

**COMMISSION STATEMENT****April 30, 2018**

101 CFGROUP/KOSANKE
1120 E. Long Lake Road
Suite 250
Troy, MI 48085

BROKER #: 101
BRANCH: CONCORDE FINANCIAL G

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: INTERVAL FUNDS</u>								
03/31/2018	WEYCKER, AARON	GRIFFIN INST'L ACCESS R E FUND C	35,059.96	29.77	0.00	29.77	95.0	28.28
03/31/2018	BAKER, GENE	GRIFFIN INST'L ACCESS R E FUND C	53,013.69	45.03	0.00	45.03	95.0	42.78
03/31/2018	THOMSON, DOUGLAS	GRIFFIN INST'L ACCESS R E FUND C	102,604.21	87.15	0.00	87.15	95.0	82.79
03/31/2018	MILLER, RAYMOND	GRIFFIN INST'L ACCESS R E FUND C	30,785.54	26.15	0.00	26.15	95.0	24.84
03/31/2018	SUTTON, TIMOTHY	GRIFFIN INST'L ACCESS R E FUND C	136,881.25	116.25	0.00	116.25	95.0	110.44
03/31/2018	WAGNER II, HARRY	GRIFFIN INST'L ACCESS R E FUND C	303,148.23	257.47	0.00	257.47	95.0	244.60
03/31/2018	MIERAS-HESSLER, DEBORAH	GRIFFIN INST'L ACCESS R E FUND C	35,214.17	29.91	0.00	29.91	95.0	28.41
03/31/2018	CANNER, JULIE	GRIFFIN INST'L ACCESS R E FUND C	41,851.07	35.55	0.00	35.55	95.0	33.77
03/31/2018	CYRULEWSKI TRUST, LOIS	GRIFFIN INST'L ACCESS R E FUND C	149,031.55	126.57	0.00	126.57	95.0	120.24
03/31/2018	CYRULEWSKI, JIM	GRIFFIN INST'L ACCESS R E FUND C	113,243.82	96.17	0.00	96.17	95.0	91.36
03/31/2018	CYRULEWSKI TRUST, JIM	GRIFFIN INST'L ACCESS R E FUND C	122,494.18	104.04	0.00	104.04	95.0	98.84
03/31/2018	BEAUDETTE, FLOYD	GRIFFIN INST'L ACCESS R E FUND C	50,528.90	42.92	0.00	42.92	95.0	40.77
03/31/2018	YANIS, MATTHEW	GRIFFIN INST'L ACCESS R E FUND C	126,344.36	107.31	0.00	107.31	95.0	101.94
03/31/2018	GALLO, ANTHONY	GRIFFIN INST'L ACCESS R E FUND C	40,063.98	34.03	0.00	34.03	95.0	32.33
03/31/2018	QUICK, ELAINE	GRIFFIN INST'L ACCESS R E FUND C	50,297.60	42.72	0.00	42.72	95.0	40.58
03/31/2018	FERRARI, JACQUELINE	GRIFFIN INST'L ACCESS R E FUND C	70,177.12	59.60	0.00	59.60	95.0	56.62
03/31/2018	CARMODY, WILLIAM	GRIFFIN INST'L ACCESS R E FUND C	41,796.32	35.49	0.00	35.49	95.0	33.72
03/31/2018	SIMONY TRUST, JOSEPH & REGINA	GRIFFIN INST'L ACCESS R E FUND C	25,266.54	21.45	0.00	21.45	95.0	20.38
03/31/2018	SIMONY, RICHARD	GRIFFIN INST'L ACCESS R E FUND C	20,259.46	17.20	0.00	17.20	95.0	16.34
03/31/2018	SPEARY, ROBERT	GRIFFIN INST'L ACCESS R E FUND C	24,852.81	21.11	0.00	21.11	95.0	20.05
03/31/2018	KING, DAVID	GRIFFIN INST'L ACCESS R E FUND C	4,964.23	4.21	0.00	4.21	95.0	4.00
03/31/2018	ROBERTS, PATRICIA	GRIFFIN INST'L ACCESS R E FUND C	39,430.27	33.49	0.00	33.49	95.0	31.82
03/31/2018	EQUITY TRUST CO	GRIFFIN INST'L ACCESS R E FUND C	9,029.50	7.67	0.00	7.67	95.0	7.29
03/31/2018	EQUITY TRUST CO	GRIFFIN INST'L ACCESS R E FUND C	114,797.60	97.49	0.00	97.49	95.0	92.62
03/31/2018	BADALAMENT, ROBERT	GRIFFIN INST'L ACCESS R E FUND C	83,730.99	71.12	0.00	71.12	95.0	67.56
03/31/2018	ANDERSON TRUST, JUDITH	GRIFFIN INST'L ACCESS R E FUND C	188,937.30	160.47	0.00	160.47	95.0	152.45

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>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: INTERVAL FUNDS</u>								
03/31/2018	DEMAN, KENNETH	GRIFFIN INST'L ACCESS R E FUND C	52,814.49	44.85	0.00	44.85	95.0	42.61
03/31/2018	KEELER, DAVID	GRIFFIN INST'L ACCESS R E FUND C	26,177.32	22.23	0.00	22.23	95.0	21.12
03/31/2018	BUSZEK, PAUL	GRIFFIN INST'L ACCESS R E FUND C	25,917.73	22.01	0.00	22.01	95.0	20.91
03/31/2018	WETZEL, WILLIAM	GRIFFIN INST'L ACCESS R E FUND C	10,262.93	8.72	0.00	8.72	95.0	8.28
03/31/2018	ELLIOT, JAMES	GRIFFIN INST'L ACCESS R E FUND C	98,453.32	83.61	0.00	83.61	95.0	79.43
03/31/2018	ELLIOT, PATRICIA	GRIFFIN INST'L ACCESS R E FUND C	66,410.24	56.40	0.00	56.40	95.0	53.58
03/31/2018	JOUPPI, SHARON	GRIFFIN INST'L ACCESS R E FUND C	55,188.41	46.87	0.00	46.87	95.0	44.53
03/31/2018	JOUPPI, SHARON	GRIFFIN INST'L ACCESS R E FUND C	24,688.53	20.97	0.00	20.97	95.0	19.92
03/31/2018	FEWLESS, SCOTT	GRIFFIN INST'L ACCESS R E FUND C	15,414.06	13.09	0.00	13.09	95.0	12.44
03/31/2018	BARTOI, JOHN	GRIFFIN INST'L ACCESS R E FUND C	84,024.09	71.36	0.00	71.36	95.0	67.79
03/31/2018	MERRITT REVOCABLE TRUST, KATHY	GRIFFIN INST'L ACCESS R E FUND C	49,145.03	41.73	0.00	41.73	95.0	39.64
03/31/2018	KOPCZYK TRUST, LAWRENCE & PATR	GRIFFIN INST'L ACCESS R E FUND C	77,200.76	65.57	0.00	65.57	95.0	62.29
03/31/2018	AMMAN, KATHLEEN	GRIFFIN INST'L ACCESS R E FUND C	20,178.95	17.13	0.00	17.13	95.0	16.27
03/31/2018	BAUMGART, ROY MARK	GRIFFIN INST'L ACCESS R E FUND C	73,752.49	62.64	0.00	62.64	95.0	59.51
03/31/2018	SMITH, MARTHA	GRIFFIN INST'L ACCESS R E FUND C	74,261.48	63.07	0.00	63.07	95.0	59.92
03/31/2018	SPEARY, LISA	GRIFFIN INST'L ACCESS R E FUND C	50,509.93	42.89	0.00	42.89	95.0	40.75
03/31/2018	VOGEL, KEITH	GRIFFIN INST'L ACCESS R E FUND C	117,996.81	100.21	0.00	100.21	95.0	95.20
03/31/2018	THOMSON TRUST, DOUGLAS & NANCY	GRIFFIN INST'L ACCESS R E FUND C	103,128.80	87.59	0.00	87.59	95.0	83.21
03/31/2018	STRAITH LIV TRUST, JAMES	GRIFFIN INST'L ACCESS R E FUND C	49,375.95	41.93	0.00	41.93	95.0	39.83
03/31/2018	WILMAN, ANN ELAINE	GRIFFIN INST'L ACCESS R E FUND C	27,460.49	23.32	0.00	23.32	95.0	22.15
03/31/2018	GRUSH, ERNEST	GRIFFIN INST'L ACCESS R E FUND C	100,994.82	85.77	0.00	85.77	95.0	81.48
03/31/2018	ETHIER, WILLIAM	GRIFFIN INST'L ACCESS R E FUND C	45,722.00	38.83	0.00	38.83	95.0	36.89
03/31/2018	SMITH REV TRUST #2, CHARLES	GRIFFIN INST'L ACCESS R E FUND C	37,270.60	31.65	0.00	31.65	95.0	30.07
03/31/2018	MCKENZIE TRUST, ROBERT & DONNA	GRIFFIN INST'L ACCESS R E FUND C	119,236.30	101.27	0.00	101.27	95.0	96.21
03/31/2018	STAHL, CURTIS	GRIFFIN INST'L ACCESS R E FUND C	26,834.03	22.79	0.00	22.79	95.0	21.65
03/31/2018	BERNARDI TRUST, DONALD &	GRIFFIN INST'L ACCESS R E FUND C	49,732.31	42.24	0.00	42.24	95.0	40.13
03/31/2018	ORTAGO, PAULA	GRIFFIN INST'L ACCESS R E FUND C	42,253.18	35.88	0.00	35.88	95.0	34.09
03/31/2018	KOSANKE, CHARLES W	GRIFFIN INST'L ACCESS R E FUND C	25,478.66	21.64	0.00	21.64	95.0	20.56
03/31/2018	DINKA, JOHN	GRIFFIN INST'L ACCESS R E FUND C	113,812.84	96.67	0.00	96.67	95.0	91.84
03/31/2018	DINKA, CATHERINE	GRIFFIN INST'L ACCESS R E FUND C	106,941.33	90.83	0.00	90.83	95.0	86.29
03/31/2018	BELLINGE, GEORGE	GRIFFIN INST'L ACCESS R E FUND C	85,767.86	72.84	0.00	72.84	95.0	69.20
03/31/2018	GHELFI, CRAIG	GRIFFIN INST'L ACCESS R E FUND C	93,650.95	79.53	0.00	79.53	95.0	75.55
03/31/2018	CANNON TRUST, HENRY & BARBARA	GRIFFIN INST'L ACCESS R E FUND C	29,891.58	25.39	0.00	25.39	95.0	24.12

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>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: INTERVAL FUNDS</u>								
03/31/2018	KRONNER, DAVID	GRIFFIN INST'L ACCESS R E FUND C	50,278.55	42.71	0.00	42.71	95.0	40.57
03/31/2018	RANG, JAMES S & MARIL	GRIFFIN INST'L ACCESS R E FUND C	9,903.47	8.41	0.00	8.41	95.0	7.99
03/31/2018	OLSON, MELINDA	GRIFFIN INST'L ACCESS R E FUND C	32,968.56	28.00	0.00	28.00	95.0	26.60
03/31/2018	HARWOOD TRUST, SHARON	GRIFFIN INST'L ACCESS R E FUND C	24,739.47	21.01	0.00	21.01	95.0	19.96
03/31/2018	KNIGHT TRUST, SHARON	GRIFFIN INST'L ACCESS R E FUND C	10,486.15	8.91	0.00	8.91	95.0	8.46
03/31/2018	EQUITY TRUST CO	GRIFFIN INST'L ACCESS R E FUND C	42,845.25	36.39	0.00	36.39	95.0	34.57
* INTERVAL FUNDS SUBTOTAL *			\$4,164,974.37	\$3,537.29	\$0.00	\$3,537.29		\$3,360.43
<u>PRODUCT CATEGORY: 529 PLANS</u>								
04/13/2018	BOWEN, ED	AM FUNDS CAPITAL WORLD GRTH & INC 5	50.00	2.13	0.00	2.13	95.0	2.02
04/16/2018	STOLL, BENJAMIN	AM FUNDS CAPITAL WORLD GRTH & INC 5	50.00	2.13	0.00	2.13	95.0	2.02
04/16/2018	VAN DAELE, DAVID	AM FUNDS CAPITAL WORLD GRTH & INC 5	100.00	5.00	0.00	5.00	95.0	4.75
04/16/2018	VAN DAELE, DAVID	AM FUNDS EUROPACIFIC GROWTH FUND 52	100.00	5.00	0.00	5.00	95.0	4.75
04/13/2018	BOWEN, ED	AM FUNDS GROWTH FUND OF AMERICA 529	50.00	2.13	0.00	2.13	95.0	2.02
04/18/2018	BARNETT, RICHARD	AM FUNDS GROWTH FUND OF AMERICA 529	500.00	25.00	0.00	25.00	95.0	23.75
04/18/2018	BARNETT, RICHARD	AM FUNDS NEW PERSPECTIVE 529A	500.00	25.00	0.00	25.00	95.0	23.75
04/02/2018	NIZIO, MARGARET	BLACKROCK 67776G493	50.00	0.50	0.00	0.50	95.0	0.48
04/02/2018	NIZIO, EDMUND	BLACKROCK 67776G493	50.00	0.50	0.00	0.50	95.0	0.48
04/02/2018	KUCHAREK, PAUL	BLACKROCK 67776G469	50.00	1.75	0.00	1.75	95.0	1.66
04/16/2018	KUCHAREK, PAUL	BLACKROCK 67776G469	50.00	1.75	0.00	1.75	95.0	1.66
04/16/2018	KUCHAREK, PAUL	BLACKROCK 67776G469	50.00	1.75	0.00	1.75	95.0	1.66
* 529 PLANS SUBTOTAL *			\$1,600.00	\$72.64	\$0.00	\$72.64		\$69.00
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
04/06/2018	CERIMELE, NICHOLAS	AM FUNDS AMERICAN BALANCED A	60.00	2.55	0.00	2.55	95.0	2.42
04/18/2018	CERIMELE, NICHOLAS	AM FUNDS AMERICAN BALANCED A	60.00	2.55	0.00	2.55	95.0	2.42
04/16/2018	MI/TOD	AM FUNDS AMERICAN MUTUAL C	1,200.00	12.00	0.00	12.00	95.0	11.40
04/20/2018	NAGEOTTE, NIKOLAUS	AM FUNDS CAPITAL WORLD GRTH & INC A	100.00	5.00	0.00	5.00	95.0	4.75
04/09/2018	SOBIESKI, JOYCE	AM FUNDS GROWTH FUND OF AMERICA C	37.50	0.38	0.00	0.38	95.0	0.36
04/16/2018	WONCH, ELIZABETH	AM FUNDS ICA A	200.00	10.00	0.00	10.00	95.0	9.50
04/10/2018	HAWK, CYNTHIA	AM FUNDS NEW PERSPECTIVE A	100.00	5.00	0.00	5.00	95.0	4.75
04/09/2018	SOBIESKI, JOYCE	AM FUNDS WASHINGTON MUTUAL INVESTOR	37.50	0.38	0.00	0.38	95.0	0.36
04/10/2018	IVEZAJ, GYSTE	AM FUNDS WASHINGTON MUTUAL INVESTOR	50.00	1.88	0.00	1.88	95.0	1.79
04/16/2018	KEMP, JEREMY	AM FUNDS WASHINGTON MUTUAL INVESTOR	50.00	2.13	0.00	2.13	95.0	2.02

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>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
04/16/2018	BEHNKE, DANIEL	AM FUNDS WASHINGTON MUTUAL INVESTOR	50.00	2.13	0.00	2.13	95.0	2.02
04/16/2018	BEHNKE, MARK	AM FUNDS WASHINGTON MUTUAL INVESTOR	100.00	5.00	0.00	5.00	95.0	4.75
04/16/2018	ULJAJ, JOSEPH	AM FUNDS WASHINGTON MUTUAL INVESTOR	50.00	2.50	0.00	2.50	95.0	2.38
04/02/2018	PARTALIS, CHRISTINE	DAVIS NEW YORK VENTURE A	125.00	5.00	0.00	5.00	95.0	4.75
04/10/2018	TYSZKIEWICZ, KURT	FRANKLIN GROWTH C	100.00	1.00	0.00	1.00	95.0	0.95
04/02/2018	KUCHAREK, PAUL	GLOBAL ALLOCATION FUND	50.00	1.88	0.00	1.88	95.0	1.79
04/05/2018	BERGLUND, KRIS	INVESCO AMERICAN FRANCHISE A	50.00	2.50	0.00	2.50	95.0	2.38
04/09/2018	BOHACEK, STEVE	JH LARGE CAP EQUITY A	1,500.00	63.75	0.00	63.75	95.0	60.56
04/10/2018	KRAYDICH, KELLIE	OPPENHEIMER CAPITAL APPRECIATION A	62.50	2.97	0.00	2.97	95.0	2.82
04/10/2018	KRAYDICH, KELLIE	OPPENHEIMER CAPITAL APPRECIATION A	33.77	1.60	0.00	1.60	95.0	1.52
04/02/2018	ELIAS, JANICE	OPPENHEIMER CAPITAL APPRECIATION C	42.20	0.42	0.00	0.42	95.0	0.40
04/02/2018	ELIAS, JANICE	OPPENHEIMER CAPITAL APPRECIATION C	25.32	0.25	0.00	0.25	95.0	0.24
04/10/2018	RENTROP, GARRETT	OPPENHEIMER CAPITAL APPRECIATION C	40.38	0.40	0.00	0.40	95.0	0.38
04/10/2018	RENTROP, GARRETT	OPPENHEIMER CAPITAL APPRECIATION C	40.38	0.40	0.00	0.40	95.0	0.38
04/10/2018	KRAYDICH, KELLIE	OPPENHEIMER CAPITAL INCOME A	62.50	2.97	0.00	2.97	95.0	2.82
04/10/2018	KRAYDICH, KELLIE	OPPENHEIMER CAPITAL INCOME A	33.77	1.60	0.00	1.60	95.0	1.52
04/02/2018	DAMORE, MONICA	OPPENHEIMER DISCOVERY C	389.38	3.89	0.00	3.89	95.0	3.70
04/02/2018	DAMORE, MONICA	OPPENHEIMER DISCOVERY C	68.72	0.69	0.00	0.69	95.0	0.66
04/02/2018	ELIAS, JANICE	OPPENHEIMER GLOBAL C	40.96	0.41	0.00	0.41	95.0	0.39
04/02/2018	ELIAS, JANICE	OPPENHEIMER GLOBAL C	24.57	0.25	0.00	0.25	95.0	0.24
04/02/2018	TRBOVICH, NICK	OPPENHEIMER GLOBAL OPPORTUNITIES A	1,800.00	85.50	0.00	85.50	95.0	81.23
04/02/2018	TRBOVICH, NICK	OPPENHEIMER GLOBAL OPPORTUNITIES A	270.00	12.83	0.00	12.83	95.0	12.19
04/02/2018	TRBOVICH, NICK	OPPENHEIMER GLOBAL OPPORTUNITIES A	1,410.00	66.98	0.00	66.98	95.0	63.63
04/02/2018	TRBOVICH, MARY	OPPENHEIMER GLOBAL OPPORTUNITIES A	400.00	19.00	0.00	19.00	95.0	18.05
04/02/2018	TRBOVICH, MARY	OPPENHEIMER GLOBAL OPPORTUNITIES A	60.00	2.85	0.00	2.85	95.0	2.71
04/02/2018	TRBOVICH, MARY	OPPENHEIMER GLOBAL OPPORTUNITIES A	810.00	38.48	0.00	38.48	95.0	36.56
04/02/2018	DAMORE, MONICA	OPPENHEIMER GLOBAL OPPORTUNITIES C	389.38	3.89	0.00	3.89	95.0	3.70
04/02/2018	DAMORE, MONICA	OPPENHEIMER GLOBAL OPPORTUNITIES C	68.72	0.69	0.00	0.69	95.0	0.66
04/10/2018	RENTROP, GARRETT	OPPENHEIMER GLOBAL OPPORTUNITIES C	40.38	0.40	0.00	0.40	95.0	0.38
04/10/2018	RENTROP, GARRETT	OPPENHEIMER GLOBAL OPPORTUNITIES C	40.38	0.40	0.00	0.40	95.0	0.38
04/10/2018	RENTROP, GARRETT	OPPENHEIMER GLOBAL STRATEGIC INC C	40.38	0.40	0.00	0.40	95.0	0.38
04/10/2018	RENTROP, GARRETT	OPPENHEIMER GLOBAL STRATEGIC INC C	40.38	0.40	0.00	0.40	95.0	0.38
04/10/2018	KRAYDICH, KELLIE	OPPENHEIMER INTL SMALL CO A	62.50	2.97	0.00	2.97	95.0	2.82

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>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
04/10/2018	KRAYDICH, KELLIE	OPPENHEIMER INTL SMALL CO A	33.76	1.60	0.00	1.60	95.0	1.52
04/02/2018	DAMORE, MONICA	OPPENHEIMER INTL SMALL CO C	401.18	4.01	0.00	4.01	95.0	3.81
04/02/2018	DAMORE, MONICA	OPPENHEIMER INTL SMALL CO C	70.79	0.71	0.00	0.71	95.0	0.67
04/02/2018	ELIAS, JANICE	OPPENHEIMER MAIN ST SELECT C	40.96	0.41	0.00	0.41	95.0	0.39
04/02/2018	ELIAS, JANICE	OPPENHEIMER MAIN ST SELECT C	24.57	0.25	0.00	0.25	95.0	0.24
04/10/2018	RENTROP, GARRETT	OPPENHEIMER MAIN ST SMALL & MID CAP	40.38	0.40	0.00	0.40	95.0	0.38
04/10/2018	RENTROP, GARRETT	OPPENHEIMER MAIN ST SMALL & MID CAP	40.38	0.40	0.00	0.40	95.0	0.38
04/10/2018	RENTROP, GARRETT	OPPENHEIMER QUEST BALANCED C	40.38	0.40	0.00	0.40	95.0	0.38
04/10/2018	RENTROP, GARRETT	OPPENHEIMER QUEST BALANCED C	40.38	0.40	0.00	0.40	95.0	0.38
04/02/2018	WOUDSTRA, KAREN	OPPENHEIMER SMALL & MIDCAP GROWTH C	150.00	1.50	0.00	1.50	95.0	1.43
04/02/2018	WOUDSTRA, KAREN	OPPENHEIMER SMALL & MIDCAP GROWTH C	90.43	0.90	0.00	0.90	95.0	0.86
04/02/2018	WONCH, LIZ	PUTNAM INVESTORS A	50.00	2.50	0.00	2.50	95.0	2.38
04/06/2018	WETZEL, TIFFANY	TRANSAMERICA AA GROWTH C	100.00	1.00	0.00	1.00	95.0	0.95
04/09/2018	LOPICCOLO, CATHERINE	TRANSAMERICA AA GROWTH C	128.39	1.28	0.00	1.28	95.0	1.22
04/16/2018	TOBEY, TIMOTHY	TRANSAMERICA AA GROWTH C	100.00	1.00	0.00	1.00	95.0	0.95
04/04/2018	BARTOI, JOHN	TRANSAMERICA AA MODERATE C	955.81	9.56	0.00	9.56	95.0	9.08
04/09/2018	VERSCHAEVE, SANDRA	TRANSAMERICA MONEY MARKET C	4,314.65	43.15	0.00	43.15	95.0	40.99
04/16/2018	EICHENLAUB, TRACEY	TRANSAMERICA MULTI-MANAGED BAL C	450.00	4.50	0.00	4.50	95.0	4.28
04/16/2018	WEYCKER, ROBERT	TRANSAMERICA MULTI-MANAGED BAL C	300.00	3.00	0.00	3.00	95.0	2.85
* MUTUAL FUNDS SUBTOTAL *			\$17,588.63	\$453.24	\$0.00	\$453.24		\$430.63
<u>PRODUCT CATEGORY: VARIABLE UNIVERSAL LIFE</u>								
04/06/2018	DINKA, JOHN	PAC LIFE VUL	2,500.00	50.00	0.00	50.00	95.0	47.50
04/09/2018	DINKA, JOHN	PAC LIFE VUL	230,665.70	461.33	0.00	461.33	95.0	438.26
* VARIABLE UNIVERSAL LIFE SUBTOTAL *			\$233,165.70	\$511.33	\$0.00	\$511.33		\$485.76
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
04/04/2018	ZERILLI, SALVATORE	ALGER CAPITAL APPRECIATION A	0.00	7.60	0.00	7.60	95.0	7.22
04/04/2018	COOPER, IAN	ALGER CAPITAL APPRECIATION A	0.00	31.01	0.00	31.01	95.0	29.46
04/04/2018	RICHARDS, JAKOB	ALGER CAPITAL APPRECIATION C	0.00	3.20	0.00	3.20	95.0	3.04
04/04/2018	RICHARDS, JAKOB	ALGER CAPITAL APPRECIATION C	0.00	1.16	0.00	1.16	95.0	1.10
04/04/2018	RICHARDS, JAKOB	ALGER HEALTH SCIENCES C	0.00	3.46	0.00	3.46	95.0	3.29
04/04/2018	RICHARDS, JAKOB	ALGER HEALTH SCIENCES C	0.00	1.20	0.00	1.20	95.0	1.14
04/04/2018	ZERILLI, SALVATORE	ALGER LARGE CAP GROWTH A	0.00	3.30	0.00	3.30	95.0	3.14

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>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
04/04/2018	SEKULA, MICHAEL	ALGER LARGE CAP GROWTH A	0.00	1.12	0.00	1.12	95.0	1.06
04/04/2018	SEKULA, MICHAEL	ALGER LARGE CAP GROWTH A	0.00	1.12	0.00	1.12	95.0	1.06
04/04/2018	SEKULA, KRISTINA	ALGER LARGE CAP GROWTH A	0.00	1.12	0.00	1.12	95.0	1.06
04/04/2018	SEGARRA, AMY	ALGER LARGE CAP GROWTH A	0.00	0.03	0.00	0.03	95.0	0.03
04/04/2018	NEUER-MIHALAK, LORIE	ALGER LARGE CAP GROWTH A	0.00	4.23	0.00	4.23	95.0	4.02
04/04/2018	BRUGLIO, JULIA	ALGER LARGE CAP GROWTH A	0.00	0.04	0.00	0.04	95.0	0.04
04/04/2018	RICHARDS, JAKOB	ALGER LARGE CAP GROWTH C	0.00	2.93	0.00	2.93	95.0	2.78
04/04/2018	RICHARDS, JAKOB	ALGER LARGE CAP GROWTH C	0.00	1.14	0.00	1.14	95.0	1.08
04/04/2018	NEUER-MIHALAK, LORIE	ALGER MIDCAP GROWTH A	0.00	6.19	0.00	6.19	95.0	5.88
04/04/2018	MUNTEANU, RADU	ALGER MIDCAP GROWTH A	0.00	23.25	0.00	23.25	95.0	22.09
04/04/2018	MORSE, TRACY	ALGER MIDCAP GROWTH A	0.00	0.18	0.00	0.18	95.0	0.17
04/04/2018	NEUER-MIHALAK, LORIE	ALGER MIDCAP GROWTH B	0.00	0.99	0.00	0.99	95.0	0.94
04/04/2018	RICHARDS, JAKOB	ALGER MIDCAP GROWTH C	0.00	3.57	0.00	3.57	95.0	3.39
04/04/2018	RICHARDS, JAKOB	ALGER MIDCAP GROWTH C	0.00	1.20	0.00	1.20	95.0	1.14
04/04/2018	HUANG, CONNIE LING	ALGER SMALLCAP GROWTH A	0.00	0.44	0.00	0.44	95.0	0.42
04/09/2018	HAINES, JILL	ALLIANCE BERNSTEIN CORE OPP A	0.00	1.08	0.00	1.08	95.0	1.03
04/09/2018	HAINES, JILL	ALLIANCE BERNSTEIN VALUE FUND A	0.00	0.68	0.00	0.68	95.0	0.65
04/09/2018	HARTOUNIAN, HAGOB BEN	ALLIANCE SMALLCAP	0.00	1.82	0.00	1.82	95.0	1.73
04/09/2018	HAINES, JILL	ALLIANCEBERNSTEIN CORE OPPORTUNITIE	0.00	0.64	0.00	0.64	95.0	0.61
04/09/2018	HAINES, JILL	ALLIANCEBERNSTEIN GL THEMATIC GROWT	0.00	6.22	0.00	6.22	95.0	5.91
04/09/2018	GEORGE, RONALD	ALLIANCEBERNSTEIN GL THEMATIC GROWT	0.00	1.67	0.00	1.67	95.0	1.59
04/09/2018	PINKOS, CHRISTINE	ALLIANCEBERNSTEIN GL THEMATIC GROWT	0.00	0.04	0.00	0.04	95.0	0.04
04/09/2018	SEBLANI, MUSTAPHA	ALLIANCEBERNSTEIN GL THEMATIC GROWT	0.00	5.41	0.00	5.41	95.0	5.14
04/09/2018	FLANNERY, CHRISTIAN	ALLIANCEBERNSTEIN GL THEMATIC GROWT	0.00	0.40	0.00	0.40	95.0	0.38
04/09/2018	KIEFHABER, JEAN	ALLIANCEBERNSTEIN GLOBAL BOND A	0.00	5.25	0.00	5.25	95.0	4.99
04/09/2018	BRADEN, TERRI	ALLIANCEBERNSTEIN GROWTH A	0.00	15.62	0.00	15.62	95.0	14.84
04/09/2018	HARTOUNIAN, HAGOB BEN	ALLIANCEBERNSTEIN GROWTH AND INC A	0.00	1.68	0.00	1.68	95.0	1.60
04/09/2018	BRADEN, TERRI	ALLIANCEBERNSTEIN GROWTH B	0.00	5.96	0.00	5.96	95.0	5.66
04/09/2018	MOILANEN, STEPHEN	ALLIANCEBERNSTEIN HIGH INCOME A	0.00	2.28	0.00	2.28	95.0	2.17
04/09/2018	HAINES, JILL	ALLIANCEBERNSTEIN INTL VALUE A	0.00	0.65	0.00	0.65	95.0	0.62
04/09/2018	HAINES, JILL	ALLIANCEBERNSTEIN INTL VALUE C	0.00	0.30	0.00	0.30	95.0	0.29
04/09/2018	HAINES, JILL	ALLIANCEBERNSTEIN LARGE CAP GROWTH	0.00	11.38	0.00	11.38	95.0	10.81
04/09/2018	GEORGE, RONALD	ALLIANCEBERNSTEIN LARGE CAP GROWTH	0.00	2.01	0.00	2.01	95.0	1.91

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>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
04/09/2018	SEBLANI, MUSTAPHA	ALLIANCEBERNSTEIN LARGE CAP GROWTH	0.00	7.17	0.00	7.17	95.0	6.81
04/09/2018	HAINES, JILL	ALLIANCEBERNSTEIN SMALL/MID CAP VAL	0.00	1.33	0.00	1.33	95.0	1.26
04/09/2018	HAINES, JILL	ALLIANCEBERNSTEIN SMALL/MID CAP VAL	0.00	0.60	0.00	0.60	95.0	0.57
04/09/2018	OPALESKI, SCOTT	ALLIANCEBERNSTEIN SMALL/MID-CAP GRW	0.00	1.23	0.00	1.23	95.0	1.17
04/09/2018	LYNN GOODRICH JT TEN, CHERIL	ALLIANCEBERNSTEIN SMALL/MID-CAP GRW	0.00	1.13	0.00	1.13	95.0	1.07
04/09/2018	KING, RITA	ALLIANCEBERNSTEIN SMALL/MID-CAP GRW	0.00	1.39	0.00	1.39	95.0	1.32
04/09/2018	KING, COURTNEY	ALLIANCEBERNSTEIN SMALL/MID-CAP GRW	0.00	1.43	0.00	1.43	95.0	1.36
04/09/2018	HAINES, JILL	ALLIANCEBERNSTEIN VALUE FUND C	0.00	0.46	0.00	0.46	95.0	0.44
04/03/2018	MIKLEVICH, MICHAEL	ALLIANZ NFJ MIDCAP VALUE C	0.00	44.93	0.00	44.93	95.0	42.68
04/03/2018	MIKLEVICH, MICHAEL	ALLIANZ NFJ MIDCAP VALUE C	0.00	125.18	0.00	125.18	95.0	118.92
04/05/2018	CFGROUP, VARIOUS	AMERICAN FUNDS 8504AFRKD	0.00	67.50	0.00	67.50	95.0	64.13
03/31/2018	BUSZEK, RICHARD	BLACK ROCK 67776G527	0.00	3.53	0.00	3.53	95.0	3.35
03/31/2018	BUSZEK, RICHARD	BLACK ROCK 67776G527	0.00	1.18	0.00	1.18	95.0	1.12
03/31/2018	BUSZEK, RICHARD	BLACK ROCK 67776G527	0.00	3.54	0.00	3.54	95.0	3.36
03/31/2018	CFGROUP, VARIOUS	BLACK ROCK 67776G527	0.00	1.34	0.00	1.34	95.0	1.27
03/31/2018	MOELLER, RICHARD	BLACK ROCK 67776G527	0.00	0.20	0.00	0.20	95.0	0.19
03/31/2018	MOELLER, RICHARD	BLACK ROCK 67776G527	0.00	0.59	0.00	0.59	95.0	0.56
03/31/2018	COOPER, LISA	BLACK ROCK 67776G527	0.00	2.42	0.00	2.42	95.0	2.30
03/31/2018	COOPER, LISA	BLACK ROCK 67776G527	0.00	7.25	0.00	7.25	95.0	6.89
03/31/2018	BUSZEK, RICHARD	BLACK ROCK 67776G527	0.00	1.18	0.00	1.18	95.0	1.12
03/31/2018	CFGROUP, VARIOUS	BLACK ROCK 67776G527	0.00	4.03	0.00	4.03	95.0	3.83
03/31/2018	WETZEL, DIANNE	BLACK ROCK 67776G543	0.00	3.17	0.00	3.17	95.0	3.01
03/31/2018	BAKER, JEAN-ANNE	BLACK ROCK 67776G543	0.00	0.33	0.00	0.33	95.0	0.31
03/31/2018	BUSZEK, RICHARD	BLACK ROCK 67776G543	0.00	1.99	0.00	1.99	95.0	1.89
03/31/2018	BAKER, JEAN-ANNE	BLACK ROCK 67776G543	0.00	0.11	0.00	0.11	95.0	0.10
03/31/2018	WETZEL, DIANNE	BLACK ROCK 67776G543	0.00	1.06	0.00	1.06	95.0	1.01
03/31/2018	WETZEL, DIANNE	BLACK ROCK 67776G543	0.00	0.97	0.00	0.97	95.0	0.92
03/31/2018	WETZEL, DIANNE	BLACK ROCK 67776G543	0.00	2.92	0.00	2.92	95.0	2.77
03/31/2018	BUSZEK, RICHARD	BLACK ROCK 67776G543	0.00	0.66	0.00	0.66	95.0	0.63
03/31/2018	NIZIO, MARGARET	BLACKROCK 67776G493	0.00	2.71	0.00	2.71	95.0	2.57
03/31/2018	BAKER, JEAN-ANNE	BLACKROCK 67776G493	0.00	0.04	0.00	0.04	95.0	0.04
03/31/2018	BAKER, JEAN-ANNE	BLACKROCK 67776G493	0.00	0.13	0.00	0.13	95.0	0.12
03/31/2018	NIZIO, MARGARET	BLACKROCK 67776G493	0.00	8.13	0.00	8.13	95.0	7.72

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>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
03/31/2018	NIZIO, EDMUND	BLACKROCK 67776G493	0.00	8.13	0.00	8.13	95.0	7.72
03/31/2018	NIZIO, EDMUND	BLACKROCK 67776G493	0.00	2.71	0.00	2.71	95.0	2.57
03/31/2018	MOELLER, RICHARD	BLACKROCK 67776G493	0.00	0.65	0.00	0.65	95.0	0.62
03/31/2018	MOELLER, RICHARD	BLACKROCK 67776G493	0.00	0.22	0.00	0.22	95.0	0.21
03/31/2018	GALLAS, JAMES L & ANN M	BLACKROCK 19452P473	0.00	7.53	0.00	7.53	95.0	7.15
03/31/2018	BURKE, KIMBERLY	BLACKROCK 67776G469	0.00	1.49	0.00	1.49	95.0	1.42
03/31/2018	BURKE, KIMBERLY	BLACKROCK 67776G469	0.00	6.13	0.00	6.13	95.0	5.82
03/31/2018	MERRITT, GREGORY	BLACKROCK 67776G469	0.00	0.40	0.00	0.40	95.0	0.38
03/31/2018	KUCHAREK, PAUL	BLACKROCK 67776G469	0.00	4.49	0.00	4.49	95.0	4.27
03/31/2018	KUCHAREK, PAUL	BLACKROCK 67776G469	0.00	2.09	0.00	2.09	95.0	1.99
03/31/2018	KUCHAREK, PAUL	BLACKROCK 67776G469	0.00	4.08	0.00	4.08	95.0	3.88
03/31/2018	MUENCH, DANIEL	BLACKROCK 67776G469	0.00	0.35	0.00	0.35	95.0	0.33
03/31/2018	MUENCH, DANIEL	BLACKROCK 67776G469	0.00	2.47	0.00	2.47	95.0	2.35
03/31/2018	BURKE, KIMBERLY	BLACKROCK 67776G477	0.00	2.15	0.00	2.15	95.0	2.04
03/31/2018	BURKE, KIMBERLY	BLACKROCK 67776G477	0.00	6.45	0.00	6.45	95.0	6.13
03/31/2018	MOELLER, RICHARD	BLACKROCK 67776G477	0.00	0.73	0.00	0.73	95.0	0.69
03/31/2018	MOELLER, RICHARD	BLACKROCK 67776G477	0.00	0.24	0.00	0.24	95.0	0.23
03/31/2018	TRYNAN, SHELLY	BLACKROCK 67776G477	0.00	1.49	0.00	1.49	95.0	1.42
03/31/2018	COOPER, LISA	BLACKROCK 67776G477	0.00	0.61	0.00	0.61	95.0	0.58
03/31/2018	COOPER, LISA	BLACKROCK 67776G477	0.00	1.84	0.00	1.84	95.0	1.75
03/31/2018	COOPER, LISA	BLACKROCK 67776G477	0.00	2.03	0.00	2.03	95.0	1.93
03/31/2018	COOPER, LISA	BLACKROCK 67776G477	0.00	0.68	0.00	0.68	95.0	0.65
03/31/2018	TRYNAN, SHELLY	BLACKROCK 67776G477	0.00	0.50	0.00	0.50	95.0	0.48
03/31/2018	BAKER, JEAN-ANNE	BLACKROCK 67776G519	0.00	0.90	0.00	0.90	95.0	0.86
03/31/2018	BAKER, JEAN-ANNE	BLACKROCK 67776G519	0.00	1.95	0.00	1.95	95.0	1.85
03/31/2018	YASCH, SANDY	BLACKROCK 67776G519	0.00	0.66	0.00	0.66	95.0	0.63
03/31/2018	MERRITT, GREGORY	BLACKROCK 67776G519	0.00	5.19	0.00	5.19	95.0	4.93
03/31/2018	MERRITT, GREGORY	BLACKROCK 67776G535	0.00	4.93	0.00	4.93	95.0	4.68
03/31/2018	TRYNAN, SHELLY	BLACKROCK ENROLMENT CLASS C	0.00	0.96	0.00	0.96	95.0	0.91
03/31/2018	BURKE, KIMBERLY	BLACKROCK ENROLMENT CLASS C	0.00	7.79	0.00	7.79	95.0	7.40
03/31/2018	BURKE, KIMBERLY	BLACKROCK ENROLMENT CLASS C	0.00	2.60	0.00	2.60	95.0	2.47
03/31/2018	BURKE, KIMBERLY	BLACKROCK ENROLMENT CLASS C	0.00	6.45	0.00	6.45	95.0	6.13
03/31/2018	BURKE, KIMBERLY	BLACKROCK ENROLMENT CLASS C	0.00	2.15	0.00	2.15	95.0	2.04

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

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

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

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
03/31/2018	TRYNAN, SHELLY	BLACKROCK ENROLMENT CLASS C	0.00	2.89	0.00	2.89	95.0	2.75
03/31/2018	WILLIT	BLK AGG GROWTH A	0.00	1.87	0.00	1.87	95.0	1.78
03/31/2018	KING, DAVID	BLK EQUITY DIVIDEND C	0.00	0.17	0.00	0.17	95.0	0.16
03/31/2018	KING, DAVID	BLK EQUITY DIVIDEND C	0.00	0.52	0.00	0.52	95.0	0.49
/ /	SOLDAN-, MATTHEW	CALAMOS GROWTH & INCOME A	0.00	3.18	0.00	3.18	95.0	3.02
/ /	GRAVES, ANNE	CALAMOS GROWTH A	0.00	13.16	0.00	13.16	95.0	12.50
/ /	SOLDAN-, MATTHEW	CALAMOS GROWTH A	0.00	3.04	0.00	3.04	95.0	2.89
/ /	SOBIESKI, JOYCE	CALAMOS GROWTH C	0.00	26.78	0.00	26.78	95.0	25.44
04/04/2018	MERRITT, KATHY	COLUMBIA ACORN A	0.00	10.58	0.00	10.58	95.0	10.05
04/04/2018	EQUITY TRUST CO	COLUMBIA ACORN A	0.00	5.31	0.00	5.31	95.0	5.04
04/04/2018	MOORE, DONYELLE	COLUMBIA EQUITY VALUE A	0.00	1.04	0.00	1.04	95.0	0.99
04/04/2018	MUNTEANU, RADU	COLUMBIA GREATER CHINA A	0.00	9.92	0.00	9.92	95.0	9.42
04/04/2018	KLEMPNER TRUST, VLADIMIR	COLUMBIA INCOME BUILDER FUND A	0.00	9.51	0.00	9.51	95.0	9.03
04/04/2018	SMYTH, DAVID	COLUMBIA LARGE CAP GROWTH A	0.00	3.75	0.00	3.75	95.0	3.56
04/04/2018	MOORE, DONYELLE	COLUMBIA MIDCAP VALUE A	0.00	9.31	0.00	9.31	95.0	8.84
04/04/2018	KULA, THOMAS	COLUMBIA SELIGMAN COMM AND INFO A	0.00	3.39	0.00	3.39	95.0	3.22
04/04/2018	HOSKIN, JOHN	COLUMBIA SELIGMAN COMM AND INFO A	0.00	6.86	0.00	6.86	95.0	6.52
04/04/2018	SWIDER, ROB	COLUMBIA SELIGMAN COMM AND INFO A	0.00	7.07	0.00	7.07	95.0	6.72
04/04/2018	VANMEER, MICHAEL	COLUMBIA SELIGMAN COMM AND INFO A	0.00	4.21	0.00	4.21	95.0	4.00
04/04/2018	SCULLY, DOROTHY	COLUMBIA SELIGMAN COMM AND INFO C	0.00	50.96	0.00	50.96	95.0	48.41
04/04/2018	FALKIEWICZ, DAVID	COLUMBIA SMALL CAP VALUE I A	0.00	6.34	0.00	6.34	95.0	6.02
04/04/2018	MOORE, DONYELLE	COLUMBIA SMALL CAP VALUE I A	0.00	5.27	0.00	5.27	95.0	5.01
04/04/2018	KUCHAREK, EMMA	COLUMBIA STRATEGIC INVESTOR A	0.00	0.20	0.00	0.20	95.0	0.19
04/04/2018	KUCHAREK, PETER	COLUMBIA STRATEGIC INVESTOR A	0.00	0.20	0.00	0.20	95.0	0.19
04/04/2018	KUCHAREK, GILLIAN	COLUMBIA STRATEGIC INVESTOR A	0.00	0.20	0.00	0.20	95.0	0.19
04/04/2018	KUCHAREK, SARAH	COLUMBIA STRATEGIC INVESTOR A	0.00	0.20	0.00	0.20	95.0	0.19
04/04/2018	KINGSLEY, BRIAN GENE	COLUMBIA STRATEGIC INVESTOR A	0.00	2.88	0.00	2.88	95.0	2.74
04/04/2018	KUCHAREK, MIRIAM	COLUMBIA STRATEGIC INVESTOR A	0.00	0.21	0.00	0.21	95.0	0.20
04/02/2018	VARTABEDIAN, ROBERT	DAVIS FINANCIAL A	0.00	7.08	0.00	7.08	95.0	6.73
04/02/2018	ROY, JACKIE	DAVIS FINANCIAL A	0.00	7.02	0.00	7.02	95.0	6.67
04/02/2018	ROY, LORAIN	DAVIS FINANCIAL A	0.00	3.65	0.00	3.65	95.0	3.47
04/02/2018	SZETO, CHOWN	DAVIS FINANCIAL A	0.00	1.66	0.00	1.66	95.0	1.58
04/02/2018	MICHON, ERIK	DAVIS FINANCIAL A	0.00	2.06	0.00	2.06	95.0	1.96

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>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
04/02/2018	ROCCA, HELEN	DAVIS FINANCIAL A	0.00	6.59	0.00	6.59	95.0	6.26
04/02/2018	ROCCA, JOHN	DAVIS FINANCIAL A	0.00	11.26	0.00	11.26	95.0	10.70
04/02/2018	SMITH, DENNIS	DAVIS FINANCIAL A	0.00	4.67	0.00	4.67	95.0	4.44
04/02/2018	DUDZIK, ELZBIETA	DAVIS FINANCIAL A	0.00	4.24	0.00	4.24	95.0	4.03
04/02/2018	ROCCA, HELEN	DAVIS FINANCIAL A	0.00	5.02	0.00	5.02	95.0	4.77
04/02/2018	ROCCA, JOHN	DAVIS FINANCIAL A	0.00	0.86	0.00	0.86	95.0	0.82
04/02/2018	TSANGANOS, OURANIA	DAVIS GLOBAL A	0.00	17.63	0.00	17.63	95.0	16.75
04/02/2018	TSANGANOS, NICHOLAOS	DAVIS GLOBAL A	0.00	17.63	0.00	17.63	95.0	16.75
04/02/2018	SELVAGGIO, VINCENZA	DAVIS GLOBAL A	0.00	4.72	0.00	4.72	95.0	4.48
04/02/2018	FRAZE, BILL	DAVIS GLOBAL A	0.00	5.69	0.00	5.69	95.0	5.41
04/02/2018	VANDERMEER, BRETT	DAVIS GLOBAL A	0.00	10.19	0.00	10.19	95.0	9.68
04/02/2018	VANDERMEER, PAIGE	DAVIS GLOBAL A	0.00	10.19	0.00	10.19	95.0	9.68
04/02/2018	VARTABEDIAN, ROBERT	DAVIS GLOBAL A	0.00	6.25	0.00	6.25	95.0	5.94
04/02/2018	TSANGANOS, LEONIDAS	DAVIS GLOBAL A	0.00	11.30	0.00	11.30	95.0	10.74
04/02/2018	MITSOPOULOS, GEORGIA	DAVIS GLOBAL A	0.00	1.96	0.00	1.96	95.0	1.86
04/02/2018	MITSOPOULOS, GEORGIA	DAVIS GLOBAL A	0.00	2.46	0.00	2.46	95.0	2.34
04/02/2018	DUDZIK, ELZBIETA	DAVIS GLOBAL A	0.00	2.36	0.00	2.36	95.0	2.24
04/02/2018	TSANGANOS, LEONIDAS	DAVIS GLOBAL A	0.00	6.65	0.00	6.65	95.0	6.32
04/02/2018	PISTOLESI, LEIGH	DAVIS GLOBAL A	0.00	2.96	0.00	2.96	95.0	2.81
04/02/2018	PISTOLESI, VAUGHN	DAVIS GLOBAL A	0.00	10.92	0.00	10.92	95.0	10.37
04/02/2018	SMITH, AMELIA	DAVIS GLOBAL A	0.00	1.27	0.00	1.27	95.0	1.21
04/02/2018	KIRSCHLING UTMA-MI, ANNA	DAVIS GLOBAL A	0.00	1.13	0.00	1.13	95.0	1.07
04/02/2018	ROCCA, HELEN	DAVIS GLOBAL A	0.00	2.64	0.00	2.64	95.0	2.51
04/02/2018	DANNIS, DIANE	DAVIS GLOBAL A	0.00	3.87	0.00	3.87	95.0	3.68
04/02/2018	SELVAGGIO, STEVE	DAVIS GLOBAL A	0.00	3.11	0.00	3.11	95.0	2.95
04/02/2018	VANDERMEER, SANDRA	DAVIS GLOBAL A	0.00	4.74	0.00	4.74	95.0	4.50
04/02/2018	VARTABEDIAN, ROBERT	DAVIS GOVERNMENT MONEY MARKET A	0.00	0.00	0.00	0.00	95.0	0.00
04/02/2018	HARRIS TRUST, JACOB	DAVIS NEW YORK VENTURE A	0.00	3.06	0.00	3.06	95.0	2.91
04/02/2018	PAPPAS, LARRY	DAVIS NEW YORK VENTURE A	0.00	156.04	0.00	156.04	95.0	148.24
04/02/2018	POLYZOIS, ALEX	DAVIS NEW YORK VENTURE A	0.00	5.40	0.00	5.40	95.0	5.13
04/02/2018	MURPHY, SEAN	DAVIS NEW YORK VENTURE A	0.00	18.41	0.00	18.41	95.0	17.49
04/02/2018	LUSK, AMY	DAVIS NEW YORK VENTURE A	0.00	4.19	0.00	4.19	95.0	3.98
04/02/2018	COMAIANNI, KATHLEEN	DAVIS NEW YORK VENTURE A	0.00	18.78	0.00	18.78	95.0	17.84

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>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
04/02/2018	PESSINA, GAIL	DAVIS NEW YORK VENTURE A	0.00	79.90	0.00	79.90	95.0	75.91
04/02/2018	VARTABEDIAN, MARGARET	DAVIS NEW YORK VENTURE A	0.00	12.52	0.00	12.52	95.0	11.89
04/02/2018	TSEREGOUNIS, SPYROS	DAVIS NEW YORK VENTURE A	0.00	63.84	0.00	63.84	95.0	60.65
04/02/2018	CIAGLO, BETTY	DAVIS NEW YORK VENTURE A	0.00	98.19	0.00	98.19	95.0	93.28
04/02/2018	ANASTASIOU, BASILE	DAVIS NEW YORK VENTURE A	0.00	10.28	0.00	10.28	95.0	9.77
04/02/2018	ARVANT, PETER	DAVIS NEW YORK VENTURE A	0.00	203.02	0.00	203.02	95.0	192.87
04/02/2018	VARTABEDIAN, ROBERT	DAVIS NEW YORK VENTURE A	0.00	7.15	0.00	7.15	95.0	6.79
04/02/2018	REYNOLDS, DONALD	DAVIS NEW YORK VENTURE A	0.00	68.64	0.00	68.64	95.0	65.21
04/02/2018	YET, CHARLES	DAVIS NEW YORK VENTURE A	0.00	4.80	0.00	4.80	95.0	4.56
04/02/2018	TSANGANOS, NICHOLAOS	DAVIS NEW YORK VENTURE A	0.00	63.84	0.00	63.84	95.0	60.65
04/02/2018	RUFFINO, ERNESTINE	DAVIS NEW YORK VENTURE A	0.00	45.62	0.00	45.62	95.0	43.34
04/02/2018	VARTABEDIAN, ARTHUR	DAVIS NEW YORK VENTURE A	0.00	4.79	0.00	4.79	95.0	4.55
04/02/2018	KNOWLES, SHANA	DAVIS NEW YORK VENTURE A	0.00	1.26	0.00	1.26	95.0	1.20
04/02/2018	PISTOLESI, VAUGHN	DAVIS NEW YORK VENTURE A	0.00	30.79	0.00	30.79	95.0	29.25
04/02/2018	PISTOLESI, LEIGH	DAVIS NEW YORK VENTURE A	0.00	3.78	0.00	3.78	95.0	3.59
04/02/2018	CISSELL, MICHELLE	DAVIS NEW YORK VENTURE A	0.00	22.08	0.00	22.08	95.0	20.98
04/02/2018	SUCHYTZ, DAVID	DAVIS NEW YORK VENTURE A	0.00	19.41	0.00	19.41	95.0	18.44
04/02/2018	ANDREAPOULOS, FOTINI	DAVIS NEW YORK VENTURE A	0.00	13.32	0.00	13.32	95.0	12.65
04/02/2018	ROY, JACKIE	DAVIS NEW YORK VENTURE A	0.00	5.25	0.00	5.25	95.0	4.99
04/02/2018	ROY, LORAIN	DAVIS NEW YORK VENTURE A	0.00	5.40	0.00	5.40	95.0	5.13
04/02/2018	SZETO, CHOWN	DAVIS NEW YORK VENTURE A	0.00	1.44	0.00	1.44	95.0	1.37
04/02/2018	DOUTSAS, FREIDA	DAVIS NEW YORK VENTURE A	0.00	48.17	0.00	48.17	95.0	45.76
04/02/2018	POTTS, JEFFERY	DAVIS NEW YORK VENTURE A	0.00	19.17	0.00	19.17	95.0	18.21
04/02/2018	SHERMAN, SCOTT	DAVIS NEW YORK VENTURE A	0.00	3.48	0.00	3.48	95.0	3.31
04/02/2018	PARTALIS, CHRISTINE	DAVIS NEW YORK VENTURE A	0.00	5.46	0.00	5.46	95.0	5.19
04/02/2018	CISSELL, EVAN	DAVIS NEW YORK VENTURE A	0.00	42.92	0.00	42.92	95.0	40.77
04/02/2018	GRUENBURG, ROY	DAVIS NEW YORK VENTURE A	0.00	33.82	0.00	33.82	95.0	32.13
04/02/2018	ROCCA, HELEN	DAVIS NEW YORK VENTURE A	0.00	21.66	0.00	21.66	95.0	20.58
04/02/2018	ROCCA, JOHN	DAVIS NEW YORK VENTURE A	0.00	28.28	0.00	28.28	95.0	26.87
04/02/2018	SELVAGGIO, VINCENZA	DAVIS NEW YORK VENTURE A	0.00	0.65	0.00	0.65	95.0	0.62
04/02/2018	TSANGANOS, LEONIDAS	DAVIS NEW YORK VENTURE A	0.00	12.51	0.00	12.51	95.0	11.88
04/02/2018	SELVAGGIO, STEVE	DAVIS NEW YORK VENTURE A	0.00	1.36	0.00	1.36	95.0	1.29
04/02/2018	SMITH, DENNIS	DAVIS NEW YORK VENTURE A	0.00	4.80	0.00	4.80	95.0	4.56

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>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
04/02/2018	FRAZHO, JENNIFER	DAVIS NEW YORK VENTURE A	0.00	0.70	0.00	0.70	95.0	0.67
04/02/2018	TSOUKALAS, IOANNIS	DAVIS NEW YORK VENTURE A	0.00	4.31	0.00	4.31	95.0	4.09
04/02/2018	BECKER, ADRIANNA	DAVIS NEW YORK VENTURE A	0.00	1.12	0.00	1.12	95.0	1.06
04/02/2018	DUDZIK, ELZBIETA	DAVIS NEW YORK VENTURE A	0.00	25.91	0.00	25.91	95.0	24.61
04/02/2018	VARTABEDIAN, TED	DAVIS NEW YORK VENTURE A	0.00	41.06	0.00	41.06	95.0	39.01
04/02/2018	PAVLIK, SUZANNE	DAVIS NEW YORK VENTURE A	0.00	8.05	0.00	8.05	95.0	7.65
04/02/2018	KOECHIG, CHRISTOPHER	DAVIS NEW YORK VENTURE A	0.00	0.93	0.00	0.93	95.0	0.88
04/02/2018	RAPER, LORRAINE	DAVIS NEW YORK VENTURE A	0.00	8.41	0.00	8.41	95.0	7.99
04/02/2018	MORICI, MICHELLE	DAVIS NEW YORK VENTURE A	0.00	32.40	0.00	32.40	95.0	30.78
04/02/2018	RITTER, WILLIAM	DAVIS NEW YORK VENTURE A	0.00	10.77	0.00	10.77	95.0	10.23
04/02/2018	ZAWACKI, SANDY	DAVIS NEW YORK VENTURE A	0.00	46.88	0.00	46.88	95.0	44.54
04/02/2018	KEMPERMAN, MICHELLE	DAVIS NEW YORK VENTURE A	0.00	9.35	0.00	9.35	95.0	8.88
04/02/2018	SCULLY, KATHLEEN	DAVIS NEW YORK VENTURE A	0.00	14.75	0.00	14.75	95.0	14.01
04/02/2018	BROSHEAR, KARA	DAVIS NEW YORK VENTURE A	0.00	15.12	0.00	15.12	95.0	14.36
04/02/2018	BROSHEAR, MARK	DAVIS NEW YORK VENTURE A	0.00	16.91	0.00	16.91	95.0	16.06
04/02/2018	PETRO, PAUL	DAVIS NEW YORK VENTURE A	0.00	32.81	0.00	32.81	95.0	31.17
04/02/2018	PISTOLESI, MORGAN	DAVIS NEW YORK VENTURE A	0.00	0.66	0.00	0.66	95.0	0.63
04/02/2018	GARLAND, DAWN	DAVIS NEW YORK VENTURE A	0.00	10.07	0.00	10.07	95.0	9.57
04/02/2018	KISH, VIVIAN	DAVIS NEW YORK VENTURE A	0.00	31.64	0.00	31.64	95.0	30.06
04/02/2018	KISH, VIVIAN	DAVIS NEW YORK VENTURE A	0.00	53.45	0.00	53.45	95.0	50.78
04/02/2018	LAPORTE, NATANIAL	DAVIS NEW YORK VENTURE A	0.00	2.57	0.00	2.57	95.0	2.44
04/02/2018	CUDNIK, LEONARD	DAVIS NEW YORK VENTURE A	0.00	19.45	0.00	19.45	95.0	18.48
04/02/2018	GABRAIL, JALAL	DAVIS NEW YORK VENTURE A	0.00	3.10	0.00	3.10	95.0	2.95
04/02/2018	MANSOUR, EVA	DAVIS NEW YORK VENTURE A	0.00	1.47	0.00	1.47	95.0	1.40
04/02/2018	MOELLER, RICHARD	DAVIS NEW YORK VENTURE A	0.00	10.62	0.00	10.62	95.0	10.09
04/02/2018	NICOLOSI, ROSE	DAVIS NEW YORK VENTURE A	0.00	15.72	0.00	15.72	95.0	14.93
04/02/2018	PISTOLESI, VAUGHN	DAVIS NEW YORK VENTURE A	0.00	12.17	0.00	12.17	95.0	11.56
04/02/2018	MORELLI, MARY	DAVIS NEW YORK VENTURE A	0.00	133.42	0.00	133.42	95.0	126.75
04/02/2018	MORELLI, MARY	DAVIS NEW YORK VENTURE A	0.00	34.16	0.00	34.16	95.0	32.45
04/02/2018	ANDREOPOULOS, KOULA	DAVIS NEW YORK VENTURE A	0.00	26.31	0.00	26.31	95.0	24.99
04/02/2018	BARBER, IAN	DAVIS NEW YORK VENTURE A	0.00	6.58	0.00	6.58	95.0	6.25
04/02/2018	BANKS, VICTORIA	DAVIS NEW YORK VENTURE A	0.00	19.73	0.00	19.73	95.0	18.74
04/02/2018	NIKOU, JIMMY	DAVIS NEW YORK VENTURE A	0.00	68.69	0.00	68.69	95.0	65.26

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>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
04/02/2018	ANASTASIOU, DESPINA	DAVIS NEW YORK VENTURE A	0.00	36.35	0.00	36.35	95.0	34.53
04/02/2018	ANASTASIOU, BASILE	DAVIS NEW YORK VENTURE A	0.00	72.72	0.00	72.72	95.0	69.08
04/02/2018	CISSELL, EVAN	DAVIS NEW YORK VENTURE A	0.00	19.72	0.00	19.72	95.0	18.73
04/02/2018	CISSELL, PATRICIA	DAVIS NEW YORK VENTURE A	0.00	100.37	0.00	100.37	95.0	95.35
04/02/2018	WALSH, MICHAEL	DAVIS NEW YORK VENTURE A	0.00	2.83	0.00	2.83	95.0	2.69
04/02/2018	SUCHYTA, DENNIS	DAVIS NEW YORK VENTURE A	0.00	4.34	0.00	4.34	95.0	4.12
04/02/2018	TASCH, MARTIN	DAVIS NEW YORK VENTURE A	0.00	10.43	0.00	10.43	95.0	9.91
04/02/2018	ARVANT, PETER	DAVIS NEW YORK VENTURE A	0.00	168.39	0.00	168.39	95.0	159.97
04/02/2018	FRAZE, BILL	DAVIS NEW YORK VENTURE A	0.00	109.14	0.00	109.14	95.0	103.68
04/02/2018	ROBINETTE, JANET	DAVIS NEW YORK VENTURE A	0.00	21.80	0.00	21.80	95.0	20.71
04/02/2018	HOWARD, LISA	DAVIS NEW YORK VENTURE A	0.00	7.74	0.00	7.74	95.0	7.35
04/02/2018	ROCCA, ALEX	DAVIS NEW YORK VENTURE A	0.00	3.07	0.00	3.07	95.0	2.92
04/02/2018	ROCCA, AARON	DAVIS NEW YORK VENTURE A	0.00	3.07	0.00	3.07	95.0	2.92
04/02/2018	ROCCA, JACQUELYN	DAVIS NEW YORK VENTURE A	0.00	3.07	0.00	3.07	95.0	2.92
04/02/2018	ROCCA, HELEN	DAVIS NEW YORK VENTURE A	0.00	10.68	0.00	10.68	95.0	10.15
04/02/2018	TSANGANOS, LABRENE	DAVIS NEW YORK VENTURE A	0.00	26.56	0.00	26.56	95.0	25.23
04/02/2018	PESSINA, GAIL	DAVIS NEW YORK VENTURE A	0.00	105.79	0.00	105.79	95.0	100.50
04/02/2018	MASTERSON, ANNA	DAVIS NEW YORK VENTURE A	0.00	0.76	0.00	0.76	95.0	0.72
04/02/2018	DOUTSAS, CHRIS	DAVIS NEW YORK VENTURE A	0.00	26.92	0.00	26.92	95.0	25.57
04/02/2018	REDDEN, TODD	DAVIS NEW YORK VENTURE A	0.00	4.27	0.00	4.27	95.0	4.06
04/02/2018	DOUMAS, IRENE	DAVIS NEW YORK VENTURE A	0.00	25.47	0.00	25.47	95.0	24.20
04/02/2018	DANNIS, DIANE	DAVIS NEW YORK VENTURE A	0.00	19.89	0.00	19.89	95.0	18.90
04/02/2018	OVERMYER, SUSAN	DAVIS NEW YORK VENTURE A	0.00	156.83	0.00	156.83	95.0	148.99
04/02/2018	GRUENER, ELEANOR	DAVIS NEW YORK VENTURE A	0.00	95.91	0.00	95.91	95.0	91.11
04/02/2018	DAVIS, JAMES	DAVIS NEW YORK VENTURE A	0.00	26.74	0.00	26.74	95.0	25.40
04/02/2018	KOPRINCE, RYAN	DAVIS NEW YORK VENTURE A	0.00	1.79	0.00	1.79	95.0	1.70
04/02/2018	COMAIANNI, KATHLEEN	DAVIS NEW YORK VENTURE A	0.00	22.73	0.00	22.73	95.0	21.59
04/02/2018	DOUTSAS, MICHAEL	DAVIS NEW YORK VENTURE A	0.00	5.32	0.00	5.32	95.0	5.05
04/02/2018	SUCHER, ADAM	DAVIS NEW YORK VENTURE A	0.00	3.64	0.00	3.64	95.0	3.46
04/02/2018	SCULLY, DOROTHY	DAVIS NEW YORK VENTURE A	0.00	199.08	0.00	199.08	95.0	189.13
04/02/2018	STUDAKER, RICHARD	DAVIS NEW YORK VENTURE A	0.00	71.57	0.00	71.57	95.0	67.99
04/02/2018	POLYZOIS, ELLIE	DAVIS NEW YORK VENTURE A	0.00	55.63	0.00	55.63	95.0	52.85
04/02/2018	PSIHOPEDAS, NICHOLAS	DAVIS NEW YORK VENTURE A	0.00	6.79	0.00	6.79	95.0	6.45

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>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
04/02/2018	DOUSAS, DANNIE	DAVIS NEW YORK VENTURE A	0.00	8.82	0.00	8.82	95.0	8.38
04/02/2018	SELVAGGIO, ANTHONY	DAVIS NEW YORK VENTURE A	0.00	4.51	0.00	4.51	95.0	4.28
04/02/2018	SELVAGGIO, STEVE	DAVIS NEW YORK VENTURE A	0.00	1.72	0.00	1.72	95.0	1.63
04/02/2018	SELVAGGIO, VINCENZA	DAVIS NEW YORK VENTURE A	0.00	6.85	0.00	6.85	95.0	6.51
04/02/2018	PSIHOPEDAS, STAPHANIE	DAVIS NEW YORK VENTURE A	0.00	5.48	0.00	5.48	95.0	5.21
04/02/2018	HATSIOS, DEMETRIUS	DAVIS NEW YORK VENTURE A	0.00	4.99	0.00	4.99	95.0	4.74
04/02/2018	VANDERMEER, SANDRA	DAVIS NEW YORK VENTURE A	0.00	115.15	0.00	115.15	95.0	109.39
04/02/2018	FEINBERG, MARK	DAVIS NEW YORK VENTURE A	0.00	7.92	0.00	7.92	95.0	7.52
04/02/2018	LEMPINEN, DIANE	DAVIS NEW YORK VENTURE A	0.00	143.81	0.00	143.81	95.0	136.62
04/02/2018	SUCHER, ALLIE	DAVIS NEW YORK VENTURE A	0.00	3.42	0.00	3.42	95.0	3.25
04/02/2018	SUCHER, ERIK	DAVIS NEW YORK VENTURE A	0.00	3.42	0.00	3.42	95.0	3.25
04/02/2018	PAPPAS, JOHN	DAVIS NEW YORK VENTURE A	0.00	9.64	0.00	9.64	95.0	9.16
04/02/2018	BOLOGNA, ADAM	DAVIS NEW YORK VENTURE A	0.00	15.19	0.00	15.19	95.0	14.43
04/02/2018	PRATER-MANOR, AMY	DAVIS NEW YORK VENTURE A	0.00	71.57	0.00	71.57	95.0	67.99
04/02/2018	PRATER-MANOR, SARAH	DAVIS NEW YORK VENTURE A	0.00	72.35	0.00	72.35	95.0	68.73
04/02/2018	PESSINA, JOHN	DAVIS NEW YORK VENTURE A	0.00	16.42	0.00	16.42	95.0	15.60
04/02/2018	RICCHIUTI, HERMAN	DAVIS NEW YORK VENTURE A	0.00	93.19	0.00	93.19	95.0	88.53
04/02/2018	OVERMYER, EMILY	DAVIS NEW YORK VENTURE A	0.00	17.68	0.00	17.68	95.0	16.80
04/02/2018	OVERMYER, STEVEN	DAVIS NEW YORK VENTURE A	0.00	58.32	0.00	58.32	95.0	55.40
04/02/2018	PAPPAS, JOHN	DAVIS NEW YORK VENTURE A	0.00	38.06	0.00	38.06	95.0	36.16
04/02/2018	YET, BETTY	DAVIS NEW YORK VENTURE A	0.00	155.97	0.00	155.97	95.0	148.17
04/02/2018	GIARRATANO, LAUREN	DAVIS NEW YORK VENTURE A	0.00	1.60	0.00	1.60	95.0	1.52
04/02/2018	ROCCA, JOHN	DAVIS NEW YORK VENTURE A	0.00	2.31	0.00	2.31	95.0	2.19
04/02/2018	POTEMPA TRUST	DAVIS NEW YORK VENTURE A	0.00	23.75	0.00	23.75	95.0	22.56
04/02/2018	KRAUSE, BARBARA	DAVIS NEW YORK VENTURE A	0.00	34.04	0.00	34.04	95.0	32.34
04/02/2018	PISTOLESI, VAUGHN	DAVIS NEW YORK VENTURE B	0.00	8.32	0.00	8.32	95.0	7.90
04/02/2018	PISTOLESI, LEIGH	DAVIS NEW YORK VENTURE B	0.00	0.70	0.00	0.70	95.0	0.67
04/02/2018	MORICI, MICHELLE	DAVIS NEW YORK VENTURE B	0.00	2.48	0.00	2.48	95.0	2.36
04/02/2018	RITTER, WILLIAM	DAVIS NEW YORK VENTURE B	0.00	1.23	0.00	1.23	95.0	1.17
04/02/2018	GARLAND, DAWN	DAVIS NEW YORK VENTURE B	0.00	1.49	0.00	1.49	95.0	1.42
04/02/2018	PISTOLESI, MORGAN	DAVIS NEW YORK VENTURE B	0.00	0.85	0.00	0.85	95.0	0.81
04/02/2018	LIEN, CONNIE	DAVIS NEW YORK VENTURE C	0.00	37.96	0.00	37.96	95.0	36.06
04/02/2018	CISSELL, JOHN	DAVIS NEW YORK VENTURE C	0.00	444.67	0.00	444.67	95.0	422.44

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>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
04/02/2018	CISSELL, PATRICIA	DAVIS NEW YORK VENTURE C	0.00	444.67	0.00	444.67	95.0	422.44
04/02/2018	TSANGANOS, OURANIA	DAVIS OPPORTUNITY A	0.00	34.05	0.00	34.05	95.0	32.35
04/02/2018	TSANGANOS, NICHOLAOS	DAVIS OPPORTUNITY A	0.00	34.05	0.00	34.05	95.0	32.35
04/02/2018	CISSELL, JOHN	DAVIS OPPORTUNITY A	0.00	179.03	0.00	179.03	95.0	170.08
04/02/2018	SELVAGGIO, VINCENZA	DAVIS OPPORTUNITY A	0.00	7.91	0.00	7.91	95.0	7.51
04/02/2018	SELVAGGIO, STEVE	DAVIS OPPORTUNITY A	0.00	27.17	0.00	27.17	95.0	25.81
04/02/2018	CIAGLO, BETTY	DAVIS OPPORTUNITY A	0.00	26.95	0.00	26.95	95.0	25.60
04/02/2018	BANKS, VICTORIA	DAVIS OPPORTUNITY A	0.00	19.82	0.00	19.82	95.0	18.83
04/02/2018	PRATER-MANOR, SARAH	DAVIS OPPORTUNITY A	0.00	16.88	0.00	16.88	95.0	16.04
04/02/2018	PRATER-MANOR, AMY	DAVIS OPPORTUNITY A	0.00	18.26	0.00	18.26	95.0	17.35
04/02/2018	ROCCA, HELEN	DAVIS OPPORTUNITY A	0.00	4.61	0.00	4.61	95.0	4.38
04/02/2018	ROCCA, JOHN	DAVIS OPPORTUNITY A	0.00	9.82	0.00	9.82	95.0	9.33
04/02/2018	TSANGANOS, LEONIDAS	DAVIS OPPORTUNITY A	0.00	6.83	0.00	6.83	95.0	6.49
04/02/2018	TSANGANOS, LEONIDAS	DAVIS OPPORTUNITY A	0.00	23.19	0.00	23.19	95.0	22.03
04/02/2018	AMERMAN, LORI	DAVIS OPPORTUNITY A	0.00	3.66	0.00	3.66	95.0	3.48
04/02/2018	ROCCA, HELEN	DAVIS OPPORTUNITY A	0.00	1.06	0.00	1.06	95.0	1.01
04/02/2018	VANDERMEER, BRYON	DAVIS OPPORTUNITY A	0.00	67.49	0.00	67.49	95.0	64.12
04/02/2018	DOUTSAS, DANNIE	DAVIS OPPORTUNITY A	0.00	12.53	0.00	12.53	95.0	11.90
04/02/2018	VANDERMEER, SANDRA	DAVIS OPPORTUNITY A	0.00	12.17	0.00	12.17	95.0	11.56
04/02/2018	SELVAGGIO, VINCENZA	DAVIS REAL ESTATE A	0.00	2.57	0.00	2.57	95.0	2.44
04/02/2018	SELVAGGIO, STEVE	DAVIS REAL ESTATE A	0.00	5.04	0.00	5.04	95.0	4.79
04/02/2018	VARTABEDIAN, ROBERT	DAVIS REAL ESTATE A	0.00	5.72	0.00	5.72	95.0	5.43
04/02/2018	ROY, JACKIE	DAVIS REAL ESTATE A	0.00	4.95	0.00	4.95	95.0	4.70
04/02/2018	ROY, LORAIN	DAVIS REAL ESTATE A	0.00	3.88	0.00	3.88	95.0	3.69
04/02/2018	SZETO, CHOWN	DAVIS REAL ESTATE A	0.00	1.27	0.00	1.27	95.0	1.21
04/02/2018	MICHON, ERIK	DAVIS REAL ESTATE A	0.00	1.95	0.00	1.95	95.0	1.85
04/02/2018	ROCCA, HELEN	DAVIS REAL ESTATE A	0.00	0.64	0.00	0.64	95.0	0.61
04/02/2018	ROCCA, JOHN	DAVIS REAL ESTATE A	0.00	2.10	0.00	2.10	95.0	2.00
04/02/2018	SMITH, DENNIS	DAVIS REAL ESTATE A	0.00	4.62	0.00	4.62	95.0	4.39
04/02/2018	MITSOPOULOS, GEORGIA	DAVIS REAL ESTATE A	0.00	2.98	0.00	2.98	95.0	2.83
04/02/2018	DUDZIK, ELZBIETA	DAVIS REAL ESTATE A	0.00	4.22	0.00	4.22	95.0	4.01
04/02/2018	VANDERMEER, SANDRA	DAVIS REAL ESTATE A	0.00	4.49	0.00	4.49	95.0	4.27
03/31/2018	COOPER, LISA	GLOBAL ALLOCATION FUND	0.00	3.41	0.00	3.41	95.0	3.24

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>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
03/31/2018	YASCH, TONI	GLOBAL ALLOCATION FUND	0.00	0.58	0.00	0.58	95.0	0.55
03/31/2018	KUCHAREK, PAUL	GLOBAL ALLOCATION FUND	0.00	2.53	0.00	2.53	95.0	2.40
03/31/2018	HOOTNER-JONES, ANN	GLOBAL ALLOCATION FUND	0.00	5.36	0.00	5.36	95.0	5.09
03/31/2018	HOOTNER-JONES, ANN	GLOBAL ALLOCATION FUND	0.00	3.58	0.00	3.58	95.0	3.40
03/31/2018	HOOTNER-JONES, ANN	GLOBAL ALLOCATION FUND	0.00	3.58	0.00	3.58	95.0	3.40
03/31/2018	BURKE, KIMBERLY	GLOBAL ALLOCATION FUND	0.00	6.58	0.00	6.58	95.0	6.25
03/31/2018	YASCH, KEN	GLOBAL ALLOCATION FUND	0.00	0.62	0.00	0.62	95.0	0.59
03/31/2018	COOPER, LISA	GLOBAL ALLOCATION FUND	0.00	3.05	0.00	3.05	95.0	2.90
03/31/2018	MERRITT, GREGORY	GLOBAL ALLOCATION FUND	0.00	2.17	0.00	2.17	95.0	2.06
/ /	WAGNER, SHARON	GUGGENHEIM NASDAQ 100-H	0.00	0.55	0.00	0.55	95.0	0.52
04/01/2018	SABOL, NICHOLAS	INVESCO AMERICAN FRANCHISE A	0.00	4.11	0.00	4.11	95.0	3.90
04/01/2018	WATSON, WILLIAM	INVESCO AMERICAN FRANCHISE A	0.00	14.84	0.00	14.84	95.0	14.10
04/01/2018	HENDERSON JT TEN, CAROLYN	INVESCO AMERICAN FRANCHISE A	0.00	2.94	0.00	2.94	95.0	2.79
04/01/2018	SABOL, MAXWELLA	INVESCO AMERICAN FRANCHISE A	0.00	16.00	0.00	16.00	95.0	15.20
04/01/2018	PELC TOD ACCOUNT, RODERICK	INVESCO AMERICAN FRANCHISE A	0.00	0.70	0.00	0.70	95.0	0.67
04/01/2018	DANDRON, JAY	INVESCO AMERICAN FRANCHISE A	0.00	5.52	0.00	5.52	95.0	5.24
04/01/2018	MOYER-GUSE, EMILY	INVESCO AMERICAN FRANCHISE A	0.00	6.93	0.00	6.93	95.0	6.58
04/01/2018	VANDAELE, JENNIFER	INVESCO AMERICAN FRANCHISE A	0.00	0.98	0.00	0.98	95.0	0.93
04/01/2018	VAN DAELE, JILLIAN	INVESCO AMERICAN FRANCHISE A	0.00	0.39	0.00	0.39	95.0	0.37
04/01/2018	VAN DAELE, JANE	INVESCO AMERICAN FRANCHISE A	0.00	0.16	0.00	0.16	95.0	0.15
04/01/2018	GRUBER, ALYSSA	INVESCO AMERICAN FRANCHISE A	0.00	0.47	0.00	0.47	95.0	0.45
04/01/2018	SCHROETER, RICHARD	INVESCO AMERICAN FRANCHISE A	0.00	1.03	0.00	1.03	95.0	0.98
04/01/2018	SALLEY, MATTHEW	INVESCO AMERICAN FRANCHISE A	0.00	0.47	0.00	0.47	95.0	0.45
04/01/2018	SALLEY, TERENCE	INVESCO AMERICAN FRANCHISE A	0.00	0.31	0.00	0.31	95.0	0.29
04/01/2018	ELBERT UTMA/MI, NICHOLAS	INVESCO AMERICAN FRANCHISE A	0.00	0.52	0.00	0.52	95.0	0.49
04/01/2018	MCINTYRE, SCOTT	INVESCO AMERICAN FRANCHISE A	0.00	0.18	0.00	0.18	95.0	0.17
04/01/2018	NOWACKI, MICHAEL	INVESCO AMERICAN FRANCHISE A	0.00	1.30	0.00	1.30	95.0	1.24
04/01/2018	WILLIAMS, PAUL	INVESCO AMERICAN FRANCHISE A	0.00	1.93	0.00	1.93	95.0	1.83
04/01/2018	SCHROETER, MARY	INVESCO AMERICAN FRANCHISE A	0.00	1.03	0.00	1.03	95.0	0.98
04/01/2018	MCINTYRE, SCOTT	INVESCO AMERICAN FRANCHISE A	0.00	0.14	0.00	0.14	95.0	0.13
04/01/2018	BUTLER, PAUL	INVESCO AMERICAN FRANCHISE A	0.00	1.81	0.00	1.81	95.0	1.72
04/01/2018	GILLESPIE, SCOTT	INVESCO AMERICAN FRANCHISE A	0.00	0.16	0.00	0.16	95.0	0.15
04/01/2018	HUNTER UGMA/MI, NICOLE	INVESCO AMERICAN FRANCHISE A	0.00	0.99	0.00	0.99	95.0	0.94

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>DIRECT TRANSACTIONS</u>								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS								
04/01/2018	KOWAL UGMA/MI, ALEXANDER	INVESCO AMERICAN FRANCHISE A	0.00	19.41	0.00	19.41	95.0	18.44
04/01/2018	MARSH/SEP, GARY	INVESCO AMERICAN FRANCHISE A	0.00	9.16	0.00	9.16	95.0	8.70
04/01/2018	JOHNSON, DANIEL	INVESCO AMERICAN FRANCHISE A	0.00	0.35	0.00	0.35	95.0	0.33
04/01/2018	O'BRIEN, AMY	INVESCO AMERICAN FRANCHISE A	0.00	4.64	0.00	4.64	95.0	4.41
04/01/2018	JARZEBOSKI, DIANE	INVESCO AMERICAN FRANCHISE A	0.00	2.33	0.00	2.33	95.0	2.21
04/01/2018	BERGLUND, KRIS	INVESCO AMERICAN FRANCHISE A	0.00	2.74	0.00	2.74	95.0	2.60
04/01/2018	KOWAL UGMA/MI, ALEXANDER	INVESCO AMERICAN FRANCHISE FUND CL-	0.00	1.08	0.00	1.08	95.0	1.03
04/01/2018	SALLEY, TERENCE	INVESCO ASIA PACIFIC GROWTH A	0.00	0.69	0.00	0.69	95.0	0.66
04/01/2018	MCINTYRE, SCOTT	INVESCO ASIA PACIFIC GROWTH A	0.00	0.06	0.00	0.06	95.0	0.06
04/01/2018	ELBERT UTMA/MI, NATHANIEL	INVESCO ASIA PACIFIC GROWTH A	0.00	1.44	0.00	1.44	95.0	1.37
04/01/2018	PRZYBYLOWICZ, NORBERT	INVESCO ASIA PACIFIC GROWTH A	0.00	4.73	0.00	4.73	95.0	4.49
04/01/2018	HARRINGTON, KAY	INVESCO ASIA PACIFIC GROWTH A	0.00	4.88	0.00	4.88	95.0	4.64
04/01/2018	WOLAK SEP, SHARON	INVESCO ASIA PACIFIC GROWTH A	0.00	3.07	0.00	3.07	95.0	2.92
04/01/2018	SHEARIN, APRIL	INVESCO CHARTER FUND A	0.00	13.38	0.00	13.38	95.0	12.71
04/01/2018	KRENGEL, KATHERINE	INVESCO CHARTER FUND A	0.00	4.83	0.00	4.83	95.0	4.59
04/01/2018	NEIKO SFERRO UTMA/FL, DOMINIC	INVESCO CHARTER FUND A	0.00	12.84	0.00	12.84	95.0	12.20
04/01/2018	DANDRON, JAY	INVESCO CHARTER FUND A	0.00	18.85	0.00	18.85	95.0	17.91
04/01/2018	RAYMOND O'CONNOR UGMA/MI,	INVESCO CHARTER FUND A	0.00	2.38	0.00	2.38	95.0	2.26
04/01/2018	CRONENWETT, JULIE	INVESCO CHARTER FUND A	0.00	2.31	0.00	2.31	95.0	2.19
04/01/2018	SHERMAN, SCOTT	INVESCO CHARTER FUND A	0.00	3.03	0.00	3.03	95.0	2.88
04/01/2018	SMYTH, DAVID	INVESCO CHARTER FUND A	0.00	7.43	0.00	7.43	95.0	7.06
04/01/2018	SALLEY, TERENCE	INVESCO CHARTER FUND A	0.00	0.15	0.00	0.15	95.0	0.14
04/01/2018	ROCK ST PIERRE UGMA/MI,	INVESCO CHARTER FUND A	0.00	0.17	0.00	0.17	95.0	0.16
04/01/2018	DAIZA, PHILLIP	INVESCO CHARTER FUND A	0.00	13.97	0.00	13.97	95.0	13.27
04/01/2018	MCINTYRE, SCOTT	INVESCO CHARTER FUND A	0.00	0.04	0.00	0.04	95.0	0.04
04/01/2018	ANN GERMAIN UGMA/MI, ALISON	INVESCO CHARTER FUND A	0.00	4.44	0.00	4.44	95.0	4.22
04/01/2018	WILLIAMS, PAUL	INVESCO CHARTER FUND A	0.00	0.83	0.00	0.83	95.0	0.79
04/01/2018	SALLEY UGMA/MI, NATHAN	INVESCO CHARTER FUND A	0.00	1.65	0.00	1.65	95.0	1.57
04/01/2018	LECIK, TONIA	INVESCO CHARTER FUND A	0.00	0.12	0.00	0.12	95.0	0.11
04/01/2018	MEWHINNEY, BARBARA	INVESCO CHARTER FUND A	0.00	8.01	0.00	8.01	95.0	7.61
04/01/2018	SANGMEISTER, GINA	INVESCO CHARTER FUND A	0.00	0.75	0.00	0.75	95.0	0.71
04/01/2018	WEAVER, TAMMY	INVESCO CHARTER FUND A	0.00	7.17	0.00	7.17	95.0	6.81
04/01/2018	BUCKINGHAM MIN, GEORGE	INVESCO CHARTER FUND A	0.00	0.14	0.00	0.14	95.0	0.13

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>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
04/01/2018	O'BRIEN, AMY	INVESCO CHARTER FUND A	0.00	6.10	0.00	6.10	95.0	5.80
04/01/2018	JOSEPH SUCHER UGMA/MI, ADAM	INVESCO CHARTER FUND A	0.00	1.53	0.00	1.53	95.0	1.45
04/01/2018	DAIZA, PHILLIP	INVESCO CHARTER FUND B	0.00	0.21	0.00	0.21	95.0	0.20
04/01/2018	DAIZA, PHILLIP	INVESCO CHARTER FUND C	0.00	12.81	0.00	12.81	95.0	12.17
04/01/2018	HENDERSON JT TEN, CAROLYN	INVESCO CONVERTIBLE SECURITIES A	0.00	2.62	0.00	2.62	95.0	2.49
04/01/2018	HENDERSON, OSCAR	INVESCO CONVERTIBLE SECURITIES A	0.00	19.36	0.00	19.36	95.0	18.39
04/01/2018	PELC TOD ACCOUNT, RODERICK	INVESCO CORPORATE BOND A	0.00	1.60	0.00	1.60	95.0	1.52
04/01/2018	VAN DAELE, JACOB	INVESCO DEVELOPING MARKETS A	0.00	0.70	0.00	0.70	95.0	0.67
04/01/2018	MCINTYRE, SCOTT	INVESCO DEVELOPING MARKETS A	0.00	0.05	0.00	0.05	95.0	0.05
04/01/2018	MCINTYRE, SCOTT	INVESCO EUROPEAN GROWTH FUND A	0.00	0.06	0.00	0.06	95.0	0.06
04/01/2018	SOUTHWORTH, STEPHANIE	INVESCO EUROPEAN GROWTH FUND A	0.00	0.46	0.00	0.46	95.0	0.44
04/01/2018	LEE, LESLIE	INVESCO EUROPEAN GROWTH FUND A	0.00	1.34	0.00	1.34	95.0	1.27
04/01/2018	WASHINGTON, PAULA	INVESCO EUROPEAN GROWTH FUND A	0.00	3.20	0.00	3.20	95.0	3.04
04/01/2018	VANDAELE, JENNIFER	INVESCO EUROPEAN SMALL COMPANY A	0.00	0.77	0.00	0.77	95.0	0.73
04/01/2018	VAN DAELE, JILLIAN	INVESCO EUROPEAN SMALL COMPANY A	0.00	1.21	0.00	1.21	95.0	1.15
04/01/2018	VAN DAELE UGMA/MI, JANE	INVESCO GBL SMALL & MID CAP GROWTH	0.00	1.10	0.00	1.10	95.0	1.05
04/01/2018	VAN DAELE, JENNA	INVESCO GBL SMALL & MID CAP GROWTH	0.00	0.68	0.00	0.68	95.0	0.65
04/01/2018	ELBERT UTMA/MI, NICHOLAS	INVESCO GBL SMALL & MID CAP GROWTH	0.00	0.68	0.00	0.68	95.0	0.65
04/01/2018	FISHER, NATHAN	INVESCO GBL SMALL & MID CAP GROWTH	0.00	7.71	0.00	7.71	95.0	7.32
04/01/2018	JOHNSON, DANIEL	INVESCO GBL SMALL & MID CAP GROWTH	0.00	0.75	0.00	0.75	95.0	0.71
04/01/2018	PELC TOD ACCOUNT, RODERICK	INVESCO GLOBAL GROWTH A	0.00	1.36	0.00	1.36	95.0	1.29
04/01/2018	VANDAELE, JENNIFER	INVESCO GLOBAL HEALTH CARE A	0.00	0.55	0.00	0.55	95.0	0.52
04/01/2018	VAN DAELE, JANE	INVESCO GLOBAL HEALTH CARE A	0.00	0.44	0.00	0.44	95.0	0.42
04/01/2018	HARRINGTON, KAY	INVESCO GLOBAL HEALTH CARE A	0.00	2.72	0.00	2.72	95.0	2.58
04/01/2018	MANKO, MARGARET	INVESCO HIGH YIELD FUND A	0.00	5.87	0.00	5.87	95.0	5.58
04/01/2018	COOPER, BENNETT	INVESCO MIDCAP GROWTH A	0.00	1.81	0.00	1.81	95.0	1.72
04/01/2018	COOPER, MADISON	INVESCO MIDCAP GROWTH A	0.00	2.21	0.00	2.21	95.0	2.10
04/01/2018	SCHROETER, RICHARD	INVESCO MIDCAP GROWTH A	0.00	1.10	0.00	1.10	95.0	1.05
04/01/2018	PALAZZOLO UTMA/MI, JULIA	INVESCO MIDCAP GROWTH A	0.00	1.96	0.00	1.96	95.0	1.86
04/01/2018	ELBERT UTMA/MI, NATHANIEL	INVESCO MIDCAP GROWTH A	0.00	0.92	0.00	0.92	95.0	0.87
04/01/2018	SCHROETER, MARY	INVESCO MIDCAP GROWTH A	0.00	1.10	0.00	1.10	95.0	1.05
04/01/2018	DUDZIK, ELZBIETA	INVESCO SENIOR LOAN FUND IB	0.00	33.10	0.00	33.10	95.0	31.45
04/01/2018	CEBALT, THOMAS	INVESCO SMALL CAP EQUITY A	0.00	0.06	0.00	0.06	95.0	0.06

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

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

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

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>DIRECT TRANSACTIONS</u>								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS								
04/01/2018	PELC TOD ACCOUNT, RODERICK	INVESCO TECHNOLOGY A	0.00	1.40	0.00	1.40	95.0	1.33
04/01/2018	VAN DAELE, JACOB	INVESCO TECHNOLOGY A	0.00	0.32	0.00	0.32	95.0	0.30
04/01/2018	CRONENWETT, JULIE	INVESCO TECHNOLOGY A	0.00	0.37	0.00	0.37	95.0	0.35
04/01/2018	WILSON, GARRETT	INVESCO TECHNOLOGY A	0.00	12.07	0.00	12.07	95.0	11.47
04/01/2018	ELBERT UTMA/MI, NICHOLAS	INVESCO TECHNOLOGY A	0.00	0.13	0.00	0.13	95.0	0.12
04/01/2018	SEMKE, DEANNA	INVESCO TECHNOLOGY A	0.00	0.19	0.00	0.19	95.0	0.18
04/01/2018	ELBERT UTMA/MI, NATHANIEL	INVESCO TECHNOLOGY A	0.00	0.13	0.00	0.13	95.0	0.12
04/01/2018	JOHNSON, DANIEL	INVESCO TECHNOLOGY A	0.00	0.49	0.00	0.49	95.0	0.47
04/01/2018	NIXON, NORMA	INVESCO TECHNOLOGY A	0.00	4.42	0.00	4.42	95.0	4.20
04/01/2018	CELANI TRUST, VINCENZO	INVESCO US GOVT A	0.00	7.97	0.00	7.97	95.0	7.57
04/01/2018	MOORE, FRED	INVESCO US GOVT A	0.00	36.38	0.00	36.38	95.0	34.56
04/01/2018	WATSON, WILLIAM	INVESCO US GOVT A	0.00	4.93	0.00	4.93	95.0	4.68
04/13/2018	LAI, MICHAEL	JH FINANCIAL INDUSTRIES A	0.00	1.32	0.00	1.32	95.0	1.25
04/13/2018	MALINAK, FRANCES	JH FINANCIAL INDUSTRIES A	0.00	7.93	0.00	7.93	95.0	7.53
04/13/2018	BOHACEK, STEVE	JH LARGE CAP EQUITY A	0.00	6.72	0.00	6.72	95.0	6.38
04/13/2018	RACK, ROBERT	JH LARGE CAP EQUITY A	0.00	6.30	0.00	6.30	95.0	5.99
04/13/2018	ENGLEBERT, JAMES	JH REGIONAL BANK A	0.00	5.49	0.00	5.49	95.0	5.22
04/13/2018	HELTSLEY, MARTHA	JH REGIONAL BANK A	0.00	2.12	0.00	2.12	95.0	2.01
04/13/2018	BOZELKA, KEVIN	JH REGIONAL BANK A	0.00	2.18	0.00	2.18	95.0	2.07
04/13/2018	JAHNKE, DENNIS	JH REGIONAL BANK A	0.00	5.14	0.00	5.14	95.0	4.88
04/13/2018	EIS (MINOR), MARGO	JH STRATEGIC GROWTH A	0.00	0.51	0.00	0.51	95.0	0.48
04/05/2018	ERKFITZ, ELAINE	MAINSTAY HIGH YIELD CORP BOND A	0.00	23.12	0.00	23.12	95.0	21.96
/ /	WAGNER, SHARON	RYDEX GUGG S&P 500 H	0.00	0.37	0.00	0.37	95.0	0.35
/ /	WAGNER, SHARON	RYDEXGUGGENHEIM INVERSE NASDAQ 100	0.00	0.06	0.00	0.06	95.0	0.06
04/06/2018	BUSSELL REV LV TRUST, SHARON	WELLS FARGO 100% TREASURY MMKT-A	0.00	7.41	0.00	7.41	95.0	7.04
04/06/2018	THOMAS, HENRY	WELLS FARGO INCOME PLUS A	0.00	3.24	0.00	3.24	95.0	3.08
04/06/2018	THOMAS, SYBIL	WELLS FARGO INCOME PLUS A	0.00	2.58	0.00	2.58	95.0	2.45
04/06/2018	TOTTEFF, JESSIE	WELLS FARGO INCOME PLUS A	0.00	3.39	0.00	3.39	95.0	3.22
04/06/2018	SPEAROT, DOUGLAS	WELLS FARGO INCOME PLUS A	0.00	0.90	0.00	0.90	95.0	0.86
04/06/2018	GUTMAN, KENNETH	WELLS FARGO INTL BOND A	0.00	2.24	0.00	2.24	95.0	2.13
04/06/2018	GUTMAN, MATHEW	WELLS FARGO INTL BOND A	0.00	2.24	0.00	2.24	95.0	2.13
04/06/2018	JAGGER, ALBERT	WELLS FARGO INTL BOND A	0.00	27.81	0.00	27.81	95.0	26.42
04/06/2018	BUSSELL REV LIV TRST, GEROGE &	WELLS FARGO MONEY MKT A	0.00	27.58	0.00	27.58	95.0	26.20

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>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
04/06/2018	STEBBINS, DAVID	WELLS FARGO OPP A	0.00	0.69	0.00	0.69	95.0	0.66
04/06/2018	BASILE, NINO	WELLS FARGO OPP A	0.00	1.02	0.00	1.02	95.0	0.97
04/06/2018	DUDLEY, CHERYL	WELLS FARGO OPP A	0.00	1.26	0.00	1.26	95.0	1.20
04/06/2018	BASILE, ANNA	WELLS FARGO OPP A	0.00	0.88	0.00	0.88	95.0	0.84
04/06/2018	CODDING, CRAIG	WELLS FARGO PREMIER LG COMP GRWTH A	0.00	3.96	0.00	3.96	95.0	3.76
04/06/2018	KISH, VIVIAN	WELLS FARGO STRATEGIC MUNI A	0.00	0.99	0.00	0.99	95.0	0.94
04/06/2018	ROEHRIG, RITA	WELLS FARGO STRATEGIC MUNI A	0.00	2.74	0.00	2.74	95.0	2.60
04/06/2018	JAGGER, ALBERT	WELLS FARGO STRATEGIC MUNI A	0.00	25.32	0.00	25.32	95.0	24.05
04/06/2018	PER, MARIANNE	WELLS FARGO STRATEGIC MUNI A	0.00	0.18	0.00	0.18	95.0	0.17
04/06/2018	TSEREGOUNIS, SPYROS	WELLS FARGO STRATEGIC MUNI A	0.00	5.30	0.00	5.30	95.0	5.04
04/06/2018	ALEXOPOULOS, PAUL	WELLS FARGO STRATEGIC MUNI A	0.00	5.81	0.00	5.81	95.0	5.52
04/06/2018	REBNER, WALDEMAR	WELLS FARGO STRATEGIC MUNI A	0.00	9.40	0.00	9.40	95.0	8.93
04/06/2018	SPEAROT, REBECCA	WELLS FARGO STRATEGIC MUNI A	0.00	1.68	0.00	1.68	95.0	1.60
04/06/2018	CLEMAK, CHARLES	WELLS FARGO STRATEGIC MUNI A	0.00	28.41	0.00	28.41	95.0	26.99
04/06/2018	MUGLIA, DOMINIC	WELLS FARGO STRATEGIC MUNI A	0.00	37.68	0.00	37.68	95.0	35.80
04/06/2018	MCLUCAS, ROBERT	WELLS FARGO STRATEGIC MUNI A	0.00	55.30	0.00	55.30	95.0	52.54
04/06/2018	KATEHI, PISTI	WELLS FARGO TOTAL RETURN BOND A	0.00	1.14	0.00	1.14	95.0	1.08
04/06/2018	TSEREGOUNIS, SPYROS	WELLS FARGO TOTAL RETURN BOND A	0.00	1.08	0.00	1.08	95.0	1.03
04/06/2018	SNYDER, SHIRLEY	WELLS FARGO TOTAL RETURN BOND A	0.00	0.58	0.00	0.58	95.0	0.55
04/06/2018	BAYS, MARVIN	WELLS FARGO UTILITY AND TELECOM A	0.00	11.05	0.00	11.05	95.0	10.50
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *			\$0.00	\$7,443.93	\$0.00	\$7,443.93		\$7,071.83
<u>PRODUCT CATEGORY: VARIABLE ANNUITY 12B1 TRAILS</u>								
04/05/2018	WEYCKER, EDWARD	ING PREMIUM PLUS	15,230.58	14.28	0.00	14.28	95.0	13.57
04/05/2018	WEYCKER, EDWARD	ING PREMIUM PLUS	15,230.58	14.28	0.00	14.28	95.0	13.57
* VARIABLE ANNUITY 12B1 TRAILS SUBTOTAL *			\$30,461.16	\$28.56	\$0.00	\$28.56		\$27.14
*** DIRECT TRANSACTIONS TOTAL ***			\$4,447,789.86	\$12,046.99	\$0.00	\$12,046.99		\$11,444.79

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

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

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

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>SPLIT TRANSACTIONS</u>								
<u>BROKER: MARK, 103 KOSANKE #3</u>								
04/02/2018	STANDBERGH, JENNIFER	DAVIS NEW YORK VENTURE A	0.00	2.10	0.00	2.10	95.0	2.00
04/28/2018	STEFFES, MARTIN	JNL REWARD 10 YR TERM	32.61	0.16	0.00	0.16	95.0	0.15
04/06/2018	RIMKUS, MARILYN	WELLS FARGO ENTERPRISE A	0.00	4.86	0.00	4.86	95.0	4.62
04/06/2018	ALEXANDER, JEAN	WELLS FARGO STRATEGIC MUNI A	0.00	0.91	0.00	0.91	95.0	0.86
04/06/2018	EMMER, ILENE	WELLS FARGO TOTAL RETURN BOND A	0.00	0.17	0.00	0.17	95.0	0.16
04/06/2018	DANIELS, KATHLEEN	WELLS FARGO TOTAL RETURN BOND A	0.00	2.98	0.00	2.98	95.0	2.83
04/06/2018	SMOLBOSKI, BARBARA	WELLS FARGO TOTAL RETURN BOND A	0.00	0.21	0.00	0.21	95.0	0.20
* MARK, 103 KOSANKE SUBTOTAL *			\$32.61	\$11.39	\$0.00	\$11.39		\$10.82
<u>BROKER: J117-PETE/JOAN JOHNSON/FLAM #19</u>								
04/04/2018	BACK, JULIE	ALGER LARGE CAP GROWTH A	0.00	4.60	0.00	4.60	95.0	4.37
04/04/2018	FEINBERG, MARK	ALGER LARGE CAP GROWTH A	0.00	8.92	0.00	8.92	95.0	8.47
04/04/2018	WILSON, EMILEE	ALGER LARGE CAP GROWTH A	0.00	0.02	0.00	0.02	95.0	0.02
04/04/2018	DRABCZYK, FRANK	ALGER LARGE CAP GROWTH A	0.00	0.61	0.00	0.61	95.0	0.58
04/04/2018	FEINBERG, MARK	ALGER LARGE CAP GROWTH B	0.00	1.52	0.00	1.52	95.0	1.44
04/04/2018	BACK, JULIE	ALGER MIDCAP GROWTH A	0.00	2.05	0.00	2.05	95.0	1.95
04/04/2018	BACK, JULIE	ALGER SMALLCAP GROWTH A	0.00	1.92	0.00	1.92	95.0	1.82
03/31/2018	HARNE, DEXTL	TOUCHSTONE GROWTH OPP A	0.00	0.05	0.00	0.05	95.0	0.05
03/31/2018	HARNE, DEXTL	TOUCHSTONE MID CAP GROWTH A	0.00	0.08	0.00	0.08	95.0	0.08
* J117-PETE/JOAN JOHNSON/FLAM SUBTOTAL *			\$0.00	\$19.77	\$0.00	\$19.77		\$18.78
<u>BROKER: MEGHA, R118 GROUP #41</u>								
04/04/2018	VARTANIAN, NICHOLAS	ALGER CAPITAL APPRECIATION A	0.00	2.34	0.00	2.34	95.0	2.22
04/04/2018	MEHLBERG, GREYSON	ALGER CAPITAL APPRECIATION A	0.00	2.65	0.00	2.65	95.0	2.52
04/04/2018	MATHEWS, DOUG	ALGER MIDCAP GROWTH A	0.00	7.17	0.00	7.17	95.0	6.81
* MEGHA, R118 GROUP SUBTOTAL *			\$0.00	\$12.16	\$0.00	\$12.16		\$11.55
*** SPLIT TRANSACTIONS TOTAL ***			\$32.61	\$43.32	\$0.00	\$43.32		\$41.15

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>								
<u>BROKER: + DUNN #7</u>								
03/31/2018	WETHINGTON JR, ROBERT	GRIFFIN CAPITAL ESSENTIAL ASSET II	100,290.17	247.29	0.00	247.29	90.0	12.36
03/31/2018	REIFMAN FAMILY TRUST	GRIFFIN CAPITAL ESSENTIAL ASSET II	76,411.56	188.41	0.00	188.41	90.0	9.42
03/31/2018	WETHINGTON, JUDITH	GRIFFIN CAPITAL ESSENTIAL ASSET II	33,430.06	82.43	0.00	82.43	90.0	4.12
03/31/2018	BRENT, MARY	GRIFFIN INST'L ACCESS R E FUND	48,156.39	10.22	0.00	10.22	90.0	0.51
03/31/2018	SCARLATO, MARY	GRIFFIN INST'L ACCESS R E FUND	48,224.03	10.24	0.00	10.24	90.0	0.51
03/28/2018	MARTIN-GORDON, STEPHANIE	WAVELAND RESOURCE PARTNERS IV	50,000.00	3,500.00	0.00	3,500.00	90.0	175.00
03/29/2018	KRAMER, LISA	WAVELAND RESOURCE PARTNERS IV	200,000.00	14,000.00	0.00	14,000.00	90.0	700.00
04/11/2018	DELL, MARCI	WAVELAND RESOURCE PARTNERS IV	100,000.00	7,000.00	0.00	7,000.00	90.0	350.00
* + DUNN SUBTOTAL *			\$656,512.21	\$25,038.59	\$0.00	\$25,038.59		\$1,251.92
<u>BROKER: ALEX KOWALSKI #17</u>								
04/11/2018	MOKLER PROPERTIES IN	MOODY DFW DST	224,084.78	13,445.09	0.00	13,445.09	85.0	672.25
* ALEX KOWALSKI SUBTOTAL *			\$224,084.78	\$13,445.09	\$0.00	\$13,445.09		\$672.25
<u>BROKER: THOMAS SCHNEIDER #30</u>								
/ /	D&D TRAILER HAULING INC	PROFUNDS MONEY MARKET-SVC	0.00	0.32	0.00	0.32	0.0	0.30
/ /	GREENE, DAVID	PROFUNDS MONEY MARKET-SVC	0.00	0.32	0.00	0.32	0.0	0.30
/ /	D&D TRAILER HAULING INC	PROFUNDS MONEY MARKET-SVC	0.00	0.13	0.00	0.13	0.0	0.12
/ /	GREENE, DAVID	PROFUNDS MONEY MARKET-SVC	0.00	0.13	0.00	0.13	0.0	0.12
/ /	D&D TRAILER HAULING INC	PROFUNDS ULTRA SMALLCAP SVC	0.00	0.04	0.00	0.04	0.0	0.04
/ /	GREENE, DAVID	PROFUNDS ULTRA SMALLCAP SVC	0.00	0.04	0.00	0.04	0.0	0.04
/ /	D&D TRAILER HAULING INC	PROFUNDS ULTRA SMALLCAP SVC	0.00	0.13	0.00	0.13	0.0	0.12
/ /	GREENE, DAVID	PROFUNDS ULTRA SMALLCAP SVC	0.00	0.13	0.00	0.13	0.0	0.12
/ /	D&D TRAILER HAULING INC	PROFUNDS ULTRASHORT SMALLCAP SVC	0.00	0.01	0.00	0.01	0.0	0.01
/ /	GREENE, DAVID	PROFUNDS ULTRASHORT SMALLCAP SVC	0.00	0.01	0.00	0.01	0.0	0.01
/ /	D&D TRAILER HAULING INC	PROFUNDS ULTRASHORT SMALLCAP SVC	0.00	0.03	0.00	0.03	0.0	0.03
/ /	GREENE, DAVID	PROFUNDS ULTRASHORT SMALLCAP SVC	0.00	0.03	0.00	0.03	0.0	0.03
* THOMAS SCHNEIDER SUBTOTAL *			\$0.00	\$1.32	\$0.00	\$1.32		\$1.24
*** OVERRIDE TRANSACTIONS TOTAL ***			\$880,596.99	\$38,485.00	\$0.00	\$38,485.00		\$1,925.41

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
------	--------	------------	----------------------	---------------------	--------------------	-------------------	------	----------------------

ADJUSTMENTS

04/30/2018		*FINRA: FL IND REG FEE H- TRIBOVICH	0.00					-50.00
		*** ADJUSTMENTS TOTAL ***	\$0.00	\$0.00	\$0.00	\$0.00		\$-50.00

BROKER COMMISSION TOTALS

Broker Transactions	\$11,444.79
Split Transactions	\$41.15
Override Transactions	\$1,925.41
Adjustments	\$-50.00
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$0.00
FINRA Assessment	\$0.00
SIPC Assessment	\$0.00

Check Amount	\$13,361.35
Year-to-date Gross	\$131,773.60
Year-to-date Earnings	\$133,197.67

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