



Concorde Investment Services, LLC
COMMISSION STATEMENT
May 15, 2018

05/11/2018
Page No. 1

DELMAR (BO)-M143 MCKINNEY
5 Red Bud Trail

BROKER #: M143
BRANCH: EAGLE WEALTH MANAGEM

Round Rock, TX 78655-

DATE	CLIENT	INVESTMENT	INVESTMENT AMOUNT	GROSS COMMISSION	CLEARING CHARGE	NET COMMISSION	RATE	BROKER COMMISSION
<u>CLEARING TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
05/07/2018	ASPRA, TRISSA	AM FUNDS AMCAP A	75.00	3.19	12.00	-8.81	90.0	-7.93
05/07/2018	ASPRA, TRISSA	AM FUNDS GROWTH FUND OF AMERICA A	75.00	3.19	12.00	-8.81	90.0	-7.93
05/02/2018	LAWHON, JACKIE	AM FUNDS WASHINGTON MUTUAL INVESTOR	-500.00	0.00	12.00	-12.00	90.0	-10.80
* MUTUAL FUNDS SUBTOTAL *			\$-350.00	\$6.38	\$36.00	\$-29.62		\$-26.66
*** CLEARING TRANSACTIONS TOTAL ***			\$-350.00	\$6.38	\$36.00	\$-29.62		\$-26.66

<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: 529 PLANS</u>								
04/23/2018	OHE, EUGENIA	AM FUNDS GROWTH FUND OF AMERICA 529	100.00	2.75	0.00	2.75	90.0	2.48
04/23/2018	OHE, EUGENIA	AM FUNDS GROWTH FUND OF AMERICA 529	100.00	2.75	0.00	2.75	90.0	2.48
* 529 PLANS SUBTOTAL *			\$200.00	\$5.50	\$0.00	\$5.50		\$4.96

<u>PRODUCT CATEGORY: MUTUAL FUNDS</u>								
04/30/2018	BRUECKNER, KIMBERLY	AM FUNDS GROWTH FUND OF AMERICA A	325.00	3.90	0.00	3.90	90.0	3.51
* MUTUAL FUNDS SUBTOTAL *			\$325.00	\$3.90	\$0.00	\$3.90		\$3.51

<u>PRODUCT CATEGORY: VARIABLE ANNUITIES</u>								
05/03/2018	KELLEY, DOLORES	AM GEN POLIRIS II FLEXIBLE	2,965.15	2.97	0.00	2.97	90.0	2.67
04/30/2018	PEMBERTON, PATRICIA	JOHN HANCOCK VENTURE	18,291.84	3.81	0.00	3.81	90.0	3.43
* VARIABLE ANNUITIES SUBTOTAL *			\$21,256.99	\$6.78	\$0.00	\$6.78		\$6.10

<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
04/17/2018	BUROW, PAUL	ALLIANCEBERNSTEIN INTL VALUE A	0.00	0.99	0.00	0.99	90.0	0.89
04/12/2018	WIESNER, BETTY	AM CENT EQUITY INCOME	0.00	3.16	0.00	3.16	90.0	2.84
04/19/2018	ROSENTHAL, LUCILLE	AM FUNDS AMCAP A	0.00	13.93	0.00	13.93	90.0	12.54
04/19/2018	LUEDTKE, LOIS	AM FUNDS AMCAP A	0.00	14.03	0.00	14.03	90.0	12.63
04/19/2018	ASPRA, TRISSA	AM FUNDS AMCAP A	0.00	3.34	0.00	3.34	90.0	3.01

NOTES: * - Indicates adjustment is not included in 1099 Earnings
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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>								
04/19/2018	NMN & NJN MGMT TRUST	AM FUNDS AMCAP A	0.00	1.84	0.00	1.84	90.0	1.66
04/19/2018	MICHNA, RHYS	AM FUNDS AMCAP A	0.00	1.54	0.00	1.54	90.0	1.39
04/19/2018	SCOTT, MONYEAN	AM FUNDS AMCAP A	0.00	31.79	0.00	31.79	90.0	28.61
04/19/2018	GREER, GREGORY	AM FUNDS AMCAP A	0.00	6.61	0.00	6.61	90.0	5.95
04/19/2018	GREER, GREGORY	AM FUNDS AMCAP A	0.00	6.60	0.00	6.60	90.0	5.94
04/19/2018	SPECKELS, MELBA	AM FUNDS AMERICAN BALANCED A	0.00	1.33	0.00	1.33	90.0	1.20
04/19/2018	GREER, GREGORY	AM FUNDS AMERICAN BALANCED A	0.00	1.81	0.00	1.81	90.0	1.63
04/19/2018	GREER, GREGORY	AM FUNDS AMERICAN BALANCED A	0.00	2.11	0.00	2.11	90.0	1.90
04/19/2018	FUESSEL NE & NA TR, NORMAN	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	35.55	0.00	35.55	90.0	32.00
04/19/2018	SPECKELS, MELBA	AM FUNDS AMERICAN HIGH-INCOME TRUST	0.00	1.66	0.00	1.66	90.0	1.49
04/19/2018	ROSENTHAL, LUCILLE	AM FUNDS AMERICAN MUTUAL A	0.00	19.86	0.00	19.86	90.0	17.87
04/19/2018	FUESSEL IRREV TR, NORMAN	AM FUNDS AMERICAN MUTUAL A	0.00	9.06	0.00	9.06	90.0	8.15
04/19/2018	NMN & NJN MGMT TRUST	AM FUNDS AMERICAN MUTUAL A	0.00	1.05	0.00	1.05	90.0	0.95
04/19/2018	SCOTT, MONYEAN	AM FUNDS AMERICAN MUTUAL A	0.00	25.43	0.00	25.43	90.0	22.89
04/19/2018	IVICIC, MARY	AM FUNDS AMERICAN MUTUAL A	0.00	3.02	0.00	3.02	90.0	2.72
04/19/2018	CHEATHAM, JIMMY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	11.53	0.00	11.53	90.0	10.38
04/19/2018	PRAESEL, ARTHUR	AM FUNDS CAPITAL INCOME BUILDER A	0.00	21.66	0.00	21.66	90.0	19.49
04/19/2018	ROSENTHAL, LUCILLE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	34.42	0.00	34.42	90.0	30.98
04/19/2018	FUESSEL, NORMAN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	21.21	0.00	21.21	90.0	19.09
04/19/2018	FUESSEL NE & NA TR, NORMAN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	19.38	0.00	19.38	90.0	17.44
04/19/2018	BRUECKNER, KIMBERLY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	5.55	0.00	5.55	90.0	5.00
04/19/2018	KELLEY, DOLORES	AM FUNDS CAPITAL INCOME BUILDER A	0.00	6.43	0.00	6.43	90.0	5.79
04/19/2018	LOGHRY, DORIS	AM FUNDS CAPITAL INCOME BUILDER A	0.00	0.07	0.00	0.07	90.0	0.06
04/19/2018	PEKAR, DAVID	AM FUNDS CAPITAL INCOME BUILDER A	0.00	7.96	0.00	7.96	90.0	7.16
04/19/2018	SPECKELS, WARREN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.42	0.00	1.42	90.0	1.28
04/19/2018	SPECKELS, MELBA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	2.11	0.00	2.11	90.0	1.90
04/19/2018	BRANSON, BARBARA	AM FUNDS CAPITAL INCOME BUILDER A	0.00	3.35	0.00	3.35	90.0	3.02
04/19/2018	MORRIS, JANINE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	9.46	0.00	9.46	90.0	8.51
04/19/2018	SCOTT, MONYEAN	AM FUNDS CAPITAL INCOME BUILDER A	0.00	21.68	0.00	21.68	90.0	19.51
04/19/2018	GREER, GREGORY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.44	0.00	1.44	90.0	1.30
04/19/2018	GREER, GREGORY	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.68	0.00	1.68	90.0	1.51
04/19/2018	URBAN, LONNIE	AM FUNDS CAPITAL INCOME BUILDER A	0.00	1.57	0.00	1.57	90.0	1.41
04/19/2018	MOORE, TERRY	AM FUNDS CAPITAL INCOME BUILDER C	0.00	34.03	0.00	34.03	90.0	30.63

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
04/19/2018	ROSENTHAL, LUCILLE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	34.35	0.00	34.35	90.0	30.92
04/19/2018	FUESSEL IRREV TR, NORMAN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	9.49	0.00	9.49	90.0	8.54
04/19/2018	BRUECKNER, KIMBERLY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	16.79	0.00	16.79	90.0	15.11
04/19/2018	KELLEY, DOLORES	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	5.62	0.00	5.62	90.0	5.06
04/19/2018	NMN & NJN MGMT TRUST	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.27	0.00	1.27	90.0	1.14
04/19/2018	SCOTT, MONYUAN	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	34.17	0.00	34.17	90.0	30.75
04/19/2018	HOHMAN, JEROME	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	10.01	0.00	10.01	90.0	9.01
04/19/2018	DROMGOOLE, NONA	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	6.88	0.00	6.88	90.0	6.19
04/19/2018	GREER, GREGORY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	4.91	0.00	4.91	90.0	4.42
04/19/2018	GREER, GREGORY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	4.92	0.00	4.92	90.0	4.43
04/19/2018	URBAN, LONNIE	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.87	0.00	1.87	90.0	1.68
04/19/2018	IVICIC, MARY	AM FUNDS CAPITAL WORLD GRTH & INC A	0.00	1.44	0.00	1.44	90.0	1.30
04/19/2018	FUESSEL NE & NA TR, NORMAN	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	20.29	0.00	20.29	90.0	18.26
04/19/2018	LUEDTKE, LOIS	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	19.12	0.00	19.12	90.0	17.21
04/19/2018	KELLEY, DOLORES	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	4.93	0.00	4.93	90.0	4.44
04/19/2018	GREER, GREGORY	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	1.40	0.00	1.40	90.0	1.26
04/19/2018	GREER, GREGORY	AM FUNDS EUROPACIFIC GROWTH FUND A	0.00	1.66	0.00	1.66	90.0	1.49
04/19/2018	ROSENTHAL, LUCILLE	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	43.14	0.00	43.14	90.0	38.83
04/19/2018	BRUECKNER, KIMBERLY	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	21.55	0.00	21.55	90.0	19.40
04/19/2018	NMN & NJN MGMT TRUST	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	1.74	0.00	1.74	90.0	1.57
04/19/2018	SCOTT, MONYUAN	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	43.31	0.00	43.31	90.0	38.98
04/19/2018	DROMGOOLE, NONA	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	8.21	0.00	8.21	90.0	7.39
04/19/2018	GREER, GREGORY	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	4.08	0.00	4.08	90.0	3.67
04/19/2018	GREER, GREGORY	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	4.26	0.00	4.26	90.0	3.83
04/19/2018	EWING LIVING TRUST, JACK &	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	7.83	0.00	7.83	90.0	7.05
04/19/2018	IVICIC, MARY	AM FUNDS FUNDAMENTAL INVESTORS A	0.00	3.92	0.00	3.92	90.0	3.53
04/19/2018	ROSENTHAL, LUCILLE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	14.92	0.00	14.92	90.0	13.43
04/19/2018	FUESSEL IRREV TR, NORMAN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	59.28	0.00	59.28	90.0	53.35
04/19/2018	LUEDTKE, LOIS	AM FUNDS GROWTH FUND OF AMERICA A	0.00	43.71	0.00	43.71	90.0	39.34
04/19/2018	ASPRA, TRISSA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	3.61	0.00	3.61	90.0	3.25
04/19/2018	BRUECKNER, KIMBERLY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	22.85	0.00	22.85	90.0	20.57
04/19/2018	ROSIPAL, HERBERT	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.15	0.00	0.15	90.0	0.14
04/19/2018	KELLEY, DOLORES	AM FUNDS GROWTH FUND OF AMERICA A	0.00	6.72	0.00	6.72	90.0	6.05

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
04/19/2018	LAWHON, JACKIE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.45	0.00	0.45	90.0	0.41
04/19/2018	NMN & NJN MGMT TRUST	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.82	0.00	1.82	90.0	1.64
04/19/2018	BORGNE JR, ROBERT	AM FUNDS GROWTH FUND OF AMERICA A	0.00	7.82	0.00	7.82	90.0	7.04
04/19/2018	LAWHON, STEVEN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	7.94	0.00	7.94	90.0	7.15
04/19/2018	SPECKELS, WARREN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	2.39	0.00	2.39	90.0	2.15
04/19/2018	MICHNA, RHYS	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.53	0.00	1.53	90.0	1.38
04/19/2018	MORRIS, JANINE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	21.77	0.00	21.77	90.0	19.59
04/19/2018	SCOTT, MONYUAN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	46.57	0.00	46.57	90.0	41.91
04/19/2018	LAWHON, BRAEDEN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.99	0.00	0.99	90.0	0.89
04/19/2018	DROMGOOLE, NONA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	8.74	0.00	8.74	90.0	7.87
04/19/2018	GREER, GREGORY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	8.41	0.00	8.41	90.0	7.57
04/19/2018	GREER, GREGORY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	8.23	0.00	8.23	90.0	7.41
04/19/2018	MOORE, TERRY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	2.62	0.00	2.62	90.0	2.36
04/19/2018	OHE, DRAKE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	1.40	0.00	1.40	90.0	1.26
04/19/2018	OHE, EUGENIA	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.96	0.00	0.96	90.0	0.86
04/19/2018	URBAN, LONNIE	AM FUNDS GROWTH FUND OF AMERICA A	0.00	2.47	0.00	2.47	90.0	2.22
04/19/2018	LAWHON, MAISEN	AM FUNDS GROWTH FUND OF AMERICA A	0.00	0.69	0.00	0.69	90.0	0.62
04/19/2018	IVICIC, MARY	AM FUNDS GROWTH FUND OF AMERICA A	0.00	3.66	0.00	3.66	90.0	3.29
04/19/2018	DROMGOOLE, NONA	AM FUNDS ICA A	0.00	6.77	0.00	6.77	90.0	6.09
04/19/2018	EWING JR, JACK	AM FUNDS ICA A	0.00	9.83	0.00	9.83	90.0	8.85
04/19/2018	CHEATHAM, JIMMY	AM FUNDS INCOME FUND OF AMERICA A	0.00	11.32	0.00	11.32	90.0	10.19
04/19/2018	PRAESEL, ARTHUR	AM FUNDS INCOME FUND OF AMERICA A	0.00	26.38	0.00	26.38	90.0	23.74
04/19/2018	ROSENTHAL, LUCILLE	AM FUNDS INCOME FUND OF AMERICA A	0.00	40.79	0.00	40.79	90.0	36.71
04/19/2018	FUESSEL, NORMAN	AM FUNDS INCOME FUND OF AMERICA A	0.00	19.08	0.00	19.08	90.0	17.17
04/19/2018	FUESSEL NE & NA TR, NORMAN	AM FUNDS INCOME FUND OF AMERICA A	0.00	18.51	0.00	18.51	90.0	16.66
04/19/2018	BRUECKNER, KIMBERLY	AM FUNDS INCOME FUND OF AMERICA A	0.00	10.99	0.00	10.99	90.0	9.89
04/19/2018	KELLEY, DOLORES	AM FUNDS INCOME FUND OF AMERICA A	0.00	5.25	0.00	5.25	90.0	4.73
04/19/2018	SPECKELS, MELBA	AM FUNDS INCOME FUND OF AMERICA A	0.00	2.09	0.00	2.09	90.0	1.88
04/19/2018	FISCHER, HAROLD	AM FUNDS INCOME FUND OF AMERICA A	0.00	1.67	0.00	1.67	90.0	1.50
04/19/2018	HAMITER, DONNIE	AM FUNDS INCOME FUND OF AMERICA A	0.00	6.80	0.00	6.80	90.0	6.12
04/19/2018	MORRIS, JANINE	AM FUNDS INCOME FUND OF AMERICA A	0.00	14.28	0.00	14.28	90.0	12.85
04/19/2018	SCOTT, MONYUAN	AM FUNDS INCOME FUND OF AMERICA A	0.00	29.20	0.00	29.20	90.0	26.28
04/19/2018	KLEMT, RUTH	AM FUNDS INCOME FUND OF AMERICA A	0.00	1.89	0.00	1.89	90.0	1.70

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
04/19/2018	WILSON, MARY	AM FUNDS INCOME FUND OF AMERICA A	0.00	5.26	0.00	5.26	90.0	4.73
04/19/2018	GREER, GREGORY	AM FUNDS INCOME FUND OF AMERICA A	0.00	1.64	0.00	1.64	90.0	1.48
04/19/2018	GREER, GREGORY	AM FUNDS INCOME FUND OF AMERICA A	0.00	1.91	0.00	1.91	90.0	1.72
04/19/2018	EWING LIVING TRUST, JACK &	AM FUNDS INCOME FUND OF AMERICA A	0.00	17.06	0.00	17.06	90.0	15.35
04/19/2018	NMN & NJN MGMT TRUST	AM FUNDS INTL GROWTH AND INCOME A	0.00	0.68	0.00	0.68	90.0	0.61
04/19/2018	DROMGOOLE, NONA	AM FUNDS INTL GROWTH AND INCOME A	0.00	5.26	0.00	5.26	90.0	4.73
04/19/2018	BRUECKNER, KIMBERLY	AM FUNDS NEW ECONOMY A	0.00	16.85	0.00	16.85	90.0	15.17
04/19/2018	WILSON, MARY	AM FUNDS NEW ECONOMY A	0.00	13.86	0.00	13.86	90.0	12.47
04/19/2018	BRUECKNER, KIMBERLY	AM FUNDS NEW PERSPECTIVE A	0.00	13.59	0.00	13.59	90.0	12.23
04/19/2018	MORRIS, JANINE	AM FUNDS NEW PERSPECTIVE A	0.00	23.02	0.00	23.02	90.0	20.72
04/19/2018	SCOTT, MONYAN	AM FUNDS NEW PERSPECTIVE A	0.00	40.79	0.00	40.79	90.0	36.71
04/19/2018	NMN & NJN MGMT TRUST	AM FUNDS NEW WORLD A	0.00	0.35	0.00	0.35	90.0	0.32
04/19/2018	DROMGOOLE, NONA	AM FUNDS NEW WORLD A	0.00	5.24	0.00	5.24	90.0	4.72
04/19/2018	BRUECKNER, KIMBERLY	AM FUNDS SMALLCAP WORLD A	0.00	11.97	0.00	11.97	90.0	10.77
04/19/2018	NMN & NJN MGMT TRUST	AM FUNDS SMALLCAP WORLD A	0.00	1.55	0.00	1.55	90.0	1.40
04/19/2018	DROMGOOLE, NONA	AM FUNDS SMALLCAP WORLD A	0.00	1.95	0.00	1.95	90.0	1.76
04/19/2018	GREER, GREGORY	AM FUNDS SMALLCAP WORLD A	0.00	1.78	0.00	1.78	90.0	1.60
04/19/2018	GREER, GREGORY	AM FUNDS SMALLCAP WORLD A	0.00	2.12	0.00	2.12	90.0	1.91
04/19/2018	FUESSEL, NORMAN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	16.99	0.00	16.99	90.0	15.29
04/19/2018	FUESSEL IRREV TR, NORMAN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	9.13	0.00	9.13	90.0	8.22
04/19/2018	FUESSEL NE & NA TR, NORMAN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	72.47	0.00	72.47	90.0	65.22
04/19/2018	BRUECKNER, KIMBERLY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	13.43	0.00	13.43	90.0	12.09
04/19/2018	KORNEGAY, ALISA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.33	0.00	0.33	90.0	0.30
04/19/2018	KELLEY, DOLORES	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	9.12	0.00	9.12	90.0	8.21
04/19/2018	LAWHON, JACKIE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	51.56	0.00	51.56	90.0	46.40
04/19/2018	SPECKELS, WARREN	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	2.88	0.00	2.88	90.0	2.59
04/19/2018	SPECKELS, MELBA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.94	0.00	1.94	90.0	1.75
04/19/2018	SPECKELS, MELBA	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.77	0.00	1.77	90.0	1.59
04/19/2018	GILLIGAN, DOROTHY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	8.23	0.00	8.23	90.0	7.41
04/19/2018	STOLTE, VERNALINE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	0.65	0.00	0.65	90.0	0.59
04/19/2018	MORRIS, JANINE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	21.74	0.00	21.74	90.0	19.57
04/19/2018	SMITH, MICHAEL	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.58	0.00	1.58	90.0	1.42
04/19/2018	BUROW, PAUL	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	1.56	0.00	1.56	90.0	1.40

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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>								
04/19/2018	DALJO LTD PT	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	34.32	0.00	34.32	90.0	30.89
04/19/2018	HOHMAN, JEROME	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	6.20	0.00	6.20	90.0	5.58
04/19/2018	WILSON, MARY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	15.04	0.00	15.04	90.0	13.54
04/19/2018	WIESNER, BETTY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	3.93	0.00	3.93	90.0	3.54
04/19/2018	GREER, GREGORY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	5.81	0.00	5.81	90.0	5.23
04/19/2018	GREER, GREGORY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	5.79	0.00	5.79	90.0	5.21
04/19/2018	EWING LIVING TRUST, JACK &	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	26.55	0.00	26.55	90.0	23.90
04/19/2018	URBAN, LONNIE	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	2.15	0.00	2.15	90.0	1.94
04/19/2018	IVICIC, MARY	AM FUNDS WASHINGTON MUTUAL INVESTOR	0.00	3.90	0.00	3.90	90.0	3.51
04/19/2018	EWING JR, JACK	BLK GLOBAL ALLOCATION C	0.00	16.87	0.00	16.87	90.0	15.18
04/19/2018	EWING LIVING TRUST, JACK &	BLK GLOBAL ALLOCATION C	0.00	60.48	0.00	60.48	90.0	54.43
04/20/2018	SMITH, JUDY	CALAMOS GROWTH C	0.00	40.66	0.00	40.66	90.0	36.59
04/11/2018	PEMBERTON, PATRICIA	CLEARBRIDGE SMALL CAP GROWTH FUND C	0.00	4.62	0.00	4.62	90.0	4.16
04/24/2018	WIESNER, BETTY	COLUMBIA ACORN A	0.00	1.53	0.00	1.53	90.0	1.38
04/24/2018	MCELROY, BENNETT	COLUMBIA MARSICO FOCUSED EQUITIES F	0.00	10.34	0.00	10.34	90.0	9.31
04/18/2018	CHEATHAM, JIMMY	FEDERATED EQUITY INCOME A	0.00	5.71	0.00	5.71	90.0	5.14
04/18/2018	CHEATHAM, JIMMY	FEDERATED KAUFMANN FUND A	0.00	3.10	0.00	3.10	90.0	2.79
04/18/2018	CHEATHAM, JIMMY	FEDERATED MDT LARGE CAP VALUE FUND	0.00	2.02	0.00	2.02	90.0	1.82
04/18/2018	CHEATHAM, JIMMY	FEDERATED MDT MID CAP GROWTH STRATE	0.00	3.72	0.00	3.72	90.0	3.35
04/20/2018	ESCHBERGER TRUST, JACK & AGNES	FIDELITY ADV NEW INSIGHTS-CL A	0.00	0.75	0.00	0.75	90.0	0.68
04/20/2018	NMN & NUN MGMT TRUST	FIDELITY ADV NEW INSIGHTS-CL A	0.00	1.74	0.00	1.74	90.0	1.57
04/20/2018	NAIZER TRUST, NOLAN	FIDELITY ADV NEW INSIGHTS-CL A	0.00	0.40	0.00	0.40	90.0	0.36
04/20/2018	NAIZER TRUST, NOEL	FIDELITY ADV NEW INSIGHTS-CL A	0.00	0.25	0.00	0.25	90.0	0.23
04/20/2018	WIESNER, BETTY	FIDELITY ADV NEW INSIGHTS-CL A	0.00	4.07	0.00	4.07	90.0	3.66
04/20/2018	MCELROY, BENNETT	FIDELITY ADV STRATEGIC INCOME A	0.00	4.16	0.00	4.16	90.0	3.74
04/19/2018	COOPER, ADAM	FRANKLIN MUTUAL GLOBAL DISCOVERY A	0.00	4.00	0.00	4.00	90.0	3.60
04/19/2018	COOPER, ADAM	FRANKLIN MUTUAL GLOBAL DISCOVERY A	0.00	5.81	0.00	5.81	90.0	5.23
04/19/2018	COOPER, ADAM	FRANKLIN MUTUAL QUEST A	0.00	5.19	0.00	5.19	90.0	4.67
04/19/2018	COOPER, ADAM	FRANKLIN RISING DIVIDENDS A	0.00	5.68	0.00	5.68	90.0	5.11
04/19/2018	ENOCHS, LELAND	GOLDMAN SACHS CAPITAL GROWTH FUND C	0.00	11.15	0.00	11.15	90.0	10.04
04/19/2018	ENOCHS, LELAND	GOLDMAN SACHS FOCUSED INTL EQUITY F	0.00	2.99	0.00	2.99	90.0	2.69
04/19/2018	HAMITER, DONNIE	GOLDMAN SACHS SMALL CAP VALUE FUND-	0.00	0.69	0.00	0.69	90.0	0.62
04/19/2018	STOLTE, VERNALINE	GOLDMAN SACHS U.S. EQUITY INSIGHTS	0.00	0.35	0.00	0.35	90.0	0.32

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
04/19/2018	BURKHART, KRISTI	GOLDMAN SACHS U.S. EQUITY INSIGHTS	0.00	1.83	0.00	1.83	90.0	1.65
04/18/2018	FUESSEL IRREV TR, NORMAN	GRIFFIN INSTITUTIONAL ACCESS REAL E	0.00	14.38	0.00	14.38	90.0	12.94
04/18/2018	MCRIGHT, WILLIAM	GRIFFIN INSTITUTIONAL ACCESS REAL E	0.00	1.58	0.00	1.58	90.0	1.42
04/18/2018	MCRIGHT, BETTY	GRIFFIN INSTITUTIONAL ACCESS REAL E	0.00	0.59	0.00	0.59	90.0	0.53
04/18/2018	BELL, EDDY	GRIFFIN INSTITUTIONAL ACCESS REAL E	0.00	3.13	0.00	3.13	90.0	2.82
04/18/2018	BELL, EDDY	GRIFFIN INSTITUTIONAL ACCESS REAL E	0.00	3.17	0.00	3.17	90.0	2.85
04/18/2018	BELL, PATTI	GRIFFIN INSTITUTIONAL ACCESS REAL E	0.00	1.43	0.00	1.43	90.0	1.29
04/18/2018	STAGNER TRUST, JAMES	GRIFFIN INSTITUTIONAL ACCESS REAL E	0.00	6.96	0.00	6.96	90.0	6.26
04/18/2018	PAULSEN, ROGER	GRIFFIN INSTITUTIONAL ACCESS REAL E	0.00	7.55	0.00	7.55	90.0	6.80
04/18/2018	BAGGETT, PETE	GRIFFIN INSTITUTIONAL ACCESS REAL E	0.00	7.48	0.00	7.48	90.0	6.73
04/18/2018	BAGGETT, JARROD	GRIFFIN INSTITUTIONAL ACCESS REAL E	0.00	3.22	0.00	3.22	90.0	2.90
04/18/2018	LUERSEN, JENNIFER	GRIFFIN INSTITUTIONAL ACCESS REAL E	0.00	10.72	0.00	10.72	90.0	9.65
04/17/2018	CHEATHAM, JIMMY	HARTFORD BALANCED A	0.00	0.97	0.00	0.97	90.0	0.87
04/17/2018	FLEMING, JERRY	HARTFORD BALANCED A	0.00	0.69	0.00	0.69	90.0	0.62
04/17/2018	FLEMING, EVELYN	HARTFORD BALANCED A	0.00	0.94	0.00	0.94	90.0	0.85
04/17/2018	RAESZ TTEE, BARBARA	HARTFORD BALANCED ALLOCATION A	0.00	4.24	0.00	4.24	90.0	3.82
04/17/2018	RAESZ TTEE, BARBARA	HARTFORD BALANCED ALLOCATION A	0.00	2.22	0.00	2.22	90.0	2.00
04/17/2018	TAISLER, JESSE	HARTFORD CAPITAL APP II A	0.00	1.83	0.00	1.83	90.0	1.65
04/17/2018	MASON, ELEANOR	HARTFORD CAPITAL APP II A	0.00	1.25	0.00	1.25	90.0	1.13
04/17/2018	SCOTT, MONYAN	HARTFORD CAPITAL APP II A	0.00	17.27	0.00	17.27	90.0	15.54
/ /	MICHNA JT TEN WROS, JIMMY	HARTFORD CAPITAL APPRECIATION A	0.00	3.04	0.00	3.04	90.0	2.74
04/17/2018	CHEATHAM, JIMMY	HARTFORD CAPITAL APPRECIATION A	0.00	10.84	0.00	10.84	90.0	9.76
04/17/2018	ROSENTHAL, LUCILLE	HARTFORD CAPITAL APPRECIATION A	0.00	12.71	0.00	12.71	90.0	11.44
04/17/2018	BRUECKNER, KIMBERLY	HARTFORD CAPITAL APPRECIATION A	0.00	14.44	0.00	14.44	90.0	13.00
04/17/2018	HAMANN, LARRY	HARTFORD CAPITAL APPRECIATION A	0.00	10.58	0.00	10.58	90.0	9.52
04/17/2018	FLEMING, JERRY	HARTFORD CAPITAL APPRECIATION A	0.00	2.74	0.00	2.74	90.0	2.47
04/17/2018	TAISLER, JESSE	HARTFORD CAPITAL APPRECIATION A	0.00	1.40	0.00	1.40	90.0	1.26
04/17/2018	FLEMING, EVELYN	HARTFORD CAPITAL APPRECIATION A	0.00	3.73	0.00	3.73	90.0	3.36
04/17/2018	MOORE, TERRY	HARTFORD CAPITAL APPRECIATION C	0.00	27.17	0.00	27.17	90.0	24.45
04/17/2018	CHEATHAM, JIMMY	HARTFORD DIVIDEND & GROWTH A	0.00	5.18	0.00	5.18	90.0	4.66
04/17/2018	BRUECKNER, KIMBERLY	HARTFORD DIVIDEND & GROWTH A	0.00	5.96	0.00	5.96	90.0	5.36
04/17/2018	HAMANN, LARRY	HARTFORD DIVIDEND & GROWTH A	0.00	4.52	0.00	4.52	90.0	4.07
04/17/2018	FLEMING, JERRY	HARTFORD DIVIDEND & GROWTH A	0.00	2.33	0.00	2.33	90.0	2.10

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
04/17/2018	TAISLER, JESSE	HARTFORD DIVIDEND & GROWTH A	0.00	2.07	0.00	2.07	90.0	1.86
04/17/2018	FLEMING, EVELYN	HARTFORD DIVIDEND & GROWTH A	0.00	3.17	0.00	3.17	90.0	2.85
/ /	EWING, JOHN	HARTFORD GROWTH ALLOCATION A	0.00	0.61	0.00	0.61	90.0	0.55
/ /	SMITH, MARLO	HARTFORD GROWTH ALLOCATION A	0.00	1.44	0.00	1.44	90.0	1.30
04/17/2018	RAESZ TTEE, BARBARA	HARTFORD GROWTH ALLOCATION A	0.00	4.19	0.00	4.19	90.0	3.77
04/17/2018	RAESZ TTEE, BARBARA	HARTFORD GROWTH ALLOCATION A	0.00	2.32	0.00	2.32	90.0	2.09
04/17/2018	EWING, JOHN	HARTFORD GROWTH ALLOCATION A	0.00	0.93	0.00	0.93	90.0	0.84
04/17/2018	ROSENTHAL, LUCILLE	HARTFORD GROWTH OPP A	0.00	12.82	0.00	12.82	90.0	11.54
04/17/2018	SCOTT, MONYUAN	HARTFORD GROWTH OPP A	0.00	22.33	0.00	22.33	90.0	20.10
04/17/2018	ROSENTHAL, LUCILLE	HARTFORD INT'L GROWTH A	0.00	7.96	0.00	7.96	90.0	7.16
/ /	MICHNA JT TEN WROS, JIMMY	HARTFORD MIDCAP A	0.00	0.48	0.00	0.48	90.0	0.43
04/17/2018	CHEATHAM, JIMMY	HARTFORD MIDCAP A	0.00	8.18	0.00	8.18	90.0	7.36
04/17/2018	FLEMING, JERRY	HARTFORD MIDCAP A	0.00	2.56	0.00	2.56	90.0	2.30
04/17/2018	FLEMING, EVELYN	HARTFORD MIDCAP A	0.00	3.51	0.00	3.51	90.0	3.16
04/17/2018	ROSENTHAL, LUCILLE	HARTFORD MIDCAP VALUE A	0.00	13.68	0.00	13.68	90.0	12.31
04/17/2018	MASON, ELEANOR	HARTFORD MIDCAP VALUE A	0.00	0.83	0.00	0.83	90.0	0.75
04/17/2018	BRUECKNER, KIMBERLY	HARTFORD SMALL-COMPANY FUND CLASS A	0.00	6.49	0.00	6.49	90.0	5.84
04/17/2018	TAISLER, JESSE	HARTFORD VALUE OPPORTUNITY FUND CLA	0.00	2.02	0.00	2.02	90.0	1.82
04/17/2018	MASON, ELEANOR	HARTFUND EQUITY INCIME FUND A	0.00	0.70	0.00	0.70	90.0	0.63
04/18/2018	ENOCHS, LELAND	INVESCO AMERICAN FRANCHISE A	0.00	8.56	0.00	8.56	90.0	7.70
04/18/2018	EWING JR, JACK	INVESCO ASIA PACIFIC GROWTH A	0.00	23.73	0.00	23.73	90.0	21.36
04/18/2018	ENOCHS, LELAND	INVESCO CHARTER FUND A	0.00	9.52	0.00	9.52	90.0	8.57
04/18/2018	WILSON, MARY	INVESCO CHARTER FUND A	0.00	52.48	0.00	52.48	90.0	47.23
04/18/2018	SMITH, MICHAEL	INVESCO CORPORATE BOND A	0.00	1.16	0.00	1.16	90.0	1.04
04/18/2018	EWING JR, JACK	INVESCO DEVELOPING MARKETS A	0.00	20.73	0.00	20.73	90.0	18.66
04/12/2018	ESCHBERGER TRUST, JACK & AGNES	IVY INTERNATIONAL CORE EQUITY FUND	0.00	2.35	0.00	2.35	90.0	2.12
04/12/2018	ROSENTHAL, LUCILLE	IVY INTERNATIONAL CORE EQUITY FUND	0.00	1.01	0.00	1.01	90.0	0.91
04/12/2018	SCARBOROUGH, ROBERT	IVY INTERNATIONAL CORE EQUITY FUND	0.00	1.47	0.00	1.47	90.0	1.32
04/12/2018	NAIZER TRUST, NOLAN	IVY INTERNATIONAL CORE EQUITY FUND	0.00	1.09	0.00	1.09	90.0	0.98
04/12/2018	NAIZER TRUST, NOEL	IVY INTERNATIONAL CORE EQUITY FUND	0.00	0.40	0.00	0.40	90.0	0.36
04/12/2018	OLSON, DALE	IVY INTERNATIONAL CORE EQUITY FUND	0.00	4.90	0.00	4.90	90.0	4.41
04/20/2018	ESCHBERGER TRUST, JACK & AGNES	JH DISCIPLINED VALUE A	0.00	1.36	0.00	1.36	90.0	1.22
04/20/2018	ROSENTHAL, LUCILLE	JH DISCIPLINED VALUE A	0.00	0.69	0.00	0.69	90.0	0.62

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
04/20/2018	SCARBOROUGH, ROBERT	JH DISCIPLINED VALUE A	0.00	1.07	0.00	1.07	90.0	0.96
04/20/2018	NMN & NUN MGMT TRUST	JH DISCIPLINED VALUE A	0.00	3.31	0.00	3.31	90.0	2.98
04/20/2018	NAIZER TRUST, NOLAN	JH DISCIPLINED VALUE A	0.00	0.62	0.00	0.62	90.0	0.56
04/20/2018	NAIZER TRUST, NOEL	JH DISCIPLINED VALUE A	0.00	0.45	0.00	0.45	90.0	0.41
04/20/2018	OLSON, DALE	JH DISCIPLINED VALUE A	0.00	2.65	0.00	2.65	90.0	2.39
04/20/2018	MCELROY, BENNETT	JH STRATEGIC INCOME A	0.00	4.11	0.00	4.11	90.0	3.70
04/20/2018	SCARBOROUGH, ROBERT	JOHN HANCOCK GLOBAL ABSOLUTE RETURN	0.00	0.73	0.00	0.73	90.0	0.66
04/20/2018	NMN & NUN MGMT TRUST	JOHN HANCOCK GLOBAL ABSOLUTE RETURN	0.00	1.78	0.00	1.78	90.0	1.60
04/20/2018	NAIZER TRUST, NOLAN	JOHN HANCOCK GLOBAL ABSOLUTE RETURN	0.00	0.10	0.00	0.10	90.0	0.09
04/20/2018	NAIZER TRUST, NOEL	JOHN HANCOCK GLOBAL ABSOLUTE RETURN	0.00	0.18	0.00	0.18	90.0	0.16
04/20/2018	OLSON, DALE	JOHN HANCOCK GLOBAL ABSOLUTE RETURN	0.00	0.55	0.00	0.55	90.0	0.50
04/20/2018	MASON, JOHN	JOHN HANCOCK GLOBAL ABSOLUTE RETURN	0.00	6.12	0.00	6.12	90.0	5.51
04/23/2018	CHEATHAM, JIMMY	LORD ABBETT AFFILIATED A	0.00	1.95	0.00	1.95	90.0	1.76
04/23/2018	SPECKELS, MELBA	LORD ABBETT AFFILIATED A	0.00	0.84	0.00	0.84	90.0	0.76
04/23/2018	CHEATHAM, JIMMY	LORD ABBETT ALPHA STRATEGY A	0.00	4.30	0.00	4.30	90.0	3.87
04/23/2018	FUESSEL NE & NA TR, NORMAN	LORD ABBETT BOND DEBENTURE A	0.00	6.33	0.00	6.33	90.0	5.70
04/23/2018	CHEATHAM, JIMMY	LORD ABBETT CALIBRATED DIVIDEND GRO	0.00	2.42	0.00	2.42	90.0	2.18
04/23/2018	FUESSEL IRREV TR, NORMAN	LORD ABBETT CALIBRATED DIVIDEND GRO	0.00	12.88	0.00	12.88	90.0	11.59
04/23/2018	BRUECKNER, KIMBERLY	LORD ABBETT CALIBRATED DIVIDEND GRO	0.00	8.52	0.00	8.52	90.0	7.67
04/23/2018	SPECKELS, MELBA	LORD ABBETT CALIBRATED DIVIDEND GRO	0.00	1.02	0.00	1.02	90.0	0.92
04/23/2018	CHEATHAM, JIMMY	LORD ABBETT DEVELOPING GROWTH A	0.00	4.62	0.00	4.62	90.0	4.16
04/23/2018	FUESSEL IRREV TR, NORMAN	LORD ABBETT DEVELOPING GROWTH A	0.00	16.85	0.00	16.85	90.0	15.17
04/23/2018	BRUECKNER, KIMBERLY	LORD ABBETT FUNDAMENTAL EQUITY A	0.00	11.05	0.00	11.05	90.0	9.95
04/23/2018	SPECKELS, MELBA	LORD ABBETT FUNDAMENTAL EQUITY A	0.00	0.82	0.00	0.82	90.0	0.74
04/23/2018	SPECKELS, MELBA	LORD ABBETT GROWTH OPPORTUNITIES FU	0.00	0.67	0.00	0.67	90.0	0.60
04/23/2018	STAGNER TRUST, JAMES	LORD ABBETT INVT TR FLTG RATE A	0.00	6.91	0.00	6.91	90.0	6.22
04/23/2018	CHEATHAM, JIMMY	LORD ABBETT MID CAP STOCK A	0.00	7.52	0.00	7.52	90.0	6.77
04/23/2018	FUESSEL IRREV TR, NORMAN	LORD ABBETT MID CAP STOCK A	0.00	17.69	0.00	17.69	90.0	15.92
04/23/2018	BRUECKNER, KIMBERLY	LORD ABBETT MID CAP STOCK A	0.00	10.64	0.00	10.64	90.0	9.58
04/19/2018	ROSENTHAL, LUCILLE	LTD TERM TAX-EX BOND FUND OF AMERIC	0.00	4.84	0.00	4.84	90.0	4.36
04/17/2018	PEARSON, GRANT	MFS LIFETIME RETIREMENT INCOME FUND	0.00	44.15	0.00	44.15	90.0	39.74
04/17/2018	MCELROY, BENNETT	MFS VALUE A	0.00	9.92	0.00	9.92	90.0	8.93
04/16/2018	MASON, JOHN	NEUBERGER BERMAN LONG SHORT FUND CL	0.00	5.23	0.00	5.23	90.0	4.71

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<u>DIRECT TRANSACTIONS</u>								
<u>PRODUCT CATEGORY: MUTUAL FUND 12B1 TRAILS</u>								
04/16/2018	WIESNER, BETTY	OPPENHEIMER GLOBAL STRATEGIC INC A	0.00	1.62	0.00	1.62	90.0	1.46
04/23/2018	FUESSEL IRREV TR, NORMAN	PUTNAM ASSET ALLOC GROWTH A	0.00	18.14	0.00	18.14	90.0	16.33
04/18/2018	FUESSEL IRREV TR, NORMAN	RESOURCE R E DIVERSIFIED INC FUND A	0.00	13.81	0.00	13.81	90.0	12.43
04/18/2018	BELL, EDDY	RESOURCE R E DIVERSIFIED INC FUND A	0.00	10.76	0.00	10.76	90.0	9.68
04/18/2018	STAGNER TRUST, JAMES	RESOURCE R E DIVERSIFIED INC FUND A	0.00	6.63	0.00	6.63	90.0	5.97
04/18/2018	LUERSEN, JENNIFER	RESOURCE R E DIVERSIFIED INC FUND A	0.00	9.48	0.00	9.48	90.0	8.53
04/23/2018	KURTH, KARIANNE	TRANSAMERICA AA GROWTH C	0.00	41.05	0.00	41.05	90.0	36.95
04/23/2018	KURTH, DEREK	TRANSAMERICA AA GROWTH C	0.00	49.15	0.00	49.15	90.0	44.24
04/23/2018	KURTH, DEREK	TRANSAMERICA AA GROWTH C	0.00	30.18	0.00	30.18	90.0	27.16
04/23/2018	KURTH, DEREK	TRANSAMERICA AA GROWTH C	0.00	2.09	0.00	2.09	90.0	1.88
04/23/2018	KURTH, DEREK	TRANSAMERICA AA GROWTH C	0.00	2.09	0.00	2.09	90.0	1.88
04/23/2018	HERNANDEZ-GAGE, VIRGINIA	TRANSAMERICA AA MOD GROWTH C	0.00	4.46	0.00	4.46	90.0	4.01
04/23/2018	KURTH, DEREK	TRANSAMERICA AA MOD GROWTH C	0.00	6.74	0.00	6.74	90.0	6.07
* MUTUAL FUND 12B1 TRAILS SUBTOTAL *			\$0.00	\$2,688.47	\$0.00	\$2,688.47		\$2,419.83
<u>PRODUCT CATEGORY: VARIABLE ANNUITY 12B1 TRAILS</u>								
04/30/2018	MASON, JOHN	JNL PERSPECTIVE ADV II 5/05	0.00	380.83	0.00	380.83	90.0	342.75
04/30/2018	MASON, JOHN	JNL PERSPECTIVE L	0.00	378.89	0.00	378.89	90.0	341.00
* VARIABLE ANNUITY 12B1 TRAILS SUBTOTAL *			\$0.00	\$759.72	\$0.00	\$759.72		\$683.75
*** DIRECT TRANSACTIONS TOTAL ***			\$21,781.99	\$3,464.37	\$0.00	\$3,464.37		\$3,118.15

ADJUSTMENTS

05/15/2018	*AI INSIGHT: CURRENT MONTH	0.00	-7.00
05/15/2018	*ALBRIDGE: LIGHT USER	0.00	-76.00
05/15/2018	*CONCIERGE SVC: 214565 CERVENKA	0.00	-50.00
05/15/2018	*DOCUSIGN: CURRENT MONTH	0.00	-18.00
05/15/2018	*EO INS: CURRENT MONTH INS	0.00	-300.00
05/15/2018	*GLOBAL RELAY: FACEBOOK	0.00	-5.00
05/15/2018	*GLOBAL RELAY: WEBSITE	0.00	-15.00
05/15/2018	*LASER APP: CURRENT MONTH	0.00	-18.00
05/15/2018	*PERSHING: BASIS TRACKING 234 ACCTS	0.00	-234.00
05/15/2018	*PERSHING: UIT PROSPECTUS MAILING	0.00	-2.16

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>ADJUSTMENTS</u>								
05/15/2018		*PERSHING: BOOKS & RECORDS	0.00					-1.50
05/15/2018		*TECHNOLOGY: CURRENT MONTH BASIC	0.00					-180.00
*** ADJUSTMENTS TOTAL ***			\$0.00	\$0.00	\$0.00	\$0.00		\$-906.66

BROKER COMMISSION TOTALS

Broker Transactions	\$3,091.49
Split Transactions	\$0.00
Override Transactions	\$0.00
Adjustments	\$-906.66
Payroll Draw	\$0.00
Base Salary	\$0.00
Prior Period Balance	\$0.00
FINRA Assessment	\$0.00
SIPC Assessment	\$0.00

Check Amount	\$2,184.83
Year-to-date Gross	\$147,390.72
Year-to-date Earnings	\$132,207.44

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