

**COMMISSION STATEMENT****April 15, 2018**NATHANIEL, K134 KUHN  
612 S. Bristol LaneBROKER #: K134  
BRANCH: KUHN FINANCIAL, INC

Arlington Heights, IL 60005-

| DATE                                      | CLIENT                | INVESTMENT                       | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|---|-----------------------|----------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u>DIRECT TRANSACTIONS</u></b>         |                       |                                  |                      |                     |                    |                   |      |                      |
| <b><u>PRODUCT CATEGORY: 529 PLANS</u></b> |                       |                                  |                      |                     |                    |                   |      |                      |
| 03/15/2018                                | MOLBERGER, KIMBERLY   | AGGRESSIVE AGE BASED 06 - 08 - A | 100.00               | 3.00                | 0.00               | 3.00              | 90.0 | 2.70                 |
| 03/05/2018                                | SAAM, ROBERT          | AGGRESSIVE AGE BASED 09 - 10 - A | 200.00               | 6.00                | 0.00               | 6.00              | 90.0 | 5.40                 |
| 03/15/2018                                | MOLBERGER, KIMBERLY   | AGGRESSIVE AGE BASED 09 - 10 - A | 100.00               | 3.00                | 0.00               | 3.00              | 90.0 | 2.70                 |
| 03/20/2018                                | BAXTER, KIMBERLY      | AGGRESSIVE AGE BASED 09 - 10 - A | 25.00                | 0.75                | 0.00               | 0.75              | 90.0 | 0.68                 |
| 04/05/2018                                | WIRTZ, GRETCHEN       | AM FUNDS GROWTH AND INCOME 529A  | 150.00               | 6.38                | 0.00               | 6.38              | 90.0 | 5.74                 |
| 03/12/2018                                | REHMAN, AFSHAN        | FUND 80 A                        | 75.00                | 2.25                | 0.00               | 2.25              | 90.0 | 2.03                 |
| 03/12/2018                                | REHMAN, AFSHAN        | FUND 80 A                        | 12.50                | 0.38                | 0.00               | 0.38              | 90.0 | 0.34                 |
| 03/12/2018                                | REHMAN, AFSHAN        | FUND 80 A                        | 12.50                | 0.38                | 0.00               | 0.38              | 90.0 | 0.34                 |
| 03/26/2018                                | REHMAN, AFSHAN        | FUND 80 A                        | 75.00                | 2.25                | 0.00               | 2.25              | 90.0 | 2.03                 |
| 03/26/2018                                | REHMAN, AFSHAN        | FUND 80 A                        | 12.50                | 0.38                | 0.00               | 0.38              | 90.0 | 0.34                 |
| 03/26/2018                                | REHMAN, AFSHAN        | FUND 80 A                        | 12.50                | 0.38                | 0.00               | 0.38              | 90.0 | 0.34                 |
| 03/15/2018                                | LAMPI, KEITH          | MODERATE AGE BASED 0 - 02 - A    | 166.00               | 4.98                | 0.00               | 4.98              | 90.0 | 4.48                 |
| 03/15/2018                                | WASPI, GRANT          | MODERATE AGE BASED 0 - 02 - A    | 50.00                | 1.50                | 0.00               | 1.50              | 90.0 | 1.35                 |
| 03/19/2018                                | ARIAS, MELISSA        | MODERATE AGE BASED 0 - 02 - A    | 300.00               | 9.00                | 0.00               | 9.00              | 90.0 | 8.10                 |
| 03/19/2018                                | MARIQUINA, JACQUELINE | MODERATE AGE BASED 0 - 02 - A    | 10.00                | 0.30                | 0.00               | 0.30              | 90.0 | 0.27                 |
| 03/19/2018                                | MACK, ALEXANDER       | MODERATE AGE BASED 0 - 02 - A    | 250.00               | 7.50                | 0.00               | 7.50              | 90.0 | 6.75                 |
| 03/19/2018                                | NORRIS, VALERIE       | MODERATE AGE BASED 0 - 02 - A    | 150.00               | 4.50                | 0.00               | 4.50              | 90.0 | 4.05                 |
| 03/19/2018                                | ROLLINGER, LAUREN     | MODERATE AGE BASED 0 - 02 - A    | 30.00                | 0.90                | 0.00               | 0.90              | 90.0 | 0.81                 |
| 03/19/2018                                | TUCCINI, MELISSA      | MODERATE AGE BASED 0 - 02 - A    | 50.00                | 1.50                | 0.00               | 1.50              | 90.0 | 1.35                 |
| 03/19/2018                                | TUCCINI, MELISSA      | MODERATE AGE BASED 0 - 02 - A    | 50.00                | 1.50                | 0.00               | 1.50              | 90.0 | 1.35                 |
| 03/19/2018                                | DEUTSCH, SCOTT        | MODERATE AGE BASED 0 - 02 - A    | 385.00               | 11.55               | 0.00               | 11.55             | 90.0 | 10.40                |
| 03/19/2018                                | BRANNAN, JESSE        | MODERATE AGE BASED 0 - 02 - A    | 250.00               | 7.50                | 0.00               | 7.50              | 90.0 | 6.75                 |
| 03/19/2018                                | GASPER, JAYSON        | MODERATE AGE BASED 0 - 02 - A    | 25.00                | 0.75                | 0.00               | 0.75              | 90.0 | 0.68                 |
| 03/01/2018                                | KLABACHA, JASON       | MODERATE AGE BASED 06 - 08 - A   | 300.00               | 9.00                | 0.00               | 9.00              | 90.0 | 8.10                 |
| 03/01/2018                                | SILKAITIS, MYIA       | MODERATE AGE BASED 06 - 08 - A   | 50.00                | 1.50                | 0.00               | 1.50              | 90.0 | 1.35                 |
| 03/01/2018                                | LIM, SUSIE            | MODERATE AGE BASED 06 - 08 - A   | 100.00               | 3.00                | 0.00               | 3.00              | 90.0 | 2.70                 |

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

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

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

| DATE                               | CLIENT                   | INVESTMENT                         | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|------------------------------------|--------------------------|------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u>DIRECT TRANSACTIONS</u></b>  |                          |                                    |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: 529 PLANS</b> |                          |                                    |                      |                     |                    |                   |      |                      |
| 03/01/2018                         | KLABACHA, JASON          | MODERATE AGE BASED 06 - 08 - A     | 300.00               | 9.00                | 0.00               | 9.00              | 90.0 | 8.10                 |
| 03/01/2018                         | REIDY, TIFFANY           | MODERATE AGE BASED 06 - 08 - A     | 150.00               | 4.50                | 0.00               | 4.50              | 90.0 | 4.05                 |
| 03/01/2018                         | BATTAGLIA, MICHAEL       | MODERATE AGE BASED 06 - 08 - A     | 50.00                | 1.50                | 0.00               | 1.50              | 90.0 | 1.35                 |
| 03/01/2018                         | SAAM, ROBERT             | MODERATE AGE BASED 06 - 08 - A     | 200.00               | 6.00                | 0.00               | 6.00              | 90.0 | 5.40                 |
| 03/01/2018                         | BRANNAN, JESSE           | MODERATE AGE BASED 06 - 08 - A     | 250.00               | 7.50                | 0.00               | 7.50              | 90.0 | 6.75                 |
| 03/01/2018                         | CATANESE, JODY           | MODERATE AGE BASED 06 - 08 - A     | 100.00               | 3.00                | 0.00               | 3.00              | 90.0 | 2.70                 |
| 03/15/2018                         | LAMPI, KEITH             | MODERATE AGE BASED 06 - 08 - A     | 667.00               | 20.01               | 0.00               | 20.01             | 90.0 | 18.01                |
| 03/15/2018                         | GREINER, PAUL            | MODERATE AGE BASED 06 - 08 - A     | 150.00               | 4.50                | 0.00               | 4.50              | 90.0 | 4.05                 |
| 03/15/2018                         | LAMPI, KEITH             | MODERATE AGE BASED 06 - 08 - A     | 833.00               | 24.99               | 0.00               | 24.99             | 90.0 | 22.49                |
| 03/16/2018                         | MARTIN, JOELLYN          | MODERATE AGE BASED 06 - 08 - A     | 250.00               | 7.50                | 0.00               | 7.50              | 90.0 | 6.75                 |
| 03/16/2018                         | CATANESE, ERIN           | MODERATE AGE BASED 06 - 08 - A     | 500.00               | 15.00               | 0.00               | 15.00             | 90.0 | 13.50                |
| 03/16/2018                         | CATANESE, ERIN           | MODERATE AGE BASED 06 - 08 - A     | 500.00               | 15.00               | 0.00               | 15.00             | 90.0 | 13.50                |
| 03/19/2018                         | MEYER, ELIZABETH         | MODERATE AGE BASED 06 - 08 - A     | 25.00                | 0.75                | 0.00               | 0.75              | 90.0 | 0.68                 |
| 03/19/2018                         | CONTRERAS, ANDY          | MODERATE AGE BASED 06 - 08 - A     | 50.00                | 1.50                | 0.00               | 1.50              | 90.0 | 1.35                 |
| 03/19/2018                         | CONTRERAS, ANDY          | MODERATE AGE BASED 06 - 08 - A     | 50.00                | 1.50                | 0.00               | 1.50              | 90.0 | 1.35                 |
| 03/19/2018                         | SAYRE, MICHAEL           | MODERATE AGE BASED 06 - 08 - A     | 50.00                | 1.50                | 0.00               | 1.50              | 90.0 | 1.35                 |
| 03/19/2018                         | SAYRE, MICHAEL           | MODERATE AGE BASED 06 - 08 - A     | 50.00                | 1.50                | 0.00               | 1.50              | 90.0 | 1.35                 |
| 03/01/2018                         | MUELLNER, MARK           | MODERATE AGE BASED 09 - 10 - A     | 100.00               | 3.00                | 0.00               | 3.00              | 90.0 | 2.70                 |
| 03/05/2018                         | WILKINS, AARON           | MODERATE AGE BASED 09 - 10 - A     | 150.00               | 4.50                | 0.00               | 4.50              | 90.0 | 4.05                 |
| 03/15/2018                         | LIEBERMAN, DAVID         | MODERATE AGE BASED 09 - 10 - A     | 833.00               | 24.99               | 0.00               | 24.99             | 90.0 | 22.49                |
| 03/19/2018                         | MEYER, ELIZABETH         | MODERATE AGE BASED 09 - 10 - A     | 25.00                | 0.75                | 0.00               | 0.75              | 90.0 | 0.68                 |
| 03/01/2018                         | BATTAGLIA, MICHAEL       | MODERATE AGE BASED 11 - 12 - A     | 100.00               | 3.00                | 0.00               | 3.00              | 90.0 | 2.70                 |
| 03/01/2018                         | MUELLNER, MARK           | MODERATE AGE BASED 11 - 12 - A     | 100.00               | 3.00                | 0.00               | 3.00              | 90.0 | 2.70                 |
| 03/01/2018                         | HINTCH, ELIZABETH        | MODERATE AGE BASED 11 - 12 - A     | 917.00               | 27.51               | 0.00               | 27.51             | 90.0 | 24.76                |
| 03/01/2018                         | STETTER, MARIA           | MODERATE AGE BASED 11 - 12 - A     | 50.00                | 1.50                | 0.00               | 1.50              | 90.0 | 1.35                 |
| 03/05/2018                         | WILKINS, AARON           | MODERATE AGE BASED 11 - 12 - A     | 150.00               | 4.50                | 0.00               | 4.50              | 90.0 | 4.05                 |
| 03/15/2018                         | LIEBERMAN, DAVID         | MODERATE AGE BASED 11 - 12 - A     | 833.00               | 24.99               | 0.00               | 24.99             | 90.0 | 22.49                |
| 03/15/2018                         | WELLINGTON, ERICA        | MODERATE AGE BASED 11 - 12 - A     | 500.00               | 15.00               | 0.00               | 15.00             | 90.0 | 13.50                |
| 03/19/2018                         | HIRSTIUS, KERRIE         | MODERATE AGE BASED 11 - 12 - A     | 255.00               | 7.65                | 0.00               | 7.65              | 90.0 | 6.89                 |
| 03/01/2018                         | ROSALES-HARRIGAN, ESTELA | MODERATE AGE BASED 17 - 18 - A     | 300.00               | 9.00                | 0.00               | 9.00              | 90.0 | 8.10                 |
| 03/05/2018                         | LOPEZ, JOSE              | MODERATE AGE BASED 17 - 18 - A     | 50.00                | 1.50                | 0.00               | 1.50              | 90.0 | 1.35                 |
| 03/07/2018                         | ARATA, MATHEW            | UBT AGGRESSIVE AGE BASED 03 - 05 - | 111.00               | 3.33                | 0.00               | 3.33              | 90.0 | 3.00                 |
| 03/19/2018                         | ARATA, MATHEW            | UBT AGGRESSIVE AGE BASED 03 - 05 - | 111.00               | 3.33                | 0.00               | 3.33              | 90.0 | 3.00                 |

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

| DATE                               | CLIENT                | INVESTMENT                         | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|------------------------------------|-----------------------|------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u>DIRECT TRANSACTIONS</u></b>  |                       |                                    |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: 529 PLANS</b> |                       |                                    |                      |                     |                    |                   |      |                      |
| 03/20/2018                         | BAXTER, KIMBERLY      | UBT AGGRESSIVE AGE BASED 11 - 12 - | 25.00                | 0.75                | 0.00               | 0.75              | 90.0 | 0.68                 |
| 03/05/2018                         | LOPEZ, JOSE           | UBT MODERATE AGE BASED 15 - 16 - A | 50.00                | 1.50                | 0.00               | 1.50              | 90.0 | 1.35                 |
| 03/20/2018                         | GUIRAGOSSIAN, BETSY   | UBT MODERATE AGE BASED 15 - 16 - A | 100.00               | 3.00                | 0.00               | 3.00              | 90.0 | 2.70                 |
| 03/05/2018                         | LOPEZ, JOSE           | UBT MODERATE AGE BASED 19+ - A     | 50.00                | 1.50                | 0.00               | 1.50              | 90.0 | 1.35                 |
| 03/20/2018                         | GUIRAGOSSIAN, BETSY   | UBT MODERATE AGE BASED 19+ - A     | 100.00               | 3.00                | 0.00               | 3.00              | 90.0 | 2.70                 |
| 03/01/2018                         | NORRIS, VALERIE       | UNION B&T MODERATE AGE BASED 03-05 | 150.00               | 4.50                | 0.00               | 4.50              | 90.0 | 4.05                 |
| 03/01/2018                         | ROLLINGER, LAUREN     | UNION B&T MODERATE AGE BASED 03-05 | 30.00                | 0.90                | 0.00               | 0.90              | 90.0 | 0.81                 |
| 03/01/2018                         | WHITE, AMANDA         | UNION B&T MODERATE AGE BASED 03-05 | 100.00               | 3.00                | 0.00               | 3.00              | 90.0 | 2.70                 |
| 03/01/2018                         | REIDY, TIFFANY        | UNION B&T MODERATE AGE BASED 03-05 | 150.00               | 4.50                | 0.00               | 4.50              | 90.0 | 4.05                 |
| 03/01/2018                         | BRANNAN, JESSE        | UNION B&T MODERATE AGE BASED 03-05 | 250.00               | 7.50                | 0.00               | 7.50              | 90.0 | 6.75                 |
| 03/15/2018                         | ARIAS, MELISSA        | UNION B&T MODERATE AGE BASED 03-05 | 300.00               | 9.00                | 0.00               | 9.00              | 90.0 | 8.10                 |
| 03/15/2018                         | GREINER, PAUL         | UNION B&T MODERATE AGE BASED 03-05 | 150.00               | 4.50                | 0.00               | 4.50              | 90.0 | 4.05                 |
| 03/16/2018                         | MARTIN, JOELLYN       | UNION B&T MODERATE AGE BASED 03-05 | 250.00               | 7.50                | 0.00               | 7.50              | 90.0 | 6.75                 |
| 03/19/2018                         | WILSON, JOE           | UNION B&T MODERATE AGE BASED 03-05 | 30.00                | 0.90                | 0.00               | 0.90              | 90.0 | 0.81                 |
| 03/19/2018                         | CATANESE, JODY        | UNION B&T MODERATE AGE BASED 03-05 | 100.00               | 3.00                | 0.00               | 3.00              | 90.0 | 2.70                 |
| 03/19/2018                         | DEUTSCH, SCOTT        | UNION B&T MODERATE AGE BASED 03-05 | 385.00               | 11.55               | 0.00               | 11.55             | 90.0 | 10.40                |
| 03/19/2018                         | TUCKER, BRANDON       | UNION B&T MODERATE AGE BASED 03-05 | 250.00               | 7.50                | 0.00               | 7.50              | 90.0 | 6.75                 |
| 03/19/2018                         | ROLLINGER, LAUREN     | UNION B&T MODERATE AGE BASED 03-05 | 30.00                | 0.90                | 0.00               | 0.90              | 90.0 | 0.81                 |
| 03/19/2018                         | SILKAITIS, MYIA       | UNION B&T MODERATE AGE BASED 03-05 | 50.00                | 1.50                | 0.00               | 1.50              | 90.0 | 1.35                 |
| 03/19/2018                         | MARIQUINA, JACQUELINE | UNION B&T MODERATE AGE BASED 03-05 | 25.00                | 0.75                | 0.00               | 0.75              | 90.0 | 0.68                 |
| 03/19/2018                         | MEGER, AMANDA         | UNION B&T MODERATE AGE BASED 03-05 | 100.00               | 3.00                | 0.00               | 3.00              | 90.0 | 2.70                 |
| <b>* 529 PLANS SUBTOTAL *</b>      |                       |                                    | <b>\$14,376.00</b>   | <b>\$433.18</b>     | <b>\$0.00</b>      | <b>\$433.18</b>   |      | <b>\$389.91</b>      |

**PRODUCT CATEGORY: MUTUAL FUNDS**

|            |                     |                                    |        |       |      |       |      |       |
|------------|---------------------|------------------------------------|--------|-------|------|-------|------|-------|
| 03/19/2018 | MOLBERGER, KIMBERLY | AGGRESSIVE AGE BASED 0 - 02 - A    | 100.00 | 3.00  | 0.00 | 3.00  | 90.0 | 2.70  |
| 04/02/2018 | SANTOS, LOURDES     | AM FUNDS AMERICAN BALANCED C       | 100.00 | 1.00  | 0.00 | 1.00  | 90.0 | 0.90  |
| 04/02/2018 | FUSCO, JAMES        | AM FUNDS EUROPACIFIC GROWTH FUND A | 150.00 | 5.63  | 0.00 | 5.63  | 90.0 | 5.07  |
| 04/02/2018 | ROLLINGER, LAUREN   | AM FUNDS FUNDAMENTAL INVESTORS A   | 50.00  | 2.50  | 0.00 | 2.50  | 90.0 | 2.25  |
| 04/02/2018 | FUSCO, JAMES        | AM FUNDS GROWTH FUND OF AMERICA A  | 50.00  | 1.88  | 0.00 | 1.88  | 90.0 | 1.69  |
| 04/02/2018 | ROLLINGER, JOHN     | AM FUNDS GROWTH FUND OF AMERICA A  | 50.00  | 2.50  | 0.00 | 2.50  | 90.0 | 2.25  |
| 04/02/2018 | SANTOS, LOURDES     | HARTFORD DIVIDEND & GROWTH C       | 50.00  | 0.50  | 0.00 | 0.50  | 90.0 | 0.45  |
| 04/02/2018 | SANTOS, LOURDES     | HARTFORD TOTAL RETURN BOND FUND C  | 50.00  | 0.50  | 0.00 | 0.50  | 90.0 | 0.45  |
| 03/01/2018 | MUELLNER, MARK      | MODERATE AGE BASED 13 - 14 - A     | 100.00 | 3.00  | 0.00 | 3.00  | 90.0 | 2.70  |
| 03/15/2018 | WELLINGTON, ERICA   | MODERATE AGE BASED 13 - 14 - A     | 500.00 | 15.00 | 0.00 | 15.00 | 90.0 | 13.50 |

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| DATE  | CLIENT              | INVESTMENT                          | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|---|---------------------|-------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u>DIRECT TRANSACTIONS</u></b>                       |                     |                                     |                      |                     |                    |                   |      |                      |
| <b><u>PRODUCT CATEGORY: MUTUAL FUNDS</u></b>            |                     |                                     |                      |                     |                    |                   |      |                      |
| / /   | VOLKBER, SUSAN      | UBT FUND 60 A                       | 0.00                 | 1.50                | 0.00               | 1.50              | 90.0 | 1.35                 |
| 03/20/2018  | VOLKBER, SUSAN      | UBT FUND 60 A                       | 50.00                | 1.50                | 0.00               | 1.50              | 90.0 | 1.35                 |
| * MUTUAL FUNDS SUBTOTAL *                               |                     |                                     | <b>\$1,250.00</b>    | <b>\$38.51</b>      | <b>\$0.00</b>      | <b>\$38.51</b>    |      | <b>\$34.66</b>       |
| <b><u>PRODUCT CATEGORY: VARIABLE ANNUITIES</u></b>      |                     |                                     |                      |                     |                    |                   |      |                      |
| 03/29/2018  | KUHN, LINDA         | HARTFORD DIRECTOR VII (HL)          | 19,822.16            | 12.39               | 0.00               | 12.39             | 90.0 | 11.15                |
| 04/02/2018  | GALLESE, ALLISON    | JNL ELITE ACCESS                    | 500.00               | 26.25               | 0.00               | 26.25             | 90.0 | 23.63                |
| 03/30/2018  | JOHNSON, LISA       | NATIONWIDE BOA FUTURE II 32         | 52,832.56            | 33.02               | 0.00               | 33.02             | 90.0 | 29.72                |
| 03/30/2018  | KUHN, THOMAS        | NATIONWIDE BOA FUTURE II 32         | 448,567.58           | 280.35              | 0.00               | 280.35            | 90.0 | 252.32               |
| 03/31/2018  | RITCHIE, KARREN     | PRU AS ADVISOR PLAN III             | 77,048.03            | 48.16               | 0.00               | 48.16             | 90.0 | 43.34                |
| 03/31/2018  | RITCHIE, KARREN     | PRU AS ADVISOR PLAN III             | 77,048.03            | 48.16               | 0.00               | 48.16             | 90.0 | 43.34                |
| 03/31/2018  | RITCHIE, KARREN     | PRU AS ADVISOR PLAN III             | 105,957.73           | 66.22               | 0.00               | 66.22             | 90.0 | 59.60                |
| 03/31/2018  | RITCHIE, KARREN     | PRU AS ADVISOR PLAN III             | 105,957.73           | 66.22               | 0.00               | 66.22             | 90.0 | 59.60                |
| 03/28/2018  | LOIKA, GREGORY      | SBL ADVISOR PROGRAM                 | 7,567.41             | 6.30                | 0.00               | 6.30              | 90.0 | 5.67                 |
| 03/28/2018  | LOIKA, JENNIFER     | SBL ADVISOR PROGRAM                 | 7,571.69             | 6.30                | 0.00               | 6.30              | 90.0 | 5.67                 |
| * VARIABLE ANNUITIES SUBTOTAL *                         |                     |                                     | <b>\$902,872.92</b>  | <b>\$593.37</b>     | <b>\$0.00</b>      | <b>\$593.37</b>   |      | <b>\$534.04</b>      |
| <b><u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u></b> |                     |                                     |                      |                     |                    |                   |      |                      |
| / /   | MOLBERGER, KIMBERLY | AGGRESSIVE AGE BASED 0 - 02 - A     | 0.00                 | 0.50                | 0.00               | 0.50              | 90.0 | 0.45                 |
| / /   | MOLBERGER, KIMBERLY | AGGRESSIVE AGE BASED 06 - 08 - A    | 0.00                 | 3.94                | 0.00               | 3.94              | 90.0 | 3.55                 |
| / /   | SAAM, ROBERT        | AGGRESSIVE AGE BASED 09 - 10 - A    | 0.00                 | 16.12               | 0.00               | 16.12             | 90.0 | 14.51                |
| / /   | BAXTER, KIMBERLY    | AGGRESSIVE AGE BASED 09 - 10 - A    | 0.00                 | 2.27                | 0.00               | 2.27              | 90.0 | 2.04                 |
| / /   | MOLBERGER, KIMBERLY | AGGRESSIVE AGE BASED 09 - 10 - A    | 0.00                 | 6.32                | 0.00               | 6.32              | 90.0 | 5.69                 |
| / /   | REHMAN, AFSHAN      | FUND 80 A                           | 0.00                 | 4.31                | 0.00               | 4.31              | 90.0 | 3.88                 |
| / /   | REHMAN, AFSHAN      | FUND 80 A                           | 0.00                 | 0.90                | 0.00               | 0.90              | 90.0 | 0.81                 |
| / /   | REHMAN, AFSHAN      | FUND 80 A                           | 0.00                 | 0.90                | 0.00               | 0.90              | 90.0 | 0.81                 |
| / /   | GERALDS, PAMELA     | FUND 80 A                           | 0.00                 | 1.21                | 0.00               | 1.21              | 90.0 | 1.09                 |
| / /   | HOGLUND, KRISTEN    | HARTFORD BALANCED ALLOCATION FUND C | 0.00                 | 0.15                | 0.00               | 0.15              | 90.0 | 0.14                 |
| / /   | WILLIS, JUDE        | HARTFORD BALANCED ALLOCATION FUND C | 0.00                 | 5.88                | 0.00               | 5.88              | 90.0 | 5.29                 |
| / /   | SANTOS, LOURDES     | HARTFORD CAPITAL APPRECIATION C     | 0.00                 | 3.31                | 0.00               | 3.31              | 90.0 | 2.98                 |
| / /   | MEYER, WILLIAM      | HARTFORD CHECKS AND BALANCES FUND A | 0.00                 | 6.18                | 0.00               | 6.18              | 90.0 | 5.56                 |
| / /   | LOPEZ, JOSE         | HARTFORD CHECKS AND BALANCES FUND A | 0.00                 | 6.49                | 0.00               | 6.49              | 90.0 | 5.84                 |
| / /   | RAY, SCOTT          | HARTFORD CONSERVATIVE ALLOC C       | 0.00                 | 2.87                | 0.00               | 2.87              | 90.0 | 2.58                 |
| / /   | SANTOS, LOURDES     | HARTFORD DIVIDEND & GROWTH C        | 0.00                 | 6.72                | 0.00               | 6.72              | 90.0 | 6.05                 |

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| DATE   | CLIENT                | INVESTMENT                        | INVESTMENT<br>AMOUNT | GROSS<br>COMMISSION | CLEARING<br>CHARGE | NET<br>COMMISSION | RATE | BROKER<br>COMMISSION |
|--|-----------------------|-----------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u>DIRECT TRANSACTIONS</u></b>                |                       |                                   |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</b> |                       |                                   |                      |                     |                    |                   |      |                      |
| / /  | SANTOS, JAIMEE        | HARTFORD FLOATING RATE C          | 0.00                 | 11.86               | 0.00               | 11.86             | 90.0 | 10.67                |
| / /  | BAXTER, KIMBERLY      | HARTFORD GROWTH ALLOCATION A      | 0.00                 | 0.27                | 0.00               | 0.27              | 90.0 | 0.24                 |
| / /  | EAR, SIEV             | HARTFORD GROWTH ALLOCATION A      | 0.00                 | 2.48                | 0.00               | 2.48              | 90.0 | 2.23                 |
| / /  | STEFFEN, NATHAN       | HARTFORD GROWTH ALLOCATION A      | 0.00                 | 5.41                | 0.00               | 5.41              | 90.0 | 4.87                 |
| / /  | BIEGERT, LAUREN       | HARTFORD GROWTH ALLOCATION A      | 0.00                 | 13.83               | 0.00               | 13.83             | 90.0 | 12.45                |
| / /  | FLORES, KARINA        | HARTFORD GROWTH ALLOCATION A      | 0.00                 | 0.76                | 0.00               | 0.76              | 90.0 | 0.68                 |
| / /  | STEFFEN, NATHAN       | HARTFORD GROWTH OPP A             | 0.00                 | 2.11                | 0.00               | 2.11              | 90.0 | 1.90                 |
| / /  | DELLAPORTAS, VASILIS  | HARTFORD TOTAL RETURN BOND A      | 0.00                 | 1.83                | 0.00               | 1.83              | 90.0 | 1.65                 |
| / /  | SANTOS, LOURDES       | HARTFORD TOTAL RETURN BOND FUND C | 0.00                 | 4.68                | 0.00               | 4.68              | 90.0 | 4.21                 |
| / /  | ROLLINGER, LAUREN     | MODERATE AGE BASED 0 - 02 - A     | 0.00                 | 0.15                | 0.00               | 0.15              | 90.0 | 0.14                 |
| / /  | TUCCINI, MELISSA      | MODERATE AGE BASED 0 - 02 - A     | 0.00                 | 0.12                | 0.00               | 0.12              | 90.0 | 0.11                 |
| / /  | TUCCINI, MELISSA      | MODERATE AGE BASED 0 - 02 - A     | 0.00                 | 0.12                | 0.00               | 0.12              | 90.0 | 0.11                 |
| / /  | BRANNAN, JESSE        | MODERATE AGE BASED 0 - 02 - A     | 0.00                 | 3.45                | 0.00               | 3.45              | 90.0 | 3.11                 |
| / /  | GASPER, JAYSON        | MODERATE AGE BASED 0 - 02 - A     | 0.00                 | 0.38                | 0.00               | 0.38              | 90.0 | 0.34                 |
| / /  | ARIAS, MELISSA        | MODERATE AGE BASED 0 - 02 - A     | 0.00                 | 3.76                | 0.00               | 3.76              | 90.0 | 3.38                 |
| / /  | LAMPI, KEITH          | MODERATE AGE BASED 0 - 02 - A     | 0.00                 | 3.35                | 0.00               | 3.35              | 90.0 | 3.02                 |
| / /  | MARIQUINA, JACQUELINE | MODERATE AGE BASED 0 - 02 - A     | 0.00                 | 0.34                | 0.00               | 0.34              | 90.0 | 0.31                 |
| / /  | MACK, ALEXANDER       | MODERATE AGE BASED 0 - 02 - A     | 0.00                 | 2.20                | 0.00               | 2.20              | 90.0 | 1.98                 |
| / /  | NORRIS, VALERIE       | MODERATE AGE BASED 0 - 02 - A     | 0.00                 | 1.93                | 0.00               | 1.93              | 90.0 | 1.74                 |
| / /  | BUERSTATTE, BRANDI    | MODERATE AGE BASED 0 - 02 - A     | 0.00                 | 0.26                | 0.00               | 0.26              | 90.0 | 0.23                 |
| / /  | WASPI, GRANT          | MODERATE AGE BASED 0 - 02 - A     | 0.00                 | 0.21                | 0.00               | 0.21              | 90.0 | 0.19                 |
| / /  | DEUTSCH, SCOTT        | MODERATE AGE BASED 0 - 02 - A     | 0.00                 | 0.59                | 0.00               | 0.59              | 90.0 | 0.53                 |
| / /  | SAYRE, MICHAEL        | MODERATE AGE BASED 06 - 08 - A    | 0.00                 | 2.30                | 0.00               | 2.30              | 90.0 | 2.07                 |
| / /  | SAYRE, MICHAEL        | MODERATE AGE BASED 06 - 08 - A    | 0.00                 | 2.30                | 0.00               | 2.30              | 90.0 | 2.07                 |
| / /  | KLABACHA, JASON       | MODERATE AGE BASED 06 - 08 - A    | 0.00                 | 7.00                | 0.00               | 7.00              | 90.0 | 6.30                 |
| / /  | MARTIN, JOELLYN       | MODERATE AGE BASED 06 - 08 - A    | 0.00                 | 6.90                | 0.00               | 6.90              | 90.0 | 6.21                 |
| / /  | KUHN, NATHANIEL       | MODERATE AGE BASED 06 - 08 - A    | 0.00                 | 12.40               | 0.00               | 12.40             | 90.0 | 11.16                |
| / /  | SISON, MARYBETH       | MODERATE AGE BASED 06 - 08 - A    | 0.00                 | 2.04                | 0.00               | 2.04              | 90.0 | 1.84                 |
| / /  | BUERSTATTE, BRANDI    | MODERATE AGE BASED 06 - 08 - A    | 0.00                 | 5.34                | 0.00               | 5.34              | 90.0 | 4.81                 |
| / /  | CATANESE, ERIN        | MODERATE AGE BASED 06 - 08 - A    | 0.00                 | 15.93               | 0.00               | 15.93             | 90.0 | 14.34                |
| / /  | SILKAITIS, MYIA       | MODERATE AGE BASED 06 - 08 - A    | 0.00                 | 3.95                | 0.00               | 3.95              | 90.0 | 3.56                 |
| / /  | LIM, SUSIE            | MODERATE AGE BASED 06 - 08 - A    | 0.00                 | 6.29                | 0.00               | 6.29              | 90.0 | 5.66                 |
| / /  | KLABACHA, JASON       | MODERATE AGE BASED 06 - 08 - A    | 0.00                 | 6.44                | 0.00               | 6.44              | 90.0 | 5.80                 |

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|---|--------------------|--------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u>DIRECT TRANSACTIONS</u></b>                       |                    |                                |                      |                     |                    |                   |      |                      |
| <b><u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u></b> |                    |                                |                      |                     |                    |                   |      |                      |
| / /   | REIDY, TIFFANY     | MODERATE AGE BASED 06 - 08 - A | 0.00                 | 8.49                | 0.00               | 8.49              | 90.0 | 7.64                 |
| / /   | BATTAGLIA, MICHAEL | MODERATE AGE BASED 06 - 08 - A | 0.00                 | 2.03                | 0.00               | 2.03              | 90.0 | 1.83                 |
| / /   | WIRTZ, GRETCHEN    | MODERATE AGE BASED 06 - 08 - A | 0.00                 | 1.00                | 0.00               | 1.00              | 90.0 | 0.90                 |
| / /   | SAAM, ROBERT       | MODERATE AGE BASED 06 - 08 - A | 0.00                 | 7.63                | 0.00               | 7.63              | 90.0 | 6.87                 |
| / /   | LAMPI, KEITH       | MODERATE AGE BASED 06 - 08 - A | 0.00                 | 9.84                | 0.00               | 9.84              | 90.0 | 8.86                 |
| / /   | CATANESE, ERIN     | MODERATE AGE BASED 06 - 08 - A | 0.00                 | 15.58               | 0.00               | 15.58             | 90.0 | 14.02                |
| / /   | BRANNAN, JESSE     | MODERATE AGE BASED 06 - 08 - A | 0.00                 | 13.54               | 0.00               | 13.54             | 90.0 | 12.19                |
| / /   | SISON, MARYBETH    | MODERATE AGE BASED 06 - 08 - A | 0.00                 | 1.03                | 0.00               | 1.03              | 90.0 | 0.93                 |
| / /   | NORRIS, VALERIE    | MODERATE AGE BASED 06 - 08 - A | 0.00                 | 6.61                | 0.00               | 6.61              | 90.0 | 5.95                 |
| / /   | CATANESE, JODY     | MODERATE AGE BASED 06 - 08 - A | 0.00                 | 4.15                | 0.00               | 4.15              | 90.0 | 3.74                 |
| / /   | COLAN, MICHAEL     | MODERATE AGE BASED 06 - 08 - A | 0.00                 | 1.44                | 0.00               | 1.44              | 90.0 | 1.30                 |
| / /   | COLAN, MICHAEL     | MODERATE AGE BASED 06 - 08 - A | 0.00                 | 1.27                | 0.00               | 1.27              | 90.0 | 1.14                 |
| / /   | MEYER, ELIZABETH   | MODERATE AGE BASED 06 - 08 - A | 0.00                 | 0.60                | 0.00               | 0.60              | 90.0 | 0.54                 |
| / /   | GREINER, PAUL      | MODERATE AGE BASED 06 - 08 - A | 0.00                 | 8.11                | 0.00               | 8.11              | 90.0 | 7.30                 |
| / /   | LAWLESS, JENNIFER  | MODERATE AGE BASED 06 - 08 - A | 0.00                 | 1.70                | 0.00               | 1.70              | 90.0 | 1.53                 |
| / /   | CONTRERAS, ANDY    | MODERATE AGE BASED 06 - 08 - A | 0.00                 | 0.53                | 0.00               | 0.53              | 90.0 | 0.48                 |
| / /   | CONTRERAS, ANDY    | MODERATE AGE BASED 06 - 08 - A | 0.00                 | 0.53                | 0.00               | 0.53              | 90.0 | 0.48                 |
| / /   | HARRIS, KRISTOFER  | MODERATE AGE BASED 06 - 08 - A | 0.00                 | 5.77                | 0.00               | 5.77              | 90.0 | 5.19                 |
| / /   | WILKINS, AARON     | MODERATE AGE BASED 06 - 08 - A | 0.00                 | 3.96                | 0.00               | 3.96              | 90.0 | 3.56                 |
| / /   | LAMPI, KEITH       | MODERATE AGE BASED 06 - 08 - A | 0.00                 | 13.56               | 0.00               | 13.56             | 90.0 | 12.20                |
| / /   | BUERSTATTE, BRANDI | MODERATE AGE BASED 06 - 08 - A | 0.00                 | 6.72                | 0.00               | 6.72              | 90.0 | 6.05                 |
| / /   | CROW, ELISSA       | MODERATE AGE BASED 06-08 - C   | 0.00                 | 14.08               | 0.00               | 14.08             | 90.0 | 12.67                |
| / /   | COLAN, MICHAEL     | MODERATE AGE BASED 09 - 10 - A | 0.00                 | 2.45                | 0.00               | 2.45              | 90.0 | 2.21                 |
| / /   | LIEBERMAN, DAVID   | MODERATE AGE BASED 09 - 10 - A | 0.00                 | 12.23               | 0.00               | 12.23             | 90.0 | 11.01                |
| / /   | MUELLNER, MARK     | MODERATE AGE BASED 09 - 10 - A | 0.00                 | 4.61                | 0.00               | 4.61              | 90.0 | 4.15                 |
| / /   | MEYER, ELIZABETH   | MODERATE AGE BASED 09 - 10 - A | 0.00                 | 0.59                | 0.00               | 0.59              | 90.0 | 0.53                 |
| / /   | HARRIS, KRISTOFER  | MODERATE AGE BASED 09 - 10 - A | 0.00                 | 7.42                | 0.00               | 7.42              | 90.0 | 6.68                 |
| / /   | WILKINS, AARON     | MODERATE AGE BASED 09 - 10 - A | 0.00                 | 3.37                | 0.00               | 3.37              | 90.0 | 3.03                 |
| / /   | CROW, ELISSA       | MODERATE AGE BASED 09-10 - C   | 0.00                 | 13.76               | 0.00               | 13.76             | 90.0 | 12.38                |
| / /   | LIEBERMAN, DAVID   | MODERATE AGE BASED 11 - 12 - A | 0.00                 | 10.14               | 0.00               | 10.14             | 90.0 | 9.13                 |
| / /   | BATTAGLIA, MICHAEL | MODERATE AGE BASED 11 - 12 - A | 0.00                 | 4.85                | 0.00               | 4.85              | 90.0 | 4.37                 |
| / /   | MUELLNER, MARK     | MODERATE AGE BASED 11 - 12 - A | 0.00                 | 4.50                | 0.00               | 4.50              | 90.0 | 4.05                 |
| / /   | HINTCH, ELIZABETH  | MODERATE AGE BASED 11 - 12 - A | 0.00                 | 26.24               | 0.00               | 26.24             | 90.0 | 23.62                |

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|---|--------------------------|------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u>DIRECT TRANSACTIONS</u></b>                       |                          |                                    |                      |                     |                    |                   |      |                      |
| <b><u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u></b> |                          |                                    |                      |                     |                    |                   |      |                      |
| / /   | HIRSTIUS, KERRIE         | MODERATE AGE BASED 11 - 12 - A     | 0.00                 | 2.43                | 0.00               | 2.43              | 90.0 | 2.19                 |
| / /   | HIRSTIUS, KERRIE         | MODERATE AGE BASED 11 - 12 - A     | 0.00                 | 22.46               | 0.00               | 22.46             | 90.0 | 20.21                |
| / /   | WELLINGTON, ERICA        | MODERATE AGE BASED 11 - 12 - A     | 0.00                 | 8.30                | 0.00               | 8.30              | 90.0 | 7.47                 |
| / /   | WILKINS, AARON           | MODERATE AGE BASED 11 - 12 - A     | 0.00                 | 9.96                | 0.00               | 9.96              | 90.0 | 8.96                 |
| / /   | STETTER, MARIA           | MODERATE AGE BASED 11 - 12 - A     | 0.00                 | 3.47                | 0.00               | 3.47              | 90.0 | 3.12                 |
| / /   | CROW, ELISSA             | MODERATE AGE BASED 11-12 - C       | 0.00                 | 13.16               | 0.00               | 13.16             | 90.0 | 11.84                |
| / /   | BATTAGLIA, MICHAEL       | MODERATE AGE BASED 13 - 14 - A     | 0.00                 | 0.26                | 0.00               | 0.26              | 90.0 | 0.23                 |
| / /   | MUELLNER, MARK           | MODERATE AGE BASED 13 - 14 - A     | 0.00                 | 4.27                | 0.00               | 4.27              | 90.0 | 3.84                 |
| / /   | WELLINGTON, ERICA        | MODERATE AGE BASED 13 - 14 - A     | 0.00                 | 9.23                | 0.00               | 9.23              | 90.0 | 8.31                 |
| / /   | LOPEZ, JOSE              | MODERATE AGE BASED 17 - 18 - A     | 0.00                 | 3.15                | 0.00               | 3.15              | 90.0 | 2.84                 |
| / /   | CONDE, CATHERINE         | MODERATE AGE BASED 17 - 18 - A     | 0.00                 | 1.54                | 0.00               | 1.54              | 90.0 | 1.39                 |
| / /   | GUIRAGOSSIAN, BETSY      | MODERATE AGE BASED 17 - 18 - A     | 0.00                 | 0.26                | 0.00               | 0.26              | 90.0 | 0.23                 |
| / /   | ROSALES-HARRIGAN, ESTELA | MODERATE AGE BASED 17 - 18 - A     | 0.00                 | 7.20                | 0.00               | 7.20              | 90.0 | 6.48                 |
| / /   | ARATA, MATHEW            | UBT AGGRESSIVE AGE BASED 03 - 05 - | 0.00                 | 5.06                | 0.00               | 5.06              | 90.0 | 4.55                 |
| / /   | BAXTER, KIMBERLY         | UBT AGGRESSIVE AGE BASED 11 - 12 - | 0.00                 | 2.88                | 0.00               | 2.88              | 90.0 | 2.59                 |
| / /   | WIRTZ, GRETCHEN          | UBT AGGRESSIVE AGE BASED 11 - 12 - | 0.00                 | 2.53                | 0.00               | 2.53              | 90.0 | 2.28                 |
| / /   | VOLKOB, SUSAN            | UBT FUND 60 A                      | 0.00                 | 14.62               | 0.00               | 14.62             | 90.0 | 13.16                |
| / /   | LOPEZ, JOSE              | UBT MODERATE AGE BASED 15 - 16 - A | 0.00                 | 3.39                | 0.00               | 3.39              | 90.0 | 3.05                 |
| / /   | CONDE, CATHERINE         | UBT MODERATE AGE BASED 15 - 16 - A | 0.00                 | 0.21                | 0.00               | 0.21              | 90.0 | 0.19                 |
| / /   | GUIRAGOSSIAN, BETSY      | UBT MODERATE AGE BASED 15 - 16 - A | 0.00                 | 8.78                | 0.00               | 8.78              | 90.0 | 7.90                 |
| / /   | LOPEZ, JOSE              | UBT MODERATE AGE BASED 19+ - A     | 0.00                 | 2.82                | 0.00               | 2.82              | 90.0 | 2.54                 |
| / /   | GUIRAGOSSIAN, BETSY      | UBT MODERATE AGE BASED 19+ - A     | 0.00                 | 3.54                | 0.00               | 3.54              | 90.0 | 3.19                 |
| / /   | BRANNAN, JESSE           | UNION B&T MODERATE AGE BASED 03-05 | 0.00                 | 1.55                | 0.00               | 1.55              | 90.0 | 1.40                 |
| / /   | SISON, MARYBETH          | UNION B&T MODERATE AGE BASED 03-05 | 0.00                 | 0.61                | 0.00               | 0.61              | 90.0 | 0.55                 |
| / /   | NORRIS, VALERIE          | UNION B&T MODERATE AGE BASED 03-05 | 0.00                 | 12.88               | 0.00               | 12.88             | 90.0 | 11.59                |
| / /   | MARTIN, JOELLYN          | UNION B&T MODERATE AGE BASED 03-05 | 0.00                 | 5.33                | 0.00               | 5.33              | 90.0 | 4.80                 |
| / /   | COLAN, MICHAEL           | UNION B&T MODERATE AGE BASED 03-05 | 0.00                 | 0.20                | 0.00               | 0.20              | 90.0 | 0.18                 |
| / /   | ROLLINGER, LAUREN        | UNION B&T MODERATE AGE BASED 03-05 | 0.00                 | 0.94                | 0.00               | 0.94              | 90.0 | 0.85                 |
| / /   | KADLEC, SABA             | UNION B&T MODERATE AGE BASED 03-05 | 0.00                 | 0.09                | 0.00               | 0.09              | 90.0 | 0.08                 |
| / /   | WHITE, AMANDA            | UNION B&T MODERATE AGE BASED 03-05 | 0.00                 | 2.99                | 0.00               | 2.99              | 90.0 | 2.69                 |
| / /   | ARIAS, MELISSA           | UNION B&T MODERATE AGE BASED 03-05 | 0.00                 | 6.74                | 0.00               | 6.74              | 90.0 | 6.07                 |
| / /   | SAYRE, ROSS              | UNION B&T MODERATE AGE BASED 03-05 | 0.00                 | 1.95                | 0.00               | 1.95              | 90.0 | 1.76                 |
| / /   | WILSON, JOE              | UNION B&T MODERATE AGE BASED 03-05 | 0.00                 | 0.78                | 0.00               | 0.78              | 90.0 | 0.70                 |

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|--|-----------------------|------------------------------------|----------------------|---------------------|--------------------|-------------------|------|----------------------|
| <b><u>DIRECT TRANSACTIONS</u></b>                |                       |                                    |                      |                     |                    |                   |      |                      |
| <b>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</b> |                       |                                    |                      |                     |                    |                   |      |                      |
| / /  | HARRIS, KRISTOFER     | UNION B&T MODERATE AGE BASED 03-05 | 0.00                 | 0.09                | 0.00               | 0.09              | 90.0 | 0.08                 |
| / /  | BATTAGLIA, JULIE      | UNION B&T MODERATE AGE BASED 03-05 | 0.00                 | 0.11                | 0.00               | 0.11              | 90.0 | 0.10                 |
| / /  | GREINER, PAUL         | UNION B&T MODERATE AGE BASED 03-05 | 0.00                 | 8.10                | 0.00               | 8.10              | 90.0 | 7.29                 |
| / /  | CATANESE, JODY        | UNION B&T MODERATE AGE BASED 03-05 | 0.00                 | 2.61                | 0.00               | 2.61              | 90.0 | 2.35                 |
| / /  | REIDY, TIFFANY        | UNION B&T MODERATE AGE BASED 03-05 | 0.00                 | 5.84                | 0.00               | 5.84              | 90.0 | 5.26                 |
| / /  | DEUTSCH, SCOTT        | UNION B&T MODERATE AGE BASED 03-05 | 0.00                 | 10.07               | 0.00               | 10.07             | 90.0 | 9.06                 |
| / /  | BRANNAN, JESSE        | UNION B&T MODERATE AGE BASED 03-05 | 0.00                 | 11.39               | 0.00               | 11.39             | 90.0 | 10.25                |
| / /  | KUHN, NATHANIEL       | UNION B&T MODERATE AGE BASED 03-05 | 0.00                 | 7.25                | 0.00               | 7.25              | 90.0 | 6.53                 |
| / /  | TUCKER, BRANDON       | UNION B&T MODERATE AGE BASED 03-05 | 0.00                 | 4.91                | 0.00               | 4.91              | 90.0 | 4.42                 |
| / /  | ROLLINGER, LAUREN     | UNION B&T MODERATE AGE BASED 03-05 | 0.00                 | 0.51                | 0.00               | 0.51              | 90.0 | 0.46                 |
| / /  | BUERSTATTE, BRANDI    | UNION B&T MODERATE AGE BASED 03-05 | 0.00                 | 0.63                | 0.00               | 0.63              | 90.0 | 0.57                 |
| / /  | ARIAS, MELISSA        | UNION B&T MODERATE AGE BASED 03-05 | 0.00                 | 0.43                | 0.00               | 0.43              | 90.0 | 0.39                 |
| / /  | SILKAITIS, MYIA       | UNION B&T MODERATE AGE BASED 03-05 | 0.00                 | 0.72                | 0.00               | 0.72              | 90.0 | 0.65                 |
| / /  | MARIQUINA, JACQUELINE | UNION B&T MODERATE AGE BASED 03-05 | 0.00                 | 0.23                | 0.00               | 0.23              | 90.0 | 0.21                 |
| / /  | MEGER, AMANDA         | UNION B&T MODERATE AGE BASED 03-05 | 0.00                 | 0.28                | 0.00               | 0.28              | 90.0 | 0.25                 |
| <b>* MUTUAL FUND 12B1 TRAILS SUBTOTAL *</b>      |                       |                                    | <b>\$0.00</b>        | <b>\$634.13</b>     | <b>\$0.00</b>      | <b>\$634.13</b>   |      | <b>\$570.81</b>      |
| <b>*** DIRECT TRANSACTIONS TOTAL ***</b>         |                       |                                    | <b>\$918,498.92</b>  | <b>\$1,699.19</b>   | <b>\$0.00</b>      | <b>\$1,699.19</b> |      | <b>\$1,529.42</b>    |

**ADJUSTMENTS**

|                                  |                                     |               |               |               |               |               |  |               |
|----------------------------------|-------------------------------------|---------------|---------------|---------------|---------------|---------------|--|---------------|
| 04/15/2018                       | *AI INSIGHT: CURRENT MONTH          | 0.00          |               |               |               |               |  | -7.00         |
| 04/15/2018                       | *ALBRIDGE: FULL USER                | 0.00          |               |               |               |               |  | -176.00       |
| 04/15/2018                       | *CREDIT CARD PYT: CREDIT CARD PYT   | 0.00          |               |               |               |               |  | 1,091.00      |
| 04/15/2018                       | *E & O INSURANCE: CURRENT MONTH INS | 0.00          |               |               |               |               |  | -300.00       |
| 04/15/2018                       | *GLOBAL RELAY: WEBSITE              | 0.00          |               |               |               |               |  | -15.00        |
| 04/15/2018                       | *LASER APP: CURRENT MONTH           | 0.00          |               |               |               |               |  | -18.00        |
| 04/15/2018                       | *TECH: ADMIN-K JALOWIECKI           | 0.00          |               |               |               |               |  | -130.00       |
| 04/15/2018                       | *TECH: ADMIN-W CLARK                | 0.00          |               |               |               |               |  | -130.00       |
| 04/15/2018                       | *TECHNOLOGY: ADMIN - MATT KUHN      | 0.00          |               |               |               |               |  | -135.00       |
| 04/15/2018                       | *TECHNOLOGY: CURRENT MONTH BASIC    | 0.00          |               |               |               |               |  | -180.00       |
| <b>*** ADJUSTMENTS TOTAL ***</b> |                                     | <b>\$0.00</b> | <b>\$0.00</b> | <b>\$0.00</b> | <b>\$0.00</b> | <b>\$0.00</b> |  | <b>\$0.00</b> |

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

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

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



**BROKER COMMISSION TOTALS**

|                       |            |
|-----------------------|------------|
| Broker Transactions   | \$1,529.42 |
| Split Transactions    | \$0.00     |
| Override Transactions | \$0.00     |
| Adjustments           | \$0.00     |
| Payroll Draw          | \$0.00     |
| Base Salary           | \$0.00     |
| Prior Period Balance  | \$0.00     |
| FINRA Assessment      | \$0.00     |
| SIPC Assessment       | \$0.00     |

|                       |              |
|-----------------------|--------------|
| Check Amount          | \$1,529.42   |
| Year-to-date Gross    | \$148,118.24 |
| Year-to-date Earnings | \$133,307.04 |