

**COMMISSION STATEMENT****February 28, 2018**

THOMAS JAHNCKE
2050 Main Street
Suite 650
Irvine, CA 92614

BROKER #: J124 Terminated 08/05/2016
BRANCH: THOMAS JAHNCKE

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>DIRECT TRANSACTIONS</u>								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS								
06/22/2016	KORCEK, ANDREW	ALGER LARGECAP GROWTH A	0.00	0.22	0.00	0.22	0.0	0.00
07/28/2016	KORCEK, ANDREW	ALGER LARGECAP GROWTH A	0.00	0.51	0.00	0.51	0.0	0.00
08/22/2016	KORCEK, ANDREW	ALGER LARGECAP GROWTH A	0.00	0.53	0.00	0.53	0.0	0.00
09/23/2016	KORCEK, ANDREW	ALGER LARGECAP GROWTH A	0.00	0.02	0.00	0.02	0.0	0.00
06/22/2016	KORCEK, ANDREW	ALGER LARGECAP GROWTH C	0.00	0.11	0.00	0.11	0.0	0.00
07/28/2016	KORCEK, ANDREW	ALGER LARGECAP GROWTH C	0.00	0.24	0.00	0.24	0.0	0.00
08/22/2016	KORCEK, ANDREW	ALGER LARGECAP GROWTH C	0.00	0.25	0.00	0.25	0.0	0.00
09/23/2016	KORCEK, ANDREW	ALGER LARGECAP GROWTH C	0.00	0.01	0.00	0.01	0.0	0.00
05/11/2016	BRINSER, LISA	ALLIANCEBERNSTEIN GROWTH A	0.00	0.50	0.00	0.50	0.0	0.00
06/10/2016	BRINSER, LISA	ALLIANCEBERNSTEIN GROWTH A	0.00	1.38	0.00	1.38	0.0	0.00
07/18/2016	BRINSER, LISA	ALLIANCEBERNSTEIN GROWTH A	0.00	1.34	0.00	1.34	0.0	0.00
08/08/2016	BRINSER, LISA	ALLIANCEBERNSTEIN GROWTH A	0.00	1.43	0.00	1.43	0.0	0.00
09/12/2016	BRINSER, LISA	ALLIANCEBERNSTEIN GROWTH A	0.00	1.47	0.00	1.47	0.0	0.00
10/20/2016	BRINSER, LISA	ALLIANCEBERNSTEIN GROWTH A	0.00	1.41	0.00	1.41	0.0	0.00
11/11/2016	BRINSER, LISA	ALLIANCEBERNSTEIN GROWTH A	0.00	1.44	0.00	1.44	0.0	0.00
12/12/2016	BRINSER, LISA	ALLIANCEBERNSTEIN GROWTH A	0.00	1.38	0.00	1.38	0.0	0.00
05/11/2016	BRINSER, LISA	ALLIANCEBERNSTEIN GROWTH AND INC A	0.00	0.40	0.00	0.40	0.0	0.00
06/10/2016	BRINSER, LISA	ALLIANCEBERNSTEIN GROWTH AND INC A	0.00	1.10	0.00	1.10	0.0	0.00
07/18/2016	BRINSER, LISA	ALLIANCEBERNSTEIN GROWTH AND INC A	0.00	1.07	0.00	1.07	0.0	0.00
08/08/2016	BRINSER, LISA	ALLIANCEBERNSTEIN GROWTH AND INC A	0.00	1.13	0.00	1.13	0.0	0.00
09/12/2016	BRINSER, LISA	ALLIANCEBERNSTEIN GROWTH AND INC A	0.00	1.14	0.00	1.14	0.0	0.00
10/20/2016	BRINSER, LISA	ALLIANCEBERNSTEIN GROWTH AND INC A	0.00	1.10	0.00	1.10	0.0	0.00
11/11/2016	BRINSER, LISA	ALLIANCEBERNSTEIN GROWTH AND INC A	0.00	1.13	0.00	1.13	0.0	0.00
12/12/2016	BRINSER, LISA	ALLIANCEBERNSTEIN GROWTH AND INC A	0.00	1.13	0.00	1.13	0.0	0.00
02/22/2016	JAHNCKE, JUDY	ALLIANZGI NFJ MID- CAP VALUE FUND C	0.00	0.94	0.00	0.94	0.0	0.00
03/21/2016	JAHNCKE, JUDY	ALLIANZGI NFJ MID- CAP VALUE FUND C	0.00	0.87	0.00	0.87	0.0	0.00

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

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

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

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
04/21/2016	JAHNCKE, JUDY	ALLIANZGI NFJ MID- CAP VALUE FUND C	0.00	1.01	0.00	1.01	0.0	0.00
05/24/2016	JAHNCKE, JUDY	ALLIANZGI NFJ MID- CAP VALUE FUND C	0.00	1.00	0.00	1.00	0.0	0.00
06/21/2016	JAHNCKE, JUDY	ALLIANZGI NFJ MID- CAP VALUE FUND C	0.00	1.04	0.00	1.04	0.0	0.00
07/21/2016	JAHNCKE, JUDY	ALLIANZGI NFJ MID- CAP VALUE FUND C	0.00	1.01	0.00	1.01	0.0	0.00
08/22/2016	JAHNCKE, JUDY	ALLIANZGI NFJ MID- CAP VALUE FUND C	0.00	1.07	0.00	1.07	0.0	0.00
09/21/2016	JAHNCKE, JUDY	ALLIANZGI NFJ MID- CAP VALUE FUND C	0.00	1.08	0.00	1.08	0.0	0.00
10/21/2016	JAHNCKE, JUDY	ALLIANZGI NFJ MID- CAP VALUE FUND C	0.00	1.05	0.00	1.05	0.0	0.00
11/21/2016	JAHNCKE, JUDY	ALLIANZGI NFJ MID- CAP VALUE FUND C	0.00	1.08	0.00	1.08	0.0	0.00
12/14/2016	JAHNCKE, JUDY	ALLIANZGI NFJ MID- CAP VALUE FUND C	0.00	1.08	0.00	1.08	0.0	0.00
02/16/2016	LOTT FAMILY TRUST	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.09	0.00	1.09	0.0	0.00
03/15/2016	LOTT FAMILY TRUST	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.02	0.00	1.02	0.0	0.00
04/20/2016	LOTT FAMILY TRUST	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.14	0.00	1.14	0.0	0.00
05/16/2016	LOTT FAMILY TRUST	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.12	0.00	1.12	0.0	0.00
06/15/2016	LOTT FAMILY TRUST	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.16	0.00	1.16	0.0	0.00
07/18/2016	LOTT FAMILY TRUST	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.13	0.00	1.13	0.0	0.00
08/15/2016	LOTT FAMILY TRUST	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.19	0.00	1.19	0.0	0.00
09/16/2016	LOTT FAMILY TRUST	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.20	0.00	1.20	0.0	0.00
10/17/2016	LOTT FAMILY TRUST	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.15	0.00	1.15	0.0	0.00
11/18/2016	LOTT FAMILY TRUST	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.16	0.00	1.16	0.0	0.00
12/15/2016	LOTT FAMILY TRUST	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.10	0.00	1.10	0.0	0.00
02/16/2016	LOTT FAMILY TRUST	AM FUNDS CAPITAL WORLD BOND A	0.00	1.93	0.00	1.93	0.0	0.00
03/15/2016	LOTT FAMILY TRUST	AM FUNDS CAPITAL WORLD BOND A	0.00	1.83	0.00	1.83	0.0	0.00
04/20/2016	LOTT FAMILY TRUST	AM FUNDS CAPITAL WORLD BOND A	0.00	1.99	0.00	1.99	0.0	0.00
05/16/2016	LOTT FAMILY TRUST	AM FUNDS CAPITAL WORLD BOND A	0.00	1.96	0.00	1.96	0.0	0.00
06/15/2016	LOTT FAMILY TRUST	AM FUNDS CAPITAL WORLD BOND A	0.00	2.02	0.00	2.02	0.0	0.00
07/18/2016	LOTT FAMILY TRUST	AM FUNDS CAPITAL WORLD BOND A	0.00	1.98	0.00	1.98	0.0	0.00
08/15/2016	LOTT FAMILY TRUST	AM FUNDS CAPITAL WORLD BOND A	0.00	2.06	0.00	2.06	0.0	0.00
09/16/2016	LOTT FAMILY TRUST	AM FUNDS CAPITAL WORLD BOND A	0.00	2.09	0.00	2.09	0.0	0.00
10/17/2016	LOTT FAMILY TRUST	AM FUNDS CAPITAL WORLD BOND A	0.00	2.01	0.00	2.01	0.0	0.00
11/18/2016	LOTT FAMILY TRUST	AM FUNDS CAPITAL WORLD BOND A	0.00	2.05	0.00	2.05	0.0	0.00
12/15/2016	LOTT FAMILY TRUST	AM FUNDS CAPITAL WORLD BOND A	0.00	1.92	0.00	1.92	0.0	0.00
02/16/2016	RUMBLE TRUST, JUDITH	AM FUNDS EUROPACIFIC GROWTH FUND C	0.00	14.07	0.00	14.07	0.0	0.00
03/15/2016	RUMBLE TRUST, JUDITH	AM FUNDS EUROPACIFIC GROWTH FUND C	0.00	12.68	0.00	12.68	0.0	0.00

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>DIRECT TRANSACTIONS</u>								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS								
04/20/2016	RUMBLE TRUST, JUDITH	AM FUNDS EUROPACIFIC GROWTH FUND C	0.00	14.42	0.00	14.42	0.0	0.00
05/16/2016	RUMBLE TRUST, JUDITH	AM FUNDS EUROPACIFIC GROWTH FUND C	0.00	14.28	0.00	14.28	0.0	0.00
06/15/2016	RUMBLE TRUST, JUDITH	AM FUNDS EUROPACIFIC GROWTH FUND C	0.00	14.60	0.00	14.60	0.0	0.00
07/18/2016	RUMBLE TRUST, JUDITH	AM FUNDS EUROPACIFIC GROWTH FUND C	0.00	14.14	0.00	14.14	0.0	0.00
08/15/2016	RUMBLE TRUST, JUDITH	AM FUNDS EUROPACIFIC GROWTH FUND C	0.00	14.92	0.00	14.92	0.0	0.00
09/16/2016	RUMBLE TRUST, JUDITH	AM FUNDS EUROPACIFIC GROWTH FUND C	0.00	15.47	0.00	15.47	0.0	0.00
10/17/2016	RUMBLE TRUST, JUDITH	AM FUNDS EUROPACIFIC GROWTH FUND C	0.00	15.20	0.00	15.20	0.0	0.00
11/18/2016	RUMBLE TRUST, JUDITH	AM FUNDS EUROPACIFIC GROWTH FUND C	0.00	15.51	0.00	15.51	0.0	0.00
12/15/2016	RUMBLE TRUST, JUDITH	AM FUNDS EUROPACIFIC GROWTH FUND C	0.00	14.48	0.00	14.48	0.0	0.00
02/16/2016	RUMBLE TRUST, JUDITH	AM FUNDS INCOME FUND OF AMERICA A	0.00	6.55	0.00	6.55	0.0	0.00
02/16/2016	LOTT FAMILY TRUST	AM FUNDS INCOME FUND OF AMERICA A	0.00	1.16	0.00	1.16	0.0	0.00
03/15/2016	RUMBLE TRUST, JUDITH	AM FUNDS INCOME FUND OF AMERICA A	0.00	6.14	0.00	6.14	0.0	0.00
03/15/2016	LOTT FAMILY TRUST	AM FUNDS INCOME FUND OF AMERICA A	0.00	1.08	0.00	1.08	0.0	0.00
04/20/2016	RUMBLE TRUST, JUDITH	AM FUNDS INCOME FUND OF AMERICA A	0.00	6.89	0.00	6.89	0.0	0.00
04/20/2016	LOTT FAMILY TRUST	AM FUNDS INCOME FUND OF AMERICA A	0.00	1.21	0.00	1.21	0.0	0.00
05/16/2016	RUMBLE TRUST, JUDITH	AM FUNDS INCOME FUND OF AMERICA A	0.00	6.82	0.00	6.82	0.0	0.00
05/16/2016	LOTT FAMILY TRUST	AM FUNDS INCOME FUND OF AMERICA A	0.00	1.19	0.00	1.19	0.0	0.00
06/15/2016	RUMBLE TRUST, JUDITH	AM FUNDS INCOME FUND OF AMERICA A	0.00	7.05	0.00	7.05	0.0	0.00
06/15/2016	LOTT FAMILY TRUST	AM FUNDS INCOME FUND OF AMERICA A	0.00	1.24	0.00	1.24	0.0	0.00
07/18/2016	RUMBLE TRUST, JUDITH	AM FUNDS INCOME FUND OF AMERICA A	0.00	6.90	0.00	6.90	0.0	0.00
07/18/2016	LOTT FAMILY TRUST	AM FUNDS INCOME FUND OF AMERICA A	0.00	1.20	0.00	1.20	0.0	0.00
08/15/2016	RUMBLE TRUST, JUDITH	AM FUNDS INCOME FUND OF AMERICA A	0.00	7.36	0.00	7.36	0.0	0.00
08/15/2016	LOTT FAMILY TRUST	AM FUNDS INCOME FUND OF AMERICA A	0.00	1.28	0.00	1.28	0.0	0.00
09/16/2016	RUMBLE TRUST, JUDITH	AM FUNDS INCOME FUND OF AMERICA A	0.00	7.41	0.00	7.41	0.0	0.00
09/16/2016	LOTT FAMILY TRUST	AM FUNDS INCOME FUND OF AMERICA A	0.00	1.29	0.00	1.29	0.0	0.00
10/17/2016	RUMBLE TRUST, JUDITH	AM FUNDS INCOME FUND OF AMERICA A	0.00	7.13	0.00	7.13	0.0	0.00
10/17/2016	LOTT FAMILY TRUST	AM FUNDS INCOME FUND OF AMERICA A	0.00	1.23	0.00	1.23	0.0	0.00
11/18/2016	RUMBLE TRUST, JUDITH	AM FUNDS INCOME FUND OF AMERICA A	0.00	7.32	0.00	7.32	0.0	0.00
11/18/2016	LOTT FAMILY TRUST	AM FUNDS INCOME FUND OF AMERICA A	0.00	1.26	0.00	1.26	0.0	0.00
12/15/2016	RUMBLE TRUST, JUDITH	AM FUNDS INCOME FUND OF AMERICA A	0.00	7.07	0.00	7.07	0.0	0.00
12/15/2016	LOTT FAMILY TRUST	AM FUNDS INCOME FUND OF AMERICA A	0.00	1.22	0.00	1.22	0.0	0.00
02/19/2016	BRINSER, LISA	CALAMOS GLOBAL GROWTH & INCOME C	0.00	4.51	0.00	4.51	0.0	0.00
03/17/2016	BRINSER, LISA	CALAMOS GLOBAL GROWTH & INCOME C	0.00	4.09	0.00	4.09	0.0	0.00

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
04/20/2016	BRINSER, LISA	CALAMOS GLOBAL GROWTH & INCOME C	0.00	4.57	0.00	4.57	0.0	0.00
05/19/2016	BRINSER, LISA	CALAMOS GLOBAL GROWTH & INCOME C	0.00	4.53	0.00	4.53	0.0	0.00
06/16/2016	BRINSER, LISA	CALAMOS GLOBAL GROWTH & INCOME C	0.00	4.64	0.00	4.64	0.0	0.00
07/21/2016	BRINSER, LISA	CALAMOS GLOBAL GROWTH & INCOME C	0.00	4.52	0.00	4.52	0.0	0.00
08/19/2016	BRINSER, LISA	CALAMOS GLOBAL GROWTH & INCOME C	0.00	4.76	0.00	4.76	0.0	0.00
09/21/2016	BRINSER, LISA	CALAMOS GLOBAL GROWTH & INCOME C	0.00	4.87	0.00	4.87	0.0	0.00
10/21/2016	BRINSER, LISA	CALAMOS GLOBAL GROWTH & INCOME C	0.00	4.69	0.00	4.69	0.0	0.00
11/18/2016	BRINSER, LISA	CALAMOS GLOBAL GROWTH & INCOME C	0.00	4.82	0.00	4.82	0.0	0.00
12/20/2016	BRINSER, LISA	CALAMOS GLOBAL GROWTH & INCOME C	0.00	4.55	0.00	4.55	0.0	0.00
02/19/2016	JAHNCKE, JUDY	CALAMOS GROWTH A	0.00	3.19	0.00	3.19	0.0	0.00
03/17/2016	JAHNCKE, JUDY	CALAMOS GROWTH A	0.00	2.86	0.00	2.86	0.0	0.00
04/20/2016	JAHNCKE, JUDY	CALAMOS GROWTH A	0.00	3.22	0.00	3.22	0.0	0.00
05/19/2016	JAHNCKE, JUDY	CALAMOS GROWTH A	0.00	3.20	0.00	3.20	0.0	0.00
06/16/2016	JAHNCKE, JUDY	CALAMOS GROWTH A	0.00	3.27	0.00	3.27	0.0	0.00
07/21/2016	JAHNCKE, JUDY	CALAMOS GROWTH A	0.00	3.18	0.00	3.18	0.0	0.00
08/19/2016	JAHNCKE, JUDY	CALAMOS GROWTH A	0.00	3.34	0.00	3.34	0.0	0.00
09/21/2016	JAHNCKE, JUDY	CALAMOS GROWTH A	0.00	3.41	0.00	3.41	0.0	0.00
10/21/2016	JAHNCKE, JUDY	CALAMOS GROWTH A	0.00	3.26	0.00	3.26	0.0	0.00
11/18/2016	JAHNCKE, JUDY	CALAMOS GROWTH A	0.00	3.36	0.00	3.36	0.0	0.00
12/20/2016	JAHNCKE, JUDY	CALAMOS GROWTH A	0.00	3.22	0.00	3.22	0.0	0.00
02/19/2016	RUMBLE TRUST, JUDITH	CALAMOS GROWTH C	0.00	33.23	0.00	33.23	0.0	0.00
03/17/2016	RUMBLE TRUST, JUDITH	CALAMOS GROWTH C	0.00	29.76	0.00	29.76	0.0	0.00
04/20/2016	RUMBLE TRUST, JUDITH	CALAMOS GROWTH C	0.00	33.48	0.00	33.48	0.0	0.00
05/19/2016	RUMBLE TRUST, JUDITH	CALAMOS GROWTH C	0.00	33.27	0.00	33.27	0.0	0.00
06/16/2016	RUMBLE TRUST, JUDITH	CALAMOS GROWTH C	0.00	33.99	0.00	33.99	0.0	0.00
07/21/2016	RUMBLE TRUST, JUDITH	CALAMOS GROWTH C	0.00	33.06	0.00	33.06	0.0	0.00
08/19/2016	RUMBLE TRUST, JUDITH	CALAMOS GROWTH C	0.00	34.70	0.00	34.70	0.0	0.00
09/21/2016	RUMBLE TRUST, JUDITH	CALAMOS GROWTH C	0.00	35.35	0.00	35.35	0.0	0.00
10/21/2016	RUMBLE TRUST, JUDITH	CALAMOS GROWTH C	0.00	33.77	0.00	33.77	0.0	0.00
11/18/2016	RUMBLE TRUST, JUDITH	CALAMOS GROWTH C	0.00	34.84	0.00	34.84	0.0	0.00
12/20/2016	RUMBLE TRUST, JUDITH	CALAMOS GROWTH C	0.00	33.31	0.00	33.31	0.0	0.00
02/10/2016	JAHNCKE, JUDY	DREYFUS RESEARCH GROWTH FUND CLASS	0.00	0.53	0.00	0.53	0.0	0.00
03/10/2016	JAHNCKE, JUDY	DREYFUS RESEARCH GROWTH FUND CLASS	0.00	0.48	0.00	0.48	0.0	0.00

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
04/15/2016	JAHNCKE, JUDY	DREYFUS RESEARCH GROWTH FUND CLASS	0.00	0.54	0.00	0.54	0.0	0.00
05/11/2016	JAHNCKE, JUDY	DREYFUS RESEARCH GROWTH FUND CLASS	0.00	0.54	0.00	0.54	0.0	0.00
06/10/2016	JAHNCKE, JUDY	DREYFUS RESEARCH GROWTH FUND CLASS	0.00	0.56	0.00	0.56	0.0	0.00
07/13/2016	JAHNCKE, JUDY	DREYFUS RESEARCH GROWTH FUND CLASS	0.00	0.55	0.00	0.55	0.0	0.00
08/09/2016	JAHNCKE, JUDY	DREYFUS RESEARCH GROWTH FUND CLASS	0.00	0.58	0.00	0.58	0.0	0.00
09/12/2016	JAHNCKE, JUDY	DREYFUS RESEARCH GROWTH FUND CLASS	0.00	0.59	0.00	0.59	0.0	0.00
10/11/2016	JAHNCKE, JUDY	DREYFUS RESEARCH GROWTH FUND CLASS	0.00	0.56	0.00	0.56	0.0	0.00
11/15/2016	JAHNCKE, JUDY	DREYFUS RESEARCH GROWTH FUND CLASS	0.00	0.57	0.00	0.57	0.0	0.00
12/13/2016	JAHNCKE, JUDY	DREYFUS RESEARCH GROWTH FUND CLASS	0.00	0.55	0.00	0.55	0.0	0.00
02/18/2016	JAHNCKE, JUDY	EAGLE CAPITAL APPRECIATION FUND CLA	0.00	1.64	0.00	1.64	0.0	0.00
03/21/2016	JAHNCKE, JUDY	EAGLE CAPITAL APPRECIATION FUND CLA	0.00	1.49	0.00	1.49	0.0	0.00
04/18/2016	JAHNCKE, JUDY	EAGLE CAPITAL APPRECIATION FUND CLA	0.00	1.69	0.00	1.69	0.0	0.00
05/16/2016	JAHNCKE, JUDY	EAGLE CAPITAL APPRECIATION FUND CLA	0.00	1.67	0.00	1.67	0.0	0.00
06/23/2016	JAHNCKE, JUDY	EAGLE CAPITAL APPRECIATION FUND CLA	0.00	1.70	0.00	1.70	0.0	0.00
07/15/2016	JAHNCKE, JUDY	EAGLE CAPITAL APPRECIATION FUND CLA	0.00	1.65	0.00	1.65	0.0	0.00
08/16/2016	JAHNCKE, JUDY	EAGLE CAPITAL APPRECIATION FUND CLA	0.00	1.76	0.00	1.76	0.0	0.00
09/15/2016	JAHNCKE, JUDY	EAGLE CAPITAL APPRECIATION FUND CLA	0.00	1.79	0.00	1.79	0.0	0.00
10/20/2016	JAHNCKE, JUDY	EAGLE CAPITAL APPRECIATION FUND CLA	0.00	1.72	0.00	1.72	0.0	0.00
11/16/2016	JAHNCKE, JUDY	EAGLE CAPITAL APPRECIATION FUND CLA	0.00	1.77	0.00	1.77	0.0	0.00
12/21/2016	JAHNCKE, JUDY	EAGLE CAPITAL APPRECIATION FUND CLA	0.00	1.71	0.00	1.71	0.0	0.00
02/10/2016	STOCKER TRUST, MARTHA	EATON VANCE FLOATING-RATE ADVANTAGE	0.00	7.21	0.00	7.21	0.0	0.00
03/16/2016	STOCKER TRUST, MARTHA	EATON VANCE FLOATING-RATE ADVANTAGE	0.00	6.63	0.00	6.63	0.0	0.00
04/25/2016	STOCKER TRUST, MARTHA	EATON VANCE FLOATING-RATE ADVANTAGE	0.00	7.25	0.00	7.25	0.0	0.00
05/13/2016	STOCKER TRUST, MARTHA	EATON VANCE FLOATING-RATE ADVANTAGE	0.00	7.17	0.00	7.17	0.0	0.00
06/15/2016	STOCKER TRUST, MARTHA	EATON VANCE FLOATING-RATE ADVANTAGE	0.00	7.49	0.00	7.49	0.0	0.00
07/20/2016	STOCKER TRUST, MARTHA	EATON VANCE FLOATING-RATE ADVANTAGE	0.00	7.27	0.00	7.27	0.0	0.00
08/12/2016	STOCKER TRUST, MARTHA	EATON VANCE FLOATING-RATE ADVANTAGE	0.00	7.54	0.00	7.54	0.0	0.00
09/13/2016	STOCKER TRUST, MARTHA	EATON VANCE FLOATING-RATE ADVANTAGE	0.00	7.59	0.00	7.59	0.0	0.00
10/12/2016	STOCKER TRUST, MARTHA	EATON VANCE FLOATING-RATE ADVANTAGE	0.00	7.39	0.00	7.39	0.0	0.00
11/15/2016	STOCKER TRUST, MARTHA	EATON VANCE FLOATING-RATE ADVANTAGE	0.00	7.70	0.00	7.70	0.0	0.00
12/21/2016	STOCKER TRUST, MARTHA	EATON VANCE FLOATING-RATE ADVANTAGE	0.00	7.45	0.00	7.45	0.0	0.00
02/10/2016	RUMBLE TRUST, JUDITH	FEDERATED EQUITY INCOME FUND CLASS	0.00	16.55	0.00	16.55	0.0	0.00
03/15/2016	RUMBLE TRUST, JUDITH	FEDERATED EQUITY INCOME FUND CLASS	0.00	15.10	0.00	15.10	0.0	0.00

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

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>DIRECT TRANSACTIONS</u>								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS								
04/20/2016	RUMBLE TRUST, JUDITH	FEDERATED EQUITY INCOME FUND CLASS	0.00	17.05	0.00	17.05	0.0	0.00
05/16/2016	RUMBLE TRUST, JUDITH	FEDERATED EQUITY INCOME FUND CLASS	0.00	16.79	0.00	16.79	0.0	0.00
06/15/2016	RUMBLE TRUST, JUDITH	FEDERATED EQUITY INCOME FUND CLASS	0.00	17.19	0.00	17.19	0.0	0.00
07/19/2016	RUMBLE TRUST, JUDITH	FEDERATED EQUITY INCOME FUND CLASS	0.00	16.81	0.00	16.81	0.0	0.00
08/12/2016	RUMBLE TRUST, JUDITH	FEDERATED EQUITY INCOME FUND CLASS	0.00	17.85	0.00	17.85	0.0	0.00
09/16/2016	RUMBLE TRUST, JUDITH	FEDERATED EQUITY INCOME FUND CLASS	0.00	18.05	0.00	18.05	0.0	0.00
10/21/2016	RUMBLE TRUST, JUDITH	FEDERATED EQUITY INCOME FUND CLASS	0.00	17.33	0.00	17.33	0.0	0.00
11/21/2016	RUMBLE TRUST, JUDITH	FEDERATED EQUITY INCOME FUND CLASS	0.00	17.88	0.00	17.88	0.0	0.00
12/16/2016	RUMBLE TRUST, JUDITH	FEDERATED EQUITY INCOME FUND CLASS	0.00	17.77	0.00	17.77	0.0	0.00
02/08/2016	RUMBLE TRUST, JUDITH	FORWARD REAL ESTATE LONG/SHORT FUND	0.00	1.44	0.00	1.44	0.0	0.00
03/15/2016	RUMBLE TRUST, JUDITH	FORWARD REAL ESTATE LONG/SHORT FUND	0.00	1.28	0.00	1.28	0.0	0.00
04/12/2016	RUMBLE TRUST, JUDITH	FORWARD REAL ESTATE LONG/SHORT FUND	0.00	1.50	0.00	1.50	0.0	0.00
05/11/2016	RUMBLE TRUST, JUDITH	FORWARD REAL ESTATE LONG/SHORT FUND	0.00	1.50	0.00	1.50	0.0	0.00
06/13/2016	RUMBLE TRUST, JUDITH	FORWARD REAL ESTATE LONG/SHORT FUND	0.00	1.58	0.00	1.58	0.0	0.00
07/13/2016	RUMBLE TRUST, JUDITH	FORWARD REAL ESTATE LONG/SHORT FUND	0.00	1.55	0.00	1.55	0.0	0.00
08/11/2016	RUMBLE TRUST, JUDITH	FORWARD REAL ESTATE LONG/SHORT FUND	0.00	1.69	0.00	1.69	0.0	0.00
09/13/2016	RUMBLE TRUST, JUDITH	FORWARD REAL ESTATE LONG/SHORT FUND	0.00	1.72	0.00	1.72	0.0	0.00
10/12/2016	RUMBLE TRUST, JUDITH	FORWARD REAL ESTATE LONG/SHORT FUND	0.00	1.65	0.00	1.65	0.0	0.00
11/10/2016	RUMBLE TRUST, JUDITH	FORWARD REAL ESTATE LONG/SHORT FUND	0.00	1.66	0.00	1.66	0.0	0.00
12/12/2016	RUMBLE TRUST, JUDITH	FORWARD REAL ESTATE LONG/SHORT FUND	0.00	1.60	0.00	1.60	0.0	0.00
02/08/2016	RUMBLE TRUST, JUDITH	FORWARD SELECT INCOME FUND CLASS C	0.00	19.85	0.00	19.85	0.0	0.00
02/08/2016	STOCKER TRUST, MARTHA	FORWARD SELECT INCOME FUND CLASS C	0.00	12.97	0.00	12.97	0.0	0.00
03/15/2016	RUMBLE TRUST, JUDITH	FORWARD SELECT INCOME FUND CLASS C	0.00	18.10	0.00	18.10	0.0	0.00
03/15/2016	STOCKER TRUST, MARTHA	FORWARD SELECT INCOME FUND CLASS C	0.00	11.83	0.00	11.83	0.0	0.00
04/12/2016	RUMBLE TRUST, JUDITH	FORWARD SELECT INCOME FUND CLASS C	0.00	20.48	0.00	20.48	0.0	0.00
04/12/2016	STOCKER TRUST, MARTHA	FORWARD SELECT INCOME FUND CLASS C	0.00	13.36	0.00	13.36	0.0	0.00
05/11/2016	RUMBLE TRUST, JUDITH	FORWARD SELECT INCOME FUND CLASS C	0.00	20.19	0.00	20.19	0.0	0.00
05/11/2016	STOCKER TRUST, MARTHA	FORWARD SELECT INCOME FUND CLASS C	0.00	13.04	0.00	13.04	0.0	0.00
06/13/2016	RUMBLE TRUST, JUDITH	FORWARD SELECT INCOME FUND CLASS C	0.00	21.38	0.00	21.38	0.0	0.00
06/13/2016	STOCKER TRUST, MARTHA	FORWARD SELECT INCOME FUND CLASS C	0.00	13.80	0.00	13.80	0.0	0.00
07/13/2016	RUMBLE TRUST, JUDITH	FORWARD SELECT INCOME FUND CLASS C	0.00	21.24	0.00	21.24	0.0	0.00
07/13/2016	STOCKER TRUST, MARTHA	FORWARD SELECT INCOME FUND CLASS C	0.00	13.69	0.00	13.69	0.0	0.00
08/11/2016	RUMBLE TRUST, JUDITH	FORWARD SELECT INCOME FUND CLASS C	0.00	22.77	0.00	22.77	0.0	0.00

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>DIRECT TRANSACTIONS</u>								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS								
08/11/2016	STOCKER TRUST, MARTHA	FORWARD SELECT INCOME FUND CLASS C	0.00	14.52	0.00	14.52	0.0	0.00
09/13/2016	RUMBLE TRUST, JUDITH	FORWARD SELECT INCOME FUND CLASS C	0.00	23.28	0.00	23.28	0.0	0.00
09/13/2016	STOCKER TRUST, MARTHA	FORWARD SELECT INCOME FUND CLASS C	0.00	14.84	0.00	14.84	0.0	0.00
10/12/2016	RUMBLE TRUST, JUDITH	FORWARD SELECT INCOME FUND CLASS C	0.00	22.49	0.00	22.49	0.0	0.00
10/12/2016	STOCKER TRUST, MARTHA	FORWARD SELECT INCOME FUND CLASS C	0.00	14.32	0.00	14.32	0.0	0.00
11/10/2016	RUMBLE TRUST, JUDITH	FORWARD SELECT INCOME FUND CLASS C	0.00	22.90	0.00	22.90	0.0	0.00
11/10/2016	STOCKER TRUST, MARTHA	FORWARD SELECT INCOME FUND CLASS C	0.00	14.47	0.00	14.47	0.0	0.00
12/12/2016	RUMBLE TRUST, JUDITH	FORWARD SELECT INCOME FUND CLASS C	0.00	21.83	0.00	21.83	0.0	0.00
12/12/2016	STOCKER TRUST, MARTHA	FORWARD SELECT INCOME FUND CLASS C	0.00	13.80	0.00	13.80	0.0	0.00
06/22/2016	KORCEK, ANDREW	GABELLI VALUE FUND CLASS A	0.00	0.47	0.00	0.47	0.0	0.00
07/22/2016	KORCEK, ANDREW	GABELLI VALUE FUND CLASS A	0.00	1.11	0.00	1.11	0.0	0.00
08/19/2016	KORCEK, ANDREW	GABELLI VALUE FUND CLASS A	0.00	1.18	0.00	1.18	0.0	0.00
09/21/2016	KORCEK, ANDREW	GABELLI VALUE FUND CLASS A	0.00	0.04	0.00	0.04	0.0	0.00
10/17/2016	RUMBLE TRUST, JUDITH	GRIFFIN INST'L ACCESS R E FUND C	0.00	3.67	0.00	3.67	0.0	0.00
10/17/2016	RUMBLE TRUST, JUDITH	GRIFFIN INST'L ACCESS R E FUND C	0.00	1.22	0.00	1.22	0.0	0.00
04/14/2016	RUMBLE TRUST, JUDITH	INVESCO ENERGY FUND CLASS C	0.00	27.86	0.00	27.86	0.0	0.00
07/19/2016	RUMBLE TRUST, JUDITH	INVESCO ENERGY FUND CLASS C	0.00	33.39	0.00	33.39	0.0	0.00
10/17/2016	RUMBLE TRUST, JUDITH	INVESCO ENERGY FUND CLASS C	0.00	33.81	0.00	33.81	0.0	0.00
04/14/2016	STOCKER TRUST, MARTHA	INVESCO SENIOR LOAN FUND CLASS IC	0.00	14.44	0.00	14.44	0.0	0.00
07/19/2016	STOCKER TRUST, MARTHA	INVESCO SENIOR LOAN FUND CLASS IC	0.00	15.09	0.00	15.09	0.0	0.00
10/17/2016	STOCKER TRUST, MARTHA	INVESCO SENIOR LOAN FUND CLASS IC	0.00	15.72	0.00	15.72	0.0	0.00
04/15/2016	BRINSER, LISA	IVY ASSET STRATEGY FUND CLASS C	0.00	0.06	0.00	0.06	0.0	0.00
04/15/2016	BRINSER, LISA	IVY ASSET STRATEGY FUND CLASS C	0.00	11.79	0.00	11.79	0.0	0.00
07/13/2016	BRINSER, LISA	IVY ASSET STRATEGY FUND CLASS C	0.00	0.06	0.00	0.06	0.0	0.00
07/13/2016	BRINSER, LISA	IVY ASSET STRATEGY FUND CLASS C	0.00	11.73	0.00	11.73	0.0	0.00
10/14/2016	BRINSER, LISA	IVY ASSET STRATEGY FUND CLASS C	0.00	0.06	0.00	0.06	0.0	0.00
10/14/2016	BRINSER, LISA	IVY ASSET STRATEGY FUND CLASS C	0.00	12.01	0.00	12.01	0.0	0.00
02/25/2016	STOCKER TRUST, MARTHA	MAINSTAY HIGH YIELD CORP BOND A	0.00	0.06	0.00	0.06	0.0	0.00
03/08/2016	STOCKER TRUST, MARTHA	MAINSTAY HIGH YIELD CORP BOND A	0.00	0.06	0.00	0.06	0.0	0.00
04/22/2016	STOCKER TRUST, MARTHA	MAINSTAY HIGH YIELD CORP BOND A	0.00	0.06	0.00	0.06	0.0	0.00
05/17/2016	STOCKER TRUST, MARTHA	MAINSTAY HIGH YIELD CORP BOND A	0.00	0.06	0.00	0.06	0.0	0.00
06/15/2016	STOCKER TRUST, MARTHA	MAINSTAY HIGH YIELD CORP BOND A	0.00	0.06	0.00	0.06	0.0	0.00
07/14/2016	STOCKER TRUST, MARTHA	MAINSTAY HIGH YIELD CORP BOND A	0.00	0.06	0.00	0.06	0.0	0.00

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>DIRECT TRANSACTIONS</u>								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS								
08/18/2016	STOCKER TRUST, MARTHA	MAINSTAY HIGH YIELD CORP BOND A	0.00	0.06	0.00	0.06	0.0	0.00
09/15/2016	STOCKER TRUST, MARTHA	MAINSTAY HIGH YIELD CORP BOND A	0.00	0.07	0.00	0.07	0.0	0.00
10/21/2016	STOCKER TRUST, MARTHA	MAINSTAY HIGH YIELD CORP BOND A	0.00	0.06	0.00	0.06	0.0	0.00
11/09/2016	STOCKER TRUST, MARTHA	MAINSTAY HIGH YIELD CORP BOND A	0.00	0.07	0.00	0.07	0.0	0.00
12/16/2016	STOCKER TRUST, MARTHA	MAINSTAY HIGH YIELD CORP BOND A	0.00	0.06	0.00	0.06	0.0	0.00
02/22/2016	JAHNCKE, JUDY	PUTNAM INVESTORS A	0.00	0.41	0.00	0.41	0.0	0.00
03/22/2016	JAHNCKE, JUDY	PUTNAM INVESTORS A	0.00	0.38	0.00	0.38	0.0	0.00
04/21/2016	JAHNCKE, JUDY	PUTNAM INVESTORS A	0.00	0.43	0.00	0.43	0.0	0.00
05/26/2016	JAHNCKE, JUDY	PUTNAM INVESTORS A	0.00	0.43	0.00	0.43	0.0	0.00
06/23/2016	JAHNCKE, JUDY	PUTNAM INVESTORS A	0.00	0.44	0.00	0.44	0.0	0.00
07/26/2016	JAHNCKE, JUDY	PUTNAM INVESTORS A	0.00	0.43	0.00	0.43	0.0	0.00
08/19/2016	JAHNCKE, JUDY	PUTNAM INVESTORS A	0.00	0.45	0.00	0.45	0.0	0.00
09/20/2016	JAHNCKE, JUDY	PUTNAM INVESTORS A	0.00	0.46	0.00	0.46	0.0	0.00
10/25/2016	JAHNCKE, JUDY	PUTNAM INVESTORS A	0.00	0.45	0.00	0.45	0.0	0.00
11/23/2016	JAHNCKE, JUDY	PUTNAM INVESTORS A	0.00	0.46	0.00	0.46	0.0	0.00
12/23/2016	JAHNCKE, JUDY	PUTNAM INVESTORS A	0.00	0.46	0.00	0.46	0.0	0.00
07/18/2016	JAHNCKE, JUDY	RESOURCE REAL ESTATE DIVERSIFIED IN	0.00	0.14	0.00	0.14	0.0	0.00
07/18/2016	JAHNCKE, JUDY	RESOURCE REAL ESTATE DIVERSIFIED IN	0.00	0.05	0.00	0.05	0.0	0.00
10/17/2016	JAHNCKE, JUDY	RESOURCE REAL ESTATE DIVERSIFIED IN	0.00	1.90	0.00	1.90	0.0	0.00
10/17/2016	JAHNCKE, JUDY	RESOURCE REAL ESTATE DIVERSIFIED IN	0.00	0.63	0.00	0.63	0.0	0.00
02/11/2016	RUMBLE TRUST, JUDITH	SIERRA CORE RETIREMENT FUND CLASS C	0.00	7.95	0.00	7.95	0.0	0.00
03/11/2016	RUMBLE TRUST, JUDITH	SIERRA CORE RETIREMENT FUND CLASS C	0.00	8.46	0.00	8.46	0.0	0.00
04/15/2016	RUMBLE TRUST, JUDITH	SIERRA CORE RETIREMENT FUND CLASS C	0.00	1.09	0.00	1.09	0.0	0.00
04/28/2016	RUMBLE TRUST, JUDITH	SIERRA CORE RETIREMENT FUND CLASS C	0.00	7.69	0.00	7.69	0.0	0.00
05/27/2016	RUMBLE TRUST, JUDITH	SIERRA CORE RETIREMENT FUND CLASS C	0.00	8.33	0.00	8.33	0.0	0.00
06/23/2016	RUMBLE TRUST, JUDITH	SIERRA CORE RETIREMENT FUND CLASS C	0.00	8.65	0.00	8.65	0.0	0.00
07/27/2016	RUMBLE TRUST, JUDITH	SIERRA CORE RETIREMENT FUND CLASS C	0.00	8.45	0.00	8.45	0.0	0.00
08/29/2016	RUMBLE TRUST, JUDITH	SIERRA CORE RETIREMENT FUND CLASS C	0.00	8.88	0.00	8.88	0.0	0.00
09/27/2016	RUMBLE TRUST, JUDITH	SIERRA CORE RETIREMENT FUND CLASS C	0.00	8.93	0.00	8.93	0.0	0.00
10/21/2016	RUMBLE TRUST, JUDITH	SIERRA CORE RETIREMENT FUND CLASS C	0.00	8.65	0.00	8.65	0.0	0.00
12/05/2016	RUMBLE TRUST, JUDITH	SIERRA CORE RETIREMENT FUND CLASS C	0.00	8.90	0.00	8.90	0.0	0.00
12/29/2016	RUMBLE TRUST, JUDITH	SIERRA CORE RETIREMENT FUND CLASS C	0.00	8.45	0.00	8.45	0.0	0.00
05/13/2016	BRINSER, LISA	TEMPLETON FOREIGN FUND C	0.00	1.01	0.00	1.01	0.0	0.00

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
06/14/2016	BRINSER, LISA	TEMPLETON FOREIGN FUND C	0.00	2.71	0.00	2.71	0.0	0.00
07/14/2016	BRINSER, LISA	TEMPLETON FOREIGN FUND C	0.00	2.63	0.00	2.63	0.0	0.00
08/15/2016	BRINSER, LISA	TEMPLETON FOREIGN FUND C	0.00	2.76	0.00	2.76	0.0	0.00
09/14/2016	BRINSER, LISA	TEMPLETON FOREIGN FUND C	0.00	2.90	0.00	2.90	0.0	0.00
10/18/2016	BRINSER, LISA	TEMPLETON FOREIGN FUND C	0.00	2.81	0.00	2.81	0.0	0.00
11/15/2016	BRINSER, LISA	TEMPLETON FOREIGN FUND C	0.00	2.92	0.00	2.92	0.0	0.00
12/16/2016	BRINSER, LISA	TEMPLETON FOREIGN FUND C	0.00	2.78	0.00	2.78	0.0	0.00
02/17/2016	STOCKER TRUST, MARTHA	THORNBURG INT'L VALUE A	0.00	8.75	0.00	8.75	0.0	0.00
03/11/2016	STOCKER TRUST, MARTHA	THORNBURG INT'L VALUE A	0.00	7.90	0.00	7.90	0.0	0.00
04/19/2016	STOCKER TRUST, MARTHA	THORNBURG INT'L VALUE A	0.00	8.88	0.00	8.88	0.0	0.00
05/18/2016	STOCKER TRUST, MARTHA	THORNBURG INT'L VALUE A	0.00	8.81	0.00	8.81	0.0	0.00
06/15/2016	STOCKER TRUST, MARTHA	THORNBURG INT'L VALUE A	0.00	9.01	0.00	9.01	0.0	0.00
07/15/2016	STOCKER TRUST, MARTHA	THORNBURG INT'L VALUE A	0.00	8.56	0.00	8.56	0.0	0.00
08/10/2016	STOCKER TRUST, MARTHA	THORNBURG INT'L VALUE A	0.00	8.87	0.00	8.87	0.0	0.00
09/16/2016	STOCKER TRUST, MARTHA	THORNBURG INT'L VALUE A	0.00	9.16	0.00	9.16	0.0	0.00
10/13/2016	STOCKER TRUST, MARTHA	THORNBURG INT'L VALUE A	0.00	8.97	0.00	8.97	0.0	0.00
11/15/2016	STOCKER TRUST, MARTHA	THORNBURG INT'L VALUE A	0.00	9.22	0.00	9.22	0.0	0.00
12/13/2016	STOCKER TRUST, MARTHA	THORNBURG INT'L VALUE A	0.00	8.67	0.00	8.67	0.0	0.00
02/17/2016	BRINSER, LISA	THORNBURG INVESTMENT INCOME BUILDER	0.00	1.80	0.00	1.80	0.0	0.00
02/17/2016	BRINSER, LISA	THORNBURG INVESTMENT INCOME BUILDER	0.00	3.90	0.00	3.90	0.0	0.00
02/17/2016	JAHNCKE, JUDY	THORNBURG INVESTMENT INCOME BUILDER	0.00	1.14	0.00	1.14	0.0	0.00
03/11/2016	BRINSER, LISA	THORNBURG INVESTMENT INCOME BUILDER	0.00	1.66	0.00	1.66	0.0	0.00
03/11/2016	BRINSER, LISA	THORNBURG INVESTMENT INCOME BUILDER	0.00	3.59	0.00	3.59	0.0	0.00
03/11/2016	JAHNCKE, JUDY	THORNBURG INVESTMENT INCOME BUILDER	0.00	1.05	0.00	1.05	0.0	0.00
04/19/2016	BRINSER, LISA	THORNBURG INVESTMENT INCOME BUILDER	0.00	1.87	0.00	1.87	0.0	0.00
04/19/2016	BRINSER, LISA	THORNBURG INVESTMENT INCOME BUILDER	0.00	4.06	0.00	4.06	0.0	0.00
04/19/2016	JAHNCKE, JUDY	THORNBURG INVESTMENT INCOME BUILDER	0.00	1.19	0.00	1.19	0.0	0.00
05/18/2016	BRINSER, LISA	THORNBURG INVESTMENT INCOME BUILDER	0.00	1.86	0.00	1.86	0.0	0.00
05/18/2016	BRINSER, LISA	THORNBURG INVESTMENT INCOME BUILDER	0.00	4.04	0.00	4.04	0.0	0.00
05/18/2016	JAHNCKE, JUDY	THORNBURG INVESTMENT INCOME BUILDER	0.00	1.18	0.00	1.18	0.0	0.00
06/15/2016	BRINSER, LISA	THORNBURG INVESTMENT INCOME BUILDER	0.00	1.92	0.00	1.92	0.0	0.00
06/15/2016	BRINSER, LISA	THORNBURG INVESTMENT INCOME BUILDER	0.00	4.16	0.00	4.16	0.0	0.00
06/15/2016	JAHNCKE, JUDY	THORNBURG INVESTMENT INCOME BUILDER	0.00	1.21	0.00	1.21	0.0	0.00

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

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
07/15/2016	BRINSER, LISA	THORNBURG INVESTMENT INCOME BUILDER	0.00	1.86	0.00	1.86	0.0	0.00
07/15/2016	BRINSER, LISA	THORNBURG INVESTMENT INCOME BUILDER	0.00	4.03	0.00	4.03	0.0	0.00
07/15/2016	JAHNCKE, JUDY	THORNBURG INVESTMENT INCOME BUILDER	0.00	1.18	0.00	1.18	0.0	0.00
08/10/2016	BRINSER, LISA	THORNBURG INVESTMENT INCOME BUILDER	0.00	1.98	0.00	1.98	0.0	0.00
08/10/2016	BRINSER, LISA	THORNBURG INVESTMENT INCOME BUILDER	0.00	4.28	0.00	4.28	0.0	0.00
08/10/2016	JAHNCKE, JUDY	THORNBURG INVESTMENT INCOME BUILDER	0.00	1.25	0.00	1.25	0.0	0.00
09/16/2016	BRINSER, LISA	THORNBURG INVESTMENT INCOME BUILDER	0.00	2.01	0.00	2.01	0.0	0.00
09/16/2016	BRINSER, LISA	THORNBURG INVESTMENT INCOME BUILDER	0.00	4.36	0.00	4.36	0.0	0.00
09/16/2016	JAHNCKE, JUDY	THORNBURG INVESTMENT INCOME BUILDER	0.00	1.27	0.00	1.27	0.0	0.00
10/13/2016	BRINSER, LISA	THORNBURG INVESTMENT INCOME BUILDER	0.00	1.94	0.00	1.94	0.0	0.00
10/13/2016	BRINSER, LISA	THORNBURG INVESTMENT INCOME BUILDER	0.00	4.20	0.00	4.20	0.0	0.00
10/13/2016	JAHNCKE, JUDY	THORNBURG INVESTMENT INCOME BUILDER	0.00	1.23	0.00	1.23	0.0	0.00
11/15/2016	BRINSER, LISA	THORNBURG INVESTMENT INCOME BUILDER	0.00	1.99	0.00	1.99	0.0	0.00
11/15/2016	BRINSER, LISA	THORNBURG INVESTMENT INCOME BUILDER	0.00	4.32	0.00	4.32	0.0	0.00
11/15/2016	JAHNCKE, JUDY	THORNBURG INVESTMENT INCOME BUILDER	0.00	1.26	0.00	1.26	0.0	0.00
12/14/2016	BRINSER, LISA	THORNBURG INVESTMENT INCOME BUILDER	0.00	1.91	0.00	1.91	0.0	0.00
12/14/2016	BRINSER, LISA	THORNBURG INVESTMENT INCOME BUILDER	0.00	4.13	0.00	4.13	0.0	0.00
12/14/2016	JAHNCKE, JUDY	THORNBURG INVESTMENT INCOME BUILDER	0.00	1.21	0.00	1.21	0.0	0.00
02/17/2016	JAHNCKE, JUDY	THORNBURG INVT TR INTL VALUE FD CL	0.00	0.42	0.00	0.42	0.0	0.00
03/11/2016	JAHNCKE, JUDY	THORNBURG INVT TR INTL VALUE FD CL	0.00	0.38	0.00	0.38	0.0	0.00
04/19/2016	JAHNCKE, JUDY	THORNBURG INVT TR INTL VALUE FD CL	0.00	0.43	0.00	0.43	0.0	0.00
05/18/2016	JAHNCKE, JUDY	THORNBURG INVT TR INTL VALUE FD CL	0.00	0.42	0.00	0.42	0.0	0.00
06/15/2016	JAHNCKE, JUDY	THORNBURG INVT TR INTL VALUE FD CL	0.00	0.43	0.00	0.43	0.0	0.00
07/15/2016	JAHNCKE, JUDY	THORNBURG INVT TR INTL VALUE FD CL	0.00	0.41	0.00	0.41	0.0	0.00
08/10/2016	JAHNCKE, JUDY	THORNBURG INVT TR INTL VALUE FD CL	0.00	0.42	0.00	0.42	0.0	0.00
09/16/2016	JAHNCKE, JUDY	THORNBURG INVT TR INTL VALUE FD CL	0.00	0.44	0.00	0.44	0.0	0.00
10/13/2016	JAHNCKE, JUDY	THORNBURG INVT TR INTL VALUE FD CL	0.00	0.43	0.00	0.43	0.0	0.00
11/15/2016	JAHNCKE, JUDY	THORNBURG INVT TR INTL VALUE FD CL	0.00	0.44	0.00	0.44	0.0	0.00
12/13/2016	JAHNCKE, JUDY	THORNBURG INVT TR INTL VALUE FD CL	0.00	0.41	0.00	0.41	0.0	0.00
02/17/2016	JAHNCKE, JUDY	THORNBURG VALUE CL A	0.00	1.58	0.00	1.58	0.0	0.00
03/11/2016	JAHNCKE, JUDY	THORNBURG VALUE CL A	0.00	1.42	0.00	1.42	0.0	0.00
04/19/2016	JAHNCKE, JUDY	THORNBURG VALUE CL A	0.00	1.61	0.00	1.61	0.0	0.00
05/18/2016	JAHNCKE, JUDY	THORNBURG VALUE CL A	0.00	1.60	0.00	1.60	0.0	0.00

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

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
06/15/2016	JAHNCKE, JUDY	THORNBURG VALUE CL A	0.00	1.64	0.00	1.64	0.0	0.00
07/15/2016	JAHNCKE, JUDY	THORNBURG VALUE CL A	0.00	1.61	0.00	1.61	0.0	0.00
08/10/2016	JAHNCKE, JUDY	THORNBURG VALUE CL A	0.00	1.71	0.00	1.71	0.0	0.00
09/16/2016	JAHNCKE, JUDY	THORNBURG VALUE CL A	0.00	1.74	0.00	1.74	0.0	0.00
10/13/2016	JAHNCKE, JUDY	THORNBURG VALUE CL A	0.00	1.69	0.00	1.69	0.0	0.00
11/15/2016	JAHNCKE, JUDY	THORNBURG VALUE CL A	0.00	1.74	0.00	1.74	0.0	0.00
12/13/2016	JAHNCKE, JUDY	THORNBURG VALUE CL A	0.00	1.70	0.00	1.70	0.0	0.00
02/17/2016	BRINSER, LISA	THORNBURG VALUE CLASS C	0.00	1.90	0.00	1.90	0.0	0.00
02/17/2016	BRINSER, LISA	THORNBURG VALUE CLASS C	0.00	5.91	0.00	5.91	0.0	0.00
02/17/2016	JAHNCKE TRUST, JUDY	THORNBURG VALUE CLASS C	0.00	1.59	0.00	1.59	0.0	0.00
02/17/2016	JAHNCKE, JUDY	THORNBURG VALUE CLASS C	0.00	22.19	0.00	22.19	0.0	0.00
02/17/2016	RUMBLE TRUST, JUDITH	THORNBURG VALUE CLASS C	0.00	26.15	0.00	26.15	0.0	0.00
03/11/2016	BRINSER, LISA	THORNBURG VALUE CLASS C	0.00	1.70	0.00	1.70	0.0	0.00
03/11/2016	BRINSER, LISA	THORNBURG VALUE CLASS C	0.00	5.31	0.00	5.31	0.0	0.00
03/11/2016	JAHNCKE TRUST, JUDY	THORNBURG VALUE CLASS C	0.00	1.42	0.00	1.42	0.0	0.00
03/11/2016	JAHNCKE, JUDY	THORNBURG VALUE CLASS C	0.00	19.94	0.00	19.94	0.0	0.00
03/11/2016	RUMBLE TRUST, JUDITH	THORNBURG VALUE CLASS C	0.00	23.49	0.00	23.49	0.0	0.00
04/19/2016	BRINSER, LISA	THORNBURG VALUE CLASS C	0.00	1.93	0.00	1.93	0.0	0.00
04/19/2016	BRINSER, LISA	THORNBURG VALUE CLASS C	0.00	6.02	0.00	6.02	0.0	0.00
04/19/2016	JAHNCKE TRUST, JUDY	THORNBURG VALUE CLASS C	0.00	1.61	0.00	1.61	0.0	0.00
04/19/2016	JAHNCKE, JUDY	THORNBURG VALUE CLASS C	0.00	22.59	0.00	22.59	0.0	0.00
04/19/2016	RUMBLE TRUST, JUDITH	THORNBURG VALUE CLASS C	0.00	26.62	0.00	26.62	0.0	0.00
05/18/2016	BRINSER, LISA	THORNBURG VALUE CLASS C	0.00	1.92	0.00	1.92	0.0	0.00
05/18/2016	BRINSER, LISA	THORNBURG VALUE CLASS C	0.00	5.98	0.00	5.98	0.0	0.00
05/18/2016	JAHNCKE TRUST, JUDY	THORNBURG VALUE CLASS C	0.00	1.61	0.00	1.61	0.0	0.00
05/18/2016	JAHNCKE, JUDY	THORNBURG VALUE CLASS C	0.00	22.47	0.00	22.47	0.0	0.00
05/18/2016	RUMBLE TRUST, JUDITH	THORNBURG VALUE CLASS C	0.00	26.47	0.00	26.47	0.0	0.00
06/15/2016	BRINSER, LISA	THORNBURG VALUE CLASS C	0.00	1.97	0.00	1.97	0.0	0.00
06/15/2016	BRINSER, LISA	THORNBURG VALUE CLASS C	0.00	6.15	0.00	6.15	0.0	0.00
06/15/2016	JAHNCKE TRUST, JUDY	THORNBURG VALUE CLASS C	0.00	1.65	0.00	1.65	0.0	0.00
06/15/2016	JAHNCKE, JUDY	THORNBURG VALUE CLASS C	0.00	23.08	0.00	23.08	0.0	0.00
06/15/2016	RUMBLE TRUST, JUDITH	THORNBURG VALUE CLASS C	0.00	27.20	0.00	27.20	0.0	0.00
07/15/2016	BRINSER, LISA	THORNBURG VALUE CLASS C	0.00	1.93	0.00	1.93	0.0	0.00

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
07/15/2016	BRINSER, LISA	THORNBURG VALUE CLASS C	0.00	6.01	0.00	6.01	0.0	0.00
07/15/2016	JAHNCKE TRUST, JUDY	THORNBURG VALUE CLASS C	0.00	1.61	0.00	1.61	0.0	0.00
07/15/2016	JAHNCKE, JUDY	THORNBURG VALUE CLASS C	0.00	22.56	0.00	22.56	0.0	0.00
07/15/2016	RUMBLE TRUST, JUDITH	THORNBURG VALUE CLASS C	0.00	26.59	0.00	26.59	0.0	0.00
08/10/2016	BRINSER, LISA	THORNBURG VALUE CLASS C	0.00	2.05	0.00	2.05	0.0	0.00
08/10/2016	BRINSER, LISA	THORNBURG VALUE CLASS C	0.00	6.39	0.00	6.39	0.0	0.00
08/10/2016	JAHNCKE TRUST, JUDY	THORNBURG VALUE CLASS C	0.00	1.71	0.00	1.71	0.0	0.00
08/10/2016	JAHNCKE, JUDY	THORNBURG VALUE CLASS C	0.00	23.99	0.00	23.99	0.0	0.00
08/10/2016	RUMBLE TRUST, JUDITH	THORNBURG VALUE CLASS C	0.00	28.27	0.00	28.27	0.0	0.00
09/16/2016	BRINSER, LISA	THORNBURG VALUE CLASS C	0.00	2.08	0.00	2.08	0.0	0.00
09/16/2016	BRINSER, LISA	THORNBURG VALUE CLASS C	0.00	6.48	0.00	6.48	0.0	0.00
09/16/2016	JAHNCKE TRUST, JUDY	THORNBURG VALUE CLASS C	0.00	1.74	0.00	1.74	0.0	0.00
09/16/2016	JAHNCKE, JUDY	THORNBURG VALUE CLASS C	0.00	24.32	0.00	24.32	0.0	0.00
09/16/2016	RUMBLE TRUST, JUDITH	THORNBURG VALUE CLASS C	0.00	28.66	0.00	28.66	0.0	0.00
10/13/2016	BRINSER, LISA	THORNBURG VALUE CLASS C	0.00	2.02	0.00	2.02	0.0	0.00
10/13/2016	BRINSER, LISA	THORNBURG VALUE CLASS C	0.00	6.28	0.00	6.28	0.0	0.00
10/13/2016	JAHNCKE TRUST, JUDY	THORNBURG VALUE CLASS C	0.00	1.69	0.00	1.69	0.0	0.00
10/13/2016	JAHNCKE, JUDY	THORNBURG VALUE CLASS C	0.00	23.59	0.00	23.59	0.0	0.00
10/13/2016	RUMBLE TRUST, JUDITH	THORNBURG VALUE CLASS C	0.00	27.80	0.00	27.80	0.0	0.00
11/15/2016	BRINSER, LISA	THORNBURG VALUE CLASS C	0.00	2.08	0.00	2.08	0.0	0.00
11/15/2016	BRINSER, LISA	THORNBURG VALUE CLASS C	0.00	6.47	0.00	6.47	0.0	0.00
11/15/2016	JAHNCKE TRUST, JUDY	THORNBURG VALUE CLASS C	0.00	1.74	0.00	1.74	0.0	0.00
11/15/2016	JAHNCKE, JUDY	THORNBURG VALUE CLASS C	0.00	24.30	0.00	24.30	0.0	0.00
11/15/2016	RUMBLE TRUST, JUDITH	THORNBURG VALUE CLASS C	0.00	28.63	0.00	28.63	0.0	0.00
12/13/2016	BRINSER, LISA	THORNBURG VALUE CLASS C	0.00	2.03	0.00	2.03	0.0	0.00
12/13/2016	BRINSER, LISA	THORNBURG VALUE CLASS C	0.00	6.33	0.00	6.33	0.0	0.00
12/13/2016	JAHNCKE TRUST, JUDY	THORNBURG VALUE CLASS C	0.00	1.70	0.00	1.70	0.0	0.00
12/13/2016	JAHNCKE, JUDY	THORNBURG VALUE CLASS C	0.00	23.78	0.00	23.78	0.0	0.00
12/13/2016	RUMBLE TRUST, JUDITH	THORNBURG VALUE CLASS C	0.00	28.02	0.00	28.02	0.0	0.00
06/29/2016	KORCEK, ANDREW	VICTORY CAPITAL MANAGEMENT	0.00	0.15	0.00	0.15	0.0	0.00
08/01/2016	KORCEK, ANDREW	VICTORY CAPITAL MANAGEMENT	0.00	0.32	0.00	0.32	0.0	0.00
08/30/2016	KORCEK, ANDREW	VICTORY CAPITAL MANAGEMENT	0.00	0.34	0.00	0.34	0.0	0.00
09/30/2016	KORCEK, ANDREW	VICTORY CAPITAL MANAGEMENT	0.00	0.01	0.00	0.01	0.0	0.00

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
06/13/2016	KORCEK, ANDREW	VIRTUS GROWTH & INCOME FUND CLASS C	0.00	1.26	0.00	1.26	0.0	0.00
07/14/2016	KORCEK, ANDREW	VIRTUS GROWTH & INCOME FUND CLASS C	0.00	2.90	0.00	2.90	0.0	0.00
08/19/2016	KORCEK, ANDREW	VIRTUS GROWTH & INCOME FUND CLASS C	0.00	3.09	0.00	3.09	0.0	0.00
09/16/2016	KORCEK, ANDREW	VIRTUS GROWTH & INCOME FUND CLASS C	0.00	0.24	0.00	0.24	0.0	0.00
06/14/2016	KORCEK, ANDREW	WELLS FARGO EMERGING MARKETS EQUITY	0.00	2.25	0.00	2.25	0.0	0.00
07/18/2016	KORCEK, ANDREW	WELLS FARGO EMERGING MARKETS EQUITY	0.00	5.34	0.00	5.34	0.0	0.00
08/15/2016	KORCEK, ANDREW	WELLS FARGO EMERGING MARKETS EQUITY	0.00	5.85	0.00	5.85	0.0	0.00
09/15/2016	KORCEK, ANDREW	WELLS FARGO EMERGING MARKETS EQUITY	0.00	0.19	0.00	0.19	0.0	0.00
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *			\$0.00	\$2,651.61	\$0.00	\$2,651.61		\$0.00
*** DIRECT TRANSACTIONS TOTAL ***			\$0.00	\$2,651.61	\$0.00	\$2,651.61		\$0.00

BROKER COMMISSION TOTALS

Broker Transactions	\$0.00
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

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THERE WILL BE NO CHECK THIS PERIOD

Balance Forward	\$0.00
Year-to-date Gross	\$2,861.10
Year-to-date Earnings	\$0.00

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