



Concorde Investment Services, LLC

09/28/2017

Page No. 1

COMMISSION STATEMENT

September 30, 2017

ACCOUNT HOUSE

1120 E. LONG LAKE ROAD
SUITE 207
TROY, MI 48085-

BROKER #: G999

BRANCH: FOXTROT SAMPLE

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: INTERVAL FUNDS</u>								
09/13/2017	HERNDON, TIMOTHY	BR TOTAL INC & REAL ESTATE FUND A	0.00	1.09	0.00	1.09	0.0	0.00
09/13/2017	MCGINNIS TRUST	BR TOTAL INC & REAL ESTATE FUND A	0.00	7.08	0.00	7.08	0.0	0.00
09/13/2017	CICONE, SISENANDA	BR TOTAL INC & REAL ESTATE FUND A	0.00	1.41	0.00	1.41	0.0	0.00
09/13/2017	CONCORDE, VARIOUS	GRIFFIN INST'L ACCESS R E FUND C	-12,008.30	0.00	0.00	0.00	0.0	0.00
09/13/2017	CONCORDE, VARIOUS	GRIFFIN INST'L ACCESS R E FUND C	11,888.22	0.00	0.00	0.00	0.0	0.00
09/14/2017	CONCORDE, VARIOUS	GRIFFIN INST'L ACCESS R E FUND C	4,956.54	0.00	0.00	0.00	0.0	0.00
09/14/2017	CONCORDE, VARIOUS	GRIFFIN INST'L ACCESS R E FUND C	-5,006.61	0.00	0.00	0.00	0.0	0.00
* INTERVAL FUNDS SUBTOTAL *			\$-170.15	\$9.58	\$0.00	\$9.58		\$0.00
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
09/01/2017	VIGILANT, KELLIE	AM FUNDS 2025 TARGET DATE-A	0.00	0.25	0.00	0.25	100.0	0.25
09/01/2017	TANDESKI, MICHAEL	AM FUNDS 2025 TARGET DATE-A	0.00	14.51	0.00	14.51	100.0	14.51
09/01/2017	TANDESKI, NANCY	AM FUNDS 2025 TARGET DATE-A	0.00	13.14	0.00	13.14	100.0	13.14
09/01/2017	DURR, LORENA	AM FUNDS 2030 TARGET DATE-A	0.00	10.92	0.00	10.92	100.0	10.92
09/01/2017	LARA, DYLAN	AM FUNDS 2035 TARGET DATE-A	0.00	0.88	0.00	0.88	100.0	0.88
09/01/2017	LARA, DEREK	AM FUNDS 2035 TARGET DATE-A	0.00	0.88	0.00	0.88	100.0	0.88
09/15/2017	LARA, DYLAN	AM FUNDS 2035 TARGET DATE-A	50.00	2.50	0.00	2.50	100.0	2.50
09/15/2017	LARA, DEREK	AM FUNDS 2035 TARGET DATE-A	50.00	2.50	0.00	2.50	100.0	2.50
09/01/2017	TANDESKI, JOSHUA	AM FUNDS 2045 TARGET DATE-A	0.00	3.79	0.00	3.79	100.0	3.79
09/01/2017	LAROCCA II, JOHN	AM FUNDS 2045 TARGET DATE-A	0.00	8.81	0.00	8.81	100.0	8.81
09/11/2017	TANDESKI, JOSHUA	AM FUNDS 2045 TARGET DATE-A	100.00	2.75	0.00	2.75	100.0	2.75
09/11/2017	TANDESKI, JOSHUA	AM FUNDS 2045 TARGET DATE-A	167.00	4.59	0.00	4.59	100.0	4.59
09/22/2017	TANDESKI, JOSHUA	AM FUNDS 2045 TARGET DATE-A	100.00	2.75	0.00	2.75	100.0	2.75
09/01/2017	MORRISON, LINDSAY	AM FUNDS AMCAP 529A	0.00	1.97	0.00	1.97	100.0	1.97
09/01/2017	MORRISON, KYLE	AM FUNDS AMCAP 529A	0.00	0.29	0.00	0.29	100.0	0.29
09/01/2017	CLOSED-LADUKE-ROBSON, HEATHER	AM FUNDS AMCAP A	0.00	8.52	0.00	8.52	100.0	8.52
09/01/2017	HOOTON, RAYMOND	AM FUNDS AMCAP A	0.00	5.25	0.00	5.25	100.0	5.25

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

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

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
09/01/2017	BUI, VIVIAN	AM FUNDS AMERICAN BALANCED 529A	0.00	13.90	0.00	13.90	100.0	13.90
09/01/2017	BUI, VIVIAN	AM FUNDS AMERICAN BALANCED 529A	0.00	9.54	0.00	9.54	100.0	9.54
09/01/2017	FORSBERG, CHERYL	AM FUNDS AMERICAN BALANCED 529A	0.00	6.90	0.00	6.90	100.0	6.90
09/01/2017	SOLORIO, ROQUE	AM FUNDS AMERICAN BALANCED 529A	0.00	24.09	0.00	24.09	100.0	24.09
09/01/2017	RAINONE, TRISTINA DAWN	AM FUNDS AMERICAN BALANCED 529A	0.00	6.79	0.00	6.79	100.0	6.79
09/01/2017	RAINONE, MICHAEL	AM FUNDS AMERICAN BALANCED 529A	0.00	6.79	0.00	6.79	100.0	6.79
09/01/2017	DIRMEYER, DAVID	AM FUNDS AMERICAN BALANCED 529A	0.00	3.13	0.00	3.13	100.0	3.13
09/01/2017	LENCZOWSKI, JANICE	AM FUNDS AMERICAN BALANCED A	0.00	4.50	0.00	4.50	100.0	4.50
09/01/2017	SEMRAU, SHELLY	AM FUNDS AMERICAN BALANCED A	0.00	3.04	0.00	3.04	100.0	3.04
09/01/2017	COOPER, FRANK	AM FUNDS AMERICAN BALANCED A	0.00	45.40	0.00	45.40	100.0	45.40
09/01/2017	COLE, PAUL	AM FUNDS AMERICAN BALANCED A	0.00	50.36	0.00	50.36	100.0	50.36
09/01/2017	SAGGAR, VADEESH	AM FUNDS AMERICAN BALANCED A	0.00	0.99	0.00	0.99	100.0	0.99
09/01/2017	BUI, VIVIAN	AM FUNDS AMERICAN BALANCED A	0.00	24.85	0.00	24.85	100.0	24.85
09/01/2017	GENZON, SERGIO	AM FUNDS AMERICAN BALANCED A	0.00	9.04	0.00	9.04	100.0	9.04
09/01/2017	SALAS FAMILY TRUST	AM FUNDS AMERICAN BALANCED A	0.00	109.47	0.00	109.47	100.0	109.47
09/01/2017	LAWMASTER, LESLIE	AM FUNDS AMERICAN BALANCED A	0.00	9.30	0.00	9.30	100.0	9.30
09/01/2017	ERICKSON/BENE, THOMAS	AM FUNDS AMERICAN BALANCED A	0.00	5.23	0.00	5.23	100.0	5.23
09/01/2017	ERICKSON, JEFFREY	AM FUNDS AMERICAN BALANCED A	0.00	6.72	0.00	6.72	100.0	6.72
09/01/2017	ERICKSON, THOMAS	AM FUNDS AMERICAN BALANCED A	0.00	10.99	0.00	10.99	100.0	10.99
09/01/2017	STONE, COLEEN	AM FUNDS AMERICAN BALANCED C	0.00	2.38	0.00	2.38	100.0	2.38
09/01/2017	ANDREWS, ASHLEY	AM FUNDS AMERICAN BALANCED C	0.00	24.38	0.00	24.38	100.0	24.38
09/01/2017	WAXHAM, HEATHER	AM FUNDS AMERICAN BALANCED C	0.00	38.27	0.00	38.27	100.0	38.27
09/01/2017	HAIDER, MARIAM	AM FUNDS AMERICAN HIGH-INC MUNI BON	0.00	1.60	0.00	1.60	100.0	1.60
09/01/2017	HAIDER, HANNA	AM FUNDS AMERICAN HIGH-INC MUNI BON	0.00	0.43	0.00	0.43	100.0	0.43
09/01/2017	HERINGSHAUSEN, ERNESTING	AM FUNDS AMERICAN HIGH-INC MUNI BON	0.00	2.42	0.00	2.42	100.0	2.42
09/01/2017	HERINGSHAUSEN, DENNIS	AM FUNDS AMERICAN HIGH-INC MUNI BON	0.00	2.45	0.00	2.45	100.0	2.45
09/01/2017	HERINGSHAUSEN, DENNIS	AM FUNDS AMERICAN HIGH-INC MUNI BON	0.00	5.88	0.00	5.88	100.0	5.88
09/01/2017	RADO LIV TRUST, JUNE	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	24.67	0.00	24.67	100.0	24.67
09/01/2017	JOY ORDIZ VANDEKERKHOVE,	AM FUNDS AMERICAN MUTUAL 529A	0.00	0.68	0.00	0.68	100.0	0.68
09/01/2017	COHEN, LORI PIERCE-	AM FUNDS AMERICAN MUTUAL 529C	0.00	14.80	0.00	14.80	100.0	14.80
09/01/2017	SEMRAU, SHELLY	AM FUNDS AMERICAN MUTUAL A	0.00	0.67	0.00	0.67	100.0	0.67
09/01/2017	COOPER, FRANK	AM FUNDS AMERICAN MUTUAL A	0.00	31.76	0.00	31.76	100.0	31.76
09/01/2017	LINDERMAN, DAVID	AM FUNDS AMERICAN MUTUAL A	0.00	122.32	0.00	122.32	100.0	122.32

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
09/01/2017	BOOTZ, MATTHEW	AM FUNDS AMERICAN MUTUAL A	0.00	13.48	0.00	13.48	100.0	13.48
09/01/2017	RUBLY, WILLIAM	AM FUNDS AMERICAN MUTUAL A	0.00	92.18	0.00	92.18	100.0	92.18
09/01/2017	RUBLY, DELPHINE	AM FUNDS AMERICAN MUTUAL A	0.00	75.41	0.00	75.41	100.0	75.41
09/01/2017	ESSARY, BRADLEY	AM FUNDS AMERICAN MUTUAL A	0.00	8.48	0.00	8.48	100.0	8.48
09/01/2017	ESSARY, MICHELLE	AM FUNDS AMERICAN MUTUAL A	0.00	1.31	0.00	1.31	100.0	1.31
09/01/2017	ESSARY, MICHELLE	AM FUNDS AMERICAN MUTUAL A	0.00	3.55	0.00	3.55	100.0	3.55
09/01/2017	VITOUS, ALBERT	AM FUNDS AMERICAN MUTUAL C	0.00	38.42	0.00	38.42	100.0	38.42
09/01/2017	MAYVILLE, DANIEL	AM FUNDS BOND FUND OF AMERICA A	0.00	3.69	0.00	3.69	100.0	3.69
09/01/2017	VITOUS, ALBERT	AM FUNDS BOND FUND OF AMERICA C	0.00	13.09	0.00	13.09	100.0	13.09
09/01/2017	CESUL, DAWN	AM FUNDS CAPITAL INCOME BUILDER 529	0.00	3.13	0.00	3.13	100.0	3.13
09/01/2017	CESUL, DAWN	AM FUNDS CAPITAL INCOME BUILDER 529	0.00	0.48	0.00	0.48	100.0	0.48
09/01/2017	CASSADY, JEFFREY	AM FUNDS CAPITAL INCOME BUILDER 529	0.00	3.13	0.00	3.13	100.0	3.13
09/01/2017	CALZADA, LARA	AM FUNDS CAPITAL INCOME BUILDER 529	0.00	8.71	0.00	8.71	100.0	8.71
09/01/2017	WILLIAMS, KATHLEEN	AM FUNDS CAPITAL INCOME BUILDER 529	0.00	12.92	0.00	12.92	100.0	12.92
09/01/2017	RAMIREZ, MARCOS	AM FUNDS CAPITAL INCOME BUILDER 529	0.00	20.15	0.00	20.15	100.0	20.15
09/01/2017	NEVILLE, KAREN	AM FUNDS CAPITAL INCOME BUILDER 529	0.00	2.33	0.00	2.33	100.0	2.33
09/01/2017	VITIELLO, MICHAEL	AM FUNDS CAPITAL INCOME BUILDER 529	0.00	5.68	0.00	5.68	100.0	5.68
09/01/2017	VITIELLO, MICHAEL	AM FUNDS CAPITAL INCOME BUILDER 529	0.00	8.57	0.00	8.57	100.0	8.57
09/01/2017	CALZADA, LARA	AM FUNDS CAPITAL INCOME BUILDER 529	0.00	5.10	0.00	5.10	100.0	5.10
09/01/2017	MARTINEZ, RICHARD	AM FUNDS CAPITAL INCOME BUILDER 529	0.00	3.79	0.00	3.79	100.0	3.79
09/01/2017	RAINONE, TRISTINA DAWN	AM FUNDS CAPITAL INCOME BUILDER 529	0.00	2.37	0.00	2.37	100.0	2.37
09/01/2017	RAINONE, MICHAEL	AM FUNDS CAPITAL INCOME BUILDER 529	0.00	2.37	0.00	2.37	100.0	2.37
09/01/2017	UPTON, TODD	AM FUNDS CAPITAL INCOME BUILDER 529	0.00	1.81	0.00	1.81	100.0	1.81
09/01/2017	UPTON, TODD	AM FUNDS CAPITAL INCOME BUILDER 529	0.00	2.28	0.00	2.28	100.0	2.28
09/01/2017	CHIMENTI, VINCENT	AM FUNDS CAPITAL INCOME BUILDER A	0.00	2.50	0.00	2.50	100.0	2.50
09/01/2017	CLOSED-LADUKE-ROBSON, HEATHER	AM FUNDS CAPITAL INCOME BUILDER A	0.00	6.39	0.00	6.39	100.0	6.39
09/01/2017	CLOSED-MCSPARIN-GARD, CINDY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	9.47	0.00	9.47	100.0	9.47
09/01/2017	HOOTON, RAYMOND	AM FUNDS CAPITAL INCOME BUILDER A	0.00	3.63	0.00	3.63	100.0	3.63
09/01/2017	SEMRAU, SHELLY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.27	0.00	0.27	100.0	0.27
09/01/2017	SEMRAU, SHELLY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	3.51	0.00	3.51	100.0	3.51
09/01/2017	LAMOUNTAIN, JENNIFER	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.66	0.00	1.66	100.0	1.66
09/01/2017	LUND, STEVEN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	8.71	0.00	8.71	100.0	8.71
09/01/2017	BODO, DAVID	AM FUNDS CAPITAL INCOME BUILDER A	0.00	5.88	0.00	5.88	100.0	5.88

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
09/01/2017	DURR, GEORGE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	7.55	0.00	7.55	100.0	7.55
09/01/2017	MENDOZA, ANA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.02	0.00	0.02	100.0	0.02
09/01/2017	CARTWRIGHT, MICHAELA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	2.35	0.00	2.35	100.0	2.35
09/01/2017	BELLMARINE, ANGIE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.01	0.00	0.01	100.0	0.01
09/01/2017	PHILLIPS, SUNSHINE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	38.17	0.00	38.17	100.0	38.17
09/01/2017	VITIELLO, MICHAEL	AM FUNDS CAPITAL INCOME BUILDER A	0.00	25.20	0.00	25.20	100.0	25.20
09/01/2017	LUND, STEVEN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	18.19	0.00	18.19	100.0	18.19
09/01/2017	SUI-FILO, KRISTA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.16	0.00	1.16	100.0	1.16
09/01/2017	ERFLE, VICTORIA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	21.31	0.00	21.31	100.0	21.31
09/01/2017	CESARE, MARIA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.82	0.00	0.82	100.0	0.82
09/01/2017	SLINKARD, LAURA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	3.51	0.00	3.51	100.0	3.51
09/01/2017	DONADIO, JASON	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.02	0.00	0.02	100.0	0.02
09/01/2017	CESARE, MARIA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	32.10	0.00	32.10	100.0	32.10
09/01/2017	DANG, DIEM CHAU LUONG	AM FUNDS CAPITAL INCOME BUILDER A	0.00	9.49	0.00	9.49	100.0	9.49
09/01/2017	NUTT, MICHAEL	AM FUNDS CAPITAL INCOME BUILDER A	0.00	5.15	0.00	5.15	100.0	5.15
09/01/2017	COX, DEBORAH	AM FUNDS CAPITAL INCOME BUILDER A	0.00	2.82	0.00	2.82	100.0	2.82
09/01/2017	DONADIO, MICHELLE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.46	0.00	0.46	100.0	0.46
09/01/2017	ERICKSON/BENE, THOMAS	AM FUNDS CAPITAL INCOME BUILDER A	0.00	2.22	0.00	2.22	100.0	2.22
09/01/2017	ERICKSON, JEFFREY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.92	0.00	0.92	100.0	0.92
09/11/2017	BODO, DAVID	AM FUNDS CAPITAL INCOME BUILDER A	75.00	3.19	0.00	3.19	100.0	3.19
09/18/2017	SEMRAU, SHELLY	AM FUNDS CAPITAL INCOME BUILDER A	30.00	1.28	0.00	1.28	100.0	1.28
09/01/2017	CAUL, KATHERINE	AM FUNDS CAPITAL INCOME BUILDER C	0.00	3.41	0.00	3.41	100.0	3.41
09/01/2017	MASTERSON, ALANNA	AM FUNDS CAPITAL INCOME BUILDER C	0.00	8.75	0.00	8.75	100.0	8.75
09/01/2017	REETZ, JANET	AM FUNDS CAPITAL WORLD GRTH & INC 5	0.00	0.54	0.00	0.54	100.0	0.54
09/01/2017	SINGER, MICHELLE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	11.03	0.00	11.03	100.0	11.03
09/01/2017	SEMRAU, SHELLY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.26	0.00	0.26	100.0	0.26
09/01/2017	LAMOUNTAIN, JENNIFER	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.44	0.00	2.44	100.0	2.44
09/01/2017	BLINKE II, RONALD	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	12.51	0.00	12.51	100.0	12.51
09/01/2017	LUND, STEVEN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	8.42	0.00	8.42	100.0	8.42
09/01/2017	BODO, DAVID	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	6.45	0.00	6.45	100.0	6.45
09/01/2017	LUND, STEVEN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	19.86	0.00	19.86	100.0	19.86
09/01/2017	LUND, STEVEN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	4.67	0.00	4.67	100.0	4.67
09/01/2017	ESSARY, BRADLEY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	7.46	0.00	7.46	100.0	7.46

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<u>BROKER TRANSACTIONS</u>								
PRODUCT CATEGORY: MUTUAL FUNDS								
09/01/2017	ESSARY, MICHELLE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.29	0.00	1.29	100.0	1.29
09/01/2017	ESSARY, MICHELLE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	3.30	0.00	3.30	100.0	3.30
09/01/2017	BEAUDETT, TIMOTHY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.29	0.00	0.29	100.0	0.29
09/11/2017	BODO, DAVID	AM FUNDS CAPITAL WORLD GRTH & INC A	75.00	3.19	0.00	3.19	100.0	3.19
09/18/2017	SINGER, MICHELLE	AM FUNDS CAPITAL WORLD GRTH & INC A	50.00	1.38	0.00	1.38	100.0	1.38
09/01/2017	DOUGHTERY, LISA	AM FUNDS CAPITAL WORLD GRTH & INC C	0.00	3.61	0.00	3.61	100.0	3.61
09/01/2017	NOWICKI, DAVID	AM FUNDS COLLEGE 2030 FUND 529A	0.00	4.76	0.00	4.76	100.0	4.76
09/01/2017	GREEN, WILLIAM	AM FUNDS COLLEGE 2030 FUND 529A	0.00	0.93	0.00	0.93	100.0	0.93
09/01/2017	BRADY, JOHN	AM FUNDS EUROPACIFIC GROWTH FUND 52	0.00	1.94	0.00	1.94	100.0	1.94
09/01/2017	STUMP, DAVID	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	5.24	0.00	5.24	100.0	5.24
09/01/2017	SINGER, MICHELLE	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	9.44	0.00	9.44	100.0	9.44
09/01/2017	BLINKE II TRUST, RONALD	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	5.23	0.00	5.23	100.0	5.23
09/01/2017	BLINKE II, RONALD	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	1.57	0.00	1.57	100.0	1.57
09/01/2017	FOSTER, KIMBERLY	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	1.80	0.00	1.80	100.0	1.80
09/18/2017	SINGER, MICHELLE	AM FUNDS EUROPACIFIC GROWTH FUND A	50.00	1.38	0.00	1.38	100.0	1.38
09/01/2017	GLOVER, FRANK	AM FUNDS EUROPACIFIC GROWTH FUND C	0.00	54.85	0.00	54.85	100.0	54.85
09/01/2017	PLANSCAPE, INC 401(K) P/S	AM FUNDS EUROPACIFIC GROWTH FUND-R3	0.00	110.85	0.00	110.85	100.0	110.85
09/01/2017	DIRMEYER, DAVID	AM FUNDS FUNDAMENTAL INVESTORS 529A	0.00	3.35	0.00	3.35	100.0	3.35
09/01/2017	BLOOM, JANET	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	5.94	0.00	5.94	100.0	5.94
09/01/2017	HOOTON, RAYMOND	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	5.08	0.00	5.08	100.0	5.08
09/01/2017	SEMRAU, SHELLY	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.57	0.00	0.57	100.0	0.57
09/01/2017	GALVAN, ALEC	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	5.11	0.00	5.11	100.0	5.11
09/01/2017	BEST, PAUL	AM FUNDS GROWTH AND INCOME A	0.00	130.66	0.00	130.66	100.0	130.66
09/01/2017	BEST, ANN	AM FUNDS GROWTH AND INCOME A	0.00	48.90	0.00	48.90	100.0	48.90
09/01/2017	RUBLY, WILLIAM	AM FUNDS GROWTH AND INCOME A	0.00	7.98	0.00	7.98	100.0	7.98
09/01/2017	HERNANDEZ, HECTOR	AM FUNDS GROWTH AND INCOME A	0.00	0.83	0.00	0.83	100.0	0.83
09/01/2017	RUBLY, ROBERT	AM FUNDS GROWTH AND INCOME A	0.00	0.91	0.00	0.91	100.0	0.91
09/20/2017	HERNANDEZ, HECTOR	AM FUNDS GROWTH AND INCOME A	50.00	2.50	0.00	2.50	100.0	2.50
09/01/2017	HO, PAULINA	AM FUNDS GROWTH AND INCOME C	0.00	15.07	0.00	15.07	100.0	15.07
09/01/2017	REETZ, JANET	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	0.64	0.00	0.64	100.0	0.64
09/01/2017	CESUL, DAWN	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	2.87	0.00	2.87	100.0	2.87
09/01/2017	CESUL, DAWN	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	0.58	0.00	0.58	100.0	0.58
09/01/2017	BRADY, JOHN	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	12.98	0.00	12.98	100.0	12.98

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>BROKER TRANSACTIONS</u>								
PRODUCT CATEGORY: MUTUAL FUNDS								
09/01/2017	DIRMEYER, DAVID	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	3.31	0.00	3.31	100.0	3.31
09/01/2017	COHEN, LORI PIERCE-	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	31.77	0.00	31.77	100.0	31.77
09/01/2017	STUMP, DAVID	AM FUNDS GROWTH FUND OF AMERICA A	0.00	7.05	0.00	7.05	100.0	7.05
09/01/2017	HENRY, WYATT	AM FUNDS GROWTH FUND OF AMERICA A	0.00	4.77	0.00	4.77	100.0	4.77
09/01/2017	SINGER, MICHELLE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.46	0.00	1.46	100.0	1.46
09/01/2017	SEMRAU, SHELLY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	4.00	0.00	4.00	100.0	4.00
09/01/2017	PRATUS, LINDSEY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	2.38	0.00	2.38	100.0	2.38
09/01/2017	KEMP, JEREMY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	9.93	0.00	9.93	100.0	9.93
09/01/2017	LAMOUNTAIN, JENNIFER	AM FUNDS GROWTH FUND OF AMERICA A	0.00	3.04	0.00	3.04	100.0	3.04
09/01/2017	BLINKE II TRUST, RONALD	AM FUNDS GROWTH FUND OF AMERICA A	0.00	36.36	0.00	36.36	100.0	36.36
09/01/2017	BLINKE II, RONALD	AM FUNDS GROWTH FUND OF AMERICA A	0.00	3.90	0.00	3.90	100.0	3.90
09/01/2017	BODO, DAVID	AM FUNDS GROWTH FUND OF AMERICA A	0.00	15.86	0.00	15.86	100.0	15.86
09/01/2017	SAM, WINGO	AM FUNDS GROWTH FUND OF AMERICA A	0.00	38.52	0.00	38.52	100.0	38.52
09/01/2017	YU-DIPASQUALE, MEI-KIN MAGGIE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	2.62	0.00	2.62	100.0	2.62
09/01/2017	DIRMEYER, DAVID	AM FUNDS GROWTH FUND OF AMERICA A	0.00	3.95	0.00	3.95	100.0	3.95
09/01/2017	TSOUNIS, NICK	AM FUNDS GROWTH FUND OF AMERICA A	0.00	2.38	0.00	2.38	100.0	2.38
09/01/2017	DIRMEYER, KIMBERLY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	3.98	0.00	3.98	100.0	3.98
09/01/2017	ESSARY, BRADLEY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	9.39	0.00	9.39	100.0	9.39
09/01/2017	DIRMEYER, KIMBERLY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	2.35	0.00	2.35	100.0	2.35
09/01/2017	ESSARY, MICHELLE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.43	0.00	1.43	100.0	1.43
09/01/2017	ESSARY, MICHELLE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	3.80	0.00	3.80	100.0	3.80
09/01/2017	NARESKI, RUSSELL	AM FUNDS GROWTH FUND OF AMERICA A	0.00	9.01	0.00	9.01	100.0	9.01
09/11/2017	BODO, DAVID	AM FUNDS GROWTH FUND OF AMERICA A	50.00	2.13	0.00	2.13	100.0	2.13
09/15/2017	CONCORDE, VARIOUS	AM FUNDS GROWTH FUND OF AMERICA A	49.72	0.00	0.00	0.00	100.0	0.00
09/15/2017	CONCORDE, VARIOUS	AM FUNDS GROWTH FUND OF AMERICA A	-52.34	0.00	0.00	0.00	100.0	0.00
09/15/2017	HENRY, WYATT	AM FUNDS GROWTH FUND OF AMERICA A	50.00	2.50	0.00	2.50	100.0	2.50
09/18/2017	SEMRAU, SHELLY	AM FUNDS GROWTH FUND OF AMERICA A	30.00	1.28	0.00	1.28	100.0	1.28
09/01/2017	PRATUS, LINDSEY	AM FUNDS GROWTH FUND OF AMERICA C	0.00	17.85	0.00	17.85	100.0	17.85
09/01/2017	CAUL, KATHERINE	AM FUNDS GROWTH FUND OF AMERICA C	0.00	5.05	0.00	5.05	100.0	5.05
09/01/2017	LARA, PHILIP	AM FUNDS GROWTH PORT A	0.00	1.15	0.00	1.15	100.0	1.15
09/01/2017	BRADY, JOHN	AM FUNDS HIGH INCOME TRUST 529A	0.00	3.26	0.00	3.26	100.0	3.26
09/01/2017	MORRISON, LINDSAY	AM FUNDS ICA 529A	0.00	3.30	0.00	3.30	100.0	3.30
09/01/2017	MORRISON, KYLE	AM FUNDS ICA 529A	0.00	0.32	0.00	0.32	100.0	0.32

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
09/01/2017	CESUL, DAWN	AM FUNDS ICA 529A	0.00	2.56	0.00	2.56	100.0	2.56
09/01/2017	CESUL, DAWN	AM FUNDS ICA 529A	0.00	0.56	0.00	0.56	100.0	0.56
09/01/2017	BRADY, JOHN	AM FUNDS ICA 529A	0.00	34.83	0.00	34.83	100.0	34.83
09/01/2017	CHIMENTI, VINCENT	AM FUNDS ICA A	0.00	2.18	0.00	2.18	100.0	2.18
09/01/2017	VANDERKHOVE, SKYLAR	AM FUNDS ICA A	0.00	0.55	0.00	0.55	100.0	0.55
09/01/2017	VANDERKHOVE, GAVIN	AM FUNDS ICA A	0.00	1.35	0.00	1.35	100.0	1.35
09/01/2017	CLOSED-MCSPARIN-GARD, CINDY	AM FUNDS ICA A	0.00	1.83	0.00	1.83	100.0	1.83
09/01/2017	HOOTON, RAYMOND	AM FUNDS ICA A	0.00	12.36	0.00	12.36	100.0	12.36
09/01/2017	HOOTON, RAYMOND	AM FUNDS ICA A	0.00	4.60	0.00	4.60	100.0	4.60
09/01/2017	SEMRAU, SHELLY	AM FUNDS ICA A	0.00	0.33	0.00	0.33	100.0	0.33
09/01/2017	GLOVER, FRANK	AM FUNDS ICA A	0.00	28.69	0.00	28.69	100.0	28.69
09/01/2017	COOPER, FRANK	AM FUNDS ICA A	0.00	32.10	0.00	32.10	100.0	32.10
09/01/2017	PRATUS, LINDSEY	AM FUNDS ICA A	0.00	1.21	0.00	1.21	100.0	1.21
09/01/2017	HORNER, KEVIN	AM FUNDS ICA A	0.00	8.07	0.00	8.07	100.0	8.07
09/01/2017	MAYVILLE, DANIEL	AM FUNDS ICA A	0.00	7.18	0.00	7.18	100.0	7.18
09/01/2017	ERICKSON/BENE, THOMAS	AM FUNDS ICA A	0.00	2.61	0.00	2.61	100.0	2.61
09/01/2017	ERICKSON, JEFFREY	AM FUNDS ICA A	0.00	5.42	0.00	5.42	100.0	5.42
09/01/2017	ERICKSON, THOMAS	AM FUNDS ICA A	0.00	10.34	0.00	10.34	100.0	10.34
09/01/2017	BURCHMAN TR, MAE	AM FUNDS ICA A	0.00	0.27	0.00	0.27	100.0	0.27
09/01/2017	SCHURRER, JOHANNA	AM FUNDS ICA A	0.00	9.35	0.00	9.35	100.0	9.35
09/01/2017	SCHURRER, JOHANNA	AM FUNDS ICA A	0.00	10.73	0.00	10.73	100.0	10.73
09/01/2017	KRYCIAN, JENNIFER	AM FUNDS ICA A	0.00	0.46	0.00	0.46	100.0	0.46
09/01/2017	DALESSANDRO, COLLIN	AM FUNDS ICA A	0.00	13.29	0.00	13.29	100.0	13.29
09/21/2017	CONCORDE, VARIOUS	AM FUNDS ICA A	-425.60	0.00	0.00	0.00	100.0	0.00
09/21/2017	CONCORDE, VARIOUS	AM FUNDS ICA A	404.32	0.00	0.00	0.00	100.0	0.00
09/01/2017	PRATUS, LINDSEY	AM FUNDS ICA C	0.00	17.18	0.00	17.18	100.0	17.18
09/01/2017	CAUL, KATHERINE	AM FUNDS ICA C	0.00	4.36	0.00	4.36	100.0	4.36
09/01/2017	CLOSED-MCSPARIN-GARD, CINDY	AM FUNDS INCOME FUND OF AMERICA A	0.00	3.18	0.00	3.18	100.0	3.18
09/01/2017	COOPER, FRANK	AM FUNDS INCOME FUND OF AMERICA A	0.00	50.62	0.00	50.62	100.0	50.62
09/01/2017	GATNY, RENETTE	AM FUNDS INCOME FUND OF AMERICA A	0.00	67.43	0.00	67.43	100.0	67.43
09/01/2017	GATNY, RENETTE	AM FUNDS INCOME FUND OF AMERICA A	0.00	1.05	0.00	1.05	100.0	1.05
09/01/2017	GATNY TRUST, RENETTE	AM FUNDS INCOME FUND OF AMERICA A	0.00	6.78	0.00	6.78	100.0	6.78
09/01/2017	MI/TOD	AM FUNDS INCOME FUND OF AMERICA A	0.00	45.33	0.00	45.33	100.0	45.33

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
09/01/2017	SURMA/BENE, MARY	AM FUNDS INCOME FUND OF AMERICA A	0.00	2.19	0.00	2.19	100.0	2.19
09/01/2017	GATNY/BENE, MARK	AM FUNDS INCOME FUND OF AMERICA A	0.00	2.19	0.00	2.19	100.0	2.19
09/01/2017	GATNY/BENE, GARY	AM FUNDS INCOME FUND OF AMERICA A	0.00	2.19	0.00	2.19	100.0	2.19
09/01/2017	ERICKSON/BENE, THOMAS	AM FUNDS INCOME FUND OF AMERICA A	0.00	2.36	0.00	2.36	100.0	2.36
09/01/2017	ERICKSON, JEFFREY	AM FUNDS INCOME FUND OF AMERICA A	0.00	5.42	0.00	5.42	100.0	5.42
09/01/2017	ERICKSON, THOMAS	AM FUNDS INCOME FUND OF AMERICA A	0.00	10.56	0.00	10.56	100.0	10.56
09/01/2017	VITOUS, ALBERT	AM FUNDS INCOME FUND OF AMERICA C	0.00	14.75	0.00	14.75	100.0	14.75
09/01/2017	GLOVER, FRANK	AM FUNDS INCOME FUND OF AMERICA F-1	0.00	5.46	0.00	5.46	100.0	5.46
09/01/2017	HO, PAULINA	AM FUNDS INCOME PORTFOLIO C	0.00	14.58	0.00	14.58	100.0	14.58
09/01/2017	BLOOM, JANET	AM FUNDS INTERMEDIATE BOND FUND OF	0.00	2.11	0.00	2.11	100.0	2.11
09/01/2017	SEMRAU, SHELLY	AM FUNDS INTL GROWTH AND INCOME A	0.00	3.74	0.00	3.74	100.0	3.74
09/18/2017	SEMRAU, SHELLY	AM FUNDS INTL GROWTH AND INCOME A	30.00	1.28	0.00	1.28	100.0	1.28
09/01/2017	CASSADY, JEFFREY	AM FUNDS NEW ECONOMY 529A	0.00	21.10	0.00	21.10	100.0	21.10
09/01/2017	AGUILAR, JOSE	AM FUNDS NEW ECONOMY 529A	0.00	0.81	0.00	0.81	100.0	0.81
09/01/2017	LAWRENCE, CURTIS	AM FUNDS NEW PERSPECTIVE 529A	0.00	1.51	0.00	1.51	100.0	1.51
09/01/2017	LAWRENCE, CURTIS	AM FUNDS NEW PERSPECTIVE 529A	0.00	1.51	0.00	1.51	100.0	1.51
09/01/2017	LAWRENCE, CURTIS	AM FUNDS NEW PERSPECTIVE 529A	0.00	1.55	0.00	1.55	100.0	1.55
09/01/2017	DIRMEYER, DAVID	AM FUNDS NEW PERSPECTIVE 529A	0.00	3.25	0.00	3.25	100.0	3.25
09/01/2017	COHEN, LORI PIERCE-	AM FUNDS NEW PERSPECTIVE 529C	0.00	28.12	0.00	28.12	100.0	28.12
09/01/2017	SINGER, MICHELLE	AM FUNDS NEW PERSPECTIVE A	0.00	1.33	0.00	1.33	100.0	1.33
09/01/2017	HOOTON, RAYMOND	AM FUNDS NEW PERSPECTIVE A	0.00	4.72	0.00	4.72	100.0	4.72
09/01/2017	LAMOUNTAIN, JENNIFER	AM FUNDS NEW PERSPECTIVE A	0.00	3.39	0.00	3.39	100.0	3.39
09/01/2017	MAYVILLE, DANIEL	AM FUNDS NEW PERSPECTIVE A	0.00	6.72	0.00	6.72	100.0	6.72
09/01/2017	ERICKSON/BENE, THOMAS	AM FUNDS NEW PERSPECTIVE A	0.00	3.00	0.00	3.00	100.0	3.00
09/01/2017	ERICKSON, JEFFREY	AM FUNDS NEW PERSPECTIVE A	0.00	1.21	0.00	1.21	100.0	1.21
09/01/2017	TSOUNIS, NICK	AM FUNDS NEW PERSPECTIVE A	0.00	2.27	0.00	2.27	100.0	2.27
09/01/2017	ESSARY, BRADLEY	AM FUNDS NEW PERSPECTIVE A	0.00	8.36	0.00	8.36	100.0	8.36
09/01/2017	ESSARY, MICHELLE	AM FUNDS NEW PERSPECTIVE A	0.00	4.85	0.00	4.85	100.0	4.85
09/01/2017	ESSARY, MICHELLE	AM FUNDS NEW PERSPECTIVE A	0.00	3.51	0.00	3.51	100.0	3.51
09/01/2017	SEMRAU, SHELLY	AM FUNDS NEW WORLD A	0.00	0.22	0.00	0.22	100.0	0.22
09/01/2017	SEMRAU, SHELLY	AM FUNDS NEW WORLD A	0.00	3.90	0.00	3.90	100.0	3.90
09/01/2017	HAIDER, MARIAM	AM FUNDS NEW WORLD A	0.00	0.67	0.00	0.67	100.0	0.67
09/01/2017	BLINKE II TRUST, RONALD	AM FUNDS NEW WORLD A	0.00	4.76	0.00	4.76	100.0	4.76

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
09/01/2017	BLINKE II, RONALD	AM FUNDS NEW WORLD A	0.00	10.84	0.00	10.84	100.0	10.84
09/01/2017	LUND, STEVEN	AM FUNDS NEW WORLD A	0.00	5.61	0.00	5.61	100.0	5.61
09/18/2017	SEMRAU, SHELLY	AM FUNDS NEW WORLD A	30.00	1.28	0.00	1.28	100.0	1.28
09/01/2017	HOOTON, RAYMOND	AM FUNDS SMALLCAP WORLD A	0.00	4.23	0.00	4.23	100.0	4.23
09/01/2017	SEMRAU, SHELLY	AM FUNDS SMALLCAP WORLD A	0.00	0.56	0.00	0.56	100.0	0.56
09/01/2017	HORNER, KEVIN	AM FUNDS SMALLCAP WORLD A	0.00	5.77	0.00	5.77	100.0	5.77
09/01/2017	SAGGAR, VADEESH	AM FUNDS SMALLCAP WORLD A	0.00	2.22	0.00	2.22	100.0	2.22
09/01/2017	CARTWRIGHT, MICHAELA	AM FUNDS SMALLCAP WORLD A	0.00	2.19	0.00	2.19	100.0	2.19
09/01/2017	VITIELLO, MICHAEL	AM FUNDS SMALLCAP WORLD A	0.00	25.37	0.00	25.37	100.0	25.37
09/01/2017	YU-DIPASQUALE, MEI-KIN MAGGIE	AM FUNDS SMALLCAP WORLD A	0.00	2.45	0.00	2.45	100.0	2.45
09/01/2017	COX, DEBORAH	AM FUNDS SMALLCAP WORLD A	0.00	3.15	0.00	3.15	100.0	3.15
09/01/2017	CASSADY, JEFFREY	AM FUNDS SMALLCAP WORLD-529A	0.00	18.29	0.00	18.29	100.0	18.29
09/01/2017	VITIELLO, MICHAEL	AM FUNDS SMALLCAP WORLD-529A	0.00	4.65	0.00	4.65	100.0	4.65
09/01/2017	VITIELLO, MICHAEL	AM FUNDS SMALLCAP WORLD-529A	0.00	6.96	0.00	6.96	100.0	6.96
09/01/2017	MARTINEZ, RICHARD	AM FUNDS SMALLCAP WORLD-529A	0.00	3.44	0.00	3.44	100.0	3.44
09/01/2017	BRADY, JOHN	AM FUNDS SMALLCAP WORLD-529A	0.00	5.23	0.00	5.23	100.0	5.23
09/01/2017	SEMRAU, SHELLY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	3.79	0.00	3.79	100.0	3.79
09/01/2017	MORRISON, LINDSAY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	2.84	0.00	2.84	100.0	2.84
09/01/2017	MORRISON, KYLE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.39	0.00	0.39	100.0	0.39
09/01/2017	CONKLIN, JOEL	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.65	0.00	0.65	100.0	0.65
09/01/2017	KEMP, JEREMY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	13.92	0.00	13.92	100.0	13.92
09/01/2017	LAMOUNTAIN, JENNIFER	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	2.91	0.00	2.91	100.0	2.91
09/01/2017	REETZ, NORMAN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	41.18	0.00	41.18	100.0	41.18
09/01/2017	BLINKE, RONALD	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	45.45	0.00	45.45	100.0	45.45
09/01/2017	BLINKE II TRUST, RONALD	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	31.87	0.00	31.87	100.0	31.87
09/01/2017	BLINKE II, RONALD	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.89	0.00	1.89	100.0	1.89
09/01/2017	ERICKSON/BENE, THOMAS	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	2.56	0.00	2.56	100.0	2.56
09/01/2017	ERICKSON, JEFFREY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.05	0.00	1.05	100.0	1.05
09/01/2017	GALVAN, ALEC	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	2.76	0.00	2.76	100.0	2.76
09/01/2017	VITOUS, ALBERT	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	38.83	0.00	38.83	100.0	38.83
09/01/2017	DALESSANDRO/AUTH PER, ERIC	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.43	0.00	0.43	100.0	0.43
09/01/2017	KERN, KATHERINE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	3.52	0.00	3.52	100.0	3.52
09/11/2017	KERN, KATHERINE	AM FUNDS WASHINGTON MUTUAL INVESTOR	100.00	5.00	0.00	5.00	100.0	5.00

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
09/18/2017	SEMRAU, SHELLY	AM FUNDS WASHINGTON MUTUAL INVESTOR	30.00	1.28	0.00	1.28	100.0	1.28
09/21/2017	CONCORDE, VARIOUS	AM FUNDS WASHINGTON MUTUAL INVESTOR	400.31	0.00	0.00	0.00	100.0	0.00
09/21/2017	CONCORDE, VARIOUS	AM FUNDS WASHINGTON MUTUAL INVESTOR	-421.38	0.00	0.00	0.00	100.0	0.00
09/01/2017	WELLS, GREG	AMERICAN FD GLOBAL GROWTH PORTFOLIO	0.00	1.20	0.00	1.20	100.0	1.20
09/01/2017	WELLS, GREG	AMERICAN FD GLOBAL GROWTH PORTFOLIO	0.00	1.20	0.00	1.20	100.0	1.20
09/01/2017	NOWICKI, DAVID	AMERICAN FDS COLLEGE 2021 FUND 529A	0.00	8.29	0.00	8.29	100.0	8.29
09/01/2017	WELLS, GREG	AMERICAN FUND BALANCED PORTFOLIO 52	0.00	1.11	0.00	1.11	100.0	1.11
09/01/2017	WELLS, GREG	AMERICAN FUND BALANCED PORTFOLIO 52	0.00	1.11	0.00	1.11	100.0	1.11
09/01/2017	CALZADA, LARA	AMERICAN FUND COLLEGE 2027 FUND 529	0.00	1.09	0.00	1.09	100.0	1.09
09/01/2017	TANDESKI, JOHNATHAN	AMERICAN FUNDS 2060 TARGET DATE A	0.00	3.08	0.00	3.08	100.0	3.08
09/01/2017	TANDESKI, DREW	AMERICAN FUNDS 2060 TARGET DATE A	0.00	2.23	0.00	2.23	100.0	2.23
09/01/2017	ROBINSON, SARAH	AMERICAN FUNDS COLLEGE 2033 FUND-52	0.00	1.96	0.00	1.96	100.0	1.96
09/01/2017	PLANSCAPE, INC 401(K) P/S	AMERICAN FUNDS FUNDAMENTAL INVESTOR	0.00	737.90	0.00	737.90	100.0	737.90
09/01/2017	PLANSCAPE, INC 401(K) P/S	AMERICAN FUNDS NEW WORLD R3	0.00	175.75	0.00	175.75	100.0	175.75
09/01/2017	VITOUS, ALBERT	AMERICAN HIGH-INCOME MUNI BOND FUND	0.00	13.94	0.00	13.94	100.0	13.94
09/01/2017	VITOUS, ALBERT	AMERICAN HIGH-INCOME MUNI BOND FUND	0.00	11.15	0.00	11.15	100.0	11.15
09/18/2017	CONCORDE, VARIOUS	COLUMBIA DIVIDEND INCOME A	-30,000.00	0.00	0.00	0.00	100.0	0.00
09/18/2017	CONCORDE, VARIOUS	COLUMBIA DIVIDEND INCOME A	-14,000.00	0.00	0.00	0.00	100.0	0.00
09/18/2017	CONCORDE, VARIOUS	COLUMBIA DIVIDEND INCOME A	28,500.00	0.00	0.00	0.00	100.0	0.00
09/18/2017	CONCORDE, VARIOUS	COLUMBIA DIVIDEND INCOME A	13,300.00	0.00	0.00	0.00	100.0	0.00
09/15/2017	CONCORDE, VARIOUS	HARTFORD CAPITAL APPRECIATION C	228.27	0.00	0.00	0.00	100.0	0.00
09/15/2017	CONCORDE, VARIOUS	HARTFORD CAPITAL APPRECIATION C	-230.58	0.00	0.00	0.00	100.0	0.00
09/21/2017	CONCORDE, VARIOUS	LORD ABBETT FUNDAMENTAL EQUITY A	1,132.11	0.00	0.00	0.00	100.0	0.00
09/21/2017	CONCORDE, VARIOUS	LORD ABBETT FUNDAMENTAL EQUITY A	4,128.06	0.00	0.00	0.00	100.0	0.00
09/21/2017	CONCORDE, VARIOUS	LORD ABBETT FUNDAMENTAL EQUITY A	-4,266.73	0.00	0.00	0.00	100.0	0.00
09/21/2017	CONCORDE, VARIOUS	LORD ABBETT FUNDAMENTAL EQUITY A	-2,854.00	0.00	0.00	0.00	100.0	0.00
09/21/2017	CONCORDE, VARIOUS	LORD ABBETT FUNDAMENTAL EQUITY A	-2,211.85	0.00	0.00	0.00	100.0	0.00
09/21/2017	CONCORDE, VARIOUS	LORD ABBETT FUNDAMENTAL EQUITY A	2,761.24	0.00	0.00	0.00	100.0	0.00
09/21/2017	CONCORDE, VARIOUS	LORD ABBETT FUNDAMENTAL EQUITY A	2,139.96	0.00	0.00	0.00	100.0	0.00
09/21/2017	CONCORDE, VARIOUS	LORD ABBETT FUNDAMENTAL EQUITY A	-1,170.14	0.00	0.00	0.00	100.0	0.00
09/21/2017	CONCORDE, VARIOUS	LORD ABBETT SHORT DURATION INCOME A	-1,164.12	0.00	0.00	0.00	100.0	0.00
09/21/2017	CONCORDE, VARIOUS	LORD ABBETT SHORT DURATION INCOME A	1,146.66	0.00	0.00	0.00	100.0	0.00
09/21/2017	CONCORDE, VARIOUS	LORD ABBETT SHORT DURATION INCOME A	2,804.37	0.00	0.00	0.00	100.0	0.00

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
09/21/2017	CONCORDE, VARIOUS	LORD ABBETT SHORT DURATION INCOME A	-2,847.08	0.00	0.00	0.00	100.0	0.00
09/21/2017	CONCORDE, VARIOUS	LORD ABBETT SHORT DURATION INCOME A	2,168.77	0.00	0.00	0.00	100.0	0.00
09/21/2017	CONCORDE, VARIOUS	LORD ABBETT SHORT DURATION INCOME A	-2,201.80	0.00	0.00	0.00	100.0	0.00
09/14/2017	CONCORDE, VARIOUS	PUTNAM ASSET ALLOC GROWTH A	-50.00	0.00	0.00	0.00	100.0	0.00
09/14/2017	CONCORDE, VARIOUS	PUTNAM ASSET ALLOC GROWTH A	47.50	0.00	0.00	0.00	100.0	0.00
09/18/2017	CONCORDE, VARIOUS	PUTNAM CAPITAL SPECTRUM C	-150.00	0.00	0.00	0.00	100.0	0.00
09/18/2017	CONCORDE, VARIOUS	PUTNAM CAPITAL SPECTRUM C	148.50	0.00	0.00	0.00	100.0	0.00
09/15/2017	CONCORDE, VARIOUS	PUTNAM EQUITY SPECTRUM C	99.00	0.00	0.00	0.00	100.0	0.00
09/15/2017	CONCORDE, VARIOUS	PUTNAM EQUITY SPECTRUM C	-100.00	0.00	0.00	0.00	100.0	0.00
09/18/2017	CONCORDE, VARIOUS	PUTNAM EQUITY SPECTRUM C	-150.00	0.00	0.00	0.00	100.0	0.00
09/18/2017	CONCORDE, VARIOUS	PUTNAM EQUITY SPECTRUM C	148.50	0.00	0.00	0.00	100.0	0.00
09/20/2017	CONCORDE, VARIOUS	THE GABELLI UTILITIES FUND CLASS A	-3,871.55	0.00	13.00	-13.00	100.0	-13.00
09/20/2017	CONCORDE, VARIOUS	THE GABELLI UTILITIES FUND CLASS A	3,871.55	0.00	-13.00	13.00	100.0	13.00
* MUTUAL FUNDS SUBTOTAL *			\$-1,571.33	\$3,860.31	\$0.00	\$3,860.31		\$3,860.31
<u>PRODUCT CATEGORY: STOCKS</u>								
09/19/2017	CONCORDE, VARIOUS	BIODELIVERY SCIENCES INTL INC COM	-11,750.00	0.00	0.00	0.00	100.0	0.00
09/19/2017	CONCORDE, VARIOUS	BIODELIVERY SCIENCES INTL INC COM	235.00	0.00	1.00	-1.00	100.0	-1.00
09/19/2017	CONCORDE, VARIOUS	BIODELIVERY SCIENCES INTL INC COM	178.60	0.00	1.00	-1.00	100.0	-1.00
09/19/2017	CONCORDE, VARIOUS	BIODELIVERY SCIENCES INTL INC COM	1,410.00	0.00	1.00	-1.00	100.0	-1.00
09/19/2017	CONCORDE, VARIOUS	BIODELIVERY SCIENCES INTL INC COM	235.00	0.00	1.00	-1.00	100.0	-1.00
09/19/2017	CONCORDE, VARIOUS	BIODELIVERY SCIENCES INTL INC COM	1,175.00	0.00	1.00	-1.00	100.0	-1.00
09/19/2017	CONCORDE, VARIOUS	BIODELIVERY SCIENCES INTL INC COM	1,175.00	0.00	1.00	-1.00	100.0	-1.00
09/19/2017	CONCORDE, VARIOUS	BIODELIVERY SCIENCES INTL INC COM	235.00	0.00	1.00	-1.00	100.0	-1.00
09/19/2017	CONCORDE, VARIOUS	BIODELIVERY SCIENCES INTL INC COM	470.00	0.00	1.00	-1.00	100.0	-1.00
09/19/2017	CONCORDE, VARIOUS	BIODELIVERY SCIENCES INTL INC COM	1,175.00	0.00	1.00	-1.00	100.0	-1.00
09/19/2017	CONCORDE, VARIOUS	BIODELIVERY SCIENCES INTL INC COM	235.00	0.00	1.00	-1.00	100.0	-1.00
09/19/2017	CONCORDE, VARIOUS	BIODELIVERY SCIENCES INTL INC COM	470.00	0.00	1.00	-1.00	100.0	-1.00
09/19/2017	CONCORDE, VARIOUS	BIODELIVERY SCIENCES INTL INC COM	2,350.00	0.00	1.00	-1.00	100.0	-1.00
09/19/2017	CONCORDE, VARIOUS	BIODELIVERY SCIENCES INTL INC COM	1,175.00	0.00	1.00	-1.00	100.0	-1.00
09/19/2017	CONCORDE, VARIOUS	BIODELIVERY SCIENCES INTL INC COM	526.40	0.00	1.00	-1.00	100.0	-1.00
09/19/2017	CONCORDE, VARIOUS	BIODELIVERY SCIENCES INTL INC COM	235.00	0.00	1.00	-1.00	100.0	-1.00
09/19/2017	CONCORDE, VARIOUS	BIODELIVERY SCIENCES INTL INC COM	235.00	0.00	1.00	-1.00	100.0	-1.00
09/19/2017	CONCORDE, VARIOUS	BIODELIVERY SCIENCES INTL INC COM	235.00	0.00	1.00	-1.00	100.0	-1.00

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: STOCKS</u>								
09/13/2017	CONCORDE, VARIOUS	GLOBAL ARENA HLDG INC COM	-4,100.00	0.00	0.00	0.00	100.0	0.00
09/13/2017	CONCORDE, VARIOUS	GLOBAL ARENA HLDG INC COM	959.98	0.00	1.00	-1.00	100.0	-1.00
09/13/2017	CONCORDE, VARIOUS	GLOBAL ARENA HLDG INC COM	960.00	0.00	1.00	-1.00	100.0	-1.00
09/13/2017	CONCORDE, VARIOUS	GLOBAL ARENA HLDG INC COM	2,184.02	0.00	1.00	-1.00	100.0	-1.00
09/21/2017	CONCORDE, VARIOUS	GLOBAL NET LEASE INC COM	-4,342.38	0.00	1.00	-1.00	100.0	-1.00
09/21/2017	CONCORDE, VARIOUS	GLOBAL NET LEASE INC COM	-25,635.50	0.00	1.00	-1.00	100.0	-1.00
09/21/2017	CONCORDE, VARIOUS	GLOBAL NET LEASE INC COM	29,977.88	0.00	0.00	0.00	100.0	0.00
09/13/2017	CONCORDE, VARIOUS	J JILL INC COM	-5,038.60	0.00	0.00	0.00	100.0	0.00
09/13/2017	CONCORDE, VARIOUS	J JILL INC COM	1,007.99	0.00	1.00	-1.00	100.0	-1.00
09/13/2017	CONCORDE, VARIOUS	J JILL INC COM	4,030.60	0.00	1.00	-1.00	100.0	-1.00
09/19/2017	CONCORDE, VARIOUS	SPDR BLACKSTONE / GSO SENIOR LOAN E	-42,964.74	0.00	0.00	0.00	100.0	0.00
09/19/2017	CONCORDE, VARIOUS	SPDR BLACKSTONE / GSO SENIOR LOAN E	35,535.82	0.00	1.00	-1.00	100.0	-1.00
09/19/2017	CONCORDE, VARIOUS	SPDR BLACKSTONE / GSO SENIOR LOAN E	7,428.93	0.00	1.00	-1.00	100.0	-1.00
* STOCKS SUBTOTAL *			\$4.00	\$0.00	\$26.00	\$-26.00		\$-26.00
<u>PRODUCT CATEGORY: VARIABLE ANNUITIES</u>								
09/15/2017	LUND, VARIOUS	ING RELIASTAR	0.00	664.20	0.00	664.20	100.0	664.20
09/15/2017	FORMELLA, DAVID	GENWORTH INS	35.00	0.35	0.00	0.35	100.0	0.35
09/15/2017	FORMELLA, ANNETTE	GENWORTH INS	25.00	0.25	0.00	0.25	100.0	0.25
09/07/2017	SELLS, SUSAN	PAC LIFE PORTFOLIOS	0.00	5.57	0.00	5.57	100.0	5.57
* VARIABLE ANNUITIES SUBTOTAL *			\$60.00	\$670.37	\$0.00	\$670.37		\$670.37
<u>PRODUCT CATEGORY: UNIT INVESTMENT TRUSTS</u>								
09/14/2017	CONCORDE, VARIOUS	FT UNIT 6770 MLP CLOSED END PT SER	-21,005.32	0.00	0.00	0.00	100.0	0.00
09/14/2017	CONCORDE, VARIOUS	FT UNIT 6770 MLP CLOSED END PT SER	20,585.15	0.00	0.00	0.00	100.0	0.00
09/14/2017	CONCORDE, VARIOUS	FT UNIT 6881 DIVID INC SELECT CLSD	20,581.11	0.00	0.00	0.00	100.0	0.00
09/14/2017	CONCORDE, VARIOUS	FT UNIT 6881 DIVID INC SELECT CLSD	-21,001.12	0.00	0.00	0.00	100.0	0.00
* UNIT INVESTMENT TRUSTS SUBTOTAL *			\$-840.18	\$0.00	\$0.00	\$0.00		\$0.00
<u>PRODUCT CATEGORY: VARIABLE UNIVERSAL LIFE</u>								
09/05/2017	KENNARD, DEAN	PAC LIFE VUL	223.83	4.48	0.00	4.48	100.0	4.48
09/05/2017	PAI, ANITHA	PAC LIFE VUL	86.83	1.74	0.00	1.74	100.0	1.74
09/05/2017	PAI, ANITHA	PAC LIFE VUL	138.17	2.76	0.00	2.76	100.0	2.76
09/05/2017	PAI, ANITHA	PAC LIFE VUL	0.00	25.14	0.00	25.14	100.0	25.14
09/05/2017	PAI, ANITHA	PAC LIFE VUL	0.00	40.01	0.00	40.01	100.0	40.01

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: VARIABLE UNIVERSAL LIFE</u>								
09/08/2017	GOVE, VARIOUS	PAC LIFE VUL	0.00	1.50	0.00	1.50	100.0	1.50
09/08/2017	GOVE, VARIOUS	PAC LIFE VUL	0.00	0.50	0.00	0.50	100.0	0.50
09/11/2017	PAI, YOGISH & ANITA	PAC LIFE VUL	700.00	14.00	0.00	14.00	100.0	14.00
09/15/2017	GOVE, VARIOUS	PAC LIFE VUL	0.00	5.25	0.00	5.25	100.0	5.25
09/15/2017	GOVE, VARIOUS	PAC LIFE VUL	0.00	4.40	0.00	4.40	100.0	4.40
* VARIABLE UNIVERSAL LIFE SUBTOTAL *			\$1,148.83	\$99.78	\$0.00	\$99.78		\$99.78
<u>PRODUCT CATEGORY: VARIABLE ANNUITY 12B1 TRAILS</u>								
09/11/2017	DAVIS, PATRICIA	PAC LIFE INNOVATIVE SELECT	0.00	126.74	0.00	126.74	100.0	126.74
09/12/2017	GUGLIELME, SAUNDRA	PAC LIFE PACIFIC CHOICE	0.00	40.55	0.00	40.55	100.0	40.55
* VARIABLE ANNUITY 12B1 TRAILS SUBTOTAL *			\$0.00	\$167.29	\$0.00	\$167.29		\$167.29
*** BROKER TRANSACTIONS TOTAL ***			\$-1,368.83	\$4,807.33	\$26.00	\$4,781.33		\$4,771.75

OVERRIDE TRANSACTIONS**BROKER: ACCOUNT HOUSE #1**

09/15/2017	LARA, DYLAN	AM FUNDS 2035 TARGET DATE-A	50.00	2.50	0.00	2.50	100.0	2.50
09/15/2017	LARA, DEREK	AM FUNDS 2035 TARGET DATE-A	50.00	2.50	0.00	2.50	100.0	2.50
09/11/2017	TANDESKI, JOSHUA	AM FUNDS 2045 TARGET DATE-A	100.00	2.75	0.00	2.75	100.0	2.75
09/11/2017	TANDESKI, JOSHUA	AM FUNDS 2045 TARGET DATE-A	167.00	4.59	0.00	4.59	100.0	4.59
09/22/2017	TANDESKI, JOSHUA	AM FUNDS 2045 TARGET DATE-A	100.00	2.75	0.00	2.75	100.0	2.75
09/11/2017	BODO, DAVID	AM FUNDS CAPITAL INCOME BUILDER A	75.00	3.19	0.00	3.19	100.0	3.19
09/11/2017	BODO, DAVID	AM FUNDS CAPITAL WORLD GRTH & INC A	75.00	3.19	0.00	3.19	100.0	3.19
09/20/2017	HERNANDEZ, HECTOR	AM FUNDS GROWTH AND INCOME A	50.00	2.50	0.00	2.50	100.0	2.50
09/11/2017	BODO, DAVID	AM FUNDS GROWTH FUND OF AMERICA A	50.00	2.13	0.00	2.13	100.0	2.13
09/15/2017	HENRY, WYATT	AM FUNDS GROWTH FUND OF AMERICA A	50.00	2.50	0.00	2.50	100.0	2.50
* ACCOUNT HOUSE SUBTOTAL *			\$767.00	\$28.60	\$0.00	\$28.60		\$28.60

BROKER: ANTHONY GUGLIELME #8

09/01/2017	BRANDUZZI, DOMENIC	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	7.84	0.00	7.84	0.0	7.84
09/15/2017	BRANDUZZI, DOMENIC	AM FUNDS EUROPACIFIC GROWTH FUND A	100.00	4.25	0.00	4.25	0.0	4.25
09/01/2017	BRANDUZZI, DOMENIC	AM FUNDS GROWTH FUND OF AMERICA A	0.00	10.40	0.00	10.40	0.0	10.40
09/15/2017	BRANDUZZI, DOMENIC	AM FUNDS GROWTH FUND OF AMERICA A	100.00	4.25	0.00	4.25	0.0	4.25
* ANTHONY GUGLIELME SUBTOTAL *			\$200.00	\$26.74	\$0.00	\$26.74		\$26.74

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<u> OVERRIDE TRANSACTIONS </u>								
<u> BROKER: 101 CFGROUP/KOSANKE #9 </u>								
09/11/2017	HAWK, CYNTHIA	AM FUNDS NEW PERSPECTIVE A	100.00	5.00	0.00	5.00	95.0	5.00
		* 101 CFGROUP/KOSANKE SUBTOTAL *	\$100.00	\$5.00	\$0.00	\$5.00		\$5.00
<u> BROKER: MATT BRANSTETTER #10 </u>								
09/15/2017	BENNETT, MARLA	AM FUNDS WASHINGTON MUTUAL INVESTOR	100.00	5.00	0.00	5.00	80.0	5.00
		* MATT BRANSTETTER SUBTOTAL *	\$100.00	\$5.00	\$0.00	\$5.00		\$5.00
<u> BROKER: EDWARD MCMANUS #25 </u>								
09/01/2017	HUDSON, SHELBY	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	5.30	0.00	5.30	0.0	5.30
		* EDWARD MCMANUS SUBTOTAL *	\$0.00	\$5.30	\$0.00	\$5.30		\$5.30
<u> BROKER: JOHN BEAN #45 </u>								
09/12/2017	TOTZKE, LARRY	CALVERT INCOME FUND CLASS A	0.00	1.33	0.00	1.33	0.0	1.33
		* JOHN BEAN SUBTOTAL *	\$0.00	\$1.33	\$0.00	\$1.33		\$1.33
<u> BROKER: ROBERT (RUSTY) TWEED #58 </u>								
09/06/2017	ENGSTROM, COLEMAN	COLUMBIA ACORN INT'L A	0.00	2.54	0.00	2.54	0.0	2.54
09/06/2017	PANTON, GARY T & DEBORA	COLUMBIA CALIFORNIA TAX-EXEMPT FUND	0.00	0.88	0.00	0.88	0.0	0.88
09/06/2017	UMBRELLO, ALBERT	COLUMBIA LARGECAP GROWTH A	0.00	6.75	0.00	6.75	0.0	6.75
09/06/2017	UMBRELLO, ALBERT	COLUMBIA SELIGMAN COMM AND INFO A	0.00	5.48	0.00	5.48	0.0	5.48
09/15/2017	VAN DE BRAKE, MARY	JH FINANCIAL INDUSTRIES A	0.00	2.14	0.00	2.14	0.0	2.14
09/15/2017	VAN DE BRAKE, ARTHUR	JH FINANCIAL INDUSTRIES A	0.00	2.13	0.00	2.13	0.0	2.13
09/15/2017	PANTON, GARY	JH GOVERNMENT INCOME A	0.00	1.11	0.00	1.11	0.0	1.11
09/15/2017	PANTON, GARY	JH GOVERNMENT INCOME A	0.00	1.83	0.00	1.83	0.0	1.83
09/15/2017	FURUKAWA, CLARA	JH STRATEGIC GROWTH A	0.00	2.02	0.00	2.02	0.0	2.02
		* ROBERT (RUSTY) TWEED SUBTOTAL *	\$0.00	\$24.88	\$0.00	\$24.88		\$24.88
<u> BROKER: JIM LUND #60 </u>								
09/15/2017	BARBOUR, ELEANOR	FA 529 PORT 2016 C	200.00	10.00	0.00	10.00	0.0	10.00
09/05/2017	STEINER, DANIEL	FA 529 PORT 2025 A	100.00	5.00	0.00	5.00	0.0	5.00
09/05/2017	STEINER, DANIEL	FA 529 PORT 2025 A	100.00	5.00	0.00	5.00	0.0	5.00
/ /	BRYAN, TRICIA	FA 529 PORT 2028 A	0.00	6.00	0.00	6.00	0.0	6.00
09/05/2017	THOMPSON, LESLIE	FRANKLIN INCOME A	100.00	4.00	0.00	4.00	0.0	4.00
09/15/2017	WURMLINGER, MARTIN	FRANKLIN INCOME A	100.00	4.00	0.00	4.00	0.0	4.00
09/05/2017	PRESTON, JANEAN	FRANKLIN INCOME C	400.00	4.00	0.00	4.00	0.0	4.00
09/14/2017	YUGE, SEAN	OPPENHEIMER PORT SERIES ACTIVE ALLO	200.00	9.50	0.00	9.50	0.0	9.50

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u> OVERRIDE TRANSACTIONS </u>								
<u>BROKER: JIM LUND #60</u>								
/ /	GUTHRIE, JACOB	VAN ECK GLOBAL HARD ASSETS A	0.00	14.39	0.00	14.39	0.0	14.39
		* JIM LUND SUBTOTAL *	\$1,200.00	\$61.89	\$0.00	\$61.89		\$61.89
<u>BROKER: JAMES PANOS #61</u>								
09/15/2017	FITZGIBBON, EDMUND	FA 529 DIVERSIFIED INTL PORT C	70.00	0.70	0.00	0.70	0.0	0.70
09/15/2017	FITZGIBBON, EDMUND	FA 529 EQUITY GROWTH PORT C	70.00	0.70	0.00	0.70	0.0	0.70
09/15/2017	FITZGIBBON, EDMUND	FA 529 EQUITY GROWTH PORT C	70.00	0.70	0.00	0.70	0.0	0.70
09/15/2017	MACUCH, PAUL	FA 529 PORT 2019 C	50.00	0.50	0.00	0.50	0.0	0.50
09/15/2017	DORAN, PATRICK	FA 529 PORT 2019 C	50.00	0.50	0.00	0.50	0.0	0.50
09/15/2017	LORA, MARCOS	FA 529 PORT 2022 C	150.00	1.50	0.00	1.50	0.0	1.50
09/15/2017	LORA, CATALINA	FA 529 PORT 2022 C	150.00	1.50	0.00	1.50	0.0	1.50
09/15/2017	DORAN, PATRICK	FA 529 PORT 2022 C	50.00	0.50	0.00	0.50	0.0	0.50
09/15/2017	MACUCH, PAUL	FA 529 PORT 2022 C	50.00	0.50	0.00	0.50	0.0	0.50
09/15/2017	MACUCH, PAUL	FA 529 PORT 2022 C	50.00	0.50	0.00	0.50	0.0	0.50
09/15/2017	MACUCH, PAUL	FA 529 PORT 2022 C	50.00	0.50	0.00	0.50	0.0	0.50
09/15/2017	LORA, ROLANDO	FA 529 PORT 2022 C	150.00	1.50	0.00	1.50	0.0	1.50
09/15/2017	MACUCH, PAUL	FA 529 PORT 2028 C	100.00	1.00	0.00	1.00	0.0	1.00
09/05/2017	FARMER, NEAL	FIDELITY ADVISORS 529 MONEY MARKET	1,000.00	10.00	0.00	10.00	0.0	10.00
		* JAMES PANOS SUBTOTAL *	\$2,060.00	\$20.60	\$0.00	\$20.60		\$20.60
<u>BROKER: RAYMOND LAWTON #79</u>								
09/20/2017	SAINT PAUL LUTHERAN, CHURCH	SPDR S&P MIDCAP 400 ETF TR UNIT SER	-1,283.52	25.00	22.50	2.50	0.0	2.50
		* RAYMOND LAWTON SUBTOTAL *	\$-1,283.52	\$25.00	\$22.50	\$2.50		\$2.50
<u>BROKER: RENE CASTRO #92</u>								
09/15/2017	BUSTOS, ARMANDO	JH HIGH YIELD A	0.00	2.40	0.00	2.40	0.0	2.40
09/15/2017	BUSTOS, ARMANDO	JH STRATEGIC INCOME A	0.00	9.37	0.00	9.37	0.0	9.37
		* RENE CASTRO SUBTOTAL *	\$0.00	\$11.77	\$0.00	\$11.77		\$11.77
<u>BROKER: JAMES AULENTI #101</u>								
09/01/2017	BAYLE, JOHN	AM FUNDS AMCAP A	0.00	7.27	0.00	7.27	0.0	7.27
09/01/2017	BAYLE, JOHN	AM FUNDS AMERICAN BALANCED A	0.00	30.60	0.00	30.60	0.0	30.60
09/01/2017	BAYLE, JOHN	AM FUNDS BOND FUND OF AMERICA A	0.00	34.44	0.00	34.44	0.0	34.44
09/01/2017	MCCANDLESS, DOROTHY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	10.40	0.00	10.40	0.0	10.40
09/01/2017	MCCANDLESS, JAMES	AM FUNDS CAPITAL INCOME BUILDER A	0.00	14.58	0.00	14.58	0.0	14.58

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<u> OVERRIDE TRANSACTIONS </u>								
<u> BROKER: JAMES AULENTI #101 </u>								
09/01/2017	SCHULTZ, WILLIAM	AM FUNDS CAPITAL INCOME BUILDER A	0.00	17.93	0.00	17.93	0.0	17.93
09/01/2017	BAYLE, JOHN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	30.19	0.00	30.19	0.0	30.19
09/01/2017	MCCANDLESS, DOROTHY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	11.52	0.00	11.52	0.0	11.52
09/01/2017	MCCANDLESS, JAMES	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	16.00	0.00	16.00	0.0	16.00
09/01/2017	SPENCE, NANCY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	21.66	0.00	21.66	0.0	21.66
09/01/2017	BAYLE, JOHN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	31.25	0.00	31.25	0.0	31.25
09/01/2017	RODRIGUES, GEORGE	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	9.20	0.00	9.20	0.0	9.20
09/01/2017	SPENCE, NANCY	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	24.03	0.00	24.03	0.0	24.03
09/01/2017	CALABRO, TREVER	AM FUNDS GROWTH AND INCOME 529A	0.00	56.46	0.00	56.46	0.0	56.46
09/01/2017	CALABRO, TREVER	AM FUNDS GROWTH PORT 529A	0.00	75.96	0.00	75.96	0.0	75.96
09/01/2017	BAYLE, JOHN	AM FUNDS INCOME FUND OF AMERICA A	0.00	15.35	0.00	15.35	0.0	15.35
09/01/2017	CLISHAM, JOHN	AM FUNDS TAX-EXEMPT BOND FUND OF AM	0.00	160.01	0.00	160.01	0.0	160.01
09/01/2017	MCCANDLESS, JAMES	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	34.67	0.00	34.67	0.0	34.67
* JAMES AULENTI SUBTOTAL *			\$0.00	\$601.52	\$0.00	\$601.52		\$601.52
<u> BROKER: ERIK BLOOMFELDT #105 </u>								
09/01/2017	TOMLINSON, ELIJAH	AM FUNDS COLLEGE 2030 FUND 529A	0.00	4.66	0.00	4.66	0.0	4.66
* ERIK BLOOMFELDT SUBTOTAL *			\$0.00	\$4.66	\$0.00	\$4.66		\$4.66
<u> BROKER: DANIEL COLLINS #106 </u>								
09/15/2017	EVANSUSA, DENISE	JH FINANCIAL INDUSTRIES A	0.00	1.75	0.00	1.75	0.0	1.75
09/15/2017	EVANSUSA, DENISE	JH FINANCIAL INDUSTRIES B	0.00	0.04	0.00	0.04	0.0	0.04
09/15/2017	EVANSUSA, DENISE	JH LARGE CAP EQUITY A	0.00	2.81	0.00	2.81	0.0	2.81
09/15/2017	EVANSUSA, DENISE	JH LARGE CAP EQUITY B	0.00	0.03	0.00	0.03	0.0	0.03
09/15/2017	EVANSUSA, DENISE	JH NEW OPPORTUNITIES A	0.00	1.88	0.00	1.88	0.0	1.88
09/15/2017	EVANSUSA, DENISE	JH STRATEGIC GROWTH A	0.00	2.04	0.00	2.04	0.0	2.04
* DANIEL COLLINS SUBTOTAL *			\$0.00	\$8.55	\$0.00	\$8.55		\$8.55
<u> BROKER: G118 GRECO #110 </u>								
09/01/2017	KING, KYLIE	AM FUNDS AMERICAN BALANCED 529A	0.00	0.36	0.00	0.36	0.0	0.36
09/01/2017	GUZMAN, JUAN	AM FUNDS AMERICAN BALANCED A	0.00	2.06	0.00	2.06	0.0	2.06
09/01/2017	DOBRICKY, ALAN	AM FUNDS BOND FUND OF AMERICA A	0.00	0.91	0.00	0.91	0.0	0.91
09/01/2017	GUZMAN, JUAN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.81	0.00	1.81	0.0	1.81
09/01/2017	GUZMAN, JUAN	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	1.59	0.00	1.59	0.0	1.59
09/01/2017	GARZA, NATHAN	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	0.20	0.00	0.20	0.0	0.20

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<u> OVERRIDE TRANSACTIONS </u>								
<u>BROKER: G118 GRECO #110</u>								
09/01/2017	PAOLI, ANGELA	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	0.60	0.00	0.60	0.0	0.60
09/01/2017	BALDASSANO, VINCENT	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	0.37	0.00	0.37	0.0	0.37
09/20/2017	GARZA, NATHAN	AM FUNDS GROWTH FUND OF AMERICA 529	50.00	2.50	0.00	2.50	0.0	2.50
09/01/2017	BLASSICK, RICHARD	AM FUNDS GROWTH FUND OF AMERICA A	0.00	3.53	0.00	3.53	0.0	3.53
09/01/2017	GUZMAN, JUAN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	2.12	0.00	2.12	0.0	2.12
09/01/2017	GUZMAN, JUAN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	5.02	0.00	5.02	0.0	5.02
09/01/2017	PAOLI, ANGELA	AM FUNDS ICA 529A	0.00	0.53	0.00	0.53	0.0	0.53
09/01/2017	BALDASSANO, VINCENT	AM FUNDS ICA 529A	0.00	0.36	0.00	0.36	0.0	0.36
09/01/2017	GUZMAN, JUAN	AM FUNDS ICA A	0.00	1.69	0.00	1.69	0.0	1.69
09/01/2017	DOBRICKY, ALAN	AM FUNDS ICA A	0.00	1.95	0.00	1.95	0.0	1.95
09/01/2017	GUZMAN, JUAN	AM FUNDS INCOME FUND OF AMERICA A	0.00	1.62	0.00	1.62	0.0	1.62
09/01/2017	DOBRICKY, ALAN	AM FUNDS INCOME FUND OF AMERICA A	0.00	2.38	0.00	2.38	0.0	2.38
09/01/2017	GARZA, NATHAN	AM FUNDS NEW PERSPECTIVE 529A	0.00	0.21	0.00	0.21	0.0	0.21
09/20/2017	GARZA, NATHAN	AM FUNDS NEW PERSPECTIVE 529A	50.00	2.50	0.00	2.50	0.0	2.50
09/01/2017	BLASSICK, RICHARD	AM FUNDS NEW PERSPECTIVE A	0.00	1.40	0.00	1.40	0.0	1.40
09/01/2017	GUZMAN, JUAN	AM FUNDS NEW PERSPECTIVE A	0.00	2.14	0.00	2.14	0.0	2.14
09/01/2017	GUZMAN, JUAN	AM FUNDS NEW PERSPECTIVE A	0.00	0.94	0.00	0.94	0.0	0.94
09/01/2017	DOBRICKY, ALAN	AM FUNDS NEW PERSPECTIVE A	0.00	1.73	0.00	1.73	0.0	1.73
09/01/2017	BLASSICK, RICHARD	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	2.86	0.00	2.86	0.0	2.86
09/01/2017	KING, KYLIE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.25	0.00	0.25	0.0	0.25
* G118 GRECO SUBTOTAL *			\$100.00	\$41.63	\$0.00	\$41.63		\$41.63
<u>BROKER: ERNEST DALE ANDERSON #119</u>								
09/12/2017	VAN BAAL, RUDOLF	AGI BEST STYLES INTRNTL EQ PORT MI-	0.00	1.30	0.00	1.30	0.0	1.30
09/12/2017	VAN BAAL, RUDOLF	AGI BEST STYLES INTRNTL EQ PORT MI-	0.00	0.23	0.00	0.23	0.0	0.23
09/12/2017	VAN BAAL, RUDOLF	AGI BEST STYLES INTRNTL EQ PORT MI-	0.00	0.31	0.00	0.31	0.0	0.31
09/12/2017	VAN BAAL, RUDOLF	AGI BEST STYLES US EQUITY PORT MI-A	0.00	1.36	0.00	1.36	0.0	1.36
09/12/2017	VAN BAAL, RUDOLF	AGI BEST STYLES US EQUITY PORT MI-A	0.00	0.31	0.00	0.31	0.0	0.31
09/12/2017	VAN BAAL, RUDOLF	AGI BEST STYLES US EQUITY PORT MI-A	0.00	0.38	0.00	0.38	0.0	0.38
09/12/2017	VAN BAAL, RUDOLF	MI 529 ADV ALLIANZGI INC & GRWTH MI	0.00	1.28	0.00	1.28	0.0	1.28
09/12/2017	VAN BAAL, RUDOLF	MI 529 ADV ALLIANZGI INC & GRWTH MI	0.00	0.24	0.00	0.24	0.0	0.24
09/12/2017	VAN BAAL, RUDOLF	MI 529 ADV ALLIANZGI INC & GRWTH MI	0.00	0.27	0.00	0.27	0.0	0.27
09/12/2017	VAN BAAL, RUDOLF	MI 529 ADV TIAA-CREF SM-CAP BLEND I	0.00	1.37	0.00	1.37	0.0	1.37
09/12/2017	VAN BAAL, RUDOLF	MI 529 ADV TIAA-CREF SM-CAP BLEND I	0.00	0.28	0.00	0.28	0.0	0.28

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<u> OVERRIDE TRANSACTIONS </u>								
<u>BROKER: ERNEST DALE ANDERSON #119</u>								
09/12/2017	VAN BAAL, RUDOLF	MI 529 ADV TIAA-CREF SM-CAP BLEND I	0.00	0.34	0.00	0.34	0.0	0.34
09/12/2017	VAN BAAL, RUDOLF	MI 529 ADVISOR TIAA-CREF S&P 500 IN	0.00	1.39	0.00	1.39	0.0	1.39
09/12/2017	VAN BAAL, RUDOLF	MI 529 ADVISOR TIAA-CREF S&P 500 IN	0.00	0.32	0.00	0.32	0.0	0.32
09/12/2017	VAN BAAL, RUDOLF	MI 529 ADVISOR TIAA-CREF S&P 500 IN	0.00	0.40	0.00	0.40	0.0	0.40
* ERNEST DALE ANDERSON SUBTOTAL *			\$0.00	\$9.78	\$0.00	\$9.78		\$9.78
<u>BROKER: JAY MCCLELLAN #120</u>								
09/01/2017	SHEPARD, EARL	AM FUNDS GROWTH FUND OF AMERICA F1	0.00	10.21	0.00	10.21	0.0	10.21
09/06/2017	CRABTREE, ASHTYN	COLUMBIA STRATEGIC INVESTOR A	0.00	2.99	0.00	2.99	0.0	2.99
09/15/2017	CRABTREE, ASHTYN	COLUMBIA STRATEGIC INVESTOR A	50.00	2.50	0.00	2.50	0.0	2.50
08/31/2017	ZEHRINGER, JAMES	EATON VANCE GREATER CHINA GROWTH A	0.00	2.78	0.00	2.78	0.0	2.78
09/11/2017	CRABTREE, GARY	METLIFE	36,372.46	7.57	0.00	7.57	0.0	7.57
09/11/2017	CRABTREE, GARY	METLIFE	7,835.05	1.63	0.00	1.63	0.0	1.63
09/11/2017	CRABTREE, GARY	METLIFE	7,811.85	1.62	0.00	1.62	0.0	1.62
09/11/2017	CRABTREE, GARY	METLIFE	6,510.18	1.35	0.00	1.35	0.0	1.35
09/11/2017	CRABTREE, GARY	METLIFE	8,315.56	1.73	0.00	1.73	0.0	1.73
09/11/2017	CRABTREE, GARY	METLIFE	11,291.91	2.35	0.00	2.35	0.0	2.35
08/31/2017	MATTHIEU, PAUL	RESOURCE R E DIVERSIFIED INC FUND A	0.00	4.51	0.00	4.51	0.0	4.51
/ /	LEO, MICHAEL	RYDEX GUGG UTILITIES C	0.00	1.63	0.00	1.63	0.0	1.63
* JAY MCCLELLAN SUBTOTAL *			\$78,187.01	\$40.87	\$0.00	\$40.87		\$40.87
<u>BROKER: DAVID KOTZ #179</u>								
08/31/2017	SHELLEY, SUZANNE	ASCENSUS 529 TRAILS	0.00	15.37	0.00	15.37	0.0	15.37
08/31/2017	SHELLEY, SUZANNE	ASCENSUS 529 TRAILS	0.00	15.37	0.00	15.37	0.0	15.37
09/01/2017	SHELLEY, SUZANNE	AM FUNDS CAPITAL INCOME BUILDER 529	0.00	34.61	0.00	34.61	0.0	34.61
09/01/2017	SHELLEY, SUZANNE	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	197.78	0.00	197.78	0.0	197.78
09/01/2017	SHELLEY, SUZANNE	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	375.42	0.00	375.42	0.0	375.42
09/01/2017	MILES NICK, SCOTT	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	108.86	0.00	108.86	0.0	108.86
09/01/2017	MILES NICK, SCOTT	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	56.59	0.00	56.59	0.0	56.59
* DAVID KOTZ SUBTOTAL *			\$0.00	\$804.00	\$0.00	\$804.00		\$804.00
<u>BROKER: WILLIAM WALSH #187</u>								
09/08/2017	WALSH, VARIOUS	JOHN HANCOCK LIFE INS CO	0.00	19.64	0.00	19.64	0.0	19.64
09/01/2017	WALSH, BENJAMIN	AM FUNDS AMCAP 529A	0.00	23.31	0.00	23.31	0.0	23.31
09/01/2017	WALSH, BENJAMIN	AM FUNDS AMERICAN BALANCED 529A	0.00	21.02	0.00	21.02	0.0	21.02

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<u> OVERRIDE TRANSACTIONS </u>								
<u> BROKER: WILLIAM WALSH #187 </u>								
09/01/2017	GUDANOWSKI, GERALDINE	AM FUNDS BOND FUND OF AMERICA C	0.00	43.71	0.00	43.71	0.0	43.71
09/01/2017	CHAWLA, MAHINDER	AM FUNDS CAPITAL INCOME BUILDER 529	0.00	8.56	0.00	8.56	0.0	8.56
09/01/2017	WALSH, BENJAMIN	AM FUNDS CAPITAL INCOME BUILDER 529	0.00	20.55	0.00	20.55	0.0	20.55
09/01/2017	CHAWLA, MAHINDER	AM FUNDS CAPITAL INCOME BUILDER 529	0.00	3.24	0.00	3.24	0.0	3.24
09/01/2017	SENGSTOCK, DAVID	AM FUNDS CAPITAL INCOME BUILDER 529	0.00	97.89	0.00	97.89	0.0	97.89
09/01/2017	WALSH, BENJAMIN	AM FUNDS CAPITAL WORLD GRTH & INC 5	0.00	22.34	0.00	22.34	0.0	22.34
09/01/2017	SENGSTOCK, DAVID	AM FUNDS CAPITAL WORLD GRTH & INC 5	0.00	94.97	0.00	94.97	0.0	94.97
09/01/2017	SENGSTOCK, DAVID	AM FUNDS CAPITAL WORLD GRTH & INC 5	0.00	34.56	0.00	34.56	0.0	34.56
09/01/2017	CHAWLA, MAHINDER	AM FUNDS FUNDAMENTAL INVESTORS 529A	0.00	11.32	0.00	11.32	0.0	11.32
09/01/2017	CHAWLA, MAHINDER	AM FUNDS FUNDAMENTAL INVESTORS 529C	0.00	7.14	0.00	7.14	0.0	7.14
09/01/2017	SENGSTOCK, DAVID	AM FUNDS FUNDAMENTAL INVESTORS 529C	0.00	130.80	0.00	130.80	0.0	130.80
09/01/2017	SENGSTOCK, DAVID	AM FUNDS FUNDAMENTAL INVESTORS 529C	0.00	126.53	0.00	126.53	0.0	126.53
09/01/2017	SENGSTOCK, DAVID	AM FUNDS FUNDAMENTAL INVESTORS 529C	0.00	46.41	0.00	46.41	0.0	46.41
09/01/2017	SENGSTOCK, DAVID	AM FUNDS FUNDAMENTAL INVESTORS 529C	0.00	0.88	0.00	0.88	0.0	0.88
09/01/2017	CHAWLA, MAHINDER	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	13.88	0.00	13.88	0.0	13.88
09/01/2017	CHAWLA, MAHINDER	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	12.43	0.00	12.43	0.0	12.43
09/01/2017	SENGSTOCK, DAVID	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	130.20	0.00	130.20	0.0	130.20
09/01/2017	SENGSTOCK, DAVID	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	126.74	0.00	126.74	0.0	126.74
09/01/2017	SENGSTOCK, DAVID	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	46.51	0.00	46.51	0.0	46.51
09/01/2017	SENGSTOCK, DAVID	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	0.86	0.00	0.86	0.0	0.86
09/01/2017	CHAWLA, MAHINDER	AM FUNDS NEW PERSPECTIVE 529A	0.00	13.94	0.00	13.94	0.0	13.94
09/01/2017	CHAWLA, MAHINDER	AM FUNDS NEW PERSPECTIVE 529C	0.00	9.54	0.00	9.54	0.0	9.54
/ /	ACADEMY MANAGEMENT	NW RETIREMENT CLR ADVANTAGE	1,040,075.14	213.71	0.00	213.71	0.0	213.71
/ /	PREMIERE PACKAGING	NWL FLEX ADVANTAGE	1,144,153.84	117.55	0.00	117.55	0.0	117.55
/ /	PREMIERE PACKAGING	NWL FLEX ADVANTAGE	2,201,075.23	226.14	0.00	226.14	0.0	226.14
/ /	SHAW & SLAVSKY	NWL FLEX ADVANTAGE	2,945,880.46	605.32	0.00	605.32	0.0	605.32
/ /	MARYSVILLE ETHANOL	NWL FLEX ADVANTAGE	1,739,903.47	357.51	0.00	357.51	0.0	357.51
/ /	MARYSVILLE ETHANOL	NWL FLEX ADVANTAGE	603,784.20	124.07	0.00	124.07	0.0	124.07
/ /	COMMUNITY HOUSE	NWL FLEX ADVANTAGE	54,382.04	11.17	0.00	11.17	0.0	11.17
/ /	SHAW & SLAVSKY	NWL POOLED FXD	14,426.54	2.96	0.00	2.96	0.0	2.96
/ /	COMMUNITY HOUSE	NWL POOLED FXD	364.85	0.07	0.00	0.07	0.0	0.07
/ /	DETROIT CONNECTION	NWL RETIREMENT INNOVATOR	492,186.33	121.36	0.00	121.36	0.0	121.36
/ /	DETROIT CONNECTION	NWL SELF DIRECTED BROKERAGE GRP	50,311.54	12.41	0.00	12.41	0.0	12.41

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u> OVERRIDE TRANSACTIONS </u>								
<u>BROKER: WILLIAM WALSH #187</u>								
/ /	MARYSVILLE ETHANOL	NWL SELF DIRECTED BROKERAGE GRP	93,088.14	19.13	0.00	19.13	0.0	19.13
09/05/2017	BROOKS, JAMES F & MARGE	PAC LIFE INNOVATIVE SELECT	0.00	124.05	0.00	124.05	0.0	124.05
09/07/2017	WALSH, CAROL	PAC LIFE INNOVATIVE SELECT	0.00	302.28	0.00	302.28	0.0	302.28
09/12/2017	HESSELL, LOUIS	PAC LIFE INNOVATIVE SELECT	0.00	454.50	0.00	454.50	0.0	454.50
09/13/2017	BROOKS, JAMES	PAC LIFE VALUE	0.00	92.43	0.00	92.43	0.0	92.43
* WILLIAM WALSH SUBTOTAL *			\$10,379,631.78	\$3,851.63	\$0.00	\$3,851.63		\$3,851.63
<u>BROKER: MICHELE BOYER #189</u>								
09/05/2017	BARTELS, CHRIS	INVESCO ALL CAP MARKET NEUTRAL FD -	26.68	0.27	0.00	0.27	0.0	0.27
09/05/2017	HAWKINS, DAMON	INVESCO AMERICAN FRANCHISE A	29.44	0.15	0.00	0.15	0.0	0.15
09/05/2017	HAWKINS, DAMON	INVESCO AMERICAN FRANCHISE A	8.83	0.04	0.00	0.04	0.0	0.04
09/05/2017	HALLER, CRISSY	INVESCO AMERICAN FRANCHISE C	21.84	0.22	0.00	0.22	0.0	0.22
09/05/2017	HALLER, CRISSY	INVESCO AMERICAN FRANCHISE C	21.84	0.22	0.00	0.22	0.0	0.22
09/05/2017	CRONK, THOMAS	INVESCO AMERICAN FRANCHISE C	156.00	1.56	0.00	1.56	0.0	1.56
09/05/2017	CRONK, THOMAS	INVESCO AMERICAN FRANCHISE C	156.00	1.56	0.00	1.56	0.0	1.56
09/05/2017	KINNEY, JUSTIN	INVESCO BALANCED RISK RTRMNT 2050 A	108.00	0.54	0.00	0.54	0.0	0.54
09/05/2017	KINNEY, JUSTIN	INVESCO BALANCED RISK RTRMNT 2050 A	108.00	0.54	0.00	0.54	0.0	0.54
09/05/2017	HALLER, CRISSY	INVESCO CHARTER FUND C	21.84	0.22	0.00	0.22	0.0	0.22
09/05/2017	HALLER, CRISSY	INVESCO CHARTER FUND C	21.84	0.22	0.00	0.22	0.0	0.22
09/05/2017	HAWKINS, DAMON	INVESCO COMSTOCK A	29.43	0.15	0.00	0.15	0.0	0.15
09/05/2017	HAWKINS, DAMON	INVESCO COMSTOCK A	8.82	0.04	0.00	0.04	0.0	0.04
09/05/2017	COPPERNOLL, CRAIG	INVESCO CORE PLUS BOND FUND CL C	63.08	0.63	0.00	0.63	0.0	0.63
09/05/2017	COPPERNOLL, CRAIG	INVESCO CORE PLUS BOND FUND CL C	31.52	0.32	0.00	0.32	0.0	0.32
09/05/2017	HAWKINS, DAMON	INVESCO DEVELOPING MARKETS A	23.55	0.12	0.00	0.12	0.0	0.12
09/05/2017	HAWKINS, DAMON	INVESCO DEVELOPING MARKETS A	7.07	0.04	0.00	0.04	0.0	0.04
09/05/2017	HAWKINS, DAMON	INVESCO ENERGY FUND A	26.50	0.13	0.00	0.13	0.0	0.13
09/05/2017	HAWKINS, DAMON	INVESCO ENERGY FUND A	7.95	0.04	0.00	0.04	0.0	0.04
09/05/2017	BARTELS, CHRIS	INVESCO GLOBAL INFRASTRUCTURE C	13.34	0.13	0.00	0.13	0.0	0.13
09/05/2017	COPPERNOLL, CRAIG	INVESCO GLOBAL REAL ESTATE C	47.31	0.47	0.00	0.47	0.0	0.47
09/05/2017	COPPERNOLL, CRAIG	INVESCO GLOBAL REAL ESTATE C	23.64	0.24	0.00	0.24	0.0	0.24
09/05/2017	COPPERNOLL, CRAIG	INVESCO GROWTH AND INCOME C	63.08	0.63	0.00	0.63	0.0	0.63
09/05/2017	COPPERNOLL, CRAIG	INVESCO GROWTH AND INCOME C	31.54	0.32	0.00	0.32	0.0	0.32
09/05/2017	HAWKINS, DAMON	INVESCO HIGH YIELD FUND A	44.16	0.22	0.00	0.22	0.0	0.22
09/05/2017	HAWKINS, DAMON	INVESCO HIGH YIELD FUND A	13.25	0.07	0.00	0.07	0.0	0.07

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<u> OVERRIDE TRANSACTIONS </u>								
<u>BROKER: MICHELE BOYER #189</u>								
09/05/2017	COPPERNOLL, CRAIG	INVESCO INTERNATIONAL GROWTH C	47.31	0.47	0.00	0.47	0.0	0.47
09/05/2017	COPPERNOLL, CRAIG	INVESCO INTERNATIONAL GROWTH C	23.64	0.24	0.00	0.24	0.0	0.24
09/05/2017	BARTELS, CHRIS	INVESCO LONG/SHORT EQUITY FUND - CL	26.68	0.27	0.00	0.27	0.0	0.27
09/05/2017	BARTELS, CHRIS	INVESCO LOW VOLATILITY EMERG MKTS -	40.02	0.40	0.00	0.40	0.0	0.40
09/05/2017	COPPERNOLL, CRAIG	INVESCO MIDCAP CORE EQUITY C	47.31	0.47	0.00	0.47	0.0	0.47
09/05/2017	COPPERNOLL, CRAIG	INVESCO MIDCAP CORE EQUITY C	23.64	0.24	0.00	0.24	0.0	0.24
09/05/2017	BARTELS, CHRIS	INVESCO MLP FUND - CLASS C	26.68	0.27	0.00	0.27	0.0	0.27
09/05/2017	COPPERNOLL, CRAIG	INVESCO SMALL CAP EQUITY FUND	47.31	0.47	0.00	0.47	0.0	0.47
09/05/2017	COPPERNOLL, CRAIG	INVESCO SMALL CAP EQUITY FUND	23.64	0.24	0.00	0.24	0.0	0.24
09/05/2017	HAWKINS, DAMON	INVESCO STRUCTURED CORE A	29.44	0.15	0.00	0.15	0.0	0.15
09/05/2017	HAWKINS, DAMON	INVESCO STRUCTURED CORE A	8.83	0.04	0.00	0.04	0.0	0.04
09/05/2017	HAWKINS, DAMON	INVESCO SUMMIT FUND A	44.16	0.22	0.00	0.22	0.0	0.22
09/05/2017	HAWKINS, DAMON	INVESCO SUMMIT FUND A	13.25	0.07	0.00	0.07	0.0	0.07
09/05/2017	HAWKINS, DAMON	INVESCO TECHNOLOGY A	26.50	0.13	0.00	0.13	0.0	0.13
09/05/2017	HAWKINS, DAMON	INVESCO TECHNOLOGY A	7.95	0.04	0.00	0.04	0.0	0.04
09/05/2017	HAWKINS, DAMON	INVESCO UTILITIES A	26.50	0.13	0.00	0.13	0.0	0.13
09/05/2017	HAWKINS, DAMON	INVESCO UTILITIES A	7.95	0.04	0.00	0.04	0.0	0.04
* MICHELE BOYER SUBTOTAL *			\$1,585.36	\$12.98	\$0.00	\$12.98		\$12.98
<u>BROKER: THOMAS JAHNCKE #193</u>								
09/15/2017	GLOVER, FRANK	THORNBURG VALUE CLASS C	0.00	90.53	0.00	90.53	0.0	90.53
* THOMAS JAHNCKE SUBTOTAL *			\$0.00	\$90.53	\$0.00	\$90.53		\$90.53
<u>BROKER: MEREDITH MCCUTCHEEN #221</u>								
09/01/2017	CUSUMANO, DARLENE	AM FUNDS AMERICAN MUTUAL 529A	0.00	0.40	0.00	0.40	0.0	0.40
09/01/2017	PITT, PATRICIA	AM FUNDS AMERICAN MUTUAL 529A	0.00	6.16	0.00	6.16	0.0	6.16
09/01/2017	PITT, PATRICIA	AM FUNDS AMERICAN MUTUAL 529A	0.00	3.60	0.00	3.60	0.0	3.60
09/01/2017	ROBINSON, SARAH	AM FUNDS AMERICAN MUTUAL A	0.00	3.78	0.00	3.78	0.0	3.78
09/01/2017	CUSUMANO, DARLENE	AM FUNDS CAPITAL WORLD GRTH & INC 5	0.00	0.38	0.00	0.38	0.0	0.38
09/01/2017	PITT, PATRICIA	AM FUNDS CAPITAL WORLD GRTH & INC 5	0.00	5.31	0.00	5.31	0.0	5.31
09/01/2017	PITT, PATRICIA	AM FUNDS CAPITAL WORLD GRTH & INC 5	0.00	2.80	0.00	2.80	0.0	2.80
09/01/2017	ROBINSON, SARAH	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	3.39	0.00	3.39	0.0	3.39
09/01/2017	CUSUMANO, DARLENE	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	0.49	0.00	0.49	0.0	0.49
09/01/2017	PITT, PATRICIA	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	7.15	0.00	7.15	0.0	7.15

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<u> OVERRIDE TRANSACTIONS </u>								
<u>BROKER: MEREDITH MCCUTCHEN #221</u>								
09/01/2017	PITT, PATRICIA	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	4.52	0.00	4.52	0.0	4.52
09/01/2017	ROBINSON, SARAH	AM FUNDS GROWTH FUND OF AMERICA A	0.00	4.29	0.00	4.29	0.0	4.29
09/01/2017	CUSUMANO, DARLENE	AM FUNDS NEW PERSPECTIVE 529A	0.00	0.45	0.00	0.45	0.0	0.45
09/01/2017	PITT, PATRICIA	AM FUNDS NEW PERSPECTIVE 529A	0.00	6.32	0.00	6.32	0.0	6.32
09/01/2017	PITT, PATRICIA	AM FUNDS NEW PERSPECTIVE 529A	0.00	3.75	0.00	3.75	0.0	3.75
09/01/2017	ROBINSON, SARAH	AM FUNDS NEW PERSPECTIVE A	0.00	3.72	0.00	3.72	0.0	3.72
09/06/2017	TALBERT, ANN	COLUMBIA LARGE CAP GROWTH C	0.00	8.75	0.00	8.75	0.0	8.75
09/06/2017	TALBERT, ANN	COLUMBIA MIDCAP GROWTH FUND-C	0.00	7.63	0.00	7.63	0.0	7.63
* MEREDITH MCCUTCHEN SUBTOTAL *			\$0.00	\$72.89	\$0.00	\$72.89		\$72.89
<u>BROKER: B151-JASON/MARIA BAIRD/BONGIOVANNI #240</u>								
09/01/2017	GAGNON, JOHN	AM FUNDS AMERICAN BALANCED C	0.00	15.08	0.00	15.08	0.0	15.08
09/01/2017	BRINICH, EVA	AM FUNDS AMERICAN BALANCED C	0.00	4.93	0.00	4.93	0.0	4.93
09/01/2017	ROMA, NANCY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	22.59	0.00	22.59	0.0	22.59
09/01/2017	THOMPSON, MARGARET	AM FUNDS CAPITAL WORLD GRTH & INC C	0.00	18.85	0.00	18.85	0.0	18.85
09/01/2017	SLACK, DONITA	AM FUNDS CAPITAL WORLD GRTH & INC C	0.00	42.86	0.00	42.86	0.0	42.86
09/01/2017	SLACK, DONITA	AM FUNDS FUNDAMENTAL INVESTORS C	0.00	48.99	0.00	48.99	0.0	48.99
09/01/2017	GAGNON, JOHN	AM FUNDS GROWTH FUND OF AMERICA C	0.00	15.67	0.00	15.67	0.0	15.67
09/01/2017	GAGNON, JOHN	AM FUNDS GROWTH FUND OF AMERICA C	0.00	18.07	0.00	18.07	0.0	18.07
09/01/2017	GAGNON, JOHN	AM FUNDS INCOME FUND OF AMERICA C	0.00	12.58	0.00	12.58	0.0	12.58
09/01/2017	CROCKETT, SUZANNE	AM FUNDS INCOME FUND OF AMERICA C	0.00	27.37	0.00	27.37	0.0	27.37
09/01/2017	BRACHER, DOUGLAS	AM FUNDS INCOME FUND OF AMERICA-529	0.00	13.02	0.00	13.02	0.0	13.02
09/15/2017	WAX, LUBENA	BLK EQUITY DIVIDEND C	300.00	3.00	0.00	3.00	0.0	3.00
09/15/2017	WAX, LUBENA	BLK EQUITY DIVIDEND C	300.00	3.00	0.00	3.00	0.0	3.00
09/15/2017	POLL, ROGOR	FT EQUITY INC CL C	600.00	6.00	0.00	6.00	0.0	6.00
09/15/2017	COCHRILL, MELANIE	NWL NEXT GEN II FP VUL	30.00	0.90	0.00	0.90	0.0	0.90
09/15/2017	HINCHLIFFE, ERIC	NWL YOURLIFE ACCUM VUL	210.13	2.10	0.00	2.10	0.0	2.10
09/15/2017	GREENBLATT JR, ROLAND	NWL YOURLIFE ACCUM VUL	110.58	1.11	0.00	1.11	0.0	1.11
09/15/2017	RICCI, SARAH	NWL YOURLIFE ACCUM VUL	492.24	4.92	0.00	4.92	0.0	4.92
09/12/2017	REICH, MICHELLE	OPPENHEIMER FUND 68385E200	50.00	0.50	0.00	0.50	0.0	0.50
09/12/2017	REICH, MICHELLE	OPPENHEIMER PTF SERIES EQUITY INVES	50.00	0.50	0.00	0.50	0.0	0.50
09/05/2017	HINCHLIFFE, ERIC	TRANSAMERICA AA MOD GROWTH A	25.00	1.19	0.00	1.19	0.0	1.19
* B151-JASON/MARIA BAIRD/BONGIOVANNI SUBTOTAL *			\$2,167.95	\$263.23	\$0.00	\$263.23		\$263.23

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<u> OVERRIDE TRANSACTIONS </u>								
<u>BROKER: L149-ROBERT LUCHSINGER #388</u>								
/ /	KNAACK, JOHN	RYDEX GUGG MID CAP VALUE A	0.00	4.75	0.00	4.75	0.0	0.48
09/08/2017	TIERNAN, JOAN	SUNAMERICA FOCUSED ALPHA GROWTH A	0.00	2.27	0.00	2.27	0.0	0.23
09/08/2017	TIERNAN, JOAN	SUNAMERICA FOCUSED ALPHA LARGE CAP A	0.00	2.02	0.00	2.02	0.0	0.20
09/08/2017	WESTRENN, SUSAN	SUNAMERICA FOCUSED ALPHA LARGE CAP A	0.00	1.41	0.00	1.41	0.0	0.14
09/08/2017	REILLY, MARGARET	SUNAMERICA FOCUSED MULTI ASSET A	0.00	11.67	0.00	11.67	0.0	1.17
09/08/2017	REILLY, MARGARET	SUNAMERICA FOCUSED MULTI ASSET B	0.00	3.76	0.00	3.76	0.0	0.38
09/08/2017	TIERNAN, JOAN	SUNAMERICA STRATEGIC BOND FUND CLAS	0.00	1.71	0.00	1.71	0.0	0.17
09/08/2017	TIERNAN, JOAN	SUNAMERICA STRATEGIC VALUE PORTFOLI	0.00	1.32	0.00	1.32	0.0	0.13
09/08/2017	WESTRENN, SUSAN	SUNAMERICA STRATEGIC VALUE PORTFOLI	0.00	1.38	0.00	1.38	0.0	0.14
* L149-ROBERT LUCHSINGER SUBTOTAL *			\$0.00	\$30.29	\$0.00	\$30.29		\$3.04
<u>BROKER: MARK-S148 SMITH #401</u>								
09/05/2017	BOMMARITO, VICTORIA	FOUNDING FUNDS 529 PORTFOLIO - CLAS	50.00	2.50	0.00	2.50	0.0	1.30
09/05/2017	SPURGIN, LISBETH	FT FOUNDING FDS ALLOC C	300.00	3.00	0.00	3.00	0.0	1.56
* MARK-S148 SMITH SUBTOTAL *			\$350.00	\$5.50	\$0.00	\$5.50		\$2.86
*** OVERRIDE TRANSACTIONS TOTAL ***			\$10,465,165.58	\$6,054.17	\$22.50	\$6,031.67		\$6,001.78

BROKER COMMISSION TOTALS

Broker Transactions	\$4,771.75
Split Transactions	\$0.00
Override Transactions	\$6,001.78
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	\$10,773.53
Year-to-date Gross	\$64,228.02
Year-to-date Earnings	\$175,810.75

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