



Concorde Investment Services, LLC

01/12/2018

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COMMISSION STATEMENT

January 15, 2018

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

BROKER #: 101
BRANCH: CONCORDE FINANCIAL G

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: 529 PLANS</u>								
12/26/2017	HIGGINS, JAMES	AM FUNDS AMCAP 529A	2,500.00	68.75	0.00	68.75	95.0	65.31
12/26/2017	HIGGINS, JAMES	AM FUNDS BOND FUND OF AMERICA 529A	2,500.00	68.75	0.00	68.75	95.0	65.31
12/26/2017	HIGGINS, JAMES	AM FUNDS CAPITAL WORLD GRTH & INC 5	2,500.00	68.75	0.00	68.75	95.0	65.31
12/26/2017	SILVERSTEIN, MICHAEL	AM FUNDS CAPITAL WORLD GRTH & INC 5	50.00	2.13	0.00	2.13	95.0	2.02
12/26/2017	HIGGINS, JAMES	AM FUNDS CAPITAL WORLD GRTH & INC 5	2,500.00	68.75	0.00	68.75	95.0	65.31
12/28/2017	VAN DAELE, DAVID	AM FUNDS CAPITAL WORLD GRTH & INC 5	1,000.00	50.00	0.00	50.00	95.0	47.50
12/28/2017	VAN DAELE, DAVID	AM FUNDS EUROPACIFIC GROWTH FUND 52	1,000.00	50.00	0.00	50.00	95.0	47.50
12/26/2017	HIGGINS, JAMES	AM FUNDS FUNDAMENTAL INVESTORS 529A	2,500.00	68.75	0.00	68.75	95.0	65.31
12/26/2017	HIGGINS, JAMES	AM FUNDS GROWTH FUND OF AMERICA 529	2,500.00	68.75	0.00	68.75	95.0	65.31
01/02/2018	SAWYER, ALONZO	AM FUNDS GROWTH FUND OF AMERICA 529	50.00	1.88	0.00	1.88	95.0	1.79
01/02/2018	SAWYER, ALONZO	AM FUNDS GROWTH FUND OF AMERICA 529	50.00	1.88	0.00	1.88	95.0	1.79
01/02/2018	SAWYER, ALONZO	AM FUNDS GROWTH FUND OF AMERICA 529	50.00	1.88	0.00	1.88	95.0	1.79
12/26/2017	HIGGINS, JAMES	AM FUNDS INTERMEDIATE BOND FUND OF	2,500.00	50.00	0.00	50.00	95.0	47.50
12/26/2017	HIGGINS, JAMES	AM FUNDS WASHINGTON MUTUAL INVESTOR	2,500.00	68.75	0.00	68.75	95.0	65.31
12/29/2017	MOELLER, RICHARD	BLACK ROCK 67776G527	50.00	0.50	0.00	0.50	95.0	0.48
12/29/2017	CFGROUP, VARIOUS	BLACK ROCK 67776G527	50.00	0.50	0.00	0.50	95.0	0.48
12/26/2017	WETZEL, DIANNE	BLACK ROCK 67776G543	50.00	0.50	0.00	0.50	95.0	0.48
12/26/2017	BAKER, JEAN-ANNE	BLACK ROCK 67776G543	100.00	1.00	0.00	1.00	95.0	0.95
12/29/2017	WETZEL, DIANNE	BLACK ROCK 67776G543	50.00	0.50	0.00	0.50	95.0	0.48
12/26/2017	BAKER, JEAN-ANNE	BLACKROCK 67776G493	50.00	0.50	0.00	0.50	95.0	0.48
12/29/2017	MOELLER, RICHARD	BLACKROCK 67776G493	50.00	0.50	0.00	0.50	95.0	0.48
12/29/2017	MOELLER, RICHARD	BLACKROCK 67776G477	50.00	0.50	0.00	0.50	95.0	0.48
12/26/2017	BAKER, JEAN-ANNE	BLACKROCK 67776G519	50.00	0.25	0.00	0.25	95.0	0.24
12/26/2017	BAKER, JEAN-ANNE	BLACKROCK 67776G519	100.00	0.50	0.00	0.50	95.0	0.48
* 529 PLANS SUBTOTAL *			\$22,800.00	\$644.27	\$0.00	\$644.27		\$612.09

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

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

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<u>DIRECT TRANSACTIONS</u>								
PRODUCT CATEGORY: MUTUAL FUNDS								
12/20/2017	BRADEN, TERRI	ALLIANCEBERNSTEIN GROWTH B	50.00	2.00	0.00	2.00	95.0	1.90
12/26/2017	SILVERSTEIN, MICHAEL	AM FUNDS AMCAP A	50.00	2.13	0.00	2.13	95.0	2.02
01/02/2018	CERIMELE, NICHOLAS	AM FUNDS AMERICAN BALANCED A	60.00	2.55	0.00	2.55	95.0	2.42
01/02/2018	STOLL, HEATHER	AM FUNDS CAPITAL WORLD GRTH & INC A	75.00	3.19	0.00	3.19	95.0	3.03
01/03/2018	GREENE, GREG	AM FUNDS CAPITAL WORLD GRTH & INC A	11,154.07	223.08	0.00	223.08	95.0	211.93
01/02/2018	BAILEY, STEVEN	AM FUNDS GROWTH FUND OF AMERICA A	50.00	2.50	0.00	2.50	95.0	2.38
01/03/2018	KEMP, JEREMY	AM FUNDS GROWTH FUND OF AMERICA A	50.00	2.13	0.00	2.13	95.0	2.02
12/29/2017	WONCH, ELIZABETH	AM FUNDS ICA A	200.00	10.00	0.00	10.00	95.0	9.50
01/02/2018	BAILEY, STEVEN	AM FUNDS ICA A	50.00	2.50	0.00	2.50	95.0	2.38
01/02/2018	MCLAUGHLIN, TRACY	AM FUNDS ICA A	150.00	6.38	0.00	6.38	95.0	6.06
01/04/2018	MC GEE, MICHAEL	AM FUNDS ICA A	60.00	3.00	0.00	3.00	95.0	2.85
01/03/2018	GREENE, GREG	AM FUNDS WASHINGTON MUTUAL INVESTOR	16,731.12	334.62	0.00	334.62	95.0	317.89
12/01/2017	PARTALIS, CHRISTINE	DAVIS NEW YORK VENTURE A	125.00	5.00	0.00	5.00	95.0	4.75
12/15/2017	ROBINETTE, JANET	DAVIS NEW YORK VENTURE A	50.00	2.00	0.00	2.00	95.0	1.90
12/15/2017	MORICI, MICHELLE	DAVIS NEW YORK VENTURE B	50.00	2.00	0.00	2.00	95.0	1.90
12/15/2017	GARLAND, DAWN	DAVIS NEW YORK VENTURE B	30.00	1.20	0.00	1.20	95.0	1.14
12/22/2017	TYSZKIEWICZ, KURT	FRANKLIN GROWTH C	100.00	1.00	0.00	1.00	95.0	0.95
12/26/2017	DAIZA, PHILLIP	INVESCO CHARTER FUND C	50.00	0.50	0.00	0.50	95.0	0.48
12/19/2017	KRAYDICH, KELLIE	OPPENHEIMER CAPITAL APPRECIATION A	50.00	2.38	0.00	2.38	95.0	2.26
12/19/2017	KRAYDICH, KELLIE	OPPENHEIMER CAPITAL APPRECIATION A	27.02	1.28	0.00	1.28	95.0	1.22
12/19/2017	RENTROP, GARRETT	OPPENHEIMER CAPITAL APPRECIATION C	32.30	0.32	0.00	0.32	95.0	0.30
12/19/2017	RENTROP, GARRETT	OPPENHEIMER CAPITAL APPRECIATION C	32.30	0.32	0.00	0.32	95.0	0.30
12/19/2017	HICKS, MELISSA	OPPENHEIMER CAPITAL APPRECIATION C	25.00	0.25	0.00	0.25	95.0	0.24
12/19/2017	HICKS, MELISSA	OPPENHEIMER CAPITAL APPRECIATION C	25.00	0.25	0.00	0.25	95.0	0.24
12/19/2017	DINKA, JOHN	OPPENHEIMER CAPITAL APPRECIATION C	150.00	1.50	0.00	1.50	95.0	1.43
12/19/2017	SCHULTZ, DEBRA	OPPENHEIMER CAPITAL APPRECIATION C	200.00	2.00	0.00	2.00	95.0	1.90
12/19/2017	SCHULTZ, DEBRA	OPPENHEIMER CAPITAL APPRECIATION C	45.47	0.45	0.00	0.45	95.0	0.43
12/26/2017	ELIAS, JANICE	OPPENHEIMER CAPITAL APPRECIATION C	30.00	0.30	0.00	0.30	95.0	0.29
12/26/2017	ELIAS, JANICE	OPPENHEIMER CAPITAL APPRECIATION C	17.99	0.18	0.00	0.18	95.0	0.17
12/26/2017	DITRI, ANN	OPPENHEIMER CAPITAL APPRECIATION C	255.00	2.55	0.00	2.55	95.0	2.42
12/26/2017	DITRI, ANN	OPPENHEIMER CAPITAL APPRECIATION C	90.08	0.90	0.00	0.90	95.0	0.86
12/26/2017	BAKER, STEVEN	OPPENHEIMER CAPITAL APPRECIATION C	65.95	0.66	0.00	0.66	95.0	0.63
12/26/2017	BAKER, STEVEN	OPPENHEIMER CAPITAL APPRECIATION C	63.94	0.64	0.00	0.64	95.0	0.61

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
12/19/2017	KRAYDICH, KELLIE	OPPENHEIMER CAPITAL INCOME A	50.00	2.38	0.00	2.38	95.0	2.26
12/19/2017	KRAYDICH, KELLIE	OPPENHEIMER CAPITAL INCOME A	27.02	1.28	0.00	1.28	95.0	1.22
12/19/2017	SCHULTZ, DEBRA	OPPENHEIMER DEVELOPING MARKETS C	100.00	1.00	0.00	1.00	95.0	0.95
12/19/2017	SCHULTZ, DEBRA	OPPENHEIMER DEVELOPING MARKETS C	22.73	0.23	0.00	0.23	95.0	0.22
12/26/2017	DAMORE, MONICA	OPPENHEIMER DISCOVERY C	253.92	2.54	0.00	2.54	95.0	2.41
12/26/2017	DAMORE, MONICA	OPPENHEIMER DISCOVERY C	44.81	0.45	0.00	0.45	95.0	0.43
12/26/2017	ELIAS, JANICE	OPPENHEIMER GLOBAL C	29.11	0.29	0.00	0.29	95.0	0.28
12/26/2017	ELIAS, JANICE	OPPENHEIMER GLOBAL C	17.47	0.17	0.00	0.17	95.0	0.16
12/26/2017	DITRI, ANN	OPPENHEIMER GLOBAL C	247.50	2.48	0.00	2.48	95.0	2.36
12/26/2017	DITRI, ANN	OPPENHEIMER GLOBAL C	87.43	0.87	0.00	0.87	95.0	0.83
12/19/2017	RENTROP, GARRETT	OPPENHEIMER GLOBAL OPPORTUNITIES C	32.30	0.32	0.00	0.32	95.0	0.30
12/19/2017	RENTROP, GARRETT	OPPENHEIMER GLOBAL OPPORTUNITIES C	32.30	0.32	0.00	0.32	95.0	0.30
12/19/2017	DINKA, JOHN	OPPENHEIMER GLOBAL OPPORTUNITIES C	75.00	0.75	0.00	0.75	95.0	0.71
12/19/2017	SCHULTZ, DEBRA	OPPENHEIMER GLOBAL OPPORTUNITIES C	200.00	2.00	0.00	2.00	95.0	1.90
12/19/2017	SCHULTZ, DEBRA	OPPENHEIMER GLOBAL OPPORTUNITIES C	45.46	0.45	0.00	0.45	95.0	0.43
12/26/2017	DAMORE, MONICA	OPPENHEIMER GLOBAL OPPORTUNITIES C	253.92	2.54	0.00	2.54	95.0	2.41
12/26/2017	DAMORE, MONICA	OPPENHEIMER GLOBAL OPPORTUNITIES C	44.81	0.45	0.00	0.45	95.0	0.43
12/26/2017	MCCOLLEY, SHEA	OPPENHEIMER GLOBAL OPPORTUNITIES C	15.00	0.15	0.00	0.15	95.0	0.14
12/26/2017	MCCOLLEY, SHEA	OPPENHEIMER GLOBAL OPPORTUNITIES C	14.50	0.15	0.00	0.15	95.0	0.14
12/19/2017	RENTROP, GARRETT	OPPENHEIMER GLOBAL STRATEGIC INC C	32.30	0.32	0.00	0.32	95.0	0.30
12/19/2017	RENTROP, GARRETT	OPPENHEIMER GLOBAL STRATEGIC INC C	32.30	0.32	0.00	0.32	95.0	0.30
12/26/2017	BAKER, STEVEN	OPPENHEIMER INTL BOND C	65.94	0.66	0.00	0.66	95.0	0.63
12/26/2017	BAKER, STEVEN	OPPENHEIMER INTL BOND C	63.92	0.64	0.00	0.64	95.0	0.61
12/26/2017	BAKER, STEVEN	OPPENHEIMER INTL DIVERSIFIED C	65.95	0.66	0.00	0.66	95.0	0.63
12/26/2017	BAKER, STEVEN	OPPENHEIMER INTL DIVERSIFIED C	63.94	0.64	0.00	0.64	95.0	0.61
12/19/2017	KRAYDICH, KELLIE	OPPENHEIMER INTL SMALL CO A	50.00	2.38	0.00	2.38	95.0	2.26
12/19/2017	KRAYDICH, KELLIE	OPPENHEIMER INTL SMALL CO A	27.00	1.28	0.00	1.28	95.0	1.22
12/26/2017	DAMORE, MONICA	OPPENHEIMER INTL SMALL CO C	261.62	2.62	0.00	2.62	95.0	2.49
12/26/2017	DAMORE, MONICA	OPPENHEIMER INTL SMALL CO C	46.17	0.46	0.00	0.46	95.0	0.44
12/19/2017	HICKS, MELISSA	OPPENHEIMER MAIN ST SELECT C	25.00	0.25	0.00	0.25	95.0	0.24
12/19/2017	HICKS, MELISSA	OPPENHEIMER MAIN ST SELECT C	25.00	0.25	0.00	0.25	95.0	0.24
12/26/2017	ELIAS, JANICE	OPPENHEIMER MAIN ST SELECT C	29.11	0.29	0.00	0.29	95.0	0.28
12/26/2017	ELIAS, JANICE	OPPENHEIMER MAIN ST SELECT C	17.47	0.17	0.00	0.17	95.0	0.16

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
12/19/2017	RENTROP, GARRETT	OPPENHEIMER MAIN ST SMALL & MID CAP	32.32	0.32	0.00	0.32	95.0	0.30
12/19/2017	RENTROP, GARRETT	OPPENHEIMER MAIN ST SMALL & MID CAP	32.32	0.32	0.00	0.32	95.0	0.30
12/26/2017	MCCOLLEY, SHEA	OPPENHEIMER MAIN STREET C	15.00	0.15	0.00	0.15	95.0	0.14
12/26/2017	MCCOLLEY, SHEA	OPPENHEIMER MAIN STREET C	14.50	0.15	0.00	0.15	95.0	0.14
12/11/2017	BROUSE, SARAH	OPPENHEIMER PORT SERIES ACTIVE ALLO	0.00	0.76	0.00	0.76	95.0	0.72
12/19/2017	SMOLAREK, CHERYL	OPPENHEIMER PTF SERIES EQUITY INVES	150.00	1.50	0.00	1.50	95.0	1.43
12/19/2017	SMOLAREK, CHERYL	OPPENHEIMER PTF SERIES EQUITY INVES	145.12	1.45	0.00	1.45	95.0	1.38
12/19/2017	TERPSTRA, SANDRA	OPPENHEIMER QUEST OPP VALUE C	600.00	6.00	0.00	6.00	95.0	5.70
12/19/2017	TERPSTRA, SANDRA	OPPENHEIMER QUEST OPP VALUE C	84.26	0.84	0.00	0.84	95.0	0.80
12/26/2017	MCCOLLEY, SHEA	OPPENHEIMER QUEST OPP VALUE C	30.00	0.30	0.00	0.30	95.0	0.29
12/26/2017	MCCOLLEY, SHEA	OPPENHEIMER QUEST OPP VALUE C	28.98	0.29	0.00	0.29	95.0	0.28
12/26/2017	BAKER, STEVEN	OPPENHEIMER QUEST OPP VALUE C	65.95	0.66	0.00	0.66	95.0	0.63
12/26/2017	BAKER, STEVEN	OPPENHEIMER QUEST OPP VALUE C	63.94	0.64	0.00	0.64	95.0	0.61
12/26/2017	WOUDSTRA, KAREN	OPPENHEIMER SMALL & MIDCAP GROWTH C	100.00	1.00	0.00	1.00	95.0	0.95
12/26/2017	WOUDSTRA, KAREN	OPPENHEIMER SMALL & MIDCAP GROWTH C	67.38	0.67	0.00	0.67	95.0	0.64
12/19/2017	DEREY, DENISE	OPPENHEIMER SMALL MID CAP VALUE C	80.00	0.80	0.00	0.80	95.0	0.76
12/19/2017	DEREY, DENISE	OPPENHEIMER SMALL MID CAP VALUE C	80.00	0.80	0.00	0.80	95.0	0.76
12/19/2017	DINKA, JOHN	OPPENHEIMER VALUE C	150.00	1.50	0.00	1.50	95.0	1.43
12/26/2017	DITRI, ANN	OPPENHEIMER VALUE C	247.50	2.48	0.00	2.48	95.0	2.36
12/26/2017	DITRI, ANN	OPPENHEIMER VALUE C	87.43	0.87	0.00	0.87	95.0	0.83
12/19/2017	RENTROP, GARRETT	OPPENHEIMIER QUEST BALANCED C	32.30	0.32	0.00	0.32	95.0	0.30
12/19/2017	RENTROP, GARRETT	OPPENHEIMIER QUEST BALANCED C	32.30	0.32	0.00	0.32	95.0	0.30
12/18/2017	EICHENLAUB, TRACEY	TRANSAMERICA MULTI-MANAGED BAL C	450.00	4.50	0.00	4.50	95.0	4.28
* MUTUAL FUNDS SUBTOTAL *			\$35,183.54	\$676.16	\$0.00	\$676.16		\$642.42
<u>PRODUCT CATEGORY: VARIABLE ANNUITIES</u>								
10/18/2017	CFGROUP, VARIOUS	GENWORTH VA	0.00	14.78	0.00	14.78	95.0	14.04
10/18/2017	CFGROUP, VARIOUS	GENWORTH VA	0.00	23.34	0.00	23.34	95.0	22.17
12/31/2017	BERTRAND, C JERRY	JNL ELITE ACCESS	58,490.71	31.68	0.00	31.68	95.0	30.10
12/31/2017	MELTZER, CLARENCE	JNL PERSPECTIVE ADVANTAGE	25,772.50	21.48	0.00	21.48	95.0	20.41
12/31/2017	COVYEAU, FREDERICK J & B	JNL PERSPECTIVE II	105,528.49	43.97	0.00	43.97	95.0	41.77
12/31/2017	JEANNETTE, JUSTIN	JNL PERSPECTIVE II 05/05	521.77	0.43	0.00	0.43	95.0	0.41
12/31/2017	KOSCIELSKI, RONALD	JNL PERSPECTIVE II 05/05	29,648.39	12.35	0.00	12.35	95.0	11.73
12/31/2017	CROSS, LINDA	JNL PERSPECTIVE II 05/05	6,479.06	2.70	0.00	2.70	95.0	2.57

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<u>DIRECT TRANSACTIONS</u>								
PRODUCT CATEGORY: VARIABLE ANNUITIES								
12/31/2017	MAGGARD, LORETTA	JNL PERSPECTIVE II 05/05	47,245.08	19.69	0.00	19.69	95.0	18.71
12/31/2017	RANG, MARILYN	JNL PERSPECTIVE II 05/05	75,226.13	31.34	0.00	31.34	95.0	29.77
12/31/2017	MCDONALD, GLENN	JNL PERSPECTIVE II 05/05	179,972.46	74.99	0.00	74.99	95.0	71.24
12/31/2017	KEELER, SUSAN	JNL PERSPECTIVE II 05/05	131,796.95	54.92	0.00	54.92	95.0	52.17
12/31/2017	PIROZZO, PETER	JNL PERSPECTIVE L	56,587.16	61.30	0.00	61.30	95.0	58.24
12/31/2017	LEGGE, GERALD	JNL PERSPECTIVE L	314,105.65	340.28	0.00	340.28	95.0	323.27
12/31/2017	DIEM, LINDA	JOHN HANCOCK VENTURE	681.84	0.14	0.00	0.14	95.0	0.13
12/31/2017	TYMCZY, MARY JANE	JOHN HANCOCK VENTURE	7,801.91	1.63	0.00	1.63	95.0	1.55
12/31/2017	DANIEL, SABRINA	JOHN HANCOCK VENTURE	305.22	0.06	0.00	0.06	95.0	0.06
12/31/2017	MORELLI, MARY	LINCOLN BENEFIT TRAIL RENEWALS	0.00	158.42	0.00	158.42	95.0	150.50
12/31/2017	BAYLE, SUSAN	LINCOLN BENEFIT TRAIL RENEWALS	0.00	3.64	0.00	3.64	95.0	3.46
12/30/2017	ZUPP, ELEANOR	NATIONWIDE BOA FUTURE II 32	18,618.44	46.55	0.00	46.55	95.0	44.22
12/31/2017	MIKLEVICH, MICHAEL	PRU AS ADVISOR PLAN - 1993	76,837.16	48.02	0.00	48.02	95.0	45.62
12/31/2017	O'CONNOR, FRANCIS	PRU AS ADVISOR PLAN - 1993	13,173.24	8.23	0.00	8.23	95.0	7.82
12/31/2017	HILDEBRAND, CHRISTINE	PRU AS ADVISOR PLAN - 1993	20,217.91	12.64	0.00	12.64	95.0	12.01
12/31/2017	WEHLER, MARY ANN	PRU AS ADVISOR PLAN - 1993	43,200.22	27.00	0.00	27.00	95.0	25.65
12/31/2017	HATHAWAY, DEBORAH	PRU AS ADVISOR PLAN II - 1996	3,166.39	1.98	0.00	1.98	95.0	1.88
12/31/2017	CAVERLY, KEVIN	PRU AS ADVISOR PLAN II - 1996	4,248.07	2.66	0.00	2.66	95.0	2.53
12/31/2017	AVOURIS, TIMOTHY	PRU AS ADVISOR PLAN II - 1996	59,335.57	37.08	0.00	37.08	95.0	35.23
12/31/2017	HAZARD, JOHN	PRU AS APEX II	92,552.24	57.85	0.00	57.85	95.0	54.96
12/31/2017	HAZARD, JOHN	PRU AS APEX II	92,552.24	231.38	0.00	231.38	95.0	219.81
12/31/2017	POLENYCHKO, SHIRLEY	PRU AS APEX II	15,453.72	9.66	0.00	9.66	95.0	9.18
12/31/2017	POLENYCHKO, SHIRLEY	PRU AS APEX II	15,453.72	38.63	0.00	38.63	95.0	36.70
12/31/2017	SARKISIAN, NORAY	PRU AS LIFEVEST II	69,445.47	130.21	0.00	130.21	95.0	123.70
12/31/2017	SARKISIAN, NORAY	PRU AS LIFEVEST II	69,445.47	43.40	0.00	43.40	95.0	41.23
12/31/2017	MERRITT, MARY LOU	PRU AS LIFEVEST II	115,003.08	215.63	0.00	215.63	95.0	204.85
12/31/2017	MERRITT, MARY LOU	PRU AS LIFEVEST II	115,003.08	71.88	0.00	71.88	95.0	68.29
12/31/2017	LOURIA, PHYLLIS	PRU AS LIFEVEST II	39,249.69	73.59	0.00	73.59	95.0	69.91
12/31/2017	LOURIA, PHYLLIS	PRU AS LIFEVEST II	39,249.69	24.53	0.00	24.53	95.0	23.30
12/31/2017	HOVIS, BARBARA	PRU AS LIFEVEST II	11,394.92	21.37	0.00	21.37	95.0	20.30
12/31/2017	HOVIS, BARBARA	PRU AS LIFEVEST II	11,394.92	7.12	0.00	7.12	95.0	6.76
12/31/2017	WETZEL, WILLIAM	PRU AS LIFEVEST II	33,450.25	62.72	0.00	62.72	95.0	59.58
12/31/2017	WETZEL, WILLIAM	PRU AS LIFEVEST II	33,450.25	20.91	0.00	20.91	95.0	19.86

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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: VARIABLE ANNUITIES</u>								
12/31/2017	BLANKENSHIP, JANET	PRU AS LIFEVEST II	237,238.09	444.82	0.00	444.82	95.0	422.58
12/31/2017	BLANKENSHIP, JANET	PRU AS LIFEVEST II	237,238.09	148.27	0.00	148.27	95.0	140.86
12/31/2017	SOBIESKI, JOYCE	PRU AS LIFEVEST II	18,964.02	35.56	0.00	35.56	95.0	33.78
12/31/2017	SOBIESKI, JOYCE	PRU AS LIFEVEST II	18,964.02	11.85	0.00	11.85	95.0	11.26
12/31/2017	YANIS, ROSANN	PRU AS LIFEVEST II	45,520.93	85.35	0.00	85.35	95.0	81.08
12/31/2017	YANIS, ROSANN	PRU AS LIFEVEST II	45,520.93	28.45	0.00	28.45	95.0	27.03
12/31/2017	AMMAN, KATHLEEN	PRU AS XTRA CREDIT SIX	87,466.89	54.67	0.00	54.67	95.0	51.94
12/31/2017	AMMAN, KATHLEEN	PRU AS XTRA CREDIT SIX	87,466.89	54.67	0.00	54.67	95.0	51.94
12/31/2017	SIMONY, JOAN	PRU AS XTRA CREDIT SIX	147,015.00	91.88	0.00	91.88	95.0	87.29
12/31/2017	SIMONY, JOAN	PRU AS XTRA CREDIT SIX	147,015.00	91.88	0.00	91.88	95.0	87.29
12/31/2017	CHEUNG, EDWARD	PRU AS XTRA CREDIT SIX	330,939.63	206.84	0.00	206.84	95.0	196.50
12/31/2017	CHEUNG, EDWARD	PRU AS XTRA CREDIT SIX	330,939.63	206.84	0.00	206.84	95.0	196.50
12/31/2017	DALTON, GRACE	PRU AS XTRA CREDIT SIX	82,794.33	51.75	0.00	51.75	95.0	49.16
12/31/2017	DALTON, GRACE	PRU AS XTRA CREDIT SIX	82,794.33	51.75	0.00	51.75	95.0	49.16
12/31/2017	HOOTNER-JONES, ANN	PRU AS XTRA CREDIT SIX	158,341.92	98.96	0.00	98.96	95.0	94.01
12/31/2017	HOOTNER-JONES, ANN	PRU AS XTRA CREDIT SIX	158,341.92	98.96	0.00	98.96	95.0	94.01
12/31/2017	BAKER, GENE	PRU AS XTRA CREDIT SIX	223,088.93	139.43	0.00	139.43	95.0	132.46
12/31/2017	BAKER, GENE	PRU AS XTRA CREDIT SIX	223,088.93	139.43	0.00	139.43	95.0	132.46
12/31/2017	BELLINGER, VICKIE	PRU AS XTRA CREDIT SIX	379,529.52	237.21	0.00	237.21	95.0	225.35
12/31/2017	BELLINGER, VICKIE	PRU AS XTRA CREDIT SIX	379,529.52	237.21	0.00	237.21	95.0	225.35
12/31/2017	VOGEL, KEITH	PRU AS XTRA CREDIT SIX	25,750.16	16.09	0.00	16.09	95.0	15.29
12/31/2017	VOGEL, KEITH	PRU AS XTRA CREDIT SIX	25,750.16	16.09	0.00	16.09	95.0	15.29
12/31/2017	KAWALA, CHRISTINA	PRU AS XTRA CREDIT SIX	131,438.49	82.15	0.00	82.15	95.0	78.04
12/31/2017	KAWALA, CHRISTINA	PRU AS XTRA CREDIT SIX	131,438.49	82.15	0.00	82.15	95.0	78.04
12/31/2017	MCDONALD, CRAIG	PRU AS XTRA CREDIT SIX	22,516.25	14.07	0.00	14.07	95.0	13.37
12/31/2017	MCDONALD, CRAIG	PRU AS XTRA CREDIT SIX	22,516.25	14.07	0.00	14.07	95.0	13.37
12/31/2017	MCDONALD, VICKI	PRU AS XTRA CREDIT SIX	27,383.30	17.11	0.00	17.11	95.0	16.25
12/31/2017	MCDONALD, VICKI	PRU AS XTRA CREDIT SIX	27,383.30	17.11	0.00	17.11	95.0	16.25
12/31/2017	O'CONNOR, FRANCIS	PRU AS XTRA CREDIT SIX	28,710.18	17.94	0.00	17.94	95.0	17.04
12/31/2017	O'CONNOR, FRANCIS	PRU AS XTRA CREDIT SIX	28,710.18	17.94	0.00	17.94	95.0	17.04
12/31/2017	RIOS-DORIA, H	PRU AS XTRA CREDIT SIX	58,823.22	36.76	0.00	36.76	95.0	34.92
12/31/2017	RIOS-DORIA, H	PRU AS XTRA CREDIT SIX	58,823.22	36.76	0.00	36.76	95.0	34.92
12/31/2017	THOMSON, DOUGLAS	PRU AS XTRA CREDIT SIX	63,297.61	39.56	0.00	39.56	95.0	37.58

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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: VARIABLE ANNUITIES</u>								
12/31/2017	THOMSON, DOUGLAS	PRU AS XTRA CREDIT SIX	63,297.61	39.56	0.00	39.56	95.0	37.58
12/31/2017	BUSZEK, PAUL	PRU AS XTRA CREDIT SIX	32,176.18	20.11	0.00	20.11	95.0	19.10
12/31/2017	BUSZEK, PAUL	PRU AS XTRA CREDIT SIX	32,176.18	20.11	0.00	20.11	95.0	19.10
12/31/2017	KOZIKOWSKI, TERRY	PRU AS XTRA CREDIT SIX	124,232.71	77.65	0.00	77.65	95.0	73.77
12/31/2017	KOZIKOWSKI, TERRY	PRU AS XTRA CREDIT SIX	124,232.71	77.65	0.00	77.65	95.0	73.77
12/31/2017	TAMM, JAMES	PRU AS XTRA CREDIT SIX	9,835.74	6.15	0.00	6.15	95.0	5.84
12/31/2017	TAMM, JAMES	PRU AS XTRA CREDIT SIX	9,835.74	6.15	0.00	6.15	95.0	5.84
12/31/2017	JEFFRIES, BARBARA	PRU AS XTRA CREDIT SIX	184,992.08	115.62	0.00	115.62	95.0	109.84
12/31/2017	JEFFRIES, BARBARA	PRU AS XTRA CREDIT SIX	184,992.08	115.62	0.00	115.62	95.0	109.84
12/31/2017	GEISLER, JUDY	PRU PREMIER RETIREMENT B	14,556.45	9.10	0.00	9.10	95.0	8.65
12/31/2017	PARKE, WALTER	PRU PREMIER RETIREMENT B	110,835.75	69.27	0.00	69.27	95.0	65.81
12/31/2017	WILLS, KELLEY	PRU PREMIER RETIREMENT B	157,604.27	98.50	0.00	98.50	95.0	93.58
12/31/2017	POLANCE, BARBARA	PRU PREMIER RETIREMENT B	279,707.27	174.82	0.00	174.82	95.0	166.08
12/31/2017	KEELER, SUSAN	PRU PREMIER RETIREMENT B	135,789.74	84.87	0.00	84.87	95.0	80.63
12/31/2017	MURPHY, PHILIP	PRU PREMIER RETIREMENT B	96,072.23	60.05	0.00	60.05	95.0	57.05
12/31/2017	GRAMMATICO, DENNIS	PRU PREMIER RETIREMENT B	681,781.94	426.11	0.00	426.11	95.0	404.80
12/31/2017	HANSEN, SUSAN	PRU PREMIER RETIREMENT B	243,575.77	152.23	0.00	152.23	95.0	144.62
12/31/2017	ANDERSON, JUDITH	PRU PREMIER RETIREMENT B	177,819.84	111.14	0.00	111.14	95.0	105.58
12/31/2017	SPEARY, LISA	PRU PREMIER RETIREMENT L	102,003.06	255.01	0.00	255.01	95.0	242.26
12/31/2017	RAONA, GARY	PRU PREMIER RETIREMENT L	10,615.19	26.54	0.00	26.54	95.0	25.21
12/31/2017	MULRATH, JOHN	PRU PREMIER RETIREMENT L	162,339.22	405.85	0.00	405.85	95.0	385.56
12/31/2017	NICOLOSI, ROSE	PRU PREMIER RETIREMENT L	501,151.91	1,252.88	0.00	1,252.88	95.0	1,190.24
12/31/2017	SCHROETER, MARY KAY	PRU PREMIER RETIREMENT L	170,658.08	426.65	0.00	426.65	95.0	405.32
12/31/2017	WAGNER II, HARRY	PRU PREMIER RETIREMENT L	379,712.77	949.28	0.00	949.28	95.0	901.82
12/31/2017	WAGNER, SHARON	PRU PREMIER RETIREMENT L	381,913.73	954.78	0.00	954.78	95.0	907.04
12/31/2017	HENRY, JACQUELINE	PRU PREMIER RETIREMENT X	68,263.14	42.66	0.00	42.66	95.0	40.53
12/31/2017	KNIGHT, SHARON	PRU PREMIER RETIREMENT X	100,971.72	63.11	0.00	63.11	95.0	59.95
12/31/2017	JOHNSON, RODNEY	PRU PREMIER RETIREMENT X	206,671.87	129.17	0.00	129.17	95.0	122.71
12/31/2017	VOGEL, KEITH	PRU PREMIER RETIREMENT X	117,833.55	73.65	0.00	73.65	95.0	69.97
12/31/2017	DUNK, KATHLEEN	PRU PREMIER RETIREMENT X	41,846.97	26.15	0.00	26.15	95.0	24.84
12/31/2017	FEWLESS, SCOTT	PRU PREMIER RETIREMENT X	20,838.52	13.02	0.00	13.02	95.0	12.37
12/31/2017	OLSON, MELINDA	PRU PREMIER RETIREMENT X	138,351.68	86.47	0.00	86.47	95.0	82.15
12/31/2017	TYNAN, SHELLEY	PRU PREMIER RETIREMENT X	89,491.78	55.93	0.00	55.93	95.0	53.13

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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: VARIABLE ANNUITIES</u>								
12/31/2017	DEMAN, KENNETH	PRU PREMIER RETIREMENT X	92,782.20	57.99	0.00	57.99	95.0	55.09
12/31/2017	NACHAZEL, THOMAS	PRU XTRA CREDIT EIGHT	48,723.42	60.90	0.00	60.90	95.0	57.86
12/31/2017	NACHAZEL, THOMAS	PRU XTRA CREDIT EIGHT	48,723.42	30.45	0.00	30.45	95.0	28.93
12/31/2017	RANG, JAMES	PRU XTRA CREDIT EIGHT	101,285.06	126.61	0.00	126.61	95.0	120.28
12/31/2017	RANG, JAMES	PRU XTRA CREDIT EIGHT	101,285.06	63.30	0.00	63.30	95.0	60.14
12/31/2017	RYAN, JACK	PRU XTRA CREDIT EIGHT	59,007.23	73.76	0.00	73.76	95.0	70.07
12/31/2017	RYAN, JACK	PRU XTRA CREDIT EIGHT	59,007.23	36.88	0.00	36.88	95.0	35.04
12/04/2017	SCHROETER, RICHARD	TRANSAMERICA EXTRA	38,862.15	32.39	0.00	32.39	95.0	30.77
12/14/2017	GRUSH, ERNEST	TRANSAMERICA LANDMARK	153,148.35	127.62	0.00	127.62	95.0	121.24
12/30/2017	MADSEN, JOYCE	TRANSAMERICA LANDMARK	4,950.94	4.13	0.00	4.13	95.0	3.92
* VARIABLE ANNUITIES SUBTOTAL *			\$11,970,350.93	\$12,053.65	\$0.00	\$12,053.65		\$11,451.02
<u>PRODUCT CATEGORY: VARIABLE UNIVERSAL LIFE</u>								
12/19/2017	DINKA, JENNA	PAC LIFE VUL	0.00	123.42	0.00	123.42	95.0	117.25
* VARIABLE UNIVERSAL LIFE SUBTOTAL *			\$0.00	\$123.42	\$0.00	\$123.42		\$117.25
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
/ /	BLEIL, STEPHEN	FIDELITY ADV GOLD	0.00	0.08	0.00	0.08	95.0	0.08
/ /	ROCCA, JACQUELYN	FIDELITY ADV GROWTH OPP	0.00	0.57	0.00	0.57	95.0	0.54
/ /	ROCCA, ALEX	FIDELITY ADV GROWTH OPP	0.00	0.71	0.00	0.71	95.0	0.67
/ /	ROCCA, AARON	FIDELITY ADV GROWTH OPP	0.00	0.71	0.00	0.71	95.0	0.67
/ /	MCQUEENEY, JULIE	FIDELITY ADV GROWTH OPP	0.00	1.14	0.00	1.14	95.0	1.08
/ /	FELIS-ROSS, CAROL	FIDELITY ADV GROWTH OPP	0.00	0.11	0.00	0.11	95.0	0.10
/ /	SCALISE, CYNTHIA	FIDELITY ADV GROWTH OPP	0.00	1.34	0.00	1.34	95.0	1.27
/ /	DUDZIK, ELZBIETA	FIDELITY ADV GROWTH OPP	0.00	27.37	0.00	27.37	95.0	26.00
/ /	KULBACK, WILLIAM	FIDELITY ADV GROWTH OPP A	0.00	4.29	0.00	4.29	95.0	4.08
/ /	VIVIANO, JASON	FIDELITY ADV GROWTH OPP A	0.00	1.91	0.00	1.91	95.0	1.81
/ /	MCCALPIN, ROBERT JOHN	FIDELITY ADV HEALTH CARE T	0.00	13.20	0.00	13.20	95.0	12.54
/ /	MCCALPIN, ROBERT JOHN	FIDELITY ADV LARGE CAP	0.00	10.05	0.00	10.05	95.0	9.55
/ /	KULBACK, WILLIAM	FIDELITY ADV LARGE CAP A	0.00	5.66	0.00	5.66	95.0	5.38
/ /	HERWARTH, CHARLES	FIDELITY ADV LARGE CAP A	0.00	2.00	0.00	2.00	95.0	1.90
/ /	FELIS-ROSS, CAROL	FIDELITY ADV MORTGAGE SECURITIES T	0.00	0.12	0.00	0.12	95.0	0.11
/ /	SCALISE, CYNTHIA	FIDELITY ADV MORTGAGE SECURITIES T	0.00	1.64	0.00	1.64	95.0	1.56
/ /	KULBACK, WILLIAM	FIDELITY ADV STOCK SELECTOR ALLCAP	0.00	4.40	0.00	4.40	95.0	4.18

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<u>DIRECT TRANSACTIONS</u>								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS								
/ /	HERWARTH, CHARLES	FIDELITY ADV STOCK SELECTOR ALLCAP	0.00	2.23	0.00	2.23	95.0	2.12
/ /	DUDZIK, ELZBIETA	FIDELITY BALANCED T	0.00	20.96	0.00	20.96	95.0	19.91
/ /	ROCCA, JACQUELYN	FIDELITY EMERGING MARKETS	0.00	0.10	0.00	0.10	95.0	0.10
/ /	ROCCA, ALEX	FIDELITY EMERGING MARKETS	0.00	0.08	0.00	0.08	95.0	0.08
/ /	ROCCA, AARON	FIDELITY EMERGING MARKETS	0.00	0.08	0.00	0.08	95.0	0.08
/ /	DUDZIK, ELZBIETA	FIDELITY EMERGING MARKETS	0.00	3.52	0.00	3.52	95.0	3.34
/ /	ROCCA, JACQUELYN	FIDELITY EMERGING MKTS T	0.00	0.29	0.00	0.29	95.0	0.28
/ /	ROCCA, ALEX	FIDELITY EMERGING MKTS T	0.00	0.18	0.00	0.18	95.0	0.17
/ /	ROCCA, AARON	FIDELITY EMERGING MKTS T	0.00	0.18	0.00	0.18	95.0	0.17
/ /	DUDZIK, ELZBIETA	FIDELITY EMERGING MKTS T	0.00	7.43	0.00	7.43	95.0	7.06
/ /	KULBACK, WILLIAM	FIDELITY EQUITY GROWTH A	0.00	5.49	0.00	5.49	95.0	5.22
/ /	HERWARTH, CHARLES	FIDELITY EQUITY GROWTH A	0.00	1.97	0.00	1.97	95.0	1.87
/ /	BESS, JAMES	FIDELITY EQUITY GROWTH A	0.00	2.99	0.00	2.99	95.0	2.84
/ /	ZOBOSKI, JAYNE	FIDELITY EQUITY INCOME A	0.00	3.75	0.00	3.75	95.0	3.56
/ /	FRINTNER, SEAN EDWARD	FIDELITY EQUITY INCOME A	0.00	1.31	0.00	1.31	95.0	1.24
/ /	ZERILLI, ROSA	FIDELITY GOV'T MMKT DAILY MONEY C	0.00	3.43	0.00	3.43	95.0	3.26
/ /	HERWARTH, CHARLES	FIDELITY TECHNOLOGY A	0.00	1.60	0.00	1.60	95.0	1.52
/ /	ROHLOFF, SHARON	FIDELITY TECHNOLOGY A	0.00	0.67	0.00	0.67	95.0	0.64
/ /	BEARD, LATOYA	FIDELITY TECHNOLOGY A	0.00	0.03	0.00	0.03	95.0	0.03
/ /	KRAUSE, BARBARA	FIRST INVESTORS MULTI STATE INSD TA	0.00	99.70	0.00	99.70	95.0	94.72
12/18/2017	WAGNER II TRUST, HARRY	GRIFFIN INST'L ACCESS R E FUND C	0.00	89.82	0.00	89.82	95.0	85.33
12/18/2017	WAGNER II TRUST, HARRY	GRIFFIN INST'L ACCESS R E FUND C	0.00	269.46	0.00	269.46	95.0	255.99
12/18/2017	FARRAR TRUST, CHARLES & KAREN	GRIFFIN INST'L ACCESS R E FUND C	0.00	43.87	0.00	43.87	95.0	41.68
12/18/2017	FARRAR TRUST, CHARLES & KAREN	GRIFFIN INST'L ACCESS R E FUND C	0.00	131.60	0.00	131.60	95.0	125.02
12/18/2017	ANDERSON, ARTHUR	GRIFFIN INST'L ACCESS R E FUND C	0.00	10.97	0.00	10.97	95.0	10.42
12/18/2017	ANDERSON, ARTHUR	GRIFFIN INST'L ACCESS R E FUND C	0.00	32.90	0.00	32.90	95.0	31.26
/ /	OVERMYER, SUSAN	HARTFORD CAPITAL APP II A	0.00	4.71	0.00	4.71	95.0	4.47
/ /	ROCCA, HELEN	HARTFORD CAPITAL APPRECIATION A	0.00	0.68	0.00	0.68	95.0	0.65
/ /	HARTMAN, GREGORY	HARTFORD CAPITAL APPRECIATION A	0.00	1.43	0.00	1.43	95.0	1.36
/ /	GARON-NOWACZYK TRUST, KIM	HARTFORD CAPITAL APPRECIATION C	0.00	5.64	0.00	5.64	95.0	5.36
/ /	OVERMYER, SUSAN	HARTFORD DIVIDEND & GROWTH A	0.00	14.60	0.00	14.60	95.0	13.87
/ /	COLE, JAMES WILLIAM	HARTFORD DIVIDEND & GROWTH C	0.00	13.99	0.00	13.99	95.0	13.29
/ /	HARTMAN, GREGORY	HARTFORD HEALTHCARE A	0.00	0.83	0.00	0.83	95.0	0.79

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<u>DIRECT TRANSACTIONS</u>								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS								
/ /	OVERMYER, SUSAN	HARTFORD HEALTHCARE A	0.00	23.49	0.00	23.49	95.0	22.32
/ /	RUFFINO, ERNESTINE	HARTFORD HEALTHCARE A	0.00	19.61	0.00	19.61	95.0	18.63
/ /	GARON-NOWACZYK TRUST, KIM	HARTFORD HEALTHCARE C	0.00	5.11	0.00	5.11	95.0	4.85
/ /	HARTMAN, GREGORY	HARTFORD MIDCAP A	0.00	2.25	0.00	2.25	95.0	2.14
/ /	OVERMYER, SUSAN	HARTFORD MIDCAP A	0.00	15.91	0.00	15.91	95.0	15.11
/ /	GARON-NOWACZYK TRUST, KIM	HARTFORD MIDCAP C	0.00	5.00	0.00	5.00	95.0	4.75
/ /	HARTMAN, GREGORY	HARTFORD MIDCAP VALUE A	0.00	0.72	0.00	0.72	95.0	0.68
/ /	HARTMAN, GREGORY	HARTFORD SCHRDRS US SM MD CAP OPP-A	0.00	1.38	0.00	1.38	95.0	1.31
/ /	HARTMAN, GREGORY	HARTFORD SMALLCAP GROWTH A	0.00	4.24	0.00	4.24	95.0	4.03
/ /	HARTMAN, GREGORY	HARTFUND EQUITY INCIME FUND A	0.00	2.04	0.00	2.04	95.0	1.94
/ /	KOSANKE, LORI	OPPENHEIMER CAPITAL APPRECIATION A	0.00	5.04	0.00	5.04	95.0	4.79
/ /	HOLT, DEBBIE	OPPENHEIMER CAPITAL APPRECIATION A	0.00	69.91	0.00	69.91	95.0	66.41
/ /	POOLEY, TATIANA	OPPENHEIMER CAPITAL APPRECIATION A	0.00	0.01	0.00	0.01	95.0	0.01
/ /	KRAYDICH, KELLIE	OPPENHEIMER CAPITAL APPRECIATION A	0.00	0.67	0.00	0.67	95.0	0.64
/ /	TRINH, CHRISTINE	OPPENHEIMER CAPITAL APPRECIATION A	0.00	2.78	0.00	2.78	95.0	2.64
/ /	LEPPEK, JUDITH	OPPENHEIMER CAPITAL APPRECIATION A	0.00	16.26	0.00	16.26	95.0	15.45
/ /	KEECH, SCOTT	OPPENHEIMER CAPITAL APPRECIATION A	0.00	10.13	0.00	10.13	95.0	9.62
/ /	KOSANKE, MARK	OPPENHEIMER CAPITAL APPRECIATION A	0.00	6.50	0.00	6.50	95.0	6.18
/ /	MAYNARD, JULIE	OPPENHEIMER CAPITAL APPRECIATION A	0.00	13.15	0.00	13.15	95.0	12.49
/ /	SOLDAN, JULIE	OPPENHEIMER CAPITAL APPRECIATION A	0.00	14.70	0.00	14.70	95.0	13.97
/ /	WATKINS, KATHRYN	OPPENHEIMER CAPITAL APPRECIATION A	0.00	8.26	0.00	8.26	95.0	7.85
/ /	RUFFIN, JOHN	OPPENHEIMER CAPITAL APPRECIATION A	0.00	15.01	0.00	15.01	95.0	14.26
/ /	NEUER-MIHALAK, LORIE	OPPENHEIMER CAPITAL APPRECIATION A	0.00	4.06	0.00	4.06	95.0	3.86
/ /	CAPWELL, MARK	OPPENHEIMER CAPITAL APPRECIATION A	0.00	12.59	0.00	12.59	95.0	11.96
/ /	TAKACS, RYAN	OPPENHEIMER CAPITAL APPRECIATION A	0.00	4.61	0.00	4.61	95.0	4.38
/ /	HICKS, MELISSA	OPPENHEIMER CAPITAL APPRECIATION A	0.00	0.10	0.00	0.10	95.0	0.10
/ /	BUTLER, SANDRA	OPPENHEIMER CAPITAL APPRECIATION A	0.00	0.03	0.00	0.03	95.0	0.03
/ /	BAKER, STEVEN	OPPENHEIMER CAPITAL APPRECIATION A	0.00	0.98	0.00	0.98	95.0	0.93
/ /	JOUPPI, SHARON	OPPENHEIMER CAPITAL APPRECIATION A	0.00	17.87	0.00	17.87	95.0	16.98
/ /	HICKS, MELISSA	OPPENHEIMER CAPITAL APPRECIATION B	0.00	0.05	0.00	0.05	95.0	0.05
/ /	BAKER, STEVEN	OPPENHEIMER CAPITAL APPRECIATION B	0.00	0.64	0.00	0.64	95.0	0.61
/ /	GALLAS, MICHAEL	OPPENHEIMER CAPITAL APPRECIATION C	0.00	14.62	0.00	14.62	95.0	13.89
/ /	RENTROP, GARRETT	OPPENHEIMER CAPITAL APPRECIATION C	0.00	23.06	0.00	23.06	95.0	21.91

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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								
/ /	DITRI, ANN	OPPENHEIMER CAPITAL APPRECIATION C	0.00	18.37	0.00	18.37	95.0	17.45
/ /	DINKA, JOHN	OPPENHEIMER CAPITAL APPRECIATION C	0.00	105.29	0.00	105.29	95.0	100.03
/ /	HICKS, MELISSA	OPPENHEIMER CAPITAL APPRECIATION C	0.00	5.10	0.00	5.10	95.0	4.85
/ /	BAKER, STEVEN	OPPENHEIMER CAPITAL APPRECIATION C	0.00	21.98	0.00	21.98	95.0	20.88
/ /	HENRY, JACQUELINE	OPPENHEIMER CAPITAL APPRECIATION C	0.00	5.08	0.00	5.08	95.0	4.83
/ /	KOGUT, MONICA	OPPENHEIMER CAPITAL APPRECIATION C	0.00	3.40	0.00	3.40	95.0	3.23
/ /	ELIAS, JANICE	OPPENHEIMER CAPITAL APPRECIATION C	0.00	0.16	0.00	0.16	95.0	0.15
/ /	HOWEY, JESSICA	OPPENHEIMER CAPITAL APPRECIATION C	0.00	0.44	0.00	0.44	95.0	0.42
/ /	KRAYDICH, KELLIE	OPPENHEIMER CAPITAL INCOME A	0.00	0.65	0.00	0.65	95.0	0.62
/ /	LEPPEK, JUDITH	OPPENHEIMER CAPITAL INCOME A	0.00	11.70	0.00	11.70	95.0	11.12
/ /	BOYD, SONYA	OPPENHEIMER DISCOVERY A	0.00	0.95	0.00	0.95	95.0	0.90
/ /	KEECH, SCOTT	OPPENHEIMER DISCOVERY A	0.00	4.10	0.00	4.10	95.0	3.90
/ /	KOLDERMAN, ETHAN	OPPENHEIMER DISCOVERY A	0.00	4.50	0.00	4.50	95.0	4.28
/ /	KOLDERMAN, NATHAN	OPPENHEIMER DISCOVERY A	0.00	5.14	0.00	5.14	95.0	4.88
/ /	LABAZA, LYNN	OPPENHEIMER DISCOVERY A	0.00	5.49	0.00	5.49	95.0	5.22
/ /	LABAZA, JOHN	OPPENHEIMER DISCOVERY A	0.00	5.49	0.00	5.49	95.0	5.22
/ /	KOSANKE, MARK	OPPENHEIMER DISCOVERY A	0.00	6.04	0.00	6.04	95.0	5.74
/ /	LABAZA, LYNN	OPPENHEIMER DISCOVERY C	0.00	68.99	0.00	68.99	95.0	65.54
/ /	LABAZA, JOHN	OPPENHEIMER DISCOVERY C	0.00	68.99	0.00	68.99	95.0	65.54
/ /	DAMORE, MONICA	OPPENHEIMER DISCOVERY C	0.00	38.07	0.00	38.07	95.0	36.17
/ /	KOSANKE, LORI	OPPENHEIMER EQUITY INCOME A	0.00	4.94	0.00	4.94	95.0	4.69
/ /	POOLEY, TATIANA	OPPENHEIMER EQUITY INCOME A	0.00	0.04	0.00	0.04	95.0	0.04
/ /	GOLD, LORNE	OPPENHEIMER EQUITY INCOME A	0.00	5.43	0.00	5.43	95.0	5.16
/ /	KOGUT, MONICA	OPPENHEIMER EQUITY INCOME C	0.00	3.12	0.00	3.12	95.0	2.96
/ /	HOWEY, JESSICA	OPPENHEIMER EQUITY INCOME C	0.00	0.48	0.00	0.48	95.0	0.46
/ /	SMOLAREK, CHERYL	OPPENHEIMER EQUITY INVESTOR B	0.00	1.35	0.00	1.35	95.0	1.28
/ /	PURCELL, JOSHUA	OPPENHEIMER GLOBAL A	0.00	0.64	0.00	0.64	95.0	0.61
/ /	ROSENBERG, MARCY	OPPENHEIMER GLOBAL A	0.00	16.12	0.00	16.12	95.0	15.31
/ /	GOLD, LORNE	OPPENHEIMER GLOBAL A	0.00	7.79	0.00	7.79	95.0	7.40
/ /	STIRSMAN, MATTHEW	OPPENHEIMER GLOBAL A	0.00	22.73	0.00	22.73	95.0	21.59
/ /	TAKACS, RYAN	OPPENHEIMER GLOBAL A	0.00	4.80	0.00	4.80	95.0	4.56
/ /	CRANDALL, MEGAN	OPPENHEIMER GLOBAL ALLOCATION A	0.00	0.10	0.00	0.10	95.0	0.10
/ /	MAYNARD, JULIE	OPPENHEIMER GLOBAL ALLOCATION A	0.00	11.27	0.00	11.27	95.0	10.71

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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>								
/ /	SOLDAN, JULIE	OPPENHEIMER GLOBAL ALLOCATION A	0.00	10.37	0.00	10.37	95.0	9.85
/ /	MICHAELS, CHRISTINA	OPPENHEIMER GLOBAL ALLOCATION A	0.00	4.14	0.00	4.14	95.0	3.93
/ /	DITRI, ANN	OPPENHEIMER GLOBAL C	0.00	19.16	0.00	19.16	95.0	18.20
/ /	HENRY, JACQUELINE	OPPENHEIMER GLOBAL C	0.00	4.97	0.00	4.97	95.0	4.72
/ /	KOSANKE, LORI	OPPENHEIMER GLOBAL OPPORTUNITIES A	0.00	2.62	0.00	2.62	95.0	2.49
/ /	KOSANKE, MARK	OPPENHEIMER GLOBAL OPPORTUNITIES A	0.00	7.32	0.00	7.32	95.0	6.95
/ /	MIKLEVICH, MICHAEL	OPPENHEIMER GLOBAL OPPORTUNITIES A	0.00	22.74	0.00	22.74	95.0	21.60
/ /	MAYNARD, JULIE	OPPENHEIMER GLOBAL OPPORTUNITIES A	0.00	19.14	0.00	19.14	95.0	18.18
/ /	ZYREK, DARLENE	OPPENHEIMER GLOBAL OPPORTUNITIES A	0.00	59.58	0.00	59.58	95.0	56.60
/ /	MERRITT, MARY LOU	OPPENHEIMER GLOBAL OPPORTUNITIES A	0.00	19.33	0.00	19.33	95.0	18.36
/ /	MCCOLLEY, SHEA	OPPENHEIMER GLOBAL OPPORTUNITIES A	0.00	0.25	0.00	0.25	95.0	0.24
/ /	DINKA, CATHERINE	OPPENHEIMER GLOBAL OPPORTUNITIES A	0.00	4.56	0.00	4.56	95.0	4.33
/ /	TRINH, CHRISTINE	OPPENHEIMER GLOBAL OPPORTUNITIES A	0.00	3.33	0.00	3.33	95.0	3.16
/ /	FERRARI, JACQUELINE	OPPENHEIMER GLOBAL OPPORTUNITIES A	0.00	6.80	0.00	6.80	95.0	6.46
/ /	NEUER-MIHALAK, LORIE	OPPENHEIMER GLOBAL OPPORTUNITIES A	0.00	8.84	0.00	8.84	95.0	8.40
/ /	CAPWELL, MARK	OPPENHEIMER GLOBAL OPPORTUNITIES A	0.00	19.99	0.00	19.99	95.0	18.99
/ /	DEW, DESIREE	OPPENHEIMER GLOBAL OPPORTUNITIES A	0.00	19.90	0.00	19.90	95.0	18.91
/ /	SCHULTZ, DEBRA	OPPENHEIMER GLOBAL OPPORTUNITIES A	0.00	19.83	0.00	19.83	95.0	18.84
/ /	TRBOVICH, HEATHER	OPPENHEIMER GLOBAL OPPORTUNITIES A	0.00	1.70	0.00	1.70	95.0	1.62
/ /	HOWEY, JESSICA	OPPENHEIMER GLOBAL OPPORTUNITIES A	0.00	0.79	0.00	0.79	95.0	0.75
/ /	SMITH, ASHLEY	OPPENHEIMER GLOBAL OPPORTUNITIES A	0.00	0.29	0.00	0.29	95.0	0.28
/ /	TRBOVICH, NICK	OPPENHEIMER GLOBAL OPPORTUNITIES A	0.00	0.91	0.00	0.91	95.0	0.86
/ /	TRBOVICH, MARY	OPPENHEIMER GLOBAL OPPORTUNITIES A	0.00	0.73	0.00	0.73	95.0	0.69
/ /	DINKA, CATHERINE	OPPENHEIMER GLOBAL OPPORTUNITIES B	0.00	0.12	0.00	0.12	95.0	0.11
/ /	DEW, DESIREE	OPPENHEIMER GLOBAL OPPORTUNITIES B	0.00	0.17	0.00	0.17	95.0	0.16
/ /	NEED, GREGORY	OPPENHEIMER GLOBAL OPPORTUNITIES C	0.00	23.57	0.00	23.57	95.0	22.39
/ /	GALLAS, MICHAEL	OPPENHEIMER GLOBAL OPPORTUNITIES C	0.00	3.97	0.00	3.97	95.0	3.77
/ /	RENTROP, GARRETT	OPPENHEIMER GLOBAL OPPORTUNITIES C	0.00	29.21	0.00	29.21	95.0	27.75
/ /	MCCOLLEY, SHEA	OPPENHEIMER GLOBAL OPPORTUNITIES C	0.00	0.64	0.00	0.64	95.0	0.61
/ /	DINKA, CATHERINE	OPPENHEIMER GLOBAL OPPORTUNITIES C	0.00	31.71	0.00	31.71	95.0	30.12
/ /	DINKA, JOHN	OPPENHEIMER GLOBAL OPPORTUNITIES C	0.00	67.78	0.00	67.78	95.0	64.39
/ /	SCHULTZ, DEBRA	OPPENHEIMER GLOBAL OPPORTUNITIES C	0.00	47.53	0.00	47.53	95.0	45.15
/ /	DAMORE, MONICA	OPPENHEIMER GLOBAL OPPORTUNITIES C	0.00	42.72	0.00	42.72	95.0	40.58

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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>								
/ /	BOYD, SONYA	OPPENHEIMER GLOBAL STRATEGIC INC A	0.00	0.59	0.00	0.59	95.0	0.56
/ /	TATUM, PATICIA	OPPENHEIMER GLOBAL STRATEGIC INC A	0.00	1.14	0.00	1.14	95.0	1.08
/ /	CRANDALL, MEGAN	OPPENHEIMER GLOBAL STRATEGIC INC A	0.00	0.34	0.00	0.34	95.0	0.32
/ /	GOLD, LORNE	OPPENHEIMER GLOBAL STRATEGIC INC A	0.00	0.79	0.00	0.79	95.0	0.75
/ /	MICHAELS, CHRISTINA	OPPENHEIMER GLOBAL STRATEGIC INC A	0.00	4.81	0.00	4.81	95.0	4.57
/ /	RENTROP, GARRETT	OPPENHEIMER GLOBAL STRATEGIC INC C	0.00	15.96	0.00	15.96	95.0	15.16
/ /	HENRY, JACQUELINE	OPPENHEIMER GLOBAL STRATEGIC INC C	0.00	3.97	0.00	3.97	95.0	3.77
/ /	HENRY, JACQUELINE	OPPENHEIMER GOLD & SPECIAL MINERALS	0.00	3.45	0.00	3.45	95.0	3.28
/ /	GOLD, LORNE	OPPENHEIMER INTL BOND A	0.00	1.45	0.00	1.45	95.0	1.38
/ /	BAKER, STEVEN	OPPENHEIMER INTL BOND A	0.00	0.51	0.00	0.51	95.0	0.48
/ /	BAKER, STEVEN	OPPENHEIMER INTL BOND B	0.00	0.36	0.00	0.36	95.0	0.34
/ /	BAKER, STEVEN	OPPENHEIMER INTL BOND C	0.00	17.09	0.00	17.09	95.0	16.24
/ /	HALSEY, DEBRA	OPPENHEIMER INTL BOND C	0.00	4.03	0.00	4.03	95.0	3.83
/ /	BAKER, STEVEN	OPPENHEIMER INTL DIVERSIFIED A	0.00	0.71	0.00	0.71	95.0	0.67
/ /	BAKER, STEVEN	OPPENHEIMER INTL DIVERSIFIED B	0.00	0.63	0.00	0.63	95.0	0.60
/ /	BAKER, STEVEN	OPPENHEIMER INTL DIVERSIFIED C	0.00	20.64	0.00	20.64	95.0	19.61
/ /	GOLD, LORNE	OPPENHEIMER INTL GROWTH A	0.00	1.68	0.00	1.68	95.0	1.60
/ /	MUNTEANU, RADU	OPPENHEIMER INTL GROWTH A	0.00	1.17	0.00	1.17	95.0	1.11
/ /	CAPWELL, MARK	OPPENHEIMER INTL GROWTH A	0.00	2.17	0.00	2.17	95.0	2.06
/ /	NEED, GREGORY	OPPENHEIMER INTL GROWTH C	0.00	27.23	0.00	27.23	95.0	25.87
/ /	OWENS, JEAN	OPPENHEIMER INTL SMALL CO A	0.00	0.91	0.00	0.91	95.0	0.86
/ /	KRAYDICH, KELLIE	OPPENHEIMER INTL SMALL CO A	0.00	0.76	0.00	0.76	95.0	0.72
/ /	LEPPEK, JUDITH	OPPENHEIMER INTL SMALL CO A	0.00	21.98	0.00	21.98	95.0	20.88
/ /	DAMORE, MONICA	OPPENHEIMER INTL SMALL CO C	0.00	34.07	0.00	34.07	95.0	32.37
/ /	DEREY, DENISE	OPPENHEIMER MAIN ST SELECT C	0.00	0.26	0.00	0.26	95.0	0.25
/ /	DINKA, CATHERINE	OPPENHEIMER MAIN ST SELECT C	0.00	68.68	0.00	68.68	95.0	65.25
/ /	HICKS, MELISSA	OPPENHEIMER MAIN ST SELECT C	0.00	6.37	0.00	6.37	95.0	6.05
/ /	HOWEY, JESSICA	OPPENHEIMER MAIN ST SELECT C	0.00	0.54	0.00	0.54	95.0	0.51
/ /	NEED, GREGORY	OPPENHEIMER MAIN ST SMALL & MID CAP	0.00	17.47	0.00	17.47	95.0	16.60
/ /	RENTROP, GARRETT	OPPENHEIMER MAIN ST SMALL & MID CAP	0.00	22.12	0.00	22.12	95.0	21.01
/ /	DINKA, CATHERINE	OPPENHEIMER MAIN ST SMALL & MID CAP	0.00	68.79	0.00	68.79	95.0	65.35
/ /	HENRY, JACQUELINE	OPPENHEIMER MAIN ST SMALL & MID CAP	0.00	4.66	0.00	4.66	95.0	4.43
/ /	KOSANKE, LORI	OPPENHEIMER MAIN STREET A	0.00	2.16	0.00	2.16	95.0	2.05

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
/ /	TATUM, PATICIA	OPPENHEIMER MAIN STREET A	0.00	0.60	0.00	0.60	95.0	0.57
/ /	BARRY, MEGAN	OPPENHEIMER MAIN STREET A	0.00	6.97	0.00	6.97	95.0	6.62
/ /	BOYD, SONYA	OPPENHEIMER MAIN STREET A	0.00	1.15	0.00	1.15	95.0	1.09
/ /	VISAN, JAMES	OPPENHEIMER MAIN STREET A	0.00	0.27	0.00	0.27	95.0	0.26
/ /	CRANDALL, MEGAN	OPPENHEIMER MAIN STREET A	0.00	1.17	0.00	1.17	95.0	1.11
/ /	POOLEY, TATIANA	OPPENHEIMER MAIN STREET A	0.00	0.04	0.00	0.04	95.0	0.04
/ /	DINKA, CATHERINE	OPPENHEIMER MAIN STREET A	0.00	11.17	0.00	11.17	95.0	10.61
/ /	GOLD, LORNE	OPPENHEIMER MAIN STREET A	0.00	12.08	0.00	12.08	95.0	11.48
/ /	KOSANKE, MARK	OPPENHEIMER MAIN STREET A	0.00	2.37	0.00	2.37	95.0	2.25
/ /	MAYNARD, JULIE	OPPENHEIMER MAIN STREET A	0.00	11.32	0.00	11.32	95.0	10.75
/ /	MCDONALD, VICKI	OPPENHEIMER MAIN STREET A	0.00	9.49	0.00	9.49	95.0	9.02
/ /	PALAZZOLO, GABRIELLA	OPPENHEIMER MAIN STREET A	0.00	7.62	0.00	7.62	95.0	7.24
/ /	BUTLER, SANDRA	OPPENHEIMER MAIN STREET A	0.00	0.12	0.00	0.12	95.0	0.11
/ /	JOUPPI, SHARON	OPPENHEIMER MAIN STREET A	0.00	14.78	0.00	14.78	95.0	14.04
/ /	COWAN, KEVIN	OPPENHEIMER MAIN STREET A	0.00	0.70	0.00	0.70	95.0	0.67
/ /	TRBOVICH, HEATHER	OPPENHEIMER MAIN STREET A	0.00	1.43	0.00	1.43	95.0	1.36
/ /	HOWEY, JESSICA	OPPENHEIMER MAIN STREET A	0.00	0.67	0.00	0.67	95.0	0.64
/ /	SMITH, ASHLEY	OPPENHEIMER MAIN STREET A	0.00	0.26	0.00	0.26	95.0	0.25
/ /	TRBOVICH, NICK	OPPENHEIMER MAIN STREET A	0.00	0.85	0.00	0.85	95.0	0.81
/ /	TRBOVICH, MARY	OPPENHEIMER MAIN STREET A	0.00	0.68	0.00	0.68	95.0	0.65
/ /	BUSZEK, RICHARD	OPPENHEIMER MAIN STREET A	0.00	11.08	0.00	11.08	95.0	10.53
/ /	BARRY, MEGAN	OPPENHEIMER MAIN STREET B	0.00	0.32	0.00	0.32	95.0	0.30
/ /	DINKA, CATHERINE	OPPENHEIMER MAIN STREET B	0.00	0.25	0.00	0.25	95.0	0.24
/ /	BARRY, MEGAN	OPPENHEIMER MAIN STREET C	0.00	9.60	0.00	9.60	95.0	9.12
/ /	NEED, GREGORY	OPPENHEIMER MAIN STREET C	0.00	37.57	0.00	37.57	95.0	35.69
/ /	DINKA, CATHERINE	OPPENHEIMER MAIN STREET C	0.00	69.70	0.00	69.70	95.0	66.22
/ /	GRIFFIN, JAMES	OPPENHEIMER MAIN STREET C	0.00	0.44	0.00	0.44	95.0	0.42
/ /	GRIFFIN, ALAN	OPPENHEIMER MAIN STREET C	0.00	14.24	0.00	14.24	95.0	13.53
/ /	GALLAS, MICHAEL	OPPENHEIMER MAIN STREET C	0.00	16.25	0.00	16.25	95.0	15.44
/ /	MCCOLLEY, SHEA	OPPENHEIMER MAIN STREET C	0.00	2.04	0.00	2.04	95.0	1.94
/ /	HENRY, JACQUELINE	OPPENHEIMER MAIN STREET C	0.00	6.92	0.00	6.92	95.0	6.57
/ /	KOGUT, MONICA	OPPENHEIMER MAIN STREET C	0.00	3.62	0.00	3.62	95.0	3.44
/ /	KOSANKE, LORI	OPPENHEIMER MAIN STREET OPP A	0.00	4.99	0.00	4.99	95.0	4.74

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<u>DIRECT TRANSACTIONS</u>								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS								
/ /	CAPWELL, MARK	OPPENHEIMER MAIN STREET OPP A	0.00	13.60	0.00	13.60	95.0	12.92
/ /	TAKACS, RYAN	OPPENHEIMER MAIN STREET OPP A	0.00	4.58	0.00	4.58	95.0	4.35
/ /	HICKS, MELISSA	OPPENHEIMER MAIN STREET OPP A	0.00	0.11	0.00	0.11	95.0	0.10
/ /	HICKS, MELISSA	OPPENHEIMER MAIN STREET OPP B	0.00	0.11	0.00	0.11	95.0	0.10
/ /	SOLDAN, JULIE	OPPENHEIMER MAIN STREET SMALLCAP A	0.00	15.98	0.00	15.98	95.0	15.18
/ /	DITRI, ANN	OPPENHEIMER MAIN STREET SMALLCAP A	0.00	2.37	0.00	2.37	95.0	2.25
/ /	MICHAELS, CHRISTINA	OPPENHEIMER MAIN STREET SMALLCAP A	0.00	6.01	0.00	6.01	95.0	5.71
/ /	GOLD, LORNE	OPPENHEIMER MAIN STREET SMALLCAP A	0.00	8.29	0.00	8.29	95.0	7.88
/ /	DINKA, CATHERINE	OPPENHEIMER MAIN STREET SMALLCAP A	0.00	11.73	0.00	11.73	95.0	11.14
/ /	CAPWELL, MARK	OPPENHEIMER MAIN STREET SMALLCAP A	0.00	11.68	0.00	11.68	95.0	11.10
/ /	DINKA, CATHERINE	OPPENHEIMER MAIN STREET SMALLCAP B	0.00	0.28	0.00	0.28	95.0	0.27
/ /	SMOLAREK, CHERYL	OPPENHEIMER PORTFOLIO SERIES EQ INV	0.00	11.45	0.00	11.45	95.0	10.88
/ /	CZARNECKI, THERESA	OPPENHEIMER PORTFOLIO SERIRES: MOD	0.00	22.41	0.00	22.41	95.0	21.29
/ /	SMOLAREK, CHERYL	OPPENHEIMER PTF SERIES EQUITY INVES	0.00	34.05	0.00	34.05	95.0	32.35
/ /	MICHAELS, CHRISTINA	OPPENHEIMER QUEST INT'L VALUE A	0.00	3.99	0.00	3.99	95.0	3.79
/ /	TRINH, CHRISTINE	OPPENHEIMER QUEST INT'L VALUE A	0.00	1.68	0.00	1.68	95.0	1.60
/ /	LEPPEK, JUDITH	OPPENHEIMER QUEST INT'L VALUE A	0.00	13.19	0.00	13.19	95.0	12.53
/ /	TERPSTRA, SANDRA	OPPENHEIMER QUEST OPP VALUE A	0.00	49.62	0.00	49.62	95.0	47.14
/ /	BAKER, STEVEN	OPPENHEIMER QUEST OPP VALUE A	0.00	0.52	0.00	0.52	95.0	0.49
/ /	TERPSTRA, SANDRA	OPPENHEIMER QUEST OPP VALUE B	0.00	3.26	0.00	3.26	95.0	3.10
/ /	BAKER, STEVEN	OPPENHEIMER QUEST OPP VALUE B	0.00	0.44	0.00	0.44	95.0	0.42
/ /	MCCOLLEY, SHEA	OPPENHEIMER QUEST OPP VALUE C	0.00	3.21	0.00	3.21	95.0	3.05
/ /	TERPSTRA, SANDRA	OPPENHEIMER QUEST OPP VALUE C	0.00	102.69	0.00	102.69	95.0	97.56
/ /	BAKER, STEVEN	OPPENHEIMER QUEST OPP VALUE C	0.00	16.67	0.00	16.67	95.0	15.84
/ /	KOSANKE, LORI	OPPENHEIMER REAL ESTATE A	0.00	2.03	0.00	2.03	95.0	1.93
/ /	TRBOVICH, HEATHER	OPPENHEIMER REAL ESTATE A	0.00	1.28	0.00	1.28	95.0	1.22
/ /	HOWEY, JESSICA	OPPENHEIMER REAL ESTATE A	0.00	0.61	0.00	0.61	95.0	0.58
/ /	KOSANKE, MARK	OPPENHEIMER REAL ESTATE A	0.00	2.01	0.00	2.01	95.0	1.91
/ /	SMITH, ASHLEY	OPPENHEIMER REAL ESTATE A	0.00	0.25	0.00	0.25	95.0	0.24
/ /	TRBOVICH, NICK	OPPENHEIMER REAL ESTATE A	0.00	0.85	0.00	0.85	95.0	0.81
/ /	TRBOVICH, MARY	OPPENHEIMER REAL ESTATE A	0.00	0.69	0.00	0.69	95.0	0.66
/ /	KOSANKE, LORI	OPPENHEIMER RISING DIVIDENDS A	0.00	4.84	0.00	4.84	95.0	4.60
/ /	POOLEY, TATIANA	OPPENHEIMER RISING DIVIDENDS A	0.00	0.04	0.00	0.04	95.0	0.04

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
/ /	NEED, GREGORY	OPPENHEIMER RISING DIVIDENDS C	0.00	24.24	0.00	24.24	95.0	23.03
/ /	GALLAS, MICHAEL	OPPENHEIMER RISING DIVIDENDS C	0.00	11.79	0.00	11.79	95.0	11.20
/ /	HENRY, JACQUELINE	OPPENHEIMER RISING DIVIDENDS C	0.00	4.71	0.00	4.71	95.0	4.47
/ /	KOGUT, MONICA	OPPENHEIMER RISING DIVIDENDS C	0.00	3.34	0.00	3.34	95.0	3.17
/ /	HOWEY, JESSICA	OPPENHEIMER RISING DIVIDENDS C	0.00	0.52	0.00	0.52	95.0	0.49
/ /	CAPWELL, MARK	OPPENHEIMER SELECT VALUE A	0.00	4.08	0.00	4.08	95.0	3.88
/ /	NEED, GREGORY	OPPENHEIMER SELECT VALUE C	0.00	24.29	0.00	24.29	95.0	23.08
/ /	LABAZA, LYNN	OPPENHEIMER SMALL & MIDCAP GROWTH A	0.00	5.46	0.00	5.46	95.0	5.19
/ /	LABAZA, JOHN	OPPENHEIMER SMALL & MIDCAP GROWTH A	0.00	5.46	0.00	5.46	95.0	5.19
/ /	WOUDSTRA, KAREN	OPPENHEIMER SMALL & MIDCAP GROWTH C	0.00	2.08	0.00	2.08	95.0	1.98
/ /	LABAZA, LYNN	OPPENHEIMER SMALL & MIDCAP GROWTH C	0.00	71.16	0.00	71.16	95.0	67.60
/ /	LABAZA, JOHN	OPPENHEIMER SMALL & MIDCAP GROWTH C	0.00	71.16	0.00	71.16	95.0	67.60
/ /	BOYD, SONYA	OPPENHEIMER SMALL MID CAP VALUE A	0.00	1.48	0.00	1.48	95.0	1.41
/ /	DEREY, DENISE	OPPENHEIMER SMALL MID CAP VALUE C	0.00	76.29	0.00	76.29	95.0	72.48
/ /	CARMODY, WILLIAM	OPPENHEIMER US GOVT TRUST C	0.00	41.51	0.00	41.51	95.0	39.43
/ /	KOSANKE, LORI	OPPENHEIMER VALUE A	0.00	2.11	0.00	2.11	95.0	2.00
/ /	MICHAELS, CHRISTINA	OPPENHEIMER VALUE A	0.00	5.46	0.00	5.46	95.0	5.19
/ /	GOLD, LORNE	OPPENHEIMER VALUE A	0.00	9.30	0.00	9.30	95.0	8.84
/ /	DINKA, JOHN	OPPENHEIMER VALUE A	0.00	14.80	0.00	14.80	95.0	14.06
/ /	TAKACS, RYAN	OPPENHEIMER VALUE A	0.00	4.30	0.00	4.30	95.0	4.09
/ /	TRBOVICH, HEATHER	OPPENHEIMER VALUE A	0.00	1.43	0.00	1.43	95.0	1.36
/ /	HOWEY, JESSICA	OPPENHEIMER VALUE A	0.00	0.67	0.00	0.67	95.0	0.64
/ /	SMITH, ASHLEY	OPPENHEIMER VALUE A	0.00	0.26	0.00	0.26	95.0	0.25
/ /	TRBOVICH, NICK	OPPENHEIMER VALUE A	0.00	0.86	0.00	0.86	95.0	0.82
/ /	TRBOVICH, MARY	OPPENHEIMER VALUE A	0.00	0.70	0.00	0.70	95.0	0.67
/ /	DINKA, JOHN	OPPENHEIMER VALUE B	0.00	1.19	0.00	1.19	95.0	1.13
/ /	DEREY, DENISE	OPPENHEIMER VALUE C	0.00	0.02	0.00	0.02	95.0	0.02
/ /	DITRI, ANN	OPPENHEIMER VALUE C	0.00	17.50	0.00	17.50	95.0	16.63
/ /	DINKA, JOHN	OPPENHEIMER VALUE C	0.00	102.16	0.00	102.16	95.0	97.05
/ /	RENTROP, GARRETT	OPPENHEIMER QUEST BALANCED C	0.00	18.49	0.00	18.49	95.0	17.57
/ /	HENRY, JACQUELINE	OPPENHEIMER QUEST BALANCED C	0.00	4.25	0.00	4.25	95.0	4.04
01/03/2018	RASP, LINDA	PIONEER AMT FREE MUNICIPAL A	0.00	87.01	0.00	87.01	95.0	82.66
01/03/2018	RASP, EVELYN	PIONEER AMT FREE MUNICIPAL A	0.00	20.52	0.00	20.52	95.0	19.49

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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: VARIABLE ANNUITY 12B1 TRAILS</u>								
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *			\$0.00	\$3,743.39	\$0.00	\$3,743.39		\$3,556.37
<u>PRODUCT CATEGORY: VARIABLE ANNUITY 12B1 TRAILS</u>								
12/29/2017	BYERS, SHARRON	GENWORTH TRAILS	0.00	18.30	0.00	18.30	95.0	17.39
12/29/2017	EMBACH, KEVIN	GENWORTH TRAILS	0.00	68.16	0.00	68.16	95.0	64.75
12/29/2017	EMBACH, JAMES	GENWORTH TRAILS	0.00	68.16	0.00	68.16	95.0	64.75
12/29/2017	ZACK, MAUREEN	GENWORTH TRAILS	0.00	68.16	0.00	68.16	95.0	64.75
12/29/2017	MCCLAIN, DOROTHY	GENWORTH TRAILS	0.00	83.07	0.00	83.07	95.0	78.92
12/22/2017	GREGORY, RICHARD	ING PREMIUM PLUS	0.00	15.09	0.00	15.09	95.0	14.34
* VARIABLE ANNUITY 12B1 TRAILS SUBTOTAL *			\$0.00	\$320.94	\$0.00	\$320.94		\$304.90
*** DIRECT TRANSACTIONS TOTAL ***			\$12,028,334.47	\$17,561.83	\$0.00	\$17,561.83		\$16,684.05

SPLIT TRANSACTIONS**BROKER: MARK KOSANKE #3**

12/07/2017	POLYZOIS, GEORGE	***NATIONAL BANK OF GREECE S A	52.73	22.00	14.00	8.00	95.0	7.60
12/11/2017	MARCOLA, THADDEUS	ALLIANCEBERNSTEIN LARGE CAP GROWTH	0.00	0.40	0.00	0.40	95.0	0.38
12/29/2017	ABULNAR, FRANK	ALLIANZ ALTERITY OPTIONS	83,260.70	104.08	0.00	104.08	95.0	98.88
12/29/2017	FORKIN, JOHN	ALLIANZ HIGH FIVE BONUS	190,957.13	238.70	0.00	238.70	95.0	226.77
12/29/2017	ROCCA, MARIA	ALLIANZ REWARDS TRADITIONAL	16,603.10	20.75	0.00	20.75	95.0	19.71
12/29/2017	LOPICCOLO, ARLENE	ALLIANZ VALUEMARK II	52,877.60	33.05	0.00	33.05	95.0	31.40
12/29/2017	LEVERETT, MONA	ALLIANZ VALUEMARK II	58,639.44	36.65	0.00	36.65	95.0	34.82
12/29/2017	SCAGLIONE, DIANA	ALLIANZ VALUEMARK III	102,816.42	64.26	0.00	64.26	95.0	61.05
12/29/2017	KRACHENFELS, EUGENE	ALLIANZ VISION BASIC	13,523.95	16.90	0.00	16.90	95.0	16.06
12/11/2017	CAUL, MARTINA	AM FUNDS AMERICAN BALANCED A	0.00	0.21	0.00	0.21	95.0	0.20
12/11/2017	CAUL, MARTINA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.18	0.00	0.18	95.0	0.17
12/11/2017	GOOSSENS, LORI	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.56	0.00	2.56	95.0	2.43
12/11/2017	CAUL, MARTINA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.48	0.00	0.48	95.0	0.46
12/11/2017	SCULLY, DOROTHY	AM FUNDS ICA A	0.00	12.32	0.00	12.32	95.0	11.70
12/11/2017	MCCALL, JEFFREY	AM FUNDS SMALLCAP WORLD A	0.00	1.26	0.00	1.26	95.0	1.20
12/11/2017	DENNIS, STEVEN	AM FUNDS SMALLCAP WORLD A	0.00	6.67	0.00	6.67	95.0	6.34
12/11/2017	MILLER, JOSEPH	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.59	0.00	1.59	95.0	1.51
12/11/2017	MILLER, JOSEPH	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.59	0.00	1.59	95.0	1.51
12/11/2017	DENNIS, STEVEN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	5.31	0.00	5.31	95.0	5.04

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<u>SPLIT TRANSACTIONS</u>								
<u>BROKER: MARK KOSANKE #3</u>								
12/11/2017	NICOLOSI, ROSE	COLUMBIA SELIGMAN COMM AND INFO A	0.00	2.65	0.00	2.65	95.0	2.52
12/11/2017	DENNIS, STEVEN	DAVIS NEW YORK VENTURE A	0.00	16.62	0.00	16.62	95.0	15.79
12/11/2017	KNOCH JR, WALTER	DAVIS NEW YORK VENTURE A	0.00	10.33	0.00	10.33	95.0	9.81
12/11/2017	ADAMS, ERIK	FEDERATED HIGH INCOME BOND FUND INC	0.00	0.74	0.00	0.74	95.0	0.70
12/11/2017	ADAMS, ERIK	FEDERATED MARKET OPPORTUNITY A	0.00	2.31	0.00	2.31	95.0	2.19
12/11/2017	GARCIA-SANTOS, VICKY	FIRST EAGLE GLOBAL FUND CL A	0.00	7.24	0.00	7.24	95.0	6.88
12/31/2017	KRASS, DELORES	JNL PERSPECTIVE REWARDS	15,459.07	3.22	0.00	3.22	95.0	3.06
12/31/2017	PRITCHETT, EARL	NATIONWIDE MARKETFLEX	33,338.26	20.84	0.00	20.84	95.0	19.80
12/11/2017	ADAMS, TONJA	PUTNAM INTERNATIONAL VALUE-A	0.00	0.28	0.00	0.28	95.0	0.27
12/22/2017	HOSKIN, JOHN	VICTORY CAPITAL MANAGEMENT	0.00	0.71	0.00	0.71	95.0	0.67
12/22/2017	MARCOLA, ERIKA	VICTORY CAPITAL MANAGEMENT	0.00	1.14	0.00	1.14	95.0	1.08
* MARK KOSANKE SUBTOTAL *			\$567,528.40	\$635.04	\$14.00	\$621.04		\$590.00
<u>BROKER: J117-PETE/JOAN JOHNSON/FLAM #19</u>								
/ /	PRICOPIO, VANESSA	JH 529 COLLEGE PORT A	0.00	2.22	0.00	2.22	95.0	2.11
* J117-PETE/JOAN JOHNSON/FLAM SUBTOTAL *			\$0.00	\$2.22	\$0.00	\$2.22		\$2.11
<u>BROKER: PETER JOHNSON #63</u>								
12/29/2017	SUCHYTA, MARY LEE	ALLIANZ VALUEMARK III	435,302.80	272.06	0.00	272.06	95.0	258.46
* PETER JOHNSON SUBTOTAL *			\$435,302.80	\$272.06	\$0.00	\$272.06		\$258.46
*** SPLIT TRANSACTIONS TOTAL ***			\$1,002,831.20	\$909.32	\$14.00	\$895.32		\$850.57

VERRIDE TRANSACTIONS

<u>BROKER: FRANK DUNN #7</u>								
12/29/2017	HOOGENBOOM, ROBERT	CARTER VALIDUS MC REIT II CLASS A	100,000.00	7,000.00	0.00	7,000.00	90.0	350.00
01/04/2018	HOOGENBOOM, ROBERT	GRIFFIN AMERICAN HEALTHCARE REIT IV	100,000.00	3,000.00	0.00	3,000.00	90.0	150.00
01/10/2018	KRAMER, LISA	HPI FUND V	200,000.00	12,000.00	0.00	12,000.00	90.0	600.00
01/05/2018	GORDON, MARJORIE	INLAND GULF COAST IND'L DST	796,560.00	39,828.30	0.00	39,828.30	90.0	1,991.42
01/05/2018	GORDON, MARJORIE	INLAND ZERO COUPON PHARM'Y VIII DST	363,750.00	18,187.50	0.00	18,187.50	90.0	909.38
* FRANK DUNN SUBTOTAL *			\$1,560,310.00	\$80,015.80	\$0.00	\$80,015.80		\$4,000.80

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<u> OVERRIDE TRANSACTIONS </u>								
<u>BROKER: ALEX KOWALSKI #17</u>								
12/14/2017	DEWITT INVESTMENTS	INLAND ZERO COUPON PHARM'Y VIII DST	35,360.00	1,768.09	0.00	1,768.09	85.0	88.40
12/28/2017	MOKLER PROPERTIES IN	INLAND ZERO COUPON PHARM'Y VIII DST	19,370.00	968.75	0.00	968.75	85.0	48.44
* ALEX KOWALSKI SUBTOTAL *			\$54,730.00	\$2,736.84	\$0.00	\$2,736.84		\$136.84
<u>BROKER: THOMAS SCHNEIDER #30</u>								
12/28/2017	SCHECK, VICTORIA	SBL ADVISOR PROGRAM	14,765.65	3.08	0.00	3.08	0.0	2.93
12/28/2017	KELLER, MICHELLE	SBL ADVISOR PROGRAM	29,104.59	6.07	0.00	6.07	0.0	5.77
12/28/2017	YOUNG, MARCIA	SBL ADVISOR PROGRAM	25,507.83	5.32	0.00	5.32	0.0	5.05
12/28/2017	MCCRANN, JAMES	SBL ADVISORDESIGNS VA	6,385.30	1.31	0.00	1.31	0.0	1.24
12/28/2017	HAWK, MARYBELLE	SBL ADVISORDESIGNS VA	7,672.32	1.59	0.00	1.59	0.0	1.51
12/28/2017	BABIN, WILLIAM	SBL ADVISORDESIGNS VA	133,744.33	27.87	0.00	27.87	0.0	26.48
12/28/2017	KUBAN, JOANNE	SBL ADVISORDESIGNS VA	21,069.63	4.39	0.00	4.39	0.0	4.17
12/28/2017	HARTONG, DEAN	SBL ADVISORDESIGNS VA	13,218.05	2.75	0.00	2.75	0.0	2.61
12/28/2017	HAWK, GLENN	SBL ADVISORDESIGNS VA	5,860.94	1.22	0.00	1.22	0.0	1.16
12/28/2017	HAWK, DUANE	SBL ADVISORDESIGNS VA	3,337.73	0.70	0.00	0.70	0.0	0.67
12/28/2017	GREGORY, CAROL	SBL ADVISORDESIGNS VA	24,607.16	5.13	0.00	5.13	0.0	4.87
12/28/2017	DEFRANCESCO, STEVEN	SBL ADVISORDESIGNS VA	8,243.88	1.71	0.00	1.71	0.0	1.62
12/28/2017	BAKER, MARILYN	SBL ADVISORDESIGNS VA	6,568.74	1.38	0.00	1.38	0.0	1.31
12/28/2017	BAKER, MARILYN	SBL ADVISORDESIGNS VA	7,073.97	1.48	0.00	1.48	0.0	1.41
12/28/2017	FULTON, JOHN	SBL ADVISORDESIGNS VA	8,408.33	1.76	0.00	1.76	0.0	1.67
12/28/2017	HAWK, MARYBELLE	SBL ADVISORDESIGNS VA	7,891.30	1.65	0.00	1.65	0.0	1.57
12/28/2017	DEFRANCESCO, MARY	SBL ADVISORDESIGNS VA	7,633.70	1.59	0.00	1.59	0.0	1.51
12/28/2017	GREGORY, RICHARD	SBL ADVISORDESIGNS VA	8,866.14	1.85	0.00	1.85	0.0	1.76
12/28/2017	HAWK, DUANE	SBL ADVISORDESIGNS VA	3,705.30	0.77	0.00	0.77	0.0	0.73
12/28/2017	LITRELL, REX	SBL ADVISORDESIGNS VA	6,700.02	1.40	0.00	1.40	0.0	1.33
* THOMAS SCHNEIDER SUBTOTAL *			\$350,364.91	\$73.02	\$0.00	\$73.02		\$69.37
*** OVERRIDE TRANSACTIONS TOTAL ***			\$1,965,404.91	\$82,825.66	\$0.00	\$82,825.66		\$4,207.01

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

BROKER COMMISSION TOTALS

Broker Transactions	\$16,684.05
Split Transactions	\$850.57
Override Transactions	\$4,207.01
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	\$21,741.63
Year-to-date Gross	\$18,471.15
Year-to-date Earnings	\$21,741.63