



Concorde Investment Services, LLC
COMMISSION STATEMENT
June 15, 2017

06/13/2017
 Page No. 1

DELMAR (BO)-M143 MCKINNEY
 5 Red Bud Trail

BROKER #: M143
 BRANCH: EAGLE WEALTH MANAGEM

Round Rock, TX 78655-

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
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BROKER TRANSACTIONS

PRODUCT CATEGORY: MUTUAL FUNDS

06/01/2017	NAIZER, ROSANNE	AM FUNDS AMCAP 529A	0.00	2.50	0.00	2.50	90.0	2.25
06/01/2017	NAIZER, JOHNNIE	AM FUNDS AMCAP 529A	0.00	1.74	0.00	1.74	90.0	1.57
05/25/2017	ASPRA, TRISSA	AM FUNDS AMCAP A	130.00	5.53	22.00	-16.47	90.0	-14.82
06/01/2017	PRAESEL, ARTHUR	AM FUNDS AMCAP A	0.00	164.65	0.00	164.65	90.0	148.19
06/05/2017	ASPRA, TRISSA	AM FUNDS AMCAP A	75.00	3.19	12.00	-8.81	90.0	-7.93
06/01/2017	NAIZER, ROSANNE	AM FUNDS AMERICAN MUTUAL 529A	0.00	1.50	0.00	1.50	90.0	1.35
06/01/2017	NAIZER, JOHNNIE	AM FUNDS AMERICAN MUTUAL 529A	0.00	1.14	0.00	1.14	90.0	1.03
06/01/2017	MCKINNON, BROOKE	AM FUNDS CAPITAL INCOME BUILDER 529	0.00	0.91	0.00	0.91	90.0	0.82
06/01/2017	OHE, EUGENIA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	6.34	0.00	6.34	90.0	5.71
06/01/2017	PEKAR, DAVID	AM FUNDS CAPITAL INCOME BUILDER A	0.00	23.47	0.00	23.47	90.0	21.12
06/01/2017	PRAESEL, ARTHUR	AM FUNDS CAPITAL INCOME BUILDER A	0.00	56.29	0.00	56.29	90.0	50.66
06/01/2017	NAIZER, ROSANNE	AM FUNDS CAPITAL WORLD GRTH & INC 5	0.00	1.71	0.00	1.71	90.0	1.54
06/01/2017	NAIZER, JOHNNIE	AM FUNDS CAPITAL WORLD GRTH & INC 5	0.00	0.07	0.00	0.07	90.0	0.06
05/31/2017	ENOCHS, LELAND	AM FUNDS EUROPACIFIC GROWTH FUND A	105.00	2.10	0.00	2.10	90.0	1.89
05/31/2017	ENOCHS, LELAND	AM FUNDS EUROPACIFIC GROWTH FUND A	270.82	5.42	0.00	5.42	90.0	4.88
05/31/2017	ENOCHS, DONNA	AM FUNDS EUROPACIFIC GROWTH FUND A	8.25	0.17	0.00	0.17	90.0	0.15
05/31/2017	ENOCHS, DONNA	AM FUNDS EUROPACIFIC GROWTH FUND A	253.96	5.08	0.00	5.08	90.0	4.57
06/01/2017	KORNEGAY, ALISA	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	14.43	0.00	14.43	90.0	12.99
06/01/2017	ENOCHS, DONNA	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	13.12	0.00	13.12	90.0	11.81
06/01/2017	ENOCHS, LELAND	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	33.69	0.00	33.69	90.0	30.32
06/01/2017	OHE, EUGENIA	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	6.37	0.00	6.37	90.0	5.73
06/01/2017	ENOCHS, DONNA	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	4.21	0.00	4.21	90.0	3.79
06/01/2017	NAIZER, ROSANNE	AM FUNDS FUNDAMENTAL INVESTORS 529A	0.00	2.51	0.00	2.51	90.0	2.26
06/01/2017	NAIZER, JOHNNIE	AM FUNDS FUNDAMENTAL INVESTORS 529A	0.00	0.17	0.00	0.17	90.0	0.15
05/31/2017	ENOCHS, LELAND	AM FUNDS FUNDAMENTAL INVESTORS A	105.00	2.10	0.00	2.10	90.0	1.89
05/31/2017	ENOCHS, LELAND	AM FUNDS FUNDAMENTAL INVESTORS A	270.84	5.42	0.00	5.42	90.0	4.88

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

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
05/31/2017	ENOCHS, DONNA	AM FUNDS FUNDAMENTAL INVESTORS A	8.25	0.17	0.00	0.17	90.0	0.15
05/31/2017	ENOCHS, DONNA	AM FUNDS FUNDAMENTAL INVESTORS A	253.96	5.08	0.00	5.08	90.0	4.57
06/01/2017	ENOCHS, LELAND	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	49.58	0.00	49.58	90.0	44.62
06/01/2017	ENOCHS, DONNA	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	4.84	0.00	4.84	90.0	4.36
05/22/2017	BRUECKNER, MICHAEL	AM FUNDS GROWTH FUND OF AMERICA 529	100.00	1.60	0.00	1.60	90.0	1.44
05/30/2017	OHE, EUGENIA	AM FUNDS GROWTH FUND OF AMERICA 529	100.00	2.75	0.00	2.75	90.0	2.48
05/30/2017	OHE, EUGENIA	AM FUNDS GROWTH FUND OF AMERICA 529	100.00	2.75	0.00	2.75	90.0	2.48
06/01/2017	BRUECKNER, MICHAEL	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	15.11	0.00	15.11	90.0	13.60
06/01/2017	NAIZER, ROSANNE	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	3.01	0.00	3.01	90.0	2.71
06/01/2017	NAIZER, JOHNNIE	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	1.58	0.00	1.58	90.0	1.42
06/01/2017	OHE, EUGENIA	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	8.67	0.00	8.67	90.0	7.80
06/01/2017	OHE, EUGENIA	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	8.67	0.00	8.67	90.0	7.80
05/25/2017	ASPRA, TRISSA	AM FUNDS GROWTH FUND OF AMERICA A	130.00	5.53	22.00	-16.47	90.0	-14.82
05/31/2017	ENOCHS, LELAND	AM FUNDS GROWTH FUND OF AMERICA A	105.00	2.10	0.00	2.10	90.0	1.89
05/31/2017	ENOCHS, LELAND	AM FUNDS GROWTH FUND OF AMERICA A	270.84	5.42	0.00	5.42	90.0	4.88
05/31/2017	BRUECKNER, KIMBERLY	AM FUNDS GROWTH FUND OF AMERICA A	325.00	5.20	0.00	5.20	90.0	4.68
05/31/2017	ENOCHS, DONNA	AM FUNDS GROWTH FUND OF AMERICA A	8.25	0.17	0.00	0.17	90.0	0.15
05/31/2017	ENOCHS, DONNA	AM FUNDS GROWTH FUND OF AMERICA A	253.96	5.08	0.00	5.08	90.0	4.57
06/01/2017	PRAESEL, ARTHUR	AM FUNDS GROWTH FUND OF AMERICA A	0.00	192.31	0.00	192.31	90.0	173.08
06/01/2017	KORNEGAY, ALISA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	21.79	0.00	21.79	90.0	19.61
06/01/2017	ENOCHS, LELAND	AM FUNDS GROWTH FUND OF AMERICA A	0.00	47.32	0.00	47.32	90.0	42.59
06/01/2017	OHE, EUGENIA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	18.24	0.00	18.24	90.0	16.42
06/01/2017	BRUECKNER, MICHAEL	AM FUNDS GROWTH FUND OF AMERICA A	0.00	32.73	0.00	32.73	90.0	29.46
06/01/2017	BRUECKNER, KIMBERLY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	28.51	0.00	28.51	90.0	25.66
06/01/2017	ENOCHS, DONNA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	4.80	0.00	4.80	90.0	4.32
06/01/2017	GILLEY, BEVERLY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	162.39	0.00	162.39	90.0	146.15
06/02/2017	LAWHON, JACKIE	AM FUNDS GROWTH FUND OF AMERICA A	-150.00	0.00	12.00	-12.00	90.0	-10.80
06/05/2017	ASPRA, TRISSA	AM FUNDS GROWTH FUND OF AMERICA A	75.00	3.19	12.00	-8.81	90.0	-7.93
06/01/2017	KORNEGAY, ALISA	AM FUNDS ICA A	0.00	20.49	0.00	20.49	90.0	18.44
06/01/2017	PRAESEL, ARTHUR	AM FUNDS INCOME FUND OF AMERICA A	0.00	66.38	0.00	66.38	90.0	59.74
06/01/2017	NAIZER, ROSANNE	AM FUNDS INTL GROWTH AND INCOME 529	0.00	0.86	0.00	0.86	90.0	0.77
06/01/2017	NAIZER, JOHNNIE	AM FUNDS INTL GROWTH AND INCOME 529	0.00	1.13	0.00	1.13	90.0	1.02
06/01/2017	ENOCHS, DONNA	AM FUNDS NEW ECONOMY A	0.00	17.53	0.00	17.53	90.0	15.78

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
06/01/2017	OHE, EUGENIA	AM FUNDS NEW ECONOMY A	0.00	7.56	0.00	7.56	90.0	6.80
06/01/2017	PRAESEL, ARTHUR	AM FUNDS NEW PERSPECTIVE A	0.00	158.80	0.00	158.80	90.0	142.92
06/01/2017	OHE, EUGENIA	AM FUNDS NEW PERSPECTIVE A	0.00	7.63	0.00	7.63	90.0	6.87
06/01/2017	NAIZER, ROSANNE	AM FUNDS NEW WORLD 529A	0.00	0.06	0.00	0.06	90.0	0.05
06/01/2017	NAIZER, JOHNNIE	AM FUNDS NEW WORLD 529A	0.00	0.12	0.00	0.12	90.0	0.11
06/01/2017	OHE, EUGENIA	AM FUNDS SMALLCAP WORLD A	0.00	8.26	0.00	8.26	90.0	7.43
06/01/2017	NAIZER, ROSANNE	AM FUNDS SMALLCAP WORLD-529A	0.00	2.25	0.00	2.25	90.0	2.03
06/01/2017	NAIZER, JOHNNIE	AM FUNDS SMALLCAP WORLD-529A	0.00	1.43	0.00	1.43	90.0	1.29
05/22/2017	BRUECKNER, MICHAEL	AM FUNDS WASHINGTON MUTUAL INVESTOR	100.00	1.60	0.00	1.60	90.0	1.44
05/31/2017	ENOCHS, LELAND	AM FUNDS WASHINGTON MUTUAL INVESTOR	105.00	2.10	0.00	2.10	90.0	1.89
05/31/2017	ENOCHS, LELAND	AM FUNDS WASHINGTON MUTUAL INVESTOR	270.84	5.42	0.00	5.42	90.0	4.88
05/31/2017	ENOCHS, DONNA	AM FUNDS WASHINGTON MUTUAL INVESTOR	8.25	0.17	0.00	0.17	90.0	0.15
05/31/2017	ENOCHS, DONNA	AM FUNDS WASHINGTON MUTUAL INVESTOR	253.97	5.08	0.00	5.08	90.0	4.57
06/01/2017	FISCHER, DOROTHY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	15.24	0.00	15.24	90.0	13.72
06/01/2017	HAMITER, DONNIE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	8.91	0.00	8.91	90.0	8.02
06/01/2017	LOGHRY, DORIS	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	25.97	0.00	25.97	90.0	23.37
06/01/2017	JAMES, JERRI	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	3.66	0.00	3.66	90.0	3.29
06/01/2017	ENOCHS, LELAND	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	42.02	0.00	42.02	90.0	37.82
06/01/2017	JAMES, JERRI	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	5.24	0.00	5.24	90.0	4.72
06/01/2017	OHE, EUGENIA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	16.26	0.00	16.26	90.0	14.63
06/01/2017	ENOCHS, DONNA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	4.68	0.00	4.68	90.0	4.21
06/01/2017	MEYER, KATHY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.68	0.00	1.68	90.0	1.51
06/01/2017	SPECKELS, WARREN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	2.98	0.00	2.98	90.0	2.68
06/01/2017	MICHNA, DENISE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.37	0.00	1.37	90.0	1.23
06/01/2017	KRIEGEL, ROBERT	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	4.17	0.00	4.17	90.0	3.75
06/01/2017	LAWHON, STEVEN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	34.41	0.00	34.41	90.0	30.97
06/01/2017	GILLEY, BEVERLY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	133.08	0.00	133.08	90.0	119.77
06/01/2017	BRUECKNER, MICHAEL	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	13.91	0.00	13.91	90.0	12.52
06/02/2017	LAWHON, JACKIE	AM FUNDS WASHINGTON MUTUAL INVESTOR	-350.00	0.00	12.00	-12.00	90.0	-10.80
04/30/2017	KORNEGAY, ALISA	BLACKROCK 19452W490	0.00	1.08	0.00	1.08	90.0	0.97
04/30/2017	NAIZER, JOHNNIE	BLACKROCK 19452W490	0.00	1.73	0.00	1.73	90.0	1.56
04/30/2017	SMITH, MARLO	BLACKROCK 19452W490	0.00	0.42	0.00	0.42	90.0	0.38
04/30/2017	SMITH, MARLO	BLK AGG GROWTH A	0.00	0.33	0.00	0.33	90.0	0.30

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
/ /	MICHNA JT TEN WROS, JIMMY	HARTFORD CAPITAL APPRECIATION A	0.00	2.85	0.00	2.85	90.0	2.57
/ /	EWING, JOHN	HARTFORD GROWTH ALLOCATION A	0.00	0.58	0.00	0.58	90.0	0.52
/ /	SMITH, MARLO	HARTFORD GROWTH ALLOCATION A	0.00	1.36	0.00	1.36	90.0	1.22
/ /	MICHNA JT TEN WROS, JIMMY	HARTFORD MIDCAP A	0.00	0.42	0.00	0.42	90.0	0.38
05/12/2017	LINDELL, HOWARD	LORD ABBETT & CO 543916530	0.00	138.13	0.00	138.13	90.0	124.32
05/12/2017	EVANS, DAVID	LORD ABBETT & CO 543916530	0.00	1.22	0.00	1.22	90.0	1.10
05/12/2017	BUTLER, SHELLY	LORD ABBETT & CO 543916589	0.00	0.01	0.00	0.01	90.0	0.01
05/12/2017	LINDELL, HOWARD	LORD ABBETT & CO 543916589	0.00	91.99	0.00	91.99	90.0	82.79
05/12/2017	EVANS, DAVID	LORD ABBETT & CO 543916589	0.00	1.25	0.00	1.25	90.0	1.13
05/12/2017	MEYER, KATHY	LORD ABBETT & CO 543916605	0.00	65.76	0.00	65.76	90.0	59.18
05/12/2017	BUTLER, SHELLY	LORD ABBETT & CO 543916605	0.00	0.01	0.00	0.01	90.0	0.01
05/12/2017	LINDELL, HOWARD	LORD ABBETT & CO 543916605	0.00	87.55	0.00	87.55	90.0	78.80
05/12/2017	EVANS, DAVID	LORD ABBETT & CO 543916605	0.00	1.20	0.00	1.20	90.0	1.08
05/12/2017	LINDELL, HOWARD	LORD ABBETT ALPHA STRATEGY C	0.00	142.84	0.00	142.84	90.0	128.56
05/12/2017	EVANS, DAVID	LORD ABBETT ALPHA STRATEGY C	0.00	1.21	0.00	1.21	90.0	1.09
* MUTUAL FUNDS SUBTOTAL *			\$3,187.19	\$2,162.81	\$92.00	\$2,070.81		\$1,863.76
<u>PRODUCT CATEGORY: STOCKS</u>								
06/06/2017	FRANKS, CATHERINE	AT&T INC COM	-1,705.00	40.00	22.50	17.50	90.0	15.75
* STOCKS SUBTOTAL *			\$-1,705.00	\$40.00	\$22.50	\$17.50		\$15.75
<u>PRODUCT CATEGORY: VARIABLE ANNUITIES</u>								
06/09/2017	CHEATHAM, JIMMY	AMER GEN POLARIS II	38,879.91	24.30	0.00	24.30	90.0	21.87
05/31/2017	MASON, JOHN	JNL PERSPECTIVE ADV II 5/05	439,304.06	366.09	0.00	366.09	90.0	329.48
05/31/2017	MASON, JOHN	JNL PERSPECTIVE L	436,835.84	364.03	0.00	364.03	90.0	327.63
05/31/2017	PEMBERTON, PATRICIA	JOHN HANCOCK VENTURE	17,544.19	3.66	0.00	3.66	90.0	3.29
05/23/2017	MCRIGHT, BETTY	PAC LIFE VALUE	0.00	17.23	0.00	17.23	90.0	15.51
* VARIABLE ANNUITIES SUBTOTAL *			\$932,564.00	\$775.31	\$0.00	\$775.31		\$697.78
<u>PRODUCT CATEGORY: UNIT INVESTMENT TRUSTS</u>								
06/12/2017	HOEFT, DANIEL	FT UNIT 6540 TECHNOLOGY SELECT PORT	14,306.80	379.08	0.00	379.08	90.0	341.17
06/12/2017	HOEFT, DANIEL	FT UNIT 6551 US INFRASTRUCTURE PORT	7,151.77	189.55	0.00	189.55	90.0	170.60
06/12/2017	HOEFT, DANIEL	FT UNIT 6586 EUROPEAN TARGET HIGH Q	21,450.17	375.31	0.00	375.31	90.0	337.78
06/12/2017	HOEFT, DANIEL	FT UNIT 6606 ENERGY SELECT PORT SER	7,158.30	189.70	0.00	189.70	90.0	170.73
06/12/2017	HOEFT, DANIEL	FT UNIT 6646 FINLS SELECT PORT SER	14,300.98	378.94	0.00	378.94	90.0	341.05

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: UNIT INVESTMENT TRUSTS</u>								
06/12/2017	HOEFT, DANIEL	FT UNIT 6647 HEALTH CARE SELECT POR	14,307.60	379.21	0.00	379.21	90.0	341.29
06/12/2017	HOEFT, DANIEL	FT UNIT 6654 EQUITY INCOME SELECT P	14,300.00	286.00	0.00	286.00	90.0	257.40
05/25/2017	SCHNEIDER, CLARA	SMART TR CEFA SELECT BDC TR SER 9 U	64,001.66	1,695.86	0.00	1,695.86	90.0	1,526.27
05/25/2017	SCHNEIDER, GARY	SMART TR CEFA SELECT BDC TR SER 9 U	33,007.75	874.61	0.00	874.61	90.0	787.15
05/25/2017	SCHNEIDER, CLARA	SMART TR PORTFOLIO CLOSED-END FD OP	64,009.91	1,695.95	0.00	1,695.95	90.0	1,526.36
05/25/2017	SCHNEIDER, GARY	SMART TR PORTFOLIO CLOSED-END FD OP	33,004.48	874.46	0.00	874.46	90.0	787.01
* UNIT INVESTMENT TRUSTS SUBTOTAL *			\$286,999.42	\$7,318.67	\$0.00	\$7,318.67		\$6,586.81

PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS

05/09/2017	BUROW, PAUL	ALLIANCEBERNSTEIN INTL VALUE A	0.00	0.83	0.00	0.83	90.0	0.75
05/19/2017	WIESNER, BETTY	AM CENT EQUITY INCOME	0.00	2.87	0.00	2.87	90.0	2.58
05/15/2017	ROSENTHAL, LUCILLE	AM FUNDS AMCAP A	0.00	10.79	0.00	10.79	90.0	9.71
05/15/2017	LESCHBER, PAMELA	AM FUNDS AMCAP A	0.00	0.91	0.00	0.91	90.0	0.82
05/15/2017	LUEDTKE, LOIS	AM FUNDS AMCAP A	0.00	10.86	0.00	10.86	90.0	9.77
05/15/2017	ASPRA, TRISSA	AM FUNDS AMCAP A	0.00	2.40	0.00	2.40	90.0	2.16
05/15/2017	NMN & NJN MGMT TRUST	AM FUNDS AMCAP A	0.00	1.46	0.00	1.46	90.0	1.31
05/15/2017	MICHNA, RHYS	AM FUNDS AMCAP A	0.00	1.19	0.00	1.19	90.0	1.07
05/15/2017	SCOTT, MONYAN	AM FUNDS AMCAP A	0.00	24.04	0.00	24.04	90.0	21.64
05/15/2017	SPECKELS, MELBA	AM FUNDS AMERICAN BALANCED A	0.00	1.17	0.00	1.17	90.0	1.05
05/15/2017	FUESSEL, NORMAN	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	3.18	0.00	3.18	90.0	2.86
05/15/2017	FUESSEL NE & NA TR, NORMAN	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	33.24	0.00	33.24	90.0	29.92
05/15/2017	SPECKELS, MELBA	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	1.55	0.00	1.55	90.0	1.40
05/15/2017	ROSENTHAL, LUCILLE	AM FUNDS AMERICAN MUTUAL A	0.00	16.27	0.00	16.27	90.0	14.64
05/15/2017	FUESSEL IRREV TR, NORMAN	AM FUNDS AMERICAN MUTUAL A	0.00	7.96	0.00	7.96	90.0	7.16
05/15/2017	NMN & NJN MGMT TRUST	AM FUNDS AMERICAN MUTUAL A	0.00	0.91	0.00	0.91	90.0	0.82
05/15/2017	SCOTT, MONYAN	AM FUNDS AMERICAN MUTUAL A	0.00	21.21	0.00	21.21	90.0	19.09
05/15/2017	IVICIC, MARY	AM FUNDS AMERICAN MUTUAL A	0.00	2.50	0.00	2.50	90.0	2.25
05/15/2017	CHEATHAM, JIMMY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	10.47	0.00	10.47	90.0	9.42
05/15/2017	PRAESEL, ARTHUR	AM FUNDS CAPITAL INCOME BUILDER A	0.00	20.53	0.00	20.53	90.0	18.48
05/15/2017	ROSENTHAL, LUCILLE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	31.23	0.00	31.23	90.0	28.11
05/15/2017	FUESSEL, NORMAN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	19.25	0.00	19.25	90.0	17.33
05/15/2017	FUESSEL NE & NA TR, NORMAN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	17.59	0.00	17.59	90.0	15.83
05/15/2017	BRUECKNER, KIMBERLY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	5.03	0.00	5.03	90.0	4.53
05/15/2017	KELLEY, DOLORES	AM FUNDS CAPITAL INCOME BUILDER A	0.00	5.84	0.00	5.84	90.0	5.26

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
05/15/2017	LOGHRY, DORIS	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.06	0.00	0.06	90.0	0.05
05/15/2017	PEKAR, DAVID	AM FUNDS CAPITAL INCOME BUILDER A	0.00	7.22	0.00	7.22	90.0	6.50
05/15/2017	SPECKELS, WARREN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.29	0.00	1.29	90.0	1.16
05/15/2017	SPECKELS, MELBA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.91	0.00	1.91	90.0	1.72
05/15/2017	BRANSON, BARBARA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	3.04	0.00	3.04	90.0	2.74
05/15/2017	MORRIS, JANINE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	8.58	0.00	8.58	90.0	7.72
05/15/2017	SCOTT, MONYAN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	20.28	0.00	20.28	90.0	18.25
05/15/2017	URBAN, LONNIE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.42	0.00	1.42	90.0	1.28
05/15/2017	MOORE, TERRY	AM FUNDS CAPITAL INCOME BUILDER C	0.00	31.10	0.00	31.10	90.0	27.99
05/15/2017	ROSENTHAL, LUCILLE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	28.14	0.00	28.14	90.0	25.33
05/15/2017	LESCHBER, LARRY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.13	0.00	2.13	90.0	1.92
05/15/2017	FUESSEL IRREV TR, NORMAN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	7.90	0.00	7.90	90.0	7.11
05/15/2017	BRUECKNER, KIMBERLY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	13.76	0.00	13.76	90.0	12.38
05/15/2017	KELLEY, DOLORES	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	4.61	0.00	4.61	90.0	4.15
05/15/2017	NMN & NJN MGMT TRUST	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.04	0.00	1.04	90.0	0.94
05/15/2017	SCOTT, MONYAN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	28.47	0.00	28.47	90.0	25.62
05/15/2017	HOHMAN, JEROME	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	8.20	0.00	8.20	90.0	7.38
05/15/2017	DROMGOOLE, NONA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	5.64	0.00	5.64	90.0	5.08
05/15/2017	URBAN, LONNIE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.52	0.00	1.52	90.0	1.37
05/15/2017	IVICIC, MARY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.18	0.00	1.18	90.0	1.06
05/15/2017	FUESSEL NE & NA TR, NORMAN	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	16.25	0.00	16.25	90.0	14.63
05/15/2017	LUEDTKE, LOIS	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	15.31	0.00	15.31	90.0	13.78
05/15/2017	KELLEY, DOLORES	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	3.93	0.00	3.93	90.0	3.54
05/15/2017	ROSENTHAL, LUCILLE	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	35.29	0.00	35.29	90.0	31.76
05/15/2017	LESCHBER, PAMELA	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.42	0.00	1.42	90.0	1.28
05/15/2017	BRUECKNER, KIMBERLY	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	17.79	0.00	17.79	90.0	16.01
05/15/2017	NMN & NJN MGMT TRUST	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.43	0.00	1.43	90.0	1.29
05/15/2017	SCOTT, MONYAN	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	35.79	0.00	35.79	90.0	32.21
05/15/2017	DROMGOOLE, NONA	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	6.78	0.00	6.78	90.0	6.10
05/15/2017	EWING LIVING TRUST, JACK &	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	6.41	0.00	6.41	90.0	5.77
05/15/2017	IVICIC, MARY	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	3.19	0.00	3.19	90.0	2.87
05/15/2017	ROSENTHAL, LUCILLE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	11.66	0.00	11.66	90.0	10.49
05/15/2017	FUESSEL IRREV TR, NORMAN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	46.87	0.00	46.87	90.0	42.18

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
05/15/2017	LUEDTKE, LOIS	AM FUNDS GROWTH FUND OF AMERICA A	0.00	34.40	0.00	34.40	90.0	30.96
05/15/2017	ASPRA, TRISSA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	2.59	0.00	2.59	90.0	2.33
05/15/2017	BRUECKNER, KIMBERLY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	17.98	0.00	17.98	90.0	16.18
05/15/2017	ROSIPAL, HERBERT	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.07	0.00	0.07	90.0	0.06
05/15/2017	KELLEY, DOLORES	AM FUNDS GROWTH FUND OF AMERICA A	0.00	5.24	0.00	5.24	90.0	4.72
05/15/2017	LAWHON, JACKIE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.25	0.00	0.25	90.0	0.23
05/15/2017	NMN & NJN MGMT TRUST	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.43	0.00	1.43	90.0	1.29
05/15/2017	BORGNE JR, ROBERT	AM FUNDS GROWTH FUND OF AMERICA A	0.00	5.98	0.00	5.98	90.0	5.38
05/15/2017	LAWHON, STEVEN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	6.24	0.00	6.24	90.0	5.62
05/15/2017	SPECKELS, WARREN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.88	0.00	1.88	90.0	1.69
05/15/2017	MICHNA, RHYS	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.19	0.00	1.19	90.0	1.07
05/15/2017	MORRIS, JANINE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	16.91	0.00	16.91	90.0	15.22
05/15/2017	SCOTT, MONYAN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	38.37	0.00	38.37	90.0	34.53
05/15/2017	LAWHON, BRAEDEN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.78	0.00	0.78	90.0	0.70
05/15/2017	DROMGOOLE, NONA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	6.88	0.00	6.88	90.0	6.19
05/15/2017	MOORE, TERRY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	2.06	0.00	2.06	90.0	1.85
05/15/2017	OHE, DRAKE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.10	0.00	1.10	90.0	0.99
05/15/2017	OHE, EUGENIA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.73	0.00	0.73	90.0	0.66
05/15/2017	URBAN, LONNIE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.93	0.00	1.93	90.0	1.74
05/15/2017	LAWHON, MAISEN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.54	0.00	0.54	90.0	0.49
05/15/2017	IVICIC, MARY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	2.81	0.00	2.81	90.0	2.53
05/15/2017	LESCHBER, LARRY	AM FUNDS ICA A	0.00	0.77	0.00	0.77	90.0	0.69
05/15/2017	DROMGOOLE, NONA	AM FUNDS ICA A	0.00	5.71	0.00	5.71	90.0	5.14
05/15/2017	EWING JR, JACK	AM FUNDS ICA A	0.00	8.06	0.00	8.06	90.0	7.25
05/15/2017	CHEATHAM, JIMMY	AM FUNDS INCOME FUND OF AMERICA A	0.00	10.04	0.00	10.04	90.0	9.04
05/15/2017	PRAESEL, ARTHUR	AM FUNDS INCOME FUND OF AMERICA A	0.00	24.80	0.00	24.80	90.0	22.32
05/15/2017	ROSENTHAL, LUCILLE	AM FUNDS INCOME FUND OF AMERICA A	0.00	36.39	0.00	36.39	90.0	32.75
05/15/2017	LESCHBER, PAMELA	AM FUNDS INCOME FUND OF AMERICA A	0.00	3.67	0.00	3.67	90.0	3.30
05/15/2017	FUESSEL, NORMAN	AM FUNDS INCOME FUND OF AMERICA A	0.00	18.64	0.00	18.64	90.0	16.78
05/15/2017	FUESSEL NE & NA TR, NORMAN	AM FUNDS INCOME FUND OF AMERICA A	0.00	16.61	0.00	16.61	90.0	14.95
05/15/2017	BRUECKNER, KIMBERLY	AM FUNDS INCOME FUND OF AMERICA A	0.00	9.86	0.00	9.86	90.0	8.87
05/15/2017	KELLEY, DOLORES	AM FUNDS INCOME FUND OF AMERICA A	0.00	4.69	0.00	4.69	90.0	4.22
05/15/2017	SPECKELS, MELBA	AM FUNDS INCOME FUND OF AMERICA A	0.00	1.87	0.00	1.87	90.0	1.68

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
05/15/2017	FISCHER, HAROLD	AM FUNDS INCOME FUND OF AMERICA A	0.00	1.53	0.00	1.53	90.0	1.38
05/15/2017	HAMITER, DONNIE	AM FUNDS INCOME FUND OF AMERICA A	0.00	9.87	0.00	9.87	90.0	8.88
05/15/2017	MORRIS, JANINE	AM FUNDS INCOME FUND OF AMERICA A	0.00	12.75	0.00	12.75	90.0	11.48
05/15/2017	SCOTT, MONYEAN	AM FUNDS INCOME FUND OF AMERICA A	0.00	26.76	0.00	26.76	90.0	24.08
05/15/2017	KLEMT, RUTH	AM FUNDS INCOME FUND OF AMERICA A	0.00	1.70	0.00	1.70	90.0	1.53
05/15/2017	WILSON, MARY	AM FUNDS INCOME FUND OF AMERICA A	0.00	4.69	0.00	4.69	90.0	4.22
05/15/2017	EWING LIVING TRUST, JACK &	AM FUNDS INCOME FUND OF AMERICA A	0.00	15.24	0.00	15.24	90.0	13.72
05/15/2017	KETTLE, MARVIN	AM FUNDS INCOME FUND OF AMERICA A	0.00	3.46	0.00	3.46	90.0	3.11
05/15/2017	NMN & NJN MGMT TRUST	AM FUNDS INTL GROWTH AND INCOME A	0.00	0.56	0.00	0.56	90.0	0.50
05/15/2017	DROMGOOLE, NONA	AM FUNDS INTL GROWTH AND INCOME A	0.00	4.32	0.00	4.32	90.0	3.89
05/15/2017	BRUECKNER, KIMBERLY	AM FUNDS NEW ECONOMY A	0.00	12.44	0.00	12.44	90.0	11.20
05/15/2017	WILSON, MARY	AM FUNDS NEW ECONOMY A	0.00	10.05	0.00	10.05	90.0	9.05
05/15/2017	LESCHBER, LARRY	AM FUNDS NEW PERSPECTIVE A	0.00	1.14	0.00	1.14	90.0	1.03
05/15/2017	BRUECKNER, KIMBERLY	AM FUNDS NEW PERSPECTIVE A	0.00	10.79	0.00	10.79	90.0	9.71
05/15/2017	MORRIS, JANINE	AM FUNDS NEW PERSPECTIVE A	0.00	18.02	0.00	18.02	90.0	16.22
05/15/2017	SCOTT, MONYEAN	AM FUNDS NEW PERSPECTIVE A	0.00	32.05	0.00	32.05	90.0	28.85
05/15/2017	NMN & NJN MGMT TRUST	AM FUNDS NEW WORLD A	0.00	0.28	0.00	0.28	90.0	0.25
05/15/2017	DROMGOOLE, NONA	AM FUNDS NEW WORLD A	0.00	4.18	0.00	4.18	90.0	3.76
05/15/2017	BRUECKNER, KIMBERLY	AM FUNDS SMALLCAP WORLD A	0.00	9.71	0.00	9.71	90.0	8.74
05/15/2017	NMN & NJN MGMT TRUST	AM FUNDS SMALLCAP WORLD A	0.00	1.26	0.00	1.26	90.0	1.13
05/15/2017	DROMGOOLE, NONA	AM FUNDS SMALLCAP WORLD A	0.00	1.58	0.00	1.58	90.0	1.42
05/15/2017	LESCHBER, PAMELA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.89	0.00	0.89	90.0	0.80
05/15/2017	FUESSEL, NORMAN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	14.25	0.00	14.25	90.0	12.83
05/15/2017	FUESSEL IRREV TR, NORMAN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	7.79	0.00	7.79	90.0	7.01
05/15/2017	FUESSEL NE & NA TR, NORMAN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	60.81	0.00	60.81	90.0	54.73
05/15/2017	BRUECKNER, KIMBERLY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	11.27	0.00	11.27	90.0	10.14
05/15/2017	KORNEGAY, ALISA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.28	0.00	0.28	90.0	0.25
05/15/2017	KELLEY, DOLORES	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	7.52	0.00	7.52	90.0	6.77
05/15/2017	LAWHON, JACKIE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	42.87	0.00	42.87	90.0	38.58
05/15/2017	SPECKELS, WARREN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	2.42	0.00	2.42	90.0	2.18
05/15/2017	SPECKELS, MELBA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.63	0.00	1.63	90.0	1.47
05/15/2017	SPECKELS, MELBA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.48	0.00	1.48	90.0	1.33
05/15/2017	GILLIGAN, DOROTHY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	6.77	0.00	6.77	90.0	6.09

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
05/15/2017	STOLTE, VERNALINE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.78	0.00	1.78	90.0	1.60
05/15/2017	MORRIS, JANINE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	17.87	0.00	17.87	90.0	16.08
05/15/2017	SMITH, MICHAEL	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.29	0.00	1.29	90.0	1.16
05/15/2017	BUROW, PAUL	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.29	0.00	1.29	90.0	1.16
05/15/2017	DALJO LTD PT	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	30.72	0.00	30.72	90.0	27.65
05/15/2017	HOHMAN, JEROME	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	5.20	0.00	5.20	90.0	4.68
05/15/2017	WILSON, MARY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	15.65	0.00	15.65	90.0	14.09
05/15/2017	WIESNER, BETTY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	3.21	0.00	3.21	90.0	2.89
05/15/2017	EWING LIVING TRUST, JACK &	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	21.83	0.00	21.83	90.0	19.65
05/15/2017	URBAN, LONNIE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.78	0.00	1.78	90.0	1.60
05/15/2017	IVICIC, MARY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	3.21	0.00	3.21	90.0	2.89
05/30/2017	LUERSEN, JENNIFER	BLACKROCK FUNDS US GOVERNMENT PORTF	0.00	1.31	0.00	1.31	90.0	1.18
05/30/2017	EWING JR, JACK	BLK GLOBAL ALLOCATION C	0.00	15.13	0.00	15.13	90.0	13.62
05/30/2017	EWING LIVING TRUST, JACK &	BLK GLOBAL ALLOCATION C	0.00	54.25	0.00	54.25	90.0	48.83
05/19/2017	SMITH, JUDY	CALAMOS GROWTH C	0.00	32.65	0.00	32.65	90.0	29.39
05/16/2017	KETTLE, MARVIN	CLEARBRIDGE AGGRESSIVE	0.00	3.53	0.00	3.53	90.0	3.18
05/16/2017	KETTLE, MARVIN	CLEARBRIDGE APPRECIATION FUND CLASS	0.00	1.87	0.00	1.87	90.0	1.68
05/16/2017	PEMBERTON, PATRICIA	CLEARBRIDGE SMALL CAP GROWTH FUND C	0.00	3.70	0.00	3.70	90.0	3.33
05/22/2017	WIESNER, BETTY	COLUMBIA ACORN A	0.00	1.55	0.00	1.55	90.0	1.40
05/22/2017	LUERSEN, JENNIFER	COLUMBIA INCOME OPPORTUNITIES FUND	0.00	0.25	0.00	0.25	90.0	0.23
05/22/2017	MCELROY, BENNETT	COLUMBIA MARSICO FOCUSED EQUITIES F	0.00	8.18	0.00	8.18	90.0	7.36
05/22/2017	LUERSEN, JENNIFER	COLUMBIA STRATEGIC INCOME A	0.00	2.00	0.00	2.00	90.0	1.80
05/22/2017	LUERSEN, JENNIFER	COLUMBIA US GOV MORTGAGE A	0.00	2.07	0.00	2.07	90.0	1.86
05/24/2017	CHEATHAM, JIMMY	FEDERATED CLOVER VALUE A	0.00	1.71	0.00	1.71	90.0	1.54
05/24/2017	CHEATHAM, JIMMY	FEDERATED EQUITY INCOME A	0.00	9.30	0.00	9.30	90.0	8.37
05/24/2017	CHEATHAM, JIMMY	FEDERATED KAUFMANN FUND A	0.00	2.30	0.00	2.30	90.0	2.07
05/24/2017	CHEATHAM, JIMMY	FEDERATED MDT MID CAP GROWTH STRATE	0.00	2.91	0.00	2.91	90.0	2.62
05/18/2017	ESCHBERGER TRUST, JACK & AGNES	FIDELITY ADV NEW INSIGHTS-CL A	0.00	0.59	0.00	0.59	90.0	0.53
05/18/2017	NMN & NUN MGMT TRUST	FIDELITY ADV NEW INSIGHTS-CL A	0.00	1.36	0.00	1.36	90.0	1.22
05/18/2017	NAIZER TRUST, NOLAN	FIDELITY ADV NEW INSIGHTS-CL A	0.00	0.31	0.00	0.31	90.0	0.28
05/18/2017	NAIZER TRUST, NOEL	FIDELITY ADV NEW INSIGHTS-CL A	0.00	0.20	0.00	0.20	90.0	0.18
05/18/2017	WIESNER, BETTY	FIDELITY ADV NEW INSIGHTS-CL A	0.00	3.18	0.00	3.18	90.0	2.86
05/18/2017	MCELROY, BENNETT	FIDELITY ADV STRATEGIC INCOME A	0.00	3.85	0.00	3.85	90.0	3.47

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
05/11/2017	COOPER, ADAM	FRANKLIN MUTUAL GLOBAL DISCOVERY A	0.00	3.72	0.00	3.72	90.0	3.35
05/11/2017	COOPER, ADAM	FRANKLIN MUTUAL GLOBAL DISCOVERY A	0.00	5.40	0.00	5.40	90.0	4.86
05/11/2017	COOPER, ADAM	FRANKLIN MUTUAL QUEST A	0.00	5.23	0.00	5.23	90.0	4.71
05/11/2017	COOPER, ADAM	FRANKLIN RISING DIVIDENDS A	0.00	4.83	0.00	4.83	90.0	4.35
05/17/2017	ENOCHS, LELAND	GOLDMAN SACHS CAPITAL GROWTH FUND C	0.00	8.71	0.00	8.71	90.0	7.84
05/17/2017	ENOCHS, LELAND	GOLDMAN SACHS FOCUSED INTL EQUITY F	0.00	2.48	0.00	2.48	90.0	2.23
05/17/2017	HAMITER, DONNIE	GOLDMAN SACHS SMALL CAP VALUE FUND-	0.00	0.60	0.00	0.60	90.0	0.54
05/17/2017	STOLTE, VERNALINE	GOLDMAN SACHS U.S. EQUITY INSIGHTS	0.00	1.79	0.00	1.79	90.0	1.61
05/17/2017	BURKHART, KRISTI	GOLDMAN SACHS U.S. EQUITY INSIGHTS	0.00	1.50	0.00	1.50	90.0	1.35
05/23/2017	CHEATHAM, JIMMY	HARTFORD BALANCED A	0.00	0.85	0.00	0.85	90.0	0.77
05/23/2017	FLEMING, JERRY	HARTFORD BALANCED A	0.00	1.44	0.00	1.44	90.0	1.30
05/23/2017	RAESZ TTEE, BARBARA	HARTFORD BALANCED ALLOCATION A	0.00	3.70	0.00	3.70	90.0	3.33
05/23/2017	RAESZ TTEE, BARBARA	HARTFORD BALANCED ALLOCATION A	0.00	1.94	0.00	1.94	90.0	1.75
05/23/2017	TAISLER, JESSE	HARTFORD CAPITAL APP II A	0.00	1.56	0.00	1.56	90.0	1.40
05/23/2017	MASON, ELEANOR	HARTFORD CAPITAL APP II A	0.00	1.07	0.00	1.07	90.0	0.96
05/23/2017	SCOTT, MONYAN	HARTFORD CAPITAL APP II A	0.00	14.77	0.00	14.77	90.0	13.29
05/23/2017	CHEATHAM, JIMMY	HARTFORD CAPITAL APPRECIATION A	0.00	9.02	0.00	9.02	90.0	8.12
05/23/2017	ROSENTHAL, LUCILLE	HARTFORD CAPITAL APPRECIATION A	0.00	10.57	0.00	10.57	90.0	9.51
05/23/2017	LESCHBER, LARRY	HARTFORD CAPITAL APPRECIATION A	0.00	16.80	0.00	16.80	90.0	15.12
05/23/2017	BRUECKNER, KIMBERLY	HARTFORD CAPITAL APPRECIATION A	0.00	12.01	0.00	12.01	90.0	10.81
05/23/2017	HAMANN, LARRY	HARTFORD CAPITAL APPRECIATION A	0.00	8.80	0.00	8.80	90.0	7.92
05/23/2017	FLEMING, JERRY	HARTFORD CAPITAL APPRECIATION A	0.00	5.38	0.00	5.38	90.0	4.84
05/23/2017	TAISLER, JESSE	HARTFORD CAPITAL APPRECIATION A	0.00	1.75	0.00	1.75	90.0	1.58
05/23/2017	MOORE, TERRY	HARTFORD CAPITAL APPRECIATION C	0.00	22.75	0.00	22.75	90.0	20.48
05/23/2017	LESCHBER, LARRY	HARTFORD DISCIPLINED EQUITY A	0.00	4.69	0.00	4.69	90.0	4.22
05/23/2017	CHEATHAM, JIMMY	HARTFORD DIVIDEND & GROWTH A	0.00	4.44	0.00	4.44	90.0	4.00
05/23/2017	BRUECKNER, KIMBERLY	HARTFORD DIVIDEND & GROWTH A	0.00	5.11	0.00	5.11	90.0	4.60
05/23/2017	HAMANN, LARRY	HARTFORD DIVIDEND & GROWTH A	0.00	3.87	0.00	3.87	90.0	3.48
05/23/2017	FLEMING, JERRY	HARTFORD DIVIDEND & GROWTH A	0.00	4.72	0.00	4.72	90.0	4.25
05/23/2017	TAISLER, JESSE	HARTFORD DIVIDEND & GROWTH A	0.00	1.78	0.00	1.78	90.0	1.60
05/23/2017	RAESZ TTEE, BARBARA	HARTFORD GROWTH ALLOCATION A	0.00	3.65	0.00	3.65	90.0	3.29
05/23/2017	RAESZ TTEE, BARBARA	HARTFORD GROWTH ALLOCATION A	0.00	1.97	0.00	1.97	90.0	1.77
05/23/2017	EWING, JOHN	HARTFORD GROWTH ALLOCATION A	0.00	0.79	0.00	0.79	90.0	0.71

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
05/23/2017	ROSENTHAL, LUCILLE	HARTFORD GROWTH OPP A	0.00	9.75	0.00	9.75	90.0	8.78
05/23/2017	SCOTT, MONYAN	HARTFORD GROWTH OPP A	0.00	16.98	0.00	16.98	90.0	15.28
05/23/2017	ROSENTHAL, LUCILLE	HARTFORD INT'L GROWTH A	0.00	6.24	0.00	6.24	90.0	5.62
05/23/2017	CHEATHAM, JIMMY	HARTFORD MIDCAP A	0.00	6.36	0.00	6.36	90.0	5.72
05/23/2017	LESCHBER, LARRY	HARTFORD MIDCAP A	0.00	18.39	0.00	18.39	90.0	16.55
05/23/2017	FLEMING, JERRY	HARTFORD MIDCAP A	0.00	5.59	0.00	5.59	90.0	5.03
05/23/2017	ROSENTHAL, LUCILLE	HARTFORD MIDCAP VALUE A	0.00	12.02	0.00	12.02	90.0	10.82
05/23/2017	MASON, ELEANOR	HARTFORD MIDCAP VALUE A	0.00	0.73	0.00	0.73	90.0	0.66
05/23/2017	LESCHBER, LARRY	HARTFORD SMALL-COMPANY FUND CLASS A	0.00	11.75	0.00	11.75	90.0	10.58
05/23/2017	BRUECKNER, KIMBERLY	HARTFORD SMALL-COMPANY FUND CLASS A	0.00	5.03	0.00	5.03	90.0	4.53
05/23/2017	TAISLER, JESSE	HARTFORD VALUE OPPORTUNITY FUND CLA	0.00	1.81	0.00	1.81	90.0	1.63
05/23/2017	MASON, ELEANOR	HARTFUND EQUITY INCIME FUND A	0.00	0.62	0.00	0.62	90.0	0.56
05/17/2017	BEEMAN, MICHAEL	HIGHLAND FLOATING RATE OPPORTUNITIE	0.00	0.61	0.00	0.61	90.0	0.55
05/19/2017	ESCHBERGER TRUST, JACK & AGNES	JH DISCIPLINED VALUE A	0.00	1.14	0.00	1.14	90.0	1.03
05/19/2017	ROSENTHAL, LUCILLE	JH DISCIPLINED VALUE A	0.00	0.57	0.00	0.57	90.0	0.51
05/19/2017	SCARBOROUGH, ROBERT	JH DISCIPLINED VALUE A	0.00	0.90	0.00	0.90	90.0	0.81
05/19/2017	NMN & NUN MGMT TRUST	JH DISCIPLINED VALUE A	0.00	2.77	0.00	2.77	90.0	2.49
05/19/2017	NAIZER TRUST, NOLAN	JH DISCIPLINED VALUE A	0.00	0.52	0.00	0.52	90.0	0.47
05/19/2017	NAIZER TRUST, NOEL	JH DISCIPLINED VALUE A	0.00	0.38	0.00	0.38	90.0	0.34
05/19/2017	OLSON, DALE	JH DISCIPLINED VALUE A	0.00	2.22	0.00	2.22	90.0	2.00
05/19/2017	KETTLE, MARVIN	JH DISCIPLINED VALUE A	0.00	0.98	0.00	0.98	90.0	0.88
05/19/2017	MCELROY, BENNETT	JH STRATEGIC INCOME A	0.00	3.92	0.00	3.92	90.0	3.53
05/19/2017	ESCHBERGER TRUST, JACK & AGNES	JOHN HANCOCK GLOBAL ABSOLUTE RETURN	0.00	0.74	0.00	0.74	90.0	0.67
05/19/2017	ROSENTHAL, LUCILLE	JOHN HANCOCK GLOBAL ABSOLUTE RETURN	0.00	0.19	0.00	0.19	90.0	0.17
05/19/2017	SCARBOROUGH, ROBERT	JOHN HANCOCK GLOBAL ABSOLUTE RETURN	0.00	0.70	0.00	0.70	90.0	0.63
05/19/2017	NMN & NUN MGMT TRUST	JOHN HANCOCK GLOBAL ABSOLUTE RETURN	0.00	1.70	0.00	1.70	90.0	1.53
05/19/2017	NAIZER TRUST, NOLAN	JOHN HANCOCK GLOBAL ABSOLUTE RETURN	0.00	0.09	0.00	0.09	90.0	0.08
05/19/2017	NAIZER TRUST, NOEL	JOHN HANCOCK GLOBAL ABSOLUTE RETURN	0.00	0.18	0.00	0.18	90.0	0.16
05/19/2017	OLSON, DALE	JOHN HANCOCK GLOBAL ABSOLUTE RETURN	0.00	0.53	0.00	0.53	90.0	0.48
05/19/2017	MASON, JOHN	JOHN HANCOCK GLOBAL ABSOLUTE RETURN	0.00	5.85	0.00	5.85	90.0	5.27
05/19/2017	KETTLE, MARVIN	JOHN HANCOCK GLOBAL ABSOLUTE RETURN	0.00	0.34	0.00	0.34	90.0	0.31
05/17/2017	LUERSEN, JENNIFER	JP MORGAN GOVERNMENT BOND FUND CLAS	0.00	1.90	0.00	1.90	90.0	1.71
05/16/2017	KETTLE, MARVIN	LEGG MASON CLEARBRIDGE FUNDAMENTAL	0.00	2.99	0.00	2.99	90.0	2.69

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
05/22/2017	CHEATHAM, JIMMY	LORD ABBETT AFFILIATED A	0.00	1.70	0.00	1.70	90.0	1.53
05/22/2017	SPECKELS, MELBA	LORD ABBETT AFFILIATED A	0.00	0.73	0.00	0.73	90.0	0.66
05/22/2017	CHEATHAM, JIMMY	LORD ABBETT ALPHA STRATEGY A	0.00	3.51	0.00	3.51	90.0	3.16
05/22/2017	FUESSEL NE & NA TR, NORMAN	LORD ABBETT BOND DEBENTURE A	0.00	5.81	0.00	5.81	90.0	5.23
05/22/2017	CHEATHAM, JIMMY	LORD ABBETT CALIBRATED DIVIDEND GRO	0.00	2.08	0.00	2.08	90.0	1.87
05/22/2017	FUESSEL IRREV TR, NORMAN	LORD ABBETT CALIBRATED DIVIDEND GRO	0.00	11.23	0.00	11.23	90.0	10.11
05/22/2017	BRUECKNER, KIMBERLY	LORD ABBETT CALIBRATED DIVIDEND GRO	0.00	7.33	0.00	7.33	90.0	6.60
05/22/2017	SPECKELS, MELBA	LORD ABBETT CALIBRATED DIVIDEND GRO	0.00	0.88	0.00	0.88	90.0	0.79
05/22/2017	CHEATHAM, JIMMY	LORD ABBETT DEVELOPING GROWTH A	0.00	3.38	0.00	3.38	90.0	3.04
05/22/2017	FUESSEL IRREV TR, NORMAN	LORD ABBETT DEVELOPING GROWTH A	0.00	12.31	0.00	12.31	90.0	11.08
05/22/2017	BRUECKNER, KIMBERLY	LORD ABBETT FUNDAMENTAL EQUITY A	0.00	9.65	0.00	9.65	90.0	8.69
05/22/2017	SPECKELS, MELBA	LORD ABBETT FUNDAMENTAL EQUITY A	0.00	0.72	0.00	0.72	90.0	0.65
05/22/2017	SPECKELS, MELBA	LORD ABBETT GROWTH OPPORTUNITIES FU	0.00	0.54	0.00	0.54	90.0	0.49
05/22/2017	STAGNER TRUST, JAMES	LORD ABBETT INVT TR FLTG RATE A	0.00	6.44	0.00	6.44	90.0	5.80
05/22/2017	CHEATHAM, JIMMY	LORD ABBETT MID CAP STOCK A	0.00	7.00	0.00	7.00	90.0	6.30
05/22/2017	FUESSEL IRREV TR, NORMAN	LORD ABBETT MID CAP STOCK A	0.00	16.62	0.00	16.62	90.0	14.96
05/22/2017	BRUECKNER, KIMBERLY	LORD ABBETT MID CAP STOCK A	0.00	9.91	0.00	9.91	90.0	8.92
05/15/2017	ROSENTHAL, LUCILLE	LTD TERM TAX-EX BOND FUND OF AMERIC	0.00	4.65	0.00	4.65	90.0	4.19
05/12/2017	PEARSON, GRANT	MFS LIFETIME RETIREMENT INCOME FUND	0.00	41.08	0.00	41.08	90.0	36.97
05/12/2017	MCELROY, BENNETT	MFS VALUE A	0.00	8.98	0.00	8.98	90.0	8.08
05/25/2017	MASON, JOHN	NEUBERGER BERMAN LONG SHORT FUND CL	0.00	4.86	0.00	4.86	90.0	4.37
05/22/2017	WIESNER, BETTY	OPPENHEIMER GLOBAL STRATEGIC INC A	0.00	1.52	0.00	1.52	90.0	1.37
05/25/2017	FUESSEL IRREV TR, NORMAN	PUTNAM ASSET ALLOC GROWTH A	0.00	15.74	0.00	15.74	90.0	14.17
05/16/2017	KETTLE, MARVIN	QS GROWTH FUND CLASS A	0.00	0.57	0.00	0.57	90.0	0.51
05/15/2017	BELL, EDDY	RESOURCE R E DIVERSIFIED INC FUND A	0.00	10.39	0.00	10.39	90.0	9.35
05/15/2017	LUERSEN, JENNIFER	RESOURCE R E DIVERSIFIED INC FUND A	0.00	1.61	0.00	1.61	90.0	1.45
05/23/2017	LESCHBER, LARRY	THE HARTFORD GLOBAL EQUITY INCOME F	0.00	8.05	0.00	8.05	90.0	7.25
05/17/2017	KURTH, KARIANNE	TRANSAMERICA AA GROWTH C	0.00	35.85	0.00	35.85	90.0	32.27
05/17/2017	KURTH, DEREK	TRANSAMERICA AA GROWTH C	0.00	43.15	0.00	43.15	90.0	38.84
05/17/2017	KURTH, DEREK	TRANSAMERICA AA GROWTH C	0.00	26.31	0.00	26.31	90.0	23.68
05/17/2017	KURTH, DEREK	TRANSAMERICA AA GROWTH C	0.00	1.83	0.00	1.83	90.0	1.65
05/17/2017	KURTH, DEREK	TRANSAMERICA AA GROWTH C	0.00	1.83	0.00	1.83	90.0	1.65
05/17/2017	HERNANDEZ-GAGE, VIRGINIA	TRANSAMERICA AA MOD GROWTH C	0.00	4.04	0.00	4.04	90.0	3.64

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<u>BROKER TRANSACTIONS</u>								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS								
05/17/2017	KURTH, DEREK	TRANSAMERICA AA MOD GROWTH C	0.00	6.10	0.00	6.10	90.0	5.49
05/16/2017	LUERSEN, JENNIFER	WELLS FARGO INCOME PLUS A	0.00	2.07	0.00	2.07	90.0	1.86
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *			\$0.00	\$2,140.40	\$0.00	\$2,140.40		\$1,926.50
*** BROKER TRANSACTIONS TOTAL ***			\$1,221,045.61	\$12,437.19	\$114.50	\$12,322.69		\$11,090.60

<u>ADJUSTMENTS</u>								
06/15/2017		*EO INS: CURRENT MONTH INS	0.00					-300.00
06/15/2017		*PERSHING: BOOKS & RECORDS	0.00					-1.50
06/15/2017		*PERSHING: MF PROSPECTUS MAILING	0.00					-2.20
06/15/2017		*PERSHING: UIT PROSPECTUS MAILING	0.00					-17.45
06/15/2017		*TECH: CURRENT MONTH TECH	0.00					-275.00
*** ADJUSTMENTS TOTAL ***			\$0.00	\$0.00	\$0.00	\$0.00		\$-596.15

<u>BROKER COMMISSION TOTALS</u>	
Broker Transactions	\$11,090.60
Split Transactions	\$0.00
Override Transactions	\$0.00
Adjustments	\$-596.15
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$0.00
FINRA Assessment	\$0.00
SIPC Assessment	\$0.00

Check Amount	\$10,494.45
Year-to-date Gross	\$93,315.83
Year-to-date Earnings	\$83,076.47

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