



Concorde Investment Services, LLC
COMMISSION STATEMENT
May 31, 2017

05/25/2017
 Page No. 1

MATT BRANSTETTER
 PO Box 250
 111 S. Main Street
 Noble, OK 73068

BROKER #: B116
 BRANCH: BRAEVEST

| DATE | CLIENT | INVESTMENT | INVESTMENT AMOUNT | GROSS COMMISSION | RATE | NET COMMISSION | CLEARING CHARGE | BROKER COMMISSION |
|------|--------|------------|----------------------|---------------------|------|-------------------|--------------------|----------------------|
|------|--------|------------|----------------------|---------------------|------|-------------------|--------------------|----------------------|

BROKER TRANSACTIONS

PRODUCT CATEGORY: MUTUAL FUNDS

| | | | | | | | | |
|------------|---------------------|------------------------------------|--------|------|------|------|------|------|
| 05/15/2017 | DOBELBOWER, MARY | AM FUNDS EUROPACIFIC GROWTH FUND A | 50.00 | 2.50 | 80.0 | 2.00 | 0.00 | 2.00 |
| 05/15/2017 | BENNETT, MARLA | AM FUNDS WASHINGTON MUTUAL | 100.00 | 3.75 | 80.0 | 3.00 | 0.00 | 3.00 |
| / / | ROLLINS, LISA | GUGGENHEIM GOV'T LONG BOND 1.2X | 0.00 | 0.01 | 80.0 | 0.01 | 0.00 | 0.01 |
| / / | BACON-HILL, MICHELE | GUGGENHEIM GOV'T LONG BOND 1.2X | 0.00 | 0.07 | 80.0 | 0.06 | 0.00 | 0.06 |
| / / | TREADWAY, PAMELA | GUGGENHEIM GOV'T LONG BOND 1.2X | 0.00 | 0.25 | 80.0 | 0.20 | 0.00 | 0.20 |
| / / | TREADWAY, TOMMY | GUGGENHEIM GOV'T LONG BOND 1.2X | 0.00 | 0.46 | 80.0 | 0.37 | 0.00 | 0.37 |
| / / | DOWNING, JOHN | GUGGENHEIM GOV'T LONG BOND 1.2X | 0.00 | 0.97 | 80.0 | 0.78 | 0.00 | 0.78 |
| / / | ACOSTA, JF | GUGGENHEIM GOV'T LONG BOND 1.2X | 0.00 | 0.08 | 80.0 | 0.06 | 0.00 | 0.06 |
| / / | MELTON, JOY | GUGGENHEIM GOV'T LONG BOND 1.2X | 0.00 | 0.17 | 80.0 | 0.14 | 0.00 | 0.14 |
| / / | BENSON, KARLA | GUGGENHEIM GOV'T LONG BOND 1.2X | 0.00 | 0.06 | 80.0 | 0.05 | 0.00 | 0.05 |
| / / | DESHIELDS, JAMES | GUGGENHEIM GOV'T LONG BOND 1.2X | 0.00 | 0.09 | 80.0 | 0.07 | 0.00 | 0.07 |
| / / | POORE, NANCY | GUGGENHEIM GOV'T LONG BOND 1.2X | 0.00 | 0.21 | 80.0 | 0.17 | 0.00 | 0.17 |
| / / | MCFERRON, LINDA | GUGGENHEIM GOV'T LONG BOND 1.2X | 0.00 | 0.28 | 80.0 | 0.22 | 0.00 | 0.22 |
| / / | VOCI, ROBERTO | GUGGENHEIM GOV'T LONG BOND 1.2X | 0.00 | 0.65 | 80.0 | 0.52 | 0.00 | 0.52 |
| / / | WILLIAMS, JACKIE | GUGGENHEIM GOV'T LONG BOND 1.2X | 0.00 | 0.85 | 80.0 | 0.68 | 0.00 | 0.68 |
| / / | WRIGHT, MARK | GUGGENHEIM GOV'T LONG BOND 1.2X | 0.00 | 0.01 | 80.0 | 0.01 | 0.00 | 0.01 |
| / / | POTTER, G | GUGGENHEIM GOV'T LONG BOND 1.2X | 0.00 | 0.09 | 80.0 | 0.07 | 0.00 | 0.07 |
| / / | POTTER, RK | GUGGENHEIM GOV'T LONG BOND 1.2X | 0.00 | 0.08 | 80.0 | 0.06 | 0.00 | 0.06 |
| / / | RICK, JOSEPH | GUGGENHEIM GOV'T LONG BOND 1.2X | 0.00 | 0.02 | 80.0 | 0.02 | 0.00 | 0.02 |
| / / | BACON, RICHARD | GUGGENHEIM GOV'T LONG BOND 1.2X | 0.00 | 0.22 | 80.0 | 0.18 | 0.00 | 0.18 |
| / / | ARRINGTON, NANCY | GUGGENHEIM GOV'T LONG BOND 1.2X | 0.00 | 0.04 | 80.0 | 0.03 | 0.00 | 0.03 |
| / / | HOLMAN, KENLEE | GUGGENHEIM GOV'T LONG BOND 1.2X | 0.00 | 0.05 | 80.0 | 0.04 | 0.00 | 0.04 |
| / / | HOLMAN, MEEGAN | GUGGENHEIM GOV'T LONG BOND 1.2X | 0.00 | 0.16 | 80.0 | 0.13 | 0.00 | 0.13 |
| / / | BACON-HILL, MICHELE | GUGGENHEIM WEAKENING DOLLAR 2X | 0.00 | 0.01 | 80.0 | 0.01 | 0.00 | 0.01 |
| / / | TREADWAY, PAMELA | GUGGENHEIM WEAKENING DOLLAR 2X | 0.00 | 0.03 | 80.0 | 0.02 | 0.00 | 0.02 |
| / / | TREADWAY, TOMMY | GUGGENHEIM WEAKENING DOLLAR 2X | 0.00 | 0.06 | 80.0 | 0.05 | 0.00 | 0.05 |

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

| DATE | CLIENT | INVESTMENT | INVESTMENT AMOUNT | GROSS COMMISSION | RATE | NET COMMISSION | CLEARING CHARGE | BROKER COMMISSION |
|--|----------------------|--------------------------------|----------------------|---------------------|------|-------------------|--------------------|----------------------|
| <u>BROKER TRANSACTIONS</u> | | | | | | | | |
| <u>PRODUCT CATEGORY: MUTUAL FUNDS</u> | | | | | | | | |
| / / | DOWNING, JOHN | GUGGENHEIM WEAKENING DOLLAR 2X | 0.00 | 0.12 | 80.0 | 0.10 | 0.00 | 0.10 |
| / / | ACOSTA, JF | GUGGENHEIM WEAKENING DOLLAR 2X | 0.00 | 0.01 | 80.0 | 0.01 | 0.00 | 0.01 |
| / / | MELTON, JOY | GUGGENHEIM WEAKENING DOLLAR 2X | 0.00 | 0.02 | 80.0 | 0.02 | 0.00 | 0.02 |
| / / | BENSON, KARLA | GUGGENHEIM WEAKENING DOLLAR 2X | 0.00 | 0.01 | 80.0 | 0.01 | 0.00 | 0.01 |
| / / | DESHIELDS, JAMES | GUGGENHEIM WEAKENING DOLLAR 2X | 0.00 | 0.01 | 80.0 | 0.01 | 0.00 | 0.01 |
| / / | POORE, NANCY | GUGGENHEIM WEAKENING DOLLAR 2X | 0.00 | 0.03 | 80.0 | 0.02 | 0.00 | 0.02 |
| / / | MCFERRON, LINDA | GUGGENHEIM WEAKENING DOLLAR 2X | 0.00 | 0.04 | 80.0 | 0.03 | 0.00 | 0.03 |
| / / | VOCI, ROBERTO | GUGGENHEIM WEAKENING DOLLAR 2X | 0.00 | 0.08 | 80.0 | 0.06 | 0.00 | 0.06 |
| / / | WILLIAMS, JACKIE | GUGGENHEIM WEAKENING DOLLAR 2X | 0.00 | 0.11 | 80.0 | 0.09 | 0.00 | 0.09 |
| / / | POTTER, G | GUGGENHEIM WEAKENING DOLLAR 2X | 0.00 | 0.01 | 80.0 | 0.01 | 0.00 | 0.01 |
| / / | POTTER, RK | GUGGENHEIM WEAKENING DOLLAR 2X | 0.00 | 0.01 | 80.0 | 0.01 | 0.00 | 0.01 |
| / / | BACON, RICHARD | GUGGENHEIM WEAKENING DOLLAR 2X | 0.00 | 0.03 | 80.0 | 0.02 | 0.00 | 0.02 |
| / / | ARRINGTON, NANCY | GUGGENHEIM WEAKENING DOLLAR 2X | 0.00 | 0.01 | 80.0 | 0.01 | 0.00 | 0.01 |
| / / | HOLMAN, KENLEE | GUGGENHEIM WEAKENING DOLLAR 2X | 0.00 | 0.01 | 80.0 | 0.01 | 0.00 | 0.01 |
| / / | HOLMAN, MEEGAN | GUGGENHEIM WEAKENING DOLLAR 2X | 0.00 | 0.02 | 80.0 | 0.02 | 0.00 | 0.02 |
| / / | CASTLE, DAVID | GUGGENHEIM WEAKENING DOLLAR 2X | 0.00 | 0.01 | 80.0 | 0.01 | 0.00 | 0.01 |
| / / | HUFFMAN, KRISTOPHER | GUGGENHEIM WEAKENING DOLLAR 2X | 0.00 | 0.03 | 80.0 | 0.02 | 0.00 | 0.02 |
| / / | LIVELY, ELIZABETH | GUGGENHEIM WEAKENING DOLLAR 2X | 0.00 | 0.01 | 80.0 | 0.01 | 0.00 | 0.01 |
| / / | LIVELY, DUSTIN | GUGGENHEIM WEAKENING DOLLAR 2X | 0.00 | 0.01 | 80.0 | 0.01 | 0.00 | 0.01 |
| / / | HUNTER, TIMOTHY | GUGGENHEIM WEAKENING DOLLAR 2X | 0.00 | 0.01 | 80.0 | 0.01 | 0.00 | 0.01 |
| / / | PUCKETT, CHERI | GUGGENHEIM WEAKENING DOLLAR 2X | 0.00 | 0.01 | 80.0 | 0.01 | 0.00 | 0.01 |
| / / | SALLEE, MARY | GUGGENHEIM WEAKENING DOLLAR 2X | 0.00 | 0.01 | 80.0 | 0.01 | 0.00 | 0.01 |
| 05/11/2017 | LLTD INVESTMENTS LLC | PUTNAM ABSOLUTE RETURN 100-A | 6.75 | 0.07 | 80.0 | 0.06 | 0.00 | 0.06 |
| 05/11/2017 | LLTD INVESTMENTS LLC | PUTNAM ABSOLUTE RETURN 300-A | 6.75 | 0.07 | 80.0 | 0.06 | 0.00 | 0.06 |
| 05/11/2017 | LLTD INVESTMENTS LLC | PUTNAM ABSOLUTE RETURN 500-A | 6.75 | 0.34 | 80.0 | 0.27 | 0.00 | 0.27 |
| 05/11/2017 | LLTD INVESTMENTS LLC | PUTNAM ABSOLUTE RETURN 700-A | 6.75 | 0.34 | 80.0 | 0.27 | 0.00 | 0.27 |
| 05/01/2017 | ALLGIRE, ERNESTINE | PUTNAM GLOBAL TECH A | 1,994.88 | 99.74 | 80.0 | 79.79 | 0.00 | 79.79 |
| 05/05/2017 | MYERS, JON | PUTNAM INTL CAPITAL OPPS-C | 100.00 | 1.00 | 80.0 | 0.80 | 0.00 | 0.80 |
| 05/08/2017 | SNYDER, LESTER | PUTNAM SMALL CAP GROWTH-C | 100.00 | 1.00 | 80.0 | 0.80 | 0.00 | 0.80 |
| / / | WHITETREE, THOMAS | RYDEX EUROPE 1.25X DTGY - A | 0.00 | 0.03 | 80.0 | 0.02 | 0.00 | 0.02 |
| / / | CASTLE, DAVID | RYDEX EUROPE 1.25X DTGY - A | 0.00 | 0.06 | 80.0 | 0.05 | 0.00 | 0.05 |
| / / | HUFFMAN, KRISTOPHER | RYDEX EUROPE 1.25X DTGY - A | 0.00 | 0.21 | 80.0 | 0.17 | 0.00 | 0.17 |
| / / | LIVELY, ELIZABETH | RYDEX EUROPE 1.25X DTGY - A | 0.00 | 0.05 | 80.0 | 0.04 | 0.00 | 0.04 |

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

** - Indicates adjustment is not included in Totals or Commissions

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

| DATE | CLIENT | INVESTMENT | INVESTMENT AMOUNT | GROSS COMMISSION | RATE | NET COMMISSION | CLEARING CHARGE | BROKER COMMISSION |
|--|---------------------|---------------------------------|----------------------|---------------------|------|-------------------|--------------------|----------------------|
| <u>BROKER TRANSACTIONS</u> | | | | | | | | |
| <u>PRODUCT CATEGORY: MUTUAL FUNDS</u> | | | | | | | | |
| / / | LIVELY, DUSTIN | RYDEX EUROPE 1.25X DTGY - A | 0.00 | 0.05 | 80.0 | 0.04 | 0.00 | 0.04 |
| / / | HUNTER, TIMOTHY | RYDEX EUROPE 1.25X DTGY - A | 0.00 | 0.04 | 80.0 | 0.03 | 0.00 | 0.03 |
| / / | PUCKETT, CHERI | RYDEX EUROPE 1.25X DTGY - A | 0.00 | 0.06 | 80.0 | 0.05 | 0.00 | 0.05 |
| / / | HARRALD, DONALD | RYDEX EUROPE 1.25X DTGY - A | 0.00 | 0.02 | 80.0 | 0.02 | 0.00 | 0.02 |
| / / | SALLEE, MARY | RYDEX EUROPE 1.25X DTGY - A | 0.00 | 0.08 | 80.0 | 0.06 | 0.00 | 0.06 |
| / / | ROLLINS, LISA | RYDEX EUROPE 1.25X STRATEGY C | 0.00 | 0.01 | 80.0 | 0.01 | 0.00 | 0.01 |
| / / | BACON-HILL, MICHELE | RYDEX EUROPE 1.25X STRATEGY C | 0.00 | 0.07 | 80.0 | 0.06 | 0.00 | 0.06 |
| / / | TREADWAY, PAMELA | RYDEX EUROPE 1.25X STRATEGY C | 0.00 | 0.24 | 80.0 | 0.19 | 0.00 | 0.19 |
| / / | TREADWAY, TOMMY | RYDEX EUROPE 1.25X STRATEGY C | 0.00 | 0.42 | 80.0 | 0.34 | 0.00 | 0.34 |
| / / | DOWNING, JOHN | RYDEX EUROPE 1.25X STRATEGY C | 0.00 | 0.86 | 80.0 | 0.69 | 0.00 | 0.69 |
| / / | ACOSTA, JF | RYDEX EUROPE 1.25X STRATEGY C | 0.00 | 0.07 | 80.0 | 0.06 | 0.00 | 0.06 |
| / / | MELTON, JOY | RYDEX EUROPE 1.25X STRATEGY C | 0.00 | 0.16 | 80.0 | 0.13 | 0.00 | 0.13 |
| / / | BENSON, KARLA | RYDEX EUROPE 1.25X STRATEGY C | 0.00 | 0.06 | 80.0 | 0.05 | 0.00 | 0.05 |
| / / | DESHIELDS, JAMES | RYDEX EUROPE 1.25X STRATEGY C | 0.00 | 0.09 | 80.0 | 0.07 | 0.00 | 0.07 |
| / / | POORE, NANCY | RYDEX EUROPE 1.25X STRATEGY C | 0.00 | 0.21 | 80.0 | 0.17 | 0.00 | 0.17 |
| / / | MCFERRON, LINDA | RYDEX EUROPE 1.25X STRATEGY C | 0.00 | 0.25 | 80.0 | 0.20 | 0.00 | 0.20 |
| / / | VOCI, ROBERTO | RYDEX EUROPE 1.25X STRATEGY C | 0.00 | 0.58 | 80.0 | 0.46 | 0.00 | 0.46 |
| / / | WILLIAMS, JACKIE | RYDEX EUROPE 1.25X STRATEGY C | 0.00 | 0.76 | 80.0 | 0.61 | 0.00 | 0.61 |
| / / | WRIGHT, MARK | RYDEX EUROPE 1.25X STRATEGY C | 0.00 | 0.01 | 80.0 | 0.01 | 0.00 | 0.01 |
| / / | POTTER, G | RYDEX EUROPE 1.25X STRATEGY C | 0.00 | 0.08 | 80.0 | 0.06 | 0.00 | 0.06 |
| / / | POTTER, RK | RYDEX EUROPE 1.25X STRATEGY C | 0.00 | 0.08 | 80.0 | 0.06 | 0.00 | 0.06 |
| / / | RICK, JOSEPH | RYDEX EUROPE 1.25X STRATEGY C | 0.00 | 0.03 | 80.0 | 0.02 | 0.00 | 0.02 |
| / / | BACON, RICHARD | RYDEX EUROPE 1.25X STRATEGY C | 0.00 | 0.22 | 80.0 | 0.18 | 0.00 | 0.18 |
| / / | ARRINGTON, NANCY | RYDEX EUROPE 1.25X STRATEGY C | 0.00 | 0.04 | 80.0 | 0.03 | 0.00 | 0.03 |
| / / | HOLMAN, KENLEE | RYDEX EUROPE 1.25X STRATEGY C | 0.00 | 0.04 | 80.0 | 0.03 | 0.00 | 0.03 |
| / / | HOLMAN, MEEGAN | RYDEX EUROPE 1.25X STRATEGY C | 0.00 | 0.14 | 80.0 | 0.11 | 0.00 | 0.11 |
| / / | WHITETREE, THOMAS | RYDEX GOVT LONG BOND 1.2X STRAT | 0.00 | 0.04 | 80.0 | 0.03 | 0.00 | 0.03 |
| / / | CASTLE, DAVID | RYDEX GOVT LONG BOND 1.2X STRAT | 0.00 | 0.06 | 80.0 | 0.05 | 0.00 | 0.05 |
| / / | HUFFMAN, KRISTOPHER | RYDEX GOVT LONG BOND 1.2X STRAT | 0.00 | 0.24 | 80.0 | 0.19 | 0.00 | 0.19 |
| / / | LIVELY, ELIZABETH | RYDEX GOVT LONG BOND 1.2X STRAT | 0.00 | 0.06 | 80.0 | 0.05 | 0.00 | 0.05 |
| / / | LIVELY, DUSTIN | RYDEX GOVT LONG BOND 1.2X STRAT | 0.00 | 0.06 | 80.0 | 0.05 | 0.00 | 0.05 |
| / / | HUNTER, TIMOTHY | RYDEX GOVT LONG BOND 1.2X STRAT | 0.00 | 0.05 | 80.0 | 0.04 | 0.00 | 0.04 |
| / / | PUCKETT, CHERI | RYDEX GOVT LONG BOND 1.2X STRAT | 0.00 | 0.07 | 80.0 | 0.06 | 0.00 | 0.06 |

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

** - Indicates adjustment is not included in Totals or Commissions

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

| DATE | CLIENT | INVESTMENT | INVESTMENT AMOUNT | GROSS COMMISSION | RATE | NET COMMISSION | CLEARING CHARGE | BROKER COMMISSION |
|--|---------------------|-----------------------------------|----------------------|---------------------|------|-------------------|--------------------|----------------------|
| <u>BROKER TRANSACTIONS</u> | | | | | | | | |
| <u>PRODUCT CATEGORY: MUTUAL FUNDS</u> | | | | | | | | |
| / / | HARRALD, DONALD | RYDEX GOVT LONG BOND 1.2X STRAT | 0.00 | 0.03 | 80.0 | 0.02 | 0.00 | 0.02 |
| / / | SALLEE, MARY | RYDEX GOVT LONG BOND 1.2X STRAT | 0.00 | 0.09 | 80.0 | 0.07 | 0.00 | 0.07 |
| / / | ROLLINS, LISA | RYDEX GUGG DYNAMIC RUSSELL 2000 C | 0.00 | 0.01 | 80.0 | 0.01 | 0.00 | 0.01 |
| / / | BACON-HILL, MICHELE | RYDEX GUGG DYNAMIC RUSSELL 2000 C | 0.00 | 0.06 | 80.0 | 0.05 | 0.00 | 0.05 |
| / / | TREADWAY, PAMELA | RYDEX GUGG DYNAMIC RUSSELL 2000 C | 0.00 | 0.19 | 80.0 | 0.15 | 0.00 | 0.15 |
| / / | TREADWAY, TOMMY | RYDEX GUGG DYNAMIC RUSSELL 2000 C | 0.00 | 0.36 | 80.0 | 0.29 | 0.00 | 0.29 |
| / / | DOWNING, JOHN | RYDEX GUGG DYNAMIC RUSSELL 2000 C | 0.00 | 0.76 | 80.0 | 0.61 | 0.00 | 0.61 |
| / / | ACOSTA, JF | RYDEX GUGG DYNAMIC RUSSELL 2000 C | 0.00 | 0.06 | 80.0 | 0.05 | 0.00 | 0.05 |
| / / | MELTON, JOY | RYDEX GUGG DYNAMIC RUSSELL 2000 C | 0.00 | 0.13 | 80.0 | 0.10 | 0.00 | 0.10 |
| / / | BENSON, KARLA | RYDEX GUGG DYNAMIC RUSSELL 2000 C | 0.00 | 0.05 | 80.0 | 0.04 | 0.00 | 0.04 |
| / / | DESHIELDS, JAMES | RYDEX GUGG DYNAMIC RUSSELL 2000 C | 0.00 | 0.06 | 80.0 | 0.05 | 0.00 | 0.05 |
| / / | POORE, NANCY | RYDEX GUGG DYNAMIC RUSSELL 2000 C | 0.00 | 0.15 | 80.0 | 0.12 | 0.00 | 0.12 |
| / / | MCFERRON, LINDA | RYDEX GUGG DYNAMIC RUSSELL 2000 C | 0.00 | 0.22 | 80.0 | 0.18 | 0.00 | 0.18 |
| / / | VOCI, ROBERTO | RYDEX GUGG DYNAMIC RUSSELL 2000 C | 0.00 | 0.51 | 80.0 | 0.41 | 0.00 | 0.41 |
| / / | WILLIAMS, JACKIE | RYDEX GUGG DYNAMIC RUSSELL 2000 C | 0.00 | 0.67 | 80.0 | 0.54 | 0.00 | 0.54 |
| / / | WRIGHT, MARK | RYDEX GUGG DYNAMIC RUSSELL 2000 C | 0.00 | 0.01 | 80.0 | 0.01 | 0.00 | 0.01 |
| / / | POTTER, G | RYDEX GUGG DYNAMIC RUSSELL 2000 C | 0.00 | 0.07 | 80.0 | 0.06 | 0.00 | 0.06 |
| / / | POTTER, RK | RYDEX GUGG DYNAMIC RUSSELL 2000 C | 0.00 | 0.07 | 80.0 | 0.06 | 0.00 | 0.06 |
| / / | RICK, JOSEPH | RYDEX GUGG DYNAMIC RUSSELL 2000 C | 0.00 | 0.01 | 80.0 | 0.01 | 0.00 | 0.01 |
| / / | BACON, RICHARD | RYDEX GUGG DYNAMIC RUSSELL 2000 C | 0.00 | 0.16 | 80.0 | 0.13 | 0.00 | 0.13 |
| / / | ARRINGTON, NANCY | RYDEX GUGG DYNAMIC RUSSELL 2000 C | 0.00 | 0.03 | 80.0 | 0.02 | 0.00 | 0.02 |
| / / | HOLMAN, KENLEE | RYDEX GUGG DYNAMIC RUSSELL 2000 C | 0.00 | 0.04 | 80.0 | 0.03 | 0.00 | 0.03 |
| / / | HOLMAN, MEEGAN | RYDEX GUGG DYNAMIC RUSSELL 2000 C | 0.00 | 0.13 | 80.0 | 0.10 | 0.00 | 0.10 |
| / / | WHITETREE, THOMAS | RYDEX GUGG EMG MKTS 2X STRATEGY A | 0.00 | 0.03 | 80.0 | 0.02 | 0.00 | 0.02 |
| / / | CASTLE, DAVID | RYDEX GUGG EMG MKTS 2X STRATEGY A | 0.00 | 0.05 | 80.0 | 0.04 | 0.00 | 0.04 |
| / / | HUFFMAN, KRISTOPHER | RYDEX GUGG EMG MKTS 2X STRATEGY A | 0.00 | 0.18 | 80.0 | 0.14 | 0.00 | 0.14 |
| / / | LIVELY, ELIZABETH | RYDEX GUGG EMG MKTS 2X STRATEGY A | 0.00 | 0.04 | 80.0 | 0.03 | 0.00 | 0.03 |
| / / | LIVELY, DUSTIN | RYDEX GUGG EMG MKTS 2X STRATEGY A | 0.00 | 0.04 | 80.0 | 0.03 | 0.00 | 0.03 |
| / / | HUNTER, TIMOTHY | RYDEX GUGG EMG MKTS 2X STRATEGY A | 0.00 | 0.04 | 80.0 | 0.03 | 0.00 | 0.03 |
| / / | PUCKETT, CHERI | RYDEX GUGG EMG MKTS 2X STRATEGY A | 0.00 | 0.05 | 80.0 | 0.04 | 0.00 | 0.04 |
| / / | HARRALD, DONALD | RYDEX GUGG EMG MKTS 2X STRATEGY A | 0.00 | 0.02 | 80.0 | 0.02 | 0.00 | 0.02 |
| / / | SALLEE, MARY | RYDEX GUGG EMG MKTS 2X STRATEGY A | 0.00 | 0.07 | 80.0 | 0.06 | 0.00 | 0.06 |
| / / | ROLLINS, LISA | RYDEX GUGG EMG MKTS 2X STRATEGY C | 0.00 | 0.01 | 80.0 | 0.01 | 0.00 | 0.01 |

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

** - Indicates adjustment is not included in Totals or Commissions

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

| DATE | CLIENT | INVESTMENT | INVESTMENT AMOUNT | GROSS COMMISSION | RATE | NET COMMISSION | CLEARING CHARGE | BROKER COMMISSION |
|--|---------------------|-----------------------------------|----------------------|---------------------|------|-------------------|--------------------|----------------------|
| <u>BROKER TRANSACTIONS</u> | | | | | | | | |
| <u>PRODUCT CATEGORY: MUTUAL FUNDS</u> | | | | | | | | |
| / / | BACON-HILL, MICHELE | RYDEX GUGG EMG MKTS 2X STRATEGY C | 0.00 | 0.06 | 80.0 | 0.05 | 0.00 | 0.05 |
| / / | TREADWAY, PAMELA | RYDEX GUGG EMG MKTS 2X STRATEGY C | 0.00 | 0.20 | 80.0 | 0.16 | 0.00 | 0.16 |
| / / | TREADWAY, TOMMY | RYDEX GUGG EMG MKTS 2X STRATEGY C | 0.00 | 0.35 | 80.0 | 0.28 | 0.00 | 0.28 |
| / / | DOWNING, JOHN | RYDEX GUGG EMG MKTS 2X STRATEGY C | 0.00 | 0.72 | 80.0 | 0.58 | 0.00 | 0.58 |
| / / | ACOSTA, JF | RYDEX GUGG EMG MKTS 2X STRATEGY C | 0.00 | 0.06 | 80.0 | 0.05 | 0.00 | 0.05 |
| / / | MELTON, JOY | RYDEX GUGG EMG MKTS 2X STRATEGY C | 0.00 | 0.13 | 80.0 | 0.10 | 0.00 | 0.10 |
| / / | BENSON, KARLA | RYDEX GUGG EMG MKTS 2X STRATEGY C | 0.00 | 0.05 | 80.0 | 0.04 | 0.00 | 0.04 |
| / / | DESHIELDS, JAMES | RYDEX GUGG EMG MKTS 2X STRATEGY C | 0.00 | 0.07 | 80.0 | 0.06 | 0.00 | 0.06 |
| / / | POORE, NANCY | RYDEX GUGG EMG MKTS 2X STRATEGY C | 0.00 | 0.17 | 80.0 | 0.14 | 0.00 | 0.14 |
| / / | MCFERRON, LINDA | RYDEX GUGG EMG MKTS 2X STRATEGY C | 0.00 | 0.21 | 80.0 | 0.17 | 0.00 | 0.17 |
| / / | VOCI, ROBERTO | RYDEX GUGG EMG MKTS 2X STRATEGY C | 0.00 | 0.49 | 80.0 | 0.39 | 0.00 | 0.39 |
| / / | WILLIAMS, JACKIE | RYDEX GUGG EMG MKTS 2X STRATEGY C | 0.00 | 0.67 | 80.0 | 0.54 | 0.00 | 0.54 |
| / / | WRIGHT, MARK | RYDEX GUGG EMG MKTS 2X STRATEGY C | 0.00 | 0.01 | 80.0 | 0.01 | 0.00 | 0.01 |
| / / | POTTER, G | RYDEX GUGG EMG MKTS 2X STRATEGY C | 0.00 | 0.07 | 80.0 | 0.06 | 0.00 | 0.06 |
| / / | POTTER, RK | RYDEX GUGG EMG MKTS 2X STRATEGY C | 0.00 | 0.06 | 80.0 | 0.05 | 0.00 | 0.05 |
| / / | RICK, JOSEPH | RYDEX GUGG EMG MKTS 2X STRATEGY C | 0.00 | 0.02 | 80.0 | 0.02 | 0.00 | 0.02 |
| / / | BACON, RICHARD | RYDEX GUGG EMG MKTS 2X STRATEGY C | 0.00 | 0.18 | 80.0 | 0.14 | 0.00 | 0.14 |
| / / | ARRINGTON, NANCY | RYDEX GUGG EMG MKTS 2X STRATEGY C | 0.00 | 0.04 | 80.0 | 0.03 | 0.00 | 0.03 |
| / / | HOLMAN, KENLEE | RYDEX GUGG EMG MKTS 2X STRATEGY C | 0.00 | 0.04 | 80.0 | 0.03 | 0.00 | 0.03 |
| / / | HOLMAN, MEEGAN | RYDEX GUGG EMG MKTS 2X STRATEGY C | 0.00 | 0.12 | 80.0 | 0.10 | 0.00 | 0.10 |
| / / | ROLLINS, LISA | RYDEX GUGG NASDAQ 100 2X STRATEGY | 0.00 | 0.09 | 80.0 | 0.07 | 0.00 | 0.07 |
| / / | BACON-HILL, MICHELE | RYDEX GUGG NASDAQ 100 2X STRATEGY | 0.00 | 0.46 | 80.0 | 0.37 | 0.00 | 0.37 |
| / / | TREADWAY, PAMELA | RYDEX GUGG NASDAQ 100 2X STRATEGY | 0.00 | 1.38 | 80.0 | 1.10 | 0.00 | 1.10 |
| / / | TREADWAY, TOMMY | RYDEX GUGG NASDAQ 100 2X STRATEGY | 0.00 | 2.85 | 80.0 | 2.28 | 0.00 | 2.28 |
| / / | MORIELS, FELICIA | RYDEX GUGG NASDAQ 100 2X STRATEGY | 0.00 | 0.01 | 80.0 | 0.01 | 0.00 | 0.01 |
| / / | DOWNING, JOHN | RYDEX GUGG NASDAQ 100 2X STRATEGY | 0.00 | 6.06 | 80.0 | 4.85 | 0.00 | 4.85 |
| / / | ACOSTA, JF | RYDEX GUGG NASDAQ 100 2X STRATEGY | 0.00 | 0.51 | 80.0 | 0.41 | 0.00 | 0.41 |
| / / | MELTON, JOY | RYDEX GUGG NASDAQ 100 2X STRATEGY | 0.00 | 1.07 | 80.0 | 0.86 | 0.00 | 0.86 |
| / / | BENSON, KARLA | RYDEX GUGG NASDAQ 100 2X STRATEGY | 0.00 | 0.41 | 80.0 | 0.33 | 0.00 | 0.33 |
| / / | DESHIELDS, JAMES | RYDEX GUGG NASDAQ 100 2X STRATEGY | 0.00 | 0.42 | 80.0 | 0.34 | 0.00 | 0.34 |
| / / | POORE, NANCY | RYDEX GUGG NASDAQ 100 2X STRATEGY | 0.00 | 1.07 | 80.0 | 0.86 | 0.00 | 0.86 |
| / / | MCFERRON, LINDA | RYDEX GUGG NASDAQ 100 2X STRATEGY | 0.00 | 1.79 | 80.0 | 1.43 | 0.00 | 1.43 |
| / / | VOCI, ROBERTO | RYDEX GUGG NASDAQ 100 2X STRATEGY | 0.00 | 4.03 | 80.0 | 3.22 | 0.00 | 3.22 |

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

** - Indicates adjustment is not included in Totals or Commissions

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

| DATE | CLIENT | INVESTMENT | INVESTMENT AMOUNT | GROSS COMMISSION | RATE | NET COMMISSION | CLEARING CHARGE | BROKER COMMISSION |
|--|---------------------|-----------------------------------|----------------------|---------------------|------|-------------------|--------------------|----------------------|
| <u>BROKER TRANSACTIONS</u> | | | | | | | | |
| <u>PRODUCT CATEGORY: MUTUAL FUNDS</u> | | | | | | | | |
| / / | WILLIAMS, JACKIE | RYDEX GUGG NASDAQ 100 2X STRATEGY | 0.00 | 5.33 | 80.0 | 4.26 | 0.00 | 4.26 |
| / / | WRIGHT, MARK | RYDEX GUGG NASDAQ 100 2X STRATEGY | 0.00 | 0.07 | 80.0 | 0.06 | 0.00 | 0.06 |
| / / | POTTER, G | RYDEX GUGG NASDAQ 100 2X STRATEGY | 0.00 | 0.54 | 80.0 | 0.43 | 0.00 | 0.43 |
| / / | POTTER, RK | RYDEX GUGG NASDAQ 100 2X STRATEGY | 0.00 | 0.52 | 80.0 | 0.42 | 0.00 | 0.42 |
| / / | RICK, JOSEPH | RYDEX GUGG NASDAQ 100 2X STRATEGY | 0.00 | 0.02 | 80.0 | 0.02 | 0.00 | 0.02 |
| / / | BACON, RICHARD | RYDEX GUGG NASDAQ 100 2X STRATEGY | 0.00 | 1.15 | 80.0 | 0.92 | 0.00 | 0.92 |
| / / | ARRINGTON, NANCY | RYDEX GUGG NASDAQ 100 2X STRATEGY | 0.00 | 0.18 | 80.0 | 0.14 | 0.00 | 0.14 |
| / / | HOLMAN, KENLEE | RYDEX GUGG NASDAQ 100 2X STRATEGY | 0.00 | 0.31 | 80.0 | 0.25 | 0.00 | 0.25 |
| / / | HOLMAN, MEEGAN | RYDEX GUGG NASDAQ 100 2X STRATEGY | 0.00 | 1.02 | 80.0 | 0.82 | 0.00 | 0.82 |
| 05/15/2017 | DOWNING, JOHN | RYDEX GUGG NASDAQ 100 2X STRATEGY | 300.00 | 3.00 | 80.0 | 2.40 | 0.00 | 2.40 |
| 05/22/2017 | ARRINGTON, NANCY | RYDEX GUGG NASDAQ 100 2X STRATEGY | 100.00 | 1.00 | 80.0 | 0.80 | 0.00 | 0.80 |
| / / | WHITETREE, THOMAS | RYDEX GUGG PRECIOUS METALS A | 0.00 | 0.04 | 80.0 | 0.03 | 0.00 | 0.03 |
| / / | CASTLE, DAVID | RYDEX GUGG PRECIOUS METALS A | 0.00 | 0.07 | 80.0 | 0.06 | 0.00 | 0.06 |
| / / | HUFFMAN, KRISTOPHER | RYDEX GUGG PRECIOUS METALS A | 0.00 | 0.27 | 80.0 | 0.22 | 0.00 | 0.22 |
| / / | LIVELY, ELIZABETH | RYDEX GUGG PRECIOUS METALS A | 0.00 | 0.06 | 80.0 | 0.05 | 0.00 | 0.05 |
| / / | LIVELY, DUSTIN | RYDEX GUGG PRECIOUS METALS A | 0.00 | 0.06 | 80.0 | 0.05 | 0.00 | 0.05 |
| / / | HUNTER, TIMOTHY | RYDEX GUGG PRECIOUS METALS A | 0.00 | 0.06 | 80.0 | 0.05 | 0.00 | 0.05 |
| / / | PUCKETT, CHERI | RYDEX GUGG PRECIOUS METALS A | 0.00 | 0.07 | 80.0 | 0.06 | 0.00 | 0.06 |
| / / | HARRALD, DONALD | RYDEX GUGG PRECIOUS METALS A | 0.00 | 0.03 | 80.0 | 0.02 | 0.00 | 0.02 |
| / / | SALLEE, MARY | RYDEX GUGG PRECIOUS METALS A | 0.00 | 0.10 | 80.0 | 0.08 | 0.00 | 0.08 |
| / / | ROLLINS, LISA | RYDEX GUGG PRECIOUS METALS C | 0.00 | 0.02 | 80.0 | 0.02 | 0.00 | 0.02 |
| / / | BACON-HILL, MICHELE | RYDEX GUGG PRECIOUS METALS C | 0.00 | 0.08 | 80.0 | 0.06 | 0.00 | 0.06 |
| / / | TREADWAY, PAMELA | RYDEX GUGG PRECIOUS METALS C | 0.00 | 0.29 | 80.0 | 0.23 | 0.00 | 0.23 |
| / / | TREADWAY, TOMMY | RYDEX GUGG PRECIOUS METALS C | 0.00 | 0.52 | 80.0 | 0.42 | 0.00 | 0.42 |
| / / | DOWNING, JOHN | RYDEX GUGG PRECIOUS METALS C | 0.00 | 1.09 | 80.0 | 0.87 | 0.00 | 0.87 |
| / / | ACOSTA, JF | RYDEX GUGG PRECIOUS METALS C | 0.00 | 0.09 | 80.0 | 0.07 | 0.00 | 0.07 |
| / / | MELTON, JOY | RYDEX GUGG PRECIOUS METALS C | 0.00 | 0.20 | 80.0 | 0.16 | 0.00 | 0.16 |
| / / | BENSON, KARLA | RYDEX GUGG PRECIOUS METALS C | 0.00 | 0.07 | 80.0 | 0.06 | 0.00 | 0.06 |
| / / | DESHIELDS, JAMES | RYDEX GUGG PRECIOUS METALS C | 0.00 | 0.10 | 80.0 | 0.08 | 0.00 | 0.08 |
| / / | POORE, NANCY | RYDEX GUGG PRECIOUS METALS C | 0.00 | 0.24 | 80.0 | 0.19 | 0.00 | 0.19 |
| / / | MCFERRON, LINDA | RYDEX GUGG PRECIOUS METALS C | 0.00 | 0.32 | 80.0 | 0.26 | 0.00 | 0.26 |
| / / | VOCI, ROBERTO | RYDEX GUGG PRECIOUS METALS C | 0.00 | 0.73 | 80.0 | 0.58 | 0.00 | 0.58 |
| / / | WILLIAMS, JACKIE | RYDEX GUGG PRECIOUS METALS C | 0.00 | 0.99 | 80.0 | 0.79 | 0.00 | 0.79 |

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

| DATE | CLIENT | INVESTMENT | INVESTMENT AMOUNT | GROSS COMMISSION | RATE | NET COMMISSION | CLEARING CHARGE | BROKER COMMISSION |
|--|---------------------|------------------------------|----------------------|---------------------|------|-------------------|--------------------|----------------------|
| <u>BROKER TRANSACTIONS</u> | | | | | | | | |
| <u>PRODUCT CATEGORY: MUTUAL FUNDS</u> | | | | | | | | |
| / / | WRIGHT, MARK | RYDEX GUGG PRECIOUS METALS C | 0.00 | 0.01 | 80.0 | 0.01 | 0.00 | 0.01 |
| / / | POTTER, G | RYDEX GUGG PRECIOUS METALS C | 0.00 | 0.10 | 80.0 | 0.08 | 0.00 | 0.08 |
| / / | POTTER, RK | RYDEX GUGG PRECIOUS METALS C | 0.00 | 0.09 | 80.0 | 0.07 | 0.00 | 0.07 |
| / / | RICK, JOSEPH | RYDEX GUGG PRECIOUS METALS C | 0.00 | 0.03 | 80.0 | 0.02 | 0.00 | 0.02 |
| / / | BACON, RICHARD | RYDEX GUGG PRECIOUS METALS C | 0.00 | 0.26 | 80.0 | 0.21 | 0.00 | 0.21 |
| / / | ARRINGTON, NANCY | RYDEX GUGG PRECIOUS METALS C | 0.00 | 0.05 | 80.0 | 0.04 | 0.00 | 0.04 |
| / / | HOLMAN, KENLEE | RYDEX GUGG PRECIOUS METALS C | 0.00 | 0.06 | 80.0 | 0.05 | 0.00 | 0.05 |
| / / | HOLMAN, MEEGAN | RYDEX GUGG PRECIOUS METALS C | 0.00 | 0.18 | 80.0 | 0.14 | 0.00 | 0.14 |
| / / | WHITETREE, THOMAS | RYDEX GUGG REAL ESTATE A | 0.00 | 0.05 | 80.0 | 0.04 | 0.00 | 0.04 |
| / / | CASTLE, DAVID | RYDEX GUGG REAL ESTATE A | 0.00 | 0.08 | 80.0 | 0.06 | 0.00 | 0.06 |
| / / | HUFFMAN, KRISTOPHER | RYDEX GUGG REAL ESTATE A | 0.00 | 0.30 | 80.0 | 0.24 | 0.00 | 0.24 |
| / / | LIVELY, ELIZABETH | RYDEX GUGG REAL ESTATE A | 0.00 | 0.07 | 80.0 | 0.06 | 0.00 | 0.06 |
| / / | LIVELY, DUSTIN | RYDEX GUGG REAL ESTATE A | 0.00 | 0.07 | 80.0 | 0.06 | 0.00 | 0.06 |
| / / | HUNTER, TIMOTHY | RYDEX GUGG REAL ESTATE A | 0.00 | 0.06 | 80.0 | 0.05 | 0.00 | 0.05 |
| / / | PUCKETT, CHERI | RYDEX GUGG REAL ESTATE A | 0.00 | 0.10 | 80.0 | 0.08 | 0.00 | 0.08 |
| / / | HARRALD, DONALD | RYDEX GUGG REAL ESTATE A | 0.00 | 0.03 | 80.0 | 0.02 | 0.00 | 0.02 |
| / / | SALLEE, MARY | RYDEX GUGG REAL ESTATE A | 0.00 | 0.11 | 80.0 | 0.09 | 0.00 | 0.09 |
| / / | ROLLINS, LISA | RYDEX GUGG REAL ESTATE C | 0.00 | 0.02 | 80.0 | 0.02 | 0.00 | 0.02 |
| / / | BACON-HILL, MICHELE | RYDEX GUGG REAL ESTATE C | 0.00 | 0.09 | 80.0 | 0.07 | 0.00 | 0.07 |
| / / | TREADWAY, PAMELA | RYDEX GUGG REAL ESTATE C | 0.00 | 0.33 | 80.0 | 0.26 | 0.00 | 0.26 |
| / / | TREADWAY, TOMMY | RYDEX GUGG REAL ESTATE C | 0.00 | 0.59 | 80.0 | 0.47 | 0.00 | 0.47 |
| / / | DOWNING, JOHN | RYDEX GUGG REAL ESTATE C | 0.00 | 1.22 | 80.0 | 0.98 | 0.00 | 0.98 |
| / / | ACOSTA, JF | RYDEX GUGG REAL ESTATE C | 0.00 | 0.10 | 80.0 | 0.08 | 0.00 | 0.08 |
| / / | MELTON, JOY | RYDEX GUGG REAL ESTATE C | 0.00 | 0.22 | 80.0 | 0.18 | 0.00 | 0.18 |
| / / | BENSON, KARLA | RYDEX GUGG REAL ESTATE C | 0.00 | 0.08 | 80.0 | 0.06 | 0.00 | 0.06 |
| / / | DESHIELDS, JAMES | RYDEX GUGG REAL ESTATE C | 0.00 | 0.12 | 80.0 | 0.10 | 0.00 | 0.10 |
| / / | POORE, NANCY | RYDEX GUGG REAL ESTATE C | 0.00 | 0.29 | 80.0 | 0.23 | 0.00 | 0.23 |
| / / | MCFERRON, LINDA | RYDEX GUGG REAL ESTATE C | 0.00 | 0.35 | 80.0 | 0.28 | 0.00 | 0.28 |
| / / | VOCI, ROBERTO | RYDEX GUGG REAL ESTATE C | 0.00 | 0.81 | 80.0 | 0.65 | 0.00 | 0.65 |
| / / | WILLIAMS, JACKIE | RYDEX GUGG REAL ESTATE C | 0.00 | 1.09 | 80.0 | 0.87 | 0.00 | 0.87 |
| / / | WRIGHT, MARK | RYDEX GUGG REAL ESTATE C | 0.00 | 0.01 | 80.0 | 0.01 | 0.00 | 0.01 |
| / / | POTTER, G | RYDEX GUGG REAL ESTATE C | 0.00 | 0.11 | 80.0 | 0.09 | 0.00 | 0.09 |
| / / | POTTER, RK | RYDEX GUGG REAL ESTATE C | 0.00 | 0.11 | 80.0 | 0.09 | 0.00 | 0.09 |

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** - Indicates adjustment is not included in Totals or Commissions

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

| DATE | CLIENT | INVESTMENT | INVESTMENT AMOUNT | GROSS COMMISSION | RATE | NET COMMISSION | CLEARING CHARGE | BROKER COMMISSION |
|--|---------------------|------------------------------------|----------------------|---------------------|------|-------------------|--------------------|----------------------|
| <u>BROKER TRANSACTIONS</u> | | | | | | | | |
| <u>PRODUCT CATEGORY: MUTUAL FUNDS</u> | | | | | | | | |
| / / | RICK, JOSEPH | RYDEX GUGG REAL ESTATE C | 0.00 | 0.04 | 80.0 | 0.03 | 0.00 | 0.03 |
| / / | BACON, RICHARD | RYDEX GUGG REAL ESTATE C | 0.00 | 0.31 | 80.0 | 0.25 | 0.00 | 0.25 |
| / / | ARRINGTON, NANCY | RYDEX GUGG REAL ESTATE C | 0.00 | 0.07 | 80.0 | 0.06 | 0.00 | 0.06 |
| / / | HOLMAN, KENLEE | RYDEX GUGG REAL ESTATE C | 0.00 | 0.06 | 80.0 | 0.05 | 0.00 | 0.05 |
| / / | HOLMAN, MEEGAN | RYDEX GUGG REAL ESTATE C | 0.00 | 0.20 | 80.0 | 0.16 | 0.00 | 0.16 |
| / / | WHITETREE, THOMAS | RYDEX GUGG RUSSELL 2X STRATEGY A | 0.00 | 0.03 | 80.0 | 0.02 | 0.00 | 0.02 |
| / / | CASTLE, DAVID | RYDEX GUGG RUSSELL 2X STRATEGY A | 0.00 | 0.05 | 80.0 | 0.04 | 0.00 | 0.04 |
| / / | HUFFMAN, KRISTOPHER | RYDEX GUGG RUSSELL 2X STRATEGY A | 0.00 | 0.18 | 80.0 | 0.14 | 0.00 | 0.14 |
| / / | LIVELY, ELIZABETH | RYDEX GUGG RUSSELL 2X STRATEGY A | 0.00 | 0.04 | 80.0 | 0.03 | 0.00 | 0.03 |
| / / | LIVELY, DUSTIN | RYDEX GUGG RUSSELL 2X STRATEGY A | 0.00 | 0.04 | 80.0 | 0.03 | 0.00 | 0.03 |
| / / | HUNTER, TIMOTHY | RYDEX GUGG RUSSELL 2X STRATEGY A | 0.00 | 0.04 | 80.0 | 0.03 | 0.00 | 0.03 |
| / / | PUCKETT, CHERI | RYDEX GUGG RUSSELL 2X STRATEGY A | 0.00 | 0.05 | 80.0 | 0.04 | 0.00 | 0.04 |
| / / | HARRALD, DONALD | RYDEX GUGG RUSSELL 2X STRATEGY A | 0.00 | 0.02 | 80.0 | 0.02 | 0.00 | 0.02 |
| / / | SALLEE, MARY | RYDEX GUGG RUSSELL 2X STRATEGY A | 0.00 | 0.07 | 80.0 | 0.06 | 0.00 | 0.06 |
| / / | WHITETREE, THOMAS | RYDEX GUGG VELOCITY 100 A | 0.00 | 0.22 | 80.0 | 0.18 | 0.00 | 0.18 |
| / / | CASTLE, DAVID | RYDEX GUGG VELOCITY 100 A | 0.00 | 0.41 | 80.0 | 0.33 | 0.00 | 0.33 |
| / / | HUFFMAN, KRISTOPHER | RYDEX GUGG VELOCITY 100 A | 0.00 | 1.49 | 80.0 | 1.19 | 0.00 | 1.19 |
| / / | LIVELY, ELIZABETH | RYDEX GUGG VELOCITY 100 A | 0.00 | 0.34 | 80.0 | 0.27 | 0.00 | 0.27 |
| / / | LIVELY, DUSTIN | RYDEX GUGG VELOCITY 100 A | 0.00 | 0.35 | 80.0 | 0.28 | 0.00 | 0.28 |
| / / | HUNTER, TIMOTHY | RYDEX GUGG VELOCITY 100 A | 0.00 | 0.31 | 80.0 | 0.25 | 0.00 | 0.25 |
| / / | PUCKETT, CHERI | RYDEX GUGG VELOCITY 100 A | 0.00 | 0.40 | 80.0 | 0.32 | 0.00 | 0.32 |
| / / | HARRALD, DONALD | RYDEX GUGG VELOCITY 100 A | 0.00 | 0.15 | 80.0 | 0.12 | 0.00 | 0.12 |
| / / | SALLEE, MARY | RYDEX GUGG VELOCITY 100 A | 0.00 | 0.57 | 80.0 | 0.46 | 0.00 | 0.46 |
| / / | KINNEY, ERICK | RYDEX GUGGENHEIM NASDAQ-100-A | 0.00 | 0.22 | 80.0 | 0.18 | 0.00 | 0.18 |
| * MUTUAL FUNDS SUBTOTAL * | | | \$2,771.88 | \$179.70 | | \$143.89 | \$0.00 | \$143.89 |
| <u>PRODUCT CATEGORY: STOCKS</u> | | | | | | | | |
| 05/18/2017 | ACOSTA, ANNA | DIREXION SHS ETF TR DAILY GOLD | -5,259.00 | 49.00 | 80.0 | 39.20 | 22.50 | 16.70 |
| 05/24/2017 | ACOSTA, ANNA | DIREXION SHS ETF TR DEVELOPED MKTS | -13,181.20 | 99.00 | 80.0 | 79.20 | 22.50 | 56.70 |
| 05/18/2017 | STANFORD, DAVID | DIREXION SHS ETF TR DIREXION DAILY | -7,536.20 | 49.00 | 80.0 | 39.20 | 22.50 | 16.70 |
| 05/18/2017 | ACOSTA, ANNA | DIREXION SHS ETF TR DIREXION DAILY | -7,536.20 | 49.00 | 80.0 | 39.20 | 22.50 | 16.70 |
| * STOCKS SUBTOTAL * | | | \$-33,512.60 | \$246.00 | | \$196.80 | \$90.00 | \$106.80 |

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| DATE | CLIENT | INVESTMENT | INVESTMENT AMOUNT | GROSS COMMISSION | RATE | NET COMMISSION | CLEARING CHARGE | BROKER COMMISSION |
|--|--------------------|-----------------------------------|----------------------|---------------------|------|-------------------|--------------------|----------------------|
| <u>BROKER TRANSACTIONS</u> | | | | | | | | |
| <u>PRODUCT CATEGORY: VARIABLE ANNUITIES</u> | | | | | | | | |
| 05/15/2017 | BACON, JOANN | JNL ELITE ACCESS | 104,953.29 | 5,510.05 | 80.0 | 4,408.04 | 0.00 | 4,408.04 |
| 05/22/2017 | ARRINGTON, NANCY | JNL ELITE ACCESS | 100.00 | 5.25 | 80.0 | 4.20 | 0.00 | 4.20 |
| 05/16/2017 | RICK, JOSEPH | JNL PERSPECTIVE L | 175.48 | 10.44 | 80.0 | 8.35 | 0.00 | 8.35 |
| 05/01/2017 | FRANKS, MARTHA | PAC LIFE INNOVATIVE SELECT | 0.00 | 56.61 | 80.0 | 45.29 | 0.00 | 45.29 |
| 05/01/2017 | MADEWELL, DOUGLAS | PAC LIFE INNOVATIVE SELECT | 0.00 | 5.19 | 80.0 | 4.15 | 0.00 | 4.15 |
| 05/03/2017 | STINSON, BRADLEY | PAC LIFE INNOVATIVE SELECT | 0.00 | 5.00 | 80.0 | 4.00 | 0.00 | 4.00 |
| 05/01/2017 | HOWARD, JOSEPH | PAC LIFE PACIFIC CHOICE | 0.00 | 3.40 | 80.0 | 2.72 | 0.00 | 2.72 |
| 05/01/2017 | COLWELL, JEREMY | PAC LIFE VALUE | 0.00 | 13.20 | 80.0 | 10.56 | 0.00 | 10.56 |
| 05/01/2017 | PROCTOR, CHAD | PAC LIFE VALUE | 0.00 | 8.80 | 80.0 | 7.04 | 0.00 | 7.04 |
| 05/01/2017 | CRETSINGER, DON | PAC LIFE VALUE | 0.00 | 13.76 | 80.0 | 11.01 | 0.00 | 11.01 |
| 05/01/2017 | WHITE, JOANNE | PAC LIFE VALUE | 0.00 | 10.56 | 80.0 | 8.45 | 0.00 | 8.45 |
| 05/01/2017 | FISHER, SARA | PAC LIFE VALUE | 0.00 | 10.50 | 80.0 | 8.40 | 0.00 | 8.40 |
| * VARIABLE ANNUITIES SUBTOTAL * | | | \$105,228.77 | \$5,652.76 | | \$4,522.21 | \$0.00 | \$4,522.21 |
| <u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u> | | | | | | | | |
| 04/18/2017 | ALLGIRE, ERNESTINE | AM FUNDS CAPITAL WORLD GRTH & INC | 0.00 | 2.89 | 80.0 | 2.31 | 0.00 | 2.31 |
| 04/20/2017 | ALLGIRE, ERNESTINE | FRANKLIN UTILITIES A | 0.00 | 3.01 | 80.0 | 2.41 | 0.00 | 2.41 |
| 04/20/2017 | LAWTON, E ANN | FRANKLIN UTILITIES A | 0.00 | 3.63 | 80.0 | 2.90 | 0.00 | 2.90 |
| 04/20/2017 | LAWTON, E ANN | OPPENHEIMER DEVELOPING MARKETS C | 0.00 | 6.91 | 80.0 | 5.53 | 0.00 | 5.53 |
| 04/12/2017 | STANFORD, DAVID | POWER DIVIDEND INDEX FUND CLASS C | 0.00 | 17.96 | 80.0 | 14.37 | 0.00 | 14.37 |
| 04/12/2017 | CANFIELD, OWEN | POWER DIVIDEND INDEX FUND CLASS C | 0.00 | 0.17 | 80.0 | 0.14 | 0.00 | 0.14 |
| 04/12/2017 | CASTLE, DAVID | POWER DIVIDEND INDEX FUND CLASS C | 0.00 | 12.53 | 80.0 | 10.02 | 0.00 | 10.02 |
| 04/12/2017 | ACOSTA, ANNA | POWER DIVIDEND INDEX FUND CLASS C | 0.00 | 17.85 | 80.0 | 14.28 | 0.00 | 14.28 |
| 04/12/2017 | ALLGIRE, ERNESTINE | POWER DIVIDEND INDEX FUND CLASS C | 0.00 | 2.66 | 80.0 | 2.13 | 0.00 | 2.13 |
| 04/12/2017 | LAWTON, E ANN | POWER DIVIDEND INDEX FUND CLASS C | 0.00 | 1.46 | 80.0 | 1.17 | 0.00 | 1.17 |
| 04/12/2017 | TREADWAY, TOMMY | POWER DIVIDEND INDEX FUND CLASS C | 0.00 | 9.85 | 80.0 | 7.88 | 0.00 | 7.88 |
| * MUTUAL FUND 12B1 TRAILS SUBTOTAL * | | | \$0.00 | \$78.92 | | \$63.14 | \$0.00 | \$63.14 |
| <u>PRODUCT CATEGORY: VARIABLE ANNUITY 12B1 TRAILS</u> | | | | | | | | |
| 05/09/2017 | TREADWAY, TOMMY | PAC LIFE INNOVATIVE SELECT | 0.00 | 31.43 | 80.0 | 25.14 | 0.00 | 25.14 |
| 05/12/2017 | NEWBERN, BRENDA | PAC LIFE INNOVATIVE SELECT | 0.00 | 4.20 | 80.0 | 3.36 | 0.00 | 3.36 |
| 05/08/2017 | BRANCH, BILLY | PAC LIFE PORTFOLIOS | 0.00 | 261.08 | 80.0 | 208.86 | 0.00 | 208.86 |
| 05/09/2017 | WINKLER, CARLA | PAC LIFE VALUE | 0.00 | 20.88 | 80.0 | 16.70 | 0.00 | 16.70 |
| 04/13/2017 | STANFORD, DAVID | VOYA RETIREMENT & ANNUITY | 0.00 | 0.96 | 80.0 | 0.77 | 0.00 | 0.77 |

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

** - Indicates adjustment is not included in Totals or Commissions

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

| DATE | CLIENT | INVESTMENT | INVESTMENT AMOUNT | GROSS COMMISSION | RATE | NET COMMISSION | CLEARING CHARGE | BROKER COMMISSION |
|------|--------|------------|----------------------|---------------------|------|-------------------|--------------------|----------------------|
|------|--------|------------|----------------------|---------------------|------|-------------------|--------------------|----------------------|

BROKER TRANSACTIONS

PRODUCT CATEGORY: VARIABLE ANNUITY 12B1 TRAILS

| | | | | | | | | |
|---|-----------------|---------------------------|-------------|------------|------|------------|---------|------------|
| 05/13/2017 | STANFORD, DAVID | VOYA RETIREMENT & ANNUITY | 0.00 | 1.02 | 80.0 | 0.82 | 0.00 | 0.82 |
| * VARIABLE ANNUITY 12B1 TRAILS SUBTOTAL * | | | \$0.00 | \$319.57 | | \$255.65 | \$0.00 | \$255.65 |
| *** BROKER TRANSACTIONS TOTAL *** | | | \$74,488.05 | \$6,476.95 | | \$5,181.69 | \$90.00 | \$5,091.69 |

BROKER COMMISSION TOTALS

| | |
|-----------------------|------------|
| Broker Transactions | \$5,091.69 |
| Split Transactions | \$0.00 |
| Override Transactions | \$0.00 |
| Adjustments | \$0.00 |
| Payroll Draw | \$0.00 |
| Base Salary | \$0.00 |
| Prior Period Balance | \$0.00 |
| FINRA Assessment | \$0.00 |
| SIPC Assessment | \$0.00 |

| | |
|-----------------------|-------------|
| Check Amount | \$5,091.69 |
| Year-to-date Gross | \$28,787.04 |
| Year-to-date Earnings | \$22,264.79 |

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