

**COMMISSION STATEMENT****October 15, 2017**

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>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: REIT</u>								
09/29/2017	CFGROUP, VARIOUS	MOODY NAT'L REIT II INC	0.00	6,166.18	0.00	6,166.18	95.0	5,857.87
		* REIT SUBTOTAL *	\$0.00	\$6,166.18	\$0.00	\$6,166.18		\$5,857.87
<u>PRODUCT CATEGORY: 1031 EXCHANGES</u>								
09/14/2017	HICKS, JAY	INLAND GULF COAST IND'L DST	34,455.23	1,722.76	0.00	1,722.76	95.0	1,636.62
09/29/2017	VITALE 9 & KELLY LLC	PASSCO PEARCE DST	252,391.00	15,143.46	0.00	15,143.46	95.0	14,386.29
09/29/2017	VITALE 9 & KELLY LLC	PASSCO VOYAGER DST	263,874.00	15,832.44	0.00	15,832.44	95.0	15,040.82
		* 1031 EXCHANGES SUBTOTAL *	\$550,720.23	\$32,698.66	\$0.00	\$32,698.66		\$31,063.73
<u>PRODUCT CATEGORY: INTERVAL FUNDS</u>								
08/31/2017	CFGROUP, VARIOUS	GRIFFIN INST'L ACCESS R E FUND C	0.00	732.50	0.00	732.50	95.0	695.88
08/31/2017	CFGROUP, VARIOUS	GRIFFIN INST'L ACCESS R E FUND C	0.00	931.90	0.00	931.90	95.0	885.31
08/31/2017	CFGROUP, VARIOUS	GRIFFIN INST'L ACCESS R E FUND C	0.00	494.65	0.00	494.65	95.0	469.92
		* INTERVAL FUNDS SUBTOTAL *	\$0.00	\$2,159.05	\$0.00	\$2,159.05		\$2,051.11
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
09/20/2017	BRADEN, TERRI	ALLIANCEBERNSTEIN GROWTH B	50.00	2.00	0.00	2.00	95.0	1.90
09/25/2017	SILVERSTEIN, MICHAEL	AM FUNDS AMCAP A	50.00	2.13	0.00	2.13	95.0	2.02
09/27/2017	CERIMELE, NICHOLAS	AM FUNDS AMERICAN BALANCED A	60.00	3.00	0.00	3.00	95.0	2.85
09/25/2017	FROMM, MARY	AM FUNDS CAPITAL INCOME BUILDER 529	25.00	1.25	0.00	1.25	95.0	1.19
09/25/2017	SILVERSTEIN, MICHAEL	AM FUNDS CAPITAL WORLD GRTH & INC 5	50.00	2.13	0.00	2.13	95.0	2.02
10/04/2017	BOWEN, ED	AM FUNDS CAPITAL WORLD GRTH & INC 5	50.00	2.13	0.00	2.13	95.0	2.02
10/02/2017	GINGELL, PAUL	AM FUNDS CAPITAL WORLD GRTH & INC A	600.00	12.00	0.00	12.00	95.0	11.40
10/02/2017	ALVEY, SHERRIE	AM FUNDS CAPITAL WORLD GRTH & INC A	125.00	2.50	0.00	2.50	95.0	2.38
10/02/2017	STOLL, HEATHER	AM FUNDS CAPITAL WORLD GRTH & INC A	75.00	3.19	0.00	3.19	95.0	3.03
10/02/2017	GINGELL, PAUL	AM FUNDS EUROPACIFIC GROWTH FUND A	600.00	12.00	0.00	12.00	95.0	11.40
10/02/2017	SAWYER, ALONZO	AM FUNDS GROWTH FUND OF AMERICA 529	50.00	1.88	0.00	1.88	95.0	1.79
10/02/2017	SAWYER, ALONZO	AM FUNDS GROWTH FUND OF AMERICA 529	50.00	1.88	0.00	1.88	95.0	1.79

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

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
10/02/2017	SAWYER, ALONZO	AM FUNDS GROWTH FUND OF AMERICA 529	50.00	1.88	0.00	1.88	95.0	1.79
10/04/2017	BOWEN, ED	AM FUNDS GROWTH FUND OF AMERICA 529	50.00	2.13	0.00	2.13	95.0	2.02
10/02/2017	ALVEY, SHERRIE	AM FUNDS GROWTH FUND OF AMERICA A	125.00	2.50	0.00	2.50	95.0	2.38
10/02/2017	BAILEY, STEVEN	AM FUNDS GROWTH FUND OF AMERICA A	50.00	2.50	0.00	2.50	95.0	2.38
10/03/2017	KEMP, JEREMY	AM FUNDS GROWTH FUND OF AMERICA A	50.00	2.13	0.00	2.13	95.0	2.02
09/25/2017	SOBIESKI, JOYCE	AM FUNDS GROWTH FUND OF AMERICA C	37.50	0.38	0.00	0.38	95.0	0.36
10/06/2017	WAGNER, MATTHEW	AM FUNDS GROWTH FUND OF AMERICA C	1,000.00	10.00	0.00	10.00	95.0	9.50
09/29/2017	WONCH, ELIZABETH	AM FUNDS ICA A	200.00	10.00	0.00	10.00	95.0	9.50
10/02/2017	ALVEY, SHERRIE	AM FUNDS ICA A	125.00	2.50	0.00	2.50	95.0	2.38
10/02/2017	BAILEY, STEVEN	AM FUNDS ICA A	50.00	2.50	0.00	2.50	95.0	2.38
10/02/2017	MCLAUGHLIN, TRACY	AM FUNDS ICA A	150.00	7.50	0.00	7.50	95.0	7.13
10/02/2017	GINGELL, PAUL	AM FUNDS NEW PERSPECTIVE A	600.00	12.00	0.00	12.00	95.0	11.40
09/25/2017	FROMM, MARY	AM FUNDS NEW WORLD 529A	25.00	1.25	0.00	1.25	95.0	1.19
10/02/2017	ALVEY, SHERRIE	AM FUNDS SMALLCAP WORLD A	125.00	2.50	0.00	2.50	95.0	2.38
09/25/2017	SOBIESKI, JOYCE	AM FUNDS WASHINGTON MUTUAL INVESTOR	37.50	0.38	0.00	0.38	95.0	0.36
08/31/2017	GALLAS, JAMES L & ANN M	BLACKROCK 19452P473	0.00	7.50	0.00	7.50	95.0	7.13
08/31/2017	GALLAS, ANN	BLACKROCK 19452P473	0.00	3.66	0.00	3.66	95.0	3.48
08/31/2017	BURKE, KIMBERLY	BLACKROCK FUND 19452P594	0.00	1.09	0.00	1.09	95.0	1.04
08/31/2017	BURKE, KIMBERLY	BLACKROCK FUND 19452P594	0.00	2.55	0.00	2.55	95.0	2.42
08/31/2017	BURKE, KIMBERLY	BLACKROCK FUND 19452P594	0.00	7.66	0.00	7.66	95.0	7.28
08/31/2017	BURKE, KIMBERLY	BLACKROCK FUND 19452P594	0.00	3.27	0.00	3.27	95.0	3.11
08/31/2017	BURKE, KIMBERLY	BLACKROCK FUND 19452P610	0.00	3.16	0.00	3.16	95.0	3.00
08/31/2017	BURKE, KIMBERLY	BLACKROCK FUND 19452P610	0.00	2.08	0.00	2.08	95.0	1.98
08/31/2017	BURKE, KIMBERLY	BLACKROCK FUND 19452P628	0.00	3.07	0.00	3.07	95.0	2.92
08/31/2017	BURKE, KIMBERLY	BLACKROCK FUND 19452P628	0.00	6.39	0.00	6.39	95.0	6.07
08/31/2017	BURKE, KIMBERLY	BLACKROCK FUND 19452P628	0.00	1.02	0.00	1.02	95.0	0.97
08/31/2017	BURKE, KIMBERLY	BLACKROCK FUND 19452P628	0.00	2.13	0.00	2.13	95.0	2.02
08/31/2017	BURKE, KIMBERLY	BLACKROCK FUND 19452P636	0.00	6.49	0.00	6.49	95.0	6.17
08/31/2017	BURKE, KIMBERLY	BLACKROCK FUND 19452P636	0.00	2.97	0.00	2.97	95.0	2.82
08/31/2017	MERRITT, GREGORY	BLK AGG 10-12 AGE BASED A	0.00	4.69	0.00	4.69	95.0	4.46
08/31/2017	BAKER, JEAN-ANNE	BLK AGG 10-12 AGE BASED A	0.00	1.79	0.00	1.79	95.0	1.70
08/31/2017	BAKER, JEAN-ANNE	BLK AGG 10-12 AGE BASED A	0.00	0.80	0.00	0.80	95.0	0.76
08/31/2017	YASCH, SANDY	BLK AGG 10-12 AGE BASED A	0.00	0.32	0.00	0.32	95.0	0.30

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
08/31/2017	YASCH, KEN	BLK AGG 13-16 AGE BASED A	0.00	0.60	0.00	0.60	95.0	0.57
08/31/2017	YASCH, SANDY	BLK AGG 6-9 AGE BASED A	0.00	0.31	0.00	0.31	95.0	0.29
08/31/2017	WILLIT	BLK AGG GROWTH A	0.00	2.26	0.00	2.26	95.0	2.15
08/31/2017	BAKER, JEAN-ANNE	BLK COLLEGE ADVANTAGE 529 PLAN	0.00	0.09	0.00	0.09	95.0	0.09
08/31/2017	BAKER, JEAN-ANNE	BLK COLLEGE ADVANTAGE 529 PLAN	0.00	0.03	0.00	0.03	95.0	0.03
08/31/2017	KING, DAVID	BLK EQUITY DIVIDEND C	0.00	0.17	0.00	0.17	95.0	0.16
08/31/2017	KING, DAVID	BLK EQUITY DIVIDEND C	0.00	0.50	0.00	0.50	95.0	0.48
08/31/2017	BUSZEK, RICHARD	BLK MOD 0-5 AGE BASED C	0.00	0.62	0.00	0.62	95.0	0.59
08/31/2017	BUSZEK, RICHARD	BLK MOD 0-5 AGE BASED C	0.00	1.86	0.00	1.86	95.0	1.77
08/31/2017	BUSZEK, RICHARD	BLK MOD 0-5 AGE BASED C	0.00	1.61	0.00	1.61	95.0	1.53
08/31/2017	BUSZEK, RICHARD	BLK MOD 0-5 AGE BASED C	0.00	0.54	0.00	0.54	95.0	0.51
08/31/2017	GAWTHROP, NANCY	BLK MOD 0-5 AGE BASED C	0.00	0.12	0.00	0.12	95.0	0.11
08/31/2017	GAWTHROP, NANCY	BLK MOD 0-5 AGE BASED C	0.00	0.37	0.00	0.37	95.0	0.35
08/31/2017	GAWTHROP, NANCY	BLK MOD 0-5 AGE BASED C	0.00	0.38	0.00	0.38	95.0	0.36
08/31/2017	GAWTHROP, NANCY	BLK MOD 0-5 AGE BASED C	0.00	1.13	0.00	1.13	95.0	1.07
08/31/2017	BAKER, JEAN-ANNE	BLK MOD 0-5 AGE BASED C	0.00	0.25	0.00	0.25	95.0	0.24
08/31/2017	CFGROUP, VARIOUS	BLK MOD 0-5 AGE BASED C	0.00	1.71	0.00	1.71	95.0	1.62
08/31/2017	WETZEL, DIANNE	BLK MOD 0-5 AGE BASED C	0.00	2.70	0.00	2.70	95.0	2.57
08/31/2017	WETZEL, DIANNE	BLK MOD 0-5 AGE BASED C	0.00	0.90	0.00	0.90	95.0	0.86
08/31/2017	BAKER, JEAN-ANNE	BLK MOD 0-5 AGE BASED C	0.00	0.08	0.00	0.08	95.0	0.08
08/31/2017	CFGROUP, VARIOUS	BLK MOD 0-5 AGE BASED C	0.00	0.57	0.00	0.57	95.0	0.54
08/31/2017	WETZEL, DIANNE	BLK MOD 0-5 AGE BASED C	0.00	2.47	0.00	2.47	95.0	2.35
08/31/2017	WETZEL, DIANNE	BLK MOD 0-5 AGE BASED C	0.00	0.82	0.00	0.82	95.0	0.78
09/25/2017	WETZEL, DIANNE	BLK MOD 0-5 AGE BASED C	50.00	0.50	0.00	0.50	95.0	0.48
09/29/2017	WETZEL, DIANNE	BLK MOD 0-5 AGE BASED C	50.00	0.50	0.00	0.50	95.0	0.48
08/31/2017	GAWTHROP, NANCY	BLK MOD 10-12 AGE BASED A	0.00	0.48	0.00	0.48	95.0	0.46
08/31/2017	COOPER, LISA	BLK MOD 10-12 AGE BASED A	0.00	1.61	0.00	1.61	95.0	1.53
08/31/2017	HOOTNER-JONES, ANN	BLK MOD 10-12 AGE BASED A	0.00	1.64	0.00	1.64	95.0	1.56
08/31/2017	HOOTNER-JONES, ANN	BLK MOD 10-12 AGE BASED A	0.00	1.64	0.00	1.64	95.0	1.56
08/31/2017	COOPER, LISA	BLK MOD 10-12 AGE BASED C	0.00	0.32	0.00	0.32	95.0	0.30
08/31/2017	COOPER, LISA	BLK MOD 10-12 AGE BASED C	0.00	0.96	0.00	0.96	95.0	0.91
08/31/2017	BARENTS, SUZANNE	BLK MOD 10-12 AGE BASED C	0.00	1.77	0.00	1.77	95.0	1.68
08/31/2017	BARENTS, SUZANNE	BLK MOD 10-12 AGE BASED C	0.00	0.59	0.00	0.59	95.0	0.56

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
08/31/2017	BARENTS, SUZANNE	BLK MOD 10-12 AGE BASED C	0.00	1.11	0.00	1.11	95.0	1.05
08/31/2017	BARENTS, SUZANNE	BLK MOD 10-12 AGE BASED C	0.00	3.34	0.00	3.34	95.0	3.17
08/31/2017	MOELLER, RICHARD	BLK MOD 10-12 AGE BASED C	0.00	0.07	0.00	0.07	95.0	0.07
08/31/2017	MOELLER, RICHARD	BLK MOD 10-12 AGE BASED C	0.00	0.20	0.00	0.20	95.0	0.19
08/31/2017	MOELLER, RICHARD	BLK MOD 10-12 AGE BASED C	0.00	0.08	0.00	0.08	95.0	0.08
08/31/2017	GAWTHROP, NANCY	BLK MOD 10-12 AGE BASED C	0.00	1.20	0.00	1.20	95.0	1.14
08/31/2017	GAWTHROP, NANCY	BLK MOD 10-12 AGE BASED C	0.00	0.40	0.00	0.40	95.0	0.38
08/31/2017	NIZIO, EDMUND	BLK MOD 10-12 AGE BASED C	0.00	7.59	0.00	7.59	95.0	7.21
08/31/2017	NIZIO, EDMUND	BLK MOD 10-12 AGE BASED C	0.00	2.53	0.00	2.53	95.0	2.40
08/31/2017	NIZIO, MARGARET	BLK MOD 10-12 AGE BASED C	0.00	2.53	0.00	2.53	95.0	2.40
08/31/2017	NIZIO, MARGARET	BLK MOD 10-12 AGE BASED C	0.00	7.59	0.00	7.59	95.0	7.21
08/31/2017	MOELLER, RICHARD	BLK MOD 10-12 AGE BASED C	0.00	0.25	0.00	0.25	95.0	0.24
09/29/2017	MOELLER, RICHARD	BLK MOD 10-12 AGE BASED C	50.00	0.50	0.00	0.50	95.0	0.48
08/31/2017	MERRITT, GREGORY	BLK MOD 13-16 AGE BASED A	0.00	2.12	0.00	2.12	95.0	2.01
08/31/2017	COOPER, LISA	BLK MOD 13-16 AGE BASED A	0.00	1.72	0.00	1.72	95.0	1.63
08/31/2017	HOOTNER-JONES, ANN	BLK MOD 13-16 AGE BASED A	0.00	5.13	0.00	5.13	95.0	4.87
08/31/2017	KUCHAREK, PAUL	BLK MOD 13-16 AGE BASED A	0.00	2.08	0.00	2.08	95.0	1.98
08/31/2017	HOOTNER-JONES, ANN	BLK MOD 13-16 AGE BASED A	0.00	1.75	0.00	1.75	95.0	1.66
08/31/2017	HOOTNER-JONES, ANN	BLK MOD 13-16 AGE BASED A	0.00	1.75	0.00	1.75	95.0	1.66
08/31/2017	KUCHAREK, PAUL	BLK MOD 13-16 AGE BASED A	0.00	2.40	0.00	2.40	95.0	2.28
08/31/2017	GAWTHROP, NANCY	BLK MOD 13-16 AGE BASED A	0.00	0.52	0.00	0.52	95.0	0.49
08/31/2017	GAWTHROP, NANCY	BLK MOD 13-16 AGE BASED A	0.00	1.43	0.00	1.43	95.0	1.36
08/31/2017	NIK, YASCH	BLK MOD 13-16 AGE BASED A	0.00	0.56	0.00	0.56	95.0	0.53
08/31/2017	COOPER, LISA	BLK MOD 13-16 AGE BASED A	0.00	2.98	0.00	2.98	95.0	2.83
08/31/2017	MOELLER, RICHARD	BLK MOD 13-16 AGE BASED C	0.00	0.26	0.00	0.26	95.0	0.25
08/31/2017	TRYNAN, SHELLY	BLK MOD 13-16 AGE BASED C	0.00	1.37	0.00	1.37	95.0	1.30
08/31/2017	COOPER, LISA	BLK MOD 13-16 AGE BASED C	0.00	0.34	0.00	0.34	95.0	0.32
08/31/2017	COOPER, LISA	BLK MOD 13-16 AGE BASED C	0.00	0.60	0.00	0.60	95.0	0.57
08/31/2017	COOPER, LISA	BLK MOD 13-16 AGE BASED C	0.00	1.81	0.00	1.81	95.0	1.72
08/31/2017	COOPER, LISA	BLK MOD 13-16 AGE BASED C	0.00	1.03	0.00	1.03	95.0	0.98
08/31/2017	GAWTHROP, NANCY	BLK MOD 13-16 AGE BASED C	0.00	0.43	0.00	0.43	95.0	0.41
08/31/2017	GAWTHROP, NANCY	BLK MOD 13-16 AGE BASED C	0.00	0.67	0.00	0.67	95.0	0.64
08/31/2017	GAWTHROP, NANCY	BLK MOD 13-16 AGE BASED C	0.00	2.00	0.00	2.00	95.0	1.90

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
08/31/2017	TRYNAN, SHELLY	BLK MOD 13-16 AGE BASED C	0.00	0.46	0.00	0.46	95.0	0.44
08/31/2017	GAWTHROP, NANCY	BLK MOD 13-16 AGE BASED C	0.00	1.28	0.00	1.28	95.0	1.22
08/31/2017	MOELLER, RICHARD	BLK MOD 13-16 AGE BASED C	0.00	0.09	0.00	0.09	95.0	0.09
08/31/2017	TRYNAN, SHELLY	BLK MOD 13-16 AGE BASED C	0.00	1.48	0.00	1.48	95.0	1.41
08/31/2017	TRYNAN, SHELLY	BLK MOD 13-16 AGE BASED C	0.00	0.49	0.00	0.49	95.0	0.47
09/29/2017	MOELLER, RICHARD	BLK MOD 13-16 AGE BASED C	50.00	0.50	0.00	0.50	95.0	0.48
08/31/2017	KUCHAREK, PAUL	BLK MOD 17+ AGE BASED A	0.00	2.22	0.00	2.22	95.0	2.11
08/31/2017	MUENCH, DANIEL	BLK MOD 17+ AGE BASED A	0.00	0.89	0.00	0.89	95.0	0.85
08/31/2017	MERRITT, GREGORY	BLK MOD 17+ AGE BASED A	0.00	0.39	0.00	0.39	95.0	0.37
08/31/2017	KUCHAREK, PAUL	BLK MOD 17+ AGE BASED A	0.00	2.23	0.00	2.23	95.0	2.12
08/31/2017	KUCHAREK, PAUL	BLK MOD 17+ AGE BASED A	0.00	3.95	0.00	3.95	95.0	3.75
08/31/2017	MUENCH, DANIEL	BLK MOD 17+ AGE BASED A	0.00	2.41	0.00	2.41	95.0	2.29
08/31/2017	TRYNAN, SHELLY	BLK MOD 17+ AGE BASED C	0.00	1.46	0.00	1.46	95.0	1.39
08/31/2017	TRYNAN, SHELLY	BLK MOD 17+ AGE BASED C	0.00	0.49	0.00	0.49	95.0	0.47
08/31/2017	GAWTHROP, NANCY	BLK MOD 6-9 AGE BASED A	0.00	0.38	0.00	0.38	95.0	0.36
08/31/2017	MERRITT, GREGORY	BLK MOD 6-9 AGE BASED A	0.00	4.30	0.00	4.30	95.0	4.09
08/31/2017	COOPER, LISA	BLK MOD 6-9 AGE BASED C	0.00	6.77	0.00	6.77	95.0	6.43
08/31/2017	CFGROUP, VARIOUS	BLK MOD 6-9 AGE BASED C	0.00	1.81	0.00	1.81	95.0	1.72
08/31/2017	CFGROUP, VARIOUS	BLK MOD 6-9 AGE BASED C	0.00	0.60	0.00	0.60	95.0	0.57
08/31/2017	MOELLER, RICHARD	BLK MOD 6-9 AGE BASED C	0.00	0.30	0.00	0.30	95.0	0.29
08/31/2017	MOELLER, RICHARD	BLK MOD 6-9 AGE BASED C	0.00	0.10	0.00	0.10	95.0	0.10
08/31/2017	MOELLER, RICHARD	BLK MOD 6-9 AGE BASED C	0.00	0.06	0.00	0.06	95.0	0.06
08/31/2017	MOELLER, RICHARD	BLK MOD 6-9 AGE BASED C	0.00	0.18	0.00	0.18	95.0	0.17
08/31/2017	BUSZEK, RICHARD	BLK MOD 6-9 AGE BASED C	0.00	0.57	0.00	0.57	95.0	0.54
08/31/2017	BUSZEK, RICHARD	BLK MOD 6-9 AGE BASED C	0.00	1.70	0.00	1.70	95.0	1.62
08/31/2017	BUSZEK, RICHARD	BLK MOD 6-9 AGE BASED C	0.00	3.30	0.00	3.30	95.0	3.14
08/31/2017	BUSZEK, RICHARD	BLK MOD 6-9 AGE BASED C	0.00	1.10	0.00	1.10	95.0	1.05
08/31/2017	GAWTHROP, NANCY	BLK MOD 6-9 AGE BASED C	0.00	0.83	0.00	0.83	95.0	0.79
08/31/2017	GAWTHROP, NANCY	BLK MOD 6-9 AGE BASED C	0.00	2.49	0.00	2.49	95.0	2.37
08/31/2017	BARENTS, SUZANNE	BLK MOD 6-9 AGE BASED C	0.00	1.67	0.00	1.67	95.0	1.59
08/31/2017	BARENTS, SUZANNE	BLK MOD 6-9 AGE BASED C	0.00	0.56	0.00	0.56	95.0	0.53
08/31/2017	GAWTHROP, NANCY	BLK MOD 6-9 AGE BASED C	0.00	0.84	0.00	0.84	95.0	0.80
08/31/2017	GAWTHROP, NANCY	BLK MOD 6-9 AGE BASED C	0.00	2.51	0.00	2.51	95.0	2.38

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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>								
08/31/2017	COOPER, LISA	BLK MOD 6-9 AGE BASED C	0.00	2.26	0.00	2.26	95.0	2.15
09/29/2017	CFGROUP, VARIOUS	BLK MOD 6-9 AGE BASED C	50.00	0.50	0.00	0.50	95.0	0.48
09/29/2017	MOELLER, RICHARD	BLK MOD 6-9 AGE BASED C	50.00	0.50	0.00	0.50	95.0	0.48
09/01/2017	PARTALIS, CHRISTINE	DAVIS NEW YORK VENTURE A	125.00	5.00	0.00	5.00	95.0	4.75
09/15/2017	ROBINETTE, JANET	DAVIS NEW YORK VENTURE A	50.00	2.00	0.00	2.00	95.0	1.90
09/15/2017	MORICI, MICHELLE	DAVIS NEW YORK VENTURE B	50.00	2.00	0.00	2.00	95.0	1.90
09/15/2017	GARLAND, DAWN	DAVIS NEW YORK VENTURE B	30.00	1.20	0.00	1.20	95.0	1.14
/ /	BLEIL, STEPHEN	FIDELITY ADV GOLD	0.00	0.09	0.00	0.09	95.0	0.09
/ /	ROCCA, JACQUELYN	FIDELITY ADV GROWTH OPP	0.00	0.52	0.00	0.52	95.0	0.49
/ /	ROCCA, ALEX	FIDELITY ADV GROWTH OPP	0.00	0.64	0.00	0.64	95.0	0.61
/ /	ROCCA, AARON	FIDELITY ADV GROWTH OPP	0.00	0.64	0.00	0.64	95.0	0.61
/ /	MCQUEENEY, JULIE	FIDELITY ADV GROWTH OPP	0.00	1.04	0.00	1.04	95.0	0.99
/ /	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	1.22	0.00	1.22	95.0	1.16
/ /	DUDZIK, ELZBIETA	FIDELITY ADV GROWTH OPP	0.00	25.27	0.00	25.27	95.0	24.01
/ /	KULBACK, WILLIAM	FIDELITY ADV GROWTH OPP A	0.00	3.90	0.00	3.90	95.0	3.71
/ /	VIVIANO, JASON	FIDELITY ADV GROWTH OPP A	0.00	1.74	0.00	1.74	95.0	1.65
/ /	MCCALPIN, ROBERT JOHN	FIDELITY ADV HEALTH CARE T	0.00	12.88	0.00	12.88	95.0	12.24
/ /	MCCALPIN, ROBERT JOHN	FIDELITY ADV LARGE CAP	0.00	9.08	0.00	9.08	95.0	8.63
/ /	KULBACK, WILLIAM	FIDELITY ADV LARGE CAP A	0.00	5.12	0.00	5.12	95.0	4.86
/ /	HERWARTH, CHARLES	FIDELITY ADV LARGE CAP A	0.00	1.81	0.00	1.81	95.0	1.72
/ /	FELIS-ROSS, CAROL	FIDELITY ADV MORTGAGE SECURITIES T	0.00	0.14	0.00	0.14	95.0	0.13
/ /	SCALISE, CYNTHIA	FIDELITY ADV MORTGAGE SECURITIES T	0.00	1.60	0.00	1.60	95.0	1.52
/ /	KULBACK, WILLIAM	FIDELITY ADV STOCK SELECTOR ALLCAP	0.00	4.00	0.00	4.00	95.0	3.80
/ /	HERWARTH, CHARLES	FIDELITY ADV STOCK SELECTOR ALLCAP	0.00	2.02	0.00	2.02	95.0	1.92
/ /	DUDZIK, ELZBIETA	FIDELITY BALANCED T	0.00	20.60	0.00	20.60	95.0	19.57
/ /	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	3.48	0.00	3.48	95.0	3.31
/ /	ROCCA, JACQUELYN	FIDELITY EMERGING MKTS T	0.00	0.27	0.00	0.27	95.0	0.26
/ /	ROCCA, ALEX	FIDELITY EMERGING MKTS T	0.00	0.17	0.00	0.17	95.0	0.16
/ /	ROCCA, AARON	FIDELITY EMERGING MKTS T	0.00	0.17	0.00	0.17	95.0	0.16

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
/ /	DUDZIK, ELZBIETA	FIDELITY EMERGING MKTS T	0.00	6.85	0.00	6.85	95.0	6.51
/ /	KULBACK, WILLIAM	FIDELITY EQUITY GROWTH A	0.00	5.03	0.00	5.03	95.0	4.78
/ /	HERWARTH, CHARLES	FIDELITY EQUITY GROWTH A	0.00	1.80	0.00	1.80	95.0	1.71
/ /	BESS, JAMES	FIDELITY EQUITY GROWTH A	0.00	2.74	0.00	2.74	95.0	2.60
/ /	ZOBOSKI, JAYNE	FIDELITY EQUITY INCOME A	0.00	3.44	0.00	3.44	95.0	3.27
/ /	FRINTNER, SEAN EDWARD	FIDELITY EQUITY INCOME A	0.00	1.20	0.00	1.20	95.0	1.14
/ /	ZERILLI, ROSA	FIDELITY GROWTH & INCOME A	0.00	1.47	0.00	1.47	95.0	1.40
/ /	HERWARTH, CHARLES	FIDELITY TECHNOLOGY A	0.00	1.45	0.00	1.45	95.0	1.38
/ /	ZERILLI, ROSA	FIDELITY TECHNOLOGY A	0.00	1.74	0.00	1.74	95.0	1.65
/ /	ROHLOFF, SHARON	FIDELITY TECHNOLOGY A	0.00	0.60	0.00	0.60	95.0	0.57
/ /	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	100.54	0.00	100.54	95.0	95.51
09/25/2017	TYSZKIEWICZ, KURT	FRANKLIN GROWTH C	100.00	1.00	0.00	1.00	95.0	0.95
/ /	OVERMYER, SUSAN	HARTFORD CAPITAL APP II A	0.00	8.04	0.00	8.04	95.0	7.64
/ /	ROCCA, HELEN	HARTFORD CAPITAL APPRECIATION A	0.00	0.62	0.00	0.62	95.0	0.59
/ /	HARTMAN, GREGORY	HARTFORD CAPITAL APPRECIATION A	0.00	0.84	0.00	0.84	95.0	0.80
/ /	GARON-NOWACZYK TRUST, KIM	HARTFORD CAPITAL APPRECIATION C	0.00	5.21	0.00	5.21	95.0	4.95
/ /	OVERMYER, SUSAN	HARTFORD DIVIDEND & GROWTH A	0.00	22.40	0.00	22.40	95.0	21.28
/ /	COLE, JAMES WILLIAM	HARTFORD DIVIDEND & GROWTH C	0.00	12.65	0.00	12.65	95.0	12.02
/ /	HARTMAN, GREGORY	HARTFORD HEALTHCARE A	0.00	0.81	0.00	0.81	95.0	0.77
/ /	OVERMYER, SUSAN	HARTFORD HEALTHCARE A	0.00	40.35	0.00	40.35	95.0	38.33
/ /	RUFFINO, ERNESTINE	HARTFORD HEALTHCARE A	0.00	19.75	0.00	19.75	95.0	18.76
/ /	GARON-NOWACZYK TRUST, KIM	HARTFORD HEALTHCARE C	0.00	5.01	0.00	5.01	95.0	4.76
/ /	HARTMAN, GREGORY	HARTFORD MIDCAP A	0.00	2.00	0.00	2.00	95.0	1.90
/ /	OVERMYER, SUSAN	HARTFORD MIDCAP A	0.00	24.95	0.00	24.95	95.0	23.70
/ /	GARON-NOWACZYK TRUST, KIM	HARTFORD MIDCAP C	0.00	4.45	0.00	4.45	95.0	4.23
/ /	HARTMAN, GREGORY	HARTFORD MIDCAP VALUE A	0.00	1.12	0.00	1.12	95.0	1.06
/ /	HARTMAN, GREGORY	HARTFORD SCHRDRS US SM MD CAP OPP-A	0.00	1.25	0.00	1.25	95.0	1.19
/ /	HARTMAN, GREGORY	HARTFORD SMALLCAP GROWTH A	0.00	3.86	0.00	3.86	95.0	3.67
/ /	HARTMAN, GREGORY	HARTFUND EQUITY INCIME FUND A	0.00	1.85	0.00	1.85	95.0	1.76
09/25/2017	DAIZA, PHILLIP	INVESCO CHARTER FUND C	50.00	0.50	0.00	0.50	95.0	0.48
/ /	KOSANKE, LORI	OPPENHEIMER CAPITAL APPRECIATION A	0.00	4.79	0.00	4.79	95.0	4.55
/ /	HOLT, DEBBIE	OPPENHEIMER CAPITAL APPRECIATION A	0.00	66.43	0.00	66.43	95.0	63.11

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
/ /	POOLEY, TATIANA	OPPENHEIMER CAPITAL APPRECIATION A	0.00	0.02	0.00	0.02	95.0	0.02
/ /	KRAYDICH, KELLIE	OPPENHEIMER CAPITAL APPRECIATION A	0.00	0.49	0.00	0.49	95.0	0.47
/ /	TRINH, CHRISTINE	OPPENHEIMER CAPITAL APPRECIATION A	0.00	2.64	0.00	2.64	95.0	2.51
/ /	LEPPEK, JUDITH	OPPENHEIMER CAPITAL APPRECIATION A	0.00	15.33	0.00	15.33	95.0	14.56
/ /	KEECH, SCOTT	OPPENHEIMER CAPITAL APPRECIATION A	0.00	9.63	0.00	9.63	95.0	9.15
/ /	KOSANKE, MARK	OPPENHEIMER CAPITAL APPRECIATION A	0.00	6.17	0.00	6.17	95.0	5.86
/ /	MAYNARD, JULIE	OPPENHEIMER CAPITAL APPRECIATION A	0.00	14.43	0.00	14.43	95.0	13.71
/ /	SOLDAN, JULIE	OPPENHEIMER CAPITAL APPRECIATION A	0.00	13.97	0.00	13.97	95.0	13.27
/ /	WATKINS, KATHRYN	OPPENHEIMER CAPITAL APPRECIATION A	0.00	7.85	0.00	7.85	95.0	7.46
/ /	RUFFIN, JOHN	OPPENHEIMER CAPITAL APPRECIATION A	0.00	14.27	0.00	14.27	95.0	13.56
/ /	NEUER-MIHALAK, LORIE	OPPENHEIMER CAPITAL APPRECIATION A	0.00	3.87	0.00	3.87	95.0	3.68
/ /	CAPWELL, MARK	OPPENHEIMER CAPITAL APPRECIATION A	0.00	11.97	0.00	11.97	95.0	11.37
/ /	SCHULTZ, DEBRA	OPPENHEIMER CAPITAL APPRECIATION A	0.00	1.15	0.00	1.15	95.0	1.09
/ /	TAKACS, RYAN	OPPENHEIMER CAPITAL APPRECIATION A	0.00	4.38	0.00	4.38	95.0	4.16
/ /	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	0.59	0.00	0.59	95.0	0.56
/ /	JOUPPI, SHARON	OPPENHEIMER CAPITAL APPRECIATION A	0.00	16.98	0.00	16.98	95.0	16.13
09/19/2017	KRAYDICH, KELLIE	OPPENHEIMER CAPITAL APPRECIATION A	50.00	2.38	0.00	2.38	95.0	2.26
09/19/2017	KRAYDICH, KELLIE	OPPENHEIMER CAPITAL APPRECIATION A	27.02	1.28	0.00	1.28	95.0	1.22
09/19/2017	LEPPEK, JUDITH	OPPENHEIMER CAPITAL APPRECIATION A	50.00	1.50	0.00	1.50	95.0	1.43
09/19/2017	LEPPEK, JUDITH	OPPENHEIMER CAPITAL APPRECIATION A	43.74	1.31	0.00	1.31	95.0	1.24
/ /	SCHULTZ, DEBRA	OPPENHEIMER CAPITAL APPRECIATION B	0.00	0.12	0.00	0.12	95.0	0.11
/ /	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	0.94	0.00	0.94	95.0	0.89
/ /	GALLAS, MICHAEL	OPPENHEIMER CAPITAL APPRECIATION C	0.00	13.92	0.00	13.92	95.0	13.22
/ /	RENTROP, GARRETT	OPPENHEIMER CAPITAL APPRECIATION C	0.00	21.37	0.00	21.37	95.0	20.30
/ /	DITRI, ANN	OPPENHEIMER CAPITAL APPRECIATION C	0.00	18.17	0.00	18.17	95.0	17.26
/ /	DINKA, JOHN	OPPENHEIMER CAPITAL APPRECIATION C	0.00	100.24	0.00	100.24	95.0	95.23
/ /	SCHULTZ, DEBRA	OPPENHEIMER CAPITAL APPRECIATION C	0.00	1.68	0.00	1.68	95.0	1.60
/ /	HICKS, MELISSA	OPPENHEIMER CAPITAL APPRECIATION C	0.00	6.51	0.00	6.51	95.0	6.18
/ /	BAKER, STEVEN	OPPENHEIMER CAPITAL APPRECIATION C	0.00	19.92	0.00	19.92	95.0	18.92
/ /	HENRY, JACQUELINE	OPPENHEIMER CAPITAL APPRECIATION C	0.00	4.84	0.00	4.84	95.0	4.60

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
/ /	KOGUT, MONICA	OPPENHEIMER CAPITAL APPRECIATION C	0.00	3.24	0.00	3.24	95.0	3.08
/ /	HOWEY, JESSICA	OPPENHEIMER CAPITAL APPRECIATION C	0.00	0.44	0.00	0.44	95.0	0.42
09/18/2017	DITRI, ANN	OPPENHEIMER CAPITAL APPRECIATION C	255.00	2.55	0.00	2.55	95.0	2.42
09/18/2017	DITRI, ANN	OPPENHEIMER CAPITAL APPRECIATION C	45.90	0.46	0.00	0.46	95.0	0.44
09/18/2017	BAKER, STEVEN	OPPENHEIMER CAPITAL APPRECIATION C	93.10	0.93	0.00	0.93	95.0	0.88
09/18/2017	BAKER, STEVEN	OPPENHEIMER CAPITAL APPRECIATION C	55.87	0.56	0.00	0.56	95.0	0.53
09/19/2017	RENTROP, GARRETT	OPPENHEIMER CAPITAL APPRECIATION C	32.30	0.32	0.00	0.32	95.0	0.30
09/19/2017	RENTROP, GARRETT	OPPENHEIMER CAPITAL APPRECIATION C	32.30	0.32	0.00	0.32	95.0	0.30
09/26/2017	DINKA, JOHN	OPPENHEIMER CAPITAL APPRECIATION C	782.50	7.83	0.00	7.83	95.0	7.44
09/26/2017	SCHULTZ, DEBRA	OPPENHEIMER CAPITAL APPRECIATION C	80.00	0.80	0.00	0.80	95.0	0.76
09/26/2017	SCHULTZ, DEBRA	OPPENHEIMER CAPITAL APPRECIATION C	1.23	0.01	0.00	0.01	95.0	0.01
/ /	KRAYDICH, KELLIE	OPPENHEIMER CAPITAL INCOME A	0.00	0.50	0.00	0.50	95.0	0.48
/ /	LEPPEK, JUDITH	OPPENHEIMER CAPITAL INCOME A	0.00	11.38	0.00	11.38	95.0	10.81
09/19/2017	KRAYDICH, KELLIE	OPPENHEIMER CAPITAL INCOME A	50.00	2.38	0.00	2.38	95.0	2.26
09/19/2017	KRAYDICH, KELLIE	OPPENHEIMER CAPITAL INCOME A	27.02	1.28	0.00	1.28	95.0	1.22
09/19/2017	LEPPEK, JUDITH	OPPENHEIMER CAPITAL INCOME A	50.00	1.50	0.00	1.50	95.0	1.43
09/19/2017	LEPPEK, JUDITH	OPPENHEIMER CAPITAL INCOME A	43.74	1.31	0.00	1.31	95.0	1.24
/ /	SCHULTZ, DEBRA	OPPENHEIMER DEVELOPING MARKETS A	0.00	0.55	0.00	0.55	95.0	0.52
/ /	SCHULTZ, DEBRA	OPPENHEIMER DEVELOPING MARKETS B	0.00	0.04	0.00	0.04	95.0	0.04
/ /	SCHULTZ, DEBRA	OPPENHEIMER DEVELOPING MARKETS C	0.00	0.69	0.00	0.69	95.0	0.66
09/26/2017	SCHULTZ, DEBRA	OPPENHEIMER DEVELOPING MARKETS C	40.00	0.40	0.00	0.40	95.0	0.38
09/26/2017	SCHULTZ, DEBRA	OPPENHEIMER DEVELOPING MARKETS C	0.62	0.01	0.00	0.01	95.0	0.01
/ /	BOYD, SONYA	OPPENHEIMER DISCOVERY A	0.00	0.87	0.00	0.87	95.0	0.83
/ /	KEECH, SCOTT	OPPENHEIMER DISCOVERY A	0.00	3.76	0.00	3.76	95.0	3.57
/ /	KOLDERMAN, ETHAN	OPPENHEIMER DISCOVERY A	0.00	4.13	0.00	4.13	95.0	3.92
/ /	KOLDERMAN, NATHAN	OPPENHEIMER DISCOVERY A	0.00	4.72	0.00	4.72	95.0	4.48
/ /	LABAZA, LYNN	OPPENHEIMER DISCOVERY A	0.00	5.03	0.00	5.03	95.0	4.78
/ /	LABAZA, JOHN	OPPENHEIMER DISCOVERY A	0.00	5.03	0.00	5.03	95.0	4.78
/ /	KOSANKE, MARK	OPPENHEIMER DISCOVERY A	0.00	5.54	0.00	5.54	95.0	5.26
/ /	LABAZA, LYNN	OPPENHEIMER DISCOVERY C	0.00	60.10	0.00	60.10	95.0	57.10
/ /	LABAZA, JOHN	OPPENHEIMER DISCOVERY C	0.00	60.10	0.00	60.10	95.0	57.10
/ /	DAMORE, MONICA	OPPENHEIMER DISCOVERY C	0.00	31.29	0.00	31.29	95.0	29.73
/ /	KOSANKE, LORI	OPPENHEIMER EQUITY INCOME A	0.00	4.72	0.00	4.72	95.0	4.48

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
/ /	POOLEY, TATIANA	OPPENHEIMER EQUITY INCOME A	0.00	0.03	0.00	0.03	95.0	0.03
/ /	GOLD, LORNE	OPPENHEIMER EQUITY INCOME A	0.00	5.19	0.00	5.19	95.0	4.93
/ /	KOGUT, MONICA	OPPENHEIMER EQUITY INCOME C	0.00	3.01	0.00	3.01	95.0	2.86
/ /	HOWEY, JESSICA	OPPENHEIMER EQUITY INCOME C	0.00	0.46	0.00	0.46	95.0	0.44
/ /	DAMORE, MONICA	OPPENHEIMER EQUITY INCOME C	0.00	2.41	0.00	2.41	95.0	2.29
/ /	SMOLAREK, CHERYL	OPPENHEIMER EQUITY INVESTOR B	0.00	1.99	0.00	1.99	95.0	1.89
/ /	PURCELL, JOSHUA	OPPENHEIMER GLOBAL A	0.00	0.60	0.00	0.60	95.0	0.57
/ /	ROSENBERG, MARCY	OPPENHEIMER GLOBAL A	0.00	15.00	0.00	15.00	95.0	14.25
/ /	GOLD, LORNE	OPPENHEIMER GLOBAL A	0.00	7.25	0.00	7.25	95.0	6.89
/ /	STIRSMAN, MATTHEW	OPPENHEIMER GLOBAL A	0.00	21.15	0.00	21.15	95.0	20.09
/ /	TAKACS, RYAN	OPPENHEIMER GLOBAL A	0.00	4.47	0.00	4.47	95.0	4.25
/ /	CRANDALL, MEGAN	OPPENHEIMER GLOBAL ALLOCATION A	0.00	0.11	0.00	0.11	95.0	0.10
/ /	MAYNARD, JULIE	OPPENHEIMER GLOBAL ALLOCATION A	0.00	11.04	0.00	11.04	95.0	10.49
/ /	SOLDAN, JULIE	OPPENHEIMER GLOBAL ALLOCATION A	0.00	10.16	0.00	10.16	95.0	9.65
/ /	MICHAELS, CHRISTINA	OPPENHEIMER GLOBAL ALLOCATION A	0.00	4.06	0.00	4.06	95.0	3.86
/ /	DITRI, ANN	OPPENHEIMER GLOBAL C	0.00	18.52	0.00	18.52	95.0	17.59
/ /	HENRY, JACQUELINE	OPPENHEIMER GLOBAL C	0.00	4.63	0.00	4.63	95.0	4.40
09/18/2017	DITRI, ANN	OPPENHEIMER GLOBAL C	247.50	2.48	0.00	2.48	95.0	2.36
09/18/2017	DITRI, ANN	OPPENHEIMER GLOBAL C	44.55	0.45	0.00	0.45	95.0	0.43
/ /	KOSANKE, LORI	OPPENHEIMER GLOBAL OPPORTUNITIES A	0.00	2.34	0.00	2.34	95.0	2.22
/ /	KOSANKE, MARK	OPPENHEIMER GLOBAL OPPORTUNITIES A	0.00	6.56	0.00	6.56	95.0	6.23
/ /	MIKLEVICH, MICHAEL	OPPENHEIMER GLOBAL OPPORTUNITIES A	0.00	20.36	0.00	20.36	95.0	19.34
/ /	MAYNARD, JULIE	OPPENHEIMER GLOBAL OPPORTUNITIES A	0.00	17.14	0.00	17.14	95.0	16.28
/ /	ZYREK, DARLENE	OPPENHEIMER GLOBAL OPPORTUNITIES A	0.00	53.36	0.00	53.36	95.0	50.69
/ /	MERRITT, MARY LOU	OPPENHEIMER GLOBAL OPPORTUNITIES A	0.00	17.31	0.00	17.31	95.0	16.44
/ /	MCCOLLEY, SHEA	OPPENHEIMER GLOBAL OPPORTUNITIES A	0.00	0.23	0.00	0.23	95.0	0.22
/ /	DINKA, CATHERINE	OPPENHEIMER GLOBAL OPPORTUNITIES A	0.00	2.70	0.00	2.70	95.0	2.57
/ /	TRINH, CHRISTINE	OPPENHEIMER GLOBAL OPPORTUNITIES A	0.00	2.98	0.00	2.98	95.0	2.83
/ /	FERRARI, JACQUELINE	OPPENHEIMER GLOBAL OPPORTUNITIES A	0.00	6.09	0.00	6.09	95.0	5.79
/ /	NEUER-MIHALAK, LORIE	OPPENHEIMER GLOBAL OPPORTUNITIES A	0.00	7.92	0.00	7.92	95.0	7.52
/ /	CAPWELL, MARK	OPPENHEIMER GLOBAL OPPORTUNITIES A	0.00	17.90	0.00	17.90	95.0	17.01
/ /	DEW, DESIREE	OPPENHEIMER GLOBAL OPPORTUNITIES A	0.00	17.71	0.00	17.71	95.0	16.82
/ /	SCHULTZ, DEBRA	OPPENHEIMER GLOBAL OPPORTUNITIES A	0.00	18.44	0.00	18.44	95.0	17.52

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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>								
/ /	TRBOVICH, HEATHER	OPPENHEIMER GLOBAL OPPORTUNITIES A	0.00	1.38	0.00	1.38	95.0	1.31
/ /	HOWEY, JESSICA	OPPENHEIMER GLOBAL OPPORTUNITIES A	0.00	0.64	0.00	0.64	95.0	0.61
/ /	SMITH, ASHLEY	OPPENHEIMER GLOBAL OPPORTUNITIES A	0.00	0.20	0.00	0.20	95.0	0.19
/ /	TRBOVICH, NICK	OPPENHEIMER GLOBAL OPPORTUNITIES A	0.00	0.07	0.00	0.07	95.0	0.07
/ /	TRBOVICH, MARY	OPPENHEIMER GLOBAL OPPORTUNITIES A	0.00	0.06	0.00	0.06	95.0	0.06
/ /	DINKA, CATHERINE	OPPENHEIMER GLOBAL OPPORTUNITIES B	0.00	1.49	0.00	1.49	95.0	1.42
/ /	DEW, DESIREE	OPPENHEIMER GLOBAL OPPORTUNITIES B	0.00	0.26	0.00	0.26	95.0	0.25
/ /	SCHULTZ, DEBRA	OPPENHEIMER GLOBAL OPPORTUNITIES B	0.00	0.13	0.00	0.13	95.0	0.12
/ /	NEED, GREGORY	OPPENHEIMER GLOBAL OPPORTUNITIES C	0.00	21.15	0.00	21.15	95.0	20.09
/ /	GALLAS, MICHAEL	OPPENHEIMER GLOBAL OPPORTUNITIES C	0.00	3.58	0.00	3.58	95.0	3.40
/ /	RENTROP, GARRETT	OPPENHEIMER GLOBAL OPPORTUNITIES C	0.00	25.55	0.00	25.55	95.0	24.27
/ /	MCCOLLEY, SHEA	OPPENHEIMER GLOBAL OPPORTUNITIES C	0.00	0.08	0.00	0.08	95.0	0.08
/ /	DINKA, CATHERINE	OPPENHEIMER GLOBAL OPPORTUNITIES C	0.00	28.45	0.00	28.45	95.0	27.03
/ /	DINKA, JOHN	OPPENHEIMER GLOBAL OPPORTUNITIES C	0.00	60.81	0.00	60.81	95.0	57.77
/ /	SCHULTZ, DEBRA	OPPENHEIMER GLOBAL OPPORTUNITIES C	0.00	40.64	0.00	40.64	95.0	38.61
/ /	DAMORE, MONICA	OPPENHEIMER GLOBAL OPPORTUNITIES C	0.00	35.96	0.00	35.96	95.0	34.16
09/18/2017	MCCOLLEY, SHEA	OPPENHEIMER GLOBAL OPPORTUNITIES C	37.50	0.38	0.00	0.38	95.0	0.36
09/18/2017	MCCOLLEY, SHEA	OPPENHEIMER GLOBAL OPPORTUNITIES C	34.80	0.35	0.00	0.35	95.0	0.33
09/19/2017	RENTROP, GARRETT	OPPENHEIMER GLOBAL OPPORTUNITIES C	32.30	0.32	0.00	0.32	95.0	0.30
09/19/2017	RENTROP, GARRETT	OPPENHEIMER GLOBAL OPPORTUNITIES C	32.30	0.32	0.00	0.32	95.0	0.30
09/26/2017	DINKA, JOHN	OPPENHEIMER GLOBAL OPPORTUNITIES C	391.25	3.91	0.00	3.91	95.0	3.71
09/26/2017	SCHULTZ, DEBRA	OPPENHEIMER GLOBAL OPPORTUNITIES C	80.00	0.80	0.00	0.80	95.0	0.76
09/26/2017	SCHULTZ, DEBRA	OPPENHEIMER GLOBAL OPPORTUNITIES C	1.24	0.01	0.00	0.01	95.0	0.01
/ /	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	1.13	0.00	1.13	95.0	1.07
/ /	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	4.78	0.00	4.78	95.0	4.54
/ /	RENTROP, GARRETT	OPPENHEIMER GLOBAL STRATEGIC INC C	0.00	15.38	0.00	15.38	95.0	14.61
/ /	HENRY, JACQUELINE	OPPENHEIMER GLOBAL STRATEGIC INC C	0.00	3.95	0.00	3.95	95.0	3.75
09/19/2017	RENTROP, GARRETT	OPPENHEIMER GLOBAL STRATEGIC INC C	32.30	0.32	0.00	0.32	95.0	0.30
09/19/2017	RENTROP, GARRETT	OPPENHEIMER GLOBAL STRATEGIC INC C	32.30	0.32	0.00	0.32	95.0	0.30
/ /	HENRY, JACQUELINE	OPPENHEIMER GOLD & SPECIAL MINERALS	0.00	3.52	0.00	3.52	95.0	3.34

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
/ /	GOLD, LORNE	OPPENHEIMER INTL BOND A	0.00	1.44	0.00	1.44	95.0	1.37
/ /	BAKER, STEVEN	OPPENHEIMER INTL BOND A	0.00	0.36	0.00	0.36	95.0	0.34
/ /	BAKER, STEVEN	OPPENHEIMER INTL BOND B	0.00	0.51	0.00	0.51	95.0	0.48
/ /	BAKER, STEVEN	OPPENHEIMER INTL BOND C	0.00	16.11	0.00	16.11	95.0	15.30
/ /	HALSEY, DEBRA	OPPENHEIMER INTL BOND C	0.00	4.04	0.00	4.04	95.0	3.84
09/18/2017	BAKER, STEVEN	OPPENHEIMER INTL BOND C	93.11	0.93	0.00	0.93	95.0	0.88
09/18/2017	BAKER, STEVEN	OPPENHEIMER INTL BOND C	55.85	0.56	0.00	0.56	95.0	0.53
/ /	BAKER, STEVEN	OPPENHEIMER INTL DIVERSIFIED A	0.00	0.42	0.00	0.42	95.0	0.40
/ /	BAKER, STEVEN	OPPENHEIMER INTL DIVERSIFIED B	0.00	0.85	0.00	0.85	95.0	0.81
/ /	BAKER, STEVEN	OPPENHEIMER INTL DIVERSIFIED C	0.00	18.64	0.00	18.64	95.0	17.71
09/18/2017	BAKER, STEVEN	OPPENHEIMER INTL DIVERSIFIED C	93.10	0.93	0.00	0.93	95.0	0.88
09/18/2017	BAKER, STEVEN	OPPENHEIMER INTL DIVERSIFIED C	55.87	0.56	0.00	0.56	95.0	0.53
/ /	GOLD, LORNE	OPPENHEIMER INTL GROWTH A	0.00	1.60	0.00	1.60	95.0	1.52
/ /	MUNTEANU, RADU	OPPENHEIMER INTL GROWTH A	0.00	1.12	0.00	1.12	95.0	1.06
/ /	CAPWELL, MARK	OPPENHEIMER INTL GROWTH A	0.00	2.07	0.00	2.07	95.0	1.97
/ /	NEED, GREGORY	OPPENHEIMER INTL GROWTH C	0.00	26.05	0.00	26.05	95.0	24.75
/ /	OWENS, JEAN	OPPENHEIMER INTL SMALL CO A	0.00	0.86	0.00	0.86	95.0	0.82
/ /	KRAYDICH, KELLIE	OPPENHEIMER INTL SMALL CO A	0.00	0.58	0.00	0.58	95.0	0.55
/ /	LEPPEK, JUDITH	OPPENHEIMER INTL SMALL CO A	0.00	20.73	0.00	20.73	95.0	19.69
09/19/2017	KRAYDICH, KELLIE	OPPENHEIMER INTL SMALL CO A	50.00	2.38	0.00	2.38	95.0	2.26
09/19/2017	KRAYDICH, KELLIE	OPPENHEIMER INTL SMALL CO A	27.00	1.28	0.00	1.28	95.0	1.22
09/19/2017	LEPPEK, JUDITH	OPPENHEIMER INTL SMALL CO A	50.00	1.50	0.00	1.50	95.0	1.43
09/19/2017	LEPPEK, JUDITH	OPPENHEIMER INTL SMALL CO A	43.75	1.31	0.00	1.31	95.0	1.24
/ /	DAMORE, MONICA	OPPENHEIMER INTL SMALL CO C	0.00	26.95	0.00	26.95	95.0	25.60
/ /	DEREY, DENISE	OPPENHEIMER MAIN ST SELECT C	0.00	0.27	0.00	0.27	95.0	0.26
/ /	DINKA, CATHERINE	OPPENHEIMER MAIN ST SELECT C	0.00	66.43	0.00	66.43	95.0	63.11
/ /	HICKS, MELISSA	OPPENHEIMER MAIN ST SELECT C	0.00	6.79	0.00	6.79	95.0	6.45
/ /	HOWEY, JESSICA	OPPENHEIMER MAIN ST SELECT C	0.00	0.52	0.00	0.52	95.0	0.49
/ /	NEED, GREGORY	OPPENHEIMER MAIN ST SMALL & MID CAP	0.00	16.89	0.00	16.89	95.0	16.05
/ /	RENTROP, GARRETT	OPPENHEIMER MAIN ST SMALL & MID CAP	0.00	20.82	0.00	20.82	95.0	19.78
/ /	DINKA, CATHERINE	OPPENHEIMER MAIN ST SMALL & MID CAP	0.00	66.51	0.00	66.51	95.0	63.18
/ /	HENRY, JACQUELINE	OPPENHEIMER MAIN ST SMALL & MID CAP	0.00	4.51	0.00	4.51	95.0	4.28
/ /	DAMORE, MONICA	OPPENHEIMER MAIN ST SMALL & MID CAP	0.00	2.45	0.00	2.45	95.0	2.33

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
09/19/2017	RENTROP, GARRETT	OPPENHEIMER MAIN ST SMALL & MID CAP	32.32	0.32	0.00	0.32	95.0	0.30
09/19/2017	RENTROP, GARRETT	OPPENHEIMER MAIN ST SMALL & MID CAP	32.32	0.32	0.00	0.32	95.0	0.30
/ /	KOSANKE, LORI	OPPENHEIMER MAIN STREET A	0.00	2.09	0.00	2.09	95.0	1.99
/ /	TATUM, PATICIA	OPPENHEIMER MAIN STREET A	0.00	0.58	0.00	0.58	95.0	0.55
/ /	BARRY, MEGAN	OPPENHEIMER MAIN STREET A	0.00	6.54	0.00	6.54	95.0	6.21
/ /	BOYD, SONYA	OPPENHEIMER MAIN STREET A	0.00	1.11	0.00	1.11	95.0	1.05
/ /	VISAN, JAMES	OPPENHEIMER MAIN STREET A	0.00	0.26	0.00	0.26	95.0	0.25
/ /	CRANDALL, MEGAN	OPPENHEIMER MAIN STREET A	0.00	1.13	0.00	1.13	95.0	1.07
/ /	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	7.14	0.00	7.14	95.0	6.78
/ /	GOLD, LORNE	OPPENHEIMER MAIN STREET A	0.00	11.69	0.00	11.69	95.0	11.11
/ /	KOSANKE, MARK	OPPENHEIMER MAIN STREET A	0.00	8.44	0.00	8.44	95.0	8.02
/ /	MAYNARD, JULIE	OPPENHEIMER MAIN STREET A	0.00	10.95	0.00	10.95	95.0	10.40
/ /	MCDONALD, VICKI	OPPENHEIMER MAIN STREET A	0.00	9.19	0.00	9.19	95.0	8.73
/ /	PALAZZOLO, GABRIELLA	OPPENHEIMER MAIN STREET A	0.00	7.38	0.00	7.38	95.0	7.01
/ /	BUTLER, SANDRA	OPPENHEIMER MAIN STREET A	0.00	0.11	0.00	0.11	95.0	0.10
/ /	JOUPPI, SHARON	OPPENHEIMER MAIN STREET A	0.00	14.31	0.00	14.31	95.0	13.59
/ /	COWAN, KEVIN	OPPENHEIMER MAIN STREET A	0.00	0.68	0.00	0.68	95.0	0.65
/ /	TRBOVICH, HEATHER	OPPENHEIMER MAIN STREET A	0.00	1.25	0.00	1.25	95.0	1.19
/ /	HOWEY, JESSICA	OPPENHEIMER MAIN STREET A	0.00	0.58	0.00	0.58	95.0	0.55
/ /	SMITH, ASHLEY	OPPENHEIMER MAIN STREET A	0.00	0.19	0.00	0.19	95.0	0.18
/ /	TRBOVICH, NICK	OPPENHEIMER MAIN STREET A	0.00	0.07	0.00	0.07	95.0	0.07
/ /	TRBOVICH, MARY	OPPENHEIMER MAIN STREET A	0.00	0.06	0.00	0.06	95.0	0.06
/ /	BUSZEK, RICHARD	OPPENHEIMER MAIN STREET A	0.00	10.73	0.00	10.73	95.0	10.19
/ /	BARRY, MEGAN	OPPENHEIMER MAIN STREET B	0.00	0.53	0.00	0.53	95.0	0.50
/ /	DINKA, CATHERINE	OPPENHEIMER MAIN STREET B	0.00	3.91	0.00	3.91	95.0	3.71
/ /	BARRY, MEGAN	OPPENHEIMER MAIN STREET C	0.00	8.88	0.00	8.88	95.0	8.44
/ /	NEED, GREGORY	OPPENHEIMER MAIN STREET C	0.00	36.44	0.00	36.44	95.0	34.62
/ /	DINKA, CATHERINE	OPPENHEIMER MAIN STREET C	0.00	67.60	0.00	67.60	95.0	64.22
/ /	GRIFFIN, JAMES	OPPENHEIMER MAIN STREET C	0.00	0.43	0.00	0.43	95.0	0.41
/ /	GRIFFIN, ALAN	OPPENHEIMER MAIN STREET C	0.00	13.81	0.00	13.81	95.0	13.12
/ /	GALLAS, MICHAEL	OPPENHEIMER MAIN STREET C	0.00	15.76	0.00	15.76	95.0	14.97
/ /	MCCOLLEY, SHEA	OPPENHEIMER MAIN STREET C	0.00	1.36	0.00	1.36	95.0	1.29

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
/ /	HENRY, JACQUELINE	OPPENHEIMER MAIN STREET C	0.00	6.71	0.00	6.71	95.0	6.37
/ /	KOGUT, MONICA	OPPENHEIMER MAIN STREET C	0.00	3.51	0.00	3.51	95.0	3.33
09/18/2017	MCCOLLEY, SHEA	OPPENHEIMER MAIN STREET C	37.50	0.38	0.00	0.38	95.0	0.36
09/18/2017	MCCOLLEY, SHEA	OPPENHEIMER MAIN STREET C	34.80	0.35	0.00	0.35	95.0	0.33
/ /	KOSANKE, LORI	OPPENHEIMER MAIN STREET OPP A	0.00	4.81	0.00	4.81	95.0	4.57
/ /	CAPWELL, MARK	OPPENHEIMER MAIN STREET OPP A	0.00	13.13	0.00	13.13	95.0	12.47
/ /	TAKACS, RYAN	OPPENHEIMER MAIN STREET OPP A	0.00	4.42	0.00	4.42	95.0	4.20
/ /	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	15.42	0.00	15.42	95.0	14.65
/ /	DITRI, ANN	OPPENHEIMER MAIN STREET SMALLCAP A	0.00	2.28	0.00	2.28	95.0	2.17
/ /	MICHAELS, CHRISTINA	OPPENHEIMER MAIN STREET SMALLCAP A	0.00	5.80	0.00	5.80	95.0	5.51
/ /	GOLD, LORNE	OPPENHEIMER MAIN STREET SMALLCAP A	0.00	8.00	0.00	8.00	95.0	7.60
/ /	DINKA, CATHERINE	OPPENHEIMER MAIN STREET SMALLCAP A	0.00	7.44	0.00	7.44	95.0	7.07
/ /	CAPWELL, MARK	OPPENHEIMER MAIN STREET SMALLCAP A	0.00	11.27	0.00	11.27	95.0	10.71
/ /	DINKA, CATHERINE	OPPENHEIMER MAIN STREET SMALLCAP B	0.00	4.15	0.00	4.15	95.0	3.94
/ /	SMOLAREK, CHERYL	OPPENHEIMER PORTFOLIO SERIES EQ INV	0.00	10.22	0.00	10.22	95.0	9.71
/ /	CZARNECKI, THERESA	OPPENHEIMER PORTFOLIO SERIRES: MOD	0.00	21.76	0.00	21.76	95.0	20.67
/ /	SMOLAREK, CHERYL	OPPENHEIMER PTF SERIES EQUITY INVES	0.00	31.89	0.00	31.89	95.0	30.30
09/26/2017	SMOLAREK, CHERYL	OPPENHEIMER PTF SERIES EQUITY INVES	50.00	0.50	0.00	0.50	95.0	0.48
09/26/2017	SMOLAREK, CHERYL	OPPENHEIMER PTF SERIES EQUITY INVES	50.00	0.50	0.00	0.50	95.0	0.48
/ /	MICHAELS, CHRISTINA	OPPENHEIMER QUEST INT'L VALUE A	0.00	3.80	0.00	3.80	95.0	3.61
/ /	TRINH, CHRISTINE	OPPENHEIMER QUEST INT'L VALUE A	0.00	1.60	0.00	1.60	95.0	1.52
/ /	LEPPEK, JUDITH	OPPENHEIMER QUEST INT'L VALUE A	0.00	12.41	0.00	12.41	95.0	11.79
09/19/2017	LEPPEK, JUDITH	OPPENHEIMER QUEST INT'L VALUE A	50.00	1.50	0.00	1.50	95.0	1.43
09/19/2017	LEPPEK, JUDITH	OPPENHEIMER QUEST INT'L VALUE A	43.74	1.31	0.00	1.31	95.0	1.24
/ /	TERPSTRA, SANDRA	OPPENHEIMER QUEST OPP VALUE A	0.00	48.04	0.00	48.04	95.0	45.64
/ /	BAKER, STEVEN	OPPENHEIMER QUEST OPP VALUE A	0.00	0.35	0.00	0.35	95.0	0.33
/ /	TERPSTRA, SANDRA	OPPENHEIMER QUEST OPP VALUE B	0.00	4.97	0.00	4.97	95.0	4.72
/ /	BAKER, STEVEN	OPPENHEIMER QUEST OPP VALUE B	0.00	0.61	0.00	0.61	95.0	0.58
/ /	MCCOLLEY, SHEA	OPPENHEIMER QUEST OPP VALUE C	0.00	2.25	0.00	2.25	95.0	2.14
/ /	TERPSTRA, SANDRA	OPPENHEIMER QUEST OPP VALUE C	0.00	97.63	0.00	97.63	95.0	92.75
/ /	BAKER, STEVEN	OPPENHEIMER QUEST OPP VALUE C	0.00	15.86	0.00	15.86	95.0	15.07

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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>								
09/18/2017	MCCOLLEY, SHEA	OPPENHEIMER QUEST OPP VALUE C	75.00	0.75	0.00	0.75	95.0	0.71
09/18/2017	MCCOLLEY, SHEA	OPPENHEIMER QUEST OPP VALUE C	69.60	0.70	0.00	0.70	95.0	0.67
09/18/2017	BAKER, STEVEN	OPPENHEIMER QUEST OPP VALUE C	93.10	0.93	0.00	0.93	95.0	0.88
09/18/2017	BAKER, STEVEN	OPPENHEIMER QUEST OPP VALUE C	55.87	0.56	0.00	0.56	95.0	0.53
09/26/2017	TORRICE, PAULA	OPPENHEIMER QUEST OPP VALUE C	50.00	0.50	0.00	0.50	95.0	0.48
09/26/2017	TORRICE, PAULA	OPPENHEIMER QUEST OPP VALUE C	50.00	0.50	0.00	0.50	95.0	0.48
/ /	KOSANKE, LORI	OPPENHEIMER REAL ESTATE A	0.00	1.99	0.00	1.99	95.0	1.89
/ /	TRBOVICH, HEATHER	OPPENHEIMER REAL ESTATE A	0.00	1.12	0.00	1.12	95.0	1.06
/ /	HOWEY, JESSICA	OPPENHEIMER REAL ESTATE A	0.00	0.54	0.00	0.54	95.0	0.51
/ /	KOSANKE, MARK	OPPENHEIMER REAL ESTATE A	0.00	1.97	0.00	1.97	95.0	1.87
/ /	SMITH, ASHLEY	OPPENHEIMER REAL ESTATE A	0.00	0.18	0.00	0.18	95.0	0.17
/ /	TRBOVICH, NICK	OPPENHEIMER REAL ESTATE A	0.00	0.06	0.00	0.06	95.0	0.06
/ /	TRBOVICH, MARY	OPPENHEIMER REAL ESTATE A	0.00	0.06	0.00	0.06	95.0	0.06
/ /	KOSANKE, LORI	OPPENHEIMER RISING DIVIDENDS A	0.00	4.65	0.00	4.65	95.0	4.42
/ /	POOLEY, TATIANA	OPPENHEIMER RISING DIVIDENDS A	0.00	0.04	0.00	0.04	95.0	0.04
/ /	NEED, GREGORY	OPPENHEIMER RISING DIVIDENDS C	0.00	23.34	0.00	23.34	95.0	22.17
/ /	GALLAS, MICHAEL	OPPENHEIMER RISING DIVIDENDS C	0.00	11.35	0.00	11.35	95.0	10.78
/ /	HENRY, JACQUELINE	OPPENHEIMER RISING DIVIDENDS C	0.00	4.53	0.00	4.53	95.0	4.30
/ /	KOGUT, MONICA	OPPENHEIMER RISING DIVIDENDS C	0.00	3.22	0.00	3.22	95.0	3.06
/ /	HOWEY, JESSICA	OPPENHEIMER RISING DIVIDENDS C	0.00	0.50	0.00	0.50	95.0	0.48
/ /	CAPWELL, MARK	OPPENHEIMER SELECT VALUE A	0.00	3.90	0.00	3.90	95.0	3.71
/ /	NEED, GREGORY	OPPENHEIMER SELECT VALUE C	0.00	23.26	0.00	23.26	95.0	22.10
/ /	LABAZA, LYNN	OPPENHEIMER SMALL & MIDCAP GROWTH A	0.00	5.06	0.00	5.06	95.0	4.81
/ /	LABAZA, JOHN	OPPENHEIMER SMALL & MIDCAP GROWTH A	0.00	5.06	0.00	5.06	95.0	4.81
/ /	WOUDSTRA, KAREN	OPPENHEIMER SMALL & MIDCAP GROWTH C	0.00	0.76	0.00	0.76	95.0	0.72
/ /	LABAZA, LYNN	OPPENHEIMER SMALL & MIDCAP GROWTH C	0.00	62.90	0.00	62.90	95.0	59.76
/ /	LABAZA, JOHN	OPPENHEIMER SMALL & MIDCAP GROWTH C	0.00	62.90	0.00	62.90	95.0	59.76
/ /	BOYD, SONYA	OPPENHEIMER SMALL MID CAP VALUE A	0.00	1.40	0.00	1.40	95.0	1.33
/ /	DEREY, DENISE	OPPENHEIMER SMALL MID CAP VALUE C	0.00	71.10	0.00	71.10	95.0	67.55
/ /	CARMODY, WILLIAM	OPPENHEIMER US GOVT TRUST C	0.00	42.08	0.00	42.08	95.0	39.98
/ /	KOSANKE, LORI	OPPENHEIMER VALUE A	0.00	2.02	0.00	2.02	95.0	1.92
/ /	MICHAELS, CHRISTINA	OPPENHEIMER VALUE A	0.00	5.22	0.00	5.22	95.0	4.96
/ /	GOLD, LORNE	OPPENHEIMER VALUE A	0.00	8.89	0.00	8.89	95.0	8.45

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
/ /	DINKA, JOHN	OPPENHEIMER VALUE A	0.00	9.16	0.00	9.16	95.0	8.70
/ /	TAKACS, RYAN	OPPENHEIMER VALUE A	0.00	4.12	0.00	4.12	95.0	3.91
/ /	TRBOVICH, HEATHER	OPPENHEIMER VALUE A	0.00	1.23	0.00	1.23	95.0	1.17
/ /	HOWEY, JESSICA	OPPENHEIMER VALUE A	0.00	0.58	0.00	0.58	95.0	0.55
/ /	SMITH, ASHLEY	OPPENHEIMER VALUE A	0.00	0.19	0.00	0.19	95.0	0.18
/ /	TRBOVICH, NICK	OPPENHEIMER VALUE A	0.00	0.07	0.00	0.07	95.0	0.07
/ /	TRBOVICH, MARY	OPPENHEIMER VALUE A	0.00	0.06	0.00	0.06	95.0	0.06
/ /	DINKA, JOHN	OPPENHEIMER VALUE B	0.00	6.14	0.00	6.14	95.0	5.83
/ /	DEREY, DENISE	OPPENHEIMER VALUE C	0.00	0.03	0.00	0.03	95.0	0.03
/ /	DITRI, ANN	OPPENHEIMER VALUE C	0.00	17.54	0.00	17.54	95.0	16.66
/ /	DINKA, JOHN	OPPENHEIMER VALUE C	0.00	97.89	0.00	97.89	95.0	93.00
09/18/2017	DITRI, ANN	OPPENHEIMER VALUE C	247.50	2.48	0.00	2.48	95.0	2.36
09/18/2017	DITRI, ANN	OPPENHEIMER VALUE C	44.55	0.45	0.00	0.45	95.0	0.43
09/26/2017	DINKA, JOHN	OPPENHEIMER VALUE C	782.50	7.83	0.00	7.83	95.0	7.44
/ /	RENTROP, GARRETT	OPPENHEIMIER QUEST BALANCED C	0.00	17.60	0.00	17.60	95.0	16.72
/ /	HENRY, JACQUELINE	OPPENHEIMIER QUEST BALANCED C	0.00	4.17	0.00	4.17	95.0	3.96
09/19/2017	RENTROP, GARRETT	OPPENHEIMIER QUEST BALANCED C	32.30	0.32	0.00	0.32	95.0	0.30
09/19/2017	RENTROP, GARRETT	OPPENHEIMIER QUEST BALANCED C	32.30	0.32	0.00	0.32	95.0	0.30
10/03/2017	RASP, LINDA	PIIONEER AMT FREE MUNICIPAL A	0.00	87.18	0.00	87.18	95.0	82.82
10/03/2017	RASP, EVELYN	PIIONEER AMT FREE MUNICIPAL A	0.00	25.33	0.00	25.33	95.0	24.06
10/02/2017	RAJKOVICH, TONI	PUTNAM ASSET ALLOC GROWTH A	0.00	1.29	0.00	1.29	95.0	1.23
10/02/2017	BEDORE, CHARLES	PUTNAM CAPITAL OPPORTUNITIES A	0.00	2.36	0.00	2.36	95.0	2.24
10/02/2017	ALLEGRIANA, JULIE	PUTNAM CAPITAL OPPORTUNITIES A	0.00	2.93	0.00	2.93	95.0	2.78
10/02/2017	SZOCINSKI, CASIMER	PUTNAM DIVERSIFIED INCOME A	0.00	10.39	0.00	10.39	95.0	9.87
10/02/2017	MEHLER, BENE	PUTNAM EQUITY INCOME A	0.00	6.35	0.00	6.35	95.0	6.03
10/02/2017	LORI RUTH THOMASSY, BENE	PUTNAM EQUITY INCOME A	0.00	7.57	0.00	7.57	95.0	7.19
10/02/2017	SCULLY, DOROTHY	PUTNAM EQUITY INCOME A	0.00	39.90	0.00	39.90	95.0	37.91
10/02/2017	BOGLE, DAVID	PUTNAM EQUITY INCOME A	0.00	0.91	0.00	0.91	95.0	0.86
10/02/2017	BARNETT, MARK	PUTNAM EQUITY INCOME A	0.00	1.22	0.00	1.22	95.0	1.16
10/02/2017	GUTMAN, THERESE ANNE	PUTNAM EQUITY INCOME A	0.00	11.46	0.00	11.46	95.0	10.89
10/02/2017	JAKUBOWSKI, LORRAINE	PUTNAM EQUITY INCOME A	0.00	84.70	0.00	84.70	95.0	80.47
10/02/2017	O'CONNOR, TIMOTHY	PUTNAM EQUITY INCOME A	0.00	4.27	0.00	4.27	95.0	4.06
10/02/2017	KELSEY, RONALD	PUTNAM EQUITY INCOME A	0.00	0.03	0.00	0.03	95.0	0.03

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
10/02/2017	SZOCINSKI, CASIMER	PUTNAM EQUITY INCOME A	0.00	14.51	0.00	14.51	95.0	13.78
10/02/2017	JENDRUSINA, ROGER	PUTNAM EQUITY INCOME A	0.00	76.21	0.00	76.21	95.0	72.40
10/02/2017	CATES, CALVIN	PUTNAM EQUITY INCOME A	0.00	0.34	0.00	0.34	95.0	0.32
10/02/2017	RANCOURT, RICHARD	PUTNAM EQUITY INCOME A	0.00	12.29	0.00	12.29	95.0	11.68
10/02/2017	RUSHLOW, LAWRENCE	PUTNAM EQUITY INCOME A	0.00	28.17	0.00	28.17	95.0	26.76
10/02/2017	KING, DAVID	PUTNAM EQUITY INCOME A	0.00	6.56	0.00	6.56	95.0	6.23
10/02/2017	O'CONNOR, TIMOTHY	PUTNAM EQUITY INCOME B	0.00	4.85	0.00	4.85	95.0	4.61
10/02/2017	CAMERON, KATHRYN	PUTNAM GEORGE PUTNAM BALANCED A	0.00	12.69	0.00	12.69	95.0	12.06
10/02/2017	SELLECK, GREGORY	PUTNAM GEORGE PUTNAM BALANCED A	0.00	0.19	0.00	0.19	95.0	0.18
10/02/2017	SCULLY, DOROTHY	PUTNAM GLOBAL EQUITY A	0.00	22.20	0.00	22.20	95.0	21.09
10/02/2017	JOHNSON, ABEN MARTIN	PUTNAM GLOBAL EQUITY A	0.00	9.11	0.00	9.11	95.0	8.65
10/02/2017	WILLISON, VICTORIA	PUTNAM GLOBAL EQUITY A	0.00	5.58	0.00	5.58	95.0	5.30
10/02/2017	SONDLES HOLMAN, KAREN	PUTNAM GLOBAL HEALTH CARE A	0.00	21.33	0.00	21.33	95.0	20.26
10/02/2017	MORRISON, JOY KUNKLER-	PUTNAM GLOBAL HEALTH CARE A	0.00	1.92	0.00	1.92	95.0	1.82
10/02/2017	KEELER, MARSHA	PUTNAM GLOBAL HEALTH CARE A	0.00	14.85	0.00	14.85	95.0	14.11
10/02/2017	TUCKER, LINDA	PUTNAM GLOBAL HEALTH CARE A	0.00	0.80	0.00	0.80	95.0	0.76
10/02/2017	DEMERJIAN, CARL	PUTNAM GLOBAL HEALTH CARE A	0.00	2.13	0.00	2.13	95.0	2.02
10/02/2017	SCULLY, DOROTHY	PUTNAM GROWTH OPP A	0.00	27.29	0.00	27.29	95.0	25.93
10/02/2017	BLAIR, PATRICIA	PUTNAM GROWTH OPP A	0.00	9.78	0.00	9.78	95.0	9.29
10/02/2017	VERSTRAETE, GEORGE	PUTNAM GROWTH OPP A	0.00	13.18	0.00	13.18	95.0	12.52
10/02/2017	ELLWOOD, JOHN	PUTNAM GROWTH OPP A	0.00	0.37	0.00	0.37	95.0	0.35
10/02/2017	BUCHANAN, JAMIE	PUTNAM GROWTH OPP A	0.00	10.15	0.00	10.15	95.0	9.64
10/02/2017	MORRISON, JOY KUNKLER-	PUTNAM GROWTH OPP A	0.00	1.13	0.00	1.13	95.0	1.07
10/02/2017	KACIR, EVA	PUTNAM GROWTH OPP A	0.00	8.62	0.00	8.62	95.0	8.19
10/02/2017	KOSANKE, JOHN	PUTNAM GROWTH OPP A	0.00	9.22	0.00	9.22	95.0	8.76
10/02/2017	KOSANKE, JOHN	PUTNAM GROWTH OPP A	0.00	8.63	0.00	8.63	95.0	8.20
10/02/2017	BRADLEY, SARAH	PUTNAM GROWTH OPP A	0.00	5.02	0.00	5.02	95.0	4.77
10/02/2017	PROKROPOWICZ, EMILY	PUTNAM GROWTH OPP A	0.00	1.29	0.00	1.29	95.0	1.23
10/02/2017	CARLSON, TYLER	PUTNAM GROWTH OPP A	0.00	0.55	0.00	0.55	95.0	0.52
10/02/2017	CARNAHAN, BRUCE	PUTNAM GROWTH OPP A	0.00	5.18	0.00	5.18	95.0	4.92
10/02/2017	MIKLEVICH, MICHAEL	PUTNAM GROWTH OPP A	0.00	5.41	0.00	5.41	95.0	5.14
10/02/2017	LAI, JOHN	PUTNAM GROWTH OPP A	0.00	3.19	0.00	3.19	95.0	3.03
10/02/2017	LAI, ANGIE	PUTNAM GROWTH OPP A	0.00	3.19	0.00	3.19	95.0	3.03

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
10/02/2017	BUTLER, PAUL	PUTNAM GROWTH OPP A	0.00	8.97	0.00	8.97	95.0	8.52
10/02/2017	BUTLER, PAUL	PUTNAM GROWTH OPP A	0.00	7.03	0.00	7.03	95.0	6.68
10/02/2017	BUTLER, KATHLEEN	PUTNAM GROWTH OPP A	0.00	2.76	0.00	2.76	95.0	2.62
10/02/2017	BUTLER, KATHLEEN	PUTNAM GROWTH OPP A	0.00	9.42	0.00	9.42	95.0	8.95
10/02/2017	TUCKER, LINDA	PUTNAM GROWTH OPP A	0.00	3.24	0.00	3.24	95.0	3.08
10/02/2017	WEAVER, RONALD	PUTNAM GROWTH OPP A	0.00	7.28	0.00	7.28	95.0	6.92
10/02/2017	ALLEGRIANA, JULIE	PUTNAM GROWTH OPP A	0.00	2.68	0.00	2.68	95.0	2.55
10/02/2017	KOSANKE, JOHN	PUTNAM GROWTH OPPORTUNITIES B	0.00	1.63	0.00	1.63	95.0	1.55
10/02/2017	KOSANKE, JOHN	PUTNAM GROWTH OPPORTUNITIES B	0.00	7.26	0.00	7.26	95.0	6.90
10/02/2017	BRADLEY, SARAH	PUTNAM GROWTH OPPORTUNITIES B	0.00	0.41	0.00	0.41	95.0	0.39
10/02/2017	MEHLER, BENE	PUTNAM HIGH YIELD ADVANTAGE A	0.00	4.87	0.00	4.87	95.0	4.63
10/02/2017	LORI RUTH THOMASSY, BENE	PUTNAM HIGH YIELD ADVANTAGE A	0.00	5.75	0.00	5.75	95.0	5.46
10/02/2017	SCULLY, DOROTHY	PUTNAM HIGH YIELD ADVANTAGE A	0.00	26.33	0.00	26.33	95.0	25.01
10/02/2017	MASTALSKI, JOLEEN	PUTNAM HIGH YIELD ADVANTAGE A	0.00	25.68	0.00	25.68	95.0	24.40
10/02/2017	BAKEWELL, RALPH	PUTNAM HIGH YIELD ADVANTAGE A	0.00	29.97	0.00	29.97	95.0	28.47
10/02/2017	BARR, BETTY	PUTNAM HIGH YIELD ADVANTAGE A	0.00	2.44	0.00	2.44	95.0	2.32
10/02/2017	DEGRANDCHAMP, PAUL	PUTNAM HIGH YIELD ADVANTAGE A	0.00	0.23	0.00	0.23	95.0	0.22
10/02/2017	MASTALSKI, JOLEEN	PUTNAM HIGH YIELD ADVANTAGE A	0.00	7.48	0.00	7.48	95.0	7.11
10/02/2017	MASTALSKI, JOLEEN	PUTNAM HIGH YIELD ADVANTAGE A	0.00	4.23	0.00	4.23	95.0	4.02
10/02/2017	BARR, BETTY	PUTNAM HIGH YIELD ADVANTAGE A	0.00	5.86	0.00	5.86	95.0	5.57
10/02/2017	KIVELA, BERNICE	PUTNAM HIGH YIELD ADVANTAGE A	0.00	9.22	0.00	9.22	95.0	8.76
10/02/2017	RUSHLOW, JEAN	PUTNAM HIGH YIELD ADVANTAGE A	0.00	9.01	0.00	9.01	95.0	8.56
10/02/2017	MANNING, JOHN	PUTNAM HIGH YIELD ADVANTAGE A	0.00	66.37	0.00	66.37	95.0	63.05
10/02/2017	KRAUSE, BARBARA	PUTNAM HIGH YIELD ADVANTAGE A	0.00	112.87	0.00	112.87	95.0	107.23
10/02/2017	CIAGLO, BETTY	PUTNAM HIGH YIELD ADVANTAGE A	0.00	8.14	0.00	8.14	95.0	7.73
10/02/2017	WEBB, TODD	PUTNAM INCOME A	0.00	0.09	0.00	0.09	95.0	0.09
10/02/2017	RUSHLOW, JEAN	PUTNAM INTERNATIONAL EQUITY-A	0.00	3.52	0.00	3.52	95.0	3.34
10/02/2017	RUSHLOW, LAWRENCE	PUTNAM INTERNATIONAL EQUITY-A	0.00	3.69	0.00	3.69	95.0	3.51
10/02/2017	O'CONNOR, TIMOTHY	PUTNAM INTERNATIONAL GROWTH-A	0.00	2.53	0.00	2.53	95.0	2.40
10/02/2017	MORRISON, JOY KUNKLER-	PUTNAM INTERNATIONAL GROWTH-A	0.00	0.85	0.00	0.85	95.0	0.81
10/02/2017	JOHNSON, DANIEL	PUTNAM INTERNATIONAL GROWTH-A	0.00	3.81	0.00	3.81	95.0	3.62
10/02/2017	WEAVER, RONALD	PUTNAM INTERNATIONAL GROWTH-A	0.00	7.14	0.00	7.14	95.0	6.78
10/02/2017	MILLER, BRADLEY	PUTNAM INTERNATIONAL GROWTH-A	0.00	0.75	0.00	0.75	95.0	0.71

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
10/02/2017	MILLER, BRIANNA	PUTNAM INTERNATIONAL GROWTH-A	0.00	0.11	0.00	0.11	95.0	0.10
10/02/2017	MILLER, SARAH	PUTNAM INTERNATIONAL GROWTH-A	0.00	0.75	0.00	0.75	95.0	0.71
10/02/2017	BEDORE, CHARLES	PUTNAM INTERNATIONAL GROWTH-A	0.00	1.58	0.00	1.58	95.0	1.50
10/02/2017	SCULLY, DOROTHY	PUTNAM INTERNATIONAL VALUE-A	0.00	21.21	0.00	21.21	95.0	20.15
10/02/2017	SCULLY, DOROTHY	PUTNAM INTL CAPITAL OPPS-A	0.00	51.27	0.00	51.27	95.0	48.71
10/02/2017	BEDORE, CHARLES	PUTNAM INTL CAPITAL OPPS-A	0.00	2.60	0.00	2.60	95.0	2.47
10/02/2017	MORRISON, JOY KUNKLER-	PUTNAM INVESTORS A	0.00	1.05	0.00	1.05	95.0	1.00
10/02/2017	WONCH, LIZ	PUTNAM INVESTORS A	0.00	3.72	0.00	3.72	95.0	3.53
10/02/2017	MILLER, BRADLEY	PUTNAM INVESTORS A	0.00	0.73	0.00	0.73	95.0	0.69
10/02/2017	MILLER, BRIANNA	PUTNAM INVESTORS A	0.00	0.11	0.00	0.11	95.0	0.10
10/02/2017	MILLER, SARAH	PUTNAM INVESTORS A	0.00	0.73	0.00	0.73	95.0	0.69
10/02/2017	WONCH, LIZ	PUTNAM INVESTORS B	0.00	2.41	0.00	2.41	95.0	2.29
10/02/2017	TUCKER, LINDA	PUTNAM MULTI CAP GROWTH A	0.00	2.04	0.00	2.04	95.0	1.94
10/02/2017	JAKUBOWSKI, LORRAINE	PUTNAM MULTI CAP GROWTH A	0.00	29.86	0.00	29.86	95.0	28.37
10/02/2017	O'CONNOR, TIMOTHY	PUTNAM MULTI CAP GROWTH A	0.00	9.85	0.00	9.85	95.0	9.36
10/02/2017	O'CONNOR, TIMOTHY	PUTNAM MULTI CAP GROWTH A	0.00	2.63	0.00	2.63	95.0	2.50
10/02/2017	MORRISON, JOY KUNKLER-	PUTNAM MULTI CAP GROWTH A	0.00	0.41	0.00	0.41	95.0	0.39
10/02/2017	KACIR, EVA	PUTNAM MULTI CAP GROWTH A	0.00	14.20	0.00	14.20	95.0	13.49
10/02/2017	STEWART, DAVID	PUTNAM MULTI CAP GROWTH A	0.00	32.50	0.00	32.50	95.0	30.88
10/02/2017	STEWART, ANN	PUTNAM MULTI CAP GROWTH A	0.00	18.70	0.00	18.70	95.0	17.77
10/02/2017	LOWE, SARAH	PUTNAM MULTI CAP GROWTH A	0.00	0.51	0.00	0.51	95.0	0.48
10/02/2017	EAST, DENISE	PUTNAM MULTI CAP GROWTH A	0.00	1.06	0.00	1.06	95.0	1.01
10/02/2017	SZOCINSKI, CASIMER	PUTNAM MULTI CAP GROWTH A	0.00	10.61	0.00	10.61	95.0	10.08
10/02/2017	SZOCINSKI, BILLIE	PUTNAM MULTI CAP GROWTH A	0.00	10.24	0.00	10.24	95.0	9.73
10/02/2017	JENDRUSINA, ROGER	PUTNAM MULTI CAP GROWTH A	0.00	49.02	0.00	49.02	95.0	46.57
10/02/2017	MIKLEVICH, MICHAEL	PUTNAM MULTI CAP GROWTH A	0.00	34.74	0.00	34.74	95.0	33.00
10/02/2017	RANCOURT, RICHARD	PUTNAM MULTI CAP GROWTH A	0.00	12.11	0.00	12.11	95.0	11.50
10/02/2017	RANCOURT, RICHARD	PUTNAM MULTI CAP GROWTH A	0.00	6.74	0.00	6.74	95.0	6.40
10/02/2017	JOHNSON, DANIEL	PUTNAM MULTI CAP GROWTH A	0.00	4.34	0.00	4.34	95.0	4.12
10/02/2017	BABIN, WILLIAM	PUTNAM MULTI CAP GROWTH A	0.00	55.17	0.00	55.17	95.0	52.41
10/02/2017	LOWE, EMILY	PUTNAM MULTI CAP GROWTH A	0.00	0.13	0.00	0.13	95.0	0.12
10/02/2017	TUCKER, LINDA	PUTNAM MULTI CAP GROWTH A	0.00	1.44	0.00	1.44	95.0	1.37
10/02/2017	HARRISON, EDWARD	PUTNAM MULTI CAP GROWTH A	0.00	0.62	0.00	0.62	95.0	0.59

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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>								
10/02/2017	DEMERJIAN, CARL	PUTNAM MULTI CAP GROWTH A	0.00	0.98	0.00	0.98	95.0	0.93
10/02/2017	JOUPPI, JEFFREY	PUTNAM MULTI CAP GROWTH A	0.00	4.90	0.00	4.90	95.0	4.66
10/02/2017	WEAVER, RONALD	PUTNAM MULTI CAP GROWTH A	0.00	4.02	0.00	4.02	95.0	3.82
10/02/2017	WEAVER, RONALD	PUTNAM MULTI CAP GROWTH A	0.00	1.91	0.00	1.91	95.0	1.81
10/02/2017	BEDORE, CHARLES	PUTNAM MULTI CAP GROWTH A	0.00	17.69	0.00	17.69	95.0	16.81
10/02/2017	PLAN, CONVERSION	PUTNAM MULTI CAP GROWTH A	0.00	1.28	0.00	1.28	95.0	1.22
10/02/2017	O'CONNOR, TIMOTHY	PUTNAM MULTI-CAP GROWTH B	0.00	5.07	0.00	5.07	95.0	4.82
10/02/2017	MOUSSA, PATRICK	PUTNAM MULTI-CAP GROWTH B	0.00	1.55	0.00	1.55	95.0	1.47
10/02/2017	TUCKER, LINDA	PUTNAM RESEARCH A	0.00	1.53	0.00	1.53	95.0	1.45
10/02/2017	ALLEGRIANA, JULIE	PUTNAM RETIREMENT READY 746859602	0.00	2.37	0.00	2.37	95.0	2.25
10/02/2017	VIVIANO, SAM	PUTNAM TAX-FREE HIGH YIELD-A	0.00	5.35	0.00	5.35	95.0	5.08
10/02/2017	KRAUSE, BARBARA	PUTNAM TAX-FREE HIGH YIELD-A	0.00	117.04	0.00	117.04	95.0	111.19
10/03/2017	PETERSON, ALEXA	TRANSAMERICA AA CONSERVATIVE C	0.00	33.48	0.00	33.48	95.0	31.81
10/03/2017	PETERSON, TREY	TRANSAMERICA AA CONSERVATIVE C	0.00	33.48	0.00	33.48	95.0	31.81
10/03/2017	KING, ALEXANDER	TRANSAMERICA AA GROWTH A	0.00	8.72	0.00	8.72	95.0	8.28
10/03/2017	MOORE, MICHELLE	TRANSAMERICA AA GROWTH A	0.00	12.81	0.00	12.81	95.0	12.17
10/03/2017	KUCHAREK, MARK	TRANSAMERICA AA GROWTH A	0.00	23.79	0.00	23.79	95.0	22.60
10/03/2017	HESTER, RICHARD	TRANSAMERICA AA GROWTH A	0.00	6.04	0.00	6.04	95.0	5.74
10/03/2017	SOLDAN, JULIE	TRANSAMERICA AA GROWTH A	0.00	10.39	0.00	10.39	95.0	9.87
10/03/2017	RYAN, KIMBERLY	TRANSAMERICA AA GROWTH A	0.00	3.71	0.00	3.71	95.0	3.52
10/03/2017	KING, NATHAN	TRANSAMERICA AA GROWTH A	0.00	3.81	0.00	3.81	95.0	3.62
10/03/2017	RYAN, JONATHON	TRANSAMERICA AA GROWTH A	0.00	9.04	0.00	9.04	95.0	8.59
10/03/2017	MALAVOLTI, KURT	TRANSAMERICA AA GROWTH A	0.00	11.17	0.00	11.17	95.0	10.61
10/03/2017	KUCHAREK, MARK	TRANSAMERICA AA GROWTH B	0.00	9.96	0.00	9.96	95.0	9.46
10/03/2017	HESTER, RICHARD	TRANSAMERICA AA GROWTH B	0.00	3.42	0.00	3.42	95.0	3.25
10/03/2017	RICE, STEPHANIE	TRANSAMERICA AA GROWTH C	0.00	4.82	0.00	4.82	95.0	4.58
10/03/2017	KUCHAREK, MARK	TRANSAMERICA AA GROWTH C	0.00	5.74	0.00	5.74	95.0	5.45
10/03/2017	HESTER, RICHARD	TRANSAMERICA AA GROWTH C	0.00	22.22	0.00	22.22	95.0	21.11
10/03/2017	SULLIVAN, MICHAEL	TRANSAMERICA AA GROWTH C	0.00	20.42	0.00	20.42	95.0	19.40
10/03/2017	MAYNARD, TRAVIS	TRANSAMERICA AA GROWTH C	0.00	1.61	0.00	1.61	95.0	1.53
10/03/2017	DUMOND, PHYLLIS	TRANSAMERICA AA GROWTH C	0.00	9.75	0.00	9.75	95.0	9.26
10/03/2017	COOPER, LISA	TRANSAMERICA AA GROWTH C	0.00	0.46	0.00	0.46	95.0	0.44
10/03/2017	WEBSTER, BRIAN	TRANSAMERICA AA GROWTH C	0.00	0.99	0.00	0.99	95.0	0.94

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
10/03/2017	JOUPPI, JEFFREY	TRANSAMERICA AA GROWTH C	0.00	84.49	0.00	84.49	95.0	80.27
10/03/2017	COMAN, RONALD	TRANSAMERICA AA GROWTH C	0.00	20.04	0.00	20.04	95.0	19.04
10/03/2017	PALAZZOLO, SALATORE	TRANSAMERICA AA GROWTH C	0.00	11.87	0.00	11.87	95.0	11.28
10/03/2017	BARTOI, MIKAELA	TRANSAMERICA AA GROWTH C	0.00	4.00	0.00	4.00	95.0	3.80
10/03/2017	ROWAN, CHRISTINE	TRANSAMERICA AA GROWTH C	0.00	27.16	0.00	27.16	95.0	25.80
10/03/2017	KUCHAREK, NORMA	TRANSAMERICA AA GROWTH C	0.00	8.63	0.00	8.63	95.0	8.20
10/03/2017	NEIRINCK, DONNA	TRANSAMERICA AA GROWTH C	0.00	11.33	0.00	11.33	95.0	10.76
10/03/2017	OLSEN, MARTHA	TRANSAMERICA AA GROWTH C	0.00	10.20	0.00	10.20	95.0	9.69
10/03/2017	HESSLER, GARY	TRANSAMERICA AA GROWTH C	0.00	39.83	0.00	39.83	95.0	37.84
10/03/2017	BLANKENSHIP, JANET	TRANSAMERICA AA GROWTH C	0.00	11.60	0.00	11.60	95.0	11.02
10/03/2017	RONDO, DENISE	TRANSAMERICA AA GROWTH C	0.00	12.07	0.00	12.07	95.0	11.47
10/03/2017	PALAZZOLO, ANNA	TRANSAMERICA AA GROWTH C	0.00	18.63	0.00	18.63	95.0	17.70
10/03/2017	LINDOW, RONALD	TRANSAMERICA AA GROWTH C	0.00	1.49	0.00	1.49	95.0	1.42
10/03/2017	WILMAN, ANN	TRANSAMERICA AA GROWTH C	0.00	57.14	0.00	57.14	95.0	54.28
10/03/2017	KUCHAREK, MARK	TRANSAMERICA AA GROWTH C	0.00	36.93	0.00	36.93	95.0	35.08
10/03/2017	LOPICCOLO, CATHERINE	TRANSAMERICA AA GROWTH C	0.00	39.93	0.00	39.93	95.0	37.93
10/03/2017	DUMOND, PHYLLIS	TRANSAMERICA AA GROWTH C	0.00	21.94	0.00	21.94	95.0	20.84
10/03/2017	RIOS-DORIA, H. WALTER	TRANSAMERICA AA GROWTH C	0.00	47.82	0.00	47.82	95.0	45.43
10/03/2017	WETZEL, TIFFANY	TRANSAMERICA AA GROWTH C	0.00	13.08	0.00	13.08	95.0	12.43
10/03/2017	KEELER, DAVID	TRANSAMERICA AA GROWTH C	0.00	48.24	0.00	48.24	95.0	45.83
10/03/2017	HILDEBRAND, JOSEPH	TRANSAMERICA AA GROWTH C	0.00	26.95	0.00	26.95	95.0	25.60
10/03/2017	DEHEM, GARY	TRANSAMERICA AA GROWTH C	0.00	37.95	0.00	37.95	95.0	36.05
10/03/2017	LINDOW, RICHARD	TRANSAMERICA AA GROWTH C	0.00	23.25	0.00	23.25	95.0	22.09
10/03/2017	MULDOON, SHEILA	TRANSAMERICA AA GROWTH C	0.00	23.82	0.00	23.82	95.0	22.63
10/03/2017	KUCHAREK, SARAH	TRANSAMERICA AA GROWTH C	0.00	4.81	0.00	4.81	95.0	4.57
10/03/2017	HECKER, GENE	TRANSAMERICA AA GROWTH C	0.00	7.95	0.00	7.95	95.0	7.55
10/03/2017	WATERS, SALLY	TRANSAMERICA AA GROWTH C	0.00	13.07	0.00	13.07	95.0	12.42
10/03/2017	WATERS, WILLIAM	TRANSAMERICA AA GROWTH C	0.00	5.07	0.00	5.07	95.0	4.82
10/03/2017	TOBEY, TIMOTHY	TRANSAMERICA AA GROWTH C	0.00	13.06	0.00	13.06	95.0	12.41
10/03/2017	FARRAR, CHARLES	TRANSAMERICA AA GROWTH C	0.00	9.50	0.00	9.50	95.0	9.03
10/03/2017	BUSZEK, PAUL	TRANSAMERICA AA GROWTH C	0.00	1.06	0.00	1.06	95.0	1.01
10/03/2017	HOOTNER-JONES, ANN	TRANSAMERICA AA GROWTH C	0.00	8.09	0.00	8.09	95.0	7.69
10/03/2017	PALAZZOLO, SALVATORE	TRANSAMERICA AA GROWTH C	0.00	13.95	0.00	13.95	95.0	13.25

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
10/03/2017	BASTIN, TIFFANY	TRANSAMERICA AA GROWTH C	0.00	3.66	0.00	3.66	95.0	3.48
10/03/2017	RICE, STEPHANIE	TRANSAMERICA AA GROWTH C	0.00	3.71	0.00	3.71	95.0	3.52
10/03/2017	KUCHAREK, PAUL	TRANSAMERICA AA MOD GROWTH A	0.00	33.96	0.00	33.96	95.0	32.26
10/03/2017	MERRITT TRUST, LEO	TRANSAMERICA AA MOD GROWTH A	0.00	48.41	0.00	48.41	95.0	45.99
10/03/2017	KUCHAREK, PAUL	TRANSAMERICA AA MOD GROWTH B	0.00	7.29	0.00	7.29	95.0	6.93
10/03/2017	KOLLINGER, ROBERT	TRANSAMERICA AA MOD GROWTH C	0.00	0.92	0.00	0.92	95.0	0.87
10/03/2017	HOVIS, MARJORIE	TRANSAMERICA AA MOD GROWTH C	0.00	3.56	0.00	3.56	95.0	3.38
10/03/2017	BELLINGER, VICKIE	TRANSAMERICA AA MOD GROWTH C	0.00	33.96	0.00	33.96	95.0	32.26
10/03/2017	BELLINGER, GEORGE	TRANSAMERICA AA MOD GROWTH C	0.00	27.38	0.00	27.38	95.0	26.01
10/03/2017	POLENYCHKO, SHIRLEY	TRANSAMERICA AA MOD GROWTH C	0.00	9.12	0.00	9.12	95.0	8.66
10/03/2017	AUGUSTYN, PATRICIA	TRANSAMERICA AA MOD GROWTH C	0.00	11.19	0.00	11.19	95.0	10.63
10/03/2017	BLANKENSHIP, JANET	TRANSAMERICA AA MOD GROWTH C	0.00	205.37	0.00	205.37	95.0	195.10
10/03/2017	KOLLINGER, CINDY	TRANSAMERICA AA MOD GROWTH C	0.00	9.39	0.00	9.39	95.0	8.92
10/03/2017	KEELER, DAVID	TRANSAMERICA AA MOD GROWTH C	0.00	21.54	0.00	21.54	95.0	20.46
10/03/2017	TYSZKIEWICZ, KURT	TRANSAMERICA AA MOD GROWTH C	0.00	23.46	0.00	23.46	95.0	22.29
10/03/2017	KUCHAREK, MARCIA	TRANSAMERICA AA MOD GROWTH C	0.00	11.58	0.00	11.58	95.0	11.00
10/03/2017	MCGUIRE, MARY	TRANSAMERICA AA MOD GROWTH C	0.00	15.73	0.00	15.73	95.0	14.94
10/03/2017	LEHMAN, JEFFREY	TRANSAMERICA AA MOD GROWTH C	0.00	0.11	0.00	0.11	95.0	0.10
10/03/2017	HENRY, JACQUELINE	TRANSAMERICA AA MOD GROWTH C	0.00	30.50	0.00	30.50	95.0	28.98
10/03/2017	O'CONNOR, FRANCIS	TRANSAMERICA AA MOD GROWTH C	0.00	54.05	0.00	54.05	95.0	51.35
10/03/2017	BAKER, JEAN-ANNE	TRANSAMERICA AA MOD GROWTH C	0.00	37.77	0.00	37.77	95.0	35.88
10/03/2017	KOSANKE, BARBARA	TRANSAMERICA AA MOD GROWTH C	0.00	31.82	0.00	31.82	95.0	30.23
10/03/2017	DEW, DESIREE	TRANSAMERICA AA MOD GROWTH C	0.00	43.86	0.00	43.86	95.0	41.67
10/03/2017	MODRYCKI, DONALD	TRANSAMERICA AA MOD GROWTH C	0.00	2.49	0.00	2.49	95.0	2.37
10/03/2017	CYRULEWSKI TRUST, LOIS	TRANSAMERICA AA MOD GROWTH C	0.00	11.87	0.00	11.87	95.0	11.28
10/03/2017	NIZIO, EDMUND	TRANSAMERICA AA MOD GROWTH C	0.00	3.55	0.00	3.55	95.0	3.37
10/03/2017	PALAZZOLO, SALATORE	TRANSAMERICA AA MOD GROWTH C	0.00	9.61	0.00	9.61	95.0	9.13
10/03/2017	KOSANKE, CHARLES W	TRANSAMERICA AA MOD GROWTH C	0.00	16.38	0.00	16.38	95.0	15.56
10/03/2017	MERRITT, MARY LOU	TRANSAMERICA AA MOD GROWTH C	0.00	112.91	0.00	112.91	95.0	107.26
10/03/2017	GROBAR TRUST, MARVIN & MARY	TRANSAMERICA AA MOD GROWTH C	0.00	59.05	0.00	59.05	95.0	56.10
10/03/2017	OLSEN, MARTHA	TRANSAMERICA AA MOD GROWTH C	0.00	9.73	0.00	9.73	95.0	9.24
10/03/2017	SARKISIAN, NORAY	TRANSAMERICA AA MOD GROWTH C	0.00	9.98	0.00	9.98	95.0	9.48
10/03/2017	SARKISIAN, NORAY	TRANSAMERICA AA MOD GROWTH C	0.00	5.04	0.00	5.04	95.0	4.79

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<u>BROKER TRANSACTIONS</u>								
PRODUCT CATEGORY: MUTUAL FUNDS								
10/03/2017	CARLSON, PATRICIA	TRANSAMERICA AA MOD GROWTH C	0.00	2.69	0.00	2.69	95.0	2.56
10/03/2017	RIOS-DORIA, H. WALTER	TRANSAMERICA AA MOD GROWTH C	0.00	44.03	0.00	44.03	95.0	41.83
10/03/2017	RYAN, VICKI	TRANSAMERICA AA MOD GROWTH C	0.00	3.47	0.00	3.47	95.0	3.30
10/03/2017	RYAN, KAREN	TRANSAMERICA AA MOD GROWTH C	0.00	2.43	0.00	2.43	95.0	2.31
10/03/2017	BARTOI, MIKAELA	TRANSAMERICA AA MOD GROWTH C	0.00	150.51	0.00	150.51	95.0	142.98
10/03/2017	BUTLER, SANDRA	TRANSAMERICA AA MOD GROWTH C	0.00	53.69	0.00	53.69	95.0	51.01
10/03/2017	KANAKRI, JOSEPH	TRANSAMERICA AA MOD GROWTH C	0.00	2.09	0.00	2.09	95.0	1.99
10/03/2017	KANAKRI, MARIA	TRANSAMERICA AA MOD GROWTH C	0.00	3.28	0.00	3.28	95.0	3.12
10/03/2017	BUSZEK, PAUL	TRANSAMERICA AA MOD GROWTH C	0.00	25.86	0.00	25.86	95.0	24.57
10/03/2017	LAWRENCE, PEGGY	TRANSAMERICA AA MOD GROWTH C	0.00	13.02	0.00	13.02	95.0	12.37
10/03/2017	BERDESKI, AUDREY	TRANSAMERICA AA MOD GROWTH C	0.00	5.46	0.00	5.46	95.0	5.19
10/03/2017	KAWALA, CHRISTINA	TRANSAMERICA AA MOD GROWTH C	0.00	111.50	0.00	111.50	95.0	105.93
10/03/2017	DUMOND, PHYLLIS	TRANSAMERICA AA MODERATE A	0.00	11.10	0.00	11.10	95.0	10.55
10/03/2017	MIJAL, SHARON	TRANSAMERICA AA MODERATE A	0.00	13.12	0.00	13.12	95.0	12.46
10/03/2017	SARKISIAN, NORAY	TRANSAMERICA AA MODERATE C	0.00	21.25	0.00	21.25	95.0	20.19
10/03/2017	SARKISIAN, NORAY	TRANSAMERICA AA MODERATE C	0.00	0.76	0.00	0.76	95.0	0.72
10/03/2017	MOORE, LOUIS	TRANSAMERICA AA MODERATE C	0.00	85.17	0.00	85.17	95.0	80.91
10/03/2017	BARTOI, JOHN	TRANSAMERICA AA MODERATE C	0.00	5.25	0.00	5.25	95.0	4.99
10/03/2017	MANOLATOS, STEVE	TRANSAMERICA AA MODERATE C	0.00	1.28	0.00	1.28	95.0	1.22
10/03/2017	MADIGAN, JOHN	TRANSAMERICA CAPITAL GROWTH A	0.00	0.64	0.00	0.64	95.0	0.61
10/03/2017	BACHTELL, JAMES	TRANSAMERICA DIVERSIFIED EQUITY A	0.00	18.11	0.00	18.11	95.0	17.20
10/03/2017	BOYER, KENNETH	TRANSAMERICA DIVERSIFIED EQUITY A	0.00	13.72	0.00	13.72	95.0	13.03
10/03/2017	CHATTULANI, DIANA	TRANSAMERICA DIVERSIFIED EQUITY A	0.00	9.15	0.00	9.15	95.0	8.69
10/03/2017	HORTON, RICHARD	TRANSAMERICA DIVERSIFIED EQUITY A	0.00	6.24	0.00	6.24	95.0	5.93
10/03/2017	WONCH, ELIZABETH	TRANSAMERICA DIVERSIFIED EQUITY A	0.00	0.97	0.00	0.97	95.0	0.92
10/03/2017	WILLIAMS, DAVID	TRANSAMERICA DIVERSIFIED EQUITY A	0.00	2.29	0.00	2.29	95.0	2.18
10/03/2017	WILLIAMS, DAVID	TRANSAMERICA DIVERSIFIED EQUITY A	0.00	8.13	0.00	8.13	95.0	7.72
10/03/2017	DOYLE, CHRISTINE	TRANSAMERICA MULTI MGR ALT STRATEGI	0.00	1.30	0.00	1.30	95.0	1.24
10/03/2017	HILDEBRAND, JOSEPH	TRANSAMERICA MULTI MGR ALT STRATEGI	0.00	9.55	0.00	9.55	95.0	9.07
10/03/2017	COOPER, IAN	TRANSAMERICA MULTI MGR INTL A	0.00	4.89	0.00	4.89	95.0	4.65
10/03/2017	PALAZZOLO, SALATORE	TRANSAMERICA MULTI MGR INTL C	0.00	0.32	0.00	0.32	95.0	0.30
10/03/2017	BARTOI, JOHN	TRANSAMERICA MULTI MGR INTL C	0.00	12.39	0.00	12.39	95.0	11.77
10/03/2017	BARTOI, MIKAELA	TRANSAMERICA MULTI MGR INTL C	0.00	8.69	0.00	8.69	95.0	8.26

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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>								
10/03/2017	FARRAR, CHARLES	TRANSAMERICA MULTI MGR INTL C	0.00	33.42	0.00	33.42	95.0	31.75
10/03/2017	WILMAN, ANN	TRANSAMERICA MULTI MGR INTL C	0.00	24.13	0.00	24.13	95.0	22.92
10/03/2017	KUCHAREK, MARK	TRANSAMERICA MULTI MGR INTL C	0.00	10.13	0.00	10.13	95.0	9.62
10/03/2017	DUMOND, PHYLLIS	TRANSAMERICA MULTI MGR INTL C	0.00	4.89	0.00	4.89	95.0	4.65
10/03/2017	KEELER, DAVID	TRANSAMERICA MULTI MGR INTL C	0.00	13.54	0.00	13.54	95.0	12.86
10/03/2017	HILDEBRAND, JOSEPH	TRANSAMERICA MULTI MGR INTL C	0.00	11.74	0.00	11.74	95.0	11.15
10/03/2017	DEHEM, GARY	TRANSAMERICA MULTI MGR INTL C	0.00	14.25	0.00	14.25	95.0	13.54
10/03/2017	MERRITT, GREGORY	TRANSAMERICA MULTI-MANAGED BAL A	0.00	8.73	0.00	8.73	95.0	8.29
10/03/2017	KOGUT, MONICA	TRANSAMERICA MULTI-MANAGED BAL A	0.00	2.75	0.00	2.75	95.0	2.61
09/18/2017	EICHENLAUB, TRACEY	TRANSAMERICA MULTI-MANAGED BAL C	400.00	4.00	0.00	4.00	95.0	3.80
10/03/2017	ALLEN, BRADLEY	TRANSAMERICA MULTI-MANAGED BAL C	0.00	30.58	0.00	30.58	95.0	29.05
10/03/2017	WAGNER, MALLORY	TRANSAMERICA MULTI-MANAGED BAL C	0.00	2.94	0.00	2.94	95.0	2.79
10/03/2017	EVANS, SANDRA	TRANSAMERICA MULTI-MANAGED BAL C	0.00	6.16	0.00	6.16	95.0	5.85
10/03/2017	EVANS, ROBERT	TRANSAMERICA MULTI-MANAGED BAL C	0.00	7.39	0.00	7.39	95.0	7.02
10/03/2017	GRECH, ROSALIE	TRANSAMERICA MULTI-MANAGED BAL C	0.00	23.78	0.00	23.78	95.0	22.59
10/03/2017	CANNON TRUST, HENRY & BARBARA	TRANSAMERICA MULTI-MANAGED BAL C	0.00	109.63	0.00	109.63	95.0	104.15
10/03/2017	WEYCKER, AARON	TRANSAMERICA MULTI-MANAGED BAL C	0.00	42.71	0.00	42.71	95.0	40.57
10/03/2017	WEYCKER, AARON	TRANSAMERICA MULTI-MANAGED BAL C	0.00	6.84	0.00	6.84	95.0	6.50
10/03/2017	DOUTSAS, MADELYN	TRANSAMERICA MULTI-MANAGED BAL C	0.00	2.90	0.00	2.90	95.0	2.76
10/03/2017	HOOTNER-JONES, ANN	TRANSAMERICA MULTI-MANAGED BAL C	0.00	2.69	0.00	2.69	95.0	2.56
10/03/2017	WEYCKER, ROBERT	TRANSAMERICA MULTI-MANAGED BAL C	0.00	13.22	0.00	13.22	95.0	12.56
10/03/2017	RICHARDSON, SHANE	TRANSAMERICA MULTI-MANAGED BAL C	0.00	1.20	0.00	1.20	95.0	1.14
10/03/2017	MAGGARD, LORETTA	TRANSAMERICA MULTI-MANAGED BAL C	0.00	12.57	0.00	12.57	95.0	11.94
10/03/2017	KAWALA, CHRISTINA	TRANSAMERICA MULTI-MANAGED BAL C	0.00	16.89	0.00	16.89	95.0	16.05
10/03/2017	EICHENLAUB, TRACEY	TRANSAMERICA MULTI-MANAGED BAL C	0.00	36.43	0.00	36.43	95.0	34.61
10/03/2017	BELLINGER, VICKIE	TRANSAMERICA MULTI-MANAGED BAL C	0.00	43.51	0.00	43.51	95.0	41.33
10/03/2017	OLSEN, MARTHA	TRANSAMERICA MULTI-MANAGED BAL C	0.00	10.42	0.00	10.42	95.0	9.90
10/03/2017	MOORE, SUSAN ANN PRIES	TRANSAMERICA MULTI-MANAGED BAL C	0.00	98.79	0.00	98.79	95.0	93.85
10/03/2017	YOUNG, RICK	TRANSAMERICA MULTI-MANAGED BAL C	0.00	132.58	0.00	132.58	95.0	125.95
10/03/2017	DINKA, CATHERINE	TRANSAMERICA MULTI-MANAGED BAL C	0.00	77.41	0.00	77.41	95.0	73.54
10/03/2017	PARKE, DEBORAH	TRANSAMERICA MULTI-MANAGED BAL C	0.00	1.72	0.00	1.72	95.0	1.63
10/03/2017	SMITH, MARTHA	TRANSAMERICA MULTI-MANAGED BAL C	0.00	99.64	0.00	99.64	95.0	94.66
10/03/2017	FARRAR, KAREN	TRANSAMERICA MULTI-MANAGED BAL C	0.00	42.92	0.00	42.92	95.0	40.77

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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>								
10/03/2017	EICHENLAUB, TRACEY	TRANSAMERICA MULTI-MANAGED BAL C	0.00	20.48	0.00	20.48	95.0	19.46
10/03/2017	ROLLINGS, DEBORAH	TRANSAMERICA MULTI-MANAGED BAL C	0.00	28.77	0.00	28.77	95.0	27.33
10/03/2017	ALLEN, BRADLEY	TRANSAMERICA MULTI-MANAGED BAL C	0.00	28.77	0.00	28.77	95.0	27.33
10/03/2017	DOUTSAS, ALEXANDER	TRANSAMERICA MULTI-MANAGED BAL C	0.00	6.13	0.00	6.13	95.0	5.82
10/03/2017	CROSSFIRE GROUP Q3AM	TRANSAMERICA SHORT-TERM BOND A	0.00	0.61	0.00	0.61	95.0	0.58
10/03/2017	GRAMMATICO, DENNIS	TRANSAMERICA SHORT-TERM BOND C	0.00	7.09	0.00	7.09	95.0	6.74
10/03/2017	GRAMMATICO, SHARON	TRANSAMERICA SHORT-TERM BOND C	0.00	7.10	0.00	7.10	95.0	6.75
10/03/2017	SARKISIAN, NORAY	TRANSAMERICA SHORT-TERM BOND C	0.00	29.17	0.00	29.17	95.0	27.71
10/03/2017	MERRITT, MARY LOU	TRANSAMERICA SHORT-TERM BOND C	0.00	22.06	0.00	22.06	95.0	20.96
10/03/2017	O'CONNOR, FRANCIS	TRANSAMERICA SHORT-TERM BOND C	0.00	60.80	0.00	60.80	95.0	57.76
10/03/2017	RYAN, JACK	TRANSAMERICA SHORT-TERM BOND C	0.00	8.49	0.00	8.49	95.0	8.07
10/03/2017	RYAN, KAREN	TRANSAMERICA SHORT-TERM BOND C	0.00	8.14	0.00	8.14	95.0	7.73
10/03/2017	EVANS, SANDRA	TRANSAMERICA TACTICAL INCOME C	0.00	4.69	0.00	4.69	95.0	4.46
10/03/2017	EVANS, ROBERT	TRANSAMERICA TACTICAL INCOME C	0.00	5.63	0.00	5.63	95.0	5.35
10/03/2017	KAWALA, CHRISTINA	TRANSAMERICA TACTICAL INCOME C	0.00	3.13	0.00	3.13	95.0	2.97
10/03/2017	PIZZO, ROSOLINO	TRANSAMERICA WMC DIV EQUITY C	0.00	1.86	0.00	1.86	95.0	1.77
* MUTUAL FUNDS SUBTOTAL *			\$10,623.46	\$8,573.20	\$0.00	\$8,573.20		\$8,144.81
<u>PRODUCT CATEGORY: VARIABLE ANNUITIES</u>								
09/30/2017	BERTRAND, C JERRY	JNL ELITE ACCESS	57,956.91	31.39	0.00	31.39	95.0	29.82
09/30/2017	MELTZER, CLARENCE	JNL PERSPECTIVE ADVANTAGE	24,342.32	20.29	0.00	20.29	95.0	19.28
09/30/2017	COVYEAU, FREDERICK J & B	JNL PERSPECTIVE II	98,698.86	41.12	0.00	41.12	95.0	39.06
09/30/2017	JEANNETTE, JUSTIN	JNL PERSPECTIVE II 05/05	490.00	0.41	0.00	0.41	95.0	0.39
09/30/2017	KOSCIELSKI, RONALD	JNL PERSPECTIVE II 05/05	28,244.53	11.77	0.00	11.77	95.0	11.18
09/30/2017	CROSS, LINDA	JNL PERSPECTIVE II 05/05	6,123.65	2.55	0.00	2.55	95.0	2.42
09/30/2017	MAGGARD, LORETTA	JNL PERSPECTIVE II 05/05	45,823.90	19.09	0.00	19.09	95.0	18.14
09/30/2017	RANG, MARILYN	JNL PERSPECTIVE II 05/05	73,965.65	30.82	0.00	30.82	95.0	29.28
09/30/2017	MCDONALD, GLENN	JNL PERSPECTIVE II 05/05	176,418.34	73.51	0.00	73.51	95.0	69.83
09/30/2017	KEELER, SUSAN	JNL PERSPECTIVE II 05/05	129,157.76	53.82	0.00	53.82	95.0	51.13
09/30/2017	PIROZZO, PETER	JNL PERSPECTIVE L	53,273.31	57.71	0.00	57.71	95.0	54.82
09/30/2017	LEGGE, GERALD	JNL PERSPECTIVE L	304,254.84	329.61	0.00	329.61	95.0	313.13
09/30/2017	DIEM, LINDA	JOHN HANCOCK VENTURE	645.30	0.13	0.00	0.13	95.0	0.12
09/30/2017	SCERBAK, EILEEN	JOHN HANCOCK VENTURE	47,927.53	9.98	0.00	9.98	95.0	9.48
09/30/2017	TYMCZY, MARY JANE	JOHN HANCOCK VENTURE	7,464.98	1.56	0.00	1.56	95.0	1.48

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<u>BROKER TRANSACTIONS</u>								
PRODUCT CATEGORY: VARIABLE ANNUITIES								
09/30/2017	DANIEL, SABRINA	JOHN HANCOCK VENTURE	316.70	0.07	0.00	0.07	95.0	0.07
09/30/2017	ZUPP, ELEANOR	NATIONWIDE BOA FUTURE II 32	18,792.09	46.98	0.00	46.98	95.0	44.63
09/30/2017	MIKLEVICH, MICHAEL	PRU AS ADVISOR PLAN - 1993	71,891.30	44.93	0.00	44.93	95.0	42.68
09/30/2017	O'CONNOR, FRANCIS	PRU AS ADVISOR PLAN - 1993	12,774.48	7.98	0.00	7.98	95.0	7.58
09/30/2017	HILDEBRAND, CHRISTINE	PRU AS ADVISOR PLAN - 1993	19,878.16	12.42	0.00	12.42	95.0	11.80
09/30/2017	WEHLER, MARY ANN	PRU AS ADVISOR PLAN - 1993	42,469.58	26.54	0.00	26.54	95.0	25.21
09/30/2017	AVOURIS, TIMOTHY	PRU AS ADVISOR PLAN II - 1996	55,821.19	34.89	0.00	34.89	95.0	33.15
09/30/2017	CAVERLY, KEVIN	PRU AS ADVISOR PLAN II - 1996	3,952.35	2.47	0.00	2.47	95.0	2.35
09/30/2017	HATHAWAY, DEBORAH	PRU AS ADVISOR PLAN II - 1996	2,976.10	1.86	0.00	1.86	95.0	1.77
09/30/2017	POLENYCHKO, SHIRLEY	PRU AS APEX II	15,582.66	38.96	0.00	38.96	95.0	37.01
09/30/2017	POLENYCHKO, SHIRLEY	PRU AS APEX II	15,582.66	9.74	0.00	9.74	95.0	9.25
09/30/2017	HAZARD, JOHN	PRU AS APEX II	90,353.26	225.88	0.00	225.88	95.0	214.59
09/30/2017	HAZARD, JOHN	PRU AS APEX II	90,353.26	56.47	0.00	56.47	95.0	53.65
09/30/2017	SOBIESKI, JOYCE	PRU AS LIFEVEST II	19,109.98	11.94	0.00	11.94	95.0	11.34
09/30/2017	SOBIESKI, JOYCE	PRU AS LIFEVEST II	19,109.98	35.83	0.00	35.83	95.0	34.04
09/30/2017	YANIS, ROSANN	PRU AS LIFEVEST II	44,656.25	27.91	0.00	27.91	95.0	26.51
09/30/2017	YANIS, ROSANN	PRU AS LIFEVEST II	44,656.25	83.73	0.00	83.73	95.0	79.54
09/30/2017	WETZEL, WILLIAM	PRU AS LIFEVEST II	32,914.02	20.57	0.00	20.57	95.0	19.54
09/30/2017	WETZEL, WILLIAM	PRU AS LIFEVEST II	32,914.02	61.71	0.00	61.71	95.0	58.62
09/30/2017	HOVIS, BARBARA	PRU AS LIFEVEST II	11,464.83	7.17	0.00	7.17	95.0	6.81
09/30/2017	HOVIS, BARBARA	PRU AS LIFEVEST II	11,464.83	21.50	0.00	21.50	95.0	20.43
09/30/2017	BLANKENSHIP, JANET	PRU AS LIFEVEST II	228,027.00	142.52	0.00	142.52	95.0	135.39
09/30/2017	BLANKENSHIP, JANET	PRU AS LIFEVEST II	228,027.00	427.55	0.00	427.55	95.0	406.17
09/30/2017	LOURIA, PHYLLIS	PRU AS LIFEVEST II	38,448.02	24.03	0.00	24.03	95.0	22.83
09/30/2017	LOURIA, PHYLLIS	PRU AS LIFEVEST II	38,448.02	72.09	0.00	72.09	95.0	68.49
09/30/2017	MERRITT, MARY LOU	PRU AS LIFEVEST II	113,573.61	70.98	0.00	70.98	95.0	67.43
09/30/2017	MERRITT, MARY LOU	PRU AS LIFEVEST II	113,573.61	212.95	0.00	212.95	95.0	202.30
09/30/2017	SARKISIAN, NORAY	PRU AS LIFEVEST II	68,614.89	42.88	0.00	42.88	95.0	40.74
09/30/2017	SARKISIAN, NORAY	PRU AS LIFEVEST II	68,614.89	128.65	0.00	128.65	95.0	122.22
09/30/2017	KOZIKOWSKI, TERRY	PRU AS XTRA CREDIT SIX	122,126.27	76.33	0.00	76.33	95.0	72.51
09/30/2017	KOZIKOWSKI, TERRY	PRU AS XTRA CREDIT SIX	122,126.27	76.33	0.00	76.33	95.0	72.51
09/30/2017	JEFFRIES, BARBARA	PRU AS XTRA CREDIT SIX	179,787.97	112.37	0.00	112.37	95.0	106.75
09/30/2017	JEFFRIES, BARBARA	PRU AS XTRA CREDIT SIX	179,787.97	112.37	0.00	112.37	95.0	106.75

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: VARIABLE ANNUITIES</u>								
09/30/2017	DALTON, GRACE	PRU AS XTRA CREDIT SIX	84,332.15	52.71	0.00	52.71	95.0	50.07
09/30/2017	DALTON, GRACE	PRU AS XTRA CREDIT SIX	84,332.15	52.71	0.00	52.71	95.0	50.07
09/30/2017	HOOTNER-JONES, ANN	PRU AS XTRA CREDIT SIX	153,363.68	95.85	0.00	95.85	95.0	91.06
09/30/2017	HOOTNER-JONES, ANN	PRU AS XTRA CREDIT SIX	153,363.68	95.85	0.00	95.85	95.0	91.06
09/30/2017	BELLINGER, VICKIE	PRU AS XTRA CREDIT SIX	367,684.14	229.80	0.00	229.80	95.0	218.31
09/30/2017	BELLINGER, VICKIE	PRU AS XTRA CREDIT SIX	367,684.14	229.80	0.00	229.80	95.0	218.31
09/30/2017	VOGEL, KEITH	PRU AS XTRA CREDIT SIX	28,905.64	18.07	0.00	18.07	95.0	17.17
09/30/2017	VOGEL, KEITH	PRU AS XTRA CREDIT SIX	28,905.64	18.07	0.00	18.07	95.0	17.17
09/30/2017	BAUMGART, ROY MARK	PRU AS XTRA CREDIT SIX	157,830.26	98.64	0.00	98.64	95.0	93.71
09/30/2017	BAUMGART, ROY MARK	PRU AS XTRA CREDIT SIX	157,830.26	98.64	0.00	98.64	95.0	93.71
09/30/2017	MCDONALD, VICKI	PRU AS XTRA CREDIT SIX	26,835.07	16.77	0.00	16.77	95.0	15.93
09/30/2017	MCDONALD, VICKI	PRU AS XTRA CREDIT SIX	26,835.07	16.77	0.00	16.77	95.0	15.93
09/30/2017	MCDONALD, CRAIG	PRU AS XTRA CREDIT SIX	22,038.59	13.77	0.00	13.77	95.0	13.08
09/30/2017	MCDONALD, CRAIG	PRU AS XTRA CREDIT SIX	22,038.59	13.77	0.00	13.77	95.0	13.08
09/30/2017	O'CONNOR, FRANCIS	PRU AS XTRA CREDIT SIX	27,717.49	17.32	0.00	17.32	95.0	16.45
09/30/2017	O'CONNOR, FRANCIS	PRU AS XTRA CREDIT SIX	27,717.49	17.32	0.00	17.32	95.0	16.45
09/30/2017	RIOS-DORIA, H	PRU AS XTRA CREDIT SIX	58,168.94	36.36	0.00	36.36	95.0	34.54
09/30/2017	RIOS-DORIA, H	PRU AS XTRA CREDIT SIX	58,168.94	36.36	0.00	36.36	95.0	34.54
09/30/2017	BUSZEK, PAUL	PRU AS XTRA CREDIT SIX	30,878.95	19.30	0.00	19.30	95.0	18.34
09/30/2017	BUSZEK, PAUL	PRU AS XTRA CREDIT SIX	30,878.95	19.30	0.00	19.30	95.0	18.34
09/30/2017	TAMM, JAMES	PRU AS XTRA CREDIT SIX	9,998.05	6.25	0.00	6.25	95.0	5.94
09/30/2017	TAMM, JAMES	PRU AS XTRA CREDIT SIX	9,998.05	6.25	0.00	6.25	95.0	5.94
09/30/2017	BAKER, GENE	PRU AS XTRA CREDIT SIX	219,823.38	137.39	0.00	137.39	95.0	130.52
09/30/2017	BAKER, GENE	PRU AS XTRA CREDIT SIX	219,823.38	137.39	0.00	137.39	95.0	130.52
09/30/2017	CHEUNG, EDWARD	PRU AS XTRA CREDIT SIX	321,329.84	200.83	0.00	200.83	95.0	190.79
09/30/2017	CHEUNG, EDWARD	PRU AS XTRA CREDIT SIX	321,329.84	200.83	0.00	200.83	95.0	190.79
09/30/2017	KAWALA, CHRISTINA	PRU AS XTRA CREDIT SIX	127,615.16	79.76	0.00	79.76	95.0	75.77
09/30/2017	KAWALA, CHRISTINA	PRU AS XTRA CREDIT SIX	127,615.16	79.76	0.00	79.76	95.0	75.77
09/30/2017	THOMSON, DOUGLAS	PRU AS XTRA CREDIT SIX	61,472.51	38.42	0.00	38.42	95.0	36.50
09/30/2017	THOMSON, DOUGLAS	PRU AS XTRA CREDIT SIX	61,472.51	38.42	0.00	38.42	95.0	36.50
09/30/2017	AMMAN, KATHLEEN	PRU AS XTRA CREDIT SIX	86,289.42	53.93	0.00	53.93	95.0	51.23
09/30/2017	AMMAN, KATHLEEN	PRU AS XTRA CREDIT SIX	86,289.42	53.93	0.00	53.93	95.0	51.23
09/30/2017	SIMONY, JOAN	PRU AS XTRA CREDIT SIX	142,785.57	89.24	0.00	89.24	95.0	84.78

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: VARIABLE ANNUITIES</u>								
09/30/2017	SIMONY, JOAN	PRU AS XTRA CREDIT SIX	142,785.57	89.24	0.00	89.24	95.0	84.78
09/30/2017	GEISLER, JUDY	PRU PREMIER RETIREMENT B	16,012.01	10.01	0.00	10.01	95.0	9.51
09/30/2017	WILLS, KELLEY	PRU PREMIER RETIREMENT B	152,617.72	95.39	0.00	95.39	95.0	90.62
09/30/2017	PARKE, WALTER	PRU PREMIER RETIREMENT B	108,333.42	67.71	0.00	67.71	95.0	64.32
09/30/2017	KEELER, SUSAN	PRU PREMIER RETIREMENT B	132,744.52	82.97	0.00	82.97	95.0	78.82
09/30/2017	MURPHY, PHILIP	PRU PREMIER RETIREMENT B	93,057.33	58.16	0.00	58.16	95.0	55.25
09/30/2017	POLANCE, BARBARA	PRU PREMIER RETIREMENT B	270,334.79	168.96	0.00	168.96	95.0	160.51
09/30/2017	HANSEN, SUSAN	PRU PREMIER RETIREMENT B	235,375.07	147.11	0.00	147.11	95.0	139.75
09/30/2017	GRAMMATICO, DENNIS	PRU PREMIER RETIREMENT B	661,212.72	413.26	0.00	413.26	95.0	392.60
09/30/2017	ANDERSON, JUDITH	PRU PREMIER RETIREMENT B	174,376.78	108.99	0.00	108.99	95.0	103.54
09/30/2017	SPEARY, LISA	PRU PREMIER RETIREMENT L	98,672.29	246.68	0.00	246.68	95.0	234.35
09/30/2017	RAONA, GARY	PRU PREMIER RETIREMENT L	10,266.75	25.67	0.00	25.67	95.0	24.39
09/30/2017	SCHROETER, MARY KAY	PRU PREMIER RETIREMENT L	165,383.18	413.46	0.00	413.46	95.0	392.79
09/30/2017	NICOLOSI, ROSE	PRU PREMIER RETIREMENT L	491,547.94	1,228.87	0.00	1,228.87	95.0	1,167.43
09/30/2017	MULRATH, JOHN	PRU PREMIER RETIREMENT L	157,322.71	393.31	0.00	393.31	95.0	373.64
09/30/2017	WAGNER, SHARON	PRU PREMIER RETIREMENT L	370,006.14	925.02	0.00	925.02	95.0	878.77
09/30/2017	WAGNER II, HARRY	PRU PREMIER RETIREMENT L	367,865.69	919.66	0.00	919.66	95.0	873.68
09/30/2017	OLSON, MELINDA	PRU PREMIER RETIREMENT X	133,219.48	83.26	0.00	83.26	95.0	79.10
09/30/2017	HENRY, JACQUELINE	PRU PREMIER RETIREMENT X	65,921.50	41.20	0.00	41.20	95.0	39.14
09/30/2017	DUNK, KATHLEEN	PRU PREMIER RETIREMENT X	40,418.66	25.26	0.00	25.26	95.0	24.00
09/30/2017	VOGEL, KEITH	PRU PREMIER RETIREMENT X	115,567.37	72.23	0.00	72.23	95.0	68.62
09/30/2017	TYNAN, SHELLEY	PRU PREMIER RETIREMENT X	86,411.83	54.01	0.00	54.01	95.0	51.31
09/30/2017	DEMAN, KENNETH	PRU PREMIER RETIREMENT X	89,611.52	56.01	0.00	56.01	95.0	53.21
09/30/2017	KNIGHT, SHARON	PRU PREMIER RETIREMENT X	97,520.09	60.95	0.00	60.95	95.0	57.90
09/30/2017	JOHNSON, RODNEY	PRU PREMIER RETIREMENT X	199,592.21	124.75	0.00	124.75	95.0	118.51
09/30/2017	FEWLESS, SCOTT	PRU PREMIER RETIREMENT X	20,196.79	12.62	0.00	12.62	95.0	11.99
09/30/2017	RANG, JAMES	PRU XTRA CREDIT EIGHT	99,756.80	62.35	0.00	62.35	95.0	59.23
09/30/2017	RANG, JAMES	PRU XTRA CREDIT EIGHT	99,756.80	124.70	0.00	124.70	95.0	118.47
09/30/2017	RYAN, JACK	PRU XTRA CREDIT EIGHT	58,019.84	36.26	0.00	36.26	95.0	34.45
09/30/2017	RYAN, JACK	PRU XTRA CREDIT EIGHT	58,019.84	72.52	0.00	72.52	95.0	68.89
09/30/2017	NACHAZEL, THOMAS	PRU XTRA CREDIT EIGHT	47,200.00	29.50	0.00	29.50	95.0	28.03
09/30/2017	NACHAZEL, THOMAS	PRU XTRA CREDIT EIGHT	47,200.00	59.00	0.00	59.00	95.0	56.05
09/04/2017	SCHROETER, RICHARD	TRANSAMERICA EXTRA	37,364.05	31.14	0.00	31.14	95.0	29.58

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: VARIABLE ANNUITIES</u>								
09/14/2017	GRUSH, ERNEST	TRANSAMERICA LANDMARK	147,704.52	123.09	0.00	123.09	95.0	116.94
09/30/2017	MADSEN, JOYCE	TRANSAMERICA LANDMARK	4,717.80	3.93	0.00	3.93	95.0	3.73
* VARIABLE ANNUITIES SUBTOTAL *			\$12,020,443.19	\$11,749.19	\$0.00	\$11,749.19		\$11,161.72
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
09/30/2017	CFGROUP, VARIOUS	DREYFUS	0.00	78.93	0.00	78.93	95.0	74.98
09/30/2017	CFGROUP, VARIOUS	DREYFUS	0.00	14.13	0.00	14.13	95.0	13.42
09/20/2017	WAGNER II TRUST, HARRY	GRIFFIN INST'L ACCESS R E FUND C	0.00	91.13	0.00	91.13	95.0	86.57
09/20/2017	WAGNER II TRUST, HARRY	GRIFFIN INST'L ACCESS R E FUND C	0.00	273.39	0.00	273.39	95.0	259.72
09/20/2017	FARRAR TRUST, CHARLES & KAREN	GRIFFIN INST'L ACCESS R E FUND C	0.00	44.51	0.00	44.51	95.0	42.28
09/20/2017	FARRAR TRUST, CHARLES & KAREN	GRIFFIN INST'L ACCESS R E FUND C	0.00	133.52	0.00	133.52	95.0	126.84
09/20/2017	ANDERSON, ARTHUR	GRIFFIN INST'L ACCESS R E FUND C	0.00	11.13	0.00	11.13	95.0	10.57
09/20/2017	ANDERSON, ARTHUR	GRIFFIN INST'L ACCESS R E FUND C	0.00	33.38	0.00	33.38	95.0	31.71
08/31/2017	CFGROUP, VARIOUS	VOYA TRAILS	0.00	3.38	0.00	3.38	95.0	3.21
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *			\$0.00	\$683.50	\$0.00	\$683.50		\$649.30
<u>PRODUCT CATEGORY: VARIABLE ANNUITY 12B1 TRAILS</u>								
09/30/2017	MORELLI, MARY	LFG TRAILS	0.00	150.34	0.00	150.34	95.0	142.82
09/30/2017	BAYLE, SUSAN	LFG TRAILS	0.00	3.45	0.00	3.45	95.0	3.28
09/22/2017	GREGORY, RICHARD	ING PREMIUM PLUS	0.00	14.20	0.00	14.20	95.0	13.49
* VARIABLE ANNUITY 12B1 TRAILS SUBTOTAL *			\$0.00	\$167.99	\$0.00	\$167.99		\$159.59
*** BROKER TRANSACTIONS TOTAL ***			\$12,581,786.88	\$62,197.77	\$0.00	\$62,197.77		\$59,088.13

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

09/12/2017	MARCOLA, THADDEUS	ALLIANCEBERNSTEIN LARGE CAP GROWTH	0.00	0.38	0.00	0.38	95.0	0.36
09/29/2017	ABULNAR, FRANK	ALLIANZ ALTERITY OPTIONS	81,173.93	101.47	0.00	101.47	95.0	96.40
09/29/2017	FORKIN, JOHN	ALLIANZ HIGH FIVE BONUS	187,117.16	233.90	0.00	233.90	95.0	222.21
09/29/2017	ROCCA, MARIA	ALLIANZ REWARDS TRADITIONAL	16,172.60	20.22	0.00	20.22	95.0	19.21
09/29/2017	LOPICCOLO, ARLENE	ALLIANZ VALUEMARK II	50,217.85	31.39	0.00	31.39	95.0	29.82
09/29/2017	LEVERETT, MONA	ALLIANZ VALUEMARK II	58,238.83	36.40	0.00	36.40	95.0	34.58
09/29/2017	SCAGLIONE, DIANA	ALLIANZ VALUEMARK III	105,437.00	65.90	0.00	65.90	95.0	62.61
09/29/2017	KRACHENFELS, EUGENE	ALLIANZ VISION BASIC	13,602.50	17.00	0.00	17.00	95.0	16.15

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<u>SPLIT TRANSACTIONS</u>								
BROKER: MARK KOSANKE #3								
09/12/2017	CAUL, MARTINA	AM FUNDS AMERICAN BALANCED A	0.00	0.21	0.00	0.21	95.0	0.20
09/12/2017	CAUL, MARTINA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	0.18	0.00	0.18	95.0	0.17
09/12/2017	GOOSSENS, LORI	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.51	0.00	2.51	95.0	2.38
09/12/2017	CAUL, MARTINA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.46	0.00	0.46	95.0	0.44
09/12/2017	SCULLY, DOROTHY	AM FUNDS ICA A	0.00	12.02	0.00	12.02	95.0	11.42
09/12/2017	MCCALL, JEFFREY	AM FUNDS SMALLCAP WORLD A	0.00	1.22	0.00	1.22	95.0	1.16
09/12/2017	DENNIS, STEVEN	AM FUNDS SMALLCAP WORLD A	0.00	6.44	0.00	6.44	95.0	6.12
09/12/2017	MILLER, JOSEPH	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.56	0.00	1.56	95.0	1.48
09/12/2017	MILLER, JOSEPH	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.56	0.00	1.56	95.0	1.48
09/12/2017	DENNIS, STEVEN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	5.20	0.00	5.20	95.0	4.94
09/27/2017	KEELER, SUSAN	BLUEROCK RESIDENTIAL GROWTH REIT IN	7,650.13	22.00	14.00	8.00	95.0	7.60
09/27/2017	OBIE, MARCIA	CHEMOURS CO COM	1,165.24	22.00	14.00	8.00	95.0	7.60
09/27/2017	OBIE, MARCIA	COCA COLA COMPANY	10,472.78	75.00	14.00	61.00	95.0	57.95
09/21/2017	WINKWORTH TRUST, EDWIN	COLUMBIA PPTY TR INC COM NEW	21,360.10	901.00	14.00	887.00	95.0	842.65
09/12/2017	NICOLOSI, ROSE	COLUMBIA SELIGMAN COMM AND INFO A	0.00	2.40	0.00	2.40	95.0	2.28
09/12/2017	DENNIS, STEVEN	DAVIS NEW YORK VENTURE A	0.00	16.02	0.00	16.02	95.0	15.22
09/12/2017	KNOCH JR, WALTER	DAVIS NEW YORK VENTURE A	0.00	9.96	0.00	9.96	95.0	9.46
09/12/2017	HENKEL, JAMES	DREYFUS HIGH YIELD A	0.00	0.61	0.00	0.61	95.0	0.58
09/12/2017	HENKEL, JAMES	EATON VANCE HIGH INCOME OPPORTUNITI	0.00	0.86	0.00	0.86	95.0	0.82
09/12/2017	ADAMS, ERIK	FEDERATED HIGH INCOME BOND FUND INC	0.00	0.77	0.00	0.77	95.0	0.73
09/12/2017	ADAMS, ERIK	FEDERATED MARKET OPPORTUNITY A	0.00	2.33	0.00	2.33	95.0	2.21
09/12/2017	GARCIA-SANTOS, VICKY	FIRST EAGLE GLOBAL FUND CL A	0.00	7.23	0.00	7.23	95.0	6.87
09/27/2017	OBIE, MARCIA	FORD MOTOR CO DEL COM PAR	2,236.71	23.00	14.00	9.00	95.0	8.55
09/30/2017	KRASS, DELORES	JNL PERSPECTIVE REWARDS	16,039.20	3.34	0.00	3.34	95.0	3.17
09/30/2017	PRITCHETT, EARL	NATIONWIDE MARKETFLEX	36,877.81	23.05	0.00	23.05	95.0	21.90
09/12/2017	BROUSE, SARAH	OPPENHEIMER PORT SERIES ACTIVE ALLO	0.00	0.75	0.00	0.75	95.0	0.71
09/21/2017	WINKWORTH TRUST, EDWIN	PIEDMONT OFFICE RLTY TR INC COM CL	174,713.21	5,250.00	14.00	5,236.00	95.0	4,974.20
09/27/2017	OBIE, MARCIA	PROTEK CAP INC COM	156.89	22.00	14.00	8.00	95.0	7.60
09/12/2017	ADAMS, TONJA	PUTNAM INTERNATIONAL VALUE-A	0.00	0.28	0.00	0.28	95.0	0.27
09/22/2017	DINKA, JOHN	RETAIL PPTYS AMER INC CL A	93,923.80	940.00	14.00	926.00	95.0	879.70
10/03/2017	MOORE, LOUIS	TRANSAMERICA AA MODERATE C	0.00	28.94	0.00	28.94	95.0	27.49
09/26/2017	HOSKIN, JOHN	VICTORY CAPITAL MANAGEMENT	0.00	0.67	0.00	0.67	95.0	0.64
09/26/2017	MARCOLA, ERIKA	VICTORY CAPITAL MANAGEMENT	0.00	1.07	0.00	1.07	95.0	1.02

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<u>SPLIT TRANSACTIONS</u>								
<u>BROKER: J117-PETE/JOAN JOHNSON/FLAM #19</u>								
		* MARK KOSANKE SUBTOTAL *	\$876,555.74	\$7,891.30	\$112.00	\$7,779.30		\$7,390.35
<u>BROKER: J117-PETE/JOAN JOHNSON/FLAM #19</u>								
/ /	PRICOPIO, VANESSA	JH 529 COLLEGE PORT A	0.00	2.51	0.00	2.51	95.0	2.38
		* J117-PETE/JOAN JOHNSON/FLAM SUBTOTAL *	\$0.00	\$2.51	\$0.00	\$2.51		\$2.38
<u>BROKER: GROUP FLAM/BUSSELL #32</u>								
09/30/2017	M, OSIP	DELAWARE VALUE A	0.00	1.30	0.00	1.30	95.0	1.24
		* GROUP FLAM/BUSSELL SUBTOTAL *	\$0.00	\$1.30	\$0.00	\$1.30		\$1.24
<u>BROKER: PETER JOHNSON #63</u>								
09/29/2017	SUCHYTA, MARY LEE	ALLIANZ VALUEMARK III	420,379.58	262.74	0.00	262.74	95.0	249.60
09/30/2017	ROSS, DAVID	DELAWARE HIGH YIELD OPP A	0.00	25.96	0.00	25.96	95.0	24.66
09/30/2017	KAPELN, J	DELAWARE TAX FREE USA A	0.00	8.90	0.00	8.90	95.0	8.46
09/30/2017	PAPPAS, JANE	DELAWARE VALUE A	0.00	6.40	0.00	6.40	95.0	6.08
09/30/2017	PAPPAS, LARRY	DELAWARE VALUE A	0.00	32.54	0.00	32.54	95.0	30.91
		* PETER JOHNSON SUBTOTAL *	\$420,379.58	\$336.54	\$0.00	\$336.54		\$319.71
		*** SPLIT TRANSACTIONS TOTAL ***	\$1,296,935.32	\$8,231.65	\$112.00	\$8,119.65		\$7,713.68
<u>VERRIDE TRANSACTIONS</u>								
<u>BROKER: FRANK DUNN #7</u>								
09/29/2017	WETHINGTON, JUDITH	HPI FUND V	25,000.00	1,500.00	0.00	1,500.00	90.0	75.00
09/29/2017	WETHINGTON JR, ROBERT	HPI FUND V	27,000.00	1,620.00	0.00	1,620.00	90.0	81.00
09/29/2017	WETHINGTON JR, ROBERT	HPI FUND V	78,000.00	4,680.00	0.00	4,680.00	90.0	234.00
		* FRANK DUNN SUBTOTAL *	\$130,000.00	\$7,800.00	\$0.00	\$7,800.00		\$390.00
<u>BROKER: 101 CFGROUP/KOSANKE #9</u>								
10/02/2017	STOLL, HEATHER	AM FUNDS CAPITAL WORLD GRTH & INC A	75.00	3.19	0.00	3.19	95.0	3.03
		* 101 CFGROUP/KOSANKE SUBTOTAL *	\$75.00	\$3.19	\$0.00	\$3.19		\$3.03
<u>BROKER: THOMAS SCHNEIDER #30</u>								
/ /	D&D TRAILER HAULING INC	PROFUNDS RISING RATES SVC	0.00	0.01	0.00	0.01	0.0	0.01
/ /	GREENE, DAVID	PROFUNDS RISING RATES SVC	0.00	0.01	0.00	0.01	0.0	0.01
/ /	D&D TRAILER HAULING INC	PROFUNDS RISING RATES SVC	0.00	0.03	0.00	0.03	0.0	0.03
/ /	GREENE, DAVID	PROFUNDS RISING RATES SVC	0.00	0.03	0.00	0.03	0.0	0.03

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<u> OVERRIDE TRANSACTIONS </u>								
<u> BROKER: THOMAS SCHNEIDER #30 </u>								
/ /	D&D TRAILER HAULING INC	PROFUNDS ULTRA SMALLCAP SVC	0.00	0.10	0.00	0.10	0.0	0.10
/ /	GREENE, DAVID	PROFUNDS ULTRA SMALLCAP SVC	0.00	0.10	0.00	0.10	0.0	0.10
/ /	D&D TRAILER HAULING INC	PROFUNDS ULTRA SMALLCAP SVC	0.00	0.29	0.00	0.29	0.0	0.29
/ /	GREENE, DAVID	PROFUNDS ULTRA SMALLCAP SVC	0.00	0.29	0.00	0.29	0.0	0.29
/ /	D&D TRAILER HAULING INC	PROFUNDS ULTRASHORT SMALLCAP SVC	0.00	0.02	0.00	0.02	0.0	0.02
/ /	GREENE, DAVID	PROFUNDS ULTRASHORT SMALLCAP SVC	0.00	0.02	0.00	0.02	0.0	0.02
/ /	D&D TRAILER HAULING INC	PROFUNDS ULTRASHORT SMALLCAP SVC	0.00	0.06	0.00	0.06	0.0	0.06
/ /	GREENE, DAVID	PROFUNDS ULTRASHORT SMALLCAP SVC	0.00	0.06	0.00	0.06	0.0	0.06
10/02/2017	O'CONNOR, TIMOTHY	PUTNAM EQUITY INCOME A	0.00	0.31	0.00	0.31	0.0	0.29
10/02/2017	O'CONNOR, TIMOTHY	PUTNAM EQUITY INCOME B	0.00	1.28	0.00	1.28	0.0	1.22
10/02/2017	O'CONNOR, TIMOTHY	PUTNAM INTERNATIONAL GROWTH-A	0.00	2.98	0.00	2.98	0.0	2.83
10/02/2017	O'CONNOR, TIMOTHY	PUTNAM MULTI CAP GROWTH A	0.00	3.20	0.00	3.20	0.0	3.04
10/02/2017	O'CONNOR, TIMOTHY	PUTNAM MULTI CAP GROWTH A	0.00	2.74	0.00	2.74	0.0	2.60
10/02/2017	O'CONNOR, TIMOTHY	PUTNAM MULTI-CAP GROWTH B	0.00	1.43	0.00	1.43	0.0	1.36
09/28/2017	SCHECK, VICTORIA	SBL ADVISOR PROGRAM	14,161.85	2.95	0.00	2.95	0.0	2.80
09/28/2017	KELLER, MICHELLE	SBL ADVISOR PROGRAM	27,888.77	5.81	0.00	5.81	0.0	5.52
09/28/2017	YOUNG, MARCIA	SBL ADVISOR PROGRAM	24,442.26	5.10	0.00	5.10	0.0	4.85
09/28/2017	HAWK, MARYBELLE	SBL ADVISORDESIGNS VA	7,916.59	1.64	0.00	1.64	0.0	1.56
09/28/2017	LITTRELL, REX	SBL ADVISORDESIGNS VA	6,726.32	1.40	0.00	1.40	0.0	1.33
09/28/2017	HAWK, MARYBELLE	SBL ADVISORDESIGNS VA	7,696.90	1.60	0.00	1.60	0.0	1.52
09/28/2017	HAWK, DUANE	SBL ADVISORDESIGNS VA	3,713.74	0.77	0.00	0.77	0.0	0.73
09/28/2017	DEFRANCESCO, MARY	SBL ADVISORDESIGNS VA	8,088.93	1.68	0.00	1.68	0.0	1.60
09/28/2017	FULTON, JOHN	SBL ADVISORDESIGNS VA	8,432.40	1.76	0.00	1.76	0.0	1.67
09/28/2017	BABIN, WILLIAM	SBL ADVISORDESIGNS VA	134,077.01	27.93	0.00	27.93	0.0	26.53
09/28/2017	BAKER, MARILYN	SBL ADVISORDESIGNS VA	6,896.89	1.43	0.00	1.43	0.0	1.36
09/28/2017	GREGORY, RICHARD	SBL ADVISORDESIGNS VA	8,445.94	1.76	0.00	1.76	0.0	1.67
09/28/2017	HAWK, GLENN	SBL ADVISORDESIGNS VA	5,879.71	1.23	0.00	1.23	0.0	1.17
09/28/2017	KUBAN, JOANNE	SBL ADVISORDESIGNS VA	21,633.04	4.51	0.00	4.51	0.0	4.28
09/28/2017	DEFRANCESCO, STEVEN	SBL ADVISORDESIGNS VA	7,934.39	1.66	0.00	1.66	0.0	1.58
09/28/2017	HAWK, DUANE	SBL ADVISORDESIGNS VA	3,345.48	0.69	0.00	0.69	0.0	0.66
09/28/2017	GREGORY, CAROL	SBL ADVISORDESIGNS VA	29,240.87	6.09	0.00	6.09	0.0	5.79
09/28/2017	BAKER, MARILYN	SBL ADVISORDESIGNS VA	6,398.43	1.35	0.00	1.35	0.0	1.28
09/28/2017	HARTONG, DEAN	SBL ADVISORDESIGNS VA	12,941.82	2.69	0.00	2.69	0.0	2.56

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<u>VERRIDE TRANSACTIONS</u>								
<u>BROKER: THOMAS SCHNEIDER #30</u>								
09/28/2017	MCCRANN, JAMES	SBL ADVISORDESIGNS VA	6,199.73	1.29	0.00	1.29	0.0	1.23
		* THOMAS SCHNEIDER SUBTOTAL *	\$352,061.07	\$86.30	\$0.00	\$86.30		\$82.05
		*** OVERRIDE TRANSACTIONS TOTAL ***	\$482,136.07	\$7,889.49	\$0.00	\$7,889.49		\$475.08

BROKER COMMISSION TOTALS

Broker Transactions	\$59,088.13
Split Transactions	\$7,713.68
Override Transactions	\$475.08
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	\$67,276.89
Year-to-date Gross	\$363,783.85
Year-to-date Earnings	\$351,143.39

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