



Concorde Investment Services, LLC
COMMISSION STATEMENT
March 15, 2017

03/14/2017
 Page No. 1

NATHANIEL KUHN
 612 S. Bristol Lane

BROKER #: K134
 BRANCH: KUHN FINANCIAL, INC

Arlington Heights, IL 60005-

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: 1031 EXCHANGE</u>								
02/27/2017	BILLINGS TRUST, JULIE	PASSCO BLOCKS DST	189,090.00	6,618.15	0.00	6,618.15	90.0	5,956.34
		* 1031 EXCHANGE SUBTOTAL *	\$189,090.00	\$6,618.15	\$0.00	\$6,618.15		\$5,956.34
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
03/01/2017	RUSSELL, ELIZABETH	AM FUNDS 2045 TARGET DATE-A	0.00	4.71	0.00	4.71	90.0	4.24
02/21/2017	STETTER, MARIA	AM FUNDS AMCAP A	50.00	1.88	0.00	1.88	90.0	1.69
02/28/2017	WHITE, AMANDA	AM FUNDS AMCAP A	32.50	1.38	0.00	1.38	90.0	1.24
03/01/2017	KOVACH, ERIC	AM FUNDS AMCAP A	25.00	1.06	0.00	1.06	90.0	0.95
03/01/2017	RAPATA, DANIEL	AM FUNDS AMCAP A	50.00	1.38	0.00	1.38	90.0	1.24
03/01/2017	SAMAS, KATIE	AM FUNDS AMCAP A	0.00	0.85	0.00	0.85	90.0	0.77
03/01/2017	SAMAS, KATIE	AM FUNDS AMCAP A	0.00	0.56	0.00	0.56	90.0	0.50
03/01/2017	LAMPI, KEITH	AM FUNDS AMCAP A	0.00	10.25	0.00	10.25	90.0	9.23
03/01/2017	SAMAS JR, JOSEPH	AM FUNDS AMCAP A	0.00	0.57	0.00	0.57	90.0	0.51
03/01/2017	WHITE, AMANDA	AM FUNDS AMCAP A	0.00	5.34	0.00	5.34	90.0	4.81
03/01/2017	PARADISE, MICHAEL	AM FUNDS AMCAP A	0.00	5.79	0.00	5.79	90.0	5.21
03/01/2017	PARADISE, MICHEAL	AM FUNDS AMCAP A	0.00	4.71	0.00	4.71	90.0	4.24
03/01/2017	WELLINGTON, AARON	AM FUNDS AMCAP A	0.00	4.10	0.00	4.10	90.0	3.69
03/01/2017	STETTER, MARIA	AM FUNDS AMCAP A	0.00	6.97	0.00	6.97	90.0	6.27
03/01/2017	KENNEDY, RACHEL	AM FUNDS AMCAP A	0.00	7.27	0.00	7.27	90.0	6.54
03/01/2017	KOVACH, ERIC	AM FUNDS AMCAP A	0.00	3.99	0.00	3.99	90.0	3.59
03/01/2017	GREINER, PAUL	AM FUNDS AMCAP A	0.00	1.72	0.00	1.72	90.0	1.55
03/01/2017	RAPATA, DANIEL	AM FUNDS AMCAP A	0.00	4.36	0.00	4.36	90.0	3.92
03/01/2017	CULLEY-RAPATA, KATHRYN	AM FUNDS AMCAP A	0.00	6.16	0.00	6.16	90.0	5.54
03/01/2017	MUELLNER, KARA	AM FUNDS AMCAP A	0.00	4.36	0.00	4.36	90.0	3.92
03/01/2017	LAMPI, KEITH	AM FUNDS AMCAP B	0.00	0.37	0.00	0.37	90.0	0.33
03/01/2017	STETTER, MARIA	AM FUNDS AMCAP B	0.00	0.36	0.00	0.36	90.0	0.32
03/01/2017	KENNEDY, RACHEL	AM FUNDS AMCAP B	0.00	0.36	0.00	0.36	90.0	0.32

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

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
03/01/2017	RAPATA, DANIEL	AM FUNDS AMCAP B	0.00	0.01	0.00	0.01	90.0	0.01
03/01/2017	CULLEY-RAPATA, KATHRYN	AM FUNDS AMCAP B	0.00	0.38	0.00	0.38	90.0	0.34
02/21/2017	STETTER, MARIA	AM FUNDS AMERICAN BALANCED A	50.00	1.88	0.00	1.88	90.0	1.69
03/01/2017	GASPORD, GEARY	AM FUNDS AMERICAN BALANCED A	0.00	1.93	0.00	1.93	90.0	1.74
03/01/2017	PRUS, CARRIE	AM FUNDS AMERICAN BALANCED A	0.00	2.00	0.00	2.00	90.0	1.80
03/01/2017	WHITE, AMANDA	AM FUNDS AMERICAN BALANCED A	0.00	1.76	0.00	1.76	90.0	1.58
03/01/2017	PARADISE, MICHEAL	AM FUNDS AMERICAN BALANCED A	0.00	8.38	0.00	8.38	90.0	7.54
03/01/2017	FUSCO, JAMES	AM FUNDS AMERICAN BALANCED A	0.00	2.63	0.00	2.63	90.0	2.37
03/01/2017	WELLINGTON, AARON	AM FUNDS AMERICAN BALANCED A	0.00	1.55	0.00	1.55	90.0	1.40
03/01/2017	ATKINSON, ANGELA	AM FUNDS AMERICAN BALANCED A	0.00	3.75	0.00	3.75	90.0	3.38
03/01/2017	FUSCO, MELISSA	AM FUNDS AMERICAN BALANCED A	0.00	1.34	0.00	1.34	90.0	1.21
03/01/2017	STETTER, MARIA	AM FUNDS AMERICAN BALANCED A	0.00	6.30	0.00	6.30	90.0	5.67
03/01/2017	KENNEDY, RACHEL	AM FUNDS AMERICAN BALANCED A	0.00	1.69	0.00	1.69	90.0	1.52
03/01/2017	LIEBERMAN, DAVID	AM FUNDS AMERICAN BALANCED A	0.00	1.32	0.00	1.32	90.0	1.19
03/01/2017	MARASOVICH, THOMAS	AM FUNDS AMERICAN BALANCED A	0.00	4.57	0.00	4.57	90.0	4.11
03/01/2017	DELLAPORTAS, VASILIS	AM FUNDS AMERICAN BALANCED A	0.00	0.74	0.00	0.74	90.0	0.67
03/01/2017	HEIMANN, MARK	AM FUNDS AMERICAN BALANCED A	0.00	0.52	0.00	0.52	90.0	0.47
03/01/2017	LOIKA, GREGORY	AM FUNDS AMERICAN BALANCED A	0.00	1.39	0.00	1.39	90.0	1.25
03/01/2017	WEIL, PAUL	AM FUNDS AMERICAN BALANCED A	0.00	0.33	0.00	0.33	90.0	0.30
03/01/2017	WILKINS, LYN	AM FUNDS AMERICAN BALANCED A	0.00	1.96	0.00	1.96	90.0	1.76
03/01/2017	STETTER, MARIA	AM FUNDS AMERICAN BALANCED A	0.00	2.47	0.00	2.47	90.0	2.22
03/01/2017	CRYLEN, ANNE	AM FUNDS AMERICAN BALANCED A	0.00	1.08	0.00	1.08	90.0	0.97
03/01/2017	MUELLNER, KARA	AM FUNDS AMERICAN BALANCED A	0.00	1.96	0.00	1.96	90.0	1.76
03/01/2017	LIEBERMAN, SHARON	AM FUNDS AMERICAN BALANCED A	0.00	2.17	0.00	2.17	90.0	1.95
03/01/2017	STETTER, MARIA	AM FUNDS AMERICAN BALANCED B	0.00	0.27	0.00	0.27	90.0	0.24
03/01/2017	MARASOVICH, THOMAS	AM FUNDS AMERICAN BALANCED B	0.00	0.04	0.00	0.04	90.0	0.04
03/01/2017	LOIKA, GREGORY	AM FUNDS AMERICAN BALANCED B	0.00	0.01	0.00	0.01	90.0	0.01
03/01/2017	SANTOS, LOURDES	AM FUNDS AMERICAN BALANCED C	100.00	1.00	0.00	1.00	90.0	0.90
03/01/2017	SANTOS, LOURDES	AM FUNDS AMERICAN BALANCED C	0.00	46.91	0.00	46.91	90.0	42.22
03/01/2017	GIOVANNINI TRUST, VICTOR	AM FUNDS AMERICAN BALANCED C	0.00	28.72	0.00	28.72	90.0	25.85
03/01/2017	STETTER, MARIA	AM FUNDS AMERICAN MUTUAL A	0.00	3.38	0.00	3.38	90.0	3.04
03/01/2017	MUELLNER, KARA	AM FUNDS AMERICAN MUTUAL A	0.00	4.10	0.00	4.10	90.0	3.69
03/01/2017	GOODMAN, MICHAEL	AM FUNDS BALANCED PORT A	0.00	0.82	0.00	0.82	90.0	0.74

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
03/01/2017	SAMAS, KATIE	AM FUNDS BOND FUND OF AMERICA A	0.00	0.17	0.00	0.17	90.0	0.15
03/01/2017	PARADISE, MICHEAL	AM FUNDS BOND FUND OF AMERICA A	0.00	3.21	0.00	3.21	90.0	2.89
03/01/2017	WELLINGTON, AARON	AM FUNDS BOND FUND OF AMERICA A	0.00	1.00	0.00	1.00	90.0	0.90
03/01/2017	JACKER, RITA	AM FUNDS BOND FUND OF AMERICA A	0.00	5.14	0.00	5.14	90.0	4.63
03/01/2017	GIOVANNINI TRUST, VICTOR	AM FUNDS BOND FUND OF AMERICA C	0.00	10.64	0.00	10.64	90.0	9.58
03/01/2017	LIEBERMAN, DAVID	AM FUNDS CAPITAL INCOME BUILDER 529	0.00	3.43	0.00	3.43	90.0	3.09
03/01/2017	RUNDELL, TRACY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	2.35	0.00	2.35	90.0	2.12
03/01/2017	SMITH, PATRICK	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.15	0.00	1.15	90.0	1.04
03/01/2017	LOPEZ, JOSE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.97	0.00	0.97	90.0	0.87
03/01/2017	RUNDELL, TRACY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.69	0.00	2.69	90.0	2.42
03/01/2017	WHITE, AMANDA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.73	0.00	1.73	90.0	1.56
03/01/2017	ATKINSON, ANGELA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	3.97	0.00	3.97	90.0	3.57
03/01/2017	DEUTSCH, SCOTT	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.76	0.00	1.76	90.0	1.58
03/01/2017	CRYLEN, ANNE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.40	0.00	1.40	90.0	1.26
03/01/2017	LOPEZ, JOSE	AM FUNDS CAPITAL WORLD GRTH & INC B	0.00	0.01	0.00	0.01	90.0	0.01
03/01/2017	GIOVANNINI TRUST, VICTOR	AM FUNDS CAPITAL WORLD GRTH & INC C	0.00	12.67	0.00	12.67	90.0	11.40
03/01/2017	LIEBERMAN, DAVID	AM FUNDS EUROPACIFIC GROWTH FUND 52	0.00	2.23	0.00	2.23	90.0	2.01
03/01/2017	FUSCO, JAMES	AM FUNDS EUROPACIFIC GROWTH FUND A	150.00	5.63	0.00	5.63	90.0	5.07
03/01/2017	RAPATA, DANIEL	AM FUNDS EUROPACIFIC GROWTH FUND A	50.00	1.38	0.00	1.38	90.0	1.24
03/01/2017	PRUS, CARRIE	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	2.03	0.00	2.03	90.0	1.83
03/01/2017	GOODMAN, ERIC	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	1.58	0.00	1.58	90.0	1.42
03/01/2017	PARADISE, MICHEAL	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	3.45	0.00	3.45	90.0	3.11
03/01/2017	FUSCO, JAMES	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	10.50	0.00	10.50	90.0	9.45
03/01/2017	WELLINGTON, AARON	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	1.71	0.00	1.71	90.0	1.54
03/01/2017	JACKER, RITA	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	2.88	0.00	2.88	90.0	2.59
03/01/2017	DELLAPORTAS, VASILIS	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.28	0.00	0.28	90.0	0.25
03/01/2017	RAPATA, DANIEL	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	2.58	0.00	2.58	90.0	2.32
03/01/2017	CULLEY-RAPATA, KATHRYN	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	3.88	0.00	3.88	90.0	3.49
03/01/2017	LOIKA, GREGORY	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.95	0.00	0.95	90.0	0.86
03/01/2017	TOLLEFSON, LOUANN	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	2.70	0.00	2.70	90.0	2.43
03/01/2017	WILKINS, LYN	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	1.27	0.00	1.27	90.0	1.14
03/01/2017	WEIDENFELLER, KIRSTEN	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	3.60	0.00	3.60	90.0	3.24
03/01/2017	STETTER, MARIA	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	1.56	0.00	1.56	90.0	1.40

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
03/01/2017	BIEGERT, LAUREN	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.69	0.00	0.69	90.0	0.62
03/01/2017	MUELLNER, KARA	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	1.23	0.00	1.23	90.0	1.11
03/01/2017	FUSCO, JAMES	AM FUNDS EUROPACIFIC GROWTH FUND B	0.00	0.65	0.00	0.65	90.0	0.59
03/01/2017	RAPATA, DANIEL	AM FUNDS EUROPACIFIC GROWTH FUND B	0.00	0.02	0.00	0.02	90.0	0.02
03/01/2017	CULLEY-RAPATA, KATHRYN	AM FUNDS EUROPACIFIC GROWTH FUND B	0.00	0.27	0.00	0.27	90.0	0.24
03/01/2017	LOIKA, GREGORY	AM FUNDS EUROPACIFIC GROWTH FUND B	0.00	0.01	0.00	0.01	90.0	0.01
02/28/2017	WHITE, AMANDA	AM FUNDS FUNDAMENTAL INVESTORS A	32.50	1.38	0.00	1.38	90.0	1.24
03/01/2017	RAPATA, DANIEL	AM FUNDS FUNDAMENTAL INVESTORS A	50.00	1.38	0.00	1.38	90.0	1.24
03/01/2017	WEIL, PAUL	AM FUNDS FUNDAMENTAL INVESTORS A	50.00	2.50	0.00	2.50	90.0	2.25
03/01/2017	TUCCINI, MELISSA	AM FUNDS FUNDAMENTAL INVESTORS A	50.00	2.50	0.00	2.50	90.0	2.25
03/01/2017	ROLLINGER, LAUREN	AM FUNDS FUNDAMENTAL INVESTORS A	50.00	2.50	0.00	2.50	90.0	2.25
03/01/2017	TOWNSEND, KATHERINE	AM FUNDS FUNDAMENTAL INVESTORS A	100.00	5.00	0.00	5.00	90.0	4.50
03/01/2017	PRUS, CARRIE	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	4.20	0.00	4.20	90.0	3.78
03/01/2017	BRANSON, GARRETT	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	3.46	0.00	3.46	90.0	3.11
03/01/2017	SAMAS, KATIE	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.83	0.00	0.83	90.0	0.75
03/01/2017	RUNDELL, TRACY	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	2.90	0.00	2.90	90.0	2.61
03/01/2017	SAMAS JR, JOSEPH	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.55	0.00	0.55	90.0	0.50
03/01/2017	WHITE, AMANDA	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	5.36	0.00	5.36	90.0	4.82
03/01/2017	SMITH, PATRICK	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	3.14	0.00	3.14	90.0	2.83
03/01/2017	PARADISE, MICHEAL	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	9.45	0.00	9.45	90.0	8.51
03/01/2017	LIM, SUSIE	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	2.37	0.00	2.37	90.0	2.13
03/01/2017	DELLAPORTAS, VASILIS	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.70	0.00	1.70	90.0	1.53
03/01/2017	RAPATA, DANIEL	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	4.43	0.00	4.43	90.0	3.99
03/01/2017	CULLEY-RAPATA, KATHRYN	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	6.93	0.00	6.93	90.0	6.24
03/01/2017	WEIL, PAUL	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.37	0.00	0.37	90.0	0.33
03/01/2017	RAY, SARA	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.59	0.00	1.59	90.0	1.43
03/01/2017	MUELLNER, KARA	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	3.94	0.00	3.94	90.0	3.55
03/01/2017	TUCCINI, MELISSA	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	2.71	0.00	2.71	90.0	2.44
03/01/2017	ROLLINGER, LAUREN	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	2.72	0.00	2.72	90.0	2.45
03/01/2017	TOWNSEND, KATHERINE	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	3.04	0.00	3.04	90.0	2.74
03/01/2017	RUNDELL, TRACY	AM FUNDS FUNDAMENTAL INVESTORS B	0.00	0.30	0.00	0.30	90.0	0.27
03/01/2017	RAPATA, DANIEL	AM FUNDS FUNDAMENTAL INVESTORS B	0.00	0.03	0.00	0.03	90.0	0.03
03/01/2017	CULLEY-RAPATA, KATHRYN	AM FUNDS FUNDAMENTAL INVESTORS B	0.00	0.15	0.00	0.15	90.0	0.14

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<u>BROKER TRANSACTIONS</u>								
PRODUCT CATEGORY: MUTUAL FUNDS								
03/01/2017	MARASOVICH, THOMAS	AM FUNDS GLOBAL BALANCED A	0.00	3.38	0.00	3.38	90.0	3.04
03/01/2017	WIRTZ, GRETCHEN	AM FUNDS GROWTH AND INCOME 529A	100.00	5.00	0.00	5.00	90.0	4.50
03/01/2017	WIRTZ, GRETCHEN	AM FUNDS GROWTH AND INCOME 529A	0.00	4.21	0.00	4.21	90.0	3.79
03/01/2017	WIRTZ, GRETCHEN	AM FUNDS GROWTH AND INCOME 529A	0.00	9.82	0.00	9.82	90.0	8.84
03/01/2017	ALICOT, IRENE	AM FUNDS GROWTH AND INCOME A	100.00	5.00	0.00	5.00	90.0	4.50
03/01/2017	ALICOT, IRENE	AM FUNDS GROWTH AND INCOME A	0.00	2.23	0.00	2.23	90.0	2.01
03/01/2017	LIEBERMAN, DAVID	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	3.27	0.00	3.27	90.0	2.94
02/15/2017	OCHAL, VALERIE	AM FUNDS GROWTH FUND OF AMERICA A	-50.00	-2.50	0.00	-2.50	90.0	-2.25
02/23/2017	JOHNSON, LISA	AM FUNDS GROWTH FUND OF AMERICA A	50.00	2.50	0.00	2.50	90.0	2.25
02/28/2017	WHITE, AMANDA	AM FUNDS GROWTH FUND OF AMERICA A	32.50	1.38	0.00	1.38	90.0	1.24
03/01/2017	FUSCO, JAMES	AM FUNDS GROWTH FUND OF AMERICA A	50.00	1.88	0.00	1.88	90.0	1.69
03/01/2017	LIEBERMAN, DAVID	AM FUNDS GROWTH FUND OF AMERICA A	50.00	1.88	0.00	1.88	90.0	1.69
03/01/2017	KOVACH, ERIC	AM FUNDS GROWTH FUND OF AMERICA A	25.00	1.06	0.00	1.06	90.0	0.95
03/01/2017	LIVERIS, NICHOLAS	AM FUNDS GROWTH FUND OF AMERICA A	50.00	2.50	0.00	2.50	90.0	2.25
03/01/2017	MANSKE, DONNA	AM FUNDS GROWTH FUND OF AMERICA A	50.00	2.50	0.00	2.50	90.0	2.25
03/01/2017	MUELLNER, KARA	AM FUNDS GROWTH FUND OF AMERICA A	50.00	2.13	0.00	2.13	90.0	1.92
03/01/2017	ROLLINGER, JOHN	AM FUNDS GROWTH FUND OF AMERICA A	50.00	2.50	0.00	2.50	90.0	2.25
03/01/2017	TOWNSEND, KATHERINE	AM FUNDS GROWTH FUND OF AMERICA A	100.00	5.00	0.00	5.00	90.0	4.50
03/01/2017	MEYER, PATRICIA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.68	0.00	1.68	90.0	1.51
03/01/2017	GASPORD, GEARY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	2.05	0.00	2.05	90.0	1.85
03/01/2017	LOPEZ, JOSE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.30	0.00	1.30	90.0	1.17
03/01/2017	PRUS, CARRIE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	5.23	0.00	5.23	90.0	4.71
03/01/2017	BRANSON, GARRETT	AM FUNDS GROWTH FUND OF AMERICA A	0.00	2.31	0.00	2.31	90.0	2.08
03/01/2017	GOODMAN, ERIC	AM FUNDS GROWTH FUND OF AMERICA A	0.00	4.75	0.00	4.75	90.0	4.28
03/01/2017	SAMAS, KATIE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	3.05	0.00	3.05	90.0	2.75
03/01/2017	SAYRE, ROSS	AM FUNDS GROWTH FUND OF AMERICA A	0.00	10.97	0.00	10.97	90.0	9.87
03/01/2017	HIRSTIUS, CHARLES	AM FUNDS GROWTH FUND OF AMERICA A	0.00	2.32	0.00	2.32	90.0	2.09
03/01/2017	SAMAS, KATIE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.61	0.00	0.61	90.0	0.55
03/01/2017	PICKENS, ROBERT (RJ)	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.43	0.00	0.43	90.0	0.39
03/01/2017	LAMPI, KEITH	AM FUNDS GROWTH FUND OF AMERICA A	0.00	10.02	0.00	10.02	90.0	9.02
03/01/2017	RUNDELL, TRACY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	3.00	0.00	3.00	90.0	2.70
03/01/2017	SAMAS JR, JOSEPH	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.55	0.00	1.55	90.0	1.40
03/01/2017	WHITE, AMANDA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	5.42	0.00	5.42	90.0	4.88

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
03/01/2017	WINTER, JASON	AM FUNDS GROWTH FUND OF AMERICA A	0.00	7.73	0.00	7.73	90.0	6.96
03/01/2017	SMITH, PATRICK	AM FUNDS GROWTH FUND OF AMERICA A	0.00	2.96	0.00	2.96	90.0	2.66
03/01/2017	PARADISE, MICHAEL	AM FUNDS GROWTH FUND OF AMERICA A	0.00	9.73	0.00	9.73	90.0	8.76
03/01/2017	JOHNSON, LISA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	7.88	0.00	7.88	90.0	7.09
03/01/2017	PARADISE, MICHEAL	AM FUNDS GROWTH FUND OF AMERICA A	0.00	4.80	0.00	4.80	90.0	4.32
03/01/2017	FUSCO, JAMES	AM FUNDS GROWTH FUND OF AMERICA A	0.00	8.02	0.00	8.02	90.0	7.22
03/01/2017	WELLINGTON, AARON	AM FUNDS GROWTH FUND OF AMERICA A	0.00	4.48	0.00	4.48	90.0	4.03
03/01/2017	ATKINSON, ANGELA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	8.78	0.00	8.78	90.0	7.90
03/01/2017	FUSCO, MELISSA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.48	0.00	1.48	90.0	1.33
03/01/2017	LIM, SUSIE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	6.95	0.00	6.95	90.0	6.26
03/01/2017	LIEBERMAN, DAVID	AM FUNDS GROWTH FUND OF AMERICA A	0.00	8.58	0.00	8.58	90.0	7.72
03/01/2017	JACKER, RITA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	6.34	0.00	6.34	90.0	5.71
03/01/2017	KOVACH, ERIC	AM FUNDS GROWTH FUND OF AMERICA A	0.00	7.79	0.00	7.79	90.0	7.01
03/01/2017	GREINER, PAUL	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.94	0.00	0.94	90.0	0.85
03/01/2017	MARASOVICH, THOMAS	AM FUNDS GROWTH FUND OF AMERICA A	0.00	7.85	0.00	7.85	90.0	7.07
03/01/2017	LAMPI, SEAN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	2.85	0.00	2.85	90.0	2.57
03/01/2017	SANTOS, JAIMEE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	6.10	0.00	6.10	90.0	5.49
03/01/2017	DELLAPORTAS, VASILIS	AM FUNDS GROWTH FUND OF AMERICA A	0.00	3.10	0.00	3.10	90.0	2.79
03/01/2017	RAPATA, DANIEL	AM FUNDS GROWTH FUND OF AMERICA A	0.00	5.05	0.00	5.05	90.0	4.55
03/01/2017	CULLEY-RAPATA, KATHRYN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	8.44	0.00	8.44	90.0	7.60
03/01/2017	HEIMANN, MARK	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.69	0.00	1.69	90.0	1.52
03/01/2017	LOIKA, GREGORY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.47	0.00	1.47	90.0	1.32
03/01/2017	MARTINEZ, JULIAN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	3.39	0.00	3.39	90.0	3.05
03/01/2017	CHILDS, EVON	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.31	0.00	1.31	90.0	1.18
03/01/2017	GARCIA, MARC	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.04	0.00	0.04	90.0	0.04
03/01/2017	HOLLENBECK, MARISSA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	4.01	0.00	4.01	90.0	3.61
03/01/2017	OCHAL, VALERIE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	5.51	0.00	5.51	90.0	4.96
03/01/2017	WEIL, PAUL	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.32	0.00	0.32	90.0	0.29
03/01/2017	TOLLEFSON, LOUANN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	8.11	0.00	8.11	90.0	7.30
03/01/2017	GOODMAN, TIFFANY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	5.47	0.00	5.47	90.0	4.92
03/01/2017	CATANESE, SARAH	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.84	0.00	1.84	90.0	1.66
03/01/2017	RAY, SARA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.58	0.00	1.58	90.0	1.42
03/01/2017	LIVERIS, NICHOLAS	AM FUNDS GROWTH FUND OF AMERICA A	0.00	5.35	0.00	5.35	90.0	4.82

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
03/01/2017	RAY, SARA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.48	0.00	1.48	90.0	1.33
03/01/2017	MANSKE, DONNA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	5.41	0.00	5.41	90.0	4.87
03/01/2017	WILKINS, LYN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.98	0.00	1.98	90.0	1.78
03/01/2017	WEIDENFELLER, KIRSTEN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	5.25	0.00	5.25	90.0	4.73
03/01/2017	STETTER, MARIA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	5.07	0.00	5.07	90.0	4.56
03/01/2017	BIEGERT, LAUREN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.13	0.00	1.13	90.0	1.02
03/01/2017	CRYLEN, ANNE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	2.54	0.00	2.54	90.0	2.29
03/01/2017	MUELLNER, KARA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	3.97	0.00	3.97	90.0	3.57
03/01/2017	WILLIS, JUDE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	4.76	0.00	4.76	90.0	4.28
03/01/2017	SMITH, PATRICK	AM FUNDS GROWTH FUND OF AMERICA A	0.00	5.91	0.00	5.91	90.0	5.32
03/01/2017	MUELLNER, KARA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	3.05	0.00	3.05	90.0	2.75
03/01/2017	ROLLINGER, JOHN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	2.27	0.00	2.27	90.0	2.04
03/01/2017	TOWNSEND, KATHERINE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	3.00	0.00	3.00	90.0	2.70
03/01/2017	LOPEZ, JOSE	AM FUNDS GROWTH FUND OF AMERICA B	0.00	0.01	0.00	0.01	90.0	0.01
03/01/2017	GOODMAN, ERIC	AM FUNDS GROWTH FUND OF AMERICA B	0.00	0.30	0.00	0.30	90.0	0.27
03/01/2017	SAMAS, KATIE	AM FUNDS GROWTH FUND OF AMERICA B	0.00	0.25	0.00	0.25	90.0	0.23
03/01/2017	SAYRE, ROSS	AM FUNDS GROWTH FUND OF AMERICA B	0.00	0.67	0.00	0.67	90.0	0.60
03/01/2017	LAMPI, KEITH	AM FUNDS GROWTH FUND OF AMERICA B	0.00	0.33	0.00	0.33	90.0	0.30
03/01/2017	RUNDELL, TRACY	AM FUNDS GROWTH FUND OF AMERICA B	0.00	0.30	0.00	0.30	90.0	0.27
03/01/2017	SAMAS JR, JOSEPH	AM FUNDS GROWTH FUND OF AMERICA B	0.00	0.13	0.00	0.13	90.0	0.12
03/01/2017	WINTER, JASON	AM FUNDS GROWTH FUND OF AMERICA B	0.00	0.33	0.00	0.33	90.0	0.30
03/01/2017	PARADISE, MICHAEL	AM FUNDS GROWTH FUND OF AMERICA B	0.00	0.33	0.00	0.33	90.0	0.30
03/01/2017	JOHNSON, LISA	AM FUNDS GROWTH FUND OF AMERICA B	0.00	0.23	0.00	0.23	90.0	0.21
03/01/2017	FUSCO, JAMES	AM FUNDS GROWTH FUND OF AMERICA B	0.00	0.33	0.00	0.33	90.0	0.30
03/01/2017	ATKINSON, ANGELA	AM FUNDS GROWTH FUND OF AMERICA B	0.00	0.61	0.00	0.61	90.0	0.55
03/01/2017	LIM, SUSIE	AM FUNDS GROWTH FUND OF AMERICA B	0.00	0.32	0.00	0.32	90.0	0.29
03/01/2017	LIEBERMAN, DAVID	AM FUNDS GROWTH FUND OF AMERICA B	0.00	0.33	0.00	0.33	90.0	0.30
03/01/2017	KOVACH, ERIC	AM FUNDS GROWTH FUND OF AMERICA B	0.00	0.01	0.00	0.01	90.0	0.01
03/01/2017	MARASOVICH, THOMAS	AM FUNDS GROWTH FUND OF AMERICA B	0.00	0.45	0.00	0.45	90.0	0.41
03/01/2017	SANTOS, JAIMEE	AM FUNDS GROWTH FUND OF AMERICA B	0.00	0.31	0.00	0.31	90.0	0.28
03/01/2017	RAPATA, DANIEL	AM FUNDS GROWTH FUND OF AMERICA B	0.00	0.12	0.00	0.12	90.0	0.11
03/01/2017	CULLEY-RAPATA, KATHRYN	AM FUNDS GROWTH FUND OF AMERICA B	0.00	0.42	0.00	0.42	90.0	0.38
03/01/2017	LOIKA, GREGORY	AM FUNDS GROWTH FUND OF AMERICA B	0.00	0.01	0.00	0.01	90.0	0.01

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
03/01/2017	CHILDS, EVON	AM FUNDS GROWTH FUND OF AMERICA B	0.00	0.01	0.00	0.01	90.0	0.01
03/01/2017	GOODMAN, TIFFANY	AM FUNDS GROWTH FUND OF AMERICA B	0.00	0.30	0.00	0.30	90.0	0.27
03/01/2017	GIOVANNINI TRUST, VICTOR	AM FUNDS GROWTH FUND OF AMERICA C	0.00	40.96	0.00	40.96	90.0	36.86
03/01/2017	PERSHA, ADAM	AM FUNDS GROWTH PORT A	0.00	1.90	0.00	1.90	90.0	1.71
02/28/2017	WHITE, AMANDA	AM FUNDS ICA A	32.50	1.38	0.00	1.38	90.0	1.24
03/01/2017	KOVACH, ERIC	AM FUNDS ICA A	25.00	1.06	0.00	1.06	90.0	0.95
03/01/2017	RAPATA, DANIEL	AM FUNDS ICA A	50.00	1.38	0.00	1.38	90.0	1.24
03/01/2017	MANSKE, DONNA	AM FUNDS ICA A	50.00	2.50	0.00	2.50	90.0	2.25
03/01/2017	MEYER, PATRICIA	AM FUNDS ICA A	0.00	1.39	0.00	1.39	90.0	1.25
03/01/2017	GASPORD, GEARY	AM FUNDS ICA A	0.00	1.91	0.00	1.91	90.0	1.72
03/01/2017	LOPEZ, JOSE	AM FUNDS ICA A	0.00	1.19	0.00	1.19	90.0	1.07
03/01/2017	PRUS, CARRIE	AM FUNDS ICA A	0.00	4.10	0.00	4.10	90.0	3.69
03/01/2017	SAMAS, KATIE	AM FUNDS ICA A	0.00	0.80	0.00	0.80	90.0	0.72
03/01/2017	SAYRE, ROSS	AM FUNDS ICA A	0.00	4.53	0.00	4.53	90.0	4.08
03/01/2017	SAMAS, KATIE	AM FUNDS ICA A	0.00	0.56	0.00	0.56	90.0	0.50
03/01/2017	SAMAS JR, JOSEPH	AM FUNDS ICA A	0.00	0.53	0.00	0.53	90.0	0.48
03/01/2017	WHITE, AMANDA	AM FUNDS ICA A	0.00	5.38	0.00	5.38	90.0	4.84
03/01/2017	SMITH, PATRICK	AM FUNDS ICA A	0.00	2.98	0.00	2.98	90.0	2.68
03/01/2017	PARADISE, MICHAEL	AM FUNDS ICA A	0.00	9.30	0.00	9.30	90.0	8.37
03/01/2017	PARADISE, MICHEAL	AM FUNDS ICA A	0.00	4.76	0.00	4.76	90.0	4.28
03/01/2017	ATKINSON, ANGELA	AM FUNDS ICA A	0.00	5.38	0.00	5.38	90.0	4.84
03/01/2017	JACKER, RITA	AM FUNDS ICA A	0.00	11.11	0.00	11.11	90.0	10.00
03/01/2017	KOVACH, ERIC	AM FUNDS ICA A	0.00	4.27	0.00	4.27	90.0	3.84
03/01/2017	GREINER, PAUL	AM FUNDS ICA A	0.00	6.15	0.00	6.15	90.0	5.54
03/01/2017	DELLAPORTAS, VASILIS	AM FUNDS ICA A	0.00	1.52	0.00	1.52	90.0	1.37
03/01/2017	RAPATA, DANIEL	AM FUNDS ICA A	0.00	5.59	0.00	5.59	90.0	5.03
03/01/2017	CULLEY-RAPATA, KATHRYN	AM FUNDS ICA A	0.00	8.76	0.00	8.76	90.0	7.88
03/01/2017	HEIMANN, MARK	AM FUNDS ICA A	0.00	1.27	0.00	1.27	90.0	1.14
03/01/2017	LOIKA, GREGORY	AM FUNDS ICA A	0.00	1.31	0.00	1.31	90.0	1.18
03/01/2017	CHILDS, EVON	AM FUNDS ICA A	0.00	1.15	0.00	1.15	90.0	1.04
03/01/2017	HOLLENBECK, MARISSA	AM FUNDS ICA A	0.00	3.80	0.00	3.80	90.0	3.42
03/01/2017	TOLLEFSON, LOUANN	AM FUNDS ICA A	0.00	3.94	0.00	3.94	90.0	3.55
03/01/2017	CATANESE, SARAH	AM FUNDS ICA A	0.00	1.67	0.00	1.67	90.0	1.50

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
03/01/2017	RAY, SARA	AM FUNDS ICA A	0.00	1.26	0.00	1.26	90.0	1.13
03/01/2017	MANSKE, DONNA	AM FUNDS ICA A	0.00	5.19	0.00	5.19	90.0	4.67
03/01/2017	WILKINS, LYN	AM FUNDS ICA A	0.00	1.80	0.00	1.80	90.0	1.62
03/01/2017	WEIDENFELLER, KIRSTEN	AM FUNDS ICA A	0.00	5.03	0.00	5.03	90.0	4.53
03/01/2017	STETTER, MARIA	AM FUNDS ICA A	0.00	3.31	0.00	3.31	90.0	2.98
03/01/2017	BIEGERT, LAUREN	AM FUNDS ICA A	0.00	1.00	0.00	1.00	90.0	0.90
03/01/2017	CRYLEN, ANNE	AM FUNDS ICA A	0.00	1.68	0.00	1.68	90.0	1.51
03/01/2017	SMITH, PATRICK	AM FUNDS ICA A	0.00	5.52	0.00	5.52	90.0	4.97
03/01/2017	LIEBERMAN, SHARON	AM FUNDS ICA A	0.00	2.08	0.00	2.08	90.0	1.87
03/01/2017	LOPEZ, JOSE	AM FUNDS ICA B	0.00	0.01	0.00	0.01	90.0	0.01
03/01/2017	SAYRE, ROSS	AM FUNDS ICA B	0.00	0.33	0.00	0.33	90.0	0.30
03/01/2017	PARADISE, MICHAEL	AM FUNDS ICA B	0.00	0.33	0.00	0.33	90.0	0.30
03/01/2017	ATKINSON, ANGELA	AM FUNDS ICA B	0.00	0.57	0.00	0.57	90.0	0.51
03/01/2017	GREINER, PAUL	AM FUNDS ICA B	0.00	0.33	0.00	0.33	90.0	0.30
03/01/2017	RAPATA, DANIEL	AM FUNDS ICA B	0.00	0.02	0.00	0.02	90.0	0.02
03/01/2017	CULLEY-RAPATA, KATHRYN	AM FUNDS ICA B	0.00	0.45	0.00	0.45	90.0	0.41
03/01/2017	LOIKA, GREGORY	AM FUNDS ICA B	0.00	0.01	0.00	0.01	90.0	0.01
03/01/2017	CHILDS, EVON	AM FUNDS ICA B	0.00	0.01	0.00	0.01	90.0	0.01
03/01/2017	GIOVANNINI TRUST, VICTOR	AM FUNDS ICA C	0.00	40.17	0.00	40.17	90.0	36.15
03/01/2017	SAMAS, KATIE	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.35	0.00	0.35	90.0	0.32
03/01/2017	SAMAS, KATIE	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.27	0.00	0.27	90.0	0.24
03/01/2017	SAMAS JR, JOSEPH	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.23	0.00	0.23	90.0	0.21
03/01/2017	JACKER, RITA	AM FUNDS INCOME FUND OF AMERICA A	0.00	6.73	0.00	6.73	90.0	6.06
03/01/2017	LIEBERMAN, DAVID	AM FUNDS INTERMEDIATE BOND FUND OF	0.00	1.97	0.00	1.97	90.0	1.77
03/01/2017	SMITH, PATRICK	AM FUNDS NEW ECONOMY A	0.00	1.55	0.00	1.55	90.0	1.40
03/01/2017	WELLINGTON, AARON	AM FUNDS NEW ECONOMY A	0.00	4.75	0.00	4.75	90.0	4.28
03/01/2017	PRUS, CARRIE	AM FUNDS NEW PERSPECTIVE A	0.00	0.63	0.00	0.63	90.0	0.57
03/01/2017	BRANSON, GARRETT	AM FUNDS NEW PERSPECTIVE A	0.00	2.19	0.00	2.19	90.0	1.97
03/01/2017	SAMAS, KATIE	AM FUNDS NEW PERSPECTIVE A	0.00	0.29	0.00	0.29	90.0	0.26
03/01/2017	BRANSON, GARRETT	AM FUNDS NEW WORLD A	0.00	1.64	0.00	1.64	90.0	1.48
03/01/2017	WELLINGTON, AARON	AM FUNDS NEW WORLD A	0.00	2.03	0.00	2.03	90.0	1.83
03/01/2017	RAPATA, DANIEL	AM FUNDS NEW WORLD A	0.00	2.50	0.00	2.50	90.0	2.25
03/01/2017	CULLEY-RAPATA, KATHRYN	AM FUNDS NEW WORLD A	0.00	4.21	0.00	4.21	90.0	3.79

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
03/01/2017	DEUTSCH, SCOTT	AM FUNDS NEW WORLD A	0.00	1.54	0.00	1.54	90.0	1.39
03/01/2017	RAPATA, DANIEL	AM FUNDS NEW WORLD B	0.00	0.03	0.00	0.03	90.0	0.03
03/01/2017	CULLEY-RAPATA, KATHRYN	AM FUNDS NEW WORLD B	0.00	0.07	0.00	0.07	90.0	0.06
03/01/2017	GIOVANNINI TRUST, VICTOR	AM FUNDS NEW WORLD C	0.00	10.13	0.00	10.13	90.0	9.12
03/01/2017	LIEBERMAN, DAVID	AM FUNDS SMALLCAP WORLD A	50.00	1.88	0.00	1.88	90.0	1.69
03/01/2017	KOVACH, ERIC	AM FUNDS SMALLCAP WORLD A	25.00	1.06	0.00	1.06	90.0	0.95
03/01/2017	RAPATA, DANIEL	AM FUNDS SMALLCAP WORLD A	50.00	1.38	0.00	1.38	90.0	1.24
03/01/2017	LIVERIS, NICHOLAS	AM FUNDS SMALLCAP WORLD A	50.00	2.50	0.00	2.50	90.0	2.25
03/01/2017	PRUS, CARRIE	AM FUNDS SMALLCAP WORLD A	0.00	1.88	0.00	1.88	90.0	1.69
03/01/2017	BRANSON, GARRETT	AM FUNDS SMALLCAP WORLD A	0.00	1.42	0.00	1.42	90.0	1.28
03/01/2017	SAMAS, KATIE	AM FUNDS SMALLCAP WORLD A	0.00	0.38	0.00	0.38	90.0	0.34
03/01/2017	SAYRE, ROSS	AM FUNDS SMALLCAP WORLD A	0.00	8.79	0.00	8.79	90.0	7.91
03/01/2017	HIRSTIUS, CHARLES	AM FUNDS SMALLCAP WORLD A	0.00	2.50	0.00	2.50	90.0	2.25
03/01/2017	SAMAS, KATIE	AM FUNDS SMALLCAP WORLD A	0.00	0.31	0.00	0.31	90.0	0.28
03/01/2017	LAMPI, KEITH	AM FUNDS SMALLCAP WORLD A	0.00	5.48	0.00	5.48	90.0	4.93
03/01/2017	SAMAS JR, JOSEPH	AM FUNDS SMALLCAP WORLD A	0.00	0.25	0.00	0.25	90.0	0.23
03/01/2017	WINTER, JASON	AM FUNDS SMALLCAP WORLD A	0.00	6.98	0.00	6.98	90.0	6.28
03/01/2017	SMITH, PATRICK	AM FUNDS SMALLCAP WORLD A	0.00	2.45	0.00	2.45	90.0	2.21
03/01/2017	PARADISE, MICHAEL	AM FUNDS SMALLCAP WORLD A	0.00	8.82	0.00	8.82	90.0	7.94
03/01/2017	PARADISE, MICHEAL	AM FUNDS SMALLCAP WORLD A	0.00	4.04	0.00	4.04	90.0	3.64
03/01/2017	FUSCO, JAMES	AM FUNDS SMALLCAP WORLD A	0.00	1.42	0.00	1.42	90.0	1.28
03/01/2017	WELLINGTON, AARON	AM FUNDS SMALLCAP WORLD A	0.00	2.20	0.00	2.20	90.0	1.98
03/01/2017	FUSCO, MELISSA	AM FUNDS SMALLCAP WORLD A	0.00	1.61	0.00	1.61	90.0	1.45
03/01/2017	KENNEDY, RACHEL	AM FUNDS SMALLCAP WORLD A	0.00	2.35	0.00	2.35	90.0	2.12
03/01/2017	LIM, SUSIE	AM FUNDS SMALLCAP WORLD A	0.00	2.08	0.00	2.08	90.0	1.87
03/01/2017	LIEBERMAN, DAVID	AM FUNDS SMALLCAP WORLD A	0.00	4.88	0.00	4.88	90.0	4.39
03/01/2017	KOVACH, ERIC	AM FUNDS SMALLCAP WORLD A	0.00	7.28	0.00	7.28	90.0	6.55
03/01/2017	GREINER, PAUL	AM FUNDS SMALLCAP WORLD A	0.00	5.04	0.00	5.04	90.0	4.54
03/01/2017	MARASOVICH, THOMAS	AM FUNDS SMALLCAP WORLD A	0.00	4.39	0.00	4.39	90.0	3.95
03/01/2017	SANTOS, JAIMEE	AM FUNDS SMALLCAP WORLD A	0.00	3.33	0.00	3.33	90.0	3.00
03/01/2017	DELLAPORTAS, VASILIS	AM FUNDS SMALLCAP WORLD A	0.00	0.83	0.00	0.83	90.0	0.75
03/01/2017	RAPATA, DANIEL	AM FUNDS SMALLCAP WORLD A	0.00	2.70	0.00	2.70	90.0	2.43
03/01/2017	CULLEY-RAPATA, KATHRYN	AM FUNDS SMALLCAP WORLD A	0.00	3.81	0.00	3.81	90.0	3.43

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
03/01/2017	WEIL, PAUL	AM FUNDS SMALLCAP WORLD A	0.00	0.32	0.00	0.32	90.0	0.29
03/01/2017	LIVERIS, NICHOLAS	AM FUNDS SMALLCAP WORLD A	0.00	4.77	0.00	4.77	90.0	4.29
03/01/2017	RAY, SARA	AM FUNDS SMALLCAP WORLD A	0.00	1.18	0.00	1.18	90.0	1.06
03/01/2017	CRYLEN, ANNE	AM FUNDS SMALLCAP WORLD A	0.00	0.81	0.00	0.81	90.0	0.73
03/01/2017	SMITH, PATRICK	AM FUNDS SMALLCAP WORLD A	0.00	5.29	0.00	5.29	90.0	4.76
03/01/2017	SAYRE, ROSS	AM FUNDS SMALLCAP WORLD B	0.00	0.72	0.00	0.72	90.0	0.65
03/01/2017	WINTER, JASON	AM FUNDS SMALLCAP WORLD B	0.00	0.36	0.00	0.36	90.0	0.32
03/01/2017	PARADISE, MICHAEL	AM FUNDS SMALLCAP WORLD B	0.00	0.36	0.00	0.36	90.0	0.32
03/01/2017	KOVACH, ERIC	AM FUNDS SMALLCAP WORLD B	0.00	0.01	0.00	0.01	90.0	0.01
03/01/2017	GREINER, PAUL	AM FUNDS SMALLCAP WORLD B	0.00	0.36	0.00	0.36	90.0	0.32
03/01/2017	MARASOVICH, THOMAS	AM FUNDS SMALLCAP WORLD B	0.00	0.05	0.00	0.05	90.0	0.05
03/01/2017	RAPATA, DANIEL	AM FUNDS SMALLCAP WORLD B	0.00	0.03	0.00	0.03	90.0	0.03
03/01/2017	CULLEY-RAPATA, KATHRYN	AM FUNDS SMALLCAP WORLD B	0.00	0.32	0.00	0.32	90.0	0.29
03/01/2017	PRUS, CARRIE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	3.75	0.00	3.75	90.0	3.38
03/01/2017	LADUCA, BRIAN	FT CONSERVATIVE ALLOCATION C	50.00	0.50	0.00	0.50	90.0	0.45
03/01/2017	MUELLNER, MARK	FT GROWTH ALLOC A	50.00	2.50	0.00	2.50	90.0	2.25
03/01/2017	WILSON, JOE	FT GROWTH ALLOC A	50.00	2.50	0.00	2.50	90.0	2.25
03/01/2017	DOOGAN, RONALD	FT GROWTH ALLOC A	100.00	5.00	0.00	5.00	90.0	4.50
03/01/2017	CHASE, LINDA	FT MODERATE ALLOCATION FUND C	100.00	1.00	0.00	1.00	90.0	0.90
/ /	HOGLUND, KRISTEN	HARTFORD BALANCED ALLOCATION FUND C	0.00	0.15	0.00	0.15	90.0	0.14
/ /	LIVERIS, NICHOLAS	HARTFORD BALANCED ALLOCATION FUND C	0.00	13.34	0.00	13.34	90.0	12.01
/ /	WILLIS, JUDE	HARTFORD BALANCED ALLOCATION FUND C	0.00	4.31	0.00	4.31	90.0	3.88
02/02/2017	HOGLUND, KRISTEN	HARTFORD BALANCED ALLOCATION FUND C	0.00	0.16	0.00	0.16	90.0	0.14
02/02/2017	LIVERIS, NICHOLAS	HARTFORD BALANCED ALLOCATION FUND C	0.00	14.37	0.00	14.37	90.0	12.93
02/02/2017	WILLIS, JUDE	HARTFORD BALANCED ALLOCATION FUND C	0.00	4.65	0.00	4.65	90.0	4.19
03/01/2017	LIVERIS, NICHOLAS	HARTFORD BALANCED ALLOCATION FUND C	150.00	1.50	0.00	1.50	90.0	1.35
/ /	SMITH, PATRICK	HARTFORD CAPITAL APPRECIATION A	0.00	0.19	0.00	0.19	90.0	0.17
/ /	KENNEDY, RACHEL	HARTFORD CAPITAL APPRECIATION A	0.00	0.51	0.00	0.51	90.0	0.46
02/02/2017	SMITH, PATRICK	HARTFORD CAPITAL APPRECIATION A	0.00	0.20	0.00	0.20	90.0	0.18
02/02/2017	KENNEDY, RACHEL	HARTFORD CAPITAL APPRECIATION A	0.00	0.55	0.00	0.55	90.0	0.50
02/02/2017	SAYRE, MICHAEL	HARTFORD CAPITAL APPRECIATION A	0.00	0.06	0.00	0.06	90.0	0.05
/ /	SANTOS, LOURDES	HARTFORD CAPITAL APPRECIATION C	0.00	2.59	0.00	2.59	90.0	2.33
02/02/2017	SANTOS, LOURDES	HARTFORD CAPITAL APPRECIATION C	0.00	2.78	0.00	2.78	90.0	2.50

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
/ /	MEYER, WILLIAM	HARTFORD CHECKS AND BALANCES FUND A	0.00	5.04	0.00	5.04	90.0	4.54
/ /	LOPEZ, JOSE	HARTFORD CHECKS AND BALANCES FUND A	0.00	5.29	0.00	5.29	90.0	4.76
02/02/2017	MEYER, WILLIAM	HARTFORD CHECKS AND BALANCES FUND A	0.00	5.48	0.00	5.48	90.0	4.93
02/02/2017	LOPEZ, JOSE	HARTFORD CHECKS AND BALANCES FUND A	0.00	5.75	0.00	5.75	90.0	5.18
/ /	RAY, SCOTT	HARTFORD CONSERVATIVE ALLOC C	0.00	2.46	0.00	2.46	90.0	2.21
02/02/2017	RAY, SCOTT	HARTFORD CONSERVATIVE ALLOC C	0.00	2.69	0.00	2.69	90.0	2.42
/ /	SMITH, PATRICK	HARTFORD DIVIDEND & GROWTH A	0.00	0.20	0.00	0.20	90.0	0.18
02/02/2017	SMITH, PATRICK	HARTFORD DIVIDEND & GROWTH A	0.00	0.21	0.00	0.21	90.0	0.19
02/02/2017	SAYRE, MICHAEL	HARTFORD DIVIDEND & GROWTH A	0.00	0.07	0.00	0.07	90.0	0.06
/ /	SANTOS, LOURDES	HARTFORD DIVIDEND & GROWTH C	0.00	4.84	0.00	4.84	90.0	4.36
/ /	BORJA, AIDA	HARTFORD DIVIDEND & GROWTH C	0.00	7.38	0.00	7.38	90.0	6.64
02/02/2017	SANTOS, LOURDES	HARTFORD DIVIDEND & GROWTH C	0.00	5.20	0.00	5.20	90.0	4.68
02/02/2017	BORJA, AIDA	HARTFORD DIVIDEND & GROWTH C	0.00	7.96	0.00	7.96	90.0	7.16
03/01/2017	SANTOS, LOURDES	HARTFORD DIVIDEND & GROWTH C	50.00	0.50	0.00	0.50	90.0	0.45
03/01/2017	BORJA, AIDA	HARTFORD DIVIDEND & GROWTH C	50.00	0.50	0.00	0.50	90.0	0.45
/ /	SANTOS, JAIMEE	HARTFORD FLOATING RATE C	0.00	9.31	0.00	9.31	90.0	8.38
02/02/2017	SANTOS, JAIMEE	HARTFORD FLOATING RATE C	0.00	10.19	0.00	10.19	90.0	9.17
/ /	LIEBERMAN, SHARON	HARTFORD GROWTH ALLOCATION A	0.00	3.65	0.00	3.65	90.0	3.29
/ /	BAXTER, KIMBERLY	HARTFORD GROWTH ALLOCATION A	0.00	0.22	0.00	0.22	90.0	0.20
/ /	LAMPI, STEPHANIE	HARTFORD GROWTH ALLOCATION A	0.00	4.47	0.00	4.47	90.0	4.02
/ /	EAR, SIEV	HARTFORD GROWTH ALLOCATION A	0.00	1.95	0.00	1.95	90.0	1.76
/ /	STEFFEN, NATHAN	HARTFORD GROWTH ALLOCATION A	0.00	4.25	0.00	4.25	90.0	3.83
/ /	BIEGERT, LAUREN	HARTFORD GROWTH ALLOCATION A	0.00	10.85	0.00	10.85	90.0	9.77
/ /	CRYLEN, ANNE	HARTFORD GROWTH ALLOCATION A	0.00	0.84	0.00	0.84	90.0	0.76
/ /	FLORES, KARINA	HARTFORD GROWTH ALLOCATION A	0.00	0.60	0.00	0.60	90.0	0.54
02/02/2017	LIEBERMAN, SHARON	HARTFORD GROWTH ALLOCATION A	0.00	3.92	0.00	3.92	90.0	3.53
02/02/2017	BAXTER, KIMBERLY	HARTFORD GROWTH ALLOCATION A	0.00	0.24	0.00	0.24	90.0	0.22
02/02/2017	LAMPI, STEPHANIE	HARTFORD GROWTH ALLOCATION A	0.00	4.81	0.00	4.81	90.0	4.33
02/02/2017	EAR, SIEV	HARTFORD GROWTH ALLOCATION A	0.00	2.12	0.00	2.12	90.0	1.91
02/02/2017	STEFFEN, NATHAN	HARTFORD GROWTH ALLOCATION A	0.00	4.60	0.00	4.60	90.0	4.14
02/02/2017	BIEGERT, LAUREN	HARTFORD GROWTH ALLOCATION A	0.00	11.76	0.00	11.76	90.0	10.58
02/02/2017	CRYLEN, ANNE	HARTFORD GROWTH ALLOCATION A	0.00	0.91	0.00	0.91	90.0	0.82
02/02/2017	FLORES, KARINA	HARTFORD GROWTH ALLOCATION A	0.00	0.65	0.00	0.65	90.0	0.59

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<u>BROKER TRANSACTIONS</u>								
PRODUCT CATEGORY: MUTUAL FUNDS								
03/01/2017	LIEBERMAN, SHARON	HARTFORD GROWTH ALLOCATION A	100.00	4.75	0.00	4.75	90.0	4.28
/ /	LIEBERMAN, SHARON	HARTFORD GROWTH ALLOCATION B	0.00	0.22	0.00	0.22	90.0	0.20
/ /	LAMPI, STEPHANIE	HARTFORD GROWTH ALLOCATION B	0.00	0.30	0.00	0.30	90.0	0.27
02/02/2017	LIEBERMAN, SHARON	HARTFORD GROWTH ALLOCATION B	0.00	0.25	0.00	0.25	90.0	0.23
02/02/2017	LAMPI, STEPHANIE	HARTFORD GROWTH ALLOCATION B	0.00	0.36	0.00	0.36	90.0	0.32
/ /	STEFFEN, NATHAN	HARTFORD GROWTH OPP A	0.00	1.47	0.00	1.47	90.0	1.32
/ /	KENNEDY, RACHEL	HARTFORD GROWTH OPP A	0.00	0.63	0.00	0.63	90.0	0.57
02/02/2017	STEFFEN, NATHAN	HARTFORD GROWTH OPP A	0.00	1.57	0.00	1.57	90.0	1.41
02/02/2017	KENNEDY, RACHEL	HARTFORD GROWTH OPP A	0.00	0.67	0.00	0.67	90.0	0.60
/ /	SMITH, PATRICK	HARTFORD MIDCAP A	0.00	0.27	0.00	0.27	90.0	0.24
02/02/2017	SMITH, PATRICK	HARTFORD MIDCAP A	0.00	0.30	0.00	0.30	90.0	0.27
/ /	SMITH, PATRICK	HARTFORD TOTAL RETURN BOND A	0.00	0.12	0.00	0.12	90.0	0.11
/ /	DELLAPORTAS, VASILIS	HARTFORD TOTAL RETURN BOND A	0.00	1.63	0.00	1.63	90.0	1.47
02/02/2017	SMITH, PATRICK	HARTFORD TOTAL RETURN BOND A	0.00	0.13	0.00	0.13	90.0	0.12
02/02/2017	DELLAPORTAS, VASILIS	HARTFORD TOTAL RETURN BOND A	0.00	1.80	0.00	1.80	90.0	1.62
02/02/2017	SAYRE, MICHAEL	HARTFORD TOTAL RETURN BOND A	0.00	0.03	0.00	0.03	90.0	0.03
/ /	SANTOS, LOURDES	HARTFORD TOTAL RETURN BOND FUND C	0.00	3.69	0.00	3.69	90.0	3.32
/ /	BORJA, AIDA	HARTFORD TOTAL RETURN BOND FUND C	0.00	5.01	0.00	5.01	90.0	4.51
02/02/2017	SANTOS, LOURDES	HARTFORD TOTAL RETURN BOND FUND C	0.00	4.02	0.00	4.02	90.0	3.62
02/02/2017	BORJA, AIDA	HARTFORD TOTAL RETURN BOND FUND C	0.00	5.48	0.00	5.48	90.0	4.93
03/01/2017	SANTOS, LOURDES	HARTFORD TOTAL RETURN BOND FUND C	50.00	0.50	0.00	0.50	90.0	0.45
03/01/2017	BORJA, AIDA	HARTFORD TOTAL RETURN BOND FUND C	50.00	0.50	0.00	0.50	90.0	0.45
/ /	VOLKOBBER, SUSAN	UB TRUST FUND 60 A	0.00	1.50	0.00	1.50	90.0	1.35
02/21/2017	VOLKOBBER, SUSAN	UB TRUST FUND 60 A	50.00	1.50	0.00	1.50	90.0	1.35
02/13/2017	REHMAN, AFSHAN	UB TRUST FUND 80 A	75.00	2.25	0.00	2.25	90.0	2.03
02/13/2017	REHMAN, AFSHAN	UB TRUST FUND 80 A	12.50	0.38	0.00	0.38	90.0	0.34
02/13/2017	REHMAN, AFSHAN	UB TRUST FUND 80 A	12.50	0.38	0.00	0.38	90.0	0.34
02/27/2017	REHMAN, AFSHAN	UB TRUST FUND 80 A	75.00	2.25	0.00	2.25	90.0	2.03
02/27/2017	REHMAN, AFSHAN	UB TRUST FUND 80 A	12.50	0.38	0.00	0.38	90.0	0.34
02/27/2017	REHMAN, AFSHAN	UB TRUST FUND 80 A	12.50	0.38	0.00	0.38	90.0	0.34
02/06/2017	SAAM, ROBERT	UBT AGGRESSIVE AGE BASED 06-08-A	200.00	6.00	0.00	6.00	90.0	5.40
02/15/2017	MOLBERGER, KIMBERLY	UBT AGGRESSIVE AGE BASED 06-08-A	100.00	3.00	0.00	3.00	90.0	2.70
02/21/2017	BAXTER, KIMBERLY	UBT AGGRESSIVE AGE BASED 06-08-A	25.00	0.75	0.00	0.75	90.0	0.68

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<u>BROKER TRANSACTIONS</u>								
PRODUCT CATEGORY: MUTUAL FUNDS								
02/15/2017	MOLBERGER, KIMBERLY	UBT AGGRESSIVE AGE BASED 09-10-A	100.00	3.00	0.00	3.00	90.0	2.70
02/21/2017	BAXTER, KIMBERLY	UBT AGGRESSIVE AGE BASED 09-10-A	25.00	0.75	0.00	0.75	90.0	0.68
02/01/2017	REIDY, TIFFANY	UBT MODERATE AGE BASED 0-02-A	150.00	4.50	0.00	4.50	90.0	4.05
02/01/2017	BRANNAN, JESSE	UBT MODERATE AGE BASED 0-02-A	250.00	7.50	0.00	7.50	90.0	6.75
02/03/2017	BUERSTATTE, BRANDI	UBT MODERATE AGE BASED 0-02-A	200.00	6.00	0.00	6.00	90.0	5.40
02/07/2017	ARATA, MATHEW	UBT MODERATE AGE BASED 0-02-A	111.00	3.33	0.00	3.33	90.0	3.00
02/17/2017	DEUTSCH, SCOTT	UBT MODERATE AGE BASED 0-02-A	500.00	15.00	0.00	15.00	90.0	13.50
02/17/2017	ARATA, MATHEW	UBT MODERATE AGE BASED 0-02-A	111.00	3.33	0.00	3.33	90.0	3.00
02/17/2017	TUCKER, BRANDON	UBT MODERATE AGE BASED 0-02-A	250.00	7.50	0.00	7.50	90.0	6.75
02/17/2017	ROLLINGER, LAUREN	UBT MODERATE AGE BASED 0-02-A	30.00	0.90	0.00	0.90	90.0	0.81
02/17/2017	ARIAS, MELISSA	UBT MODERATE AGE BASED 0-02-A	200.00	6.00	0.00	6.00	90.0	5.40
02/17/2017	SILKAITIS, MYIA	UBT MODERATE AGE BASED 0-02-A	50.00	1.50	0.00	1.50	90.0	1.35
02/17/2017	LAMPI, KEITH	UBT MODERATE AGE BASED 0-02-A	250.00	7.50	0.00	7.50	90.0	6.75
02/17/2017	MARIQUINA, JACQUELINE	UBT MODERATE AGE BASED 0-02-A	10.00	0.30	0.00	0.30	90.0	0.27
02/17/2017	MACK, ALEXANDER	UBT MODERATE AGE BASED 0-02-A	250.00	7.50	0.00	7.50	90.0	6.75
02/17/2017	NORRIS, VALERIE	UBT MODERATE AGE BASED 0-02-A	150.00	4.50	0.00	4.50	90.0	4.05
03/01/2017	BRANNAN, JESSE	UBT MODERATE AGE BASED 0-02-A	250.00	7.50	0.00	7.50	90.0	6.75
02/01/2017	KLABACHA, JASON	UBT MODERATE AGE BASED 03-05-A	300.00	9.00	0.00	9.00	90.0	8.10
02/01/2017	REIDY, TIFFANY	UBT MODERATE AGE BASED 03-05-A	150.00	4.50	0.00	4.50	90.0	4.05
02/01/2017	SAAM, ROBERT	UBT MODERATE AGE BASED 03-05-A	200.00	6.00	0.00	6.00	90.0	5.40
02/01/2017	LAMPI, KEITH	UBT MODERATE AGE BASED 03-05-A	250.00	7.50	0.00	7.50	90.0	6.75
02/01/2017	BRANNAN, JESSE	UBT MODERATE AGE BASED 03-05-A	250.00	7.50	0.00	7.50	90.0	6.75
02/01/2017	SISON, MARYBETH	UBT MODERATE AGE BASED 03-05-A	50.00	1.50	0.00	1.50	90.0	1.35
02/01/2017	NORRIS, VALERIE	UBT MODERATE AGE BASED 03-05-A	150.00	4.50	0.00	4.50	90.0	4.05
02/01/2017	CATANESE, JODY	UBT MODERATE AGE BASED 03-05-A	100.00	3.00	0.00	3.00	90.0	2.70
02/01/2017	ROLLINGER, LAUREN	UBT MODERATE AGE BASED 03-05-A	30.00	0.90	0.00	0.90	90.0	0.81
02/01/2017	WHITE, AMANDA	UBT MODERATE AGE BASED 03-05-A	100.00	3.00	0.00	3.00	90.0	2.70
02/15/2017	ARIAS, MELISSA	UBT MODERATE AGE BASED 03-05-A	200.00	6.00	0.00	6.00	90.0	5.40
02/15/2017	GREINER, PAUL	UBT MODERATE AGE BASED 03-05-A	150.00	4.50	0.00	4.50	90.0	4.05
02/15/2017	GREINER, PAUL	UBT MODERATE AGE BASED 03-05-A	150.00	4.50	0.00	4.50	90.0	4.05
02/16/2017	MARTIN, JOELLYN	UBT MODERATE AGE BASED 03-05-A	250.00	7.50	0.00	7.50	90.0	6.75
02/17/2017	WILSON, JOE	UBT MODERATE AGE BASED 03-05-A	30.00	0.90	0.00	0.90	90.0	0.81
02/17/2017	KARKI, TRISHA	UBT MODERATE AGE BASED 03-05-A	25.00	0.75	0.00	0.75	90.0	0.68

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
02/17/2017	MEYER, ELIZABETH	UBT MODERATE AGE BASED 03-05-A	25.00	0.75	0.00	0.75	90.0	0.68
02/17/2017	CATANESE, JODY	UBT MODERATE AGE BASED 03-05-A	100.00	3.00	0.00	3.00	90.0	2.70
02/17/2017	MARIQUINA, JACQUELINE	UBT MODERATE AGE BASED 03-05-A	25.00	0.75	0.00	0.75	90.0	0.68
02/17/2017	SAYRE, MICHAEL	UBT MODERATE AGE BASED 03-05-A	500.00	15.00	0.00	15.00	90.0	13.50
02/17/2017	SAYRE, MICHAEL	UBT MODERATE AGE BASED 03-05-A	500.00	15.00	0.00	15.00	90.0	13.50
02/21/2017	CATANESE, ERIN	UBT MODERATE AGE BASED 03-05-A	500.00	15.00	0.00	15.00	90.0	13.50
02/28/2017	COLAN, MICHAEL	UBT MODERATE AGE BASED 03-05-A	75.00	2.25	0.00	2.25	90.0	2.03
03/01/2017	KLABACHA, JASON	UBT MODERATE AGE BASED 03-05-A	300.00	9.00	0.00	9.00	90.0	8.10
03/01/2017	REIDY, TIFFANY	UBT MODERATE AGE BASED 03-05-A	150.00	4.50	0.00	4.50	90.0	4.05
03/01/2017	SAAM, ROBERT	UBT MODERATE AGE BASED 03-05-A	200.00	6.00	0.00	6.00	90.0	5.40
03/01/2017	LAMPI, KEITH	UBT MODERATE AGE BASED 03-05-A	250.00	7.50	0.00	7.50	90.0	6.75
03/01/2017	BRANNAN, JESSE	UBT MODERATE AGE BASED 03-05-A	250.00	7.50	0.00	7.50	90.0	6.75
03/01/2017	SISON, MARYBETH	UBT MODERATE AGE BASED 03-05-A	50.00	1.50	0.00	1.50	90.0	1.35
03/01/2017	NORRIS, VALERIE	UBT MODERATE AGE BASED 03-05-A	150.00	4.50	0.00	4.50	90.0	4.05
03/01/2017	CATANESE, JODY	UBT MODERATE AGE BASED 03-05-A	100.00	3.00	0.00	3.00	90.0	2.70
03/01/2017	ROLLINGER, LAUREN	UBT MODERATE AGE BASED 03-05-A	30.00	0.90	0.00	0.90	90.0	0.81
03/01/2017	WHITE, AMANDA	UBT MODERATE AGE BASED 03-05-A	100.00	3.00	0.00	3.00	90.0	2.70
03/01/2017	REIDY, TIFFANY	UBT MODERATE AGE BASED 03-05-A	150.00	4.50	0.00	4.50	90.0	4.05
02/01/2017	KLABACHA, JASON	UBT MODERATE AGE BASED 06-08-A	300.00	9.00	0.00	9.00	90.0	8.10
02/01/2017	MUELLNER, MARK	UBT MODERATE AGE BASED 06-08-A	100.00	3.00	0.00	3.00	90.0	2.70
02/01/2017	SISON, MARYBETH	UBT MODERATE AGE BASED 06-08-A	50.00	1.50	0.00	1.50	90.0	1.35
02/01/2017	SILKAITIS, MYIA	UBT MODERATE AGE BASED 06-08-A	50.00	1.50	0.00	1.50	90.0	1.35
02/01/2017	LIM, SUSIE	UBT MODERATE AGE BASED 06-08-A	100.00	3.00	0.00	3.00	90.0	2.70
02/01/2017	BATTAGLIA, MICHAEL	UBT MODERATE AGE BASED 06-08-A	50.00	1.50	0.00	1.50	90.0	1.35
02/06/2017	WILKINS, AARON	UBT MODERATE AGE BASED 06-08-A	150.00	4.50	0.00	4.50	90.0	4.05
02/08/2017	BUERSTATTE, BRANDI	UBT MODERATE AGE BASED 06-08-A	200.00	6.00	0.00	6.00	90.0	5.40
02/15/2017	LIEBERMAN, DAVID	UBT MODERATE AGE BASED 06-08-A	100.00	3.00	0.00	3.00	90.0	2.70
02/15/2017	LAMPI, KEITH	UBT MODERATE AGE BASED 06-08-A	250.00	7.50	0.00	7.50	90.0	6.75
02/16/2017	MARTIN, JOELLYN	UBT MODERATE AGE BASED 06-08-A	250.00	7.50	0.00	7.50	90.0	6.75
02/17/2017	MEYER, ELIZABETH	UBT MODERATE AGE BASED 06-08-A	25.00	0.75	0.00	0.75	90.0	0.68
02/17/2017	CONTRERAS, ANDY	UBT MODERATE AGE BASED 06-08-A	50.00	1.50	0.00	1.50	90.0	1.35
02/17/2017	CONTRERAS, ANDY	UBT MODERATE AGE BASED 06-08-A	50.00	1.50	0.00	1.50	90.0	1.35
02/21/2017	CATANESE, ERIN	UBT MODERATE AGE BASED 06-08-A	500.00	15.00	0.00	15.00	90.0	13.50

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
02/21/2017	KARKI, TRISHA	UBT MODERATE AGE BASED 06-08-A	25.00	0.75	0.00	0.75	90.0	0.68
02/28/2017	COLAN, MICHAEL	UBT MODERATE AGE BASED 06-08-A	75.00	2.25	0.00	2.25	90.0	2.03
03/01/2017	KLABACHA, JASON	UBT MODERATE AGE BASED 06-08-A	300.00	9.00	0.00	9.00	90.0	8.10
03/01/2017	MUELLNER, MARK	UBT MODERATE AGE BASED 06-08-A	100.00	3.00	0.00	3.00	90.0	2.70
03/01/2017	SISON, MARYBETH	UBT MODERATE AGE BASED 06-08-A	50.00	1.50	0.00	1.50	90.0	1.35
03/01/2017	SILKAITIS, MYIA	UBT MODERATE AGE BASED 06-08-A	50.00	1.50	0.00	1.50	90.0	1.35
03/01/2017	LIM, SUSIE	UBT MODERATE AGE BASED 06-08-A	100.00	3.00	0.00	3.00	90.0	2.70
03/01/2017	BATTAGLIA, MICHAEL	UBT MODERATE AGE BASED 06-08-A	50.00	1.50	0.00	1.50	90.0	1.35
02/01/2017	MUELLNER, MARK	UBT MODERATE AGE BASED 09-10-A	100.00	3.00	0.00	3.00	90.0	2.70
02/01/2017	HINTCH, ELIZABETH	UBT MODERATE AGE BASED 09-10-A	850.00	25.50	0.00	25.50	90.0	22.95
02/01/2017	STETTER, MARIA	UBT MODERATE AGE BASED 09-10-A	50.00	1.50	0.00	1.50	90.0	1.35
02/06/2017	WELLINGTON, ERICA	UBT MODERATE AGE BASED 09-10-A	50.00	1.50	0.00	1.50	90.0	1.35
02/06/2017	WILKINS, AARON	UBT MODERATE AGE BASED 09-10-A	150.00	4.50	0.00	4.50	90.0	4.05
02/15/2017	LIEBERMAN, DAVID	UBT MODERATE AGE BASED 09-10-A	100.00	3.00	0.00	3.00	90.0	2.70
02/17/2017	HIRSTIUS, KERRIE	UBT MODERATE AGE BASED 09-10-A	175.00	5.25	0.00	5.25	90.0	4.73
02/28/2017	COLAN, MICHAEL	UBT MODERATE AGE BASED 09-10-A	75.00	2.25	0.00	2.25	90.0	2.03
03/01/2017	MUELLNER, MARK	UBT MODERATE AGE BASED 09-10-A	100.00	3.00	0.00	3.00	90.0	2.70
03/01/2017	STETTER, MARIA	UBT MODERATE AGE BASED 09-10-A	50.00	1.50	0.00	1.50	90.0	1.35
02/01/2017	BATTAGLIA, MICHAEL	UBT MODERATE AGE BASED 11-12-A	100.00	3.00	0.00	3.00	90.0	2.70
03/01/2017	BATTAGLIA, MICHAEL	UBT MODERATE AGE BASED 11-12-A	100.00	3.00	0.00	3.00	90.0	2.70
03/01/2017	HINTCH, ELIZABETH	UBT MODERATE AGE BASED 11-12-A	850.00	25.50	0.00	25.50	90.0	22.95
02/01/2017	MUELLNER, MARK	UBT MODERATE AGE BASED 13-14-A	100.00	3.00	0.00	3.00	90.0	2.70
02/06/2017	WELLINGTON, ERICA	UBT MODERATE AGE BASED 13-14-A	50.00	1.50	0.00	1.50	90.0	1.35
02/21/2017	GUIRAGOSSIAN, BETSY	UBT MODERATE AGE BASED 13-14-A	100.00	3.00	0.00	3.00	90.0	2.70
03/01/2017	MUELLNER, MARK	UBT MODERATE AGE BASED 13-14-A	100.00	3.00	0.00	3.00	90.0	2.70
02/06/2017	LOPEZ, JOSE	UBT MODERATE AGE BASED 15-16-A	50.00	1.50	0.00	1.50	90.0	1.35
02/06/2017	ROSALES-HARRIGAN, ESTELA	UBT MODERATE AGE BASED 15-16-A	90.00	2.70	0.00	2.70	90.0	2.43
02/10/2017	ROSALES-HARRIGAN, ESTELA	UBT MODERATE AGE BASED 15-16-A	150.00	4.50	0.00	4.50	90.0	4.05
02/06/2017	LOPEZ, JOSE	UBT MODERATE AGE BASED 17-18-A	50.00	1.50	0.00	1.50	90.0	1.35
02/21/2017	GUIRAGOSSIAN, BETSY	UBT MODERATE AGE BASED 17-18-A	100.00	3.00	0.00	3.00	90.0	2.70
02/06/2017	LOPEZ, JOSE	UBT MODERATE AGE BASED 19+-A	50.00	1.50	0.00	1.50	90.0	1.35
* MUTUAL FUNDS SUBTOTAL *			\$18,497.00	\$1,775.06	\$0.00	\$1,775.06		\$1,597.82

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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>								
03/01/2017	GALLESE, ALLISON	JNL ELITE ACCESS	500.00	26.25	0.00	26.25	90.0	23.63
02/27/2017	LOIKA, GREGORY	SBL ADVISOR PROGRAM	4,447.64	3.72	0.00	3.72	90.0	3.35
02/27/2017	LOIKA, JENNIFER	SBL ADVISOR PROGRAM	4,451.88	3.73	0.00	3.73	90.0	3.36
02/28/2017	EDUCATION, BOARD OF	VOYA RETIREMENT & ANNUITY	0.00	44.72	0.00	44.72	90.0	40.25
* VARIABLE ANNUITIES SUBTOTAL *			\$9,399.52	\$78.42	\$0.00	\$78.42		\$70.59
<u>PRODUCT CATEGORY: VARIABLE ANNUITY 12B1 TRAILS</u>								
02/16/2017	KUHN TRUST, LINDA	GUARDIAN LIFE INS TRAILS	0.00	84.46	0.00	84.46	90.0	76.01
* VARIABLE ANNUITY 12B1 TRAILS SUBTOTAL *			\$0.00	\$84.46	\$0.00	\$84.46		\$76.01
*** BROKER TRANSACTIONS TOTAL ***			\$216,986.52	\$8,556.09	\$0.00	\$8,556.09		\$7,700.76
<u>ADJUSTMENTS</u>								
03/15/2017		*CREDIT CARD PYT: CREDIT CARD PYT	0.00					975.00
03/15/2017		*E & O INSURANCE: CURRENT MONTH INS	0.00					-300.00
03/15/2017		*TECH: ADMIN-K JALOWIECKI	0.00					-100.00
03/15/2017		*TECH: ADMIN-W CLARK	0.00					-100.00
03/15/2017		*TECH: ALBRIDGE FULL	0.00					-100.00
03/15/2017		*TECHNOLOGY: ADMIN - MATT KUHN	0.00					-100.00
03/15/2017		*TECHNOLOGY: CURRENT MONTH TECH	0.00					-275.00
*** ADJUSTMENTS TOTAL ***			\$0.00	\$0.00	\$0.00	\$0.00		\$0.00

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BROKER COMMISSION TOTALS

Broker Transactions	\$7,700.76
Split Transactions	\$0.00
Override Transactions	\$0.00
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	\$7,700.76
Year-to-date Gross	\$51,005.74
Year-to-date Earnings	\$45,905.74