



Concorde Investment Services, LLC
COMMISSION STATEMENT
March 15, 2017

03/14/2017
 Page No. 1

ACCOUNT HOUSE
 1120 E. LONG LAKE ROAD
 SUITE 207
 TROY, MI 48085-

BROKER #: G999
 BRANCH: FOXTROT SAMPLE

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: INTERVAL FUNDS</u>								
02/27/2017	HERNDON, TIMOTHY	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	0.95	0.00	0.95	100.0	0.95
02/27/2017	MCGINNIS TRUST	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	6.18	0.00	6.18	100.0	6.18
02/27/2017	CICONE, SISENANDA	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	1.23	0.00	1.23	100.0	1.23
03/08/2017	CONCORDE, VARIOUS	GRIFFIN INST'L ACCESS R E FUND C	54,430.22	0.00	0.00	0.00	100.0	0.00
03/08/2017	CONCORDE, VARIOUS	GRIFFIN INST'L ACCESS R E FUND C	-54,980.02	0.00	0.00	0.00	100.0	0.00
* INTERVAL FUNDS SUBTOTAL *			\$-549.80	\$8.36	\$0.00	\$8.36		\$8.36
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
03/01/2017	HOLLAND, JENNIFER	AM FUNDS 2015 TARGET DATE A	0.00	4.02	0.00	4.02	100.0	4.02
03/01/2017	DURR, LORENA	AM FUNDS 2030 TARGET DATE-A	100.00	4.25	0.00	4.25	100.0	4.25
03/01/2017	DURR, LORENA	AM FUNDS 2030 TARGET DATE-A	0.00	9.49	0.00	9.49	100.0	9.49
03/01/2017	LARA, DYLAN	AM FUNDS 2035 TARGET DATE-A	0.00	0.59	0.00	0.59	100.0	0.59
03/01/2017	LARA, DEREK	AM FUNDS 2035 TARGET DATE-A	0.00	0.59	0.00	0.59	100.0	0.59
03/01/2017	LAROCCA II, JOHN	AM FUNDS 2045 TARGET DATE-A	0.00	7.20	0.00	7.20	100.0	7.20
03/01/2017	MORRISON, LINDSAY	AM FUNDS AMCAP 529A	0.00	1.79	0.00	1.79	100.0	1.79
03/01/2017	MORRISON, KYLE	AM FUNDS AMCAP 529A	0.00	0.26	0.00	0.26	100.0	0.26
02/27/2017	CONCORDE, VARIOUS	AM FUNDS AMCAP A	-821.88	0.00	0.00	0.00	100.0	0.00
02/27/2017	CONCORDE, VARIOUS	AM FUNDS AMCAP A	786.95	0.00	0.00	0.00	100.0	0.00
03/01/2017	CLOSED-LADUKE-ROBSON, HEATHER	AM FUNDS AMCAP A	0.00	7.67	0.00	7.67	100.0	7.67
03/01/2017	EVANGELISTA, JACQUELINE	AM FUNDS AMCAP A	0.00	8.59	0.00	8.59	100.0	8.59
03/01/2017	KELLEY, GAYLE	AM FUNDS AMCAP A	0.00	11.98	0.00	11.98	100.0	11.98
03/01/2017	HOFFMAN, BARBARA	AM FUNDS AMCAP A	0.00	13.39	0.00	13.39	100.0	13.39
03/01/2017	CLOSED-LADUKE-ROBSON, HEATHER	AM FUNDS AMCAP B	0.00	0.09	0.00	0.09	100.0	0.09
02/28/2017	SOLORIO, ROQUE	AM FUNDS AMERICAN BALANCED 529A	125.00	5.31	0.00	5.31	100.0	5.31
03/01/2017	BUI, VIVIAN	AM FUNDS AMERICAN BALANCED 529A	100.00	3.75	0.00	3.75	100.0	3.75
03/01/2017	BUI, VIVIAN	AM FUNDS AMERICAN BALANCED 529A	100.00	3.75	0.00	3.75	100.0	3.75
03/01/2017	SCHIRO, FRANK	AM FUNDS AMERICAN BALANCED 529A	0.00	2.59	0.00	2.59	100.0	2.59

NOTES: * - Indicates adjustment is not included in 1099 Earnings
 ** - Indicates adjustment is not included in Totals or Commissions
 ^Date - Split Trade - full Investment Amount & Gross Commission displayed

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
03/01/2017	BUI, VIVIAN	AM FUNDS AMERICAN BALANCED 529A	0.00	12.40	0.00	12.40	100.0	12.40
03/01/2017	BUI, VIVIAN	AM FUNDS AMERICAN BALANCED 529A	0.00	11.01	0.00	11.01	100.0	11.01
03/01/2017	FORSBERG, CHERYL	AM FUNDS AMERICAN BALANCED 529A	0.00	6.33	0.00	6.33	100.0	6.33
03/01/2017	SOIORIO, ROQUE	AM FUNDS AMERICAN BALANCED 529A	0.00	21.68	0.00	21.68	100.0	21.68
03/01/2017	RAINONE, TRISTINA DAWN	AM FUNDS AMERICAN BALANCED 529A	0.00	6.05	0.00	6.05	100.0	6.05
03/01/2017	RAINONE, MICHAEL	AM FUNDS AMERICAN BALANCED 529A	0.00	6.05	0.00	6.05	100.0	6.05
03/01/2017	DIRMEYER, DAVID	AM FUNDS AMERICAN BALANCED 529A	0.00	2.60	0.00	2.60	100.0	2.60
03/02/2017	RAINONE, TRISTINA DAWN	AM FUNDS AMERICAN BALANCED 529A	100.00	4.25	0.00	4.25	100.0	4.25
03/02/2017	RAINONE, MICHAEL	AM FUNDS AMERICAN BALANCED 529A	100.00	4.25	0.00	4.25	100.0	4.25
03/01/2017	COLE, PAUL	AM FUNDS AMERICAN BALANCED A	250.00	9.38	0.00	9.38	100.0	9.38
03/01/2017	BUI, VIVIAN	AM FUNDS AMERICAN BALANCED A	100.00	3.75	0.00	3.75	100.0	3.75
03/01/2017	LENCZOWSKI, JANICE	AM FUNDS AMERICAN BALANCED A	0.00	4.14	0.00	4.14	100.0	4.14
03/01/2017	TOONDER, KEITH	AM FUNDS AMERICAN BALANCED A	0.00	2.46	0.00	2.46	100.0	2.46
03/01/2017	SMITH, H DENNIS	AM FUNDS AMERICAN BALANCED A	0.00	3.48	0.00	3.48	100.0	3.48
03/01/2017	FINK, JENNIFER	AM FUNDS AMERICAN BALANCED A	0.00	14.81	0.00	14.81	100.0	14.81
03/01/2017	BRINDLE, ALAN	AM FUNDS AMERICAN BALANCED A	0.00	46.01	0.00	46.01	100.0	46.01
03/01/2017	HELD, JEFFREY	AM FUNDS AMERICAN BALANCED A	0.00	7.96	0.00	7.96	100.0	7.96
03/01/2017	BUSTER, RICKY	AM FUNDS AMERICAN BALANCED A	0.00	9.63	0.00	9.63	100.0	9.63
03/01/2017	BRINDLE, ALAN	AM FUNDS AMERICAN BALANCED A	0.00	12.50	0.00	12.50	100.0	12.50
03/01/2017	GREGORY, CAROL	AM FUNDS AMERICAN BALANCED A	0.00	6.64	0.00	6.64	100.0	6.64
03/01/2017	BABIN, WILLIAM	AM FUNDS AMERICAN BALANCED A	0.00	6.54	0.00	6.54	100.0	6.54
03/01/2017	CERIMELE, NICHOLAS	AM FUNDS AMERICAN BALANCED A	0.00	12.24	0.00	12.24	100.0	12.24
03/01/2017	COLE, PAUL	AM FUNDS AMERICAN BALANCED A	0.00	45.35	0.00	45.35	100.0	45.35
03/01/2017	SAGGAR, VADEESH	AM FUNDS AMERICAN BALANCED A	0.00	0.74	0.00	0.74	100.0	0.74
03/01/2017	BUI, VIVIAN	AM FUNDS AMERICAN BALANCED A	0.00	21.33	0.00	21.33	100.0	21.33
03/01/2017	GENZON, SERGIO	AM FUNDS AMERICAN BALANCED A	0.00	8.31	0.00	8.31	100.0	8.31
03/01/2017	SALAS FAMILY TRUST	AM FUNDS AMERICAN BALANCED A	0.00	100.67	0.00	100.67	100.0	100.67
03/01/2017	LAWMASTER, LESLIE	AM FUNDS AMERICAN BALANCED A	0.00	8.55	0.00	8.55	100.0	8.55
03/01/2017	ERICKSON/BENE, THOMAS	AM FUNDS AMERICAN BALANCED A	0.00	4.81	0.00	4.81	100.0	4.81
03/01/2017	ERICKSON, JEFFREY	AM FUNDS AMERICAN BALANCED A	0.00	15.53	0.00	15.53	100.0	15.53
03/01/2017	ERICKSON, THOMAS	AM FUNDS AMERICAN BALANCED A	0.00	10.83	0.00	10.83	100.0	10.83
03/01/2017	BUI, VIVIAN	AM FUNDS AMERICAN BALANCED B	0.00	1.14	0.00	1.14	100.0	1.14
03/01/2017	STONE, COLEEN	AM FUNDS AMERICAN BALANCED C	0.00	2.20	0.00	2.20	100.0	2.20

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<u>BROKER TRANSACTIONS</u>								
PRODUCT CATEGORY: MUTUAL FUNDS								
03/01/2017	ANDREWS, ASHLEY	AM FUNDS AMERICAN BALANCED C	0.00	22.51	0.00	22.51	100.0	22.51
03/01/2017	WAXHAM, HEATHER	AM FUNDS AMERICAN BALANCED C	0.00	35.33	0.00	35.33	100.0	35.33
03/01/2017	HAIDER, MARIAM	AM FUNDS AMERICAN HIGH-INC MUNI BON	0.00	1.49	0.00	1.49	100.0	1.49
03/01/2017	HAIDER, HANNA	AM FUNDS AMERICAN HIGH-INC MUNI BON	0.00	0.40	0.00	0.40	100.0	0.40
03/01/2017	HERINGSHAUSEN, ERNESTING	AM FUNDS AMERICAN HIGH-INC MUNI BON	0.00	2.30	0.00	2.30	100.0	2.30
03/01/2017	HERINGSHAUSEN, DENNIS	AM FUNDS AMERICAN HIGH-INC MUNI BON	0.00	2.32	0.00	2.32	100.0	2.32
03/01/2017	HERINGSHAUSEN, DENNIS	AM FUNDS AMERICAN HIGH-INC MUNI BON	0.00	7.71	0.00	7.71	100.0	7.71
03/01/2017	RADO LIV TRUST, JUNE	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	23.84	0.00	23.84	100.0	23.84
03/01/2017	GREGORY, CAROL	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	1.47	0.00	1.47	100.0	1.47
03/01/2017	JOY ORDIZ VANDEKERKHOVE,	AM FUNDS AMERICAN MUTUAL 529A	0.00	0.63	0.00	0.63	100.0	0.63
03/01/2017	COHEN, LORI PIERCE-	AM FUNDS AMERICAN MUTUAL 529C	0.00	13.70	0.00	13.70	100.0	13.70
02/28/2017	ESSARY, MICHELLE	AM FUNDS AMERICAN MUTUAL A	115.00	4.31	0.00	4.31	100.0	4.31
03/01/2017	BOOTZ, MATTHEW	AM FUNDS AMERICAN MUTUAL A	50.00	2.50	0.00	2.50	100.0	2.50
03/01/2017	LINDERMAN, DAVID	AM FUNDS AMERICAN MUTUAL A	0.00	113.87	0.00	113.87	100.0	113.87
03/01/2017	FULTON, JOHN	AM FUNDS AMERICAN MUTUAL A	0.00	9.58	0.00	9.58	100.0	9.58
03/01/2017	BABIN, WILLIAM	AM FUNDS AMERICAN MUTUAL A	0.00	7.31	0.00	7.31	100.0	7.31
03/01/2017	MCKEE, DUANE	AM FUNDS AMERICAN MUTUAL A	0.00	4.90	0.00	4.90	100.0	4.90
03/01/2017	SCHECK, VICTORIA	AM FUNDS AMERICAN MUTUAL A	0.00	8.41	0.00	8.41	100.0	8.41
03/01/2017	KEBA, STEPHEN	AM FUNDS AMERICAN MUTUAL A	0.00	15.18	0.00	15.18	100.0	15.18
03/01/2017	BOOTZ, MATTHEW	AM FUNDS AMERICAN MUTUAL A	0.00	11.88	0.00	11.88	100.0	11.88
03/01/2017	RUBLY, WILLIAM	AM FUNDS AMERICAN MUTUAL A	0.00	50.97	0.00	50.97	100.0	50.97
03/01/2017	RUBLY, DELPHINE	AM FUNDS AMERICAN MUTUAL A	0.00	64.37	0.00	64.37	100.0	64.37
03/01/2017	ESSARY, BRADLEY	AM FUNDS AMERICAN MUTUAL A	0.00	7.00	0.00	7.00	100.0	7.00
03/01/2017	ESSARY, MICHELLE	AM FUNDS AMERICAN MUTUAL A	0.00	1.21	0.00	1.21	100.0	1.21
03/01/2017	ESSARY, MICHELLE	AM FUNDS AMERICAN MUTUAL A	0.00	3.27	0.00	3.27	100.0	3.27
03/01/2017	BOOTZ, MATTHEW	AM FUNDS AMERICAN MUTUAL B	0.00	0.34	0.00	0.34	100.0	0.34
03/01/2017	MCKEE, DUANE	AM FUNDS AMERICAN MUTUAL C	0.00	0.30	0.00	0.30	100.0	0.30
03/01/2017	KAMPS, BARBARA	AM FUNDS AMERICAN MUTUAL R2	0.00	10.70	0.00	10.70	100.0	10.70
03/01/2017	LOPER, MARY	AM FUNDS BOND FUND OF AMERICA 529A	0.00	0.47	0.00	0.47	100.0	0.47
03/01/2017	GRAHAM, STANLEY	AM FUNDS BOND FUND OF AMERICA A	0.00	0.14	0.00	0.14	100.0	0.14
03/01/2017	BUSTER, RICKY	AM FUNDS BOND FUND OF AMERICA A	0.00	8.96	0.00	8.96	100.0	8.96
03/01/2017	JAMES, RODNEY	AM FUNDS BOND FUND OF AMERICA A	0.00	0.12	0.00	0.12	100.0	0.12
03/01/2017	PIERCE, MARTIN	AM FUNDS BOND FUND OF AMERICA A	0.00	2.52	0.00	2.52	100.0	2.52

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
03/01/2017	PIERCE, MARTIN	AM FUNDS BOND FUND OF AMERICA C	0.00	6.38	0.00	6.38	100.0	6.38
03/01/2017	KAMPS, BARBARA	AM FUNDS BOND FUND OF AMERICA R2	0.00	6.79	0.00	6.79	100.0	6.79
03/01/2017	CALZADA, LARA	AM FUNDS CAPITAL INCOME BUILDER 529	100.00	5.00	0.00	5.00	100.0	5.00
03/01/2017	RAMIREZ, MARCOS	AM FUNDS CAPITAL INCOME BUILDER 529	150.00	6.38	0.00	6.38	100.0	6.38
03/01/2017	CALZADA, LARA	AM FUNDS CAPITAL INCOME BUILDER 529	100.00	5.00	0.00	5.00	100.0	5.00
03/01/2017	CASSADY, JEFFREY	AM FUNDS CAPITAL INCOME BUILDER 529	0.00	2.83	0.00	2.83	100.0	2.83
03/01/2017	CALZADA, LARA	AM FUNDS CAPITAL INCOME BUILDER 529	0.00	7.69	0.00	7.69	100.0	7.69
03/01/2017	WILLIAMS, KATHLEEN	AM FUNDS CAPITAL INCOME BUILDER 529	0.00	11.71	0.00	11.71	100.0	11.71
03/01/2017	RAMIREZ, MARCOS	AM FUNDS CAPITAL INCOME BUILDER 529	0.00	17.71	0.00	17.71	100.0	17.71
03/01/2017	NEVILLE, KAREN	AM FUNDS CAPITAL INCOME BUILDER 529	0.00	2.48	0.00	2.48	100.0	2.48
03/01/2017	VITIELLO, MICHAEL	AM FUNDS CAPITAL INCOME BUILDER 529	0.00	5.15	0.00	5.15	100.0	5.15
03/01/2017	VITIELLO, MICHAEL	AM FUNDS CAPITAL INCOME BUILDER 529	0.00	7.77	0.00	7.77	100.0	7.77
03/01/2017	CALZADA, LARA	AM FUNDS CAPITAL INCOME BUILDER 529	0.00	4.41	0.00	4.41	100.0	4.41
03/01/2017	MARTINEZ, RICHARD	AM FUNDS CAPITAL INCOME BUILDER 529	0.00	3.43	0.00	3.43	100.0	3.43
03/01/2017	RAINONE, TRISTINA DAWN	AM FUNDS CAPITAL INCOME BUILDER 529	0.00	2.46	0.00	2.46	100.0	2.46
03/01/2017	RAINONE, MICHAEL	AM FUNDS CAPITAL INCOME BUILDER 529	0.00	2.46	0.00	2.46	100.0	2.46
03/01/2017	LOPER, MARY	AM FUNDS CAPITAL INCOME BUILDER 529	0.00	0.50	0.00	0.50	100.0	0.50
03/01/2017	LOPER, MARY	AM FUNDS CAPITAL INCOME BUILDER 529	0.00	0.50	0.00	0.50	100.0	0.50
03/01/2017	LOPER, MARY	AM FUNDS CAPITAL INCOME BUILDER 529	0.00	1.00	0.00	1.00	100.0	1.00
03/01/2017	LOPER, MARY	AM FUNDS CAPITAL INCOME BUILDER 529	0.00	1.02	0.00	1.02	100.0	1.02
03/01/2017	CESARE, MARIA	AM FUNDS CAPITAL INCOME BUILDER A	525.00	19.69	0.00	19.69	100.0	19.69
03/01/2017	DANG, DIEM CHAU LUONG	AM FUNDS CAPITAL INCOME BUILDER A	100.00	5.00	0.00	5.00	100.0	5.00
03/01/2017	CHIMENTI, VINCENT	AM FUNDS CAPITAL INCOME BUILDER A	0.00	2.26	0.00	2.26	100.0	2.26
03/01/2017	CLOSED-LADUKE-ROBSON, HEATHER	AM FUNDS CAPITAL INCOME BUILDER A	0.00	5.73	0.00	5.73	100.0	5.73
03/01/2017	CLOSED-MCSPARIN-GARD, CINDY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	8.58	0.00	8.58	100.0	8.58
03/01/2017	LAMOUNTAIN, JENNIFER	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.50	0.00	1.50	100.0	1.50
03/01/2017	HOLLAND, JENNIFER	AM FUNDS CAPITAL INCOME BUILDER A	0.00	3.14	0.00	3.14	100.0	3.14
03/01/2017	HELD, JEFFREY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	7.62	0.00	7.62	100.0	7.62
03/01/2017	BUSTER, RICKY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	4.71	0.00	4.71	100.0	4.71
03/01/2017	GREGORY, CAROL	AM FUNDS CAPITAL INCOME BUILDER A	0.00	5.13	0.00	5.13	100.0	5.13
03/01/2017	MUSAL, NANCY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	2.48	0.00	2.48	100.0	2.48
03/01/2017	BABIN, WILLIAM	AM FUNDS CAPITAL INCOME BUILDER A	0.00	4.78	0.00	4.78	100.0	4.78
03/01/2017	SCHECK, VICTORIA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	14.70	0.00	14.70	100.0	14.70

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
03/01/2017	KEBA, STEPHEN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	13.59	0.00	13.59	100.0	13.59
03/01/2017	LUND, STEVEN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	7.89	0.00	7.89	100.0	7.89
03/01/2017	BODO, DAVID	AM FUNDS CAPITAL INCOME BUILDER A	0.00	5.05	0.00	5.05	100.0	5.05
03/01/2017	DURR, GEORGE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	6.84	0.00	6.84	100.0	6.84
03/01/2017	CARTWRIGHT, MICHAELA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	2.13	0.00	2.13	100.0	2.13
03/01/2017	BELLMARINE, ANGIE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.01	0.00	0.01	100.0	0.01
03/01/2017	PHILLIPS, SUNSHINE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	34.59	0.00	34.59	100.0	34.59
03/01/2017	VITIELLO, MICHAEL	AM FUNDS CAPITAL INCOME BUILDER A	0.00	22.84	0.00	22.84	100.0	22.84
03/01/2017	LUND, STEVEN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	16.48	0.00	16.48	100.0	16.48
03/01/2017	SUI-FILO, KRISTA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.05	0.00	1.05	100.0	1.05
03/01/2017	ERFLE, VICTORIA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	19.32	0.00	19.32	100.0	19.32
03/01/2017	CESARE, MARIA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.75	0.00	0.75	100.0	0.75
03/01/2017	SLINKARD, LAURA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	3.18	0.00	3.18	100.0	3.18
03/01/2017	DONADIO, JASON	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.02	0.00	0.02	100.0	0.02
03/01/2017	CESARE, MARIA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	27.38	0.00	27.38	100.0	27.38
03/01/2017	DANG, DIEM CHAU LUONG	AM FUNDS CAPITAL INCOME BUILDER A	0.00	8.23	0.00	8.23	100.0	8.23
03/01/2017	NUTT, MICHAEL	AM FUNDS CAPITAL INCOME BUILDER A	0.00	4.67	0.00	4.67	100.0	4.67
03/01/2017	COX, DEBORAH	AM FUNDS CAPITAL INCOME BUILDER A	0.00	2.28	0.00	2.28	100.0	2.28
03/01/2017	DONADIO, MICHELLE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.42	0.00	0.42	100.0	0.42
03/01/2017	ERICKSON/BENE, THOMAS	AM FUNDS CAPITAL INCOME BUILDER A	0.00	2.01	0.00	2.01	100.0	2.01
03/01/2017	ERICKSON, JEFFREY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	2.08	0.00	2.08	100.0	2.08
03/01/2017	CLOSED-LADUKE-ROBSON, HEATHER	AM FUNDS CAPITAL INCOME BUILDER B	0.00	0.06	0.00	0.06	100.0	0.06
03/01/2017	MENDOZA, ANA	AM FUNDS CAPITAL INCOME BUILDER B	0.00	0.01	0.00	0.01	100.0	0.01
03/01/2017	MASTERSON, ALANNA	AM FUNDS CAPITAL INCOME BUILDER C	0.00	7.97	0.00	7.97	100.0	7.97
03/01/2017	PIERCE, MARTIN	AM FUNDS CAPITAL WORLD BOND A	0.00	2.29	0.00	2.29	100.0	2.29
03/01/2017	PIERCE, MARTIN	AM FUNDS CAPITAL WORLD BOND C	0.00	5.74	0.00	5.74	100.0	5.74
03/01/2017	STOLL, BENJAMIN	AM FUNDS CAPITAL WORLD GRTH & INC 5	0.00	4.11	0.00	4.11	100.0	4.11
03/01/2017	SCHLEICH, SIERRA	AM FUNDS CAPITAL WORLD GRTH & INC 5	0.00	0.24	0.00	0.24	100.0	0.24
02/28/2017	ESSARY, MICHELLE	AM FUNDS CAPITAL WORLD GRTH & INC A	115.00	4.31	0.00	4.31	100.0	4.31
03/01/2017	LAMOUNTAIN, JENNIFER	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.13	0.00	2.13	100.0	2.13
03/01/2017	GREENE, LUCIA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	51.35	0.00	51.35	100.0	51.35
03/01/2017	GREENE, GREG	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	5.97	0.00	5.97	100.0	5.97
03/01/2017	GREENE, DAVID	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	90.53	0.00	90.53	100.0	90.53

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
03/01/2017	MILLER, CHARLENE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.39	0.00	0.39	100.0	0.39
03/01/2017	WALKER TRUST, SUE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	6.81	0.00	6.81	100.0	6.81
03/01/2017	SCHRITZ, BRYAN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	30.97	0.00	30.97	100.0	30.97
03/01/2017	BYERS, HERBERT	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	13.67	0.00	13.67	100.0	13.67
03/01/2017	STOLL, HEATHER	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	11.08	0.00	11.08	100.0	11.08
03/01/2017	SCHLEICH, DAVID	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	14.08	0.00	14.08	100.0	14.08
03/01/2017	GORSEK, JOHN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	8.49	0.00	8.49	100.0	8.49
03/01/2017	FOX UBER, ROBERT	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	60.46	0.00	60.46	100.0	60.46
03/01/2017	BYERS, HERBERT	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	8.87	0.00	8.87	100.0	8.87
03/01/2017	WALKER TRUST, SUE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	6.08	0.00	6.08	100.0	6.08
03/01/2017	WALKER TRUST, SUE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	6.08	0.00	6.08	100.0	6.08
03/01/2017	WALKER TRUST, SUE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	6.08	0.00	6.08	100.0	6.08
03/01/2017	GALL, REBECCA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	3.44	0.00	3.44	100.0	3.44
03/01/2017	DEFRANCESCO, STEVEN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.14	0.00	1.14	100.0	1.14
03/01/2017	GREGORY, CAROL	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	5.33	0.00	5.33	100.0	5.33
03/01/2017	MUSAL, NANCY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.56	0.00	2.56	100.0	2.56
03/01/2017	BABIN, WILLIAM	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	5.56	0.00	5.56	100.0	5.56
03/01/2017	GIBSON, KATHLEEN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.47	0.00	1.47	100.0	1.47
03/01/2017	JORDAN, KIMBERLY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	9.35	0.00	9.35	100.0	9.35
03/01/2017	NAGEOTTE, NIKOLAUS	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	7.67	0.00	7.67	100.0	7.67
03/01/2017	MCKEE, DUANE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	6.35	0.00	6.35	100.0	6.35
03/01/2017	PIERCE, MARTIN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.28	0.00	1.28	100.0	1.28
03/01/2017	SLAYBAUGH, YVONNE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	21.86	0.00	21.86	100.0	21.86
03/01/2017	THOMPSON, PATRICIA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	21.86	0.00	21.86	100.0	21.86
03/01/2017	HINCHLIFFE, CHARLES	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.09	0.00	0.09	100.0	0.09
03/01/2017	SCHRITZ, AMANDA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	9.04	0.00	9.04	100.0	9.04
03/01/2017	SCHRITZ, BRYAN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	9.04	0.00	9.04	100.0	9.04
03/01/2017	HAWK, MARYBELLE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	31.58	0.00	31.58	100.0	31.58
03/01/2017	WARNER, KRISTA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.66	0.00	0.66	100.0	0.66
03/01/2017	LUND, STEVEN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	7.36	0.00	7.36	100.0	7.36
03/01/2017	BODO, DAVID	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	5.35	0.00	5.35	100.0	5.35
03/01/2017	LUND, STEVEN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	17.36	0.00	17.36	100.0	17.36
03/01/2017	LUND, STEVEN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	4.08	0.00	4.08	100.0	4.08

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
03/01/2017	ESSARY, BRADLEY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	5.73	0.00	5.73	100.0	5.73
03/01/2017	ESSARY, MICHELLE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.13	0.00	1.13	100.0	1.13
03/01/2017	ESSARY, MICHELLE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.89	0.00	2.89	100.0	2.89
03/01/2017	BEAUDETT, TIMOTHY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.25	0.00	0.25	100.0	0.25
03/01/2017	LEDFORD, JAMIE	AM FUNDS CAPITAL WORLD GRTH & INC C	0.00	35.78	0.00	35.78	100.0	35.78
03/01/2017	WATKINS, MARK	AM FUNDS CAPITAL WORLD GRTH & INC C	0.00	68.14	0.00	68.14	100.0	68.14
03/01/2017	MCKEE, DUANE	AM FUNDS CAPITAL WORLD GRTH & INC C	0.00	3.34	0.00	3.34	100.0	3.34
03/01/2017	PIERCE, MARTIN	AM FUNDS CAPITAL WORLD GRTH & INC C	0.00	3.61	0.00	3.61	100.0	3.61
03/01/2017	VINING, KRISTOPHER	AM FUNDS CAPITAL WORLD GRTH & INC C	0.00	0.95	0.00	0.95	100.0	0.95
03/01/2017	DOUGHTERY, LISA	AM FUNDS CAPITAL WORLD GRTH & INC C	0.00	3.17	0.00	3.17	100.0	3.17
02/28/2017	GREEN, WILLIAM	AM FUNDS COLLEGE 2030 FUND 529A	50.00	1.75	0.00	1.75	100.0	1.75
03/01/2017	GREEN, WILLIAM	AM FUNDS COLLEGE 2030 FUND 529A	0.00	0.66	0.00	0.66	100.0	0.66
03/01/2017	BRADY, JOHN	AM FUNDS EUROPACIFIC GROWTH FUND 52	0.00	1.63	0.00	1.63	100.0	1.63
03/01/2017	STUMP, DAVID	AM FUNDS EUROPACIFIC GROWTH FUND A	50.00	2.50	0.00	2.50	100.0	2.50
03/01/2017	STUMP, DAVID	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	4.20	0.00	4.20	100.0	4.20
03/01/2017	HOFFMAN, BARBARA	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	12.22	0.00	12.22	100.0	12.22
03/01/2017	MARGERUM, JOHN	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.73	0.00	0.73	100.0	0.73
03/01/2017	WALKER TRUST, SUE	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	5.05	0.00	5.05	100.0	5.05
03/01/2017	FOSTER, KIMBERLY	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	1.51	0.00	1.51	100.0	1.51
03/01/2017	GLOVER, FRANK	AM FUNDS EUROPACIFIC GROWTH FUND C	0.00	46.12	0.00	46.12	100.0	46.12
03/01/2017	HINDS, RUSSELL	AM FUNDS EUROPACIFIC GROWTH FUND C	0.00	3.00	0.00	3.00	100.0	3.00
03/01/2017	PLANSCAPE, INC 401(K) P/S	AM FUNDS EUROPACIFIC GROWTH FUND-R3	0.00	81.55	0.00	81.55	100.0	81.55
03/01/2017	SCHIRO, FRANK	AM FUNDS FUNDAMENTAL INVESTORS 529A	0.00	2.74	0.00	2.74	100.0	2.74
03/01/2017	DIRMEYER, DAVID	AM FUNDS FUNDAMENTAL INVESTORS 529A	0.00	2.72	0.00	2.72	100.0	2.72
03/01/2017	LENCZOWSKI, JANICE	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.95	0.00	0.95	100.0	0.95
03/01/2017	BLOOM, JANET	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	5.33	0.00	5.33	100.0	5.33
03/01/2017	MIELKE, DAVID	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	43.30	0.00	43.30	100.0	43.30
03/01/2017	SCHRITZ, BRYAN	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	17.02	0.00	17.02	100.0	17.02
03/01/2017	GREGORY, CAROL	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	6.73	0.00	6.73	100.0	6.73
03/01/2017	GALVAN, ALEC	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	4.58	0.00	4.58	100.0	4.58
03/01/2017	VINING, KRISTOPHER	AM FUNDS FUNDAMENTAL INVESTORS-F1	0.00	2.07	0.00	2.07	100.0	2.07
03/01/2017	WALKER, SUE	AM FUNDS GLOBAL BALANCED A	0.00	19.41	0.00	19.41	100.0	19.41
03/01/2017	KACZOR, CHRISTOPHER	AM FUNDS GLOBAL BALANCED A	0.00	1.04	0.00	1.04	100.0	1.04

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<u>BROKER TRANSACTIONS</u>								
PRODUCT CATEGORY: MUTUAL FUNDS								
03/01/2017	KACZOR, LISA	AM FUNDS GLOBAL BALANCED A	0.00	8.91	0.00	8.91	100.0	8.91
03/01/2017	KACZOR, CHRISTOPHER	AM FUNDS GLOBAL BALANCED A	0.00	1.16	0.00	1.16	100.0	1.16
03/01/2017	KELLY, SCOTT	AM FUNDS GLOBAL BALANCED A	0.00	1.57	0.00	1.57	100.0	1.57
02/21/2017	HERNANDEZ, HECTOR	AM FUNDS GROWTH AND INCOME A	50.00	2.50	0.00	2.50	100.0	2.50
03/01/2017	BEST, PAUL	AM FUNDS GROWTH AND INCOME A	0.00	121.66	0.00	121.66	100.0	121.66
03/01/2017	BEST, ANN	AM FUNDS GROWTH AND INCOME A	0.00	45.45	0.00	45.45	100.0	45.45
03/01/2017	GREEN, WILLIAM	AM FUNDS GROWTH AND INCOME A	0.00	7.85	0.00	7.85	100.0	7.85
03/01/2017	RUBLY, WILLIAM	AM FUNDS GROWTH AND INCOME A	0.00	7.19	0.00	7.19	100.0	7.19
03/01/2017	HERNANDEZ, HECTOR	AM FUNDS GROWTH AND INCOME A	0.00	0.56	0.00	0.56	100.0	0.56
03/01/2017	RUBLY, ROBERT	AM FUNDS GROWTH AND INCOME A	0.00	0.82	0.00	0.82	100.0	0.82
03/01/2017	HO, PAULINA	AM FUNDS GROWTH AND INCOME C	0.00	10.41	0.00	10.41	100.0	10.41
02/24/2017	COHEN, LORI PIERCE-	AM FUNDS GROWTH FUND OF AMERICA 529	150.00	1.50	0.00	1.50	100.0	1.50
03/01/2017	SCHIRO, FRANK	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	2.63	0.00	2.63	100.0	2.63
03/01/2017	BRADY, JOHN	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	12.96	0.00	12.96	100.0	12.96
03/01/2017	LOPER, MARY	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	0.55	0.00	0.55	100.0	0.55
03/01/2017	LOPER, MARY	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	0.55	0.00	0.55	100.0	0.55
03/01/2017	LOPER, MARY	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	0.25	0.00	0.25	100.0	0.25
03/01/2017	LOPER, MARY	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	0.29	0.00	0.29	100.0	0.29
03/01/2017	LOPER, MARY	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	0.34	0.00	0.34	100.0	0.34
03/01/2017	DIRMEYER, DAVID	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	2.65	0.00	2.65	100.0	2.65
03/01/2017	COHEN, LORI PIERCE-	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	27.18	0.00	27.18	100.0	27.18
02/27/2017	CONCORDE, VARIOUS	AM FUNDS GROWTH FUND OF AMERICA A	-807.16	0.00	0.00	0.00	100.0	0.00
02/27/2017	CONCORDE, VARIOUS	AM FUNDS GROWTH FUND OF AMERICA A	772.86	0.00	0.00	0.00	100.0	0.00
02/28/2017	ESSARY, MICHELLE	AM FUNDS GROWTH FUND OF AMERICA A	115.00	4.31	0.00	4.31	100.0	4.31
03/01/2017	SAM, WINGO	AM FUNDS GROWTH FUND OF AMERICA A	150.00	5.63	0.00	5.63	100.0	5.63
03/01/2017	STUMP, DAVID	AM FUNDS GROWTH FUND OF AMERICA A	50.00	2.50	0.00	2.50	100.0	2.50
03/01/2017	STUMP, DAVID	AM FUNDS GROWTH FUND OF AMERICA A	0.00	6.04	0.00	6.04	100.0	6.04
03/01/2017	HENRY, WYATT	AM FUNDS GROWTH FUND OF AMERICA A	0.00	4.02	0.00	4.02	100.0	4.02
03/01/2017	PETERSON, MARY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	10.35	0.00	10.35	100.0	10.35
03/01/2017	KEMP, JEREMY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	8.04	0.00	8.04	100.0	8.04
03/01/2017	LAMOUNTAIN, JENNIFER	AM FUNDS GROWTH FUND OF AMERICA A	0.00	2.69	0.00	2.69	100.0	2.69
03/01/2017	GREENE, LUCIA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	34.46	0.00	34.46	100.0	34.46
03/01/2017	HOLLAND, JENNIFER	AM FUNDS GROWTH FUND OF AMERICA A	0.00	3.67	0.00	3.67	100.0	3.67

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
03/01/2017	MIELKE, DAVID	AM FUNDS GROWTH FUND OF AMERICA A	0.00	31.23	0.00	31.23	100.0	31.23
03/01/2017	GRANE/, ROBERT	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.25	0.00	1.25	100.0	1.25
03/01/2017	GRANE, ROBERT	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.25	0.00	1.25	100.0	1.25
03/01/2017	GRANE, ROBERT	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.69	0.00	1.69	100.0	1.69
03/01/2017	GRANE, ROBERT	AM FUNDS GROWTH FUND OF AMERICA A	0.00	7.46	0.00	7.46	100.0	7.46
03/01/2017	PARTNERSHIP, CARLSON	AM FUNDS GROWTH FUND OF AMERICA A	0.00	5.33	0.00	5.33	100.0	5.33
03/01/2017	GIVENS, SCOTT	AM FUNDS GROWTH FUND OF AMERICA A	0.00	99.31	0.00	99.31	100.0	99.31
03/01/2017	WALKER TRUST, SUE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	4.12	0.00	4.12	100.0	4.12
03/01/2017	SCHRITZ, BRYAN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	58.09	0.00	58.09	100.0	58.09
03/01/2017	STRAYVE, MICHAEL	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.18	0.00	0.18	100.0	0.18
03/01/2017	RIETH, HOLLY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.39	0.00	1.39	100.0	1.39
03/01/2017	SCHLEICH, DAVID	AM FUNDS GROWTH FUND OF AMERICA A	0.00	18.75	0.00	18.75	100.0	18.75
03/01/2017	GRANE, ROBERT	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.42	0.00	1.42	100.0	1.42
03/01/2017	MUSAL, NANCY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	3.86	0.00	3.86	100.0	3.86
03/01/2017	BABIN, WILLIAM	AM FUNDS GROWTH FUND OF AMERICA A	0.00	7.27	0.00	7.27	100.0	7.27
03/01/2017	LOVEDAY, JUDITH	AM FUNDS GROWTH FUND OF AMERICA A	0.00	3.88	0.00	3.88	100.0	3.88
03/01/2017	ROTH, DANNY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	14.82	0.00	14.82	100.0	14.82
03/01/2017	SCHMITT, KEITH	AM FUNDS GROWTH FUND OF AMERICA A	0.00	7.98	0.00	7.98	100.0	7.98
03/01/2017	SCHECK, VICTORIA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	16.48	0.00	16.48	100.0	16.48
03/01/2017	SCHNEIDER, RYAN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	15.17	0.00	15.17	100.0	15.17
03/01/2017	SHAW, TERRY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	5.48	0.00	5.48	100.0	5.48
03/01/2017	FRITZ, DANIEL	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.80	0.00	1.80	100.0	1.80
03/01/2017	BODO, DAVID	AM FUNDS GROWTH FUND OF AMERICA A	0.00	13.49	0.00	13.49	100.0	13.49
03/01/2017	SAM, WINGO	AM FUNDS GROWTH FUND OF AMERICA A	0.00	33.48	0.00	33.48	100.0	33.48
03/01/2017	YU-DIPASQUALE, MEI-KIN MAGGIE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	2.32	0.00	2.32	100.0	2.32
03/01/2017	DIRMEYER, DAVID	AM FUNDS GROWTH FUND OF AMERICA A	0.00	3.50	0.00	3.50	100.0	3.50
03/01/2017	TSOUNIS, NICK	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.80	0.00	1.80	100.0	1.80
03/01/2017	DIRMEYER, KIMBERLY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	3.52	0.00	3.52	100.0	3.52
03/01/2017	ESSARY, BRADLEY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	7.48	0.00	7.48	100.0	7.48
03/01/2017	DIRMEYER, KIMBERLY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	2.08	0.00	2.08	100.0	2.08
03/01/2017	ESSARY, MICHELLE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.26	0.00	1.26	100.0	1.26
03/01/2017	ESSARY, MICHELLE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	3.37	0.00	3.37	100.0	3.37
03/01/2017	NARESKI, RUSSELL	AM FUNDS GROWTH FUND OF AMERICA A	0.00	7.98	0.00	7.98	100.0	7.98

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
03/03/2017	KEMP, JEREMY	AM FUNDS GROWTH FUND OF AMERICA A	50.00	2.13	0.00	2.13	100.0	2.13
03/01/2017	PETERSON, MARY	AM FUNDS GROWTH FUND OF AMERICA B	0.00	0.09	0.00	0.09	100.0	0.09
03/01/2017	KEMP, JEREMY	AM FUNDS GROWTH FUND OF AMERICA B	0.00	0.54	0.00	0.54	100.0	0.54
03/01/2017	BODO, DAVID	AM FUNDS GROWTH FUND OF AMERICA B	0.00	0.34	0.00	0.34	100.0	0.34
03/01/2017	TSOUNIS, NICK	AM FUNDS GROWTH FUND OF AMERICA B	0.00	0.31	0.00	0.31	100.0	0.31
03/01/2017	VINING, KRISTOPHER	AM FUNDS GROWTH FUND OF AMERICA F1	0.00	1.79	0.00	1.79	100.0	1.79
03/01/2017	KAMPS, BARBARA	AM FUNDS GROWTH FUND OF AMERICA R2	0.00	7.43	0.00	7.43	100.0	7.43
03/01/2017	LARA, PHILIP	AM FUNDS GROWTH PORT A	0.00	1.01	0.00	1.01	100.0	1.01
03/01/2017	BRADY, JOHN	AM FUNDS HIGH INCOME TRUST 529A	0.00	3.37	0.00	3.37	100.0	3.37
03/01/2017	SCHIRO, FRANK	AM FUNDS ICA 529A	0.00	2.70	0.00	2.70	100.0	2.70
03/01/2017	MORRISON, LINDSAY	AM FUNDS ICA 529A	0.00	3.03	0.00	3.03	100.0	3.03
03/01/2017	MORRISON, KYLE	AM FUNDS ICA 529A	0.00	0.29	0.00	0.29	100.0	0.29
03/01/2017	BRADY, JOHN	AM FUNDS ICA 529A	0.00	36.72	0.00	36.72	100.0	36.72
03/01/2017	LOPER, MARY	AM FUNDS ICA 529A	0.00	0.54	0.00	0.54	100.0	0.54
03/01/2017	LOPER, MARY	AM FUNDS ICA 529A	0.00	0.54	0.00	0.54	100.0	0.54
02/24/2017	CONCORDE, VARIOUS	AM FUNDS ICA A	-404.90	0.00	0.00	0.00	100.0	0.00
02/24/2017	CONCORDE, VARIOUS	AM FUNDS ICA A	-2,024.50	0.00	0.00	0.00	100.0	0.00
02/24/2017	CONCORDE, VARIOUS	AM FUNDS ICA A	1,923.27	0.00	0.00	0.00	100.0	0.00
02/24/2017	CONCORDE, VARIOUS	AM FUNDS ICA A	384.65	0.00	0.00	0.00	100.0	0.00
03/01/2017	CHIMENTI, VINCENT	AM FUNDS ICA A	0.00	2.00	0.00	2.00	100.0	2.00
03/01/2017	VANDERKHOVE, SKYLAR	AM FUNDS ICA A	0.00	0.50	0.00	0.50	100.0	0.50
03/01/2017	VANDERKHOVE, GAVIN	AM FUNDS ICA A	0.00	1.23	0.00	1.23	100.0	1.23
03/01/2017	CLOSED-MCSPARIN-GARD, CINDY	AM FUNDS ICA A	0.00	1.68	0.00	1.68	100.0	1.68
03/01/2017	GLOVER, FRANK	AM FUNDS ICA A	0.00	26.32	0.00	26.32	100.0	26.32
03/01/2017	HORNER, KEVIN	AM FUNDS ICA A	0.00	7.41	0.00	7.41	100.0	7.41
03/01/2017	SEMENIK, EMILY	AM FUNDS ICA A	0.00	163.66	0.00	163.66	100.0	163.66
03/01/2017	DROGELL, DAVID	AM FUNDS ICA A	0.00	13.94	0.00	13.94	100.0	13.94
03/01/2017	HOFFMAN, BARBARA	AM FUNDS ICA A	0.00	41.51	0.00	41.51	100.0	41.51
03/01/2017	SPEICHER, JANET	AM FUNDS ICA A	0.00	10.65	0.00	10.65	100.0	10.65
03/01/2017	HOLLAND, JENNIFER	AM FUNDS ICA A	0.00	2.15	0.00	2.15	100.0	2.15
03/01/2017	KING, PETER	AM FUNDS ICA A	0.00	4.38	0.00	4.38	100.0	4.38
03/01/2017	KING, CRYSTAL	AM FUNDS ICA A	0.00	4.27	0.00	4.27	100.0	4.27
03/01/2017	PAVLINA, MICHAEL	AM FUNDS ICA A	0.00	0.09	0.00	0.09	100.0	0.09

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
03/01/2017	ABEL, JEFFREY	AM FUNDS ICA A	0.00	0.36	0.00	0.36	100.0	0.36
03/01/2017	DROGELL, LINDA	AM FUNDS ICA A	0.00	10.79	0.00	10.79	100.0	10.79
03/01/2017	GREENE, DAVID	AM FUNDS ICA A	0.00	22.56	0.00	22.56	100.0	22.56
03/01/2017	PASEK, CHRISTINE	AM FUNDS ICA A	0.00	3.85	0.00	3.85	100.0	3.85
03/01/2017	PASEK, KEVIN	AM FUNDS ICA A	0.00	3.85	0.00	3.85	100.0	3.85
03/01/2017	BACHTELL, JAMES	AM FUNDS ICA A	0.00	24.03	0.00	24.03	100.0	24.03
03/01/2017	GERSPACHER, BRIANA	AM FUNDS ICA A	0.00	1.69	0.00	1.69	100.0	1.69
03/01/2017	KNOTT, PAUL	AM FUNDS ICA A	0.00	11.92	0.00	11.92	100.0	11.92
03/01/2017	MARKOVITZ, EDWARD	AM FUNDS ICA A	0.00	0.85	0.00	0.85	100.0	0.85
03/01/2017	BURTZLAFF, MATTHEW	AM FUNDS ICA A	0.00	69.47	0.00	69.47	100.0	69.47
03/01/2017	STRAYVE, MICHAEL	AM FUNDS ICA A	0.00	0.33	0.00	0.33	100.0	0.33
03/01/2017	KNOTT, MARY	AM FUNDS ICA A	0.00	0.74	0.00	0.74	100.0	0.74
03/01/2017	GORSEK, JOHN	AM FUNDS ICA A	0.00	8.75	0.00	8.75	100.0	8.75
03/01/2017	FULTON, JOHN	AM FUNDS ICA A	0.00	10.18	0.00	10.18	100.0	10.18
03/01/2017	JAMES, RODNEY	AM FUNDS ICA A	0.00	0.04	0.00	0.04	100.0	0.04
03/01/2017	OLSON, ERIC	AM FUNDS ICA A	0.00	3.42	0.00	3.42	100.0	3.42
03/01/2017	DEFRANCESCO, STEVEN	AM FUNDS ICA A	0.00	0.59	0.00	0.59	100.0	0.59
03/01/2017	MUSAL, NANCY	AM FUNDS ICA A	0.00	3.06	0.00	3.06	100.0	3.06
03/01/2017	BABIN, WILLIAM	AM FUNDS ICA A	0.00	6.80	0.00	6.80	100.0	6.80
03/01/2017	BONFIGLIO, DANIEL	AM FUNDS ICA A	0.00	8.78	0.00	8.78	100.0	8.78
03/01/2017	LOVEDAY, JUDITH	AM FUNDS ICA A	0.00	3.95	0.00	3.95	100.0	3.95
03/01/2017	PERSIC, ERNST	AM FUNDS ICA A	0.00	7.24	0.00	7.24	100.0	7.24
03/01/2017	LINDEN, MARGARET	AM FUNDS ICA A	0.00	5.05	0.00	5.05	100.0	5.05
03/01/2017	BURTZLAFF, MATTHEW	AM FUNDS ICA A	0.00	5.49	0.00	5.49	100.0	5.49
03/01/2017	KALINOWSKI, BARBARA	AM FUNDS ICA A	0.00	2.75	0.00	2.75	100.0	2.75
03/01/2017	GIVENS, DEBRA	AM FUNDS ICA A	0.00	3.91	0.00	3.91	100.0	3.91
03/01/2017	WAUGH, ERIN	AM FUNDS ICA A	0.00	0.88	0.00	0.88	100.0	0.88
03/01/2017	MACK JR, SAMUEL	AM FUNDS ICA A	0.00	1.36	0.00	1.36	100.0	1.36
03/01/2017	ANDERSON, AMY	AM FUNDS ICA A	0.00	1.09	0.00	1.09	100.0	1.09
03/01/2017	KEBA, STEPHEN	AM FUNDS ICA A	0.00	2.09	0.00	2.09	100.0	2.09
03/01/2017	ERICKSON/BENE, THOMAS	AM FUNDS ICA A	0.00	2.39	0.00	2.39	100.0	2.39
03/01/2017	ERICKSON, JEFFREY	AM FUNDS ICA A	0.00	12.46	0.00	12.46	100.0	12.46
03/01/2017	ERICKSON, THOMAS	AM FUNDS ICA A	0.00	10.18	0.00	10.18	100.0	10.18

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
03/01/2017	BURCHMAN TR, MAE	AM FUNDS ICA A	0.00	22.88	0.00	22.88	100.0	22.88
03/01/2017	SCHURRER, JOHANNA	AM FUNDS ICA A	0.00	9.26	0.00	9.26	100.0	9.26
03/01/2017	SCHURRER, JOHANNA	AM FUNDS ICA A	0.00	10.60	0.00	10.60	100.0	10.60
03/01/2017	KRYCIAN, JENNIFER	AM FUNDS ICA A	0.00	0.42	0.00	0.42	100.0	0.42
03/01/2017	DALESSANDRO, COLLIN	AM FUNDS ICA A	0.00	12.19	0.00	12.19	100.0	12.19
03/01/2017	JORDAN, TRAVIS	AM FUNDS ICA F1	0.00	3.26	0.00	3.26	100.0	3.26
03/01/2017	KAMPS, BARBARA	AM FUNDS ICA R2	0.00	9.05	0.00	9.05	100.0	9.05
03/01/2017	CLOSED-MCSPARIN-GARD, CINDY	AM FUNDS INCOME FUND OF AMERICA A	0.00	2.96	0.00	2.96	100.0	2.96
03/01/2017	WELCH, TIMOTHY	AM FUNDS INCOME FUND OF AMERICA A	0.00	4.51	0.00	4.51	100.0	4.51
03/01/2017	DEFRANCESCO, STEVEN	AM FUNDS INCOME FUND OF AMERICA A	0.00	1.18	0.00	1.18	100.0	1.18
03/01/2017	MUSAL, NANCY	AM FUNDS INCOME FUND OF AMERICA A	0.00	2.87	0.00	2.87	100.0	2.87
03/01/2017	SCHECK, VICTORIA	AM FUNDS INCOME FUND OF AMERICA A	0.00	16.38	0.00	16.38	100.0	16.38
03/01/2017	KEBA, STEPHEN	AM FUNDS INCOME FUND OF AMERICA A	0.00	14.28	0.00	14.28	100.0	14.28
03/01/2017	GATNY, RENETTE	AM FUNDS INCOME FUND OF AMERICA A	0.00	74.94	0.00	74.94	100.0	74.94
03/01/2017	GATNY, RENETTE	AM FUNDS INCOME FUND OF AMERICA A	0.00	8.21	0.00	8.21	100.0	8.21
03/01/2017	GATNY TRUST, RENETTE	AM FUNDS INCOME FUND OF AMERICA A	0.00	52.96	0.00	52.96	100.0	52.96
03/01/2017	MI/TOD	AM FUNDS INCOME FUND OF AMERICA A	0.00	43.89	0.00	43.89	100.0	43.89
03/01/2017	ERICKSON/BENE, THOMAS	AM FUNDS INCOME FUND OF AMERICA A	0.00	2.20	0.00	2.20	100.0	2.20
03/01/2017	ERICKSON, JEFFREY	AM FUNDS INCOME FUND OF AMERICA A	0.00	12.63	0.00	12.63	100.0	12.63
03/01/2017	ERICKSON, THOMAS	AM FUNDS INCOME FUND OF AMERICA A	0.00	10.53	0.00	10.53	100.0	10.53
03/01/2017	GLOVER, FRANK	AM FUNDS INCOME FUND OF AMERICA F-1	0.00	5.08	0.00	5.08	100.0	5.08
03/01/2017	SCHIRO, FRANK	AM FUNDS INCOME FUND OF AMERICA-529	0.00	2.61	0.00	2.61	100.0	2.61
03/01/2017	HO, PAULINA	AM FUNDS INCOME PORTFOLIO C	0.00	10.39	0.00	10.39	100.0	10.39
03/01/2017	BLOOM, JANET	AM FUNDS INTERMEDIATE BOND FUND OF	0.00	2.04	0.00	2.04	100.0	2.04
03/01/2017	SMITH, H DENNIS	AM FUNDS INTL GROWTH AND INCOME A	0.00	2.23	0.00	2.23	100.0	2.23
03/01/2017	STANTON, GEORGE	AM FUNDS INTL GROWTH AND INCOME A	0.00	1.13	0.00	1.13	100.0	1.13
03/01/2017	CASSADY, JEFFREY	AM FUNDS NEW ECONOMY 529A	0.00	17.92	0.00	17.92	100.0	17.92
03/01/2017	AGUILAR, JOSE	AM FUNDS NEW ECONOMY 529A	0.00	0.49	0.00	0.49	100.0	0.49
03/01/2017	LINDERMAN, JEAN	AM FUNDS NEW ECONOMY A	0.00	0.98	0.00	0.98	100.0	0.98
03/01/2017	HOFFMAN, BARBARA	AM FUNDS NEW ECONOMY A	0.00	28.29	0.00	28.29	100.0	28.29
03/01/2017	ERMAN, NOLAKAY	AM FUNDS NEW ECONOMY A	0.00	40.17	0.00	40.17	100.0	40.17
03/01/2017	MIELKE, DAVID	AM FUNDS NEW ECONOMY A	0.00	31.45	0.00	31.45	100.0	31.45
03/01/2017	SAMMONS, DAVID	AM FUNDS NEW ECONOMY A	0.00	0.15	0.00	0.15	100.0	0.15

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
03/01/2017	GERSPACHER, BRIANA	AM FUNDS NEW ECONOMY A	0.00	6.82	0.00	6.82	100.0	6.82
03/01/2017	CHAMPION, STEPHANIE	AM FUNDS NEW ECONOMY A	0.00	5.13	0.00	5.13	100.0	5.13
03/01/2017	SCHMITT, KEITH	AM FUNDS NEW ECONOMY A	0.00	4.41	0.00	4.41	100.0	4.41
03/01/2017	SCHNEIDER, RYAN	AM FUNDS NEW ECONOMY A	0.00	13.35	0.00	13.35	100.0	13.35
03/01/2017	LAWRENCE, CURTIS	AM FUNDS NEW PERSPECTIVE 529A	0.00	1.25	0.00	1.25	100.0	1.25
03/01/2017	LAWRENCE, CURTIS	AM FUNDS NEW PERSPECTIVE 529A	0.00	1.25	0.00	1.25	100.0	1.25
03/01/2017	LAWRENCE, CURTIS	AM FUNDS NEW PERSPECTIVE 529A	0.00	1.28	0.00	1.28	100.0	1.28
03/01/2017	DIRMEYER, DAVID	AM FUNDS NEW PERSPECTIVE 529A	0.00	2.49	0.00	2.49	100.0	2.49
02/24/2017	COHEN, LORI PIERCE-	AM FUNDS NEW PERSPECTIVE 529C	150.00	1.50	0.00	1.50	100.0	1.50
03/01/2017	COHEN, LORI PIERCE-	AM FUNDS NEW PERSPECTIVE 529C	0.00	22.88	0.00	22.88	100.0	22.88
02/28/2017	ESSARY, MICHELLE	AM FUNDS NEW PERSPECTIVE A	115.00	4.31	0.00	4.31	100.0	4.31
03/01/2017	LAMOUNTAIN, JENNIFER	AM FUNDS NEW PERSPECTIVE A	0.00	2.87	0.00	2.87	100.0	2.87
03/01/2017	HOFFMAN, BARBARA	AM FUNDS NEW PERSPECTIVE A	0.00	11.09	0.00	11.09	100.0	11.09
03/01/2017	FARKASH /SEP, NICHOLAS	AM FUNDS NEW PERSPECTIVE A	0.00	5.46	0.00	5.46	100.0	5.46
03/01/2017	HAWK, CYNTHIA	AM FUNDS NEW PERSPECTIVE A	0.00	0.23	0.00	0.23	100.0	0.23
03/01/2017	HAWK, CYNTHIA	AM FUNDS NEW PERSPECTIVE A	0.00	1.71	0.00	1.71	100.0	1.71
03/01/2017	LITTRELL, CASEY	AM FUNDS NEW PERSPECTIVE A	0.00	4.02	0.00	4.02	100.0	4.02
03/01/2017	MIELKE, DAVID	AM FUNDS NEW PERSPECTIVE A	0.00	28.95	0.00	28.95	100.0	28.95
03/01/2017	FULTON, JOHN	AM FUNDS NEW PERSPECTIVE A	0.00	5.11	0.00	5.11	100.0	5.11
03/01/2017	JAMES, RODNEY	AM FUNDS NEW PERSPECTIVE A	0.00	0.16	0.00	0.16	100.0	0.16
03/01/2017	OLSON, ERIC	AM FUNDS NEW PERSPECTIVE A	0.00	3.36	0.00	3.36	100.0	3.36
03/01/2017	MUSAL, NANCY	AM FUNDS NEW PERSPECTIVE A	0.00	2.98	0.00	2.98	100.0	2.98
03/01/2017	PIERCE, MARTIN	AM FUNDS NEW PERSPECTIVE A	0.00	1.35	0.00	1.35	100.0	1.35
03/01/2017	ERICKSON/BENE, THOMAS	AM FUNDS NEW PERSPECTIVE A	0.00	2.53	0.00	2.53	100.0	2.53
03/01/2017	ERICKSON, JEFFREY	AM FUNDS NEW PERSPECTIVE A	0.00	2.60	0.00	2.60	100.0	2.60
03/01/2017	TSOUNIS, NICK	AM FUNDS NEW PERSPECTIVE A	0.00	1.64	0.00	1.64	100.0	1.64
03/01/2017	ESSARY, BRADLEY	AM FUNDS NEW PERSPECTIVE A	0.00	6.30	0.00	6.30	100.0	6.30
03/01/2017	ESSARY, MICHELLE	AM FUNDS NEW PERSPECTIVE A	0.00	4.10	0.00	4.10	100.0	4.10
03/01/2017	ESSARY, MICHELLE	AM FUNDS NEW PERSPECTIVE A	0.00	2.97	0.00	2.97	100.0	2.97
03/01/2017	TSOUNIS, NICK	AM FUNDS NEW PERSPECTIVE B	0.00	0.29	0.00	0.29	100.0	0.29
03/01/2017	HINDS, RUSSELL	AM FUNDS NEW PERSPECTIVE C	0.00	3.66	0.00	3.66	100.0	3.66
03/01/2017	PIERCE, MARTIN	AM FUNDS NEW PERSPECTIVE C	0.00	3.94	0.00	3.94	100.0	3.94
03/01/2017	VINING, KRISTOPHER	AM FUNDS NEW PERSPECTIVE F-1	0.00	0.44	0.00	0.44	100.0	0.44

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
03/01/2017	HAIDER, MARIAM	AM FUNDS NEW WORLD A	0.00	0.57	0.00	0.57	100.0	0.57
03/01/2017	BAKER, BEVERLY	AM FUNDS NEW WORLD A	0.00	0.25	0.00	0.25	100.0	0.25
03/01/2017	WALKER TRUST, SUE	AM FUNDS NEW WORLD A	0.00	5.30	0.00	5.30	100.0	5.30
03/01/2017	BUSTER, RICKY	AM FUNDS NEW WORLD A	0.00	4.89	0.00	4.89	100.0	4.89
03/01/2017	OLSON, ERIC	AM FUNDS NEW WORLD A	0.00	2.73	0.00	2.73	100.0	2.73
03/01/2017	MUSAL, NANCY	AM FUNDS NEW WORLD A	0.00	2.25	0.00	2.25	100.0	2.25
03/01/2017	SANDERS, GARY	AM FUNDS NEW WORLD A	0.00	0.95	0.00	0.95	100.0	0.95
03/01/2017	LUND, STEVEN	AM FUNDS NEW WORLD A	0.00	4.74	0.00	4.74	100.0	4.74
03/01/2017	HORNER, KEVIN	AM FUNDS SMALLCAP WORLD A	0.00	5.03	0.00	5.03	100.0	5.03
03/01/2017	OLSON, ERIC	AM FUNDS SMALLCAP WORLD A	0.00	3.17	0.00	3.17	100.0	3.17
03/01/2017	PERSIC, ERNST	AM FUNDS SMALLCAP WORLD A	0.00	8.20	0.00	8.20	100.0	8.20
03/01/2017	SAGGAR, VADEESH	AM FUNDS SMALLCAP WORLD A	0.00	1.57	0.00	1.57	100.0	1.57
03/01/2017	CARTWRIGHT, MICHAELA	AM FUNDS SMALLCAP WORLD A	0.00	1.91	0.00	1.91	100.0	1.91
03/01/2017	VITIELLO, MICHAEL	AM FUNDS SMALLCAP WORLD A	0.00	22.14	0.00	22.14	100.0	22.14
03/01/2017	YU-DIPASQUALE, MEI-KIN MAGGIE	AM FUNDS SMALLCAP WORLD A	0.00	2.14	0.00	2.14	100.0	2.14
03/01/2017	COX, DEBORAH	AM FUNDS SMALLCAP WORLD A	0.00	2.45	0.00	2.45	100.0	2.45
03/01/2017	CASSADY, JEFFREY	AM FUNDS SMALLCAP WORLD-529A	0.00	15.96	0.00	15.96	100.0	15.96
03/01/2017	VITIELLO, MICHAEL	AM FUNDS SMALLCAP WORLD-529A	0.00	4.06	0.00	4.06	100.0	4.06
03/01/2017	VITIELLO, MICHAEL	AM FUNDS SMALLCAP WORLD-529A	0.00	6.08	0.00	6.08	100.0	6.08
03/01/2017	MARTINEZ, RICHARD	AM FUNDS SMALLCAP WORLD-529A	0.00	3.00	0.00	3.00	100.0	3.00
03/01/2017	BRADY, JOHN	AM FUNDS SMALLCAP WORLD-529A	0.00	6.52	0.00	6.52	100.0	6.52
03/01/2017	MCCAFFERTY, COLLEEN	AM FUNDS U.S. GOVERNMENT SECURITIES	0.00	12.04	0.00	12.04	100.0	12.04
03/01/2017	FINK, JENNIFER	AM FUNDS U.S. GOVERNMENT SECURITIES	0.00	1.21	0.00	1.21	100.0	1.21
03/01/2017	JANSEN, ANTHONY	AM FUNDS U.S. GOVERNMENT SECURITIES	0.00	32.05	0.00	32.05	100.0	32.05
02/24/2017	CONCORDE, VARIOUS	AM FUNDS WASHINGTON MUTUAL INVESTOR	1,903.15	0.00	0.00	0.00	100.0	0.00
02/24/2017	CONCORDE, VARIOUS	AM FUNDS WASHINGTON MUTUAL INVESTOR	-409.77	0.00	0.00	0.00	100.0	0.00
02/24/2017	CONCORDE, VARIOUS	AM FUNDS WASHINGTON MUTUAL INVESTOR	-2,003.32	0.00	0.00	0.00	100.0	0.00
02/24/2017	CONCORDE, VARIOUS	AM FUNDS WASHINGTON MUTUAL INVESTOR	389.28	0.00	0.00	0.00	100.0	0.00
03/01/2017	MORRISON, LINDSAY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	2.60	0.00	2.60	100.0	2.60
03/01/2017	MORRISON, KYLE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.36	0.00	0.36	100.0	0.36
03/01/2017	CONKLIN, JOEL	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.60	0.00	0.60	100.0	0.60
03/01/2017	KEMP, JEREMY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	12.00	0.00	12.00	100.0	12.00
03/01/2017	LAMOUNTAIN, JENNIFER	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	2.67	0.00	2.67	100.0	2.67

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
03/01/2017	KEMP, JEREMY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.55	0.00	0.55	100.0	0.55
03/01/2017	GREENE, LUCIA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	120.43	0.00	120.43	100.0	120.43
03/01/2017	HOLLAND, JENNIFER	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	3.11	0.00	3.11	100.0	3.11
03/01/2017	GREENE, GREG	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	9.16	0.00	9.16	100.0	9.16
03/01/2017	GREENE, DAVID	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	74.67	0.00	74.67	100.0	74.67
03/01/2017	BONDS, SALLY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	47.61	0.00	47.61	100.0	47.61
03/01/2017	FOLEY, KAREN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	17.92	0.00	17.92	100.0	17.92
03/01/2017	KNOTT, PAUL	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	7.13	0.00	7.13	100.0	7.13
03/01/2017	BUSTER, RICKY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	20.16	0.00	20.16	100.0	20.16
03/01/2017	STRAYVE, MICHAEL	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.16	0.00	0.16	100.0	0.16
03/01/2017	GORSEK, JOHN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	8.16	0.00	8.16	100.0	8.16
03/01/2017	FULTON, JOHN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	5.76	0.00	5.76	100.0	5.76
03/01/2017	BODE, SHELBBIA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	23.53	0.00	23.53	100.0	23.53
03/01/2017	LOVEDAY, JUDITH	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	5.91	0.00	5.91	100.0	5.91
03/01/2017	ERICKSON/BENE, THOMAS	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	2.35	0.00	2.35	100.0	2.35
03/01/2017	ERICKSON, JEFFREY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	2.42	0.00	2.42	100.0	2.42
03/01/2017	GALVAN, ALEC	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	2.53	0.00	2.53	100.0	2.53
03/01/2017	DALESSANDRO/AUTH PER, ERIC	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.40	0.00	0.40	100.0	0.40
03/01/2017	KERN, KATHERINE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	2.84	0.00	2.84	100.0	2.84
03/01/2017	WELLS, GREG	AMERICAN FD GLOBAL GROWTH PORTFOLIO	0.00	1.02	0.00	1.02	100.0	1.02
03/01/2017	WELLS, GREG	AMERICAN FD GLOBAL GROWTH PORTFOLIO	0.00	1.02	0.00	1.02	100.0	1.02
03/01/2017	WELLS, GREG	AMERICAN FUND BALANCED PORTFOLIO 52	0.00	1.00	0.00	1.00	100.0	1.00
03/01/2017	WELLS, GREG	AMERICAN FUND BALANCED PORTFOLIO 52	0.00	1.00	0.00	1.00	100.0	1.00
03/01/2017	CALZADA, LARA	AMERICAN FUND COLLEGE 2027 FUND 529	100.00	3.50	0.00	3.50	100.0	3.50
03/01/2017	CALZADA, LARA	AMERICAN FUND COLLEGE 2027 FUND 529	0.00	0.78	0.00	0.78	100.0	0.78
03/01/2017	VINING, KRISTOPHER	AMERICAN FUND SMALLCAP WORKD FUND-F	0.00	2.29	0.00	2.29	100.0	2.29
03/01/2017	ROBINSON, SARAH	AMERICAN FUNDS COLLEGE 2033 FUND-52	0.00	0.27	0.00	0.27	100.0	0.27
03/01/2017	PLANSCAPE, INC 401(K) P/S	AMERICAN FUNDS FUNDAMENTAL INVESTOR	0.00	637.40	0.00	637.40	100.0	637.40
03/01/2017	PLANSCAPE, INC 401(K) P/S	AMERICAN FUNDS NEW WORLD R3	0.00	129.74	0.00	129.74	100.0	129.74
02/24/2017	CONCORDE, VARIOUS	CATALYST/MILLBURN HEDGE STRATEGY FU	-7,021.78	0.00	0.00	0.00	100.0	0.00
02/24/2017	CONCORDE, VARIOUS	CATALYST/MILLBURN HEDGE STRATEGY FU	6,670.69	0.00	0.00	0.00	100.0	0.00
03/08/2017	CONCORDE, VARIOUS	CATALYST/MILLBURN HEDGE STRATEGY FU	11,850.05	0.00	0.00	0.00	100.0	0.00
03/08/2017	CONCORDE, VARIOUS	CATALYST/MILLBURN HEDGE STRATEGY FU	-12,473.74	0.00	0.00	0.00	100.0	0.00

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
03/08/2017	CONCORDE, VARIOUS	CATALYST/MILLBURN HEDGE STRATEGY FU	11,850.05	0.00	0.00	0.00	100.0	0.00
03/08/2017	CONCORDE, VARIOUS	CATALYST/MILLBURN HEDGE STRATEGY FU	-12,473.74	0.00	0.00	0.00	100.0	0.00
02/28/2017	KLEMP, DANIAL	DELAWARE VALUE A	0.00	6.65	0.00	6.65	100.0	6.65
02/28/2017	SIDLOROBEG	DELAWARE VALUE A	0.00	28.91	0.00	28.91	100.0	28.91
02/27/2017	CONCORDE, VARIOUS	GRIFFIN INSTITUTIONAL ACCESS REAL E	-25,016.34	0.00	0.00	0.00	100.0	0.00
02/27/2017	CONCORDE, VARIOUS	GRIFFIN INSTITUTIONAL ACCESS REAL E	23,765.52	0.00	0.00	0.00	100.0	0.00
03/06/2017	CONCORDE, VARIOUS	PUTNAM CAPITAL SPECTRUM C	-228.00	0.00	0.00	0.00	100.0	0.00
03/06/2017	CONCORDE, VARIOUS	PUTNAM CAPITAL SPECTRUM C	225.72	0.00	0.00	0.00	100.0	0.00
03/06/2017	CONCORDE, VARIOUS	PUTNAM EQUITY SPECTRUM C	224.73	0.00	0.00	0.00	100.0	0.00
03/06/2017	CONCORDE, VARIOUS	PUTNAM EQUITY SPECTRUM C	-227.00	0.00	0.00	0.00	100.0	0.00
03/06/2017	CONCORDE, VARIOUS	TRANSAMERICA AA GROWTH C	-300.00	0.00	0.00	0.00	100.0	0.00
03/06/2017	CONCORDE, VARIOUS	TRANSAMERICA AA GROWTH C	297.00	0.00	0.00	0.00	100.0	0.00
03/10/2017	CONCORDE, VARIOUS	TRANSAMERICA AA GROWTH C	445.50	0.00	0.00	0.00	100.0	0.00
03/10/2017	CONCORDE, VARIOUS	TRANSAMERICA AA GROWTH C	-450.00	0.00	0.00	0.00	100.0	0.00
03/01/2017	MURPHY, PAUL	U.S. GOVERNMENT SECURITIES FUND-R2	0.00	7.62	0.00	7.62	100.0	7.62
* MUTUAL FUNDS SUBTOTAL *			\$87.29	\$5,518.44	\$0.00	\$5,518.44		\$5,518.44
<u>PRODUCT CATEGORY: STOCKS</u>								
03/07/2017	CONCORDE, VARIOUS	ALLIANCEBERSTEIN GLOBAL HIGH INCOME	7,393.38	0.00	0.00	0.00	100.0	0.00
03/07/2017	CONCORDE, VARIOUS	ALLIANCEBERSTEIN GLOBAL HIGH INCOME	-2,542.00	0.00	1.00	-1.00	100.0	-1.00
03/07/2017	CONCORDE, VARIOUS	ALLIANCEBERSTEIN GLOBAL HIGH INCOME	-4,851.40	0.00	1.00	-1.00	100.0	-1.00
03/10/2017	CONCORDE, VARIOUS	AMTRUST FINL SVCS INC DEP SHS REPST	-9,976.14	0.00	0.00	0.00	100.0	0.00
03/10/2017	CONCORDE, VARIOUS	AMTRUST FINL SVCS INC DEP SHS REPST	7,215.00	0.00	1.00	-1.00	100.0	-1.00
03/10/2017	CONCORDE, VARIOUS	AMTRUST FINL SVCS INC DEP SHS REPST	2,761.15	0.00	1.00	-1.00	100.0	-1.00
03/10/2017	CONCORDE, VARIOUS	AMTRUST FINL SVCS INC DEP SHS REPST	-12,433.41	0.00	0.00	0.00	100.0	0.00
03/10/2017	CONCORDE, VARIOUS	AMTRUST FINL SVCS INC DEP SHS REPST	3,601.50	0.00	1.00	-1.00	100.0	-1.00
03/10/2017	CONCORDE, VARIOUS	AMTRUST FINL SVCS INC DEP SHS REPST	2,392.00	0.00	1.00	-1.00	100.0	-1.00
03/10/2017	CONCORDE, VARIOUS	AMTRUST FINL SVCS INC DEP SHS REPST	2,392.00	0.00	1.00	-1.00	100.0	-1.00
03/10/2017	CONCORDE, VARIOUS	AMTRUST FINL SVCS INC DEP SHS REPST	-8,385.51	0.00	0.00	0.00	100.0	0.00
03/10/2017	CONCORDE, VARIOUS	AMTRUST FINL SVCS INC DEP SHS REPST	95.68	0.00	1.00	-1.00	100.0	-1.00
03/10/2017	CONCORDE, VARIOUS	AMTRUST FINL SVCS INC DEP SHS REPST	2,248.48	0.00	1.00	-1.00	100.0	-1.00
03/10/2017	CONCORDE, VARIOUS	AMTRUST FINL SVCS INC DEP SHS REPST	526.02	0.00	1.00	-1.00	100.0	-1.00
03/10/2017	CONCORDE, VARIOUS	AMTRUST FINL SVCS INC DEP SHS REPST	2,392.00	0.00	1.00	-1.00	100.0	-1.00
03/10/2017	CONCORDE, VARIOUS	AMTRUST FINL SVCS INC DEP SHS REPST	143.52	0.00	1.00	-1.00	100.0	-1.00

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<u>BROKER TRANSACTIONS</u>								
PRODUCT CATEGORY: STOCKS								
03/10/2017	CONCORDE, VARIOUS	AMTRUST FINL SVCS INC DEP SHS REPST	1,770.08	0.00	1.00	-1.00	100.0	-1.00
03/10/2017	CONCORDE, VARIOUS	AMTRUST FINL SVCS INC DEP SHS REPST	5,257.63	0.00	1.00	-1.00	100.0	-1.00
03/07/2017	CONCORDE, VARIOUS	BP PLC SPONS ADR	4,915.60	0.00	0.00	0.00	100.0	0.00
03/07/2017	CONCORDE, VARIOUS	BP PLC SPONS ADR	-1,728.90	0.00	1.00	-1.00	100.0	-1.00
03/07/2017	CONCORDE, VARIOUS	BP PLC SPONS ADR	-3,186.70	0.00	1.00	-1.00	100.0	-1.00
03/01/2017	CONCORDE, VARIOUS	COLONY NORTHSTAR INC CL A COM	3,905.40	0.00	0.00	0.00	100.0	0.00
03/01/2017	CONCORDE, VARIOUS	COLONY NORTHSTAR INC CL A COM	-1,338.60	0.00	1.00	-1.00	100.0	-1.00
03/01/2017	CONCORDE, VARIOUS	COLONY NORTHSTAR INC CL A COM	-1,380.00	0.00	1.00	-1.00	100.0	-1.00
03/01/2017	CONCORDE, VARIOUS	COLONY NORTHSTAR INC CL A COM	-1,186.80	0.00	1.00	-1.00	100.0	-1.00
03/08/2017	CONCORDE, VARIOUS	DIREXION SHS ETF TR DIREXION DAILY	-6,602.00	0.00	1.00	-1.00	100.0	-1.00
03/08/2017	CONCORDE, VARIOUS	DIREXION SHS ETF TR DIREXION DAILY	-6,601.00	0.00	1.00	-1.00	100.0	-1.00
03/08/2017	CONCORDE, VARIOUS	DIREXION SHS ETF TR DIREXION DAILY	13,203.00	0.00	0.00	0.00	100.0	0.00
03/08/2017	CONCORDE, VARIOUS	DIREXION SHS ETF TR DIREXION DAILY	6,682.90	0.00	1.00	-1.00	100.0	-1.00
03/08/2017	CONCORDE, VARIOUS	DIREXION SHS ETF TR DIREXION DAILY	6,682.80	0.00	1.00	-1.00	100.0	-1.00
03/08/2017	CONCORDE, VARIOUS	DIREXION SHS ETF TR DIREXION DAILY	-13,365.70	0.00	0.00	0.00	100.0	0.00
02/28/2017	CONCORDE, VARIOUS	DISNEY WALT CO DISNEY COM	10,891.98	0.00	1.00	-1.00	100.0	-1.00
02/28/2017	CONCORDE, VARIOUS	DISNEY WALT CO DISNEY COM	110.02	0.00	1.00	-1.00	100.0	-1.00
02/28/2017	CONCORDE, VARIOUS	DISNEY WALT CO DISNEY COM	11,002.00	0.00	1.00	-1.00	100.0	-1.00
02/28/2017	CONCORDE, VARIOUS	DISNEY WALT CO DISNEY COM	4,401.20	0.00	1.00	-1.00	100.0	-1.00
02/28/2017	CONCORDE, VARIOUS	DISNEY WALT CO DISNEY COM	-26,405.21	0.00	0.00	0.00	100.0	0.00
03/07/2017	CONCORDE, VARIOUS	HEALTHCARE REALTY TRUST INC	-3,154.00	0.00	1.00	-1.00	100.0	-1.00
03/07/2017	CONCORDE, VARIOUS	HEALTHCARE REALTY TRUST INC	-2,207.10	0.00	1.00	-1.00	100.0	-1.00
03/07/2017	CONCORDE, VARIOUS	HEALTHCARE REALTY TRUST INC	-946.20	0.00	1.00	-1.00	100.0	-1.00
03/07/2017	CONCORDE, VARIOUS	HEALTHCARE REALTY TRUST INC	-1,576.85	0.00	1.00	-1.00	100.0	-1.00
03/07/2017	CONCORDE, VARIOUS	HEALTHCARE REALTY TRUST INC	7,884.15	0.00	0.00	0.00	100.0	0.00
03/07/2017	CONCORDE, VARIOUS	HEALTHCARE TR AMER INC CL A NEW	-1,559.18	0.00	1.00	-1.00	100.0	-1.00
03/07/2017	CONCORDE, VARIOUS	HEALTHCARE TR AMER INC CL A NEW	-3,119.00	0.00	1.00	-1.00	100.0	-1.00
03/07/2017	CONCORDE, VARIOUS	HEALTHCARE TR AMER INC CL A NEW	-3,119.00	0.00	1.00	-1.00	100.0	-1.00
03/07/2017	CONCORDE, VARIOUS	HEALTHCARE TR AMER INC CL A NEW	7,797.18	0.00	0.00	0.00	100.0	0.00
02/09/2017	CONCORDE IS	ISHARES TR RUSSELL 2000 INDEX FD	13,424.78	0.00	0.00	0.00	100.0	0.00
02/09/2017	CONCORDE IS	ISHARES TR RUSSELL 2000 INDEX FD	13,424.78	0.00	0.00	0.00	100.0	0.00
02/28/2017	CONCORDE, VARIOUS	ISHARES TR RUSSELL 2000 INDEX FD	836.11	0.00	0.00	0.00	100.0	0.00
02/28/2017	CONCORDE, VARIOUS	ISHARES TR RUSSELL 2000 INDEX FD	6,131.49	0.00	0.00	0.00	100.0	0.00

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<u>BROKER TRANSACTIONS</u>								
PRODUCT CATEGORY: STOCKS								
02/28/2017	CONCORDE, VARIOUS	ISHARES TR RUSSELL 2000 INDEX FD	-6,967.60	0.00	1.00	-1.00	100.0	-1.00
03/02/2017	CONCORDE, VARIOUS	ISHARES TR RUSSELL 2000 INDEX FD	-8,783.47	0.00	1.00	-1.00	100.0	-1.00
03/02/2017	CONCORDE, VARIOUS	ISHARES TR RUSSELL 2000 INDEX FD	2,788.40	0.00	0.00	0.00	100.0	0.00
03/02/2017	CONCORDE, VARIOUS	ISHARES TR RUSSELL 2000 INDEX FD	697.10	0.00	0.00	0.00	100.0	0.00
03/02/2017	CONCORDE, VARIOUS	ISHARES TR RUSSELL 2000 INDEX FD	557.68	0.00	0.00	0.00	100.0	0.00
03/02/2017	CONCORDE, VARIOUS	ISHARES TR RUSSELL 2000 INDEX FD	2,788.40	0.00	0.00	0.00	100.0	0.00
03/02/2017	CONCORDE, VARIOUS	ISHARES TR RUSSELL 2000 INDEX FD	1,951.88	0.00	0.00	0.00	100.0	0.00
02/09/2017	CONCORDE IS	ISHARES TR S&P 500 INDEX FD	43,387.10	0.00	0.00	0.00	100.0	0.00
02/09/2017	CONCORDE IS	ISHARES TR S&P 500 INDEX FD	43,387.11	0.00	0.00	0.00	100.0	0.00
03/02/2017	CONCORDE, VARIOUS	ISHARES TR S&P 500 INDEX FD	1,683.08	0.00	0.00	0.00	100.0	0.00
03/02/2017	CONCORDE, VARIOUS	ISHARES TR S&P 500 INDEX FD	2,404.40	0.00	0.00	0.00	100.0	0.00
03/02/2017	CONCORDE, VARIOUS	ISHARES TR S&P 500 INDEX FD	-4,087.48	0.00	1.00	-1.00	100.0	-1.00
03/10/2017	CONCORDE, VARIOUS	JPMORGAN CHASE & CO DEP SHS NONCUM	-9,960.15	0.00	0.00	0.00	100.0	0.00
03/10/2017	CONCORDE, VARIOUS	JPMORGAN CHASE & CO DEP SHS NONCUM	-7,439.04	0.00	0.00	0.00	100.0	0.00
03/10/2017	CONCORDE, VARIOUS	JPMORGAN CHASE & CO DEP SHS NONCUM	2,657.00	0.00	1.00	-1.00	100.0	-1.00
03/10/2017	CONCORDE, VARIOUS	JPMORGAN CHASE & CO DEP SHS NONCUM	2,125.05	0.00	1.00	-1.00	100.0	-1.00
03/10/2017	CONCORDE, VARIOUS	JPMORGAN CHASE & CO DEP SHS NONCUM	2,657.00	0.00	1.00	-1.00	100.0	-1.00
03/10/2017	CONCORDE, VARIOUS	JPMORGAN CHASE & CO DEP SHS NONCUM	2,655.00	0.00	1.00	-1.00	100.0	-1.00
03/10/2017	CONCORDE, VARIOUS	JPMORGAN CHASE & CO DEP SHS NONCUM	2,657.00	0.00	1.00	-1.00	100.0	-1.00
03/10/2017	CONCORDE, VARIOUS	JPMORGAN CHASE & CO DEP SHS NONCUM	4,648.14	0.00	1.00	-1.00	100.0	-1.00
03/08/2017	CONCORDE, VARIOUS	MONROE CAP CORP COM	13,857.99	0.00	0.00	0.00	100.0	0.00
03/08/2017	CONCORDE, VARIOUS	MONROE CAP CORP COM	9,813.13	0.00	0.00	0.00	100.0	0.00
03/08/2017	CONCORDE, VARIOUS	MONROE CAP CORP COM	38,113.92	0.00	0.00	0.00	100.0	0.00
03/08/2017	CONCORDE, VARIOUS	MONROE CAP CORP COM	-5,106.08	0.00	1.00	-1.00	100.0	-1.00
03/08/2017	CONCORDE, VARIOUS	MONROE CAP CORP COM	-4,707.03	0.00	1.00	-1.00	100.0	-1.00
03/08/2017	CONCORDE, VARIOUS	MONROE CAP CORP COM	8,656.07	0.00	0.00	0.00	100.0	0.00
03/08/2017	CONCORDE, VARIOUS	MONROE CAP CORP COM	-1,575.00	0.00	1.00	-1.00	100.0	-1.00
03/08/2017	CONCORDE, VARIOUS	MONROE CAP CORP COM	-1,574.00	0.00	1.00	-1.00	100.0	-1.00
03/08/2017	CONCORDE, VARIOUS	MONROE CAP CORP COM	-5,507.08	0.00	1.00	-1.00	100.0	-1.00
03/08/2017	CONCORDE, VARIOUS	MONROE CAP CORP COM	-6,332.04	0.00	1.00	-1.00	100.0	-1.00
03/08/2017	CONCORDE, VARIOUS	MONROE CAP CORP COM	-7,525.95	0.00	1.00	-1.00	100.0	-1.00
03/08/2017	CONCORDE, VARIOUS	MONROE CAP CORP COM	-7,940.50	0.00	1.00	-1.00	100.0	-1.00
03/08/2017	CONCORDE, VARIOUS	MONROE CAP CORP COM	-23,821.05	0.00	1.00	-1.00	100.0	-1.00

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>BROKER TRANSACTIONS</u>								
PRODUCT CATEGORY: STOCKS								
03/08/2017	CONCORDE, VARIOUS	MONROE CAP CORP COM	-3,176.20	0.00	1.00	-1.00	100.0	-1.00
03/08/2017	CONCORDE, VARIOUS	MONROE CAP CORP COM	-3,176.20	0.00	1.00	-1.00	100.0	-1.00
02/28/2017	CONCORDE, VARIOUS	NORTHSTAR RLTY EUROPE CORP COM	1,044.05	0.00	0.00	0.00	100.0	0.00
02/28/2017	CONCORDE, VARIOUS	NORTHSTAR RLTY EUROPE CORP COM	-813.39	0.00	1.00	-1.00	100.0	-1.00
02/28/2017	CONCORDE, VARIOUS	NORTHSTAR RLTY EUROPE CORP COM	-230.66	0.00	1.00	-1.00	100.0	-1.00
03/01/2017	CONCORDE, VARIOUS	NORTHSTAR RLTY EUROPE CORP COM	2,126.36	0.00	0.00	0.00	100.0	0.00
03/01/2017	CONCORDE, VARIOUS	NORTHSTAR RLTY EUROPE CORP COM	-911.86	0.00	1.00	-1.00	100.0	-1.00
03/01/2017	CONCORDE, VARIOUS	NORTHSTAR RLTY EUROPE CORP COM	-1,214.49	0.00	1.00	-1.00	100.0	-1.00
02/24/2017	CONCORDE, VARIOUS	PARKE BANCORP INC COM	7,992.00	0.00	0.00	0.00	100.0	0.00
02/24/2017	CONCORDE, VARIOUS	PARKE BANCORP INC COM	-5,832.00	0.00	1.00	-1.00	100.0	-1.00
02/24/2017	CONCORDE, VARIOUS	PARKE BANCORP INC COM	-2,160.00	0.00	1.00	-1.00	100.0	-1.00
03/01/2017	CONCORDE, VARIOUS	PARKE BANCORP INC COM	-2,150.00	0.00	1.00	-1.00	100.0	-1.00
03/01/2017	CONCORDE, VARIOUS	PARKE BANCORP INC COM	-5,633.00	0.00	1.00	-1.00	100.0	-1.00
03/01/2017	CONCORDE, VARIOUS	PARKE BANCORP INC COM	-215.00	0.00	1.00	-1.00	100.0	-1.00
03/01/2017	CONCORDE, VARIOUS	PARKE BANCORP INC COM	-2,150.00	0.00	1.00	-1.00	100.0	-1.00
03/01/2017	CONCORDE, VARIOUS	PARKE BANCORP INC COM	-2,150.00	0.00	1.00	-1.00	100.0	-1.00
03/01/2017	CONCORDE, VARIOUS	PARKE BANCORP INC COM	-4,300.00	0.00	1.00	-1.00	100.0	-1.00
03/01/2017	CONCORDE, VARIOUS	PARKE BANCORP INC COM	-2,150.00	0.00	1.00	-1.00	100.0	-1.00
03/01/2017	CONCORDE, VARIOUS	PARKE BANCORP INC COM	-48,912.50	0.00	1.00	-1.00	100.0	-1.00
03/01/2017	CONCORDE, VARIOUS	PARKE BANCORP INC COM	67,660.50	0.00	0.00	0.00	100.0	0.00
02/09/2017	CONCORDE IS	POWERSHARES DB COMMODITY INDEX TRAC	7,585.73	0.00	0.00	0.00	100.0	0.00
02/09/2017	CONCORDE IS	POWERSHARES DB COMMODITY INDEX TRAC	7,585.74	0.00	0.00	0.00	100.0	0.00
03/02/2017	CONCORDE, VARIOUS	POWERSHARES DB COMMODITY INDEX TRAC	-698.85	0.00	1.00	-1.00	100.0	-1.00
03/02/2017	CONCORDE, VARIOUS	POWERSHARES DB COMMODITY INDEX TRAC	403.78	0.00	0.00	0.00	100.0	0.00
03/02/2017	CONCORDE, VARIOUS	POWERSHARES DB COMMODITY INDEX TRAC	295.07	0.00	0.00	0.00	100.0	0.00
02/09/2017	CONCORDE IS	POWERSHARES EXCHANGE-TRADED FD TR I	9,105.06	0.00	0.00	0.00	100.0	0.00
02/09/2017	CONCORDE IS	POWERSHARES EXCHANGE-TRADED FD TR I	9,105.06	0.00	0.00	0.00	100.0	0.00
03/02/2017	CONCORDE, VARIOUS	POWERSHARES EXCHANGE-TRADED FD TR I	-491.23	0.00	1.00	-1.00	100.0	-1.00
03/02/2017	CONCORDE, VARIOUS	POWERSHARES EXCHANGE-TRADED FD TR I	280.70	0.00	0.00	0.00	100.0	0.00
03/02/2017	CONCORDE, VARIOUS	POWERSHARES EXCHANGE-TRADED FD TR I	210.53	0.00	0.00	0.00	100.0	0.00
03/01/2017	CONCORDE, VARIOUS	PULSE BIOSCIENCES INC COM	-1,343.00	0.00	1.00	-1.00	100.0	-1.00
03/01/2017	CONCORDE, VARIOUS	PULSE BIOSCIENCES INC COM	-1,343.00	0.00	1.00	-1.00	100.0	-1.00
03/01/2017	CONCORDE, VARIOUS	PULSE BIOSCIENCES INC COM	-1,343.00	0.00	1.00	-1.00	100.0	-1.00

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<u>BROKER TRANSACTIONS</u>								
PRODUCT CATEGORY: STOCKS								
03/01/2017	CONCORDE, VARIOUS	PULSE BIOSCIENCES INC COM	-1,325.00	0.00	1.00	-1.00	100.0	-1.00
03/01/2017	CONCORDE, VARIOUS	PULSE BIOSCIENCES INC COM	-1,329.00	0.00	1.00	-1.00	100.0	-1.00
03/01/2017	CONCORDE, VARIOUS	PULSE BIOSCIENCES INC COM	-1,343.00	0.00	1.00	-1.00	100.0	-1.00
03/01/2017	CONCORDE, VARIOUS	PULSE BIOSCIENCES INC COM	-1,301.00	0.00	1.00	-1.00	100.0	-1.00
03/01/2017	CONCORDE, VARIOUS	PULSE BIOSCIENCES INC COM	-1,324.00	0.00	1.00	-1.00	100.0	-1.00
03/01/2017	CONCORDE, VARIOUS	PULSE BIOSCIENCES INC COM	-1,343.00	0.00	1.00	-1.00	100.0	-1.00
03/01/2017	CONCORDE, VARIOUS	PULSE BIOSCIENCES INC COM	-1,325.00	0.00	1.00	-1.00	100.0	-1.00
03/01/2017	CONCORDE, VARIOUS	PULSE BIOSCIENCES INC COM	-2,686.00	0.00	1.00	-1.00	100.0	-1.00
03/01/2017	CONCORDE, VARIOUS	PULSE BIOSCIENCES INC COM	-1,325.00	0.00	1.00	-1.00	100.0	-1.00
03/01/2017	CONCORDE, VARIOUS	PULSE BIOSCIENCES INC COM	-1,324.00	0.00	1.00	-1.00	100.0	-1.00
03/01/2017	CONCORDE, VARIOUS	PULSE BIOSCIENCES INC COM	-1,324.31	0.00	1.00	-1.00	100.0	-1.00
03/01/2017	CONCORDE, VARIOUS	PULSE BIOSCIENCES INC COM	19,978.35	0.00	0.00	0.00	100.0	0.00
02/28/2017	CONCORDE, VARIOUS	SCHWAB STRATEGIC TR INTL SMALL CAP	-3,054.50	0.00	1.00	-1.00	100.0	-1.00
02/28/2017	CONCORDE, VARIOUS	SCHWAB STRATEGIC TR INTL SMALL CAP	-2,718.07	0.00	1.00	-1.00	100.0	-1.00
02/28/2017	CONCORDE, VARIOUS	SCHWAB STRATEGIC TR INTL SMALL CAP	5,772.57	0.00	0.00	0.00	100.0	0.00
02/28/2017	CONCORDE, VARIOUS	SCHWAB STRATEGIC TR US LARGE-CAP ET	20,881.06	0.00	0.00	0.00	100.0	0.00
02/28/2017	CONCORDE, VARIOUS	SCHWAB STRATEGIC TR US LARGE-CAP ET	-5,644.00	0.00	1.00	-1.00	100.0	-1.00
02/28/2017	CONCORDE, VARIOUS	SCHWAB STRATEGIC TR US LARGE-CAP ET	-15,237.05	0.00	1.00	-1.00	100.0	-1.00
03/02/2017	CONCORDE, VARIOUS	SNAP INC CL A	-2,993.99	0.00	0.00	0.00	100.0	0.00
03/02/2017	CONCORDE, VARIOUS	SNAP INC CL A	2,494.99	0.00	1.00	-1.00	100.0	-1.00
03/02/2017	CONCORDE, VARIOUS	SNAP INC CL A	499.00	0.00	1.00	-1.00	100.0	-1.00
03/02/2017	CONCORDE, VARIOUS	SNAP INC CL A	2,492.93	0.00	1.00	-1.00	100.0	-1.00
03/02/2017	CONCORDE, VARIOUS	SNAP INC CL A	49.86	0.00	1.00	-1.00	100.0	-1.00
03/02/2017	CONCORDE, VARIOUS	SNAP INC CL A	2,492.87	0.00	1.00	-1.00	100.0	-1.00
03/02/2017	CONCORDE, VARIOUS	SNAP INC CL A	2,492.88	0.00	1.00	-1.00	100.0	-1.00
03/02/2017	CONCORDE, VARIOUS	SNAP INC CL A	2,492.87	0.00	1.00	-1.00	100.0	-1.00
03/02/2017	CONCORDE, VARIOUS	SNAP INC CL A	14,408.79	0.00	1.00	-1.00	100.0	-1.00
03/02/2017	CONCORDE, VARIOUS	SNAP INC CL A	-24,430.22	0.00	0.00	0.00	100.0	0.00
02/09/2017	CONCORDE IS	SPDR S&P MIDCAP 400 ETF TR UNIT SER	18,052.93	0.00	0.00	0.00	100.0	0.00
02/09/2017	CONCORDE IS	SPDR S&P MIDCAP 400 ETF TR UNIT SER	18,052.94	0.00	0.00	0.00	100.0	0.00
03/02/2017	CONCORDE, VARIOUS	SPDR S&P MIDCAP 400 ETF TR UNIT SER	952.29	0.00	0.00	0.00	100.0	0.00
03/02/2017	CONCORDE, VARIOUS	SPDR S&P MIDCAP 400 ETF TR UNIT SER	634.86	0.00	0.00	0.00	100.0	0.00
03/02/2017	CONCORDE, VARIOUS	SPDR S&P MIDCAP 400 ETF TR UNIT SER	-1,587.15	0.00	1.00	-1.00	100.0	-1.00

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<u>BROKER TRANSACTIONS</u>								
PRODUCT CATEGORY: STOCKS								
02/09/2017	CONCORDE IS	SPDR SER TR BARCLAYS HIGH YIELD BD	5,017.04	0.00	0.00	0.00	100.0	0.00
02/09/2017	CONCORDE IS	SPDR SER TR BARCLAYS HIGH YIELD BD	5,017.04	0.00	0.00	0.00	100.0	0.00
03/02/2017	CONCORDE, VARIOUS	SPDR SER TR BARCLAYS HIGH YIELD BD	890.94	0.00	0.00	0.00	100.0	0.00
03/02/2017	CONCORDE, VARIOUS	SPDR SER TR BARCLAYS HIGH YIELD BD	-1,522.01	0.00	1.00	-1.00	100.0	-1.00
03/02/2017	CONCORDE, VARIOUS	SPDR SER TR BARCLAYS HIGH YIELD BD	631.08	0.00	0.00	0.00	100.0	0.00
02/28/2017	CONCORDE, VARIOUS	SPDR SER TR BARCLAYS TIIPS ETF	-65,878.43	0.00	0.00	0.00	100.0	0.00
02/28/2017	CONCORDE, VARIOUS	SPDR SER TR BARCLAYS TIIPS ETF	5,704.00	0.00	1.00	-1.00	100.0	-1.00
02/28/2017	CONCORDE, VARIOUS	SPDR SER TR BARCLAYS TIIPS ETF	5,704.00	0.00	1.00	-1.00	100.0	-1.00
02/28/2017	CONCORDE, VARIOUS	SPDR SER TR BARCLAYS TIIPS ETF	5,704.61	0.00	1.00	-1.00	100.0	-1.00
02/28/2017	CONCORDE, VARIOUS	SPDR SER TR BARCLAYS TIIPS ETF	48,765.78	0.00	1.00	-1.00	100.0	-1.00
02/24/2017	CONCORDE, VARIOUS	TIER REIT INC COM NEW	-1,813.00	0.00	1.00	-1.00	100.0	-1.00
02/24/2017	CONCORDE, VARIOUS	TIER REIT INC COM NEW	-1,813.00	0.00	1.00	-1.00	100.0	-1.00
02/24/2017	CONCORDE, VARIOUS	TIER REIT INC COM NEW	-1,813.00	0.00	1.00	-1.00	100.0	-1.00
02/24/2017	CONCORDE, VARIOUS	TIER REIT INC COM NEW	-1,813.00	0.00	1.00	-1.00	100.0	-1.00
02/24/2017	CONCORDE, VARIOUS	TIER REIT INC COM NEW	9,065.00	0.00	0.00	0.00	100.0	0.00
02/07/2017	CONCORDE IS	VANGUARD CHARLOTTE FDS TOTAL INTL B	3,061.47	0.00	0.00	0.00	100.0	0.00
02/07/2017	CONCORDE IS	VANGUARD CHARLOTTE FDS TOTAL INTL B	3,061.47	0.00	0.00	0.00	100.0	0.00
02/28/2017	CONCORDE, VARIOUS	VANGUARD CHARLOTTE FDS TOTAL INTL B	596.55	0.00	0.00	0.00	100.0	0.00
02/28/2017	CONCORDE, VARIOUS	VANGUARD CHARLOTTE FDS TOTAL INTL B	4,013.17	0.00	0.00	0.00	100.0	0.00
02/28/2017	CONCORDE, VARIOUS	VANGUARD CHARLOTTE FDS TOTAL INTL B	-4,609.72	0.00	1.00	-1.00	100.0	-1.00
02/07/2017	CONCORDE IS	VANGUARD INDEX FDS VANGUARD REIT ET	5,200.03	0.00	0.00	0.00	100.0	0.00
02/07/2017	CONCORDE IS	VANGUARD INDEX FDS VANGUARD REIT ET	5,200.03	0.00	0.00	0.00	100.0	0.00
02/09/2017	CONCORDE IS	VANGUARD INDEX FDS VANGUARD REIT ET	6,221.99	0.00	0.00	0.00	100.0	0.00
02/09/2017	CONCORDE IS	VANGUARD INDEX FDS VANGUARD REIT ET	6,221.99	0.00	0.00	0.00	100.0	0.00
02/28/2017	CONCORDE, VARIOUS	VANGUARD INDEX FDS VANGUARD REIT ET	-4,025.55	0.00	1.00	-1.00	100.0	-1.00
02/28/2017	CONCORDE, VARIOUS	VANGUARD INDEX FDS VANGUARD REIT ET	3,511.65	0.00	0.00	0.00	100.0	0.00
02/28/2017	CONCORDE, VARIOUS	VANGUARD INDEX FDS VANGUARD REIT ET	513.90	0.00	0.00	0.00	100.0	0.00
03/02/2017	CONCORDE, VARIOUS	VANGUARD INDEX FDS VANGUARD REIT ET	760.77	0.00	0.00	0.00	100.0	0.00
03/02/2017	CONCORDE, VARIOUS	VANGUARD INDEX FDS VANGUARD REIT ET	253.59	0.00	0.00	0.00	100.0	0.00
03/02/2017	CONCORDE, VARIOUS	VANGUARD INDEX FDS VANGUARD REIT ET	1,098.89	0.00	0.00	0.00	100.0	0.00
03/02/2017	CONCORDE, VARIOUS	VANGUARD INDEX FDS VANGUARD REIT ET	169.06	0.00	0.00	0.00	100.0	0.00
03/02/2017	CONCORDE, VARIOUS	VANGUARD INDEX FDS VANGUARD REIT ET	1,098.89	0.00	0.00	0.00	100.0	0.00

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: STOCKS</u>								
03/02/2017	CONCORDE, VARIOUS	VANGUARD INDEX FDS VANGUARD REIT ET	-3,381.20	0.00	1.00	-1.00	100.0	-1.00
02/09/2017	CONCORDE IS	VANGUARD INTL EQUITY INDEX FD INC F	84,302.22	0.00	0.00	0.00	100.0	0.00
02/09/2017	CONCORDE IS	VANGUARD INTL EQUITY INDEX FD INC F	84,302.22	0.00	0.00	0.00	100.0	0.00
03/02/2017	CONCORDE, VARIOUS	VANGUARD INTL EQUITY INDEX FD INC F	6,076.33	0.00	0.00	0.00	100.0	0.00
03/02/2017	CONCORDE, VARIOUS	VANGUARD INTL EQUITY INDEX FD INC F	-10,516.73	0.00	1.00	-1.00	100.0	-1.00
03/02/2017	CONCORDE, VARIOUS	VANGUARD INTL EQUITY INDEX FD INC F	4,440.40	0.00	0.00	0.00	100.0	0.00
* STOCKS SUBTOTAL *			\$390,716.68	\$0.00	\$111.00	\$-111.00		\$-111.00
<u>PRODUCT CATEGORY: BONDS</u>								
02/14/2017	CONCORDE IS	AGOEN NV	43,450.00	0.00	0.00	0.00	100.0	0.00
02/14/2017	CONCORDE IS	AGOEN NV	43,500.00	0.00	0.00	0.00	100.0	0.00
02/14/2017	CONCORDE IS	BERKSHIRE HATHAWAY FIN CORP	52,291.50	0.00	0.00	0.00	100.0	0.00
02/14/2017	CONCORDE IS	BERKSHIRE HATHAWAY FIN CORP	52,341.50	0.00	0.00	0.00	100.0	0.00
02/14/2017	CONCORDE IS	CONSUMERS ENERGY CO SR NT SER-A AMB	46,827.45	0.00	0.00	0.00	100.0	0.00
02/14/2017	CONCORDE IS	CONSUMERS ENERGY CO SR NT SER-A AMB	46,877.40	0.00	0.00	0.00	100.0	0.00
02/08/2017	CONCORDE IS	E TRADE FINL CORP	20,462.20	0.00	0.00	0.00	100.0	0.00
02/08/2017	CONCORDE IS	E TRADE FINL CORP	20,462.20	0.00	0.00	0.00	100.0	0.00
02/14/2017	CONCORDE IS	HALLIBURTON CO	43,875.60	0.00	0.00	0.00	100.0	0.00
02/14/2017	CONCORDE IS	HALLIBURTON CO	43,925.60	0.00	0.00	0.00	100.0	0.00
02/08/2017	CONCORDE IS	MOTOROLA INC	20,350.60	0.00	0.00	0.00	100.0	0.00
02/08/2017	CONCORDE IS	MOTOROLA INC	20,350.60	0.00	0.00	0.00	100.0	0.00
02/08/2017	CONCORDE IS	WYNDHAM WORLDWIDE CORP	50,179.00	0.00	0.00	0.00	100.0	0.00
02/08/2017	CONCORDE IS	WYNDHAM WORLDWIDE CORP	50,179.00	0.00	0.00	0.00	100.0	0.00
* BONDS SUBTOTAL *			\$555,072.65	\$0.00	\$0.00	\$0.00		\$0.00
<u>PRODUCT CATEGORY: VARIABLE ANNUITIES</u>								
03/03/2017	LUND, VARIOUS	ING RELIASTAR	0.00	100.55	0.00	100.55	100.0	100.55
02/28/2017	PEEK, EUNICE	JOHN HANCOCK VANTAGE	14,207.87	2.96	0.00	2.96	100.0	2.96
02/28/2017	PEEK LI, VASSIE	JOHN HANCOCK VENTURE III	17,973.09	14.98	0.00	14.98	100.0	14.98
02/27/2017	RIDDLEBARGE, DAWN	SBL ADVISOR PROGRAM	786.63	0.15	0.00	0.15	100.0	0.15
02/27/2017	BURNSIDE, SHARON	SBL ADVISOR PROGRAM	9,944.36	2.06	0.00	2.06	100.0	2.06
02/27/2017	LOOMIS, CATHERINE	SBL ADVISOR PROGRAM	4,972.78	1.04	0.00	1.04	100.0	1.04
* VARIABLE ANNUITIES SUBTOTAL *			\$47,884.73	\$121.74	\$0.00	\$121.74		\$121.74

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: LIFE INSURANCE</u>								
02/24/2017	LUND, VARIOUS	ING RELIASTAR LIFE	0.00	154.23	0.00	154.23	100.0	154.23
02/28/2017	ADAMS, VARIOUS	LBL TRAILS	0.00	2.92	0.00	2.92	100.0	2.92
02/24/2017	GOVE, VARIOUS	PAC LIFE VUL	0.00	4.88	0.00	4.88	100.0	4.88
03/02/2017	KENNARD, DEAN	PAC LIFE VUL	223.83	4.48	0.00	4.48	100.0	4.48
03/02/2017	PAI, ANITHA	PAC LIFE VUL	86.83	1.74	0.00	1.74	100.0	1.74
03/02/2017	PAI, ANITHA	PAC LIFE VUL	138.17	2.76	0.00	2.76	100.0	2.76
03/03/2017	GOVE, VARIOUS	PAC LIFE VUL	0.00	4.22	0.00	4.22	100.0	4.22
* LIFE INSURANCE SUBTOTAL *			\$448.83	\$175.23	\$0.00	\$175.23		\$175.23

PRODUCT CATEGORY: UNIT INVESTMENT TRUSTS

03/01/2017	CONCORDE, VARIOUS	FT UNIT 6398 U S EQUITY CLOSED END	4,848.91	0.00	17.50	-17.50	100.0	-17.50
03/01/2017	CONCORDE, VARIOUS	FT UNIT 6398 U S EQUITY CLOSED END	12,127.41	0.00	17.50	-17.50	100.0	-17.50
03/01/2017	CONCORDE, VARIOUS	FT UNIT 6398 U S EQUITY CLOSED END	-4,993.74	0.00	17.50	-17.50	100.0	-17.50
03/01/2017	CONCORDE, VARIOUS	FT UNIT 6398 U S EQUITY CLOSED END	-12,489.64	0.00	17.50	-17.50	100.0	-17.50
02/28/2017	CONCORDE, VARIOUS	FT UNIT 6403 MLP	-10,004.04	0.00	17.50	-17.50	100.0	-17.50
02/28/2017	CONCORDE, VARIOUS	FT UNIT 6403 MLP	9,688.92	0.00	17.50	-17.50	100.0	-17.50
03/01/2017	CONCORDE, VARIOUS	FT UNIT 6403 MLP	12,129.74	0.00	17.50	-17.50	100.0	-17.50
03/01/2017	CONCORDE, VARIOUS	FT UNIT 6403 MLP	4,851.90	0.00	17.50	-17.50	100.0	-17.50
03/01/2017	CONCORDE, VARIOUS	FT UNIT 6403 MLP	-12,491.99	0.00	17.50	-17.50	100.0	-17.50
03/01/2017	CONCORDE, VARIOUS	FT UNIT 6403 MLP	-4,996.80	0.00	17.50	-17.50	100.0	-17.50
03/01/2017	CONCORDE, VARIOUS	FT UNIT 6470 TARGET GLOBAL DVD LEAD	-4,990.88	0.00	17.50	-17.50	100.0	-17.50
03/01/2017	CONCORDE, VARIOUS	FT UNIT 6470 TARGET GLOBAL DVD LEAD	12,247.77	0.00	17.50	-17.50	100.0	-17.50
03/01/2017	CONCORDE, VARIOUS	FT UNIT 6470 TARGET GLOBAL DVD LEAD	4,891.06	0.00	17.50	-17.50	100.0	-17.50
03/01/2017	CONCORDE, VARIOUS	FT UNIT 6470 TARGET GLOBAL DVD LEAD	-12,497.74	0.00	17.50	-17.50	100.0	-17.50
03/01/2017	CONCORDE, VARIOUS	FTUNIT 6517 GLOBAL EQUITY INCOME CL	-4,997.09	0.00	17.50	-17.50	100.0	-17.50
03/01/2017	CONCORDE, VARIOUS	FTUNIT 6517 GLOBAL EQUITY INCOME CL	4,852.16	0.00	17.50	-17.50	100.0	-17.50
03/01/2017	CONCORDE, VARIOUS	FTUNIT 6517 GLOBAL EQUITY INCOME CL	-12,497.74	0.00	17.50	-17.50	100.0	-17.50
03/01/2017	CONCORDE, VARIOUS	FTUNIT 6517 GLOBAL EQUITY INCOME CL	12,135.28	0.00	17.50	-17.50	100.0	-17.50
* UNIT INVESTMENT TRUSTS SUBTOTAL *			\$-2,186.51	\$0.00	\$315.00	\$-315.00		\$-315.00

PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS

02/23/2017	TRAIL HAULING, DD	PROFUNDS	0.00	0.28	0.00	0.28	100.0	0.28
02/23/2017	HUFFMAN, JUSTINE	PROFUNDS	0.00	16.43	0.00	16.43	100.0	16.43
01/31/2017	ARRINGTON, VARIOUS	VOYA TRAILS	0.00	2.76	0.00	2.76	100.0	2.76

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: VARIABLE ANNUITY 12B1 TRAILS</u>								
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *			\$0.00	\$19.47	\$0.00	\$19.47		\$19.47
<u>PRODUCT CATEGORY: VARIABLE ANNUITY 12B1 TRAILS</u>								
03/03/2017	LUND, VARIOUS	ING RELIASTAR	0.00	507.00	0.00	507.00	100.0	507.00
02/28/2017	SENIORS WELLNESS GRP	JOHN HANCOCK LIFE INS CO	0.00	784.48	0.00	784.48	100.0	784.48
03/03/2017	MONROE, JOHN	METLIFE TRAILS	0.00	2.25	0.00	2.25	100.0	2.25
02/28/2017	MEAD, ELIZABETH	DELAWARE LIFE TRAILS	0.00	2.75	0.00	2.75	100.0	2.75
03/01/2017	CHIDSEY, CYNTHIA	ING PREMIUM PLUS	0.00	4.65	0.00	4.65	100.0	4.65
* VARIABLE ANNUITY 12B1 TRAILS SUBTOTAL *			\$0.00	\$1,301.13	\$0.00	\$1,301.13		\$1,301.13
*** BROKER TRANSACTIONS TOTAL ***			\$991,473.87	\$7,144.37	\$426.00	\$6,718.37		\$6,718.37
<u>VERRIDE TRANSACTIONS</u>								
<u>BROKER: ACCOUNT HOUSE #1</u>								
03/01/2017	DURR, LORENA	AM FUNDS 2030 TARGET DATE-A	100.00	4.25	0.00	4.25	100.0	4.25
02/28/2017	SOLORIO, ROQUE	AM FUNDS AMERICAN BALANCED 529A	125.00	5.31	0.00	5.31	100.0	5.31
03/01/2017	BUI, VIVIAN	AM FUNDS AMERICAN BALANCED 529A	100.00	3.75	0.00	3.75	100.0	3.75
03/01/2017	BUI, VIVIAN	AM FUNDS AMERICAN BALANCED 529A	100.00	3.75	0.00	3.75	100.0	3.75
03/02/2017	RAINONE, TRISTINA DAWN	AM FUNDS AMERICAN BALANCED 529A	100.00	4.25	0.00	4.25	100.0	4.25
03/02/2017	RAINONE, MICHAEL	AM FUNDS AMERICAN BALANCED 529A	100.00	4.25	0.00	4.25	100.0	4.25
03/01/2017	COLE, PAUL	AM FUNDS AMERICAN BALANCED A	250.00	9.38	0.00	9.38	100.0	9.38
03/01/2017	BUI, VIVIAN	AM FUNDS AMERICAN BALANCED A	100.00	3.75	0.00	3.75	100.0	3.75
02/28/2017	ESSARY, MICHELLE	AM FUNDS AMERICAN MUTUAL A	115.00	4.31	0.00	4.31	100.0	4.31
03/01/2017	BOOTZ, MATTHEW	AM FUNDS AMERICAN MUTUAL A	50.00	2.50	0.00	2.50	100.0	2.50
03/01/2017	CALZADA, LARA	AM FUNDS CAPITAL INCOME BUILDER 529	100.00	5.00	0.00	5.00	100.0	5.00
03/01/2017	RAMIREZ, MARCOS	AM FUNDS CAPITAL INCOME BUILDER 529	150.00	6.38	0.00	6.38	100.0	6.38
03/01/2017	CALZADA, LARA	AM FUNDS CAPITAL INCOME BUILDER 529	100.00	5.00	0.00	5.00	100.0	5.00
03/01/2017	CESARE, MARIA	AM FUNDS CAPITAL INCOME BUILDER A	525.00	19.69	0.00	19.69	100.0	19.69
03/01/2017	DANG, DIEM CHAU LUONG	AM FUNDS CAPITAL INCOME BUILDER A	100.00	5.00	0.00	5.00	100.0	5.00
02/28/2017	ESSARY, MICHELLE	AM FUNDS CAPITAL WORLD GRTH & INC A	115.00	4.31	0.00	4.31	100.0	4.31
02/28/2017	GREEN, WILLIAM	AM FUNDS COLLEGE 2030 FUND 529A	50.00	1.75	0.00	1.75	100.0	1.75
03/01/2017	STUMP, DAVID	AM FUNDS EUROPACIFIC GROWTH FUND A	50.00	2.50	0.00	2.50	100.0	2.50
02/21/2017	HERNANDEZ, HECTOR	AM FUNDS GROWTH AND INCOME A	50.00	2.50	0.00	2.50	100.0	2.50
02/24/2017	COHEN, LORI PIERCE-	AM FUNDS GROWTH FUND OF AMERICA 529	150.00	1.50	0.00	1.50	100.0	1.50

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<u> OVERRIDE TRANSACTIONS </u>								
<u>BROKER: ACCOUNT HOUSE #1</u>								
02/28/2017	ESSARY, MICHELLE	AM FUNDS GROWTH FUND OF AMERICA A	115.00	4.31	0.00	4.31	100.0	4.31
03/01/2017	SAM, WINGO	AM FUNDS GROWTH FUND OF AMERICA A	150.00	5.63	0.00	5.63	100.0	5.63
03/01/2017	STUMP, DAVID	AM FUNDS GROWTH FUND OF AMERICA A	50.00	2.50	0.00	2.50	100.0	2.50
02/24/2017	COHEN, LORI PIERCE-	AM FUNDS NEW PERSPECTIVE 529C	150.00	1.50	0.00	1.50	100.0	1.50
02/28/2017	ESSARY, MICHELLE	AM FUNDS NEW PERSPECTIVE A	115.00	4.31	0.00	4.31	100.0	4.31
03/01/2017	CALZADA, LARA	AMERICAN FUND COLLEGE 2027 FUND 529	100.00	3.50	0.00	3.50	100.0	3.50
* ACCOUNT HOUSE SUBTOTAL *			\$3,210.00	\$120.88	\$0.00	\$120.88		\$120.88
<u>BROKER: ANTHONY GUGLIELME #8</u>								
03/01/2017	BRANDUZZI, DOMENIC	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	6.18	0.00	6.18	0.0	6.18
03/01/2017	BRANDUZZI, DOMENIC	AM FUNDS GROWTH FUND OF AMERICA A	0.00	8.79	0.00	8.79	0.0	8.79
02/13/2017	WARREN, DEBORAH	PAC LIFE INNOVATIVE SELECT	0.00	385.64	0.00	385.64	0.0	385.64
02/13/2017	GRAY, NEALEY	PAC LIFE PACIFIC CHOICE	0.00	1.69	0.00	1.69	0.0	1.69
* ANTHONY GUGLIELME SUBTOTAL *			\$0.00	\$402.30	\$0.00	\$402.30		\$402.30
<u>BROKER: MATT BRANSTETTER #10</u>								
03/01/2017	LUCAS, BRIAN	AM FUNDS NEW ECONOMY A	100.00	5.00	0.00	5.00	80.0	5.00
* MATT BRANSTETTER SUBTOTAL *			\$100.00	\$5.00	\$0.00	\$5.00		\$5.00
<u>BROKER: DANIEL WOLF #11</u>								
02/24/2017	CARIGNAN, NANCY	MML CM LIFE VUL	47,869.73	5.98	0.00	5.98	0.0	5.98
02/18/2017	SCHUMAN, FA	TRANSAMERICA LIFE	0.00	40.15	0.00	40.15	0.0	40.15
* DANIEL WOLF SUBTOTAL *			\$47,869.73	\$46.13	\$0.00	\$46.13		\$46.13
<u>BROKER: EDWARD MCMANUS #25</u>								
03/01/2017	HUDSON, SHELBY	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	5.23	0.00	5.23	0.0	5.23
02/13/2017	THOMAS, ROSEMARIE	PRINCIPAL FUNDS CONSERVATIVE GROWTH	150.00	6.00	0.00	6.00	0.0	6.00
02/13/2017	THOMAS, ROSEMARIE	PRINCIPAL FUNDS CONSERVATIVE GROWTH	150.00	6.00	0.00	6.00	0.0	6.00
* EDWARD MCMANUS SUBTOTAL *			\$300.00	\$17.23	\$0.00	\$17.23		\$17.23
<u>BROKER: ERIC HORNYAK #29</u>								
02/22/2017	TANDESKI, MICHAEL	AM FUNDS 2025 TARGET DATE-A	646.00	24.23	0.00	24.23	0.0	24.23
02/22/2017	TANDESKI, NANCY	AM FUNDS 2025 TARGET DATE-A	646.00	24.23	0.00	24.23	0.0	24.23
03/01/2017	VIGILANT, KELLIE	AM FUNDS 2025 TARGET DATE-A	0.00	0.23	0.00	0.23	0.0	0.23
03/01/2017	TANDESKI, MICHAEL	AM FUNDS 2025 TARGET DATE-A	0.00	7.23	0.00	7.23	0.0	7.23
03/01/2017	TANDESKI, NANCY	AM FUNDS 2025 TARGET DATE-A	0.00	6.56	0.00	6.56	0.0	6.56

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<u>VERRIDE TRANSACTIONS</u>								
BROKER: ERIC HORNYAK #29								
03/01/2017	GREYNOLDS, ANDREA	AM FUNDS 2035 TARGET DATE-A	0.00	5.21	0.00	5.21	0.0	5.21
02/22/2017	TANDESKI, JOSHUA	AM FUNDS 2045 TARGET DATE-A	100.00	3.75	0.00	3.75	0.0	3.75
03/01/2017	TANDESKI, JOSHUA	AM FUNDS 2045 TARGET DATE-A	0.00	1.92	0.00	1.92	0.0	1.92
02/09/2017	SHEREDA, SUSAN	AM FUNDS AMERICAN BALANCED A	0.00	9.53	0.00	9.53	0.0	9.53
03/01/2017	MAYVILLE, DANIEL	AM FUNDS BOND FUND OF AMERICA A	0.00	3.51	0.00	3.51	0.0	3.51
03/01/2017	CESUL, DAWN	AM FUNDS CAPITAL INCOME BUILDER 529	0.00	2.84	0.00	2.84	0.0	2.84
03/01/2017	CESUL, DAWN	AM FUNDS CAPITAL INCOME BUILDER 529	0.00	0.43	0.00	0.43	0.0	0.43
02/09/2017	JOHNS, JOHN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	24.83	0.00	24.83	0.0	24.83
03/01/2017	CAUL, KATHERINE	AM FUNDS CAPITAL INCOME BUILDER C	0.00	3.10	0.00	3.10	0.0	3.10
03/01/2017	REETZ, JANET	AM FUNDS CAPITAL WORLD GRTH & INC 5	0.00	0.47	0.00	0.47	0.0	0.47
02/09/2017	GELow, RENEE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.53	0.00	0.53	0.0	0.53
02/09/2017	GELow, RENEE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.48	0.00	0.48	0.0	0.48
02/09/2017	CAUL, JEFFREY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.38	0.00	0.38	0.0	0.38
03/01/2017	BLINKE II, RONALD	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	10.93	0.00	10.93	0.0	10.93
03/01/2017	BLINKE II TRUST, RONALD	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	4.38	0.00	4.38	0.0	4.38
03/01/2017	BLINKE II, RONALD	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	1.31	0.00	1.31	0.0	1.31
02/09/2017	PALFFY, CARLA	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	4.11	0.00	4.11	0.0	4.11
03/01/2017	REETZ, JANET	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	0.56	0.00	0.56	0.0	0.56
03/01/2017	CESUL, DAWN	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	2.54	0.00	2.54	0.0	2.54
03/01/2017	CESUL, DAWN	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	0.51	0.00	0.51	0.0	0.51
02/09/2017	CAUL, JEFFREY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.61	0.00	0.61	0.0	0.61
02/09/2017	SHEREDA, SUSAN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	14.24	0.00	14.24	0.0	14.24
03/01/2017	BLINKE II TRUST, RONALD	AM FUNDS GROWTH FUND OF AMERICA A	0.00	32.18	0.00	32.18	0.0	32.18
03/01/2017	BLINKE II, RONALD	AM FUNDS GROWTH FUND OF AMERICA A	0.00	3.45	0.00	3.45	0.0	3.45
03/01/2017	CAUL, KATHERINE	AM FUNDS GROWTH FUND OF AMERICA C	0.00	4.49	0.00	4.49	0.0	4.49
03/01/2017	CESUL, DAWN	AM FUNDS ICA 529A	0.00	2.35	0.00	2.35	0.0	2.35
03/01/2017	CESUL, DAWN	AM FUNDS ICA 529A	0.00	0.51	0.00	0.51	0.0	0.51
02/09/2017	RUTT, MARY LOU	AM FUNDS ICA A	0.00	2.20	0.00	2.20	0.0	2.20
03/01/2017	MAYVILLE, DANIEL	AM FUNDS ICA A	0.00	6.59	0.00	6.59	0.0	6.59
03/01/2017	CAUL, KATHERINE	AM FUNDS ICA C	0.00	4.02	0.00	4.02	0.0	4.02
02/09/2017	JOHNS, JOHN	AM FUNDS INCOME FUND OF AMERICA A	0.00	12.94	0.00	12.94	0.0	12.94
03/01/2017	MAYVILLE, DANIEL	AM FUNDS NEW PERSPECTIVE A	0.00	5.68	0.00	5.68	0.0	5.68
03/01/2017	BLINKE II TRUST, RONALD	AM FUNDS NEW WORLD A	0.00	4.02	0.00	4.02	0.0	4.02

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<u> OVERRIDE TRANSACTIONS </u>								
BROKER: ERIC HORNYAK #29								
03/01/2017	BLINKE II, RONALD	AM FUNDS NEW WORLD A	0.00	9.15	0.00	9.15	0.0	9.15
03/01/2017	REETZ, NORMAN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	38.27	0.00	38.27	0.0	38.27
03/01/2017	BLINKE, RONALD	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	43.43	0.00	43.43	0.0	43.43
03/01/2017	BLINKE II TRUST, RONALD	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	29.22	0.00	29.22	0.0	29.22
03/01/2017	BLINKE II, RONALD	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.74	0.00	1.74	0.0	1.74
03/01/2017	TANDESKI, JOHNATHAN	AMERICAN FUNDS 2060 TARGET DATE A	0.00	2.74	0.00	2.74	0.0	2.74
03/01/2017	TANDESKI, HANNAH	AMERICAN FUNDS 2060 TARGET DATE A	0.00	2.72	0.00	2.72	0.0	2.72
03/01/2017	TANDESKI, DREW	AMERICAN FUNDS 2060 TARGET DATE A	0.00	1.97	0.00	1.97	0.0	1.97
02/09/2017	JOHNS, JOHN	BLK GLOBAL ALLOCATION A	0.00	1.26	0.00	1.26	0.0	1.26
02/09/2017	HOWARD, JAMES	FT TEMPLETON GLOBAL OPP TRUST C	0.00	68.56	0.00	68.56	0.0	68.56
/ /	CAUL, JEFFREY	JH 529 PORT 2021-2024 A	0.00	0.48	0.00	0.48	0.0	0.48
02/09/2017	DEVILLING, LINDA	JP MORGAN INVESTOR BALANCED A	0.00	2.85	0.00	2.85	0.0	2.85
02/09/2017	HOWARD, JAMES	TRANSAMERICA MULTI-MANAGED BAL C	0.00	26.59	0.00	26.59	0.0	26.59
02/21/2017	HOWARD, JAMES	TRANSAMERICA MULTI-MANAGED BAL C	0.00	26.59	0.00	26.59	0.0	26.59
03/02/2017	DEVILLING, CHRISTOPHER	TRANSAMERICA MULTI-MANAGED BAL C	0.00	7.75	0.00	7.75	0.0	7.75
02/09/2017	SIELSKI, OLA	TRANSAMERICA SHORT-TERM BOND C	0.00	9.09	0.00	9.09	0.0	9.09
02/09/2017	HOWARD, JAMES	TRANSAMERICA SHORT-TERM BOND C	0.00	21.66	0.00	21.66	0.0	21.66
02/21/2017	SIELSKI, OLA	TRANSAMERICA SHORT-TERM BOND C	0.00	9.09	0.00	9.09	0.0	9.09
02/21/2017	HOWARD, JAMES	TRANSAMERICA SHORT-TERM BOND C	0.00	21.66	0.00	21.66	0.0	21.66
03/02/2017	DEVILLING, CHRISTOPHER	TRANSAMERICA TACTICAL INCOME C	0.00	8.20	0.00	8.20	0.0	8.20
* ERIC HORNYAK SUBTOTAL *			\$1,392.00	\$570.10	\$0.00	\$570.10		\$570.10
BROKER: THOMAS SCHNEIDER #30								
02/21/2017	NAGEOTTE, NIKOLAUS	AM FUNDS CAPITAL WORLD GRTH & INC A	100.00	5.00	0.00	5.00	0.0	5.00
03/01/2017	STOLL, HEATHER	AM FUNDS CAPITAL WORLD GRTH & INC A	75.00	3.19	0.00	3.19	0.0	3.19
03/03/2017	SHIELDS, GERALD	COLUMBIA SELIGMAN COMM AND INFO A	0.00	3.80	0.00	3.80	0.0	3.80
03/03/2017	FALKIEWICZ, DAVID	COLUMBIA SMALL CAP VALUE I A	0.00	5.23	0.00	5.23	0.0	5.23
02/28/2017	O'CONNOR, TIMOTHY	PUTNAM GROWTH & INCOME B	50.00	2.00	0.00	2.00	0.0	2.00
02/28/2017	O'CONNOR, TIMOTHY	PUTNAM MULTI-CAP GROWTH B	50.00	2.00	0.00	2.00	0.0	2.00
02/27/2017	SCHECK, VICTORIA	SBL ADVISOR PROGRAM	13,109.28	2.73	0.00	2.73	0.0	2.73
02/27/2017	KELLER, MICHELLE	SBL ADVISOR PROGRAM	26,569.69	5.54	0.00	5.54	0.0	5.54
02/27/2017	YOUNG, MARCIA	SBL ADVISOR PROGRAM	23,290.35	4.85	0.00	4.85	0.0	4.85
02/27/2017	HAWK, GLENN	SBL ADVISORDESIGNS VA	5,889.92	1.23	0.00	1.23	0.0	1.23
02/27/2017	MELLERT, ELLEN	SBL ADVISORDESIGNS VA	3,798.22	3.17	0.00	3.17	0.0	3.17

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<u> OVERRIDE TRANSACTIONS </u>								
<u>BROKER: THOMAS SCHNEIDER #30</u>								
02/27/2017	CASALE, LILLIAN	SBL ADVISORDESIGNS VA	5,569.87	1.16	0.00	1.16	0.0	1.16
02/27/2017	GREGORY, RICHARD	SBL ADVISORDESIGNS VA	8,069.99	1.67	0.00	1.67	0.0	1.67
02/27/2017	HAWK, MARYBELLE	SBL ADVISORDESIGNS VA	7,701.24	1.60	0.00	1.60	0.0	1.60
02/27/2017	BABIN, WILLIAM	SBL ADVISORDESIGNS VA	131,456.59	27.39	0.00	27.39	0.0	27.39
02/27/2017	GREGORY, CAROL	SBL ADVISORDESIGNS VA	40,018.99	8.34	0.00	8.34	0.0	8.34
02/27/2017	KUBAN, JOANNE	SBL ADVISORDESIGNS VA	21,869.29	4.56	0.00	4.56	0.0	4.56
02/27/2017	BAKER, MARILYN	SBL ADVISORDESIGNS VA	6,743.36	1.40	0.00	1.40	0.0	1.40
02/27/2017	HARTONG, DEAN	SBL ADVISORDESIGNS VA	12,573.70	2.61	0.00	2.61	0.0	2.61
02/27/2017	HAWK, MARYBELLE	SBL ADVISORDESIGNS VA	7,920.18	1.65	0.00	1.65	0.0	1.65
02/27/2017	MCCRANN, JAMES	SBL ADVISORDESIGNS VA	6,012.54	1.24	0.00	1.24	0.0	1.24
02/27/2017	HAWK, DUANE	SBL ADVISORDESIGNS VA	3,699.93	0.78	0.00	0.78	0.0	0.78
02/27/2017	HAWK, DUANE	SBL ADVISORDESIGNS VA	3,337.88	0.70	0.00	0.70	0.0	0.70
02/27/2017	DEFRANCESCO, MARY	SBL ADVISORDESIGNS VA	8,155.54	1.70	0.00	1.70	0.0	1.70
02/27/2017	LITTRELL, REX	SBL ADVISORDESIGNS VA	6,814.86	1.42	0.00	1.42	0.0	1.42
02/27/2017	DEFRANCESCO, STEVEN	SBL ADVISORDESIGNS VA	7,673.36	1.61	0.00	1.61	0.0	1.61
02/27/2017	CASALE, LILLIAN	SBL ADVISORDESIGNS VA	65,567.20	13.66	0.00	13.66	0.0	13.66
02/27/2017	FULTON, JOHN	SBL ADVISORDESIGNS VA	8,296.50	1.73	0.00	1.73	0.0	1.73
02/27/2017	BAKER, MARILYN	SBL ADVISORDESIGNS VA	6,225.71	1.30	0.00	1.30	0.0	1.30
* THOMAS SCHNEIDER SUBTOTAL *			\$430,639.19	\$113.26	\$0.00	\$113.26		\$113.26
<u>BROKER: THOMAS BOAKS #33</u>								
02/28/2017	JACKSON, MATTHEW	DAVIS NEW YORK VENTURE C	30.00	0.30	0.00	0.30	0.0	0.30
* THOMAS BOAKS SUBTOTAL *			\$30.00	\$0.30	\$0.00	\$0.30		\$0.30
<u>BROKER: TIMOTHY BROWN #36</u>								
02/22/2017	BURKE, JOHN	TRANSAMERICA LIFE	0.00	92.93	0.00	92.93	0.0	92.93
* TIMOTHY BROWN SUBTOTAL *			\$0.00	\$92.93	\$0.00	\$92.93		\$92.93
<u>BROKER: BRUCE BAXTER #38</u>								
03/01/2017	BROWN, IAN	MFS AGGRESSIVE GROWTH ALLOCATION A	100.00	5.00	0.00	5.00	0.0	5.00
02/27/2017	STAMBAUGH, GARY	SBL ADVISORDESIGNS VA	15,881.12	5.96	0.00	5.96	0.0	5.96
* BRUCE BAXTER SUBTOTAL *			\$15,981.12	\$10.96	\$0.00	\$10.96		\$10.96

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<u> OVERRIDE TRANSACTIONS </u>								
<u>BROKER: MELANIE DICENSO #43</u>								
/ /	BROTH, KRISTEN	FIDELITY GROWTH & INCOME A	0.00	0.94	0.00	0.94	0.0	0.94
02/21/2017	PETERSON, MARY	FRANKLIN INCOME A	49.95	2.00	0.00	2.00	0.0	2.00
02/27/2017	COLE, SUSAN	SBL ADVISOR PROGRAM	15,585.78	3.25	0.00	3.25	0.0	3.25
03/01/2017	COLE, SUSAN	SBL ADVISOR PROGRAM	50.00	2.00	0.00	2.00	0.0	2.00
02/21/2017	PETERSON, MARY	TEMPLETON GROWTH A	49.95	2.50	0.00	2.50	0.0	2.50
* MELANIE DICENSO SUBTOTAL *			\$15,735.68	\$10.69	\$0.00	\$10.69		\$10.69
<u>BROKER: ROBERT (RUSTY) TWEED #58</u>								
03/03/2017	ENGSTROM, COLEMAN	COLUMBIA ACORN INT'L A	0.00	2.02	0.00	2.02	0.0	2.02
03/03/2017	PANTON, GARY T & DEBORA	COLUMBIA CALIFORNIA TAX-EXEMPT FUND	0.00	0.77	0.00	0.77	0.0	0.77
03/03/2017	UMBRELLO, ALBERT	COLUMBIA LARGECAP GROWTH A	0.00	5.43	0.00	5.43	0.0	5.43
03/03/2017	UMBRELLO, ALBERT	COLUMBIA SELIGMAN COMM AND INFO A	0.00	4.50	0.00	4.50	0.0	4.50
02/28/2017	ZAX TRUST	JNL PERSPECTIVE	379.84	0.08	0.00	0.08	0.0	0.08
02/28/2017	STEPHENSON, STAR	JNL PERSPECTIVE II 04/14	8,245.59	3.44	0.00	3.44	0.0	3.44
02/28/2017	ANDERSON, DAVID LEE	JNL PERSPECTIVE L	57,580.94	62.38	0.00	62.38	0.0	62.38
02/28/2017	WHITE, LINDA	JNL PERSPECTIVE L	71,379.61	59.48	0.00	59.48	0.0	59.48
02/28/2017	ENGSTROM, WAYNE	JNL PERSPECTIVE L	33,825.67	28.19	0.00	28.19	0.0	28.19
02/28/2017	AMIGLEO, MICHELLE	JNL PERSPECTIVE L	15,988.59	13.32	0.00	13.32	0.0	13.32
02/28/2017	PARKER, LESLIE	JNL PERSPECTIVE L	51,447.44	42.87	0.00	42.87	0.0	42.87
* ROBERT (RUSTY) TWEED SUBTOTAL *			\$238,847.68	\$222.48	\$0.00	\$222.48		\$222.48
<u>BROKER: JIM LUND #60</u>								
/ /	SOLORIO, ROSE	FA 529 PORT 2016 C	0.00	6.25	0.00	6.25	0.0	6.25
/ /	BARBOUR, ELEANOR	FA 529 PORT 2016 C	0.00	2.42	0.00	2.42	0.0	2.42
/ /	SOLORIO, ROSE	FA 529 PORT 2016 C	0.00	1.31	0.00	1.31	0.0	1.31
/ /	HERNANDEZ, MICHELLE	FA 529 PORT 2025 A	0.00	0.79	0.00	0.79	0.0	0.79
/ /	HERNANDEZ, MICHELLE	FA 529 PORT 2025 A	0.00	0.79	0.00	0.79	0.0	0.79
/ /	HERNANDEZ, MICHELLE	FA 529 PORT 2025 A	0.00	0.79	0.00	0.79	0.0	0.79
/ /	STEINER, DANIEL	FA 529 PORT 2025 A	0.00	1.09	0.00	1.09	0.0	1.09
/ /	STEINER, DANIEL	FA 529 PORT 2025 A	0.00	1.09	0.00	1.09	0.0	1.09
/ /	HERNANDEZ, MARIA	FA 529 PORT 2025 A	0.00	0.96	0.00	0.96	0.0	0.96
03/01/2017	BRYAN, TRICIA	FA 529 PORT 2028 A	0.00	2.81	0.00	2.81	0.0	2.81
/ /	LENGNING, DUSTIN	FA 529 PORT 2028 C	0.00	11.17	0.00	11.17	0.0	11.17
/ /	SANTANA, NICOLE	FA 529 PORT 2031 A	0.00	2.50	0.00	2.50	0.0	2.50

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<u> OVERRIDE TRANSACTIONS </u>								
<u>BROKER: JIM LUND #60</u>								
03/01/2017	ERTEL, KENNETH	FT FOUNDING FDS ALLOC C	200.00	2.00	0.00	2.00	0.0	2.00
		* JIM LUND SUBTOTAL *	\$200.00	\$33.97	\$0.00	\$33.97		\$33.97
<u>BROKER: JAMES PANOS #61</u>								
/ /	FACADA, MANUEL	FA 529 COLLEGE PORT C	0.00	24.99	0.00	24.99	0.0	24.99
/ /	FACADA, ANNA	FA 529 COLLEGE PORT C	0.00	21.32	0.00	21.32	0.0	21.32
/ /	KORNITSKY, MARK	FA 529 DIVERSIFIED INTL PORT C	0.00	2.33	0.00	2.33	0.0	2.33
/ /	KORNITSKY, MARK	FA 529 DIVERSIFIED INTL PORT C	0.00	3.17	0.00	3.17	0.0	3.17
/ /	KORNITSKY, KAYLA	FA 529 DIVERSIFIED INTL PORT C	0.00	6.37	0.00	6.37	0.0	6.37
/ /	FITZGIBBON, EDMUND	FA 529 DIVERSIFIED INTL PORT C	0.00	8.56	0.00	8.56	0.0	8.56
/ /	KORNITSKY, MARK	FA 529 DIVIDEND GROWTH PORT C	0.00	3.88	0.00	3.88	0.0	3.88
/ /	KORNITSKY, MARK	FA 529 DIVIDEND GROWTH PORT C	0.00	5.25	0.00	5.25	0.0	5.25
/ /	KORNITSKY, KAYLA	FA 529 DIVIDEND GROWTH PORT C	0.00	10.55	0.00	10.55	0.0	10.55
/ /	KORNITSKY, MARK	FA 529 EQUITY GROWTH PORT C	0.00	3.74	0.00	3.74	0.0	3.74
/ /	KORNITSKY, MARK	FA 529 EQUITY GROWTH PORT C	0.00	5.05	0.00	5.05	0.0	5.05
/ /	KORNITSKY, KAYLA	FA 529 EQUITY GROWTH PORT C	0.00	10.26	0.00	10.26	0.0	10.26
/ /	FITZGIBBON, EDMUND	FA 529 EQUITY GROWTH PORT C	0.00	21.78	0.00	21.78	0.0	21.78
/ /	KORNITSKY, MARK	FA 529 NEW INSIGHTS PORT C	0.00	3.94	0.00	3.94	0.0	3.94
/ /	KORNITSKY, MARK	FA 529 NEW INSIGHTS PORT C	0.00	5.33	0.00	5.33	0.0	5.33
/ /	KORNITSKY, KAYLA	FA 529 NEW INSIGHTS PORT C	0.00	10.11	0.00	10.11	0.0	10.11
/ /	FITZGIBBON, EDMUND	FA 529 NEW INSIGHTS PORT C	0.00	3.53	0.00	3.53	0.0	3.53
03/01/2017	ALEXANDER, DOUGLAS	FA 529 PORT 2016 C	0.00	2.40	0.00	2.40	0.0	2.40
/ /	ALEXANDER, DOUGLAS	FA 529 PORT 2019 A	0.00	1.90	0.00	1.90	0.0	1.90
/ /	YFANTOPULOS, GEORGE	FA 529 PORT 2019 C	0.00	53.57	0.00	53.57	0.0	53.57
/ /	MACUCH, PAUL	FA 529 PORT 2019 C	0.00	4.71	0.00	4.71	0.0	4.71
/ /	DORAN, ANN MARIE	FA 529 PORT 2019 C	0.00	2.54	0.00	2.54	0.0	2.54
/ /	DORAN, PATRICK	FA 529 PORT 2019 C	0.00	8.77	0.00	8.77	0.0	8.77
/ /	YFANTOPULOS, GEORGE	FA 529 PORT 2022 C	0.00	54.33	0.00	54.33	0.0	54.33
/ /	LORA, MARCOS	FA 529 PORT 2022 C	0.00	36.63	0.00	36.63	0.0	36.63
/ /	LORA, CATALINA	FA 529 PORT 2022 C	0.00	21.62	0.00	21.62	0.0	21.62
/ /	POWERS, GARY	FA 529 PORT 2022 C	0.00	9.28	0.00	9.28	0.0	9.28
/ /	REMI, ALEX	FA 529 PORT 2022 C	0.00	14.06	0.00	14.06	0.0	14.06
/ /	REMI, ALEX	FA 529 PORT 2022 C	0.00	21.73	0.00	21.73	0.0	21.73
/ /	DORAN, PATRICK	FA 529 PORT 2022 C	0.00	5.95	0.00	5.95	0.0	5.95

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<u> OVERRIDE TRANSACTIONS </u>								
<u> BROKER: JAMES PANOS #61 </u>								
/ /	MACUCH, PAUL	FA 529 PORT 2022 C	0.00	9.79	0.00	9.79	0.0	9.79
/ /	MACUCH, PAUL	FA 529 PORT 2022 C	0.00	9.91	0.00	9.91	0.0	9.91
/ /	KORNITSKY, GAVIN	FA 529 PORT 2022 C	0.00	24.32	0.00	24.32	0.0	24.32
/ /	MACUCH, PAUL	FA 529 PORT 2022 C	0.00	6.84	0.00	6.84	0.0	6.84
/ /	FRENCH, KRISTEN	FA 529 PORT 2022 C	0.00	11.61	0.00	11.61	0.0	11.61
/ /	FRENCH, KRISTEN	FA 529 PORT 2022 C	0.00	9.41	0.00	9.41	0.0	9.41
/ /	AHERN, KEVIN	FA 529 PORT 2022 C	0.00	28.18	0.00	28.18	0.0	28.18
/ /	DORAN, SHAWN	FA 529 PORT 2022 C	0.00	2.90	0.00	2.90	0.0	2.90
/ /	LORA, ROLANDO	FA 529 PORT 2022 C	0.00	17.71	0.00	17.71	0.0	17.71
/ /	DORAN, ANN MARIE	FA 529 PORT 2022 C	0.00	2.64	0.00	2.64	0.0	2.64
/ /	YFANTOPULOS, GEORGE	FA 529 PORT 2022 C	0.00	34.27	0.00	34.27	0.0	34.27
/ /	MURPHY, CHRIS	FA 529 PORT 2025 C	250.00	2.50	0.00	2.50	0.0	2.50
/ /	AHERN, KEVIN	FA 529 PORT 2025 C	0.00	12.68	0.00	12.68	0.0	12.68
/ /	MURPHY, CHRIS	FA 529 PORT 2025 C	0.00	28.17	0.00	28.17	0.0	28.17
/ /	FITZGIBBON, EDMUND	FA 529 PORT 2025 C	0.00	18.67	0.00	18.67	0.0	18.67
/ /	MACK, NEIL	FA 529 PORT 2025 C	0.00	15.36	0.00	15.36	0.0	15.36
03/01/2017	FITZGIBBON, EDMUND	FA 529 PORT 2025 C	200.00	2.00	0.00	2.00	0.0	2.00
03/01/2017	MACK, NEIL	FA 529 PORT 2025 C	250.00	2.50	0.00	2.50	0.0	2.50
/ /	MACK, NEIL	FA 529 PORT 2028 C	50.00	2.50	0.00	2.50	0.0	2.50
03/01/2017	MACUCH, PAUL	FA 529 PORT 2028 C	0.00	4.26	0.00	4.26	0.0	4.26
/ /	FARMER, NEAL	FIDELITY ADVISORS 529 MONEY MARKET	0.00	0.91	0.00	0.91	0.0	0.91
02/28/2017	TATAROUNS, WILLIAM	JNL PERSPECTIVE L	87,170.88	72.64	0.00	72.64	0.0	72.64
02/28/2017	TATAROUNS, LELA	JNL PERSPECTIVE REWARDS	214,800.95	89.50	0.00	89.50	0.0	89.50
* JAMES PANOS SUBTOTAL *			\$302,721.83	\$796.92	\$0.00	\$796.92		\$796.92
<u> BROKER: RAYMOND LAWTON #79 </u>								
02/28/2017	KRAUS, CLAUDIA	GUARDIAN LIFE INS TRAILS	0.00	38.17	0.00	38.17	0.0	38.17
* RAYMOND LAWTON SUBTOTAL *			\$0.00	\$38.17	\$0.00	\$38.17		\$38.17
<u> BROKER: JAMES AULENTI #101 </u>								
03/01/2017	BAYLE, JOHN	AM FUNDS AMCAP A	0.00	6.62	0.00	6.62	0.0	6.62
03/01/2017	BAYLE, JOHN	AM FUNDS AMERICAN BALANCED A	0.00	28.14	0.00	28.14	0.0	28.14
03/01/2017	BAYLE, JOHN	AM FUNDS BOND FUND OF AMERICA A	0.00	32.80	0.00	32.80	0.0	32.80
03/01/2017	MCCANDLESS, DOROTHY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	9.43	0.00	9.43	0.0	9.43

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<u> OVERRIDE TRANSACTIONS </u>								
<u> BROKER: JAMES AULENTI #101 </u>								
03/01/2017	MCCANDLESS, JAMES	AM FUNDS CAPITAL INCOME BUILDER A	0.00	13.21	0.00	13.21	0.0	13.21
03/01/2017	SCHULTZ, WILLIAM	AM FUNDS CAPITAL INCOME BUILDER A	0.00	16.25	0.00	16.25	0.0	16.25
03/01/2017	BAYLE, JOHN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	27.36	0.00	27.36	0.0	27.36
03/01/2017	MCCANDLESS, DOROTHY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	10.07	0.00	10.07	0.0	10.07
03/01/2017	MCCANDLESS, JAMES	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	13.99	0.00	13.99	0.0	13.99
03/01/2017	SPENCE, NANCY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	18.94	0.00	18.94	0.0	18.94
03/01/2017	BAYLE, JOHN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	27.32	0.00	27.32	0.0	27.32
03/01/2017	RODRIGUES, GEORGE	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	8.25	0.00	8.25	0.0	8.25
03/01/2017	SPENCE, NANCY	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	21.55	0.00	21.55	0.0	21.55
03/01/2017	CALABRO, TREVER	AM FUNDS GROWTH AND INCOME 529A	0.00	52.03	0.00	52.03	0.0	52.03
03/01/2017	CALABRO, TREVER	AM FUNDS GROWTH PORT 529A	0.00	67.15	0.00	67.15	0.0	67.15
03/01/2017	BAYLE, JOHN	AM FUNDS INCOME FUND OF AMERICA A	0.00	14.28	0.00	14.28	0.0	14.28
03/01/2017	CLISHAM, JOHN	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	153.57	0.00	153.57	0.0	153.57
03/01/2017	MCCANDLESS, JAMES	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	31.79	0.00	31.79	0.0	31.79
* JAMES AULENTI SUBTOTAL *			\$0.00	\$552.75	\$0.00	\$552.75		\$552.75
<u> BROKER: ERIK BLOOMFELDT #105 </u>								
03/01/2017	TOMLINSON, ELIJAH	AM FUNDS COLLEGE 2030 FUND 529A	0.00	4.25	0.00	4.25	0.0	4.25
02/28/2017	DEACON, GALE	JNL PERSPECTIVE L	7,406.11	6.17	0.00	6.17	0.0	6.17
* ERIK BLOOMFELDT SUBTOTAL *			\$7,406.11	\$10.42	\$0.00	\$10.42		\$10.42
<u> BROKER: DANIEL COLLINS #106 </u>								
/ /	MORRISON, ISABELLA	COLLEGE PORTFOLIO B	0.00	0.20	0.00	0.20	0.0	0.20
/ /	MORRISON, ALEXANDRA	COLLEGE PORTFOLIO B	0.00	0.20	0.00	0.20	0.0	0.20
02/27/2017	MOLNAR, JAMES	FRANKLIN GROWTH OPP A	30.00	1.50	0.00	1.50	0.0	1.50
02/27/2017	MOLNAR, JAMES	FRANKLIN GROWTH OPP A	30.00	1.50	0.00	1.50	0.0	1.50
02/27/2017	FISACKERLY, MARK	FRANKLIN GROWTH OPP A	25.00	1.25	0.00	1.25	0.0	1.25
02/27/2017	FISACKERLY, MARK	FRANKLIN GROWTH OPP A	25.00	1.25	0.00	1.25	0.0	1.25
02/27/2017	MOLNAR, JAMES	FRANKLIN RISING DIVIDENDS A	30.00	1.50	0.00	1.50	0.0	1.50
02/27/2017	MOLNAR, JAMES	FRANKLIN RISING DIVIDENDS A	30.00	1.50	0.00	1.50	0.0	1.50
02/27/2017	FISACKERLY, MARK	FRANKLIN RISING DIVIDENDS A	25.00	1.25	0.00	1.25	0.0	1.25
02/27/2017	FISACKERLY, MARK	FRANKLIN RISING DIVIDENDS A	25.00	1.25	0.00	1.25	0.0	1.25
02/27/2017	MOLNAR, JAMES	FRANKLIN SMALL CAP VALUE A	30.00	1.50	0.00	1.50	0.0	1.50
02/27/2017	MOLNAR, JAMES	FRANKLIN SMALL CAP VALUE A	30.00	1.50	0.00	1.50	0.0	1.50

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<u> OVERRIDE TRANSACTIONS </u>								
<u>BROKER: DANIEL COLLINS #106</u>								
02/27/2017	FISACKERLY, MARK	FRANKLIN SMALL CAP VALUE A	25.00	1.25	0.00	1.25	0.0	1.25
02/27/2017	FISACKERLY, MARK	FRANKLIN SMALL CAP VALUE A	25.00	1.25	0.00	1.25	0.0	1.25
02/27/2017	MOLNAR, JAMES	FT GROWTH ALLOC A	30.00	1.50	0.00	1.50	0.0	1.50
02/27/2017	MOLNAR, JAMES	FT GROWTH ALLOC A	30.00	1.50	0.00	1.50	0.0	1.50
02/27/2017	FISACKERLY, MARK	FT GROWTH ALLOC A	25.00	1.25	0.00	1.25	0.0	1.25
02/27/2017	FISACKERLY, MARK	FT GROWTH ALLOC A	25.00	1.25	0.00	1.25	0.0	1.25
* DANIEL COLLINS SUBTOTAL *			\$440.00	\$22.40	\$0.00	\$22.40		\$22.40
<u>BROKER: G118 GRECO #110</u>								
03/01/2017	KING, KYLIE	AM FUNDS AMERICAN BALANCED 529A	0.00	0.33	0.00	0.33	0.0	0.33
02/09/2017	KLIMA, JANINA	AM FUNDS AMERICAN BALANCED A	0.00	7.16	0.00	7.16	0.0	7.16
02/09/2017	SOKOLNICKI, BRIAN	AM FUNDS AMERICAN BALANCED A	0.00	4.51	0.00	4.51	0.0	4.51
02/09/2017	AMENDOLA, KEITH	AM FUNDS AMERICAN BALANCED A	0.00	4.29	0.00	4.29	0.0	4.29
02/09/2017	O'DWYER, PATRICK	AM FUNDS AMERICAN BALANCED A	0.00	6.32	0.00	6.32	0.0	6.32
02/09/2017	PULLEN, DAWN	AM FUNDS AMERICAN BALANCED A	0.00	4.29	0.00	4.29	0.0	4.29
02/09/2017	BALDASSANO, DOMINICK	AM FUNDS AMERICAN BALANCED A	0.00	6.32	0.00	6.32	0.0	6.32
03/01/2017	GUZMAN, JUAN	AM FUNDS AMERICAN BALANCED A	0.00	1.90	0.00	1.90	0.0	1.90
03/01/2017	DOBRICKY, ALAN	AM FUNDS BOND FUND OF AMERICA A	0.00	0.87	0.00	0.87	0.0	0.87
02/09/2017	KENNEDY, WENDY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.98	0.00	0.98	0.0	0.98
02/09/2017	AMENDOLA, KEITH	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.15	0.00	0.15	0.0	0.15
02/09/2017	PULLEN, DAWN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.15	0.00	0.15	0.0	0.15
03/01/2017	GUZMAN, JUAN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.59	0.00	1.59	0.0	1.59
03/01/2017	GUZMAN, JUAN	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	1.34	0.00	1.34	0.0	1.34
02/21/2017	GARZA, NATHAN	AM FUNDS GROWTH FUND OF AMERICA 529	50.00	2.50	0.00	2.50	0.0	2.50
03/01/2017	GARZA, NATHAN	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	0.31	0.00	0.31	0.0	0.31
03/01/2017	PAOLI, ANGELA	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	0.53	0.00	0.53	0.0	0.53
03/01/2017	RITTENHOUSE, JOHN	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	2.55	0.00	2.55	0.0	2.55
03/01/2017	BALDASSANO, VINCENT	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	0.33	0.00	0.33	0.0	0.33
02/09/2017	KENNEDY, WENDY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.01	0.00	1.01	0.0	1.01
03/01/2017	BLASSICK, RICHARD	AM FUNDS GROWTH FUND OF AMERICA A	0.00	3.12	0.00	3.12	0.0	3.12
03/01/2017	GUZMAN, JUAN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.87	0.00	1.87	0.0	1.87
03/01/2017	GUZMAN, JUAN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	4.44	0.00	4.44	0.0	4.44
03/01/2017	PAOLI, ANGELA	AM FUNDS ICA 529A	0.00	0.49	0.00	0.49	0.0	0.49
03/01/2017	RITTENHOUSE, JOHN	AM FUNDS ICA 529A	0.00	1.13	0.00	1.13	0.0	1.13

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u> OVERRIDE TRANSACTIONS </u>								
<u> BROKER: G118 GRECO #110 </u>								
03/01/2017	BALDASSANO, VINCENT	AM FUNDS ICA 529A	0.00	0.33	0.00	0.33	0.0	0.33
02/09/2017	KENNEDY, WENDY	AM FUNDS ICA A	0.00	0.96	0.00	0.96	0.0	0.96
02/09/2017	SOKOLNICKI, BRIAN	AM FUNDS ICA A	0.00	4.86	0.00	4.86	0.0	4.86
03/01/2017	GUZMAN, JUAN	AM FUNDS ICA A	0.00	1.55	0.00	1.55	0.0	1.55
03/01/2017	DOBRICKY, ALAN	AM FUNDS ICA A	0.00	2.07	0.00	2.07	0.0	2.07
03/01/2017	GUZMAN, JUAN	AM FUNDS INCOME FUND OF AMERICA A	0.00	1.51	0.00	1.51	0.0	1.51
03/01/2017	DOBRICKY, ALAN	AM FUNDS INCOME FUND OF AMERICA A	0.00	2.77	0.00	2.77	0.0	2.77
02/21/2017	GARZA, NATHAN	AM FUNDS NEW PERSPECTIVE 529A	50.00	2.50	0.00	2.50	0.0	2.50
03/01/2017	GARZA, NATHAN	AM FUNDS NEW PERSPECTIVE 529A	0.00	0.31	0.00	0.31	0.0	0.31
02/09/2017	KENNEDY, WENDY	AM FUNDS NEW PERSPECTIVE A	0.00	0.84	0.00	0.84	0.0	0.84
02/09/2017	SOKOLNICKI, BRIAN	AM FUNDS NEW PERSPECTIVE A	0.00	2.53	0.00	2.53	0.0	2.53
02/09/2017	PULLEN, DAWN	AM FUNDS NEW PERSPECTIVE A	0.00	3.60	0.00	3.60	0.0	3.60
03/01/2017	BLASSICK, RICHARD	AM FUNDS NEW PERSPECTIVE A	0.00	1.19	0.00	1.19	0.0	1.19
03/01/2017	GUZMAN, JUAN	AM FUNDS NEW PERSPECTIVE A	0.00	1.81	0.00	1.81	0.0	1.81
03/01/2017	GUZMAN, JUAN	AM FUNDS NEW PERSPECTIVE A	0.00	0.80	0.00	0.80	0.0	0.80
03/01/2017	DOBRICKY, ALAN	AM FUNDS NEW PERSPECTIVE A	0.00	1.74	0.00	1.74	0.0	1.74
03/01/2017	RITTENHOUSE, JOHN	AM FUNDS SMALLCAP WORLD-529A	0.00	0.98	0.00	0.98	0.0	0.98
03/01/2017	BLASSICK, RICHARD	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	2.62	0.00	2.62	0.0	2.62
03/01/2017	KING, KYLIE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.23	0.00	0.23	0.0	0.23
02/09/2017	MAENTANIS, JOHN	LEGG MASON CLEARBRIDGE APPRECIATION	0.00	14.88	0.00	14.88	0.0	14.88
02/23/2017	SOKOLNICKI, BRIAN	MORGAN STANLEY INSTL FD INC GBL APP	0.00	5.02	0.00	5.02	0.0	5.02
02/09/2017	MAENTANIS, JOHN	TRANSAMERICA AA MODERATE C	0.00	12.40	0.00	12.40	0.0	12.40
02/21/2017	MAENTANIS, JOHN	TRANSAMERICA AA MODERATE C	0.00	12.40	0.00	12.40	0.0	12.40
* G118 GRECO SUBTOTAL *			\$100.00	\$136.38	\$0.00	\$136.38		\$136.38
<u> BROKER: JAMES KOESTER #117 </u>								
03/01/2017	UPTON, TODD	AM FUNDS CAPITAL INCOME BUILDER 529	0.00	1.64	0.00	1.64	0.0	1.64
03/01/2017	UPTON, TODD	AM FUNDS CAPITAL INCOME BUILDER 529	0.00	2.07	0.00	2.07	0.0	2.07
/ /	RADFORD, KIRK	FIDELITY ADVISOR 529 COLLEGE PORT C	0.00	0.10	0.00	0.10	0.0	0.10
/ /	MCDEVITT, JILL	JH 529 PORT 2021-2024 A	0.00	1.39	0.00	1.39	0.0	1.39
/ /	HAMILTON, LAWRENCE	JH 529 PORT 2021-2024 A	0.00	0.78	0.00	0.78	0.0	0.78
03/02/2017	MCDEVITT, JILL	JH 529 PORT 2021-2024 A	50.00	2.13	0.00	2.13	0.0	2.13
/ /	MCDEVITT, JILL	JH 529 PORT 2025-2028 A	0.00	1.47	0.00	1.47	0.0	1.47
/ /	HAMILTON, LAWRENCE	JH 529 PORT 2025-2028 A	0.00	0.77	0.00	0.77	0.0	0.77

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u> OVERRIDE TRANSACTIONS </u>								
<u>BROKER: JAMES KOESTER #117</u>								
03/02/2017	MCDEVITT, JILL	JH 529 PORT 2025-2028 A	50.00	2.13	0.00	2.13	0.0	2.13
		* JAMES KOESTER SUBTOTAL *	\$100.00	\$12.48	\$0.00	\$12.48		\$12.48
<u>BROKER: JAY MCCLELLAN #120</u>								
03/01/2017	SHEPARD, EARL	AM FUNDS GROWTH FUND OF AMERICA F1	0.00	9.04	0.00	9.04	0.0	9.04
03/03/2017	CRABTREE, ASHTYN	COLUMBIA STRATEGIC INVESTOR A	0.00	2.45	0.00	2.45	0.0	2.45
/ /	ZEHRINGER, JAMES	EATON VANCE GREATER CHINA GROWTH A	0.00	2.07	0.00	2.07	0.0	2.07
02/28/2017	MILLER, DOUGLAS	MASS MUTUAL PANAMA PREMIER	18,319.30	6.11	0.00	6.11	0.0	6.11
/ /	LEO, MICHAEL	RYDEX GUGG UTILITIES C	0.00	1.34	0.00	1.34	0.0	1.34
		* JAY MCCLELLAN SUBTOTAL *	\$18,319.30	\$21.01	\$0.00	\$21.01		\$21.01
<u>BROKER: TIMOTHY KULHANEK #145</u>								
02/21/2017	NORDHUES, RONOTTA	AMERITAS MEDLEY	36,570.55	22.86	0.00	22.86	0.0	22.86
02/24/2017	NORDHUES, RONOTTA	AMERITAS MEDLEY	130.00	7.80	0.00	7.80	0.0	7.80
		* TIMOTHY KULHANEK SUBTOTAL *	\$36,700.55	\$30.66	\$0.00	\$30.66		\$30.66
<u>BROKER: CHARLIE ARRINGTON #174</u>								
02/28/2017	SHURTZ, TERRI	JNL PERSPECTIVE L	39,553.87	32.96	0.00	32.96	0.0	32.96
		* CHARLIE ARRINGTON SUBTOTAL *	\$39,553.87	\$32.96	\$0.00	\$32.96		\$32.96
<u>BROKER: MICHELE BOYER #189</u>								
03/02/2017	ANGSTMAN, CHRISTINE	TRANSAMERICA AA CONSERVATIVE C	0.00	0.92	0.00	0.92	0.0	0.92
03/02/2017	ANGSTMAN, CHRISTINE	TRANSAMERICA FLEXIBLE INCOME C	0.00	1.78	0.00	1.78	0.0	1.78
03/02/2017	ANGSTMAN, CHRISTINE	TRANSAMERICA MULTI MGR ALT STRATEGI	0.00	0.83	0.00	0.83	0.0	0.83
		* MICHELE BOYER SUBTOTAL *	\$0.00	\$3.53	\$0.00	\$3.53		\$3.53
<u>BROKER: MICHAEL PALMISANO #196</u>								
02/09/2017	KLEIST, ARTHUR	AM FUNDS NEW WORLD C	0.00	9.67	0.00	9.67	0.0	9.67
/ /	HOFFMANN, DARLENE	FIDELITY ADV UTILITIES C	0.00	0.74	0.00	0.74	0.0	0.74
02/09/2017	VINCENT, JUDITH	FIDELITY BALANCED C	0.00	2.26	0.00	2.26	0.0	2.26
/ /	HOFFMANN, DARLENE	FIDELITY DIVIDEND GROWTH C	0.00	0.80	0.00	0.80	0.0	0.80
02/09/2017	VINCENT, JUDITH	FIDELITY INTL CAP APP C	0.00	7.45	0.00	7.45	0.0	7.45
02/28/2017	WEGMAN, MARK	JNL PERSPECTIVE L	107,542.89	89.62	0.00	89.62	0.0	89.62
		* MICHAEL PALMISANO SUBTOTAL *	\$107,542.89	\$110.54	\$0.00	\$110.54		\$110.54

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<u> OVERRIDE TRANSACTIONS </u>								
<u>BROKER: MEREDITH MCCUTCHEN #221</u>								
03/01/2017	CUSUMANO, DARLENE	AM FUNDS AMERICAN MUTUAL 529A	0.00	0.36	0.00	0.36	0.0	0.36
03/01/2017	PITT, PATRICIA	AM FUNDS AMERICAN MUTUAL 529A	0.00	3.19	0.00	3.19	0.0	3.19
03/01/2017	PITT, PATRICIA	AM FUNDS AMERICAN MUTUAL 529A	0.00	1.86	0.00	1.86	0.0	1.86
03/01/2017	PITT, PATRICIA	AM FUNDS AMERICAN MUTUAL 529B	0.00	2.49	0.00	2.49	0.0	2.49
03/01/2017	PITT, PATRICIA	AM FUNDS AMERICAN MUTUAL 529B	0.00	1.46	0.00	1.46	0.0	1.46
03/01/2017	ROBINSON, SARAH	AM FUNDS AMERICAN MUTUAL A	0.00	3.45	0.00	3.45	0.0	3.45
03/01/2017	CUSUMANO, DARLENE	AM FUNDS CAPITAL WORLD GRTH & INC 5	0.00	0.33	0.00	0.33	0.0	0.33
03/01/2017	PITT, PATRICIA	AM FUNDS CAPITAL WORLD GRTH & INC 5	0.00	2.62	0.00	2.62	0.0	2.62
03/01/2017	PITT, PATRICIA	AM FUNDS CAPITAL WORLD GRTH & INC 5	0.00	1.38	0.00	1.38	0.0	1.38
03/01/2017	PITT, PATRICIA	AM FUNDS CAPITAL WORLD GRTH & INC 5	0.00	2.02	0.00	2.02	0.0	2.02
03/01/2017	PITT, PATRICIA	AM FUNDS CAPITAL WORLD GRTH & INC 5	0.00	1.07	0.00	1.07	0.0	1.07
03/01/2017	ROBINSON, SARAH	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.93	0.00	2.93	0.0	2.93
03/01/2017	CUSUMANO, DARLENE	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	0.43	0.00	0.43	0.0	0.43
03/01/2017	PITT, PATRICIA	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	3.58	0.00	3.58	0.0	3.58
03/01/2017	PITT, PATRICIA	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	2.27	0.00	2.27	0.0	2.27
03/01/2017	PITT, PATRICIA	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	2.75	0.00	2.75	0.0	2.75
03/01/2017	PITT, PATRICIA	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	1.74	0.00	1.74	0.0	1.74
03/01/2017	ROBINSON, SARAH	AM FUNDS GROWTH FUND OF AMERICA A	0.00	3.76	0.00	3.76	0.0	3.76
03/01/2017	CUSUMANO, DARLENE	AM FUNDS NEW PERSPECTIVE 529A	0.00	0.38	0.00	0.38	0.0	0.38
03/01/2017	PITT, PATRICIA	AM FUNDS NEW PERSPECTIVE 529A	0.00	3.03	0.00	3.03	0.0	3.03
03/01/2017	PITT, PATRICIA	AM FUNDS NEW PERSPECTIVE 529A	0.00	1.80	0.00	1.80	0.0	1.80
03/01/2017	PITT, PATRICIA	AM FUNDS NEW PERSPECTIVE 529B	0.00	2.32	0.00	2.32	0.0	2.32
03/01/2017	PITT, PATRICIA	AM FUNDS NEW PERSPECTIVE 529B	0.00	1.38	0.00	1.38	0.0	1.38
03/01/2017	ROBINSON, SARAH	AM FUNDS NEW PERSPECTIVE A	0.00	3.12	0.00	3.12	0.0	3.12
03/03/2017	TALBERT, ANN	COLUMBIA LARGE CAP GROWTH C	0.00	7.07	0.00	7.07	0.0	7.07
03/03/2017	TALBERT, ANN	COLUMBIA MIDCAP GROWTH FUND-C	0.00	6.62	0.00	6.62	0.0	6.62
* MEREDITH MCCUTCHEN SUBTOTAL *			\$0.00	\$63.41	\$0.00	\$63.41		\$63.41
<u>BROKER: JAMES CRAWFORD #225</u>								
02/28/2017	ROBERTS, KERMIT	JOHN HANCOCK VENTURE 2006	9,393.61	1.96	0.00	1.96	0.0	1.96
02/28/2017	ROBERTS, ELLEN	JOHN HANCOCK VENTURE 2006	7,484.38	1.56	0.00	1.56	0.0	1.56
* JAMES CRAWFORD SUBTOTAL *			\$16,877.99	\$3.52	\$0.00	\$3.52		\$3.52

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<u> OVERRIDE TRANSACTIONS </u>								
<u> BROKER: CARL WORDEN III #232 </u>								
02/28/2017	ALVAREZ, ANTONIO	JNL PERSPECTIVE II 05/05	9,846.72	2.05	0.00	2.05	0.0	2.05
		* CARL WORDEN III SUBTOTAL *	\$9,846.72	\$2.05	\$0.00	\$2.05		\$2.05
<u> BROKER: MARIA BONGIOVANNI #237 </u>								
03/01/2017	PRATUS, LINDSEY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	2.11	0.00	2.11	0.0	2.11
03/01/2017	PRATUS, LINDSEY	AM FUNDS GROWTH FUND OF AMERICA C	0.00	13.44	0.00	13.44	0.0	13.44
03/01/2017	PRATUS, LINDSEY	AM FUNDS ICA A	0.00	1.11	0.00	1.11	0.0	1.11
03/01/2017	PRATUS, LINDSEY	AM FUNDS ICA C	0.00	13.43	0.00	13.43	0.0	13.43
		* MARIA BONGIOVANNI SUBTOTAL *	\$0.00	\$30.09	\$0.00	\$30.09		\$30.09
<u> BROKER: WILLIAM THOMAS #239 </u>								
03/01/2017	THOMAS, NATALIE	AM FUNDS AMCAP 529A	0.00	5.81	0.00	5.81	0.0	5.81
03/01/2017	WLODARCZYK, MARGARET	AM FUNDS AMCAP A	0.00	80.61	0.00	80.61	0.0	80.61
03/01/2017	ISBELL, LINDA	AM FUNDS AMCAP A	0.00	2.66	0.00	2.66	0.0	2.66
03/01/2017	MARVAR, PATRICIA	AM FUNDS AMCAP A	0.00	4.21	0.00	4.21	0.0	4.21
03/01/2017	WLODARCZYK, MAREK	AM FUNDS AMCAP A	0.00	6.97	0.00	6.97	0.0	6.97
03/01/2017	MARSHALL, ANDREW	AM FUNDS AMCAP C	0.00	26.11	0.00	26.11	0.0	26.11
03/01/2017	WLODARCZYK, MAREK	AM FUNDS AMCAP C	0.00	60.67	0.00	60.67	0.0	60.67
03/01/2017	MCPHALL, MARGARET	AM FUNDS AMERICAN MUTUAL A	0.00	9.17	0.00	9.17	0.0	9.17
03/01/2017	ISBELL, LINDA	AM FUNDS AMERICAN MUTUAL A	0.00	2.89	0.00	2.89	0.0	2.89
03/01/2017	MARVAR, PATRICIA	AM FUNDS AMERICAN MUTUAL A	0.00	6.12	0.00	6.12	0.0	6.12
03/01/2017	NELSON, JOANNE	AM FUNDS AMERICAN MUTUAL A	0.00	7.62	0.00	7.62	0.0	7.62
03/01/2017	MARSHALL, ANDREW	AM FUNDS AMERICAN MUTUAL C	0.00	35.92	0.00	35.92	0.0	35.92
03/01/2017	MCLAUGHLIN, JOHN	AM FUNDS AMERICAN MUTUAL C	0.00	44.90	0.00	44.90	0.0	44.90
03/01/2017	VITOUS, ALBERT	AM FUNDS AMERICAN MUTUAL C	0.00	35.55	0.00	35.55	0.0	35.55
03/01/2017	MCGRATH, PATRICIA	AM FUNDS AMERICAN MUTUAL C	0.00	6.54	0.00	6.54	0.0	6.54
03/01/2017	WLODARCZYK, MARGARET	AM FUNDS BALANCED PORT A	0.00	19.11	0.00	19.11	0.0	19.11
03/01/2017	MARVAR, PATRICIA	AM FUNDS BALANCED PORT A	0.00	10.74	0.00	10.74	0.0	10.74
03/01/2017	NELSON, JOANNE	AM FUNDS BALANCED PORT C	0.00	24.44	0.00	24.44	0.0	24.44
03/01/2017	VALICEVIC, ROBERT	AM FUNDS BOND FUND OF AMERICA 529C	0.00	9.58	0.00	9.58	0.0	9.58
03/01/2017	VALICEVIC, ROBERT	AM FUNDS BOND FUND OF AMERICA 529C	0.00	11.75	0.00	11.75	0.0	11.75
03/01/2017	MCPHALL, MARGARET	AM FUNDS BOND FUND OF AMERICA A	0.00	9.05	0.00	9.05	0.0	9.05
03/01/2017	VITOUS, ALBERT	AM FUNDS BOND FUND OF AMERICA C	0.00	12.51	0.00	12.51	0.0	12.51
03/01/2017	WLODARCZYK, MAREK	AM FUNDS CAPITAL WORLD GRTH & INC C	0.00	8.49	0.00	8.49	0.0	8.49

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<u> OVERRIDE TRANSACTIONS </u>								
<u>BROKER: WILLIAM THOMAS #239</u>								
03/01/2017	VALICEVIC, ROBERT	AM FUNDS EUROPACIFIC GROWTH FUND 52	0.00	3.90	0.00	3.90	0.0	3.90
03/01/2017	VALICEVIC, ROBERT	AM FUNDS EUROPACIFIC GROWTH FUND 52	0.00	4.96	0.00	4.96	0.0	4.96
03/01/2017	THOMAS, NICOLE	AM FUNDS FUNDAMENTAL INVESTORS 529A	0.00	1.87	0.00	1.87	0.0	1.87
03/01/2017	WLODARCZYK, MARGARET	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	71.89	0.00	71.89	0.0	71.89
03/01/2017	MARVAR, PATRICIA	AM FUNDS GROWTH AND INCOME C	0.00	37.39	0.00	37.39	0.0	37.39
03/01/2017	MARVAR, PATRICIA	AM FUNDS GROWTH AND INCOME C	0.00	20.28	0.00	20.28	0.0	20.28
03/01/2017	OLDS, DUANE	AM FUNDS GROWTH AND INCOME C	0.00	127.63	0.00	127.63	0.0	127.63
03/01/2017	OLDS, CHERYL	AM FUNDS GROWTH AND INCOME C	0.00	85.92	0.00	85.92	0.0	85.92
03/01/2017	MCLAUGHLIN, JOHN	AM FUNDS GROWTH AND INCOME C	0.00	9.79	0.00	9.79	0.0	9.79
03/01/2017	THOMAS, NATALIE	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	3.69	0.00	3.69	0.0	3.69
03/01/2017	THOMAS, NICOLE	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	7.80	0.00	7.80	0.0	7.80
03/01/2017	THOMAS, NATALIE	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	2.24	0.00	2.24	0.0	2.24
03/01/2017	VALICEVIC, ROBERT	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	48.20	0.00	48.20	0.0	48.20
03/01/2017	VALICEVIC, ROBERT	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	54.19	0.00	54.19	0.0	54.19
03/01/2017	RUFFINO, MARILENA	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	54.18	0.00	54.18	0.0	54.18
03/01/2017	RUFFINO, MARILENA	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	63.39	0.00	63.39	0.0	63.39
03/01/2017	MYZIENSKI, APRIL	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	0.25	0.00	0.25	0.0	0.25
03/01/2017	WLODARCZYK, MARGARET	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.66	0.00	1.66	0.0	1.66
03/01/2017	ISBELL, LINDA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	3.15	0.00	3.15	0.0	3.15
03/01/2017	MARVAR, PATRICIA	AM FUNDS GROWTH FUND OF AMERICA C	0.00	9.78	0.00	9.78	0.0	9.78
03/01/2017	MCLAUGHLIN, JOHN	AM FUNDS GROWTH FUND OF AMERICA C	0.00	2.24	0.00	2.24	0.0	2.24
03/01/2017	VITOUS, ALBERT	AM FUNDS GROWTH FUND OF AMERICA C	0.00	5.74	0.00	5.74	0.0	5.74
03/01/2017	WLODARCZYK, MAREK	AM FUNDS GROWTH FUND OF AMERICA C	0.00	16.44	0.00	16.44	0.0	16.44
03/01/2017	MCGRATH, PATRICIA	AM FUNDS GROWTH FUND OF AMERICA C	0.00	8.51	0.00	8.51	0.0	8.51
03/01/2017	MICHAEL, JUDE	AM FUNDS GROWTH PORT 529A	0.00	10.28	0.00	10.28	0.0	10.28
03/01/2017	KEUTEN, THOMAS	AM FUNDS GROWTH PORT 529A	0.00	2.45	0.00	2.45	0.0	2.45
03/01/2017	MICHAEL, JUDE	AM FUNDS GROWTH PORT 529A	0.00	9.78	0.00	9.78	0.0	9.78
03/01/2017	KEUTEN, THOMAS	AM FUNDS GROWTH PORT 529A	0.00	2.37	0.00	2.37	0.0	2.37
03/01/2017	KEUTEN, THOMAS	AM FUNDS GROWTH PORT 529A	0.00	2.37	0.00	2.37	0.0	2.37
03/01/2017	KEUTEN, MADELINE	AM FUNDS GROWTH PORT A	0.00	21.47	0.00	21.47	0.0	21.47
03/01/2017	KEUTEN, NICHOLAS	AM FUNDS GROWTH PORT A	0.00	15.23	0.00	15.23	0.0	15.23
03/01/2017	KEUTEN, SAMUEL	AM FUNDS GROWTH PORT A	0.00	8.17	0.00	8.17	0.0	8.17
03/01/2017	MARSHALL, ANDREW	AM FUNDS GROWTH PORT C	0.00	33.12	0.00	33.12	0.0	33.12

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u> OVERRIDE TRANSACTIONS </u>								
<u>BROKER: WILLIAM THOMAS #239</u>								
03/01/2017	OLDS, ANDREW	AM FUNDS GROWTH PORT C	0.00	6.93	0.00	6.93	0.0	6.93
03/01/2017	OLDS, ALEXANDRA	AM FUNDS GROWTH PORT C	0.00	6.90	0.00	6.90	0.0	6.90
03/01/2017	OLDS, DUANE	AM FUNDS GROWTH PORT C	0.00	70.87	0.00	70.87	0.0	70.87
03/01/2017	OLDS, CHERYL	AM FUNDS GROWTH PORT C	0.00	35.40	0.00	35.40	0.0	35.40
03/01/2017	ISBELL, LINDA	AM FUNDS ICA A	0.00	1.16	0.00	1.16	0.0	1.16
03/01/2017	VITOUS, ALBERT	AM FUNDS INCOME FUND OF AMERICA C	0.00	13.78	0.00	13.78	0.0	13.78
03/01/2017	VITOUS, ALBERT	AM FUNDS INCOME FUND OF AMERICA C	0.00	5.95	0.00	5.95	0.0	5.95
03/01/2017	MCLAUGHLIN, JOHN	AM FUNDS INCOME PORTFOLIO C	0.00	33.56	0.00	33.56	0.0	33.56
03/01/2017	LUKE, JAMES	AM FUNDS INCOME PORTFOLIO C	0.00	76.97	0.00	76.97	0.0	76.97
03/01/2017	VITOUS, ALBERT	AM FUNDS INTERMEDIATE BOND FUND OF	0.00	9.84	0.00	9.84	0.0	9.84
03/01/2017	WLODARCZYK, MARGARET	AM FUNDS NEW ECONOMY A	0.00	2.12	0.00	2.12	0.0	2.12
03/01/2017	WLODARCZYK, MAREK	AM FUNDS NEW ECONOMY A	0.00	0.53	0.00	0.53	0.0	0.53
03/01/2017	WLODARCZYK, MAREK	AM FUNDS NEW ECONOMY C	0.00	0.06	0.00	0.06	0.0	0.06
03/01/2017	VOKITS, DOUGLAS	AM FUNDS NEW ECONOMY C	0.00	13.90	0.00	13.90	0.0	13.90
03/01/2017	MCGRATH, PATRICIA	AM FUNDS PRESERVATION PORT C	0.00	27.40	0.00	27.40	0.0	27.40
03/01/2017	THOMAS, NICOLE	AM FUNDS SMALLCAP WORLD-529A	0.00	0.82	0.00	0.82	0.0	0.82
03/01/2017	WLODARCZYK, MARGARET	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	59.58	0.00	59.58	0.0	59.58
03/01/2017	MCPHALL, MARGARET	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	9.23	0.00	9.23	0.0	9.23
03/01/2017	NELSON, JOANNE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	7.65	0.00	7.65	0.0	7.65
03/01/2017	WLODARCZYK, MAREK	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	8.20	0.00	8.20	0.0	8.20
03/01/2017	MARSHALL, ANDREW	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	25.07	0.00	25.07	0.0	25.07
03/01/2017	MCLAUGHLIN, JOHN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	19.62	0.00	19.62	0.0	19.62
03/01/2017	VITOUS, ALBERT	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	35.75	0.00	35.75	0.0	35.75
03/01/2017	WLODARCZYK, MAREK	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	13.37	0.00	13.37	0.0	13.37
03/01/2017	MCGRATH, PATRICIA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	6.60	0.00	6.60	0.0	6.60
03/01/2017	VALICEVIC, ROBERT	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	14.32	0.00	14.32	0.0	14.32
03/01/2017	VALICEVIC, ROBERT	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	17.61	0.00	17.61	0.0	17.61
03/01/2017	RUFFINO, MARILENA	AMERICAN FDS GROWTH PORTFOLIO 529C	0.00	61.07	0.00	61.07	0.0	61.07
03/01/2017	SHERMAN, BROOKE	AMERICAN FDS GROWTH PORTFOLIO 529C	0.00	3.12	0.00	3.12	0.0	3.12
03/01/2017	MICHAEL, JUDE	AMERICAN FDS GROWTH PORTFOLIO 529C	0.00	8.02	0.00	8.02	0.0	8.02
03/01/2017	MYZIENSKI, APRIL	AMERICAN FUNDS COLLEGE 2033 FUND 52	0.00	5.33	0.00	5.33	0.0	5.33
03/01/2017	OLDS, CHERYL	AMERICAN FUNDS GROWTH & INCOME PORT	0.00	0.01	0.00	0.01	0.0	0.01
03/01/2017	KEUTEN, MADELINE	AMERICAN FUNDS GROWTH PORTFOLIO-B	0.00	3.88	0.00	3.88	0.0	3.88

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u> OVERRIDE TRANSACTIONS </u>								
<u> BROKER: WILLIAM THOMAS #239 </u>								
03/01/2017	KEUTEN, NICHOLAS	AMERICAN FUNDS GROWTH PORTFOLIO-B	0.00	3.79	0.00	3.79	0.0	3.79
03/01/2017	OLDS, CHERYL	AMERICAN FUNDS GROWTH PORTFOLIO-F1	0.00	0.01	0.00	0.01	0.0	0.01
03/01/2017	VITOUS, ALBERT	AMERICAN HIGH-INCOME MUNI BOND FUND	0.00	13.04	0.00	13.04	0.0	13.04
03/01/2017	VITOUS, ALBERT	AMERICAN HIGH-INCOME MUNI BOND FUND	0.00	10.43	0.00	10.43	0.0	10.43
03/01/2017	YOUNG, JAKE	COLLEGE 2021 FUND-529C	0.00	19.82	0.00	19.82	0.0	19.82
03/01/2017	MYZIENSKI, APRIL	COLLEGE 2030 FUND-529C	0.00	7.68	0.00	7.68	0.0	7.68
02/27/2017	OTIS, KEVIN	NWL NEXT GEN II FP VUL	11,500.00	345.00	0.00	345.00	0.0	345.00
02/28/2017	WOJCICKIJ, TARAS	NWL NEXT GEN II FP VUL	300.00	6.00	0.00	6.00	0.0	6.00
* WILLIAM THOMAS SUBTOTAL *			\$11,800.00	\$2,202.14	\$0.00	\$2,202.14		\$2,202.14

 BROKER: B151-JASON/MARIA BAIRD/BONGIOVANNI #240

03/01/2017	EDWARDS, MICHAEL	AM FUNDS AMCAP C	0.00	30.56	0.00	30.56	0.0	30.56
03/01/2017	EDWARDS, MARILYN	AM FUNDS AMCAP C	0.00	29.51	0.00	29.51	0.0	29.51
03/01/2017	PER, JENNIFER	AM FUNDS AMCAP C	0.00	5.33	0.00	5.33	0.0	5.33
03/01/2017	CROCKETT, DAVID	AM FUNDS AMERICAN BALANCED 529C	0.00	4.71	0.00	4.71	0.0	4.71
03/01/2017	CROCKETT, DAVID	AM FUNDS AMERICAN BALANCED 529C	0.00	4.71	0.00	4.71	0.0	4.71
03/01/2017	COOPER, FRANK	AM FUNDS AMERICAN BALANCED A	0.00	41.75	0.00	41.75	0.0	41.75
03/01/2017	GAGNON, JOHN	AM FUNDS AMERICAN BALANCED C	0.00	13.92	0.00	13.92	0.0	13.92
03/01/2017	EDWARDS, MICHAEL	AM FUNDS AMERICAN BALANCED C	0.00	29.66	0.00	29.66	0.0	29.66
03/01/2017	VANDERWAL, ELIZABETH	AM FUNDS AMERICAN BALANCED C	0.00	3.94	0.00	3.94	0.0	3.94
03/01/2017	FEY, MICHAEL	AM FUNDS AMERICAN BALANCED C	0.00	2.57	0.00	2.57	0.0	2.57
03/01/2017	BRINICH, EVA	AM FUNDS AMERICAN BALANCED C	0.00	4.55	0.00	4.55	0.0	4.55
03/01/2017	COOPER, FRANK	AM FUNDS AMERICAN MUTUAL A	0.00	29.27	0.00	29.27	0.0	29.27
03/01/2017	ROMA, NANCY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	20.47	0.00	20.47	0.0	20.47
03/01/2017	THOMPSON, MARGARET	AM FUNDS CAPITAL WORLD GRTH & INC C	0.00	13.27	0.00	13.27	0.0	13.27
03/01/2017	SLACK, DONITA	AM FUNDS CAPITAL WORLD GRTH & INC C	0.00	37.62	0.00	37.62	0.0	37.62
03/01/2017	WESTRICK, HELEN	AM FUNDS COLLEGE 2030 FUND 529A	0.00	4.33	0.00	4.33	0.0	4.33
03/01/2017	EDWARDS, MARILYN	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	5.39	0.00	5.39	0.0	5.39
03/01/2017	SLACK, DONITA	AM FUNDS FUNDAMENTAL INVESTORS C	0.00	44.10	0.00	44.10	0.0	44.10
03/01/2017	HOWARD, KEVIN	AM FUNDS GROWTH AND INCOME C	0.00	87.73	0.00	87.73	0.0	87.73
03/01/2017	COCHRILL, KINSEY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.83	0.00	0.83	0.0	0.83
03/01/2017	GAGNON, JOHN	AM FUNDS GROWTH FUND OF AMERICA C	0.00	13.92	0.00	13.92	0.0	13.92
03/01/2017	GAGNON, JOHN	AM FUNDS GROWTH FUND OF AMERICA C	0.00	16.06	0.00	16.06	0.0	16.06
03/01/2017	WHITE, WILLIAM	AM FUNDS GROWTH PORT 529A	0.00	10.94	0.00	10.94	0.0	10.94

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<u> OVERRIDE TRANSACTIONS </u>								
<u>BROKER: B151-JASON/MARIA BAIRD/BONGIOVANNI #240</u>								
03/01/2017	WHITE, LAURA	AM FUNDS GROWTH PORT 529A	0.00	1.57	0.00	1.57	0.0	1.57
03/01/2017	CHISHOLM, MARY	AM FUNDS GROWTH PORT 529A	0.00	1.85	0.00	1.85	0.0	1.85
03/01/2017	COOPER, FRANK	AM FUNDS ICA A	0.00	29.46	0.00	29.46	0.0	29.46
03/01/2017	COOPER, FRANK	AM FUNDS INCOME FUND OF AMERICA A	0.00	47.09	0.00	47.09	0.0	47.09
03/01/2017	GAGNON, JOHN	AM FUNDS INCOME FUND OF AMERICA C	0.00	11.75	0.00	11.75	0.0	11.75
03/01/2017	EDWARDS, MARILYN	AM FUNDS INCOME FUND OF AMERICA C	0.00	27.61	0.00	27.61	0.0	27.61
03/01/2017	CROCKETT, SUZANNE	AM FUNDS INCOME FUND OF AMERICA C	0.00	22.66	0.00	22.66	0.0	22.66
03/01/2017	BRACHER, DOUGLAS	AM FUNDS INCOME FUND OF AMERICA-529	0.00	11.35	0.00	11.35	0.0	11.35
03/01/2017	WESTRICK, HELEN	AMERICAN FDS COLLEGE 2021 FUND 529A	0.00	7.92	0.00	7.92	0.0	7.92
03/01/2017	BOWLBY, TAMIE	AMERICAN FUND COLLEGE 2027 FUND 529	0.00	0.24	0.00	0.24	0.0	0.24
03/01/2017	BOWLBY, BRET	AMERICAN FUNDS COLLEGE 2024 FD-529A	0.00	0.26	0.00	0.26	0.0	0.26
/ /	CHISHOLM, DANIEL	JH 529 PORT 2029-2032 A	0.00	2.49	0.00	2.49	0.0	2.49
03/02/2017	GREENBLATT JR, ROLAND	NWL YOURLIFE ACCUM VUL	350.00	1.75	0.00	1.75	0.0	1.75
03/03/2017	ONDOSKEY, TARA	NWL YOURLIFE ACCUM VUL	125.00	1.25	0.00	1.25	0.0	1.25
03/02/2017	CROCKETT, DAVID	TRANSAMERICA AA MOD GROWTH C	0.00	3.56	0.00	3.56	0.0	3.56
* B151-JASON/MARIA BAIRD/BONGIOVANNI SUBTOTAL *			\$475.00	\$625.95	\$0.00	\$625.95		\$625.95
<u>BROKER: MICHAEL O'CALLAGHAN #305</u>								
02/28/2017	MODRELL, ROBERT	JNL ELITE ACCESS W/ LIQUIDITY	79,169.49	65.97	0.00	65.97	0.0	65.97
* MICHAEL O'CALLAGHAN SUBTOTAL *			\$79,169.49	\$65.97	\$0.00	\$65.97		\$65.97
<u>BROKER: GARRETT MILLS #306</u>								
02/22/2017	TAGGART ESTATE, RAYMOND	APPLE INC COM	6,977.83	-1,535.12	-4.50	-1,530.62	0.0	-1,530.62
02/22/2017	TAGGART ESTATE, RAYMOND	APPLE INC COM	-6,977.83	22.00	22.50	-0.50	0.0	-0.50
* GARRETT MILLS SUBTOTAL *			\$0.00	\$-1,513.12	\$18.00	\$-1,531.12		\$-1,531.12
*** OVERRIDE TRANSACTIONS TOTAL ***			\$1,385,359.15	\$4,894.46	\$18.00	\$4,876.46		\$4,876.46

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BROKER COMMISSION TOTALS

Broker Transactions	\$6,718.37
Split Transactions	\$0.00
Override Transactions	\$4,876.46
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	\$11,594.83
Year-to-date Gross	\$22,102.33
Year-to-date Earnings	\$49,802.13