

**COMMISSION STATEMENT****January 15, 2018**NATHANIEL KUHN
612 S. Bristol LaneBROKER #: K134
BRANCH: KUHN FINANCIAL, INC

Arlington Heights, IL 60005-

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: PRIVATE PLACEMENT</u>								
12/19/2017	1016-AET REALTY LLC	SEALEY STRATEGIC EQUITY PARTNERS LP	50,000.00	3,500.00	0.00	3,500.00	90.0	3,150.00
		* PRIVATE PLACEMENT SUBTOTAL *	\$50,000.00	\$3,500.00	\$0.00	\$3,500.00		\$3,150.00
<u>PRODUCT CATEGORY: OIL & GAS</u>								
12/14/2017	LAMPI FAMILY TRUST	WAVELAND RESOURCE PARTNERS IV	25,000.00	875.00	0.00	875.00	90.0	787.50
		* OIL & GAS SUBTOTAL *	\$25,000.00	\$875.00	\$0.00	\$875.00		\$787.50
<u>PRODUCT CATEGORY: 529 PLANS</u>								
01/05/2018	WIRTZ, GRETCHEN	AM FUNDS GROWTH AND INCOME 529A	150.00	6.38	0.00	6.38	90.0	5.74
12/18/2017	MOLBERGER, KIMBERLY	UBT AGGRESSIVE AGE BASED 0-02-A	100.00	3.00	0.00	3.00	90.0	2.70
12/05/2017	SAAM, ROBERT	UBT AGGRESSIVE AGE BASED 06-08-A	200.00	6.00	0.00	6.00	90.0	5.40
12/15/2017	MOLBERGER, KIMBERLY	UBT AGGRESSIVE AGE BASED 06-08-A	100.00	3.00	0.00	3.00	90.0	2.70
12/15/2017	MOLBERGER, KIMBERLY	UBT AGGRESSIVE AGE BASED 09-10-A	100.00	3.00	0.00	3.00	90.0	2.70
12/20/2017	BAXTER, KIMBERLY	UBT AGGRESSIVE AGE BASED 09-10-A	25.00	0.75	0.00	0.75	90.0	0.68
12/20/2017	BAXTER, KIMBERLY	UBT AGGRESSIVE AGE BASED 11-12-A	25.00	0.75	0.00	0.75	90.0	0.68
12/15/2017	WASPI, GRANT	UBT MODERATE AGE BASED 0-02-A	50.00	1.50	0.00	1.50	90.0	1.35
12/18/2017	ARIAS, MELISSA	UBT MODERATE AGE BASED 0-02-A	300.00	9.00	0.00	9.00	90.0	8.10
12/18/2017	LAMPI, KEITH	UBT MODERATE AGE BASED 0-02-A	50.00	1.50	0.00	1.50	90.0	1.35
12/18/2017	MARIQUINA, JACQUELINE	UBT MODERATE AGE BASED 0-02-A	10.00	0.30	0.00	0.30	90.0	0.27
12/18/2017	MACK, ALEXANDER	UBT MODERATE AGE BASED 0-02-A	250.00	7.50	0.00	7.50	90.0	6.75
12/18/2017	NORRIS, VALERIE	UBT MODERATE AGE BASED 0-02-A	150.00	4.50	0.00	4.50	90.0	4.05
12/18/2017	ROLLINGER, LAUREN	UBT MODERATE AGE BASED 0-02-A	30.00	0.90	0.00	0.90	90.0	0.81
12/18/2017	MEGER, AMANDA	UBT MODERATE AGE BASED 0-02-A	100.00	3.00	0.00	3.00	90.0	2.70
12/18/2017	TUCCINI, MELISSA	UBT MODERATE AGE BASED 0-02-A	50.00	1.50	0.00	1.50	90.0	1.35
12/18/2017	TUCCINI, MELISSA	UBT MODERATE AGE BASED 0-02-A	50.00	1.50	0.00	1.50	90.0	1.35
12/18/2017	DEUTSCH, SCOTT	UBT MODERATE AGE BASED 0-02-A	385.00	11.55	0.00	11.55	90.0	10.40
12/20/2017	BRANNAN, JESSE	UBT MODERATE AGE BASED 0-02-A	7,500.00	225.00	0.00	225.00	90.0	202.50

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: 529 PLANS</u>								
12/26/2017	BUERSTATTE, BRANDI	UBT MODERATE AGE BASED 0-02-A	200.00	6.00	0.00	6.00	90.0	5.40
12/27/2017	BRANNAN, JESSE	UBT MODERATE AGE BASED 0-02-A	500.00	15.00	0.00	15.00	90.0	13.50
12/27/2017	BRANNAN, JESSE	UBT MODERATE AGE BASED 0-02-A	130.00	3.90	0.00	3.90	90.0	3.51
12/01/2017	KLABACHA, JASON	UBT MODERATE AGE BASED 06-08-A	300.00	9.00	0.00	9.00	90.0	8.10
12/01/2017	SILKAITIS, MYIA	UBT MODERATE AGE BASED 06-08-A	50.00	1.50	0.00	1.50	90.0	1.35
12/01/2017	LIM, SUSIE	UBT MODERATE AGE BASED 06-08-A	100.00	3.00	0.00	3.00	90.0	2.70
12/01/2017	KLABACHA, JASON	UBT MODERATE AGE BASED 06-08-A	300.00	9.00	0.00	9.00	90.0	8.10
12/01/2017	REIDY, TIFFANY	UBT MODERATE AGE BASED 06-08-A	150.00	4.50	0.00	4.50	90.0	4.05
12/01/2017	BATTAGLIA, MICHAEL	UBT MODERATE AGE BASED 06-08-A	50.00	1.50	0.00	1.50	90.0	1.35
12/01/2017	SAAM, ROBERT	UBT MODERATE AGE BASED 06-08-A	200.00	6.00	0.00	6.00	90.0	5.40
12/05/2017	WILKINS, AARON	UBT MODERATE AGE BASED 06-08-A	150.00	4.50	0.00	4.50	90.0	4.05
12/15/2017	LIEBERMAN, DAVID	UBT MODERATE AGE BASED 06-08-A	100.00	3.00	0.00	3.00	90.0	2.70
12/15/2017	LAMPI, KEITH	UBT MODERATE AGE BASED 06-08-A	1,650.00	49.50	0.00	49.50	90.0	44.55
12/18/2017	MARTIN, JOELLYN	UBT MODERATE AGE BASED 06-08-A	250.00	7.50	0.00	7.50	90.0	6.75
12/18/2017	MEYER, ELIZABETH	UBT MODERATE AGE BASED 06-08-A	25.00	0.75	0.00	0.75	90.0	0.68
12/18/2017	MEYER, ELIZABETH	UBT MODERATE AGE BASED 06-08-A	25.00	0.75	0.00	0.75	90.0	0.68
12/18/2017	CONTRERAS, ANDY	UBT MODERATE AGE BASED 06-08-A	50.00	1.50	0.00	1.50	90.0	1.35
12/18/2017	CONTRERAS, ANDY	UBT MODERATE AGE BASED 06-08-A	50.00	1.50	0.00	1.50	90.0	1.35
12/21/2017	CATANESE, ERIN	UBT MODERATE AGE BASED 06-08-A	500.00	15.00	0.00	15.00	90.0	13.50
12/21/2017	CATANESE, ERIN	UBT MODERATE AGE BASED 06-08-A	500.00	15.00	0.00	15.00	90.0	13.50
12/26/2017	BUERSTATTE, BRANDI	UBT MODERATE AGE BASED 06-08-A	200.00	6.00	0.00	6.00	90.0	5.40
12/26/2017	BUERSTATTE, BRANDI	UBT MODERATE AGE BASED 06-08-A	200.00	6.00	0.00	6.00	90.0	5.40
12/01/2017	MUELLNER, MARK	UBT MODERATE AGE BASED 09-10-A	100.00	3.00	0.00	3.00	90.0	2.70
12/01/2017	MUELLNER, MARK	UBT MODERATE AGE BASED 09-10-A	100.00	3.00	0.00	3.00	90.0	2.70
12/01/2017	BATTAGLIA, MICHAEL	UBT MODERATE AGE BASED 11-12-A	100.00	3.00	0.00	3.00	90.0	2.70
12/01/2017	HINTCH, ELIZABETH	UBT MODERATE AGE BASED 11-12-A	917.00	27.51	0.00	27.51	90.0	24.76
12/01/2017	STETTER, MARIA	UBT MODERATE AGE BASED 11-12-A	50.00	1.50	0.00	1.50	90.0	1.35
12/05/2017	WILKINS, AARON	UBT MODERATE AGE BASED 11-12-A	150.00	4.50	0.00	4.50	90.0	4.05
12/15/2017	LIEBERMAN, DAVID	UBT MODERATE AGE BASED 11-12-A	100.00	3.00	0.00	3.00	90.0	2.70
12/15/2017	WELLINGTON, ERICA	UBT MODERATE AGE BASED 11-12-A	250.00	7.50	0.00	7.50	90.0	6.75
12/18/2017	HIRSTIUS, KERRIE	UBT MODERATE AGE BASED 11-12-A	255.00	7.65	0.00	7.65	90.0	6.89
12/01/2017	MUELLNER, MARK	UBT MODERATE AGE BASED 13-14-A	100.00	3.00	0.00	3.00	90.0	2.70
12/15/2017	WELLINGTON, ERICA	UBT MODERATE AGE BASED 13-14-A	250.00	7.50	0.00	7.50	90.0	6.75

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: 529 PLANS</u>								
12/05/2017	LOPEZ, JOSE	UBT MODERATE AGE BASED 15-16-A	50.00	1.50	0.00	1.50	90.0	1.35
12/20/2017	GUIRAGOSSIAN, BETSY	UBT MODERATE AGE BASED 15-16-A	100.00	3.00	0.00	3.00	90.0	2.70
12/04/2017	ROSALES-HARRIGAN, ESTELA	UBT MODERATE AGE BASED 17-18-A	150.00	4.50	0.00	4.50	90.0	4.05
12/05/2017	LOPEZ, JOSE	UBT MODERATE AGE BASED 17-18-A	50.00	1.50	0.00	1.50	90.0	1.35
12/20/2017	GUIRAGOSSIAN, BETSY	UBT MODERATE AGE BASED 17-18-A	100.00	3.00	0.00	3.00	90.0	2.70
12/05/2017	LOPEZ, JOSE	UBT MODERATE AGE BASED 19+-A	50.00	1.50	0.00	1.50	90.0	1.35
* 529 PLANS SUBTOTAL *			\$18,177.00	\$547.19	\$0.00	\$547.19		\$492.50
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
01/02/2018	KOVACH, ERIC	AM FUNDS AMCAP A	25.00	1.06	0.00	1.06	90.0	0.95
01/02/2018	SANTOS, LOURDES	AM FUNDS AMERICAN BALANCED C	100.00	1.00	0.00	1.00	90.0	0.90
01/02/2018	GOODMAN, MICHAEL	AM FUNDS BALANCED PORT A	50.00	2.50	0.00	2.50	90.0	2.25
01/02/2018	FUSCO, JAMES	AM FUNDS EUROPACIFIC GROWTH FUND A	150.00	5.63	0.00	5.63	90.0	5.07
01/02/2018	ROLLINGER, LAUREN	AM FUNDS FUNDAMENTAL INVESTORS A	50.00	2.50	0.00	2.50	90.0	2.25
12/26/2017	JOHNSON, LISA	AM FUNDS GROWTH FUND OF AMERICA A	50.00	2.50	0.00	2.50	90.0	2.25
01/02/2018	FUSCO, JAMES	AM FUNDS GROWTH FUND OF AMERICA A	50.00	1.88	0.00	1.88	90.0	1.69
01/02/2018	KOVACH, ERIC	AM FUNDS GROWTH FUND OF AMERICA A	25.00	1.06	0.00	1.06	90.0	0.95
01/02/2018	MANSKE, DONNA	AM FUNDS GROWTH FUND OF AMERICA A	50.00	2.50	0.00	2.50	90.0	2.25
01/02/2018	ROLLINGER, JOHN	AM FUNDS GROWTH FUND OF AMERICA A	50.00	2.50	0.00	2.50	90.0	2.25
01/02/2018	KOVACH, ERIC	AM FUNDS ICA A	25.00	1.06	0.00	1.06	90.0	0.95
01/02/2018	MANSKE, DONNA	AM FUNDS ICA A	50.00	2.50	0.00	2.50	90.0	2.25
01/02/2018	KOVACH, ERIC	AM FUNDS SMALLCAP WORLD A	25.00	1.06	0.00	1.06	90.0	0.95
01/02/2018	SANTOS, LOURDES	HARTFORD DIVIDEND & GROWTH C	50.00	0.50	0.00	0.50	90.0	0.45
/ /	SANTOS, LOURDES	HARTFORD TOTAL RETURN BOND FUND C	100.00	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
12/20/2017	VOLKOBBER, SUSAN	UB TRUST FUND 60 A	50.00	1.50	0.00	1.50	90.0	1.35
12/11/2017	REHMAN, AFSHAN	UB TRUST FUND 80 A	75.00	2.25	0.00	2.25	90.0	2.03
12/11/2017	REHMAN, AFSHAN	UB TRUST FUND 80 A	12.50	0.38	0.00	0.38	90.0	0.34
12/11/2017	REHMAN, AFSHAN	UB TRUST FUND 80 A	12.50	0.38	0.00	0.38	90.0	0.34
12/26/2017	REHMAN, AFSHAN	UB TRUST FUND 80 A	75.00	2.25	0.00	2.25	90.0	2.03
12/26/2017	REHMAN, AFSHAN	UB TRUST FUND 80 A	12.50	0.38	0.00	0.38	90.0	0.34
12/26/2017	REHMAN, AFSHAN	UB TRUST FUND 80 A	12.50	0.38	0.00	0.38	90.0	0.34
12/01/2017	LAMPI, KEITH	UBT MODERATE AGE BASED 03-05-A	1,250.00	37.50	0.00	37.50	90.0	33.75
12/01/2017	BRANNAN, JESSE	UBT MODERATE AGE BASED 03-05-A	250.00	7.50	0.00	7.50	90.0	6.75

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
12/01/2017	NORRIS, VALERIE	UBT MODERATE AGE BASED 03-05-A	150.00	4.50	0.00	4.50	90.0	4.05
12/01/2017	CATANESE, JODY	UBT MODERATE AGE BASED 03-05-A	100.00	3.00	0.00	3.00	90.0	2.70
12/01/2017	ROLLINGER, LAUREN	UBT MODERATE AGE BASED 03-05-A	30.00	0.90	0.00	0.90	90.0	0.81
12/01/2017	WHITE, AMANDA	UBT MODERATE AGE BASED 03-05-A	100.00	3.00	0.00	3.00	90.0	2.70
12/01/2017	REIDY, TIFFANY	UBT MODERATE AGE BASED 03-05-A	150.00	4.50	0.00	4.50	90.0	4.05
12/01/2017	BRANNAN, JESSE	UBT MODERATE AGE BASED 03-05-A	250.00	7.50	0.00	7.50	90.0	6.75
12/07/2017	ARATA, MATHEW	UBT MODERATE AGE BASED 03-05-A	111.00	3.33	0.00	3.33	90.0	3.00
12/15/2017	ARIAS, MELISSA	UBT MODERATE AGE BASED 03-05-A	300.00	9.00	0.00	9.00	90.0	8.10
12/15/2017	GREINER, PAUL	UBT MODERATE AGE BASED 03-05-A	150.00	4.50	0.00	4.50	90.0	4.05
12/15/2017	GREINER, PAUL	UBT MODERATE AGE BASED 03-05-A	150.00	4.50	0.00	4.50	90.0	4.05
12/18/2017	BRANNAN, JESSE	UBT MODERATE AGE BASED 03-05-A	500.00	15.00	0.00	15.00	90.0	13.50
12/18/2017	MARTIN, JOELLYN	UBT MODERATE AGE BASED 03-05-A	250.00	7.50	0.00	7.50	90.0	6.75
12/18/2017	WILSON, JOE	UBT MODERATE AGE BASED 03-05-A	30.00	0.90	0.00	0.90	90.0	0.81
12/18/2017	CATANESE, JODY	UBT MODERATE AGE BASED 03-05-A	100.00	3.00	0.00	3.00	90.0	2.70
12/18/2017	DEUTSCH, SCOTT	UBT MODERATE AGE BASED 03-05-A	385.00	11.55	0.00	11.55	90.0	10.40
12/18/2017	BRANNAN, JESSE	UBT MODERATE AGE BASED 03-05-A	500.00	15.00	0.00	15.00	90.0	13.50
12/18/2017	ARATA, MATHEW	UBT MODERATE AGE BASED 03-05-A	111.00	3.33	0.00	3.33	90.0	3.00
12/18/2017	TUCKER, BRANDON	UBT MODERATE AGE BASED 03-05-A	250.00	7.50	0.00	7.50	90.0	6.75
12/18/2017	ROLLINGER, LAUREN	UBT MODERATE AGE BASED 03-05-A	30.00	0.90	0.00	0.90	90.0	0.81
12/18/2017	SILKAITIS, MYIA	UBT MODERATE AGE BASED 03-05-A	50.00	1.50	0.00	1.50	90.0	1.35
12/18/2017	MARIQUINA, JACQUELINE	UBT MODERATE AGE BASED 03-05-A	25.00	0.75	0.00	0.75	90.0	0.68
12/18/2017	SAYRE, MICHAEL	UBT MODERATE AGE BASED 03-05-A	50.00	1.50	0.00	1.50	90.0	1.35
12/18/2017	SAYRE, MICHAEL	UBT MODERATE AGE BASED 03-05-A	50.00	1.50	0.00	1.50	90.0	1.35
12/26/2017	BUERSTATTE, BRANDI	UBT MODERATE AGE BASED 03-05-A	200.00	6.00	0.00	6.00	90.0	5.40
12/28/2017	GREINER, PAUL	UBT MODERATE AGE BASED 03-05-A	1,600.00	48.00	0.00	48.00	90.0	43.20
12/28/2017	GREINER, PAUL	UBT MODERATE AGE BASED 03-05-A	1,600.00	48.00	0.00	48.00	90.0	43.20
* MUTUAL FUNDS SUBTOTAL *			\$9,822.00	\$299.43	\$0.00	\$299.43		\$269.49
<u>PRODUCT CATEGORY: VARIABLE ANNUITIES</u>								
12/29/2017	KUHN, LINDA	HARTFORD DIRECTOR VII (HL)	19,805.70	12.38	0.00	12.38	90.0	11.14
01/02/2018	GALLESE, ALLISON	JNL ELITE ACCESS	500.00	26.25	0.00	26.25	90.0	23.63
12/30/2017	JOHNSON, LISA	NATIONWIDE BOA FUTURE II 32	53,141.23	33.21	0.00	33.21	90.0	29.89
12/30/2017	KUHN, THOMAS	NATIONWIDE BOA FUTURE II 32	459,304.57	287.07	0.00	287.07	90.0	258.36
12/31/2017	RITCHIE, KARREN	PRU AS ADVISOR PLAN III	103,280.67	64.55	0.00	64.55	90.0	58.10

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<u>DIRECT TRANSACTIONS</u>								
PRODUCT CATEGORY: VARIABLE ANNUITIES								
12/31/2017	RITCHIE, KARREN	PRU AS ADVISOR PLAN III	103,280.67	64.55	0.00	64.55	90.0	58.10
12/31/2017	RITCHIE, KARREN	PRU AS ADVISOR PLAN III	75,179.32	46.99	0.00	46.99	90.0	42.29
12/31/2017	RITCHIE, KARREN	PRU AS ADVISOR PLAN III	75,179.32	46.99	0.00	46.99	90.0	42.29
12/28/2017	LOIKA, GREGORY	SBL ADVISOR PROGRAM	7,144.41	5.97	0.00	5.97	90.0	5.37
12/28/2017	LOIKA, JENNIFER	SBL ADVISOR PROGRAM	7,148.82	5.97	0.00	5.97	90.0	5.37
* VARIABLE ANNUITIES SUBTOTAL *			\$903,964.71	\$593.93	\$0.00	\$593.93		\$534.54
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS								
/ /	HOGLUND, KRISTEN	HARTFORD BALANCED ALLOCATION FUND C	0.00	0.15	0.00	0.15	90.0	0.14
/ /	WILLIS, JUDE	HARTFORD BALANCED ALLOCATION FUND C	0.00	5.72	0.00	5.72	90.0	5.15
/ /	SANTOS, LOURDES	HARTFORD CAPITAL APPRECIATION C	0.00	3.21	0.00	3.21	90.0	2.89
/ /	MEYER, WILLIAM	HARTFORD CHECKS AND BALANCES FUND A	0.00	6.15	0.00	6.15	90.0	5.54
/ /	LOPEZ, JOSE	HARTFORD CHECKS AND BALANCES FUND A	0.00	6.46	0.00	6.46	90.0	5.81
/ /	RAY, SCOTT	HARTFORD CONSERVATIVE ALLOC C	0.00	2.87	0.00	2.87	90.0	2.58
/ /	SANTOS, LOURDES	HARTFORD DIVIDEND & GROWTH C	0.00	6.60	0.00	6.60	90.0	5.94
/ /	SANTOS, JAIMEE	HARTFORD FLOATING RATE C	0.00	11.48	0.00	11.48	90.0	10.33
/ /	BAXTER, KIMBERLY	HARTFORD GROWTH ALLOCATION A	0.00	0.27	0.00	0.27	90.0	0.24
/ /	EAR, SIEV	HARTFORD GROWTH ALLOCATION A	0.00	2.44	0.00	2.44	90.0	2.20
/ /	STEFFEN, NATHAN	HARTFORD GROWTH ALLOCATION A	0.00	5.31	0.00	5.31	90.0	4.78
/ /	BIEGERT, LAUREN	HARTFORD GROWTH ALLOCATION A	0.00	13.60	0.00	13.60	90.0	12.24
/ /	FLORES, KARINA	HARTFORD GROWTH ALLOCATION A	0.00	0.75	0.00	0.75	90.0	0.68
/ /	STEFFEN, NATHAN	HARTFORD GROWTH OPP A	0.00	1.96	0.00	1.96	90.0	1.76
/ /	DELLAPORTAS, VASILIS	HARTFORD TOTAL RETURN BOND A	0.00	1.86	0.00	1.86	90.0	1.67
/ /	SANTOS, LOURDES	HARTFORD TOTAL RETURN BOND FUND C	0.00	4.65	0.00	4.65	90.0	4.19
/ /	VOLKOVER, SUSAN	UB TRUST FUND 60 A	0.00	22.12	0.00	22.12	90.0	19.91
/ /	REHMAN, AFSHAN	UB TRUST FUND 80 A	0.00	6.22	0.00	6.22	90.0	5.60
/ /	REHMAN, AFSHAN	UB TRUST FUND 80 A	0.00	1.30	0.00	1.30	90.0	1.17
/ /	REHMAN, AFSHAN	UB TRUST FUND 80 A	0.00	1.30	0.00	1.30	90.0	1.17
/ /	GERALDS, PAMELA	UB TRUST FUND 80 A	0.00	1.83	0.00	1.83	90.0	1.65
/ /	CROW, ELISSA	UB&T MODERATE AGE BASED 09-10-C	0.00	21.04	0.00	21.04	90.0	18.94
/ /	MOLBERGER, KIMBERLY	UBT AGGRESSIVE AGE BASED 0-02-A	0.00	0.56	0.00	0.56	90.0	0.50
/ /	SAAM, ROBERT	UBT AGGRESSIVE AGE BASED 06-08-A	0.00	23.92	0.00	23.92	90.0	21.53
/ /	MOLBERGER, KIMBERLY	UBT AGGRESSIVE AGE BASED 06-08-A	0.00	5.75	0.00	5.75	90.0	5.18
/ /	BAXTER, KIMBERLY	UBT AGGRESSIVE AGE BASED 09-10-A	0.00	3.40	0.00	3.40	90.0	3.06

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
/ /	MOLBERGER, KIMBERLY	UBT AGGRESSIVE AGE BASED 09-10-A	0.00	9.40	0.00	9.40	90.0	8.46
/ /	BAXTER, KIMBERLY	UBT AGGRESSIVE AGE BASED 11-12-A	0.00	4.35	0.00	4.35	90.0	3.92
/ /	WIRTZ, GRETCHEN	UBT AGGRESSIVE AGE BASED 11-12-A	0.00	3.86	0.00	3.86	90.0	3.47
/ /	KUHN, NATHANIEL	UBT MODERATE AGE BASED 0-02-A	0.00	5.66	0.00	5.66	90.0	5.09
/ /	TUCKER, BRANDON	UBT MODERATE AGE BASED 0-02-A	0.00	1.74	0.00	1.74	90.0	1.57
/ /	BUERSTATTE, BRANDI	UBT MODERATE AGE BASED 0-02-A	0.00	0.22	0.00	0.22	90.0	0.20
/ /	ARIAS, MELISSA	UBT MODERATE AGE BASED 0-02-A	0.00	5.70	0.00	5.70	90.0	5.13
/ /	LAMPI, KEITH	UBT MODERATE AGE BASED 0-02-A	0.00	4.79	0.00	4.79	90.0	4.31
/ /	MARIQUINA, JACQUELINE	UBT MODERATE AGE BASED 0-02-A	0.00	0.48	0.00	0.48	90.0	0.43
/ /	MACK, ALEXANDER	UBT MODERATE AGE BASED 0-02-A	0.00	2.80	0.00	2.80	90.0	2.52
/ /	NORRIS, VALERIE	UBT MODERATE AGE BASED 0-02-A	0.00	2.60	0.00	2.60	90.0	2.34
/ /	BUERSTATTE, BRANDI	UBT MODERATE AGE BASED 0-02-A	0.00	0.29	0.00	0.29	90.0	0.26
/ /	ROLLINGER, LAUREN	UBT MODERATE AGE BASED 0-02-A	0.00	0.17	0.00	0.17	90.0	0.15
/ /	WASPI, GRANT	UBT MODERATE AGE BASED 0-02-A	0.00	0.21	0.00	0.21	90.0	0.19
/ /	MEGER, AMANDA	UBT MODERATE AGE BASED 0-02-A	0.00	0.22	0.00	0.22	90.0	0.20
/ /	TUCCINI, MELISSA	UBT MODERATE AGE BASED 0-02-A	0.00	0.08	0.00	0.08	90.0	0.07
/ /	TUCCINI, MELISSA	UBT MODERATE AGE BASED 0-02-A	0.00	0.08	0.00	0.08	90.0	0.07
/ /	DEUTSCH, SCOTT	UBT MODERATE AGE BASED 0-02-A	0.00	0.15	0.00	0.15	90.0	0.14
/ /	BRANNAN, JESSE	UBT MODERATE AGE BASED 0-02-A	0.00	0.62	0.00	0.62	90.0	0.56
/ /	LAMPI, KEITH	UBT MODERATE AGE BASED 03-05-A	0.00	9.03	0.00	9.03	90.0	8.13
/ /	CATANESE, ERIN	UBT MODERATE AGE BASED 03-05-A	0.00	12.09	0.00	12.09	90.0	10.88
/ /	BRANNAN, JESSE	UBT MODERATE AGE BASED 03-05-A	0.00	22.04	0.00	22.04	90.0	19.84
/ /	SISON, MARYBETH	UBT MODERATE AGE BASED 03-05-A	0.00	2.48	0.00	2.48	90.0	2.23
/ /	NORRIS, VALERIE	UBT MODERATE AGE BASED 03-05-A	0.00	29.16	0.00	29.16	90.0	26.24
/ /	CATANESE, JODY	UBT MODERATE AGE BASED 03-05-A	0.00	5.94	0.00	5.94	90.0	5.35
/ /	MARTIN, JOELLYN	UBT MODERATE AGE BASED 03-05-A	0.00	7.50	0.00	7.50	90.0	6.75
/ /	COLAN, MICHAEL	UBT MODERATE AGE BASED 03-05-A	0.00	2.08	0.00	2.08	90.0	1.87
/ /	ROLLINGER, LAUREN	UBT MODERATE AGE BASED 03-05-A	0.00	1.37	0.00	1.37	90.0	1.23
/ /	KADLEC, SABA	UBT MODERATE AGE BASED 03-05-A	0.00	0.14	0.00	0.14	90.0	0.13
/ /	WHITE, AMANDA	UBT MODERATE AGE BASED 03-05-A	0.00	4.31	0.00	4.31	90.0	3.88
/ /	ARIAS, MELISSA	UBT MODERATE AGE BASED 03-05-A	0.00	9.50	0.00	9.50	90.0	8.55
/ /	SAYRE, ROSS	UBT MODERATE AGE BASED 03-05-A	0.00	2.96	0.00	2.96	90.0	2.66
/ /	WILSON, JOE	UBT MODERATE AGE BASED 03-05-A	0.00	1.13	0.00	1.13	90.0	1.02

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
/ /	KARKI, TRISHA	UBT MODERATE AGE BASED 03-05-A	0.00	1.53	0.00	1.53	90.0	1.38
/ /	HARRIS, KRISTOFER	UBT MODERATE AGE BASED 03-05-A	0.00	0.13	0.00	0.13	90.0	0.12
/ /	BATTAGLIA, JULIE	UBT MODERATE AGE BASED 03-05-A	0.00	0.17	0.00	0.17	90.0	0.15
/ /	GREINER, PAUL	UBT MODERATE AGE BASED 03-05-A	0.00	11.04	0.00	11.04	90.0	9.94
/ /	GREINER, PAUL	UBT MODERATE AGE BASED 03-05-A	0.00	11.04	0.00	11.04	90.0	9.94
/ /	CATANESE, JODY	UBT MODERATE AGE BASED 03-05-A	0.00	3.70	0.00	3.70	90.0	3.33
/ /	REIDY, TIFFANY	UBT MODERATE AGE BASED 03-05-A	0.00	8.52	0.00	8.52	90.0	7.67
/ /	DEUTSCH, SCOTT	UBT MODERATE AGE BASED 03-05-A	0.00	14.46	0.00	14.46	90.0	13.01
/ /	BRANNAN, JESSE	UBT MODERATE AGE BASED 03-05-A	0.00	16.41	0.00	16.41	90.0	14.77
/ /	ARATA, MATHEW	UBT MODERATE AGE BASED 03-05-A	0.00	7.18	0.00	7.18	90.0	6.46
/ /	KUHN, NATHANIEL	UBT MODERATE AGE BASED 03-05-A	0.00	3.80	0.00	3.80	90.0	3.42
/ /	TUCKER, BRANDON	UBT MODERATE AGE BASED 03-05-A	0.00	5.19	0.00	5.19	90.0	4.67
/ /	ROLLINGER, LAUREN	UBT MODERATE AGE BASED 03-05-A	0.00	0.72	0.00	0.72	90.0	0.65
/ /	BUERSTATTE, BRANDI	UBT MODERATE AGE BASED 03-05-A	0.00	0.57	0.00	0.57	90.0	0.51
/ /	SILKAITIS, MYIA	UBT MODERATE AGE BASED 03-05-A	0.00	0.99	0.00	0.99	90.0	0.89
/ /	MARIQUINA, JACQUELINE	UBT MODERATE AGE BASED 03-05-A	0.00	0.30	0.00	0.30	90.0	0.27
/ /	SAYRE, MICHAEL	UBT MODERATE AGE BASED 03-05-A	0.00	3.00	0.00	3.00	90.0	2.70
/ /	SAYRE, MICHAEL	UBT MODERATE AGE BASED 03-05-A	0.00	3.00	0.00	3.00	90.0	2.70
/ /	LIEBERMAN, DAVID	UBT MODERATE AGE BASED 06-08-A	0.00	13.84	0.00	13.84	90.0	12.46
/ /	KLABACHA, JASON	UBT MODERATE AGE BASED 06-08-A	0.00	10.01	0.00	10.01	90.0	9.01
/ /	MARTIN, JOELLYN	UBT MODERATE AGE BASED 06-08-A	0.00	9.93	0.00	9.93	90.0	8.94
/ /	KUHN, NATHANIEL	UBT MODERATE AGE BASED 06-08-A	0.00	17.23	0.00	17.23	90.0	15.51
/ /	SISON, MARYBETH	UBT MODERATE AGE BASED 06-08-A	0.00	3.11	0.00	3.11	90.0	2.80
/ /	BUERSTATTE, BRANDI	UBT MODERATE AGE BASED 06-08-A	0.00	7.90	0.00	7.90	90.0	7.11
/ /	CATANESE, ERIN	UBT MODERATE AGE BASED 06-08-A	0.00	23.18	0.00	23.18	90.0	20.86
/ /	SILKAITIS, MYIA	UBT MODERATE AGE BASED 06-08-A	0.00	5.90	0.00	5.90	90.0	5.31
/ /	LIM, SUSIE	UBT MODERATE AGE BASED 06-08-A	0.00	9.35	0.00	9.35	90.0	8.42
/ /	KLABACHA, JASON	UBT MODERATE AGE BASED 06-08-A	0.00	9.16	0.00	9.16	90.0	8.24
/ /	REIDY, TIFFANY	UBT MODERATE AGE BASED 06-08-A	0.00	12.60	0.00	12.60	90.0	11.34
/ /	BATTAGLIA, MICHAEL	UBT MODERATE AGE BASED 06-08-A	0.00	2.99	0.00	2.99	90.0	2.69
/ /	WIRTZ, GRETCHEN	UBT MODERATE AGE BASED 06-08-A	0.00	1.52	0.00	1.52	90.0	1.37
/ /	SAAM, ROBERT	UBT MODERATE AGE BASED 06-08-A	0.00	11.18	0.00	11.18	90.0	10.06
/ /	LAMPI, KEITH	UBT MODERATE AGE BASED 06-08-A	0.00	4.36	0.00	4.36	90.0	3.92

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
/ /	CATANESE, ERIN	UBT MODERATE AGE BASED 06-08-A	0.00	10.57	0.00	10.57	90.0	9.51
/ /	KARKI, TRISHA	UBT MODERATE AGE BASED 06-08-A	0.00	1.67	0.00	1.67	90.0	1.50
/ /	COLAN, MICHAEL	UBT MODERATE AGE BASED 06-08-A	0.00	2.04	0.00	2.04	90.0	1.84
/ /	MEYER, ELIZABETH	UBT MODERATE AGE BASED 06-08-A	0.00	0.85	0.00	0.85	90.0	0.77
/ /	MEYER, ELIZABETH	UBT MODERATE AGE BASED 06-08-A	0.00	0.87	0.00	0.87	90.0	0.78
/ /	LAWLESS, JENNIFER	UBT MODERATE AGE BASED 06-08-A	0.00	2.58	0.00	2.58	90.0	2.32
/ /	CONTRERAS, ANDY	UBT MODERATE AGE BASED 06-08-A	0.00	0.71	0.00	0.71	90.0	0.64
/ /	CONTRERAS, ANDY	UBT MODERATE AGE BASED 06-08-A	0.00	0.71	0.00	0.71	90.0	0.64
/ /	SAYRE, MICHAEL	UBT MODERATE AGE BASED 06-08-A	0.00	0.38	0.00	0.38	90.0	0.34
/ /	SAYRE, MICHAEL	UBT MODERATE AGE BASED 06-08-A	0.00	0.38	0.00	0.38	90.0	0.34
/ /	HARRIS, KRISTOFER	UBT MODERATE AGE BASED 06-08-A	0.00	8.77	0.00	8.77	90.0	7.89
/ /	WILKINS, AARON	UBT MODERATE AGE BASED 06-08-A	0.00	10.83	0.00	10.83	90.0	9.75
/ /	LAMPI, KEITH	UBT MODERATE AGE BASED 06-08-A	0.00	18.15	0.00	18.15	90.0	16.34
/ /	BUERSTATTE, BRANDI	UBT MODERATE AGE BASED 06-08-A	0.00	10.11	0.00	10.11	90.0	9.10
/ /	CROW, ELISSA	UBT MODERATE AGE BASED 06-08-C	0.00	21.43	0.00	21.43	90.0	19.29
/ /	COLAN, MICHAEL	UBT MODERATE AGE BASED 09-10-A	0.00	3.59	0.00	3.59	90.0	3.23
/ /	LIEBERMAN, DAVID	UBT MODERATE AGE BASED 09-10-A	0.00	0.98	0.00	0.98	90.0	0.88
/ /	MUELLNER, MARK	UBT MODERATE AGE BASED 09-10-A	0.00	6.77	0.00	6.77	90.0	6.09
/ /	MUELLNER, MARK	UBT MODERATE AGE BASED 09-10-A	0.00	6.55	0.00	6.55	90.0	5.90
/ /	HARRIS, KRISTOFER	UBT MODERATE AGE BASED 09-10-A	0.00	11.34	0.00	11.34	90.0	10.21
/ /	LIEBERMAN, DAVID	UBT MODERATE AGE BASED 11-12-A	0.00	11.74	0.00	11.74	90.0	10.57
/ /	BATTAGLIA, MICHAEL	UBT MODERATE AGE BASED 11-12-A	0.00	7.62	0.00	7.62	90.0	6.86
/ /	HINTCH, ELIZABETH	UBT MODERATE AGE BASED 11-12-A	0.00	38.33	0.00	38.33	90.0	34.50
/ /	HIRSTIUS, KERRIE	UBT MODERATE AGE BASED 11-12-A	0.00	3.20	0.00	3.20	90.0	2.88
/ /	HIRSTIUS, KERRIE	UBT MODERATE AGE BASED 11-12-A	0.00	34.47	0.00	34.47	90.0	31.02
/ /	WELLINGTON, ERICA	UBT MODERATE AGE BASED 11-12-A	0.00	9.83	0.00	9.83	90.0	8.85
/ /	WILKINS, AARON	UBT MODERATE AGE BASED 11-12-A	0.00	14.96	0.00	14.96	90.0	13.46
/ /	STETTER, MARIA	UBT MODERATE AGE BASED 11-12-A	0.00	5.22	0.00	5.22	90.0	4.70
/ /	CROW, ELISSA	UBT MODERATE AGE BASED 11-12-C	0.00	20.20	0.00	20.20	90.0	18.18
/ /	MUELLNER, MARK	UBT MODERATE AGE BASED 13-14-A	0.00	6.27	0.00	6.27	90.0	5.64
/ /	WELLINGTON, ERICA	UBT MODERATE AGE BASED 13-14-A	0.00	11.28	0.00	11.28	90.0	10.15
/ /	LOPEZ, JOSE	UBT MODERATE AGE BASED 15-16-A	0.00	5.13	0.00	5.13	90.0	4.62
/ /	CONDE, CATHERINE	UBT MODERATE AGE BASED 15-16-A	0.00	2.71	0.00	2.71	90.0	2.44

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>DIRECT TRANSACTIONS</u>								
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS								
/ /	GUIRAGOSSIAN, BETSY	UBT MODERATE AGE BASED 15-16-A	0.00	13.36	0.00	13.36	90.0	12.02
/ /	LOPEZ, JOSE	UBT MODERATE AGE BASED 17-18-A	0.00	4.78	0.00	4.78	90.0	4.30
/ /	GUIRAGOSSIAN, BETSY	UBT MODERATE AGE BASED 17-18-A	0.00	5.69	0.00	5.69	90.0	5.12
/ /	ROSALES-HARRIGAN, ESTELA	UBT MODERATE AGE BASED 17-18-A	0.00	10.66	0.00	10.66	90.0	9.59
/ /	LOPEZ, JOSE	UBT MODERATE AGE BASED 19+-A	0.00	4.26	0.00	4.26	90.0	3.83
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *			\$0.00	\$877.07	\$0.00	\$877.07		\$789.40
*** DIRECT TRANSACTIONS TOTAL ***			\$1,006,963.71	\$6,692.62	\$0.00	\$6,692.62		\$6,023.43

ADJUSTMENTS

01/15/2018	*AI INSIGHT: CURRENT MONTH	0.00						-7.00
01/15/2018	*ALBRIDGE: FULL USER	0.00						-176.00
01/15/2018	*CONCIERGE SVC: REVERSE CONCIERGE F	0.00						50.00
01/15/2018	*CREDIT CARD PYT: CREDIT CARD PYT	0.00						1,041.00
01/15/2018	*E & O INSURANCE: CURRENT MONTH INS	0.00						-300.00
01/15/2018	*GLOBAL RELAY: WEBSITE	0.00						-15.00
01/15/2018	*LASER APP: CURRENT MONTH	0.00						-18.00
01/15/2018	*TECH: ADMIN-K JALOWIECKI	0.00						-130.00
01/15/2018	*TECH: ADMIN-W CLARK	0.00						-130.00
01/15/2018	*TECHNOLOGY: ADMIN - MATT KUHN	0.00						-135.00
01/15/2018	*TECHNOLOGY: CURRENT MONTH BASIC	0.00						-180.00
*** ADJUSTMENTS TOTAL ***			\$0.00	\$0.00	\$0.00	\$0.00		\$0.00

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BROKER COMMISSION TOTALS

Broker Transactions	\$6,023.43
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	\$6,023.43
Year-to-date Gross	\$6,692.62
Year-to-date Earnings	\$6,023.43