

**COMMISSION STATEMENT****April 15, 2018**DAVID, K123 KERN
4321 Flagstaff CoveBROKER #: K123
BRANCH: DAVID KERN

Fort Wayne, IN 46815

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
03/29/2018	HELMBERGER, GENNA	SAMMONS MF TRAILS	14,565.65	6.07	0.00	6.07	90.0	5.46
03/29/2018	KERN, BRIAN	SAMMONS MF TRAILS	29,300.66	12.19	0.00	12.19	90.0	10.97
* MUTUAL FUNDS SUBTOTAL *			\$43,866.31	\$18.26	\$0.00	\$18.26		\$16.43
<u>PRODUCT CATEGORY: VARIABLE ANNUITIES</u>								
03/29/2018	KNUTSON, SUSAN	ALLIANZ VISION	149,714.31	374.29	0.00	374.29	90.0	336.86
03/29/2018	GAGNON, DONALD	ALLIANZ VISION	398,523.53	996.31	0.00	996.31	90.0	896.68
03/29/2018	THEXTON, BARBARA	ALLIANZ VISION	82,356.17	205.89	0.00	205.89	90.0	185.30
03/29/2018	WILKENING, DAVID	ALLIANZ VISION	75,915.13	189.79	0.00	189.79	90.0	170.81
03/29/2018	SIMS, STEPHEN	ALLIANZ VISION	530,383.38	1,325.96	0.00	1,325.96	90.0	1,193.36
03/29/2018	REBMAN, VICTOR	ALLIANZ VISION	124,100.08	310.25	0.00	310.25	90.0	279.23
03/29/2018	STANFORD, JEFF	ALLIANZ VISION	53,610.00	134.03	0.00	134.03	90.0	120.63
03/29/2018	SOLLOWAY, SHARON	ALLIANZ VISION	141,610.36	354.03	0.00	354.03	90.0	318.63
03/26/2018	KERN, DAVID	AMERITAS LOWLOAD VUL	10,007.47	0.83	0.00	0.83	90.0	0.75
03/27/2018	KERN, BENJAMIN	AMERITAS LOWLOAD VUL	15,621.25	1.30	0.00	1.30	90.0	1.17
04/02/2018	KERN, BRIAN	AMERITAS LOWLOAD VUL	260.94	0.02	0.00	0.02	90.0	0.02
03/31/2018	KERN, DAVID	JNL ELITE ACCESS	8,437.27	1.76	0.00	1.76	90.0	1.58
03/31/2018	KERN, DAVID	JNL ELITE ACCESS	47,615.04	39.68	0.00	39.68	90.0	35.71
03/31/2018	KERN, BENJAMIN	JNL ELITE ACCESS	30,056.36	6.26	0.00	6.26	90.0	5.63
03/31/2018	KERN, BENJAMIN	JNL ELITE ACCESS	127,330.21	106.11	0.00	106.11	90.0	95.50
03/31/2018	LINDQUIST FAMILY TRUST, MICAH	JNL ELITE ACCESS	172,276.75	143.56	0.00	143.56	90.0	129.20
03/31/2018	BUTCHER, JACK	JNL ELITE ACCESS	827,500.76	689.58	0.00	689.58	90.0	620.62
03/31/2018	KERN, BRIAN	JNL ELITE ACCESS	47,887.56	39.91	0.00	39.91	90.0	35.92
03/31/2018	RIEBE, PATRICIA	JNL ELITE ACCESS	173,930.12	144.94	0.00	144.94	90.0	130.45
03/31/2018	SVOBODA, JOYCE	JNL ELITE ACCESS	36,511.72	30.43	0.00	30.43	90.0	27.39
03/31/2018	MILLER, LAVERN	JNL ELITE ACCESS	27,428.27	22.86	0.00	22.86	90.0	20.57
03/31/2018	MILLER, JEAN	JNL ELITE ACCESS	11,962.89	9.97	0.00	9.97	90.0	8.97

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: VARIABLE ANNUITIES</u>								
03/31/2018	BRIEGEL, WILLIAM	JNL ELITE ACCESS	17,613.83	14.68	0.00	14.68	90.0	13.21
03/31/2018	JOHNSON, JULIE	JNL ELITE ACCESS	15,674.31	13.06	0.00	13.06	90.0	11.75
03/31/2018	FORTNEY, ELIZABETH	JNL ELITE ACCESS	35,107.68	29.26	0.00	29.26	90.0	26.33
03/31/2018	JOHNSON, MARGAUX	JNL ELITE ACCESS	6,494.99	5.41	0.00	5.41	90.0	4.87
03/31/2018	SMITH, STEPHANIE	JNL ELITE ACCESS	20,607.76	17.17	0.00	17.17	90.0	15.45
03/31/2018	FREISTROFFER, HENRY	JNL ELITE ACCESS	7,761.93	6.47	0.00	6.47	90.0	5.82
03/31/2018	COLLENTINE, CARYL	JNL ELITE ACCESS	4,788.52	3.99	0.00	3.99	90.0	3.59
03/31/2018	COLLENTINE, SEAN	JNL ELITE ACCESS	4,800.29	4.00	0.00	4.00	90.0	3.60
03/31/2018	ROY, SHARI	JNL ELITE ACCESS	46,282.39	38.57	0.00	38.57	90.0	34.71
03/31/2018	KERN, LEESA	JNL ELITE ACCESS	41,199.45	34.33	0.00	34.33	90.0	30.90
03/31/2018	CONNER, ANDREW	JNL ELITE ACCESS	7,986.73	6.66	0.00	6.66	90.0	5.99
03/31/2018	CONNER, ANDREW	JNL ELITE ACCESS	9,789.37	8.16	0.00	8.16	90.0	7.34
03/31/2018	HURLEY, JOHN	JNL ELITE ACCESS	18,214.61	15.18	0.00	15.18	90.0	13.66
03/31/2018	DELLINGER, EMMA	JNL ELITE ACCESS	156,253.14	130.21	0.00	130.21	90.0	117.19
03/31/2018	OBERLIN, DOUGLAS	JNL ELITE ACCESS	24,170.47	20.14	0.00	20.14	90.0	18.13
03/31/2018	SIMS, SUSAN	JNL ELITE ACCESS	4,681.30	3.90	0.00	3.90	90.0	3.51
03/31/2018	BLESSING, THOMAS	JNL ELITE ACCESS	72,207.38	60.17	0.00	60.17	90.0	54.15
03/31/2018	AKPABIO, UWEM	JNL ELITE ACCESS	95,139.28	79.28	0.00	79.28	90.0	71.35
03/31/2018	REBMAN, MONA	JNL ELITE ACCESS	6,362.04	5.30	0.00	5.30	90.0	4.77
03/31/2018	FREISTROFFER, HENRY	JNL ELITE ACCESS	7,548.16	6.29	0.00	6.29	90.0	5.66
03/31/2018	ROGERS, JOHN	JNL ELITE ACCESS	12,462.67	10.39	0.00	10.39	90.0	9.35
03/31/2018	ROGERS, ADRIENNE	JNL ELITE ACCESS	12,462.70	10.39	0.00	10.39	90.0	9.35
03/31/2018	ROGERS, ADRIENNE	JNL ELITE ACCESS	177,124.65	147.60	0.00	147.60	90.0	132.84
03/31/2018	WHITELEATHER, TRACY	JNL ELITE ACCESS	117,281.94	97.73	0.00	97.73	90.0	87.96
03/31/2018	WHITELEATHER, KEVIN	JNL ELITE ACCESS	22,110.98	18.43	0.00	18.43	90.0	16.59
03/31/2018	KELTY, SANDRA	JNL ELITE ACCESS	23,176.01	19.31	0.00	19.31	90.0	17.38
03/31/2018	RIEBE, PATRICIA	JNL ELITE ACCESS	6,804.99	5.67	0.00	5.67	90.0	5.10
03/31/2018	KELTY, SUSAN	JNL ELITE ACCESS	424,718.06	353.93	0.00	353.93	90.0	318.54
03/31/2018	HOVERMAN, ANDREA	JNL ELITE ACCESS	10,966.54	9.14	0.00	9.14	90.0	8.23
03/31/2018	HOVERMAN, BRYAN	JNL ELITE ACCESS	12,685.53	10.57	0.00	10.57	90.0	9.51
03/31/2018	FORTNEY, ELIZABETH	JNL ELITE ACCESS	7,271.12	6.06	0.00	6.06	90.0	5.45
04/02/2018	FORTNEY, ELIZABETH	JNL ELITE ACCESS	400.00	5.00	0.00	5.00	90.0	4.50
03/31/2018	KERN, DAVID	JNL ELITE ACCESS W/ LIQUIDITY	40,059.25	33.38	0.00	33.38	90.0	30.04

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: VARIABLE ANNUITIES</u>								
03/31/2018	WOODHAMS, JACK	JNL ELITE ACCESS W/ LIQUIDITY	29,566.51	24.64	0.00	24.64	90.0	22.18
03/31/2018	JOHNSON, THEODORE	JNL ELITE ACCESS W/ LIQUIDITY	6,402.34	5.34	0.00	5.34	90.0	4.81
03/31/2018	ROY, RICHARD	JNL ELITE ACCESS W/ LIQUIDITY	26,383.58	21.99	0.00	21.99	90.0	19.79
03/31/2018	PAYNE, MARTHA	JNL ELITE ACCESS W/ LIQUIDITY	10,313.93	8.59	0.00	8.59	90.0	7.73
03/31/2018	COLE, NANCY	JNL ELITE ACCESS W/ LIQUIDITY	46,628.47	38.86	0.00	38.86	90.0	34.97
03/31/2018	DETER, MARY	JNL ELITE ACCESS W/ LIQUIDITY	2,532.91	2.11	0.00	2.11	90.0	1.90
03/31/2018	HESTER, LEEANNE	JNL ELITE ACCESS W/ LIQUIDITY	56,839.34	47.37	0.00	47.37	90.0	42.63
03/31/2018	THEXTON, BARBARA	JNL ELITE ACCESS W/ LIQUIDITY	11,846.33	9.87	0.00	9.87	90.0	8.88
03/31/2018	WEIS, KIMBERLY	JNL ELITE ACCESS W/ LIQUIDITY	92,735.52	77.28	0.00	77.28	90.0	69.55
03/31/2018	HURLEY, JOHN	JNL ELITE ACCESS W/ LIQUIDITY	92,735.51	77.28	0.00	77.28	90.0	69.55
03/31/2018	FREISTROFFER, HENRY	JNL INVESTOR VUL	8,451.44	3.17	0.00	3.17	90.0	2.85
03/31/2018	FREISTROFFER, MERIDITH	JNL INVESTOR VUL	6,807.76	2.55	0.00	2.55	90.0	2.30
03/31/2018	DAVIS, GARY	JNL PERSPECTIVE L	214,134.55	178.45	0.00	178.45	90.0	160.61
03/31/2018	KELTY, RICHARD	JNL PERSPECTIVE L	699,286.86	582.74	0.00	582.74	90.0	524.47
03/31/2018	SOLLOWAY, WILLIAM	JNL PERSPECTIVE L	126,609.66	105.51	0.00	105.51	90.0	94.96
03/31/2018	BUTCHER, JACK	JNL PERSPECTIVE L	192,195.85	160.16	0.00	160.16	90.0	144.14
03/31/2018	DETER, MARY	JNL PERSPECTIVE L	48,384.41	40.32	0.00	40.32	90.0	36.29
03/31/2018	CROWLEY, HELEN	JNL PERSPECTIVE L	41,259.83	34.38	0.00	34.38	90.0	30.94
03/31/2018	FREISTROFFER, HENRY	JNL PERSPECTIVE L	220,424.97	183.69	0.00	183.69	90.0	165.32
03/31/2018	BOHNKE, LON	JNL PERSPECTIVE L	58,216.15	48.51	0.00	48.51	90.0	43.66
03/31/2018	ROGERS, ADRIENNE	JNL PERSPECTIVE L	51,657.05	43.05	0.00	43.05	90.0	38.75
03/31/2018	ROGERS, JOHN	JNL PERSPECTIVE L	51,300.86	42.75	0.00	42.75	90.0	38.48
03/31/2018	BUTCHER, JACK	JOHN HANCOCK VISION	159,215.12	152.58	0.00	152.58	90.0	137.32
03/31/2018	WEST, JOLAN	JOHN HANCOCK VISION	122,033.38	116.95	0.00	116.95	90.0	105.26
03/30/2018	PAYNE, MARTHA	NATIONWIDE MARKETFLEX BB	14,694.22	36.74	0.00	36.74	90.0	33.07
/ /	MARATHON LABELS 401K	NWL FLEX ADVANTAGE	377,520.12	82.74	0.00	82.74	90.0	74.47
/ /	NEW HAVEN PRINT &	NWL FLEX ADVANTAGE	811,372.32	213.40	0.00	213.40	90.0	192.06
/ /	MARATHON LABELS 401K	NWL POOLED FXD	13,798.89	3.02	0.00	3.02	90.0	2.72
/ /	NEW HAVEN PRINT &	NWL POOLED FXD	3,318.21	0.87	0.00	0.87	90.0	0.78
03/31/2018	SIMS, SUSAN	PRU AS APEX II	71,729.44	134.49	0.00	134.49	90.0	121.04
03/31/2018	SIMS, SUSAN	PRU AS APEX II	71,729.44	44.83	0.00	44.83	90.0	40.35
03/31/2018	RIEBE, ALAN	PRU AS APEX II	128,849.91	241.59	0.00	241.59	90.0	217.43
03/31/2018	RIEBE, ALAN	PRU AS APEX II	128,849.91	80.53	0.00	80.53	90.0	72.48

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: VARIABLE ANNUITIES</u>								
03/31/2018	BROWN, KENNETH	PRU AS APEX II	108,242.08	202.95	0.00	202.95	90.0	182.66
03/31/2018	BROWN, KENNETH	PRU AS APEX II	108,242.08	67.65	0.00	67.65	90.0	60.89
03/31/2018	WEST, STEVEN	PRU AS APEX II	274,917.99	515.47	0.00	515.47	90.0	463.92
03/31/2018	WEST, STEVEN	PRU AS APEX II	274,917.99	171.82	0.00	171.82	90.0	154.64
03/31/2018	HEY, BYARD	PRU AS APEX II	81,734.38	153.25	0.00	153.25	90.0	137.93
03/31/2018	HEY, BYARD	PRU AS APEX II	81,734.38	51.08	0.00	51.08	90.0	45.97
03/31/2018	ARCHER, GARY	PRU AS APEX II	163,825.20	307.17	0.00	307.17	90.0	276.45
03/31/2018	ARCHER, GARY	PRU AS APEX II	163,825.20	102.39	0.00	102.39	90.0	92.15
03/31/2018	POORMAN, MAX	PRU AS LIFEVEST II	38,889.04	24.31	0.00	24.31	90.0	21.88
03/31/2018	POORMAN, MAX	PRU AS LIFEVEST II	38,889.04	72.92	0.00	72.92	90.0	65.63
03/31/2018	ZONAKIS, DELORES	PRU AS LIFEVEST II	43,225.49	27.02	0.00	27.02	90.0	24.32
03/31/2018	ZONAKIS, DELORES	PRU AS LIFEVEST II	43,225.49	81.05	0.00	81.05	90.0	72.95
03/31/2018	ZONAKIS, DELORES	PRU AS LIFEVEST II	30,238.55	18.90	0.00	18.90	90.0	17.01
03/31/2018	ZONAKIS, DELORES	PRU AS LIFEVEST II	30,238.55	56.70	0.00	56.70	90.0	51.03
03/31/2018	POORMAN, MAX	PRU AS LIFEVEST II	62,855.61	39.28	0.00	39.28	90.0	35.35
03/31/2018	POORMAN, MAX	PRU AS LIFEVEST II	62,855.61	117.85	0.00	117.85	90.0	106.07
03/31/2018	SVOBODA, JOYCE	PRU AS LIFEVEST II	80,836.52	151.57	0.00	151.57	90.0	136.41
03/31/2018	SVOBODA, JOYCE	PRU AS LIFEVEST II	80,836.52	50.52	0.00	50.52	90.0	45.47
03/31/2018	TEUBNER, KATHERINE	PRU AS LIFEVEST II	42,412.13	79.52	0.00	79.52	90.0	71.57
03/31/2018	TEUBNER, KATHERINE	PRU AS LIFEVEST II	42,412.13	26.51	0.00	26.51	90.0	23.86
03/31/2018	TEUBNER, KATHERINE	PRU AS LIFEVEST II	48,573.03	91.07	0.00	91.07	90.0	81.96
03/31/2018	TEUBNER, KATHERINE	PRU AS LIFEVEST II	48,573.03	30.36	0.00	30.36	90.0	27.32
03/31/2018	PICCIANO, DEAN	PRU AS XTRA CREDIT SIX	173,040.36	108.15	0.00	108.15	90.0	97.34
03/31/2018	PICCIANO, DEAN	PRU AS XTRA CREDIT SIX	173,040.36	108.15	0.00	108.15	90.0	97.34
03/31/2018	FULBRIGHT, SHERRY	PRU AS XTRA CREDIT SIX	158,103.53	98.81	0.00	98.81	90.0	88.93
03/31/2018	COLE, NANCY	PRU AS XTRA CREDIT SIX	524,983.11	328.11	0.00	328.11	90.0	295.30
03/31/2018	TEUBNER, KATHERINE	PRU AS XTRA CREDIT SIX	75,716.14	47.32	0.00	47.32	90.0	42.59
03/31/2018	TEUBNER, KATHERINE	PRU AS XTRA CREDIT SIX	75,716.14	47.32	0.00	47.32	90.0	42.59
03/31/2018	RIEBE, ALAN	PRU DEFINED INCOME	164,660.77	411.65	0.00	411.65	90.0	370.49
03/31/2018	BUTCHER, JACK	PRU PREMIER INVT A	75,153.61	56.37	0.00	56.37	90.0	50.73
03/31/2018	FREISTROFFER, HENRY	PRU PREMIER RETIREMENT L	102,622.86	256.56	0.00	256.56	90.0	230.90
03/31/2018	DOWNING, LYNETTE	PRU PREMIER RETIREMENT L	159,638.20	399.10	0.00	399.10	90.0	359.19
03/31/2018	SHAW, LORI	PRU PREMIER RETIREMENT L	195,120.08	487.80	0.00	487.80	90.0	439.02

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: VARIABLE ANNUITIES</u>								
03/31/2018	WALKER-BLESSING, DAWN	PRU PREMIER RETIREMENT L	201,195.44	502.99	0.00	502.99	90.0	452.69
03/31/2018	KELTY, RICHARD	PRU PREMIER RETIREMENT L	296,357.03	740.89	0.00	740.89	90.0	666.80
03/31/2018	KELTY, SANDRA	PRU PREMIER RETIREMENT L	133,446.99	333.62	0.00	333.62	90.0	300.26
* VARIABLE ANNUITIES SUBTOTAL *			\$13,021,367.09	\$15,570.14	\$0.00	\$15,570.14		\$14,013.15
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
/ /	AKPABIO, UWEM	EMERGING MARKETS INNOVATORS FUND C	0.00	10.92	0.00	10.92	90.0	9.83
/ /	FREISTROFFER, MERIDITH	GLOBAL MULTI-ASSET GROWTH FUND A	0.00	2.64	0.00	2.64	90.0	2.38
/ /	HORNBERGER, DEBORAH	GLOBAL MULTI-ASSET GROWTH FUND A	0.00	10.31	0.00	10.31	90.0	9.28
/ /	HURLEY, JOHN	GLOBAL MULTI-ASSET GROWTH FUND A	0.00	4.57	0.00	4.57	90.0	4.11
/ /	JOHNSON, MARGAUX	GLOBAL MULTI-ASSET GROWTH FUND A	0.00	1.08	0.00	1.08	90.0	0.97
/ /	LANGELIER, STEPHANE	GLOBAL MULTI-ASSET GROWTH FUND A	0.00	0.88	0.00	0.88	90.0	0.79
/ /	RIEBE, ALAN	GLOBAL MULTI-ASSET GROWTH FUND A	0.00	0.57	0.00	0.57	90.0	0.51
/ /	CROWLEY, HELEN	OPPENHEIMER AMT MUNICIPALS C	0.00	26.12	0.00	26.12	90.0	23.51
/ /	ANDERSON II, ROBERT	OPPENHEIMER AMT MUNICIPALS C	0.00	117.63	0.00	117.63	90.0	105.87
/ /	RIEBE, ALAN	OPPENHEIMER AMT MUNICIPALS C	0.00	250.39	0.00	250.39	90.0	225.35
/ /	HELMBERGER, GENEVIEVE	OPPENHEIMER CA MUNICIPAL A	0.00	16.41	0.00	16.41	90.0	14.77
/ /	COLE, RANDY	OPPENHEIMER CAPITAL APPRECIATION A	0.00	7.14	0.00	7.14	90.0	6.43
/ /	ARCHER, DEBORAH	OPPENHEIMER CORE BOND FUND C	0.00	72.77	0.00	72.77	90.0	65.49
/ /	KERN, ADELINE	OPPENHEIMER EMERG MKTS INNOV	0.00	0.41	0.00	0.41	90.0	0.37
/ /	KERN, BRADEY	OPPENHEIMER EMERG MKTS INNOV	0.00	0.41	0.00	0.41	90.0	0.37
/ /	KERN, FORD	OPPENHEIMER EMERG MKTS INNOV	0.00	0.81	0.00	0.81	90.0	0.73
/ /	KERN, RYDER	OPPENHEIMER EMERG MKTS INNOV	0.00	0.81	0.00	0.81	90.0	0.73
/ /	KERN, WESTON	OPPENHEIMER EMERG MKTS INNOV	0.00	0.79	0.00	0.79	90.0	0.71
/ /	HURLEY, JOHN	OPPENHEIMER EQUITY INCOME A	0.00	0.39	0.00	0.39	90.0	0.35
/ /	BONE, SAGE	OPPENHEIMER EQUITY INCOME C	0.00	31.54	0.00	31.54	90.0	28.39
/ /	AKPABIO, UWEM	OPPENHEIMER EQUITY INCOME C	0.00	28.87	0.00	28.87	90.0	25.98
/ /	FREISTROFFER, HENRY	OPPENHEIMER EQUITY INCOME C	0.00	3.24	0.00	3.24	90.0	2.92
/ /	ARCHER, DEBORAH	OPPENHEIMER FUND 68385E200	0.00	24.87	0.00	24.87	90.0	22.38
/ /	AKPABIO, UWEM	OPPENHEIMER FUND 68385E200	0.00	10.78	0.00	10.78	90.0	9.70
/ /	OBERLIN, DOUGLAS	OPPENHEIMER FUND 68385E200	0.00	3.17	0.00	3.17	90.0	2.85
/ /	DEWITT, PAMELA	OPPENHEIMER GLOBAL ALLOCATION A	0.00	1.22	0.00	1.22	90.0	1.10
/ /	COLE, RANDY	OPPENHEIMER GLOBAL OPPORTUNITIES A	0.00	22.76	0.00	22.76	90.0	20.48
/ /	MILLER, WILLIAM	OPPENHEIMER GLOBAL OPPORTUNITIES A	0.00	0.13	0.00	0.13	90.0	0.12

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
/ /	MILLER, NOAH	OPPENHEIMER GLOBAL OPPORTUNITIES A	0.00	1.94	0.00	1.94	90.0	1.75
/ /	HORNBERGER, DEBORAH	OPPENHEIMER GLOBAL OPPORTUNITIES A	0.00	4.42	0.00	4.42	90.0	3.98
/ /	LANGELIER, STEPHANE	OPPENHEIMER GLOBAL OPPORTUNITIES A	0.00	0.28	0.00	0.28	90.0	0.25
/ /	KERN, FORD	OPPENHEIMER GLOBAL OPPORTUNITIES A	0.00	0.26	0.00	0.26	90.0	0.23
/ /	KERN, RYDER	OPPENHEIMER GLOBAL OPPORTUNITIES A	0.00	0.26	0.00	0.26	90.0	0.23
/ /	KERN, WESTON	OPPENHEIMER GLOBAL OPPORTUNITIES A	0.00	0.26	0.00	0.26	90.0	0.23
/ /	KERN, ADELINE	OPPENHEIMER GLOBAL OPPORTUNITIES A	0.00	0.13	0.00	0.13	90.0	0.12
/ /	KERN, BRADEY	OPPENHEIMER GLOBAL OPPORTUNITIES A	0.00	0.13	0.00	0.13	90.0	0.12
/ /	FREISTROFFER, MERIDITH	OPPENHEIMER GLOBAL OPPORTUNITIES A	0.00	1.16	0.00	1.16	90.0	1.04
/ /	HURLEY, JOHN	OPPENHEIMER GLOBAL OPPORTUNITIES A	0.00	1.07	0.00	1.07	90.0	0.96
/ /	JOHNSON, MARGAUX	OPPENHEIMER GLOBAL OPPORTUNITIES A	0.00	0.69	0.00	0.69	90.0	0.62
/ /	RIEBE, ALAN	OPPENHEIMER GLOBAL OPPORTUNITIES A	0.00	0.18	0.00	0.18	90.0	0.16
/ /	FREISTROFFER, HENRY	OPPENHEIMER GLOBAL OPPORTUNITIES C	0.00	2.45	0.00	2.45	90.0	2.21
/ /	AKPABIO, UWEM	OPPENHEIMER GLOBAL OPPORTUNITIES C	0.00	5.10	0.00	5.10	90.0	4.59
/ /	OBERLIN, DOUGLAS	OPPENHEIMER GLOBAL OPPORTUNITIES C	0.00	2.54	0.00	2.54	90.0	2.29
/ /	OBERLIN, DOUGLAS	OPPENHEIMER GLOBAL OPPORTUNITIES C	0.00	1.01	0.00	1.01	90.0	0.91
/ /	DAVIS, GARY	OPPENHEIMER GLOBAL STRATEGIC INC A	0.00	18.51	0.00	18.51	90.0	16.66
/ /	HELMBERGER, GENEVIEVE	OPPENHEIMER GLOBAL STRATEGIC INC A	0.00	48.07	0.00	48.07	90.0	43.26
/ /	TEUBNER, KATHERINE	OPPENHEIMER GLOBAL STRATEGIC INC A	0.00	23.63	0.00	23.63	90.0	21.27
/ /	ARCHER, GARY	OPPENHEIMER GLOBAL STRATEGIC INC C	0.00	55.47	0.00	55.47	90.0	49.92
/ /	ANDERSON II, ROBERT	OPPENHEIMER GLOBAL STRATEGIC INC C	0.00	118.24	0.00	118.24	90.0	106.42
/ /	SOLLOWAY, SHARON	OPPENHEIMER GLOBAL STRATEGIC INC C	0.00	27.04	0.00	27.04	90.0	24.34
/ /	VAN DRUNEN, CATHERINE	OPPENHEIMER GLOBAL STRATEGIC INC C	0.00	20.89	0.00	20.89	90.0	18.80
/ /	KERN, FORD	OPPENHEIMER GOLD & SPECIAL MINERALS	0.00	1.15	0.00	1.15	90.0	1.04
/ /	KERN, RYDER	OPPENHEIMER GOLD & SPECIAL MINERALS	0.00	1.15	0.00	1.15	90.0	1.04
/ /	KERN, WESTON	OPPENHEIMER GOLD & SPECIAL MINERALS	0.00	1.15	0.00	1.15	90.0	1.04
/ /	KERN, ADELINE	OPPENHEIMER GOLD & SPECIAL MINERALS	0.00	0.57	0.00	0.57	90.0	0.51
/ /	KERN, BRADEY	OPPENHEIMER GOLD & SPECIAL MINERALS	0.00	0.57	0.00	0.57	90.0	0.51
/ /	AKPABIO, UWEM	OPPENHEIMER GOLD & SPECIAL MINERALS	0.00	22.82	0.00	22.82	90.0	20.54
/ /	HORNBERGER, DEBORAH	OPPENHEIMER INTL DIVERSIFIED A	0.00	3.81	0.00	3.81	90.0	3.43
/ /	JOHNSON, MARGAUX	OPPENHEIMER INTL DIVERSIFIED A	0.00	3.57	0.00	3.57	90.0	3.21
/ /	LANGELIER, STEPHANE	OPPENHEIMER INTL DIVERSIFIED A	0.00	1.43	0.00	1.43	90.0	1.29
/ /	AKPABIO, UWEM	OPPENHEIMER INTL DIVERSIFIED C	0.00	55.37	0.00	55.37	90.0	49.83

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>DIRECT TRANSACTIONS</u>								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS								
/ /	OBERLIN, DOUGLAS	OPPENHEIMER INTL DIVERSIFIED C	0.00	38.00	0.00	38.00	90.0	34.20
/ /	FREISTROFFER, HOLDEN	OPPENHEIMER INTL GROWTH A	0.00	1.37	0.00	1.37	90.0	1.23
/ /	ANDERSON II, ROBERT	OPPENHEIMER PCHSTER INT TERM MUNI F	0.00	16.37	0.00	16.37	90.0	14.73
/ /	AKPABIO, UWEM	OPPENHEIMER PTF SERIES EQUITY INVES	0.00	31.51	0.00	31.51	90.0	28.36
/ /	AKPABIO, UWEM	OPPENHEIMER REAL ESTATE C	0.00	8.65	0.00	8.65	90.0	7.79
/ /	HORNBERGER, DEBORAH	OPPENHEIMER RISING DIVIDENDS A	0.00	10.31	0.00	10.31	90.0	9.28
/ /	KERN, BRADEY	OPPENHEIMER RISING DIVIDENDS A	0.00	0.39	0.00	0.39	90.0	0.35
/ /	KERN, ADELINE	OPPENHEIMER RISING DIVIDENDS A	0.00	0.39	0.00	0.39	90.0	0.35
/ /	KERN, FORD	OPPENHEIMER RISING DIVIDENDS A	0.00	0.83	0.00	0.83	90.0	0.75
/ /	KERN, RYDER	OPPENHEIMER RISING DIVIDENDS A	0.00	0.91	0.00	0.91	90.0	0.82
/ /	KERN, WESTON	OPPENHEIMER RISING DIVIDENDS A	0.00	0.89	0.00	0.89	90.0	0.80
/ /	RIEBE, PATRICIA	OPPENHEIMER RISING DIVIDENDS A	0.00	0.68	0.00	0.68	90.0	0.61
/ /	JOHNSON, MARGAUX	OPPENHEIMER RISING DIVIDENDS A	0.00	1.08	0.00	1.08	90.0	0.97
/ /	AKPABIO, UWEM	OPPENHEIMER RISING DIVIDENDS C	0.00	31.07	0.00	31.07	90.0	27.96
/ /	OBERLIN, DOUGLAS	OPPENHEIMER RISING DIVIDENDS C	0.00	7.97	0.00	7.97	90.0	7.17
/ /	HELMBERGER, GENEVIEVE	OPPENHEIMER ROCHESTER INTERMEDIATE	0.00	18.27	0.00	18.27	90.0	16.44
/ /	FREISTROFFER, MERIDITH	OPPENHEIMER SMALL MID CAP VALUE A	0.00	4.84	0.00	4.84	90.0	4.36
/ /	KERN, ADELINE	OPPENHEIMER SMALL MID CAP VALUE A	0.00	0.39	0.00	0.39	90.0	0.35
/ /	KERN, BRADEY	OPPENHEIMER SMALL MID CAP VALUE A	0.00	0.39	0.00	0.39	90.0	0.35
/ /	KERN, FORD	OPPENHEIMER SMALL MID CAP VALUE A	0.00	0.82	0.00	0.82	90.0	0.74
/ /	KERN, RYDER	OPPENHEIMER SMALL MID CAP VALUE A	0.00	0.90	0.00	0.90	90.0	0.81
/ /	KERN, WESTON	OPPENHEIMER SMALL MID CAP VALUE A	0.00	0.92	0.00	0.92	90.0	0.83
/ /	OBERLIN, DOUGLAS	OPPENHEIMER SMALL MID CAP VALUE C	0.00	13.13	0.00	13.13	90.0	11.82
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *			\$0.00	\$1,267.03	\$0.00	\$1,267.03		\$1,140.34
*** DIRECT TRANSACTIONS TOTAL ***			\$13,065,233.40	\$16,855.43	\$0.00	\$16,855.43		\$15,169.92

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>ADJUSTMENTS</u>								
04/15/2018		*E & O INSURANCE: CURRENT MONTH INS	0.00					-300.00
04/15/2018		*TECHNOLOGY: ADMIN - LEESA KERN	0.00					-130.00
04/15/2018		*TECHNOLOGY: CURRENT MONTH BASIC	0.00					-180.00
*** ADJUSTMENTS TOTAL ***			\$0.00	\$0.00	\$0.00	\$0.00		\$-610.00

BROKER COMMISSION TOTALS

Broker Transactions	\$15,169.92
Split Transactions	\$0.00
Override Transactions	\$0.00
Adjustments	\$-610.00
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$0.00
FINRA Assessment	\$0.00
SIPC Assessment	\$0.00

Check Amount	\$14,559.92
Year-to-date Gross	\$45,418.80
Year-to-date Earnings	\$40,893.18

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