0.00	0.48	0.00	0.48	95.0	0.46
06/30/2018	MOELLER, RICHARD	BLACKROCK 67776G477	0.00	0.27	0.00	0.27	95.0	0.26
06/30/2018	COOPER, LISA	BLACKROCK 67776G477	0.00	0.36	0.00	0.36	95.0	0.34
/ /	NIZIO, EDMUND	BLACKROCK 67776G519	0.00	0.58	0.00	0.58	95.0	0.55
06/30/2018	BAKER, JEAN-ANNE	BLACKROCK 67776G519	0.00	0.88	0.00	0.88	95.0	0.84
06/30/2018	BAKER, JEAN-ANNE	BLACKROCK 67776G519	0.00	1.92	0.00	1.92	95.0	1.82
06/30/2018	MERRITT, GREGORY	BLACKROCK 67776G519	0.00	5.20	0.00	5.20	95.0	4.94
06/30/2018	YASCH, SANDY	BLACKROCK 67776G519	0.00	0.65	0.00	0.65	95.0	0.62
06/30/2018	NIZIO, MARGARET	BLACKROCK 67776G519	0.00	0.58	0.00	0.58	95.0	0.55
06/30/2018	COOPER, LISA	BLACKROCK 67776G535	0.00	0.87	0.00	0.87	95.0	0.83
06/30/2018	MERRITT, GREGORY	BLACKROCK 67776G535	0.00	4.99	0.00	4.99	95.0	4.74
06/30/2018	BURKE, KIMBERLY	BLACKROCK ENROLMENT CLASS C	0.00	7.59	0.00	7.59	95.0	7.21
06/30/2018	BURKE, KIMBERLY	BLACKROCK ENROLMENT CLASS C	0.00	2.53	0.00	2.53	95.0	2.40
06/30/2018	TRYNAN, SHELLY	BLACKROCK ENROLMENT CLASS C	0.00	2.81	0.00	2.81	95.0	2.67
06/30/2018	TRYNAN, SHELLY	BLACKROCK ENROLMENT CLASS C	0.00	0.94	0.00	0.94	95.0	0.89
06/30/2018	BURKE, KIMBERLY	BLACKROCK ENROLMENT CLASS C	0.00	2.10	0.00	2.10	95.0	2.00
07/20/2018	BURKE, KIMBERLY	BLACKROCK ENROLMENT CLASS C	0.00	6.29	0.00	6.29	95.0	5.98
06/30/2018	WILLIT	BLK AGG GROWTH A	0.00	1.56	0.00	1.56	95.0	1.48
06/30/2018	KING, DAVID	BLK EQUITY DIVIDEND C	0.00	0.11	0.00	0.11	95.0	0.10
06/30/2018	KING, DAVID	BLK EQUITY DIVIDEND C	0.00	0.34	0.00	0.34	95.0	0.32
/ /	KING, DAVID	BLK EQUITY DIVIDEND OPTION A	0.00	0.06	0.00	0.06	95.0	0.06
/ /	SOLDAN-, MATTHEW	CALAMOS GROWTH & INCOME A	0.00	3.20	0.00	3.20	95.0	3.04
/ /	GRAVES, ANNE	CALAMOS GROWTH A	0.00	13.42	0.00	13.42	95.0	12.75
/ /	SOLDAN-, MATTHEW	CALAMOS GROWTH A	0.00	3.10	0.00	3.10	95.0	2.95
/ /	SOBIESKI, JOYCE	CALAMOS GROWTH C	0.00	25.17	0.00	25.17	95.0	23.91
07/05/2018	MERRITT, KATHY	COLUMBIA ACORN A	0.00	10.83	0.00	10.83	95.0	10.29
07/05/2018	EQUITY TRUST CO	COLUMBIA ACORN A	0.00	5.35	0.00	5.35	95.0	5.08
07/05/2018	MOORE, DONYELLE	COLUMBIA EQUITY VALUE A	0.00	1.01	0.00	1.01	95.0	0.96
07/05/2018	MUNTEANU, RADU	COLUMBIA GREATER CHINA A	0.00	9.62	0.00	9.62	95.0	9.14
07/05/2018	KLEMPNER TRUST, VLADIMIR	COLUMBIA INCOME BUILDER FUND A	0.00	9.27	0.00	9.27	95.0	8.81
07/05/2018	SMYTH, DAVID	COLUMBIA LARGE CAP GROWTH A	0.00	3.77	0.00	3.77	95.0	3.58
07/05/2018	MOORE, DONYELLE	COLUMBIA MIDCAP VALUE A	0.00	9.18	0.00	9.18	95.0	8.72

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
07/05/2018	KULA, THOMAS	COLUMBIA SELIGMAN COMM AND INFO A	0.00	3.27	0.00	3.27	95.0	3.11
07/05/2018	HOSKIN, JOHN	COLUMBIA SELIGMAN COMM AND INFO A	0.00	6.63	0.00	6.63	95.0	6.30
07/05/2018	SWIDER, ROB	COLUMBIA SELIGMAN COMM AND INFO A	0.00	6.84	0.00	6.84	95.0	6.50
07/05/2018	VANMEER, MICHAEL	COLUMBIA SELIGMAN COMM AND INFO A	0.00	4.87	0.00	4.87	95.0	4.63
07/05/2018	SCULLY, DOROTHY	COLUMBIA SELIGMAN COMM AND INFO C	0.00	49.17	0.00	49.17	95.0	46.71
07/05/2018	FALKIEWICZ, DAVID	COLUMBIA SMALL CAP VALUE I A	0.00	6.57	0.00	6.57	95.0	6.24
07/05/2018	MOORE, DONYELLE	COLUMBIA SMALL CAP VALUE I A	0.00	5.46	0.00	5.46	95.0	5.19
07/05/2018	KUCHAREK, EMMA	COLUMBIA STRATEGIC INVESTOR A	0.00	0.19	0.00	0.19	95.0	0.18
07/05/2018	KUCHAREK, PETER	COLUMBIA STRATEGIC INVESTOR A	0.00	0.19	0.00	0.19	95.0	0.18
07/05/2018	KUCHAREK, GILLIAN	COLUMBIA STRATEGIC INVESTOR A	0.00	0.19	0.00	0.19	95.0	0.18
07/05/2018	KUCHAREK, SARAH	COLUMBIA STRATEGIC INVESTOR A	0.00	0.19	0.00	0.19	95.0	0.18
07/05/2018	KINGSLEY, BRIAN GENE	COLUMBIA STRATEGIC INVESTOR A	0.00	2.77	0.00	2.77	95.0	2.63
07/05/2018	KUCHAREK, MIRIAM	COLUMBIA STRATEGIC INVESTOR A	0.00	0.20	0.00	0.20	95.0	0.19
07/02/2018	VARTABEDIAN, ROBERT	DAVIS FINANCIAL A	0.00	7.00	0.00	7.00	95.0	6.65
07/02/2018	SZETO, CHOWN	DAVIS FINANCIAL A	0.00	1.64	0.00	1.64	95.0	1.56
07/02/2018	MICHON, ERIK	DAVIS FINANCIAL A	0.00	2.04	0.00	2.04	95.0	1.94
07/02/2018	ROCCA, HELEN	DAVIS FINANCIAL A	0.00	6.52	0.00	6.52	95.0	6.19
07/02/2018	ROCCA, JOHN	DAVIS FINANCIAL A	0.00	11.13	0.00	11.13	95.0	10.57
07/02/2018	SMITH, DENNIS	DAVIS FINANCIAL A	0.00	4.62	0.00	4.62	95.0	4.39
07/02/2018	DUDZIK, ELZBIETA	DAVIS FINANCIAL A	0.00	4.19	0.00	4.19	95.0	3.98
07/02/2018	ROCCA, HELEN	DAVIS FINANCIAL A	0.00	4.96	0.00	4.96	95.0	4.71
07/02/2018	ROCCA, JOHN	DAVIS FINANCIAL A	0.00	0.85	0.00	0.85	95.0	0.81
07/02/2018	TSANGANOS, OURANIA	DAVIS GLOBAL A	0.00	17.57	0.00	17.57	95.0	16.69
07/02/2018	TSANGANOS, NICHOLAOS	DAVIS GLOBAL A	0.00	17.57	0.00	17.57	95.0	16.69
07/02/2018	SELVAGGIO, VINCENZA	DAVIS GLOBAL A	0.00	0.63	0.00	0.63	95.0	0.60
07/02/2018	FRAZE, BILL	DAVIS GLOBAL A	0.00	5.67	0.00	5.67	95.0	5.39
07/02/2018	VANDERMEER, BRETT	DAVIS GLOBAL A	0.00	10.15	0.00	10.15	95.0	9.64
07/02/2018	VANDERMEER, PAIGE	DAVIS GLOBAL A	0.00	10.15	0.00	10.15	95.0	9.64
07/02/2018	VARTABEDIAN, ROBERT	DAVIS GLOBAL A	0.00	6.22	0.00	6.22	95.0	5.91
07/02/2018	TSANGANOS, LEONIDAS	DAVIS GLOBAL A	0.00	11.25	0.00	11.25	95.0	10.69
07/02/2018	MITSOPOULOS, GEORGIA	DAVIS GLOBAL A	0.00	1.95	0.00	1.95	95.0	1.85
07/02/2018	MITSOPOULOS, GEORGIA	DAVIS GLOBAL A	0.00	2.45	0.00	2.45	95.0	2.33
07/02/2018	DUDZIK, ELZBIETA	DAVIS GLOBAL A	0.00	2.35	0.00	2.35	95.0	2.23

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
07/02/2018	TSANGANOS, LEONIDAS	DAVIS GLOBAL A	0.00	6.62	0.00	6.62	95.0	6.29
07/02/2018	PISTOLESI, LEIGH	DAVIS GLOBAL A	0.00	2.94	0.00	2.94	95.0	2.79
07/02/2018	PISTOLESI, VAUGHN	DAVIS GLOBAL A	0.00	10.88	0.00	10.88	95.0	10.34
07/02/2018	SMITH, AMELIA	DAVIS GLOBAL A	0.00	1.27	0.00	1.27	95.0	1.21
07/02/2018	KIRSCHLING UTMA-MI, ANNA	DAVIS GLOBAL A	0.00	1.13	0.00	1.13	95.0	1.07
07/02/2018	ROCCA, HELEN	DAVIS GLOBAL A	0.00	2.63	0.00	2.63	95.0	2.50
07/02/2018	DANNIS, DIANE	DAVIS GLOBAL A	0.00	3.85	0.00	3.85	95.0	3.66
07/02/2018	SELVAGGIO, STEVE	DAVIS GLOBAL A	0.00	3.10	0.00	3.10	95.0	2.95
07/02/2018	VANDERMEER, SANDRA	DAVIS GLOBAL A	0.00	4.72	0.00	4.72	95.0	4.48
07/02/2018	VARTABEDIAN, ROBERT	DAVIS GOVERNMENT MONEY MARKET A	0.00	0.00	0.00	0.00	95.0	0.00
07/02/2018	HARRIS TRUST, JACOB	DAVIS NEW YORK VENTURE A	0.00	3.07	0.00	3.07	95.0	2.92
07/02/2018	PAPPAS, LARRY	DAVIS NEW YORK VENTURE A	0.00	156.34	0.00	156.34	95.0	148.52
07/02/2018	POLYZOIS, ALEX	DAVIS NEW YORK VENTURE A	0.00	5.41	0.00	5.41	95.0	5.14
07/02/2018	MURPHY, SEAN	DAVIS NEW YORK VENTURE A	0.00	18.45	0.00	18.45	95.0	17.53
07/02/2018	LUSK, AMY	DAVIS NEW YORK VENTURE A	0.00	4.20	0.00	4.20	95.0	3.99
07/02/2018	COMAIANNI, KATHLEEN	DAVIS NEW YORK VENTURE A	0.00	18.81	0.00	18.81	95.0	17.87
07/02/2018	PESSINA, GAIL	DAVIS NEW YORK VENTURE A	0.00	79.42	0.00	79.42	95.0	75.45
07/02/2018	VARTABEDIAN, MARGARET	DAVIS NEW YORK VENTURE A	0.00	12.54	0.00	12.54	95.0	11.91
07/02/2018	TSEREGOUNIS, SPYROS	DAVIS NEW YORK VENTURE A	0.00	63.96	0.00	63.96	95.0	60.76
07/02/2018	CIAGLO, BETTY	DAVIS NEW YORK VENTURE A	0.00	97.72	0.00	97.72	95.0	92.83
07/02/2018	ANASTASIOU, BASILE	DAVIS NEW YORK VENTURE A	0.00	10.30	0.00	10.30	95.0	9.79
07/02/2018	ARVANT, PETER	DAVIS NEW YORK VENTURE A	0.00	203.41	0.00	203.41	95.0	193.24
07/02/2018	VARTABEDIAN, ROBERT	DAVIS NEW YORK VENTURE A	0.00	7.17	0.00	7.17	95.0	6.81
07/02/2018	REYNOLDS, DONALD	DAVIS NEW YORK VENTURE A	0.00	68.77	0.00	68.77	95.0	65.33
07/02/2018	YET, CHARLES	DAVIS NEW YORK VENTURE A	0.00	4.80	0.00	4.80	95.0	4.56
07/02/2018	TSANGANOS, NICHOLAOS	DAVIS NEW YORK VENTURE A	0.00	63.96	0.00	63.96	95.0	60.76
07/02/2018	RUFFINO, ERNESTINE	DAVIS NEW YORK VENTURE A	0.00	45.66	0.00	45.66	95.0	43.38
07/02/2018	VARTABEDIAN, ARTHUR	DAVIS NEW YORK VENTURE A	0.00	4.80	0.00	4.80	95.0	4.56
07/02/2018	KNOWLES, SHANA	DAVIS NEW YORK VENTURE A	0.00	1.26	0.00	1.26	95.0	1.20
07/02/2018	PISTOLESI, VAUGHN	DAVIS NEW YORK VENTURE A	0.00	31.03	0.00	31.03	95.0	29.48
07/02/2018	PISTOLESI, LEIGH	DAVIS NEW YORK VENTURE A	0.00	3.96	0.00	3.96	95.0	3.76
07/02/2018	CISSELL, MICHELLE	DAVIS NEW YORK VENTURE A	0.00	22.12	0.00	22.12	95.0	21.01
07/02/2018	SUCHYTZ, DAVID	DAVIS NEW YORK VENTURE A	0.00	19.45	0.00	19.45	95.0	18.48

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<u>DIRECT TRANSACTIONS</u>								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS								
07/02/2018	ANDREAPOULOS, FOTINI	DAVIS NEW YORK VENTURE A	0.00	13.35	0.00	13.35	95.0	12.68
07/02/2018	SZETO, CHOWN	DAVIS NEW YORK VENTURE A	0.00	1.45	0.00	1.45	95.0	1.38
07/02/2018	DOUTSAS, FREIDA	DAVIS NEW YORK VENTURE A	0.00	44.72	0.00	44.72	95.0	42.48
07/02/2018	POTTS, JEFFERY	DAVIS NEW YORK VENTURE A	0.00	19.20	0.00	19.20	95.0	18.24
07/02/2018	SHERMAN, SCOTT	DAVIS NEW YORK VENTURE A	0.00	3.49	0.00	3.49	95.0	3.32
07/02/2018	PARTALIS, CHRISTINE	DAVIS NEW YORK VENTURE A	0.00	5.70	0.00	5.70	95.0	5.42
07/02/2018	CISSELL, EVAN	DAVIS NEW YORK VENTURE A	0.00	43.00	0.00	43.00	95.0	40.85
07/02/2018	GRUENBURG, ROY	DAVIS NEW YORK VENTURE A	0.00	33.88	0.00	33.88	95.0	32.19
07/02/2018	ROCCA, HELEN	DAVIS NEW YORK VENTURE A	0.00	21.70	0.00	21.70	95.0	20.62
07/02/2018	ROCCA, JOHN	DAVIS NEW YORK VENTURE A	0.00	28.34	0.00	28.34	95.0	26.92
07/02/2018	SELVAGGIO, VINCENZA	DAVIS NEW YORK VENTURE A	0.00	0.65	0.00	0.65	95.0	0.62
07/02/2018	TSANGANOS, LEONIDAS	DAVIS NEW YORK VENTURE A	0.00	12.53	0.00	12.53	95.0	11.90
07/02/2018	SELVAGGIO, STEVE	DAVIS NEW YORK VENTURE A	0.00	1.36	0.00	1.36	95.0	1.29
07/02/2018	SMITH, DENNIS	DAVIS NEW YORK VENTURE A	0.00	4.81	0.00	4.81	95.0	4.57
07/02/2018	FRAZHO, JENNIFER	DAVIS NEW YORK VENTURE A	0.00	0.70	0.00	0.70	95.0	0.67
07/02/2018	TSOUKALAS, IOANNIS	DAVIS NEW YORK VENTURE A	0.00	4.32	0.00	4.32	95.0	4.10
07/02/2018	BECKER, ADRIANNA	DAVIS NEW YORK VENTURE A	0.00	1.12	0.00	1.12	95.0	1.06
07/02/2018	DUDZIK, ELZBIETA	DAVIS NEW YORK VENTURE A	0.00	25.85	0.00	25.85	95.0	24.56
07/02/2018	VARTABEDIAN, TED	DAVIS NEW YORK VENTURE A	0.00	41.14	0.00	41.14	95.0	39.08
07/02/2018	PAVLIK, SUZANNE	DAVIS NEW YORK VENTURE A	0.00	8.06	0.00	8.06	95.0	7.66
07/02/2018	KOECHIG, CHRISTOPHER	DAVIS NEW YORK VENTURE A	0.00	0.93	0.00	0.93	95.0	0.88
07/02/2018	RAPER, LORRAINE	DAVIS NEW YORK VENTURE A	0.00	8.43	0.00	8.43	95.0	8.01
07/02/2018	MORICI, MICHELLE	DAVIS NEW YORK VENTURE A	0.00	32.55	0.00	32.55	95.0	30.92
07/02/2018	RITTER, WILLIAM	DAVIS NEW YORK VENTURE A	0.00	10.83	0.00	10.83	95.0	10.29
07/02/2018	KEMPERMAN, MICHELLE	DAVIS NEW YORK VENTURE A	0.00	9.37	0.00	9.37	95.0	8.90
07/02/2018	SCULLY, KATHLEEN	DAVIS NEW YORK VENTURE A	0.00	14.78	0.00	14.78	95.0	14.04
07/02/2018	BROSHEAR, KARA	DAVIS NEW YORK VENTURE A	0.00	15.15	0.00	15.15	95.0	14.39
07/02/2018	BROSHEAR, MARK	DAVIS NEW YORK VENTURE A	0.00	16.95	0.00	16.95	95.0	16.10
07/02/2018	PETRO, PAUL	DAVIS NEW YORK VENTURE A	0.00	32.87	0.00	32.87	95.0	31.23
07/02/2018	PISTOLESI, MORGAN	DAVIS NEW YORK VENTURE A	0.00	0.63	0.00	0.63	95.0	0.60
07/02/2018	GARLAND, DAWN	DAVIS NEW YORK VENTURE A	0.00	10.14	0.00	10.14	95.0	9.63
07/02/2018	KISH, VIVIAN	DAVIS NEW YORK VENTURE A	0.00	30.22	0.00	30.22	95.0	28.71
07/02/2018	KISH, VIVIAN	DAVIS NEW YORK VENTURE A	0.00	53.55	0.00	53.55	95.0	50.87

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
07/02/2018	LAPORTE, NATANIAL	DAVIS NEW YORK VENTURE A	0.00	2.57	0.00	2.57	95.0	2.44
07/02/2018	CUDNIK, LEONARD	DAVIS NEW YORK VENTURE A	0.00	19.50	0.00	19.50	95.0	18.53
07/02/2018	GABRAIL, JALAL	DAVIS NEW YORK VENTURE A	0.00	3.10	0.00	3.10	95.0	2.95
07/02/2018	MANSOUR, EVA	DAVIS NEW YORK VENTURE A	0.00	1.47	0.00	1.47	95.0	1.40
07/02/2018	MOELLER, RICHARD	DAVIS NEW YORK VENTURE A	0.00	10.64	0.00	10.64	95.0	10.11
07/02/2018	NICOLOSI, ROSE	DAVIS NEW YORK VENTURE A	0.00	15.75	0.00	15.75	95.0	14.96
07/02/2018	PISTOLESI, VAUGHN	DAVIS NEW YORK VENTURE A	0.00	12.19	0.00	12.19	95.0	11.58
07/02/2018	MORELLI, MARY	DAVIS NEW YORK VENTURE A	0.00	133.67	0.00	133.67	95.0	126.99
07/02/2018	MORELLI, MARY	DAVIS NEW YORK VENTURE A	0.00	34.22	0.00	34.22	95.0	32.51
07/02/2018	ANDREOPOULOS, KOULA	DAVIS NEW YORK VENTURE A	0.00	26.36	0.00	26.36	95.0	25.04
07/02/2018	BARBER, IAN	DAVIS NEW YORK VENTURE A	0.00	6.59	0.00	6.59	95.0	6.26
07/02/2018	BANKS, VICTORIA	DAVIS NEW YORK VENTURE A	0.00	19.77	0.00	19.77	95.0	18.78
07/02/2018	NIKOU, JIMMY	DAVIS NEW YORK VENTURE A	0.00	71.44	0.00	71.44	95.0	67.87
07/02/2018	ANASTASIOU, DESPINA	DAVIS NEW YORK VENTURE A	0.00	36.42	0.00	36.42	95.0	34.60
07/02/2018	ANASTASIOU, BASILE	DAVIS NEW YORK VENTURE A	0.00	72.86	0.00	72.86	95.0	69.22
07/02/2018	CISSELL, EVAN	DAVIS NEW YORK VENTURE A	0.00	19.76	0.00	19.76	95.0	18.77
07/02/2018	CISSELL, PATRICIA	DAVIS NEW YORK VENTURE A	0.00	100.56	0.00	100.56	95.0	95.53
07/02/2018	WALSH, MICHAEL	DAVIS NEW YORK VENTURE A	0.00	2.83	0.00	2.83	95.0	2.69
07/02/2018	SUCHYTA, DENNIS	DAVIS NEW YORK VENTURE A	0.00	4.35	0.00	4.35	95.0	4.13
07/02/2018	TASCH, MARTIN	DAVIS NEW YORK VENTURE A	0.00	10.45	0.00	10.45	95.0	9.93
07/02/2018	ARVANT, PETER	DAVIS NEW YORK VENTURE A	0.00	145.58	0.00	145.58	95.0	138.30
07/02/2018	FRAZE, BILL	DAVIS NEW YORK VENTURE A	0.00	109.34	0.00	109.34	95.0	103.87
07/02/2018	ROBINETTE, JANET	DAVIS NEW YORK VENTURE A	0.00	21.93	0.00	21.93	95.0	20.83
07/02/2018	HOWARD, LISA	DAVIS NEW YORK VENTURE A	0.00	7.76	0.00	7.76	95.0	7.37
07/02/2018	ROCCA, ALEX	DAVIS NEW YORK VENTURE A	0.00	3.10	0.00	3.10	95.0	2.95
07/02/2018	ROCCA, AARON	DAVIS NEW YORK VENTURE A	0.00	3.14	0.00	3.14	95.0	2.98
07/02/2018	ROCCA, JACQUELYN	DAVIS NEW YORK VENTURE A	0.00	3.08	0.00	3.08	95.0	2.93
07/02/2018	ROCCA, HELEN	DAVIS NEW YORK VENTURE A	0.00	10.70	0.00	10.70	95.0	10.17
07/02/2018	TSANGANOS, LABRENE	DAVIS NEW YORK VENTURE A	0.00	26.61	0.00	26.61	95.0	25.28
07/02/2018	PESSINA, GAIL	DAVIS NEW YORK VENTURE A	0.00	106.00	0.00	106.00	95.0	100.70
07/02/2018	MASTERSON, ANNA	DAVIS NEW YORK VENTURE A	0.00	0.76	0.00	0.76	95.0	0.72
07/02/2018	DOUTSAS, CHRIS	DAVIS NEW YORK VENTURE A	0.00	26.97	0.00	26.97	95.0	25.62
07/02/2018	REDDEN, TODD	DAVIS NEW YORK VENTURE A	0.00	4.28	0.00	4.28	95.0	4.07

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
07/02/2018	DOUMAS, IRENE	DAVIS NEW YORK VENTURE A	0.00	25.52	0.00	25.52	95.0	24.24
07/02/2018	DANNIS, DIANE	DAVIS NEW YORK VENTURE A	0.00	19.90	0.00	19.90	95.0	18.91
07/02/2018	OVERMYER, SUSAN	DAVIS NEW YORK VENTURE A	0.00	156.45	0.00	156.45	95.0	148.63
07/02/2018	GRUENER, ELEANOR	DAVIS NEW YORK VENTURE A	0.00	93.58	0.00	93.58	95.0	88.90
07/02/2018	DAVIS, JAMES	DAVIS NEW YORK VENTURE A	0.00	26.79	0.00	26.79	95.0	25.45
07/02/2018	KOPRINCE, RYAN	DAVIS NEW YORK VENTURE A	0.00	1.80	0.00	1.80	95.0	1.71
07/02/2018	COMAIANNI, KATHLEEN	DAVIS NEW YORK VENTURE A	0.00	22.77	0.00	22.77	95.0	21.63
07/02/2018	DOUTSAS, MICHAEL	DAVIS NEW YORK VENTURE A	0.00	3.33	0.00	3.33	95.0	3.16
07/02/2018	SUCHER, ADAM	DAVIS NEW YORK VENTURE A	0.00	3.65	0.00	3.65	95.0	3.47
07/02/2018	SCULLY, DOROTHY	DAVIS NEW YORK VENTURE A	0.00	199.46	0.00	199.46	95.0	189.49
07/02/2018	STUDAKER, RICHARD	DAVIS NEW YORK VENTURE A	0.00	70.11	0.00	70.11	95.0	66.60
07/02/2018	POLYZOIS, ELLIE	DAVIS NEW YORK VENTURE A	0.00	55.73	0.00	55.73	95.0	52.94
07/02/2018	PSIHOPEDAS, NICHOLAS	DAVIS NEW YORK VENTURE A	0.00	6.80	0.00	6.80	95.0	6.46
07/02/2018	DOUTSAS, DANNIE	DAVIS NEW YORK VENTURE A	0.00	8.84	0.00	8.84	95.0	8.40
07/02/2018	SELVAGGIO, ANTHONY	DAVIS NEW YORK VENTURE A	0.00	4.52	0.00	4.52	95.0	4.29
07/02/2018	SELVAGGIO, STEVE	DAVIS NEW YORK VENTURE A	0.00	1.72	0.00	1.72	95.0	1.63
07/02/2018	SELVAGGIO, VINCENZA	DAVIS NEW YORK VENTURE A	0.00	0.73	0.00	0.73	95.0	0.69
07/02/2018	PSIHOPEDAS, STAPHANIE	DAVIS NEW YORK VENTURE A	0.00	1.76	0.00	1.76	95.0	1.67
07/02/2018	HATSIOS, DEMETRIUS	DAVIS NEW YORK VENTURE A	0.00	5.00	0.00	5.00	95.0	4.75
07/02/2018	VANDERMEER, SANDRA	DAVIS NEW YORK VENTURE A	0.00	117.55	0.00	117.55	95.0	111.67
07/02/2018	FEINBERG, MARK	DAVIS NEW YORK VENTURE A	0.00	7.93	0.00	7.93	95.0	7.53
07/02/2018	LEMPINEN, DIANE	DAVIS NEW YORK VENTURE A	0.00	144.09	0.00	144.09	95.0	136.89
07/02/2018	SUCHER, ALLIE	DAVIS NEW YORK VENTURE A	0.00	3.42	0.00	3.42	95.0	3.25
07/02/2018	SUCHER, ERIK	DAVIS NEW YORK VENTURE A	0.00	3.42	0.00	3.42	95.0	3.25
07/02/2018	PAPPAS, JOHN	DAVIS NEW YORK VENTURE A	0.00	9.66	0.00	9.66	95.0	9.18
07/02/2018	BOLOGNA, ADAM	DAVIS NEW YORK VENTURE A	0.00	15.15	0.00	15.15	95.0	14.39
07/02/2018	PRATER-MANOR, AMY	DAVIS NEW YORK VENTURE A	0.00	71.71	0.00	71.71	95.0	68.12
07/02/2018	PRATER-MANOR, SARAH	DAVIS NEW YORK VENTURE A	0.00	72.49	0.00	72.49	95.0	68.87
07/02/2018	PESSINA, JOHN	DAVIS NEW YORK VENTURE A	0.00	16.46	0.00	16.46	95.0	15.64
07/02/2018	RICCHIUTI, HERMAN	DAVIS NEW YORK VENTURE A	0.00	93.36	0.00	93.36	95.0	88.69
07/02/2018	OVERMYER, EMILY	DAVIS NEW YORK VENTURE A	0.00	17.71	0.00	17.71	95.0	16.82
07/02/2018	OVERMYER, STEVEN	DAVIS NEW YORK VENTURE A	0.00	58.43	0.00	58.43	95.0	55.51
07/02/2018	PAPPAS, JOHN	DAVIS NEW YORK VENTURE A	0.00	38.13	0.00	38.13	95.0	36.22

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
07/02/2018	YET, BETTY	DAVIS NEW YORK VENTURE A	0.00	156.27	0.00	156.27	95.0	148.46
07/02/2018	GIARRATANO, LAUREN	DAVIS NEW YORK VENTURE A	0.00	1.60	0.00	1.60	95.0	1.52
07/02/2018	ROCCA, JOHN	DAVIS NEW YORK VENTURE A	0.00	2.31	0.00	2.31	95.0	2.19
07/02/2018	POTEMPA TRUST	DAVIS NEW YORK VENTURE A	0.00	23.79	0.00	23.79	95.0	22.60
07/02/2018	KRAUSE, BARBARA	DAVIS NEW YORK VENTURE A	0.00	33.96	0.00	33.96	95.0	32.26
07/02/2018	PISTOLESI, VAUGHN	DAVIS NEW YORK VENTURE B	0.00	8.51	0.00	8.51	95.0	8.08
07/02/2018	PISTOLESI, LEIGH	DAVIS NEW YORK VENTURE B	0.00	0.53	0.00	0.53	95.0	0.50
07/02/2018	MORICI, MICHELLE	DAVIS NEW YORK VENTURE B	0.00	2.49	0.00	2.49	95.0	2.37
07/02/2018	RITTER, WILLIAM	DAVIS NEW YORK VENTURE B	0.00	1.23	0.00	1.23	95.0	1.17
07/02/2018	GARLAND, DAWN	DAVIS NEW YORK VENTURE B	0.00	1.49	0.00	1.49	95.0	1.42
07/02/2018	PISTOLESI, MORGAN	DAVIS NEW YORK VENTURE B	0.00	0.99	0.00	0.99	95.0	0.94
07/02/2018	LIEN, CONNIE	DAVIS NEW YORK VENTURE C	0.00	37.96	0.00	37.96	95.0	36.06
07/02/2018	CISSELL, JOHN	DAVIS NEW YORK VENTURE C	0.00	444.65	0.00	444.65	95.0	422.42
07/02/2018	CISSELL, PATRICIA	DAVIS NEW YORK VENTURE C	0.00	444.65	0.00	444.65	95.0	422.42
07/02/2018	TSANGANOS, OURANIA	DAVIS OPPORTUNITY A	0.00	34.17	0.00	34.17	95.0	32.46
07/02/2018	TSANGANOS, NICHOLAOS	DAVIS OPPORTUNITY A	0.00	34.17	0.00	34.17	95.0	32.46
07/02/2018	CISSELL, JOHN	DAVIS OPPORTUNITY A	0.00	182.85	0.00	182.85	95.0	173.71
07/02/2018	SELVAGGIO, VINCENZA	DAVIS OPPORTUNITY A	0.00	1.23	0.00	1.23	95.0	1.17
07/02/2018	SELVAGGIO, STEVE	DAVIS OPPORTUNITY A	0.00	27.27	0.00	27.27	95.0	25.91
07/02/2018	CIAGLO, BETTY	DAVIS OPPORTUNITY A	0.00	27.04	0.00	27.04	95.0	25.69
07/02/2018	BANKS, VICTORIA	DAVIS OPPORTUNITY A	0.00	19.88	0.00	19.88	95.0	18.89
07/02/2018	PRATER-MANOR, SARAH	DAVIS OPPORTUNITY A	0.00	16.94	0.00	16.94	95.0	16.09
07/02/2018	PRATER-MANOR, AMY	DAVIS OPPORTUNITY A	0.00	18.33	0.00	18.33	95.0	17.41
07/02/2018	ROCCA, HELEN	DAVIS OPPORTUNITY A	0.00	4.63	0.00	4.63	95.0	4.40
07/02/2018	ROCCA, JOHN	DAVIS OPPORTUNITY A	0.00	9.85	0.00	9.85	95.0	9.36
07/02/2018	TSANGANOS, LEONIDAS	DAVIS OPPORTUNITY A	0.00	6.85	0.00	6.85	95.0	6.51
07/02/2018	TSANGANOS, LEONIDAS	DAVIS OPPORTUNITY A	0.00	23.27	0.00	23.27	95.0	22.11
07/02/2018	AMERMAN, LORI	DAVIS OPPORTUNITY A	0.00	3.68	0.00	3.68	95.0	3.50
07/02/2018	ROCCA, HELEN	DAVIS OPPORTUNITY A	0.00	1.06	0.00	1.06	95.0	1.01
07/02/2018	VANDERMEER, BRYON	DAVIS OPPORTUNITY A	0.00	67.72	0.00	67.72	95.0	64.33
07/02/2018	DOUTSAS, DANNIE	DAVIS OPPORTUNITY A	0.00	12.58	0.00	12.58	95.0	11.95
07/02/2018	VANDERMEER, SANDRA	DAVIS OPPORTUNITY A	0.00	12.21	0.00	12.21	95.0	11.60
07/02/2018	SELVAGGIO, VINCENZA	DAVIS REAL ESTATE A	0.00	1.48	0.00	1.48	95.0	1.41

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>DIRECT TRANSACTIONS</u>								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS								
07/02/2018	SELVAGGIO, STEVE	DAVIS REAL ESTATE A	0.00	5.26	0.00	5.26	95.0	5.00
07/02/2018	VARTABEDIAN, ROBERT	DAVIS REAL ESTATE A	0.00	5.97	0.00	5.97	95.0	5.67
07/02/2018	SZETO, CHOWN	DAVIS REAL ESTATE A	0.00	1.32	0.00	1.32	95.0	1.25
07/02/2018	MICHON, ERIK	DAVIS REAL ESTATE A	0.00	2.04	0.00	2.04	95.0	1.94
07/02/2018	ROCCA, HELEN	DAVIS REAL ESTATE A	0.00	0.67	0.00	0.67	95.0	0.64
07/02/2018	ROCCA, JOHN	DAVIS REAL ESTATE A	0.00	2.19	0.00	2.19	95.0	2.08
07/02/2018	SMITH, DENNIS	DAVIS REAL ESTATE A	0.00	4.82	0.00	4.82	95.0	4.58
07/02/2018	MITSOPOULOS, GEORGIA	DAVIS REAL ESTATE A	0.00	3.11	0.00	3.11	95.0	2.95
07/02/2018	DUDZIK, ELZBIETA	DAVIS REAL ESTATE A	0.00	4.40	0.00	4.40	95.0	4.18
07/02/2018	VANDERMEER, SANDRA	DAVIS REAL ESTATE A	0.00	4.68	0.00	4.68	95.0	4.45
06/30/2018	BUSSELL, VARIOUS	DREYFUS	7,820.62	1.61	0.00	1.61	95.0	1.53
06/30/2018	BUSSELL, VARIOUS	DREYFUS	334,816.87	68.80	0.00	68.80	95.0	65.36
06/30/2018	JOHNSON/FLAM, VARIOUS	DREYFUS	2,990.64	6.16	0.00	6.16	95.0	5.85
06/30/2018	CFGROUP, VARIOUS	DREYFUS	59,399.83	12.21	0.00	12.21	95.0	11.60
06/30/2018	CFGROUP, VARIOUS	DREYFUS	7,926.28	1.63	0.00	1.63	95.0	1.55
07/09/2018	DAVIS, LYNN	DWS CORE EQUITY FUND A	0.00	1.17	0.00	1.17	95.0	1.11
07/09/2018	ENDLICH, RICHARD	DWS DEUTSCHE CAPITAL GROWTH FUND-A	0.00	122.88	0.00	122.88	95.0	116.74
07/09/2018	DAVIS, LYNN	DWS DEUTSCHE CAPITAL GROWTH FUND-A	0.00	1.10	0.00	1.10	95.0	1.05
07/09/2018	DAVENPORT, JOHN	DWS DEUTSCHE CORE PLUS INCOME FUND-	0.00	0.02	0.00	0.02	95.0	0.02
07/09/2018	HENDERSON, OSCAR	DWS DEUTSCHE GLOBAL GROWTH FUND-A	0.00	13.77	0.00	13.77	95.0	13.08
07/09/2018	JAGGER, ALBERT	DWS DEUTSCHE HIGH INCOME FUND A	0.00	87.87	0.00	87.87	95.0	83.48
07/09/2018	REVITZER, SANDRA	DWS DEUTSCHE HIGH INCOME FUND A	0.00	52.39	0.00	52.39	95.0	49.77
07/09/2018	ROSS, DAVID	DWS DEUTSCHE HIGH INCOME FUND A	0.00	73.87	0.00	73.87	95.0	70.18
07/09/2018	WARMANN TRUST, WALTER	DWS DEUTSCHE HIGH INCOME FUND A	0.00	28.85	0.00	28.85	95.0	27.41
07/09/2018	ADRAGNA, NICOLE	DWS DEUTSCHE HIGH INCOME FUND A	0.00	2.44	0.00	2.44	95.0	2.32
07/09/2018	CIAGLO, BETTY	DWS DEUTSCHE HIGH INCOME FUND A	0.00	7.15	0.00	7.15	95.0	6.79
07/09/2018	OLWEEAN, ADAM	DWS DEUTSCHE HIGH INCOME FUND A	0.00	33.55	0.00	33.55	95.0	31.87
07/09/2018	HOSLEY, KATHLEEN	DWS DEUTSCHE HIGH INCOME FUND A	0.00	0.62	0.00	0.62	95.0	0.59
07/09/2018	BAKEWELL, RALPH	DWS DEUTSCHE HIGH INCOME FUND A	0.00	11.17	0.00	11.17	95.0	10.61
07/09/2018	WARMANN TRUST, WALTER	DWS DEUTSCHE UNCONSTRAINED INCOME F	0.00	2.25	0.00	2.25	95.0	2.14
07/09/2018	WARMANN TRUST, RUTH	DWS DEUTSCHE UNCONSTRAINED INCOME F	0.00	2.25	0.00	2.25	95.0	2.14
07/09/2018	PATINOS, GLORIA	DWS GLOBAL INCOME BUILDER A	0.00	21.94	0.00	21.94	95.0	20.84
07/09/2018	DOBROTH, THERESA	DWS GLOBAL INCOME BUILDER A	0.00	18.13	0.00	18.13	95.0	17.22

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
07/09/2018	CISSELL, PATRICIA	DWSE HIGH INCOME FUND C	0.00	311.61	0.00	311.61	95.0	296.03
/ /	HOOTNER-JONES, ANN	GLOBAL ALLOCATION FUND	0.00	3.57	0.00	3.57	95.0	3.39
06/30/2018	BURKE, KIMBERLY	GLOBAL ALLOCATION FUND	0.00	6.43	0.00	6.43	95.0	6.11
06/30/2018	YASCH, KEN	GLOBAL ALLOCATION FUND	0.00	0.61	0.00	0.61	95.0	0.58
06/30/2018	COOPER, LISA	GLOBAL ALLOCATION FUND	0.00	3.22	0.00	3.22	95.0	3.06
06/30/2018	MERRITT, GREGORY	GLOBAL ALLOCATION FUND	0.00	2.12	0.00	2.12	95.0	2.01
06/30/2018	COOPER, LISA	GLOBAL ALLOCATION FUND	0.00	3.59	0.00	3.59	95.0	3.41
06/30/2018	YASCH, TONI	GLOBAL ALLOCATION FUND	0.00	0.56	0.00	0.56	95.0	0.53
06/30/2018	KUCHAREK, PAUL	GLOBAL ALLOCATION FUND	0.00	2.50	0.00	2.50	95.0	2.38
06/30/2018	HOOTNER-JONES, ANN	GLOBAL ALLOCATION FUND	0.00	5.31	0.00	5.31	95.0	5.04
06/30/2018	HOOTNER-JONES, ANN	GLOBAL ALLOCATION FUND	0.00	3.57	0.00	3.57	95.0	3.39
/ /	ROCCA, HELEN	HARTFORD CAPITAL APPRECIATION A	0.00	0.70	0.00	0.70	95.0	0.67
/ /	HARTMAN, GREGORY	HARTFORD CAPITAL APPRECIATION A	0.00	2.21	0.00	2.21	95.0	2.10
/ /	GARON-NOWACZYK TRUST, KIM	HARTFORD CAPITAL APPRECIATION C	0.00	5.81	0.00	5.81	95.0	5.52
/ /	COLE, JAMES WILLIAM	HARTFORD DIVIDEND & GROWTH C	0.00	13.61	0.00	13.61	95.0	12.93
/ /	HARTMAN, GREGORY	HARTFORD HEALTHCARE A	0.00	0.87	0.00	0.87	95.0	0.83
/ /	RUFFINO, ERNESTINE	HARTFORD HEALTHCARE A	0.00	18.76	0.00	18.76	95.0	17.82
/ /	GARON-NOWACZYK TRUST, KIM	HARTFORD HEALTHCARE C	0.00	5.30	0.00	5.30	95.0	5.04
/ /	HARTMAN, GREGORY	HARTFORD MIDCAP A	0.00	2.40	0.00	2.40	95.0	2.28
/ /	GARON-NOWACZYK TRUST, KIM	HARTFORD MIDCAP C	0.00	5.32	0.00	5.32	95.0	5.05
/ /	HARTMAN, GREGORY	HARTFORD MIDCAP VALUE A	0.00	0.01	0.00	0.01	95.0	0.01
/ /	HARTMAN, GREGORY	HARTFORD SCHRDRS US SM MD CAP OPP-A	0.00	1.35	0.00	1.35	95.0	1.28
/ /	HARTMAN, GREGORY	HARTFORD SMALLCAP GROWTH A	0.00	4.58	0.00	4.58	95.0	4.35
/ /	HARTMAN, GREGORY	HARTFUND EQUITY INCIME FUND A	0.00	1.94	0.00	1.94	95.0	1.84
07/01/2018	SABOL, NICHOLAS	INVESCO AMERICAN FRANCHISE A	0.00	4.22	0.00	4.22	95.0	4.01
07/01/2018	WATSON, WILLIAM	INVESCO AMERICAN FRANCHISE A	0.00	15.22	0.00	15.22	95.0	14.46
07/01/2018	HENDERSON JT TEN, CAROLYN	INVESCO AMERICAN FRANCHISE A	0.00	3.02	0.00	3.02	95.0	2.87
07/01/2018	SABOL, MAXWELLA	INVESCO AMERICAN FRANCHISE A	0.00	16.42	0.00	16.42	95.0	15.60
07/01/2018	PELC TOD ACCOUNT, RODERICK	INVESCO AMERICAN FRANCHISE A	0.00	0.72	0.00	0.72	95.0	0.68
07/01/2018	DANDRON, JAY	INVESCO AMERICAN FRANCHISE A	0.00	5.48	0.00	5.48	95.0	5.21
07/01/2018	MOYER-GUSE, EMILY	INVESCO AMERICAN FRANCHISE A	0.00	7.11	0.00	7.11	95.0	6.75
07/01/2018	VANDAELE, JENNIFER	INVESCO AMERICAN FRANCHISE A	0.00	1.00	0.00	1.00	95.0	0.95
07/01/2018	VAN DAELE, JILLIAN	INVESCO AMERICAN FRANCHISE A	0.00	0.40	0.00	0.40	95.0	0.38

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
07/01/2018	VAN DAELE, JANE	INVESCO AMERICAN FRANCHISE A	0.00	0.16	0.00	0.16	95.0	0.15
07/01/2018	GRUBER, ALYSSA	INVESCO AMERICAN FRANCHISE A	0.00	0.48	0.00	0.48	95.0	0.46
07/01/2018	SCHROETER, RICHARD	INVESCO AMERICAN FRANCHISE A	0.00	1.06	0.00	1.06	95.0	1.01
07/01/2018	SALLEY, MATTHEW	INVESCO AMERICAN FRANCHISE A	0.00	0.48	0.00	0.48	95.0	0.46
07/01/2018	SALLEY, TERENCE	INVESCO AMERICAN FRANCHISE A	0.00	0.31	0.00	0.31	95.0	0.29
07/01/2018	ELBERT UTMA/MI, NICHOLAS	INVESCO AMERICAN FRANCHISE A	0.00	0.54	0.00	0.54	95.0	0.51
07/01/2018	MCINTYRE, SCOTT	INVESCO AMERICAN FRANCHISE A	0.00	0.19	0.00	0.19	95.0	0.18
07/01/2018	NOWACKI, MICHAEL	INVESCO AMERICAN FRANCHISE A	0.00	1.34	0.00	1.34	95.0	1.27
07/01/2018	WILLIAMS, PAUL	INVESCO AMERICAN FRANCHISE A	0.00	1.98	0.00	1.98	95.0	1.88
07/01/2018	SCHROETER, MARY	INVESCO AMERICAN FRANCHISE A	0.00	1.06	0.00	1.06	95.0	1.01
07/01/2018	MCINTYRE, SCOTT	INVESCO AMERICAN FRANCHISE A	0.00	0.15	0.00	0.15	95.0	0.14
07/01/2018	BUTLER, PAUL	INVESCO AMERICAN FRANCHISE A	0.00	1.85	0.00	1.85	95.0	1.76
07/01/2018	GILLESPIE, SCOTT	INVESCO AMERICAN FRANCHISE A	0.00	0.16	0.00	0.16	95.0	0.15
07/01/2018	KOWAL UGMA/MI, ALEXANDER	INVESCO AMERICAN FRANCHISE A	0.00	21.02	0.00	21.02	95.0	19.97
07/01/2018	MARSH/SEP, GARY	INVESCO AMERICAN FRANCHISE A	0.00	9.20	0.00	9.20	95.0	8.74
07/01/2018	JOHNSON, DANIEL	INVESCO AMERICAN FRANCHISE A	0.00	0.36	0.00	0.36	95.0	0.34
07/01/2018	O'BRIEN, AMY	INVESCO AMERICAN FRANCHISE A	0.00	4.76	0.00	4.76	95.0	4.52
07/01/2018	JARZEBOSKI, DIANE	INVESCO AMERICAN FRANCHISE A	0.00	2.39	0.00	2.39	95.0	2.27
07/01/2018	BERGLUND, KRIS	INVESCO AMERICAN FRANCHISE A	0.00	2.90	0.00	2.90	95.0	2.76
07/01/2018	SALLEY, TERENCE	INVESCO ASIA PACIFIC GROWTH A	0.00	0.67	0.00	0.67	95.0	0.64
07/01/2018	MCINTYRE, SCOTT	INVESCO ASIA PACIFIC GROWTH A	0.00	0.06	0.00	0.06	95.0	0.06
07/01/2018	ELBERT UTMA/MI, NATHANIEL	INVESCO ASIA PACIFIC GROWTH A	0.00	1.40	0.00	1.40	95.0	1.33
07/01/2018	PRZYBYLOWICZ, NORBERT	INVESCO ASIA PACIFIC GROWTH A	0.00	4.60	0.00	4.60	95.0	4.37
07/01/2018	HARRINGTON, KAY	INVESCO ASIA PACIFIC GROWTH A	0.00	4.74	0.00	4.74	95.0	4.50
07/01/2018	WOLAK SEP, SHARON	INVESCO ASIA PACIFIC GROWTH A	0.00	2.98	0.00	2.98	95.0	2.83
07/01/2018	SHEARIN, APRIL	INVESCO CHARTER FUND A	0.00	13.35	0.00	13.35	95.0	12.68
07/01/2018	KRENGEL, KATHERINE	INVESCO CHARTER FUND A	0.00	4.82	0.00	4.82	95.0	4.58
07/01/2018	NEIKO SFERRO UTMA/FL, DOMINIC	INVESCO CHARTER FUND A	0.00	12.81	0.00	12.81	95.0	12.17
07/01/2018	DANDRON, JAY	INVESCO CHARTER FUND A	0.00	18.60	0.00	18.60	95.0	17.67
07/01/2018	RAYMOND O'CONNOR UGMA/MI,	INVESCO CHARTER FUND A	0.00	2.38	0.00	2.38	95.0	2.26
07/01/2018	CRONENWETT, JULIE	INVESCO CHARTER FUND A	0.00	2.30	0.00	2.30	95.0	2.19
07/01/2018	SHERMAN, SCOTT	INVESCO CHARTER FUND A	0.00	3.02	0.00	3.02	95.0	2.87
07/01/2018	SMYTH, DAVID	INVESCO CHARTER FUND A	0.00	7.41	0.00	7.41	95.0	7.04

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
07/01/2018	SALLEY, TERENCE	INVESCO CHARTER FUND A	0.00	0.14	0.00	0.14	95.0	0.13
07/01/2018	ROCK ST PIERRE UGMA/MI,	INVESCO CHARTER FUND A	0.00	0.17	0.00	0.17	95.0	0.16
07/01/2018	DAIZA, PHILLIP	INVESCO CHARTER FUND A	0.00	14.15	0.00	14.15	95.0	13.44
07/01/2018	MCINTYRE, SCOTT	INVESCO CHARTER FUND A	0.00	0.03	0.00	0.03	95.0	0.03
07/01/2018	ANN GERMAIN UGMA/MI, ALISON	INVESCO CHARTER FUND A	0.00	4.42	0.00	4.42	95.0	4.20
07/01/2018	WILLIAMS, PAUL	INVESCO CHARTER FUND A	0.00	0.83	0.00	0.83	95.0	0.79
07/01/2018	SALLEY UGMA/MI, NATHAN	INVESCO CHARTER FUND A	0.00	1.65	0.00	1.65	95.0	1.57
07/01/2018	LECIK, TONIA	INVESCO CHARTER FUND A	0.00	0.12	0.00	0.12	95.0	0.11
07/01/2018	MEWHINNEY, BARBARA	INVESCO CHARTER FUND A	0.00	8.00	0.00	8.00	95.0	7.60
07/01/2018	SANGMEISTER, GINA	INVESCO CHARTER FUND A	0.00	0.74	0.00	0.74	95.0	0.70
07/01/2018	WEAVER, TAMMY	INVESCO CHARTER FUND A	0.00	7.15	0.00	7.15	95.0	6.79
07/01/2018	BUCKINGHAM MIN, GEORGE	INVESCO CHARTER FUND A	0.00	0.14	0.00	0.14	95.0	0.13
07/01/2018	O'BRIEN, AMY	INVESCO CHARTER FUND A	0.00	6.08	0.00	6.08	95.0	5.78
07/01/2018	JOSEPH SUCHER UGMA/MI, ADAM	INVESCO CHARTER FUND A	0.00	1.53	0.00	1.53	95.0	1.45
07/01/2018	DAIZA, PHILLIP	INVESCO CHARTER FUND C	0.00	13.15	0.00	13.15	95.0	12.49
07/01/2018	HENDERSON JT TEN, CAROLYN	INVESCO CONVERTIBLE SECURITIES A	0.00	2.71	0.00	2.71	95.0	2.57
07/01/2018	HENDERSON, OSCAR	INVESCO CONVERTIBLE SECURITIES A	0.00	19.96	0.00	19.96	95.0	18.96
07/01/2018	PELC TOD ACCOUNT, RODERICK	INVESCO CORPORATE BOND A	0.00	1.59	0.00	1.59	95.0	1.51
07/01/2018	VAN DAELE, JACOB	INVESCO DEVELOPING MARKETS A	0.00	0.64	0.00	0.64	95.0	0.61
07/01/2018	MCINTYRE, SCOTT	INVESCO DEVELOPING MARKETS A	0.00	0.05	0.00	0.05	95.0	0.05
07/01/2018	MCINTYRE, SCOTT	INVESCO EUROPEAN GROWTH FUND A	0.00	0.06	0.00	0.06	95.0	0.06
07/01/2018	SOUTHWORTH, STEPHANIE	INVESCO EUROPEAN GROWTH FUND A	0.00	0.44	0.00	0.44	95.0	0.42
07/01/2018	LEE, LESLIE	INVESCO EUROPEAN GROWTH FUND A	0.00	1.29	0.00	1.29	95.0	1.23
07/01/2018	WASHINGTON, PAULA	INVESCO EUROPEAN GROWTH FUND A	0.00	3.08	0.00	3.08	95.0	2.93
07/01/2018	VANDAELE, JENNIFER	INVESCO EUROPEAN SMALL COMPANY A	0.00	0.76	0.00	0.76	95.0	0.72
07/01/2018	VAN DAELE, JILLIAN	INVESCO EUROPEAN SMALL COMPANY A	0.00	1.19	0.00	1.19	95.0	1.13
07/01/2018	VAN DAELE UGMA/MI, JANE	INVESCO GBL SMALL & MID CAP GROWTH	0.00	1.09	0.00	1.09	95.0	1.04
07/01/2018	VAN DAELE, JENNA	INVESCO GBL SMALL & MID CAP GROWTH	0.00	0.67	0.00	0.67	95.0	0.64
07/01/2018	ELBERT UTMA/MI, NICHOLAS	INVESCO GBL SMALL & MID CAP GROWTH	0.00	0.68	0.00	0.68	95.0	0.65
07/01/2018	FISHER, NATHAN	INVESCO GBL SMALL & MID CAP GROWTH	0.00	7.64	0.00	7.64	95.0	7.26
07/01/2018	JOHNSON, DANIEL	INVESCO GBL SMALL & MID CAP GROWTH	0.00	0.75	0.00	0.75	95.0	0.71
07/01/2018	PELC TOD ACCOUNT, RODERICK	INVESCO GLOBAL GROWTH A	0.00	1.32	0.00	1.32	95.0	1.25
07/01/2018	VANDAELE, JENNIFER	INVESCO GLOBAL HEALTH CARE A	0.00	0.56	0.00	0.56	95.0	0.53

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
07/01/2018	VAN DAELE, JANE	INVESCO GLOBAL HEALTH CARE A	0.00	0.45	0.00	0.45	95.0	0.43
07/01/2018	HARRINGTON, KAY	INVESCO GLOBAL HEALTH CARE A	0.00	2.75	0.00	2.75	95.0	2.61
07/01/2018	MANKO, MARGARET	INVESCO HIGH YIELD FUND A	0.00	5.93	0.00	5.93	95.0	5.63
07/01/2018	COOPER, BENNETT	INVESCO MIDCAP GROWTH A	0.00	1.88	0.00	1.88	95.0	1.79
07/01/2018	COOPER, MADISON	INVESCO MIDCAP GROWTH A	0.00	2.30	0.00	2.30	95.0	2.19
07/01/2018	SCHROETER, RICHARD	INVESCO MIDCAP GROWTH A	0.00	1.15	0.00	1.15	95.0	1.09
07/01/2018	PALAZZOLO UTMA/MI, JULIA	INVESCO MIDCAP GROWTH A	0.00	2.04	0.00	2.04	95.0	1.94
07/01/2018	ELBERT UTMA/MI, NATHANIEL	INVESCO MIDCAP GROWTH A	0.00	0.96	0.00	0.96	95.0	0.91
07/01/2018	SCHROETER, MARY	INVESCO MIDCAP GROWTH A	0.00	1.15	0.00	1.15	95.0	1.09
07/01/2018	DUDZIK, ELZBIETA	INVESCO SENIOR LOAN FUND IB	0.00	33.47	0.00	33.47	95.0	31.80
07/01/2018	CEBALT, THOMAS	INVESCO SMALL CAP EQUITY A	0.00	0.06	0.00	0.06	95.0	0.06
07/01/2018	PELC TOD ACCOUNT, RODERICK	INVESCO TECHNOLOGY A	0.00	1.45	0.00	1.45	95.0	1.38
07/01/2018	VAN DAELE, JACOB	INVESCO TECHNOLOGY A	0.00	0.33	0.00	0.33	95.0	0.31
07/01/2018	CRONENWETT, JULIE	INVESCO TECHNOLOGY A	0.00	0.38	0.00	0.38	95.0	0.36
07/01/2018	WILSON, GARRETT	INVESCO TECHNOLOGY A	0.00	12.51	0.00	12.51	95.0	11.88
07/01/2018	ELBERT UTMA/MI, NICHOLAS	INVESCO TECHNOLOGY A	0.00	0.13	0.00	0.13	95.0	0.12
07/01/2018	SEMKE, DEANNA	INVESCO TECHNOLOGY A	0.00	0.20	0.00	0.20	95.0	0.19
07/01/2018	ELBERT UTMA/MI, NATHANIEL	INVESCO TECHNOLOGY A	0.00	0.13	0.00	0.13	95.0	0.12
07/01/2018	JOHNSON, DANIEL	INVESCO TECHNOLOGY A	0.00	0.51	0.00	0.51	95.0	0.48
07/01/2018	NIXON, NORMA	INVESCO TECHNOLOGY A	0.00	4.58	0.00	4.58	95.0	4.35
07/01/2018	CELANI TRUST, VINCENZO	INVESCO US GOVT A	0.00	8.04	0.00	8.04	95.0	7.64
07/01/2018	MOORE, FRED	INVESCO US GOVT A	0.00	36.69	0.00	36.69	95.0	34.86
07/01/2018	WATSON, WILLIAM	INVESCO US GOVT A	0.00	4.97	0.00	4.97	95.0	4.72
07/16/2018	LAI, MICHAEL	JH FINANCIAL INDUSTRIES A	0.00	1.28	0.00	1.28	95.0	1.22
07/16/2018	MALINAK, FRANCES	JH FINANCIAL INDUSTRIES A	0.00	7.29	0.00	7.29	95.0	6.93
07/16/2018	BOHACEK, STEVE	JH LARGE CAP EQUITY A	0.00	7.11	0.00	7.11	95.0	6.75
07/16/2018	RACK, ROBERT	JH LARGE CAP EQUITY A	0.00	6.15	0.00	6.15	95.0	5.84
07/16/2018	ENGLEBERT, JAMES	JH REGIONAL BANK A	0.00	5.43	0.00	5.43	95.0	5.16
07/16/2018	HELTSLEY, MARTHA	JH REGIONAL BANK A	0.00	2.10	0.00	2.10	95.0	2.00
07/16/2018	BOZELKA, KEVIN	JH REGIONAL BANK A	0.00	2.16	0.00	2.16	95.0	2.05
07/16/2018	JAHNKE, DENNIS	JH REGIONAL BANK A	0.00	5.08	0.00	5.08	95.0	4.83
07/16/2018	EIS (MINOR), MARGO	JH STRATEGIC GROWTH A	0.00	0.52	0.00	0.52	95.0	0.49
07/01/2018	BLACKBURN, GLORIA	MFS AGGRESSIVE GROWTH ALLOCATION A	0.00	2.01	0.00	2.01	95.0	1.91

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
07/01/2018	CHIDSEY, CYNTHIA	MFS AGGRESSIVE GROWTH ALLOCATION A	0.00	2.52	0.00	2.52	95.0	2.39
07/01/2018	CHIDSEY, DARRYL	MFS AGGRESSIVE GROWTH ALLOCATION C	0.00	3.15	0.00	3.15	95.0	2.99
07/01/2018	MARVIN, SAMANTHA	MFS CORE EQUITY A	0.00	1.36	0.00	1.36	95.0	1.29
07/01/2018	AUMAN, ABBY G M	MFS CORE EQUITY A	0.00	1.39	0.00	1.39	95.0	1.32
07/01/2018	MELLERT, BETH	MFS CORE EQUITY A	0.00	2.79	0.00	2.79	95.0	2.65
07/01/2018	BLACKBURN, W ALLEN	MFS CORE EQUITY A	0.00	1.30	0.00	1.30	95.0	1.24
07/01/2018	MELLERT, BETH	MFS CORE EQUITY C	0.00	3.45	0.00	3.45	95.0	3.28
07/01/2018	BLACKBURN, W ALLEN	MFS CORE EQUITY C	0.00	1.61	0.00	1.61	95.0	1.53
07/01/2018	MUNTEANU, RADU	MFS EMERGING MARKETS EQUITY A	0.00	14.77	0.00	14.77	95.0	14.03
07/01/2018	AUMAN, ABBY G M	MFS GLOBAL GROWTH A	0.00	1.67	0.00	1.67	95.0	1.59
07/01/2018	HOWARD, ANNE	MFS GROWTH A	0.00	14.27	0.00	14.27	95.0	13.56
07/01/2018	WRIGHT, JAMES	MFS GROWTH A	0.00	1.70	0.00	1.70	95.0	1.62
07/01/2018	O'CONNOR, CYNTHIA	MFS GROWTH A	0.00	3.91	0.00	3.91	95.0	3.71
07/01/2018	MARVIN, SAMANTHA	MFS GROWTH A	0.00	2.73	0.00	2.73	95.0	2.59
07/01/2018	AUMAN, ABBY G M	MFS GROWTH A	0.00	2.70	0.00	2.70	95.0	2.57
07/01/2018	MELLERT, BETH	MFS GROWTH A	0.00	2.63	0.00	2.63	95.0	2.50
07/01/2018	BLACKBURN, W ALLEN	MFS GROWTH A	0.00	1.17	0.00	1.17	95.0	1.11
07/01/2018	WEIDRICK, RUSSELL	MFS GROWTH A	0.00	2.23	0.00	2.23	95.0	2.12
07/01/2018	RITTER, KYLE	MFS GROWTH A	0.00	1.59	0.00	1.59	95.0	1.51
07/01/2018	MELLERT, BETH	MFS GROWTH C	0.00	3.20	0.00	3.20	95.0	3.04
07/01/2018	BLACKBURN, W ALLEN	MFS GROWTH C	0.00	1.42	0.00	1.42	95.0	1.35
07/01/2018	WEIDRICK, RUSSELL	MFS GROWTH C	0.00	2.72	0.00	2.72	95.0	2.58
07/01/2018	LLOYD, HEATHER	MFS HIGH INCOME A	0.00	1.67	0.00	1.67	95.0	1.59
07/01/2018	PASEK, KEVIN	MFS MASS INVESTORS GROWTH STOCK A	0.00	1.63	0.00	1.63	95.0	1.55
07/01/2018	MELLERT, BETH	MFS MASS INVESTORS GROWTH STOCK A	0.00	2.91	0.00	2.91	95.0	2.76
07/01/2018	BLACKBURN, W ALLEN	MFS MASS INVESTORS GROWTH STOCK A	0.00	1.30	0.00	1.30	95.0	1.24
07/01/2018	PASEK, CHRISTINE	MFS MASS INVESTORS GROWTH STOCK A	0.00	0.60	0.00	0.60	95.0	0.57
07/01/2018	PASEK, CHRISTINE	MFS MASS INVESTORS GROWTH STOCK A	0.00	5.53	0.00	5.53	95.0	5.25
07/01/2018	CHESNEY TRUST, CHRISTINE	MFS MASS INVESTORS GROWTH STOCK A	0.00	1.12	0.00	1.12	95.0	1.06
07/01/2018	MELLERT, BETH	MFS MASS INVESTORS GROWTH STOCK C	0.00	3.62	0.00	3.62	95.0	3.44
07/01/2018	BLACKBURN, W ALLEN	MFS MASS INVESTORS GROWTH STOCK C	0.00	1.61	0.00	1.61	95.0	1.53
07/01/2018	RITTER, KYLE	MFS MASS INVESTORS TRUST A	0.00	1.15	0.00	1.15	95.0	1.09
07/01/2018	MELLERT, BETH	MFS MIDCAP GROWTH A	0.00	2.06	0.00	2.06	95.0	1.96

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
07/01/2018	BLACKBURN, W ALLEN	MFS MIDCAP GROWTH A	0.00	0.91	0.00	0.91	95.0	0.86
07/01/2018	MELLERT, BETH	MFS MIDCAP GROWTH C	0.00	2.52	0.00	2.52	95.0	2.39
07/01/2018	BLACKBURN, W ALLEN	MFS MIDCAP GROWTH C	0.00	1.10	0.00	1.10	95.0	1.05
07/01/2018	ENDRESS, ROBERT	MFS MUNICIPAL INCOME A	0.00	12.97	0.00	12.97	95.0	12.32
07/01/2018	WEIDRICK, RUSSELL	MFS NEW DISCOVERY A	0.00	2.35	0.00	2.35	95.0	2.23
07/01/2018	WEIDRICK, RUSSELL	MFS NEW DISCOVERY C	0.00	2.79	0.00	2.79	95.0	2.65
07/01/2018	HOWARD, ANNE	MFS RESEARCH A	0.00	12.54	0.00	12.54	95.0	11.91
07/01/2018	LAI, DOROTHY	MFS RESEARCH A	0.00	12.24	0.00	12.24	95.0	11.63
07/01/2018	WRIGHT, JAMES	MFS RESEARCH A	0.00	3.22	0.00	3.22	95.0	3.06
07/01/2018	ZYREK, THOMAS	MFS RESEARCH A	0.00	9.09	0.00	9.09	95.0	8.64
07/01/2018	ENDRESS, ROBERT	MFS RESEARCH A	0.00	51.79	0.00	51.79	95.0	49.20
07/01/2018	RITTER, KYLE	MFS RESEARCH A	0.00	0.48	0.00	0.48	95.0	0.46
07/01/2018	MARVIN, SAMANTHA	MFS RESEARCH INTL A	0.00	1.40	0.00	1.40	95.0	1.33
07/01/2018	MELLERT, BETH	MFS RESEARCH INTL A	0.00	2.93	0.00	2.93	95.0	2.78
07/01/2018	BLACKBURN, W ALLEN	MFS RESEARCH INTL A	0.00	1.40	0.00	1.40	95.0	1.33
07/01/2018	MELLERT, BETH	MFS RESEARCH INTL C	0.00	3.74	0.00	3.74	95.0	3.55
07/01/2018	BLACKBURN, W ALLEN	MFS RESEARCH INTL C	0.00	1.78	0.00	1.78	95.0	1.69
07/01/2018	MELLIS, STEVEN	MFS TOTAL RETURN A	0.00	4.97	0.00	4.97	95.0	4.72
07/01/2018	SARKISIAN, NORAY	MFS TOTAL RETURN A	0.00	15.09	0.00	15.09	95.0	14.34
07/01/2018	KING, VICTORIA	MFS TOTAL RETURN A	0.00	50.95	0.00	50.95	95.0	48.40
07/01/2018	MELLIS, STEVEN	MFS VALUE A	0.00	6.17	0.00	6.17	95.0	5.86
/ /	KOSANKE, LORI	OPPENHEIMER CAPITAL APPRECIATION A	0.00	5.27	0.00	5.27	95.0	5.01
/ /	HOLT, DEBBIE	OPPENHEIMER CAPITAL APPRECIATION A	0.00	73.06	0.00	73.06	95.0	69.41
/ /	KRAYDICH, KELLIE	OPPENHEIMER CAPITAL APPRECIATION A	0.00	1.01	0.00	1.01	95.0	0.96
/ /	TRINH, CHRISTINE	OPPENHEIMER CAPITAL APPRECIATION A	0.00	2.91	0.00	2.91	95.0	2.76
/ /	LEPPEK, JUDITH	OPPENHEIMER CAPITAL APPRECIATION A	0.00	17.00	0.00	17.00	95.0	16.15
/ /	KEECH, SCOTT	OPPENHEIMER CAPITAL APPRECIATION A	0.00	10.59	0.00	10.59	95.0	10.06
/ /	KOSANKE, MARK	OPPENHEIMER CAPITAL APPRECIATION A	0.00	8.73	0.00	8.73	95.0	8.29
/ /	SOLDAN, JULIE	OPPENHEIMER CAPITAL APPRECIATION A	0.00	15.37	0.00	15.37	95.0	14.60
/ /	RUFFIN, JOHN	OPPENHEIMER CAPITAL APPRECIATION A	0.00	15.68	0.00	15.68	95.0	14.90
/ /	NEUER-MIHALAK, LORIE	OPPENHEIMER CAPITAL APPRECIATION A	0.00	4.23	0.00	4.23	95.0	4.02
/ /	CAPWELL, MARK	OPPENHEIMER CAPITAL APPRECIATION A	0.00	13.16	0.00	13.16	95.0	12.50
/ /	TAKACS, RYAN	OPPENHEIMER CAPITAL APPRECIATION A	0.00	4.82	0.00	4.82	95.0	4.58

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
/ /	HICKS, MELISSA	OPPENHEIMER CAPITAL APPRECIATION A	0.00	0.13	0.00	0.13	95.0	0.12
/ /	BUTLER, SANDRA	OPPENHEIMER CAPITAL APPRECIATION A	0.00	0.02	0.00	0.02	95.0	0.02
/ /	BAKER, STEVEN	OPPENHEIMER CAPITAL APPRECIATION A	0.00	1.66	0.00	1.66	95.0	1.58
/ /	JOUPPI, SHARON	OPPENHEIMER CAPITAL APPRECIATION A	0.00	18.66	0.00	18.66	95.0	17.73
/ /	HICKS, MELISSA	OPPENHEIMER CAPITAL APPRECIATION B	0.00	0.01	0.00	0.01	95.0	0.01
/ /	BAKER, STEVEN	OPPENHEIMER CAPITAL APPRECIATION B	0.00	0.03	0.00	0.03	95.0	0.03
/ /	GALLAS, MICHAEL	OPPENHEIMER CAPITAL APPRECIATION C	0.00	15.22	0.00	15.22	95.0	14.46
/ /	RENTROP, GARRETT	OPPENHEIMER CAPITAL APPRECIATION C	0.00	25.53	0.00	25.53	95.0	24.25
/ /	DITRI, ANN	OPPENHEIMER CAPITAL APPRECIATION C	0.00	10.67	0.00	10.67	95.0	10.14
/ /	DINKA, JOHN	OPPENHEIMER CAPITAL APPRECIATION C	0.00	136.30	0.00	136.30	95.0	129.49
/ /	HICKS, MELISSA	OPPENHEIMER CAPITAL APPRECIATION C	0.00	5.74	0.00	5.74	95.0	5.45
/ /	BAKER, STEVEN	OPPENHEIMER CAPITAL APPRECIATION C	0.00	24.70	0.00	24.70	95.0	23.47
/ /	HENRY, JACQUELINE	OPPENHEIMER CAPITAL APPRECIATION C	0.00	5.29	0.00	5.29	95.0	5.03
/ /	KOGUT, MONICA	OPPENHEIMER CAPITAL APPRECIATION C	0.00	3.54	0.00	3.54	95.0	3.36
/ /	ELIAS, JANICE	OPPENHEIMER CAPITAL APPRECIATION C	0.00	0.02	0.00	0.02	95.0	0.02
/ /	HOWEY, JESSICA	OPPENHEIMER CAPITAL APPRECIATION C	0.00	0.42	0.00	0.42	95.0	0.40
/ /	KRAYDICH, KELLIE	OPPENHEIMER CAPITAL INCOME A	0.00	0.95	0.00	0.95	95.0	0.90
/ /	LEPPEK, JUDITH	OPPENHEIMER CAPITAL INCOME A	0.00	11.57	0.00	11.57	95.0	10.99
/ /	BOYD, SONYA	OPPENHEIMER DISCOVERY A	0.00	1.06	0.00	1.06	95.0	1.01
/ /	KEECH, SCOTT	OPPENHEIMER DISCOVERY A	0.00	4.55	0.00	4.55	95.0	4.32
/ /	KOLDERMAN, ETHAN	OPPENHEIMER DISCOVERY A	0.00	5.01	0.00	5.01	95.0	4.76
/ /	KOLDERMAN, NATHAN	OPPENHEIMER DISCOVERY A	0.00	5.73	0.00	5.73	95.0	5.44
/ /	LABAZA, LYNN	OPPENHEIMER DISCOVERY A	0.00	6.11	0.00	6.11	95.0	5.80
/ /	LABAZA, JOHN	OPPENHEIMER DISCOVERY A	0.00	6.11	0.00	6.11	95.0	5.80
/ /	KOSANKE, MARK	OPPENHEIMER DISCOVERY A	0.00	8.79	0.00	8.79	95.0	8.35
/ /	LABAZA, LYNN	OPPENHEIMER DISCOVERY C	0.00	100.81	0.00	100.81	95.0	95.77
/ /	LABAZA, JOHN	OPPENHEIMER DISCOVERY C	0.00	100.81	0.00	100.81	95.0	95.77
/ /	DAMORE, MONICA	OPPENHEIMER DISCOVERY C	0.00	49.66	0.00	49.66	95.0	47.18
/ /	KOSANKE, LORI	OPPENHEIMER EQUITY INCOME A	0.00	4.92	0.00	4.92	95.0	4.67
/ /	POOLEY, TATIANA	OPPENHEIMER EQUITY INCOME A	0.00	0.04	0.00	0.04	95.0	0.04
/ /	GOLD, LORNE	OPPENHEIMER EQUITY INCOME A	0.00	5.41	0.00	5.41	95.0	5.14
/ /	KOGUT, MONICA	OPPENHEIMER EQUITY INCOME C	0.00	3.06	0.00	3.06	95.0	2.91
/ /	HOWEY, JESSICA	OPPENHEIMER EQUITY INCOME C	0.00	0.48	0.00	0.48	95.0	0.46

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<u>DIRECT TRANSACTIONS</u>								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS								
/ /	SMOLAREK, CHERYL	OPPENHEIMER EQUITY INVESTOR B	0.00	0.08	0.00	0.08	95.0	0.08
/ /	PURCELL, JOSHUA	OPPENHEIMER GLOBAL A	0.00	0.65	0.00	0.65	95.0	0.62
/ /	ROSENBERG, MARCY	OPPENHEIMER GLOBAL A	0.00	16.74	0.00	16.74	95.0	15.90
/ /	GOLD, LORNE	OPPENHEIMER GLOBAL A	0.00	8.09	0.00	8.09	95.0	7.69
/ /	STIRSMAN, MATTHEW	OPPENHEIMER GLOBAL A	0.00	23.60	0.00	23.60	95.0	22.42
/ /	TAKACS, RYAN	OPPENHEIMER GLOBAL A	0.00	4.98	0.00	4.98	95.0	4.73
/ /	CRANDALL, MEGAN	OPPENHEIMER GLOBAL ALLOCATION A	0.00	0.09	0.00	0.09	95.0	0.09
/ /	SOLDAN, JULIE	OPPENHEIMER GLOBAL ALLOCATION A	0.00	10.32	0.00	10.32	95.0	9.80
/ /	MICHAELS, CHRISTINA	OPPENHEIMER GLOBAL ALLOCATION A	0.00	4.12	0.00	4.12	95.0	3.91
/ /	DITRI, ANN	OPPENHEIMER GLOBAL C	0.00	11.32	0.00	11.32	95.0	10.75
/ /	HENRY, JACQUELINE	OPPENHEIMER GLOBAL C	0.00	5.14	0.00	5.14	95.0	4.88
/ /	KOSANKE, LORI	OPPENHEIMER GLOBAL OPPORTUNITIES A	0.00	4.89	0.00	4.89	95.0	4.65
/ /	KOSANKE, MARK	OPPENHEIMER GLOBAL OPPORTUNITIES A	0.00	10.15	0.00	10.15	95.0	9.64
/ /	MIKLEVICH, MICHAEL	OPPENHEIMER GLOBAL OPPORTUNITIES A	0.00	25.52	0.00	25.52	95.0	24.24
/ /	ZYREK, DARLENE	OPPENHEIMER GLOBAL OPPORTUNITIES A	0.00	66.86	0.00	66.86	95.0	63.52
/ /	MERRITT, MARY LOU	OPPENHEIMER GLOBAL OPPORTUNITIES A	0.00	21.69	0.00	21.69	95.0	20.61
/ /	MCCOLLEY, SHEA	OPPENHEIMER GLOBAL OPPORTUNITIES A	0.00	0.27	0.00	0.27	95.0	0.26
/ /	DINKA, CATHERINE	OPPENHEIMER GLOBAL OPPORTUNITIES A	0.00	5.25	0.00	5.25	95.0	4.99
/ /	TRINH, CHRISTINE	OPPENHEIMER GLOBAL OPPORTUNITIES A	0.00	3.73	0.00	3.73	95.0	3.54
/ /	FERRARI, JACQUELINE	OPPENHEIMER GLOBAL OPPORTUNITIES A	0.00	7.62	0.00	7.62	95.0	7.24
/ /	NEUER-MIHALAK, LORIE	OPPENHEIMER GLOBAL OPPORTUNITIES A	0.00	9.93	0.00	9.93	95.0	9.43
/ /	CAPWELL, MARK	OPPENHEIMER GLOBAL OPPORTUNITIES A	0.00	22.43	0.00	22.43	95.0	21.31
/ /	DEW, DESIREE	OPPENHEIMER GLOBAL OPPORTUNITIES A	0.00	22.50	0.00	22.50	95.0	21.38
/ /	SCHULTZ, DEBRA	OPPENHEIMER GLOBAL OPPORTUNITIES A	0.00	20.64	0.00	20.64	95.0	19.61
/ /	TRBOVICH, HEATHER	OPPENHEIMER GLOBAL OPPORTUNITIES A	0.00	2.97	0.00	2.97	95.0	2.82
/ /	HOWEY, JESSICA	OPPENHEIMER GLOBAL OPPORTUNITIES A	0.00	1.07	0.00	1.07	95.0	1.02
/ /	SMITH, ASHLEY	OPPENHEIMER GLOBAL OPPORTUNITIES A	0.00	0.49	0.00	0.49	95.0	0.47
/ /	TRBOVICH, NICK	OPPENHEIMER GLOBAL OPPORTUNITIES A	0.00	5.46	0.00	5.46	95.0	5.19
/ /	TRBOVICH, MARY	OPPENHEIMER GLOBAL OPPORTUNITIES A	0.00	3.53	0.00	3.53	95.0	3.35
/ /	DEW, DESIREE	OPPENHEIMER GLOBAL OPPORTUNITIES B	0.00	0.02	0.00	0.02	95.0	0.02
/ /	NEED, GREGORY	OPPENHEIMER GLOBAL OPPORTUNITIES C	0.00	26.35	0.00	26.35	95.0	25.03
/ /	GALLAS, MICHAEL	OPPENHEIMER GLOBAL OPPORTUNITIES C	0.00	4.39	0.00	4.39	95.0	4.17
/ /	RENTROP, GARRETT	OPPENHEIMER GLOBAL OPPORTUNITIES C	0.00	34.52	0.00	34.52	95.0	32.79

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
/ /	MCCOLLEY, SHEA	OPPENHEIMER GLOBAL OPPORTUNITIES C	0.00	1.87	0.00	1.87	95.0	1.78
/ /	DINKA, CATHERINE	OPPENHEIMER GLOBAL OPPORTUNITIES C	0.00	43.51	0.00	43.51	95.0	41.33
/ /	DINKA, JOHN	OPPENHEIMER GLOBAL OPPORTUNITIES C	0.00	92.14	0.00	92.14	95.0	87.53
/ /	SCHULTZ, DEBRA	OPPENHEIMER GLOBAL OPPORTUNITIES C	0.00	57.87	0.00	57.87	95.0	54.98
/ /	DAMORE, MONICA	OPPENHEIMER GLOBAL OPPORTUNITIES C	0.00	52.09	0.00	52.09	95.0	49.49
/ /	BOYD, SONYA	OPPENHEIMER GLOBAL STRATEGIC INC A	0.00	0.56	0.00	0.56	95.0	0.53
/ /	TATUM, PATICIA	OPPENHEIMER GLOBAL STRATEGIC INC A	0.00	1.11	0.00	1.11	95.0	1.05
/ /	CRANDALL, MEGAN	OPPENHEIMER GLOBAL STRATEGIC INC A	0.00	0.34	0.00	0.34	95.0	0.32
/ /	GOLD, LORNE	OPPENHEIMER GLOBAL STRATEGIC INC A	0.00	0.77	0.00	0.77	95.0	0.73
/ /	MICHAELS, CHRISTINA	OPPENHEIMER GLOBAL STRATEGIC INC A	0.00	4.70	0.00	4.70	95.0	4.47
/ /	RENTROP, GARRETT	OPPENHEIMER GLOBAL STRATEGIC INC C	0.00	16.77	0.00	16.77	95.0	15.93
/ /	HENRY, JACQUELINE	OPPENHEIMER GLOBAL STRATEGIC INC C	0.00	3.87	0.00	3.87	95.0	3.68
/ /	HENRY, JACQUELINE	OPPENHEIMER GOLD & SPECIAL MINERALS	0.00	3.27	0.00	3.27	95.0	3.11
/ /	GOLD, LORNE	OPPENHEIMER INTL BOND A	0.00	1.43	0.00	1.43	95.0	1.36
/ /	BAKER, STEVEN	OPPENHEIMER INTL BOND A	0.00	0.82	0.00	0.82	95.0	0.78
/ /	BAKER, STEVEN	OPPENHEIMER INTL BOND B	0.00	0.02	0.00	0.02	95.0	0.02
/ /	BAKER, STEVEN	OPPENHEIMER INTL BOND C	0.00	18.39	0.00	18.39	95.0	17.47
/ /	HALSEY, DEBRA	OPPENHEIMER INTL BOND C	0.00	3.93	0.00	3.93	95.0	3.73
/ /	BAKER, STEVEN	OPPENHEIMER INTL DIVERSIFIED A	0.00	1.34	0.00	1.34	95.0	1.27
/ /	BAKER, STEVEN	OPPENHEIMER INTL DIVERSIFIED B	0.00	0.04	0.00	0.04	95.0	0.04
/ /	BAKER, STEVEN	OPPENHEIMER INTL DIVERSIFIED C	0.00	23.05	0.00	23.05	95.0	21.90
/ /	GOLD, LORNE	OPPENHEIMER INTL GROWTH A	0.00	1.70	0.00	1.70	95.0	1.62
/ /	MUNTEANU, RADU	OPPENHEIMER INTL GROWTH A	0.00	1.19	0.00	1.19	95.0	1.13
/ /	CAPWELL, MARK	OPPENHEIMER INTL GROWTH A	0.00	2.20	0.00	2.20	95.0	2.09
/ /	NEED, GREGORY	OPPENHEIMER INTL GROWTH C	0.00	27.50	0.00	27.50	95.0	26.13
/ /	OWENS, JEAN	OPPENHEIMER INTL SMALL CO A	0.00	0.29	0.00	0.29	95.0	0.28
/ /	KRAYDICH, KELLIE	OPPENHEIMER INTL SMALL CO A	0.00	1.14	0.00	1.14	95.0	1.08
/ /	LEPPEK, JUDITH	OPPENHEIMER INTL SMALL CO A	0.00	23.94	0.00	23.94	95.0	22.74
/ /	DAMORE, MONICA	OPPENHEIMER INTL SMALL CO C	0.00	46.62	0.00	46.62	95.0	44.29
/ /	DEREY, DENISE	OPPENHEIMER MAIN ST SELECT C	0.00	0.25	0.00	0.25	95.0	0.24
/ /	DINKA, CATHERINE	OPPENHEIMER MAIN ST SELECT C	0.00	88.03	0.00	88.03	95.0	83.63
/ /	HICKS, MELISSA	OPPENHEIMER MAIN ST SELECT C	0.00	5.82	0.00	5.82	95.0	5.53
/ /	HOWEY, JESSICA	OPPENHEIMER MAIN ST SELECT C	0.00	0.55	0.00	0.55	95.0	0.52

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
/ /	NEED, GREGORY	OPPENHEIMER MAIN ST SMALL & MID CAP	0.00	18.20	0.00	18.20	95.0	17.29
/ /	RENTROP, GARRETT	OPPENHEIMER MAIN ST SMALL & MID CAP	0.00	24.45	0.00	24.45	95.0	23.23
/ /	DINKA, CATHERINE	OPPENHEIMER MAIN ST SMALL & MID CAP	0.00	89.69	0.00	89.69	95.0	85.21
/ /	HENRY, JACQUELINE	OPPENHEIMER MAIN ST SMALL & MID CAP	0.00	4.86	0.00	4.86	95.0	4.62
/ /	KOSANKE, LORI	OPPENHEIMER MAIN STREET A	0.00	4.09	0.00	4.09	95.0	3.89
/ /	TATUM, PATICIA	OPPENHEIMER MAIN STREET A	0.00	0.58	0.00	0.58	95.0	0.55
/ /	BARRY, MEGAN	OPPENHEIMER MAIN STREET A	0.00	7.24	0.00	7.24	95.0	6.88
/ /	BOYD, SONYA	OPPENHEIMER MAIN STREET A	0.00	1.14	0.00	1.14	95.0	1.08
/ /	VISAN, JAMES	OPPENHEIMER MAIN STREET A	0.00	0.27	0.00	0.27	95.0	0.26
/ /	CRANDALL, MEGAN	OPPENHEIMER MAIN STREET A	0.00	1.16	0.00	1.16	95.0	1.10
/ /	POOLEY, TATIANA	OPPENHEIMER MAIN STREET A	0.00	0.04	0.00	0.04	95.0	0.04
/ /	DINKA, CATHERINE	OPPENHEIMER MAIN STREET A	0.00	11.36	0.00	11.36	95.0	10.79
/ /	GOLD, LORNE	OPPENHEIMER MAIN STREET A	0.00	12.02	0.00	12.02	95.0	11.42
/ /	KOSANKE, MARK	OPPENHEIMER MAIN STREET A	0.00	1.92	0.00	1.92	95.0	1.82
/ /	MCDONALD, VICKI	OPPENHEIMER MAIN STREET A	0.00	9.07	0.00	9.07	95.0	8.62
/ /	PALAZZOLO, GABRIELLA	OPPENHEIMER MAIN STREET A	0.00	7.59	0.00	7.59	95.0	7.21
/ /	BUTLER, SANDRA	OPPENHEIMER MAIN STREET A	0.00	0.12	0.00	0.12	95.0	0.11
/ /	JOUPPI, SHARON	OPPENHEIMER MAIN STREET A	0.00	14.71	0.00	14.71	95.0	13.97
/ /	COWAN, KEVIN	OPPENHEIMER MAIN STREET A	0.00	0.70	0.00	0.70	95.0	0.67
/ /	TRBOVICH, HEATHER	OPPENHEIMER MAIN STREET A	0.00	1.77	0.00	1.77	95.0	1.68
/ /	HOWEY, JESSICA	OPPENHEIMER MAIN STREET A	0.00	0.85	0.00	0.85	95.0	0.81
/ /	SMITH, ASHLEY	OPPENHEIMER MAIN STREET A	0.00	0.42	0.00	0.42	95.0	0.40
/ /	TRBOVICH, NICK	OPPENHEIMER MAIN STREET A	0.00	3.15	0.00	3.15	95.0	2.99
/ /	TRBOVICH, MARY	OPPENHEIMER MAIN STREET A	0.00	2.54	0.00	2.54	95.0	2.41
/ /	BUSZEK, RICHARD	OPPENHEIMER MAIN STREET A	0.00	11.03	0.00	11.03	95.0	10.48
/ /	BARRY, MEGAN	OPPENHEIMER MAIN STREET B	0.00	0.02	0.00	0.02	95.0	0.02
/ /	BARRY, MEGAN	OPPENHEIMER MAIN STREET C	0.00	10.35	0.00	10.35	95.0	9.83
/ /	NEED, GREGORY	OPPENHEIMER MAIN STREET C	0.00	37.26	0.00	37.26	95.0	35.40
/ /	DINKA, CATHERINE	OPPENHEIMER MAIN STREET C	0.00	86.93	0.00	86.93	95.0	82.58
/ /	GRIFFIN, JAMES	OPPENHEIMER MAIN STREET C	0.00	0.44	0.00	0.44	95.0	0.42
/ /	GRIFFIN, ALAN	OPPENHEIMER MAIN STREET C	0.00	14.12	0.00	14.12	95.0	13.41
/ /	GALLAS, MICHAEL	OPPENHEIMER MAIN STREET C	0.00	16.11	0.00	16.11	95.0	15.30
/ /	MCCOLLEY, SHEA	OPPENHEIMER MAIN STREET C	0.00	2.93	0.00	2.93	95.0	2.78

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<u>DIRECT TRANSACTIONS</u>								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS								
/ /	HENRY, JACQUELINE	OPPENHEIMER MAIN STREET C	0.00	6.86	0.00	6.86	95.0	6.52
/ /	KOGUT, MONICA	OPPENHEIMER MAIN STREET C	0.00	3.59	0.00	3.59	95.0	3.41
/ /	KOSANKE, LORI	OPPENHEIMER MAIN STREET OPP A	0.00	5.10	0.00	5.10	95.0	4.85
/ /	CAPWELL, MARK	OPPENHEIMER MAIN STREET OPP A	0.00	13.90	0.00	13.90	95.0	13.21
/ /	TAKACS, RYAN	OPPENHEIMER MAIN STREET OPP A	0.00	4.68	0.00	4.68	95.0	4.45
/ /	HICKS, MELISSA	OPPENHEIMER MAIN STREET OPP A	0.00	0.20	0.00	0.20	95.0	0.19
/ /	HICKS, MELISSA	OPPENHEIMER MAIN STREET OPP B	0.00	0.02	0.00	0.02	95.0	0.02
/ /	SOLDAN, JULIE	OPPENHEIMER MAIN STREET SMALLCAP A	0.00	16.71	0.00	16.71	95.0	15.87
/ /	DITRI, ANN	OPPENHEIMER MAIN STREET SMALLCAP A	0.00	2.47	0.00	2.47	95.0	2.35
/ /	MICHAELS, CHRISTINA	OPPENHEIMER MAIN STREET SMALLCAP A	0.00	6.28	0.00	6.28	95.0	5.97
/ /	GOLD, LORNE	OPPENHEIMER MAIN STREET SMALLCAP A	0.00	8.67	0.00	8.67	95.0	8.24
/ /	DINKA, CATHERINE	OPPENHEIMER MAIN STREET SMALLCAP A	0.00	12.55	0.00	12.55	95.0	11.92
/ /	CAPWELL, MARK	OPPENHEIMER MAIN STREET SMALLCAP A	0.00	12.21	0.00	12.21	95.0	11.60
/ /	SMOLAREK, CHERYL	OPPENHEIMER PORTFOLIO SERIES EQ INV	0.00	13.02	0.00	13.02	95.0	12.37
/ /	CZARNECKI, THERESA	OPPENHEIMER PORTFOLIO SERIRES: MOD	0.00	22.51	0.00	22.51	95.0	21.38
/ /	SMOLAREK, CHERYL	OPPENHEIMER PTF SERIES EQUITY INVES	0.00	38.43	0.00	38.43	95.0	36.51
/ /	RENTROP, GARRETT	OPPENHEIMER QUEST BALANCED C	0.00	19.71	0.00	19.71	95.0	18.72
/ /	HENRY, JACQUELINE	OPPENHEIMER QUEST BALANCED C	0.00	4.21	0.00	4.21	95.0	4.00
/ /	MICHAELS, CHRISTINA	OPPENHEIMER QUEST INT'L VALUE A	0.00	3.94	0.00	3.94	95.0	3.74
/ /	TRINH, CHRISTINE	OPPENHEIMER QUEST INT'L VALUE A	0.00	1.65	0.00	1.65	95.0	1.57
/ /	LEPPEK, JUDITH	OPPENHEIMER QUEST INT'L VALUE A	0.00	13.08	0.00	13.08	95.0	12.43
/ /	TERPSTRA, SANDRA	OPPENHEIMER QUEST OPP VALUE A	0.00	51.88	0.00	51.88	95.0	49.29
/ /	BAKER, STEVEN	OPPENHEIMER QUEST OPP VALUE A	0.00	0.91	0.00	0.91	95.0	0.86
/ /	TERPSTRA, SANDRA	OPPENHEIMER QUEST OPP VALUE B	0.00	0.17	0.00	0.17	95.0	0.16
/ /	BAKER, STEVEN	OPPENHEIMER QUEST OPP VALUE B	0.00	0.03	0.00	0.03	95.0	0.03
/ /	MCCOLLEY, SHEA	OPPENHEIMER QUEST OPP VALUE C	0.00	4.75	0.00	4.75	95.0	4.51
/ /	TERPSTRA, SANDRA	OPPENHEIMER QUEST OPP VALUE C	0.00	111.51	0.00	111.51	95.0	105.93
/ /	BAKER, STEVEN	OPPENHEIMER QUEST OPP VALUE C	0.00	17.84	0.00	17.84	95.0	16.95
/ /	KOSANKE, LORI	OPPENHEIMER REAL ESTATE A	0.00	4.00	0.00	4.00	95.0	3.80
/ /	TRBOVICH, HEATHER	OPPENHEIMER REAL ESTATE A	0.00	0.80	0.00	0.80	95.0	0.76
/ /	HOWEY, JESSICA	OPPENHEIMER REAL ESTATE A	0.00	0.77	0.00	0.77	95.0	0.73
/ /	KOSANKE, MARK	OPPENHEIMER REAL ESTATE A	0.00	3.97	0.00	3.97	95.0	3.77
/ /	SMITH, ASHLEY	OPPENHEIMER REAL ESTATE A	0.00	0.40	0.00	0.40	95.0	0.38

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
/ /	TRBOVICH, NICK	OPPENHEIMER REAL ESTATE A	0.00	3.16	0.00	3.16	95.0	3.00
/ /	TRBOVICH, MARY	OPPENHEIMER REAL ESTATE A	0.00	2.54	0.00	2.54	95.0	2.41
/ /	KOSANKE, LORI	OPPENHEIMER RISING DIVIDENDS A	0.00	4.95	0.00	4.95	95.0	4.70
/ /	POOLEY, TATIANA	OPPENHEIMER RISING DIVIDENDS A	0.00	0.04	0.00	0.04	95.0	0.04
/ /	NEED, GREGORY	OPPENHEIMER RISING DIVIDENDS C	0.00	24.69	0.00	24.69	95.0	23.46
/ /	GALLAS, MICHAEL	OPPENHEIMER RISING DIVIDENDS C	0.00	12.01	0.00	12.01	95.0	11.41
/ /	HENRY, JACQUELINE	OPPENHEIMER RISING DIVIDENDS C	0.00	4.79	0.00	4.79	95.0	4.55
/ /	KOGUT, MONICA	OPPENHEIMER RISING DIVIDENDS C	0.00	3.41	0.00	3.41	95.0	3.24
/ /	HOWEY, JESSICA	OPPENHEIMER RISING DIVIDENDS C	0.00	0.53	0.00	0.53	95.0	0.50
/ /	CAPWELL, MARK	OPPENHEIMER SELECT VALUE A	0.00	4.15	0.00	4.15	95.0	3.94
/ /	NEED, GREGORY	OPPENHEIMER SELECT VALUE C	0.00	24.62	0.00	24.62	95.0	23.39
/ /	LABAZA, LYNN	OPPENHEIMER SMALL & MIDCAP GROWTH A	0.00	5.82	0.00	5.82	95.0	5.53
/ /	LABAZA, JOHN	OPPENHEIMER SMALL & MIDCAP GROWTH A	0.00	5.82	0.00	5.82	95.0	5.53
/ /	WOUDSTRA, KAREN	OPPENHEIMER SMALL & MIDCAP GROWTH C	0.00	1.74	0.00	1.74	95.0	1.65
/ /	LABAZA, LYNN	OPPENHEIMER SMALL & MIDCAP GROWTH C	0.00	98.34	0.00	98.34	95.0	93.42
/ /	LABAZA, JOHN	OPPENHEIMER SMALL & MIDCAP GROWTH C	0.00	98.34	0.00	98.34	95.0	93.42
/ /	BOYD, SONYA	OPPENHEIMER SMALL MID CAP VALUE A	0.00	1.48	0.00	1.48	95.0	1.41
/ /	DEREY, DENISE	OPPENHEIMER SMALL MID CAP VALUE C	0.00	78.97	0.00	78.97	95.0	75.02
/ /	CARMODY, WILLIAM	OPPENHEIMER US GOVT TRUST C	0.00	40.04	0.00	40.04	95.0	38.04
/ /	KOSANKE, LORI	OPPENHEIMER VALUE A	0.00	4.10	0.00	4.10	95.0	3.90
/ /	MICHAELS, CHRISTINA	OPPENHEIMER VALUE A	0.00	5.56	0.00	5.56	95.0	5.28
/ /	GOLD, LORNE	OPPENHEIMER VALUE A	0.00	9.47	0.00	9.47	95.0	9.00
/ /	DINKA, JOHN	OPPENHEIMER VALUE A	0.00	16.29	0.00	16.29	95.0	15.48
/ /	TAKACS, RYAN	OPPENHEIMER VALUE A	0.00	4.37	0.00	4.37	95.0	4.15
/ /	TRBOVICH, HEATHER	OPPENHEIMER VALUE A	0.00	1.80	0.00	1.80	95.0	1.71
/ /	HOWEY, JESSICA	OPPENHEIMER VALUE A	0.00	0.87	0.00	0.87	95.0	0.83
/ /	SMITH, ASHLEY	OPPENHEIMER VALUE A	0.00	0.43	0.00	0.43	95.0	0.41
/ /	TRBOVICH, NICK	OPPENHEIMER VALUE A	0.00	3.23	0.00	3.23	95.0	3.07
/ /	TRBOVICH, MARY	OPPENHEIMER VALUE A	0.00	2.61	0.00	2.61	95.0	2.48
/ /	DITRI, ANN	OPPENHEIMER VALUE C	0.00	9.27	0.00	9.27	95.0	8.81
/ /	DINKA, JOHN	OPPENHEIMER VALUE C	0.00	127.88	0.00	127.88	95.0	121.49
07/05/2018	BUSSELL REV LV TRUST, SHARON	WELLS FARGO 100% TREASURY MMKT-A	0.00	7.19	0.00	7.19	95.0	6.83
07/05/2018	THOMAS, HENRY	WELLS FARGO INCOME PLUS A	0.00	3.06	0.00	3.06	95.0	2.91

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
07/05/2018	THOMAS, SYBIL	WELLS FARGO INCOME PLUS A	0.00	2.45	0.00	2.45	95.0	2.33
07/05/2018	TOTEFF, JESSIE	WELLS FARGO INCOME PLUS A	0.00	3.27	0.00	3.27	95.0	3.11
07/05/2018	SPEAROT, DOUGLAS	WELLS FARGO INCOME PLUS A	0.00	0.87	0.00	0.87	95.0	0.83
07/05/2018	GUTMAN, KENNETH	WELLS FARGO INTL BOND A	0.00	2.02	0.00	2.02	95.0	1.92
07/05/2018	GUTMAN, MATHEW	WELLS FARGO INTL BOND A	0.00	2.02	0.00	2.02	95.0	1.92
07/05/2018	JAGGER, ALBERT	WELLS FARGO INTL BOND A	0.00	24.67	0.00	24.67	95.0	23.44
07/05/2018	BUSSELL REV LIV TRST, GEROGE &	WELLS FARGO MONEY MKT A	0.00	26.15	0.00	26.15	95.0	24.84
07/05/2018	STEBBINS, DAVID	WELLS FARGO OPP A	0.00	0.68	0.00	0.68	95.0	0.65
07/05/2018	DUDLEY, CHERYL	WELLS FARGO OPP A	0.00	1.25	0.00	1.25	95.0	1.19
07/05/2018	BASILE, ANNA	WELLS FARGO OPP A	0.00	0.88	0.00	0.88	95.0	0.84
07/05/2018	CODDING, CRAIG	WELLS FARGO PREMIER LG COMP GRWTH A	0.00	4.04	0.00	4.04	95.0	3.84
07/05/2018	KISH, VIVIAN	WELLS FARGO STRATEGIC MUNI A	0.00	0.96	0.00	0.96	95.0	0.91
07/05/2018	ROEHRIG, RITA	WELLS FARGO STRATEGIC MUNI A	0.00	2.67	0.00	2.67	95.0	2.54
07/05/2018	JAGGER, ALBERT	WELLS FARGO STRATEGIC MUNI A	0.00	24.68	0.00	24.68	95.0	23.45
07/05/2018	PER, MARIANNE	WELLS FARGO STRATEGIC MUNI A	0.00	0.18	0.00	0.18	95.0	0.17
07/05/2018	TSEREGOUNIS, SPYROS	WELLS FARGO STRATEGIC MUNI A	0.00	5.17	0.00	5.17	95.0	4.91
07/05/2018	ALEXOPOULOS, PAUL	WELLS FARGO STRATEGIC MUNI A	0.00	5.66	0.00	5.66	95.0	5.38
07/05/2018	REBNER, WALDEMAR	WELLS FARGO STRATEGIC MUNI A	0.00	9.16	0.00	9.16	95.0	8.70
07/05/2018	SPEAROT, REBECCA	WELLS FARGO STRATEGIC MUNI A	0.00	1.63	0.00	1.63	95.0	1.55
07/05/2018	CLEMAK, CHARLES	WELLS FARGO STRATEGIC MUNI A	0.00	27.70	0.00	27.70	95.0	26.32
07/05/2018	MUGLIA, DOMINIC	WELLS FARGO STRATEGIC MUNI A	0.00	36.75	0.00	36.75	95.0	34.91
07/05/2018	MCLUCAS, ROBERT	WELLS FARGO STRATEGIC MUNI A	0.00	53.91	0.00	53.91	95.0	51.21
07/05/2018	KATEHI, PISTI	WELLS FARGO TOTAL RETURN BOND A	0.00	1.10	0.00	1.10	95.0	1.05
07/05/2018	TSEREGOUNIS, SPYROS	WELLS FARGO TOTAL RETURN BOND A	0.00	1.04	0.00	1.04	95.0	0.99
07/05/2018	SNYDER, SHIRLEY	WELLS FARGO TOTAL RETURN BOND A	0.00	0.57	0.00	0.57	95.0	0.54
07/05/2018	BAYS, MARVIN	WELLS FARGO UTILITY AND TELECOM A	0.00	10.84	0.00	10.84	95.0	10.30
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *			\$412,954.24	\$11,457.92	\$0.00	\$11,457.92		\$10,885.20
<u>PRODUCT CATEGORY: VARIABLE ANNUITY 12B1 TRAILS</u>								
12/10/2017	CFGROUP, VARIOUS	TRANSAMERICA	9,493.67	23.73	0.00	23.73	95.0	22.54
07/05/2018	WEYCKER, EDWARD	ING PREMIUM PLUS	15,449.67	14.49	0.00	14.49	95.0	13.77
07/05/2018	WEYCKER, EDWARD	ING PREMIUM PLUS	15,449.67	14.49	0.00	14.49	95.0	13.77
* VARIABLE ANNUITY 12B1 TRAILS SUBTOTAL *			\$40,393.01	\$52.71	\$0.00	\$52.71		\$50.08

NOTES: * - Indicates adjustment is not included in 1099 Earnings

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^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>								
*** DIRECT TRANSACTIONS TOTAL ***			\$5,123,924.21	\$16,458.57	\$0.00	\$16,458.57		\$15,635.86
<u>SPLIT TRANSACTIONS</u>								
<u>BROKER: MARK, 103 KOSANKE #3</u>								
07/09/2018	KRAUSE, BARBARA	DWS SEUTSCHE MANAGED MUNICIPAL BOND	0.00	90.84	0.00	90.84	95.0	86.30
07/28/2018	STEFFES, MARTIN	JNL REWARD 10 YR TERM	32.61	0.16	0.00	0.16	95.0	0.15
07/05/2018	RIMKUS, MARILYN	WELLS FARGO ENTERPRISE A	0.00	4.87	0.00	4.87	95.0	4.63
07/05/2018	ALEXANDER, JEAN	WELLS FARGO STRATEGIC MUNI A	0.00	0.88	0.00	0.88	95.0	0.84
07/05/2018	EMMER, ILENE	WELLS FARGO TOTAL RETURN BOND A	0.00	0.16	0.00	0.16	95.0	0.15
07/05/2018	DANIELS, KATHLEEN	WELLS FARGO TOTAL RETURN BOND A	0.00	2.88	0.00	2.88	95.0	2.74
07/05/2018	SMOLBOSKI, BARBARA	WELLS FARGO TOTAL RETURN BOND A	0.00	0.21	0.00	0.21	95.0	0.20
* MARK, 103 KOSANKE SUBTOTAL *			\$32.61	\$100.00	\$0.00	\$100.00		\$95.01
<u>BROKER: J117-PETE/JOAN JOHNSON/FLAM #19</u>								
07/17/2018	HARNE, DEXTL	TOUCHSTONE GROWTH OPP A	0.00	0.06	0.00	0.06	95.0	0.06
06/30/2018	HARNE, DEXTL	TOUCHSTONE MID CAP GROWTH A	0.00	0.08	0.00	0.08	95.0	0.08
* J117-PETE/JOAN JOHNSON/FLAM SUBTOTAL *			\$0.00	\$0.14	\$0.00	\$0.14		\$0.14
<u>BROKER: GROUP, B119 FLAM/BUSSELL #32</u>								
06/30/2018	M, OSIP	DELAWARE VALUE A	0.00	1.31	0.00	1.31	95.0	1.24
* GROUP, B119 FLAM/BUSSELL SUBTOTAL *			\$0.00	\$1.31	\$0.00	\$1.31		\$1.24
<u>BROKER: PETER JOHNSON #63</u>								
06/30/2018	ROSS, DAVID	DELAWARE HIGH YIELD OPP A	0.00	24.70	0.00	24.70	95.0	23.47
06/30/2018	KAPELN, J	DELAWARE TAX FREE USA A	0.00	9.02	0.00	9.02	95.0	8.57
06/30/2018	PAPPAS, LARRY	DELAWARE VALUE A	0.00	34.24	0.00	34.24	95.0	32.53
06/30/2018	PAPPAS, JANE	DELAWARE VALUE A	0.00	7.10	0.00	7.10	95.0	6.75
* PETER JOHNSON SUBTOTAL *			\$0.00	\$75.06	\$0.00	\$75.06		\$71.32
*** SPLIT TRANSACTIONS TOTAL ***			\$32.61	\$176.51	\$0.00	\$176.51		\$167.71

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u> OVERRIDE TRANSACTIONS </u>								
<u>BROKER: THOMAS SCHNEIDER #30</u>								
/ /	D&D TRAILER HAULING INC	PROFUNDS MONEY MARKET-SVC	0.00	0.32	0.00	0.32	0.0	0.30
/ /	GREENE, DAVID	PROFUNDS MONEY MARKET-SVC	0.00	0.32	0.00	0.32	0.0	0.30
/ /	D&D TRAILER HAULING INC	PROFUNDS MONEY MARKET-SVC	0.00	0.58	0.00	0.58	0.0	0.55
/ /	GREENE, DAVID	PROFUNDS MONEY MARKET-SVC	0.00	0.58	0.00	0.58	0.0	0.55
/ /	D&D TRAILER HAULING INC	PROFUNDS RISING RATES SVC	0.00	0.01	0.00	0.01	0.0	0.01
/ /	GREENE, DAVID	PROFUNDS RISING RATES SVC	0.00	0.01	0.00	0.01	0.0	0.01
/ /	D&D TRAILER HAULING INC	PROFUNDS ULTRA SMALLCAP SVC	0.00	0.04	0.00	0.04	0.0	0.04
/ /	GREENE, DAVID	PROFUNDS ULTRA SMALLCAP SVC	0.00	0.04	0.00	0.04	0.0	0.04
/ /	D&D TRAILER HAULING INC	PROFUNDS ULTRA SMALLCAP SVC	0.00	0.12	0.00	0.12	0.0	0.11
/ /	GREENE, DAVID	PROFUNDS ULTRA SMALLCAP SVC	0.00	0.12	0.00	0.12	0.0	0.11
/ /	D&D TRAILER HAULING INC	PROFUNDS ULTRASHORT SMALLCAP SVC	0.00	0.01	0.00	0.01	0.0	0.01
/ /	GREENE, DAVID	PROFUNDS ULTRASHORT SMALLCAP SVC	0.00	0.01	0.00	0.01	0.0	0.01
/ /	D&D TRAILER HAULING INC	PROFUNDS ULTRASHORT SMALLCAP SVC	0.00	0.04	0.00	0.04	0.0	0.04
/ /	GREENE, DAVID	PROFUNDS ULTRASHORT SMALLCAP SVC	0.00	0.04	0.00	0.04	0.0	0.04
/ /	D&D TRAILER HAULING INC	PROFUNDS US GOV PLUS SVC	0.00	0.01	0.00	0.01	0.0	0.01
/ /	GREENE, DAVID	PROFUNDS US GOV PLUS SVC	0.00	0.01	0.00	0.01	0.0	0.01
* THOMAS SCHNEIDER SUBTOTAL *			\$0.00	\$2.26	\$0.00	\$2.26		\$2.14
*** OVERRIDE TRANSACTIONS TOTAL ***			\$0.00	\$2.26	\$0.00	\$2.26		\$2.14

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BROKER COMMISSION TOTALS

Broker Transactions	\$15,635.86
Split Transactions	\$167.71
Override Transactions	\$2.14
Adjustments	\$0.00
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$0.00
FINRA Assessment	\$0.00
SIPC Assessment	\$0.00

Check Amount	\$15,805.71
Year-to-date Gross	\$341,355.30
Year-to-date Earnings	\$335,149.22