



Concorde Investment Services, LLC
COMMISSION STATEMENT
February 28, 2018

02/27/2018
Page No. 1

JOSEPH, M138 MICHALETZ
41474 Judson Bottom Road

BROKER #: M138
BRANCH: DISCIPLINE ADVISORS,

North Mankato, MI 56003-

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>CLEARING TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
02/12/2018	HINTON, ALYSSA	TRANSAMERICA AA GROWTH C	200.00	2.00	12.00	-10.00	93.0	-9.30
		* MUTUAL FUNDS SUBTOTAL *	\$200.00	\$2.00	\$12.00	\$-10.00		\$-9.30
		*** CLEARING TRANSACTIONS TOTAL ***	\$200.00	\$2.00	\$12.00	\$-10.00		\$-9.30

<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: PRIVATE PLACEMENT</u>								
01/31/2018	RADICHEL SUBTRUST, BRADLEY	BOURNE SENIORS HOUSING III	300,000.00	21,000.00	0.00	21,000.00	93.0	19,530.00
02/07/2018	ROSS, LARRY	BOURNE SENIORS HOUSING III	75,000.00	5,250.00	0.00	5,250.00	93.0	4,882.50
02/19/2018	VINKEMEIER, ANGELA	GPB AUTOMOTIVE PORTFOLIO LP	100,000.00	7,000.00	0.00	7,000.00	93.0	6,510.00
02/21/2018	KOERWITZ REV FAM TR, KENNETH	GPB AUTOMOTIVE PORTFOLIO LP	200,000.00	14,000.00	0.00	14,000.00	93.0	13,020.00
02/21/2018	OLSON TRUST, DONALD & NYLEEN	GPB AUTOMOTIVE PORTFOLIO LP	85,000.00	5,950.00	0.00	5,950.00	93.0	5,533.50
02/07/2018	DORN, EUGENE	GPB WASTE MANAGEMENT LP	70,000.00	4,900.00	0.00	4,900.00	93.0	4,557.00
02/21/2018	KOERWITZ REV FAM TR, KENNETH	GPB WASTE MANAGEMENT LP	200,000.00	14,000.00	0.00	14,000.00	93.0	13,020.00
		* PRIVATE PLACEMENT SUBTOTAL *	\$1,030,000.00	\$72,100.00	\$0.00	\$72,100.00		\$67,053.00

<u>PRODUCT CATEGORY: 1031 EXCHANGES</u>								
02/16/2018	ARNOLD, JEFFREY	RRTY KING RIVER ROYALTIES	150,000.00	9,000.00	0.00	9,000.00	93.0	8,370.00
02/16/2018	FLO, DAVID	RRTY KING RIVER ROYALTIES	100,000.00	6,000.00	0.00	6,000.00	93.0	5,580.00
02/19/2018	OLSON TRUST, DONALD & NYLEEN	RRTY KING RIVER ROYALTIES	100,000.00	6,000.00	0.00	6,000.00	93.0	5,580.00
02/19/2018	VINKEMEIER, ANGELA	RRTY KING RIVER ROYALTIES	50,000.00	3,000.00	0.00	3,000.00	93.0	2,790.00
02/19/2018	LOCATION, LOCATION, LOCATION	RRTY KING RIVER ROYALTIES	123,552.26	7,413.14	0.00	7,413.14	93.0	6,894.22
02/19/2018	FIELDS LAND & CATTLE	RRTY KING RIVER ROYALTIES	374,400.80	22,464.05	0.00	22,464.05	93.0	20,891.57
02/19/2018	WINGERT, CHARLES	RRTY KING RIVER ROYALTIES	100,000.00	6,000.00	0.00	6,000.00	93.0	5,580.00
02/22/2018	HUGHES, KATHLEEN	RRTY KING RIVER ROYALTIES	100,000.00	6,000.00	0.00	6,000.00	93.0	5,580.00
02/22/2018	OWENS, DAVID	RRTY KING RIVER ROYALTIES	25,000.00	1,500.00	0.00	1,500.00	93.0	1,395.00

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>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
* 1031 EXCHANGES SUBTOTAL *			\$1,122,953.06	\$67,377.19	\$0.00	\$67,377.19		\$62,660.79
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
02/15/2018	ORTIZ, LAURA	TRANSAMERICA AA GROWTH C	100.00	1.00	0.00	1.00	93.0	0.93
02/15/2018	VETTER, JAYCE	TRANSAMERICA AA GROWTH C	50.00	0.50	0.00	0.50	93.0	0.47
* MUTUAL FUNDS SUBTOTAL *			\$150.00	\$1.50	\$0.00	\$1.50		\$1.40
<u>PRODUCT CATEGORY: VARIABLE ANNUITIES</u>								
02/12/2018	BENZ, JERRILYN	JNL PERSPECTIVE II 04/14	420,063.41	8,401.27	0.00	8,401.27	93.0	7,813.18
02/13/2018	STOWE, ANDREW	JNL PERSPECTIVE II 04/14	280,824.99	5,616.50	0.00	5,616.50	93.0	5,223.35
01/31/2018	KUEHLWEIN, RICHARD	JNL PERSPECTIVE L	-59,948.99	-49.96	0.00	-49.96	93.0	-46.46
01/09/2018	JACKSON, SHARON	TRANS LIFE LANDMARK 2003 VA	477,612.32	398.01	0.00	398.01	93.0	370.15
01/17/2018	ROBINSON, CHARLES	TRANS LIFE LANDMARK 2003 VA	118,616.63	98.85	0.00	98.85	93.0	91.93
01/19/2018	STEVENS, JANICE	TRANSAMERICA CATALYST	18,514.69	3.86	0.00	3.86	93.0	3.59
01/04/2018	SEVERSON, STEVEN	TRANSAMERICA EXTRA	188,022.37	156.69	0.00	156.69	93.0	145.72
01/09/2018	VOIGHT, RICKY	TRANSAMERICA EXTRA	673,514.16	561.26	0.00	561.26	93.0	521.97
01/09/2018	VOIGHT, KATHERINE	TRANSAMERICA EXTRA	25,833.30	21.53	0.00	21.53	93.0	20.02
01/11/2018	MICHALETZ, CHRISTINE	TRANSAMERICA EXTRA	6,957.09	5.80	0.00	5.80	93.0	5.39
01/13/2018	VETTER, LORI	TRANSAMERICA EXTRA	38,617.69	32.18	0.00	32.18	93.0	29.93
01/13/2018	VOIGHT, KATHERINE	TRANSAMERICA EXTRA	19,843.44	16.54	0.00	16.54	93.0	15.38
01/13/2018	VOIGHT, RICKY	TRANSAMERICA EXTRA	7,048.08	5.87	0.00	5.87	93.0	5.46
01/13/2018	TRIPP, TIMOTHY	TRANSAMERICA EXTRA	26,665.22	22.22	0.00	22.22	93.0	20.66
01/14/2018	GRAFF, JOYCE	TRANSAMERICA EXTRA	50,945.65	42.45	0.00	42.45	93.0	39.48
01/14/2018	GRAFF, JOYCE	TRANSAMERICA EXTRA	18,024.45	15.02	0.00	15.02	93.0	13.97
01/17/2018	ELLIS, ROSEMARY	TRANSAMERICA EXTRA	240,620.10	200.52	0.00	200.52	93.0	186.48
01/19/2018	WETZELL, THOMAS	TRANSAMERICA EXTRA	1,440,056.55	1,200.05	0.00	1,200.05	93.0	1,116.05
01/19/2018	VANDERHOOF, DONALD	TRANSAMERICA EXTRA	8,428.71	7.02	0.00	7.02	93.0	6.53
01/19/2018	LEVIK, LADONNA	TRANSAMERICA EXTRA	241,074.44	200.90	0.00	200.90	93.0	186.84
01/21/2018	VOTCA, JOHN	TRANSAMERICA EXTRA	70,640.29	58.87	0.00	58.87	93.0	54.75
01/21/2018	GRISWOLD, ELLEN	TRANSAMERICA EXTRA	38,018.68	31.68	0.00	31.68	93.0	29.46
01/23/2018	VOIGHT, KATHERINE	TRANSAMERICA EXTRA	35,054.08	29.21	0.00	29.21	93.0	27.17
01/27/2018	BOESCH, RODNEY	TRANSAMERICA EXTRA	58,134.53	48.45	0.00	48.45	93.0	45.06
01/01/2018	BOESCH, JEFFERY	TRANSAMERICA EXTRA 89352F889	241,158.20	200.97	0.00	200.97	93.0	186.90
01/07/2018	MICHALETZ, JOSEPH	TRANSAMERICA EXTRA 89352F889	13,647.60	11.37	0.00	11.37	93.0	10.57

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: VARIABLE ANNUITIES</u>								
01/10/2018	HORNING, DONALD	TRANSAMERICA EXTRA 89352F889	107,973.66	89.98	0.00	89.98	93.0	83.68
01/16/2018	FEMRITE, LYLE	TRANSAMERICA EXTRA 89352F889	79,551.97	66.29	0.00	66.29	93.0	61.65
01/23/2018	PAULSEN, TAMI	TRANSAMERICA EXTRA 89352F889	73,613.47	61.34	0.00	61.34	93.0	57.05
01/23/2018	PAULSEN, BRYAN	TRANSAMERICA EXTRA 89352F889	196,870.23	164.06	0.00	164.06	93.0	152.58
01/23/2018	FOSTER, RODNEY	TRANSAMERICA EXTRA 89352F889	1,416,810.87	1,180.68	0.00	1,180.68	93.0	1,098.03
01/23/2018	FOSTER, BARBARA	TRANSAMERICA EXTRA 89352F889	319,254.89	266.05	0.00	266.05	93.0	247.43
01/02/2018	PLOTZ, LEO	TRANSAMERICA LANDMARK	329,775.02	274.81	0.00	274.81	93.0	255.57
01/05/2018	TURNER, WENDELL	TRANSAMERICA LANDMARK	124,288.18	103.57	0.00	103.57	93.0	96.32
01/07/2018	SHORE, ROSALIND	TRANSAMERICA LANDMARK	143,832.25	119.86	0.00	119.86	93.0	111.47
01/08/2018	HECK, KELVIN	TRANSAMERICA LANDMARK	272,495.87	227.08	0.00	227.08	93.0	211.18
01/09/2018	BRIELMAIER, MARK	TRANSAMERICA LANDMARK	77,382.12	64.49	0.00	64.49	93.0	59.98
01/15/2018	BENZ, JERRILYN	TRANSAMERICA LANDMARK	404,207.45	336.84	0.00	336.84	93.0	313.26
01/15/2018	JOHNSON, PAUL	TRANSAMERICA LANDMARK	495,773.56	413.14	0.00	413.14	93.0	384.22
01/18/2018	KLEMENT, LINDA	TRANSAMERICA LANDMARK	15,281.07	12.73	0.00	12.73	93.0	11.84
01/20/2018	BERGLING, PAUL	TRANSAMERICA LANDMARK	555,821.43	463.18	0.00	463.18	93.0	430.76
01/22/2018	DALLMANN, MARGARET	TRANSAMERICA LANDMARK	168,041.87	140.03	0.00	140.03	93.0	130.23
01/22/2018	BERGLING, SHARON	TRANSAMERICA LANDMARK	807,653.57	673.04	0.00	673.04	93.0	625.93
01/26/2018	DALLMANN, HOWARD	TRANSAMERICA LANDMARK	14,384.82	11.99	0.00	11.99	93.0	11.15
01/28/2018	KLEMENT, LINDA	TRANSAMERICA LANDMARK	75,386.30	62.82	0.00	62.82	93.0	58.42
01/29/2018	SANDER, GLORIAN	TRANSAMERICA LANDMARK	245,627.11	204.69	0.00	204.69	93.0	190.36
01/04/2018	HULST, TIMOTHY	TRANSAMERICA LIBERTY	57,540.15	47.95	0.00	47.95	93.0	44.59
01/11/2018	HAUGH, JOANNE	TRANSAMERICA LIBERTY	39,274.95	32.73	0.00	32.73	93.0	30.44
01/24/2018	MICHALETZ, GERALD	TRANSAMERICA LIBERTY	86,292.78	71.91	0.00	71.91	93.0	66.88
01/24/2018	AYERS, KATHRYN	TRANSAMERICA LIBERTY	234,519.52	195.43	0.00	195.43	93.0	181.75
* VARIABLE ANNUITIES SUBTOTAL *			\$11,039,640.79	\$22,621.82	\$0.00	\$22,621.82		\$21,038.30
<u>PRODUCT CATEGORY: VARIABLE UNIVERSAL LIFE</u>								
02/05/2018	KIRCHNER, PHILLIP	TRANSAMERICA LIFE	1,157.50	28.94	0.00	28.94	93.0	26.91
02/16/2018	FOELS, TAMMY	TRANSAMERICA LIFE	50.00	1.00	0.00	1.00	93.0	0.93
* VARIABLE UNIVERSAL LIFE SUBTOTAL *			\$1,207.50	\$29.94	\$0.00	\$29.94		\$27.84
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
05/16/2016	LOWE, RUSSELL	AM FUNDS AMCAP A	0.00	0.44	0.00	0.44	93.0	0.41
02/16/2016	FITZSIMMONS, KEVIN	AM FUNDS AMERICAN BALANCED A	0.00	0.48	0.00	0.48	93.0	0.45

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
02/16/2016	FITZSIMMONS, CHRISTINE	AM FUNDS AMERICAN BALANCED A	0.00	0.75	0.00	0.75	93.0	0.70
03/15/2016	FITZSIMMONS, KEVIN	AM FUNDS AMERICAN BALANCED A	0.00	0.45	0.00	0.45	93.0	0.42
03/15/2016	FITZSIMMONS, CHRISTINE	AM FUNDS AMERICAN BALANCED A	0.00	0.70	0.00	0.70	93.0	0.65
04/20/2016	FITZSIMMONS, KEVIN	AM FUNDS AMERICAN BALANCED A	0.00	0.50	0.00	0.50	93.0	0.47
04/20/2016	FITZSIMMONS, CHRISTINE	AM FUNDS AMERICAN BALANCED A	0.00	0.78	0.00	0.78	93.0	0.73
05/16/2016	FITZSIMMONS, KEVIN	AM FUNDS AMERICAN BALANCED A	0.00	0.49	0.00	0.49	93.0	0.46
05/16/2016	FITZSIMMONS, CHRISTINE	AM FUNDS AMERICAN BALANCED A	0.00	0.77	0.00	0.77	93.0	0.72
06/15/2016	FITZSIMMONS, KEVIN	AM FUNDS AMERICAN BALANCED A	0.00	0.51	0.00	0.51	93.0	0.47
06/15/2016	FITZSIMMONS, CHRISTINE	AM FUNDS AMERICAN BALANCED A	0.00	0.79	0.00	0.79	93.0	0.73
07/18/2016	FITZSIMMONS, KEVIN	AM FUNDS AMERICAN BALANCED A	0.00	0.50	0.00	0.50	93.0	0.47
07/18/2016	FITZSIMMONS, CHRISTINE	AM FUNDS AMERICAN BALANCED A	0.00	0.77	0.00	0.77	93.0	0.72
08/15/2016	FITZSIMMONS, KEVIN	AM FUNDS AMERICAN BALANCED A	0.00	0.52	0.00	0.52	93.0	0.48
08/15/2016	FITZSIMMONS, CHRISTINE	AM FUNDS AMERICAN BALANCED A	0.00	0.81	0.00	0.81	93.0	0.75
09/16/2016	FITZSIMMONS, KEVIN	AM FUNDS AMERICAN BALANCED A	0.00	0.52	0.00	0.52	93.0	0.48
09/16/2016	FITZSIMMONS, CHRISTINE	AM FUNDS AMERICAN BALANCED A	0.00	0.82	0.00	0.82	93.0	0.76
10/17/2016	FITZSIMMONS, KEVIN	AM FUNDS AMERICAN BALANCED A	0.00	0.50	0.00	0.50	93.0	0.47
10/17/2016	FITZSIMMONS, CHRISTINE	AM FUNDS AMERICAN BALANCED A	0.00	0.78	0.00	0.78	93.0	0.73
11/18/2016	FITZSIMMONS, KEVIN	AM FUNDS AMERICAN BALANCED A	0.00	0.40	0.00	0.40	93.0	0.37
11/18/2016	FITZSIMMONS, CHRISTINE	AM FUNDS AMERICAN BALANCED A	0.00	0.81	0.00	0.81	93.0	0.75
12/15/2016	FITZSIMMONS, CHRISTINE	AM FUNDS AMERICAN BALANCED A	0.00	0.78	0.00	0.78	93.0	0.73
07/18/2016	GILMAN, GENE	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	0.23	0.00	0.23	93.0	0.21
08/15/2016	GILMAN, GENE	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	0.01	0.00	0.01	93.0	0.01
05/16/2016	LOWE, RUSSELL	AM FUNDS AMERICAN MUTUAL A	0.00	0.20	0.00	0.20	93.0	0.19
05/16/2016	TURPEN, ERIC	AM FUNDS AMERICAN MUTUAL A	0.00	0.02	0.00	0.02	93.0	0.02
06/15/2016	TURPEN, ERIC	AM FUNDS AMERICAN MUTUAL A	0.00	0.14	0.00	0.14	93.0	0.13
06/15/2016	TURPEN, RACHEL	AM FUNDS AMERICAN MUTUAL A	0.00	0.49	0.00	0.49	93.0	0.46
07/18/2016	TURPEN, ERIC	AM FUNDS AMERICAN MUTUAL A	0.00	0.15	0.00	0.15	93.0	0.14
07/18/2016	TURPEN, RACHEL	AM FUNDS AMERICAN MUTUAL A	0.00	0.49	0.00	0.49	93.0	0.46
08/15/2016	TURPEN, ERIC	AM FUNDS AMERICAN MUTUAL A	0.00	0.16	0.00	0.16	93.0	0.15
08/15/2016	TURPEN, RACHEL	AM FUNDS AMERICAN MUTUAL A	0.00	0.53	0.00	0.53	93.0	0.49
09/16/2016	TURPEN, ERIC	AM FUNDS AMERICAN MUTUAL A	0.00	0.17	0.00	0.17	93.0	0.16
09/16/2016	TURPEN, RACHEL	AM FUNDS AMERICAN MUTUAL A	0.00	0.54	0.00	0.54	93.0	0.50
10/17/2016	TURPEN, ERIC	AM FUNDS AMERICAN MUTUAL A	0.00	0.17	0.00	0.17	93.0	0.16

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
10/17/2016	TURPEN, RACHEL	AM FUNDS AMERICAN MUTUAL A	0.00	0.52	0.00	0.52	93.0	0.48
11/18/2016	TURPEN, ERIC	AM FUNDS AMERICAN MUTUAL A	0.00	0.18	0.00	0.18	93.0	0.17
11/18/2016	TURPEN, RACHEL	AM FUNDS AMERICAN MUTUAL A	0.00	0.54	0.00	0.54	93.0	0.50
12/15/2016	TURPEN, ERIC	AM FUNDS AMERICAN MUTUAL A	0.00	0.18	0.00	0.18	93.0	0.17
12/15/2016	TURPEN, RACHEL	AM FUNDS AMERICAN MUTUAL A	0.00	0.54	0.00	0.54	93.0	0.50
02/16/2016	FITZSIMMONS, CHRISTINE	AM FUNDS BOND FUND OF AMERICA A	0.00	0.67	0.00	0.67	93.0	0.62
03/15/2016	FITZSIMMONS, CHRISTINE	AM FUNDS BOND FUND OF AMERICA A	0.00	0.63	0.00	0.63	93.0	0.59
04/20/2016	FITZSIMMONS, CHRISTINE	AM FUNDS BOND FUND OF AMERICA A	0.00	0.67	0.00	0.67	93.0	0.62
05/16/2016	FITZSIMMONS, CHRISTINE	AM FUNDS BOND FUND OF AMERICA A	0.00	0.66	0.00	0.66	93.0	0.61
06/15/2016	FITZSIMMONS, CHRISTINE	AM FUNDS BOND FUND OF AMERICA A	0.00	0.68	0.00	0.68	93.0	0.63
07/18/2016	FITZSIMMONS, CHRISTINE	AM FUNDS BOND FUND OF AMERICA A	0.00	0.66	0.00	0.66	93.0	0.61
08/15/2016	FITZSIMMONS, CHRISTINE	AM FUNDS BOND FUND OF AMERICA A	0.00	0.69	0.00	0.69	93.0	0.64
09/16/2016	FITZSIMMONS, CHRISTINE	AM FUNDS BOND FUND OF AMERICA A	0.00	0.69	0.00	0.69	93.0	0.64
10/17/2016	FITZSIMMONS, CHRISTINE	AM FUNDS BOND FUND OF AMERICA A	0.00	0.67	0.00	0.67	93.0	0.62
11/18/2016	FITZSIMMONS, CHRISTINE	AM FUNDS BOND FUND OF AMERICA A	0.00	0.69	0.00	0.69	93.0	0.64
12/15/2016	FITZSIMMONS, CHRISTINE	AM FUNDS BOND FUND OF AMERICA A	0.00	0.66	0.00	0.66	93.0	0.61
02/16/2016	FITZSIMMONS, KEVIN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.10	0.00	0.10	93.0	0.09
02/16/2016	FITZSIMMONS, KEVIN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.70	0.00	0.70	93.0	0.65
02/16/2016	FITZSIMMONS, CHRISTINE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.89	0.00	0.89	93.0	0.83
03/15/2016	FITZSIMMONS, KEVIN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.10	0.00	0.10	93.0	0.09
03/15/2016	FITZSIMMONS, KEVIN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.66	0.00	0.66	93.0	0.61
03/15/2016	FITZSIMMONS, CHRISTINE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.84	0.00	0.84	93.0	0.78
04/20/2016	FITZSIMMONS, KEVIN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.11	0.00	0.11	93.0	0.10
04/20/2016	FITZSIMMONS, KEVIN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.74	0.00	0.74	93.0	0.69
04/20/2016	FITZSIMMONS, CHRISTINE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.94	0.00	0.94	93.0	0.87
05/16/2016	FITZSIMMONS, KEVIN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.11	0.00	0.11	93.0	0.10
05/16/2016	FITZSIMMONS, KEVIN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.73	0.00	0.73	93.0	0.68
05/16/2016	FITZSIMMONS, CHRISTINE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.92	0.00	0.92	93.0	0.86
05/16/2016	LOWE, RUSSELL	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.18	0.00	0.18	93.0	0.17
06/15/2016	FITZSIMMONS, KEVIN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.11	0.00	0.11	93.0	0.10
06/15/2016	FITZSIMMONS, KEVIN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.75	0.00	0.75	93.0	0.70
06/15/2016	FITZSIMMONS, CHRISTINE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.95	0.00	0.95	93.0	0.88
07/18/2016	FITZSIMMONS, KEVIN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.11	0.00	0.11	93.0	0.10

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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>								
07/18/2016	FITZSIMMONS, KEVIN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.73	0.00	0.73	93.0	0.68
07/18/2016	FITZSIMMONS, CHRISTINE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.93	0.00	0.93	93.0	0.86
07/18/2016	GILMAN, GENE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.22	0.00	0.22	93.0	0.20
08/15/2016	FITZSIMMONS, KEVIN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.11	0.00	0.11	93.0	0.10
08/15/2016	FITZSIMMONS, KEVIN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.77	0.00	0.77	93.0	0.72
08/15/2016	FITZSIMMONS, CHRISTINE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.98	0.00	0.98	93.0	0.91
09/16/2016	FITZSIMMONS, KEVIN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.11	0.00	0.11	93.0	0.10
09/16/2016	FITZSIMMONS, KEVIN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.78	0.00	0.78	93.0	0.73
09/16/2016	FITZSIMMONS, CHRISTINE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.99	0.00	0.99	93.0	0.92
10/17/2016	FITZSIMMONS, KEVIN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.11	0.00	0.11	93.0	0.10
10/17/2016	FITZSIMMONS, KEVIN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.74	0.00	0.74	93.0	0.69
10/17/2016	FITZSIMMONS, CHRISTINE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.94	0.00	0.94	93.0	0.87
11/18/2016	FITZSIMMONS, KEVIN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.11	0.00	0.11	93.0	0.10
11/18/2016	FITZSIMMONS, KEVIN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.75	0.00	0.75	93.0	0.70
11/18/2016	FITZSIMMONS, CHRISTINE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.96	0.00	0.96	93.0	0.89
12/15/2016	FITZSIMMONS, KEVIN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.11	0.00	0.11	93.0	0.10
12/15/2016	FITZSIMMONS, KEVIN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.72	0.00	0.72	93.0	0.67
12/15/2016	FITZSIMMONS, CHRISTINE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.91	0.00	0.91	93.0	0.85
02/16/2016	FITZSIMMONS, KEVIN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.47	0.00	0.47	93.0	0.44
03/15/2016	FITZSIMMONS, KEVIN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.43	0.00	0.43	93.0	0.40
03/15/2016	LABRIER, PAULA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.25	0.00	0.25	93.0	0.23
04/20/2016	FITZSIMMONS, KEVIN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.49	0.00	0.49	93.0	0.46
04/20/2016	LABRIER, PAULA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.36	0.00	1.36	93.0	1.26
05/16/2016	FITZSIMMONS, KEVIN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.48	0.00	0.48	93.0	0.45
05/16/2016	LABRIER, PAULA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.36	0.00	1.36	93.0	1.26
05/16/2016	LOWE, RUSSELL	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.12	0.00	0.12	93.0	0.11
06/15/2016	FITZSIMMONS, KEVIN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.49	0.00	0.49	93.0	0.46
06/15/2016	LABRIER, PAULA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.39	0.00	1.39	93.0	1.29
07/18/2016	FITZSIMMONS, KEVIN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.48	0.00	0.48	93.0	0.45
07/18/2016	LABRIER, PAULA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.36	0.00	1.36	93.0	1.26
07/18/2016	GILMAN, GENE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.29	0.00	0.29	93.0	0.27
08/15/2016	FITZSIMMONS, KEVIN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.51	0.00	0.51	93.0	0.47
08/15/2016	LABRIER, PAULA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.44	0.00	1.44	93.0	1.34

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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>								
09/16/2016	FITZSIMMONS, KEVIN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.52	0.00	0.52	93.0	0.48
09/16/2016	LABRIER, PAULA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.47	0.00	1.47	93.0	1.37
10/17/2016	FITZSIMMONS, KEVIN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.50	0.00	0.50	93.0	0.47
10/17/2016	LABRIER, PAULA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.43	0.00	1.43	93.0	1.33
11/18/2016	FITZSIMMONS, KEVIN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.40	0.00	0.40	93.0	0.37
11/18/2016	LABRIER, PAULA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.46	0.00	1.46	93.0	1.36
12/15/2016	LABRIER, PAULA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.39	0.00	1.39	93.0	1.29
05/16/2016	LOWE, RUSSELL	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.23	0.00	0.23	93.0	0.21
05/16/2016	TURPEN, ERIC	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.01	0.00	0.01	93.0	0.01
06/15/2016	TURPEN, ERIC	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.09	0.00	0.09	93.0	0.08
06/15/2016	TURPEN, RACHEL	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.55	0.00	0.55	93.0	0.51
07/18/2016	TURPEN, ERIC	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.09	0.00	0.09	93.0	0.08
07/18/2016	TURPEN, RACHEL	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.53	0.00	0.53	93.0	0.49
08/15/2016	TURPEN, ERIC	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.09	0.00	0.09	93.0	0.08
08/15/2016	TURPEN, RACHEL	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.56	0.00	0.56	93.0	0.52
09/16/2016	TURPEN, ERIC	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.09	0.00	0.09	93.0	0.08
09/16/2016	TURPEN, RACHEL	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.58	0.00	0.58	93.0	0.54
10/17/2016	TURPEN, ERIC	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.09	0.00	0.09	93.0	0.08
10/17/2016	TURPEN, RACHEL	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.57	0.00	0.57	93.0	0.53
11/18/2016	TURPEN, ERIC	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.10	0.00	0.10	93.0	0.09
11/18/2016	TURPEN, RACHEL	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.58	0.00	0.58	93.0	0.54
12/15/2016	TURPEN, ERIC	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.09	0.00	0.09	93.0	0.08
12/15/2016	TURPEN, RACHEL	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.55	0.00	0.55	93.0	0.51
05/16/2016	LOWE, RUSSELL	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.39	0.00	0.39	93.0	0.36
05/16/2016	LOWE, RUSSELL	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.73	0.00	0.73	93.0	0.68
06/15/2016	LOWE, RUSSELL	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.33	0.00	1.33	93.0	1.24
07/18/2016	LOWE, RUSSELL	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.29	0.00	1.29	93.0	1.20
07/18/2016	GILMAN, GENE	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.59	0.00	0.59	93.0	0.55
08/15/2016	LOWE, RUSSELL	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.36	0.00	1.36	93.0	1.26
09/16/2016	LOWE, RUSSELL	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.39	0.00	1.39	93.0	1.29
10/17/2016	LOWE, RUSSELL	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.33	0.00	1.33	93.0	1.24
11/18/2016	LOWE, RUSSELL	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.38	0.00	1.38	93.0	1.28
12/15/2016	LOWE, RUSSELL	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.35	0.00	1.35	93.0	1.26

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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>								
02/16/2016	FITZSIMMONS, KEVIN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.72	0.00	0.72	93.0	0.67
02/16/2016	FITZSIMMONS, CHRISTINE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.43	0.00	0.43	93.0	0.40
03/15/2016	FITZSIMMONS, KEVIN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.65	0.00	0.65	93.0	0.60
03/15/2016	FITZSIMMONS, CHRISTINE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.39	0.00	0.39	93.0	0.36
04/20/2016	FITZSIMMONS, KEVIN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.74	0.00	0.74	93.0	0.69
04/20/2016	FITZSIMMONS, CHRISTINE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.45	0.00	0.45	93.0	0.42
05/16/2016	FITZSIMMONS, KEVIN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.74	0.00	0.74	93.0	0.69
05/16/2016	FITZSIMMONS, CHRISTINE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.45	0.00	0.45	93.0	0.42
05/16/2016	LOWE, RUSSELL	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.68	0.00	0.68	93.0	0.63
05/16/2016	TURPEN, ERIC	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.05	0.00	0.05	93.0	0.05
06/15/2016	FITZSIMMONS, KEVIN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.76	0.00	0.76	93.0	0.71
06/15/2016	FITZSIMMONS, CHRISTINE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.46	0.00	0.46	93.0	0.43
06/15/2016	LOWE, RUSSELL	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.24	0.00	1.24	93.0	1.15
06/15/2016	TURPEN, ERIC	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.37	0.00	0.37	93.0	0.34
06/15/2016	TURPEN, RACHEL	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.24	0.00	1.24	93.0	1.15
07/18/2016	FITZSIMMONS, KEVIN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.75	0.00	0.75	93.0	0.70
07/18/2016	FITZSIMMONS, CHRISTINE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.45	0.00	0.45	93.0	0.42
07/18/2016	LOWE, RUSSELL	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.22	0.00	1.22	93.0	1.13
07/18/2016	TURPEN, ERIC	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.38	0.00	0.38	93.0	0.35
07/18/2016	TURPEN, RACHEL	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.23	0.00	1.23	93.0	1.14
07/18/2016	GILMAN, GENE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.30	0.00	0.30	93.0	0.28
08/15/2016	FITZSIMMONS, KEVIN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.79	0.00	0.79	93.0	0.73
08/15/2016	FITZSIMMONS, CHRISTINE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.48	0.00	0.48	93.0	0.45
08/15/2016	LOWE, RUSSELL	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.29	0.00	1.29	93.0	1.20
08/15/2016	TURPEN, ERIC	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.42	0.00	0.42	93.0	0.39
08/15/2016	TURPEN, RACHEL	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.32	0.00	1.32	93.0	1.23
09/16/2016	FITZSIMMONS, KEVIN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.81	0.00	0.81	93.0	0.75
09/16/2016	FITZSIMMONS, CHRISTINE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.49	0.00	0.49	93.0	0.46
09/16/2016	LOWE, RUSSELL	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.32	0.00	1.32	93.0	1.23
09/16/2016	TURPEN, ERIC	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.45	0.00	0.45	93.0	0.42
09/16/2016	TURPEN, RACHEL	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.37	0.00	1.37	93.0	1.27
10/17/2016	FITZSIMMONS, KEVIN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.79	0.00	0.79	93.0	0.73
10/17/2016	FITZSIMMONS, CHRISTINE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.47	0.00	0.47	93.0	0.44

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
10/17/2016	LOWE, RUSSELL	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.28	0.00	1.28	93.0	1.19
10/17/2016	TURPEN, ERIC	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.45	0.00	0.45	93.0	0.42
10/17/2016	TURPEN, RACHEL	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.34	0.00	1.34	93.0	1.25
11/18/2016	FITZSIMMONS, KEVIN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.82	0.00	0.82	93.0	0.76
11/18/2016	FITZSIMMONS, CHRISTINE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.49	0.00	0.49	93.0	0.46
11/18/2016	LOWE, RUSSELL	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.33	0.00	1.33	93.0	1.24
11/18/2016	TURPEN, ERIC	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.48	0.00	0.48	93.0	0.45
11/18/2016	TURPEN, RACHEL	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.41	0.00	1.41	93.0	1.31
12/15/2016	FITZSIMMONS, KEVIN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.79	0.00	0.79	93.0	0.73
12/15/2016	FITZSIMMONS, CHRISTINE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.48	0.00	0.48	93.0	0.45
12/15/2016	LOWE, RUSSELL	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.28	0.00	1.28	93.0	1.19
12/15/2016	TURPEN, ERIC	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.48	0.00	0.48	93.0	0.45
12/15/2016	TURPEN, RACHEL	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.38	0.00	1.38	93.0	1.28
02/16/2016	FITZSIMMONS, KEVIN	AM FUNDS ICA A	0.00	0.66	0.00	0.66	93.0	0.61
03/15/2016	FITZSIMMONS, KEVIN	AM FUNDS ICA A	0.00	0.61	0.00	0.61	93.0	0.57
04/20/2016	FITZSIMMONS, KEVIN	AM FUNDS ICA A	0.00	0.70	0.00	0.70	93.0	0.65
05/16/2016	FITZSIMMONS, KEVIN	AM FUNDS ICA A	0.00	0.70	0.00	0.70	93.0	0.65
06/15/2016	FITZSIMMONS, KEVIN	AM FUNDS ICA A	0.00	0.72	0.00	0.72	93.0	0.67
07/18/2016	FITZSIMMONS, KEVIN	AM FUNDS ICA A	0.00	0.70	0.00	0.70	93.0	0.65
08/15/2016	FITZSIMMONS, KEVIN	AM FUNDS ICA A	0.00	0.75	0.00	0.75	93.0	0.70
09/16/2016	FITZSIMMONS, KEVIN	AM FUNDS ICA A	0.00	0.76	0.00	0.76	93.0	0.71
10/17/2016	FITZSIMMONS, KEVIN	AM FUNDS ICA A	0.00	0.73	0.00	0.73	93.0	0.68
11/18/2016	FITZSIMMONS, KEVIN	AM FUNDS ICA A	0.00	0.58	0.00	0.58	93.0	0.54
05/16/2016	LOWE, RUSSELL	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.39	0.00	0.39	93.0	0.36
05/16/2016	TURPEN, ERIC	AM FUNDS NEW ECONOMY A	0.00	0.01	0.00	0.01	93.0	0.01
06/15/2016	TURPEN, ERIC	AM FUNDS NEW ECONOMY A	0.00	0.07	0.00	0.07	93.0	0.07
06/15/2016	TURPEN, RACHEL	AM FUNDS NEW ECONOMY A	0.00	0.23	0.00	0.23	93.0	0.21
07/18/2016	TURPEN, ERIC	AM FUNDS NEW ECONOMY A	0.00	0.07	0.00	0.07	93.0	0.07
07/18/2016	TURPEN, RACHEL	AM FUNDS NEW ECONOMY A	0.00	0.23	0.00	0.23	93.0	0.21
08/15/2016	TURPEN, ERIC	AM FUNDS NEW ECONOMY A	0.00	0.08	0.00	0.08	93.0	0.07
08/15/2016	TURPEN, RACHEL	AM FUNDS NEW ECONOMY A	0.00	0.25	0.00	0.25	93.0	0.23
09/16/2016	TURPEN, ERIC	AM FUNDS NEW ECONOMY A	0.00	0.08	0.00	0.08	93.0	0.07
09/16/2016	TURPEN, RACHEL	AM FUNDS NEW ECONOMY A	0.00	0.26	0.00	0.26	93.0	0.24

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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>								
10/17/2016	TURPEN, ERIC	AM FUNDS NEW ECONOMY A	0.00	0.09	0.00	0.09	93.0	0.08
10/17/2016	TURPEN, RACHEL	AM FUNDS NEW ECONOMY A	0.00	0.26	0.00	0.26	93.0	0.24
11/18/2016	TURPEN, ERIC	AM FUNDS NEW ECONOMY A	0.00	0.09	0.00	0.09	93.0	0.08
11/18/2016	TURPEN, RACHEL	AM FUNDS NEW ECONOMY A	0.00	0.27	0.00	0.27	93.0	0.25
12/15/2016	TURPEN, ERIC	AM FUNDS NEW ECONOMY A	0.00	0.09	0.00	0.09	93.0	0.08
12/15/2016	TURPEN, RACHEL	AM FUNDS NEW ECONOMY A	0.00	0.26	0.00	0.26	93.0	0.24
02/16/2016	FITZSIMMONS, CHRISTINE	AM FUNDS NEW WORLD A	0.00	0.25	0.00	0.25	93.0	0.23
03/15/2016	FITZSIMMONS, CHRISTINE	AM FUNDS NEW WORLD A	0.00	0.23	0.00	0.23	93.0	0.21
04/20/2016	FITZSIMMONS, CHRISTINE	AM FUNDS NEW WORLD A	0.00	0.26	0.00	0.26	93.0	0.24
05/16/2016	FITZSIMMONS, CHRISTINE	AM FUNDS NEW WORLD A	0.00	0.26	0.00	0.26	93.0	0.24
05/16/2016	LOWE, RUSSELL	AM FUNDS NEW WORLD A	0.00	0.12	0.00	0.12	93.0	0.11
05/16/2016	TURPEN, ERIC	AM FUNDS NEW WORLD A	0.00	0.01	0.00	0.01	93.0	0.01
06/15/2016	FITZSIMMONS, CHRISTINE	AM FUNDS NEW WORLD A	0.00	0.27	0.00	0.27	93.0	0.25
06/15/2016	TURPEN, ERIC	AM FUNDS NEW WORLD A	0.00	0.09	0.00	0.09	93.0	0.08
06/15/2016	TURPEN, RACHEL	AM FUNDS NEW WORLD A	0.00	0.53	0.00	0.53	93.0	0.49
07/18/2016	FITZSIMMONS, CHRISTINE	AM FUNDS NEW WORLD A	0.00	0.26	0.00	0.26	93.0	0.24
07/18/2016	TURPEN, ERIC	AM FUNDS NEW WORLD A	0.00	0.09	0.00	0.09	93.0	0.08
07/18/2016	TURPEN, RACHEL	AM FUNDS NEW WORLD A	0.00	0.52	0.00	0.52	93.0	0.48
08/15/2016	FITZSIMMONS, CHRISTINE	AM FUNDS NEW WORLD A	0.00	0.28	0.00	0.28	93.0	0.26
08/15/2016	TURPEN, ERIC	AM FUNDS NEW WORLD A	0.00	0.09	0.00	0.09	93.0	0.08
08/15/2016	TURPEN, RACHEL	AM FUNDS NEW WORLD A	0.00	0.55	0.00	0.55	93.0	0.51
09/16/2016	FITZSIMMONS, CHRISTINE	AM FUNDS NEW WORLD A	0.00	0.29	0.00	0.29	93.0	0.27
09/16/2016	TURPEN, ERIC	AM FUNDS NEW WORLD A	0.00	0.09	0.00	0.09	93.0	0.08
09/16/2016	TURPEN, RACHEL	AM FUNDS NEW WORLD A	0.00	0.57	0.00	0.57	93.0	0.53
10/17/2016	FITZSIMMONS, CHRISTINE	AM FUNDS NEW WORLD A	0.00	0.28	0.00	0.28	93.0	0.26
10/17/2016	TURPEN, ERIC	AM FUNDS NEW WORLD A	0.00	0.09	0.00	0.09	93.0	0.08
10/17/2016	TURPEN, RACHEL	AM FUNDS NEW WORLD A	0.00	0.55	0.00	0.55	93.0	0.51
11/18/2016	FITZSIMMONS, CHRISTINE	AM FUNDS NEW WORLD A	0.00	0.29	0.00	0.29	93.0	0.27
11/18/2016	TURPEN, ERIC	AM FUNDS NEW WORLD A	0.00	0.10	0.00	0.10	93.0	0.09
11/18/2016	TURPEN, RACHEL	AM FUNDS NEW WORLD A	0.00	0.57	0.00	0.57	93.0	0.53
12/15/2016	FITZSIMMONS, CHRISTINE	AM FUNDS NEW WORLD A	0.00	0.27	0.00	0.27	93.0	0.25
12/15/2016	TURPEN, ERIC	AM FUNDS NEW WORLD A	0.00	0.09	0.00	0.09	93.0	0.08
12/15/2016	TURPEN, RACHEL	AM FUNDS NEW WORLD A	0.00	0.53	0.00	0.53	93.0	0.49

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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	TURPEN, ERIC	AM FUNDS SMALLCAP WORLD A	0.00	0.01	0.00	0.01	93.0	0.01
06/15/2016	TURPEN, ERIC	AM FUNDS SMALLCAP WORLD A	0.00	0.06	0.00	0.06	93.0	0.06
06/15/2016	TURPEN, RACHEL	AM FUNDS SMALLCAP WORLD A	0.00	0.39	0.00	0.39	93.0	0.36
07/18/2016	TURPEN, ERIC	AM FUNDS SMALLCAP WORLD A	0.00	0.06	0.00	0.06	93.0	0.06
07/18/2016	TURPEN, RACHEL	AM FUNDS SMALLCAP WORLD A	0.00	0.39	0.00	0.39	93.0	0.36
08/15/2016	TURPEN, ERIC	AM FUNDS SMALLCAP WORLD A	0.00	0.07	0.00	0.07	93.0	0.07
08/15/2016	TURPEN, RACHEL	AM FUNDS SMALLCAP WORLD A	0.00	0.41	0.00	0.41	93.0	0.38
09/16/2016	TURPEN, ERIC	AM FUNDS SMALLCAP WORLD A	0.00	0.07	0.00	0.07	93.0	0.07
09/16/2016	TURPEN, RACHEL	AM FUNDS SMALLCAP WORLD A	0.00	0.43	0.00	0.43	93.0	0.40
10/17/2016	TURPEN, ERIC	AM FUNDS SMALLCAP WORLD A	0.00	0.07	0.00	0.07	93.0	0.07
10/17/2016	TURPEN, RACHEL	AM FUNDS SMALLCAP WORLD A	0.00	0.42	0.00	0.42	93.0	0.39
11/18/2016	TURPEN, ERIC	AM FUNDS SMALLCAP WORLD A	0.00	0.07	0.00	0.07	93.0	0.07
11/18/2016	TURPEN, RACHEL	AM FUNDS SMALLCAP WORLD A	0.00	0.43	0.00	0.43	93.0	0.40
12/15/2016	TURPEN, ERIC	AM FUNDS SMALLCAP WORLD A	0.00	0.07	0.00	0.07	93.0	0.07
12/15/2016	TURPEN, RACHEL	AM FUNDS SMALLCAP WORLD A	0.00	0.41	0.00	0.41	93.0	0.38
05/16/2016	TURPEN, ERIC	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.04	0.00	0.04	93.0	0.04
06/15/2016	TURPEN, ERIC	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.30	0.00	0.30	93.0	0.28
06/15/2016	TURPEN, RACHEL	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.99	0.00	0.99	93.0	0.92
07/18/2016	TURPEN, ERIC	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.30	0.00	0.30	93.0	0.28
07/18/2016	TURPEN, RACHEL	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.98	0.00	0.98	93.0	0.91
08/15/2016	TURPEN, ERIC	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.33	0.00	0.33	93.0	0.31
08/15/2016	TURPEN, RACHEL	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.05	0.00	1.05	93.0	0.98
09/16/2016	TURPEN, ERIC	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.35	0.00	0.35	93.0	0.33
09/16/2016	TURPEN, RACHEL	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.08	0.00	1.08	93.0	1.00
10/17/2016	TURPEN, ERIC	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.35	0.00	0.35	93.0	0.33
10/17/2016	TURPEN, RACHEL	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.04	0.00	1.04	93.0	0.97
11/18/2016	TURPEN, ERIC	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.37	0.00	0.37	93.0	0.34
11/18/2016	TURPEN, RACHEL	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.09	0.00	1.09	93.0	1.01
12/15/2016	TURPEN, ERIC	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.38	0.00	0.38	93.0	0.35
12/15/2016	TURPEN, RACHEL	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.09	0.00	1.09	93.0	1.01
02/08/2016	MICHALETZ TRUST, GERALD & FAYEAMERICA	FIRST INCOME TRENDS FUND CLA	0.00	20.66	0.00	20.66	93.0	19.21
03/07/2016	MICHALETZ TRUST, GERALD & FAYEAMERICA	FIRST INCOME TRENDS FUND CLA	0.00	20.92	0.00	20.92	93.0	19.46
04/11/2016	MICHALETZ TRUST, GERALD & FAYEAMERICA	FIRST INCOME TRENDS FUND CLA	0.00	21.26	0.00	21.26	93.0	19.77

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
05/12/2016	MICHALETZ TRUST, GERALD & FAYE	AMERICAFIRST INCOME TRENDS FUND CLA	0.00	19.95	0.00	19.95	93.0	18.55
06/06/2016	MICHALETZ TRUST, GERALD & FAYE	AMERICAFIRST INCOME TRENDS FUND CLA	0.00	21.65	0.00	21.65	93.0	20.13
07/11/2016	MICHALETZ TRUST, GERALD & FAYE	AMERICAFIRST INCOME TRENDS FUND CLA	0.00	12.06	0.00	12.06	93.0	11.22
08/08/2016	MICHALETZ TRUST, GERALD & FAYE	AMERICAFIRST INCOME TRENDS FUND CLA	0.00	10.56	0.00	10.56	93.0	9.82
09/08/2016	MICHALETZ TRUST, GERALD & FAYE	AMERICAFIRST INCOME TRENDS FUND CLA	0.00	10.77	0.00	10.77	93.0	10.02
10/11/2016	MICHALETZ TRUST, GERALD & FAYE	AMERICAFIRST INCOME TRENDS FUND CLA	0.00	10.34	0.00	10.34	93.0	9.62
11/18/2016	MICHALETZ TRUST, GERALD & FAYE	AMERICAFIRST INCOME TRENDS FUND CLA	0.00	10.62	0.00	10.62	93.0	9.88
12/21/2016	MICHALETZ TRUST, GERALD & FAYE	AMERICAFIRST INCOME TRENDS FUND CLA	0.00	10.38	0.00	10.38	93.0	9.65
07/11/2016	BERGLING CHARITABLE	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	32.73	0.00	32.73	93.0	30.44
09/01/2016	LARSON, DONALD	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	30.07	0.00	30.07	93.0	27.97
09/01/2016	BERGLING CHARITABLE	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	168.01	0.00	168.01	93.0	156.25
09/01/2016	WENDLANDT IRR TR, IVALEA	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	117.39	0.00	117.39	93.0	109.17
09/01/2016	WOLFF, JEAN	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	6.51	0.00	6.51	93.0	6.05
09/12/2016	LARSON, DONALD	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	84.68	0.00	84.68	93.0	78.75
09/12/2016	BERGLING CHARITABLE	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	168.31	0.00	168.31	93.0	156.53
09/12/2016	WENDLANDT IRR TR, IVALEA	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	279.83	0.00	279.83	93.0	260.24
09/12/2016	WOLFF, JEAN	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	8.07	0.00	8.07	93.0	7.51
09/12/2016	WOLFF TRUST, WILLIS	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	4.09	0.00	4.09	93.0	3.80
10/14/2016	LARSON, DONALD	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	81.97	0.00	81.97	93.0	76.23
10/14/2016	BERGLING CHARITABLE	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	162.92	0.00	162.92	93.0	151.52
10/14/2016	WENDLANDT IRR TR, IVALEA	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	270.89	0.00	270.89	93.0	251.93
10/14/2016	WOLFF, JEAN	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	7.81	0.00	7.81	93.0	7.26
10/14/2016	WOLFF TRUST, WILLIS	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	122.92	0.00	122.92	93.0	114.32
11/17/2016	LARSON, DONALD	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	83.95	0.00	83.95	93.0	78.07
11/17/2016	BERGLING CHARITABLE	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	166.85	0.00	166.85	93.0	155.17
11/17/2016	WENDLANDT IRR TR, IVALEA	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	277.41	0.00	277.41	93.0	257.99
11/17/2016	WOLFF, JEAN	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	8.00	0.00	8.00	93.0	7.44
11/17/2016	WOLFF TRUST, WILLIS	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	125.88	0.00	125.88	93.0	117.07
12/12/2016	ROY, DEBRA	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	10.69	0.00	10.69	93.0	9.94
12/12/2016	LARSON, DONALD	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	81.77	0.00	81.77	93.0	76.05
12/12/2016	BERGLING CHARITABLE	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	162.53	0.00	162.53	93.0	151.15
12/12/2016	WENDLANDT IRR TR, IVALEA	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	62.89	0.00	62.89	93.0	58.49
12/12/2016	WOLFF, JEAN	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	7.80	0.00	7.80	93.0	7.25

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
12/12/2016	WOLFF TRUST, WILLIS	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	122.61	0.00	122.61	93.0	114.03
03/11/2016	DORN, RITA	DELAWARE DIVERSIFIED INCOME FUND CL	0.00	3.22	0.00	3.22	93.0	2.99
03/11/2016	DORN, EUGENE	DELAWARE DIVERSIFIED INCOME FUND CL	0.00	3.89	0.00	3.89	93.0	3.62
03/11/2016	DORN, RITA	DELAWARE LIMITED- TERM DIVERSIFIED	0.00	0.98	0.00	0.98	93.0	0.91
04/14/2016	DORN, RITA	DELAWARE LIMITED- TERM DIVERSIFIED	0.00	5.08	0.00	5.08	93.0	4.72
05/16/2016	DORN, RITA	DELAWARE LIMITED- TERM DIVERSIFIED	0.00	4.94	0.00	4.94	93.0	4.59
06/15/2016	DORN, RITA	DELAWARE LIMITED- TERM DIVERSIFIED	0.00	4.03	0.00	4.03	93.0	3.75
07/18/2016	DORN, RITA	DELAWARE LIMITED- TERM DIVERSIFIED	0.00	3.33	0.00	3.33	93.0	3.10
08/11/2016	DORN, RITA	DELAWARE LIMITED- TERM DIVERSIFIED	0.00	3.45	0.00	3.45	93.0	3.21
09/13/2016	DORN, RITA	DELAWARE LIMITED- TERM DIVERSIFIED	0.00	3.46	0.00	3.46	93.0	3.22
10/19/2016	DORN, RITA	DELAWARE LIMITED- TERM DIVERSIFIED	0.00	3.35	0.00	3.35	93.0	3.12
11/17/2016	DORN, RITA	DELAWARE LIMITED- TERM DIVERSIFIED	0.00	3.46	0.00	3.46	93.0	3.22
12/29/2016	DORN, RITA	DELAWARE LIMITED- TERM DIVERSIFIED	0.00	3.33	0.00	3.33	93.0	3.10
02/10/2016	REILLY, KAREN	DREYFUS WORLDWIDE GROWTH FUND CLASS	0.00	17.77	0.00	17.77	93.0	16.53
02/10/2016	VAN SISTINE, JEANNE	DREYFUS WORLDWIDE GROWTH FUND CLASS	0.00	15.35	0.00	15.35	93.0	14.28
02/10/2016	REINKE, RONALD	DREYFUS WORLDWIDE GROWTH FUND CLASS	0.00	2.10	0.00	2.10	93.0	1.95
03/10/2016	REILLY, KAREN	DREYFUS WORLDWIDE GROWTH FUND CLASS	0.00	16.80	0.00	16.80	93.0	15.62
03/10/2016	VAN SISTINE, JEANNE	DREYFUS WORLDWIDE GROWTH FUND CLASS	0.00	14.51	0.00	14.51	93.0	13.49
03/10/2016	REINKE, RONALD	DREYFUS WORLDWIDE GROWTH FUND CLASS	0.00	1.99	0.00	1.99	93.0	1.85
04/15/2016	REILLY, KAREN	DREYFUS WORLDWIDE GROWTH FUND CLASS	0.00	18.78	0.00	18.78	93.0	17.47
04/15/2016	VAN SISTINE, JEANNE	DREYFUS WORLDWIDE GROWTH FUND CLASS	0.00	16.23	0.00	16.23	93.0	15.09
04/15/2016	REINKE, RONALD	DREYFUS WORLDWIDE GROWTH FUND CLASS	0.00	2.22	0.00	2.22	93.0	2.06
05/11/2016	REILLY, KAREN	DREYFUS WORLDWIDE GROWTH FUND CLASS	0.00	18.68	0.00	18.68	93.0	17.37
05/11/2016	VAN SISTINE, JEANNE	DREYFUS WORLDWIDE GROWTH FUND CLASS	0.00	16.14	0.00	16.14	93.0	15.01
05/11/2016	REINKE, RONALD	DREYFUS WORLDWIDE GROWTH FUND CLASS	0.00	2.21	0.00	2.21	93.0	2.06
06/10/2016	REILLY, KAREN	DREYFUS WORLDWIDE GROWTH FUND CLASS	0.00	19.07	0.00	19.07	93.0	17.74
06/10/2016	VAN SISTINE, JEANNE	DREYFUS WORLDWIDE GROWTH FUND CLASS	0.00	16.48	0.00	16.48	93.0	15.33
06/10/2016	REINKE, RONALD	DREYFUS WORLDWIDE GROWTH FUND CLASS	0.00	2.27	0.00	2.27	93.0	2.11
07/13/2016	REILLY, KAREN	DREYFUS WORLDWIDE GROWTH FUND CLASS	0.00	18.51	0.00	18.51	93.0	17.21
07/13/2016	VAN SISTINE, JEANNE	DREYFUS WORLDWIDE GROWTH FUND CLASS	0.00	15.99	0.00	15.99	93.0	14.87
07/13/2016	REINKE, RONALD	DREYFUS WORLDWIDE GROWTH FUND CLASS	0.00	2.20	0.00	2.20	93.0	2.05
08/09/2016	REILLY, KAREN	DREYFUS WORLDWIDE GROWTH FUND CLASS	0.00	19.65	0.00	19.65	93.0	18.27
08/09/2016	VAN SISTINE, JEANNE	DREYFUS WORLDWIDE GROWTH FUND CLASS	0.00	16.98	0.00	16.98	93.0	15.79

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
08/09/2016	REINKE, RONALD	DREYFUS WORLDWIDE GROWTH FUND CLASS	0.00	2.34	0.00	2.34	93.0	2.18
09/12/2016	REILLY, KAREN	DREYFUS WORLDWIDE GROWTH FUND CLASS	0.00	19.79	0.00	19.79	93.0	18.40
09/12/2016	VAN SISTINE, JEANNE	DREYFUS WORLDWIDE GROWTH FUND CLASS	0.00	17.10	0.00	17.10	93.0	15.90
09/12/2016	REINKE, RONALD	DREYFUS WORLDWIDE GROWTH FUND CLASS	0.00	2.36	0.00	2.36	93.0	2.19
10/11/2016	REILLY, KAREN	DREYFUS WORLDWIDE GROWTH FUND CLASS	0.00	18.95	0.00	18.95	93.0	17.62
10/11/2016	VAN SISTINE, JEANNE	DREYFUS WORLDWIDE GROWTH FUND CLASS	0.00	16.37	0.00	16.37	93.0	15.22
10/11/2016	REINKE, RONALD	DREYFUS WORLDWIDE GROWTH FUND CLASS	0.00	2.26	0.00	2.26	93.0	2.10
11/15/2016	REILLY, KAREN	DREYFUS WORLDWIDE GROWTH FUND CLASS	0.00	19.39	0.00	19.39	93.0	18.03
11/15/2016	VAN SISTINE, JEANNE	DREYFUS WORLDWIDE GROWTH FUND CLASS	0.00	16.75	0.00	16.75	93.0	15.58
11/15/2016	REINKE, RONALD	DREYFUS WORLDWIDE GROWTH FUND CLASS	0.00	2.31	0.00	2.31	93.0	2.15
12/13/2016	REILLY, KAREN	DREYFUS WORLDWIDE GROWTH FUND CLASS	0.00	18.36	0.00	18.36	93.0	17.07
12/13/2016	VAN SISTINE, JEANNE	DREYFUS WORLDWIDE GROWTH FUND CLASS	0.00	15.86	0.00	15.86	93.0	14.75
12/13/2016	REINKE, RONALD	DREYFUS WORLDWIDE GROWTH FUND CLASS	0.00	2.19	0.00	2.19	93.0	2.04
02/10/2016	REILLY, KAREN	EATON VANCE TAX MANAGED VALUE FD CL	0.00	7.13	0.00	7.13	93.0	6.63
02/10/2016	VAN SISTINE, JEANNE	EATON VANCE TAX MANAGED VALUE FD CL	0.00	13.52	0.00	13.52	93.0	12.57
03/16/2016	REILLY, KAREN	EATON VANCE TAX MANAGED VALUE FD CL	0.00	6.54	0.00	6.54	93.0	6.08
03/16/2016	VAN SISTINE, JEANNE	EATON VANCE TAX MANAGED VALUE FD CL	0.00	12.41	0.00	12.41	93.0	11.54
04/25/2016	REILLY, KAREN	EATON VANCE TAX MANAGED VALUE FD CL	0.00	7.39	0.00	7.39	93.0	6.87
04/25/2016	VAN SISTINE, JEANNE	EATON VANCE TAX MANAGED VALUE FD CL	0.00	14.02	0.00	14.02	93.0	13.04
05/13/2016	REILLY, KAREN	EATON VANCE TAX MANAGED VALUE FD CL	0.00	7.30	0.00	7.30	93.0	6.79
05/13/2016	VAN SISTINE, JEANNE	EATON VANCE TAX MANAGED VALUE FD CL	0.00	13.85	0.00	13.85	93.0	12.88
06/15/2016	REILLY, KAREN	EATON VANCE TAX MANAGED VALUE FD CL	0.00	7.54	0.00	7.54	93.0	7.01
06/15/2016	VAN SISTINE, JEANNE	EATON VANCE TAX MANAGED VALUE FD CL	0.00	14.30	0.00	14.30	93.0	13.30
07/20/2016	REILLY, KAREN	EATON VANCE TAX MANAGED VALUE FD CL	0.00	7.33	0.00	7.33	93.0	6.82
07/20/2016	VAN SISTINE, JEANNE	EATON VANCE TAX MANAGED VALUE FD CL	0.00	13.90	0.00	13.90	93.0	12.93
08/12/2016	REILLY, KAREN	EATON VANCE TAX MANAGED VALUE FD CL	0.00	7.78	0.00	7.78	93.0	7.24
08/12/2016	VAN SISTINE, JEANNE	EATON VANCE TAX MANAGED VALUE FD CL	0.00	14.76	0.00	14.76	93.0	13.73
09/13/2016	REILLY, KAREN	EATON VANCE TAX MANAGED VALUE FD CL	0.00	7.81	0.00	7.81	93.0	7.26
09/13/2016	VAN SISTINE, JEANNE	EATON VANCE TAX MANAGED VALUE FD CL	0.00	14.81	0.00	14.81	93.0	13.77
10/12/2016	REILLY, KAREN	EATON VANCE TAX MANAGED VALUE FD CL	0.00	7.48	0.00	7.48	93.0	6.96
10/12/2016	VAN SISTINE, JEANNE	EATON VANCE TAX MANAGED VALUE FD CL	0.00	14.18	0.00	14.18	93.0	13.19
11/15/2016	REILLY, KAREN	EATON VANCE TAX MANAGED VALUE FD CL	0.00	7.66	0.00	7.66	93.0	7.12
11/15/2016	VAN SISTINE, JEANNE	EATON VANCE TAX MANAGED VALUE FD CL	0.00	14.54	0.00	14.54	93.0	13.52

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
12/21/2016	REILLY, KAREN	EATON VANCE TAX MANAGED VALUE FD CL	0.00	7.55	0.00	7.55	93.0	7.02
12/21/2016	VAN SISTINE, JEANNE	EATON VANCE TAX MANAGED VALUE FD CL	0.00	14.32	0.00	14.32	93.0	13.32
05/24/2016	LOWE, RUSSELL	HARTFORD MIDCAP A	0.00	0.49	0.00	0.49	93.0	0.46
04/14/2016	REILLY, KAREN	INVESCO MIDCAP GROWTH A	0.00	19.60	0.00	19.60	93.0	18.23
04/14/2016	VAN SISTINE, JEANNE	INVESCO MIDCAP GROWTH A	0.00	18.75	0.00	18.75	93.0	17.44
04/14/2016	PLOTZ, ROSANN	INVESCO MIDCAP GROWTH A	0.00	1.37	0.00	1.37	93.0	1.27
04/14/2016	REINKE, RONALD	INVESCO MIDCAP GROWTH A	0.00	7.85	0.00	7.85	93.0	7.30
07/19/2016	REILLY, KAREN	INVESCO MIDCAP GROWTH A	0.00	21.07	0.00	21.07	93.0	19.60
07/19/2016	VAN SISTINE, JEANNE	INVESCO MIDCAP GROWTH A	0.00	20.16	0.00	20.16	93.0	18.75
07/19/2016	PLOTZ, ROSANN	INVESCO MIDCAP GROWTH A	0.00	1.47	0.00	1.47	93.0	1.37
07/19/2016	REINKE, RONALD	INVESCO MIDCAP GROWTH A	0.00	8.44	0.00	8.44	93.0	7.85
10/17/2016	REILLY, KAREN	INVESCO MIDCAP GROWTH A	0.00	22.36	0.00	22.36	93.0	20.79
10/17/2016	VAN SISTINE, JEANNE	INVESCO MIDCAP GROWTH A	0.00	21.39	0.00	21.39	93.0	19.89
10/17/2016	PLOTZ, ROSANN	INVESCO MIDCAP GROWTH A	0.00	1.56	0.00	1.56	93.0	1.45
10/17/2016	REINKE, RONALD	INVESCO MIDCAP GROWTH A	0.00	8.96	0.00	8.96	93.0	8.33
02/19/2016	TURNER, WANDA	JH HIGH YIELD A	0.00	1.14	0.00	1.14	93.0	1.06
03/18/2016	TURNER, WANDA	JH HIGH YIELD A	0.00	1.05	0.00	1.05	93.0	0.98
04/15/2016	TURNER, WANDA	JH HIGH YIELD A	0.00	1.17	0.00	1.17	93.0	1.09
05/23/2016	TURNER, WANDA	JH HIGH YIELD A	0.00	1.16	0.00	1.16	93.0	1.08
06/27/2016	TURNER, WANDA	JH HIGH YIELD A	0.00	1.22	0.00	1.22	93.0	1.13
07/15/2016	TURNER, WANDA	JH HIGH YIELD A	0.00	1.19	0.00	1.19	93.0	1.11
08/16/2016	TURNER, WANDA	JH HIGH YIELD A	0.00	1.26	0.00	1.26	93.0	1.17
09/16/2016	TURNER, WANDA	JH HIGH YIELD A	0.00	1.29	0.00	1.29	93.0	1.20
10/24/2016	TURNER, WANDA	JH HIGH YIELD A	0.00	1.26	0.00	1.26	93.0	1.17
11/18/2016	TURNER, WANDA	JH HIGH YIELD A	0.00	1.32	0.00	1.32	93.0	1.23
12/16/2016	TURNER, WANDA	JH HIGH YIELD A	0.00	1.26	0.00	1.26	93.0	1.17
02/19/2016	REINKE, RONALD	JH LARGE CAP EQUITY A	0.00	2.92	0.00	2.92	93.0	2.72
03/18/2016	REINKE, RONALD	JH LARGE CAP EQUITY A	0.00	2.60	0.00	2.60	93.0	2.42
04/15/2016	REINKE, RONALD	JH LARGE CAP EQUITY A	0.00	2.97	0.00	2.97	93.0	2.76
05/23/2016	REINKE, RONALD	JH LARGE CAP EQUITY A	0.00	2.96	0.00	2.96	93.0	2.75
06/27/2016	REINKE, RONALD	JH LARGE CAP EQUITY A	0.00	3.07	0.00	3.07	93.0	2.86
07/15/2016	REINKE, RONALD	JH LARGE CAP EQUITY A	0.00	2.98	0.00	2.98	93.0	2.77
08/16/2016	REINKE, RONALD	JH LARGE CAP EQUITY A	0.00	3.18	0.00	3.18	93.0	2.96

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
09/16/2016	REINKE, RONALD	JH LARGE CAP EQUITY A	0.00	3.31	0.00	3.31	93.0	3.08
10/24/2016	REINKE, RONALD	JH LARGE CAP EQUITY A	0.00	3.18	0.00	3.18	93.0	2.96
11/18/2016	REINKE, RONALD	JH LARGE CAP EQUITY A	0.00	3.28	0.00	3.28	93.0	3.05
12/16/2016	REINKE, RONALD	JH LARGE CAP EQUITY A	0.00	3.22	0.00	3.22	93.0	2.99
06/28/2016	REILLY, KAREN	JH NEW OPPORTUNITIES A	0.00	4.54	0.00	4.54	93.0	4.22
06/28/2016	VAN SISTINE, JEANNE	JH NEW OPPORTUNITIES A	0.00	4.23	0.00	4.23	93.0	3.93
07/15/2016	REILLY, KAREN	JH NEW OPPORTUNITIES A	0.00	7.29	0.00	7.29	93.0	6.78
07/15/2016	VAN SISTINE, JEANNE	JH NEW OPPORTUNITIES A	0.00	6.80	0.00	6.80	93.0	6.32
08/16/2016	REILLY, KAREN	JH NEW OPPORTUNITIES A	0.00	7.68	0.00	7.68	93.0	7.14
08/16/2016	VAN SISTINE, JEANNE	JH NEW OPPORTUNITIES A	0.00	7.16	0.00	7.16	93.0	6.66
09/16/2016	REILLY, KAREN	JH NEW OPPORTUNITIES A	0.00	7.88	0.00	7.88	93.0	7.33
09/16/2016	VAN SISTINE, JEANNE	JH NEW OPPORTUNITIES A	0.00	7.35	0.00	7.35	93.0	6.84
10/24/2016	REILLY, KAREN	JH NEW OPPORTUNITIES A	0.00	7.62	0.00	7.62	93.0	7.09
10/24/2016	VAN SISTINE, JEANNE	JH NEW OPPORTUNITIES A	0.00	7.11	0.00	7.11	93.0	6.61
11/18/2016	REILLY, KAREN	JH NEW OPPORTUNITIES A	0.00	7.84	0.00	7.84	93.0	7.29
11/18/2016	VAN SISTINE, JEANNE	JH NEW OPPORTUNITIES A	0.00	7.31	0.00	7.31	93.0	6.80
12/16/2016	REILLY, KAREN	JH NEW OPPORTUNITIES A	0.00	7.97	0.00	7.97	93.0	7.41
12/16/2016	VAN SISTINE, JEANNE	JH NEW OPPORTUNITIES A	0.00	7.43	0.00	7.43	93.0	6.91
02/19/2016	REILLY, KAREN	JH SMALL CAP EQUITY A	0.00	7.29	0.00	7.29	93.0	6.78
02/19/2016	VAN SISTINE, JEANNE	JH SMALL CAP EQUITY A	0.00	6.80	0.00	6.80	93.0	6.32
03/18/2016	REILLY, KAREN	JH SMALL CAP EQUITY A	0.00	6.33	0.00	6.33	93.0	5.89
03/18/2016	VAN SISTINE, JEANNE	JH SMALL CAP EQUITY A	0.00	5.90	0.00	5.90	93.0	5.49
04/15/2016	REILLY, KAREN	JH SMALL CAP EQUITY A	0.00	7.31	0.00	7.31	93.0	6.80
04/15/2016	VAN SISTINE, JEANNE	JH SMALL CAP EQUITY A	0.00	6.81	0.00	6.81	93.0	6.33
05/23/2016	REILLY, KAREN	JH SMALL CAP EQUITY A	0.00	7.40	0.00	7.40	93.0	6.88
05/23/2016	VAN SISTINE, JEANNE	JH SMALL CAP EQUITY A	0.00	6.90	0.00	6.90	93.0	6.42
06/27/2016	REILLY, KAREN	JH SMALL CAP EQUITY A	0.00	2.90	0.00	2.90	93.0	2.70
06/27/2016	VAN SISTINE, JEANNE	JH SMALL CAP EQUITY A	0.00	2.71	0.00	2.71	93.0	2.52
02/14/2018	WILKERSON, LAURA	JH STRATEGIC INCOME A	0.00	7.85	0.00	7.85	93.0	7.30
02/19/2016	PLOTZ, ROSANN	JP MORGAN GROWTH AND INCOME FUND CL	0.00	0.36	0.00	0.36	93.0	0.33
03/17/2016	PLOTZ, ROSANN	JP MORGAN GROWTH AND INCOME FUND CL	0.00	0.33	0.00	0.33	93.0	0.31
04/25/2016	PLOTZ, ROSANN	JP MORGAN GROWTH AND INCOME FUND CL	0.00	0.38	0.00	0.38	93.0	0.35
05/16/2016	PLOTZ, ROSANN	JP MORGAN GROWTH AND INCOME FUND CL	0.00	0.38	0.00	0.38	93.0	0.35

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
06/20/2016	PLOTZ, ROSANN	JP MORGAN GROWTH AND INCOME FUND CL	0.00	0.39	0.00	0.39	93.0	0.36
07/25/2016	PLOTZ, ROSANN	JP MORGAN GROWTH AND INCOME FUND CL	0.00	0.38	0.00	0.38	93.0	0.35
08/15/2016	PLOTZ, ROSANN	JP MORGAN GROWTH AND INCOME FUND CL	0.00	0.40	0.00	0.40	93.0	0.37
09/15/2016	PLOTZ, ROSANN	JP MORGAN GROWTH AND INCOME FUND CL	0.00	0.41	0.00	0.41	93.0	0.38
10/14/2016	PLOTZ, ROSANN	JP MORGAN GROWTH AND INCOME FUND CL	0.00	0.39	0.00	0.39	93.0	0.36
11/21/2016	PLOTZ, ROSANN	JP MORGAN GROWTH AND INCOME FUND CL	0.00	0.40	0.00	0.40	93.0	0.37
12/16/2016	PLOTZ, ROSANN	JP MORGAN GROWTH AND INCOME FUND CL	0.00	0.40	0.00	0.40	93.0	0.37
02/19/2016	REILLY, KAREN	JP MORGAN MID CAP GROWTH FUND CLASS	0.00	6.02	0.00	6.02	93.0	5.60
02/19/2016	POLTZ, ALAN	JP MORGAN MID CAP GROWTH FUND CLASS	0.00	0.56	0.00	0.56	93.0	0.52
02/19/2016	REINKE, RONALD	JP MORGAN MID CAP GROWTH FUND CLASS	0.00	3.12	0.00	3.12	93.0	2.90
03/17/2016	REILLY, KAREN	JP MORGAN MID CAP GROWTH FUND CLASS	0.00	5.28	0.00	5.28	93.0	4.91
03/17/2016	POLTZ, ALAN	JP MORGAN MID CAP GROWTH FUND CLASS	0.00	0.49	0.00	0.49	93.0	0.46
03/17/2016	REINKE, RONALD	JP MORGAN MID CAP GROWTH FUND CLASS	0.00	2.73	0.00	2.73	93.0	2.54
04/25/2016	REILLY, KAREN	JP MORGAN MID CAP GROWTH FUND CLASS	0.00	6.17	0.00	6.17	93.0	5.74
04/25/2016	POLTZ, ALAN	JP MORGAN MID CAP GROWTH FUND CLASS	0.00	0.58	0.00	0.58	93.0	0.54
04/25/2016	REINKE, RONALD	JP MORGAN MID CAP GROWTH FUND CLASS	0.00	3.20	0.00	3.20	93.0	2.98
05/16/2016	REILLY, KAREN	JP MORGAN MID CAP GROWTH FUND CLASS	0.00	6.17	0.00	6.17	93.0	5.74
05/16/2016	POLTZ, ALAN	JP MORGAN MID CAP GROWTH FUND CLASS	0.00	0.58	0.00	0.58	93.0	0.54
05/16/2016	REINKE, RONALD	JP MORGAN MID CAP GROWTH FUND CLASS	0.00	3.19	0.00	3.19	93.0	2.97
06/20/2016	REILLY, KAREN	JP MORGAN MID CAP GROWTH FUND CLASS	0.00	6.33	0.00	6.33	93.0	5.89
06/20/2016	POLTZ, ALAN	JP MORGAN MID CAP GROWTH FUND CLASS	0.00	0.59	0.00	0.59	93.0	0.55
06/20/2016	REINKE, RONALD	JP MORGAN MID CAP GROWTH FUND CLASS	0.00	3.28	0.00	3.28	93.0	3.05
07/25/2016	REILLY, KAREN	JP MORGAN MID CAP GROWTH FUND CLASS	0.00	6.21	0.00	6.21	93.0	5.78
07/25/2016	POLTZ, ALAN	JP MORGAN MID CAP GROWTH FUND CLASS	0.00	0.58	0.00	0.58	93.0	0.54
07/25/2016	REINKE, RONALD	JP MORGAN MID CAP GROWTH FUND CLASS	0.00	3.22	0.00	3.22	93.0	2.99
08/15/2016	REILLY, KAREN	JP MORGAN MID CAP GROWTH FUND CLASS	0.00	6.54	0.00	6.54	93.0	6.08
08/15/2016	POLTZ, ALAN	JP MORGAN MID CAP GROWTH FUND CLASS	0.00	0.61	0.00	0.61	93.0	0.57
08/15/2016	REINKE, RONALD	JP MORGAN MID CAP GROWTH FUND CLASS	0.00	3.39	0.00	3.39	93.0	3.15
09/15/2016	REILLY, KAREN	JP MORGAN MID CAP GROWTH FUND CLASS	0.00	6.68	0.00	6.68	93.0	6.21
09/15/2016	POLTZ, ALAN	JP MORGAN MID CAP GROWTH FUND CLASS	0.00	0.62	0.00	0.62	93.0	0.58
09/15/2016	REINKE, RONALD	JP MORGAN MID CAP GROWTH FUND CLASS	0.00	3.46	0.00	3.46	93.0	3.22
10/14/2016	REILLY, KAREN	JP MORGAN MID CAP GROWTH FUND CLASS	0.00	6.38	0.00	6.38	93.0	5.93
10/14/2016	POLTZ, ALAN	JP MORGAN MID CAP GROWTH FUND CLASS	0.00	0.60	0.00	0.60	93.0	0.56

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
10/14/2016	REINKE, RONALD	JP MORGAN MID CAP GROWTH FUND CLASS	0.00	3.31	0.00	3.31	93.0	3.08
11/21/2016	REILLY, KAREN	JP MORGAN MID CAP GROWTH FUND CLASS	0.00	6.48	0.00	6.48	93.0	6.03
11/21/2016	POLTZ, ALAN	JP MORGAN MID CAP GROWTH FUND CLASS	0.00	0.61	0.00	0.61	93.0	0.57
11/21/2016	REINKE, RONALD	JP MORGAN MID CAP GROWTH FUND CLASS	0.00	3.36	0.00	3.36	93.0	3.12
12/16/2016	REILLY, KAREN	JP MORGAN MID CAP GROWTH FUND CLASS	0.00	6.34	0.00	6.34	93.0	5.90
12/16/2016	POLTZ, ALAN	JP MORGAN MID CAP GROWTH FUND CLASS	0.00	0.59	0.00	0.59	93.0	0.55
12/16/2016	REINKE, RONALD	JP MORGAN MID CAP GROWTH FUND CLASS	0.00	3.28	0.00	3.28	93.0	3.05
05/23/2016	LOWE, RUSSELL	LORD ABBETT FUNDAMENTAL EQUITY A	0.00	0.33	0.00	0.33	93.0	0.31
02/08/2016	SCHLOMANN, DAVID	MFS GROWTH ALLOCATION C	0.00	12.84	0.00	12.84	93.0	11.94
02/08/2016	SCHLOMANN, ANN	MFS GROWTH ALLOCATION C	0.00	6.33	0.00	6.33	93.0	5.89
03/14/2016	SCHLOMANN, DAVID	MFS GROWTH ALLOCATION C	0.00	20.13	0.00	20.13	93.0	18.72
03/14/2016	SCHLOMANN, ANN	MFS GROWTH ALLOCATION C	0.00	10.47	0.00	10.47	93.0	9.74
04/15/2016	SCHLOMANN, DAVID	MFS GROWTH ALLOCATION C	0.00	22.71	0.00	22.71	93.0	21.12
04/15/2016	SCHLOMANN, ANN	MFS GROWTH ALLOCATION C	0.00	10.27	0.00	10.27	93.0	9.55
05/17/2016	SCHLOMANN, DAVID	MFS GROWTH ALLOCATION C	0.00	22.57	0.00	22.57	93.0	20.99
05/17/2016	SCHLOMANN, ANN	MFS GROWTH ALLOCATION C	0.00	5.86	0.00	5.86	93.0	5.45
06/16/2016	SCHLOMANN, DAVID	MFS GROWTH ALLOCATION C	0.00	23.42	0.00	23.42	93.0	21.78
06/16/2016	SCHLOMANN, ANN	MFS GROWTH ALLOCATION C	0.00	6.08	0.00	6.08	93.0	5.65
07/20/2016	SCHLOMANN, DAVID	MFS GROWTH ALLOCATION C	0.00	22.87	0.00	22.87	93.0	21.27
07/20/2016	SCHLOMANN, ANN	MFS GROWTH ALLOCATION C	0.00	5.94	0.00	5.94	93.0	5.52
08/16/2016	SCHLOMANN, DAVID	MFS GROWTH ALLOCATION C	0.00	24.18	0.00	24.18	93.0	22.49
08/16/2016	SCHLOMANN, ANN	MFS GROWTH ALLOCATION C	0.00	6.28	0.00	6.28	93.0	5.84
09/15/2016	SCHLOMANN, DAVID	MFS GROWTH ALLOCATION C	0.00	24.59	0.00	24.59	93.0	22.87
09/15/2016	SCHLOMANN, ANN	MFS GROWTH ALLOCATION C	0.00	4.53	0.00	4.53	93.0	4.21
10/20/2016	SCHLOMANN, DAVID	MFS GROWTH ALLOCATION C	0.00	23.67	0.00	23.67	93.0	22.01
11/14/2016	SCHLOMANN, DAVID	MFS GROWTH ALLOCATION C	0.00	24.28	0.00	24.28	93.0	22.58
12/19/2016	SCHLOMANN, DAVID	MFS GROWTH ALLOCATION C	0.00	23.22	0.00	23.22	93.0	21.59
02/08/2016	SCHLOMANN, DAVID	MFS MODERATE ALLOCATION C	0.00	2.67	0.00	2.67	93.0	2.48
02/08/2016	SCHLOMANN, ANN	MFS MODERATE ALLOCATION C	0.00	4.06	0.00	4.06	93.0	3.78
03/14/2016	SCHLOMANN, DAVID	MFS MODERATE ALLOCATION C	0.00	4.31	0.00	4.31	93.0	4.01
03/14/2016	SCHLOMANN, ANN	MFS MODERATE ALLOCATION C	0.00	6.34	0.00	6.34	93.0	5.90
04/15/2016	SCHLOMANN, DAVID	MFS MODERATE ALLOCATION C	0.00	4.80	0.00	4.80	93.0	4.46
04/15/2016	SCHLOMANN, ANN	MFS MODERATE ALLOCATION C	0.00	7.07	0.00	7.07	93.0	6.58

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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>								
05/17/2016	SCHLOMANN, DAVID	MFS MODERATE ALLOCATION C	0.00	4.76	0.00	4.76	93.0	4.43
05/17/2016	SCHLOMANN, ANN	MFS MODERATE ALLOCATION C	0.00	7.00	0.00	7.00	93.0	6.51
06/16/2016	SCHLOMANN, DAVID	MFS MODERATE ALLOCATION C	0.00	4.93	0.00	4.93	93.0	4.58
06/16/2016	SCHLOMANN, ANN	MFS MODERATE ALLOCATION C	0.00	7.26	0.00	7.26	93.0	6.75
07/20/2016	SCHLOMANN, DAVID	MFS MODERATE ALLOCATION C	0.00	4.82	0.00	4.82	93.0	4.48
07/20/2016	SCHLOMANN, ANN	MFS MODERATE ALLOCATION C	0.00	7.09	0.00	7.09	93.0	6.59
08/16/2016	SCHLOMANN, DAVID	MFS MODERATE ALLOCATION C	0.00	5.08	0.00	5.08	93.0	4.72
08/16/2016	SCHLOMANN, ANN	MFS MODERATE ALLOCATION C	0.00	7.47	0.00	7.47	93.0	6.95
09/15/2016	SCHLOMANN, DAVID	MFS MODERATE ALLOCATION C	0.00	5.14	0.00	5.14	93.0	4.78
09/15/2016	SCHLOMANN, ANN	MFS MODERATE ALLOCATION C	0.00	7.57	0.00	7.57	93.0	7.04
10/20/2016	SCHLOMANN, DAVID	MFS MODERATE ALLOCATION C	0.00	4.96	0.00	4.96	93.0	4.61
10/20/2016	SCHLOMANN, ANN	MFS MODERATE ALLOCATION C	0.00	7.29	0.00	7.29	93.0	6.78
11/14/2016	SCHLOMANN, DAVID	MFS MODERATE ALLOCATION C	0.00	5.09	0.00	5.09	93.0	4.73
11/14/2016	SCHLOMANN, ANN	MFS MODERATE ALLOCATION C	0.00	7.49	0.00	7.49	93.0	6.97
12/19/2016	SCHLOMANN, DAVID	MFS MODERATE ALLOCATION C	0.00	4.86	0.00	4.86	93.0	4.52
12/19/2016	SCHLOMANN, ANN	MFS MODERATE ALLOCATION C	0.00	7.15	0.00	7.15	93.0	6.65
02/08/2016	POLTZ, ALAN	MFS RESEARCH A	0.00	0.38	0.00	0.38	93.0	0.35
03/14/2016	POLTZ, ALAN	MFS RESEARCH A	0.00	0.35	0.00	0.35	93.0	0.33
04/15/2016	POLTZ, ALAN	MFS RESEARCH A	0.00	0.39	0.00	0.39	93.0	0.36
05/17/2016	POLTZ, ALAN	MFS RESEARCH A	0.00	0.39	0.00	0.39	93.0	0.36
06/16/2016	POLTZ, ALAN	MFS RESEARCH A	0.00	0.40	0.00	0.40	93.0	0.37
07/20/2016	POLTZ, ALAN	MFS RESEARCH A	0.00	0.40	0.00	0.40	93.0	0.37
08/16/2016	POLTZ, ALAN	MFS RESEARCH A	0.00	0.42	0.00	0.42	93.0	0.39
09/15/2016	POLTZ, ALAN	MFS RESEARCH A	0.00	0.43	0.00	0.43	93.0	0.40
10/20/2016	POLTZ, ALAN	MFS RESEARCH A	0.00	0.41	0.00	0.41	93.0	0.38
11/14/2016	POLTZ, ALAN	MFS RESEARCH A	0.00	0.42	0.00	0.42	93.0	0.39
12/19/2016	POLTZ, ALAN	MFS RESEARCH A	0.00	0.41	0.00	0.41	93.0	0.38
03/17/2016	LABRIER, JOHN	OPPENHEIMER GLOBAL ALLOCATION A	0.00	0.17	0.00	0.17	93.0	0.16
04/21/2016	LABRIER, JOHN	OPPENHEIMER GLOBAL ALLOCATION A	0.00	0.39	0.00	0.39	93.0	0.36
04/21/2016	LABRIER, JOHN	OPPENHEIMER GLOBAL ALLOCATION A	0.00	0.91	0.00	0.91	93.0	0.85
05/19/2016	LABRIER, JOHN	OPPENHEIMER GLOBAL ALLOCATION A	0.00	0.85	0.00	0.85	93.0	0.79
05/19/2016	LABRIER, JOHN	OPPENHEIMER GLOBAL ALLOCATION A	0.00	0.90	0.00	0.90	93.0	0.84
06/30/2016	LABRIER, JOHN	OPPENHEIMER GLOBAL ALLOCATION A	0.00	0.28	0.00	0.28	93.0	0.26

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
06/30/2016	LABRIER, JOHN	OPPENHEIMER GLOBAL ALLOCATION A	0.00	0.30	0.00	0.30	93.0	0.28
02/22/2016	REINKE, RONALD	PUTNAM HIGH YIELD TRUST A	0.00	2.92	0.00	2.92	93.0	2.72
03/22/2016	REINKE, RONALD	PUTNAM HIGH YIELD TRUST A	0.00	2.69	0.00	2.69	93.0	2.50
04/21/2016	REINKE, RONALD	PUTNAM HIGH YIELD TRUST A	0.00	3.03	0.00	3.03	93.0	2.82
05/26/2016	REINKE, RONALD	PUTNAM HIGH YIELD TRUST A	0.00	3.00	0.00	3.00	93.0	2.79
06/23/2016	REINKE, RONALD	PUTNAM HIGH YIELD TRUST A	0.00	3.16	0.00	3.16	93.0	2.94
07/26/2016	REINKE, RONALD	PUTNAM HIGH YIELD TRUST A	0.00	3.09	0.00	3.09	93.0	2.87
08/19/2016	REINKE, RONALD	PUTNAM HIGH YIELD TRUST A	0.00	3.27	0.00	3.27	93.0	3.04
09/20/2016	REINKE, RONALD	PUTNAM HIGH YIELD TRUST A	0.00	3.32	0.00	3.32	93.0	3.09
10/25/2016	REINKE, RONALD	PUTNAM HIGH YIELD TRUST A	0.00	3.24	0.00	3.24	93.0	3.01
11/23/2016	REINKE, RONALD	PUTNAM HIGH YIELD TRUST A	0.00	3.39	0.00	3.39	93.0	3.15
12/23/2016	REINKE, RONALD	PUTNAM HIGH YIELD TRUST A	0.00	3.24	0.00	3.24	93.0	3.01
02/12/2016	OTTO, CHRISTOPHER	SUNAMERICA FOCUSED ALPHA GROWTH A	0.00	0.48	0.00	0.48	93.0	0.45
03/15/2016	OTTO, CHRISTOPHER	SUNAMERICA FOCUSED ALPHA GROWTH A	0.00	0.44	0.00	0.44	93.0	0.41
04/15/2016	OTTO, CHRISTOPHER	SUNAMERICA FOCUSED ALPHA GROWTH A	0.00	0.50	0.00	0.50	93.0	0.47
05/19/2016	OTTO, CHRISTOPHER	SUNAMERICA FOCUSED ALPHA GROWTH A	0.00	0.50	0.00	0.50	93.0	0.47
06/15/2016	OTTO, CHRISTOPHER	SUNAMERICA FOCUSED ALPHA GROWTH A	0.00	0.51	0.00	0.51	93.0	0.47
07/14/2016	OTTO, CHRISTOPHER	SUNAMERICA FOCUSED ALPHA GROWTH A	0.00	0.49	0.00	0.49	93.0	0.46
08/10/2016	OTTO, CHRISTOPHER	SUNAMERICA FOCUSED ALPHA GROWTH A	0.00	0.52	0.00	0.52	93.0	0.48
09/16/2016	OTTO, CHRISTOPHER	SUNAMERICA FOCUSED ALPHA GROWTH A	0.00	0.54	0.00	0.54	93.0	0.50
10/12/2016	OTTO, CHRISTOPHER	SUNAMERICA FOCUSED ALPHA GROWTH A	0.00	0.52	0.00	0.52	93.0	0.48
11/11/2016	OTTO, CHRISTOPHER	SUNAMERICA FOCUSED ALPHA GROWTH A	0.00	0.53	0.00	0.53	93.0	0.49
12/19/2016	OTTO, CHRISTOPHER	SUNAMERICA FOCUSED ALPHA GROWTH A	0.00	0.50	0.00	0.50	93.0	0.47
02/12/2016	REILLY, KAREN	SUNAMERICA FOCUSED ALPHA LARGE CAP A	0.00	3.07	0.00	3.07	93.0	2.86
03/15/2016	REILLY, KAREN	SUNAMERICA FOCUSED ALPHA LARGE CAP A	0.00	2.80	0.00	2.80	93.0	2.60
04/15/2016	REILLY, KAREN	SUNAMERICA FOCUSED ALPHA LARGE CAP A	0.00	3.16	0.00	3.16	93.0	2.94
05/19/2016	REILLY, KAREN	SUNAMERICA FOCUSED ALPHA LARGE CAP A	0.00	3.13	0.00	3.13	93.0	2.91
06/15/2016	REILLY, KAREN	SUNAMERICA FOCUSED ALPHA LARGE CAP A	0.00	3.20	0.00	3.20	93.0	2.98
07/14/2016	REILLY, KAREN	SUNAMERICA FOCUSED ALPHA LARGE CAP A	0.00	3.11	0.00	3.11	93.0	2.89
08/10/2016	REILLY, KAREN	SUNAMERICA FOCUSED ALPHA LARGE CAP A	0.00	3.28	0.00	3.28	93.0	3.05
09/16/2016	REILLY, KAREN	SUNAMERICA FOCUSED ALPHA LARGE CAP A	0.00	3.35	0.00	3.35	93.0	3.12
10/12/2016	REILLY, KAREN	SUNAMERICA FOCUSED ALPHA LARGE CAP A	0.00	3.23	0.00	3.23	93.0	3.00
11/11/2016	REILLY, KAREN	SUNAMERICA FOCUSED ALPHA LARGE CAP A	0.00	3.33	0.00	3.33	93.0	3.10

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
12/19/2016	REILLY, KAREN	SUNAMERICA FOCUSED ALPHA LARGE CAP A	0.00	3.27	0.00	3.27	93.0	3.04
03/14/2016	SWANSON, GLENN	TRANSAMERICA AA CONSERVATIVE C	0.00	18.82	0.00	18.82	93.0	17.50
04/15/2016	SWANSON, GLENN	TRANSAMERICA AA CONSERVATIVE C	0.00	23.12	0.00	23.12	93.0	21.50
05/16/2016	SWANSON, GLENN	TRANSAMERICA AA CONSERVATIVE C	0.00	22.77	0.00	22.77	93.0	21.18
06/16/2016	SWANSON, GLENN	TRANSAMERICA AA CONSERVATIVE C	0.00	23.53	0.00	23.53	93.0	21.88
07/18/2016	SWANSON, GLENN	TRANSAMERICA AA CONSERVATIVE C	0.00	22.94	0.00	22.94	93.0	21.33
08/17/2016	SWANSON, GLENN	TRANSAMERICA AA CONSERVATIVE C	0.00	24.10	0.00	24.10	93.0	22.41
09/15/2016	SWANSON, GLENN	TRANSAMERICA AA CONSERVATIVE C	0.00	24.38	0.00	24.38	93.0	22.67
10/20/2016	SWANSON, GLENN	TRANSAMERICA AA CONSERVATIVE C	0.00	23.59	0.00	23.59	93.0	21.94
11/16/2016	SWANSON, GLENN	TRANSAMERICA AA CONSERVATIVE C	0.00	24.30	0.00	24.30	93.0	22.60
12/16/2016	SWANSON, GLENN	TRANSAMERICA AA CONSERVATIVE C	0.00	23.23	0.00	23.23	93.0	21.60
07/18/2016	KOTTSCHADE, DANIEL	TRANSAMERICA AA GROWTH A	0.00	0.72	0.00	0.72	93.0	0.67
08/17/2016	KOTTSCHADE, DANIEL	TRANSAMERICA AA GROWTH A	0.00	1.10	0.00	1.10	93.0	1.02
09/15/2016	KOTTSCHADE, DANIEL	TRANSAMERICA AA GROWTH A	0.00	1.13	0.00	1.13	93.0	1.05
10/20/2016	KOTTSCHADE, DANIEL	TRANSAMERICA AA GROWTH A	0.00	1.09	0.00	1.09	93.0	1.01
11/16/2016	KOTTSCHADE, DANIEL	TRANSAMERICA AA GROWTH A	0.00	1.12	0.00	1.12	93.0	1.04
12/16/2016	KOTTSCHADE, DANIEL	TRANSAMERICA AA GROWTH A	0.00	1.08	0.00	1.08	93.0	1.00
02/18/2016	BOUDREAU, WILLIAM	TRANSAMERICA AA GROWTH C	0.00	9.41	0.00	9.41	93.0	8.75
02/18/2016	BOUDREAU, DIANE	TRANSAMERICA AA GROWTH C	0.00	19.21	0.00	19.21	93.0	17.87
02/18/2016	VETTER, BRIAN	TRANSAMERICA AA GROWTH C	0.00	2.53	0.00	2.53	93.0	2.35
02/18/2016	ROY, DEBRA	TRANSAMERICA AA GROWTH C	0.00	2.25	0.00	2.25	93.0	2.09
02/18/2016	WILLIAMS, GERRY	TRANSAMERICA AA GROWTH C	0.00	10.61	0.00	10.61	93.0	9.87
02/18/2016	GRUBISH, JAMES	TRANSAMERICA AA GROWTH C	0.00	2.97	0.00	2.97	93.0	2.76
02/18/2016	LILLEVOLD, KATHRYN	TRANSAMERICA AA GROWTH C	0.00	11.75	0.00	11.75	93.0	10.93
02/18/2016	FITTERER TRUST, RUTH	TRANSAMERICA AA GROWTH C	0.00	56.16	0.00	56.16	93.0	52.23
03/14/2016	BOUDREAU, WILLIAM	TRANSAMERICA AA GROWTH C	0.00	8.61	0.00	8.61	93.0	8.01
03/14/2016	BOUDREAU, DIANE	TRANSAMERICA AA GROWTH C	0.00	17.57	0.00	17.57	93.0	16.34
03/14/2016	VETTER, BRIAN	TRANSAMERICA AA GROWTH C	0.00	2.31	0.00	2.31	93.0	2.15
03/14/2016	ROY, DEBRA	TRANSAMERICA AA GROWTH C	0.00	2.06	0.00	2.06	93.0	1.92
03/14/2016	WILLIAMS, GERRY	TRANSAMERICA AA GROWTH C	0.00	9.12	0.00	9.12	93.0	8.48
03/14/2016	GRUBISH, JAMES	TRANSAMERICA AA GROWTH C	0.00	2.72	0.00	2.72	93.0	2.53
03/14/2016	LILLEVOLD, KATHRYN	TRANSAMERICA AA GROWTH C	0.00	10.75	0.00	10.75	93.0	10.00
03/14/2016	FITTERER TRUST, RUTH	TRANSAMERICA AA GROWTH C	0.00	51.37	0.00	51.37	93.0	47.77

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
04/15/2016	BOUDREAU, WILLIAM	TRANSAMERICA AA GROWTH C	0.00	9.79	0.00	9.79	93.0	9.10
04/15/2016	BOUDREAU, DIANE	TRANSAMERICA AA GROWTH C	0.00	19.97	0.00	19.97	93.0	18.57
04/15/2016	VETTER, BRIAN	TRANSAMERICA AA GROWTH C	0.00	2.63	0.00	2.63	93.0	2.45
04/15/2016	ROY, DEBRA	TRANSAMERICA AA GROWTH C	0.00	2.34	0.00	2.34	93.0	2.18
04/15/2016	WILLIAMS, GERRY	TRANSAMERICA AA GROWTH C	0.00	10.11	0.00	10.11	93.0	9.40
04/15/2016	GRUBISH, JAMES	TRANSAMERICA AA GROWTH C	0.00	3.09	0.00	3.09	93.0	2.87
04/15/2016	LILLEVOLD, KATHRYN	TRANSAMERICA AA GROWTH C	0.00	12.22	0.00	12.22	93.0	11.36
04/15/2016	FITTERER TRUST, RUTH	TRANSAMERICA AA GROWTH C	0.00	58.39	0.00	58.39	93.0	54.30
05/16/2016	BOUDREAU, WILLIAM	TRANSAMERICA AA GROWTH C	0.00	9.72	0.00	9.72	93.0	9.04
05/16/2016	BOUDREAU, DIANE	TRANSAMERICA AA GROWTH C	0.00	19.85	0.00	19.85	93.0	18.46
05/16/2016	VETTER, BRIAN	TRANSAMERICA AA GROWTH C	0.00	2.61	0.00	2.61	93.0	2.43
05/16/2016	ROY, DEBRA	TRANSAMERICA AA GROWTH C	0.00	2.32	0.00	2.32	93.0	2.16
05/16/2016	WILLIAMS, GERRY	TRANSAMERICA AA GROWTH C	0.00	9.06	0.00	9.06	93.0	8.43
05/16/2016	GRUBISH, JAMES	TRANSAMERICA AA GROWTH C	0.00	16.04	0.00	16.04	93.0	14.92
05/16/2016	LILLEVOLD, KATHRYN	TRANSAMERICA AA GROWTH C	0.00	12.14	0.00	12.14	93.0	11.29
05/16/2016	FITTERER TRUST, RUTH	TRANSAMERICA AA GROWTH C	0.00	58.01	0.00	58.01	93.0	53.95
06/16/2016	BOUDREAU, WILLIAM	TRANSAMERICA AA GROWTH C	0.00	10.00	0.00	10.00	93.0	9.30
06/16/2016	BOUDREAU, DIANE	TRANSAMERICA AA GROWTH C	0.00	20.40	0.00	20.40	93.0	18.97
06/16/2016	VETTER, BRIAN	TRANSAMERICA AA GROWTH C	0.00	2.68	0.00	2.68	93.0	2.49
06/16/2016	ROY, DEBRA	TRANSAMERICA AA GROWTH C	0.00	2.39	0.00	2.39	93.0	2.22
06/16/2016	WILLIAMS, GERRY	TRANSAMERICA AA GROWTH C	0.00	8.65	0.00	8.65	93.0	8.04
06/16/2016	GRUBISH, JAMES	TRANSAMERICA AA GROWTH C	0.00	25.20	0.00	25.20	93.0	23.44
06/16/2016	LILLEVOLD, KATHRYN	TRANSAMERICA AA GROWTH C	0.00	12.48	0.00	12.48	93.0	11.61
06/16/2016	FITTERER TRUST, RUTH	TRANSAMERICA AA GROWTH C	0.00	59.65	0.00	59.65	93.0	55.47
07/18/2016	BOUDREAU, WILLIAM	TRANSAMERICA AA GROWTH C	0.00	9.75	0.00	9.75	93.0	9.07
07/18/2016	BOUDREAU, DIANE	TRANSAMERICA AA GROWTH C	0.00	19.89	0.00	19.89	93.0	18.50
07/18/2016	VETTER, BRIAN	TRANSAMERICA AA GROWTH C	0.00	2.62	0.00	2.62	93.0	2.44
07/18/2016	ROY, DEBRA	TRANSAMERICA AA GROWTH C	0.00	2.33	0.00	2.33	93.0	2.17
07/18/2016	WILLIAMS, GERRY	TRANSAMERICA AA GROWTH C	0.00	8.43	0.00	8.43	93.0	7.84
07/18/2016	GRUBISH, JAMES	TRANSAMERICA AA GROWTH C	0.00	24.57	0.00	24.57	93.0	22.85
07/18/2016	LILLEVOLD, KATHRYN	TRANSAMERICA AA GROWTH C	0.00	12.17	0.00	12.17	93.0	11.32
07/18/2016	FITTERER TRUST, RUTH	TRANSAMERICA AA GROWTH C	0.00	58.15	0.00	58.15	93.0	54.08
08/17/2016	BOUDREAU, WILLIAM	TRANSAMERICA AA GROWTH C	0.00	10.31	0.00	10.31	93.0	9.59

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
08/17/2016	BOUDREAU, DIANE	TRANSAMERICA AA GROWTH C	0.00	21.04	0.00	21.04	93.0	19.57
08/17/2016	VETTER, BRIAN	TRANSAMERICA AA GROWTH C	0.00	2.77	0.00	2.77	93.0	2.58
08/17/2016	ROY, DEBRA	TRANSAMERICA AA GROWTH C	0.00	2.46	0.00	2.46	93.0	2.29
08/17/2016	WILLIAMS, GERRY	TRANSAMERICA AA GROWTH C	0.00	8.92	0.00	8.92	93.0	8.30
08/17/2016	GRUBISH, JAMES	TRANSAMERICA AA GROWTH C	0.00	25.99	0.00	25.99	93.0	24.17
08/17/2016	LILLEVOLD, KATHRYN	TRANSAMERICA AA GROWTH C	0.00	12.87	0.00	12.87	93.0	11.97
08/17/2016	FITTERER TRUST, RUTH	TRANSAMERICA AA GROWTH C	0.00	61.50	0.00	61.50	93.0	57.20
09/15/2016	BOUDREAU, WILLIAM	TRANSAMERICA AA GROWTH C	0.00	10.57	0.00	10.57	93.0	9.83
09/15/2016	BOUDREAU, DIANE	TRANSAMERICA AA GROWTH C	0.00	21.57	0.00	21.57	93.0	20.06
09/15/2016	VETTER, BRIAN	TRANSAMERICA AA GROWTH C	0.00	2.84	0.00	2.84	93.0	2.64
09/15/2016	ROY, DEBRA	TRANSAMERICA AA GROWTH C	0.00	2.52	0.00	2.52	93.0	2.34
09/15/2016	WILLIAMS, GERRY	TRANSAMERICA AA GROWTH C	0.00	9.14	0.00	9.14	93.0	8.50
09/15/2016	GRUBISH, JAMES	TRANSAMERICA AA GROWTH C	0.00	26.65	0.00	26.65	93.0	24.78
09/15/2016	LILLEVOLD, KATHRYN	TRANSAMERICA AA GROWTH C	0.00	13.19	0.00	13.19	93.0	12.27
09/15/2016	FITTERER TRUST, RUTH	TRANSAMERICA AA GROWTH C	0.00	63.06	0.00	63.06	93.0	58.65
10/20/2016	BOUDREAU, WILLIAM	TRANSAMERICA AA GROWTH C	0.00	10.23	0.00	10.23	93.0	9.51
10/20/2016	BOUDREAU, DIANE	TRANSAMERICA AA GROWTH C	0.00	20.88	0.00	20.88	93.0	19.42
10/20/2016	VETTER, BRIAN	TRANSAMERICA AA GROWTH C	0.00	2.75	0.00	2.75	93.0	2.56
10/20/2016	ROY, DEBRA	TRANSAMERICA AA GROWTH C	0.00	2.44	0.00	2.44	93.0	2.27
10/20/2016	WILLIAMS, GERRY	TRANSAMERICA AA GROWTH C	0.00	8.85	0.00	8.85	93.0	8.23
10/20/2016	GRUBISH, JAMES	TRANSAMERICA AA GROWTH C	0.00	25.80	0.00	25.80	93.0	23.99
10/20/2016	LILLEVOLD, KATHRYN	TRANSAMERICA AA GROWTH C	0.00	12.77	0.00	12.77	93.0	11.88
10/20/2016	FITTERER TRUST, RUTH	TRANSAMERICA AA GROWTH C	0.00	61.04	0.00	61.04	93.0	56.77
11/16/2016	BOUDREAU, WILLIAM	TRANSAMERICA AA GROWTH C	0.00	10.51	0.00	10.51	93.0	9.77
11/16/2016	BOUDREAU, DIANE	TRANSAMERICA AA GROWTH C	0.00	21.45	0.00	21.45	93.0	19.95
11/16/2016	VETTER, BRIAN	TRANSAMERICA AA GROWTH C	0.00	2.82	0.00	2.82	93.0	2.62
11/16/2016	ROY, DEBRA	TRANSAMERICA AA GROWTH C	0.00	2.51	0.00	2.51	93.0	2.33
11/16/2016	WILLIAMS, GERRY	TRANSAMERICA AA GROWTH C	0.00	7.93	0.00	7.93	93.0	7.37
11/16/2016	GRUBISH, JAMES	TRANSAMERICA AA GROWTH C	0.00	26.50	0.00	26.50	93.0	24.65
11/16/2016	LILLEVOLD, KATHRYN	TRANSAMERICA AA GROWTH C	0.00	13.12	0.00	13.12	93.0	12.20
11/16/2016	FITTERER TRUST, RUTH	TRANSAMERICA AA GROWTH C	0.00	62.71	0.00	62.71	93.0	58.32
12/16/2016	BOUDREAU, WILLIAM	TRANSAMERICA AA GROWTH C	0.00	10.10	0.00	10.10	93.0	9.39
12/16/2016	BOUDREAU, DIANE	TRANSAMERICA AA GROWTH C	0.00	20.62	0.00	20.62	93.0	19.18

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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>								
12/16/2016	VETTER, BRIAN	TRANSAMERICA AA GROWTH C	0.00	2.71	0.00	2.71	93.0	2.52
12/16/2016	ROY, DEBRA	TRANSAMERICA AA GROWTH C	0.00	0.63	0.00	0.63	93.0	0.59
12/16/2016	GRUBISH, JAMES	TRANSAMERICA AA GROWTH C	0.00	25.47	0.00	25.47	93.0	23.69
12/16/2016	LILLEVOLD, KATHRYN	TRANSAMERICA AA GROWTH C	0.00	12.61	0.00	12.61	93.0	11.73
12/16/2016	FITTERER TRUST, RUTH	TRANSAMERICA AA GROWTH C	0.00	60.27	0.00	60.27	93.0	56.05
02/18/2016	VETTER, BRIAN	TRANSAMERICA AA MOD GROWTH C	0.00	4.03	0.00	4.03	93.0	3.75
02/18/2016	FITTERER TRUST, RUTH	TRANSAMERICA AA MOD GROWTH C	0.00	56.39	0.00	56.39	93.0	52.44
03/14/2016	VETTER, BRIAN	TRANSAMERICA AA MOD GROWTH C	0.00	3.71	0.00	3.71	93.0	3.45
03/14/2016	SWANSON, GLENN	TRANSAMERICA AA MOD GROWTH C	0.00	22.33	0.00	22.33	93.0	20.77
03/14/2016	FITTERER TRUST, RUTH	TRANSAMERICA AA MOD GROWTH C	0.00	51.83	0.00	51.83	93.0	48.20
04/15/2016	VETTER, BRIAN	TRANSAMERICA AA MOD GROWTH C	0.00	4.17	0.00	4.17	93.0	3.88
04/15/2016	SWANSON, GLENN	TRANSAMERICA AA MOD GROWTH C	0.00	28.03	0.00	28.03	93.0	26.07
04/15/2016	FITTERER TRUST, RUTH	TRANSAMERICA AA MOD GROWTH C	0.00	58.27	0.00	58.27	93.0	54.19
05/16/2016	VETTER, BRIAN	TRANSAMERICA AA MOD GROWTH C	0.00	4.13	0.00	4.13	93.0	3.84
05/16/2016	SWANSON, GLENN	TRANSAMERICA AA MOD GROWTH C	0.00	27.77	0.00	27.77	93.0	25.83
05/16/2016	FITTERER TRUST, RUTH	TRANSAMERICA AA MOD GROWTH C	0.00	57.71	0.00	57.71	93.0	53.67
06/16/2016	VETTER, BRIAN	TRANSAMERICA AA MOD GROWTH C	0.00	4.25	0.00	4.25	93.0	3.95
06/16/2016	SWANSON, GLENN	TRANSAMERICA AA MOD GROWTH C	0.00	28.61	0.00	28.61	93.0	26.61
06/16/2016	FITTERER TRUST, RUTH	TRANSAMERICA AA MOD GROWTH C	0.00	59.47	0.00	59.47	93.0	55.31
07/18/2016	VETTER, BRIAN	TRANSAMERICA AA MOD GROWTH C	0.00	4.15	0.00	4.15	93.0	3.86
07/18/2016	SWANSON, GLENN	TRANSAMERICA AA MOD GROWTH C	0.00	27.89	0.00	27.89	93.0	25.94
07/18/2016	FITTERER TRUST, RUTH	TRANSAMERICA AA MOD GROWTH C	0.00	57.96	0.00	57.96	93.0	53.90
08/17/2016	VETTER, BRIAN	TRANSAMERICA AA MOD GROWTH C	0.00	4.37	0.00	4.37	93.0	4.06
08/17/2016	SWANSON, GLENN	TRANSAMERICA AA MOD GROWTH C	0.00	29.40	0.00	29.40	93.0	27.34
08/17/2016	FITTERER TRUST, RUTH	TRANSAMERICA AA MOD GROWTH C	0.00	61.11	0.00	61.11	93.0	56.83
09/15/2016	VETTER, BRIAN	TRANSAMERICA AA MOD GROWTH C	0.00	4.46	0.00	4.46	93.0	4.15
09/15/2016	SWANSON, GLENN	TRANSAMERICA AA MOD GROWTH C	0.00	29.98	0.00	29.98	93.0	27.88
09/15/2016	FITTERER TRUST, RUTH	TRANSAMERICA AA MOD GROWTH C	0.00	62.31	0.00	62.31	93.0	57.95
10/20/2016	VETTER, BRIAN	TRANSAMERICA AA MOD GROWTH C	0.00	4.31	0.00	4.31	93.0	4.01
10/20/2016	SWANSON, GLENN	TRANSAMERICA AA MOD GROWTH C	0.00	29.00	0.00	29.00	93.0	26.97
10/20/2016	FITTERER TRUST, RUTH	TRANSAMERICA AA MOD GROWTH C	0.00	60.28	0.00	60.28	93.0	56.06
11/16/2016	VETTER, BRIAN	TRANSAMERICA AA MOD GROWTH C	0.00	4.44	0.00	4.44	93.0	4.13
11/16/2016	SWANSON, GLENN	TRANSAMERICA AA MOD GROWTH C	0.00	29.84	0.00	29.84	93.0	27.75

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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>								
11/16/2016	FITTERER TRUST, RUTH	TRANSAMERICA AA MOD GROWTH C	0.00	62.03	0.00	62.03	93.0	57.69
12/16/2016	VETTER, BRIAN	TRANSAMERICA AA MOD GROWTH C	0.00	4.26	0.00	4.26	93.0	3.96
12/16/2016	SWANSON, GLENN	TRANSAMERICA AA MOD GROWTH C	0.00	28.62	0.00	28.62	93.0	26.62
12/16/2016	FITTERER TRUST, RUTH	TRANSAMERICA AA MOD GROWTH C	0.00	59.48	0.00	59.48	93.0	55.32
02/18/2016	VETTER, BRIAN	TRANSAMERICA AA MODERATE C	0.00	1.68	0.00	1.68	93.0	1.56
03/14/2016	VETTER, BRIAN	TRANSAMERICA AA MODERATE C	0.00	1.55	0.00	1.55	93.0	1.44
04/15/2016	VETTER, BRIAN	TRANSAMERICA AA MODERATE C	0.00	1.72	0.00	1.72	93.0	1.60
05/16/2016	VETTER, BRIAN	TRANSAMERICA AA MODERATE C	0.00	1.70	0.00	1.70	93.0	1.58
06/16/2016	VETTER, BRIAN	TRANSAMERICA AA MODERATE C	0.00	1.76	0.00	1.76	93.0	1.64
07/18/2016	VETTER, BRIAN	TRANSAMERICA AA MODERATE C	0.00	1.71	0.00	1.71	93.0	1.59
08/17/2016	VETTER, BRIAN	TRANSAMERICA AA MODERATE C	0.00	1.80	0.00	1.80	93.0	1.67
09/15/2016	VETTER, BRIAN	TRANSAMERICA AA MODERATE C	0.00	1.83	0.00	1.83	93.0	1.70
10/20/2016	VETTER, BRIAN	TRANSAMERICA AA MODERATE C	0.00	1.77	0.00	1.77	93.0	1.65
11/16/2016	VETTER, BRIAN	TRANSAMERICA AA MODERATE C	0.00	1.82	0.00	1.82	93.0	1.69
12/16/2016	VETTER, BRIAN	TRANSAMERICA AA MODERATE C	0.00	1.74	0.00	1.74	93.0	1.62
02/18/2016	OTTO, CHRISTOPHER	TRANSAMERICA CAPITAL GROWTH A	0.00	0.52	0.00	0.52	93.0	0.48
03/14/2016	OTTO, CHRISTOPHER	TRANSAMERICA CAPITAL GROWTH A	0.00	0.45	0.00	0.45	93.0	0.42
04/15/2016	OTTO, CHRISTOPHER	TRANSAMERICA CAPITAL GROWTH A	0.00	0.52	0.00	0.52	93.0	0.48
05/16/2016	OTTO, CHRISTOPHER	TRANSAMERICA CAPITAL GROWTH A	0.00	0.52	0.00	0.52	93.0	0.48
06/16/2016	OTTO, CHRISTOPHER	TRANSAMERICA CAPITAL GROWTH A	0.00	0.53	0.00	0.53	93.0	0.49
07/18/2016	OTTO, CHRISTOPHER	TRANSAMERICA CAPITAL GROWTH A	0.00	0.52	0.00	0.52	93.0	0.48
08/17/2016	OTTO, CHRISTOPHER	TRANSAMERICA CAPITAL GROWTH A	0.00	0.56	0.00	0.56	93.0	0.52
09/15/2016	OTTO, CHRISTOPHER	TRANSAMERICA CAPITAL GROWTH A	0.00	0.58	0.00	0.58	93.0	0.54
10/20/2016	OTTO, CHRISTOPHER	TRANSAMERICA CAPITAL GROWTH A	0.00	0.57	0.00	0.57	93.0	0.53
11/16/2016	OTTO, CHRISTOPHER	TRANSAMERICA CAPITAL GROWTH A	0.00	0.59	0.00	0.59	93.0	0.55
12/16/2016	OTTO, CHRISTOPHER	TRANSAMERICA CAPITAL GROWTH A	0.00	0.55	0.00	0.55	93.0	0.51
02/18/2016	OTTO, CHRISTOPHER	TRANSAMERICA DIVERSIFIED EQUITY A	0.00	0.58	0.00	0.58	93.0	0.54
03/14/2016	OTTO, CHRISTOPHER	TRANSAMERICA DIVERSIFIED EQUITY A	0.00	0.53	0.00	0.53	93.0	0.49
04/15/2016	OTTO, CHRISTOPHER	TRANSAMERICA DIVERSIFIED EQUITY A	0.00	0.60	0.00	0.60	93.0	0.56
05/16/2016	OTTO, CHRISTOPHER	TRANSAMERICA DIVERSIFIED EQUITY A	0.00	0.60	0.00	0.60	93.0	0.56
06/16/2016	OTTO, CHRISTOPHER	TRANSAMERICA DIVERSIFIED EQUITY A	0.00	0.61	0.00	0.61	93.0	0.57
07/18/2016	OTTO, CHRISTOPHER	TRANSAMERICA DIVERSIFIED EQUITY A	0.00	0.60	0.00	0.60	93.0	0.56
08/17/2016	OTTO, CHRISTOPHER	TRANSAMERICA DIVERSIFIED EQUITY A	0.00	0.64	0.00	0.64	93.0	0.60

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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>								
09/15/2016	OTTO, CHRISTOPHER	TRANSAMERICA DIVERSIFIED EQUITY A	0.00	0.65	0.00	0.65	93.0	0.60
10/20/2016	OTTO, CHRISTOPHER	TRANSAMERICA DIVERSIFIED EQUITY A	0.00	0.62	0.00	0.62	93.0	0.58
11/16/2016	OTTO, CHRISTOPHER	TRANSAMERICA DIVERSIFIED EQUITY A	0.00	0.63	0.00	0.63	93.0	0.59
12/16/2016	OTTO, CHRISTOPHER	TRANSAMERICA DIVERSIFIED EQUITY A	0.00	0.61	0.00	0.61	93.0	0.57
02/18/2016	OTTO, CHRISTOPHER	TRANSAMERICA MORGAN STANLEY GRTH OP	0.00	0.84	0.00	0.84	93.0	0.78
03/14/2016	OTTO, CHRISTOPHER	TRANSAMERICA MORGAN STANLEY GRTH OP	0.00	0.70	0.00	0.70	93.0	0.65
04/15/2016	OTTO, CHRISTOPHER	TRANSAMERICA MORGAN STANLEY GRTH OP	0.00	0.80	0.00	0.80	93.0	0.74
05/16/2016	OTTO, CHRISTOPHER	TRANSAMERICA MORGAN STANLEY GRTH OP	0.00	0.79	0.00	0.79	93.0	0.73
06/16/2016	OTTO, CHRISTOPHER	TRANSAMERICA MORGAN STANLEY GRTH OP	0.00	0.80	0.00	0.80	93.0	0.74
07/18/2016	OTTO, CHRISTOPHER	TRANSAMERICA MORGAN STANLEY GRTH OP	0.00	0.77	0.00	0.77	93.0	0.72
08/17/2016	OTTO, CHRISTOPHER	TRANSAMERICA MORGAN STANLEY GRTH OP	0.00	0.81	0.00	0.81	93.0	0.75
09/15/2016	OTTO, CHRISTOPHER	TRANSAMERICA MORGAN STANLEY GRTH OP	0.00	0.83	0.00	0.83	93.0	0.77
10/20/2016	OTTO, CHRISTOPHER	TRANSAMERICA MORGAN STANLEY GRTH OP	0.00	0.79	0.00	0.79	93.0	0.73
11/16/2016	OTTO, CHRISTOPHER	TRANSAMERICA MORGAN STANLEY GRTH OP	0.00	0.80	0.00	0.80	93.0	0.74
12/16/2016	OTTO, CHRISTOPHER	TRANSAMERICA MORGAN STANLEY GRTH OP	0.00	0.77	0.00	0.77	93.0	0.72
02/18/2016	OTTO, CHRISTOPHER	TRANSAMERICA SMALL/MID CAP VALUE A	0.00	0.87	0.00	0.87	93.0	0.81
03/14/2016	OTTO, CHRISTOPHER	TRANSAMERICA SMALL/MID CAP VALUE A	0.00	0.79	0.00	0.79	93.0	0.73
04/15/2016	OTTO, CHRISTOPHER	TRANSAMERICA SMALL/MID CAP VALUE A	0.00	0.92	0.00	0.92	93.0	0.86
05/16/2016	OTTO, CHRISTOPHER	TRANSAMERICA SMALL/MID CAP VALUE A	0.00	0.93	0.00	0.93	93.0	0.86
06/16/2016	OTTO, CHRISTOPHER	TRANSAMERICA SMALL/MID CAP VALUE A	0.00	0.96	0.00	0.96	93.0	0.89
07/18/2016	OTTO, CHRISTOPHER	TRANSAMERICA SMALL/MID CAP VALUE A	0.00	0.94	0.00	0.94	93.0	0.87
08/17/2016	OTTO, CHRISTOPHER	TRANSAMERICA SMALL/MID CAP VALUE A	0.00	1.00	0.00	1.00	93.0	0.93
09/15/2016	OTTO, CHRISTOPHER	TRANSAMERICA SMALL/MID CAP VALUE A	0.00	1.02	0.00	1.02	93.0	0.95
10/20/2016	OTTO, CHRISTOPHER	TRANSAMERICA SMALL/MID CAP VALUE A	0.00	0.99	0.00	0.99	93.0	0.92
11/16/2016	OTTO, CHRISTOPHER	TRANSAMERICA SMALL/MID CAP VALUE A	0.00	1.02	0.00	1.02	93.0	0.95
12/16/2016	OTTO, CHRISTOPHER	TRANSAMERICA SMALL/MID CAP VALUE A	0.00	1.03	0.00	1.03	93.0	0.96
04/12/2016	FITZSIMMONS, KEVIN	WILLISTON BASIN/MID- NORTH AMERICA	0.00	2.09	0.00	2.09	93.0	1.94
04/12/2016	FITZSIMMONS, KEVIN	WILLISTON BASIN/MID- NORTH AMERICA	0.00	2.09	0.00	2.09	93.0	1.94
07/13/2016	FITZSIMMONS, KEVIN	WILLISTON BASIN/MID- NORTH AMERICA	0.00	2.45	0.00	2.45	93.0	2.28
07/13/2016	FITZSIMMONS, KEVIN	WILLISTON BASIN/MID- NORTH AMERICA	0.00	2.45	0.00	2.45	93.0	2.28
10/11/2016	FITZSIMMONS, KEVIN	WILLISTON BASIN/MID- NORTH AMERICA	0.00	2.66	0.00	2.66	93.0	2.47
10/11/2016	FITZSIMMONS, KEVIN	WILLISTON BASIN/MID- NORTH AMERICA	0.00	2.66	0.00	2.66	93.0	2.47
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *			\$0.00	\$7,395.21	\$0.00	\$7,395.21		\$6,877.39

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
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SPLIT TRANSACTIONS

*** DIRECT TRANSACTIONS TOTAL ***	\$13,193,951.35	\$169,525.66	\$0.00	\$169,525.66	\$157,658.72
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SPLIT TRANSACTIONS**BROKER: 46G-JOE/JACK MICHALETZ #290**

11/17/2016	JANSEN, LOREN	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	16.75	0.00	16.75	93.0	15.58
12/12/2016	JANSEN, LOREN	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	16.32	0.00	16.32	93.0	15.18
02/22/2016	HART, JACOB	PUTNAM GROWTH & INCOME A	0.00	0.46	0.00	0.46	93.0	0.43
03/22/2016	HART, JACOB	PUTNAM GROWTH & INCOME A	0.00	0.43	0.00	0.43	93.0	0.40
04/21/2016	HART, JACOB	PUTNAM GROWTH & INCOME A	0.00	0.49	0.00	0.49	93.0	0.46
05/26/2016	HART, JACOB	PUTNAM GROWTH & INCOME A	0.00	0.17	0.00	0.17	93.0	0.16
02/22/2016	HART, JACOB	PUTNAM VOYAGER A	0.00	0.42	0.00	0.42	93.0	0.39
03/22/2016	HART, JACOB	PUTNAM VOYAGER A	0.00	0.37	0.00	0.37	93.0	0.34
04/21/2016	HART, JACOB	PUTNAM VOYAGER A	0.00	0.43	0.00	0.43	93.0	0.40
05/26/2016	HART, JACOB	PUTNAM VOYAGER A	0.00	0.15	0.00	0.15	93.0	0.14
* 46G-JOE/JACK MICHALETZ SUBTOTAL *			\$0.00	\$35.99	\$0.00	\$35.99		\$33.48
*** SPLIT TRANSACTIONS TOTAL ***			\$0.00	\$35.99	\$0.00	\$35.99		\$33.48

OVERRIDE TRANSACTIONS**BROKER: JACK, M137 MICHALETZ #287**

02/16/2016	VAN TOL, KATHERINE	AM FUNDS FUNDAMENTAL INVESTORS C	0.00	23.02	0.00	23.02	40.0	12.20
03/15/2016	VAN TOL, KATHERINE	AM FUNDS FUNDAMENTAL INVESTORS C	0.00	21.18	0.00	21.18	40.0	11.23
04/20/2016	VAN TOL, KATHERINE	AM FUNDS FUNDAMENTAL INVESTORS C	0.00	24.15	0.00	24.15	40.0	12.80
05/16/2016	VAN TOL, KATHERINE	AM FUNDS FUNDAMENTAL INVESTORS C	0.00	24.03	0.00	24.03	40.0	12.74
06/15/2016	VAN TOL, KATHERINE	AM FUNDS FUNDAMENTAL INVESTORS C	0.00	24.87	0.00	24.87	40.0	13.18
07/18/2016	VAN TOL, KATHERINE	AM FUNDS FUNDAMENTAL INVESTORS C	0.00	24.34	0.00	24.34	40.0	12.90
08/15/2016	VAN TOL, KATHERINE	AM FUNDS FUNDAMENTAL INVESTORS C	0.00	25.80	0.00	25.80	40.0	13.67
09/16/2016	VAN TOL, KATHERINE	AM FUNDS FUNDAMENTAL INVESTORS C	0.00	26.24	0.00	26.24	40.0	13.91
10/17/2016	VAN TOL, KATHERINE	AM FUNDS FUNDAMENTAL INVESTORS C	0.00	25.20	0.00	25.20	40.0	13.36
11/18/2016	VAN TOL, KATHERINE	AM FUNDS FUNDAMENTAL INVESTORS C	0.00	26.15	0.00	26.15	40.0	13.86
12/15/2016	VAN TOL, KATHERINE	AM FUNDS FUNDAMENTAL INVESTORS C	0.00	25.63	0.00	25.63	40.0	13.58
02/05/2018	GEHRKE, ROBERT	AMERITAS MEDLEY	53,519.34	33.45	0.00	33.45	40.0	17.73
11/17/2016	ATKINSON, VONDA	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	59.39	0.00	59.39	40.0	31.48

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u> OVERRIDE TRANSACTIONS </u>								
<u> BROKER: JACK, M137 MICHALETZ #287 </u>								
12/12/2016	ATKINSON, VONDA	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	57.85	0.00	57.85	40.0	30.66
02/16/2016	SMITH-GROVER, SUSAN	DAVIS NEW YORK VENTURE A	0.00	0.76	0.00	0.76	40.0	0.40
03/14/2016	SMITH-GROVER, SUSAN	DAVIS NEW YORK VENTURE A	0.00	0.68	0.00	0.68	40.0	0.36
04/20/2016	SMITH-GROVER, SUSAN	DAVIS NEW YORK VENTURE A	0.00	0.77	0.00	0.77	40.0	0.41
05/16/2016	SMITH-GROVER, SUSAN	DAVIS NEW YORK VENTURE A	0.00	0.78	0.00	0.78	40.0	0.41
06/16/2016	SMITH-GROVER, SUSAN	DAVIS NEW YORK VENTURE A	0.00	0.82	0.00	0.82	40.0	0.43
07/15/2016	SMITH-GROVER, SUSAN	DAVIS NEW YORK VENTURE A	0.00	0.80	0.00	0.80	40.0	0.42
08/15/2016	SMITH-GROVER, SUSAN	DAVIS NEW YORK VENTURE A	0.00	0.78	0.00	0.78	40.0	0.41
09/16/2016	SMITH-GROVER, SUSAN	DAVIS NEW YORK VENTURE A	0.00	0.81	0.00	0.81	40.0	0.43
10/17/2016	SMITH-GROVER, SUSAN	DAVIS NEW YORK VENTURE A	0.00	0.78	0.00	0.78	40.0	0.41
11/11/2016	SMITH-GROVER, SUSAN	DAVIS NEW YORK VENTURE A	0.00	0.81	0.00	0.81	40.0	0.43
12/16/2016	SMITH-GROVER, SUSAN	DAVIS NEW YORK VENTURE A	0.00	0.80	0.00	0.80	40.0	0.42
02/11/2016	SMITH-GROVER, SUSAN	DELAWARE VALUE A	0.00	0.65	0.00	0.65	40.0	0.34
03/11/2016	SMITH-GROVER, SUSAN	DELAWARE VALUE A	0.00	0.61	0.00	0.61	40.0	0.32
04/14/2016	SMITH-GROVER, SUSAN	DELAWARE VALUE A	0.00	0.69	0.00	0.69	40.0	0.37
05/16/2016	SMITH-GROVER, SUSAN	DELAWARE VALUE A	0.00	0.69	0.00	0.69	40.0	0.37
06/15/2016	SMITH-GROVER, SUSAN	DELAWARE VALUE A	0.00	0.73	0.00	0.73	40.0	0.39
07/18/2016	SMITH-GROVER, SUSAN	DELAWARE VALUE A	0.00	0.72	0.00	0.72	40.0	0.38
08/11/2016	SMITH-GROVER, SUSAN	DELAWARE VALUE A	0.00	0.77	0.00	0.77	40.0	0.41
09/13/2016	SMITH-GROVER, SUSAN	DELAWARE VALUE A	0.00	0.77	0.00	0.77	40.0	0.41
10/19/2016	SMITH-GROVER, SUSAN	DELAWARE VALUE A	0.00	0.73	0.00	0.73	40.0	0.39
11/17/2016	SMITH-GROVER, SUSAN	DELAWARE VALUE A	0.00	0.75	0.00	0.75	40.0	0.40
12/29/2016	SMITH-GROVER, SUSAN	DELAWARE VALUE A	0.00	0.73	0.00	0.73	40.0	0.39
02/10/2016	ATKINSON, VONDA	DREYFUS WORLDWIDE GROWTH FUND CLASS	0.00	3.65	0.00	3.65	40.0	1.93
03/10/2016	ATKINSON, VONDA	DREYFUS WORLDWIDE GROWTH FUND CLASS	0.00	3.45	0.00	3.45	40.0	1.83
04/15/2016	ATKINSON, VONDA	DREYFUS WORLDWIDE GROWTH FUND CLASS	0.00	3.86	0.00	3.86	40.0	2.05
05/11/2016	ATKINSON, VONDA	DREYFUS WORLDWIDE GROWTH FUND CLASS	0.00	3.84	0.00	3.84	40.0	2.04
06/10/2016	ATKINSON, VONDA	DREYFUS WORLDWIDE GROWTH FUND CLASS	0.00	3.94	0.00	3.94	40.0	2.09
07/13/2016	ATKINSON, VONDA	DREYFUS WORLDWIDE GROWTH FUND CLASS	0.00	3.82	0.00	3.82	40.0	2.02
08/09/2016	ATKINSON, VONDA	DREYFUS WORLDWIDE GROWTH FUND CLASS	0.00	4.06	0.00	4.06	40.0	2.15
09/12/2016	ATKINSON, VONDA	DREYFUS WORLDWIDE GROWTH FUND CLASS	0.00	4.10	0.00	4.10	40.0	2.17
10/11/2016	ATKINSON, VONDA	DREYFUS WORLDWIDE GROWTH FUND CLASS	0.00	3.93	0.00	3.93	40.0	2.08
11/15/2016	ATKINSON, VONDA	DREYFUS WORLDWIDE GROWTH FUND CLASS	0.00	4.02	0.00	4.02	40.0	2.13

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<u> OVERRIDE TRANSACTIONS </u>								
<u> BROKER: JACK, M137 MICHALETZ #287 </u>								
12/13/2016	ATKINSON, VONDA	DREYFUS WORLDWIDE GROWTH FUND CLASS	0.00	3.81	0.00	3.81	40.0	2.02
04/26/2016	SMITH-GROVER, SUSAN	DWS DEUTSCHE EQUITY DIVIDEND FUND-A	0.00	2.49	0.00	2.49	40.0	1.32
07/25/2016	SMITH-GROVER, SUSAN	DWS DEUTSCHE EQUITY DIVIDEND FUND-A	0.00	2.68	0.00	2.68	40.0	1.42
10/27/2016	SMITH-GROVER, SUSAN	DWS DEUTSCHE EQUITY DIVIDEND FUND-A	0.00	2.86	0.00	2.86	40.0	1.52
04/15/2016	GEHRKE, DEBORAH	FRANKLIN INCOME C	0.00	0.69	0.00	0.69	40.0	0.37
05/13/2016	GEHRKE, DEBORAH	FRANKLIN INCOME C	0.00	1.14	0.00	1.14	40.0	0.60
04/15/2016	GEHRKE, DEBORAH	FRANKLIN STRATEGIC INCOME C	0.00	0.67	0.00	0.67	40.0	0.36
05/13/2016	GEHRKE, DEBORAH	FRANKLIN STRATEGIC INCOME C	0.00	1.13	0.00	1.13	40.0	0.60
02/15/2018	MURRY, CHARLES	GPB AUTOMOTIVE PORTFOLIO LP	6,500.00	455.00	0.00	455.00	40.0	241.15
04/14/2016	ATKINSON, VONDA	INVESCO INTERNATIONAL GROWTH A	0.00	13.73	0.00	13.73	40.0	7.28
07/19/2016	ATKINSON, VONDA	INVESCO INTERNATIONAL GROWTH A	0.00	35.32	0.00	35.32	40.0	18.72
10/17/2016	ATKINSON, VONDA	INVESCO INTERNATIONAL GROWTH A	0.00	36.23	0.00	36.23	40.0	19.20
04/14/2016	ATKINSON, VONDA	INVESCO MIDCAP GROWTH A	0.00	13.64	0.00	13.64	40.0	7.23
07/19/2016	ATKINSON, VONDA	INVESCO MIDCAP GROWTH A	0.00	14.67	0.00	14.67	40.0	7.78
10/17/2016	ATKINSON, VONDA	INVESCO MIDCAP GROWTH A	0.00	15.56	0.00	15.56	40.0	8.25
03/18/2016	GROMMERSCH, STACI	JH CLASSIC VALUE A	0.00	0.03	0.00	0.03	40.0	0.02
04/15/2016	GROMMERSCH, STACI	JH CLASSIC VALUE A	0.00	0.04	0.00	0.04	40.0	0.02
05/23/2016	GROMMERSCH, STACI	JH CLASSIC VALUE A	0.00	0.04	0.00	0.04	40.0	0.02
06/27/2016	GROMMERSCH, STACI	JH CLASSIC VALUE A	0.00	0.04	0.00	0.04	40.0	0.02
07/15/2016	GROMMERSCH, STACI	JH CLASSIC VALUE A	0.00	0.04	0.00	0.04	40.0	0.02
08/16/2016	GROMMERSCH, STACI	JH CLASSIC VALUE A	0.00	0.04	0.00	0.04	40.0	0.02
09/16/2016	GROMMERSCH, STACI	JH CLASSIC VALUE A	0.00	0.04	0.00	0.04	40.0	0.02
10/24/2016	GROMMERSCH, STACI	JH CLASSIC VALUE A	0.00	0.04	0.00	0.04	40.0	0.02
11/18/2016	GROMMERSCH, STACI	JH CLASSIC VALUE A	0.00	0.05	0.00	0.05	40.0	0.03
12/16/2016	GROMMERSCH, STACI	JH CLASSIC VALUE A	0.00	0.05	0.00	0.05	40.0	0.03
02/14/2018	BLOCK, EUGENE	JH DISCIPLINED VALUE INT'L C	0.00	1.43	0.00	1.43	40.0	0.76
02/14/2018	ROBERTS, MICHELLE	JH DISCIPLINED VALUE INT'L C	0.00	0.24	0.00	0.24	40.0	0.13
02/14/2018	WALLEM, HARRY	JH FINANCIAL INDUSTRIES A	0.00	2.68	0.00	2.68	40.0	1.42
02/14/2018	BLOCK, EUGENE	JH INCOME B	0.00	1.13	0.00	1.13	40.0	0.60
03/18/2016	GROMMERSCH, STACI	JH LARGE CAP EQUITY A	0.00	0.04	0.00	0.04	40.0	0.02
04/15/2016	GROMMERSCH, STACI	JH LARGE CAP EQUITY A	0.00	0.04	0.00	0.04	40.0	0.02
05/23/2016	GROMMERSCH, STACI	JH LARGE CAP EQUITY A	0.00	0.04	0.00	0.04	40.0	0.02
06/27/2016	GROMMERSCH, STACI	JH LARGE CAP EQUITY A	0.00	0.05	0.00	0.05	40.0	0.03

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<u>VERRIDE TRANSACTIONS</u>								
<u>BROKER: JACK, M137 MICHALETZ #287</u>								
07/15/2016	GROMMERSCH, STACI	JH LARGE CAP EQUITY A	0.00	0.04	0.00	0.04	40.0	0.02
08/16/2016	GROMMERSCH, STACI	JH LARGE CAP EQUITY A	0.00	0.05	0.00	0.05	40.0	0.03
09/16/2016	GROMMERSCH, STACI	JH LARGE CAP EQUITY A	0.00	0.05	0.00	0.05	40.0	0.03
10/24/2016	GROMMERSCH, STACI	JH LARGE CAP EQUITY A	0.00	0.05	0.00	0.05	40.0	0.03
11/18/2016	GROMMERSCH, STACI	JH LARGE CAP EQUITY A	0.00	0.05	0.00	0.05	40.0	0.03
12/16/2016	GROMMERSCH, STACI	JH LARGE CAP EQUITY A	0.00	0.05	0.00	0.05	40.0	0.03
02/14/2018	WALLEM, HARRY	JH LARGE CAP EQUITY A	0.00	4.39	0.00	4.39	40.0	2.33
02/14/2018	BLOCK, EUGENE	JH LARGE CAP EQUITY A	0.00	1.88	0.00	1.88	40.0	1.00
02/14/2018	BLOCK, EUGENE	JH LARGE CAP EQUITY B	0.00	1.14	0.00	1.14	40.0	0.60
02/14/2018	BLOCK, EUGENE	JH LARGE CAP EQUITY C	0.00	2.02	0.00	2.02	40.0	1.07
02/14/2018	ROBERTS, MICHELLE	JH LARGE CAP EQUITY C	0.00	0.06	0.00	0.06	40.0	0.03
02/14/2018	TOLZMANN, RICHARD	JH LIFESTYLE AGGRESSIVE PORTFOLIO C	0.00	2.23	0.00	2.23	40.0	1.18
02/14/2018	SCHARMER, KEVIN	JH LIFESTYLE CONSERVATIVE PORT A	0.00	5.93	0.00	5.93	40.0	3.14
02/14/2018	SCHARMER, KEVIN	JH LIFESTYLE CONSERVATIVE PORT B	0.00	1.71	0.00	1.71	40.0	0.91
02/14/2018	OLSON, HARLAN	JH LIFESTYLE GROWTH PORTFOLIO C	0.00	3.34	0.00	3.34	40.0	1.77
02/14/2018	HERMEL, ROBERT	JH LIFESTYLE GROWTH PORTFOLIO C	0.00	5.23	0.00	5.23	40.0	2.77
02/14/2018	WALLEM, HARRY	JH NEW OPPORTUNITIES A	0.00	2.38	0.00	2.38	40.0	1.26
02/14/2018	BLOCK, EUGENE	JH NEW OPPORTUNITIES A	0.00	0.70	0.00	0.70	40.0	0.37
02/14/2018	BLOCK, EUGENE	JH NEW OPPORTUNITIES C	0.00	1.51	0.00	1.51	40.0	0.80
02/19/2016	STEFFL, CHRISTINE	JH RANIER GROWTH A	0.00	0.30	0.00	0.30	40.0	0.16
02/19/2016	STEFFL, JOSEPH	JH RANIER GROWTH A	0.00	0.39	0.00	0.39	40.0	0.21
03/18/2016	STEFFL, CHRISTINE	JH RANIER GROWTH A	0.00	0.27	0.00	0.27	40.0	0.14
03/18/2016	STEFFL, JOSEPH	JH RANIER GROWTH A	0.00	0.35	0.00	0.35	40.0	0.19
04/15/2016	STEFFL, CHRISTINE	JH RANIER GROWTH A	0.00	0.31	0.00	0.31	40.0	0.16
04/15/2016	STEFFL, JOSEPH	JH RANIER GROWTH A	0.00	0.40	0.00	0.40	40.0	0.21
05/23/2016	STEFFL, CHRISTINE	JH RANIER GROWTH A	0.00	0.22	0.00	0.22	40.0	0.12
05/23/2016	STEFFL, JOSEPH	JH RANIER GROWTH A	0.00	0.28	0.00	0.28	40.0	0.15
03/18/2016	ATKINSON, VONDA	JH RANIER GROWTH T	0.00	0.35	0.00	0.35	40.0	0.19
04/15/2016	ATKINSON, VONDA	JH RANIER GROWTH T	0.00	2.25	0.00	2.25	40.0	1.19
05/23/2016	ATKINSON, VONDA	JH RANIER GROWTH T	0.00	1.57	0.00	1.57	40.0	0.83
02/14/2018	ROBERTS, MICHELLE	JH SMALL COMPANY FUND A	0.00	0.08	0.00	0.08	40.0	0.04
05/23/2016	STEFFL, CHRISTINE	JH STRATEGIC GROWTH A	0.00	0.09	0.00	0.09	40.0	0.05
05/23/2016	STEFFL, JOSEPH	JH STRATEGIC GROWTH A	0.00	0.12	0.00	0.12	40.0	0.06

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<u> OVERRIDE TRANSACTIONS </u>								
<u> BROKER: JACK, M137 MICHALETZ #287 </u>								
05/23/2016	ATKINSON, VONDA	JH STRATEGIC GROWTH A	0.00	0.64	0.00	0.64	40.0	0.34
06/27/2016	STEFFL, CHRISTINE	JH STRATEGIC GROWTH A	0.00	0.32	0.00	0.32	40.0	0.17
06/27/2016	STEFFL, JOSEPH	JH STRATEGIC GROWTH A	0.00	0.41	0.00	0.41	40.0	0.22
06/27/2016	ATKINSON, VONDA	JH STRATEGIC GROWTH A	0.00	2.20	0.00	2.20	40.0	1.17
07/15/2016	STEFFL, CHRISTINE	JH STRATEGIC GROWTH A	0.00	0.31	0.00	0.31	40.0	0.16
07/15/2016	STEFFL, JOSEPH	JH STRATEGIC GROWTH A	0.00	0.40	0.00	0.40	40.0	0.21
07/15/2016	ATKINSON, VONDA	JH STRATEGIC GROWTH A	0.00	2.14	0.00	2.14	40.0	1.13
08/16/2016	STEFFL, CHRISTINE	JH STRATEGIC GROWTH A	0.00	0.33	0.00	0.33	40.0	0.17
08/16/2016	STEFFL, JOSEPH	JH STRATEGIC GROWTH A	0.00	0.43	0.00	0.43	40.0	0.23
08/16/2016	ATKINSON, VONDA	JH STRATEGIC GROWTH A	0.00	2.27	0.00	2.27	40.0	1.20
09/16/2016	STEFFL, CHRISTINE	JH STRATEGIC GROWTH A	0.00	0.33	0.00	0.33	40.0	0.17
09/16/2016	STEFFL, JOSEPH	JH STRATEGIC GROWTH A	0.00	0.43	0.00	0.43	40.0	0.23
09/16/2016	ATKINSON, VONDA	JH STRATEGIC GROWTH A	0.00	2.31	0.00	2.31	40.0	1.22
10/24/2016	STEFFL, CHRISTINE	JH STRATEGIC GROWTH A	0.00	0.32	0.00	0.32	40.0	0.17
10/24/2016	STEFFL, JOSEPH	JH STRATEGIC GROWTH A	0.00	0.42	0.00	0.42	40.0	0.22
10/24/2016	ATKINSON, VONDA	JH STRATEGIC GROWTH A	0.00	2.21	0.00	2.21	40.0	1.17
11/18/2016	STEFFL, CHRISTINE	JH STRATEGIC GROWTH A	0.00	0.33	0.00	0.33	40.0	0.17
11/18/2016	STEFFL, JOSEPH	JH STRATEGIC GROWTH A	0.00	0.43	0.00	0.43	40.0	0.23
11/18/2016	ATKINSON, VONDA	JH STRATEGIC GROWTH A	0.00	2.28	0.00	2.28	40.0	1.21
12/16/2016	STEFFL, CHRISTINE	JH STRATEGIC GROWTH A	0.00	0.32	0.00	0.32	40.0	0.17
12/16/2016	STEFFL, JOSEPH	JH STRATEGIC GROWTH A	0.00	0.41	0.00	0.41	40.0	0.22
12/16/2016	ATKINSON, VONDA	JH STRATEGIC GROWTH A	0.00	2.19	0.00	2.19	40.0	1.16
02/14/2018	BLOCK, EUGENE	JH STRATEGIC GROWTH A	0.00	1.28	0.00	1.28	40.0	0.68
02/14/2018	BLOCK, EUGENE	JH STRATEGIC GROWTH C	0.00	1.99	0.00	1.99	40.0	1.05
02/14/2018	WALLEM, HARRY	JH STRATEGIC INCOME A	0.00	2.70	0.00	2.70	40.0	1.43
02/14/2018	BLOCK, EUGENE	JH STRATEGIC INCOME A	0.00	0.50	0.00	0.50	40.0	0.27
02/14/2018	BLOCK, EUGENE	JH STRATEGIC INCOME C	0.00	1.34	0.00	1.34	40.0	0.71
02/14/2018	ROBERTS, MICHELLE	JH STRATEGIC INCOME C	0.00	0.85	0.00	0.85	40.0	0.45
02/14/2018	KUEHLWEIN, RICHARD	JH STRATEGIC INCOME C	0.00	7.96	0.00	7.96	40.0	4.22
02/14/2018	WALLEM, HARRY	JN DISCIPLINED VALUE INT'L A	0.00	2.07	0.00	2.07	40.0	1.10
02/14/2018	BLOCK, EUGENE	JN DISCIPLINED VALUE INT'L A	0.00	0.65	0.00	0.65	40.0	0.34
02/08/2018	LYNAUGH, ARLENE	JNL PERSPECTIVE II 04/14	200,000.00	4,000.00	0.00	4,000.00	40.0	2,120.00
02/14/2018	KUEHLWEIN, RICHARD	JOHN HANCOCK CLASSIC VALUE C	0.00	9.06	0.00	9.06	40.0	4.80

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<u> BROKER: JACK, M137 MICHALETZ #287 </u>								
02/14/2018	ROBERTS, MICHELLE	JOHN HANCOCK FOCUSED HIGH YIELD C	0.00	0.11	0.00	0.11	40.0	0.06
02/14/2018	KUEHLWEIN, RICHARD	JOHN HANCOCK FOCUSED HIGH YIELD C	0.00	7.07	0.00	7.07	40.0	3.75
02/14/2018	HENZE, DUANE	JOHN HANCOCK LIFESTYLE AGGR PORTFOL	0.00	0.02	0.00	0.02	40.0	0.01
03/18/2016	GROMMERSCH, STACI	JOHN HANCOCK LIFESTYLE BALANCED POR	0.00	0.03	0.00	0.03	40.0	0.02
04/15/2016	GROMMERSCH, STACI	JOHN HANCOCK LIFESTYLE BALANCED POR	0.00	0.04	0.00	0.04	40.0	0.02
05/23/2016	GROMMERSCH, STACI	JOHN HANCOCK LIFESTYLE BALANCED POR	0.00	0.04	0.00	0.04	40.0	0.02
06/27/2016	GROMMERSCH, STACI	JOHN HANCOCK LIFESTYLE BALANCED POR	0.00	0.04	0.00	0.04	40.0	0.02
07/15/2016	GROMMERSCH, STACI	JOHN HANCOCK LIFESTYLE BALANCED POR	0.00	0.04	0.00	0.04	40.0	0.02
08/16/2016	GROMMERSCH, STACI	JOHN HANCOCK LIFESTYLE BALANCED POR	0.00	0.04	0.00	0.04	40.0	0.02
09/16/2016	GROMMERSCH, STACI	JOHN HANCOCK LIFESTYLE BALANCED POR	0.00	0.04	0.00	0.04	40.0	0.02
10/24/2016	GROMMERSCH, STACI	JOHN HANCOCK LIFESTYLE BALANCED POR	0.00	0.04	0.00	0.04	40.0	0.02
11/18/2016	GROMMERSCH, STACI	JOHN HANCOCK LIFESTYLE BALANCED POR	0.00	0.04	0.00	0.04	40.0	0.02
12/16/2016	GROMMERSCH, STACI	JOHN HANCOCK LIFESTYLE BALANCED POR	0.00	0.04	0.00	0.04	40.0	0.02
02/14/2018	KUEHLWEIN, RICHARD	JOHN HANCOCK US GLOBAL LEADERS GRW	0.00	6.75	0.00	6.75	40.0	3.58
02/06/2018	STRADTMAN, ROBERT	LBL VUL	110,608.36	55.31	0.00	55.31	40.0	29.31
02/04/2018	LORENTZ, ANDREW	METLIFE LIFE INS	200.00	1.00	0.00	1.00	40.0	0.53
02/08/2016	SWARD, KIM	MFS AGGRESSIVE GROWTH ALLOCATION C	0.00	1.24	0.00	1.24	40.0	0.66
03/14/2016	SWARD, KIM	MFS AGGRESSIVE GROWTH ALLOCATION C	0.00	1.14	0.00	1.14	40.0	0.60
04/15/2016	SWARD, KIM	MFS AGGRESSIVE GROWTH ALLOCATION C	0.00	1.29	0.00	1.29	40.0	0.68
05/17/2016	SWARD, KIM	MFS AGGRESSIVE GROWTH ALLOCATION C	0.00	1.29	0.00	1.29	40.0	0.68
06/16/2016	SWARD, KIM	MFS AGGRESSIVE GROWTH ALLOCATION C	0.00	1.34	0.00	1.34	40.0	0.71
07/20/2016	SWARD, KIM	MFS AGGRESSIVE GROWTH ALLOCATION C	0.00	30.27	0.00	30.27	40.0	16.04
08/16/2016	SWARD, KIM	MFS AGGRESSIVE GROWTH ALLOCATION C	0.00	32.03	0.00	32.03	40.0	16.98
09/15/2016	SWARD, KIM	MFS AGGRESSIVE GROWTH ALLOCATION C	0.00	32.65	0.00	32.65	40.0	17.30
10/20/2016	SWARD, KIM	MFS AGGRESSIVE GROWTH ALLOCATION C	0.00	31.42	0.00	31.42	40.0	16.65
11/14/2016	SWARD, KIM	MFS AGGRESSIVE GROWTH ALLOCATION C	0.00	32.13	0.00	32.13	40.0	17.03
12/19/2016	SWARD, KIM	MFS AGGRESSIVE GROWTH ALLOCATION C	0.00	30.72	0.00	30.72	40.0	16.28
02/08/2016	WHITE, STACEY	MFS GROWTH ALLOCATION C	0.00	0.37	0.00	0.37	40.0	0.20
03/14/2016	SORUM, JEFFREY	MFS GROWTH ALLOCATION C	0.00	0.12	0.00	0.12	40.0	0.06
03/14/2016	WHITE, STACEY	MFS GROWTH ALLOCATION C	0.00	0.34	0.00	0.34	40.0	0.18
04/15/2016	SORUM, JEFFREY	MFS GROWTH ALLOCATION C	0.00	0.14	0.00	0.14	40.0	0.07
04/15/2016	WHITE, STACEY	MFS GROWTH ALLOCATION C	0.00	0.39	0.00	0.39	40.0	0.21
05/17/2016	SORUM, JEFFREY	MFS GROWTH ALLOCATION C	0.00	0.14	0.00	0.14	40.0	0.07

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<u> OVERRIDE TRANSACTIONS </u>								
<u> BROKER: JACK, M137 MICHALETZ #287 </u>								
05/17/2016	WHITE, STACEY	MFS GROWTH ALLOCATION C	0.00	0.38	0.00	0.38	40.0	0.20
06/16/2016	SORUM, JEFFREY	MFS GROWTH ALLOCATION C	0.00	0.15	0.00	0.15	40.0	0.08
06/16/2016	WHITE, STACEY	MFS GROWTH ALLOCATION C	0.00	0.40	0.00	0.40	40.0	0.21
07/20/2016	SORUM, JEFFREY	MFS GROWTH ALLOCATION C	0.00	3.69	0.00	3.69	40.0	1.96
07/20/2016	WHITE, STACEY	MFS GROWTH ALLOCATION C	0.00	9.88	0.00	9.88	40.0	5.24
08/16/2016	SORUM, JEFFREY	MFS GROWTH ALLOCATION C	0.00	3.90	0.00	3.90	40.0	2.07
08/16/2016	WHITE, STACEY	MFS GROWTH ALLOCATION C	0.00	10.44	0.00	10.44	40.0	5.53
09/15/2016	SORUM, JEFFREY	MFS GROWTH ALLOCATION C	0.00	3.97	0.00	3.97	40.0	2.10
09/15/2016	WHITE, STACEY	MFS GROWTH ALLOCATION C	0.00	10.61	0.00	10.61	40.0	5.62
10/20/2016	SORUM, JEFFREY	MFS GROWTH ALLOCATION C	0.00	3.82	0.00	3.82	40.0	2.02
10/20/2016	WHITE, STACEY	MFS GROWTH ALLOCATION C	0.00	10.22	0.00	10.22	40.0	5.42
11/14/2016	SORUM, JEFFREY	MFS GROWTH ALLOCATION C	0.00	3.92	0.00	3.92	40.0	2.08
11/14/2016	WHITE, STACEY	MFS GROWTH ALLOCATION C	0.00	10.48	0.00	10.48	40.0	5.55
12/19/2016	SORUM, JEFFREY	MFS GROWTH ALLOCATION C	0.00	3.75	0.00	3.75	40.0	1.99
12/19/2016	WHITE, STACEY	MFS GROWTH ALLOCATION C	0.00	10.03	0.00	10.03	40.0	5.32
02/22/2016	SORENSEN, JOSHUA	OPPENHEIMER CAPITAL APPRECIATION A	0.00	0.31	0.00	0.31	40.0	0.16
03/17/2016	SORENSEN, JOSHUA	OPPENHEIMER CAPITAL APPRECIATION A	0.00	0.28	0.00	0.28	40.0	0.15
04/21/2016	SORENSEN, JOSHUA	OPPENHEIMER CAPITAL APPRECIATION A	0.00	0.31	0.00	0.31	40.0	0.16
05/19/2016	SORENSEN, JOSHUA	OPPENHEIMER CAPITAL APPRECIATION A	0.00	0.30	0.00	0.30	40.0	0.16
06/30/2016	SORENSEN, JOSHUA	OPPENHEIMER CAPITAL APPRECIATION A	0.00	0.31	0.00	0.31	40.0	0.16
07/18/2016	SORENSEN, JOSHUA	OPPENHEIMER CAPITAL APPRECIATION A	0.00	0.30	0.00	0.30	40.0	0.16
08/24/2016	SORENSEN, JOSHUA	OPPENHEIMER CAPITAL APPRECIATION A	0.00	0.32	0.00	0.32	40.0	0.17
09/22/2016	SORENSEN, JOSHUA	OPPENHEIMER CAPITAL APPRECIATION A	0.00	0.33	0.00	0.33	40.0	0.17
10/21/2016	SORENSEN, JOSHUA	OPPENHEIMER CAPITAL APPRECIATION A	0.00	0.32	0.00	0.32	40.0	0.17
11/21/2016	SORENSEN, JOSHUA	OPPENHEIMER CAPITAL APPRECIATION A	0.00	0.33	0.00	0.33	40.0	0.17
12/19/2016	SORENSEN, JOSHUA	OPPENHEIMER CAPITAL APPRECIATION A	0.00	0.31	0.00	0.31	40.0	0.16
04/21/2016	ZIEGLER, KRISTINE	PUTNAM ASSET ALLOC GROWTH A	0.00	0.81	0.00	0.81	40.0	0.43
05/26/2016	ZIEGLER, KRISTINE	PUTNAM ASSET ALLOC GROWTH A	0.00	1.76	0.00	1.76	40.0	0.93
06/23/2016	ZIEGLER, KRISTINE	PUTNAM ASSET ALLOC GROWTH A	0.00	1.81	0.00	1.81	40.0	0.96
07/26/2016	ZIEGLER, KRISTINE	PUTNAM ASSET ALLOC GROWTH A	0.00	1.88	0.00	1.88	40.0	1.00
08/19/2016	ZIEGLER, KRISTINE	PUTNAM ASSET ALLOC GROWTH A	0.00	2.06	0.00	2.06	40.0	1.09
09/20/2016	ZIEGLER, KRISTINE	PUTNAM ASSET ALLOC GROWTH A	0.00	2.11	0.00	2.11	40.0	1.12
10/25/2016	ZIEGLER, KRISTINE	PUTNAM ASSET ALLOC GROWTH A	0.00	2.04	0.00	2.04	40.0	1.08

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<u> OVERRIDE TRANSACTIONS </u>								
<u> BROKER: JACK, M137 MICHALETZ #287 </u>								
11/23/2016	ZIEGLER, KRISTINE	PUTNAM ASSET ALLOC GROWTH A	0.00	2.11	0.00	2.11	40.0	1.12
12/23/2016	ZIEGLER, KRISTINE	PUTNAM ASSET ALLOC GROWTH A	0.00	2.06	0.00	2.06	40.0	1.09
02/14/2018	ZIEGLER, KRISTINE	PUTNAM ASSET ALLOC GROWTH A	50.00	2.50	12.00	-9.50	40.0	-5.04
02/22/2016	FLO, PAUL	PUTNAM CAPITAL SPECTRUM C	0.00	2.01	0.00	2.01	40.0	1.07
02/22/2016	FLO, PAUL	PUTNAM CAPITAL SPECTRUM C	0.00	1.86	0.00	1.86	40.0	0.99
02/22/2016	HAGER, PETER	PUTNAM CAPITAL SPECTRUM C	0.00	1.91	0.00	1.91	40.0	1.01
02/22/2016	LORENTZ, ANDREW	PUTNAM CAPITAL SPECTRUM C	0.00	0.09	0.00	0.09	40.0	0.05
02/22/2016	TANHOFF, ROBERT	PUTNAM CAPITAL SPECTRUM C	0.00	7.72	0.00	7.72	40.0	4.09
03/22/2016	FLO, PAUL	PUTNAM CAPITAL SPECTRUM C	0.00	1.80	0.00	1.80	40.0	0.95
03/22/2016	FLO, PAUL	PUTNAM CAPITAL SPECTRUM C	0.00	1.98	0.00	1.98	40.0	1.05
03/22/2016	HAGER, PETER	PUTNAM CAPITAL SPECTRUM C	0.00	1.72	0.00	1.72	40.0	0.91
03/22/2016	LORENTZ, ANDREW	PUTNAM CAPITAL SPECTRUM C	0.00	0.10	0.00	0.10	40.0	0.05
03/22/2016	TANHOFF, ROBERT	PUTNAM CAPITAL SPECTRUM C	0.00	6.93	0.00	6.93	40.0	3.67
04/21/2016	FLO, PAUL	PUTNAM CAPITAL SPECTRUM C	0.00	2.02	0.00	2.02	40.0	1.07
04/21/2016	FLO, PAUL	PUTNAM CAPITAL SPECTRUM C	0.00	2.31	0.00	2.31	40.0	1.22
04/21/2016	HAGER, PETER	PUTNAM CAPITAL SPECTRUM C	0.00	1.93	0.00	1.93	40.0	1.02
04/21/2016	LORENTZ, ANDREW	PUTNAM CAPITAL SPECTRUM C	0.00	0.11	0.00	0.11	40.0	0.06
04/21/2016	TANHOFF, ROBERT	PUTNAM CAPITAL SPECTRUM C	0.00	7.78	0.00	7.78	40.0	4.12
05/26/2016	FLO, PAUL	PUTNAM CAPITAL SPECTRUM C	0.00	1.97	0.00	1.97	40.0	1.04
05/26/2016	FLO, PAUL	PUTNAM CAPITAL SPECTRUM C	0.00	2.51	0.00	2.51	40.0	1.33
05/26/2016	HAGER, PETER	PUTNAM CAPITAL SPECTRUM C	0.00	1.88	0.00	1.88	40.0	1.00
05/26/2016	LORENTZ, ANDREW	PUTNAM CAPITAL SPECTRUM C	0.00	0.11	0.00	0.11	40.0	0.06
05/26/2016	TANHOFF, ROBERT	PUTNAM CAPITAL SPECTRUM C	0.00	7.58	0.00	7.58	40.0	4.02
06/23/2016	FLO, PAUL	PUTNAM CAPITAL SPECTRUM C	0.00	2.01	0.00	2.01	40.0	1.07
06/23/2016	FLO, PAUL	PUTNAM CAPITAL SPECTRUM C	0.00	2.56	0.00	2.56	40.0	1.36
06/23/2016	HAGER, PETER	PUTNAM CAPITAL SPECTRUM C	0.00	1.92	0.00	1.92	40.0	1.02
06/23/2016	LORENTZ, ANDREW	PUTNAM CAPITAL SPECTRUM C	0.00	0.11	0.00	0.11	40.0	0.06
06/23/2016	TANHOFF, ROBERT	PUTNAM CAPITAL SPECTRUM C	0.00	3.74	0.00	3.74	40.0	1.98
07/26/2016	FLO, PAUL	PUTNAM CAPITAL SPECTRUM C	0.00	1.99	0.00	1.99	40.0	1.05
07/26/2016	FLO, PAUL	PUTNAM CAPITAL SPECTRUM C	0.00	2.72	0.00	2.72	40.0	1.44
07/26/2016	HAGER, PETER	PUTNAM CAPITAL SPECTRUM C	0.00	1.89	0.00	1.89	40.0	1.00
07/26/2016	LORENTZ, ANDREW	PUTNAM CAPITAL SPECTRUM C	0.00	1.94	0.00	1.94	40.0	1.03
08/19/2016	FLO, PAUL	PUTNAM CAPITAL SPECTRUM C	0.00	2.06	0.00	2.06	40.0	1.09

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<u> OVERRIDE TRANSACTIONS </u>								
<u> BROKER: JACK, M137 MICHALETZ #287 </u>								
08/19/2016	FLO, PAUL	PUTNAM CAPITAL SPECTRUM C	0.00	2.82	0.00	2.82	40.0	1.49
08/19/2016	HAGER, PETER	PUTNAM CAPITAL SPECTRUM C	0.00	1.96	0.00	1.96	40.0	1.04
08/19/2016	LORENTZ, ANDREW	PUTNAM CAPITAL SPECTRUM C	0.00	2.02	0.00	2.02	40.0	1.07
09/20/2016	FLO, PAUL	PUTNAM CAPITAL SPECTRUM C	0.00	2.07	0.00	2.07	40.0	1.10
09/20/2016	FLO, PAUL	PUTNAM CAPITAL SPECTRUM C	0.00	2.83	0.00	2.83	40.0	1.50
09/20/2016	HAGER, PETER	PUTNAM CAPITAL SPECTRUM C	0.00	1.98	0.00	1.98	40.0	1.05
09/20/2016	LORENTZ, ANDREW	PUTNAM CAPITAL SPECTRUM C	0.00	2.03	0.00	2.03	40.0	1.08
10/25/2016	FLO, PAUL	PUTNAM CAPITAL SPECTRUM C	0.00	2.00	0.00	2.00	40.0	1.06
10/25/2016	FLO, PAUL	PUTNAM CAPITAL SPECTRUM C	0.00	2.74	0.00	2.74	40.0	1.45
10/25/2016	HAGER, PETER	PUTNAM CAPITAL SPECTRUM C	0.00	1.91	0.00	1.91	40.0	1.01
10/25/2016	LORENTZ, ANDREW	PUTNAM CAPITAL SPECTRUM C	0.00	1.96	0.00	1.96	40.0	1.04
11/23/2016	FLO, PAUL	PUTNAM CAPITAL SPECTRUM C	0.00	2.13	0.00	2.13	40.0	1.13
11/23/2016	FLO, PAUL	PUTNAM CAPITAL SPECTRUM C	0.00	2.91	0.00	2.91	40.0	1.54
11/23/2016	HAGER, PETER	PUTNAM CAPITAL SPECTRUM C	0.00	2.03	0.00	2.03	40.0	1.08
11/23/2016	LORENTZ, ANDREW	PUTNAM CAPITAL SPECTRUM C	0.00	2.08	0.00	2.08	40.0	1.10
12/23/2016	FLO, PAUL	PUTNAM CAPITAL SPECTRUM C	0.00	2.06	0.00	2.06	40.0	1.09
12/23/2016	FLO, PAUL	PUTNAM CAPITAL SPECTRUM C	0.00	2.82	0.00	2.82	40.0	1.49
12/23/2016	HAGER, PETER	PUTNAM CAPITAL SPECTRUM C	0.00	1.97	0.00	1.97	40.0	1.04
12/23/2016	LORENTZ, ANDREW	PUTNAM CAPITAL SPECTRUM C	0.00	2.02	0.00	2.02	40.0	1.07
02/22/2016	FLO, PAUL	PUTNAM EQUITY SPECTRUM C	0.00	1.87	0.00	1.87	40.0	0.99
02/22/2016	FLO, PAUL	PUTNAM EQUITY SPECTRUM C	0.00	1.76	0.00	1.76	40.0	0.93
02/22/2016	HAGER, PETER	PUTNAM EQUITY SPECTRUM C	0.00	1.76	0.00	1.76	40.0	0.93
02/22/2016	LORENTZ, ANDREW	PUTNAM EQUITY SPECTRUM C	0.00	0.12	0.00	0.12	40.0	0.06
02/22/2016	SIEBERG, KYLE	PUTNAM EQUITY SPECTRUM C	0.00	0.28	0.00	0.28	40.0	0.15
02/22/2016	TANHOFF, ROBERT	PUTNAM EQUITY SPECTRUM C	0.00	7.15	0.00	7.15	40.0	3.79
03/22/2016	FLO, PAUL	PUTNAM EQUITY SPECTRUM C	0.00	1.67	0.00	1.67	40.0	0.89
03/22/2016	FLO, PAUL	PUTNAM EQUITY SPECTRUM C	0.00	1.86	0.00	1.86	40.0	0.99
03/22/2016	HAGER, PETER	PUTNAM EQUITY SPECTRUM C	0.00	1.57	0.00	1.57	40.0	0.83
03/22/2016	LORENTZ, ANDREW	PUTNAM EQUITY SPECTRUM C	0.00	0.14	0.00	0.14	40.0	0.07
03/22/2016	SIEBERG, KYLE	PUTNAM EQUITY SPECTRUM C	0.00	0.47	0.00	0.47	40.0	0.25
03/22/2016	TANHOFF, ROBERT	PUTNAM EQUITY SPECTRUM C	0.00	6.37	0.00	6.37	40.0	3.38
04/21/2016	FLO, PAUL	PUTNAM EQUITY SPECTRUM C	0.00	1.89	0.00	1.89	40.0	1.00
04/21/2016	FLO, PAUL	PUTNAM EQUITY SPECTRUM C	0.00	2.19	0.00	2.19	40.0	1.16

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<u> BROKER: JACK, M137 MICHALETZ #287 </u>								
04/21/2016	HAGER, PETER	PUTNAM EQUITY SPECTRUM C	0.00	1.78	0.00	1.78	40.0	0.94
04/21/2016	LORENTZ, ANDREW	PUTNAM EQUITY SPECTRUM C	0.00	0.15	0.00	0.15	40.0	0.08
04/21/2016	SIEBERG, KYLE	PUTNAM EQUITY SPECTRUM C	0.00	0.53	0.00	0.53	40.0	0.28
04/21/2016	TANHOFF, ROBERT	PUTNAM EQUITY SPECTRUM C	0.00	7.21	0.00	7.21	40.0	3.82
05/26/2016	FLO, PAUL	PUTNAM EQUITY SPECTRUM C	0.00	1.85	0.00	1.85	40.0	0.98
05/26/2016	FLO, PAUL	PUTNAM EQUITY SPECTRUM C	0.00	2.38	0.00	2.38	40.0	1.26
05/26/2016	HAGER, PETER	PUTNAM EQUITY SPECTRUM C	0.00	1.74	0.00	1.74	40.0	0.92
05/26/2016	LORENTZ, ANDREW	PUTNAM EQUITY SPECTRUM C	0.00	0.15	0.00	0.15	40.0	0.08
05/26/2016	SIEBERG, KYLE	PUTNAM EQUITY SPECTRUM C	0.00	0.52	0.00	0.52	40.0	0.28
05/26/2016	TANHOFF, ROBERT	PUTNAM EQUITY SPECTRUM C	0.00	7.07	0.00	7.07	40.0	3.75
06/23/2016	FLO, PAUL	PUTNAM EQUITY SPECTRUM C	0.00	1.88	0.00	1.88	40.0	1.00
06/23/2016	FLO, PAUL	PUTNAM EQUITY SPECTRUM C	0.00	2.41	0.00	2.41	40.0	1.28
06/23/2016	HAGER, PETER	PUTNAM EQUITY SPECTRUM C	0.00	1.77	0.00	1.77	40.0	0.94
06/23/2016	LORENTZ, ANDREW	PUTNAM EQUITY SPECTRUM C	0.00	0.15	0.00	0.15	40.0	0.08
06/23/2016	SIEBERG, KYLE	PUTNAM EQUITY SPECTRUM C	0.00	0.52	0.00	0.52	40.0	0.28
06/23/2016	TANHOFF, ROBERT	PUTNAM EQUITY SPECTRUM C	0.00	3.47	0.00	3.47	40.0	1.84
07/26/2016	FLO, PAUL	PUTNAM EQUITY SPECTRUM C	0.00	1.85	0.00	1.85	40.0	0.98
07/26/2016	FLO, PAUL	PUTNAM EQUITY SPECTRUM C	0.00	2.54	0.00	2.54	40.0	1.35
07/26/2016	HAGER, PETER	PUTNAM EQUITY SPECTRUM C	0.00	1.74	0.00	1.74	40.0	0.92
07/26/2016	LORENTZ, ANDREW	PUTNAM EQUITY SPECTRUM C	0.00	1.83	0.00	1.83	40.0	0.97
07/26/2016	SIEBERG, KYLE	PUTNAM EQUITY SPECTRUM C	0.00	0.52	0.00	0.52	40.0	0.28
08/19/2016	FLO, PAUL	PUTNAM EQUITY SPECTRUM C	0.00	1.91	0.00	1.91	40.0	1.01
08/19/2016	FLO, PAUL	PUTNAM EQUITY SPECTRUM C	0.00	2.62	0.00	2.62	40.0	1.39
08/19/2016	HAGER, PETER	PUTNAM EQUITY SPECTRUM C	0.00	1.79	0.00	1.79	40.0	0.95
08/19/2016	LORENTZ, ANDREW	PUTNAM EQUITY SPECTRUM C	0.00	1.89	0.00	1.89	40.0	1.00
08/19/2016	SIEBERG, KYLE	PUTNAM EQUITY SPECTRUM C	0.00	0.53	0.00	0.53	40.0	0.28
09/20/2016	FLO, PAUL	PUTNAM EQUITY SPECTRUM C	0.00	1.93	0.00	1.93	40.0	1.02
09/20/2016	FLO, PAUL	PUTNAM EQUITY SPECTRUM C	0.00	2.66	0.00	2.66	40.0	1.41
09/20/2016	HAGER, PETER	PUTNAM EQUITY SPECTRUM C	0.00	1.82	0.00	1.82	40.0	0.96
09/20/2016	LORENTZ, ANDREW	PUTNAM EQUITY SPECTRUM C	0.00	1.92	0.00	1.92	40.0	1.02
09/20/2016	SIEBERG, KYLE	PUTNAM EQUITY SPECTRUM C	0.00	0.54	0.00	0.54	40.0	0.29
10/25/2016	FLO, PAUL	PUTNAM EQUITY SPECTRUM C	0.00	1.89	0.00	1.89	40.0	1.00
10/25/2016	FLO, PAUL	PUTNAM EQUITY SPECTRUM C	0.00	2.59	0.00	2.59	40.0	1.37

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u> OVERRIDE TRANSACTIONS </u>								
<u>BROKER: JACK, M137 MICHALETZ #287</u>								
10/25/2016	HAGER, PETER	PUTNAM EQUITY SPECTRUM C	0.00	1.77	0.00	1.77	40.0	0.94
10/25/2016	LORENTZ, ANDREW	PUTNAM EQUITY SPECTRUM C	0.00	1.87	0.00	1.87	40.0	0.99
10/25/2016	SIEBERG, KYLE	PUTNAM EQUITY SPECTRUM C	0.00	2.08	0.00	2.08	40.0	1.10
11/23/2016	FLO, PAUL	PUTNAM EQUITY SPECTRUM C	0.00	2.02	0.00	2.02	40.0	1.07
11/23/2016	FLO, PAUL	PUTNAM EQUITY SPECTRUM C	0.00	2.77	0.00	2.77	40.0	1.47
11/23/2016	HAGER, PETER	PUTNAM EQUITY SPECTRUM C	0.00	1.90	0.00	1.90	40.0	1.01
11/23/2016	LORENTZ, ANDREW	PUTNAM EQUITY SPECTRUM C	0.00	2.00	0.00	2.00	40.0	1.06
11/23/2016	SIEBERG, KYLE	PUTNAM EQUITY SPECTRUM C	0.00	6.70	0.00	6.70	40.0	3.55
12/23/2016	FLO, PAUL	PUTNAM EQUITY SPECTRUM C	0.00	1.95	0.00	1.95	40.0	1.03
12/23/2016	FLO, PAUL	PUTNAM EQUITY SPECTRUM C	0.00	2.68	0.00	2.68	40.0	1.42
12/23/2016	HAGER, PETER	PUTNAM EQUITY SPECTRUM C	0.00	1.83	0.00	1.83	40.0	0.97
12/23/2016	LORENTZ, ANDREW	PUTNAM EQUITY SPECTRUM C	0.00	1.93	0.00	1.93	40.0	1.02
12/23/2016	SIEBERG, KYLE	PUTNAM EQUITY SPECTRUM C	0.00	6.56	0.00	6.56	40.0	3.48
02/15/2018	SIEBERG, KYLE	PUTNAM EQUITY SPECTRUM C	100.00	1.00	12.00	-11.00	40.0	-5.83
03/22/2016	ATKINSON, VONDA	PUTNAM INTERNATIONAL GROWTH-A	0.00	1.23	0.00	1.23	40.0	0.65
04/21/2016	ATKINSON, VONDA	PUTNAM INTERNATIONAL GROWTH-A	0.00	7.95	0.00	7.95	40.0	4.21
05/26/2016	ATKINSON, VONDA	PUTNAM INTERNATIONAL GROWTH-A	0.00	7.87	0.00	7.87	40.0	4.17
06/23/2016	ATKINSON, VONDA	PUTNAM INTERNATIONAL GROWTH-A	0.00	8.07	0.00	8.07	40.0	4.28
07/26/2016	ATKINSON, VONDA	PUTNAM INTERNATIONAL GROWTH-A	0.00	7.80	0.00	7.80	40.0	4.13
08/19/2016	ATKINSON, VONDA	PUTNAM INTERNATIONAL GROWTH-A	0.00	8.17	0.00	8.17	40.0	4.33
09/20/2016	ATKINSON, VONDA	PUTNAM INTERNATIONAL GROWTH-A	0.00	8.40	0.00	8.40	40.0	4.45
10/25/2016	ATKINSON, VONDA	PUTNAM INTERNATIONAL GROWTH-A	0.00	8.18	0.00	8.18	40.0	4.34
11/23/2016	ATKINSON, VONDA	PUTNAM INTERNATIONAL GROWTH-A	0.00	8.34	0.00	8.34	40.0	4.42
12/23/2016	ATKINSON, VONDA	PUTNAM INTERNATIONAL GROWTH-A	0.00	7.67	0.00	7.67	40.0	4.07
05/26/2016	SCHULLER, ALEC	PUTNAM MULTI CAP GROWTH A	0.00	0.21	0.00	0.21	40.0	0.11
06/23/2016	SCHULLER, ALEC	PUTNAM MULTI CAP GROWTH A	0.00	0.65	0.00	0.65	40.0	0.34
07/26/2016	SCHULLER, ALEC	PUTNAM MULTI CAP GROWTH A	0.00	0.64	0.00	0.64	40.0	0.34
08/19/2016	SCHULLER, ALEC	PUTNAM MULTI CAP GROWTH A	0.00	0.68	0.00	0.68	40.0	0.36
09/20/2016	SCHULLER, ALEC	PUTNAM MULTI CAP GROWTH A	0.00	0.70	0.00	0.70	40.0	0.37
10/25/2016	SCHULLER, ALEC	PUTNAM MULTI CAP GROWTH A	0.00	0.68	0.00	0.68	40.0	0.36
11/23/2016	SCHULLER, ALEC	PUTNAM MULTI CAP GROWTH A	0.00	0.70	0.00	0.70	40.0	0.37
12/23/2016	SCHULLER, ALEC	PUTNAM MULTI CAP GROWTH A	0.00	0.68	0.00	0.68	40.0	0.36
03/15/2016	ATKINSON, VONDA	SUNAMERICA FOCUSED ALPHA LARGE CAP A	0.00	2.70	0.00	2.70	40.0	1.43

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<u> OVERRIDE TRANSACTIONS </u>								
BROKER: JACK, M137 MICHALETZ #287								
04/15/2016	ATKINSON, VONDA	SUNAMERICA FOCUSED ALPHA LARGE CAP A	0.00	17.24	0.00	17.24	40.0	9.14
05/19/2016	ATKINSON, VONDA	SUNAMERICA FOCUSED ALPHA LARGE CAP A	0.00	17.04	0.00	17.04	40.0	9.03
06/15/2016	ATKINSON, VONDA	SUNAMERICA FOCUSED ALPHA LARGE CAP A	0.00	17.46	0.00	17.46	40.0	9.25
07/14/2016	ATKINSON, VONDA	SUNAMERICA FOCUSED ALPHA LARGE CAP A	0.00	16.94	0.00	16.94	40.0	8.98
08/10/2016	ATKINSON, VONDA	SUNAMERICA FOCUSED ALPHA LARGE CAP A	0.00	17.86	0.00	17.86	40.0	9.47
09/16/2016	ATKINSON, VONDA	SUNAMERICA FOCUSED ALPHA LARGE CAP A	0.00	18.28	0.00	18.28	40.0	9.69
10/12/2016	ATKINSON, VONDA	SUNAMERICA FOCUSED ALPHA LARGE CAP A	0.00	17.63	0.00	17.63	40.0	9.34
11/11/2016	ATKINSON, VONDA	SUNAMERICA FOCUSED ALPHA LARGE CAP A	0.00	18.16	0.00	18.16	40.0	9.62
12/19/2016	ATKINSON, VONDA	SUNAMERICA FOCUSED ALPHA LARGE CAP A	0.00	17.80	0.00	17.80	40.0	9.43
04/15/2016	GEHRKE, DEBORAH	TEMPLETON GLOBAL BOND C	0.00	0.67	0.00	0.67	40.0	0.36
05/13/2016	GEHRKE, DEBORAH	TEMPLETON GLOBAL BOND C	0.00	1.11	0.00	1.11	40.0	0.59
02/12/2018	HAGER, REBECCA	THE OSTERWEIS STRATEGIC INCOME FUND	-2,000.00	0.00	22.00	-22.00	40.0	-11.66
01/01/2018	GRONAU, ROLAND	TRANS LIFE LANDMARK 2003 VA	24,595.94	20.50	0.00	20.50	40.0	10.87
02/18/2016	LORENTZ, NICHOLAS	TRANSAMERICA AA GROWTH A	0.00	0.93	0.00	0.93	40.0	0.49
03/14/2016	LORENTZ, NICHOLAS	TRANSAMERICA AA GROWTH A	0.00	0.85	0.00	0.85	40.0	0.45
04/15/2016	LORENTZ, NICHOLAS	TRANSAMERICA AA GROWTH A	0.00	0.97	0.00	0.97	40.0	0.51
05/16/2016	LORENTZ, NICHOLAS	TRANSAMERICA AA GROWTH A	0.00	0.97	0.00	0.97	40.0	0.51
06/16/2016	LORENTZ, NICHOLAS	TRANSAMERICA AA GROWTH A	0.00	0.99	0.00	0.99	40.0	0.52
06/16/2016	GILBERTO, SARAH	TRANSAMERICA AA GROWTH A	0.00	2.27	0.00	2.27	40.0	1.20
07/18/2016	LORENTZ, NICHOLAS	TRANSAMERICA AA GROWTH A	0.00	0.97	0.00	0.97	40.0	0.51
07/18/2016	GILBERTO, SARAH	TRANSAMERICA AA GROWTH A	0.00	3.11	0.00	3.11	40.0	1.65
07/18/2016	KOTTSCHADE, LAURA	TRANSAMERICA AA GROWTH A	0.00	0.72	0.00	0.72	40.0	0.38
08/17/2016	LORENTZ, NICHOLAS	TRANSAMERICA AA GROWTH A	0.00	1.03	0.00	1.03	40.0	0.55
08/17/2016	GILBERTO, SARAH	TRANSAMERICA AA GROWTH A	0.00	3.29	0.00	3.29	40.0	1.74
08/17/2016	KOTTSCHADE, LAURA	TRANSAMERICA AA GROWTH A	0.00	1.10	0.00	1.10	40.0	0.58
09/15/2016	LORENTZ, NICHOLAS	TRANSAMERICA AA GROWTH A	0.00	1.05	0.00	1.05	40.0	0.56
09/15/2016	GILBERTO, SARAH	TRANSAMERICA AA GROWTH A	0.00	3.38	0.00	3.38	40.0	1.79
09/15/2016	KOTTSCHADE, LAURA	TRANSAMERICA AA GROWTH A	0.00	1.13	0.00	1.13	40.0	0.60
10/20/2016	LORENTZ, NICHOLAS	TRANSAMERICA AA GROWTH A	0.00	1.02	0.00	1.02	40.0	0.54
10/20/2016	GILBERTO, SARAH	TRANSAMERICA AA GROWTH A	0.00	3.27	0.00	3.27	40.0	1.73
10/20/2016	KOTTSCHADE, LAURA	TRANSAMERICA AA GROWTH A	0.00	1.09	0.00	1.09	40.0	0.58
11/16/2016	LORENTZ, NICHOLAS	TRANSAMERICA AA GROWTH A	0.00	1.05	0.00	1.05	40.0	0.56
11/16/2016	GILBERTO, SARAH	TRANSAMERICA AA GROWTH A	0.00	3.36	0.00	3.36	40.0	1.78

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<u> OVERRIDE TRANSACTIONS </u>								
<u> BROKER: JACK, M137 MICHALETZ #287 </u>								
11/16/2016	KOTTSCHADE, LAURA	TRANSAMERICA AA GROWTH A	0.00	1.12	0.00	1.12	40.0	0.59
12/16/2016	LORENTZ, NICHOLAS	TRANSAMERICA AA GROWTH A	0.00	1.01	0.00	1.01	40.0	0.54
12/16/2016	GILBERTO, SARAH	TRANSAMERICA AA GROWTH A	0.00	3.23	0.00	3.23	40.0	1.71
12/16/2016	KOTTSCHADE, LAURA	TRANSAMERICA AA GROWTH A	0.00	1.08	0.00	1.08	40.0	0.57
02/18/2016	LILLEVOLD, GRANT	TRANSAMERICA AA GROWTH C	0.00	4.57	0.00	4.57	40.0	2.42
03/14/2016	LILLEVOLD, GRANT	TRANSAMERICA AA GROWTH C	0.00	4.18	0.00	4.18	40.0	2.22
04/15/2016	LILLEVOLD, GRANT	TRANSAMERICA AA GROWTH C	0.00	4.75	0.00	4.75	40.0	2.52
05/16/2016	LILLEVOLD, GRANT	TRANSAMERICA AA GROWTH C	0.00	4.72	0.00	4.72	40.0	2.50
06/16/2016	LILLEVOLD, GRANT	TRANSAMERICA AA GROWTH C	0.00	4.85	0.00	4.85	40.0	2.57
07/18/2016	LORENTZ, ANDREW	TRANSAMERICA AA GROWTH C	0.00	0.72	0.00	0.72	40.0	0.38
07/18/2016	LILLEVOLD, GRANT	TRANSAMERICA AA GROWTH C	0.00	0.32	0.00	0.32	40.0	0.17
08/17/2016	LORENTZ, ANDREW	TRANSAMERICA AA GROWTH C	0.00	0.76	0.00	0.76	40.0	0.40
09/15/2016	LORENTZ, ANDREW	TRANSAMERICA AA GROWTH C	0.00	0.78	0.00	0.78	40.0	0.41
10/20/2016	LORENTZ, ANDREW	TRANSAMERICA AA GROWTH C	0.00	0.97	0.00	0.97	40.0	0.51
11/16/2016	LORENTZ, ANDREW	TRANSAMERICA AA GROWTH C	0.00	1.19	0.00	1.19	40.0	0.63
12/16/2016	LORENTZ, ANDREW	TRANSAMERICA AA GROWTH C	0.00	1.15	0.00	1.15	40.0	0.61
02/05/2018	ROSE, REBECCA	TRANSAMERICA AA GROWTH C	250.00	2.50	0.00	2.50	40.0	1.33
02/05/2018	ROSE, ERIC	TRANSAMERICA AA GROWTH C	250.00	2.50	0.00	2.50	40.0	1.33
02/05/2018	DUMMER, NICOLE	TRANSAMERICA AA GROWTH C	50.00	0.50	0.00	0.50	40.0	0.27
02/05/2018	PEMBLE, JOCELYN	TRANSAMERICA AA GROWTH C	50.00	0.50	0.00	0.50	40.0	0.27
02/05/2018	EARLS, RUTH	TRANSAMERICA AA GROWTH C	28.75	0.29	0.00	0.29	40.0	0.15
02/05/2018	EARLS, RUTH	TRANSAMERICA AA GROWTH C	28.75	0.29	0.00	0.29	40.0	0.15
02/05/2018	SHOUTZ, PAIGE	TRANSAMERICA AA GROWTH C	41.39	0.41	0.00	0.41	40.0	0.22
02/05/2018	SHOUTZ, PAIGE	TRANSAMERICA AA GROWTH C	24.83	0.25	0.00	0.25	40.0	0.13
02/15/2018	WINTER, JANEAN	TRANSAMERICA AA GROWTH C	200.00	2.00	0.00	2.00	40.0	1.06
02/15/2018	WINTER, JANEAN	TRANSAMERICA AA GROWTH C	200.00	2.00	0.00	2.00	40.0	1.06
02/15/2018	HANSON, MICHAEL	TRANSAMERICA AA GROWTH C	50.00	0.50	0.00	0.50	40.0	0.27
02/16/2018	GRETCHEN L WENDT, SIM	TRANSAMERICA AA GROWTH C	59.59	0.60	0.00	0.60	40.0	0.32
02/16/2018	GRETCHEN L WENDT, SIM	TRANSAMERICA AA GROWTH C	59.59	0.60	0.00	0.60	40.0	0.32
02/16/2018	CONRAD, GARY	TRANSAMERICA AA GROWTH C	40.63	0.41	0.00	0.41	40.0	0.22
02/16/2018	CONRAD, GARY	TRANSAMERICA AA GROWTH C	40.63	0.41	0.00	0.41	40.0	0.22
02/16/2018	JENSEN, MICHAEL	TRANSAMERICA AA GROWTH C	81.45	0.81	0.00	0.81	40.0	0.43
02/16/2018	JENSEN, MICHAEL	TRANSAMERICA AA GROWTH C	81.45	0.81	0.00	0.81	40.0	0.43

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<u> OVERRIDE TRANSACTIONS </u>								
<u> BROKER: JACK, M137 MICHALETZ #287 </u>								
02/16/2018	FURST, KENNETH	TRANSAMERICA AA GROWTH C	71.48	0.71	0.00	0.71	40.0	0.38
02/16/2018	FURST, KENNETH	TRANSAMERICA AA GROWTH C	71.48	0.71	0.00	0.71	40.0	0.38
02/18/2016	STURM, KRISTINA	TRANSAMERICA AA MOD GROWTH C	0.00	45.52	0.00	45.52	40.0	24.13
02/18/2016	BRAAM, JOHN	TRANSAMERICA AA MOD GROWTH C	0.00	43.85	0.00	43.85	40.0	23.24
03/14/2016	STURM, KRISTINA	TRANSAMERICA AA MOD GROWTH C	0.00	41.84	0.00	41.84	40.0	22.18
03/14/2016	BRAAM, JOHN	TRANSAMERICA AA MOD GROWTH C	0.00	37.37	0.00	37.37	40.0	19.81
04/15/2016	STURM, KRISTINA	TRANSAMERICA AA MOD GROWTH C	0.00	47.11	0.00	47.11	40.0	24.97
04/15/2016	BRAAM, JOHN	TRANSAMERICA AA MOD GROWTH C	0.00	40.76	0.00	40.76	40.0	21.60
05/16/2016	STURM, KRISTINA	TRANSAMERICA AA MOD GROWTH C	0.00	46.67	0.00	46.67	40.0	24.74
05/16/2016	BRAAM, JOHN	TRANSAMERICA AA MOD GROWTH C	0.00	40.37	0.00	40.37	40.0	21.40
06/16/2016	STURM, KRISTINA	TRANSAMERICA AA MOD GROWTH C	0.00	48.15	0.00	48.15	40.0	25.52
06/16/2016	BRAAM, JOHN	TRANSAMERICA AA MOD GROWTH C	0.00	41.59	0.00	41.59	40.0	22.04
07/18/2016	STURM, KRISTINA	TRANSAMERICA AA MOD GROWTH C	0.00	51.17	0.00	51.17	40.0	27.12
07/18/2016	BRAAM, JOHN	TRANSAMERICA AA MOD GROWTH C	0.00	40.54	0.00	40.54	40.0	21.49
08/17/2016	STURM, KRISTINA	TRANSAMERICA AA MOD GROWTH C	0.00	54.02	0.00	54.02	40.0	28.63
08/17/2016	BRAAM, JOHN	TRANSAMERICA AA MOD GROWTH C	0.00	41.10	0.00	41.10	40.0	21.78
09/15/2016	STURM, KRISTINA	TRANSAMERICA AA MOD GROWTH C	0.00	55.08	0.00	55.08	40.0	29.19
09/15/2016	BRAAM, JOHN	TRANSAMERICA AA MOD GROWTH C	0.00	39.30	0.00	39.30	40.0	20.83
10/20/2016	BRAAM, JOHN	TRANSAMERICA AA MOD GROWTH C	0.00	38.02	0.00	38.02	40.0	20.15
11/16/2016	BRAAM, JOHN	TRANSAMERICA AA MOD GROWTH C	0.00	39.12	0.00	39.12	40.0	20.73
12/16/2016	BRAAM, JOHN	TRANSAMERICA AA MOD GROWTH C	0.00	37.52	0.00	37.52	40.0	19.89
02/05/2018	VAN TOL, KATHERINE	TRANSAMERICA AA MOD GROWTH C	659.14	6.59	0.00	6.59	40.0	3.49
02/05/2018	VAN TOL, KATHERINE	TRANSAMERICA AA MOD GROWTH C	219.72	2.20	0.00	2.20	40.0	1.17
02/05/2018	JUDITH M ABDO, SIM	TRANSAMERICA AA MOD GROWTH C	109.94	1.10	0.00	1.10	40.0	0.58
02/05/2018	JUDITH M ABDO, SIM	TRANSAMERICA AA MOD GROWTH C	65.96	0.66	0.00	0.66	40.0	0.35
02/05/2018	SARAH M GILBERTO, SIM	TRANSAMERICA AA MOD GROWTH C	28.46	0.28	0.00	0.28	40.0	0.15
02/05/2018	SARAH M GILBERTO, SIM	TRANSAMERICA AA MOD GROWTH C	28.46	0.28	0.00	0.28	40.0	0.15
02/12/2018	GRUBER, DUSTIN	TRANSAMERICA AA MOD GROWTH C	90.38	0.90	0.00	0.90	40.0	0.48
02/12/2018	GRUBER, DUSTIN	TRANSAMERICA AA MOD GROWTH C	90.38	0.90	0.00	0.90	40.0	0.48
02/15/2018	ESLINGER, OWEN	TRANSAMERICA AA MOD GROWTH C	150.00	1.50	0.00	1.50	40.0	0.80
02/15/2018	ESLINGER, ELEANOR	TRANSAMERICA AA MOD GROWTH C	150.00	1.50	0.00	1.50	40.0	0.80
02/18/2016	WESTERMAYER, CHARLES	TRANSAMERICA AA MODERATE C	0.00	5.21	0.00	5.21	40.0	2.76
03/14/2016	WESTERMAYER, CHARLES	TRANSAMERICA AA MODERATE C	0.00	4.81	0.00	4.81	40.0	2.55

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<u> BROKER: JACK, M137 MICHALETZ #287 </u>								
04/15/2016	WESTERMAYER, CHARLES	TRANSAMERICA AA MODERATE C	0.00	5.34	0.00	5.34	40.0	2.83
05/16/2016	WESTERMAYER, CHARLES	TRANSAMERICA AA MODERATE C	0.00	5.28	0.00	5.28	40.0	2.80
06/16/2016	WESTERMAYER, CHARLES	TRANSAMERICA AA MODERATE C	0.00	5.45	0.00	5.45	40.0	2.89
07/18/2016	WESTERMAYER, CHARLES	TRANSAMERICA AA MODERATE C	0.00	5.31	0.00	5.31	40.0	2.81
08/17/2016	WESTERMAYER, CHARLES	TRANSAMERICA AA MODERATE C	0.00	5.59	0.00	5.59	40.0	2.96
09/15/2016	WESTERMAYER, CHARLES	TRANSAMERICA AA MODERATE C	0.00	5.67	0.00	5.67	40.0	3.01
10/20/2016	WESTERMAYER, CHARLES	TRANSAMERICA AA MODERATE C	0.00	5.48	0.00	5.48	40.0	2.90
11/16/2016	WESTERMAYER, CHARLES	TRANSAMERICA AA MODERATE C	0.00	5.65	0.00	5.65	40.0	2.99
12/16/2016	WESTERMAYER, CHARLES	TRANSAMERICA AA MODERATE C	0.00	5.41	0.00	5.41	40.0	2.87
02/18/2016	STEFFL, CHRISTINE	TRANSAMERICA CAPITAL GROWTH A	0.00	0.46	0.00	0.46	40.0	0.24
02/18/2016	STEFFL, JOSEPH	TRANSAMERICA CAPITAL GROWTH A	0.00	0.43	0.00	0.43	40.0	0.23
03/14/2016	STEFFL, CHRISTINE	TRANSAMERICA CAPITAL GROWTH A	0.00	0.39	0.00	0.39	40.0	0.21
03/14/2016	STEFFL, JOSEPH	TRANSAMERICA CAPITAL GROWTH A	0.00	0.37	0.00	0.37	40.0	0.20
04/15/2016	STEFFL, CHRISTINE	TRANSAMERICA CAPITAL GROWTH A	0.00	0.45	0.00	0.45	40.0	0.24
04/15/2016	STEFFL, JOSEPH	TRANSAMERICA CAPITAL GROWTH A	0.00	0.43	0.00	0.43	40.0	0.23
05/16/2016	STEFFL, CHRISTINE	TRANSAMERICA CAPITAL GROWTH A	0.00	0.46	0.00	0.46	40.0	0.24
05/16/2016	STEFFL, JOSEPH	TRANSAMERICA CAPITAL GROWTH A	0.00	0.43	0.00	0.43	40.0	0.23
06/16/2016	STEFFL, CHRISTINE	TRANSAMERICA CAPITAL GROWTH A	0.00	0.46	0.00	0.46	40.0	0.24
06/16/2016	STEFFL, JOSEPH	TRANSAMERICA CAPITAL GROWTH A	0.00	0.44	0.00	0.44	40.0	0.23
07/18/2016	STEFFL, CHRISTINE	TRANSAMERICA CAPITAL GROWTH A	0.00	0.46	0.00	0.46	40.0	0.24
07/18/2016	STEFFL, JOSEPH	TRANSAMERICA CAPITAL GROWTH A	0.00	0.43	0.00	0.43	40.0	0.23
08/17/2016	STEFFL, CHRISTINE	TRANSAMERICA CAPITAL GROWTH A	0.00	0.49	0.00	0.49	40.0	0.26
08/17/2016	STEFFL, JOSEPH	TRANSAMERICA CAPITAL GROWTH A	0.00	0.46	0.00	0.46	40.0	0.24
09/15/2016	STEFFL, CHRISTINE	TRANSAMERICA CAPITAL GROWTH A	0.00	0.51	0.00	0.51	40.0	0.27
09/15/2016	STEFFL, JOSEPH	TRANSAMERICA CAPITAL GROWTH A	0.00	0.48	0.00	0.48	40.0	0.25
10/20/2016	STEFFL, CHRISTINE	TRANSAMERICA CAPITAL GROWTH A	0.00	0.49	0.00	0.49	40.0	0.26
10/20/2016	STEFFL, JOSEPH	TRANSAMERICA CAPITAL GROWTH A	0.00	0.47	0.00	0.47	40.0	0.25
11/16/2016	STEFFL, CHRISTINE	TRANSAMERICA CAPITAL GROWTH A	0.00	0.51	0.00	0.51	40.0	0.27
11/16/2016	STEFFL, JOSEPH	TRANSAMERICA CAPITAL GROWTH A	0.00	0.48	0.00	0.48	40.0	0.25
12/16/2016	STEFFL, CHRISTINE	TRANSAMERICA CAPITAL GROWTH A	0.00	0.48	0.00	0.48	40.0	0.25
12/16/2016	STEFFL, JOSEPH	TRANSAMERICA CAPITAL GROWTH A	0.00	0.45	0.00	0.45	40.0	0.24
01/01/2018	STEVENS, DOUGLAS	TRANSAMERICA CLASSIC	12,956.99	2.70	0.00	2.70	40.0	1.43
01/24/2018	KIRCHNER, JACOB	TRANSAMERICA CLASSIC	19,313.07	4.02	0.00	4.02	40.0	2.13

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u> OVERRIDE TRANSACTIONS </u>								
BROKER: JACK, M137 MICHALETZ #287								
02/18/2016	STEFFL, CHRISTINE	TRANSAMERICA DIVERSIFIED EQUITY A	0.00	0.33	0.00	0.33	40.0	0.17
02/18/2016	STEFFL, JOSEPH	TRANSAMERICA DIVERSIFIED EQUITY A	0.00	0.29	0.00	0.29	40.0	0.15
03/14/2016	STEFFL, CHRISTINE	TRANSAMERICA DIVERSIFIED EQUITY A	0.00	0.30	0.00	0.30	40.0	0.16
03/14/2016	STEFFL, JOSEPH	TRANSAMERICA DIVERSIFIED EQUITY A	0.00	0.27	0.00	0.27	40.0	0.14
04/15/2016	STEFFL, CHRISTINE	TRANSAMERICA DIVERSIFIED EQUITY A	0.00	0.34	0.00	0.34	40.0	0.18
04/15/2016	STEFFL, JOSEPH	TRANSAMERICA DIVERSIFIED EQUITY A	0.00	0.30	0.00	0.30	40.0	0.16
05/16/2016	STEFFL, CHRISTINE	TRANSAMERICA DIVERSIFIED EQUITY A	0.00	0.34	0.00	0.34	40.0	0.18
05/16/2016	STEFFL, JOSEPH	TRANSAMERICA DIVERSIFIED EQUITY A	0.00	0.30	0.00	0.30	40.0	0.16
05/16/2016	SCHULLER, CORY	TRANSAMERICA DIVERSIFIED EQUITY A	0.00	0.38	0.00	0.38	40.0	0.20
06/16/2016	STEFFL, CHRISTINE	TRANSAMERICA DIVERSIFIED EQUITY A	0.00	0.35	0.00	0.35	40.0	0.19
06/16/2016	STEFFL, JOSEPH	TRANSAMERICA DIVERSIFIED EQUITY A	0.00	0.31	0.00	0.31	40.0	0.16
06/16/2016	SCHULLER, CORY	TRANSAMERICA DIVERSIFIED EQUITY A	0.00	1.17	0.00	1.17	40.0	0.62
07/18/2016	STEFFL, CHRISTINE	TRANSAMERICA DIVERSIFIED EQUITY A	0.00	0.34	0.00	0.34	40.0	0.18
07/18/2016	STEFFL, JOSEPH	TRANSAMERICA DIVERSIFIED EQUITY A	0.00	0.30	0.00	0.30	40.0	0.16
07/18/2016	SCHULLER, CORY	TRANSAMERICA DIVERSIFIED EQUITY A	0.00	1.14	0.00	1.14	40.0	0.60
08/17/2016	STEFFL, CHRISTINE	TRANSAMERICA DIVERSIFIED EQUITY A	0.00	0.37	0.00	0.37	40.0	0.20
08/17/2016	STEFFL, JOSEPH	TRANSAMERICA DIVERSIFIED EQUITY A	0.00	0.32	0.00	0.32	40.0	0.17
08/17/2016	SCHULLER, CORY	TRANSAMERICA DIVERSIFIED EQUITY A	0.00	1.21	0.00	1.21	40.0	0.64
09/15/2016	STEFFL, CHRISTINE	TRANSAMERICA DIVERSIFIED EQUITY A	0.00	0.37	0.00	0.37	40.0	0.20
09/15/2016	STEFFL, JOSEPH	TRANSAMERICA DIVERSIFIED EQUITY A	0.00	0.33	0.00	0.33	40.0	0.17
09/15/2016	SCHULLER, CORY	TRANSAMERICA DIVERSIFIED EQUITY A	0.00	1.23	0.00	1.23	40.0	0.65
10/20/2016	STEFFL, CHRISTINE	TRANSAMERICA DIVERSIFIED EQUITY A	0.00	0.35	0.00	0.35	40.0	0.19
10/20/2016	STEFFL, JOSEPH	TRANSAMERICA DIVERSIFIED EQUITY A	0.00	0.31	0.00	0.31	40.0	0.16
10/20/2016	SCHULLER, CORY	TRANSAMERICA DIVERSIFIED EQUITY A	0.00	1.17	0.00	1.17	40.0	0.62
11/16/2016	STEFFL, CHRISTINE	TRANSAMERICA DIVERSIFIED EQUITY A	0.00	0.36	0.00	0.36	40.0	0.19
11/16/2016	STEFFL, JOSEPH	TRANSAMERICA DIVERSIFIED EQUITY A	0.00	0.32	0.00	0.32	40.0	0.17
11/16/2016	SCHULLER, CORY	TRANSAMERICA DIVERSIFIED EQUITY A	0.00	1.20	0.00	1.20	40.0	0.64
12/16/2016	STEFFL, CHRISTINE	TRANSAMERICA DIVERSIFIED EQUITY A	0.00	0.35	0.00	0.35	40.0	0.19
12/16/2016	STEFFL, JOSEPH	TRANSAMERICA DIVERSIFIED EQUITY A	0.00	0.31	0.00	0.31	40.0	0.16
12/16/2016	SCHULLER, CORY	TRANSAMERICA DIVERSIFIED EQUITY A	0.00	1.15	0.00	1.15	40.0	0.61
01/08/2018	KIRCHNER, DUANE	TRANSAMERICA EXTRA	45,548.15	37.96	0.00	37.96	40.0	20.12
01/09/2018	DRESSEN, KATHRYN	TRANSAMERICA EXTRA	342,508.18	285.42	0.00	285.42	40.0	151.27
01/20/2018	GEWERTH, CHERYL	TRANSAMERICA EXTRA	20,466.07	17.06	0.00	17.06	40.0	9.04

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<u> OVERRIDE TRANSACTIONS </u>								
<u> BROKER: JACK, M137 MICHALETZ #287 </u>								
01/21/2018	KRONBACK, EUGENE	TRANSAMERICA EXTRA	61,013.41	50.84	0.00	50.84	40.0	26.95
01/29/2018	BULLER, CAROL	TRANSAMERICA EXTRA	14,029.04	11.69	0.00	11.69	40.0	6.20
01/29/2018	KIRCHNER, JANET	TRANSAMERICA EXTRA	33,179.63	27.65	0.00	27.65	40.0	14.65
01/01/2018	IRELAND, DANIEL	TRANSAMERICA LANDMARK	109,013.76	90.84	0.00	90.84	40.0	48.15
01/16/2018	ZIEGLER, ERIC	TRANSAMERICA LANDMARK	19,252.53	16.04	0.00	16.04	40.0	8.50
01/16/2018	ZIEGLER, KRISTINE	TRANSAMERICA LANDMARK	19,784.86	16.49	0.00	16.49	40.0	8.74
01/25/2018	FITTERER, DELORIS	TRANSAMERICA LANDMARK	54,519.32	45.43	0.00	45.43	40.0	24.08
01/29/2018	ATKINSON, VONDA	TRANSAMERICA LANDMARK 89352F772	57,575.85	47.98	0.00	47.98	40.0	25.43
01/08/2018	BECKWITH, DOROTHY	TRANSAMERICA LIBERTY	88,793.89	73.99	0.00	73.99	40.0	39.21
01/13/2018	BECKWITH, ALTON	TRANSAMERICA LIBERTY	90,680.63	75.57	0.00	75.57	40.0	40.05
* JACK, M137 MICHALETZ SUBTOTAL *			\$1,385,481.48	\$7,875.97	\$46.00	\$7,829.97		\$4,149.84
<u> BROKER: BRUCE KINSELLA #317 </u>								
09/21/2016	KINSELLA, SANDRA	LORD ABBETT GROWTH LEADERS FUND CLA	0.00	17.30	0.00	17.30	0.0	17.30
09/21/2016	KINSELLA, SANDRA	LORD ABBETT SHORT DURATION INCOME F	0.00	15.05	0.00	15.05	0.0	15.05
* BRUCE KINSELLA SUBTOTAL *			\$0.00	\$32.35	\$0.00	\$32.35		\$32.35
*** OVERRIDE TRANSACTIONS TOTAL ***			\$1,385,481.48	\$7,908.32	\$46.00	\$7,862.32		\$4,182.19
<u> ADJUSTMENTS </u>								
02/28/2018		*OVERRIDE: 1/15/18 OVERRIDE CORRECT	0.00					-4,134.23
02/28/2018		*SPLIT PAYOUT/OVERRIDE: 1/15/18 OVE	0.00					7.51
02/28/2018		*SPLIT PAYOUT/OVERRIDE: 1/31/18 OVE	0.00					1,116.30
02/28/2018		*SPLIT PAYOUT/OVERRIDE: 2/15/18 OVE	0.00					801.85
02/28/2018		*SPLIT PAYOUT/OVERRIDE: 2/28/18 OVE	0.00					19.10
*** ADJUSTMENTS TOTAL ***			\$0.00	\$0.00	\$0.00	\$0.00		\$-2,189.47

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BROKER COMMISSION TOTALS

Broker Transactions	\$157,649.42
Split Transactions	\$33.48
Override Transactions	\$4,182.19
Adjustments	\$-2,189.47
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$0.00
FINRA Assessment	\$0.00
SIPC Assessment	\$0.00

Check Amount	\$159,675.62
Year-to-date Gross	\$1,453,460.16
Year-to-date Earnings	\$1,381,050.02