



Concorde Investment Services, LLC

04/17/2018

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COMMISSION STATEMENT**April 15, 2018**JOHN, R119 ROSS
7261 W. Central Ave.BROKER #: R119
BRANCH: INTEGRATED FINANCIAL

Toledo, OH 43617

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: 529 PLANS</u>								
04/02/2018	HUNTER, DEBORAH	AM FUNDS CAPITAL WORLD GRTH & INC 5	50.00	2.13	0.00	2.13	92.0	1.96
04/02/2018	HUNTER, DEBORAH	AM FUNDS WASHINGTON MUTUAL INVESTOR	50.00	2.13	0.00	2.13	92.0	1.96
* 529 PLANS SUBTOTAL *			\$100.00	\$4.26	\$0.00	\$4.26		\$3.92
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
03/29/2018	GOYER, CALLIE	AM FUNDS AMCAP A	10.00	0.43	0.00	0.43	92.0	0.40
04/02/2018	KRAUS, JENNIFER	AM FUNDS AMERICAN HIGH-INCOME TRUST	150.00	4.50	0.00	4.50	92.0	4.14
03/29/2018	GOYER, CALLIE	AM FUNDS CAPITAL WORLD GRTH & INC A	10.00	0.43	0.00	0.43	92.0	0.40
03/29/2018	GOYER, CALLIE	AM FUNDS EUROPACIFIC GROWTH FUND A	10.00	0.43	0.00	0.43	92.0	0.40
04/02/2018	RUMSCHLAG, DOUGLAS	AM FUNDS EUROPACIFIC GROWTH FUND A	77.64	2.14	0.00	2.14	92.0	1.97
03/29/2018	GOYER, CALLIE	AM FUNDS FUNDAMENTAL INVESTORS A	10.00	0.43	0.00	0.43	92.0	0.40
04/02/2018	RUMSCHLAG, DOUGLAS	AM FUNDS GROWTH FUND OF AMERICA A	77.64	2.14	0.00	2.14	92.0	1.97
03/29/2018	GOYER, CALLIE	AM FUNDS NEW ECONOMY A	15.00	0.64	0.00	0.64	92.0	0.59
03/29/2018	GOYER, CALLIE	AM FUNDS NEW WORLD A	10.00	0.43	0.00	0.43	92.0	0.40
03/28/2018	HILKENS, CHRISTOPHER	AM FUNDS SHORT TERM BND FUND OF AM	65.00	1.30	0.00	1.30	92.0	1.20
03/29/2018	GOYER, CALLIE	AM FUNDS SMALLCAP WORLD A	10.00	0.43	0.00	0.43	92.0	0.40
03/26/2018	VALADE, JOHN	AM FUNDS TAX-EXEMPT BOND FUND OF AM	1,000.00	27.50	0.00	27.50	92.0	25.30
03/29/2018	GOYER, CALLIE	AM FUNDS WASHINGTON MUTUAL INVESTOR	10.00	0.43	0.00	0.43	92.0	0.40
03/26/2018	PLAN	PUTNAM MULTI CAP GROWTH A	25.00	1.25	0.00	1.25	92.0	1.15
03/26/2018	PLAN	PUTNAM MULTI CAP GROWTH A	25.00	1.25	0.00	1.25	92.0	1.15
* MUTUAL FUNDS SUBTOTAL *			\$1,505.28	\$43.73	\$0.00	\$43.73		\$40.27
<u>PRODUCT CATEGORY: VARIABLE ANNUITIES</u>								
03/29/2018	SMOOT, DOROTHY	ALLIANZ VALUEMARK II	130,229.50	81.39	0.00	81.39	92.0	74.88
03/29/2018	DULINSKY, SHERRY	ALLIANZ VALUEMARK III	3,834.52	2.40	0.00	2.40	92.0	2.21
03/29/2018	WALLS, DIANE	ALLIANZ VALUEMARK III	88,450.66	55.28	0.00	55.28	92.0	50.86
03/29/2018	BENSCH, ARLYN	ALLIANZ VALUEMARK III	794.61	0.50	0.00	0.50	92.0	0.46

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: VARIABLE ANNUITIES</u>								
03/29/2018	BENSCH, CANDACE	ALLIANZ VALUEMARK III	798.26	0.50	0.00	0.50	92.0	0.46
03/29/2018	KRALL, JERRY	ALLIANZ VALUEMARK IV	2,738.34	1.71	0.00	1.71	92.0	1.57
03/29/2018	BRAITHWAITE, MICHAEL	ALLIANZ VALUEMARK IV	8,808.53	5.51	0.00	5.51	92.0	5.07
03/29/2018	WASSERMAN, JULIE	ALLIANZ VALUEMARK IV	6,085.59	3.80	0.00	3.80	92.0	3.50
03/29/2018	DIXON, RANDALL	ALLIANZ VALUEMARK IV	38,954.46	24.35	0.00	24.35	92.0	22.40
03/29/2018	KRALL, GARY	ALLIANZ VALUEMARK IV	17,440.85	10.90	0.00	10.90	92.0	10.03
03/29/2018	AUBRY, PATRICIA	AXA ACCUM ELITE II (NQ)	18,969.34	47.42	0.00	47.42	92.0	43.63
03/29/2018	JANICKI, KATHERINE	HARTFORD LEADERS (ILA)	4,653.41	2.91	0.00	2.91	92.0	2.68
03/29/2018	BRAGG, TYLER	HARTFORD LEADERS (ILA)	31,713.17	19.82	0.00	19.82	92.0	18.23
03/29/2018	KOZIARSKI, RICHARD	HARTFORD LEADERS OUTLOOK (ILA)	785.88	1.96	0.00	1.96	92.0	1.80
03/29/2018	AUBRY, PATRICIA	HARTFORD LEADERS OUTLOOK (ILA)	1,057.41	2.64	0.00	2.64	92.0	2.43
03/29/2018	AUBRY, PATRICIA	HARTFORD LEADERS OUTLOOK (ILA)	1,077.58	2.69	0.00	2.69	92.0	2.47
03/29/2018	IRWIN, JOHN	HARTFORD LEADERS OUTLOOK (ILA)	2,639.54	6.60	0.00	6.60	92.0	6.07
03/29/2018	ROSS, DANIEL	HARTFORD LEADERS OUTLOOK 2	53,931.87	134.83	0.00	134.83	92.0	124.04
03/29/2018	KIEHL, VERNON	HARTFORD LEADERS OUTLOOK 2	29,679.54	74.20	0.00	74.20	92.0	68.26
03/29/2018	MILLS, SARAH	HARTFORD LEADERS OUTLOOK 2	13,375.58	33.44	0.00	33.44	92.0	30.76
03/31/2018	IRWIN, JOHN	JNL ELITE ACCESS	152,681.60	31.81	0.00	31.81	92.0	29.27
03/31/2018	DEMKO, VERNA	JNL PERSPECTIVE	49,370.26	10.29	0.00	10.29	92.0	9.47
03/31/2018	LONG, PAUL	JNL PERSPECTIVE II 05/05	3,423.31	1.43	0.00	1.43	92.0	1.32
03/31/2018	LONG, LORI	JNL PERSPECTIVE L	14,889.79	12.41	0.00	12.41	92.0	11.42
03/31/2018	BENSCH, ARLYN	JNL PERSPECTIVE L	32,859.59	27.38	0.00	27.38	92.0	25.19
03/31/2018	BENSCH, CANDACE	JNL PERSPECTIVE L	27,963.45	23.30	0.00	23.30	92.0	21.44
03/31/2018	KRALL, JERRY	JOHN HANCOCK VENTURE III	42,027.64	35.02	0.00	35.02	92.0	32.22
03/31/2018	KEEFE, GERALD	JOHN HANCOCK VENTURE III	13,540.71	11.28	0.00	11.28	92.0	10.38
03/31/2018	HEINAMAN, ROBERT	JOHN HANCOCK VENTURE III	111,625.08	93.02	0.00	93.02	92.0	85.58
03/31/2018	KRAUS, JUDITH	JOHN HANCOCK VENTURE III	35,091.13	29.24	0.00	29.24	92.0	26.90
03/31/2018	GARDNER, WM	JOHN HANCOCK VENTURE III	130,020.55	108.35	0.00	108.35	92.0	99.68
03/31/2018	SILLIMAN, GRACE	JOHN HANCOCK VENTURE III	68,005.29	56.67	0.00	56.67	92.0	52.14
03/31/2018	CURSON, BEVERLY	JOHN HANCOCK VENTURE III	57,044.15	47.54	0.00	47.54	92.0	43.74
03/31/2018	JANICKI, KATHERINE	JOHN HANCOCK VENTURE III	96,202.99	80.17	0.00	80.17	92.0	73.76
03/31/2018	MOORE, GARY	JOHN HANCOCK VENTURE III	87,219.68	72.68	0.00	72.68	92.0	66.87
03/31/2018	IRWIN, JOHN	JOHN HANCOCK VENTURE III	72,055.92	60.05	0.00	60.05	92.0	55.25
03/31/2018	WAGONER JR, JOHN	JOHN HANCOCK VENTURE III	58,701.97	48.92	0.00	48.92	92.0	45.01

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<u>DIRECT TRANSACTIONS</u>								
PRODUCT CATEGORY: VARIABLE ANNUITIES								
03/31/2018	WOODRUFF, STEPHANIE	JOHN HANCOCK VENTURE III	58,229.63	48.52	0.00	48.52	92.0	44.64
03/30/2018	FISCHER, DAVID	NATIONWIDE BOA FUTURE II 32	211,119.58	263.90	0.00	263.90	92.0	242.79
03/30/2018	DOUGHERTY, RICO	NATIONWIDE DESTINATION L2 01	95,557.35	238.89	0.00	238.89	92.0	219.78
03/30/2018	ZINK, ROBERT	NATIONWIDE DESTINATION L2 01	345,361.76	863.40	0.00	863.40	92.0	794.33
03/30/2018	SCHNEIDER, MARGARET	NATIONWIDE DESTINATION LS 96	168,409.65	421.02	0.00	421.02	92.0	387.34
03/30/2018	HAUSFELD, DAVID	NATIONWIDE DESTINATION LS 96	171,414.95	428.54	0.00	428.54	92.0	394.26
03/30/2018	GERMAN, MARILYN	NATIONWIDE DESTINATION LS 96	131,443.03	328.61	0.00	328.61	92.0	302.32
03/30/2018	COUSINO TRUST, SUSAN	NATIONWIDE DESTINATION LS 96	369,053.44	922.63	0.00	922.63	92.0	848.82
03/30/2018	PEAKE, CAROL	NATIONWIDE DESTINATION LS 96	124,263.18	310.66	0.00	310.66	92.0	285.81
03/30/2018	MOORE, GARY	NATIONWIDE DESTINATION LS 96	89,574.87	223.94	0.00	223.94	92.0	206.02
03/30/2018	HEINAMAN, ROBERT	NATIONWIDE DESTINATION LS 96	114,931.08	287.33	0.00	287.33	92.0	264.34
03/30/2018	STEDCKE III, CLYDE	NATIONWIDE DESTINATION LS 96	152,538.41	381.35	0.00	381.35	92.0	350.84
03/30/2018	BRAUN, CHARLENE	NATIONWIDE DESTINATION LS 96	157,534.03	393.84	0.00	393.84	92.0	362.33
03/30/2018	IRWIN, JOHN	NATIONWIDE DESTINATION LS 96	127,564.18	318.91	0.00	318.91	92.0	293.40
03/30/2018	DUBENDORFER, SUSAN	NATIONWIDE DESTINATION LS 96	128,023.73	320.06	0.00	320.06	92.0	294.46
03/30/2018	MCBROOM, DENNIS	NATIONWIDE DESTINATION LS 96	126,590.28	316.48	0.00	316.48	92.0	291.16
03/30/2018	BRAUN, WILLIAM	NATIONWIDE DESTINATION LS 96	188,435.16	471.09	0.00	471.09	92.0	433.40
03/30/2018	SZABO, BONITA	NATIONWIDE DESTINATION LS 96	24,101.19	60.25	0.00	60.25	92.0	55.43
03/14/2018	CUMMINGS, BARBARA	TRANSAMERICA LIBERTY	146,849.92	122.37	0.00	122.37	92.0	112.58
03/20/2018	DOUGHERTY, RICO	TRANSAMERICA LIBERTY	109,140.76	90.95	0.00	90.95	92.0	83.67
03/21/2018	DEMKO, VERNA	TRANSAMERICA LIBERTY	84,748.07	70.62	0.00	70.62	92.0	64.97
03/22/2018	HOLLOWAY, LINDA	TRANSAMERICA LIBERTY	190,567.55	158.81	0.00	158.81	92.0	146.11
03/27/2018	ROSS, SUSAN	TRANSAMERICA LIBERTY	4,486.31	3.74	0.00	3.74	92.0	3.44
03/29/2018	DULINSKY, SHERRY	TRANSAMERICA LIBERTY	27,883.04	23.24	0.00	23.24	92.0	21.38
* VARIABLE ANNUITIES SUBTOTAL *			\$4,856,562.90	\$8,331.56	\$0.00	\$8,331.56		\$7,665.07
PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS								
/ /	WAGONER JR, JOHN	DELAWARE SMID CAP GROWTH A	0.00	2.59	0.00	2.59	92.0	2.38
/ /	SLAMAN, BRIAN	FIDELITY ADV NEW INSIGHTS C	0.00	1.06	0.00	1.06	92.0	0.98
/ /	SLAMAN, BRIAN	FIDELITY MIDCAP II C	0.00	1.25	0.00	1.25	92.0	1.15
03/19/2018	MOORE, LINDA	GRIFFIN INSTITUTIONAL ACCESS REAL E	0.00	4.47	0.00	4.47	92.0	4.11
/ /	DUBOW, ERIC	OPPENHEIMER INTL SMALL CO A	0.00	8.74	0.00	8.74	92.0	8.04
/ /	MANN, JAMES	OPPENHEIMER MAIN STREET A	0.00	8.30	0.00	8.30	92.0	7.64
/ /	MANN, JAMES	OPPENHEIMER MAIN STREET A	0.00	0.32	0.00	0.32	92.0	0.29

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
03/19/2018	ROSS, JEROME	PRINCIPAL FUNDS CONSERVATIVE GROWTH	0.00	4.35	0.00	4.35	92.0	4.00
04/02/2018	SHOEMAKER, DENNIS	PUTNAM DIVERSIFIED INCOME A	0.00	0.05	0.00	0.05	92.0	0.05
04/02/2018	SHOEMAKER, DENNIS	PUTNAM GROWTH OPP A	0.00	1.63	0.00	1.63	92.0	1.50
04/02/2018	DRAKE, ERIC	PUTNAM GROWTH OPP A	0.00	6.22	0.00	6.22	92.0	5.72
04/02/2018	PLAN	PUTNAM MULTI CAP GROWTH A	0.00	5.37	0.00	5.37	92.0	4.94
04/02/2018	WAGONER JR, JOHN	PUTNAM MULTI CAP GROWTH A	0.00	5.22	0.00	5.22	92.0	4.80
04/02/2018	DRAKE, ERIC	PUTNAM MULTI CAP GROWTH A	0.00	5.61	0.00	5.61	92.0	5.16
04/02/2018	PLAN	PUTNAM MULTI CAP GROWTH A	0.00	5.24	0.00	5.24	92.0	4.82
04/02/2018	PLAN	PUTNAM MULTI-CAP GROWTH B	0.00	2.53	0.00	2.53	92.0	2.33
04/02/2018	PLAN	PUTNAM MULTI-CAP GROWTH B	0.00	2.54	0.00	2.54	92.0	2.34
03/15/2018	OBERT, RONALD	TEMPLETON GROWTH A	0.00	0.14	0.00	0.14	92.0	0.13
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *			\$0.00	\$65.63	\$0.00	\$65.63		\$60.38
<u>PRODUCT CATEGORY: VARIABLE ANNUITY 12B1 TRAILS</u>								
03/31/2018	VALADE, DEANNA	LINCOLN BENEFIT TRAIL RENEWALS	125,070.24	78.17	0.00	78.17	92.0	71.92
03/31/2018	CURSON, BEVERLY	LINCOLN BENEFIT TRAIL RENEWALS	49,622.97	31.01	0.00	31.01	92.0	28.53
03/31/2018	FOX, JOSEPH	LINCOLN BENEFIT TRAIL RENEWALS	20,904.33	13.07	0.00	13.07	92.0	12.02
03/31/2018	SMOOT, C STEVEN	LINCOLN BENEFIT TRAIL RENEWALS	264,729.86	165.46	0.00	165.46	92.0	152.22
03/31/2018	VALADE, JOHN	LINCOLN BENEFIT TRAIL RENEWALS	13,769.18	8.61	0.00	8.61	92.0	7.92
03/31/2018	HUNTER, DEBORAH	LINCOLN BENEFIT TRAIL RENEWALS	25,684.26	16.05	0.00	16.05	92.0	14.77
03/31/2018	SWINDLE, CYNTHIA	LINCOLN BENEFIT TRAIL RENEWALS	641.82	0.64	0.00	0.64	92.0	0.59
03/31/2018	KORAKAS, LARRY	LINCOLN BENEFIT TRAIL RENEWALS	23,898.16	23.90	0.00	23.90	92.0	21.99
* VARIABLE ANNUITY 12B1 TRAILS SUBTOTAL *			\$524,320.82	\$336.91	\$0.00	\$336.91		\$309.96
*** DIRECT TRANSACTIONS TOTAL ***			\$5,382,489.00	\$8,782.09	\$0.00	\$8,782.09		\$8,079.60

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<u> OVERRIDE TRANSACTIONS </u>								
<u> BROKER: THOMAS, H121 HALSEY #10 </u>								
03/16/2018	LEROUX, LAURA	BLACKROCK 67776G469	1,000.00	35.00	0.00	35.00	85.0	2.45
		* THOMAS, H121 HALSEY SUBTOTAL *	\$1,000.00	\$35.00	\$0.00	\$35.00		\$2.45
<u> BROKER: THOMAS, H121 HALSEY #82 </u>								
04/02/2018	JOHNSON, CHARLES	AM FUNDS CAPITAL WORLD GRTH & INC A	2,000.00	100.00	0.00	100.00	85.0	7.00
04/02/2018	JOHNSON, CHARLES	AM FUNDS CAPITAL WORLD GRTH & INC A	2,000.00	100.00	0.00	100.00	85.0	7.00
03/28/2018	CANNON, BARBARA	AM FUNDS WASHINGTON MUTUAL INVESTOR	50.00	2.50	0.00	2.50	85.0	0.18
04/02/2018	DENHAM, CONSTANCE	AM FUNDS WASHINGTON MUTUAL INVESTOR	400.00	15.00	0.00	15.00	85.0	1.05
02/28/2018	LEROUX, LAURA	BLACKROCK 67776G469	0.00	7.50	0.00	7.50	85.0	0.53
02/28/2018	BUEHRER, SARAH	BLACKROCK 67776G519	0.00	1.43	0.00	1.43	85.0	0.10
02/28/2018	LEROUX, LAURA	BLACKROCK 67776G519	0.00	8.10	0.00	8.10	85.0	0.57
02/28/2018	LEININGER, LISA	BLACKROCK 67776G535	0.00	0.46	0.00	0.46	85.0	0.03
02/28/2018	LEININGER, LISA	BLACKROCK 67776G535	0.00	0.46	0.00	0.46	85.0	0.03
/ /	MARKLEY, JUSTIN	FIDELITY ADV EQUITY GROWTH CL M	0.00	3.88	0.00	3.88	85.0	0.27
/ /	BAKER, ELAINE	FIDELITY ADV GROWTH & INCOME C	0.00	8.01	0.00	8.01	85.0	0.56
/ /	EYLER, BARBARA	FIDELITY ADV GROWTH OPP A	0.00	4.05	0.00	4.05	85.0	0.28
/ /	BAKER, ELAINE	FIDELITY ADV GROWTH OPP C	0.00	5.63	0.00	5.63	85.0	0.39
/ /	FRANTZ, CRAIG	FIDELITY ADV INTL CAP APP C	0.00	6.92	0.00	6.92	85.0	0.48
/ /	BAKER, ELAINE	FIDELITY ADV INTL SMALL CAP OPP C	0.00	4.90	0.00	4.90	85.0	0.34
/ /	BAKER, ELAINE	FIDELITY ADV OVERSEAS C	0.00	4.51	0.00	4.51	85.0	0.32
/ /	BAKER, ELAINE	FIDELITY ADV UTILITIES C	0.00	6.30	0.00	6.30	85.0	0.44
/ /	BAKER, ELAINE	FIDELITY EQUITY GROWTH C	0.00	7.71	0.00	7.71	85.0	0.54
/ /	FRANTZ, CRAIG	FIDELITY EQUITY GROWTH C	0.00	10.22	0.00	10.22	85.0	0.72
/ /	MARKLEY, JUSTIN	FIDELITY EQUITY INCOME	0.00	5.46	0.00	5.46	85.0	0.38
/ /	EYLER, BARBARA	FIDELITY EQUITY INCOME A	0.00	6.51	0.00	6.51	85.0	0.46
/ /	BAKER, ELAINE	FIDELITY EQUITY INCOME C	0.00	6.37	0.00	6.37	85.0	0.45
/ /	FRANTZ, CRAIG	FIDELITY SMALL CAP C	0.00	15.66	0.00	15.66	85.0	1.10
/ /	BAKER, ELAINE	FIDELITY SMALL CAP VALUE C	0.00	7.19	0.00	7.19	85.0	0.50
/ /	FRANTZ, CRAIG	FIDELITY TECHNOLOGY C	0.00	7.98	0.00	7.98	85.0	0.56
02/28/2018	BUEHRER, SARAH	GLOBAL ALLOCATION FUND	0.00	1.39	0.00	1.39	85.0	0.10
03/29/2018	DREEZE, MARTIN	HARTFORD LEADERS OUTLOOK (ILA)	982.80	2.46	0.00	2.46	85.0	0.17
03/31/2018	BUEHRER, DANIEL	JNL PERSPECTIVE L	28,313.10	23.59	0.00	23.59	85.0	1.65
03/31/2018	BUEHRER, DANIEL	JNL PERSPECTIVE L	157,926.44	171.09	0.00	171.09	85.0	11.98
03/31/2018	NOWAK, DAVID	JOHN HANCOCK VENTURE III	19,141.47	15.95	0.00	15.95	85.0	1.12

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<u> OVERRIDE TRANSACTIONS </u>								
<u> BROKER: THOMAS, H121 HALSEY #82 </u>								
03/31/2018	TANGERMAN, JEANETTE	JOHN HANCOCK VENTURE III	53,989.02	44.99	0.00	44.99	85.0	3.15
03/31/2018	DESELMs, EVELYN	JOHN HANCOCK VENTURE III	42,694.10	35.58	0.00	35.58	85.0	2.49
04/01/2018	DAY, JAMES	MFS MASS INVESTORS TRUST A	0.00	9.00	0.00	9.00	85.0	0.63
04/04/2018	PRZYBYLSKI, JEREMIAH	MML ARTISTRY	100.00	5.50	0.00	5.50	85.0	0.39
03/30/2018	PRZYBYLSKI, DIANA	NATIONWIDE DESTINATION LS 96	92,284.01	230.71	0.00	230.71	85.0	16.15
04/03/2018	FRANTZ, JUDITH	PIONEER CULLEN VALUE FUND A	0.00	18.68	0.00	18.68	85.0	1.31
04/03/2018	FRANTZ, JUDITH	PIONEER EQUITY INCOME A	0.00	34.88	0.00	34.88	85.0	2.44
04/03/2018	FRANTZ, JUDITH	PIONEER FUND A	0.00	4.35	0.00	4.35	85.0	0.30
04/03/2018	FRANTZ, JUDITH	PIONEER GLOBAL EQUITY A	0.00	5.02	0.00	5.02	85.0	0.35
04/03/2018	FRANTZ, JUDITH	PIONEER GROWTH OPPORTUNITIES A	0.00	4.81	0.00	4.81	85.0	0.34
04/03/2018	FRANTZ, JUDITH	PIONEER VALUE A	0.00	36.54	0.00	36.54	85.0	2.56
03/02/2018	PRZBYLSKI, MICHAEL	TRANSAMERICA LIBERTY	139,700.20	116.42	0.00	116.42	85.0	8.15
03/05/2018	BAUMGARTNER, DIANA	TRANSAMERICA LIBERTY	113,456.32	94.55	0.00	94.55	85.0	6.62
03/05/2018	FRANTZ, JUDITH	TRANSAMERICA LIBERTY	84,628.93	70.52	0.00	70.52	85.0	4.94
03/06/2018	BEISWENGER, RANDALL	TRANSAMERICA LIBERTY	244,239.73	203.53	0.00	203.53	85.0	14.25
03/07/2018	EYLER, BARBARA	TRANSAMERICA LIBERTY	105,168.93	87.64	0.00	87.64	85.0	6.13
03/07/2018	BUEHRER, SARAH	TRANSAMERICA LIBERTY	147,362.12	122.80	0.00	122.80	85.0	8.60
03/07/2018	BUEHRER, DANIEL	TRANSAMERICA LIBERTY	151,582.98	126.32	0.00	126.32	85.0	8.84
03/07/2018	LUCARELLI JR, VICTOR	TRANSAMERICA LIBERTY	197,045.64	164.20	0.00	164.20	85.0	11.49
03/08/2018	FERGUSON, MARK	TRANSAMERICA LIBERTY	254,456.05	212.05	0.00	212.05	85.0	14.84
03/08/2018	DE SELMS, KAREN	TRANSAMERICA LIBERTY	135,858.66	113.22	0.00	113.22	85.0	7.93
03/09/2018	KREMPEC, JEFFREY	TRANSAMERICA LIBERTY	179,976.68	149.98	0.00	149.98	85.0	10.50
03/10/2018	THANASIU, THOMAS	TRANSAMERICA LIBERTY	113,520.82	94.60	0.00	94.60	85.0	6.62
03/10/2018	HALSEY, WILLIAM	TRANSAMERICA LIBERTY	98,228.14	81.86	0.00	81.86	85.0	5.73
03/10/2018	RIEBE, MICHAEL	TRANSAMERICA LIBERTY	90,889.39	75.74	0.00	75.74	85.0	5.30
03/12/2018	DIENER, JUDITH	TRANSAMERICA LIBERTY	144,638.73	120.53	0.00	120.53	85.0	8.44
03/12/2018	RUCH, RONALD	TRANSAMERICA LIBERTY	66,108.51	55.09	0.00	55.09	85.0	3.86
03/13/2018	ZOLNER, MERIBETH	TRANSAMERICA LIBERTY	30,447.27	25.37	0.00	25.37	85.0	1.78
03/16/2018	BAKER, ELAINE	TRANSAMERICA LIBERTY	233,850.50	194.88	0.00	194.88	85.0	13.64
03/19/2018	KREMPEC, KAY	TRANSAMERICA LIBERTY	71,306.60	59.42	0.00	59.42	85.0	4.16
03/19/2018	KREMPEC, KAY	TRANSAMERICA LIBERTY	71,306.60	59.42	0.00	59.42	85.0	4.16
03/19/2018	KREMPEC, KAY	TRANSAMERICA LIBERTY	71,306.60	59.42	0.00	59.42	85.0	4.16
03/20/2018	RICHARDS, STEPHEN	TRANSAMERICA LIBERTY	107,211.76	89.34	0.00	89.34	85.0	6.25

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DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u> OVERRIDE TRANSACTIONS </u>								
<u> BROKER: THOMAS, H121 HALSEY #82 </u>								
03/21/2018	DENHAM, CONSTANCE	TRANSAMERICA LIBERTY	210,491.62	175.41	0.00	175.41	85.0	12.28
03/22/2018	AUGUSTYNIAK JR, ROGER	TRANSAMERICA LIBERTY	431,187.02	359.32	0.00	359.32	85.0	25.15
03/22/2018	NOWAK JR, ROBERT	TRANSAMERICA LIBERTY	94,891.30	79.08	0.00	79.08	85.0	5.54
03/25/2018	PERRY, ALAN	TRANSAMERICA LIBERTY	414,055.16	345.05	0.00	345.05	85.0	24.15
03/25/2018	TAYLOR, LILY	TRANSAMERICA LIBERTY	39,473.51	32.89	0.00	32.89	85.0	2.30
03/26/2018	ANNESSER, CAROL	TRANSAMERICA LIBERTY	112,078.87	93.40	0.00	93.40	85.0	6.54
03/27/2018	DESELMS, KAREN	TRANSAMERICA LIBERTY	125,965.50	104.97	0.00	104.97	85.0	7.35
03/27/2018	WRAY, JOCELYN	TRANSAMERICA LIBERTY	29,260.32	24.38	0.00	24.38	85.0	1.71
03/27/2018	WRAY, KIM	TRANSAMERICA LIBERTY	68,226.16	56.86	0.00	56.86	85.0	3.98
03/27/2018	KREMPEC, KAY	TRANSAMERICA LIBERTY	36,380.11	30.32	0.00	30.32	85.0	2.12
03/30/2018	LUCARELLI, KRISTY	TRANSAMERICA LIBERTY	48,872.58	40.73	0.00	40.73	85.0	2.85
* THOMAS, H121 HALSEY SUBTOTAL *			\$4,863,054.25	\$4,710.60	\$0.00	\$4,710.60		\$329.77
<u> BROKER: ROBERT, T118 THOMPSON #83 </u>								
03/29/2018	FLECK, MARTHA	ALLIANZ VALUEMARK II	26,587.11	16.62	0.00	16.62	90.0	0.33
02/28/2018	SHAFFER, CLARK	ICON FUND C	19,903.72	15.27	0.00	15.27	90.0	0.31
02/28/2018	RICE, CHERYL	ICON FUND C	3,030.90	2.33	0.00	2.33	90.0	0.05
02/28/2018	GECIK, STANLEY	ICON FUND C	6,187.42	4.75	0.00	4.75	90.0	0.10
02/28/2018	RECKNER, GARTH	ICON FUND C	1,555.70	1.19	0.00	1.19	90.0	0.02
03/12/2018	MICHALSKI, PAIGE	JNL PERSPECTIVE	150.00	10.13	0.00	10.13	90.0	0.20
03/31/2018	RICHARDS, MILDRED	JNL PERSPECTIVE	34,834.24	7.26	0.00	7.26	90.0	0.15
03/31/2018	FLECK, GERALD	JNL PERSPECTIVE II 05/05	2,107.30	1.32	0.00	1.32	90.0	0.03
03/31/2018	WENZ, PATRICIA	JOHN HANCOCK VENTURE III	37,793.56	31.49	0.00	31.49	90.0	0.63
03/31/2018	MURANYI, MARILYN	JOHN HANCOCK VENTURE III	24,674.02	20.56	0.00	20.56	90.0	0.41
03/31/2018	SCHUMACHER, EDWARD	JOHN HANCOCK VENTURE III	34,951.21	29.13	0.00	29.13	90.0	0.58
03/31/2018	MAXFIELD, DARALEE	JOHN HANCOCK VENTURE III	125,578.54	104.65	0.00	104.65	90.0	2.09
03/31/2018	GRUBB, BEVERLY	JOHN HANCOCK VENTURE III	130,934.94	109.11	0.00	109.11	90.0	2.18
03/31/2018	GRAHAM, JUDY	JOHN HANCOCK VENTURE III	164,003.83	136.67	0.00	136.67	90.0	2.73
03/31/2018	HUBAY, BERNICE	JOHN HANCOCK VENTURE III	25,709.58	21.42	0.00	21.42	90.0	0.43
03/31/2018	LABERDEE, PAUL	JOHN HANCOCK VENTURE III	42,032.45	35.03	0.00	35.03	90.0	0.70
03/31/2018	SZAFAROWICZ, JOSEPH	JOHN HANCOCK VENTURE III	19,450.88	16.21	0.00	16.21	90.0	0.32
03/31/2018	MUIR TRUST, JOHN & JOANN	JOHN HANCOCK VENTURE III	22,249.20	18.54	0.00	18.54	90.0	0.37
03/31/2018	HILEMAN, RONALD	JOHN HANCOCK VENTURE III	160,919.71	134.10	0.00	134.10	90.0	2.68
03/31/2018	ELWING, LOUISE	JOHN HANCOCK VENTURE III	149,376.34	124.48	0.00	124.48	90.0	2.49

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<u> OVERRIDE TRANSACTIONS </u>								
<u> BROKER: ROBERT, T118 THOMPSON #83 </u>								
03/31/2018	DOUGHERTY, ELNORA	JOHN HANCOCK VENTURE III	146,207.08	121.84	0.00	121.84	90.0	2.44
03/31/2018	MAXFIELD, RICHARD	JOHN HANCOCK VENTURE III	218,803.07	182.34	0.00	182.34	90.0	3.65
03/31/2018	GAJEWSKI, WILLADEANE	JOHN HANCOCK VENTURE III	40,226.71	33.52	0.00	33.52	90.0	0.67
03/31/2018	BUEHLER, ARNOLD	JOHN HANCOCK VENTURE III	119,317.40	99.43	0.00	99.43	90.0	1.99
03/31/2018	RICE, PAMELA	JOHN HANCOCK VENTURE III	111,582.93	92.99	0.00	92.99	90.0	1.86
03/31/2018	RINGGER, LINDA	JOHN HANCOCK VENTURE III	121,160.28	100.97	0.00	100.97	90.0	2.02
03/31/2018	SEITZINGER, MARK	JOHN HANCOCK VENTURE III	24,075.79	20.06	0.00	20.06	90.0	0.40
03/31/2018	WODA, HELENE	JOHN HANCOCK VENTURE III	26,018.04	21.68	0.00	21.68	90.0	0.43
03/30/2018	BLADEL, JACQUELYN	NATIONWIDE DESTINATION L2 01	74,741.84	186.85	0.00	186.85	90.0	3.74
03/30/2018	OSTER, JOHN	NATIONWIDE DESTINATION L2 01	79,433.69	198.58	0.00	198.58	90.0	3.97
03/30/2018	SMITH, HELENE	NATIONWIDE DESTINATION LS 96	33,480.62	83.70	0.00	83.70	90.0	1.67
03/30/2018	RICE, SUSAN	NATIONWIDE DESTINATION LS 96	125,304.36	313.26	0.00	313.26	90.0	6.27
03/30/2018	MOORE, EILEEN	NATIONWIDE DESTINATION LS 96	91,596.02	228.99	0.00	228.99	90.0	4.58
03/30/2018	MOORE, EILEEN	NATIONWIDE DESTINATION LS 96	98,873.54	247.18	0.00	247.18	90.0	4.94
03/30/2018	MOORE, EILEEN	NATIONWIDE DESTINATION LS 96	85,815.89	214.54	0.00	214.54	90.0	4.29
03/30/2018	ROSSWURM, ELAINE	NATIONWIDE DESTINATION LS 96	211,021.47	527.55	0.00	527.55	90.0	10.55
03/30/2018	SHAFFER, EMILY	NATIONWIDE DESTINATION LS 96	91,852.20	229.63	0.00	229.63	90.0	4.59
03/30/2018	COOPER, MARK	NATIONWIDE DESTINATION LS 96	105,308.06	263.27	0.00	263.27	90.0	5.27
03/30/2018	JACOB, MARILYN	NATIONWIDE DESTINATION LS 96	92,720.56	231.80	0.00	231.80	90.0	4.64
03/30/2018	GRIM, SUSAN	NW DESTINATION B2 05	8,543.96	16.02	0.00	16.02	90.0	0.32
03/30/2018	WALTER, LAURA	NW DESTINATION B2 05	297,727.67	558.24	0.00	558.24	90.0	11.16
03/30/2018	GRUBB, BEVERLY	NWL DESTINATION EV2 01	70,129.09	43.83	0.00	43.83	90.0	0.88
/ /	FLECK, KATHRYN	OPPENHEIMER CAPITAL APPRECIATION A	0.00	2.19	0.00	2.19	90.0	0.04
/ /	FLECK, KATHRYN	OPPENHEIMER MAIN STREET A	0.00	2.69	0.00	2.69	90.0	0.05
/ /	FLECK, KATHRYN	OPPENHEIMER QUEST OPP VALUE A	0.00	1.58	0.00	1.58	90.0	0.03
/ /	FLECK, KATHRYN	OPPENHEIMER SMALL MID CAP VALUE A	0.00	4.58	0.00	4.58	90.0	0.09
03/29/2018	FLECK, GERALD	TRANSAMERICA FREEDOM 2008	58,079.78	60.50	0.00	60.50	90.0	1.21
03/02/2018	RINGGER, MARK	TRANSAMERICA LIBERTY	140,013.63	116.68	0.00	116.68	90.0	2.33
03/04/2018	SCHMIDBAUER, JOSEPH	TRANSAMERICA LIBERTY	4,701.91	3.92	0.00	3.92	90.0	0.08
03/05/2018	MOORE, EILEEN	TRANSAMERICA LIBERTY	262,970.29	219.14	0.00	219.14	90.0	4.38
03/05/2018	MERZ, JOYCE	TRANSAMERICA LIBERTY	24,382.22	20.32	0.00	20.32	90.0	0.41
03/07/2018	RECKNER, COURTNEY	TRANSAMERICA LIBERTY	5,915.12	4.93	0.00	4.93	90.0	0.10
03/07/2018	FRAZIER, JULIE	TRANSAMERICA LIBERTY	57,248.48	47.71	0.00	47.71	90.0	0.95

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<u> OVERRIDE TRANSACTIONS </u>								
<u>BROKER: ROBERT, T118 THOMPSON #83</u>								
03/08/2018	ROSSWURM, ELAINE	TRANSAMERICA LIBERTY	91,676.80	76.40	0.00	76.40	90.0	1.53
03/09/2018	MUIR TRUST, JOHN & JOANN	TRANSAMERICA LIBERTY	47,335.20	39.45	0.00	39.45	90.0	0.79
03/12/2018	LABERDEE, LARRY	TRANSAMERICA LIBERTY	33,707.38	28.09	0.00	28.09	90.0	0.56
03/13/2018	WODA, HELENE	TRANSAMERICA LIBERTY	38,665.80	32.22	0.00	32.22	90.0	0.64
03/13/2018	FURNEY, DANNY	TRANSAMERICA LIBERTY	251,934.03	209.95	0.00	209.95	90.0	4.20
03/13/2018	MERZ, EDWIN	TRANSAMERICA LIBERTY	155,185.84	129.32	0.00	129.32	90.0	2.59
03/13/2018	BLADEL, JACQUELYN	TRANSAMERICA LIBERTY	80,264.43	66.89	0.00	66.89	90.0	1.34
03/15/2018	RICE, CHERYL	TRANSAMERICA LIBERTY	2,658.07	2.22	0.00	2.22	90.0	0.04
03/15/2018	JACOB, MARILYN	TRANSAMERICA LIBERTY	247,763.22	206.47	0.00	206.47	90.0	4.13
03/16/2018	LABERDEE, JOYCE	TRANSAMERICA LIBERTY	112,507.15	93.76	0.00	93.76	90.0	1.88
03/16/2018	RICE SR, RUSSELL	TRANSAMERICA LIBERTY	2,698.37	2.25	0.00	2.25	90.0	0.05
03/16/2018	RICE, SUSAN	TRANSAMERICA LIBERTY	120,993.09	100.83	0.00	100.83	90.0	2.02
03/17/2018	OSTER, JENNIFER	TRANSAMERICA LIBERTY	26,630.20	22.19	0.00	22.19	90.0	0.44
03/21/2018	MERZ, JOYCE	TRANSAMERICA LIBERTY	99,981.83	83.32	0.00	83.32	90.0	1.67
03/22/2018	SEXTON TRUST, MARY LOU	TRANSAMERICA LIBERTY	79,143.42	65.95	0.00	65.95	90.0	1.32
03/22/2018	SCHWEINHAGEN, RITA	TRANSAMERICA LIBERTY	40,214.95	33.51	0.00	33.51	90.0	0.67
03/22/2018	JEFFERS, DAVID	TRANSAMERICA LIBERTY	111,896.47	93.25	0.00	93.25	90.0	1.87
03/23/2018	SEITZINGER, MARK	TRANSAMERICA LIBERTY	71,908.52	59.92	0.00	59.92	90.0	1.20
03/23/2018	MERZ, JOYCE	TRANSAMERICA LIBERTY	98,877.59	82.40	0.00	82.40	90.0	1.65
03/24/2018	HALL, WAYNE	TRANSAMERICA LIBERTY	165,812.76	138.18	0.00	138.18	90.0	2.76
03/24/2018	RUTLEDGE, JOANNE	TRANSAMERICA LIBERTY	209,826.07	174.86	0.00	174.86	90.0	3.50
03/26/2018	WENZ, JAMES	TRANSAMERICA LIBERTY	25,538.09	21.28	0.00	21.28	90.0	0.43
03/26/2018	FISH, SANDRA	TRANSAMERICA LIBERTY	75,566.94	62.97	0.00	62.97	90.0	1.26
03/26/2018	RICE, PAMELA	TRANSAMERICA LIBERTY	62,246.03	51.87	0.00	51.87	90.0	1.04
03/27/2018	DAVIS, HOWARD	TRANSAMERICA LIBERTY	29,658.84	24.72	0.00	24.72	90.0	0.49
03/28/2018	COOPER, MARK	TRANSAMERICA LIBERTY	114,451.41	95.38	0.00	95.38	90.0	1.91
03/29/2018	SHAFFER, EMILY	TRANSAMERICA LIBERTY	164,304.48	136.92	0.00	136.92	90.0	2.74
* ROBERT, T118 THOMPSON SUBTOTAL *			\$6,420,729.33	\$7,475.34	\$0.00	\$7,475.34		\$149.52
*** OVERRIDE TRANSACTIONS TOTAL ***			\$11,284,783.58	\$12,220.94	\$0.00	\$12,220.94		\$481.74

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<u>ADJUSTMENTS</u>								
04/15/2018		*ALBRIDGE: FULL USER	0.00					-176.00
04/15/2018		*E & O INSURANCE: CURRENT MONTH INS	0.00					-300.00
04/15/2018		*EO INS: /2 NAVARRE E&O	0.00					-150.00
04/15/2018		*EO INS: FEB 1/2 E&O INS NAVARRE	0.00					-150.00
04/15/2018		*PERSHING: FOREIGN SETTLEMENT - ROSS	0.00					-23.00
04/15/2018		*PERSHING: BOOKS & RECORDS	0.00					-1.50
04/15/2018		*TECHNOLOGY: ADMIN - DEB RYAN 1/3RD	0.00					-43.34
04/15/2018		*TECHNOLOGY: ADMIN - J BOYERS 1/3RD	0.00					-43.34
04/15/2018		*TECHNOLOGY: CURRENT MONTH BASIC	0.00					-180.00
04/15/2018		*TECHNOLOGY: FEB 1/2 TECH NAVARRE	0.00					-137.50
04/15/2018		*TECHNOLOGY: MONTHLY 1/2 TECH - NAVARRE	0.00					-137.50
*** ADJUSTMENTS TOTAL ***			\$0.00	\$0.00	\$0.00	\$0.00		\$-1,342.18

BROKER COMMISSION TOTALS

Broker Transactions	\$8,079.60
Split Transactions	\$0.00
Override Transactions	\$481.74
Adjustments	\$-1,342.18
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$0.00
FINRA Assessment	\$0.00
SIPC Assessment	\$0.00

Check Amount	\$7,219.16
Year-to-date Gross	\$46,152.89
Year-to-date Earnings	\$44,906.01

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