



Concorde Investment Services, LLC

04/18/2017

Page No. 1

COMMISSION STATEMENT

March 31, 2017

JOHN 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>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
03/06/2017	STEPHENS, ADAM	AM FUNDS 2025 TARGET DATE-A	200.00	7.50	0.00	7.50	92.0	6.90
03/06/2017	STEPHENS, ADAM	AM FUNDS 2025 TARGET DATE-A	698.42	26.19	0.00	26.19	92.0	24.09
03/06/2017	MARTIN, RACHEL	AM FUNDS AMERICAN BALANCED A	60.00	2.25	0.00	2.25	92.0	2.07
03/13/2017	MOORE, LINDA	AM FUNDS AMERICAN HIGH-INCOME TRUST	4,982.66	137.02	0.00	137.02	92.0	126.06
03/06/2017	SEYMOUR, DONALD	AM FUNDS AMERICAN MUTUAL C	500.00	5.00	0.00	5.00	92.0	4.60
03/22/2017	SEYMOUR, DONALD	AM FUNDS AMERICAN MUTUAL C	250.00	2.50	0.00	2.50	92.0	2.30
03/20/2017	DRAKE, ERIC	AM FUNDS BOND FUND OF AMERICA A	3,420.00	102.60	0.00	102.60	92.0	94.39
03/20/2017	RILEY, PATRICK	AM FUNDS BOND FUND OF AMERICA A	2,631.73	42.11	0.00	42.11	92.0	38.74
03/10/2017	HENDERSON, BARBARA	AM FUNDS EUROPACIFIC GROWTH FUND A	100.00	5.00	0.00	5.00	92.0	4.60
03/14/2017	SEYMOUR, DONALD	AM FUNDS EUROPACIFIC GROWTH FUND C	250.00	2.50	0.00	2.50	92.0	2.30
03/06/2017	MARTIN, RACHEL	AM FUNDS FUNDAMENTAL INVESTORS A	60.00	2.25	0.00	2.25	92.0	2.07
03/06/2017	MARTIN, RACHEL	AM FUNDS INCOME FUND OF AMERICA A	60.00	2.25	0.00	2.25	92.0	2.07
03/20/2017	HAUSER, ROBERT	AM FUNDS INCOME FUND OF AMERICA A	6,436.40	102.98	0.00	102.98	92.0	94.74
03/20/2017	HAUSER, RONALD	AM FUNDS INCOME FUND OF AMERICA A	9,360.73	149.77	0.00	149.77	92.0	137.79
03/20/2017	STUBLESKI, DANIEL	AM FUNDS INCOME FUND OF AMERICA A	4,138.72	66.22	0.00	66.22	92.0	60.92
03/20/2017	TARRIS, CHRISTINE	AM FUNDS INCOME FUND OF AMERICA A	3,402.86	54.45	0.00	54.45	92.0	50.09
03/20/2017	FERRARI, MARK	AM FUNDS INCOME FUND OF AMERICA A	4,540.55	72.65	0.00	72.65	92.0	66.84
03/20/2017	BROWN, WESLEY	AM FUNDS INCOME FUND OF AMERICA A	3,094.45	49.51	0.00	49.51	92.0	45.55
03/20/2017	MCFARLAND, BRANDON	AM FUNDS INCOME FUND OF AMERICA A	2,923.36	46.77	0.00	46.77	92.0	43.03
03/09/2017	BARE, HELEN	AM FUNDS INCOME PORTFOLIO A	153.19	4.21	0.00	4.21	92.0	3.87
03/09/2017	BARE III, HARRY	AM FUNDS INCOME PORTFOLIO A	1,020.90	28.07	0.00	28.07	92.0	25.82
03/07/2017	SEYMOUR, DONALD	AM FUNDS NEW ECONOMY C	250.00	2.50	0.00	2.50	92.0	2.30
03/22/2017	SEYMOUR, DONALD	AM FUNDS NEW ECONOMY C	250.00	2.50	0.00	2.50	92.0	2.30
03/16/2017	GURNEY, ERICA	AM FUNDS NEW WORLD A	25.00	1.25	0.00	1.25	92.0	1.15
03/15/2017	ROSS, MICHELLE L HUDS	AM FUNDS SHORT TERM BND FUND OF AM	1,500.00	30.00	0.00	30.00	92.0	27.60
03/15/2017	MOLNAR, COURTNEY	AM FUNDS SHORT TERM BND FUND OF AM	50.00	1.00	0.00	1.00	92.0	0.92

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

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
03/06/2017	MARTIN, RACHEL	AM FUNDS SMALLCAP WORLD A	20.00	0.75	0.00	0.75	92.0	0.69
03/10/2017	HENDERSON, BARBARA	AM FUNDS SMALLCAP WORLD A	50.00	2.50	0.00	2.50	92.0	2.30
03/06/2017	SEYMOUR, DONALD	AM FUNDS SMALLCAP WORLD C	500.00	5.00	0.00	5.00	92.0	4.60
03/10/2017	SEYMOUR, DONALD	AM FUNDS TAX-EXEMPT BOND FUND OF AM	250.00	2.50	0.00	2.50	92.0	2.30
03/20/2017	TARRIS, CHRISTINE	AM FUNDS TAX-EXEMPT BOND FUND OF AM	3,402.87	54.45	0.00	54.45	92.0	50.09
03/15/2017	BRILLHART, RYAN	AM FUNDS U.S. GOVERNMENT SECURITIES	1,465.61	43.97	0.00	43.97	92.0	40.45
03/06/2017	SEYMOUR, DONALD	AM FUNDS WASHINGTON MUTUAL INVESTOR	500.00	5.00	0.00	5.00	92.0	4.60
03/07/2017	SEYMOUR, DONALD	AM FUNDS WASHINGTON MUTUAL INVESTOR	250.00	2.50	0.00	2.50	92.0	2.30
03/14/2017	SEYMOUR, DONALD	AM FUNDS WASHINGTON MUTUAL INVESTOR	250.00	2.50	0.00	2.50	92.0	2.30
03/22/2017	SEYMOUR, DONALD	AM FUNDS WASHINGTON MUTUAL INVESTOR	250.00	2.50	0.00	2.50	92.0	2.30
03/10/2017	SEYMOUR, DONALD	AMERICAN HIGH-INCOME MUNI BOND FUND	250.00	2.50	0.00	2.50	92.0	2.30
* MUTUAL FUNDS SUBTOTAL *			\$57,547.45	\$1,073.22	\$0.00	\$1,073.22		\$987.34
<u>PRODUCT CATEGORY: STOCKS</u>								
03/21/2017	ROSS, JOHN	***AURYN RESOURCES INC	710.70	0.00	22.50	-22.50	92.0	-20.70
03/21/2017	ROSS, JOHN	***AVINO SILVER & GOLD MINES	488.28	0.00	22.50	-22.50	92.0	-20.70
03/21/2017	ROSS, JOHN	ALEXCO RESOURCE CORP	290.15	0.00	22.50	-22.50	92.0	-20.70
03/21/2017	ROSS, JOHN	BALMORAL RES LTD COM ISIN#CA05874M1	270.28	0.00	22.68	-22.68	92.0	-20.87
03/15/2017	SMITH, SUZANNE	CENTRAL FD CDA LTD CL A	1,230.80	25.00	22.50	2.50	92.0	2.30
03/22/2017	ROSS, JOHN	COLUMBUS GOLD CORP SHS ISIN#CA19917	336.43	0.00	22.75	-22.75	92.0	-20.93
03/22/2017	ROSS, JOHN	GOLD STD VENTURES CORP COM ISIN#CA3	474.06	0.00	22.50	-22.50	92.0	-20.70
03/22/2017	ROSS, JOHN	GOLDEN ARROW RESOURCES CORPORATION	313.80	0.00	22.90	-22.90	92.0	-21.07
03/21/2017	ROSS, JOHN	GOLDMINING INC REGISTERED SHS ISIN#	516.52	0.00	22.55	-22.55	92.0	-20.75
03/13/2017	COUSINO, SUSAN	HUNTINGTON BANCSHARES INC	-58,893.69	45.00	27.00	18.00	92.0	16.56
03/15/2017	ROSS, JOHN	HUNTINGTON BANCSHARES INC	-7,041.00	0.00	22.75	-22.75	92.0	-20.93
03/21/2017	ROSS, JOHN	INTEGRA GOLD CORP COM ISIN#CA45824L	475.28	0.00	23.20	-23.20	92.0	-21.34
03/21/2017	ROSS, JOHN	LARA EXPL LTD COM ISIN#CA5166831092	291.00	0.00	22.56	-22.56	92.0	-20.76
03/22/2017	ROSS, JOHN	LUNDIN GOLD INC COM ISIN#CA55037110	474.70	0.00	22.50	-22.50	92.0	-20.70
03/22/2017	ROSS, JOHN	MCEWEN MNG INC COM	317.99	0.00	22.50	-22.50	92.0	-20.70
03/21/2017	ROSS, JOHN	MIDAS GOLD CORP COM ISIN#CA59562B10	302.40	0.00	22.72	-22.72	92.0	-20.90
03/21/2017	ROSS, JOHN	NEVSUN RESOURCES LTD ISIN#CA64156L1	604.50	0.00	22.50	-22.50	92.0	-20.70
03/22/2017	ROSS, JOHN	NULEGACY GOLD CORP COM ISIN#CA67053	98.95	0.00	14.08	-14.08	92.0	-12.95
03/22/2017	ROSS, JOHN	NULEGACY GOLD CORP COM ISIN#CA67053	197.90	0.00	19.17	-19.17	92.0	-17.64
03/22/2017	ROSS, JOHN	PERSHING GOLD CORP COM NEW	297.98	0.00	22.50	-22.50	92.0	-20.70

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<u>BROKER TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: STOCKS</u>								
03/15/2017	SMITH, SUZANNE	SPROTT PHYSICAL GOLD TR UNIT ISIN#C	1,979.00	25.00	22.50	2.50	92.0	2.30
03/15/2017	SMITH, SUZANNE	SPROTT PHYSICAL SILVER TR TR UNIT I	964.20	25.00	22.50	2.50	92.0	2.30
03/15/2017	SMITH, SUZANNE	VANECK VECTORS ETF TR GOLD MINERS E	2,191.80	40.00	22.50	17.50	92.0	16.10
03/22/2017	ROSS, JOHN	VICTORIA GOLD CORP COM ISIN#CA92625	300.60	0.00	23.05	-23.05	92.0	-21.21
03/22/2017	ROSS, JOHN	WESTERN COPPER & GOLD CORP COM ISIN	248.00	0.00	22.50	-22.50	92.0	-20.70
* STOCKS SUBTOTAL *			\$-52,559.37	\$160.00	\$557.91	\$-397.91		\$-366.09
<u>PRODUCT CATEGORY: VARIABLE ANNUITIES</u>								
03/10/2017	CARVER, DENISE	MML ARTISTRY	50.00	2.75	0.00	2.75	92.0	2.53
03/16/2017	REEVES, TERRENCE	MML ARTISTRY	140.00	7.70	0.00	7.70	92.0	7.08
03/24/2017	CARVER, DENISE	MML ARTISTRY	50.00	2.75	0.00	2.75	92.0	2.53
02/14/2017	CUMMINGS, BARBARA	TRANSAMERICA LIBERTY	146,373.49	121.98	0.00	121.98	92.0	112.22
02/20/2017	DOUGHERTY, RICO	TRANSAMERICA LIBERTY	99,247.21	82.71	0.00	82.71	92.0	76.09
02/21/2017	DEMKO, VERNA	TRANSAMERICA LIBERTY	78,752.30	65.63	0.00	65.63	92.0	60.38
02/22/2017	HOLLOWAY, LINDA	TRANSAMERICA LIBERTY	194,229.54	161.86	0.00	161.86	92.0	148.91
02/27/2017	ROSS, SUSAN	TRANSAMERICA LIBERTY	2,315.00	1.93	0.00	1.93	92.0	1.78
02/28/2017	DULINSKY, SHERRY	TRANSAMERICA LIBERTY	26,399.05	22.00	0.00	22.00	92.0	20.24
* VARIABLE ANNUITIES SUBTOTAL *			\$547,556.59	\$469.31	\$0.00	\$469.31		\$431.76
*** BROKER TRANSACTIONS TOTAL ***			\$552,544.67	\$1,702.53	\$557.91	\$1,144.62		\$1,053.01

OVERRIDE TRANSACTIONS**BROKER: THOMAS HALSEY #82**

03/20/2017	DENHAM, CONSTANCE	AM FUNDS AMERICAN BALANCED A	2,500.00	106.25	0.00	106.25	85.0	7.44
03/22/2017	BASSETT, ANTHONY	AM FUNDS AMERICAN BALANCED A	6,234.11	264.95	0.00	264.95	85.0	18.55
03/22/2017	DERR, LUCINDA	AM FUNDS AMERICAN BALANCED A	8,250.00	309.38	0.00	309.38	85.0	21.66
03/22/2017	DERR, LUCINDA	AM FUNDS AMERICAN HIGH-INCOME TRUST	3,750.00	112.50	0.00	112.50	85.0	7.88
03/22/2017	BASSETT, ANTHONY	AM FUNDS AMERICAN MUTUAL A	7,273.13	309.11	0.00	309.11	85.0	21.64
03/22/2017	DERR, LUCINDA	AM FUNDS CAPITAL INCOME BUILDER A	7,500.00	281.25	0.00	281.25	85.0	19.69
03/22/2017	BASSETT, ANTHONY	AM FUNDS CAPITAL WORLD GRTH & INC A	4,848.75	206.07	0.00	206.07	85.0	14.42
03/22/2017	DERR, LUCINDA	AM FUNDS CAPITAL WORLD GRTH & INC A	4,500.00	168.75	0.00	168.75	85.0	11.81
03/22/2017	BASSETT, ANTHONY	AM FUNDS FUNDAMENTAL INVESTORS A	3,463.40	147.19	0.00	147.19	85.0	10.30
03/22/2017	DERR, LUCINDA	AM FUNDS FUNDAMENTAL INVESTORS A	10,500.00	393.75	0.00	393.75	85.0	27.56
03/22/2017	DERR, LUCINDA	AM FUNDS GROWTH FUND OF AMERICA A	4,500.00	168.75	0.00	168.75	85.0	11.81

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<u> OVERRIDE TRANSACTIONS </u>								
<u> BROKER: THOMAS HALSEY #82 </u>								
03/20/2017	DENHAM, CONSTANCE	AM FUNDS INCOME FUND OF AMERICA A	999.68	42.49	0.00	42.49	85.0	2.97
03/22/2017	DERR, LUCINDA	AM FUNDS INCOME FUND OF AMERICA A	10,500.00	393.75	0.00	393.75	85.0	27.56
03/22/2017	BASSETT, ANTHONY	AM FUNDS NEW PERSPECTIVE A	3,809.74	161.91	0.00	161.91	85.0	11.33
03/22/2017	DERR, LUCINDA	AM FUNDS SHORT TERM BND FUND OF AM	4,500.00	90.00	0.00	90.00	85.0	6.30
03/22/2017	BASSETT, ANTHONY	AM FUNDS SMALLCAP WORLD A	4,156.07	176.63	0.00	176.63	85.0	12.36
03/22/2017	DERR, LUCINDA	AM FUNDS SMALLCAP WORLD A	3,000.00	112.50	0.00	112.50	85.0	7.88
03/22/2017	BASSETT, ANTHONY	AM FUNDS WASHINGTON MUTUAL INVESTOR	4,848.75	206.07	0.00	206.07	85.0	14.42
03/22/2017	DERR, LUCINDA	AM FUNDS WASHINGTON MUTUAL INVESTOR	15,000.00	562.50	0.00	562.50	85.0	39.38
03/22/2017	DERR, LUCINDA	AMERICAN FUNDS CORPORATE BOND FD A	3,000.00	90.00	0.00	90.00	85.0	6.30
02/28/2017	LEININGER, LISA	BLK CONS 0-5 AGE BASED A	0.00	0.36	0.00	0.36	85.0	0.03
02/28/2017	LEININGER, LISA	BLK CONS 0-5 AGE BASED A	0.00	0.36	0.00	0.36	85.0	0.03
03/15/2017	LEININGER, LISA	BLK CONS 0-5 AGE BASED A	25.00	1.25	0.00	1.25	85.0	0.09
03/15/2017	LEININGER, LISA	BLK CONS 0-5 AGE BASED A	25.00	1.25	0.00	1.25	85.0	0.09
02/28/2017	LEROUX, LAURA	BLK MOD 10-12 AGE BASED A	0.00	6.77	0.00	6.77	85.0	0.47
02/28/2017	BUEHRER, SARAH	BLK MOD 10-12 AGE BASED A	0.00	1.06	0.00	1.06	85.0	0.07
03/15/2017	LEROUX, LAURA	BLK MOD 10-12 AGE BASED A	300.00	11.25	0.00	11.25	85.0	0.79
02/28/2017	BUEHRER, SARAH	BLK MOD 13-16 AGE BASED A	0.00	1.05	0.00	1.05	85.0	0.07
02/28/2017	LEROUX, LAURA	BLK MOD 17+ AGE BASED A	0.00	9.88	0.00	9.88	85.0	0.69
03/16/2017	FRANTZ, KIMBERLY	MML ARTISTRY	50.00	2.75	0.00	2.75	85.0	0.19
02/02/2017	PRZBYLSKI, MICHAEL	TRANSAMERICA LIBERTY	127,939.62	106.62	0.00	106.62	85.0	7.46
02/05/2017	BAUMGARTNER, DIANA	TRANSAMERICA LIBERTY	99,546.65	82.96	0.00	82.96	85.0	5.81
02/05/2017	FRANTZ, JUDITH	TRANSAMERICA LIBERTY	83,724.70	69.77	0.00	69.77	85.0	4.88
02/06/2017	BEISWENGER, RANDALL	TRANSAMERICA LIBERTY	220,719.10	183.93	0.00	183.93	85.0	12.88
02/07/2017	EYLER, BARBARA	TRANSAMERICA LIBERTY	94,432.91	78.69	0.00	78.69	85.0	5.51
02/07/2017	BUEHRER, SARAH	TRANSAMERICA LIBERTY	126,116.13	105.10	0.00	105.10	85.0	7.36
02/07/2017	BUEHRER, DANIEL	TRANSAMERICA LIBERTY	141,616.14	118.01	0.00	118.01	85.0	8.26
02/07/2017	LUCARELLI JR, VICTOR	TRANSAMERICA LIBERTY	181,668.13	151.39	0.00	151.39	85.0	10.60
02/08/2017	FERGUSON, MARK	TRANSAMERICA LIBERTY	213,853.13	178.21	0.00	178.21	85.0	12.47
02/08/2017	DE SELMS, KAREN	TRANSAMERICA LIBERTY	127,835.44	106.53	0.00	106.53	85.0	7.46
02/09/2017	KREMPEC, JEFFREY	TRANSAMERICA LIBERTY	173,710.22	144.76	0.00	144.76	85.0	10.13
02/10/2017	THANASIU, THOMAS	TRANSAMERICA LIBERTY	106,088.19	88.41	0.00	88.41	85.0	6.19
02/10/2017	HALSEY, WILLIAM	TRANSAMERICA LIBERTY	91,574.74	76.31	0.00	76.31	85.0	5.34
02/10/2017	RIEBE, MICHAEL	TRANSAMERICA LIBERTY	85,945.64	71.62	0.00	71.62	85.0	5.01

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<u> OVERRIDE TRANSACTIONS </u>								
<u> BROKER: THOMAS HALSEY #82 </u>								
02/12/2017	DIENER, JUDITH	TRANSAMERICA LIBERTY	132,516.10	110.43	0.00	110.43	85.0	7.73
02/12/2017	RUCH, RONALD	TRANSAMERICA LIBERTY	64,677.99	53.90	0.00	53.90	85.0	3.77
02/13/2017	ZOLNER, MERIBETH	TRANSAMERICA LIBERTY	28,150.36	23.46	0.00	23.46	85.0	1.64
02/16/2017	BAKER, ELAINE	TRANSAMERICA LIBERTY	202,539.09	168.78	0.00	168.78	85.0	11.81
02/19/2017	KREMPEC, KAY	TRANSAMERICA LIBERTY	75,393.19	62.83	0.00	62.83	85.0	4.40
02/19/2017	KREMPEC, KAY	TRANSAMERICA LIBERTY	75,393.19	62.83	0.00	62.83	85.0	4.40
02/19/2017	KREMPEC, KAY	TRANSAMERICA LIBERTY	75,393.19	62.83	0.00	62.83	85.0	4.40
02/21/2017	DENHAM, CONSTANCE	TRANSAMERICA LIBERTY	183,070.89	152.56	0.00	152.56	85.0	10.68
02/22/2017	AUGUSTYNIAK JR, ROGER	TRANSAMERICA LIBERTY	416,338.63	346.95	0.00	346.95	85.0	24.29
02/22/2017	NOWAK JR, ROBERT	TRANSAMERICA LIBERTY	90,802.97	75.67	0.00	75.67	85.0	5.30
02/25/2017	PERRY, ALAN	TRANSAMERICA LIBERTY	392,317.47	326.93	0.00	326.93	85.0	22.89
02/25/2017	TAYLOR, LILY	TRANSAMERICA LIBERTY	82,511.27	68.76	0.00	68.76	85.0	4.81
02/26/2017	ANNESSER, CAROL	TRANSAMERICA LIBERTY	127,506.45	106.26	0.00	106.26	85.0	7.44
02/27/2017	DESELMS, KAREN	TRANSAMERICA LIBERTY	116,027.29	96.69	0.00	96.69	85.0	6.77
02/27/2017	WRAY, JOCELYN	TRANSAMERICA LIBERTY	27,462.83	22.89	0.00	22.89	85.0	1.60
02/27/2017	WRAY, KIM	TRANSAMERICA LIBERTY	57,484.32	47.90	0.00	47.90	85.0	3.35
02/27/2017	KREMPEC, KAY	TRANSAMERICA LIBERTY	36,675.55	30.56	0.00	30.56	85.0	2.14
02/28/2017	LUCARELLI, KRISTY	TRANSAMERICA LIBERTY	46,374.74	38.65	0.00	38.65	85.0	2.71
03/23/2017	FERGUSON, MARK	TRANSAMERICA LIBERTY	6,500.00	260.00	0.00	260.00	85.0	18.20
* THOMAS HALSEY SUBTOTAL *			\$4,225,439.89	\$8,020.97	\$0.00	\$8,020.97		\$561.47
<u> BROKER: ROBERT THOMPSON #83 </u>								
03/20/2017	RINGGER, MARK	AM FUNDS BOND FUND OF AMERICA A	30,000.00	825.00	0.00	825.00	90.0	16.50
03/13/2017	HILEMAN, RONALD	AM FUNDS CAPITAL WORLD GRTH & INC A	2,700.00	101.25	0.00	101.25	90.0	2.03
02/28/2017	SHAFFER, CLARK	ICON FUND C	0.00	12.66	0.00	12.66	90.0	0.25
02/28/2017	RICE, CHERYL	ICON FUND C	0.00	1.93	0.00	1.93	90.0	0.04
02/28/2017	GECIK, STANLEY	ICON FUND C	0.00	3.94	0.00	3.94	90.0	0.08
02/28/2017	RECKNER, GARTH	ICON FUND C	0.00	1.00	0.00	1.00	90.0	0.02
03/15/2017	MICHALSKI, PAIGE	JNL PERSPECTIVE	150.00	10.13	0.00	10.13	90.0	0.20
02/28/2017	FLECK, GERALD	TRANSAMERICA FREEDOM 2008	55,115.98	57.41	0.00	57.41	90.0	1.15
02/02/2017	RINGGER, MARK	TRANSAMERICA LIBERTY	129,619.07	108.02	0.00	108.02	90.0	2.16
02/04/2017	SCHMIDBAUER, JOSEPH	TRANSAMERICA LIBERTY	4,407.38	3.67	0.00	3.67	90.0	0.07
02/05/2017	MOORE, EILEEN	TRANSAMERICA LIBERTY	244,953.30	204.13	0.00	204.13	90.0	4.08
02/05/2017	MERZ, JOYCE	TRANSAMERICA LIBERTY	23,450.08	19.54	0.00	19.54	90.0	0.39

NOTES: * - Indicates adjustment is not included in 1099 Earnings

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

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u> OVERRIDE TRANSACTIONS </u>								
<u>BROKER: ROBERT THOMPSON #83</u>								
02/07/2017	RECKNER, COURTNEY	TRANSAMERICA LIBERTY	6,083.00	5.07	0.00	5.07	90.0	0.10
02/08/2017	ROSSWURM, ELAINE	TRANSAMERICA LIBERTY	94,073.42	78.39	0.00	78.39	90.0	1.57
02/09/2017	MUIR TRUST, JOHN & JOANN	TRANSAMERICA LIBERTY	48,611.09	40.51	0.00	40.51	90.0	0.81
02/12/2017	LABERDEE, LARRY	TRANSAMERICA LIBERTY	30,402.89	25.34	0.00	25.34	90.0	0.51
02/13/2017	WODA, HELENE	TRANSAMERICA LIBERTY	39,213.90	32.68	0.00	32.68	90.0	0.65
02/13/2017	FURNEY, DANNY	TRANSAMERICA LIBERTY	254,013.37	211.68	0.00	211.68	90.0	4.23
02/13/2017	MERZ, EDWIN	TRANSAMERICA LIBERTY	156,570.82	130.48	0.00	130.48	90.0	2.61
02/13/2017	BLADEL, JACQUELYN	TRANSAMERICA LIBERTY	75,668.83	63.06	0.00	63.06	90.0	1.26
02/15/2017	THOMPSON, ROBERT	TRANSAMERICA LIBERTY	494.86	0.41	0.00	0.41	90.0	0.01
02/15/2017	RICE, CHERYL	TRANSAMERICA LIBERTY	2,523.37	2.10	0.00	2.10	90.0	0.04
02/15/2017	JACOB, MARILYN	TRANSAMERICA LIBERTY	223,950.81	186.63	0.00	186.63	90.0	3.73
02/16/2017	LABERDEE, JOYCE	TRANSAMERICA LIBERTY	115,628.95	96.36	0.00	96.36	90.0	1.93
02/16/2017	RICE SR, RUSSELL	TRANSAMERICA LIBERTY	2,563.30	2.14	0.00	2.14	90.0	0.04
02/16/2017	RICE, SUSAN	TRANSAMERICA LIBERTY	121,727.61	101.44	0.00	101.44	90.0	2.03
02/17/2017	OSTER, JENNIFER	TRANSAMERICA LIBERTY	26,451.46	22.04	0.00	22.04	90.0	0.44
02/21/2017	MERZ, JOYCE	TRANSAMERICA LIBERTY	97,848.26	81.54	0.00	81.54	90.0	1.63
02/22/2017	SEXTON TRUST, MARY LOU	TRANSAMERICA LIBERTY	83,083.64	69.24	0.00	69.24	90.0	1.38
02/22/2017	SCHWEINHAGEN, RITA	TRANSAMERICA LIBERTY	39,200.02	32.67	0.00	32.67	90.0	0.65
02/22/2017	JEFFERS, DAVID	TRANSAMERICA LIBERTY	108,417.40	90.35	0.00	90.35	90.0	1.81
02/23/2017	SEITZINGER, MARK	TRANSAMERICA LIBERTY	61,653.75	51.38	0.00	51.38	90.0	1.03
02/23/2017	MERZ, JOYCE	TRANSAMERICA LIBERTY	97,042.05	80.87	0.00	80.87	90.0	1.62
02/24/2017	HALL, WAYNE	TRANSAMERICA LIBERTY	173,073.55	144.23	0.00	144.23	90.0	2.88
02/24/2017	RUTLEDGE, JOANNE	TRANSAMERICA LIBERTY	217,610.80	181.34	0.00	181.34	90.0	3.63
02/26/2017	WENZ, JAMES	TRANSAMERICA LIBERTY	26,922.48	22.44	0.00	22.44	90.0	0.45
02/26/2017	FISH, SANDRA	TRANSAMERICA LIBERTY	77,924.81	64.94	0.00	64.94	90.0	1.30
02/26/2017	ZAWODNI, CAROL	TRANSAMERICA LIBERTY	150,446.15	125.37	0.00	125.37	90.0	2.51
02/26/2017	RICE, PAMELA	TRANSAMERICA LIBERTY	58,150.10	48.46	0.00	48.46	90.0	0.97
02/27/2017	DAVIS, HOWARD	TRANSAMERICA LIBERTY	32,450.36	27.04	0.00	27.04	90.0	0.54
02/28/2017	SHAFFER, EMILY	TRANSAMERICA LIBERTY	166,698.06	138.92	0.00	138.92	90.0	2.78
02/28/2017	COOPER, MARK	TRANSAMERICA LIBERTY	108,928.75	90.77	0.00	90.77	90.0	1.82
* ROBERT THOMPSON SUBTOTAL *			\$3,187,823.67	\$3,596.57	\$0.00	\$3,596.57		\$71.93
*** OVERRIDE TRANSACTIONS TOTAL ***			\$7,413,263.56	\$11,617.54	\$0.00	\$11,617.54		\$633.40

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** - Indicates adjustment is not included in Totals or Commissions

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BROKER COMMISSION TOTALS

Broker Transactions	\$1,053.01
Split Transactions	\$0.00
Override Transactions	\$633.40
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	\$1,686.41
Year-to-date Gross	\$30,719.24
Year-to-date Earnings	\$29,506.87