



Concorde Investment Services, LLC
COMMISSION STATEMENT
January 17, 2017

01/13/2017
 Page No. 1

JOHN ROSS
 7261 W. Central Ave.

 Toledo, OH 43617

BROKER #: R119
 BRANCH: INTEGRATED FINANCIAL

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: FIXED INDEX ANNUITIES</u>								
01/01/2017	HOLDINSKY, J JOHN	ALLIANZ 360 FIXED	0.00	358.44	0.00	358.44	92.0	329.76
		* FIXED INDEX ANNUITIES SUBTOTAL *	\$0.00	\$358.44	\$0.00	\$358.44		\$329.76
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
12/27/2016	STEPHENS, ADAM	AM FUNDS 2025 TARGET DATE-A	4,115.31	154.32	0.00	154.32	92.0	141.97
12/27/2016	STEPHENS, ADAM	AM FUNDS 2025 TARGET DATE-A	200.00	7.50	0.00	7.50	92.0	6.90
12/27/2016	MARTIN, RACHEL	AM FUNDS AMERICAN BALANCED A	745.29	27.95	0.00	27.95	92.0	25.71
12/27/2016	MARTIN, RACHEL	AM FUNDS AMERICAN BALANCED A	60.00	2.25	0.00	2.25	92.0	2.07
01/03/2017	KRAUS, JENNIFER	AM FUNDS AMERICAN HIGH-INCOME TRUST	150.00	4.50	0.00	4.50	92.0	4.14
01/03/2017	HUNTER, DEBORAH	AM FUNDS AMERICAN MUTUAL 529A	50.00	2.13	0.00	2.13	92.0	1.96
12/29/2016	SEYMOUR, DONALD	AM FUNDS AMERICAN MUTUAL C	250.00	2.50	0.00	2.50	92.0	2.30
12/30/2016	SEYMOUR, DONALD	AM FUNDS AMERICAN MUTUAL C	250.00	2.50	0.00	2.50	92.0	2.30
01/05/2017	SEYMOUR, DONALD	AM FUNDS AMERICAN MUTUAL C	250.00	2.50	0.00	2.50	92.0	2.30
12/29/2016	STOUT, DAVID	AM FUNDS BOND FUND OF AMERICA A	21,473.85	644.22	0.00	644.22	92.0	592.68
01/03/2017	HUNTER, DEBORAH	AM FUNDS CAPITAL WORLD GRTH & INC 5	50.00	2.13	0.00	2.13	92.0	1.96
01/03/2017	RUMSCHLAG, DOUGLAS	AM FUNDS EUROPACIFIC GROWTH FUND A	77.64	2.91	0.00	2.91	92.0	2.68
12/27/2016	MARTIN, RACHEL	AM FUNDS FUNDAMENTAL INVESTORS A	745.30	27.95	0.00	27.95	92.0	25.71
12/27/2016	MARTIN, RACHEL	AM FUNDS FUNDAMENTAL INVESTORS A	60.00	2.25	0.00	2.25	92.0	2.07
12/30/2016	SHELNICK, CATHERINE	AM FUNDS GROWTH FUND OF AMERICA 529	75.00	1.50	0.00	1.50	92.0	1.38
12/30/2016	SHELNICK, CATHERINE	AM FUNDS GROWTH FUND OF AMERICA 529	75.00	1.50	0.00	1.50	92.0	1.38
01/03/2017	RUMSCHLAG, DOUGLAS	AM FUNDS GROWTH FUND OF AMERICA A	77.64	2.91	0.00	2.91	92.0	2.68
12/27/2016	MARTIN, RACHEL	AM FUNDS INCOME FUND OF AMERICA A	745.29	27.95	0.00	27.95	92.0	25.71
12/27/2016	MARTIN, RACHEL	AM FUNDS INCOME FUND OF AMERICA A	60.00	2.25	0.00	2.25	92.0	2.07
12/29/2016	SEYMOUR, DONALD	AM FUNDS NEW ECONOMY C	250.00	2.50	0.00	2.50	92.0	2.30
12/28/2016	HILKENS, CHRISTOPHER	AM FUNDS SHORT TERM BND FUND OF AM	65.00	1.30	0.00	1.30	92.0	1.20
12/27/2016	MARTIN, RACHEL	AM FUNDS SMALLCAP WORLD A	248.43	9.32	0.00	9.32	92.0	8.57
12/27/2016	MARTIN, RACHEL	AM FUNDS SMALLCAP WORLD A	20.00	0.75	0.00	0.75	92.0	0.69

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>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
01/04/2017	SEYMOUR, DONALD	AM FUNDS SMALLCAP WORLD C	250.00	2.50	0.00	2.50	92.0	2.30
12/27/2016	VALADE, JOHN	AM FUNDS TAX-EXEMPT BOND FUND OF AM	1,000.00	27.50	0.00	27.50	92.0	25.30
01/04/2017	SEYMOUR, DONALD	AM FUNDS TAX-EXEMPT BOND FUND OF AM	218.57	2.19	0.00	2.19	92.0	2.01
01/04/2017	SEYMOUR, DONALD	AMERICAN HIGH-INCOME MUNI BOND FUND	250.00	2.50	0.00	2.50	92.0	2.30
/ /	WAGONER JR, JOHN	DELAWARE SMID CAP GROWTH A	0.00	1.80	0.00	1.80	92.0	1.66
/ /	SLAMAN, BRIAN	FIDELITY ADV NEW INSIGHTS C	0.00	1.20	0.00	1.20	92.0	1.10
/ /	SLAMAN, BRIAN	FIDELITY ADV NEW INSIGHTS C	0.00	0.81	0.00	0.81	92.0	0.75
/ /	SLAMAN, BRIAN	FIDELITY MIDCAP II C	0.00	1.24	0.00	1.24	92.0	1.14
/ /	SLAMAN, BRIAN	FIDELITY MIDCAP II C	0.00	1.03	0.00	1.03	92.0	0.95
/ /	MCLAUGHLIN, JAIME	FLEX MEEDER BALANCED FUND	0.00	0.71	0.00	0.71	92.0	0.65
/ /	HORN, DUSTIN	FLEX MEEDER BALANCED FUND	0.00	1.16	0.00	1.16	92.0	1.07
/ /	HILES, MARC	FLEX MEEDER BALANCED FUND	0.00	3.66	0.00	3.66	92.0	3.37
/ /	SCHOEN, JONATHAN	FLEX MEEDER BALANCED FUND	0.00	1.45	0.00	1.45	92.0	1.33
/ /	BRAITHWAITE, JONI	FLEX MEEDER BALANCED FUND	0.00	1.15	0.00	1.15	92.0	1.06
/ /	IRWIN, JOHN	FLEX MEEDER BALANCED FUND	0.00	12.45	0.00	12.45	92.0	11.45
/ /	KELLER, ERIC	FLEX MEEDER BALANCED FUND	0.00	1.91	0.00	1.91	92.0	1.76
/ /	PEARSON, MARIANNE	FLEX MEEDER BALANCED FUND	0.00	0.09	0.00	0.09	92.0	0.08
/ /	MANN, JAMES	FLEX MEEDER BALANCED FUND	0.00	2.38	0.00	2.38	92.0	2.19
/ /	MANN, JAMES	FLEX MEEDER BALANCED FUND	0.00	7.74	0.00	7.74	92.0	7.12
/ /	MANN, SUNDAY	FLEX MEEDER BALANCED FUND	0.00	4.98	0.00	4.98	92.0	4.58
/ /	MANN, SUNDAY	FLEX MEEDER BALANCED FUND	0.00	0.30	0.00	0.30	92.0	0.28
/ /	DECKER, MARY BETH	FLEX MEEDER BALANCED FUND	0.00	2.93	0.00	2.93	92.0	2.70
/ /	COUSINO, SUSAN	FLEX MEEDER BALANCED FUND	0.00	3.33	0.00	3.33	92.0	3.06
/ /	GARDNER, SHARYL	FLEX MEEDER BALANCED FUND	0.00	4.08	0.00	4.08	92.0	3.75
/ /	GARDNER, MIKE (WILLIAM)	FLEX MEEDER BALANCED FUND	0.00	4.67	0.00	4.67	92.0	4.30
/ /	ORWIG, JOSEPH	FLEX MEEDER BALANCED FUND	0.00	2.58	0.00	2.58	92.0	2.37
/ /	SANDERSON, STEPHEN	FLEX MEEDER BALANCED FUND	0.00	1.15	0.00	1.15	92.0	1.06
/ /	HORN, DUSTIN	FLEX MEEDER DYNAMIC GROWTH FUND	0.00	1.17	0.00	1.17	92.0	1.08
/ /	HILES, MARC	FLEX MEEDER DYNAMIC GROWTH FUND	0.00	3.68	0.00	3.68	92.0	3.39
/ /	SCHOEN, JONATHAN	FLEX MEEDER DYNAMIC GROWTH FUND	0.00	1.46	0.00	1.46	92.0	1.34
/ /	BRAITHWAITE, JONI	FLEX MEEDER DYNAMIC GROWTH FUND	0.00	1.16	0.00	1.16	92.0	1.07
/ /	IRWIN, JOHN	FLEX MEEDER DYNAMIC GROWTH FUND	0.00	12.54	0.00	12.54	92.0	11.54
/ /	KELLER, ERIC	FLEX MEEDER DYNAMIC GROWTH FUND	0.00	1.92	0.00	1.92	92.0	1.77

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
/ /	PEARSON, MARIANNE	FLEX MEEDER DYNAMIC GROWTH FUND	0.00	0.09	0.00	0.09	92.0	0.08
/ /	COUSINO, SUSAN	FLEX MEEDER DYNAMIC GROWTH FUND	0.00	3.36	0.00	3.36	92.0	3.09
/ /	GARDNER, SHARYL	FLEX MEEDER DYNAMIC GROWTH FUND	0.00	4.12	0.00	4.12	92.0	3.79
/ /	GARDNER, MIKE (WILLIAM)	FLEX MEEDER DYNAMIC GROWTH FUND	0.00	4.70	0.00	4.70	92.0	4.32
/ /	ORWIG, JOSEPH	FLEX MEEDER DYNAMIC GROWTH FUND	0.00	2.60	0.00	2.60	92.0	2.39
/ /	SANDERSON, STEPHEN	FLEX MEEDER DYNAMIC GROWTH FUND	0.00	1.16	0.00	1.16	92.0	1.07
/ /	HORN, DUSTIN	FLEX MEEDER MUIRFELD FUND	0.00	4.50	0.00	4.50	92.0	4.14
/ /	HILES, MARC	FLEX MEEDER MUIRFELD FUND	0.00	14.17	0.00	14.17	92.0	13.04
/ /	SCHOEN, JONATHAN	FLEX MEEDER MUIRFELD FUND	0.00	5.63	0.00	5.63	92.0	5.18
/ /	BRAITHWAITE, JONI	FLEX MEEDER MUIRFELD FUND	0.00	4.47	0.00	4.47	92.0	4.11
/ /	IRWIN, JOHN	FLEX MEEDER MUIRFELD FUND	0.00	48.25	0.00	48.25	92.0	44.39
/ /	KELLER, ERIC	FLEX MEEDER MUIRFELD FUND	0.00	7.39	0.00	7.39	92.0	6.80
/ /	PEARSON, MARIANNE	FLEX MEEDER MUIRFELD FUND	0.00	0.35	0.00	0.35	92.0	0.32
/ /	MANN, JAMES	FLEX MEEDER MUIRFELD FUND	0.00	0.12	0.00	0.12	92.0	0.11
/ /	MANN, JAMES	FLEX MEEDER MUIRFELD FUND	0.00	0.88	0.00	0.88	92.0	0.81
/ /	MANN, SUNDAY	FLEX MEEDER MUIRFELD FUND	0.00	0.57	0.00	0.57	92.0	0.52
/ /	MANN, SUNDAY	FLEX MEEDER MUIRFELD FUND	0.00	0.01	0.00	0.01	92.0	0.01
/ /	DECKER, MARY BETH	FLEX MEEDER MUIRFELD FUND	0.00	0.14	0.00	0.14	92.0	0.13
/ /	COUSINO, SUSAN	FLEX MEEDER MUIRFELD FUND	0.00	12.92	0.00	12.92	92.0	11.89
/ /	GARDNER, SHARYL	FLEX MEEDER MUIRFELD FUND	0.00	15.83	0.00	15.83	92.0	14.56
/ /	GARDNER, MIKE (WILLIAM)	FLEX MEEDER MUIRFELD FUND	0.00	18.09	0.00	18.09	92.0	16.64
/ /	ORWIG, JOSEPH	FLEX MEEDER MUIRFELD FUND	0.00	10.00	0.00	10.00	92.0	9.20
/ /	SANDERSON, STEPHEN	FLEX MEEDER MUIRFELD FUND	0.00	4.45	0.00	4.45	92.0	4.09
/ /	HORN, DUSTIN	FLEX MEEDER QUANTEX FUND	0.00	0.38	0.00	0.38	92.0	0.35
/ /	HILES, MARC	FLEX MEEDER QUANTEX FUND	0.00	1.21	0.00	1.21	92.0	1.11
/ /	SCHOEN, JONATHAN	FLEX MEEDER QUANTEX FUND	0.00	0.48	0.00	0.48	92.0	0.44
/ /	BRAITHWAITE, JONI	FLEX MEEDER QUANTEX FUND	0.00	0.38	0.00	0.38	92.0	0.35
/ /	IRWIN, JOHN	FLEX MEEDER QUANTEX FUND	0.00	4.12	0.00	4.12	92.0	3.79
/ /	KELLER, ERIC	FLEX MEEDER QUANTEX FUND	0.00	0.63	0.00	0.63	92.0	0.58
/ /	PEARSON, MARIANNE	FLEX MEEDER QUANTEX FUND	0.00	0.03	0.00	0.03	92.0	0.03
/ /	COUSINO, SUSAN	FLEX MEEDER QUANTEX FUND	0.00	1.10	0.00	1.10	92.0	1.01
/ /	GARDNER, SHARYL	FLEX MEEDER QUANTEX FUND	0.00	1.35	0.00	1.35	92.0	1.24
/ /	GARDNER, MIKE (WILLIAM)	FLEX MEEDER QUANTEX FUND	0.00	1.54	0.00	1.54	92.0	1.42

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
/ /	ORWIG, JOSEPH	FLEX MEEDER QUANTEX FUND	0.00	0.85	0.00	0.85	92.0	0.78
/ /	SANDERSON, STEPHEN	FLEX MEEDER QUANTEX FUND	0.00	0.38	0.00	0.38	92.0	0.35
/ /	HORN, DUSTIN	FLEX MEEDER STRATEGIC GROWTH FUND	0.00	0.23	0.00	0.23	92.0	0.21
/ /	HILES, MARC	FLEX MEEDER STRATEGIC GROWTH FUND	0.00	0.73	0.00	0.73	92.0	0.67
/ /	SCHOEN, JONATHAN	FLEX MEEDER STRATEGIC GROWTH FUND	0.00	0.29	0.00	0.29	92.0	0.27
/ /	BRAITHWAITE, JONI	FLEX MEEDER STRATEGIC GROWTH FUND	0.00	0.23	0.00	0.23	92.0	0.21
/ /	IRWIN, JOHN	FLEX MEEDER STRATEGIC GROWTH FUND	0.00	2.49	0.00	2.49	92.0	2.29
/ /	KELLER, ERIC	FLEX MEEDER STRATEGIC GROWTH FUND	0.00	0.38	0.00	0.38	92.0	0.35
/ /	PEARSON, MARIANNE	FLEX MEEDER STRATEGIC GROWTH FUND	0.00	0.02	0.00	0.02	92.0	0.02
/ /	COUSINO, SUSAN	FLEX MEEDER STRATEGIC GROWTH FUND	0.00	0.67	0.00	0.67	92.0	0.62
/ /	GARDNER, SHARYL	FLEX MEEDER STRATEGIC GROWTH FUND	0.00	0.82	0.00	0.82	92.0	0.75
/ /	GARDNER, MIKE (WILLIAM)	FLEX MEEDER STRATEGIC GROWTH FUND	0.00	0.93	0.00	0.93	92.0	0.86
/ /	ORWIG, JOSEPH	FLEX MEEDER STRATEGIC GROWTH FUND	0.00	0.52	0.00	0.52	92.0	0.48
/ /	SANDERSON, STEPHEN	FLEX MEEDER STRATEGIC GROWTH FUND	0.00	0.23	0.00	0.23	92.0	0.21
/ /	MANN, JAMES	FLEX MEEDER TOTAL RETURN BOND FUND	0.00	4.19	0.00	4.19	92.0	3.85
/ /	MANN, JAMES	FLEX MEEDER TOTAL RETURN BOND FUND	0.00	5.25	0.00	5.25	92.0	4.83
/ /	MANN, SUNDAY	FLEX MEEDER TOTAL RETURN BOND FUND	0.00	3.38	0.00	3.38	92.0	3.11
/ /	MANN, SUNDAY	FLEX MEEDER TOTAL RETURN BOND FUND	0.00	0.53	0.00	0.53	92.0	0.49
/ /	DECKER, MARY BETH	FLEX MEEDER TOTAL RETURN BOND FUND	0.00	5.15	0.00	5.15	92.0	4.74
/ /	MCLAUGHLIN, JAIME	FLEX MEEDER UTILITIES AND INFRASTRU	0.00	0.75	0.00	0.75	92.0	0.69
/ /	HORN, DUSTIN	FLEX MEEDER UTILITIES AND INFRASTRU	0.00	0.11	0.00	0.11	92.0	0.10
/ /	HILES, MARC	FLEX MEEDER UTILITIES AND INFRASTRU	0.00	0.36	0.00	0.36	92.0	0.33
/ /	SCHOEN, JONATHAN	FLEX MEEDER UTILITIES AND INFRASTRU	0.00	0.14	0.00	0.14	92.0	0.13
/ /	BRAITHWAITE, JONI	FLEX MEEDER UTILITIES AND INFRASTRU	0.00	0.11	0.00	0.11	92.0	0.10
/ /	IRWIN, JOHN	FLEX MEEDER UTILITIES AND INFRASTRU	0.00	1.23	0.00	1.23	92.0	1.13
/ /	KELLER, ERIC	FLEX MEEDER UTILITIES AND INFRASTRU	0.00	0.19	0.00	0.19	92.0	0.17
/ /	PEARSON, MARIANNE	FLEX MEEDER UTILITIES AND INFRASTRU	0.00	0.01	0.00	0.01	92.0	0.01
/ /	MANN, JAMES	FLEX MEEDER UTILITIES AND INFRASTRU	0.00	0.15	0.00	0.15	92.0	0.14
/ /	MANN, SUNDAY	FLEX MEEDER UTILITIES AND INFRASTRU	0.00	0.10	0.00	0.10	92.0	0.09
/ /	COUSINO, SUSAN	FLEX MEEDER UTILITIES AND INFRASTRU	0.00	0.33	0.00	0.33	92.0	0.30
/ /	GARDNER, SHARYL	FLEX MEEDER UTILITIES AND INFRASTRU	0.00	0.40	0.00	0.40	92.0	0.37
/ /	GARDNER, MIKE (WILLIAM)	FLEX MEEDER UTILITIES AND INFRASTRU	0.00	0.46	0.00	0.46	92.0	0.42
/ /	ORWIG, JOSEPH	FLEX MEEDER UTILITIES AND INFRASTRU	0.00	0.26	0.00	0.26	92.0	0.24

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
/ /	SANDERSON, STEPHEN	FLEX MEEDER UTILITIES AND INFRASTRU	0.00	0.11	0.00	0.11	92.0	0.10
/ /	HORN, DUSTIN	FLEX/MEEDER FUNDS	0.00	0.59	0.00	0.59	92.0	0.54
/ /	HILES, MARC	FLEX/MEEDER FUNDS	0.00	1.87	0.00	1.87	92.0	1.72
/ /	SCHOEN, JONATHAN	FLEX/MEEDER FUNDS	0.00	0.74	0.00	0.74	92.0	0.68
/ /	BRAITHWAITE, JONI	FLEX/MEEDER FUNDS	0.00	0.59	0.00	0.59	92.0	0.54
/ /	IRWIN, JOHN	FLEX/MEEDER FUNDS	0.00	6.36	0.00	6.36	92.0	5.85
/ /	KELLER, ERIC	FLEX/MEEDER FUNDS	0.00	0.98	0.00	0.98	92.0	0.90
/ /	PEARSON, MARIANNE	FLEX/MEEDER FUNDS	0.00	0.05	0.00	0.05	92.0	0.05
/ /	MANN, JAMES	FLEX/MEEDER FUNDS	0.00	0.15	0.00	0.15	92.0	0.14
/ /	MANN, JAMES	FLEX/MEEDER FUNDS	0.00	0.32	0.00	0.32	92.0	0.29
/ /	MANN, SUNDAY	FLEX/MEEDER FUNDS	0.00	0.21	0.00	0.21	92.0	0.19
/ /	MANN, SUNDAY	FLEX/MEEDER FUNDS	0.00	0.02	0.00	0.02	92.0	0.02
/ /	DECKER, MARY BETH	FLEX/MEEDER FUNDS	0.00	0.18	0.00	0.18	92.0	0.17
/ /	COUSINO, SUSAN	FLEX/MEEDER FUNDS	0.00	1.70	0.00	1.70	92.0	1.56
/ /	GARDNER, SHARYL	FLEX/MEEDER FUNDS	0.00	2.09	0.00	2.09	92.0	1.92
/ /	GARDNER, MIKE (WILLIAM)	FLEX/MEEDER FUNDS	0.00	2.39	0.00	2.39	92.0	2.20
/ /	ORWIG, JOSEPH	FLEX/MEEDER FUNDS	0.00	1.32	0.00	1.32	92.0	1.21
/ /	SANDERSON, STEPHEN	FLEX/MEEDER FUNDS	0.00	0.59	0.00	0.59	92.0	0.54
/ /	HORN, DUSTIN	FLEX/MEEDER FUNDS 58510R408	0.00	2.37	0.00	2.37	92.0	2.18
/ /	HILES, MARC	FLEX/MEEDER FUNDS 58510R408	0.00	7.48	0.00	7.48	92.0	6.88
/ /	SCHOEN, JONATHAN	FLEX/MEEDER FUNDS 58510R408	0.00	2.97	0.00	2.97	92.0	2.73
/ /	BRAITHWAITE, JONI	FLEX/MEEDER FUNDS 58510R408	0.00	2.36	0.00	2.36	92.0	2.17
/ /	IRWIN, JOHN	FLEX/MEEDER FUNDS 58510R408	0.00	25.46	0.00	25.46	92.0	23.42
/ /	KELLER, ERIC	FLEX/MEEDER FUNDS 58510R408	0.00	3.90	0.00	3.90	92.0	3.59
/ /	PEARSON, MARIANNE	FLEX/MEEDER FUNDS 58510R408	0.00	0.19	0.00	0.19	92.0	0.17
/ /	MANN, JAMES	FLEX/MEEDER FUNDS 58510R408	0.00	0.22	0.00	0.22	92.0	0.20
/ /	MANN, JAMES	FLEX/MEEDER FUNDS 58510R408	0.00	0.80	0.00	0.80	92.0	0.74
/ /	MANN, SUNDAY	FLEX/MEEDER FUNDS 58510R408	0.00	0.51	0.00	0.51	92.0	0.47
/ /	MANN, SUNDAY	FLEX/MEEDER FUNDS 58510R408	0.00	0.03	0.00	0.03	92.0	0.03
/ /	DECKER, MARY BETH	FLEX/MEEDER FUNDS 58510R408	0.00	0.27	0.00	0.27	92.0	0.25
/ /	COUSINO, SUSAN	FLEX/MEEDER FUNDS 58510R408	0.00	6.82	0.00	6.82	92.0	6.27
/ /	GARDNER, SHARYL	FLEX/MEEDER FUNDS 58510R408	0.00	8.36	0.00	8.36	92.0	7.69
/ /	GARDNER, MIKE (WILLIAM)	FLEX/MEEDER FUNDS 58510R408	0.00	9.55	0.00	9.55	92.0	8.79

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
/ /	ORWIG, JOSEPH	FLEX/MEEDER FUNDS 58510R408	0.00	5.28	0.00	5.28	92.0	4.86
/ /	SANDERSON, STEPHEN	FLEX/MEEDER FUNDS 58510R408	0.00	2.35	0.00	2.35	92.0	2.16
/ /	DUBOW, ERIC	OPPENHEIMER INTL SMALL CO A	0.00	6.34	0.00	6.34	92.0	5.83
/ /	ANDREW, JOHN	OPPENHEIMER MAIN STREET A	0.00	8.99	0.00	8.99	92.0	8.27
* MUTUAL FUNDS SUBTOTAL *			\$31,812.32	\$1,376.41	\$0.00	\$1,376.41		\$1,266.24
<u>PRODUCT CATEGORY: STOCKS</u>								
01/10/2017	ZENK, NICHOLAS	DRYSHIPS INC COM PAR \$0.01 NEW ISIN	255.65	25.00	22.50	2.50	92.0	2.30
* STOCKS SUBTOTAL *			\$255.65	\$25.00	\$22.50	\$2.50		\$2.30
<u>PRODUCT CATEGORY: VARIABLE ANNUITIES</u>								
12/30/2016	SMOOT, DOROTHY	ALLIANZ VALUEMARK II	121,850.43	76.16	0.00	76.16	92.0	70.07
12/30/2016	DULINSKY, SHERRY	ALLIANZ VALUEMARK III	3,677.76	2.30	0.00	2.30	92.0	2.12
12/30/2016	WALLS, DIANE	ALLIANZ VALUEMARK III	99,867.23	62.42	0.00	62.42	92.0	57.43
12/30/2016	BENSCH, ARLYN	ALLIANZ VALUEMARK III	837.39	0.52	0.00	0.52	92.0	0.48
12/30/2016	BENSCH, CANDACE	ALLIANZ VALUEMARK III	841.10	0.53	0.00	0.53	92.0	0.49
12/30/2016	KRALL, JERRY	ALLIANZ VALUEMARK IV	2,384.21	1.49	0.00	1.49	92.0	1.37
12/30/2016	BRAITHWAITE, MICHAEL	ALLIANZ VALUEMARK IV	7,872.90	4.92	0.00	4.92	92.0	4.53
12/30/2016	WASSERMAN, JULIE	ALLIANZ VALUEMARK IV	5,579.61	3.49	0.00	3.49	92.0	3.21
12/30/2016	DIXON, RANDALL	ALLIANZ VALUEMARK IV	32,537.82	20.34	0.00	20.34	92.0	18.71
12/30/2016	KRALL, GARY	ALLIANZ VALUEMARK IV	14,964.67	9.35	0.00	9.35	92.0	8.60
12/30/2016	AUBRY, PATRICIA	AXA ACCUM ELITE II (NQ)	20,275.46	50.69	0.00	50.69	92.0	46.63
12/30/2016	JANICKI, KATHERINE	HARTFORD LEADERS (ILA)	21,409.05	13.38	0.00	13.38	92.0	12.31
12/30/2016	BRAGG, TYLER	HARTFORD LEADERS (ILA)	25,471.12	15.92	0.00	15.92	92.0	14.65
12/30/2016	AUBRY, PATRICIA	HARTFORD LEADERS OUTLOOK (ILA)	615.54	1.54	0.00	1.54	92.0	1.42
12/30/2016	YOSHINO, KAREN	HARTFORD LEADERS OUTLOOK (ILA)	4,476.99	11.19	0.00	11.19	92.0	10.29
12/30/2016	YOSHINO, DOUGLAS	HARTFORD LEADERS OUTLOOK (ILA)	6,329.77	15.82	0.00	15.82	92.0	14.55
12/30/2016	AUBRY, PATRICIA	HARTFORD LEADERS OUTLOOK (ILA)	1,135.96	2.84	0.00	2.84	92.0	2.61
12/30/2016	YOSHINO, KAREN	HARTFORD LEADERS OUTLOOK (ILA)	7,376.13	18.44	0.00	18.44	92.0	16.96
12/30/2016	KOZIARSKI, RICHARD	HARTFORD LEADERS OUTLOOK (ILA)	860.88	2.15	0.00	2.15	92.0	1.98
12/30/2016	IRWIN, JOHN	HARTFORD LEADERS OUTLOOK (ILA)	2,289.03	5.72	0.00	5.72	92.0	5.26
12/30/2016	KIEHL, VERNON	HARTFORD LEADERS OUTLOOK 2	24,559.27	61.40	0.00	61.40	92.0	56.49
12/30/2016	BARE, HELEN	HARTFORD LEADERS OUTLOOK 2	8,631.67	21.58	0.00	21.58	92.0	19.85
12/30/2016	CHRISTIANSEN, GLENN	HARTFORD LEADERS OUTLOOK 2	22,990.13	57.48	0.00	57.48	92.0	52.88

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: VARIABLE ANNUITIES</u>								
12/30/2016	BARE III, HARRY	HARTFORD LEADERS OUTLOOK 2	18,857.20	47.14	0.00	47.14	92.0	43.37
12/30/2016	ROSS, DANIEL	HARTFORD LEADERS OUTLOOK 2	53,105.38	132.76	0.00	132.76	92.0	122.14
12/30/2016	MILLS, SARAH	HARTFORD LEADERS OUTLOOK 2	11,349.40	28.37	0.00	28.37	92.0	26.10
12/30/2016	KRALL, JERRY	HARTFORD THE DIRECTOR M	90,915.29	56.82	0.00	56.82	92.0	52.27
12/31/2016	IRWIN, JOHN	JNL ELITE ACCESS	132,527.97	27.61	0.00	27.61	92.0	25.40
12/31/2016	DEMKO, VERNA	JNL PERSPECTIVE	49,031.82	10.21	0.00	10.21	92.0	9.39
12/31/2016	LONG, PAUL	JNL PERSPECTIVE II 05/05	3,448.25	1.44	0.00	1.44	92.0	1.32
12/31/2016	LONG, LORI	JNL PERSPECTIVE L	14,615.85	12.18	0.00	12.18	92.0	11.21
12/31/2016	BENSCH, ARLYN	JNL PERSPECTIVE L	29,894.96	24.91	0.00	24.91	92.0	22.92
12/31/2016	BENSCH, CANDACE	JNL PERSPECTIVE L	25,410.30	21.18	0.00	21.18	92.0	19.49
12/31/2016	KRALL, JERRY	JOHN HANCOCK VENTURE III	43,133.24	35.94	0.00	35.94	92.0	33.06
12/31/2016	KEEFE, GERALD	JOHN HANCOCK VENTURE III	14,805.93	12.34	0.00	12.34	92.0	11.35
12/31/2016	HEINAMAN, ROBERT	JOHN HANCOCK VENTURE III	107,524.54	89.60	0.00	89.60	92.0	82.43
12/31/2016	KRAUS, JUDITH	JOHN HANCOCK VENTURE III	45,559.85	37.97	0.00	37.97	92.0	34.93
12/31/2016	GARDNER, WM	JOHN HANCOCK VENTURE III	117,392.13	97.83	0.00	97.83	92.0	90.00
12/31/2016	SILLIMAN, GRACE	JOHN HANCOCK VENTURE III	58,885.28	49.07	0.00	49.07	92.0	45.14
12/31/2016	CURSON, BEVERLY	JOHN HANCOCK VENTURE III	65,212.42	54.34	0.00	54.34	92.0	49.99
12/31/2016	JANICKI, KATHERINE	JOHN HANCOCK VENTURE III	107,197.09	89.33	0.00	89.33	92.0	82.18
12/31/2016	MOORE, GARY	JOHN HANCOCK VENTURE III	80,990.63	67.49	0.00	67.49	92.0	62.09
12/31/2016	IRWIN, JOHN	JOHN HANCOCK VENTURE III	69,478.17	57.90	0.00	57.90	92.0	53.27
12/31/2016	WAGONER JR, JOHN	JOHN HANCOCK VENTURE III	52,813.75	44.01	0.00	44.01	92.0	40.49
12/31/2016	WOODRUFF, STEPHANIE	JOHN HANCOCK VENTURE III	52,571.76	43.81	0.00	43.81	92.0	40.31
01/10/2017	BECK, JOHN	MML ARTISTRY	200.00	11.00	0.00	11.00	92.0	10.12
01/10/2017	CARVER, DENISE	MML ARTISTRY	50.00	2.75	0.00	2.75	92.0	2.53
12/31/2016	FISCHER, DAVID	NATIONWIDE BOA FUTURE II 32	198,866.90	248.58	0.00	248.58	92.0	228.69
12/31/2016	DOUGHERTY, RICO	NATIONWIDE DESTINATION L2 01	88,725.47	221.81	0.00	221.81	92.0	204.07
12/31/2016	ZINK, ROBERT	NATIONWIDE DESTINATION L2 01	316,667.54	791.67	0.00	791.67	92.0	728.34
12/31/2016	SCHNEIDER, MARGARET	NATIONWIDE DESTINATION LS 96	157,143.90	392.86	0.00	392.86	92.0	361.43
12/31/2016	HAUSFELD, DAVID	NATIONWIDE DESTINATION LS 96	159,894.35	399.74	0.00	399.74	92.0	367.76
12/31/2016	GERMAN, MARILYN	NATIONWIDE DESTINATION LS 96	122,591.70	306.48	0.00	306.48	92.0	281.96
12/31/2016	COUSINO TRUST, SUSAN	NATIONWIDE DESTINATION LS 96	346,865.63	867.16	0.00	867.16	92.0	797.79
12/31/2016	PEAKE, CAROL	NATIONWIDE DESTINATION LS 96	115,845.59	289.61	0.00	289.61	92.0	266.44
12/31/2016	MOORE, GARY	NATIONWIDE DESTINATION LS 96	85,516.30	213.79	0.00	213.79	92.0	196.69

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: VARIABLE ANNUITIES</u>								
12/31/2016	HEINAMAN, ROBERT	NATIONWIDE DESTINATION LS 96	111,282.45	278.21	0.00	278.21	92.0	255.95
12/31/2016	STEDCKE III, CLYDE	NATIONWIDE DESTINATION LS 96	148,691.93	371.73	0.00	371.73	92.0	341.99
12/31/2016	BRAUN, CHARLENE	NATIONWIDE DESTINATION LS 96	153,655.59	384.14	0.00	384.14	92.0	353.41
12/31/2016	IRWIN, JOHN	NATIONWIDE DESTINATION LS 96	124,423.17	311.06	0.00	311.06	92.0	286.18
12/31/2016	DUBENDORFER, SUSAN	NATIONWIDE DESTINATION LS 96	124,853.52	312.13	0.00	312.13	92.0	287.16
12/31/2016	MCBROOM, DENNIS	NATIONWIDE DESTINATION LS 96	123,481.77	308.70	0.00	308.70	92.0	284.00
12/31/2016	BRAUN, WILLIAM	NATIONWIDE DESTINATION LS 96	183,827.32	459.57	0.00	459.57	92.0	422.80
12/31/2016	SZABO, BONITA	NATIONWIDE DESTINATION LS 96	23,538.24	58.85	0.00	58.85	92.0	54.14
12/14/2016	CUMMINGS, BARBARA	TRANSAMERICA LIBERTY	144,771.19	120.64	0.00	120.64	92.0	110.99
12/20/2016	DOUGHERTY, RICO	TRANSAMERICA LIBERTY	96,693.99	80.58	0.00	80.58	92.0	74.13
12/21/2016	DEMKO, VERNA	TRANSAMERICA LIBERTY	77,063.24	64.22	0.00	64.22	92.0	59.08
12/22/2016	HOLLOWAY, LINDA	TRANSAMERICA LIBERTY	192,469.59	160.39	0.00	160.39	92.0	147.56
12/27/2016	ROSS, SUSAN	TRANSAMERICA LIBERTY	2,260.11	1.88	0.00	1.88	92.0	1.73
12/28/2016	DULINSKY, SHERRY	TRANSAMERICA LIBERTY	27,928.81	23.27	0.00	23.27	92.0	21.41
* VARIABLE ANNUITIES SUBTOTAL *			\$4,808,863.63	\$8,182.74	\$0.00	\$8,182.74		\$7,528.09
<u>PRODUCT CATEGORY: VARIABLE ANNUITY 12B1 TRAILS</u>								
12/31/2016	VALADE, DEANNA	LFG TRAILS	0.00	64.98	0.00	64.98	92.0	59.78
12/31/2016	CURSON, BEVERLY	LFG TRAILS	0.00	25.32	0.00	25.32	92.0	23.29
12/31/2016	FOX, JOSEPH	LFG TRAILS	0.00	12.04	0.00	12.04	92.0	11.08
12/31/2016	SMOOT, C STEVEN	LFG TRAILS	0.00	157.98	0.00	157.98	92.0	145.34
12/31/2016	VALADE, JOHN	LFG TRAILS	0.00	7.29	0.00	7.29	92.0	6.71
12/31/2016	HUNTER, DEBORAH	LFG TRAILS	0.00	12.36	0.00	12.36	92.0	11.37
12/31/2016	SWINDLE, CYNTHIA	LFG TRAILS	0.00	0.65	0.00	0.65	92.0	0.60
12/31/2016	KORAKAS, LARRY	LFG TRAILS	0.00	18.96	0.00	18.96	92.0	17.44
12/26/2016	HEINAMAN, ROBERT	ING PREMIUM PLUS	0.00	205.00	0.00	205.00	92.0	188.60
* VARIABLE ANNUITY 12B1 TRAILS SUBTOTAL *			\$0.00	\$504.58	\$0.00	\$504.58		\$464.21
*** BROKER TRANSACTIONS TOTAL ***			\$4,840,931.60	\$10,447.17	\$22.50	\$10,424.67		\$9,590.60

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<u> OVERRIDE TRANSACTIONS </u>								
<u> BROKER: THOMAS HALSEY #82 </u>								
12/27/2016	DENHAM, CONSTANCE	AM FUNDS WASHINGTON MUTUAL INVESTOR	1,700.00	72.25	0.00	72.25	85.0	5.06
12/28/2016	CANNON, BARBARA	AM FUNDS WASHINGTON MUTUAL INVESTOR	50.00	2.50	0.00	2.50	85.0	0.18
01/03/2017	DENHAM, CONSTANCE	AM FUNDS WASHINGTON MUTUAL INVESTOR	400.00	17.00	0.00	17.00	85.0	1.19
12/31/2016	ZORNOW, BETTY	AMERITAS LIFE TRAILS	0.00	95.08	0.00	95.08	85.0	6.66
12/27/2016	BUEHRER, SARAH	BLK MOD 10-12 AGE BASED A	1,500.00	75.00	0.00	75.00	85.0	5.25
12/27/2016	BUEHRER, SARAH	BLK MOD 13-16 AGE BASED A	1,500.00	75.00	0.00	75.00	85.0	5.25
/ /	LEROUX, LAURA	BLK MOD 17+ AGE BASED A	0.00	11.25	0.00	11.25	85.0	0.79
/ /	BAKER, ELAINE	FIDELITY ADV GROWTH & INCOME C	0.00	7.05	0.00	7.05	85.0	0.49
/ /	EYLER, BARBARA	FIDELITY ADV GROWTH OPP A	0.00	2.81	0.00	2.81	85.0	0.20
/ /	BAKER, ELAINE	FIDELITY ADV GROWTH OPP C	0.00	3.95	0.00	3.95	85.0	0.28
/ /	KRAL, ADAM	FIDELITY ADV HEALTH CARE T	0.00	1.00	0.00	1.00	85.0	0.07
/ /	FRANTZ, CRAIG	FIDELITY ADV INTL CAP APP C	0.00	5.08	0.00	5.08	85.0	0.36
/ /	BAKER, ELAINE	FIDELITY ADV INTL SMALL CAP OPP C	0.00	3.49	0.00	3.49	85.0	0.24
/ /	BAKER, ELAINE	FIDELITY ADV OVERSEAS C	0.00	3.50	0.00	3.50	85.0	0.25
/ /	BAKER, ELAINE	FIDELITY ADV UTILITIES C	0.00	5.39	0.00	5.39	85.0	0.38
/ /	BAKER, ELAINE	FIDELITY EQUITY GROWTH C	0.00	5.45	0.00	5.45	85.0	0.38
/ /	FRANTZ, CRAIG	FIDELITY EQUITY GROWTH C	0.00	7.23	0.00	7.23	85.0	0.51
/ /	MARKLEY, JUSTIN	FIDELITY EQUITY GROWTH T	0.00	2.72	0.00	2.72	85.0	0.19
/ /	MARKLEY, JUSTIN	FIDELITY EQUITY INCOME	0.00	4.98	0.00	4.98	85.0	0.35
/ /	VESEY, ROBERT	FIDELITY EQUITY INCOME	0.00	6.38	0.00	6.38	85.0	0.45
/ /	EYLER, BARBARA	FIDELITY EQUITY INCOME A	0.00	5.91	0.00	5.91	85.0	0.41
/ /	BAKER, ELAINE	FIDELITY EQUITY INCOME C	0.00	5.84	0.00	5.84	85.0	0.41
/ /	KRAL, ADAM	FIDELITY MIDCAP T	0.00	0.89	0.00	0.89	85.0	0.06
/ /	FRANTZ, CRAIG	FIDELITY SMALL CAP C	0.00	13.66	0.00	13.66	85.0	0.96
/ /	BAKER, ELAINE	FIDELITY SMALL CAP VALUE C	0.00	6.53	0.00	6.53	85.0	0.46
/ /	FRANTZ, CRAIG	FIDELITY TECHNOLOGY C	0.00	4.93	0.00	4.93	85.0	0.35
12/30/2016	DREEZE, MARTIN	HARTFORD LEADERS OUTLOOK (ILA)	855.97	2.14	0.00	2.14	85.0	0.15
12/31/2016	BUEHRER, DANIEL	JNL PERSPECTIVE L	168,609.18	140.51	0.00	140.51	85.0	9.84
12/31/2016	NOWAK, DAVID	JOHN HANCOCK VENTURE III	17,332.42	14.44	0.00	14.44	85.0	1.01
12/31/2016	TANGERMAN, JEANETTE	JOHN HANCOCK VENTURE III	49,141.12	40.95	0.00	40.95	85.0	2.87
12/31/2016	DESELMS, EVELYN	JOHN HANCOCK VENTURE III	38,857.65	32.38	0.00	32.38	85.0	2.27
12/31/2016	PRZYBYLSKI, DIANA	NATIONWIDE DESTINATION LS 96	89,421.90	223.55	0.00	223.55	85.0	15.65
12/02/2016	PRZBYLSKI, MICHAEL	TRANSAMERICA LIBERTY	123,301.99	102.75	0.00	102.75	85.0	7.19

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<u> OVERRIDE TRANSACTIONS </u>								
<u> BROKER: THOMAS HALSEY #82 </u>								
12/05/2016	BAUMGARTNER, DIANA	TRANSAMERICA LIBERTY	95,993.04	79.99	0.00	79.99	85.0	5.60
12/05/2016	FRANTZ, JUDITH	TRANSAMERICA LIBERTY	82,441.13	68.70	0.00	68.70	85.0	4.81
12/06/2016	BEISWENGER, RANDALL	TRANSAMERICA LIBERTY	215,722.41	179.77	0.00	179.77	85.0	12.58
12/07/2016	EYLER, BARBARA	TRANSAMERICA LIBERTY	92,484.36	77.07	0.00	77.07	85.0	5.39
12/07/2016	BUEHRER, SARAH	TRANSAMERICA LIBERTY	123,827.14	103.19	0.00	103.19	85.0	7.22
12/07/2016	BUEHRER, DANIEL	TRANSAMERICA LIBERTY	141,944.07	118.29	0.00	118.29	85.0	8.28
12/08/2016	FERGUSON, MARK	TRANSAMERICA LIBERTY	208,295.57	173.58	0.00	173.58	85.0	12.15
12/09/2016	KREMPEC, JEFFREY	TRANSAMERICA LIBERTY	171,887.79	143.24	0.00	143.24	85.0	10.03
12/10/2016	THANASIU, THOMAS	TRANSAMERICA LIBERTY	104,412.99	87.01	0.00	87.01	85.0	6.09
12/10/2016	HALSEY, WILLIAM	TRANSAMERICA LIBERTY	89,731.71	74.78	0.00	74.78	85.0	5.23
12/10/2016	RIEBE, MICHAEL	TRANSAMERICA LIBERTY	84,860.35	70.72	0.00	70.72	85.0	4.95
12/12/2016	DIENER, JUDITH	TRANSAMERICA LIBERTY	128,035.37	106.70	0.00	106.70	85.0	7.47
12/12/2016	RUCH, RONALD	TRANSAMERICA LIBERTY	63,488.75	52.91	0.00	52.91	85.0	3.70
12/13/2016	ZOLNER, MERIBETH	TRANSAMERICA LIBERTY	27,226.57	22.69	0.00	22.69	85.0	1.59
12/16/2016	BAKER, ELAINE	TRANSAMERICA LIBERTY	195,699.78	163.08	0.00	163.08	85.0	11.42
12/19/2016	KREMPEC, KAY	TRANSAMERICA LIBERTY	73,722.98	61.44	0.00	61.44	85.0	4.30
12/19/2016	KREMPEC, KAY	TRANSAMERICA LIBERTY	73,722.98	61.44	0.00	61.44	85.0	4.30
12/19/2016	KREMPEC, KAY	TRANSAMERICA LIBERTY	73,722.98	61.44	0.00	61.44	85.0	4.30
12/21/2016	DENHAM, CONSTANCE	TRANSAMERICA LIBERTY	176,776.17	147.31	0.00	147.31	85.0	10.31
12/22/2016	AUGUSTYNIAC JR, ROGER	TRANSAMERICA LIBERTY	408,104.32	340.09	0.00	340.09	85.0	23.81
12/22/2016	NOWAK JR, ROBERT	TRANSAMERICA LIBERTY	89,250.81	74.38	0.00	74.38	85.0	5.21
12/25/2016	PERRY, ALAN	TRANSAMERICA LIBERTY	389,213.64	324.34	0.00	324.34	85.0	22.70
12/25/2016	TAYLOR, LILY	TRANSAMERICA LIBERTY	81,240.16	67.70	0.00	67.70	85.0	4.74
12/26/2016	ANNESSER, CAROL	TRANSAMERICA LIBERTY	125,292.13	104.41	0.00	104.41	85.0	7.31
12/27/2016	DESELMs, KAREN	TRANSAMERICA LIBERTY	111,627.20	93.02	0.00	93.02	85.0	6.51
12/27/2016	WRAY, JOCELYN	TRANSAMERICA LIBERTY	26,794.11	22.33	0.00	22.33	85.0	1.56
12/27/2016	WRAY, KIM	TRANSAMERICA LIBERTY	56,049.46	46.71	0.00	46.71	85.0	3.27
12/27/2016	KREMPEC, KAY	TRANSAMERICA LIBERTY	36,182.80	30.15	0.00	30.15	85.0	2.11
12/28/2016	LUCARELLI, KRISTY	TRANSAMERICA LIBERTY	45,475.08	37.90	0.00	37.90	85.0	2.65
 * THOMAS HALSEY SUBTOTAL * 			\$4,085,896.08	\$3,995.97	\$0.00	\$3,995.97		\$279.75

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u> OVERRIDE TRANSACTIONS </u>								
<u> BROKER: ROBERT THOMPSON #83 </u>								
12/30/2016	FLECK, MARTHA	ALLIANZ VALUEMARK II	40,568.52	25.36	0.00	25.36	90.0	0.51
01/05/2017	WALTER, JEFFREY	AM FUNDS BOND FUND OF AMERICA A	74,971.34	2,061.71	0.00	2,061.71	90.0	41.23
12/31/2016	RICHARDS, MILDRED	JNL PERSPECTIVE	38,011.27	7.92	0.00	7.92	90.0	0.16
12/31/2016	FLECK, GERALD	JNL PERSPECTIVE II 05/05	2,094.13	1.31	0.00	1.31	90.0	0.03
12/31/2016	WENZ, PATRICIA	JOHN HANCOCK VENTURE III	42,276.00	35.23	0.00	35.23	90.0	0.70
12/31/2016	SMITH, FRANK	JOHN HANCOCK VENTURE III	99,056.87	82.55	0.00	82.55	90.0	1.65
12/31/2016	MURANYI, MARILYN	JOHN HANCOCK VENTURE III	27,117.81	22.60	0.00	22.60	90.0	0.45
12/31/2016	SCHUMACHER, EDWARD	JOHN HANCOCK VENTURE III	38,979.67	32.48	0.00	32.48	90.0	0.65
12/31/2016	MAXFIELD, DARALEE	JOHN HANCOCK VENTURE III	126,258.67	105.22	0.00	105.22	90.0	2.10
12/31/2016	GRUBB, BEVERLY	JOHN HANCOCK VENTURE III	137,956.43	114.96	0.00	114.96	90.0	2.30
12/31/2016	GRAHAM, JUDY	JOHN HANCOCK VENTURE III	168,705.21	140.59	0.00	140.59	90.0	2.81
12/31/2016	WODA, RAYMOND	JOHN HANCOCK VENTURE III	26,207.39	21.84	0.00	21.84	90.0	0.44
12/31/2016	HUBAY, BERNICE	JOHN HANCOCK VENTURE III	23,237.50	19.36	0.00	19.36	90.0	0.39
12/31/2016	LABERDEE, PAUL	JOHN HANCOCK VENTURE III	47,219.49	39.35	0.00	39.35	90.0	0.79
12/31/2016	SZAFAROWICZ, JOSEPH	JOHN HANCOCK VENTURE III	16,104.91	13.42	0.00	13.42	90.0	0.27
12/31/2016	MUIR TRUST, JOHN & JOANN	JOHN HANCOCK VENTURE III	24,312.50	20.26	0.00	20.26	90.0	0.41
12/31/2016	HILEMAN, RONALD	JOHN HANCOCK VENTURE III	166,045.16	138.37	0.00	138.37	90.0	2.77
12/31/2016	ELWING, LOUISE	JOHN HANCOCK VENTURE III	156,348.90	130.29	0.00	130.29	90.0	2.61
12/31/2016	DOUGHERTY, ELNORA	JOHN HANCOCK VENTURE III	155,661.08	129.72	0.00	129.72	90.0	2.59
12/31/2016	MAXFIELD, RICHARD	JOHN HANCOCK VENTURE III	212,123.85	176.77	0.00	176.77	90.0	3.54
12/31/2016	GAJEWSKI, WILLADEANE	JOHN HANCOCK VENTURE III	43,058.12	35.88	0.00	35.88	90.0	0.72
12/31/2016	BUEHLER, ARNOLD	JOHN HANCOCK VENTURE III	115,834.62	96.53	0.00	96.53	90.0	1.93
12/31/2016	RICE, PAMELA	JOHN HANCOCK VENTURE III	108,038.21	90.03	0.00	90.03	90.0	1.80
12/31/2016	RINGGER, LINDA	JOHN HANCOCK VENTURE III	117,629.24	98.02	0.00	98.02	90.0	1.96
12/31/2016	SEITZINGER, MARK	JOHN HANCOCK VENTURE III	23,372.57	19.48	0.00	19.48	90.0	0.39
12/31/2016	BLADEL, JACQUELYN	NATIONWIDE DESTINATION L2 01	74,740.38	186.85	0.00	186.85	90.0	3.74
12/31/2016	SMITH, HELENE	NATIONWIDE DESTINATION LS 96	33,336.63	83.34	0.00	83.34	90.0	1.67
12/31/2016	RICE, SUSAN	NATIONWIDE DESTINATION LS 96	124,683.39	311.71	0.00	311.71	90.0	6.23
12/31/2016	MOORE, EILEEN	NATIONWIDE DESTINATION LS 96	90,538.33	226.35	0.00	226.35	90.0	4.53
12/31/2016	MOORE, EILEEN	NATIONWIDE DESTINATION LS 96	97,619.65	244.05	0.00	244.05	90.0	4.88
12/31/2016	MOORE, EILEEN	NATIONWIDE DESTINATION LS 96	95,164.01	237.91	0.00	237.91	90.0	4.76
12/31/2016	ROSSWURM, ELAINE	NATIONWIDE DESTINATION LS 96	208,313.48	520.78	0.00	520.78	90.0	10.42
12/31/2016	SHAFFER, EMILY	NATIONWIDE DESTINATION LS 96	90,664.36	226.66	0.00	226.66	90.0	4.53

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<u> OVERRIDE TRANSACTIONS </u>								
<u> BROKER: ROBERT THOMPSON #83 </u>								
12/31/2016	COOPER, MARK	NATIONWIDE DESTINATION LS 96	107,019.82	267.55	0.00	267.55	90.0	5.35
12/31/2016	JACOB, MARILYN	NATIONWIDE DESTINATION LS 96	91,728.90	229.32	0.00	229.32	90.0	4.59
12/31/2016	FLECK, GERALD	NATIONWIDE NEW HEIGHTS FIA	0.00	61.75	0.00	61.75	90.0	1.24
12/31/2016	FLECK, GERALD	NATIONWIDE NEW HEIGHTS FIA	0.00	92.62	0.00	92.62	90.0	1.85
12/31/2016	GRIM, SUSAN	NW DESTINATION B2 05	7,758.00	14.55	0.00	14.55	90.0	0.29
12/31/2016	GRUBB, BEVERLY	NWL DESTINATION EV2 01	76,326.43	47.70	0.00	47.70	90.0	0.95
/ /	FLECK, KATHRYN	OPPENHEIMER CAPITAL APPRECIATION A	0.00	1.70	0.00	1.70	90.0	0.03
/ /	FLECK, KATHRYN	OPPENHEIMER MAIN STREET A	0.00	2.26	0.00	2.26	90.0	0.05
/ /	FLECK, KATHRYN	OPPENHEIMER QUEST OPP VALUE A	0.00	1.60	0.00	1.60	90.0	0.03
/ /	FLECK, KATHRYN	OPPENHEIMER SMALL MID CAP VALUE A	0.00	3.96	0.00	3.96	90.0	0.08
12/28/2016	FLECK, GERALD	TRANSAMERICA FREEDOM 2008	53,876.58	56.12	0.00	56.12	90.0	1.12
12/02/2016	RINGGER, MARK	TRANSAMERICA LIBERTY	127,653.07	106.38	0.00	106.38	90.0	2.13
12/04/2016	SCHMIDBAUER, JOSEPH	TRANSAMERICA LIBERTY	4,365.58	3.64	0.00	3.64	90.0	0.07
12/05/2016	MOORE, EILEEN	TRANSAMERICA LIBERTY	241,900.50	201.58	0.00	201.58	90.0	4.03
12/05/2016	MERZ, JOYCE	TRANSAMERICA LIBERTY	23,256.18	19.38	0.00	19.38	90.0	0.39
12/07/2016	RECKNER, COURTNEY	TRANSAMERICA LIBERTY	6,147.19	5.12	0.00	5.12	90.0	0.10
12/08/2016	ROSSWURM, ELAINE	TRANSAMERICA LIBERTY	94,781.25	78.98	0.00	78.98	90.0	1.58
12/09/2016	MUIR TRUST, JOHN & JOANN	TRANSAMERICA LIBERTY	48,634.27	40.53	0.00	40.53	90.0	0.81
12/12/2016	LABERDEE, LARRY	TRANSAMERICA LIBERTY	29,514.95	24.60	0.00	24.60	90.0	0.49
12/13/2016	WODA, HELENE	TRANSAMERICA LIBERTY	38,874.89	32.40	0.00	32.40	90.0	0.65
12/13/2016	FURNEY, DANNY	TRANSAMERICA LIBERTY	251,653.94	209.71	0.00	209.71	90.0	4.19
12/13/2016	MERZ, EDWIN	TRANSAMERICA LIBERTY	155,352.05	129.46	0.00	129.46	90.0	2.59
12/13/2016	BLADEL, JACQUELYN	TRANSAMERICA LIBERTY	74,329.91	61.94	0.00	61.94	90.0	1.24
12/15/2016	THOMPSON, ROBERT	TRANSAMERICA LIBERTY	477.47	0.40	0.00	0.40	90.0	0.01
12/15/2016	RICE, CHERYL	TRANSAMERICA LIBERTY	2,468.32	2.06	0.00	2.06	90.0	0.04
12/15/2016	JACOB, MARILYN	TRANSAMERICA LIBERTY	218,372.74	181.98	0.00	181.98	90.0	3.64
12/16/2016	LABERDEE, JOYCE	TRANSAMERICA LIBERTY	114,584.93	95.49	0.00	95.49	90.0	1.91
12/16/2016	RICE SR, RUSSELL	TRANSAMERICA LIBERTY	2,504.84	2.09	0.00	2.09	90.0	0.04
12/16/2016	RICE, SUSAN	TRANSAMERICA LIBERTY	120,277.18	100.23	0.00	100.23	90.0	2.00
12/17/2016	OSTER, JENNIFER	TRANSAMERICA LIBERTY	26,174.99	21.81	0.00	21.81	90.0	0.44
12/21/2016	MERZ, JOYCE	TRANSAMERICA LIBERTY	96,332.91	80.28	0.00	80.28	90.0	1.61
12/22/2016	SEXTON TRUST, MARY LOU	TRANSAMERICA LIBERTY	82,610.11	68.84	0.00	68.84	90.0	1.38
12/22/2016	SCHWEINHAGEN, RITA	TRANSAMERICA LIBERTY	38,847.20	32.37	0.00	32.37	90.0	0.65

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<u> OVERRIDE TRANSACTIONS </u>								
<u>BROKER: ROBERT THOMPSON #83</u>								
12/22/2016	JEFFERS, DAVID	TRANSAMERICA LIBERTY	106,660.52	88.88	0.00	88.88	90.0	1.78
12/23/2016	SEITZINGER, MARK	TRANSAMERICA LIBERTY	60,308.92	50.26	0.00	50.26	90.0	1.01
12/23/2016	MERZ, JOYCE	TRANSAMERICA LIBERTY	95,693.22	79.74	0.00	79.74	90.0	1.59
12/24/2016	HALL, WAYNE	TRANSAMERICA LIBERTY	171,777.39	143.15	0.00	143.15	90.0	2.86
12/24/2016	RUTLEDGE, JOANNE	TRANSAMERICA LIBERTY	216,513.58	180.43	0.00	180.43	90.0	3.61
12/26/2016	WENZ, JAMES	TRANSAMERICA LIBERTY	26,671.71	22.23	0.00	22.23	90.0	0.44
12/26/2016	FISH, SANDRA	TRANSAMERICA LIBERTY	77,111.89	64.26	0.00	64.26	90.0	1.29
12/26/2016	ZAWODNI, CAROL	TRANSAMERICA LIBERTY	149,179.85	124.32	0.00	124.32	90.0	2.49
12/27/2016	DAVIS, HOWARD	TRANSAMERICA LIBERTY	32,324.97	26.94	0.00	26.94	90.0	0.54
12/28/2016	SHAFFER, EMILY	TRANSAMERICA LIBERTY	165,227.18	137.69	0.00	137.69	90.0	2.75
12/28/2016	COOPER, MARK	TRANSAMERICA LIBERTY	106,619.80	88.85	0.00	88.85	90.0	1.78
* ROBERT THOMPSON SUBTOTAL *			\$6,190,162.92	\$8,982.05	\$0.00	\$8,982.05		\$179.67
*** OVERRIDE TRANSACTIONS TOTAL ***			\$10,276,059.00	\$12,978.02	\$0.00	\$12,978.02		\$459.42

ADJUSTMENTS

01/17/2017	*E & O INSURANCE: CURRENT MONTH INS	0.00						-300.00
01/17/2017	*PERSHING: BOOKS & RECORDS	0.00						-1.50
01/17/2017	*TECHNOLOGY: ADMIN - DEB RYAN	0.00						-100.00
01/17/2017	*TECHNOLOGY: ADMIN - LIZ ROSS	0.00						-100.00
01/17/2017	*TECHNOLOGY: CURRENT MONTH TECH	0.00						-275.00
*** ADJUSTMENTS TOTAL ***			\$0.00	\$0.00	\$0.00	\$0.00		\$-776.50

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BROKER COMMISSION TOTALS

Broker Transactions	\$9,590.60
Split Transactions	\$0.00
Override Transactions	\$459.42
Adjustments	\$-776.50
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$0.00
FINRA Assessment	\$0.00
SIPC Assessment	\$0.00

Check Amount	\$9,273.52
Year-to-date Gross	\$10,088.73
Year-to-date Earnings	\$10,050.02