



Concorde Investment Services, LLC

02/14/2017
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COMMISSION STATEMENT **February 15, 2017**

DAVID ZUPEK
6226 Bankers Rd.
Ste. 4
Racine, WI 53403

BROKER #: Z116
BRANCH: TADA WEALTH ADVISORS

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>BROKER TRANSACTIONS</u>								
PRODUCT CATEGORY: VARIABLE ANNUITIES								
02/02/2017	MAASS EXCAVAT	GWL NET ASSET VALUE 401K	1,334,239.13	566.59	0.00	566.59	90.0	509.93
01/31/2017	SHELDON, MARK	JNL PERSPECTIVE ADV II 5/05	14,425.76	15.03	0.00	15.03	90.0	13.53
01/31/2017	DEHAHN, RAYMOND	JNL PERSPECTIVE ADV II 5/05	44,926.81	37.44	0.00	37.44	90.0	33.70
01/31/2017	JOHNSON, ROBERT	JNL PERSPECTIVE FOCUS	54,711.27	45.59	0.00	45.59	90.0	41.03
01/31/2017	HARTGERINK, BRETT	JNL PERSPECTIVE II 04/14	104,234.89	21.72	0.00	21.72	90.0	19.55
01/31/2017	INGHAM, LYNNE	JNL PERSPECTIVE II 05/05	14,899.77	6.21	0.00	6.21	90.0	5.59
01/31/2017	BELLAIRE, THOMAS	JNL PERSPECTIVE II 10/04	20,775.22	8.66	0.00	8.66	90.0	7.79
01/31/2017	DENNE, FRANCES	JNL PERSPECTIVE II 10/04	10,704.91	4.46	0.00	4.46	90.0	4.01
01/31/2017	HOSS, GAIL	JNL PERSPECTIVE L	67,295.18	72.90	0.00	72.90	90.0	65.61
01/31/2017	JEANQUART, ROBERT	JNL PERSPECTIVE L	6,388.52	6.92	0.00	6.92	90.0	6.23
01/31/2017	PECKMAN, MARCIA	JNL PERSPECTIVE L	84,581.80	91.63	0.00	91.63	90.0	82.47
01/31/2017	HOOTEN, ROBERT	JNL PERSPECTIVE L	31,737.89	34.38	0.00	34.38	90.0	30.94
01/31/2017	KAEDING, HAROLD	JNL PERSPECTIVE L	67,667.04	56.39	0.00	56.39	90.0	50.75
01/31/2017	BABICKY, SHERRY	JNL PERSPECTIVE L	51,914.96	60.57	0.00	60.57	90.0	54.51
01/31/2017	MCFADDEN, JAMES	JNL PERSPECTIVE L	154,684.37	180.47	0.00	180.47	90.0	162.42
01/31/2017	TASKONIS, RICHARD	JNL PERSPECTIVE L	121,734.32	142.02	0.00	142.02	90.0	127.82
01/31/2017	BABICKY, SHERRY	JNL PERSPECTIVE L	40,423.11	47.16	0.00	47.16	90.0	42.44
01/31/2017	EDQUIST, BETTY	JNL PERSPECTIVE L	42,552.33	35.46	0.00	35.46	90.0	31.91
01/31/2017	FLETCHER, JEWEL	JNL PERSPECTIVE L	24,782.86	20.65	0.00	20.65	90.0	18.59
01/31/2017	SMITH, BETTY	JNL PERSPECTIVE L	35,049.59	40.89	0.00	40.89	90.0	36.80
01/31/2017	NONDORF, DENNIS	JNL PERSPECTIVE L	15,728.99	13.11	0.00	13.11	90.0	11.80
01/31/2017	WILLIAMS, WARNER	JNL PERSPECTIVE L	42,250.71	35.21	0.00	35.21	90.0	31.69
01/31/2017	ZUPFER, CHARLES	JNL PERSPECTIVE L	30,155.90	25.13	0.00	25.13	90.0	22.62
01/31/2017	HUIZINGA, SHIRLEY	JNL PERSPECTIVE L	30,217.66	25.18	0.00	25.18	90.0	22.66
01/31/2017	SPERER, MARION	JNL PERSPECTIVE L	22,216.78	18.51	0.00	18.51	90.0	16.66
01/31/2017	VERBETEN, KAREN	JNL PERSPECTIVE L	8,680.80	10.13	0.00	10.13	90.0	9.12

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<u>BROKER TRANSACTIONS</u>								
PRODUCT CATEGORY: VARIABLE ANNUITIES								
01/31/2017	BOLAND, TERRENCE	JNL PERSPECTIVE L	21,885.43	25.53	0.00	25.53	90.0	22.98
01/31/2017	HARTGERINK, EDWARD	JNL PERSPECTIVE L	28,966.61	31.38	0.00	31.38	90.0	28.24
01/31/2017	HARTGERINK, EDWARD	JNL PERSPECTIVE L	27,149.77	29.41	0.00	29.41	90.0	26.47
01/31/2017	HARTGERINK, EDWARD	JNL PERSPECTIVE L	28,220.20	23.52	0.00	23.52	90.0	21.17
01/31/2017	BODVEN, BRUCE	JNL PERSPECTIVE L	51,224.20	59.76	0.00	59.76	90.0	53.78
01/31/2017	PAULICK, BERNARD	JNL PERSPECTIVE L	137,254.52	114.38	0.00	114.38	90.0	102.94
01/31/2017	SORENSEN SR, ROBERT	JNL PERSPECTIVE L	129,159.19	107.63	0.00	107.63	90.0	96.87
01/31/2017	RACK, JOAN	JNL PERSPECTIVE L	131,725.51	142.70	0.00	142.70	90.0	128.43
01/31/2017	HUIZINGA, SHIRLEY	JNL PERSPECTIVE L	97,740.86	81.45	0.00	81.45	90.0	73.31
01/31/2017	INGHAM, LYNNE	JNL PERSPECTIVE L	70,492.73	58.74	0.00	58.74	90.0	52.87
01/31/2017	SORENSEN SR, ROBERT	JNL PERSPECTIVE L	156,879.13	130.73	0.00	130.73	90.0	117.66
01/31/2017	CRAWFORD, TIMOTHY	JNL PERSPECTIVE L	189,706.72	158.09	0.00	158.09	90.0	142.28
01/31/2017	WELLMAN, JAMES	JNL PERSPECTIVE L	53,264.52	62.14	0.00	62.14	90.0	55.93
01/31/2017	CRAWFORD, JEANNE	JNL PERSPECTIVE L	92,980.37	108.48	0.00	108.48	90.0	97.63
01/31/2017	THOMPSON, CAROL	JNL PERSPECTIVE L	72,700.05	60.58	0.00	60.58	90.0	54.52
01/31/2017	SHELDON, SUSAN	JNL PERSPECTIVE L	46,636.81	38.86	0.00	38.86	90.0	34.97
01/31/2017	SHELDON, MARK	JNL PERSPECTIVE L	90,694.11	105.81	0.00	105.81	90.0	95.23
01/31/2017	FIEHWEG-CARTWRIGHT, LISA	JNL PERSPECTIVE L	379,442.14	316.20	0.00	316.20	90.0	284.58
01/31/2017	PERONE, PASQUALE	JNL PERSPECTIVE L	598,259.28	697.97	0.00	697.97	90.0	628.17
01/31/2017	PECKMAN, ROGER	JNL PERSPECTIVE L	132,018.15	154.02	0.00	154.02	90.0	138.62
01/31/2017	RUFFOLO, BENNY	JNL PERSPECTIVE L	99,941.59	116.60	0.00	116.60	90.0	104.94
01/31/2017	ZUPEK, DAVID	JNL PERSPECTIVE L	207,124.80	241.65	0.00	241.65	90.0	217.49
01/31/2017	FALBO, DIANE	JNL PERSPECTIVE L	614,469.90	716.88	0.00	716.88	90.0	645.19
01/31/2017	GAFKA, PHILIP	JNL PERSPECTIVE L	177,914.52	207.57	0.00	207.57	90.0	186.81
01/31/2017	GAFKA, PHILIP	JNL PERSPECTIVE L	333,079.28	388.59	0.00	388.59	90.0	349.73
01/31/2017	HARRIS, BILLY	JNL PERSPECTIVE L	258,116.32	301.14	0.00	301.14	90.0	271.03
01/31/2017	HEBERLING, DONALD	JNL PERSPECTIVE L	21,960.08	18.30	0.00	18.30	90.0	16.47
01/31/2017	WAYO, DARLENE	JNL PERSPECTIVE L	66,539.36	55.45	0.00	55.45	90.0	49.91
01/31/2017	HOSS, GAIL	JNL PERSPECTIVE L	69,447.74	81.02	0.00	81.02	90.0	72.92
01/31/2017	ELMER, HARVEY	JNL PERSPECTIVE L	63,913.84	53.26	0.00	53.26	90.0	47.93
01/31/2017	MUELLER, ROMAYNE	JNL PERSPECTIVE L	55,069.85	45.89	0.00	45.89	90.0	41.30
01/31/2017	PETERSEN, THOMAS	JNL PERSPECTIVE L	101,646.29	84.71	0.00	84.71	90.0	76.24
01/31/2017	STARK, GLORIA	JNL PERSPECTIVE L	58,400.05	48.67	0.00	48.67	90.0	43.80

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: VARIABLE ANNUITIES</u>								
01/31/2017	SMITHANA, MARGARET	JNL PERSPECTIVE L	224,098.99	186.75	0.00	186.75	90.0	168.08
01/31/2017	GIBSON, ROBERT	JNL PERSPECTIVE L	285,980.10	238.32	0.00	238.32	90.0	214.49
01/31/2017	MCFADDEN, JAMES	JNL PERSPECTIVE L	28,329.12	23.61	0.00	23.61	90.0	21.25
01/31/2017	KELLOGG, MICHAEL	JNL PERSPECTIVE L	204,733.86	170.61	0.00	170.61	90.0	153.55
01/31/2017	COTE, WILLIAM	JNL PERSPECTIVE L	86,287.33	71.91	0.00	71.91	90.0	64.72
01/31/2017	BIRKHOLZ, GAY	JNL PERSPECTIVE L	102,511.23	85.43	0.00	85.43	90.0	76.89
01/31/2017	HORNACEK, JOSEPH	JNL PERSPECTIVE L	363,255.71	423.80	0.00	423.80	90.0	381.42
01/31/2017	HALL, MICHAEL	JNL PERSPECTIVE L	119,729.49	99.77	0.00	99.77	90.0	89.79
01/31/2017	BARRETT, PERRY	JNL PERSPECTIVE L	141,290.45	117.74	0.00	117.74	90.0	105.97
01/31/2017	ZUPFER, JO	JNL PERSPECTIVE L	84,776.86	70.65	0.00	70.65	90.0	63.59
01/31/2017	BECKER, JOHN	JNL PERSPECTIVE L	111,893.85	93.24	0.00	93.24	90.0	83.92
01/31/2017	BECKER, JOHN	JNL PERSPECTIVE L	139,032.95	115.86	0.00	115.86	90.0	104.27
01/31/2017	HALL, MICHAEL	JNL PERSPECTIVE L	121,260.91	101.05	0.00	101.05	90.0	90.95
01/31/2017	BAHR, JEFFREY	JNL PERSPECTIVE L	112,227.82	93.52	0.00	93.52	90.0	84.17
01/23/2017	ROGERS, WILMA	RELIASTAR LIFE PROTECTOR ELITE	1,750.00	35.00	0.00	35.00	90.0	31.50
* VARIABLE ANNUITIES SUBTOTAL *			\$9,268,163.16	\$8,416.78	\$0.00	\$8,416.78		\$7,575.14
<u>PRODUCT CATEGORY: VARIABLE ANNUITY 12B1 TRAILS</u>								
01/26/2017	PELLIZZARI, FRANK	ING LANDMARK	0.00	69.26	0.00	69.26	90.0	62.33
01/29/2017	UHLENHAKE, LORALEE	ING PREMIUM PLUS 2005	0.00	7.21	0.00	7.21	90.0	6.49
* VARIABLE ANNUITY 12B1 TRAILS SUBTOTAL *			\$0.00	\$76.47	\$0.00	\$76.47		\$68.82
*** BROKER TRANSACTIONS TOTAL ***			\$9,268,163.16	\$8,493.25	\$0.00	\$8,493.25		\$7,643.96

SPLIT TRANSACTIONS**BROKER: R127-RICH/MARK/HALIN RODRIG/HUBER/W #172**

02/07/2017	WIKAR, HALINA	MFS BLENDED RESEARCH CORE C	11.89	0.04	0.00	0.04	90.0	0.04
02/07/2017	WIKAR, HALINA	MFS BLENDED RESEARCH CORE C	65.00	0.23	0.00	0.23	90.0	0.21
02/06/2017	LOWISZ, WLADYSLAWA	MFS CONSERVATIVE ALLOCATION B	220.00	3.08	0.00	3.08	90.0	2.77
02/06/2017	LOWISZ, WLADYSLAWA	MFS EMERGING MARKETS DEBT FUND B	220.00	3.08	0.00	3.08	90.0	2.77
02/07/2017	SZAJEWSKI, REGINA	MFS GLOBAL TOTAL RETURN FUND-B	149.19	2.09	0.00	2.09	90.0	1.88
02/07/2017	SZAJEWSKI, REGINA	MFS GLOBAL TOTAL RETURN FUND-B	22.38	0.32	0.00	0.32	90.0	0.29
02/06/2017	CHOWANIEC, WOJCIECH	MFS GROWTH ALLOCATION 529C	200.00	0.70	0.00	0.70	90.0	0.63
02/07/2017	WIKAR, SYLVIA	MFS GROWTH ALLOCATION B	15.91	0.22	0.00	0.22	90.0	0.20

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<u>SPLIT TRANSACTIONS</u>								
BROKER: R127-RICH/MARK/HALIN RODRIG/HUBER/W #172								
02/07/2017	WIKAR, SYLVIA	MFS GROWTH ALLOCATION B	26.50	0.37	0.00	0.37	90.0	0.33
02/07/2017	SZAJEWSKI, REGINA	MFS GROWTH ALLOCATION B	149.19	2.09	0.00	2.09	90.0	1.88
02/07/2017	SZAJEWSKI, REGINA	MFS GROWTH ALLOCATION B	22.38	0.32	0.00	0.32	90.0	0.29
02/07/2017	WIKAR, HALINA	MFS GROWTH C	65.00	0.23	0.00	0.23	90.0	0.21
02/07/2017	WIKAR, HALINA	MFS GROWTH C	11.89	0.04	0.00	0.04	90.0	0.04
02/06/2017	CHOWANIEC (A MINOR), MICHAL	MFS INTERNATIOANL DEVERSIFICATION F	50.00	0.70	0.00	0.70	90.0	0.63
02/06/2017	CHOWANIEC (A MINOR), PAULINA	MFS INTERNATIOANL DEVERSIFICATION F	50.00	0.70	0.00	0.70	90.0	0.63
02/07/2017	WIKAR, SYLVIA	MFS INTERNATIOANL DEVERSIFICATION F	15.90	0.22	0.00	0.22	90.0	0.20
02/07/2017	WIKAR, SYLVIA	MFS INTERNATIOANL DEVERSIFICATION F	26.51	0.37	0.00	0.37	90.0	0.33
02/07/2017	WIKAR, HALINA	MFS LOW VOLATILITY EQUITY FUND C	390.00	1.37	0.00	1.37	90.0	1.23
02/07/2017	WIKAR, HALINA	MFS LOW VOLATILITY EQUITY FUND C	71.30	0.25	0.00	0.25	90.0	0.23
02/06/2017	LOWISZ, WLADYSLAWA	MFS MODERATE ALLOCATION B	220.00	3.08	0.00	3.08	90.0	2.77
02/07/2017	WIKAR, HALINA	MFS NEW DISCOVERY VALUE FUND C	130.00	0.46	0.00	0.46	90.0	0.41
02/07/2017	WIKAR, HALINA	MFS NEW DISCOVERY VALUE FUND C	23.77	0.08	0.00	0.08	90.0	0.07
02/06/2017	CHOWANIEC (A MINOR), MICHAL	MFS UTILITIES B	50.00	0.70	0.00	0.70	90.0	0.63
02/06/2017	CHOWANIEC (A MINOR), PAULINA	MFS UTILITIES B	50.00	0.70	0.00	0.70	90.0	0.63
02/06/2017	LOWISZ, WLADYSLAWA	MFS UTILITIES B	220.00	3.08	0.00	3.08	90.0	2.77
02/07/2017	WIKAR, SYLVIA	MFS UTILITIES B	15.90	0.22	0.00	0.22	90.0	0.20
02/07/2017	WIKAR, SYLVIA	MFS UTILITIES B	26.50	0.37	0.00	0.37	90.0	0.33
02/06/2017	CHOWANIEC (A MINOR), MICHAL	MFS VALUE B	50.00	0.70	0.00	0.70	90.0	0.63
02/06/2017	CHOWANIEC (A MINOR), PAULINA	MFS VALUE B	50.00	0.70	0.00	0.70	90.0	0.63
02/06/2017	LOWISZ, WLADYSLAWA	MFS VALUE B	220.00	3.08	0.00	3.08	90.0	2.77
02/07/2017	WIKAR, SYLVIA	MFS VALUE B	15.90	0.22	0.00	0.22	90.0	0.20
02/07/2017	WIKAR, SYLVIA	MFS VALUE B	26.50	0.37	0.00	0.37	90.0	0.33
02/07/2017	SZAJEWSKI, REGINA	MFS VALUE B	153.71	2.15	0.00	2.15	90.0	1.94
02/07/2017	SZAJEWSKI, REGINA	MFS VALUE B	23.06	0.32	0.00	0.32	90.0	0.29
01/17/2017	CHOWANIEC, WOJCIECH	PUTNAM 529 AGE-BASED 2014-A	200.00	3.50	0.00	3.50	90.0	3.15
01/10/2017	WIKAR, HALINA	UBT AGGRESSIVE AGE BASED 0-02-A	100.00	1.05	0.00	1.05	90.0	0.95
01/05/2017	MROCKOWSKI, AGNES	UBT AGGRESSIVE AGE BASED 09-10-A	100.00	1.05	0.00	1.05	90.0	0.95
* R127-RICH/MARK/HALIN RODRIG/HUBER/W SUBTOTAL *			\$3,458.38	\$38.25	\$0.00	\$38.25		\$34.44
*** SPLIT TRANSACTIONS TOTAL ***			\$3,458.38	\$38.25	\$0.00	\$38.25		\$34.44

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<u> OVERRIDE TRANSACTIONS </u>								
<u>BROKER: R122-RICHARD/MARK RODRIGUEZ/HUBER #90</u>								
02/07/2017	ARCIUCH, ARTUR	MFS EMERGING MARKETS EQUITY A	1,100.00	19.25	0.00	19.25	0.0	17.33
02/07/2017	ARCIUCH, ARTUR	MFS EMERGING MARKETS EQUITY A	237.70	4.16	0.00	4.16	0.0	3.74
* R122-RICHARD/MARK RODRIGUEZ/HUBER SUBTOTAL *			\$1,337.70	\$23.41	\$0.00	\$23.41		\$21.07
<u>BROKER: MICHAEL VENTURINI #127</u>								
01/31/2017	CAMPOLO, JON	JNL PERSPECTIVE L	20,798.22	17.33	0.00	17.33	0.0	15.60
01/31/2017	CAMPOLO, JUDITH	JNL PERSPECTIVE L	16,723.31	13.94	0.00	13.94	0.0	12.55
* MICHAEL VENTURINI SUBTOTAL *			\$37,521.53	\$31.27	\$0.00	\$31.27		\$28.15
<u>BROKER: DAVE/MIKE ZUPEK/VENTURINI #129</u>								
01/23/2017	THOMPSON, TERRY	AM FUNDS 2015 TARGET DATE A	125.00	2.50	0.00	2.50	0.0	2.25
01/23/2017	VASSH, LYNN	AM FUNDS FUNDAMENTAL INVESTORS C	17.00	0.17	0.00	0.17	0.0	0.15
01/23/2017	VASSH, LYNN	AM FUNDS GROWTH FUND OF AMERICA C	16.50	0.17	0.00	0.17	0.0	0.15
01/23/2017	VASSH, LYNN	AM FUNDS WASHINGTON MUTUAL INVESTOR	16.50	0.17	0.00	0.17	0.0	0.15
* DAVE/MIKE ZUPEK/VENTURINI SUBTOTAL *			\$175.00	\$3.01	\$0.00	\$3.01		\$2.70
<u>BROKER: WENDY GOODING #158</u>								
01/17/2017	WALLACE, STEVEN	JP MORGAN INVESTOR GRTH & INC C	100.00	1.00	0.00	1.00	0.0	0.35
* WENDY GOODING SUBTOTAL *			\$100.00	\$1.00	\$0.00	\$1.00		\$0.35
<u>BROKER: HALINA WIKAR #171</u>								
02/01/2017	KWAK, ANNA	MFS BLENDED RESEARCH CORE C	50.00	0.50	0.00	0.50	55.0	0.18
02/02/2017	KRELLER, KRYSTYNA	MFS BLENDED RESEARCH CORE C	40.00	0.40	0.00	0.40	55.0	0.14
02/07/2017	WAL, SEBASTIAN	MFS BLENDED RESEARCH CORE C	34.65	0.35	0.00	0.35	55.0	0.12
02/07/2017	WAL, SEBASTIAN	MFS BLENDED RESEARCH CORE C	115.50	1.16	0.00	1.16	55.0	0.41
02/07/2017	THOMAS, SYLVIA	MFS BLENDED RESEARCH CORE C	36.92	0.37	0.00	0.37	55.0	0.13
02/07/2017	THOMAS, SYLVIA	MFS BLENDED RESEARCH CORE C	22.15	0.22	0.00	0.22	55.0	0.08
01/27/2017	DZIEWIECKA, TERESA	MFS DIVERSIFIED INCOME FUND C	20.00	0.20	0.00	0.20	55.0	0.07
02/01/2017	KWAK, ANNA	MFS DIVERSIFIED INCOME FUND C	50.00	0.50	0.00	0.50	55.0	0.18
02/01/2017	KWAK, ANNA	MFS DIVERSIFIED INCOME FUND C	50.00	0.50	0.00	0.50	55.0	0.18
02/06/2017	DZIEWIECKA, TERESA	MFS DIVERSIFIED INCOME FUND C	20.00	0.20	0.00	0.20	55.0	0.07
02/07/2017	THOMAS, SYLVIA	MFS DIVERSIFIED INCOME FUND C	36.92	0.37	0.00	0.37	55.0	0.13
02/07/2017	THOMAS, SYLVIA	MFS DIVERSIFIED INCOME FUND C	22.15	0.22	0.00	0.22	55.0	0.08
02/07/2017	WAL, SEBASTIAN	MFS DIVERSIFIED INCOME FUND C	34.65	0.35	0.00	0.35	55.0	0.12
02/07/2017	WAL, SEBASTIAN	MFS DIVERSIFIED INCOME FUND C	115.50	1.16	0.00	1.16	55.0	0.41

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u> OVERRIDE TRANSACTIONS </u>								
<u> BROKER: HALINA WIKAR #171 </u>								
02/07/2017	WIKAR, HALINA	MFS DIVERSIFIED INCOME FUND C	130.00	1.30	0.00	1.30	55.0	0.46
02/07/2017	WIKAR, HALINA	MFS DIVERSIFIED INCOME FUND C	23.77	0.24	0.00	0.24	55.0	0.08
02/01/2017	ZAREBA, GRZEGORZ	MFS EMERGING MARKETS DEBT FUND B	50.00	2.00	0.00	2.00	55.0	0.70
02/01/2017	KWAK, ANNA	MFS EMERGING MKTS DEBT FUND C	50.00	0.50	0.00	0.50	55.0	0.18
02/01/2017	DZIEWIECKA, TERESA	MFS EMERGING MKTS DEBT FUND C	30.00	0.30	0.00	0.30	55.0	0.11
02/02/2017	KRELLER, KRISTYNA	MFS EMERGING MKTS DEBT FUND C	40.00	0.40	0.00	0.40	55.0	0.14
02/07/2017	WAL, SEBASTIAN	MFS EMERGING MKTS DEBT FUND C	86.62	0.87	0.00	0.87	55.0	0.30
02/07/2017	WAL, SEBASTIAN	MFS EMERGING MKTS DEBT FUND C	25.99	0.26	0.00	0.26	55.0	0.09
01/25/2017	DZIEWIECKA, TERESA	MFS GLOBAL REAL ESTATE FUND -C	20.00	0.20	0.00	0.20	55.0	0.07
02/03/2017	DZIEWIECKA, TERESA	MFS GLOBAL REAL ESTATE FUND -C	20.00	0.20	0.00	0.20	55.0	0.07
02/01/2017	MEI, JENNIFER	MFS GROWTH ALLOCATION B	80.00	3.20	0.00	3.20	55.0	1.12
02/01/2017	ZAREBA, NATALIA	MFS GROWTH ALLOCATION FUND -529B	50.00	2.00	0.00	2.00	55.0	0.70
02/07/2017	THOMAS, SYLVIA	MFS INTERNATIONAL NEW DISCOVERY C	17.72	0.18	0.00	0.18	55.0	0.06
02/01/2017	MEI, JENNIFER	MFS LIFETIME 2045 FUND B	80.00	3.20	0.00	3.20	55.0	1.12
01/30/2017	DZIEWIECKA, TERESA	MFS LOW VOLATILITY GLOBAL EQUITY F	20.00	0.20	0.00	0.20	55.0	0.07
02/01/2017	MEI, JENNIFER	MFS MASS INVESTORS TRUST B	80.00	3.20	0.00	3.20	55.0	1.12
02/02/2017	KRELLER, KRISTYNA	MFS MODERATE ALLOCATION C	40.00	0.40	0.00	0.40	55.0	0.14
02/01/2017	MEI, JENNIFER	MFS RESEARCH B	80.00	3.20	0.00	3.20	55.0	1.12
02/02/2017	KRELLER, KRISTYNA	MFS RESEARCH BOND FUND C	40.00	0.40	0.00	0.40	55.0	0.14
02/07/2017	WAL, SEBASTIAN	MFS RESEARCH BOND FUND C	34.65	0.35	0.00	0.35	55.0	0.12
02/07/2017	WAL, SEBASTIAN	MFS RESEARCH BOND FUND C	115.50	1.16	0.00	1.16	55.0	0.41
02/07/2017	THOMAS, SYLVIA	MFS RESEARCH BOND FUND C	36.92	0.37	0.00	0.37	55.0	0.13
02/07/2017	THOMAS, SYLVIA	MFS RESEARCH BOND FUND C	4.43	0.04	0.00	0.04	55.0	0.01
02/01/2017	ZAREBA, GRZEGORZ	MFS UTILITIES B	50.00	2.00	0.00	2.00	55.0	0.70
02/01/2017	MEI, JENNIFER	MFS UTILITIES B	80.00	3.20	0.00	3.20	55.0	1.12
01/30/2017	DZIEWIECKA, TERESA	MFS UTILITIES C	25.00	0.25	0.00	0.25	55.0	0.09
02/01/2017	KWAK, ANNA	MFS UTILITIES C	50.00	0.50	0.00	0.50	55.0	0.18
02/01/2017	KWAK, ANNA	MFS UTILITIES C	50.00	0.50	0.00	0.50	55.0	0.18
02/02/2017	KRELLER, KRISTYNA	MFS UTILITIES C	40.00	0.40	0.00	0.40	55.0	0.14
02/06/2017	DZIEWIECKA, TERESA	MFS UTILITIES C	25.00	0.25	0.00	0.25	55.0	0.09
02/07/2017	WIKAR, HALINA	MFS UTILITIES C	47.54	0.48	0.00	0.48	55.0	0.17
02/07/2017	WIKAR, HALINA	MFS UTILITIES C	260.00	2.60	0.00	2.60	55.0	0.91
02/07/2017	WAL, SEBASTIAN	MFS UTILITIES C	43.31	0.43	0.00	0.43	55.0	0.15

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u> OVERRIDE TRANSACTIONS </u>								
<u>BROKER: HALINA WIKAR #171</u>								
02/07/2017	WAL, SEBASTIAN	MFS UTILITIES C	144.36	1.44	0.00	1.44	55.0	0.50
02/07/2017	THOMAS, SYLVIA	MFS UTILITIES C	36.92	0.37	0.00	0.37	55.0	0.13
02/07/2017	THOMAS, SYLVIA	MFS UTILITIES C	22.15	0.22	0.00	0.22	55.0	0.08
02/07/2017	WIKAR, HALINA	MFS VALUE C	47.54	0.48	0.00	0.48	55.0	0.17
02/07/2017	WIKAR, HALINA	MFS VALUE C	260.00	2.60	0.00	2.60	55.0	0.91
* HALINA WIKAR SUBTOTAL *			\$2,985.86	\$46.39	\$0.00	\$46.39		\$16.28
<u>BROKER: R133-RICH/MARK/DAVE RODRIGUEZ/HUBER #269</u>								
01/23/2017	WEBER, SANDRA	AM FUNDS 2020 TARGET DATE-A	25.00	0.50	0.00	0.50	0.0	0.45
01/23/2017	HEFT, SAMANTHA	AM FUNDS 2035 TARGET DATE-A	50.00	1.00	0.00	1.00	0.0	0.90
01/18/2017	HOEY, BENJAMIN	HPI REAL ESTATE OPP FUND IV LLC	50,000.00	3,500.00	0.00	3,500.00	0.0	3,150.00
* R133-RICH/MARK/DAVE RODRIGUEZ/HUBER SUBTOTAL *			\$50,075.00	\$3,501.50	\$0.00	\$3,501.50		\$3,151.35
*** OVERRIDE TRANSACTIONS TOTAL ***			\$92,195.09	\$3,606.58	\$0.00	\$3,606.58		\$3,219.90

ADJUSTMENTS

02/15/2017	*E & O INSURANCE: CURRENT MONTH INS	0.00						-300.00
02/15/2017	*E & O INSURANCE: CURRENT MONTH INS	0.00						-300.00
02/15/2017	*E & O INSURANCE: CURRENT MONTH INS	0.00						-300.00
02/15/2017	*FINRA: CE TRACKED WEB FEES HUBER	0.00						-55.00
02/15/2017	*MARKETING LIBRARY: MARKETING LIBRA	0.00						-20.00
02/15/2017	*PERSHING: BOOKS & RECORDS-R129	0.00						-5.94
02/15/2017	*TECH: ADMIN - L JOCIUS	0.00						-100.00
02/15/2017	*TECH: ADMIN - RON HAMILTON	0.00						-100.00
02/15/2017	*TECHNOLOGY: ADMIN - AMANDA MOON	0.00						-100.00
02/15/2017	*TECHNOLOGY: ALBRIDGE FULL	0.00						-100.00
02/15/2017	*TECHNOLOGY: CURRENT MONTH TECH	0.00						-275.00
02/15/2017	*TECHNOLOGY: CURRENT MONTH TECH-MAR	0.00						-275.00
02/15/2017	*TECHNOLOGY: CURRENT MONTH TECH-RIC	0.00						-275.00
*** ADJUSTMENTS TOTAL ***			\$0.00	\$0.00	\$0.00	\$0.00		\$-2,205.94

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BROKER COMMISSION TOTALS

Broker Transactions	\$7,643.96
Split Transactions	\$34.44
Override Transactions	\$3,219.90
Adjustments	\$-2,205.94
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$0.00
FINRA Assessment	\$0.00
SIPC Assessment	\$0.00

Check Amount	\$8,692.36
Year-to-date Gross	\$30,243.65
Year-to-date Earnings	\$39,666.16