



Concorde Investment Services, LLC  
**COMMISSION STATEMENT**  
**March 15, 2018**

03/13/2018  
Page No. 1

MARC, L134 LINSKY  
104 B. Centre Blvd

BROKER #: L134  
BRANCH: E STREET FINANCIAL L

Marlton, NJ 08053

| DATE   | CLIENT            | INVESTMENT                          | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|-------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u>CLEARING TRANSACTIONS</u></b>            |                   |                                     |                      |                     |                    |                   |      |                      |
| <b><u>PRODUCT CATEGORY: MUTUAL FUNDS</u></b>   |                   |                                     |                      |                     |                    |                   |      |                      |
| 03/08/2018                                     | OLIVETI, NICOLE   | LORD ABBETT FUNDAMENTAL EQUITY A    | 1,008.86             | 50.44               | 22.00              | 28.44             | 90.0 | 25.60                |
| * MUTUAL FUNDS SUBTOTAL *                      |                   |                                     | \$1,008.86           | \$50.44             | \$22.00            | \$28.44           |      | \$25.60              |
| <b><u>PRODUCT CATEGORY: STOCKS</u></b>         |                   |                                     |                      |                     |                    |                   |      |                      |
| 03/01/2018                                     | KLEIN, CONSTANCE  | WELLS FARGO & CO NEW COM            | -18,694.20           | 30.00               | 22.50              | 7.50              | 90.0 | 6.75                 |
| * STOCKS SUBTOTAL *                            |                   |                                     | \$-18,694.20         | \$30.00             | \$22.50            | \$7.50            |      | \$6.75               |
| *** CLEARING TRANSACTIONS TOTAL ***            |                   |                                     | \$-17,685.34         | \$80.44             | \$44.50            | \$35.94           |      | \$32.35              |
| <b><u>DIRECT TRANSACTIONS</u></b>              |                   |                                     |                      |                     |                    |                   |      |                      |
| <b><u>PRODUCT CATEGORY: INTERVAL FUNDS</u></b> |                   |                                     |                      |                     |                    |                   |      |                      |
| 01/31/2018                                     | LINSKY, VARIOUS   | GRIFFIN INST'L ACCESS R E FUND C    | 54,833.28            | 46.57               | 0.00               | 46.57             | 90.0 | 41.91                |
| * INTERVAL FUNDS SUBTOTAL *                    |                   |                                     | \$54,833.28          | \$46.57             | \$0.00             | \$46.57           |      | \$41.91              |
| <b><u>PRODUCT CATEGORY: 529 PLANS</u></b>      |                   |                                     |                      |                     |                    |                   |      |                      |
| 03/01/2018                                     | CHERRY, ADAM      | AM FUNDS AMERICAN MUTUAL 529C       | 1,000.00             | 10.00               | 0.00               | 10.00             | 90.0 | 9.00                 |
| 03/01/2018                                     | WALENCZYK, BRENDA | AM FUNDS CAPITAL WORLD GRTH & INC 5 | 400.00               | 15.00               | 0.00               | 15.00             | 90.0 | 13.50                |
| 03/01/2018                                     | WALENCZYK, BRENDA | AM FUNDS WASHINGTON MUTUAL INVESTOR | 400.00               | 15.00               | 0.00               | 15.00             | 90.0 | 13.50                |
| 02/28/2018                                     | GOLDBERG, SCOTT   | WVA AGE-BASED PORTFOLIO 14-15 A     | 400.00               | 10.00               | 0.00               | 10.00             | 90.0 | 9.00                 |
| 02/28/2018                                     | GOLDBERG, SCOTT   | WVA AGE-BASED PORTFOLIO 18+ A       | 300.00               | 7.50                | 0.00               | 7.50              | 90.0 | 6.75                 |
| 02/28/2018                                     | GOLDBERG, SCOTT   | WVA AGE-BASED PORTFOLIO 18+ A       | 150.00               | 3.75                | 0.00               | 3.75              | 90.0 | 3.38                 |
| * 529 PLANS SUBTOTAL *                         |                   |                                     | \$2,650.00           | \$61.25             | \$0.00             | \$61.25           |      | \$55.13              |
| <b><u>PRODUCT CATEGORY: MUTUAL FUNDS</u></b>   |                   |                                     |                      |                     |                    |                   |      |                      |
| 03/01/2018                                     | BENFER, ANDREW    | AM FUNDS FUNDAMENTAL INVESTORS A    | 225.00               | 11.25               | 0.00               | 11.25             | 90.0 | 10.13                |
| * MUTUAL FUNDS SUBTOTAL *                      |                   |                                     | \$225.00             | \$11.25             | \$0.00             | \$11.25           |      | \$10.13              |

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

| DATE   | CLIENT              | INVESTMENT               | INVESTMENT<br>AMOUNT  | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|---------------------|--------------------------|-----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u>DIRECT TRANSACTIONS</u></b>                  |                     |                          |                       |                     |                    |                   |      |                      |
| <b><u>PRODUCT CATEGORY: VARIABLE ANNUITIES</u></b> |                     |                          |                       |                     |                    |                   |      |                      |
| 03/05/2018   | CHEESEMAN, DIANE    | JNL PERSPECTIVE II 04/14 | 300.00                | 21.00               | 0.00               | 21.00             | 90.0 | 18.90                |
| 02/28/2018   | BONESKI, MARGUERITE | JNL PERSPECTIVE II 05/05 | 278,184.72            | 231.82              | 0.00               | 231.82            | 90.0 | 208.64               |
| 02/28/2018   | TROMBINO, CONSTANCE | JNL PERSPECTIVE L        | 287,043.23            | 239.20              | 0.00               | 239.20            | 90.0 | 215.28               |
| 02/28/2018   | NANI, JOSEPH        | JNL PERSPECTIVE L        | 412,797.89            | 344.00              | 0.00               | 344.00            | 90.0 | 309.60               |
| 02/28/2018   | FELDNER, BARBARA    | JNL PERSPECTIVE L        | 494,732.38            | 412.28              | 0.00               | 412.28            | 90.0 | 371.05               |
| 02/28/2018   | STERR, CHRISTOPHER  | JNL PERSPECTIVE L        | 110,903.50            | 92.42               | 0.00               | 92.42             | 90.0 | 83.18                |
| 02/28/2018   | OTT, CAROL          | JOHN HANCOCK VENTURE     | 13,998.30             | 2.92                | 0.00               | 2.92              | 90.0 | 2.63                 |
| 02/28/2018   | CAMPBELL, BARBARA   | JOHN HANCOCK VENTURE III | 199,915.29            | 166.60              | 0.00               | 166.60            | 90.0 | 149.94               |
| 03/01/2018   | PISANI, CARLA       | LINCOLN BENEFIT LIFE     | 541.00                | 25.70               | 0.00               | 25.70             | 90.0 | 23.13                |
| 03/01/2018   | PISANI, NICHOLAS    | LINCOLN BENEFIT LIFE     | 250.00                | 10.00               | 0.00               | 10.00             | 90.0 | 9.00                 |
| 02/24/2018   | GALERMAN, ALAN      | TRANSAMERICA LIBERTY     | 131,559.22            | 109.63              | 0.00               | 109.63            | 90.0 | 98.67                |
| <b>* VARIABLE ANNUITIES SUBTOTAL *</b>             |                     |                          | <b>\$1,930,225.53</b> | <b>\$1,655.57</b>   | <b>\$0.00</b>      | <b>\$1,655.57</b> |      | <b>\$1,490.02</b>    |

**PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS**

|            |                       |                                     |      |        |      |        |      |        |
|------------|-----------------------|-------------------------------------|------|--------|------|--------|------|--------|
| 03/01/2018 | BENDICK, ETHEL        | 529 AMCAP FUND CLASS A              | 0.00 | 3.37   | 0.00 | 3.37   | 90.0 | 3.03   |
| 02/12/2018 | CENTANNI, RICHARD     | ALLIANCEBERNSTEIN SMALL/MID CAP VAL | 0.00 | 0.97   | 0.00 | 0.97   | 90.0 | 0.87   |
| 02/12/2018 | TRICHON, DONNA-LYNN   | ALLIANCEBERNSTEIN SMALL/MID-CAP GRW | 0.00 | 14.10  | 0.00 | 14.10  | 90.0 | 12.69  |
| 02/16/2018 | CHIECO, DANIEL        | AM CENT EQUITY INCOME               | 0.00 | 4.54   | 0.00 | 4.54   | 90.0 | 4.09   |
| 02/21/2018 | MEDIA ENTERPRISES     | AM FUNDS AMCAP A                    | 0.00 | 4.28   | 0.00 | 4.28   | 90.0 | 3.85   |
| 02/21/2018 | GREENWELL, MARION     | AM FUNDS AMCAP C                    | 0.00 | 7.12   | 0.00 | 7.12   | 90.0 | 6.41   |
| 02/21/2018 | GREENWELL, MARION     | AM FUNDS AMCAP F1                   | 0.00 | 0.47   | 0.00 | 0.47   | 90.0 | 0.42   |
| 03/01/2018 | CANUSO, CANDACE       | AM FUNDS AMERICAN BALANCED 529A     | 0.00 | 1.33   | 0.00 | 1.33   | 90.0 | 1.20   |
| 03/01/2018 | CAMPAGNA, MARIE       | AM FUNDS AMERICAN BALANCED 529A     | 0.00 | 1.33   | 0.00 | 1.33   | 90.0 | 1.20   |
| 03/01/2018 | CIMMINO, DEAN         | AM FUNDS AMERICAN BALANCED 529A     | 0.00 | 0.61   | 0.00 | 0.61   | 90.0 | 0.55   |
| 03/01/2018 | CIMMINO, DEAN         | AM FUNDS AMERICAN BALANCED 529A     | 0.00 | 0.29   | 0.00 | 0.29   | 90.0 | 0.26   |
| 03/01/2018 | HENDRICKSON, CHARLENE | AM FUNDS AMERICAN BALANCED 529A     | 0.00 | 1.41   | 0.00 | 1.41   | 90.0 | 1.27   |
| 03/01/2018 | HENDRICKSON, CHARLENE | AM FUNDS AMERICAN BALANCED 529A     | 0.00 | 1.41   | 0.00 | 1.41   | 90.0 | 1.27   |
| 03/01/2018 | PERETTI, FRANCES      | AM FUNDS AMERICAN BALANCED 529A     | 0.00 | 0.93   | 0.00 | 0.93   | 90.0 | 0.84   |
| 03/01/2018 | PERETTI, FRANCES      | AM FUNDS AMERICAN BALANCED 529A     | 0.00 | 0.93   | 0.00 | 0.93   | 90.0 | 0.84   |
| 03/01/2018 | CAMPAGNA, MARIE       | AM FUNDS AMERICAN BALANCED 529C     | 0.00 | 5.20   | 0.00 | 5.20   | 90.0 | 4.68   |
| 03/01/2018 | CHERRY, ADAM          | AM FUNDS AMERICAN BALANCED 529C     | 0.00 | 125.26 | 0.00 | 125.26 | 90.0 | 112.73 |
| 03/01/2018 | CAMPAGNA, MARIE       | AM FUNDS AMERICAN BALANCED 529C     | 0.00 | 3.73   | 0.00 | 3.73   | 90.0 | 3.36   |
| 03/01/2018 | CAMPAGNA, MARIE       | AM FUNDS AMERICAN BALANCED 529C     | 0.00 | 3.73   | 0.00 | 3.73   | 90.0 | 3.36   |
| 02/21/2018 | BERK, SHERRI          | AM FUNDS AMERICAN BALANCED A        | 0.00 | 0.19   | 0.00 | 0.19   | 90.0 | 0.17   |

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|--|-----------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u>DIRECT TRANSACTIONS</u></b>                |                       |                                     |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</b> |                       |                                     |                      |                     |                    |                   |      |                      |
| 02/21/2018                                       | MELVIN, MARY THOMPSON | AM FUNDS AMERICAN BALANCED A        | 0.00                 | 1.58                | 0.00               | 1.58              | 90.0 | 1.42                 |
| 02/21/2018                                       | TAYLOR, THOMAS        | AM FUNDS AMERICAN BALANCED A        | 0.00                 | 0.52                | 0.00               | 0.52              | 90.0 | 0.47                 |
| 02/21/2018                                       | TAYLOR, DIANE         | AM FUNDS AMERICAN BALANCED A        | 0.00                 | 0.52                | 0.00               | 0.52              | 90.0 | 0.47                 |
| 02/21/2018                                       | APPLEGATE, PAMAEALA   | AM FUNDS AMERICAN BALANCED A        | 0.00                 | 1.06                | 0.00               | 1.06              | 90.0 | 0.95                 |
| 03/01/2018                                       | MORETTI, VINCENT      | AM FUNDS AMERICAN BALANCED A        | 0.00                 | 3.58                | 0.00               | 3.58              | 90.0 | 3.22                 |
| 03/01/2018                                       | MORETTI, GINA         | AM FUNDS AMERICAN BALANCED A        | 0.00                 | 3.70                | 0.00               | 3.70              | 90.0 | 3.33                 |
| 03/01/2018                                       | CIMMINO, DEAN         | AM FUNDS AMERICAN MUTUAL 529A       | 0.00                 | 0.61                | 0.00               | 0.61              | 90.0 | 0.55                 |
| 03/01/2018                                       | CIMMINO, DEAN         | AM FUNDS AMERICAN MUTUAL 529A       | 0.00                 | 0.27                | 0.00               | 0.27              | 90.0 | 0.24                 |
| 03/01/2018                                       | HENDRICKSON, CHARLENE | AM FUNDS AMERICAN MUTUAL 529A       | 0.00                 | 1.51                | 0.00               | 1.51              | 90.0 | 1.36                 |
| 03/01/2018                                       | HENDRICKSON, CHARLENE | AM FUNDS AMERICAN MUTUAL 529A       | 0.00                 | 1.51                | 0.00               | 1.51              | 90.0 | 1.36                 |
| 03/01/2018                                       | CHERRY, ADAM          | AM FUNDS AMERICAN MUTUAL 529C       | 0.00                 | 132.87              | 0.00               | 132.87            | 90.0 | 119.58               |
| 03/01/2018                                       | CANUSO, CANDACE       | AM FUNDS BOND FUND OF AMERICA 529A  | 0.00                 | 0.81                | 0.00               | 0.81              | 90.0 | 0.73                 |
| 03/01/2018                                       | ALTMAN, SHARON        | AM FUNDS BOND FUND OF AMERICA 529A  | 0.00                 | 1.72                | 0.00               | 1.72              | 90.0 | 1.55                 |
| 03/01/2018                                       | BENDICK, ETHEL        | AM FUNDS BOND FUND OF AMERICA 529A  | 0.00                 | 1.90                | 0.00               | 1.90              | 90.0 | 1.71                 |
| 03/01/2018                                       | CANUSO, CANDACE       | AM FUNDS CAPITAL INCOME BUILDER 529 | 0.00                 | 6.21                | 0.00               | 6.21              | 90.0 | 5.59                 |
| 03/01/2018                                       | CANUSO, CANDACE       | AM FUNDS CAPITAL INCOME BUILDER 529 | 0.00                 | 1.04                | 0.00               | 1.04              | 90.0 | 0.94                 |
| 03/01/2018                                       | ALTMAN, SHARON        | AM FUNDS CAPITAL INCOME BUILDER 529 | 0.00                 | 2.09                | 0.00               | 2.09              | 90.0 | 1.88                 |
| 03/01/2018                                       | BENDICK, ETHEL        | AM FUNDS CAPITAL INCOME BUILDER 529 | 0.00                 | 2.42                | 0.00               | 2.42              | 90.0 | 2.18                 |
| 02/21/2018                                       | RIZZO, DIANE          | AM FUNDS CAPITAL INCOME BUILDER A   | 0.00                 | 1.04                | 0.00               | 1.04              | 90.0 | 0.94                 |
| 02/21/2018                                       | APPLEGATE, PAMAEALA   | AM FUNDS CAPITAL INCOME BUILDER A   | 0.00                 | 0.85                | 0.00               | 0.85              | 90.0 | 0.77                 |
| 03/01/2018                                       | CAMPAGNA, MARIE       | AM FUNDS CAPITAL WORLD BOND 529A    | 0.00                 | 0.85                | 0.00               | 0.85              | 90.0 | 0.77                 |
| 03/01/2018                                       | CANUSO, CANDACE       | AM FUNDS CAPITAL WORLD GRTH & INC 5 | 0.00                 | 7.55                | 0.00               | 7.55              | 90.0 | 6.80                 |
| 03/01/2018                                       | CANUSO, CANDACE       | AM FUNDS CAPITAL WORLD GRTH & INC 5 | 0.00                 | 1.25                | 0.00               | 1.25              | 90.0 | 1.13                 |
| 03/01/2018                                       | WALENCZYK, BRENDA     | AM FUNDS CAPITAL WORLD GRTH & INC 5 | 0.00                 | 9.35                | 0.00               | 9.35              | 90.0 | 8.42                 |
| 03/01/2018                                       | WALENCZYK, BRENDA     | AM FUNDS CAPITAL WORLD GRTH & INC 5 | 0.00                 | 8.45                | 0.00               | 8.45              | 90.0 | 7.61                 |
| 03/01/2018                                       | CAMPAGNA, MARIE       | AM FUNDS CAPITAL WORLD GRTH & INC 5 | 0.00                 | 1.88                | 0.00               | 1.88              | 90.0 | 1.69                 |
| 03/01/2018                                       | ALTMAN, SHARON        | AM FUNDS CAPITAL WORLD GRTH & INC 5 | 0.00                 | 3.91                | 0.00               | 3.91              | 90.0 | 3.52                 |
| 03/01/2018                                       | CIMMINO, DEAN         | AM FUNDS CAPITAL WORLD GRTH & INC 5 | 0.00                 | 0.80                | 0.00               | 0.80              | 90.0 | 0.72                 |
| 03/01/2018                                       | CIMMINO, DEAN         | AM FUNDS CAPITAL WORLD GRTH & INC 5 | 0.00                 | 0.50                | 0.00               | 0.50              | 90.0 | 0.45                 |
| 03/01/2018                                       | HENDRICKSON, CHARLENE | AM FUNDS CAPITAL WORLD GRTH & INC 5 | 0.00                 | 1.43                | 0.00               | 1.43              | 90.0 | 1.29                 |
| 03/01/2018                                       | HENDRICKSON, CHARLENE | AM FUNDS CAPITAL WORLD GRTH & INC 5 | 0.00                 | 1.43                | 0.00               | 1.43              | 90.0 | 1.29                 |
| 03/01/2018                                       | CAMPAGNA, MARIE       | AM FUNDS CAPITAL WORLD GRTH & INC 5 | 0.00                 | 6.05                | 0.00               | 6.05              | 90.0 | 5.45                 |
| 03/01/2018                                       | CHERRY, ADAM          | AM FUNDS CAPITAL WORLD GRTH & INC 5 | 0.00                 | 127.14              | 0.00               | 127.14            | 90.0 | 114.43               |

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|---|-----------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u>DIRECT TRANSACTIONS</u></b>                       |                       |                                     |                      |                     |                    |                   |      |                      |
| <b><u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u></b> |                       |                                     |                      |                     |                    |                   |      |                      |
| 03/01/2018  | CAMPAGNA, MARIE       | AM FUNDS CAPITAL WORLD GRTH & INC 5 | 0.00                 | 4.02                | 0.00               | 4.02              | 90.0 | 3.62                 |
| 03/01/2018  | CAMPAGNA, MARIE       | AM FUNDS CAPITAL WORLD GRTH & INC 5 | 0.00                 | 4.02                | 0.00               | 4.02              | 90.0 | 3.62                 |
| 02/21/2018  | LINSKY, LISA          | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00                 | 4.21                | 0.00               | 4.21              | 90.0 | 3.79                 |
| 02/21/2018  | MEDIA ENTERPRISES     | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00                 | 3.35                | 0.00               | 3.35              | 90.0 | 3.02                 |
| 02/21/2018  | RIZZO, DIANE          | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00                 | 1.40                | 0.00               | 1.40              | 90.0 | 1.26                 |
| 02/21/2018  | MELVIN, GREG          | AM FUNDS CAPITAL WORLD GRTH & INC A | 0.00                 | 0.79                | 0.00               | 0.79              | 90.0 | 0.71                 |
| 02/21/2018  | POLLAN, JACLYN        | AM FUNDS CAPITAL WORLD GRTH & INC C | 0.00                 | 3.06                | 0.00               | 3.06              | 90.0 | 2.75                 |
| 03/01/2018  | CENTANNI, RICHARD     | AM FUNDS COLLEGE 2030 FUND 529A     | 0.00                 | 7.72                | 0.00               | 7.72              | 90.0 | 6.95                 |
| 02/21/2018  | FLEISCH, ROBERT       | AM FUNDS EUROPACIFIC GROWTH FUND A  | 0.00                 | 14.39               | 0.00               | 14.39             | 90.0 | 12.95                |
| 03/01/2018  | CANUSO, CANDACE       | AM FUNDS FUNDAMENTAL INVESTORS 529A | 0.00                 | 9.26                | 0.00               | 9.26              | 90.0 | 8.33                 |
| 03/01/2018  | CANUSO, CANDACE       | AM FUNDS FUNDAMENTAL INVESTORS 529A | 0.00                 | 0.79                | 0.00               | 0.79              | 90.0 | 0.71                 |
| 02/21/2018  | MELVIN, MARY THOMPSON | AM FUNDS FUNDAMENTAL INVESTORS A    | 0.00                 | 1.72                | 0.00               | 1.72              | 90.0 | 1.55                 |
| 03/01/2018  | BENFER, ANDREW        | AM FUNDS FUNDAMENTAL INVESTORS A    | 0.00                 | 12.81               | 0.00               | 12.81             | 90.0 | 11.53                |
| 03/01/2018  | CANUSO, CANDACE       | AM FUNDS GROWTH FUND OF AMERICA 529 | 0.00                 | 8.90                | 0.00               | 8.90              | 90.0 | 8.01                 |
| 03/01/2018  | ALTMAN, SHARON        | AM FUNDS GROWTH FUND OF AMERICA 529 | 0.00                 | 3.66                | 0.00               | 3.66              | 90.0 | 3.29                 |
| 03/01/2018  | ALTMAN, SHARON        | AM FUNDS GROWTH FUND OF AMERICA 529 | 0.00                 | 3.38                | 0.00               | 3.38              | 90.0 | 3.04                 |
| 03/01/2018  | PERETTI, FRANCES      | AM FUNDS GROWTH FUND OF AMERICA 529 | 0.00                 | 0.31                | 0.00               | 0.31              | 90.0 | 0.28                 |
| 03/01/2018  | PERETTI, FRANCES      | AM FUNDS GROWTH FUND OF AMERICA 529 | 0.00                 | 0.97                | 0.00               | 0.97              | 90.0 | 0.87                 |
| 02/21/2018  | CHERRY, AYDEN         | AM FUNDS GROWTH FUND OF AMERICA A   | 0.00                 | 1.00                | 0.00               | 1.00              | 90.0 | 0.90                 |
| 02/21/2018  | LINSKY, LISA          | AM FUNDS GROWTH FUND OF AMERICA A   | 0.00                 | 5.11                | 0.00               | 5.11              | 90.0 | 4.60                 |
| 02/21/2018  | RIZZO, DIANE          | AM FUNDS GROWTH FUND OF AMERICA A   | 0.00                 | 1.69                | 0.00               | 1.69              | 90.0 | 1.52                 |
| 02/21/2018  | OLIVETI, FRANK        | AM FUNDS GROWTH FUND OF AMERICA A   | 0.00                 | 6.99                | 0.00               | 6.99              | 90.0 | 6.29                 |
| 02/21/2018  | BERK, SHERRI          | AM FUNDS GROWTH FUND OF AMERICA A   | 0.00                 | 5.29                | 0.00               | 5.29              | 90.0 | 4.76                 |
| 02/21/2018  | PERETTI, TERESA       | AM FUNDS GROWTH FUND OF AMERICA A   | 0.00                 | 2.00                | 0.00               | 2.00              | 90.0 | 1.80                 |
| 02/21/2018  | CENTANNI, BETTY       | AM FUNDS GROWTH FUND OF AMERICA A   | 0.00                 | 0.43                | 0.00               | 0.43              | 90.0 | 0.39                 |
| 02/21/2018  | CENTANNI, RICHARD     | AM FUNDS GROWTH FUND OF AMERICA A   | 0.00                 | 1.06                | 0.00               | 1.06              | 90.0 | 0.95                 |
| 02/21/2018  | AYES, NICOLE          | AM FUNDS GROWTH FUND OF AMERICA A   | 0.00                 | 1.59                | 0.00               | 1.59              | 90.0 | 1.43                 |
| 02/21/2018  | NATHAN, EDWARD        | AM FUNDS GROWTH FUND OF AMERICA A   | 0.00                 | 0.73                | 0.00               | 0.73              | 90.0 | 0.66                 |
| 02/21/2018  | NATHAN, EDWARD        | AM FUNDS GROWTH FUND OF AMERICA A   | 0.00                 | 1.18                | 0.00               | 1.18              | 90.0 | 1.06                 |
| 02/21/2018  | NATHAN, SUSAN         | AM FUNDS GROWTH FUND OF AMERICA A   | 0.00                 | 0.72                | 0.00               | 0.72              | 90.0 | 0.65                 |
| 03/01/2018  | MORETTI, VINCENT      | AM FUNDS GROWTH FUND OF AMERICA A   | 0.00                 | 4.37                | 0.00               | 4.37              | 90.0 | 3.93                 |
| 03/01/2018  | MORETTI, GINA         | AM FUNDS GROWTH FUND OF AMERICA A   | 0.00                 | 4.61                | 0.00               | 4.61              | 90.0 | 4.15                 |
| 02/21/2018  | SPECTER, LINDSAY      | AM FUNDS GROWTH FUND OF AMERICA C   | 0.00                 | 3.01                | 0.00               | 3.01              | 90.0 | 2.71                 |

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| DATE  | CLIENT                   | INVESTMENT                          | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|---|--------------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u>DIRECT TRANSACTIONS</u></b>                       |                          |                                     |                      |                     |                    |                   |      |                      |
| <b><u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u></b> |                          |                                     |                      |                     |                    |                   |      |                      |
| 02/21/2018  | POLLAN, JACLYN           | AM FUNDS GROWTH FUND OF AMERICA F1  | 0.00                 | 2.96                | 0.00               | 2.96              | 90.0 | 2.66                 |
| 02/21/2018  | SPECTER, LINDSAY         | AM FUNDS GROWTH FUND OF AMERICA F1  | 0.00                 | 6.07                | 0.00               | 6.07              | 90.0 | 5.46                 |
| 02/21/2018  | SPECTER, SHELBY          | AM FUNDS GROWTH FUND OF AMERICA F1  | 0.00                 | 6.16                | 0.00               | 6.16              | 90.0 | 5.54                 |
| 02/21/2018  | RIZZO, DIANE             | AM FUNDS ICA A                      | 0.00                 | 1.66                | 0.00               | 1.66              | 90.0 | 1.49                 |
| 02/21/2018  | FLEISCH, ROBERT          | AM FUNDS ICA A                      | 0.00                 | 9.92                | 0.00               | 9.92              | 90.0 | 8.93                 |
| 02/21/2018  | BOND-HILTNER, LINDA      | AM FUNDS ICA A                      | 0.00                 | 0.38                | 0.00               | 0.38              | 90.0 | 0.34                 |
| 02/21/2018  | LINSKY, MARC             | AM FUNDS ICA A                      | 0.00                 | 0.47                | 0.00               | 0.47              | 90.0 | 0.42                 |
| 02/21/2018  | NATHAN, EDWARD           | AM FUNDS ICA A                      | 0.00                 | 0.63                | 0.00               | 0.63              | 90.0 | 0.57                 |
| 02/21/2018  | NATHAN, EDWARD           | AM FUNDS ICA A                      | 0.00                 | 1.02                | 0.00               | 1.02              | 90.0 | 0.92                 |
| 02/21/2018  | NATHAN, SUSAN            | AM FUNDS ICA A                      | 0.00                 | 0.62                | 0.00               | 0.62              | 90.0 | 0.56                 |
| 02/21/2018  | TAYLOR, THOMAS           | AM FUNDS ICA A                      | 0.00                 | 0.64                | 0.00               | 0.64              | 90.0 | 0.58                 |
| 02/21/2018  | TAYLOR, DIANE            | AM FUNDS ICA A                      | 0.00                 | 0.64                | 0.00               | 0.64              | 90.0 | 0.58                 |
| 02/21/2018  | APPLEGATE, PAMAEALA      | AM FUNDS ICA A                      | 0.00                 | 1.11                | 0.00               | 1.11              | 90.0 | 1.00                 |
| 02/21/2018  | SPECTER, SHELBY          | AM FUNDS ICA C                      | 0.00                 | 5.95                | 0.00               | 5.95              | 90.0 | 5.36                 |
| 02/21/2018  | SPECTER TRUST, STEPHANIE | AM FUNDS ICA F1                     | 0.00                 | 13.92               | 0.00               | 13.92             | 90.0 | 12.53                |
| 02/21/2018  | SPECTER, LINDSAY         | AM FUNDS ICA F1                     | 0.00                 | 5.40                | 0.00               | 5.40              | 90.0 | 4.86                 |
| 02/21/2018  | SPECTER, SHELBY          | AM FUNDS ICA F1                     | 0.00                 | 5.17                | 0.00               | 5.17              | 90.0 | 4.65                 |
| 02/21/2018  | GARAFOLA, MICHAEL        | AM FUNDS INCOME FUND OF AMERICA A   | 0.00                 | 5.28                | 0.00               | 5.28              | 90.0 | 4.75                 |
| 02/21/2018  | GARAFOLA, GRACE          | AM FUNDS INCOME FUND OF AMERICA A   | 0.00                 | 4.63                | 0.00               | 4.63              | 90.0 | 4.17                 |
| 02/21/2018  | GARAFOLA, MICHAEL        | AM FUNDS INCOME FUND OF AMERICA A   | 0.00                 | 21.67               | 0.00               | 21.67             | 90.0 | 19.50                |
| 02/21/2018  | MEDIA ENTERPRISES        | AM FUNDS INCOME FUND OF AMERICA A   | 0.00                 | 3.31                | 0.00               | 3.31              | 90.0 | 2.98                 |
| 03/01/2018  | PERETTI, FRANCES         | AM FUNDS INCOME FUND OF AMERICA-529 | 0.00                 | 0.71                | 0.00               | 0.71              | 90.0 | 0.64                 |
| 03/01/2018  | PERETTI, FRANCES         | AM FUNDS INCOME FUND OF AMERICA-529 | 0.00                 | 0.71                | 0.00               | 0.71              | 90.0 | 0.64                 |
| 03/01/2018  | ALTMAN, SHARON           | AM FUNDS INTL GROWTH AND INCOME 529 | 0.00                 | 1.50                | 0.00               | 1.50              | 90.0 | 1.35                 |
| 03/01/2018  | ALTMAN, SHARON           | AM FUNDS NEW ECONOMY 529A           | 0.00                 | 3.57                | 0.00               | 3.57              | 90.0 | 3.21                 |
| 03/01/2018  | PERETTI, FRANCES         | AM FUNDS NEW PERSPECTIVE 529A       | 0.00                 | 0.70                | 0.00               | 0.70              | 90.0 | 0.63                 |
| 02/21/2018  | TAYLOR, THOMAS           | AM FUNDS NEW PERSPECTIVE A          | 0.00                 | 0.84                | 0.00               | 0.84              | 90.0 | 0.76                 |
| 02/21/2018  | TAYLOR, DIANE            | AM FUNDS NEW PERSPECTIVE A          | 0.00                 | 0.84                | 0.00               | 0.84              | 90.0 | 0.76                 |
| 02/21/2018  | APPLEGATE, PAMAEALA      | AM FUNDS NEW PERSPECTIVE A          | 0.00                 | 1.19                | 0.00               | 1.19              | 90.0 | 1.07                 |
| 03/01/2018  | CANUSO, CANDACE          | AM FUNDS NEW WORLD 529A             | 0.00                 | 7.04                | 0.00               | 7.04              | 90.0 | 6.34                 |
| 02/21/2018  | MELVIN, MARY THOMPSON    | AM FUNDS SMALLCAP WORLD A           | 0.00                 | 1.70                | 0.00               | 1.70              | 90.0 | 1.53                 |
| 03/01/2018  | CANUSO, CANDACE          | AM FUNDS U.S. GOVERNMENT SECURITIES | 0.00                 | 0.41                | 0.00               | 0.41              | 90.0 | 0.37                 |
| 03/01/2018  | CAMPAGNA, MARIE          | AM FUNDS U.S. GOVERNMENT SECURITIES | 0.00                 | 0.60                | 0.00               | 0.60              | 90.0 | 0.54                 |

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|---|---------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u>DIRECT TRANSACTIONS</u></b>                       |                     |                                     |                      |                     |                    |                   |      |                      |
| <b><u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u></b> |                     |                                     |                      |                     |                    |                   |      |                      |
| 03/01/2018  | ALTMAN, SHARON      | AM FUNDS U.S. GOVERNMENT SECURITIES | 0.00                 | 1.11                | 0.00               | 1.11              | 90.0 | 1.00                 |
| 03/01/2018  | CAMPAGNA, MARIE     | AM FUNDS US GOVT SECURITIES 529C    | 0.00                 | 3.46                | 0.00               | 3.46              | 90.0 | 3.11                 |
| 03/01/2018  | CAMPAGNA, MARIE     | AM FUNDS US GOVT SECURITIES 529C    | 0.00                 | 2.48                | 0.00               | 2.48              | 90.0 | 2.23                 |
| 03/01/2018  | CAMPAGNA, MARIE     | AM FUNDS US GOVT SECURITIES 529C    | 0.00                 | 2.48                | 0.00               | 2.48              | 90.0 | 2.23                 |
| 02/21/2018  | OLIVETI, FRANK      | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00                 | 6.36                | 0.00               | 6.36              | 90.0 | 5.72                 |
| 02/21/2018  | BOND-HILTNER, LINDA | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00                 | 0.37                | 0.00               | 0.37              | 90.0 | 0.33                 |
| 02/21/2018  | PERETTI, TERESA     | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00                 | 1.60                | 0.00               | 1.60              | 90.0 | 1.44                 |
| 02/21/2018  | LINSKY, MARC        | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00                 | 0.46                | 0.00               | 0.46              | 90.0 | 0.41                 |
| 02/21/2018  | NATHAN, EDWARD      | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00                 | 0.63                | 0.00               | 0.63              | 90.0 | 0.57                 |
| 02/21/2018  | NATHAN, EDWARD      | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00                 | 1.02                | 0.00               | 1.02              | 90.0 | 0.92                 |
| 02/21/2018  | NATHAN, SUSAN       | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00                 | 0.62                | 0.00               | 0.62              | 90.0 | 0.56                 |
| 03/01/2018  | WALENCZYK, BRENDA   | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00                 | 8.29                | 0.00               | 8.29              | 90.0 | 7.46                 |
| 03/01/2018  | WALENCZYK, BRENDA   | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00                 | 7.32                | 0.00               | 7.32              | 90.0 | 6.59                 |
| 03/01/2018  | PERETTI, FRANCES    | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00                 | 0.68                | 0.00               | 0.68              | 90.0 | 0.61                 |
| 02/16/2018  | O'DONNELL, PATRICIA | AMERICAN CENTURY STRATEGIC ALLOC MO | 0.00                 | 2.90                | 0.00               | 2.90              | 90.0 | 2.61                 |
| 02/22/2018  | PLEVAK, MICHAEL     | BLACKROCK EQUITY DIVIDEND FUND CL C | 0.00                 | 19.84               | 0.00               | 19.84             | 90.0 | 17.86                |
| 02/21/2018  | PERETTI, TERESA     | CALAMOS GROWTH A                    | 0.00                 | 1.63                | 0.00               | 1.63              | 90.0 | 1.47                 |
| 02/21/2018  | DUBIN, JON          | CALAMOS GROWTH A                    | 0.00                 | 5.11                | 0.00               | 5.11              | 90.0 | 4.60                 |
| 03/01/2018  | CAMPAGNA, MARIE     | CAPITAL WORLD BOND FUND-529C        | 0.00                 | 3.61                | 0.00               | 3.61              | 90.0 | 3.25                 |
| 03/01/2018  | CAMPAGNA, MARIE     | CAPITAL WORLD BOND FUND-529C        | 0.00                 | 2.55                | 0.00               | 2.55              | 90.0 | 2.30                 |
| 03/01/2018  | CAMPAGNA, MARIE     | CAPITAL WORLD BOND FUND-529C        | 0.00                 | 2.55                | 0.00               | 2.55              | 90.0 | 2.30                 |
| 03/01/2018  | ARMSTRONG, CARTER   | COLLEGE 2033 FUND-529A              | 0.00                 | 3.56                | 0.00               | 3.56              | 90.0 | 3.20                 |
| 03/01/2018  | CENTANNI, RICHARD   | COLLEGE 2033 FUND-529A              | 0.00                 | 6.30                | 0.00               | 6.30              | 90.0 | 5.67                 |
| 03/01/2018  | CAMARDO, SHANE      | COLLEGE 2033 FUND-529A              | 0.00                 | 0.54                | 0.00               | 0.54              | 90.0 | 0.49                 |
| 02/15/2018  | MEDIA ENTERPRISES   | COLUMBIA ACORN A                    | 0.00                 | 1.19                | 0.00               | 1.19              | 90.0 | 1.07                 |
| 02/15/2018  | FLEISCH, ROBERT     | COLUMBIA ACORN A                    | 0.00                 | 16.12               | 0.00               | 16.12             | 90.0 | 14.51                |
| 02/15/2018  | FLEISCH, ROBERT     | COLUMBIA ACORN SELECT A             | 0.00                 | 8.34                | 0.00               | 8.34              | 90.0 | 7.51                 |
| 02/15/2018  | MEDIA ENTERPRISES   | COLUMBIA ACORN USA FUND CLASS A     | 0.00                 | 3.01                | 0.00               | 3.01              | 90.0 | 2.71                 |
| 02/15/2018  | BOWERS, DORA        | COLUMBIA DIVERSIFIED EQUITY INCOME  | 0.00                 | 1.20                | 0.00               | 1.20              | 90.0 | 1.08                 |
| 02/15/2018  | MEDIA ENTERPRISES   | COLUMBIA EQUITY VALUE A             | 0.00                 | 0.33                | 0.00               | 0.33              | 90.0 | 0.30                 |
| 02/15/2018  | MEDIA ENTERPRISES   | COLUMBIA LARGECAP GROWTH A          | 0.00                 | 0.37                | 0.00               | 0.37              | 90.0 | 0.33                 |
| 02/15/2018  | MELVIN, GREG        | COLUMBIA MARSICO FOCUSED EQUITIES F | 0.00                 | 1.03                | 0.00               | 1.03              | 90.0 | 0.93                 |
| 02/15/2018  | MEDIA ENTERPRISES   | COLUMBIA MIDCAP VALUE A             | 0.00                 | 2.61                | 0.00               | 2.61              | 90.0 | 2.35                 |

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|---|-----------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u>DIRECT TRANSACTIONS</u></b>                       |                       |                                     |                      |                     |                    |                   |      |                      |
| <b><u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u></b> |                       |                                     |                      |                     |                    |                   |      |                      |
| 02/15/2018  | BOWERS, DORA          | COLUMBIA SELECT LARGE CAP GROWTH FU | 0.00                 | 1.15                | 0.00               | 1.15              | 90.0 | 1.04                 |
| 02/15/2018  | FLEISCH, ROBERT       | COLUMBIA SMALL CAP INDEX FUND CLASS | 0.00                 | 12.52               | 0.00               | 12.52             | 90.0 | 11.27                |
| 02/15/2018  | BOWERS, DORA          | COLUMBIA SMALL CAP VALUE FUND II CL | 0.00                 | 0.21                | 0.00               | 0.21              | 90.0 | 0.19                 |
| 02/15/2018  | FLEISCH, ROBERT       | COLUMBIA STRATEGIC INCOME A         | 0.00                 | 2.46                | 0.00               | 2.46              | 90.0 | 2.21                 |
| 02/16/2018  | CENTANNI, BETTY       | DAVIS NEW YORK VENTURE A            | 0.00                 | 0.47                | 0.00               | 0.47              | 90.0 | 0.42                 |
| 02/16/2018  | CENTANNI, RICHARD     | DAVIS NEW YORK VENTURE A            | 0.00                 | 0.62                | 0.00               | 0.62              | 90.0 | 0.56                 |
| 02/15/2018  | GUERRIERI, CHARLES    | DREYFUS CORE EQUITY FUND CLASS A    | 0.00                 | 3.69                | 0.00               | 3.69              | 90.0 | 3.32                 |
| 02/15/2018  | COHEN, HARRIET        | DREYFUS NEW JERSEY MUNICIPAL BOND F | 0.00                 | 64.09               | 0.00               | 64.09             | 90.0 | 57.68                |
| 02/14/2018  | BOWERS, DORA          | EATON VANCE LARGE-CAP VALUE FUND CL | 0.00                 | 0.81                | 0.00               | 0.81              | 90.0 | 0.73                 |
| 02/16/2018  | HANKINS, ROBERT       | FEDERATED HIGH INCOME BOND FUND INC | 0.00                 | 1.13                | 0.00               | 1.13              | 90.0 | 1.02                 |
| 02/16/2018  | CENTANNI, BETTY       | FEDERATED KAUFMANN FUND A           | 0.00                 | 0.39                | 0.00               | 0.39              | 90.0 | 0.35                 |
| 02/23/2018  | FLEISCH, ROBERT       | FIDELITY ADV FLOATING RATE HIGH INC | 0.00                 | 7.98                | 0.00               | 7.98              | 90.0 | 7.18                 |
| 02/20/2018  | FLEISCH, ROBERT       | FIDELITY ADV STRATEGIC INCOME A     | 0.00                 | 9.08                | 0.00               | 9.08              | 90.0 | 8.17                 |
| 02/20/2018  | CENTANNI, BETTY       | FIDELITY ADV STRATEGIC INCOME C     | 0.00                 | 1.56                | 0.00               | 1.56              | 90.0 | 1.40                 |
| 02/20/2018  | CENTANNI, RICHARD     | FIDELITY ADV STRATEGIC INCOME C     | 0.00                 | 6.21                | 0.00               | 6.21              | 90.0 | 5.59                 |
| 02/20/2018  | BOWERS, DORA          | FIDELITY ADVISOR MID CAP II FUND CL | 0.00                 | 0.30                | 0.00               | 0.30              | 90.0 | 0.27                 |
| 02/20/2018  | BEYERLE, PATRICIA     | FIDELITY MIDCAP II T                | 0.00                 | 2.33                | 0.00               | 2.33              | 90.0 | 2.10                 |
| 02/22/2018  | FLEISCH, ROBERT       | FRANKLIN DYNATECH A                 | 0.00                 | 14.26               | 0.00               | 14.26             | 90.0 | 12.83                |
| 02/22/2018  | FLEISCH, ROBERT       | FRANKLIN GOLD & PRECIOUS METALS A   | 0.00                 | 3.26                | 0.00               | 3.26              | 90.0 | 2.93                 |
| 02/22/2018  | HASTINGS TURST, OSCAR | FRANKLIN INCOME A                   | 0.00                 | 1.19                | 0.00               | 1.19              | 90.0 | 1.07                 |
| 02/22/2018  | FLEISCHMAN, RITA      | FRANKLIN INCOME A                   | 0.00                 | 5.58                | 0.00               | 5.58              | 90.0 | 5.02                 |
| 02/22/2018  | COBB, DOROTHY         | FRANKLIN INCOME A                   | 0.00                 | 0.82                | 0.00               | 0.82              | 90.0 | 0.74                 |
| 02/22/2018  | CENTANNI, RICHARD     | FRANKLIN MUTUAL GLOBAL DISCOVERY A  | 0.00                 | 0.61                | 0.00               | 0.61              | 90.0 | 0.55                 |
| 02/22/2018  | GREENWELL, MARION     | FRNKLN FLOATING RATE DLY ACCESS FND | 0.00                 | 2.86                | 0.00               | 2.86              | 90.0 | 2.57                 |
| 02/16/2018  | BOWERS, STEVEN        | GOLDMAN SACHS CAPITAL GROWTH FUND C | 0.00                 | 17.95               | 0.00               | 17.95             | 90.0 | 16.16                |
| 02/16/2018  | BOWERS, DORA          | GOLDMAN SACHS MID CAP VALUE FD CLAS | 0.00                 | 0.24                | 0.00               | 0.24              | 90.0 | 0.22                 |
| 02/16/2018  | PARSONS, MICHELLE     | GOLDMAN SACHS U.S. EQUITY INSIGHTS  | 0.00                 | 0.71                | 0.00               | 0.71              | 90.0 | 0.64                 |
| 02/16/2018  | NANI, JOSEPH          | GRIFFIN INST'L ACCESS R E FUND C    | 0.00                 | 0.72                | 0.00               | 0.72              | 90.0 | 0.65                 |
| 02/16/2018  | NANI, JOSEPH          | GRIFFIN INST'L ACCESS R E FUND C    | 0.00                 | 2.15                | 0.00               | 2.15              | 90.0 | 1.94                 |
| 02/16/2018  | CHERRY, ADAM          | GRIFFIN INST'L ACCESS R E FUND C    | 0.00                 | 4.92                | 0.00               | 4.92              | 90.0 | 4.43                 |
| 02/16/2018  | CHERRY, ADAM          | GRIFFIN INST'L ACCESS R E FUND C    | 0.00                 | 14.75               | 0.00               | 14.75             | 90.0 | 13.28                |
| 02/16/2018  | HASTINGS TURST, OSCAR | GRIFFIN INST'L ACCESS R E FUND C    | 0.00                 | 3.29                | 0.00               | 3.29              | 90.0 | 2.96                 |
| 02/16/2018  | HASTINGS TURST, OSCAR | GRIFFIN INST'L ACCESS R E FUND C    | 0.00                 | 9.87                | 0.00               | 9.87              | 90.0 | 8.88                 |

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|---|----------------------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u>DIRECT TRANSACTIONS</u></b>                       |                                  |                                     |                      |                     |                    |                   |      |                      |
| <b><u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u></b> |                                  |                                     |                      |                     |                    |                   |      |                      |
| 02/16/2018  | FLEISCHMAN, RITA                 | GRIFFIN INST'L ACCESS R E FUND C    | 0.00                 | 6.51                | 0.00               | 6.51              | 90.0 | 5.86                 |
| 02/16/2018  | FLEISCHMAN, RITA                 | GRIFFIN INST'L ACCESS R E FUND C    | 0.00                 | 19.52               | 0.00               | 19.52             | 90.0 | 17.57                |
| 02/16/2018  | NIEMINEN, BARBARA                | GRIFFIN INST'L ACCESS R E FUND C    | 0.00                 | 2.36                | 0.00               | 2.36              | 90.0 | 2.12                 |
| 02/16/2018  | NIEMINEN, BARBARA                | GRIFFIN INST'L ACCESS R E FUND C    | 0.00                 | 7.07                | 0.00               | 7.07              | 90.0 | 6.36                 |
| 02/16/2018  | NAYAK, SHAILA                    | GRIFFIN INST'L ACCESS R E FUND C    | 0.00                 | 15.03               | 0.00               | 15.03             | 90.0 | 13.53                |
| 02/16/2018  | NAYAK, SHAILA                    | GRIFFIN INST'L ACCESS R E FUND C    | 0.00                 | 45.09               | 0.00               | 45.09             | 90.0 | 40.58                |
| 02/16/2018  | BACHMAN, ALLEN                   | GRIFFIN INST'L ACCESS R E FUND C    | 0.00                 | 3.38                | 0.00               | 3.38              | 90.0 | 3.04                 |
| 02/16/2018  | BACHMAN, ALLEN                   | GRIFFIN INST'L ACCESS R E FUND C    | 0.00                 | 10.13               | 0.00               | 10.13             | 90.0 | 9.12                 |
| 02/16/2018  | GALERMAN, ALAN                   | GRIFFIN INST'L ACCESS R E FUND C    | 0.00                 | 4.52                | 0.00               | 4.52              | 90.0 | 4.07                 |
| 02/16/2018  | GALERMAN, ALAN                   | GRIFFIN INST'L ACCESS R E FUND C    | 0.00                 | 13.55               | 0.00               | 13.55             | 90.0 | 12.20                |
| 02/16/2018  | KLEIN, HOWARD                    | GRIFFIN INST'L ACCESS R E FUND C    | 0.00                 | 45.55               | 0.00               | 45.55             | 90.0 | 41.00                |
| 02/16/2018  | KLEIN, HOWARD                    | GRIFFIN INST'L ACCESS R E FUND C    | 0.00                 | 136.65              | 0.00               | 136.65            | 90.0 | 122.99               |
| 02/16/2018  | FARBMAN, ERIC                    | GRIFFIN INST'L ACCESS R E FUND C    | 0.00                 | 14.38               | 0.00               | 14.38             | 90.0 | 12.94                |
| 02/16/2018  | FARBMAN, ERIC                    | GRIFFIN INST'L ACCESS R E FUND C    | 0.00                 | 43.13               | 0.00               | 43.13             | 90.0 | 38.82                |
| 02/16/2018  | NAYAK EX TRUST, VASUDER          | GRIFFIN INST'L ACCESS R E FUND C    | 0.00                 | 7.49                | 0.00               | 7.49              | 90.0 | 6.74                 |
| 02/16/2018  | NAYAK EX TRUST, VASUDER          | GRIFFIN INST'L ACCESS R E FUND C    | 0.00                 | 22.48               | 0.00               | 22.48             | 90.0 | 20.23                |
| 02/16/2018  | FARBMAN TRUST, DANIEL & SANDRAGR | GRIFFIN INST'L ACCESS R E FUND C    | 0.00                 | 5.12                | 0.00               | 5.12              | 90.0 | 4.61                 |
| 02/16/2018  | FARBMAN TRUST, DANIEL & SANDRAGR | GRIFFIN INST'L ACCESS R E FUND C    | 0.00                 | 15.37               | 0.00               | 15.37             | 90.0 | 13.83                |
| 02/16/2018  | ROESKE, CHARLES                  | GRIFFIN INSTITUTIONAL ACCESS REAL E | 0.00                 | 4.43                | 0.00               | 4.43              | 90.0 | 3.99                 |
| 02/16/2018  | ROESKE, CHARLES                  | GRIFFIN INSTITUTIONAL ACCESS REAL E | 0.00                 | 6.26                | 0.00               | 6.26              | 90.0 | 5.63                 |
| 02/16/2018  | PERETTI, FRANCES                 | GRIFFIN INSTITUTIONAL ACCESS REAL E | 0.00                 | 4.22                | 0.00               | 4.22              | 90.0 | 3.80                 |
| 02/16/2018  | LEVY, RONI                       | GRIFFIN INSTITUTIONAL ACCESS REAL E | 0.00                 | 5.26                | 0.00               | 5.26              | 90.0 | 4.73                 |
| 02/21/2018  | SPECTER TRUST, STEPHANIE         | GUGGENHEIM INVERSE GOVT LONG BOND C | 0.00                 | 12.55               | 0.00               | 12.55             | 90.0 | 11.30                |
| 02/21/2018  | LINSKY, MARC                     | GUGGENHEIM INVERSE GOVT LONG BOND C | 0.00                 | 4.26                | 0.00               | 4.26              | 90.0 | 3.83                 |
| 02/20/2018  | LINSKY, LISA                     | HARTFORD CAPITAL APPRECIATION A     | 0.00                 | 4.13                | 0.00               | 4.13              | 90.0 | 3.72                 |
| 02/20/2018  | SPECTER TRUST, STEPHANIE         | HARTFORD CAPITAL APPRECIATION C     | 0.00                 | 93.99               | 0.00               | 93.99             | 90.0 | 84.59                |
| 02/20/2018  | MEDIA ENTERPRISES                | HARTFORD CAPITAL APPRECIATION C     | 0.00                 | 45.21               | 0.00               | 45.21             | 90.0 | 40.69                |
| 02/20/2018  | PERETTI JR, ANTHONY              | HARTFORD CAPITAL APPRECIATION C     | 0.00                 | 40.61               | 0.00               | 40.61             | 90.0 | 36.55                |
| 02/20/2018  | KLEIN, HOWARD                    | HARTFORD CAPITAL APPRECIATION C     | 0.00                 | 493.97              | 0.00               | 493.97            | 90.0 | 444.57               |
| 02/20/2018  | CAMARDO, DONNA                   | HARTFORD CAPITAL APPRECIATION C     | 0.00                 | 12.43               | 0.00               | 12.43             | 90.0 | 11.19                |
| 02/20/2018  | GODLBERG, SHARON                 | HARTFORD CAPITAL APPRECIATION C     | 0.00                 | 8.10                | 0.00               | 8.10              | 90.0 | 7.29                 |
| 02/20/2018  | BALZANO, AUGUSTUS                | HARTFORD CAPITAL APPRECIATION C     | 0.00                 | 8.63                | 0.00               | 8.63              | 90.0 | 7.77                 |
| 02/20/2018  | SPECTER, LINDSAY                 | HARTFORD CAPITAL APPRECIATION C     | 0.00                 | 36.55               | 0.00               | 36.55             | 90.0 | 32.90                |

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| DATE  | CLIENT                       | INVESTMENT                          | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|---|------------------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u>DIRECT TRANSACTIONS</u></b>                       |                              |                                     |                      |                     |                    |                   |      |                      |
| <b><u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u></b> |                              |                                     |                      |                     |                    |                   |      |                      |
| 02/20/2018  | SPECTER, SHELBY              | HARTFORD CAPITAL APPRECIATION C     | 0.00                 | 34.12               | 0.00               | 34.12             | 90.0 | 30.71                |
| 02/20/2018  | HARRIS, MORGAN               | HARTFORD CAPITAL APPRECIATION C     | 0.00                 | 12.43               | 0.00               | 12.43             | 90.0 | 11.19                |
| 02/20/2018  | BUSLER, SCOTT                | HARTFORD CAPITAL APPRECIATION C     | 0.00                 | 26.14               | 0.00               | 26.14             | 90.0 | 23.53                |
| 02/20/2018  | BUSLER, MARIANNE             | HARTFORD CAPITAL APPRECIATION C     | 0.00                 | 11.70               | 0.00               | 11.70             | 90.0 | 10.53                |
| 02/20/2018  | OLIVETI, ANTHONY             | HARTFORD CHECKS AND BALANCES FUND A | 0.00                 | 2.98                | 0.00               | 2.98              | 90.0 | 2.68                 |
| 02/20/2018  | OLIVETI, NICOLE              | HARTFORD CHECKS AND BALANCES FUND A | 0.00                 | 2.98                | 0.00               | 2.98              | 90.0 | 2.68                 |
| 02/20/2018  | PISANI, NICHOLAS             | HARTFORD CHECKS AND BALANCES FUND A | 0.00                 | 4.47                | 0.00               | 4.47              | 90.0 | 4.02                 |
| 02/20/2018  | SPECTER TRUST, STEPHANIE     | HARTFORD DIVIDEND & GROWTH C        | 0.00                 | 82.21               | 0.00               | 82.21             | 90.0 | 73.99                |
| 02/20/2018  | MEDIA ENTERPRISES            | HARTFORD DIVIDEND & GROWTH C        | 0.00                 | 51.27               | 0.00               | 51.27             | 90.0 | 46.14                |
| 02/20/2018  | CAMARDO, DONNA               | HARTFORD DIVIDEND & GROWTH C        | 0.00                 | 23.59               | 0.00               | 23.59             | 90.0 | 21.23                |
| 02/20/2018  | BALZANO, AUGUSTUS            | HARTFORD DIVIDEND & GROWTH C        | 0.00                 | 16.21               | 0.00               | 16.21             | 90.0 | 14.59                |
| 02/20/2018  | HARRIS, MORGAN               | HARTFORD DIVIDEND & GROWTH C        | 0.00                 | 23.60               | 0.00               | 23.60             | 90.0 | 21.24                |
| 02/20/2018  | SANDERLIN, CATHERINE         | HARTFORD DIVIDEND & GROWTH C        | 0.00                 | 2.53                | 0.00               | 2.53              | 90.0 | 2.28                 |
| 02/20/2018  | WILSON, KEVIN                | HARTFORD DIVIDEND & GROWTH C        | 0.00                 | 0.50                | 0.00               | 0.50              | 90.0 | 0.45                 |
| 02/20/2018  | BUSLER, SCOTT                | HARTFORD DIVIDEND & GROWTH C        | 0.00                 | 48.63               | 0.00               | 48.63             | 90.0 | 43.77                |
| 02/20/2018  | BUSLER, MARIANNE             | HARTFORD DIVIDEND & GROWTH C        | 0.00                 | 21.77               | 0.00               | 21.77             | 90.0 | 19.59                |
| 02/20/2018  | CAMPAGNA, MARIE              | HARTFORD FLOATING RATE C            | 0.00                 | 11.11               | 0.00               | 11.11             | 90.0 | 10.00                |
| 02/20/2018  | GODLBERG, SHARON             | HARTFORD TOTAL RETURN BOND FUND C   | 0.00                 | 4.31                | 0.00               | 4.31              | 90.0 | 3.88                 |
| 02/27/2018  | BOWERS, DORA                 | JANUS RESEARCH FUND CLASS A         | 0.00                 | 1.15                | 0.00               | 1.15              | 90.0 | 1.04                 |
| 02/16/2018  | BOWERS, DORA                 | JN DISCIPLINED VALUE INT'L A        | 0.00                 | 0.19                | 0.00               | 0.19              | 90.0 | 0.17                 |
| 02/21/2018  | CENTANNI, RICHARD            | JP MORGAN MID CAP VALUE FUND CLASS  | 0.00                 | 0.68                | 0.00               | 0.68              | 90.0 | 0.61                 |
| 02/22/2018  | MEDIA ENTERPRISES            | LORD ABBETT BOND DEBENTURE A        | 0.00                 | 3.14                | 0.00               | 3.14              | 90.0 | 2.83                 |
| 02/22/2018  | MEDIA ENTERPRISES            | LORD ABBETT BOND DEBENTURE A        | 0.00                 | 2.20                | 0.00               | 2.20              | 90.0 | 1.98                 |
| 02/22/2018  | DEBRIELLE-HEALEY, ELIZABETH  | LORD ABBETT BOND DEBENTURE A        | 0.00                 | 2.92                | 0.00               | 2.92              | 90.0 | 2.63                 |
| 02/22/2018  | LAISO, MICHAEL               | LORD ABBETT BOND DEBENTURE A        | 0.00                 | 8.25                | 0.00               | 8.25              | 90.0 | 7.43                 |
| 02/22/2018  | STRAUS, KAREN                | LORD ABBETT BOND DEBENTURE A        | 0.00                 | 2.65                | 0.00               | 2.65              | 90.0 | 2.39                 |
| 02/22/2018  | CHERRY, ADAM                 | LORD ABBETT BOND DEBENTURE C        | 0.00                 | 121.52              | 0.00               | 121.52            | 90.0 | 109.37               |
| 02/22/2018  | HUDSON TRUST OF 2000, ROBERT | LORD ABBETT BOND DEBENTURE C        | 0.00                 | 124.50              | 0.00               | 124.50            | 90.0 | 112.05               |
| 02/22/2018  | YANKOWITZ, HARRIETT          | LORD ABBETT BOND DEBENTURE C        | 0.00                 | 29.92               | 0.00               | 29.92             | 90.0 | 26.93                |
| 02/22/2018  | TOBIAS, DAVID                | LORD ABBETT BOND DEBENTURE C        | 0.00                 | 20.62               | 0.00               | 20.62             | 90.0 | 18.56                |
| 02/22/2018  | LINSKY, LISA                 | LORD ABBETT FUNDAMENTAL EQUITY A    | 0.00                 | 0.99                | 0.00               | 0.99              | 90.0 | 0.89                 |
| 02/22/2018  | MEDIA ENTERPRISES            | LORD ABBETT FUNDAMENTAL EQUITY A    | 0.00                 | 7.03                | 0.00               | 7.03              | 90.0 | 6.33                 |
| 02/22/2018  | MEDIA ENTERPRISES            | LORD ABBETT FUNDAMENTAL EQUITY A    | 0.00                 | 0.89                | 0.00               | 0.89              | 90.0 | 0.80                 |

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| DATE  | CLIENT                         | INVESTMENT                          | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|---|--------------------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u>DIRECT TRANSACTIONS</u></b>                       |                                |                                     |                      |                     |                    |                   |      |                      |
| <b><u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u></b> |                                |                                     |                      |                     |                    |                   |      |                      |
| 02/22/2018  | MEDIA ENTERPRISES              | LORD ABBETT FUNDAMENTAL EQUITY A    | 0.00                 | 8.80                | 0.00               | 8.80              | 90.0 | 7.92                 |
| 02/22/2018  | MEDIA ENTERPRISES              | LORD ABBETT FUNDAMENTAL EQUITY A    | 0.00                 | 1.96                | 0.00               | 1.96              | 90.0 | 1.76                 |
| 02/22/2018  | MEDIA ENTERPRISES              | LORD ABBETT FUNDAMENTAL EQUITY A    | 0.00                 | 1.27                | 0.00               | 1.27              | 90.0 | 1.14                 |
| 02/22/2018  | APPLEBAUM, RHEA                | LORD ABBETT FUNDAMENTAL EQUITY A    | 0.00                 | 3.73                | 0.00               | 3.73              | 90.0 | 3.36                 |
| 02/22/2018  | TAROFF, DANIELLE               | LORD ABBETT FUNDAMENTAL EQUITY CL C | 0.00                 | 11.49               | 0.00               | 11.49             | 90.0 | 10.34                |
| 02/22/2018  | TAROFF, DANIELLE               | LORD ABBETT FUNDAMENTAL EQUITY CL C | 0.00                 | 6.25                | 0.00               | 6.25              | 90.0 | 5.63                 |
| 02/22/2018  | OLIVETI, NICOLE                | LORD ABBETT FUNDAMENTAL EQUITY CL C | 0.00                 | 6.52                | 0.00               | 6.52              | 90.0 | 5.87                 |
| 02/22/2018  | YANKOWITZ, HARRIETT            | LORD ABBETT FUNDAMENTAL EQUITY CL C | 0.00                 | 15.30               | 0.00               | 15.30             | 90.0 | 13.77                |
| 02/22/2018  | LIBERTY, SUSAN                 | LORD ABBETT FUNDAMENTAL EQUITY CL C | 0.00                 | 0.01                | 0.00               | 0.01              | 90.0 | 0.01                 |
| 02/22/2018  | DIECKERT, DEBRA                | LORD ABBETT FUNDAMENTAL EQUITY CL C | 0.00                 | 3.09                | 0.00               | 3.09              | 90.0 | 2.78                 |
| 02/22/2018  | MEDIA ENTERPRISES              | LORD ABBETT SHORT DURATION INCOME A | 0.00                 | 3.40                | 0.00               | 3.40              | 90.0 | 3.06                 |
| 02/22/2018  | MEDIA ENTERPRISES              | LORD ABBETT SHORT DURATION INCOME A | 0.00                 | 0.50                | 0.00               | 0.50              | 90.0 | 0.45                 |
| 02/22/2018  | MEDIA ENTERPRISES              | LORD ABBETT SHORT DURATION INCOME A | 0.00                 | 4.07                | 0.00               | 4.07              | 90.0 | 3.66                 |
| 02/22/2018  | MEDIA ENTERPRISES              | LORD ABBETT SHORT DURATION INCOME A | 0.00                 | 0.74                | 0.00               | 0.74              | 90.0 | 0.67                 |
| 02/22/2018  | APPLEBAUM, RHEA                | LORD ABBETT SHORT DURATION INCOME A | 0.00                 | 2.12                | 0.00               | 2.12              | 90.0 | 1.91                 |
| 02/22/2018  | BOWERS, DORA                   | LORD ABBETT SHORT DURATION INCOME F | 0.00                 | 1.51                | 0.00               | 1.51              | 90.0 | 1.36                 |
| 02/22/2018  | BOWERS, DORA                   | LORD ABBETT SHORT DURATION INCOME F | 0.00                 | 20.48               | 0.00               | 20.48             | 90.0 | 18.43                |
| 02/22/2018  | BOWERS, DORA                   | LORD ABBETT SHORT DURATION INCOME F | 0.00                 | 1.71                | 0.00               | 1.71              | 90.0 | 1.54                 |
| 02/22/2018  | BOWERS, STEVEN                 | LORD ABBETT SHORT DURATION INCOME F | 0.00                 | 2.77                | 0.00               | 2.77              | 90.0 | 2.49                 |
| 02/22/2018  | BOWERS, STEVEN                 | LORD ABBETT SHORT DURATION INCOME F | 0.00                 | 2.12                | 0.00               | 2.12              | 90.0 | 1.91                 |
| 02/22/2018  | CAMPAGNA, MARIE                | LORD ABBETT SHORT DURATION INCOME F | 0.00                 | 11.25               | 0.00               | 11.25             | 90.0 | 10.13                |
| 02/22/2018  | CHERRY, ADAM                   | LORD ABBETT SHORT DURATION INCOME F | 0.00                 | 99.39               | 0.00               | 99.39             | 90.0 | 89.45                |
| 02/22/2018  | KRAMER, LESLIE                 | LORD ABBETT SHORT DURATION INCOME F | 0.00                 | 11.36               | 0.00               | 11.36             | 90.0 | 10.22                |
| 02/22/2018  | DADINO, CAROLE                 | LORD ABBETT SHORT DURATION INCOME F | 0.00                 | 4.93                | 0.00               | 4.93              | 90.0 | 4.44                 |
| 02/22/2018  | BROSIUS JR, ARTHUR             | LORD ABBETT SHORT DURATION INCOME F | 0.00                 | 6.44                | 0.00               | 6.44              | 90.0 | 5.80                 |
| 02/22/2018  | HARDING, LORETTA               | LORD ABBETT SHORT DURATION INCOME F | 0.00                 | 7.17                | 0.00               | 7.17              | 90.0 | 6.45                 |
| 02/22/2018  | BUSLER, SCOTT                  | LORD ABBETT SHORT DURATION INCOME F | 0.00                 | 9.24                | 0.00               | 9.24              | 90.0 | 8.32                 |
| 02/22/2018  | BUSLER, SCOTT                  | LORD ABBETT SHORT DURATION INCOME F | 0.00                 | 4.68                | 0.00               | 4.68              | 90.0 | 4.21                 |
| 02/22/2018  | HARDING, LORETTA               | LORD ABBETT SHORT DURATION INCOME F | 0.00                 | 5.89                | 0.00               | 5.89              | 90.0 | 5.30                 |
| 02/22/2018  | MURRY, YVONNE                  | MAINSTAY CUSHING MLP PREMIER FUND C | 0.00                 | 11.32               | 0.00               | 11.32             | 90.0 | 10.19                |
| 02/22/2018  | FLEISCHMAN, RITA               | MAINSTAY CUSHING ROYALTY ENERGY INC | 0.00                 | 3.16                | 0.00               | 3.16              | 90.0 | 2.84                 |
| 02/22/2018  | FARBMAN TRUST, DANIEL & SANDRA | MAINSTAY CUSHING ROYALTY ENERGY INC | 0.00                 | 2.16                | 0.00               | 2.16              | 90.0 | 1.94                 |
| 02/22/2018  | PAGLIA, DIANA                  | MAINSTAY FLOATING RATE FUND CLASS A | 0.00                 | 0.50                | 0.00               | 0.50              | 90.0 | 0.45                 |

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|---|--------------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u>DIRECT TRANSACTIONS</u></b>                       |                          |                                     |                      |                     |                    |                   |      |                      |
| <b><u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u></b> |                          |                                     |                      |                     |                    |                   |      |                      |
| 02/22/2018  | PAGLIA, DIANA            | MAINSTAY HIGH YIELD CORP BOND A     | 0.00                 | 1.25                | 0.00               | 1.25              | 90.0 | 1.13                 |
| 02/22/2018  | PAGLIA, DIANA            | MAINSTAY LARGE CAP GROWTH FUND A    | 0.00                 | 0.79                | 0.00               | 0.79              | 90.0 | 0.71                 |
| 02/13/2018  | KROSNOWSKI, THOMAS       | MFS CORE EQUITY C                   | 0.00                 | 7.21                | 0.00               | 7.21              | 90.0 | 6.49                 |
| 02/13/2018  | KROSNOWSKI, THOMAS       | MFS EMERGINF MARKETS EQUITY FUND C  | 0.00                 | 17.98               | 0.00               | 17.98             | 90.0 | 16.18                |
| 02/13/2018  | CAMPAGNA, MARIE          | MFS EMERGING MKTS DEBT FUND C       | 0.00                 | 8.20                | 0.00               | 8.20              | 90.0 | 7.38                 |
| 02/13/2018  | SPECTER TRUST, STEPHANIE | MFS GROWTH C                        | 0.00                 | 17.38               | 0.00               | 17.38             | 90.0 | 15.64                |
| 02/13/2018  | KROSNOWSKI, THOMAS       | MFS INTERNATIONAL VALUE FUND C      | 0.00                 | 16.98               | 0.00               | 16.98             | 90.0 | 15.28                |
| 02/13/2018  | BOWERS, DORA             | MFS INTERNATIONAL VALUE FUND CLASS  | 0.00                 | 0.74                | 0.00               | 0.74              | 90.0 | 0.67                 |
| 02/13/2018  | SPECTER TRUST, BRADLEY   | MFS MID-CAP VALUE FUND CLASS C      | 0.00                 | 10.19               | 0.00               | 10.19             | 90.0 | 9.17                 |
| 02/13/2018  | SPECTER TRUST, STEPHANIE | MFS MID-CAP VALUE FUND CLASS C      | 0.00                 | 24.38               | 0.00               | 24.38             | 90.0 | 21.94                |
| 02/13/2018  | SPECTER TRUST, BRADLEY   | MFS MIDCAP GROWTH C                 | 0.00                 | 9.05                | 0.00               | 9.05              | 90.0 | 8.15                 |
| 02/13/2018  | SPECTER TRUST, STEPHANIE | MFS MIDCAP GROWTH C                 | 0.00                 | 21.33               | 0.00               | 21.33             | 90.0 | 19.20                |
| 02/13/2018  | KROSNOWSKI, THOMAS       | MFS MIDCAP GROWTH C                 | 0.00                 | 6.19                | 0.00               | 6.19              | 90.0 | 5.57                 |
| 02/13/2018  | KROSNOWSKI, THOMAS       | MFS RESEARCH FUND-C                 | 0.00                 | 6.52                | 0.00               | 6.52              | 90.0 | 5.87                 |
| 02/13/2018  | SPECTER TRUST, STEPHANIE | MFS RESEARCH INTL C                 | 0.00                 | 29.94               | 0.00               | 29.94             | 90.0 | 26.95                |
| 02/13/2018  | KROSNOWSKI, THOMAS       | MFS TECHNOLOGY FUND-C               | 0.00                 | 12.93               | 0.00               | 12.93             | 90.0 | 11.64                |
| 02/13/2018  | SPECTER TRUST, BRADLEY   | MFS VALUE C                         | 0.00                 | 10.29               | 0.00               | 10.29             | 90.0 | 9.26                 |
| 02/13/2018  | SPECTER TRUST, STEPHANIE | MFS VALUE C                         | 0.00                 | 16.01               | 0.00               | 16.01             | 90.0 | 14.41                |
| 02/22/2018  | KROSNOWSKI, THOMAS       | OPPENHEIMER DISCOVERY A             | 0.00                 | 1.35                | 0.00               | 1.35              | 90.0 | 1.22                 |
| 02/22/2018  | KROSNOWSKI, THOMAS       | OPPENHEIMER GLOBAL OPPORTUNITIES A  | 0.00                 | 1.29                | 0.00               | 1.29              | 90.0 | 1.16                 |
| 02/22/2018  | KROSNOWSKI, THOMAS       | OPPENHEIMER GOLD & SPECIAL MINERALS | 0.00                 | 0.44                | 0.00               | 0.44              | 90.0 | 0.40                 |
| 02/22/2018  | BOWERS, DORA             | OPPENHEIMER INTL GROWTH A           | 0.00                 | 0.67                | 0.00               | 0.67              | 90.0 | 0.60                 |
| 02/22/2018  | STERR, ERIN              | OPPENHEIMER MAIN STREET A           | 0.00                 | 2.62                | 0.00               | 2.62              | 90.0 | 2.36                 |
| 02/22/2018  | KROSNOWSKI, THOMAS       | OPPENHEIMER MAIN STREET A           | 0.00                 | 3.38                | 0.00               | 3.38              | 90.0 | 3.04                 |
| 02/22/2018  | PERETTI, DANIEL          | OPPENHEIMER PORTFOLIO SERIES EQ INV | 0.00                 | 1.05                | 0.00               | 1.05              | 90.0 | 0.95                 |
| 02/22/2018  | PERETTI, DANIEL          | OPPENHEIMER PTF SERIES EQUITY INVES | 0.00                 | 42.87               | 0.00               | 42.87             | 90.0 | 38.58                |
| 02/22/2018  | CHERRY, LISA             | OPPENHEIMER QUEST OPP VALUE A       | 0.00                 | 2.70                | 0.00               | 2.70              | 90.0 | 2.43                 |
| 02/22/2018  | KROSNOWSKI, THOMAS       | OPPENHEIMER QUEST OPP VALUE A       | 0.00                 | 1.83                | 0.00               | 1.83              | 90.0 | 1.65                 |
| 02/21/2018  | CHERRY, ADAM             | PAC LIFE FUNDS PRT OPT MOD          | 0.00                 | 269.98              | 0.00               | 269.98            | 90.0 | 242.98               |
| 02/21/2018  | TRICHON, DONNA-LYNN      | PUTNAM GROWTH OPP A                 | 0.00                 | 15.09               | 0.00               | 15.09             | 90.0 | 13.58                |
| 02/21/2018  | NIEMINEN, EUGENE         | PUTNAM MULTI CAP GROWTH A           | 0.00                 | 3.37                | 0.00               | 3.37              | 90.0 | 3.03                 |
| 02/22/2018  | FLEISCH, ROBERT          | TEMPLETON GLOBAL BOND A             | 0.00                 | 11.39               | 0.00               | 11.39             | 90.0 | 10.25                |
| 02/22/2018  | GREENWELL, MARION        | TEMPLETON GROWTH A                  | 0.00                 | 1.77                | 0.00               | 1.77              | 90.0 | 1.59                 |

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|--|---------------------|-------------------------------------|-----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u>DIRECT TRANSACTIONS</u></b>                            |                     |                                     |                       |                     |                    |                   |      |                      |
| <b><u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u></b>      |                     |                                     |                       |                     |                    |                   |      |                      |
| 02/22/2018   | CENTANNI, RICHARD   | TEMPLETON GROWTH A                  | 0.00                  | 0.38                | 0.00               | 0.38              | 90.0 | 0.34                 |
| 02/22/2018   | FLEISCH, ROBERT     | TEMPLETON WORLD A                   | 0.00                  | 11.79               | 0.00               | 11.79             | 90.0 | 10.61                |
| 02/28/2018   | PERETTI, DANIEL     | TOUCHSTONE GROWTH OPP A             | 0.00                  | 1.68                | 0.00               | 1.68              | 90.0 | 1.51                 |
| 02/23/2018   | EHRET, WAYNE        | VICTORY CAPITAL MANAGEMENT          | 0.00                  | 0.54                | 0.00               | 0.54              | 90.0 | 0.49                 |
| 02/28/2018   | CHERRY, LISA        | VIRTUS SMALL-CAP SUSTAINABLE GROWTH | 0.00                  | 6.61                | 0.00               | 6.61              | 90.0 | 5.95                 |
| 02/16/2018   | PISANI, NICHOLAS    | WELLS FARGO ADVANTAGE OMEGA GROWTH  | 0.00                  | 10.63               | 0.00               | 10.63             | 90.0 | 9.57                 |
| 02/16/2018   | CAMPAGNA, MARIE     | WELLS FARGO ADVTG DIVERSIFIED INCOM | 0.00                  | 23.64               | 0.00               | 23.64             | 90.0 | 21.28                |
| 02/16/2018   | CAMPAGNA, MARIE     | WELLS FARGO ADVTG DIVERSIFIED INCOM | 0.00                  | 11.33               | 0.00               | 11.33             | 90.0 | 10.20                |
| 02/16/2018   | BOWERS, DORA        | WELLS FARGO ADVTG EMERGING MARKETS  | 0.00                  | 0.22                | 0.00               | 0.22              | 90.0 | 0.20                 |
| 02/16/2018   | TRICHON, DONNA-LYNN | WELLS FARGO DIVERSIFIED CAPITAL BUI | 0.00                  | 19.51               | 0.00               | 19.51             | 90.0 | 17.56                |
| / /  | GOLDBERG, SCOTT     | WVA AGE-BASED PORTFOLIO 14-15 A     | 0.00                  | 7.01                | 0.00               | 7.01              | 90.0 | 6.31                 |
| / /  | GOLDBERG, SCOTT     | WVA AGE-BASED PORTFOLIO 18+ A       | 0.00                  | 0.59                | 0.00               | 0.59              | 90.0 | 0.53                 |
| / /  | GOLDBERG, SCOTT     | WVA AGE-BASED PORTFOLIO 18+ A       | 0.00                  | 0.57                | 0.00               | 0.57              | 90.0 | 0.51                 |
| <b>* MUTUAL FUND 12B1 TRAILS SUBTOTAL *</b>                  |                     |                                     | <b>\$0.00</b>         | <b>\$3,929.53</b>   | <b>\$0.00</b>      | <b>\$3,929.53</b> |      | <b>\$3,536.75</b>    |
| <b><u>PRODUCT CATEGORY: VARIABLE ANNUITY 12B1 TRAILS</u></b> |                     |                                     |                       |                     |                    |                   |      |                      |
| 02/12/2018   | HALL, GLORIA        | PAC LIFE INNOVATIVE SELECT          | 0.00                  | 219.27              | 0.00               | 219.27            | 90.0 | 197.34               |
| 02/12/2018   | MORTON, MARTHA      | PAC LIFE INNOVATIVE SELECT          | 0.00                  | 55.71               | 0.00               | 55.71             | 90.0 | 50.14                |
| 02/27/2018   | MEDIA ENTERPRISES   | PAC LIFE INNOVATIVE SELECT          | 0.00                  | 154.13              | 0.00               | 154.13            | 90.0 | 138.72               |
| <b>* VARIABLE ANNUITY 12B1 TRAILS SUBTOTAL *</b>             |                     |                                     | <b>\$0.00</b>         | <b>\$429.11</b>     | <b>\$0.00</b>      | <b>\$429.11</b>   |      | <b>\$386.20</b>      |
| <b>*** DIRECT TRANSACTIONS TOTAL ***</b>                     |                     |                                     | <b>\$1,987,933.81</b> | <b>\$6,133.28</b>   | <b>\$0.00</b>      | <b>\$6,133.28</b> |      | <b>\$5,520.14</b>    |

**SPLIT TRANSACTIONS****BROKER: J30 MARC/MICHAEL LINSKY/FOX #266**

|            |                 |                                     |      |      |      |      |      |      |
|------------|-----------------|-------------------------------------|------|------|------|------|------|------|
| 02/21/2018 | CLARKE, PHYLLIS | AM FUNDS AMERICAN HIGH-INCOME TRUST | 0.00 | 1.23 | 0.00 | 1.23 | 90.0 | 1.11 |
| 02/21/2018 | CLARKE, PHYLLIS | AM FUNDS FUNDAMENTAL INVESTORS A    | 0.00 | 0.09 | 0.00 | 0.09 | 90.0 | 0.08 |
| 02/21/2018 | BERK, MICHAEL   | AM FUNDS GROWTH FUND OF AMERICA A   | 0.00 | 1.59 | 0.00 | 1.59 | 90.0 | 1.43 |
| 02/22/2018 | CLARKE, PHYLLIS | FRANKLIN GROWTH OPPORTUNITIES FUND  | 0.00 | 0.13 | 0.00 | 0.13 | 90.0 | 0.12 |
| 02/16/2018 | SPOKANE, LOIS   | GOLDMAN SACHS U.S. EQUITY INSIGHTS  | 0.00 | 0.71 | 0.00 | 0.71 | 90.0 | 0.64 |
| 02/20/2018 | CLARKE, PHYLLIS | HARTFORD INFLATION PLUS FUIND C     | 0.00 | 3.32 | 0.00 | 3.32 | 90.0 | 2.99 |
| 02/22/2018 | CLARKE, PHYLLIS | LORD ABBETT AFFILIATED A            | 0.00 | 1.24 | 0.00 | 1.24 | 90.0 | 1.12 |
| 02/22/2018 | SPOKANE, LOIS   | LORD ABBETT BOND DEBENTURE A        | 0.00 | 1.64 | 0.00 | 1.64 | 90.0 | 1.48 |
| 02/22/2018 | SPOKANE, LOIS   | LORD ABBETT FUNDAMENTAL EQUITY A    | 0.00 | 4.34 | 0.00 | 4.34 | 90.0 | 3.91 |

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

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

| DATE   | CLIENT            | INVESTMENT                          | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|-------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u>SPLIT TRANSACTIONS</u></b>                               |                   |                                     |                      |                     |                    |                   |      |                      |
| <b><u>BROKER: J30 MARC/MICHAEL LINSKY/FOX #266</u></b>         |                   |                                     |                      |                     |                    |                   |      |                      |
| 02/27/2018   | CLARKE, PHYLLIS   | PIMCO TOTAL RETURN C                | 0.00                 | 14.27               | 0.00               | 14.27             | 90.0 | 12.84                |
| 02/21/2018   | BELLO, JOSEPH     | PUTNAM MULTI CAP GROWTH A           | 0.00                 | 0.68                | 0.00               | 0.68              | 90.0 | 0.61                 |
| * J30 MARC/MICHAEL LINSKY/FOX SUBTOTAL *                       |                   |                                     | \$0.00               | \$29.24             | \$0.00             | \$29.24           |      | \$26.33              |
| <b><u>BROKER: R134-DAN/JEFF/JON P/ FT-NY RAUPP/KI #272</u></b> |                   |                                     |                      |                     |                    |                   |      |                      |
| 02/21/2018   | DAMONE, DENNIS    | JP MORGAN INVESTOR GROWTH & INCOME  | 0.00                 | 0.24                | 0.00               | 0.24              | 90.0 | 0.22                 |
| * R134-DAN/JEFF/JON P/ FT-NY RAUPP/KI SUBTOTAL *               |                   |                                     | \$0.00               | \$0.24              | \$0.00             | \$0.24            |      | \$0.22               |
| <b><u>BROKER: C148 DAN/MARC FT-CHARLEY/LINSKY #315</u></b>     |                   |                                     |                      |                     |                    |                   |      |                      |
| 02/21/2018   | ANDERSON, WILLIAM | AM FUNDS BOND FUND OF AMERICA A     | 0.00                 | 0.48                | 0.00               | 0.48              | 90.0 | 0.43                 |
| 02/21/2018   | NEELD, JUDEANN    | AM FUNDS CAPITAL INCOME BUILDER A   | 0.00                 | 1.41                | 0.00               | 1.41              | 90.0 | 1.27                 |
| 02/21/2018   | NEELD, JUDEANN    | AM FUNDS WASHINGTON MUTUAL INVESTOR | 0.00                 | 3.60                | 0.00               | 3.60              | 90.0 | 3.24                 |
| 02/16/2018   | ANDERSON, WILLIAM | AMERICAN CENTURY CORE PLUS FUND CLA | 0.00                 | 2.88                | 0.00               | 2.88              | 90.0 | 2.59                 |
| 02/22/2018   | ANDERSON, ELAINE  | BLK GLOBAL ALLOCATION C             | 0.00                 | 2.66                | 0.00               | 2.66              | 90.0 | 2.39                 |
| 02/21/2018   | ANDERSON, ELAINE  | CALAMOS GROWTH & INCOME A           | 0.00                 | 0.99                | 0.00               | 0.99              | 90.0 | 0.89                 |
| 02/16/2018   | ANDERSON, WILLIAM | CARILLON EAGLE GROWTH & INCOME FUND | 0.00                 | 6.81                | 0.00               | 6.81              | 90.0 | 6.13                 |
| 02/15/2018   | ANDERSON, WILLIAM | COLUMBIA BALANCED FUND CLASS C      | 0.00                 | 3.70                | 0.00               | 3.70              | 90.0 | 3.33                 |
| 02/16/2018   | FIAMINGO, FRANK   | DAVIS REAL ESTATE A                 | 0.00                 | 2.21                | 0.00               | 2.21              | 90.0 | 1.99                 |
| 02/23/2018   | ANDERSON, WILLIAM | FIRST EAGLE OVERSEAS FUND CLASS A   | 0.00                 | 1.04                | 0.00               | 1.04              | 90.0 | 0.94                 |
| 02/16/2018   | FIAMINGO, NANCY   | GRIFFIN INST'L ACCESS R E FUND C    | 0.00                 | 10.71               | 0.00               | 10.71             | 90.0 | 9.64                 |
| 02/16/2018   | FIAMINGO, NANCY   | GRIFFIN INST'L ACCESS R E FUND C    | 0.00                 | 32.12               | 0.00               | 32.12             | 90.0 | 28.91                |
| 02/16/2018   | FIAMINGO, FRANK   | GRIFFIN INST'L ACCESS R E FUND C    | 0.00                 | 13.92               | 0.00               | 13.92             | 90.0 | 12.53                |
| 02/16/2018   | FIAMINGO, FRANK   | GRIFFIN INST'L ACCESS R E FUND C    | 0.00                 | 41.76               | 0.00               | 41.76             | 90.0 | 37.58                |
| 02/16/2018   | CLARKE SR, JAMES  | GRIFFIN INST'L ACCESS R E FUND C    | 0.00                 | 4.74                | 0.00               | 4.74              | 90.0 | 4.27                 |
| 02/16/2018   | CLARKE SR, JAMES  | GRIFFIN INST'L ACCESS R E FUND C    | 0.00                 | 14.20               | 0.00               | 14.20             | 90.0 | 12.78                |
| 02/16/2018   | BUTKUS, ROBERT    | GRIFFIN INST'L ACCESS R E FUND C    | 0.00                 | 5.30                | 0.00               | 5.30              | 90.0 | 4.77                 |
| 02/16/2018   | BUTKUS, ROBERT    | GRIFFIN INST'L ACCESS R E FUND C    | 0.00                 | 15.89               | 0.00               | 15.89             | 90.0 | 14.30                |
| 02/27/2018   | ANDERSON, ELAINE  | JANUS BALANCED FUND CLASS C         | 0.00                 | 3.42                | 0.00               | 3.42              | 90.0 | 3.08                 |
| 02/16/2018   | ANDERSON, ELAINE  | JH STRATEGIC INCOME A               | 0.00                 | 0.45                | 0.00               | 0.45              | 90.0 | 0.41                 |
| 02/22/2018   | FIAMINGO, FRANK   | OPPENHEIMER CAPITAL INCOME A        | 0.00                 | 0.01                | 0.00               | 0.01              | 90.0 | 0.01                 |
| 02/27/2018   | ANDERSON, WILLIAM | PIMCO REAL RETURN C                 | 0.00                 | 1.73                | 0.00               | 1.73              | 90.0 | 1.56                 |
| 02/16/2018   | RYNEX, CAROL      | WELLS FARGO DOW JONES TARGET 2035 F | 0.00                 | 1.09                | 0.00               | 1.09              | 90.0 | 0.98                 |
| 02/16/2018   | RYNEX, STEPHEN    | WELLS FARGO PREMIER LG COMP GRWTH A | 0.00                 | 0.62                | 0.00               | 0.62              | 90.0 | 0.56                 |
| 02/16/2018   | RYNEX, ANDREW     | WELLS FARGO PREMIER LG COMP GRWTH A | 0.00                 | 0.06                | 0.00               | 0.06              | 90.0 | 0.05                 |

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| DATE   | CLIENT            | INVESTMENT                                       | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|-------------------|--|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u>SPLIT TRANSACTIONS</u></b>                               |                   |  |                      |                     |                    |                   |      |                      |
| <b><u>BROKER: C157-DA/MAR/JP/DA/JE FT-CHA/LIN/CIR #400</u></b> |                   |  |                      |                     |                    |                   |      |                      |
|  |                   | * C148 DAN/MARC FT-CHARLEY/LINSKY SUBTOTAL *     | \$0.00               | \$171.80            | \$0.00             | \$171.80          |      | \$154.63             |
| <b><u>BROKER: C157-DA/MAR/JP/DA/JE FT-CHA/LIN/CIR #400</u></b> |                   |  |                      |                     |                    |                   |      |                      |
| 02/16/2018   | CARROLLTON, DONNA | GRIFFIN INSTITUTIONAL ACCESS REAL E              | 0.00                 | 1.71                | 0.00               | 1.71              | 90.0 | 1.54                 |
| 02/16/2018   | CARROLLTON, STEVE | GRIFFIN INSTITUTIONAL ACCESS REAL E              | 0.00                 | 1.22                | 0.00               | 1.22              | 90.0 | 1.10                 |
|  |                   | * C157-DA/MAR/JP/DA/JE FT-CHA/LIN/CIR SUBTOTAL * | \$0.00               | \$2.93              | \$0.00             | \$2.93            |      | \$2.64               |
|  |                   | *** SPLIT TRANSACTIONS TOTAL ***                 | \$0.00               | \$204.21            | \$0.00             | \$204.21          |      | \$183.82             |

**ADJUSTMENTS**

|            |  |                                     |        |        |        |        |  |             |
|------------|--|-------------------------------------|--------|--------|--------|--------|--|-------------|
| 03/15/2018 |  | *:                                  | 0.00   |        |        |        |  | 0.00        |
| 03/15/2018 |  | *EO INS: CURRENT MONTH INS          | 0.00   |        |        |        |  | -300.00     |
| 03/15/2018 |  | *FEDERAL EXPRESS: 6-095-43332 02/21 | 0.00   |        |        |        |  | -74.84      |
| 03/15/2018 |  | *FEDERAL EXPRESS: 6-103-71135 2/28/ | 0.00   |        |        |        |  | -18.99      |
| 03/15/2018 |  | *FEDERAL EXPRESS: 6-110-24313 3/7/1 | 0.00   |        |        |        |  | -46.18      |
| 03/15/2018 |  | *MARKETING LIBRARY: MARKETING LIBRA | 0.00   |        |        |        |  | -45.00      |
| 03/15/2018 |  | *PERSHING: MF PROSPECTUS MAILING    | 0.00   |        |        |        |  | -3.10       |
| 03/15/2018 |  | *PERSHING: MANDITORY REORG - BALZAN | 0.00   |        |        |        |  | -10.00      |
| 03/15/2018 |  | *PERSHING: MANDITORY REORG - BOWERS | 0.00   |        |        |        |  | -5.00       |
| 03/15/2018 |  | *PERSHING: MANDITORY REORG - LINSKY | 0.00   |        |        |        |  | -10.00      |
| 03/15/2018 |  | *PERSHING: MANDITORY REORG - LINSKY | 0.00   |        |        |        |  | -10.00      |
| 03/15/2018 |  | *PERSHING: MANDITORY REORG - MEDIA  | 0.00   |        |        |        |  | -10.00      |
| 03/15/2018 |  | *PERSHING: MANDITORY REORG - SPECTE | 0.00   |        |        |        |  | -10.00      |
| 03/15/2018 |  | *PERSHING: BOOKS & RECORDS          | 0.00   |        |        |        |  | -3.00       |
| 03/15/2018 |  | *TECH: ADMIN-CHRISTINE GILMER       | 0.00   |        |        |        |  | -100.00     |
| 03/15/2018 |  | *TECH: ADMIN-LINDA BOND-HILTNER     | 0.00   |        |        |        |  | -100.00     |
| 03/15/2018 |  | *TECH: CURRENT MONTH TECH           | 0.00   |        |        |        |  | -275.00     |
| 03/15/2018 |  | *TECHNOLOGY: ADMIN D. LINSKY        | 0.00   |        |        |        |  | -135.00     |
|            |  | *** ADJUSTMENTS TOTAL ***           | \$0.00 | \$0.00 | \$0.00 | \$0.00 |  | \$-1,156.11 |

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**BROKER COMMISSION TOTALS**

|                       |             |
|-----------------------|-------------|
| Broker Transactions   | \$5,552.49  |
| Split Transactions    | \$183.82    |
| Override Transactions | \$0.00      |
| Adjustments           | \$-1,156.11 |
| Payroll Draw          | \$0.00      |
| Base Salary           | \$0.00      |
| Prior Period Balance  | \$0.00      |
| FINRA Assessment      | \$0.00      |
| SIPC Assessment       | \$0.00      |

|                       |              |
|-----------------------|--------------|
| Check Amount          | \$4,580.20   |
| Year-to-date Gross    | \$131,051.60 |
| Year-to-date Earnings | \$117,272.04 |