



Concorde Investment Services, LLC

12/15/2017

Page No. 1

COMMISSION STATEMENT

December 15, 2017

ACCOUNT HOUSE

1120 E. LONG LAKE ROAD
SUITE 207
TROY, MI 48085-

BROKER #: G999

BRANCH: FOXTROT SAMPLE

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>CLEARING TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: INTERVAL FUNDS</u>								
11/29/2017	CONCORDE, VARIOUS	GRIFFIN INST'L ACCESS R E FUND C	-100,006.92	0.00	0.00	0.00	100.0	0.00
11/29/2017	CONCORDE, VARIOUS	GRIFFIN INST'L ACCESS R E FUND C	99,006.85	0.00	0.00	0.00	100.0	0.00
* INTERVAL FUNDS SUBTOTAL *			\$-1,000.07	\$0.00	\$0.00	\$0.00		\$0.00
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
12/05/2017	CONCORDE, VARIOUS	AM FUNDS AMCAP A	-75.00	0.00	0.00	0.00	100.0	0.00
12/05/2017	CONCORDE, VARIOUS	AM FUNDS AMCAP A	71.81	0.00	0.00	0.00	100.0	0.00
12/05/2017	CONCORDE, VARIOUS	AM FUNDS GROWTH FUND OF AMERICA A	71.81	0.00	0.00	0.00	100.0	0.00
12/05/2017	CONCORDE, VARIOUS	AM FUNDS GROWTH FUND OF AMERICA A	-75.00	0.00	0.00	0.00	100.0	0.00
12/08/2017	CONCORDE, VARIOUS	GRIFFIN INSTITUTIONAL ACCESS REAL E	19,950.43	0.00	0.00	0.00	100.0	0.00
12/08/2017	CONCORDE, VARIOUS	GRIFFIN INSTITUTIONAL ACCESS REAL E	-21,000.45	0.00	0.00	0.00	100.0	0.00
12/05/2017	CONCORDE, VARIOUS	PIMCO INCOME FUND CLASS A	-43,600.00	0.00	0.00	0.00	100.0	0.00
12/05/2017	CONCORDE, VARIOUS	PIMCO INCOME FUND CLASS A	42,728.00	0.00	0.00	0.00	100.0	0.00
12/05/2017	CONCORDE, VARIOUS	PUTNAM CAPITAL SPECTRUM C	225.72	0.00	0.00	0.00	100.0	0.00
12/05/2017	CONCORDE, VARIOUS	PUTNAM CAPITAL SPECTRUM C	-228.00	0.00	0.00	0.00	100.0	0.00
12/05/2017	CONCORDE, VARIOUS	PUTNAM EQUITY SPECTRUM C	224.73	0.00	0.00	0.00	100.0	0.00
12/05/2017	CONCORDE, VARIOUS	PUTNAM EQUITY SPECTRUM C	-227.00	0.00	0.00	0.00	100.0	0.00
12/05/2017	CONCORDE, VARIOUS	TRANSAMERICA AA GROWTH C	-300.00	0.00	0.00	0.00	100.0	0.00
12/05/2017	CONCORDE, VARIOUS	TRANSAMERICA AA GROWTH C	297.00	0.00	0.00	0.00	100.0	0.00
12/11/2017	CONCORDE, VARIOUS	TRANSAMERICA AA GROWTH C	198.00	0.00	0.00	0.00	100.0	0.00
12/11/2017	CONCORDE, VARIOUS	TRANSAMERICA AA GROWTH C	-200.00	0.00	0.00	0.00	100.0	0.00
* MUTUAL FUNDS SUBTOTAL *			\$-1,937.95	\$0.00	\$0.00	\$0.00		\$0.00
<u>PRODUCT CATEGORY: STOCKS</u>								
11/29/2017	CONCORDE, VARIOUS	BTCS INC COM NEW	-10,850.00	0.00	0.00	0.00	100.0	0.00
11/29/2017	CONCORDE, VARIOUS	BTCS INC COM NEW	651.00	0.00	1.00	-1.00	100.0	-1.00
11/29/2017	CONCORDE, VARIOUS	BTCS INC COM NEW	4,235.40	0.00	1.00	-1.00	100.0	-1.00

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

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

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>CLEARING TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: STOCKS</u>								
11/29/2017	CONCORDE, VARIOUS	BTCS INC COM NEW	5,425.00	0.00	1.00	-1.00	100.0	-1.00
11/29/2017	CONCORDE, VARIOUS	BTCS INC COM NEW	542.50	0.00	1.00	-1.00	100.0	-1.00
11/30/2017	CONCORDE, VARIOUS	BTCS INC COM NEW	925.00	0.00	1.00	-1.00	100.0	-1.00
11/30/2017	CONCORDE, VARIOUS	BTCS INC COM NEW	1,387.50	0.00	1.00	-1.00	100.0	-1.00
11/30/2017	CONCORDE, VARIOUS	BTCS INC COM NEW	2,325.00	0.00	1.00	-1.00	100.0	-1.00
11/30/2017	CONCORDE, VARIOUS	BTCS INC COM NEW	-4,640.00	0.00	0.00	0.00	100.0	0.00
11/28/2017	CONCORDE, VARIOUS	CONOCOPHILLIPS COM	14,686.31	0.00	0.00	0.00	100.0	0.00
11/28/2017	CONCORDE, VARIOUS	CONOCOPHILLIPS COM	-4,979.00	0.00	1.00	-1.00	100.0	-1.00
11/28/2017	CONCORDE, VARIOUS	CONOCOPHILLIPS COM	-9,707.30	0.00	1.00	-1.00	100.0	-1.00
12/07/2017	CONCORDE, VARIOUS	FINISAR CORP COM NEW	-35,453.60	0.00	0.00	0.00	100.0	0.00
12/07/2017	CONCORDE, VARIOUS	FINISAR CORP COM NEW	1,773.00	0.00	1.00	-1.00	100.0	-1.00
12/07/2017	CONCORDE, VARIOUS	FINISAR CORP COM NEW	1,773.00	0.00	1.00	-1.00	100.0	-1.00
12/07/2017	CONCORDE, VARIOUS	FINISAR CORP COM NEW	1,773.00	0.00	1.00	-1.00	100.0	-1.00
12/07/2017	CONCORDE, VARIOUS	FINISAR CORP COM NEW	7,092.00	0.00	1.00	-1.00	100.0	-1.00
12/07/2017	CONCORDE, VARIOUS	FINISAR CORP COM NEW	23,042.50	0.00	1.00	-1.00	100.0	-1.00
12/05/2017	CONCORDE, VARIOUS	FS INVT CORP COM	-805.00	0.00	1.00	-1.00	100.0	-1.00
12/05/2017	CONCORDE, VARIOUS	FS INVT CORP COM	-3,220.00	0.00	1.00	-1.00	100.0	-1.00
12/05/2017	CONCORDE, VARIOUS	FS INVT CORP COM	4,025.00	0.00	0.00	0.00	100.0	0.00
12/07/2017	CONCORDE, VARIOUS	FS INVT CORP COM	-2,280.85	0.00	1.00	-1.00	100.0	-1.00
12/07/2017	CONCORDE, VARIOUS	FS INVT CORP COM	-797.50	0.00	1.00	-1.00	100.0	-1.00
12/07/2017	CONCORDE, VARIOUS	FS INVT CORP COM	-79.75	0.00	1.00	-1.00	100.0	-1.00
12/07/2017	CONCORDE, VARIOUS	FS INVT CORP COM	-797.50	0.00	1.00	-1.00	100.0	-1.00
12/07/2017	CONCORDE, VARIOUS	FS INVT CORP COM	-717.75	0.00	1.00	-1.00	100.0	-1.00
12/07/2017	CONCORDE, VARIOUS	FS INVT CORP COM	-797.50	0.00	1.00	-1.00	100.0	-1.00
12/07/2017	CONCORDE, VARIOUS	FS INVT CORP COM	-797.50	0.00	1.00	-1.00	100.0	-1.00
12/07/2017	CONCORDE, VARIOUS	FS INVT CORP COM	-79.75	0.00	1.00	-1.00	100.0	-1.00
12/07/2017	CONCORDE, VARIOUS	FS INVT CORP COM	-797.50	0.00	1.00	-1.00	100.0	-1.00
12/07/2017	CONCORDE, VARIOUS	FS INVT CORP COM	-1,515.25	0.00	1.00	-1.00	100.0	-1.00
12/07/2017	CONCORDE, VARIOUS	FS INVT CORP COM	8,660.85	0.00	0.00	0.00	100.0	0.00
12/05/2017	CONCORDE, VARIOUS	GENERAL CANNABIS CORP COM	1,281.40	0.00	1.00	-1.00	100.0	-1.00
12/05/2017	CONCORDE, VARIOUS	GENERAL CANNABIS CORP COM	1,704.30	0.00	1.00	-1.00	100.0	-1.00
12/05/2017	CONCORDE, VARIOUS	GENERAL CANNABIS CORP COM	-2,985.70	0.00	0.00	0.00	100.0	0.00
12/05/2017	CONCORDE, VARIOUS	GLOBAL NET LEASE INC COM	10,738.75	0.00	0.00	0.00	100.0	0.00

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<u>CLEARING TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: STOCKS</u>								
12/05/2017	CONCORDE, VARIOUS	GLOBAL NET LEASE INC COM	-2,147.00	0.00	1.00	-1.00	100.0	-1.00
12/05/2017	CONCORDE, VARIOUS	GLOBAL NET LEASE INC COM	-2,147.00	0.00	1.00	-1.00	100.0	-1.00
12/05/2017	CONCORDE, VARIOUS	GLOBAL NET LEASE INC COM	-1,073.50	0.00	1.00	-1.00	100.0	-1.00
12/05/2017	CONCORDE, VARIOUS	GLOBAL NET LEASE INC COM	-5,371.25	0.00	1.00	-1.00	100.0	-1.00
12/07/2017	CONCORDE, VARIOUS	GLOBAL NET LEASE INC COM	-2,115.00	0.00	1.00	-1.00	100.0	-1.00
12/07/2017	CONCORDE, VARIOUS	GLOBAL NET LEASE INC COM	-2,115.00	0.00	1.00	-1.00	100.0	-1.00
12/07/2017	CONCORDE, VARIOUS	GLOBAL NET LEASE INC COM	-2,115.00	0.00	1.00	-1.00	100.0	-1.00
12/07/2017	CONCORDE, VARIOUS	GLOBAL NET LEASE INC COM	-2,115.00	0.00	1.00	-1.00	100.0	-1.00
12/07/2017	CONCORDE, VARIOUS	GLOBAL NET LEASE INC COM	-4,230.00	0.00	1.00	-1.00	100.0	-1.00
12/07/2017	CONCORDE, VARIOUS	GLOBAL NET LEASE INC COM	-190.35	0.00	1.00	-1.00	100.0	-1.00
12/07/2017	CONCORDE, VARIOUS	GLOBAL NET LEASE INC COM	-2,115.00	0.00	1.00	-1.00	100.0	-1.00
12/07/2017	CONCORDE, VARIOUS	GLOBAL NET LEASE INC COM	-3,044.16	0.00	1.00	-1.00	100.0	-1.00
12/07/2017	CONCORDE, VARIOUS	GLOBAL NET LEASE INC COM	-55,383.79	0.00	1.00	-1.00	100.0	-1.00
12/07/2017	CONCORDE, VARIOUS	GLOBAL NET LEASE INC COM	73,423.45	0.00	0.00	0.00	100.0	0.00
12/11/2017	CONCORDE, VARIOUS	GLOBAL PAYOUT INC COM	-900.00	0.00	1.00	-1.00	100.0	-1.00
12/11/2017	CONCORDE, VARIOUS	GLOBAL PAYOUT INC COM	-900.00	0.00	1.00	-1.00	100.0	-1.00
12/11/2017	CONCORDE, VARIOUS	GLOBAL PAYOUT INC COM	-6,480.00	0.00	1.00	-1.00	100.0	-1.00
12/11/2017	CONCORDE, VARIOUS	GLOBAL PAYOUT INC COM	-900.00	0.00	1.00	-1.00	100.0	-1.00
12/11/2017	CONCORDE, VARIOUS	GLOBAL PAYOUT INC COM	-26,820.00	0.00	1.00	-1.00	100.0	-1.00
12/11/2017	CONCORDE, VARIOUS	GLOBAL PAYOUT INC COM	36,000.00	0.00	0.00	0.00	100.0	0.00
11/28/2017	CONCORDE, VARIOUS	HSBC HLDGS PLC SPONS ADR NEW	-1,826.69	0.00	1.00	-1.00	100.0	-1.00
11/28/2017	CONCORDE, VARIOUS	HSBC HLDGS PLC SPONS ADR NEW	-394.96	0.00	1.00	-1.00	100.0	-1.00
11/28/2017	CONCORDE, VARIOUS	HSBC HLDGS PLC SPONS ADR NEW	2,221.65	0.00	0.00	0.00	100.0	0.00
12/01/2017	CONCORDE, VARIOUS	NEW YORK REIT INC COM	-504.50	0.00	1.00	-1.00	100.0	-1.00
12/01/2017	CONCORDE, VARIOUS	NEW YORK REIT INC COM	-504.50	0.00	1.00	-1.00	100.0	-1.00
12/01/2017	CONCORDE, VARIOUS	NEW YORK REIT INC COM	-1,008.02	0.00	1.00	-1.00	100.0	-1.00
12/01/2017	CONCORDE, VARIOUS	NEW YORK REIT INC COM	2,017.04	0.00	0.00	0.00	100.0	0.00
12/07/2017	CONCORDE, VARIOUS	NOKIA CORP SPONSORED ADR	-463.50	0.00	1.00	-1.00	100.0	-1.00
12/07/2017	CONCORDE, VARIOUS	NOKIA CORP SPONSORED ADR	-3,708.00	0.00	1.00	-1.00	100.0	-1.00
12/07/2017	CONCORDE, VARIOUS	NOKIA CORP SPONSORED ADR	-463.50	0.00	1.00	-1.00	100.0	-1.00
12/07/2017	CONCORDE, VARIOUS	NOKIA CORP SPONSORED ADR	4,635.00	0.00	0.00	0.00	100.0	0.00
11/28/2017	CONCORDE, VARIOUS	POWERSHARES DWA CONSUMER STAPLES MO	-40,039.67	0.00	0.00	0.00	100.0	0.00
11/28/2017	CONCORDE, VARIOUS	POWERSHARES DWA CONSUMER STAPLES MO	11,979.50	0.00	1.00	-1.00	100.0	-1.00

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>CLEARING TRANSACTIONS</u>								
PRODUCT CATEGORY: STOCKS								
11/28/2017	CONCORDE, VARIOUS	POWERSHARES DWA CONSUMER STAPLES MO	630.40	0.00	1.00	-1.00	100.0	-1.00
11/28/2017	CONCORDE, VARIOUS	POWERSHARES DWA CONSUMER STAPLES MO	6,305.00	0.00	1.00	-1.00	100.0	-1.00
11/28/2017	CONCORDE, VARIOUS	POWERSHARES DWA CONSUMER STAPLES MO	21,124.77	0.00	1.00	-1.00	100.0	-1.00
11/28/2017	CONCORDE, VARIOUS	POWERSHARES EXCHANGE-TRADED FD TR D	12,149.52	0.00	0.00	0.00	100.0	0.00
11/28/2017	CONCORDE, VARIOUS	POWERSHARES EXCHANGE-TRADED FD TR D	-3,266.00	0.00	1.00	-1.00	100.0	-1.00
11/28/2017	CONCORDE, VARIOUS	POWERSHARES EXCHANGE-TRADED FD TR D	-3,266.00	0.00	1.00	-1.00	100.0	-1.00
11/28/2017	CONCORDE, VARIOUS	POWERSHARES EXCHANGE-TRADED FD TR D	-5,617.52	0.00	1.00	-1.00	100.0	-1.00
12/06/2017	CONCORDE, VARIOUS	PREFERRED APT CMNTYS INC COM	12,657.24	0.00	0.00	0.00	100.0	0.00
12/06/2017	CONCORDE, VARIOUS	PREFERRED APT CMNTYS INC COM	-21.11	0.00	1.00	-1.00	100.0	-1.00
12/06/2017	CONCORDE, VARIOUS	PREFERRED APT CMNTYS INC COM	-2,110.50	0.00	1.00	-1.00	100.0	-1.00
12/06/2017	CONCORDE, VARIOUS	PREFERRED APT CMNTYS INC COM	-4,218.20	0.00	1.00	-1.00	100.0	-1.00
12/06/2017	CONCORDE, VARIOUS	PREFERRED APT CMNTYS INC COM	-2,109.01	0.00	1.00	-1.00	100.0	-1.00
12/06/2017	CONCORDE, VARIOUS	PREFERRED APT CMNTYS INC COM	-2,109.01	0.00	1.00	-1.00	100.0	-1.00
12/06/2017	CONCORDE, VARIOUS	PREFERRED APT CMNTYS INC COM	-2,089.40	0.00	1.00	-1.00	100.0	-1.00
12/08/2017	CONCORDE, VARIOUS	PREFERRED APT CMNTYS INC COM	-4,194.20	0.00	1.00	-1.00	100.0	-1.00
12/08/2017	CONCORDE, VARIOUS	PREFERRED APT CMNTYS INC COM	-8,392.00	0.00	1.00	-1.00	100.0	-1.00
12/08/2017	CONCORDE, VARIOUS	PREFERRED APT CMNTYS INC COM	-8,388.04	0.00	1.00	-1.00	100.0	-1.00
12/08/2017	CONCORDE, VARIOUS	PREFERRED APT CMNTYS INC COM	20,974.20	0.00	0.00	0.00	100.0	0.00
11/28/2017	CONCORDE, VARIOUS	PUBLIC STORAGE	-2,771.73	0.00	1.00	-1.00	100.0	-1.00
11/28/2017	CONCORDE, VARIOUS	PUBLIC STORAGE	-426.42	0.00	1.00	-1.00	100.0	-1.00
11/28/2017	CONCORDE, VARIOUS	PUBLIC STORAGE	3,198.15	0.00	0.00	0.00	100.0	0.00
12/07/2017	CONCORDE, VARIOUS	SIGMA DESIGNS INC COM	-565.00	0.00	1.00	-1.00	100.0	-1.00
12/07/2017	CONCORDE, VARIOUS	SIGMA DESIGNS INC COM	-565.00	0.00	1.00	-1.00	100.0	-1.00
12/07/2017	CONCORDE, VARIOUS	SIGMA DESIGNS INC COM	-565.00	0.00	1.00	-1.00	100.0	-1.00
12/07/2017	CONCORDE, VARIOUS	SIGMA DESIGNS INC COM	-1,125.00	0.00	1.00	-1.00	100.0	-1.00
12/07/2017	CONCORDE, VARIOUS	SIGMA DESIGNS INC COM	-2,700.00	0.00	1.00	-1.00	100.0	-1.00
12/07/2017	CONCORDE, VARIOUS	SIGMA DESIGNS INC COM	-565.00	0.00	1.00	-1.00	100.0	-1.00
12/07/2017	CONCORDE, VARIOUS	SIGMA DESIGNS INC COM	6,085.04	0.00	0.00	0.00	100.0	0.00
11/28/2017	CONCORDE, VARIOUS	VANECK VECTORS ETF TR INTL HIGH YIE	-8,212.64	0.00	1.00	-1.00	100.0	-1.00
11/28/2017	CONCORDE, VARIOUS	VANECK VECTORS ETF TR INTL HIGH YIE	-1,590.30	0.00	1.00	-1.00	100.0	-1.00
11/28/2017	CONCORDE, VARIOUS	VANECK VECTORS ETF TR INTL HIGH YIE	9,802.92	0.00	0.00	0.00	100.0	0.00
12/04/2017	CONCORDE, VARIOUS	VANECK VECTORS ETF TR JR GOLD MINER	19,293.04	0.00	0.00	0.00	100.0	0.00
12/04/2017	CONCORDE, VARIOUS	VANECK VECTORS ETF TR JR GOLD MINER	-6,274.08	0.00	1.00	-1.00	100.0	-1.00

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<u>CLEARING TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: STOCKS</u>								
12/04/2017	CONCORDE, VARIOUS	VANECK VECTORS ETF TR JR GOLD MINER	-3,137.05	0.00	1.00	-1.00	100.0	-1.00
12/04/2017	CONCORDE, VARIOUS	VANECK VECTORS ETF TR JR GOLD MINER	-6,274.12	0.00	1.00	-1.00	100.0	-1.00
12/04/2017	CONCORDE, VARIOUS	VANECK VECTORS ETF TR JR GOLD MINER	-1,693.99	0.00	1.00	-1.00	100.0	-1.00
12/04/2017	CONCORDE, VARIOUS	VANECK VECTORS ETF TR JR GOLD MINER	-1,913.78	0.00	1.00	-1.00	100.0	-1.00
12/04/2017	CONCORDE, VARIOUS	WELLTOWER INC COM STK	2,674.20	0.00	1.00	-1.00	100.0	-1.00
12/04/2017	CONCORDE, VARIOUS	WELLTOWER INC COM STK	24,072.05	0.00	1.00	-1.00	100.0	-1.00
12/04/2017	CONCORDE, VARIOUS	WELLTOWER INC COM STK	-26,746.24	0.00	0.00	0.00	100.0	0.00
* STOCKS SUBTOTAL *			\$1.50	\$0.00	\$87.00	\$-87.00		\$-87.00
<u>PRODUCT CATEGORY: UNIT INVESTMENT TRUSTS</u>								
12/01/2017	CONCORDE, VARIOUS	FT UNIT 6812 CLOUD COMPUTING PORTFO	-58,005.98	0.00	17.50	-17.50	100.0	-17.50
12/01/2017	CONCORDE, VARIOUS	FT UNIT 6812 CLOUD COMPUTING PORTFO	56,845.58	0.00	17.50	-17.50	100.0	-17.50
12/01/2017	CONCORDE, VARIOUS	FT UNIT 6887 DIVERSIFIED EQUITY STR	57,276.03	0.00	17.50	-17.50	100.0	-17.50
12/01/2017	CONCORDE, VARIOUS	FT UNIT 6887 DIVERSIFIED EQUITY STR	-58,001.08	0.00	17.50	-17.50	100.0	-17.50
* UNIT INVESTMENT TRUSTS SUBTOTAL *			\$-1,885.45	\$0.00	\$70.00	\$-70.00		\$-70.00
*** CLEARING TRANSACTIONS TOTAL ***			\$-4,821.97	\$0.00	\$157.00	\$-157.00		\$-157.00
<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
11/20/2017	HERNANDEZ, HECTOR	AM FUNDS GROWTH AND INCOME A	50.00	2.50	0.00	2.50	100.0	2.50
12/08/2017	KERN, KATHERINE	AM FUNDS WASHINGTON MUTUAL INVESTOR	100.00	5.00	0.00	5.00	100.0	5.00
11/24/2017	TWEED, VARIOUS	GEMINI VERTICAL CAPITAL INCOME FUND	0.00	2.97	0.00	2.97	100.0	2.97
* MUTUAL FUNDS SUBTOTAL *			\$150.00	\$10.47	\$0.00	\$10.47		\$10.47
<u>PRODUCT CATEGORY: BONDS</u>								
11/27/2017	CONCORDE, VARIOUS	***BNP PARIBAS	19,060.00	0.00	0.00	0.00	100.0	0.00
11/27/2017	CONCORDE, VARIOUS	***BNP PARIBAS	19,060.00	0.00	0.00	0.00	100.0	0.00
11/08/2017	CONCORDE, VARIOUS	OYSTER BAY N Y PUB IMPT BDS	25,502.50	0.00	0.00	0.00	100.0	0.00
11/08/2017	CONCORDE, VARIOUS	OYSTER BAY N Y PUB IMPT BDS	25,502.50	0.00	0.00	0.00	100.0	0.00
* BONDS SUBTOTAL *			\$89,125.00	\$0.00	\$0.00	\$0.00		\$0.00

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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: VARIABLE ANNUITIES</u>								
11/16/2017	FORMELLA, ANNETTE	GENWORTH INS	11,123.49	2.32	0.00	2.32	100.0	2.32
11/16/2017	FORMELLA, DAVID	GENWORTH INS	10,941.12	2.28	0.00	2.28	100.0	2.28
11/30/2017	PEEK, EUNICE	JOHN HANCOCK VANTAGE	15,646.77	3.26	0.00	3.26	100.0	3.26
11/30/2017	PEEK LI, VASSIE	JOHN HANCOCK VENTURE III	19,310.03	16.09	0.00	16.09	100.0	16.09
11/13/2017	ADAMS, VARIOUS	LFG LNAJV036G	0.00	0.48	0.00	0.48	100.0	0.48
11/29/2017	RIDDLEBARGE, DAWN	SBL ADVISOR PROGRAM	830.68	0.16	0.00	0.16	100.0	0.16
11/29/2017	BURNSIDE, SHARON	SBL ADVISOR PROGRAM	10,587.50	2.20	0.00	2.20	100.0	2.20
11/29/2017	LOOMIS, CATHERINE	SBL ADVISOR PROGRAM	5,228.06	1.08	0.00	1.08	100.0	1.08
11/02/2017	MCALLISTER, JEAN	TRANSAMERICA EXTRA	103,295.79	86.08	0.00	86.08	100.0	86.08
11/04/2017	BELTRAN, RANDOLPH	TRANSAMERICA EXTRA	110,660.83	92.22	0.00	92.22	100.0	92.22
11/27/2017	LEONARD, NITA	TRANSAMERICA EXTRA	48,761.31	40.63	0.00	40.63	100.0	40.63
11/12/2017	WILLIAMS, JESSIE	TRANSAMERICA LIBERTY	69,827.03	58.19	0.00	58.19	100.0	58.19
11/13/2017	MOORE, WILLIAM	TRANSAMERICA LIBERTY	10,171.62	8.48	0.00	8.48	100.0	8.48
11/24/2017	MORRISON, BARRETT	TRANSAMERICA PRINCIPIUM	82,408.15	68.67	0.00	68.67	100.0	68.67
* VARIABLE ANNUITIES SUBTOTAL *			\$498,792.38	\$382.14	\$0.00	\$382.14		\$382.14
<u>PRODUCT CATEGORY: VARIABLE UNIVERSAL LIFE</u>								
01/20/0817	LUND, VARIOUS	ING RELIASTAR LIFE	0.00	30.00	0.00	30.00	100.0	30.00
11/30/2017	LUND, VARIOUS	ING RELIASTAR LIFE	0.00	492.10	0.00	492.10	100.0	492.10
12/04/2017	LUND, VARIOUS	ING RELIASTAR LIFE	0.00	21.00	0.00	21.00	100.0	21.00
12/04/2017	LUND, VARIOUS	ING RELIASTAR LIFE	0.00	10.50	0.00	10.50	100.0	10.50
12/04/2017	LUND, VARIOUS	ING RELIASTAR LIFE	0.00	105.00	0.00	105.00	100.0	105.00
12/05/2017	LUND, VARIOUS	ING RELIASTAR LIFE	0.00	15.75	0.00	15.75	100.0	15.75
12/06/2017	LUND, VARIOUS	ING RELIASTAR LIFE	0.00	20.00	0.00	20.00	100.0	20.00
12/06/2017	LUND, VARIOUS	ING RELIASTAR LIFE	0.00	20.00	0.00	20.00	100.0	20.00
12/08/2017	LUND, VARIOUS	ING RELIASTAR LIFE	0.00	12.00	0.00	12.00	100.0	12.00
12/08/2017	LUND, VARIOUS	ING RELIASTAR LIFE	0.00	36.75	0.00	36.75	100.0	36.75
12/08/2017	LUND, VARIOUS	ING RELIASTAR LIFE	0.00	10.13	0.00	10.13	100.0	10.13
12/08/2017	LUND, VARIOUS	ING RELIASTAR LIFE	0.00	22.00	0.00	22.00	100.0	22.00
12/08/2017	LUND, VARIOUS	ING RELIASTAR LIFE	0.00	26.25	0.00	26.25	100.0	26.25
12/08/2017	LUND, VARIOUS	ING RELIASTAR LIFE	0.00	55.00	0.00	55.00	100.0	55.00
12/08/2017	LUND, VARIOUS	ING RELIASTAR LIFE	0.00	14.00	0.00	14.00	100.0	14.00
12/08/2017	LUND, VARIOUS	ING RELIASTAR LIFE	0.00	26.25	0.00	26.25	100.0	26.25
12/08/2017	LUND, VARIOUS	ING RELIASTAR LIFE	0.00	15.75	0.00	15.75	100.0	15.75

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: VARIABLE UNIVERSAL LIFE</u>								
12/08/2017	LUND, VARIOUS	ING RELIASTAR LIFE	0.00	40.00	0.00	40.00	100.0	40.00
12/08/2017	LUND, VARIOUS	ING RELIASTAR LIFE	0.00	26.25	0.00	26.25	100.0	26.25
12/08/2017	LUND, VARIOUS	ING RELIASTAR LIFE	0.00	8.00	0.00	8.00	100.0	8.00
12/08/2017	LUND, VARIOUS	ING RELIASTAR LIFE	0.00	4.00	0.00	4.00	100.0	4.00
12/08/2017	LUND, VARIOUS	ING RELIASTAR LIFE	0.00	10.50	0.00	10.50	100.0	10.50
12/08/2017	LUND, VARIOUS	ING RELIASTAR LIFE	0.00	28.09	0.00	28.09	100.0	28.09
12/08/2017	LUND, VARIOUS	ING RELIASTAR LIFE	0.00	20.00	0.00	20.00	100.0	20.00
12/08/2017	LUND, VARIOUS	ING RELIASTAR LIFE	0.00	16.00	0.00	16.00	100.0	16.00
11/16/2017	GOVE, VARIOUS	PAC LIFE VUL	0.00	18.22	0.00	18.22	100.0	18.22
11/20/2017	GOVE, VARIOUS	PAC LIFE VUL	0.00	2.96	0.00	2.96	100.0	2.96
11/24/2017	GEHM, TERRY	PAC LIFE VUL	0.00	0.92	0.00	0.92	100.0	0.92
12/01/2017	GOVE, VARIOUS	PAC LIFE VUL	0.00	4.82	0.00	4.82	100.0	4.82
* VARIABLE UNIVERSAL LIFE SUBTOTAL *			\$0.00	\$1,112.24	\$0.00	\$1,112.24		\$1,112.24

PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS

12/01/2017	VIGILANT, KELLIE	AM FUNDS 2025 TARGET DATE-A	0.00	0.25	0.00	0.25	100.0	0.25
12/01/2017	DURR, LORENA	AM FUNDS 2030 TARGET DATE-A	0.00	11.53	0.00	11.53	100.0	11.53
12/01/2017	LARA, DYLAN	AM FUNDS 2035 TARGET DATE-A	0.00	1.08	0.00	1.08	100.0	1.08
12/01/2017	LARA, DEREK	AM FUNDS 2035 TARGET DATE-A	0.00	1.08	0.00	1.08	100.0	1.08
12/01/2017	LAROCCA II, JOHN	AM FUNDS 2045 TARGET DATE-A	0.00	9.54	0.00	9.54	100.0	9.54
12/01/2017	MORRISON, LINDSAY	AM FUNDS AMCAP 529A	0.00	2.06	0.00	2.06	100.0	2.06
12/01/2017	MORRISON, KYLE	AM FUNDS AMCAP 529A	0.00	0.30	0.00	0.30	100.0	0.30
12/01/2017	CLOSED-LADUKE-ROBSON, HEATHER	AM FUNDS AMCAP A	0.00	8.91	0.00	8.91	100.0	8.91
12/01/2017	HOOTON, RAYMOND	AM FUNDS AMCAP A	0.00	5.49	0.00	5.49	100.0	5.49
12/01/2017	BUI, VIVIAN	AM FUNDS AMERICAN BALANCED 529A	0.00	14.51	0.00	14.51	100.0	14.51
12/01/2017	BUI, VIVIAN	AM FUNDS AMERICAN BALANCED 529A	0.00	8.35	0.00	8.35	100.0	8.35
12/01/2017	FORSBERG, CHERYL	AM FUNDS AMERICAN BALANCED 529A	0.00	7.07	0.00	7.07	100.0	7.07
12/01/2017	SOLORIO, ROQUE	AM FUNDS AMERICAN BALANCED 529A	0.00	24.99	0.00	24.99	100.0	24.99
12/01/2017	RAINONE, TRISTINA DAWN	AM FUNDS AMERICAN BALANCED 529A	0.00	6.69	0.00	6.69	100.0	6.69
12/01/2017	RAINONE, MICHAEL	AM FUNDS AMERICAN BALANCED 529A	0.00	7.16	0.00	7.16	100.0	7.16
12/01/2017	DIRMEYER, DAVID	AM FUNDS AMERICAN BALANCED 529A	0.00	3.20	0.00	3.20	100.0	3.20
12/01/2017	LENCZOWSKI, JANICE	AM FUNDS AMERICAN BALANCED A	0.00	4.59	0.00	4.59	100.0	4.59
12/01/2017	SEMRAU, SHELLY	AM FUNDS AMERICAN BALANCED A	0.00	3.10	0.00	3.10	100.0	3.10
12/01/2017	COOPER, FRANK	AM FUNDS AMERICAN BALANCED A	0.00	46.34	0.00	46.34	100.0	46.34

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
12/01/2017	COLE, PAUL	AM FUNDS AMERICAN BALANCED A	0.00	52.21	0.00	52.21	100.0	52.21
12/01/2017	SAGGAR, VADEESH	AM FUNDS AMERICAN BALANCED A	0.00	1.15	0.00	1.15	100.0	1.15
12/01/2017	BUI, VIVIAN	AM FUNDS AMERICAN BALANCED A	0.00	25.69	0.00	25.69	100.0	25.69
12/01/2017	GENZON, SERGIO	AM FUNDS AMERICAN BALANCED A	0.00	9.22	0.00	9.22	100.0	9.22
12/01/2017	SALAS FAMILY TRUST	AM FUNDS AMERICAN BALANCED A	0.00	111.74	0.00	111.74	100.0	111.74
12/01/2017	LAWMASTER, LESLIE	AM FUNDS AMERICAN BALANCED A	0.00	9.49	0.00	9.49	100.0	9.49
12/01/2017	ERICKSON/BENE, THOMAS	AM FUNDS AMERICAN BALANCED A	0.00	5.34	0.00	5.34	100.0	5.34
12/01/2017	ERICKSON, THOMAS	AM FUNDS AMERICAN BALANCED A	0.00	11.22	0.00	11.22	100.0	11.22
12/01/2017	STONE, COLEEN	AM FUNDS AMERICAN BALANCED C	0.00	2.42	0.00	2.42	100.0	2.42
12/01/2017	ANDREWS, ASHLEY	AM FUNDS AMERICAN BALANCED C	0.00	24.84	0.00	24.84	100.0	24.84
12/01/2017	WAXHAM, HEATHER	AM FUNDS AMERICAN BALANCED C	0.00	38.98	0.00	38.98	100.0	38.98
12/01/2017	HAIDER, MARIAM	AM FUNDS AMERICAN HIGH-INC MUNI BON	0.00	1.61	0.00	1.61	100.0	1.61
12/01/2017	HAIDER, HANNA	AM FUNDS AMERICAN HIGH-INC MUNI BON	0.00	0.43	0.00	0.43	100.0	0.43
12/01/2017	HERINGSHAUSEN, ERNESTING	AM FUNDS AMERICAN HIGH-INC MUNI BON	0.00	2.42	0.00	2.42	100.0	2.42
12/01/2017	HERINGSHAUSEN, DENNIS	AM FUNDS AMERICAN HIGH-INC MUNI BON	0.00	2.44	0.00	2.44	100.0	2.44
12/01/2017	HERINGSHAUSEN, DENNIS	AM FUNDS AMERICAN HIGH-INC MUNI BON	0.00	5.87	0.00	5.87	100.0	5.87
12/01/2017	JOY ORDIZ VANDEKERKHOVE,	AM FUNDS AMERICAN MUTUAL 529A	0.00	0.70	0.00	0.70	100.0	0.70
12/01/2017	COHEN, LORI PIERCE-	AM FUNDS AMERICAN MUTUAL 529C	0.00	15.24	0.00	15.24	100.0	15.24
12/01/2017	SEMRAU, SHELLY	AM FUNDS AMERICAN MUTUAL A	0.00	0.69	0.00	0.69	100.0	0.69
12/01/2017	COOPER, FRANK	AM FUNDS AMERICAN MUTUAL A	0.00	32.78	0.00	32.78	100.0	32.78
12/01/2017	LINDERMAN, DAVID	AM FUNDS AMERICAN MUTUAL A	0.00	125.67	0.00	125.67	100.0	125.67
12/01/2017	BOOTZ, MATTHEW	AM FUNDS AMERICAN MUTUAL A	0.00	14.07	0.00	14.07	100.0	14.07
12/01/2017	RUBLY, WILLIAM	AM FUNDS AMERICAN MUTUAL A	0.00	95.16	0.00	95.16	100.0	95.16
12/01/2017	RUBLY, DELPHINE	AM FUNDS AMERICAN MUTUAL A	0.00	77.49	0.00	77.49	100.0	77.49
12/01/2017	ESSARY, BRADLEY	AM FUNDS AMERICAN MUTUAL A	0.00	6.73	0.00	6.73	100.0	6.73
12/01/2017	ESSARY, MICHELLE	AM FUNDS AMERICAN MUTUAL A	0.00	1.40	0.00	1.40	100.0	1.40
12/01/2017	ESSARY, MICHELLE	AM FUNDS AMERICAN MUTUAL A	0.00	2.42	0.00	2.42	100.0	2.42
12/01/2017	MAYVILLE, DANIEL	AM FUNDS BOND FUND OF AMERICA A	0.00	3.67	0.00	3.67	100.0	3.67
12/01/2017	CESUL, DAWN	AM FUNDS CAPITAL INCOME BUILDER 529	0.00	3.17	0.00	3.17	100.0	3.17
12/01/2017	CESUL, DAWN	AM FUNDS CAPITAL INCOME BUILDER 529	0.00	0.48	0.00	0.48	100.0	0.48
12/01/2017	CASSADY, JEFFREY	AM FUNDS CAPITAL INCOME BUILDER 529	0.00	3.17	0.00	3.17	100.0	3.17
12/01/2017	CALZADA, LARA	AM FUNDS CAPITAL INCOME BUILDER 529	0.00	9.02	0.00	9.02	100.0	9.02
12/01/2017	WILLIAMS, KATHLEEN	AM FUNDS CAPITAL INCOME BUILDER 529	0.00	13.09	0.00	13.09	100.0	13.09

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
12/01/2017	RAMIREZ, MARCOS	AM FUNDS CAPITAL INCOME BUILDER 529	0.00	20.88	0.00	20.88	100.0	20.88
12/01/2017	NEVILLE, KAREN	AM FUNDS CAPITAL INCOME BUILDER 529	0.00	2.13	0.00	2.13	100.0	2.13
12/01/2017	VITIELLO, MICHAEL	AM FUNDS CAPITAL INCOME BUILDER 529	0.00	5.76	0.00	5.76	100.0	5.76
12/01/2017	VITIELLO, MICHAEL	AM FUNDS CAPITAL INCOME BUILDER 529	0.00	8.68	0.00	8.68	100.0	8.68
12/01/2017	CALZADA, LARA	AM FUNDS CAPITAL INCOME BUILDER 529	0.00	5.36	0.00	5.36	100.0	5.36
12/01/2017	MARTINEZ, RICHARD	AM FUNDS CAPITAL INCOME BUILDER 529	0.00	3.84	0.00	3.84	100.0	3.84
12/01/2017	RAINONE, TRISTINA DAWN	AM FUNDS CAPITAL INCOME BUILDER 529	0.00	1.64	0.00	1.64	100.0	1.64
12/01/2017	RAINONE, MICHAEL	AM FUNDS CAPITAL INCOME BUILDER 529	0.00	2.13	0.00	2.13	100.0	2.13
12/01/2017	UPTON, TODD	AM FUNDS CAPITAL INCOME BUILDER 529	0.00	1.83	0.00	1.83	100.0	1.83
12/01/2017	UPTON, TODD	AM FUNDS CAPITAL INCOME BUILDER 529	0.00	2.31	0.00	2.31	100.0	2.31
12/01/2017	CHIMENTI, VINCENT	AM FUNDS CAPITAL INCOME BUILDER A	0.00	2.53	0.00	2.53	100.0	2.53
12/01/2017	CLOSED-LADUKE-ROBSON, HEATHER	AM FUNDS CAPITAL INCOME BUILDER A	0.00	6.48	0.00	6.48	100.0	6.48
12/01/2017	CLOSED-MCSPARIN-GARD, CINDY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	9.59	0.00	9.59	100.0	9.59
12/01/2017	HOOTON, RAYMOND	AM FUNDS CAPITAL INCOME BUILDER A	0.00	3.67	0.00	3.67	100.0	3.67
12/01/2017	SEMRAU, SHELLY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.27	0.00	0.27	100.0	0.27
12/01/2017	SEMRAU, SHELLY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	3.75	0.00	3.75	100.0	3.75
12/01/2017	LAMOUNTAIN, JENNIFER	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.68	0.00	1.68	100.0	1.68
12/01/2017	LUND, STEVEN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	8.82	0.00	8.82	100.0	8.82
12/01/2017	BODO, DAVID	AM FUNDS CAPITAL INCOME BUILDER A	0.00	6.18	0.00	6.18	100.0	6.18
12/01/2017	DURR, GEORGE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	7.64	0.00	7.64	100.0	7.64
12/01/2017	MENDOZA, ANA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.02	0.00	0.02	100.0	0.02
12/01/2017	CARTWRIGHT, MICHAELA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	2.38	0.00	2.38	100.0	2.38
12/01/2017	BELLMAINE, ANGIE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.01	0.00	0.01	100.0	0.01
12/01/2017	PHILLIPS, SUNSHINE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	28.86	0.00	28.86	100.0	28.86
12/01/2017	VITIELLO, MICHAEL	AM FUNDS CAPITAL INCOME BUILDER A	0.00	25.53	0.00	25.53	100.0	25.53
12/01/2017	LUND, STEVEN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	18.42	0.00	18.42	100.0	18.42
12/01/2017	SUI-FILO, KRISTA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.17	0.00	1.17	100.0	1.17
12/01/2017	ERFLE, VICTORIA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	21.59	0.00	21.59	100.0	21.59
12/01/2017	CESARE, MARIA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.83	0.00	0.83	100.0	0.83
12/01/2017	SLINKARD, LAURA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	3.56	0.00	3.56	100.0	3.56
12/01/2017	DONADIO, JASON	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.02	0.00	0.02	100.0	0.02
12/01/2017	CESARE, MARIA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	34.17	0.00	34.17	100.0	34.17
12/01/2017	DANG, DIEM CHAU LUONG	AM FUNDS CAPITAL INCOME BUILDER A	0.00	9.93	0.00	9.93	100.0	9.93

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
12/01/2017	NUTT, MICHAEL	AM FUNDS CAPITAL INCOME BUILDER A	0.00	5.22	0.00	5.22	100.0	5.22
12/01/2017	COX, DEBORAH	AM FUNDS CAPITAL INCOME BUILDER A	0.00	3.09	0.00	3.09	100.0	3.09
12/01/2017	DONADIO, MICHELLE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.47	0.00	0.47	100.0	0.47
12/01/2017	ERICKSON/BENE, THOMAS	AM FUNDS CAPITAL INCOME BUILDER A	0.00	2.25	0.00	2.25	100.0	2.25
12/01/2017	CAUL, KATHERINE	AM FUNDS CAPITAL INCOME BUILDER C	0.00	3.45	0.00	3.45	100.0	3.45
12/01/2017	MASTERSON, ALANNA	AM FUNDS CAPITAL INCOME BUILDER C	0.00	8.85	0.00	8.85	100.0	8.85
12/01/2017	REETZ, JANET	AM FUNDS CAPITAL WORLD GRTH & INC 5	0.00	0.56	0.00	0.56	100.0	0.56
12/01/2017	SINGER, MICHELLE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	11.77	0.00	11.77	100.0	11.77
12/01/2017	SEMRAU, SHELLY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.27	0.00	0.27	100.0	0.27
12/01/2017	LAMOUNTAIN, JENNIFER	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.52	0.00	2.52	100.0	2.52
12/01/2017	BLINKE II, RONALD	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	12.94	0.00	12.94	100.0	12.94
12/01/2017	LUND, STEVEN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	8.71	0.00	8.71	100.0	8.71
12/01/2017	BODO, DAVID	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	6.91	0.00	6.91	100.0	6.91
12/01/2017	LUND, STEVEN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	20.56	0.00	20.56	100.0	20.56
12/01/2017	LUND, STEVEN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	4.83	0.00	4.83	100.0	4.83
12/01/2017	ESSARY, BRADLEY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	5.71	0.00	5.71	100.0	5.71
12/01/2017	ESSARY, MICHELLE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.39	0.00	1.39	100.0	1.39
12/01/2017	ESSARY, MICHELLE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.17	0.00	2.17	100.0	2.17
12/01/2017	BEAUDETT, TIMOTHY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.30	0.00	0.30	100.0	0.30
12/01/2017	DOUGHTERY, LISA	AM FUNDS CAPITAL WORLD GRTH & INC C	0.00	3.73	0.00	3.73	100.0	3.73
12/01/2017	NOWICKI, DAVID	AM FUNDS COLLEGE 2030 FUND 529A	0.00	4.84	0.00	4.84	100.0	4.84
12/01/2017	GREEN, WILLIAM	AM FUNDS COLLEGE 2030 FUND 529A	0.00	1.11	0.00	1.11	100.0	1.11
12/01/2017	BRADY, JOHN	AM FUNDS EUROPACIFIC GROWTH FUND 52	0.00	2.04	0.00	2.04	100.0	2.04
12/01/2017	STUMP, DAVID	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	5.68	0.00	5.68	100.0	5.68
12/01/2017	SINGER, MICHELLE	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	10.27	0.00	10.27	100.0	10.27
12/01/2017	BLINKE II TRUST, RONALD	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	5.50	0.00	5.50	100.0	5.50
12/01/2017	BLINKE II, RONALD	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	1.65	0.00	1.65	100.0	1.65
12/01/2017	FOSTER, KIMBERLY	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	1.89	0.00	1.89	100.0	1.89
12/01/2017	GLOVER, FRANK	AM FUNDS EUROPACIFIC GROWTH FUND C	0.00	57.53	0.00	57.53	100.0	57.53
12/01/2017	PLANSCAPE, INC 401(K) P/S	AM FUNDS EUROPACIFIC GROWTH FUND-R3	0.00	117.04	0.00	117.04	100.0	117.04
12/01/2017	DIRMEYER, DAVID	AM FUNDS FUNDAMENTAL INVESTORS 529A	0.00	3.47	0.00	3.47	100.0	3.47
12/01/2017	BLOOM, JANET	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	6.15	0.00	6.15	100.0	6.15
12/01/2017	HOOTON, RAYMOND	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	5.26	0.00	5.26	100.0	5.26

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
12/01/2017	SEMRAU, SHELLY	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.59	0.00	0.59	100.0	0.59
12/01/2017	GALVAN, ALEC	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	5.29	0.00	5.29	100.0	5.29
12/01/2017	BEST, PAUL	AM FUNDS GROWTH AND INCOME A	0.00	133.16	0.00	133.16	100.0	133.16
12/01/2017	BEST, ANN	AM FUNDS GROWTH AND INCOME A	0.00	49.94	0.00	49.94	100.0	49.94
12/01/2017	RUBLY, WILLIAM	AM FUNDS GROWTH AND INCOME A	0.00	8.18	0.00	8.18	100.0	8.18
12/01/2017	HERNANDEZ, HECTOR	AM FUNDS GROWTH AND INCOME A	0.00	1.02	0.00	1.02	100.0	1.02
12/01/2017	RUBLY, ROBERT	AM FUNDS GROWTH AND INCOME A	0.00	0.94	0.00	0.94	100.0	0.94
12/01/2017	HO, PAULINA	AM FUNDS GROWTH AND INCOME C	0.00	17.14	0.00	17.14	100.0	17.14
12/01/2017	REETZ, JANET	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	0.66	0.00	0.66	100.0	0.66
12/01/2017	CESUL, DAWN	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	2.99	0.00	2.99	100.0	2.99
12/01/2017	CESUL, DAWN	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	0.60	0.00	0.60	100.0	0.60
12/01/2017	BRADY, JOHN	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	12.56	0.00	12.56	100.0	12.56
12/01/2017	DIRMEYER, DAVID	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	3.44	0.00	3.44	100.0	3.44
12/01/2017	COHEN, LORI PIERCE-	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	33.20	0.00	33.20	100.0	33.20
11/20/2017	WHITING, DENISE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.89	0.00	0.89	100.0	0.89
11/20/2017	WHITING, DENISE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.44	0.00	0.44	100.0	0.44
12/01/2017	STUMP, DAVID	AM FUNDS GROWTH FUND OF AMERICA A	0.00	7.50	0.00	7.50	100.0	7.50
12/01/2017	HENRY, WYATT	AM FUNDS GROWTH FUND OF AMERICA A	0.00	5.14	0.00	5.14	100.0	5.14
12/01/2017	SINGER, MICHELLE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.52	0.00	1.52	100.0	1.52
12/01/2017	SEMRAU, SHELLY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	4.37	0.00	4.37	100.0	4.37
12/01/2017	PRATUS, LINDSEY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	2.48	0.00	2.48	100.0	2.48
12/01/2017	KEMP, JEREMY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	10.49	0.00	10.49	100.0	10.49
12/01/2017	LAMOUNTAIN, JENNIFER	AM FUNDS GROWTH FUND OF AMERICA A	0.00	3.16	0.00	3.16	100.0	3.16
12/01/2017	BLINKE II TRUST, RONALD	AM FUNDS GROWTH FUND OF AMERICA A	0.00	37.78	0.00	37.78	100.0	37.78
12/01/2017	BLINKE II, RONALD	AM FUNDS GROWTH FUND OF AMERICA A	0.00	4.05	0.00	4.05	100.0	4.05
12/01/2017	BODO, DAVID	AM FUNDS GROWTH FUND OF AMERICA A	0.00	16.64	0.00	16.64	100.0	16.64
12/01/2017	SAM, WINGO	AM FUNDS GROWTH FUND OF AMERICA A	0.00	40.54	0.00	40.54	100.0	40.54
12/01/2017	YU-DIPASQUALE, MEI-KIN MAGGIE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	2.72	0.00	2.72	100.0	2.72
12/01/2017	DIRMEYER, DAVID	AM FUNDS GROWTH FUND OF AMERICA A	0.00	4.11	0.00	4.11	100.0	4.11
12/01/2017	TSOUNIS, NICK	AM FUNDS GROWTH FUND OF AMERICA A	0.00	2.48	0.00	2.48	100.0	2.48
12/01/2017	DIRMEYER, KIMBERLY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	4.13	0.00	4.13	100.0	4.13
12/01/2017	ESSARY, BRADLEY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	7.72	0.00	7.72	100.0	7.72
12/01/2017	DIRMEYER, KIMBERLY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	2.44	0.00	2.44	100.0	2.44

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
12/01/2017	ESSARY, MICHELLE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.54	0.00	1.54	100.0	1.54
12/01/2017	ESSARY, MICHELLE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	2.68	0.00	2.68	100.0	2.68
12/01/2017	NARESKI, RUSSELL	AM FUNDS GROWTH FUND OF AMERICA A	0.00	9.37	0.00	9.37	100.0	9.37
12/01/2017	PRATUS, LINDSEY	AM FUNDS GROWTH FUND OF AMERICA C	0.00	19.63	0.00	19.63	100.0	19.63
12/01/2017	CAUL, KATHERINE	AM FUNDS GROWTH FUND OF AMERICA C	0.00	5.24	0.00	5.24	100.0	5.24
12/01/2017	LARA, PHILIP	AM FUNDS GROWTH PORT A	0.00	1.19	0.00	1.19	100.0	1.19
12/01/2017	BRADY, JOHN	AM FUNDS HIGH INCOME TRUST 529A	0.00	3.26	0.00	3.26	100.0	3.26
12/01/2017	MORRISON, LINDSAY	AM FUNDS ICA 529A	0.00	3.40	0.00	3.40	100.0	3.40
12/01/2017	MORRISON, KYLE	AM FUNDS ICA 529A	0.00	0.33	0.00	0.33	100.0	0.33
12/01/2017	CESUL, DAWN	AM FUNDS ICA 529A	0.00	2.64	0.00	2.64	100.0	2.64
12/01/2017	CESUL, DAWN	AM FUNDS ICA 529A	0.00	0.58	0.00	0.58	100.0	0.58
12/01/2017	BRADY, JOHN	AM FUNDS ICA 529A	0.00	34.77	0.00	34.77	100.0	34.77
12/01/2017	CHIMENTI, VINCENT	AM FUNDS ICA A	0.00	2.25	0.00	2.25	100.0	2.25
12/01/2017	VANDERKHOVE, SKYLAR	AM FUNDS ICA A	0.00	0.56	0.00	0.56	100.0	0.56
12/01/2017	VANDERKHOVE, GAVIN	AM FUNDS ICA A	0.00	1.39	0.00	1.39	100.0	1.39
12/01/2017	CLOSED-MCSPARIN-GARD, CINDY	AM FUNDS ICA A	0.00	1.88	0.00	1.88	100.0	1.88
12/01/2017	HOOTON, RAYMOND	AM FUNDS ICA A	0.00	12.75	0.00	12.75	100.0	12.75
12/01/2017	HOOTON, RAYMOND	AM FUNDS ICA A	0.00	4.74	0.00	4.74	100.0	4.74
12/01/2017	SEMRAU, SHELLY	AM FUNDS ICA A	0.00	0.34	0.00	0.34	100.0	0.34
12/01/2017	GLOVER, FRANK	AM FUNDS ICA A	0.00	29.58	0.00	29.58	100.0	29.58
12/01/2017	COOPER, FRANK	AM FUNDS ICA A	0.00	33.10	0.00	33.10	100.0	33.10
12/01/2017	PRATUS, LINDSEY	AM FUNDS ICA A	0.00	1.25	0.00	1.25	100.0	1.25
12/01/2017	HORNER, KEVIN	AM FUNDS ICA A	0.00	8.33	0.00	8.33	100.0	8.33
12/01/2017	MAYVILLE, DANIEL	AM FUNDS ICA A	0.00	7.41	0.00	7.41	100.0	7.41
12/01/2017	ERICKSON/BENE, THOMAS	AM FUNDS ICA A	0.00	2.69	0.00	2.69	100.0	2.69
12/01/2017	ERICKSON, THOMAS	AM FUNDS ICA A	0.00	10.66	0.00	10.66	100.0	10.66
12/01/2017	SCHURRER, JOHANNA	AM FUNDS ICA A	0.00	9.27	0.00	9.27	100.0	9.27
12/01/2017	SCHURRER, JOHANNA	AM FUNDS ICA A	0.00	10.66	0.00	10.66	100.0	10.66
12/01/2017	KRYCIAN, JENNIFER	AM FUNDS ICA A	0.00	0.47	0.00	0.47	100.0	0.47
12/01/2017	DALESSANDRO, COLLIN	AM FUNDS ICA A	0.00	13.70	0.00	13.70	100.0	13.70
12/01/2017	PRATUS, LINDSEY	AM FUNDS ICA C	0.00	18.74	0.00	18.74	100.0	18.74
12/01/2017	CAUL, KATHERINE	AM FUNDS ICA C	0.00	4.49	0.00	4.49	100.0	4.49
12/01/2017	CLOSED-MCSPARIN-GARD, CINDY	AM FUNDS INCOME FUND OF AMERICA A	0.00	3.25	0.00	3.25	100.0	3.25

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
12/01/2017	COOPER, FRANK	AM FUNDS INCOME FUND OF AMERICA A	0.00	51.68	0.00	51.68	100.0	51.68
12/01/2017	MI/TOD	AM FUNDS INCOME FUND OF AMERICA A	0.00	45.36	0.00	45.36	100.0	45.36
12/01/2017	SURMA/BENE, MARY	AM FUNDS INCOME FUND OF AMERICA A	0.00	11.11	0.00	11.11	100.0	11.11
12/01/2017	GATNY/BENE, MARK	AM FUNDS INCOME FUND OF AMERICA A	0.00	12.00	0.00	12.00	100.0	12.00
12/01/2017	GATNY/BENE, GARY	AM FUNDS INCOME FUND OF AMERICA A	0.00	12.94	0.00	12.94	100.0	12.94
12/01/2017	ERICKSON/BENE, THOMAS	AM FUNDS INCOME FUND OF AMERICA A	0.00	2.41	0.00	2.41	100.0	2.41
12/01/2017	ERICKSON, THOMAS	AM FUNDS INCOME FUND OF AMERICA A	0.00	10.78	0.00	10.78	100.0	10.78
12/01/2017	GLOVER, FRANK	AM FUNDS INCOME FUND OF AMERICA F-1	0.00	5.57	0.00	5.57	100.0	5.57
12/01/2017	HO, PAULINA	AM FUNDS INCOME PORTFOLIO C	0.00	16.38	0.00	16.38	100.0	16.38
12/01/2017	BLOOM, JANET	AM FUNDS INTERMEDIATE BOND FUND OF	0.00	2.09	0.00	2.09	100.0	2.09
12/01/2017	SEMRAU, SHELLY	AM FUNDS INTL GROWTH AND INCOME A	0.00	4.09	0.00	4.09	100.0	4.09
12/01/2017	CASSADY, JEFFREY	AM FUNDS NEW ECONOMY 529A	0.00	22.67	0.00	22.67	100.0	22.67
12/01/2017	AGUILAR, JOSE	AM FUNDS NEW ECONOMY 529A	0.00	1.04	0.00	1.04	100.0	1.04
12/01/2017	LAWRENCE, CURTIS	AM FUNDS NEW PERSPECTIVE 529A	0.00	1.57	0.00	1.57	100.0	1.57
12/01/2017	LAWRENCE, CURTIS	AM FUNDS NEW PERSPECTIVE 529A	0.00	1.58	0.00	1.58	100.0	1.58
12/01/2017	LAWRENCE, CURTIS	AM FUNDS NEW PERSPECTIVE 529A	0.00	1.61	0.00	1.61	100.0	1.61
12/01/2017	DIRMEYER, DAVID	AM FUNDS NEW PERSPECTIVE 529A	0.00	3.39	0.00	3.39	100.0	3.39
12/01/2017	COHEN, LORI PIERCE-	AM FUNDS NEW PERSPECTIVE 529C	0.00	29.48	0.00	29.48	100.0	29.48
11/20/2017	WHITING, DENISE	AM FUNDS NEW PERSPECTIVE A	0.00	2.08	0.00	2.08	100.0	2.08
12/01/2017	SINGER, MICHELLE	AM FUNDS NEW PERSPECTIVE A	0.00	1.39	0.00	1.39	100.0	1.39
12/01/2017	HOOTON, RAYMOND	AM FUNDS NEW PERSPECTIVE A	0.00	4.92	0.00	4.92	100.0	4.92
12/01/2017	LAMOUNTAIN, JENNIFER	AM FUNDS NEW PERSPECTIVE A	0.00	3.53	0.00	3.53	100.0	3.53
12/01/2017	MAYVILLE, DANIEL	AM FUNDS NEW PERSPECTIVE A	0.00	7.00	0.00	7.00	100.0	7.00
12/01/2017	ERICKSON/BENE, THOMAS	AM FUNDS NEW PERSPECTIVE A	0.00	3.12	0.00	3.12	100.0	3.12
12/01/2017	TSOUNIS, NICK	AM FUNDS NEW PERSPECTIVE A	0.00	2.37	0.00	2.37	100.0	2.37
12/01/2017	ESSARY, BRADLEY	AM FUNDS NEW PERSPECTIVE A	0.00	6.70	0.00	6.70	100.0	6.70
12/01/2017	ESSARY, MICHELLE	AM FUNDS NEW PERSPECTIVE A	0.00	5.10	0.00	5.10	100.0	5.10
12/01/2017	ESSARY, MICHELLE	AM FUNDS NEW PERSPECTIVE A	0.00	2.34	0.00	2.34	100.0	2.34
12/01/2017	BUGGS, MICHELLE	AM FUNDS NEW WORLD A	0.00	0.03	0.00	0.03	100.0	0.03
12/01/2017	SEMRAU, SHELLY	AM FUNDS NEW WORLD A	0.00	0.23	0.00	0.23	100.0	0.23
12/01/2017	SEMRAU, SHELLY	AM FUNDS NEW WORLD A	0.00	4.33	0.00	4.33	100.0	4.33
12/01/2017	HAIDER, MARIAM	AM FUNDS NEW WORLD A	0.00	0.71	0.00	0.71	100.0	0.71
12/01/2017	BLINKE II TRUST, RONALD	AM FUNDS NEW WORLD A	0.00	5.03	0.00	5.03	100.0	5.03

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
12/01/2017	BLINKE II, RONALD	AM FUNDS NEW WORLD A	0.00	11.46	0.00	11.46	100.0	11.46
12/01/2017	LUND, STEVEN	AM FUNDS NEW WORLD A	0.00	5.93	0.00	5.93	100.0	5.93
12/01/2017	HOOTON, RAYMOND	AM FUNDS SMALLCAP WORLD A	0.00	4.41	0.00	4.41	100.0	4.41
12/01/2017	SEMRAU, SHELLY	AM FUNDS SMALLCAP WORLD A	0.00	0.58	0.00	0.58	100.0	0.58
12/01/2017	HORNER, KEVIN	AM FUNDS SMALLCAP WORLD A	0.00	6.01	0.00	6.01	100.0	6.01
12/01/2017	SAGGAR, VADEESH	AM FUNDS SMALLCAP WORLD A	0.00	2.64	0.00	2.64	100.0	2.64
12/01/2017	CARTWRIGHT, MICHAELA	AM FUNDS SMALLCAP WORLD A	0.00	2.28	0.00	2.28	100.0	2.28
12/01/2017	VITIELLO, MICHAEL	AM FUNDS SMALLCAP WORLD A	0.00	26.46	0.00	26.46	100.0	26.46
12/01/2017	YU-DIPASQUALE, MEI-KIN MAGGIE	AM FUNDS SMALLCAP WORLD A	0.00	2.56	0.00	2.56	100.0	2.56
12/01/2017	COX, DEBORAH	AM FUNDS SMALLCAP WORLD A	0.00	3.53	0.00	3.53	100.0	3.53
12/01/2017	CASSADY, JEFFREY	AM FUNDS SMALLCAP WORLD-529A	0.00	19.07	0.00	19.07	100.0	19.07
12/01/2017	VITIELLO, MICHAEL	AM FUNDS SMALLCAP WORLD-529A	0.00	4.85	0.00	4.85	100.0	4.85
12/01/2017	VITIELLO, MICHAEL	AM FUNDS SMALLCAP WORLD-529A	0.00	7.26	0.00	7.26	100.0	7.26
12/01/2017	MARTINEZ, RICHARD	AM FUNDS SMALLCAP WORLD-529A	0.00	3.59	0.00	3.59	100.0	3.59
12/01/2017	BRADY, JOHN	AM FUNDS SMALLCAP WORLD-529A	0.00	4.34	0.00	4.34	100.0	4.34
12/01/2017	SEMRAU, SHELLY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	4.14	0.00	4.14	100.0	4.14
12/01/2017	MORRISON, LINDSAY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	2.94	0.00	2.94	100.0	2.94
12/01/2017	MORRISON, KYLE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.41	0.00	0.41	100.0	0.41
12/01/2017	CONKLIN, JOEL	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.68	0.00	0.68	100.0	0.68
12/01/2017	KEMP, JEREMY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	14.62	0.00	14.62	100.0	14.62
12/01/2017	LAMOUNTAIN, JENNIFER	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	3.02	0.00	3.02	100.0	3.02
12/01/2017	REETZ, NORMAN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	42.73	0.00	42.73	100.0	42.73
12/01/2017	BLINKE II TRUST, RONALD	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	33.07	0.00	33.07	100.0	33.07
12/01/2017	BLINKE II, RONALD	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.96	0.00	1.96	100.0	1.96
12/01/2017	ERICKSON/BENE, THOMAS	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	2.65	0.00	2.65	100.0	2.65
12/01/2017	GALVAN, ALEC	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	2.86	0.00	2.86	100.0	2.86
12/01/2017	DALESSANDRO/AUTH PER, ERIC	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.45	0.00	0.45	100.0	0.45
12/01/2017	KERN, KATHERINE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	3.96	0.00	3.96	100.0	3.96
12/01/2017	WELLS, GREG	AMERICAN FD GLOBAL GROWTH PORTFOLIO	0.00	1.25	0.00	1.25	100.0	1.25
12/01/2017	WELLS, GREG	AMERICAN FD GLOBAL GROWTH PORTFOLIO	0.00	1.25	0.00	1.25	100.0	1.25
12/01/2017	NOWICKI, DAVID	AMERICAN FDS COLLEGE 2021 FUND 529A	0.00	8.26	0.00	8.26	100.0	8.26
12/01/2017	WELLS, GREG	AMERICAN FUND BALANCED PORTFOLIO 52	0.00	1.13	0.00	1.13	100.0	1.13
12/01/2017	WELLS, GREG	AMERICAN FUND BALANCED PORTFOLIO 52	0.00	1.13	0.00	1.13	100.0	1.13

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
12/01/2017	CALZADA, LARA	AMERICAN FUND COLLEGE 2027 FUND 529	0.00	1.29	0.00	1.29	100.0	1.29
12/01/2017	ROBINSON, SARAH	AMERICAN FUNDS COLLEGE 2033 FUND-52	0.00	2.31	0.00	2.31	100.0	2.31
12/01/2017	PLANSCAPE, INC 401(K) P/S	AMERICAN FUNDS FUNDAMENTAL INVESTOR	0.00	766.08	0.00	766.08	100.0	766.08
12/01/2017	PLANSCAPE, INC 401(K) P/S	AMERICAN FUNDS NEW WORLD R3	0.00	186.70	0.00	186.70	100.0	186.70
11/30/2017	SIDLOROBEG	DELAWARE VALUE A	0.00	32.87	0.00	32.87	100.0	32.87
11/30/2017	KLEMP, DANIAL	DELAWARE VALUE A	0.00	7.56	0.00	7.56	100.0	7.56
11/13/2017	LOHR, KIMBERLY	FRANKLIN INCOME A	0.00	0.01	0.00	0.01	100.0	0.01
11/13/2017	MCCORKLE, ERIC	FT FOUNDING FDS ALLOC C	0.00	1.63	0.00	1.63	100.0	1.63
10/31/2017	ARRINGTON, VARIOUS	VOYA TRAILS	0.00	3.16	0.00	3.16	100.0	3.16
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *			\$0.00	\$3,664.22	\$0.00	\$3,664.22		\$3,664.22
*** DIRECT TRANSACTIONS TOTAL ***			\$588,067.38	\$5,169.07	\$0.00	\$5,169.07		\$5,169.07

VERRIDE TRANSACTIONS**BROKER: ANTHONY GUGLIELME #8**

12/01/2017	BRANDUZZI, DOMENIC	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	8.60	0.00	8.60	0.0	8.60
12/01/2017	BRANDUZZI, DOMENIC	AM FUNDS GROWTH FUND OF AMERICA A	0.00	11.17	0.00	11.17	0.0	11.17
12/04/2017	BATTALINI, ANTHONY	FT UNIT 5780 DEEP VALUE DIVID PORT	-10.11	0.00	44.00	-44.00	0.0	-44.00
* ANTHONY GUGLIELME SUBTOTAL *			\$-10.11	\$19.77	\$44.00	\$-24.23		\$-24.23

BROKER: JIM LUND #10

12/04/2017	RAINONE, TRISTINA DAWN	AM FUNDS AMERICAN BALANCED 529A	100.00	4.25	0.00	4.25	0.0	4.25
12/04/2017	RAINONE, MICHAEL	AM FUNDS AMERICAN BALANCED 529A	100.00	4.25	0.00	4.25	0.0	4.25
11/20/2017	GARZA, NATHAN	AM FUNDS GROWTH FUND OF AMERICA 529	50.00	2.50	0.00	2.50	0.0	2.50
12/05/2017	AGUILAR, JOSE	AM FUNDS NEW ECONOMY 529A	50.00	2.50	0.00	2.50	0.0	2.50
11/20/2017	GARZA, NATHAN	AM FUNDS NEW PERSPECTIVE 529A	50.00	2.50	0.00	2.50	0.0	2.50
12/01/2017	SOIORIO, ROSE	FA 529 PORT 2016 C	125.00	6.25	0.00	6.25	0.0	6.25
12/01/2017	MURPHY, CHRIS	FA 529 PORT 2025 C	250.00	2.50	0.00	2.50	0.0	2.50
12/01/2017	FITZGIBBON, EDMUND	FA 529 PORT 2025 C	200.00	2.00	0.00	2.00	0.0	2.00
12/01/2017	MACK, NEIL	FA 529 PORT 2025 C	250.00	2.50	0.00	2.50	0.0	2.50
12/01/2017	MACK, NEIL	FA 529 PORT 2028 C	250.00	2.50	0.00	2.50	0.0	2.50
/ /	SANTANA, NICOLE	FA 529 PORT 2031 A	0.00	2.50	0.00	2.50	0.0	2.50
* JIM LUND SUBTOTAL *			\$1,425.00	\$34.25	\$0.00	\$34.25		\$34.25

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<u> OVERRIDE TRANSACTIONS </u>								
<u>BROKER: DANIEL WOLF #11</u>								
11/27/2017	CARIGNAN, NANCY	MML CM LIFE VUL	55,258.75	6.91	0.00	6.91	0.0	6.91
		* DANIEL WOLF SUBTOTAL *	\$55,258.75	\$6.91	\$0.00	\$6.91		\$6.91
<u>BROKER: ROBERT CHESTER #21</u>								
11/22/2017	MARVIN, CYNTHIA	BLK GLOBAL ALLOCATION A	0.00	0.44	0.00	0.44	0.0	0.44
11/22/2017	DILTS, ERIC	BLK MANAGED VOLATILITY A	0.00	1.29	0.00	1.29	0.0	1.29
11/13/2017	MARVIN, CYNTHIA	SUNAMERICA FOCUSED DIVIDEND STRAT A	0.00	0.23	0.00	0.23	0.0	0.23
		* ROBERT CHESTER SUBTOTAL *	\$0.00	\$1.96	\$0.00	\$1.96		\$1.96
<u>BROKER: EDWARD MCMANUS #25</u>								
12/01/2017	HUDSON, SHELBY	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	3.34	0.00	3.34	0.0	3.34
11/13/2017	REESE, BARBARA	FRANKLIN HIGH INCOME C	0.00	7.13	0.00	7.13	0.0	7.13
11/13/2017	REESE, BARBARA	FRANKLIN INCOME C	0.00	7.50	0.00	7.50	0.0	7.50
11/20/2017	SPENCER FAMILY TRUST	PRINCIPAL FUNDS GLOBAL DIVERSIFIED	0.00	1.33	0.00	1.33	0.0	1.33
11/20/2017	MCGREW, JAMES	PRINCIPAL FUNDS GLOBAL DIVERSIFIED	0.00	2.30	0.00	2.30	0.0	2.30
11/22/2017	TEMPLE, GORDON	RESOURCE R E DIVERSIFIED INC FUND A	0.00	1.13	0.00	1.13	0.0	1.13
11/10/2017	REESE, BARBARA	THE MULTI-STRATEGY GROWTH & INCOME	0.00	22.83	0.00	22.83	0.0	22.83
		* EDWARD MCMANUS SUBTOTAL *	\$0.00	\$45.56	\$0.00	\$45.56		\$45.56
<u>BROKER: ERIC HORNYAK #29</u>								
11/09/2017	JOHNS, JOHN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	27.49	0.00	27.49	0.0	27.49
11/09/2017	CAUL, JEFFREY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.44	0.00	0.44	0.0	0.44
11/09/2017	GELOW, RENEE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.62	0.00	0.62	0.0	0.62
11/09/2017	GELOW, RENEE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.56	0.00	0.56	0.0	0.56
11/09/2017	PALFFY, CARLA	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	4.72	0.00	4.72	0.0	4.72
11/09/2017	CAUL, JEFFREY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.71	0.00	0.71	0.0	0.71
11/09/2017	JOHNS, JOHN	AM FUNDS INCOME FUND OF AMERICA A	0.00	14.13	0.00	14.13	0.0	14.13
11/09/2017	JOHNS, JOHN	BLK GLOBAL ALLOCATION A	0.00	1.38	0.00	1.38	0.0	1.38
11/10/2017	CORCORAN, GAIL	COCA COLA COMPANY	1,349.81	22.00	14.00	8.00	0.0	8.00
11/10/2017	CORCORAN, GAIL	DISNEY WALT CO DISNEY COM	1,478.30	22.00	14.00	8.00	0.0	8.00
11/09/2017	HOWARD, JAMES	FT TEMPLETON GLOBAL OPP TRUST C	0.00	26.87	0.00	26.87	0.0	26.87
/ /	CAUL, JEFFREY	JH 529 PORT 2021-2024 A	0.00	0.56	0.00	0.56	0.0	0.56
11/09/2017	HOWARD, JAMES	TRANSAMERICA MULTI-MANAGED BAL C	0.00	28.84	0.00	28.84	0.0	28.84
11/09/2017	SIELSKI, OLA	TRANSAMERICA SHORT-TERM BOND C	0.00	9.24	0.00	9.24	0.0	9.24
11/09/2017	HOWARD, JAMES	TRANSAMERICA SHORT-TERM BOND C	0.00	22.00	0.00	22.00	0.0	22.00

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<u> OVERRIDE TRANSACTIONS </u>								
<u>BROKER: BRUCE BAXTER #38</u>								
		* ERIC HORNYAK SUBTOTAL *	\$2,828.11	\$181.56	\$28.00	\$153.56		\$153.56
<u>BROKER: BRUCE BAXTER #38</u>								
12/01/2017	BROWN, IAN	MFS AGGRESSIVE GROWTH ALLOCATION A	100.00	5.00	0.00	5.00	0.0	5.00
11/29/2017	STAMBAUGH, GARY	SBL ADVISORDESIGNS VA	15,627.47	5.86	0.00	5.86	0.0	5.86
11/01/2017	BAXTER, VARIOUS	TRANSAMERICA LIFE	0.00	54.94	0.00	54.94	0.0	54.94
11/23/2017	BAXTER, VARIOUS	TRANSAMERICA LIFE	0.00	219.38	0.00	219.38	0.0	219.38
		* BRUCE BAXTER SUBTOTAL *	\$15,727.47	\$285.18	\$0.00	\$285.18		\$285.18
<u>BROKER: MELANIE DICENSO #43</u>								
11/20/2017	BEATTY, MATTHEW	AM FUNDS BOND FUND OF AMERICA F1	0.00	6.21	0.00	6.21	0.0	6.21
11/20/2017	BEATTY, MATTHEW	AM FUNDS EUROPACIFIC GROWTH FUND F1	0.00	3.81	0.00	3.81	0.0	3.81
11/29/2017	COLE, SUSAN	SBL ADVISOR PROGRAM	17,567.42	3.66	0.00	3.66	0.0	3.66
11/29/2017	COLE, SUSAN	SBL ADVISOR PROGRAM	50.00	2.00	0.00	2.00	0.0	2.00
		* MELANIE DICENSO SUBTOTAL *	\$17,617.42	\$15.68	\$0.00	\$15.68		\$15.68
<u>BROKER: JOHN BEAN #45</u>								
11/20/2017	HODGE, WENDY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.36	0.00	0.36	0.0	0.36
11/20/2017	DANIEL, GREGORY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.07	0.00	0.07	0.0	0.07
11/20/2017	DANIEL, MILLER	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.07	0.00	0.07	0.0	0.07
11/20/2017	DANIEL, GREGORY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.07	0.00	0.07	0.0	0.07
11/20/2017	HODGE, WENDY	AM FUNDS CAPITAL WORLD BOND A	0.00	0.28	0.00	0.28	0.0	0.28
11/20/2017	DANIEL, GREGORY	AM FUNDS CAPITAL WORLD BOND A	0.00	0.06	0.00	0.06	0.0	0.06
11/20/2017	DANIEL, MILLER	AM FUNDS CAPITAL WORLD BOND A	0.00	0.06	0.00	0.06	0.0	0.06
11/20/2017	DANIEL, GREGORY	AM FUNDS CAPITAL WORLD BOND A	0.00	0.06	0.00	0.06	0.0	0.06
11/20/2017	HODGE, WENDY	AM FUNDS NEW PERSPECTIVE A	0.00	0.86	0.00	0.86	0.0	0.86
11/20/2017	DANIEL, GREGORY	AM FUNDS NEW PERSPECTIVE A	0.00	0.17	0.00	0.17	0.0	0.17
11/20/2017	DANIEL, MILLER	AM FUNDS NEW PERSPECTIVE A	0.00	0.17	0.00	0.17	0.0	0.17
11/20/2017	DANIEL, GREGORY	AM FUNDS NEW PERSPECTIVE A	0.00	0.17	0.00	0.17	0.0	0.17
11/17/2017	HASENAUER, CAROL	CALAMOS EVOLVING WORLD GROWTH A	0.00	0.24	0.00	0.24	0.0	0.24
11/17/2017	HASENAUER, CAROL	CALAMOS HIGH INCOME A	0.00	0.13	0.00	0.13	0.0	0.13
11/17/2017	HODGE, WENDY	CALAMOS HIGH INCOME A	0.00	0.18	0.00	0.18	0.0	0.18
11/17/2017	KING, TROY	CALVERT EQUITY PORTFOLIO FUND CLASS	0.00	0.71	0.00	0.71	0.0	0.71
11/17/2017	KING, JODY	CALVERT EQUITY PORTFOLIO FUND CLASS	0.00	0.60	0.00	0.60	0.0	0.60
11/17/2017	KING, TROY	CALVERT INCOME FUND CLASS A	0.00	0.47	0.00	0.47	0.0	0.47

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<u> OVERRIDE TRANSACTIONS </u>								
<u> BROKER: JOHN BEAN #45 </u>								
11/17/2017	KING, JODY	CALVERT INCOME FUND CLASS A	0.00	0.44	0.00	0.44	0.0	0.44
11/17/2017	KING, JODY	CALVERT INTERNATIONAL EQUITY FUND C	0.00	0.09	0.00	0.09	0.0	0.09
11/17/2017	KING, TROY	CALVERT SMALL CAP FUND CLASS A	0.00	0.33	0.00	0.33	0.0	0.33
11/17/2017	KING, JODY	CALVERT SMALL CAP FUND CLASS A	0.00	0.16	0.00	0.16	0.0	0.16
11/13/2017	HASENAUER, CAROL	FRANKLIN INCOME A	0.00	0.08	0.00	0.08	0.0	0.08
11/16/2017	THOMAS, MARILYN	OPPENHEIMER GLOBAL STRATEGIC INC A	0.00	1.07	0.00	1.07	0.0	1.07
11/16/2017	THOMAS, MARILYN	OPPENHEIMER MAIN STREET A	0.00	5.26	0.00	5.26	0.0	5.26
* JOHN BEAN SUBTOTAL *			\$0.00	\$12.16	\$0.00	\$12.16		\$12.16
<u> BROKER: ROBERT (RUSTY) TWEED #58 </u>								
11/20/2017	SMITH, REBECCA	AM FUNDS AMERICAN BALANCED C	0.00	9.34	0.00	9.34	0.0	9.34
11/16/2017	ZELLMAN, DEAN	BLUEROCK TOTAL INC & REAL ESTATE FU	0.00	2.35	0.00	2.35	0.0	2.35
11/13/2017	SCIOLINI, ALDO	FRANKLIN INCOME A	0.00	2.30	0.00	2.30	0.0	2.30
11/27/2017	LEDWITZ TRUST, MARTIN & ELIZAB	JAMES ALPHA GLOBAL REAL ESTATE FUND	0.00	1.04	0.00	1.04	0.0	1.04
11/17/2017	CHAVEZ, VICTOR	JH CLASSIC VALUE A	0.00	8.15	0.00	8.15	0.0	8.15
11/30/2017	ZAX TRUST	JNL PERSPECTIVE	394.02	0.08	0.00	0.08	0.0	0.08
11/30/2017	STEPHENSON, STAR	JNL PERSPECTIVE II 04/14	8,888.84	3.70	0.00	3.70	0.0	3.70
11/30/2017	ANDERSON, DAVID LEE	JNL PERSPECTIVE L	63,639.37	68.94	0.00	68.94	0.0	68.94
11/30/2017	WHITE, LINDA	JNL PERSPECTIVE L	79,786.50	66.49	0.00	66.49	0.0	66.49
11/30/2017	ENGSTROM, WAYNE	JNL PERSPECTIVE L	34,929.28	29.11	0.00	29.11	0.0	29.11
11/30/2017	AMIGLEO, MICHELLE	JNL PERSPECTIVE L	15,517.42	12.93	0.00	12.93	0.0	12.93
11/16/2017	DANIELS, PHILIP	OPPENHEIMER CA MUNICIPAL A	0.00	13.94	0.00	13.94	0.0	13.94
11/22/2017	CHAVEZ, VICTOR	VICTORY INTEGRITY SMALL-CAP VALUE F	0.00	5.69	0.00	5.69	0.0	5.69
* ROBERT (RUSTY) TWEED SUBTOTAL *			\$203,155.43	\$224.06	\$0.00	\$224.06		\$224.06
<u> BROKER: JIM LUND #60 </u>								
12/05/2017	COX, DEBORAH	AM FUNDS CAPITAL INCOME BUILDER A	75.00	3.75	0.00	3.75	0.0	3.75
12/06/2017	HO, PAULINA	AM FUNDS GROWTH AND INCOME C	200.00	2.00	0.00	2.00	0.0	2.00
12/06/2017	HO, PAULINA	AM FUNDS INCOME PORTFOLIO C	200.00	2.00	0.00	2.00	0.0	2.00
12/05/2017	COX, DEBORAH	AM FUNDS SMALLCAP WORLD A	75.00	3.75	0.00	3.75	0.0	3.75
11/22/2017	CRAIG, JAMIE	FT MODERATE ALLOCATION FUND C	120.00	1.20	0.00	1.20	0.0	1.20
* JIM LUND SUBTOTAL *			\$670.00	\$12.70	\$0.00	\$12.70		\$12.70

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<u> OVERRIDE TRANSACTIONS </u>								
<u>BROKER: JAMES PANOS #61</u>								
11/30/2017	TATAROUNS, WILLIAM	JNL PERSPECTIVE L	84,650.09	70.54	0.00	70.54	0.0	70.54
11/30/2017	TATAROUNS, LELA	JNL PERSPECTIVE REWARDS	214,319.00	89.30	0.00	89.30	0.0	89.30
* JAMES PANOS SUBTOTAL *			\$298,969.09	\$159.84	\$0.00	\$159.84		\$159.84
<u>BROKER: JAMES AULENTI #101</u>								
12/01/2017	BAYLE, JOHN	AM FUNDS AMCAP A	0.00	7.61	0.00	7.61	0.0	7.61
12/01/2017	BAYLE, JOHN	AM FUNDS AMERICAN BALANCED A	0.00	31.23	0.00	31.23	0.0	31.23
12/01/2017	BAYLE, JOHN	AM FUNDS BOND FUND OF AMERICA A	0.00	34.23	0.00	34.23	0.0	34.23
12/01/2017	MCCANDLESS, JAMES	AM FUNDS CAPITAL INCOME BUILDER A	0.00	14.77	0.00	14.77	0.0	14.77
12/01/2017	SCHULTZ, WILLIAM	AM FUNDS CAPITAL INCOME BUILDER A	0.00	18.17	0.00	18.17	0.0	18.17
12/01/2017	BAYLE, JOHN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	30.58	0.00	30.58	0.0	30.58
12/01/2017	MCCANDLESS, JAMES	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	16.57	0.00	16.57	0.0	16.57
12/01/2017	SPENCE, NANCY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	22.42	0.00	22.42	0.0	22.42
12/01/2017	BAYLE, JOHN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	32.35	0.00	32.35	0.0	32.35
12/01/2017	RODRIGUES, GEORGE	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	9.52	0.00	9.52	0.0	9.52
12/01/2017	SPENCE, NANCY	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	24.89	0.00	24.89	0.0	24.89
12/01/2017	CALABRO, TREVER	AM FUNDS GROWTH AND INCOME 529A	0.00	57.53	0.00	57.53	0.0	57.53
12/01/2017	CALABRO, TREVER	AM FUNDS GROWTH PORT 529A	0.00	79.06	0.00	79.06	0.0	79.06
12/01/2017	BAYLE, JOHN	AM FUNDS INCOME FUND OF AMERICA A	0.00	15.67	0.00	15.67	0.0	15.67
12/01/2017	CLISHAM, JOHN	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	158.66	0.00	158.66	0.0	158.66
12/01/2017	MCCANDLESS, JAMES	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	28.95	0.00	28.95	0.0	28.95
* JAMES AULENTI SUBTOTAL *			\$0.00	\$582.21	\$0.00	\$582.21		\$582.21
<u>BROKER: ERIK BLOOMFELDT #105</u>								
12/01/2017	TOMLINSON, ELIJAH	AM FUNDS COLLEGE 2030 FUND 529A	0.00	4.75	0.00	4.75	0.0	4.75
* ERIK BLOOMFELDT SUBTOTAL *			\$0.00	\$4.75	\$0.00	\$4.75		\$4.75
<u>BROKER: DANIEL COLLINS #106</u>								
11/09/2017	WHITE, JACKSON	ALLIANCEBERNSTEIN BAL WEALTH STR A	0.00	4.76	0.00	4.76	0.0	4.76
11/09/2017	WHITE, MARGARET	ALLIANCEBERNSTEIN BAL WEALTH STR A	0.00	11.61	0.00	11.61	0.0	11.61
11/09/2017	PARSONS, VIRGINIA	ALLIANCEBERNSTEIN BAL WEALTH STR A	0.00	5.81	0.00	5.81	0.0	5.81
11/09/2017	PARSONS, VIRGINIA	ALLIANCEBERNSTEIN BAL WEALTH STR A	0.00	2.30	0.00	2.30	0.0	2.30
11/20/2017	JESTER, CATHERINE	AM FUNDS ICA A	0.00	6.01	0.00	6.01	0.0	6.01
/ /	MORRISON, ISABELLA	COLLEGE PORTFOLIO B	0.00	0.22	0.00	0.22	0.0	0.22
/ /	MORRISON, ALEXANDRA	COLLEGE PORTFOLIO B	0.00	0.22	0.00	0.22	0.0	0.22

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<u> OVERRIDE TRANSACTIONS </u>								
<u>BROKER: DANIEL COLLINS #106</u>								
11/13/2017	JESTER, CATHERINE	DAVIS NEW YORK VENTURE A	0.00	3.60	0.00	3.60	0.0	3.60
11/22/2017	BESEE, MARY	DREYFUS AMT-FREE MUNICIPAL BOND FUN	0.00	4.25	0.00	4.25	0.0	4.25
11/16/2017	WHITE, JACKSON	OPPENHEIMER LIMITED TERM GOVERNMENT	0.00	2.74	0.00	2.74	0.0	2.74
11/24/2017	WHITE, MARGARET	PIMCO REAL RETURN A	0.00	2.01	0.00	2.01	0.0	2.01
11/16/2017	PARSONS, VIRGINIA	PUTNAM GLOBAL NAT RESOURCES-A	0.00	0.96	0.00	0.96	0.0	0.96
11/15/2017	WHITE, JACKSON	WELLS FARGO MUNICIPAL BOND A	0.00	2.78	0.00	2.78	0.0	2.78
* DANIEL COLLINS SUBTOTAL *			\$0.00	\$47.27	\$0.00	\$47.27		\$47.27
<u>BROKER: G118 GRECO #110</u>								
12/01/2017	KING, KYLIE	AM FUNDS AMERICAN BALANCED 529A	0.00	0.37	0.00	0.37	0.0	0.37
11/09/2017	AMENDOLA, KEITH	AM FUNDS AMERICAN BALANCED A	0.00	4.72	0.00	4.72	0.0	4.72
11/09/2017	O'DWYER, PATRICK	AM FUNDS AMERICAN BALANCED A	0.00	6.96	0.00	6.96	0.0	6.96
11/09/2017	BALDASSANO, DOMINICK	AM FUNDS AMERICAN BALANCED A	0.00	6.96	0.00	6.96	0.0	6.96
11/09/2017	KLIMA, JANINA	AM FUNDS AMERICAN BALANCED A	0.00	7.88	0.00	7.88	0.0	7.88
11/09/2017	SOKOLNICKI, BRIAN	AM FUNDS AMERICAN BALANCED A	0.00	4.96	0.00	4.96	0.0	4.96
12/01/2017	GUZMAN, JUAN	AM FUNDS AMERICAN BALANCED A	0.00	2.10	0.00	2.10	0.0	2.10
12/01/2017	DOBRICKY, ALAN	AM FUNDS BOND FUND OF AMERICA A	0.00	0.91	0.00	0.91	0.0	0.91
11/09/2017	AMENDOLA, KEITH	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.17	0.00	0.17	0.0	0.17
11/09/2017	KENNEDY, WENDY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.11	0.00	0.11	0.0	0.11
12/01/2017	GUZMAN, JUAN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.88	0.00	1.88	0.0	1.88
12/01/2017	GUZMAN, JUAN	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	1.68	0.00	1.68	0.0	1.68
12/01/2017	GARZA, NATHAN	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	0.11	0.00	0.11	0.0	0.11
12/01/2017	PAOLI, ANGELA	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	0.62	0.00	0.62	0.0	0.62
12/01/2017	BALDASSANO, VINCENT	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	0.39	0.00	0.39	0.0	0.39
11/09/2017	KENNEDY, WENDY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.11	0.00	0.11	0.0	0.11
12/01/2017	BLASSICK, RICHARD	AM FUNDS GROWTH FUND OF AMERICA A	0.00	3.66	0.00	3.66	0.0	3.66
12/01/2017	GUZMAN, JUAN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	2.20	0.00	2.20	0.0	2.20
12/01/2017	GUZMAN, JUAN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	5.21	0.00	5.21	0.0	5.21
12/01/2017	PAOLI, ANGELA	AM FUNDS ICA 529A	0.00	0.55	0.00	0.55	0.0	0.55
12/01/2017	BALDASSANO, VINCENT	AM FUNDS ICA 529A	0.00	0.37	0.00	0.37	0.0	0.37
11/09/2017	SOKOLNICKI, BRIAN	AM FUNDS ICA A	0.00	5.44	0.00	5.44	0.0	5.44
11/09/2017	KENNEDY, WENDY	AM FUNDS ICA A	0.00	0.10	0.00	0.10	0.0	0.10
12/01/2017	GUZMAN, JUAN	AM FUNDS ICA A	0.00	1.74	0.00	1.74	0.0	1.74
12/01/2017	DOBRICKY, ALAN	AM FUNDS ICA A	0.00	2.02	0.00	2.02	0.0	2.02

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<u> OVERRIDE TRANSACTIONS </u>								
<u> BROKER: G118 GRECO #110 </u>								
12/01/2017	GUZMAN, JUAN	AM FUNDS INCOME FUND OF AMERICA A	0.00	1.66	0.00	1.66	0.0	1.66
12/01/2017	DOBRICKY, ALAN	AM FUNDS INCOME FUND OF AMERICA A	0.00	2.43	0.00	2.43	0.0	2.43
12/01/2017	GARZA, NATHAN	AM FUNDS NEW PERSPECTIVE 529A	0.00	0.11	0.00	0.11	0.0	0.11
11/09/2017	SOKOLNICKI, BRIAN	AM FUNDS NEW PERSPECTIVE A	0.00	3.09	0.00	3.09	0.0	3.09
11/09/2017	KENNEDY, WENDY	AM FUNDS NEW PERSPECTIVE A	0.00	0.10	0.00	0.10	0.0	0.10
12/01/2017	BLASSICK, RICHARD	AM FUNDS NEW PERSPECTIVE A	0.00	1.46	0.00	1.46	0.0	1.46
12/01/2017	GUZMAN, JUAN	AM FUNDS NEW PERSPECTIVE A	0.00	2.23	0.00	2.23	0.0	2.23
12/01/2017	GUZMAN, JUAN	AM FUNDS NEW PERSPECTIVE A	0.00	0.98	0.00	0.98	0.0	0.98
12/01/2017	DOBRICKY, ALAN	AM FUNDS NEW PERSPECTIVE A	0.00	1.81	0.00	1.81	0.0	1.81
12/01/2017	BLASSICK, RICHARD	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	2.96	0.00	2.96	0.0	2.96
12/01/2017	KING, KYLIE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.26	0.00	0.26	0.0	0.26
11/09/2017	MAENTANIS, JOHN	LEGG MASON CLEARBRIDGE APPRECIATION	0.00	16.67	0.00	16.67	0.0	16.67
11/08/2017	SOKOLNICKI, BRIAN	MORGAN STANLEY INSTL FD INC GBL APP	0.00	6.85	0.00	6.85	0.0	6.85
11/09/2017	MAENTANIS, JOHN	TRANSAMERICA AA MODERATE C	0.00	13.44	0.00	13.44	0.0	13.44
* G118 GRECO SUBTOTAL *			\$0.00	\$115.27	\$0.00	\$115.27		\$115.27
<u> BROKER: JAY MCCLELLAN #120 </u>								
12/05/2017	SANDERS, JUDITH	JEFFERSON NAT'L TRAILS	0.00	196.41	0.00	196.41	0.0	196.41
12/01/2017	SHEPARD, EARL	AM FUNDS GROWTH FUND OF AMERICA F1	0.00	10.61	0.00	10.61	0.0	10.61
11/22/2017	ENGELHARDT, ELIZABETH	COLUMBIA MARSICO FOCUSED EQUITIES F	0.00	0.70	0.00	0.70	0.0	0.70
11/13/2017	ENGELHARDT, ELIZABETH	DAVIS NEW YORK VENTURE A	0.00	0.66	0.00	0.66	0.0	0.66
11/16/2017	MAPLE TRUST, DENNIS & JOANN	GRIFFIN INSTITUTIONAL ACCESS REAL E	0.00	3.12	0.00	3.12	0.0	3.12
11/16/2017	KULBACK, SONDR	GRIFFIN INSTITUTIONAL ACCESS REAL E	0.00	3.09	0.00	3.09	0.0	3.09
11/16/2017	KAMMER, CHARLES	GRIFFIN INSTITUTIONAL ACCESS REAL E	0.00	2.30	0.00	2.30	0.0	2.30
11/16/2017	HAMANN, JOHN	GRIFFIN INSTITUTIONAL ACCESS REAL E	0.00	3.53	0.00	3.53	0.0	3.53
11/16/2017	LUCKEY, CHARISSE	GRIFFIN INSTITUTIONAL ACCESS REAL E	0.00	9.76	0.00	9.76	0.0	9.76
11/30/2017	MILLER, DOUGLAS	MASS MUTUAL PANAMA PREMIER	20,269.58	6.76	0.00	6.76	0.0	6.76
11/14/2017	COTTONGIM, TERRI	MFS MASS INVESTORS GROWTH STOCK A	0.00	0.59	0.00	0.59	0.0	0.59
11/14/2017	COTTONGIM, TERRI	MFS MASS INVESTORS GROWTH STOCK B	0.00	0.31	0.00	0.31	0.0	0.31
11/14/2017	COTTONGIM, TERRI	MFS MODERATE ALLOCATION A	0.00	0.64	0.00	0.64	0.0	0.64
12/08/2017	LUCKEY, CHARISSE	PREFERRED APT CMNTYS INC COM	-20,974.20	22.00	23.50	-1.50	0.0	-1.50
11/22/2017	FLORKEY, GENE	RESOURCE R E DIVERSIFIED INC FUND A	0.00	2.29	0.00	2.29	0.0	2.29
11/22/2017	ROE, CAROLYN	RESOURCE R E DIVERSIFIED INC FUND A	0.00	3.03	0.00	3.03	0.0	3.03
11/22/2017	COOVER, SHEILA	RESOURCE R E DIVERSIFIED INC FUND A	0.00	3.44	0.00	3.44	0.0	3.44

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<u> OVERRIDE TRANSACTIONS </u>								
<u>BROKER: TIMOTHY KULHANEK #145</u>								
		* JAY MCCLELLAN SUBTOTAL *	\$-704.62	\$269.24	\$23.50	\$245.74		\$245.74
<u>BROKER: TIMOTHY KULHANEK #145</u>								
11/20/2017	KRESSER, JOSEPH	FIDELITY ADVISOR LEVERAGED COMPANY	0.00	0.95	0.00	0.95	0.0	0.95
11/20/2017	HACHTEL, SHARON	FIDELITY ADVISOR LEVERAGED COMPANY	0.00	0.34	0.00	0.34	0.0	0.34
11/24/2017	JACKSON, MARISSA	FIRST EAGLE GLOBAL FUND CL A	0.00	0.39	0.00	0.39	0.0	0.39
11/24/2017	JACKSON, TONI	FIRST EAGLE GOLD FUND CL A	0.00	0.39	0.00	0.39	0.0	0.39
11/13/2017	JACKSON, MARISSA	TEMPLETON GLOBAL BOND A	0.00	0.36	0.00	0.36	0.0	0.36
		* TIMOTHY KULHANEK SUBTOTAL *	\$0.00	\$2.43	\$0.00	\$2.43		\$2.43
<u>BROKER: DAVID KOTZ #179</u>								
12/01/2017	SHELLEY, SUZANNE	AM FUNDS CAPITAL INCOME BUILDER 529	0.00	34.98	0.00	34.98	0.0	34.98
11/09/2017	VIGH, AGNES	AM FUNDS CAPITAL WORLD GRTH & INC C	0.00	4.53	0.00	4.53	0.0	4.53
11/09/2017	NAGY, ZOLLAN	AM FUNDS CAPITAL WORLD GRTH & INC C	0.00	1.01	0.00	1.01	0.0	1.01
12/01/2017	SHELLEY, SUZANNE	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	205.11	0.00	205.11	0.0	205.11
12/01/2017	SHELLEY, SUZANNE	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	389.33	0.00	389.33	0.0	389.33
12/01/2017	MILESINICK, SCOTT	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	112.89	0.00	112.89	0.0	112.89
12/01/2017	MILESINICK, SCOTT	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	58.68	0.00	58.68	0.0	58.68
11/09/2017	MARGOLIN, BRUCE	AM FUNDS GROWTH FUND OF AMERICA C	0.00	10.30	0.00	10.30	0.0	10.30
11/09/2017	FRENCH, ELAINE	AM FUNDS GROWTH FUND OF AMERICA C	0.00	26.93	0.00	26.93	0.0	26.93
11/09/2017	WHITTLESEY, FRANK	AM FUNDS GROWTH FUND OF AMERICA C	0.00	9.49	0.00	9.49	0.0	9.49
11/09/2017	VIGH, AGNES	AM FUNDS GROWTH FUND OF AMERICA F1	0.00	3.09	0.00	3.09	0.0	3.09
11/09/2017	NAGY, ZOLLAN	AM FUNDS GROWTH FUND OF AMERICA F1	0.00	0.93	0.00	0.93	0.0	0.93
11/09/2017	FRENCH, ELAINE	AM FUNDS GROWTH FUND OF AMERICA F1	0.00	2.75	0.00	2.75	0.0	2.75
11/09/2017	VIGH, AGNES	GABELLI SMALL CAP GROWTH FD CLASS C	0.00	1.86	0.00	1.86	0.0	1.86
11/09/2017	NAGY, ZOLLAN	GABELLI SMALL CAP GROWTH FD CLASS C	0.00	2.56	0.00	2.56	0.0	2.56
11/09/2017	MARGOLIN, BRUCE	PRU JENNISON GROWTH	0.00	2.10	0.00	2.10	0.0	2.10
		* DAVID KOTZ SUBTOTAL *	\$0.00	\$866.54	\$0.00	\$866.54		\$866.54
<u>BROKER: WILLIAM WALSH #187</u>								
11/09/2017	SENGSTOCK, KATHLEEN	**CALVER SMALL CAP FD	0.00	31.55	0.00	31.55	0.0	31.55
11/09/2017	SENGSTOCK, KATHLEEN	**CALVERT FD	0.00	3.23	0.00	3.23	0.0	3.23
11/09/2017	SENGSTOCK, KATHLEEN	**PAX FDS SER TR I	0.00	6.83	0.00	6.83	0.0	6.83
11/09/2017	WALSH, PATRICIA	ALLIANCE SMALLCAP	0.00	0.06	0.00	0.06	0.0	0.06
11/09/2017	WALSH, PATRICIA	ALLIANCEBERNSTEIN GL THEMATIC GROWT	0.00	0.32	0.00	0.32	0.0	0.32

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<u> OVERRIDE TRANSACTIONS </u>								
<u>BROKER: WILLIAM WALSH #187</u>								
11/09/2017	SENGSTOCK, JODIE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	4.25	0.00	4.25	0.0	4.25
11/09/2017	WALSH, MEGAN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.12	0.00	0.12	0.0	0.12
11/09/2017	DARGO, JILL	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.19	0.00	1.19	0.0	1.19
11/09/2017	CHAWLA, MAHINDER	AM FUNDS GROWTH FUND OF AMERICA C	0.00	36.50	0.00	36.50	0.0	36.50
11/09/2017	CHAWLA, SUVIRA	AM FUNDS GROWTH FUND OF AMERICA C	0.00	43.00	0.00	43.00	0.0	43.00
11/09/2017	MURPHY, DANIEL	AM FUNDS GROWTH FUND OF AMERICA C	0.00	16.52	0.00	16.52	0.0	16.52
11/09/2017	SENGSTOCK, JODIE	AM FUNDS GROWTH FUND OF AMERICA C	0.00	0.49	0.00	0.49	0.0	0.49
11/09/2017	SENGSTOCK, DAVID	AM FUNDS GROWTH FUND OF AMERICA C	0.00	4.49	0.00	4.49	0.0	4.49
11/09/2017	CHAWLA, SUVIRA	AM FUNDS GROWTH FUND OF AMERICA F1	0.00	10.07	0.00	10.07	0.0	10.07
11/09/2017	MURPHY, DANIEL	AM FUNDS GROWTH FUND OF AMERICA F1	0.00	0.01	0.00	0.01	0.0	0.01
11/09/2017	HAMM, MARK	AM FUNDS GROWTH FUND OF AMERICA F1	0.00	4.53	0.00	4.53	0.0	4.53
11/09/2017	BAUER, MATTHEW	AM FUNDS GROWTH FUND OF AMERICA F1	0.00	0.40	0.00	0.40	0.0	0.40
11/09/2017	MURPHY, DANIEL	AM FUNDS GROWTH FUND OF AMERICA F1	0.00	10.78	0.00	10.78	0.0	10.78
11/09/2017	CHAWLA, SUVIRA	AM FUNDS SMALLCAP WORLD A	0.00	4.94	0.00	4.94	0.0	4.94
11/07/2017	LEWANDOWSKI, ANDREW	BARON GROWTH FUND	0.00	41.10	0.00	41.10	0.0	41.10
11/07/2017	LEWANDOWSKI, ANDREW	BARON GROWTH FUND	0.00	22.76	0.00	22.76	0.0	22.76
11/09/2017	SENGSTOCK, KATHLEEN	CALVERT BOND PORT A	0.00	9.36	0.00	9.36	0.0	9.36
11/09/2017	MURPHY, CAROL	DAVIS NEW YORK VENTURE A	0.00	1.35	0.00	1.35	0.0	1.35
11/09/2017	DARGO, JILL	DAVIS NEW YORK VENTURE A	0.00	1.15	0.00	1.15	0.0	1.15
11/09/2017	WALSH, MARIANNE	DAVIS NEW YORK VENTURE A	0.00	1.12	0.00	1.12	0.0	1.12
11/09/2017	MURPHY, DANIEL	DAVIS NEW YORK VENTURE A	0.00	10.71	0.00	10.71	0.0	10.71
11/09/2017	SENGSTOCK, JODIE	DAVIS NEW YORK VENTURE C	0.00	0.46	0.00	0.46	0.0	0.46
11/09/2017	BOARD, MONTE	DAVIS NEW YORK VENTURE C	0.00	2.53	0.00	2.53	0.0	2.53
11/09/2017	SENGSTOCK, DAVID	DAVIS NEW YORK VENTURE C	0.00	4.48	0.00	4.48	0.0	4.48
11/09/2017	HAMM, MARK	DAVIS NEW YORK VENTURE C	0.00	21.86	0.00	21.86	0.0	21.86
11/09/2017	WALSH, PATRICIA	DAVIS NEW YORK VENTURE C	0.00	1.91	0.00	1.91	0.0	1.91
11/10/2017	SENGSTOCK, KATHLEEN	EVENTIDE GILEAD FUND CLASS A	0.00	7.96	0.00	7.96	0.0	7.96
11/09/2017	CHAWLA, SUVIRA	FIRST EAGLE GLOBAL C	0.00	46.75	0.00	46.75	0.0	46.75
11/09/2017	WALSH, PATRICIA	FRANKLIN TEMPLETON FUNDS CONV SECUR	0.00	1.13	0.00	1.13	0.0	1.13
12/04/2017	MCCLAIN, SMITH & WENZ	GWL GRP ANNUITY 401K	1,372,742.51	564.14	0.00	564.14	0.0	564.14
11/09/2017	MURPHY, DANIEL	IVY ASSET STRATEGY FUND CLASS A	0.00	4.93	0.00	4.93	0.0	4.93
11/09/2017	MURPHY, DANIEL	IVY ASSET STRATEGY FUND CLASS A	0.00	5.91	0.00	5.91	0.0	5.91
/ /	DARGO, JILL	JH 529 EQUITY PORT A	0.00	0.01	0.00	0.01	0.0	0.01

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<u> OVERRIDE TRANSACTIONS </u>								
<u> BROKER: WILLIAM WALSH #187 </u>								
11/09/2017	MURPHY, DANIEL	JH REGIONAL BANK A	0.00	8.62	0.00	8.62	0.0	8.62
11/09/2017	DARGO, JILL	LORD ABBETT DEVELOPING GROWTH A	0.00	0.47	0.00	0.47	0.0	0.47
11/09/2017	CHAWLA, MAHINDER	LORD ABBETT DEVELOPING GROWTH FUND	0.00	28.07	0.00	28.07	0.0	28.07
11/09/2017	CHAWLA, SUVIRA	LORD ABBETT DEVELOPING GROWTH FUND	0.00	57.46	0.00	57.46	0.0	57.46
11/09/2017	SENGSTOCK, JODIE	LORD ABBETT DEVELOPING GROWTH FUND	0.00	0.36	0.00	0.36	0.0	0.36
11/09/2017	SENGSTOCK, DAVID	LORD ABBETT DEVELOPING GROWTH FUND	0.00	3.61	0.00	3.61	0.0	3.61
11/01/2017	SPELLMAN, HENRY	MARSICO FOCUS FUND	0.00	151.30	0.00	151.30	0.0	151.30
11/09/2017	WALSH, MARIANNE	MFS MASS INVESTORS GROWTH STOCK A	0.00	1.15	0.00	1.15	0.0	1.15
11/09/2017	SENGSTOCK, FRANK	MFS MASSACHUSETTS INVESTORS TRUST C	0.00	1.41	0.00	1.41	0.0	1.41
11/09/2017	HAMM, MARK	OPPENHEIMER SMALL MID CAP VALUE C	0.00	15.64	0.00	15.64	0.0	15.64
11/09/2017	DARGO, JILL	THORNBURG INT'L VALUE A	0.00	0.32	0.00	0.32	0.0	0.32
11/09/2017	SENGSTOCK, JODIE	THORNBURG INVT TR INTL VALUE FD CL	0.00	0.25	0.00	0.25	0.0	0.25
11/09/2017	SENGSTOCK, DAVID	THORNBURG INVT TR INTL VALUE FD CL	0.00	3.04	0.00	3.04	0.0	3.04
11/09/2017	HAMM, MARK	THORNBURG INVT TR INTL VALUE FD CL	0.00	14.69	0.00	14.69	0.0	14.69
11/09/2017	WALSH, PATRICIA	THORNBURG INVT TR INTL VALUE FD CL	0.00	0.53	0.00	0.53	0.0	0.53
11/24/2017	MURPHY, DANIEL	VICTORY CAPITAL MANAGEMENT	0.00	0.24	0.00	0.24	0.0	0.24
11/24/2017	MURPHY, DANIEL	VICTORY CAPITAL MANAGEMENT	0.00	0.52	0.00	0.52	0.0	0.52
11/24/2017	MURPHY, CAROL	VICTORY CAPITAL MANAGEMENT	0.00	1.26	0.00	1.26	0.0	1.26
11/24/2017	MURPHY, CAROL	VICTORY CAPITAL MANAGEMENT	0.00	0.25	0.00	0.25	0.0	0.25
11/30/2017	WALSH, VARIOUS	VOYA RETIREMENT & ANNUITY	0.00	668.17	0.00	668.17	0.0	668.17
 * WILLIAM WALSH SUBTOTAL * 			\$1,372,742.51	\$1,886.26	\$0.00	\$1,886.26		\$1,886.26
<u> BROKER: MICHELE BOYER #189 </u>								
11/20/2017	FORBES, JEANNE	AM FUNDS AMCAP A	0.00	0.98	0.00	0.98	0.0	0.98
11/20/2017	FORBES, JEANNE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.63	0.00	0.63	0.0	0.63
11/20/2017	FORBES, JEANNE	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.86	0.00	0.86	0.0	0.86
11/20/2017	FORBES, JEANNE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.10	0.00	1.10	0.0	1.10
11/20/2017	FORBES, JEANNE	AM FUNDS NEW WORLD A	0.00	0.70	0.00	0.70	0.0	0.70
11/24/2017	BARTELS, CHRIS	INVESCO ALL CAP MARKET NEUTRAL FD -	22.32	0.22	0.00	0.22	0.0	0.22
11/24/2017	HALLER, CRISSY	INVESCO AMERICAN FRANCHISE C	25.80	0.26	0.00	0.26	0.0	0.26
11/24/2017	HALLER, CRISSY	INVESCO AMERICAN FRANCHISE C	25.80	0.26	0.00	0.26	0.0	0.26
11/24/2017	HALLER, CRISSY	INVESCO CHARTER FUND C	25.80	0.26	0.00	0.26	0.0	0.26
11/24/2017	HALLER, CRISSY	INVESCO CHARTER FUND C	25.80	0.26	0.00	0.26	0.0	0.26
11/24/2017	COPPERNOLL, CRAIG	INVESCO CORE PLUS BOND FUND CL C	52.30	0.52	0.00	0.52	0.0	0.52

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<u> OVERRIDE TRANSACTIONS </u>								
<u>BROKER: MICHELE BOYER #189</u>								
11/24/2017	COPPERNOLL, CRAIG	INVESCO CORE PLUS BOND FUND CL C	26.15	0.26	0.00	0.26	0.0	0.26
11/24/2017	BARTELS, CHRIS	INVESCO GLOBAL INFRASTRUCTURE C	11.17	0.11	0.00	0.11	0.0	0.11
11/24/2017	COPPERNOLL, CRAIG	INVESCO GLOBAL REAL ESTATE C	39.23	0.39	0.00	0.39	0.0	0.39
11/24/2017	COPPERNOLL, CRAIG	INVESCO GLOBAL REAL ESTATE C	19.61	0.20	0.00	0.20	0.0	0.20
11/24/2017	COPPERNOLL, CRAIG	INVESCO GROWTH AND INCOME C	52.30	0.52	0.00	0.52	0.0	0.52
11/24/2017	COPPERNOLL, CRAIG	INVESCO GROWTH AND INCOME C	26.16	0.26	0.00	0.26	0.0	0.26
11/24/2017	COPPERNOLL, CRAIG	INVESCO INTERNATIONAL GROWTH C	39.23	0.39	0.00	0.39	0.0	0.39
11/24/2017	COPPERNOLL, CRAIG	INVESCO INTERNATIONAL GROWTH C	19.61	0.20	0.00	0.20	0.0	0.20
11/24/2017	BARTELS, CHRIS	INVESCO LONG/SHORT EQUITY FUND - CL	22.32	0.22	0.00	0.22	0.0	0.22
11/24/2017	BARTELS, CHRIS	INVESCO LOW VOLATILITY EMERG MKTS -	33.49	0.33	0.00	0.33	0.0	0.33
11/24/2017	COPPERNOLL, CRAIG	INVESCO MIDCAP CORE EQUITY C	39.23	0.39	0.00	0.39	0.0	0.39
11/24/2017	COPPERNOLL, CRAIG	INVESCO MIDCAP CORE EQUITY C	19.61	0.20	0.00	0.20	0.0	0.20
11/24/2017	BARTELS, CHRIS	INVESCO MLP FUND - CLASS C	22.32	0.22	0.00	0.22	0.0	0.22
11/24/2017	COPPERNOLL, CRAIG	INVESCO SMALL CAP EQUITY FUND	39.23	0.39	0.00	0.39	0.0	0.39
11/24/2017	COPPERNOLL, CRAIG	INVESCO SMALL CAP EQUITY FUND	19.61	0.20	0.00	0.20	0.0	0.20
11/14/2017	LILLIGRIDGE, PAMELA	MFS BOND A	0.00	0.16	0.00	0.16	0.0	0.16
11/14/2017	LILLIGRIDGE, PAMELA	MFS GOVERNMENT SECURITIES A	0.00	0.11	0.00	0.11	0.0	0.11
11/14/2017	LILLIGRIDGE, PAMELA	MFS INTERNATIONAL DISCOVERY A	0.00	0.07	0.00	0.07	0.0	0.07
11/14/2017	LILLIGRIDGE, PAMELA	MFS INTERNATIONAL VALUE FUND CLASS	0.00	0.16	0.00	0.16	0.0	0.16
11/14/2017	LILLIGRIDGE, PAMELA	MFS MASS INVESTORS GROWTH STOCK A	0.00	0.16	0.00	0.16	0.0	0.16
11/14/2017	LILLIGRIDGE, PAMELA	MFS MASS INVESTORS TRUST A	0.00	0.08	0.00	0.08	0.0	0.08
11/14/2017	LILLIGRIDGE, PAMELA	MFS MID-CAP VALUE FUND CLASS A	0.00	0.07	0.00	0.07	0.0	0.07
11/14/2017	LILLIGRIDGE, PAMELA	MFS TOTAL RETURN BOND FUND CLASS A	0.00	0.17	0.00	0.17	0.0	0.17
11/14/2017	LILLIGRIDGE, PAMELA	MFS VALUE A	0.00	0.72	0.00	0.72	0.0	0.72
11/24/2017	BOETTGER, JENNIFER	PIMCO INFLATION RESPONSE MULTI- ASS	0.00	10.18	0.00	10.18	0.0	10.18
* MICHELE BOYER SUBTOTAL *			\$607.09	\$22.21	\$0.00	\$22.21		\$22.21
<u>BROKER: THOMAS JAHNCKE #193</u>								
11/09/2017	BRINSER, LISA	ALLIANCEBERNSTEIN GROWTH A	0.00	1.81	0.00	1.81	0.0	1.81
11/09/2017	BRINSER, LISA	ALLIANCEBERNSTEIN GROWTH AND INC A	0.00	1.38	0.00	1.38	0.0	1.38
11/20/2017	JAHNCKE, JUDY	ALLIANZGI NFJ MID- CAP VALUE FUND C	0.00	1.44	0.00	1.44	0.0	1.44
11/20/2017	LOTT FAMILY TRUST	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.27	0.00	1.27	0.0	1.27
11/20/2017	LOTT FAMILY TRUST	AM FUNDS CAPITAL WORLD BOND A	0.00	2.03	0.00	2.03	0.0	2.03
11/20/2017	RUMBLE TRUST, JUDITH	AM FUNDS EUROPACIFIC GROWTH FUND F1	0.00	4.67	0.00	4.67	0.0	4.67

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<u> OVERRIDE TRANSACTIONS </u>								
<u> BROKER: THOMAS JAHNCKE #193 </u>								
11/20/2017	RUMBLE TRUST, JUDITH	AM FUNDS INCOME FUND OF AMERICA A	0.00	8.32	0.00	8.32	0.0	8.32
11/20/2017	LOTT FAMILY TRUST	AM FUNDS INCOME FUND OF AMERICA A	0.00	1.39	0.00	1.39	0.0	1.39
11/17/2017	BRINSER, LISA	CALAMOS GLOBAL GROWTH & INCOME C	0.00	5.50	0.00	5.50	0.0	5.50
11/17/2017	JAHNCKE, JUDY	CALAMOS GROWTH A	0.00	4.04	0.00	4.04	0.0	4.04
11/17/2017	RUMBLE TRUST, JUDITH	CALAMOS GROWTH C	0.00	41.57	0.00	41.57	0.0	41.57
11/22/2017	JAHNCKE, JUDY	DREYFUS RESEARCH GROWTH FUND CLASS	0.00	0.68	0.00	0.68	0.0	0.68
11/20/2017	JAHNCKE, JUDY	EAGLE CAPITAL APPRECIATION FUND CLA	0.00	2.24	0.00	2.24	0.0	2.24
11/17/2017	JAHNCKE TRUST, JUDY	EATON VANCE FLOATING-RATE ADVANTAGE	0.00	7.86	0.00	7.86	0.0	7.86
11/16/2017	RUMBLE TRUST, JUDITH	FEDERATED EQUITY INCOME FUND CLASS	0.00	21.15	0.00	21.15	0.0	21.15
11/10/2017	RUMBLE TRUST, JUDITH	FORWARD REAL ESTATE LONG/SHORT FUND	0.00	1.69	0.00	1.69	0.0	1.69
11/10/2017	JAHNCKE TRUST, JUDY	FORWARD SELECT INCOME FUND CLASS C	0.00	14.10	0.00	14.10	0.0	14.10
11/10/2017	RUMBLE TRUST, JUDITH	FORWARD SELECT INCOME FUND CLASS C	0.00	23.69	0.00	23.69	0.0	23.69
11/16/2017	RUMBLE TRUST, JUDITH	GRIFFIN INST'L ACCESS R E FUND C	0.00	1.14	0.00	1.14	0.0	1.14
11/16/2017	RUMBLE TRUST, JUDITH	GRIFFIN INST'L ACCESS R E FUND C	0.00	3.43	0.00	3.43	0.0	3.43
11/20/2017	JAHNCKE TRUST, JUDY	MAINSTAY HIGH YIELD CORP BOND A	0.00	0.07	0.00	0.07	0.0	0.07
11/16/2017	JAHNCKE, JUDY	PUTNAM INVESTORS A	0.00	0.58	0.00	0.58	0.0	0.58
11/22/2017	JAHNCKE, JUDY	RESOURCE REAL ESTATE DIVERSIFIED IN	0.00	0.23	0.00	0.23	0.0	0.23
11/22/2017	JAHNCKE, JUDY	RESOURCE REAL ESTATE DIVERSIFIED IN	0.00	0.68	0.00	0.68	0.0	0.68
11/16/2017	RUMBLE TRUST, JUDITH	SIERRA CORE RETIREMENT FUND CLASS C	0.00	9.27	0.00	9.27	0.0	9.27
11/13/2017	BRINSER, LISA	TEMPLETON FOREIGN FUND C	0.00	3.42	0.00	3.42	0.0	3.42
11/27/2017	JAHNCKE TRUST, JUDY	THORNBURG INT'L VALUE A	0.00	11.19	0.00	11.19	0.0	11.19
11/27/2017	BRINSER, LISA	THORNBURG INVESTMENT INCOME BUILDER	0.00	2.27	0.00	2.27	0.0	2.27
11/27/2017	BRINSER, LISA	THORNBURG INVESTMENT INCOME BUILDER	0.00	4.91	0.00	4.91	0.0	4.91
11/27/2017	JAHNCKE, JUDY	THORNBURG INVESTMENT INCOME BUILDER	0.00	1.43	0.00	1.43	0.0	1.43
11/27/2017	JAHNCKE, JUDY	THORNBURG INVT TR INTL VALUE FD CL	0.00	0.53	0.00	0.53	0.0	0.53
11/27/2017	JAHNCKE, JUDY	THORNBURG VALUE CL A	0.00	2.15	0.00	2.15	0.0	2.15
11/27/2017	BRINSER, LISA	THORNBURG VALUE CLASS C	0.00	2.55	0.00	2.55	0.0	2.55
11/27/2017	BRINSER, LISA	THORNBURG VALUE CLASS C	0.00	7.96	0.00	7.96	0.0	7.96
11/27/2017	JAHNCKE TRUST, JUDY	THORNBURG VALUE CLASS C	0.00	2.14	0.00	2.14	0.0	2.14
11/27/2017	JAHNCKE, JUDY	THORNBURG VALUE CLASS C	0.00	29.91	0.00	29.91	0.0	29.91
11/27/2017	RUMBLE TRUST, JUDITH	THORNBURG VALUE CLASS C	0.00	35.24	0.00	35.24	0.0	35.24
 * THOMAS JAHNCKE SUBTOTAL * 			\$0.00	\$263.93	\$0.00	\$263.93		\$263.93

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<u> OVERRIDE TRANSACTIONS </u>								
<u>BROKER: MICHAEL PALMISANO #196</u>								
11/09/2017	VINCENT, JUDITH	FIDELITY BALANCED C	0.00	2.50	0.00	2.50	0.0	2.50
11/09/2017	VINCENT, JUDITH	FIDELITY INTL CAP APP C	0.00	9.17	0.00	9.17	0.0	9.17
11/30/2017	SUTTER, DANI-ANN	JNL PERSPECTIVE L	250,713.23	208.93	0.00	208.93	0.0	208.93
* MICHAEL PALMISANO SUBTOTAL *			\$250,713.23	\$220.60	\$0.00	\$220.60		\$220.60
<u>BROKER: MEREDITH MCCUTCHEN #221</u>								
12/01/2017	CUSUMANO, DARLENE	AM FUNDS AMERICAN MUTUAL 529A	0.00	0.41	0.00	0.41	0.0	0.41
12/01/2017	PITT, PATRICIA	AM FUNDS AMERICAN MUTUAL 529A	0.00	6.35	0.00	6.35	0.0	6.35
12/01/2017	PITT, PATRICIA	AM FUNDS AMERICAN MUTUAL 529A	0.00	3.71	0.00	3.71	0.0	3.71
11/20/2017	MCCUTCHEN, JERRY	AM FUNDS AMERICAN MUTUAL A	0.00	4.97	0.00	4.97	0.0	4.97
11/20/2017	MCCUTCHEN, DEBORAH	AM FUNDS AMERICAN MUTUAL A	0.00	5.08	0.00	5.08	0.0	5.08
12/01/2017	ROBINSON, SARAH	AM FUNDS AMERICAN MUTUAL A	0.00	3.90	0.00	3.90	0.0	3.90
12/01/2017	CUSUMANO, DARLENE	AM FUNDS CAPITAL WORLD GRTH & INC 5	0.00	0.39	0.00	0.39	0.0	0.39
12/01/2017	PITT, PATRICIA	AM FUNDS CAPITAL WORLD GRTH & INC 5	0.00	5.49	0.00	5.49	0.0	5.49
12/01/2017	PITT, PATRICIA	AM FUNDS CAPITAL WORLD GRTH & INC 5	0.00	2.90	0.00	2.90	0.0	2.90
11/20/2017	MCCUTCHEN, JERRY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	3.17	0.00	3.17	0.0	3.17
11/20/2017	MCCUTCHEN, DEBORAH	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	3.19	0.00	3.19	0.0	3.19
12/01/2017	ROBINSON, SARAH	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	3.51	0.00	3.51	0.0	3.51
11/20/2017	WEEKLEY, GROVER	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.02	0.00	0.02	0.0	0.02
12/01/2017	CUSUMANO, DARLENE	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	0.51	0.00	0.51	0.0	0.51
12/01/2017	PITT, PATRICIA	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	7.42	0.00	7.42	0.0	7.42
12/01/2017	PITT, PATRICIA	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	4.70	0.00	4.70	0.0	4.70
11/20/2017	MCCUTCHEN, JERRY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	5.38	0.00	5.38	0.0	5.38
11/20/2017	MCCUTCHEN, DEBORAH	AM FUNDS GROWTH FUND OF AMERICA A	0.00	5.51	0.00	5.51	0.0	5.51
12/01/2017	ROBINSON, SARAH	AM FUNDS GROWTH FUND OF AMERICA A	0.00	4.46	0.00	4.46	0.0	4.46
12/01/2017	CUSUMANO, DARLENE	AM FUNDS NEW PERSPECTIVE 529A	0.00	0.47	0.00	0.47	0.0	0.47
12/01/2017	PITT, PATRICIA	AM FUNDS NEW PERSPECTIVE 529A	0.00	6.58	0.00	6.58	0.0	6.58
12/01/2017	PITT, PATRICIA	AM FUNDS NEW PERSPECTIVE 529A	0.00	3.91	0.00	3.91	0.0	3.91
11/20/2017	MCCUTCHEN, JERRY	AM FUNDS NEW PERSPECTIVE A	0.00	3.68	0.00	3.68	0.0	3.68
11/20/2017	MCCUTCHEN, DEBORAH	AM FUNDS NEW PERSPECTIVE A	0.00	3.69	0.00	3.69	0.0	3.69
12/01/2017	ROBINSON, SARAH	AM FUNDS NEW PERSPECTIVE A	0.00	3.88	0.00	3.88	0.0	3.88
11/17/2017	WEST, GLENDA	CALVERT SHORT DURATION INCOME FUND	0.00	4.70	0.00	4.70	0.0	4.70
11/13/2017	MCCUTCHEN, JERRY	DAVIS NEW YORK VENTURE A	0.00	0.09	0.00	0.09	0.0	0.09
11/16/2017	MCCUTCHEN, JERRY	OPPENHEIMER GLOBAL A	0.00	0.14	0.00	0.14	0.0	0.14

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<u> OVERRIDE TRANSACTIONS </u>								
<u>BROKER: MEREDITH MCCUTCHEN #221</u>								
11/16/2017	MCCUTCHEN, JERRY	OPPENHEIMER MAIN STREET OPP A	0.00	0.23	0.00	0.23	0.0	0.23
11/16/2017	MCCUTCHEN, JERRY	OPPENHEIMER SMALL & MIDCAP GROWTH A	0.00	0.23	0.00	0.23	0.0	0.23
* MEREDITH MCCUTCHEN SUBTOTAL *			\$0.00	\$98.67	\$0.00	\$98.67		\$98.67
<u>BROKER: GREGORY FRIEL #223</u>								
11/22/2017	GAWEL, IRENE	COLUMBIA MARSICO FOCUSED EQUITIES F	0.00	0.56	0.00	0.56	0.0	0.56
11/22/2017	SAURMAN, PAMELA	COLUMBIA MARSICO FOCUSED EQUITIES F	0.00	1.19	0.00	1.19	0.0	1.19
11/17/2017	GAWEL, IRENE	EATON VANCE GREATER INDIA FUND CLAS	0.00	3.85	0.00	3.85	0.0	3.85
11/17/2017	GAWEL, IRENE	EATON VANCE GREATER INDIA FUND CLAS	0.00	1.86	0.00	1.86	0.0	1.86
11/20/2017	KNAPP TRUST, KEVIN	FIDELITY ADV STRATEGIC INCOME A	0.00	5.05	0.00	5.05	0.0	5.05
11/20/2017	FOUST, KRISTIN	FIDELITY ADV STRATEGIC INCOME A	0.00	3.03	0.00	3.03	0.0	3.03
11/20/2017	GAWEL, IRENE	FIDELITY ADV STRATEGIC INCOME A	0.00	1.26	0.00	1.26	0.0	1.26
11/20/2017	GAWEL, IRENE	FIDELITY ADV STRATEGIC INCOME A	0.00	0.48	0.00	0.48	0.0	0.48
11/20/2017	SAURMAN, J DOUGLAS	FIDELITY ADV STRATEGIC INCOME A	0.00	12.94	0.00	12.94	0.0	12.94
11/17/2017	SAURMAN, J DOUGLAS	JOHN HANCOCK LIFESTYLE MODERATE POR	0.00	7.03	0.00	7.03	0.0	7.03
11/17/2017	SAURMAN, PAMELA	JOHN HANCOCK LIFESTYLE MODERATE POR	0.00	10.33	0.00	10.33	0.0	10.33
11/14/2017	FRIEL, JEREMY	MFS BOND A	0.00	1.22	0.00	1.22	0.0	1.22
11/14/2017	FRIEL, SHELLEY	MFS BOND A	0.00	0.23	0.00	0.23	0.0	0.23
11/14/2017	FRIEL, SHELLEY	MFS DIVERSIFIED INCOME A	0.00	0.83	0.00	0.83	0.0	0.83
11/14/2017	SAURMAN, PAMELA	MFS DIVERSIFIED INCOME A	0.00	0.95	0.00	0.95	0.0	0.95
11/14/2017	SAURMAN, PAMELA	MFS EMERGING MARKETS DEBT FUND A	0.00	0.92	0.00	0.92	0.0	0.92
11/14/2017	FRIEL, JEREMY	MFS EQUITY OPPORTUNITIES A	0.00	0.25	0.00	0.25	0.0	0.25
11/14/2017	FRIEL, JEREMY	MFS INTERNATIONAL DIVERSIFICATION A	0.00	0.27	0.00	0.27	0.0	0.27
11/14/2017	FOUST, KRISTIN	MFS INTERNATIONAL DIVERSIFICATION A	0.00	1.51	0.00	1.51	0.0	1.51
11/14/2017	GAWEL, IRENE	MFS INTERNATIONAL DIVERSIFICATION A	0.00	5.25	0.00	5.25	0.0	5.25
11/14/2017	FRIEL, JEREMY	MFS MODERATE ALLOCATION A	0.00	8.96	0.00	8.96	0.0	8.96
11/14/2017	FRIEL, SHELLEY	MFS MODERATE ALLOCATION A	0.00	0.24	0.00	0.24	0.0	0.24
11/14/2017	FRIEL, SHELLEY	MFS MODERATE ALLOCATION A	0.00	11.37	0.00	11.37	0.0	11.37
11/14/2017	GAWEL, IRENE	MFS MODERATE ALLOCATION A	0.00	3.40	0.00	3.40	0.0	3.40
11/14/2017	SAURMAN, J DOUGLAS	MFS MODERATE ALLOCATION A	0.00	2.46	0.00	2.46	0.0	2.46
11/14/2017	SAURMAN, PAMELA	MFS MODERATE ALLOCATION A	0.00	1.22	0.00	1.22	0.0	1.22
* GREGORY FRIEL SUBTOTAL *			\$0.00	\$86.66	\$0.00	\$86.66		\$86.66

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<u> OVERRIDE TRANSACTIONS </u>								
<u> BROKER: JAMES CRAWFORD #225 </u>								
11/13/2017	CARRIKER, AARON	FRANKLIN MUTUAL BEACON C	0.00	3.18	0.00	3.18	0.0	3.18
11/30/2017	ROBERTS, KERMIT	JOHN HANCOCK VENTURE 2006	9,236.72	1.92	0.00	1.92	0.0	1.92
11/30/2017	ROBERTS, ELLEN	JOHN HANCOCK VENTURE 2006	7,350.32	1.53	0.00	1.53	0.0	1.53
* JAMES CRAWFORD SUBTOTAL *			\$16,587.04	\$6.63	\$0.00	\$6.63		\$6.63
<u> BROKER: CARL WORDEN III #232 </u>								
11/30/2017	ALVAREZ, ANTONIO	JNL PERSPECTIVE II 05/05	10,681.41	8.90	0.00	8.90	0.0	8.90
* CARL WORDEN III SUBTOTAL *			\$10,681.41	\$8.90	\$0.00	\$8.90		\$8.90
<u> BROKER: WILLIAM THOMAS #239 </u>								
11/28/2017	WOJCICKIJ, TARAS	NWL NEXT GEN II FP VUL	300.00	6.00	0.00	6.00	0.0	6.00
* WILLIAM THOMAS SUBTOTAL *			\$300.00	\$6.00	\$0.00	\$6.00		\$6.00
<u> BROKER: B151-JASON/MARIA BAIRD/BONGIOVANNI #240 </u>								
12/01/2017	GAGNON, JOHN	AM FUNDS AMERICAN BALANCED C	0.00	15.36	0.00	15.36	0.0	15.36
12/01/2017	BRINICH, EVA	AM FUNDS AMERICAN BALANCED C	0.00	5.02	0.00	5.02	0.0	5.02
12/01/2017	ROMA, NANCY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	22.89	0.00	22.89	0.0	22.89
12/01/2017	THOMPSON, MARGARET	AM FUNDS CAPITAL WORLD GRTH & INC C	0.00	21.24	0.00	21.24	0.0	21.24
12/01/2017	SLACK, DONITA	AM FUNDS CAPITAL WORLD GRTH & INC C	0.00	44.28	0.00	44.28	0.0	44.28
12/01/2017	SLACK, DONITA	AM FUNDS FUNDAMENTAL INVESTORS C	0.00	50.64	0.00	50.64	0.0	50.64
12/01/2017	GAGNON, JOHN	AM FUNDS GROWTH FUND OF AMERICA C	0.00	16.25	0.00	16.25	0.0	16.25
12/01/2017	GAGNON, JOHN	AM FUNDS GROWTH FUND OF AMERICA C	0.00	18.74	0.00	18.74	0.0	18.74
12/01/2017	GAGNON, JOHN	AM FUNDS INCOME FUND OF AMERICA C	0.00	12.82	0.00	12.82	0.0	12.82
/ /	CHISHOLM, DANIEL	JH 529 PORT 2029-2032 A	0.00	3.48	0.00	3.48	0.0	3.48
12/07/2017	BRINICH, EVA	NW LA YOUR LIFE PROTECTION	100.00	1.00	0.00	1.00	0.0	1.00
12/02/2017	GREENBLATT JR, ROLAND	NWL YOURLIFE ACCUM VUL	350.00	1.75	0.00	1.75	0.0	1.75
12/03/2017	ONDOSKEY, TARA	NWL YOURLIFE ACCUM VUL	125.00	1.25	0.00	1.25	0.0	1.25
11/17/2017	JOHNSTONE, WILLIAM	PAC LIFE VUL	0.00	1.52	0.00	1.52	0.0	1.52
12/04/2017	CROCKETT, DAVID	TRANSAMERICA AA MOD GROWTH C	0.00	4.16	0.00	4.16	0.0	4.16
* B151-JASON/MARIA BAIRD/BONGIOVANNI SUBTOTAL *			\$575.00	\$220.40	\$0.00	\$220.40		\$220.40
<u> BROKER: GARRETT MILLS #306 </u>								
12/11/2017	LIGHTMAN, ANTHONY	GLOBAL PAYOUT INC COM	-36,000.00	22.00	27.00	-5.00	0.0	-5.00
12/05/2017	LEE, DAVID	ISHARES SILVER TR ISHARES	-379.05	22.00	22.50	-0.50	0.0	-0.50
* GARRETT MILLS SUBTOTAL *			\$-36,379.05	\$44.00	\$49.50	\$-5.50		\$-5.50

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	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u> OVERRIDE TRANSACTIONS </u>								
BROKER: L149-ROBERT LUCHSINGER #388								
11/30/2017	MANNETTA, VIRGINIA	JOHN HANCOCK LIFE INS CO	122,479.30	102.07	0.00	102.07	0.0	10.21
11/20/2017	GARDNER, MARILYN	ALLIANZ NFJ DIVIDEND VALUE FUND CLA	0.00	4.35	0.00	4.35	0.0	0.44
11/20/2017	GARDNER, MARILYN	ALLIANZ NFJ LARGE CAP VALUE A	0.00	3.49	0.00	3.49	0.0	0.35
11/13/2017	GARDNER, MARILYN	FRANKLIN INCOME A	0.00	2.84	0.00	2.84	0.0	0.28
11/30/2017	NEVIN, NANCY	JNL NY PERSPECTIVE L	240,529.47	200.44	0.00	200.44	0.0	20.04
11/16/2017	HUNTE, SHEILA	OPPENHEIMER ROCHESTER MUNICIPALS A	0.00	6.00	0.00	6.00	0.0	0.60
11/20/2017	VIONE, LESLEY	PAC LIFE FLOATING RATE INCOME FUND	0.00	1.07	0.00	1.07	0.0	0.11
11/20/2017	GARDNER, MARILYN	PAC LIFE FLOATING RATE INCOME FUND	0.00	1.35	0.00	1.35	0.0	0.14
11/20/2017	KNAACK, PATRICIA	PAC LIFE FLOATING RATE INCOME FUND	0.00	0.64	0.00	0.64	0.0	0.06
11/20/2017	GARDNER, MARILYN	PAC LIFE FUNDS PORT OPTIMIZATION CO	0.00	5.28	0.00	5.28	0.0	0.53
11/20/2017	HESS, RALPH	PAC LIFE FUNDS PORT OPTIMIZATION CO	0.00	4.97	0.00	4.97	0.0	0.50
11/20/2017	REILLY, JAMES	PAC LIFE PORT OPTIM MOD AGG	0.00	8.98	0.00	8.98	0.0	0.90
11/20/2017	KNAACK, PATRICIA	PACIFIC LIFE FUNDS STRATEGIC INCOME	0.00	1.86	0.00	1.86	0.0	0.19
11/16/2017	MANNETTA, VIRGINIA	ROCHESTER LIMITED TERM NEW YORK MUN	0.00	4.98	0.00	4.98	0.0	0.50
11/13/2017	VIONE, LESLEY	SUNAMERICA FOCUSED ALPHA GROWTH A	0.00	0.15	0.00	0.15	0.0	0.02
11/13/2017	CELENTANO, MAURA	SUNAMERICA FOCUSED ALPHA GROWTH A	0.00	0.57	0.00	0.57	0.0	0.06
11/13/2017	REILLY, JAMES	SUNAMERICA FOCUSED ALPHA LARGE CAP A	0.00	4.97	0.00	4.97	0.0	0.50
11/13/2017	CELENTANO, MAURA	SUNAMERICA FOCUSED ALPHA LARGE CAP A	0.00	2.07	0.00	2.07	0.0	0.21
11/13/2017	HUNTE, SHEILA	SUNAMERICA HIGH YIELD BOND A	0.00	0.74	0.00	0.74	0.0	0.07
11/13/2017	HUNTE, SHEILA	SUNAMERICA STRATEGIC BOND FUND CLAS	0.00	1.14	0.00	1.14	0.0	0.11
* L149-ROBERT LUCHSINGER SUBTOTAL *			\$363,008.77	\$357.96	\$0.00	\$357.96		\$35.82
*** OVERRIDE TRANSACTIONS TOTAL ***			\$2,573,772.54	\$6,109.56	\$145.00	\$5,964.56		\$5,642.42

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

BROKER COMMISSION TOTALS

Broker Transactions	\$5,012.07
Split Transactions	\$0.00
Override Transactions	\$5,642.42
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	\$10,654.49
Year-to-date Gross	\$79,065.32
Year-to-date Earnings	\$232,916.44