



Concorde Investment Services, LLC

02/27/2018

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COMMISSION STATEMENT

February 28, 2018

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>CLEARING TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
02/15/2018	CONCORDE, VARIOUS	AM CENT EQUITY INCOME	1,144.62	0.00	0.00	0.00	100.0	0.00
02/15/2018	CONCORDE, VARIOUS	AM CENT EQUITY INCOME	-1,204.86	0.00	0.00	0.00	100.0	0.00
02/15/2018	CONCORDE, VARIOUS	AM FUNDS GROWTH FUND OF AMERICA A	636.50	0.00	0.00	0.00	100.0	0.00
02/15/2018	CONCORDE, VARIOUS	AM FUNDS GROWTH FUND OF AMERICA A	-670.00	0.00	0.00	0.00	100.0	0.00
02/15/2018	CONCORDE, VARIOUS	AM FUNDS GROWTH FUND OF AMERICA A	210.69	0.00	0.00	0.00	100.0	0.00
02/15/2018	CONCORDE, VARIOUS	AM FUNDS GROWTH FUND OF AMERICA A	-220.04	0.00	0.00	0.00	100.0	0.00
02/15/2018	CONCORDE, VARIOUS	AM FUNDS ICA A	794.92	0.00	0.00	0.00	100.0	0.00
02/15/2018	CONCORDE, VARIOUS	AM FUNDS ICA A	-836.76	0.00	0.00	0.00	100.0	0.00
02/15/2018	CONCORDE, VARIOUS	AM FUNDS WASHINGTON MUTUAL INVESTOR	-839.29	0.00	0.00	0.00	100.0	0.00
02/15/2018	CONCORDE, VARIOUS	AM FUNDS WASHINGTON MUTUAL INVESTOR	797.33	0.00	0.00	0.00	100.0	0.00
02/15/2018	CONCORDE, VARIOUS	AMERICAN CENTURY STRATEGIC ALLOC AG	-2,004.62	0.00	0.00	0.00	100.0	0.00
02/15/2018	CONCORDE, VARIOUS	AMERICAN CENTURY STRATEGIC ALLOC AG	1,939.47	0.00	0.00	0.00	100.0	0.00
02/15/2018	CONCORDE, VARIOUS	HARTFORD CAPITAL APPRECIATION C	-423.22	0.00	0.00	0.00	100.0	0.00
02/15/2018	CONCORDE, VARIOUS	HARTFORD CAPITAL APPRECIATION C	418.99	0.00	0.00	0.00	100.0	0.00
02/15/2018	CONCORDE, VARIOUS	LORD ABBETT FUNDAMENTAL EQUITY A	-502.83	0.00	0.00	0.00	100.0	0.00
02/15/2018	CONCORDE, VARIOUS	LORD ABBETT FUNDAMENTAL EQUITY A	-1,318.23	0.00	0.00	0.00	100.0	0.00
02/15/2018	CONCORDE, VARIOUS	LORD ABBETT FUNDAMENTAL EQUITY A	447.04	0.00	0.00	0.00	100.0	0.00
02/15/2018	CONCORDE, VARIOUS	LORD ABBETT FUNDAMENTAL EQUITY A	1,275.39	0.00	0.00	0.00	100.0	0.00
02/15/2018	CONCORDE, VARIOUS	LORD ABBETT FUNDAMENTAL EQUITY A	-1,562.85	0.00	0.00	0.00	100.0	0.00
02/15/2018	CONCORDE, VARIOUS	LORD ABBETT FUNDAMENTAL EQUITY A	1,512.06	0.00	0.00	0.00	100.0	0.00
02/15/2018	CONCORDE, VARIOUS	LORD ABBETT FUNDAMENTAL EQUITY A	486.49	0.00	0.00	0.00	100.0	0.00
02/15/2018	CONCORDE, VARIOUS	LORD ABBETT FUNDAMENTAL EQUITY A	-462.06	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	LORD ABBETT FUNDAMENTAL EQUITY A	945.93	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	LORD ABBETT FUNDAMENTAL EQUITY A	-995.72	0.00	0.00	0.00	100.0	0.00
02/15/2018	CONCORDE, VARIOUS	LORD ABBETT SHORT DURATION INCOME A	-1,307.20	0.00	0.00	0.00	100.0	0.00
02/15/2018	CONCORDE, VARIOUS	LORD ABBETT SHORT DURATION INCOME A	-503.10	0.00	0.00	0.00	100.0	0.00

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

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>CLEARING TRANSACTIONS</u>								
PRODUCT CATEGORY: MUTUAL FUNDS								
02/15/2018	CONCORDE, VARIOUS	LORD ABBETT SHORT DURATION INCOME A	-460.10	0.00	0.00	0.00	100.0	0.00
02/15/2018	CONCORDE, VARIOUS	LORD ABBETT SHORT DURATION INCOME A	-1,552.30	0.00	0.00	0.00	100.0	0.00
02/15/2018	CONCORDE, VARIOUS	LORD ABBETT SHORT DURATION INCOME A	453.20	0.00	0.00	0.00	100.0	0.00
02/15/2018	CONCORDE, VARIOUS	LORD ABBETT SHORT DURATION INCOME A	1,287.59	0.00	0.00	0.00	100.0	0.00
02/15/2018	CONCORDE, VARIOUS	LORD ABBETT SHORT DURATION INCOME A	1,529.02	0.00	0.00	0.00	100.0	0.00
02/15/2018	CONCORDE, VARIOUS	LORD ABBETT SHORT DURATION INCOME A	495.55	0.00	0.00	0.00	100.0	0.00
02/14/2018	CONCORDE, VARIOUS	PUTNAM ASSET ALLOC GROWTH A	-50.00	0.00	0.00	0.00	100.0	0.00
02/14/2018	CONCORDE, VARIOUS	PUTNAM ASSET ALLOC GROWTH A	47.50	0.00	0.00	0.00	100.0	0.00
02/15/2018	CONCORDE, VARIOUS	PUTNAM EQUITY SPECTRUM C	99.00	0.00	0.00	0.00	100.0	0.00
02/15/2018	CONCORDE, VARIOUS	PUTNAM EQUITY SPECTRUM C	-100.00	0.00	0.00	0.00	100.0	0.00
02/12/2018	CONCORDE, VARIOUS	TRANSAMERICA AA GROWTH C	-200.00	0.00	0.00	0.00	100.0	0.00
02/12/2018	CONCORDE, VARIOUS	TRANSAMERICA AA GROWTH C	198.00	0.00	0.00	0.00	100.0	0.00
* MUTUAL FUNDS SUBTOTAL *			\$-493.89	\$0.00	\$0.00	\$0.00		\$0.00
PRODUCT CATEGORY: STOCKS								
02/16/2018	CONCORDE, VARIOUS	CIM COML TR CORP PFD SER A 5.5%	-50,000.00	0.00	13.00	-13.00	100.0	-13.00
02/16/2018	CONCORDE, VARIOUS	CIM COML TR CORP PFD SER A 5.5%	46,980.00	0.00	8.00	-8.00	100.0	-8.00
02/16/2018	CONCORDE, VARIOUS	CIM COML TR CORP PFD SER A 5.5%	-46,980.00	0.00	-8.00	8.00	100.0	8.00
02/16/2018	CONCORDE, VARIOUS	CIM COML TR CORP PFD SER A 5.5%	46,855.00	0.00	8.00	-8.00	100.0	-8.00
02/15/2018	CONCORDE, VARIOUS	ENERGY TRANSFER PARTNERS L P NEW UN	-1,112.16	0.00	1.00	-1.00	100.0	-1.00
02/15/2018	CONCORDE, VARIOUS	ENERGY TRANSFER PARTNERS L P NEW UN	-10,199.74	0.00	1.00	-1.00	100.0	-1.00
02/15/2018	CONCORDE, VARIOUS	ENERGY TRANSFER PARTNERS L P NEW UN	5,080.05	0.00	0.00	0.00	100.0	0.00
02/15/2018	CONCORDE, VARIOUS	ENERGY TRANSFER PARTNERS L P NEW UN	-1,116.28	0.00	1.00	-1.00	100.0	-1.00
02/15/2018	CONCORDE, VARIOUS	ENERGY TRANSFER PARTNERS L P NEW UN	-10,237.61	0.00	1.00	-1.00	100.0	-1.00
02/15/2018	CONCORDE, VARIOUS	ENERGY TRANSFER PARTNERS L P NEW UN	-134.19	0.00	1.00	-1.00	100.0	-1.00
02/15/2018	CONCORDE, VARIOUS	ENERGY TRANSFER PARTNERS L P NEW UN	-4,792.50	0.00	1.00	-1.00	100.0	-1.00
02/15/2018	CONCORDE, VARIOUS	ENERGY TRANSFER PARTNERS L P NEW UN	-153.36	0.00	1.00	-1.00	100.0	-1.00
02/15/2018	CONCORDE, VARIOUS	ENERGY TRANSFER PARTNERS L P NEW UN	11,353.92	0.00	0.00	0.00	100.0	0.00
02/15/2018	CONCORDE, VARIOUS	ENERGY TRANSFER PARTNERS L P NEW UN	11,311.92	0.00	0.00	0.00	100.0	0.00
02/15/2018	CONCORDE, VARIOUS	GAMESTOP CORP NEW CLASS A	-1,989.85	0.00	1.00	-1.00	100.0	-1.00
02/15/2018	CONCORDE, VARIOUS	GAMESTOP CORP NEW CLASS A	-8,040.87	0.00	1.00	-1.00	100.0	-1.00
02/15/2018	CONCORDE, VARIOUS	GAMESTOP CORP NEW CLASS A	10,030.72	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	ISHARES TR CORE S&P MID-CAP ETF	-1,708.16	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	ISHARES TR CORE S&P MID-CAP ETF	-2,657.14	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>CLEARING TRANSACTIONS</u>								
PRODUCT CATEGORY: STOCKS								
02/22/2018	CONCORDE, VARIOUS	ISHARES TR CORE S&P MID-CAP ETF	-1,708.16	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	ISHARES TR CORE S&P MID-CAP ETF	-4,555.10	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	ISHARES TR CORE S&P MID-CAP ETF	-10,818.36	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	ISHARES TR CORE S&P MID-CAP ETF	282,416.15	0.00	1.00	-1.00	100.0	-1.00
02/22/2018	CONCORDE, VARIOUS	ISHARES TR CORE S&P MID-CAP ETF	-2,846.94	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	ISHARES TR CORE S&P MID-CAP ETF	-4,555.10	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	ISHARES TR CORE S&P MID-CAP ETF	-379.59	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	ISHARES TR CORE S&P MID-CAP ETF	-14,234.69	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	ISHARES TR CORE S&P MID-CAP ETF	-3,606.12	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	ISHARES TR CORE S&P MID-CAP ETF	-1,518.37	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	ISHARES TR CORE S&P MID-CAP ETF	-8,540.81	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	ISHARES TR CORE S&P MID-CAP ETF	-1,518.37	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	ISHARES TR CORE S&P MID-CAP ETF	-1,328.57	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	ISHARES TR CORE S&P MID-CAP ETF	-2,657.14	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	ISHARES TR CORE S&P MID-CAP ETF	-1,138.77	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	ISHARES TR CORE S&P MID-CAP ETF	-3,036.73	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	ISHARES TR CORE S&P MID-CAP ETF	-948.98	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	ISHARES TR CORE S&P MID-CAP ETF	-19,548.97	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	ISHARES TR CORE S&P MID-CAP ETF	-7,781.63	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	ISHARES TR CORE S&P MID-CAP ETF	-948.98	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	ISHARES TR CORE S&P MID-CAP ETF	-1,708.16	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	ISHARES TR CORE S&P MID-CAP ETF	-7,781.63	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	ISHARES TR CORE S&P MID-CAP ETF	-1,708.16	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	ISHARES TR CORE S&P MID-CAP ETF	-14,424.48	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	ISHARES TR CORE S&P MID-CAP ETF	-14,424.48	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	ISHARES TR CORE S&P MID-CAP ETF	-1,708.16	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	ISHARES TR CORE S&P MID-CAP ETF	-3,416.32	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	ISHARES TR CORE S&P MID-CAP ETF	-43,842.83	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	ISHARES TR CORE S&P MID-CAP ETF	-3,226.53	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	ISHARES TR CORE S&P MID-CAP ETF	-6,642.85	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	ISHARES TR CORE S&P MID-CAP ETF	-948.98	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	ISHARES TR CORE S&P MID-CAP ETF	-16,702.03	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	ISHARES TR CORE S&P MID-CAP ETF	-5,693.87	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>CLEARING TRANSACTIONS</u>								
PRODUCT CATEGORY: STOCKS								
02/22/2018	CONCORDE, VARIOUS	ISHARES TR CORE S&P MID-CAP ETF	-4,555.10	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	ISHARES TR CORE S&P MID-CAP ETF	-4,555.10	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	ISHARES TR CORE S&P MID-CAP ETF	-10,248.97	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	ISHARES TR CORE S&P MID-CAP ETF	-17,461.21	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	ISHARES TR CORE S&P MID-CAP ETF	-2,087.75	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	ISHARES TR CORE S&P MID-CAP ETF	-1,897.96	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	ISHARES TR CORE S&P MID-CAP ETF	-569.39	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	ISHARES TR CORE S&P MID-CAP ETF	-4,555.10	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	ISHARES TR CORE S&P MID-CAP ETF	-9,869.38	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	ISHARES TR CORE S&P MID-CAP ETF	-3,036.73	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	ISHARES TR CORE S&P MID-CAP ETF	-1,328.57	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	ISHARES TR CORE S&P MID-CAP ETF	-3,985.71	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	ISHARES TR CORE TOTAL U S BD MKT ET	-319.43	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	ISHARES TR CORE TOTAL U S BD MKT ET	-1,597.15	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	ISHARES TR CORE TOTAL U S BD MKT ET	-532.38	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	ISHARES TR CORE TOTAL U S BD MKT ET	-1,384.19	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	ISHARES TR CORE TOTAL U S BD MKT ET	-212.95	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	ISHARES TR CORE TOTAL U S BD MKT ET	-1,916.58	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	ISHARES TR CORE TOTAL U S BD MKT ET	-425.91	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	ISHARES TR CORE TOTAL U S BD MKT ET	6,601.54	0.00	1.00	-1.00	100.0	-1.00
02/22/2018	CONCORDE, VARIOUS	ISHARES TR CORE TOTAL U S BD MKT ET	-212.95	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	ISHARES TR RUSSELL 2000 INDEX FD	11,067.27	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	ISHARES TR RUSSELL 2000 INDEX FD	1,998.26	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	ISHARES TR RUSSELL 2000 INDEX FD	7,685.61	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	ISHARES TR RUSSELL 2000 INDEX FD	1,075.98	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	ISHARES TR RUSSELL 2000 INDEX FD	768.56	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	ISHARES TR RUSSELL 2000 INDEX FD	5,841.06	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	ISHARES TR RUSSELL 2000 INDEX FD	2,151.97	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	ISHARES TR RUSSELL 2000 INDEX FD	1,537.12	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	ISHARES TR RUSSELL 2000 INDEX FD	1,075.98	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	ISHARES TR RUSSELL 2000 INDEX FD	2,766.82	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	ISHARES TR RUSSELL 2000 INDEX FD	8,454.17	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	ISHARES TR RUSSELL 2000 INDEX FD	1,229.70	0.00	0.00	0.00	100.0	0.00

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<u>CLEARING TRANSACTIONS</u>								
PRODUCT CATEGORY: STOCKS								
02/22/2018	CONCORDE, VARIOUS	ISHARES TR RUSSELL 2000 INDEX FD	922.27	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	ISHARES TR RUSSELL 2000 INDEX FD	5,072.50	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	ISHARES TR RUSSELL 2000 INDEX FD	922.27	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	ISHARES TR RUSSELL 2000 INDEX FD	10,606.13	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	ISHARES TR RUSSELL 2000 INDEX FD	1,383.41	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	ISHARES TR RUSSELL 2000 INDEX FD	3,842.80	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	ISHARES TR RUSSELL 2000 INDEX FD	1,383.41	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	ISHARES TR RUSSELL 2000 INDEX FD	2,305.68	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	ISHARES TR RUSSELL 2000 INDEX FD	1,383.41	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	ISHARES TR RUSSELL 2000 INDEX FD	10,759.85	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	ISHARES TR RUSSELL 2000 INDEX FD	2,613.11	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	ISHARES TR RUSSELL 2000 INDEX FD	13,372.95	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	ISHARES TR RUSSELL 2000 INDEX FD	5,687.35	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	ISHARES TR RUSSELL 2000 INDEX FD	3,381.67	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	ISHARES TR RUSSELL 2000 INDEX FD	3,535.38	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	ISHARES TR RUSSELL 2000 INDEX FD	768.56	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	ISHARES TR RUSSELL 2000 INDEX FD	3,535.38	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	ISHARES TR RUSSELL 2000 INDEX FD	2,151.97	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	ISHARES TR RUSSELL 2000 INDEX FD	13,065.53	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	ISHARES TR RUSSELL 2000 INDEX FD	3,381.67	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	ISHARES TR RUSSELL 2000 INDEX FD	8,300.45	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	ISHARES TR RUSSELL 2000 INDEX FD	2,459.39	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	ISHARES TR RUSSELL 2000 INDEX FD	3,074.24	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	ISHARES TR RUSSELL 2000 INDEX FD	-213,659.82	0.00	1.00	-1.00	100.0	-1.00
02/22/2018	CONCORDE, VARIOUS	ISHARES TR RUSSELL 2000 INDEX FD	14,448.94	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	ISHARES TR RUSSELL 2000 INDEX FD	1,229.70	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	ISHARES TR RUSSELL 2000 INDEX FD	3,074.24	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	ISHARES TR RUSSELL 2000 INDEX FD	614.85	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	ISHARES TR RUSSELL 2000 INDEX FD	153.71	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	ISHARES TR RUSSELL 2000 INDEX FD	1,383.41	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	ISHARES TR RUSSELL 2000 INDEX FD	6,455.91	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	ISHARES TR RUSSELL 2000 INDEX FD	33,201.81	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	ISHARES TR RUSSELL 2000 INDEX FD	1,998.26	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>CLEARING TRANSACTIONS</u>								
PRODUCT CATEGORY: STOCKS								
02/22/2018	CONCORDE, VARIOUS	ISHARES TR RUSSELL 2000 INDEX FD	461.14	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	ISHARES TR RUSSELL 2000 INDEX FD	1,075.98	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	ISHARES TR S&P 500 INDEX FD	274.68	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	ISHARES TR S&P 500 INDEX FD	1,373.39	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	ISHARES TR S&P 500 INDEX FD	274.68	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	ISHARES TR S&P 500 INDEX FD	-10,712.40	0.00	1.00	-1.00	100.0	-1.00
02/22/2018	CONCORDE, VARIOUS	ISHARES TR S&P 500 INDEX FD	-1,098.81	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	ISHARES TR S&P 500 INDEX FD	2,472.09	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	ISHARES TR S&P 500 INDEX FD	1,922.92	0.00	1.00	-1.00	100.0	-1.00
02/22/2018	CONCORDE, VARIOUS	ISHARES TR S&P 500 INDEX FD	824.03	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	ISHARES TR S&P 500 INDEX FD	2,197.42	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	ISHARES TR S&P 500 INDEX FD	274.68	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	ISHARES TR S&P 500 INDEX FD	274.68	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	ISHARES TR S&P 500 INDEX FD	-824.11	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	ISHARES TR S&P 500 INDEX FD	274.68	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	ISHARES TR S&P 500 INDEX FD	549.35	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	ISHARES TR S&P 500 INDEX FD	824.03	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	ISHARES TR S&P 500 INDEX FD	1,098.71	0.00	0.00	0.00	100.0	0.00
02/14/2018	CONCORDE, VARIOUS	ORBOTECH LTD ORD SHS ISIN#IL0010823	25,063.25	0.00	0.00	0.00	100.0	0.00
02/14/2018	CONCORDE, VARIOUS	ORBOTECH LTD ORD SHS ISIN#IL0010823	-3,755.26	0.00	1.00	-1.00	100.0	-1.00
02/14/2018	CONCORDE, VARIOUS	ORBOTECH LTD ORD SHS ISIN#IL0010823	-21,308.01	0.00	1.00	-1.00	100.0	-1.00
02/22/2018	CONCORDE, VARIOUS	POWERSHARES DB COMMODITY INDEX TRAC	1,977.36	0.00	1.00	-1.00	100.0	-1.00
02/22/2018	CONCORDE, VARIOUS	POWERSHARES DB COMMODITY INDEX TRAC	16.76	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	POWERSHARES DB COMMODITY INDEX TRAC	-167.57	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	POWERSHARES DB COMMODITY INDEX TRAC	-67.03	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	POWERSHARES DB COMMODITY INDEX TRAC	16.76	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	POWERSHARES DB COMMODITY INDEX TRAC	134.04	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	POWERSHARES DB COMMODITY INDEX TRAC	67.02	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	POWERSHARES DB COMMODITY INDEX TRAC	-67.03	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	POWERSHARES DB COMMODITY INDEX TRAC	16.76	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	POWERSHARES DB COMMODITY INDEX TRAC	-2,178.15	0.00	1.00	-1.00	100.0	-1.00
02/22/2018	CONCORDE, VARIOUS	POWERSHARES DB COMMODITY INDEX TRAC	-16.76	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	POWERSHARES DB COMMODITY INDEX TRAC	-33.51	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>CLEARING TRANSACTIONS</u>								
PRODUCT CATEGORY: STOCKS								
02/22/2018	CONCORDE, VARIOUS	POWERSHARES DB COMMODITY INDEX TRAC	-167.57	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	POWERSHARES DB COMMODITY INDEX TRAC	-33.51	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	POWERSHARES DB COMMODITY INDEX TRAC	-33.51	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	POWERSHARES DB COMMODITY INDEX TRAC	-83.79	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	POWERSHARES DB COMMODITY INDEX TRAC	33.51	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	POWERSHARES DB COMMODITY INDEX TRAC	351.86	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	POWERSHARES DB COMMODITY INDEX TRAC	50.27	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	POWERSHARES DB COMMODITY INDEX TRAC	-67.03	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	POWERSHARES DB COMMODITY INDEX TRAC	167.55	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	POWERSHARES DB COMMODITY INDEX TRAC	-67.03	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	POWERSHARES DB COMMODITY INDEX TRAC	-33.51	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	POWERSHARES DB COMMODITY INDEX TRAC	-83.79	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	POWERSHARES DB COMMODITY INDEX TRAC	16.76	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	POWERSHARES DB COMMODITY INDEX TRAC	268.08	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	POWERSHARES DB COMMODITY INDEX TRAC	686.96	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	POWERSHARES DB COMMODITY INDEX TRAC	-16.76	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	POWERSHARES DB COMMODITY INDEX TRAC	-134.06	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	POWERSHARES DB COMMODITY INDEX TRAC	-234.60	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	POWERSHARES DB COMMODITY INDEX TRAC	-33.51	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	POWERSHARES DB COMMODITY INDEX TRAC	-50.27	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	POWERSHARES DB COMMODITY INDEX TRAC	-134.06	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	POWERSHARES DB COMMODITY INDEX TRAC	67.02	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	POWERSHARES DB COMMODITY INDEX TRAC	-351.90	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	POWERSHARES DB COMMODITY INDEX TRAC	-33.51	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	POWERSHARES DB COMMODITY INDEX TRAC	134.04	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	POWERSHARES DB COMMODITY INDEX TRAC	-16.76	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	POWERSHARES DB COMMODITY INDEX TRAC	150.80	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	POWERSHARES DB COMMODITY INDEX TRAC	-50.27	0.00	0.00	0.00	100.0	0.00
02/15/2018	CONCORDE, VARIOUS	POWERSHARES EXCHANGE-TRADED FD TR I	8,525.28	0.00	0.00	0.00	100.0	0.00
02/15/2018	CONCORDE, VARIOUS	POWERSHARES EXCHANGE-TRADED FD TR I	-2,325.08	0.00	1.00	-1.00	100.0	-1.00
02/15/2018	CONCORDE, VARIOUS	POWERSHARES EXCHANGE-TRADED FD TR I	-6,200.20	0.00	1.00	-1.00	100.0	-1.00
02/22/2018	CONCORDE, VARIOUS	POWERSHARES EXCHANGE-TRADED FD TR I	-115.59	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	POWERSHARES EXCHANGE-TRADED FD TR I	-300.52	0.00	0.00	0.00	100.0	0.00

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<u>CLEARING TRANSACTIONS</u>								
PRODUCT CATEGORY: STOCKS								
02/22/2018	CONCORDE, VARIOUS	POWERSHARES EXCHANGE-TRADED FD TR I	-46.23	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	POWERSHARES EXCHANGE-TRADED FD TR I	-577.93	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	POWERSHARES EXCHANGE-TRADED FD TR I	8,275.99	0.00	1.00	-1.00	100.0	-1.00
02/22/2018	CONCORDE, VARIOUS	POWERSHARES EXCHANGE-TRADED FD TR I	-23.12	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	POWERSHARES EXCHANGE-TRADED FD TR I	-115.59	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	POWERSHARES EXCHANGE-TRADED FD TR I	-46.23	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	POWERSHARES EXCHANGE-TRADED FD TR I	-392.99	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	POWERSHARES EXCHANGE-TRADED FD TR I	-115.59	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	POWERSHARES EXCHANGE-TRADED FD TR I	-69.35	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	POWERSHARES EXCHANGE-TRADED FD TR I	-69.35	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	POWERSHARES EXCHANGE-TRADED FD TR I	-439.23	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	POWERSHARES EXCHANGE-TRADED FD TR I	-1,641.33	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	POWERSHARES EXCHANGE-TRADED FD TR I	-138.70	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	POWERSHARES EXCHANGE-TRADED FD TR I	-716.64	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	POWERSHARES EXCHANGE-TRADED FD TR I	-92.47	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	POWERSHARES EXCHANGE-TRADED FD TR I	-92.47	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	POWERSHARES EXCHANGE-TRADED FD TR I	-138.70	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	POWERSHARES EXCHANGE-TRADED FD TR I	-69.35	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	POWERSHARES EXCHANGE-TRADED FD TR I	-300.52	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	POWERSHARES EXCHANGE-TRADED FD TR I	-254.29	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	POWERSHARES EXCHANGE-TRADED FD TR I	-161.82	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	POWERSHARES EXCHANGE-TRADED FD TR I	-115.59	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	POWERSHARES EXCHANGE-TRADED FD TR I	-508.58	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	POWERSHARES EXCHANGE-TRADED FD TR I	-115.59	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	POWERSHARES EXCHANGE-TRADED FD TR I	-23.12	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	POWERSHARES EXCHANGE-TRADED FD TR I	-46.23	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	POWERSHARES EXCHANGE-TRADED FD TR I	-115.59	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	POWERSHARES EXCHANGE-TRADED FD TR I	-161.82	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	POWERSHARES EXCHANGE-TRADED FD TR I	-184.94	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	POWERSHARES EXCHANGE-TRADED FD TR I	-392.99	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	POWERSHARES EXCHANGE-TRADED FD TR I	-161.82	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	POWERSHARES EXCHANGE-TRADED FD TR I	-69.35	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	POWERSHARES EXCHANGE-TRADED FD TR I	-23.12	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>CLEARING TRANSACTIONS</u>								
PRODUCT CATEGORY: STOCKS								
02/22/2018	CONCORDE, VARIOUS	POWERSHARES EXCHANGE-TRADED FD TR I	-23.12	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	POWERSHARES EXCHANGE-TRADED FD TR I	-346.76	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	POWERSHARES EXCHANGE-TRADED FD TR I	-69.35	0.00	0.00	0.00	100.0	0.00
02/15/2018	CONCORDE, VARIOUS	SPDR DOW JONES INDL AVERAGE ETF TR	-10,068.00	0.00	0.00	0.00	100.0	0.00
02/15/2018	CONCORDE, VARIOUS	SPDR DOW JONES INDL AVERAGE ETF TR	503.40	0.00	1.00	-1.00	100.0	-1.00
02/15/2018	CONCORDE, VARIOUS	SPDR DOW JONES INDL AVERAGE ETF TR	2,517.00	0.00	1.00	-1.00	100.0	-1.00
02/15/2018	CONCORDE, VARIOUS	SPDR DOW JONES INDL AVERAGE ETF TR	1,258.50	0.00	1.00	-1.00	100.0	-1.00
02/15/2018	CONCORDE, VARIOUS	SPDR DOW JONES INDL AVERAGE ETF TR	2,517.00	0.00	1.00	-1.00	100.0	-1.00
02/15/2018	CONCORDE, VARIOUS	SPDR DOW JONES INDL AVERAGE ETF TR	3,272.10	0.00	1.00	-1.00	100.0	-1.00
02/22/2018	CONCORDE, VARIOUS	SPDR PORTFOLIO SMALL CAP ETF	-10,897.16	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	SPDR PORTFOLIO SMALL CAP ETF	-12,562.01	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	SPDR PORTFOLIO SMALL CAP ETF	-2,542.67	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	SPDR PORTFOLIO SMALL CAP ETF	-3,450.77	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	SPDR PORTFOLIO SMALL CAP ETF	-5,872.36	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	SPDR PORTFOLIO SMALL CAP ETF	-1,150.26	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	SPDR PORTFOLIO SMALL CAP ETF	-5,902.63	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	SPDR PORTFOLIO SMALL CAP ETF	-8,203.14	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	SPDR PORTFOLIO SMALL CAP ETF	211,616.87	0.00	1.00	-1.00	100.0	-1.00
02/22/2018	CONCORDE, VARIOUS	SPDR PORTFOLIO SMALL CAP ETF	-1,634.57	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	SPDR PORTFOLIO SMALL CAP ETF	-2,300.51	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	SPDR PORTFOLIO SMALL CAP ETF	-968.64	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	SPDR PORTFOLIO SMALL CAP ETF	-726.48	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	SPDR PORTFOLIO SMALL CAP ETF	-2,270.24	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	SPDR PORTFOLIO SMALL CAP ETF	-3,329.69	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	SPDR PORTFOLIO SMALL CAP ETF	-3,692.93	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	SPDR PORTFOLIO SMALL CAP ETF	-1,241.07	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	SPDR PORTFOLIO SMALL CAP ETF	-3,420.50	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	SPDR PORTFOLIO SMALL CAP ETF	-14,196.58	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	SPDR PORTFOLIO SMALL CAP ETF	-13,137.14	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	SPDR PORTFOLIO SMALL CAP ETF	-10,533.93	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	SPDR PORTFOLIO SMALL CAP ETF	-272.43	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	SPDR PORTFOLIO SMALL CAP ETF	-6,508.03	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	SPDR PORTFOLIO SMALL CAP ETF	-1,392.42	0.00	0.00	0.00	100.0	0.00

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^Date - Split Trade - full Investment Amount & Gross Commission displayed

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>CLEARING TRANSACTIONS</u>								
PRODUCT CATEGORY: STOCKS								
02/22/2018	CONCORDE, VARIOUS	SPDR PORTFOLIO SMALL CAP ETF	-10,655.00	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	SPDR PORTFOLIO SMALL CAP ETF	-696.21	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	SPDR PORTFOLIO SMALL CAP ETF	-3,481.04	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	SPDR PORTFOLIO SMALL CAP ETF	-1,362.15	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	SPDR PORTFOLIO SMALL CAP ETF	-2,058.35	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	SPDR PORTFOLIO SMALL CAP ETF	-968.64	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	SPDR PORTFOLIO SMALL CAP ETF	-3,450.77	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	SPDR PORTFOLIO SMALL CAP ETF	-7,506.94	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	SPDR PORTFOLIO SMALL CAP ETF	-2,754.56	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	SPDR PORTFOLIO SMALL CAP ETF	-454.05	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	SPDR PORTFOLIO SMALL CAP ETF	-2,542.67	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	SPDR PORTFOLIO SMALL CAP ETF	-1,301.61	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	SPDR PORTFOLIO SMALL CAP ETF	-1,392.42	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	SPDR PORTFOLIO SMALL CAP ETF	-998.91	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	SPDR PORTFOLIO SMALL CAP ETF	-968.64	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	SPDR PORTFOLIO SMALL CAP ETF	-3,026.99	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	SPDR PORTFOLIO SMALL CAP ETF	-635.67	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	SPDR PORTFOLIO SMALL CAP ETF	-1,422.69	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	SPDR PORTFOLIO SMALL CAP ETF	-32,842.84	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	SPDR PORTFOLIO SMALL CAP ETF	-5,024.80	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	SPDR PORTFOLIO SMALL CAP ETF	-7,658.28	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	SPDR PORTFOLIO SMALL CAP ETF	-2,149.16	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	SPDR PORTFOLIO SMALL CAP ETF	-2,058.35	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	SPDR S&P MIDCAP 400 ETF TR UNIT SER	2,762.63	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	SPDR S&P MIDCAP 400 ETF TR UNIT SER	16,921.09	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	SPDR S&P MIDCAP 400 ETF TR UNIT SER	4,489.27	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	SPDR S&P MIDCAP 400 ETF TR UNIT SER	1,381.31	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	SPDR S&P MIDCAP 400 ETF TR UNIT SER	1,726.64	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	SPDR S&P MIDCAP 400 ETF TR UNIT SER	8,633.21	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	SPDR S&P MIDCAP 400 ETF TR UNIT SER	-281,442.65	0.00	1.00	-1.00	100.0	-1.00
02/22/2018	CONCORDE, VARIOUS	SPDR S&P MIDCAP 400 ETF TR UNIT SER	1,381.31	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	SPDR S&P MIDCAP 400 ETF TR UNIT SER	6,906.57	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	SPDR S&P MIDCAP 400 ETF TR UNIT SER	3,798.61	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>CLEARING TRANSACTIONS</u>								
PRODUCT CATEGORY: STOCKS								
02/22/2018	CONCORDE, VARIOUS	SPDR S&P MIDCAP 400 ETF TR UNIT SER	43,511.38	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	SPDR S&P MIDCAP 400 ETF TR UNIT SER	13,813.14	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	SPDR S&P MIDCAP 400 ETF TR UNIT SER	3,107.96	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	SPDR S&P MIDCAP 400 ETF TR UNIT SER	1,726.64	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	SPDR S&P MIDCAP 400 ETF TR UNIT SER	6,215.91	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	SPDR S&P MIDCAP 400 ETF TR UNIT SER	10,014.52	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	SPDR S&P MIDCAP 400 ETF TR UNIT SER	4,834.60	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	SPDR S&P MIDCAP 400 ETF TR UNIT SER	3,107.96	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	SPDR S&P MIDCAP 400 ETF TR UNIT SER	4,489.27	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	SPDR S&P MIDCAP 400 ETF TR UNIT SER	1,035.99	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	SPDR S&P MIDCAP 400 ETF TR UNIT SER	3,798.61	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	SPDR S&P MIDCAP 400 ETF TR UNIT SER	20,374.38	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	SPDR S&P MIDCAP 400 ETF TR UNIT SER	1,726.64	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	SPDR S&P MIDCAP 400 ETF TR UNIT SER	1,381.31	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	SPDR S&P MIDCAP 400 ETF TR UNIT SER	1,726.64	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	SPDR S&P MIDCAP 400 ETF TR UNIT SER	690.66	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	SPDR S&P MIDCAP 400 ETF TR UNIT SER	690.66	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	SPDR S&P MIDCAP 400 ETF TR UNIT SER	1,035.99	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	SPDR S&P MIDCAP 400 ETF TR UNIT SER	7,597.22	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	SPDR S&P MIDCAP 400 ETF TR UNIT SER	14,503.79	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	SPDR S&P MIDCAP 400 ETF TR UNIT SER	7,597.22	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	SPDR S&P MIDCAP 400 ETF TR UNIT SER	4,489.27	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	SPDR S&P MIDCAP 400 ETF TR UNIT SER	690.66	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	SPDR S&P MIDCAP 400 ETF TR UNIT SER	10,705.18	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	SPDR S&P MIDCAP 400 ETF TR UNIT SER	2,762.63	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	SPDR S&P MIDCAP 400 ETF TR UNIT SER	17,266.42	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	SPDR S&P MIDCAP 400 ETF TR UNIT SER	10,705.18	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	SPDR S&P MIDCAP 400 ETF TR UNIT SER	1,726.64	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	SPDR S&P MIDCAP 400 ETF TR UNIT SER	2,417.30	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	SPDR S&P MIDCAP 400 ETF TR UNIT SER	1,726.64	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	SPDR S&P MIDCAP 400 ETF TR UNIT SER	1,726.64	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	SPDR S&P MIDCAP 400 ETF TR UNIT SER	345.33	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	SPDR S&P MIDCAP 400 ETF TR UNIT SER	14,849.12	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>CLEARING TRANSACTIONS</u>								
PRODUCT CATEGORY: STOCKS								
02/22/2018	CONCORDE, VARIOUS	SPDR S&P MIDCAP 400 ETF TR UNIT SER	2,762.63	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	SPDR S&P MIDCAP 400 ETF TR UNIT SER	3,453.28	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	SPDR S&P MIDCAP 400 ETF TR UNIT SER	2,762.63	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	SPDR S&P MIDCAP 400 ETF TR UNIT SER	2,071.97	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	SPDR SER TR BARCLAYS HIGH YIELD BD	-397.95	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	SPDR SER TR BARCLAYS HIGH YIELD BD	-4,920.12	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	SPDR SER TR BARCLAYS HIGH YIELD BD	-289.42	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	SPDR SER TR BARCLAYS HIGH YIELD BD	-180.89	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	SPDR SER TR BARCLAYS HIGH YIELD BD	-108.53	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	SPDR SER TR BARCLAYS HIGH YIELD BD	-506.48	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	SPDR SER TR BARCLAYS HIGH YIELD BD	-36.18	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	SPDR SER TR BARCLAYS HIGH YIELD BD	-1,627.98	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	SPDR SER TR BARCLAYS HIGH YIELD BD	-651.19	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	SPDR SER TR BARCLAYS HIGH YIELD BD	-72.35	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	SPDR SER TR BARCLAYS HIGH YIELD BD	-217.06	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	SPDR SER TR BARCLAYS HIGH YIELD BD	-144.71	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	SPDR SER TR BARCLAYS HIGH YIELD BD	-397.95	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	SPDR SER TR BARCLAYS HIGH YIELD BD	-325.60	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	SPDR SER TR BARCLAYS HIGH YIELD BD	-723.55	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	SPDR SER TR BARCLAYS HIGH YIELD BD	-144.71	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	SPDR SER TR BARCLAYS HIGH YIELD BD	-108.53	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	SPDR SER TR BARCLAYS HIGH YIELD BD	-1,230.03	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	SPDR SER TR BARCLAYS HIGH YIELD BD	-36.18	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	SPDR SER TR BARCLAYS HIGH YIELD BD	-397.95	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	SPDR SER TR BARCLAYS HIGH YIELD BD	-325.60	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	SPDR SER TR BARCLAYS HIGH YIELD BD	-72.35	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	SPDR SER TR BARCLAYS HIGH YIELD BD	-1,157.68	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	SPDR SER TR BARCLAYS HIGH YIELD BD	-506.48	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	SPDR SER TR BARCLAYS HIGH YIELD BD	-2,025.93	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	SPDR SER TR BARCLAYS HIGH YIELD BD	-1,627.98	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	SPDR SER TR BARCLAYS HIGH YIELD BD	-36.18	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	SPDR SER TR BARCLAYS HIGH YIELD BD	-904.43	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	SPDR SER TR BARCLAYS HIGH YIELD BD	-217.06	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>CLEARING TRANSACTIONS</u>								
PRODUCT CATEGORY: STOCKS								
02/22/2018	CONCORDE, VARIOUS	SPDR SER TR BARCLAYS HIGH YIELD BD	-36.18	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	SPDR SER TR BARCLAYS HIGH YIELD BD	-940.61	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	SPDR SER TR BARCLAYS HIGH YIELD BD	-144.71	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	SPDR SER TR BARCLAYS HIGH YIELD BD	-217.06	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	SPDR SER TR BARCLAYS HIGH YIELD BD	-325.60	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	SPDR SER TR BARCLAYS HIGH YIELD BD	-217.06	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	SPDR SER TR BARCLAYS HIGH YIELD BD	-506.48	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	SPDR SER TR BARCLAYS HIGH YIELD BD	-144.71	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	SPDR SER TR BARCLAYS HIGH YIELD BD	5,463.16	0.00	1.00	-1.00	100.0	-1.00
02/22/2018	CONCORDE, VARIOUS	SPDR SER TR BARCLAYS HIGH YIELD BD	16,460.31	0.00	1.00	-1.00	100.0	-1.00
02/15/2018	CONCORDE, VARIOUS	SPDR SER TR BARCLAYS TIIPS ETF	5,509.00	0.00	1.00	-1.00	100.0	-1.00
02/15/2018	CONCORDE, VARIOUS	SPDR SER TR BARCLAYS TIIPS ETF	8,540.48	0.00	1.00	-1.00	100.0	-1.00
02/15/2018	CONCORDE, VARIOUS	SPDR SER TR BARCLAYS TIIPS ETF	5,509.00	0.00	1.00	-1.00	100.0	-1.00
02/15/2018	CONCORDE, VARIOUS	SPDR SER TR BARCLAYS TIIPS ETF	-19,558.48	0.00	0.00	0.00	100.0	0.00
02/15/2018	CONCORDE, VARIOUS	SPDR SER TR BARCLAYS TIIPS ETF	-11,287.30	0.00	1.00	-1.00	100.0	-1.00
02/15/2018	CONCORDE, VARIOUS	SPDR SER TR BARCLAYS TIIPS ETF	-550.60	0.00	1.00	-1.00	100.0	-1.00
02/15/2018	CONCORDE, VARIOUS	SPDR SER TR BARCLAYS TIIPS ETF	-495.54	0.00	1.00	-1.00	100.0	-1.00
02/15/2018	CONCORDE, VARIOUS	SPDR SER TR BARCLAYS TIIPS ETF	-9,690.56	0.00	1.00	-1.00	100.0	-1.00
02/15/2018	CONCORDE, VARIOUS	SPDR SER TR BARCLAYS TIIPS ETF	22,024.00	0.00	0.00	0.00	100.0	0.00
02/15/2018	CONCORDE, VARIOUS	SPDR SER TR S&P PHARMACEUTICALS ETF	13,801.60	0.00	0.00	0.00	100.0	0.00
02/15/2018	CONCORDE, VARIOUS	SPDR SER TR S&P PHARMACEUTICALS ETF	-8,669.13	0.00	1.00	-1.00	100.0	-1.00
02/15/2018	CONCORDE, VARIOUS	SPDR SER TR S&P PHARMACEUTICALS ETF	-2,113.37	0.00	1.00	-1.00	100.0	-1.00
02/15/2018	CONCORDE, VARIOUS	SPDR SER TR S&P PHARMACEUTICALS ETF	-5,434.38	0.00	1.00	-1.00	100.0	-1.00
02/15/2018	CONCORDE, VARIOUS	SPDR SER TR S&P PHARMACEUTICALS ETF	-8,367.22	0.00	1.00	-1.00	100.0	-1.00
02/15/2018	CONCORDE, VARIOUS	SPDR SER TR S&P PHARMACEUTICALS ETF	10,782.50	0.00	0.00	0.00	100.0	0.00
01/30/2018	CONCORDE, VARIOUS	SPIRIT RLTY CAP INC NEW COM	-6,530.48	0.00	0.00	0.00	100.0	0.00
02/15/2018	CONCORDE, VARIOUS	STONEMOR PARTNERS L P COM UNITS	6,529.44	0.00	0.00	0.00	100.0	0.00
02/15/2018	CONCORDE, VARIOUS	STONEMOR PARTNERS L P COM UNITS	-1,299.17	0.00	1.00	-1.00	100.0	-1.00
02/15/2018	CONCORDE, VARIOUS	STONEMOR PARTNERS L P COM UNITS	-5,230.30	0.00	1.00	-1.00	100.0	-1.00
02/15/2018	CONCORDE, VARIOUS	TIER REIT INC COM NEW	12,196.92	0.00	0.00	0.00	100.0	0.00
02/15/2018	CONCORDE, VARIOUS	TIER REIT INC COM NEW	-3,764.02	0.00	1.00	-1.00	100.0	-1.00
02/15/2018	CONCORDE, VARIOUS	TIER REIT INC COM NEW	-3,765.00	0.00	1.00	-1.00	100.0	-1.00
02/15/2018	CONCORDE, VARIOUS	TIER REIT INC COM NEW	-1,882.50	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>CLEARING TRANSACTIONS</u>								
PRODUCT CATEGORY: STOCKS								
02/15/2018	CONCORDE, VARIOUS	TIER REIT INC COM NEW	-2,785.37	0.00	1.00	-1.00	100.0	-1.00
02/16/2018	CONCORDE, VARIOUS	TIER REIT INC COM NEW	11,298.48	0.00	0.00	0.00	100.0	0.00
02/16/2018	CONCORDE, VARIOUS	TIER REIT INC COM NEW	-1,691.36	0.00	1.00	-1.00	100.0	-1.00
02/16/2018	CONCORDE, VARIOUS	TIER REIT INC COM NEW	-1,922.00	0.00	1.00	-1.00	100.0	-1.00
02/16/2018	CONCORDE, VARIOUS	TIER REIT INC COM NEW	-1,922.00	0.00	1.00	-1.00	100.0	-1.00
02/16/2018	CONCORDE, VARIOUS	TIER REIT INC COM NEW	-3,842.08	0.00	1.00	-1.00	100.0	-1.00
02/16/2018	CONCORDE, VARIOUS	TIER REIT INC COM NEW	-1,921.05	0.00	1.00	-1.00	100.0	-1.00
02/22/2018	CONCORDE, VARIOUS	VANECK VECTORS ETF TR HIGH-YIELD MU	339.42	0.00	1.00	-1.00	100.0	-1.00
02/22/2018	CONCORDE, VARIOUS	VANECK VECTORS ETF TR HIGH-YIELD MU	-61.71	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	VANECK VECTORS ETF TR HIGH-YIELD MU	-277.71	0.00	0.00	0.00	100.0	0.00
02/15/2018	CONCORDE, VARIOUS	VANGUARD BD INDEX FD INC INTERMEDIA	6,098.25	0.00	0.00	0.00	100.0	0.00
02/15/2018	CONCORDE, VARIOUS	VANGUARD BD INDEX FD INC INTERMEDIA	-1,951.44	0.00	1.00	-1.00	100.0	-1.00
02/15/2018	CONCORDE, VARIOUS	VANGUARD BD INDEX FD INC INTERMEDIA	-4,146.81	0.00	1.00	-1.00	100.0	-1.00
02/22/2018	CONCORDE, VARIOUS	VANGUARD CHARLOTTE FDS TOTAL INTL B	-216.03	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	VANGUARD CHARLOTTE FDS TOTAL INTL B	-54.01	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	VANGUARD CHARLOTTE FDS TOTAL INTL B	-54.01	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	VANGUARD CHARLOTTE FDS TOTAL INTL B	-108.02	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	VANGUARD CHARLOTTE FDS TOTAL INTL B	810.13	0.00	1.00	-1.00	100.0	-1.00
02/22/2018	CONCORDE, VARIOUS	VANGUARD CHARLOTTE FDS TOTAL INTL B	-54.01	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	VANGUARD CHARLOTTE FDS TOTAL INTL B	-54.01	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	VANGUARD CHARLOTTE FDS TOTAL INTL B	-216.03	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	VANGUARD CHARLOTTE FDS TOTAL INTL B	-54.01	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	VANGUARD INDEX FDS VANGUARD REIT ET	-518.54	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	VANGUARD INDEX FDS VANGUARD REIT ET	-148.15	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	VANGUARD INDEX FDS VANGUARD REIT ET	-74.08	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	VANGUARD INDEX FDS VANGUARD REIT ET	-222.23	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	VANGUARD INDEX FDS VANGUARD REIT ET	-296.31	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	VANGUARD INDEX FDS VANGUARD REIT ET	15,556.21	0.00	1.00	-1.00	100.0	-1.00
02/22/2018	CONCORDE, VARIOUS	VANGUARD INDEX FDS VANGUARD REIT ET	-148.15	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	VANGUARD INDEX FDS VANGUARD REIT ET	-74.08	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	VANGUARD INDEX FDS VANGUARD REIT ET	-74.08	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	VANGUARD INDEX FDS VANGUARD REIT ET	-74.08	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	VANGUARD INDEX FDS VANGUARD REIT ET	-222.23	0.00	0.00	0.00	100.0	0.00

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<u>CLEARING TRANSACTIONS</u>								
PRODUCT CATEGORY: STOCKS								
02/22/2018	CONCORDE, VARIOUS	VANGUARD INDEX FDS VANGUARD REIT ET	-666.69	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	VANGUARD INDEX FDS VANGUARD REIT ET	-148.15	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	VANGUARD INDEX FDS VANGUARD REIT ET	-296.31	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	VANGUARD INDEX FDS VANGUARD REIT ET	-74.08	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	VANGUARD INDEX FDS VANGUARD REIT ET	-814.85	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	VANGUARD INDEX FDS VANGUARD REIT ET	-74.08	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	VANGUARD INDEX FDS VANGUARD REIT ET	-370.39	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	VANGUARD INDEX FDS VANGUARD REIT ET	-222.23	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	VANGUARD INDEX FDS VANGUARD REIT ET	-148.15	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	VANGUARD INDEX FDS VANGUARD REIT ET	-592.62	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	VANGUARD INDEX FDS VANGUARD REIT ET	-296.31	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	VANGUARD INDEX FDS VANGUARD REIT ET	-148.15	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	VANGUARD INDEX FDS VANGUARD REIT ET	-74.08	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	VANGUARD INDEX FDS VANGUARD REIT ET	-148.15	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	VANGUARD INDEX FDS VANGUARD REIT ET	-148.15	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	VANGUARD INDEX FDS VANGUARD REIT ET	-148.15	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	VANGUARD INDEX FDS VANGUARD REIT ET	-296.31	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	VANGUARD INDEX FDS VANGUARD REIT ET	-296.31	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	VANGUARD INDEX FDS VANGUARD REIT ET	-666.69	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	VANGUARD INDEX FDS VANGUARD REIT ET	-963.00	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	VANGUARD INDEX FDS VANGUARD REIT ET	-222.23	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	VANGUARD INDEX FDS VANGUARD REIT ET	-1,111.16	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	VANGUARD INDEX FDS VANGUARD REIT ET	-444.46	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	VANGUARD INDEX FDS VANGUARD REIT ET	-296.31	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	VANGUARD INDEX FDS VANGUARD REIT ET	-592.62	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	VANGUARD INDEX FDS VANGUARD REIT ET	-888.93	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	VANGUARD INDEX FDS VANGUARD REIT ET	-74.08	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	VANGUARD INDEX FDS VANGUARD REIT ET	-222.23	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	VANGUARD INDEX FDS VANGUARD REIT ET	-592.62	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	VANGUARD INDEX FDS VANGUARD REIT ET	-74.08	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	VANGUARD INDEX FDS VANGUARD REIT ET	-2,592.70	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	VANGUARD INTL EQUITY INDEX FD INC F	389.27	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	VANGUARD INTL EQUITY INDEX FD INC F	4,226.36	0.00	0.00	0.00	100.0	0.00

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<u>CLEARING TRANSACTIONS</u>								
PRODUCT CATEGORY: STOCKS								
02/22/2018	CONCORDE, VARIOUS	VANGUARD INTL EQUITY INDEX FD INC F	-278.05	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	VANGUARD INTL EQUITY INDEX FD INC F	389.27	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	VANGUARD INTL EQUITY INDEX FD INC F	389.27	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	VANGUARD INTL EQUITY INDEX FD INC F	2,613.67	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	VANGUARD INTL EQUITY INDEX FD INC F	111.22	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	VANGUARD INTL EQUITY INDEX FD INC F	4,893.59	0.00	1.00	-1.00	100.0	-1.00
02/22/2018	CONCORDE, VARIOUS	VANGUARD INTL EQUITY INDEX FD INC F	556.10	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	VANGUARD INTL EQUITY INDEX FD INC F	778.54	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	VANGUARD INTL EQUITY INDEX FD INC F	1,167.81	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	VANGUARD INTL EQUITY INDEX FD INC F	500.49	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	VANGUARD INTL EQUITY INDEX FD INC F	1,223.42	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	VANGUARD INTL EQUITY INDEX FD INC F	556.10	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	VANGUARD INTL EQUITY INDEX FD INC F	333.66	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	VANGUARD INTL EQUITY INDEX FD INC F	2,168.79	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	VANGUARD INTL EQUITY INDEX FD INC F	444.88	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	VANGUARD INTL EQUITY INDEX FD INC F	-2,446.80	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	VANGUARD INTL EQUITY INDEX FD INC F	55.61	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	VANGUARD INTL EQUITY INDEX FD INC F	333.66	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	VANGUARD INTL EQUITY INDEX FD INC F	722.93	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	VANGUARD INTL EQUITY INDEX FD INC F	333.66	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	VANGUARD INTL EQUITY INDEX FD INC F	2,891.72	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	VANGUARD INTL EQUITY INDEX FD INC F	278.05	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	VANGUARD INTL EQUITY INDEX FD INC F	278.05	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	VANGUARD INTL EQUITY INDEX FD INC F	556.10	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	VANGUARD INTL EQUITY INDEX FD INC F	55.61	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	VANGUARD INTL EQUITY INDEX FD INC F	-31,197.21	0.00	1.00	-1.00	100.0	-1.00
02/22/2018	CONCORDE, VARIOUS	VANGUARD INTL EQUITY INDEX FD INC F	1,390.25	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	VANGUARD INTL EQUITY INDEX FD INC F	389.27	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	VANGUARD INTL EQUITY INDEX FD INC F	-166.83	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	VANGUARD INTL EQUITY INDEX FD INC F	1,612.69	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	VANGUARD INTL EQUITY INDEX FD INC F	222.44	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	VANGUARD INTL EQUITY INDEX FD INC F	4,504.41	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	VANGUARD INTL EQUITY INDEX FD INC F	556.10	0.00	0.00	0.00	100.0	0.00

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<u>CLEARING TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: STOCKS</u>								
02/22/2018	CONCORDE, VARIOUS	VANGUARD INTL EQUITY INDEX FD INC F	222.44	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	VANGUARD INTL EQUITY INDEX FD INC F	444.88	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	VANGUARD INTL EQUITY INDEX FD INC F	500.49	0.00	0.00	0.00	100.0	0.00
02/22/2018	CONCORDE, VARIOUS	VANGUARD INTL EQUITY INDEX FD INC F	-2,001.92	0.00	0.00	0.00	100.0	0.00
* STOCKS SUBTOTAL *			\$-9,675.36	\$0.00	\$80.00	\$-80.00		\$-80.00
<u>PRODUCT CATEGORY: OPTIONS</u>								
02/16/2018	CONCORDE, VARIOUS	CIM COML TR CORP WTS EXP 02/21/2023	-20.00	0.00	13.00	-13.00	100.0	-13.00
02/16/2018	CONCORDE, VARIOUS	CIM COML TR CORP WTS EXP 02/21/2023	20.00	0.00	8.00	-8.00	100.0	-8.00
* OPTIONS SUBTOTAL *			\$0.00	\$0.00	\$21.00	\$-21.00		\$-21.00
*** CLEARING TRANSACTIONS TOTAL ***			\$-10,169.25	\$0.00	\$101.00	\$-101.00		\$-101.00
<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: 529 PLANS</u>								
02/16/2018	HARRISON, SHARON	AM FUNDS FUNDAMENTAL INVESTORS 529A	50.00	1.00	0.00	1.00	100.0	1.00
02/16/2018	HARRISON, SHARON	AM FUNDS GROWTH FUND OF AMERICA 529	50.00	1.00	0.00	1.00	100.0	1.00
02/05/2018	AGUILAR, JOSE	AM FUNDS NEW ECONOMY 529A	50.00	2.50	0.00	2.50	100.0	2.50
02/05/2018	ROBINSON, SARAH	AMERICAN FUNDS COLLEGE 2033 FUND-52	50.00	1.75	0.00	1.75	100.0	1.75
02/09/2018	ROBINSON, SARAH	COLLEGE 2033 FUND-529A	100.00	3.50	0.00	3.50	100.0	3.50
* 529 PLANS SUBTOTAL *			\$300.00	\$9.75	\$0.00	\$9.75		\$9.75
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
02/15/2018	LARA, DYLAN	AM FUNDS 2035 TARGET DATE-A	50.00	2.50	0.00	2.50	100.0	2.50
02/15/2018	LARA, DEREK	AM FUNDS 2035 TARGET DATE-A	50.00	2.50	0.00	2.50	100.0	2.50
02/06/2018	SAGGAR, VADEESH	AM FUNDS AMERICAN BALANCED A	50.00	2.50	0.00	2.50	100.0	2.50
02/05/2018	COX, DEBORAH	AM FUNDS CAPITAL INCOME BUILDER A	75.00	3.75	0.00	3.75	100.0	3.75
02/12/2018	BODO, DAVID	AM FUNDS CAPITAL INCOME BUILDER A	75.00	2.81	0.00	2.81	100.0	2.81
02/12/2018	BODO, DAVID	AM FUNDS CAPITAL WORLD GRTH & INC A	75.00	2.81	0.00	2.81	100.0	2.81
02/08/2018	DEEB, DANUTA	AM FUNDS EUROPACIFIC GROWTH FUND A	100.00	5.00	0.00	5.00	100.0	5.00
02/06/2018	HO, PAULINA	AM FUNDS GROWTH AND INCOME C	200.00	2.00	0.00	2.00	100.0	2.00
02/12/2018	BODO, DAVID	AM FUNDS GROWTH FUND OF AMERICA A	50.00	1.88	0.00	1.88	100.0	1.88
02/15/2018	HENRY, WYATT	AM FUNDS GROWTH FUND OF AMERICA A	50.00	2.50	0.00	2.50	100.0	2.50
02/06/2018	WHEELER, PAUL	AM FUNDS ICA C	60.00	0.60	0.00	0.60	100.0	0.60

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
02/06/2018	LOUDERMILK, SCOTT	AM FUNDS ICA C	320.00	3.20	0.00	3.20	100.0	3.20
02/06/2018	LOCKHART, JOSEPH	AM FUNDS ICA C	480.00	4.80	0.00	4.80	100.0	4.80
02/06/2018	HO, PAULINA	AM FUNDS INCOME PORTFOLIO C	200.00	2.00	0.00	2.00	100.0	2.00
02/15/2018	MARSH, KEITH	AM FUNDS NEW ECONOMY A	200.00	7.50	0.00	7.50	100.0	7.50
02/15/2018	BUGGS, MICHELLE	AM FUNDS NEW WORLD A	50.00	2.50	0.00	2.50	100.0	2.50
02/05/2018	COX, DEBORAH	AM FUNDS SMALLCAP WORLD A	75.00	3.75	0.00	3.75	100.0	3.75
02/06/2018	SAGGAR, VADEESH	AM FUNDS SMALLCAP WORLD A	100.00	5.00	0.00	5.00	100.0	5.00
02/05/2018	KERN, KATHERINE	AM FUNDS WASHINGTON MUTUAL INVESTOR	100.00	5.00	0.00	5.00	100.0	5.00
* MUTUAL FUNDS SUBTOTAL *			\$2,360.00	\$62.60	\$0.00	\$62.60		\$62.60
<u>PRODUCT CATEGORY: VARIABLE ANNUITIES</u>								
02/09/2018	LUND, VARIOUS	ADV CENTURY	0.00	622.51	0.00	622.51	100.0	622.51
02/13/2018	LUND, VARIOUS	ADV CENTURY	0.00	153.23	0.00	153.23	100.0	153.23
01/17/2018	FORMELLA, ANNETTE	GENWORTH INS	11,988.90	2.50	0.00	2.50	100.0	2.50
01/17/2018	FORMELLA, DAVID	GENWORTH INS	11,795.55	2.46	0.00	2.46	100.0	2.46
02/15/2018	FORMELLA, ANNETTE	GENWORTH INS	25.00	0.25	0.00	0.25	100.0	0.25
02/15/2018	FORMELLA, DAVID	GENWORTH INS	35.00	0.35	0.00	0.35	100.0	0.35
02/12/2018	RAYNUSH, MARTHA	OHIO NATL ONCORE PREMIER	33,538.77	83.85	0.00	83.85	100.0	83.85
01/04/2018	BELTRAN, RANDOLPH	TRANSAMERICA EXTRA	110,570.58	92.14	0.00	92.14	100.0	92.14
01/27/2018	LEONARD, NITA	TRANSAMERICA EXTRA	48,959.17	40.80	0.00	40.80	100.0	40.80
01/12/2018	WILLIAMS, JESSIE	TRANSAMERICA LIBERTY	71,467.51	59.56	0.00	59.56	100.0	59.56
01/13/2018	MOORE, WILLIAM	TRANSAMERICA LIBERTY	10,440.71	8.70	0.00	8.70	100.0	8.70
01/24/2018	MORRISON, BARRETT	TRANSAMERICA PRINCIPIUM	86,197.09	71.83	0.00	71.83	100.0	71.83
* VARIABLE ANNUITIES SUBTOTAL *			\$385,018.28	\$1,138.18	\$0.00	\$1,138.18		\$1,138.18
<u>PRODUCT CATEGORY: VARIABLE UNIVERSAL LIFE</u>								
02/09/2018	GOVE, VARIOUS	PAC LIFE VUL	0.00	1.75	0.00	1.75	100.0	1.75
02/09/2018	PAI, YOGISH & ANITA	PAC LIFE VUL	700.00	14.00	0.00	14.00	100.0	14.00
02/16/2018	GOVE, VARIOUS	PAC LIFE VUL	0.00	7.48	0.00	7.48	100.0	7.48
* VARIABLE UNIVERSAL LIFE SUBTOTAL *			\$700.00	\$23.23	\$0.00	\$23.23		\$23.23
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
02/16/2016	WHITING, DENISE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.71	0.00	1.71	100.0	1.71
03/15/2016	WHITING, DENISE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.54	0.00	1.54	100.0	1.54
04/20/2016	WHITING, DENISE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.76	0.00	1.76	100.0	1.76

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
05/16/2016	WHITING, DENISE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.78	0.00	1.78	100.0	1.78
06/15/2016	WHITING, DENISE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.84	0.00	1.84	100.0	1.84
07/18/2016	WHITING, DENISE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.80	0.00	1.80	100.0	1.80
08/15/2016	WHITING, DENISE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.91	0.00	1.91	100.0	1.91
09/16/2016	WHITING, DENISE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.96	0.00	1.96	100.0	1.96
10/17/2016	WHITING, DENISE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.89	0.00	1.89	100.0	1.89
11/18/2016	WHITING, DENISE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.97	0.00	1.97	100.0	1.97
12/15/2016	WHITING, DENISE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.90	0.00	1.90	100.0	1.90
02/16/2016	WHITING, DENISE	AM FUNDS NEW PERSPECTIVE A	0.00	1.09	0.00	1.09	100.0	1.09
03/15/2016	WHITING, DENISE	AM FUNDS NEW PERSPECTIVE A	0.00	0.99	0.00	0.99	100.0	0.99
04/20/2016	WHITING, DENISE	AM FUNDS NEW PERSPECTIVE A	0.00	1.23	0.00	1.23	100.0	1.23
05/16/2016	WHITING, DENISE	AM FUNDS NEW PERSPECTIVE A	0.00	1.53	0.00	1.53	100.0	1.53
06/15/2016	WHITING, DENISE	AM FUNDS NEW PERSPECTIVE A	0.00	1.56	0.00	1.56	100.0	1.56
07/18/2016	WHITING, DENISE	AM FUNDS NEW PERSPECTIVE A	0.00	1.52	0.00	1.52	100.0	1.52
08/15/2016	WHITING, DENISE	AM FUNDS NEW PERSPECTIVE A	0.00	1.61	0.00	1.61	100.0	1.61
09/16/2016	WHITING, DENISE	AM FUNDS NEW PERSPECTIVE A	0.00	1.65	0.00	1.65	100.0	1.65
10/17/2016	WHITING, DENISE	AM FUNDS NEW PERSPECTIVE A	0.00	1.60	0.00	1.60	100.0	1.60
11/18/2016	WHITING, DENISE	AM FUNDS NEW PERSPECTIVE A	0.00	1.64	0.00	1.64	100.0	1.64
12/15/2016	WHITING, DENISE	AM FUNDS NEW PERSPECTIVE A	0.00	1.56	0.00	1.56	100.0	1.56
02/16/2016	LOHR, KIMBERLY	FRANKLIN INCOME A	0.00	0.01	0.00	0.01	100.0	0.01
03/16/2016	LOHR, KIMBERLY	FRANKLIN INCOME A	0.00	0.01	0.00	0.01	100.0	0.01
04/15/2016	LOHR, KIMBERLY	FRANKLIN INCOME A	0.00	0.01	0.00	0.01	100.0	0.01
05/13/2016	LOHR, KIMBERLY	FRANKLIN INCOME A	0.00	0.01	0.00	0.01	100.0	0.01
06/14/2016	LOHR, KIMBERLY	FRANKLIN INCOME A	0.00	0.01	0.00	0.01	100.0	0.01
07/14/2016	LOHR, KIMBERLY	FRANKLIN INCOME A	0.00	0.01	0.00	0.01	100.0	0.01
08/15/2016	LOHR, KIMBERLY	FRANKLIN INCOME A	0.00	0.01	0.00	0.01	100.0	0.01
09/14/2016	LOHR, KIMBERLY	FRANKLIN INCOME A	0.00	0.01	0.00	0.01	100.0	0.01
10/18/2016	LOHR, KIMBERLY	FRANKLIN INCOME A	0.00	0.01	0.00	0.01	100.0	0.01
11/15/2016	LOHR, KIMBERLY	FRANKLIN INCOME A	0.00	0.01	0.00	0.01	100.0	0.01
12/16/2016	LOHR, KIMBERLY	FRANKLIN INCOME A	0.00	0.01	0.00	0.01	100.0	0.01
02/16/2016	MCCORKLE, ERIC	FT FOUNDING FDS ALLOC C	0.00	1.25	0.00	1.25	100.0	1.25
02/16/2016	LINDHOLM, BRENDA	FT FOUNDING FDS ALLOC C	0.00	2.37	0.00	2.37	100.0	2.37
03/16/2016	MCCORKLE, ERIC	FT FOUNDING FDS ALLOC C	0.00	1.15	0.00	1.15	100.0	1.15

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
03/16/2016	LINDHOLM, BRENDA	FT FOUNDING FDS ALLOC C	0.00	2.18	0.00	2.18	100.0	2.18
04/15/2016	MCCORKLE, ERIC	FT FOUNDING FDS ALLOC C	0.00	1.31	0.00	1.31	100.0	1.31
04/15/2016	LINDHOLM, BRENDA	FT FOUNDING FDS ALLOC C	0.00	2.49	0.00	2.49	100.0	2.49
05/13/2016	MCCORKLE, ERIC	FT FOUNDING FDS ALLOC C	0.00	1.30	0.00	1.30	100.0	1.30
05/13/2016	LINDHOLM, BRENDA	FT FOUNDING FDS ALLOC C	0.00	2.47	0.00	2.47	100.0	2.47
06/14/2016	MCCORKLE, ERIC	FT FOUNDING FDS ALLOC C	0.00	1.34	0.00	1.34	100.0	1.34
06/14/2016	LINDHOLM, BRENDA	FT FOUNDING FDS ALLOC C	0.00	2.54	0.00	2.54	100.0	2.54
07/14/2016	MCCORKLE, ERIC	FT FOUNDING FDS ALLOC C	0.00	1.31	0.00	1.31	100.0	1.31
07/14/2016	LINDHOLM, BRENDA	FT FOUNDING FDS ALLOC C	0.00	2.47	0.00	2.47	100.0	2.47
08/15/2016	MCCORKLE, ERIC	FT FOUNDING FDS ALLOC C	0.00	1.38	0.00	1.38	100.0	1.38
08/15/2016	LINDHOLM, BRENDA	FT FOUNDING FDS ALLOC C	0.00	2.60	0.00	2.60	100.0	2.60
09/14/2016	MCCORKLE, ERIC	FT FOUNDING FDS ALLOC C	0.00	1.41	0.00	1.41	100.0	1.41
09/14/2016	LINDHOLM, BRENDA	FT FOUNDING FDS ALLOC C	0.00	2.66	0.00	2.66	100.0	2.66
10/18/2016	MCCORKLE, ERIC	FT FOUNDING FDS ALLOC C	0.00	1.38	0.00	1.38	100.0	1.38
10/18/2016	LINDHOLM, BRENDA	FT FOUNDING FDS ALLOC C	0.00	2.59	0.00	2.59	100.0	2.59
11/15/2016	MCCORKLE, ERIC	FT FOUNDING FDS ALLOC C	0.00	1.43	0.00	1.43	100.0	1.43
11/15/2016	LINDHOLM, BRENDA	FT FOUNDING FDS ALLOC C	0.00	2.68	0.00	2.68	100.0	2.68
12/16/2016	MCCORKLE, ERIC	FT FOUNDING FDS ALLOC C	0.00	1.39	0.00	1.39	100.0	1.39
12/16/2016	LINDHOLM, BRENDA	FT FOUNDING FDS ALLOC C	0.00	2.61	0.00	2.61	100.0	2.61
02/14/2018	PILLAI, VADIVEL	JH FINANCIAL INDUSTRIES A	0.00	1.42	0.00	1.42	100.0	1.42
02/14/2018	KASSA, GETACHEW FOLY	JH FINANCIAL INDUSTRIES A	0.00	0.85	0.00	0.85	100.0	0.85
02/14/2018	HABTE, BISLAT	JH FINANCIAL INDUSTRIES A	0.00	4.01	0.00	4.01	100.0	4.01
02/14/2018	SCHMIDT, MICHAEL	JH GOVERNMENT INCOME A	0.00	6.84	0.00	6.84	100.0	6.84
02/14/2018	KABTYIMER, BETELEHEM	JH REGIONAL BANK A	0.00	3.61	0.00	3.61	100.0	3.61
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *			\$0.00	\$95.19	\$0.00	\$95.19		\$95.19
<u>PRODUCT CATEGORY: VARIABLE ANNUITY 12B1 TRAILS</u>								
01/30/2018	MEAD, ELIZABETH	DELAWARE LIFE TRAILS	5,405.01	2.70	0.00	2.70	100.0	2.70
02/01/2018	BRANDUZZI, CAITLIN	PAC LIFE PACIFIC CHOICE	0.00	6.01	0.00	6.01	100.0	6.01
* VARIABLE ANNUITY 12B1 TRAILS SUBTOTAL *			\$5,405.01	\$8.71	\$0.00	\$8.71		\$8.71
*** DIRECT TRANSACTIONS TOTAL ***			\$393,783.29	\$1,337.66	\$0.00	\$1,337.66		\$1,337.66

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>VERRIDE TRANSACTIONS</u>								
<u>BROKER: ANTHONY GUGLIELME #8</u>								
02/16/2016	BATTAGLINI, CHRIS	AM FUNDS CAPITAL WORLD GRTH & INC C	0.00	2.63	0.00	2.63	0.0	2.63
03/15/2016	BATTAGLINI, CHRIS	AM FUNDS CAPITAL WORLD GRTH & INC C	0.00	2.42	0.00	2.42	0.0	2.42
04/20/2016	BATTAGLINI, CHRIS	AM FUNDS CAPITAL WORLD GRTH & INC C	0.00	2.75	0.00	2.75	0.0	2.75
05/16/2016	BATTAGLINI, CHRIS	AM FUNDS CAPITAL WORLD GRTH & INC C	0.00	2.73	0.00	2.73	0.0	2.73
06/15/2016	BATTAGLINI, CHRIS	AM FUNDS CAPITAL WORLD GRTH & INC C	0.00	2.80	0.00	2.80	0.0	2.80
07/18/2016	BATTAGLINI, CHRIS	AM FUNDS CAPITAL WORLD GRTH & INC C	0.00	2.72	0.00	2.72	0.0	2.72
08/15/2016	BATTAGLINI, CHRIS	AM FUNDS CAPITAL WORLD GRTH & INC C	0.00	2.89	0.00	2.89	0.0	2.89
09/16/2016	BATTAGLINI, CHRIS	AM FUNDS CAPITAL WORLD GRTH & INC C	0.00	2.96	0.00	2.96	0.0	2.96
10/17/2016	BATTAGLINI, CHRIS	AM FUNDS CAPITAL WORLD GRTH & INC C	0.00	2.86	0.00	2.86	0.0	2.86
11/18/2016	BATTAGLINI, CHRIS	AM FUNDS CAPITAL WORLD GRTH & INC C	0.00	2.93	0.00	2.93	0.0	2.93
12/15/2016	BATTAGLINI, CHRIS	AM FUNDS CAPITAL WORLD GRTH & INC C	0.00	2.79	0.00	2.79	0.0	2.79
02/16/2016	BATTAGLINI, CHRIS	AM FUNDS GROWTH FUND OF AMERICA C	0.00	1.56	0.00	1.56	0.0	1.56
03/15/2016	BATTAGLINI, CHRIS	AM FUNDS GROWTH FUND OF AMERICA C	0.00	1.41	0.00	1.41	0.0	1.41
04/20/2016	BATTAGLINI, CHRIS	AM FUNDS GROWTH FUND OF AMERICA C	0.00	1.60	0.00	1.60	0.0	1.60
05/16/2016	BATTAGLINI, CHRIS	AM FUNDS GROWTH FUND OF AMERICA C	0.00	1.60	0.00	1.60	0.0	1.60
06/15/2016	BATTAGLINI, CHRIS	AM FUNDS GROWTH FUND OF AMERICA C	0.00	1.66	0.00	1.66	0.0	1.66
07/18/2016	BATTAGLINI, CHRIS	AM FUNDS GROWTH FUND OF AMERICA C	0.00	1.63	0.00	1.63	0.0	1.63
08/15/2016	BATTAGLINI, CHRIS	AM FUNDS GROWTH FUND OF AMERICA C	0.00	1.72	0.00	1.72	0.0	1.72
09/16/2016	BATTAGLINI, CHRIS	AM FUNDS GROWTH FUND OF AMERICA C	0.00	1.77	0.00	1.77	0.0	1.77
10/17/2016	BATTAGLINI, CHRIS	AM FUNDS GROWTH FUND OF AMERICA C	0.00	1.70	0.00	1.70	0.0	1.70
11/18/2016	BATTAGLINI, CHRIS	AM FUNDS GROWTH FUND OF AMERICA C	0.00	1.77	0.00	1.77	0.0	1.77
12/15/2016	BATTAGLINI, CHRIS	AM FUNDS GROWTH FUND OF AMERICA C	0.00	1.71	0.00	1.71	0.0	1.71
02/16/2016	BATTAGLINI, CHRIS	FRANKLIN SMALL CAP VALUE C	0.00	2.32	0.00	2.32	0.0	2.32
03/16/2016	BATTAGLINI, CHRIS	FRANKLIN SMALL CAP VALUE C	0.00	2.17	0.00	2.17	0.0	2.17
04/15/2016	BATTAGLINI, CHRIS	FRANKLIN SMALL CAP VALUE C	0.00	2.53	0.00	2.53	0.0	2.53
05/13/2016	BATTAGLINI, CHRIS	FRANKLIN SMALL CAP VALUE C	0.00	2.54	0.00	2.54	0.0	2.54
06/14/2016	BATTAGLINI, CHRIS	FRANKLIN SMALL CAP VALUE C	0.00	2.63	0.00	2.63	0.0	2.63
07/14/2016	BATTAGLINI, CHRIS	FRANKLIN SMALL CAP VALUE C	0.00	2.63	0.00	2.63	0.0	2.63
08/15/2016	BATTAGLINI, CHRIS	FRANKLIN SMALL CAP VALUE C	0.00	2.82	0.00	2.82	0.0	2.82
09/14/2016	BATTAGLINI, CHRIS	FRANKLIN SMALL CAP VALUE C	0.00	2.90	0.00	2.90	0.0	2.90
10/18/2016	BATTAGLINI, CHRIS	FRANKLIN SMALL CAP VALUE C	0.00	2.81	0.00	2.81	0.0	2.81
11/15/2016	BATTAGLINI, CHRIS	FRANKLIN SMALL CAP VALUE C	0.00	2.88	0.00	2.88	0.0	2.88
12/16/2016	BATTAGLINI, CHRIS	FRANKLIN SMALL CAP VALUE C	0.00	2.90	0.00	2.90	0.0	2.90

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<u> OVERRIDE TRANSACTIONS </u>								
<u> BROKER: ANTHONY GUGLIELME #8 </u>								
04/14/2016	BATTAGLINI, CHRIS	INVESCO ENERGY FUND CLASS C	0.00	1.56	0.00	1.56	0.0	1.56
07/19/2016	BATTAGLINI, CHRIS	INVESCO ENERGY FUND CLASS C	0.00	1.87	0.00	1.87	0.0	1.87
10/17/2016	BATTAGLINI, CHRIS	INVESCO ENERGY FUND CLASS C	0.00	1.90	0.00	1.90	0.0	1.90
02/08/2016	BATTAGLINI, CHRIS	MFS UTILITIES C	0.00	0.99	0.00	0.99	0.0	0.99
03/14/2016	BATTAGLINI, CHRIS	MFS UTILITIES C	0.00	0.93	0.00	0.93	0.0	0.93
04/15/2016	BATTAGLINI, CHRIS	MFS UTILITIES C	0.00	1.08	0.00	1.08	0.0	1.08
05/17/2016	BATTAGLINI, CHRIS	MFS UTILITIES C	0.00	1.07	0.00	1.07	0.0	1.07
06/16/2016	BATTAGLINI, CHRIS	MFS UTILITIES C	0.00	1.14	0.00	1.14	0.0	1.14
07/20/2016	BATTAGLINI, CHRIS	MFS UTILITIES C	0.00	1.12	0.00	1.12	0.0	1.12
08/16/2016	BATTAGLINI, CHRIS	MFS UTILITIES C	0.00	1.19	0.00	1.19	0.0	1.19
09/15/2016	BATTAGLINI, CHRIS	MFS UTILITIES C	0.00	1.17	0.00	1.17	0.0	1.17
10/20/2016	BATTAGLINI, CHRIS	MFS UTILITIES C	0.00	1.13	0.00	1.13	0.0	1.13
11/14/2016	BATTAGLINI, CHRIS	MFS UTILITIES C	0.00	1.15	0.00	1.15	0.0	1.15
12/19/2016	BATTAGLINI, CHRIS	MFS UTILITIES C	0.00	1.07	0.00	1.07	0.0	1.07
* ANTHONY GUGLIELME SUBTOTAL *			\$0.00	\$95.11	\$0.00	\$95.11		\$95.11
<u> BROKER: B151-JASON/MARIA BAIRD/BONGIOVANNI #10 </u>								
/ /	WAX, LUBENA	BLK EQUITY DIVIDEND C	0.00	3.00	0.00	3.00	0.0	3.00
02/15/2018	WAX, LUBENA	BLK EQUITY DIVIDEND C	300.00	3.00	0.00	3.00	0.0	3.00
02/15/2018	DORAN, PATRICK	FA 529 PORT 2019 C	50.00	0.50	0.00	0.50	0.0	0.50
02/15/2018	LORA, MARCOS	FA 529 PORT 2022 C	150.00	1.50	0.00	1.50	0.0	1.50
02/15/2018	LORA, CATALINA	FA 529 PORT 2022 C	150.00	1.50	0.00	1.50	0.0	1.50
02/15/2018	DORAN, PATRICK	FA 529 PORT 2022 C	50.00	0.50	0.00	0.50	0.0	0.50
02/15/2018	MACUCH, PAUL	FA 529 PORT 2022 C	50.00	0.50	0.00	0.50	0.0	0.50
02/15/2018	LORA, ROLANDO	FA 529 PORT 2022 C	150.00	1.50	0.00	1.50	0.0	1.50
02/05/2018	STEINER, DANIEL	FA 529 PORT 2025 A	100.00	5.00	0.00	5.00	0.0	5.00
02/05/2018	STEINER, DANIEL	FA 529 PORT 2025 A	100.00	5.00	0.00	5.00	0.0	5.00
02/05/2018	BRYAN, TRICIA	FA 529 PORT 2028 A	120.00	6.00	0.00	6.00	0.0	6.00
/ /	BARBOUR, ELEANOR	FIDELITY ADVISOR 529 COLLEGE PORT C	0.00	10.00	0.00	10.00	0.0	10.00
* JIM LUND SUBTOTAL *			\$1,220.00	\$38.00	\$0.00	\$38.00		\$38.00
<u> BROKER: ROBERT CHESTER #21 </u>								
02/26/2016	MARVIN, CYNTHIA	BLK GLOBAL ALLOCATION A	0.00	0.37	0.00	0.37	0.0	0.37
03/23/2016	MARVIN, CYNTHIA	BLK GLOBAL ALLOCATION A	0.00	0.34	0.00	0.34	0.0	0.34

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u> OVERRIDE TRANSACTIONS </u>								
<u>BROKER: ROBERT CHESTER #21</u>								
04/27/2016	MARVIN, CYNTHIA	BLK GLOBAL ALLOCATION A	0.00	0.38	0.00	0.38	0.0	0.38
05/31/2016	MARVIN, CYNTHIA	BLK GLOBAL ALLOCATION A	0.00	0.38	0.00	0.38	0.0	0.38
06/27/2016	MARVIN, CYNTHIA	BLK GLOBAL ALLOCATION A	0.00	0.39	0.00	0.39	0.0	0.39
07/29/2016	MARVIN, CYNTHIA	BLK GLOBAL ALLOCATION A	0.00	0.37	0.00	0.37	0.0	0.37
08/30/2016	MARVIN, CYNTHIA	BLK GLOBAL ALLOCATION A	0.00	0.39	0.00	0.39	0.0	0.39
09/29/2016	MARVIN, CYNTHIA	BLK GLOBAL ALLOCATION A	0.00	0.40	0.00	0.40	0.0	0.40
10/27/2016	MARVIN, CYNTHIA	BLK GLOBAL ALLOCATION A	0.00	0.39	0.00	0.39	0.0	0.39
11/28/2016	MARVIN, CYNTHIA	BLK GLOBAL ALLOCATION A	0.00	0.40	0.00	0.40	0.0	0.40
12/21/2016	MARVIN, CYNTHIA	BLK GLOBAL ALLOCATION A	0.00	0.38	0.00	0.38	0.0	0.38
02/29/2016	DILTS, ERIC	BLK MANAGED VOLATILITY A	0.00	1.18	0.00	1.18	0.0	1.18
03/23/2016	DILTS, ERIC	BLK MANAGED VOLATILITY A	0.00	1.09	0.00	1.09	0.0	1.09
04/27/2016	DILTS, ERIC	BLK MANAGED VOLATILITY A	0.00	1.19	0.00	1.19	0.0	1.19
05/31/2016	DILTS, ERIC	BLK MANAGED VOLATILITY A	0.00	1.15	0.00	1.15	0.0	1.15
06/27/2016	DILTS, ERIC	BLK MANAGED VOLATILITY A	0.00	1.19	0.00	1.19	0.0	1.19
07/29/2016	DILTS, ERIC	BLK MANAGED VOLATILITY A	0.00	1.14	0.00	1.14	0.0	1.14
08/30/2016	DILTS, ERIC	BLK MANAGED VOLATILITY A	0.00	1.18	0.00	1.18	0.0	1.18
09/29/2016	DILTS, ERIC	BLK MANAGED VOLATILITY A	0.00	1.19	0.00	1.19	0.0	1.19
10/27/2016	DILTS, ERIC	BLK MANAGED VOLATILITY A	0.00	1.14	0.00	1.14	0.0	1.14
11/28/2016	DILTS, ERIC	BLK MANAGED VOLATILITY A	0.00	1.18	0.00	1.18	0.0	1.18
12/21/2016	DILTS, ERIC	BLK MANAGED VOLATILITY A	0.00	1.16	0.00	1.16	0.0	1.16
02/12/2016	MARVIN, CYNTHIA	SUNAMERICA FOCUSED DIVIDEND STRAT A	0.00	0.17	0.00	0.17	0.0	0.17
03/15/2016	MARVIN, CYNTHIA	SUNAMERICA FOCUSED DIVIDEND STRAT A	0.00	0.17	0.00	0.17	0.0	0.17
04/15/2016	MARVIN, CYNTHIA	SUNAMERICA FOCUSED DIVIDEND STRAT A	0.00	0.19	0.00	0.19	0.0	0.19
05/19/2016	MARVIN, CYNTHIA	SUNAMERICA FOCUSED DIVIDEND STRAT A	0.00	0.19	0.00	0.19	0.0	0.19
06/15/2016	MARVIN, CYNTHIA	SUNAMERICA FOCUSED DIVIDEND STRAT A	0.00	0.19	0.00	0.19	0.0	0.19
07/14/2016	MARVIN, CYNTHIA	SUNAMERICA FOCUSED DIVIDEND STRAT A	0.00	0.19	0.00	0.19	0.0	0.19
08/10/2016	MARVIN, CYNTHIA	SUNAMERICA FOCUSED DIVIDEND STRAT A	0.00	0.20	0.00	0.20	0.0	0.20
09/16/2016	MARVIN, CYNTHIA	SUNAMERICA FOCUSED DIVIDEND STRAT A	0.00	0.20	0.00	0.20	0.0	0.20
10/12/2016	MARVIN, CYNTHIA	SUNAMERICA FOCUSED DIVIDEND STRAT A	0.00	0.19	0.00	0.19	0.0	0.19
11/11/2016	MARVIN, CYNTHIA	SUNAMERICA FOCUSED DIVIDEND STRAT A	0.00	0.20	0.00	0.20	0.0	0.20
12/19/2016	MARVIN, CYNTHIA	SUNAMERICA FOCUSED DIVIDEND STRAT A	0.00	0.20	0.00	0.20	0.0	0.20
* ROBERT CHESTER SUBTOTAL *			\$0.00	\$19.07	\$0.00	\$19.07		\$19.07

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u> OVERRIDE TRANSACTIONS </u>								
<u>BROKER: EDWARD MCMANUS #25</u>								
02/16/2016	REESE, BARBARA	FRANKLIN HIGH INCOME C	0.00	6.04	0.00	6.04	0.0	6.04
03/16/2016	REESE, BARBARA	FRANKLIN HIGH INCOME C	0.00	5.47	0.00	5.47	0.0	5.47
04/15/2016	REESE, BARBARA	FRANKLIN HIGH INCOME C	0.00	6.15	0.00	6.15	0.0	6.15
05/13/2016	REESE, BARBARA	FRANKLIN HIGH INCOME C	0.00	6.07	0.00	6.07	0.0	6.07
06/14/2016	REESE, BARBARA	FRANKLIN HIGH INCOME C	0.00	6.39	0.00	6.39	0.0	6.39
07/14/2016	REESE, BARBARA	FRANKLIN HIGH INCOME C	0.00	6.27	0.00	6.27	0.0	6.27
08/15/2016	REESE, BARBARA	FRANKLIN HIGH INCOME C	0.00	6.66	0.00	6.66	0.0	6.66
09/14/2016	REESE, BARBARA	FRANKLIN HIGH INCOME C	0.00	6.77	0.00	6.77	0.0	6.77
10/18/2016	REESE, BARBARA	FRANKLIN HIGH INCOME C	0.00	6.61	0.00	6.61	0.0	6.61
11/15/2016	REESE, BARBARA	FRANKLIN HIGH INCOME C	0.00	6.93	0.00	6.93	0.0	6.93
12/16/2016	REESE, BARBARA	FRANKLIN HIGH INCOME C	0.00	6.58	0.00	6.58	0.0	6.58
02/16/2016	REESE, BARBARA	FRANKLIN INCOME C	0.00	6.28	0.00	6.28	0.0	6.28
03/16/2016	REESE, BARBARA	FRANKLIN INCOME C	0.00	5.81	0.00	5.81	0.0	5.81
04/15/2016	REESE, BARBARA	FRANKLIN INCOME C	0.00	6.55	0.00	6.55	0.0	6.55
05/13/2016	REESE, BARBARA	FRANKLIN INCOME C	0.00	6.49	0.00	6.49	0.0	6.49
06/14/2016	REESE, BARBARA	FRANKLIN INCOME C	0.00	6.72	0.00	6.72	0.0	6.72
07/14/2016	REESE, BARBARA	FRANKLIN INCOME C	0.00	6.55	0.00	6.55	0.0	6.55
08/15/2016	REESE, BARBARA	FRANKLIN INCOME C	0.00	6.95	0.00	6.95	0.0	6.95
09/14/2016	REESE, BARBARA	FRANKLIN INCOME C	0.00	7.01	0.00	7.01	0.0	7.01
10/18/2016	REESE, BARBARA	FRANKLIN INCOME C	0.00	6.77	0.00	6.77	0.0	6.77
11/15/2016	REESE, BARBARA	FRANKLIN INCOME C	0.00	7.02	0.00	7.02	0.0	7.02
12/16/2016	REESE, BARBARA	FRANKLIN INCOME C	0.00	6.74	0.00	6.74	0.0	6.74
02/24/2016	SPENCER FAMILY TRUST	PRINCIPAL FUNDS GLOBAL DIVERSIFIED	0.00	1.10	0.00	1.10	0.0	1.10
02/24/2016	MCGREW, JAMES	PRINCIPAL FUNDS GLOBAL DIVERSIFIED	0.00	1.89	0.00	1.89	0.0	1.89
03/23/2016	SPENCER FAMILY TRUST	PRINCIPAL FUNDS GLOBAL DIVERSIFIED	0.00	1.02	0.00	1.02	0.0	1.02
03/23/2016	MCGREW, JAMES	PRINCIPAL FUNDS GLOBAL DIVERSIFIED	0.00	1.76	0.00	1.76	0.0	1.76
04/19/2016	SPENCER FAMILY TRUST	PRINCIPAL FUNDS GLOBAL DIVERSIFIED	0.00	1.13	0.00	1.13	0.0	1.13
04/19/2016	MCGREW, JAMES	PRINCIPAL FUNDS GLOBAL DIVERSIFIED	0.00	1.95	0.00	1.95	0.0	1.95
05/18/2016	SPENCER FAMILY TRUST	PRINCIPAL FUNDS GLOBAL DIVERSIFIED	0.00	1.11	0.00	1.11	0.0	1.11
05/18/2016	MCGREW, JAMES	PRINCIPAL FUNDS GLOBAL DIVERSIFIED	0.00	1.92	0.00	1.92	0.0	1.92
06/20/2016	SPENCER FAMILY TRUST	PRINCIPAL FUNDS GLOBAL DIVERSIFIED	0.00	1.16	0.00	1.16	0.0	1.16
06/20/2016	MCGREW, JAMES	PRINCIPAL FUNDS GLOBAL DIVERSIFIED	0.00	2.00	0.00	2.00	0.0	2.00
07/19/2016	SPENCER FAMILY TRUST	PRINCIPAL FUNDS GLOBAL DIVERSIFIED	0.00	1.13	0.00	1.13	0.0	1.13

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<u> OVERRIDE TRANSACTIONS </u>								
<u>BROKER: EDWARD MCMANUS #25</u>								
07/19/2016	MCGREW, JAMES	PRINCIPAL FUNDS GLOBAL DIVERSIFIED	0.00	1.96	0.00	1.96	0.0	1.96
08/17/2016	SPENCER FAMILY TRUST	PRINCIPAL FUNDS GLOBAL DIVERSIFIED	0.00	1.20	0.00	1.20	0.0	1.20
08/17/2016	MCGREW, JAMES	PRINCIPAL FUNDS GLOBAL DIVERSIFIED	0.00	2.07	0.00	2.07	0.0	2.07
09/19/2016	SPENCER FAMILY TRUST	PRINCIPAL FUNDS GLOBAL DIVERSIFIED	0.00	1.21	0.00	1.21	0.0	1.21
09/19/2016	MCGREW, JAMES	PRINCIPAL FUNDS GLOBAL DIVERSIFIED	0.00	2.10	0.00	2.10	0.0	2.10
10/18/2016	SPENCER FAMILY TRUST	PRINCIPAL FUNDS GLOBAL DIVERSIFIED	0.00	1.18	0.00	1.18	0.0	1.18
10/18/2016	MCGREW, JAMES	PRINCIPAL FUNDS GLOBAL DIVERSIFIED	0.00	2.04	0.00	2.04	0.0	2.04
11/18/2016	SPENCER FAMILY TRUST	PRINCIPAL FUNDS GLOBAL DIVERSIFIED	0.00	1.22	0.00	1.22	0.0	1.22
11/18/2016	MCGREW, JAMES	PRINCIPAL FUNDS GLOBAL DIVERSIFIED	0.00	2.11	0.00	2.11	0.0	2.11
12/19/2016	SPENCER FAMILY TRUST	PRINCIPAL FUNDS GLOBAL DIVERSIFIED	0.00	1.17	0.00	1.17	0.0	1.17
12/19/2016	MCGREW, JAMES	PRINCIPAL FUNDS GLOBAL DIVERSIFIED	0.00	2.01	0.00	2.01	0.0	2.01
02/12/2016	TEMPLE, GORDON	RESOURCE R E DIVERSIFIED INC FUND A	0.00	0.94	0.00	0.94	0.0	0.94
03/14/2016	TEMPLE, GORDON	RESOURCE R E DIVERSIFIED INC FUND A	0.00	0.86	0.00	0.86	0.0	0.86
04/18/2016	TEMPLE, GORDON	RESOURCE R E DIVERSIFIED INC FUND A	0.00	0.95	0.00	0.95	0.0	0.95
05/16/2016	TEMPLE, GORDON	RESOURCE R E DIVERSIFIED INC FUND A	0.00	0.95	0.00	0.95	0.0	0.95
06/16/2016	TEMPLE, GORDON	RESOURCE R E DIVERSIFIED INC FUND A	0.00	0.99	0.00	0.99	0.0	0.99
07/18/2016	TEMPLE, GORDON	RESOURCE R E DIVERSIFIED INC FUND A	0.00	0.97	0.00	0.97	0.0	0.97
08/15/2016	TEMPLE, GORDON	RESOURCE R E DIVERSIFIED INC FUND A	0.00	1.05	0.00	1.05	0.0	1.05
09/15/2016	TEMPLE, GORDON	RESOURCE R E DIVERSIFIED INC FUND A	0.00	1.07	0.00	1.07	0.0	1.07
10/17/2016	TEMPLE, GORDON	RESOURCE R E DIVERSIFIED INC FUND A	0.00	1.04	0.00	1.04	0.0	1.04
11/17/2016	TEMPLE, GORDON	RESOURCE R E DIVERSIFIED INC FUND A	0.00	1.07	0.00	1.07	0.0	1.07
12/14/2016	TEMPLE, GORDON	RESOURCE R E DIVERSIFIED INC FUND A	0.00	1.02	0.00	1.02	0.0	1.02
02/10/2016	REESE, BARBARA	THE MULTI-STRATEGY GROWTH & INCOME	0.00	21.61	0.00	21.61	0.0	21.61
03/07/2016	REESE, BARBARA	THE MULTI-STRATEGY GROWTH & INCOME	0.00	22.68	0.00	22.68	0.0	22.68
04/13/2016	REESE, BARBARA	THE MULTI-STRATEGY GROWTH & INCOME	0.00	23.13	0.00	23.13	0.0	23.13
05/09/2016	REESE, BARBARA	THE MULTI-STRATEGY GROWTH & INCOME	0.00	21.68	0.00	21.68	0.0	21.68
06/09/2016	REESE, BARBARA	THE MULTI-STRATEGY GROWTH & INCOME	0.00	23.88	0.00	23.88	0.0	23.88
07/13/2016	REESE, BARBARA	THE MULTI-STRATEGY GROWTH & INCOME	0.00	22.57	0.00	22.57	0.0	22.57
08/11/2016	REESE, BARBARA	THE MULTI-STRATEGY GROWTH & INCOME	0.00	23.59	0.00	23.59	0.0	23.59
09/22/2016	REESE, BARBARA	THE MULTI-STRATEGY GROWTH & INCOME	0.00	23.67	0.00	23.67	0.0	23.67
10/14/2016	REESE, BARBARA	THE MULTI-STRATEGY GROWTH & INCOME	0.00	22.80	0.00	22.80	0.0	22.80
11/14/2016	REESE, BARBARA	THE MULTI-STRATEGY GROWTH & INCOME	0.00	23.37	0.00	23.37	0.0	23.37
12/12/2016	REESE, BARBARA	THE MULTI-STRATEGY GROWTH & INCOME	0.00	22.39	0.00	22.39	0.0	22.39

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<u> OVERRIDE TRANSACTIONS </u>								
<u> BROKER: THOMAS BOAKS #33 </u>								
* EDWARD MCMANUS SUBTOTAL *			\$0.00	\$439.55	\$0.00	\$439.55		\$439.55
<u> BROKER: THOMAS BOAKS #33 </u>								
/ /	SKIBA, TODD	BLK GLOBAL ALLOCATION A	0.00	6.87	0.00	6.87	0.0	6.87
01/31/2018	WITT-AMANS	BLK GLOBAL ALLOCATION A	0.00	0.35	0.00	0.35	0.0	0.35
01/31/2018	PITTE, JOELA	BLK GLOBAL ALLOCATION A	0.00	2.33	0.00	2.33	0.0	2.33
01/30/2018	JACKSON, MATTHEW	DAVIS NEW YORK VENTURE C	30.00	0.30	0.00	0.30	0.0	0.30
01/31/2018	PUDIL, HSIU CHIN	GENWORTH VA	495.56	0.08	0.00	0.08	0.0	0.08
01/31/2018	LASALLE, BARBARA	GENWORTH VA	351,301.54	292.75	0.00	292.75	0.0	292.75
01/31/2018	GEORGE, CAROLE	GENWORTH VA	164,741.76	137.28	0.00	137.28	0.0	137.28
02/16/2018	POHL, JEANNETTE	OHIO NATL ONCORE FLEX	23,859.61	59.65	0.00	59.65	0.0	59.65
* THOMAS BOAKS SUBTOTAL *			\$540,428.47	\$499.61	\$0.00	\$499.61		\$499.61
<u> BROKER: BARTHOLOMEW MACKLER #35 </u>								
02/05/2018	MUNACO, FRANK	COLUMBIA SELIGMAN COMM AND INFO A	0.00	20.65	0.00	20.65	0.0	20.65
02/05/2018	MARSH, JANICE	COLUMBIA SELIGMAN COMM AND INFO A	0.00	9.10	0.00	9.10	0.0	9.10
02/05/2018	MARSH/SEP, GARY	COLUMBIA SELIGMAN COMM AND INFO A	0.00	9.03	0.00	9.03	0.0	9.03
02/14/2018	SNYDER, MICHAEL C	PAC LIFE VUL	65.00	0.65	0.00	0.65	0.0	0.65
* BARTHOLOMEW MACKLER SUBTOTAL *			\$65.00	\$39.43	\$0.00	\$39.43		\$39.43
<u> BROKER: MELANIE DICENSO #43 </u>								
02/16/2016	BEATTY, LILLIAN	AM FUNDS BOND FUND OF AMERICA C	0.00	3.32	0.00	3.32	0.0	3.32
03/15/2016	BEATTY, LILLIAN	AM FUNDS BOND FUND OF AMERICA C	0.00	3.13	0.00	3.13	0.0	3.13
04/20/2016	BEATTY, LILLIAN	AM FUNDS BOND FUND OF AMERICA C	0.00	3.36	0.00	3.36	0.0	3.36
05/16/2016	BEATTY, LILLIAN	AM FUNDS BOND FUND OF AMERICA C	0.00	2.96	0.00	2.96	0.0	2.96
02/16/2016	BEATTY, MATTHEW	AM FUNDS BOND FUND OF AMERICA F1	0.00	5.87	0.00	5.87	0.0	5.87
03/15/2016	BEATTY, MATTHEW	AM FUNDS BOND FUND OF AMERICA F1	0.00	5.54	0.00	5.54	0.0	5.54
04/20/2016	BEATTY, MATTHEW	AM FUNDS BOND FUND OF AMERICA F1	0.00	5.94	0.00	5.94	0.0	5.94
05/16/2016	BEATTY, MATTHEW	AM FUNDS BOND FUND OF AMERICA F1	0.00	5.83	0.00	5.83	0.0	5.83
06/15/2016	BEATTY, MATTHEW	AM FUNDS BOND FUND OF AMERICA F1	0.00	6.03	0.00	6.03	0.0	6.03
07/18/2016	BEATTY, MATTHEW	AM FUNDS BOND FUND OF AMERICA F1	0.00	5.89	0.00	5.89	0.0	5.89
08/15/2016	BEATTY, MATTHEW	AM FUNDS BOND FUND OF AMERICA F1	0.00	6.15	0.00	6.15	0.0	6.15
09/16/2016	BEATTY, MATTHEW	AM FUNDS BOND FUND OF AMERICA F1	0.00	6.15	0.00	6.15	0.0	6.15
10/17/2016	BEATTY, MATTHEW	AM FUNDS BOND FUND OF AMERICA F1	0.00	5.95	0.00	5.95	0.0	5.95
11/18/2016	BEATTY, MATTHEW	AM FUNDS BOND FUND OF AMERICA F1	0.00	6.14	0.00	6.14	0.0	6.14

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<u> OVERRIDE TRANSACTIONS </u>								
<u>BROKER: MELANIE DICENSO #43</u>								
12/15/2016	BEATTY, MATTHEW	AM FUNDS BOND FUND OF AMERICA F1	0.00	5.85	0.00	5.85	0.0	5.85
02/16/2016	BEATTY, MATTHEW	AM FUNDS EUROPACIFIC GROWTH FUND F1	0.00	2.77	0.00	2.77	0.0	2.77
03/15/2016	BEATTY, MATTHEW	AM FUNDS EUROPACIFIC GROWTH FUND F1	0.00	2.49	0.00	2.49	0.0	2.49
04/20/2016	BEATTY, MATTHEW	AM FUNDS EUROPACIFIC GROWTH FUND F1	0.00	2.84	0.00	2.84	0.0	2.84
05/16/2016	BEATTY, MATTHEW	AM FUNDS EUROPACIFIC GROWTH FUND F1	0.00	2.81	0.00	2.81	0.0	2.81
06/15/2016	BEATTY, MATTHEW	AM FUNDS EUROPACIFIC GROWTH FUND F1	0.00	2.88	0.00	2.88	0.0	2.88
07/18/2016	BEATTY, MATTHEW	AM FUNDS EUROPACIFIC GROWTH FUND F1	0.00	2.79	0.00	2.79	0.0	2.79
08/15/2016	BEATTY, MATTHEW	AM FUNDS EUROPACIFIC GROWTH FUND F1	0.00	2.94	0.00	2.94	0.0	2.94
09/16/2016	BEATTY, MATTHEW	AM FUNDS EUROPACIFIC GROWTH FUND F1	0.00	3.05	0.00	3.05	0.0	3.05
10/17/2016	BEATTY, MATTHEW	AM FUNDS EUROPACIFIC GROWTH FUND F1	0.00	3.00	0.00	3.00	0.0	3.00
11/18/2016	BEATTY, MATTHEW	AM FUNDS EUROPACIFIC GROWTH FUND F1	0.00	3.07	0.00	3.07	0.0	3.07
12/15/2016	BEATTY, MATTHEW	AM FUNDS EUROPACIFIC GROWTH FUND F1	0.00	2.86	0.00	2.86	0.0	2.86
02/16/2016	BEATTY, LILLIAN	FRANKLIN MUTUAL GLOBAL DISCOVERY C	0.00	9.05	0.00	9.05	0.0	9.05
03/16/2016	BEATTY, LILLIAN	FRANKLIN MUTUAL GLOBAL DISCOVERY C	0.00	8.21	0.00	8.21	0.0	8.21
04/15/2016	BEATTY, LILLIAN	FRANKLIN MUTUAL GLOBAL DISCOVERY C	0.00	9.33	0.00	9.33	0.0	9.33
05/13/2016	BEATTY, LILLIAN	FRANKLIN MUTUAL GLOBAL DISCOVERY C	0.00	8.30	0.00	8.30	0.0	8.30
* MELANIE DICENSO SUBTOTAL *			\$0.00	\$144.50	\$0.00	\$144.50		\$144.50
<u>BROKER: JOHN BEAN #45</u>								
02/16/2016	HASENAUER, CAROL	AM FUNDS AMERICAN BALANCED A	0.00	4.74	0.00	4.74	0.0	4.74
02/16/2016	HASENAUER, CAROL	AM FUNDS AMERICAN BALANCED A	0.00	0.91	0.00	0.91	0.0	0.91
03/15/2016	HASENAUER, CAROL	AM FUNDS AMERICAN BALANCED A	0.00	5.27	0.00	5.27	0.0	5.27
04/20/2016	HASENAUER, CAROL	AM FUNDS AMERICAN BALANCED A	0.00	5.87	0.00	5.87	0.0	5.87
05/16/2016	HASENAUER, CAROL	AM FUNDS AMERICAN BALANCED A	0.00	4.84	0.00	4.84	0.0	4.84
02/16/2016	HODGE, WENDY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.29	0.00	0.29	0.0	0.29
02/16/2016	DANIEL, GREGORY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.06	0.00	0.06	0.0	0.06
02/16/2016	DANIEL, MILLER	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.06	0.00	0.06	0.0	0.06
02/16/2016	DANIEL, GREGORY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.06	0.00	0.06	0.0	0.06
03/15/2016	HODGE, WENDY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.27	0.00	0.27	0.0	0.27
03/15/2016	DANIEL, GREGORY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.05	0.00	0.05	0.0	0.05
03/15/2016	DANIEL, MILLER	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.05	0.00	0.05	0.0	0.05
03/15/2016	DANIEL, GREGORY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.05	0.00	0.05	0.0	0.05
04/20/2016	HODGE, WENDY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.30	0.00	0.30	0.0	0.30
04/20/2016	DANIEL, GREGORY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.06	0.00	0.06	0.0	0.06

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^Date - Split Trade - full Investment Amount & Gross Commission displayed

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u> OVERRIDE TRANSACTIONS </u>								
<u> BROKER: JOHN BEAN #45 </u>								
04/20/2016	DANIEL, MILLER	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.06	0.00	0.06	0.0	0.06
04/20/2016	DANIEL, GREGORY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.06	0.00	0.06	0.0	0.06
05/16/2016	HODGE, WENDY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.30	0.00	0.30	0.0	0.30
05/16/2016	DANIEL, GREGORY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.06	0.00	0.06	0.0	0.06
05/16/2016	DANIEL, MILLER	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.06	0.00	0.06	0.0	0.06
05/16/2016	DANIEL, GREGORY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.06	0.00	0.06	0.0	0.06
06/15/2016	HODGE, WENDY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.31	0.00	0.31	0.0	0.31
06/15/2016	DANIEL, GREGORY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.06	0.00	0.06	0.0	0.06
06/15/2016	DANIEL, MILLER	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.06	0.00	0.06	0.0	0.06
06/15/2016	DANIEL, GREGORY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.06	0.00	0.06	0.0	0.06
07/18/2016	HODGE, WENDY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.30	0.00	0.30	0.0	0.30
07/18/2016	DANIEL, GREGORY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.06	0.00	0.06	0.0	0.06
07/18/2016	DANIEL, MILLER	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.06	0.00	0.06	0.0	0.06
07/18/2016	DANIEL, GREGORY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.06	0.00	0.06	0.0	0.06
08/15/2016	HODGE, WENDY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.32	0.00	0.32	0.0	0.32
08/15/2016	DANIEL, GREGORY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.06	0.00	0.06	0.0	0.06
08/15/2016	DANIEL, MILLER	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.06	0.00	0.06	0.0	0.06
08/15/2016	DANIEL, GREGORY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.06	0.00	0.06	0.0	0.06
09/16/2016	HODGE, WENDY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.32	0.00	0.32	0.0	0.32
09/16/2016	DANIEL, GREGORY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.07	0.00	0.07	0.0	0.07
09/16/2016	DANIEL, MILLER	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.07	0.00	0.07	0.0	0.07
09/16/2016	DANIEL, GREGORY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.07	0.00	0.07	0.0	0.07
10/17/2016	HODGE, WENDY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.31	0.00	0.31	0.0	0.31
10/17/2016	DANIEL, GREGORY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.06	0.00	0.06	0.0	0.06
10/17/2016	DANIEL, MILLER	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.06	0.00	0.06	0.0	0.06
10/17/2016	DANIEL, GREGORY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.06	0.00	0.06	0.0	0.06
11/18/2016	HODGE, WENDY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.32	0.00	0.32	0.0	0.32
11/18/2016	DANIEL, GREGORY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.06	0.00	0.06	0.0	0.06
11/18/2016	DANIEL, MILLER	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.06	0.00	0.06	0.0	0.06
11/18/2016	DANIEL, GREGORY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.06	0.00	0.06	0.0	0.06
12/15/2016	HODGE, WENDY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.30	0.00	0.30	0.0	0.30
12/15/2016	DANIEL, GREGORY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.06	0.00	0.06	0.0	0.06
12/15/2016	DANIEL, MILLER	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.06	0.00	0.06	0.0	0.06

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u> OVERRIDE TRANSACTIONS </u>								
<u> BROKER: JOHN BEAN #45 </u>								
12/15/2016	DANIEL, GREGORY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.06	0.00	0.06	0.0	0.06
02/16/2016	HODGE, WENDY	AM FUNDS CAPITAL WORLD BOND A	0.00	0.25	0.00	0.25	0.0	0.25
02/16/2016	DANIEL, GREGORY	AM FUNDS CAPITAL WORLD BOND A	0.00	0.05	0.00	0.05	0.0	0.05
02/16/2016	DANIEL, MILLER	AM FUNDS CAPITAL WORLD BOND A	0.00	0.05	0.00	0.05	0.0	0.05
02/16/2016	DANIEL, GREGORY	AM FUNDS CAPITAL WORLD BOND A	0.00	0.05	0.00	0.05	0.0	0.05
03/15/2016	HODGE, WENDY	AM FUNDS CAPITAL WORLD BOND A	0.00	0.24	0.00	0.24	0.0	0.24
03/15/2016	DANIEL, GREGORY	AM FUNDS CAPITAL WORLD BOND A	0.00	0.05	0.00	0.05	0.0	0.05
03/15/2016	DANIEL, MILLER	AM FUNDS CAPITAL WORLD BOND A	0.00	0.05	0.00	0.05	0.0	0.05
03/15/2016	DANIEL, GREGORY	AM FUNDS CAPITAL WORLD BOND A	0.00	0.05	0.00	0.05	0.0	0.05
04/20/2016	HODGE, WENDY	AM FUNDS CAPITAL WORLD BOND A	0.00	0.26	0.00	0.26	0.0	0.26
04/20/2016	DANIEL, GREGORY	AM FUNDS CAPITAL WORLD BOND A	0.00	0.05	0.00	0.05	0.0	0.05
04/20/2016	DANIEL, MILLER	AM FUNDS CAPITAL WORLD BOND A	0.00	0.05	0.00	0.05	0.0	0.05
04/20/2016	DANIEL, GREGORY	AM FUNDS CAPITAL WORLD BOND A	0.00	0.05	0.00	0.05	0.0	0.05
05/16/2016	HODGE, WENDY	AM FUNDS CAPITAL WORLD BOND A	0.00	0.26	0.00	0.26	0.0	0.26
05/16/2016	DANIEL, GREGORY	AM FUNDS CAPITAL WORLD BOND A	0.00	0.05	0.00	0.05	0.0	0.05
05/16/2016	DANIEL, MILLER	AM FUNDS CAPITAL WORLD BOND A	0.00	0.05	0.00	0.05	0.0	0.05
05/16/2016	DANIEL, GREGORY	AM FUNDS CAPITAL WORLD BOND A	0.00	0.05	0.00	0.05	0.0	0.05
06/15/2016	HODGE, WENDY	AM FUNDS CAPITAL WORLD BOND A	0.00	0.27	0.00	0.27	0.0	0.27
06/15/2016	DANIEL, GREGORY	AM FUNDS CAPITAL WORLD BOND A	0.00	0.05	0.00	0.05	0.0	0.05
06/15/2016	DANIEL, MILLER	AM FUNDS CAPITAL WORLD BOND A	0.00	0.05	0.00	0.05	0.0	0.05
06/15/2016	DANIEL, GREGORY	AM FUNDS CAPITAL WORLD BOND A	0.00	0.05	0.00	0.05	0.0	0.05
07/18/2016	HODGE, WENDY	AM FUNDS CAPITAL WORLD BOND A	0.00	0.26	0.00	0.26	0.0	0.26
07/18/2016	DANIEL, GREGORY	AM FUNDS CAPITAL WORLD BOND A	0.00	0.05	0.00	0.05	0.0	0.05
07/18/2016	DANIEL, MILLER	AM FUNDS CAPITAL WORLD BOND A	0.00	0.05	0.00	0.05	0.0	0.05
07/18/2016	DANIEL, GREGORY	AM FUNDS CAPITAL WORLD BOND A	0.00	0.05	0.00	0.05	0.0	0.05
08/15/2016	HODGE, WENDY	AM FUNDS CAPITAL WORLD BOND A	0.00	0.27	0.00	0.27	0.0	0.27
08/15/2016	DANIEL, GREGORY	AM FUNDS CAPITAL WORLD BOND A	0.00	0.06	0.00	0.06	0.0	0.06
08/15/2016	DANIEL, MILLER	AM FUNDS CAPITAL WORLD BOND A	0.00	0.06	0.00	0.06	0.0	0.06
08/15/2016	DANIEL, GREGORY	AM FUNDS CAPITAL WORLD BOND A	0.00	0.06	0.00	0.06	0.0	0.06
09/16/2016	HODGE, WENDY	AM FUNDS CAPITAL WORLD BOND A	0.00	0.28	0.00	0.28	0.0	0.28
09/16/2016	DANIEL, GREGORY	AM FUNDS CAPITAL WORLD BOND A	0.00	0.06	0.00	0.06	0.0	0.06
09/16/2016	DANIEL, MILLER	AM FUNDS CAPITAL WORLD BOND A	0.00	0.06	0.00	0.06	0.0	0.06
09/16/2016	DANIEL, GREGORY	AM FUNDS CAPITAL WORLD BOND A	0.00	0.06	0.00	0.06	0.0	0.06

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u> OVERRIDE TRANSACTIONS </u>								
<u>BROKER: JOHN BEAN #45</u>								
10/17/2016	HODGE, WENDY	AM FUNDS CAPITAL WORLD BOND A	0.00	0.27	0.00	0.27	0.0	0.27
10/17/2016	DANIEL, GREGORY	AM FUNDS CAPITAL WORLD BOND A	0.00	0.05	0.00	0.05	0.0	0.05
10/17/2016	DANIEL, MILLER	AM FUNDS CAPITAL WORLD BOND A	0.00	0.05	0.00	0.05	0.0	0.05
10/17/2016	DANIEL, GREGORY	AM FUNDS CAPITAL WORLD BOND A	0.00	0.05	0.00	0.05	0.0	0.05
11/18/2016	HODGE, WENDY	AM FUNDS CAPITAL WORLD BOND A	0.00	0.27	0.00	0.27	0.0	0.27
11/18/2016	DANIEL, GREGORY	AM FUNDS CAPITAL WORLD BOND A	0.00	0.06	0.00	0.06	0.0	0.06
11/18/2016	DANIEL, MILLER	AM FUNDS CAPITAL WORLD BOND A	0.00	0.06	0.00	0.06	0.0	0.06
11/18/2016	DANIEL, GREGORY	AM FUNDS CAPITAL WORLD BOND A	0.00	0.06	0.00	0.06	0.0	0.06
12/15/2016	HODGE, WENDY	AM FUNDS CAPITAL WORLD BOND A	0.00	0.26	0.00	0.26	0.0	0.26
12/15/2016	DANIEL, GREGORY	AM FUNDS CAPITAL WORLD BOND A	0.00	0.05	0.00	0.05	0.0	0.05
12/15/2016	DANIEL, MILLER	AM FUNDS CAPITAL WORLD BOND A	0.00	0.05	0.00	0.05	0.0	0.05
12/15/2016	DANIEL, GREGORY	AM FUNDS CAPITAL WORLD BOND A	0.00	0.05	0.00	0.05	0.0	0.05
02/16/2016	HODGE, WENDY	AM FUNDS NEW PERSPECTIVE A	0.00	0.63	0.00	0.63	0.0	0.63
02/16/2016	DANIEL, GREGORY	AM FUNDS NEW PERSPECTIVE A	0.00	0.13	0.00	0.13	0.0	0.13
02/16/2016	DANIEL, MILLER	AM FUNDS NEW PERSPECTIVE A	0.00	0.13	0.00	0.13	0.0	0.13
02/16/2016	DANIEL, GREGORY	AM FUNDS NEW PERSPECTIVE A	0.00	0.13	0.00	0.13	0.0	0.13
03/15/2016	HODGE, WENDY	AM FUNDS NEW PERSPECTIVE A	0.00	0.56	0.00	0.56	0.0	0.56
03/15/2016	DANIEL, GREGORY	AM FUNDS NEW PERSPECTIVE A	0.00	0.11	0.00	0.11	0.0	0.11
03/15/2016	DANIEL, MILLER	AM FUNDS NEW PERSPECTIVE A	0.00	0.11	0.00	0.11	0.0	0.11
03/15/2016	DANIEL, GREGORY	AM FUNDS NEW PERSPECTIVE A	0.00	0.11	0.00	0.11	0.0	0.11
04/20/2016	HODGE, WENDY	AM FUNDS NEW PERSPECTIVE A	0.00	0.64	0.00	0.64	0.0	0.64
04/20/2016	DANIEL, GREGORY	AM FUNDS NEW PERSPECTIVE A	0.00	0.13	0.00	0.13	0.0	0.13
04/20/2016	DANIEL, MILLER	AM FUNDS NEW PERSPECTIVE A	0.00	0.13	0.00	0.13	0.0	0.13
04/20/2016	DANIEL, GREGORY	AM FUNDS NEW PERSPECTIVE A	0.00	0.13	0.00	0.13	0.0	0.13
05/16/2016	HODGE, WENDY	AM FUNDS NEW PERSPECTIVE A	0.00	0.64	0.00	0.64	0.0	0.64
05/16/2016	DANIEL, GREGORY	AM FUNDS NEW PERSPECTIVE A	0.00	0.13	0.00	0.13	0.0	0.13
05/16/2016	DANIEL, MILLER	AM FUNDS NEW PERSPECTIVE A	0.00	0.13	0.00	0.13	0.0	0.13
05/16/2016	DANIEL, GREGORY	AM FUNDS NEW PERSPECTIVE A	0.00	0.13	0.00	0.13	0.0	0.13
06/15/2016	HODGE, WENDY	AM FUNDS NEW PERSPECTIVE A	0.00	0.65	0.00	0.65	0.0	0.65
06/15/2016	DANIEL, GREGORY	AM FUNDS NEW PERSPECTIVE A	0.00	0.13	0.00	0.13	0.0	0.13
06/15/2016	DANIEL, MILLER	AM FUNDS NEW PERSPECTIVE A	0.00	0.13	0.00	0.13	0.0	0.13
06/15/2016	DANIEL, GREGORY	AM FUNDS NEW PERSPECTIVE A	0.00	0.13	0.00	0.13	0.0	0.13
07/18/2016	HODGE, WENDY	AM FUNDS NEW PERSPECTIVE A	0.00	0.64	0.00	0.64	0.0	0.64

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u> OVERRIDE TRANSACTIONS </u>								
BROKER: JOHN BEAN #45								
07/18/2016	DANIEL, GREGORY	AM FUNDS NEW PERSPECTIVE A	0.00	0.13	0.00	0.13	0.0	0.13
07/18/2016	DANIEL, MILLER	AM FUNDS NEW PERSPECTIVE A	0.00	0.13	0.00	0.13	0.0	0.13
07/18/2016	DANIEL, GREGORY	AM FUNDS NEW PERSPECTIVE A	0.00	0.13	0.00	0.13	0.0	0.13
08/15/2016	HODGE, WENDY	AM FUNDS NEW PERSPECTIVE A	0.00	0.67	0.00	0.67	0.0	0.67
08/15/2016	DANIEL, GREGORY	AM FUNDS NEW PERSPECTIVE A	0.00	0.14	0.00	0.14	0.0	0.14
08/15/2016	DANIEL, MILLER	AM FUNDS NEW PERSPECTIVE A	0.00	0.14	0.00	0.14	0.0	0.14
08/15/2016	DANIEL, GREGORY	AM FUNDS NEW PERSPECTIVE A	0.00	0.14	0.00	0.14	0.0	0.14
09/16/2016	HODGE, WENDY	AM FUNDS NEW PERSPECTIVE A	0.00	0.69	0.00	0.69	0.0	0.69
09/16/2016	DANIEL, GREGORY	AM FUNDS NEW PERSPECTIVE A	0.00	0.14	0.00	0.14	0.0	0.14
09/16/2016	DANIEL, MILLER	AM FUNDS NEW PERSPECTIVE A	0.00	0.14	0.00	0.14	0.0	0.14
09/16/2016	DANIEL, GREGORY	AM FUNDS NEW PERSPECTIVE A	0.00	0.14	0.00	0.14	0.0	0.14
10/17/2016	HODGE, WENDY	AM FUNDS NEW PERSPECTIVE A	0.00	0.67	0.00	0.67	0.0	0.67
10/17/2016	DANIEL, GREGORY	AM FUNDS NEW PERSPECTIVE A	0.00	0.14	0.00	0.14	0.0	0.14
10/17/2016	DANIEL, MILLER	AM FUNDS NEW PERSPECTIVE A	0.00	0.14	0.00	0.14	0.0	0.14
10/17/2016	DANIEL, GREGORY	AM FUNDS NEW PERSPECTIVE A	0.00	0.14	0.00	0.14	0.0	0.14
11/18/2016	HODGE, WENDY	AM FUNDS NEW PERSPECTIVE A	0.00	0.69	0.00	0.69	0.0	0.69
11/18/2016	DANIEL, GREGORY	AM FUNDS NEW PERSPECTIVE A	0.00	0.14	0.00	0.14	0.0	0.14
11/18/2016	DANIEL, MILLER	AM FUNDS NEW PERSPECTIVE A	0.00	0.14	0.00	0.14	0.0	0.14
11/18/2016	DANIEL, GREGORY	AM FUNDS NEW PERSPECTIVE A	0.00	0.14	0.00	0.14	0.0	0.14
12/15/2016	HODGE, WENDY	AM FUNDS NEW PERSPECTIVE A	0.00	0.65	0.00	0.65	0.0	0.65
12/15/2016	DANIEL, GREGORY	AM FUNDS NEW PERSPECTIVE A	0.00	0.13	0.00	0.13	0.0	0.13
12/15/2016	DANIEL, MILLER	AM FUNDS NEW PERSPECTIVE A	0.00	0.13	0.00	0.13	0.0	0.13
12/15/2016	DANIEL, GREGORY	AM FUNDS NEW PERSPECTIVE A	0.00	0.13	0.00	0.13	0.0	0.13
02/19/2016	HASENAUER, CAROL	CALAMOS EVOLVING WORLD GROWTH A	0.00	0.17	0.00	0.17	0.0	0.17
02/19/2016	HASENAUER, CAROL	CALAMOS EVOLVING WORLD GROWTH A	0.00	0.15	0.00	0.15	0.0	0.15
02/19/2016	HASENAUER, CAROL	CALAMOS EVOLVING WORLD GROWTH A	0.00	0.03	0.00	0.03	0.0	0.03
03/17/2016	HASENAUER, CAROL	CALAMOS EVOLVING WORLD GROWTH A	0.00	0.16	0.00	0.16	0.0	0.16
03/17/2016	HASENAUER, CAROL	CALAMOS EVOLVING WORLD GROWTH A	0.00	0.16	0.00	0.16	0.0	0.16
04/20/2016	HASENAUER, CAROL	CALAMOS EVOLVING WORLD GROWTH A	0.00	0.18	0.00	0.18	0.0	0.18
04/20/2016	HASENAUER, CAROL	CALAMOS EVOLVING WORLD GROWTH A	0.00	0.09	0.00	0.09	0.0	0.09
05/19/2016	HASENAUER, CAROL	CALAMOS EVOLVING WORLD GROWTH A	0.00	0.18	0.00	0.18	0.0	0.18
06/16/2016	HASENAUER, CAROL	CALAMOS EVOLVING WORLD GROWTH A	0.00	0.18	0.00	0.18	0.0	0.18
07/21/2016	HASENAUER, CAROL	CALAMOS EVOLVING WORLD GROWTH A	0.00	0.18	0.00	0.18	0.0	0.18

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u> OVERRIDE TRANSACTIONS </u>								
<u> BROKER: JOHN BEAN #45 </u>								
08/19/2016	HASENAUER, CAROL	CALAMOS EVOLVING WORLD GROWTH A	0.00	0.19	0.00	0.19	0.0	0.19
09/21/2016	HASENAUER, CAROL	CALAMOS EVOLVING WORLD GROWTH A	0.00	0.20	0.00	0.20	0.0	0.20
10/21/2016	HASENAUER, CAROL	CALAMOS EVOLVING WORLD GROWTH A	0.00	0.19	0.00	0.19	0.0	0.19
11/18/2016	HASENAUER, CAROL	CALAMOS EVOLVING WORLD GROWTH A	0.00	0.20	0.00	0.20	0.0	0.20
12/20/2016	HASENAUER, CAROL	CALAMOS EVOLVING WORLD GROWTH A	0.00	0.18	0.00	0.18	0.0	0.18
02/19/2016	HASENAUER, CAROL	CALAMOS HIGH INCOME A	0.00	0.11	0.00	0.11	0.0	0.11
02/19/2016	HASENAUER, CAROL	CALAMOS HIGH INCOME A	0.00	0.18	0.00	0.18	0.0	0.18
02/19/2016	HODGE, WENDY	CALAMOS HIGH INCOME A	0.00	0.15	0.00	0.15	0.0	0.15
02/19/2016	HASENAUER, CAROL	CALAMOS HIGH INCOME A	0.00	0.03	0.00	0.03	0.0	0.03
03/17/2016	HASENAUER, CAROL	CALAMOS HIGH INCOME A	0.00	0.10	0.00	0.10	0.0	0.10
03/17/2016	HODGE, WENDY	CALAMOS HIGH INCOME A	0.00	0.14	0.00	0.14	0.0	0.14
03/17/2016	HASENAUER, CAROL	CALAMOS HIGH INCOME A	0.00	0.19	0.00	0.19	0.0	0.19
04/20/2016	HASENAUER, CAROL	CALAMOS HIGH INCOME A	0.00	0.11	0.00	0.11	0.0	0.11
04/20/2016	HODGE, WENDY	CALAMOS HIGH INCOME A	0.00	0.15	0.00	0.15	0.0	0.15
04/20/2016	HASENAUER, CAROL	CALAMOS HIGH INCOME A	0.00	0.11	0.00	0.11	0.0	0.11
05/19/2016	HASENAUER, CAROL	CALAMOS HIGH INCOME A	0.00	0.11	0.00	0.11	0.0	0.11
05/19/2016	HODGE, WENDY	CALAMOS HIGH INCOME A	0.00	0.15	0.00	0.15	0.0	0.15
06/16/2016	HASENAUER, CAROL	CALAMOS HIGH INCOME A	0.00	0.11	0.00	0.11	0.0	0.11
06/16/2016	HODGE, WENDY	CALAMOS HIGH INCOME A	0.00	0.16	0.00	0.16	0.0	0.16
07/21/2016	HASENAUER, CAROL	CALAMOS HIGH INCOME A	0.00	0.11	0.00	0.11	0.0	0.11
07/21/2016	HODGE, WENDY	CALAMOS HIGH INCOME A	0.00	0.15	0.00	0.15	0.0	0.15
08/19/2016	HASENAUER, CAROL	CALAMOS HIGH INCOME A	0.00	0.11	0.00	0.11	0.0	0.11
08/19/2016	HODGE, WENDY	CALAMOS HIGH INCOME A	0.00	0.16	0.00	0.16	0.0	0.16
09/21/2016	HASENAUER, CAROL	CALAMOS HIGH INCOME A	0.00	0.12	0.00	0.12	0.0	0.12
09/21/2016	HODGE, WENDY	CALAMOS HIGH INCOME A	0.00	0.16	0.00	0.16	0.0	0.16
10/21/2016	HASENAUER, CAROL	CALAMOS HIGH INCOME A	0.00	0.11	0.00	0.11	0.0	0.11
10/21/2016	HODGE, WENDY	CALAMOS HIGH INCOME A	0.00	0.16	0.00	0.16	0.0	0.16
11/18/2016	HASENAUER, CAROL	CALAMOS HIGH INCOME A	0.00	0.12	0.00	0.12	0.0	0.12
11/18/2016	HODGE, WENDY	CALAMOS HIGH INCOME A	0.00	0.17	0.00	0.17	0.0	0.17
12/20/2016	HASENAUER, CAROL	CALAMOS HIGH INCOME A	0.00	0.11	0.00	0.11	0.0	0.11
12/20/2016	HODGE, WENDY	CALAMOS HIGH INCOME A	0.00	0.16	0.00	0.16	0.0	0.16
02/08/2016	KING, TROY	CALVERT EQUITY PORTFOLIO FUND CLASS	0.00	0.54	0.00	0.54	0.0	0.54
02/08/2016	KING, JODY	CALVERT EQUITY PORTFOLIO FUND CLASS	0.00	0.46	0.00	0.46	0.0	0.46

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u> OVERRIDE TRANSACTIONS </u>								
<u>BROKER: JOHN BEAN #45</u>								
03/07/2016	KING, TROY	CALVERT EQUITY PORTFOLIO FUND CLASS	0.00	0.50	0.00	0.50	0.0	0.50
03/07/2016	KING, JODY	CALVERT EQUITY PORTFOLIO FUND CLASS	0.00	0.42	0.00	0.42	0.0	0.42
04/12/2016	KING, TROY	CALVERT EQUITY PORTFOLIO FUND CLASS	0.00	0.57	0.00	0.57	0.0	0.57
04/12/2016	KING, JODY	CALVERT EQUITY PORTFOLIO FUND CLASS	0.00	0.48	0.00	0.48	0.0	0.48
05/11/2016	KING, TROY	CALVERT EQUITY PORTFOLIO FUND CLASS	0.00	0.56	0.00	0.56	0.0	0.56
05/11/2016	KING, JODY	CALVERT EQUITY PORTFOLIO FUND CLASS	0.00	0.47	0.00	0.47	0.0	0.47
06/09/2016	KING, TROY	CALVERT EQUITY PORTFOLIO FUND CLASS	0.00	0.57	0.00	0.57	0.0	0.57
06/09/2016	KING, JODY	CALVERT EQUITY PORTFOLIO FUND CLASS	0.00	0.48	0.00	0.48	0.0	0.48
07/11/2016	KING, TROY	CALVERT EQUITY PORTFOLIO FUND CLASS	0.00	0.56	0.00	0.56	0.0	0.56
07/11/2016	KING, JODY	CALVERT EQUITY PORTFOLIO FUND CLASS	0.00	0.47	0.00	0.47	0.0	0.47
08/08/2016	KING, TROY	CALVERT EQUITY PORTFOLIO FUND CLASS	0.00	0.59	0.00	0.59	0.0	0.59
08/08/2016	KING, JODY	CALVERT EQUITY PORTFOLIO FUND CLASS	0.00	0.50	0.00	0.50	0.0	0.50
09/12/2016	KING, TROY	CALVERT EQUITY PORTFOLIO FUND CLASS	0.00	0.60	0.00	0.60	0.0	0.60
09/12/2016	KING, JODY	CALVERT EQUITY PORTFOLIO FUND CLASS	0.00	0.51	0.00	0.51	0.0	0.51
10/11/2016	KING, TROY	CALVERT EQUITY PORTFOLIO FUND CLASS	0.00	0.57	0.00	0.57	0.0	0.57
10/11/2016	KING, JODY	CALVERT EQUITY PORTFOLIO FUND CLASS	0.00	0.48	0.00	0.48	0.0	0.48
11/15/2016	KING, TROY	CALVERT EQUITY PORTFOLIO FUND CLASS	0.00	0.58	0.00	0.58	0.0	0.58
11/15/2016	KING, JODY	CALVERT EQUITY PORTFOLIO FUND CLASS	0.00	0.49	0.00	0.49	0.0	0.49
12/12/2016	KING, TROY	CALVERT EQUITY PORTFOLIO FUND CLASS	0.00	0.56	0.00	0.56	0.0	0.56
12/12/2016	KING, JODY	CALVERT EQUITY PORTFOLIO FUND CLASS	0.00	0.48	0.00	0.48	0.0	0.48
02/08/2016	KING, TROY	CALVERT INCOME FUND CLASS A	0.00	0.42	0.00	0.42	0.0	0.42
02/08/2016	KING, JODY	CALVERT INCOME FUND CLASS A	0.00	0.39	0.00	0.39	0.0	0.39
02/08/2016	HASENAUER, CAROL	CALVERT INCOME FUND CLASS A	0.00	2.84	0.00	2.84	0.0	2.84
02/08/2016	HASENAUER, CAROL	CALVERT INCOME FUND CLASS A	0.00	0.55	0.00	0.55	0.0	0.55
03/07/2016	KING, TROY	CALVERT INCOME FUND CLASS A	0.00	0.40	0.00	0.40	0.0	0.40
03/07/2016	KING, JODY	CALVERT INCOME FUND CLASS A	0.00	0.37	0.00	0.37	0.0	0.37
03/07/2016	HASENAUER, CAROL	CALVERT INCOME FUND CLASS A	0.00	3.17	0.00	3.17	0.0	3.17
04/12/2016	KING, TROY	CALVERT INCOME FUND CLASS A	0.00	0.43	0.00	0.43	0.0	0.43
04/12/2016	KING, JODY	CALVERT INCOME FUND CLASS A	0.00	0.40	0.00	0.40	0.0	0.40
04/12/2016	HASENAUER, CAROL	CALVERT INCOME FUND CLASS A	0.00	1.76	0.00	1.76	0.0	1.76
05/11/2016	KING, TROY	CALVERT INCOME FUND CLASS A	0.00	0.42	0.00	0.42	0.0	0.42
05/11/2016	KING, JODY	CALVERT INCOME FUND CLASS A	0.00	0.39	0.00	0.39	0.0	0.39
06/09/2016	KING, TROY	CALVERT INCOME FUND CLASS A	0.00	0.44	0.00	0.44	0.0	0.44

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u> OVERRIDE TRANSACTIONS </u>								
<u>BROKER: JOHN BEAN #45</u>								
06/09/2016	KING, JODY	CALVERT INCOME FUND CLASS A	0.00	0.41	0.00	0.41	0.0	0.41
07/11/2016	KING, TROY	CALVERT INCOME FUND CLASS A	0.00	0.43	0.00	0.43	0.0	0.43
07/11/2016	KING, JODY	CALVERT INCOME FUND CLASS A	0.00	0.40	0.00	0.40	0.0	0.40
08/08/2016	KING, TROY	CALVERT INCOME FUND CLASS A	0.00	0.46	0.00	0.46	0.0	0.46
08/08/2016	KING, JODY	CALVERT INCOME FUND CLASS A	0.00	0.42	0.00	0.42	0.0	0.42
09/12/2016	KING, TROY	CALVERT INCOME FUND CLASS A	0.00	0.46	0.00	0.46	0.0	0.46
09/12/2016	KING, JODY	CALVERT INCOME FUND CLASS A	0.00	0.42	0.00	0.42	0.0	0.42
10/11/2016	KING, TROY	CALVERT INCOME FUND CLASS A	0.00	0.44	0.00	0.44	0.0	0.44
10/11/2016	KING, JODY	CALVERT INCOME FUND CLASS A	0.00	0.41	0.00	0.41	0.0	0.41
11/15/2016	KING, TROY	CALVERT INCOME FUND CLASS A	0.00	0.46	0.00	0.46	0.0	0.46
11/15/2016	KING, JODY	CALVERT INCOME FUND CLASS A	0.00	0.42	0.00	0.42	0.0	0.42
12/12/2016	KING, TROY	CALVERT INCOME FUND CLASS A	0.00	0.43	0.00	0.43	0.0	0.43
12/12/2016	KING, JODY	CALVERT INCOME FUND CLASS A	0.00	0.40	0.00	0.40	0.0	0.40
02/08/2016	KING, JODY	CALVERT INTERNATIONAL EQUITY FUND C	0.00	0.07	0.00	0.07	0.0	0.07
03/07/2016	KING, JODY	CALVERT INTERNATIONAL EQUITY FUND C	0.00	0.07	0.00	0.07	0.0	0.07
04/12/2016	KING, JODY	CALVERT INTERNATIONAL EQUITY FUND C	0.00	0.07	0.00	0.07	0.0	0.07
05/11/2016	KING, JODY	CALVERT INTERNATIONAL EQUITY FUND C	0.00	0.07	0.00	0.07	0.0	0.07
06/09/2016	KING, JODY	CALVERT INTERNATIONAL EQUITY FUND C	0.00	0.08	0.00	0.08	0.0	0.08
07/11/2016	KING, JODY	CALVERT INTERNATIONAL EQUITY FUND C	0.00	0.07	0.00	0.07	0.0	0.07
08/08/2016	KING, JODY	CALVERT INTERNATIONAL EQUITY FUND C	0.00	0.07	0.00	0.07	0.0	0.07
09/12/2016	KING, JODY	CALVERT INTERNATIONAL EQUITY FUND C	0.00	0.08	0.00	0.08	0.0	0.08
10/11/2016	KING, JODY	CALVERT INTERNATIONAL EQUITY FUND C	0.00	0.07	0.00	0.07	0.0	0.07
11/15/2016	KING, JODY	CALVERT INTERNATIONAL EQUITY FUND C	0.00	0.08	0.00	0.08	0.0	0.08
12/12/2016	KING, JODY	CALVERT INTERNATIONAL EQUITY FUND C	0.00	0.07	0.00	0.07	0.0	0.07
02/08/2016	KING, TROY	CALVERT SMALL CAP FUND CLASS A	0.00	0.24	0.00	0.24	0.0	0.24
02/08/2016	KING, JODY	CALVERT SMALL CAP FUND CLASS A	0.00	0.11	0.00	0.11	0.0	0.11
03/07/2016	KING, TROY	CALVERT SMALL CAP FUND CLASS A	0.00	0.22	0.00	0.22	0.0	0.22
03/07/2016	KING, JODY	CALVERT SMALL CAP FUND CLASS A	0.00	0.10	0.00	0.10	0.0	0.10
04/12/2016	KING, TROY	CALVERT SMALL CAP FUND CLASS A	0.00	0.25	0.00	0.25	0.0	0.25
04/12/2016	KING, JODY	CALVERT SMALL CAP FUND CLASS A	0.00	0.12	0.00	0.12	0.0	0.12
05/11/2016	KING, TROY	CALVERT SMALL CAP FUND CLASS A	0.00	0.25	0.00	0.25	0.0	0.25
05/11/2016	KING, JODY	CALVERT SMALL CAP FUND CLASS A	0.00	0.12	0.00	0.12	0.0	0.12
06/09/2016	KING, TROY	CALVERT SMALL CAP FUND CLASS A	0.00	0.25	0.00	0.25	0.0	0.25

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u> OVERRIDE TRANSACTIONS </u>								
BROKER: JOHN BEAN #45								
06/09/2016	KING, JODY	CALVERT SMALL CAP FUND CLASS A	0.00	0.12	0.00	0.12	0.0	0.12
07/11/2016	KING, TROY	CALVERT SMALL CAP FUND CLASS A	0.00	0.25	0.00	0.25	0.0	0.25
07/11/2016	KING, JODY	CALVERT SMALL CAP FUND CLASS A	0.00	0.12	0.00	0.12	0.0	0.12
08/08/2016	KING, TROY	CALVERT SMALL CAP FUND CLASS A	0.00	0.27	0.00	0.27	0.0	0.27
08/08/2016	KING, JODY	CALVERT SMALL CAP FUND CLASS A	0.00	0.13	0.00	0.13	0.0	0.13
09/12/2016	KING, TROY	CALVERT SMALL CAP FUND CLASS A	0.00	0.27	0.00	0.27	0.0	0.27
09/12/2016	KING, JODY	CALVERT SMALL CAP FUND CLASS A	0.00	0.13	0.00	0.13	0.0	0.13
10/11/2016	KING, TROY	CALVERT SMALL CAP FUND CLASS A	0.00	0.26	0.00	0.26	0.0	0.26
10/11/2016	KING, JODY	CALVERT SMALL CAP FUND CLASS A	0.00	0.13	0.00	0.13	0.0	0.13
11/15/2016	KING, TROY	CALVERT SMALL CAP FUND CLASS A	0.00	0.27	0.00	0.27	0.0	0.27
11/15/2016	KING, JODY	CALVERT SMALL CAP FUND CLASS A	0.00	0.13	0.00	0.13	0.0	0.13
12/12/2016	KING, TROY	CALVERT SMALL CAP FUND CLASS A	0.00	0.27	0.00	0.27	0.0	0.27
12/12/2016	KING, JODY	CALVERT SMALL CAP FUND CLASS A	0.00	0.13	0.00	0.13	0.0	0.13
02/16/2016	HASENAUER, CAROL	FRANKLIN INCOME A	0.00	0.06	0.00	0.06	0.0	0.06
02/16/2016	HASENAUER, CAROL	FRANKLIN INCOME A	0.00	0.26	0.00	0.26	0.0	0.26
02/16/2016	HASENAUER, CAROL	FRANKLIN INCOME A	0.00	0.05	0.00	0.05	0.0	0.05
03/16/2016	HASENAUER, CAROL	FRANKLIN INCOME A	0.00	0.06	0.00	0.06	0.0	0.06
03/16/2016	HASENAUER, CAROL	FRANKLIN INCOME A	0.00	0.29	0.00	0.29	0.0	0.29
04/15/2016	HASENAUER, CAROL	FRANKLIN INCOME A	0.00	0.07	0.00	0.07	0.0	0.07
04/15/2016	HASENAUER, CAROL	FRANKLIN INCOME A	0.00	0.18	0.00	0.18	0.0	0.18
05/13/2016	HASENAUER, CAROL	FRANKLIN INCOME A	0.00	0.07	0.00	0.07	0.0	0.07
06/14/2016	HASENAUER, CAROL	FRANKLIN INCOME A	0.00	0.07	0.00	0.07	0.0	0.07
07/14/2016	HASENAUER, CAROL	FRANKLIN INCOME A	0.00	0.07	0.00	0.07	0.0	0.07
08/15/2016	HASENAUER, CAROL	FRANKLIN INCOME A	0.00	0.07	0.00	0.07	0.0	0.07
09/14/2016	HASENAUER, CAROL	FRANKLIN INCOME A	0.00	0.07	0.00	0.07	0.0	0.07
10/18/2016	HASENAUER, CAROL	FRANKLIN INCOME A	0.00	0.07	0.00	0.07	0.0	0.07
11/15/2016	HASENAUER, CAROL	FRANKLIN INCOME A	0.00	0.07	0.00	0.07	0.0	0.07
12/16/2016	HASENAUER, CAROL	FRANKLIN INCOME A	0.00	0.07	0.00	0.07	0.0	0.07
02/22/2016	MCCONAHAY, ANDREW	LORD ABBETT GROWTH OPPORTUNITIES FU	0.00	0.72	0.00	0.72	0.0	0.72
03/22/2016	MCCONAHAY, ANDREW	LORD ABBETT GROWTH OPPORTUNITIES FU	0.00	0.53	0.00	0.53	0.0	0.53
04/21/2016	MCCONAHAY, ANDREW	LORD ABBETT GROWTH OPPORTUNITIES FU	0.00	0.60	0.00	0.60	0.0	0.60
05/23/2016	MCCONAHAY, ANDREW	LORD ABBETT GROWTH OPPORTUNITIES FU	0.00	0.20	0.00	0.20	0.0	0.20
02/22/2016	MCCONAHAY, ANDREW	LORD ABBETT RESEARCH FUND INC-SMALL	0.00	0.57	0.00	0.57	0.0	0.57

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<u> OVERRIDE TRANSACTIONS </u>								
<u> BROKER: JOHN BEAN #45 </u>								
03/22/2016	MCCONAHAY, ANDREW	LORD ABBETT RESEARCH FUND INC-SMALL	0.00	0.54	0.00	0.54	0.0	0.54
04/21/2016	MCCONAHAY, ANDREW	LORD ABBETT RESEARCH FUND INC-SMALL	0.00	0.59	0.00	0.59	0.0	0.59
05/23/2016	MCCONAHAY, ANDREW	LORD ABBETT RESEARCH FUND INC-SMALL	0.00	0.19	0.00	0.19	0.0	0.19
02/22/2016	THOMAS, MARILYN	OPPENHEIMER GLOBAL STRATEGIC INC A	0.00	0.95	0.00	0.95	0.0	0.95
03/17/2016	THOMAS, MARILYN	OPPENHEIMER GLOBAL STRATEGIC INC A	0.00	0.88	0.00	0.88	0.0	0.88
04/21/2016	THOMAS, MARILYN	OPPENHEIMER GLOBAL STRATEGIC INC A	0.00	0.96	0.00	0.96	0.0	0.96
05/19/2016	THOMAS, MARILYN	OPPENHEIMER GLOBAL STRATEGIC INC A	0.00	0.95	0.00	0.95	0.0	0.95
06/30/2016	THOMAS, MARILYN	OPPENHEIMER GLOBAL STRATEGIC INC A	0.00	0.98	0.00	0.98	0.0	0.98
07/18/2016	THOMAS, MARILYN	OPPENHEIMER GLOBAL STRATEGIC INC A	0.00	0.96	0.00	0.96	0.0	0.96
08/24/2016	THOMAS, MARILYN	OPPENHEIMER GLOBAL STRATEGIC INC A	0.00	1.01	0.00	1.01	0.0	1.01
09/22/2016	THOMAS, MARILYN	OPPENHEIMER GLOBAL STRATEGIC INC A	0.00	1.02	0.00	1.02	0.0	1.02
10/21/2016	THOMAS, MARILYN	OPPENHEIMER GLOBAL STRATEGIC INC A	0.00	0.99	0.00	0.99	0.0	0.99
11/21/2016	THOMAS, MARILYN	OPPENHEIMER GLOBAL STRATEGIC INC A	0.00	1.02	0.00	1.02	0.0	1.02
12/19/2016	THOMAS, MARILYN	OPPENHEIMER GLOBAL STRATEGIC INC A	0.00	0.97	0.00	0.97	0.0	0.97
02/22/2016	THOMAS, MARILYN	OPPENHEIMER MAIN STREET A	0.00	3.87	0.00	3.87	0.0	3.87
03/17/2016	THOMAS, MARILYN	OPPENHEIMER MAIN STREET A	0.00	3.59	0.00	3.59	0.0	3.59
04/21/2016	THOMAS, MARILYN	OPPENHEIMER MAIN STREET A	0.00	4.08	0.00	4.08	0.0	4.08
05/19/2016	THOMAS, MARILYN	OPPENHEIMER MAIN STREET A	0.00	4.05	0.00	4.05	0.0	4.05
06/30/2016	THOMAS, MARILYN	OPPENHEIMER MAIN STREET A	0.00	4.20	0.00	4.20	0.0	4.20
07/18/2016	THOMAS, MARILYN	OPPENHEIMER MAIN STREET A	0.00	4.10	0.00	4.10	0.0	4.10
08/24/2016	THOMAS, MARILYN	OPPENHEIMER MAIN STREET A	0.00	4.38	0.00	4.38	0.0	4.38
09/22/2016	THOMAS, MARILYN	OPPENHEIMER MAIN STREET A	0.00	4.42	0.00	4.42	0.0	4.42
10/21/2016	THOMAS, MARILYN	OPPENHEIMER MAIN STREET A	0.00	4.24	0.00	4.24	0.0	4.24
11/21/2016	THOMAS, MARILYN	OPPENHEIMER MAIN STREET A	0.00	4.35	0.00	4.35	0.0	4.35
12/19/2016	THOMAS, MARILYN	OPPENHEIMER MAIN STREET A	0.00	4.27	0.00	4.27	0.0	4.27
* JOHN BEAN SUBTOTAL *			\$0.00	\$144.57	\$0.00	\$144.57		\$144.57
<u> BROKER: ROBERT (RUSTY) TWEED #58 </u>								
02/16/2016	SMITH, REBECCA	AM FUNDS AMERICAN BALANCED C	0.00	15.49	0.00	15.49	0.0	15.49
03/15/2016	SMITH, REBECCA	AM FUNDS AMERICAN BALANCED C	0.00	14.43	0.00	14.43	0.0	14.43
04/20/2016	SMITH, REBECCA	AM FUNDS AMERICAN BALANCED C	0.00	16.05	0.00	16.05	0.0	16.05
05/16/2016	SMITH, REBECCA	AM FUNDS AMERICAN BALANCED C	0.00	15.88	0.00	15.88	0.0	15.88
06/15/2016	SMITH, REBECCA	AM FUNDS AMERICAN BALANCED C	0.00	16.42	0.00	16.42	0.0	16.42
07/18/2016	SMITH, REBECCA	AM FUNDS AMERICAN BALANCED C	0.00	16.05	0.00	16.05	0.0	16.05

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u> OVERRIDE TRANSACTIONS </u>								
<u> BROKER: ROBERT (RUSTY) TWEED #58 </u>								
08/15/2016	SMITH, REBECCA	AM FUNDS AMERICAN BALANCED C	0.00	16.94	0.00	16.94	0.0	16.94
09/16/2016	SMITH, REBECCA	AM FUNDS AMERICAN BALANCED C	0.00	13.48	0.00	13.48	0.0	13.48
10/17/2016	SMITH, REBECCA	AM FUNDS AMERICAN BALANCED C	0.00	8.23	0.00	8.23	0.0	8.23
11/18/2016	SMITH, REBECCA	AM FUNDS AMERICAN BALANCED C	0.00	8.49	0.00	8.49	0.0	8.49
12/15/2016	SMITH, REBECCA	AM FUNDS AMERICAN BALANCED C	0.00	8.24	0.00	8.24	0.0	8.24
02/08/2016	NISHIOKA, KENNETH	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	6.56	0.00	6.56	0.0	6.56
02/08/2016	ZELLMAN, DEAN	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	1.97	0.00	1.97	0.0	1.97
03/18/2016	NISHIOKA, KENNETH	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	6.99	0.00	6.99	0.0	6.99
03/18/2016	ZELLMAN, DEAN	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	2.10	0.00	2.10	0.0	2.10
04/14/2016	NISHIOKA, KENNETH	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	1.81	0.00	1.81	0.0	1.81
04/14/2016	ZELLMAN, DEAN	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	2.12	0.00	2.12	0.0	2.12
05/19/2016	ZELLMAN, DEAN	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	1.99	0.00	1.99	0.0	1.99
06/23/2016	ZELLMAN, DEAN	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	2.21	0.00	2.21	0.0	2.21
07/11/2016	ZELLMAN, DEAN	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	2.09	0.00	2.09	0.0	2.09
08/15/2016	ZELLMAN, DEAN	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	2.17	0.00	2.17	0.0	2.17
09/12/2016	ZELLMAN, DEAN	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	2.18	0.00	2.18	0.0	2.18
10/14/2016	ZELLMAN, DEAN	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	2.11	0.00	2.11	0.0	2.11
11/17/2016	ZELLMAN, DEAN	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	2.19	0.00	2.19	0.0	2.19
12/12/2016	ZELLMAN, DEAN	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	2.14	0.00	2.14	0.0	2.14
02/08/2016	ZELLMAN, DEAN	CALVERT SHORT- INCOME FUND CLASS C	0.00	0.01	0.00	0.01	0.0	0.01
03/07/2016	ZELLMAN, DEAN	CALVERT SHORT- INCOME FUND CLASS C	0.00	0.01	0.00	0.01	0.0	0.01
04/12/2016	ZELLMAN, DEAN	CALVERT SHORT- INCOME FUND CLASS C	0.00	0.01	0.00	0.01	0.0	0.01
05/11/2016	ZELLMAN, DEAN	CALVERT SHORT- INCOME FUND CLASS C	0.00	0.01	0.00	0.01	0.0	0.01
06/09/2016	ZELLMAN, DEAN	CALVERT SHORT- INCOME FUND CLASS C	0.00	0.01	0.00	0.01	0.0	0.01
07/11/2016	ZELLMAN, DEAN	CALVERT SHORT- INCOME FUND CLASS C	0.00	0.01	0.00	0.01	0.0	0.01
08/08/2016	ZELLMAN, DEAN	CALVERT SHORT- INCOME FUND CLASS C	0.00	0.01	0.00	0.01	0.0	0.01
02/15/2018	FAUSTINI, MARLOU	COLONY NORTHSTAR INC CL A COM	-1,117.87	22.00	22.50	-0.50	0.0	-0.50
02/05/2018	ENGSTROM, COLEMAN	COLUMBIA ACORN INT'L A	0.00	2.90	0.00	2.90	0.0	2.90
02/05/2018	PANTON, GARY T & DEBORA	COLUMBIA CALIFORNIA TAX-EXEMPT FUND	0.00	0.89	0.00	0.89	0.0	0.89
02/05/2018	UMBRELLLO, ALBERT	COLUMBIA LARGECAP GROWTH A	0.00	7.60	0.00	7.60	0.0	7.60
02/05/2018	UMBRELLLO, ALBERT	COLUMBIA SELIGMAN COMM AND INFO A	0.00	6.36	0.00	6.36	0.0	6.36
02/16/2016	SCIOLINI, ALDO	FRANKLIN INCOME A	0.00	1.75	0.00	1.75	0.0	1.75
03/16/2016	SCIOLINI, ALDO	FRANKLIN INCOME A	0.00	1.63	0.00	1.63	0.0	1.63

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<u> OVERRIDE TRANSACTIONS </u>								
<u> BROKER: ROBERT (RUSTY) TWEED #58 </u>								
04/15/2016	SCIOLINI, ALDO	FRANKLIN INCOME A	0.00	1.85	0.00	1.85	0.0	1.85
05/13/2016	SCIOLINI, ALDO	FRANKLIN INCOME A	0.00	1.83	0.00	1.83	0.0	1.83
06/14/2016	SCIOLINI, ALDO	FRANKLIN INCOME A	0.00	1.91	0.00	1.91	0.0	1.91
07/14/2016	SCIOLINI, ALDO	FRANKLIN INCOME A	0.00	1.87	0.00	1.87	0.0	1.87
08/15/2016	SCIOLINI, ALDO	FRANKLIN INCOME A	0.00	2.00	0.00	2.00	0.0	2.00
09/14/2016	SCIOLINI, ALDO	FRANKLIN INCOME A	0.00	2.02	0.00	2.02	0.0	2.02
10/18/2016	SCIOLINI, ALDO	FRANKLIN INCOME A	0.00	1.96	0.00	1.96	0.0	1.96
11/15/2016	SCIOLINI, ALDO	FRANKLIN INCOME A	0.00	2.04	0.00	2.04	0.0	2.04
12/16/2016	SCIOLINI, ALDO	FRANKLIN INCOME A	0.00	1.97	0.00	1.97	0.0	1.97
02/08/2016	LEDWITZ TRUST, MARTIN & ELIZABJAMES	ALPHA GLOBAL REAL ESTATE FUND	0.00	0.90	0.00	0.90	0.0	0.90
03/11/2016	LEDWITZ TRUST, MARTIN & ELIZABJAMES	ALPHA GLOBAL REAL ESTATE FUND	0.00	0.94	0.00	0.94	0.0	0.94
04/18/2016	LEDWITZ TRUST, MARTIN & ELIZABJAMES	ALPHA GLOBAL REAL ESTATE FUND	0.00	1.03	0.00	1.03	0.0	1.03
05/25/2016	LEDWITZ TRUST, MARTIN & ELIZABJAMES	ALPHA GLOBAL REAL ESTATE FUND	0.00	0.98	0.00	0.98	0.0	0.98
06/16/2016	LEDWITZ TRUST, MARTIN & ELIZABJAMES	ALPHA GLOBAL REAL ESTATE FUND	0.00	1.09	0.00	1.09	0.0	1.09
07/27/2016	LEDWITZ TRUST, MARTIN & ELIZABJAMES	ALPHA GLOBAL REAL ESTATE FUND	0.00	1.03	0.00	1.03	0.0	1.03
08/19/2016	LEDWITZ TRUST, MARTIN & ELIZABJAMES	ALPHA GLOBAL REAL ESTATE FUND	0.00	1.07	0.00	1.07	0.0	1.07
09/22/2016	LEDWITZ TRUST, MARTIN & ELIZABJAMES	ALPHA GLOBAL REAL ESTATE FUND	0.00	1.07	0.00	1.07	0.0	1.07
10/20/2016	LEDWITZ TRUST, MARTIN & ELIZABJAMES	ALPHA GLOBAL REAL ESTATE FUND	0.00	1.02	0.00	1.02	0.0	1.02
11/21/2016	LEDWITZ TRUST, MARTIN & ELIZABJAMES	ALPHA GLOBAL REAL ESTATE FUND	0.00	0.99	0.00	0.99	0.0	0.99
12/12/2016	LEDWITZ TRUST, MARTIN & ELIZABJAMES	ALPHA GLOBAL REAL ESTATE FUND	0.00	0.94	0.00	0.94	0.0	0.94
02/19/2016	CHAVEZ, VICTOR	JH CLASSIC VALUE A	0.00	5.55	0.00	5.55	0.0	5.55
03/18/2016	CHAVEZ, VICTOR	JH CLASSIC VALUE A	0.00	5.03	0.00	5.03	0.0	5.03
04/15/2016	CHAVEZ, VICTOR	JH CLASSIC VALUE A	0.00	5.85	0.00	5.85	0.0	5.85
05/23/2016	CHAVEZ, VICTOR	JH CLASSIC VALUE A	0.00	5.86	0.00	5.86	0.0	5.86
06/27/2016	CHAVEZ, VICTOR	JH CLASSIC VALUE A	0.00	6.00	0.00	6.00	0.0	6.00
07/15/2016	CHAVEZ, VICTOR	JH CLASSIC VALUE A	0.00	5.80	0.00	5.80	0.0	5.80
08/16/2016	CHAVEZ, VICTOR	JH CLASSIC VALUE A	0.00	6.14	0.00	6.14	0.0	6.14
09/16/2016	CHAVEZ, VICTOR	JH CLASSIC VALUE A	0.00	6.38	0.00	6.38	0.0	6.38
10/24/2016	CHAVEZ, VICTOR	JH CLASSIC VALUE A	0.00	6.23	0.00	6.23	0.0	6.23
11/18/2016	CHAVEZ, VICTOR	JH CLASSIC VALUE A	0.00	6.52	0.00	6.52	0.0	6.52
12/16/2016	CHAVEZ, VICTOR	JH CLASSIC VALUE A	0.00	6.68	0.00	6.68	0.0	6.68
02/14/2018	VAN DE BRAKE, MARY	JH FINANCIAL INDUSTRIES A	0.00	2.41	0.00	2.41	0.0	2.41
02/14/2018	VAN DE BRAKE, ARTHUR	JH FINANCIAL INDUSTRIES A	0.00	2.39	0.00	2.39	0.0	2.39

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<u> OVERRIDE TRANSACTIONS </u>								
<u> BROKER: ROBERT (RUSTY) TWEED #58 </u>								
02/14/2018	PANTON, GARY	JH GOVERNMENT INCOME A	0.00	1.10	0.00	1.10	0.0	1.10
02/14/2018	PANTON, GARY	JH GOVERNMENT INCOME A	0.00	1.81	0.00	1.81	0.0	1.81
02/14/2018	FURUKAWA, CLARA	JH STRATEGIC GROWTH A	0.00	2.35	0.00	2.35	0.0	2.35
02/15/2018	FAUSTINI, MARLOU	NORTHSTAR RLTY EUROPE CORP COM	-413.74	22.00	22.50	-0.50	0.0	-0.50
02/22/2016	DANIELS, PHILIP	OPPENHEIMER CA MUNICIPAL A	0.00	20.12	0.00	20.12	0.0	20.12
03/17/2016	DANIELS, PHILIP	OPPENHEIMER CA MUNICIPAL A	0.00	18.83	0.00	18.83	0.0	18.83
04/21/2016	DANIELS, PHILIP	OPPENHEIMER CA MUNICIPAL A	0.00	20.07	0.00	20.07	0.0	20.07
05/19/2016	DANIELS, PHILIP	OPPENHEIMER CA MUNICIPAL A	0.00	19.58	0.00	19.58	0.0	19.58
06/30/2016	DANIELS, PHILIP	OPPENHEIMER CA MUNICIPAL A	0.00	20.30	0.00	20.30	0.0	20.30
07/18/2016	DANIELS, PHILIP	OPPENHEIMER CA MUNICIPAL A	0.00	19.89	0.00	19.89	0.0	19.89
08/24/2016	DANIELS, PHILIP	OPPENHEIMER CA MUNICIPAL A	0.00	20.74	0.00	20.74	0.0	20.74
09/22/2016	DANIELS, PHILIP	OPPENHEIMER CA MUNICIPAL A	0.00	20.68	0.00	20.68	0.0	20.68
10/21/2016	DANIELS, PHILIP	OPPENHEIMER CA MUNICIPAL A	0.00	19.99	0.00	19.99	0.0	19.99
11/21/2016	DANIELS, PHILIP	OPPENHEIMER CA MUNICIPAL A	0.00	20.59	0.00	20.59	0.0	20.59
12/19/2016	DANIELS, PHILIP	OPPENHEIMER CA MUNICIPAL A	0.00	18.15	0.00	18.15	0.0	18.15
02/15/2018	FAUSTINI, MARLOU	TIER REIT INC COM NEW	-12,196.92	22.00	22.97	-0.97	0.0	-0.97
03/01/2016	CHAVEZ, VICTOR	VICTORY INTEGRITY SMALL-CAP VALUE F	0.00	3.93	0.00	3.93	0.0	3.93
04/01/2016	CHAVEZ, VICTOR	VICTORY INTEGRITY SMALL-CAP VALUE F	0.00	3.60	0.00	3.60	0.0	3.60
04/25/2016	CHAVEZ, VICTOR	VICTORY INTEGRITY SMALL-CAP VALUE F	0.00	4.20	0.00	4.20	0.0	4.20
06/29/2016	CHAVEZ, VICTOR	VICTORY INTEGRITY SMALL-CAP VALUE F	0.00	4.29	0.00	4.29	0.0	4.29
06/30/2016	CHAVEZ, VICTOR	VICTORY INTEGRITY SMALL-CAP VALUE F	0.00	4.15	0.00	4.15	0.0	4.15
08/01/2016	CHAVEZ, VICTOR	VICTORY INTEGRITY SMALL-CAP VALUE F	0.00	4.22	0.00	4.22	0.0	4.22
08/30/2016	CHAVEZ, VICTOR	VICTORY INTEGRITY SMALL-CAP VALUE F	0.00	4.45	0.00	4.45	0.0	4.45
09/30/2016	CHAVEZ, VICTOR	VICTORY INTEGRITY SMALL-CAP VALUE F	0.00	4.58	0.00	4.58	0.0	4.58
10/25/2016	CHAVEZ, VICTOR	VICTORY INTEGRITY SMALL-CAP VALUE F	0.00	4.44	0.00	4.44	0.0	4.44
11/30/2016	CHAVEZ, VICTOR	VICTORY INTEGRITY SMALL-CAP VALUE F	0.00	4.57	0.00	4.57	0.0	4.57
12/29/2016	CHAVEZ, VICTOR	VICTORY INTEGRITY SMALL-CAP VALUE F	0.00	4.69	0.00	4.69	0.0	4.69
 * ROBERT (RUSTY) TWEED SUBTOTAL * 			\$-13,728.53	\$646.20	\$67.97	\$578.23		\$578.23
<u> BROKER: JIM LUND #60 </u>								
02/15/2018	WURLINGER, MARTIN	FRANKLIN INCOME A	100.00	4.00	0.00	4.00	0.0	4.00
02/05/2018	PRESTON, JANEAN	FRANKLIN INCOME C	400.00	4.00	0.00	4.00	0.0	4.00
02/09/2018	YUGE, SEAN	OPPENHEIMER PORT SERIES ACTIVE ALLO	200.00	9.50	0.00	9.50	0.0	9.50
02/12/2018	CIESLIK, CHAD	OPPENHEIMER QUEST OPP VALUE A	247.50	11.76	0.00	11.76	0.0	11.76

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<u> OVERRIDE TRANSACTIONS </u>								
<u>BROKER: JIM LUND #60</u>								
02/12/2018	CIESLIK, CHAD	OPPENHEIMER SMALL MID CAP VALUE A	82.50	3.92	0.00	3.92	0.0	3.92
* JIM LUND SUBTOTAL *			\$1,030.00	\$33.18	\$0.00	\$33.18		\$33.18
<u>BROKER: RENE CASTRO #92</u>								
02/14/2018	BUSTOS, ARMANDO	JH HIGH YIELD A	0.00	2.40	0.00	2.40	0.0	2.40
02/14/2018	BUSTOS, ARMANDO	JH STRATEGIC INCOME A	0.00	9.33	0.00	9.33	0.0	9.33
* RENE CASTRO SUBTOTAL *			\$0.00	\$11.73	\$0.00	\$11.73		\$11.73
<u>BROKER: DANIEL COLLINS #106</u>								
02/08/2016	WHITE, JACKSON	ALLIANCEBERNSTEIN BAL WEALTH STR A	0.00	3.94	0.00	3.94	0.0	3.94
02/08/2016	WHITE, MARGARET	ALLIANCEBERNSTEIN BAL WEALTH STR A	0.00	9.62	0.00	9.62	0.0	9.62
02/08/2016	PARSONS, VIRGINIA	ALLIANCEBERNSTEIN BAL WEALTH STR A	0.00	4.81	0.00	4.81	0.0	4.81
02/08/2016	PARSONS, VIRGINIA	ALLIANCEBERNSTEIN BAL WEALTH STR A	0.00	1.91	0.00	1.91	0.0	1.91
03/09/2016	WHITE, JACKSON	ALLIANCEBERNSTEIN BAL WEALTH STR A	0.00	3.63	0.00	3.63	0.0	3.63
03/09/2016	WHITE, MARGARET	ALLIANCEBERNSTEIN BAL WEALTH STR A	0.00	8.87	0.00	8.87	0.0	8.87
03/09/2016	PARSONS, VIRGINIA	ALLIANCEBERNSTEIN BAL WEALTH STR A	0.00	4.44	0.00	4.44	0.0	4.44
03/09/2016	PARSONS, VIRGINIA	ALLIANCEBERNSTEIN BAL WEALTH STR A	0.00	1.76	0.00	1.76	0.0	1.76
04/18/2016	WHITE, JACKSON	ALLIANCEBERNSTEIN BAL WEALTH STR A	0.00	4.07	0.00	4.07	0.0	4.07
04/18/2016	WHITE, MARGARET	ALLIANCEBERNSTEIN BAL WEALTH STR A	0.00	9.93	0.00	9.93	0.0	9.93
04/18/2016	PARSONS, VIRGINIA	ALLIANCEBERNSTEIN BAL WEALTH STR A	0.00	4.97	0.00	4.97	0.0	4.97
04/18/2016	PARSONS, VIRGINIA	ALLIANCEBERNSTEIN BAL WEALTH STR A	0.00	1.97	0.00	1.97	0.0	1.97
05/11/2016	WHITE, JACKSON	ALLIANCEBERNSTEIN BAL WEALTH STR A	0.00	4.02	0.00	4.02	0.0	4.02
05/11/2016	WHITE, MARGARET	ALLIANCEBERNSTEIN BAL WEALTH STR A	0.00	9.81	0.00	9.81	0.0	9.81
05/11/2016	PARSONS, VIRGINIA	ALLIANCEBERNSTEIN BAL WEALTH STR A	0.00	4.91	0.00	4.91	0.0	4.91
05/11/2016	PARSONS, VIRGINIA	ALLIANCEBERNSTEIN BAL WEALTH STR A	0.00	1.95	0.00	1.95	0.0	1.95
06/10/2016	WHITE, JACKSON	ALLIANCEBERNSTEIN BAL WEALTH STR A	0.00	4.15	0.00	4.15	0.0	4.15
06/10/2016	WHITE, MARGARET	ALLIANCEBERNSTEIN BAL WEALTH STR A	0.00	10.13	0.00	10.13	0.0	10.13
06/10/2016	PARSONS, VIRGINIA	ALLIANCEBERNSTEIN BAL WEALTH STR A	0.00	5.07	0.00	5.07	0.0	5.07
06/10/2016	PARSONS, VIRGINIA	ALLIANCEBERNSTEIN BAL WEALTH STR A	0.00	2.01	0.00	2.01	0.0	2.01
07/18/2016	WHITE, JACKSON	ALLIANCEBERNSTEIN BAL WEALTH STR A	0.00	4.04	0.00	4.04	0.0	4.04
07/18/2016	WHITE, MARGARET	ALLIANCEBERNSTEIN BAL WEALTH STR A	0.00	9.86	0.00	9.86	0.0	9.86
07/18/2016	PARSONS, VIRGINIA	ALLIANCEBERNSTEIN BAL WEALTH STR A	0.00	4.93	0.00	4.93	0.0	4.93
07/18/2016	PARSONS, VIRGINIA	ALLIANCEBERNSTEIN BAL WEALTH STR A	0.00	1.96	0.00	1.96	0.0	1.96
08/08/2016	WHITE, JACKSON	ALLIANCEBERNSTEIN BAL WEALTH STR A	0.00	4.25	0.00	4.25	0.0	4.25

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<u> OVERRIDE TRANSACTIONS </u>								
<u>BROKER: DANIEL COLLINS #106</u>								
08/08/2016	WHITE, MARGARET	ALLIANCEBERNSTEIN BAL WEALTH STR A	0.00	10.37	0.00	10.37	0.0	10.37
08/08/2016	PARSONS, VIRGINIA	ALLIANCEBERNSTEIN BAL WEALTH STR A	0.00	5.19	0.00	5.19	0.0	5.19
08/08/2016	PARSONS, VIRGINIA	ALLIANCEBERNSTEIN BAL WEALTH STR A	0.00	2.06	0.00	2.06	0.0	2.06
09/12/2016	WHITE, JACKSON	ALLIANCEBERNSTEIN BAL WEALTH STR A	0.00	4.32	0.00	4.32	0.0	4.32
09/12/2016	WHITE, MARGARET	ALLIANCEBERNSTEIN BAL WEALTH STR A	0.00	10.54	0.00	10.54	0.0	10.54
09/12/2016	PARSONS, VIRGINIA	ALLIANCEBERNSTEIN BAL WEALTH STR A	0.00	5.27	0.00	5.27	0.0	5.27
09/12/2016	PARSONS, VIRGINIA	ALLIANCEBERNSTEIN BAL WEALTH STR A	0.00	2.09	0.00	2.09	0.0	2.09
10/20/2016	WHITE, JACKSON	ALLIANCEBERNSTEIN BAL WEALTH STR A	0.00	4.17	0.00	4.17	0.0	4.17
10/20/2016	WHITE, MARGARET	ALLIANCEBERNSTEIN BAL WEALTH STR A	0.00	10.18	0.00	10.18	0.0	10.18
10/20/2016	PARSONS, VIRGINIA	ALLIANCEBERNSTEIN BAL WEALTH STR A	0.00	5.09	0.00	5.09	0.0	5.09
10/20/2016	PARSONS, VIRGINIA	ALLIANCEBERNSTEIN BAL WEALTH STR A	0.00	2.02	0.00	2.02	0.0	2.02
11/11/2016	WHITE, JACKSON	ALLIANCEBERNSTEIN BAL WEALTH STR A	0.00	4.29	0.00	4.29	0.0	4.29
11/11/2016	WHITE, MARGARET	ALLIANCEBERNSTEIN BAL WEALTH STR A	0.00	10.48	0.00	10.48	0.0	10.48
11/11/2016	PARSONS, VIRGINIA	ALLIANCEBERNSTEIN BAL WEALTH STR A	0.00	5.24	0.00	5.24	0.0	5.24
11/11/2016	PARSONS, VIRGINIA	ALLIANCEBERNSTEIN BAL WEALTH STR A	0.00	2.08	0.00	2.08	0.0	2.08
12/12/2016	WHITE, JACKSON	ALLIANCEBERNSTEIN BAL WEALTH STR A	0.00	4.12	0.00	4.12	0.0	4.12
12/12/2016	WHITE, MARGARET	ALLIANCEBERNSTEIN BAL WEALTH STR A	0.00	10.06	0.00	10.06	0.0	10.06
12/12/2016	PARSONS, VIRGINIA	ALLIANCEBERNSTEIN BAL WEALTH STR A	0.00	5.03	0.00	5.03	0.0	5.03
12/12/2016	PARSONS, VIRGINIA	ALLIANCEBERNSTEIN BAL WEALTH STR A	0.00	2.00	0.00	2.00	0.0	2.00
02/16/2016	THOMAS, TINA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.49	0.00	1.49	0.0	1.49
02/16/2016	THOMAS, WILLIAM	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.46	0.00	1.46	0.0	1.46
03/15/2016	THOMAS, TINA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.41	0.00	1.41	0.0	1.41
03/15/2016	THOMAS, WILLIAM	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.37	0.00	1.37	0.0	1.37
04/20/2016	THOMAS, TINA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.57	0.00	1.57	0.0	1.57
04/20/2016	THOMAS, WILLIAM	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.54	0.00	1.54	0.0	1.54
05/16/2016	THOMAS, TINA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.56	0.00	1.56	0.0	1.56
05/16/2016	THOMAS, WILLIAM	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.52	0.00	1.52	0.0	1.52
06/15/2016	THOMAS, TINA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.61	0.00	1.61	0.0	1.61
06/15/2016	THOMAS, WILLIAM	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.57	0.00	1.57	0.0	1.57
07/18/2016	THOMAS, TINA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.57	0.00	1.57	0.0	1.57
07/18/2016	THOMAS, WILLIAM	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.53	0.00	1.53	0.0	1.53
08/15/2016	THOMAS, TINA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.67	0.00	1.67	0.0	1.67
08/15/2016	THOMAS, WILLIAM	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.94	0.00	0.94	0.0	0.94

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u> OVERRIDE TRANSACTIONS </u>								
<u> BROKER: DANIEL COLLINS #106 </u>								
09/16/2016	THOMAS, TINA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.24	0.00	1.24	0.0	1.24
02/16/2016	THOMAS, TINA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.74	0.00	1.74	0.0	1.74
02/16/2016	THOMAS, WILLIAM	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.81	0.00	0.81	0.0	0.81
03/15/2016	THOMAS, TINA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.60	0.00	1.60	0.0	1.60
03/15/2016	THOMAS, WILLIAM	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.75	0.00	0.75	0.0	0.75
04/20/2016	THOMAS, TINA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.82	0.00	1.82	0.0	1.82
04/20/2016	THOMAS, WILLIAM	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.85	0.00	0.85	0.0	0.85
05/16/2016	THOMAS, TINA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.81	0.00	1.81	0.0	1.81
05/16/2016	THOMAS, WILLIAM	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.84	0.00	0.84	0.0	0.84
06/15/2016	THOMAS, TINA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.85	0.00	1.85	0.0	1.85
06/15/2016	THOMAS, WILLIAM	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.87	0.00	0.87	0.0	0.87
07/18/2016	THOMAS, TINA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.80	0.00	1.80	0.0	1.80
07/18/2016	THOMAS, WILLIAM	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.84	0.00	0.84	0.0	0.84
08/15/2016	THOMAS, TINA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.91	0.00	1.91	0.0	1.91
08/15/2016	THOMAS, WILLIAM	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.89	0.00	0.89	0.0	0.89
09/16/2016	THOMAS, TINA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.46	0.00	1.46	0.0	1.46
09/16/2016	THOMAS, WILLIAM	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.65	0.00	0.65	0.0	0.65
02/16/2016	THOMAS, TINA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.79	0.00	0.79	0.0	0.79
03/15/2016	THOMAS, TINA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.71	0.00	0.71	0.0	0.71
04/20/2016	THOMAS, TINA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.81	0.00	0.81	0.0	0.81
05/16/2016	THOMAS, TINA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.81	0.00	0.81	0.0	0.81
06/15/2016	THOMAS, TINA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.84	0.00	0.84	0.0	0.84
07/18/2016	THOMAS, TINA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.82	0.00	0.82	0.0	0.82
08/15/2016	THOMAS, TINA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.87	0.00	0.87	0.0	0.87
09/16/2016	THOMAS, TINA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.66	0.00	0.66	0.0	0.66
02/16/2016	JESTER, CATHERINE	AM FUNDS ICA A	0.00	4.35	0.00	4.35	0.0	4.35
03/15/2016	JESTER, CATHERINE	AM FUNDS ICA A	0.00	4.08	0.00	4.08	0.0	4.08
04/20/2016	JESTER, CATHERINE	AM FUNDS ICA A	0.00	4.65	0.00	4.65	0.0	4.65
05/16/2016	JESTER, CATHERINE	AM FUNDS ICA A	0.00	4.64	0.00	4.64	0.0	4.64
06/15/2016	JESTER, CATHERINE	AM FUNDS ICA A	0.00	4.79	0.00	4.79	0.0	4.79
07/18/2016	JESTER, CATHERINE	AM FUNDS ICA A	0.00	4.70	0.00	4.70	0.0	4.70
08/15/2016	JESTER, CATHERINE	AM FUNDS ICA A	0.00	5.01	0.00	5.01	0.0	5.01
09/16/2016	JESTER, CATHERINE	AM FUNDS ICA A	0.00	5.09	0.00	5.09	0.0	5.09

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u> OVERRIDE TRANSACTIONS </u>								
<u> BROKER: DANIEL COLLINS #106 </u>								
10/17/2016	JESTER, CATHERINE	AM FUNDS ICA A	0.00	4.88	0.00	4.88	0.0	4.88
11/18/2016	JESTER, CATHERINE	AM FUNDS ICA A	0.00	5.04	0.00	5.04	0.0	5.04
12/15/2016	JESTER, CATHERINE	AM FUNDS ICA A	0.00	4.92	0.00	4.92	0.0	4.92
02/16/2016	JESTER, CATHERINE	DAVIS NEW YORK VENTURE A	0.00	2.55	0.00	2.55	0.0	2.55
03/14/2016	JESTER, CATHERINE	DAVIS NEW YORK VENTURE A	0.00	2.28	0.00	2.28	0.0	2.28
04/20/2016	JESTER, CATHERINE	DAVIS NEW YORK VENTURE A	0.00	2.60	0.00	2.60	0.0	2.60
05/16/2016	JESTER, CATHERINE	DAVIS NEW YORK VENTURE A	0.00	2.62	0.00	2.62	0.0	2.62
06/16/2016	JESTER, CATHERINE	DAVIS NEW YORK VENTURE A	0.00	2.76	0.00	2.76	0.0	2.76
07/15/2016	JESTER, CATHERINE	DAVIS NEW YORK VENTURE A	0.00	2.68	0.00	2.68	0.0	2.68
08/15/2016	JESTER, CATHERINE	DAVIS NEW YORK VENTURE A	0.00	2.82	0.00	2.82	0.0	2.82
09/16/2016	JESTER, CATHERINE	DAVIS NEW YORK VENTURE A	0.00	2.92	0.00	2.92	0.0	2.92
10/17/2016	JESTER, CATHERINE	DAVIS NEW YORK VENTURE A	0.00	2.83	0.00	2.83	0.0	2.83
11/11/2016	JESTER, CATHERINE	DAVIS NEW YORK VENTURE A	0.00	2.93	0.00	2.93	0.0	2.93
12/16/2016	JESTER, CATHERINE	DAVIS NEW YORK VENTURE A	0.00	2.90	0.00	2.90	0.0	2.90
02/10/2016	BESEE, MARY	DREYFUS AMT-FREE MUNICIPAL BOND FUN	0.00	4.09	0.00	4.09	0.0	4.09
03/10/2016	BESEE, MARY	DREYFUS AMT-FREE MUNICIPAL BOND FUN	0.00	3.85	0.00	3.85	0.0	3.85
04/15/2016	BESEE, MARY	DREYFUS AMT-FREE MUNICIPAL BOND FUN	0.00	4.10	0.00	4.10	0.0	4.10
05/11/2016	BESEE, MARY	DREYFUS AMT-FREE MUNICIPAL BOND FUN	0.00	4.01	0.00	4.01	0.0	4.01
06/10/2016	BESEE, MARY	DREYFUS AMT-FREE MUNICIPAL BOND FUN	0.00	4.17	0.00	4.17	0.0	4.17
07/13/2016	BESEE, MARY	DREYFUS AMT-FREE MUNICIPAL BOND FUN	0.00	4.07	0.00	4.07	0.0	4.07
08/09/2016	BESEE, MARY	DREYFUS AMT-FREE MUNICIPAL BOND FUN	0.00	4.24	0.00	4.24	0.0	4.24
09/12/2016	BESEE, MARY	DREYFUS AMT-FREE MUNICIPAL BOND FUN	0.00	4.24	0.00	4.24	0.0	4.24
10/11/2016	BESEE, MARY	DREYFUS AMT-FREE MUNICIPAL BOND FUN	0.00	4.09	0.00	4.09	0.0	4.09
11/15/2016	BESEE, MARY	DREYFUS AMT-FREE MUNICIPAL BOND FUN	0.00	4.18	0.00	4.18	0.0	4.18
12/13/2016	BESEE, MARY	DREYFUS AMT-FREE MUNICIPAL BOND FUN	0.00	3.96	0.00	3.96	0.0	3.96
02/14/2018	EVANSUSA, DENISE	JH FINANCIAL INDUSTRIES A	0.00	2.01	0.00	2.01	0.0	2.01
02/14/2018	EVANSUSA, DENISE	JH LARGE CAP EQUITY A	0.00	3.19	0.00	3.19	0.0	3.19
02/14/2018	EVANSUSA, DENISE	JH NEW OPPORTUNITIES A	0.00	2.20	0.00	2.20	0.0	2.20
02/14/2018	EVANSUSA, DENISE	JH STRATEGIC GROWTH A	0.00	2.36	0.00	2.36	0.0	2.36
02/22/2016	WHITE, JACKSON	OPPENHEIMER LIMITED TERM GOVERNMENT	0.00	2.77	0.00	2.77	0.0	2.77
03/17/2016	WHITE, JACKSON	OPPENHEIMER LIMITED TERM GOVERNMENT	0.00	2.59	0.00	2.59	0.0	2.59
04/21/2016	WHITE, JACKSON	OPPENHEIMER LIMITED TERM GOVERNMENT	0.00	2.76	0.00	2.76	0.0	2.76
05/19/2016	WHITE, JACKSON	OPPENHEIMER LIMITED TERM GOVERNMENT	0.00	2.68	0.00	2.68	0.0	2.68

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<u> OVERRIDE TRANSACTIONS </u>								
<u> BROKER: DANIEL COLLINS #106 </u>								
06/30/2016	WHITE, JACKSON	OPPENHEIMER LIMITED TERM GOVERNMENT	0.00	2.77	0.00	2.77	0.0	2.77
07/18/2016	WHITE, JACKSON	OPPENHEIMER LIMITED TERM GOVERNMENT	0.00	2.68	0.00	2.68	0.0	2.68
08/24/2016	WHITE, JACKSON	OPPENHEIMER LIMITED TERM GOVERNMENT	0.00	2.78	0.00	2.78	0.0	2.78
09/22/2016	WHITE, JACKSON	OPPENHEIMER LIMITED TERM GOVERNMENT	0.00	2.77	0.00	2.77	0.0	2.77
10/21/2016	WHITE, JACKSON	OPPENHEIMER LIMITED TERM GOVERNMENT	0.00	2.68	0.00	2.68	0.0	2.68
11/21/2016	WHITE, JACKSON	OPPENHEIMER LIMITED TERM GOVERNMENT	0.00	2.77	0.00	2.77	0.0	2.77
12/19/2016	WHITE, JACKSON	OPPENHEIMER LIMITED TERM GOVERNMENT	0.00	2.67	0.00	2.67	0.0	2.67
02/22/2016	WHITE, MARGARET	PIMCO REAL RETURN A	0.00	1.87	0.00	1.87	0.0	1.87
03/11/2016	WHITE, MARGARET	PIMCO REAL RETURN A	0.00	1.76	0.00	1.76	0.0	1.76
04/20/2016	WHITE, MARGARET	PIMCO REAL RETURN A	0.00	1.91	0.00	1.91	0.0	1.91
05/18/2016	WHITE, MARGARET	PIMCO REAL RETURN A	0.00	1.88	0.00	1.88	0.0	1.88
06/16/2016	WHITE, MARGARET	PIMCO REAL RETURN A	0.00	1.95	0.00	1.95	0.0	1.95
07/15/2016	WHITE, MARGARET	PIMCO REAL RETURN A	0.00	1.90	0.00	1.90	0.0	1.90
08/12/2016	WHITE, MARGARET	PIMCO REAL RETURN A	0.00	1.99	0.00	1.99	0.0	1.99
09/15/2016	WHITE, MARGARET	PIMCO REAL RETURN A	0.00	1.99	0.00	1.99	0.0	1.99
10/21/2016	WHITE, MARGARET	PIMCO REAL RETURN A	0.00	1.93	0.00	1.93	0.0	1.93
11/18/2016	WHITE, MARGARET	PIMCO REAL RETURN A	0.00	2.00	0.00	2.00	0.0	2.00
12/14/2016	WHITE, MARGARET	PIMCO REAL RETURN A	0.00	1.91	0.00	1.91	0.0	1.91
02/22/2016	PARSONS, VIRGINIA	PUTNAM GLOBAL NAT RESOURCES-A	0.00	0.77	0.00	0.77	0.0	0.77
03/22/2016	PARSONS, VIRGINIA	PUTNAM GLOBAL NAT RESOURCES-A	0.00	0.73	0.00	0.73	0.0	0.73
04/21/2016	PARSONS, VIRGINIA	PUTNAM GLOBAL NAT RESOURCES-A	0.00	0.86	0.00	0.86	0.0	0.86
05/26/2016	PARSONS, VIRGINIA	PUTNAM GLOBAL NAT RESOURCES-A	0.00	0.87	0.00	0.87	0.0	0.87
06/23/2016	PARSONS, VIRGINIA	PUTNAM GLOBAL NAT RESOURCES-A	0.00	0.91	0.00	0.91	0.0	0.91
07/26/2016	PARSONS, VIRGINIA	PUTNAM GLOBAL NAT RESOURCES-A	0.00	0.89	0.00	0.89	0.0	0.89
08/19/2016	PARSONS, VIRGINIA	PUTNAM GLOBAL NAT RESOURCES-A	0.00	0.92	0.00	0.92	0.0	0.92
09/20/2016	PARSONS, VIRGINIA	PUTNAM GLOBAL NAT RESOURCES-A	0.00	0.93	0.00	0.93	0.0	0.93
10/25/2016	PARSONS, VIRGINIA	PUTNAM GLOBAL NAT RESOURCES-A	0.00	0.89	0.00	0.89	0.0	0.89
11/23/2016	PARSONS, VIRGINIA	PUTNAM GLOBAL NAT RESOURCES-A	0.00	0.92	0.00	0.92	0.0	0.92
12/23/2016	PARSONS, VIRGINIA	PUTNAM GLOBAL NAT RESOURCES-A	0.00	0.89	0.00	0.89	0.0	0.89
02/12/2016	WHITE, JACKSON	WELLS FARGO MUNICIPAL BOND A	0.00	2.81	0.00	2.81	0.0	2.81
03/16/2016	WHITE, JACKSON	WELLS FARGO MUNICIPAL BOND A	0.00	2.63	0.00	2.63	0.0	2.63
04/15/2016	WHITE, JACKSON	WELLS FARGO MUNICIPAL BOND A	0.00	2.79	0.00	2.79	0.0	2.79
05/16/2016	WHITE, JACKSON	WELLS FARGO MUNICIPAL BOND A	0.00	2.73	0.00	2.73	0.0	2.73

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<u> OVERRIDE TRANSACTIONS </u>								
<u>BROKER: DANIEL COLLINS #106</u>								
06/14/2016	WHITE, JACKSON	WELLS FARGO MUNICIPAL BOND A	0.00	2.83	0.00	2.83	0.0	2.83
07/18/2016	WHITE, JACKSON	WELLS FARGO MUNICIPAL BOND A	0.00	2.76	0.00	2.76	0.0	2.76
08/15/2016	WHITE, JACKSON	WELLS FARGO MUNICIPAL BOND A	0.00	2.86	0.00	2.86	0.0	2.86
09/15/2016	WHITE, JACKSON	WELLS FARGO MUNICIPAL BOND A	0.00	2.86	0.00	2.86	0.0	2.86
10/12/2016	WHITE, JACKSON	WELLS FARGO MUNICIPAL BOND A	0.00	2.76	0.00	2.76	0.0	2.76
11/16/2016	WHITE, JACKSON	WELLS FARGO MUNICIPAL BOND A	0.00	2.83	0.00	2.83	0.0	2.83
12/14/2016	WHITE, JACKSON	WELLS FARGO MUNICIPAL BOND A	0.00	2.67	0.00	2.67	0.0	2.67
* DANIEL COLLINS SUBTOTAL *			\$0.00	\$508.38	\$0.00	\$508.38		\$508.38
<u>BROKER: MARK WIACEK #116</u>								
02/08/2016	WIACEK, WALTER	ALLIANCEBERNSTEIN SMALL/MID CAP VAL	0.00	2.13	0.00	2.13	0.0	2.13
02/08/2016	WIACEK, WALTER	ALLIANCEBERNSTEIN SMALL/MID CAP VAL	0.00	0.94	0.00	0.94	0.0	0.94
03/09/2016	WIACEK, WALTER	ALLIANCEBERNSTEIN SMALL/MID CAP VAL	0.00	1.98	0.00	1.98	0.0	1.98
03/09/2016	WIACEK, WALTER	ALLIANCEBERNSTEIN SMALL/MID CAP VAL	0.00	0.87	0.00	0.87	0.0	0.87
04/18/2016	WIACEK, WALTER	ALLIANCEBERNSTEIN SMALL/MID CAP VAL	0.00	2.33	0.00	2.33	0.0	2.33
04/18/2016	WIACEK, WALTER	ALLIANCEBERNSTEIN SMALL/MID CAP VAL	0.00	1.03	0.00	1.03	0.0	1.03
05/11/2016	WIACEK, WALTER	ALLIANCEBERNSTEIN SMALL/MID CAP VAL	0.00	2.32	0.00	2.32	0.0	2.32
05/11/2016	WIACEK, WALTER	ALLIANCEBERNSTEIN SMALL/MID CAP VAL	0.00	1.02	0.00	1.02	0.0	1.02
06/10/2016	WIACEK, WALTER	ALLIANCEBERNSTEIN SMALL/MID CAP VAL	0.00	2.39	0.00	2.39	0.0	2.39
06/10/2016	WIACEK, WALTER	ALLIANCEBERNSTEIN SMALL/MID CAP VAL	0.00	1.05	0.00	1.05	0.0	1.05
07/18/2016	WIACEK, WALTER	ALLIANCEBERNSTEIN SMALL/MID CAP VAL	0.00	2.36	0.00	2.36	0.0	2.36
07/18/2016	WIACEK, WALTER	ALLIANCEBERNSTEIN SMALL/MID CAP VAL	0.00	1.04	0.00	1.04	0.0	1.04
08/08/2016	WIACEK, WALTER	ALLIANCEBERNSTEIN SMALL/MID CAP VAL	0.00	0.86	0.00	0.86	0.0	0.86
08/08/2016	WIACEK, WALTER	ALLIANCEBERNSTEIN SMALL/MID CAP VAL	0.00	0.17	0.00	0.17	0.0	0.17
02/08/2016	WIACEK, WALTER	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	1.08	0.00	1.08	0.0	1.08
03/18/2016	WIACEK, WALTER	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	1.15	0.00	1.15	0.0	1.15
04/14/2016	WIACEK, WALTER	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	1.16	0.00	1.16	0.0	1.16
05/19/2016	WIACEK, WALTER	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	1.09	0.00	1.09	0.0	1.09
06/23/2016	WIACEK, WALTER	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	1.21	0.00	1.21	0.0	1.21
07/11/2016	WIACEK, WALTER	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	1.14	0.00	1.14	0.0	1.14
08/15/2016	WIACEK, WALTER	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	0.46	0.00	0.46	0.0	0.46
04/14/2016	KRUMMEL LIV TRUST, URSULA	INVESCO COMSTOCK A	0.00	43.60	0.00	43.60	0.0	43.60
07/19/2016	KRUMMEL LIV TRUST, URSULA	INVESCO COMSTOCK A	0.00	45.22	0.00	45.22	0.0	45.22
02/25/2016	IZENSTARK TRUST, IRA	MAINSTAY HIGH YIELD CORP BOND A	0.00	6.16	0.00	6.16	0.0	6.16

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u> OVERRIDE TRANSACTIONS </u>								
<u>BROKER: MARK WIACEK #116</u>								
03/08/2016	IZENSTARK TRUST, IRA	MAINSTAY HIGH YIELD CORP BOND A	0.00	5.66	0.00	5.66	0.0	5.66
04/22/2016	IZENSTARK TRUST, IRA	MAINSTAY HIGH YIELD CORP BOND A	0.00	6.30	0.00	6.30	0.0	6.30
05/17/2016	IZENSTARK TRUST, IRA	MAINSTAY HIGH YIELD CORP BOND A	0.00	6.19	0.00	6.19	0.0	6.19
06/15/2016	IZENSTARK TRUST, IRA	MAINSTAY HIGH YIELD CORP BOND A	0.00	6.48	0.00	6.48	0.0	6.48
07/14/2016	IZENSTARK TRUST, IRA	MAINSTAY HIGH YIELD CORP BOND A	0.00	6.32	0.00	6.32	0.0	6.32
08/18/2016	IZENSTARK TRUST, IRA	MAINSTAY HIGH YIELD CORP BOND A	0.00	4.07	0.00	4.07	0.0	4.07
02/24/2016	WIACEK, WALTER	PRINCIPAL FUNDS STRATEGIC GROWTH A	0.00	1.09	0.00	1.09	0.0	1.09
03/23/2016	WIACEK, WALTER	PRINCIPAL FUNDS STRATEGIC GROWTH A	0.00	1.00	0.00	1.00	0.0	1.00
04/19/2016	WIACEK, WALTER	PRINCIPAL FUNDS STRATEGIC GROWTH A	0.00	1.13	0.00	1.13	0.0	1.13
05/18/2016	WIACEK, WALTER	PRINCIPAL FUNDS STRATEGIC GROWTH A	0.00	1.12	0.00	1.12	0.0	1.12
06/20/2016	WIACEK, WALTER	PRINCIPAL FUNDS STRATEGIC GROWTH A	0.00	1.15	0.00	1.15	0.0	1.15
07/19/2016	WIACEK, WALTER	PRINCIPAL FUNDS STRATEGIC GROWTH A	0.00	1.12	0.00	1.12	0.0	1.12
08/17/2016	WIACEK, WALTER	PRINCIPAL FUNDS STRATEGIC GROWTH A	0.00	0.26	0.00	0.26	0.0	0.26
03/01/2016	WIACEK, WALTER	VICTORY INTEGRITY SMALL-CAP VALUE F	0.00	1.14	0.00	1.14	0.0	1.14
03/01/2016	KRUMMEL LIV TRUST, URSULA	VICTORY INTEGRITY SMALL-CAP VALUE F	0.00	2.79	0.00	2.79	0.0	2.79
04/01/2016	WIACEK, WALTER	VICTORY INTEGRITY SMALL-CAP VALUE F	0.00	1.04	0.00	1.04	0.0	1.04
04/01/2016	KRUMMEL LIV TRUST, URSULA	VICTORY INTEGRITY SMALL-CAP VALUE F	0.00	2.56	0.00	2.56	0.0	2.56
04/25/2016	WIACEK, WALTER	VICTORY INTEGRITY SMALL-CAP VALUE F	0.00	1.22	0.00	1.22	0.0	1.22
04/25/2016	KRUMMEL LIV TRUST, URSULA	VICTORY INTEGRITY SMALL-CAP VALUE F	0.00	2.98	0.00	2.98	0.0	2.98
06/29/2016	WIACEK, WALTER	VICTORY INTEGRITY SMALL-CAP VALUE F	0.00	1.24	0.00	1.24	0.0	1.24
06/29/2016	KRUMMEL LIV TRUST, URSULA	VICTORY INTEGRITY SMALL-CAP VALUE F	0.00	3.05	0.00	3.05	0.0	3.05
06/30/2016	WIACEK, WALTER	VICTORY INTEGRITY SMALL-CAP VALUE F	0.00	1.20	0.00	1.20	0.0	1.20
06/30/2016	KRUMMEL LIV TRUST, URSULA	VICTORY INTEGRITY SMALL-CAP VALUE F	0.00	2.95	0.00	2.95	0.0	2.95
08/01/2016	WIACEK, WALTER	VICTORY INTEGRITY SMALL-CAP VALUE F	0.00	1.22	0.00	1.22	0.0	1.22
08/01/2016	KRUMMEL LIV TRUST, URSULA	VICTORY INTEGRITY SMALL-CAP VALUE F	0.00	2.71	0.00	2.71	0.0	2.71
08/30/2016	WIACEK, WALTER	VICTORY INTEGRITY SMALL-CAP VALUE F	0.00	0.20	0.00	0.20	0.0	0.20
* MARK WIACEK SUBTOTAL *			\$0.00	\$188.95	\$0.00	\$188.95		\$188.95

BROKER: JAMES KOESTER #117

02/08/2016	WINBERRY, LARRY	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	9.67	0.00	9.67	0.0	9.67
03/18/2016	WINBERRY, LARRY	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	10.30	0.00	10.30	0.0	10.30
04/14/2016	WINBERRY, LARRY	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	10.38	0.00	10.38	0.0	10.38
05/19/2016	WINBERRY, LARRY	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	9.77	0.00	9.77	0.0	9.77
06/23/2016	WINBERRY, LARRY	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	10.86	0.00	10.86	0.0	10.86

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<u> OVERRIDE TRANSACTIONS </u>								
<u> BROKER: JAMES KOESTER #117 </u>								
07/11/2016	WINBERRY, LARRY	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	10.23	0.00	10.23	0.0	10.23
08/15/2016	WINBERRY, LARRY	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	10.53	0.00	10.53	0.0	10.53
09/12/2016	WINBERRY, LARRY	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	10.55	0.00	10.55	0.0	10.55
10/14/2016	WINBERRY, LARRY	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	10.22	0.00	10.22	0.0	10.22
11/17/2016	WINBERRY, LARRY	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	10.48	0.00	10.48	0.0	10.48
12/12/2016	WINBERRY, LARRY	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	10.21	0.00	10.21	0.0	10.21
 * JAMES KOESTER SUBTOTAL * 			\$0.00	\$113.20	\$0.00	\$113.20		\$113.20
<u> BROKER: JAY MCCLELLAN #120 </u>								
02/12/2016	ENGELHARDT, ELIZABETH	COLUMBIA MARSICO FOCUSED EQUITIES F	0.00	0.25	0.00	0.25	0.0	0.25
02/12/2016	ENGELHARDT, ELIZABETH	COLUMBIA MARSICO FOCUSED EQUITIES F	0.00	1.75	0.00	1.75	0.0	1.75
02/12/2016	ENGELHARDT, ELIZABETH	COLUMBIA MARSICO FOCUSED EQUITIES F	0.00	0.18	0.00	0.18	0.0	0.18
03/14/2016	ENGELHARDT, ELIZABETH	COLUMBIA MARSICO FOCUSED EQUITIES F	0.00	0.46	0.00	0.46	0.0	0.46
04/15/2016	ENGELHARDT, ELIZABETH	COLUMBIA MARSICO FOCUSED EQUITIES F	0.00	0.52	0.00	0.52	0.0	0.52
05/24/2016	ENGELHARDT, ELIZABETH	COLUMBIA MARSICO FOCUSED EQUITIES F	0.00	0.52	0.00	0.52	0.0	0.52
06/14/2016	ENGELHARDT, ELIZABETH	COLUMBIA MARSICO FOCUSED EQUITIES F	0.00	0.54	0.00	0.54	0.0	0.54
07/20/2016	ENGELHARDT, ELIZABETH	COLUMBIA MARSICO FOCUSED EQUITIES F	0.00	0.52	0.00	0.52	0.0	0.52
08/17/2016	ENGELHARDT, ELIZABETH	COLUMBIA MARSICO FOCUSED EQUITIES F	0.00	0.55	0.00	0.55	0.0	0.55
09/16/2016	ENGELHARDT, ELIZABETH	COLUMBIA MARSICO FOCUSED EQUITIES F	0.00	0.57	0.00	0.57	0.0	0.57
10/14/2016	ENGELHARDT, ELIZABETH	COLUMBIA MARSICO FOCUSED EQUITIES F	0.00	0.55	0.00	0.55	0.0	0.55
11/15/2016	ENGELHARDT, ELIZABETH	COLUMBIA MARSICO FOCUSED EQUITIES F	0.00	0.56	0.00	0.56	0.0	0.56
12/15/2016	ENGELHARDT, ELIZABETH	COLUMBIA MARSICO FOCUSED EQUITIES F	0.00	0.54	0.00	0.54	0.0	0.54
02/05/2018	CRABTREE, ASHTYN	COLUMBIA STRATEGIC INVESTOR A	0.00	3.49	0.00	3.49	0.0	3.49
02/16/2016	ENGELHARDT, ELIZABETH	DAVIS NEW YORK VENTURE A	0.00	0.16	0.00	0.16	0.0	0.16
03/14/2016	ENGELHARDT, ELIZABETH	DAVIS NEW YORK VENTURE A	0.00	0.42	0.00	0.42	0.0	0.42
04/20/2016	ENGELHARDT, ELIZABETH	DAVIS NEW YORK VENTURE A	0.00	0.48	0.00	0.48	0.0	0.48
05/16/2016	ENGELHARDT, ELIZABETH	DAVIS NEW YORK VENTURE A	0.00	0.48	0.00	0.48	0.0	0.48
06/16/2016	ENGELHARDT, ELIZABETH	DAVIS NEW YORK VENTURE A	0.00	0.51	0.00	0.51	0.0	0.51
07/15/2016	ENGELHARDT, ELIZABETH	DAVIS NEW YORK VENTURE A	0.00	0.49	0.00	0.49	0.0	0.49
08/15/2016	ENGELHARDT, ELIZABETH	DAVIS NEW YORK VENTURE A	0.00	0.52	0.00	0.52	0.0	0.52
09/16/2016	ENGELHARDT, ELIZABETH	DAVIS NEW YORK VENTURE A	0.00	0.54	0.00	0.54	0.0	0.54
10/17/2016	ENGELHARDT, ELIZABETH	DAVIS NEW YORK VENTURE A	0.00	0.52	0.00	0.52	0.0	0.52
11/11/2016	ENGELHARDT, ELIZABETH	DAVIS NEW YORK VENTURE A	0.00	0.54	0.00	0.54	0.0	0.54
12/16/2016	ENGELHARDT, ELIZABETH	DAVIS NEW YORK VENTURE A	0.00	0.53	0.00	0.53	0.0	0.53

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<u> OVERRIDE TRANSACTIONS </u>								
<u> BROKER: JAY MCCLELLAN #120 </u>								
02/16/2016	ENGELHARDT, ELIZABETH	DAVIS NEW YORK VENTURE C	0.00	0.62	0.00	0.62	0.0	0.62
/ /	ZEHRINGER, JAMES	EATON VANCE GREATER CHINA GROWTH A	0.00	3.02	0.00	3.02	0.0	3.02
04/22/2016	MAPLE TRUST, DENNIS & JOANN	GRIFFIN INSTITUTIONAL ACCESS REAL E	0.00	8.99	0.00	8.99	0.0	8.99
04/22/2016	KULBACK, SONDR	GRIFFIN INSTITUTIONAL ACCESS REAL E	0.00	8.91	0.00	8.91	0.0	8.91
04/22/2016	KAMMER, CHARLES	GRIFFIN INSTITUTIONAL ACCESS REAL E	0.00	6.06	0.00	6.06	0.0	6.06
04/22/2016	HAMANN, JOHN	GRIFFIN INSTITUTIONAL ACCESS REAL E	0.00	9.29	0.00	9.29	0.0	9.29
08/01/2016	MAPLE TRUST, DENNIS & JOANN	GRIFFIN INSTITUTIONAL ACCESS REAL E	0.00	9.09	0.00	9.09	0.0	9.09
08/01/2016	KULBACK, SONDR	GRIFFIN INSTITUTIONAL ACCESS REAL E	0.00	9.01	0.00	9.01	0.0	9.01
08/01/2016	KAMMER, CHARLES	GRIFFIN INSTITUTIONAL ACCESS REAL E	0.00	6.21	0.00	6.21	0.0	6.21
08/01/2016	HAMANN, JOHN	GRIFFIN INSTITUTIONAL ACCESS REAL E	0.00	9.52	0.00	9.52	0.0	9.52
10/17/2016	MAPLE TRUST, DENNIS & JOANN	GRIFFIN INSTITUTIONAL ACCESS REAL E	0.00	9.27	0.00	9.27	0.0	9.27
10/17/2016	KULBACK, SONDR	GRIFFIN INSTITUTIONAL ACCESS REAL E	0.00	9.18	0.00	9.18	0.0	9.18
10/17/2016	KAMMER, CHARLES	GRIFFIN INSTITUTIONAL ACCESS REAL E	0.00	6.41	0.00	6.41	0.0	6.41
10/17/2016	HAMANN, JOHN	GRIFFIN INSTITUTIONAL ACCESS REAL E	0.00	9.82	0.00	9.82	0.0	9.82
10/17/2016	LUCKEY, CHARISSE	GRIFFIN INSTITUTIONAL ACCESS REAL E	0.00	9.19	0.00	9.19	0.0	9.19
12/23/2016	ABNEY, DAVID	HIGHLAND GLOBAL ALLOCATION FUND CLA	0.00	13.32	0.00	13.32	0.0	13.32
02/12/2018	CRABTREE, GARY	MET LIFE 10922P124	9,285.29	1.93	0.00	1.93	0.0	1.93
02/12/2018	CRABTREE, GARY	MET LIFE 10922P124	8,628.87	1.79	0.00	1.79	0.0	1.79
02/12/2018	CRABTREE, GARY	MET LIFE 10922P124	10,930.67	2.27	0.00	2.27	0.0	2.27
02/12/2018	CRABTREE, GARY	MET LIFE 10922P124	6,972.92	1.45	0.00	1.45	0.0	1.45
02/12/2018	CRABTREE, GARY	MET LIFE 10922P124	36,526.96	7.60	0.00	7.60	0.0	7.60
02/12/2018	CRABTREE, GARY	MET LIFE 10922P124	8,558.59	1.78	0.00	1.78	0.0	1.78
03/14/2016	COTTONGIM, TERRI	MFS MASS INVESTORS GROWTH STOCK A	0.00	0.59	0.00	0.59	0.0	0.59
04/15/2016	COTTONGIM, TERRI	MFS MASS INVESTORS GROWTH STOCK A	0.00	1.52	0.00	1.52	0.0	1.52
05/17/2016	COTTONGIM, TERRI	MFS MASS INVESTORS GROWTH STOCK A	0.00	0.03	0.00	0.03	0.0	0.03
06/16/2016	COTTONGIM, TERRI	MFS MASS INVESTORS GROWTH STOCK A	0.00	0.04	0.00	0.04	0.0	0.04
07/20/2016	COTTONGIM, TERRI	MFS MASS INVESTORS GROWTH STOCK A	0.00	0.06	0.00	0.06	0.0	0.06
08/16/2016	COTTONGIM, TERRI	MFS MASS INVESTORS GROWTH STOCK A	0.00	0.09	0.00	0.09	0.0	0.09
09/15/2016	COTTONGIM, TERRI	MFS MASS INVESTORS GROWTH STOCK A	0.00	0.11	0.00	0.11	0.0	0.11
10/20/2016	COTTONGIM, TERRI	MFS MASS INVESTORS GROWTH STOCK A	0.00	0.13	0.00	0.13	0.0	0.13
11/14/2016	COTTONGIM, TERRI	MFS MASS INVESTORS GROWTH STOCK A	0.00	0.15	0.00	0.15	0.0	0.15
12/19/2016	COTTONGIM, TERRI	MFS MASS INVESTORS GROWTH STOCK A	0.00	0.17	0.00	0.17	0.0	0.17
03/14/2016	COTTONGIM, TERRI	MFS MASS INVESTORS GROWTH STOCK B	0.00	0.09	0.00	0.09	0.0	0.09

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<u> OVERRIDE TRANSACTIONS </u>								
<u>BROKER: JAY MCCLELLAN #120</u>								
04/15/2016	COTTONGIM, TERRI	MFS MASS INVESTORS GROWTH STOCK B	0.00	0.69	0.00	0.69	0.0	0.69
05/17/2016	COTTONGIM, TERRI	MFS MASS INVESTORS GROWTH STOCK B	0.00	0.66	0.00	0.66	0.0	0.66
06/16/2016	COTTONGIM, TERRI	MFS MASS INVESTORS GROWTH STOCK B	0.00	0.67	0.00	0.67	0.0	0.67
07/20/2016	COTTONGIM, TERRI	MFS MASS INVESTORS GROWTH STOCK B	0.00	0.63	0.00	0.63	0.0	0.63
08/16/2016	COTTONGIM, TERRI	MFS MASS INVESTORS GROWTH STOCK B	0.00	0.64	0.00	0.64	0.0	0.64
09/15/2016	COTTONGIM, TERRI	MFS MASS INVESTORS GROWTH STOCK B	0.00	0.64	0.00	0.64	0.0	0.64
10/20/2016	COTTONGIM, TERRI	MFS MASS INVESTORS GROWTH STOCK B	0.00	0.59	0.00	0.59	0.0	0.59
11/14/2016	COTTONGIM, TERRI	MFS MASS INVESTORS GROWTH STOCK B	0.00	0.58	0.00	0.58	0.0	0.58
12/19/2016	COTTONGIM, TERRI	MFS MASS INVESTORS GROWTH STOCK B	0.00	0.53	0.00	0.53	0.0	0.53
03/14/2016	COTTONGIM, TERRI	MFS MODERATE ALLOCATION A	0.00	0.15	0.00	0.15	0.0	0.15
04/15/2016	COTTONGIM, TERRI	MFS MODERATE ALLOCATION A	0.00	0.75	0.00	0.75	0.0	0.75
05/17/2016	COTTONGIM, TERRI	MFS MODERATE ALLOCATION A	0.00	0.53	0.00	0.53	0.0	0.53
06/16/2016	COTTONGIM, TERRI	MFS MODERATE ALLOCATION A	0.00	0.55	0.00	0.55	0.0	0.55
07/20/2016	COTTONGIM, TERRI	MFS MODERATE ALLOCATION A	0.00	0.54	0.00	0.54	0.0	0.54
08/16/2016	COTTONGIM, TERRI	MFS MODERATE ALLOCATION A	0.00	0.57	0.00	0.57	0.0	0.57
09/15/2016	COTTONGIM, TERRI	MFS MODERATE ALLOCATION A	0.00	0.58	0.00	0.58	0.0	0.58
10/20/2016	COTTONGIM, TERRI	MFS MODERATE ALLOCATION A	0.00	0.56	0.00	0.56	0.0	0.56
11/14/2016	COTTONGIM, TERRI	MFS MODERATE ALLOCATION A	0.00	0.57	0.00	0.57	0.0	0.57
12/19/2016	COTTONGIM, TERRI	MFS MODERATE ALLOCATION A	0.00	0.55	0.00	0.55	0.0	0.55
04/13/2016	PETKERVICH TRUST, MARY	PIIONEER BOND FUND A	0.00	1.99	0.00	1.99	0.0	1.99
05/10/2016	PETKERVICH TRUST, MARY	PIIONEER BOND FUND A	0.00	4.30	0.00	4.30	0.0	4.30
06/16/2016	PETKERVICH TRUST, MARY	PIIONEER BOND FUND A	0.00	4.47	0.00	4.47	0.0	4.47
07/19/2016	PETKERVICH TRUST, MARY	PIIONEER BOND FUND A	0.00	4.36	0.00	4.36	0.0	4.36
08/09/2016	PETKERVICH TRUST, MARY	PIIONEER BOND FUND A	0.00	4.56	0.00	4.56	0.0	4.56
09/14/2016	PETKERVICH TRUST, MARY	PIIONEER BOND FUND A	0.00	4.58	0.00	4.58	0.0	4.58
10/17/2016	PETKERVICH TRUST, MARY	PIIONEER BOND FUND A	0.00	4.44	0.00	4.44	0.0	4.44
11/18/2016	PETKERVICH TRUST, MARY	PIIONEER BOND FUND A	0.00	4.59	0.00	4.59	0.0	4.59
12/16/2016	PETKERVICH TRUST, MARY	PIIONEER BOND FUND A	0.00	4.39	0.00	4.39	0.0	4.39
02/17/2016	PETKERVICH TRUST, MARY	PIIONEER GLOBAL HIGH YIELD A	0.00	0.69	0.00	0.69	0.0	0.69
03/11/2016	PETKERVICH TRUST, MARY	PIIONEER GLOBAL HIGH YIELD A	0.00	0.63	0.00	0.63	0.0	0.63
04/13/2016	PETKERVICH TRUST, MARY	PIIONEER GLOBAL HIGH YIELD A	0.00	0.70	0.00	0.70	0.0	0.70
05/10/2016	PETKERVICH TRUST, MARY	PIIONEER GLOBAL HIGH YIELD A	0.00	0.70	0.00	0.70	0.0	0.70
06/16/2016	PETKERVICH TRUST, MARY	PIIONEER GLOBAL HIGH YIELD A	0.00	0.73	0.00	0.73	0.0	0.73

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>VERRIDE TRANSACTIONS</u>								
<u>BROKER: JAY MCCLELLAN #120</u>								
07/19/2016	PETKERVICH TRUST, MARY	PIONEER GLOBAL HIGH YIELD A	0.00	0.71	0.00	0.71	0.0	0.71
08/09/2016	PETKERVICH TRUST, MARY	PIONEER GLOBAL HIGH YIELD A	0.00	0.75	0.00	0.75	0.0	0.75
09/14/2016	PETKERVICH TRUST, MARY	PIONEER GLOBAL HIGH YIELD A	0.00	0.77	0.00	0.77	0.0	0.77
10/17/2016	PETKERVICH TRUST, MARY	PIONEER GLOBAL HIGH YIELD A	0.00	0.75	0.00	0.75	0.0	0.75
11/18/2016	PETKERVICH TRUST, MARY	PIONEER GLOBAL HIGH YIELD A	0.00	0.78	0.00	0.78	0.0	0.78
12/16/2016	PETKERVICH TRUST, MARY	PIONEER GLOBAL HIGH YIELD A	0.00	0.75	0.00	0.75	0.0	0.75
02/17/2016	PETKERVICH TRUST, MARY	PIONEER GOVERNMENT INCOME A	0.00	4.37	0.00	4.37	0.0	4.37
03/11/2016	PETKERVICH TRUST, MARY	PIONEER GOVERNMENT INCOME A	0.00	4.12	0.00	4.12	0.0	4.12
04/13/2016	PETKERVICH TRUST, MARY	PIONEER GOVERNMENT INCOME A	0.00	2.41	0.00	2.41	0.0	2.41
02/17/2016	PETKERVICH, MARY	PIONEER MULTI-ASSET REAL RETURN A	0.00	4.42	0.00	4.42	0.0	4.42
03/11/2016	PETKERVICH, MARY	PIONEER MULTI-ASSET REAL RETURN A	0.00	4.07	0.00	4.07	0.0	4.07
04/13/2016	PETKERVICH, MARY	PIONEER MULTI-ASSET REAL RETURN A	0.00	4.63	0.00	4.63	0.0	4.63
05/10/2016	PETKERVICH, MARY	PIONEER MULTI-ASSET REAL RETURN A	0.00	4.62	0.00	4.62	0.0	4.62
06/16/2016	PETKERVICH, MARY	PIONEER MULTI-ASSET REAL RETURN A	0.00	4.78	0.00	4.78	0.0	4.78
07/19/2016	PETKERVICH, MARY	PIONEER MULTI-ASSET REAL RETURN A	0.00	4.63	0.00	4.63	0.0	4.63
08/09/2016	PETKERVICH, MARY	PIONEER MULTI-ASSET REAL RETURN A	0.00	4.88	0.00	4.88	0.0	4.88
09/14/2016	PETKERVICH, MARY	PIONEER MULTI-ASSET REAL RETURN A	0.00	4.96	0.00	4.96	0.0	4.96
10/17/2016	PETKERVICH, MARY	PIONEER MULTI-ASSET REAL RETURN A	0.00	4.79	0.00	4.79	0.0	4.79
11/18/2016	PETKERVICH, MARY	PIONEER MULTI-ASSET REAL RETURN A	0.00	4.89	0.00	4.89	0.0	4.89
12/16/2016	PETKERVICH, MARY	PIONEER MULTI-ASSET REAL RETURN A	0.00	4.63	0.00	4.63	0.0	4.63
02/12/2016	UPADHYAYA, SAVITA	RESOURCE R E DIVERSIFIED INC FUND A	0.00	1.42	0.00	1.42	0.0	1.42
02/12/2016	TONKLI, MARJAN	RESOURCE R E DIVERSIFIED INC FUND A	0.00	2.83	0.00	2.83	0.0	2.83
02/12/2016	KELLEY, TRINETTE	RESOURCE R E DIVERSIFIED INC FUND A	0.00	1.92	0.00	1.92	0.0	1.92
02/12/2016	FLORKEY, GENE	RESOURCE R E DIVERSIFIED INC FUND A	0.00	1.90	0.00	1.90	0.0	1.90
02/12/2016	ROE, CAROLYN	RESOURCE R E DIVERSIFIED INC FUND A	0.00	2.51	0.00	2.51	0.0	2.51
02/12/2016	COOVER, SHEILA	RESOURCE R E DIVERSIFIED INC FUND A	0.00	2.85	0.00	2.85	0.0	2.85
03/14/2016	UPADHYAYA, SAVITA	RESOURCE R E DIVERSIFIED INC FUND A	0.00	1.29	0.00	1.29	0.0	1.29
03/14/2016	TONKLI, MARJAN	RESOURCE R E DIVERSIFIED INC FUND A	0.00	2.58	0.00	2.58	0.0	2.58
03/14/2016	KELLEY, TRINETTE	RESOURCE R E DIVERSIFIED INC FUND A	0.00	1.74	0.00	1.74	0.0	1.74
03/14/2016	FLORKEY, GENE	RESOURCE R E DIVERSIFIED INC FUND A	0.00	1.73	0.00	1.73	0.0	1.73
03/14/2016	ROE, CAROLYN	RESOURCE R E DIVERSIFIED INC FUND A	0.00	2.28	0.00	2.28	0.0	2.28
03/14/2016	COOVER, SHEILA	RESOURCE R E DIVERSIFIED INC FUND A	0.00	2.59	0.00	2.59	0.0	2.59
04/18/2016	UPADHYAYA, SAVITA	RESOURCE R E DIVERSIFIED INC FUND A	0.00	1.44	0.00	1.44	0.0	1.44

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u> OVERRIDE TRANSACTIONS </u>								
<u>BROKER: JAY MCCLELLAN #120</u>								
04/18/2016	TONKLI, MARJAN	RESOURCE R E DIVERSIFIED INC FUND A	0.00	2.87	0.00	2.87	0.0	2.87
04/18/2016	KELLEY, TRINETTE	RESOURCE R E DIVERSIFIED INC FUND A	0.00	1.94	0.00	1.94	0.0	1.94
04/18/2016	FLORKEY, GENE	RESOURCE R E DIVERSIFIED INC FUND A	0.00	1.93	0.00	1.93	0.0	1.93
04/18/2016	ROE, CAROLYN	RESOURCE R E DIVERSIFIED INC FUND A	0.00	2.55	0.00	2.55	0.0	2.55
04/18/2016	COOVER, SHEILA	RESOURCE R E DIVERSIFIED INC FUND A	0.00	2.89	0.00	2.89	0.0	2.89
05/16/2016	UPADHYAYA, SAVITA	RESOURCE R E DIVERSIFIED INC FUND A	0.00	1.43	0.00	1.43	0.0	1.43
05/16/2016	TONKLI, MARJAN	RESOURCE R E DIVERSIFIED INC FUND A	0.00	2.85	0.00	2.85	0.0	2.85
05/16/2016	KELLEY, TRINETTE	RESOURCE R E DIVERSIFIED INC FUND A	0.00	1.93	0.00	1.93	0.0	1.93
05/16/2016	FLORKEY, GENE	RESOURCE R E DIVERSIFIED INC FUND A	0.00	1.91	0.00	1.91	0.0	1.91
05/16/2016	ROE, CAROLYN	RESOURCE R E DIVERSIFIED INC FUND A	0.00	2.53	0.00	2.53	0.0	2.53
05/16/2016	COOVER, SHEILA	RESOURCE R E DIVERSIFIED INC FUND A	0.00	2.87	0.00	2.87	0.0	2.87
06/16/2016	UPADHYAYA, SAVITA	RESOURCE R E DIVERSIFIED INC FUND A	0.00	1.49	0.00	1.49	0.0	1.49
06/16/2016	TONKLI, MARJAN	RESOURCE R E DIVERSIFIED INC FUND A	0.00	2.98	0.00	2.98	0.0	2.98
06/16/2016	KELLEY, TRINETTE	RESOURCE R E DIVERSIFIED INC FUND A	0.00	2.02	0.00	2.02	0.0	2.02
06/16/2016	FLORKEY, GENE	RESOURCE R E DIVERSIFIED INC FUND A	0.00	2.00	0.00	2.00	0.0	2.00
06/16/2016	ROE, CAROLYN	RESOURCE R E DIVERSIFIED INC FUND A	0.00	2.65	0.00	2.65	0.0	2.65
06/16/2016	COOVER, SHEILA	RESOURCE R E DIVERSIFIED INC FUND A	0.00	3.00	0.00	3.00	0.0	3.00
07/18/2016	UPADHYAYA, SAVITA	RESOURCE R E DIVERSIFIED INC FUND A	0.00	1.46	0.00	1.46	0.0	1.46
07/18/2016	TONKLI, MARJAN	RESOURCE R E DIVERSIFIED INC FUND A	0.00	2.92	0.00	2.92	0.0	2.92
07/18/2016	KELLEY, TRINETTE	RESOURCE R E DIVERSIFIED INC FUND A	0.00	1.98	0.00	1.98	0.0	1.98
07/18/2016	FLORKEY, GENE	RESOURCE R E DIVERSIFIED INC FUND A	0.00	1.96	0.00	1.96	0.0	1.96
07/18/2016	ROE, CAROLYN	RESOURCE R E DIVERSIFIED INC FUND A	0.00	2.59	0.00	2.59	0.0	2.59
07/18/2016	COOVER, SHEILA	RESOURCE R E DIVERSIFIED INC FUND A	0.00	2.94	0.00	2.94	0.0	2.94
08/15/2016	UPADHYAYA, SAVITA	RESOURCE R E DIVERSIFIED INC FUND A	0.00	1.58	0.00	1.58	0.0	1.58
08/15/2016	TONKLI, MARJAN	RESOURCE R E DIVERSIFIED INC FUND A	0.00	3.15	0.00	3.15	0.0	3.15
08/15/2016	KELLEY, TRINETTE	RESOURCE R E DIVERSIFIED INC FUND A	0.00	2.13	0.00	2.13	0.0	2.13
08/15/2016	FLORKEY, GENE	RESOURCE R E DIVERSIFIED INC FUND A	0.00	2.11	0.00	2.11	0.0	2.11
08/15/2016	ROE, CAROLYN	RESOURCE R E DIVERSIFIED INC FUND A	0.00	2.79	0.00	2.79	0.0	2.79
08/15/2016	COOVER, SHEILA	RESOURCE R E DIVERSIFIED INC FUND A	0.00	3.17	0.00	3.17	0.0	3.17
09/15/2016	UPADHYAYA, SAVITA	RESOURCE R E DIVERSIFIED INC FUND A	0.00	1.61	0.00	1.61	0.0	1.61
09/15/2016	TONKLI, MARJAN	RESOURCE R E DIVERSIFIED INC FUND A	0.00	3.21	0.00	3.21	0.0	3.21
09/15/2016	KELLEY, TRINETTE	RESOURCE R E DIVERSIFIED INC FUND A	0.00	2.18	0.00	2.18	0.0	2.18
09/15/2016	FLORKEY, GENE	RESOURCE R E DIVERSIFIED INC FUND A	0.00	2.16	0.00	2.16	0.0	2.16

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<u> OVERRIDE TRANSACTIONS </u>								
<u> BROKER: JAY MCCLELLAN #120 </u>								
09/15/2016	ROE, CAROLYN	RESOURCE R E DIVERSIFIED INC FUND A	0.00	2.85	0.00	2.85	0.0	2.85
09/15/2016	COOVER, SHEILA	RESOURCE R E DIVERSIFIED INC FUND A	0.00	3.24	0.00	3.24	0.0	3.24
10/17/2016	UPADHYAYA, SAVITA	RESOURCE R E DIVERSIFIED INC FUND A	0.00	1.56	0.00	1.56	0.0	1.56
10/17/2016	TONKLI, MARJAN	RESOURCE R E DIVERSIFIED INC FUND A	0.00	3.12	0.00	3.12	0.0	3.12
10/17/2016	KELLEY, TRINETTE	RESOURCE R E DIVERSIFIED INC FUND A	0.00	2.11	0.00	2.11	0.0	2.11
10/17/2016	FLORKEY, GENE	RESOURCE R E DIVERSIFIED INC FUND A	0.00	2.10	0.00	2.10	0.0	2.10
10/17/2016	ROE, CAROLYN	RESOURCE R E DIVERSIFIED INC FUND A	0.00	2.77	0.00	2.77	0.0	2.77
10/17/2016	COOVER, SHEILA	RESOURCE R E DIVERSIFIED INC FUND A	0.00	3.14	0.00	3.14	0.0	3.14
11/17/2016	UPADHYAYA, SAVITA	RESOURCE R E DIVERSIFIED INC FUND A	0.00	1.61	0.00	1.61	0.0	1.61
11/17/2016	TONKLI, MARJAN	RESOURCE R E DIVERSIFIED INC FUND A	0.00	3.21	0.00	3.21	0.0	3.21
11/17/2016	KELLEY, TRINETTE	RESOURCE R E DIVERSIFIED INC FUND A	0.00	2.17	0.00	2.17	0.0	2.17
11/17/2016	FLORKEY, GENE	RESOURCE R E DIVERSIFIED INC FUND A	0.00	2.15	0.00	2.15	0.0	2.15
11/17/2016	ROE, CAROLYN	RESOURCE R E DIVERSIFIED INC FUND A	0.00	2.85	0.00	2.85	0.0	2.85
11/17/2016	COOVER, SHEILA	RESOURCE R E DIVERSIFIED INC FUND A	0.00	3.23	0.00	3.23	0.0	3.23
12/14/2016	UPADHYAYA, SAVITA	RESOURCE R E DIVERSIFIED INC FUND A	0.00	1.54	0.00	1.54	0.0	1.54
12/14/2016	TONKLI, MARJAN	RESOURCE R E DIVERSIFIED INC FUND A	0.00	3.07	0.00	3.07	0.0	3.07
12/14/2016	KELLEY, TRINETTE	RESOURCE R E DIVERSIFIED INC FUND A	0.00	2.08	0.00	2.08	0.0	2.08
12/14/2016	FLORKEY, GENE	RESOURCE R E DIVERSIFIED INC FUND A	0.00	2.06	0.00	2.06	0.0	2.06
12/14/2016	ROE, CAROLYN	RESOURCE R E DIVERSIFIED INC FUND A	0.00	2.72	0.00	2.72	0.0	2.72
12/14/2016	COOVER, SHEILA	RESOURCE R E DIVERSIFIED INC FUND A	0.00	3.09	0.00	3.09	0.0	3.09
/ /	LEO, MICHAEL	RYDEX GUGG UTILITIES C	0.00	1.55	0.00	1.55	0.0	1.55
* JAY MCCLELLAN SUBTOTAL *			\$80,903.30	\$439.80	\$0.00	\$439.80		\$439.80

 BROKER: TIMOTHY KULHANEK #145

02/14/2018	MUCHMORE PHELPS, SUSAN	AMERITAS OVERTURE APPLAUSE II	10,726.43	6.70	0.00	6.70	0.0	6.70
02/12/2016	KRESSER, JOSEPH	FIDELITY ADVISOR LEVERAGED COMPANY	0.00	1.03	0.00	1.03	0.0	1.03
02/12/2016	HACHTEL, SHARON	FIDELITY ADVISOR LEVERAGED COMPANY	0.00	0.37	0.00	0.37	0.0	0.37
03/17/2016	KRESSER, JOSEPH	FIDELITY ADVISOR LEVERAGED COMPANY	0.00	0.92	0.00	0.92	0.0	0.92
03/17/2016	HACHTEL, SHARON	FIDELITY ADVISOR LEVERAGED COMPANY	0.00	0.33	0.00	0.33	0.0	0.33
04/19/2016	KRESSER, JOSEPH	FIDELITY ADVISOR LEVERAGED COMPANY	0.00	1.08	0.00	1.08	0.0	1.08
04/19/2016	HACHTEL, SHARON	FIDELITY ADVISOR LEVERAGED COMPANY	0.00	0.38	0.00	0.38	0.0	0.38
05/24/2016	KRESSER, JOSEPH	FIDELITY ADVISOR LEVERAGED COMPANY	0.00	1.08	0.00	1.08	0.0	1.08
05/24/2016	HACHTEL, SHARON	FIDELITY ADVISOR LEVERAGED COMPANY	0.00	0.38	0.00	0.38	0.0	0.38
06/15/2016	KRESSER, JOSEPH	FIDELITY ADVISOR LEVERAGED COMPANY	0.00	1.13	0.00	1.13	0.0	1.13

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<u> OVERRIDE TRANSACTIONS </u>								
<u>BROKER: TIMOTHY KULHANEK #145</u>								
06/15/2016	HACHTEL, SHARON	FIDELITY ADVISOR LEVERAGED COMPANY	0.00	0.40	0.00	0.40	0.0	0.40
07/19/2016	KRESSER, JOSEPH	FIDELITY ADVISOR LEVERAGED COMPANY	0.00	1.08	0.00	1.08	0.0	1.08
07/19/2016	HACHTEL, SHARON	FIDELITY ADVISOR LEVERAGED COMPANY	0.00	0.38	0.00	0.38	0.0	0.38
08/16/2016	KRESSER, JOSEPH	FIDELITY ADVISOR LEVERAGED COMPANY	0.00	1.14	0.00	1.14	0.0	1.14
08/16/2016	HACHTEL, SHARON	FIDELITY ADVISOR LEVERAGED COMPANY	0.00	0.40	0.00	0.40	0.0	0.40
09/19/2016	KRESSER, JOSEPH	FIDELITY ADVISOR LEVERAGED COMPANY	0.00	1.15	0.00	1.15	0.0	1.15
09/19/2016	HACHTEL, SHARON	FIDELITY ADVISOR LEVERAGED COMPANY	0.00	0.41	0.00	0.41	0.0	0.41
10/19/2016	KRESSER, JOSEPH	FIDELITY ADVISOR LEVERAGED COMPANY	0.00	1.10	0.00	1.10	0.0	1.10
10/19/2016	HACHTEL, SHARON	FIDELITY ADVISOR LEVERAGED COMPANY	0.00	0.39	0.00	0.39	0.0	0.39
11/18/2016	KRESSER, JOSEPH	FIDELITY ADVISOR LEVERAGED COMPANY	0.00	1.12	0.00	1.12	0.0	1.12
11/18/2016	HACHTEL, SHARON	FIDELITY ADVISOR LEVERAGED COMPANY	0.00	0.40	0.00	0.40	0.0	0.40
12/16/2016	KRESSER, JOSEPH	FIDELITY ADVISOR LEVERAGED COMPANY	0.00	1.10	0.00	1.10	0.0	1.10
12/16/2016	HACHTEL, SHARON	FIDELITY ADVISOR LEVERAGED COMPANY	0.00	0.39	0.00	0.39	0.0	0.39
04/20/2016	JACKSON, MARISSA	FIRST EAGLE GLOBAL FUND CL A	0.00	2.12	0.00	2.12	0.0	2.12
07/22/2016	JACKSON, MARISSA	FIRST EAGLE GLOBAL FUND CL A	0.00	1.04	0.00	1.04	0.0	1.04
07/29/2016	JACKSON, MARISSA	FIRST EAGLE GLOBAL FUND CL A	0.00	1.08	0.00	1.08	0.0	1.08
08/10/2016	JACKSON, MARISSA	FIRST EAGLE GLOBAL FUND CL A	0.00	0.36	0.00	0.36	0.0	0.36
09/16/2016	JACKSON, MARISSA	FIRST EAGLE GLOBAL FUND CL A	0.00	0.37	0.00	0.37	0.0	0.37
10/21/2016	JACKSON, MARISSA	FIRST EAGLE GLOBAL FUND CL A	0.00	0.36	0.00	0.36	0.0	0.36
11/30/2016	JACKSON, MARISSA	FIRST EAGLE GLOBAL FUND CL A	0.00	0.37	0.00	0.37	0.0	0.37
12/21/2016	JACKSON, MARISSA	FIRST EAGLE GLOBAL FUND CL A	0.00	0.36	0.00	0.36	0.0	0.36
04/20/2016	JACKSON, TONI	FIRST EAGLE GOLD FUND CL A	0.00	0.90	0.00	0.90	0.0	0.90
07/22/2016	JACKSON, TONI	FIRST EAGLE GOLD FUND CL A	0.00	0.52	0.00	0.52	0.0	0.52
07/29/2016	JACKSON, TONI	FIRST EAGLE GOLD FUND CL A	0.00	0.65	0.00	0.65	0.0	0.65
08/10/2016	JACKSON, TONI	FIRST EAGLE GOLD FUND CL A	0.00	0.48	0.00	0.48	0.0	0.48
09/16/2016	JACKSON, TONI	FIRST EAGLE GOLD FUND CL A	0.00	0.47	0.00	0.47	0.0	0.47
10/21/2016	JACKSON, TONI	FIRST EAGLE GOLD FUND CL A	0.00	0.43	0.00	0.43	0.0	0.43
11/30/2016	JACKSON, TONI	FIRST EAGLE GOLD FUND CL A	0.00	0.41	0.00	0.41	0.0	0.41
12/21/2016	JACKSON, TONI	FIRST EAGLE GOLD FUND CL A	0.00	0.37	0.00	0.37	0.0	0.37
02/22/2016	MEREDITH, JUDY	PUTNAM VOYAGER A	0.00	0.23	0.00	0.23	0.0	0.23
03/22/2016	MEREDITH, JUDY	PUTNAM VOYAGER A	0.00	0.21	0.00	0.21	0.0	0.21
04/21/2016	MEREDITH, JUDY	PUTNAM VOYAGER A	0.00	0.24	0.00	0.24	0.0	0.24
05/26/2016	MEREDITH, JUDY	PUTNAM VOYAGER A	0.00	0.24	0.00	0.24	0.0	0.24

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<u> OVERRIDE TRANSACTIONS </u>								
<u>BROKER: TIMOTHY KULHANEK #145</u>								
06/23/2016	MEREDITH, JUDY	PUTNAM VOYAGER A	0.00	0.24	0.00	0.24	0.0	0.24
07/26/2016	MEREDITH, JUDY	PUTNAM VOYAGER A	0.00	0.23	0.00	0.23	0.0	0.23
08/19/2016	MEREDITH, JUDY	PUTNAM VOYAGER A	0.00	0.25	0.00	0.25	0.0	0.25
09/20/2016	MEREDITH, JUDY	PUTNAM VOYAGER A	0.00	0.25	0.00	0.25	0.0	0.25
02/16/2016	SWANSON, FRANKLIN	TEMPLETON GLOBAL BOND A	0.00	0.93	0.00	0.93	0.0	0.93
02/16/2016	JACKSON, MARISSA	TEMPLETON GLOBAL BOND A	0.00	0.33	0.00	0.33	0.0	0.33
03/16/2016	SWANSON, FRANKLIN	TEMPLETON GLOBAL BOND A	0.00	0.09	0.00	0.09	0.0	0.09
03/16/2016	JACKSON, MARISSA	TEMPLETON GLOBAL BOND A	0.00	0.30	0.00	0.30	0.0	0.30
04/15/2016	JACKSON, MARISSA	TEMPLETON GLOBAL BOND A	0.00	0.34	0.00	0.34	0.0	0.34
05/13/2016	JACKSON, MARISSA	TEMPLETON GLOBAL BOND A	0.00	0.33	0.00	0.33	0.0	0.33
06/14/2016	JACKSON, MARISSA	TEMPLETON GLOBAL BOND A	0.00	0.33	0.00	0.33	0.0	0.33
07/14/2016	JACKSON, MARISSA	TEMPLETON GLOBAL BOND A	0.00	0.32	0.00	0.32	0.0	0.32
08/15/2016	JACKSON, MARISSA	TEMPLETON GLOBAL BOND A	0.00	0.34	0.00	0.34	0.0	0.34
09/14/2016	JACKSON, MARISSA	TEMPLETON GLOBAL BOND A	0.00	0.33	0.00	0.33	0.0	0.33
10/18/2016	JACKSON, MARISSA	TEMPLETON GLOBAL BOND A	0.00	0.32	0.00	0.32	0.0	0.32
11/15/2016	JACKSON, MARISSA	TEMPLETON GLOBAL BOND A	0.00	0.34	0.00	0.34	0.0	0.34
12/16/2016	JACKSON, MARISSA	TEMPLETON GLOBAL BOND A	0.00	0.33	0.00	0.33	0.0	0.33
* TIMOTHY KULHANEK SUBTOTAL *			\$10,726.43	\$39.67	\$0.00	\$39.67		\$39.67
<u>BROKER: WILLIAM WALSH #187</u>								
01/05/2018	WALSH, VARIOUS	JOHN HANCOCK LIFE INS CO	0.00	22.96	0.00	22.96	0.0	22.96
02/02/2018	WALSH, VARIOUS	JOHN HANCOCK LIFE INS CO	0.00	24.74	0.00	24.74	0.0	24.74
01/31/2018	WALSH, VARIOUS	MUTUAL OF OMAHA INS CO	67,936.21	14.15	0.00	14.15	0.0	14.15
01/31/2018	WALSH, VARIOUS	MUTUAL OF OMAHA INS CO	67,936.21	14.15	0.00	14.15	0.0	14.15
01/31/2018	SENGSTOCK, KATHLEEN	PAC LIFE PACIFIC CHOICE	0.00	598.91	0.00	598.91	0.0	598.91
* WILLIAM WALSH SUBTOTAL *			\$135,872.42	\$674.91	\$0.00	\$674.91		\$674.91
<u>BROKER: MICHELE BOYER #189</u>								
02/16/2016	FORBES, JEANNE	AM FUNDS AMCAP A	0.00	0.72	0.00	0.72	0.0	0.72
03/15/2016	FORBES, JEANNE	AM FUNDS AMCAP A	0.00	0.66	0.00	0.66	0.0	0.66
04/20/2016	FORBES, JEANNE	AM FUNDS AMCAP A	0.00	0.75	0.00	0.75	0.0	0.75
05/16/2016	FORBES, JEANNE	AM FUNDS AMCAP A	0.00	0.75	0.00	0.75	0.0	0.75
06/15/2016	FORBES, JEANNE	AM FUNDS AMCAP A	0.00	0.77	0.00	0.77	0.0	0.77
07/18/2016	FORBES, JEANNE	AM FUNDS AMCAP A	0.00	0.76	0.00	0.76	0.0	0.76

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u> OVERRIDE TRANSACTIONS </u>								
<u>BROKER: MICHELE BOYER #189</u>								
08/15/2016	FORBES, JEANNE	AM FUNDS AMCAP A	0.00	0.80	0.00	0.80	0.0	0.80
09/16/2016	FORBES, JEANNE	AM FUNDS AMCAP A	0.00	0.82	0.00	0.82	0.0	0.82
10/17/2016	FORBES, JEANNE	AM FUNDS AMCAP A	0.00	0.78	0.00	0.78	0.0	0.78
11/18/2016	FORBES, JEANNE	AM FUNDS AMCAP A	0.00	0.81	0.00	0.81	0.0	0.81
12/15/2016	FORBES, JEANNE	AM FUNDS AMCAP A	0.00	0.79	0.00	0.79	0.0	0.79
02/16/2016	FORBES, JEANNE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.47	0.00	0.47	0.0	0.47
03/15/2016	FORBES, JEANNE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.43	0.00	0.43	0.0	0.43
04/20/2016	FORBES, JEANNE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.49	0.00	0.49	0.0	0.49
05/16/2016	FORBES, JEANNE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.48	0.00	0.48	0.0	0.48
06/15/2016	FORBES, JEANNE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.50	0.00	0.50	0.0	0.50
07/18/2016	FORBES, JEANNE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.48	0.00	0.48	0.0	0.48
08/15/2016	FORBES, JEANNE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.51	0.00	0.51	0.0	0.51
09/16/2016	FORBES, JEANNE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.53	0.00	0.53	0.0	0.53
10/17/2016	FORBES, JEANNE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.51	0.00	0.51	0.0	0.51
11/18/2016	FORBES, JEANNE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.52	0.00	0.52	0.0	0.52
12/15/2016	FORBES, JEANNE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.50	0.00	0.50	0.0	0.50
02/16/2016	FORBES, JEANNE	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.63	0.00	0.63	0.0	0.63
03/15/2016	FORBES, JEANNE	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.57	0.00	0.57	0.0	0.57
04/20/2016	FORBES, JEANNE	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.64	0.00	0.64	0.0	0.64
05/16/2016	FORBES, JEANNE	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.64	0.00	0.64	0.0	0.64
06/15/2016	FORBES, JEANNE	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.65	0.00	0.65	0.0	0.65
07/18/2016	FORBES, JEANNE	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.63	0.00	0.63	0.0	0.63
08/15/2016	FORBES, JEANNE	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.67	0.00	0.67	0.0	0.67
09/16/2016	FORBES, JEANNE	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.69	0.00	0.69	0.0	0.69
10/17/2016	FORBES, JEANNE	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.68	0.00	0.68	0.0	0.68
11/18/2016	FORBES, JEANNE	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.70	0.00	0.70	0.0	0.70
12/15/2016	FORBES, JEANNE	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.65	0.00	0.65	0.0	0.65
02/16/2016	BOETTGER, DAVID	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.47	0.00	1.47	0.0	1.47
03/15/2016	BOETTGER, DAVID	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.35	0.00	1.35	0.0	1.35
04/20/2016	BOETTGER, DAVID	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.54	0.00	1.54	0.0	1.54
05/16/2016	BOETTGER, DAVID	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.54	0.00	1.54	0.0	1.54
06/15/2016	BOETTGER, DAVID	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.59	0.00	1.59	0.0	1.59
07/18/2016	BOETTGER, DAVID	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.56	0.00	1.56	0.0	1.56

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<u> OVERRIDE TRANSACTIONS </u>								
<u>BROKER: MICHELE BOYER #189</u>								
08/15/2016	BOETTGER, DAVID	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.66	0.00	1.66	0.0	1.66
09/16/2016	BOETTGER, DAVID	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.68	0.00	1.68	0.0	1.68
10/17/2016	BOETTGER, DAVID	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.62	0.00	1.62	0.0	1.62
11/18/2016	BOETTGER, DAVID	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.68	0.00	1.68	0.0	1.68
12/15/2016	BOETTGER, DAVID	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.65	0.00	1.65	0.0	1.65
02/16/2016	FORBES, JEANNE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.79	0.00	0.79	0.0	0.79
03/15/2016	FORBES, JEANNE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.71	0.00	0.71	0.0	0.71
04/20/2016	FORBES, JEANNE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.81	0.00	0.81	0.0	0.81
05/16/2016	FORBES, JEANNE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.81	0.00	0.81	0.0	0.81
06/15/2016	FORBES, JEANNE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.84	0.00	0.84	0.0	0.84
07/18/2016	FORBES, JEANNE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.82	0.00	0.82	0.0	0.82
08/15/2016	FORBES, JEANNE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.87	0.00	0.87	0.0	0.87
09/16/2016	FORBES, JEANNE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.89	0.00	0.89	0.0	0.89
10/17/2016	FORBES, JEANNE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.86	0.00	0.86	0.0	0.86
11/18/2016	FORBES, JEANNE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.90	0.00	0.90	0.0	0.90
12/15/2016	FORBES, JEANNE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.87	0.00	0.87	0.0	0.87
02/16/2016	ANGSTMAN, JAMES	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.13	0.00	0.13	0.0	0.13
03/15/2016	ANGSTMAN, JAMES	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.12	0.00	0.12	0.0	0.12
04/20/2016	ANGSTMAN, JAMES	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.14	0.00	0.14	0.0	0.14
05/16/2016	ANGSTMAN, JAMES	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.13	0.00	0.13	0.0	0.13
06/15/2016	ANGSTMAN, JAMES	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.14	0.00	0.14	0.0	0.14
07/18/2016	ANGSTMAN, JAMES	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.14	0.00	0.14	0.0	0.14
08/15/2016	ANGSTMAN, JAMES	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.14	0.00	0.14	0.0	0.14
09/16/2016	ANGSTMAN, JAMES	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.15	0.00	0.15	0.0	0.15
10/17/2016	ANGSTMAN, JAMES	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.14	0.00	0.14	0.0	0.14
11/18/2016	ANGSTMAN, JAMES	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.14	0.00	0.14	0.0	0.14
12/15/2016	ANGSTMAN, JAMES	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.14	0.00	0.14	0.0	0.14
02/16/2016	FORBES, JEANNE	AM FUNDS NEW WORLD A	0.00	0.50	0.00	0.50	0.0	0.50
03/15/2016	FORBES, JEANNE	AM FUNDS NEW WORLD A	0.00	0.45	0.00	0.45	0.0	0.45
04/20/2016	FORBES, JEANNE	AM FUNDS NEW WORLD A	0.00	0.52	0.00	0.52	0.0	0.52
05/16/2016	FORBES, JEANNE	AM FUNDS NEW WORLD A	0.00	0.52	0.00	0.52	0.0	0.52
06/15/2016	FORBES, JEANNE	AM FUNDS NEW WORLD A	0.00	0.53	0.00	0.53	0.0	0.53
07/18/2016	FORBES, JEANNE	AM FUNDS NEW WORLD A	0.00	0.52	0.00	0.52	0.0	0.52

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<u> OVERRIDE TRANSACTIONS </u>								
<u> BROKER: MICHELE BOYER #189 </u>								
08/15/2016	FORBES, JEANNE	AM FUNDS NEW WORLD A	0.00	0.55	0.00	0.55	0.0	0.55
09/16/2016	FORBES, JEANNE	AM FUNDS NEW WORLD A	0.00	0.57	0.00	0.57	0.0	0.57
10/17/2016	FORBES, JEANNE	AM FUNDS NEW WORLD A	0.00	0.56	0.00	0.56	0.0	0.56
11/18/2016	FORBES, JEANNE	AM FUNDS NEW WORLD A	0.00	0.57	0.00	0.57	0.0	0.57
12/15/2016	FORBES, JEANNE	AM FUNDS NEW WORLD A	0.00	0.53	0.00	0.53	0.0	0.53
05/19/2016	WILEY, KAREN	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	0.23	0.00	0.23	0.0	0.23
06/23/2016	WILEY, KAREN	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	3.71	0.00	3.71	0.0	3.71
07/11/2016	WILEY, KAREN	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	3.50	0.00	3.50	0.0	3.50
08/15/2016	WILEY, KAREN	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	3.65	0.00	3.65	0.0	3.65
09/12/2016	WILEY, KAREN	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	3.66	0.00	3.66	0.0	3.66
10/14/2016	WILEY, KAREN	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	3.54	0.00	3.54	0.0	3.54
11/17/2016	WILEY, KAREN	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	3.68	0.00	3.68	0.0	3.68
12/12/2016	WILEY, KAREN	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	3.59	0.00	3.59	0.0	3.59
04/20/2016	BUSCH, JOLEEN	FIRST EAGLE GLOBAL FUND CL A	0.00	17.40	0.00	17.40	0.0	17.40
07/22/2016	BUSCH, JOLEEN	FIRST EAGLE GLOBAL FUND CL A	0.00	3.83	0.00	3.83	0.0	3.83
02/16/2016	MAXSON, JAMI	FRANKLIN INCOME A	0.00	0.81	0.00	0.81	0.0	0.81
03/16/2016	MAXSON, JAMI	FRANKLIN INCOME A	0.00	0.75	0.00	0.75	0.0	0.75
04/15/2016	MAXSON, JAMI	FRANKLIN INCOME A	0.00	0.85	0.00	0.85	0.0	0.85
05/13/2016	MAXSON, JAMI	FRANKLIN INCOME A	0.00	0.85	0.00	0.85	0.0	0.85
06/14/2016	MAXSON, JAMI	FRANKLIN INCOME A	0.00	0.88	0.00	0.88	0.0	0.88
07/14/2016	MAXSON, JAMI	FRANKLIN INCOME A	0.00	0.87	0.00	0.87	0.0	0.87
08/15/2016	MAXSON, JAMI	FRANKLIN INCOME A	0.00	0.92	0.00	0.92	0.0	0.92
09/14/2016	MAXSON, JAMI	FRANKLIN INCOME A	0.00	0.93	0.00	0.93	0.0	0.93
10/18/2016	MAXSON, JAMI	FRANKLIN INCOME A	0.00	0.91	0.00	0.91	0.0	0.91
11/15/2016	MAXSON, JAMI	FRANKLIN INCOME A	0.00	0.94	0.00	0.94	0.0	0.94
12/16/2016	MAXSON, JAMI	FRANKLIN INCOME A	0.00	0.91	0.00	0.91	0.0	0.91
08/01/2016	WILEY, KAREN	GRIFFIN INSTITUTIONAL ACCESS REAL E	0.00	7.59	0.00	7.59	0.0	7.59
10/17/2016	WILEY, KAREN	GRIFFIN INSTITUTIONAL ACCESS REAL E	0.00	10.94	0.00	10.94	0.0	10.94
02/08/2016	LILLIGRIDGE, PAMELA	MFS BOND A	0.00	0.15	0.00	0.15	0.0	0.15
02/08/2016	LILLIBRIDGE, ROBERT	MFS BOND A	0.00	0.14	0.00	0.14	0.0	0.14
03/14/2016	LILLIGRIDGE, PAMELA	MFS BOND A	0.00	0.14	0.00	0.14	0.0	0.14
03/14/2016	LILLIBRIDGE, ROBERT	MFS BOND A	0.00	0.14	0.00	0.14	0.0	0.14
04/15/2016	LILLIGRIDGE, PAMELA	MFS BOND A	0.00	0.15	0.00	0.15	0.0	0.15

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<u> OVERRIDE TRANSACTIONS </u>								
<u> BROKER: MICHELE BOYER #189 </u>								
04/15/2016	LILLIBRIDGE, ROBERT	MFS BOND A	0.00	0.15	0.00	0.15	0.0	0.15
05/17/2016	LILLIGRIDGE, PAMELA	MFS BOND A	0.00	0.15	0.00	0.15	0.0	0.15
05/17/2016	LILLIBRIDGE, ROBERT	MFS BOND A	0.00	0.15	0.00	0.15	0.0	0.15
06/16/2016	LILLIGRIDGE, PAMELA	MFS BOND A	0.00	0.15	0.00	0.15	0.0	0.15
06/16/2016	LILLIBRIDGE, ROBERT	MFS BOND A	0.00	0.15	0.00	0.15	0.0	0.15
07/20/2016	LILLIGRIDGE, PAMELA	MFS BOND A	0.00	0.15	0.00	0.15	0.0	0.15
07/20/2016	LILLIBRIDGE, ROBERT	MFS BOND A	0.00	0.15	0.00	0.15	0.0	0.15
08/16/2016	LILLIGRIDGE, PAMELA	MFS BOND A	0.00	0.16	0.00	0.16	0.0	0.16
08/16/2016	LILLIBRIDGE, ROBERT	MFS BOND A	0.00	0.16	0.00	0.16	0.0	0.16
09/15/2016	LILLIGRIDGE, PAMELA	MFS BOND A	0.00	0.16	0.00	0.16	0.0	0.16
09/15/2016	LILLIBRIDGE, ROBERT	MFS BOND A	0.00	0.16	0.00	0.16	0.0	0.16
10/20/2016	LILLIGRIDGE, PAMELA	MFS BOND A	0.00	0.15	0.00	0.15	0.0	0.15
10/20/2016	LILLIBRIDGE, ROBERT	MFS BOND A	0.00	0.15	0.00	0.15	0.0	0.15
11/14/2016	LILLIGRIDGE, PAMELA	MFS BOND A	0.00	0.16	0.00	0.16	0.0	0.16
11/14/2016	LILLIBRIDGE, ROBERT	MFS BOND A	0.00	0.16	0.00	0.16	0.0	0.16
12/19/2016	LILLIGRIDGE, PAMELA	MFS BOND A	0.00	0.15	0.00	0.15	0.0	0.15
12/19/2016	LILLIBRIDGE, ROBERT	MFS BOND A	0.00	0.15	0.00	0.15	0.0	0.15
02/08/2016	LILLIGRIDGE, PAMELA	MFS GOVERNMENT SECURITIES A	0.00	0.10	0.00	0.10	0.0	0.10
02/08/2016	LILLIBRIDGE, ROBERT	MFS GOVERNMENT SECURITIES A	0.00	0.10	0.00	0.10	0.0	0.10
03/14/2016	LILLIGRIDGE, PAMELA	MFS GOVERNMENT SECURITIES A	0.00	0.10	0.00	0.10	0.0	0.10
03/14/2016	LILLIBRIDGE, ROBERT	MFS GOVERNMENT SECURITIES A	0.00	0.09	0.00	0.09	0.0	0.09
04/15/2016	LILLIGRIDGE, PAMELA	MFS GOVERNMENT SECURITIES A	0.00	0.11	0.00	0.11	0.0	0.11
04/15/2016	LILLIBRIDGE, ROBERT	MFS GOVERNMENT SECURITIES A	0.00	0.10	0.00	0.10	0.0	0.10
05/17/2016	LILLIGRIDGE, PAMELA	MFS GOVERNMENT SECURITIES A	0.00	0.10	0.00	0.10	0.0	0.10
05/17/2016	LILLIBRIDGE, ROBERT	MFS GOVERNMENT SECURITIES A	0.00	0.10	0.00	0.10	0.0	0.10
06/16/2016	LILLIGRIDGE, PAMELA	MFS GOVERNMENT SECURITIES A	0.00	0.11	0.00	0.11	0.0	0.11
06/16/2016	LILLIBRIDGE, ROBERT	MFS GOVERNMENT SECURITIES A	0.00	0.10	0.00	0.10	0.0	0.10
07/20/2016	LILLIGRIDGE, PAMELA	MFS GOVERNMENT SECURITIES A	0.00	0.10	0.00	0.10	0.0	0.10
07/20/2016	LILLIBRIDGE, ROBERT	MFS GOVERNMENT SECURITIES A	0.00	0.10	0.00	0.10	0.0	0.10
08/16/2016	LILLIGRIDGE, PAMELA	MFS GOVERNMENT SECURITIES A	0.00	0.11	0.00	0.11	0.0	0.11
08/16/2016	LILLIBRIDGE, ROBERT	MFS GOVERNMENT SECURITIES A	0.00	0.10	0.00	0.10	0.0	0.10
09/15/2016	LILLIGRIDGE, PAMELA	MFS GOVERNMENT SECURITIES A	0.00	0.11	0.00	0.11	0.0	0.11
09/15/2016	LILLIBRIDGE, ROBERT	MFS GOVERNMENT SECURITIES A	0.00	0.10	0.00	0.10	0.0	0.10

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<u>VERRIDE TRANSACTIONS</u>								
<u>BROKER: MICHELE BOYER #189</u>								
10/20/2016	LILLIGRIDGE, PAMELA	MFS GOVERNMENT SECURITIES A	0.00	0.10	0.00	0.10	0.0	0.10
10/20/2016	LILLIBRIDGE, ROBERT	MFS GOVERNMENT SECURITIES A	0.00	0.10	0.00	0.10	0.0	0.10
11/14/2016	LILLIGRIDGE, PAMELA	MFS GOVERNMENT SECURITIES A	0.00	0.11	0.00	0.11	0.0	0.11
11/14/2016	LILLIBRIDGE, ROBERT	MFS GOVERNMENT SECURITIES A	0.00	0.10	0.00	0.10	0.0	0.10
12/19/2016	LILLIGRIDGE, PAMELA	MFS GOVERNMENT SECURITIES A	0.00	0.10	0.00	0.10	0.0	0.10
12/19/2016	LILLIBRIDGE, ROBERT	MFS GOVERNMENT SECURITIES A	0.00	0.10	0.00	0.10	0.0	0.10
02/08/2016	LILLIGRIDGE, PAMELA	MFS INTERNATIONAL DISCOVERY A	0.00	0.05	0.00	0.05	0.0	0.05
02/08/2016	LILLIBRIDGE, ROBERT	MFS INTERNATIONAL DISCOVERY A	0.00	0.05	0.00	0.05	0.0	0.05
03/14/2016	LILLIGRIDGE, PAMELA	MFS INTERNATIONAL DISCOVERY A	0.00	0.05	0.00	0.05	0.0	0.05
03/14/2016	LILLIBRIDGE, ROBERT	MFS INTERNATIONAL DISCOVERY A	0.00	0.04	0.00	0.04	0.0	0.04
04/15/2016	LILLIGRIDGE, PAMELA	MFS INTERNATIONAL DISCOVERY A	0.00	0.05	0.00	0.05	0.0	0.05
04/15/2016	LILLIBRIDGE, ROBERT	MFS INTERNATIONAL DISCOVERY A	0.00	0.05	0.00	0.05	0.0	0.05
05/17/2016	LILLIGRIDGE, PAMELA	MFS INTERNATIONAL DISCOVERY A	0.00	0.05	0.00	0.05	0.0	0.05
05/17/2016	LILLIBRIDGE, ROBERT	MFS INTERNATIONAL DISCOVERY A	0.00	0.05	0.00	0.05	0.0	0.05
06/16/2016	LILLIGRIDGE, PAMELA	MFS INTERNATIONAL DISCOVERY A	0.00	0.05	0.00	0.05	0.0	0.05
06/16/2016	LILLIBRIDGE, ROBERT	MFS INTERNATIONAL DISCOVERY A	0.00	0.05	0.00	0.05	0.0	0.05
07/20/2016	LILLIGRIDGE, PAMELA	MFS INTERNATIONAL DISCOVERY A	0.00	0.05	0.00	0.05	0.0	0.05
07/20/2016	LILLIBRIDGE, ROBERT	MFS INTERNATIONAL DISCOVERY A	0.00	0.05	0.00	0.05	0.0	0.05
08/16/2016	LILLIGRIDGE, PAMELA	MFS INTERNATIONAL DISCOVERY A	0.00	0.05	0.00	0.05	0.0	0.05
08/16/2016	LILLIBRIDGE, ROBERT	MFS INTERNATIONAL DISCOVERY A	0.00	0.05	0.00	0.05	0.0	0.05
09/15/2016	LILLIGRIDGE, PAMELA	MFS INTERNATIONAL DISCOVERY A	0.00	0.06	0.00	0.06	0.0	0.06
09/15/2016	LILLIBRIDGE, ROBERT	MFS INTERNATIONAL DISCOVERY A	0.00	0.05	0.00	0.05	0.0	0.05
10/20/2016	LILLIGRIDGE, PAMELA	MFS INTERNATIONAL DISCOVERY A	0.00	0.05	0.00	0.05	0.0	0.05
10/20/2016	LILLIBRIDGE, ROBERT	MFS INTERNATIONAL DISCOVERY A	0.00	0.05	0.00	0.05	0.0	0.05
11/14/2016	LILLIGRIDGE, PAMELA	MFS INTERNATIONAL DISCOVERY A	0.00	0.05	0.00	0.05	0.0	0.05
11/14/2016	LILLIBRIDGE, ROBERT	MFS INTERNATIONAL DISCOVERY A	0.00	0.05	0.00	0.05	0.0	0.05
12/19/2016	LILLIGRIDGE, PAMELA	MFS INTERNATIONAL DISCOVERY A	0.00	0.05	0.00	0.05	0.0	0.05
12/19/2016	LILLIBRIDGE, ROBERT	MFS INTERNATIONAL DISCOVERY A	0.00	0.05	0.00	0.05	0.0	0.05
02/08/2016	LILLIGRIDGE, PAMELA	MFS INTERNATIONAL VALUE FUND CLASS	0.00	0.12	0.00	0.12	0.0	0.12
02/08/2016	LILLIBRIDGE, ROBERT	MFS INTERNATIONAL VALUE FUND CLASS	0.00	0.11	0.00	0.11	0.0	0.11
03/14/2016	LILLIGRIDGE, PAMELA	MFS INTERNATIONAL VALUE FUND CLASS	0.00	0.11	0.00	0.11	0.0	0.11
03/14/2016	LILLIBRIDGE, ROBERT	MFS INTERNATIONAL VALUE FUND CLASS	0.00	0.11	0.00	0.11	0.0	0.11
04/15/2016	LILLIGRIDGE, PAMELA	MFS INTERNATIONAL VALUE FUND CLASS	0.00	0.13	0.00	0.13	0.0	0.13

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** - 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> OVERRIDE TRANSACTIONS </u>								
<u>BROKER: MICHELE BOYER #189</u>								
04/15/2016	LILLIBRIDGE, ROBERT	MFS INTERNATIONAL VALUE FUND CLASS	0.00	0.12	0.00	0.12	0.0	0.12
05/17/2016	LILLIGRIDGE, PAMELA	MFS INTERNATIONAL VALUE FUND CLASS	0.00	0.13	0.00	0.13	0.0	0.13
05/17/2016	LILLIBRIDGE, ROBERT	MFS INTERNATIONAL VALUE FUND CLASS	0.00	0.12	0.00	0.12	0.0	0.12
06/16/2016	LILLIGRIDGE, PAMELA	MFS INTERNATIONAL VALUE FUND CLASS	0.00	0.13	0.00	0.13	0.0	0.13
06/16/2016	LILLIBRIDGE, ROBERT	MFS INTERNATIONAL VALUE FUND CLASS	0.00	0.12	0.00	0.12	0.0	0.12
07/20/2016	LILLIGRIDGE, PAMELA	MFS INTERNATIONAL VALUE FUND CLASS	0.00	0.13	0.00	0.13	0.0	0.13
07/20/2016	LILLIBRIDGE, ROBERT	MFS INTERNATIONAL VALUE FUND CLASS	0.00	0.12	0.00	0.12	0.0	0.12
08/16/2016	LILLIGRIDGE, PAMELA	MFS INTERNATIONAL VALUE FUND CLASS	0.00	0.13	0.00	0.13	0.0	0.13
08/16/2016	LILLIBRIDGE, ROBERT	MFS INTERNATIONAL VALUE FUND CLASS	0.00	0.13	0.00	0.13	0.0	0.13
09/15/2016	LILLIGRIDGE, PAMELA	MFS INTERNATIONAL VALUE FUND CLASS	0.00	0.14	0.00	0.14	0.0	0.14
09/15/2016	LILLIBRIDGE, ROBERT	MFS INTERNATIONAL VALUE FUND CLASS	0.00	0.13	0.00	0.13	0.0	0.13
10/20/2016	LILLIGRIDGE, PAMELA	MFS INTERNATIONAL VALUE FUND CLASS	0.00	0.13	0.00	0.13	0.0	0.13
10/20/2016	LILLIBRIDGE, ROBERT	MFS INTERNATIONAL VALUE FUND CLASS	0.00	0.13	0.00	0.13	0.0	0.13
11/14/2016	LILLIGRIDGE, PAMELA	MFS INTERNATIONAL VALUE FUND CLASS	0.00	0.13	0.00	0.13	0.0	0.13
11/14/2016	LILLIBRIDGE, ROBERT	MFS INTERNATIONAL VALUE FUND CLASS	0.00	0.13	0.00	0.13	0.0	0.13
12/19/2016	LILLIGRIDGE, PAMELA	MFS INTERNATIONAL VALUE FUND CLASS	0.00	0.12	0.00	0.12	0.0	0.12
12/19/2016	LILLIBRIDGE, ROBERT	MFS INTERNATIONAL VALUE FUND CLASS	0.00	0.12	0.00	0.12	0.0	0.12
02/08/2016	LILLIGRIDGE, PAMELA	MFS MASS INVESTORS GROWTH STOCK A	0.00	0.12	0.00	0.12	0.0	0.12
02/08/2016	LILLIBRIDGE, ROBERT	MFS MASS INVESTORS GROWTH STOCK A	0.00	0.11	0.00	0.11	0.0	0.11
03/14/2016	LILLIGRIDGE, PAMELA	MFS MASS INVESTORS GROWTH STOCK A	0.00	0.11	0.00	0.11	0.0	0.11
03/14/2016	LILLIBRIDGE, ROBERT	MFS MASS INVESTORS GROWTH STOCK A	0.00	0.10	0.00	0.10	0.0	0.10
04/15/2016	LILLIGRIDGE, PAMELA	MFS MASS INVESTORS GROWTH STOCK A	0.00	0.12	0.00	0.12	0.0	0.12
04/15/2016	LILLIBRIDGE, ROBERT	MFS MASS INVESTORS GROWTH STOCK A	0.00	0.12	0.00	0.12	0.0	0.12
05/17/2016	LILLIGRIDGE, PAMELA	MFS MASS INVESTORS GROWTH STOCK A	0.00	0.12	0.00	0.12	0.0	0.12
05/17/2016	LILLIBRIDGE, ROBERT	MFS MASS INVESTORS GROWTH STOCK A	0.00	0.12	0.00	0.12	0.0	0.12
06/16/2016	LILLIGRIDGE, PAMELA	MFS MASS INVESTORS GROWTH STOCK A	0.00	0.13	0.00	0.13	0.0	0.13
06/16/2016	LILLIBRIDGE, ROBERT	MFS MASS INVESTORS GROWTH STOCK A	0.00	0.12	0.00	0.12	0.0	0.12
07/20/2016	LILLIGRIDGE, PAMELA	MFS MASS INVESTORS GROWTH STOCK A	0.00	0.12	0.00	0.12	0.0	0.12
07/20/2016	LILLIBRIDGE, ROBERT	MFS MASS INVESTORS GROWTH STOCK A	0.00	0.12	0.00	0.12	0.0	0.12
08/16/2016	LILLIGRIDGE, PAMELA	MFS MASS INVESTORS GROWTH STOCK A	0.00	0.13	0.00	0.13	0.0	0.13
08/16/2016	LILLIBRIDGE, ROBERT	MFS MASS INVESTORS GROWTH STOCK A	0.00	0.12	0.00	0.12	0.0	0.12
09/15/2016	LILLIGRIDGE, PAMELA	MFS MASS INVESTORS GROWTH STOCK A	0.00	0.13	0.00	0.13	0.0	0.13
09/15/2016	LILLIBRIDGE, ROBERT	MFS MASS INVESTORS GROWTH STOCK A	0.00	0.13	0.00	0.13	0.0	0.13

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u> OVERRIDE TRANSACTIONS </u>								
<u> BROKER: MICHELE BOYER #189 </u>								
10/20/2016	LILLIGRIDGE, PAMELA	MFS MASS INVESTORS GROWTH STOCK A	0.00	0.13	0.00	0.13	0.0	0.13
10/20/2016	LILLIBRIDGE, ROBERT	MFS MASS INVESTORS GROWTH STOCK A	0.00	0.12	0.00	0.12	0.0	0.12
11/14/2016	LILLIGRIDGE, PAMELA	MFS MASS INVESTORS GROWTH STOCK A	0.00	0.13	0.00	0.13	0.0	0.13
11/14/2016	LILLIBRIDGE, ROBERT	MFS MASS INVESTORS GROWTH STOCK A	0.00	0.12	0.00	0.12	0.0	0.12
12/19/2016	LILLIGRIDGE, PAMELA	MFS MASS INVESTORS GROWTH STOCK A	0.00	0.12	0.00	0.12	0.0	0.12
12/19/2016	LILLIBRIDGE, ROBERT	MFS MASS INVESTORS GROWTH STOCK A	0.00	0.12	0.00	0.12	0.0	0.12
02/08/2016	LILLIGRIDGE, PAMELA	MFS MASS INVESTORS TRUST A	0.00	0.06	0.00	0.06	0.0	0.06
02/08/2016	LILLIBRIDGE, ROBERT	MFS MASS INVESTORS TRUST A	0.00	0.05	0.00	0.05	0.0	0.05
03/14/2016	LILLIGRIDGE, PAMELA	MFS MASS INVESTORS TRUST A	0.00	0.05	0.00	0.05	0.0	0.05
03/14/2016	LILLIBRIDGE, ROBERT	MFS MASS INVESTORS TRUST A	0.00	0.05	0.00	0.05	0.0	0.05
04/15/2016	LILLIGRIDGE, PAMELA	MFS MASS INVESTORS TRUST A	0.00	0.06	0.00	0.06	0.0	0.06
04/15/2016	LILLIBRIDGE, ROBERT	MFS MASS INVESTORS TRUST A	0.00	0.06	0.00	0.06	0.0	0.06
05/17/2016	LILLIGRIDGE, PAMELA	MFS MASS INVESTORS TRUST A	0.00	0.06	0.00	0.06	0.0	0.06
05/17/2016	LILLIBRIDGE, ROBERT	MFS MASS INVESTORS TRUST A	0.00	0.06	0.00	0.06	0.0	0.06
06/16/2016	LILLIGRIDGE, PAMELA	MFS MASS INVESTORS TRUST A	0.00	0.06	0.00	0.06	0.0	0.06
06/16/2016	LILLIBRIDGE, ROBERT	MFS MASS INVESTORS TRUST A	0.00	0.06	0.00	0.06	0.0	0.06
07/20/2016	LILLIGRIDGE, PAMELA	MFS MASS INVESTORS TRUST A	0.00	0.06	0.00	0.06	0.0	0.06
07/20/2016	LILLIBRIDGE, ROBERT	MFS MASS INVESTORS TRUST A	0.00	0.06	0.00	0.06	0.0	0.06
08/16/2016	LILLIGRIDGE, PAMELA	MFS MASS INVESTORS TRUST A	0.00	0.06	0.00	0.06	0.0	0.06
08/16/2016	LILLIBRIDGE, ROBERT	MFS MASS INVESTORS TRUST A	0.00	0.06	0.00	0.06	0.0	0.06
09/15/2016	LILLIGRIDGE, PAMELA	MFS MASS INVESTORS TRUST A	0.00	0.06	0.00	0.06	0.0	0.06
09/15/2016	LILLIBRIDGE, ROBERT	MFS MASS INVESTORS TRUST A	0.00	0.06	0.00	0.06	0.0	0.06
10/20/2016	LILLIGRIDGE, PAMELA	MFS MASS INVESTORS TRUST A	0.00	0.06	0.00	0.06	0.0	0.06
10/20/2016	LILLIBRIDGE, ROBERT	MFS MASS INVESTORS TRUST A	0.00	0.06	0.00	0.06	0.0	0.06
11/14/2016	LILLIGRIDGE, PAMELA	MFS MASS INVESTORS TRUST A	0.00	0.06	0.00	0.06	0.0	0.06
11/14/2016	LILLIBRIDGE, ROBERT	MFS MASS INVESTORS TRUST A	0.00	0.06	0.00	0.06	0.0	0.06
12/19/2016	LILLIGRIDGE, PAMELA	MFS MASS INVESTORS TRUST A	0.00	0.06	0.00	0.06	0.0	0.06
12/19/2016	LILLIBRIDGE, ROBERT	MFS MASS INVESTORS TRUST A	0.00	0.06	0.00	0.06	0.0	0.06
02/08/2016	LILLIGRIDGE, PAMELA	MFS MID-CAP VALUE FUND CLASS A	0.00	0.05	0.00	0.05	0.0	0.05
02/08/2016	LILLIBRIDGE, ROBERT	MFS MID-CAP VALUE FUND CLASS A	0.00	0.05	0.00	0.05	0.0	0.05
03/14/2016	LILLIGRIDGE, PAMELA	MFS MID-CAP VALUE FUND CLASS A	0.00	0.05	0.00	0.05	0.0	0.05
03/14/2016	LILLIBRIDGE, ROBERT	MFS MID-CAP VALUE FUND CLASS A	0.00	0.05	0.00	0.05	0.0	0.05
04/15/2016	LILLIGRIDGE, PAMELA	MFS MID-CAP VALUE FUND CLASS A	0.00	0.06	0.00	0.06	0.0	0.06

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u> OVERRIDE TRANSACTIONS </u>								
<u>BROKER: MICHELE BOYER #189</u>								
04/15/2016	LILLIBRIDGE, ROBERT	MFS MID-CAP VALUE FUND CLASS A	0.00	0.05	0.00	0.05	0.0	0.05
05/17/2016	LILLIGRIDGE, PAMELA	MFS MID-CAP VALUE FUND CLASS A	0.00	0.06	0.00	0.06	0.0	0.06
05/17/2016	LILLIBRIDGE, ROBERT	MFS MID-CAP VALUE FUND CLASS A	0.00	0.06	0.00	0.06	0.0	0.06
06/16/2016	LILLIGRIDGE, PAMELA	MFS MID-CAP VALUE FUND CLASS A	0.00	0.06	0.00	0.06	0.0	0.06
06/16/2016	LILLIBRIDGE, ROBERT	MFS MID-CAP VALUE FUND CLASS A	0.00	0.06	0.00	0.06	0.0	0.06
07/20/2016	LILLIGRIDGE, PAMELA	MFS MID-CAP VALUE FUND CLASS A	0.00	0.06	0.00	0.06	0.0	0.06
07/20/2016	LILLIBRIDGE, ROBERT	MFS MID-CAP VALUE FUND CLASS A	0.00	0.06	0.00	0.06	0.0	0.06
08/16/2016	LILLIGRIDGE, PAMELA	MFS MID-CAP VALUE FUND CLASS A	0.00	0.06	0.00	0.06	0.0	0.06
08/16/2016	LILLIBRIDGE, ROBERT	MFS MID-CAP VALUE FUND CLASS A	0.00	0.06	0.00	0.06	0.0	0.06
09/15/2016	LILLIGRIDGE, PAMELA	MFS MID-CAP VALUE FUND CLASS A	0.00	0.06	0.00	0.06	0.0	0.06
09/15/2016	LILLIBRIDGE, ROBERT	MFS MID-CAP VALUE FUND CLASS A	0.00	0.06	0.00	0.06	0.0	0.06
10/20/2016	LILLIGRIDGE, PAMELA	MFS MID-CAP VALUE FUND CLASS A	0.00	0.06	0.00	0.06	0.0	0.06
10/20/2016	LILLIBRIDGE, ROBERT	MFS MID-CAP VALUE FUND CLASS A	0.00	0.06	0.00	0.06	0.0	0.06
11/14/2016	LILLIGRIDGE, PAMELA	MFS MID-CAP VALUE FUND CLASS A	0.00	0.06	0.00	0.06	0.0	0.06
11/14/2016	LILLIBRIDGE, ROBERT	MFS MID-CAP VALUE FUND CLASS A	0.00	0.06	0.00	0.06	0.0	0.06
12/19/2016	LILLIGRIDGE, PAMELA	MFS MID-CAP VALUE FUND CLASS A	0.00	0.06	0.00	0.06	0.0	0.06
12/19/2016	LILLIBRIDGE, ROBERT	MFS MID-CAP VALUE FUND CLASS A	0.00	0.06	0.00	0.06	0.0	0.06
02/08/2016	LILLIGRIDGE, PAMELA	MFS TOTAL RETURN BOND FUND CLASS A	0.00	0.16	0.00	0.16	0.0	0.16
02/08/2016	LILLIBRIDGE, ROBERT	MFS TOTAL RETURN BOND FUND CLASS A	0.00	0.15	0.00	0.15	0.0	0.15
03/14/2016	LILLIGRIDGE, PAMELA	MFS TOTAL RETURN BOND FUND CLASS A	0.00	0.15	0.00	0.15	0.0	0.15
03/14/2016	LILLIBRIDGE, ROBERT	MFS TOTAL RETURN BOND FUND CLASS A	0.00	0.14	0.00	0.14	0.0	0.14
04/15/2016	LILLIGRIDGE, PAMELA	MFS TOTAL RETURN BOND FUND CLASS A	0.00	0.16	0.00	0.16	0.0	0.16
04/15/2016	LILLIBRIDGE, ROBERT	MFS TOTAL RETURN BOND FUND CLASS A	0.00	0.15	0.00	0.15	0.0	0.15
05/17/2016	LILLIGRIDGE, PAMELA	MFS TOTAL RETURN BOND FUND CLASS A	0.00	0.16	0.00	0.16	0.0	0.16
05/17/2016	LILLIBRIDGE, ROBERT	MFS TOTAL RETURN BOND FUND CLASS A	0.00	0.15	0.00	0.15	0.0	0.15
06/16/2016	LILLIGRIDGE, PAMELA	MFS TOTAL RETURN BOND FUND CLASS A	0.00	0.16	0.00	0.16	0.0	0.16
06/16/2016	LILLIBRIDGE, ROBERT	MFS TOTAL RETURN BOND FUND CLASS A	0.00	0.15	0.00	0.15	0.0	0.15
07/20/2016	LILLIGRIDGE, PAMELA	MFS TOTAL RETURN BOND FUND CLASS A	0.00	0.16	0.00	0.16	0.0	0.16
07/20/2016	LILLIBRIDGE, ROBERT	MFS TOTAL RETURN BOND FUND CLASS A	0.00	0.15	0.00	0.15	0.0	0.15
08/16/2016	LILLIGRIDGE, PAMELA	MFS TOTAL RETURN BOND FUND CLASS A	0.00	0.17	0.00	0.17	0.0	0.17
08/16/2016	LILLIBRIDGE, ROBERT	MFS TOTAL RETURN BOND FUND CLASS A	0.00	0.16	0.00	0.16	0.0	0.16
09/15/2016	LILLIGRIDGE, PAMELA	MFS TOTAL RETURN BOND FUND CLASS A	0.00	0.17	0.00	0.17	0.0	0.17
09/15/2016	LILLIBRIDGE, ROBERT	MFS TOTAL RETURN BOND FUND CLASS A	0.00	0.16	0.00	0.16	0.0	0.16

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** - Indicates adjustment is not included in Totals or Commissions

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u> OVERRIDE TRANSACTIONS </u>								
<u>BROKER: MICHELE BOYER #189</u>								
10/20/2016	LILLIGRIDGE, PAMELA	MFS TOTAL RETURN BOND FUND CLASS A	0.00	0.16	0.00	0.16	0.0	0.16
10/20/2016	LILLIBRIDGE, ROBERT	MFS TOTAL RETURN BOND FUND CLASS A	0.00	0.15	0.00	0.15	0.0	0.15
11/14/2016	LILLIGRIDGE, PAMELA	MFS TOTAL RETURN BOND FUND CLASS A	0.00	0.17	0.00	0.17	0.0	0.17
11/14/2016	LILLIBRIDGE, ROBERT	MFS TOTAL RETURN BOND FUND CLASS A	0.00	0.16	0.00	0.16	0.0	0.16
12/19/2016	LILLIGRIDGE, PAMELA	MFS TOTAL RETURN BOND FUND CLASS A	0.00	0.16	0.00	0.16	0.0	0.16
12/19/2016	LILLIBRIDGE, ROBERT	MFS TOTAL RETURN BOND FUND CLASS A	0.00	0.15	0.00	0.15	0.0	0.15
02/08/2016	LILLIGRIDGE, PAMELA	MFS VALUE A	0.00	0.53	0.00	0.53	0.0	0.53
02/08/2016	LILLIBRIDGE, ROBERT	MFS VALUE A	0.00	0.15	0.00	0.15	0.0	0.15
03/14/2016	LILLIGRIDGE, PAMELA	MFS VALUE A	0.00	0.49	0.00	0.49	0.0	0.49
03/14/2016	LILLIBRIDGE, ROBERT	MFS VALUE A	0.00	0.14	0.00	0.14	0.0	0.14
04/15/2016	LILLIGRIDGE, PAMELA	MFS VALUE A	0.00	0.56	0.00	0.56	0.0	0.56
04/15/2016	LILLIBRIDGE, ROBERT	MFS VALUE A	0.00	0.16	0.00	0.16	0.0	0.16
05/17/2016	LILLIGRIDGE, PAMELA	MFS VALUE A	0.00	0.56	0.00	0.56	0.0	0.56
05/17/2016	LILLIBRIDGE, ROBERT	MFS VALUE A	0.00	0.16	0.00	0.16	0.0	0.16
06/16/2016	LILLIGRIDGE, PAMELA	MFS VALUE A	0.00	0.58	0.00	0.58	0.0	0.58
06/16/2016	LILLIBRIDGE, ROBERT	MFS VALUE A	0.00	0.16	0.00	0.16	0.0	0.16
07/20/2016	LILLIGRIDGE, PAMELA	MFS VALUE A	0.00	0.57	0.00	0.57	0.0	0.57
07/20/2016	LILLIBRIDGE, ROBERT	MFS VALUE A	0.00	0.16	0.00	0.16	0.0	0.16
08/16/2016	LILLIGRIDGE, PAMELA	MFS VALUE A	0.00	0.60	0.00	0.60	0.0	0.60
08/16/2016	LILLIBRIDGE, ROBERT	MFS VALUE A	0.00	0.17	0.00	0.17	0.0	0.17
09/15/2016	LILLIGRIDGE, PAMELA	MFS VALUE A	0.00	0.61	0.00	0.61	0.0	0.61
09/15/2016	LILLIBRIDGE, ROBERT	MFS VALUE A	0.00	0.17	0.00	0.17	0.0	0.17
10/20/2016	LILLIGRIDGE, PAMELA	MFS VALUE A	0.00	0.59	0.00	0.59	0.0	0.59
10/20/2016	LILLIBRIDGE, ROBERT	MFS VALUE A	0.00	0.17	0.00	0.17	0.0	0.17
11/14/2016	LILLIGRIDGE, PAMELA	MFS VALUE A	0.00	0.60	0.00	0.60	0.0	0.60
11/14/2016	LILLIBRIDGE, ROBERT	MFS VALUE A	0.00	0.17	0.00	0.17	0.0	0.17
12/19/2016	LILLIGRIDGE, PAMELA	MFS VALUE A	0.00	0.59	0.00	0.59	0.0	0.59
12/19/2016	LILLIBRIDGE, ROBERT	MFS VALUE A	0.00	0.17	0.00	0.17	0.0	0.17
02/10/2016	BAY, TAMMY	MULTI STRATEGY GROWTH & INCOME FUND	0.00	3.69	0.00	3.69	0.0	3.69
02/10/2016	MARX, MATTHEW	MULTI STRATEGY GROWTH & INCOME FUND	0.00	7.38	0.00	7.38	0.0	7.38
03/07/2016	BAY, TAMMY	MULTI STRATEGY GROWTH & INCOME FUND	0.00	3.89	0.00	3.89	0.0	3.89
03/07/2016	MARX, MATTHEW	MULTI STRATEGY GROWTH & INCOME FUND	0.00	7.79	0.00	7.79	0.0	7.79
04/13/2016	BAY, TAMMY	MULTI STRATEGY GROWTH & INCOME FUND	0.00	3.99	0.00	3.99	0.0	3.99

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<u> OVERRIDE TRANSACTIONS </u>								
<u> BROKER: MICHELE BOYER #189 </u>								
04/13/2016	MARX, MATTHEW	MULTI STRATEGY GROWTH & INCOME FUND	0.00	7.99	0.00	7.99	0.0	7.99
05/09/2016	BAY, TAMMY	MULTI STRATEGY GROWTH & INCOME FUND	0.00	3.76	0.00	3.76	0.0	3.76
05/09/2016	MARX, MATTHEW	MULTI STRATEGY GROWTH & INCOME FUND	0.00	7.53	0.00	7.53	0.0	7.53
06/09/2016	BAY, TAMMY	MULTI STRATEGY GROWTH & INCOME FUND	0.00	4.17	0.00	4.17	0.0	4.17
06/09/2016	MARX, MATTHEW	MULTI STRATEGY GROWTH & INCOME FUND	0.00	8.34	0.00	8.34	0.0	8.34
07/13/2016	BAY, TAMMY	MULTI STRATEGY GROWTH & INCOME FUND	0.00	3.96	0.00	3.96	0.0	3.96
07/13/2016	MARX, MATTHEW	MULTI STRATEGY GROWTH & INCOME FUND	0.00	7.93	0.00	7.93	0.0	7.93
08/11/2016	BAY, TAMMY	MULTI STRATEGY GROWTH & INCOME FUND	0.00	4.17	0.00	4.17	0.0	4.17
08/11/2016	MARX, MATTHEW	MULTI STRATEGY GROWTH & INCOME FUND	0.00	8.33	0.00	8.33	0.0	8.33
09/22/2016	BAY, TAMMY	MULTI STRATEGY GROWTH & INCOME FUND	0.00	4.20	0.00	4.20	0.0	4.20
09/22/2016	MARX, MATTHEW	MULTI STRATEGY GROWTH & INCOME FUND	0.00	8.41	0.00	8.41	0.0	8.41
10/14/2016	BAY, TAMMY	MULTI STRATEGY GROWTH & INCOME FUND	0.00	4.07	0.00	4.07	0.0	4.07
10/14/2016	MARX, MATTHEW	MULTI STRATEGY GROWTH & INCOME FUND	0.00	8.15	0.00	8.15	0.0	8.15
11/14/2016	BAY, TAMMY	MULTI STRATEGY GROWTH & INCOME FUND	0.00	4.20	0.00	4.20	0.0	4.20
11/14/2016	MARX, MATTHEW	MULTI STRATEGY GROWTH & INCOME FUND	0.00	8.40	0.00	8.40	0.0	8.40
12/12/2016	BAY, TAMMY	MULTI STRATEGY GROWTH & INCOME FUND	0.00	4.04	0.00	4.04	0.0	4.04
12/12/2016	MARX, MATTHEW	MULTI STRATEGY GROWTH & INCOME FUND	0.00	8.08	0.00	8.08	0.0	8.08
02/22/2016	ALLEBACH, ANGELA	PIMCO COMMODITY REAL RETURN STRATEG	0.00	1.49	0.00	1.49	0.0	1.49
03/11/2016	ALLEBACH, ANGELA	PIMCO COMMODITY REAL RETURN STRATEG	0.00	1.37	0.00	1.37	0.0	1.37
04/20/2016	ALLEBACH, ANGELA	PIMCO COMMODITY REAL RETURN STRATEG	0.00	1.56	0.00	1.56	0.0	1.56
05/18/2016	ALLEBACH, ANGELA	PIMCO COMMODITY REAL RETURN STRATEG	0.00	0.97	0.00	0.97	0.0	0.97
02/22/2016	BOETTGER, JENNIFER	PIMCO INFLATION RESPONSE MULTI- ASS	0.00	8.61	0.00	8.61	0.0	8.61
03/11/2016	BOETTGER, JENNIFER	PIMCO INFLATION RESPONSE MULTI- ASS	0.00	8.08	0.00	8.08	0.0	8.08
04/20/2016	BOETTGER, JENNIFER	PIMCO INFLATION RESPONSE MULTI- ASS	0.00	9.03	0.00	9.03	0.0	9.03
05/18/2016	BOETTGER, JENNIFER	PIMCO INFLATION RESPONSE MULTI- ASS	0.00	8.93	0.00	8.93	0.0	8.93
06/16/2016	BOETTGER, JENNIFER	PIMCO INFLATION RESPONSE MULTI- ASS	0.00	9.37	0.00	9.37	0.0	9.37
07/15/2016	BOETTGER, JENNIFER	PIMCO INFLATION RESPONSE MULTI- ASS	0.00	9.15	0.00	9.15	0.0	9.15
08/12/2016	BOETTGER, JENNIFER	PIMCO INFLATION RESPONSE MULTI- ASS	0.00	9.68	0.00	9.68	0.0	9.68
09/15/2016	BOETTGER, JENNIFER	PIMCO INFLATION RESPONSE MULTI- ASS	0.00	9.71	0.00	9.71	0.0	9.71
10/21/2016	BOETTGER, JENNIFER	PIMCO INFLATION RESPONSE MULTI- ASS	0.00	9.38	0.00	9.38	0.0	9.38
11/18/2016	BOETTGER, JENNIFER	PIMCO INFLATION RESPONSE MULTI- ASS	0.00	9.70	0.00	9.70	0.0	9.70
12/14/2016	BOETTGER, JENNIFER	PIMCO INFLATION RESPONSE MULTI- ASS	0.00	9.26	0.00	9.26	0.0	9.26
02/22/2016	BUSCH, JOLEEN	PIMCO TOTAL RETURN A	0.00	5.21	0.00	5.21	0.0	5.21

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<u>VERRIDE TRANSACTIONS</u>								
<u>BROKER: MICHELE BOYER #189</u>								
02/22/2016	MAXSON, JAMI	PIMCO TOTAL RETURN A	0.00	5.75	0.00	5.75	0.0	5.75
03/11/2016	BUSCH, JOLEEN	PIMCO TOTAL RETURN A	0.00	4.87	0.00	4.87	0.0	4.87
03/11/2016	MAXSON, JAMI	PIMCO TOTAL RETURN A	0.00	5.38	0.00	5.38	0.0	5.38
04/20/2016	BUSCH, JOLEEN	PIMCO TOTAL RETURN A	0.00	5.23	0.00	5.23	0.0	5.23
04/20/2016	MAXSON, JAMI	PIMCO TOTAL RETURN A	0.00	5.78	0.00	5.78	0.0	5.78
05/18/2016	BUSCH, JOLEEN	PIMCO TOTAL RETURN A	0.00	3.25	0.00	3.25	0.0	3.25
05/18/2016	MAXSON, JAMI	PIMCO TOTAL RETURN A	0.00	5.66	0.00	5.66	0.0	5.66
06/16/2016	MAXSON, JAMI	PIMCO TOTAL RETURN A	0.00	5.87	0.00	5.87	0.0	5.87
07/15/2016	MAXSON, JAMI	PIMCO TOTAL RETURN A	0.00	5.71	0.00	5.71	0.0	5.71
08/12/2016	MAXSON, JAMI	PIMCO TOTAL RETURN A	0.00	5.99	0.00	5.99	0.0	5.99
09/15/2016	MAXSON, JAMI	PIMCO TOTAL RETURN A	0.00	5.99	0.00	5.99	0.0	5.99
10/21/2016	MAXSON, JAMI	PIMCO TOTAL RETURN A	0.00	5.80	0.00	5.80	0.0	5.80
11/18/2016	MAXSON, JAMI	PIMCO TOTAL RETURN A	0.00	5.98	0.00	5.98	0.0	5.98
12/14/2016	MAXSON, JAMI	PIMCO TOTAL RETURN A	0.00	5.51	0.00	5.51	0.0	5.51
02/22/2016	ALLEBACH, ANGELA	PUTNAM GLOBAL NAT RESOURCES-A	0.00	1.42	0.00	1.42	0.0	1.42
03/22/2016	ALLEBACH, ANGELA	PUTNAM GLOBAL NAT RESOURCES-A	0.00	1.35	0.00	1.35	0.0	1.35
04/21/2016	ALLEBACH, ANGELA	PUTNAM GLOBAL NAT RESOURCES-A	0.00	1.59	0.00	1.59	0.0	1.59
05/26/2016	ALLEBACH, ANGELA	PUTNAM GLOBAL NAT RESOURCES-A	0.00	1.00	0.00	1.00	0.0	1.00
04/27/2016	HENDERSON, JUSTINE	STADION MANAGED PORTFOLIO C	0.00	21.47	0.00	21.47	0.0	21.47
07/27/2016	HENDERSON, JUSTINE	STADION MANAGED PORTFOLIO C	0.00	22.16	0.00	22.16	0.0	22.16
10/27/2016	HENDERSON, JUSTINE	STADION MANAGED PORTFOLIO C	0.00	22.49	0.00	22.49	0.0	22.49
02/16/2016	BUSCH, JOLEEN	TEMPLETON GLOBAL BOND A	0.00	5.05	0.00	5.05	0.0	5.05
02/16/2016	MAXSON, JAMI	TEMPLETON GLOBAL BOND A	0.00	5.73	0.00	5.73	0.0	5.73
03/16/2016	BUSCH, JOLEEN	TEMPLETON GLOBAL BOND A	0.00	4.63	0.00	4.63	0.0	4.63
03/16/2016	MAXSON, JAMI	TEMPLETON GLOBAL BOND A	0.00	5.26	0.00	5.26	0.0	5.26
04/15/2016	BUSCH, JOLEEN	TEMPLETON GLOBAL BOND A	0.00	5.13	0.00	5.13	0.0	5.13
04/15/2016	MAXSON, JAMI	TEMPLETON GLOBAL BOND A	0.00	5.83	0.00	5.83	0.0	5.83
05/13/2016	BUSCH, JOLEEN	TEMPLETON GLOBAL BOND A	0.00	3.14	0.00	3.14	0.0	3.14
05/13/2016	MAXSON, JAMI	TEMPLETON GLOBAL BOND A	0.00	5.67	0.00	5.67	0.0	5.67
06/14/2016	MAXSON, JAMI	TEMPLETON GLOBAL BOND A	0.00	5.81	0.00	5.81	0.0	5.81
07/14/2016	MAXSON, JAMI	TEMPLETON GLOBAL BOND A	0.00	5.55	0.00	5.55	0.0	5.55
08/15/2016	MAXSON, JAMI	TEMPLETON GLOBAL BOND A	0.00	5.86	0.00	5.86	0.0	5.86
09/14/2016	MAXSON, JAMI	TEMPLETON GLOBAL BOND A	0.00	5.84	0.00	5.84	0.0	5.84

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<u> OVERRIDE TRANSACTIONS </u>								
<u>BROKER: MICHELE BOYER #189</u>								
10/18/2016	MAXSON, JAMI	TEMPLETON GLOBAL BOND A	0.00	5.61	0.00	5.61	0.0	5.61
11/15/2016	MAXSON, JAMI	TEMPLETON GLOBAL BOND A	0.00	5.96	0.00	5.96	0.0	5.96
12/16/2016	MAXSON, JAMI	TEMPLETON GLOBAL BOND A	0.00	5.55	0.00	5.55	0.0	5.55
02/16/2016	MAXSON, JAMI	TEMPLETON GROWTH A	0.00	2.79	0.00	2.79	0.0	2.79
03/16/2016	MAXSON, JAMI	TEMPLETON GROWTH A	0.00	2.42	0.00	2.42	0.0	2.42
04/15/2016	MAXSON, JAMI	TEMPLETON GROWTH A	0.00	2.81	0.00	2.81	0.0	2.81
05/13/2016	MAXSON, JAMI	TEMPLETON GROWTH A	0.00	2.79	0.00	2.79	0.0	2.79
06/14/2016	MAXSON, JAMI	TEMPLETON GROWTH A	0.00	2.84	0.00	2.84	0.0	2.84
07/14/2016	MAXSON, JAMI	TEMPLETON GROWTH A	0.00	2.74	0.00	2.74	0.0	2.74
08/15/2016	MAXSON, JAMI	TEMPLETON GROWTH A	0.00	2.87	0.00	2.87	0.0	2.87
09/14/2016	MAXSON, JAMI	TEMPLETON GROWTH A	0.00	2.97	0.00	2.97	0.0	2.97
10/18/2016	MAXSON, JAMI	TEMPLETON GROWTH A	0.00	2.91	0.00	2.91	0.0	2.91
11/15/2016	MAXSON, JAMI	TEMPLETON GROWTH A	0.00	3.02	0.00	3.02	0.0	3.02
12/16/2016	MAXSON, JAMI	TEMPLETON GROWTH A	0.00	2.92	0.00	2.92	0.0	2.92
03/18/2016	MINOR, PATRICIA	VAN ECK INTERNATIONAL INVESTORS GOL	0.00	1.14	0.00	1.14	0.0	1.14
06/14/2016	MINOR, PATRICIA	VAN ECK INTERNATIONAL INVESTORS GOL	0.00	1.69	0.00	1.69	0.0	1.69
09/16/2016	MINOR, PATRICIA	VAN ECK INTERNATIONAL INVESTORS GOL	0.00	2.26	0.00	2.26	0.0	2.26
12/14/2016	MINOR, PATRICIA	VAN ECK INTERNATIONAL INVESTORS GOL	0.00	0.81	0.00	0.81	0.0	0.81
02/12/2016	BUSCH, JOLEEN	WELLS FARGO ADVTG ULTRA SHORT-TERM	0.00	0.82	0.00	0.82	0.0	0.82
02/12/2016	MAXSON, JAMI	WELLS FARGO ADVTG ULTRA SHORT-TERM	0.00	5.43	0.00	5.43	0.0	5.43
03/16/2016	BUSCH, JOLEEN	WELLS FARGO ADVTG ULTRA SHORT-TERM	0.00	0.77	0.00	0.77	0.0	0.77
03/16/2016	MAXSON, JAMI	WELLS FARGO ADVTG ULTRA SHORT-TERM	0.00	5.07	0.00	5.07	0.0	5.07
04/15/2016	BUSCH, JOLEEN	WELLS FARGO ADVTG ULTRA SHORT-TERM	0.00	0.83	0.00	0.83	0.0	0.83
04/15/2016	MAXSON, JAMI	WELLS FARGO ADVTG ULTRA SHORT-TERM	0.00	5.44	0.00	5.44	0.0	5.44
05/16/2016	BUSCH, JOLEEN	WELLS FARGO ADVTG ULTRA SHORT-TERM	0.00	0.51	0.00	0.51	0.0	0.51
05/16/2016	MAXSON, JAMI	WELLS FARGO ADVTG ULTRA SHORT-TERM	0.00	5.28	0.00	5.28	0.0	5.28
06/14/2016	MAXSON, JAMI	WELLS FARGO ADVTG ULTRA SHORT-TERM	0.00	5.47	0.00	5.47	0.0	5.47
07/18/2016	MAXSON, JAMI	WELLS FARGO ADVTG ULTRA SHORT-TERM	0.00	5.30	0.00	5.30	0.0	5.30
08/15/2016	MAXSON, JAMI	WELLS FARGO ADVTG ULTRA SHORT-TERM	0.00	5.49	0.00	5.49	0.0	5.49
09/15/2016	MAXSON, JAMI	WELLS FARGO ADVTG ULTRA SHORT-TERM	0.00	5.49	0.00	5.49	0.0	5.49
10/12/2016	MAXSON, JAMI	WELLS FARGO ADVTG ULTRA SHORT-TERM	0.00	5.32	0.00	5.32	0.0	5.32
11/16/2016	MAXSON, JAMI	WELLS FARGO ADVTG ULTRA SHORT-TERM	0.00	5.50	0.00	5.50	0.0	5.50
12/14/2016	MAXSON, JAMI	WELLS FARGO ADVTG ULTRA SHORT-TERM	0.00	5.15	0.00	5.15	0.0	5.15

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<u> OVERRIDE TRANSACTIONS </u>								
<u>BROKER: MICHELE BOYER #189</u>								
04/12/2016	BARNES, BRIAN	WILLISTON BASIN/MID- NORTH AMERICA	0.00	1.71	0.00	1.71	0.0	1.71
07/13/2016	BARNES, BRIAN	WILLISTON BASIN/MID- NORTH AMERICA	0.00	3.16	0.00	3.16	0.0	3.16
10/11/2016	BARNES, BRIAN	WILLISTON BASIN/MID- NORTH AMERICA	0.00	3.44	0.00	3.44	0.0	3.44
* MICHELE BOYER SUBTOTAL *			\$0.00	\$735.90	\$0.00	\$735.90		\$735.90
<u>BROKER: THOMAS JAHNCKE #193</u>								
06/22/2016	KORCEK, ANDREW	ALGER LARGE CAP GROWTH A	0.00	0.22	0.00	0.22	0.0	0.22
07/28/2016	KORCEK, ANDREW	ALGER LARGE CAP GROWTH A	0.00	0.51	0.00	0.51	0.0	0.51
08/22/2016	KORCEK, ANDREW	ALGER LARGE CAP GROWTH A	0.00	0.53	0.00	0.53	0.0	0.53
09/23/2016	KORCEK, ANDREW	ALGER LARGE CAP GROWTH A	0.00	0.02	0.00	0.02	0.0	0.02
06/22/2016	KORCEK, ANDREW	ALGER LARGE CAP GROWTH C	0.00	0.11	0.00	0.11	0.0	0.11
07/28/2016	KORCEK, ANDREW	ALGER LARGE CAP GROWTH C	0.00	0.24	0.00	0.24	0.0	0.24
08/22/2016	KORCEK, ANDREW	ALGER LARGE CAP GROWTH C	0.00	0.25	0.00	0.25	0.0	0.25
09/23/2016	KORCEK, ANDREW	ALGER LARGE CAP GROWTH C	0.00	0.01	0.00	0.01	0.0	0.01
05/11/2016	BRINSER, LISA	ALLIANCEBERNSTEIN GROWTH A	0.00	0.50	0.00	0.50	0.0	0.50
06/10/2016	BRINSER, LISA	ALLIANCEBERNSTEIN GROWTH A	0.00	1.38	0.00	1.38	0.0	1.38
07/18/2016	BRINSER, LISA	ALLIANCEBERNSTEIN GROWTH A	0.00	1.34	0.00	1.34	0.0	1.34
08/08/2016	BRINSER, LISA	ALLIANCEBERNSTEIN GROWTH A	0.00	1.43	0.00	1.43	0.0	1.43
09/12/2016	BRINSER, LISA	ALLIANCEBERNSTEIN GROWTH A	0.00	1.47	0.00	1.47	0.0	1.47
10/20/2016	BRINSER, LISA	ALLIANCEBERNSTEIN GROWTH A	0.00	1.41	0.00	1.41	0.0	1.41
11/11/2016	BRINSER, LISA	ALLIANCEBERNSTEIN GROWTH A	0.00	1.44	0.00	1.44	0.0	1.44
12/12/2016	BRINSER, LISA	ALLIANCEBERNSTEIN GROWTH A	0.00	1.38	0.00	1.38	0.0	1.38
05/11/2016	BRINSER, LISA	ALLIANCEBERNSTEIN GROWTH AND INC A	0.00	0.40	0.00	0.40	0.0	0.40
06/10/2016	BRINSER, LISA	ALLIANCEBERNSTEIN GROWTH AND INC A	0.00	1.10	0.00	1.10	0.0	1.10
07/18/2016	BRINSER, LISA	ALLIANCEBERNSTEIN GROWTH AND INC A	0.00	1.07	0.00	1.07	0.0	1.07
08/08/2016	BRINSER, LISA	ALLIANCEBERNSTEIN GROWTH AND INC A	0.00	1.13	0.00	1.13	0.0	1.13
09/12/2016	BRINSER, LISA	ALLIANCEBERNSTEIN GROWTH AND INC A	0.00	1.14	0.00	1.14	0.0	1.14
10/20/2016	BRINSER, LISA	ALLIANCEBERNSTEIN GROWTH AND INC A	0.00	1.10	0.00	1.10	0.0	1.10
11/11/2016	BRINSER, LISA	ALLIANCEBERNSTEIN GROWTH AND INC A	0.00	1.13	0.00	1.13	0.0	1.13
12/12/2016	BRINSER, LISA	ALLIANCEBERNSTEIN GROWTH AND INC A	0.00	1.13	0.00	1.13	0.0	1.13
02/22/2016	JAHNCKE, JUDY	ALLIANZGI NFJ MID- CAP VALUE FUND C	0.00	0.94	0.00	0.94	0.0	0.94
03/21/2016	JAHNCKE, JUDY	ALLIANZGI NFJ MID- CAP VALUE FUND C	0.00	0.87	0.00	0.87	0.0	0.87
04/21/2016	JAHNCKE, JUDY	ALLIANZGI NFJ MID- CAP VALUE FUND C	0.00	1.01	0.00	1.01	0.0	1.01
05/24/2016	JAHNCKE, JUDY	ALLIANZGI NFJ MID- CAP VALUE FUND C	0.00	1.00	0.00	1.00	0.0	1.00

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

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^Date - Split Trade - full Investment Amount & Gross Commission displayed

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u> OVERRIDE TRANSACTIONS </u>								
<u>BROKER: THOMAS JAHNCKE #193</u>								
06/21/2016	JAHNCKE, JUDY	ALLIANZGI NFJ MID- CAP VALUE FUND C	0.00	1.04	0.00	1.04	0.0	1.04
07/21/2016	JAHNCKE, JUDY	ALLIANZGI NFJ MID- CAP VALUE FUND C	0.00	1.01	0.00	1.01	0.0	1.01
08/22/2016	JAHNCKE, JUDY	ALLIANZGI NFJ MID- CAP VALUE FUND C	0.00	1.07	0.00	1.07	0.0	1.07
09/21/2016	JAHNCKE, JUDY	ALLIANZGI NFJ MID- CAP VALUE FUND C	0.00	1.08	0.00	1.08	0.0	1.08
10/21/2016	JAHNCKE, JUDY	ALLIANZGI NFJ MID- CAP VALUE FUND C	0.00	1.05	0.00	1.05	0.0	1.05
11/21/2016	JAHNCKE, JUDY	ALLIANZGI NFJ MID- CAP VALUE FUND C	0.00	1.08	0.00	1.08	0.0	1.08
12/14/2016	JAHNCKE, JUDY	ALLIANZGI NFJ MID- CAP VALUE FUND C	0.00	1.08	0.00	1.08	0.0	1.08
02/16/2016	LOTT FAMILY TRUST	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.09	0.00	1.09	0.0	1.09
03/15/2016	LOTT FAMILY TRUST	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.02	0.00	1.02	0.0	1.02
04/20/2016	LOTT FAMILY TRUST	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.14	0.00	1.14	0.0	1.14
05/16/2016	LOTT FAMILY TRUST	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.12	0.00	1.12	0.0	1.12
06/15/2016	LOTT FAMILY TRUST	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.16	0.00	1.16	0.0	1.16
07/18/2016	LOTT FAMILY TRUST	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.13	0.00	1.13	0.0	1.13
08/15/2016	LOTT FAMILY TRUST	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.19	0.00	1.19	0.0	1.19
09/16/2016	LOTT FAMILY TRUST	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.20	0.00	1.20	0.0	1.20
10/17/2016	LOTT FAMILY TRUST	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.15	0.00	1.15	0.0	1.15
11/18/2016	LOTT FAMILY TRUST	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.16	0.00	1.16	0.0	1.16
12/15/2016	LOTT FAMILY TRUST	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.10	0.00	1.10	0.0	1.10
02/16/2016	LOTT FAMILY TRUST	AM FUNDS CAPITAL WORLD BOND A	0.00	1.93	0.00	1.93	0.0	1.93
03/15/2016	LOTT FAMILY TRUST	AM FUNDS CAPITAL WORLD BOND A	0.00	1.83	0.00	1.83	0.0	1.83
04/20/2016	LOTT FAMILY TRUST	AM FUNDS CAPITAL WORLD BOND A	0.00	1.99	0.00	1.99	0.0	1.99
05/16/2016	LOTT FAMILY TRUST	AM FUNDS CAPITAL WORLD BOND A	0.00	1.96	0.00	1.96	0.0	1.96
06/15/2016	LOTT FAMILY TRUST	AM FUNDS CAPITAL WORLD BOND A	0.00	2.02	0.00	2.02	0.0	2.02
07/18/2016	LOTT FAMILY TRUST	AM FUNDS CAPITAL WORLD BOND A	0.00	1.98	0.00	1.98	0.0	1.98
08/15/2016	LOTT FAMILY TRUST	AM FUNDS CAPITAL WORLD BOND A	0.00	2.06	0.00	2.06	0.0	2.06
09/16/2016	LOTT FAMILY TRUST	AM FUNDS CAPITAL WORLD BOND A	0.00	2.09	0.00	2.09	0.0	2.09
10/17/2016	LOTT FAMILY TRUST	AM FUNDS CAPITAL WORLD BOND A	0.00	2.01	0.00	2.01	0.0	2.01
11/18/2016	LOTT FAMILY TRUST	AM FUNDS CAPITAL WORLD BOND A	0.00	2.05	0.00	2.05	0.0	2.05
12/15/2016	LOTT FAMILY TRUST	AM FUNDS CAPITAL WORLD BOND A	0.00	1.92	0.00	1.92	0.0	1.92
02/16/2016	RUMBLE TRUST, JUDITH	AM FUNDS EUROPACIFIC GROWTH FUND C	0.00	14.07	0.00	14.07	0.0	14.07
03/15/2016	RUMBLE TRUST, JUDITH	AM FUNDS EUROPACIFIC GROWTH FUND C	0.00	12.68	0.00	12.68	0.0	12.68
04/20/2016	RUMBLE TRUST, JUDITH	AM FUNDS EUROPACIFIC GROWTH FUND C	0.00	14.42	0.00	14.42	0.0	14.42
05/16/2016	RUMBLE TRUST, JUDITH	AM FUNDS EUROPACIFIC GROWTH FUND C	0.00	14.28	0.00	14.28	0.0	14.28

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u> OVERRIDE TRANSACTIONS </u>								
<u> BROKER: THOMAS JAHNCKE #193 </u>								
06/15/2016	RUMBLE TRUST, JUDITH	AM FUNDS EUROPACIFIC GROWTH FUND C	0.00	14.60	0.00	14.60	0.0	14.60
07/18/2016	RUMBLE TRUST, JUDITH	AM FUNDS EUROPACIFIC GROWTH FUND C	0.00	14.14	0.00	14.14	0.0	14.14
08/15/2016	RUMBLE TRUST, JUDITH	AM FUNDS EUROPACIFIC GROWTH FUND C	0.00	14.92	0.00	14.92	0.0	14.92
09/16/2016	RUMBLE TRUST, JUDITH	AM FUNDS EUROPACIFIC GROWTH FUND C	0.00	15.47	0.00	15.47	0.0	15.47
10/17/2016	RUMBLE TRUST, JUDITH	AM FUNDS EUROPACIFIC GROWTH FUND C	0.00	15.20	0.00	15.20	0.0	15.20
11/18/2016	RUMBLE TRUST, JUDITH	AM FUNDS EUROPACIFIC GROWTH FUND C	0.00	15.51	0.00	15.51	0.0	15.51
12/15/2016	RUMBLE TRUST, JUDITH	AM FUNDS EUROPACIFIC GROWTH FUND C	0.00	14.48	0.00	14.48	0.0	14.48
02/16/2016	RUMBLE TRUST, JUDITH	AM FUNDS INCOME FUND OF AMERICA A	0.00	6.55	0.00	6.55	0.0	6.55
02/16/2016	LOTT FAMILY TRUST	AM FUNDS INCOME FUND OF AMERICA A	0.00	1.16	0.00	1.16	0.0	1.16
03/15/2016	RUMBLE TRUST, JUDITH	AM FUNDS INCOME FUND OF AMERICA A	0.00	6.14	0.00	6.14	0.0	6.14
03/15/2016	LOTT FAMILY TRUST	AM FUNDS INCOME FUND OF AMERICA A	0.00	1.08	0.00	1.08	0.0	1.08
04/20/2016	RUMBLE TRUST, JUDITH	AM FUNDS INCOME FUND OF AMERICA A	0.00	6.89	0.00	6.89	0.0	6.89
04/20/2016	LOTT FAMILY TRUST	AM FUNDS INCOME FUND OF AMERICA A	0.00	1.21	0.00	1.21	0.0	1.21
05/16/2016	RUMBLE TRUST, JUDITH	AM FUNDS INCOME FUND OF AMERICA A	0.00	6.82	0.00	6.82	0.0	6.82
05/16/2016	LOTT FAMILY TRUST	AM FUNDS INCOME FUND OF AMERICA A	0.00	1.19	0.00	1.19	0.0	1.19
06/15/2016	RUMBLE TRUST, JUDITH	AM FUNDS INCOME FUND OF AMERICA A	0.00	7.05	0.00	7.05	0.0	7.05
06/15/2016	LOTT FAMILY TRUST	AM FUNDS INCOME FUND OF AMERICA A	0.00	1.24	0.00	1.24	0.0	1.24
07/18/2016	RUMBLE TRUST, JUDITH	AM FUNDS INCOME FUND OF AMERICA A	0.00	6.90	0.00	6.90	0.0	6.90
07/18/2016	LOTT FAMILY TRUST	AM FUNDS INCOME FUND OF AMERICA A	0.00	1.20	0.00	1.20	0.0	1.20
08/15/2016	RUMBLE TRUST, JUDITH	AM FUNDS INCOME FUND OF AMERICA A	0.00	7.36	0.00	7.36	0.0	7.36
08/15/2016	LOTT FAMILY TRUST	AM FUNDS INCOME FUND OF AMERICA A	0.00	1.28	0.00	1.28	0.0	1.28
09/16/2016	RUMBLE TRUST, JUDITH	AM FUNDS INCOME FUND OF AMERICA A	0.00	7.41	0.00	7.41	0.0	7.41
09/16/2016	LOTT FAMILY TRUST	AM FUNDS INCOME FUND OF AMERICA A	0.00	1.29	0.00	1.29	0.0	1.29
10/17/2016	RUMBLE TRUST, JUDITH	AM FUNDS INCOME FUND OF AMERICA A	0.00	7.13	0.00	7.13	0.0	7.13
10/17/2016	LOTT FAMILY TRUST	AM FUNDS INCOME FUND OF AMERICA A	0.00	1.23	0.00	1.23	0.0	1.23
11/18/2016	RUMBLE TRUST, JUDITH	AM FUNDS INCOME FUND OF AMERICA A	0.00	7.32	0.00	7.32	0.0	7.32
11/18/2016	LOTT FAMILY TRUST	AM FUNDS INCOME FUND OF AMERICA A	0.00	1.26	0.00	1.26	0.0	1.26
12/15/2016	RUMBLE TRUST, JUDITH	AM FUNDS INCOME FUND OF AMERICA A	0.00	7.07	0.00	7.07	0.0	7.07
12/15/2016	LOTT FAMILY TRUST	AM FUNDS INCOME FUND OF AMERICA A	0.00	1.22	0.00	1.22	0.0	1.22
02/19/2016	BRINSER, LISA	CALAMOS GLOBAL GROWTH & INCOME C	0.00	4.51	0.00	4.51	0.0	4.51
03/17/2016	BRINSER, LISA	CALAMOS GLOBAL GROWTH & INCOME C	0.00	4.09	0.00	4.09	0.0	4.09
04/20/2016	BRINSER, LISA	CALAMOS GLOBAL GROWTH & INCOME C	0.00	4.57	0.00	4.57	0.0	4.57
05/19/2016	BRINSER, LISA	CALAMOS GLOBAL GROWTH & INCOME C	0.00	4.53	0.00	4.53	0.0	4.53

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<u> OVERRIDE TRANSACTIONS </u>								
<u>BROKER: THOMAS JAHNCKE #193</u>								
06/16/2016	BRINSER, LISA	CALAMOS GLOBAL GROWTH & INCOME C	0.00	4.64	0.00	4.64	0.0	4.64
07/21/2016	BRINSER, LISA	CALAMOS GLOBAL GROWTH & INCOME C	0.00	4.52	0.00	4.52	0.0	4.52
08/19/2016	BRINSER, LISA	CALAMOS GLOBAL GROWTH & INCOME C	0.00	4.76	0.00	4.76	0.0	4.76
09/21/2016	BRINSER, LISA	CALAMOS GLOBAL GROWTH & INCOME C	0.00	4.87	0.00	4.87	0.0	4.87
10/21/2016	BRINSER, LISA	CALAMOS GLOBAL GROWTH & INCOME C	0.00	4.69	0.00	4.69	0.0	4.69
11/18/2016	BRINSER, LISA	CALAMOS GLOBAL GROWTH & INCOME C	0.00	4.82	0.00	4.82	0.0	4.82
12/20/2016	BRINSER, LISA	CALAMOS GLOBAL GROWTH & INCOME C	0.00	4.55	0.00	4.55	0.0	4.55
02/19/2016	JAHNCKE, JUDY	CALAMOS GROWTH A	0.00	3.19	0.00	3.19	0.0	3.19
03/17/2016	JAHNCKE, JUDY	CALAMOS GROWTH A	0.00	2.86	0.00	2.86	0.0	2.86
04/20/2016	JAHNCKE, JUDY	CALAMOS GROWTH A	0.00	3.22	0.00	3.22	0.0	3.22
05/19/2016	JAHNCKE, JUDY	CALAMOS GROWTH A	0.00	3.20	0.00	3.20	0.0	3.20
06/16/2016	JAHNCKE, JUDY	CALAMOS GROWTH A	0.00	3.27	0.00	3.27	0.0	3.27
07/21/2016	JAHNCKE, JUDY	CALAMOS GROWTH A	0.00	3.18	0.00	3.18	0.0	3.18
08/19/2016	JAHNCKE, JUDY	CALAMOS GROWTH A	0.00	3.34	0.00	3.34	0.0	3.34
09/21/2016	JAHNCKE, JUDY	CALAMOS GROWTH A	0.00	3.41	0.00	3.41	0.0	3.41
10/21/2016	JAHNCKE, JUDY	CALAMOS GROWTH A	0.00	3.26	0.00	3.26	0.0	3.26
11/18/2016	JAHNCKE, JUDY	CALAMOS GROWTH A	0.00	3.36	0.00	3.36	0.0	3.36
12/20/2016	JAHNCKE, JUDY	CALAMOS GROWTH A	0.00	3.22	0.00	3.22	0.0	3.22
02/19/2016	RUMBLE TRUST, JUDITH	CALAMOS GROWTH C	0.00	33.23	0.00	33.23	0.0	33.23
03/17/2016	RUMBLE TRUST, JUDITH	CALAMOS GROWTH C	0.00	29.76	0.00	29.76	0.0	29.76
04/20/2016	RUMBLE TRUST, JUDITH	CALAMOS GROWTH C	0.00	33.48	0.00	33.48	0.0	33.48
05/19/2016	RUMBLE TRUST, JUDITH	CALAMOS GROWTH C	0.00	33.27	0.00	33.27	0.0	33.27
06/16/2016	RUMBLE TRUST, JUDITH	CALAMOS GROWTH C	0.00	33.99	0.00	33.99	0.0	33.99
07/21/2016	RUMBLE TRUST, JUDITH	CALAMOS GROWTH C	0.00	33.06	0.00	33.06	0.0	33.06
08/19/2016	RUMBLE TRUST, JUDITH	CALAMOS GROWTH C	0.00	34.70	0.00	34.70	0.0	34.70
09/21/2016	RUMBLE TRUST, JUDITH	CALAMOS GROWTH C	0.00	35.35	0.00	35.35	0.0	35.35
10/21/2016	RUMBLE TRUST, JUDITH	CALAMOS GROWTH C	0.00	33.77	0.00	33.77	0.0	33.77
11/18/2016	RUMBLE TRUST, JUDITH	CALAMOS GROWTH C	0.00	34.84	0.00	34.84	0.0	34.84
12/20/2016	RUMBLE TRUST, JUDITH	CALAMOS GROWTH C	0.00	33.31	0.00	33.31	0.0	33.31
02/10/2016	JAHNCKE, JUDY	DREYFUS RESEARCH GROWTH FUND CLASS	0.00	0.53	0.00	0.53	0.0	0.53
03/10/2016	JAHNCKE, JUDY	DREYFUS RESEARCH GROWTH FUND CLASS	0.00	0.48	0.00	0.48	0.0	0.48
04/15/2016	JAHNCKE, JUDY	DREYFUS RESEARCH GROWTH FUND CLASS	0.00	0.54	0.00	0.54	0.0	0.54
05/11/2016	JAHNCKE, JUDY	DREYFUS RESEARCH GROWTH FUND CLASS	0.00	0.54	0.00	0.54	0.0	0.54

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<u> OVERRIDE TRANSACTIONS </u>								
<u>BROKER: THOMAS JAHNCKE #193</u>								
06/10/2016	JAHNCKE, JUDY	DREYFUS RESEARCH GROWTH FUND CLASS	0.00	0.56	0.00	0.56	0.0	0.56
07/13/2016	JAHNCKE, JUDY	DREYFUS RESEARCH GROWTH FUND CLASS	0.00	0.55	0.00	0.55	0.0	0.55
08/09/2016	JAHNCKE, JUDY	DREYFUS RESEARCH GROWTH FUND CLASS	0.00	0.58	0.00	0.58	0.0	0.58
09/12/2016	JAHNCKE, JUDY	DREYFUS RESEARCH GROWTH FUND CLASS	0.00	0.59	0.00	0.59	0.0	0.59
10/11/2016	JAHNCKE, JUDY	DREYFUS RESEARCH GROWTH FUND CLASS	0.00	0.56	0.00	0.56	0.0	0.56
11/15/2016	JAHNCKE, JUDY	DREYFUS RESEARCH GROWTH FUND CLASS	0.00	0.57	0.00	0.57	0.0	0.57
12/13/2016	JAHNCKE, JUDY	DREYFUS RESEARCH GROWTH FUND CLASS	0.00	0.55	0.00	0.55	0.0	0.55
02/18/2016	JAHNCKE, JUDY	EAGLE CAPITAL APPRECIATION FUND CLA	0.00	1.64	0.00	1.64	0.0	1.64
03/21/2016	JAHNCKE, JUDY	EAGLE CAPITAL APPRECIATION FUND CLA	0.00	1.49	0.00	1.49	0.0	1.49
04/18/2016	JAHNCKE, JUDY	EAGLE CAPITAL APPRECIATION FUND CLA	0.00	1.69	0.00	1.69	0.0	1.69
05/16/2016	JAHNCKE, JUDY	EAGLE CAPITAL APPRECIATION FUND CLA	0.00	1.67	0.00	1.67	0.0	1.67
06/23/2016	JAHNCKE, JUDY	EAGLE CAPITAL APPRECIATION FUND CLA	0.00	1.70	0.00	1.70	0.0	1.70
07/15/2016	JAHNCKE, JUDY	EAGLE CAPITAL APPRECIATION FUND CLA	0.00	1.65	0.00	1.65	0.0	1.65
08/16/2016	JAHNCKE, JUDY	EAGLE CAPITAL APPRECIATION FUND CLA	0.00	1.76	0.00	1.76	0.0	1.76
09/15/2016	JAHNCKE, JUDY	EAGLE CAPITAL APPRECIATION FUND CLA	0.00	1.79	0.00	1.79	0.0	1.79
10/20/2016	JAHNCKE, JUDY	EAGLE CAPITAL APPRECIATION FUND CLA	0.00	1.72	0.00	1.72	0.0	1.72
11/16/2016	JAHNCKE, JUDY	EAGLE CAPITAL APPRECIATION FUND CLA	0.00	1.77	0.00	1.77	0.0	1.77
12/21/2016	JAHNCKE, JUDY	EAGLE CAPITAL APPRECIATION FUND CLA	0.00	1.71	0.00	1.71	0.0	1.71
02/10/2016	STOCKER TRUST, MARTHA	EATON VANCE FLOATING-RATE ADVANTAGE	0.00	7.21	0.00	7.21	0.0	7.21
03/16/2016	STOCKER TRUST, MARTHA	EATON VANCE FLOATING-RATE ADVANTAGE	0.00	6.63	0.00	6.63	0.0	6.63
04/25/2016	STOCKER TRUST, MARTHA	EATON VANCE FLOATING-RATE ADVANTAGE	0.00	7.25	0.00	7.25	0.0	7.25
05/13/2016	STOCKER TRUST, MARTHA	EATON VANCE FLOATING-RATE ADVANTAGE	0.00	7.17	0.00	7.17	0.0	7.17
06/15/2016	STOCKER TRUST, MARTHA	EATON VANCE FLOATING-RATE ADVANTAGE	0.00	7.49	0.00	7.49	0.0	7.49
07/20/2016	STOCKER TRUST, MARTHA	EATON VANCE FLOATING-RATE ADVANTAGE	0.00	7.27	0.00	7.27	0.0	7.27
08/12/2016	STOCKER TRUST, MARTHA	EATON VANCE FLOATING-RATE ADVANTAGE	0.00	7.54	0.00	7.54	0.0	7.54
09/13/2016	STOCKER TRUST, MARTHA	EATON VANCE FLOATING-RATE ADVANTAGE	0.00	7.59	0.00	7.59	0.0	7.59
10/12/2016	STOCKER TRUST, MARTHA	EATON VANCE FLOATING-RATE ADVANTAGE	0.00	7.39	0.00	7.39	0.0	7.39
11/15/2016	STOCKER TRUST, MARTHA	EATON VANCE FLOATING-RATE ADVANTAGE	0.00	7.70	0.00	7.70	0.0	7.70
12/21/2016	STOCKER TRUST, MARTHA	EATON VANCE FLOATING-RATE ADVANTAGE	0.00	7.45	0.00	7.45	0.0	7.45
02/10/2016	RUMBLE TRUST, JUDITH	FEDERATED EQUITY INCOME FUND CLASS	0.00	16.55	0.00	16.55	0.0	16.55
03/15/2016	RUMBLE TRUST, JUDITH	FEDERATED EQUITY INCOME FUND CLASS	0.00	15.10	0.00	15.10	0.0	15.10
04/20/2016	RUMBLE TRUST, JUDITH	FEDERATED EQUITY INCOME FUND CLASS	0.00	17.05	0.00	17.05	0.0	17.05
05/16/2016	RUMBLE TRUST, JUDITH	FEDERATED EQUITY INCOME FUND CLASS	0.00	16.79	0.00	16.79	0.0	16.79

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<u> OVERRIDE TRANSACTIONS </u>								
<u>BROKER: THOMAS JAHNCKE #193</u>								
06/15/2016	RUMBLE TRUST, JUDITH	FEDERATED EQUITY INCOME FUND CLASS	0.00	17.19	0.00	17.19	0.0	17.19
07/19/2016	RUMBLE TRUST, JUDITH	FEDERATED EQUITY INCOME FUND CLASS	0.00	16.81	0.00	16.81	0.0	16.81
08/12/2016	RUMBLE TRUST, JUDITH	FEDERATED EQUITY INCOME FUND CLASS	0.00	17.85	0.00	17.85	0.0	17.85
09/16/2016	RUMBLE TRUST, JUDITH	FEDERATED EQUITY INCOME FUND CLASS	0.00	18.05	0.00	18.05	0.0	18.05
10/21/2016	RUMBLE TRUST, JUDITH	FEDERATED EQUITY INCOME FUND CLASS	0.00	17.33	0.00	17.33	0.0	17.33
11/21/2016	RUMBLE TRUST, JUDITH	FEDERATED EQUITY INCOME FUND CLASS	0.00	17.88	0.00	17.88	0.0	17.88
12/16/2016	RUMBLE TRUST, JUDITH	FEDERATED EQUITY INCOME FUND CLASS	0.00	17.77	0.00	17.77	0.0	17.77
02/08/2016	RUMBLE TRUST, JUDITH	FORWARD REAL ESTATE LONG/SHORT FUND	0.00	1.44	0.00	1.44	0.0	1.44
03/15/2016	RUMBLE TRUST, JUDITH	FORWARD REAL ESTATE LONG/SHORT FUND	0.00	1.28	0.00	1.28	0.0	1.28
04/12/2016	RUMBLE TRUST, JUDITH	FORWARD REAL ESTATE LONG/SHORT FUND	0.00	1.50	0.00	1.50	0.0	1.50
05/11/2016	RUMBLE TRUST, JUDITH	FORWARD REAL ESTATE LONG/SHORT FUND	0.00	1.50	0.00	1.50	0.0	1.50
06/13/2016	RUMBLE TRUST, JUDITH	FORWARD REAL ESTATE LONG/SHORT FUND	0.00	1.58	0.00	1.58	0.0	1.58
07/13/2016	RUMBLE TRUST, JUDITH	FORWARD REAL ESTATE LONG/SHORT FUND	0.00	1.55	0.00	1.55	0.0	1.55
08/11/2016	RUMBLE TRUST, JUDITH	FORWARD REAL ESTATE LONG/SHORT FUND	0.00	1.69	0.00	1.69	0.0	1.69
09/13/2016	RUMBLE TRUST, JUDITH	FORWARD REAL ESTATE LONG/SHORT FUND	0.00	1.72	0.00	1.72	0.0	1.72
10/12/2016	RUMBLE TRUST, JUDITH	FORWARD REAL ESTATE LONG/SHORT FUND	0.00	1.65	0.00	1.65	0.0	1.65
11/10/2016	RUMBLE TRUST, JUDITH	FORWARD REAL ESTATE LONG/SHORT FUND	0.00	1.66	0.00	1.66	0.0	1.66
12/12/2016	RUMBLE TRUST, JUDITH	FORWARD REAL ESTATE LONG/SHORT FUND	0.00	1.60	0.00	1.60	0.0	1.60
02/08/2016	RUMBLE TRUST, JUDITH	FORWARD SELECT INCOME FUND CLASS C	0.00	19.85	0.00	19.85	0.0	19.85
02/08/2016	STOCKER TRUST, MARTHA	FORWARD SELECT INCOME FUND CLASS C	0.00	12.97	0.00	12.97	0.0	12.97
03/15/2016	RUMBLE TRUST, JUDITH	FORWARD SELECT INCOME FUND CLASS C	0.00	18.10	0.00	18.10	0.0	18.10
03/15/2016	STOCKER TRUST, MARTHA	FORWARD SELECT INCOME FUND CLASS C	0.00	11.83	0.00	11.83	0.0	11.83
04/12/2016	RUMBLE TRUST, JUDITH	FORWARD SELECT INCOME FUND CLASS C	0.00	20.48	0.00	20.48	0.0	20.48
04/12/2016	STOCKER TRUST, MARTHA	FORWARD SELECT INCOME FUND CLASS C	0.00	13.36	0.00	13.36	0.0	13.36
05/11/2016	RUMBLE TRUST, JUDITH	FORWARD SELECT INCOME FUND CLASS C	0.00	20.19	0.00	20.19	0.0	20.19
05/11/2016	STOCKER TRUST, MARTHA	FORWARD SELECT INCOME FUND CLASS C	0.00	13.04	0.00	13.04	0.0	13.04
06/13/2016	RUMBLE TRUST, JUDITH	FORWARD SELECT INCOME FUND CLASS C	0.00	21.38	0.00	21.38	0.0	21.38
06/13/2016	STOCKER TRUST, MARTHA	FORWARD SELECT INCOME FUND CLASS C	0.00	13.80	0.00	13.80	0.0	13.80
07/13/2016	RUMBLE TRUST, JUDITH	FORWARD SELECT INCOME FUND CLASS C	0.00	21.24	0.00	21.24	0.0	21.24
07/13/2016	STOCKER TRUST, MARTHA	FORWARD SELECT INCOME FUND CLASS C	0.00	13.69	0.00	13.69	0.0	13.69
08/11/2016	RUMBLE TRUST, JUDITH	FORWARD SELECT INCOME FUND CLASS C	0.00	22.77	0.00	22.77	0.0	22.77
08/11/2016	STOCKER TRUST, MARTHA	FORWARD SELECT INCOME FUND CLASS C	0.00	14.52	0.00	14.52	0.0	14.52
09/13/2016	RUMBLE TRUST, JUDITH	FORWARD SELECT INCOME FUND CLASS C	0.00	23.28	0.00	23.28	0.0	23.28

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^Date - Split Trade - full Investment Amount & Gross Commission displayed

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u> OVERRIDE TRANSACTIONS </u>								
<u>BROKER: THOMAS JAHNCKE #193</u>								
09/13/2016	STOCKER TRUST, MARTHA	FORWARD SELECT INCOME FUND CLASS C	0.00	14.84	0.00	14.84	0.0	14.84
10/12/2016	RUMBLE TRUST, JUDITH	FORWARD SELECT INCOME FUND CLASS C	0.00	22.49	0.00	22.49	0.0	22.49
10/12/2016	STOCKER TRUST, MARTHA	FORWARD SELECT INCOME FUND CLASS C	0.00	14.32	0.00	14.32	0.0	14.32
11/10/2016	RUMBLE TRUST, JUDITH	FORWARD SELECT INCOME FUND CLASS C	0.00	22.90	0.00	22.90	0.0	22.90
11/10/2016	STOCKER TRUST, MARTHA	FORWARD SELECT INCOME FUND CLASS C	0.00	14.47	0.00	14.47	0.0	14.47
12/12/2016	RUMBLE TRUST, JUDITH	FORWARD SELECT INCOME FUND CLASS C	0.00	21.83	0.00	21.83	0.0	21.83
12/12/2016	STOCKER TRUST, MARTHA	FORWARD SELECT INCOME FUND CLASS C	0.00	13.80	0.00	13.80	0.0	13.80
06/22/2016	KORCEK, ANDREW	GABELLI VALUE FUND CLASS A	0.00	0.47	0.00	0.47	0.0	0.47
07/22/2016	KORCEK, ANDREW	GABELLI VALUE FUND CLASS A	0.00	1.11	0.00	1.11	0.0	1.11
08/19/2016	KORCEK, ANDREW	GABELLI VALUE FUND CLASS A	0.00	1.18	0.00	1.18	0.0	1.18
09/21/2016	KORCEK, ANDREW	GABELLI VALUE FUND CLASS A	0.00	0.04	0.00	0.04	0.0	0.04
10/17/2016	RUMBLE TRUST, JUDITH	GRIFFIN INST'L ACCESS R E FUND C	0.00	3.67	0.00	3.67	0.0	3.67
10/17/2016	RUMBLE TRUST, JUDITH	GRIFFIN INST'L ACCESS R E FUND C	0.00	1.22	0.00	1.22	0.0	1.22
04/14/2016	RUMBLE TRUST, JUDITH	INVESCO ENERGY FUND CLASS C	0.00	27.86	0.00	27.86	0.0	27.86
07/19/2016	RUMBLE TRUST, JUDITH	INVESCO ENERGY FUND CLASS C	0.00	33.39	0.00	33.39	0.0	33.39
10/17/2016	RUMBLE TRUST, JUDITH	INVESCO ENERGY FUND CLASS C	0.00	33.81	0.00	33.81	0.0	33.81
04/14/2016	STOCKER TRUST, MARTHA	INVESCO SENIOR LOAN FUND CLASS IC	0.00	14.44	0.00	14.44	0.0	14.44
07/19/2016	STOCKER TRUST, MARTHA	INVESCO SENIOR LOAN FUND CLASS IC	0.00	15.09	0.00	15.09	0.0	15.09
10/17/2016	STOCKER TRUST, MARTHA	INVESCO SENIOR LOAN FUND CLASS IC	0.00	15.72	0.00	15.72	0.0	15.72
04/15/2016	BRINSER, LISA	IVY ASSET STRATEGY FUND CLASS C	0.00	0.06	0.00	0.06	0.0	0.06
04/15/2016	BRINSER, LISA	IVY ASSET STRATEGY FUND CLASS C	0.00	11.79	0.00	11.79	0.0	11.79
07/13/2016	BRINSER, LISA	IVY ASSET STRATEGY FUND CLASS C	0.00	0.06	0.00	0.06	0.0	0.06
07/13/2016	BRINSER, LISA	IVY ASSET STRATEGY FUND CLASS C	0.00	11.73	0.00	11.73	0.0	11.73
10/14/2016	BRINSER, LISA	IVY ASSET STRATEGY FUND CLASS C	0.00	0.06	0.00	0.06	0.0	0.06
10/14/2016	BRINSER, LISA	IVY ASSET STRATEGY FUND CLASS C	0.00	12.01	0.00	12.01	0.0	12.01
02/25/2016	STOCKER TRUST, MARTHA	MAINSTAY HIGH YIELD CORP BOND A	0.00	0.06	0.00	0.06	0.0	0.06
03/08/2016	STOCKER TRUST, MARTHA	MAINSTAY HIGH YIELD CORP BOND A	0.00	0.06	0.00	0.06	0.0	0.06
04/22/2016	STOCKER TRUST, MARTHA	MAINSTAY HIGH YIELD CORP BOND A	0.00	0.06	0.00	0.06	0.0	0.06
05/17/2016	STOCKER TRUST, MARTHA	MAINSTAY HIGH YIELD CORP BOND A	0.00	0.06	0.00	0.06	0.0	0.06
06/15/2016	STOCKER TRUST, MARTHA	MAINSTAY HIGH YIELD CORP BOND A	0.00	0.06	0.00	0.06	0.0	0.06
07/14/2016	STOCKER TRUST, MARTHA	MAINSTAY HIGH YIELD CORP BOND A	0.00	0.06	0.00	0.06	0.0	0.06
08/18/2016	STOCKER TRUST, MARTHA	MAINSTAY HIGH YIELD CORP BOND A	0.00	0.06	0.00	0.06	0.0	0.06
09/15/2016	STOCKER TRUST, MARTHA	MAINSTAY HIGH YIELD CORP BOND A	0.00	0.07	0.00	0.07	0.0	0.07

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u> OVERRIDE TRANSACTIONS </u>								
<u>BROKER: THOMAS JAHNCKE #193</u>								
10/21/2016	STOCKER TRUST, MARTHA	MAINSTAY HIGH YIELD CORP BOND A	0.00	0.06	0.00	0.06	0.0	0.06
11/09/2016	STOCKER TRUST, MARTHA	MAINSTAY HIGH YIELD CORP BOND A	0.00	0.07	0.00	0.07	0.0	0.07
12/16/2016	STOCKER TRUST, MARTHA	MAINSTAY HIGH YIELD CORP BOND A	0.00	0.06	0.00	0.06	0.0	0.06
02/22/2016	JAHNCKE, JUDY	PUTNAM INVESTORS A	0.00	0.41	0.00	0.41	0.0	0.41
03/22/2016	JAHNCKE, JUDY	PUTNAM INVESTORS A	0.00	0.38	0.00	0.38	0.0	0.38
04/21/2016	JAHNCKE, JUDY	PUTNAM INVESTORS A	0.00	0.43	0.00	0.43	0.0	0.43
05/26/2016	JAHNCKE, JUDY	PUTNAM INVESTORS A	0.00	0.43	0.00	0.43	0.0	0.43
06/23/2016	JAHNCKE, JUDY	PUTNAM INVESTORS A	0.00	0.44	0.00	0.44	0.0	0.44
07/26/2016	JAHNCKE, JUDY	PUTNAM INVESTORS A	0.00	0.43	0.00	0.43	0.0	0.43
08/19/2016	JAHNCKE, JUDY	PUTNAM INVESTORS A	0.00	0.45	0.00	0.45	0.0	0.45
09/20/2016	JAHNCKE, JUDY	PUTNAM INVESTORS A	0.00	0.46	0.00	0.46	0.0	0.46
10/25/2016	JAHNCKE, JUDY	PUTNAM INVESTORS A	0.00	0.45	0.00	0.45	0.0	0.45
11/23/2016	JAHNCKE, JUDY	PUTNAM INVESTORS A	0.00	0.46	0.00	0.46	0.0	0.46
12/23/2016	JAHNCKE, JUDY	PUTNAM INVESTORS A	0.00	0.46	0.00	0.46	0.0	0.46
07/18/2016	JAHNCKE, JUDY	RESOURCE REAL ESTATE DIVERSIFIED IN	0.00	0.14	0.00	0.14	0.0	0.14
07/18/2016	JAHNCKE, JUDY	RESOURCE REAL ESTATE DIVERSIFIED IN	0.00	0.05	0.00	0.05	0.0	0.05
10/17/2016	JAHNCKE, JUDY	RESOURCE REAL ESTATE DIVERSIFIED IN	0.00	1.90	0.00	1.90	0.0	1.90
10/17/2016	JAHNCKE, JUDY	RESOURCE REAL ESTATE DIVERSIFIED IN	0.00	0.63	0.00	0.63	0.0	0.63
02/11/2016	RUMBLE TRUST, JUDITH	SIERRA CORE RETIREMENT FUND CLASS C	0.00	7.95	0.00	7.95	0.0	7.95
03/11/2016	RUMBLE TRUST, JUDITH	SIERRA CORE RETIREMENT FUND CLASS C	0.00	8.46	0.00	8.46	0.0	8.46
04/15/2016	RUMBLE TRUST, JUDITH	SIERRA CORE RETIREMENT FUND CLASS C	0.00	1.09	0.00	1.09	0.0	1.09
04/28/2016	RUMBLE TRUST, JUDITH	SIERRA CORE RETIREMENT FUND CLASS C	0.00	7.69	0.00	7.69	0.0	7.69
05/27/2016	RUMBLE TRUST, JUDITH	SIERRA CORE RETIREMENT FUND CLASS C	0.00	8.33	0.00	8.33	0.0	8.33
06/23/2016	RUMBLE TRUST, JUDITH	SIERRA CORE RETIREMENT FUND CLASS C	0.00	8.65	0.00	8.65	0.0	8.65
07/27/2016	RUMBLE TRUST, JUDITH	SIERRA CORE RETIREMENT FUND CLASS C	0.00	8.45	0.00	8.45	0.0	8.45
08/29/2016	RUMBLE TRUST, JUDITH	SIERRA CORE RETIREMENT FUND CLASS C	0.00	8.88	0.00	8.88	0.0	8.88
09/27/2016	RUMBLE TRUST, JUDITH	SIERRA CORE RETIREMENT FUND CLASS C	0.00	8.93	0.00	8.93	0.0	8.93
10/21/2016	RUMBLE TRUST, JUDITH	SIERRA CORE RETIREMENT FUND CLASS C	0.00	8.65	0.00	8.65	0.0	8.65
12/05/2016	RUMBLE TRUST, JUDITH	SIERRA CORE RETIREMENT FUND CLASS C	0.00	8.90	0.00	8.90	0.0	8.90
12/29/2016	RUMBLE TRUST, JUDITH	SIERRA CORE RETIREMENT FUND CLASS C	0.00	8.45	0.00	8.45	0.0	8.45
05/13/2016	BRINSER, LISA	TEMPLETON FOREIGN FUND C	0.00	1.01	0.00	1.01	0.0	1.01
06/14/2016	BRINSER, LISA	TEMPLETON FOREIGN FUND C	0.00	2.71	0.00	2.71	0.0	2.71
07/14/2016	BRINSER, LISA	TEMPLETON FOREIGN FUND C	0.00	2.63	0.00	2.63	0.0	2.63

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<u> OVERRIDE TRANSACTIONS </u>								
<u>BROKER: THOMAS JAHNCKE #193</u>								
08/15/2016	BRINSER, LISA	TEMPLETON FOREIGN FUND C	0.00	2.76	0.00	2.76	0.0	2.76
09/14/2016	BRINSER, LISA	TEMPLETON FOREIGN FUND C	0.00	2.90	0.00	2.90	0.0	2.90
10/18/2016	BRINSER, LISA	TEMPLETON FOREIGN FUND C	0.00	2.81	0.00	2.81	0.0	2.81
11/15/2016	BRINSER, LISA	TEMPLETON FOREIGN FUND C	0.00	2.92	0.00	2.92	0.0	2.92
12/16/2016	BRINSER, LISA	TEMPLETON FOREIGN FUND C	0.00	2.78	0.00	2.78	0.0	2.78
02/17/2016	STOCKER TRUST, MARTHA	THORNBURG INT'L VALUE A	0.00	8.75	0.00	8.75	0.0	8.75
03/11/2016	STOCKER TRUST, MARTHA	THORNBURG INT'L VALUE A	0.00	7.90	0.00	7.90	0.0	7.90
04/19/2016	STOCKER TRUST, MARTHA	THORNBURG INT'L VALUE A	0.00	8.88	0.00	8.88	0.0	8.88
05/18/2016	STOCKER TRUST, MARTHA	THORNBURG INT'L VALUE A	0.00	8.81	0.00	8.81	0.0	8.81
06/15/2016	STOCKER TRUST, MARTHA	THORNBURG INT'L VALUE A	0.00	9.01	0.00	9.01	0.0	9.01
07/15/2016	STOCKER TRUST, MARTHA	THORNBURG INT'L VALUE A	0.00	8.56	0.00	8.56	0.0	8.56
08/10/2016	STOCKER TRUST, MARTHA	THORNBURG INT'L VALUE A	0.00	8.87	0.00	8.87	0.0	8.87
09/16/2016	STOCKER TRUST, MARTHA	THORNBURG INT'L VALUE A	0.00	9.16	0.00	9.16	0.0	9.16
10/13/2016	STOCKER TRUST, MARTHA	THORNBURG INT'L VALUE A	0.00	8.97	0.00	8.97	0.0	8.97
11/15/2016	STOCKER TRUST, MARTHA	THORNBURG INT'L VALUE A	0.00	9.22	0.00	9.22	0.0	9.22
12/13/2016	STOCKER TRUST, MARTHA	THORNBURG INT'L VALUE A	0.00	8.67	0.00	8.67	0.0	8.67
02/17/2016	BRINSER, LISA	THORNBURG INVESTMENT INCOME BUILDER	0.00	1.80	0.00	1.80	0.0	1.80
02/17/2016	BRINSER, LISA	THORNBURG INVESTMENT INCOME BUILDER	0.00	3.90	0.00	3.90	0.0	3.90
02/17/2016	JAHNCKE, JUDY	THORNBURG INVESTMENT INCOME BUILDER	0.00	1.14	0.00	1.14	0.0	1.14
03/11/2016	BRINSER, LISA	THORNBURG INVESTMENT INCOME BUILDER	0.00	1.66	0.00	1.66	0.0	1.66
03/11/2016	BRINSER, LISA	THORNBURG INVESTMENT INCOME BUILDER	0.00	3.59	0.00	3.59	0.0	3.59
03/11/2016	JAHNCKE, JUDY	THORNBURG INVESTMENT INCOME BUILDER	0.00	1.05	0.00	1.05	0.0	1.05
04/19/2016	BRINSER, LISA	THORNBURG INVESTMENT INCOME BUILDER	0.00	1.87	0.00	1.87	0.0	1.87
04/19/2016	BRINSER, LISA	THORNBURG INVESTMENT INCOME BUILDER	0.00	4.06	0.00	4.06	0.0	4.06
04/19/2016	JAHNCKE, JUDY	THORNBURG INVESTMENT INCOME BUILDER	0.00	1.19	0.00	1.19	0.0	1.19
05/18/2016	BRINSER, LISA	THORNBURG INVESTMENT INCOME BUILDER	0.00	1.86	0.00	1.86	0.0	1.86
05/18/2016	BRINSER, LISA	THORNBURG INVESTMENT INCOME BUILDER	0.00	4.04	0.00	4.04	0.0	4.04
05/18/2016	JAHNCKE, JUDY	THORNBURG INVESTMENT INCOME BUILDER	0.00	1.18	0.00	1.18	0.0	1.18
06/15/2016	BRINSER, LISA	THORNBURG INVESTMENT INCOME BUILDER	0.00	1.92	0.00	1.92	0.0	1.92
06/15/2016	BRINSER, LISA	THORNBURG INVESTMENT INCOME BUILDER	0.00	4.16	0.00	4.16	0.0	4.16
06/15/2016	JAHNCKE, JUDY	THORNBURG INVESTMENT INCOME BUILDER	0.00	1.21	0.00	1.21	0.0	1.21
07/15/2016	BRINSER, LISA	THORNBURG INVESTMENT INCOME BUILDER	0.00	1.86	0.00	1.86	0.0	1.86
07/15/2016	BRINSER, LISA	THORNBURG INVESTMENT INCOME BUILDER	0.00	4.03	0.00	4.03	0.0	4.03

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<u> OVERRIDE TRANSACTIONS </u>								
<u>BROKER: THOMAS JAHNCKE #193</u>								
07/15/2016	JAHNCKE, JUDY	THORNBURG INVESTMENT INCOME BUILDER	0.00	1.18	0.00	1.18	0.0	1.18
08/10/2016	BRINSER, LISA	THORNBURG INVESTMENT INCOME BUILDER	0.00	1.98	0.00	1.98	0.0	1.98
08/10/2016	BRINSER, LISA	THORNBURG INVESTMENT INCOME BUILDER	0.00	4.28	0.00	4.28	0.0	4.28
08/10/2016	JAHNCKE, JUDY	THORNBURG INVESTMENT INCOME BUILDER	0.00	1.25	0.00	1.25	0.0	1.25
09/16/2016	BRINSER, LISA	THORNBURG INVESTMENT INCOME BUILDER	0.00	2.01	0.00	2.01	0.0	2.01
09/16/2016	BRINSER, LISA	THORNBURG INVESTMENT INCOME BUILDER	0.00	4.36	0.00	4.36	0.0	4.36
09/16/2016	JAHNCKE, JUDY	THORNBURG INVESTMENT INCOME BUILDER	0.00	1.27	0.00	1.27	0.0	1.27
10/13/2016	BRINSER, LISA	THORNBURG INVESTMENT INCOME BUILDER	0.00	1.94	0.00	1.94	0.0	1.94
10/13/2016	BRINSER, LISA	THORNBURG INVESTMENT INCOME BUILDER	0.00	4.20	0.00	4.20	0.0	4.20
10/13/2016	JAHNCKE, JUDY	THORNBURG INVESTMENT INCOME BUILDER	0.00	1.23	0.00	1.23	0.0	1.23
11/15/2016	BRINSER, LISA	THORNBURG INVESTMENT INCOME BUILDER	0.00	1.99	0.00	1.99	0.0	1.99
11/15/2016	BRINSER, LISA	THORNBURG INVESTMENT INCOME BUILDER	0.00	4.32	0.00	4.32	0.0	4.32
11/15/2016	JAHNCKE, JUDY	THORNBURG INVESTMENT INCOME BUILDER	0.00	1.26	0.00	1.26	0.0	1.26
12/14/2016	BRINSER, LISA	THORNBURG INVESTMENT INCOME BUILDER	0.00	1.91	0.00	1.91	0.0	1.91
12/14/2016	BRINSER, LISA	THORNBURG INVESTMENT INCOME BUILDER	0.00	4.13	0.00	4.13	0.0	4.13
12/14/2016	JAHNCKE, JUDY	THORNBURG INVESTMENT INCOME BUILDER	0.00	1.21	0.00	1.21	0.0	1.21
02/17/2016	JAHNCKE, JUDY	THORNBURG INVT TR INTL VALUE FD CL	0.00	0.42	0.00	0.42	0.0	0.42
03/11/2016	JAHNCKE, JUDY	THORNBURG INVT TR INTL VALUE FD CL	0.00	0.38	0.00	0.38	0.0	0.38
04/19/2016	JAHNCKE, JUDY	THORNBURG INVT TR INTL VALUE FD CL	0.00	0.43	0.00	0.43	0.0	0.43
05/18/2016	JAHNCKE, JUDY	THORNBURG INVT TR INTL VALUE FD CL	0.00	0.42	0.00	0.42	0.0	0.42
06/15/2016	JAHNCKE, JUDY	THORNBURG INVT TR INTL VALUE FD CL	0.00	0.43	0.00	0.43	0.0	0.43
07/15/2016	JAHNCKE, JUDY	THORNBURG INVT TR INTL VALUE FD CL	0.00	0.41	0.00	0.41	0.0	0.41
08/10/2016	JAHNCKE, JUDY	THORNBURG INVT TR INTL VALUE FD CL	0.00	0.42	0.00	0.42	0.0	0.42
09/16/2016	JAHNCKE, JUDY	THORNBURG INVT TR INTL VALUE FD CL	0.00	0.44	0.00	0.44	0.0	0.44
10/13/2016	JAHNCKE, JUDY	THORNBURG INVT TR INTL VALUE FD CL	0.00	0.43	0.00	0.43	0.0	0.43
11/15/2016	JAHNCKE, JUDY	THORNBURG INVT TR INTL VALUE FD CL	0.00	0.44	0.00	0.44	0.0	0.44
12/13/2016	JAHNCKE, JUDY	THORNBURG INVT TR INTL VALUE FD CL	0.00	0.41	0.00	0.41	0.0	0.41
02/17/2016	JAHNCKE, JUDY	THORNBURG VALUE CL A	0.00	1.58	0.00	1.58	0.0	1.58
03/11/2016	JAHNCKE, JUDY	THORNBURG VALUE CL A	0.00	1.42	0.00	1.42	0.0	1.42
04/19/2016	JAHNCKE, JUDY	THORNBURG VALUE CL A	0.00	1.61	0.00	1.61	0.0	1.61
05/18/2016	JAHNCKE, JUDY	THORNBURG VALUE CL A	0.00	1.60	0.00	1.60	0.0	1.60
06/15/2016	JAHNCKE, JUDY	THORNBURG VALUE CL A	0.00	1.64	0.00	1.64	0.0	1.64
07/15/2016	JAHNCKE, JUDY	THORNBURG VALUE CL A	0.00	1.61	0.00	1.61	0.0	1.61

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

** - Indicates adjustment is not included in Totals or Commissions

^Date - Split Trade - full Investment Amount & Gross Commission displayed

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u> OVERRIDE TRANSACTIONS </u>								
<u>BROKER: THOMAS JAHNCKE #193</u>								
08/10/2016	JAHNCKE, JUDY	THORNBURG VALUE CL A	0.00	1.71	0.00	1.71	0.0	1.71
09/16/2016	JAHNCKE, JUDY	THORNBURG VALUE CL A	0.00	1.74	0.00	1.74	0.0	1.74
10/13/2016	JAHNCKE, JUDY	THORNBURG VALUE CL A	0.00	1.69	0.00	1.69	0.0	1.69
11/15/2016	JAHNCKE, JUDY	THORNBURG VALUE CL A	0.00	1.74	0.00	1.74	0.0	1.74
12/13/2016	JAHNCKE, JUDY	THORNBURG VALUE CL A	0.00	1.70	0.00	1.70	0.0	1.70
02/17/2016	BRINSER, LISA	THORNBURG VALUE CLASS C	0.00	1.90	0.00	1.90	0.0	1.90
02/17/2016	BRINSER, LISA	THORNBURG VALUE CLASS C	0.00	5.91	0.00	5.91	0.0	5.91
02/17/2016	JAHNCKE TRUST, JUDY	THORNBURG VALUE CLASS C	0.00	1.59	0.00	1.59	0.0	1.59
02/17/2016	JAHNCKE, JUDY	THORNBURG VALUE CLASS C	0.00	22.19	0.00	22.19	0.0	22.19
02/17/2016	RUMBLE TRUST, JUDITH	THORNBURG VALUE CLASS C	0.00	26.15	0.00	26.15	0.0	26.15
03/11/2016	BRINSER, LISA	THORNBURG VALUE CLASS C	0.00	1.70	0.00	1.70	0.0	1.70
03/11/2016	BRINSER, LISA	THORNBURG VALUE CLASS C	0.00	5.31	0.00	5.31	0.0	5.31
03/11/2016	JAHNCKE TRUST, JUDY	THORNBURG VALUE CLASS C	0.00	1.42	0.00	1.42	0.0	1.42
03/11/2016	JAHNCKE, JUDY	THORNBURG VALUE CLASS C	0.00	19.94	0.00	19.94	0.0	19.94
03/11/2016	RUMBLE TRUST, JUDITH	THORNBURG VALUE CLASS C	0.00	23.49	0.00	23.49	0.0	23.49
04/19/2016	BRINSER, LISA	THORNBURG VALUE CLASS C	0.00	1.93	0.00	1.93	0.0	1.93
04/19/2016	BRINSER, LISA	THORNBURG VALUE CLASS C	0.00	6.02	0.00	6.02	0.0	6.02
04/19/2016	JAHNCKE TRUST, JUDY	THORNBURG VALUE CLASS C	0.00	1.61	0.00	1.61	0.0	1.61
04/19/2016	JAHNCKE, JUDY	THORNBURG VALUE CLASS C	0.00	22.59	0.00	22.59	0.0	22.59
04/19/2016	RUMBLE TRUST, JUDITH	THORNBURG VALUE CLASS C	0.00	26.62	0.00	26.62	0.0	26.62
05/18/2016	BRINSER, LISA	THORNBURG VALUE CLASS C	0.00	1.92	0.00	1.92	0.0	1.92
05/18/2016	BRINSER, LISA	THORNBURG VALUE CLASS C	0.00	5.98	0.00	5.98	0.0	5.98
05/18/2016	JAHNCKE TRUST, JUDY	THORNBURG VALUE CLASS C	0.00	1.61	0.00	1.61	0.0	1.61
05/18/2016	JAHNCKE, JUDY	THORNBURG VALUE CLASS C	0.00	22.47	0.00	22.47	0.0	22.47
05/18/2016	RUMBLE TRUST, JUDITH	THORNBURG VALUE CLASS C	0.00	26.47	0.00	26.47	0.0	26.47
06/15/2016	BRINSER, LISA	THORNBURG VALUE CLASS C	0.00	1.97	0.00	1.97	0.0	1.97
06/15/2016	BRINSER, LISA	THORNBURG VALUE CLASS C	0.00	6.15	0.00	6.15	0.0	6.15
06/15/2016	JAHNCKE TRUST, JUDY	THORNBURG VALUE CLASS C	0.00	1.65	0.00	1.65	0.0	1.65
06/15/2016	JAHNCKE, JUDY	THORNBURG VALUE CLASS C	0.00	23.08	0.00	23.08	0.0	23.08
06/15/2016	RUMBLE TRUST, JUDITH	THORNBURG VALUE CLASS C	0.00	27.20	0.00	27.20	0.0	27.20
07/15/2016	BRINSER, LISA	THORNBURG VALUE CLASS C	0.00	1.93	0.00	1.93	0.0	1.93
07/15/2016	BRINSER, LISA	THORNBURG VALUE CLASS C	0.00	6.01	0.00	6.01	0.0	6.01
07/15/2016	JAHNCKE TRUST, JUDY	THORNBURG VALUE CLASS C	0.00	1.61	0.00	1.61	0.0	1.61

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<u> OVERRIDE TRANSACTIONS </u>								
<u>BROKER: THOMAS JAHNCKE #193</u>								
07/15/2016	JAHNCKE, JUDY	THORNBURG VALUE CLASS C	0.00	22.56	0.00	22.56	0.0	22.56
07/15/2016	RUMBLE TRUST, JUDITH	THORNBURG VALUE CLASS C	0.00	26.59	0.00	26.59	0.0	26.59
08/10/2016	BRINSER, LISA	THORNBURG VALUE CLASS C	0.00	2.05	0.00	2.05	0.0	2.05
08/10/2016	BRINSER, LISA	THORNBURG VALUE CLASS C	0.00	6.39	0.00	6.39	0.0	6.39
08/10/2016	JAHNCKE TRUST, JUDY	THORNBURG VALUE CLASS C	0.00	1.71	0.00	1.71	0.0	1.71
08/10/2016	JAHNCKE, JUDY	THORNBURG VALUE CLASS C	0.00	23.99	0.00	23.99	0.0	23.99
08/10/2016	RUMBLE TRUST, JUDITH	THORNBURG VALUE CLASS C	0.00	28.27	0.00	28.27	0.0	28.27
09/16/2016	BRINSER, LISA	THORNBURG VALUE CLASS C	0.00	2.08	0.00	2.08	0.0	2.08
09/16/2016	BRINSER, LISA	THORNBURG VALUE CLASS C	0.00	6.48	0.00	6.48	0.0	6.48
09/16/2016	JAHNCKE TRUST, JUDY	THORNBURG VALUE CLASS C	0.00	1.74	0.00	1.74	0.0	1.74
09/16/2016	JAHNCKE, JUDY	THORNBURG VALUE CLASS C	0.00	24.32	0.00	24.32	0.0	24.32
09/16/2016	RUMBLE TRUST, JUDITH	THORNBURG VALUE CLASS C	0.00	28.66	0.00	28.66	0.0	28.66
10/13/2016	BRINSER, LISA	THORNBURG VALUE CLASS C	0.00	2.02	0.00	2.02	0.0	2.02
10/13/2016	BRINSER, LISA	THORNBURG VALUE CLASS C	0.00	6.28	0.00	6.28	0.0	6.28
10/13/2016	JAHNCKE TRUST, JUDY	THORNBURG VALUE CLASS C	0.00	1.69	0.00	1.69	0.0	1.69
10/13/2016	JAHNCKE, JUDY	THORNBURG VALUE CLASS C	0.00	23.59	0.00	23.59	0.0	23.59
10/13/2016	RUMBLE TRUST, JUDITH	THORNBURG VALUE CLASS C	0.00	27.80	0.00	27.80	0.0	27.80
11/15/2016	BRINSER, LISA	THORNBURG VALUE CLASS C	0.00	2.08	0.00	2.08	0.0	2.08
11/15/2016	BRINSER, LISA	THORNBURG VALUE CLASS C	0.00	6.47	0.00	6.47	0.0	6.47
11/15/2016	JAHNCKE TRUST, JUDY	THORNBURG VALUE CLASS C	0.00	1.74	0.00	1.74	0.0	1.74
11/15/2016	JAHNCKE, JUDY	THORNBURG VALUE CLASS C	0.00	24.30	0.00	24.30	0.0	24.30
11/15/2016	RUMBLE TRUST, JUDITH	THORNBURG VALUE CLASS C	0.00	28.63	0.00	28.63	0.0	28.63
12/13/2016	BRINSER, LISA	THORNBURG VALUE CLASS C	0.00	2.03	0.00	2.03	0.0	2.03
12/13/2016	BRINSER, LISA	THORNBURG VALUE CLASS C	0.00	6.33	0.00	6.33	0.0	6.33
12/13/2016	JAHNCKE TRUST, JUDY	THORNBURG VALUE CLASS C	0.00	1.70	0.00	1.70	0.0	1.70
12/13/2016	JAHNCKE, JUDY	THORNBURG VALUE CLASS C	0.00	23.78	0.00	23.78	0.0	23.78
12/13/2016	RUMBLE TRUST, JUDITH	THORNBURG VALUE CLASS C	0.00	28.02	0.00	28.02	0.0	28.02
06/29/2016	KORCEK, ANDREW	VICTORY CAPITAL MANAGEMENT	0.00	0.15	0.00	0.15	0.0	0.15
08/01/2016	KORCEK, ANDREW	VICTORY CAPITAL MANAGEMENT	0.00	0.32	0.00	0.32	0.0	0.32
08/30/2016	KORCEK, ANDREW	VICTORY CAPITAL MANAGEMENT	0.00	0.34	0.00	0.34	0.0	0.34
09/30/2016	KORCEK, ANDREW	VICTORY CAPITAL MANAGEMENT	0.00	0.01	0.00	0.01	0.0	0.01
06/13/2016	KORCEK, ANDREW	VIRTUS GROWTH & INCOME FUND CLASS C	0.00	1.26	0.00	1.26	0.0	1.26
07/14/2016	KORCEK, ANDREW	VIRTUS GROWTH & INCOME FUND CLASS C	0.00	2.90	0.00	2.90	0.0	2.90

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<u> OVERRIDE TRANSACTIONS </u>								
<u> BROKER: THOMAS JAHNCKE #193 </u>								
08/19/2016	KORCEK, ANDREW	VIRTUS GROWTH & INCOME FUND CLASS C	0.00	3.09	0.00	3.09	0.0	3.09
09/16/2016	KORCEK, ANDREW	VIRTUS GROWTH & INCOME FUND CLASS C	0.00	0.24	0.00	0.24	0.0	0.24
06/14/2016	KORCEK, ANDREW	WELLS FARGO EMERGING MARKETS EQUITY	0.00	2.25	0.00	2.25	0.0	2.25
07/18/2016	KORCEK, ANDREW	WELLS FARGO EMERGING MARKETS EQUITY	0.00	5.34	0.00	5.34	0.0	5.34
08/15/2016	KORCEK, ANDREW	WELLS FARGO EMERGING MARKETS EQUITY	0.00	5.85	0.00	5.85	0.0	5.85
09/15/2016	KORCEK, ANDREW	WELLS FARGO EMERGING MARKETS EQUITY	0.00	0.19	0.00	0.19	0.0	0.19
 * THOMAS JAHNCKE SUBTOTAL *			\$0.00	\$2,651.61	\$0.00	\$2,651.61		\$2,651.61
<u> BROKER: RICHARD CODY #197 </u>								
02/22/2016	TRAMONTANO, PAUL	AMERICAN CENTURY DISCIPLINED GROWTH	0.00	0.16	0.00	0.16	0.0	0.16
03/16/2016	TRAMONTANO, PAUL	AMERICAN CENTURY DISCIPLINED GROWTH	0.00	0.15	0.00	0.15	0.0	0.15
04/21/2016	TRAMONTANO, PAUL	AMERICAN CENTURY DISCIPLINED GROWTH	0.00	0.17	0.00	0.17	0.0	0.17
05/24/2016	TRAMONTANO, PAUL	AMERICAN CENTURY DISCIPLINED GROWTH	0.00	0.16	0.00	0.16	0.0	0.16
06/10/2016	TRAMONTANO, PAUL	AMERICAN CENTURY DISCIPLINED GROWTH	0.00	0.17	0.00	0.17	0.0	0.17
07/14/2016	TRAMONTANO, PAUL	AMERICAN CENTURY DISCIPLINED GROWTH	0.00	0.16	0.00	0.16	0.0	0.16
08/19/2016	TRAMONTANO, PAUL	AMERICAN CENTURY DISCIPLINED GROWTH	0.00	0.17	0.00	0.17	0.0	0.17
09/19/2016	TRAMONTANO, PAUL	AMERICAN CENTURY DISCIPLINED GROWTH	0.00	0.18	0.00	0.18	0.0	0.18
10/20/2016	TRAMONTANO, PAUL	AMERICAN CENTURY DISCIPLINED GROWTH	0.00	0.17	0.00	0.17	0.0	0.17
11/18/2016	TRAMONTANO, PAUL	AMERICAN CENTURY DISCIPLINED GROWTH	0.00	0.18	0.00	0.18	0.0	0.18
12/19/2016	TRAMONTANO, PAUL	AMERICAN CENTURY DISCIPLINED GROWTH	0.00	0.17	0.00	0.17	0.0	0.17
04/27/2016	CAREY, CHRISTINE	BLACKROCK STRATEGIC INCOME OPPT POR	0.00	1.10	0.00	1.10	0.0	1.10
04/27/2016	CAREY, CHRISTINE	BLK GLOBAL ALLOCATION C	0.00	2.59	0.00	2.59	0.0	2.59
02/26/2016	FORTIN, MICHAEL	BLK HEALTH SCIENCES A	0.00	11.19	0.00	11.19	0.0	11.19
02/26/2016	FORTIN, DEBORAH	BLK HEALTH SCIENCES A	0.00	9.24	0.00	9.24	0.0	9.24
03/23/2016	FORTIN, MICHAEL	BLK HEALTH SCIENCES A	0.00	9.83	0.00	9.83	0.0	9.83
03/23/2016	FORTIN, DEBORAH	BLK HEALTH SCIENCES A	0.00	8.12	0.00	8.12	0.0	8.12
04/27/2016	FORTIN, MICHAEL	BLK HEALTH SCIENCES A	0.00	10.77	0.00	10.77	0.0	10.77
04/27/2016	FORTIN, DEBORAH	BLK HEALTH SCIENCES A	0.00	8.89	0.00	8.89	0.0	8.89
05/31/2016	FORTIN, MICHAEL	BLK HEALTH SCIENCES A	0.00	10.94	0.00	10.94	0.0	10.94
05/31/2016	FORTIN, DEBORAH	BLK HEALTH SCIENCES A	0.00	9.03	0.00	9.03	0.0	9.03
06/27/2016	FORTIN, MICHAEL	BLK HEALTH SCIENCES A	0.00	11.78	0.00	11.78	0.0	11.78
06/27/2016	FORTIN, DEBORAH	BLK HEALTH SCIENCES A	0.00	9.40	0.00	9.40	0.0	9.40
07/29/2016	FORTIN, MICHAEL	BLK HEALTH SCIENCES A	0.00	13.20	0.00	13.20	0.0	13.20
07/29/2016	FORTIN, DEBORAH	BLK HEALTH SCIENCES A	0.00	9.26	0.00	9.26	0.0	9.26

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<u>VERRIDE TRANSACTIONS</u>								
<u>BROKER: RICHARD CODY #197</u>								
08/30/2016	FORTIN, MICHAEL	BLK HEALTH SCIENCES A	0.00	14.12	0.00	14.12	0.0	14.12
08/30/2016	FORTIN, DEBORAH	BLK HEALTH SCIENCES A	0.00	9.91	0.00	9.91	0.0	9.91
09/29/2016	FORTIN, MICHAEL	BLK HEALTH SCIENCES A	0.00	14.30	0.00	14.30	0.0	14.30
09/29/2016	FORTIN, DEBORAH	BLK HEALTH SCIENCES A	0.00	10.04	0.00	10.04	0.0	10.04
04/15/2016	CAREY, CHRISTINE	COLUMBIA BALANCED FUND CLASS B	0.00	0.78	0.00	0.78	0.0	0.78
04/15/2016	CAREY, CHRISTINE	COLUMBIA THERMOSTAT FUND CLASS C	0.00	0.77	0.00	0.77	0.0	0.77
04/20/2016	CAREY, CHRISTINE	FEDERATED CAPITAL INCOME FUND CLASS	0.00	0.53	0.00	0.53	0.0	0.53
02/12/2016	BERNARDSVILLE FIRE	FIDELITY ADV STRATEGIC INCOME C	0.00	0.09	0.00	0.09	0.0	0.09
03/17/2016	BERNARDSVILLE FIRE	FIDELITY ADV STRATEGIC INCOME C	0.00	0.08	0.00	0.08	0.0	0.08
04/19/2016	BERNARDSVILLE FIRE	FIDELITY ADV STRATEGIC INCOME C	0.00	0.09	0.00	0.09	0.0	0.09
05/24/2016	BERNARDSVILLE FIRE	FIDELITY ADV STRATEGIC INCOME C	0.00	0.09	0.00	0.09	0.0	0.09
06/15/2016	BERNARDSVILLE FIRE	FIDELITY ADV STRATEGIC INCOME C	0.00	0.09	0.00	0.09	0.0	0.09
07/19/2016	BERNARDSVILLE FIRE	FIDELITY ADV STRATEGIC INCOME C	0.00	0.09	0.00	0.09	0.0	0.09
08/16/2016	BERNARDSVILLE FIRE	FIDELITY ADV STRATEGIC INCOME C	0.00	0.09	0.00	0.09	0.0	0.09
09/19/2016	BERNARDSVILLE FIRE	FIDELITY ADV STRATEGIC INCOME C	0.00	0.10	0.00	0.10	0.0	0.10
10/19/2016	BERNARDSVILLE FIRE	FIDELITY ADV STRATEGIC INCOME C	0.00	0.09	0.00	0.09	0.0	0.09
11/18/2016	BERNARDSVILLE FIRE	FIDELITY ADV STRATEGIC INCOME C	0.00	0.10	0.00	0.10	0.0	0.10
12/16/2016	BERNARDSVILLE FIRE	FIDELITY ADV STRATEGIC INCOME C	0.00	0.09	0.00	0.09	0.0	0.09
02/12/2016	FORTIN, MICHAEL	FIDLEITY ADV SMALL CAP GROWTH CL A	0.00	4.33	0.00	4.33	0.0	4.33
02/12/2016	FORTIN, DEBORAH	FIDLEITY ADV SMALL CAP GROWTH CL A	0.00	4.33	0.00	4.33	0.0	4.33
03/17/2016	FORTIN, MICHAEL	FIDLEITY ADV SMALL CAP GROWTH CL A	0.00	3.81	0.00	3.81	0.0	3.81
03/17/2016	FORTIN, DEBORAH	FIDLEITY ADV SMALL CAP GROWTH CL A	0.00	3.81	0.00	3.81	0.0	3.81
04/19/2016	FORTIN, MICHAEL	FIDLEITY ADV SMALL CAP GROWTH CL A	0.00	4.35	0.00	4.35	0.0	4.35
04/19/2016	FORTIN, DEBORAH	FIDLEITY ADV SMALL CAP GROWTH CL A	0.00	4.35	0.00	4.35	0.0	4.35
05/24/2016	FORTIN, MICHAEL	FIDLEITY ADV SMALL CAP GROWTH CL A	0.00	4.38	0.00	4.38	0.0	4.38
05/24/2016	FORTIN, DEBORAH	FIDLEITY ADV SMALL CAP GROWTH CL A	0.00	4.38	0.00	4.38	0.0	4.38
06/15/2016	FORTIN, MICHAEL	FIDLEITY ADV SMALL CAP GROWTH CL A	0.00	4.54	0.00	4.54	0.0	4.54
06/15/2016	FORTIN, DEBORAH	FIDLEITY ADV SMALL CAP GROWTH CL A	0.00	4.54	0.00	4.54	0.0	4.54
07/19/2016	FORTIN, MICHAEL	FIDLEITY ADV SMALL CAP GROWTH CL A	0.00	4.54	0.00	4.54	0.0	4.54
07/19/2016	FORTIN, DEBORAH	FIDLEITY ADV SMALL CAP GROWTH CL A	0.00	4.54	0.00	4.54	0.0	4.54
08/16/2016	FORTIN, MICHAEL	FIDLEITY ADV SMALL CAP GROWTH CL A	0.00	4.88	0.00	4.88	0.0	4.88
08/16/2016	FORTIN, DEBORAH	FIDLEITY ADV SMALL CAP GROWTH CL A	0.00	4.88	0.00	4.88	0.0	4.88
09/19/2016	FORTIN, MICHAEL	FIDLEITY ADV SMALL CAP GROWTH CL A	0.00	5.06	0.00	5.06	0.0	5.06

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>VERRIDE TRANSACTIONS</u>								
<u>BROKER: RICHARD CODY #197</u>								
09/19/2016	FORTIN, DEBORAH	FIDLEITY ADV SMALL CAP GROWTH CL A	0.00	5.06	0.00	5.06	0.0	5.06
04/15/2016	CAREY, CHRISTINE	FRANKLIN INCOME C	0.00	0.40	0.00	0.40	0.0	0.40
02/19/2016	FORTIN, MICHAEL	HARTFORD MIDCAP A	0.00	3.65	0.00	3.65	0.0	3.65
03/22/2016	FORTIN, MICHAEL	HARTFORD MIDCAP A	0.00	3.35	0.00	3.35	0.0	3.35
04/18/2016	FORTIN, MICHAEL	HARTFORD MIDCAP A	0.00	3.87	0.00	3.87	0.0	3.87
05/24/2016	FORTIN, MICHAEL	HARTFORD MIDCAP A	0.00	3.87	0.00	3.87	0.0	3.87
06/21/2016	FORTIN, MICHAEL	HARTFORD MIDCAP A	0.00	4.00	0.00	4.00	0.0	4.00
07/18/2016	FORTIN, MICHAEL	HARTFORD MIDCAP A	0.00	3.03	0.00	3.03	0.0	3.03
04/14/2016	CAREY, CHRISTINE	INVESCO BALANCED-RISK ALLOCATION-C	0.00	2.18	0.00	2.18	0.0	2.18
04/15/2016	FORTIN, DEBORAH	IVY SCIENCE AND TECHNOLOGY FUND A	0.00	5.70	0.00	5.70	0.0	5.70
07/13/2016	FORTIN, DEBORAH	IVY SCIENCE AND TECHNOLOGY FUND A	0.00	6.80	0.00	6.80	0.0	6.80
02/22/2016	FORTIN, MICHAEL	LORD ABBETT GROWTH LEADERS FUND CLA	0.00	8.38	0.00	8.38	0.0	8.38
02/22/2016	FORTIN, DEBORAH	LORD ABBETT GROWTH LEADERS FUND CLA	0.00	5.58	0.00	5.58	0.0	5.58
03/22/2016	FORTIN, MICHAEL	LORD ABBETT GROWTH LEADERS FUND CLA	0.00	9.76	0.00	9.76	0.0	9.76
03/22/2016	FORTIN, DEBORAH	LORD ABBETT GROWTH LEADERS FUND CLA	0.00	5.03	0.00	5.03	0.0	5.03
04/21/2016	FORTIN, MICHAEL	LORD ABBETT GROWTH LEADERS FUND CLA	0.00	11.99	0.00	11.99	0.0	11.99
04/21/2016	FORTIN, DEBORAH	LORD ABBETT GROWTH LEADERS FUND CLA	0.00	5.84	0.00	5.84	0.0	5.84
05/23/2016	FORTIN, MICHAEL	LORD ABBETT GROWTH LEADERS FUND CLA	0.00	13.61	0.00	13.61	0.0	13.61
05/23/2016	FORTIN, DEBORAH	LORD ABBETT GROWTH LEADERS FUND CLA	0.00	7.08	0.00	7.08	0.0	7.08
06/21/2016	FORTIN, MICHAEL	LORD ABBETT GROWTH LEADERS FUND CLA	0.00	13.96	0.00	13.96	0.0	13.96
06/21/2016	FORTIN, DEBORAH	LORD ABBETT GROWTH LEADERS FUND CLA	0.00	7.26	0.00	7.26	0.0	7.26
07/21/2016	FORTIN, MICHAEL	LORD ABBETT GROWTH LEADERS FUND CLA	0.00	13.62	0.00	13.62	0.0	13.62
07/21/2016	FORTIN, DEBORAH	LORD ABBETT GROWTH LEADERS FUND CLA	0.00	7.08	0.00	7.08	0.0	7.08
08/22/2016	FORTIN, MICHAEL	LORD ABBETT GROWTH LEADERS FUND CLA	0.00	14.50	0.00	14.50	0.0	14.50
08/22/2016	FORTIN, DEBORAH	LORD ABBETT GROWTH LEADERS FUND CLA	0.00	7.54	0.00	7.54	0.0	7.54
09/21/2016	FORTIN, MICHAEL	LORD ABBETT GROWTH LEADERS FUND CLA	0.00	14.80	0.00	14.80	0.0	14.80
09/21/2016	FORTIN, DEBORAH	LORD ABBETT GROWTH LEADERS FUND CLA	0.00	7.70	0.00	7.70	0.0	7.70
08/22/2016	BERNARDSVILLE FIRE	LORD ABBETT MULTI-ASSET INCOME FUND	0.00	0.05	0.00	0.05	0.0	0.05
09/21/2016	BERNARDSVILLE FIRE	LORD ABBETT MULTI-ASSET INCOME FUND	0.00	0.05	0.00	0.05	0.0	0.05
10/20/2016	BERNARDSVILLE FIRE	LORD ABBETT MULTI-ASSET INCOME FUND	0.00	0.04	0.00	0.04	0.0	0.04
11/21/2016	BERNARDSVILLE FIRE	LORD ABBETT MULTI-ASSET INCOME FUND	0.00	0.05	0.00	0.05	0.0	0.05
12/21/2016	BERNARDSVILLE FIRE	LORD ABBETT MULTI-ASSET INCOME FUND	0.00	0.04	0.00	0.04	0.0	0.04
08/22/2016	BERNARDSVILLE FIRE	LORD ABBETT SHORT DURATION INCOME F	0.00	0.03	0.00	0.03	0.0	0.03

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<u> OVERRIDE TRANSACTIONS </u>								
<u>BROKER: RICHARD CODY #197</u>								
09/21/2016	BERNARDSVILLE FIRE	LORD ABBETT SHORT DURATION INCOME F	0.00	0.03	0.00	0.03	0.0	0.03
10/20/2016	BERNARDSVILLE FIRE	LORD ABBETT SHORT DURATION INCOME F	0.00	0.03	0.00	0.03	0.0	0.03
11/21/2016	BERNARDSVILLE FIRE	LORD ABBETT SHORT DURATION INCOME F	0.00	0.03	0.00	0.03	0.0	0.03
12/21/2016	BERNARDSVILLE FIRE	LORD ABBETT SHORT DURATION INCOME F	0.00	0.03	0.00	0.03	0.0	0.03
04/27/2016	SYVERSEN, AMY	MARSICO FLEXIBLE CAPITAL FUND	0.00	0.49	0.00	0.49	0.0	0.49
08/02/2016	SYVERSEN, AMY	MARSICO FLEXIBLE CAPITAL FUND	0.00	0.52	0.00	0.52	0.0	0.52
10/13/2016	SYVERSEN, AMY	MARSICO FLEXIBLE CAPITAL FUND	0.00	0.54	0.00	0.54	0.0	0.54
02/08/2016	FORTIN, MICHAEL	MFS INTERNATIONAL VALUE FUND CLASS	0.00	9.30	0.00	9.30	0.0	9.30
02/08/2016	FORTIN, DEBORAH	MFS INTERNATIONAL VALUE FUND CLASS	0.00	5.57	0.00	5.57	0.0	5.57
03/14/2016	FORTIN, MICHAEL	MFS INTERNATIONAL VALUE FUND CLASS	0.00	8.74	0.00	8.74	0.0	8.74
03/14/2016	FORTIN, DEBORAH	MFS INTERNATIONAL VALUE FUND CLASS	0.00	5.23	0.00	5.23	0.0	5.23
04/15/2016	FORTIN, MICHAEL	MFS INTERNATIONAL VALUE FUND CLASS	0.00	9.84	0.00	9.84	0.0	9.84
04/15/2016	FORTIN, DEBORAH	MFS INTERNATIONAL VALUE FUND CLASS	0.00	5.89	0.00	5.89	0.0	5.89
05/17/2016	FORTIN, MICHAEL	MFS INTERNATIONAL VALUE FUND CLASS	0.00	9.77	0.00	9.77	0.0	9.77
05/17/2016	FORTIN, DEBORAH	MFS INTERNATIONAL VALUE FUND CLASS	0.00	5.85	0.00	5.85	0.0	5.85
06/16/2016	FORTIN, MICHAEL	MFS INTERNATIONAL VALUE FUND CLASS	0.00	10.08	0.00	10.08	0.0	10.08
06/16/2016	FORTIN, DEBORAH	MFS INTERNATIONAL VALUE FUND CLASS	0.00	6.03	0.00	6.03	0.0	6.03
07/20/2016	FORTIN, MICHAEL	MFS INTERNATIONAL VALUE FUND CLASS	0.00	6.55	0.00	6.55	0.0	6.55
07/20/2016	FORTIN, DEBORAH	MFS INTERNATIONAL VALUE FUND CLASS	0.00	3.92	0.00	3.92	0.0	3.92
04/13/2016	CAREY, CHRISTINE	PIONEER STRATEGIC INCOME C	0.00	0.01	0.00	0.01	0.0	0.01
04/19/2016	CAREY, CHRISTINE	THORNBURG INVESTMENT INCOME BUILDER	0.00	0.01	0.00	0.01	0.0	0.01
05/18/2016	CAREY, CHRISTINE	THORNBURG INVESTMENT INCOME BUILDER	0.00	0.06	0.00	0.06	0.0	0.06
06/15/2016	CAREY, CHRISTINE	THORNBURG INVESTMENT INCOME BUILDER	0.00	0.06	0.00	0.06	0.0	0.06
07/15/2016	CAREY, CHRISTINE	THORNBURG INVESTMENT INCOME BUILDER	0.00	0.06	0.00	0.06	0.0	0.06
08/10/2016	CAREY, CHRISTINE	THORNBURG INVESTMENT INCOME BUILDER	0.00	0.07	0.00	0.07	0.0	0.07
09/16/2016	CAREY, CHRISTINE	THORNBURG INVESTMENT INCOME BUILDER	0.00	0.07	0.00	0.07	0.0	0.07
10/13/2016	CAREY, CHRISTINE	THORNBURG INVESTMENT INCOME BUILDER	0.00	0.02	0.00	0.02	0.0	0.02
* RICHARD CODY SUBTOTAL *			\$0.00	\$530.05	\$0.00	\$530.05		\$530.05
<u>BROKER: MEREDITH MCCUTCHEN #221</u>								
02/08/2016	FOX, WILLIAM	ALLIANCEBERNSTEIN SMALL/MID CAP VAL	0.00	11.07	0.00	11.07	0.0	11.07
03/09/2016	FOX, WILLIAM	ALLIANCEBERNSTEIN SMALL/MID CAP VAL	0.00	10.27	0.00	10.27	0.0	10.27
04/18/2016	FOX, WILLIAM	ALLIANCEBERNSTEIN SMALL/MID CAP VAL	0.00	12.11	0.00	12.11	0.0	12.11
02/16/2016	TRAWICK, JERRY	AM FUNDS AMERICAN BALANCED A	0.00	18.02	0.00	18.02	0.0	18.02

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<u> OVERRIDE TRANSACTIONS </u>								
<u>BROKER: MEREDITH MCCUTCHEN #221</u>								
03/15/2016	TRAWICK, JERRY	AM FUNDS AMERICAN BALANCED A	0.00	16.80	0.00	16.80	0.0	16.80
04/20/2016	TRAWICK, JERRY	AM FUNDS AMERICAN BALANCED A	0.00	18.66	0.00	18.66	0.0	18.66
05/16/2016	TRAWICK, JERRY	AM FUNDS AMERICAN BALANCED A	0.00	18.42	0.00	18.42	0.0	18.42
06/15/2016	TRAWICK, JERRY	AM FUNDS AMERICAN BALANCED A	0.00	19.07	0.00	19.07	0.0	19.07
07/18/2016	TRAWICK, JERRY	AM FUNDS AMERICAN BALANCED A	0.00	18.55	0.00	18.55	0.0	18.55
08/15/2016	TRAWICK, JERRY	AM FUNDS AMERICAN BALANCED A	0.00	19.49	0.00	19.49	0.0	19.49
09/16/2016	TRAWICK, JERRY	AM FUNDS AMERICAN BALANCED A	0.00	19.61	0.00	19.61	0.0	19.61
10/17/2016	TRAWICK, JERRY	AM FUNDS AMERICAN BALANCED A	0.00	18.81	0.00	18.81	0.0	18.81
11/18/2016	TRAWICK, JERRY	AM FUNDS AMERICAN BALANCED A	0.00	5.65	0.00	5.65	0.0	5.65
02/16/2016	ALVERSON, PATRICIA	AM FUNDS AMERICAN MUTUAL A	0.00	3.86	0.00	3.86	0.0	3.86
02/16/2016	LAWRENCE, CURTIS	AM FUNDS AMERICAN MUTUAL A	0.00	0.52	0.00	0.52	0.0	0.52
02/16/2016	PEARSON, KEITH	AM FUNDS AMERICAN MUTUAL A	0.00	3.31	0.00	3.31	0.0	3.31
02/16/2016	POWNALL, GARY	AM FUNDS AMERICAN MUTUAL A	0.00	3.11	0.00	3.11	0.0	3.11
03/15/2016	ALVERSON, PATRICIA	AM FUNDS AMERICAN MUTUAL A	0.00	3.64	0.00	3.64	0.0	3.64
03/15/2016	LAWRENCE, CURTIS	AM FUNDS AMERICAN MUTUAL A	0.00	0.49	0.00	0.49	0.0	0.49
03/15/2016	PEARSON, KEITH	AM FUNDS AMERICAN MUTUAL A	0.00	3.12	0.00	3.12	0.0	3.12
03/15/2016	POWNALL, GARY	AM FUNDS AMERICAN MUTUAL A	0.00	2.93	0.00	2.93	0.0	2.93
03/15/2016	MCCUTCHEN, JERRY	AM FUNDS AMERICAN MUTUAL A	0.00	1.31	0.00	1.31	0.0	1.31
03/15/2016	MCCUTCHEN, DEBORAH	AM FUNDS AMERICAN MUTUAL A	0.00	1.35	0.00	1.35	0.0	1.35
04/20/2016	ALVERSON, PATRICIA	AM FUNDS AMERICAN MUTUAL A	0.00	2.90	0.00	2.90	0.0	2.90
04/20/2016	LAWRENCE, CURTIS	AM FUNDS AMERICAN MUTUAL A	0.00	0.55	0.00	0.55	0.0	0.55
04/20/2016	PEARSON, KEITH	AM FUNDS AMERICAN MUTUAL A	0.00	3.52	0.00	3.52	0.0	3.52
04/20/2016	POWNALL, GARY	AM FUNDS AMERICAN MUTUAL A	0.00	3.30	0.00	3.30	0.0	3.30
04/20/2016	MCCUTCHEN, JERRY	AM FUNDS AMERICAN MUTUAL A	0.00	3.91	0.00	3.91	0.0	3.91
04/20/2016	MCCUTCHEN, DEBORAH	AM FUNDS AMERICAN MUTUAL A	0.00	4.00	0.00	4.00	0.0	4.00
05/16/2016	LAWRENCE, CURTIS	AM FUNDS AMERICAN MUTUAL A	0.00	0.35	0.00	0.35	0.0	0.35
05/16/2016	PEARSON, KEITH	AM FUNDS AMERICAN MUTUAL A	0.00	2.08	0.00	2.08	0.0	2.08
05/16/2016	POWNALL, GARY	AM FUNDS AMERICAN MUTUAL A	0.00	3.27	0.00	3.27	0.0	3.27
05/16/2016	MCCUTCHEN, JERRY	AM FUNDS AMERICAN MUTUAL A	0.00	3.90	0.00	3.90	0.0	3.90
05/16/2016	MCCUTCHEN, DEBORAH	AM FUNDS AMERICAN MUTUAL A	0.00	3.98	0.00	3.98	0.0	3.98
06/15/2016	POWNALL, GARY	AM FUNDS AMERICAN MUTUAL A	0.00	3.40	0.00	3.40	0.0	3.40
06/15/2016	MCCUTCHEN, JERRY	AM FUNDS AMERICAN MUTUAL A	0.00	4.04	0.00	4.04	0.0	4.04
06/15/2016	MCCUTCHEN, DEBORAH	AM FUNDS AMERICAN MUTUAL A	0.00	4.13	0.00	4.13	0.0	4.13

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<u> OVERRIDE TRANSACTIONS </u>								
<u> BROKER: MEREDITH MCCUTCHEN #221 </u>								
07/18/2016	POWNALL, GARY	AM FUNDS AMERICAN MUTUAL A	0.00	2.23	0.00	2.23	0.0	2.23
07/18/2016	MCCUTCHEN, JERRY	AM FUNDS AMERICAN MUTUAL A	0.00	3.97	0.00	3.97	0.0	3.97
07/18/2016	MCCUTCHEN, DEBORAH	AM FUNDS AMERICAN MUTUAL A	0.00	4.06	0.00	4.06	0.0	4.06
08/15/2016	MCCUTCHEN, JERRY	AM FUNDS AMERICAN MUTUAL A	0.00	4.24	0.00	4.24	0.0	4.24
08/15/2016	MCCUTCHEN, DEBORAH	AM FUNDS AMERICAN MUTUAL A	0.00	4.34	0.00	4.34	0.0	4.34
09/16/2016	MCCUTCHEN, JERRY	AM FUNDS AMERICAN MUTUAL A	0.00	4.28	0.00	4.28	0.0	4.28
09/16/2016	MCCUTCHEN, DEBORAH	AM FUNDS AMERICAN MUTUAL A	0.00	4.38	0.00	4.38	0.0	4.38
10/17/2016	MCCUTCHEN, JERRY	AM FUNDS AMERICAN MUTUAL A	0.00	4.10	0.00	4.10	0.0	4.10
10/17/2016	MCCUTCHEN, DEBORAH	AM FUNDS AMERICAN MUTUAL A	0.00	4.19	0.00	4.19	0.0	4.19
11/18/2016	MCCUTCHEN, JERRY	AM FUNDS AMERICAN MUTUAL A	0.00	4.20	0.00	4.20	0.0	4.20
11/18/2016	MCCUTCHEN, DEBORAH	AM FUNDS AMERICAN MUTUAL A	0.00	4.29	0.00	4.29	0.0	4.29
12/15/2016	MCCUTCHEN, JERRY	AM FUNDS AMERICAN MUTUAL A	0.00	4.10	0.00	4.10	0.0	4.10
12/15/2016	MCCUTCHEN, DEBORAH	AM FUNDS AMERICAN MUTUAL A	0.00	4.19	0.00	4.19	0.0	4.19
02/16/2016	ALVERSON, PATRICIA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.14	0.00	2.14	0.0	2.14
02/16/2016	LAWRENCE, CURTIS	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.54	0.00	0.54	0.0	0.54
02/16/2016	PEARSON, KEITH	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.68	0.00	2.68	0.0	2.68
02/16/2016	EMANUELE, GURUKAUR	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.93	0.00	0.93	0.0	0.93
02/16/2016	POWNALL, GARY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.33	0.00	1.33	0.0	1.33
03/15/2016	ALVERSON, PATRICIA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.97	0.00	1.97	0.0	1.97
03/15/2016	LAWRENCE, CURTIS	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.49	0.00	0.49	0.0	0.49
03/15/2016	PEARSON, KEITH	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.46	0.00	2.46	0.0	2.46
03/15/2016	EMANUELE, GURUKAUR	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.85	0.00	0.85	0.0	0.85
03/15/2016	POWNALL, GARY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.22	0.00	1.22	0.0	1.22
03/15/2016	MCCUTCHEN, JERRY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.81	0.00	0.81	0.0	0.81
03/15/2016	MCCUTCHEN, DEBORAH	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.82	0.00	0.82	0.0	0.82
04/20/2016	ALVERSON, PATRICIA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.58	0.00	1.58	0.0	1.58
04/20/2016	LAWRENCE, CURTIS	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.56	0.00	0.56	0.0	0.56
04/20/2016	PEARSON, KEITH	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.79	0.00	2.79	0.0	2.79
04/20/2016	EMANUELE, GURUKAUR	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.97	0.00	0.97	0.0	0.97
04/20/2016	POWNALL, GARY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.39	0.00	1.39	0.0	1.39
04/20/2016	MCCUTCHEN, JERRY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.44	0.00	2.44	0.0	2.44
04/20/2016	MCCUTCHEN, DEBORAH	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.45	0.00	2.45	0.0	2.45
05/16/2016	LAWRENCE, CURTIS	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.35	0.00	0.35	0.0	0.35

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<u> OVERRIDE TRANSACTIONS </u>								
<u> BROKER: MEREDITH MCCUTCHEN #221 </u>								
05/16/2016	PEARSON, KEITH	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.65	0.00	1.65	0.0	1.65
05/16/2016	EMANUELE, GURUKAUR	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.96	0.00	0.96	0.0	0.96
05/16/2016	POWNALL, GARY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.38	0.00	1.38	0.0	1.38
05/16/2016	MCCUTCHEN, JERRY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.42	0.00	2.42	0.0	2.42
05/16/2016	MCCUTCHEN, DEBORAH	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.44	0.00	2.44	0.0	2.44
06/15/2016	EMANUELE, GURUKAUR	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.98	0.00	0.98	0.0	0.98
06/15/2016	POWNALL, GARY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.41	0.00	1.41	0.0	1.41
06/15/2016	MCCUTCHEN, JERRY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.49	0.00	2.49	0.0	2.49
06/15/2016	MCCUTCHEN, DEBORAH	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.50	0.00	2.50	0.0	2.50
07/18/2016	EMANUELE, GURUKAUR	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.95	0.00	0.95	0.0	0.95
07/18/2016	POWNALL, GARY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.92	0.00	0.92	0.0	0.92
07/18/2016	MCCUTCHEN, JERRY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.42	0.00	2.42	0.0	2.42
07/18/2016	MCCUTCHEN, DEBORAH	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.43	0.00	2.43	0.0	2.43
08/15/2016	EMANUELE, GURUKAUR	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.01	0.00	1.01	0.0	1.01
08/15/2016	MCCUTCHEN, JERRY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.57	0.00	2.57	0.0	2.57
08/15/2016	MCCUTCHEN, DEBORAH	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.58	0.00	2.58	0.0	2.58
09/16/2016	MCCUTCHEN, JERRY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.63	0.00	2.63	0.0	2.63
09/16/2016	MCCUTCHEN, DEBORAH	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.65	0.00	2.65	0.0	2.65
10/17/2016	MCCUTCHEN, JERRY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.55	0.00	2.55	0.0	2.55
10/17/2016	MCCUTCHEN, DEBORAH	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.56	0.00	2.56	0.0	2.56
11/18/2016	MCCUTCHEN, JERRY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.61	0.00	2.61	0.0	2.61
11/18/2016	MCCUTCHEN, DEBORAH	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.62	0.00	2.62	0.0	2.62
12/15/2016	MCCUTCHEN, JERRY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.49	0.00	2.49	0.0	2.49
12/15/2016	MCCUTCHEN, DEBORAH	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.50	0.00	2.50	0.0	2.50
02/16/2016	WEEKLEY, GROVER	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.02	0.00	0.02	0.0	0.02
03/15/2016	WEEKLEY, GROVER	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.01	0.00	0.01	0.0	0.01
04/20/2016	WEEKLEY, GROVER	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.02	0.00	0.02	0.0	0.02
05/16/2016	WEEKLEY, GROVER	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.02	0.00	0.02	0.0	0.02
06/15/2016	WEEKLEY, GROVER	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.02	0.00	0.02	0.0	0.02
07/18/2016	WEEKLEY, GROVER	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.02	0.00	0.02	0.0	0.02
08/15/2016	WEEKLEY, GROVER	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.02	0.00	0.02	0.0	0.02
09/16/2016	WEEKLEY, GROVER	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.02	0.00	0.02	0.0	0.02
10/17/2016	WEEKLEY, GROVER	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.02	0.00	0.02	0.0	0.02

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u> OVERRIDE TRANSACTIONS </u>								
<u>BROKER: MEREDITH MCCUTCHEN #221</u>								
11/18/2016	WEEKLEY, GROVER	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.02	0.00	0.02	0.0	0.02
12/15/2016	WEEKLEY, GROVER	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.02	0.00	0.02	0.0	0.02
02/16/2016	BANKS III, ROBERT	AM FUNDS GROWTH FUND OF AMERICA A	0.00	8.08	0.00	8.08	0.0	8.08
02/16/2016	ALVERSON, PATRICIA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	2.54	0.00	2.54	0.0	2.54
02/16/2016	LAWRENCE, CURTIS	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.53	0.00	0.53	0.0	0.53
02/16/2016	PEARSON, KEITH	AM FUNDS GROWTH FUND OF AMERICA A	0.00	3.18	0.00	3.18	0.0	3.18
02/16/2016	EMANUELE, GURUKAUR	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.17	0.00	1.17	0.0	1.17
02/16/2016	POWNALL, GARY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	3.11	0.00	3.11	0.0	3.11
03/15/2016	BANKS III, ROBERT	AM FUNDS GROWTH FUND OF AMERICA A	0.00	7.30	0.00	7.30	0.0	7.30
03/15/2016	ALVERSON, PATRICIA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	2.29	0.00	2.29	0.0	2.29
03/15/2016	LAWRENCE, CURTIS	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.47	0.00	0.47	0.0	0.47
03/15/2016	PEARSON, KEITH	AM FUNDS GROWTH FUND OF AMERICA A	0.00	2.88	0.00	2.88	0.0	2.88
03/15/2016	EMANUELE, GURUKAUR	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.06	0.00	1.06	0.0	1.06
03/15/2016	POWNALL, GARY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	2.81	0.00	2.81	0.0	2.81
03/15/2016	MCCUTCHEN, JERRY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.31	0.00	1.31	0.0	1.31
03/15/2016	MCCUTCHEN, DEBORAH	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.35	0.00	1.35	0.0	1.35
04/20/2016	BANKS III, ROBERT	AM FUNDS GROWTH FUND OF AMERICA A	0.00	8.31	0.00	8.31	0.0	8.31
04/20/2016	ALVERSON, PATRICIA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.85	0.00	1.85	0.0	1.85
04/20/2016	LAWRENCE, CURTIS	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.54	0.00	0.54	0.0	0.54
04/20/2016	PEARSON, KEITH	AM FUNDS GROWTH FUND OF AMERICA A	0.00	3.28	0.00	3.28	0.0	3.28
04/20/2016	EMANUELE, GURUKAUR	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.21	0.00	1.21	0.0	1.21
04/20/2016	POWNALL, GARY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	3.20	0.00	3.20	0.0	3.20
04/20/2016	MCCUTCHEN, JERRY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	3.94	0.00	3.94	0.0	3.94
04/20/2016	MCCUTCHEN, DEBORAH	AM FUNDS GROWTH FUND OF AMERICA A	0.00	4.04	0.00	4.04	0.0	4.04
05/16/2016	BANKS III, ROBERT	AM FUNDS GROWTH FUND OF AMERICA A	0.00	8.31	0.00	8.31	0.0	8.31
05/16/2016	LAWRENCE, CURTIS	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.34	0.00	0.34	0.0	0.34
05/16/2016	PEARSON, KEITH	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.95	0.00	1.95	0.0	1.95
05/16/2016	EMANUELE, GURUKAUR	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.21	0.00	1.21	0.0	1.21
05/16/2016	POWNALL, GARY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	3.20	0.00	3.20	0.0	3.20
05/16/2016	MCCUTCHEN, JERRY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	3.94	0.00	3.94	0.0	3.94
05/16/2016	MCCUTCHEN, DEBORAH	AM FUNDS GROWTH FUND OF AMERICA A	0.00	4.04	0.00	4.04	0.0	4.04
06/15/2016	BANKS III, ROBERT	AM FUNDS GROWTH FUND OF AMERICA A	0.00	8.60	0.00	8.60	0.0	8.60
06/15/2016	EMANUELE, GURUKAUR	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.25	0.00	1.25	0.0	1.25

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<u> OVERRIDE TRANSACTIONS </u>								
<u> BROKER: MEREDITH MCCUTCHEN #221 </u>								
06/15/2016	POWNALL, GARY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	3.31	0.00	3.31	0.0	3.31
06/15/2016	MCCUTCHEN, JERRY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	4.07	0.00	4.07	0.0	4.07
06/15/2016	MCCUTCHEN, DEBORAH	AM FUNDS GROWTH FUND OF AMERICA A	0.00	4.18	0.00	4.18	0.0	4.18
07/18/2016	BANKS III, ROBERT	AM FUNDS GROWTH FUND OF AMERICA A	0.00	2.29	0.00	2.29	0.0	2.29
07/18/2016	EMANUELE, GURUKAUR	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.22	0.00	1.22	0.0	1.22
07/18/2016	POWNALL, GARY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	2.18	0.00	2.18	0.0	2.18
07/18/2016	MCCUTCHEN, JERRY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	4.00	0.00	4.00	0.0	4.00
07/18/2016	MCCUTCHEN, DEBORAH	AM FUNDS GROWTH FUND OF AMERICA A	0.00	4.10	0.00	4.10	0.0	4.10
08/15/2016	EMANUELE, GURUKAUR	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.30	0.00	1.30	0.0	1.30
08/15/2016	MCCUTCHEN, JERRY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	4.24	0.00	4.24	0.0	4.24
08/15/2016	MCCUTCHEN, DEBORAH	AM FUNDS GROWTH FUND OF AMERICA A	0.00	4.34	0.00	4.34	0.0	4.34
09/16/2016	MCCUTCHEN, JERRY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	4.35	0.00	4.35	0.0	4.35
09/16/2016	MCCUTCHEN, DEBORAH	AM FUNDS GROWTH FUND OF AMERICA A	0.00	4.46	0.00	4.46	0.0	4.46
10/17/2016	MCCUTCHEN, JERRY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	4.20	0.00	4.20	0.0	4.20
10/17/2016	MCCUTCHEN, DEBORAH	AM FUNDS GROWTH FUND OF AMERICA A	0.00	4.30	0.00	4.30	0.0	4.30
11/18/2016	MCCUTCHEN, JERRY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	4.36	0.00	4.36	0.0	4.36
11/18/2016	MCCUTCHEN, DEBORAH	AM FUNDS GROWTH FUND OF AMERICA A	0.00	4.47	0.00	4.47	0.0	4.47
12/15/2016	MCCUTCHEN, JERRY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	4.23	0.00	4.23	0.0	4.23
12/15/2016	MCCUTCHEN, DEBORAH	AM FUNDS GROWTH FUND OF AMERICA A	0.00	4.33	0.00	4.33	0.0	4.33
02/16/2016	ALVERSON, PATRICIA	AM FUNDS NEW PERSPECTIVE A	0.00	2.27	0.00	2.27	0.0	2.27
02/16/2016	LAWRENCE, CURTIS	AM FUNDS NEW PERSPECTIVE A	0.00	0.55	0.00	0.55	0.0	0.55
02/16/2016	PEARSON, KEITH	AM FUNDS NEW PERSPECTIVE A	0.00	2.86	0.00	2.86	0.0	2.86
02/16/2016	POWNALL, GARY	AM FUNDS NEW PERSPECTIVE A	0.00	1.47	0.00	1.47	0.0	1.47
03/15/2016	ALVERSON, PATRICIA	AM FUNDS NEW PERSPECTIVE A	0.00	2.05	0.00	2.05	0.0	2.05
03/15/2016	LAWRENCE, CURTIS	AM FUNDS NEW PERSPECTIVE A	0.00	0.49	0.00	0.49	0.0	0.49
03/15/2016	PEARSON, KEITH	AM FUNDS NEW PERSPECTIVE A	0.00	2.59	0.00	2.59	0.0	2.59
03/15/2016	POWNALL, GARY	AM FUNDS NEW PERSPECTIVE A	0.00	1.32	0.00	1.32	0.0	1.32
03/15/2016	MCCUTCHEN, JERRY	AM FUNDS NEW PERSPECTIVE A	0.00	0.93	0.00	0.93	0.0	0.93
03/15/2016	MCCUTCHEN, DEBORAH	AM FUNDS NEW PERSPECTIVE A	0.00	0.94	0.00	0.94	0.0	0.94
04/20/2016	ALVERSON, PATRICIA	AM FUNDS NEW PERSPECTIVE A	0.00	1.65	0.00	1.65	0.0	1.65
04/20/2016	LAWRENCE, CURTIS	AM FUNDS NEW PERSPECTIVE A	0.00	0.56	0.00	0.56	0.0	0.56
04/20/2016	PEARSON, KEITH	AM FUNDS NEW PERSPECTIVE A	0.00	2.94	0.00	2.94	0.0	2.94
04/20/2016	POWNALL, GARY	AM FUNDS NEW PERSPECTIVE A	0.00	1.51	0.00	1.51	0.0	1.51

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<u> OVERRIDE TRANSACTIONS </u>								
<u>BROKER: MEREDITH MCCUTCHEN #221</u>								
04/20/2016	MCCUTCHEN, JERRY	AM FUNDS NEW PERSPECTIVE A	0.00	2.75	0.00	2.75	0.0	2.75
04/20/2016	MCCUTCHEN, DEBORAH	AM FUNDS NEW PERSPECTIVE A	0.00	2.76	0.00	2.76	0.0	2.76
05/16/2016	LAWRENCE, CURTIS	AM FUNDS NEW PERSPECTIVE A	0.00	0.35	0.00	0.35	0.0	0.35
05/16/2016	PEARSON, KEITH	AM FUNDS NEW PERSPECTIVE A	0.00	1.75	0.00	1.75	0.0	1.75
05/16/2016	POWNALL, GARY	AM FUNDS NEW PERSPECTIVE A	0.00	1.50	0.00	1.50	0.0	1.50
05/16/2016	MCCUTCHEN, JERRY	AM FUNDS NEW PERSPECTIVE A	0.00	2.73	0.00	2.73	0.0	2.73
05/16/2016	MCCUTCHEN, DEBORAH	AM FUNDS NEW PERSPECTIVE A	0.00	2.75	0.00	2.75	0.0	2.75
06/15/2016	POWNALL, GARY	AM FUNDS NEW PERSPECTIVE A	0.00	1.54	0.00	1.54	0.0	1.54
06/15/2016	MCCUTCHEN, JERRY	AM FUNDS NEW PERSPECTIVE A	0.00	2.80	0.00	2.80	0.0	2.80
06/15/2016	MCCUTCHEN, DEBORAH	AM FUNDS NEW PERSPECTIVE A	0.00	2.81	0.00	2.81	0.0	2.81
07/18/2016	POWNALL, GARY	AM FUNDS NEW PERSPECTIVE A	0.00	1.00	0.00	1.00	0.0	1.00
07/18/2016	MCCUTCHEN, JERRY	AM FUNDS NEW PERSPECTIVE A	0.00	2.72	0.00	2.72	0.0	2.72
07/18/2016	MCCUTCHEN, DEBORAH	AM FUNDS NEW PERSPECTIVE A	0.00	2.74	0.00	2.74	0.0	2.74
08/15/2016	MCCUTCHEN, JERRY	AM FUNDS NEW PERSPECTIVE A	0.00	2.89	0.00	2.89	0.0	2.89
08/15/2016	MCCUTCHEN, DEBORAH	AM FUNDS NEW PERSPECTIVE A	0.00	2.90	0.00	2.90	0.0	2.90
09/16/2016	MCCUTCHEN, JERRY	AM FUNDS NEW PERSPECTIVE A	0.00	2.96	0.00	2.96	0.0	2.96
09/16/2016	MCCUTCHEN, DEBORAH	AM FUNDS NEW PERSPECTIVE A	0.00	2.97	0.00	2.97	0.0	2.97
10/17/2016	MCCUTCHEN, JERRY	AM FUNDS NEW PERSPECTIVE A	0.00	2.86	0.00	2.86	0.0	2.86
10/17/2016	MCCUTCHEN, DEBORAH	AM FUNDS NEW PERSPECTIVE A	0.00	2.88	0.00	2.88	0.0	2.88
11/18/2016	MCCUTCHEN, JERRY	AM FUNDS NEW PERSPECTIVE A	0.00	2.94	0.00	2.94	0.0	2.94
11/18/2016	MCCUTCHEN, DEBORAH	AM FUNDS NEW PERSPECTIVE A	0.00	2.95	0.00	2.95	0.0	2.95
12/15/2016	MCCUTCHEN, JERRY	AM FUNDS NEW PERSPECTIVE A	0.00	2.79	0.00	2.79	0.0	2.79
12/15/2016	MCCUTCHEN, DEBORAH	AM FUNDS NEW PERSPECTIVE A	0.00	2.81	0.00	2.81	0.0	2.81
02/22/2016	OTTO, GLORIA	AMERICAN CENTURY SELECT FUND CLASS	0.00	0.15	0.00	0.15	0.0	0.15
03/16/2016	OTTO, GLORIA	AMERICAN CENTURY SELECT FUND CLASS	0.00	0.14	0.00	0.14	0.0	0.14
04/21/2016	OTTO, GLORIA	AMERICAN CENTURY SELECT FUND CLASS	0.00	0.14	0.00	0.14	0.0	0.14
02/22/2016	OTTO, GLORIA	AMERICAN CENTURY STRATEGIC ALLOC MO	0.00	0.12	0.00	0.12	0.0	0.12
03/16/2016	OTTO, GLORIA	AMERICAN CENTURY STRATEGIC ALLOC MO	0.00	0.11	0.00	0.11	0.0	0.11
04/21/2016	OTTO, GLORIA	AMERICAN CENTURY STRATEGIC ALLOC MO	0.00	0.11	0.00	0.11	0.0	0.11
02/08/2016	ALVERSON, PATRICIA	CALVERT SHORT DURATION INCOME FUND	0.00	2.23	0.00	2.23	0.0	2.23
02/08/2016	CARLSON, ARTHUR	CALVERT SHORT DURATION INCOME FUND	0.00	6.28	0.00	6.28	0.0	6.28
02/08/2016	CRAIG, MARILYN	CALVERT SHORT DURATION INCOME FUND	0.00	17.99	0.00	17.99	0.0	17.99
02/08/2016	PIERCE, RICHARD	CALVERT SHORT DURATION INCOME FUND	0.00	2.02	0.00	2.02	0.0	2.02

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<u> OVERRIDE TRANSACTIONS </u>								
<u>BROKER: MEREDITH MCCUTCHEEN #221</u>								
02/08/2016	LAWRENCE, ANNE	CALVERT SHORT DURATION INCOME FUND	0.00	21.22	0.00	21.22	0.0	21.22
02/08/2016	LAWRENCE, ANNE	CALVERT SHORT DURATION INCOME FUND	0.00	4.24	0.00	4.24	0.0	4.24
02/08/2016	POWELL, ANNE	CALVERT SHORT DURATION INCOME FUND	0.00	1.83	0.00	1.83	0.0	1.83
02/08/2016	POWELL, MICHAEL	CALVERT SHORT DURATION INCOME FUND	0.00	1.83	0.00	1.83	0.0	1.83
02/08/2016	POWELL, MICHAEL	CALVERT SHORT DURATION INCOME FUND	0.00	7.11	0.00	7.11	0.0	7.11
02/08/2016	GAILLARD, WILLIAM	CALVERT SHORT DURATION INCOME FUND	0.00	12.54	0.00	12.54	0.0	12.54
02/08/2016	ROSS, JACK	CALVERT SHORT DURATION INCOME FUND	0.00	17.86	0.00	17.86	0.0	17.86
02/08/2016	GRIFFIN, TIMOTHY	CALVERT SHORT DURATION INCOME FUND	0.00	4.10	0.00	4.10	0.0	4.10
02/08/2016	PEARSON, KEITH	CALVERT SHORT DURATION INCOME FUND	0.00	4.46	0.00	4.46	0.0	4.46
02/08/2016	GRANGER, MARY	CALVERT SHORT DURATION INCOME FUND	0.00	2.05	0.00	2.05	0.0	2.05
02/08/2016	GRANGER, MARY	CALVERT SHORT DURATION INCOME FUND	0.00	2.05	0.00	2.05	0.0	2.05
02/08/2016	VELASKI ST, RPBERT	CALVERT SHORT DURATION INCOME FUND	0.00	1.77	0.00	1.77	0.0	1.77
02/08/2016	HUTCHINSON, HERB	CALVERT SHORT DURATION INCOME FUND	0.00	4.17	0.00	4.17	0.0	4.17
02/08/2016	SEAL, MAVIS	CALVERT SHORT DURATION INCOME FUND	0.00	3.13	0.00	3.13	0.0	3.13
02/08/2016	WHITE, JOHN	CALVERT SHORT DURATION INCOME FUND	0.00	2.40	0.00	2.40	0.0	2.40
02/08/2016	DAVIS, MOLLIE	CALVERT SHORT DURATION INCOME FUND	0.00	4.07	0.00	4.07	0.0	4.07
02/08/2016	BENSON, JOSEPH	CALVERT SHORT DURATION INCOME FUND	0.00	4.95	0.00	4.95	0.0	4.95
02/08/2016	ROBERTS, GLORIA	CALVERT SHORT DURATION INCOME FUND	0.00	3.11	0.00	3.11	0.0	3.11
02/08/2016	BRACKIN, H BRUCE	CALVERT SHORT DURATION INCOME FUND	0.00	7.03	0.00	7.03	0.0	7.03
02/08/2016	KLUMPP, MARTHA	CALVERT SHORT DURATION INCOME FUND	0.00	3.10	0.00	3.10	0.0	3.10
02/08/2016	WEST, GLENDA	CALVERT SHORT DURATION INCOME FUND	0.00	4.12	0.00	4.12	0.0	4.12
02/08/2016	WEST, GLENDA	CALVERT SHORT DURATION INCOME FUND	0.00	4.44	0.00	4.44	0.0	4.44
02/08/2016	POWNALL, GARY	CALVERT SHORT DURATION INCOME FUND	0.00	5.18	0.00	5.18	0.0	5.18
02/08/2016	FRANKS, PAUL	CALVERT SHORT DURATION INCOME FUND	0.00	6.31	0.00	6.31	0.0	6.31
03/07/2016	ALVERSON, PATRICIA	CALVERT SHORT DURATION INCOME FUND	0.00	2.08	0.00	2.08	0.0	2.08
03/07/2016	CARLSON, ARTHUR	CALVERT SHORT DURATION INCOME FUND	0.00	5.86	0.00	5.86	0.0	5.86
03/07/2016	CRAIG, MARILYN	CALVERT SHORT DURATION INCOME FUND	0.00	16.83	0.00	16.83	0.0	16.83
03/07/2016	PIERCE, RICHARD	CALVERT SHORT DURATION INCOME FUND	0.00	1.89	0.00	1.89	0.0	1.89
03/07/2016	LAWRENCE, ANNE	CALVERT SHORT DURATION INCOME FUND	0.00	19.81	0.00	19.81	0.0	19.81
03/07/2016	LAWRENCE, ANNE	CALVERT SHORT DURATION INCOME FUND	0.00	3.96	0.00	3.96	0.0	3.96
03/07/2016	POWELL, ANNE	CALVERT SHORT DURATION INCOME FUND	0.00	1.71	0.00	1.71	0.0	1.71
03/07/2016	POWELL, MICHAEL	CALVERT SHORT DURATION INCOME FUND	0.00	1.71	0.00	1.71	0.0	1.71
03/07/2016	POWELL, MICHAEL	CALVERT SHORT DURATION INCOME FUND	0.00	6.64	0.00	6.64	0.0	6.64

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u> OVERRIDE TRANSACTIONS </u>								
<u> BROKER: MEREDITH MCCUTCHEEN #221 </u>								
03/07/2016	GAILLARD, WILLIAM	CALVERT SHORT DURATION INCOME FUND	0.00	11.73	0.00	11.73	0.0	11.73
03/07/2016	ROSS, JACK	CALVERT SHORT DURATION INCOME FUND	0.00	16.70	0.00	16.70	0.0	16.70
03/07/2016	GRIFFIN, TIMOTHY	CALVERT SHORT DURATION INCOME FUND	0.00	3.83	0.00	3.83	0.0	3.83
03/07/2016	PEARSON, KEITH	CALVERT SHORT DURATION INCOME FUND	0.00	4.17	0.00	4.17	0.0	4.17
03/07/2016	GRANGER, MARY	CALVERT SHORT DURATION INCOME FUND	0.00	1.92	0.00	1.92	0.0	1.92
03/07/2016	GRANGER, MARY	CALVERT SHORT DURATION INCOME FUND	0.00	1.92	0.00	1.92	0.0	1.92
03/07/2016	VELASKI ST, RPBERT	CALVERT SHORT DURATION INCOME FUND	0.00	1.65	0.00	1.65	0.0	1.65
03/07/2016	HUTCHINSON, HERB	CALVERT SHORT DURATION INCOME FUND	0.00	3.90	0.00	3.90	0.0	3.90
03/07/2016	SEAL, MAVIS	CALVERT SHORT DURATION INCOME FUND	0.00	2.93	0.00	2.93	0.0	2.93
03/07/2016	WHITE, JOHN	CALVERT SHORT DURATION INCOME FUND	0.00	2.25	0.00	2.25	0.0	2.25
03/07/2016	DAVIS, MOLLIE	CALVERT SHORT DURATION INCOME FUND	0.00	3.80	0.00	3.80	0.0	3.80
03/07/2016	BENSON, JOSEPH	CALVERT SHORT DURATION INCOME FUND	0.00	4.62	0.00	4.62	0.0	4.62
03/07/2016	ROBERTS, GLORIA	CALVERT SHORT DURATION INCOME FUND	0.00	2.91	0.00	2.91	0.0	2.91
03/07/2016	BRACKIN, H BRUCE	CALVERT SHORT DURATION INCOME FUND	0.00	6.56	0.00	6.56	0.0	6.56
03/07/2016	KLUMPP, MARTHA	CALVERT SHORT DURATION INCOME FUND	0.00	2.90	0.00	2.90	0.0	2.90
03/07/2016	WEST, GLENDA	CALVERT SHORT DURATION INCOME FUND	0.00	3.85	0.00	3.85	0.0	3.85
03/07/2016	WEST, GLENDA	CALVERT SHORT DURATION INCOME FUND	0.00	4.16	0.00	4.16	0.0	4.16
03/07/2016	POWNALL, GARY	CALVERT SHORT DURATION INCOME FUND	0.00	4.83	0.00	4.83	0.0	4.83
03/07/2016	FRANKS, PAUL	CALVERT SHORT DURATION INCOME FUND	0.00	5.90	0.00	5.90	0.0	5.90
04/12/2016	ALVERSON, PATRICIA	CALVERT SHORT DURATION INCOME FUND	0.00	1.59	0.00	1.59	0.0	1.59
04/12/2016	CARLSON, ARTHUR	CALVERT SHORT DURATION INCOME FUND	0.00	6.28	0.00	6.28	0.0	6.28
04/12/2016	CRAIG, MARILYN	CALVERT SHORT DURATION INCOME FUND	0.00	18.07	0.00	18.07	0.0	18.07
04/12/2016	PIERCE, RICHARD	CALVERT SHORT DURATION INCOME FUND	0.00	2.02	0.00	2.02	0.0	2.02
04/12/2016	LAWRENCE, ANNE	CALVERT SHORT DURATION INCOME FUND	0.00	21.23	0.00	21.23	0.0	21.23
04/12/2016	LAWRENCE, ANNE	CALVERT SHORT DURATION INCOME FUND	0.00	4.24	0.00	4.24	0.0	4.24
04/12/2016	POWELL, ANNE	CALVERT SHORT DURATION INCOME FUND	0.00	1.83	0.00	1.83	0.0	1.83
04/12/2016	POWELL, MICHAEL	CALVERT SHORT DURATION INCOME FUND	0.00	1.83	0.00	1.83	0.0	1.83
04/12/2016	POWELL, MICHAEL	CALVERT SHORT DURATION INCOME FUND	0.00	7.11	0.00	7.11	0.0	7.11
04/12/2016	GAILLARD, WILLIAM	CALVERT SHORT DURATION INCOME FUND	0.00	12.59	0.00	12.59	0.0	12.59
04/12/2016	ROSS, JACK	CALVERT SHORT DURATION INCOME FUND	0.00	17.93	0.00	17.93	0.0	17.93
04/12/2016	GRIFFIN, TIMOTHY	CALVERT SHORT DURATION INCOME FUND	0.00	4.12	0.00	4.12	0.0	4.12
04/12/2016	PEARSON, KEITH	CALVERT SHORT DURATION INCOME FUND	0.00	4.47	0.00	4.47	0.0	4.47
04/12/2016	GRANGER, MARY	CALVERT SHORT DURATION INCOME FUND	0.00	2.06	0.00	2.06	0.0	2.06

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<u> OVERRIDE TRANSACTIONS </u>								
<u>BROKER: MEREDITH MCCUTCHEN #221</u>								
04/12/2016	GRANGER, MARY	CALVERT SHORT DURATION INCOME FUND	0.00	2.06	0.00	2.06	0.0	2.06
04/12/2016	VELASKI ST, RPBERT	CALVERT SHORT DURATION INCOME FUND	0.00	1.77	0.00	1.77	0.0	1.77
04/12/2016	HUTCHINSON, HERB	CALVERT SHORT DURATION INCOME FUND	0.00	4.19	0.00	4.19	0.0	4.19
04/12/2016	SEAL, MAVIS	CALVERT SHORT DURATION INCOME FUND	0.00	3.14	0.00	3.14	0.0	3.14
04/12/2016	WHITE, JOHN	CALVERT SHORT DURATION INCOME FUND	0.00	2.34	0.00	2.34	0.0	2.34
04/12/2016	DAVIS, MOLLIE	CALVERT SHORT DURATION INCOME FUND	0.00	4.07	0.00	4.07	0.0	4.07
04/12/2016	BENSON, JOSEPH	CALVERT SHORT DURATION INCOME FUND	0.00	4.96	0.00	4.96	0.0	4.96
04/12/2016	ROBERTS, GLORIA	CALVERT SHORT DURATION INCOME FUND	0.00	3.12	0.00	3.12	0.0	3.12
04/12/2016	BRACKIN, H BRUCE	CALVERT SHORT DURATION INCOME FUND	0.00	7.03	0.00	7.03	0.0	7.03
04/12/2016	KLUMPP, MARTHA	CALVERT SHORT DURATION INCOME FUND	0.00	2.30	0.00	2.30	0.0	2.30
04/12/2016	WEST, GLENDA	CALVERT SHORT DURATION INCOME FUND	0.00	4.14	0.00	4.14	0.0	4.14
04/12/2016	WEST, GLENDA	CALVERT SHORT DURATION INCOME FUND	0.00	4.46	0.00	4.46	0.0	4.46
04/12/2016	POWNALL, GARY	CALVERT SHORT DURATION INCOME FUND	0.00	5.18	0.00	5.18	0.0	5.18
04/12/2016	FRANKS, PAUL	CALVERT SHORT DURATION INCOME FUND	0.00	6.33	0.00	6.33	0.0	6.33
05/11/2016	CARLSON, ARTHUR	CALVERT SHORT DURATION INCOME FUND	0.00	6.13	0.00	6.13	0.0	6.13
05/11/2016	CRAIG, MARILYN	CALVERT SHORT DURATION INCOME FUND	0.00	17.66	0.00	17.66	0.0	17.66
05/11/2016	PIERCE, RICHARD	CALVERT SHORT DURATION INCOME FUND	0.00	1.97	0.00	1.97	0.0	1.97
05/11/2016	LAWRENCE, ANNE	CALVERT SHORT DURATION INCOME FUND	0.00	12.41	0.00	12.41	0.0	12.41
05/11/2016	LAWRENCE, ANNE	CALVERT SHORT DURATION INCOME FUND	0.00	2.62	0.00	2.62	0.0	2.62
05/11/2016	POWELL, ANNE	CALVERT SHORT DURATION INCOME FUND	0.00	1.78	0.00	1.78	0.0	1.78
05/11/2016	POWELL, MICHAEL	CALVERT SHORT DURATION INCOME FUND	0.00	1.78	0.00	1.78	0.0	1.78
05/11/2016	POWELL, MICHAEL	CALVERT SHORT DURATION INCOME FUND	0.00	6.94	0.00	6.94	0.0	6.94
05/11/2016	GAILLARD, WILLIAM	CALVERT SHORT DURATION INCOME FUND	0.00	10.66	0.00	10.66	0.0	10.66
05/11/2016	ROSS, JACK	CALVERT SHORT DURATION INCOME FUND	0.00	17.53	0.00	17.53	0.0	17.53
05/11/2016	GRIFFIN, TIMOTHY	CALVERT SHORT DURATION INCOME FUND	0.00	4.02	0.00	4.02	0.0	4.02
05/11/2016	PEARSON, KEITH	CALVERT SHORT DURATION INCOME FUND	0.00	2.62	0.00	2.62	0.0	2.62
05/11/2016	GRANGER, MARY	CALVERT SHORT DURATION INCOME FUND	0.00	2.01	0.00	2.01	0.0	2.01
05/11/2016	GRANGER, MARY	CALVERT SHORT DURATION INCOME FUND	0.00	2.01	0.00	2.01	0.0	2.01
05/11/2016	VELASKI ST, RPBERT	CALVERT SHORT DURATION INCOME FUND	0.00	1.73	0.00	1.73	0.0	1.73
05/11/2016	HUTCHINSON, HERB	CALVERT SHORT DURATION INCOME FUND	0.00	2.86	0.00	2.86	0.0	2.86
05/11/2016	SEAL, MAVIS	CALVERT SHORT DURATION INCOME FUND	0.00	3.07	0.00	3.07	0.0	3.07
05/11/2016	DAVIS, MOLLIE	CALVERT SHORT DURATION INCOME FUND	0.00	3.97	0.00	3.97	0.0	3.97
05/11/2016	BENSON, JOSEPH	CALVERT SHORT DURATION INCOME FUND	0.00	4.84	0.00	4.84	0.0	4.84

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<u> OVERRIDE TRANSACTIONS </u>								
<u>BROKER: MEREDITH MCCUTCHEEN #221</u>								
05/11/2016	ROBERTS, GLORIA	CALVERT SHORT DURATION INCOME FUND	0.00	3.05	0.00	3.05	0.0	3.05
05/11/2016	BRACKIN, H BRUCE	CALVERT SHORT DURATION INCOME FUND	0.00	6.86	0.00	6.86	0.0	6.86
05/11/2016	WEST, GLENDA	CALVERT SHORT DURATION INCOME FUND	0.00	4.04	0.00	4.04	0.0	4.04
05/11/2016	WEST, GLENDA	CALVERT SHORT DURATION INCOME FUND	0.00	4.36	0.00	4.36	0.0	4.36
05/11/2016	POWNALL, GARY	CALVERT SHORT DURATION INCOME FUND	0.00	5.05	0.00	5.05	0.0	5.05
05/11/2016	FRANKS, PAUL	CALVERT SHORT DURATION INCOME FUND	0.00	6.19	0.00	6.19	0.0	6.19
06/09/2016	CARLSON, ARTHUR	CALVERT SHORT DURATION INCOME FUND	0.00	6.35	0.00	6.35	0.0	6.35
06/09/2016	CRAIG, MARILYN	CALVERT SHORT DURATION INCOME FUND	0.00	18.34	0.00	18.34	0.0	18.34
06/09/2016	PIERCE, RICHARD	CALVERT SHORT DURATION INCOME FUND	0.00	2.04	0.00	2.04	0.0	2.04
06/09/2016	POWELL, ANNE	CALVERT SHORT DURATION INCOME FUND	0.00	1.85	0.00	1.85	0.0	1.85
06/09/2016	POWELL, MICHAEL	CALVERT SHORT DURATION INCOME FUND	0.00	1.85	0.00	1.85	0.0	1.85
06/09/2016	POWELL, MICHAEL	CALVERT SHORT DURATION INCOME FUND	0.00	7.19	0.00	7.19	0.0	7.19
06/09/2016	ROSS, JACK	CALVERT SHORT DURATION INCOME FUND	0.00	18.20	0.00	18.20	0.0	18.20
06/09/2016	GRIFFIN, TIMOTHY	CALVERT SHORT DURATION INCOME FUND	0.00	4.18	0.00	4.18	0.0	4.18
06/09/2016	GRANGER, MARY	CALVERT SHORT DURATION INCOME FUND	0.00	2.09	0.00	2.09	0.0	2.09
06/09/2016	GRANGER, MARY	CALVERT SHORT DURATION INCOME FUND	0.00	2.09	0.00	2.09	0.0	2.09
06/09/2016	VELASKI ST, RPBERT	CALVERT SHORT DURATION INCOME FUND	0.00	1.80	0.00	1.80	0.0	1.80
06/09/2016	SEAL, MAVIS	CALVERT SHORT DURATION INCOME FUND	0.00	3.19	0.00	3.19	0.0	3.19
06/09/2016	BENSON, JOSEPH	CALVERT SHORT DURATION INCOME FUND	0.00	5.01	0.00	5.01	0.0	5.01
06/09/2016	ROBERTS, GLORIA	CALVERT SHORT DURATION INCOME FUND	0.00	3.17	0.00	3.17	0.0	3.17
06/09/2016	BRACKIN, H BRUCE	CALVERT SHORT DURATION INCOME FUND	0.00	7.11	0.00	7.11	0.0	7.11
06/09/2016	WEST, GLENDA	CALVERT SHORT DURATION INCOME FUND	0.00	4.20	0.00	4.20	0.0	4.20
06/09/2016	WEST, GLENDA	CALVERT SHORT DURATION INCOME FUND	0.00	4.53	0.00	4.53	0.0	4.53
06/09/2016	POWNALL, GARY	CALVERT SHORT DURATION INCOME FUND	0.00	5.24	0.00	5.24	0.0	5.24
06/09/2016	FRANKS, PAUL	CALVERT SHORT DURATION INCOME FUND	0.00	6.43	0.00	6.43	0.0	6.43
06/09/2016	DAVIS, MOLLIE	CALVERT SHORT DURATION INCOME FUND	0.00	1.46	0.00	1.46	0.0	1.46
07/11/2016	CARLSON, ARTHUR	CALVERT SHORT DURATION INCOME FUND	0.00	6.17	0.00	6.17	0.0	6.17
07/11/2016	CRAIG, MARILYN	CALVERT SHORT DURATION INCOME FUND	0.00	17.84	0.00	17.84	0.0	17.84
07/11/2016	PIERCE, RICHARD	CALVERT SHORT DURATION INCOME FUND	0.00	1.99	0.00	1.99	0.0	1.99
07/11/2016	POWELL, ANNE	CALVERT SHORT DURATION INCOME FUND	0.00	1.80	0.00	1.80	0.0	1.80
07/11/2016	POWELL, MICHAEL	CALVERT SHORT DURATION INCOME FUND	0.00	1.80	0.00	1.80	0.0	1.80
07/11/2016	POWELL, MICHAEL	CALVERT SHORT DURATION INCOME FUND	0.00	6.99	0.00	6.99	0.0	6.99
07/11/2016	ROSS, JACK	CALVERT SHORT DURATION INCOME FUND	0.00	17.71	0.00	17.71	0.0	17.71

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<u> OVERRIDE TRANSACTIONS </u>								
<u> BROKER: MEREDITH MCCUTCHEEN #221 </u>								
07/11/2016	GRIFFIN, TIMOTHY	CALVERT SHORT DURATION INCOME FUND	0.00	1.22	0.00	1.22	0.0	1.22
07/11/2016	GRANGER, MARY	CALVERT SHORT DURATION INCOME FUND	0.00	0.13	0.00	0.13	0.0	0.13
07/11/2016	GRANGER, MARY	CALVERT SHORT DURATION INCOME FUND	0.00	0.41	0.00	0.41	0.0	0.41
07/11/2016	VELASKI ST, RPBERT	CALVERT SHORT DURATION INCOME FUND	0.00	1.75	0.00	1.75	0.0	1.75
07/11/2016	SEAL, MAVIS	CALVERT SHORT DURATION INCOME FUND	0.00	2.89	0.00	2.89	0.0	2.89
07/11/2016	BENSON, JOSEPH	CALVERT SHORT DURATION INCOME FUND	0.00	4.87	0.00	4.87	0.0	4.87
07/11/2016	ROBERTS, GLORIA	CALVERT SHORT DURATION INCOME FUND	0.00	3.08	0.00	3.08	0.0	3.08
07/11/2016	BRACKIN, H BRUCE	CALVERT SHORT DURATION INCOME FUND	0.00	6.91	0.00	6.91	0.0	6.91
07/11/2016	WEST, GLENDA	CALVERT SHORT DURATION INCOME FUND	0.00	4.09	0.00	4.09	0.0	4.09
07/11/2016	WEST, GLENDA	CALVERT SHORT DURATION INCOME FUND	0.00	4.41	0.00	4.41	0.0	4.41
07/11/2016	POWNALL, GARY	CALVERT SHORT DURATION INCOME FUND	0.00	3.39	0.00	3.39	0.0	3.39
07/11/2016	FRANKS, PAUL	CALVERT SHORT DURATION INCOME FUND	0.00	4.37	0.00	4.37	0.0	4.37
08/08/2016	CARLSON, ARTHUR	CALVERT SHORT DURATION INCOME FUND	0.00	6.41	0.00	6.41	0.0	6.41
08/08/2016	CRAIG, MARILYN	CALVERT SHORT DURATION INCOME FUND	0.00	2.99	0.00	2.99	0.0	2.99
08/08/2016	PIERCE, RICHARD	CALVERT SHORT DURATION INCOME FUND	0.00	2.06	0.00	2.06	0.0	2.06
08/08/2016	POWELL, ANNE	CALVERT SHORT DURATION INCOME FUND	0.00	1.87	0.00	1.87	0.0	1.87
08/08/2016	POWELL, MICHAEL	CALVERT SHORT DURATION INCOME FUND	0.00	1.87	0.00	1.87	0.0	1.87
08/08/2016	POWELL, MICHAEL	CALVERT SHORT DURATION INCOME FUND	0.00	7.25	0.00	7.25	0.0	7.25
08/08/2016	ROSS, JACK	CALVERT SHORT DURATION INCOME FUND	0.00	18.42	0.00	18.42	0.0	18.42
08/08/2016	VELASKI ST, RPBERT	CALVERT SHORT DURATION INCOME FUND	0.00	1.82	0.00	1.82	0.0	1.82
08/08/2016	BENSON, JOSEPH	CALVERT SHORT DURATION INCOME FUND	0.00	5.05	0.00	5.05	0.0	5.05
08/08/2016	ROBERTS, GLORIA	CALVERT SHORT DURATION INCOME FUND	0.00	3.20	0.00	3.20	0.0	3.20
08/08/2016	BRACKIN, H BRUCE	CALVERT SHORT DURATION INCOME FUND	0.00	7.17	0.00	7.17	0.0	7.17
08/08/2016	WEST, GLENDA	CALVERT SHORT DURATION INCOME FUND	0.00	4.25	0.00	4.25	0.0	4.25
08/08/2016	WEST, GLENDA	CALVERT SHORT DURATION INCOME FUND	0.00	4.58	0.00	4.58	0.0	4.58
09/12/2016	CARLSON, ARTHUR	CALVERT SHORT DURATION INCOME FUND	0.00	4.55	0.00	4.55	0.0	4.55
09/12/2016	PIERCE, RICHARD	CALVERT SHORT DURATION INCOME FUND	0.00	1.67	0.00	1.67	0.0	1.67
09/12/2016	POWELL, ANNE	CALVERT SHORT DURATION INCOME FUND	0.00	0.24	0.00	0.24	0.0	0.24
09/12/2016	POWELL, MICHAEL	CALVERT SHORT DURATION INCOME FUND	0.00	0.24	0.00	0.24	0.0	0.24
09/12/2016	POWELL, MICHAEL	CALVERT SHORT DURATION INCOME FUND	0.00	0.94	0.00	0.94	0.0	0.94
09/12/2016	ROSS, JACK	CALVERT SHORT DURATION INCOME FUND	0.00	-1.78	0.00	-1.78	0.0	-1.78
09/12/2016	VELASKI ST, RPBERT	CALVERT SHORT DURATION INCOME FUND	0.00	1.83	0.00	1.83	0.0	1.83
09/12/2016	BENSON, JOSEPH	CALVERT SHORT DURATION INCOME FUND	0.00	1.47	0.00	1.47	0.0	1.47

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<u> OVERRIDE TRANSACTIONS </u>								
<u>BROKER: MEREDITH MCCUTCHEN #221</u>								
09/12/2016	ROBERTS, GLORIA	CALVERT SHORT DURATION INCOME FUND	0.00	3.22	0.00	3.22	0.0	3.22
09/12/2016	BRACKIN, H BRUCE	CALVERT SHORT DURATION INCOME FUND	0.00	0.69	0.00	0.69	0.0	0.69
09/12/2016	WEST, GLENDA	CALVERT SHORT DURATION INCOME FUND	0.00	4.26	0.00	4.26	0.0	4.26
09/12/2016	WEST, GLENDA	CALVERT SHORT DURATION INCOME FUND	0.00	4.60	0.00	4.60	0.0	4.60
10/11/2016	VELASKI ST, RPBERT	CALVERT SHORT DURATION INCOME FUND	0.00	1.77	0.00	1.77	0.0	1.77
10/11/2016	ROBERTS, GLORIA	CALVERT SHORT DURATION INCOME FUND	0.00	3.12	0.00	3.12	0.0	3.12
10/11/2016	WEST, GLENDA	CALVERT SHORT DURATION INCOME FUND	0.00	4.13	0.00	4.13	0.0	4.13
10/11/2016	WEST, GLENDA	CALVERT SHORT DURATION INCOME FUND	0.00	4.46	0.00	4.46	0.0	4.46
11/15/2016	VELASKI ST, RPBERT	CALVERT SHORT DURATION INCOME FUND	0.00	1.12	0.00	1.12	0.0	1.12
11/15/2016	ROBERTS, GLORIA	CALVERT SHORT DURATION INCOME FUND	0.00	3.22	0.00	3.22	0.0	3.22
11/15/2016	WEST, GLENDA	CALVERT SHORT DURATION INCOME FUND	0.00	4.27	0.00	4.27	0.0	4.27
11/15/2016	WEST, GLENDA	CALVERT SHORT DURATION INCOME FUND	0.00	4.61	0.00	4.61	0.0	4.61
12/12/2016	ROBERTS, GLORIA	CALVERT SHORT DURATION INCOME FUND	0.00	3.11	0.00	3.11	0.0	3.11
12/12/2016	WEST, GLENDA	CALVERT SHORT DURATION INCOME FUND	0.00	4.12	0.00	4.12	0.0	4.12
12/12/2016	WEST, GLENDA	CALVERT SHORT DURATION INCOME FUND	0.00	4.44	0.00	4.44	0.0	4.44
02/05/2018	TALBERT, ANN	COLUMBIA LARGE CAP GROWTH C	0.00	9.26	0.00	9.26	0.0	9.26
02/12/2016	FOX, WILLIAM	COLUMBIA MIDCAP GROWTH FUND A	0.00	6.85	0.00	6.85	0.0	6.85
03/14/2016	FOX, WILLIAM	COLUMBIA MIDCAP GROWTH FUND A	0.00	6.14	0.00	6.14	0.0	6.14
04/15/2016	FOX, WILLIAM	COLUMBIA MIDCAP GROWTH FUND A	0.00	7.09	0.00	7.09	0.0	7.09
02/05/2018	TALBERT, ANN	COLUMBIA MIDCAP GROWTH FUND-C	0.00	8.10	0.00	8.10	0.0	8.10
02/12/2016	TRAWICK, JERRY	COLUMBIA SHORT TERM BOND FUND CLASS	0.00	0.02	0.00	0.02	0.0	0.02
03/14/2016	TRAWICK, JERRY	COLUMBIA SHORT TERM BOND FUND CLASS	0.00	0.02	0.00	0.02	0.0	0.02
04/15/2016	TRAWICK, JERRY	COLUMBIA SHORT TERM BOND FUND CLASS	0.00	0.02	0.00	0.02	0.0	0.02
05/24/2016	TRAWICK, JERRY	COLUMBIA SHORT TERM BOND FUND CLASS	0.00	0.02	0.00	0.02	0.0	0.02
06/14/2016	TRAWICK, JERRY	COLUMBIA SHORT TERM BOND FUND CLASS	0.00	0.02	0.00	0.02	0.0	0.02
07/20/2016	TRAWICK, JERRY	COLUMBIA SHORT TERM BOND FUND CLASS	0.00	0.02	0.00	0.02	0.0	0.02
08/17/2016	TRAWICK, JERRY	COLUMBIA SHORT TERM BOND FUND CLASS	0.00	0.02	0.00	0.02	0.0	0.02
09/16/2016	TRAWICK, JERRY	COLUMBIA SHORT TERM BOND FUND CLASS	0.00	0.02	0.00	0.02	0.0	0.02
10/14/2016	TRAWICK, JERRY	COLUMBIA SHORT TERM BOND FUND CLASS	0.00	0.02	0.00	0.02	0.0	0.02
11/15/2016	TRAWICK, JERRY	COLUMBIA SHORT TERM BOND FUND CLASS	0.00	0.01	0.00	0.01	0.0	0.01
02/16/2016	POWELL, MICHAEL	DAVIS NEW YORK VENTURE A	0.00	0.84	0.00	0.84	0.0	0.84
03/14/2016	POWELL, MICHAEL	DAVIS NEW YORK VENTURE A	0.00	0.76	0.00	0.76	0.0	0.76
03/14/2016	MCCUTCHEN, JERRY	DAVIS NEW YORK VENTURE A	0.00	0.06	0.00	0.06	0.0	0.06

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u> OVERRIDE TRANSACTIONS </u>								
<u>BROKER: MEREDITH MCCUTCHEN #221</u>								
04/20/2016	POWELL, MICHAEL	DAVIS NEW YORK VENTURE A	0.00	0.86	0.00	0.86	0.0	0.86
04/20/2016	MCCUTCHEN, JERRY	DAVIS NEW YORK VENTURE A	0.00	0.08	0.00	0.08	0.0	0.08
05/16/2016	POWELL, MICHAEL	DAVIS NEW YORK VENTURE A	0.00	0.87	0.00	0.87	0.0	0.87
05/16/2016	MCCUTCHEN, JERRY	DAVIS NEW YORK VENTURE A	0.00	0.08	0.00	0.08	0.0	0.08
06/16/2016	POWELL, MICHAEL	DAVIS NEW YORK VENTURE A	0.00	0.92	0.00	0.92	0.0	0.92
06/16/2016	MCCUTCHEN, JERRY	DAVIS NEW YORK VENTURE A	0.00	0.08	0.00	0.08	0.0	0.08
07/15/2016	POWELL, MICHAEL	DAVIS NEW YORK VENTURE A	0.00	0.89	0.00	0.89	0.0	0.89
07/15/2016	MCCUTCHEN, JERRY	DAVIS NEW YORK VENTURE A	0.00	0.08	0.00	0.08	0.0	0.08
08/15/2016	POWELL, MICHAEL	DAVIS NEW YORK VENTURE A	0.00	0.87	0.00	0.87	0.0	0.87
08/15/2016	MCCUTCHEN, JERRY	DAVIS NEW YORK VENTURE A	0.00	0.08	0.00	0.08	0.0	0.08
09/16/2016	POWELL, MICHAEL	DAVIS NEW YORK VENTURE A	0.00	0.11	0.00	0.11	0.0	0.11
09/16/2016	MCCUTCHEN, JERRY	DAVIS NEW YORK VENTURE A	0.00	0.08	0.00	0.08	0.0	0.08
10/17/2016	MCCUTCHEN, JERRY	DAVIS NEW YORK VENTURE A	0.00	0.08	0.00	0.08	0.0	0.08
11/11/2016	MCCUTCHEN, JERRY	DAVIS NEW YORK VENTURE A	0.00	0.08	0.00	0.08	0.0	0.08
12/16/2016	MCCUTCHEN, JERRY	DAVIS NEW YORK VENTURE A	0.00	0.08	0.00	0.08	0.0	0.08
02/05/2016	BACAK, FRANCES	DIVERSIFIED INCOME FUND CLASS C	0.00	7.04	0.00	7.04	0.0	7.04
02/25/2016	BACAK, FRANCES	DIVERSIFIED INCOME FUND CLASS C	0.00	6.86	0.00	6.86	0.0	6.86
03/31/2016	BACAK, FRANCES	DIVERSIFIED INCOME FUND CLASS C	0.00	6.33	0.00	6.33	0.0	6.33
04/29/2016	BACAK, FRANCES	DIVERSIFIED INCOME FUND CLASS C	0.00	6.96	0.00	6.96	0.0	6.96
05/26/2016	BACAK, FRANCES	DIVERSIFIED INCOME FUND CLASS C	0.00	7.04	0.00	7.04	0.0	7.04
06/29/2016	BACAK, FRANCES	DIVERSIFIED INCOME FUND CLASS C	0.00	7.11	0.00	7.11	0.0	7.11
07/27/2016	BACAK, FRANCES	DIVERSIFIED INCOME FUND CLASS C	0.00	5.02	0.00	5.02	0.0	5.02
02/16/2016	CUNNINGHAM SR, EST OF JACK	FRANKLIN GOLD & PRECIOUS METALS A	0.00	0.13	0.00	0.13	0.0	0.13
03/16/2016	CUNNINGHAM SR, EST OF JACK	FRANKLIN GOLD & PRECIOUS METALS A	0.00	0.15	0.00	0.15	0.0	0.15
04/15/2016	CUNNINGHAM SR, EST OF JACK	FRANKLIN GOLD & PRECIOUS METALS A	0.00	0.19	0.00	0.19	0.0	0.19
05/13/2016	CUNNINGHAM SR, EST OF JACK	FRANKLIN GOLD & PRECIOUS METALS A	0.00	0.02	0.00	0.02	0.0	0.02
02/16/2016	FIKE, HELEN	FRANKLIN INCOME A	0.00	1.68	0.00	1.68	0.0	1.68
03/16/2016	FIKE, HELEN	FRANKLIN INCOME A	0.00	1.55	0.00	1.55	0.0	1.55
04/15/2016	FIKE, HELEN	FRANKLIN INCOME A	0.00	1.75	0.00	1.75	0.0	1.75
05/13/2016	FIKE, HELEN	FRANKLIN INCOME A	0.00	1.73	0.00	1.73	0.0	1.73
06/14/2016	FIKE, HELEN	FRANKLIN INCOME A	0.00	1.79	0.00	1.79	0.0	1.79
07/14/2016	FIKE, HELEN	FRANKLIN INCOME A	0.00	1.75	0.00	1.75	0.0	1.75
08/15/2016	FIKE, HELEN	FRANKLIN INCOME A	0.00	1.86	0.00	1.86	0.0	1.86

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<u> OVERRIDE TRANSACTIONS </u>								
<u>BROKER: MEREDITH MCCUTCHEEN #221</u>								
09/14/2016	FIKE, HELEN	FRANKLIN INCOME A	0.00	0.06	0.00	0.06	0.0	0.06
02/16/2016	HENLEY, DAVID	GOLDMAN SACHS CAPITAL GROWTH FUND C	0.00	0.81	0.00	0.81	0.0	0.81
03/16/2016	HENLEY, DAVID	GOLDMAN SACHS CAPITAL GROWTH FUND C	0.00	0.73	0.00	0.73	0.0	0.73
04/18/2016	HENLEY, DAVID	GOLDMAN SACHS CAPITAL GROWTH FUND C	0.00	0.84	0.00	0.84	0.0	0.84
05/12/2016	HENLEY, DAVID	GOLDMAN SACHS CAPITAL GROWTH FUND C	0.00	0.84	0.00	0.84	0.0	0.84
06/20/2016	HENLEY, DAVID	GOLDMAN SACHS CAPITAL GROWTH FUND C	0.00	0.85	0.00	0.85	0.0	0.85
07/15/2016	HENLEY, DAVID	GOLDMAN SACHS CAPITAL GROWTH FUND C	0.00	0.83	0.00	0.83	0.0	0.83
08/17/2016	HENLEY, DAVID	GOLDMAN SACHS CAPITAL GROWTH FUND C	0.00	0.88	0.00	0.88	0.0	0.88
09/21/2016	HENLEY, DAVID	GOLDMAN SACHS CAPITAL GROWTH FUND C	0.00	0.90	0.00	0.90	0.0	0.90
10/17/2016	HENLEY, DAVID	GOLDMAN SACHS CAPITAL GROWTH FUND C	0.00	0.86	0.00	0.86	0.0	0.86
11/21/2016	HENLEY, DAVID	GOLDMAN SACHS CAPITAL GROWTH FUND C	0.00	0.89	0.00	0.89	0.0	0.89
12/15/2016	HENLEY, DAVID	GOLDMAN SACHS CAPITAL GROWTH FUND C	0.00	0.59	0.00	0.59	0.0	0.59
02/16/2016	HENLEY, DAVID	GOLDMAN SACHS SMALL CAP EQUITY INSI	0.00	1.84	0.00	1.84	0.0	1.84
03/16/2016	HENLEY, DAVID	GOLDMAN SACHS SMALL CAP EQUITY INSI	0.00	1.67	0.00	1.67	0.0	1.67
04/18/2016	HENLEY, DAVID	GOLDMAN SACHS SMALL CAP EQUITY INSI	0.00	1.94	0.00	1.94	0.0	1.94
05/12/2016	HENLEY, DAVID	GOLDMAN SACHS SMALL CAP EQUITY INSI	0.00	1.95	0.00	1.95	0.0	1.95
06/20/2016	HENLEY, DAVID	GOLDMAN SACHS SMALL CAP EQUITY INSI	0.00	2.00	0.00	2.00	0.0	2.00
07/15/2016	HENLEY, DAVID	GOLDMAN SACHS SMALL CAP EQUITY INSI	0.00	1.99	0.00	1.99	0.0	1.99
08/17/2016	HENLEY, DAVID	GOLDMAN SACHS SMALL CAP EQUITY INSI	0.00	2.13	0.00	2.13	0.0	2.13
09/21/2016	HENLEY, DAVID	GOLDMAN SACHS SMALL CAP EQUITY INSI	0.00	2.18	0.00	2.18	0.0	2.18
10/17/2016	HENLEY, DAVID	GOLDMAN SACHS SMALL CAP EQUITY INSI	0.00	2.13	0.00	2.13	0.0	2.13
11/21/2016	HENLEY, DAVID	GOLDMAN SACHS SMALL CAP EQUITY INSI	0.00	2.18	0.00	2.18	0.0	2.18
12/15/2016	HENLEY, DAVID	GOLDMAN SACHS SMALL CAP EQUITY INSI	0.00	1.52	0.00	1.52	0.0	1.52
02/19/2016	PAYNE, DAVID	HARTFORD INFLATION PLUS FUIND C	0.00	12.62	0.00	12.62	0.0	12.62
03/22/2016	PAYNE, DAVID	HARTFORD INFLATION PLUS FUIND C	0.00	11.87	0.00	11.87	0.0	11.87
04/18/2016	PAYNE, DAVID	HARTFORD INFLATION PLUS FUIND C	0.00	12.84	0.00	12.84	0.0	12.84
05/24/2016	PAYNE, DAVID	HARTFORD INFLATION PLUS FUIND C	0.00	12.55	0.00	12.55	0.0	12.55
06/21/2016	PAYNE, DAVID	HARTFORD INFLATION PLUS FUIND C	0.00	12.97	0.00	12.97	0.0	12.97
07/18/2016	PAYNE, DAVID	HARTFORD INFLATION PLUS FUIND C	0.00	12.62	0.00	12.62	0.0	12.62
08/16/2016	PAYNE, DAVID	HARTFORD INFLATION PLUS FUIND C	0.00	11.04	0.00	11.04	0.0	11.04
04/14/2016	WATSON, ISAAC	INVESCO AMERICAN FRANCHISE A	0.00	2.21	0.00	2.21	0.0	2.21
07/19/2016	WATSON, ISAAC	INVESCO AMERICAN FRANCHISE A	0.00	1.14	0.00	1.14	0.0	1.14
02/22/2016	KLUMPP, MARTHA	LORD ABBETT SHORT DURATION INCOME A	0.00	2.41	0.00	2.41	0.0	2.41

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<u> OVERRIDE TRANSACTIONS </u>								
<u>BROKER: MEREDITH MCCUTCHEN #221</u>								
03/22/2016	KLUMPP, MARTHA	LORD ABBETT SHORT DURATION INCOME A	0.00	2.24	0.00	2.24	0.0	2.24
04/21/2016	KLUMPP, MARTHA	LORD ABBETT SHORT DURATION INCOME A	0.00	1.79	0.00	1.79	0.0	1.79
02/22/2016	DAVIS, MARJORIE	OPPENHEIMER CORE BOND A	0.00	0.03	0.00	0.03	0.0	0.03
03/17/2016	DAVIS, MARJORIE	OPPENHEIMER CORE BOND A	0.00	0.02	0.00	0.02	0.0	0.02
04/21/2016	DAVIS, MARJORIE	OPPENHEIMER CORE BOND A	0.00	0.03	0.00	0.03	0.0	0.03
05/19/2016	DAVIS, MARJORIE	OPPENHEIMER CORE BOND A	0.00	0.02	0.00	0.02	0.0	0.02
06/30/2016	DAVIS, MARJORIE	OPPENHEIMER CORE BOND A	0.00	0.03	0.00	0.03	0.0	0.03
07/18/2016	DAVIS, MARJORIE	OPPENHEIMER CORE BOND A	0.00	0.02	0.00	0.02	0.0	0.02
08/24/2016	DAVIS, MARJORIE	OPPENHEIMER CORE BOND A	0.00	0.03	0.00	0.03	0.0	0.03
03/17/2016	MCCUTCHEN, JERRY	OPPENHEIMER GLOBAL A	0.00	0.09	0.00	0.09	0.0	0.09
04/21/2016	MCCUTCHEN, JERRY	OPPENHEIMER GLOBAL A	0.00	0.10	0.00	0.10	0.0	0.10
05/19/2016	MCCUTCHEN, JERRY	OPPENHEIMER GLOBAL A	0.00	0.10	0.00	0.10	0.0	0.10
06/30/2016	MCCUTCHEN, JERRY	OPPENHEIMER GLOBAL A	0.00	0.10	0.00	0.10	0.0	0.10
07/18/2016	MCCUTCHEN, JERRY	OPPENHEIMER GLOBAL A	0.00	0.10	0.00	0.10	0.0	0.10
08/24/2016	MCCUTCHEN, JERRY	OPPENHEIMER GLOBAL A	0.00	0.10	0.00	0.10	0.0	0.10
09/22/2016	MCCUTCHEN, JERRY	OPPENHEIMER GLOBAL A	0.00	0.11	0.00	0.11	0.0	0.11
10/21/2016	MCCUTCHEN, JERRY	OPPENHEIMER GLOBAL A	0.00	0.11	0.00	0.11	0.0	0.11
11/21/2016	MCCUTCHEN, JERRY	OPPENHEIMER GLOBAL A	0.00	0.11	0.00	0.11	0.0	0.11
12/19/2016	MCCUTCHEN, JERRY	OPPENHEIMER GLOBAL A	0.00	0.11	0.00	0.11	0.0	0.11
02/22/2016	SMITH, ANTHONY	OPPENHEIMER GLOBAL STRATEGIC INC A	0.00	23.79	0.00	23.79	0.0	23.79
02/22/2016	WATSON, ISAAC	OPPENHEIMER GLOBAL STRATEGIC INC A	0.00	1.37	0.00	1.37	0.0	1.37
03/17/2016	SMITH, ANTHONY	OPPENHEIMER GLOBAL STRATEGIC INC A	0.00	21.99	0.00	21.99	0.0	21.99
03/17/2016	WATSON, ISAAC	OPPENHEIMER GLOBAL STRATEGIC INC A	0.00	1.27	0.00	1.27	0.0	1.27
04/21/2016	SMITH, ANTHONY	OPPENHEIMER GLOBAL STRATEGIC INC A	0.00	24.00	0.00	24.00	0.0	24.00
04/21/2016	WATSON, ISAAC	OPPENHEIMER GLOBAL STRATEGIC INC A	0.00	1.38	0.00	1.38	0.0	1.38
05/19/2016	SMITH, ANTHONY	OPPENHEIMER GLOBAL STRATEGIC INC A	0.00	23.51	0.00	23.51	0.0	23.51
05/19/2016	WATSON, ISAAC	OPPENHEIMER GLOBAL STRATEGIC INC A	0.00	1.35	0.00	1.35	0.0	1.35
06/30/2016	SMITH, ANTHONY	OPPENHEIMER GLOBAL STRATEGIC INC A	0.00	24.38	0.00	24.38	0.0	24.38
06/30/2016	WATSON, ISAAC	OPPENHEIMER GLOBAL STRATEGIC INC A	0.00	1.09	0.00	1.09	0.0	1.09
07/18/2016	SMITH, ANTHONY	OPPENHEIMER GLOBAL STRATEGIC INC A	0.00	23.66	0.00	23.66	0.0	23.66
08/24/2016	SMITH, ANTHONY	OPPENHEIMER GLOBAL STRATEGIC INC A	0.00	24.79	0.00	24.79	0.0	24.79
03/17/2016	MCCUTCHEN, JERRY	OPPENHEIMER MAIN STREET OPP A	0.00	0.17	0.00	0.17	0.0	0.17
04/21/2016	MCCUTCHEN, JERRY	OPPENHEIMER MAIN STREET OPP A	0.00	0.20	0.00	0.20	0.0	0.20

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<u> OVERRIDE TRANSACTIONS </u>								
<u>BROKER: MEREDITH MCCUTCHEN #221</u>								
05/19/2016	MCCUTCHEN, JERRY	OPPENHEIMER MAIN STREET OPP A	0.00	0.20	0.00	0.20	0.0	0.20
06/30/2016	MCCUTCHEN, JERRY	OPPENHEIMER MAIN STREET OPP A	0.00	0.20	0.00	0.20	0.0	0.20
07/18/2016	MCCUTCHEN, JERRY	OPPENHEIMER MAIN STREET OPP A	0.00	0.20	0.00	0.20	0.0	0.20
08/24/2016	MCCUTCHEN, JERRY	OPPENHEIMER MAIN STREET OPP A	0.00	0.21	0.00	0.21	0.0	0.21
09/22/2016	MCCUTCHEN, JERRY	OPPENHEIMER MAIN STREET OPP A	0.00	0.21	0.00	0.21	0.0	0.21
10/21/2016	MCCUTCHEN, JERRY	OPPENHEIMER MAIN STREET OPP A	0.00	0.20	0.00	0.20	0.0	0.20
11/21/2016	MCCUTCHEN, JERRY	OPPENHEIMER MAIN STREET OPP A	0.00	0.21	0.00	0.21	0.0	0.21
12/19/2016	MCCUTCHEN, JERRY	OPPENHEIMER MAIN STREET OPP A	0.00	0.21	0.00	0.21	0.0	0.21
03/17/2016	MCCUTCHEN, JERRY	OPPENHEIMER SMALL & MIDCAP GROWTH A	0.00	0.15	0.00	0.15	0.0	0.15
04/21/2016	MCCUTCHEN, JERRY	OPPENHEIMER SMALL & MIDCAP GROWTH A	0.00	0.18	0.00	0.18	0.0	0.18
05/19/2016	MCCUTCHEN, JERRY	OPPENHEIMER SMALL & MIDCAP GROWTH A	0.00	0.18	0.00	0.18	0.0	0.18
06/30/2016	MCCUTCHEN, JERRY	OPPENHEIMER SMALL & MIDCAP GROWTH A	0.00	0.18	0.00	0.18	0.0	0.18
07/18/2016	MCCUTCHEN, JERRY	OPPENHEIMER SMALL & MIDCAP GROWTH A	0.00	0.18	0.00	0.18	0.0	0.18
08/24/2016	MCCUTCHEN, JERRY	OPPENHEIMER SMALL & MIDCAP GROWTH A	0.00	0.19	0.00	0.19	0.0	0.19
09/22/2016	MCCUTCHEN, JERRY	OPPENHEIMER SMALL & MIDCAP GROWTH A	0.00	0.20	0.00	0.20	0.0	0.20
10/21/2016	MCCUTCHEN, JERRY	OPPENHEIMER SMALL & MIDCAP GROWTH A	0.00	0.19	0.00	0.19	0.0	0.19
11/21/2016	MCCUTCHEN, JERRY	OPPENHEIMER SMALL & MIDCAP GROWTH A	0.00	0.19	0.00	0.19	0.0	0.19
12/19/2016	MCCUTCHEN, JERRY	OPPENHEIMER SMALL & MIDCAP GROWTH A	0.00	0.18	0.00	0.18	0.0	0.18
02/22/2016	CUNNINGHAM, BETTY	PIMCO SHORT-TERM FUND (ADMIN SHARES	0.00	0.60	0.00	0.60	0.0	0.60
02/22/2016	CUNNINGHAM SR, EST OF JACK	PIMCO SHORT-TERM FUND (ADMIN SHARES	0.00	0.49	0.00	0.49	0.0	0.49
03/11/2016	CUNNINGHAM, BETTY	PIMCO SHORT-TERM FUND (ADMIN SHARES	0.00	0.56	0.00	0.56	0.0	0.56
03/11/2016	CUNNINGHAM SR, EST OF JACK	PIMCO SHORT-TERM FUND (ADMIN SHARES	0.00	0.46	0.00	0.46	0.0	0.46
04/21/2016	CUNNINGHAM, BETTY	PIMCO SHORT-TERM FUND (ADMIN SHARES	0.00	0.59	0.00	0.59	0.0	0.59
04/21/2016	CUNNINGHAM SR, EST OF JACK	PIMCO SHORT-TERM FUND (ADMIN SHARES	0.00	0.48	0.00	0.48	0.0	0.48
05/18/2016	CUNNINGHAM, BETTY	PIMCO SHORT-TERM FUND (ADMIN SHARES	0.00	0.36	0.00	0.36	0.0	0.36
05/18/2016	CUNNINGHAM SR, EST OF JACK	PIMCO SHORT-TERM FUND (ADMIN SHARES	0.00	0.30	0.00	0.30	0.0	0.30
02/22/2016	CUNNINGHAM SR, EST OF JACK	PIMCO TOTAL RETURN FUND (ADMIN SHAR	0.00	0.66	0.00	0.66	0.0	0.66
03/11/2016	CUNNINGHAM SR, EST OF JACK	PIMCO TOTAL RETURN FUND (ADMIN SHAR	0.00	0.62	0.00	0.62	0.0	0.62
04/21/2016	CUNNINGHAM SR, EST OF JACK	PIMCO TOTAL RETURN FUND (ADMIN SHAR	0.00	0.66	0.00	0.66	0.0	0.66
05/18/2016	CUNNINGHAM SR, EST OF JACK	PIMCO TOTAL RETURN FUND (ADMIN SHAR	0.00	0.40	0.00	0.40	0.0	0.40
02/17/2016	GRANGER, MARY	PIONEER HIGH YIELD C	0.00	23.44	0.00	23.44	0.0	23.44
02/17/2016	GRANGER, MARY	PIONEER HIGH YIELD C	0.00	11.69	0.00	11.69	0.0	11.69
03/11/2016	GRANGER, MARY	PIONEER HIGH YIELD C	0.00	21.44	0.00	21.44	0.0	21.44

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u> OVERRIDE TRANSACTIONS </u>								
<u>BROKER: MEREDITH MCCUTCHEN #221</u>								
03/11/2016	GRANGER, MARY	PIONEER HIGH YIELD C	0.00	10.69	0.00	10.69	0.0	10.69
04/13/2016	GRANGER, MARY	PIONEER HIGH YIELD C	0.00	23.88	0.00	23.88	0.0	23.88
04/13/2016	GRANGER, MARY	PIONEER HIGH YIELD C	0.00	11.91	0.00	11.91	0.0	11.91
05/10/2016	GRANGER, MARY	PIONEER HIGH YIELD C	0.00	23.57	0.00	23.57	0.0	23.57
05/10/2016	GRANGER, MARY	PIONEER HIGH YIELD C	0.00	11.76	0.00	11.76	0.0	11.76
06/16/2016	GRANGER, MARY	PIONEER HIGH YIELD C	0.00	24.64	0.00	24.64	0.0	24.64
06/16/2016	GRANGER, MARY	PIONEER HIGH YIELD C	0.00	12.29	0.00	12.29	0.0	12.29
07/19/2016	GRANGER, MARY	PIONEER HIGH YIELD C	0.00	1.60	0.00	1.60	0.0	1.60
07/19/2016	GRANGER, MARY	PIONEER HIGH YIELD C	0.00	2.40	0.00	2.40	0.0	2.40
02/22/2016	SMITH, ANTHONY	PUTNAM INTERNATIONAL VALUE-A	0.00	2.39	0.00	2.39	0.0	2.39
02/12/2016	FOX, WILLIAM	SUNAMERICA STRATEGIC VALUE PORTFOLI	0.00	10.64	0.00	10.64	0.0	10.64
03/15/2016	FOX, WILLIAM	SUNAMERICA STRATEGIC VALUE PORTFOLI	0.00	9.98	0.00	9.98	0.0	9.98
04/15/2016	FOX, WILLIAM	SUNAMERICA STRATEGIC VALUE PORTFOLI	0.00	11.39	0.00	11.39	0.0	11.39
02/16/2016	CUNNINGHAM, BETTY	TEMPLETON GLOBAL BOND A	0.00	0.46	0.00	0.46	0.0	0.46
02/16/2016	CUNNINGHAM SR, EST OF JACK	TEMPLETON GLOBAL BOND A	0.00	0.32	0.00	0.32	0.0	0.32
03/16/2016	CUNNINGHAM, BETTY	TEMPLETON GLOBAL BOND A	0.00	0.42	0.00	0.42	0.0	0.42
03/16/2016	CUNNINGHAM SR, EST OF JACK	TEMPLETON GLOBAL BOND A	0.00	0.29	0.00	0.29	0.0	0.29
04/15/2016	CUNNINGHAM, BETTY	TEMPLETON GLOBAL BOND A	0.00	0.46	0.00	0.46	0.0	0.46
04/15/2016	CUNNINGHAM SR, EST OF JACK	TEMPLETON GLOBAL BOND A	0.00	0.32	0.00	0.32	0.0	0.32
05/13/2016	CUNNINGHAM, BETTY	TEMPLETON GLOBAL BOND A	0.00	0.21	0.00	0.21	0.0	0.21
05/13/2016	CUNNINGHAM SR, EST OF JACK	TEMPLETON GLOBAL BOND A	0.00	0.04	0.00	0.04	0.0	0.04
* MEREDITH MCCUTCHEN SUBTOTAL *			\$0.00	\$2,217.08	\$0.00	\$2,217.08		\$2,217.08
<u>BROKER: GREGORY FRIEL #223</u>								
02/16/2016	BROWN, JAMIE	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.35	0.00	0.35	0.0	0.35
03/15/2016	BROWN, JAMIE	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.31	0.00	0.31	0.0	0.31
04/20/2016	BROWN, JAMIE	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.36	0.00	0.36	0.0	0.36
05/16/2016	BROWN, JAMIE	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.35	0.00	0.35	0.0	0.35
06/15/2016	BROWN, JAMIE	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.36	0.00	0.36	0.0	0.36
07/18/2016	BROWN, JAMIE	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.35	0.00	0.35	0.0	0.35
08/15/2016	BROWN, JAMIE	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.37	0.00	0.37	0.0	0.37
09/16/2016	BROWN, JAMIE	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.39	0.00	0.39	0.0	0.39
10/17/2016	BROWN, JAMIE	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.38	0.00	0.38	0.0	0.38
11/18/2016	BROWN, JAMIE	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.13	0.00	0.13	0.0	0.13

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<u> OVERRIDE TRANSACTIONS </u>								
<u>BROKER: GREGORY FRIEL #223</u>								
11/15/2016	GAWEL, IRENE	COLUMBIA MARSICO FOCUSED EQUITIES F	0.00	0.06	0.00	0.06	0.0	0.06
11/15/2016	SAURMAN, PAMELA	COLUMBIA MARSICO FOCUSED EQUITIES F	0.00	0.12	0.00	0.12	0.0	0.12
12/15/2016	GAWEL, IRENE	COLUMBIA MARSICO FOCUSED EQUITIES F	0.00	0.43	0.00	0.43	0.0	0.43
12/15/2016	SAURMAN, PAMELA	COLUMBIA MARSICO FOCUSED EQUITIES F	0.00	0.92	0.00	0.92	0.0	0.92
02/12/2016	GAWEL, IRENE	COLUMBIA MARSICO GROWTH FUND CLASS	0.00	0.42	0.00	0.42	0.0	0.42
02/12/2016	SAURMAN, PAMELA	COLUMBIA MARSICO GROWTH FUND CLASS	0.00	0.88	0.00	0.88	0.0	0.88
03/14/2016	GAWEL, IRENE	COLUMBIA MARSICO GROWTH FUND CLASS	0.00	0.37	0.00	0.37	0.0	0.37
03/14/2016	SAURMAN, PAMELA	COLUMBIA MARSICO GROWTH FUND CLASS	0.00	0.78	0.00	0.78	0.0	0.78
04/15/2016	GAWEL, IRENE	COLUMBIA MARSICO GROWTH FUND CLASS	0.00	0.42	0.00	0.42	0.0	0.42
04/15/2016	SAURMAN, PAMELA	COLUMBIA MARSICO GROWTH FUND CLASS	0.00	0.89	0.00	0.89	0.0	0.89
05/24/2016	GAWEL, IRENE	COLUMBIA MARSICO GROWTH FUND CLASS	0.00	0.42	0.00	0.42	0.0	0.42
05/24/2016	SAURMAN, PAMELA	COLUMBIA MARSICO GROWTH FUND CLASS	0.00	0.89	0.00	0.89	0.0	0.89
06/14/2016	GAWEL, IRENE	COLUMBIA MARSICO GROWTH FUND CLASS	0.00	0.43	0.00	0.43	0.0	0.43
06/14/2016	SAURMAN, PAMELA	COLUMBIA MARSICO GROWTH FUND CLASS	0.00	0.92	0.00	0.92	0.0	0.92
07/20/2016	GAWEL, IRENE	COLUMBIA MARSICO GROWTH FUND CLASS	0.00	0.42	0.00	0.42	0.0	0.42
07/20/2016	SAURMAN, PAMELA	COLUMBIA MARSICO GROWTH FUND CLASS	0.00	0.89	0.00	0.89	0.0	0.89
08/17/2016	GAWEL, IRENE	COLUMBIA MARSICO GROWTH FUND CLASS	0.00	0.44	0.00	0.44	0.0	0.44
08/17/2016	SAURMAN, PAMELA	COLUMBIA MARSICO GROWTH FUND CLASS	0.00	0.94	0.00	0.94	0.0	0.94
09/16/2016	GAWEL, IRENE	COLUMBIA MARSICO GROWTH FUND CLASS	0.00	0.46	0.00	0.46	0.0	0.46
09/16/2016	SAURMAN, PAMELA	COLUMBIA MARSICO GROWTH FUND CLASS	0.00	0.97	0.00	0.97	0.0	0.97
10/14/2016	GAWEL, IRENE	COLUMBIA MARSICO GROWTH FUND CLASS	0.00	0.44	0.00	0.44	0.0	0.44
10/14/2016	SAURMAN, PAMELA	COLUMBIA MARSICO GROWTH FUND CLASS	0.00	0.93	0.00	0.93	0.0	0.93
11/15/2016	GAWEL, IRENE	COLUMBIA MARSICO GROWTH FUND CLASS	0.00	0.39	0.00	0.39	0.0	0.39
11/15/2016	SAURMAN, PAMELA	COLUMBIA MARSICO GROWTH FUND CLASS	0.00	0.84	0.00	0.84	0.0	0.84
02/10/2016	GAWEL, IRENE	EATON VANCE GREATER INDIA FUND CLAS	0.00	2.60	0.00	2.60	0.0	2.60
02/10/2016	GAWEL, IRENE	EATON VANCE GREATER INDIA FUND CLAS	0.00	0.81	0.00	0.81	0.0	0.81
03/16/2016	GAWEL, IRENE	EATON VANCE GREATER INDIA FUND CLAS	0.00	2.30	0.00	2.30	0.0	2.30
03/16/2016	GAWEL, IRENE	EATON VANCE GREATER INDIA FUND CLAS	0.00	0.72	0.00	0.72	0.0	0.72
04/25/2016	GAWEL, IRENE	EATON VANCE GREATER INDIA FUND CLAS	0.00	2.62	0.00	2.62	0.0	2.62
04/25/2016	GAWEL, IRENE	EATON VANCE GREATER INDIA FUND CLAS	0.00	0.82	0.00	0.82	0.0	0.82
05/13/2016	GAWEL, IRENE	EATON VANCE GREATER INDIA FUND CLAS	0.00	2.66	0.00	2.66	0.0	2.66
05/13/2016	GAWEL, IRENE	EATON VANCE GREATER INDIA FUND CLAS	0.00	0.83	0.00	0.83	0.0	0.83
06/15/2016	GAWEL, IRENE	EATON VANCE GREATER INDIA FUND CLAS	0.00	2.84	0.00	2.84	0.0	2.84

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<u> OVERRIDE TRANSACTIONS </u>								
<u>BROKER: GREGORY FRIEL #223</u>								
06/15/2016	GAWEL, IRENE	EATON VANCE GREATER INDIA FUND CLAS	0.00	0.89	0.00	0.89	0.0	0.89
07/20/2016	GAWEL, IRENE	EATON VANCE GREATER INDIA FUND CLAS	0.00	2.84	0.00	2.84	0.0	2.84
07/20/2016	GAWEL, IRENE	EATON VANCE GREATER INDIA FUND CLAS	0.00	0.89	0.00	0.89	0.0	0.89
08/12/2016	GAWEL, IRENE	EATON VANCE GREATER INDIA FUND CLAS	0.00	3.11	0.00	3.11	0.0	3.11
08/12/2016	GAWEL, IRENE	EATON VANCE GREATER INDIA FUND CLAS	0.00	0.97	0.00	0.97	0.0	0.97
09/13/2016	GAWEL, IRENE	EATON VANCE GREATER INDIA FUND CLAS	0.00	3.24	0.00	3.24	0.0	3.24
09/13/2016	GAWEL, IRENE	EATON VANCE GREATER INDIA FUND CLAS	0.00	1.49	0.00	1.49	0.0	1.49
10/12/2016	GAWEL, IRENE	EATON VANCE GREATER INDIA FUND CLAS	0.00	3.21	0.00	3.21	0.0	3.21
10/12/2016	GAWEL, IRENE	EATON VANCE GREATER INDIA FUND CLAS	0.00	1.54	0.00	1.54	0.0	1.54
11/15/2016	GAWEL, IRENE	EATON VANCE GREATER INDIA FUND CLAS	0.00	3.28	0.00	3.28	0.0	3.28
11/15/2016	GAWEL, IRENE	EATON VANCE GREATER INDIA FUND CLAS	0.00	1.58	0.00	1.58	0.0	1.58
12/21/2016	GAWEL, IRENE	EATON VANCE GREATER INDIA FUND CLAS	0.00	2.91	0.00	2.91	0.0	2.91
12/21/2016	GAWEL, IRENE	EATON VANCE GREATER INDIA FUND CLAS	0.00	1.40	0.00	1.40	0.0	1.40
02/12/2016	KNAPP, KEVIN	FIDELITY ADV STRATEGIC INCOME A	0.00	9.41	0.00	9.41	0.0	9.41
02/12/2016	KNAPP TRUST, KEVIN	FIDELITY ADV STRATEGIC INCOME A	0.00	4.29	0.00	4.29	0.0	4.29
02/12/2016	FOUST, KRISTIN	FIDELITY ADV STRATEGIC INCOME A	0.00	2.57	0.00	2.57	0.0	2.57
02/12/2016	GAWEL, IRENE	FIDELITY ADV STRATEGIC INCOME A	0.00	1.13	0.00	1.13	0.0	1.13
02/12/2016	GAWEL, IRENE	FIDELITY ADV STRATEGIC INCOME A	0.00	0.41	0.00	0.41	0.0	0.41
02/12/2016	SAURMAN, J DOUGLAS	FIDELITY ADV STRATEGIC INCOME A	0.00	11.00	0.00	11.00	0.0	11.00
03/17/2016	KNAPP, KEVIN	FIDELITY ADV STRATEGIC INCOME A	0.00	8.78	0.00	8.78	0.0	8.78
03/17/2016	KNAPP TRUST, KEVIN	FIDELITY ADV STRATEGIC INCOME A	0.00	4.01	0.00	4.01	0.0	4.01
03/17/2016	FOUST, KRISTIN	FIDELITY ADV STRATEGIC INCOME A	0.00	2.40	0.00	2.40	0.0	2.40
03/17/2016	GAWEL, IRENE	FIDELITY ADV STRATEGIC INCOME A	0.00	1.05	0.00	1.05	0.0	1.05
03/17/2016	GAWEL, IRENE	FIDELITY ADV STRATEGIC INCOME A	0.00	0.38	0.00	0.38	0.0	0.38
03/17/2016	SAURMAN, J DOUGLAS	FIDELITY ADV STRATEGIC INCOME A	0.00	10.27	0.00	10.27	0.0	10.27
04/19/2016	KNAPP, KEVIN	FIDELITY ADV STRATEGIC INCOME A	0.00	9.68	0.00	9.68	0.0	9.68
04/19/2016	KNAPP TRUST, KEVIN	FIDELITY ADV STRATEGIC INCOME A	0.00	4.41	0.00	4.41	0.0	4.41
04/19/2016	FOUST, KRISTIN	FIDELITY ADV STRATEGIC INCOME A	0.00	2.65	0.00	2.65	0.0	2.65
04/19/2016	GAWEL, IRENE	FIDELITY ADV STRATEGIC INCOME A	0.00	1.15	0.00	1.15	0.0	1.15
04/19/2016	GAWEL, IRENE	FIDELITY ADV STRATEGIC INCOME A	0.00	0.42	0.00	0.42	0.0	0.42
04/19/2016	SAURMAN, J DOUGLAS	FIDELITY ADV STRATEGIC INCOME A	0.00	11.31	0.00	11.31	0.0	11.31
05/24/2016	KNAPP, KEVIN	FIDELITY ADV STRATEGIC INCOME A	0.00	6.34	0.00	6.34	0.0	6.34
05/24/2016	KNAPP TRUST, KEVIN	FIDELITY ADV STRATEGIC INCOME A	0.00	4.35	0.00	4.35	0.0	4.35

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<u> OVERRIDE TRANSACTIONS </u>								
<u>BROKER: GREGORY FRIEL #223</u>								
05/24/2016	FOUST, KRISTIN	FIDELITY ADV STRATEGIC INCOME A	0.00	2.61	0.00	2.61	0.0	2.61
05/24/2016	GAWEL, IRENE	FIDELITY ADV STRATEGIC INCOME A	0.00	1.13	0.00	1.13	0.0	1.13
05/24/2016	GAWEL, IRENE	FIDELITY ADV STRATEGIC INCOME A	0.00	0.42	0.00	0.42	0.0	0.42
05/24/2016	SAURMAN, J DOUGLAS	FIDELITY ADV STRATEGIC INCOME A	0.00	11.15	0.00	11.15	0.0	11.15
06/15/2016	KNAPP TRUST, KEVIN	FIDELITY ADV STRATEGIC INCOME A	0.00	4.53	0.00	4.53	0.0	4.53
06/15/2016	FOUST, KRISTIN	FIDELITY ADV STRATEGIC INCOME A	0.00	2.71	0.00	2.71	0.0	2.71
06/15/2016	GAWEL, IRENE	FIDELITY ADV STRATEGIC INCOME A	0.00	1.18	0.00	1.18	0.0	1.18
06/15/2016	GAWEL, IRENE	FIDELITY ADV STRATEGIC INCOME A	0.00	0.43	0.00	0.43	0.0	0.43
06/15/2016	SAURMAN, J DOUGLAS	FIDELITY ADV STRATEGIC INCOME A	0.00	11.61	0.00	11.61	0.0	11.61
07/19/2016	KNAPP TRUST, KEVIN	FIDELITY ADV STRATEGIC INCOME A	0.00	4.43	0.00	4.43	0.0	4.43
07/19/2016	FOUST, KRISTIN	FIDELITY ADV STRATEGIC INCOME A	0.00	2.65	0.00	2.65	0.0	2.65
07/19/2016	GAWEL, IRENE	FIDELITY ADV STRATEGIC INCOME A	0.00	1.15	0.00	1.15	0.0	1.15
07/19/2016	GAWEL, IRENE	FIDELITY ADV STRATEGIC INCOME A	0.00	0.42	0.00	0.42	0.0	0.42
07/19/2016	SAURMAN, J DOUGLAS	FIDELITY ADV STRATEGIC INCOME A	0.00	11.35	0.00	11.35	0.0	11.35
08/16/2016	KNAPP TRUST, KEVIN	FIDELITY ADV STRATEGIC INCOME A	0.00	4.66	0.00	4.66	0.0	4.66
08/16/2016	FOUST, KRISTIN	FIDELITY ADV STRATEGIC INCOME A	0.00	2.79	0.00	2.79	0.0	2.79
08/16/2016	GAWEL, IRENE	FIDELITY ADV STRATEGIC INCOME A	0.00	1.20	0.00	1.20	0.0	1.20
08/16/2016	GAWEL, IRENE	FIDELITY ADV STRATEGIC INCOME A	0.00	0.45	0.00	0.45	0.0	0.45
08/16/2016	SAURMAN, J DOUGLAS	FIDELITY ADV STRATEGIC INCOME A	0.00	11.93	0.00	11.93	0.0	11.93
09/19/2016	KNAPP TRUST, KEVIN	FIDELITY ADV STRATEGIC INCOME A	0.00	4.72	0.00	4.72	0.0	4.72
09/19/2016	FOUST, KRISTIN	FIDELITY ADV STRATEGIC INCOME A	0.00	2.83	0.00	2.83	0.0	2.83
09/19/2016	GAWEL, IRENE	FIDELITY ADV STRATEGIC INCOME A	0.00	1.22	0.00	1.22	0.0	1.22
09/19/2016	GAWEL, IRENE	FIDELITY ADV STRATEGIC INCOME A	0.00	0.45	0.00	0.45	0.0	0.45
09/19/2016	SAURMAN, J DOUGLAS	FIDELITY ADV STRATEGIC INCOME A	0.00	12.10	0.00	12.10	0.0	12.10
10/19/2016	KNAPP TRUST, KEVIN	FIDELITY ADV STRATEGIC INCOME A	0.00	4.58	0.00	4.58	0.0	4.58
10/19/2016	FOUST, KRISTIN	FIDELITY ADV STRATEGIC INCOME A	0.00	2.75	0.00	2.75	0.0	2.75
10/19/2016	GAWEL, IRENE	FIDELITY ADV STRATEGIC INCOME A	0.00	1.18	0.00	1.18	0.0	1.18
10/19/2016	GAWEL, IRENE	FIDELITY ADV STRATEGIC INCOME A	0.00	0.44	0.00	0.44	0.0	0.44
10/19/2016	SAURMAN, J DOUGLAS	FIDELITY ADV STRATEGIC INCOME A	0.00	11.75	0.00	11.75	0.0	11.75
11/18/2016	KNAPP TRUST, KEVIN	FIDELITY ADV STRATEGIC INCOME A	0.00	4.75	0.00	4.75	0.0	4.75
11/18/2016	FOUST, KRISTIN	FIDELITY ADV STRATEGIC INCOME A	0.00	2.85	0.00	2.85	0.0	2.85
11/18/2016	GAWEL, IRENE	FIDELITY ADV STRATEGIC INCOME A	0.00	1.22	0.00	1.22	0.0	1.22
11/18/2016	GAWEL, IRENE	FIDELITY ADV STRATEGIC INCOME A	0.00	0.45	0.00	0.45	0.0	0.45

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u> OVERRIDE TRANSACTIONS </u>								
<u>BROKER: GREGORY FRIEL #223</u>								
11/18/2016	SAURMAN, J DOUGLAS	FIDELITY ADV STRATEGIC INCOME A	0.00	12.17	0.00	12.17	0.0	12.17
12/16/2016	KNAPP TRUST, KEVIN	FIDELITY ADV STRATEGIC INCOME A	0.00	4.52	0.00	4.52	0.0	4.52
12/16/2016	FOUST, KRISTIN	FIDELITY ADV STRATEGIC INCOME A	0.00	2.71	0.00	2.71	0.0	2.71
12/16/2016	GAWEL, IRENE	FIDELITY ADV STRATEGIC INCOME A	0.00	1.16	0.00	1.16	0.0	1.16
12/16/2016	GAWEL, IRENE	FIDELITY ADV STRATEGIC INCOME A	0.00	0.43	0.00	0.43	0.0	0.43
12/16/2016	SAURMAN, J DOUGLAS	FIDELITY ADV STRATEGIC INCOME A	0.00	11.58	0.00	11.58	0.0	11.58
02/16/2016	MCGUANE, JUDY	FT FOUNDING FDS ALLOC C	0.00	3.97	0.00	3.97	0.0	3.97
03/16/2016	MCGUANE, JUDY	FT FOUNDING FDS ALLOC C	0.00	3.64	0.00	3.64	0.0	3.64
04/15/2016	MCGUANE, JUDY	FT FOUNDING FDS ALLOC C	0.00	4.16	0.00	4.16	0.0	4.16
05/13/2016	MCGUANE, JUDY	FT FOUNDING FDS ALLOC C	0.00	4.13	0.00	4.13	0.0	4.13
06/14/2016	MCGUANE, JUDY	FT FOUNDING FDS ALLOC C	0.00	3.14	0.00	3.14	0.0	3.14
02/19/2016	KNAPP, KEVIN	JH LIFESTYLE CONSERVATIVE PORT A	0.00	17.36	0.00	17.36	0.0	17.36
03/18/2016	KNAPP, KEVIN	JH LIFESTYLE CONSERVATIVE PORT A	0.00	16.18	0.00	16.18	0.0	16.18
04/15/2016	KNAPP, KEVIN	JH LIFESTYLE CONSERVATIVE PORT A	0.00	19.33	0.00	19.33	0.0	19.33
05/23/2016	KNAPP, KEVIN	JH LIFESTYLE CONSERVATIVE PORT A	0.00	15.64	0.00	15.64	0.0	15.64
02/19/2016	BORDONARO, RICHARD	JH STRATEGIC INCOME A	0.00	6.95	0.00	6.95	0.0	6.95
03/18/2016	BORDONARO, RICHARD	JH STRATEGIC INCOME A	0.00	6.51	0.00	6.51	0.0	6.51
04/15/2016	BORDONARO, RICHARD	JH STRATEGIC INCOME A	0.00	7.02	0.00	7.02	0.0	7.02
05/23/2016	BORDONARO, RICHARD	JH STRATEGIC INCOME A	0.00	9.72	0.00	9.72	0.0	9.72
06/27/2016	BORDONARO, RICHARD	JH STRATEGIC INCOME A	0.00	17.00	0.00	17.00	0.0	17.00
07/15/2016	BORDONARO, RICHARD	JH STRATEGIC INCOME A	0.00	16.50	0.00	16.50	0.0	16.50
08/16/2016	BORDONARO, RICHARD	JH STRATEGIC INCOME A	0.00	17.22	0.00	17.22	0.0	17.22
09/16/2016	BORDONARO, RICHARD	JH STRATEGIC INCOME A	0.00	17.25	0.00	17.25	0.0	17.25
10/24/2016	BORDONARO, RICHARD	JH STRATEGIC INCOME A	0.00	16.61	0.00	16.61	0.0	16.61
11/18/2016	BORDONARO, RICHARD	JH STRATEGIC INCOME A	0.00	17.10	0.00	17.10	0.0	17.10
12/16/2016	BORDONARO, RICHARD	JH STRATEGIC INCOME A	0.00	16.30	0.00	16.30	0.0	16.30
02/19/2016	KNAPP, KEVIN	JOHN HANCOCK LIFESTYLE MODERATE POR	0.00	0.82	0.00	0.82	0.0	0.82
02/19/2016	SAURMAN, J DOUGLAS	JOHN HANCOCK LIFESTYLE MODERATE POR	0.00	5.88	0.00	5.88	0.0	5.88
02/19/2016	SAURMAN, PAMELA	JOHN HANCOCK LIFESTYLE MODERATE POR	0.00	0.45	0.00	0.45	0.0	0.45
03/18/2016	KNAPP, KEVIN	JOHN HANCOCK LIFESTYLE MODERATE POR	0.00	0.76	0.00	0.76	0.0	0.76
03/18/2016	SAURMAN, J DOUGLAS	JOHN HANCOCK LIFESTYLE MODERATE POR	0.00	5.45	0.00	5.45	0.0	5.45
03/18/2016	SAURMAN, PAMELA	JOHN HANCOCK LIFESTYLE MODERATE POR	0.00	0.41	0.00	0.41	0.0	0.41
04/15/2016	KNAPP, KEVIN	JOHN HANCOCK LIFESTYLE MODERATE POR	0.00	0.84	0.00	0.84	0.0	0.84

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<u> OVERRIDE TRANSACTIONS </u>								
<u>BROKER: GREGORY FRIEL #223</u>								
04/15/2016	SAURMAN, J DOUGLAS	JOHN HANCOCK LIFESTYLE MODERATE POR	0.00	6.04	0.00	6.04	0.0	6.04
04/15/2016	SAURMAN, PAMELA	JOHN HANCOCK LIFESTYLE MODERATE POR	0.00	0.46	0.00	0.46	0.0	0.46
05/23/2016	KNAPP, KEVIN	JOHN HANCOCK LIFESTYLE MODERATE POR	0.00	0.38	0.00	0.38	0.0	0.38
05/23/2016	SAURMAN, J DOUGLAS	JOHN HANCOCK LIFESTYLE MODERATE POR	0.00	5.97	0.00	5.97	0.0	5.97
05/23/2016	SAURMAN, PAMELA	JOHN HANCOCK LIFESTYLE MODERATE POR	0.00	0.48	0.00	0.48	0.0	0.48
06/27/2016	SAURMAN, J DOUGLAS	JOHN HANCOCK LIFESTYLE MODERATE POR	0.00	6.19	0.00	6.19	0.0	6.19
06/27/2016	SAURMAN, PAMELA	JOHN HANCOCK LIFESTYLE MODERATE POR	0.00	0.50	0.00	0.50	0.0	0.50
07/15/2016	SAURMAN, J DOUGLAS	JOHN HANCOCK LIFESTYLE MODERATE POR	0.00	6.03	0.00	6.03	0.0	6.03
07/15/2016	SAURMAN, PAMELA	JOHN HANCOCK LIFESTYLE MODERATE POR	0.00	0.49	0.00	0.49	0.0	0.49
08/16/2016	SAURMAN, J DOUGLAS	JOHN HANCOCK LIFESTYLE MODERATE POR	0.00	6.34	0.00	6.34	0.0	6.34
08/16/2016	SAURMAN, PAMELA	JOHN HANCOCK LIFESTYLE MODERATE POR	0.00	0.55	0.00	0.55	0.0	0.55
09/16/2016	SAURMAN, J DOUGLAS	JOHN HANCOCK LIFESTYLE MODERATE POR	0.00	6.43	0.00	6.43	0.0	6.43
09/16/2016	SAURMAN, PAMELA	JOHN HANCOCK LIFESTYLE MODERATE POR	0.00	0.56	0.00	0.56	0.0	0.56
10/24/2016	SAURMAN, J DOUGLAS	JOHN HANCOCK LIFESTYLE MODERATE POR	0.00	6.22	0.00	6.22	0.0	6.22
10/24/2016	SAURMAN, PAMELA	JOHN HANCOCK LIFESTYLE MODERATE POR	0.00	0.54	0.00	0.54	0.0	0.54
11/18/2016	SAURMAN, J DOUGLAS	JOHN HANCOCK LIFESTYLE MODERATE POR	0.00	6.42	0.00	6.42	0.0	6.42
11/18/2016	SAURMAN, PAMELA	JOHN HANCOCK LIFESTYLE MODERATE POR	0.00	0.61	0.00	0.61	0.0	0.61
12/16/2016	SAURMAN, J DOUGLAS	JOHN HANCOCK LIFESTYLE MODERATE POR	0.00	6.16	0.00	6.16	0.0	6.16
12/16/2016	SAURMAN, PAMELA	JOHN HANCOCK LIFESTYLE MODERATE POR	0.00	10.36	0.00	10.36	0.0	10.36
02/19/2016	KNAPP, KEVIN	JOHN HANCOCK TAX FREE BOND FUND CL	0.00	6.66	0.00	6.66	0.0	6.66
03/18/2016	KNAPP, KEVIN	JOHN HANCOCK TAX FREE BOND FUND CL	0.00	6.29	0.00	6.29	0.0	6.29
04/15/2016	KNAPP, KEVIN	JOHN HANCOCK TAX FREE BOND FUND CL	0.00	9.26	0.00	9.26	0.0	9.26
05/23/2016	KNAPP, KEVIN	JOHN HANCOCK TAX FREE BOND FUND CL	0.00	10.78	0.00	10.78	0.0	10.78
02/08/2016	FRIEL, JEREMY	MFS BOND A	0.00	1.10	0.00	1.10	0.0	1.10
02/08/2016	FRIEL, SHELLEY	MFS BOND A	0.00	0.21	0.00	0.21	0.0	0.21
03/14/2016	FRIEL, JEREMY	MFS BOND A	0.00	1.03	0.00	1.03	0.0	1.03
03/14/2016	FRIEL, SHELLEY	MFS BOND A	0.00	0.19	0.00	0.19	0.0	0.19
04/15/2016	FRIEL, JEREMY	MFS BOND A	0.00	1.12	0.00	1.12	0.0	1.12
04/15/2016	FRIEL, SHELLEY	MFS BOND A	0.00	0.21	0.00	0.21	0.0	0.21
05/17/2016	FRIEL, JEREMY	MFS BOND A	0.00	1.11	0.00	1.11	0.0	1.11
05/17/2016	FRIEL, SHELLEY	MFS BOND A	0.00	0.21	0.00	0.21	0.0	0.21
06/16/2016	FRIEL, JEREMY	MFS BOND A	0.00	1.15	0.00	1.15	0.0	1.15
06/16/2016	FRIEL, SHELLEY	MFS BOND A	0.00	0.22	0.00	0.22	0.0	0.22

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<u> OVERRIDE TRANSACTIONS </u>								
<u>BROKER: GREGORY FRIEL #223</u>								
07/20/2016	FRIEL, JEREMY	MFS BOND A	0.00	1.12	0.00	1.12	0.0	1.12
07/20/2016	FRIEL, SHELLEY	MFS BOND A	0.00	0.21	0.00	0.21	0.0	0.21
08/16/2016	FRIEL, JEREMY	MFS BOND A	0.00	1.18	0.00	1.18	0.0	1.18
08/16/2016	FRIEL, SHELLEY	MFS BOND A	0.00	0.22	0.00	0.22	0.0	0.22
09/15/2016	FRIEL, JEREMY	MFS BOND A	0.00	1.19	0.00	1.19	0.0	1.19
09/15/2016	FRIEL, SHELLEY	MFS BOND A	0.00	0.22	0.00	0.22	0.0	0.22
10/20/2016	FRIEL, JEREMY	MFS BOND A	0.00	1.15	0.00	1.15	0.0	1.15
10/20/2016	FRIEL, SHELLEY	MFS BOND A	0.00	0.22	0.00	0.22	0.0	0.22
11/14/2016	FRIEL, JEREMY	MFS BOND A	0.00	1.19	0.00	1.19	0.0	1.19
11/14/2016	FRIEL, SHELLEY	MFS BOND A	0.00	0.22	0.00	0.22	0.0	0.22
12/19/2016	FRIEL, JEREMY	MFS BOND A	0.00	1.12	0.00	1.12	0.0	1.12
12/19/2016	FRIEL, SHELLEY	MFS BOND A	0.00	0.21	0.00	0.21	0.0	0.21
02/08/2016	KNAPP, KEVIN	MFS CONSERVATIVE ALLOCATION A	0.00	6.58	0.00	6.58	0.0	6.58
03/14/2016	KNAPP, KEVIN	MFS CONSERVATIVE ALLOCATION A	0.00	6.14	0.00	6.14	0.0	6.14
04/15/2016	KNAPP, KEVIN	MFS CONSERVATIVE ALLOCATION A	0.00	6.77	0.00	6.77	0.0	6.77
05/17/2016	KNAPP, KEVIN	MFS CONSERVATIVE ALLOCATION A	0.00	4.44	0.00	4.44	0.0	4.44
02/08/2016	FRIEL, SHELLEY	MFS DIVERSIFIED INCOME A	0.00	0.70	0.00	0.70	0.0	0.70
02/08/2016	SAURMAN, PAMELA	MFS DIVERSIFIED INCOME A	0.00	0.79	0.00	0.79	0.0	0.79
03/14/2016	FRIEL, SHELLEY	MFS DIVERSIFIED INCOME A	0.00	0.65	0.00	0.65	0.0	0.65
03/14/2016	SAURMAN, PAMELA	MFS DIVERSIFIED INCOME A	0.00	0.74	0.00	0.74	0.0	0.74
04/15/2016	FRIEL, SHELLEY	MFS DIVERSIFIED INCOME A	0.00	0.72	0.00	0.72	0.0	0.72
04/15/2016	SAURMAN, PAMELA	MFS DIVERSIFIED INCOME A	0.00	0.82	0.00	0.82	0.0	0.82
05/17/2016	FRIEL, SHELLEY	MFS DIVERSIFIED INCOME A	0.00	0.71	0.00	0.71	0.0	0.71
05/17/2016	SAURMAN, PAMELA	MFS DIVERSIFIED INCOME A	0.00	0.81	0.00	0.81	0.0	0.81
06/16/2016	FRIEL, SHELLEY	MFS DIVERSIFIED INCOME A	0.00	0.74	0.00	0.74	0.0	0.74
06/16/2016	SAURMAN, PAMELA	MFS DIVERSIFIED INCOME A	0.00	0.85	0.00	0.85	0.0	0.85
07/20/2016	FRIEL, SHELLEY	MFS DIVERSIFIED INCOME A	0.00	0.73	0.00	0.73	0.0	0.73
07/20/2016	SAURMAN, PAMELA	MFS DIVERSIFIED INCOME A	0.00	0.83	0.00	0.83	0.0	0.83
08/16/2016	FRIEL, SHELLEY	MFS DIVERSIFIED INCOME A	0.00	0.77	0.00	0.77	0.0	0.77
08/16/2016	SAURMAN, PAMELA	MFS DIVERSIFIED INCOME A	0.00	0.88	0.00	0.88	0.0	0.88
09/15/2016	FRIEL, SHELLEY	MFS DIVERSIFIED INCOME A	0.00	0.78	0.00	0.78	0.0	0.78
09/15/2016	SAURMAN, PAMELA	MFS DIVERSIFIED INCOME A	0.00	0.89	0.00	0.89	0.0	0.89
10/20/2016	FRIEL, SHELLEY	MFS DIVERSIFIED INCOME A	0.00	0.75	0.00	0.75	0.0	0.75

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<u> OVERRIDE TRANSACTIONS </u>								
<u>BROKER: GREGORY FRIEL #223</u>								
10/20/2016	SAURMAN, PAMELA	MFS DIVERSIFIED INCOME A	0.00	0.86	0.00	0.86	0.0	0.86
11/14/2016	FRIEL, SHELLEY	MFS DIVERSIFIED INCOME A	0.00	0.77	0.00	0.77	0.0	0.77
11/14/2016	SAURMAN, PAMELA	MFS DIVERSIFIED INCOME A	0.00	0.88	0.00	0.88	0.0	0.88
12/19/2016	FRIEL, SHELLEY	MFS DIVERSIFIED INCOME A	0.00	0.74	0.00	0.74	0.0	0.74
12/19/2016	SAURMAN, PAMELA	MFS DIVERSIFIED INCOME A	0.00	0.84	0.00	0.84	0.0	0.84
02/08/2016	SAURMAN, PAMELA	MFS EMERGING MARKETS DEBT FUND A	0.00	0.76	0.00	0.76	0.0	0.76
03/14/2016	SAURMAN, PAMELA	MFS EMERGING MARKETS DEBT FUND A	0.00	0.72	0.00	0.72	0.0	0.72
04/15/2016	SAURMAN, PAMELA	MFS EMERGING MARKETS DEBT FUND A	0.00	0.79	0.00	0.79	0.0	0.79
05/17/2016	SAURMAN, PAMELA	MFS EMERGING MARKETS DEBT FUND A	0.00	0.78	0.00	0.78	0.0	0.78
06/16/2016	SAURMAN, PAMELA	MFS EMERGING MARKETS DEBT FUND A	0.00	0.82	0.00	0.82	0.0	0.82
07/20/2016	SAURMAN, PAMELA	MFS EMERGING MARKETS DEBT FUND A	0.00	0.80	0.00	0.80	0.0	0.80
08/16/2016	SAURMAN, PAMELA	MFS EMERGING MARKETS DEBT FUND A	0.00	0.86	0.00	0.86	0.0	0.86
09/15/2016	SAURMAN, PAMELA	MFS EMERGING MARKETS DEBT FUND A	0.00	0.87	0.00	0.87	0.0	0.87
10/20/2016	SAURMAN, PAMELA	MFS EMERGING MARKETS DEBT FUND A	0.00	0.84	0.00	0.84	0.0	0.84
11/14/2016	SAURMAN, PAMELA	MFS EMERGING MARKETS DEBT FUND A	0.00	0.87	0.00	0.87	0.0	0.87
12/19/2016	SAURMAN, PAMELA	MFS EMERGING MARKETS DEBT FUND A	0.00	0.82	0.00	0.82	0.0	0.82
02/08/2016	FRIEL, JEREMY	MFS EQUITY OPPORTUNITIES A	0.00	0.19	0.00	0.19	0.0	0.19
03/14/2016	FRIEL, JEREMY	MFS EQUITY OPPORTUNITIES A	0.00	0.17	0.00	0.17	0.0	0.17
04/15/2016	FRIEL, JEREMY	MFS EQUITY OPPORTUNITIES A	0.00	0.20	0.00	0.20	0.0	0.20
05/17/2016	FRIEL, JEREMY	MFS EQUITY OPPORTUNITIES A	0.00	0.20	0.00	0.20	0.0	0.20
06/16/2016	FRIEL, JEREMY	MFS EQUITY OPPORTUNITIES A	0.00	0.21	0.00	0.21	0.0	0.21
07/20/2016	FRIEL, JEREMY	MFS EQUITY OPPORTUNITIES A	0.00	0.20	0.00	0.20	0.0	0.20
08/16/2016	FRIEL, JEREMY	MFS EQUITY OPPORTUNITIES A	0.00	0.22	0.00	0.22	0.0	0.22
09/15/2016	FRIEL, JEREMY	MFS EQUITY OPPORTUNITIES A	0.00	0.22	0.00	0.22	0.0	0.22
10/20/2016	FRIEL, JEREMY	MFS EQUITY OPPORTUNITIES A	0.00	0.21	0.00	0.21	0.0	0.21
11/14/2016	FRIEL, JEREMY	MFS EQUITY OPPORTUNITIES A	0.00	0.22	0.00	0.22	0.0	0.22
12/19/2016	FRIEL, JEREMY	MFS EQUITY OPPORTUNITIES A	0.00	0.21	0.00	0.21	0.0	0.21
02/08/2016	FRIEL, JEREMY	MFS INTERNATIONAL DIVERSIFICATION A	0.00	0.20	0.00	0.20	0.0	0.20
02/08/2016	FOUST, KRISTIN	MFS INTERNATIONAL DIVERSIFICATION A	0.00	1.11	0.00	1.11	0.0	1.11
02/08/2016	BROWN, JAMIE	MFS INTERNATIONAL DIVERSIFICATION A	0.00	0.85	0.00	0.85	0.0	0.85
02/08/2016	GAWEL, IRENE	MFS INTERNATIONAL DIVERSIFICATION A	0.00	3.86	0.00	3.86	0.0	3.86
03/14/2016	FRIEL, JEREMY	MFS INTERNATIONAL DIVERSIFICATION A	0.00	0.18	0.00	0.18	0.0	0.18
03/14/2016	FOUST, KRISTIN	MFS INTERNATIONAL DIVERSIFICATION A	0.00	1.03	0.00	1.03	0.0	1.03

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<u> OVERRIDE TRANSACTIONS </u>								
<u>BROKER: GREGORY FRIEL #223</u>								
03/14/2016	BROWN, JAMIE	MFS INTERNATIONAL DIVERSIFICATION A	0.00	0.79	0.00	0.79	0.0	0.79
03/14/2016	GAWEL, IRENE	MFS INTERNATIONAL DIVERSIFICATION A	0.00	3.57	0.00	3.57	0.0	3.57
04/15/2016	FRIEL, JEREMY	MFS INTERNATIONAL DIVERSIFICATION A	0.00	0.20	0.00	0.20	0.0	0.20
04/15/2016	FOUST, KRISTIN	MFS INTERNATIONAL DIVERSIFICATION A	0.00	1.16	0.00	1.16	0.0	1.16
04/15/2016	BROWN, JAMIE	MFS INTERNATIONAL DIVERSIFICATION A	0.00	0.89	0.00	0.89	0.0	0.89
04/15/2016	GAWEL, IRENE	MFS INTERNATIONAL DIVERSIFICATION A	0.00	4.04	0.00	4.04	0.0	4.04
05/17/2016	FRIEL, JEREMY	MFS INTERNATIONAL DIVERSIFICATION A	0.00	0.20	0.00	0.20	0.0	0.20
05/17/2016	FOUST, KRISTIN	MFS INTERNATIONAL DIVERSIFICATION A	0.00	1.15	0.00	1.15	0.0	1.15
05/17/2016	BROWN, JAMIE	MFS INTERNATIONAL DIVERSIFICATION A	0.00	0.88	0.00	0.88	0.0	0.88
05/17/2016	GAWEL, IRENE	MFS INTERNATIONAL DIVERSIFICATION A	0.00	4.01	0.00	4.01	0.0	4.01
06/16/2016	FRIEL, JEREMY	MFS INTERNATIONAL DIVERSIFICATION A	0.00	0.21	0.00	0.21	0.0	0.21
06/16/2016	FOUST, KRISTIN	MFS INTERNATIONAL DIVERSIFICATION A	0.00	1.19	0.00	1.19	0.0	1.19
06/16/2016	BROWN, JAMIE	MFS INTERNATIONAL DIVERSIFICATION A	0.00	0.91	0.00	0.91	0.0	0.91
06/16/2016	GAWEL, IRENE	MFS INTERNATIONAL DIVERSIFICATION A	0.00	4.13	0.00	4.13	0.0	4.13
07/20/2016	FRIEL, JEREMY	MFS INTERNATIONAL DIVERSIFICATION A	0.00	0.20	0.00	0.20	0.0	0.20
07/20/2016	FOUST, KRISTIN	MFS INTERNATIONAL DIVERSIFICATION A	0.00	1.15	0.00	1.15	0.0	1.15
07/20/2016	BROWN, JAMIE	MFS INTERNATIONAL DIVERSIFICATION A	0.00	0.88	0.00	0.88	0.0	0.88
07/20/2016	GAWEL, IRENE	MFS INTERNATIONAL DIVERSIFICATION A	0.00	4.01	0.00	4.01	0.0	4.01
08/16/2016	FRIEL, JEREMY	MFS INTERNATIONAL DIVERSIFICATION A	0.00	0.21	0.00	0.21	0.0	0.21
08/16/2016	FOUST, KRISTIN	MFS INTERNATIONAL DIVERSIFICATION A	0.00	1.22	0.00	1.22	0.0	1.22
08/16/2016	BROWN, JAMIE	MFS INTERNATIONAL DIVERSIFICATION A	0.00	0.93	0.00	0.93	0.0	0.93
08/16/2016	GAWEL, IRENE	MFS INTERNATIONAL DIVERSIFICATION A	0.00	4.22	0.00	4.22	0.0	4.22
09/15/2016	FRIEL, JEREMY	MFS INTERNATIONAL DIVERSIFICATION A	0.00	0.22	0.00	0.22	0.0	0.22
09/15/2016	FOUST, KRISTIN	MFS INTERNATIONAL DIVERSIFICATION A	0.00	1.26	0.00	1.26	0.0	1.26
09/15/2016	BROWN, JAMIE	MFS INTERNATIONAL DIVERSIFICATION A	0.00	0.96	0.00	0.96	0.0	0.96
09/15/2016	GAWEL, IRENE	MFS INTERNATIONAL DIVERSIFICATION A	0.00	4.37	0.00	4.37	0.0	4.37
10/20/2016	FRIEL, JEREMY	MFS INTERNATIONAL DIVERSIFICATION A	0.00	0.21	0.00	0.21	0.0	0.21
10/20/2016	FOUST, KRISTIN	MFS INTERNATIONAL DIVERSIFICATION A	0.00	1.22	0.00	1.22	0.0	1.22
10/20/2016	BROWN, JAMIE	MFS INTERNATIONAL DIVERSIFICATION A	0.00	0.93	0.00	0.93	0.0	0.93
10/20/2016	GAWEL, IRENE	MFS INTERNATIONAL DIVERSIFICATION A	0.00	4.24	0.00	4.24	0.0	4.24
11/14/2016	FRIEL, JEREMY	MFS INTERNATIONAL DIVERSIFICATION A	0.00	0.22	0.00	0.22	0.0	0.22
11/14/2016	FOUST, KRISTIN	MFS INTERNATIONAL DIVERSIFICATION A	0.00	1.24	0.00	1.24	0.0	1.24
11/14/2016	BROWN, JAMIE	MFS INTERNATIONAL DIVERSIFICATION A	0.00	0.31	0.00	0.31	0.0	0.31

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

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u> OVERRIDE TRANSACTIONS </u>								
<u> BROKER: GREGORY FRIEL #223 </u>								
11/14/2016	GAWEL, IRENE	MFS INTERNATIONAL DIVERSIFICATION A	0.00	4.32	0.00	4.32	0.0	4.32
12/19/2016	FRIEL, JEREMY	MFS INTERNATIONAL DIVERSIFICATION A	0.00	0.20	0.00	0.20	0.0	0.20
12/19/2016	FOUST, KRISTIN	MFS INTERNATIONAL DIVERSIFICATION A	0.00	1.16	0.00	1.16	0.0	1.16
12/19/2016	GAWEL, IRENE	MFS INTERNATIONAL DIVERSIFICATION A	0.00	4.02	0.00	4.02	0.0	4.02
02/08/2016	KNAPP, KEVIN	MFS LIMITED MATURITY A	0.00	1.54	0.00	1.54	0.0	1.54
02/08/2016	MCGUANE, JUDY	MFS LIMITED MATURITY A	0.00	1.92	0.00	1.92	0.0	1.92
03/14/2016	KNAPP, KEVIN	MFS LIMITED MATURITY A	0.00	1.45	0.00	1.45	0.0	1.45
03/14/2016	MCGUANE, JUDY	MFS LIMITED MATURITY A	0.00	1.80	0.00	1.80	0.0	1.80
04/15/2016	KNAPP, KEVIN	MFS LIMITED MATURITY A	0.00	1.55	0.00	1.55	0.0	1.55
04/15/2016	MCGUANE, JUDY	MFS LIMITED MATURITY A	0.00	1.93	0.00	1.93	0.0	1.93
05/17/2016	KNAPP, KEVIN	MFS LIMITED MATURITY A	0.00	1.00	0.00	1.00	0.0	1.00
05/17/2016	MCGUANE, JUDY	MFS LIMITED MATURITY A	0.00	1.88	0.00	1.88	0.0	1.88
06/16/2016	MCGUANE, JUDY	MFS LIMITED MATURITY A	0.00	1.44	0.00	1.44	0.0	1.44
02/08/2016	BROMMER, STEVEN	MFS MODERATE ALLOCATION A	0.00	20.18	0.00	20.18	0.0	20.18
02/08/2016	FRIEL, JEREMY	MFS MODERATE ALLOCATION A	0.00	7.24	0.00	7.24	0.0	7.24
02/08/2016	FRIEL, SHELLEY	MFS MODERATE ALLOCATION A	0.00	0.20	0.00	0.20	0.0	0.20
02/08/2016	FRIEL, SHELLEY	MFS MODERATE ALLOCATION A	0.00	9.19	0.00	9.19	0.0	9.19
02/08/2016	GAWEL, IRENE	MFS MODERATE ALLOCATION A	0.00	2.75	0.00	2.75	0.0	2.75
02/08/2016	MCGUANE, JUDY	MFS MODERATE ALLOCATION A	0.00	0.77	0.00	0.77	0.0	0.77
02/08/2016	BAKER, RODNEY	MFS MODERATE ALLOCATION A	0.00	1.77	0.00	1.77	0.0	1.77
02/08/2016	SAURMAN, J DOUGLAS	MFS MODERATE ALLOCATION A	0.00	1.99	0.00	1.99	0.0	1.99
02/08/2016	SAURMAN, PAMELA	MFS MODERATE ALLOCATION A	0.00	0.99	0.00	0.99	0.0	0.99
03/14/2016	BROMMER, STEVEN	MFS MODERATE ALLOCATION A	0.00	18.76	0.00	18.76	0.0	18.76
03/14/2016	FRIEL, JEREMY	MFS MODERATE ALLOCATION A	0.00	6.73	0.00	6.73	0.0	6.73
03/14/2016	FRIEL, SHELLEY	MFS MODERATE ALLOCATION A	0.00	0.18	0.00	0.18	0.0	0.18
03/14/2016	FRIEL, SHELLEY	MFS MODERATE ALLOCATION A	0.00	8.55	0.00	8.55	0.0	8.55
03/14/2016	GAWEL, IRENE	MFS MODERATE ALLOCATION A	0.00	2.56	0.00	2.56	0.0	2.56
03/14/2016	MCGUANE, JUDY	MFS MODERATE ALLOCATION A	0.00	0.72	0.00	0.72	0.0	0.72
03/14/2016	BAKER, RODNEY	MFS MODERATE ALLOCATION A	0.00	1.65	0.00	1.65	0.0	1.65
03/14/2016	SAURMAN, J DOUGLAS	MFS MODERATE ALLOCATION A	0.00	1.85	0.00	1.85	0.0	1.85
03/14/2016	SAURMAN, PAMELA	MFS MODERATE ALLOCATION A	0.00	0.92	0.00	0.92	0.0	0.92
04/15/2016	BROMMER, STEVEN	MFS MODERATE ALLOCATION A	0.00	18.20	0.00	18.20	0.0	18.20
04/15/2016	FRIEL, JEREMY	MFS MODERATE ALLOCATION A	0.00	7.51	0.00	7.51	0.0	7.51

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u> OVERRIDE TRANSACTIONS </u>								
<u>BROKER: GREGORY FRIEL #223</u>								
04/15/2016	FRIEL, SHELLEY	MFS MODERATE ALLOCATION A	0.00	0.20	0.00	0.20	0.0	0.20
04/15/2016	FRIEL, SHELLEY	MFS MODERATE ALLOCATION A	0.00	9.54	0.00	9.54	0.0	9.54
04/15/2016	GAWEL, IRENE	MFS MODERATE ALLOCATION A	0.00	2.85	0.00	2.85	0.0	2.85
04/15/2016	MCGUANE, JUDY	MFS MODERATE ALLOCATION A	0.00	0.80	0.00	0.80	0.0	0.80
04/15/2016	BAKER, RODNEY	MFS MODERATE ALLOCATION A	0.00	0.76	0.00	0.76	0.0	0.76
04/15/2016	SAURMAN, J DOUGLAS	MFS MODERATE ALLOCATION A	0.00	2.06	0.00	2.06	0.0	2.06
04/15/2016	SAURMAN, PAMELA	MFS MODERATE ALLOCATION A	0.00	1.03	0.00	1.03	0.0	1.03
05/17/2016	FRIEL, JEREMY	MFS MODERATE ALLOCATION A	0.00	7.44	0.00	7.44	0.0	7.44
05/17/2016	FRIEL, SHELLEY	MFS MODERATE ALLOCATION A	0.00	0.20	0.00	0.20	0.0	0.20
05/17/2016	FRIEL, SHELLEY	MFS MODERATE ALLOCATION A	0.00	9.45	0.00	9.45	0.0	9.45
05/17/2016	GAWEL, IRENE	MFS MODERATE ALLOCATION A	0.00	2.83	0.00	2.83	0.0	2.83
05/17/2016	MCGUANE, JUDY	MFS MODERATE ALLOCATION A	0.00	0.79	0.00	0.79	0.0	0.79
05/17/2016	SAURMAN, J DOUGLAS	MFS MODERATE ALLOCATION A	0.00	2.04	0.00	2.04	0.0	2.04
05/17/2016	SAURMAN, PAMELA	MFS MODERATE ALLOCATION A	0.00	1.02	0.00	1.02	0.0	1.02
06/16/2016	FRIEL, JEREMY	MFS MODERATE ALLOCATION A	0.00	7.73	0.00	7.73	0.0	7.73
06/16/2016	FRIEL, SHELLEY	MFS MODERATE ALLOCATION A	0.00	0.21	0.00	0.21	0.0	0.21
06/16/2016	FRIEL, SHELLEY	MFS MODERATE ALLOCATION A	0.00	9.81	0.00	9.81	0.0	9.81
06/16/2016	GAWEL, IRENE	MFS MODERATE ALLOCATION A	0.00	2.93	0.00	2.93	0.0	2.93
06/16/2016	MCGUANE, JUDY	MFS MODERATE ALLOCATION A	0.00	0.61	0.00	0.61	0.0	0.61
06/16/2016	SAURMAN, J DOUGLAS	MFS MODERATE ALLOCATION A	0.00	2.12	0.00	2.12	0.0	2.12
06/16/2016	SAURMAN, PAMELA	MFS MODERATE ALLOCATION A	0.00	1.05	0.00	1.05	0.0	1.05
07/20/2016	FRIEL, JEREMY	MFS MODERATE ALLOCATION A	0.00	7.55	0.00	7.55	0.0	7.55
07/20/2016	FRIEL, SHELLEY	MFS MODERATE ALLOCATION A	0.00	0.21	0.00	0.21	0.0	0.21
07/20/2016	FRIEL, SHELLEY	MFS MODERATE ALLOCATION A	0.00	9.58	0.00	9.58	0.0	9.58
07/20/2016	GAWEL, IRENE	MFS MODERATE ALLOCATION A	0.00	2.87	0.00	2.87	0.0	2.87
07/20/2016	SAURMAN, J DOUGLAS	MFS MODERATE ALLOCATION A	0.00	2.07	0.00	2.07	0.0	2.07
07/20/2016	SAURMAN, PAMELA	MFS MODERATE ALLOCATION A	0.00	1.03	0.00	1.03	0.0	1.03
08/16/2016	FRIEL, JEREMY	MFS MODERATE ALLOCATION A	0.00	7.96	0.00	7.96	0.0	7.96
08/16/2016	FRIEL, SHELLEY	MFS MODERATE ALLOCATION A	0.00	0.22	0.00	0.22	0.0	0.22
08/16/2016	FRIEL, SHELLEY	MFS MODERATE ALLOCATION A	0.00	10.11	0.00	10.11	0.0	10.11
08/16/2016	GAWEL, IRENE	MFS MODERATE ALLOCATION A	0.00	3.02	0.00	3.02	0.0	3.02
08/16/2016	SAURMAN, J DOUGLAS	MFS MODERATE ALLOCATION A	0.00	2.18	0.00	2.18	0.0	2.18
08/16/2016	SAURMAN, PAMELA	MFS MODERATE ALLOCATION A	0.00	1.09	0.00	1.09	0.0	1.09

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<u>VERRIDE TRANSACTIONS</u>								
<u>BROKER: GREGORY FRIEL #223</u>								
09/15/2016	FRIEL, JEREMY	MFS MODERATE ALLOCATION A	0.00	8.07	0.00	8.07	0.0	8.07
09/15/2016	FRIEL, SHELLEY	MFS MODERATE ALLOCATION A	0.00	0.22	0.00	0.22	0.0	0.22
09/15/2016	FRIEL, SHELLEY	MFS MODERATE ALLOCATION A	0.00	10.24	0.00	10.24	0.0	10.24
09/15/2016	GAWEL, IRENE	MFS MODERATE ALLOCATION A	0.00	3.06	0.00	3.06	0.0	3.06
09/15/2016	SAURMAN, J DOUGLAS	MFS MODERATE ALLOCATION A	0.00	2.21	0.00	2.21	0.0	2.21
09/15/2016	SAURMAN, PAMELA	MFS MODERATE ALLOCATION A	0.00	1.10	0.00	1.10	0.0	1.10
10/20/2016	FRIEL, JEREMY	MFS MODERATE ALLOCATION A	0.00	7.78	0.00	7.78	0.0	7.78
10/20/2016	FRIEL, SHELLEY	MFS MODERATE ALLOCATION A	0.00	0.21	0.00	0.21	0.0	0.21
10/20/2016	FRIEL, SHELLEY	MFS MODERATE ALLOCATION A	0.00	9.87	0.00	9.87	0.0	9.87
10/20/2016	GAWEL, IRENE	MFS MODERATE ALLOCATION A	0.00	2.96	0.00	2.96	0.0	2.96
10/20/2016	SAURMAN, J DOUGLAS	MFS MODERATE ALLOCATION A	0.00	2.13	0.00	2.13	0.0	2.13
10/20/2016	SAURMAN, PAMELA	MFS MODERATE ALLOCATION A	0.00	1.06	0.00	1.06	0.0	1.06
11/14/2016	FRIEL, JEREMY	MFS MODERATE ALLOCATION A	0.00	7.99	0.00	7.99	0.0	7.99
11/14/2016	FRIEL, SHELLEY	MFS MODERATE ALLOCATION A	0.00	0.22	0.00	0.22	0.0	0.22
11/14/2016	FRIEL, SHELLEY	MFS MODERATE ALLOCATION A	0.00	10.15	0.00	10.15	0.0	10.15
11/14/2016	GAWEL, IRENE	MFS MODERATE ALLOCATION A	0.00	3.04	0.00	3.04	0.0	3.04
11/14/2016	SAURMAN, J DOUGLAS	MFS MODERATE ALLOCATION A	0.00	2.19	0.00	2.19	0.0	2.19
11/14/2016	SAURMAN, PAMELA	MFS MODERATE ALLOCATION A	0.00	1.09	0.00	1.09	0.0	1.09
12/19/2016	FRIEL, JEREMY	MFS MODERATE ALLOCATION A	0.00	7.64	0.00	7.64	0.0	7.64
12/19/2016	FRIEL, SHELLEY	MFS MODERATE ALLOCATION A	0.00	0.21	0.00	0.21	0.0	0.21
12/19/2016	FRIEL, SHELLEY	MFS MODERATE ALLOCATION A	0.00	9.70	0.00	9.70	0.0	9.70
12/19/2016	GAWEL, IRENE	MFS MODERATE ALLOCATION A	0.00	2.90	0.00	2.90	0.0	2.90
12/19/2016	SAURMAN, J DOUGLAS	MFS MODERATE ALLOCATION A	0.00	2.10	0.00	2.10	0.0	2.10
12/19/2016	SAURMAN, PAMELA	MFS MODERATE ALLOCATION A	0.00	1.04	0.00	1.04	0.0	1.04
02/08/2016	MCGUANE, JUDY	MFS TOTAL RETURN A	0.00	3.94	0.00	3.94	0.0	3.94
03/14/2016	MCGUANE, JUDY	MFS TOTAL RETURN A	0.00	3.69	0.00	3.69	0.0	3.69
04/15/2016	MCGUANE, JUDY	MFS TOTAL RETURN A	0.00	4.10	0.00	4.10	0.0	4.10
05/17/2016	MCGUANE, JUDY	MFS TOTAL RETURN A	0.00	4.06	0.00	4.06	0.0	4.06
06/16/2016	MCGUANE, JUDY	MFS TOTAL RETURN A	0.00	3.12	0.00	3.12	0.0	3.12
03/09/2016	SAURMAN, PAMELA	WILLIAM BLAIR INCOME FUND CLASS N	0.00	0.01	0.00	0.01	0.0	0.01
05/03/2016	SAURMAN, PAMELA	WILLIAM BLAIR INCOME FUND CLASS N	0.00	0.01	0.00	0.01	0.0	0.01
06/23/2016	SAURMAN, PAMELA	WILLIAM BLAIR INCOME FUND CLASS N	0.00	0.01	0.00	0.01	0.0	0.01
* GREGORY FRIEL SUBTOTAL *			\$0.00	\$1,164.42	\$0.00	\$1,164.42		\$1,164.42

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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 CRAWFORD #225</u>								
02/16/2016	DEMARSH, PAUL	AM FUNDS SMALLCAP WORLD A	0.00	3.26	0.00	3.26	0.0	3.26
03/15/2016	DEMARSH, PAUL	AM FUNDS SMALLCAP WORLD A	0.00	2.91	0.00	2.91	0.0	2.91
04/20/2016	DEMARSH, PAUL	AM FUNDS SMALLCAP WORLD A	0.00	3.34	0.00	3.34	0.0	3.34
05/16/2016	DEMARSH, PAUL	AM FUNDS SMALLCAP WORLD A	0.00	3.37	0.00	3.37	0.0	3.37
06/15/2016	DEMARSH, PAUL	AM FUNDS SMALLCAP WORLD A	0.00	3.46	0.00	3.46	0.0	3.46
07/18/2016	DEMARSH, PAUL	AM FUNDS SMALLCAP WORLD A	0.00	3.42	0.00	3.42	0.0	3.42
08/15/2016	DEMARSH, PAUL	AM FUNDS SMALLCAP WORLD A	0.00	3.61	0.00	3.61	0.0	3.61
09/16/2016	DEMARSH, PAUL	AM FUNDS SMALLCAP WORLD A	0.00	3.75	0.00	3.75	0.0	3.75
10/17/2016	DEMARSH, PAUL	AM FUNDS SMALLCAP WORLD A	0.00	3.66	0.00	3.66	0.0	3.66
11/18/2016	DEMARSH, PAUL	AM FUNDS SMALLCAP WORLD A	0.00	3.76	0.00	3.76	0.0	3.76
12/15/2016	DEMARSH, PAUL	AM FUNDS SMALLCAP WORLD A	0.00	3.58	0.00	3.58	0.0	3.58
02/16/2016	CARRIKER, AARON	FRANKLIN MUTUAL BEACON C	0.00	2.35	0.00	2.35	0.0	2.35
03/16/2016	CARRIKER, AARON	FRANKLIN MUTUAL BEACON C	0.00	2.14	0.00	2.14	0.0	2.14
04/15/2016	CARRIKER, AARON	FRANKLIN MUTUAL BEACON C	0.00	2.47	0.00	2.47	0.0	2.47
05/13/2016	CARRIKER, AARON	FRANKLIN MUTUAL BEACON C	0.00	2.47	0.00	2.47	0.0	2.47
06/14/2016	CARRIKER, AARON	FRANKLIN MUTUAL BEACON C	0.00	2.54	0.00	2.54	0.0	2.54
07/14/2016	CARRIKER, AARON	FRANKLIN MUTUAL BEACON C	0.00	2.48	0.00	2.48	0.0	2.48
08/15/2016	CARRIKER, AARON	FRANKLIN MUTUAL BEACON C	0.00	2.64	0.00	2.64	0.0	2.64
09/14/2016	CARRIKER, AARON	FRANKLIN MUTUAL BEACON C	0.00	2.71	0.00	2.71	0.0	2.71
10/18/2016	CARRIKER, AARON	FRANKLIN MUTUAL BEACON C	0.00	2.64	0.00	2.64	0.0	2.64
11/15/2016	CARRIKER, AARON	FRANKLIN MUTUAL BEACON C	0.00	2.72	0.00	2.72	0.0	2.72
12/16/2016	CARRIKER, AARON	FRANKLIN MUTUAL BEACON C	0.00	2.65	0.00	2.65	0.0	2.65
02/12/2016	DEMARSH, PAUL	WELLS FARGO TOTAL RETURN BOND A	0.00	0.01	0.00	0.01	0.0	0.01
03/16/2016	DEMARSH, PAUL	WELLS FARGO TOTAL RETURN BOND A	0.00	0.01	0.00	0.01	0.0	0.01
04/15/2016	DEMARSH, PAUL	WELLS FARGO TOTAL RETURN BOND A	0.00	0.01	0.00	0.01	0.0	0.01
05/16/2016	DEMARSH, PAUL	WELLS FARGO TOTAL RETURN BOND A	0.00	0.01	0.00	0.01	0.0	0.01
06/14/2016	DEMARSH, PAUL	WELLS FARGO TOTAL RETURN BOND A	0.00	0.01	0.00	0.01	0.0	0.01
07/18/2016	DEMARSH, PAUL	WELLS FARGO TOTAL RETURN BOND A	0.00	0.01	0.00	0.01	0.0	0.01
08/15/2016	DEMARSH, PAUL	WELLS FARGO TOTAL RETURN BOND A	0.00	0.01	0.00	0.01	0.0	0.01
09/15/2016	DEMARSH, PAUL	WELLS FARGO TOTAL RETURN BOND A	0.00	0.01	0.00	0.01	0.0	0.01
10/12/2016	DEMARSH, PAUL	WELLS FARGO TOTAL RETURN BOND A	0.00	0.01	0.00	0.01	0.0	0.01
11/16/2016	DEMARSH, PAUL	WELLS FARGO TOTAL RETURN BOND A	0.00	0.01	0.00	0.01	0.0	0.01
12/14/2016	DEMARSH, PAUL	WELLS FARGO TOTAL RETURN BOND A	0.00	0.01	0.00	0.01	0.0	0.01

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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>								
		* JAMES CRAWFORD SUBTOTAL *	\$0.00	\$66.04	\$0.00	\$66.04		\$66.04
<u>BROKER: WILLIAM THOMAS #239</u>								
02/16/2018	KUPPE, MARK	NWL BOA NG FP VUL	200.00	4.00	0.00	4.00	0.0	4.00
		* WILLIAM THOMAS SUBTOTAL *	\$200.00	\$4.00	\$0.00	\$4.00		\$4.00
<u>BROKER: B151-JASON/MARIA BAIRD/BONGIOVANNI #240</u>								
02/07/2018	BRINICH, EVA	NW LA YOUR LIFE PROTECTION	100.00	1.00	0.00	1.00	0.0	1.00
02/15/2018	COCHRILL, MELANIE	NWL NEXT GEN II FP VUL	30.00	0.90	0.00	0.90	0.0	0.90
02/16/2018	BAIRD, KATHRYN	NWL NEXT GEN II FP VUL	142.00	2.84	0.00	2.84	0.0	2.84
02/03/2018	ONDOSKEY, TARA	NWL YOURLIFE ACCUM VUL	125.00	1.25	0.00	1.25	0.0	1.25
02/07/2018	GREENBLATT JR, ROLAND	NWL YOURLIFE ACCUM VUL	110.58	1.11	0.00	1.11	0.0	1.11
02/07/2018	GREENBLATT JR, ROLAND	NWL YOURLIFE ACCUM VUL	350.00	1.75	0.00	1.75	0.0	1.75
02/15/2018	RICCI, SARAH	NWL YOURLIFE ACCUM VUL	492.24	4.92	0.00	4.92	0.0	4.92
02/16/2018	RICCI, SARAH	NWL YOURLIFE ACCUM VUL	88.83	0.89	0.00	0.89	0.0	0.89
		* B151-JASON/MARIA BAIRD/BONGIOVANNI SUBTOTAL *	\$1,438.65	\$14.66	\$0.00	\$14.66		\$14.66
<u>BROKER: ROSS (RJ) WOLFE #279</u>								
02/08/2016	FUEHRER, PATSY	MFS GLOBAL ALTERNATIVE STRATEGY FUN	0.00	0.03	0.00	0.03	0.0	0.03
03/14/2016	FUEHRER, PATSY	MFS GLOBAL ALTERNATIVE STRATEGY FUN	0.00	0.02	0.00	0.02	0.0	0.02
04/15/2016	FUEHRER, PATSY	MFS GLOBAL ALTERNATIVE STRATEGY FUN	0.00	0.01	0.00	0.01	0.0	0.01
		* ROSS (RJ) WOLFE SUBTOTAL *	\$0.00	\$0.06	\$0.00	\$0.06		\$0.06
<u>BROKER: MICHAEL O'CALLAGHAN #305</u>								
05/23/2016	RUSO, JOSEPH	ALGER CHINA US GROWTH A	0.00	1.11	0.00	1.11	0.0	1.11
06/22/2016	RUSO, JOSEPH	ALGER CHINA US GROWTH A	0.00	3.76	0.00	3.76	0.0	3.76
07/28/2016	RUSO, JOSEPH	ALGER CHINA US GROWTH A	0.00	3.65	0.00	3.65	0.0	3.65
08/22/2016	RUSO, JOSEPH	ALGER CHINA US GROWTH A	0.00	3.84	0.00	3.84	0.0	3.84
09/23/2016	RUSO, JOSEPH	ALGER CHINA US GROWTH A	0.00	3.90	0.00	3.90	0.0	3.90
10/31/2016	RUSO, JOSEPH	ALGER CHINA US GROWTH A	0.00	3.75	0.00	3.75	0.0	3.75
11/30/2016	RUSO, JOSEPH	ALGER CHINA US GROWTH A	0.00	0.63	0.00	0.63	0.0	0.63
05/16/2016	RUSO, JOSEPH	AM FUNDS AMCAP C	0.00	4.63	0.00	4.63	0.0	4.63
06/15/2016	RUSO, JOSEPH	AM FUNDS AMCAP C	0.00	15.73	0.00	15.73	0.0	15.73
07/18/2016	RUSO, JOSEPH	AM FUNDS AMCAP C	0.00	15.42	0.00	15.42	0.0	15.42
08/15/2016	RUSO, JOSEPH	AM FUNDS AMCAP C	0.00	16.18	0.00	16.18	0.0	16.18

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u> OVERRIDE TRANSACTIONS </u>								
<u>BROKER: MICHAEL O'CALLAGHAN #305</u>								
09/16/2016	RUSO, JOSEPH	AM FUNDS AMCAP C	0.00	16.55	0.00	16.55	0.0	16.55
10/17/2016	RUSO, JOSEPH	AM FUNDS AMCAP C	0.00	15.90	0.00	15.90	0.0	15.90
11/18/2016	RUSO, JOSEPH	AM FUNDS AMCAP C	0.00	2.68	0.00	2.68	0.0	2.68
07/18/2016	BREDEMEIER, LYDIA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.43	0.00	0.43	0.0	0.43
08/15/2016	BREDEMEIER, LYDIA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.53	0.00	1.53	0.0	1.53
09/16/2016	BREDEMEIER, LYDIA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.54	0.00	1.54	0.0	1.54
10/17/2016	BREDEMEIER, LYDIA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.47	0.00	1.47	0.0	1.47
11/18/2016	BREDEMEIER, LYDIA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.24	0.00	0.24	0.0	0.24
04/20/2016	DEERING, ELLEN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.54	0.00	1.54	0.0	1.54
05/16/2016	DEERING, ELLEN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.04	0.00	2.04	0.0	2.04
06/15/2016	DEERING, ELLEN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.10	0.00	2.10	0.0	2.10
07/18/2016	DEERING, ELLEN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.04	0.00	2.04	0.0	2.04
08/15/2016	DEERING, ELLEN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.17	0.00	2.17	0.0	2.17
09/16/2016	DEERING, ELLEN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.22	0.00	2.22	0.0	2.22
10/17/2016	DEERING, ELLEN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.51	0.00	0.51	0.0	0.51
04/06/2016	SASSONE, ROCCO	CATALYST INSIDER BUYING FUND CLASS	0.00	0.12	0.00	0.12	0.0	0.12
05/05/2016	SASSONE, ROCCO	CATALYST INSIDER BUYING FUND CLASS	0.00	1.81	0.00	1.81	0.0	1.81
06/06/2016	SASSONE, ROCCO	CATALYST INSIDER BUYING FUND CLASS	0.00	1.82	0.00	1.82	0.0	1.82
07/05/2016	SASSONE, ROCCO	CATALYST INSIDER BUYING FUND CLASS	0.00	1.78	0.00	1.78	0.0	1.78
08/04/2016	SASSONE, ROCCO	CATALYST INSIDER BUYING FUND CLASS	0.00	1.90	0.00	1.90	0.0	1.90
09/06/2016	SASSONE, ROCCO	CATALYST INSIDER BUYING FUND CLASS	0.00	1.91	0.00	1.91	0.0	1.91
10/07/2016	SASSONE, ROCCO	CATALYST INSIDER BUYING FUND CLASS	0.00	0.49	0.00	0.49	0.0	0.49
04/06/2016	DEERING, ELLEN	EVENTIDE GILEAD FUND CLASS A	0.00	2.39	0.00	2.39	0.0	2.39
04/06/2016	MARKILLIE, JOHN	EVENTIDE GILEAD FUND CLASS A	0.00	0.10	0.00	0.10	0.0	0.10
04/06/2016	VERHULP, MISTEE	EVENTIDE GILEAD FUND CLASS A	0.00	0.73	0.00	0.73	0.0	0.73
04/06/2016	HODGKINS, STEPHEN	EVENTIDE GILEAD FUND CLASS A	0.00	0.95	0.00	0.95	0.0	0.95
04/06/2016	SASSONE, ROCCO	EVENTIDE GILEAD FUND CLASS A	0.00	0.16	0.00	0.16	0.0	0.16
05/05/2016	MATTSON, DAVID	EVENTIDE GILEAD FUND CLASS A	0.00	0.05	0.00	0.05	0.0	0.05
05/05/2016	DEERING, ELLEN	EVENTIDE GILEAD FUND CLASS A	0.00	4.14	0.00	4.14	0.0	4.14
05/05/2016	MARKILLIE, JOHN	EVENTIDE GILEAD FUND CLASS A	0.00	1.04	0.00	1.04	0.0	1.04
05/05/2016	VERHULP, MISTEE	EVENTIDE GILEAD FUND CLASS A	0.00	2.26	0.00	2.26	0.0	2.26
05/05/2016	HODGKINS, STEPHEN	EVENTIDE GILEAD FUND CLASS A	0.00	1.98	0.00	1.98	0.0	1.98
05/05/2016	SASSONE, ROCCO	EVENTIDE GILEAD FUND CLASS A	0.00	2.42	0.00	2.42	0.0	2.42

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<u>VERRIDE TRANSACTIONS</u>								
<u>BROKER: MICHAEL O'CALLAGHAN #305</u>								
06/06/2016	MATTSON, DAVID	EVENTIDE GILEAD FUND CLASS A	0.00	0.39	0.00	0.39	0.0	0.39
06/06/2016	DEERING, ELLEN	EVENTIDE GILEAD FUND CLASS A	0.00	4.16	0.00	4.16	0.0	4.16
06/06/2016	MARKILLIE, JOHN	EVENTIDE GILEAD FUND CLASS A	0.00	1.04	0.00	1.04	0.0	1.04
06/06/2016	VERHULP, MISTEE	EVENTIDE GILEAD FUND CLASS A	0.00	2.27	0.00	2.27	0.0	2.27
06/06/2016	HODGKINS, STEPHEN	EVENTIDE GILEAD FUND CLASS A	0.00	1.99	0.00	1.99	0.0	1.99
06/06/2016	SASSONE, ROCCO	EVENTIDE GILEAD FUND CLASS A	0.00	2.43	0.00	2.43	0.0	2.43
07/05/2016	MATTSON, DAVID	EVENTIDE GILEAD FUND CLASS A	0.00	0.39	0.00	0.39	0.0	0.39
07/05/2016	DEERING, ELLEN	EVENTIDE GILEAD FUND CLASS A	0.00	4.10	0.00	4.10	0.0	4.10
07/05/2016	MARKILLIE, JOHN	EVENTIDE GILEAD FUND CLASS A	0.00	1.02	0.00	1.02	0.0	1.02
07/05/2016	VERHULP, MISTEE	EVENTIDE GILEAD FUND CLASS A	0.00	2.24	0.00	2.24	0.0	2.24
07/05/2016	HODGKINS, STEPHEN	EVENTIDE GILEAD FUND CLASS A	0.00	1.96	0.00	1.96	0.0	1.96
07/05/2016	SASSONE, ROCCO	EVENTIDE GILEAD FUND CLASS A	0.00	2.39	0.00	2.39	0.0	2.39
08/29/2016	MATTSON, DAVID	EVENTIDE GILEAD FUND CLASS A	0.00	0.41	0.00	0.41	0.0	0.41
08/29/2016	DEERING, ELLEN	EVENTIDE GILEAD FUND CLASS A	0.00	4.35	0.00	4.35	0.0	4.35
08/29/2016	MARKILLIE, JOHN	EVENTIDE GILEAD FUND CLASS A	0.00	1.09	0.00	1.09	0.0	1.09
08/29/2016	VERHULP, MISTEE	EVENTIDE GILEAD FUND CLASS A	0.00	2.37	0.00	2.37	0.0	2.37
08/29/2016	HODGKINS, STEPHEN	EVENTIDE GILEAD FUND CLASS A	0.00	2.08	0.00	2.08	0.0	2.08
08/29/2016	SASSONE, ROCCO	EVENTIDE GILEAD FUND CLASS A	0.00	2.54	0.00	2.54	0.0	2.54
09/08/2016	MATTSON, DAVID	EVENTIDE GILEAD FUND CLASS A	0.00	0.43	0.00	0.43	0.0	0.43
09/08/2016	DEERING, ELLEN	EVENTIDE GILEAD FUND CLASS A	0.00	4.51	0.00	4.51	0.0	4.51
09/08/2016	MARKILLIE, JOHN	EVENTIDE GILEAD FUND CLASS A	0.00	1.13	0.00	1.13	0.0	1.13
09/08/2016	VERHULP, MISTEE	EVENTIDE GILEAD FUND CLASS A	0.00	2.46	0.00	2.46	0.0	2.46
09/08/2016	HODGKINS, STEPHEN	EVENTIDE GILEAD FUND CLASS A	0.00	2.15	0.00	2.15	0.0	2.15
09/08/2016	SASSONE, ROCCO	EVENTIDE GILEAD FUND CLASS A	0.00	2.64	0.00	2.64	0.0	2.64
10/07/2016	MATTSON, DAVID	EVENTIDE GILEAD FUND CLASS A	0.00	0.42	0.00	0.42	0.0	0.42
10/07/2016	DEERING, ELLEN	EVENTIDE GILEAD FUND CLASS A	0.00	3.81	0.00	3.81	0.0	3.81
10/07/2016	MARKILLIE, JOHN	EVENTIDE GILEAD FUND CLASS A	0.00	1.03	0.00	1.03	0.0	1.03
10/07/2016	VERHULP, MISTEE	EVENTIDE GILEAD FUND CLASS A	0.00	1.67	0.00	1.67	0.0	1.67
10/07/2016	HODGKINS, STEPHEN	EVENTIDE GILEAD FUND CLASS A	0.00	1.25	0.00	1.25	0.0	1.25
10/07/2016	SASSONE, ROCCO	EVENTIDE GILEAD FUND CLASS A	0.00	0.69	0.00	0.69	0.0	0.69
11/14/2016	MATTSON, DAVID	EVENTIDE GILEAD FUND CLASS A	0.00	0.13	0.00	0.13	0.0	0.13
05/05/2016	RUSSO, ANN	EVENTIDE GILEAD FUND CLASS C	0.00	6.01	0.00	6.01	0.0	6.01
06/06/2016	RUSSO, ANN	EVENTIDE GILEAD FUND CLASS C	0.00	19.85	0.00	19.85	0.0	19.85

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<u>VERRIDE TRANSACTIONS</u>								
<u>BROKER: MICHAEL O'CALLAGHAN #305</u>								
07/05/2016	DEVINE, MAURA	EVENTIDE GILEAD FUND CLASS C	0.00	1.10	0.00	1.10	0.0	1.10
07/05/2016	RUSO, ANN	EVENTIDE GILEAD FUND CLASS C	0.00	19.52	0.00	19.52	0.0	19.52
08/29/2016	DEVINE, MAURA	EVENTIDE GILEAD FUND CLASS C	0.00	2.55	0.00	2.55	0.0	2.55
08/29/2016	RUSO, ANN	EVENTIDE GILEAD FUND CLASS C	0.00	20.72	0.00	20.72	0.0	20.72
09/08/2016	DEVINE, MAURA	EVENTIDE GILEAD FUND CLASS C	0.00	2.64	0.00	2.64	0.0	2.64
09/08/2016	RUSO, ANN	EVENTIDE GILEAD FUND CLASS C	0.00	21.46	0.00	21.46	0.0	21.46
10/07/2016	DEVINE, MAURA	EVENTIDE GILEAD FUND CLASS C	0.00	2.59	0.00	2.59	0.0	2.59
10/07/2016	RUSO, ANN	EVENTIDE GILEAD FUND CLASS C	0.00	20.98	0.00	20.98	0.0	20.98
11/14/2016	DEVINE, MAURA	EVENTIDE GILEAD FUND CLASS C	0.00	2.64	0.00	2.64	0.0	2.64
11/14/2016	RUSO, ANN	EVENTIDE GILEAD FUND CLASS C	0.00	3.56	0.00	3.56	0.0	3.56
12/15/2016	DEVINE, MAURA	EVENTIDE GILEAD FUND CLASS C	0.00	2.62	0.00	2.62	0.0	2.62
04/20/2016	ERICKSON, SUSAN	FIRST EAGLE OVERSEAS FUND CLASS A	0.00	0.11	0.00	0.11	0.0	0.11
04/20/2016	HODGKINS, STEPHEN	FIRST EAGLE OVERSEAS FUND CLASS A	0.00	1.08	0.00	1.08	0.0	1.08
07/22/2016	ERICKSON, SUSAN	FIRST EAGLE OVERSEAS FUND CLASS A	0.00	2.39	0.00	2.39	0.0	2.39
07/22/2016	HODGKINS, STEPHEN	FIRST EAGLE OVERSEAS FUND CLASS A	0.00	3.09	0.00	3.09	0.0	3.09
07/22/2016	RUSO, JOSEPH	FIRST EAGLE OVERSEAS FUND CLASS A	0.00	5.02	0.00	5.02	0.0	5.02
07/29/2016	ERICKSON, SUSAN	FIRST EAGLE OVERSEAS FUND CLASS A	0.00	2.79	0.00	2.79	0.0	2.79
07/29/2016	HODGKINS, STEPHEN	FIRST EAGLE OVERSEAS FUND CLASS A	0.00	3.62	0.00	3.62	0.0	3.62
07/29/2016	RUSO, JOSEPH	FIRST EAGLE OVERSEAS FUND CLASS A	0.00	11.62	0.00	11.62	0.0	11.62
08/10/2016	ERICKSON, SUSAN	FIRST EAGLE OVERSEAS FUND CLASS A	0.00	1.80	0.00	1.80	0.0	1.80
08/10/2016	HODGKINS, STEPHEN	FIRST EAGLE OVERSEAS FUND CLASS A	0.00	2.33	0.00	2.33	0.0	2.33
08/10/2016	RUSO, JOSEPH	FIRST EAGLE OVERSEAS FUND CLASS A	0.00	7.50	0.00	7.50	0.0	7.50
09/16/2016	ERICKSON, SUSAN	FIRST EAGLE OVERSEAS FUND CLASS A	0.00	1.85	0.00	1.85	0.0	1.85
09/16/2016	HODGKINS, STEPHEN	FIRST EAGLE OVERSEAS FUND CLASS A	0.00	2.39	0.00	2.39	0.0	2.39
09/16/2016	RUSO, JOSEPH	FIRST EAGLE OVERSEAS FUND CLASS A	0.00	7.69	0.00	7.69	0.0	7.69
10/21/2016	ERICKSON, SUSAN	FIRST EAGLE OVERSEAS FUND CLASS A	0.00	1.07	0.00	1.07	0.0	1.07
10/21/2016	HODGKINS, STEPHEN	FIRST EAGLE OVERSEAS FUND CLASS A	0.00	1.38	0.00	1.38	0.0	1.38
10/21/2016	RUSO, JOSEPH	FIRST EAGLE OVERSEAS FUND CLASS A	0.00	7.41	0.00	7.41	0.0	7.41
11/30/2016	RUSO, JOSEPH	FIRST EAGLE OVERSEAS FUND CLASS A	0.00	1.24	0.00	1.24	0.0	1.24
07/18/2016	RUSO, ANN	QUAKER STRATEGIC GROWTH FUND CLASS	0.00	19.87	0.00	19.87	0.0	19.87
07/18/2016	RUSO, JOSEPH	QUAKER STRATEGIC GROWTH FUND CLASS	0.00	9.56	0.00	9.56	0.0	9.56
10/17/2016	RUSO, ANN	QUAKER STRATEGIC GROWTH FUND CLASS	0.00	27.00	0.00	27.00	0.0	27.00
10/17/2016	RUSO, JOSEPH	QUAKER STRATEGIC GROWTH FUND CLASS	0.00	12.99	0.00	12.99	0.0	12.99

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<u> OVERRIDE TRANSACTIONS </u>								
<u> BROKER: GARRETT MILLS #306 </u>								
		* MICHAEL O'CALLAGHAN SUBTOTAL *	\$0.00	\$471.19	\$0.00	\$471.19		\$471.19
<u> BROKER: GARRETT MILLS #306 </u>								
05/13/2016	CURNEEN, HUGH	ADVISORY RESEARCH MLP & ENERGY INCO	0.00	0.23	0.00	0.23	0.0	0.23
06/13/2016	CURNEEN, HUGH	ADVISORY RESEARCH MLP & ENERGY INCO	0.00	0.56	0.00	0.56	0.0	0.56
07/13/2016	CURNEEN, HUGH	ADVISORY RESEARCH MLP & ENERGY INCO	0.00	0.56	0.00	0.56	0.0	0.56
08/10/2016	CURNEEN, HUGH	ADVISORY RESEARCH MLP & ENERGY INCO	0.00	0.59	0.00	0.59	0.0	0.59
09/12/2016	CURNEEN, HUGH	ADVISORY RESEARCH MLP & ENERGY INCO	0.00	0.61	0.00	0.61	0.0	0.61
10/17/2016	CURNEEN, HUGH	ADVISORY RESEARCH MLP & ENERGY INCO	0.00	0.16	0.00	0.16	0.0	0.16
04/06/2016	SPITULNIK, HARRY	EVENTIDE GILEAD FUND CLASS A	0.00	0.08	0.00	0.08	0.0	0.08
04/06/2016	KILFOYLE, RALPH	EVENTIDE GILEAD FUND CLASS A	0.00	0.95	0.00	0.95	0.0	0.95
05/05/2016	CURNEEN, HUGH	EVENTIDE GILEAD FUND CLASS A	0.00	0.52	0.00	0.52	0.0	0.52
05/05/2016	THOMPSON, BRADFORD	EVENTIDE GILEAD FUND CLASS A	0.00	0.74	0.00	0.74	0.0	0.74
05/05/2016	SPITULNIK, HARRY	EVENTIDE GILEAD FUND CLASS A	0.00	0.17	0.00	0.17	0.0	0.17
05/05/2016	KILFOYLE, RALPH	EVENTIDE GILEAD FUND CLASS A	0.00	2.67	0.00	2.67	0.0	2.67
06/06/2016	CURNEEN, HUGH	EVENTIDE GILEAD FUND CLASS A	0.00	1.18	0.00	1.18	0.0	1.18
06/06/2016	THOMPSON, BRADFORD	EVENTIDE GILEAD FUND CLASS A	0.00	1.38	0.00	1.38	0.0	1.38
06/06/2016	SPITULNIK, HARRY	EVENTIDE GILEAD FUND CLASS A	0.00	0.17	0.00	0.17	0.0	0.17
06/06/2016	KILFOYLE, RALPH	EVENTIDE GILEAD FUND CLASS A	0.00	2.69	0.00	2.69	0.0	2.69
07/05/2016	CURNEEN, HUGH	EVENTIDE GILEAD FUND CLASS A	0.00	1.17	0.00	1.17	0.0	1.17
07/05/2016	THOMPSON, BRADFORD	EVENTIDE GILEAD FUND CLASS A	0.00	1.36	0.00	1.36	0.0	1.36
07/05/2016	SPITULNIK, HARRY	EVENTIDE GILEAD FUND CLASS A	0.00	0.17	0.00	0.17	0.0	0.17
07/05/2016	KILFOYLE, RALPH	EVENTIDE GILEAD FUND CLASS A	0.00	2.22	0.00	2.22	0.0	2.22
08/29/2016	CURNEEN, HUGH	EVENTIDE GILEAD FUND CLASS A	0.00	1.24	0.00	1.24	0.0	1.24
08/29/2016	THOMPSON, BRADFORD	EVENTIDE GILEAD FUND CLASS A	0.00	1.44	0.00	1.44	0.0	1.44
08/29/2016	SPITULNIK, HARRY	EVENTIDE GILEAD FUND CLASS A	0.00	0.18	0.00	0.18	0.0	0.18
08/29/2016	KILFOYLE, RALPH	EVENTIDE GILEAD FUND CLASS A	0.00	1.54	0.00	1.54	0.0	1.54
09/08/2016	CURNEEN, HUGH	EVENTIDE GILEAD FUND CLASS A	0.00	1.28	0.00	1.28	0.0	1.28
09/08/2016	THOMPSON, BRADFORD	EVENTIDE GILEAD FUND CLASS A	0.00	1.49	0.00	1.49	0.0	1.49
09/08/2016	SPITULNIK, HARRY	EVENTIDE GILEAD FUND CLASS A	0.00	0.18	0.00	0.18	0.0	0.18
09/08/2016	KILFOYLE, RALPH	EVENTIDE GILEAD FUND CLASS A	0.00	1.60	0.00	1.60	0.0	1.60
10/07/2016	CURNEEN, HUGH	EVENTIDE GILEAD FUND CLASS A	0.00	0.33	0.00	0.33	0.0	0.33
10/07/2016	THOMPSON, BRADFORD	EVENTIDE GILEAD FUND CLASS A	0.00	0.87	0.00	0.87	0.0	0.87
10/07/2016	SPITULNIK, HARRY	EVENTIDE GILEAD FUND CLASS A	0.00	0.08	0.00	0.08	0.0	0.08

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u> OVERRIDE TRANSACTIONS </u>								
<u> BROKER: GARRETT MILLS #306 </u>								
10/07/2016	KILFOYLE, RALPH	EVENTIDE GILEAD FUND CLASS A	0.00	0.42	0.00	0.42	0.0	0.42
05/05/2016	LIGHTMAN, ANTHONY	EVENTIDE GILEAD FUND CLASS C	0.00	3.51	0.00	3.51	0.0	3.51
06/06/2016	LIGHTMAN, ANTHONY	EVENTIDE GILEAD FUND CLASS C	0.00	3.92	0.00	3.92	0.0	3.92
07/05/2016	LIGHTMAN, ANTHONY	EVENTIDE GILEAD FUND CLASS C	0.00	3.85	0.00	3.85	0.0	3.85
08/29/2016	LIGHTMAN, ANTHONY	EVENTIDE GILEAD FUND CLASS C	0.00	4.09	0.00	4.09	0.0	4.09
09/08/2016	LIGHTMAN, ANTHONY	EVENTIDE GILEAD FUND CLASS C	0.00	4.23	0.00	4.23	0.0	4.23
10/07/2016	LIGHTMAN, ANTHONY	EVENTIDE GILEAD FUND CLASS C	0.00	4.14	0.00	4.14	0.0	4.14
11/14/2016	LIGHTMAN, ANTHONY	EVENTIDE GILEAD FUND CLASS C	0.00	2.48	0.00	2.48	0.0	2.48
05/24/2016	LIGHTMAN, ANTHONY	FIDELITY ADVISOR ELECTRONICS FUND C	0.00	0.31	0.00	0.31	0.0	0.31
06/15/2016	LIGHTMAN, ANTHONY	FIDELITY ADVISOR ELECTRONICS FUND C	0.00	0.35	0.00	0.35	0.0	0.35
07/19/2016	LIGHTMAN, ANTHONY	FIDELITY ADVISOR ELECTRONICS FUND C	0.00	0.36	0.00	0.36	0.0	0.36
08/16/2016	LIGHTMAN, ANTHONY	FIDELITY ADVISOR ELECTRONICS FUND C	0.00	0.39	0.00	0.39	0.0	0.39
09/19/2016	LIGHTMAN, ANTHONY	FIDELITY ADVISOR ELECTRONICS FUND C	0.00	0.42	0.00	0.42	0.0	0.42
10/19/2016	LIGHTMAN, ANTHONY	FIDELITY ADVISOR ELECTRONICS FUND C	0.00	0.42	0.00	0.42	0.0	0.42
11/18/2016	LIGHTMAN, ANTHONY	FIDELITY ADVISOR ELECTRONICS FUND C	0.00	0.25	0.00	0.25	0.0	0.25
05/10/2016	LIGHTMAN, ANTHONY	GATEWAY FUND CLASS A	0.00	0.16	0.00	0.16	0.0	0.16
07/13/2016	LIGHTMAN, ANTHONY	IVY CORE EQUITY FUND CLASS A	0.00	0.60	0.00	0.60	0.0	0.60
07/13/2016	LIGHTMAN, ANTHONY	IVY HIGH INCOME FUND CLASS A	0.00	0.20	0.00	0.20	0.0	0.20
 * GARRETT MILLS SUBTOTAL * 			\$0.00	\$58.51	\$0.00	\$58.51		\$58.51

 BROKER: MARTIN PROSHEK #355

12/14/2016	KODAT, JANICE	ALLIANZGI MID-CAP FUND CLASS A	0.00	0.21	0.00	0.21	0.0	0.21
12/14/2016	KODAT, JANICE	API MULTI-ASSET INCOME FUND CLASS A	0.00	2.09	0.00	2.09	0.0	2.09
12/21/2016	FUQUA, CHRIS	BLACKROCK ALL-CAP ENERGY & RESOURCE	0.00	0.13	0.00	0.13	0.0	0.13
12/21/2016	HORR, DIANE	BLACKROCK ENERGY & RESOURCES PORTFO	0.00	0.21	0.00	0.21	0.0	0.21
12/15/2016	KODAT, JANICE	COLUMBIA SELIGMAN GLOBAL TECH A	0.00	1.64	0.00	1.64	0.0	1.64
12/21/2016	FUQUA, CHARLES (C.K.)	FIRST EAGLE GLOBAL FUND CL A	0.00	2.90	0.00	2.90	0.0	2.90
12/21/2016	FUQUA, CHRIS	FIRST EAGLE GLOBAL FUND CL A	0.00	0.40	0.00	0.40	0.0	0.40
12/16/2016	FUQUA, CHARLES (C.K.)	FRANKLIN CONV SEC A	0.00	0.32	0.00	0.32	0.0	0.32
12/19/2016	HORR, DIANE	MFS EMERGING MARKETS DEBT FUND A	0.00	1.20	0.00	1.20	0.0	1.20
12/19/2016	FUQUA, CHARLES (C.K.)	MFS GROWTH ALLOCATION A	0.00	2.12	0.00	2.12	0.0	2.12
12/19/2016	FUQUA, CHRIS	MFS GROWTH ALLOCATION A	0.00	0.35	0.00	0.35	0.0	0.35
12/12/2016	FUQUA, CHARLES (C.K.)	NATIXIS LOOMIS INV GRD BOND A (1453	0.00	3.07	0.00	3.07	0.0	3.07
12/12/2016	HORR, DIANE	NATIXIS LOOMIS STRATEGIC INCOME A	0.00	0.78	0.00	0.78	0.0	0.78

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u> OVERRIDE TRANSACTIONS </u>								
<u> BROKER: MARTIN PROSHEK #355 </u>								
12/12/2016	MORSE, PATRICIA	NATIXIS LOOMIS STRATEGIC INCOME A	0.00	1.99	0.00	1.99	0.0	1.99
12/14/2016	KODAT, JANICE	PIMCO FUNDAMENTAL INDEXPLUS AR FUND	0.00	3.07	0.00	3.07	0.0	3.07
12/12/2016	FUQUA, CHARLES (C.K.)	SALIENT SELECT INCOME FUND CLASS A	0.00	0.32	0.00	0.32	0.0	0.32
12/19/2016	KODAT, JANICE	SUNAMERICA FOCUSED DIVIDEND STRAT A	0.00	3.05	0.00	3.05	0.0	3.05
12/19/2016	MORSE, PATRICIA	SUNAMERICA FOCUSED DIVIDEND STRAT A	0.00	0.32	0.00	0.32	0.0	0.32
12/19/2016	FUQUA, CHARLES (C.K.)	SUNAMERICA FOCUSED DIVIDEND STRAT A	0.00	2.65	0.00	2.65	0.0	2.65
12/16/2016	KODAT, JANICE	TRANSAMERICA SMALL/MID CAP VALUE A	0.00	2.82	0.00	2.82	0.0	2.82
12/16/2016	FUQUA, CHARLES (C.K.)	UNDISCOVERED MANAGERS BEHAVIORAL VA	0.00	4.02	0.00	4.02	0.0	4.02
12/14/2016	FUQUA, CHARLES (C.K.)	WELLS FARGO SPECIAL MID CAP VALUE F	0.00	2.91	0.00	2.91	0.0	2.91
 * MARTIN PROSHEK SUBTOTAL * 			\$0.00	\$36.57	\$0.00	\$36.57		\$36.57
<u> BROKER: L149-ROBERT LUCHSINGER #388 </u>								
02/22/2016	GARDNER, MARILYN	ALLIANZ NFJ DIVIDEND VALUE FUND CLA	0.00	3.19	0.00	3.19	0.0	0.32
03/21/2016	GARDNER, MARILYN	ALLIANZ NFJ DIVIDEND VALUE FUND CLA	0.00	2.99	0.00	2.99	0.0	0.30
04/21/2016	GARDNER, MARILYN	ALLIANZ NFJ DIVIDEND VALUE FUND CLA	0.00	3.44	0.00	3.44	0.0	0.34
05/24/2016	GARDNER, MARILYN	ALLIANZ NFJ DIVIDEND VALUE FUND CLA	0.00	3.40	0.00	3.40	0.0	0.34
06/21/2016	GARDNER, MARILYN	ALLIANZ NFJ DIVIDEND VALUE FUND CLA	0.00	3.49	0.00	3.49	0.0	0.35
07/21/2016	GARDNER, MARILYN	ALLIANZ NFJ DIVIDEND VALUE FUND CLA	0.00	3.39	0.00	3.39	0.0	0.34
08/22/2016	GARDNER, MARILYN	ALLIANZ NFJ DIVIDEND VALUE FUND CLA	0.00	3.60	0.00	3.60	0.0	0.36
09/21/2016	GARDNER, MARILYN	ALLIANZ NFJ DIVIDEND VALUE FUND CLA	0.00	3.62	0.00	3.62	0.0	0.36
10/21/2016	GARDNER, MARILYN	ALLIANZ NFJ DIVIDEND VALUE FUND CLA	0.00	3.48	0.00	3.48	0.0	0.35
11/21/2016	GARDNER, MARILYN	ALLIANZ NFJ DIVIDEND VALUE FUND CLA	0.00	3.58	0.00	3.58	0.0	0.36
12/14/2016	GARDNER, MARILYN	ALLIANZ NFJ DIVIDEND VALUE FUND CLA	0.00	3.58	0.00	3.58	0.0	0.36
02/22/2016	GARDNER, MARILYN	ALLIANZ NFJ LARGE CAP VALUE A	0.00	2.49	0.00	2.49	0.0	0.25
03/21/2016	GARDNER, MARILYN	ALLIANZ NFJ LARGE CAP VALUE A	0.00	2.29	0.00	2.29	0.0	0.23
04/21/2016	GARDNER, MARILYN	ALLIANZ NFJ LARGE CAP VALUE A	0.00	2.61	0.00	2.61	0.0	0.26
05/24/2016	GARDNER, MARILYN	ALLIANZ NFJ LARGE CAP VALUE A	0.00	2.59	0.00	2.59	0.0	0.26
06/21/2016	GARDNER, MARILYN	ALLIANZ NFJ LARGE CAP VALUE A	0.00	2.67	0.00	2.67	0.0	0.27
07/21/2016	GARDNER, MARILYN	ALLIANZ NFJ LARGE CAP VALUE A	0.00	2.60	0.00	2.60	0.0	0.26
08/22/2016	GARDNER, MARILYN	ALLIANZ NFJ LARGE CAP VALUE A	0.00	2.76	0.00	2.76	0.0	0.28
09/21/2016	GARDNER, MARILYN	ALLIANZ NFJ LARGE CAP VALUE A	0.00	2.78	0.00	2.78	0.0	0.28
10/21/2016	GARDNER, MARILYN	ALLIANZ NFJ LARGE CAP VALUE A	0.00	2.67	0.00	2.67	0.0	0.27
11/21/2016	GARDNER, MARILYN	ALLIANZ NFJ LARGE CAP VALUE A	0.00	2.76	0.00	2.76	0.0	0.28
12/14/2016	GARDNER, MARILYN	ALLIANZ NFJ LARGE CAP VALUE A	0.00	2.77	0.00	2.77	0.0	0.28

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<u> OVERRIDE TRANSACTIONS </u>								
<u>BROKER: L149-ROBERT LUCHSINGER #388</u>								
02/10/2016	PANZZIE TRUST, FRANK	EATON VANCE TAX MANAGED GROWTH A	0.00	17.71	0.00	17.71	0.0	1.77
03/16/2016	PANZZIE TRUST, FRANK	EATON VANCE TAX MANAGED GROWTH A	0.00	16.22	0.00	16.22	0.0	1.62
04/25/2016	PANZZIE TRUST, FRANK	EATON VANCE TAX MANAGED GROWTH A	0.00	18.36	0.00	18.36	0.0	1.84
05/13/2016	PANZZIE TRUST, FRANK	EATON VANCE TAX MANAGED GROWTH A	0.00	18.25	0.00	18.25	0.0	1.83
06/15/2016	PANZZIE TRUST, FRANK	EATON VANCE TAX MANAGED GROWTH A	0.00	18.76	0.00	18.76	0.0	1.88
07/20/2016	PANZZIE TRUST, FRANK	EATON VANCE TAX MANAGED GROWTH A	0.00	18.22	0.00	18.22	0.0	1.82
08/12/2016	PANZZIE TRUST, FRANK	EATON VANCE TAX MANAGED GROWTH A	0.00	19.43	0.00	19.43	0.0	1.94
09/13/2016	PANZZIE TRUST, FRANK	EATON VANCE TAX MANAGED GROWTH A	0.00	19.81	0.00	19.81	0.0	1.98
10/12/2016	PANZZIE TRUST, FRANK	EATON VANCE TAX MANAGED GROWTH A	0.00	18.99	0.00	18.99	0.0	1.90
11/15/2016	PANZZIE TRUST, FRANK	EATON VANCE TAX MANAGED GROWTH A	0.00	19.50	0.00	19.50	0.0	1.95
12/21/2016	PANZZIE TRUST, FRANK	EATON VANCE TAX MANAGED GROWTH A	0.00	19.11	0.00	19.11	0.0	1.91
02/16/2016	GARDNER, MARILYN	FRANKLIN INCOME A	0.00	2.17	0.00	2.17	0.0	0.22
03/16/2016	GARDNER, MARILYN	FRANKLIN INCOME A	0.00	2.01	0.00	2.01	0.0	0.20
04/15/2016	GARDNER, MARILYN	FRANKLIN INCOME A	0.00	2.28	0.00	2.28	0.0	0.23
05/13/2016	GARDNER, MARILYN	FRANKLIN INCOME A	0.00	2.27	0.00	2.27	0.0	0.23
06/14/2016	GARDNER, MARILYN	FRANKLIN INCOME A	0.00	2.36	0.00	2.36	0.0	0.24
07/14/2016	GARDNER, MARILYN	FRANKLIN INCOME A	0.00	2.31	0.00	2.31	0.0	0.23
08/15/2016	GARDNER, MARILYN	FRANKLIN INCOME A	0.00	2.47	0.00	2.47	0.0	0.25
09/14/2016	GARDNER, MARILYN	FRANKLIN INCOME A	0.00	2.50	0.00	2.50	0.0	0.25
10/18/2016	GARDNER, MARILYN	FRANKLIN INCOME A	0.00	2.42	0.00	2.42	0.0	0.24
11/15/2016	GARDNER, MARILYN	FRANKLIN INCOME A	0.00	2.52	0.00	2.52	0.0	0.25
12/16/2016	GARDNER, MARILYN	FRANKLIN INCOME A	0.00	2.44	0.00	2.44	0.0	0.24
02/10/2018	TIERNAN, JOAN	ING EMPIRE INNOVATIONS STD OPT A	100,351.76	250.88	0.00	250.88	0.0	25.09
02/22/2016	MANNETTA, VIRGINIA	OPPENHEIMER GLOBAL A	0.00	1.55	0.00	1.55	0.0	0.16
03/17/2016	MANNETTA, VIRGINIA	OPPENHEIMER GLOBAL A	0.00	1.38	0.00	1.38	0.0	0.14
04/21/2016	MANNETTA, VIRGINIA	OPPENHEIMER GLOBAL A	0.00	1.56	0.00	1.56	0.0	0.16
05/19/2016	MANNETTA, VIRGINIA	OPPENHEIMER GLOBAL A	0.00	1.55	0.00	1.55	0.0	0.16
06/30/2016	MANNETTA, VIRGINIA	OPPENHEIMER GLOBAL A	0.00	1.59	0.00	1.59	0.0	0.16
07/18/2016	MANNETTA, VIRGINIA	OPPENHEIMER GLOBAL A	0.00	1.52	0.00	1.52	0.0	0.15
08/24/2016	MANNETTA, VIRGINIA	OPPENHEIMER GLOBAL A	0.00	1.60	0.00	1.60	0.0	0.16
09/22/2016	MANNETTA, VIRGINIA	OPPENHEIMER GLOBAL A	0.00	1.67	0.00	1.67	0.0	0.17
10/21/2016	MANNETTA, VIRGINIA	OPPENHEIMER GLOBAL A	0.00	1.63	0.00	1.63	0.0	0.16
11/21/2016	MANNETTA, VIRGINIA	OPPENHEIMER GLOBAL A	0.00	1.68	0.00	1.68	0.0	0.17

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<u> OVERRIDE TRANSACTIONS </u>								
<u> BROKER: L149-ROBERT LUCHSINGER #388 </u>								
12/19/2016	MANNETTA, VIRGINIA	OPPENHEIMER GLOBAL A	0.00	1.62	0.00	1.62	0.0	0.16
02/22/2016	HUNTE, SHEILA	OPPENHEIMER ROCHESTER MUNICIPALS A	0.00	3.26	0.00	3.26	0.0	0.33
02/22/2016	PANZZIE TRUST, FRANK	OPPENHEIMER ROCHESTER MUNICIPALS A	0.00	1.33	0.00	1.33	0.0	0.13
03/17/2016	HUNTE, SHEILA	OPPENHEIMER ROCHESTER MUNICIPALS A	0.00	3.08	0.00	3.08	0.0	0.31
03/17/2016	PANZZIE TRUST, FRANK	OPPENHEIMER ROCHESTER MUNICIPALS A	0.00	1.26	0.00	1.26	0.0	0.13
04/21/2016	HUNTE, SHEILA	OPPENHEIMER ROCHESTER MUNICIPALS A	0.00	3.30	0.00	3.30	0.0	0.33
04/21/2016	PANZZIE TRUST, FRANK	OPPENHEIMER ROCHESTER MUNICIPALS A	0.00	1.35	0.00	1.35	0.0	0.14
05/19/2016	HUNTE, SHEILA	OPPENHEIMER ROCHESTER MUNICIPALS A	0.00	3.22	0.00	3.22	0.0	0.32
05/19/2016	PANZZIE TRUST, FRANK	OPPENHEIMER ROCHESTER MUNICIPALS A	0.00	1.31	0.00	1.31	0.0	0.13
06/30/2016	HUNTE, SHEILA	OPPENHEIMER ROCHESTER MUNICIPALS A	0.00	3.35	0.00	3.35	0.0	0.34
06/30/2016	PANZZIE TRUST, FRANK	OPPENHEIMER ROCHESTER MUNICIPALS A	0.00	1.37	0.00	1.37	0.0	0.14
07/18/2016	HUNTE, SHEILA	OPPENHEIMER ROCHESTER MUNICIPALS A	0.00	3.33	0.00	3.33	0.0	0.33
07/18/2016	PANZZIE TRUST, FRANK	OPPENHEIMER ROCHESTER MUNICIPALS A	0.00	1.36	0.00	1.36	0.0	0.14
08/24/2016	HUNTE, SHEILA	OPPENHEIMER ROCHESTER MUNICIPALS A	0.00	3.52	0.00	3.52	0.0	0.35
08/24/2016	PANZZIE TRUST, FRANK	OPPENHEIMER ROCHESTER MUNICIPALS A	0.00	1.44	0.00	1.44	0.0	0.14
09/22/2016	HUNTE, SHEILA	OPPENHEIMER ROCHESTER MUNICIPALS A	0.00	3.54	0.00	3.54	0.0	0.35
09/22/2016	PANZZIE TRUST, FRANK	OPPENHEIMER ROCHESTER MUNICIPALS A	0.00	1.45	0.00	1.45	0.0	0.15
10/21/2016	HUNTE, SHEILA	OPPENHEIMER ROCHESTER MUNICIPALS A	0.00	3.44	0.00	3.44	0.0	0.34
10/21/2016	PANZZIE TRUST, FRANK	OPPENHEIMER ROCHESTER MUNICIPALS A	0.00	1.41	0.00	1.41	0.0	0.14
11/21/2016	HUNTE, SHEILA	OPPENHEIMER ROCHESTER MUNICIPALS A	0.00	3.56	0.00	3.56	0.0	0.36
11/21/2016	PANZZIE TRUST, FRANK	OPPENHEIMER ROCHESTER MUNICIPALS A	0.00	1.45	0.00	1.45	0.0	0.15
12/19/2016	HUNTE, SHEILA	OPPENHEIMER ROCHESTER MUNICIPALS A	0.00	3.39	0.00	3.39	0.0	0.34
12/19/2016	PANZZIE TRUST, FRANK	OPPENHEIMER ROCHESTER MUNICIPALS A	0.00	1.38	0.00	1.38	0.0	0.14
02/22/2016	GALLAS, AGNES	OPPENHEIMER STEELPATH MLP INCOME FU	0.00	2.56	0.00	2.56	0.0	0.26
03/17/2016	GALLAS, AGNES	OPPENHEIMER STEELPATH MLP INCOME FU	0.00	0.77	0.00	0.77	0.0	0.08
02/22/2016	QUIGLEY, BARBARA	PAC LIFE FLOATING RATE INCOME FUND	0.00	0.81	0.00	0.81	0.0	0.08
02/22/2016	VIONE, LESLEY	PAC LIFE FLOATING RATE INCOME FUND	0.00	0.95	0.00	0.95	0.0	0.10
02/22/2016	GARDNER, MARILYN	PAC LIFE FLOATING RATE INCOME FUND	0.00	1.20	0.00	1.20	0.0	0.12
02/22/2016	LEONARD JR, JOHN	PAC LIFE FLOATING RATE INCOME FUND	0.00	4.72	0.00	4.72	0.0	0.47
02/22/2016	PANZZIE TRUST, FRANK	PAC LIFE FLOATING RATE INCOME FUND	0.00	1.94	0.00	1.94	0.0	0.19
02/22/2016	KNAACK, PATRICIA	PAC LIFE FLOATING RATE INCOME FUND	0.00	0.57	0.00	0.57	0.0	0.06
03/18/2016	QUIGLEY, BARBARA	PAC LIFE FLOATING RATE INCOME FUND	0.00	0.75	0.00	0.75	0.0	0.08
03/18/2016	VIONE, LESLEY	PAC LIFE FLOATING RATE INCOME FUND	0.00	0.88	0.00	0.88	0.0	0.09

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u> OVERRIDE TRANSACTIONS </u>								
BROKER: L149-ROBERT LUCHSINGER #388								
03/18/2016	GARDNER, MARILYN	PAC LIFE FLOATING RATE INCOME FUND	0.00	1.11	0.00	1.11	0.0	0.11
03/18/2016	LEONARD JR, JOHN	PAC LIFE FLOATING RATE INCOME FUND	0.00	4.39	0.00	4.39	0.0	0.44
03/18/2016	PANZZIE TRUST, FRANK	PAC LIFE FLOATING RATE INCOME FUND	0.00	1.80	0.00	1.80	0.0	0.18
03/18/2016	KNAACK, PATRICIA	PAC LIFE FLOATING RATE INCOME FUND	0.00	0.53	0.00	0.53	0.0	0.05
04/20/2016	QUIGLEY, BARBARA	PAC LIFE FLOATING RATE INCOME FUND	0.00	1.04	0.00	1.04	0.0	0.10
04/20/2016	VIONE, LESLEY	PAC LIFE FLOATING RATE INCOME FUND	0.00	0.96	0.00	0.96	0.0	0.10
04/20/2016	GARDNER, MARILYN	PAC LIFE FLOATING RATE INCOME FUND	0.00	1.21	0.00	1.21	0.0	0.12
04/20/2016	LEONARD JR, JOHN	PAC LIFE FLOATING RATE INCOME FUND	0.00	4.77	0.00	4.77	0.0	0.48
04/20/2016	PANZZIE TRUST, FRANK	PAC LIFE FLOATING RATE INCOME FUND	0.00	1.96	0.00	1.96	0.0	0.20
04/20/2016	KNAACK, PATRICIA	PAC LIFE FLOATING RATE INCOME FUND	0.00	0.57	0.00	0.57	0.0	0.06
05/24/2016	QUIGLEY, BARBARA	PAC LIFE FLOATING RATE INCOME FUND	0.00	1.10	0.00	1.10	0.0	0.11
05/24/2016	VIONE, LESLEY	PAC LIFE FLOATING RATE INCOME FUND	0.00	0.94	0.00	0.94	0.0	0.09
05/24/2016	GARDNER, MARILYN	PAC LIFE FLOATING RATE INCOME FUND	0.00	1.18	0.00	1.18	0.0	0.12
05/24/2016	LEONARD JR, JOHN	PAC LIFE FLOATING RATE INCOME FUND	0.00	4.67	0.00	4.67	0.0	0.47
05/24/2016	PANZZIE TRUST, FRANK	PAC LIFE FLOATING RATE INCOME FUND	0.00	1.92	0.00	1.92	0.0	0.19
05/24/2016	KNAACK, PATRICIA	PAC LIFE FLOATING RATE INCOME FUND	0.00	0.56	0.00	0.56	0.0	0.06
06/16/2016	QUIGLEY, BARBARA	PAC LIFE FLOATING RATE INCOME FUND	0.00	1.15	0.00	1.15	0.0	0.12
06/16/2016	VIONE, LESLEY	PAC LIFE FLOATING RATE INCOME FUND	0.00	0.98	0.00	0.98	0.0	0.10
06/16/2016	GARDNER, MARILYN	PAC LIFE FLOATING RATE INCOME FUND	0.00	1.24	0.00	1.24	0.0	0.12
06/16/2016	LEONARD JR, JOHN	PAC LIFE FLOATING RATE INCOME FUND	0.00	4.87	0.00	4.87	0.0	0.49
06/16/2016	PANZZIE TRUST, FRANK	PAC LIFE FLOATING RATE INCOME FUND	0.00	2.00	0.00	2.00	0.0	0.20
06/16/2016	KNAACK, PATRICIA	PAC LIFE FLOATING RATE INCOME FUND	0.00	0.58	0.00	0.58	0.0	0.06
07/19/2016	QUIGLEY, BARBARA	PAC LIFE FLOATING RATE INCOME FUND	0.00	1.12	0.00	1.12	0.0	0.11
07/19/2016	VIONE, LESLEY	PAC LIFE FLOATING RATE INCOME FUND	0.00	0.95	0.00	0.95	0.0	0.10
07/19/2016	GARDNER, MARILYN	PAC LIFE FLOATING RATE INCOME FUND	0.00	1.20	0.00	1.20	0.0	0.12
07/19/2016	LEONARD JR, JOHN	PAC LIFE FLOATING RATE INCOME FUND	0.00	4.73	0.00	4.73	0.0	0.47
07/19/2016	PANZZIE TRUST, FRANK	PAC LIFE FLOATING RATE INCOME FUND	0.00	1.95	0.00	1.95	0.0	0.20
07/19/2016	KNAACK, PATRICIA	PAC LIFE FLOATING RATE INCOME FUND	0.00	0.57	0.00	0.57	0.0	0.06
08/18/2016	QUIGLEY, BARBARA	PAC LIFE FLOATING RATE INCOME FUND	0.00	0.67	0.00	0.67	0.0	0.07
08/18/2016	VIONE, LESLEY	PAC LIFE FLOATING RATE INCOME FUND	0.00	0.99	0.00	0.99	0.0	0.10
08/18/2016	GARDNER, MARILYN	PAC LIFE FLOATING RATE INCOME FUND	0.00	1.25	0.00	1.25	0.0	0.13
08/18/2016	LEONARD JR, JOHN	PAC LIFE FLOATING RATE INCOME FUND	0.00	4.92	0.00	4.92	0.0	0.49
08/18/2016	PANZZIE TRUST, FRANK	PAC LIFE FLOATING RATE INCOME FUND	0.00	2.02	0.00	2.02	0.0	0.20

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<u> OVERRIDE TRANSACTIONS </u>								
<u>BROKER: L149-ROBERT LUCHSINGER #388</u>								
08/18/2016	KNAACK, PATRICIA	PAC LIFE FLOATING RATE INCOME FUND	0.00	0.59	0.00	0.59	0.0	0.06
09/22/2016	VIONE, LESLEY	PAC LIFE FLOATING RATE INCOME FUND	0.00	1.00	0.00	1.00	0.0	0.10
09/22/2016	GARDNER, MARILYN	PAC LIFE FLOATING RATE INCOME FUND	0.00	1.26	0.00	1.26	0.0	0.13
09/22/2016	LEONARD JR, JOHN	PAC LIFE FLOATING RATE INCOME FUND	0.00	4.95	0.00	4.95	0.0	0.50
09/22/2016	PANZZIE TRUST, FRANK	PAC LIFE FLOATING RATE INCOME FUND	0.00	2.04	0.00	2.04	0.0	0.20
09/22/2016	KNAACK, PATRICIA	PAC LIFE FLOATING RATE INCOME FUND	0.00	0.59	0.00	0.59	0.0	0.06
10/20/2016	VIONE, LESLEY	PAC LIFE FLOATING RATE INCOME FUND	0.00	0.97	0.00	0.97	0.0	0.10
10/20/2016	GARDNER, MARILYN	PAC LIFE FLOATING RATE INCOME FUND	0.00	1.22	0.00	1.22	0.0	0.12
10/20/2016	LEONARD JR, JOHN	PAC LIFE FLOATING RATE INCOME FUND	0.00	4.82	0.00	4.82	0.0	0.48
10/20/2016	PANZZIE TRUST, FRANK	PAC LIFE FLOATING RATE INCOME FUND	0.00	1.98	0.00	1.98	0.0	0.20
10/20/2016	KNAACK, PATRICIA	PAC LIFE FLOATING RATE INCOME FUND	0.00	0.58	0.00	0.58	0.0	0.06
11/25/2016	VIONE, LESLEY	PAC LIFE FLOATING RATE INCOME FUND	0.00	1.01	0.00	1.01	0.0	0.10
11/25/2016	GARDNER, MARILYN	PAC LIFE FLOATING RATE INCOME FUND	0.00	1.27	0.00	1.27	0.0	0.13
11/25/2016	LEONARD JR, JOHN	PAC LIFE FLOATING RATE INCOME FUND	0.00	5.02	0.00	5.02	0.0	0.50
11/25/2016	PANZZIE TRUST, FRANK	PAC LIFE FLOATING RATE INCOME FUND	0.00	2.06	0.00	2.06	0.0	0.21
11/25/2016	KNAACK, PATRICIA	PAC LIFE FLOATING RATE INCOME FUND	0.00	0.60	0.00	0.60	0.0	0.06
12/21/2016	VIONE, LESLEY	PAC LIFE FLOATING RATE INCOME FUND	0.00	0.98	0.00	0.98	0.0	0.10
12/21/2016	GARDNER, MARILYN	PAC LIFE FLOATING RATE INCOME FUND	0.00	1.24	0.00	1.24	0.0	0.12
12/21/2016	LEONARD JR, JOHN	PAC LIFE FLOATING RATE INCOME FUND	0.00	4.87	0.00	4.87	0.0	0.49
12/21/2016	PANZZIE TRUST, FRANK	PAC LIFE FLOATING RATE INCOME FUND	0.00	2.00	0.00	2.00	0.0	0.20
12/21/2016	KNAACK, PATRICIA	PAC LIFE FLOATING RATE INCOME FUND	0.00	0.58	0.00	0.58	0.0	0.06
02/22/2016	REILLY, JAMES	PAC LIFE PORT OPTIM MOD AGG	0.00	6.92	0.00	6.92	0.0	0.69
03/18/2016	REILLY, JAMES	PAC LIFE PORT OPTIM MOD AGG	0.00	6.33	0.00	6.33	0.0	0.63
04/20/2016	REILLY, JAMES	PAC LIFE PORT OPTIM MOD AGG	0.00	7.19	0.00	7.19	0.0	0.72
05/24/2016	REILLY, JAMES	PAC LIFE PORT OPTIM MOD AGG	0.00	7.13	0.00	7.13	0.0	0.71
06/16/2016	REILLY, JAMES	PAC LIFE PORT OPTIM MOD AGG	0.00	7.35	0.00	7.35	0.0	0.74
07/19/2016	REILLY, JAMES	PAC LIFE PORT OPTIM MOD AGG	0.00	7.16	0.00	7.16	0.0	0.72
08/18/2016	REILLY, JAMES	PAC LIFE PORT OPTIM MOD AGG	0.00	7.57	0.00	7.57	0.0	0.76
09/22/2016	REILLY, JAMES	PAC LIFE PORT OPTIM MOD AGG	0.00	7.72	0.00	7.72	0.0	0.77
10/20/2016	REILLY, JAMES	PAC LIFE PORT OPTIM MOD AGG	0.00	7.46	0.00	7.46	0.0	0.75
11/25/2016	REILLY, JAMES	PAC LIFE PORT OPTIM MOD AGG	0.00	7.69	0.00	7.69	0.0	0.77
12/21/2016	REILLY, JAMES	PAC LIFE PORT OPTIM MOD AGG	0.00	7.45	0.00	7.45	0.0	0.75
02/02/2018	CIOS, ANNA	PACIFIC LIFE	100.00	4.75	0.00	4.75	0.0	0.48

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<u> OVERRIDE TRANSACTIONS </u>								
<u> BROKER: L149-ROBERT LUCHSINGER #388 </u>								
02/02/2018	TERMINE, MASON	PACIFIC LIFE	100.00	4.75	0.00	4.75	0.0	0.48
02/02/2018	CIOS, ROCCO	PACIFIC LIFE	100.00	4.75	0.00	4.75	0.0	0.48
02/02/2018	TERMINE, MILO	PACIFIC LIFE	100.00	4.75	0.00	4.75	0.0	0.48
02/22/2016	PANZZIE TRUST, FRANK	PACIFIC LIFE FUNDS STRATEGIC INCOME	0.00	0.98	0.00	0.98	0.0	0.10
02/22/2016	KNAACK, PATRICIA	PACIFIC LIFE FUNDS STRATEGIC INCOME	0.00	1.56	0.00	1.56	0.0	0.16
03/18/2016	PANZZIE TRUST, FRANK	PACIFIC LIFE FUNDS STRATEGIC INCOME	0.00	0.91	0.00	0.91	0.0	0.09
03/18/2016	KNAACK, PATRICIA	PACIFIC LIFE FUNDS STRATEGIC INCOME	0.00	1.45	0.00	1.45	0.0	0.15
04/20/2016	PANZZIE TRUST, FRANK	PACIFIC LIFE FUNDS STRATEGIC INCOME	0.00	1.01	0.00	1.01	0.0	0.10
04/20/2016	KNAACK, PATRICIA	PACIFIC LIFE FUNDS STRATEGIC INCOME	0.00	1.61	0.00	1.61	0.0	0.16
05/24/2016	PANZZIE TRUST, FRANK	PACIFIC LIFE FUNDS STRATEGIC INCOME	0.00	1.00	0.00	1.00	0.0	0.10
05/24/2016	KNAACK, PATRICIA	PACIFIC LIFE FUNDS STRATEGIC INCOME	0.00	1.59	0.00	1.59	0.0	0.16
06/16/2016	PANZZIE TRUST, FRANK	PACIFIC LIFE FUNDS STRATEGIC INCOME	0.00	1.05	0.00	1.05	0.0	0.11
06/16/2016	KNAACK, PATRICIA	PACIFIC LIFE FUNDS STRATEGIC INCOME	0.00	1.67	0.00	1.67	0.0	0.17
07/19/2016	PANZZIE TRUST, FRANK	PACIFIC LIFE FUNDS STRATEGIC INCOME	0.00	1.03	0.00	1.03	0.0	0.10
07/19/2016	KNAACK, PATRICIA	PACIFIC LIFE FUNDS STRATEGIC INCOME	0.00	1.63	0.00	1.63	0.0	0.16
08/18/2016	PANZZIE TRUST, FRANK	PACIFIC LIFE FUNDS STRATEGIC INCOME	0.00	1.08	0.00	1.08	0.0	0.11
08/18/2016	KNAACK, PATRICIA	PACIFIC LIFE FUNDS STRATEGIC INCOME	0.00	1.72	0.00	1.72	0.0	0.17
09/22/2016	PANZZIE TRUST, FRANK	PACIFIC LIFE FUNDS STRATEGIC INCOME	0.00	1.09	0.00	1.09	0.0	0.11
09/22/2016	KNAACK, PATRICIA	PACIFIC LIFE FUNDS STRATEGIC INCOME	0.00	1.74	0.00	1.74	0.0	0.17
10/20/2016	PANZZIE TRUST, FRANK	PACIFIC LIFE FUNDS STRATEGIC INCOME	0.00	1.06	0.00	1.06	0.0	0.11
10/20/2016	KNAACK, PATRICIA	PACIFIC LIFE FUNDS STRATEGIC INCOME	0.00	1.69	0.00	1.69	0.0	0.17
11/25/2016	PANZZIE TRUST, FRANK	PACIFIC LIFE FUNDS STRATEGIC INCOME	0.00	1.10	0.00	1.10	0.0	0.11
11/25/2016	KNAACK, PATRICIA	PACIFIC LIFE FUNDS STRATEGIC INCOME	0.00	1.76	0.00	1.76	0.0	0.18
12/21/2016	PANZZIE TRUST, FRANK	PACIFIC LIFE FUNDS STRATEGIC INCOME	0.00	1.06	0.00	1.06	0.0	0.11
12/21/2016	KNAACK, PATRICIA	PACIFIC LIFE FUNDS STRATEGIC INCOME	0.00	1.68	0.00	1.68	0.0	0.17
02/22/2016	MANNETTA, VIRGINIA	ROCHESTER LIMITED TERM NEW YORK MUN	0.00	5.32	0.00	5.32	0.0	0.53
03/17/2016	MANNETTA, VIRGINIA	ROCHESTER LIMITED TERM NEW YORK MUN	0.00	4.97	0.00	4.97	0.0	0.50
04/21/2016	MANNETTA, VIRGINIA	ROCHESTER LIMITED TERM NEW YORK MUN	0.00	5.30	0.00	5.30	0.0	0.53
05/19/2016	MANNETTA, VIRGINIA	ROCHESTER LIMITED TERM NEW YORK MUN	0.00	5.12	0.00	5.12	0.0	0.51
06/30/2016	MANNETTA, VIRGINIA	ROCHESTER LIMITED TERM NEW YORK MUN	0.00	5.28	0.00	5.28	0.0	0.53
07/18/2016	MANNETTA, VIRGINIA	ROCHESTER LIMITED TERM NEW YORK MUN	0.00	5.16	0.00	5.16	0.0	0.52
08/24/2016	MANNETTA, VIRGINIA	ROCHESTER LIMITED TERM NEW YORK MUN	0.00	5.36	0.00	5.36	0.0	0.54
09/22/2016	MANNETTA, VIRGINIA	ROCHESTER LIMITED TERM NEW YORK MUN	0.00	5.35	0.00	5.35	0.0	0.54

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<u> OVERRIDE TRANSACTIONS </u>								
BROKER: L149-ROBERT LUCHSINGER #388								
10/21/2016	MANNETTA, VIRGINIA	ROCHESTER LIMITED TERM NEW YORK MUN	0.00	5.18	0.00	5.18	0.0	0.52
11/21/2016	MANNETTA, VIRGINIA	ROCHESTER LIMITED TERM NEW YORK MUN	0.00	5.32	0.00	5.32	0.0	0.53
12/19/2016	MANNETTA, VIRGINIA	ROCHESTER LIMITED TERM NEW YORK MUN	0.00	5.10	0.00	5.10	0.0	0.51
/ /	KNAACK, JOHN	RYDEX GUGG MID CAP VALUE A	0.00	5.36	0.00	5.36	0.0	0.54
02/12/2016	VIONE, LESLEY	SUNAMERICA FOCUSED ALPHA GROWTH A	0.00	0.10	0.00	0.10	0.0	0.01
02/12/2016	CELENTANO, MAURA	SUNAMERICA FOCUSED ALPHA GROWTH A	0.00	0.39	0.00	0.39	0.0	0.04
03/15/2016	VIONE, LESLEY	SUNAMERICA FOCUSED ALPHA GROWTH A	0.00	0.09	0.00	0.09	0.0	0.01
03/15/2016	CELENTANO, MAURA	SUNAMERICA FOCUSED ALPHA GROWTH A	0.00	0.36	0.00	0.36	0.0	0.04
04/15/2016	VIONE, LESLEY	SUNAMERICA FOCUSED ALPHA GROWTH A	0.00	0.11	0.00	0.11	0.0	0.01
04/15/2016	CELENTANO, MAURA	SUNAMERICA FOCUSED ALPHA GROWTH A	0.00	0.41	0.00	0.41	0.0	0.04
05/19/2016	VIONE, LESLEY	SUNAMERICA FOCUSED ALPHA GROWTH A	0.00	0.10	0.00	0.10	0.0	0.01
05/19/2016	CELENTANO, MAURA	SUNAMERICA FOCUSED ALPHA GROWTH A	0.00	0.41	0.00	0.41	0.0	0.04
06/15/2016	VIONE, LESLEY	SUNAMERICA FOCUSED ALPHA GROWTH A	0.00	0.11	0.00	0.11	0.0	0.01
06/15/2016	CELENTANO, MAURA	SUNAMERICA FOCUSED ALPHA GROWTH A	0.00	0.42	0.00	0.42	0.0	0.04
07/14/2016	VIONE, LESLEY	SUNAMERICA FOCUSED ALPHA GROWTH A	0.00	0.10	0.00	0.10	0.0	0.01
07/14/2016	CELENTANO, MAURA	SUNAMERICA FOCUSED ALPHA GROWTH A	0.00	0.40	0.00	0.40	0.0	0.04
08/10/2016	VIONE, LESLEY	SUNAMERICA FOCUSED ALPHA GROWTH A	0.00	0.11	0.00	0.11	0.0	0.01
08/10/2016	CELENTANO, MAURA	SUNAMERICA FOCUSED ALPHA GROWTH A	0.00	0.43	0.00	0.43	0.0	0.04
09/16/2016	VIONE, LESLEY	SUNAMERICA FOCUSED ALPHA GROWTH A	0.00	0.11	0.00	0.11	0.0	0.01
09/16/2016	CELENTANO, MAURA	SUNAMERICA FOCUSED ALPHA GROWTH A	0.00	0.44	0.00	0.44	0.0	0.04
10/12/2016	VIONE, LESLEY	SUNAMERICA FOCUSED ALPHA GROWTH A	0.00	0.11	0.00	0.11	0.0	0.01
10/12/2016	CELENTANO, MAURA	SUNAMERICA FOCUSED ALPHA GROWTH A	0.00	0.43	0.00	0.43	0.0	0.04
11/11/2016	VIONE, LESLEY	SUNAMERICA FOCUSED ALPHA GROWTH A	0.00	0.11	0.00	0.11	0.0	0.01
11/11/2016	CELENTANO, MAURA	SUNAMERICA FOCUSED ALPHA GROWTH A	0.00	0.44	0.00	0.44	0.0	0.04
12/19/2016	VIONE, LESLEY	SUNAMERICA FOCUSED ALPHA GROWTH A	0.00	0.11	0.00	0.11	0.0	0.01
12/19/2016	CELENTANO, MAURA	SUNAMERICA FOCUSED ALPHA GROWTH A	0.00	0.41	0.00	0.41	0.0	0.04
02/12/2016	REILLY, JAMES	SUNAMERICA FOCUSED ALPHA LARGE CAP A	0.00	3.46	0.00	3.46	0.0	0.35
02/12/2016	CELENTANO, MAURA	SUNAMERICA FOCUSED ALPHA LARGE CAP A	0.00	1.44	0.00	1.44	0.0	0.14
03/15/2016	REILLY, JAMES	SUNAMERICA FOCUSED ALPHA LARGE CAP A	0.00	3.14	0.00	3.14	0.0	0.31
03/15/2016	CELENTANO, MAURA	SUNAMERICA FOCUSED ALPHA LARGE CAP A	0.00	1.31	0.00	1.31	0.0	0.13
04/15/2016	REILLY, JAMES	SUNAMERICA FOCUSED ALPHA LARGE CAP A	0.00	3.55	0.00	3.55	0.0	0.36
04/15/2016	CELENTANO, MAURA	SUNAMERICA FOCUSED ALPHA LARGE CAP A	0.00	1.48	0.00	1.48	0.0	0.15
05/19/2016	REILLY, JAMES	SUNAMERICA FOCUSED ALPHA LARGE CAP A	0.00	3.51	0.00	3.51	0.0	0.35

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u> OVERRIDE TRANSACTIONS </u>								
BROKER: L149-ROBERT LUCHSINGER #388								
05/19/2016	CELENTANO, MAURA	SUNAMERICA FOCUSED ALPHA LARGE CAP A	0.00	1.46	0.00	1.46	0.0	0.15
06/15/2016	REILLY, JAMES	SUNAMERICA FOCUSED ALPHA LARGE CAP A	0.00	3.60	0.00	3.60	0.0	0.36
06/15/2016	CELENTANO, MAURA	SUNAMERICA FOCUSED ALPHA LARGE CAP A	0.00	1.50	0.00	1.50	0.0	0.15
07/14/2016	REILLY, JAMES	SUNAMERICA FOCUSED ALPHA LARGE CAP A	0.00	3.49	0.00	3.49	0.0	0.35
07/14/2016	CELENTANO, MAURA	SUNAMERICA FOCUSED ALPHA LARGE CAP A	0.00	1.45	0.00	1.45	0.0	0.15
08/10/2016	REILLY, JAMES	SUNAMERICA FOCUSED ALPHA LARGE CAP A	0.00	3.68	0.00	3.68	0.0	0.37
08/10/2016	CELENTANO, MAURA	SUNAMERICA FOCUSED ALPHA LARGE CAP A	0.00	1.53	0.00	1.53	0.0	0.15
09/16/2016	REILLY, JAMES	SUNAMERICA FOCUSED ALPHA LARGE CAP A	0.00	3.77	0.00	3.77	0.0	0.38
09/16/2016	CELENTANO, MAURA	SUNAMERICA FOCUSED ALPHA LARGE CAP A	0.00	1.57	0.00	1.57	0.0	0.16
10/12/2016	REILLY, JAMES	SUNAMERICA FOCUSED ALPHA LARGE CAP A	0.00	3.63	0.00	3.63	0.0	0.36
10/12/2016	CELENTANO, MAURA	SUNAMERICA FOCUSED ALPHA LARGE CAP A	0.00	1.51	0.00	1.51	0.0	0.15
11/11/2016	REILLY, JAMES	SUNAMERICA FOCUSED ALPHA LARGE CAP A	0.00	3.74	0.00	3.74	0.0	0.37
11/11/2016	CELENTANO, MAURA	SUNAMERICA FOCUSED ALPHA LARGE CAP A	0.00	1.56	0.00	1.56	0.0	0.16
12/19/2016	REILLY, JAMES	SUNAMERICA FOCUSED ALPHA LARGE CAP A	0.00	3.67	0.00	3.67	0.0	0.37
12/19/2016	CELENTANO, MAURA	SUNAMERICA FOCUSED ALPHA LARGE CAP A	0.00	1.53	0.00	1.53	0.0	0.15
02/09/2018	WESTRENN, SUSAN	SUNAMERICA FOCUSED ALPHA LARGE CAP A	0.00	1.62	0.00	1.62	0.0	0.16
02/09/2018	REILLY, MARGARET	SUNAMERICA FOCUSED MULTI ASSET A	0.00	12.86	0.00	12.86	0.0	1.29
02/09/2018	REILLY, MARGARET	SUNAMERICA FOCUSED MULTI ASSET B	0.00	4.13	0.00	4.13	0.0	0.41
02/12/2016	HUNTE, SHEILA	SUNAMERICA HIGH YIELD BOND A	0.00	0.69	0.00	0.69	0.0	0.07
03/15/2016	HUNTE, SHEILA	SUNAMERICA HIGH YIELD BOND A	0.00	0.64	0.00	0.64	0.0	0.06
04/15/2016	HUNTE, SHEILA	SUNAMERICA HIGH YIELD BOND A	0.00	0.70	0.00	0.70	0.0	0.07
05/19/2016	HUNTE, SHEILA	SUNAMERICA HIGH YIELD BOND A	0.00	0.69	0.00	0.69	0.0	0.07
06/15/2016	HUNTE, SHEILA	SUNAMERICA HIGH YIELD BOND A	0.00	0.71	0.00	0.71	0.0	0.07
07/14/2016	HUNTE, SHEILA	SUNAMERICA HIGH YIELD BOND A	0.00	0.69	0.00	0.69	0.0	0.07
08/10/2016	HUNTE, SHEILA	SUNAMERICA HIGH YIELD BOND A	0.00	0.72	0.00	0.72	0.0	0.07
09/16/2016	HUNTE, SHEILA	SUNAMERICA HIGH YIELD BOND A	0.00	0.73	0.00	0.73	0.0	0.07
10/12/2016	HUNTE, SHEILA	SUNAMERICA HIGH YIELD BOND A	0.00	0.71	0.00	0.71	0.0	0.07
11/11/2016	HUNTE, SHEILA	SUNAMERICA HIGH YIELD BOND A	0.00	0.73	0.00	0.73	0.0	0.07
12/19/2016	HUNTE, SHEILA	SUNAMERICA HIGH YIELD BOND A	0.00	0.70	0.00	0.70	0.0	0.07
02/12/2016	HUNTE, SHEILA	SUNAMERICA STRATEGIC BOND FUND CLAS	0.00	1.05	0.00	1.05	0.0	0.11
03/15/2016	HUNTE, SHEILA	SUNAMERICA STRATEGIC BOND FUND CLAS	0.00	0.97	0.00	0.97	0.0	0.10
04/15/2016	HUNTE, SHEILA	SUNAMERICA STRATEGIC BOND FUND CLAS	0.00	1.07	0.00	1.07	0.0	0.11
05/19/2016	HUNTE, SHEILA	SUNAMERICA STRATEGIC BOND FUND CLAS	0.00	1.05	0.00	1.05	0.0	0.11

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> OVERRIDE TRANSACTIONS </u>								
<u>BROKER: L149-ROBERT LUCHSINGER #388</u>								
06/15/2016	HUNTE, SHEILA	SUNAMERICA STRATEGIC BOND FUND CLAS	0.00	1.09	0.00	1.09	0.0	0.11
07/14/2016	HUNTE, SHEILA	SUNAMERICA STRATEGIC BOND FUND CLAS	0.00	1.07	0.00	1.07	0.0	0.11
08/10/2016	HUNTE, SHEILA	SUNAMERICA STRATEGIC BOND FUND CLAS	0.00	1.12	0.00	1.12	0.0	0.11
09/16/2016	HUNTE, SHEILA	SUNAMERICA STRATEGIC BOND FUND CLAS	0.00	1.13	0.00	1.13	0.0	0.11
10/12/2016	HUNTE, SHEILA	SUNAMERICA STRATEGIC BOND FUND CLAS	0.00	1.09	0.00	1.09	0.0	0.11
11/11/2016	HUNTE, SHEILA	SUNAMERICA STRATEGIC BOND FUND CLAS	0.00	1.13	0.00	1.13	0.0	0.11
12/19/2016	HUNTE, SHEILA	SUNAMERICA STRATEGIC BOND FUND CLAS	0.00	1.07	0.00	1.07	0.0	0.11
02/09/2018	WESTRENEN, SUSAN	SUNAMERICA STRATEGIC VALUE PORTFOLI	0.00	1.57	0.00	1.57	0.0	0.16
* L149-ROBERT LUCHSINGER SUBTOTAL *			\$100,751.76	\$1,024.14	\$0.00	\$1,024.14		\$102.62
<u>BROKER: MARK-S148 SMITH #401</u>								
02/05/2018	SPURGIN, LISBETH	FT FOUNDING FDS ALLOC C	300.00	3.00	0.00	3.00	0.0	1.56
* MARK-S148 SMITH SUBTOTAL *			\$300.00	\$3.00	\$0.00	\$3.00		\$1.56
<u>BROKER: DAVID EURTON #414</u>								
01/10/2018	SAHARA, IRENE	TA LANDMARK VA	199,379.86	166.15	0.00	166.15	0.0	166.15
01/23/2018	SAHARA, IRENE	TA LANDMARK VA	122,521.14	102.10	0.00	102.10	0.0	102.10
01/31/2018	DIXON REV, ROSE	TA LANDMARK VA	403,502.37	336.25	0.00	336.25	0.0	336.25
01/05/2018	RICE, DORIS	TRANSAMERICA B-SHARE	94,455.58	78.71	0.00	78.71	0.0	78.71
01/12/2018	SCHOLTEN, JOANNE	TRANSAMERICA B-SHARE	134,497.90	112.08	0.00	112.08	0.0	112.08
02/05/2018	SCHOLTEN TRUST, J	TRILINC GLOBAL IMPACT FUND C	0.00	60.36	0.00	60.36	0.0	60.36
* DAVID EURTON SUBTOTAL *			\$954,356.85	\$855.65	\$0.00	\$855.65		\$855.65
*** OVERRIDE TRANSACTIONS TOTAL ***			\$1,813,564.35	\$13,908.74	\$67.97	\$13,840.77		\$12,917.81

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

** - Indicates adjustment is not included in Totals or Commissions

^Date - Split Trade - full Investment Amount & Gross Commission displayed

BROKER COMMISSION TOTALS

Broker Transactions	\$1,236.66
Split Transactions	\$0.00
Override Transactions	\$12,917.81
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	\$14,154.47
Year-to-date Gross	\$9,689.24
Year-to-date Earnings	\$48,159.11