



Concorde Investment Services, LLC
COMMISSION STATEMENT
June 15, 2017

06/13/2017
 Page No. 1

NATHANIEL KUHN
 612 S. Bristol Lane

BROKER #: K134
 BRANCH: KUHN FINANCIAL, INC

Arlington Heights, IL 60005-

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
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BROKER TRANSACTIONS

PRODUCT CATEGORY: MUTUAL FUNDS

05/22/2017	STETTER, MARIA	AM FUNDS AMCAP A	50.00	1.88	0.00	1.88	90.0	1.69
06/01/2017	KOVACH, ERIC	AM FUNDS AMCAP A	25.00	1.06	0.00	1.06	90.0	0.95
06/01/2017	RAPATA, DANIEL	AM FUNDS AMCAP A	50.00	1.38	0.00	1.38	90.0	1.24
06/01/2017	LAMPI, KEITH	AM FUNDS AMCAP A	0.00	10.09	0.00	10.09	90.0	9.08
06/01/2017	WHITE, AMANDA	AM FUNDS AMCAP A	0.00	5.74	0.00	5.74	90.0	5.17
06/01/2017	PARADISE, MICHAEL	AM FUNDS AMCAP A	0.00	6.30	0.00	6.30	90.0	5.67
06/01/2017	PARADISE, MICHEAL	AM FUNDS AMCAP A	0.00	5.01	0.00	5.01	90.0	4.51
06/01/2017	WELLINGTON, AARON	AM FUNDS AMCAP A	0.00	4.36	0.00	4.36	90.0	3.92
06/01/2017	STETTER, MARIA	AM FUNDS AMCAP A	0.00	7.84	0.00	7.84	90.0	7.06
06/01/2017	KENNEDY, RACHEL	AM FUNDS AMCAP A	0.00	8.15	0.00	8.15	90.0	7.34
06/01/2017	KOVACH, ERIC	AM FUNDS AMCAP A	0.00	4.29	0.00	4.29	90.0	3.86
06/01/2017	GREINER, PAUL	AM FUNDS AMCAP A	0.00	1.83	0.00	1.83	90.0	1.65
06/01/2017	RAPATA, DANIEL	AM FUNDS AMCAP A	0.00	4.68	0.00	4.68	90.0	4.21
06/01/2017	CULLEY-RAPATA, KATHRYN	AM FUNDS AMCAP A	0.00	6.97	0.00	6.97	90.0	6.27
06/01/2017	MUELLNER, KARA	AM FUNDS AMCAP A	0.00	3.76	0.00	3.76	90.0	3.38
06/01/2017	LAMPI, KEITH	AM FUNDS AMCAP B	0.00	0.06	0.00	0.06	90.0	0.05
06/01/2017	STETTER, MARIA	AM FUNDS AMCAP B	0.00	0.06	0.00	0.06	90.0	0.05
06/01/2017	KENNEDY, RACHEL	AM FUNDS AMCAP B	0.00	0.06	0.00	0.06	90.0	0.05
06/01/2017	CULLEY-RAPATA, KATHRYN	AM FUNDS AMCAP B	0.00	0.06	0.00	0.06	90.0	0.05
05/22/2017	STETTER, MARIA	AM FUNDS AMERICAN BALANCED A	50.00	1.88	0.00	1.88	90.0	1.69
06/01/2017	GASPORD, GEARY	AM FUNDS AMERICAN BALANCED A	0.00	1.88	0.00	1.88	90.0	1.69
06/01/2017	WHITE, AMANDA	AM FUNDS AMERICAN BALANCED A	0.00	1.86	0.00	1.86	90.0	1.67
06/01/2017	PARADISE, MICHEAL	AM FUNDS AMERICAN BALANCED A	0.00	8.85	0.00	8.85	90.0	7.97
06/01/2017	FUSCO, JAMES	AM FUNDS AMERICAN BALANCED A	0.00	2.77	0.00	2.77	90.0	2.49
06/01/2017	WELLINGTON, AARON	AM FUNDS AMERICAN BALANCED A	0.00	1.64	0.00	1.64	90.0	1.48
06/01/2017	ATKINSON, ANGELA	AM FUNDS AMERICAN BALANCED A	0.00	3.96	0.00	3.96	90.0	3.56

NOTES: * - Indicates adjustment is not included in 1099 Earnings
 ** - Indicates adjustment is not included in Totals or Commissions
 ^Date - Split Trade - full Investment Amount & Gross Commission displayed

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
06/01/2017	FUSCO, MELISSA	AM FUNDS AMERICAN BALANCED A	0.00	1.41	0.00	1.41	90.0	1.27
06/01/2017	STETTER, MARIA	AM FUNDS AMERICAN BALANCED A	0.00	7.00	0.00	7.00	90.0	6.30
06/01/2017	KENNEDY, RACHEL	AM FUNDS AMERICAN BALANCED A	0.00	1.89	0.00	1.89	90.0	1.70
06/01/2017	LIEBERMAN, DAVID	AM FUNDS AMERICAN BALANCED A	0.00	1.40	0.00	1.40	90.0	1.26
06/01/2017	MARASOVICH, THOMAS	AM FUNDS AMERICAN BALANCED A	0.00	4.88	0.00	4.88	90.0	4.39
06/01/2017	DELLAPORTAS, VASILIS	AM FUNDS AMERICAN BALANCED A	0.00	0.78	0.00	0.78	90.0	0.70
06/01/2017	HEIMANN, MARK	AM FUNDS AMERICAN BALANCED A	0.00	0.55	0.00	0.55	90.0	0.50
06/01/2017	LOIKA, GREGORY	AM FUNDS AMERICAN BALANCED A	0.00	1.47	0.00	1.47	90.0	1.32
06/01/2017	WEIL, PAUL	AM FUNDS AMERICAN BALANCED A	0.00	0.35	0.00	0.35	90.0	0.32
06/01/2017	WILKINS, LYN	AM FUNDS AMERICAN BALANCED A	0.00	2.07	0.00	2.07	90.0	1.86
06/01/2017	STETTER, MARIA	AM FUNDS AMERICAN BALANCED A	0.00	2.61	0.00	2.61	90.0	2.35
06/01/2017	CRYLEN, ANNE	AM FUNDS AMERICAN BALANCED A	0.00	1.06	0.00	1.06	90.0	0.95
06/01/2017	MUELLNER, KARA	AM FUNDS AMERICAN BALANCED A	0.00	1.68	0.00	1.68	90.0	1.51
06/01/2017	LIEBERMAN, SHARON	AM FUNDS AMERICAN BALANCED A	0.00	2.29	0.00	2.29	90.0	2.06
06/01/2017	STETTER, MARIA	AM FUNDS AMERICAN BALANCED B	0.00	0.04	0.00	0.04	90.0	0.04
06/01/2017	SANTOS, LOURDES	AM FUNDS AMERICAN BALANCED C	100.00	1.00	0.00	1.00	90.0	0.90
06/01/2017	SANTOS, LOURDES	AM FUNDS AMERICAN BALANCED C	0.00	50.33	0.00	50.33	90.0	45.30
06/01/2017	GIOVANNINI TRUST, VICTOR	AM FUNDS AMERICAN BALANCED C	0.00	31.15	0.00	31.15	90.0	28.04
06/01/2017	STETTER, MARIA	AM FUNDS AMERICAN MUTUAL A	0.00	3.57	0.00	3.57	90.0	3.21
06/01/2017	MUELLNER, KARA	AM FUNDS AMERICAN MUTUAL A	0.00	3.53	0.00	3.53	90.0	3.18
06/01/2017	GOODMAN, MICHAEL	AM FUNDS BALANCED PORT A	0.00	0.96	0.00	0.96	90.0	0.86
06/01/2017	PARADISE, MICHEAL	AM FUNDS BOND FUND OF AMERICA A	0.00	3.32	0.00	3.32	90.0	2.99
06/01/2017	WELLINGTON, AARON	AM FUNDS BOND FUND OF AMERICA A	0.00	1.03	0.00	1.03	90.0	0.93
06/01/2017	JACKER, RITA	AM FUNDS BOND FUND OF AMERICA A	0.00	5.32	0.00	5.32	90.0	4.79
06/01/2017	GIOVANNINI TRUST, VICTOR	AM FUNDS BOND FUND OF AMERICA C	0.00	11.38	0.00	11.38	90.0	10.24
06/01/2017	LIEBERMAN, DAVID	AM FUNDS CAPITAL INCOME BUILDER 529	0.00	3.66	0.00	3.66	90.0	3.29
06/01/2017	RUNDELL, TRACY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	2.51	0.00	2.51	90.0	2.26
06/01/2017	SMITH, PATRICK	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.62	0.00	0.62	90.0	0.56
06/01/2017	LOPEZ, JOSE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.06	0.00	1.06	90.0	0.95
06/01/2017	RUNDELL, TRACY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	2.92	0.00	2.92	90.0	2.63
06/01/2017	WHITE, AMANDA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.88	0.00	1.88	90.0	1.69
06/01/2017	ATKINSON, ANGELA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	4.31	0.00	4.31	90.0	3.88
06/01/2017	DEUTSCH, SCOTT	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.91	0.00	1.91	90.0	1.72

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
06/01/2017	CRYLEN, ANNE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.40	0.00	1.40	90.0	1.26
06/01/2017	GIOVANNINI TRUST, VICTOR	AM FUNDS CAPITAL WORLD GRTH & INC C	0.00	14.19	0.00	14.19	90.0	12.77
06/01/2017	LIEBERMAN, DAVID	AM FUNDS EUROPACIFIC GROWTH FUND 52	0.00	2.46	0.00	2.46	90.0	2.21
06/01/2017	FUSCO, JAMES	AM FUNDS EUROPACIFIC GROWTH FUND A	150.00	5.63	0.00	5.63	90.0	5.07
06/01/2017	RAPATA, DANIEL	AM FUNDS EUROPACIFIC GROWTH FUND A	50.00	1.38	0.00	1.38	90.0	1.24
06/01/2017	GOODMAN, ERIC	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	1.74	0.00	1.74	90.0	1.57
06/01/2017	PARADISE, MICHEAL	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	3.81	0.00	3.81	90.0	3.43
06/01/2017	FUSCO, JAMES	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	12.52	0.00	12.52	90.0	11.27
06/01/2017	WELLINGTON, AARON	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	1.89	0.00	1.89	90.0	1.70
06/01/2017	JACKER, RITA	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	3.19	0.00	3.19	90.0	2.87
06/01/2017	DELLAPORTAS, VASILIS	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.31	0.00	0.31	90.0	0.28
06/01/2017	RAPATA, DANIEL	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	2.99	0.00	2.99	90.0	2.69
06/01/2017	CULLEY-RAPATA, KATHRYN	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	4.75	0.00	4.75	90.0	4.28
06/01/2017	LOIKA, GREGORY	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	1.06	0.00	1.06	90.0	0.95
06/01/2017	TOLLEFSON, LOUANN	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	2.98	0.00	2.98	90.0	2.68
06/01/2017	WILKINS, LYN	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	1.40	0.00	1.40	90.0	1.26
06/01/2017	WEIDENFELLER, KIRSTEN	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	4.09	0.00	4.09	90.0	3.68
06/01/2017	STETTER, MARIA	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	1.72	0.00	1.72	90.0	1.55
06/01/2017	BIEGERT, LAUREN	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	0.76	0.00	0.76	90.0	0.68
06/01/2017	MUELLNER, KARA	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	1.10	0.00	1.10	90.0	0.99
06/01/2017	FUSCO, JAMES	AM FUNDS EUROPACIFIC GROWTH FUND B	0.00	0.11	0.00	0.11	90.0	0.10
06/01/2017	CULLEY-RAPATA, KATHRYN	AM FUNDS EUROPACIFIC GROWTH FUND B	0.00	0.05	0.00	0.05	90.0	0.05
06/01/2017	RAPATA, DANIEL	AM FUNDS FUNDAMENTAL INVESTORS A	50.00	1.38	0.00	1.38	90.0	1.24
06/01/2017	WEIL, PAUL	AM FUNDS FUNDAMENTAL INVESTORS A	50.00	2.50	0.00	2.50	90.0	2.25
06/01/2017	TUCCINI, MELISSA	AM FUNDS FUNDAMENTAL INVESTORS A	50.00	2.50	0.00	2.50	90.0	2.25
06/01/2017	ROLLINGER, LAUREN	AM FUNDS FUNDAMENTAL INVESTORS A	50.00	2.50	0.00	2.50	90.0	2.25
06/01/2017	TOWNSEND, KATHERINE	AM FUNDS FUNDAMENTAL INVESTORS A	100.00	5.00	0.00	5.00	90.0	4.50
06/01/2017	BRANSON, GARRETT	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	3.72	0.00	3.72	90.0	3.35
06/01/2017	RUNDELL, TRACY	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	3.39	0.00	3.39	90.0	3.05
06/01/2017	WHITE, AMANDA	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	5.82	0.00	5.82	90.0	5.24
06/01/2017	SMITH, PATRICK	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.70	0.00	1.70	90.0	1.53
06/01/2017	PARADISE, MICHEAL	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	10.14	0.00	10.14	90.0	9.13
06/01/2017	LIM, SUSIE	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	2.65	0.00	2.65	90.0	2.39

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
06/01/2017	DELLAPORTAS, VASILIS	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.82	0.00	1.82	90.0	1.64
06/01/2017	RAPATA, DANIEL	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	4.61	0.00	4.61	90.0	4.15
06/01/2017	CULLEY-RAPATA, KATHRYN	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	7.27	0.00	7.27	90.0	6.54
06/01/2017	WEIL, PAUL	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	0.45	0.00	0.45	90.0	0.41
06/01/2017	RAY, SARA	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.70	0.00	1.70	90.0	1.53
06/01/2017	MUELLNER, KARA	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	3.42	0.00	3.42	90.0	3.08
06/01/2017	TUCCINI, MELISSA	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	3.01	0.00	3.01	90.0	2.71
06/01/2017	ROLLINGER, LAUREN	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	3.02	0.00	3.02	90.0	2.72
06/01/2017	TOWNSEND, KATHERINE	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	3.49	0.00	3.49	90.0	3.14
06/01/2017	RUNDELL, TRACY	AM FUNDS FUNDAMENTAL INVESTORS B	0.00	0.05	0.00	0.05	90.0	0.05
06/01/2017	MARASOVICH, THOMAS	AM FUNDS GLOBAL BALANCED A	0.00	3.69	0.00	3.69	90.0	3.32
06/01/2017	WIRTZ, GRETCHEN	AM FUNDS GROWTH AND INCOME 529A	100.00	4.25	0.00	4.25	90.0	3.83
06/01/2017	WIRTZ, GRETCHEN	AM FUNDS GROWTH AND INCOME 529A	0.00	4.49	0.00	4.49	90.0	4.04
06/01/2017	WIRTZ, GRETCHEN	AM FUNDS GROWTH AND INCOME 529A	0.00	10.70	0.00	10.70	90.0	9.63
06/01/2017	ALICOT, IRENE	AM FUNDS GROWTH AND INCOME A	100.00	5.00	0.00	5.00	90.0	4.50
06/01/2017	ALICOT, IRENE	AM FUNDS GROWTH AND INCOME A	0.00	2.60	0.00	2.60	90.0	2.34
06/01/2017	LIEBERMAN, DAVID	AM FUNDS GROWTH FUND OF AMERICA 529	0.00	3.53	0.00	3.53	90.0	3.18
05/23/2017	JOHNSON, LISA	AM FUNDS GROWTH FUND OF AMERICA A	50.00	2.50	0.00	2.50	90.0	2.25
06/01/2017	FUSCO, JAMES	AM FUNDS GROWTH FUND OF AMERICA A	50.00	1.88	0.00	1.88	90.0	1.69
06/01/2017	LIEBERMAN, DAVID	AM FUNDS GROWTH FUND OF AMERICA A	50.00	1.88	0.00	1.88	90.0	1.69
06/01/2017	KOVACH, ERIC	AM FUNDS GROWTH FUND OF AMERICA A	25.00	1.06	0.00	1.06	90.0	0.95
06/01/2017	LIVERIS, NICHOLAS	AM FUNDS GROWTH FUND OF AMERICA A	50.00	2.50	0.00	2.50	90.0	2.25
06/01/2017	MANSKE, DONNA	AM FUNDS GROWTH FUND OF AMERICA A	50.00	2.50	0.00	2.50	90.0	2.25
06/01/2017	ROLLINGER, JOHN	AM FUNDS GROWTH FUND OF AMERICA A	50.00	2.50	0.00	2.50	90.0	2.25
06/01/2017	TOWNSEND, KATHERINE	AM FUNDS GROWTH FUND OF AMERICA A	100.00	5.00	0.00	5.00	90.0	4.50
06/01/2017	GASPORD, GEARY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	2.04	0.00	2.04	90.0	1.84
06/01/2017	MEYER, PATRICIA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.82	0.00	1.82	90.0	1.64
06/01/2017	LOPEZ, JOSE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.41	0.00	1.41	90.0	1.27
06/01/2017	BRANSON, GARRETT	AM FUNDS GROWTH FUND OF AMERICA A	0.00	2.49	0.00	2.49	90.0	2.24
06/01/2017	GOODMAN, ERIC	AM FUNDS GROWTH FUND OF AMERICA A	0.00	5.40	0.00	5.40	90.0	4.86
06/01/2017	SAYRE, ROSS	AM FUNDS GROWTH FUND OF AMERICA A	0.00	12.46	0.00	12.46	90.0	11.21
06/01/2017	HIRSTIUS, CHARLES	AM FUNDS GROWTH FUND OF AMERICA A	0.00	2.50	0.00	2.50	90.0	2.25
06/01/2017	PICKENS, ROBERT (RJ)	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.46	0.00	0.46	90.0	0.41

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
06/01/2017	LAMPI, KEITH	AM FUNDS GROWTH FUND OF AMERICA A	0.00	9.99	0.00	9.99	90.0	8.99
06/01/2017	RUNDELL, TRACY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	3.52	0.00	3.52	90.0	3.17
06/01/2017	WHITE, AMANDA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	5.92	0.00	5.92	90.0	5.33
06/01/2017	WINTER, JASON	AM FUNDS GROWTH FUND OF AMERICA A	0.00	8.76	0.00	8.76	90.0	7.88
06/01/2017	SMITH, PATRICK	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.61	0.00	1.61	90.0	1.45
06/01/2017	PARADISE, MICHAEL	AM FUNDS GROWTH FUND OF AMERICA A	0.00	10.95	0.00	10.95	90.0	9.86
06/01/2017	JOHNSON, LISA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	8.86	0.00	8.86	90.0	7.97
06/01/2017	PARADISE, MICHEAL	AM FUNDS GROWTH FUND OF AMERICA A	0.00	5.19	0.00	5.19	90.0	4.67
06/01/2017	FUSCO, JAMES	AM FUNDS GROWTH FUND OF AMERICA A	0.00	9.07	0.00	9.07	90.0	8.16
06/01/2017	WELLINGTON, AARON	AM FUNDS GROWTH FUND OF AMERICA A	0.00	4.84	0.00	4.84	90.0	4.36
06/01/2017	ATKINSON, ANGELA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	10.04	0.00	10.04	90.0	9.04
06/01/2017	FUSCO, MELISSA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.60	0.00	1.60	90.0	1.44
06/01/2017	LIM, SUSIE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	7.91	0.00	7.91	90.0	7.12
06/01/2017	LIEBERMAN, DAVID	AM FUNDS GROWTH FUND OF AMERICA A	0.00	9.68	0.00	9.68	90.0	8.71
06/01/2017	JACKER, RITA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	6.84	0.00	6.84	90.0	6.16
06/01/2017	KOVACH, ERIC	AM FUNDS GROWTH FUND OF AMERICA A	0.00	8.47	0.00	8.47	90.0	7.62
06/01/2017	GREINER, PAUL	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.01	0.00	1.01	90.0	0.91
06/01/2017	MARASOVICH, THOMAS	AM FUNDS GROWTH FUND OF AMERICA A	0.00	8.99	0.00	8.99	90.0	8.09
06/01/2017	LAMPI, SEAN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	3.08	0.00	3.08	90.0	2.77
06/01/2017	SANTOS, JAIMEE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	6.99	0.00	6.99	90.0	6.29
06/01/2017	DELLAPORTAS, VASILIS	AM FUNDS GROWTH FUND OF AMERICA A	0.00	3.35	0.00	3.35	90.0	3.02
06/01/2017	RAPATA, DANIEL	AM FUNDS GROWTH FUND OF AMERICA A	0.00	5.80	0.00	5.80	90.0	5.22
06/01/2017	CULLEY-RAPATA, KATHRYN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	9.61	0.00	9.61	90.0	8.65
06/01/2017	HEIMANN, MARK	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.82	0.00	1.82	90.0	1.64
06/01/2017	LOIKA, GREGORY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.60	0.00	1.60	90.0	1.44
06/01/2017	MARTINEZ, JULIAN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	3.66	0.00	3.66	90.0	3.29
06/01/2017	CHILDS, EVON	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.43	0.00	1.43	90.0	1.29
06/01/2017	HOLLENBECK, MARISSA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	4.33	0.00	4.33	90.0	3.90
06/01/2017	OCHAL, VALERIE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	4.64	0.00	4.64	90.0	4.18
06/01/2017	WEIL, PAUL	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.35	0.00	0.35	90.0	0.32
06/01/2017	TOLLEFSON, LOUANN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	8.87	0.00	8.87	90.0	7.98
06/01/2017	GOODMAN, TIFFANY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	6.19	0.00	6.19	90.0	5.57
06/01/2017	CATANESE, SARAH	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.99	0.00	1.99	90.0	1.79

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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>								
06/01/2017	RAY, SARA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.70	0.00	1.70	90.0	1.53
06/01/2017	LIVERIS, NICHOLAS	AM FUNDS GROWTH FUND OF AMERICA A	0.00	5.89	0.00	5.89	90.0	5.30
06/01/2017	RAY, SARA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.60	0.00	1.60	90.0	1.44
06/01/2017	MANSKE, DONNA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	5.95	0.00	5.95	90.0	5.36
06/01/2017	WILKINS, LYN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	2.14	0.00	2.14	90.0	1.93
06/01/2017	WEIDENFELLER, KIRSTEN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	5.78	0.00	5.78	90.0	5.20
06/01/2017	STETTER, MARIA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	5.47	0.00	5.47	90.0	4.92
06/01/2017	BIEGERT, LAUREN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.22	0.00	1.22	90.0	1.10
06/01/2017	CRYLEN, ANNE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	2.52	0.00	2.52	90.0	2.27
06/01/2017	MUELLNER, KARA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	3.47	0.00	3.47	90.0	3.12
06/01/2017	WILLIS, JUDE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	5.25	0.00	5.25	90.0	4.73
06/01/2017	SMITH, PATRICK	AM FUNDS GROWTH FUND OF AMERICA A	0.00	3.28	0.00	3.28	90.0	2.95
06/01/2017	MUELLNER, KARA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	2.65	0.00	2.65	90.0	2.39
06/01/2017	ROLLINGER, JOHN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	2.57	0.00	2.57	90.0	2.31
06/01/2017	TOWNSEND, KATHERINE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	3.46	0.00	3.46	90.0	3.11
06/01/2017	GOODMAN, ERIC	AM FUNDS GROWTH FUND OF AMERICA B	0.00	0.05	0.00	0.05	90.0	0.05
06/01/2017	SAYRE, ROSS	AM FUNDS GROWTH FUND OF AMERICA B	0.00	0.11	0.00	0.11	90.0	0.10
06/01/2017	LAMPI, KEITH	AM FUNDS GROWTH FUND OF AMERICA B	0.00	0.06	0.00	0.06	90.0	0.05
06/01/2017	RUNDELL, TRACY	AM FUNDS GROWTH FUND OF AMERICA B	0.00	0.05	0.00	0.05	90.0	0.05
06/01/2017	WINTER, JASON	AM FUNDS GROWTH FUND OF AMERICA B	0.00	0.06	0.00	0.06	90.0	0.05
06/01/2017	PARADISE, MICHAEL	AM FUNDS GROWTH FUND OF AMERICA B	0.00	0.05	0.00	0.05	90.0	0.05
06/01/2017	JOHNSON, LISA	AM FUNDS GROWTH FUND OF AMERICA B	0.00	0.01	0.00	0.01	90.0	0.01
06/01/2017	FUSCO, JAMES	AM FUNDS GROWTH FUND OF AMERICA B	0.00	0.06	0.00	0.06	90.0	0.05
06/01/2017	ATKINSON, ANGELA	AM FUNDS GROWTH FUND OF AMERICA B	0.00	0.10	0.00	0.10	90.0	0.09
06/01/2017	LIM, SUSIE	AM FUNDS GROWTH FUND OF AMERICA B	0.00	0.05	0.00	0.05	90.0	0.05
06/01/2017	LIEBERMAN, DAVID	AM FUNDS GROWTH FUND OF AMERICA B	0.00	0.06	0.00	0.06	90.0	0.05
06/01/2017	MARASOVICH, THOMAS	AM FUNDS GROWTH FUND OF AMERICA B	0.00	0.08	0.00	0.08	90.0	0.07
06/01/2017	SANTOS, JAIMEE	AM FUNDS GROWTH FUND OF AMERICA B	0.00	0.05	0.00	0.05	90.0	0.05
06/01/2017	RAPATA, DANIEL	AM FUNDS GROWTH FUND OF AMERICA B	0.00	0.03	0.00	0.03	90.0	0.03
06/01/2017	CULLEY-RAPATA, KATHRYN	AM FUNDS GROWTH FUND OF AMERICA B	0.00	0.07	0.00	0.07	90.0	0.06
06/01/2017	GOODMAN, TIFFANY	AM FUNDS GROWTH FUND OF AMERICA B	0.00	0.05	0.00	0.05	90.0	0.05
06/01/2017	GIOVANNINI TRUST, VICTOR	AM FUNDS GROWTH FUND OF AMERICA C	0.00	45.33	0.00	45.33	90.0	40.80
06/01/2017	PERSHA, ADAM	AM FUNDS GROWTH PORT A	0.00	2.05	0.00	2.05	90.0	1.85

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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>								
06/01/2017	KOVACH, ERIC	AM FUNDS ICA A	25.00	1.06	0.00	1.06	90.0	0.95
06/01/2017	RAPATA, DANIEL	AM FUNDS ICA A	50.00	1.38	0.00	1.38	90.0	1.24
06/01/2017	MANSKE, DONNA	AM FUNDS ICA A	50.00	2.50	0.00	2.50	90.0	2.25
06/01/2017	GASPORD, GEARY	AM FUNDS ICA A	0.00	1.87	0.00	1.87	90.0	1.68
06/01/2017	MEYER, PATRICIA	AM FUNDS ICA A	0.00	1.48	0.00	1.48	90.0	1.33
06/01/2017	LOPEZ, JOSE	AM FUNDS ICA A	0.00	1.27	0.00	1.27	90.0	1.14
06/01/2017	SAYRE, ROSS	AM FUNDS ICA A	0.00	5.10	0.00	5.10	90.0	4.59
06/01/2017	WHITE, AMANDA	AM FUNDS ICA A	0.00	5.78	0.00	5.78	90.0	5.20
06/01/2017	SMITH, PATRICK	AM FUNDS ICA A	0.00	1.61	0.00	1.61	90.0	1.45
06/01/2017	PARADISE, MICHAEL	AM FUNDS ICA A	0.00	10.30	0.00	10.30	90.0	9.27
06/01/2017	PARADISE, MICHEAL	AM FUNDS ICA A	0.00	5.05	0.00	5.05	90.0	4.55
06/01/2017	ATKINSON, ANGELA	AM FUNDS ICA A	0.00	6.22	0.00	6.22	90.0	5.60
06/01/2017	JACKER, RITA	AM FUNDS ICA A	0.00	11.78	0.00	11.78	90.0	10.60
06/01/2017	KOVACH, ERIC	AM FUNDS ICA A	0.00	4.59	0.00	4.59	90.0	4.13
06/01/2017	GREINER, PAUL	AM FUNDS ICA A	0.00	6.82	0.00	6.82	90.0	6.14
06/01/2017	DELLAPORTAS, VASILIS	AM FUNDS ICA A	0.00	1.61	0.00	1.61	90.0	1.45
06/01/2017	RAPATA, DANIEL	AM FUNDS ICA A	0.00	6.08	0.00	6.08	90.0	5.47
06/01/2017	CULLEY-RAPATA, KATHRYN	AM FUNDS ICA A	0.00	9.90	0.00	9.90	90.0	8.91
06/01/2017	HEIMANN, MARK	AM FUNDS ICA A	0.00	1.34	0.00	1.34	90.0	1.21
06/01/2017	LOIKA, GREGORY	AM FUNDS ICA A	0.00	1.40	0.00	1.40	90.0	1.26
06/01/2017	CHILDS, EVON	AM FUNDS ICA A	0.00	1.23	0.00	1.23	90.0	1.11
06/01/2017	HOLLENBECK, MARISSA	AM FUNDS ICA A	0.00	4.03	0.00	4.03	90.0	3.63
06/01/2017	TOLLEFSON, LOUANN	AM FUNDS ICA A	0.00	4.17	0.00	4.17	90.0	3.75
06/01/2017	CATANESE, SARAH	AM FUNDS ICA A	0.00	1.77	0.00	1.77	90.0	1.59
06/01/2017	RAY, SARA	AM FUNDS ICA A	0.00	1.33	0.00	1.33	90.0	1.20
06/01/2017	MANSKE, DONNA	AM FUNDS ICA A	0.00	5.61	0.00	5.61	90.0	5.05
06/01/2017	WILKINS, LYN	AM FUNDS ICA A	0.00	1.91	0.00	1.91	90.0	1.72
06/01/2017	WEIDENFELLER, KIRSTEN	AM FUNDS ICA A	0.00	5.44	0.00	5.44	90.0	4.90
06/01/2017	STETTER, MARIA	AM FUNDS ICA A	0.00	3.51	0.00	3.51	90.0	3.16
06/01/2017	BIEGERT, LAUREN	AM FUNDS ICA A	0.00	1.06	0.00	1.06	90.0	0.95
06/01/2017	CRYLEN, ANNE	AM FUNDS ICA A	0.00	1.64	0.00	1.64	90.0	1.48
06/01/2017	SMITH, PATRICK	AM FUNDS ICA A	0.00	3.04	0.00	3.04	90.0	2.74
06/01/2017	LIEBERMAN, SHARON	AM FUNDS ICA A	0.00	2.21	0.00	2.21	90.0	1.99

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
06/01/2017	SAYRE, ROSS	AM FUNDS ICA B	0.00	0.06	0.00	0.06	90.0	0.05
06/01/2017	PARADISE, MICHAEL	AM FUNDS ICA B	0.00	0.05	0.00	0.05	90.0	0.05
06/01/2017	ATKINSON, ANGELA	AM FUNDS ICA B	0.00	0.09	0.00	0.09	90.0	0.08
06/01/2017	GREINER, PAUL	AM FUNDS ICA B	0.00	0.06	0.00	0.06	90.0	0.05
06/01/2017	CULLEY-RAPATA, KATHRYN	AM FUNDS ICA B	0.00	0.07	0.00	0.07	90.0	0.06
06/01/2017	GIOVANNINI TRUST, VICTOR	AM FUNDS ICA C	0.00	43.70	0.00	43.70	90.0	39.33
06/01/2017	JACKER, RITA	AM FUNDS INCOME FUND OF AMERICA A	0.00	7.07	0.00	7.07	90.0	6.36
06/01/2017	LIEBERMAN, DAVID	AM FUNDS INTERMEDIATE BOND FUND OF	0.00	2.02	0.00	2.02	90.0	1.82
06/01/2017	SMITH, PATRICK	AM FUNDS NEW ECONOMY A	0.00	0.86	0.00	0.86	90.0	0.77
06/01/2017	WELLINGTON, AARON	AM FUNDS NEW ECONOMY A	0.00	5.24	0.00	5.24	90.0	4.72
06/01/2017	BRANSON, GARRETT	AM FUNDS NEW PERSPECTIVE A	0.00	2.44	0.00	2.44	90.0	2.20
06/01/2017	BRANSON, GARRETT	AM FUNDS NEW WORLD A	0.00	1.82	0.00	1.82	90.0	1.64
06/01/2017	WELLINGTON, AARON	AM FUNDS NEW WORLD A	0.00	2.26	0.00	2.26	90.0	2.03
06/01/2017	RAPATA, DANIEL	AM FUNDS NEW WORLD A	0.00	2.90	0.00	2.90	90.0	2.61
06/01/2017	CULLEY-RAPATA, KATHRYN	AM FUNDS NEW WORLD A	0.00	4.84	0.00	4.84	90.0	4.36
06/01/2017	DEUTSCH, SCOTT	AM FUNDS NEW WORLD A	0.00	1.72	0.00	1.72	90.0	1.55
06/01/2017	RAPATA, DANIEL	AM FUNDS NEW WORLD B	0.00	0.01	0.00	0.01	90.0	0.01
06/01/2017	GIOVANNINI TRUST, VICTOR	AM FUNDS NEW WORLD C	0.00	11.71	0.00	11.71	90.0	10.54
06/01/2017	LIEBERMAN, DAVID	AM FUNDS SMALLCAP WORLD A	50.00	1.88	0.00	1.88	90.0	1.69
06/01/2017	KOVACH, ERIC	AM FUNDS SMALLCAP WORLD A	25.00	1.06	0.00	1.06	90.0	0.95
06/01/2017	RAPATA, DANIEL	AM FUNDS SMALLCAP WORLD A	50.00	1.38	0.00	1.38	90.0	1.24
06/01/2017	LIVERIS, NICHOLAS	AM FUNDS SMALLCAP WORLD A	50.00	2.50	0.00	2.50	90.0	2.25
06/01/2017	BRANSON, GARRETT	AM FUNDS SMALLCAP WORLD A	0.00	1.70	0.00	1.70	90.0	1.53
06/01/2017	SAYRE, ROSS	AM FUNDS SMALLCAP WORLD A	0.00	10.23	0.00	10.23	90.0	9.21
06/01/2017	HIRSTIUS, CHARLES	AM FUNDS SMALLCAP WORLD A	0.00	2.72	0.00	2.72	90.0	2.45
06/01/2017	LAMPI, KEITH	AM FUNDS SMALLCAP WORLD A	0.00	5.36	0.00	5.36	90.0	4.82
06/01/2017	WINTER, JASON	AM FUNDS SMALLCAP WORLD A	0.00	8.05	0.00	8.05	90.0	7.25
06/01/2017	SMITH, PATRICK	AM FUNDS SMALLCAP WORLD A	0.00	1.34	0.00	1.34	90.0	1.21
06/01/2017	PARADISE, MICHAEL	AM FUNDS SMALLCAP WORLD A	0.00	10.08	0.00	10.08	90.0	9.07
06/01/2017	PARADISE, MICHEAL	AM FUNDS SMALLCAP WORLD A	0.00	4.41	0.00	4.41	90.0	3.97
06/01/2017	FUSCO, JAMES	AM FUNDS SMALLCAP WORLD A	0.00	1.55	0.00	1.55	90.0	1.40
06/01/2017	WELLINGTON, AARON	AM FUNDS SMALLCAP WORLD A	0.00	2.39	0.00	2.39	90.0	2.15
06/01/2017	FUSCO, MELISSA	AM FUNDS SMALLCAP WORLD A	0.00	1.75	0.00	1.75	90.0	1.58

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
06/01/2017	KENNEDY, RACHEL	AM FUNDS SMALLCAP WORLD A	0.00	2.56	0.00	2.56	90.0	2.30
06/01/2017	LIM, SUSIE	AM FUNDS SMALLCAP WORLD A	0.00	2.38	0.00	2.38	90.0	2.14
06/01/2017	LIEBERMAN, DAVID	AM FUNDS SMALLCAP WORLD A	0.00	5.43	0.00	5.43	90.0	4.89
06/01/2017	KOVACH, ERIC	AM FUNDS SMALLCAP WORLD A	0.00	8.01	0.00	8.01	90.0	7.21
06/01/2017	GREINER, PAUL	AM FUNDS SMALLCAP WORLD A	0.00	5.83	0.00	5.83	90.0	5.25
06/01/2017	MARASOVICH, THOMAS	AM FUNDS SMALLCAP WORLD A	0.00	4.84	0.00	4.84	90.0	4.36
06/01/2017	SANTOS, JAIMEE	AM FUNDS SMALLCAP WORLD A	0.00	3.74	0.00	3.74	90.0	3.37
06/01/2017	DELLAPORTAS, VASILIS	AM FUNDS SMALLCAP WORLD A	0.00	0.90	0.00	0.90	90.0	0.81
06/01/2017	RAPATA, DANIEL	AM FUNDS SMALLCAP WORLD A	0.00	3.09	0.00	3.09	90.0	2.78
06/01/2017	CULLEY-RAPATA, KATHRYN	AM FUNDS SMALLCAP WORLD A	0.00	4.65	0.00	4.65	90.0	4.19
06/01/2017	WEIL, PAUL	AM FUNDS SMALLCAP WORLD A	0.00	0.41	0.00	0.41	90.0	0.37
06/01/2017	LIVERIS, NICHOLAS	AM FUNDS SMALLCAP WORLD A	0.00	5.31	0.00	5.31	90.0	4.78
06/01/2017	RAY, SARA	AM FUNDS SMALLCAP WORLD A	0.00	1.28	0.00	1.28	90.0	1.15
06/01/2017	CRYLEN, ANNE	AM FUNDS SMALLCAP WORLD A	0.00	0.81	0.00	0.81	90.0	0.73
06/01/2017	SMITH, PATRICK	AM FUNDS SMALLCAP WORLD A	0.00	2.95	0.00	2.95	90.0	2.66
06/01/2017	SAYRE, ROSS	AM FUNDS SMALLCAP WORLD B	0.00	0.12	0.00	0.12	90.0	0.11
06/01/2017	WINTER, JASON	AM FUNDS SMALLCAP WORLD B	0.00	0.06	0.00	0.06	90.0	0.05
06/01/2017	PARADISE, MICHAEL	AM FUNDS SMALLCAP WORLD B	0.00	0.06	0.00	0.06	90.0	0.05
06/01/2017	GREINER, PAUL	AM FUNDS SMALLCAP WORLD B	0.00	0.06	0.00	0.06	90.0	0.05
06/01/2017	CULLEY-RAPATA, KATHRYN	AM FUNDS SMALLCAP WORLD B	0.00	0.06	0.00	0.06	90.0	0.05
06/01/2017	LADUCA, BRIAN	FT CONSERVATIVE ALLOCATION C	50.00	0.50	0.00	0.50	90.0	0.45
06/01/2017	WILSON, JOE	FT GROWTH ALLOC A	50.00	2.50	0.00	2.50	90.0	2.25
06/01/2017	CHASE, LINDA	FT MODERATE ALLOCATION FUND C	100.00	1.00	0.00	1.00	90.0	0.90
/ /	HOGLUND, KRISTEN	HARTFORD BALANCED ALLOCATION FUND C	0.00	0.17	0.00	0.17	90.0	0.15
/ /	LIVERIS, NICHOLAS	HARTFORD BALANCED ALLOCATION FUND C	0.00	15.59	0.00	15.59	90.0	14.03
/ /	WILLIS, JUDE	HARTFORD BALANCED ALLOCATION FUND C	0.00	5.05	0.00	5.05	90.0	4.55
06/01/2017	LIVERIS, NICHOLAS	HARTFORD BALANCED ALLOCATION FUND C	150.00	1.50	0.00	1.50	90.0	1.35
/ /	KENNEDY, RACHEL	HARTFORD CAPITAL APPRECIATION A	0.00	0.59	0.00	0.59	90.0	0.53
/ /	SANTOS, LOURDES	HARTFORD CAPITAL APPRECIATION C	0.00	2.98	0.00	2.98	90.0	2.68
/ /	MEYER, WILLIAM	HARTFORD CHECKS AND BALANCES FUND A	0.00	5.72	0.00	5.72	90.0	5.15
/ /	LOPEZ, JOSE	HARTFORD CHECKS AND BALANCES FUND A	0.00	6.01	0.00	6.01	90.0	5.41
/ /	RAY, SCOTT	HARTFORD CONSERVATIVE ALLOC C	0.00	2.77	0.00	2.77	90.0	2.49
/ /	SANTOS, LOURDES	HARTFORD DIVIDEND & GROWTH C	0.00	5.58	0.00	5.58	90.0	5.02

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
/ /	BORJA, AIDA	HARTFORD DIVIDEND & GROWTH C	0.00	8.45	0.00	8.45	90.0	7.61
06/01/2017	SANTOS, LOURDES	HARTFORD DIVIDEND & GROWTH C	50.00	0.50	0.00	0.50	90.0	0.45
06/01/2017	BORJA, AIDA	HARTFORD DIVIDEND & GROWTH C	50.00	0.50	0.00	0.50	90.0	0.45
/ /	SANTOS, JAIMEE	HARTFORD FLOATING RATE C	0.00	10.70	0.00	10.70	90.0	9.63
/ /	LIEBERMAN, SHARON	HARTFORD GROWTH ALLOCATION A	0.00	4.33	0.00	4.33	90.0	3.90
/ /	BAXTER, KIMBERLY	HARTFORD GROWTH ALLOCATION A	0.00	0.25	0.00	0.25	90.0	0.23
/ /	LAMPI, STEPHANIE	HARTFORD GROWTH ALLOCATION A	0.00	4.25	0.00	4.25	90.0	3.83
/ /	EAR, SIEV	HARTFORD GROWTH ALLOCATION A	0.00	2.24	0.00	2.24	90.0	2.02
/ /	STEFFEN, NATHAN	HARTFORD GROWTH ALLOCATION A	0.00	4.86	0.00	4.86	90.0	4.37
/ /	BIEGERT, LAUREN	HARTFORD GROWTH ALLOCATION A	0.00	12.43	0.00	12.43	90.0	11.19
/ /	CRYLEN, ANNE	HARTFORD GROWTH ALLOCATION A	0.00	0.74	0.00	0.74	90.0	0.67
/ /	FLORES, KARINA	HARTFORD GROWTH ALLOCATION A	0.00	0.69	0.00	0.69	90.0	0.62
06/01/2017	LIEBERMAN, SHARON	HARTFORD GROWTH ALLOCATION A	100.00	4.75	0.00	4.75	90.0	4.28
/ /	LIEBERMAN, SHARON	HARTFORD GROWTH ALLOCATION B	0.00	0.16	0.00	0.16	90.0	0.14
/ /	LAMPI, STEPHANIE	HARTFORD GROWTH ALLOCATION B	0.00	0.15	0.00	0.15	90.0	0.14
/ /	STEFFEN, NATHAN	HARTFORD GROWTH OPP A	0.00	1.74	0.00	1.74	90.0	1.57
/ /	KENNEDY, RACHEL	HARTFORD GROWTH OPP A	0.00	0.75	0.00	0.75	90.0	0.68
/ /	DELLAPORTAS, VASILIS	HARTFORD TOTAL RETURN BOND A	0.00	1.84	0.00	1.84	90.0	1.66
/ /	SANTOS, LOURDES	HARTFORD TOTAL RETURN BOND FUND C	0.00	0.50	0.00	0.50	90.0	0.45
/ /	SANTOS, LOURDES	HARTFORD TOTAL RETURN BOND FUND C	0.00	4.27	0.00	4.27	90.0	3.84
/ /	BORJA, AIDA	HARTFORD TOTAL RETURN BOND FUND C	0.00	5.76	0.00	5.76	90.0	5.18
06/01/2017	BORJA, AIDA	HARTFORD TOTAL RETURN BOND FUND C	50.00	0.50	0.00	0.50	90.0	0.45
/ /	VOLKOBBER, SUSAN	UB TRUST FUND 60 A	0.00	1.50	0.00	1.50	90.0	1.35
05/22/2017	VOLKOBBER, SUSAN	UB TRUST FUND 60 A	50.00	1.50	0.00	1.50	90.0	1.35
05/11/2017	REHMAN, AFSHAN	UB TRUST FUND 80 A	75.00	2.25	0.00	2.25	90.0	2.03
05/11/2017	REHMAN, AFSHAN	UB TRUST FUND 80 A	12.50	0.38	0.00	0.38	90.0	0.34
05/11/2017	REHMAN, AFSHAN	UB TRUST FUND 80 A	12.50	0.38	0.00	0.38	90.0	0.34
05/25/2017	REHMAN, AFSHAN	UB TRUST FUND 80 A	75.00	2.25	0.00	2.25	90.0	2.03
05/25/2017	REHMAN, AFSHAN	UB TRUST FUND 80 A	12.50	0.38	0.00	0.38	90.0	0.34
05/25/2017	REHMAN, AFSHAN	UB TRUST FUND 80 A	12.50	0.38	0.00	0.38	90.0	0.34
05/17/2017	MOLBERGER, KIMBERLY	UBT AGGRESSIVE AGE BASED 0-02-A	100.00	3.00	0.00	3.00	90.0	2.70
05/05/2017	SAAM, ROBERT	UBT AGGRESSIVE AGE BASED 06-08-A	200.00	6.00	0.00	6.00	90.0	5.40
05/15/2017	MOLBERGER, KIMBERLY	UBT AGGRESSIVE AGE BASED 06-08-A	100.00	3.00	0.00	3.00	90.0	2.70

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
05/22/2017	BAXTER, KIMBERLY	UBT AGGRESSIVE AGE BASED 06-08-A	25.00	0.75	0.00	0.75	90.0	0.68
05/15/2017	MOLBERGER, KIMBERLY	UBT AGGRESSIVE AGE BASED 09-10-A	100.00	3.00	0.00	3.00	90.0	2.70
05/22/2017	BAXTER, KIMBERLY	UBT AGGRESSIVE AGE BASED 09-10-A	25.00	0.75	0.00	0.75	90.0	0.68
05/01/2017	BRANNAN, JESSE	UBT MODERATE AGE BASED 0-02-A	250.00	7.50	0.00	7.50	90.0	6.75
05/09/2017	BRANNAN, JESSE	UBT MODERATE AGE BASED 0-02-A	5,100.00	153.00	0.00	153.00	90.0	137.70
05/15/2017	WASPI, GRANT	UBT MODERATE AGE BASED 0-02-A	50.00	1.50	0.00	1.50	90.0	1.35
05/17/2017	TUCKER, BRANDON	UBT MODERATE AGE BASED 0-02-A	250.00	7.50	0.00	7.50	90.0	6.75
05/17/2017	ROLLINGER, LAUREN	UBT MODERATE AGE BASED 0-02-A	30.00	0.90	0.00	0.90	90.0	0.81
05/17/2017	ARIAS, MELISSA	UBT MODERATE AGE BASED 0-02-A	300.00	9.00	0.00	9.00	90.0	8.10
05/17/2017	LAMPI, KEITH	UBT MODERATE AGE BASED 0-02-A	250.00	7.50	0.00	7.50	90.0	6.75
05/17/2017	MARIQUINA, JACQUELINE	UBT MODERATE AGE BASED 0-02-A	10.00	0.30	0.00	0.30	90.0	0.27
05/17/2017	MACK, ALEXANDER	UBT MODERATE AGE BASED 0-02-A	250.00	7.50	0.00	7.50	90.0	6.75
05/17/2017	NORRIS, VALERIE	UBT MODERATE AGE BASED 0-02-A	150.00	4.50	0.00	4.50	90.0	4.05
05/17/2017	ROLLINGER, LAUREN	UBT MODERATE AGE BASED 0-02-A	30.00	0.90	0.00	0.90	90.0	0.81
05/01/2017	KLABACHA, JASON	UBT MODERATE AGE BASED 03-05-A	300.00	9.00	0.00	9.00	90.0	8.10
05/01/2017	REIDY, TIFFANY	UBT MODERATE AGE BASED 03-05-A	150.00	4.50	0.00	4.50	90.0	4.05
05/01/2017	LAMPI, KEITH	UBT MODERATE AGE BASED 03-05-A	250.00	7.50	0.00	7.50	90.0	6.75
05/01/2017	BRANNAN, JESSE	UBT MODERATE AGE BASED 03-05-A	250.00	7.50	0.00	7.50	90.0	6.75
05/01/2017	NORRIS, VALERIE	UBT MODERATE AGE BASED 03-05-A	150.00	4.50	0.00	4.50	90.0	4.05
05/01/2017	CATANESE, JODY	UBT MODERATE AGE BASED 03-05-A	100.00	3.00	0.00	3.00	90.0	2.70
05/01/2017	COLAN, MICHAEL	UBT MODERATE AGE BASED 03-05-A	75.00	2.25	0.00	2.25	90.0	2.03
05/01/2017	ROLLINGER, LAUREN	UBT MODERATE AGE BASED 03-05-A	30.00	0.90	0.00	0.90	90.0	0.81
05/01/2017	WHITE, AMANDA	UBT MODERATE AGE BASED 03-05-A	100.00	3.00	0.00	3.00	90.0	2.70
05/01/2017	REIDY, TIFFANY	UBT MODERATE AGE BASED 03-05-A	150.00	4.50	0.00	4.50	90.0	4.05
05/08/2017	ARATA, MATHEW	UBT MODERATE AGE BASED 03-05-A	111.00	3.33	0.00	3.33	90.0	3.00
05/09/2017	BRANNAN, JESSE	UBT MODERATE AGE BASED 03-05-A	5,100.00	153.00	0.00	153.00	90.0	137.70
05/15/2017	ARIAS, MELISSA	UBT MODERATE AGE BASED 03-05-A	300.00	9.00	0.00	9.00	90.0	8.10
05/15/2017	GREINER, PAUL	UBT MODERATE AGE BASED 03-05-A	150.00	4.50	0.00	4.50	90.0	4.05
05/15/2017	GREINER, PAUL	UBT MODERATE AGE BASED 03-05-A	150.00	4.50	0.00	4.50	90.0	4.05
05/16/2017	MARTIN, JOELLYN	UBT MODERATE AGE BASED 03-05-A	250.00	7.50	0.00	7.50	90.0	6.75
05/17/2017	WILSON, JOE	UBT MODERATE AGE BASED 03-05-A	30.00	0.90	0.00	0.90	90.0	0.81
05/17/2017	KARKI, TRISHA	UBT MODERATE AGE BASED 03-05-A	25.00	0.75	0.00	0.75	90.0	0.68
05/17/2017	MEYER, ELIZABETH	UBT MODERATE AGE BASED 03-05-A	25.00	0.75	0.00	0.75	90.0	0.68

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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>								
05/17/2017	CATANESE, JODY	UBT MODERATE AGE BASED 03-05-A	100.00	3.00	0.00	3.00	90.0	2.70
05/17/2017	DEUTSCH, SCOTT	UBT MODERATE AGE BASED 03-05-A	500.00	15.00	0.00	15.00	90.0	13.50
05/17/2017	ARATA, MATHEW	UBT MODERATE AGE BASED 03-05-A	111.00	3.33	0.00	3.33	90.0	3.00
05/17/2017	SILKAITIS, MYIA	UBT MODERATE AGE BASED 03-05-A	50.00	1.50	0.00	1.50	90.0	1.35
05/17/2017	MARIQUINA, JACQUELINE	UBT MODERATE AGE BASED 03-05-A	25.00	0.75	0.00	0.75	90.0	0.68
05/17/2017	SAYRE, MICHAEL	UBT MODERATE AGE BASED 03-05-A	500.00	15.00	0.00	15.00	90.0	13.50
05/17/2017	SAYRE, MICHAEL	UBT MODERATE AGE BASED 03-05-A	500.00	15.00	0.00	15.00	90.0	13.50
05/18/2017	CATANESE, ERIN	UBT MODERATE AGE BASED 03-05-A	500.00	15.00	0.00	15.00	90.0	13.50
05/30/2017	COLAN, MICHAEL	UBT MODERATE AGE BASED 03-05-A	75.00	2.25	0.00	2.25	90.0	2.03
05/01/2017	KLABACHA, JASON	UBT MODERATE AGE BASED 06-08-A	300.00	9.00	0.00	9.00	90.0	8.10
05/01/2017	MUELLNER, MARK	UBT MODERATE AGE BASED 06-08-A	100.00	3.00	0.00	3.00	90.0	2.70
05/01/2017	SILKAITIS, MYIA	UBT MODERATE AGE BASED 06-08-A	50.00	1.50	0.00	1.50	90.0	1.35
05/01/2017	LIM, SUSIE	UBT MODERATE AGE BASED 06-08-A	100.00	3.00	0.00	3.00	90.0	2.70
05/01/2017	BATTAGLIA, MICHAEL	UBT MODERATE AGE BASED 06-08-A	50.00	1.50	0.00	1.50	90.0	1.35
05/01/2017	SAAM, ROBERT	UBT MODERATE AGE BASED 06-08-A	200.00	6.00	0.00	6.00	90.0	5.40
05/01/2017	COLAN, MICHAEL	UBT MODERATE AGE BASED 06-08-A	75.00	2.25	0.00	2.25	90.0	2.03
05/05/2017	WILKINS, AARON	UBT MODERATE AGE BASED 06-08-A	150.00	4.50	0.00	4.50	90.0	4.05
05/15/2017	LIEBERMAN, DAVID	UBT MODERATE AGE BASED 06-08-A	100.00	3.00	0.00	3.00	90.0	2.70
05/15/2017	LAMPI, KEITH	UBT MODERATE AGE BASED 06-08-A	250.00	7.50	0.00	7.50	90.0	6.75
05/16/2017	MARTIN, JOELLYN	UBT MODERATE AGE BASED 06-08-A	250.00	7.50	0.00	7.50	90.0	6.75
05/17/2017	MEYER, ELIZABETH	UBT MODERATE AGE BASED 06-08-A	25.00	0.75	0.00	0.75	90.0	0.68
05/17/2017	CONTRERAS, ANDY	UBT MODERATE AGE BASED 06-08-A	50.00	1.50	0.00	1.50	90.0	1.35
05/17/2017	CONTRERAS, ANDY	UBT MODERATE AGE BASED 06-08-A	50.00	1.50	0.00	1.50	90.0	1.35
05/18/2017	CATANESE, ERIN	UBT MODERATE AGE BASED 06-08-A	500.00	15.00	0.00	15.00	90.0	13.50
05/22/2017	KARKI, TRISHA	UBT MODERATE AGE BASED 06-08-A	25.00	0.75	0.00	0.75	90.0	0.68
05/30/2017	COLAN, MICHAEL	UBT MODERATE AGE BASED 06-08-A	75.00	2.25	0.00	2.25	90.0	2.03
05/01/2017	COLAN, MICHAEL	UBT MODERATE AGE BASED 09-10-A	75.00	2.25	0.00	2.25	90.0	2.03
05/01/2017	MUELLNER, MARK	UBT MODERATE AGE BASED 09-10-A	100.00	3.00	0.00	3.00	90.0	2.70
05/05/2017	WILKINS, AARON	UBT MODERATE AGE BASED 09-10-A	150.00	4.50	0.00	4.50	90.0	4.05
05/15/2017	WELLINGTON, ERICA	UBT MODERATE AGE BASED 09-10-A	250.00	7.50	0.00	7.50	90.0	6.75
05/17/2017	HIRSTIUS, KERRIE	UBT MODERATE AGE BASED 09-10-A	175.00	5.25	0.00	5.25	90.0	4.73
05/30/2017	COLAN, MICHAEL	UBT MODERATE AGE BASED 09-10-A	75.00	2.25	0.00	2.25	90.0	2.03
05/01/2017	BATTAGLIA, MICHAEL	UBT MODERATE AGE BASED 11-12-A	100.00	3.00	0.00	3.00	90.0	2.70

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
05/01/2017	HINTCH, ELIZABETH	UBT MODERATE AGE BASED 11-12-A	850.00	25.50	0.00	25.50	90.0	22.95
05/01/2017	STETTER, MARIA	UBT MODERATE AGE BASED 11-12-A	50.00	1.50	0.00	1.50	90.0	1.35
05/15/2017	LIEBERMAN, DAVID	UBT MODERATE AGE BASED 11-12-A	100.00	3.00	0.00	3.00	90.0	2.70
05/01/2017	MUELLNER, MARK	UBT MODERATE AGE BASED 13-14-A	100.00	3.00	0.00	3.00	90.0	2.70
05/15/2017	WELLINGTON, ERICA	UBT MODERATE AGE BASED 13-14-A	250.00	7.50	0.00	7.50	90.0	6.75
05/04/2017	ROSALES-HARRIGAN, ESTELA	UBT MODERATE AGE BASED 15-16-A	150.00	4.50	0.00	4.50	90.0	4.05
05/05/2017	LOPEZ, JOSE	UBT MODERATE AGE BASED 15-16-A	50.00	1.50	0.00	1.50	90.0	1.35
05/22/2017	GUIRAGOSSIAN, BETSY	UBT MODERATE AGE BASED 15-16-A	100.00	3.00	0.00	3.00	90.0	2.70
05/05/2017	LOPEZ, JOSE	UBT MODERATE AGE BASED 17-18-A	50.00	1.50	0.00	1.50	90.0	1.35
05/22/2017	GUIRAGOSSIAN, BETSY	UBT MODERATE AGE BASED 17-18-A	100.00	3.00	0.00	3.00	90.0	2.70
05/05/2017	LOPEZ, JOSE	UBT MODERATE AGE BASED 19+-A	50.00	1.50	0.00	1.50	90.0	1.35
* MUTUAL FUNDS SUBTOTAL *			\$24,952.00	\$1,888.28	\$0.00	\$1,888.28		\$1,699.63
<u>PRODUCT CATEGORY: VARIABLE ANNUITIES</u>								
06/01/2017	GALLESE, ALLISON	JNL ELITE ACCESS	500.00	26.25	0.00	26.25	90.0	23.63
05/30/2017	LOIKA, GREGORY	SBL ADVISOR PROGRAM	5,850.66	4.87	0.00	4.87	90.0	4.38
05/30/2017	LOIKA, JENNIFER	SBL ADVISOR PROGRAM	5,854.90	4.89	0.00	4.89	90.0	4.40
* VARIABLE ANNUITIES SUBTOTAL *			\$12,205.56	\$36.01	\$0.00	\$36.01		\$32.41
<u>PRODUCT CATEGORY: VARIABLE ANNUITY 12B1 TRAILS</u>								
05/16/2017	KUHN TRUST, LINDA	GUARDIAN LIFE INS TRAILS	0.00	86.20	0.00	86.20	90.0	77.58
05/31/2017	EDUCATION, BOARD OF	VOYA RETIREMENT & ANNUITY	0.00	46.08	0.00	46.08	90.0	41.47
* VARIABLE ANNUITY 12B1 TRAILS SUBTOTAL *			\$0.00	\$132.28	\$0.00	\$132.28		\$119.05
*** BROKER TRANSACTIONS TOTAL ***			\$37,157.56	\$2,056.57	\$0.00	\$2,056.57		\$1,851.09

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<u>ADJUSTMENTS</u>								
06/15/2017		*CREDIT CARD PYT: CREDIT CARD PYT	0.00					1,050.00
06/15/2017		*E & O INSURANCE: CURRENT MONTH INS	0.00					-300.00
06/15/2017		*FINRA: MA IND. REG. FEE	0.00					-75.00
06/15/2017		*TECH: ADMIN-K JALOWIECKI	0.00					-100.00
06/15/2017		*TECH: ADMIN-W CLARK	0.00					-100.00
06/15/2017		*TECH: ALBRIDGE FULL	0.00					-100.00
06/15/2017		*TECHNOLOGY: ADMIN - MATT KUHN	0.00					-100.00
06/15/2017		*TECHNOLOGY: CURRENT MONTH TECH	0.00					-275.00
*** ADJUSTMENTS TOTAL ***			\$0.00	\$0.00	\$0.00	\$0.00		\$0.00

BROKER COMMISSION TOTALS

Broker Transactions	\$1,851.09
Split Transactions	\$0.00
Override Transactions	\$0.00
Adjustments	\$0.00
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$0.00
FINRA Assessment	\$0.00
SIPC Assessment	\$0.00

Check Amount	\$1,851.09
Year-to-date Gross	\$404,225.74
Year-to-date Earnings	\$363,804.24

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