



Concorde Investment Services, LLC
COMMISSION STATEMENT
November 15, 2017

11/13/2017
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
<u>CLEARING TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
11/06/2017	ASPRA, TRISSA	AM FUNDS AMCAP A	75.00	3.19	12.00	-8.81	90.0	-7.93
11/06/2017	ASPRA, TRISSA	AM FUNDS GROWTH FUND OF AMERICA A	75.00	3.19	12.00	-8.81	90.0	-7.93
10/26/2017	HAMITER, DONNIE	AM FUNDS INCOME FUND OF AMERICA A	-10,000.00	22.00	22.00	0.00	90.0	0.00
11/02/2017	LAWHON, JACKIE	AM FUNDS WASHINGTON MUTUAL INVESTOR	-500.00	0.00	12.00	-12.00	90.0	-10.80
* MUTUAL FUNDS SUBTOTAL *			\$-10,350.00	\$28.38	\$58.00	\$-29.62		\$-26.66
<u>PRODUCT CATEGORY: UNIT INVESTMENT TRUSTS</u>								
11/06/2017	STOLLE JR TRUST, ERNEST	FT UNIT 6908 GLOBAL 6908 GLOBAL EQU	25,005.01	500.17	0.00	500.17	90.0	450.15
11/07/2017	LOGHRY, DORIS	FT UNIT 6908 GLOBAL 6908 GLOBAL EQU	22,946.34	458.99	38.00	420.99	90.0	378.89
11/06/2017	STOLLE JR TRUST, ERNEST	FT UNIT 6985 MLP CLOSED END PORTFOL	25,000.47	500.07	0.00	500.07	90.0	450.06
11/07/2017	LOGHRY, DORIS	FT UNIT 6985 MLP CLOSED END PORTFOL	22,947.72	459.02	38.00	421.02	90.0	378.92
* UNIT INVESTMENT TRUSTS SUBTOTAL *			\$95,899.54	\$1,918.25	\$76.00	\$1,842.25		\$1,658.02
*** CLEARING TRANSACTIONS TOTAL ***			\$85,549.54	\$1,946.63	\$134.00	\$1,812.63		\$1,631.36

DIRECT TRANSACTIONS

<u>PRODUCT CATEGORY: 1031 EXCHANGES</u>								
11/09/2017	DAVIDSON, DAVID	INLAND NATIONAL MF PF II DST	30,000.00	1,500.00	0.00	1,500.00	90.0	1,350.00
* 1031 EXCHANGES SUBTOTAL *			\$30,000.00	\$1,500.00	\$0.00	\$1,500.00		\$1,350.00

<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
10/31/2017	ENOCHS, LELAND	AM FUNDS EUROPACIFIC GROWTH FUND A	105.00	2.10	0.00	2.10	90.0	1.89
10/31/2017	ENOCHS, LELAND	AM FUNDS EUROPACIFIC GROWTH FUND A	270.82	5.42	0.00	5.42	90.0	4.88
10/31/2017	ENOCHS, DONNA	AM FUNDS EUROPACIFIC GROWTH FUND A	8.25	0.17	0.00	0.17	90.0	0.15
10/31/2017	ENOCHS, DONNA	AM FUNDS EUROPACIFIC GROWTH FUND A	253.96	5.08	0.00	5.08	90.0	4.57
10/31/2017	ENOCHS, LELAND	AM FUNDS FUNDAMENTAL INVESTORS A	105.00	2.10	0.00	2.10	90.0	1.89
10/31/2017	ENOCHS, LELAND	AM FUNDS FUNDAMENTAL INVESTORS A	270.84	5.42	0.00	5.42	90.0	4.88

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
10/31/2017	ENOCHS, DONNA	AM FUNDS FUNDAMENTAL INVESTORS A	8.25	0.17	0.00	0.17	90.0	0.15
10/31/2017	ENOCHS, DONNA	AM FUNDS FUNDAMENTAL INVESTORS A	253.96	5.08	0.00	5.08	90.0	4.57
10/27/2017	OHE, EUGENIA	AM FUNDS GROWTH FUND OF AMERICA 529	100.00	2.75	0.00	2.75	90.0	2.48
10/27/2017	OHE, EUGENIA	AM FUNDS GROWTH FUND OF AMERICA 529	100.00	2.75	0.00	2.75	90.0	2.48
10/31/2017	ENOCHS, LELAND	AM FUNDS GROWTH FUND OF AMERICA A	105.00	2.10	0.00	2.10	90.0	1.89
10/31/2017	ENOCHS, LELAND	AM FUNDS GROWTH FUND OF AMERICA A	270.84	5.42	0.00	5.42	90.0	4.88
10/31/2017	BRUECKNER, KIMBERLY	AM FUNDS GROWTH FUND OF AMERICA A	325.00	3.90	0.00	3.90	90.0	3.51
10/31/2017	ENOCHS, DONNA	AM FUNDS GROWTH FUND OF AMERICA A	8.25	0.17	0.00	0.17	90.0	0.15
10/31/2017	ENOCHS, DONNA	AM FUNDS GROWTH FUND OF AMERICA A	253.96	5.08	0.00	5.08	90.0	4.57
10/31/2017	ENOCHS, LELAND	AM FUNDS WASHINGTON MUTUAL INVESTOR	105.00	2.10	0.00	2.10	90.0	1.89
10/31/2017	ENOCHS, LELAND	AM FUNDS WASHINGTON MUTUAL INVESTOR	270.84	5.42	0.00	5.42	90.0	4.88
10/31/2017	ENOCHS, DONNA	AM FUNDS WASHINGTON MUTUAL INVESTOR	8.25	0.17	0.00	0.17	90.0	0.15
10/31/2017	ENOCHS, DONNA	AM FUNDS WASHINGTON MUTUAL INVESTOR	253.97	5.08	0.00	5.08	90.0	4.57
/ /	MICHNA JT TEN WROS, JIMMY	HARTFORD CAPITAL APPRECIATION A	0.00	3.01	0.00	3.01	90.0	2.71
/ /	EWING, JOHN	HARTFORD GROWTH ALLOCATION A	0.00	0.61	0.00	0.61	90.0	0.55
/ /	SMITH, MARLO	HARTFORD GROWTH ALLOCATION A	0.00	1.44	0.00	1.44	90.0	1.30
/ /	MICHNA JT TEN WROS, JIMMY	HARTFORD MIDCAP A	0.00	0.46	0.00	0.46	90.0	0.41
* MUTUAL FUNDS SUBTOTAL *			\$3,077.19	\$66.00	\$0.00	\$66.00		\$59.40
<u>PRODUCT CATEGORY: VARIABLE ANNUITIES</u>								
11/03/2017	KELLEY, DOLORES	AM GEN POLIRIS II FLEXIBLE	2,851.97	2.85	0.00	2.85	90.0	2.57
10/31/2017	MASON, JOHN	JNL PERSPECTIVE ADV II 5/05	453,658.96	378.05	0.00	378.05	90.0	340.25
10/31/2017	MASON, JOHN	JNL PERSPECTIVE L	451,238.52	376.03	0.00	376.03	90.0	338.43
10/31/2017	PEMBERTON, PATRICIA	JOHN HANCOCK VENTURE	19,141.74	3.99	0.00	3.99	90.0	3.59
10/25/2017	ZRUBEK, EUGENE	METLIFE INVESTORS FRONT END LOAD	156,531.24	391.33	0.00	391.33	90.0	352.20
* VARIABLE ANNUITIES SUBTOTAL *			\$1,083,422.43	\$1,152.25	\$0.00	\$1,152.25		\$1,037.04
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
10/19/2017	BUROW, PAUL	ALLIANCEBERNSTEIN INTL VALUE A	0.00	0.91	0.00	0.91	90.0	0.82
10/13/2017	WIESNER, BETTY	AM CENT EQUITY INCOME	0.00	2.98	0.00	2.98	90.0	2.68
10/19/2017	ROSENTHAL, LUCILLE	AM FUNDS AMCAP A	0.00	11.86	0.00	11.86	90.0	10.67
10/19/2017	LUEDTKE, LOIS	AM FUNDS AMCAP A	0.00	11.93	0.00	11.93	90.0	10.74
10/19/2017	ASPRA, TRISSA	AM FUNDS AMCAP A	0.00	2.58	0.00	2.58	90.0	2.32
10/19/2017	NMN & NJN MGMT TRUST	AM FUNDS AMCAP A	0.00	1.57	0.00	1.57	90.0	1.41

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
10/19/2017	MICHNA, RHYS	AM FUNDS AMCAP A	0.00	1.30	0.00	1.30	90.0	1.17
10/19/2017	SCOTT, MONYEAN	AM FUNDS AMCAP A	0.00	27.16	0.00	27.16	90.0	24.44
10/19/2017	SPECKELS, MELBA	AM FUNDS AMERICAN BALANCED A	0.00	1.23	0.00	1.23	90.0	1.11
10/19/2017	FUESSEL, NORMAN	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	3.27	0.00	3.27	90.0	2.94
10/19/2017	FUESSEL NE & NA TR, NORMAN	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	34.17	0.00	34.17	90.0	30.75
10/19/2017	SPECKELS, MELBA	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	1.59	0.00	1.59	90.0	1.43
10/19/2017	ROSENTHAL, LUCILLE	AM FUNDS AMERICAN MUTUAL A	0.00	18.15	0.00	18.15	90.0	16.34
10/19/2017	FUESSEL IRREV TR, NORMAN	AM FUNDS AMERICAN MUTUAL A	0.00	8.36	0.00	8.36	90.0	7.52
10/19/2017	NMN & NJN MGMT TRUST	AM FUNDS AMERICAN MUTUAL A	0.00	0.96	0.00	0.96	90.0	0.86
10/19/2017	SCOTT, MONYEAN	AM FUNDS AMERICAN MUTUAL A	0.00	23.48	0.00	23.48	90.0	21.13
10/19/2017	IVICIC, MARY	AM FUNDS AMERICAN MUTUAL A	0.00	2.76	0.00	2.76	90.0	2.48
10/19/2017	CHEATHAM, JIMMY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	11.08	0.00	11.08	90.0	9.97
10/19/2017	PRAESEL, ARTHUR	AM FUNDS CAPITAL INCOME BUILDER A	0.00	21.44	0.00	21.44	90.0	19.30
10/19/2017	ROSENTHAL, LUCILLE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	33.04	0.00	33.04	90.0	29.74
10/19/2017	FUESSEL, NORMAN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	20.36	0.00	20.36	90.0	18.32
10/19/2017	FUESSEL NE & NA TR, NORMAN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	18.61	0.00	18.61	90.0	16.75
10/19/2017	BRUECKNER, KIMBERLY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	5.32	0.00	5.32	90.0	4.79
10/19/2017	KELLEY, DOLORES	AM FUNDS CAPITAL INCOME BUILDER A	0.00	6.18	0.00	6.18	90.0	5.56
10/19/2017	LOGHRY, DORIS	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.06	0.00	0.06	90.0	0.05
10/19/2017	PEKAR, DAVID	AM FUNDS CAPITAL INCOME BUILDER A	0.00	7.64	0.00	7.64	90.0	6.88
10/19/2017	SPECKELS, WARREN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.36	0.00	1.36	90.0	1.22
10/19/2017	SPECKELS, MELBA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	2.02	0.00	2.02	90.0	1.82
10/19/2017	BRANSON, BARBARA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	3.22	0.00	3.22	90.0	2.90
10/19/2017	MORRIS, JANINE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	9.08	0.00	9.08	90.0	8.17
10/19/2017	SCOTT, MONYEAN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	21.19	0.00	21.19	90.0	19.07
10/19/2017	URBAN, LONNIE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.50	0.00	1.50	90.0	1.35
10/19/2017	MOORE, TERRY	AM FUNDS CAPITAL INCOME BUILDER C	0.00	32.79	0.00	32.79	90.0	29.51
10/19/2017	ROSENTHAL, LUCILLE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	30.74	0.00	30.74	90.0	27.67
10/19/2017	FUESSEL IRREV TR, NORMAN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	8.55	0.00	8.55	90.0	7.70
10/19/2017	BRUECKNER, KIMBERLY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	15.03	0.00	15.03	90.0	13.53
10/19/2017	KELLEY, DOLORES	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	5.03	0.00	5.03	90.0	4.53
10/19/2017	NMN & NJN MGMT TRUST	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.14	0.00	1.14	90.0	1.03
10/19/2017	SCOTT, MONYEAN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	30.80	0.00	30.80	90.0	27.72

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
10/19/2017	HOHMAN, JEROME	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	8.96	0.00	8.96	90.0	8.06
10/19/2017	DROMGOOLE, NONA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	6.16	0.00	6.16	90.0	5.54
10/19/2017	URBAN, LONNIE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.67	0.00	1.67	90.0	1.50
10/19/2017	IVICIC, MARY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.29	0.00	1.29	90.0	1.16
10/19/2017	FUESSEL NE & NA TR, NORMAN	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	18.46	0.00	18.46	90.0	16.61
10/19/2017	LUEDTKE, LOIS	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	17.39	0.00	17.39	90.0	15.65
10/19/2017	KELLEY, DOLORES	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	4.48	0.00	4.48	90.0	4.03
10/19/2017	ROSENTHAL, LUCILLE	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	38.13	0.00	38.13	90.0	34.32
10/19/2017	BRUECKNER, KIMBERLY	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	19.05	0.00	19.05	90.0	17.15
10/19/2017	NMN & NJN MGMT TRUST	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.54	0.00	1.54	90.0	1.39
10/19/2017	SCOTT, MONYUAN	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	38.64	0.00	38.64	90.0	34.78
10/19/2017	DROMGOOLE, NONA	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	7.26	0.00	7.26	90.0	6.53
10/19/2017	EWING LIVING TRUST, JACK &	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	6.92	0.00	6.92	90.0	6.23
10/19/2017	IVICIC, MARY	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	3.46	0.00	3.46	90.0	3.11
10/19/2017	ROSENTHAL, LUCILLE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	12.68	0.00	12.68	90.0	11.41
10/19/2017	FUESSEL IRREV TR, NORMAN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	50.62	0.00	50.62	90.0	45.56
10/19/2017	LUEDTKE, LOIS	AM FUNDS GROWTH FUND OF AMERICA A	0.00	37.15	0.00	37.15	90.0	33.44
10/19/2017	ASPRA, TRISSA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	2.81	0.00	2.81	90.0	2.53
10/19/2017	BRUECKNER, KIMBERLY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	19.42	0.00	19.42	90.0	17.48
10/19/2017	ROSIPAL, HERBERT	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.12	0.00	0.12	90.0	0.11
10/19/2017	KELLEY, DOLORES	AM FUNDS GROWTH FUND OF AMERICA A	0.00	5.71	0.00	5.71	90.0	5.14
10/19/2017	LAWHON, JACKIE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.38	0.00	0.38	90.0	0.34
10/19/2017	NMN & NJN MGMT TRUST	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.55	0.00	1.55	90.0	1.40
10/19/2017	BORGNE JR, ROBERT	AM FUNDS GROWTH FUND OF AMERICA A	0.00	6.64	0.00	6.64	90.0	5.98
10/19/2017	LAWHON, STEVEN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	6.74	0.00	6.74	90.0	6.07
10/19/2017	SPECKELS, WARREN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	2.03	0.00	2.03	90.0	1.83
10/19/2017	MICHNA, RHYS	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.30	0.00	1.30	90.0	1.17
10/19/2017	MORRIS, JANINE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	18.50	0.00	18.50	90.0	16.65
10/19/2017	SCOTT, MONYUAN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	39.76	0.00	39.76	90.0	35.78
10/19/2017	LAWHON, BRAEDEN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.85	0.00	0.85	90.0	0.77
10/19/2017	DROMGOOLE, NONA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	7.43	0.00	7.43	90.0	6.69
10/19/2017	MOORE, TERRY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	2.22	0.00	2.22	90.0	2.00
10/19/2017	OHE, DRAKE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.19	0.00	1.19	90.0	1.07

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
10/19/2017	OHE, EUGENIA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.79	0.00	0.79	90.0	0.71
10/19/2017	URBAN, LONNIE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	2.11	0.00	2.11	90.0	1.90
10/19/2017	LAWHON, MAISEN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.59	0.00	0.59	90.0	0.53
10/19/2017	IVICIC, MARY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	3.12	0.00	3.12	90.0	2.81
10/19/2017	DROMGOOLE, NONA	AM FUNDS ICA A	0.00	6.02	0.00	6.02	90.0	5.42
10/19/2017	EWING JR, JACK	AM FUNDS ICA A	0.00	8.74	0.00	8.74	90.0	7.87
10/19/2017	CHEATHAM, JIMMY	AM FUNDS INCOME FUND OF AMERICA A	0.00	10.64	0.00	10.64	90.0	9.58
10/19/2017	PRAESEL, ARTHUR	AM FUNDS INCOME FUND OF AMERICA A	0.00	25.70	0.00	25.70	90.0	23.13
10/19/2017	ROSENTHAL, LUCILLE	AM FUNDS INCOME FUND OF AMERICA A	0.00	38.36	0.00	38.36	90.0	34.52
10/19/2017	FUESSEL, NORMAN	AM FUNDS INCOME FUND OF AMERICA A	0.00	19.54	0.00	19.54	90.0	17.59
10/19/2017	FUESSEL NE & NA TR, NORMAN	AM FUNDS INCOME FUND OF AMERICA A	0.00	17.41	0.00	17.41	90.0	15.67
10/19/2017	BRUECKNER, KIMBERLY	AM FUNDS INCOME FUND OF AMERICA A	0.00	10.33	0.00	10.33	90.0	9.30
10/19/2017	KELLEY, DOLORES	AM FUNDS INCOME FUND OF AMERICA A	0.00	4.94	0.00	4.94	90.0	4.45
10/19/2017	SPECKELS, MELBA	AM FUNDS INCOME FUND OF AMERICA A	0.00	1.97	0.00	1.97	90.0	1.77
10/19/2017	FISCHER, HAROLD	AM FUNDS INCOME FUND OF AMERICA A	0.00	1.59	0.00	1.59	90.0	1.43
10/19/2017	HAMITER, DONNIE	AM FUNDS INCOME FUND OF AMERICA A	0.00	10.39	0.00	10.39	90.0	9.35
10/19/2017	MORRIS, JANINE	AM FUNDS INCOME FUND OF AMERICA A	0.00	13.43	0.00	13.43	90.0	12.09
10/19/2017	SCOTT, MONYUAN	AM FUNDS INCOME FUND OF AMERICA A	0.00	27.85	0.00	27.85	90.0	25.07
10/19/2017	KLEMT, RUTH	AM FUNDS INCOME FUND OF AMERICA A	0.00	1.78	0.00	1.78	90.0	1.60
10/19/2017	WILSON, MARY	AM FUNDS INCOME FUND OF AMERICA A	0.00	4.96	0.00	4.96	90.0	4.46
10/19/2017	EWING LIVING TRUST, JACK &	AM FUNDS INCOME FUND OF AMERICA A	0.00	16.04	0.00	16.04	90.0	14.44
10/19/2017	KETTLE, MARVIN	AM FUNDS INCOME FUND OF AMERICA A	0.00	3.62	0.00	3.62	90.0	3.26
10/19/2017	NMN & NJN MGMT TRUST	AM FUNDS INTL GROWTH AND INCOME A	0.00	0.62	0.00	0.62	90.0	0.56
10/19/2017	DROMGOOLE, NONA	AM FUNDS INTL GROWTH AND INCOME A	0.00	4.80	0.00	4.80	90.0	4.32
10/19/2017	BRUECKNER, KIMBERLY	AM FUNDS NEW ECONOMY A	0.00	14.12	0.00	14.12	90.0	12.71
10/19/2017	WILSON, MARY	AM FUNDS NEW ECONOMY A	0.00	11.62	0.00	11.62	90.0	10.46
10/19/2017	BRUECKNER, KIMBERLY	AM FUNDS NEW PERSPECTIVE A	0.00	12.02	0.00	12.02	90.0	10.82
10/19/2017	MORRIS, JANINE	AM FUNDS NEW PERSPECTIVE A	0.00	20.36	0.00	20.36	90.0	18.32
10/19/2017	SCOTT, MONYUAN	AM FUNDS NEW PERSPECTIVE A	0.00	36.22	0.00	36.22	90.0	32.60
10/19/2017	NMN & NJN MGMT TRUST	AM FUNDS NEW WORLD A	0.00	0.32	0.00	0.32	90.0	0.29
10/19/2017	DROMGOOLE, NONA	AM FUNDS NEW WORLD A	0.00	4.69	0.00	4.69	90.0	4.22
10/19/2017	BRUECKNER, KIMBERLY	AM FUNDS SMALLCAP WORLD A	0.00	10.61	0.00	10.61	90.0	9.55
10/19/2017	NMN & NJN MGMT TRUST	AM FUNDS SMALLCAP WORLD A	0.00	1.37	0.00	1.37	90.0	1.23

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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>								
10/19/2017	DROMGOOLE, NONA	AM FUNDS SMALLCAP WORLD A	0.00	1.73	0.00	1.73	90.0	1.56
10/19/2017	FUESSEL, NORMAN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	15.19	0.00	15.19	90.0	13.67
10/19/2017	FUESSEL IRREV TR, NORMAN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	8.24	0.00	8.24	90.0	7.42
10/19/2017	FUESSEL NE & NA TR, NORMAN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	64.79	0.00	64.79	90.0	58.31
10/19/2017	BRUECKNER, KIMBERLY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	12.00	0.00	12.00	90.0	10.80
10/19/2017	KORNEGAY, ALISA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.30	0.00	0.30	90.0	0.27
10/19/2017	KELLEY, DOLORES	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	8.16	0.00	8.16	90.0	7.34
10/19/2017	LAWHON, JACKIE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	46.69	0.00	46.69	90.0	42.02
10/19/2017	SPECKELS, WARREN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	2.58	0.00	2.58	90.0	2.32
10/19/2017	SPECKELS, MELBA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.74	0.00	1.74	90.0	1.57
10/19/2017	SPECKELS, MELBA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.58	0.00	1.58	90.0	1.42
10/19/2017	GILLIGAN, DOROTHY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	7.21	0.00	7.21	90.0	6.49
10/19/2017	STOLTE, VERNALINE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.58	0.00	0.58	90.0	0.52
10/19/2017	MORRIS, JANINE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	19.44	0.00	19.44	90.0	17.50
10/19/2017	SMITH, MICHAEL	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.42	0.00	1.42	90.0	1.28
10/19/2017	BUROW, PAUL	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.39	0.00	1.39	90.0	1.25
10/19/2017	DALJO LTD PT	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	30.68	0.00	30.68	90.0	27.61
10/19/2017	HOHMAN, JEROME	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	5.54	0.00	5.54	90.0	4.99
10/19/2017	WILSON, MARY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	17.17	0.00	17.17	90.0	15.45
10/19/2017	WIESNER, BETTY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	3.55	0.00	3.55	90.0	3.20
10/19/2017	EWING LIVING TRUST, JACK &	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	23.73	0.00	23.73	90.0	21.36
10/19/2017	URBAN, LONNIE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.92	0.00	1.92	90.0	1.73
10/19/2017	IVICIC, MARY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	3.48	0.00	3.48	90.0	3.13
10/27/2017	EWING JR, JACK	BLK GLOBAL ALLOCATION C	0.00	15.95	0.00	15.95	90.0	14.36
10/27/2017	EWING LIVING TRUST, JACK &	BLK GLOBAL ALLOCATION C	0.00	57.18	0.00	57.18	90.0	51.46
10/20/2017	SMITH, JUDY	CALAMOS GROWTH C	0.00	34.97	0.00	34.97	90.0	31.47
10/13/2017	KETTLE, MARVIN	CLEARBRIDGE AGGRESSIVE	0.00	3.60	0.00	3.60	90.0	3.24
10/13/2017	KETTLE, MARVIN	CLEARBRIDGE APPRECIATION FUND CLASS	0.00	1.97	0.00	1.97	90.0	1.77
10/13/2017	PEMBERTON, PATRICIA	CLEARBRIDGE SMALL CAP GROWTH FUND C	0.00	4.03	0.00	4.03	90.0	3.63
10/17/2017	WIESNER, BETTY	COLUMBIA ACORN A	0.00	1.61	0.00	1.61	90.0	1.45
10/17/2017	MCELROY, BENNETT	COLUMBIA MARSICO FOCUSED EQUITIES F	0.00	9.09	0.00	9.09	90.0	8.18
10/17/2017	CHEATHAM, JIMMY	FEDERATED CLOVER VALUE A	0.00	1.81	0.00	1.81	90.0	1.63
10/17/2017	CHEATHAM, JIMMY	FEDERATED EQUITY INCOME A	0.00	9.62	0.00	9.62	90.0	8.66

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
10/17/2017	CHEATHAM, JIMMY	FEDERATED KAUFMANN FUND A	0.00	2.53	0.00	2.53	90.0	2.28
10/17/2017	CHEATHAM, JIMMY	FEDERATED MDT MID CAP GROWTH STRATE	0.00	3.02	0.00	3.02	90.0	2.72
10/20/2017	ESCHBERGER TRUST, JACK & AGNES	FIDELITY ADV NEW INSIGHTS-CL A	0.00	0.64	0.00	0.64	90.0	0.58
10/20/2017	NMN & NUN MGMT TRUST	FIDELITY ADV NEW INSIGHTS-CL A	0.00	1.49	0.00	1.49	90.0	1.34
10/20/2017	NAIZER TRUST, NOLAN	FIDELITY ADV NEW INSIGHTS-CL A	0.00	0.34	0.00	0.34	90.0	0.31
10/20/2017	NAIZER TRUST, NOEL	FIDELITY ADV NEW INSIGHTS-CL A	0.00	0.22	0.00	0.22	90.0	0.20
10/20/2017	WIESNER, BETTY	FIDELITY ADV NEW INSIGHTS-CL A	0.00	3.49	0.00	3.49	90.0	3.14
10/20/2017	MCELROY, BENNETT	FIDELITY ADV STRATEGIC INCOME A	0.00	4.00	0.00	4.00	90.0	3.60
10/23/2017	COOPER, ADAM	FRANKLIN MUTUAL GLOBAL DISCOVERY A	0.00	3.82	0.00	3.82	90.0	3.44
10/23/2017	COOPER, ADAM	FRANKLIN MUTUAL GLOBAL DISCOVERY A	0.00	5.55	0.00	5.55	90.0	5.00
10/23/2017	COOPER, ADAM	FRANKLIN MUTUAL QUEST A	0.00	5.39	0.00	5.39	90.0	4.85
10/23/2017	COOPER, ADAM	FRANKLIN RISING DIVIDENDS A	0.00	5.13	0.00	5.13	90.0	4.62
10/18/2017	ENOCHS, LELAND	GOLDMAN SACHS CAPITAL GROWTH FUND C	0.00	9.53	0.00	9.53	90.0	8.58
10/18/2017	ENOCHS, LELAND	GOLDMAN SACHS FOCUSED INTL EQUITY F	0.00	2.74	0.00	2.74	90.0	2.47
10/18/2017	HAMITER, DONNIE	GOLDMAN SACHS SMALL CAP VALUE FUND-	0.00	0.62	0.00	0.62	90.0	0.56
10/18/2017	STOLTE, VERNALINE	GOLDMAN SACHS U.S. EQUITY INSIGHTS	0.00	0.31	0.00	0.31	90.0	0.28
10/18/2017	BURKHART, KRISTI	GOLDMAN SACHS U.S. EQUITY INSIGHTS	0.00	1.62	0.00	1.62	90.0	1.46
10/18/2017	FUESSEL IRREV TR, NORMAN	GRIFFIN INSTITUTIONAL ACCESS REAL E	0.00	13.62	0.00	13.62	90.0	12.26
10/18/2017	MCRIGHT, WILLIAM	GRIFFIN INSTITUTIONAL ACCESS REAL E	0.00	1.54	0.00	1.54	90.0	1.39
10/18/2017	MCRIGHT, BETTY	GRIFFIN INSTITUTIONAL ACCESS REAL E	0.00	0.58	0.00	0.58	90.0	0.52
10/18/2017	BELL, EDDY	GRIFFIN INSTITUTIONAL ACCESS REAL E	0.00	2.96	0.00	2.96	90.0	2.66
10/18/2017	BELL, EDDY	GRIFFIN INSTITUTIONAL ACCESS REAL E	0.00	3.00	0.00	3.00	90.0	2.70
10/18/2017	BELL, PATTI	GRIFFIN INSTITUTIONAL ACCESS REAL E	0.00	1.36	0.00	1.36	90.0	1.22
10/18/2017	STAGNER TRUST, JAMES	GRIFFIN INSTITUTIONAL ACCESS REAL E	0.00	6.77	0.00	6.77	90.0	6.09
10/18/2017	PAULSEN, ROGER	GRIFFIN INSTITUTIONAL ACCESS REAL E	0.00	7.34	0.00	7.34	90.0	6.61
10/18/2017	BAGGETT, PETE	GRIFFIN INSTITUTIONAL ACCESS REAL E	0.00	7.09	0.00	7.09	90.0	6.38
10/18/2017	BAGGETT, JARROD	GRIFFIN INSTITUTIONAL ACCESS REAL E	0.00	3.05	0.00	3.05	90.0	2.75
10/18/2017	LUERSEN, JENNIFER	GRIFFIN INSTITUTIONAL ACCESS REAL E	0.00	10.16	0.00	10.16	90.0	9.14
10/17/2017	CHEATHAM, JIMMY	HARTFORD BALANCED A	0.00	0.89	0.00	0.89	90.0	0.80
10/17/2017	FLEMING, JERRY	HARTFORD BALANCED A	0.00	1.50	0.00	1.50	90.0	1.35
10/17/2017	RAESZ TTEE, BARBARA	HARTFORD BALANCED ALLOCATION A	0.00	3.90	0.00	3.90	90.0	3.51
10/17/2017	RAESZ TTEE, BARBARA	HARTFORD BALANCED ALLOCATION A	0.00	2.04	0.00	2.04	90.0	1.84
10/17/2017	TAISLER, JESSE	HARTFORD CAPITAL APP II A	0.00	1.69	0.00	1.69	90.0	1.52

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
10/17/2017	MASON, ELEANOR	HARTFORD CAPITAL APP II A	0.00	1.15	0.00	1.15	90.0	1.04
10/17/2017	SCOTT, MONYUAN	HARTFORD CAPITAL APP II A	0.00	15.95	0.00	15.95	90.0	14.36
10/17/2017	CHEATHAM, JIMMY	HARTFORD CAPITAL APPRECIATION A	0.00	9.64	0.00	9.64	90.0	8.68
10/17/2017	ROSENTHAL, LUCILLE	HARTFORD CAPITAL APPRECIATION A	0.00	11.30	0.00	11.30	90.0	10.17
10/17/2017	BRUECKNER, KIMBERLY	HARTFORD CAPITAL APPRECIATION A	0.00	12.83	0.00	12.83	90.0	11.55
10/17/2017	HAMANN, LARRY	HARTFORD CAPITAL APPRECIATION A	0.00	9.41	0.00	9.41	90.0	8.47
10/17/2017	FLEMING, JERRY	HARTFORD CAPITAL APPRECIATION A	0.00	5.75	0.00	5.75	90.0	5.18
10/17/2017	TAISLER, JESSE	HARTFORD CAPITAL APPRECIATION A	0.00	1.24	0.00	1.24	90.0	1.12
10/17/2017	MOORE, TERRY	HARTFORD CAPITAL APPRECIATION C	0.00	24.24	0.00	24.24	90.0	21.82
10/17/2017	CHEATHAM, JIMMY	HARTFORD DIVIDEND & GROWTH A	0.00	4.68	0.00	4.68	90.0	4.21
10/17/2017	BRUECKNER, KIMBERLY	HARTFORD DIVIDEND & GROWTH A	0.00	5.39	0.00	5.39	90.0	4.85
10/17/2017	HAMANN, LARRY	HARTFORD DIVIDEND & GROWTH A	0.00	4.08	0.00	4.08	90.0	3.67
10/17/2017	FLEMING, JERRY	HARTFORD DIVIDEND & GROWTH A	0.00	4.98	0.00	4.98	90.0	4.48
10/17/2017	TAISLER, JESSE	HARTFORD DIVIDEND & GROWTH A	0.00	1.87	0.00	1.87	90.0	1.68
10/17/2017	RAESZ TTEE, BARBARA	HARTFORD GROWTH ALLOCATION A	0.00	3.79	0.00	3.79	90.0	3.41
10/17/2017	RAESZ TTEE, BARBARA	HARTFORD GROWTH ALLOCATION A	0.00	2.09	0.00	2.09	90.0	1.88
10/17/2017	EWING, JOHN	HARTFORD GROWTH ALLOCATION A	0.00	0.84	0.00	0.84	90.0	0.76
10/17/2017	ROSENTHAL, LUCILLE	HARTFORD GROWTH OPP A	0.00	10.90	0.00	10.90	90.0	9.81
10/17/2017	SCOTT, MONYUAN	HARTFORD GROWTH OPP A	0.00	18.98	0.00	18.98	90.0	17.08
10/17/2017	ROSENTHAL, LUCILLE	HARTFORD INT'L GROWTH A	0.00	7.17	0.00	7.17	90.0	6.45
10/17/2017	CHEATHAM, JIMMY	HARTFORD MIDCAP A	0.00	6.87	0.00	6.87	90.0	6.18
10/17/2017	FLEMING, JERRY	HARTFORD MIDCAP A	0.00	6.03	0.00	6.03	90.0	5.43
10/17/2017	ROSENTHAL, LUCILLE	HARTFORD MIDCAP VALUE A	0.00	12.31	0.00	12.31	90.0	11.08
10/17/2017	MASON, ELEANOR	HARTFORD MIDCAP VALUE A	0.00	0.74	0.00	0.74	90.0	0.67
10/17/2017	BRUECKNER, KIMBERLY	HARTFORD SMALL-COMPANY FUND CLASS A	0.00	5.45	0.00	5.45	90.0	4.91
10/17/2017	TAISLER, JESSE	HARTFORD VALUE OPPORTUNITY FUND CLA	0.00	1.85	0.00	1.85	90.0	1.67
10/17/2017	MASON, ELEANOR	HARTFUND EQUITY INCIME FUND A	0.00	0.65	0.00	0.65	90.0	0.59
10/04/2017	BEEMAN, MICHAEL	HIGHLAND FLOATING RATE OPPORTUNITIE	0.00	0.63	0.00	0.63	90.0	0.57
10/18/2017	BEEMAN, MICHAEL	HIGHLAND FLOATING RATE OPPORTUNITIE	0.00	0.62	0.00	0.62	90.0	0.56
10/30/2017	ENOCHS, LELAND	INVESCO AMERICAN FRANCHISE A	0.00	7.88	0.00	7.88	90.0	7.09
10/30/2017	EWING JR, JACK	INVESCO ASIA PACIFIC GROWTH A	0.00	22.34	0.00	22.34	90.0	20.11
10/30/2017	ENOCHS, LELAND	INVESCO CHARTER FUND A	0.00	9.19	0.00	9.19	90.0	8.27
10/30/2017	WILSON, MARY	INVESCO CHARTER FUND A	0.00	50.64	0.00	50.64	90.0	45.58

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
10/30/2017	SMITH, MICHAEL	INVESCO CORPORATE BOND A	0.00	1.19	0.00	1.19	90.0	1.07
10/30/2017	EWING JR, JACK	INVESCO DEVELOPING MARKETS A	0.00	19.23	0.00	19.23	90.0	17.31
10/11/2017	ESCHBERGER TRUST, JACK & AGNES	IVY INTERNATIONAL CORE EQUITY FUND	0.00	2.23	0.00	2.23	90.0	2.01
10/11/2017	ROSENTHAL, LUCILLE	IVY INTERNATIONAL CORE EQUITY FUND	0.00	0.96	0.00	0.96	90.0	0.86
10/11/2017	SCARBOROUGH, ROBERT	IVY INTERNATIONAL CORE EQUITY FUND	0.00	1.40	0.00	1.40	90.0	1.26
10/11/2017	NAIZER TRUST, NOLAN	IVY INTERNATIONAL CORE EQUITY FUND	0.00	1.04	0.00	1.04	90.0	0.94
10/11/2017	NAIZER TRUST, NOEL	IVY INTERNATIONAL CORE EQUITY FUND	0.00	0.38	0.00	0.38	90.0	0.34
10/11/2017	OLSON, DALE	IVY INTERNATIONAL CORE EQUITY FUND	0.00	4.64	0.00	4.64	90.0	4.18
10/11/2017	KETTLE, MARVIN	IVY INTERNATIONAL CORE EQUITY FUND	0.00	1.37	0.00	1.37	90.0	1.23
10/13/2017	ESCHBERGER TRUST, JACK & AGNES	JH DISCIPLINED VALUE A	0.00	1.20	0.00	1.20	90.0	1.08
10/13/2017	ROSENTHAL, LUCILLE	JH DISCIPLINED VALUE A	0.00	0.61	0.00	0.61	90.0	0.55
10/13/2017	SCARBOROUGH, ROBERT	JH DISCIPLINED VALUE A	0.00	0.95	0.00	0.95	90.0	0.86
10/13/2017	NMN & NUN MGMT TRUST	JH DISCIPLINED VALUE A	0.00	2.93	0.00	2.93	90.0	2.64
10/13/2017	NAIZER TRUST, NOLAN	JH DISCIPLINED VALUE A	0.00	0.55	0.00	0.55	90.0	0.50
10/13/2017	NAIZER TRUST, NOEL	JH DISCIPLINED VALUE A	0.00	0.40	0.00	0.40	90.0	0.36
10/13/2017	OLSON, DALE	JH DISCIPLINED VALUE A	0.00	2.35	0.00	2.35	90.0	2.12
10/13/2017	KETTLE, MARVIN	JH DISCIPLINED VALUE A	0.00	1.03	0.00	1.03	90.0	0.93
10/13/2017	MCELROY, BENNETT	JH STRATEGIC INCOME A	0.00	4.00	0.00	4.00	90.0	3.60
10/13/2017	SCARBOROUGH, ROBERT	JOHN HANCOCK GLOBAL ABSOLUTE RETURN	0.00	0.70	0.00	0.70	90.0	0.63
10/13/2017	NMN & NUN MGMT TRUST	JOHN HANCOCK GLOBAL ABSOLUTE RETURN	0.00	1.72	0.00	1.72	90.0	1.55
10/13/2017	NAIZER TRUST, NOLAN	JOHN HANCOCK GLOBAL ABSOLUTE RETURN	0.00	0.09	0.00	0.09	90.0	0.08
10/13/2017	NAIZER TRUST, NOEL	JOHN HANCOCK GLOBAL ABSOLUTE RETURN	0.00	0.18	0.00	0.18	90.0	0.16
10/13/2017	OLSON, DALE	JOHN HANCOCK GLOBAL ABSOLUTE RETURN	0.00	0.53	0.00	0.53	90.0	0.48
10/13/2017	MASON, JOHN	JOHN HANCOCK GLOBAL ABSOLUTE RETURN	0.00	5.89	0.00	5.89	90.0	5.30
10/13/2017	KETTLE, MARVIN	JOHN HANCOCK GLOBAL ABSOLUTE RETURN	0.00	0.34	0.00	0.34	90.0	0.31
10/13/2017	KETTLE, MARVIN	LEGG MASON CLEARBRIDGE FUNDAMENTAL	0.00	3.10	0.00	3.10	90.0	2.79
10/20/2017	CHEATHAM, JIMMY	LORD ABBETT AFFILIATED A	0.00	1.76	0.00	1.76	90.0	1.58
10/20/2017	SPECKELS, MELBA	LORD ABBETT AFFILIATED A	0.00	0.76	0.00	0.76	90.0	0.68
10/20/2017	CHEATHAM, JIMMY	LORD ABBETT ALPHA STRATEGY A	0.00	3.77	0.00	3.77	90.0	3.39
10/20/2017	FUESSEL NE & NA TR, NORMAN	LORD ABBETT BOND DEBENTURE A	0.00	6.03	0.00	6.03	90.0	5.43
10/20/2017	CHEATHAM, JIMMY	LORD ABBETT CALIBRATED DIVIDEND GRO	0.00	2.18	0.00	2.18	90.0	1.96
10/20/2017	FUESSEL IRREV TR, NORMAN	LORD ABBETT CALIBRATED DIVIDEND GRO	0.00	11.71	0.00	11.71	90.0	10.54
10/20/2017	BRUECKNER, KIMBERLY	LORD ABBETT CALIBRATED DIVIDEND GRO	0.00	7.68	0.00	7.68	90.0	6.91

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
10/20/2017	SPECKELS, MELBA	LORD ABBETT CALIBRATED DIVIDEND GRO	0.00	0.92	0.00	0.92	90.0	0.83
10/20/2017	CHEATHAM, JIMMY	LORD ABBETT DEVELOPING GROWTH A	0.00	3.68	0.00	3.68	90.0	3.31
10/20/2017	FUESSEL IRREV TR, NORMAN	LORD ABBETT DEVELOPING GROWTH A	0.00	13.43	0.00	13.43	90.0	12.09
10/20/2017	BRUECKNER, KIMBERLY	LORD ABBETT FUNDAMENTAL EQUITY A	0.00	10.04	0.00	10.04	90.0	9.04
10/20/2017	SPECKELS, MELBA	LORD ABBETT FUNDAMENTAL EQUITY A	0.00	0.75	0.00	0.75	90.0	0.68
10/20/2017	SPECKELS, MELBA	LORD ABBETT GROWTH OPPORTUNITIES FU	0.00	0.59	0.00	0.59	90.0	0.53
10/20/2017	STAGNER TRUST, JAMES	LORD ABBETT INVT TR FLTG RATE A	0.00	6.51	0.00	6.51	90.0	5.86
10/20/2017	CHEATHAM, JIMMY	LORD ABBETT MID CAP STOCK A	0.00	7.02	0.00	7.02	90.0	6.32
10/20/2017	FUESSEL IRREV TR, NORMAN	LORD ABBETT MID CAP STOCK A	0.00	16.65	0.00	16.65	90.0	14.99
10/20/2017	BRUECKNER, KIMBERLY	LORD ABBETT MID CAP STOCK A	0.00	9.93	0.00	9.93	90.0	8.94
10/19/2017	ROSENTHAL, LUCILLE	LTD TERM TAX-EX BOND FUND OF AMERIC	0.00	4.73	0.00	4.73	90.0	4.26
10/16/2017	PEARSON, GRANT	MFS LIFETIME RETIREMENT INCOME FUND	0.00	42.29	0.00	42.29	90.0	38.06
10/16/2017	MCELROY, BENNETT	MFS VALUE A	0.00	9.46	0.00	9.46	90.0	8.51
10/18/2017	MASON, JOHN	NEUBERGER BERMAN LONG SHORT FUND CL	0.00	5.06	0.00	5.06	90.0	4.55
10/19/2017	WIESNER, BETTY	OPPENHEIMER GLOBAL STRATEGIC INC A	0.00	1.56	0.00	1.56	90.0	1.40
10/18/2017	FUESSEL IRREV TR, NORMAN	PUTNAM ASSET ALLOC GROWTH A	0.00	16.84	0.00	16.84	90.0	15.16
10/13/2017	KETTLE, MARVIN	QS GROWTH FUND CLASS A	0.00	0.60	0.00	0.60	90.0	0.54
10/16/2017	FUESSEL IRREV TR, NORMAN	RESOURCE R E DIVERSIFIED INC FUND A	0.00	13.45	0.00	13.45	90.0	12.11
10/16/2017	BELL, EDDY	RESOURCE R E DIVERSIFIED INC FUND A	0.00	10.48	0.00	10.48	90.0	9.43
10/16/2017	STAGNER TRUST, JAMES	RESOURCE R E DIVERSIFIED INC FUND A	0.00	6.65	0.00	6.65	90.0	5.99
10/16/2017	LUERSEN, JENNIFER	RESOURCE R E DIVERSIFIED INC FUND A	0.00	9.50	0.00	9.50	90.0	8.55
10/16/2017	KURTH, KARIANNE	TRANSAMERICA AA GROWTH C	0.00	38.52	0.00	38.52	90.0	34.67
10/16/2017	KURTH, DEREK	TRANSAMERICA AA GROWTH C	0.00	46.13	0.00	46.13	90.0	41.52
10/16/2017	KURTH, DEREK	TRANSAMERICA AA GROWTH C	0.00	28.32	0.00	28.32	90.0	25.49
10/16/2017	KURTH, DEREK	TRANSAMERICA AA GROWTH C	0.00	1.96	0.00	1.96	90.0	1.76
10/16/2017	KURTH, DEREK	TRANSAMERICA AA GROWTH C	0.00	1.96	0.00	1.96	90.0	1.76
10/16/2017	HERNANDEZ-GAGE, VIRGINIA	TRANSAMERICA AA MOD GROWTH C	0.00	4.26	0.00	4.26	90.0	3.83
10/16/2017	KURTH, DEREK	TRANSAMERICA AA MOD GROWTH C	0.00	6.44	0.00	6.44	90.0	5.80
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *			\$0.00	\$2,406.60	\$0.00	\$2,406.60		\$2,166.12
*** DIRECT TRANSACTIONS TOTAL ***			\$1,116,499.62	\$5,124.85	\$0.00	\$5,124.85		\$4,612.56

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>SPLIT TRANSACTIONS</u>								
BROKER: L146-BREN/BRIA/JEN TRU-LEE/NORB/DON #375								
11/08/2017	JORGENSEN, BLAINE	BR GRAND DOMINION DST	400,000.00	2,400.00	0.00	2,400.00	90.0	2,160.00
* L146-BREN/BRIA/JEN TRU-LEE/NORB/DON SUBTOTAL *			\$400,000.00	\$2,400.00	\$0.00	\$2,400.00		\$2,160.00
*** SPLIT TRANSACTIONS TOTAL ***			\$400,000.00	\$2,400.00	\$0.00	\$2,400.00		\$2,160.00

ADJUSTMENTS

11/15/2017	*AI INSIGHT: CURRENT MONTH	0.00						-7.00
11/15/2017	*ALBRIDGE: LIGHT USER	0.00						-76.00
11/15/2017	*CONCIERGE SVC: 201350 201351 20160	0.00						-150.00
11/15/2017	*CONCIERGE SVC: 202482	0.00						-50.00
11/15/2017	*DOCUSIGN: CURRENT MONTH	0.00						-18.00
11/15/2017	*EO INS: CURRENT MONTH INS	0.00						-300.00
11/15/2017	*GLOBAL RELAY: FACEBOOK	0.00						-5.00
11/15/2017	*GLOBAL RELAY: WEBSITE	0.00						-15.00
11/15/2017	*LASER APP: CURRENT MONTH	0.00						-18.00
11/15/2017	*PERSHING: BOOKS AND RECORDS	0.00						-4.50
11/15/2017	*PERSHING: MF PROSPECTUS	0.00						-2.70
11/15/2017	*PERSHING: TRANS FEE PNW115905	0.00						-15.00
11/15/2017	*PERSHING: UIT PROSPECTUS	0.00						-18.30
11/15/2017	*TECHNOLOGY: CURRENT MONTH BASIC	0.00						-180.00
*** ADJUSTMENTS TOTAL ***			\$0.00	\$0.00	\$0.00	\$0.00		\$-859.50

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

BROKER COMMISSION TOTALS

Broker Transactions	\$6,243.92
Split Transactions	\$2,160.00
Override Transactions	\$0.00
Adjustments	\$-859.50
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$0.00
FINRA Assessment	\$0.00
SIPC Assessment	\$0.00

Check Amount	\$7,544.42
Year-to-date Gross	\$263,773.40
Year-to-date Earnings	\$234,232.08