



Concorde Investment Services, LLC

02/27/2018

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COMMISSION STATEMENT**February 28, 2018**

MATT, B116 BRANSTETTER
 PO Box 250
 111 S. Main Street
 Noble, OK 73068

BROKER #: B116
 BRANCH: BRAEVEST

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	RATE	NET COMMISSION	CLEARING CHARGE	BROKER COMMISSION
<u>CLEARING TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: STOCKS</u>								
02/14/2018	STANFORD, DAVID	AMAZON COM INC	14,246.34	49.00	80.0	39.20	22.50	16.70
* STOCKS SUBTOTAL *			\$14,246.34	\$49.00		\$39.20	\$22.50	\$16.70
*** CLEARING TRANSACTIONS TOTAL ***			\$14,246.34	\$49.00		\$39.20	\$22.50	\$16.70

<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
02/05/2018	FOX, JERALDINE	AM FUNDS CAPITAL INCOME BUILDER C	120.00	1.20	80.0	0.96	0.00	0.96
02/15/2018	DOBELBOWER, MARY	AM FUNDS EUROPACIFIC GROWTH FUND A	50.00	2.50	80.0	2.00	0.00	2.00
02/05/2018	LAWTON, WHITNEY	AM FUNDS NEW ECONOMY A	250.00	10.63	80.0	8.50	0.00	8.50
02/15/2018	BENNETT, MARLA	AM FUNDS WASHINGTON MUTUAL	100.00	4.25	80.0	3.40	0.00	3.40
02/09/2018	LAWTON TRUST, E ANN	PUTNAM GROWTH OPP C	33.04	0.33	80.0	0.26	0.00	0.26
02/05/2018	MYERS, JON	PUTNAM INTL CAPITAL OPPS-C	100.00	1.00	80.0	0.80	0.00	0.80
02/06/2018	SNYDER, LESTER	PUTNAM SMALL CAP GROWTH-C	100.00	1.00	80.0	0.80	0.00	0.80
/ /	DOWNING, JOHN	RYDEX GUGG NASDAQ 100 2X STRATEGY	0.00	3.00	80.0	2.40	0.00	2.40
02/16/2018	PUCKETT, CHERI	RYDEX GUGG VELOCITY 100 A	50.01	2.00	80.0	1.60	0.00	1.60
* MUTUAL FUNDS SUBTOTAL *			\$803.05	\$25.91		\$20.72	\$0.00	\$20.72

<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
02/16/2016	MORRIS, BLAKE	AM FUNDS AMCAP A	0.00	5.42	80.0	4.34	0.00	4.34
02/16/2016	SWENSON, ANNE	AM FUNDS AMCAP A	0.00	0.85	80.0	0.68	0.00	0.68
03/15/2016	MORRIS, BLAKE	AM FUNDS AMCAP A	0.00	4.99	80.0	3.99	0.00	3.99
03/15/2016	SWENSON, ANNE	AM FUNDS AMCAP A	0.00	0.78	80.0	0.62	0.00	0.62
04/20/2016	MORRIS, BLAKE	AM FUNDS AMCAP A	0.00	5.70	80.0	4.56	0.00	4.56
04/20/2016	SWENSON, ANNE	AM FUNDS AMCAP A	0.00	0.89	80.0	0.71	0.00	0.71
05/16/2016	MORRIS, BLAKE	AM FUNDS AMCAP A	0.00	5.69	80.0	4.55	0.00	4.55
05/16/2016	SWENSON, ANNE	AM FUNDS AMCAP A	0.00	0.89	80.0	0.71	0.00	0.71

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	RATE	NET COMMISSION	CLEARING CHARGE	BROKER COMMISSION
<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
06/15/2016	MORRIS, BLAKE	AM FUNDS AMCAP A	0.00	5.85	80.0	4.68	0.00	4.68
06/15/2016	SWENSON, ANNE	AM FUNDS AMCAP A	0.00	0.91	80.0	0.73	0.00	0.73
07/18/2016	MORRIS, BLAKE	AM FUNDS AMCAP A	0.00	5.68	80.0	4.54	0.00	4.54
07/18/2016	SWENSON, ANNE	AM FUNDS AMCAP A	0.00	0.90	80.0	0.72	0.00	0.72
08/15/2016	MORRIS, BLAKE	AM FUNDS AMCAP A	0.00	3.79	80.0	3.03	0.00	3.03
08/15/2016	SWENSON, ANNE	AM FUNDS AMCAP A	0.00	0.94	80.0	0.75	0.00	0.75
09/16/2016	SWENSON, ANNE	AM FUNDS AMCAP A	0.00	0.96	80.0	0.77	0.00	0.77
10/17/2016	SWENSON, ANNE	AM FUNDS AMCAP A	0.00	0.93	80.0	0.74	0.00	0.74
11/18/2016	SWENSON, ANNE	AM FUNDS AMCAP A	0.00	0.96	80.0	0.77	0.00	0.77
12/15/2016	SWENSON, ANNE	AM FUNDS AMCAP A	0.00	0.93	80.0	0.74	0.00	0.74
02/16/2016	SMITH, BETTY	AM FUNDS AMERICAN BALANCED A	0.00	0.60	80.0	0.48	0.00	0.48
03/15/2016	SMITH, BETTY	AM FUNDS AMERICAN BALANCED A	0.00	0.56	80.0	0.45	0.00	0.45
04/20/2016	SMITH, BETTY	AM FUNDS AMERICAN BALANCED A	0.00	0.62	80.0	0.50	0.00	0.50
05/16/2016	SMITH, BETTY	AM FUNDS AMERICAN BALANCED A	0.00	0.62	80.0	0.50	0.00	0.50
06/15/2016	SMITH, BETTY	AM FUNDS AMERICAN BALANCED A	0.00	0.64	80.0	0.51	0.00	0.51
07/18/2016	SMITH, BETTY	AM FUNDS AMERICAN BALANCED A	0.00	0.62	80.0	0.50	0.00	0.50
08/15/2016	SMITH, BETTY	AM FUNDS AMERICAN BALANCED A	0.00	0.66	80.0	0.53	0.00	0.53
09/16/2016	SMITH, BETTY	AM FUNDS AMERICAN BALANCED A	0.00	0.66	80.0	0.53	0.00	0.53
10/17/2016	SMITH, BETTY	AM FUNDS AMERICAN BALANCED A	0.00	0.64	80.0	0.51	0.00	0.51
11/18/2016	SMITH, BETTY	AM FUNDS AMERICAN BALANCED A	0.00	0.66	80.0	0.53	0.00	0.53
12/15/2016	SMITH, BETTY	AM FUNDS AMERICAN BALANCED A	0.00	0.02	80.0	0.02	0.00	0.02
02/16/2016	KRAUS, AMANDA	AM FUNDS AMERICAN BALANCED C	0.00	6.81	80.0	5.45	0.00	5.45
03/15/2016	KRAUS, AMANDA	AM FUNDS AMERICAN BALANCED C	0.00	6.34	80.0	5.07	0.00	5.07
04/20/2016	KRAUS, AMANDA	AM FUNDS AMERICAN BALANCED C	0.00	7.05	80.0	5.64	0.00	5.64
05/16/2016	KRAUS, AMANDA	AM FUNDS AMERICAN BALANCED C	0.00	6.96	80.0	5.57	0.00	5.57
06/15/2016	KRAUS, AMANDA	AM FUNDS AMERICAN BALANCED C	0.00	7.20	80.0	5.76	0.00	5.76
07/18/2016	KRAUS, AMANDA	AM FUNDS AMERICAN BALANCED C	0.00	7.00	80.0	5.60	0.00	5.60
08/15/2016	KRAUS, AMANDA	AM FUNDS AMERICAN BALANCED C	0.00	7.36	80.0	5.89	0.00	5.89
09/16/2016	KRAUS, AMANDA	AM FUNDS AMERICAN BALANCED C	0.00	7.40	80.0	5.92	0.00	5.92
10/17/2016	KRAUS, AMANDA	AM FUNDS AMERICAN BALANCED C	0.00	7.10	80.0	5.68	0.00	5.68
11/18/2016	KRAUS, AMANDA	AM FUNDS AMERICAN BALANCED C	0.00	7.33	80.0	5.86	0.00	5.86
12/15/2016	KRAUS, AMANDA	AM FUNDS AMERICAN BALANCED C	0.00	7.11	80.0	5.69	0.00	5.69
02/16/2016	PAUL, MARY	AM FUNDS AMERICAN MUTUAL A	0.00	2.36	80.0	1.89	0.00	1.89

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
02/16/2016	MORRIS, BLAKE	AM FUNDS AMERICAN MUTUAL A	0.00	0.79	80.0	0.63	0.00	0.63
03/15/2016	PAUL, MARY	AM FUNDS AMERICAN MUTUAL A	0.00	2.22	80.0	1.78	0.00	1.78
03/15/2016	MORRIS, BLAKE	AM FUNDS AMERICAN MUTUAL A	0.00	0.74	80.0	0.59	0.00	0.59
04/20/2016	PAUL, MARY	AM FUNDS AMERICAN MUTUAL A	0.00	2.51	80.0	2.01	0.00	2.01
04/20/2016	MORRIS, BLAKE	AM FUNDS AMERICAN MUTUAL A	0.00	0.84	80.0	0.67	0.00	0.67
05/16/2016	PAUL, MARY	AM FUNDS AMERICAN MUTUAL A	0.00	2.49	80.0	1.99	0.00	1.99
05/16/2016	MORRIS, BLAKE	AM FUNDS AMERICAN MUTUAL A	0.00	0.84	80.0	0.67	0.00	0.67
06/15/2016	PAUL, MARY	AM FUNDS AMERICAN MUTUAL A	0.00	2.58	80.0	2.06	0.00	2.06
06/15/2016	MORRIS, BLAKE	AM FUNDS AMERICAN MUTUAL A	0.00	0.87	80.0	0.70	0.00	0.70
07/18/2016	PAUL, MARY	AM FUNDS AMERICAN MUTUAL A	0.00	2.53	80.0	2.02	0.00	2.02
07/18/2016	MORRIS, BLAKE	AM FUNDS AMERICAN MUTUAL A	0.00	0.85	80.0	0.68	0.00	0.68
08/15/2016	PAUL, MARY	AM FUNDS AMERICAN MUTUAL A	0.00	2.70	80.0	2.16	0.00	2.16
08/15/2016	MORRIS, BLAKE	AM FUNDS AMERICAN MUTUAL A	0.00	0.50	80.0	0.40	0.00	0.40
09/16/2016	PAUL, MARY	AM FUNDS AMERICAN MUTUAL A	0.00	2.72	80.0	2.18	0.00	2.18
10/17/2016	PAUL, MARY	AM FUNDS AMERICAN MUTUAL A	0.00	2.60	80.0	2.08	0.00	2.08
11/18/2016	PAUL, MARY	AM FUNDS AMERICAN MUTUAL A	0.00	2.66	80.0	2.13	0.00	2.13
12/15/2016	PAUL, MARY	AM FUNDS AMERICAN MUTUAL A	0.00	2.59	80.0	2.07	0.00	2.07
02/16/2016	DAILEY, TREVA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.79	80.0	1.43	0.00	1.43
03/15/2016	DAILEY, TREVA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.68	80.0	1.34	0.00	1.34
04/20/2016	DAILEY, TREVA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.89	80.0	1.51	0.00	1.51
05/16/2016	DAILEY, TREVA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.86	80.0	1.49	0.00	1.49
06/15/2016	DAILEY, TREVA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.93	80.0	1.54	0.00	1.54
07/18/2016	DAILEY, TREVA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.88	80.0	1.50	0.00	1.50
08/15/2016	DAILEY, TREVA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	2.00	80.0	1.60	0.00	1.60
09/16/2016	DAILEY, TREVA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	2.00	80.0	1.60	0.00	1.60
10/17/2016	DAILEY, TREVA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.93	80.0	1.54	0.00	1.54
11/18/2016	DAILEY, TREVA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.96	80.0	1.57	0.00	1.57
12/15/2016	DAILEY, TREVA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.86	80.0	1.49	0.00	1.49
02/16/2016	ALLGIRE, ERNESTINE	AM FUNDS CAPITAL WORLD GRTH & INC	0.00	2.39	80.0	1.91	0.00	1.91
02/16/2016	PAUL, MARY	AM FUNDS CAPITAL WORLD GRTH & INC	0.00	1.43	80.0	1.14	0.00	1.14
03/15/2016	ALLGIRE, ERNESTINE	AM FUNDS CAPITAL WORLD GRTH & INC	0.00	2.19	80.0	1.75	0.00	1.75
03/15/2016	PAUL, MARY	AM FUNDS CAPITAL WORLD GRTH & INC	0.00	1.32	80.0	1.06	0.00	1.06
04/20/2016	ALLGIRE, ERNESTINE	AM FUNDS CAPITAL WORLD GRTH & INC	0.00	2.50	80.0	2.00	0.00	2.00

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
04/20/2016	PAUL, MARY	AM FUNDS CAPITAL WORLD GRTH & INC	0.00	1.49	80.0	1.19	0.00	1.19
05/16/2016	ALLGIRE, ERNESTINE	AM FUNDS CAPITAL WORLD GRTH & INC	0.00	2.48	80.0	1.98	0.00	1.98
05/16/2016	PAUL, MARY	AM FUNDS CAPITAL WORLD GRTH & INC	0.00	1.48	80.0	1.18	0.00	1.18
06/15/2016	ALLGIRE, ERNESTINE	AM FUNDS CAPITAL WORLD GRTH & INC	0.00	2.55	80.0	2.04	0.00	2.04
06/15/2016	PAUL, MARY	AM FUNDS CAPITAL WORLD GRTH & INC	0.00	1.52	80.0	1.22	0.00	1.22
07/18/2016	ALLGIRE, ERNESTINE	AM FUNDS CAPITAL WORLD GRTH & INC	0.00	2.48	80.0	1.98	0.00	1.98
07/18/2016	PAUL, MARY	AM FUNDS CAPITAL WORLD GRTH & INC	0.00	1.47	80.0	1.18	0.00	1.18
08/15/2016	ALLGIRE, ERNESTINE	AM FUNDS CAPITAL WORLD GRTH & INC	0.00	2.63	80.0	2.10	0.00	2.10
08/15/2016	PAUL, MARY	AM FUNDS CAPITAL WORLD GRTH & INC	0.00	1.56	80.0	1.25	0.00	1.25
09/16/2016	ALLGIRE, ERNESTINE	AM FUNDS CAPITAL WORLD GRTH & INC	0.00	2.69	80.0	2.15	0.00	2.15
09/16/2016	PAUL, MARY	AM FUNDS CAPITAL WORLD GRTH & INC	0.00	1.60	80.0	1.28	0.00	1.28
10/17/2016	ALLGIRE, ERNESTINE	AM FUNDS CAPITAL WORLD GRTH & INC	0.00	2.61	80.0	2.09	0.00	2.09
10/17/2016	PAUL, MARY	AM FUNDS CAPITAL WORLD GRTH & INC	0.00	1.54	80.0	1.23	0.00	1.23
11/18/2016	ALLGIRE, ERNESTINE	AM FUNDS CAPITAL WORLD GRTH & INC	0.00	2.67	80.0	2.14	0.00	2.14
11/18/2016	PAUL, MARY	AM FUNDS CAPITAL WORLD GRTH & INC	0.00	1.57	80.0	1.26	0.00	1.26
12/15/2016	ALLGIRE, ERNESTINE	AM FUNDS CAPITAL WORLD GRTH & INC	0.00	2.55	80.0	2.04	0.00	2.04
12/15/2016	PAUL, MARY	AM FUNDS CAPITAL WORLD GRTH & INC	0.00	1.50	80.0	1.20	0.00	1.20
02/16/2016	MORRIS, BLAKE	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	3.59	80.0	2.87	0.00	2.87
03/15/2016	MORRIS, BLAKE	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	3.24	80.0	2.59	0.00	2.59
04/20/2016	MORRIS, BLAKE	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	3.68	80.0	2.94	0.00	2.94
05/16/2016	MORRIS, BLAKE	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	3.65	80.0	2.92	0.00	2.92
06/15/2016	MORRIS, BLAKE	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	3.73	80.0	2.98	0.00	2.98
07/18/2016	MORRIS, BLAKE	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	3.62	80.0	2.90	0.00	2.90
08/15/2016	MORRIS, BLAKE	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	2.44	80.0	1.95	0.00	1.95
02/16/2016	SWENSON, ANNE	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.11	80.0	0.89	0.00	0.89
03/15/2016	SWENSON, ANNE	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.02	80.0	0.82	0.00	0.82
04/20/2016	SWENSON, ANNE	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.17	80.0	0.94	0.00	0.94
05/16/2016	SWENSON, ANNE	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.16	80.0	0.93	0.00	0.93
06/15/2016	SWENSON, ANNE	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.20	80.0	0.96	0.00	0.96
07/18/2016	SWENSON, ANNE	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.18	80.0	0.94	0.00	0.94
08/15/2016	SWENSON, ANNE	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.25	80.0	1.00	0.00	1.00
09/16/2016	SWENSON, ANNE	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.27	80.0	1.02	0.00	1.02
10/17/2016	SWENSON, ANNE	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.22	80.0	0.98	0.00	0.98

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
11/18/2016	SWENSON, ANNE	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.27	80.0	1.02	0.00	1.02
12/15/2016	SWENSON, ANNE	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.24	80.0	0.99	0.00	0.99
02/16/2016	PAUL, MARY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.11	80.0	0.89	0.00	0.89
03/15/2016	PAUL, MARY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.00	80.0	0.80	0.00	0.80
04/20/2016	PAUL, MARY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.14	80.0	0.91	0.00	0.91
05/16/2016	PAUL, MARY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.14	80.0	0.91	0.00	0.91
06/15/2016	PAUL, MARY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.18	80.0	0.94	0.00	0.94
07/18/2016	PAUL, MARY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.16	80.0	0.93	0.00	0.93
08/15/2016	PAUL, MARY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.23	80.0	0.98	0.00	0.98
09/16/2016	PAUL, MARY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.26	80.0	1.01	0.00	1.01
10/17/2016	PAUL, MARY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.22	80.0	0.98	0.00	0.98
11/18/2016	PAUL, MARY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.27	80.0	1.02	0.00	1.02
12/15/2016	PAUL, MARY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.23	80.0	0.98	0.00	0.98
02/16/2016	REEVES, KATHLEEN	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.85	80.0	0.68	0.00	0.68
03/15/2016	REEVES, KATHLEEN	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.79	80.0	0.63	0.00	0.63
04/20/2016	REEVES, KATHLEEN	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.89	80.0	0.71	0.00	0.71
05/16/2016	REEVES, KATHLEEN	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.87	80.0	0.70	0.00	0.70
06/15/2016	REEVES, KATHLEEN	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.90	80.0	0.72	0.00	0.72
07/18/2016	REEVES, KATHLEEN	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.88	80.0	0.70	0.00	0.70
08/15/2016	REEVES, KATHLEEN	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.94	80.0	0.75	0.00	0.75
09/16/2016	REEVES, KATHLEEN	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.94	80.0	0.75	0.00	0.75
10/17/2016	REEVES, KATHLEEN	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.90	80.0	0.72	0.00	0.72
11/18/2016	REEVES, KATHLEEN	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.92	80.0	0.74	0.00	0.74
12/15/2016	REEVES, KATHLEEN	AM FUNDS INCOME FUND OF AMERICA A	0.00	0.89	80.0	0.71	0.00	0.71
02/16/2016	PAUL, MARY	AM FUNDS NEW ECONOMY A	0.00	0.86	80.0	0.69	0.00	0.69
02/16/2016	MORRIS, BLAKE	AM FUNDS NEW ECONOMY A	0.00	2.64	80.0	2.11	0.00	2.11
02/16/2016	DAILEY, TREVA	AM FUNDS NEW ECONOMY A	0.00	2.73	80.0	2.18	0.00	2.18
02/16/2016	REEVES, KATHLEEN	AM FUNDS NEW ECONOMY A	0.00	2.54	80.0	2.03	0.00	2.03
03/15/2016	PAUL, MARY	AM FUNDS NEW ECONOMY A	0.00	0.77	80.0	0.62	0.00	0.62
03/15/2016	MORRIS, BLAKE	AM FUNDS NEW ECONOMY A	0.00	2.36	80.0	1.89	0.00	1.89
03/15/2016	DAILEY, TREVA	AM FUNDS NEW ECONOMY A	0.00	2.45	80.0	1.96	0.00	1.96
03/15/2016	REEVES, KATHLEEN	AM FUNDS NEW ECONOMY A	0.00	2.28	80.0	1.82	0.00	1.82
04/20/2016	PAUL, MARY	AM FUNDS NEW ECONOMY A	0.00	0.88	80.0	0.70	0.00	0.70

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	RATE	NET COMMISSION	CLEARING CHARGE	BROKER COMMISSION
<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
04/20/2016	MORRIS, BLAKE	AM FUNDS NEW ECONOMY A	0.00	2.70	80.0	2.16	0.00	2.16
04/20/2016	DAILEY, TREVA	AM FUNDS NEW ECONOMY A	0.00	2.80	80.0	2.24	0.00	2.24
04/20/2016	REEVES, KATHLEEN	AM FUNDS NEW ECONOMY A	0.00	2.60	80.0	2.08	0.00	2.08
05/16/2016	PAUL, MARY	AM FUNDS NEW ECONOMY A	0.00	0.88	80.0	0.70	0.00	0.70
05/16/2016	MORRIS, BLAKE	AM FUNDS NEW ECONOMY A	0.00	2.68	80.0	2.14	0.00	2.14
05/16/2016	DAILEY, TREVA	AM FUNDS NEW ECONOMY A	0.00	2.78	80.0	2.22	0.00	2.22
05/16/2016	REEVES, KATHLEEN	AM FUNDS NEW ECONOMY A	0.00	2.59	80.0	2.07	0.00	2.07
06/15/2016	PAUL, MARY	AM FUNDS NEW ECONOMY A	0.00	0.89	80.0	0.71	0.00	0.71
06/15/2016	MORRIS, BLAKE	AM FUNDS NEW ECONOMY A	0.00	2.71	80.0	2.17	0.00	2.17
06/15/2016	DAILEY, TREVA	AM FUNDS NEW ECONOMY A	0.00	2.80	80.0	2.24	0.00	2.24
06/15/2016	REEVES, KATHLEEN	AM FUNDS NEW ECONOMY A	0.00	2.61	80.0	2.09	0.00	2.09
07/18/2016	PAUL, MARY	AM FUNDS NEW ECONOMY A	0.00	0.87	80.0	0.70	0.00	0.70
07/18/2016	MORRIS, BLAKE	AM FUNDS NEW ECONOMY A	0.00	2.65	80.0	2.12	0.00	2.12
07/18/2016	DAILEY, TREVA	AM FUNDS NEW ECONOMY A	0.00	2.74	80.0	2.19	0.00	2.19
07/18/2016	REEVES, KATHLEEN	AM FUNDS NEW ECONOMY A	0.00	2.55	80.0	2.04	0.00	2.04
08/15/2016	PAUL, MARY	AM FUNDS NEW ECONOMY A	0.00	0.91	80.0	0.73	0.00	0.73
08/15/2016	MORRIS, BLAKE	AM FUNDS NEW ECONOMY A	0.00	1.51	80.0	1.21	0.00	1.21
08/15/2016	DAILEY, TREVA	AM FUNDS NEW ECONOMY A	0.00	2.89	80.0	2.31	0.00	2.31
08/15/2016	REEVES, KATHLEEN	AM FUNDS NEW ECONOMY A	0.00	2.69	80.0	2.15	0.00	2.15
09/16/2016	PAUL, MARY	AM FUNDS NEW ECONOMY A	0.00	0.95	80.0	0.76	0.00	0.76
09/16/2016	DAILEY, TREVA	AM FUNDS NEW ECONOMY A	0.00	3.00	80.0	2.40	0.00	2.40
09/16/2016	REEVES, KATHLEEN	AM FUNDS NEW ECONOMY A	0.00	2.79	80.0	2.23	0.00	2.23
10/17/2016	PAUL, MARY	AM FUNDS NEW ECONOMY A	0.00	0.92	80.0	0.74	0.00	0.74
10/17/2016	DAILEY, TREVA	AM FUNDS NEW ECONOMY A	0.00	2.91	80.0	2.33	0.00	2.33
10/17/2016	REEVES, KATHLEEN	AM FUNDS NEW ECONOMY A	0.00	2.71	80.0	2.17	0.00	2.17
11/18/2016	PAUL, MARY	AM FUNDS NEW ECONOMY A	0.00	0.95	80.0	0.76	0.00	0.76
11/18/2016	DAILEY, TREVA	AM FUNDS NEW ECONOMY A	0.00	3.01	80.0	2.41	0.00	2.41
11/18/2016	REEVES, KATHLEEN	AM FUNDS NEW ECONOMY A	0.00	2.80	80.0	2.24	0.00	2.24
12/15/2016	PAUL, MARY	AM FUNDS NEW ECONOMY A	0.00	0.91	80.0	0.73	0.00	0.73
12/15/2016	DAILEY, TREVA	AM FUNDS NEW ECONOMY A	0.00	2.89	80.0	2.31	0.00	2.31
12/15/2016	REEVES, KATHLEEN	AM FUNDS NEW ECONOMY A	0.00	2.68	80.0	2.14	0.00	2.14
02/16/2016	KRAUS, AMANDA	AM FUNDS NEW ECONOMY C	0.00	6.27	80.0	5.02	0.00	5.02
03/15/2016	KRAUS, AMANDA	AM FUNDS NEW ECONOMY C	0.00	5.62	80.0	4.50	0.00	4.50

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	RATE	NET COMMISSION	CLEARING CHARGE	BROKER COMMISSION
<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
04/20/2016	KRAUS, AMANDA	AM FUNDS NEW ECONOMY C	0.00	6.42	80.0	5.14	0.00	5.14
05/16/2016	KRAUS, AMANDA	AM FUNDS NEW ECONOMY C	0.00	6.38	80.0	5.10	0.00	5.10
06/15/2016	KRAUS, AMANDA	AM FUNDS NEW ECONOMY C	0.00	6.42	80.0	5.14	0.00	5.14
07/18/2016	KRAUS, AMANDA	AM FUNDS NEW ECONOMY C	0.00	6.28	80.0	5.02	0.00	5.02
08/15/2016	KRAUS, AMANDA	AM FUNDS NEW ECONOMY C	0.00	6.61	80.0	5.29	0.00	5.29
09/16/2016	KRAUS, AMANDA	AM FUNDS NEW ECONOMY C	0.00	6.85	80.0	5.48	0.00	5.48
10/17/2016	KRAUS, AMANDA	AM FUNDS NEW ECONOMY C	0.00	6.66	80.0	5.33	0.00	5.33
11/18/2016	KRAUS, AMANDA	AM FUNDS NEW ECONOMY C	0.00	6.87	80.0	5.50	0.00	5.50
12/15/2016	KRAUS, AMANDA	AM FUNDS NEW ECONOMY C	0.00	6.59	80.0	5.27	0.00	5.27
02/16/2016	MORRIS, BLAKE	AM FUNDS NEW PERSPECTIVE A	0.00	2.62	80.0	2.10	0.00	2.10
02/16/2016	SWENSON, WALTER	AM FUNDS NEW PERSPECTIVE A	0.00	0.84	80.0	0.67	0.00	0.67
02/16/2016	LAYFIELD-ALBRITTON, KIMBERLY	AM FUNDS NEW PERSPECTIVE A	0.00	1.02	80.0	0.82	0.00	0.82
03/15/2016	MORRIS, BLAKE	AM FUNDS NEW PERSPECTIVE A	0.00	2.37	80.0	1.90	0.00	1.90
03/15/2016	SWENSON, WALTER	AM FUNDS NEW PERSPECTIVE A	0.00	0.76	80.0	0.61	0.00	0.61
03/15/2016	LAYFIELD-ALBRITTON, KIMBERLY	AM FUNDS NEW PERSPECTIVE A	0.00	0.92	80.0	0.74	0.00	0.74
04/20/2016	MORRIS, BLAKE	AM FUNDS NEW PERSPECTIVE A	0.00	2.69	80.0	2.15	0.00	2.15
04/20/2016	SWENSON, WALTER	AM FUNDS NEW PERSPECTIVE A	0.00	0.86	80.0	0.69	0.00	0.69
04/20/2016	LAYFIELD-ALBRITTON, KIMBERLY	AM FUNDS NEW PERSPECTIVE A	0.00	1.05	80.0	0.84	0.00	0.84
05/16/2016	MORRIS, BLAKE	AM FUNDS NEW PERSPECTIVE A	0.00	2.68	80.0	2.14	0.00	2.14
05/16/2016	SWENSON, WALTER	AM FUNDS NEW PERSPECTIVE A	0.00	0.86	80.0	0.69	0.00	0.69
05/16/2016	LAYFIELD-ALBRITTON, KIMBERLY	AM FUNDS NEW PERSPECTIVE A	0.00	1.04	80.0	0.83	0.00	0.83
06/15/2016	MORRIS, BLAKE	AM FUNDS NEW PERSPECTIVE A	0.00	2.74	80.0	2.19	0.00	2.19
06/15/2016	SWENSON, WALTER	AM FUNDS NEW PERSPECTIVE A	0.00	0.88	80.0	0.70	0.00	0.70
06/15/2016	LAYFIELD-ALBRITTON, KIMBERLY	AM FUNDS NEW PERSPECTIVE A	0.00	1.07	80.0	0.86	0.00	0.86
07/18/2016	MORRIS, BLAKE	AM FUNDS NEW PERSPECTIVE A	0.00	2.67	80.0	2.14	0.00	2.14
07/18/2016	SWENSON, WALTER	AM FUNDS NEW PERSPECTIVE A	0.00	0.85	80.0	0.68	0.00	0.68
07/18/2016	LAYFIELD-ALBRITTON, KIMBERLY	AM FUNDS NEW PERSPECTIVE A	0.00	1.04	80.0	0.83	0.00	0.83
08/15/2016	MORRIS, BLAKE	AM FUNDS NEW PERSPECTIVE A	0.00	1.53	80.0	1.22	0.00	1.22
08/15/2016	SWENSON, WALTER	AM FUNDS NEW PERSPECTIVE A	0.00	0.91	80.0	0.73	0.00	0.73
08/15/2016	LAYFIELD-ALBRITTON, KIMBERLY	AM FUNDS NEW PERSPECTIVE A	0.00	1.10	80.0	0.88	0.00	0.88
09/16/2016	SWENSON, WALTER	AM FUNDS NEW PERSPECTIVE A	0.00	0.93	80.0	0.74	0.00	0.74
09/16/2016	LAYFIELD-ALBRITTON, KIMBERLY	AM FUNDS NEW PERSPECTIVE A	0.00	1.13	80.0	0.90	0.00	0.90
10/17/2016	SWENSON, WALTER	AM FUNDS NEW PERSPECTIVE A	0.00	0.90	80.0	0.72	0.00	0.72

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
10/17/2016	LAYFIELD-ALBRITTON, KIMBERLY	AM FUNDS NEW PERSPECTIVE A	0.00	1.09	80.0	0.87	0.00	0.87
11/18/2016	SWENSON, WALTER	AM FUNDS NEW PERSPECTIVE A	0.00	0.92	80.0	0.74	0.00	0.74
11/18/2016	LAYFIELD-ALBRITTON, KIMBERLY	AM FUNDS NEW PERSPECTIVE A	0.00	1.12	80.0	0.90	0.00	0.90
12/15/2016	SWENSON, WALTER	AM FUNDS NEW PERSPECTIVE A	0.00	0.88	80.0	0.70	0.00	0.70
12/15/2016	LAYFIELD-ALBRITTON, KIMBERLY	AM FUNDS NEW PERSPECTIVE A	0.00	1.07	80.0	0.86	0.00	0.86
02/16/2016	DAILEY, TREVA	AM FUNDS WASHINGTON MUTUAL	0.00	1.86	80.0	1.49	0.00	1.49
02/16/2016	DAILEY, TREVA	AM FUNDS WASHINGTON MUTUAL	0.00	0.44	80.0	0.35	0.00	0.35
03/15/2016	DAILEY, TREVA	AM FUNDS WASHINGTON MUTUAL	0.00	2.15	80.0	1.72	0.00	1.72
04/20/2016	DAILEY, TREVA	AM FUNDS WASHINGTON MUTUAL	0.00	2.43	80.0	1.94	0.00	1.94
05/16/2016	DAILEY, TREVA	AM FUNDS WASHINGTON MUTUAL	0.00	2.40	80.0	1.92	0.00	1.92
06/15/2016	DAILEY, TREVA	AM FUNDS WASHINGTON MUTUAL	0.00	2.49	80.0	1.99	0.00	1.99
07/18/2016	DAILEY, TREVA	AM FUNDS WASHINGTON MUTUAL	0.00	2.43	80.0	1.94	0.00	1.94
08/15/2016	DAILEY, TREVA	AM FUNDS WASHINGTON MUTUAL	0.00	2.58	80.0	2.06	0.00	2.06
09/16/2016	DAILEY, TREVA	AM FUNDS WASHINGTON MUTUAL	0.00	2.61	80.0	2.09	0.00	2.09
10/17/2016	DAILEY, TREVA	AM FUNDS WASHINGTON MUTUAL	0.00	2.48	80.0	1.98	0.00	1.98
11/18/2016	DAILEY, TREVA	AM FUNDS WASHINGTON MUTUAL	0.00	2.55	80.0	2.04	0.00	2.04
12/15/2016	DAILEY, TREVA	AM FUNDS WASHINGTON MUTUAL	0.00	2.52	80.0	2.02	0.00	2.02
02/16/2016	LAYFIELD-ALBRITTON, KIMBERLY	FRANKLIN SMALL CAP GROWTH C	0.00	0.76	80.0	0.61	0.00	0.61
03/16/2016	LAYFIELD-ALBRITTON, KIMBERLY	FRANKLIN SMALL CAP GROWTH C	0.00	0.65	80.0	0.52	0.00	0.52
04/15/2016	LAYFIELD-ALBRITTON, KIMBERLY	FRANKLIN SMALL CAP GROWTH C	0.00	0.77	80.0	0.62	0.00	0.62
05/13/2016	LAYFIELD-ALBRITTON, KIMBERLY	FRANKLIN SMALL CAP GROWTH C	0.00	0.78	80.0	0.62	0.00	0.62
06/14/2016	LAYFIELD-ALBRITTON, KIMBERLY	FRANKLIN SMALL CAP GROWTH C	0.00	0.80	80.0	0.64	0.00	0.64
07/14/2016	LAYFIELD-ALBRITTON, KIMBERLY	FRANKLIN SMALL CAP GROWTH C	0.00	0.80	80.0	0.64	0.00	0.64
08/15/2016	LAYFIELD-ALBRITTON, KIMBERLY	FRANKLIN SMALL CAP GROWTH C	0.00	0.86	80.0	0.69	0.00	0.69
09/14/2016	LAYFIELD-ALBRITTON, KIMBERLY	FRANKLIN SMALL CAP GROWTH C	0.00	0.90	80.0	0.72	0.00	0.72
10/18/2016	LAYFIELD-ALBRITTON, KIMBERLY	FRANKLIN SMALL CAP GROWTH C	0.00	0.88	80.0	0.70	0.00	0.70
11/15/2016	LAYFIELD-ALBRITTON, KIMBERLY	FRANKLIN SMALL CAP GROWTH C	0.00	0.89	80.0	0.71	0.00	0.71
12/16/2016	LAYFIELD-ALBRITTON, KIMBERLY	FRANKLIN SMALL CAP GROWTH C	0.00	0.87	80.0	0.70	0.00	0.70
02/16/2016	ALLGIRE, ERNESTINE	FRANKLIN UTILITIES A	0.00	2.41	80.0	1.93	0.00	1.93
02/16/2016	LAWTON, E ANN	FRANKLIN UTILITIES A	0.00	2.91	80.0	2.33	0.00	2.33
02/16/2016	PAUL, MARY	FRANKLIN UTILITIES A	0.00	0.67	80.0	0.54	0.00	0.54
03/16/2016	ALLGIRE, ERNESTINE	FRANKLIN UTILITIES A	0.00	2.39	80.0	1.91	0.00	1.91
03/16/2016	LAWTON, E ANN	FRANKLIN UTILITIES A	0.00	2.88	80.0	2.30	0.00	2.30

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
03/16/2016	PAUL, MARY	FRANKLIN UTILITIES A	0.00	0.66	80.0	0.53	0.00	0.53
04/15/2016	ALLGIRE, ERNESTINE	FRANKLIN UTILITIES A	0.00	2.68	80.0	2.14	0.00	2.14
04/15/2016	LAWTON, E ANN	FRANKLIN UTILITIES A	0.00	3.24	80.0	2.59	0.00	2.59
04/15/2016	PAUL, MARY	FRANKLIN UTILITIES A	0.00	0.74	80.0	0.59	0.00	0.59
05/13/2016	ALLGIRE, ERNESTINE	FRANKLIN UTILITIES A	0.00	2.63	80.0	2.10	0.00	2.10
05/13/2016	LAWTON, E ANN	FRANKLIN UTILITIES A	0.00	3.18	80.0	2.54	0.00	2.54
05/13/2016	PAUL, MARY	FRANKLIN UTILITIES A	0.00	0.72	80.0	0.58	0.00	0.58
06/14/2016	ALLGIRE, ERNESTINE	FRANKLIN UTILITIES A	0.00	2.75	80.0	2.20	0.00	2.20
06/14/2016	LAWTON, E ANN	FRANKLIN UTILITIES A	0.00	3.32	80.0	2.66	0.00	2.66
06/14/2016	PAUL, MARY	FRANKLIN UTILITIES A	0.00	0.76	80.0	0.61	0.00	0.61
07/14/2016	ALLGIRE, ERNESTINE	FRANKLIN UTILITIES A	0.00	2.77	80.0	2.22	0.00	2.22
07/14/2016	LAWTON, E ANN	FRANKLIN UTILITIES A	0.00	3.34	80.0	2.67	0.00	2.67
07/14/2016	PAUL, MARY	FRANKLIN UTILITIES A	0.00	0.76	80.0	0.61	0.00	0.61
08/15/2016	ALLGIRE, ERNESTINE	FRANKLIN UTILITIES A	0.00	2.97	80.0	2.38	0.00	2.38
08/15/2016	LAWTON, E ANN	FRANKLIN UTILITIES A	0.00	3.58	80.0	2.86	0.00	2.86
08/15/2016	PAUL, MARY	FRANKLIN UTILITIES A	0.00	0.81	80.0	0.65	0.00	0.65
09/14/2016	ALLGIRE, ERNESTINE	FRANKLIN UTILITIES A	0.00	2.87	80.0	2.30	0.00	2.30
09/14/2016	LAWTON, E ANN	FRANKLIN UTILITIES A	0.00	3.46	80.0	2.77	0.00	2.77
09/14/2016	PAUL, MARY	FRANKLIN UTILITIES A	0.00	0.78	80.0	0.62	0.00	0.62
10/18/2016	ALLGIRE, ERNESTINE	FRANKLIN UTILITIES A	0.00	2.77	80.0	2.22	0.00	2.22
10/18/2016	LAWTON, E ANN	FRANKLIN UTILITIES A	0.00	3.34	80.0	2.67	0.00	2.67
10/18/2016	PAUL, MARY	FRANKLIN UTILITIES A	0.00	0.75	80.0	0.60	0.00	0.60
11/15/2016	ALLGIRE, ERNESTINE	FRANKLIN UTILITIES A	0.00	2.78	80.0	2.22	0.00	2.22
11/15/2016	LAWTON, E ANN	FRANKLIN UTILITIES A	0.00	3.36	80.0	2.69	0.00	2.69
11/15/2016	PAUL, MARY	FRANKLIN UTILITIES A	0.00	0.76	80.0	0.61	0.00	0.61
12/16/2016	ALLGIRE, ERNESTINE	FRANKLIN UTILITIES A	0.00	2.65	80.0	2.12	0.00	2.12
12/16/2016	LAWTON, E ANN	FRANKLIN UTILITIES A	0.00	3.20	80.0	2.56	0.00	2.56
12/16/2016	PAUL, MARY	FRANKLIN UTILITIES A	0.00	0.72	80.0	0.58	0.00	0.58
/ /	WHITETREE, THOMAS	GUGGENHEIM DOW 2X STRATEGY A	0.00	0.11	80.0	0.09	0.00	0.09
/ /	CASTLE, DAVID	GUGGENHEIM DOW 2X STRATEGY A	0.00	0.21	80.0	0.17	0.00	0.17
/ /	LIVELY, ELIZABETH	GUGGENHEIM DOW 2X STRATEGY A	0.00	0.18	80.0	0.14	0.00	0.14
/ /	LIVELY, DUSTIN	GUGGENHEIM DOW 2X STRATEGY A	0.00	0.18	80.0	0.14	0.00	0.14
/ /	HUNTER, TIMOTHY	GUGGENHEIM DOW 2X STRATEGY A	0.00	0.16	80.0	0.13	0.00	0.13

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
/ /	PUCKETT, CHERI	GUGGENHEIM DOW 2X STRATEGY A	0.00	0.24	80.0	0.19	0.00	0.19
/ /	HARRALD, DONALD	GUGGENHEIM DOW 2X STRATEGY A	0.00	0.07	80.0	0.06	0.00	0.06
/ /	SALLEE, MARY	GUGGENHEIM DOW 2X STRATEGY A	0.00	0.29	80.0	0.23	0.00	0.23
/ /	BACON, RICHARD	GUGGENHEIM GOV'T LONG BOND 1.2X	0.00	0.30	80.0	0.24	0.00	0.24
/ /	WHITETREE, THOMAS	GUGGENHEIM MID-CAP 1.5X STGY-A	0.00	0.05	80.0	0.04	0.00	0.04
/ /	CASTLE, DAVID	GUGGENHEIM MID-CAP 1.5X STGY-A	0.00	0.10	80.0	0.08	0.00	0.08
/ /	LIVELY, ELIZABETH	GUGGENHEIM MID-CAP 1.5X STGY-A	0.00	0.09	80.0	0.07	0.00	0.07
/ /	LIVELY, DUSTIN	GUGGENHEIM MID-CAP 1.5X STGY-A	0.00	0.09	80.0	0.07	0.00	0.07
/ /	HUNTER, TIMOTHY	GUGGENHEIM MID-CAP 1.5X STGY-A	0.00	0.08	80.0	0.06	0.00	0.06
/ /	PUCKETT, CHERI	GUGGENHEIM MID-CAP 1.5X STGY-A	0.00	0.12	80.0	0.10	0.00	0.10
/ /	HARRALD, DONALD	GUGGENHEIM MID-CAP 1.5X STGY-A	0.00	0.03	80.0	0.02	0.00	0.02
/ /	SALLEE, MARY	GUGGENHEIM MID-CAP 1.5X STGY-A	0.00	0.14	80.0	0.11	0.00	0.11
04/15/2016	MORRIS, BLAKE	IVY SMALL CAP GROWTH CLASS C	0.00	11.09	80.0	8.87	0.00	8.87
07/13/2016	MORRIS, BLAKE	IVY SMALL CAP GROWTH CLASS C	0.00	12.07	80.0	9.66	0.00	9.66
10/14/2016	MORRIS, BLAKE	IVY SMALL CAP GROWTH CLASS C	0.00	2.79	80.0	2.23	0.00	2.23
02/19/2016	HOWARD, CHARLOTTE	JH CORE HIGH YIELD A	0.00	1.11	80.0	0.89	0.00	0.89
03/18/2016	HOWARD, CHARLOTTE	JH CORE HIGH YIELD A	0.00	1.00	80.0	0.80	0.00	0.80
04/15/2016	HOWARD, CHARLOTTE	JH CORE HIGH YIELD A	0.00	1.14	80.0	0.91	0.00	0.91
05/23/2016	HOWARD, CHARLOTTE	JH CORE HIGH YIELD A	0.00	1.14	80.0	0.91	0.00	0.91
06/27/2016	HOWARD, CHARLOTTE	JH CORE HIGH YIELD A	0.00	0.39	80.0	0.31	0.00	0.31
02/22/2016	SMITH, BETTY	OPPENHEIMER DEVELOPING MARKETS C	0.00	1.70	80.0	1.36	0.00	1.36
02/22/2016	LAWTON, E ANN	OPPENHEIMER DEVELOPING MARKETS C	0.00	5.52	80.0	4.42	0.00	4.42
02/22/2016	MORRIS, BLAKE	OPPENHEIMER DEVELOPING MARKETS C	0.00	3.50	80.0	2.80	0.00	2.80
02/22/2016	KRAUS, TIM	OPPENHEIMER DEVELOPING MARKETS C	0.00	7.76	80.0	6.21	0.00	6.21
03/17/2016	SMITH, BETTY	OPPENHEIMER DEVELOPING MARKETS C	0.00	1.57	80.0	1.26	0.00	1.26
03/17/2016	LAWTON, E ANN	OPPENHEIMER DEVELOPING MARKETS C	0.00	5.10	80.0	4.08	0.00	4.08
03/17/2016	MORRIS, BLAKE	OPPENHEIMER DEVELOPING MARKETS C	0.00	3.23	80.0	2.58	0.00	2.58
03/17/2016	KRAUS, TIM	OPPENHEIMER DEVELOPING MARKETS C	0.00	7.17	80.0	5.74	0.00	5.74
04/21/2016	SMITH, BETTY	OPPENHEIMER DEVELOPING MARKETS C	0.00	1.84	80.0	1.47	0.00	1.47
04/21/2016	LAWTON, E ANN	OPPENHEIMER DEVELOPING MARKETS C	0.00	5.96	80.0	4.77	0.00	4.77
04/21/2016	MORRIS, BLAKE	OPPENHEIMER DEVELOPING MARKETS C	0.00	3.78	80.0	3.02	0.00	3.02
04/21/2016	KRAUS, TIM	OPPENHEIMER DEVELOPING MARKETS C	0.00	8.39	80.0	6.71	0.00	6.71
05/19/2016	SMITH, BETTY	OPPENHEIMER DEVELOPING MARKETS C	0.00	1.83	80.0	1.46	0.00	1.46

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	RATE	NET COMMISSION	CLEARING CHARGE	BROKER COMMISSION
<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
05/19/2016	LAWTON, E ANN	OPPENHEIMER DEVELOPING MARKETS C	0.00	5.93	80.0	4.74	0.00	4.74
05/19/2016	MORRIS, BLAKE	OPPENHEIMER DEVELOPING MARKETS C	0.00	3.76	80.0	3.01	0.00	3.01
05/19/2016	KRAUS, TIM	OPPENHEIMER DEVELOPING MARKETS C	0.00	8.33	80.0	6.66	0.00	6.66
06/30/2016	SMITH, BETTY	OPPENHEIMER DEVELOPING MARKETS C	0.00	1.85	80.0	1.48	0.00	1.48
06/30/2016	LAWTON, E ANN	OPPENHEIMER DEVELOPING MARKETS C	0.00	5.99	80.0	4.79	0.00	4.79
06/30/2016	MORRIS, BLAKE	OPPENHEIMER DEVELOPING MARKETS C	0.00	3.80	80.0	3.04	0.00	3.04
06/30/2016	KRAUS, TIM	OPPENHEIMER DEVELOPING MARKETS C	0.00	8.43	80.0	6.74	0.00	6.74
07/18/2016	SMITH, BETTY	OPPENHEIMER DEVELOPING MARKETS C	0.00	1.80	80.0	1.44	0.00	1.44
07/18/2016	LAWTON, E ANN	OPPENHEIMER DEVELOPING MARKETS C	0.00	5.85	80.0	4.68	0.00	4.68
07/18/2016	MORRIS, BLAKE	OPPENHEIMER DEVELOPING MARKETS C	0.00	3.71	80.0	2.97	0.00	2.97
07/18/2016	KRAUS, TIM	OPPENHEIMER DEVELOPING MARKETS C	0.00	8.22	80.0	6.58	0.00	6.58
08/24/2016	SMITH, BETTY	OPPENHEIMER DEVELOPING MARKETS C	0.00	1.93	80.0	1.54	0.00	1.54
08/24/2016	LAWTON, E ANN	OPPENHEIMER DEVELOPING MARKETS C	0.00	6.28	80.0	5.02	0.00	5.02
08/24/2016	MORRIS, BLAKE	OPPENHEIMER DEVELOPING MARKETS C	0.00	2.55	80.0	2.04	0.00	2.04
08/24/2016	KRAUS, TIM	OPPENHEIMER DEVELOPING MARKETS C	0.00	8.82	80.0	7.06	0.00	7.06
09/22/2016	SMITH, BETTY	OPPENHEIMER DEVELOPING MARKETS C	0.00	2.01	80.0	1.61	0.00	1.61
09/22/2016	LAWTON, E ANN	OPPENHEIMER DEVELOPING MARKETS C	0.00	6.52	80.0	5.22	0.00	5.22
09/22/2016	KRAUS, TIM	OPPENHEIMER DEVELOPING MARKETS C	0.00	9.17	80.0	7.34	0.00	7.34
10/21/2016	SMITH, BETTY	OPPENHEIMER DEVELOPING MARKETS C	0.00	1.98	80.0	1.58	0.00	1.58
10/21/2016	LAWTON, E ANN	OPPENHEIMER DEVELOPING MARKETS C	0.00	6.43	80.0	5.14	0.00	5.14
10/21/2016	KRAUS, TIM	OPPENHEIMER DEVELOPING MARKETS C	0.00	9.05	80.0	7.24	0.00	7.24
11/21/2016	SMITH, BETTY	OPPENHEIMER DEVELOPING MARKETS C	0.00	2.07	80.0	1.66	0.00	1.66
11/21/2016	LAWTON, E ANN	OPPENHEIMER DEVELOPING MARKETS C	0.00	6.72	80.0	5.38	0.00	5.38
11/21/2016	KRAUS, TIM	OPPENHEIMER DEVELOPING MARKETS C	0.00	9.45	80.0	7.56	0.00	7.56
12/19/2016	SMITH, BETTY	OPPENHEIMER DEVELOPING MARKETS C	0.00	0.07	80.0	0.06	0.00	0.06
12/19/2016	LAWTON, E ANN	OPPENHEIMER DEVELOPING MARKETS C	0.00	6.16	80.0	4.93	0.00	4.93
12/19/2016	KRAUS, TIM	OPPENHEIMER DEVELOPING MARKETS C	0.00	8.66	80.0	6.93	0.00	6.93
02/22/2016	REEVES, KATHLEEN	PIMCO EQS DIVIDEND FUND CLASS A	0.00	1.21	80.0	0.97	0.00	0.97
03/11/2016	REEVES, KATHLEEN	PIMCO EQS DIVIDEND FUND CLASS A	0.00	1.11	80.0	0.89	0.00	0.89
04/20/2016	REEVES, KATHLEEN	PIMCO EQS DIVIDEND FUND CLASS A	0.00	1.27	80.0	1.02	0.00	1.02
05/18/2016	REEVES, KATHLEEN	PIMCO EQS DIVIDEND FUND CLASS A	0.00	1.26	80.0	1.01	0.00	1.01
06/16/2016	REEVES, KATHLEEN	PIMCO EQS DIVIDEND FUND CLASS A	0.00	1.29	80.0	1.03	0.00	1.03
07/15/2016	REEVES, KATHLEEN	PIMCO EQS DIVIDEND FUND CLASS A	0.00	1.25	80.0	1.00	0.00	1.00

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
08/12/2016	REEVES, KATHLEEN	PIMCO EQS DIVIDEND FUND CLASS A	0.00	1.34	80.0	1.07	0.00	1.07
09/15/2016	REEVES, KATHLEEN	PIMCO EQS DIVIDEND FUND CLASS A	0.00	1.05	80.0	0.84	0.00	0.84
02/22/2016	MORRIS, BLAKE	PIMCO FUNDAMENTAL INDEXPLUS AR	0.00	1.14	80.0	0.91	0.00	0.91
03/11/2016	MORRIS, BLAKE	PIMCO FUNDAMENTAL INDEXPLUS AR	0.00	1.04	80.0	0.83	0.00	0.83
04/20/2016	MORRIS, BLAKE	PIMCO FUNDAMENTAL INDEXPLUS AR	0.00	1.21	80.0	0.97	0.00	0.97
05/18/2016	MORRIS, BLAKE	PIMCO FUNDAMENTAL INDEXPLUS AR	0.00	1.22	80.0	0.98	0.00	0.98
06/16/2016	MORRIS, BLAKE	PIMCO FUNDAMENTAL INDEXPLUS AR	0.00	1.26	80.0	1.01	0.00	1.01
07/15/2016	MORRIS, BLAKE	PIMCO FUNDAMENTAL INDEXPLUS AR	0.00	1.23	80.0	0.98	0.00	0.98
08/12/2016	MORRIS, BLAKE	PIMCO FUNDAMENTAL INDEXPLUS AR	0.00	0.85	80.0	0.68	0.00	0.68
02/22/2016	MORRIS, BLAKE	PIMCO STOCKPLUS TOTAL RETURN A	0.00	1.08	80.0	0.86	0.00	0.86
03/11/2016	MORRIS, BLAKE	PIMCO STOCKPLUS TOTAL RETURN A	0.00	0.99	80.0	0.79	0.00	0.79
04/20/2016	MORRIS, BLAKE	PIMCO STOCKPLUS TOTAL RETURN A	0.00	1.14	80.0	0.91	0.00	0.91
05/18/2016	MORRIS, BLAKE	PIMCO STOCKPLUS TOTAL RETURN A	0.00	1.14	80.0	0.91	0.00	0.91
06/16/2016	MORRIS, BLAKE	PIMCO STOCKPLUS TOTAL RETURN A	0.00	1.18	80.0	0.94	0.00	0.94
07/15/2016	MORRIS, BLAKE	PIMCO STOCKPLUS TOTAL RETURN A	0.00	1.15	80.0	0.92	0.00	0.92
08/12/2016	MORRIS, BLAKE	PIMCO STOCKPLUS TOTAL RETURN A	0.00	0.79	80.0	0.63	0.00	0.63
10/11/2016	STANFORD, DAVID	POWER DIVIDEND INDEX FUND CLASS C	0.00	15.81	80.0	12.65	0.00	12.65
10/11/2016	CASTLE, DAVID	POWER DIVIDEND INDEX FUND CLASS C	0.00	7.59	80.0	6.07	0.00	6.07
10/11/2016	MICHENER, DAVID	POWER DIVIDEND INDEX FUND CLASS C	0.00	10.82	80.0	8.66	0.00	8.66
10/11/2016	ACOSTA, ANNA	POWER DIVIDEND INDEX FUND CLASS C	0.00	15.17	80.0	12.14	0.00	12.14
10/11/2016	HERNDON, RONALD	POWER DIVIDEND INDEX FUND CLASS C	0.00	3.79	80.0	3.03	0.00	3.03
10/11/2016	WILSON, TIM	POWER DIVIDEND INDEX FUND CLASS C	0.00	7.59	80.0	6.07	0.00	6.07
10/11/2016	TREADWAY, TOMMY	POWER DIVIDEND INDEX FUND CLASS C	0.00	6.07	80.0	4.86	0.00	4.86
11/10/2016	STANFORD, DAVID	POWER DIVIDEND INDEX FUND CLASS C	0.00	16.75	80.0	13.40	0.00	13.40
11/10/2016	CASTLE, DAVID	POWER DIVIDEND INDEX FUND CLASS C	0.00	8.32	80.0	6.66	0.00	6.66
11/10/2016	ACOSTA, ANNA	POWER DIVIDEND INDEX FUND CLASS C	0.00	16.65	80.0	13.32	0.00	13.32
11/10/2016	HERNDON, RONALD	POWER DIVIDEND INDEX FUND CLASS C	0.00	4.16	80.0	3.33	0.00	3.33
11/10/2016	WILSON, TIM	POWER DIVIDEND INDEX FUND CLASS C	0.00	8.32	80.0	6.66	0.00	6.66
11/10/2016	TREADWAY, TOMMY	POWER DIVIDEND INDEX FUND CLASS C	0.00	6.66	80.0	5.33	0.00	5.33
12/12/2016	STANFORD, DAVID	POWER DIVIDEND INDEX FUND CLASS C	0.00	16.30	80.0	13.04	0.00	13.04
12/12/2016	CASTLE, DAVID	POWER DIVIDEND INDEX FUND CLASS C	0.00	10.21	80.0	8.17	0.00	8.17
12/12/2016	ACOSTA, ANNA	POWER DIVIDEND INDEX FUND CLASS C	0.00	16.20	80.0	12.96	0.00	12.96
12/12/2016	HERNDON, RONALD	POWER DIVIDEND INDEX FUND CLASS C	0.00	4.05	80.0	3.24	0.00	3.24

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
12/12/2016	WILSON, TIM	POWER DIVIDEND INDEX FUND CLASS C	0.00	8.10	80.0	6.48	0.00	6.48
12/12/2016	REEVES, KATHLEEN	POWER DIVIDEND INDEX FUND CLASS C	0.00	3.33	80.0	2.66	0.00	2.66
12/12/2016	TREADWAY, TOMMY	POWER DIVIDEND INDEX FUND CLASS C	0.00	8.06	80.0	6.45	0.00	6.45
/ /	CASTLE, DAVID	RETAILING - A	0.00	0.01	80.0	0.01	0.00	0.01
/ /	LIVELY, ELIZABETH	RETAILING - A	0.00	0.01	80.0	0.01	0.00	0.01
/ /	LIVELY, DUSTIN	RETAILING - A	0.00	0.01	80.0	0.01	0.00	0.01
/ /	HUNTER, TIMOTHY	RETAILING - A	0.00	0.01	80.0	0.01	0.00	0.01
/ /	PUCKETT, CHERI	RETAILING - A	0.00	0.01	80.0	0.01	0.00	0.01
/ /	SALLEE, MARY	RETAILING - A	0.00	0.01	80.0	0.01	0.00	0.01
/ /	BACON-HILL, MICHELE	RETAILING-C	0.00	0.01	80.0	0.01	0.00	0.01
/ /	TREADWAY, PAMELA	RETAILING-C	0.00	0.02	80.0	0.02	0.00	0.02
/ /	DOWNING, JOHN	RETAILING-C	0.00	0.12	80.0	0.10	0.00	0.10
/ /	ACOSTA, JF	RETAILING-C	0.00	0.01	80.0	0.01	0.00	0.01
/ /	BENSON, KARLA	RETAILING-C	0.00	0.01	80.0	0.01	0.00	0.01
/ /	VOCI, ROBERTO	RETAILING-C	0.00	0.08	80.0	0.06	0.00	0.06
/ /	POTTER, G	RETAILING-C	0.00	0.01	80.0	0.01	0.00	0.01
/ /	POTTER, RK	RETAILING-C	0.00	0.01	80.0	0.01	0.00	0.01
/ /	HOLMAN, KENLEE	RETAILING-C	0.00	0.01	80.0	0.01	0.00	0.01
/ /	HOLMAN, MEEGAN	RETAILING-C	0.00	0.02	80.0	0.02	0.00	0.02
/ /	ROLLINS, LISA	RYDEX DOW 2X STRATEGY C	0.00	0.04	80.0	0.03	0.00	0.03
/ /	BACON-HILL, MICHELE	RYDEX DOW 2X STRATEGY C	0.00	0.23	80.0	0.18	0.00	0.18
/ /	TREADWAY, PAMELA	RYDEX DOW 2X STRATEGY C	0.00	0.69	80.0	0.55	0.00	0.55
/ /	MORIELS, FELICIA	RYDEX DOW 2X STRATEGY C	0.00	0.01	80.0	0.01	0.00	0.01
/ /	DOWNING, JOHN	RYDEX DOW 2X STRATEGY C	0.00	3.76	80.0	3.01	0.00	3.01
/ /	ACOSTA, JF	RYDEX DOW 2X STRATEGY C	0.00	0.25	80.0	0.20	0.00	0.20
/ /	BENSON, KARLA	RYDEX DOW 2X STRATEGY C	0.00	0.20	80.0	0.16	0.00	0.16
/ /	VOCI, ROBERTO	RYDEX DOW 2X STRATEGY C	0.00	2.21	80.0	1.77	0.00	1.77
/ /	WRIGHT, MARK	RYDEX DOW 2X STRATEGY C	0.00	0.03	80.0	0.02	0.00	0.02
/ /	POTTER, G	RYDEX DOW 2X STRATEGY C	0.00	0.27	80.0	0.22	0.00	0.22
/ /	POTTER, RK	RYDEX DOW 2X STRATEGY C	0.00	0.26	80.0	0.21	0.00	0.21
/ /	HOLMAN, KENLEE	RYDEX DOW 2X STRATEGY C	0.00	0.15	80.0	0.12	0.00	0.12
/ /	HOLMAN, MEEGAN	RYDEX DOW 2X STRATEGY C	0.00	0.50	80.0	0.40	0.00	0.40
/ /	BACON, RICHARD	RYDEX GUGG DYNAMIC RUSSELL 2000 C	0.00	0.36	80.0	0.29	0.00	0.29

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
/ /	WHITETREE, THOMAS	RYDEX GUGG ELECTRONICS A	0.00	0.06	80.0	0.05	0.00	0.05
/ /	CASTLE, DAVID	RYDEX GUGG ELECTRONICS A	0.00	0.13	80.0	0.10	0.00	0.10
/ /	LIVELY, ELIZABETH	RYDEX GUGG ELECTRONICS A	0.00	0.11	80.0	0.09	0.00	0.09
/ /	LIVELY, DUSTIN	RYDEX GUGG ELECTRONICS A	0.00	0.11	80.0	0.09	0.00	0.09
/ /	HUNTER, TIMOTHY	RYDEX GUGG ELECTRONICS A	0.00	0.10	80.0	0.08	0.00	0.08
/ /	PUCKETT, CHERI	RYDEX GUGG ELECTRONICS A	0.00	0.14	80.0	0.11	0.00	0.11
/ /	HARRALD, DONALD	RYDEX GUGG ELECTRONICS A	0.00	0.04	80.0	0.03	0.00	0.03
/ /	SALLEE, MARY	RYDEX GUGG ELECTRONICS A	0.00	0.18	80.0	0.14	0.00	0.14
/ /	ROLLINS, LISA	RYDEX GUGG ELECTRONICS C	0.00	0.03	80.0	0.02	0.00	0.02
/ /	BACON-HILL, MICHELE	RYDEX GUGG ELECTRONICS C	0.00	0.14	80.0	0.11	0.00	0.11
/ /	TREADWAY, PAMELA	RYDEX GUGG ELECTRONICS C	0.00	0.42	80.0	0.34	0.00	0.34
/ /	DOWNING, JOHN	RYDEX GUGG ELECTRONICS C	0.00	2.50	80.0	2.00	0.00	2.00
/ /	ACOSTA, JF	RYDEX GUGG ELECTRONICS C	0.00	0.16	80.0	0.13	0.00	0.13
/ /	BENSON, KARLA	RYDEX GUGG ELECTRONICS C	0.00	0.12	80.0	0.10	0.00	0.10
/ /	VOCI, ROBERTO	RYDEX GUGG ELECTRONICS C	0.00	1.36	80.0	1.09	0.00	1.09
/ /	WRIGHT, MARK	RYDEX GUGG ELECTRONICS C	0.00	0.02	80.0	0.02	0.00	0.02
/ /	POTTER, G	RYDEX GUGG ELECTRONICS C	0.00	0.16	80.0	0.13	0.00	0.13
/ /	POTTER, RK	RYDEX GUGG ELECTRONICS C	0.00	0.16	80.0	0.13	0.00	0.13
/ /	BACON, RICHARD	RYDEX GUGG ELECTRONICS C	0.00	0.31	80.0	0.25	0.00	0.25
/ /	HOLMAN, KENLEE	RYDEX GUGG ELECTRONICS C	0.00	0.09	80.0	0.07	0.00	0.07
/ /	HOLMAN, MEEGAN	RYDEX GUGG ELECTRONICS C	0.00	0.31	80.0	0.25	0.00	0.25
/ /	ROLLINS, LISA	RYDEX GUGG NASDAQ 100 2X STRATEGY	0.00	0.04	80.0	0.03	0.00	0.03
/ /	BACON-HILL, MICHELE	RYDEX GUGG NASDAQ 100 2X STRATEGY	0.00	0.20	80.0	0.16	0.00	0.16
/ /	TREADWAY, PAMELA	RYDEX GUGG NASDAQ 100 2X STRATEGY	0.00	0.59	80.0	0.47	0.00	0.47
/ /	MORIELS, FELICIA	RYDEX GUGG NASDAQ 100 2X STRATEGY	0.00	0.01	80.0	0.01	0.00	0.01
/ /	DOWNING, JOHN	RYDEX GUGG NASDAQ 100 2X STRATEGY	0.00	2.87	80.0	2.30	0.00	2.30
/ /	ACOSTA, JF	RYDEX GUGG NASDAQ 100 2X STRATEGY	0.00	0.22	80.0	0.18	0.00	0.18
/ /	BENSON, KARLA	RYDEX GUGG NASDAQ 100 2X STRATEGY	0.00	0.17	80.0	0.14	0.00	0.14
/ /	VOCI, ROBERTO	RYDEX GUGG NASDAQ 100 2X STRATEGY	0.00	1.91	80.0	1.53	0.00	1.53
/ /	WRIGHT, MARK	RYDEX GUGG NASDAQ 100 2X STRATEGY	0.00	0.03	80.0	0.02	0.00	0.02
/ /	POTTER, G	RYDEX GUGG NASDAQ 100 2X STRATEGY	0.00	0.23	80.0	0.18	0.00	0.18
/ /	POTTER, RK	RYDEX GUGG NASDAQ 100 2X STRATEGY	0.00	0.22	80.0	0.18	0.00	0.18
/ /	BACON, RICHARD	RYDEX GUGG NASDAQ 100 2X STRATEGY	0.00	1.63	80.0	1.30	0.00	1.30

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	RATE	NET COMMISSION	CLEARING CHARGE	BROKER COMMISSION
<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
/ /	HOLMAN, KENLEE	RYDEX GUGG NASDAQ 100 2X STRATEGY	0.00	0.13	80.0	0.10	0.00	0.10
/ /	HOLMAN, MEEGAN	RYDEX GUGG NASDAQ 100 2X STRATEGY	0.00	0.43	80.0	0.34	0.00	0.34
/ /	BACON-HILL, MICHELE	RYDEX GUGG TELECOMMUNICATIONS C	0.00	0.01	80.0	0.01	0.00	0.01
/ /	TREADWAY, PAMELA	RYDEX GUGG TELECOMMUNICATIONS C	0.00	0.02	80.0	0.02	0.00	0.02
/ /	DOWNING, JOHN	RYDEX GUGG TELECOMMUNICATIONS C	0.00	0.10	80.0	0.08	0.00	0.08
/ /	ACOSTA, JF	RYDEX GUGG TELECOMMUNICATIONS C	0.00	0.01	80.0	0.01	0.00	0.01
/ /	BENSON, KARLA	RYDEX GUGG TELECOMMUNICATIONS C	0.00	0.01	80.0	0.01	0.00	0.01
/ /	VOCI, ROBERTO	RYDEX GUGG TELECOMMUNICATIONS C	0.00	0.06	80.0	0.05	0.00	0.05
/ /	POTTER, G	RYDEX GUGG TELECOMMUNICATIONS C	0.00	0.01	80.0	0.01	0.00	0.01
/ /	POTTER, RK	RYDEX GUGG TELECOMMUNICATIONS C	0.00	0.01	80.0	0.01	0.00	0.01
/ /	HOLMAN, MEEGAN	RYDEX GUGG TELECOMMUNICATIONS C	0.00	0.01	80.0	0.01	0.00	0.01
/ /	WHITETREE, THOMAS	RYDEX GUGG TITAN 500 A	0.00	0.07	80.0	0.06	0.00	0.06
/ /	CASTLE, DAVID	RYDEX GUGG TITAN 500 A	0.00	0.13	80.0	0.10	0.00	0.10
/ /	LIVELY, ELIZABETH	RYDEX GUGG TITAN 500 A	0.00	0.11	80.0	0.09	0.00	0.09
/ /	LIVELY, DUSTIN	RYDEX GUGG TITAN 500 A	0.00	0.11	80.0	0.09	0.00	0.09
/ /	HUNTER, TIMOTHY	RYDEX GUGG TITAN 500 A	0.00	0.10	80.0	0.08	0.00	0.08
/ /	PUCKETT, CHERI	RYDEX GUGG TITAN 500 A	0.00	0.15	80.0	0.12	0.00	0.12
/ /	HARRALD, DONALD	RYDEX GUGG TITAN 500 A	0.00	0.04	80.0	0.03	0.00	0.03
/ /	SALLEE, MARY	RYDEX GUGG TITAN 500 A	0.00	0.19	80.0	0.15	0.00	0.15
/ /	WHITETREE, THOMAS	RYDEX GUGG VELOCITY 100 A	0.00	0.09	80.0	0.07	0.00	0.07
/ /	CASTLE, DAVID	RYDEX GUGG VELOCITY 100 A	0.00	0.18	80.0	0.14	0.00	0.14
/ /	LIVELY, ELIZABETH	RYDEX GUGG VELOCITY 100 A	0.00	0.15	80.0	0.12	0.00	0.12
/ /	LIVELY, DUSTIN	RYDEX GUGG VELOCITY 100 A	0.00	0.15	80.0	0.12	0.00	0.12
/ /	HUNTER, TIMOTHY	RYDEX GUGG VELOCITY 100 A	0.00	0.14	80.0	0.11	0.00	0.11
/ /	PUCKETT, CHERI	RYDEX GUGG VELOCITY 100 A	0.00	0.20	80.0	0.16	0.00	0.16
/ /	HARRALD, DONALD	RYDEX GUGG VELOCITY 100 A	0.00	0.06	80.0	0.05	0.00	0.05
/ /	SALLEE, MARY	RYDEX GUGG VELOCITY 100 A	0.00	0.25	80.0	0.20	0.00	0.20
/ /	KINNEY, ERICK	RYDEX GUGGENHEIM NASDAQ-100-A	0.00	0.34	80.0	0.27	0.00	0.27
/ /	ROLLINS, LISA	RYDEX JAPAN 2X STRATEGY C	0.00	0.02	80.0	0.02	0.00	0.02
/ /	BACON-HILL, MICHELE	RYDEX JAPAN 2X STRATEGY C	0.00	0.10	80.0	0.08	0.00	0.08
/ /	TREADWAY, PAMELA	RYDEX JAPAN 2X STRATEGY C	0.00	0.29	80.0	0.23	0.00	0.23
/ /	DOWNING, JOHN	RYDEX JAPAN 2X STRATEGY C	0.00	1.50	80.0	1.20	0.00	1.20
/ /	ACOSTA, JF	RYDEX JAPAN 2X STRATEGY C	0.00	0.11	80.0	0.09	0.00	0.09

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	RATE	NET COMMISSION	CLEARING CHARGE	BROKER COMMISSION
<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
/ /	BENSON, KARLA	RYDEX JAPAN 2X STRATEGY C	0.00	0.08	80.0	0.06	0.00	0.06
/ /	VOCI, ROBERTO	RYDEX JAPAN 2X STRATEGY C	0.00	0.93	80.0	0.74	0.00	0.74
/ /	WRIGHT, MARK	RYDEX JAPAN 2X STRATEGY C	0.00	0.01	80.0	0.01	0.00	0.01
/ /	POTTER, G	RYDEX JAPAN 2X STRATEGY C	0.00	0.11	80.0	0.09	0.00	0.09
/ /	POTTER, RK	RYDEX JAPAN 2X STRATEGY C	0.00	0.11	80.0	0.09	0.00	0.09
/ /	BACON, RICHARD	RYDEX JAPAN 2X STRATEGY C	0.00	0.38	80.0	0.30	0.00	0.30
/ /	HOLMAN, KENLEE	RYDEX JAPAN 2X STRATEGY C	0.00	0.06	80.0	0.05	0.00	0.05
/ /	HOLMAN, MEEGAN	RYDEX JAPAN 2X STRATEGY C	0.00	0.21	80.0	0.17	0.00	0.17
/ /	WHITETREE, THOMAS	RYDEX JAPAN 2X STRATEGY H	0.00	0.04	80.0	0.03	0.00	0.03
/ /	CASTLE, DAVID	RYDEX JAPAN 2X STRATEGY H	0.00	0.09	80.0	0.07	0.00	0.07
/ /	LIVELY, ELIZABETH	RYDEX JAPAN 2X STRATEGY H	0.00	0.07	80.0	0.06	0.00	0.06
/ /	LIVELY, DUSTIN	RYDEX JAPAN 2X STRATEGY H	0.00	0.07	80.0	0.06	0.00	0.06
/ /	HUNTER, TIMOTHY	RYDEX JAPAN 2X STRATEGY H	0.00	0.07	80.0	0.06	0.00	0.06
/ /	PUCKETT, CHERI	RYDEX JAPAN 2X STRATEGY H	0.00	0.10	80.0	0.08	0.00	0.08
/ /	HARRALD, DONALD	RYDEX JAPAN 2X STRATEGY H	0.00	0.03	80.0	0.02	0.00	0.02
/ /	SALLEE, MARY	RYDEX JAPAN 2X STRATEGY H	0.00	0.12	80.0	0.10	0.00	0.10
/ /	ROLLINS, LISA	RYDEX MID CAP 1.5X STRATEGY C	0.00	0.02	80.0	0.02	0.00	0.02
/ /	BACON-HILL, MICHELE	RYDEX MID CAP 1.5X STRATEGY C	0.00	0.11	80.0	0.09	0.00	0.09
/ /	TREADWAY, PAMELA	RYDEX MID CAP 1.5X STRATEGY C	0.00	0.34	80.0	0.27	0.00	0.27
/ /	DOWNING, JOHN	RYDEX MID CAP 1.5X STRATEGY C	0.00	2.09	80.0	1.67	0.00	1.67
/ /	ACOSTA, JF	RYDEX MID CAP 1.5X STRATEGY C	0.00	0.13	80.0	0.10	0.00	0.10
/ /	BENSON, KARLA	RYDEX MID CAP 1.5X STRATEGY C	0.00	0.10	80.0	0.08	0.00	0.08
/ /	VOCI, ROBERTO	RYDEX MID CAP 1.5X STRATEGY C	0.00	1.10	80.0	0.88	0.00	0.88
/ /	WRIGHT, MARK	RYDEX MID CAP 1.5X STRATEGY C	0.00	0.02	80.0	0.02	0.00	0.02
/ /	POTTER, G	RYDEX MID CAP 1.5X STRATEGY C	0.00	0.13	80.0	0.10	0.00	0.10
/ /	POTTER, RK	RYDEX MID CAP 1.5X STRATEGY C	0.00	0.13	80.0	0.10	0.00	0.10
/ /	HOLMAN, KENLEE	RYDEX MID CAP 1.5X STRATEGY C	0.00	0.08	80.0	0.06	0.00	0.06
/ /	HOLMAN, MEEGAN	RYDEX MID CAP 1.5X STRATEGY C	0.00	0.25	80.0	0.20	0.00	0.20
/ /	ROLLINS, LISA	RYDEX MONTHLY REBAL NASDAQ100 2X	0.00	0.02	80.0	0.02	0.00	0.02
/ /	BACON-HILL, MICHELE	RYDEX MONTHLY REBAL NASDAQ100 2X	0.00	0.10	80.0	0.08	0.00	0.08
/ /	TREADWAY, PAMELA	RYDEX MONTHLY REBAL NASDAQ100 2X	0.00	0.30	80.0	0.24	0.00	0.24
/ /	DOWNING, JOHN	RYDEX MONTHLY REBAL NASDAQ100 2X	0.00	1.37	80.0	1.10	0.00	1.10
/ /	ACOSTA, JF	RYDEX MONTHLY REBAL NASDAQ100 2X	0.00	0.11	80.0	0.09	0.00	0.09

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	RATE	NET COMMISSION	CLEARING CHARGE	BROKER COMMISSION
<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
/ /	BENSON, KARLA	RYDEX MONTHLY REBAL NASDAQ100 2X	0.00	0.09	80.0	0.07	0.00	0.07
/ /	VOCI, ROBERTO	RYDEX MONTHLY REBAL NASDAQ100 2X	0.00	0.95	80.0	0.76	0.00	0.76
/ /	WRIGHT, MARK	RYDEX MONTHLY REBAL NASDAQ100 2X	0.00	0.01	80.0	0.01	0.00	0.01
/ /	POTTER, G	RYDEX MONTHLY REBAL NASDAQ100 2X	0.00	0.11	80.0	0.09	0.00	0.09
/ /	POTTER, RK	RYDEX MONTHLY REBAL NASDAQ100 2X	0.00	0.11	80.0	0.09	0.00	0.09
/ /	BACON, RICHARD	RYDEX MONTHLY REBAL NASDAQ100 2X	0.00	0.42	80.0	0.34	0.00	0.34
/ /	HOLMAN, KENLEE	RYDEX MONTHLY REBAL NASDAQ100 2X	0.00	0.07	80.0	0.06	0.00	0.06
/ /	HOLMAN, MEEGAN	RYDEX MONTHLY REBAL NASDAQ100 2X	0.00	0.22	80.0	0.18	0.00	0.18
/ /	WHITETREE, THOMAS	RYDEX MONTHLY REBAL NASDAQ100 2X	0.00	0.05	80.0	0.04	0.00	0.04
/ /	CASTLE, DAVID	RYDEX MONTHLY REBAL NASDAQ100 2X	0.00	0.09	80.0	0.07	0.00	0.07
/ /	LIVELY, ELIZABETH	RYDEX MONTHLY REBAL NASDAQ100 2X	0.00	0.08	80.0	0.06	0.00	0.06
/ /	LIVELY, DUSTIN	RYDEX MONTHLY REBAL NASDAQ100 2X	0.00	0.08	80.0	0.06	0.00	0.06
/ /	HUNTER, TIMOTHY	RYDEX MONTHLY REBAL NASDAQ100 2X	0.00	0.07	80.0	0.06	0.00	0.06
/ /	PUCKETT, CHERI	RYDEX MONTHLY REBAL NASDAQ100 2X	0.00	0.10	80.0	0.08	0.00	0.08
/ /	HARRALD, DONALD	RYDEX MONTHLY REBAL NASDAQ100 2X	0.00	0.03	80.0	0.02	0.00	0.02
/ /	SALLEE, MARY	RYDEX MONTHLY REBAL NASDAQ100 2X	0.00	0.12	80.0	0.10	0.00	0.10
/ /	ROLLINS, LISA	RYDEX S&P 500 2X STRATEGY FUND C	0.00	0.03	80.0	0.02	0.00	0.02
/ /	BACON-HILL, MICHELE	RYDEX S&P 500 2X STRATEGY FUND C	0.00	0.15	80.0	0.12	0.00	0.12
/ /	TREADWAY, PAMELA	RYDEX S&P 500 2X STRATEGY FUND C	0.00	0.44	80.0	0.35	0.00	0.35
/ /	DOWNING, JOHN	RYDEX S&P 500 2X STRATEGY FUND C	0.00	2.42	80.0	1.94	0.00	1.94
/ /	ACOSTA, JF	RYDEX S&P 500 2X STRATEGY FUND C	0.00	0.16	80.0	0.13	0.00	0.13
/ /	BENSON, KARLA	RYDEX S&P 500 2X STRATEGY FUND C	0.00	0.13	80.0	0.10	0.00	0.10
/ /	VOCI, ROBERTO	RYDEX S&P 500 2X STRATEGY FUND C	0.00	1.41	80.0	1.13	0.00	1.13
/ /	WRIGHT, MARK	RYDEX S&P 500 2X STRATEGY FUND C	0.00	0.02	80.0	0.02	0.00	0.02
/ /	POTTER, G	RYDEX S&P 500 2X STRATEGY FUND C	0.00	0.17	80.0	0.14	0.00	0.14
/ /	POTTER, RK	RYDEX S&P 500 2X STRATEGY FUND C	0.00	0.16	80.0	0.13	0.00	0.13
/ /	HOLMAN, KENLEE	RYDEX S&P 500 2X STRATEGY FUND C	0.00	0.10	80.0	0.08	0.00	0.08
/ /	HOLMAN, MEEGAN	RYDEX S&P 500 2X STRATEGY FUND C	0.00	0.32	80.0	0.26	0.00	0.26
/ /	PUCKETT, CHERI	TELECOMMUNICATIONS - A	0.00	0.01	80.0	0.01	0.00	0.01
/ /	SALLEE, MARY	TELECOMMUNICATIONS - A	0.00	0.01	80.0	0.01	0.00	0.01
02/16/2016	MITCHELL, DAVID	TEMPLETON GLOBAL OPP A	0.00	0.60	80.0	0.48	0.00	0.48
03/16/2016	MITCHELL, DAVID	TEMPLETON GLOBAL OPP A	0.00	0.54	80.0	0.43	0.00	0.43
04/15/2016	MITCHELL, DAVID	TEMPLETON GLOBAL OPP A	0.00	0.62	80.0	0.50	0.00	0.50

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
05/13/2016	MITCHELL, DAVID	TEMPLETON GLOBAL OPP A	0.00	0.62	80.0	0.50	0.00	0.50
06/14/2016	MITCHELL, DAVID	TEMPLETON GLOBAL OPP A	0.00	0.04	80.0	0.03	0.00	0.03
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *			\$0.00	\$1,099.07		\$879.34	\$0.00	\$879.34
<u>PRODUCT CATEGORY: VARIABLE ANNUITY 12B1 TRAILS</u>								
01/29/2018	SMIT, CONRAD	PAC LIFE INNOVATIVE SELECT	0.00	80.47	80.0	64.38	0.00	64.38
01/29/2018	DUREN, DENNIS	PAC LIFE INNOVATIVE SELECT	0.00	26.52	80.0	21.22	0.00	21.22
01/30/2018	FRANKS, MARTHA	PAC LIFE INNOVATIVE SELECT	0.00	55.41	80.0	44.33	0.00	44.33
02/05/2018	STINSON, BRADLEY	PAC LIFE INNOVATIVE SELECT	0.00	5.00	80.0	4.00	0.00	4.00
02/09/2018	TREADWAY, TOMMY	PAC LIFE INNOVATIVE SELECT	0.00	95.53	80.0	76.42	0.00	76.42
02/07/2018	BRANCH, BILLY	PAC LIFE PORTFOLIOS	0.00	274.48	80.0	219.58	0.00	219.58
01/29/2018	PROCTOR, CHAD	PAC LIFE VALUE	0.00	115.88	80.0	92.70	0.00	92.70
01/29/2018	SELENSKY, FRED	PAC LIFE VALUE	0.00	41.51	80.0	33.21	0.00	33.21
02/09/2018	WINKLER, CARLA	PAC LIFE VALUE	0.00	24.03	80.0	19.22	0.00	19.22
02/13/2018	STANFORD, DAVID	VOYA RETIREMENT & ANNUITY	3,446.38	1.15	80.0	0.92	0.00	0.92
* VARIABLE ANNUITY 12B1 TRAILS SUBTOTAL *			\$3,446.38	\$719.98		\$575.98	\$0.00	\$575.98
*** DIRECT TRANSACTIONS TOTAL ***			\$4,249.43	\$1,844.96		\$1,476.04	\$0.00	\$1,476.04

BROKER COMMISSION TOTALS

Broker Transactions	\$1,492.74
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	\$1,492.74
Year-to-date Gross	\$10,295.60
Year-to-date Earnings	\$8,124.46

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