



Concorde Investment Services, LLC
COMMISSION STATEMENT
 August 15, 2017

08/14/2017
 Page No. 1

DANIEL RAUPP
 417 E. Main Street
 3rd Floor
 Port Jefferson, NY 11777

BROKER #: R132
 BRANCH: FORTITUDE INVESTMENT

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: STOCKS</u>								
08/10/2017	RAUPP, DANIEL	ONEOK INC NEW COM	-6,527.95	0.00	22.50	-22.50	100.0	-22.50
* STOCKS SUBTOTAL *			\$-6,527.95	\$0.00	\$22.50	\$-22.50		\$-22.50
<u>PRODUCT CATEGORY: VARIABLE ANNUITIES</u>								
08/02/2017	K BELL ASSOC PENSION	GWL GRP ANNUITY 401K	631,129.65	536.03	0.00	536.03	100.0	536.03
07/31/2017	TRAINOR, EDWARD	JNL PERSPECTIVE L	65,419.54	54.52	0.00	54.52	100.0	54.52
* VARIABLE ANNUITIES SUBTOTAL *			\$696,549.19	\$590.55	\$0.00	\$590.55		\$590.55
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
07/10/2017	DOLCE, JENNIFER	CATALYST/MILLBURN HEDGE STRATEGY FU	0.00	14.53	0.00	14.53	100.0	14.53
07/21/2017	RAUPP, DANIEL	MAINSTAY CUSHING MLP PREMIER FUND C	0.00	2.77	0.00	2.77	100.0	2.77
07/21/2017	LACASSE, RAYMOND	MAINSTAY CUSHING MLP PREMIER FUND C	0.00	4.48	0.00	4.48	100.0	4.48
07/13/2017	LACASSE, CHRISTINE	WELLS FARGO ADVANTAGE ABSOLUTE RETU	0.00	2.04	0.00	2.04	100.0	2.04
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *			\$0.00	\$23.82	\$0.00	\$23.82		\$23.82
*** BROKER TRANSACTIONS TOTAL ***			\$690,021.24	\$614.37	\$22.50	\$591.87		\$591.87

SPLIT TRANSACTIONS

BROKER: 1AF-DAN/JON P/JEFF FT-NY RAUPP/CIRE #251

07/10/2017	MARKLEW, IAN	CATALYST/MILLBURN HEDGE STRATEGY FU	0.00	2.63	0.00	2.63	100.0	2.63
* 1AF-DAN/JON P/JEFF FT-NY RAUPP/CIRE SUBTOTAL *			\$0.00	\$2.63	\$0.00	\$2.63		\$2.63

BROKER: 1JR-DAN/JEFFREY FT-NY RAUPP/KIESNOS #252

07/10/2017	PARILLO, DOMINICK	CATALYST/MILLBURN HEDGE STRATEGY FU	0.00	1.27	0.00	1.27	100.0	1.27
07/10/2017	RENEGAR, ROBERT	CATALYST/MILLBURN HEDGE STRATEGY FU	0.00	3.03	0.00	3.03	100.0	3.03
07/10/2017	WYFFELS, ALAN	CATALYST/MILLBURN HEDGE STRATEGY FU	0.00	3.66	0.00	3.66	100.0	3.66
07/10/2017	PARILLO, RALPH	CATALYST/MILLBURN HEDGE STRATEGY FU	0.00	1.27	0.00	1.27	100.0	1.27
07/21/2017	WOLD, ALEXANDRA	MAINSTAY CUSHING MLP PREMIER FUND C	0.00	0.25	0.00	0.25	100.0	0.25

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

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<u>SPLIT TRANSACTIONS</u>								
<u>BROKER: 1JR-DAN/JEFFREY FT-NY RAUPP/KIESNOS #252</u>								
07/21/2017	RENEGAR, ROBERT	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	0.20	0.00	0.20	100.0	0.20
07/21/2017	WYFFELS, ALAN	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	1.13	0.00	1.13	100.0	1.13
07/21/2017	WYFFELS, ALAN	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	0.27	0.00	0.27	100.0	0.27
07/21/2017	LUBIN, GLENN	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	0.29	0.00	0.29	100.0	0.29
07/21/2017	WOLD, JOHN	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	0.14	0.00	0.14	100.0	0.14
07/21/2017	WOLD, JOHN	VOYA MID-CAP OPPORTUNITIES FUND CLA	0.00	0.11	0.00	0.11	100.0	0.11
* 1JR-DAN/JEFFREY FT-NY RAUPP/KIESNOS SUBTOTAL *			\$0.00	\$11.62	\$0.00	\$11.62		\$11.62
<u>BROKER: BUM-JEFFREY/DAN FT-NY KIESNOSKI/RAU #253</u>								
07/10/2017	CRESPO, ALEJANDRO	CATALYST/MILLBURN HEDGE STRATEGY FU	0.00	0.92	0.00	0.92	100.0	0.92
07/10/2017	BARBER, STEVE	CATALYST/MILLBURN HEDGE STRATEGY FU	0.00	0.40	0.00	0.40	100.0	0.40
07/10/2017	CHEW, ROLAND	CATALYST/MILLBURN HEDGE STRATEGY FU	0.00	0.98	0.00	0.98	100.0	0.98
07/17/2017	FIVE STAR BUS 401K	COLUMBIA INCOME OPPORTUNITIES FUND	0.00	0.51	0.00	0.51	100.0	0.51
07/17/2017	PRECISION INTERIORS	COLUMBIA INCOME OPPORTUNITIES FUND	0.00	2.05	0.00	2.05	100.0	2.05
07/13/2017	FIVE STAR BUS 401K	FORWARD GROWTH ALLOCATION FUND CLAS	0.00	1.23	0.00	1.23	100.0	1.23
07/18/2017	CAPOBIANCO, PETER	HARTFORD CAPITAL APPRECIATION A	0.00	0.48	0.00	0.48	100.0	0.48
07/18/2017	DEGREGORIO, JOHN	HARTFORD CAPITAL APPRECIATION A	0.00	0.79	0.00	0.79	100.0	0.79
07/27/2017	DEGREGORIO, JOHN	HAUPPAUGE DIGITAL INC COM	299.39	0.00	6.75	-6.75	100.0	-6.75
07/18/2017	BARBER, STEVE	JP MORGAN VALUE ADVANTAGE FUND CLAS	0.00	0.32	0.00	0.32	100.0	0.32
07/21/2017	BARBER, STEVE	MAINSTAY CUSHING MLP PREMIER FUND C	0.00	0.44	0.00	0.44	100.0	0.44
07/21/2017	KURTZ, MICHAEL	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	0.25	0.00	0.25	100.0	0.25
07/21/2017	CRESPO, ALEJANDRO	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	0.67	0.00	0.67	100.0	0.67
07/21/2017	AXELROD, ALAN	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	0.09	0.00	0.09	100.0	0.09
07/21/2017	RABETZ, WILLIAM	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	0.52	0.00	0.52	100.0	0.52
07/21/2017	IAQUINTO, JOSEPH	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	0.34	0.00	0.34	100.0	0.34
07/21/2017	FIVE STAR BUS 401K	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	0.19	0.00	0.19	100.0	0.19
07/21/2017	PRECISION INTERIORS	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	0.42	0.00	0.42	100.0	0.42
07/20/2017	AXELROD, ALAN	TRANSAMERICA SHORT-TERM BOND C	0.00	5.14	0.00	5.14	100.0	5.14
* BUM-JEFFREY/DAN FT-NY KIESNOSKI/RAU SUBTOTAL *			\$299.39	\$15.74	\$6.75	\$8.99		\$8.99
<u>BROKER: G3G-DAN/ROY/JEFF/JON FT-NY RAUPP/PF #254</u>								
06/30/2017	PPJ LLC	JOHN HANCOCK LIFE INS CO	0.00	11.80	0.00	11.80	100.0	11.80
07/19/2017	FENELON, DICKENS	FA 529 PORT 2030 T	0.00	0.08	0.00	0.08	100.0	0.08
07/19/2017	MCCLARNON, BRENDAN	GRIFFIN INSTITUTIONAL ACCESS REAL E	0.00	0.64	0.00	0.64	100.0	0.64

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<u>SPLIT TRANSACTIONS</u>								
<u>BROKER: G3G-DAN/ROY/JEFF/JON FT-NY RAUPP/PF #254</u>								
07/19/2017	DAVID, RUDOLPH	GRIFFIN INSTITUTIONAL ACCESS REAL E	0.00	1.06	0.00	1.06	100.0	1.06
07/18/2017	NICASTRO, JOSEPH	JP MORGAN EQUITY INCOME FUND CLASS	0.00	0.60	0.00	0.60	100.0	0.60
07/18/2017	LALAMA, MARY	JP MORGAN EQUITY INCOME FUND CLASS	0.00	0.55	0.00	0.55	100.0	0.55
07/18/2017	DAVID, RUDOLPH	JP MORGAN EQUITY INCOME FUND CLASS	0.00	0.25	0.00	0.25	100.0	0.25
07/18/2017	DAVID, RUDOLPH	JP MORGAN GROWTH ADV A	0.00	0.22	0.00	0.22	100.0	0.22
07/18/2017	CIMMINO, VICTORIA	JP MORGAN GROWTH ADV A	0.00	0.45	0.00	0.45	100.0	0.45
07/18/2017	KEYSER, LISA	JP MORGAN INVESTOR GROWTH FUND CLAS	0.00	3.45	0.00	3.45	100.0	3.45
07/18/2017	PLUME, KRISTA	JP MORGAN INVESTOR GROWTH FUND CLAS	0.00	2.55	0.00	2.55	100.0	2.55
07/18/2017	DAVID, RUDOLPH	JP MORGAN U.S. EQUITY FUND CLASS A	0.00	0.26	0.00	0.26	100.0	0.26
07/18/2017	DAVID, RUDOLPH	JP MORGAN VALUE ADVANTAGE FUND CLAS	0.00	0.28	0.00	0.28	100.0	0.28
07/18/2017	CIMMINO, VICTORIA	JP MORGAN VALUE ADVANTAGE FUND CLAS	0.00	0.19	0.00	0.19	100.0	0.19
07/21/2017	DAVID, RUDOLPH	MAINSTAY CUSHING MLP PREMIER FUND C	0.00	0.15	0.00	0.15	100.0	0.15
07/13/2017	LALAMA, MARY	MILLER CONVERTIBLE BOND FUND CLASS	0.00	0.33	0.00	0.33	100.0	0.33
07/13/2017	KEYSER, LISA	MILLER CONVERTIBLE BOND FUND CLASS	0.00	1.57	0.00	1.57	100.0	1.57
07/21/2017	BARRY, ROBERT	THE GABELLI UTILITIES FUND CLASS A	0.00	0.74	0.00	0.74	100.0	0.74
* G3G-DAN/ROY/JEFF/JON FT-NY RAUPP/PF SUBTOTAL *			\$0.00	\$25.17	\$0.00	\$25.17		\$25.17
<u>BROKER: J1D-DAN/JON PAUL FT-NY RAUPP/CIRELL #255</u>								
07/28/2017	BENAVENTE, BENJAMIN	BLACKROCK MULTI-ASSET INCOME PORTFO	0.00	2.13	0.00	2.13	100.0	2.13
07/17/2017	KLANSKY, ARTHUR	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	6.29	0.00	6.29	100.0	6.29
07/17/2017	KLANSKY, ARTHUR	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	5.33	0.00	5.33	100.0	5.33
07/17/2017	KLANSKY, ARTHUR	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	15.99	0.00	15.99	100.0	15.99
07/17/2017	MALONEY, JOHN	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	5.18	0.00	5.18	100.0	5.18
07/17/2017	MALONEY, JOHN	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	15.56	0.00	15.56	100.0	15.56
08/03/2017	SELDEN, MARC	GPB AUTOMOTIVE PORTFOLIO LP	100,000.00	3,500.00	0.00	3,500.00	100.0	3,500.00
07/19/2017	MALONEY, JOHN	GRIFFIN INST'L ACCESS R E FUND C	0.00	11.46	0.00	11.46	100.0	11.46
07/19/2017	MALONEY, JOHN	GRIFFIN INST'L ACCESS R E FUND C	0.00	34.38	0.00	34.38	100.0	34.38
07/19/2017	KLANSKY, ARTHUR	GRIFFIN INSTITUTIONAL ACCESS REAL E	0.00	6.29	0.00	6.29	100.0	6.29
07/18/2017	OXFORD INS CO-CL E	JP MORGAN GROWTH ADV A	0.00	1.71	0.00	1.71	100.0	1.71
07/18/2017	OXFORD INS CO-CL E	JP MORGAN U.S. EQUITY FUND CLASS A	0.00	2.16	0.00	2.16	100.0	2.16
07/18/2017	OXFORD INS CO-CL E	JP MORGAN VALUE ADVANTAGE FUND CLAS	0.00	1.54	0.00	1.54	100.0	1.54
07/21/2017	OXFORD INS CO-CL E	MAINSTAY CUSHING MLP PREMIER FUND C	0.00	0.40	0.00	0.40	100.0	0.40
07/21/2017	MALONEY, JOHN	MAINSTAY CUSHING MLP PREMIER FUND C	0.00	8.62	0.00	8.62	100.0	8.62
07/21/2017	OXFORD INS CO-CL E	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	0.31	0.00	0.31	100.0	0.31

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<u>SPLIT TRANSACTIONS</u>								
<u>BROKER: J1D-DAN/JON PAUL FT-NY RAUPP/CIRELL #255</u>								
07/13/2017	MALONEY, JOHN	MILLER CONVERTIBLE BOND FUND CLASS	0.00	65.63	0.00	65.63	100.0	65.63
* J1D-DAN/JON PAUL FT-NY RAUPP/CIRELL SUBTOTAL *			\$100,000.00	\$3,682.98	\$0.00	\$3,682.98		\$3,682.98
<u>BROKER: G0B-DAN/JON P/JEFF FT-NY RAUPP/CIRE #256</u>								
07/18/2017	LOYE, DEDRA	CARTER VALIDUS MC REIT II CLASS T	0.00	8.70	0.00	8.70	100.0	8.70
07/10/2017	DOLCE, CHARLES	CATALYST/MILLBURN HEDGE STRATEGY FU	0.00	3.61	0.00	3.61	100.0	3.61
07/10/2017	MAKRIDES, MARIE	CATALYST/MILLBURN HEDGE STRATEGY FU	0.00	2.66	0.00	2.66	100.0	2.66
08/10/2017	MAKRIDES, MARIE	GPB AUTOMOTIVE PORTFOLIO LP	50,000.00	1,750.00	0.00	1,750.00	100.0	1,750.00
07/19/2017	JOHNSON, JAMES	GRIFFIN INSTITUTIONAL ACCESS REAL E	0.00	2.96	0.00	2.96	100.0	2.96
07/21/2017	CAPUTO, PHILIP	MAINSTAY CUSHING MLP PREMIER FUND C	0.00	6.09	0.00	6.09	100.0	6.09
07/21/2017	DIDOMENICO, JOHN	MAINSTAY CUSHING MLP PREMIER FUND C	0.00	2.47	0.00	2.47	100.0	2.47
07/21/2017	MARSH, LAURIE	MAINSTAY CUSHING MLP PREMIER FUND C	0.00	1.31	0.00	1.31	100.0	1.31
07/21/2017	LOYE, DEDRA	MAINSTAY CUSHING MLP PREMIER FUND C	0.00	4.27	0.00	4.27	100.0	4.27
07/21/2017	MAZZATTI, LEONARD	MAINSTAY CUSHING MLP PREMIER FUND C	0.00	1.11	0.00	1.11	100.0	1.11
07/21/2017	PAVIS FAMILY TRUST	MAINSTAY CUSHING MLP PREMIER FUND C	0.00	5.01	0.00	5.01	100.0	5.01
07/21/2017	JOHNSON, LYNN	MAINSTAY CUSHING MLP PREMIER FUND C	0.00	1.55	0.00	1.55	100.0	1.55
07/21/2017	SKOLNICK, SHEILA	MAINSTAY CUSHING MLP PREMIER FUND C	0.00	3.77	0.00	3.77	100.0	3.77
07/21/2017	JOHNSON FAMILY TRUST	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	4.07	0.00	4.07	100.0	4.07
07/21/2017	STARK, LINDA	MAINSTAY MAP A	0.00	0.90	0.00	0.90	100.0	0.90
07/21/2017	RASMUSSEN, MELANIE	MAINSTAY MODERATE GROWTH ALLOCATION	0.00	0.86	0.00	0.86	100.0	0.86
07/13/2017	RASMUSSEN, MELANIE	MILLER CONVERTIBLE BOND FUND CLASS	0.00	4.09	0.00	4.09	100.0	4.09
07/21/2017	JOHNSON, JAMES	OPPENHEIMER ROCHESTER MUNICIPALS A	0.00	5.06	0.00	5.06	100.0	5.06
07/12/2017	RASMUSSEN, MELANIE	PIIONEER FUND A	0.00	0.16	0.00	0.16	100.0	0.16
07/12/2017	RASMUSSEN, MELANIE	PIIONEER FUNDAMENTAL GROWTH A	0.00	0.41	0.00	0.41	100.0	0.41
07/21/2017	RASMUSSEN, MELANIE	THE GABELLI UTILITIES FUND CLASS A	0.00	0.40	0.00	0.40	100.0	0.40
* G0B-DAN/JON P/JEFF FT-NY RAUPP/CIRE SUBTOTAL *			\$50,000.00	\$1,809.46	\$0.00	\$1,809.46		\$1,809.46
<u>BROKER: G0C-JEFF/DAN/JON PAU FT-NY KIESNO/R #257</u>								
07/18/2017	FORRAI, MICHAEL	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.07	0.00	0.07	100.0	0.07
07/10/2017	FORRAI, GERALDINE	CATALYST/MILLBURN HEDGE STRATEGY FU	0.00	2.18	0.00	2.18	100.0	2.18
07/10/2017	FORRAI FAMILY TRUST, LESLIE	CATALYST/MILLBURN HEDGE STRATEGY FU	0.00	0.35	0.00	0.35	100.0	0.35
07/10/2017	GALGANO, ROBERT	CATALYST/MILLBURN HEDGE STRATEGY FU	0.00	1.17	0.00	1.17	100.0	1.17
07/10/2017	BRANDT, ROSEMARY	CATALYST/MILLBURN HEDGE STRATEGY FU	0.00	1.61	0.00	1.61	100.0	1.61
07/14/2017	GALGANO, ROBERT	FIRST EAGLE GOLD FUND CLASS C	0.00	0.83	0.00	0.83	100.0	0.83

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<u>SPLIT TRANSACTIONS</u>								
<u>BROKER: G0C-JEFF/DAN/JON PAU FT-NY KIESNO/R #257</u>								
07/21/2017	FORRAI FAMILY TRUST, LESLIE	MAINSTAY CUSHING MLP PREMIER FUND C	0.00	0.99	0.00	0.99	100.0	0.99
07/21/2017	GALGANO, ROBERT	MAINSTAY CUSHING MLP PREMIER FUND C	0.00	2.19	0.00	2.19	100.0	2.19
07/21/2017	FORRAI, MICHAEL	MAINSTAY CUSHING MLP PREMIER FUND C	0.00	0.12	0.00	0.12	100.0	0.12
07/21/2017	FORRAI FAMILY TRUST, LESLIE	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	1.28	0.00	1.28	100.0	1.28
07/21/2017	BRANDT, ROSEMARY	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	0.88	0.00	0.88	100.0	0.88
07/13/2017	BRANDT, ROSEMARY	MILLER CONVERTIBLE BOND FUND CLASS	0.00	2.30	0.00	2.30	100.0	2.30
07/13/2017	GALGANO, ROBERT	WELLS FARGO ADVANTAGE GOVT SECURITI	0.00	0.73	0.00	0.73	100.0	0.73
07/13/2017	GALGANO, ROBERT	WELLS FARGO ADVTG EMERGING MARKETS	0.00	0.68	0.00	0.68	100.0	0.68
* G0C-JEFF/DAN/JON PAU FT-NY KIESNO/R SUBTOTAL *			\$0.00	\$15.38	\$0.00	\$15.38		\$15.38
<u>BROKER: G0E-DAN/JON P/JEFF FT-NY RAUPP/CIRE #259</u>								
07/10/2017	SEITZ, CRAIG	CATALYST/MILLBURN HEDGE STRATEGY FU	0.00	3.55	0.00	3.55	100.0	3.55
07/21/2017	SEITZ, CRAIG	MAINSTAY CUSHING ROYALTY ENERGY INC	0.00	0.64	0.00	0.64	100.0	0.64
* G0E-DAN/JON P/JEFF FT-NY RAUPP/CIRE SUBTOTAL *			\$0.00	\$4.19	\$0.00	\$4.19		\$4.19
<u>BROKER: R134-DAN/JEFF/JON P/ FT-NY RAUPP/KI #272</u>								
07/18/2017	DAMONE, DENNIS	JP MORGAN INVESTOR GROWTH & INCOME	0.00	0.48	0.00	0.48	100.0	0.48
* R134-DAN/JEFF/JON P/ FT-NY RAUPP/KI SUBTOTAL *			\$0.00	\$0.48	\$0.00	\$0.48		\$0.48
<u>BROKER: P124-JONP/MARC/DAN/J FT-FL JUNO CIR #273</u>								
07/18/2017	FLAHERTY, STEPHEN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.03	0.00	0.03	100.0	0.03
07/21/2017	WILKINSKY, KARA-JANE	AMERICAN CENTURY STRATEGIC ALLOC AG	0.00	0.60	0.00	0.60	100.0	0.60
07/21/2017	WILKINSKY, KARA-JANE	AMERICAN CENTURY STRATEGIC ALLOC AG	0.00	2.02	0.00	2.02	100.0	2.02
07/21/2017	WILKINSKY, MATTHEW	AMERICAN CENTURY STRATEGIC ALLOC AG	0.00	1.33	0.00	1.33	100.0	1.33
07/21/2017	LEEN, RANDY	AMERICAN CENTURY STRATEGIC ALLOC AG	0.00	0.97	0.00	0.97	100.0	0.97
07/17/2017	ROMAN, ROSA	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	0.15	0.00	0.15	100.0	0.15
07/17/2017	ABRAMS, RAFAEL	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	0.38	0.00	0.38	100.0	0.38
07/17/2017	JA, WILLIAM	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	0.02	0.00	0.02	100.0	0.02
07/17/2017	JA, WILLIAM	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	0.06	0.00	0.06	100.0	0.06
07/19/2017	MORONEY, PHYLLIS	GRIFFIN INST'L ACCESS R E FUND C	0.00	1.14	0.00	1.14	100.0	1.14
07/19/2017	MORONEY, PHYLLIS	GRIFFIN INST'L ACCESS R E FUND C	0.00	3.42	0.00	3.42	100.0	3.42
07/19/2017	MORONEY, PHYLLIS	GRIFFIN INST'L ACCESS R E FUND C	0.00	1.43	0.00	1.43	100.0	1.43
07/19/2017	MORONEY, PHYLLIS	GRIFFIN INST'L ACCESS R E FUND C	0.00	4.28	0.00	4.28	100.0	4.28
07/19/2017	MORONEY JR, JOHN	GRIFFIN INST'L ACCESS R E FUND C	0.00	0.95	0.00	0.95	100.0	0.95
07/19/2017	MORONEY JR, JOHN	GRIFFIN INST'L ACCESS R E FUND C	0.00	2.85	0.00	2.85	100.0	2.85

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>SPLIT TRANSACTIONS</u>								
<u>BROKER: P124-JONP/MARC/DAN/J FT-FL JUNO CIR #273</u>								
07/19/2017	MORONEY JR, JOHN	GRIFFIN INST'L ACCESS R E FUND C	0.00	1.14	0.00	1.14	100.0	1.14
07/19/2017	MORONEY JR, JOHN	GRIFFIN INST'L ACCESS R E FUND C	0.00	3.42	0.00	3.42	100.0	3.42
07/19/2017	ROMAN, ROSA	GRIFFIN INSTITUTIONAL ACCESS REAL E	0.00	0.72	0.00	0.72	100.0	0.72
07/19/2017	ABRAMS, RAFAEL	GRIFFIN INSTITUTIONAL ACCESS REAL E	0.00	1.13	0.00	1.13	100.0	1.13
07/19/2017	WILKINSKY, KARA-JANE	GRIFFIN INSTITUTIONAL ACCESS REAL E	0.00	1.94	0.00	1.94	100.0	1.94
07/19/2017	WILKINSKY, MATTHEW	GRIFFIN INSTITUTIONAL ACCESS REAL E	0.00	1.55	0.00	1.55	100.0	1.55
07/19/2017	KELLY, GORDON	GRIFFIN INSTITUTIONAL ACCESS REAL E	0.00	0.78	0.00	0.78	100.0	0.78
07/19/2017	SCHENONE, LORI	GRIFFIN INSTITUTIONAL ACCESS REAL E	0.00	4.66	0.00	4.66	100.0	4.66
07/18/2017	GRISALES, CARMEN	INVESCO EQUALLY WEIGHTED S&P 500 A	0.00	0.29	0.00	0.29	100.0	0.29
07/18/2017	GRISALES, CARMEN	INVESCO EQUITY AND INCOME A	0.00	0.28	0.00	0.28	100.0	0.28
* P124-JONP/MARC/DAN/J FT-FL JUNO CIR SUBTOTAL *			\$0.00	\$35.54	\$0.00	\$35.54		\$35.54
<u>BROKER: M136-JAY/JONP/JEFF/D FT-FL MCPH/CIR #277</u>								
07/17/2017	KISSIL, GEORGE	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	0.61	0.00	0.61	100.0	0.61
07/17/2017	LAROCHE, LAURIE	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	1.29	0.00	1.29	100.0	1.29
07/17/2017	LAROCHE, LAURIE	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	3.86	0.00	3.86	100.0	3.86
07/19/2017	LAROCHE, LAURIE	GRIFFIN INSTITUTIONAL ACCESS REAL E	0.00	0.72	0.00	0.72	100.0	0.72
* M136-JAY/JONP/JEFF/D FT-FL MCPH/CIR SUBTOTAL *			\$0.00	\$6.48	\$0.00	\$6.48		\$6.48
<u>BROKER: R138 DAN/JON PAUL FT-RAUPP/CIRELLI #350</u>								
06/23/2017	WEEKS, GARY	INLAND RIVERDALE MULITFAMILY DST	300,000.00	11,250.00	0.00	11,250.00	100.0	11,250.00
* R138 DAN/JON PAUL FT-RAUPP/CIRELLI SUBTOTAL *			\$300,000.00	\$11,250.00	\$0.00	\$11,250.00		\$11,250.00
*** SPLIT TRANSACTIONS TOTAL ***			\$450,299.39	\$16,859.67	\$6.75	\$16,852.92		\$16,852.92

OVERRIDE TRANSACTIONS

<u>BROKER: JEFFREY KIESNOSKI #243</u>								
08/03/2017	INFINITY 8 FOREVER CORP	AXA 00248C360	29,904.60	2,093.32	0.00	2,093.32	94.0	125.60
* JEFFREY KIESNOSKI SUBTOTAL *			\$29,904.60	\$2,093.32	\$0.00	\$2,093.32		\$125.60
<u>BROKER: JON PAUL CIRELLI #246</u>								
06/30/2017	ONE PARKING	JOHN HANCOCK LIFE INS CO	0.00	111.50	0.00	111.50	95.0	5.58
07/31/2017	ONE PARKING	JOHN HANCOCK LIFE INS CO	0.00	121.23	0.00	121.23	95.0	6.06
07/18/2017	KISSIL, GEORGE	CARTER VALIDUS MC REIT II CLASS T	0.00	20.71	0.00	20.71	95.0	1.04

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<u> OVERRIDE TRANSACTIONS </u>								
<u> BROKER: ALAN LICHTENSTEIN #249 </u>								
		* JON PAUL CIRELLI SUBTOTAL *	\$0.00	\$253.44	\$0.00	\$253.44		\$12.68
<u> BROKER: ALAN LICHTENSTEIN #249 </u>								
08/04/2017	TRIOLA, DOREEN	GPB AUTOMOTIVE PORTFOLIO LP	30,000.00	2,100.00	0.00	2,100.00	75.0	262.50
08/04/2017	CORDING, JOAN	GPB AUTOMOTIVE PORTFOLIO LP	25,000.00	1,750.00	0.00	1,750.00	75.0	218.75
08/04/2017	EISEL-RYAN, JOSEPHINE	INLAND RIVERDALE MULITFAMILY DST	115,456.55	5,772.83	0.00	5,772.83	75.0	721.60
		* ALAN LICHTENSTEIN SUBTOTAL *	\$170,456.55	\$9,622.83	\$0.00	\$9,622.83		\$1,202.85
<u> BROKER: JOHN KLETT #250 </u>								
07/31/2017	TIPLEY, ANNE	VANGUARD INDEX FUNDS SMALLCAP GROWT	-9,947.52	0.00	22.50	-22.50	75.0	-2.81
		* JOHN KLETT SUBTOTAL *	\$-9,947.52	\$0.00	\$22.50	\$-22.50		\$-2.81
<u> BROKER: MARC LINSKY #263 </u>								
07/26/2017	CIMMINO, DEAN	AM FUNDS AMERICAN BALANCED 529A	37.50	1.88	0.00	1.88	90.0	0.03
08/01/2017	CHERRY, ADAM	AM FUNDS AMERICAN BALANCED 529C	1,000.00	10.00	0.00	10.00	90.0	0.17
07/26/2017	CIMMINO, DEAN	AM FUNDS AMERICAN MUTUAL 529A	37.50	1.88	0.00	1.88	90.0	0.03
07/26/2017	CIMMINO, DEAN	AM FUNDS CAPITAL WORLD GRTH & INC 5	75.00	3.75	0.00	3.75	90.0	0.06
08/01/2017	WALENCZYK, BRENDA	AM FUNDS CAPITAL WORLD GRTH & INC 5	400.00	17.00	0.00	17.00	90.0	0.29
08/01/2017	BENFER, ANDREW	AM FUNDS FUNDAMENTAL INVESTORS A	225.00	11.25	0.00	11.25	90.0	0.19
07/18/2017	GARAFOLA, MICHAEL	AM FUNDS INCOME FUND OF AMERICA A	0.00	4.93	0.00	4.93	90.0	0.08
07/18/2017	GARAFOLA, MICHAEL	AM FUNDS INCOME FUND OF AMERICA A	0.00	19.98	0.00	19.98	90.0	0.34
08/01/2017	WALENCZYK, BRENDA	AM FUNDS WASHINGTON MUTUAL INVESTOR	400.00	17.00	0.00	17.00	90.0	0.29
08/09/2017	PRATOLA, PRESTON	APOLLO GLOBAL MGMT LLC CL A SHS	-30,196.92	30.00	23.52	6.48	90.0	0.11
07/28/2017	SPECTER TRUST, STEPHANIE	GRIFFIN INST'L ACCESS R E FUND C	36,000.00	360.00	0.00	360.00	90.0	6.12
07/19/2017	LEVY, RONI	GRIFFIN INSTITUTIONAL ACCESS REAL E	0.00	14.81	0.00	14.81	90.0	0.25
08/09/2017	PRATOLA, PRESTON	INTEL CORP COM	-25,347.00	30.00	23.05	6.95	90.0	0.12
07/18/2017	FARBMAN, ERIC	INVESCO AMERICAN FRANCHISE A	0.00	9.04	0.00	9.04	90.0	0.15
07/18/2017	FARBMAN, ERIC	INVESCO HIGH YIELD FUND A	0.00	12.91	0.00	12.91	90.0	0.22
07/18/2017	FARBMAN, ERIC	INVESCO STRUCTURED CORE A	0.00	15.49	0.00	15.49	90.0	0.26
08/04/2017	CHEESEMAN, DIANE	JNL PERSPECTIVE II 04/14	300.00	21.00	0.00	21.00	90.0	0.36
07/31/2017	BONESKI, MARGUERITE	JNL PERSPECTIVE II 05/05	264,553.39	220.46	0.00	220.46	90.0	3.75
07/31/2017	TROMBINO, CONSTANCE	JNL PERSPECTIVE L	266,402.98	222.00	0.00	222.00	90.0	3.77
07/31/2017	NANI, JOSEPH	JNL PERSPECTIVE L	409,791.10	341.49	0.00	341.49	90.0	5.81
07/31/2017	FELDNER, BARBARA	JNL PERSPECTIVE L	511,343.92	426.12	0.00	426.12	90.0	7.24
07/31/2017	STERR, CHRISTOPHER	JNL PERSPECTIVE L	107,076.21	89.23	0.00	89.23	90.0	1.52

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<u> OVERRIDE TRANSACTIONS </u>								
<u> BROKER: MARC LINSKY #263 </u>								
07/31/2017	OTT, CAROL	JOHN HANCOCK VENTURE	14,041.83	2.93	0.00	2.93	90.0	0.05
07/31/2017	CAMPBELL, BARBARA	JOHN HANCOCK VENTURE III	208,358.39	173.63	0.00	173.63	90.0	2.95
07/21/2017	MCFADDEN, JOAN	LANDMARK 2002	0.00	207.17	0.00	207.17	90.0	3.52
08/01/2017	PISANI, NICHOLAS	LFG LNCTV679U	250.00	10.00	0.00	10.00	90.0	0.17
08/01/2017	PISANI, CARLA	LFG LNDEV679U	541.00	25.70	0.00	25.70	90.0	0.44
07/21/2017	YANKOWITZ, HARRIETT	LORD ABBETT BOND DEBENTURE C	0.00	27.73	0.00	27.73	90.0	0.47
07/21/2017	YANKOWITZ, HARRIETT	LORD ABBETT FUNDAMENTAL EQUITY CL C	0.00	15.04	0.00	15.04	90.0	0.26
07/27/2017	MEDIA ENTERPRISES	PAC LIFE INNOVATIVE SELECT	0.00	147.87	0.00	147.87	90.0	2.51
07/27/2017	HALL, GLORIA	PORTLAND GEN ELEC CO COM NEW	-680.64	15.00	22.50	-7.50	90.0	-0.13
/ /	GOLDBERG, SCOTT	WVA AGE-BASED PORTFOLIO 18+ A	0.00	6.96	0.00	6.96	90.0	0.12
/ /	GOLDBERG, SCOTT	WVA AGE-BASED PORTFOLIO 18+ A	0.00	0.41	0.00	0.41	90.0	0.01
07/28/2017	GOLDBERG, SCOTT	WVA AGE-BASED PORTFOLIO 18+ A	300.00	7.50	0.00	7.50	90.0	0.13
07/28/2017	GOLDBERG, SCOTT	WVA AGE-BASED PORTFOLIO 18+ A	150.00	3.75	0.00	3.75	90.0	0.06
/ /	GOLDBERG, SCOTT	WVA AGED-BASED PORTFOLIO 9-13 A	0.00	6.92	0.00	6.92	90.0	0.12
07/28/2017	GOLDBERG, SCOTT	WVA AGED-BASED PORTFOLIO 9-13 A	200.00	5.00	0.00	5.00	90.0	0.09
* MARC LINSKY SUBTOTAL *			\$1,765,259.26	\$2,535.83	\$69.07	\$2,466.76		\$41.93
<u> BROKER: ANDREW (ANDREAS) ZIGOURAS #282 </u>								
08/09/2017	DILLON, ROBERT	BIODELIVERY SCIENCES INTL INC COM	12,200.00	124.00	27.00	97.00	90.0	3.30
* ANDREW (ANDREAS) ZIGOURAS SUBTOTAL *			\$12,200.00	\$124.00	\$27.00	\$97.00		\$3.30
*** OVERRIDE TRANSACTIONS TOTAL ***			\$1,967,872.89	\$14,629.42	\$118.57	\$14,510.85		\$1,383.55

 ADJUSTMENTS

08/15/2017		*EO INS: CURRENT MONTH INS	0.00					-75.00
08/15/2017		*EO INS: CURRENT MONTH INS	0.00					-45.00
08/15/2017		*EO INS: CURRENT MONTH-T THOMPSON	0.00					-45.00
08/15/2017		*EO INS: N ELIAS	0.00					-45.00
08/15/2017		*FEDERAL EXPRESS: 5-878-03801 7/26/	0.00					-28.03
08/15/2017		*FEDERAL EXPRESS: 5-885-29775 8/2/1	0.00					-51.94
08/15/2017		*MARKETING LIBRARY: MARKETING LIBRA	0.00					-45.00
08/15/2017		*MISC: 7/15 OVERNIGHT FEE	0.00					-20.00
08/15/2017		*MISC: 7/31 OVERNIGHT FEE	0.00					-10.00

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<u>ADJUSTMENTS</u>								
08/15/2017		*MISC: C FULMER, A LEEDS K141	0.00					540.00
08/15/2017		*MISC: C FULMER, A LEEDS C141	0.00					540.00
08/15/2017		*MISC: CREDIT TO K141	0.00					-544.00
08/15/2017		*MISC: FIA ADJ-ZIGOURAS CLIENT A GE	0.00					-70.60
08/15/2017		*MISC: ROY AFLAC 1031DST	0.00					1,126.00
08/15/2017		*MISC: ROY, AFLAC, 1031DST	0.00					1,326.00
08/15/2017		*OVERRIDE: BRANCH-CIRELLI	0.00					84.41
08/15/2017		*OVERRIDE: BRANCH-KIESNOSKI	0.00					0.53
08/15/2017		*OVERRIDE: LINSKY	0.00					108.85
08/15/2017		*OVERRIDE: SPLIT-CIRELLI	0.00					421.32
08/15/2017		*OVERRIDE: SPLIT-KIESNOSKI	0.00					62.03
08/15/2017		*PERSHING: BOOKS & RECORDS	0.00					-3.00
08/15/2017		*PERSHING: BOOKS & RECORDS	0.00					-1.50
08/15/2017		*PERSHING: BOOKS & RECORDS	0.00					-1.13
08/15/2017		*PERSHING: BOOKS & RECORDS	0.00					-0.38
08/15/2017		*PERSHING: ETF PROSPECTUS MAILING	0.00					-0.77
08/15/2017		*PERSHING: ETF PROSPECTUS MAILING	0.00					-0.68
08/15/2017		*PERSHING: MARK UPS	0.00					30.00
08/15/2017		*PERSHING: MARK UPS	0.00					7.50
08/15/2017		*PERSHING: MF PROSPECTUS MAILING	0.00					-3.78
08/15/2017		*PERSHING: STREAMING QUOTES	0.00					-68.00
08/15/2017		*TECH: ADMIN FULMER	0.00					-50.00
08/15/2017		*TECH: ADMIN-AMY LEEDS	0.00					-34.00
08/15/2017		*TECH: CURRENT MONTH TECH	0.00					-68.75
08/15/2017		*TECH: CURRENT MONTH TECH	0.00					-41.25
08/15/2017		*TECH: CURRENT MONTH-T THOMPSON	0.00					-41.25
08/15/2017		*TECH: N ELIAS	0.00					-41.25
*** ADJUSTMENTS TOTAL ***			\$0.00	\$0.00	\$0.00	\$0.00		\$2,911.33

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BROKER COMMISSION TOTALS

Broker Transactions	\$591.87
Split Transactions	\$16,852.92
Override Transactions	\$1,383.55
Adjustments	\$2,911.33
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$0.00
FINRA Assessment	\$0.00
SIPC Assessment	\$0.00

Check Amount	\$21,739.67
Year-to-date Gross	\$639,195.95
Year-to-date Earnings	\$653,957.46