



Concorde Investment Services, LLC
COMMISSION STATEMENT
August 15, 2017

08/14/2017
 Page No. 1

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

BROKER #: Z116
 BRANCH: TADA WEALTH ADVISORS

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: PRIVATE PLACEMENT</u>								
08/04/2017	EYNARD, STEPHEN	GPB AUTOMOTIVE PORTFOLIO LP	50,000.00	3,500.00	0.00	3,500.00	90.0	3,150.00
		* PRIVATE PLACEMENT SUBTOTAL *	\$50,000.00	\$3,500.00	\$0.00	\$3,500.00		\$3,150.00
<u>PRODUCT CATEGORY: NON-TRADED BDC</u>								
08/03/2017	RUGH, BARBARA	FS INVESTMENT CORP IV CLASS T	0.00	20.00	0.00	20.00	90.0	18.00
		* NON-TRADED BDC SUBTOTAL *	\$0.00	\$20.00	\$0.00	\$20.00		\$18.00
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
07/24/2017	THOMPSON, TERRY	AM FUNDS 2015 TARGET DATE A	125.00	2.50	0.00	2.50	90.0	2.25
08/04/2017	KISSH, BARBARA	AM FUNDS AMERICAN BALANCED A	50.00	2.50	0.00	2.50	90.0	2.25
07/24/2017	VASSH, LYNN	AM FUNDS FUNDAMENTAL INVESTORS C	17.00	0.17	0.00	0.17	90.0	0.15
07/24/2017	VASSH, LYNN	AM FUNDS GROWTH FUND OF AMERICA C	16.50	0.17	0.00	0.17	90.0	0.15
07/24/2017	VASSH, LYNN	AM FUNDS WASHINGTON MUTUAL INVESTOR	16.50	0.17	0.00	0.17	90.0	0.15
		* MUTUAL FUNDS SUBTOTAL *	\$225.00	\$5.51	\$0.00	\$5.51		\$4.95
<u>PRODUCT CATEGORY: VARIABLE ANNUITIES</u>								
08/02/2017	MAASS EXCAVAT	GWL NET ASSET VALUE 401K	1,433,244.00	608.64	0.00	608.64	90.0	547.78
07/31/2017	SHELDON, MARK	JNL PERSPECTIVE ADV II 5/05	15,553.45	16.20	0.00	16.20	90.0	14.58
07/31/2017	DEHAHN, RAYMOND	JNL PERSPECTIVE ADV II 5/05	49,651.05	41.38	0.00	41.38	90.0	37.24
07/31/2017	JOHNSON, ROBERT	JNL PERSPECTIVE FOCUS	60,694.94	50.58	0.00	50.58	90.0	45.52
07/31/2017	HARTGERINK, BRETT	JNL PERSPECTIVE II 04/14	115,183.66	24.00	0.00	24.00	90.0	21.60
07/31/2017	INGHAM, LYNNE	JNL PERSPECTIVE II 05/05	14,953.30	6.23	0.00	6.23	90.0	5.61
07/31/2017	BELLAIRE, THOMAS	JNL PERSPECTIVE II 10/04	19,215.68	8.01	0.00	8.01	90.0	7.21
07/31/2017	DENNE, FRANCES	JNL PERSPECTIVE II 10/04	11,806.69	4.92	0.00	4.92	90.0	4.43
07/31/2017	HOSS, GAIL	JNL PERSPECTIVE L	74,599.58	80.82	0.00	80.82	90.0	72.74
07/31/2017	JEANQUART, ROBERT	JNL PERSPECTIVE L	5,857.25	6.35	0.00	6.35	90.0	5.72
07/31/2017	PECKMAN, MARCIA	JNL PERSPECTIVE L	86,615.93	93.83	0.00	93.83	90.0	84.45
07/31/2017	HOOTEN, ROBERT	JNL PERSPECTIVE L	34,030.45	36.87	0.00	36.87	90.0	33.18

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: VARIABLE ANNUITIES</u>								
07/31/2017	KAEDING, HAROLD	JNL PERSPECTIVE L	67,485.20	56.24	0.00	56.24	90.0	50.62
07/31/2017	BABICKY, SHERRY	JNL PERSPECTIVE L	55,424.12	64.66	0.00	64.66	90.0	58.19
07/31/2017	MCFADDEN, JAMES	JNL PERSPECTIVE L	170,855.33	199.33	0.00	199.33	90.0	179.40
07/31/2017	TASKONIS, RICHARD	JNL PERSPECTIVE L	129,767.31	151.40	0.00	151.40	90.0	136.26
07/31/2017	BABICKY, SHERRY	JNL PERSPECTIVE L	42,633.94	49.74	0.00	49.74	90.0	44.77
07/31/2017	EDQUIST, BETTY	JNL PERSPECTIVE L	44,540.16	37.12	0.00	37.12	90.0	33.41
07/31/2017	FLETCHER, JEWEL	JNL PERSPECTIVE L	26,496.38	22.08	0.00	22.08	90.0	19.87
07/31/2017	SMITH, BETTY	JNL PERSPECTIVE L	37,362.09	43.59	0.00	43.59	90.0	39.23
07/31/2017	NONDORF, DENNIS	JNL PERSPECTIVE L	10,930.58	9.11	0.00	9.11	90.0	8.20
07/31/2017	WILLIAMS, WARNER	JNL PERSPECTIVE L	34,009.47	28.34	0.00	28.34	90.0	25.51
07/31/2017	ZUPFER, CHARLES	JNL PERSPECTIVE L	31,769.65	26.47	0.00	26.47	90.0	23.82
07/31/2017	HUIZINGA, SHIRLEY	JNL PERSPECTIVE L	33,170.91	27.64	0.00	27.64	90.0	24.88
07/31/2017	SPERER, MARION	JNL PERSPECTIVE L	24,400.40	20.33	0.00	20.33	90.0	18.30
07/31/2017	VERBETEN, KAREN	JNL PERSPECTIVE L	9,297.50	10.85	0.00	10.85	90.0	9.77
07/31/2017	BOLAND, TERRENCE	JNL PERSPECTIVE L	24,074.94	28.09	0.00	28.09	90.0	25.28
07/31/2017	HARTGERINK, EDWARD	JNL PERSPECTIVE L	31,951.37	34.61	0.00	34.61	90.0	31.15
07/31/2017	HARTGERINK, EDWARD	JNL PERSPECTIVE L	29,934.32	32.43	0.00	32.43	90.0	29.19
07/31/2017	HARTGERINK, EDWARD	JNL PERSPECTIVE L	31,172.87	25.98	0.00	25.98	90.0	23.38
07/31/2017	BODVEN, BRUCE	JNL PERSPECTIVE L	56,547.83	65.97	0.00	65.97	90.0	59.37
07/31/2017	PAULICK, BERNARD	JNL PERSPECTIVE L	146,542.17	122.12	0.00	122.12	90.0	109.91
07/31/2017	SORENSEN SR, ROBERT	JNL PERSPECTIVE L	142,140.78	118.45	0.00	118.45	90.0	106.61
07/31/2017	RACK, JOAN	JNL PERSPECTIVE L	145,653.14	157.79	0.00	157.79	90.0	142.01
07/31/2017	HUIZINGA, SHIRLEY	JNL PERSPECTIVE L	107,511.63	89.59	0.00	89.59	90.0	80.63
07/31/2017	INGHAM, LYNNE	JNL PERSPECTIVE L	70,713.16	58.93	0.00	58.93	90.0	53.04
07/31/2017	SORENSEN SR, ROBERT	JNL PERSPECTIVE L	173,131.46	144.28	0.00	144.28	90.0	129.85
07/31/2017	CRAWFORD, TIMOTHY	JNL PERSPECTIVE L	209,384.78	174.49	0.00	174.49	90.0	157.04
07/31/2017	WELLMAN, JAMES	JNL PERSPECTIVE L	58,488.21	68.24	0.00	68.24	90.0	61.42
07/31/2017	CRAWFORD, JEANNE	JNL PERSPECTIVE L	102,620.50	119.72	0.00	119.72	90.0	107.75
07/31/2017	THOMPSON, CAROL	JNL PERSPECTIVE L	79,738.54	66.45	0.00	66.45	90.0	59.81
07/31/2017	SHELDON, SUSAN	JNL PERSPECTIVE L	49,890.85	41.58	0.00	41.58	90.0	37.42
07/31/2017	SHELDON, MARK	JNL PERSPECTIVE L	97,034.27	113.21	0.00	113.21	90.0	101.89
07/31/2017	FIEHWEG-CARTWRIGHT, LISA	JNL PERSPECTIVE L	380,144.65	316.79	0.00	316.79	90.0	285.11
07/31/2017	PERONE, PASQUALE	JNL PERSPECTIVE L	644,951.18	752.44	0.00	752.44	90.0	677.20

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: VARIABLE ANNUITIES</u>								
07/31/2017	PECKMAN, ROGER	JNL PERSPECTIVE L	140,666.32	164.11	0.00	164.11	90.0	147.70
07/31/2017	RUFFOLO, BENNY	JNL PERSPECTIVE L	106,992.63	124.82	0.00	124.82	90.0	112.34
07/31/2017	ZUPEK, DAVID	JNL PERSPECTIVE L	228,519.58	266.61	0.00	266.61	90.0	239.95
07/31/2017	FALBO, DIANE	JNL PERSPECTIVE L	677,824.09	790.79	0.00	790.79	90.0	711.71
07/31/2017	GAFKA, PHILIP	JNL PERSPECTIVE L	196,695.72	229.48	0.00	229.48	90.0	206.53
07/31/2017	GAFKA, PHILIP	JNL PERSPECTIVE L	368,157.81	429.52	0.00	429.52	90.0	386.57
07/31/2017	HARRIS, BILLY	JNL PERSPECTIVE L	284,683.54	332.13	0.00	332.13	90.0	298.92
07/31/2017	HEBERLING, DONALD	JNL PERSPECTIVE L	20,640.52	17.20	0.00	17.20	90.0	15.48
07/31/2017	WAYO, DARLENE	JNL PERSPECTIVE L	70,464.53	58.72	0.00	58.72	90.0	52.85
07/31/2017	HOSS, GAIL	JNL PERSPECTIVE L	76,616.44	89.39	0.00	89.39	90.0	80.45
07/31/2017	MUELLER, ROMAYNE	JNL PERSPECTIVE L	57,034.81	47.53	0.00	47.53	90.0	42.78
07/31/2017	PETERSEN, THOMAS	JNL PERSPECTIVE L	106,618.19	88.85	0.00	88.85	90.0	79.97
07/31/2017	STARK, GLORIA	JNL PERSPECTIVE L	62,376.17	51.98	0.00	51.98	90.0	46.78
07/31/2017	SMITHANA, MARGARET	JNL PERSPECTIVE L	247,441.13	206.20	0.00	206.20	90.0	185.58
07/31/2017	GIBSON, ROBERT	JNL PERSPECTIVE L	315,442.13	262.87	0.00	262.87	90.0	236.58
07/31/2017	MCFADDEN, JAMES	JNL PERSPECTIVE L	31,237.77	26.03	0.00	26.03	90.0	23.43
07/31/2017	KELLOGG, MICHAEL	JNL PERSPECTIVE L	225,665.26	188.05	0.00	188.05	90.0	169.25
07/31/2017	BIRKHOLZ, GAY	JNL PERSPECTIVE L	113,025.52	94.19	0.00	94.19	90.0	84.77
07/31/2017	HORNACEK, JOSEPH	JNL PERSPECTIVE L	400,710.62	467.50	0.00	467.50	90.0	420.75
07/31/2017	HALL, MICHAEL	JNL PERSPECTIVE L	132,073.88	110.06	0.00	110.06	90.0	99.05
07/31/2017	BARRETT, PERRY	JNL PERSPECTIVE L	152,534.46	127.11	0.00	127.11	90.0	114.40
07/31/2017	ZUPFER, JO	JNL PERSPECTIVE L	92,964.09	77.47	0.00	77.47	90.0	69.72
07/31/2017	BECKER, JOHN	JNL PERSPECTIVE L	123,452.93	102.88	0.00	102.88	90.0	92.59
07/31/2017	BECKER, JOHN	JNL PERSPECTIVE L	153,374.48	127.81	0.00	127.81	90.0	115.03
07/31/2017	HALL, MICHAEL	JNL PERSPECTIVE L	133,769.60	111.47	0.00	111.47	90.0	100.32
07/31/2017	BAHR, JEFFREY	JNL PERSPECTIVE L	123,779.56	103.15	0.00	103.15	90.0	92.84
07/31/2017	STEPHENS, CAROL	JNL PERSPECTIVE L	366,062.81	305.05	0.00	305.05	90.0	274.55
07/31/2017	GLENNAN, DONALD	JNL PERSPECTIVE L	350,457.99	292.05	0.00	292.05	90.0	262.85
07/27/2017	GAFKA, PHILIP	RELIASTAR FLEX DESIGN VUL	265,895.68	664.74	0.00	664.74	90.0	598.27
* VARIABLE ANNUITIES SUBTOTAL *			\$10,846,353.93	\$10,213.65	\$0.00	\$10,213.65		\$9,192.36

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
07/17/2017	AULER, WILLIAM	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	27.33	0.00	27.33	90.0	24.60
07/19/2017	COTE, WILLIAM	GRIFFIN INSTITUTIONAL ACCESS REAL E	0.00	12.43	0.00	12.43	90.0	11.19
07/18/2017	SIMMONS, JERRY	JP MORGAN INVESTOR GROWTH & INCOME	0.00	5.50	0.00	5.50	90.0	4.95
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *			\$0.00	\$45.26	\$0.00	\$45.26		\$40.74
*** BROKER TRANSACTIONS TOTAL ***			\$10,896,578.93	\$13,784.42	\$0.00	\$13,784.42		\$12,406.05

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

08/02/2017	WIKAR, HALINA	MFS BLENDED RESEARCH CORE C	65.00	0.23	0.00	0.23	90.0	0.21
08/02/2017	WIKAR, HALINA	MFS BLENDED RESEARCH CORE C	11.89	0.04	0.00	0.04	90.0	0.04
07/21/2017	WALCZYK, ANNA	MFS BLENDED RESEARCH CORE FD B	30.00	0.42	0.00	0.42	90.0	0.38
07/21/2017	WALCZYK, ANNA	MFS BLENDED RESEARCH CORE FD B	30.00	0.42	0.00	0.42	90.0	0.38
07/20/2017	LOWISZ, WLADYSLAWA	MFS CONSERVATIVE ALLOCATION B	108.00	1.51	0.00	1.51	90.0	1.36
07/20/2017	LOWISZ, WLADYSLAWA	MFS EMERGING MARKETS DEBT FUND B	108.00	1.51	0.00	1.51	90.0	1.36
07/21/2017	WALCZYK, ANNA	MFS GLOBAL REAL ESTATE FUND B	30.00	0.42	0.00	0.42	90.0	0.38
07/21/2017	WALCZYK, ANNA	MFS GLOBAL REAL ESTATE FUND B	30.00	0.42	0.00	0.42	90.0	0.38
07/21/2017	TULEWICZ, KRYSZYNA	MFS GLOBAL REAL ESTATE FUND B	13.25	0.19	0.00	0.19	90.0	0.17
07/21/2017	TULEWICZ, KRYSZYNA	MFS GLOBAL REAL ESTATE FUND B	7.95	0.11	0.00	0.11	90.0	0.10
08/02/2017	SZAJEWSKI, REGINA	MFS GLOBAL TOTAL RETURN FUND-B	206.35	2.89	0.00	2.89	90.0	2.60
08/02/2017	SZAJEWSKI, REGINA	MFS GLOBAL TOTAL RETURN FUND-B	30.95	0.43	0.00	0.43	90.0	0.39
08/07/2017	CHOWANIEC, WOJCIECH	MFS GROWTH ALLOCATION 529C	200.00	0.70	0.00	0.70	90.0	0.63
07/21/2017	WALCZYK, ANNA	MFS GROWTH ALLOCATION B	30.00	0.42	0.00	0.42	90.0	0.38
07/21/2017	WALCZYK, ANNA	MFS GROWTH ALLOCATION B	30.00	0.42	0.00	0.42	90.0	0.38
07/21/2017	TULEWICZ, KRYSZYNA	MFS GROWTH ALLOCATION B	13.25	0.19	0.00	0.19	90.0	0.17
07/21/2017	TULEWICZ, KRYSZYNA	MFS GROWTH ALLOCATION B	7.95	0.11	0.00	0.11	90.0	0.10
08/02/2017	WIKAR, SYLVIA	MFS GROWTH ALLOCATION B	39.54	0.55	0.00	0.55	90.0	0.50
08/02/2017	WIKAR, SYLVIA	MFS GROWTH ALLOCATION B	23.71	0.33	0.00	0.33	90.0	0.30
08/02/2017	SZAJEWSKI, REGINA	MFS GROWTH ALLOCATION B	206.35	2.89	0.00	2.89	90.0	2.60
08/02/2017	SZAJEWSKI, REGINA	MFS GROWTH ALLOCATION B	30.95	0.43	0.00	0.43	90.0	0.39
08/02/2017	WIKAR, HALINA	MFS GROWTH C	65.00	0.23	0.00	0.23	90.0	0.21
08/02/2017	WIKAR, HALINA	MFS GROWTH C	11.89	0.04	0.00	0.04	90.0	0.04
08/02/2017	WIKAR, SYLVIA	MFS INTERNATIOANL DEVERSIFICATION F	39.55	0.55	0.00	0.55	90.0	0.50

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<u>SPLIT TRANSACTIONS</u>								
BROKER: R127-RICH/MARK/HALIN RODRIG/HUBER/W #172								
08/02/2017	WIKAR, SYLVIA	MFS INTERNATIOANL DEVERSIFICATION F	23.73	0.33	0.00	0.33	90.0	0.30
08/02/2017	WIKAR, HALINA	MFS LOW VOLATILITY EQUITY FUND C	390.00	1.37	0.00	1.37	90.0	1.23
08/02/2017	WIKAR, HALINA	MFS LOW VOLATILITY EQUITY FUND C	71.30	0.25	0.00	0.25	90.0	0.23
07/20/2017	LOWISZ, WLADYSLAWA	MFS MODERATE ALLOCATION B	108.00	1.51	0.00	1.51	90.0	1.36
08/01/2017	WALUSZKO, SYLWIA	MFS MODERATE ALLOCATION C	20.00	0.07	0.00	0.07	90.0	0.06
08/02/2017	WIKAR, HALINA	MFS NEW DISCOVERY VALUE FUND C	130.00	0.46	0.00	0.46	90.0	0.41
08/02/2017	WIKAR, HALINA	MFS NEW DISCOVERY VALUE FUND C	23.77	0.08	0.00	0.08	90.0	0.07
07/20/2017	LOWISZ, WLADYSLAWA	MFS UTILITIES B	108.00	1.51	0.00	1.51	90.0	1.36
07/21/2017	WALCZYK, ANNA	MFS UTILITIES B	30.00	0.42	0.00	0.42	90.0	0.38
07/21/2017	WALCZYK, ANNA	MFS UTILITIES B	30.00	0.42	0.00	0.42	90.0	0.38
07/21/2017	TULEWICZ, KRYSTYNA	MFS UTILITIES B	13.25	0.19	0.00	0.19	90.0	0.17
07/21/2017	TULEWICZ, KRYSTYNA	MFS UTILITIES B	7.95	0.11	0.00	0.11	90.0	0.10
08/02/2017	WIKAR, SYLVIA	MFS UTILITIES B	39.54	0.55	0.00	0.55	90.0	0.50
08/02/2017	WIKAR, SYLVIA	MFS UTILITIES B	23.73	0.33	0.00	0.33	90.0	0.30
08/01/2017	WALUSZKO, SYLWIA	MFS UTILITIES C	20.00	0.07	0.00	0.07	90.0	0.06
07/20/2017	LOWISZ, WLADYSLAWA	MFS VALUE B	108.00	1.51	0.00	1.51	90.0	1.36
07/21/2017	WALCZYK, ANNA	MFS VALUE B	30.00	0.42	0.00	0.42	90.0	0.38
07/21/2017	WALCZYK, ANNA	MFS VALUE B	30.00	0.42	0.00	0.42	90.0	0.38
07/21/2017	TULEWICZ, KRYSTYNA	MFS VALUE B	13.25	0.19	0.00	0.19	90.0	0.17
07/21/2017	TULEWICZ, KRYSTYNA	MFS VALUE B	7.95	0.11	0.00	0.11	90.0	0.10
08/02/2017	WIKAR, SYLVIA	MFS VALUE B	39.54	0.55	0.00	0.55	90.0	0.50
08/02/2017	WIKAR, SYLVIA	MFS VALUE B	23.73	0.33	0.00	0.33	90.0	0.30
08/02/2017	SZAJEWSKI, REGINA	MFS VALUE B	212.61	2.98	0.00	2.98	90.0	2.68
08/02/2017	SZAJEWSKI, REGINA	MFS VALUE B	31.90	0.45	0.00	0.45	90.0	0.41
08/01/2017	WALUSZKO, SYLWIA	MFS VALUE C	20.00	0.07	0.00	0.07	90.0	0.06
07/17/2017	CHOWANIEC, WOJCIECH	PUTNAM 529 AGE-BASED 2014-A	200.00	3.50	0.00	3.50	90.0	3.15
07/10/2017	WIKAR, HALINA	UBT AGGRESSIVE AGE BASED 0-02-A	100.00	1.05	0.00	1.05	90.0	0.95
* R127-RICH/MARK/HALIN RODRIG/HUBER/W SUBTOTAL *			\$3,225.83	\$34.70	\$0.00	\$34.70		\$31.30
*** SPLIT TRANSACTIONS TOTAL ***			\$3,225.83	\$34.70	\$0.00	\$34.70		\$31.30

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<u> OVERRIDE TRANSACTIONS </u>								
<u>BROKER: R121-RICHARD RODRIGUEZ #88</u>								
07/31/2017	CAPSTRAW, RONALD	JNL PERSPECTIVE L	391,499.90	326.24	0.00	326.24	0.0	293.62
07/31/2017	CAPSTRAW, RONALD &	JNL PERSPECTIVE L	230,349.16	191.96	0.00	191.96	0.0	172.76
07/31/2017	ROSE, PETER	JNL PERSPECTIVE L	32,991.37	27.50	0.00	27.50	0.0	24.75
* R121-RICHARD RODRIGUEZ SUBTOTAL *			\$654,840.43	\$545.70	\$0.00	\$545.70		\$491.13
<u>BROKER: MARK HUBER #89</u>								
07/30/2017	COTE JT TEN, CAROL	BR TOTAL INC & REAL ESTATE FUND A	0.00	14.05	0.00	14.05	0.0	12.65
* MARK HUBER SUBTOTAL *			\$0.00	\$14.05	\$0.00	\$14.05		\$12.65
<u>BROKER: R122-RICHARD/MARK RODRIGUEZ/HUBER #90</u>								
07/30/2017	CIPPARRONE, NANCY	BR TOTAL INC & REAL ESTATE FUND A	0.00	4.36	0.00	4.36	0.0	3.92
07/30/2017	NARDINI TRUST, RONALD	BR TOTAL INC & REAL ESTATE FUND A	0.00	5.31	0.00	5.31	0.0	4.78
07/30/2017	NARDINI TRUST, BARBARA	BR TOTAL INC & REAL ESTATE FUND A	0.00	5.31	0.00	5.31	0.0	4.78
07/30/2017	NARDINI, BARBARA	BR TOTAL INC & REAL ESTATE FUND A	0.00	19.06	0.00	19.06	0.0	17.15
07/30/2017	NARDINI, RONALD	BR TOTAL INC & REAL ESTATE FUND A	0.00	20.35	0.00	20.35	0.0	18.32
08/02/2017	ARCIUCH, ARTUR	MFS EMERGING MARKETS EQUITY A	1,100.00	19.25	0.00	19.25	0.0	17.33
08/02/2017	ARCIUCH, ARTUR	MFS EMERGING MARKETS EQUITY A	237.70	4.16	0.00	4.16	0.0	3.74
* R122-RICHARD/MARK RODRIGUEZ/HUBER SUBTOTAL *			\$1,337.70	\$77.80	\$0.00	\$77.80		\$70.02
<u>BROKER: MICHAEL VENTURINI #127</u>								
07/31/2017	CAMPOLO, JON	JNL PERSPECTIVE L	20,732.38	17.27	0.00	17.27	0.0	15.54
07/31/2017	CAMPOLO, JUDITH	JNL PERSPECTIVE L	16,659.62	13.88	0.00	13.88	0.0	12.49
* MICHAEL VENTURINI SUBTOTAL *			\$37,392.00	\$31.15	\$0.00	\$31.15		\$28.03
<u>BROKER: WENDY GOODING #158</u>								
07/17/2017	WALLACE, STEVEN	JP MORGAN INVESTOR GRTH & INC C	100.00	1.00	0.00	1.00	0.0	0.35
* WENDY GOODING SUBTOTAL *			\$100.00	\$1.00	\$0.00	\$1.00		\$0.35
<u>BROKER: HALINA WIKAR #171</u>								
06/30/2017	KOZIOL SIMPLE PLAN,	BLK GROWTH PORT C1	0.00	8.78	0.00	8.78	55.0	3.07
06/30/2017	KOZIOL SIMPLE PLAN,	BLK GROWTH PORT C1	0.00	8.78	0.00	8.78	55.0	3.07
06/30/2017	KOZIOL SIMPLE PLAN,	BLK MOD 13-16 AGE BASED C1	0.00	6.33	0.00	6.33	55.0	2.22
06/30/2017	KOZIOL SIMPLE PLAN,	BLK MOD 13-16 AGE BASED C1	0.00	6.33	0.00	6.33	55.0	2.22
08/01/2017	BECKER, KARINA	MFS BLENDED RESEARCH CORE C	180.00	1.80	0.00	1.80	55.0	0.63
08/02/2017	WAL, SEBASTIAN	MFS BLENDED RESEARCH CORE C	125.36	1.25	0.00	1.25	55.0	0.44
08/02/2017	WAL, SEBASTIAN	MFS BLENDED RESEARCH CORE C	37.61	0.38	0.00	0.38	55.0	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: HALINA WIKAR #171</u>								
08/02/2017	THOMAS, SYLVIA	MFS BLENDED RESEARCH CORE C	28.66	0.29	0.00	0.29	55.0	0.10
08/02/2017	THOMAS, SYLVIA	MFS BLENDED RESEARCH CORE C	47.76	0.48	0.00	0.48	55.0	0.17
08/02/2017	KRELLER, KRISTYNA	MFS BLENDED RESEARCH CORE C	40.00	0.40	0.00	0.40	55.0	0.14
08/01/2017	BECKER, KARINA	MFS DIVERSIFIED INCOME FUND C	180.00	1.80	0.00	1.80	55.0	0.63
08/02/2017	THOMAS, SYLVIA	MFS DIVERSIFIED INCOME FUND C	28.66	0.29	0.00	0.29	55.0	0.10
08/02/2017	THOMAS, SYLVIA	MFS DIVERSIFIED INCOME FUND C	47.76	0.48	0.00	0.48	55.0	0.17
08/02/2017	WAL, SEBASTIAN	MFS DIVERSIFIED INCOME FUND C	125.36	1.25	0.00	1.25	55.0	0.44
08/02/2017	WAL, SEBASTIAN	MFS DIVERSIFIED INCOME FUND C	37.60	0.38	0.00	0.38	55.0	0.13
08/02/2017	WIKAR, HALINA	MFS DIVERSIFIED INCOME FUND C	130.00	1.30	0.00	1.30	55.0	0.46
08/02/2017	WIKAR, HALINA	MFS DIVERSIFIED INCOME FUND C	23.77	0.24	0.00	0.24	55.0	0.08
08/01/2017	ZAREBA, GRZEGORZ	MFS EMERGING MARKETS DEBT FUND B	50.00	2.00	0.00	2.00	55.0	0.70
07/20/2017	TYLMAN, PETER	MFS EMERGING MKTS DEBT FUND C	50.00	0.50	0.00	0.50	55.0	0.18
07/20/2017	TYLMAN, JOANNA	MFS EMERGING MKTS DEBT FUND C	50.00	0.50	0.00	0.50	55.0	0.18
08/02/2017	WAL, SEBASTIAN	MFS EMERGING MKTS DEBT FUND C	94.02	0.94	0.00	0.94	55.0	0.33
08/02/2017	WAL, SEBASTIAN	MFS EMERGING MKTS DEBT FUND C	28.21	0.28	0.00	0.28	55.0	0.10
08/02/2017	KRELLER, KRISTYNA	MFS EMERGING MKTS DEBT FUND C	40.00	0.40	0.00	0.40	55.0	0.14
08/01/2017	ZAREBA, NATALIA	MFS GROWTH ALLOCATION FUND -529B	50.00	2.00	0.00	2.00	55.0	0.70
08/02/2017	THOMAS, SYLVIA	MFS INTERNATIONAL NEW DISCOVERY C	22.93	0.23	0.00	0.23	55.0	0.08
07/20/2017	SWIDER, JULIA	MFS LIMITED MATURITY FUND 529B	50.00	2.00	0.00	2.00	55.0	0.70
07/21/2017	GABEROV, VASIL	MFS LOW VOLATILITY EQUITY FUND C	50.00	0.50	0.00	0.50	55.0	0.18
07/21/2017	GABEROVA, STELLA	MFS LOW VOLATILITY EQUITY FUND C	50.00	0.50	0.00	0.50	55.0	0.18
08/02/2017	KRELLER, KRISTYNA	MFS MODERATE ALLOCATION C	40.00	0.40	0.00	0.40	55.0	0.14
07/21/2017	GABEROV, VASIL	MFS NEW DISCOVERY VALUE FUND C	50.00	0.50	0.00	0.50	55.0	0.18
07/21/2017	GABEROVA, STELLA	MFS NEW DISCOVERY VALUE FUND C	50.00	0.50	0.00	0.50	55.0	0.18
08/02/2017	WAL, SEBASTIAN	MFS RESEARCH BOND FUND C	125.36	1.25	0.00	1.25	55.0	0.44
08/02/2017	WAL, SEBASTIAN	MFS RESEARCH BOND FUND C	37.61	0.38	0.00	0.38	55.0	0.13
08/02/2017	THOMAS, SYLVIA	MFS RESEARCH BOND FUND C	5.73	0.06	0.00	0.06	55.0	0.02
08/02/2017	THOMAS, SYLVIA	MFS RESEARCH BOND FUND C	47.76	0.48	0.00	0.48	55.0	0.17
08/02/2017	KRELLER, KRISTYNA	MFS RESEARCH BOND FUND C	40.00	0.40	0.00	0.40	55.0	0.14
08/01/2017	ZAREBA, GRZEGORZ	MFS UTILITIES B	50.00	2.00	0.00	2.00	55.0	0.70
07/20/2017	TYLMAN, JOANNA	MFS UTILITIES C	50.00	0.50	0.00	0.50	55.0	0.18
07/20/2017	TYLMAN, PETER	MFS UTILITIES C	50.00	0.50	0.00	0.50	55.0	0.18
07/21/2017	GABEROV, VASIL	MFS UTILITIES C	70.00	0.70	0.00	0.70	55.0	0.25

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<u> OVERRIDE TRANSACTIONS </u>								
<u>BROKER: HALINA WIKAR #171</u>								
07/21/2017	GABEROVA, STELLA	MFS UTILITIES C	70.00	0.70	0.00	0.70	55.0	0.25
08/01/2017	BECKER, KARINA	MFS UTILITIES C	180.00	1.80	0.00	1.80	55.0	0.63
08/02/2017	WIKAR, HALINA	MFS UTILITIES C	260.00	2.60	0.00	2.60	55.0	0.91
08/02/2017	WIKAR, HALINA	MFS UTILITIES C	47.54	0.48	0.00	0.48	55.0	0.17
08/02/2017	KRELLER, KRYSTYNA	MFS UTILITIES C	40.00	0.40	0.00	0.40	55.0	0.14
08/02/2017	WAL, SEBASTIAN	MFS UTILITIES C	156.71	1.57	0.00	1.57	55.0	0.55
08/02/2017	WAL, SEBASTIAN	MFS UTILITIES C	47.01	0.47	0.00	0.47	55.0	0.16
08/02/2017	THOMAS, SYLVIA	MFS UTILITIES C	28.66	0.29	0.00	0.29	55.0	0.10
08/02/2017	THOMAS, SYLVIA	MFS UTILITIES C	47.77	0.48	0.00	0.48	55.0	0.17
07/20/2017	TYLMAN, PETER	MFS VALUE C	50.00	0.50	0.00	0.50	55.0	0.18
07/20/2017	TYLMAN, JOANNA	MFS VALUE C	50.00	0.50	0.00	0.50	55.0	0.18
08/02/2017	WIKAR, HALINA	MFS VALUE C	260.00	2.60	0.00	2.60	55.0	0.91
08/02/2017	WIKAR, HALINA	MFS VALUE C	47.54	0.48	0.00	0.48	55.0	0.17
* HALINA WIKAR SUBTOTAL *			\$3,469.39	\$70.95	\$0.00	\$70.95		\$24.90
<u>BROKER: R133-RICH/MARK/DAVE RODRIGUEZ/HUBER #269</u>								
07/24/2017	WEBER, SANDRA	AM FUNDS 2020 TARGET DATE-A	25.00	0.50	0.00	0.50	0.0	0.45
07/24/2017	HEFT, SAMANTHA	AM FUNDS 2035 TARGET DATE-A	50.00	1.00	0.00	1.00	0.0	0.90
06/30/2017	SWAFFORD, WILLIAM	BLK MOD 13-16 AGE BASED A	0.00	1.37	0.00	1.37	0.0	1.23
06/30/2017	SWAFFORD, WILLIAM	BLK MOD 13-16 AGE BASED A	0.00	1.56	0.00	1.56	0.0	1.40
07/18/2017	ROSE, PETER	CARTER VALIDUS MC REIT II CLASS T	0.00	41.42	0.00	41.42	0.0	37.28
07/18/2017	ALLEN, SUSAN	CARTER VALIDUS MC REIT II CLASS T	0.00	20.71	0.00	20.71	0.0	18.64
07/18/2017	DURBANO, LAURA	CARTER VALIDUS MC REIT II CLASS T	0.00	16.57	0.00	16.57	0.0	14.91
07/18/2017	MAY, ROBERT	CARTER VALIDUS MC REIT II CLASS T	0.00	57.53	0.00	57.53	0.0	51.78
08/03/2017	SKOWRON, ALEKSANDER	FS INVESTMENT CORP IV CLASS T	0.00	11.88	0.00	11.88	0.0	10.69
08/03/2017	GIBSON, PAMELA	FS INVESTMENT CORP IV CLASS T	0.00	22.28	0.00	22.28	0.0	20.05
07/25/2017	MORISON, JANICE	MOODY NATIONAL REIT II	75,000.00	5,250.00	0.00	5,250.00	0.0	4,725.00
* R133-RICH/MARK/DAVE RODRIGUEZ/HUBER SUBTOTAL *			\$75,075.00	\$5,424.82	\$0.00	\$5,424.82		\$4,882.33
<u>BROKER: R150-RICHARD RODRIGUEZ, JR. #398</u>								
08/03/2017	KLING, JANICE	ARCTRUST FOLLOW-ON 4	50,000.00	3,000.00	0.00	3,000.00	0.0	2,700.00
* R150-RICHARD RODRIGUEZ, JR. SUBTOTAL *			\$50,000.00	\$3,000.00	\$0.00	\$3,000.00		\$2,700.00
*** OVERRIDE TRANSACTIONS TOTAL ***			\$822,214.52	\$9,165.47	\$0.00	\$9,165.47		\$8,209.41

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>ADJUSTMENTS</u>								
08/15/2017		*E & O INSURANCE: CURRENT MONTH INS	0.00					-300.00
08/15/2017		*E & O INSURANCE: CURRENT MONTH INS	0.00					-300.00
08/15/2017		*E & O INSURANCE: CURRENT MONTH INS	0.00					-300.00
08/15/2017		*MARKETING LIBRARY: MARKETING LIBRA	0.00					-20.00
08/15/2017		*PERSHING: BOOKS & RECORDS	0.00					-1.50
08/15/2017		*TECH: ADMIN - L JOCIUS	0.00					-100.00
08/15/2017		*TECH: ADMIN - RON HAMILTON	0.00					-100.00
08/15/2017		*TECH: ADMIN: JOHN ZUPEK	0.00					-100.00
08/15/2017		*TECHNOLOGY: ADMIN - AMANDA MOON	0.00					-100.00
08/15/2017		*TECHNOLOGY: ALBRIDGE FULL	0.00					-100.00
08/15/2017		*TECHNOLOGY: CURRENT MONTH TECH	0.00					-275.00
08/15/2017		*TECHNOLOGY: CURRENT MONTH TECH-MAR	0.00					-275.00
08/15/2017		*TECHNOLOGY: CURRENT MONTH TECH-RIC	0.00					-275.00
*** ADJUSTMENTS TOTAL ***			\$0.00	\$0.00	\$0.00	\$0.00		\$-2,246.50

BROKER COMMISSION TOTALS

Broker Transactions	\$12,406.05
Split Transactions	\$31.30
Override Transactions	\$8,209.41
Adjustments	\$-2,246.50
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$0.00
FINRA Assessment	\$0.00
SIPC Assessment	\$0.00

Check Amount	\$18,400.26
Year-to-date Gross	\$138,609.45
Year-to-date Earnings	\$215,972.43

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